

# 2011 Catalog Of

# Federal Domestic Assistance



Executive Office  
of the President  
Office of Management  
and Budget  
Washington, DC 20503



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Administration  
Washington, DC 20405

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# INTRODUCTION

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## Catalog of Federal Domestic Assistance

The Catalog of Federal Domestic Assistance is a government-wide compendium of Federal programs, projects, services, and activities that provide assistance or benefits to the American public. It contains financial and nonfinancial assistance programs administered by departments and establishments of the Federal government.

In 1984, Public Law 98-169 authorized the transfer of responsibilities of the Federal Program Information Act from the Office of Management and Budget to the General Services Administration (GSA). The transfer took place in July 1984. These responsibilities include the dissemination of Federal domestic assistance program information through the Catalog of Federal Domestic Assistance, pursuant to the Federal Program Information Act, Public Law 95-220, as amended by Public Law 98-169. GSA now maintains the Federal assistance information database from which program information is obtained. The Office of Management and Budget serves as an intermediary agent between the Federal agencies and GSA, thus providing oversight to the necessary collection of Federal domestic assistance program data.

As the basic reference source of Federal programs, the primary purpose of the Catalog is to assist users in identifying programs that meet specific objectives of the potential applicant, and to obtain general information on Federal assistance programs. In addition, the intent of the Catalog is to improve coordination and communication between the Federal government and State and local governments.

The Catalog provides the user with access to programs administered by Federal departments and agencies in a single publication. Program information is cross referenced by functional classification (Functional Index), subject (Subject Index), applicant (Applicant Index), deadline(s) for program application submission (Deadlines Index), and authorizing legislation (Authorization Index). These are valuable resource tools that, if used carefully, can make it easier to identify specific areas of program interest more efficiently.

Other sections of the Catalog provide users with information on programs added and deleted since the last edition of the Catalog, a crosswalk of program numbers and title changes, regional and local offices, intergovernmental review requirements, definitions of the types of assistance under which programs are administered, proposal writing, grant application procedures, and additional sources of information on Federal programs and services.

Programs selected for inclusion in the Federal assistance data base are defined as any function of a Federal agency that provides assistance or benefits for a State or States, territorial possession, county, city, other political subdivision, grouping, or instrumentality thereof; any domestic profit or nonprofit corporation, institution, or individual, other than an agency of the Federal government.

A "Federal domestic assistance program" may in practice be called a program, an activity, a service, a project, a process, or some other name, regardless of whether it is identified as a separate program by statute or regulation. It will be identified in terms of its legal authority, administering office, funding, purpose, benefits, and beneficiaries.

"Assistance" or "benefits" refers to the transfer of money, property, services, or anything of value, the principal purpose of which is to accomplish a public purpose of support or stimulation authorized by Federal statute. Assistance includes, but is not limited to grants, loans, loan guarantees, scholarships, mortgage loans, insurance, and other types of financial assistance, including cooperative agreements; property, technical assistance, counseling, statistical, and other expert information; and service activities of regulatory agencies. It does not include the provision of conventional public information services.

For years, GSA has published a printed version of the Catalog of Federal Domestic Assistance (CFDA or Catalog), as required by legislation. That same legislation allowed GSA to distribute free copies of the printed Catalog to designated recipients. In fiscal year 2003, nearly 10,000 paper copies of the Catalog were distributed at no cost to the recipients

Current legislation, however, authorizes GSA to determine in what form to prepare and publish the Catalog. Consistent with the Administration's Electronic-Government initiatives, the Government Paperwork Elimination Act, and a move to a paper free environment, GSA will now disseminate the Catalog electronically through the CFDA website on the Internet. As a result, effective immediately, GSA will no longer print and distribute free copies of the Catalog.

The Internet and GSA's free CFDA website at <http://www.cfda.gov> will be the primary means of disseminating the Catalog. The CFDA website will also contain a PDF file version of the Catalog that, when printed by any user, will have the same layout as the printed document that the Government Printing Office (GPO) has provided.

GPO will continue printing and selling the CFDA to interested buyers. For information about purchasing the Catalog of Federal Domestic Assistance from GPO, call the Superintendent of Documents at 202-512-1800 or toll free at 866-512-1800, or you may reach GPO's on-line bookstore at <http://bookstore.gpo.gov>.

## Types Of Assistance

Currently, programs in the Catalog are being classified by GSA into 15 types of assistance. (Cooperative Agreements as a type of assistance is used for programs administered under that mechanism. However, the definition does not appear in this section.) Benefits and services of the programs are provided through seven financial types of assistance and eight nonfinancial types of assistance. The following list defines the types of assistance that are available through the programs. Code letters below (A through O) which identify the type of assistance) will follow program titles in the Agency Index, Applicant Eligibility Index, the Functional Index, Deadlines Index, and in the list of added programs.

- A. Formula Grants - Allocations of money to States or their subdivisions in accordance with distribution formulas prescribed by law or administrative regulation, for activities of a continuing nature not confined to a specific project.
- B. Project Grants - The funding, for fixed or known periods, of specific projects. Project grants can include fellowships, scholarships, research grants, training grants, traineeships, experimental and demonstration grants, evaluation grants, planning grants, technical assistance grants, survey grants, and construction grants.
- C. Direct Payments for Specified Use - Financial assistance from the Federal government provided directly to individuals, private firms, and other private institutions to encourage or subsidize a particular activity by conditioning the receipt of the assistance on a particular performance by the recipient. This does not include solicited contracts for the procurement of goods and services for the Federal government.
- D. Direct Payments with Unrestricted Use - Financial assistance from the Federal government provided directly to beneficiaries who satisfy Federal eligibility requirements with no restrictions being imposed on the recipient as to how the money is spent. Included are payments under retirement, pension, and compensatory programs.
- E. Direct Loans - Financial assistance provided through the lending of Federal monies for a specific period of time, with a reasonable expectation of repayment. Such loans may or may not require the payment of interest.
- F. Guaranteed/Insured Loans - Programs in which the Federal government makes an arrangement to identify a lender against part or all of any defaults by those responsible for repayment of loans.
- G. Insurance - Financial assistance provided to assure reimbursement for losses

sustained under specified conditions. Coverage may be provided directly by the Federal government or through private carriers and may or may not involve the payment of premiums.

- H. Sale, Exchange, or Donation of Property and Goods - Programs which provide for the sale, exchange, or donation of Federal real property, personal property, commodities, and other goods including land, buildings, equipment, food and drugs. This does not include the loan of, use of, or access to Federal facilities or property.
- I. Use of Property, Facilities, and Equipment - Programs which provide for the loan of, use of, or access to Federal facilities or property wherein the federally owned facilities or property do not remain in the possession of the recipient of the assistance.
- J. Provision of Specialized Services - Programs that provide Federal personnel directly to perform certain tasks for the benefit of communities or individuals. These services may be performed in conjunction with nonfederal personnel, but they involve more than consultation, advice, or counseling.
- K. Advisory Services and Counseling - Programs which provide Federal specialists to consult, advise, or counsel communities or individuals to include conferences, workshops, or personal contacts. This may involve the use of published information, but only in a secondary capacity.
- L. Dissemination of Technical Information - Programs that provide for the publication and distribution of information or data of a specialized or technical nature frequently through clearinghouses or libraries. This does not include conventional public information services designed for general public consumption.
- M. Training - Programs that provide instructional activities conducted directly by a Federal agency for individuals not employed by the Federal government.
- N. Investigation of Complaints - Federal administrative agency activities that are initiated in response to requests, either formal or informal, to examine or investigate claims of violations of Federal statutes, policies, or procedure. The origination of such claims must come from outside the Federal government.
- O. Federal Employment - Programs that reflect the Governmentwide responsibilities of the Office of Personnel Management in the recruitment and hiring of Federal civilian agency personnel.

## Contents of the Catalog

The Catalog contains Federal domestic assistance programs available to: State and local governments (including the District of Columbia and federally-recognized Indian tribal governments); Territories (and possessions) of the United States; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals.

Programs in the Catalog provide information on the:

- Federal agency administering a program;
- Authorization upon which a program is based;
- Objectives and goals of a program;
- Types of financial and nonfinancial assistance offered under a program;
- Uses and restrictions placed upon a program; Eligibility requirements;
- Application and award process;
- Amount of obligations for the past, current, and future fiscal years;
- Regulations, guidelines and literature relevant to a program; Information contacts at the headquarters, regional, and local offices;
- Programs that are related based upon program objectives and uses;
- Examples of funded projects;
- Criteria for selecting proposals; and
- Individual agency policies and Federal management policy directives pertaining to a program.

Programs in the Catalog provide a wide range of benefits and services, which have been grouped into 20 basic functional categories, and 176 subcategories that identify specific areas of interest. Listed below are the 20 basic categories in which all programs have been grouped by primary purpose.

- Agriculture

- Business and Commerce
- Community Development
- Consumer Protection
- Cultural Affairs
- Disaster Prevention and Relief
- Education Employment, Labor, and Training
- Energy
- Environmental Quality
- Food and Nutrition
- Health
- Housing
- Income Security and Social Services
- Information and Statistics
- Law, Justice, and Legal Services
- Natural Resources
- Regional Development
- Science and Technology
- Transportation

Programs in the Catalog also include service activities of regulatory agencies.

The Catalog does not include:

- Solicited contracts administered under procurement laws and regulations for the purchase of goods and services for the Federal government;
- Foreign activities except as such programs have direct economic benefit in the domestic economy. (A program that provides both domestic and foreign assistance will be included with the description of the program oriented toward the domestic aspect.);
- Personnel recruitment programs of individual Federal departments which offer employment opportunities as part of normal recruiting operations, (the overall government-wide programs of the Office of Personnel Management are included);
- Benefits or assistance available only to current employees of the Federal government either civilian or military;
- New programs proposed in the Budget for which appropriations have not been enacted; or
- Programs that are no longer active due to expired authorization or appropriation.

## Organization of the Catalog

The Catalog is divided into three basic sections -- the indices, the program descriptions, and the appendices.

**INDICES** --To locate specific programs of interest, determine eligibility, and to obtain information on the dates applications for assistance should be submitted to the funding agency, users may consult the Agency Program Index, the Functional Index, or the Subject Index; the Applicant Eligibility Index, and the Index listing deadlines for program applications.

**The Agency Index Summary** provides a description of the functions and activities of Federal agencies responsible for administering programs in the Catalog. Program numbers are also listed with the administering agency.

**The Agency Program Index** lists all programs in the Catalog in numerical order by the five-digit program identification number, the program title, the Federal agency responsible for administering the program, and whether the program offers financial assistance, nonfinancial assistance, or a combination of both.

**The Functional Index Summary** lists the basic functional categories and the subcategories that further identify specific areas of interest. Following the Summary is the Functional Index listing each program number and title under the appropriate basic category and subcategory.

**The Subject Index** provides a detailed listing of programs by various topics, popular name, general functional terms, categories of services, and selected beneficiaries, and is followed by the applicable program numbers.



**The American Recovery and Reinvestment Act Index** lists CFDA programs that are funded in whole or in part by the American Recovery and Reinvestment Act (ARRA) of 2009, Public Law 111.5.

**The Applicant Eligibility Index** is a listing in program number sequence, along with program titles, indicating the applicants eligible to apply. The index lists programs that may be applied for by:

- Any of the several States of the United States, the District of Columbia, or any agency or instrumentality of a State exclusive of State institutions of higher education and hospitals;
- Local governments which include a county, parish, municipality, city, town, township, village, State-designated Indian tribal government, local public authority, school district, special district, intrastate district, council of governments, sponsor group representative organizations, and other regional or interstate government entity, or any agency or instrumentality of a local government;
- U.S. Territories (and possessions) of the United States which include the Commonwealths of Puerto Rico and the Northern Mariana Islands, the Virgin Islands, Guam, Trust Territory of the Pacific Islands, and American Samoa;
- Federally-recognized Indian Tribal governments which include the governing body or a governmental agency of any Indian tribe, band, nation, or other organized group or community (including any Native village as defined in Section 3 of the Alaska Native Claims Settlement Act, 85 Stat. 688) certified by the Secretary of the Interior as eligible for the special programs and services provided through the Bureau of Indian Affairs;
- Nonprofit organizations and institutions which include quasi-public, public and private institutions of higher education and hospitals, Native American Indian Organizations, and other quasi-public and private nonprofit organizations such as, but not limited to, community action agencies (CAAs), Head Start agencies, research institutes, educational associations, and health centers. Excluded under this definition are government-owned contractor operated facilities or research centers providing support for mission-oriented, large scale programs that are government-owned or controlled, or are designed as federally-funded research and development centers; and
- Private individuals such as Native Americans, homeowners, students, farmers, artists, scientists, consumers, small business, refugees, aliens, veterans, senior citizens, low-income persons, health and education professionals, builders, contractors, developers, handicapped persons, the physically afflicted.

**The Deadlines Index** (for program applications) is a listing of program numbers and titles and the deadline date(s) by which funding agencies must receive applications. This information is also contained in the Deadlines Section of the program descriptions.

Users should also consult the following listings:

**The Archived Programs** list identifies programs that have been archived since the previous edition of the Catalog due to: expiration of budget authority; rescission of budget authority for the current fiscal year; program consolidation which has rendered the former program number(s) obsolete; the replacement of a categorical grant program by a block grant program; the replacement of two or more categorical programs by a block grant program; the abolishment of an agency; or the criteria for including a program in the Catalog no longer valid being (e.g., a program which no longer operates under Federal funding).

**The Added Programs** list identifies programs that have been added since the previous edition of the Catalog due to: the appropriation of new budget authority; the consolidation of two or more programs creating a new program; the splitting of elements from a former program creating two or more new programs; the transformation of a single categorical grant program into a block program; or the consolidation of two or more categorical grant programs into a block program.

**The Crosswalk of Changes to Program Numbers and Titles** which lists programs that have undergone a title change, or a program number change due to restructuring of programs, or reorganization of a Federal agency.

**PROGRAM DESCRIPTIONS** -- The center section of the printed Catalog and the listings available on this web site contain descriptions of Federal programs listed by program number in the same numerical sequence as in the Agency Program Index. Detailed information concerning programs is contained under the description headings of each Catalog program. The following is an explanation of each program description heading followed by examples of the type of information found under each heading.

**NOTE: The program used in the example below does not exist. It is provided for the purpose of illustration only.**

**PROGRAM NUMBER, TITLE, AND POPULAR NAME** -- Each program in the Catalog is preceded by a five-digit program identification number. The first two digits identify the Federal department or agency that administers the program, and the last three numbers are assigned in numerical sequence. Thus, program number 10.500 is administered by the Department of Agriculture, 11.500 by the Department of Commerce, 12.500 by the Department of Defense, 93.500 by the Department of Health and Human Services, and so on. (In the numerical sequence of program numbers, some numbers do not appear due to program deletions or consolidations. To accommodate users' systems and records, the numbers are not reassigned to other programs but are reserved for the reinstated programs.) The program title is the descriptive name given to a program. The popular name, which is less descriptive than the program title, is the name by which programs are commonly known or most often used by applicants and agencies.

Example: 93.259 Mental Health -- Children's Services

**FEDERAL AGENCY** -- The Federal agency is the Federal department, agency, commission, council or instrumentality of the government, and the primary organizational sub-unit (the administering office) that has direct operational responsibility for managing a program.

Example: SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION, PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

**AUTHORIZATION** -- This section lists the legal authority upon which a program is based (acts, amendments to acts, Public Law numbers, titles, sections, Statute Codes, citations to the U.S. Code, Executive Orders, Presidential Reorganization Plans, and Memoranda from an agency head). Information provided here is used to produce Appendix II, the Authorization Appendix.

Example: Community Mental Health Centers Act of 1975, Part A, Section 203(e), Public Law 94-63, 42 U.S.C. 2689.

**OBJECTIVES** -- This is a brief statement of specific objectives stated in terms of what the program is intended to accomplish along with the goals toward which the program is directed.

Example: To stimulate innovative approaches to children's mental health problems emphasizing prevention and coordination of community services; to expand training activities; and, to broaden resources for children's mental health services.

**TYPES OF ASSISTANCE** -- This section indicates the form in which the assistance is transmitted from the Federal government and is initially received for use or distribution by the applicant.

Example: Project Grants.

**USES AND USE RESTRICTIONS** -- This section describes the potential uses for the assistance provided to meet stated objectives, and the specific restrictions placed upon the use of funds. The section cites one or more applications depending upon the nature of a particular program. Since this section translates objectives into the uses of a program, users may develop a clearer understanding of the program's objectives.

Example: Support for Continuation Grants only. Program authorizes funds on a

matching basis for initial staffing of facilities offering mental health services for children. Staffing grants may be used for a portion of the costs of professional and technical personnel to operate a facility for child mental health services; a higher percentage may be paid if an area has been designated a poverty area by the Secretary, HHS. The proposed program must provide consultation and coordinating services with other community agencies serving children in service area, and must include a plan with the means by which it will be evaluated.

#### **ELIGIBILITY REQUIREMENTS:**

**Applicant Eligibility** -- This section indicates who can apply to the Federal government for assistance and the criteria the potential applicant must satisfy. For example, individuals may be eligible for research grants, and the criteria to be satisfied may be that they have a professional or scientific degree, 3 years of research experience, and be a citizen of the United States. Universities, medical schools, hospitals, or State and local governments may also be eligible. Where State governments are eligible, the type of State agency will be indicated (State welfare agency or State agency on aging) and the criteria that they must satisfy.

Certain programs in the Catalog (e.g., the Pell Grant program which provides grants to students) involve intermediate levels of application processing, i.e., applications are transmitted through colleges or universities that are neither the direct applicant nor the ultimate beneficiary. For these programs, the criteria that the intermediaries must satisfy are also indicated, along with intermediaries who are not eligible.

Example: To be eligible for staffing grants, applicants must be part of, or affiliated with, a community mental health center, unless there is no center serving the community. Applicants may then be any public or private nonprofit agency providing, or coordinating with programs that will provide a full range of mental health services for children and their families residing in the service area.

**Beneficiary Eligibility** -- This section lists the ultimate beneficiaries of a program, the criteria they must satisfy and who specifically is not eligible. The applicant and beneficiary will generally be the same for programs that provide assistance directly from a Federal agency. However, financial assistance that passes through State or local governments will have different applicants and beneficiaries since the assistance is transmitted to private sector beneficiaries who are not obligated to request or apply for the assistance.

Example: Children and their families in the service area as well as personnel of schools and other community agencies serving children.

**Credentials/Documentation** -- This is a brief description of the credentials or documentation required prior to, or along with, an application for assistance. The eligibility factors that must be proven, certified, or established are indicated in this section. This section also indicates whether OMB Circular No. A-87 requirements, "Cost Principles Applicable to Grants and Contracts with State and Local Governments," are applicable. In cases where specific Federal circulars or other regulatory requirements are not applicable to the program, disclaimer statements may be included referencing the requirement(s) from which the program is excluded, e.g., "This program is excluded from coverage under (applicable requirement)."

Example: Proof of nonprofit status is required of nonprofit organizations and institutions. This program is excluded from coverage under OMB Circular No. A-87.

#### **APPLICATION AND AWARD PROCESS:**

**Preapplication Coordination** -- This section indicates whether any prior coordination or approval is required with governmental or nongovernmental units prior to the submission of a formal application to the Federal funding agency. For example, programs may require: (1) State agency approval prior to the submission of an application to a Federal agency; (2) the submission of environmental impact information as required by the National Environmental Policy Act of 1969, and Executive Order 11514 of March 4, 1970; (3) coordination with the policies of the recently revised OMB Circular No. A-102, "Uniform Administrative Requirements for Grants and Cooperative Agreements

to State and Local Governments" (referenced here for construction, land acquisition, and land development projects for which Federal funding exceeds \$100,000); (4) coverage for eligibility under Executive Order 12372, "Intergovernmental Review of Federal Programs"; or (5) a preapplication or preapplication conference. Applicants should also ascertain from the Federal agency the existence of other circular requirements not indicated by this section, and from the State, any State requirements that may be in effect. In cases where E.O. 12372 is not applicable to the program, a disclaimer statement is included referencing the exclusion, e.g., "This program is excluded from coverage under E.O. 12372."

Example: Preapplication consultation with the Substance Abuse and Mental Health Services Administration (SAMHSA) Branch of the HHS Regional Office is not mandatory. Application must be accompanied by evidence of approval and recommendation by the appropriate State agency or agencies. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A102, must be used for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedure** -- This section discusses the basic procedural steps required by the Federal agency in the application process, beginning with the lowest level (e.g., State and local government units, institutions or organizations) and ending eventually with the Federal government. Each program will indicate whether applications are to be submitted to the Federal headquarters, regional or local office, or to a State or local government office. Numerous programs in the Catalog require the standard application forms in OMB Circular No. A-102 (Attachment M). Other applications may be in the form of a written request to the funding agency stating the need for assistance and requesting available services, or a formal proposal prepared in response to an announcement in the Federal Register or the Commerce Business Daily. Also indicated in this section is guidance concerning the applicability of OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations." In cases where specific Federal circulars or other regulatory requirements are not applicable to the program, disclaimer statements may be included referencing the requirement(s) from which the program is excluded, e.g., "This program is excluded from coverage under (applicable requirement)."

Example: Continuation Application Form ADM-115 should be used for staffing. Instructions and consultation may be obtained from the mental health section of the appropriate HHS Regional Office. Applications are sent to the Regional Office with copies to Acting Director, Division of Mental Health Service Programs, Substance Abuse and Mental Health Services Administration, 5600 Fishers Lane, Rockville, MD 20857. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure** -- This section lists the basic procedural steps for awarding assistance, beginning with the organizational components of the Federal agency that has final approval authority for the application and ending with the lowest level at which Federal resources are expended. Also indicated is whether assistance passes through the initial applicant for further distribution by intermediate level applicants to groups or individuals in the private sector.

Accepted applications are subject to evaluation by the headquarters, regional, local or district office to determine the feasibility of the proposed project to include consistency with Federal and individual agency policies concerning its scope and purpose. Grant payments may be made by a letter of credit, advance by Treasury check, or reimbursement by Treasury check. The headquarters office may make awards directly to the applicant, an agency field office, a regional office, or by an authorized county office.

Example: The Regional Health Administrator makes awards to approved applicants.

**Deadlines** -- When available, this section indicates the deadlines for applications to the funding agency that will be stated in terms of the date(s) or between what dates the application should be received. Reference is made to new applications, continuations, renewals, and supplementals. Application deadline information is

also indicated in the Deadlines Index, in the agency's program guidelines, or announced in the Federal Register. Where not available, applicants should contact the funding agency for deadline information.

Example: Staffing: Determined by award period (contact the Regional Office).

**Range of Approval or Disapproval Time** -- This section informs the applicant of the representative range of time required for the application to be processed (in terms of days or months) at the Federal level. Example: From 90 to 120 days.

**Appeals** -- In some cases, there are no provisions for appeal. Where applicable, this section discusses appeal procedures or allowable rework time for resubmission of applications to be processed by the funding agency. Appeal procedures vary with individual programs and are either listed in this section or applicants are referred to appeal procedures documented in the relevant Code of Federal Regulations (CFR).

Example: Not applicable. (An appeal was not applicable in this case. A related program (93.231) allows applicants to reapply if revised applications are submitted.)

**Renewals** -- This section advises the applicant as to whether renewals or extensions of applications are available and indicates the appropriate procedures to follow. In some instances, renewal procedures may be the same as for the application procedure, e.g., for projects of a non-continuing nature renewals will be treated as new, competing applications; for projects of an ongoing nature, renewals may be given annually.

Example: This program is renewed annually. Grantees are required to update their plan and submit a current year budget.

#### **ASSISTANCE CONSIDERATIONS:**

**Formula and Matching Requirements** -- This section indicates the formula and matching requirements prescribed in the allocation of funds or maintenance of effort requirements. A formula may be based on population, per capita income, and other statistical factors. Applicants are informed whether there are any matching requirements to be met when participating in the cost of a project. In general, the matching share represents that portion of the project costs not borne by the Federal government. Usually, a minimum percentage for matching share is prescribed by program legislation, and matching share requirements are included in the grant agreement. Attachment F of OMB Circular No. A-102 sets forth the criteria and procedures for the evaluation of matching share requirements which may be cash or in-kind contributions made by State and local governments or other agencies, institutions, private organizations, or individuals to satisfy matching requirements of Federal grants or loans.

Cash contributions represent the grantees' cash outlay, including the outlay of money contributed to the grantee by other public agencies, institutions, private organizations, or individuals. When authorized by Federal regulation, Federal funds received from other grants may be considered as the grantees' cash contribution.

In-kind contributions represent the value of noncash contributions provided by the grantee, other public agencies and institutions, private organizations or individuals. In-kind contributions may consist of charges for real property and equipment, and value of goods and services directly benefiting and specifically identifiable to the grant program. When authorized by Federal legislation, property purchased with Federal funds may be considered as grantees' in-kind contribution.

Maintenance of effort (MOE) is a requirement contained in certain legislation, regulations, or administrative policies stating that a grantee must maintain a specified level of financial effort in a specific area in order to receive Federal grant funds, and that the Federal grant funds may be used only to supplement, not supplant, the level of grantee funds. Programs that have maintenance of effort requirements and have total allocations over \$100 million (current FY) should have the following statement in this section: This program has

maintenance of effort (MOE) requirements; see funding agency for further details.

Example: Staffing: Federal funds on a decreasing percentage basis over a period of 8 years 90 percent - 1st and 2nd years; 80 percent - 3rd year; 75 percent - 4th and 5th years; 70 percent - 6th, 7th and 8th years. Nonpoverty areas are entitled to: 80 percent - 1st and 2nd years; 75 percent - 3rd year; 60 percent - 4th year; 45 percent - 5th year; 30 percent - 6th, 7th and 8th years.

**Length and Time Phasing of Assistance** -- This section indicates the time period during which the assistance is normally available, whether there are any restrictions placed on the time permitted to use the funds awarded, and the timing of disbursement of the assistance, e.g., lump sum, annually, quarterly, or as required. Example: Staffing grants are limited to 8 years by law. Payments are made on a Monthly Cash Request System or under a Letter of Credit.

#### **POST ASSISTANCE REQUIREMENTS:**

**Reports** -- This section indicates whether program reports, expenditure reports, cash reports or performance monitoring is required by the Federal funding agency, and specifies at what time intervals (monthly, annually, etc.) this must be accomplished.

Example: Interim progress reports must be submitted annually as part of a non-competing application; reports of expenditures are due annually. Immediate reporting of any inventions is required.

**Audits** -- This section discusses audits required by the Federal agency. The procedures and requirements for State and local governments and nonprofit entities are set forth in OMB Circular No. A-133. These requirements pertain to awards made within the respective State's fiscal year -- not the Federal fiscal year, as some State and local governments may use the calendar year or other variation of time span designated as the fiscal year period, rather than that commonly known as the Federal fiscal year (from October 1st through September 30th).

Example: In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have an audit made for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records** -- This section indicates the record retention requirements and the type of records the Federal agency may require. Not included are the normally imposed requirements of the General Accounting Office. For programs falling under the purview of OMB Circular No. A-102, record retention is set forth in Attachment C. For other programs, record retention is governed by the funding agency's requirements.

Example: Records must be retained at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

#### **FINANCIAL INFORMATION:**

**Account Identification** -- This 11-digit budget account identification code represents the account that funds a particular program. This code should be consistent with the code given for the program area as specified in Appendix III of the Budget of the United States Government. (See Appendix III for further information on the meaning of the 11 digits of this code.)

Example: 75-1361-0-1-550.

**Obligations** -- The dollar amounts listed in this section represent obligations for the past fiscal year (PY), estimates for the current fiscal year (CY), and estimates for the budget fiscal year (BY) as reported by the Federal agencies. In each succeeding edition of the Catalog, the dollar amounts are revised to reflect changes that may result from supplemental appropriations or amendments. Each program indicates what the obligation figures represent in terms of the type of

assistance provided. Obligations for nonfinancial assistance programs indicate the administrative expenses involved in the operation of a program as an indication of the magnitude of the services being provided, or the items involved in obligations.

Example: (Grants) PY \$19,853,000; CY est. \$20,407,000; and BY est. \$14,830,000.

**Range and Average of Financial Assistance** -- This section lists the representative range (smallest to largest) of the amount of financial assistance available. These figures are based upon funds awarded in the past fiscal year and the current fiscal year to date. Also indicated is an approximate average amount of awards that were made in the past and current fiscal years.

Example: Formula: \$26,355 to \$691,481; \$235,305.

**PROGRAM ACCOMPLISHMENTS** -- This section briefly describes the accomplishments of a program using quantitative data, focusing on program output, results achieved, or services rendered during the past fiscal year, the current fiscal year, and projections for the coming fiscal year.

Example: In the past fiscal year, 140 applications were received and 140 staffing awards were issued. Approximately 147 continuation grants were funded during the current fiscal year and 103 are estimated to be funded in the budget fiscal year.

**REGULATIONS, GUIDELINES, AND LITERATURE** -- This section lists the title, number, and price of guidelines, handbooks, manuals, and other officially published information pertinent to a program. Since program regulations are published first in the Federal Register (FR) and later in the Code of Federal Regulations (CFR), citations to the CFR are listed.

Example: Interim guidelines available in application kits.

#### **INFORMATION CONTACTS:**

**Regional or Local Office** -- This section lists the agency contact person, address and telephone number of the Federal Regional or Local Office(s) to be contacted for detailed information regarding a program such as: (1) current availability of funds and the likelihood of receiving assistance within a given period; (2) preapplication and application forms required; (3) whether a preapplication conference is recommended; (4) assistance available in preparation of applications; (5) whether funding decisions are made at the headquarters, regional or local level; (6) application renewal procedures (including continuations and supplementals) or appeal procedures for rejected applications; and (7) recently published program guidelines and material.

However, for most programs in the Catalog, this section will instruct the reader to consult Appendix IV of the Catalog (Agency Regional and Local Office Addresses) due to the volume of Regional and Local Office Contacts for most agencies. For those agencies with fewer contacts, the actual information will be provided in this section.

Example: Substance Abuse and Mental Health Services Administration (SAMSHA) Branch of the appropriate HHS Regional Office (see Appendix IV of the Catalog for listing).

(Appendix IV Listing) Region 1  
(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
William Farrow  
John F. Kennedy Federal Building  
Government Center  
Boston, MA 02203  
(617) 123-4567  
(Use same number for FTS)

**Headquarters Office** -- This section lists names and addresses of the office at the headquarters level with direct operational responsibility for managing a program. A telephone number is provided in cases where a Regional or Local

Office is not normally able to answer detailed inquiries concerning a program. Also listed are the name(s) and telephone number(s) of the information contact person(s) who can provide additional program information to applicants.

Example: Dr. Steven Sharfstein, Acting Director, Division of Mental Health Service Programs, Substance Abuse and Mental Health Services Administration, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 123-4567. Use same number for FTS.

**RELATED PROGRAMS** -- This section of the program description lists all programs in the Catalog that are closely related based on objectives and program uses. Applicants should also refer to these programs, as they may provide additional assistance in a related area of interest.

Example: 93.232, Maternal and Child Health Services; 93.233, Maternal and Child Health Training; 93.242, Mental Health Research Grants; 93.295, Community Mental Health Centers-Comprehensive Support; 93.630, Developmental Disabilities-Basic Support.

**EXAMPLES OF FUNDED PROJECTS** -- This section indicates the different types of projects which have been funded in the past. Only projects funded under Project Grants or Direct Payments for Specified Use should be listed here. The examples give potential applicants an idea of the types of projects that may be accepted for funding. The agency should list at least five examples of the most recently funded projects.

Example: Awards are made only for staffing of facilities offering mental health services for children.

**CRITERIA FOR SELECTING PROPOSALS** -- This section indicates the criteria used by the Federal grantor agency to evaluate proposals in order to inform potential applicants of the application review process and the criteria used to award funds for projects.

Example: The criteria for selecting proposals are based upon the extent the project will contribute to needed services and training, capability of applicant to provide services and training, more effective utilization of personnel providing mental health services, and development of new methods or information.

**APPENDICES** -- The last section of the Catalog contains the following appendices: Programs Requiring Executive Order 12372 Review (Appendix I); Authorization Appendix (Appendix II); Budget Functional Code Appendix (Appendix III); Agency Regional and Local Office Addresses (Appendix IV); Sources of Additional Information (Appendix V); Developing and Writing Grants Proposals (Appendix VI); and in the December update to the Catalog, Historical Profile of Catalog Programs (Appendix VII).

**Appendix I -- Programs Requiring Executive Order 12372 Review:**  
This Appendix gives a brief description of Executive Order 12372. The description explains its purpose, identifies a listing of all Catalog program numbers and titles to which it applies, the general procedures to follow in applying for assistance, and the State Single Point of Contact List to which the States may refer for application coordination purposes.

**Appendix II -- Authorization Appendix:**  
This appendix lists Acts, Executive Orders and Public Law numbers that mandate programs in the Catalog. Acts and Executive Order citations are listed in alphabetic sequence and Public Law citations are listed numerically by the Congress. The citations are followed by their corresponding program numbers.

**Appendix III -- Budget Functional Code Appendix:**  
This appendix lists programs by the Budget functional classification. The three digits listed are the major and minor functional classifications used to identify the major purpose of the programs.

**Appendix IV -- Agency Regional and Local Office Addresses:**  
This appendix lists the names, addresses and telephone numbers of the regional and local offices that should be contacted for detailed information concerning a program and for initiating the process for applying for assistance. In cases where

a Federal agency does not have a regional or local office, the headquarters office listed in the program description should be contacted.

**Appendix V -- Sources of Additional Information:**

Information pertaining to Federal programs is available from Federal Information Centers and Federal Executive Boards as listed in this Appendix. Also listed are other government sources of information, including the 24 U.S. locations for the Government Printing Office Bookstores that sell the Catalog and other Federal publications.

**Appendix VI -- Developing and Writing Grants Proposals:**

General overview of the grants proposal process and suggested guidelines for developing and writing a well-prepared proposal to obtain Federal funding.

**Appendix VII -- Historical Profile of Catalog Programs:**

This appendix lists all programs that have been published in the Catalog of Federal Domestic Assistance beginning with the 1965 edition, and the subsequent action taken related to those programs. It can be found on the CFDA Web Site: <http://www.cfda.gov>



# AGENCY INDEX SUMMARY

The following is a summary description of the functions and activities of federal agencies responsible for administering programs listed in the Catalog. The CFDA program numbers are also listed next to the administering agency.

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## DEPARTMENT OF AGRICULTURE (10.001-10.999)

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Through leadership and partnership with USDA agencies: ensure the provision of information, technical assistance, and training to all USDA customers with emphasis on under-served populations, to assure they have full access to all USDA programs and services. Maintains effective competition and fair trade practices in the marketing of livestock, poultry for the protection of livestock and poultry producers. Administers programs to make food assistance available to people who need it. These programs are operated in cooperation with State and local governments. Participates in a nationwide system of agricultural research program planning and coordination between the States and the Department of Agriculture to encourage and assist in the establishment and maintenance of cooperation within and among the States and between the States and their Federal research partners. The primary function is to administer the Acts of Congress that authorize Federal appropriations for agricultural research carried on by the State agricultural experiment stations of the 50 States, Puerto Rico, Guam, the Virgin Islands, the District of Columbia, American Samoa, and Micronesia the Northern Marinas, approved schools of forestry, the 1890 land-grant institutions and Tuskegee University, colleges of veterinary medicine, and other eligible institutions. The Extension activities of the Cooperative State Research, Education, and Extension Service coordinates and provides administrative, technical, and other services to a nationwide Cooperative Extension System, in partnership with State and local governments and the private sector. The primary function of this system is to take the research findings of the Department of Agriculture, the State Land-Grant Colleges and programs administered by the Department of Agriculture, and to develop and deliver informal, out-of-school educational programs. These programs communicate and demonstrate to people how they can apply research findings to identify and solve farm, home, and community problems. This work is carried out through extension offices in each State, Puerto Rico, Guam, the Virgin Islands, the District of Columbia, American Samoa, and Micronesia, plus 16, 1890 land-grant universities and Tuskegee University as the State partner.

### **Agricultural Marketing Service (10.153, 10.155-10.156, 10.162-10.165, 10.167-10.168, 10.170-10.171)**

Administers standardization, grading, voluntary inspection, market news, marketing orders, regulatory, and related programs.

### **Agricultural Research Service (10.001, 10.700)**

Conducts research to develop new knowledge and technology to ensure an abundance of high quality agricultural commodities and products at reasonable prices to meet the increasing needs of an expanding economy and to provide for the continued improvement in the standard of living of all Americans. It conducts basic, applied, and developmental research on animal and plant production use and improvement of soil, water, and air processing, storage, distribution, food safety, consumer services and human nutrition research, and food and agriculture sciences. The National Agricultural Library of ARS disseminates useful information about agricultural and other related sciences to scientists and researchers, administrators and managers, farmers, and to the general public provides library services, such as bibliographies, reference services and document delivery.

### **Animal and Plant Health Inspection Service (10.025, 10.028)**

Conducts regulatory and control programs to protect and improve animal and plant health for the benefit of man and the environment and to control or reduce damage caused by nuisance mammals and birds and those mammal and bird species that are reservoirs for zoonotic diseases, except for urban rodent control.

### **Departmental Management (10.443, 10.465)**

DM's mission is to provide management leadership to ensure that USDA administrative programs, policies, advice and counsel meet the needs of USDA program organizations, consistent with laws and mandates; and provide safe and efficient facilities and services to customers.

### **Economic Research Service (10.250, 10.253-10.256)**

The Economic Research Service produces economic and other social science information as a service to the general public and to help Congress and the administration develop, administer, and evaluate agricultural and rural policies and programs.

### **Farm Service Agency (10.051, 10.053-10.056, 10.069, 10.085-10.093, 10.095, 10.099, 10.103-10.104, 10.404, 10.406-10.407, 10.421, 10.435, 10.437, 10.449, 10.451)**

Administers domestic commodity price and income support, farm loan, disaster assistance, and conservation cost-share programs for the Department of Agriculture.

### **Food Safety and Inspection Service (10.475, 10.477, 10.479)**

Assures that meat, poultry and egg products moving in interstate and foreign commerce are safe, wholesome, unadulterated and accurately labeled, as required by the Federal Meat Inspection Act, the Poultry Products Inspection Act, and the Egg Products Inspection Act. The Meat, Poultry, and Egg Products Inspection Programs provide continuous in plant inspection of all domestic plants preparing meat, poultry, and egg products for sale or distribution in commerce. In addition, these acts include the review of inspection systems in foreign establishments that prepare meat, poultry, or egg products for export to the United States under inspection programs that are equivalent to the U.S. program. FSIS provides technical and financial assistance to States which maintain meat and poultry inspection programs equal to Federal inspection. FSIS also enters into Cooperative Agreements with Academic institutions; State, local and tribal government agencies; and non-profit organizations to improve Food Safety and Food Defense.

### **Food and Nutrition Service (10.551, 10.553, 10.555-10.561, 10.565-10.569, 10.572, 10.574, 10.576, 10.578-10.580, 10.582-10.583, 10.585-10.586, 10.588)**

The Food and Nutrition Service (FNS) administers the USDA food assistance programs. These programs, which serve one in six Americans, represent our Nation's commitment to the principle that no one in this country should fear hunger or experience want. They provide a Federal safety net to people in need. The goals of the programs are to provide needy persons with access to a more nutritious diet, to improve the eating habits of the Nation's children, and to help America's farmers by providing an outlet for distributing foods purchased under farmer assistance authorities. The Service works in partnership with the States in all its programs. State and local agencies determine most administrative details regarding distribution of food benefits and eligibility of participants and FNS provides commodities and funding for additional food and to cover administrative costs.

### **Foreign Agricultural Service (10.605, 10.610, 10.613-10.614, 10.777, 10.961-10.962, 10.998)**

The export promotion and service agency for the U.S. Department of

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**Agriculture.** Stimulates overseas markets for U.S. agricultural products. FAS fulfills its role as the promotional agency for the world's largest agricultural export business through its network of agricultural counselors, attaches, and trade officers stationed overseas and its backup team of analysts, marketing specialists, negotiators, and related specialists. FAS maintains a worldwide agricultural intelligence and reporting system through its attached service. FAS also has a continuing market development program to develop, service, and expand commercial export markets for U.S. agricultural products. By virtue of the Agricultural Trade Act of 1978, FAS received authority to open at least 6 and not more than 25 agricultural trade offices overseas to develop, maintain and expand international markets for U.S. agricultural commodities. Ten of these offices have been established and are located in such key markets as West Germany, Saudi Arabia, Singapore, and Mexico City. To improve access for U.S. farm products abroad, FAS international trade policy specialists coordinate and direct USDA's responsibilities in international trade agreement programs and negotiations. FAS also manages the Public Law 480 Program, Titles I and III (Food for Peace Program), and the Commodity Credit Corporation (CCC) Export Credit Guarantee Programs. Public Law 480 is aimed at long-range improvement in the economies of developing countries. Commercial programs promote commercial agricultural exports by providing credit guarantees to exporters which are used to obtain additional U.S. exports. Title I, the concession sales section of Public Law 480, provides for low-interest, long-term credit to recipients of U.S. farm commodities. The Title II program authorizes the donation of agricultural commodities to foreign governments, voluntary relief agencies, or intergovernmental organizations. Title III permits multiyear programming and forgiveness of dollar payments, provided the recipient country undertakes specific agricultural and economic development projects for commodities delivered under Title I agreements. FAS focuses on sharing knowledge of agriculture through development assistance and cooperation with other countries. Primary activities are providing technical assistance and training in agriculture to other countries, particularly the developing world; working with international food and agricultural organizations to solve world food problems; and sponsoring scientific exchanges and research that will help farmers both at home and abroad.

## **Forest Service (10.652, 10.664-10.666, 10.672, 10.674-10.676, 10.678-10.685, 10.687-10.691, 10.693-10.694)**

Cares for the land and serves people. Promotes the sustainability of ecosystems by ensuring their health, diversity, and productivity, which is coupled with this service ethic: work collaboratively and use appropriate scientific information in caring for the land and serving people. Provides financial, technical and scientific assistance to outside organizations in order to achieve these goals when authorized by statute. These land and service ethics are applied by the Forest Service through ecosystem management. Ecosystem management is the integration of ecological, economic, and social factors in order to maintain and enhance the quality of the environment to meet current and future needs. The four strategic goals of the Forest Service are to: (1) protect ecosystems, (2) restore deteriorated ecosystems, (3) provide multiple benefits for people within the capabilities of ecosystems, and (4) ensure organizational effectiveness. The Forest Service Natural Resource Agenda identifies four key areas of national focus. They are: watershed, health and restoration; sustainable forest ecosystem management; forest roads management; and recreation enhancement. Implementation of the agenda will help bring people together and help them find ways to live within the limits of the land. This in turn will ensure that future generations will forever be endowed with the rich natural bounty of our Nation.

## **National Agricultural Statistics Service (10.950)**

Agricultural estimates involve collecting, analyzing, and publishing agricultural production and marketing data, including: number of farms and acreage in farms; crop acreage, yields, production, stocks, value, and utilization; inventories and production of livestock, poultry, eggs, and dairy products; prices received by farmers for products, prices paid for commodities and services for living and

production, and related indexes; farm employment and wage rates; cold storage supplies; agricultural chemical use; aquaculture; and other relevant aspects of the agricultural economy. Estimates for about 120 crops and 45 livestock items are published in about 400 Federal and 9,000 State-Federal reports each year. Beginning in 1997, NASS is responsible for the Census of Agriculture, previously conducted by the Bureau of the Census, Commerce Department. The Census of Agriculture is taken every 5 years and provides comprehensive data down to the county level on all aspects of the agricultural economy for the U.S., as well as selected data for American Samoa, Puerto Rico, Guam, Virgin Islands, and the Northern Mariana Islands. All information is made available to the news media and the public at scheduled release times and is available for free on the Internet. Statistical research and service is directed toward improving crop and livestock estimating techniques. Considerable emphasis is placed on improving survey sample designs as well as testing new forecasting and estimating techniques, such as using satellite data.

## **National Institute of Food and Agriculture (10.200, 10.202-10.203, 10.205, 10.207, 10.210, 10.212, 10.215-10.217, 10.219-10.223, 10.225-10.228, 10.303-10.320, 10.322, 10.324-10.325, 10.500)**

The National Institute of Food and Agriculture (NIFA) is an agency within the U.S. Department of Agriculture (USDA), part of the executive branch of the Federal Government. Congress created NIFA through the Food, Conservation, and Energy Act of 2008. NIFA replaced the former Cooperative State Research, Education, and Extension Service (CSREES), which had been in existence since 1994. NIFA's unique mission is to advance knowledge for agriculture, the environment, human health and well-being, and communities by supporting research, education, and extension programs in the Land-Grant University System and other partner organizations. NIFA doesn't perform actual research, education, and extension but rather helps fund it at the state and local level and provides program leadership in these areas.

## **Natural Resources Conservation Service (10.072, 10.901-10.905, 10.907, 10.912-10.914, 10.916-10.917, 10.920-10.926)**

Develops and carries out a national soil and water conservation program in cooperation with landowners, operators and other land users and developers, community planning agencies and regional resource groups, Federal, State, and local government agencies; also assists in agricultural pollution control, environmental improvement, and rural community development. Preserves, protects, and restores valued wetlands, and improves wildlife and migratory bird habitat. Supports the objectives of the Nation's commitment to the 1973 International Boundary and Water Commission Agreement concerning the quality of water in the Colorado River delivered downstream to users in the United States and the Republic of Mexico. Conserves water; preserves, maintains, and improves migratory waterfowl habitat and other wildlife resources. Encourages good forestry management through the development, management, and protection of non-industrial private forest lands, to increase the production of timber and enhance other forest resources.

## **Risk Management Agency (10.450, 10.455-10.456, 10.458-10.459)**

The Risk Management Agency (RMA) is part of USDA. RMA's role is to help producers manage their business risks through effective, market-based risk management solutions. RMA's mission is to promote, support, and regulate sound risk management solutions to preserve and strengthen the economic stability of America's agricultural producers. As part of this mission, RMA operates and manages the Federal Crop Insurance Corporation (FCIC). RMA was created in 1996; the FCIC was founded in 1938. RMA, via the FCIC, provides crop insurance to American producers. Private-sector insurance



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companies sell and service the policies. RMA develops and/or approves the premium rate, administers premium and expense subsidy, approves and supports products, and reinsures the insurance companies. RMA through the formation of partnerships with public and private organizations fund projects that:

(A) Create new products, seek enhancements in existing products, and expand the use of non-insurance risk management tools that will be utilized by agricultural producers to assist them in mitigating the risks inherent in agricultural production. Risk management tools include a variety of risk management options and strategies developed to assist producers in mitigating the risks inherent in agricultural production. Risk management tools may include financial management tools to mitigate price and production risks; tools to enhance measurement and prediction of risks in order to facilitate risk diversification; tools to improve production management, harvesting, record keeping or marketing. (B) Provide women, limited resource, socially disadvantaged, and other traditionally underserved producers of Priority Commodities with risk management training, informational opportunities, and assistance necessary to understand: (1) The kind of risks addressed by existing and emerging risk management tools; (2) The features and appropriate use of existing and emerging risk management tools; and (3) How to make sound risk management decisions. (C) Deliver crop insurance education and information to U.S. agricultural producers in certain States that have been designated as historically underserved with respect to crop insurance. The states, collectively referred to as Targeted States, are Connecticut, Delaware, Maine, Maryland, Massachusetts, Nevada, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Utah, Vermont, West Virginia, and Wyoming. (D) Deliver risk management education and information in the management of production, marketing, and financial risk to U.S. agricultural producers. The program gives priority to educating producers of crops currently not insured under Federal crop insurance, specialty crops, and underserved commodities, including livestock and forage.

## **Rural Business-Cooperative Service (10.778, 10.865-10.868, 10.870)**

The mission of the Rural Business-Cooperative Service is to enhance the quality of life for all rural Americans by providing leadership in building competitive businesses and sustainable cooperatives that can prosper in the global marketplace.

## **Rural Development (10.350, 10.352, 10.405, 10.410-10.411, 10.415, 10.417, 10.420, 10.427, 10.433, 10.438, 10.444, 10.446-10.448, 10.759-10.763, 10.766-10.771, 10.773, 10.780-10.781, 10.783, 10.788-10.789, 10.850-10.851, 10.854-10.859, 10.861, 10.863-10.864, 10.874, 10.886)**

Rural Development is working to eliminate substandard housing from rural America by helping rural people buy, build or rent decent housing. We also create jobs by funding the growth and creation of rural businesses and cooperatives. In a typical year, Rural Development programs create or preserve more than 150,000 rural jobs, enable 40,000 to 50,000 rural Americans to buy homes and help 450,000 low-income rural people rent apartments or other housing. Other Rural Development programs help rural communities build or improve community facilities, such as schools, health clinics and fire stations. We also have programs that help rural communities build or extend utilities, including water, electricity and telecommunications services.

## **Rural Utilities Service (10.787, 10.862)**

Electricity, telephone, water and waste disposal services have been taken for granted in American cities since at least the 1920's. But if you lived in a rural area only 60 years ago, chances are you went without these necessities of modern life and high standard of living they make possible. Modern utilities came to rural America through some of the most successful government initiatives in American history, carried out through the U.S. Department of

Agriculture (USDA) working with rural cooperatives, nonprofit organizations, public bodies, and for-profit utilities.

## **The Office of the Chief Economist (10.290)**

The Office of the Chief Economist (OCE) advises the Secretary on the economic implications of policies and programs affecting the U.S. food and fiber system and rural areas as well as coordinates, reviews, and approves the Department's commodity and farm sector forecasts. OCE staff also coordinates USDA's Agricultural Outlook Forum, which has been hosted annually since 1923.

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## **DEPARTMENT OF COMMERCE (11.001-11.999)**

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### **National Oceanic and Atmospheric Administration (NOAA) (11.432)**

Reports the weather of the U.S. and its possessions and provides weather forecasts to the general public, issues warnings against such destructive natural events as hurricanes, tornadoes, floods, and tsunamis and provides special services in support of aviation, marine activities, agriculture, forestry, urban air-quality control, and other weather-sensitive activities; monitors and reports all nonfederal weather modification activities conducted in the U.S.; conducts an integrated program of management, research, and services related to the protection and rational use of living marine mammals; prepares and issues nautical and aeronautical charts, provides the Nation's precise geodetic surveys, and conducts broad research programs in marine and atmospheric sciences, solar-terrestrial physics, and experimental meteorology, including weather modifications; predicts tides, currents, and the state of the oceans, conducts research and development aimed at providing alternatives to ocean dumping; provides Federal leadership in promoting wise and balanced management of the Nation's coastal zone; provides satellite observations of the environment by establishing and operating a national environmental satellite system; conducts integrated program of research and services relating to the oceans and inland waters, the lower and upper atmosphere, space environment, and the earth; acquires, stores, and disseminates worldwide environmental data through a system of meteorological, oceanographic, geodetic, and seismological data centers; develops a system of data buoys for automatically obtaining and disseminating marine environmental data; promotes the development of technology to meet future needs of the marine community.

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## **DEPARTMENT OF DEFENSE (12.001-12.999)**

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Principal advisor to the Under Secretary of Defense (Policy) and the Secretary of Defense on national security strategy and defense strategy and in the requirements, forces and contingency plans necessary to implement those strategies. Civil functions of the Department of the Army include the Civil Works Program, the administration of Arlington and Soldiers' Home National Cemeteries, and other related matters. The Army's Civil Works Program, a responsibility of the Corps of Engineers is the Nation's major Federal water resources development activity and involves engineering works such as major dams, reservoirs, levees, harbors, waterways, locks, and many other types of structures. These works provide flood protection for cities and major river valleys, reduce the cost of transportation, supply water for municipal and industrial use, generate hydroelectric power, provide recreational opportunities for vast numbers of people, regulate the rivers for many purposes including the improvement of water quality and the enhancement of fish and wildlife, protect the shores of the oceans and lakes, and provide still other types of benefits. Planning assistance is also provided to States and other nonfederal entities for the comprehensive management of water resources, including pollution abatement works. In addition, through the Civil Works Program the Federal

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government protects the navigable waters of the United States under legislation empowering the Secretary of the Army to prohibit activities which would reduce the value of such waters to the Nation. Includes two lead offices: the Office of Naval Research and the Office of Naval Technology. The Chief of Naval Research is responsible for the Department of Navy Research (6.1) and Exploratory Development (6.2) Programs. The Chief of Naval Research is responsible to the Secretary of the Navy through the Assistant Secretary (Research, Engineering and Systems) and is a principal adviser to the latter. The Chief of Naval Research is also responsible for providing leadership, management, and direction to the Department of Navy research and exploratory development programs and other research, development, technology, and equipment programs assigned to and conducted by the Office of the Chief of Naval Research; developing and formulating viable and responsive naval research and technology requirements based on current and projected Navy and Marine Corps long-range objectives and considerations of national security; and coordinating naval research and promoting cooperative research efforts within the Department of the Navy with other elements of the Department of Defense, National Science Foundation, National Aeronautics and Space Administration, Department of Energy, and other government research groups. The Office of Naval Research also conducts research in conjunction with the research and development conducted by other Department of Navy activities, coordinates the Naval Basic Research Program, and conducts a contract management program with educational institutions in support of all Federal agencies. The Office of Naval Technology, established in October 1980, manages the Department of Navy's Exploratory Development (6.2) Program, assessing, planning, programming, budgeting, directing, and monitoring the program, and manages the oversight activities in regard to the Industrial Independent Research and Development Program. The Secretary's responsibilities include matters pertaining to organization, training, logistical support, maintenance, welfare of personnel, administrative, recruiting, research and development, and other activities prescribed by the President or the Secretary of Defense. The principal assistant to the Secretary is the Under Secretary, who acts with the full authority of the Secretary on all affairs of the Department. The Air Force Materiel Command researches, develops, tests, acquires, delivers, and logistically supports every Air Force weapons system. It has responsibilities from inception of a weapons system through its operational life and final disposition. The Air Force Materiel Command operates major product centers, logistics centers, test centers, and laboratories. It was created in July 1992 through the integration of the Air Force Logistics Command and the Air Force Systems Command. The Defense Advanced Research Projects Agency is a separately organized agency within the Department of Defense under a Director appointed by the Secretary of Defense. The Agency engages in advanced, basic, and applied research and development projects essential to the Department of Defense, and conducts prototype projects that embody technology that may be incorporated into joint programs, programs in support of deployed U.S. forces, or selected Military Department programs and, on request, assists the Military Departments in their prototype efforts. In this regard, the Agency arranges, manages, and directs the performance of work connected with assigned advanced projects by the Military Departments, other government agencies, individuals, private business entities, as appropriate; recommends through the Under Secretary of Defense for Acquisition to the Secretary of Defense assignment of advanced projects to the Agency; keeps the Under Secretary, the Organization of Joint Chiefs of Staff, the Military Departments, and other Department of Defense agencies informed on significant new developments and technological advances within assigned projects; and performs other such functions as the Secretary of Defense or the Under Secretary may assign.

## **Department of the Air Force, Materiel Command (12.800)**

The Air Force Materiel Command researches, develops, tests, acquires, delivers, and logistically supports every Air Force weapons system. It has responsibilities from inception of a weapons system through its operational life and final disposition.

## **Department of the Army, Office of the Chief of Engineers (12.101, 12.105-12.108, 12.110, 12.112, 12.116, 12.118-12.121, 12.123-12.128)**

No Description Provided

## **Department of the Navy, Office of the Chief of Naval Research (12.330)**

No Description Provided

## **Department of the Navy, SPAWAR (12.335)**

No Description Provided

## **Federal Voting Assistance Program (12.217)**

No Description Provided

## **Marine Corps Systems Command (12.369)**

No Description Provided

## **National Security Agency (12.901-12.902)**

The National Security Agency/Central Security Service is responsible for the centralized coordination, direction, and performance of highly specialized technical functions in support of U.S. Government activities to protect U.S. communications and produce foreign intelligence information. The National Security Agency was established by Presidential directive in 1952 as a separately organized agency within the Department of Defense. In this directive, the President designated the Secretary of Defense Executive Agent for the signals intelligence and communications security activities of the Government. The Agency was charged with an additional mission, computer security, in a 1984 Presidential directive, and with an operations security training mission in a 1988 Presidential directive. In 1972 the Central Security Service was established, in accordance with a Presidential memorandum, to provide a more unified cryptologic organization within the Department of Defense and appointed the Director, National Security Agency, as Chief of the Central Security Service. The Agency has three primary missions: an information systems security mission, an operations security training mission, and a foreign intelligence information mission.

## **Office of Economic Adjustment (12.600)**

Is responsible for planning the Department's economic adjustment programs and for assisting Federal, State, and local officials in cooperative efforts to alleviate any serious social and economic side effects resulting from major departmental realignments or other actions.

## **Office of the Secretary of Defense (12.360, 12.550, 12.558, 12.560, 12.597, 12.631)**

The Secretary's responsibilities include matters pertaining to organization, training, logistical support, maintenance, welfare of personnel, administrations, recruiting, research and development, and other activities prescribed by the President or the Secretary of Defense. The principal assistant to the Secretary is the Under Secretary, who acts with the full authority of the Secretary on all affairs of the Department.

## **U.S. Army Materiel Command (12.431)**

The Commanding General, United States Army Materiel Command, develops and provides materiel and related services to the Army. To Army elements of

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unified commands and specified commands, to Department of Defense agencies, and to other United States and foreign agencies as directed. His principal missions are to equip and sustain a trained, ready Army; to provide equipment and services to other nations through the security assistance program; to develop and acquire non-major systems and equipment; to provide development and acquisition support to program managers; to define, develop, and acquire superior technologies; to maintain the mobilization capabilities necessary to support the Army in emergencies; and to continue to improve productivity and quality of life.

## **Uniformed Services University of the Health Sciences (12.750)**

No Description Provided

## **DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT (14.001-14.999)**

The Assistant Secretary for Housing-Federal Housing Commissioner directs the Department's housing functions. He or she oversees aid for the construction and financing of new and rehabilitated housing and the preservation of existing housing. The Assistant Secretary is responsible for: Underwriting single family, multifamily, property improvement, and manufactured home loans; administering special purpose programs designed specifically for the elderly, the handicapped, and the chronically mentally ill; administering assisted housing programs for low-income families who are experiencing difficulties affording standard housing; administering grants to fund resident ownership of multifamily housing properties; protecting consumers against fraudulent practices of land developers and promoters, and administering housing development grants, where HUD provides grants to cities, urban counties, and States acting on behalf of local governments to support the development of rental housing in areas with severe rental housing shortages. Grantees use the HUD funds to provide capital grants or loans, interest-reduction payments, rental subsidies, or other types of assistance to facilitate the construction or substantial rehabilitation of rental projects by private owners. The Assistant Secretary for Community Planning and Development administers the grant programs that help communities plan and finance their growth and development, increase their capacity to govern, and provide shelter and services for homeless people. In addition, the Assistant Secretary is responsible for: Community Development Block Grant (CDBG) Programs for Entitlement Communities, States and HUD-administered Small Cities, Section 108 Community Development Loan Guarantees, and Special Purpose Grants for Insular Areas, Historically Black Colleges and Universities, and Technical Assistance; Home Investment in Affordable Housing (HOME), providing Federal assistance for use by participating jurisdictions or Indian tribes for housing rehabilitation, tenant-based assistance, assistance to first time homebuyers and new construction when a jurisdiction is determined to need new rental housing; the Department's programs to address homelessness, including the Supportive Housing Program (Transitional Housing and Permanent Housing components), Shelter Plus Care, Surplus Property for Use to Assist the Homeless, Section 8 Moderate Rehabilitation Single Room Occupancy (SRO) Program, Housing Opportunities for Persons with AIDS, and Emergency Shelter Grants; The Youthbuild Program to provide opportunities and assistance to very low-income young adults who have dropped out of high school; Consolidated Plans; and Empowerment Zones and Enterprise Communities. The Assistant Secretary for Public and Indian Housing (PIH) directs the Department's low-income public housing program. This program provides funds for the development, operation, and modernization of public housing, including such housing for American Indians. It also promotes resident management and ownership of public housing. PIH administers Public and Indian Housing Programs, including rental and homeownership programs and provides technical and financial assistance in planning, developing, and managing low-income projects; provides operating subsidies for Public Housing Agencies (PHAs) and Indian Housing Authorities

(IHAs), including procedures for the review of the management of PHAs and IHAs; administers the Capital Fund Program for the modernization of low-income housing projects to upgrade living conditions, correct physical deficiencies, and achieve operating efficiency and economy; administers the Resident Initiatives Program for resident participation, resident management; homeownership, economic development and supportive services, and drug-free neighborhood programs; implements and monitors program requirements related to program eligibility and admission of families to public and assisted housing, tenant income and rent requirements pertaining to continued occupancy; administers the HOPE VI and Vacancy Reductions Programs; administers the Section 8 Housing Choice Vouchers Program and the Moderate Rehabilitation Program; coordinates all departmental housing and community development programs for Indian and Alaska Natives; and awards grants to PHAs and IHAs for the construction, acquisition and operations of Public and Indian Housing Projects. The Office is responsible for: Increasing awareness of the public and building industry of the dangers of lead-based paint poisoning and the options for detection, risk reduction, and abatement; encouraging the development of safer, more effective, and less costly methods for detection, risk reduction, and abatement; encouraging State and local governments to develop lead-based paint programs covering primary prevention, public education, certification of contractors, hazard reduction, financing, and enforcement.

## **Office of Community Planning and Development (14.218, 14.225, 14.228, 14.231, 14.235, 14.238-14.239, 14.241, 14.246-14.249, 14.251-14.252, 14.259, 14.261, 14.263-14.264)**

The Assistant Secretary for Community Planning and Development administers the grant programs that help communities plan and finance their growth and development, increase their capacity to govern, and provide shelter and services for homeless people. In addition, the Assistant Secretary is responsible for: Community Development Block Grant (CDBG) Programs for Entitlement Communities, States and HUD-administered Small Cities, Section 108 Community Development Loan Guarantees, and Special Purpose Grants for Insular Areas, Historically Black Colleges and Universities, and Technical Assistance; Home Investment in Affordable Housing (HOME) providing Federal assistance for use by participating jurisdictions or Indian tribes for housing rehabilitation, tenant-based assistance, assistance to first time home buyers and new construction when a jurisdiction is determined to need new rental housing; the Department's programs to address homelessness, including the Supportive Housing Program (Transitional Housing and Permanent Housing components), Shelter Plus Case, Surplus Property for Use to Assist the Homeless, Section 8 Moderate Rehabilitation Single Room Occupancy (SRO) Program, Housing Opportunities for Persons with AIDS, and Emergency Shelter Grants; the Youthbuild Program to provide opportunities and assistance to very low-income young adults who have dropped out of high school; Consolidated Plans; and Empowerment Zones and Enterprise Communities.

## **Office of Fair Housing and Equal Opportunity (14.400-14.401, 14.408, 14.416-14.418, 14.420-14.421)**

The Assistant Secretary for Fair Housing and Equal Opportunity (FHEO) supervises HUD's housing and community development activities to promote fair housing and equal opportunity for all, regardless of race, religion, sex, or national origin. He or she also promotes equal opportunity for disabled people and families with children. FHEO administers: Fair Housing laws and regulations; and the Fair Housing Assistance Program that provides financial and technical assistance to State and local government agencies to implement local fair housing laws and ordinances.

## **Office of Healthy Homes and Lead Hazard Control (14.900, 14.902, 14.905-14.906, 14.913-14.914)**

The Office is responsible for: Increasing awareness of the public and building industry of the dangers of lead-based paint poisoning and the options for

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detection, risk reduction, and abatement; encouraging the development of safer, more effective, and less costly methods for detection, risk reduction, and abatement; encouraging State and local governments to develop lead-based paint programs covering primary prevention, public education, certification of contractors, hazard reduction, financing, and enforcement.

**Office of Housing-Federal Housing Commissioner (14.103, 14.108, 14.110, 14.117, 14.119, 14.122-14.123, 14.126-14.129, 14.133-14.135, 14.138-14.139, 14.142, 14.149, 14.151, 14.155, 14.157, 14.159, 14.162-14.163, 14.167, 14.169, 14.171-14.172, 14.175, 14.181, 14.183-14.184, 14.188-14.189, 14.191, 14.195, 14.198, 14.311, 14.313-14.316, 14.319, 14.321-14.324)**

The Assistant Secretary for Housing-Federal Housing Commissioner directs the Department's housing functions. He or she oversees aid for the construction and financing of new and rehabilitated housing and the preservation of existing housing. The Assistant Secretary is responsible for: Underwriting single family, multifamily, property improvement, and manufactured home loans; administering special purpose programs designed specifically for the elderly, the handicapped, and the chronically mentally ill; administering assisted housing programs for low-income families who are experiencing difficulties affording standard housing; administering grants to fund resident ownership of multifamily housing properties; protecting consumers against fraudulent practices of land developers and promoters, and administering housing development grants, where HUD provides grants to cities, urban counties, and States acting on behalf of local governments to support the development of rental housing in areas with severe rental housing shortages. Grantees use the HUD funds to provide capital grants or loans, interest-reduction payments, rental subsidies, or other types of assistance to facilitate the construction or substantial rehabilitation of rental projects by private owners.

**Office of Policy Development and Research (14.506, 14.516, 14.523-14.525, 14.529)**

The Assistant Secretary for Policy Development and Research (PD&R) supervises the Department's research activities and the development of its policies and is responsible for experimental housing and technical studies. PD&R develops a research agenda to reflect the overall policy needs of the Department; performs background analyses, studies, and priority assessments concerning housing and community development issues; provides economic analyses and recommendations, performs housing and financial market research, and designs and monitors several housing related data series; evaluates existing and new HUD programs to determine whether these programs are reaching their intended beneficiaries and providing the intended results, whether program costs are reasonable, and whether programs are having any unintended effects; analyzes the adequacy of existing and proposed program information systems and implement improvements or create systems to support new programs; evaluate new housing and construction materials and techniques and develop ways to encourage use of new technology; supports the Secretary in carrying out his regulatory oversight of the Federal National Mortgage Association and the Federal Home Loan Mortgage Corporation and prepares annual reports to the Congress; manages research contracts, cooperative agreements, and grants; and administers the Office of University Partnerships and oversees grants awarded for general research and technology, the Community Development Work Study Program, Hispanic-Serving Institutions Work Study Program, and the Community Outreach Programs.

**Office of Public and Indian Housing (14.005, 14.850, 14.856, 14.862, 14.865-14.867, 14.869-14.874, 14.877-14.881, 14.887, 14.889, 14.891)**

The Assistant Secretary for Public and Indian Housing (PIH) directs the Department's low-income public housing program. This program provides funds

for the development, operation, and modernization of public housing, including such housing for American Indians. It also promotes resident management and ownership of public housing. PIH administers Public and Indian Housing Programs, including rental and home-ownership programs and provides technical and financial assistance in planning, developing, and managing low-income projects; provides operating subsidies for Public Housing Agencies (PHAs) and Indian Housing Authorities (IHAs), including procedures for the review of the management of PHAs and IHAs; administers the Capital Fund Program for the modernization of low-income housing projects to upgrade living conditions, correct physical deficiencies, and achieve operating efficiency and economy; administers the Resident Initiatives Program for resident participation, resident management; home-ownership, economic development and supportive services, and drug-free neighborhood programs; implements and monitors program requirements related to program eligibility and admission of families to public and assisted housing, tenant income and rent requirements pertaining to continued occupancy; administers the HOPE VI and Vacancy Reductions Programs; administers the Section 8 Housing Choice Vouchers Program and the Moderate Rehabilitation Program; coordinates all departmental housing and community development programs for Indian and Alaska Natives; and awards grants to PHAs and IHAs for the construction, acquisition and operations of Public and Indian Housing Projects.

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**DEPARTMENT OF THE INTERIOR (15.001-15.999)**

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The U.S. Department of the Interior uses sound science to manage and sustain Americas lands, water, wildlife, and energy resources, honors our nations responsibilities to tribal nations, and advocates for Americas island communities. As keepers our nations legacy, we manage the resources in our care to benefit Americans now and in the future. Under the leadership of Secretary Ken Salazar, our department and its employees are developing and implementing the cutting-edge science and expert management techniques that make this possible.

**Bureau of Indian Affairs (15.020-15.022, 15.024-15.025, 15.029-15.030, 15.033, 15.036-15.038, 15.040-15.041, 15.048, 15.051-15.053, 15.061-15.062, 15.124, 15.141, 15.144, 15.146-15.148)**

Administers Federal Indian policy and discharges the Federal trust responsibility for American Indian tribes and Alaska Natives. Provides services directly, or through self-determination contract, grant and compact agreements with tribes and tribal organizations, to over 1.2 million American Indians and Alaska Natives to strengthen tribal governments, enhance the quality of life, promote economic opportunity, and protect and improve trust assets. The Bureau administers more than 43 million acres of tribally-owned land, over 10 million acres of individually-owned land held in trust status, and 417,000 acres of Federally-owned land.

**Bureau of Indian Education (15.026-15.028, 15.042-15.047, 15.058-15.059, 15.114, 15.130, 15.149-15.151)**

As stated in Title 25 CFR Part 32.3, BIEs mission is to provide quality education opportunities from early childhood through life in accordance with a tribes needs for cultural and economic well-being, in keeping with the wide diversity of Indian tribes and Alaska Native villages as distinct cultural and governmental entities. Further, the BIE is to manifest consideration of the whole person by taking into account the spiritual, mental, physical, and cultural aspects of the individual within his or her family and tribal or village context.

**Bureau of Land Management (15.214, 15.222, 15.224-15.225, 15.227-15.242)**

Has responsibility for the total management of 341 million acres of public lands

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located primarily in the Far West and Alaska and scattered parcels located in other States. In addition to minerals management responsibilities on the public lands and the Outer Continental Shelf, the Bureau is responsible for subsurface resource management of an additional 169 million acres where mineral rights have been reserved to the Federal Government. Resources managed by the Bureau include timber, minerals, oil and gas, geothermal energy, wildlife habitat, endangered plant and animal species, rangeland vegetation, recreation and cultural values, wild and scenic rivers, designated conservation and wilderness areas, and open space; provides for the protection (including fire suppression), orderly development, and use of public lands and resources under principles of multiple use and sustained yield. Land use plans are developed with public involvement to provide orderly use and development while maintaining and enhancing the quality of the environment; manages watersheds to protect soil and enhance water quality; makes land available through sale to individuals, organizations, local governments, and other Federal agencies when such transfer is in the public interest. Lands may be leased to State and local government agencies and to nonprofit organizations for certain purposes; the Bureau issues rights-of-way, in certain instances, for crossing Federal lands under other agencies' jurisdictions; is responsible for the survey of Federal lands and establishes and maintains public land records and records of mining claims; and also administers a program of payments in lieu of taxes based on the amount of Federally-owned land in counties and other units of local government.

## **Bureau of Reclamation (15.504, 15.506-15.514, 15.516-15.534, 15.536-15.551)**

The Bureau of Reclamation manages, develops, and protects water and related resources in an environmentally and economically sound manner in the interest of the American public. The agency is the nation's second largest wholesale water supplier, administering 348 reservoirs with 245 million acre-feet of water. One out of five western farmers uses Reclamation water to irrigate 10 million acres of land, producing 60 percent of the nation's vegetables and 25 percent of its fruits and nuts. The agency also serves as the fifth largest electric utility in the 17 States west of the Mississippi River. Reclamation encourages and supports water conservation and environmental restoration through partnerships, incentive programs, and challenge grants. It also supports efforts to meet increasing water demands through water reclamation, recycling, and reuse.

## **Fish and Wildlife Service (15.605, 15.608, 15.611, 15.614-15.616, 15.619-15.623, 15.625-15.626, 15.628-15.631, 15.633-15.637, 15.639-15.645, 15.647-15.670)**

The Office of the Assistant Secretary for Fish and Wildlife and Parks has responsibility for programs associated with the use, management and conservation of natural resources, lands and cultural facilities associated with the National Park and National Refuge Systems, and the conservation and enhancement of fish, wildlife, vegetation, and habitat. The Office represents the Department in the coordination of marine ecosystems and biological resources programs with other Federal agencies. It also exercises secretarial direction and supervision over the United States Fish and Wildlife Service and the National Park Service.

## **National Park Service (15.407, 15.904, 15.915-15.916, 15.918, 15.921-15.923, 15.926-15.937, 15.939-15.949)**

Administers for the American people an extensive system of national parks, monuments, historic sites, and recreation areas. The objectives of the National Park Service are to administer the properties under its jurisdiction for the enjoyment and education of our citizens, to protect the natural environment of the areas, and to assist States, local governments, and citizen groups in the development of park areas, the protection of the natural environment, and the preservation of historic properties.

## **Office of Insular Affairs (15.875)**

The Secretary of the Interior has administrative responsibility for coordinating federal policy in the territories of American Samoa, Guam, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands, and the responsibility to administer and oversee U.S. federal assistance provided to the Freely Associated States of the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau under the Compacts of Free Association. The Office of Insular Affairs executes these responsibilities on behalf of the Secretary.

## **Office of Natural Resources Revenue (15.429-15.440)**

In May 2010, Interior Secretary Ken Salazar issued Secretarial Order No. 3299 separating the MMS responsibilities into three distinct organizations, one of which was ONRR. Issued in June 2010, Secretarial Order No. 3302 formally eliminated the former MMS and created the Bureau of Ocean Energy Management, Regulation and Enforcement (BOEMRE). Effective October 1, 2010, the functions of MRM officially transferred to ONRR, reporting to the Assistant Secretary for Policy, Management and Budget. The ONRR is responsible for the efficient, timely, and accurate collection and disbursement of all royalty payments, rentals, bonuses, fines, penalties, assessments, and other revenue due the Federal Government, American Indian Tribes and allottees, states and the American people from the leasing and production of natural resources from Federal and Indian lands onshore and in the Outer Continental Shelf. ONRR is comprised of three program areas including Asset Management, Audit and Compliance Management, and Financial and Program Management. Each year, ONRR achieves optimal value by ensuring that all natural resources revenues are efficiently and accurately collected and disbursed to recipients in a timely manner. The ONRR collects and disburses annual revenues to the U.S. Treasury, five Federal agencies, 38 states, 41 American Indian Tribes, and about 30,000 individual Indian mineral owners.

## **Office of Surface Mining (15.250, 15.252-15.255)**

Creation of a nationwide program that protects society and the environment from the adverse effects of coal mining operations, while ensuring an adequate supply of coal to meet the Nation's energy needs. Major objectives of the Office include establishment of minimum national standards for regulating the surface effects of coal mining, assistance to the States in developing and implementing regulatory programs, and promotion of the reclamation of previously mined areas.

## **The Bureau of Ocean Energy Management, Regulation, and Enforcement (15.422, 15.426)**

The Bureau of Ocean Energy Management, Regulation, and Enforcement (BOEMRE) assesses the nature, extent, recoverability, and value of leasable minerals on the Outer Continental Shelf. It ensures the orderly and timely inventory and development and the efficient recovery of mineral resources; encourages utilization of the best available and safest technology; and safeguards against fraud, waste, and abuse.

## **U.S. Geological Survey (15.805, 15.807-15.820, 15.978)**

Perform surveys, investigations, and research covering topography, geology, biology, hydrology, and the mineral and water resources of the United States; classify lands as to their mineral and water resources; and publish and disseminate data relative to the foregoing activities.

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## **DEPARTMENT OF JUSTICE (16.001-16.999)**

Is responsible for enhancing the capacity and capability of State and local jurisdictions to prepare for and respond to incidents of domestic terrorism

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involving chemical and biological agents, radiological and explosive devices, and other weapons of mass destruction (WMD). It awards grants for equipment and provides training and technical assistance for State and local first responders. Provides policy coordination and general management authority over the Office of Justice Programs, which includes the Bureau of Justice Assistance, the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, and the Office for Victims of Crime. While each OJP Bureau and Office retains independent authority in awarding funds to carry out its programs, together these components function as a single agency whose goal is to promote innovative programs and to foster improvements in the Nation's criminal and juvenile justice systems.

## **Alcohol, Tobacco, Firearms and Explosives (16.012)**

No Description Provided

## **Bureau of Prisons (16.601-16.603)**

Responsible for the custody and care of inmates convicted to imprisonment for Federal crimes, the detention of individuals awaiting trial or sentencing in Federal court, and the confinement of the District of Columbia's sentenced felon population. To meet its mission of confining offenders and facilitating community re-entry, the BOP operates institutions at four security levels (minimum, low, medium, and high) to meet the various security needs of its diverse inmate population, and has one maximum-security prison for the less than one percent of the inmates who require that level of security. It also has administrative facilities, such as pretrial detention centers and medical referral centers, that have specialized missions and confine offenders of all security levels. The nationwide prison system includes a Central Office (headquarters), 6 regional offices, and 28 community corrections offices. The Central Office and regional offices provide administrative oversight and support to the institutions and community corrections offices. Community corrections offices oversee community corrections centers and home confinement programs.

## **Federal Bureau of Investigation (16.300-16.305, 16.307, 16.309)**

Investigates all violation of Federal laws with the exception of those which have been assigned by legislative enactment or otherwise to some other Federal agency. The FBI's jurisdiction includes a wide range of responsibilities in the criminal, civil, and security fields. Among these are espionage, sabotage, and other domestic security matters; kidnapping; extortion; bank robbery; interstate transportation of stolen property; civil rights matters; interstate gambling violations; fraud against the Government; and assault or killing the President or a Federal officer. Cooperative services of the FBI for other duly authorized law enforcement agencies include fingerprint identification, laboratory services, police training, the National Crime Information Center. Uniform crime reports, and National Instant Criminal Background Check System.

## **Violence Against Women Office (16.013-16.014, 16.016-16.020, 16.524-16.529, 16.556-16.557, 16.587-16.590, 16.684, 16.736, 16.805-16.806)**

The mission is to restructure and strengthen the criminal justice system's response to crimes of violence committed against women, in particular, domestic violence, sexual assault, and stalking, and enhance the services available to victims of such violence through the award of formula and discretionary grants to States, units of local government, Indian tribal governments, and other public and private entities in rural States.

## **DEPARTMENT OF LABOR (17.001-17.999)**

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The Office of the Assistant Secretary for Veterans' Employment and Training

(VETS) is responsible for the administration, formulating and implementation of policy and procedures affecting veterans as well as veteran's employment and training programs nationwide. VETS serves as a national leader on Veterans policy and procedure to the Department of Labor (DOL) and other Federal agencies. VETS fulfills a wide range of obligations prescribed by the Secretary of Labor regarding the employment and training needs of service-connected disabled veterans, Vietnam-era veterans, and veterans recently separated from military service. The VETS staff works closely with and provides technical assistance to State Employment Security Agencies and Job Training Partnership Act grant recipients to ensure that veterans are provided the priority services required by law. They also coordinate with employers, labor unions, veterans' service organizations, and community organizations through planned public information and outreach activities. Federal contractors are provided management assistance in complying with their veterans affirmative action and reporting obligations. Also administered by the Assistant Secretary through the Service is the Job Training Partnership Act, Title IV, Part C grant program designed to meet the employment and training needs of service-connected disabled veterans, Vietnam-era veterans, and veterans recently separated from military service. Job Training Partnership Act grants are awarded and monitored through the Services' national office and field staff. The Assistant Secretary also administers through the Service the Homeless Veterans Reintegration project grant program to provide employment, training, housing assistance, and supportive services to help homeless veterans reenter mainstream society. Homeless Veterans Reintegration Project grants are awarded and monitored through the Services' national office and field staff. Certain other Service staff also administer the veterans Uniformed Services Employment and Reemployment Rights Act program. They provide assistance to help restore job, seniority, and pension rights to veterans following absences from work for active military service and to protect employment and retention rights of members of the Reserve or National Guard. Other staff provide assistance to preference eligible veterans to ensure that they are not denied their veterans' preference benefits (preference in Federal government hiring and preference retention in reduction in force (RIF), under the Veterans Employment Opportunities Act (VEOA)). The Office of Disability Employment Policy (ODEP) provides national leadership on disability employment policy to the Department of Labor (DOL) and other Federal agencies. ODEP was established to bring a heightened, permanent focus to address the significant employment obstacles faced by individuals with disabilities and to ensure coordination among Federal agencies on matters related to or affecting people with disabilities. ODEP's research provides new knowledge used to develop evidence-based disability employment policies and practices for dissemination to workforce systems and partners. ODEP works to achieve its mission through collaborating on inter- and intra-agency initiatives, commissions, councils, and workgroups; building partnerships with Federal, state, local, and non-governmental stakeholders; reviewing Federal legislation and policies; designing and conducting research studies; highlighting and promoting policies and practices that increase the employment of people with disabilities; and implementing education and outreach initiatives. ODEP's stakeholders include Federal, state, and local government agencies, private and public employers and their employees, educational and training institutions, individuals with disabilities and their families, and the disability community.

## **Bureau of Labor Statistics (17.002-17.005)**

The Bureau of Labor Statistics (BLS) is the principal fact-finding agency for the Federal Government in the broad field of labor economics and statistics. The BLS is an independent national statistical agency that collects, processes, analyzes, and disseminates essential statistical data to the American public, the U.S. Congress, other Federal agencies, State and local governments, business, and labor. The BLS also serves as a statistical resource to the Department of Labor. BLS data must satisfy a number of criteria, including relevance to current social and economic issues, timeliness in reflecting today's rapidly changing economic conditions, accuracy and consistently high statistical quality, and impartiality in both subject matter and presentation.

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## **Employment Training Administration (17.201, 17.207, 17.225, 17.235, 17.245, 17.258-17.261, 17.264-17.265, 17.267-17.268, 17.270-17.283)**

The Employment and Training Administration(ETA) administers and oversees a number of programs designed to assist unemployed, unskilled, dislocated workers and the economically disadvantaged get the job training and other services needed to become fully productive members of society, while improving the skills and productivity of those already employed. ETA fulfills a wide range of responsibilities assigned to the Secretary of Labor relating to employment services, job training, and unemployment insurance. ETA funds training programs which enable workers to attain the skills needed for employment; administers a Federal-State employment service system which helps people find jobs and employers find workers. It also offers wage replacement programs for workers who lose their jobs through no fault of their own, such as the Unemployment Insurance (UI) and the Trade Adjustment Assistance (TAA) programs. Special efforts are made to address the unique job market problems of groups having difficulty entering or returning to the work force, such as older workers, school dropouts, displaced homemakers and individuals with disabilities. ETA also is responsible for promoting apprenticeship standards and programs and conducting programs of research, development and evaluation. The Job Training Partnership Act, enacted in 1982, is designed to provide training and related education and employment services to economically disadvantaged adults and youth to ensure that they have the required marketable skills leading to productive, unsubsidized employment. JTPA also provides reemployment and retraining services for workers dislocated through plant closings or mass layoffs. Block grants are provided to the States and U.S. territories for the operation of the program. JTPA provides for a summer youth employment and training program and Job Corps as well as special activities which offer basic skills training, job training and support services for special targeted groups such as Native Americans, and seasonal and migrant farmworkers. Implementing regulations for JTPA issued by the Department of Labor are contained in Title 20 of the Code of Federal Regulations, Parts 626-638 and 675-684. Effective July 1, 2000, JTPA is repealed and replaced by the Workforce Investment Act (WIA). WIA establishes, with States and local communities, a revitalized workforce investment system that provides workers with the information, advice, job search assistance, and training they need to get and keep good jobs, and provides employers with skilled workers. WIA is administered through State and local Workforce Investment Boards and required partnerships of local One-Stop Career Centers. Funds are used for youth, adult and dislocated worker employment and training activities. The Act also authorizes a number of national programs and the Job Corps. The U.S. Employment Service (ES) seeks to match workers looking for employment with employers seeking workers, and is operated by the States. Programs such as Alien Labor Certification are also administered under the ES by State ES agencies through reimbursement agreements with the Department of Labor. The Senior Community Service Employment Program (SCSEP), or Older Worker Program is authorized by the Older Americans Act of 1965. It provides subsidized part-time community service work for unemployed low-income people ages 55 and over. The Assistant Secretary for Employment and Training is responsible for ensuring that programs funded through ETA are free from unlawful discrimination, fraud, and abuse. It is the policy of ETA to ensure full compliance with constitutional, statutory, and regulatory provisions and to promote equal opportunity, affirmative action, and fund integrity in programs to which ETA extends financial assistance.

## **Mine Safety and Health Administration (17.600-17.604)**

Develops and promulgates mandatory safety and health standards, ensures compliance with such standards, assesses civil penalties for violations, investigates accidents, cooperates with and provides assistance to the States in

the development of effective State mine safety and health programs, improves and expands training programs in cooperation with the States and the mining industry, and, in coordination with the Department of Health and Human Services contributes to the improvement and expansion of mine health research and development. All of these activities are aimed at preventing and reducing mine accidents and occupational diseases in the mining industry.

## **Occupational Safety and Health Administration (17.502-17.505)**

Develops and promulgates occupational safety and health standards; develops and issues regulations; conducts investigations and inspections to determine the status of compliance with safety and health standards and regulations; and issues citations and proposes penalties for noncompliance with safety and health standards and regulations.

## **Office of Disability Employment Policy (17.720)**

The Office of Disability Employment Policy(ODEP) provides national disability employment policy leadership by developing and influencing the implementation of disability employment policies and practices affecting the employment of people with disabilities. ODEP's response to low employment rates among such a large group of Americans is unique, comprehensive, and aggressive, and includes the active involvement and cooperation of Federal, State, and local public and private entities, including employers. ODEP also leads efforts to achieve the employment related goals of the Presidents New Freedom Initiative. ODEP addresses the significant barriers to employment faced by individuals with disabilities by developing and disseminating national, State, and local disability employment policy; by fostering implementation of innovative strategies and practices among employers and throughout the various systems serving people with disabilities; by conducting disability-related research to build knowledge to inform policy development; and by providing technical assistance to service delivery systems and employers to increase employment opportunities and the recruitment, retention, and promotion of people with disabilities.

## **Office of Workers' Compensation Programs (17.302, 17.307, 17.310)**

The Office of Workers' Compensation Programs administers four major disability compensation programs which provide wage replacement benefits, medical treatment, vocational rehabilitation and other benefits to certain workers or their dependents who experience work-related injury or occupational disease.

## **Office of the Secretary, Women's Bureau (17.700)**

Formulates standards and policies that promote the welfare of wage earning women, improve their working conditions, increase their efficiency, advance their opportunities for profitable employment, and investigate and report on all matters pertinent to the welfare of women in industry. <104Office of Disability Employment Policy (17.720) Established to bring a heightened and permanent long-term focus to the goal of increasing employment of persons with disabilities. This is achieved through policy analysis, technical assistance, development of best practices, and outreach to persons with disabilities and employers. The Office develops and implements innovative pilot programs that integrate both youth and adults with significant disabilities into mainstream workforce programs.

## **Veteran's Employment and Training Service (17.801-17.802, 17.804-17.805, 17.807)**

The Veterans Employment and Training Service (VETS) is responsible for administering veterans employment and training programs and activities to ensure that legislative and regulatory mandates are accomplished. The field staff

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works closely with and provides technical assistance to State employment security agencies and to Workforce Investment Act and Homeless Veterans Reintegration Programs grant recipients to ensure that veterans are provided the priority services required by law. They also coordinate with employers, labor unions, veterans service organizations, and community organizations through planned public information and outreach activities. VETS provides training to separating service members through its transition assistance program. Federal contractors are provided management assistance in complying with their veterans affirmative action and reporting obligations. VETS protects the employment and reemployment rights of servicemembers and veterans by investigating complaints received under the Uniformed Services Employment and Reemployment Rights Act concerning denial of veterans preference in Federal hiring and also complaints concerning job, seniority, and pension rights to veterans following absences from work for active military service. VETS also protects employment and reemployment rights of members of the Reserve and National Guard.

## **U.S. DEPARTMENT OF STATE (19.001-19.999)**

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Advance freedom for the benefit of the American people and the international community by helping to build and sustain a more democratic, secure, and prosperous world composed of well-governed states that respond to the needs of their people, reduce widespread poverty, and act responsibly within the international system

### **Bureau of East Asian and Pacific Affairs (19.124)**

No Description Provided

### **Bureau of Educational and Cultural Affairs (19.009-19.012, 19.014-19.015, 19.400-19.402, 19.408, 19.415, 19.421, 19.432, 19.440, 19.450)**

Conducts a wide variety of communication activities, from academic and cultural exchanges to press, radio, television, film, seminar, library, and cultural center programs, abroad in order to strengthen foreign understanding of American society, obtain greater support of U.S. policies, and increase understanding between the United States and other countries.

### **Bureau of Intelligence and Research (19.300)**

The Bureau of Intelligence and Research coordinates programs of intelligence, research, and analysis for the Department and for other Federal agencies, and produces intelligence studies and current intelligence analyses essential to foreign policy determination and execution. In addition, the Bureau, through its Office of Research, maintains liaison with cultural and educational institutions and with other Federal agencies on a wide range of matters relating to Government contractual and private foreign affairs research.

### **Bureau of International Security and Nonproliferation (19.901)**

No Description Provided

### **Bureau of Near Eastern Affairs (19.221, 19.500, 19.600)**

No Description Provided

### **Bureau of Oceans and International Environmental and Scientific Affairs (19.087)**

The Bureau of Oceans and International Environmental and Scientific Affairs (OES) serves as the foreign policy focal

point for international oceans, environmental, and scientific efforts. OES projects, protects, and promotes U.S. global interests in these areas by articulating U.S. foreign policy, encouraging international cooperation, and negotiating treaties and other instruments of international law. The Bureau serves as the principal adviser to the Secretary of State on international environment, science, and technology matters and takes the lead in coordinating and brokering diverse interests in the interagency process, where the development of international policies or the negotiation and implementation of relevant international agreements are concerned. The Bureau seeks to promote the peaceful exploitation of outer space, develop and coordinate policy on international health issues, encourage government to government scientific cooperation, and prevent the destruction and degradation of the planets natural resources and the global environment.

### **Bureau of Population, Refugees, and Migration (19.515)**

The Bureau of Population, Refugees, and Migration directs the Departments population, refugee, and migration policy development. It administers U.S. contributions to international organizations for humanitarian assistance- and protection-related programs on behalf of refugees, conflict victims, and internally displaced persons and provides U.S. contributions to nongovernmental organizations which provide assistance and protection to refugees abroad. The Bureau oversees the annual admissions of refugees to the United States for permanent resettlement, working closely with the Department of Homeland Security, the Department of Health and Human Services, and various State and private voluntary agencies. It coordinates U.S. international population policy and promotes its goals through bilateral and multilateral cooperation. It works closely with the U.S. Agency for International Development, which administers U.S. international population programs. The Bureau also coordinates the Departments international migration policy through bilateral and multilateral diplomacy. The Bureau oversees efforts to encourage greater participation in humanitarian assistance and refugee resettlement on the part of foreign governments and uses humanitarian diplomacy to increase access and assistance to those in need in the absence of political solutions.

### **Office of Overseas Schools (19.023)**

No Description Provided

### **Political Military Affairs/ Weapons Removal and Abatement (19.800)**

No Description Provided

## **DEPARTMENT OF TRANSPORTATION (20.001-20.999)**

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Under the authority of the motor carrier safety provisions of Title 49 of the United States Code, the agency exercises Federal regulatory jurisdiction over the safety performance of all commercial motor carriers engaged in interstate commerce. It deals with more than 500,000 carriers, approximately 13,000 passenger carriers and 42,000 hazardous material carriers. The primary mission of the Agency is to improve the safety of commercial vehicle operations on our nation's highways. To accomplish this mission the FMCSA focuses its efforts on reducing the number and severity of large truck-involved crashes through safety regulation and research, safety in commercial operations through training and enforcement, improvements to the commercial driver's license program, and enhancing highway and transportation systems infrastructure. To accomplish these activities, the FMCSA works closely in partnership with other Federal and State agencies, private organizations and individuals. The FMCSA works with various governmental agencies, the commercial motor vehicle industry and other interested groups to promote truck and bus safety by addressing vehicle safety issues such as the mechanical condition of trucks and buses, infrastructure improvements including high profile grade crossings, and commercial operations



# AGENCY INDEX SUMMARY

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such as commercial driver license and hours- of-service regulations.

## **Federal Aviation Administration (FAA) (20.106, 20.108-20.109)**

Regulates air commerce in a manner that promotes its development and safety and fulfills the requirements of national defense; controls the use of navigable airspace of the United States and regulates both civil and military operations in such airspace in the interest of safety and efficiency; promotes, encourages, and develops civil aeronautics; consolidates research and development with respect to air navigation facilities; installs and operates air navigation facilities; develops and operates a common system of air traffic control and navigation for both civil and military aircraft; and develops and implements, programs and regulations to control aircraft noise, sonic boom, and other environmental effects of civil aviation.

## **Federal Highway Administration (FHWA) (20.200, 20.205, 20.215, 20.219, 20.223, 20.240)**

Coordinates highways with other modes of transportation to achieve the most effective balance of transportation systems and facilities under cohesive Federal transportation policies pursuant to the Act. FHWA is concerned with the total operation and environment of highway systems, including highway safety. In administering its highway transportation programs, it gives full consideration to the impacts of highway development and travel; transportation needs; engineering and safety aspects; social, economic, and environmental effects; and project costs. It ensures balanced treatment of these factors by utilizing a systematic, interdisciplinary approach in providing for safe and efficient highway transportation.

## **Federal Motor Carrier Safety Administration (FMCSA) (20.218, 20.231-20.235, 20.237-20.239)**

Under the authority of the motor carrier safety provisions of Title 49 of the United States Code, the agency exercises Federal regulatory jurisdiction over the safety performance of all commercial motor carriers engaged in interstate commerce. It deals with more than 500,000 carriers, approximately 13,000 passenger carriers and 42,000 hazardous material carriers. The primary mission of the Agency is to improve the safety of commercial vehicle operations on our nation's highways. To accomplish this mission the FMCSA focuses its efforts on reducing the number and severity of large truck-involved crashes through safety regulation and research, safety in commercial operations through training and enforcement, improvements to the commercial driver's license program, and enhancing highway and transportation systems infrastructure. To accomplish these activities the FMCSA works closely in partnership with other Federal and State agencies, private organizations and individuals. The FMCSA works with various governmental agencies, the commercial motor vehicle industry and other interested groups to promote truck and bus safety by addressing vehicle safety issues such as the mechanical condition of trucks and buses, infrastructure improvements including high profile grade crossings, and commercial operations such as commercial driver license and hours- of-service regulations.

## **Federal Railroad Administration (FRA) (20.301, 20.313-20.321)**

Promulgates and enforces rail safety regulations, administer railroad financial assistance programs, conduct research and development in support of improved railroad safety and national rail transportation policy, provide for the rehabilitation of Northeast Corridor rail passenger service, and consolidate government support of rail transportation activities. Railroad Safety: The Administration administers and enforces the Federal laws and related regulations designed to promote safety on railroads; exercises jurisdiction over all areas of rail safety under the Rail Safety Act of 1970, such as track maintenance,

inspection standards, equipment standards, and operating practices. It also administers and enforces regulations resulting from railroad safety legislation for locomotives, signals, safety appliances, power brakes, hours of service, transportation of explosives and other dangerous articles, and reporting and investigation of railroad accidents. Railroad and related industry equipment, facilities, and records are inspected and required reports reviewed. Research and Development: A ground transportation research and development program is administered to advance all aspects of intercity ground transportation and railroad safety pertaining to the physical sciences and engineering, in order to improve railroad safety and ensure that railroads continue to be a viable national transportation resource. Transportation Test Center: This 50-square-mile facility, located near Pueblo, CO, provides testing for advanced and conventional systems and techniques designed to improve ground transportation. The facility has been managed and staffed for the Administration by the Association of American Railroads since October 1, 1982. The United States and Canadian Governments and private industry use this facility to explore, under controlled conditions, the operation of both conventional and advanced systems. It is used by the Urban Mass Transportation Administration for testing of urban rapid transit vehicles. Policy: Program management for new and revised policies, plans and projects related to railroad transportation economics, finance, system planning, and operations is provided; appropriate studies and analyses are performed; relevant tests, demonstrations, and evaluations are conducted; and labor/management programs are evaluated. Analyses of issues before regulatory agencies are carried out and recommendations are made to the Secretary as to the positions to be taken by DOT. Passenger and Freight Services: The Administration administers a program of Federal assistance for national, regional, and local rail services. Programs include rail freight service assistance programs; rail service continuation programs and State rail planning; and rail passenger service on a national, regional, and local basis. The agency also administers programs to develop, implement, and administer rail system policies, plans and programs for the Northeast Corridor in support of applicable provisions of the Railroad Revitalization and Regulatory Reform Act of 1976 (45 U.S.C. 501), and related legislation.

## **Federal Transit Administration (FTA) (20.500, 20.505, 20.507, 20.509, 20.513-20.516, 20.518-20.523)**

Assists in the development of improved mass transportation facilities, equipment, techniques, and methods, with the cooperation of mass transportation companies both public and private; encourages the planning and establishment of areawide urban mass transportation systems needed for economical and desirable urban development, with the cooperation of mass transportation companies both public and private; and provides assistance to State and local governments and their instrumentalities in financing such systems, to be operated by public or private mass transportation companies as determined by local needs.

## **Maritime Administration (MARAD) (20.802-20.803, 20.806-20.808, 20.812-20.814, 20.816)**

Administers programs to aid in the development, promotion, and operation of the U.S. Merchant Marine; organizes and directs emergency merchant ship operations; administers subsidy programs through the Maritime Subsidy Board, under which the Federal government, subject to statutory limitations, pays the difference between certain costs of operating ships under the U.S. flag and foreign competitive flags on essential services, and the difference between the costs of constructing ships in U.S. and foreign shipyards; provides financing guarantees for the construction, reconstruction, and reconditioning of ships; and enters into capital construction fund agreements which grant tax deferrals on moneys to be used for the acquisition, construction, or reconstruction of ships; constructs or supervises the construction of merchant-type ships for the Federal government; it helps industry generate increased business for U.S. ships and conducts programs to develop ports, facilities, and internodal transport, and to promote domestic shipping. Administers a War Risk Insurance program

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insuring operators and seamen against losses caused by hostile action if domestic commercial insurance is not available; Under emergency conditions, charters Government-owned ships to U.S. operators, requisitions or procures ships owned by U.S. citizens, and allocates them to meet defense needs. It maintains a National Defense Reserve Fleet of Government-owned ships that it operates through general agents when required in national defense interests. An element of this activity is the Ready Reserve Force consisting of a number of ships available for quick-response activation; regulates sales to aliens and transfers to foreign registry of ships that are fully or partially owned by U.S. citizens; also disposes of Government-owned ships found nonessential for national defense; operates the U.S. Merchant Marine Academy, Kings Point, NY, where young people are trained to become merchant marine officers, and conducts training in shipboard firefighting at Earle, NJ, and Toledo, OH. It also administers a Federal assistance program for the maritime academies operated by California, Maine, Massachusetts, Michigan, New York, and Texas.

## **National Highway Traffic Safety Administration (NHTSA) (20.600-20.602, 20.607-20.614)**

Carries out programs relating to the safety performance of motor vehicles and related equipment, motor vehicle drivers and pedestrians and a uniform nationwide speed limit under the National Traffic and Motor Vehicle Safety Act of 1966 (80 Stat. 718), as amended. Under the authority of the Motor Vehicle Information and Cost Saving Act (86 Stat. 947), as amended, the Administration carries out programs and studies aimed at reducing economic losses in motor vehicle crashes and repairs, through general motor vehicle programs; administers the Federal odometer law; and promulgates average fuel economy standards for passenger and nonpassenger motor vehicles. Under the authority of the Clean Air amendments of 1970 (84 Stat. 1700), the Administration certifies as to the consistency of Environmental Protection Agency State grants with any highway safety program developed pursuant to section 402 of Title 23 of the United States Code. The National Highway Traffic Safety Administration was established to carry out a congressional mandate to reduce the mounting number of deaths, injuries, and economic losses resulting from traffic accidents on the Nation's highways and to provide motor vehicle damage susceptibility and ease of repair information, motor vehicle inspection demonstrations, and protection of purchasers of motor vehicles having altered odometers, and to provide average standards for greater vehicle mileage per gallon of fuel for vehicle under 10,000 pounds (gross vehicle weight).

## **Office of the Secretary (OST) Administration Secretariate (20.900-20.901, 20.904-20.905, 20.907, 20.910, 20.930, 20.932-20.933)**

Develops and evaluates public policy related to the transportation industries and their economic regulation; assures that the Department's regulatory programs remain consistent with established policy and maintains oversight of all departmental safety regulatory actions; proposes and coordinates on transportation-related legislation involving the private sector; provides analyses of current and emerging transportation policy issues to assess their economic and institutional implication, particularly with regard to Federal assistance, public trust funds, user charges, nondiscrimination of the handicapped in the provision of public transportation services, and energy and environmental aspects; undertakes studies and analyses to aid in the resolution of safety problems; develops policies to support the Department in aviation and maritime multilateral and bilateral negotiations with foreign governments and participates on the U.S. negotiating delegations; develops policies on a wide range of international transportation and trade matters; furnishes guidance to the United States Trade Representative's Trade Policy Committee in efforts to improve the U.S. balance of payments; coordinates efforts to combat transport-related terrorist acts and drug smuggling; arranges and coordinates cooperative agreements with foreign governments for the exchange of state-of-the-art scientific and technical information; provides assistance to the Agency for International Development's transportation programs in developing countries;

and participates on the U.S.-Saudi Arabian Joint Commission for Economic Cooperation. The Assistant Secretary also: develops, coordinates, and carries out U.S. Government policy relating to the economic regulation of the airline industry, including licensing of U.S. and foreign carriers to serve in international air transportation and carrier fitness determinations; processes and resolves complaints concerning unfair competitive practices in international fares, rates, and tariff filings; establishes international and intra-Alaska mail rates; and determines the disposition of requests for approval and immunization from the antitrust laws of international aviation agreements. The Assistant Secretary also administers the essential air service program, which involves: establishing appropriate subsidy levels for subsidized carriers; processing applications to terminate, suspend, or reduce air service below the defined essential level; determining which carrier among various applicants should be selected to provide subsidized service; and continuously reviewing essential air service definitions for each community.

## **Pipeline and Hazardous Materials Safety Administration (20.700, 20.703, 20.710, 20.720-20.721, 20.723)**

Responsible for a number of programs involving safety regulation, emergency preparedness, and research and development. Emphasis is given to hazardous material transportation and pipeline safety, transportation emergency preparedness, and safety training.

## **Research and Innovative Technology Administration (20.701, 20.761-20.762, 20.764, 20.931)**

Research and Innovative Technology Administration (RITA) coordinates the U.S. Department of Transportation's research and education programs, and is working to bring advanced technologies into the transportation system. RITA also offers vital transportation statistics and analysis, and supports national efforts to improve education and training in transportation-related fields. RITA works to ensure that the nation's transportation research investments produce results for the American people.

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## **DEPARTMENT OF THE TREASURY (21.001-21.999)**

The Department of the Treasury's mission highlights its role as the steward of U.S. economic and financial systems, and as an influential participant in the global economy. The Treasury Department is the executive agency responsible for promoting economic prosperity and ensuring the financial security of the United States. The Department is responsible for a wide range of activities such as advising the President on economic and financial issues, encouraging sustainable economic growth, and fostering improved governance in financial institutions. The Department of the Treasury operates and maintains systems that are critical to the nation's financial infrastructure, such as the production of coin and currency, the disbursement of payments to the American public, revenue collection, and the borrowing of funds necessary to run the federal government. The Department works with other federal agencies, foreign governments, and international financial institutions to encourage global economic growth, raise standards of living, and to the extent possible, predict and prevent economic and financial crises. The Treasury Department also performs a critical and far-reaching role in enhancing national security by implementing economic sanctions against foreign threats to the U.S., identifying and targeting the financial support networks of national security threats, and improving the safeguards of our financial systems.

## **Community Development Financial Institutions Fund (21.010-21.012, 21.020-21.021)**

Through monetary awards and the allocation of tax credits, the CDFI Fund helps promote access to capital and local economic growth in urban and rural

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low-income communities across the nation. Through its various programs, the CDFI Fund enables locally based organizations to further goals such as: economic development (job creation, business development, and commercial real estate development); affordable housing (housing development and homeownership); and community development financial services (provision of basic banking services to underserved communities and financial literacy training).

## **Internal Revenue Service (IRS) (21.003-21.004, 21.006, 21.008, 21.013)**

Administers and enforces the Internal Revenue laws and related statutes, except those relating to alcohol, tobacco, firearms, and explosives. The IRS mission is to encourage and achieve the highest possible degree of voluntary compliance with the tax laws and regulations and to conduct itself so as to warrant the highest degree of public confidence in the integrity and efficiency of the Service.

Accomplishment of this mission involves advising the public of its rights and responsibilities; communicating requirements of the law to the public; assisting taxpayers in complying with the laws and regulations, and taking those enforcement actions necessary for fair, effective, and impartial tax administration. Basic IRS activities include ensuring satisfactory resolution of taxpayer complaints, providing taxpayer service and education; determination, assessment, and collection of internal revenue taxes; determination of pension plan qualifications and exempt organization status; and preparation and issuance of rulings and regulations to supplement the provisions of the Internal Revenue Code.

## **APPALACHIAN REGIONAL COMMISSION (23.001-23.999)**

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The Appalachian Regional Commission is a Federal-State governmental agency concerned with the economic, physical, and social development of the 13-State Appalachian region, which includes parts of Alabama, Georgia, Kentucky, Maryland, Mississippi, New York, North Carolina, Ohio, Pennsylvania, South Carolina, Tennessee, Virginia, and all of West Virginia. The comprehensive goals of the Commission are to provide the people of Appalachia with the health and skills they need to compete for opportunities and to develop a self-sustaining economy and environment capable of supporting a population with rising incomes and standards of living and increasing employment opportunities. To accomplish this task, the Commission has concentrated on areas of development in which there remain great needs throughout the region: community development and housing, education, the environment, health and child development, industrial development and management, tourism, and transportation.

## **OFFICE OF PERSONNEL MANAGEMENT (27.001-27.999)**

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Administers a merit system for Federal employment, which includes recruiting, examining, training, and promoting people on the basis of their knowledge and skills, regardless of their race, religion, sex, political influence, or other nonmerit factors. OPM's role is to ensure that the Federal government provides an array of personnel services to applicants and employees. Through a range of programs designed to develop and encourage the effectiveness of the Government employee, OPM supports Government program managers in their personnel management responsibilities and provides benefits to employees and to retired employees and their survivors.

## **U.S. COMMISSION ON CIVIL RIGHTS (29.001-29.999)**

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Collects and studies information on discrimination or denials of equal protection

of the laws because of race, color, religion, sex, age, disability or, national origin, or in the administration of justice in such areas as voting rights, enforcement of Federal civil rights laws, and equality of opportunity in education, employment, and housing.

## **EQUAL EMPLOYMENT OPPORTUNITY COMMISSION (30.001-30.999)**

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Eliminates discrimination based on race, color, religion, sex, national origin, age or disability in hiring, promotion, firing, wages, testing, training, apprenticeship, and all other conditions of employment. The Commission also promotes voluntary action programs by employers, unions, and community organizations to make equal employment opportunity an actuality. EEOC also has oversight responsibility for all compliance and enforcement activities relating to equal employment opportunity among Federal employees and applicants, including discrimination against individuals with disabilities.

## **EXPORT - IMPORT BANK OF THE UNITED STATES (31.1-31.999)**

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The Export-Import Bank of the United States (Ex-Im Bank) is the official export credit agency of the United States. Ex-Im Bank's mission is to assist in financing the export of U.S. goods and services to international markets. Ex-Im Bank enables U.S. companies large and small to turn export opportunities into real sales that help to maintain and create U.S. jobs and contribute to a stronger national economy. Ex-Im Bank does not compete with private sector lenders but provides export financing products that fill gaps in trade financing. We assume credit and country risks that the private sector is unable or unwilling to accept. We also help to level the playing field for U.S. exporters by matching the financing that other governments provide to their exporters. Ex-Im Bank provides working capital guarantees (pre-export financing); export credit insurance; and loan guarantees and direct loans (buyer financing). No transaction is too large or too small. On average, 85% of our transactions directly benefit U.S. small businesses. With more than 70 years of experience, Ex-Im Bank has supported more than \$400 billion of U.S. exports, primarily to developing markets worldwide.

## **FEDERAL COMMUNICATIONS COMMISSION (32.001-32.999)**

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Regulates interstate and foreign communications by radio, television, wire, satellite, and cable. It is responsible for the orderly development and operation of broadcast services and the provision of rapid, efficient nationwide and worldwide telephone and telegraph services at reasonable rates. Its responsibilities also include the use of communications for promoting safety of life and property and for strengthening the national defense.

## **FEDERAL MARITIME COMMISSION (33.001-33.999)**

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Regulates the waterborne foreign and domestic offshore commerce of the United States, assures that United States international trade is open to all nations on fair and equitable terms, and protects against unauthorized, concerted activity in the waterborne commerce of the United States. This is accomplished through maintaining surveillance over steamship conferences and common carriers by water; assuring that only the rates on file with the Commission are charged; conducting analysis and appropriate disposition of agreements between persons subject to the Shipping Act of 1984 and the Shipping Act, 1916; guaranteeing equal treatment to shippers, carriers, and other persons subject to the shipping statutes; and ensuring that adequate levels of financial responsibility are maintained for indemnification of passengers.

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## **FEDERAL MEDIATION AND CONCILIATION SERVICE (34.001-34.999)**

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Assists labor and management in resolving disputes bargaining contract negotiation through voluntary mediation and arbitration services; provides training to unions and management in cooperative processes to improve long-term relationship under the Labor-Management Cooperation Act of 1978, including Federal sector partnership training authorized by Executive Order 12871; provides alternative dispute resolution services and training to government agencies, including the facilitation of regulatory negotiations under Administrative Dispute Resolution and Negotiated Rulemaking Acts of 1990; awards competitive grants to joint labor-management committees to encourage innovative approaches to cooperative efforts.

## **FEDERAL TRADE COMMISSION (36.001-36.999)**

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Maintains competitive enterprise as the keystone of the American economic system. Although the duties of the Commission are many and varied, the foundation of public policy underlying all these duties is essentially the same: to prevent the free enterprise system from being fettered by monopoly or restraints on trade or corrupted by unfair or deceptive trade practices. In brief, the Commission is charged with keeping competition both free and fair.

## **GENERAL SERVICES ADMINISTRATION (39.001-39.999)**

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Establishes policy and provides for the Government an economical and efficient system for the management of its property including construction and operation of buildings, procurement and distribution of supplies, utilization and disposal of property, transportation, and travel management, and management of Government-wide information technology solutions and network services. GSA is organized much like a large corporation doing business in a number of different fields. It consists of operating services and supporting staff offices, with functions carried out at three levels of organization: The Central office, regional offices, and field activities. (See Appendix IV of the Catalog for a listing of these offices.) Various publications and catalogs published by GSA include: 1) The Catalog of Federal Domestic Assistance published jointly by GSA and the Office of Management and Budget; and 2) the Consumer Information Catalog which lists selected Federal publications of interest to consumers. GSA also administers the Federal Information Centers (FCIC) which are focal points for Information about the Federal government's services, programs, and regulations.

## **GOVERNMENT PRINTING OFFICE (40.001-40.999)**

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Executes orders for printing and binding placed by Congress and the departments and establishments of the Federal government. It furnishes blank paper, inks, and similar supplies to all governmental activities on order. It prepares catalogs and distributes and sells Government publications. GPO invites bids from commercial suppliers on a wide variety of printing and binding services, awards and administers contracts, and maintains liaison between ordering agencies and contractors. GPO sells through mail orders and Government bookstores approximately 10,000 publications that originate in various Government agencies, and administers the depository library program through which selected Government publications are made available in libraries throughout the country.

## **LIBRARY OF CONGRESS (42.001-42.999)**

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Under the organic law, the Library's first responsibility is service to Congress. One department, the Congressional Research Service, functions exclusively for

the legislative branch of the Government. As the Library has developed, its range of service has come to include the entire governmental establishment in all its branches and the public at large, so that it has become a national library for the United States. The Library's extensive collections are universal in scope. They include books and pamphlets on every subject and in a multitude of languages. Among them are the most comprehensive collections of Chinese, Japanese, and Russian language books outside Asia and the Soviet Union; volumes relating to science and legal materials, outstanding for American and foreign law; the world's largest collection of published aeronautical literature; and the most extensive collection in the western hemisphere of books printed before 1501 A.D. The manuscript collections relate to manifold aspects of American history and civilization and include the personal papers of most of the Presidents from George Washington through Calvin Coolidge. The music collections contain volumes and pieces (manuscript and published) from classic works to the newest popular compositions. Other materials available for research include maps and views; photographic records from the daguerreotype to the latest news photo; recordings, including folksongs and other music, speeches, and poetry readings; prints, drawings, and posters; government documents, newspapers, and periodicals from all over the world; and motion pictures, microforms, and audio and video tapes. Admission to the various research facilities of the Library is free. No introduction or credentials are required for persons over high school age who wish to read in the general reading rooms; however, certain collections, like those of the Manuscript, Rare Book and Special Collections, Motion Picture, Broadcasting, and Recorded Sound Divisions, can be used only by those with a serious purpose for doing so. The Library is also responsible for copyrights, which are registered by the Copyright Office. All copyrightable works, whether published or unpublished, are subject to a system of statutory protection that gives the copyright owner certain exclusive rights, including the right to reproduce the copyrighted work and distribute it to the public by sale, rental, lease, or lending. Works of authorship include books, periodicals, and other literary works, musical compositions, song lyrics, dramas and dramatic musical compositions, pictorial, graphic, and sculptural works pantomimes and choreographic works, motion pictures and other audiovisual works, and sound recordings. The Library extends its service through an interlibrary loan system; the photoduplication, at reasonable cost, subject to conditions of law, copyright, and deposit of books, manuscripts, maps, and newspapers, and prints in its collections; the sale of sound recordings, which are released by its Recording Laboratory; the exchange of duplicates with other institutions; the sale of printed catalog cards and magnetic tapes, and the publication in book format or microform of cumulative catalogs, which make available the results of the expert bibliographical and cataloging work of its technical personnel; a centralized acquisitions program whereby the Library of Congress acquires material published all over the world, catalogs it promptly, and distributes cataloging information in machine readable form as well as other means to the Nation's libraries; a cooperative catalog program, whereby the cataloging of data by name authority and bibliographic records, prepared by other libraries becomes part of the Library of Congress data base and distribute them through the MARC Distribution Service; a cataloging-in-publication program in cooperation with American publishers for printing and cataloging information in current books; the National Serials Data Program, a national center that maintains a record of serial titles to which International Standard Serial Numbers have been assigned and serves, with this file, as the United States Register; and the development of general schemes of classification (Library of Congress and Dewey Decimal), subject headings, and cataloging, embracing the entire field of printed matter. The American Folklife Center in the Library of Congress, has a coordinative function both in and outside the Federal establishment to carry out appropriate programs to support, preserve, and present American folklife through such activities as the collection and maintenance of archives, scholarly research, field projects, performances, exhibitions, festivals, workshops, publications, and audiovisual presentations. The Center for the Book was established in the Library of Congress to provide a program for investigating the transmission of human knowledge and to heighten public interest in the role of books and printing in the diffusion of knowledge. Drawing on the resources of the Library of Congress, the Center works closely with other

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organizations to explore important issues in the book and educational communities, to encourage reading, and to encourage research about books and about reading. Its goal is to serve as a useful catalyst by bringing together authors, publishers, librarians, booksellers, educators, scholars, and readers to discuss common concerns and work toward the solution of common problems. The Library provides technical information related to the preservation and restoration of library and archival material. A series of leaflets on various preservation and conservation topics has been prepared by the Preservation Office. Information and publications are available from the National Preservation Program Office, Library of Congress. A free national library program of braille and recorded materials for blind and physically handicapped persons is administered by the National Library Service for the Blind and Physically Handicapped (NLS), Library of Congress. With the cooperation of authors and publishers who grant permission to use copyrighted works, NLS selects and produces full-length books and magazines in braille on recorded disc and cassette. Reading material are distributed to a cooperating network of regional and subregional (local) libraries where they are circulated to eligible borrowers. Reading material and playback machines are sent to borrowers and returned to libraries by postage-free mail. Established by an act of Congress in 1931 to serve blind adults, the program was expanded in 1952 to include children, in 1962 to provide music materials, and again in 1966 to include individuals with other physical impairments that prevent the reading of standard print. Information and publications are available from the National Library Service for the Blind and Physically Handicapped, Library of Congress, Washington, DC 20542.

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## **NATIONAL AERONAUTICS AND SPACE ADMINISTRATION (43.001-43.999)**

Conducts research to solve problems of flight within and outside Earth atmosphere. Develops, constructs, tests, and operates aeronautical and space vehicles. Conducts activities required for the exploration of space with manned and unmanned vehicles; arranges for the most effective utilization of the scientific and engineering resources of the United States with other nations engaged in aeronautical and space activities for peaceful purposes.

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## **NATIONAL CREDIT UNION ADMINISTRATION (44.001-44.999)**

The National Credit Union Administration Board is responsible for chartering, insuring, supervising, and examining Federal credit unions and administering the National Credit Union Share Insurance Fund. The Board also manages the Central Liquidity Facility, a mixed-ownership Government corporation whose purpose is to supply emergency loans to member credit unions.

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## **FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES (45.200-45.299)**

Coordinates the activities of the two Endowments and related programs of other Federal agencies.

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## **INSTITUTE OF MUSEUM AND LIBRARY SERVICES (45.300-45.399)**

The Institute of Museum and Library Services is the primary source of federal support for the nation's 122,000 libraries and 17,500 museums. Its mission is to grow and sustain a "Nation of Learners" because lifelong learning is essential to a democratic society and individual success. Through its grant making, convenings, research, and publications, the Institute empowers museums and libraries nationwide to provide leadership and services to enhance learning in families and communities, sustain cultural heritage, build twenty-first-century

skills, and increase civic participation. IMLS supports adult education and literacy through a number of competitive and state grants and programs, such as Museums for America grants, State Library programs, Native American/ Native Hawaiian Library Services, National Leadership Grants, 21st Century Museum Professionals, the Laura Bush 21st Century Librarian Program, and the Partnership for a Nation of Learners program.

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## **NATIONAL ENDOWMENT FOR THE ARTS (45.1-45.99)**

The National Endowment for the Arts is a public agency dedicated to supporting excellence in the arts, both new and established bringing the arts to all Americans, and providing leadership in arts education. The National Endowment for the Arts is the largest annual funder of the arts in the United States. An independent federal agency, the National Endowment for the Arts is the official arts organization of the United States government. The National Endowment for the Arts awards more than \$100 million annually investing in every state which in turn generates more than \$700 million in additional support. The Arts Endowment has played a transformative and sustaining role in the development of regional theater, opera, dance, orchestras, museums, and other arts both contemporary and traditional that Americans now enjoy.

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## **NATIONAL ENDOWMENT FOR THE HUMANITIES (45.100-45.199)**

Promotes and supports the production and dissemination of knowledge in the humanities. The term "humanities" includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism, and theory of the arts; and those aspects of the social sciences that employ historical or philosophical approaches. The Endowment makes grants to individuals, groups, or institutions (schools, colleges, universities, museums, public television stations, libraries, public agencies, and nonprofit private groups) to increase understanding and appreciation of the humanities.

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## **NATIONAL LABOR RELATIONS BOARD (46.001-46.999)**

Administers the Nation's principal law, the National Labor Relations Act. The NLRB is vested with the power to prevent or remedy unfair labor practices and to safeguard employees' rights to organize and determine through elections whether to have unions as their bargaining representatives.

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## **NATIONAL SCIENCE FOUNDATION (47.001-47.999)**

Promotes the progress of science and engineering through the support of research and education programs. Its major emphasis is on high quality, science-driven basic research, the search for improved understanding of the fundamental laws of nature upon which our future well-being as a Nation depends. The National Science Foundation also supports applied research in several areas. Its educational programs are aimed at ensuring increasing understanding of science and engineering at all educational levels and at training an adequate supply of scientists and engineers to meet our country's needs.

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## **RAILROAD RETIREMENT BOARD (57.001-57.999)**

Administers comprehensive retirement-survivor and unemployment-sickness benefit programs for the Nation's railroad workers and their families, under the Railroad Retirement and Railroad Unemployment Insurance Acts. The Board participates in the administration of the Social Security Act and the Health Insurance for the Aged Act insofar as they affect railroad retirement

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beneficiaries.

## **SECURITIES AND EXCHANGE COMMISSION (58.001-58.999)**

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Administers Federal securities laws that seek to provide for investors; to ensure that securities markets are fair and honest; and, when necessary, to provide the means to enforce securities laws through sanctions.

## **SMALL BUSINESS ADMINISTRATION (59.001-59.999)**

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Aids, counsels, assists, and protects the interests of small business; ensures that small business concerns receive a fair proportion of Government purchases, contracts, and subcontracts, as well as of the sales of Government property; makes loans to small business concerns, State and local development companies, and the victims of floods or other catastrophes, or certain types of economic injury; and licenses, regulates, and makes loans to small business investment companies.

## **DEPARTMENT OF VETERANS AFFAIRS (64.001-64.999)**

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Administers the National Cemetery Administration, which provides cemeterial services to veterans and other eligibles as prescribed by the Secretary of Veterans Affairs pursuant to the provisions of the National Cemeteries Act of 1973 and other statutory authorities and regulations. These services also include providing headstones and markers for the graves of eligibles in national and State veterans cemeteries and for veterans interred in private cemeteries. Monetary aid to States for establishment, expansion, and improvement of veterans' cemeteries is also available.

## **ENVIRONMENTAL PROTECTION AGENCY (66.001-66.999)**

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The mission of EPA is to protect human health and the environment. EPA's purpose is to ensure that: all Americans are protected from significant risks to human health and the environment where they live, learn and work; national efforts to reduce environmental risk are based on the best available scientific information; federal laws protecting human health and the environment are enforced fairly and effectively; environmental protection is an integral consideration in U.S. policies concerning natural resources, human health, economic growth, energy, transportation, agriculture, industry, and international trade, and these factors are similarly considered in establishing environmental policy; all parts of society -- communities, individuals, businesses, and state, local and tribal governments -- have access to accurate information sufficient to effectively participate in managing human health and environmental risks; environmental protection contributes to making our communities and ecosystems diverse, sustainable and economically productive; and the United States plays a leadership role in working with other nations to protect the global environment.

## **Office of Administration and Resources Management (66.508, 66.518)**

Provides for support grants as an alternative grant delivery mechanism to allow a State or local agency responsible for continuing pollution control programs to develop an integrated approach to pollution control.

## **Office of Air and Radiation (66.001, 66.032-66.034, 66.037-66.042)**

Develops national programs, technical policies, and regulations for air pollution control; establishes national standards for ambient air quality, and emission standards for stationary sources: mobile sources and fuels; monitors acid deposition; environmental radiation, and other pollutants; provides technical, training, and financial support to states, tribes, and local governments. Also, develops national partnership programs and policies to address climate change and indoor pollution, and demonstrates new low emission vehicle technology.

## **Office of Chemical Safety and Pollution Prevention (66.707-66.708, 66.714-66.718)**

The Office of Chemical Safety and Pollution Prevention is the new agency name for the Office of Prevention, Pesticides, and Toxic Substances. The Office of the Assistant Administrator for Pesticides and Toxic Substances has responsibility for Agency strategies for implementation and integration of the pollution prevention, pesticides and toxic substances programs and developing and operating Agency programs and policies for assessment and control of pesticides and toxic substances as well as recommending policies and developing operating programs for implementing the Pollution Prevention Act. It is responsible for developing recommendations for Agency priorities for research, monitoring regulatory and information gathering activities relating to implementing the Pollution Prevention Act, pesticides and toxic substances; and monitoring and assessing pollution prevention, pesticides and toxic substances program operations in EPA Headquarters and Regional Offices.

## **Office of Enforcement and Compliance Assurance (66.305, 66.309-66.310, 66.313, 66.604, 66.700-66.701, 66.709)**

Develops national strategies for the control of toxic substances; directing the pesticides and toxic substances enforcement activities; developing criteria for assessing chemical substances, standards for test protocols for chemicals, rules and procedures for industry reporting and regulations for the control of substances deemed to be hazardous to man or the environment; and evaluating and assessing the impact of existing chemicals, new chemicals, and chemicals with new uses to determine the hazard and, if needed, develop appropriate restrictions. Additional activities include control and regulation of pesticides and reduction in their use to ensure human safety and protection of environmental quality; establishment of tolerance levels for pesticides that occur in or on food; monitoring of pesticide residue levels in food, humans, and nontarget fish and wildlife and their environments; and investigation of pesticide accidents. It also coordinates activities under its statutory responsibilities with other agencies for assessment and control of toxic substances and pesticides.

## **Office of Environmental Information (66.608, 66.612)**

The Office of Environmental Information (OEI) is headed by the EPA's Chief Information Officer and is responsible for managing the life cycle of information to support EPA's mission of protecting human health and the environment. OEI works to identify and implement innovative information technology and information management solutions that strengthen EPA's ability to achieve its mission. OEI does this by ensuring the quality of EPA's information, the efficiency and reliability of EPA's technology, data collection and exchange efforts, and access services.

## **Office of International and Tribal Affairs (66.473, 66.926, 66.931)**

EPA's Office of International and Tribal Affairs (OITA) plays a crucial role in advancing the United States' international environmental priorities. Working with the experts from EPA's other program and regional offices, other government agencies, and other nations and international organizations, OITA identifies international environmental issues and helps implement technical and policy options to address them. OITA is comprised of a multi-disciplinary staff who respect and reflect the

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diversity of the global community. OITAs mission is to protect human health and environment while advancing U.S. national interests through international environmental collaboration.

## **Office of Research and Development (66.509-66.511, 66.513-66.514, 66.516-66.517)**

The Office of Research and Development is responsible for a national research program in pursuit of technological controls of all forms of pollution. It directly supervises the research activities of EPA's national laboratories and gives technical policy direction to those laboratories that support the program responsibilities of EPA's regional offices. Close coordination of the various research programs is designed to yield a synthesis of knowledge from the biological, physical, and social sciences that can be interpreted in terms of total human and environmental needs. General functions include management of selected demonstration programs, planning for Agency environmental quality monitoring programs, coordination of Agency monitoring efforts with those of other Federal agencies, the States, and other public bodies, and dissemination of Agency research, development, and demonstration results.

## **Office of Solid Waste and Emergency Response (66.801-66.802, 66.804-66.806, 66.808-66.810, 66.812-66.818)**

Provides policy, guidance, and direction for EPA's hazardous waste and emergency response programs. The functions of these programs include development of policies, standards, and regulations for hazardous waste treatment, storage, and disposal; national management of the Superfund toxic waste cleanup program; development of guidelines for the emergency preparedness and "Community Right To Know" programs; development of guidelines and standards for underground storage tanks; enforcement of applicable laws and regulations; analysis of technologies and methods for the recovery of useful energy from solid waste; and provision of technical assistance in the development, management, and operation of waste management activities.

## **Office of Water (66.035, 66.418-66.419, 66.424, 66.432-66.433, 66.436-66.437, 66.439-66.440, 66.454, 66.456, 66.458, 66.460-66.463, 66.466-66.469, 66.471-66.472, 66.474-66.475, 66.478-66.481)**

Develops national programs, technical policies, and regulations for water pollution control and water supply; ground water protection; marine and estuarine protection; enforcement of standards; water quality standards and effluent guidelines development; technical direction, support, and evaluation of regional water activities; development of programs for technical assistance and technology transfer; and provision of training in the field of water quality.

## **Office of the Administrator (66.605, 66.609-66.611, 66.940, 66.950-66.952)**

Provides for support grants as an alternative grant delivery mechanism to allow a State or local agency responsible for continuing pollution control programs to develop an integrated approach to pollution control.

## **Office of the Chief Financial Officer (66.202-66.203)**

The Immediate Office of the Chief Financial Officer performs the following functions: Develops, manages, and supports a goal-based management system for the Agency that involves strategic planning and accountability for environmental, fiscal, and managerial results and Manages the Agency-wide budget, resources management and financial management functions including program analysis and annual planning, budget formulation, preparation and execution; controls and systems for payroll and disbursements.

## **Region 1 (66.110)**

No Description Provided

## **Region 3 (66.050, 66.113)**

EPAs Region 3 office protects human health and the environment in Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, and West Virginia.

## **Region 4 (66.127)**

No Description Provided

## **Region 6 (66.124-66.125)**

EPA's Region 6 protects human health and the environment in New Mexico, Texas, Oklahoma, Arkansas, and Louisiana.

## **Region 9 (66.126, 66.600)**

EPA provides financial assistance grants to qualified applicants to support a variety of environmental programs and activities. EPA Region 9 works within the context of EPA's national grants program to provide funding opportunities specific to EPA's Pacific Southwest Region.

## **Region 10 (66.119-66.123)**

EPA's Region 10 office serves Alaska, Idaho, Oregon, Washington, and 271 Native Tribes. Our Regional Administrator is appointed by the President of the United States to lead our staff of about 650 employees and oversee an annual budget of about \$500 million. Our main office is located in Seattle, Washington.

## **NATIONAL GALLERY OF ART (68.001-68.999)**

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The National Gallery's collections embrace every major school of western European art from the 13th century to the present and of American art from colonial days to the present. A professor-in-residence position is filled annually by a distinguished scholar in the field of art history; graduate and postgraduate research is conducted under a fellowship program; programs for children and the general public are conducted daily; and Extension Programs produces and distributes education resources for loan throughout the world; audiovisual materials include films, slide teaching programs, videocassettes, videodiscs, and CD-ROMS.

## **OVERSEAS PRIVATE INVESTMENT CORPORATION (70.001-70.999)**

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Offers United States investors assistance in finding investment opportunities, insurance, and loans and loan guaranties to help finance their projects in developing countries. It encourages investment projects that will help the social and economic development of these countries.

## **NUCLEAR REGULATORY COMMISSION (77.001-77.999)**

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Licenses and regulates the civilian uses of nuclear energy to protect the public health and safety and the environment. It does this by licensing persons and companies to build and operate nuclear reactors and other facilities and to own and use nuclear materials. The NCR makes rules and sets standards for these types of licenses. The NRC also carefully inspects the activities of the persons and companies licensed to ensure that they do not violate the safety rules of the Commission.

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## COMMODITY FUTURES TRADING COMMISSION (78.001-78.999)

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Promotes healthy economic growth, protects the rights of customers, and ensures fairness and integrity in the marketplace through regulation of futures trading. To this end it also engages in the analysis of economic issues affected by or affecting futures trading.

## DEPARTMENT OF ENERGY (81.001-81.999)

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DOE is major government enterprise. If included among the Nation's Fortune 500 firms, it would rank in the top 50. Its \$16.5 billion appropriation comprises close to 3 percent of total Federal discretionary spending DOE Funds the largest environmental cleanup in history, and research and development that supports the Nation's defense and its energy and economic security. DOE employs over 11,000 Federal employees and about 108,000 contract employees. DOE owns and manages over 50 major installations located on 2.4 million acres in 35 States and is the fourth largest Federal landowner in the United States. DOE is an energy policy, supply, and technology enterprise. It invests in developing a secure, clean, and sustainable energy system. It helps the Nation meet its environmental challenges by administering the largest pollution prevention and efficiency program in the world, with partners from every sector of the economy. It enhances the Nation's energy security by increasing the diversity of energy, and fuel choices and sources; bringing renewable energy sources into the market, strengthening domestic production of oil and gas, maintaining the U.S. nuclear energy option, and increasing the efficiency with which we use energy and generate electricity. The Department also maintains the Strategic Petroleum Reserve and operates five Power Marketing Administrations that sell and distribute over \$3 billion of electric power generated at Federal hydroelectric plants. DOE is a national security enterprise. It is a key player in the Administration's furtherance of the Comprehensive Test Ban Treaty and its overall goal of reducing the global danger from nuclear weapons. It ensures the safety and reliability of the U.S. nuclear weapons stockpile without underground testing. At the same time, it manages and safely dismantles excess nuclear materials, and ensures the security of vital departmental nuclear assets. It provides policy and technical assistance to curb global proliferation of weapons of mass destruction, emphasizing U.S. nonproliferation, arms control, and nuclear safety objectives in the states of the former Soviet union and worldwide. Further, it develops and ensures the safety and reliability of nuclear reactor plants to power U.S. Navy warships. DOE is an environmental remediation enterprise. It cleans up the 50-year environmental legacy left at the industrial complexes where nuclear weapons were designed and manufactured. It manages the problems associated with the large quantities of various types of radioactive wastes, surplus nuclear materials, and spent nuclear fuels that remain at the sites of the Nation's nuclear weapons facilities and at nuclear energy research and development sites. In addition, it must address the growing inventory of spent nuclear fuel from commercial nuclear reactors that is awaiting disposal. These wastes must be dealt with responsibly to ensure the safety and health of the public. DOE is a science and technology enterprise. At the center of all we do are our 27 laboratories, our additional scientific user facilities, and our researchers at the Nation's universities. These form the backbone of U.S. scientific leadership by conducting and facilitating breakthrough research in energy sciences and technology, high energy physics, global climate change, genomics, superconducting materials, accelerator technologies, environmental sciences, and super-computing in support of DOE's mission. The laboratories, described as the crown jewels of the Nation's science establishment, and the Department's funding of research at universities have resulted in 66 Nobel prize winners, including three in 1996. The Department is also an investor in the Nation's most precious resource - its youth - by supporting science and mathematics education in our schools through grants, educational programs, and fellowships. DOE is global enterprise. The outcome of our work is the technology that stimulates the private market for the expansion of clean energy to meet national and global energy requirements of almost 500

quadrillion Btu's by the year 2010 - a staggering 36 percent increase over 1995. Overseas energy market needs include coal, nuclear power, oil and gas exploration, energy efficiency, and renewable energy technologies that are available for export now or that will soon be available for the international marketplace. DOE supports the export of U.S. energy services and technologies by assisting the nations in Asia, South America, Eastern Europe, an Africa, and the states of the former Soviet Union in developing private markets for environmentally responsible, sustainable energy. These alliances support U.S. competitiveness in a global economy of growing energy infrastructure requirements and create jobs in the U.S. at all skill levels.

## DEPARTMENT OF EDUCATION (84.001-84.999)

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Administers programs designed to fund activities that assist students with limited English proficiency and minority languages populations by providing support for programs, activities, and management initiatives meeting the special educational needs of those populations. Provides national leadership in expanding fundamental knowledge and improving education. The Office is responsible for conducting and supporting education-related research activities; monitoring the state of education through the collection and analysis of statistical data; promoting the use and application of research and development to improve instructional practices in the classroom; and disseminating these findings to States and local education entities. The Assistant Secretary for Elementary and Secondary Education formulates policy for, directs, and coordinates the activities relating to preschool, elementary, and secondary education. Included are programs of grants to State educational agencies and local school districts, postsecondary schools, and nonprofit organizations for State and local reform, compensatory, migrant, and Indian education; drug-free schools; other school improvement programs; and impact aid. The Assistant Secretary for Postsecondary Education formulates policy, directs, and coordinates programs for assistance to postsecondary educational institutions and students pursuing a postsecondary education. Programs include assistance for the improvement and expansion of American educational resources for international studies and services, grants to improve instruction in crucial academic subjects, and construction assistance for academic facilities. The Office is headed by the Department's Chief Operating Officer and is the Federal Government's first performance based organization. The Office directs and coordinates activities that provide financial assistance through grants and work and loan programs to students pursuing a postsecondary education. Federal student financial aid programs include Stafford Loans, Parent Loans for Undergraduate Students (PLUS), Supplemental Loans to Students (SLS), Federal Insured Student Loans (FISL), consolidated loans, Perkins Loans, income contingent loans, Pell Grants, College Work-Study, Supplemental Educational Opportunity Grants (SEOG), and State Student Incentives Grants (SSIG). The Office provides leadership and direction for the Department in meeting its goals of excellence in credit management and debt collection through the collection of defaulted loans under the Guaranteed Student Loan Program and the Law Enforcement Education Program, and the collection of overpayments in the Pell Grant Program and Supplemental Educational Opportunities Program. The Assistant Secretary for Vocational and Adult Education administers programs of grants, contracts, and technical assistance for vocational and technical education, and for adult education and literacy. The Office is also responsible for coordinating these programs with other Education Department and Federal programs supporting services and research for adult education, literacy, and occupational training. The Secretary of Education advises the President on education plans, policies, and programs of the Federal government. The Secretary directs Department staff in carrying out the approved programs and activities of the Department and promotes general public understanding of the Department's goals, programs, and objectives. The Secretary also carries out certain Federal responsibilities for four federally aided corporations: The American Printing House of the Blind, Gallaudet University, Howard University, and the National Technical Institute for the Deaf. Provides leadership to ensure that people with disabilities have services, resources, and equal opportunities to learn, work, and live as fully integrated, contributing members of society. The Office coordinates the



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activities of the Office of Special Education Programs, which works to help States provide quality educational opportunities and early intervention services to help students with disabilities achieve their goals. Through the Rehabilitation Services Administration, the Office supports State vocational rehabilitation programs that give disabled people the education, job training, and job placement services they need to gain meaningful employment. Programs include support for training of teachers and other professional personnel; grants for research; financial aid to help States initiate, expand, and improve their resources; and media services and captioned films for the deaf. Each regional office serves as a center for the dissemination of information and provides technical assistance to State and local educational agencies and other institutions and individuals interested in Federal education activities. At present, offices are located in 10 cities: Atlanta, Boston, Chicago, Dallas, Denver, Kansas City, New York, Philadelphia, San Francisco, and Seattle.

## **Institute of Education Sciences (84.305, 84.324, 84.372)**

The Education Sciences Reform Act of 2002 established a new organization within the U.S. Department of Education, the Institute of Education Sciences. Our mission is to provide rigorous evidence on which to ground education practice and policy. By identifying what works, what doesn't, and why, we intend to improve the outcomes of education for all students, particularly those at risk of failure. The Institute funds hundreds of research studies on ways to improve academic achievement, conducts large-scale evaluations of federal education programs and reports a wide array of statistics on the condition of education such as the National Assessment of Educational Progress. We support the building of an infrastructure for evidence-based education through activities such as grants to states to develop longitudinal data systems. We disseminate evidence on education to the public and practitioners through the What Works Clearinghouse and the ERIC education database, conferences, publications and products and 10 regional education laboratories and 10 national research and development centers.

## **Office of Educational Research and Improvement (84.287)**

Provides national leadership in expanding fundamental knowledge and improving education. The Office is responsible for conducting and supporting education-related research activities; monitoring the state of education through the collection and analysis of statistical data; promoting the use and application of research and development to improve instructional practices in the classroom; and disseminating these findings to States and local education entities.

## **Office of Elementary and Secondary Education (84.004, 84.010-84.011, 84.013, 84.040-84.041, 84.060, 84.141, 84.144, 84.149, 84.196, 84.206, 84.213-84.214, 84.256, 84.258, 84.283, 84.299, 84.310, 84.318, 84.330, 84.332, 84.356, 84.358-84.360, 84.362, 84.364-84.369, 84.371, 84.374, 84.377, 84.383, 84.403)**

The Assistant Secretary for Elementary and Secondary Education formulates policy for, directs, and coordinates the activities relating to preschool, elementary, and secondary education. Included are programs of grants to State educational agencies and local school districts, postsecondary schools, and nonprofit organizations for State and local reform, compensatory, migrant, and Indian education; drug-free schools; other school improvement programs; and impact aid.

## **Office of English Language Acquisition (84.293)**

The Office of English Language Acquisition, Language Enhancement, and Academic Achievement for Limited English Proficient Students helps children who are limited in their English, including immigrant children and youth, attain English proficiency, develop high levels of academic attainment in English, and meet the same challenging State academic content and student academic achievement standards that all children are expected to meet.

## **Office of Human Resources and Administration (84.145)**

No Description Provided

## **Office of Innovation and Improvement (84.083, 84.165, 84.215, 84.282, 84.286, 84.295, 84.336, 84.350-84.351, 84.354, 84.361, 84.363, 84.370, 84.411)**

The Office of Innovation and Improvement (OII) oversees competitive grant programs that support innovations in the educational system and disseminates the lessons learned from these innovative practices. OII also helps coordinate policies related to parental options and choice. OII administers, coordinates, and recommends programs and policy for improving the quality of activities designed to support and test innovations throughout the K12 system in areas such as parental choice, teacher quality, use of technology in education, and arts in education. OII encourages the establishment of charter schools through

## **Office of Postsecondary Education (84.015-84.019, 84.021-84.022, 84.031, 84.042, 84.044, 84.047, 84.066, 84.103, 84.116, 84.120, 84.153, 84.170, 84.185, 84.200, 84.217, 84.220, 84.229, 84.269, 84.274, 84.333-84.335, 84.337, 84.345, 84.375, 84.378, 84.381-84.382, 84.407)**

The Assistant Secretary for Postsecondary Education formulates policy, directs, and coordinates programs for assistance to postsecondary educational institutions and students pursuing a postsecondary education. Programs include assistance for the improvement and expansion of American educational resources for international studies and services, grants to improve instruction in crucial academic subjects, and construction assistance for academic facilities.

## **Office of Safe and Drug-Free Schools (84.184, 84.186, 84.304)**

The Office of Safe and Drug-Free Schools (OSDFS) administers, coordinates, and recommends policy for improving quality and excellence of programs and activities that are designed to: 1) Provide financial assistance for drug and violence prevention activities and activities that promote the health and well being of students in elementary and secondary schools, and institutions of higher education. Activities may be carried out by State and local educational agencies and by other public and private nonprofit organizations. 2) Participate in the formulation and development of ED program policy and legislative proposals and in overall Administration policies related to violence and drug prevention; drafting program regulations. 3) Participate in interagency committees, groups, and partnerships related to drug and violence prevention, coordinating with other Federal agencies on issues related to comprehensive school health, and advising the Secretary on the formulation of comprehensive school health education policy. 4) Participate with other Federal agencies in the development of a national research agenda for drug and violence prevention. 5) Administer the Department's programs relating to character and civics education.

## **Office of Special Education and Rehabilitative Services (84.027, 84.126, 84.128-84.129, 84.132-84.133, 84.160-84.161, 84.169, 84.173, 84.177, 84.181, 84.187, 84.224, 84.234-84.235, 84.240, 84.246, 84.250, 84.263-84.265, 84.275, 84.315, 84.323, 84.325-84.329, 84.343, 84.373, 84.380)**

Provides leadership to ensure that people with disabilities have services, resources, and equal opportunities to learn, work, and live as fully integrated, contributing members of society. The Office coordinates the activities of the Office of Special Education Programs, which works to help States provide quality educational opportunities and early intervention services to help students with disabilities achieve their goals. Through the Rehabilitation Services Administration, the Office supports State vocational rehabilitation programs that

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give disabled people the education, job training, and job placement services they need to gain meaningful employment. Programs include support for training of teachers and other professional personnel; grants for research; financial aid to help States initiate, expand, and improve their resources; and media services and captioned films for the deaf.

## **Office of Student Financial Assistance Programs (84.007, 84.032-84.033, 84.037, 84.063, 84.069, 84.268, 84.376)**

The Office is headed by the Department's Chief Operating Officer and is the Federal Government's first performance based organization. The Office directs and coordinates activities that provide financial assistance through grants and work and loan programs to students pursuing a postsecondary education. Federal student financial aid programs include Stafford Loans, Parent Loans for Undergraduate Students (PLUS), Supplemental Loans to Students (SLS), Federal Insured Student Loans (FISL), consolidated loans, Perkins Loans, income contingent loans, Pell Grants, College Work-Study, Supplemental Educational Opportunity Grants (SEOG), and State Student Incentives Grants (SSIG). The Office provides leadership and direction for the Department in meeting its goals of excellence in credit management and debt collection through the collection of defaulted loans under the Guaranteed Student Loan Program and the Law Enforcement Education Program, and the collection of overpayments in the Pell Grant Program and Supplemental Educational Opportunities Program.

## **Office of Vocational and Adult Education (84.002, 84.048, 84.051, 84.101, 84.191, 84.243, 84.245, 84.259, 84.331)**

The Assistant Secretary for Vocational and Adult Education administers programs of grants, contracts, and technical assistance for vocational and technical education, and for adult education and literacy. The Office is also responsible for coordinating these programs with other Education Department and Federal programs supporting services and research for adult education, literacy, and occupational training.

## **BARRY GOLDWATER SCHOLARSHIP AND EXCELLENCE IN EDUCATION FOUNDATION (85.200-85.299)**

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Established in 1983 to honor former Senator Barry Goldwater through the operation of an education scholarship program, financed by a permanent trust fund endowment, designed to encourage outstanding students to pursue careers in mathematics, the natural sciences, and engineering.

## **CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION (85.100-85.199)**

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Established by Congress in 1992 to award fellowships to encourage and support research, study, and labor designed to produce new discoveries in all fields of endeavor for the benefit of mankind.

## **HARRY S TRUMAN SCHOLARSHIP FOUNDATION (85.1-85.99)**

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Awards college scholarships of up to \$5 thousand annually for 4 years to persons who demonstrate outstanding potential for and who are preparing to pursue a career in public service.

## **JAMES MADISON MEMORIAL FELLOWSHIP FOUNDATION (85.500-85.599)**

Fellowships are awarded that seek to strengthen secondary school teaching of the principles, framing, and development of the U.S. Constitution. The program works to contribute to a deeper understanding of American government and to foster in both teachers and students the spirit of civic participation that inspired the Nation's founders.

## **MILLENNIUM CHALLENGE CORPORATION (85.700-85.799)**

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The Millennium Challenge Corporation (MCC) forms partnerships with some of the world's poorest countries, but only those committed to: good governance, economic freedom, and investments in their citizens. MCC provides these well-performing countries with large-scale grants to fund country-led solutions for reducing poverty through sustainable economic growth. MCC grants complement other U.S. and international development programs.

## **MORRIS K. UDALL FOUNDATION (85.400-85.499)**

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Scholarships, internships, and fellowships are financed by a permanent trust fund endowment. Programs are designed to develop increased opportunities for Americans to prepare for and pursue careers related to the environment and for Native Americans and Alaska Natives to pursue careers in health care and tribal public policy.

## **SMITHSONIAN INSTITUTION (85.600-85.699)**

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The Smithsonian Institution is an independent trust instrumentality of the United States which comprises the world's largest museum and research complex. The Smithsonian includes 19 museums and galleries, the National Zoo, and research facilities in several States and the Republic of Panama. It holds more than 136 million artifacts and specimens in its trust for the American people. The Smithsonian is dedicated to public education, national service, and scholarship in the arts, science, history, and culture. The Smithsonian Institution was created by an act of Congress on August 10, 1846 (20 U.S.C. 41 et seq.), to carry out the terms of the will of British scientist James Smithson (1765-1829), who in 1826 had bequeathed his entire estate to the United States to found at Washington, under the name of the Smithsonian Institution, an establishment for increase and diffusion of knowledge among men. On July 1, 1836, Congress accepted the legacy and pledged the faith of the United States to the charitable trust. In September 1838, Smithson's legacy, which amounted to more than 100,000 gold sovereigns, was delivered to the mint at Philadelphia. Congress vested responsibility for administering the trust in the Secretary of the Smithsonian and the Smithsonian Board of Regents, composed of the Chief Justice, the Vice President, three Members of the Senate, three Members of the House of Representatives, and nine citizen members appointed by joint resolution of Congress.

## **WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS (85.300-85.399)**

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Established by Congress in 1968 to honor the legacy and ideals of Woodrow Wilson by promoting research and dialogue on issues that link the world of scholarship and the world of public affairs. The Center achieves this mission through sustaining a community of scholars in Washington, and through sponsoring a regular program of meetings on the humanities and international affairs. The Center welcomes scholars of every nationality and from a wide variety of backgrounds including government, the corporate world, the professions, and academe.

## **PENSION BENEFIT GUARANTY CORPORATION**

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## **(86.001-86.999)**

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The Pension Benefit Guaranty Corporation guarantees payment of nonforfeitable pension benefits in covered, private-sector-defined benefit pension plans. Title IV of the Employee Retirement Income Security Act of 1974 (29 U.S.C. 1301 et seq.) provides for coverage of most private-sector-defined benefit pension plans that provide a benefit based on factors such as age, years of service, and average or highest salary. The Corporation administers two benefit insurance programs separately covering single-employer and multi-employer plans. Nearly 40 million workers participate in more than 112,000 covered plans.

**Single-Employer Insurance:** Under the single-employer program, the Corporation guarantees payment of a covered plan's basic benefits if that plan terminates without sufficient assets to pay those guaranteed benefits.

**Multi-employer Insurance:** Under Title IV of the Act, as originally enacted, the Corporation guaranteed nonforfeitable benefits for multi-employer plans in a similar fashion as for single-employer plans. However, the payment of guaranteed benefits was at the agency's discretion under the provisions of the law that remained in force until August 1, 1980. The Multi-employer Pension Plan Amendments Act of 1980 (29 U.S.C. 1001) revised the law applicable to multi-employer pension plans by changing the insurable event from plan termination to plan insolvency. In accordance with the Act, the Corporation provides financial assistance to plans that are unable to pay basic benefits. The plans are obligated to repay such assistance. The act also made employers withdrawing from a plan liable to the plan for a portion of its unfunded vested benefits. **Premium Collections:** All defined benefit pension plans covered by Title IV of Employee Retirement Income Security Act are required to pay premiums under prescribed rates to the Corporation.

## **ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD (88.001-88.999)**

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Ensures compliance to Federal laws requiring accessibility for physically handicapped persons in certain federally funded buildings and facilities throughout the Nation. This includes setting guidelines and requirements for accessibility standards prescribed by Federal agencies, providing technical assistance to organizations agencies and individuals requesting help in solving accessible design and construction problems, and conducting research to determine appropriate specifications for accessibility.

## **NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (89.001-89.999)**

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Establishes policies and procedures for managing the records of the United States Government. NARA assists Federal agencies in adequately documenting their activities, administering their records management programs, scheduling their records, and retiring their noncurrent records to Federal Records Centers. The mission of the National Archives and Records Administration is to ensure, for the Citizen and the public servant, for the President and the Congress and the Courts, ready access to essential evidence. Managing the Presidential Libraries system, assisting the National Historical Publications and Records Commission in its grant program for State and local records and edited publications of prominent Americans, and publishing the laws, regulations, Presidential, and other public documents are also key functions of the National Archives and Records Administration.

## **BROADCASTING BOARD OF GOVERNORS (90.500-90.599)**

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The Broadcasting Board of Governors (BBG) encompasses all U.S. civilian international broadcasting, including the Voice of America (VOA), Radio Free Europe/Radio Liberty (RFE/RL), Radio Free Asia (RFA), Radio and TV Marti, and the Middle East Broadcasting Networks (MBN) -- Radio Sawa and Alhurra

Television. BBG broadcasters distribute programming in 59 languages to an estimated weekly audience of 171 million people via radio, TV, the Internet and other news media. The BBG works to serve as an example of a free and professional press, reaching a worldwide audience with new, information, and relevant discussions.

## **DELTA REGIONAL AUTHORITY (90.200-90.299)**

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To assist the eight-state, 240-county Mississippi Delta region in obtaining the transportation and basic public infrastructure, skills training, and opportunities for economic development essential to strong local economies. The DRA was created as a Federal-State partnership. DRA will focus on: basic public infrastructure in distressed counties and isolated area of distress; transportation infrastructure facilitating the economic development of the region; business development; and job training or employment-related education.

## **DENALI COMMISSION (90.100-90.199)**

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Created by Congress in 1998, the Denali Commission is the Federal government and the State of Alaska working together to assist the most remote of American citizens to help themselves move closer to economic self-sufficiency, while preserving ancient cultural values and new opportunities to people living in American's last frontier. With the creation of the Denali Commission, Congress acknowledged the need for increased inter-agency cooperation and focus on these remote communities. This Federal-State partnership is intended to promote rural development, provide power generation and transmission facilities, modern communication systems, water and sewer systems and other infrastructure needs.

## **JAPAN U.S. FRIENDSHIP COMMISSION (90.300-90.399)**

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The Japan-United States Friendship Act of 1975 established the Japan-United States Friendship Trust Fund and created the Japan-United States Friendship Commission to make grants for the promotion of scholarly, cultural, and artistic activities between Japan and the United States. The Commission is authorized to make expenditures from the fund in an amount not to exceed 5 percent annually of the fund's original principal to pay Commission expenses and make grants to support Japanese studies in American universities, policy oriented research, faculty and other professional exchanges, public affairs programs, and other cultural and educational activities primarily in the United States.

## **U.S. ELECTION ASSISTANCE COMMISSION (90.400-90.499)**

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The U.S. Election Assistance Commission (EAC) was established by the Help America Vote Act of 2002 (HAVA). Central to its role, the Commission serves as a national clearinghouse and resource for information and review of procedures with respect to the administration of Federal elections. According to the text of HAVA, the law was enacted to, establish a program to provide funds to States to replace punch card voting systems, to establish the Election Assistance Commission to assist in the administration of Federal elections and to otherwise provide assistance with the administration of certain Federal election laws and programs, to establish minimum election administration standards for States and units of local government with responsibility for the administration of Federal elections, and for other purposes. Excerpt from The Help America Vote Act of 2002 The Help America Vote Act of 2002 (HAVA) requires the Election Assistance Commission (EAC) to: Generate technical guidance on the administration of federal elections. Produce voluntary voting systems guidelines. Research and report on matters that affect the administration of federal elections. Otherwise provide information and guidance with respect to laws, procedures,

# AGENCY INDEX SUMMARY

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and technologies affecting the administration of Federal elections. Administer payments to States to meet HAVA requirements. Provide grants for election technology development and for pilot programs to test election technology. Manage funds targeted to certain programs designed to encourage youth participation in elections. Develop a national program for the testing, certification, and decertification of voting systems. Maintain the national mail voter registration form that was developed in accordance with the National Voter Registration Act of 1993 (NVRA), report to Congress every two years on the impact of the NVRA on the administration of federal elections, and provide information to States on their responsibilities under that law. Audit persons who received federal funds authorized by HAVA from the General Services Administration or the Election Assistance Commission. Submit an annual report to Congress describing EAC activities for the previous fiscal year. About the U.S. Election Assistance Commission. The U.S. Election Assistance Commission (EAC) was established by the Help America Vote Act of 2002 (HAVA). Central to its role, the Commission serves as a national clearinghouse and resource for information and review of procedures with respect to the administration of Federal elections. HAVA requires the EAC to: Develop technical guidance on the administration of federal elections. Produce voluntary voting systems guidelines. Research and report on matters that affect the administration of federal elections. Provide information and guidance with respect to laws, procedures, and technologies affecting the administration of Federal elections. Administer payments to States to meet HAVA requirements. Provide grants for election technology development and for pilot programs to test election technology. Manage funds targeted to certain programs designed to encourage youth participation in elections. Develop a national program for the testing, certification, and decertification of voting systems. Maintain the national mail voter registration form that was developed in accordance with the National Voter Registration Act of 1993 (NVRA), report to Congress every two years on the impact of the NVRA on the administration of federal elections, and provide information to States on their responsibilities under that law. Audit persons who received federal funds authorized by HAVA from the General Services Administration or the Election Assistance Commission. Submit an annual report to Congress describing EAC activities for the previous fiscal year. For additional information, visit the U.S. Election Assistance Commission online at [www.eac.gov](http://www.eac.gov).

## **UNITED STATES INSTITUTE OF PEACE (91.001-91.999)**

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The United States Institute of Peace was established as an independent, Federal, nonprofit corporation by act of October 19, 1984 (22 U.S.C. 4603). It was established to strengthen the Nation's capacity to promote international peace and the peaceful resolution of conflicts among the peoples and nations of the world. The purpose of the Institute is to develop and disseminate knowledge about the peaceful resolution of international conflict. To accomplish this the Institute has set the following goals: To provide creative practical insights through research, education, and training on negotiation, mediation, and other skills to those actively engaged in resolving international conflicts; to expand the body of knowledge about the nature and processes of peace, war, and international conflict management; and to disseminate information to the public about these subjects. Among the Institute's instruments are grants, fellowships, a library, and in-house projects. The grants program provides financial support to nonprofit organizations, including private colleges and universities; official public institutions, including public schools, colleges, universities, libraries, and Federal, State, and local agencies; and individuals, whether or not they are associated with nonprofit or official public institutions. The Jennings Randolph Program for International Peace offers senior fellowships annually to practitioners or scholars in the U.S. and around the world who join the Institute for about ten months to work on projects concerning the sources and nature of international conflict and ways of managing conflict and sustaining peace. The program also awards Peace Scholar Dissertation Fellowships annually to outstanding doctoral students enrolled in an accredited university in the U.S.

who are researching or writing a dissertation that promises to contribute knowledge relevant to the formulation of policy on international peace and conflict issues. The Jeannette Rankin Library Program is developing four main components on international peacemaking: a specialized research library; a network with and support for other libraries, both specialized and public; an oral history resource; and bibliographic as well as other data bases. Institute-directed projects under the Education and Public Information Program include an educational TV program and cassette programs on such topics as U.S.-Soviet summitry and a National Peace Essay Contest for high school students. The in-house Research and Studies is completing a broad, systematic examination of peace and conflict management theories and features workshops and seminars. Institute publications include biennial report to Congress and the President; a newsletter, The United States Institute of Peace Journal; and short issue papers, in brief. For more information please visit the Institute's web sit at [www.usip.org](http://www.usip.org).

## **DEPARTMENT OF HEALTH AND HUMAN SERVICES (93.001-93.999)**

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The Secretary of HHS advises the President on health, welfare, and income security plans, policies, and programs of the Federal government. The Secretary administers these functions through the Office of the Secretary and the Department's 11 operating divisions, including a budget of \$460 billion and a workforce of 65,000 employees. Supports cross-cutting research on health care systems, health care quality and cost issues, and effectiveness of medical treatments. Provides a system of health surveillance to monitor and prevent the outbreak of diseases. With the assistance of States and other partners, CDC guards against international disease transmission, maintains national health statistics and provides for immunization services, and supports research into disease and injury prevention. Supports a network of 37 hospitals, 60 health centers, 3 school health centers, 46 health stations and 34 urban Indian health centers to provide services to nearly 1.5 million American Indians and Alaska Natives of 557 federally recognized tribes. Administers the Medicare and Medicaid programs, that provide health care to America's aged and indigenous populations. About one in every four Americans, including nearly 18 million children and nursing homes for low-income elderly persons are covered. CMS also administers the new Children's Health Insurance Program through approved State plans that cover more than 2.2 million children.

### **Administration for Children and Families (93.009-93.010, 93.086-93.087, 93.090-93.093, 93.235, 93.254, 93.508, 93.550-93.551, 93.556-93.558, 93.560, 93.563-93.564, 93.566-93.570, 93.575-93.576, 93.579, 93.581, 93.583-93.584, 93.586-93.587, 93.590-93.605, 93.612-93.613, 93.616-93.618, 93.623, 93.630-93.632, 93.643, 93.645, 93.647-93.648, 93.652, 93.658-93.659, 93.667, 93.669-93.671, 93.674, 93.676, 93.708-93.711, 93.713-93.714, 93.716)**

Provides services and assistance for 60 programs to needy children and families, administers the new State-Federal welfare program, Temporary Assistance to Needy Families, administers the national child support enforcement system, and the Head Start program, provides funds to assist low-income families in paying for child care, and supports State programs to provide for foster care and adoption assistance.

### **Administration on Aging (93.041-93.045, 93.047-93.048, 93.051, 93.054, 93.706)**

Supports a nationwide aging network, providing services to the elderly, especially to enable them to remain independent. AOA supports some 240 million meals for the elderly each year, including home-delivered "meals on wheels," helps provide transportation and at-home services, supports

# AGENCY INDEX SUMMARY

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ombudsman services for elderly, and provides policy leadership on aging issues.

## **Agency for Healthcare Research and Quality (93.225-93.226, 93.715)**

Supports cross-cutting research on health care systems, health care quality and cost issues, and effectiveness of medical treatments.

## **Agency for Toxic Substances and Disease Registry (93.161, 93.202, 93.204, 93.240, 93.534)**

Works with States and other Federal agencies to prevent exposure to hazardous substances from waste sites. The agency conducts public health assessments, health studies, surveillance activities, and health education training in communities around waste sites on the U.S. Environmental Protection Agency's National Priorities List.

## **Centers for Disease Control and Prevention (93.055-93.056, 93.061-93.070, 93.073, 93.116, 93.118, 93.135-93.136, 93.184-93.185, 93.197, 93.262, 93.268-93.270, 93.283, 93.338-93.339, 93.507, 93.520-93.521, 93.523-93.524, 93.531, 93.533, 93.535, 93.538-93.542, 93.544, 93.548, 93.606-93.607, 93.712, 93.717, 93.723-93.724, 93.919, 93.938-93.947, 93.977-93.978, 93.988, 93.991)**

Provides a system of health surveillance to monitor and prevent the outbreak of diseases. With the assistance of States and other partners, CDC guards against international disease transmission, maintains national health statistics and provides for immunization services, and supports research into disease and injury prevention.

## **Centers for Medicare and Medicaid Services (93.506, 93.511, 93.519, 93.525, 93.529, 93.536-93.537, 93.545-93.546, 93.720, 93.767-93.768, 93.770, 93.773-93.775, 93.777-93.780, 93.784, 93.789-93.791, 93.793, 93.796)**

Administers the Medicare and Medicaid programs, that provide health care to America's aged and indigenous populations. About one in every four Americans, including nearly 18 million children and nursing homes for low-income elderly persons are covered. CMS also administers the new Children's Health Insurance Program through approved State plans that cover more than 2.2 million children.

## **Food and Drug Administration (93.103, 93.448-93.449)**

Assures the safety of foods and cosmetics, and the safety and efficacy of pharmaceuticals, biological products, and medical devices.

## **Health Resources and Services Administration (93.011, 93.107, 93.110, 93.117, 93.124, 93.127, 93.129-93.130, 93.134, 93.145, 93.153, 93.155-93.157, 93.162, 93.165, 93.178, 93.186, 93.189, 93.191, 93.211-93.212, 93.223-93.224, 93.234, 93.236, 93.241, 93.247, 93.249-93.251, 93.253, 93.255-93.257, 93.259, 93.264-93.267, 93.288, 93.300-93.301, 93.303, 93.342, 93.358-93.359, 93.364-93.365, 93.400-93.412, 93.414-93.420, 93.440, 93.501-93.505, 93.509-93.510, 93.512-93.516, 93.522, 93.526-93.528, 93.530, 93.547, 93.549, 93.703, 93.822, 93.824, 93.884, 93.887-93.888, 93.908, 93.912-93.914, 93.917-93.918, 93.923-93.926, 93.928, 93.932, 93.964-93.965, 93.969, 93.994)**

Helps provide health resources for medically underserved populations. HRSA Supports a nationwide network of 643 community and migrant health centers,

and 144 primary care programs for the homeless and residents of public housing, serving 8.1 million Americans each year. HRSA also works to build the health care workforce and maintains the National Health Service Corps oversees, the Nation's organ transplantation system, works to decrease infant mortality and improve child health, and provides services to people with AIDS through the Ryan White CARE Act programs.

## **Indian Health Service (93.123, 93.164, 93.193, 93.210, 93.228, 93.231, 93.237, 93.284, 93.441-93.445, 93.722, 93.933, 93.954, 93.970-93.972)**

Supports a network of 37 hospitals, 60 health centers, 3 school health centers, 46 health stations and 34 urban Indian health centers to provide services to nearly 1.5 million American Indians and Alaska Natives of 557 federally recognized tribes.

## **National Institutes of Health (93.113, 93.121, 93.142-93.143, 93.173, 93.209, 93.213, 93.220, 93.232-93.233, 93.242, 93.273, 93.279-93.282, 93.286, 93.307-93.308, 93.361, 93.389, 93.393-93.399, 93.837-93.839, 93.846-93.847, 93.853, 93.855, 93.859, 93.865-93.867, 93.879, 93.936, 93.989)**

Works with 17 separate institutes, serves as the world's premier medical research organization, supporting some 35,000 research projects nationwide in diseases like cancer, Alzheimer's, diabetes, arthritis, heart ailments and AIDS.

## **Office of Disease Prevention and Health Promotion (93.990)**

No Description Provided

## **Office of Minority Health (93.004, 93.006, 93.105, 93.137, 93.910)**

No Description Provided

## **Office of Population Affairs (93.111, 93.217, 93.260, 93.974, 93.995)**

No Description Provided

## **Office of the Secretary (93.016-93.017, 93.019, 93.088-93.089, 93.290, 93.295-93.296, 93.360, 93.500, 93.718-93.719, 93.721, 93.726-93.728, 93.889)**

The Department of Health and Human Services (HHS) is the United States government's principal agency for protecting the health of all Americans and providing essential human services, especially for those who are least able to help themselves. The work of HHS is conducted by the Office of the Secretary and 11 agencies. The agencies perform a wide variety of tasks and services, including research, public health, food and drug safety, grants and other funding, health insurance, and many others. The subdivisions of the Office of the Secretary provide direct support for the Secretary's initiatives.

## **President's Council on Physical Fitness and Sports (93.289)**

The President's Council on Physical Fitness and Sports is an advisory committee of volunteer citizens who advise the President through the Secretary of Health and Human Services about physical activity, fitness, and sports in America. Through its programs and partnerships with the public, private and non-profit sectors, the Council serves as a catalyst to promote health, physical activity, fitness, and enjoyment for people of all ages, backgrounds and abilities through participation in physical activity and sports. The twenty Council members are appointed and serve at the pleasure of the President.

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## **Program Support Center (93.291)**

A service-for-fee organization, utilizes a pioneering business enterprise approach to provide government support services throughout HHS as well as other Departments and Federal agencies. Administrative operations, financial management and human resources are solution-and customer-oriented, state-of-the-art and highly responsive to customer needs.

## **Substance Abuse and Mental Health Services**

**Administration (93.104, 93.138, 93.150, 93.243, 93.275-93.276, 93.958-93.959, 93.975, 93.982)**

Works to improve the quality and availability of substance abuse prevention, addiction treatment, and mental health services.

## **CORPORATION FOR NATIONAL AND COMMUNITY SERVICE (94.001-94.999)**

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The Corporation for National Service is a federal agency working in partnership with state and local governments and non-profit organizations. The Corporation administers the AmeriCorps national service program, which includes national and state grant programs, AmeriCorps\*VISTA and the AmeriCorps\*National Civilian Community Corps; the National Senior Service Corps (Foster Grandparents, Senior Companions and the Retired and Senior Volunteer Program); and the Learn and Serve America service-learning program. The Corporation's mission is to engage Americans of all backgrounds in community-based service. This service addresses the nation's education, public safety, human and environmental needs to achieve direct and demonstrable results. In doing so, the Corporation fosters civic responsibility, encourages community teamwork, and provides educational opportunity for those who make a substantial commitment to service.

## **EXECUTIVE OFFICE OF THE PRESIDENT (95.001-95.999)**

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## **SOCIAL SECURITY ADMINISTRATION (96.001-96.999)**

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On March 31, 1995, the Social Security Administration (SSA) became an independent agency. SSA administers a national program of contributory social insurance. Employees, employers, and the self-employed pay contributions which are pooled in special trust funds. When earnings cease or are reduced because the worker retires, dies, or becomes disabled, monthly cash benefits are paid to replace part of the earnings the family has lost. Part of the workers contribution goes into a separate hospital insurance trust fund. This fund helps disabled workers, retirees, and their dependents with their hospital bills. They may also elect to receive assistance with medical expenses. This is done by the workers paying a percentage of supplementary medical insurance premiums. The Federal government pays the balance. Together, these two programs are often referred to as "Medicare." Medicare protection is also provided, under certain conditions, to Railroad Retirement beneficiaries based on a disability. The principal functions of SSA include, but are not limited to; research and recommendations oriented to the problems of poverty; health care for the aged, blind, and disabled; long-range planning, design, and development of SSA administrative plans; data processing systems used in establishing and maintaining records essential to its' various programs; statistical measurement and systematic evaluation of its' programs; policy guidance for the administration of the OASDI and SSI programs; and development of programs and materials to assure that Congress, Federal and State agencies, and the general public have an adequate understanding of the protections, rights, and responsibilities under SSA administered programs. In addition, SSA, through a

world-wide organization of ten regional offices, six program service centers, and over 1,300 field offices, guides and directs all aspects of the cash benefit program operations of SSA

## **DEPARTMENT OF HOMELAND SECURITY (97.001-97.999)**

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On January 23, 2002, the Department of Homeland Security (DHS) was created through the Homeland Security Act of 2002. The Act provides grants award authority for DHS to award grants, cooperative agreements and other assistance to non-Federal entities in order to assist them with homeland security and disaster preparedness, security, migration and recovery measures. The primary mission of the Department is to prevent terrorist attacks within the United States; reduce the vulnerability of the United States to terrorism; minimize damage, and assist in the recovery from terrorist attacks that do occur within the United States; carry out all the functions of entities transferred to the Department, including by acting as focal point regarding natural and manmade crises and emergency planning; ensure that the function of the agencies and subdivisions within the Department that are not related directly to securing the homeland are not diminished or neglected except by a specific explicit Act of Congress; and monitor connection between illegal drug trafficking and terrorism, coordinate efforts to serve such connections, and otherwise contribute to efforts to interdict illegal drug trafficking.

## **AGENCY FOR INTERNATIONAL DEVELOPMENT (98.001-98.999)**

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To promote transformational development in less-developed and selected middle-income countries. Transformational development brings far-reaching, fundamental changes in governance and institutional capacity, human capacity, and economic structure. Such development helps a country sustain further economic and social progress without depending on foreign aid. The goal of achieving transformational development pertains to stable developing countries which have significant need for concessional assistance and are committed to promoting economic freedom, ruling justly, and investing in people.

# AGENCY PROGRAM INDEX

This index provides a program list by agency showing the CFDA number and program title. It also distinguishes between programs that provide financial assistance and those that provide non-financial assistance in the form of services and technical assistance. The letter(s) in parentheses following the program title indicates the type of assistance available through that program. The following letter codes are used:

- A: Formula Grants
- B: Project Grants
- C: Direct Payments for Specified Use
- D: Direct Payments with Unrestricted Use
- E: Direct Loans
- F: Guaranteed/Insured Loans
- G: Insurance
- H: Sale, Exchange, or Donation of Property and Goods
- I: Use of Property, Facilities, and Equipment
- J: Provision of Specialized Services
- K: Advisory Services and Counseling
- L: Dissemination of Technical Information
- M: Training
- N: Investigation of Complaints
- O: Federal Employment

Program Description	Financial	Non-Financial
<b>DEPARTMENT OF AGRICULTURE</b>		
<b>AGRICULTURAL MARKETING SERVICE</b>		
10.153 Market News (L)		X
10.155 Marketing Agreements and Orders (J,K)		X
10.156 Federal-State Marketing Improvement Program (B)	X	
10.162 Inspection Grading and Standardization (J)		X
10.163 Market Protection and Promotion (J,K,M)		X
10.164 Wholesale Farmers and Alternative Market Development (K,M)		X
10.165 Perishable Agricultural Commodities Act (N)		X
10.167 Transportation Services (K,M)		X
10.168 Farmers' Market Promotion Program (B)	X	
10.170 Specialty Crop Block Grant Program - Farm Bill (B)	X	
10.171 Organic Certification Cost Share Programs (C)	X	
<b>AGRICULTURAL RESEARCH SERVICE</b>		
10.001 Agricultural Research_Basic and Applied Research (B)	X	
10.700 National Agricultural Library (L)		X
<b>ANIMAL AND PLANT HEALTH INSPECTION SERVICE</b>		
10.025 Plant and Animal Disease, Pest Control, and Animal Care (B)	X	
10.028 Wildlife Services (B)	X	
<b>DEPARTMENTAL MANAGEMENT</b>		
10.443 Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (B)	X	
10.465 Farmworker Training Grant Program (B)	X	
<b>ECONOMIC RESEARCH SERVICE</b>		
10.250 Agricultural and Rural Economic Research (L)		X
10.253 Food Assistance and Nutrition Research Programs (FANRP) (L)		X
10.254 Program of Research on the Economic of Invasive Species Management (PREISM) (L)		X
10.255 Research Innovation and Development Grants in Economic (RIDGE) (L)		X
10.256 Consumer Data and Information Program (L)		X
<b>FARM SERVICE AGENCY</b>		
10.051 Commodity Loans and Loan Deficiency Payments (D,E)	X	
10.053 Dairy Indemnity Program (D)	X	
10.054 Emergency Conservation Program (C)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
10.055 Direct and Counter-cyclical Payments Program (C)	X	
10.056 Farm Storage Facility Loans (E)	X	
10.069 Conservation Reserve Program (C)	X	
10.085 Tobacco Transition Payment Program (D)	X	
10.086 Aquaculture Grants Program (AGP) (A)	X	
10.087 Biomass Crop Assistance Program (D)	X	
10.088 Livestock Indemnity Program (C)	X	
10.089 Livestock Forage Disaster Program (C)	X	
10.090 Supplemental Revenue Assistance Program (C)	X	
10.091 Emergency Assistance for Livestock, Honeybees, and Farm-Raised Fish Program (C)	X	
10.092 Tree Assistance Program (D)	X	
10.093 Voluntary Public Access and Habitat Incentive Program (A)	X	
10.095 Durum Wheat Quality Program (D)	X	
10.099 Conservation Loans (E,F)	X	
10.103 2009 Aquaculture Grant Program (A)	X	
10.104 Poultry Loss Contract Grant Assistance Program (A)	X	
10.404 Emergency Loans (E)	X	
10.406 Farm Operating Loans (E,F)	X	
10.407 Farm Ownership Loans (E,F)	X	
10.421 Indian Tribes and Tribal Corporation Loans (E)	X	
10.435 State Mediation Grants (B)	X	
10.437 Interest Assistance Program (F)	X	
10.449 Boll Weevil Eradication Loan Program (E)	X	
10.451 Noninsured Assistance (D)	X	
<b>FOOD AND NUTRITION SERVICE</b>		
10.551 Supplemental Nutrition Assistance Program (C)	X	
10.553 School Breakfast Program (A)	X	
10.555 National School Lunch Program (A)	X	
10.556 Special Milk Program for Children (A)	X	
10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)	X	
10.558 Child and Adult Care Food Program (A)	X	
10.559 Summer Food Service Program for Children (A)	X	
10.560 State Administrative Expenses for Child Nutrition (A)	X	
10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)	X	
10.565 Commodity Supplemental Food Program (A,H)	X	
10.566 Nutrition Assistance For Puerto Rico (C)	X	
10.567 Food Distribution Program on Indian Reservations (B,H)	X	
10.568 Emergency Food Assistance Program (Administrative Costs) (A,B)	X	
10.569 Emergency Food Assistance Program (Food Commodities) (A)	X	
10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)	X	
10.574 Team Nutrition Grants (B)	X	
10.576 Senior Farmers Market Nutrition Program (B)	X	
10.578 WIC Grants To States (WGS) (B)	X	
10.579 Child Nutrition Discretionary Grants Limited Availability (B)	X	
10.580 Supplemental Nutrition Assistance Program, Outreach/Participation Program (B)	X	
10.582 Fresh Fruit and Vegetable Program (B)	X	
10.583 Hunger Free Communities (B)	X	
10.585 FNS Food Safety Grants (B)	X	
10.586 Office of Research and Analysis (ORA) Grants/Cooperative Agreements to Meet Food, Nutrition and Health Needs of Program Eligible Participants (B)	X	
10.588 Assessment of Alternatives to Face-to-Face Interviews in SNAP (B)	X	
<b>FOOD SAFETY AND INSPECTION SERVICE</b>		
10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)	X	
10.477 Meat, Poultry, and Egg Products Inspection (J)		X
10.479 Food Safety Cooperative Agreements (B)	X	



# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
<b>FOREIGN AGRICULTURAL SERVICE</b>		
10.605 Quality Samples Program (C)	X	
10.610 Export Guarantee Program (F)	X	
10.613 Faculty Exchange Program (C)	X	
10.614 Scientific Cooperation Exchange Program with China (B,C)	X	
10.777 Norman E. Borlaug International Agricultural Science and Technology Fellowship (C)	X	
10.961 Scientific Cooperation and Research (B,C)	X	
10.962 Cochran Fellowship Program-International Training-Foreign Participant (C)	X	
10.998 Long Term Standing Agreements for Storage, Transportation, and Lease (C)	X	
<b>FOREST SERVICE</b>		
10.652 Forestry Research (B)	X	
10.664 Cooperative Forestry Assistance (A,B)	X	
10.665 Schools and Roads - Grants to States (A)	X	
10.666 Schools and Roads - Grants to Counties (A)	X	
10.672 Rural Development, Forestry, and Communities (B)	X	
10.674 Forest Products Lab: Technology Marketing Unit (TMU) (B)	X	
10.675 Urban and Community Forestry Program (B)	X	
10.676 Forest Legacy Program (B)	X	
10.678 Forest Stewardship Program (B)	X	
10.679 Collaborative Forest Restoration (B)	X	
10.680 Forest Health Protection (A,B)	X	
10.681 Wood Education and Resource Center (WERC) (B)	X	
10.682 National Forest Foundation (C)	X	
10.683 National Fish and Wildlife Foundation (C)	X	
10.684 International Forestry Programs (B)	X	
10.685 Community Wood Energy Program (B)	X	
10.687 Recovery Act of 2009: Capital Improvement and Maintenance (B)	X	
10.688 Recovery Act of 2009: Wildland Fire Management (B)	X	
10.689 Community Forest and Open Space Conservation Program (CFP) (B)	X	
10.690 Lake Tahoe Erosion Control Grant Program (B)	X	
10.691 Good Neighbor Authority (B)	X	
10.693 Watershed Restoration and Enhancement Agreement Authority (B)	X	
10.694 Southwest Forest Health and Wildfire Prevention (C)	X	
<b>NATIONAL AGRICULTURAL STATISTICS SERVICE</b>		
10.950 Agricultural Statistics Reports (L)		X
<b>NATIONAL INSTITUTE OF FOOD AND AGRICULTURE</b>		
10.200 Grants for Agricultural Research, Special Research Grants (B)	X	
10.202 Cooperative Forestry Research (A)	X	
10.203 Payments to Agricultural Experiment Stations Under the Hatch Act (A)	X	
10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University (A)	X	
10.207 Animal Health and Disease Research (A)	X	
10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)	X	
10.212 Small Business Innovation Research (B)	X	
10.215 Sustainable Agriculture Research and Education (B)	X	
10.216 1890 Institution Capacity Building Grants (B)	X	
10.217 Higher Education Challenge Grants (B)	X	
10.219 Biotechnology Risk Assessment Research (B)	X	
10.220 Higher Education Multicultural Scholars Program (B)	X	
10.221 Tribal Colleges Education Equity Grants (B)	X	
10.222 Tribal Colleges Endowment Program (A)	X	
10.223 Hispanic Serving Institutions Education Grants (B)	X	
10.225 Community Food Projects (B)	X	
10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (B)	X	
10.227 1994 Institutions Research Program (B)	X	
10.228 Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
10.303 Integrated Programs (B)	X	
10.304 Homeland Security_Agricultural (B)	X	
10.305 International Science and Education Grants (B)	X	
10.306 Biodiesel (B)	X	
10.307 Organic Agriculture Research and Extension Initiative (B)	X	
10.308 Resident Instruction Grants for Insular Area Activities (B)	X	
10.309 Specialty Crop Research Initiative (B)	X	
10.310 Agriculture and Food Research Initiative (AFRI) (B)	X	
10.311 Beginning Farmer and Rancher Development Program (B)	X	
10.312 Biomass Research and Development Initiative Competitive Grants Program (BRDI) (B)	X	
10.313 Veterinary Medicine Loan Repayment Program (C)	X	
10.314 New ERA Rural Technology Competitive Grants Program (B)	X	
10.315 Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF) (B)	X	
10.316 Healthy Urban Food Enterprise Development Center (HUFED) (B)	X	
10.317 Food Aid Nutrition Enhancement Program (B)	X	
10.318 Women and Minorities in Science, Technology, Engineering, and (B)	X	
10.319 Farm Business Management and Benchmarking Competitive Grants Program (B)	X	
10.320 Sun Grant Program (B)	X	
10.322 Distance Education Grants for Institutions of Higher Education in Insular Areas (B)	X	
10.324 Afghanistan Agricultural Extension Project (AAEP) (B)	X	
10.325 Peoples Garden Grant Program (B)	X	
10.500 Cooperative Extension Service (A,B)	X	
<b>NATURAL RESOURCES CONSERVATION SERVICE</b>		
10.072 Wetlands Reserve Program (C)	X	
10.901 Resource Conservation and Development (K)		X
10.902 Soil and Water Conservation (K)		X
10.903 Soil Survey (L)		X
10.904 Watershed Protection and Flood Prevention (K)		X
10.905 Plant Materials for Conservation (J)		X
10.907 Snow Survey and Water Supply Forecasting (L)		X
10.912 Environmental Quality Incentives Program (C)	X	
10.913 Farm and Ranch Lands Protection Program (C)	X	
10.914 Wildlife Habitat Incentive Program (C)	X	
10.916 Watershed Rehabilitation Program (K)		X
10.917 Agricultural Management Assistance (C)	X	
10.920 Grassland Reserve Program (C)	X	
10.921 Conservation Security Program (C)	X	
10.922 Healthy Forests Reserve Program (HFRP) (C)	X	
10.923 Emergency Watershed Protection Program (B)	X	
10.924 Conservation Stewardship Program (B)	X	
10.925 Agricultural Water Enhancement Program (C)	X	
10.926 Chesapeake Bay Watershed Program (C)	X	
<b>RISK MANAGEMENT AGENCY</b>		
10.450 Crop Insurance (G)	X	
10.455 Community Outreach and Assistance Partnership Program (L,M)		X
10.456 Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (B)	X	
10.458 Crop Insurance Education in Targeted States (B)	X	
10.459 Commodity Partnerships for Small Agricultural Risk Management Education Sessions (B)	X	
<b>RURAL BUSINESS-COOPERATIVE SERVICE</b>		
10.778 Research on the Economic Impact of Cooperatives (C)	X	
10.865 Biorefinery Assistance (F)	X	
10.866 Repowering Assistance (C)	X	
10.867 BIOENERGY PROGRAM FOR ADVANCED BIOFUELS (D)	X	
10.868 Rural Energy for America Program (F)	X	
10.870 Rural Microentrepreneur Assistance Program (B,E)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
<b>RURAL DEVELOPMENT</b>		
10.350 Technical Assistance to Cooperatives (J,K,L,M)		X
10.352 Value-Added Producer Grants (B)	X	
10.405 Farm Labor Housing Loans and Grants (B,F)	X	
10.410 Very Low to Moderate Income Housing Loans (E,F)	X	
10.411 Rural Housing Site Loans and Self_Help Housing Land Development Loans (E)	X	
10.415 Rural Rental Housing Loans (B,E)	X	
10.417 Very Low-Income Housing Repair Loans and Grants (B,E)	X	
10.420 Rural Self-Help Housing Technical Assistance (B)	X	
10.427 Rural Rental Assistance Payments (C)	X	
10.433 Rural Housing Preservation Grants (B)	X	
10.438 Section 538 Rural Rental Housing Guaranteed Loans (F)	X	
10.444 Direct Housing_Natural Disaster Loans and Grants (B,E)	X	
10.446 Rural Community Development Initiative (B)	X	
10.447 The Rural Development (RD) Multi-Family Housing Revitalization Demonstration Program (MPR) (B)	X	
10.448 Rural Development Multi-Family Housing Rural Housing Voucher Demonstration Program (C)	X	
10.759 Part 1774 Special Evaluation Assistance for Rural Communities and Households Program (SEARCH) (B)	X	
10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)	X	
10.761 Technical Assistance and Training Grants (B)	X	
10.762 Solid Waste Management Grants (B)	X	
10.763 Emergency Community Water Assistance Grants (B)	X	
10.766 Community Facilities Loans and Grants (B,E,F)	X	
10.767 Intermediary Relending Program (E)	X	
10.768 Business and Industry Loans (F)	X	
10.769 Rural Business Enterprise Grants (B)	X	
10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)	X	
10.771 Rural Cooperative Development Grants (B)	X	
10.773 Rural Business Opportunity Grants (B)	X	
10.780 Community Facilities Loans and Grants (B,E)	X	
10.781 Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)	X	
10.783 Rural Business Enterprise Grants - ARRA (B)	X	
10.788 Very Low to Moderate Income Housing Loans - Direct (E,F)	X	
10.789 Very Low to Moderate Income Housing Loans - Guaranteed (E,F)	X	
10.850 Rural Electrification Loans and Loan Guarantees (E,F)	X	
10.851 Rural Telephone Loans and Loan Guarantees (E,F)	X	
10.854 Rural Economic Development Loans and Grants (B,E)	X	
10.855 Distance Learning and Telemedicine Loans and Grants (B,E)	X	
10.856 1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (C)	X	
10.857 State Bulk Fuel Revolving Fund Grants (B)	X	
10.858 Denali Commission Grants and Loans (B,E)	X	
10.859 Assistance to High Energy Cost Rural Communities (B,E)	X	
10.861 Public Television Station Digital Transition Grant Program (B)	X	
10.863 Community Connect Grant Program (B)	X	
10.864 Grant Program to Establish a Fund for Financing Water and Wastewater Projects (B)	X	
10.874 Delta Health Care Services Grant Program (B)	X	
10.886 Rural Broadband Access Loans and Loan Guarantees (E,F)	X	
<b>RURAL UTILITIES SERVICE</b>		
10.787 Broadband Initiatives Program (B,E)	X	
10.862 Household Water Well System Grant Program (B)	X	
<b>THE OFFICE OF THE CHIEF ECONOMIST</b>		
10.290 Agricultural Market and Economic Research (B)	X	
<b>DEPARTMENT OF COMMERCE</b>		
<b>NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA)</b>		
11.432 National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
<b>DEPARTMENT OF DEFENSE</b>		
12.551 National Security Education Program David L. Boren Scholarships (B)	X	
12.552 National Security Education Program David L. Boren Fellowships (B)	X	
12.553 The Language Flagship Fellowships (B)	X	
12.555 English for Heritage Language Speakers Scholarships (B)	X	
<b>DEPARTMENT OF THE AIR FORCE, MATERIEL COMMAND</b>		
12.800 Air Force Defense Research Sciences Program (B)	X	
<b>DEPARTMENT OF THE ARMY, OFFICE OF THE CHIEF OF ENGINEERS</b>		
12.101 Beach Erosion Control Projects (J)		X
12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J)		X
12.106 Flood Control Projects (J)		X
12.107 Navigation Projects (J)		X
12.108 Snagging and Clearing for Flood Control (J)		X
12.110 Planning Assistance to States (J)		X
12.112 Payments to States in Lieu of Real Estate Taxes (A)	X	
12.116 Department of Defense Appropriation Act of 2003 (J)		X
12.118 North Dakota Environmental Infrastructure (Section 594) - ARRA (B)	X	
12.119 Northern Wisconsin Environmental Infrastructure (Section 154) - ARRA (B)	X	
12.120 Northeastern Minnesota Environmental Infrastructure (Section 569) - ARRA (B)	X	
12.121 Montana, Nevada, New Mexico, Utah, Idaho, & Wyoming Environmental Infrastructure (Section 595) - ARRA (B)	X	
12.123 South Central Pennsylvania Environmental Infrastructure (Section 313) - ARRA (B)	X	
12.124 Mississippi Environmental Infrastructure (Section 592) - ARRA (B)	X	
12.125 Southern WV Environmental Infrastructure (Section 340) - ARRA (B)	X	
12.126 Central WV Environmental Infrastructure (Section 571) - ARRA (B)	X	
12.127 Southern and Eastern KY Environmental Infrastructure (Section 531) - ARRA (B)	X	
12.128 Florida Keys Water Quality Improvement Program (Section 109) - ARRA (B)	X	
<b>DEPARTMENT OF THE NAVY, OFFICE OF THE CHIEF OF NAVAL RESEARCH</b>		
12.330 Science, Technology, Engineering & Mathematics (STEM) for K-12 & Institutions of Higher Learning- NAVY (B)	X	
<b>DEPARTMENT OF THE NAVY, SPAWAR</b>		
12.335 Navy Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (B)	X	
<b>FEDERAL VOTING ASSISTANCE PROGRAM</b>		
12.217 Electronic Absentee Systems for Elections (B)	X	
<b>MARINE CORPS SYSTEMS COMMAND</b>		
12.369 Marine Corps Systems Command Federal Assistance Program (B)	X	
<b>NATIONAL SECURITY AGENCY</b>		
12.901 Mathematical Sciences Grants Program (B)	X	
12.902 Information Security Grant Program (B)	X	
<b>OFFICE OF ECONOMIC ADJUSTMENT</b>		
12.600 Community Economic Adjustment (B,J,L)	X	
<b>OFFICE OF THE SECRETARY OF DEFENSE</b>		
12.360 Research on Chemical and Biological Defense (B)	X	
12.550 The Language Flagship Grants to Institutions of Higher Education (B)	X	
12.558 Department of Defense Impact Aid (Supplement, CWSD, BRAC) (A)	X	
12.560 DOD, NDEP, DOTC-STEM Education Outreach Implementation (B)	X	
12.597 Task Force for Business & Stability Operations (B)	X	
12.631 Science, Technology, Engineering and Mathematics (STEM) Educational Program: Science, Mathematics And Research for Transformation (SMART) (B)	X	
<b>U.S. ARMY MATERIEL COMMAND</b>		
12.431 Basic Scientific Research (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
<b>UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES</b>		
12.750 Uniformed Services University Medical Research Projects (B)	X	
<b>DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</b>		
14.703 Sustainable Communities Regional Planning Grant Program (B)	X	
14.704 Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants (B)	X	
14.705 Capacity Building for Sustainable Communities (B)	X	
<b>OFFICE OF COMMUNITY PLANNING AND DEVELOPMENT</b>		
14.218 Community Development Block Grants/Entitlement Grants (A)	X	
14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas (B)	X	
14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)	X	
14.231 Emergency Shelter Grants Program (A)	X	
14.235 Supportive Housing Program (B,C)	X	
14.238 Shelter Plus Care (B)	X	
14.239 Home Investment Partnerships Program (A)	X	
14.241 Housing Opportunities for Persons with AIDS (A,B)	X	
14.246 Community Development Block Grants/Brownfields Economic Development Initiative (B)	X	
14.247 Self-Help Homeownership Opportunity Program (B)	X	
14.248 Community Development Block Grants_Section 108 Loan Guarantees (F)	X	
14.249 Section 8 Moderate Rehabilitation Single Room Occupancy (B)	X	
14.251 Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants (B)	X	
14.252 Section 4 Capacity Building for Community Development and Affordable Housing (B)	X	
14.259 CPD's Transformation Initiative Technical Assistance (B)	X	
14.261 Homeless Management Information Systems Technical Assistance (B)	X	
14.263 Rural Innovation Fund (B)	X	
14.264 Neighborhood Stabilization Program (B)	X	
<b>OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY</b>		
14.400 Equal Opportunity in Housing (N)		X
14.401 Fair Housing Assistance Program_State and Local (B)	X	
14.408 Fair Housing Initiatives Program (B)	X	
14.416 Education and Outreach Initiatives (B)	X	
14.417 Fair Housing Organization Initiatives (B)	X	
14.418 Private Enforcement Initiatives (B)	X	
14.420 Fair Housing Initiatives Program Enforcement Testing Technical Assistance (B)	X	
14.421 Limited English Proficiency Initiative (B)	X	
<b>OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL</b>		
14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing (B)	X	
14.902 Lead Technical Studies Grants (B)	X	
14.905 Lead Hazard Reduction Demonstration Grant Program (B)	X	
14.906 Healthy Homes Technical Studies Grants (B)	X	
14.913 Healthy Homes Production Grant Program (B)	X	
14.914 Asthma Interventions in Public and Assisted Multifamily Housing (B)	X	
<b>OFFICE OF HOUSING-FEDERAL HOUSING COMMISSIONER</b>		
14.103 Interest Reduction Payments_Rental and Cooperative Housing for Lower Income Families (C,F)	X	
14.108 Rehabilitation Mortgage Insurance (F)	X	
14.110 Manufactured Home Loan Insurance_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (F)	X	
14.117 Mortgage Insurance_Homes (F)	X	
14.119 Mortgage Insurance_Homes for Disaster Victims (F)	X	
14.122 Mortgage Insurance_Homes in Urban Renewal Areas (F)	X	
14.123 Mortgage Insurance_Housing in Older, Declining Areas (F)	X	
14.126 Mortgage Insurance_Cooperative Projects (F)	X	
14.127 Mortgage Insurance_Manufactured Home Parks (F)	X	
14.128 Mortgage Insurance_Hospitals (F)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
14.129 Mortgage Insurance_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)	X	
14.133 Mortgage Insurance_Purchase of Units in Condominiums (F)	X	
14.134 Mortgage Insurance_Rental Housing (F)	X	
14.135 Mortgage Insurance_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)	X	
14.138 Mortgage Insurance_Rental Housing for the Elderly (F)	X	
14.139 Mortgage Insurance_Rental Housing in Urban Renewal Areas (F)	X	
14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)	X	
14.149 Rent Supplements_Rental Housing for Lower Income Families (C)	X	
14.151 Supplemental Loan Insurance_Multifamily Rental Housing (F)	X	
14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)	X	
14.157 Supportive Housing for the Elderly (C)	X	
14.159 Section 245 Graduated Payment Mortgage Program (F)	X	
14.162 Mortgage Insurance_Combination and Manufactured Home Lot Loans (F)	X	
14.163 Mortgage Insurance_Single Family Cooperative Housing (F)	X	
14.167 Mortgage Insurance_Two Year Operating Loss Loans, Section 223(d) (F)	X	
14.169 Housing Counseling Assistance Program (B)	X	
14.171 Manufactured Home Dispute Resolution (J)		X
14.172 Mortgage Insurance_Growing Equity Mortgages (F)	X	
14.175 Adjustable Rate Mortgages (F)	X	
14.181 Supportive Housing for Persons with Disabilities (C)	X	
14.183 Home Equity Conversion Mortgages (F)	X	
14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)	X	
14.188 Housing Finance Agencies (HFA) Risk Sharing (F)	X	
14.189 Qualified Participating Entities (QPE) Risk Sharing (F)	X	
14.191 Multifamily Housing Service Coordinators (B)	X	
14.195 Section 8 Housing Assistance Payments Program (C)	X	
14.198 Good Neighbor Next Door Sales Program (H)		X
14.311 Single Family Property Disposition (H)		X
14.313 Dollar Home Sales (H)		X
14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects (B)	X	
14.315 Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (B)	X	
14.316 Housing Counseling Training Program (B)	X	
14.319 Multifamily Energy Innovation Fund (B)	X	
14.321 FHA Technical Assistance Training Transformation Initiative (M)		X
14.322 Tenant Resource Network Program (B)	X	
14.323 Emergency Homeowners Loan Program (E)	X	
14.324 FHA PowerSaver Home Energy Improvement Pilot Program (F)	X	
<b>OFFICE OF POLICY DEVELOPMENT AND RESEARCH</b>		
14.506 General Research and Technology Activity (J)		X
14.516 Doctoral Dissertation Research Grants (B)	X	
14.523 Transformation Initiative Research Grants: Sustainable Community Research Grant Program (B)	X	
14.524 Transformation Initiative Research Grants: Natural Experiments (B)	X	
14.525 Transformation Initiative Research Grants: Demonstration and Related Small Grants (B)	X	
14.529 Fellowship Placement Pilot Program (M)		X
<b>OFFICE OF PUBLIC AND INDIAN HOUSING</b>		
14.005 Choice Neighborhoods Planning Grants (B)	X	
14.850 Public and Indian Housing (C)	X	
14.856 Lower Income Housing Assistance Program_Section 8 Moderate Rehabilitation (C)	X	
14.862 Indian Community Development Block Grant Program (B)	X	
14.865 Public and Indian Housing_Indian Loan Guarantee Program (F)	X	
14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)	X	
14.867 Indian Housing Block Grants (A)	X	
14.869 Title VI Federal Guarantees for Financing Tribal Housing Activities (F)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
14.870 Resident Opportunity and Supportive Services - Service Coordinators (B)	X	
14.871 Section 8 Housing Choice Vouchers (C)	X	
14.872 Public Housing Capital Fund (A)	X	
14.873 Native Hawaiian Housing Block Grants (B)	X	
14.874 Loan Guarantees for Native Hawaiian Housing (F)	X	
14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (B)	X	
14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)	X	
14.879 Mainstream Vouchers (C)	X	
14.880 Family Unification Program (FUP) (C)	X	
14.881 Moving to Work Demonstration Program (A)	X	
14.887 Native American Housing Block Grants (Competitive) Recovery Act Funded (B)	X	
14.889 Choice Neighborhoods (B)	X	
14.891 Public and Indian Housing Transformation Initiative (TI) Technical Assistance (TA) (J)		X
<b>DEPARTMENT OF THE INTERIOR</b>		
15.535 Upper Colorado River Basin Fish and Wildlife Mitigation Program. (B)	X	
<b>BUREAU OF INDIAN AFFAIRS</b>		
15.020 Aid To Tribal Governments (C)	X	
15.021 Consolidated Tribal Government Program (C)	X	
15.022 Tribal Self-Governance (C)	X	
15.024 Indian Self-Determination Contract Support (C)	X	
15.025 Services to Indian Children, Elderly and Families (C)	X	
15.029 Tribal Courts (C)	X	
15.030 Indian Law Enforcement (C)	X	
15.033 Road Maintenance_Indian Roads (C)	X	
15.036 Indian Rights Protection (C)	X	
15.037 Water Resources on Indian Lands (C,J,K)	X	
15.038 Minerals and Mining on Indian Lands (C,J,L)	X	
15.040 Real Estate Programs_Indian Lands (C)	X	
15.041 Environmental Management_Indian Programs (C)	X	
15.048 Bureau of Indian Affairs Facilities_Operations and Maintenance (C)	X	
15.051 Endangered Species on Indian Lands (C,K,L)	X	
15.052 Litigation Support for Indian Rights (C)	X	
15.053 Attorney Fees_Indian Rights (C)	X	
15.061 Indian Job Placement_United Sioux Tribes Development Corporation (D,K)	X	
15.062 Replacement and Repair of Indian Schools (C)	X	
15.124 Indian Loans_Economic Development (F)	X	
15.141 Indian Housing Assistance (B,L)	X	
15.144 Indian Child Welfare Act_Title II Grants (B)	X	
15.146 Ironworker Training Program (B)	X	
15.147 Tribal Courts_Trust Reform Initiative (B)	X	
15.148 Tribal Energy Development Capacity Grants (C)	X	
<b>BUREAU OF INDIAN EDUCATION</b>		
15.026 Indian Adult Education (C)	X	
15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)	X	
15.028 Tribally Controlled Community College Endowments (B)	X	
15.042 Indian School Equalization Program (C)	X	
15.043 Indian Child and Family Education (B,M)	X	
15.044 Indian Schools_Student Transportation (C)	X	
15.045 Assistance for Indian Children with Severe Disabilities (C)	X	
15.046 Administrative Cost Grants for Indian Schools (B)	X	
15.047 Indian Education Facilities, Operations, and Maintenance (C)	X	
15.058 Indian Post Secondary Schools (M)		X
15.059 Indian Graduate Student Scholarships (B)	X	
15.114 Indian Education_Higher Education Grant Program (B)	X	
15.130 Indian Education_Assistance to Schools (C)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
15.149 FOCUS on Student Achievement Project (B)	X	
15.150 Juvenile Detention Education (B)	X	
15.151 Education Program Enhancements (B)	X	
<b>BUREAU OF LAND MANAGEMENT</b>		
15.214 Non-Sale Disposals of Mineral Material (H)		X
15.222 Cooperative Inspection Agreements with States and Tribes (B)	X	
15.224 Cultural Resource Management (B,I,J,K,L,M,N)	X	
15.225 Recreation Resource Management (B,I,J,K,L,M)	X	
15.227 Distribution of Receipts to State and Local Governments (C,D)	X	
15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance (B,I,J,K,L,M)	X	
15.229 Wild Horse and Burro Resource Management (B,I,J,K,L,M)	X	
15.230 Invasive and Noxious Plant Management (B,K,M)	X	
15.231 Fish, Wildlife and Plant Conservation Resource Management (B,I,J,K,L,M)	X	
15.232 Wildland Fire Research and Studies Program (B)	X	
15.233 Forests and Woodlands Resource Management (B,K,M)	X	
15.234 Secure Rural Schools and Community Self-Determination (B)	X	
15.235 Southern Nevada Public Land Management (B)	X	
15.236 Environmental Quality and Protection Resource Management (B,K,L,M)	X	
15.237 Rangeland Resource Management (B,K,M)	X	
15.238 Challenge Cost Share (B,I,K,M)	X	
15.239 Management Initiatives (B,I,K,M)	X	
15.240 Helium Resource Management (B)	X	
15.241 Indian Self-Determination Act Contracts, Grants and Cooperative Agreements (B,I,M)	X	
15.242 National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)	X	
<b>BUREAU OF RECLAMATION</b>		
15.504 Water Reclamation and Reuse Program (A)	X	
15.506 Water Desalination Research and Development Program (B)	X	
15.507 WaterSMART (Sustaining and Manage America's Resources for Tomorrow) (B)	X	
15.508 Providing Water to At-Risk Natural Desert Terminal Lakes (B)	X	
15.509 Colorado River Basin Salinity Control Program (B)	X	
15.510 Colorado Ute Indian Water Rights Settlement Act (B,C)	X	
15.511 Cultural Resources Management (B)	X	
15.512 Central Valley Project Improvement Act, Title XXXIV (B)	X	
15.513 Dutch John Federal Property and Disposition Assistance Act (B)	X	
15.514 Reclamation States Emergency Drought Relief (B,J,K)	X	
15.516 Fort Peck Reservation Rural Water System (B)	X	
15.517 Fish and Wildlife Coordination Act (B)	X	
15.518 Garrison Diversion Unit (B)	X	
15.519 Indian Tribal Water Resources Development, Management, and Protection (B)	X	
15.520 Lewis and Clark Rural Water System (B)	X	
15.521 Lower Rio Grande Valley Water Resources Conservation and Improvement (B)	X	
15.522 Mni Wiconi Rural Water Supply Project (B)	X	
15.523 Perkins County Rural Water System (B)	X	
15.524 Recreation Resources Management (B)	X	
15.525 Rocky Boy's/North Central Montana Regional Water System (B)	X	
15.526 San Gabriel Basin Restoration Project (B)	X	
15.527 San Luis Unit, Central Valley Project (B)	X	
15.528 St. Mary Storage Unit Facilities Rehabilitation Project (B)	X	
15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)	X	
15.530 Water Conservation Field Services Program (WCFSP) (B)	X	
15.531 Yakima River Basin Water Enhancement Project (YRBWEP) (B)	X	
15.532 Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (B)	X	
15.533 California Water Security and Environmental Enhancement (B)	X	
15.534 Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)	X	
15.536 Deschutes River Conservancy (DRC) (B)	X	
15.537 Middle Rio Grande Endangered Species Collaborative Program (B)	X	



# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
15.538 Lower Colorado River Multi-Species Conservation Program. (B)	X	
15.539 Equus Beds Division Aquifer Storage Recharge Project (B)	X	
15.540 Lake Mead/Las Vegas Wash Program (B)	X	
15.541 Colorado River Basin Projects Act of 1968 (B)	X	
15.542 Arizona Water Settlement Act of 2004 (B)	X	
15.543 Lake Tahoe Regional Wetlands Development Program (B)	X	
15.544 Platte River Recovery Implementation Program (B)	X	
15.545 Bunker Hill Groundwater Basin, Riverside-Corona Feeder Project (B)	X	
15.546 Youth Conservation Program (B)	X	
15.547 San Jacinto Basin Restoration Fund (B)	X	
15.548 Reclamation Rural Water Supply Program (B)	X	
15.549 Integrated Regional Water Plan for the Central Valley of California (B)	X	
15.550 Increasing Public Awareness of Recreational Opportunities at Reclamation Reservoirs for Physically Challenged and Disadvantaged Children (B)	X	
15.551 Madera Water Supply Enhancement Project (B)	X	
<b>FISH AND WILDLIFE SERVICE</b>		
15.605 Sport Fish Restoration Program (A)	X	
15.608 Fish and Wildlife Management Assistance (B)	X	
15.611 Wildlife Restoration and Basic Hunter Education (A)	X	
15.614 Coastal Wetlands Planning, Protection and Restoration Act (B)	X	
15.615 Cooperative Endangered Species Conservation Fund (B)	X	
15.616 Clean Vessel Act (B)	X	
15.619 Rhinoceros and Tiger Conservation Fund (B)	X	
15.620 African Elephant Conservation Fund (B)	X	
15.621 Asian Elephant Conservation Fund (B)	X	
15.622 Sportfishing and Boating Safety Act (B)	X	
15.623 North American Wetlands Conservation Fund (B)	X	
15.625 Wildlife Conservation and Restoration (A)	X	
15.626 Enhanced Hunter Education and Safety Program (A)	X	
15.628 Multistate Conservation Grant Program (B)	X	
15.629 Great Apes Conservation Fund (B)	X	
15.630 Coastal Program (B)	X	
15.631 Partners for Fish and Wildlife (B)	X	
15.633 Landowner Incentive Program (B)	X	
15.634 State Wildlife Grants (A,B)	X	
15.635 Neotropical Migratory Bird Conservation (B)	X	
15.636 Alaska Subsistence Management (B)	X	
15.637 Migratory Bird Joint Ventures (B)	X	
15.639 Tribal Wildlife Grants Program (B)	X	
15.640 Wildlife Without Borders- Latin America and the Caribbean (B)	X	
15.641 Wildlife Without Borders-Mexico (B)	X	
15.642 Challenge Cost Share (B)	X	
15.643 Alaska Migratory Bird Co-Management Council (B)	X	
15.644 Federal Junior Duck Stamp Conservation and Design (B)	X	
15.645 Marine Turtle Conservation Fund (B)	X	
15.647 Migratory Bird Conservation (B,C)	X	
15.648 Central Valley Project Improvement (CVPI) Anadromous Fish Restoration Program (AFRP) (B)	X	
15.649 Service Training and Technical Assistance (Generic Training) (B)	X	
15.650 Research Grants (Generic) (B)	X	
15.651 Wildlife Without Borders-Africa Program (B)	X	
15.652 Undesirable/Noxious Plant Species (B)	X	
15.653 National Outreach and Communication Program (B)	X	
15.654 Visitor Facility Enhancements - Refuges and Wildlife (B)	X	
15.655 Migratory Bird Monitoring, Assessment and Conservation (B,C)	X	
15.656 Recovery Act Funds - Habitat Enhancement, Restoration and Improvement. (B)	X	
15.657 Endangered Species Conservation Recovery Implementation Funds (B)	X	
15.658 Natural Resource Damage Assessment, Restoration and Implementation (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
15.659 National Wildlife Refuge Fund (D)	X	
15.660 Endangered Species - Candidate Conservation Action Funds (B)	X	
15.661 Lower Snake River Compensation Plan (B)	X	
15.662 Great Lakes Restoration (B)	X	
15.663 National Fish and Wildlife Foundation (B)	X	
15.664 Fish and Wildlife Coordination and Assistance Programs (B)	X	
15.665 National Wetlands Inventory (B)	X	
15.666 Endangered Species Conservation-Wolf Livestock Loss Compensation and Prevention (B)	X	
15.667 Highlands Conservation Program (B)	X	
15.668 Coastal Impact Assistance Program (A)	X	
15.669 Cooperative Landscape Conservation (B)	X	
15.670 Adaptive Science (B)	X	
<b>NATIONAL PARK SERVICE</b>		
15.407 Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (B,K)	X	
15.904 Historic Preservation Fund Grants-In-Aid (A,B)	X	
15.915 Technical Preservation Services (J,K,L)		X
15.916 Outdoor Recreation_Acquisition, Development and Planning (B)	X	
15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (H)		X
15.921 Rivers, Trails and Conservation Assistance (K)		X
15.922 Native American Graves Protection and Repatriation Act (B)	X	
15.923 National Center for Preservation Technology and Training (B)	X	
15.926 American Battlefield Protection (B)	X	
15.927 Hydropower Recreation Assistance (K)		X
15.928 Civil War Battlefield Land Acquisition Grants (B)	X	
15.929 Save America's Treasures (B)	X	
15.930 Chesapeake Bay Gateways Network (B)	X	
15.931 Conservation Activities by Youth Service Organizations (B)	X	
15.932 Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs). (B)	X	
15.933 Preservation of Japanese American Confinement Sites (B)	X	
15.934 Abandoned Mine Hazard Mitigation (B,C)	X	
15.935 National Trails System Projects (B)	X	
15.936 Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (C)	X	
15.937 Redwood National Park Cooperative Management with the State of California (B,H,I,K,L,M)	X	
15.939 National Heritage Area Federal Financial Assistance (C)	X	
15.940 New Bedford Whaling National Historic Park Cooperative Management (C)	X	
15.941 Mississippi National River and Recreation Area State and Local Assistance (B)	X	
15.942 Environmental Education and Conservation - North Cascades Bioregion (C,J)	X	
15.943 Challenge Cost Share (C)	X	
15.944 Natural Resource Stewardship (B,C)	X	
15.945 Cooperative Research and Training Programs Resources of the National Park System (B,C,I,L,M)	X	
15.946 Cultural Resources Management (B,C)	X	
15.947 Boston Harbor Islands Partnership (B)	X	
15.948 National Fire Plan- Wildland Urban Interface Community Fire Assistance (B,I,J,K,L)	X	
15.949 National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)	X	
<b>OFFICE OF INSULAR AFFAIRS</b>		
15.875 Economic, Social, and Political Development of the Territories (B,D)	X	
<b>OFFICE OF NATURAL RESOURCES REVENUE</b>		
15.429 State Select (C)	X	
15.430 8(g) State Coastal Zone (C)	X	
15.431 Alaska State Select (C)	X	
15.432 California Refuge Account (C)	X	
15.433 Flood Control Act Lands (D)	X	
15.434 Geothermal Resources (C)	X	
15.435 GoMESA (C)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
15.436 Late Disbursement Interest (D)	X	
15.437 Minerals Leasing Act (C)	X	
15.438 National Forest Acquired Lands (C)	X	
15.439 National Petroleum Reserve - Alaska (C)	X	
15.440 South Half of the Red River (C)	X	
<b>OFFICE OF SURFACE MINING</b>		
15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)	X	
15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)	X	
15.253 Not-for-Profit AMD Reclamation (B)	X	
15.254 Summer Intern and Year-Long OSM/VISTA Watershed Support (C)	X	
15.255 Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation (B)	X	
<b>THE BUREAU OF OCEAN ENERGY MANAGEMENT, REGULATION, AND ENFORCEMENT</b>		
15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)	X	
15.426 Coastal Impact Assistance Program (CIAP) (A)	X	
<b>U.S. GEOLOGICAL SURVEY</b>		
15.805 Assistance to State Water Resources Research Institutes (A,B)	X	
15.807 Earthquake Hazards Reduction Program (B)	X	
15.808 U.S. Geological Survey_ Research and Data Collection (B)	X	
15.809 National Spatial Data Infrastructure Cooperative Agreements Program (B)	X	
15.810 National Cooperative Geologic Mapping Program (B)	X	
15.811 Gap Analysis Program (B)	X	
15.812 Cooperative Research Units Program (B)	X	
15.813 Cooperative Research Units Training Program (B)	X	
15.814 National Geological and Geophysical Data Preservation Program (B)	X	
15.815 National Land Remote Sensing_Education Outreach and Research (B)	X	
15.816 Minerals Resources External Research Program (B)	X	
15.817 National Geospatial Program: Building The National Map (B)	X	
15.818 Volcano Hazards Program Research and Monitoring. (B)	X	
15.819 Energy Cooperatives to Support the National Coal Resources Data System (NCRDS) (B)	X	
15.820 National Climate Change and Wildlife Science Center (B)	X	
15.978 Upper Mississippi River System Long Term Resource Monitoring Program (B)	X	
<b>DEPARTMENT OF JUSTICE</b>		
<b>ALCOHOL, TOBACCO, FIREARMS AND EXPLOSIVES</b>		
16.012 Alcohol, Tobacco, and Firearms_Training Assistance (M)		X
<b>BUREAU OF PRISONS</b>		
16.601 Corrections_Training and Staff Development (B,J,L,M)	X	
16.602 Corrections_Research and Evaluation and Policy Formulation (B,J,L)	X	
16.603 Corrections_Technical Assistance/Clearinghouse (B,J,L)	X	
<b>FEDERAL BUREAU OF INVESTIGATION</b>		
16.300 Law Enforcement Assistance_FBI Advanced Police Training (M)		X
16.301 Law Enforcement Assistance_FBI Crime Laboratory Support (J,M)		X
16.302 Law Enforcement Assistance_FBI Field Police Training (M)		X
16.303 Law Enforcement Assistance_FBI Fingerprint Identification (J)		X
16.304 Law Enforcement Assistance_National Crime Information Center (J)		X
16.305 Law Enforcement Assistance_Uniform Crime Reports (L)		X
16.307 Combined DNA Index System (B)	X	
16.309 Law Enforcement Assistance_National Instant Criminal Background Check System (J)		X
<b>VIOLENCE AGAINST WOMEN OFFICE</b>		
16.013 Violence Against Women Act Court Training and Improvement Grants (B)	X	
16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B)	X	
16.016 Culturally and Linguistically Specific Services Program (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
16.017 Sexual Assault Services Formula Program (A,B)	X	
16.018 Services to Advocate for and Respond to Youth (B)	X	
16.019 Tribal Registry (B)	X	
16.020 Children and Youth Exposed (B)	X	
16.524 Legal Assistance for Victims (B)	X	
16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)	X	
16.526 OVW Technical Assistance Initiative (B)	X	
16.527 Supervised Visitation, Safe Havens for Children (B)	X	
16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)	X	
16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)	X	
16.556 State Domestic Violence and Sexual Assault Coalitions (A)	X	
16.557 Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (B)	X	
16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments (B)	X	
16.588 Violence Against Women Formula Grants (A)	X	
16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)	X	
16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program (B)	X	
16.684 Supporting Teens through Education and Protection Act of 2005 (STEP Act) (B)	X	
16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)	X	
16.805 Recovery Act Transitional Housing (B)	X	
16.806 Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments (B)	X	

## DEPARTMENT OF LABOR

### BUREAU OF LABOR STATISTICS

17.002 Labor Force Statistics (B,L)	X	
17.003 Prices and Cost of Living Data (L)		X
17.004 Productivity and Technology Data (L)		X
17.005 Compensation and Working Conditions (B,L)	X	

### EMPLOYMENT TRAINING ADMINISTRATION

17.201 Registered Apprenticeship and Other Training (B,L,M)	X	
17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)	X	
17.225 Unemployment Insurance (A,D)	X	
17.235 Senior Community Service Employment Program (A,B)	X	
17.245 Trade Adjustment Assistance (A)	X	
17.258 WIA Adult Program (A)	X	
17.259 WIA Youth Activities (A)	X	
17.260 WIA Dislocated Workers (A,B)	X	
17.261 WIA Pilots, Demonstrations, and Research Projects (B)	X	
17.264 National Farmworker Jobs Program (A)	X	
17.265 Native American Employment and Training (A)	X	
17.267 Incentive Grants - WIA Section 503 (B)	X	
17.268 H-1B Job Training Grants (B)	X	
17.270 Reintegration of Ex-Offenders (B)	X	
17.271 Work Opportunity Tax Credit Program (WOTC) (A)	X	
17.272 Permanent Labor Certification for Foreign Workers (J)		X
17.273 Temporary Labor Certification for Foreign Workers (A,J,O)	X	
17.274 Youthbuild (B)	X	
17.275 Program of Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors (B)	X	
17.276 Health Care Tax Credit (HCTC) National Emergency Grants (NEGs) (B)	X	
17.277 Workforce Investment Act (WIA) National Emergency Grants (B)	X	
17.278 WIA Dislocated Worker Formula Grants (A)	X	
17.279 Green Jobs Innovation Fund Grants (B)	X	
17.280 Workforce Investment Act (WIA) Dislocated Worker National Reserve Demonstration Grants (B)	X	
17.281 Workforce Investment Act (WIA) Dislocated Worker National Reserve Technical Assistance and Training (B)	X	
17.282 Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
17.283 Workforce Innovation Fund (B)	X	
<b>MINE SAFETY AND HEALTH ADMINISTRATION</b>		
17.600 Mine Health and Safety Grants (B)	X	
17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)		X
17.602 Mine Health and Safety Education and Training (M)		X
17.603 Brookwood-Sago Grant (B)	X	
17.604 Safety and Health Grants (B)	X	
<b>OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION</b>		
17.502 Occupational Safety and Health_Susan Harwood Training Grants (B)	X	
17.503 Occupational Safety and Health_State Program (B)	X	
17.504 Consultation Agreements (B)	X	
17.505 OSHA Data Initiative (B)	X	
<b>OFFICE OF DISABILITY EMPLOYMENT POLICY</b>		
17.720 Disability Employment Policy Development (B)	X	
<b>OFFICE OF THE SECRETARY, WOMEN'S BUREAU</b>		
17.700 Women's Bureau (K)		X
<b>OFFICE OF WORKERS' COMPENSATION PROGRAMS</b>		
17.302 Longshore and Harbor Workers' Compensation (D)	X	
17.307 Coal Mine Workers' Compensation (D)	X	
17.310 Energy Employees Occupational Illness Compensation (D)	X	
<b>VETERAN'S EMPLOYMENT AND TRAINING SERVICE</b>		
17.801 Disabled Veterans' Outreach Program (DVOP) (A)	X	
17.802 Veterans' Employment Program (B)	X	
17.804 Local Veterans' Employment Representative Program (A)	X	
17.805 Homeless Veterans Reintegration Project (B)	X	
17.807 Transition Assistance Program (B)	X	
<b>U.S. DEPARTMENT OF STATE</b>		
19.024 Soft Target Program for Overseas Schools (B)	X	
19.026 Global Peace Operations Initiative (B)	X	
19.123 EUR/ACE Humanitarian Assistance Program (B)	X	
19.666 EUR/ACE National Endowment for Democracy Small Grants (B)	X	
19.801 Office of Global Women's Issues (B)	X	
19.878 EUR-Other (B)	X	
<b>BUREAU OF EAST ASIAN AND PACIFIC AFFAIRS</b>		
19.124 U.S. Department of State (B)	X	
<b>BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS</b>		
19.009 Academic Exchange Programs - Undergraduate Programs (B)	X	
19.010 Academic Exchange Programs - Humphrey Fellowship Program (B)	X	
19.011 Academic Exchange Programs - Special Academic Exchange Programs (B)	X	
19.012 Professional and Cultural Exchange Programs - Special Professional and Cultural Programs (B)	X	
19.014 One-Time International Exchange Grant Program (B)	X	
19.015 Cultural, Technical and Educational Centers (B)	X	
19.400 Academic Exchange Programs - Graduate Students (B)	X	
19.401 Academic Exchange Programs - Scholars (B)	X	
19.402 Professional and Cultural Exchange Programs - International Visitor Leadership Program (B)	X	
19.408 Academic Exchange Programs - Teachers (B)	X	
19.415 Professional and Cultural Exchange Programs - Citizen Exchanges (B)	X	
19.421 Academic Exchange Programs - English Language Programs (B)	X	
19.432 Academic Exchange Programs - Educational Advising and Student Services (B)	X	
19.440 IIP Individual Grants (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
19.450 ECA Individual Grants (B)	X	
<b>BUREAU OF INTELLIGENCE AND RESEARCH</b>		
19.300 Program for Study of Eastern Europe and the Independent States of the Former Soviet Union (B)	X	
<b>BUREAU OF INTERNATIONAL SECURITY AND NONPROLIFERATION</b>		
19.901 Export Control and Related Border Security (B)	X	
<b>BUREAU OF NEAR EASTERN AFFAIRS</b>		
19.221 Near East Regional Democracy (B)	X	
19.500 Middle East Partnership Initiative (MEPI) (B)	X	
19.600 Bureau of Near Eastern Affairs (NEA) (B)	X	
<b>BUREAU OF OCEANS AND INTERNATIONAL ENVIRONMENTAL AND SCIENTIFIC AFFAIRS</b>		
19.087 International Fisheries Commissions (A)	X	
<b>BUREAU OF POPULATION, REFUGEES, AND MIGRATION</b>		
19.515 Contributions to International Organizations for Overseas Assistance (B,C)	X	
<b>OFFICE OF OVERSEAS SCHOOLS</b>		
19.023 Overseas Schools Program (B)	X	
<b>POLITICAL MILITARY AFFAIRS/ WEAPONS REMOVAL AND ABATEMENT</b>		
19.800 Weapons Removal and Abatement (B)	X	
<b>DEPARTMENT OF TRANSPORTATION</b>		
<b>FEDERAL AVIATION ADMINISTRATION (FAA)</b>		
20.106 Airport Improvement Program (B,K)	X	
20.108 Aviation Research Grants (B,I)	X	
20.109 Air Transportation Centers of Excellence (B,I,J)	X	
<b>FEDERAL HIGHWAY ADMINISTRATION (FHWA)</b>		
20.200 Highway Research and Development Program (B)	X	
20.205 Highway Planning and Construction (A,B)	X	
20.215 Highway Training and Education (B,M)	X	
20.219 Recreational Trails Program (A)	X	
20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)	X	
20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)	X	
<b>FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION (FMCSA)</b>		
20.218 National Motor Carrier Safety (A)	X	
20.231 Performance and Registration Information Systems Management (B)	X	
20.232 Commercial Driver's License Program Improvement Grant (B)	X	
20.233 Border Enforcement Grants (B)	X	
20.234 Safety Data Improvement Program (B)	X	
20.235 Commercial Motor Vehicle Operator Training Grants (B)	X	
20.237 Commercial Vehicle Information Systems and Networks (B)	X	
20.238 Commercial Drivers License Information System (CDLIS) Modernization Grant (B)	X	
20.239 Motor Carrier Research and Technology Programs (B)	X	
<b>FEDERAL RAILROAD ADMINISTRATION (FRA)</b>		
20.301 Railroad Safety (B)	X	
20.313 Railroad Research and Development (B)	X	
20.314 Railroad Development (B)	X	
20.315 National Railroad Passenger Corporation Grants (B)	X	
20.316 Railroad Rehabilitation and Improvement Financing Program (E,F)	X	
20.317 Capital Assistance to States - Intercity Passenger Rail Service (B)	X	
20.318 Maglev Project Selection Program - SAFETEA-LU (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants (B)	X	
20.320 Rail Line Relocation and Improvement (B)	X	
20.321 RAILROAD SAFETY TECHNOLOGY GRANTS (B)	X	
<b>FEDERAL TRANSIT ADMINISTRATION (FTA)</b>		
20.500 Federal Transit_Capital Investment Grants (A,B)	X	
20.505 Metropolitan Transportation Planning (A)	X	
20.507 Federal Transit_Formula Grants (A)	X	
20.509 Formula Grants for Other Than Urbanized Areas (A)	X	
20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)	X	
20.514 Public Transportation Research (B,L,M)	X	
20.515 State Planning and Research (A)	X	
20.516 Job Access_Reverse Commute (B)	X	
20.518 Capital and Training Assistance Program for Over-the-Road Bus Accessibility (B)	X	
20.519 Clean Fuels (B)	X	
20.520 Paul S. Sarbanes Transit in the Parks (B)	X	
20.521 New Freedom Program (A)	X	
20.522 Alternatives Analysis (B)	X	
20.523 Capital Assistance Program for Reducing Energy Consumption and Greenhouse Gas Emissions (B)	X	
<b>MARITIME ADMINISTRATION (MARAD)</b>		
20.802 Federal Ship Financing Guarantees (F)	X	
20.803 Maritime War Risk Insurance (G)	X	
20.806 State Maritime Schools (C,I)	X	
20.807 U.S. Merchant Marine Academy (M)		X
20.808 Capital Construction Fund (C)	X	
20.812 Construction Reserve Fund (C)	X	
20.813 Maritime Security Fleet Program (C)	X	
20.814 Assistance to Small Shipyards (C)	X	
20.816 Americas Marine Highway Grants (B)	X	
<b>NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION (NHTSA)</b>		
20.600 State and Community Highway Safety (A)	X	
20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)	X	
20.602 Occupant Protection Incentive Grants (B)	X	
20.607 Alcohol Open Container Requirements (B)	X	
20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)	X	
20.609 Safety Belt Performance Grants (B)	X	
20.610 State Traffic Safety Information System Improvement Grants (B)	X	
20.611 Incentive Grant Program to Prohibit Racial Profiling (A)	X	
20.612 Incentive Grant Program to Increase Motorcyclist Safety (A)	X	
20.613 Child Safety and Child Booster Seats Incentive Grants (B)	X	
20.614 National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants (B)	X	
<b>OFFICE OF THE SECRETARY (OST) ADMINISTRATION SECRETARIATE</b>		
20.900 Transportation_Consumer Affairs (N)		X
20.901 Payments for Essential Air Services (C)	X	
20.904 Bonding Assistance Program (C,G,I)	X	
20.905 Disadvantaged Business Enterprises_Short Term Lending Program (F)	X	
20.907 Entrepreneurial Training and Technical Assistance Women and Girls Program (B)	X	
20.910 Assistance to small and disadvantaged businesses (B)	X	
20.930 Payments for Small Community Air Service Development (B)	X	
20.932 Surface Transportation _ Discretionary Grants for Capital Investment. (B)	X	
20.933 National Infrastructure Investments (B)	X	
<b>PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION</b>		
20.700 Pipeline Safety Program Base Grants (A)	X	
20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
20.710 Technical Assistance Grants (B)	X	
20.720 State Damage Prevention Program Grants (B)	X	
20.721 PHMSA Pipeline Safety Program One Call Grant (B)	X	
20.723 PHMSA Pipeline Safety Research and Development Other Transaction Agreements (B)	X	
<b>RESEARCH AND INNOVATIVE TECHNOLOGY ADMINISTRATION</b>		
20.701 University Transportation Centers Program (B)	X	
20.761 Biobased Transportation Research (B)	X	
20.762 Research Grants (B)	X	
20.764 Hydrogen Storage Research and Development (B)	X	
20.931 Transportation Planning, Research and Education (B)	X	
<b>DEPARTMENT OF THE TREASURY</b>		
21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program (B)	X	
<b>COMMUNITY DEVELOPMENT FINANCIAL INSTITUTIONS FUND</b>		
21.010 Financial Education and Counseling Pilot Program (B)	X	
21.011 Capital Magnet Fund (B)	X	
21.012 Native Initiatives (B)	X	
21.020 Community Development Financial Institutions Program (B)	X	
21.021 Bank Enterprise Award Program (B)	X	
<b>INTERNAL REVENUE SERVICE (IRS)</b>		
21.003 Taxpayer Service (K)		X
21.004 Exchange of Federal Tax Information With State Tax Agencies (J)		X
21.006 Tax Counseling for the Elderly (B)	X	
21.008 Low Income Taxpayer Clinics (B)	X	
21.013 Qualifying Therapeutic Discovery Project Credit (B)	X	
<b>APPALACHIAN REGIONAL COMMISSION</b>		
23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)	X	
23.002 Appalachian Area Development (B)	X	
23.003 Appalachian Development Highway System (B)	X	
23.009 Appalachian Local Development District Assistance (B)	X	
23.011 Appalachian Research, Technical Assistance, and Demonstration Projects (B)	X	
<b>EQUAL EMPLOYMENT OPPORTUNITY COMMISSION</b>		
30.001 Employment Discrimination_Title VII of the Civil Rights Act of 1964 (K,N,O)		X
30.005 Employment Discrimination_Private Bar Program (J)		X
30.008 Employment Discrimination_Age Discrimination in Employment (K,N,O)		X
30.010 Employment Discrimination Equal Pay Act (K,N,O)		X
30.011 Employment Discrimination_Title I of The Americans with Disabilities Act (K,N,O)		X
30.013 Employment Discrimination-Title II of the Genetic Information Nondiscrimination Act of 2008 (K,N,O)		X
<b>FEDERAL MARITIME COMMISSION</b>		
33.001 Shipping_Dispute Resolution and Investigation of Complaints (N)		
<b>GENERAL SERVICES ADMINISTRATION</b>		
39.002 Disposal of Federal Surplus Real Property (H)		X
39.003 Donation of Federal Surplus Personal Property (H)		X
39.007 Sale of Federal Surplus Personal Property (H)		X
<b>NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</b>		
43.001 Science (B,C,I,M)	X	
43.002 Aeronautics (L)		X
43.003 Exploration (B,C,I,J,L,M)	X	
43.007 Space Operations (B)	X	
43.008 Education (B)	X	



# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
43.009 Cross Agency Support (B)	X	
43.010 Construction & Environmental Compliance & Remediation (B)	X	
43.011 Office of Inspector General (B,C,I,J,K,L,N)	X	
<b>FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES</b>		
45.201 Arts and Artifacts Indemnity (G)	X	
<b>NATIONAL ENDOWMENT FOR THE ARTS</b>		
45.024 Promotion of the Arts_Grants to Organizations and Individuals (B)	X	
45.025 Promotion of the Arts_Partnership Agreements (B,K)	X	
<b>NATIONAL ENDOWMENT FOR THE HUMANITIES</b>		
45.129 Promotion of the Humanities_Federal/State Partnership (A)	X	
45.130 Promotion of the Humanities_Challenge Grants (B)	X	
45.149 Promotion of the Humanities_Division of Preservation and Access (B)	X	
45.160 Promotion of the Humanities_Fellowships and Stipends (B)	X	
45.161 Promotion of the Humanities_Research (B)	X	
45.162 Promotion of the Humanities_Teaching and Learning Resources and Curriculum Development (B)	X	
45.163 Promotion of the Humanities_Professional Development (B)	X	
45.164 Promotion of the Humanities_Public Programs (B)	X	
45.168 Promotion of the Humanities_We the People (B)	X	
45.169 Promotion of the Humanities_Office of Digital Humanities (B)	X	
<b>NATIONAL LABOR RELATIONS BOARD</b>		
46.001 Labor-Management Relations (J,N)		X
<b>NATIONAL SCIENCE FOUNDATION</b>		
47.041 Engineering Grants (B)	X	
47.049 Mathematical and Physical Sciences (B)	X	
47.050 Geosciences (B)	X	
47.070 Computer and Information Science and Engineering (B)	X	
47.074 Biological Sciences (B)	X	
47.075 Social, Behavioral, and Economic Sciences (B)	X	
47.076 Education and Human Resources (B)	X	
47.078 Polar Programs (B)	X	
47.079 International Science and Engineering (OISE) (B)	X	
47.080 Office of Cyberinfrastructure (B)	X	
47.081 Office of Experimental Program to Stimulate Competitive Research (B)	X	
<b>RAILROAD RETIREMENT BOARD</b>		
57.001 Social Insurance for Railroad Workers (D)	X	
57.005 Economic Recovery Payments (D)	X	
<b>SMALL BUSINESS ADMINISTRATION</b>		
59.059 Congressional Grants (B)	X	
59.060 Small Business Teaming Pilot Program (B)	X	
59.061 State Trade and Export Promotion Pilot Grant Program (B)	X	
<b>DEPARTMENT OF VETERANS AFFAIRS</b>		
64.027 Post-9/11 Veterans Educational Assistance (C)	X	
64.028 Post-9/11 Veterans Educational Assistance (C)	X	
64.030 Life Insurance for Veterans Face Amount of New Life Insurance Policies Issued (G)	X	
64.031 Life Insurance for Veterans - Direct Payments for Insurance (G)	X	
64.032 Montgomery GI Bill Selected Reserve; Reserve Educational Assistance Program (C)	X	
64.033 VA Supportive Services for Veteran Families Program (B)	X	
64.034 VA Assistance to United States Paralympic Integrated Adaptive Sports Program (B)	X	
<b>ENVIRONMENTAL PROTECTION AGENCY</b>		

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
<b>OFFICE OF ADMINISTRATION AND RESOURCES MANAGEMENT</b>		
66.508 Senior Environmental Employment Program (B)	X	
66.518 State Senior Environmental Employment Program (B)	X	
<b>OFFICE OF AIR AND RADIATION</b>		
66.001 Air Pollution Control Program Support (B)	X	
66.032 State Indoor Radon Grants (B)	X	
66.033 Ozone Transport Commission (B)	X	
66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)	X	
66.037 Internships, Training and Workshops for the Office of Air and Radiation (B)	X	
66.038 Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B)	X	
66.039 National Clean Diesel Emissions Reduction Program (B)	X	
66.040 State Clean Diesel Grant Program (A)	X	
66.041 Climate Showcase Communities Grant Program (B)	X	
66.042 Temporally Integrated Monitoring of Ecosystems (TIME) and Long-Term Monitoring (LTM) Program (B)	X	
<b>OFFICE OF CHEMICAL SAFETY AND POLLUTION PREVENTION</b>		
66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)	X	
66.708 Pollution Prevention Grants Program (B)	X	
66.714 Regional Agricultural IPM Grants (B)	X	
66.715 Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)	X	
66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)	X	
66.717 Source Reduction Assistance (B)	X	
66.718 National Community-Based Lead Outreach and Training Grant Program (B)	X	
<b>OFFICE OF ENFORCEMENT AND COMPLIANCE ASSURANCE</b>		
66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)	X	
66.309 Surveys, Studies, Investigations, Training and Special Purpose Activities Relating to Environmental Justice (B)	X	
66.310 Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)	X	
66.313 International Compliance and Enforcement Projects (B)	X	
66.604 Environmental Justice Small Grant Program (B)	X	
66.700 Consolidated Pesticide Enforcement Cooperative Agreements (B)	X	
66.701 Toxic Substances Compliance Monitoring Cooperative Agreements (B)	X	
66.709 Multi-Media Capacity Building Grants for States and Tribes (B)	X	
<b>OFFICE OF ENVIRONMENTAL INFORMATION</b>		
66.608 Environmental Information Exchange Network Grant Program and Related Assistance (B)	X	
66.612 Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B)	X	
<b>OFFICE OF INTERNATIONAL AND TRIBAL AFFAIRS</b>		
66.473 Direct Implementation Tribal Cooperative Agreements (B)	X	
66.926 Indian Environmental General Assistance Program (GAP) (B)	X	
66.931 International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs (B)	X	
<b>OFFICE OF RESEARCH AND DEVELOPMENT</b>		
66.509 Science To Achieve Results (STAR) Research Program (B)	X	
66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)	X	
66.511 Office of Research and Development Consolidated Research/Training/Fellowships (B)	X	
66.513 Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (B)	X	
66.514 Science To Achieve Results (STAR) Fellowship Program (B)	X	
66.516 P3 Award: National Student Design Competition for Sustainability (B)	X	
66.517 Regional Applied Research Efforts (RARE) (B)	X	
<b>OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE</b>		

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
66.801 Hazardous Waste Management State Program Support (A)	X	
66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)	X	
66.804 Underground Storage Tank Prevention, Detection and Compliance Program (A)	X	
66.805 Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)	X	
66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)	X	
66.808 Solid Waste Management Assistance Grants (B)	X	
66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements (B)	X	
66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)	X	
66.812 Hazardous Waste Management Grant Program for Tribes (B)	X	
66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)	X	
66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)	X	
66.815 Environmental Workforce Development and Job Training Cooperative Agreements (B)	X	
66.816 Headquarters and Regional Underground Storage Tanks Program (B)	X	
66.817 State and Tribal Response Program Grants (A)	X	
66.818 Brownfields Assessment and Cleanup Cooperative Agreements (B)	X	
<b>OFFICE OF THE ADMINISTRATOR</b>		
66.605 Performance Partnership Grants (A,B)	X	
66.609 Protection of Children from Environmental Health Risks (B)	X	
66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)	X	
66.611 Environmental Policy and Innovation Grants (B)	X	
66.940 Environmental Policy and State Sustainability Grants (B)	X	
66.950 National Environmental Education Training Program (B)	X	
66.951 Environmental Education Grants (B)	X	
66.952 National Network for Environmental Management Studies Fellowship Program (B)	X	
<b>OFFICE OF THE CHIEF FINANCIAL OFFICER</b>		
66.202 Congressionally Mandated Projects (B)	X	
66.203 Environmental Finance Center Grants (B)	X	
<b>OFFICE OF WATER</b>		
66.035 Community Action for a Renewed Environment (CARE) Program (B)	X	
66.418 Construction Grants for Wastewater Treatment Works (B)	X	
66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)	X	
66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)	X	
66.432 State Public Water System Supervision (A)	X	
66.433 State Underground Water Source Protection (A)	X	
66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)	X	
66.437 Long Island Sound Program (B)	X	
66.439 Targeted Watersheds Grants (B)	X	
66.440 Urban Waters Small Grants (B)	X	
66.454 Water Quality Management Planning (A)	X	
66.456 National Estuary Program (B)	X	
66.458 Capitalization Grants for Clean Water State Revolving Funds (A)	X	
66.460 Nonpoint Source Implementation Grants (A)	X	
66.461 Regional Wetland Program Development Grants (B)	X	
66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)	X	
66.463 Water Quality Cooperative Agreements (B)	X	
66.466 Chesapeake Bay Program (B)	X	
66.467 Wastewater Operator Training Grant Program (B)	X	
66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)	X	
66.469 Great Lakes Program (B,I,L)	X	
66.471 State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)	X	
66.472 Beach Monitoring and Notification Program Implementation Grants (A)	X	
66.474 Water Protection Grants to the States (A)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
66.475 Gulf of Mexico Program (B)	X	
66.478 Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)	X	
66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)	X	
66.480 Assessment and Watershed Protection Program Grants (B)	X	
66.481 Lake Champlain Basin Program (B)	X	
<b>REGION 1</b>		
66.110 Healthy Communities Grant Program (B)	X	
<b>REGION 10</b>		
66.119 West Coast Estuaries Initiative (B)	X	
66.120 Puget Sound Watershed Management Assistance (B)	X	
66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (B)	X	
66.122 Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (B)	X	
66.123 Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (B)	X	
<b>REGION 3</b>		
66.050 Potomac Highlands Implementation Grants (B)	X	
66.113 Region 3 Environmental Priority Projects (B)	X	
<b>REGION 4</b>		
66.127 Southeastern U.S. Regional Targeted Watershed Initiative (B)	X	
<b>REGION 6</b>		
66.124 Coastal Wetlands Planning Protection and Restoration Act (B)	X	
66.125 Lake Pontchartrain Basin Restoration Program (PRP) (B)	X	
<b>REGION 9</b>		
66.126 The San Francisco Bay Water Quality Improvement Fund (B)	X	
66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support (A)	X	
<b>NUCLEAR REGULATORY COMMISSION</b>		
77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)	X	
77.007 U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (B,C)	X	
77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)	X	
77.009 U.S. Nuclear Regulatory Commission Office of Research Financial Assistance Program (B)	X	
<b>DEPARTMENT OF ENERGY</b>		
81.003 Granting of Patent Licenses (L)		X
81.022 Laboratory Equipment Donation Program (B)	X	
81.036 Inventions and Innovations (B,K,L)	X	
81.041 State Energy Program (A,B,L)	X	
81.042 Weatherization Assistance for Low-Income Persons (A,B)	X	
81.049 Office of Science Financial Assistance Program (B)	X	
81.057 University Coal Research (B)	X	
81.064 Office of Scientific and Technical Information (L)		X
81.065 Nuclear Waste Disposal Siting (B,C)	X	
81.079 Regional Biomass Energy Programs (B)	X	
81.086 Conservation Research and Development (B)	X	
81.087 Renewable Energy Research and Development (B)	X	
81.089 Fossil Energy Research and Development (B)	X	
81.104 Office of Environmental Waste Processing (B)	X	
81.105 National Industrial Competitiveness through Energy, Environment, and Economics (B)	X	
81.106 Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions (B)	X	
81.108 Epidemiology and Other Health Studies Financial Assistance Program (B)	X	
81.112 Stewardship Science Grant Program (B)	X	
81.113 Defense Nuclear Nonproliferation Research (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B)	X	
81.119 State Energy Program Special Projects (B)	X	
81.121 Nuclear Energy Research, Development and Demonstration (B)	X	
81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)	X	
81.123 National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (B)	X	
81.124 Predictive Science Academic Alliance Program (B)	X	
81.126 Federal Loan Guarantees for Innovative Energy Technologies (E,F)	X	
81.127 Energy Efficient Appliance Rebate Program (EEARP) (A)	X	
81.128 Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)	X	
81.129 Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization (B)	X	
81.130 Carbon Capture and Storage-FutureGen 2.0 (B)	X	
81.131 Expand and Extend Clean Coal Power Initiative (B)	X	
81.132 Geologic Sequestration Site Characterization (B)	X	
81.133 Geologic Sequestration Training and Research Grant Program (B)	X	
81.134 Industrial Carbon Capture and Storage (CCS) Application (B)	X	
81.135 Advanced Research and Projects Agency Energy Financial Assistance Program (B)	X	
81.136 Long-Term Surveillance and Maintenance (B)	X	
81.214 Environmental Monitoring/Cleanup, Cultural and Resource Mgmt., Emergency Response Research, Outreach, Technical Analysis (B)	X	
<b>DEPARTMENT OF EDUCATION</b>		
84.379 Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)	X	
84.385 Teacher Incentive Fund, Recovery Act (B)	X	
84.390 Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act (A)	X	
84.408 Postsecondary Education Scholarships for Veteran's Dependents (C)	X	
84.409 Civil Legal Assistance Attorney Student Loan Repayment Program (E)	X	
84.410 Education Jobs Fund (A)	X	
84.412 Race to the Top Early Learning Challenge (B)	X	
<b>INSTITUTE OF EDUCATION SCIENCES</b>		
84.305 Education Research, Development and Dissemination (B)	X	
84.324 Research in Special Education (B)	X	
84.372 Statewide Data Systems (B)	X	
<b>OFFICE OF EDUCATIONAL RESEARCH AND IMPROVEMENT</b>		
84.287 Twenty-First Century Community Learning Centers (A)	X	
<b>OFFICE OF ELEMENTARY AND SECONDARY EDUCATION</b>		
84.004 Civil Rights Training and Advisory Services (B)	X	
84.010 Title I Grants to Local Educational Agencies (A)	X	
84.011 Migrant Education_State Grant Program (A)	X	
84.013 Title I State Agency Program for Neglected and Delinquent Children and Youth (A)	X	
84.040 Impact Aid_Facilities Maintenance (B)	X	
84.041 Impact Aid (A,B)	X	
84.060 Indian Education_Grants to Local Educational Agencies (A)	X	
84.141 Migrant Education_High School Equivalency Program (B)	X	
84.144 Migrant Education_Coordination Program (B)	X	
84.149 Migrant Education_College Assistance Migrant Program (B)	X	
84.196 Education for Homeless Children and Youth (A)	X	
84.206 Javits Gifted and Talented Students Education (B)	X	
84.213 Even Start_State Educational Agencies (A)	X	
84.214 Even Start_Migrant Education (B)	X	
84.256 Territories and Freely Associated States Education Grant Program (B)	X	
84.258 Even Start_Indian Tribes and Tribal Organizations (B)	X	
84.283 Comprehensive Centers (B)	X	
84.299 Indian Education -- Special Programs for Indian Children (B)	X	
84.310 Parental Information and Resource Centers (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
84.318 Educational Technology State Grants (A)	X	
84.330 Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)	X	
84.332 Comprehensive School Reform Demonstration (B)	X	
84.356 Alaska Native Educational Programs (B)	X	
84.358 Rural Education (A)	X	
84.359 Early Reading First (B)	X	
84.360 High School Graduation Initiative (B)	X	
84.362 Native Hawaiian Education (B)	X	
84.364 Improving Literacy Through School Libraries (B)	X	
84.365 English Language Acquisition Grants (A)	X	
84.366 Mathematics and Science Partnerships (A)	X	
84.367 Improving Teacher Quality State Grants (A)	X	
84.368 Grants for Enhanced Assessment Instruments (B)	X	
84.369 Grants for State Assessments and Related Activities (A)	X	
84.371 Striving Readers (A,B)	X	
84.374 Teacher Incentive Fund (B)	X	
84.377 School Improvement Grants (A)	X	
84.383 Homeless Education Disaster Assistance Program (A)	X	
84.403 Consolidated Grant to the Outlying Areas (A)	X	
<b>OFFICE OF ENGLISH LANGUAGE ACQUISITION</b>		
84.293 Foreign Language Assistance (B)	X	
<b>OFFICE OF HUMAN RESOURCES AND ADMINISTRATION</b>		
84.145 Federal Real Property Assistance Program (H)		X
<b>OFFICE OF INNOVATION AND IMPROVEMENT</b>		
84.083 Women's Educational Equity Program (B)	X	
84.165 Magnet Schools Assistance (B)	X	
84.215 Fund for the Improvement of Education (B)	X	
84.282 Charter Schools (B)	X	
84.286 Ready to Teach (B)	X	
84.295 Ready-To-Learn Television (B)	X	
84.336 Teacher Quality Partnership Grants (B)	X	
84.350 Transition to Teaching (B)	X	
84.351 Arts in Education (B)	X	
84.354 Credit Enhancement for Charter School Facilities (B)	X	
84.361 Voluntary Public School Choice (B)	X	
84.363 School Leadership (B)	X	
84.370 DC School Choice Incentive Program (B)	X	
84.411 Investing in Innovation (i3) Fund (B)	X	
<b>OFFICE OF POSTSECONDARY EDUCATION</b>		
84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B)	X	
84.016 Undergraduate International Studies and Foreign Language Programs (B)	X	
84.017 International Research and Studies (B)	X	
84.018 Overseas Programs_Special Bilateral Projects (B)	X	
84.019 Overseas Programs - Faculty Research Abroad (B)	X	
84.021 Overseas Programs - Group Projects Abroad (B)	X	
84.022 Overseas Programs - Doctoral Dissertation Research Abroad (B)	X	
84.031 Higher Education_Institutional Aid (B)	X	
84.042 TRIO_Student Support Services (B)	X	
84.044 TRIO_Talent Search (B)	X	
84.047 TRIO_Upward Bound (B)	X	
84.066 TRIO_Educational Opportunity Centers (B)	X	
84.103 TRIO Staff Training Program (B)	X	
84.116 Fund for the Improvement of Postsecondary Education (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
84.120	Minority Science and Engineering Improvement (B)	X
84.153	Business and International Education Projects (B)	X
84.170	Javits Fellowships (B)	X
84.185	Byrd Honors Scholarships (A)	X
84.200	Graduate Assistance in Areas of National Need (B)	X
84.217	TRIO_McNair Post-Baccalaureate Achievement (B)	X
84.220	Centers for International Business Education (B)	X
84.229	Language Resource Centers (B)	X
84.269	Institute for International Public Policy (B)	X
84.274	American Overseas Research Centers (B)	X
84.333	Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (B)	X
84.334	Gaining Early Awareness and Readiness for Undergraduate Programs (B)	X
84.335	Child Care Access Means Parents in School (B)	X
84.337	International Education_Technological Innovation and Cooperation for Foreign Information Access (B)	X
84.345	Underground Railroad Educational and Cultural Program (B)	X
84.375	Academic Competitiveness Grants (C)	X
84.378	College Access Challenge Grant Program (A)	X
84.381	Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B)	X
84.382	Strengthening Minority-Serving Institutions (B)	X
84.407	Transition Programs for Students with Intellectual Disabilities into Higher Education (B)	X
<b>OFFICE OF SAFE AND DRUG-FREE SCHOOLS</b>		
84.184	Safe and Drug-Free Schools and Communities_National Programs (B)	X
84.186	Safe and Drug-Free Schools and Communities_State Grants (A)	X
84.304	Civic Education - We the People and the Cooperative Education Exchange Program (B)	X
<b>OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES</b>		
84.027	Special Education_Grants to States (A)	X
84.126	Rehabilitation Services_Vocational Rehabilitation Grants to States (A)	X
84.128	Rehabilitation Services_Service Projects (B)	X
84.129	Rehabilitation Long-Term Training (B)	X
84.132	Centers for Independent Living (B)	X
84.133	National Institute on Disability and Rehabilitation Research (B)	X
84.160	Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)	X
84.161	Rehabilitation Services_Client Assistance Program (A)	X
84.169	Independent Living_State Grants (A)	X
84.173	Special Education_Preschool Grants (A)	X
84.177	Rehabilitation Services_Independent Living Services for Older Individuals Who are Blind (B)	X
84.181	Special Education-Grants for Infants and Families (A)	X
84.187	Supported Employment Services for Individuals with the Most Significant Disabilities (A)	X
84.224	Assistive Technology (A)	X
84.234	Projects with Industry (B)	X
84.235	Rehabilitation Services Demonstration and Training Programs (B)	X
84.240	Program of Protection and Advocacy of Individual Rights (A)	X
84.246	Rehabilitation Short-Term Training (B)	X
84.250	Rehabilitation Services_American Indians with Disabilities (B)	X
84.263	Rehabilitation Training_Experimental and Innovative Training (B)	X
84.264	Rehabilitation Training_Continuing Education (B)	X
84.265	Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (B)	X
84.275	Rehabilitation Training_General Training (B)	X
84.315	Capacity Building for Traditionally Underserved Populations (B)	X
84.323	Special Education - State Personnel Development (B)	X
84.325	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)	X
84.326	Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)	X
84.327	Special Education_Technology and Media Services for Individuals with Disabilities (B)	X

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
84.328 Special Education_Parent Information Centers (B)	X	
84.329 Special Education_Studies and Evaluations (B)	X	
84.343 Assistive Technology_State Grants for Protection and Advocacy (A)	X	
84.373 Special Education_Technical Assistance on State Data Collection (B)	X	
84.380 Special Education -- Olympic Education Programs (B)	X	
<b>OFFICE OF STUDENT FINANCIAL ASSISTANCE PROGRAMS</b>		
84.007 Federal Supplemental Educational Opportunity Grants (C)	X	
84.032 Federal Family Education Loans (F)	X	
84.033 Federal Work-Study Program (C)	X	
84.037 Perkins Loan Cancellations (C,D)	X	
84.063 Federal Pell Grant Program (C)	X	
84.069 Leveraging Educational Assistance Partnership (A)	X	
84.268 Federal Direct Student Loans (E)	X	
84.376 National Science and Mathematics Access to Retain Talent (SMART) Grants (C)	X	
<b>OFFICE OF VOCATIONAL AND ADULT EDUCATION</b>		
84.002 Adult Education - Basic Grants to States (A)	X	
84.048 Career and Technical Education -- Basic Grants to States (A)	X	
84.051 Career and Technical Education -- National Programs (B)	X	
84.101 Career and Technical Education - Grants to Native Americans and Alaska Natives (B)	X	
84.191 Adult Education_National Leadership Activities (B,C)	X	
84.243 Tech-Prep Education (A)	X	
84.245 Tribally Controlled Postsecondary Career and Technical Institutions (B)	X	
84.259 Native Hawaiian Career and Technical Education (B)	X	
84.331 Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (A)	X	
<b>CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION</b>		
85.101 Homeland Security Award (D)	X	
85.102 Christopher Columbus Awards (B)	X	
85.104 Life Sciences Awards (C,D)	X	
85.105 Agriscience Awards (C,D)	X	
<b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</b>		
89.001 National Archives Reference Services_Historical Research (I,K,L)		X
89.003 National Historical Publications and Records Grants (B)	X	
89.005 Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (C)	X	
<b>DENALI COMMISSION</b>		
90.100 Denali Commission Program (B)	X	
<b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>		
<b>ADMINISTRATION FOR CHILDREN AND FAMILIES</b>		
93.009 Compassion Capital Fund (B)	X	
93.010 Community-Based Abstinence Education (CBAE) (B)	X	
93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)	X	
93.087 Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (B)	X	
93.090 Guardianship Assistance (A)	X	
93.091 Social Services and Income Maintenance Benefits Enrollment Coordination Grants (B)	X	
93.092 Affordable Care Act (ACA) Personal Responsibility Education Program (A,B)	X	
93.093 Affordable Care Act (ACA) Health Profession Opportunity Grants (B)	X	
93.235 Affordable Care Act (ACA) Abstinence Education Program (A)	X	
93.254 Infant Adoption Awareness Training (B)	X	
93.508 Affordable Care Act (ACA) Tribal Maternal, Infant, and Early Childhood Home Visiting Program (B)	X	
93.550 Transitional Living for Homeless Youth (B)	X	
93.551 Abandoned Infants (B)	X	



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Program Description	Financial	Non-Financial
93.556 Promoting Safe and Stable Families (A,B)	X	
93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B)	X	
93.558 Temporary Assistance for Needy Families (A)	X	
93.560 Family Support Payments to States_Assistance Payments (A)	X	
93.563 Child Support Enforcement (A)	X	
93.564 Child Support Enforcement Research (B)	X	
93.566 Refugee and Entrant Assistance_State Administered Programs (A)	X	
93.567 Refugee and Entrant Assistance_Voluntary Agency Programs (B)	X	
93.568 Low-Income Home Energy Assistance (A)	X	
93.569 Community Services Block Grant (A)	X	
93.570 Community Services Block Grant_Discretionary Awards (B)	X	
93.575 Child Care and Development Block Grant (A)	X	
93.576 Refugee and Entrant Assistance_Discretionary Grants (B)	X	
93.579 U.S. Repatriation (B)	X	
93.581 Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)	X	
93.583 Refugee and Entrant Assistance_Wilson/Fish Program (B)	X	
93.584 Refugee and Entrant Assistance_Targeted Assistance Grants (A)	X	
93.586 State Court Improvement Program (A)	X	
93.587 Promote the Survival and Continuing Vitality of Native American Languages (B)	X	
93.590 Community-Based Child Abuse Prevention Grants (A)	X	
93.591 Family Violence Prevention and Services/Grants For Battered Women's Shelters_Grants to State Domestic Violence Coalitions (A)	X	
93.592 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Discretionary Grants (B)	X	
93.593 Job Opportunities for Low-Income Individuals (B)	X	
93.594 Tribal Work Grants (A)	X	
93.595 Welfare Reform Research, Evaluations and National Studies (B)	X	
93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund (A)	X	
93.597 Grants to States for Access and Visitation Programs (B)	X	
93.598 Services to Victims of a Severe Form of Trafficking (B)	X	
93.599 Chafee Education and Training Vouchers Program (ETV) (A)	X	
93.600 Head Start (B)	X	
93.601 Child Support Enforcement Demonstrations and Special Projects (B)	X	
93.602 Assets for Independence Demonstration Program (B)	X	
93.603 Adoption Incentive Payments (A)	X	
93.604 Assistance for Torture Victims (B)	X	
93.605 Family Connection Grants (B)	X	
93.612 Native American Programs (B)	X	
93.613 President's Committee for People with Intellectual Disabilities (PCPID) (L)		X
93.616 Mentoring Children of Prisoners (B)	X	
93.617 Voting Access for Individuals with Disabilities_Grants to States (A)	X	
93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A)	X	
93.623 Basic Center Grant (B)	X	
93.630 Developmental Disabilities Basic Support and Advocacy Grants (A)	X	
93.631 Developmental Disabilities Projects of National Significance (B)	X	
93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)	X	
93.643 Children's Justice Grants to States (A)	X	
93.645 Stephanie Tubbs Jones Child Welfare Services Program (A)	X	
93.647 Social Services Research and Demonstration (B)	X	
93.648 Child Welfare Research Training or Demonstration (B)	X	
93.652 Adoption Opportunities (B)	X	
93.658 Foster Care_Title IV-E (A,B)	X	
93.659 Adoption Assistance (A)	X	
93.667 Social Services Block Grant (A)	X	
93.669 Child Abuse and Neglect State Grants (A)	X	
93.670 Child Abuse and Neglect Discretionary Activities (B)	X	
93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Grants to States and Indian Tribes (A)	X	
93.674 Chafee Foster Care Independence Program (A)	X	

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Program Description	Financial	Non-Financial
93.676 Unaccompanied Alien Children Program (B)	X	
93.708 ARRA - Head Start (B)	X	
93.709 ARRA - Early Head Start (B)	X	
93.710 ARRA - Community Services Block Grant (A)	X	
93.711 ARRA - Strengthening Communities Fund (B)	X	
93.713 ARRA - Child Care and Development Block Grant (A)	X	
93.714 ARRA - Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Program (A)	X	
93.716 ARRA - Temporary Assistance for Needy Families (TANF) Supplemental Grants (A)	X	
<b>ADMINISTRATION ON AGING</b>		
93.041 Special Programs for the Aging_ Title VII, Chapter 3_Programs for Prevention of Elder Abuse, Neglect, and Exploitation (A)	X	
93.042 Special Programs for the Aging_ Title VII, Chapter 2_Long Term Care Ombudsman Services for Older Individuals (A)	X	
93.043 Special Programs for the Aging_ Title III, Part D_Disease Prevention and Health Promotion Services (A)	X	
93.044 Special Programs for the Aging_ Title III, Part B_Grants for Supportive Services and Senior Centers (A)	X	
93.045 Special Programs for the Aging_ Title III, Part C_Nutrition Services (A)	X	
93.047 Special Programs for the Aging_ Title VI, Part A, Grants to Indian Tribes_Part B, Grants to Native Hawaiians (B)	X	
93.048 Special Programs for the Aging_ Title IV_and Title II_Discretionary Projects (B)	X	
93.051 Alzheimer's Disease Demonstration Grants to States (B)	X	
93.054 National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (B)	X	
93.706 Aging Nutrition Services for Native Americans (B)	X	
<b>AGENCY FOR HEALTHCARE RESEARCH AND QUALITY</b>		
93.225 National Research Service Awards_Health Services Research Training (B)	X	
93.226 Research on Healthcare Costs, Quality and Outcomes (B)	X	
93.715 Recovery Act - Comparative Effectiveness Research - AHRQ (B)	X	
<b>AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY</b>		
93.161 Health Program for Toxic Substances and Disease Registry (B)	X	
93.202 Capacity Building Among American Indian Tribes (B)	X	
93.204 Surveillance of Hazardous Substance Emergency Events (B)	X	
93.240 State Capacity Building (B)	X	
93.534 Affordable Care Act Program for Early Detection of Certain Medical Conditions Related to Environmental Health Hazards (B)	X	
<b>CENTERS FOR DISEASE CONTROL AND PREVENTION</b>		
93.055 Applied Leadership for Community Health Improvement (B)	X	
93.056 Initiative to Educate State and Territorial Officials about Maintaining and Strengthening Public Health in a Changing Environment (B)	X	
93.061 Innovations in Applied Public Health Research (B)	X	
93.062 Biomonitoring Programs for State Public Health Laboratories (B)	X	
93.063 Centers for Genomics and Public Health (B)	X	
93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (B)	X	
93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (B)	X	
93.066 State Vital Statistics Improvement Program (B)	X	
93.067 Global AIDS (B)	X	
93.068 Chronic Diseases: Research, Control, and Prevention (B)	X	
93.069 Public Health Emergency Preparedness (B)	X	
93.070 Environmental Public Health and Emergency Response (B)	X	
93.073 Birth Defects and Developmental Disabilities - Prevention and Surveillance (B)	X	
93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)	X	
93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)	X	
93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention (B)	X	
93.136 Injury Prevention and Control Research and State and Community Based Programs (B)	X	
93.184 Disabilities Prevention (B)	X	
93.185 Immunization Research, Demonstration, Public Information and Education_Training and Clinical Skills Improvement Projects (B)	X	

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Program Description	Financial	Non-Financial
93.197 Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)	X	
93.262 Occupational Safety and Health Program (B,M)	X	
93.268 Immunization Grants (B)	X	
93.269 Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)	X	
93.270 Adult Viral Hepatitis Prevention and Control (B)	X	
93.283 Centers for Disease Control and Prevention_Investigations and Technical Assistance (B)	X	
93.338 Foreign Public Health Construction (B)	X	
93.339 Public Health Conference Support (B)	X	
93.507 Strengthening Public Health Infrastructure for Improved Health Outcomes (B)	X	
93.520 Centers for Disease Control and Prevention Affordable Care Act (ACA) Communities Putting Prevention to Work (B)	X	
93.521 The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements (B)	X	
93.523 The Affordable Care Act: Human Immunodeficiency Virus (HIV) Prevention and Public Health Fund Activities (B)	X	
93.524 The Affordable Care Act (ACA): Capacity Building Assistance to Strengthen Public Health Infrastructure and Performance (B)	X	
93.531 The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Community Transformation Grants and National Dissemination and Support for Community Transformation Grants (B)	X	
93.533 Prevention and Public Health Fund (Affordable Care Act): Enhanced Surveillance for New Vaccine Preventable Disease (B)	X	
93.535 Affordable Care Act (ACA) Childhood Obesity Research Demonstration (B)	X	
93.538 Affordable Care Act - National Environmental Public Health Tracking Program-Network Implementation (B)	X	
93.539 Prevention and Public Health Fund (Affordable Care Act) - Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance (B)	X	
93.540 Affordable Care Act Streamlined surveillance for ventilator-associated pneumonia: Reducing burden and demonstrating preventability (B)	X	
93.541 The Patient Protection and Affordable Care Act of 2010 (ACA) (B)	X	
93.542 Health Promotion and Disease Prevention Research Centers: Affordable Care Act Projects (B)	X	
93.544 The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Coordinated Chronic Disease prevention and Health Promotion Program (B)	X	
93.548 The Patient Protection and Affordable Care Act of 2010 (2010)Nutrition, Physical Activity and Obesity Program (B)	X	
93.606 Affordable Care Act - Preparedness and Emergency Response Learning Centers (B)	X	
93.607 Affordable Care Act - Preparedness and Emergency Response Research Centers: A Public Health Systems Approach (B)	X	
93.712 ARRA - Immunization (B)	X	
93.717 ARRA - Preventing Healthcare-Associated Infections (B)	X	
93.723 ARRA - Prevention and Wellness-State, Territories and Pacific Islands (B)	X	
93.724 ARRA - Prevention and Wellness Communities Putting Prevention to Work Funding Opportunities Announcement (FOA) (B)	X	
93.919 Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)	X	
93.938 Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (B)	X	
93.939 HIV Prevention Activities_Non-Governmental Organization Based (B)	X	
93.940 HIV Prevention Activities_Health Department Based (B)	X	
93.941 HIV Demonstration, Research, Public and Professional Education Projects (B)	X	
93.942 Research, Treatment and Education Programs on Lyme Disease in the United States (B)	X	
93.943 Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (B)	X	
93.944 Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (B)	X	
93.945 Assistance Programs for Chronic Disease Prevention and Control (B)	X	
93.946 Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (B)	X	
93.947 Tuberculosis Demonstration, Research, Public and Professional Education (B)	X	
93.977 Preventive Health Services_Sexually Transmitted Diseases Control Grants (B)	X	
93.978 Preventive Health Services_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants (B)	X	
93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (B)	X	

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Program Description	Financial	Non-Financial
93.991 Preventive Health and Health Services Block Grant (A)	X	
<b>CENTERS FOR MEDICARE AND MEDICAID SERVICES</b>		
93.506 ACA Nationwide Program for National and State Background Checks for Direct Patient Access Employees of Long Term Care Facilities and Providers (B)	X	
93.511 Affordable Care Act (ACA) Grants to States for Health Insurance Premium Review (B)	X	
93.519 Affordable Care Act (ACA) Consumer Assistance Program Grants (B)	X	
93.525 State Planning and Establishment Grants for the Affordable Care Act (ACA)s Exchanges (B)	X	
93.529 Pre-existing Condition Insurance Program (PCIP) (C)	X	
93.536 The Affordable Care Act Medicaid Incentives for Prevention of Chronic Disease Demonstration Project (B)	X	
93.537 Affordable Care Act Medicaid Emergency Psychiatric Demonstration (C)	X	
93.545 Consumer Operated and Oriented Plan [CO-OP] Program (E)	X	
93.546 Early Retiree Reinsurance Program (C)	X	
93.720 ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (B)	X	
93.767 Children's Health Insurance Program (A)	X	
93.768 Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)	X	
93.770 Medicare_Prescription Drug Coverage (C)	X	
93.773 Medicare_Hospital Insurance (C)	X	
93.774 Medicare_Supplementary Medical Insurance (C)	X	
93.775 State Medicaid Fraud Control Units (A)	X	
93.777 State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare (A)	X	
93.778 Medical Assistance Program (A)	X	
93.779 Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (B)	X	
93.780 Grants to States for Operation of Qualified High-Risk Pools (A)	X	
93.784 Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (C)	X	
93.789 Alternatives to Psychiatric Residential Treatment Facilities for Children (B)	X	
93.790 Alternate Non-Emergency Service Providers or Networks (B)	X	
93.791 Money Follows the Person Rebalancing Demonstration (B)	X	
93.793 Medicaid Transformation Grants (B)	X	
93.796 State Survey Certification of Health Care Providers and Suppliers (Title XIX) Medicaid (A)	X	
<b>FOOD AND DRUG ADMINISTRATION</b>		
93.103 Food and Drug Administration_Research (B)	X	
93.448 Food Safety and Security Monitoring Project (B)	X	
93.449 Ruminant Feed Ban Support Project (B)	X	
<b>HEALTH RESOURCES AND SERVICES ADMINISTRATION</b>		
93.011 National Organizations of State and Local Officials (B)	X	
93.107 Area Health Education Centers Point of Service Maintenance and Enhancement Awards (B)	X	
93.110 Maternal and Child Health Federal Consolidated Programs (B)	X	
93.117 Preventive Medicine Residency Program (B,M)	X	
93.124 Nurse Anesthetist Traineeships (A)	X	
93.127 Emergency Medical Services for Children (B)	X	
93.129 Technical and Non-Financial Assistance to Health Centers (B)	X	
93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (B)	X	
93.134 Grants to Increase Organ Donations (B)	X	
93.145 AIDS Education and Training Centers (B)	X	
93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)	X	
93.155 Rural Health Research Centers (B)	X	
93.156 Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (B,M)	X	
93.157 Centers of Excellence (B)	X	
93.162 National Health Service Corps Loan Repayment Program (C)	X	
93.165 Grants to States for Loan Repayment Program (B,C)	X	
93.178 Nursing Workforce Diversity (B)	X	
93.186 National Research Service Award in Primary Care Medicine (B)	X	
93.189 Health Education Training Centers Continuing Educational Support for Health Professionals Serving in Underserved Communities (B)	X	

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Program Description	Financial	Non-Financial
93.191 Patient Navigator and Chronic Disease Prevention Program (B)	X	
93.211 Telehealth Programs (B)	X	
93.212 Chiropractic Demonstration Project Grants (B)	X	
93.223 Development and Coordination of Rural Health Services (A,B)	X	
93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)	X	
93.234 Traumatic Brain Injury State Demonstration Grant Program (B)	X	
93.236 Grants for Dental Public Health Residency Training (B)	X	
93.241 State Rural Hospital Flexibility Program (A,B)	X	
93.247 Advanced Nursing Education Grant Program (B)	X	
93.249 Public Health Training Centers Grant Program (B)	X	
93.250 Geriatric Academic Career Awards (B)	X	
93.251 Universal Newborn Hearing Screening (B)	X	
93.253 Poison Center Support and Enhancement Grant Program (A,B)	X	
93.255 Children's Hospitals Graduate Medical Education Payment (A)	X	
93.256 State Health Access Program (B)	X	
93.257 Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)	X	
93.259 Rural Access to Emergency Devices Grant (B)	X	
93.264 Nurse Faculty Loan Program (NFLP) (A)	X	
93.265 Comprehensive Geriatric Education Program(CGEP) (B)	X	
93.266 Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (B)	X	
93.267 State Grants for Protection and Advocacy Services (A)	X	
93.288 National Health Service Corps Scholarship Program (C)	X	
93.300 National Center for Health Workforce Analysis (B)	X	
93.301 Small Rural Hospital Improvement Grant Program (B)	X	
93.303 Nursing Scholarship Program (C)	X	
93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (B)	X	
93.358 Advanced Nursing Education Traineeships (A)	X	
93.359 Nurse Education, Practice and Retention Grants (B)	X	
93.364 Nursing Student Loans (E)	X	
93.365 Sickle Cell Treatment Demonstration Program (B)	X	
93.400 National Health Service Corps Scholarship Program (C)	X	
93.401 ARRA - National Health Service Corps Loan Repayment (C)	X	
93.402 ARRA - State Loan Repayment Program (B,C)	X	
93.403 ARRA Grants for Training in Primary Care Medicine and Dentistry Training and Enhancement (B)	X	
93.404 ARRA Dental Public Health Residency Training Grants (B)	X	
93.405 ARRA - Public Health Traineeship Program (A)	X	
93.406 Nursing Education Loan Repayment Program (NELRP) (C)	X	
93.407 ARRA - Scholarships for Disadvantaged Students (B)	X	
93.408 ARRA - Nurse Faculty Loan Program (B)	X	
93.409 Faculty Loan Repayment Programs (C)	X	
93.410 ARRA Licensure Portability Grant Program (B)	X	
93.411 ARRA Equipment to Enhance Training for Health Professionals (B)	X	
93.412 ARRA - Preventive Medicine Residency Program (B,M)	X	
93.414 ARRA - State Primary Care Offices (B)	X	
93.415 ARRA - Centers of Excellence (B)	X	
93.416 ARRA - Health Careers Opportunity Program (B)	X	
93.417 ARRA - Nursing Workforce Diversity (B)	X	
93.418 ARRA - Emergency Medical Services for Children (B)	X	
93.419 ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program (B)	X	
93.420 ARRA - Community Health Applied Research Network (B,C)	X	
93.440 National Project Management of the Healthcare Communities Knowledge Gateway (B)	X	
93.501 Affordable Care Act (ACA) Grants for School-Based Health Center Capital Expenditures (B)	X	
93.502 Affordable Care Act (ACA) Infrastructure to Expand Access to Care (B)	X	
93.503 Affordable Care Act (ACA) Nursing and Home Health Aides Training Program (B)	X	
93.504 Affordable Care Act (ACA) Family to Family Health Information Centers (B)	X	
93.505 Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program (A,B)	X	

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Program Description	Financial	Non-Financial
93.509 Affordable Care Act (ACA) State Health Care Workforce Development Grants (B)	X	
93.510 Affordable Care Act (ACA) Primary Care Residency Expansion Program (B)	X	
93.512 Affordable Care Act (ACA) Personal and Home Care Aide State Training Program (PHCAST) (B)	X	
93.513 Affordable Care Act (ACA) Advanced Nursing Education Expansion Initiative (B)	X	
93.514 Affordable Care Act (ACA) Expansion of Physician Assistant Training Program (B)	X	
93.515 Affordable Care Act (ACA) Nurse-Managed Health Clinics (B)	X	
93.516 Affordable Care Act (ACA) Public Health Training Centers Program (B)	X	
93.522 Affordable Care Act (ACA) Prevention Center for Healthy Weight (B)	X	
93.526 Affordable Care Act (ACA) Grants for Capital Development in Health Centers (B)	X	
93.527 Affordable Care Act (ACA) Grants for New and Expanded Services under the Health Center Program (B)	X	
93.528 National Forum for State and Territorial Chief Executives (B)	X	
93.530 Affordable Care Act - Teaching Health Center Graduate Medical Education Payments Program (A)	X	
93.547 Affordable Care Act National Health Service Corps (B,C)	X	
93.549 Affordable Care Act (ACA) The Primary Care Services Resource Coordination and Development Program (B)	X	
93.703 ARRA Grants to Health Center Programs (B)	X	
93.822 Health Careers Opportunity Program (B)	X	
93.824 Area Health Education Centers Infrastructure Development Awards (B)	X	
93.884 Grants for Training in Primary Care Medicine and Dentistry (B)	X	
93.887 Health Care and Other Facilities (B)	X	
93.888 Specially Selected Health Projects (B)	X	
93.908 Nursing Education Loan Repayment Program (C)	X	
93.912 Rural Health Care Services Outreach, Rural Health Network Development and Small Health Care Provider Quality Improvement Program (B)	X	
93.913 Grants to States for Operation of Offices of Rural Health (B)	X	
93.914 HIV Emergency Relief Project Grants (B)	X	
93.917 HIV Care Formula Grants (A)	X	
93.918 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)	X	
93.923 Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (B,C)	X	
93.924 Ryan White HIV/AIDS Dental Reimbursements Community Based Dental Partnership (A,B)	X	
93.925 Scholarships for Health Professions Students from Disadvantaged Backgrounds (B)	X	
93.926 Healthy Start Initiative (B)	X	
93.928 Special Projects of National Significance (B)	X	
93.932 Native Hawaiian Health Systems (B)	X	
93.964 Public Health Traineeships (A)	X	
93.965 Coal Miners Respiratory Impairment Treatment Clinics and Services (B)	X	
93.969 Geriatric Education Centers (B)	X	
93.994 Maternal and Child Health Services Block Grant to the States (A)	X	
<b>INDIAN HEALTH SERVICE</b>		
93.123 Health Professions Pregraduate Scholarship Program for Indians (M)		X
93.164 Indian Health Service Educational Loan Repayment (C)	X	
93.193 Urban Indian Health Services (B)	X	
93.210 Tribal Self-Governance Program: IHS Compacts/Funding Agreements (C)	X	
93.228 Indian Health Service_Health Management Development Program (B)	X	
93.231 Epidemiology Cooperative Agreements (B)	X	
93.237 Special Diabetes Program for Indians_Diabetes Prevention and Treatment Projects (B)	X	
93.284 Injury Prevention Program for American Indians and Alaskan Natives_Cooperative Agreements (B)	X	
93.441 Indian Self-Determination (C)	X	
93.442 Special Diabetes Program for Indians (SDPI) Competitive Grant Program (B)	X	
93.443 Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (B)	X	
93.444 Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)	X	
93.445 Indian Health Service Sanitation Facilities Construction Program (J)		X
93.722 ARRA - IHS Tribal Agreements (B)	X	
93.933 Demonstration Projects for Indian Health (B)	X	
93.954 Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (M)		X
93.970 Health Professions Recruitment Program for Indians (M)		X
93.971 Health Professions Preparatory Scholarship Program for Indians (M)		X

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Program Description	Financial	Non-Financial
93.972 Health Professions Scholarship Program (M)		X
<b>NATIONAL INSTITUTES OF HEALTH</b>		
93.113 Environmental Health (B)	X	
93.121 Oral Diseases and Disorders Research (B)	X	
93.142 NIEHS Hazardous Waste Worker Health and Safety Training (B)	X	
93.143 NIEHS Superfund Hazardous Substances_Basic Research and Education (B)	X	
93.173 Research Related to Deafness and Communication Disorders (B)	X	
93.209 Contraception and Infertility Research Loan Repayment Program (C)	X	
93.213 Research and Training in Complementary and Alternative Medicine (B,M)	X	
93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (B)	X	
93.232 Loan Repayment Program for General Research (B)	X	
93.233 National Center on Sleep Disorders Research (B)	X	
93.242 Mental Health Research Grants (B)	X	
93.273 Alcohol Research Programs (B)	X	
93.279 Drug Abuse and Addiction Research Programs (B,M)	X	
93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers (C)	X	
93.281 Mental Health Research Career/Scientist Development Awards (B)	X	
93.282 Mental Health National Research Service Awards for Research Training (M)		X
93.286 Discovery and Applied Research for Technological Innovations to Improve Human Health (B)	X	
93.307 Minority Health and Health Disparities Research (B)	X	
93.308 National Institute on Minority Health and Health Disparities (NIMHD) Extramural Loan Repayment Programs (C)	X	
93.361 Nursing Research (B)	X	
93.389 National Center for Research Resources (B)	X	
93.393 Cancer Cause and Prevention Research (B)	X	
93.394 Cancer Detection and Diagnosis Research (B)	X	
93.395 Cancer Treatment Research (B)	X	
93.396 Cancer Biology Research (B)	X	
93.397 Cancer Centers Support Grants (B)	X	
93.398 Cancer Research Manpower (B)	X	
93.399 Cancer Control (B)	X	
93.837 Cardiovascular Diseases Research (B)	X	
93.838 Lung Diseases Research (B)	X	
93.839 Blood Diseases and Resources Research (B)	X	
93.846 Arthritis, Musculoskeletal and Skin Diseases Research (B)	X	
93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research (B)	X	
93.853 Extramural Research Programs in the Neurosciences and Neurological Disorders (B)	X	
93.855 Allergy, Immunology and Transplantation Research (B)	X	
93.859 Biomedical Research and Research Training (B)	X	
93.865 Child Health and Human Development Extramural Research (B)	X	
93.866 Aging Research (B)	X	
93.867 Vision Research (B)	X	
93.879 Medical Library Assistance (B)	X	
93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (B)	X	
93.989 International Research and Research Training (B,M)	X	
<b>OFFICE OF DISEASE PREVENTION AND HEALTH PROMOTION</b>		
93.990 National Health Promotion (B)	X	
<b>OFFICE OF MINORITY HEALTH</b>		
93.004 Cooperative Agreements to Improve the Health Status of Minority Populations (B)	X	
93.006 State and Territorial and Technical Assistance Capacity Development Minority HIV/AIDS Demonstration Program (B)	X	
93.105 Bilingual/Bicultural Service Demonstration Grants (B)	X	
93.137 Community Programs to Improve Minority Health Grant Program (B)	X	
93.910 Family and Community Violence Prevention Program (B)	X	
<b>OFFICE OF POPULATION AFFAIRS</b>		

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Program Description	Financial	Non-Financial
93.111 Adolescent Family Life Research Grants (B)	X	
93.217 Family Planning_Services (B)	X	
93.260 Family Planning_Personnel Training (B)	X	
93.974 Family Planning_Service Delivery Improvement Research Grants (B)	X	
93.995 Adolescent Family Life_Demonstration Projects (B)	X	
<b>OFFICE OF THE SECRETARY</b>		
93.016 Postal Model for Medical Countermeasures Delivery and Distribution (B)	X	
93.017 Strengthening the Management and Services of the Women's and Children's Hospitals in Kabul (B)	X	
93.019 Technical Assistance and Provision for Foreign Hospitals and Health Organizations (B)	X	
93.088 Advancing System Improvements to Support Targets for Healthy People 2010 (B)	X	
93.089 Emergency System for Advance Registration of Volunteer Health Professionals (B)	X	
93.290 National Community Centers of Excellence in Women's Health (B)	X	
93.295 Intergenerational Approaches to HIV/AIDS Prevention Education with Women across The Lifespan Pilot Program (B)	X	
93.296 State Partnership Grant Program to Improve Minority Health (B)	X	
93.360 Biomedical Advanced Research and Development Authority (BARDA), Biodefense Medical Countermeasure Development (B)	X	
93.500 Pregnancy Assistance Fund Program (B)	X	
93.718 Health Information Technology Regional Extension Centers Program (B)	X	
93.719 ARRA - State Grants to Promote Health Information Technology (B)	X	
93.721 ARRA - Health Information Technology Professionals in Health Care (B)	X	
93.726 ARRA Accelerating Adoption of Comparative Effectiveness Research (CER) (B)	X	
93.727 ARRA - Health Information Technology - Beacon Communities (B)	X	
93.728 ARRA - Strategic Health IT Advanced Research Projects (SHARP) (B)	X	
93.889 National Bioterrorism Hospital Preparedness Program (A)	X	
<b>PRESIDENT'S COUNCIL ON PHYSICAL FITNESS AND SPORTS</b>		
93.289 President's Council on Fitness, Sports, and Nutrition (K)		X
<b>PROGRAM SUPPORT CENTER</b>		
93.291 Surplus Property Utilization (H)		X
<b>SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION</b>		
93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)	X	
93.138 Protection and Advocacy for Individuals with Mental Illness (A)	X	
93.150 Projects for Assistance in Transition from Homelessness (PATH) (A)	X	
93.243 Substance Abuse and Mental Health Services_Projects of Regional and National Significance (B)	X	
93.275 Substance Abuse and Mental Health Services-Access to Recovery (B)	X	
93.276 Drug-Free Communities Support Program Grants (B)	X	
93.958 Block Grants for Community Mental Health Services (A)	X	
93.959 Block Grants for Prevention and Treatment of Substance Abuse (A)	X	
93.975 National All Schedules Prescription Electronic Reporting Grant (A)	X	
93.982 Mental Health Disaster Assistance and Emergency Mental Health (B)	X	
<b>DEPARTMENT OF HOMELAND SECURITY</b>		
97.005 State and Local Homeland Security National Training Program (B)	X	
97.007 Homeland Security Preparedness Technical Assistance Program (B)	X	
97.008 Non-Profit Security Program (B)	X	
97.009 Cuban/Haitian Entrant Program (B)	X	
97.010 Citizenship Education and Training (B)	X	
97.012 Boating Safety Financial Assistance (A)	X	
97.013 State Access to the Oil Spill Liability Trust Fund (B)	X	
97.016 Reimbursement for Firefighting on Federal Property (C)	X	
97.018 National Fire Academy Training Assistance (C)	X	
97.019 National Fire Academy Fellowship (M)		X
97.022 Flood Insurance (G)	X	
97.023 Community Assistance Program State Support Services Element (CAP-SSSE) (B)	X	



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97.024	Emergency Food and Shelter National Board Program (B)	X
97.025	National Urban Search and Rescue (US&R) Response System (B)	X
97.026	Emergency Management Institute_Training Assistance (C)	X
97.027	Emergency Management Institute (EMI)_Independent Study Program (M)	X
97.028	Emergency Management Institute (EMI)_Resident Educational Program (M)	X
97.029	Flood Mitigation Assistance (B)	X
97.030	Community Disaster Loans (E)	X
97.031	Cora Brown Fund (C)	X
97.032	Crisis Counseling (B)	X
97.033	Disaster Legal Services (C)	X
97.034	Disaster Unemployment Assistance (C,J)	X
97.036	Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)	X
97.039	Hazard Mitigation Grant (B)	X
97.040	Chemical Stockpile Emergency Preparedness Program (B)	X
97.041	National Dam Safety Program (B)	X
97.042	Emergency Management Performance Grants (A)	X
97.043	State Fire Training Systems Grants (B)	X
97.044	Assistance to Firefighters Grant (B)	X
97.045	Cooperating Technical Partners (B)	X
97.046	Fire Management Assistance Grant (B,J)	X
97.047	Pre-Disaster Mitigation (B)	X
97.048	Federal Disaster Assistance to Individuals and Households in Presidential Declared Disaster Areas (B,C)	X
97.049	Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C)	X
97.050	Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)	X
97.052	Emergency Operations Center (B)	X
97.053	Citizen Corps (B)	X
97.055	Interoperable Emergency Communications (B)	X
97.056	Port Security Grant Program (B)	X
97.057	Intercity Bus Security Grants (B)	X
97.058	Operation Safe Commerce (OSC) Cooperative Agreement Program (B)	X
97.059	Truck Security Program (B)	X
97.061	Centers for Homeland Security (B)	X
97.062	Scientific Leadership Awards (B,C)	X
97.065	Homeland Security Advanced Research Projects Agency (B)	X
97.066	Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)	X
97.067	Homeland Security Grant Program (A)	X
97.069	Aviation Research Grants (B,I)	X
97.071	Metropolitan Medical Response System (B)	X
97.072	National Explosives Detection Canine Team Program (B)	X
97.073	State Homeland Security Program (SHSP) (A)	X
97.075	Rail and Transit Security Grant Program (B)	X
97.076	National Center for Missing and Exploited Children (NCMEC) (B)	X
97.077	Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (B,H,I,L)	X
97.078	Buffer Zone Protection Program (BZPP) (B)	X
97.080	Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (B)	X
97.082	Earthquake Consortium (B)	X
97.083	Staffing for Adequate Fire and Emergency Response (SAFER) (B)	X
97.084	Hurricane Katrina Case Management Initiative Program (B)	X
97.086	Homeland Security Outreach, Education, and Technical Assistance (B,L)	X
97.088	Disaster Assistance Projects (B)	X
97.089	Driver's License Security Grant Program (B)	X
97.090	Law Enforcement Officer Reimbursement Agreement Program (C)	X
97.091	Homeland Security Biowatch Program (B,I)	X
97.092	Repetitive Flood Claims (B)	X
97.093	Fire Service Hazardous Materials Preparedness and Response (B)	X
97.094	Prevention Advocacy Resources and Data Exchange Program (B)	X
97.095	Safe Kids Worldwide (B)	X

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97.099 Residential Fire Safety & Fire Sprinkler Initiatives (B)	X	
97.101 National Fallen Firefighters Memorial (C)	X	
97.103 Degrees at a Distance Program (B)	X	
97.104 Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (B)	X	
97.105 Firefighter Health and Safety (B)	X	
97.106 Securing the Cities (B,I,L)	X	
97.107 National Incident Management System (NIMS) (B)	X	
97.108 Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)	X	
97.109 Disaster Housing Assistance Grant (B)	X	
97.110 Severe Repetitive Loss Program (B)	X	
97.111 Regional Catastrophic Preparedness Grant Program (RCPGP) (B)	X	
97.112 Border Infrastructure Improvement Projects (B)	X	
97.113 Rail and Transit Security Grant Program (ARRA) (B)	X	
97.114 Emergency Food and Shelter National Board Program (ARRA) (B)	X	
97.115 Assistance to Firefighters Grant (ARRA) (B)	X	
97.116 Port Security Grant Program (ARRA) (B)	X	
97.117 TSA Airport Checked Baggage Inspection System Program (ARRA) (B)	X	
97.118 Advanced Surveillance Program (ASP) (B)	X	
97.119 2010 Olympics First Responder Training (B)	X	
97.120 Border Interoperability Demonstration Project (B)	X	
97.121 Radiological/Nuclear Detection Pilot Evaluations Program (B,I,L)	X	
97.122 Bio-Preparedness Collaboratory (B)	X	
97.124 Interoperable Communications and Training Project (B)	X	
97.125 Virginia Operational Integration Cyber Center of Excellence (B)	X	
97.126 National Special Security Event (B)	X	
97.127 Cybersecurity Education and Training Assistance Program (CETAP) (B)	X	
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15.252	Abandoned Mine Land Reclamation (AMLR) Program (A,B)	93.515	Affordable Care Act (ACA) Nurse-Managed Health Clinics (B)
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93.995	Adolescent Family Life_Demonstration Projects (B)	93.537	Affordable Care Act Medicaid Emergency Psychiatric Demonstration (C)
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93.603	Adoption Incentive Payments (A)	93.540	Affordable Care Act Streamlined surveillance for ventilator-associated pneumonia: Reducing burden and demonstrating preventability (B)
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93.501	Affordable Care Act (ACA) Grants for School-Based Health Center Capital Expenditures (B)		
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- 20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)
- 20.931 Transportation Planning, Research and Education (B)
- 10.167 Transportation Services (K,M)
- 20.900 Transportation\_Consumer Affairs (N)
- 93.234 Traumatic Brain Injury State Demonstration Grant Program (B)
- 10.092 Tree Assistance Program (D)
- 10.221 Tribal Colleges Education Equity Grants (B)
- 10.222 Tribal Colleges Endowment Program (A)
- 15.029 Tribal Courts (C)
- 15.147 Tribal Courts\_Trust Reform Initiative (B)
- 16.557 Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (B)
- 15.148 Tribal Energy Development Capacity Grants (C)
- 93.954 Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (M)
- 16.019 Tribal Registry (B)
- 15.022 Tribal Self-Governance (C)
- 93.210 Tribal Self-Governance Program: IHS Compacts/Funding Agreements (C)
- 93.444 Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)
- 15.639 Tribal Wildlife Grants Program (B)
- 93.594 Tribal Work Grants (A)
- 15.028 Tribally Controlled Community College Endowments (B)
- 84.245 Tribally Controlled Postsecondary Career and Technical Institutions (B)
- 84.103 TRIO Staff Training Program (B)
- 84.066 TRIO\_Educational Opportunity Centers (B)
- 84.217 TRIO\_McNair Post-Baccalaureate Achievement (B)
- 84.042 TRIO\_Student Support Services (B)
- 84.044 TRIO\_Talent Search (B)
- 84.047 TRIO\_Upward Bound (B)
- 97.059 Truck Security Program (B)
- 97.117 TSA Airport Checked Baggage Inspection System Program (ARRA) (B)
- 66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)
- 93.947 Tuberculosis Demonstration, Research, Public and Professional Education (B)
- 84.287 Twenty-First Century Community Learning Centers (A)
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- 77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)
- 19.124 U.S. Department of State (B)
- 15.808 U.S. Geological Survey\_ Research and Data Collection (B)
- 20.807 U.S. Merchant Marine Academy (M)
- 77.007 U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (B,C)
- 77.009 U.S. Nuclear Regulatory Commission Office of Research Financial Assistance Program (B)
- 77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)
- 93.579 U.S. Repatriation (B)
- 93.676 Unaccompanied Alien Children Program (B)

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84.345 Underground Railroad Educational and Cultural Program (B)  
66.804 Underground Storage Tank Prevention, Detection and Compliance Program (A)  
15.652 Undesirable/Noxious Plant Species (B)  
17.225 Unemployment Insurance (A,D)  
12.750 Uniformed Services University Medical Research Projects (B)  
93.251 Universal Newborn Hearing Screening (B)  
93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)  
81.057 University Coal Research (B)  
20.701 University Transportation Centers Program (B)  
15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)  
15.535 Upper Colorado River Basin Fish and Wildlife Mitigation Program. (B)  
15.978 Upper Mississippi River System Long Term Resource Monitoring Program (B)  
10.675 Urban and Community Forestry Program (B)  
93.193 Urban Indian Health Services (B)  
66.440 Urban Waters Small Grants (B)

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64.034 VA Assistance to United States Paralympic Integrated Adaptive Sports Program (B)  
64.033 VA Supportive Services for Veteran Families Program (B)  
10.352 Value-Added Producer Grants (B)  
10.410 Very Low to Moderate Income Housing Loans (E,F)  
10.788 Very Low to Moderate Income Housing Loans - Direct (E,F)  
10.789 Very Low to Moderate Income Housing Loans - Guaranteed (E,F)  
10.417 Very Low-Income Housing Repair Loans and Grants (B,E)  
17.802 Veterans' Employment Program (B)  
10.313 Veterinary Medicine Loan Repayment Program (C)  
16.013 Violence Against Women Act Court Training and Improvement Grants (B)  
16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments (B)  
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97.125 Virginia Operational Integration Cyber Center of Excellence (B)  
93.867 Vision Research (B)  
15.654 Visitor Facility Enhancements - Refuges and Wildlife (B)  
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10.093 Voluntary Public Access and Habitat Incentive Program (A)  
84.361 Voluntary Public School Choice (B)  
21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program (B)  
93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A)  
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10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)  
10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)  
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15.530 Water Conservation Field Services Program (WCFSP) (B)  
15.506 Water Desalination Research and Development Program (B)  
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66.474 Water Protection Grants to the States (A)  
66.463 Water Quality Cooperative Agreements (B)  
66.454 Water Quality Management Planning (A)  
15.504 Water Reclamation and Reuse Program (A)  
15.037 Water Resources on Indian Lands (C,J,K)  
66.478 Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)  
10.904 Watershed Protection and Flood Prevention (K)  
10.916 Watershed Rehabilitation Program (K)  
10.693 Watershed Restoration and Enhancement Agreement Authority (B)  
15.507 WaterSMART (Sustaining and Manage America's Resources for Tomorrow) (B)  
19.800 Weapons Removal and Abatement (B)  
81.042 Weatherization Assistance for Low-Income Persons (A,B)  
93.595 Welfare Reform Research, Evaluations and National Studies (B)  
66.119 West Coast Estuaries Initiative (B)  
66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)  
10.072 Wetlands Reserve Program (C)  
10.164 Wholesale Farmers and Alternative Market Development (K,M)  
17.258 WIA Adult Program (A)  
17.260 WIA Dislocated Workers (A,B)  
17.278 WIA Dislocated Worker Formula Grants (A)  
17.261 WIA Pilots, Demonstrations, and Research Projects (B)  
17.259 WIA Youth Activities (A)  
10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)  
10.578 WIC Grants To States (WGS) (B)  
15.229 Wild Horse and Burro Resource Management (B,I,J,K,L,M)  
15.232 Wildland Fire Research and Studies Program (B)  
15.625 Wildlife Conservation and Restoration (A)  
10.914 Wildlife Habitat Incentive Program (C)  
15.611 Wildlife Restoration and Basic Hunter Education (A)  
10.028 Wildlife Services (B)  
15.640 Wildlife Without Borders- Latin America and the Caribbean (B)  
15.651 Wildlife Without Borders-Africa Program (B)  
15.641 Wildlife Without Borders-Mexico (B)  
10.318 Women and Minorities in Science, Technology, Engineering, and (B)  
17.700 Women's Bureau (K)  
84.083 Women's Educational Equity Program (B)  
10.681 Wood Education and Resource Center (WERC) (B)  
17.271 Work Opportunity Tax Credit Program (WOTC) (A)  
17.283 Workforce Innovation Fund (B)  
17.280 Workforce Investment Act (WIA) Dislocated Worker National Reserve Demonstration Grants (B)  
17.281 Workforce Investment Act (WIA) Dislocated Worker National Reserve Technical Assistance and Training (B)  
17.277 Workforce Investment Act (WIA) National Emergency Grants (B)

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15.531 Yakima River Basin Water Enhancement Project (YRBWEP) (B)  
15.546 Youth Conservation Program (B)  
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# APPLICANT ELIGIBILITY INDEX

The alphabet(s) in parenthesis following the program title, shows the type(s) of assistance available through that program. The alphabet codes with accompanying types of assistance are as follows:

- A: Formula Grants
- B: Project Grants
- C: Direct Payments for Specified Use
- D: Direct Payments with Unrestricted Use
- E: Direct Loans
- F: Guaranteed/Insured Loans
- G: Insurance
- H: Sale, Exchange, or Donation of Property and Goods
- I: Use of Property, Facilities, and Equipment
- J: Provision of Specialized Services
- K: Advisory Services and Counseling
- L: Dissemination of Technical Information
- M: Training
- N: Investigation of Complaints
- O: Federal Employment

Definitions of the types of applicants used in this Index are given below.

**Individual** - Any person or persons, as individuals, groups, or profit making organizations. Such persons and groups do not represent Federally Recognized Indian Tribal Governments. Includes Indians or other Native Americans who apply as individuals rather than as a member of a tribe or other Indian organization.

**Local** - Agencies or instrumentalities of political subdivisions within a State, to include cities, towns, townships, parishes, municipalities, villages, counties, school districts, and other special local districts. Included under local are Indian tribes on State reservations, Indian bands and group, Pueblos, Indian school boards, and State designated Indian tribes. Local does not include institutions of higher education and hospitals.

**Nonprofit** - A public or private agency or organization established by charter to perform specialized functions or services for the benefit of all or part of the general public. Functions or services are provided without charge or at cost, and earn no profit. The agency or organization has no shareholders to receive dividends.

**State** - Any agency or instrumentality of the fifty States of the United States, and the District of Columbia. State does not include the political subdivisions of the State, but does include institutions of higher education and hospitals.

**U.S. Territories** - Any agency or instrumentality of the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Trust Territories of the Pacific Islands, and Mariana Islands. Included are the political subdivisions of the territories, institutions of higher education, and hospitals.

**Federally Recognized Indian Tribal Organizations** - The governing body or a governmental agency of an Indian Tribe, nation, or other organized group or community recognized and certified by the Secretary of the Interior. Included are Native villages as defined in the Alaska Native Claims Settlement Act.

(Note: The information contained in this Index was taken from the Applicant Eligibility section of the program descriptions and from other sources. As a potential applicant, if you feel you also qualify to apply for assistance under a particular program but the Index says otherwise, always contact the agency contact persons. As regarding whether or not a potential applicant is eligible for a program, the agency is always the best source.)

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
<b>DEPARTMENT OF AGRICULTURE</b>						
10.001 Agricultural Research_Basic and Applied Research (B)	X	X	X	X	X	X
10.025 Plant and Animal Disease, Pest Control, and Animal Care (B)		X	X	X		
10.028 Wildlife Services (B)	X	X	X	X		X
10.051 Commodity Loans and Loan Deficiency Payments (D,E)	X					
10.053 Dairy Indemnity Program (D)	X					
10.054 Emergency Conservation Program (C)	X					
10.055 Direct and Counter-cyclical Payments Program (C)	X					
10.056 Farm Storage Facility Loans (E)	X	X	X	X	X	X
10.069 Conservation Reserve Program (C)	X	X		X		
10.072 Wetlands Reserve Program (C)	X	X		X		
10.085 Tobacco Transition Payment Program (D)	X					
10.086 Aquaculture Grants Program (AGP) (A)						
10.087 Biomass Crop Assistance Program (D)						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
10.088 Livestock Indemnity Program (C)	X					
10.089 Livestock Forage Disaster Program (C)	X					
10.090 Supplemental Revenue Assistance Program (C)	X					
10.091 Emergency Assistance for Livestock, Honeybees, and Farm-Raised Fish Program (C)						
10.092 Tree Assistance Program (D)	X					
10.093 Voluntary Public Access and Habitat Incentive Program (A)						X
10.095 Durum Wheat Quality Program (D)	X					
10.099 Conservation Loans (E,F)	X					
10.103 2009 Aquaculture Grant Program (A)						
10.104 Poultry Loss Contract Grant Assistance Program (A)						
10.153 Market News (L)	X	X	X	X	X	X
10.155 Marketing Agreements and Orders (J,K)	X					
10.156 Federal-State Marketing Improvement Program (B)				X		
10.162 Inspection Grading and Standardization (J)						
10.163 Market Protection and Promotion (J,K,M)	X	X	X	X	X	X
10.164 Wholesale Farmers and Alternative Market Development (K,M)				X		
10.165 Perishable Agricultural Commodities Act (N)	X					
10.167 Transportation Services (K,M)	X	X	X	X	X	X
10.168 Farmers' Market Promotion Program (B)		X				
10.170 Specialty Crop Block Grant Program - Farm Bill (B)				X		
10.171 Organic Certification Cost Share Programs (C)				X		
10.200 Grants for Agricultural Research, Special Research Grants (B)			X	X		
10.202 Cooperative Forestry Research (A)				X		
10.203 Payments to Agricultural Experiment Stations Under the Hatch Act (A)			X	X		
10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University (A)			X	X		
10.207 Animal Health and Disease Research (A)			X	X		
10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)			X	X		
10.212 Small Business Innovation Research (B)						
10.215 Sustainable Agriculture Research and Education (B)			X	X		
10.216 1890 Institution Capacity Building Grants (B)			X	X		
10.217 Higher Education Challenge Grants (B)			X	X		
10.219 Biotechnology Risk Assessment Research (B)		X	X	X		X
10.220 Higher Education Multicultural Scholars Program (B)			X	X		X
10.221 Tribal Colleges Education Equity Grants (B)		X		X		
10.222 Tribal Colleges Endowment Program (A)		X		X		
10.223 Hispanic Serving Institutions Education Grants (B)			X	X		
10.225 Community Food Projects (B)						
10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (B)			X	X		
10.227 1994 Institutions Research Program (B)		X		X		
10.228 Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (B)			X	X		
10.250 Agricultural and Rural Economic Research (L)	X	X	X	X	X	X
10.253 Food Assistance and Nutrition Research Programs (FANRP) (L)	X	X	X	X	X	X
10.254 Program of Research on the Economic of Invasive Species Management (PREISM) (L)	X	X	X	X	X	X
10.255 Research Innovation and Development Grants in Economic (RIDGE) (L)	X	X	X	X	X	X
10.256 Consumer Data and Information Program (L)	X	X	X	X	X	X
10.290 Agricultural Market and Economic Research (B)			X			
10.303 Integrated Programs (B)			X	X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
10.304 Homeland Security_Agricultural (B)	X	X	X	X	X	X
10.305 International Science and Education Grants (B)			X	X		
10.306 Biodiesel (B)			X	X		
10.307 Organic Agriculture Research and Extension Initiative (B)	X		X	X		
10.308 Resident Instruction Grants for Insular Area Activities (B)			X	X		
10.309 Specialty Crop Research Initiative (B)	X	X	X	X	X	X
10.310 Agriculture and Food Research Initiative (AFRI) (B)	X		X	X		
10.311 Beginning Farmer and Rancher Development Program (B)		X	X	X		X
10.312 Biomass Research and Development Initiative Competitive Grants Program (BRDI) (B)			X	X		
10.313 Veterinary Medicine Loan Repayment Program (C)	X					
10.314 New ERA Rural Technology Competitive Grants Program (B)			X			
10.315 Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF) (B)			X	X		
10.316 Healthy Urban Food Enterprise Development Center (HUFED) (B)	X		X			
10.317 Food Aid Nutrition Enhancement Program (B)			X	X		
10.318 Women and Minorities in Science, Technology, Engineering, and (B)	X	X	X	X		X
10.319 Farm Business Management and Benchmarking Competitive Grants Program (B)	X		X	X		
10.320 Sun Grant Program (B)			X			
10.322 Distance Education Grants for Institutions of Higher Education in Insular Areas (B)				X		
10.324 Afghanistan Agricultural Extension Project (AAEP) (B)			X	X		
10.325 Peoples Garden Grant Program (B)	X	X	X	X	X	X
10.350 Technical Assistance to Cooperatives (J,K,L,M)						
10.352 Value-Added Producer Grants (B)						
10.404 Emergency Loans (E)	X					
10.405 Farm Labor Housing Loans and Grants (B,F)	X	X	X	X		
10.406 Farm Operating Loans (E,F)	X					
10.407 Farm Ownership Loans (E,F)	X					
10.410 Very Low to Moderate Income Housing Loans (E,F)	X					
10.411 Rural Housing Site Loans and Self_Help Housing Land Development Loans (E)			X			
10.415 Rural Rental Housing Loans (B,E)	X	X	X	X		
10.417 Very Low-Income Housing Repair Loans and Grants (B,E)	X					
10.420 Rural Self-Help Housing Technical Assistance (B)		X	X			
10.421 Indian Tribes and Tribal Corporation Loans (E)						X
10.427 Rural Rental Assistance Payments (C)	X	X				
10.433 Rural Housing Preservation Grants (B)			X		X	
10.435 State Mediation Grants (B)				X		
10.437 Interest Assistance Program (F)	X					
10.438 Section 538 Rural Rental Housing Guaranteed Loans (F)						
10.443 Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (B)		X	X	X		X
10.444 Direct Housing_Natural Disaster Loans and Grants (B,E)	X	X	X		X	X
10.446 Rural Community Development Initiative (B)			X			X
10.447 The Rural Development (RD) Multi-Family Housing Revitalization Demonstration Program (MPR) (B)	X	X	X	X	X	X
10.448 Rural Development Multi-Family Housing Rural Housing Voucher Demonstration Program (C)	X					
10.449 Boll Weevil Eradication Loan Program (E)						
10.450 Crop Insurance (G)	X					
10.451 Noninsured Assistance (D)		X				
10.455 Community Outreach and Assistance Partnership Program (L,M)		X	X	X		



# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
10.456 Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (B)		X		X		
10.458 Crop Insurance Education in Targeted States (B)			X	X		
10.459 Commodity Partnerships for Small Agricultural Risk Management Education Sessions (B)			X	X		
10.465 Farmworker Training Grant Program (B)			X			
10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)				X		
10.477 Meat, Poultry, and Egg Products Inspection (J)	X					
10.479 Food Safety Cooperative Agreements (B)		X		X		
10.500 Cooperative Extension Service (A,B)	X	X	X	X	X	X
10.551 Supplemental Nutrition Assistance Program (C)				X	X	
10.553 School Breakfast Program (A)			X	X		
10.555 National School Lunch Program (A)			X	X		
10.556 Special Milk Program for Children (A)				X		
10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)		X	X	X		X
10.558 Child and Adult Care Food Program (A)			X	X		
10.559 Summer Food Service Program for Children (A)			X	X		
10.560 State Administrative Expenses for Child Nutrition (A)				X		
10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)						
10.565 Commodity Supplemental Food Program (A,H)				X		X
10.566 Nutrition Assistance For Puerto Rico (C)						
10.567 Food Distribution Program on Indian Reservations (B,H)						X
10.568 Emergency Food Assistance Program (Administrative Costs) (A,B)						
10.569 Emergency Food Assistance Program (Food Commodities) (A)						
10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)		X		X		
10.574 Team Nutrition Grants (B)				X		
10.576 Senior Farmers Market Nutrition Program (B)		X		X		
10.578 WIC Grants To States (WGS) (B)				X		
10.579 Child Nutrition Discretionary Grants Limited Availability (B)		X	X	X		X
10.580 Supplemental Nutrition Assistance Program, Outreach/Participation Program (B)				X		
10.582 Fresh Fruit and Vegetable Program (B)				X		
10.583 Hunger Free Communities (B)		X	X	X		X
10.585 FNS Food Safety Grants (B)			X	X		
10.586 Office of Research and Analysis (ORA) Grants/Cooperative Agreements to Meet Food, Nutrition and Health Needs of Program Eligible Participants (B)		X	X	X	X	X
10.588 Assessment of Alternatives to Face-to-Face Interviews in SNAP (B)						
10.605 Quality Samples Program (C)			X			
10.610 Export Guarantee Program (F)						
10.613 Faculty Exchange Program (C)			X			
10.614 Scientific Cooperation Exchange Program with China (B,C)		X	X	X	X	X
10.652 Forestry Research (B)		X	X	X		
10.664 Cooperative Forestry Assistance (A,B)	X					X
10.665 Schools and Roads - Grants to States (A)		X			X	
10.666 Schools and Roads - Grants to Counties (A)						
10.672 Rural Development, Forestry, and Communities (B)		X	X	X		X
10.674 Forest Products Lab: Technology Marketing Unit (TMU) (B)	X	X		X		
10.675 Urban and Community Forestry Program (B)		X	X	X		
10.676 Forest Legacy Program (B)				X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
10.678 Forest Stewardship Program (B)				X		
10.679 Collaborative Forest Restoration (B)		X	X			
10.680 Forest Health Protection (A,B)	X	X	X	X	X	X
10.681 Wood Education and Resource Center (WERC) (B)		X	X	X		X
10.682 National Forest Foundation (C)						
10.683 National Fish and Wildlife Foundation (C)			X			
10.684 International Forestry Programs (B)			X	X		X
10.685 Community Wood Energy Program (B)		X		X		X
10.687 Recovery Act of 2009: Capital Improvement and Maintenance (B)	X	X	X	X		X
10.688 Recovery Act of 2009: Wildland Fire Management (B)	X	X	X	X		X
10.689 Community Forest and Open Space Conservation Program (CFP) (B)		X	X			X
10.690 Lake Tahoe Erosion Control Grant Program (B)		X				
10.691 Good Neighbor Authority (B)				X		
10.693 Watershed Restoration and Enhancement Agreement Authority (B)	X	X				X
10.694 Southwest Forest Health and Wildfire Prevention (C)						
10.700 National Agricultural Library (L)	X	X	X	X		
10.759 Part 1774 Special Evaluation Assistance for Rural Communities and Households Program (SEARCH) (B)		X	X	X		
10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)		X	X			X
10.761 Technical Assistance and Training Grants (B)						
10.762 Solid Waste Management Grants (B)		X				
10.763 Emergency Community Water Assistance Grants (B)		X				
10.766 Community Facilities Loans and Grants (B,E,F)		X	X	X		X
10.767 Intermediary Relending Program (E)		X		X		X
10.768 Business and Industry Loans (F)	X	X				X
10.769 Rural Business Enterprise Grants (B)		X	X	X		X
10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)		X	X			X
10.771 Rural Cooperative Development Grants (B)			X			
10.773 Rural Business Opportunity Grants (B)	X	X	X	X	X	X
10.777 Norman E. Borlaug International Agricultural Science and Technology Fellowship (C)			X			
10.778 Research on the Economic Impact of Cooperatives (C)				X		
10.780 Community Facilities Loans and Grants (B,E)		X	X	X		X
10.781 Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)		X			X	X
10.783 Rural Business Enterprise Grants - ARRA (B)		X	X	X		X
10.787 Broadband Initiatives Program (B,E)		X	X	X		X
10.788 Very Low to Moderate Income Housing Loans - Direct (E,F)	X	X				
10.789 Very Low to Moderate Income Housing Loans - Guaranteed (E,F)	X	X				
10.850 Rural Electrification Loans and Loan Guarantees (E,F)		X				
10.851 Rural Telephone Loans and Loan Guarantees (E,F)			X			
10.854 Rural Economic Development Loans and Grants (B,E)	X	X	X	X	X	X
10.855 Distance Learning and Telemedicine Loans and Grants (B,E)		X	X	X		
10.856 1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (C)				X		
10.857 State Bulk Fuel Revolving Fund Grants (B)		X			X	
10.858 Denali Commission Grants and Loans (B,E)					X	
10.859 Assistance to High Energy Cost Rural Communities (B,E)		X			X	
10.861 Public Television Station Digital Transition Grant Program (B)		X	X	X		
10.862 Household Water Well System Grant Program (B)						
10.863 Community Connect Grant Program (B)		X		X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
10.864 Grant Program to Establish a Fund for Financing Water and Wastewater Projects (B)						
10.865 Biorefinery Assistance (F)	X	X	X	X	X	X
10.866 Repowering Assistance (C)						
10.867 BIOENERGY PROGRAM FOR ADVANCED BIOFUELS (D)	X					
10.868 Rural Energy for America Program (F)	X	X	X	X	X	X
10.870 Rural Microentrepreneur Assistance Program (B,E)			X			X
10.874 Delta Health Care Services Grant Program (B)						
10.886 Rural Broadband Access Loans and Loan Guarantees (E,F)		X	X	X		
10.901 Resource Conservation and Development (K)		X	X	X		
10.902 Soil and Water Conservation (K)	X	X		X		
10.903 Soil Survey (L)	X	X	X	X	X	X
10.904 Watershed Protection and Flood Prevention (K)		X	X	X		
10.905 Plant Materials for Conservation (J)				X		
10.907 Snow Survey and Water Supply Forecasting (L)	X	X	X	X	X	X
10.912 Environmental Quality Incentives Program (C)	X	X	X	X	X	X
10.913 Farm and Ranch Lands Protection Program (C)		X		X		
10.914 Wildlife Habitat Incentive Program (C)	X	X	X	X	X	X
10.916 Watershed Rehabilitation Program (K)		X		X		
10.917 Agricultural Management Assistance (C)				X		
10.920 Grassland Reserve Program (C)	X	X	X	X	X	X
10.921 Conservation Security Program (C)	X	X	X	X	X	X
10.922 Healthy Forests Reserve Program (HFRP) (C)						
10.923 Emergency Watershed Protection Program (B)	X	X	X	X	X	X
10.924 Conservation Stewardship Program (B)	X	X		X	X	X
10.925 Agricultural Water Enhancement Program (C)	X	X		X		
10.926 Chesapeake Bay Watershed Program (C)	X	X	X	X	X	X
10.950 Agricultural Statistics Reports (L)	X	X	X	X	X	X
10.961 Scientific Cooperation and Research (B,C)			X	X	X	X
10.962 Cochran Fellowship Program-International Training-Foreign Participant (C)			X			
10.998 Long Term Standing Agreements for Storage, Transportation, and Lease (C)		X				

## DEPARTMENT OF COMMERCE

11.432 National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes (B)				X		
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## DEPARTMENT OF DEFENSE

12.101 Beach Erosion Control Projects (J)		X		X		
12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J)		X		X		
12.106 Flood Control Projects (J)		X		X		
12.107 Navigation Projects (J)		X		X		
12.108 Snagging and Clearing for Flood Control (J)		X		X		
12.110 Planning Assistance to States (J)				X		
12.112 Payments to States in Lieu of Real Estate Taxes (A)				X		
12.116 Department of Defense Appropriation Act of 2003 (J)				X		
12.118 North Dakota Environmental Infrastructure (Section 594) - ARRA (B)		X	X			X
12.119 Northern Wisconsin Environmental Infrastructure (Section 154) - ARRA (B)		X	X			X
12.120 Northeastern Minnesota Environmental Infrastructure (Section 569) - ARRA (B)		X	X	X		X
12.121 Montana, Nevada, New Mexico, Utah, Idaho, & Wyoming Environmental Infrastructure (Section 595) - ARRA (B)		X	X			X
12.123 South Central Pennsylvania Environmental Infrastructure						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
(Section 313) - ARRA (B)						
12.124 Mississippi Environmental Infrastructure (Section 592) - ARRA (B)		X	X			X
12.125 Southern WV Environmental Infrastructure (Section 340) - ARRA (B)		X	X			X
12.126 Central WV Environmental Infrastructure (Section 571) - ARRA (B)		X	X			X
12.127 Southern and Eastern KY Environmental Infrastructure (Section 531) - ARRA (B)		X	X			X
12.128 Florida Keys Water Quality Improvement Program (Section 109) - ARRA (B)		X				
12.217 Electronic Absentee Systems for Elections (B)		X			X	
12.330 Science, Technology, Engineering & Mathematics (STEM) for K-12 & Institutions of Higher Learning- NAVY (B)			X			
12.335 Navy Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (B)			X			
12.360 Research on Chemical and Biological Defense (B)						
12.369 Marine Corps Systems Command Federal Assistance Program (B)			X			
12.431 Basic Scientific Research (B)		X	X	X		
12.550 The Language Flagship Grants to Institutions of Higher Education (B)			X	X		
12.551 National Security Education Program David L. Boren Scholarships (B)	X	X	X	X	X	X
12.552 National Security Education Program David L. Boren Fellowships (B)	X	X	X	X	X	X
12.553 The Language Flagship Fellowships (B)	X	X	X	X	X	X
12.555 English for Heritage Language Speakers Scholarships (B)	X					
12.558 Department of Defense Impact Aid (Supplement, CWSD, BRAC) (A)						
12.560 DOD, NDEP, DOTC-STEM Education Outreach Implementation (B)	X	X	X	X	X	X
12.597 Task Force for Business & Stability Operations (B)			X			
12.600 Community Economic Adjustment (B,J,L)		X		X		
12.631 Science, Technology, Engineering and Mathematics (STEM) Educational Program: Science, Mathematics And Research for Transformation (SMART) (B)	X					
12.750 Uniformed Services University Medical Research Projects (B)			X	X		
12.800 Air Force Defense Research Sciences Program (B)			X			
12.901 Mathematical Sciences Grants Program (B)		X	X	X		X
12.902 Information Security Grant Program (B)		X	X	X		X

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

14.005 Choice Neighborhoods Planning Grants (B)		X	X			
14.103 Interest Reduction Payments_Rental and Cooperative Housing for Lower Income Families (C,F)	X					
14.108 Rehabilitation Mortgage Insurance (F)	X					
14.110 Manufactured Home Loan Insurance_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (F)	X					
14.117 Mortgage Insurance_Homes (F)	X					
14.119 Mortgage Insurance_Homes for Disaster Victims (F)	X					
14.122 Mortgage Insurance_Homes in Urban Renewal Areas (F)	X	X	X	X	X	X
14.123 Mortgage Insurance_Housing in Older, Declining Areas (F)	X					
14.126 Mortgage Insurance_Cooperative Projects (F)			X			
14.127 Mortgage Insurance_Manufactured Home Parks (F)	X					
14.128 Mortgage Insurance_Hospitals (F)						
14.129 Mortgage Insurance_Nursing Homes, Intermediate Care		X	X			X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Facilities, Board and Care Homes and Assisted Living Facilities (F)						
14.133 Mortgage Insurance_Purchase of Units in Condominiums (F)	X					
14.134 Mortgage Insurance_Rental Housing (F)	X					
14.135 Mortgage Insurance_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)	X		X			
14.138 Mortgage Insurance_Rental Housing for the Elderly (F)			X			
14.139 Mortgage Insurance_Rental Housing in Urban Renewal Areas (F)	X		X			
14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)	X					
14.149 Rent Supplements_Rental Housing for Lower Income Families (C)	X					
14.151 Supplemental Loan Insurance_Multifamily Rental Housing (F)	X		X			
14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)	X	X	X	X	X	X
14.157 Supportive Housing for the Elderly (C)						
14.159 Section 245 Graduated Payment Mortgage Program (F)	X	X	X	X	X	X
14.162 Mortgage Insurance_Combination and Manufactured Home Lot Loans (F)	X	X	X	X	X	X
14.163 Mortgage Insurance_Single Family Cooperative Housing (F)	X					
14.167 Mortgage Insurance_Two Year Operating Loss Loans, Section 223(d) (F)	X					
14.169 Housing Counseling Assistance Program (B)		X	X	X		
14.171 Manufactured Home Dispute Resolution (J)	X	X	X	X	X	X
14.172 Mortgage Insurance_Growing Equity Mortgages (F)	X	X	X	X	X	X
14.175 Adjustable Rate Mortgages (F)	X					
14.181 Supportive Housing for Persons with Disabilities (C)						
14.183 Home Equity Conversion Mortgages (F)						
14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)			X			
14.188 Housing Finance Agencies (HFA) Risk Sharing (F)	X	X	X	X	X	X
14.189 Qualified Participating Entities (QPE) Risk Sharing (F)	X	X	X	X	X	X
14.191 Multifamily Housing Service Coordinators (B)						
14.195 Section 8 Housing Assistance Payments Program (C)						
14.198 Good Neighbor Next Door Sales Program (H)						
14.218 Community Development Block Grants/Entitlement Grants (A)		X				
14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas (B)						
14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)				X		
14.231 Emergency Shelter Grants Program (A)		X	X			
14.235 Supportive Housing Program (B,C)		X	X			
14.238 Shelter Plus Care (B)		X		X		X
14.239 Home Investment Partnerships Program (A)		X		X		X
14.241 Housing Opportunities for Persons with AIDS (A,B)		X		X		X
14.246 Community Development Block Grants/Brownfields Economic Development Initiative (B)		X				
14.247 Self-Help Homeownership Opportunity Program (B)						
14.248 Community Development Block Grants_Section 108 Loan Guarantees (F)					X	
14.249 Section 8 Moderate Rehabilitation Single Room Occupancy (B)						
14.251 Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants (B)		X	X	X		
14.252 Section 4 Capacity Building for Community Development						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
and Affordable Housing (B)						
14.259 CPD's Transformation Initiative Technical Assistance (B)		X	X	X	X	X
14.261 Homeless Management Information Systems Technical Assistance (B)		X				
14.263 Rural Innovation Fund (B)			X	X		X
14.264 Neighborhood Stabilization Program (B)		X	X			
14.311 Single Family Property Disposition (H)	X	X	X	X	X	X
14.313 Dollar Home Sales (H)		X				
14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects (B)			X			
14.315 Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (B)						
14.316 Housing Counseling Training Program (B)			X			
14.319 Multifamily Energy Innovation Fund (B)						X
14.321 FHA Technical Assistance Training Transformation Initiative (M)						
14.322 Tenant Resource Network Program (B)						
14.323 Emergency Homeowners Loan Program (E)	X					
14.324 FHA PowerSaver Home Energy Improvement Pilot Program (F)	X					
14.400 Equal Opportunity in Housing (N)	X	X	X	X	X	X
14.401 Fair Housing Assistance Program_State and Local (B)						
14.408 Fair Housing Initiatives Program (B)		X		X		
14.416 Education and Outreach Initiatives (B)		X		X		
14.417 Fair Housing Organization Initiatives (B)						
14.418 Private Enforcement Initiatives (B)						
14.420 Fair Housing Initiatives Program Enforcement Testing Technical Assistance (B)		X		X		
14.421 Limited English Proficiency Initiative (B)						
14.506 General Research and Technology Activity (J)						
14.516 Doctoral Dissertation Research Grants (B)			X			
14.523 Transformation Initiative Research Grants: Sustainable Community Research Grant Program (B)		X	X	X		
14.524 Transformation Initiative Research Grants: Natural Experiments (B)			X	X		
14.525 Transformation Initiative Research Grants: Demonstration and Related Small Grants (B)			X	X		X
14.529 Fellowship Placement Pilot Program (M)			X			
14.703 Sustainable Communities Regional Planning Grant Program (B)		X	X	X	X	X
14.704 Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants (B)		X			X	X
14.705 Capacity Building for Sustainable Communities (B)		X	X	X		X
14.850 Public and Indian Housing (C)		X				
14.856 Lower Income Housing Assistance Program_Section 8 Moderate Rehabilitation (C)						
14.862 Indian Community Development Block Grant Program (B)						X
14.865 Public and Indian Housing_Indian Loan Guarantee Program (F)		X				X
14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)						
14.867 Indian Housing Block Grants (A)						X
14.869 Title VI Federal Guarantees for Financing Tribal Housing Activities (F)						X
14.870 Resident Opportunity and Supportive Services - Service Coordinators (B)			X			X
14.871 Section 8 Housing Choice Vouchers (C)			X	X		
14.872 Public Housing Capital Fund (A)		X		X		
14.873						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Native Hawaiian Housing Block Grants (B)						
14.874 Loan Guarantees for Native Hawaiian Housing (F)						
14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (B)						X
14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)		X				
14.879 Mainstream Vouchers (C)			X	X		
14.880 Family Unification Program (FUP) (C)			X	X		
14.881 Moving to Work Demonstration Program (A)		X				
14.887 Native American Housing Block Grants (Competitive) Recovery Act Funded (B)						
14.889 Choice Neighborhoods (B)		X				
14.891 Public and Indian Housing Transformation Initiative (TI) Technical Assistance (TA) (J)						
14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing (B)		X		X		X
14.902 Lead Technical Studies Grants (B)		X	X	X		X
14.905 Lead Hazard Reduction Demonstration Grant Program (B)		X		X		X
14.906 Healthy Homes Technical Studies Grants (B)		X	X	X		X
14.913 Healthy Homes Production Grant Program (B)		X	X	X		X
14.914 Asthma Interventions in Public and Assisted Multifamily Housing (B)		X	X	X		X

## DEPARTMENT OF THE INTERIOR

15.020 Aid To Tribal Governments (C)						X
15.021 Consolidated Tribal Government Program (C)						X
15.022 Tribal Self-Governance (C)						X
15.024 Indian Self-Determination Contract Support (C)						X
15.025 Services to Indian Children, Elderly and Families (C)						X
15.026 Indian Adult Education (C)						X
15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)						X
15.028 Tribally Controlled Community College Endowments (B)						X
15.029 Tribal Courts (C)						X
15.030 Indian Law Enforcement (C)						X
15.033 Road Maintenance_Indian Roads (C)						X
15.036 Indian Rights Protection (C)						X
15.037 Water Resources on Indian Lands (C,J,K)						X
15.038 Minerals and Mining on Indian Lands (C,J,L)						X
15.040 Real Estate Programs_Indian Lands (C)						X
15.041 Environmental Management_Indian Programs (C)						X
15.042 Indian School Equalization Program (C)						X
15.043 Indian Child and Family Education (B,M)						X
15.044 Indian Schools_Student Transportation (C)						X
15.045 Assistance for Indian Children with Severe Disabilities (C)						X
15.046 Administrative Cost Grants for Indian Schools (B)						X
15.047 Indian Education Facilities, Operations, and Maintenance (C)						X
15.048 Bureau of Indian Affairs Facilities_Operations and Maintenance (C)						X
15.051 Endangered Species on Indian Lands (C,K,L)						X
15.052 Litigation Support for Indian Rights (C)						X
15.053 Attorney Fees_Indian Rights (C)						X
15.058 Indian Post Secondary Schools (M)						X
15.059 Indian Graduate Student Scholarships (B)						X
15.061 Indian Job Placement_United Sioux Tribes Development Corporation (D,K)						X
15.062 Replacement and Repair of Indian Schools (C)						X
15.114 Indian Education_Higher Education Grant Program (B)	X					X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
15.124 Indian Loans_Economic Development (F)						X
15.130 Indian Education_Assistance to Schools (C)				X		X
15.141 Indian Housing Assistance (B,L)	X					X
15.144 Indian Child Welfare Act_Title II Grants (B)						X
15.146 Ironworker Training Program (B)						X
15.147 Tribal Courts_Trust Reform Initiative (B)						X
15.148 Tribal Energy Development Capacity Grants (C)						X
15.149 FOCUS on Student Achievement Project (B)						X
15.150 Juvenile Detention Education (B)						X
15.151 Education Program Enhancements (B)						X
15.214 Non-Sale Disposals of Mineral Material (H)			X	X		
15.222 Cooperative Inspection Agreements with States and Tribes (B)				X		X
15.224 Cultural Resource Management (B,I,J,K,L,M,N)	X	X	X	X	X	X
15.225 Recreation Resource Management (B,I,J,K,L,M)	X	X	X	X	X	X
15.227 Distribution of Receipts to State and Local Governments (C,D)		X		X		
15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance (B,I,J,K,L,M)		X	X	X		
15.229 Wild Horse and Burro Resource Management (B,I,J,K,L,M)	X	X	X	X	X	X
15.230 Invasive and Noxious Plant Management (B,K,M)		X		X		
15.231 Fish, Wildlife and Plant Conservation Resource Management (B,I,J,K,L,M)	X	X	X	X	X	X
15.232 Wildland Fire Research and Studies Program (B)	X	X	X	X	X	X
15.233 Forests and Woodlands Resource Management (B,K,M)	X	X	X	X	X	X
15.234 Secure Rural Schools and Community Self-Determination (B)		X	X	X		
15.235 Southern Nevada Public Land Management (B)		X				
15.236 Environmental Quality and Protection Resource Management (B,K,L,M)	X	X	X	X	X	X
15.237 Rangeland Resource Management (B,K,M)	X	X	X	X	X	X
15.238 Challenge Cost Share (B,I,K,M)	X	X	X	X	X	X
15.239 Management Initiatives (B,I,K,M)	X	X	X	X	X	X
15.240 Helium Resource Management (B)			X			
15.241 Indian Self-Determination Act Contracts, Grants and Cooperative Agreements (B,I,M)						X
15.242 National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)		X		X		X
15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)				X		
15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)		X		X		X
15.253 Not-for-Profit AMD Reclamation (B)						
15.254 Summer Intern and Year-Long OSM/VISTA Watershed Support (C)			X			
15.255 Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation (B)		X	X	X		X
15.407 Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (B,K)	X	X	X	X		
15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)						
15.426 Coastal Impact Assistance Program (CIAP) (A)						
15.429 State Select (C)						
15.430 8(g) State Coastal Zone (C)						
15.431 Alaska State Select (C)						
15.432 California Refuge Account (C)						
15.433 Flood Control Act Lands (D)						
15.434 Geothermal Resources (C)						



# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
15.435	GoMESA (C)					
15.436	Late Disbursement Interest (D)					
15.437	Minerals Leasing Act (C)					
15.438	National Forest Acquired Lands (C)					
15.439	National Petroleum Reserve - Alaska (C)					
15.440	South Half of the Red River (C)					
15.504	Water Reclamation and Reuse Program (A)			X		
15.506	Water Desalination Research and Development Program (B)		X	X		X
15.507	WaterSMART (Sustaining and Manage America's Resources for Tomorrow) (B)			X		
15.508	Providing Water to At-Risk Natural Desert Terminal Lakes (B)		X	X		X
15.509	Colorado River Basin Salinity Control Program (B)	X	X	X		X
15.510	Colorado Ute Indian Water Rights Settlement Act (B,C)		X	X		
15.511	Cultural Resources Management (B)		X	X		X
15.512	Central Valley Project Improvement Act, Title XXXIV (B)		X	X		
15.513	Dutch John Federal Property and Disposition Assistance Act (B)			X		
15.514	Reclamation States Emergency Drought Relief (B,J,K)					
15.516	Fort Peck Reservation Rural Water System (B)					X
15.517	Fish and Wildlife Coordination Act (B)		X	X		X
15.518	Garrison Diversion Unit (B)		X			X
15.519	Indian Tribal Water Resources Development, Management, and Protection (B)		X			X
15.520	Lewis and Clark Rural Water System (B)					
15.521	Lower Rio Grande Valley Water Resources Conservation and Improvement (B)			X		
15.522	Mni Wiconi Rural Water Supply Project (B)					X
15.523	Perkins County Rural Water System (B)			X		
15.524	Recreation Resources Management (B)		X	X		
15.525	Rocky Boy's/North Central Montana Regional Water System (B)					X
15.526	San Gabriel Basin Restoration Project (B)					
15.527	San Luis Unit, Central Valley Project (B)		X	X		X
15.528	St. Mary Storage Unit Facilities Rehabilitation Project (B)			X		X
15.529	Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)		X	X		X
15.530	Water Conservation Field Services Program (WCFSP) (B)		X	X		
15.531	Yakima River Basin Water Enhancement Project (YRBWEP) (B)		X	X		X
15.532	Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (B)		X	X		X
15.533	California Water Security and Environmental Enhancement (B)			X		
15.534	Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)					X
15.535	Upper Colorado River Basin Fish and Wildlife Mitigation Program. (B)			X		X
15.536	Deschutes River Conservancy (DRC) (B)					
15.537	Middle Rio Grande Endangered Species Collaborative Program (B)					X
15.538	Lower Colorado River Multi-Species Conservation Program. (B)	X	X	X	X	X
15.539	Equus Beds Division Aquifer Storage Recharge Project (B)		X	X		
15.540	Lake Mead/Las Vegas Wash Program (B)					
15.541	Colorado River Basin Projects Act of 1968 (B)		X			
15.542	Arizona Water Settlement Act of 2004 (B)		X			X
15.543	Lake Tahoe Regional Wetlands Development Program (B)		X	X		X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
15.544 Platte River Recovery Implementation Program (B)						
15.545 Bunker Hill Groundwater Basin, Riverside-Corona Feeder Project (B)		X				
15.546 Youth Conservation Program (B)		X	X	X		X
15.547 San Jacinto Basin Restoration Fund (B)						
15.548 Reclamation Rural Water Supply Program (B)		X		X		X
15.549 Integrated Regional Water Plan for the Central Valley of California (B)						
15.550 Increasing Public Awareness of Recreational Opportunities at Reclamation Reservoirs for Physically Challenged and Disadvantaged Children (B)	X					X
15.551 Madera Water Supply Enhancement Project (B)						
15.605 Sport Fish Restoration Program (A)				X		
15.608 Fish and Wildlife Management Assistance (B)				X		X
15.611 Wildlife Restoration and Basic Hunter Education (A)				X		
15.614 Coastal Wetlands Planning, Protection and Restoration Act (B)				X		
15.615 Cooperative Endangered Species Conservation Fund (B)				X		
15.616 Clean Vessel Act (B)				X		
15.619 Rhinoceros and Tiger Conservation Fund (B)		X	X	X		
15.620 African Elephant Conservation Fund (B)	X	X	X	X	X	X
15.621 Asian Elephant Conservation Fund (B)		X	X	X		
15.622 Sportfishing and Boating Safety Act (B)				X		
15.623 North American Wetlands Conservation Fund (B)				X		
15.625 Wildlife Conservation and Restoration (A)				X	X	
15.626 Enhanced Hunter Education and Safety Program (A)				X		
15.628 Multistate Conservation Grant Program (B)				X		
15.629 Great Apes Conservation Fund (B)		X	X	X		
15.630 Coastal Program (B)	X	X	X	X		X
15.631 Partners for Fish and Wildlife (B)						X
15.633 Landowner Incentive Program (B)				X	X	
15.634 State Wildlife Grants (A,B)				X		
15.635 Neotropical Migratory Bird Conservation (B)	X		X	X		
15.636 Alaska Subsistence Management (B)	X		X	X		X
15.637 Migratory Bird Joint Ventures (B)		X	X	X		X
15.639 Tribal Wildlife Grants Program (B)						X
15.640 Wildlife Without Borders- Latin America and the Caribbean (B)		X	X	X		
15.641 Wildlife Without Borders-Mexico (B)		X	X	X		
15.642 Challenge Cost Share (B)		X	X	X		
15.643 Alaska Migratory Bird Co-Management Council (B)		X	X			X
15.644 Federal Junior Duck Stamp Conservation and Design (B)	X	X	X			
15.645 Marine Turtle Conservation Fund (B)						
15.647 Migratory Bird Conservation (B,C)		X		X		X
15.648 Central Valley Project Improvement (CVPI) Anadromous Fish Restoration Program (AFRP) (B)		X	X	X		
15.649 Service Training and Technical Assistance (Generic Training) (B)						
15.650 Research Grants (Generic) (B)						
15.651 Wildlife Without Borders-Africa Program (B)		X	X	X		
15.652 Undesirable/Noxious Plant Species (B)	X	X	X	X		
15.653 National Outreach and Communication Program (B)	X	X	X	X	X	X
15.654 Visitor Facility Enhancements - Refuges and Wildlife (B)	X	X	X	X		
15.655 Migratory Bird Monitoring, Assessment and Conservation (B,C)		X	X	X		X
15.656 Recovery Act Funds - Habitat Enhancement, Restoration and Improvement. (B)	X	X	X	X	X	X
15.657 Endangered Species Conservation Recovery						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Implementation Funds (B)						
15.658 Natural Resource Damage Assessment, Restoration and Implementation (B)	X	X	X	X	X	X
15.659 National Wildlife Refuge Fund (D)		X				
15.660 Endangered Species - Candidate Conservation Action Funds (B)	X	X	X	X	X	X
15.661 Lower Snake River Compensation Plan (B)				X		X
15.662 Great Lakes Restoration (B)						
15.663 National Fish and Wildlife Foundation (B)	X	X	X	X	X	X
15.664 Fish and Wildlife Coordination and Assistance Programs (B)						
15.665 National Wetlands Inventory (B)	X	X	X	X	X	X
15.666 Endangered Species Conservation-Wolf Livestock Loss Compensation and Prevention (B)						
15.667 Highlands Conservation Program (B)						
15.668 Coastal Impact Assistance Program (A)						
15.669 Cooperative Landscape Conservation (B)	X	X	X			X
15.670 Adaptive Science (B)	X	X	X			X
15.805 Assistance to State Water Resources Research Institutes (A,B)				X		
15.807 Earthquake Hazards Reduction Program (B)	X	X	X	X		
15.808 U.S. Geological Survey_ Research and Data Collection (B)		X	X	X		
15.809 National Spatial Data Infrastructure Cooperative Agreements Program (B)		X	X	X		X
15.810 National Cooperative Geologic Mapping Program (B)				X		
15.811 Gap Analysis Program (B)		X	X	X		
15.812 Cooperative Research Units Program (B)						
15.813 Cooperative Research Units Training Program (B)		X		X		
15.814 National Geological and Geophysical Data Preservation Program (B)				X		
15.815 National Land Remote Sensing_Education Outreach and Research (B)		X	X	X		
15.816 Minerals Resources External Research Program (B)		X	X	X		
15.817 National Geospatial Program: Building The National Map (B)		X	X	X	X	X
15.818 Volcano Hazards Program Research and Monitoring. (B)		X		X		
15.819 Energy Cooperatives to Support the National Coal Resources Data System (NCRDS) (B)			X	X		
15.820 National Climate Change and Wildlife Science Center (B)			X			
15.875 Economic, Social, and Political Development of the Territories (B,D)						
15.904 Historic Preservation Fund Grants-In-Aid (A,B)			X	X		
15.915 Technical Preservation Services (J,K,L)	X	X	X	X		
15.916 Outdoor Recreation_Acquisition, Development and Planning (B)		X		X		X
15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (H)		X		X	X	
15.921 Rivers, Trails and Conservation Assistance (K)		X		X		
15.922 Native American Graves Protection and Repatriation Act (B)		X		X		X
15.923 National Center for Preservation Technology and Training (B)		X	X	X		X
15.926 American Battlefield Protection (B)		X	X	X		X
15.927 Hydropower Recreation Assistance (K)				X		
15.928 Civil War Battlefield Land Acquisition Grants (B)		X				
15.929 Save America's Treasures (B)		X	X	X		X
15.930 Chesapeake Bay Gateways Network (B)	X	X	X	X	X	X
15.931 Conservation Activities by Youth Service Organizations (B)		X		X		
15.932 Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs). (B)		X	X	X		X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
15.933 Preservation of Japanese American Confinement Sites (B)		X	X	X		X
15.934 Abandoned Mine Hazard Mitigation (B,C)	X	X	X	X	X	X
15.935 National Trails System Projects (B)	X	X		X		X
15.936 Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (C)						
15.937 Redwood National Park Cooperative Management with the State of California (B,H,I,K,L,M)						
15.939 National Heritage Area Federal Financial Assistance (C)		X	X			
15.940 New Bedford Whaling National Historic Park Cooperative Management (C)		X				
15.941 Mississippi National River and Recreation Area State and Local Assistance (B)		X				
15.942 Environmental Education and Conservation - North Cascades Bioregion (C,J)						
15.943 Challenge Cost Share (C)	X	X	X	X		X
15.944 Natural Resource Stewardship (B,C)	X	X	X	X		
15.945 Cooperative Research and Training Programs Resources of the National Park System (B,C,I,L,M)	X	X	X			X
15.946 Cultural Resources Management (B,C)		X	X			X
15.947 Boston Harbor Islands Partnership (B)			X			
15.948 National Fire Plan- Wildland Urban Interface Community Fire Assistance (B,I,J,K,L)		X	X			
15.949 National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)		X				X
15.978 Upper Mississippi River System Long Term Resource Monitoring Program (B)		X		X		

## DEPARTMENT OF JUSTICE

16.012 Alcohol, Tobacco, and Firearms_Training Assistance (M)		X		X		
16.013 Violence Against Women Act Court Training and Improvement Grants (B)		X		X		X
16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B)		X		X		X
16.016 Culturally and Linguistically Specific Services Program (B)		X				
16.017 Sexual Assault Services Formula Program (A,B)		X		X		
16.018 Services to Advocate for and Respond to Youth (B)			X			X
16.019 Tribal Registry (B)		X				X
16.020 Children and Youth Exposed (B)			X			X
16.300 Law Enforcement Assistance_FBI Advanced Police Training (M)	X	X		X		
16.301 Law Enforcement Assistance_FBI Crime Laboratory Support (J,M)		X		X		
16.302 Law Enforcement Assistance_FBI Field Police Training (M)		X		X		
16.303 Law Enforcement Assistance_FBI Fingerprint Identification (J)		X		X		
16.304 Law Enforcement Assistance_National Crime Information Center (J)				X		
16.305 Law Enforcement Assistance_Uniform Crime Reports (L)	X	X		X		
16.307 Combined DNA Index System (B)		X		X		
16.309 Law Enforcement Assistance_National Instant Criminal Background Check System (J)	X	X	X	X	X	X
16.524 Legal Assistance for Victims (B)			X	X		
16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)				X		
16.526 OVW Technical Assistance Initiative (B)			X			
16.527 Supervised Visitation, Safe Havens for Children (B)	X	X	X	X		X
16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)	X	X	X	X		X
16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)		X	X	X		X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
16.556 State Domestic Violence and Sexual Assault Coalitions (A)				X		
16.557 Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (B)			X			
16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments (B)						X
16.588 Violence Against Women Formula Grants (A)		X		X		
16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)	X	X	X	X		X
16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program (B)		X	X	X		X
16.601 Corrections_Training and Staff Development (B,J,L,M)	X	X	X	X		
16.602 Corrections_Research and Evaluation and Policy Formulation (B,J,L)	X	X	X	X		
16.603 Corrections_Technical Assistance/Clearinghouse (B,J,L)	X	X	X	X		
16.684 Supporting Teens through Education and Protection Act of 2005 (STEP Act) (B)		X	X	X	X	X
16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)		X		X		X
16.805 Recovery Act Transitional Housing (B)		X		X		X
16.806 Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments (B)						X

## DEPARTMENT OF LABOR

17.002 Labor Force Statistics (B,L)	X	X	X	X	X	X
17.003 Prices and Cost of Living Data (L)	X	X	X	X	X	X
17.004 Productivity and Technology Data (L)	X	X	X	X	X	X
17.005 Compensation and Working Conditions (B,L)	X	X	X	X	X	X
17.201 Registered Apprenticeship and Other Training (B,L,M)	X					X
17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)					X	
17.225 Unemployment Insurance (A,D)						
17.235 Senior Community Service Employment Program (A,B)			X	X		
17.245 Trade Adjustment Assistance (A)		X				
17.258 WIA Adult Program (A)				X	X	
17.259 WIA Youth Activities (A)		X		X		
17.260 WIA Dislocated Workers (A,B)				X	X	
17.261 WIA Pilots, Demonstrations, and Research Projects (B)		X	X	X		
17.264 National Farmworker Jobs Program (A)		X		X		
17.265 Native American Employment and Training (A)		X				X
17.267 Incentive Grants - WIA Section 503 (B)				X		
17.268 H-1B Job Training Grants (B)			X			
17.270 Reintegration of Ex-Offenders (B)		X	X	X	X	X
17.271 Work Opportunity Tax Credit Program (WOTC) (A)				X		
17.272 Permanent Labor Certification for Foreign Workers (J)					X	
17.273 Temporary Labor Certification for Foreign Workers (A,J,O)					X	
17.274 Youthbuild (B)		X	X			X
17.275 Program of Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors (B)		X		X		
17.276 Health Care Tax Credit (HCTC) National Emergency Grants (NEGs) (B)				X		
17.277 Workforce Investment Act (WIA) National Emergency Grants (B)		X			X	
17.278 WIA Dislocated Worker Formula Grants (A)				X	X	
17.279 Green Jobs Innovation Fund Grants (B)			X	X		
17.280 Workforce Investment Act (WIA) Dislocated Worker National Reserve Demonstration Grants (B)		X	X	X	X	
17.281 Workforce Investment Act (WIA) Dislocated Worker						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
National Reserve Technical Assistance and Training (B)						
17.282 Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants (B)		X	X	X		
17.283 Workforce Innovation Fund (B)		X				
17.302 Longshore and Harbor Workers' Compensation (D)	X					
17.307 Coal Mine Workers' Compensation (D)	X					
17.310 Energy Employees Occupational Illness Compensation (D)	X					
17.502 Occupational Safety and Health_Susan Harwood Training Grants (B)			X			
17.503 Occupational Safety and Health_State Program (B)				X		
17.504 Consultation Agreements (B)				X		
17.505 OSHA Data Initiative (B)				X		
17.600 Mine Health and Safety Grants (B)				X		
17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)	X	X	X	X	X	X
17.602 Mine Health and Safety Education and Training (M)	X	X	X	X	X	X
17.603 Brookwood-Sago Grant (B)			X	X		
17.604 Safety and Health Grants (B)			X	X		
17.700 Women's Bureau (K)	X					
17.720 Disability Employment Policy Development (B)		X	X	X		X
17.801 Disabled Veterans' Outreach Program (DVOP) (A)					X	
17.802 Veterans' Employment Program (B)		X		X		
17.804 Local Veterans' Employment Representative Program (A)					X	
17.805 Homeless Veterans Reintegration Project (B)		X		X		
17.807 Transition Assistance Program (B)				X		

## U.S. DEPARTMENT OF STATE

19.009 Academic Exchange Programs - Undergraduate Programs (B)			X			
19.010 Academic Exchange Programs - Humphrey Fellowship Program (B)			X			
19.011 Academic Exchange Programs - Special Academic Exchange Programs (B)			X			
19.012 Professional and Cultural Exchange Programs - Special Professional and Cultural Programs (B)			X			
19.014 One-Time International Exchange Grant Program (B)			X			
19.015 Cultural, Technical and Educational Centers (B)			X			
19.023 Overseas Schools Program (B)						
19.024 Soft Target Program for Overseas Schools (B)						
19.026 Global Peace Operations Initiative (B)			X			
19.087 International Fisheries Commissions (A)						
19.123 EUR/ACE Humanitarian Assistance Program (B)			X			
19.124 U.S. Department of State (B)			X			
19.221 Near East Regional Democracy (B)		X	X	X		
19.300 Program for Study of Eastern Europe and the Independent States of the Former Soviet Union (B)			X			
19.400 Academic Exchange Programs - Graduate Students (B)			X			
19.401 Academic Exchange Programs - Scholars (B)			X			
19.402 Professional and Cultural Exchange Programs - International Visitor Leadership Program (B)			X			
19.408 Academic Exchange Programs - Teachers (B)			X			
19.415 Professional and Cultural Exchange Programs - Citizen Exchanges (B)		X	X	X		
19.421 Academic Exchange Programs - English Language Programs (B)			X			
19.432 Academic Exchange Programs - Educational Advising and Student Services (B)			X			
19.440 IIP Individual Grants (B)	X	X	X	X	X	X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
19.450 ECA Individual Grants (B)	X	X	X	X	X	X
19.500 Middle East Partnership Initiative (MEPI) (B)		X	X	X		
19.515 Contributions to International Organizations for Overseas Assistance (B,C)						
19.600 Bureau of Near Eastern Affairs (NEA) (B)						
19.666 EUR/ACE National Endowment for Democracy Small Grants (B)			X			
19.800 Weapons Removal and Abatement (B)			X			
19.801 Office of Global Women's Issues (B)			X			
19.878 EUR-Other (B)						
19.901 Export Control and Related Border Security (B)			X	X		
<b>DEPARTMENT OF TRANSPORTATION</b>						
20.106 Airport Improvement Program (B,K)					X	X
20.108 Aviation Research Grants (B,I)				X		
20.109 Air Transportation Centers of Excellence (B,I,J)						
20.200 Highway Research and Development Program (B)				X		
20.205 Highway Planning and Construction (A,B)				X		
20.215 Highway Training and Education (B,M)		X		X		
20.218 National Motor Carrier Safety (A)				X		
20.219 Recreational Trails Program (A)						
20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)		X		X		
20.231 Performance and Registration Information Systems Management (B)				X		
20.232 Commercial Driver's License Program Improvement Grant (B)	X	X	X	X	X	X
20.233 Border Enforcement Grants (B)				X		
20.234 Safety Data Improvement Program (B)						
20.235 Commercial Motor Vehicle Operator Training Grants (B)		X	X	X		
20.237 Commercial Vehicle Information Systems and Networks (B)						
20.238 Commercial Drivers License Information System (CDLIS) Modernization Grant (B)				X		
20.239 Motor Carrier Research and Technology Programs (B)	X			X		
20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)				X		
20.301 Railroad Safety (B)		X				
20.313 Railroad Research and Development (B)						
20.314 Railroad Development (B)		X		X		
20.315 National Railroad Passenger Corporation Grants (B)						
20.316 Railroad Rehabilitation and Improvement Financing Program (E,F)				X		
20.317 Capital Assistance to States - Intercity Passenger Rail Service (B)				X		
20.318 Maglev Project Selection Program - SAFETEA-LU (B)				X		
20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants (B)				X		
20.320 Rail Line Relocation and Improvement (B)						
20.321 RAILROAD SAFETY TECHNOLOGY GRANTS (B)						
20.500 Federal Transit_Capital Investment Grants (A,B)		X	X	X		X
20.505 Metropolitan Transportation Planning (A)				X		
20.507 Federal Transit_Formula Grants (A)		X		X		
20.509 Formula Grants for Other Than Urbanized Areas (A)		X	X	X		
20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)		X	X	X		
20.514 Public Transportation Research (B,L,M)		X	X	X		
20.515 State Planning and Research (A)						
20.516 Job Access_Reverse Commute (B)		X	X	X		
20.518 Capital and Training Assistance Program for Over-the-Road						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Bus Accessibility (B)						
20.519 Clean Fuels (B)		X		X		
20.520 Paul S. Sarbanes Transit in the Parks (B)		X		X		
20.521 New Freedom Program (A)		X		X		
20.522 Alternatives Analysis (B)		X		X		
20.523 Capital Assistance Program for Reducing Energy Consumption and Greenhouse Gas Emissions (B)		X				X
20.600 State and Community Highway Safety (A)				X		X
20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)					X	
20.602 Occupant Protection Incentive Grants (B)				X	X	
20.607 Alcohol Open Container Requirements (B)				X		
20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)				X		
20.609 Safety Belt Performance Grants (B)				X		
20.610 State Traffic Safety Information System Improvement Grants (B)				X		
20.611 Incentive Grant Program to Prohibit Racial Profiling (A)					X	
20.612 Incentive Grant Program to Increase Motorcyclist Safety (A)					X	
20.613 Child Safety and Child Booster Seats Incentive Grants (B)				X		
20.614 National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants (B)				X		
20.700 Pipeline Safety Program Base Grants (A)						
20.701 University Transportation Centers Program (B)			X			
20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)					X	X
20.710 Technical Assistance Grants (B)						
20.720 State Damage Prevention Program Grants (B)				X		
20.721 PHMSA Pipeline Safety Program One Call Grant (B)						
20.723 PHMSA Pipeline Safety Research and Development Other Transaction Agreements (B)	X	X	X		X	X
20.761 Biobased Transportation Research (B)			X			
20.762 Research Grants (B)			X			
20.764 Hydrogen Storage Research and Development (B)			X			
20.802 Federal Ship Financing Guarantees (F)	X					
20.803 Maritime War Risk Insurance (G)						
20.806 State Maritime Schools (C,I)				X		
20.807 U.S. Merchant Marine Academy (M)	X					
20.808 Capital Construction Fund (C)	X					
20.812 Construction Reserve Fund (C)	X	X	X	X	X	X
20.813 Maritime Security Fleet Program (C)						
20.814 Assistance to Small Shipyards (C)		X		X		
20.816 Americas Marine Highway Grants (B)		X	X	X		X
20.900 Transportation_Consumer Affairs (N)	X	X	X	X	X	X
20.901 Payments for Essential Air Services (C)						
20.904 Bonding Assistance Program (C,G,J)						
20.905 Disadvantaged Business Enterprises_Short Term Lending Program (F)						
20.907 Entrepreneurial Training and Technical Assistance Women and Girls Program (B)			X			
20.910 Assistance to small and disadvantaged businesses (B)			X			
20.930 Payments for Small Community Air Service Development (B)		X				
20.931 Transportation Planning, Research and Education (B)				X		
20.932 Surface Transportation _ Discretionary Grants for Capital Investment. (B)		X			X	
20.933 National Infrastructure Investments (B)		X				



# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
<b>DEPARTMENT OF THE TREASURY</b>						
21.003 Taxpayer Service (K)	X	X	X	X	X	X
21.004 Exchange of Federal Tax Information With State Tax Agencies (J)						
21.006 Tax Counseling for the Elderly (B)			X			
21.008 Low Income Taxpayer Clinics (B)						
21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program (B)		X				X
21.010 Financial Education and Counseling Pilot Program (B)						
21.011 Capital Magnet Fund (B)						
21.012 Native Initiatives (B)						
21.013 Qualifying Therapeutic Discovery Project Credit (B)						
21.020 Community Development Financial Institutions Program (B)						
21.021 Bank Enterprise Award Program (B)						
<b>APPALACHIAN REGIONAL COMMISSION</b>						
23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)			X			
23.002 Appalachian Area Development (B)		X		X		
23.003 Appalachian Development Highway System (B)				X		
23.009 Appalachian Local Development District Assistance (B)		X				
23.011 Appalachian Research, Technical Assistance, and Demonstration Projects (B)	X	X	X	X	X	X
<b>EQUAL EMPLOYMENT OPPORTUNITY COMMISSION</b>						
30.001 Employment Discrimination_Title VII of the Civil Rights Act of 1964 (K,N,O)	X	X	X	X	X	X
30.005 Employment Discrimination_Private Bar Program (J)	X					
30.008 Employment Discrimination_Age Discrimination in Employment (K,N,O)	X					
30.010 Employment Discrimination Equal Pay Act (K,N,O)	X	X	X	X	X	X
30.011 Employment Discrimination_Title I of The Americans with Disabilities Act (K,N,O)	X	X	X	X	X	X
30.013 Employment Discrimination-Title II of the Genetic Information Nondiscrimination Act of 2008 (K,N,O)	X	X	X	X	X	X
<b>FEDERAL MARITIME COMMISSION</b>						
33.001 Shipping_Dispute Resolution and Investigation of Complaints (N)	X	X	X	X	X	X
<b>GENERAL SERVICES ADMINISTRATION</b>						
39.002 Disposal of Federal Surplus Real Property (H)	X	X	X	X		
39.003 Donation of Federal Surplus Personal Property (H)		X	X	X		X
39.007 Sale of Federal Surplus Personal Property (H)	X	X	X	X	X	X
<b>NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</b>						
43.001 Science (B,C,I,M)	X	X	X	X	X	X
43.002 Aeronautics (L)	X	X	X	X	X	X
43.003 Exploration (B,C,I,J,L,M)	X	X	X	X	X	X
43.007 Space Operations (B)	X	X	X	X	X	X
43.008 Education (B)	X	X	X	X	X	X
43.009 Cross Agency Support (B)	X	X	X	X	X	X
43.010 Construction & Environmental Compliance & Remediation (B)	X	X	X	X	X	X
43.011 Office of Inspector General (B,C,I,J,K,L,N)	X	X	X	X	X	X
<b>FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES</b>						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
45.201 Arts and Artifacts Indemnity (G)		X	X	X		
<b>NATIONAL ENDOWMENT FOR THE ARTS</b>						
45.024 Promotion of the Arts_Grants to Organizations and Individuals (B)	X	X	X	X		X
45.025 Promotion of the Arts_Partnership Agreements (B,K)				X		
<b>NATIONAL ENDOWMENT FOR THE HUMANITIES</b>						
45.129 Promotion of the Humanities_Federal/State Partnership (A)						
45.130 Promotion of the Humanities_Challenge Grants (B)			X			
45.149 Promotion of the Humanities_Division of Preservation and Access (B)			X			
45.160 Promotion of the Humanities_Fellowships and Stipends (B)	X					
45.161 Promotion of the Humanities_Research (B)			X			
45.162 Promotion of the Humanities_Teaching and Learning Resources and Curriculum Development (B)			X			
45.163 Promotion of the Humanities_Professional Development (B)			X			
45.164 Promotion of the Humanities_Public Programs (B)			X			
45.168 Promotion of the Humanities_We the People (B)						
45.169 Promotion of the Humanities_Office of Digital Humanities (B)			X			
<b>NATIONAL LABOR RELATIONS BOARD</b>						
46.001 Labor-Management Relations (J,N)	X		X			
<b>NATIONAL SCIENCE FOUNDATION</b>						
47.041 Engineering Grants (B)	X	X	X	X		
47.049 Mathematical and Physical Sciences (B)	X	X	X			
47.050 Geosciences (B)	X		X	X		
47.070 Computer and Information Science and Engineering (B)			X	X		
47.074 Biological Sciences (B)		X	X			
47.075 Social, Behavioral, and Economic Sciences (B)		X	X			
47.076 Education and Human Resources (B)		X	X			
47.078 Polar Programs (B)		X				
47.079 International Science and Engineering (OISE) (B)		X	X			
47.080 Office of Cyberinfrastructure (B)		X	X			
47.081 Office of Experimental Program to Stimulate Competitive Research (B)		X	X			
<b>RAILROAD RETIREMENT BOARD</b>						
57.001 Social Insurance for Railroad Workers (D)	X					
57.005 Economic Recovery Payments (D)						
<b>SMALL BUSINESS ADMINISTRATION</b>						
59.059 Congressional Grants (B)		X	X	X	X	X
59.060 Small Business Teaming Pilot Program (B)						
59.061 State Trade and Export Promotion Pilot Grant Program (B)				X	X	
<b>DEPARTMENT OF VETERANS AFFAIRS</b>						
64.027 Post-9/11 Veterans Educational Assistance (C)						
64.028 Post-9/11 Veterans Educational Assistance (C)	X					
64.030 Life Insurance for Veterans Face Amount of New Life Insurance Policies Issued (G)	X	X	X	X	X	X
64.031 Life Insurance for Veterans - Direct Payments for Insurance (G)	X	X	X	X	X	X
64.032 Montgomery GI Bill Selected Reserve; Reserve Educational Assistance Program (C)	X					

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
64.033 VA Supportive Services for Veteran Families Program (B)						
64.034 VA Assistance to United States Paralympic Integrated Adaptive Sports Program (B)			X			
<b>ENVIRONMENTAL PROTECTION AGENCY</b>						
66.001 Air Pollution Control Program Support (B)		X		X		X
66.032 State Indoor Radon Grants (B)				X		X
66.033 Ozone Transport Commission (B)		X		X		
66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)		X	X	X		X
66.035 Community Action for a Renewed Environment (CARE) Program (B)		X	X	X		X
66.037 Internships, Training and Workshops for the Office of Air and Radiation (B)		X	X	X		X
66.038 Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B)						X
66.039 National Clean Diesel Emissions Reduction Program (B)		X	X	X		X
66.040 State Clean Diesel Grant Program (A)				X		
66.041 Climate Showcase Communities Grant Program (B)		X				X
66.042 Temporally Integrated Monitoring of Ecosystems (TIME) and Long-Term Monitoring (LTM) Program (B)	X	X	X	X		X
66.050 Potomac Highlands Implementation Grants (B)		X	X	X		
66.110 Healthy Communities Grant Program (B)		X	X	X		X
66.113 Region 3 Environmental Priority Projects (B)		X	X	X		
66.119 West Coast Estuaries Initiative (B)		X				X
66.120 Puget Sound Watershed Management Assistance (B)		X				X
66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (B)						X
66.122 Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (B)		X	X			X
66.123 Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (B)		X	X			X
66.124 Coastal Wetlands Planning Protection and Restoration Act (B)		X		X		
66.125 Lake Pontchartrain Basin Restoration Program (PRP) (B)		X				
66.126 The San Francisco Bay Water Quality Improvement Fund (B)		X	X			
66.127 Southeastern U.S. Regional Targeted Watershed Initiative (B)		X	X	X		X
66.202 Congressionally Mandated Projects (B)		X	X	X		X
66.203 Environmental Finance Center Grants (B)			X			
66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)		X	X	X		X
66.309 Surveys, Studies, Investigations, Training and Special Purpose Activities Relating to Environmental Justice (B)			X	X		X
66.310 Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)			X	X		
66.313 International Compliance and Enforcement Projects (B)		X	X	X		X
66.418 Construction Grants for Wastewater Treatment Works (B)		X		X		X
66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)				X		X
66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)	X	X	X	X		X
66.432 State Public Water System Supervision (A)				X		X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
66.433 State Underground Water Source Protection (A)				X		X
66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)	X	X	X	X		X
66.437 Long Island Sound Program (B)			X	X		
66.439 Targeted Watersheds Grants (B)		X	X	X		X
66.440 Urban Waters Small Grants (B)		X	X	X		X
66.454 Water Quality Management Planning (A)				X		
66.456 National Estuary Program (B)	X		X	X		
66.458 Capitalization Grants for Clean Water State Revolving Funds (A)				X		X
66.460 Nonpoint Source Implementation Grants (A)				X		X
66.461 Regional Wetland Program Development Grants (B)		X		X		X
66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)			X			X
66.463 Water Quality Cooperative Agreements (B)	X		X	X		X
66.466 Chesapeake Bay Program (B)		X	X	X		
66.467 Wastewater Operator Training Grant Program (B)			X	X		X
66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)				X		X
66.469 Great Lakes Program (B,I,L)		X	X	X		X
66.471 State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)				X		
66.472 Beach Monitoring and Notification Program Implementation Grants (A)		X		X		X
66.473 Direct Implementation Tribal Cooperative Agreements (B)						X
66.474 Water Protection Grants to the States (A)				X		X
66.475 Gulf of Mexico Program (B)		X	X	X		X
66.478 Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)		X	X			
66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)				X		X
66.480 Assessment and Watershed Protection Program Grants (B)	X	X	X	X		X
66.481 Lake Champlain Basin Program (B)			X	X		
66.508 Senior Environmental Employment Program (B)						
66.509 Science To Achieve Results (STAR) Research Program (B)		X	X	X		X
66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)	X	X	X	X		X
66.511 Office of Research and Development Consolidated Research/Training/Fellowships (B)	X	X	X	X		X
66.513 Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (B)	X	X	X	X	X	X
66.514 Science To Achieve Results (STAR) Fellowship Program (B)	X	X	X	X	X	X
66.516 P3 Award: National Student Design Competition for Sustainability (B)			X			
66.517 Regional Applied Research Efforts (RARE) (B)	X	X	X	X		X
66.518 State Senior Environmental Employment Program (B)						
66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support (A)						
66.604 Environmental Justice Small Grant Program (B)			X			X
66.605 Performance Partnership Grants (A,B)				X		X
66.608 Environmental Information Exchange Network Grant Program and Related Assistance (B)				X		X
66.609 Protection of Children from Environmental Health Risks (B)			X	X		X
66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)			X	X		X
66.611 Environmental Policy and Innovation Grants (B)	X	X	X	X		X
66.612 Surveys, Studies, Investigations, Training Demonstrations						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B)						
66.700 Consolidated Pesticide Enforcement Cooperative Agreements (B)				X		X
66.701 Toxic Substances Compliance Monitoring Cooperative Agreements (B)				X		X
66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)				X		X
66.708 Pollution Prevention Grants Program (B)				X		X
66.709 Multi-Media Capacity Building Grants for States and Tribes (B)		X		X		X
66.714 Regional Agricultural IPM Grants (B)				X		X
66.715 Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)						X
66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)	X	X	X	X		X
66.717 Source Reduction Assistance (B)		X	X	X		X
66.718 National Community-Based Lead Outreach and Training Grant Program (B)		X	X			
66.801 Hazardous Waste Management State Program Support (A)				X		
66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)				X		X
66.804 Underground Storage Tank Prevention, Detection and Compliance Program (A)				X		X
66.805 Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)				X		X
66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)	X	X	X	X	X	X
66.808 Solid Waste Management Assistance Grants (B)		X	X	X		X
66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements (B)				X		X
66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)		X		X		X
66.812 Hazardous Waste Management Grant Program for Tribes (B)						X
66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)	X		X	X		X
66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)		X	X	X		X
66.815 Environmental Workforce Development and Job Training Cooperative Agreements (B)		X	X	X		X
66.816 Headquarters and Regional Underground Storage Tanks Program (B)		X		X		X
66.817 State and Tribal Response Program Grants (A)				X		X
66.818 Brownfields Assessment and Cleanup Cooperative Agreements (B)		X	X	X		X
66.926 Indian Environmental General Assistance Program (GAP) (B)						X
66.931 International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs (B)		X	X	X		X
66.940 Environmental Policy and State Sustainability Grants (B)			X	X		X
66.950 National Environmental Education Training Program (B)			X			
66.951 Environmental Education Grants (B)			X	X		
66.952 National Network for Environmental Management Studies Fellowship Program (B)	X	X	X	X	X	X

## NUCLEAR REGULATORY COMMISSION

77.006 U. S. Nuclear Regulatory Commission Nuclear Education			X	X		X
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# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Grant Program (B)						
77.007 U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (B,C)			X	X		X
77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)			X	X		
77.009 U.S. Nuclear Regulatory Commission Office of Research Financial Assistance Program (B)				X		
<b>DEPARTMENT OF ENERGY</b>						
81.003 Granting of Patent Licenses (L)	X	X	X	X	X	X
81.022 Laboratory Equipment Donation Program (B)			X			
81.036 Inventions and Innovations (B,K,L)	X	X	X	X	X	X
81.041 State Energy Program (A,B,L)				X		
81.042 Weatherization Assistance for Low-Income Persons (A,B)		X	X	X		X
81.049 Office of Science Financial Assistance Program (B)		X	X	X		
81.057 University Coal Research (B)			X	X		
81.064 Office of Scientific and Technical Information (L)	X	X	X	X	X	X
81.065 Nuclear Waste Disposal Siting (B,C)		X		X		X
81.079 Regional Biomass Energy Programs (B)			X	X		
81.086 Conservation Research and Development (B)		X		X		
81.087 Renewable Energy Research and Development (B)		X		X		
81.089 Fossil Energy Research and Development (B)	X	X	X	X	X	X
81.104 Office of Environmental Waste Processing (B)		X	X	X		X
81.105 National Industrial Competitiveness through Energy, Environment, and Economics (B)				X		
81.106 Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions (B)				X		X
81.108 Epidemiology and Other Health Studies Financial Assistance Program (B)			X			
81.112 Stewardship Science Grant Program (B)			X	X		
81.113 Defense Nuclear Nonproliferation Research (B)			X	X		
81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B)			X			
81.119 State Energy Program Special Projects (B)				X		
81.121 Nuclear Energy Research, Development and Demonstration (B)		X	X	X		
81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)		X	X	X		
81.123 National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (B)			X	X		
81.124 Predictive Science Academic Alliance Program (B)			X			
81.126 Federal Loan Guarantees for Innovative Energy Technologies (E,F)		X	X	X		
81.127 Energy Efficient Appliance Rebate Program (EEARP) (A)				X		
81.128 Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)				X		
81.129 Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization (B)	X	X	X	X	X	X
81.130 Carbon Capture and Storage-FutureGen 2.0 (B)	X	X	X	X	X	X
81.131 Expand and Extend Clean Coal Power Initiative (B)			X			
81.132 Geologic Sequestration Site Characterization (B)	X		X			
81.133 Geologic Sequestration Training and Research Grant Program (B)			X	X		
81.134 Industrial Carbon Capture and Storage (CCS) Application (B)	X	X	X	X	X	X
81.135 Advanced Research and Projects Agency Energy Financial Assistance Program (B)	X	X	X	X	X	X
81.136 Long-Term Surveillance and Maintenance (B)		X	X	X		X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
81.214 Environmental Monitoring/Cleanup, Cultural and Resource Mgmt., Emergency Response Research, Outreach, Technical Analysis (B)		X	X	X		
<b>DEPARTMENT OF EDUCATION</b>						
84.002 Adult Education - Basic Grants to States (A)		X		X		
84.004 Civil Rights Training and Advisory Services (B)		X	X			
84.007 Federal Supplemental Educational Opportunity Grants (C)			X	X		
84.010 Title I Grants to Local Educational Agencies (A)				X		X
84.011 Migrant Education_State Grant Program (A)				X		
84.013 Title I State Agency Program for Neglected and Delinquent Children and Youth (A)				X		
84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B)			X			
84.016 Undergraduate International Studies and Foreign Language Programs (B)			X	X		
84.017 International Research and Studies (B)	X		X			
84.018 Overseas Programs_Special Bilateral Projects (B)	X					
84.019 Overseas Programs - Faculty Research Abroad (B)			X			
84.021 Overseas Programs - Group Projects Abroad (B)		X	X	X		
84.022 Overseas Programs - Doctoral Dissertation Research Abroad (B)			X			
84.027 Special Education_Grants to States (A)		X		X		
84.031 Higher Education_Institutional Aid (B)			X	X		
84.032 Federal Family Education Loans (F)	X	X	X	X	X	X
84.033 Federal Work-Study Program (C)			X	X		
84.037 Perkins Loan Cancellations (C,D)			X	X		
84.040 Impact Aid_Facilities Maintenance (B)		X				
84.041 Impact Aid (A,B)		X				
84.042 TRIO_Student Support Services (B)		X	X	X		
84.044 TRIO_Talent Search (B)		X	X	X		
84.047 TRIO_Upward Bound (B)			X	X		
84.048 Career and Technical Education -- Basic Grants to States (A)				X		
84.051 Career and Technical Education -- National Programs (B)			X	X		
84.060 Indian Education_Grants to Local Educational Agencies (A)		X				X
84.063 Federal Pell Grant Program (C)	X					
84.066 TRIO_Educational Opportunity Centers (B)		X	X	X		
84.069 Leveraging Educational Assistance Partnership (A)		X		X		
84.083 Women's Educational Equity Program (B)	X	X	X	X		
84.101 Career and Technical Education - Grants to Native Americans and Alaska Natives (B)						X
84.103 TRIO Staff Training Program (B)			X	X		
84.116 Fund for the Improvement of Postsecondary Education (B)		X	X			
84.120 Minority Science and Engineering Improvement (B)			X			
84.126 Rehabilitation Services_Vocational Rehabilitation Grants to States (A)				X		
84.128 Rehabilitation Services_Service Projects (B)		X	X	X		
84.129 Rehabilitation Long-Term Training (B)		X	X	X		
84.132 Centers for Independent Living (B)		X	X	X		
84.133 National Institute on Disability and Rehabilitation Research (B)	X	X	X	X		
84.141 Migrant Education_High School Equivalency Program (B)			X			
84.144 Migrant Education_Coordination Program (B)		X		X		
84.145 Federal Real Property Assistance Program (H)		X		X		
84.149 Migrant Education_College Assistance Migrant Program (B)			X			
84.153 Business and International Education Projects (B)			X			

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)		X	X	X		
84.161 Rehabilitation Services_Client Assistance Program (A)				X		
84.165 Magnet Schools Assistance (B)		X				
84.169 Independent Living_State Grants (A)				X		
84.170 Javits Fellowships (B)	X	X	X	X	X	X
84.173 Special Education_Preschool Grants (A)				X		
84.177 Rehabilitation Services_Independent Living Services for Older Individuals Who are Blind (B)				X		
84.181 Special Education-Grants for Infants and Families (A)				X		
84.184 Safe and Drug-Free Schools and Communities_National Programs (B)		X	X	X		
84.185 Byrd Honors Scholarships (A)				X		
84.186 Safe and Drug-Free Schools and Communities_State Grants (A)				X		
84.187 Supported Employment Services for Individuals with the Most Significant Disabilities (A)				X		
84.191 Adult Education_National Leadership Activities (B,C)			X			
84.196 Education for Homeless Children and Youth (A)				X		
84.200 Graduate Assistance in Areas of National Need (B)			X	X		
84.206 Javits Gifted and Talented Students Education (B)				X		X
84.213 Even Start_State Educational Agencies (A)				X		
84.214 Even Start_Migrant Education (B)				X		
84.215 Fund for the Improvement of Education (B)				X		X
84.217 TRIO_McNair Post-Baccalaureate Achievement (B)			X	X		
84.220 Centers for International Business Education (B)			X	X		X
84.224 Assistive Technology (A)		X		X		
84.229 Language Resource Centers (B)		X		X		
84.234 Projects with Industry (B)			X			
84.235 Rehabilitation Services Demonstration and Training Programs (B)			X	X		
84.240 Program of Protection and Advocacy of Individual Rights (A)		X	X			
84.243 Tech-Prep Education (A)				X		
84.245 Tribally Controlled Postsecondary Career and Technical Institutions (B)						X
84.246 Rehabilitation Short-Term Training (B)		X	X	X		
84.250 Rehabilitation Services_American Indians with Disabilities (B)		X				X
84.256 Territories and Freely Associated States Education Grant Program (B)						
84.258 Even Start_Indian Tribes and Tribal Organizations (B)						X
84.259 Native Hawaiian Career and Technical Education (B)			X			
84.263 Rehabilitation Training_Experimental and Innovative Training (B)			X	X		
84.264 Rehabilitation Training_Continuing Education (B)		X	X	X		
84.265 Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (B)				X		
84.268 Federal Direct Student Loans (E)	X					
84.269 Institute for International Public Policy (B)			X			
84.274 American Overseas Research Centers (B)			X	X		
84.275 Rehabilitation Training_General Training (B)		X	X	X		
84.282 Charter Schools (B)		X	X	X		
84.283 Comprehensive Centers (B)			X			
84.286 Ready to Teach (B)						
84.287 Twenty-First Century Community Learning Centers (A)		X	X	X		
84.293 Foreign Language Assistance (B)		X		X		
84.295 Ready-To-Learn Television (B)						



# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
84.299 Indian Education -- Special Programs for Indian Children (B)		X	X			
84.304 Civic Education - We the People and the Cooperative Education Exchange Program (B)						
84.305 Education Research, Development and Dissemination (B)		X	X			
84.310 Parental Information and Resource Centers (B)		X				
84.315 Capacity Building for Traditionally Underserved Populations (B)			X			
84.318 Educational Technology State Grants (A)				X		X
84.323 Special Education - State Personnel Development (B)				X		
84.324 Research in Special Education (B)		X	X	X		
84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)		X	X	X		
84.326 Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)		X	X	X		
84.327 Special Education_Technology and Media Services for Individuals with Disabilities (B)		X	X	X		
84.328 Special Education_Parent Information Centers (B)						
84.329 Special Education_Studies and Evaluations (B)		X	X	X		
84.330 Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)		X		X		
84.331 Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (A)				X		
84.332 Comprehensive School Reform Demonstration (B)		X		X		
84.333 Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (B)			X			
84.334 Gaining Early Awareness and Readiness for Undergraduate Programs (B)			X	X		
84.335 Child Care Access Means Parents in School (B)		X	X			
84.336 Teacher Quality Partnership Grants (B)		X				
84.337 International Education_Technological Innovation and Cooperation for Foreign Information Access (B)			X			
84.343 Assistive Technology_State Grants for Protection and Advocacy (A)				X		
84.345 Underground Railroad Educational and Cultural Program (B)			X			
84.350 Transition to Teaching (B)		X	X	X		
84.351 Arts in Education (B)			X	X		
84.354 Credit Enhancement for Charter School Facilities (B)		X		X		
84.356 Alaska Native Educational Programs (B)						
84.358 Rural Education (A)		X				
84.359 Early Reading First (B)		X	X			
84.360 High School Graduation Initiative (B)		X		X		
84.361 Voluntary Public School Choice (B)		X	X	X		
84.362 Native Hawaiian Education (B)		X	X	X		
84.363 School Leadership (B)			X	X		
84.364 Improving Literacy Through School Libraries (B)			X	X		
84.365 English Language Acquisition Grants (A)		X		X		
84.366 Mathematics and Science Partnerships (A)				X		
84.367 Improving Teacher Quality State Grants (A)				X		
84.368 Grants for Enhanced Assessment Instruments (B)						
84.369 Grants for State Assessments and Related Activities (A)				X		
84.370 DC School Choice Incentive Program (B)						
84.371 Striving Readers (A,B)		X				
84.372 Statewide Data Systems (B)				X		
84.373 Special Education_Technical Assistance on State Data Collection (B)				X		
84.374 Teacher Incentive Fund (B)		X		X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
84.375 Academic Competitiveness Grants (C)	X					
84.376 National Science and Mathematics Access to Retain Talent (SMART) Grants (C)	X					
84.377 School Improvement Grants (A)				X		
84.378 College Access Challenge Grant Program (A)		X		X		
84.379 Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)		X		X		
84.380 Special Education -- Olympic Education Programs (B)						
84.381 Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B)			X	X		
84.382 Strengthening Minority-Serving Institutions (B)		X				X
84.383 Homeless Education Disaster Assistance Program (A)				X		
84.385 Teacher Incentive Fund, Recovery Act (B)		X		X		
84.390 Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act (A)				X		
84.403 Consolidated Grant to the Outlying Areas (A)						
84.407 Transition Programs for Students with Intellectual Disabilities into Higher Education (B)			X	X		
84.408 Postsecondary Education Scholarships for Veteran's Dependents (C)	X		X			
84.409 Civil Legal Assistance Attorney Student Loan Repayment Program (E)				X		
84.410 Education Jobs Fund (A)						
84.411 Investing in Innovation (i3) Fund (B)		X				
84.412 Race to the Top Early Learning Challenge (B)						

## CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION

85.101 Homeland Security Award (D)	X	X	X	X	X	X
85.102 Christopher Columbus Awards (B)	X					
85.104 Life Sciences Awards (C,D)	X	X	X	X	X	X
85.105 Agriscience Awards (C,D)	X	X	X	X	X	X

## NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

89.001 National Archives Reference Services_Historical Research (I,K,L)	X	X	X	X	X	X
89.003 National Historical Publications and Records Grants (B)		X	X	X		X
89.005 Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (C)		X		X		

## DENALI COMMISSION

90.100 Denali Commission Program (B)		X	X	X		
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## DEPARTMENT OF HEALTH AND HUMAN SERVICES

93.004 Cooperative Agreements to Improve the Health Status of Minority Populations (B)		X	X	X		X
93.006 State and Territorial and Technical Assistance Capacity Development Minority HIV/AIDS Demonstration Program (B)						
93.009 Compassion Capital Fund (B)				X		X
93.010 Community-Based Abstinence Education (CBAE) (B)		X	X	X		X
93.011 National Organizations of State and Local Officials (B)			X			
93.016 Postal Model for Medical Countermeasures Delivery and Distribution (B)		X	X	X		X
93.017 Strengthening the Management and Services of the Women's and Children's Hospitals in Kabul (B)			X			
93.019 Technical Assistance and Provision for Foreign Hospitals						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
and Health Organizations (B)						
93.041 Special Programs for the Aging_Title VII, Chapter 3_Programs for Prevention of Elder Abuse, Neglect, and Exploitation (A)				X		
93.042 Special Programs for the Aging_Title VII, Chapter 2_Long Term Care Ombudsman Services for Older Individuals (A)				X		
93.043 Special Programs for the Aging_Title III, Part D_Disease Prevention and Health Promotion Services (A)				X		
93.044 Special Programs for the Aging_Title III, Part B_Grants for Supportive Services and Senior Centers (A)				X		
93.045 Special Programs for the Aging_Title III, Part C_Nutrition Services (A)				X		
93.047 Special Programs for the Aging_Title VI, Part A, Grants to Indian Tribes_Part B, Grants to Native Hawaiians (B)		X				X
93.048 Special Programs for the Aging_Title IV_and Title II_Discretionary Projects (B)			X			
93.051 Alzheimer's Disease Demonstration Grants to States (B)				X		
93.054 National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (B)						X
93.055 Applied Leadership for Community Health Improvement (B)		X		X	X	X
93.056 Initiative to Educate State and Territorial Officials about Maintaining and Strengthening Public Health in a Changing Environment (B)			X			
93.061 Innovations in Applied Public Health Research (B)			X			
93.062 Biomonitoring Programs for State Public Health Laboratories (B)				X		
93.063 Centers for Genomics and Public Health (B)			X	X	X	
93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (B)		X	X	X	X	
93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (B)				X		
93.066 State Vital Statistics Improvement Program (B)			X			
93.067 Global AIDS (B)						
93.068 Chronic Diseases: Research, Control, and Prevention (B)		X	X	X		X
93.069 Public Health Emergency Preparedness (B)		X		X	X	
93.070 Environmental Public Health and Emergency Response (B)						X
93.073 Birth Defects and Developmental Disabilities - Prevention and Surveillance (B)			X	X	X	X
93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)		X	X	X		X
93.087 Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (B)		X	X	X		X
93.088 Advancing System Improvements to Support Targets for Healthy People 2010 (B)		X	X	X		X
93.089 Emergency System for Advance Registration of Volunteer Health Professionals (B)			X	X		
93.090 Guardianship Assistance (A)				X		X
93.091 Social Services and Income Maintenance Benefits Enrollment Coordination Grants (B)						
93.092 Affordable Care Act (ACA) Personal Responsibility Education Program (A,B)		X	X	X		X
93.093 Affordable Care Act (ACA) Health Profession Opportunity Grants (B)			X	X		X
93.103 Food and Drug Administration_Research (B)		X	X	X	X	X
93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)		X		X		
93.105 Bilingual/Bicultural Service Demonstration Grants (B)		X		X		X
93.107 Area Health Education Centers Point of Service Maintenance						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
and Enhancement Awards (B)						
93.110 Maternal and Child Health Federal Consolidated Programs (B)		X	X	X		X
93.111 Adolescent Family Life Research Grants (B)		X	X	X		X
93.113 Environmental Health (B)		X	X	X		
93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)		X		X		
93.117 Preventive Medicine Residency Program (B,M)		X	X	X		X
93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)		X	X	X		
93.121 Oral Diseases and Disorders Research (B)			X			
93.123 Health Professions Pregraduate Scholarship Program for Indians (M)						
93.124 Nurse Anesthetist Traineeships (A)			X	X		
93.127 Emergency Medical Services for Children (B)			X	X		
93.129 Technical and Non-Financial Assistance to Health Centers (B)		X	X	X		X
93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (B)				X		
93.134 Grants to Increase Organ Donations (B)			X	X		X
93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention (B)			X	X		
93.136 Injury Prevention and Control Research and State and Community Based Programs (B)		X	X	X		X
93.137 Community Programs to Improve Minority Health Grant Program (B)		X	X	X		
93.138 Protection and Advocacy for Individuals with Mental Illness (A)				X		
93.142 NIEHS Hazardous Waste Worker Health and Safety Training (B)		X	X	X		
93.143 NIEHS Superfund Hazardous Substances_Basic Research and Education (B)		X	X	X		
93.145 AIDS Education and Training Centers (B)		X	X	X		
93.150 Projects for Assistance in Transition from Homelessness (PATH) (A)				X		
93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)		X	X	X	X	
93.155 Rural Health Research Centers (B)		X	X	X		X
93.156 Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (B,M)			X	X		
93.157 Centers of Excellence (B)			X	X		
93.161 Health Program for Toxic Substances and Disease Registry (B)	X	X		X		
93.162 National Health Service Corps Loan Repayment Program (C)	X					
93.164 Indian Health Service Educational Loan Repayment (C)						
93.165 Grants to States for Loan Repayment Program (B,C)				X	X	
93.173 Research Related to Deafness and Communication Disorders (B)			X			
93.178 Nursing Workforce Diversity (B)		X	X	X		X
93.184 Disabilities Prevention (B)		X	X	X		X
93.185 Immunization Research, Demonstration, Public Information and Education_Training and Clinical Skills Improvement Projects (B)		X	X	X		
93.186 National Research Service Award in Primary Care Medicine (B)		X	X	X		
93.189 Health Education Training Centers Continuing Educational Support for Health Professionals Serving in Underserved Communities (B)			X			
93.191 Patient Navigator and Chronic Disease Prevention Program			X	X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
(B)						
93.193 Urban Indian Health Services (B)						
93.197 Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)		X	X	X		X
93.202 Capacity Building Among American Indian Tribes (B)						X
93.204 Surveillance of Hazardous Substance Emergency Events (B)				X		X
93.209 Contraception and Infertility Research Loan Repayment Program (C)						
93.210 Tribal Self-Governance Program: IHS Compacts/Funding Agreements (C)						X
93.211 Telehealth Programs (B)		X	X	X		X
93.212 Chiropractic Demonstration Project Grants (B)			X	X		
93.213 Research and Training in Complementary and Alternative Medicine (B,M)		X	X	X		
93.217 Family Planning_Services (B)		X	X	X		
93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (B)				X	X	
93.223 Development and Coordination of Rural Health Services (A,B)		X	X	X		X
93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)		X	X	X		
93.225 National Research Service Awards_Health Services Research Training (B)		X	X	X		
93.226 Research on Healthcare Costs, Quality and Outcomes (B)		X	X	X		X
93.228 Indian Health Service_Health Management Development Program (B)						X
93.231 Epidemiology Cooperative Agreements (B)		X				X
93.232 Loan Repayment Program for General Research (B)	X			X	X	
93.233 National Center on Sleep Disorders Research (B)	X	X	X			
93.234 Traumatic Brain Injury State Demonstration Grant Program (B)						
93.235 Affordable Care Act (ACA) Abstinence Education Program (A)				X	X	
93.236 Grants for Dental Public Health Residency Training (B)			X	X	X	X
93.237 Special Diabetes Program for Indians_Diabetes Prevention and Treatment Projects (B)		X				X
93.240 State Capacity Building (B)		X		X		
93.241 State Rural Hospital Flexibility Program (A,B)				X		
93.242 Mental Health Research Grants (B)	X	X	X	X	X	X
93.243 Substance Abuse and Mental Health Services_Projects of Regional and National Significance (B)		X	X	X		X
93.247 Advanced Nursing Education Grant Program (B)			X			
93.249 Public Health Training Centers Grant Program (B)			X			
93.250 Geriatric Academic Career Awards (B)	X		X			
93.251 Universal Newborn Hearing Screening (B)			X	X		
93.253 Poison Center Support and Enhancement Grant Program (A,B)		X	X	X	X	X
93.254 Infant Adoption Awareness Training (B)		X	X	X		
93.255 Children's Hospitals Graduate Medical Education Payment (A)			X	X		
93.256 State Health Access Program (B)					X	
93.257 Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)		X	X	X		
93.259 Rural Access to Emergency Devices Grant (B)		X		X		X
93.260 Family Planning_Personnel Training (B)		X	X	X		
93.262 Occupational Safety and Health Program (B,M)		X	X	X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.264 Nurse Faculty Loan Program (NFLP) (A)			X	X		
93.265 Comprehensive Geriatric Education Program(CGEP) (B)			X	X		
93.266 Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (B)			X			
93.267 State Grants for Protection and Advocacy Services (A)				X		
93.268 Immunization Grants (B)		X		X	X	
93.269 Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)	X	X	X	X	X	X
93.270 Adult Viral Hepatitis Prevention and Control (B)	X	X	X	X	X	X
93.273 Alcohol Research Programs (B)	X	X	X	X	X	X
93.275 Substance Abuse and Mental Health Services-Access to Recovery (B)		X		X		X
93.276 Drug-Free Communities Support Program Grants (B)			X			X
93.279 Drug Abuse and Addiction Research Programs (B,M)	X	X	X	X		
93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers (C)						
93.281 Mental Health Research Career/Scientist Development Awards (B)	X	X	X	X		
93.282 Mental Health National Research Service Awards for Research Training (M)	X		X			
93.283 Centers for Disease Control and Prevention Investigations and Technical Assistance (B)	X	X	X	X		
93.284 Injury Prevention Program for American Indians and Alaskan Natives Cooperative Agreements (B)			X			X
93.286 Discovery and Applied Research for Technological Innovations to Improve Human Health (B)			X			
93.288 National Health Service Corps Scholarship Program (C)	X					
93.289 President's Council on Fitness, Sports, and Nutrition (K)	X	X	X	X	X	X
93.290 National Community Centers of Excellence in Women's Health (B)			X	X		
93.291 Surplus Property Utilization (H)		X	X	X		
93.295 Intergenerational Approaches to HIV/AIDS Prevention Education with Women across The Lifespan Pilot Program (B)		X	X	X		
93.296 State Partnership Grant Program to Improve Minority Health (B)				X		
93.300 National Center for Health Workforce Analysis (B)		X	X	X		
93.301 Small Rural Hospital Improvement Grant Program (B)		X	X	X		X
93.303 Nursing Scholarship Program (C)						
93.307 Minority Health and Health Disparities Research (B)		X	X	X	X	X
93.308 National Institute on Minority Health and Health Disparities (NIMHD) Extramural Loan Repayment Programs (C)						
93.338 Foreign Public Health Construction (B)			X			
93.339 Public Health Conference Support (B)	X	X	X	X	X	X
93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (B)			X	X		
93.358 Advanced Nursing Education Trineeships (A)		X	X	X		X
93.359 Nurse Education, Practice and Retention Grants (B)		X	X	X		
93.360 Biomedical Advanced Research and Development Authority (BARDA), Biodefense Medical Countermeasure Development (B)			X	X		X
93.361 Nursing Research (B)	X	X	X	X	X	X
93.364 Nursing Student Loans (E)			X			
93.365 Sickle Cell Treatment Demonstration Program (B)			X	X		
93.389 National Center for Research Resources (B)		X	X	X		
93.393 Cancer Cause and Prevention Research (B)		X	X	X		
93.394 Cancer Detection and Diagnosis Research (B)		X	X	X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.395 Cancer Treatment Research (B)		X	X	X		
93.396 Cancer Biology Research (B)		X	X	X		
93.397 Cancer Centers Support Grants (B)		X	X	X		
93.398 Cancer Research Manpower (B)			X			
93.399 Cancer Control (B)		X	X	X		
93.400 National Health Service Corps Scholarship Program (C)	X					
93.401 ARRA - National Health Service Corps Loan Repayment (C)						
93.402 ARRA - State Loan Repayment Program (B,C)					X	
93.403 ARRA Grants for Training in Primary Care Medicine and Dentistry Training and Enhancement (B)			X	X		
93.404 ARRA Dental Public Health Residency Training Grants (B)			X	X		
93.405 ARRA - Public Health Traineeship Program (A)			X	X		
93.406 Nursing Education Loan Repayment Program (NELRP) (C)		X				
93.407 ARRA - Scholarships for Disadvantaged Students (B)			X	X		
93.408 ARRA - Nurse Faculty Loan Program (B)			X	X		
93.409 Faculty Loan Repayment Programs (C)						
93.410 ARRA Licensure Portability Grant Program (B)				X		
93.411 ARRA Equipment to Enhance Training for Health Professionals (B)			X	X		
93.412 ARRA - Preventive Medicine Residency Program (B,M)			X	X		
93.414 ARRA - State Primary Care Offices (B)			X	X		
93.415 ARRA - Centers of Excellence (B)			X	X		
93.416 ARRA - Health Careers Opportunity Program (B)			X			
93.417 ARRA - Nursing Workforce Diversity (B)						
93.418 ARRA - Emergency Medical Services for Children (B)				X		
93.419 ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program (B)						
93.420 ARRA - Community Health Applied Research Network (B,C)			X			
93.440 National Project Management of the Healthcare Communities Knowledge Gateway (B)			X			
93.441 Indian Self-Determination (C)		X				
93.442 Special Diabetes Program for Indians (SDPI) Competitive Grant Program (B)				X		X
93.443 Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (B)						X
93.444 Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)						X
93.445 Indian Health Service Sanitation Facilities Construction Program (J)						X
93.448 Food Safety and Security Monitoring Project (B)		X		X		X
93.449 Ruminant Feed Ban Support Project (B)		X		X	X	X
93.500 Pregnancy Assistance Fund Program (B)		X		X		
93.501 Affordable Care Act (ACA) Grants for School-Based Health Center Capital Expenditures (B)		X	X	X		X
93.502 Affordable Care Act (ACA) Infrastructure to Expand Access to Care (B)			X	X		
93.503 Affordable Care Act (ACA) Nursing and Home Health Aides Training Program (B)			X	X		X
93.504 Affordable Care Act (ACA) Family to Family Health Information Centers (B)		X	X	X	X	X
93.505 Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program (A,B)					X	
93.506 ACA Nationwide Program for National and State Background Checks for Direct Patient Access Employees of Long Term Care Facilities and Providers (B)					X	
93.507 Strengthening Public Health Infrastructure for Improved						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Health Outcomes (B)						
93.508 Affordable Care Act (ACA) Tribal Maternal, Infant, and Early Childhood Home Visiting Program (B)			X			X
93.509 Affordable Care Act (ACA) State Health Care Workforce Development Grants (B)						
93.510 Affordable Care Act (ACA) Primary Care Residency Expansion Program (B)			X			
93.511 Affordable Care Act (ACA) Grants to States for Health Insurance Premium Review (B)						
93.512 Affordable Care Act (ACA) Personal and Home Care Aide State Training Program (PHCAST) (B)						X
93.513 Affordable Care Act (ACA) Advanced Nursing Education Expansion Initiative (B)		X	X	X	X	
93.514 Affordable Care Act (ACA) Expansion of Physician Assistant Training Program (B)		X	X	X		
93.515 Affordable Care Act (ACA) Nurse-Managed Health Clinics (B)			X			
93.516 Affordable Care Act (ACA) Public Health Training Centers Program (B)			X			
93.519 Affordable Care Act (ACA) Consumer Assistance Program Grants (B)				X		
93.520 Centers for Disease Control and Prevention Affordable Care Act (ACA) Communities Putting Prevention to Work (B)		X			X	X
93.521 The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements (B)					X	
93.522 Affordable Care Act (ACA) Prevention Center for Healthy Weight (B)		X		X	X	X
93.523 The Affordable Care Act: Human Immunodeficiency Virus (HIV) Prevention and Public Health Fund Activities (B)		X		X	X	
93.524 The Affordable Care Act (ACA): Capacity Building Assistance to Strengthen Public Health Infrastructure and Performance (B)						
93.525 State Planning and Establishment Grants for the Affordable Care Act (ACA)s Exchanges (B)					X	
93.526 Affordable Care Act (ACA) Grants for Capital Development in Health Centers (B)		X	X	X		
93.527 Affordable Care Act (ACA) Grants for New and Expanded Services under the Health Center Program (B)		X	X	X		
93.528 National Forum for State and Territorial Chief Executives (B)			X			
93.529 Pre-existing Condition Insurance Program (PCIP) (C)						
93.530 Affordable Care Act - Teaching Health Center Graduate Medical Education Payments Program (A)		X	X			
93.531 The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Community Transformation Grants and National Dissemination and Support for Community Transformation Grants (B)		X	X	X	X	X
93.533 Prevention and Public Health Fund (Affordable Care Act): Enhanced Surveillance for New Vaccine Preventable Disease (B)		X	X	X	X	X
93.534 Affordable Care Act Program for Early Detection of Certain Medical Conditions Related to Environmental Health Hazards (B)			X	X		X
93.535 Affordable Care Act (ACA) Childhood Obesity Research Demonstration (B)		X	X	X	X	X
93.536 The Affordable Care Act Medicaid Incentives for Prevention		X			X	X



# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
of Chronic Disease Demonstration Project (B)						
93.537 Affordable Care Act Medicaid Emergency Psychiatric Demonstration (C)				X		
93.538 Affordable Care Act - National Environmental Public Health Tracking Program-Network Implementation (B)		X		X		
93.539 Prevention and Public Health Fund (Affordable Care Act) - Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance (B)		X			X	
93.540 Affordable Care Act Streamlined surveillance for ventilator-associated pneumonia: Reducing burden and demonstrating preventability (B)			X			
93.541 The Patient Protection and Affordable Care Act of 2010 (ACA) (B)			X		X	X
93.542 Health Promotion and Disease Prevention Research Centers: Affordable Care Act Projects (B)						
93.544 The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Coordinated Chronic Disease prevention and Health Promotion Program (B)					X	
93.545 Consumer Operated and Oriented Plan [CO-OP] Program (E)						
93.546 Early Retiree Reinsurance Program (C)			X			
93.547 Affordable Care Act National Health Service Corps (B,C)					X	
93.548 The Patient Protection and Affordable Care Act of 2020 (2010)Nutrition, Physical Activity and Obesity Program (B)						
93.549 Affordable Care Act (ACA) The Primary Care Services Resource Coordination and Development Program (B)					X	
93.550 Transitional Living for Homeless Youth (B)		X	X	X		X
93.551 Abandoned Infants (B)		X	X	X		X
93.556 Promoting Safe and Stable Families (A,B)				X		X
93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B)						
93.558 Temporary Assistance for Needy Families (A)					X	X
93.560 Family Support Payments to States_Assistance Payments (A)					X	
93.563 Child Support Enforcement (A)				X		
93.564 Child Support Enforcement Research (B)				X		
93.566 Refugee and Entrant Assistance_State Administered Programs (A)				X		
93.567 Refugee and Entrant Assistance_Voluntary Agency Programs (B)						
93.568 Low-Income Home Energy Assistance (A)			X	X		X
93.569 Community Services Block Grant (A)				X		X
93.570 Community Services Block Grant_Discretionary Awards (B)			X	X		
93.575 Child Care and Development Block Grant (A)					X	X
93.576 Refugee and Entrant Assistance_Discretionary Grants (B)		X		X		
93.579 U.S. Repatriation (B)						
93.581 Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)						X
93.583 Refugee and Entrant Assistance_Wilson/Fish Program (B)				X		
93.584 Refugee and Entrant Assistance_Targeted Assistance Grants (A)				X		
93.586 State Court Improvement Program (A)				X		
93.587 Promote the Survival and Continuing Vitality of Native American Languages (B)						X
93.590 Community-Based Child Abuse Prevention Grants (A)				X		
93.591 Family Violence Prevention and Services/Grants For Battered Women's Shelters_Grants to State Domestic Violence Coalitions (A)						
93.592 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Discretionary Grants (B)			X	X		X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.593 Job Opportunities for Low-Income Individuals (B)			X			
93.594 Tribal Work Grants (A)						X
93.595 Welfare Reform Research, Evaluations and National Studies (B)		X	X	X		
93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund (A)					X	X
93.597 Grants to States for Access and Visitation Programs (B)					X	
93.598 Services to Victims of a Severe Form of Trafficking (B)		X	X	X		
93.599 Chafee Education and Training Vouchers Program (ETV) (A)				X		X
93.600 Head Start (B)		X	X			X
93.601 Child Support Enforcement Demonstrations and Special Projects (B)		X	X	X		
93.602 Assets for Independence Demonstration Program (B)		X	X	X		X
93.603 Adoption Incentive Payments (A)				X		
93.604 Assistance for Torture Victims (B)			X			
93.605 Family Connection Grants (B)		X	X	X		
93.606 Affordable Care Act - Preparedness and Emergency Response Learning Centers (B)			X			
93.607 Affordable Care Act - Preparedness and Emergency Response Research Centers: A Public Health Systems Approach (B)			X			
93.612 Native American Programs (B)						X
93.613 President's Committee for People with Intellectual Disabilities (PCPID) (L)	X	X	X	X	X	X
93.616 Mentoring Children of Prisoners (B)		X	X	X		X
93.617 Voting Access for Individuals with Disabilities_Grants to States (A)				X		
93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A)				X		
93.623 Basic Center Grant (B)		X	X	X		X
93.630 Developmental Disabilities Basic Support and Advocacy Grants (A)				X		
93.631 Developmental Disabilities Projects of National Significance (B)		X		X		
93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)						
93.643 Children's Justice Grants to States (A)				X		
93.645 Stephanie Tubbs Jones Child Welfare Services Program (A)				X		X
93.647 Social Services Research and Demonstration (B)			X	X		X
93.648 Child Welfare Research Training or Demonstration (B)		X	X	X		X
93.652 Adoption Opportunities (B)		X	X	X		
93.658 Foster Care_Title IV-E (A,B)				X		X
93.659 Adoption Assistance (A)				X		X
93.667 Social Services Block Grant (A)				X		
93.669 Child Abuse and Neglect State Grants (A)				X		
93.670 Child Abuse and Neglect Discretionary Activities (B)		X	X	X		
93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Grants to States and Indian Tribes (A)				X		X
93.674 Chafee Foster Care Independence Program (A)				X		X
93.676 Unaccompanied Alien Children Program (B)		X		X		
93.703 ARRA Grants to Health Center Programs (B)			X			
93.706 Aging Nutrition Services for Native Americans (B)						X
93.708 ARRA - Head Start (B)		X	X	X		X
93.709 ARRA - Early Head Start (B)		X	X	X		X
93.710 ARRA - Community Services Block Grant (A)				X		X
93.711 ARRA Strengthening Communities Fund (B)						X
93.712 ARRA - Immunization (B)				X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.713 ARRA Child Care and Development Block Grant (A)					X	X
93.714 ARRA Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Program (A)					X	X
93.715 Recovery Act Comparative Effectiveness Research - AHRQ (B)		X	X	X		X
93.716 ARRA Temporary Assistance for Needy Families (TANF) Supplemental Grants (A)						
93.717 ARRA - Preventing Healthcare-Associated Infections (B)				X		
93.718 Health Information Technology Regional Extension Centers Program (B)						
93.719 ARRA - State Grants to Promote Health Information Technology (B)				X		
93.720 ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (B)				X		
93.721 ARRA - Health Information Technology Professionals in Health Care (B)			X			
93.722 ARRA - IHS Tribal Agreements (B)						X
93.723 ARRA - Prevention and Wellness-State, Territories and Pacific Islands (B)						
93.724 ARRA - Prevention and Wellness Communities Putting Prevention to Work Funding Opportunities Announcement (FOA) (B)						
93.726 ARRA Accelerating Adoption of Comparative Effectiveness Research (CER) (B)		X	X	X		X
93.727 ARRA - Health Information Technology - Beacon Communities (B)		X	X	X	X	X
93.728 ARRA - Strategic Health IT Advanced Research Projects (SHARP) (B)			X			
93.767 Children's Health Insurance Program (A)				X		
93.768 Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)				X		
93.770 Medicare_Prescription Drug Coverage (C)						
93.773 Medicare_Hospital Insurance (C)	X					
93.774 Medicare_Supplementary Medical Insurance (C)	X					
93.775 State Medicaid Fraud Control Units (A)				X		
93.777 State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare (A)				X		
93.778 Medical Assistance Program (A)		X		X		
93.779 Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (B)			X	X		
93.780 Grants to States for Operation of Qualified High-Risk Pools (A)				X		
93.784 Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (C)			X	X		
93.789 Alternatives to Psychiatric Residential Treatment Facilities for Children (B)				X		
93.790 Alternate Non-Emergency Service Providers or Networks (B)				X		
93.791 Money Follows the Person Rebalancing Demonstration (B)				X		
93.793 Medicaid Transformation Grants (B)				X		
93.796 State Survey Certification of Health Care Providers and Suppliers (Title XIX) Medicaid (A)						
93.822 Health Careers Opportunity Program (B)		X	X	X		
93.824 Area Health Education Centers Infrastructure Development Awards (B)		X	X	X		
93.837 Cardiovascular Diseases Research (B)	X	X	X			
93.838 Lung Diseases Research (B)	X	X	X			
93.839 Blood Diseases and Resources Research (B)	X	X	X			

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.846 Arthritis, Musculoskeletal and Skin Diseases Research (B)	X	X	X	X		
93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research (B)	X	X	X	X		
93.853 Extramural Research Programs in the Neurosciences and Neurological Disorders (B)	X	X	X	X	X	
93.855 Allergy, Immunology and Transplantation Research (B)	X	X	X	X		
93.859 Biomedical Research and Research Training (B)	X	X	X	X		
93.865 Child Health and Human Development Extramural Research (B)	X	X	X	X		
93.866 Aging Research (B)	X	X	X	X	X	X
93.867 Vision Research (B)	X	X	X	X	X	X
93.879 Medical Library Assistance (B)		X	X	X		
93.884 Grants for Training in Primary Care Medicine and Dentistry (B)		X	X	X		
93.887 Health Care and Other Facilities (B)			X	X		X
93.888 Specially Selected Health Projects (B)		X	X	X		X
93.889 National Bioterrorism Hospital Preparedness Program (A)		X		X		
93.908 Nursing Education Loan Repayment Program (C)	X					
93.910 Family and Community Violence Prevention Program (B)		X	X	X		X
93.912 Rural Health Care Services Outreach, Rural Health Network Development and Small Health Care Provider Quality Improvement Program (B)		X	X	X		X
93.913 Grants to States for Operation of Offices of Rural Health (B)				X		
93.914 HIV Emergency Relief Project Grants (B)		X	X	X		X
93.917 HIV Care Formula Grants (A)				X		
93.918 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)		X	X	X		X
93.919 Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)				X	X	X
93.923 Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (B,C)			X	X		
93.924 Ryan White HIV/AIDS Dental Reimbursements Community Based Dental Partnership (A,B)			X	X		
93.925 Scholarships for Health Professions Students from Disadvantaged Backgrounds (B)		X	X	X		
93.926 Healthy Start Initiative (B)		X	X	X		X
93.928 Special Projects of National Significance (B)		X	X	X	X	X
93.932 Native Hawaiian Health Systems (B)			X			
93.933 Demonstration Projects for Indian Health (B)		X	X			X
93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (B)				X	X	
93.938 Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (B)			X	X		
93.939 HIV Prevention Activities_Non-Governmental Organization Based (B)			X			
93.940 HIV Prevention Activities_Health Department Based (B)		X		X		
93.941 HIV Demonstration, Research, Public and Professional Education Projects (B)		X	X	X		
93.942 Research, Treatment and Education Programs on Lyme Disease in the United States (B)		X	X	X		
93.943 Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (B)		X	X	X		
93.944 Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (B)		X		X		
93.945 Assistance Programs for Chronic Disease Prevention and						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Control (B)						
93.946 Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (B)				X		
93.947 Tuberculosis Demonstration, Research, Public and Professional Education (B)		X	X	X		
93.954 Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (M)						X
93.958 Block Grants for Community Mental Health Services (A)				X		
93.959 Block Grants for Prevention and Treatment of Substance Abuse (A)				X		X
93.964 Public Health Traineeships (A)			X	X		
93.965 Coal Miners Respiratory Impairment Treatment Clinics and Services (B)		X	X	X		X
93.969 Geriatric Education Centers (B)			X			
93.970 Health Professions Recruitment Program for Indians (M)		X	X			X
93.971 Health Professions Preparatory Scholarship Program for Indians (M)	X					
93.972 Health Professions Scholarship Program (M)	X					
93.974 Family Planning_Service Delivery Improvement Research Grants (B)			X	X		
93.975 National All Schedules Prescription Electronic Reporting Grant (A)				X		
93.977 Preventive Health Services_Sexually Transmitted Diseases Control Grants (B)		X		X		
93.978 Preventive Health Services_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants (B)		X	X	X		
93.982 Mental Health Disaster Assistance and Emergency Mental Health (B)		X	X	X		
93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (B)					X	
93.989 International Research and Research Training (B,M)			X	X		
93.990 National Health Promotion (B)			X			
93.991 Preventive Health and Health Services Block Grant (A)				X	X	X
93.994 Maternal and Child Health Services Block Grant to the States (A)				X		
93.995 Adolescent Family Life_Demonstration Projects (B)		X	X	X		

## DEPARTMENT OF HOMELAND SECURITY

97.005 State and Local Homeland Security National Training Program (B)						
97.007 Homeland Security Preparedness Technical Assistance Program (B)						
97.008 Non-Profit Security Program (B)		X				
97.009 Cuban/Haitian Entrant Program (B)	X		X			
97.010 Citizenship Education and Training (B)			X			
97.012 Boating Safety Financial Assistance (A)						
97.013 State Access to the Oil Spill Liability Trust Fund (B)				X		
97.016 Reimbursement for Firefighting on Federal Property (C)				X		
97.018 National Fire Academy Training Assistance (C)			X			
97.019 National Fire Academy Fellowship (M)						
97.022 Flood Insurance (G)		X				
97.023 Community Assistance Program State Support Services Element (CAP-SSSE) (B)						
97.024 Emergency Food and Shelter National Board Program (B)						
97.025 National Urban Search and Rescue (US&R) Response System (B)						
97.026 Emergency Management Institute_Training Assistance (C)		X				
97.027 Emergency Management Institute (EMI)_Independent Study			X	X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Program (M)						
97.028 Emergency Management Institute (EMI)_Resident Educational Program (M)		X		X		
97.029 Flood Mitigation Assistance (B)				X		X
97.030 Community Disaster Loans (E)		X				
97.031 Cora Brown Fund (C)	X					
97.032 Crisis Counseling (B)						
97.033 Disaster Legal Services (C)						
97.034 Disaster Unemployment Assistance (C,J)						
97.036 Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)		X		X		
97.039 Hazard Mitigation Grant (B)				X		X
97.040 Chemical Stockpile Emergency Preparedness Program (B)		X				
97.041 National Dam Safety Program (B)						
97.042 Emergency Management Performance Grants (A)				X		
97.043 State Fire Training Systems Grants (B)						
97.044 Assistance to Firefighters Grant (B)		X				
97.045 Cooperating Technical Partners (B)		X		X		X
97.046 Fire Management Assistance Grant (B,J)				X		X
97.047 Pre-Disaster Mitigation (B)				X		X
97.048 Federal Disaster Assistance to Individuals and Households in Presidential Declared Disaster Areas (B,C)	X					
97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C)	X					
97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)	X					
97.052 Emergency Operations Center (B)						
97.053 Citizen Corps (B)						
97.055 Interoperable Emergency Communications (B)		X				
97.056 Port Security Grant Program (B)						
97.057 Intercity Bus Security Grants (B)			X			
97.058 Operation Safe Commerce (OSC) Cooperative Agreement Program (B)			X			
97.059 Truck Security Program (B)			X			
97.061 Centers for Homeland Security (B)			X			
97.062 Scientific Leadership Awards (B,C)						
97.065 Homeland Security Advanced Research Projects Agency (B)			X			
97.066 Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)						
97.067 Homeland Security Grant Program (A)		X		X		
97.069 Aviation Research Grants (B,I)			X			
97.071 Metropolitan Medical Response System (B)		X		X		
97.072 National Explosives Detection Canine Team Program (B)						
97.073 State Homeland Security Program (SHSP) (A)						
97.075 Rail and Transit Security Grant Program (B)						
97.076 National Center for Missing and Exploited Children (NCMEC) (B)						
97.077 Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (B,H,I,L)		X	X	X		
97.078 Buffer Zone Protection Program (BZPP) (B)		X		X		X
97.080 Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (B)		X	X	X		X
97.082 Earthquake Consortium (B)						
97.083 Staffing for Adequate Fire and Emergency Response (SAFER) (B)		X				
97.084 Hurricane Katrina Case Management Initiative Program (B)						
97.086 Homeland Security Outreach, Education, and Technical		X				

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Assistance (B,L)						
97.088 Disaster Assistance Projects (B)	X	X	X	X		X
97.089 Driver's License Security Grant Program (B)				X		
97.090 Law Enforcement Officer Reimbursement Agreement Program (C)						
97.091 Homeland Security Biowatch Program (B,I)		X		X		
97.092 Repetitive Flood Claims (B)				X		X
97.093 Fire Service Hazardous Materials Preparedness and Response (B)						
97.094 Prevention Advocacy Resources and Data Exchange Program (B)				X		
97.095 Safe Kids Worldwide (B)			X			
97.097 Training Resource and Data Exchange (B)						
97.098 Disaster Donations Management Program (B)		X		X		
97.099 Residential Fire Safety & Fire Sprinkler Initiatives (B)						
97.101 National Fallen Firefighters Memorial (C)			X			
97.103 Degrees at a Distance Program (B)			X			
97.104 Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (B)						
97.105 Firefighter Health and Safety (B)	X	X	X	X	X	X
97.106 Securing the Cities (B,I,L)		X				
97.107 National Incident Management System (NIMS) (B)		X	X	X		X
97.108 Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)	X	X	X	X		X
97.109 Disaster Housing Assistance Grant (B)	X					
97.110 Severe Repetitive Loss Program (B)				X		X
97.111 Regional Catastrophic Preparedness Grant Program (RCPGP) (B)		X		X		
97.112 Border Infrastructure Improvement Projects (B)		X				
97.113 Rail and Transit Security Grant Program (ARRA) (B)						
97.114 Emergency Food and Shelter National Board Program (ARRA) (B)						
97.115 Assistance to Firefighters Grant (ARRA) (B)		X				
97.116 Port Security Grant Program (ARRA) (B)						
97.117 TSA Airport Checked Baggage Inspection System Program (ARRA) (B)						
97.118 Advanced Surveillance Program (ASP) (B)						
97.119 2010 Olympics First Responder Training (B)						
97.120 Border Interoperability Demonstration Project (B)						
97.121 Radiological/Nuclear Detection Pilot Evaluations Program (B,I,L)		X				
97.122 Bio-Preparedness Collaboratory (B)						
97.124 Interoperable Communications and Training Project (B)			X			
97.125 Virginia Operational Integration Cyber Center of Excellence (B)		X		X		
97.126 National Special Security Event (B)					X	
97.127 Cybersecurity Education and Training Assistance Program (CETAP) (B)						
97.128 National Cyber Security Awareness (B)			X			
97.129 Securing Critical Underground Infrastructure Pilot Program (B)						
		X	X	X		X





# DEADLINES INDEX

This index provides a chronological list of program deadlines as submitted by the administering agency.

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## NOVEMBER 01, 2010

- 15.619 Rhinoceros and Tiger Conservation Fund (B)
- 15.620 African Elephant Conservation Fund (B)
- 15.621 Asian Elephant Conservation Fund (B)
- 15.629 Great Apes Conservation Fund (B)
- 15.810 National Cooperative Geologic Mapping Program (B)

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## NOVEMBER 15, 2010

- 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)
- 20.232 Commercial Driver's License Program Improvement Grant (B)
- 93.778 Medical Assistance Program (A)

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## NOVEMBER 16, 2010

- 14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas (B)

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## DECEMBER 31, 2010

- 10.762 Solid Waste Management Grants (B)

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## JANUARY 06, 2011

- 15.809 National Spatial Data Infrastructure Cooperative Agreements Program (B)

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## JANUARY 10, 2011

- 15.616 Clean Vessel Act (B)

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## JANUARY 25, 2011

- 93.397 Cancer Centers Support Grants (B)

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## FEBRUARY 01, 2011

- 85.104 Life Sciences Awards (C,D)

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## FEBRUARY 07, 2011

- 85.102 Christopher Columbus Awards (B)

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## FEBRUARY 15, 2011

- 93.778 Medical Assistance Program (A)

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## FEBRUARY 16, 2011

- 20.215 Highway Training and Education (B,M)

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## FEBRUARY 28, 2011

- 10.681 Wood Education and Resource Center (WERC) (B)

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## MARCH 01, 2011

- 15.022 Tribal Self-Governance (C)
- 15.623 North American Wetlands Conservation Fund (B)

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## MARCH 03, 2011

- 85.101 Homeland Security Award (D)

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## MARCH 07, 2011

- 15.930 Chesapeake Bay Gateways Network (B)

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## MARCH 09, 2011

- 93.581 Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)
- 93.587 Promote the Survival and Continuing Vitality of Native American Languages (B)

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## MARCH 10, 2011

- 20.520 Paul S. Sarbanes Transit in the Parks (B)

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## MARCH 15, 2011

- 20.215 Highway Training and Education (B,M)
- 85.105 Agriscience Awards (C,D)

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## MARCH 23, 2011

- 93.612 Native American Programs (B)

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## APRIL 01, 2011

- 15.619 Rhinoceros and Tiger Conservation Fund (B)
- 15.620 African Elephant Conservation Fund (B)
- 15.621 Asian Elephant Conservation Fund (B)
- 15.629 Great Apes Conservation Fund (B)
- 15.645 Marine Turtle Conservation Fund (B)
- 20.215 Highway Training and Education (B,M)
- 20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)

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## APRIL 04, 2011

- 10.874 Delta Health Care Services Grant Program (B)

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## APRIL 05, 2011

- 85.104 Life Sciences Awards (C,D)

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## APRIL 15, 2011

- 20.807 U.S. Merchant Marine Academy (M)

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## MAY 01, 2011

- 15.639 Tribal Wildlife Grants Program (B)

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## MAY 05, 2011

- 93.546 Early Retiree Reinsurance Program (C)

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## MAY 09, 2011

- 17.267 Incentive Grants - WIA Section 503 (B)
- 20.520 Paul S. Sarbanes Transit in the Parks (B)

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## MAY 23, 2011

- 21.006 Tax Counseling for the Elderly (B)
- 21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program (B)

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## MAY 25, 2011

- 93.397 Cancer Centers Support Grants (B)

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## MAY 27, 2011

- 93.045 Special Programs for the Aging Title III, Part C Nutrition Services (A)

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## JUNE 01, 2011

- 15.043 Indian Child and Family Education (B,M)
- 15.149 FOCUS on Student Achievement Project (B)
- 15.151 Education Program Enhancements (B)
- 20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)

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## JUNE 03, 2011

- 10.614 Scientific Cooperation Exchange Program with China (B,C)

# DEADLINES INDEX

10.961 Scientific Cooperation and Research (B,C)

## JUNE 07, 2011

14.261 Homeless Management Information Systems Technical Assistance (B)

## JUNE 14, 2011

85.101 Homeland Security Award (D)

## JUNE 15, 2011

20.610 State Traffic Safety Information System Improvement Grants (B)

93.778 Medical Assistance Program (A)

## JUNE 23, 2011

17.267 Incentive Grants - WIA Section 503 (B)

## JUNE 24, 2011

20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)

## JUNE 30, 2011

15.614 Coastal Wetlands Planning, Protection and Restoration Act (B)

21.006 Tax Counseling for the Elderly (B)

21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program (B)

93.506 ACA Nationwide Program for National and State Background Checks for Direct Patient Access Employees of Long Term Care Facilities and Providers (B)

## JULY 01, 2011

14.867 Indian Housing Block Grants (A)

15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)

15.042 Indian School Equalization Program (C)

15.044 Indian Schools\_Student Transportation (C)

20.609 Safety Belt Performance Grants (B)

20.611 Incentive Grant Program to Prohibit Racial Profiling (A)

20.613 Child Safety and Child Booster Seats Incentive Grants (B)

20.930 Payments for Small Community Air Service Development (B)

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States (A)

84.187 Supported Employment Services for Individuals with the Most Significant Disabilities (A)

## JULY 02, 2011

15.660 Endangered Species - Candidate Conservation Action Funds (B)

## JULY 05, 2011

10.614 Scientific Cooperation Exchange Program with China (B,C)

10.961 Scientific Cooperation and Research (B,C)

## JULY 15, 2011

21.008 Low Income Taxpayer Clinics (B)

93.994 Maternal and Child Health Services Block Grant to the States (A)

## JULY 22, 2011

20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)

## JULY 29, 2011

93.444 Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)

## AUGUST 01, 2011

10.588 Assessment of Alternatives to Face-to-Face Interviews in SNAP (B)

15.921 Rivers, Trails and Conservation Assistance (K)

20.218 National Motor Carrier Safety (A)

20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)

20.612 Incentive Grant Program to Increase Motorcyclist Safety (A)

20.700 Pipeline Safety Program Base Grants (A)

20.807 U.S. Merchant Marine Academy (M)

## AUGUST 02, 2011

20.930 Payments for Small Community Air Service Development (B)

## AUGUST 05, 2011

93.228 Indian Health Service\_Health Management Development Program (B)

## AUGUST 10, 2011

10.924 Conservation Stewardship Program (B)

## AUGUST 11, 2011

10.874 Delta Health Care Services Grant Program (B)

## AUGUST 15, 2011

10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)

93.778 Medical Assistance Program (A)

93.796 State Survey Certification of Health Care Providers and Suppliers (Title XIX) Medicaid (A)

## AUGUST 16, 2011

14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas (B)

14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)

## AUGUST 17, 2011

45.161 Promotion of the Humanities\_Research (B)

## AUGUST 31, 2011

15.666 Endangered Species Conservation-Wolf Livestock Loss Compensation and Prevention (B)

20.233 Border Enforcement Grants (B)

## SEPTEMBER 01, 2011

12.901 Mathematical Sciences Grants Program (B)

15.923 National Center for Preservation Technology and Training (B)

93.958 Block Grants for Community Mental Health Services (A)

## SEPTEMBER 15, 2011

45.162 Promotion of the Humanities\_Teaching and Learning Resources and Curriculum Development (B)

## SEPTEMBER 20, 2011

45.149 Promotion of the Humanities\_Division of Preservation and Access (B)

## SEPTEMBER 23, 2011

10.171 Organic Certification Cost Share Programs (C)

## SEPTEMBER 30, 2011

10.924 Conservation Stewardship Program (B)

20.218 National Motor Carrier Safety (A)

20.607 Alcohol Open Container Requirements (B)

20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)

20.700 Pipeline Safety Program Base Grants (A)

20.932 Surface Transportation \_ Discretionary Grants for Capital Investment. (B)

93.016 Postal Model for Medical Countermeasures Delivery and Distribution

# DEADLINES INDEX

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(B)

97.126 National Special Security Event (B)

## OCTOBER 01, 2011

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10.761 Technical Assistance and Training Grants (B)

15.150 Juvenile Detention Education (B)

15.651 Wildlife Without Borders-Africa Program (B)

19.300 Program for Study of Eastern Europe and the Independent States of the Former Soviet Union (B)

20.106 Airport Improvement Program (B,K)

20.235 Commercial Motor Vehicle Operator Training Grants (B)

45.160 Promotion of the Humanities\_Fellowships and Stipends (B)

84.007 Federal Supplemental Educational Opportunity Grants (C)

84.033 Federal Work-Study Program (C)

84.037 Perkins Loan Cancellations (C,D)

93.067 Global AIDS (B)

93.273 Alcohol Research Programs (B)

93.959 Block Grants for Prevention and Treatment of Substance Abuse (A)

## OCTOBER 05, 2011

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20.933 National Infrastructure Investments (B)

## OCTOBER 14, 2011

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14.319 Multifamily Energy Innovation Fund (B)

20.721 PHMSA Pipeline Safety Program One Call Grant (B)

## OCTOBER 15, 2011

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12.901 Mathematical Sciences Grants Program (B)

15.923 National Center for Preservation Technology and Training (B)

## OCTOBER 17, 2011

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93.545 Consumer Operated and Oriented Plan [CO-OP] Program (E)

## OCTOBER 27, 2011

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14.261 Homeless Management Information Systems Technical Assistance (B)

## OCTOBER 31, 2011

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20.933 National Infrastructure Investments (B)

## NOVEMBER 01, 2011

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10.763 Emergency Community Water Assistance Grants (B)

12.902 Information Security Grant Program (B)

## NOVEMBER 15, 2011

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10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)

10.576 Senior Farmers Market Nutrition Program (B)

14.218 Community Development Block Grants/Entitlement Grants (A)

14.239 Home Investment Partnerships Program (A)

20.721 PHMSA Pipeline Safety Program One Call Grant (B)

93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers (C)

## DECEMBER 01, 2011

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20.231 Performance and Registration Information Systems Management (B)

20.235 Commercial Motor Vehicle Operator Training Grants (B)

20.237 Commercial Vehicle Information Systems and Networks (B)

45.149 Promotion of the Humanities\_Division of Preservation and Access (B)

## DECEMBER 05, 2011

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93.396 Cancer Biology Research (B)

## DECEMBER 12, 2011

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45.161 Promotion of the Humanities\_Research (B)

## DECEMBER 15, 2011

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93.273 Alcohol Research Programs (B)

## DECEMBER 31, 2011

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10.761 Technical Assistance and Training Grants (B)

## JANUARY 11, 2012

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45.164 Promotion of the Humanities\_Public Programs (B)

## JANUARY 17, 2012

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45.149 Promotion of the Humanities\_Division of Preservation and Access (B)

## JANUARY 31, 2012

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20.106 Airport Improvement Program (B,K)

20.807 U.S. Merchant Marine Academy (M)

## FEBRUARY 01, 2012

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20.231 Performance and Registration Information Systems Management (B)

20.237 Commercial Vehicle Information Systems and Networks (B)

45.130 Promotion of the Humanities\_Challenge Grants (B)

93.273 Alcohol Research Programs (B)

## FEBRUARY 15, 2012

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20.602 Occupant Protection Incentive Grants (B)

## FEBRUARY 28, 2012

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12.902 Information Security Grant Program (B)

## MARCH 01, 2012

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15.640 Wildlife Without Borders- Latin America and the Caribbean (B)

20.807 U.S. Merchant Marine Academy (M)

45.163 Promotion of the Humanities\_Professional Development (B)

45.163 Promotion of the Humanities\_Professional Development (B)

45.163 Promotion of the Humanities\_Professional Development (B)

45.163 Promotion of the Humanities\_Professional Development (B)

93.536 The Affordable Care Act Medicaid Incentives for Prevention of Chronic Disease Demonstration Project (B)

## APRIL 05, 2012

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93.396 Cancer Biology Research (B)

## APRIL 15, 2012

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45.160 Promotion of the Humanities\_Fellowships and Stipends (B)

93.273 Alcohol Research Programs (B)

## MAY 01, 2012

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45.160 Promotion of the Humanities\_Fellowships and Stipends (B)

## MAY 02, 2012

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45.130 Promotion of the Humanities\_Challenge Grants (B)

## MAY 16, 2012

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45.149 Promotion of the Humanities\_Division of Preservation and Access (B)

## JUNE 01, 2012

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45.129 Promotion of the Humanities\_Federal/State Partnership (A)

93.273 Alcohol Research Programs (B)

## JUNE 27, 2012

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45.164 Promotion of the Humanities\_Public Programs (B)

# DEADLINES INDEX

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## **JUNE 28, 2012**

45.149 Promotion of the Humanities\_Division of Preservation and Access (B)

## **JUNE 30, 2012**

45.162 Promotion of the Humanities\_Teaching and Learning Resources and Curriculum Development (B)

## **JULY 19, 2012**

45.149 Promotion of the Humanities\_Division of Preservation and Access (B)

## **AUGUST 05, 2012**

93.396 Cancer Biology Research (B)

## **AUGUST 15, 2012**

14.218 Community Development Block Grants/Entitlement Grants (A)

93.273 Alcohol Research Programs (B)

## **SEPTEMBER 28, 2012**

45.168 Promotion of the Humanities\_We the People (B)

## **SEPTEMBER 30, 2012**

20.106 Airport Improvement Program (B,K)

## **JULY 19, 2013**

93.563 Child Support Enforcement (A)

## **AUGUST 16, 2013**

14.239 Home Investment Partnerships Program (A)

## **JUNE 30, 2015**

15.819 Energy Cooperatives to Support the National Coal Resources Data System (NCRDS) (B)

# FUNCTIONAL INDEX

This index lists CFDA programs grouped by functional area as designated by the administering agency. The letter(s) in parentheses following the program title indicates the type of assistance available through that program. The following letter codes are used:

- A: Formula Grants
- B: Project Grants
- C: Direct Payments for Specified Use
- D: Direct Payments with Unrestricted Use
- E: Direct Loans
- F: Guaranteed/Insured Loans
- G: Insurance
- H: Sale, Exchange, or Donation of Property and Goods
- I: Use of Property, Facilities, and Equipment
- J: Provision of Specialized Services
- K: Advisory Services and Counseling
- L: Dissemination of Technical Information
- M: Training
- N: Investigation of Complaints
- O: Federal Employment

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## AGRICULTURAL

### Resource Conservation and Development

- 10.025 Plant and Animal Disease, Pest Control, and Animal Care (B)
- 10.028 Wildlife Services (B)
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66.458 Capitalization Grants for Clean Water State Revolving Funds (A)  
66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)  
66.508 Senior Environmental Employment Program (B)  
66.518 State Senior Environmental Employment Program (B)  
66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)  
66.805 Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)  
66.815 Environmental Workforce Development and Job Training Cooperative Agreements (B)  
66.818 Brownfields Assessment and Cleanup Cooperative Agreements (B)

## DEPARTMENT OF ENERGY

- 81.049 Office of Science Financial Assistance Program (B)  
81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)  
81.126 Federal Loan Guarantees for Innovative Energy Technologies (E,F)  
81.127 Energy Efficient Appliance Rebate Program (EEARP) (A)  
81.128 Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)  
81.129 Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization (B)  
81.130 Carbon Capture and Storage-FutureGen 2.0 (B)  
81.131 Expand and Extend Clean Coal Power Initiative (B)

- 81.132 Geologic Sequestration Site Characterization (B)  
81.133 Geologic Sequestration Training and Research Grant Program (B)  
81.134 Industrial Carbon Capture and Storage (CCS) Application (B)  
81.135 Advanced Research and Projects Agency Energy Financial Assistance Program (B)

## DEPARTMENT OF EDUCATION

- 84.033 Federal Work-Study Program (C)  
84.063 Federal Pell Grant Program (C)  
84.385 Teacher Incentive Fund, Recovery Act (B)  
84.390 Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act (A)

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

- 93.048 Special Programs for the Aging\_Title IV\_and Title II\_Discretionary Projects (B)  
93.090 Guardianship Assistance (A)  
93.400 National Health Service Corps Scholarship Program (C)  
93.401 ARRA - National Health Service Corps Loan Repayment (C)  
93.402 ARRA - State Loan Repayment Program (B,C)  
93.403 ARRA Grants for Training in Primary Care Medicine and Dentistry Training and Enhancement (B)  
93.404 ARRA Dental Public Health Residency Training Grants (B)  
93.405 ARRA - Public Health Traineeship Program (A)  
93.406 Nursing Education Loan Repayment Program (NELRP) (C)  
93.407 ARRA - Scholarships for Disadvantaged Students (B)  
93.408 ARRA - Nurse Faculty Loan Program (B)  
93.409 Faculty Loan Repayment Programs (C)  
93.410 ARRA Licensure Portability Grant Program (B)  
93.411 ARRA Equipment to Enhance Training for Health Professionals (B)  
93.412 ARRA - Preventive Medicine Residency Program (B,M)  
93.414 ARRA - State Primary Care Offices (B)  
93.415 ARRA - Centers of Excellence (B)  
93.416 ARRA - Health Careers Opportunity Program (B)  
93.417 ARRA - Nursing Workforce Diversity (B)  
93.418 ARRA - Emergency Medical Services for Children (B)  
93.419 ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program (B)  
93.420 ARRA - Community Health Applied Research Network (B,C)  
93.500 Pregnancy Assistance Fund Program (B)  
93.542 Health Promotion and Disease Prevention Research Centers: Affordable Care Act Projects (B)  
93.658 Foster Care\_Title IV-E (A,B)  
93.659 Adoption Assistance (A)  
93.703 ARRA Grants to Health Center Programs (B)  
93.706 Aging Nutrition Services for Native Americans (B)  
93.708 ARRA - Head Start (B)  
93.709 ARRA - Early Head Start (B)  
93.710 ARRA - Community Services Block Grant (A)  
93.711 ARRA Strengthening Communities Fund (B)  
93.712 ARRA - Immunization (B)  
93.713 ARRA Child Care and Development Block Grant (A)  
93.714 ARRA Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Program (A)  
93.715 Recovery Act Comparative Effectiveness Research - AHRQ (B)  
93.716 ARRA Temporary Assistance for Needy Families (TANF) Supplemental Grants (A)  
93.717 ARRA - Preventing Healthcare-Associated Infections (B)  
93.718 Health Information Technology Regional Extension Centers Program (B)

# American Recovery and Reinvestment Act Index

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- 93.719 ARRA - State Grants to Promote Health Information Technology (B)
- 93.720 ARRA - Survey and Certification Ambulatory Surgical Center  
Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (B)
- 93.721 ARRA - Health Information Technology Professionals in Health Care  
(B)
- 93.722 ARRA - IHS Tribal Agreements (B)
- 93.723 ARRA - Prevention and Wellness-State, Territories and Pacific Islands  
(B)
- 93.724 ARRA - Prevention and Wellness Communities Putting Prevention  
to Work Funding Opportunities Announcement (FOA) (B)
- 93.726 ARRA Accelerating Adoption of Comparative Effectiveness Research  
(CER) (B)
- 93.727 ARRA - Health Information Technology - Beacon Communities (B)
- 93.728 ARRA - Strategic Health IT Advanced Research Projects (SHARP)  
(B)
- 93.773 Medicare\_Hospital Insurance (C)
- 93.774 Medicare\_Supplementary Medical Insurance (C)

## **DEPARTMENT OF HOMELAND SECURITY**

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- 97.113 Rail and Transit Security Grant Program (ARRA) (B)
- 97.114 Emergency Food and Shelter National Board Program (ARRA) (B)
- 97.115 Assistance to Firefighters Grant (ARRA) (B)
- 97.116 Port Security Grant Program (ARRA) (B)
- 97.117 TSA Airport Checked Baggage Inspection System Program (ARRA)  
(B)
- 97.118 Advanced Surveillance Program (ASP) (B)





# Program Descriptions Not Updated for FY 2011

This index lists those CFDA programs previously published in the Catalog, but were not updated by their issuing agencies in FY 2011. The program descriptions can be found on the CFDA web site at [www.cfda.gov](http://www.cfda.gov), but do not appear elsewhere in this Catalog. Please contact the issuing agency for further information on the programs listed below.

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## DEPARTMENT OF AGRICULTURE

- 10.250 Agricultural and Rural Economic Research (L)
- 10.256 Consumer Data and Information Program (L)
- 10.866 Repowering Assistance (C)

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## DEPARTMENT OF COMMERCE

- 11.010 Community Trade Adjustment Assistance (B)
- 11.313 Trade Adjustment Assistance for Firms (B)
- 11.482 Coral Reef Conservation Program (B)
- 11.550 Public Telecommunications Facilities Planning and Construction (B)
- 11.553 Special Projects (B)
- 11.557 Broadband Technology Opportunities Program (BTOP) (B)
- 11.558 State Broadband Data and Development Grant Program (B)
- 11.559 Low-Power Television and Translator Upgrade Program (B)
- 11.802 Minority Business Resource Development (B)
- 11.805 MBDA Business Center (B)

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## DEPARTMENT OF DEFENSE

- 12.117 ARRA Cooperative Agreements, New Mexico (B)
- 12.122 Title VI - Cheyenne River Sioux Tribe, Lower Brule Sioux Tribe, and Terrestrial Wildlife Habitat Restoration, South Dakota - ARRA (B)
- 12.129 Title VI - Cheyenne River Sioux Tribe, Lower Brule Sioux Tribe, and Terrestrial Wildlife Habitat Restoration, South Dakota (B)
- 12.357 ROTC Language and Culture Training Grants (B)
- 12.404 National Guard ChalleNGe Program (A)
- 12.558 Department of Defense Impact Aid (Supplement, CWSD, BRAC) (A)
- 12.599 Congressionally Directed Assistance (B)
- 12.600 Community Economic Adjustment (B,J,L)
- 12.630 Basic, Applied, and Advanced Research in Science and Engineering (B)
- 12.631 Science, Technology, Engineering and Mathematics (STEM) Educational Program: Science, Mathematics And Research for Transformation (SMART) (B)

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## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

- 14.168 Land Sales-Certain Subdivided Land (Interstate Land Sales Registration) and Real Estate Settlement Procedures Act (L,N)
- 14.199 Multifamily Property Disposition (H)
- 14.262 Homeless Prevention and Rapid Re-Housing Program Technical Assistance (B)
- 14.317 Section 8 Housing Assistance Payments Program Special Allocations (Recovery Act Funded) (C)
- 14.318 Assisted Housing Stability and Energy and Green Retrofit Investments Program (Recovery Act Funded) (B)
- 14.419 Section 3 Technical Assistance (B)
- 14.884 Public Housing Capital Fund Competitive (Recovery Act Funded) (B)
- 14.886 Indian Community Development Block Grant Program (Recovery Act Funded) (B)

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## DEPARTMENT OF THE INTERIOR

- 15.031 Indian Community Fire Protection (C)
- 15.032 Indian Economic Development (C)
- 15.033 Road Maintenance\_Indian Roads (C)
- 15.034 Agriculture on Indian Lands (C,J,K)
- 15.035 Forestry on Indian Lands (C,J,K)
- 15.057 Navajo-Hopi Indian Settlement Program (C,J)
- 15.060 Indian Vocational Training\_United Tribes Technical College (D,M)

- 15.061 Indian Job Placement\_United Sioux Tribes Development Corporation (D,K)
- 15.063 Improvement and Repair of Indian Detention Facilities (C)
- 15.065 Safety of Dams on Indian Lands (C)
- 15.108 Indian Employment Assistance (C)
- 15.113 Indian Social Services\_Welfare Assistance (C)
- 15.146 Ironworker Training Program (B)
- 15.147 Tribal Courts\_Trust Reform Initiative (B)
- 15.421 Alaska Coastal Marine Institute (B)
- 15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)
- 15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)
- 15.424 Marine Minerals Activities (B)
- 15.425 Offshore Research Technology Center (OTRC) Texas Engineering Experiment Station (TEES) (B)
- 15.427 Federal Oil and Gas Royalty Management (B)
- 15.428 Marine Gas Hydrate Research Activities (B)
- 15.915 Technical Preservation Services (J,K,L)
- 15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (H)
- 15.938 Boston African-American National Historic Site Cooperative Agreement with the Museum of African American History (B,H,I,K,L,M)
- 15.942 Environmental Education and Conservation - North Cascades Bioregion (C,J)

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## DEPARTMENT OF JUSTICE

- 16.013 Violence Against Women Act Court Training and Improvement Grants (B)
- 16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B)
- 16.015 Missing Alzheimer's Disease Patient Assistance Program (B)
- 16.016 Culturally and Linguistically Specific Services Program (B)
- 16.018 Services to Advocate for and Respond to Youth (B)
- 16.019 Tribal Registry (B)
- 16.100 Desegregation of Public Education (J)
- 16.101 Equal Employment Opportunity (J)
- 16.103 Fair Housing and Equal Credit Opportunity (J)
- 16.104 Protection of Voting Rights (J)
- 16.105 Civil Rights of Institutionalized Persons (J)
- 16.109 Civil Rights Prosecution (B)
- 16.110 Education and Enforcement of the Antidiscrimination Provision of the Immigration and Nationality Act (B,J,N)
- 16.123 Community-Based Violence Prevention Program (B)
- 16.203 Comprehensive Approaches to Sex Offender Management Discretionary Grant (CASOM) (B,M)
- 16.320 Services for Trafficking Victims (B,C)
- 16.321 Antiterrorism Emergency Reserve (B)
- 16.523 Juvenile Accountability Block Grants (A,B)
- 16.524 Legal Assistance for Victims (B)
- 16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)
- 16.526 OVW Technical Assistance Initiative (B)
- 16.527 Supervised Visitation, Safe Havens for Children (B)
- 16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)



# Program Descriptions Not Updated for FY 2011

## **U.S. DEPARTMENT OF STATE**

- 19.020 Charles B. Rangel International Affairs Program (B)
- 19.021 Investing in People in The Middle East and North Africa (B)
- 19.022 Educational and Cultural Exchange Programs Appropriation Overseas Grants (B)
- 19.025 U.S. Ambassadors Fund for Cultural Preservation (B)
- 19.124 U.S. Department of State (B)
- 19.700 General Department of State Assistance (B)

## **FEDERAL MEDIATION AND CONCILIATION SERVICE**

- 34.002 Labor Management Cooperation (B)

## **NATIONAL AERONAUTICS AND SPACE ADMINISTRATION**

- 43.001 Science (B,C,I,M)
- 43.002 Aeronautics (L)
- 43.003 Exploration (B,C,I,J,L,M)
- 43.007 Space Operations (B)
- 43.008 Education (B)
- 43.009 Cross Agency Support (B)
- 43.010 Construction & Environmental Compliance & Remediation (B)
- 43.011 Office of Inspector General (B,C,I,J,K,L,N)

## **SMALL BUSINESS ADMINISTRATION**

- 59.058 Federal and State Technology Partnership Program (B)

## **DEPARTMENT OF VETERANS AFFAIRS**

- 64.029 Purchase Care Program (C)
- 64.030 Life Insurance for Veterans Face Amount of New Life Insurance Policies Issued (G)
- 64.031 Life Insurance for Veterans - Direct Payments for Insurance (G)

## **DEPARTMENT OF ENERGY**

- 81.065 Nuclear Waste Disposal Siting (B,C)
- 81.121 Nuclear Energy Research, Development and Demonstration (B)

## **MILLENNIUM CHALLENGE CORPORATION**

- 85.002 MCC Foreign Assistance for Overseas Programs (B,C)
- 85.003 MCC Domestic Assistance for Overseas Programs (B,C)

## **BROADCASTING BOARD OF GOVERNORS**

- 90.500 International Broadcasting Independent Grantee Organizations (B)

## **JAPAN U.S. FRIENDSHIP COMMISSION**

- 90.300 Japan-U.S. Friendship Commission Grants (B)

## **U.S. ELECTION ASSISTANCE COMMISSION**

- 90.400 Help America Vote College Program (B)
- 90.403 U.S. Election Assistance Commission Research Grants (B)

## **UNITED STATES INSTITUTE OF PEACE**

- 91.001 Annual Grant Competition (B)
- 91.002 Priority Grant Competition (B)
- 91.003 91.003 Annual Senior Fellowship Competition (B)

## **DEPARTMENT OF HEALTH AND HUMAN SERVICES**

- 93.001 Civil Rights and Privacy Rule Compliance Activities (K,N)
- 93.007 Public Awareness Campaigns on Embryo Adoption (B)
- 93.008 Medical Reserve Corps Small Grant Program (B)
- 93.015 HIV Prevention Programs for Women (B)
- 93.018 Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission (B)
- 93.019 Technical Assistance and Provision for Foreign Hospitals and Health Organizations (B)
- 93.052 National Family Caregiver Support, Title III, Part E (A)
- 93.053 Nutrition Services Incentive Program (A)

- 93.071 Medicare Enrollment Assistance Program (A,B)
- 93.072 Lifespan Respite Care Program (B)
- 93.140 Intramural Research Training Award (B)
- 93.172 Human Genome Research (B)
- 93.187 Undergraduate Scholarship Program for Individuals from Disadvantaged Backgrounds (B)
- 93.206 Human Health Studies\_Applied Research and Development (B)
- 93.285 National Institutes of Health Pediatric Research Loan Repayment Program (C)
- 93.297 Teenage Pregnancy Prevention Program (B)
- 93.310 Trans-NIH Research Support (B,M)
- 93.451 The Linkage to Life Program: Rebuilding Broken Bridges for Minority Families Impacted by HIV/AIDS. (B)
- 93.452 Health Improvement for Re-entering Ex-offenders Initiative (HIRE) HIV/AIDS (B)
- 93.453 Coalition for a Healthier Community (B)
- 93.517 Affordable Care Act Aging and Disability Resource Center (B)
- 93.518 93.518 - Affordable Care Act - Medicare Improvements for Patients and Providers (A,B)
- 93.535 Affordable Care Act (ACA) Childhood Obesity Research Demonstration (B)
- 93.701 Trans-NIH Recovery Act Research Support (B)
- 93.702 National Center for Research Resources, Recovery Act Construction Support (B)
- 93.704 Trans-NIH Recovery Act Loan Repayment Support (C)
- 93.705 Aging Home-Delivered Nutrition Services for States (A)
- 93.707 Aging Congregate Nutrition Services for States (A)
- 93.725 ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program (B)
- 93.729 ARRA Health Information Technology and Public Health (B)
- 93.730 ARRA Prevention Research Centers Comparative Effectiveness Research Program (B)
- 93.731 ARRA - Prevention and Wellness - Leveraging National Organizations (B)
- 93.856 Microbiology and Infectious Diseases Research (B)

## **CORPORATION FOR NATIONAL AND COMMUNITY SERVICE**

- 94.019 Social Innovation Fund (B)
- 94.021 Volunteer Generation Fund (B)
- 94.022 Nonprofit Capacity Building (B)

## **EXECUTIVE OFFICE OF THE PRESIDENT**

- 95.001 High Intensity Drug Trafficking Areas Program (B)

## **DEPARTMENT OF HOMELAND SECURITY**

- 97.123 Multi-State Information Sharing and Analysis Center (B)

# ARCHIVED PROGRAMS

This index provides a list of CFDA programs archived within the fiscal year. Administering agencies archive programs for a variety of reasons to include budget authority expiration, program consolidation, or change in operational status. The date archived is provided for each program.

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## DEPARTMENT OF AGRICULTURE

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### 10.073 Crop Disaster Program

Archived on 08/30/11

### 10.169 Specialty Crop Block Grant Program

Archived on 09/18/11

### 10.206 Grants for Agricultural Research\_Compétitive Research Grants

Archived on 08/29/11

### 10.441 Technical and Supervisory Assistance Grants

Archived on 08/09/11

### 10.442 Housing Application Packaging Grants

Archived on 08/09/11

### 10.445 Direct Housing\_Natural Disaster

Archived on 09/06/11

### 10.695 Eastern Nevada Landscape Restoration Project (ENLRP)

Archived on 09/12/11

### 10.999 Long Term Standing Agreements For Storage, Transportation And Lease

Archived on 09/16/11

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

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### 14.112 Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects

Archived on 07/22/11

### 14.227 Community Development Block Grants/Technical Assistance Program

Archived on 07/26/11

### 14.260 Veterans Homelessness Prevention Demonstration Program

Archived on 08/16/11

### 14.514 Hispanic-Serving Institutions Assisting Communities

Archived on 07/25/11

### 14.515 Alaska Native/Native Hawaiian Institutions Assisting Communities

Archived on 07/25/11

### 14.519 Tribal Colleges and Universities Program

Archived on 07/25/11

### 14.520 Historically Black Colleges and Universities Program

Archived on 07/25/11

### 14.882 Native American Housing Block Grants (Formula) Recovery Act Funded

Archived on 08/01/11

### 14.890 Capital Fund Education and Training Community Facilities

Archived on 08/01/11

## DEPARTMENT OF LABOR

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### 17.262 WIA Evaluation

Archived on 08/16/11

### 17.266 Work Incentive Grants

Archived on 08/16/11

### 17.269 Community Based Job Training Grants

Archived on 07/25/11

## DEPARTMENT OF TRANSPORTATION

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### 20.241 Federal Motor Carrier Safety Administration National Training

## Center

Archived on 08/05/11

### 20.242 Medical Programs

Archived on 08/05/11

### 20.722 Technology Development Grant

Archived on 07/19/11

## ENVIRONMENTAL PROTECTION AGENCY

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### 66.036 Clean School Bus USA

Archived on 06/23/11

### 66.111 Regional Environmental Priority Projects

Archived on 07/06/11

### 66.117 Region 9 Multi-Media and Geographic Priority Projects

Archived on 08/25/11

### 66.312 State Environmental Justice Cooperative Agreement Program

Archived on 07/06/11

### 66.512 Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects

Archived on 07/06/11

## DEPARTMENT OF EDUCATION

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### 84.384 Statewide Data Systems, Recovery Act

Archived on 09/12/11

### 84.386 Education Technology State Grants, Recovery Act

Archived on 09/12/11

### 84.387 Education for Homeless Children and Youth, Recovery Act

Archived on 09/06/11

### 84.388 School Improvement Grants, Recovery Act

Archived on 09/16/11

### 84.389 Title I Grants to Local Educational Agencies, Recovery Act

Archived on 09/16/11

### 84.391 Special Education Grants to States, Recovery Act

Archived on 09/06/11

### 84.392 Special Education - Preschool Grants, Recovery Act

Archived on 09/12/11

### 84.393 Special Education - Grants for Infants and Families, Recovery Act

Archived on 09/12/11

### 84.394 State Fiscal Stabilization Fund (SFSF) - Education State Grants, Recovery Act

Archived on 09/12/11

### 84.395 State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act

Archived on 09/12/11

### 84.396 State Fiscal Stabilization Fund (SFSF) - Investing in Innovation (i3) Fund, Recovery Act

Archived on 09/12/11

### 84.397 State Fiscal Stabilization Fund (SFSF) - Government Services, Recovery Act

Archived on 09/12/11

### 84.398 Independent Living State Grants, Recovery Act

Archived on 09/12/11

# ARCHIVED PROGRAMS

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**84.399 Independent Living Services for Older Individuals Who are Blind, Recovery Act**

Archived on 09/12/11

**84.400 Centers for Independent Living, Recovery Act.**

Archived on 09/12/11

**84.401 Impact Aid School Construction, Recovery Act**

Archived on 09/12/11

**84.402 Consolidated Grants to the Outlying Areas, Recovery Act**

Archived on 09/12/11

**84.404 Impact Aid -- School Construction Formula Grants, Recovery Act**

Archived on 09/12/11

**84.405 Teacher Quality Partnerships, Recovery Act**

Archived on 09/12/11

**84.406 Capacity Building for Traditionally Underserved Populations, Recovery Act.**

Archived on 09/16/11

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

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**93.012 Improving, Enhancing, and Evaluating Outcomes of Comprehensive Heart Health Care Programs for High-Risk Women**

Archived on 10/18/10

**93.014 Steps to Healthier Girls Program**

Archived on 10/18/10

**93.294 Mentoring Partnership Program - Protege**

Archived on 10/18/10

**93.760 Rural PACE (Program of All-Inclusive Care for the Elderly) Provider Grant Program**

Archived on 07/28/11

**93.769 Demonstration to Maintain Independence and Employment**

Archived on 07/28/11

**93.993 Public Health Research Accreditation Project**

Archived on 08/10/11

**DEPARTMENT OF HOMELAND SECURITY**

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**97.070 Map Modernization Management Support**

Archived on 09/15/11

# ADDED PROGRAMS

This index provides a list of CFDA programs added to the catalog within the fiscal year. The date added is provided for each program.

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## DEPARTMENT OF AGRICULTURE

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**10.087 Biomass Crop Assistance Program**

Added on 04/07/11

**10.089 Livestock Forage Disaster Program**

Added on 11/26/10

**10.091 Emergency Assistance for Livestock, Honeybees, and Farm-Raised Fish Program**

Added on 01/03/11

**10.095 Durum Wheat Quality Program**

Added on 11/28/10

**10.103 2009 Aquaculture Grant Program**

Added on 01/03/11

**10.104 Poultry Loss Contract Grant Assistance Program**

Added on 01/25/11

**10.171 Organic Certification Cost Share Programs**

Added on 05/08/11

**10.322 Distance Education Grants for Institutions of Higher Education in Insular Areas**

Added on 11/17/10

**10.324 Afghanistan Agricultural Extension Project (AAEP)**

Added on 05/27/11

**10.325 Peoples Garden Grant Program**

Added on 07/22/11

**10.465 Farmworker Training Grant Program**

Added on 07/28/11

**10.586 Office of Research and Analysis (ORA) Grants/Cooperative Agreements to Meet Food, Nutrition and Health Needs of Program Eligible Participants**

Added on 04/16/11

**10.588 Assessment of Alternatives to Face-to-Face Interviews in SNAP**

Added on 05/11/11

**10.610 Export Guarantee Program**

Added on 11/26/10

**10.613 Faculty Exchange Program**

Added on 08/26/11

**10.614 Scientific Cooperation Exchange Program with China**

Added on 09/17/11

**10.866 Repowering Assistance**

Added on 11/28/10

**10.867 BIOENERGY PROGRAM FOR ADVANCED BIOFUELS**

Added on 10/25/10

**10.874 Delta Health Care Services Grant Program**

Added on 06/16/11

**10.924 Conservation Stewardship Program**

Added on 06/26/11

**10.925 Agricultural Water Enhancement Program**

Added on 08/12/11

**10.926 Chesapeake Bay Watershed Program**

Added on 08/12/11

**10.998 Long Term Standing Agreements for Storage, Transportation, and**

**Lease**

Added on 05/18/11

## DEPARTMENT OF DEFENSE

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**12.217 Electronic Absentee Systems for Elections**

Added on 03/30/11

**12.330 Science, Technology, Engineering & Mathematics (STEM) for K-12 & Institutions of Higher Learning- NAVY**

Added on 04/12/11

**12.335 Navy Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance**

Added on 05/26/11

**12.369 Marine Corps Systems Command Federal Assistance Program**

Added on 04/28/11

**12.597 Task Force for Business & Stability Operations**

Added on 08/24/11

**12.600 Community Economic Adjustment**

Added on 10/22/10

**12.750 Uniformed Services University Medical Research Projects**

Added on 08/11/11

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

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**14.005 Choice Neighborhoods Planning Grants**

Added on 09/23/11

**14.264 Neighborhood Stabilization Program**

Added on 07/24/11

**14.319 Multifamily Energy Innovation Fund**

Added on 08/19/11

**14.322 Tenant Resource Network Program**

Added on 07/20/11

**14.323 Emergency Homeowners Loan Program**

Added on 05/19/11

**14.421 Limited English Proficiency Initiative**

Added on 07/08/11

**14.529 Fellowship Placement Pilot Program**

Added on 08/03/11

**14.705 Capacity Building for Sustainable Communities**

Added on 06/03/11

## DEPARTMENT OF THE INTERIOR

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**15.149 FOCUS on Student Achievement Project**

Added on 06/04/11

**15.150 Juvenile Detention Education**

Added on 06/05/11

**15.151 Education Program Enhancements**

Added on 06/05/11

**15.429 State Select**

Added on 05/25/11

**15.430 8(g) State Coastal Zone**

Added on 05/25/11

**15.431 Alaska State Select**

Added on 05/25/11

# ADDED PROGRAMS

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**15.432 California Refuge Account**

Added on 05/25/11

**15.433 Flood Control Act Lands**

Added on 05/25/11

**15.434 Geothermal Resources**

Added on 05/25/11

**15.435 GoMESA**

Added on 05/25/11

**15.436 Late Disbursement Interest**

Added on 05/26/11

**15.437 Minerals Leasing Act**

Added on 05/26/11

**15.438 National Forest Acquired Lands**

Added on 05/26/11

**15.439 National Petroleum Reserve - Alaska**

Added on 05/26/11

**15.440 South Half of the Red River**

Added on 05/26/11

**15.547 San Jacinto Basin Restoration Fund**

Added on 05/19/11

**15.548 Reclamation Rural Water Supply Program**

Added on 06/11/11

**15.549 Integrated Regional Water Plan for the Central Valley of California**

Added on 06/11/11

**15.550 Increasing Public Awareness of Recreational Opportunities at Reclamation Reservoirs for Physically Challenged and Disadvantaged Children**

Added on 06/11/11

**15.551 Madera Water Supply Enhancement Project**

Added on 06/04/11

**15.662 Great Lakes Restoration**

Added on 12/02/10

**15.663 National Fish and Wildlife Foundation**

Added on 12/01/10

**15.664 Fish and Wildlife Coordination and Assistance Programs**

Added on 12/17/10

**15.665 National Wetlands Inventory**

Added on 12/01/10

**15.666 Endangered Species Conservation-Wolf Livestock Loss Compensation and Prevention**

Added on 12/01/10

**15.667 Highlands Conservation Program**

Added on 05/06/11

**15.668 Coastal Impact Assistance Program**

Added on 04/15/11

**15.669 Cooperative Landscape Conservation**

Added on 05/13/11

**15.670 Adaptive Science**

Added on 05/13/11

**15.939 National Heritage Area Federal Financial Assistance**

Added on 12/02/10

**15.940 New Bedford Whaling National Historic Park Cooperative**

**Management**

Added on 12/16/10

**15.941 Mississippi National River and Recreation Area State and Local Assistance**

Added on 12/02/10

**15.942 Environmental Education and Conservation - North Cascades Bioregion**

Added on 12/02/10

**15.943 Challenge Cost Share**

Added on 11/18/10

**15.944 Natural Resource Stewardship**

Added on 12/15/10

**15.945 Cooperative Research and Training Programs Resources of the National Park System**

Added on 05/22/11

**15.946 Cultural Resources Management**

Added on 05/22/11

**15.947 Boston Harbor Islands Partnership**

Added on 05/22/11

**15.948 National Fire Plan- Wildland Urban Interface Community Fire Assistance**

Added on 06/10/11

**15.949 National Fire Plan - Rural Fire Assistance**

Added on 06/10/11

**DEPARTMENT OF LABOR**

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**17.283 Workforce Innovation Fund**

Added on 07/22/11

**U.S. DEPARTMENT OF STATE**

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**19.023 Overseas Schools Program**

Added on 03/17/11

**19.024 Soft Target Program for Overseas Schools**

Added on 05/19/11

**19.026 Global Peace Operations Initiative**

Added on 09/07/11

**19.087 International Fisheries Commissions**

Added on 02/14/11

**19.123 EUR/ACE Humanitarian Assistance Program**

Added on 01/21/11

**19.124 U.S. Department of State**

Added on 12/07/10

**19.221 Near East Regional Democracy**

Added on 06/22/11

**19.440 IIP Individual Grants**

Added on 05/26/11

**19.450 ECA Individual Grants**

Added on 06/16/11

**19.515 Contributions to International Organizations for Overseas Assistance**

Added on 08/20/11

**19.600 Bureau of Near Eastern Affairs (NEA)**

Added on 07/27/11

**19.666 EUR/ACE National Endowment for Democracy Small Grants**

Added on 01/25/11



# ADDED PROGRAMS

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## **19.800 Weapons Removal and Abatement**

Added on 02/01/11

## **19.801 Office of Global Women's Issues**

Added on 06/23/11

## **19.878 EUR-Other**

Added on 01/28/11

## **19.901 Export Control and Related Border Security**

Added on 04/15/11

## **DEPARTMENT OF TRANSPORTATION**

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### **20.723 PHMSA Pipeline Safety Research and Development Other Transaction Agreements**

Added on 06/11/11

## **EQUAL EMPLOYMENT OPPORTUNITY COMMISSION**

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### **30.013 Employment Discrimination-Title II of the Genetic Information Nondiscrimination Act of 2008**

Added on 07/22/11

## **NATIONAL AERONAUTICS AND SPACE ADMINISTRATION**

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### **43.003 Exploration**

Added on 11/01/10

### **43.007 Space Operations**

Added on 11/01/10

### **43.008 Education**

Added on 11/01/10

### **43.009 Cross Agency Support**

Added on 11/01/10

### **43.010 Construction & Environmental Compliance & Remediation**

Added on 11/01/10

### **43.011 Office of Inspector General**

Added on 11/01/10

## **SMALL BUSINESS ADMINISTRATION**

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### **59.059 Congressional Grants**

Added on 03/25/11

### **59.060 Small Business Teaming Pilot Program**

Added on 03/25/11

### **59.061 State Trade and Export Promotion Pilot Grant Program**

Added on 04/03/11

## **DEPARTMENT OF VETERANS AFFAIRS**

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### **64.030 Life Insurance for Veterans Face Amount of New Life Insurance Policies Issued**

Added on 10/28/10

### **64.031 Life Insurance for Veterans - Direct Payments for Insurance**

Added on 10/28/10

### **64.032 Montgomery GI Bill Selected Reserve; Reserve Educational Assistance Program**

Added on 06/10/11

### **64.033 VA Supportive Services for Veteran Families Program**

Added on 07/31/11

### **64.034 VA Assistance to United States Paralympic Integrated Adaptive Sports Program**

Added on 10/29/11

## **ENVIRONMENTAL PROTECTION AGENCY**

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### **66.126 The San Francisco Bay Water Quality Improvement Fund**

Added on 10/22/10

### **66.127 Southeastern U.S. Regional Targeted Watershed Initiative**

Added on 08/24/11

### **66.313 International Compliance and Enforcement Projects**

Added on 11/08/10

### **66.440 Urban Waters Small Grants**

Added on 09/24/11

## **DEPARTMENT OF ENERGY**

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### **81.214 Environmental Monitoring/Cleanup, Cultural and Resource Mgmt., Emergency Response Research, Outreach, Technical Analysis**

Added on 11/28/10

## **DEPARTMENT OF EDUCATION**

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### **84.411 Investing in Innovation (i3) Fund**

Added on 05/15/11

### **84.412 Race to the Top Early Learning Challenge**

Added on 07/24/11

## **DEPARTMENT OF HEALTH AND HUMAN SERVICES**

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### **93.011 National Organizations of State and Local Officials**

Added on 01/29/11

### **93.016 Postal Model for Medical Countermeasures Delivery and Distribution**

Added on 12/23/10

### **93.055 Applied Leadership for Community Health Improvement**

Added on 04/01/11

### **93.056 Initiative to Educate State and Territorial Officials about Maintaining and Strengthening Public Health in a Changing Environment**

Added on 04/15/11

### **93.339 Public Health Conference Support**

Added on 02/14/11

### **93.528 National Forum for State and Territorial Chief Executives**

Added on 01/19/11

### **93.529 Pre-existing Condition Insurance Program (PCIP)**

Added on 02/25/11

### **93.530 Affordable Care Act - Teaching Health Center Graduate Medical Education Payments Program**

Added on 11/02/10

### **93.531 The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Community Transformation Grants and National Dissemination and Support for Community Transformation Grants**

Added on 04/11/11

### **93.533 Prevention and Public Health Fund (Affordable Care Act): Enhanced Surveillance for New Vaccine Preventable Disease**

Added on 04/11/11

### **93.534 Affordable Care Act Program for Early Detection of Certain Medical Conditions Related to Environmental Health Hazards**

Added on 12/18/10

### **93.535 Affordable Care Act (ACA) Childhood Obesity Research Demonstration**

Added on 01/03/11

### **93.536 The Affordable Care Act Medicaid Incentives for Prevention of Chronic Disease Demonstration Project**

Added on 02/23/11

### **93.537 Affordable Care Act Medicaid Emergency Psychiatric Demonstration**

Added on 01/03/11

# ADDED PROGRAMS

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**93.538 Affordable Care Act - National Environmental Public Health Tracking Program-Network Implementation**

Added on 02/14/11

**93.539 Prevention and Public Health Fund (Affordable Care Act) - Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance**

Added on 03/29/11

**93.540 Affordable Care Act Streamlined surveillance for ventilator-associated pneumonia: Reducing burden and demonstrating preventability**

Added on 03/29/11

**93.541 The Patient Protection and Affordable Care Act of 2010 (ACA)**

Added on 04/15/11

**93.542 Health Promotion and Disease Prevention Research Centers: Affordable Care Act Projects**

Added on 04/01/11

**93.544 The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Coordinated Chronic Disease prevention and Health Promotion Program**

Added on 06/08/11

**93.545 Consumer Operated and Oriented Plan [CO-OP] Program**

Added on 07/25/11

**93.546 Early Retiree Reinsurance Program**

Added on 07/05/11

**93.547 Affordable Care Act National Health Service Corps**

Added on 07/30/11

**93.548 The Patient Protection and Affordable Care Act of 2010 (2010) Nutrition, Physical Activity and Obesity Program**

Added on 08/19/11

**93.549 Affordable Care Act (ACA) The Primary Care Services Resource Coordination and Development Program**

Added on 09/08/11

**93.606 Affordable Care Act - Preparedness and Emergency Response Learning Centers**

Added on 08/28/11

**93.607 Affordable Care Act - Preparedness and Emergency Response Research Centers: A Public Health Systems Approach**

Added on 08/27/11

**93.796 State Survey Certification of Health Care Providers and Suppliers (Title XIX) Medicaid**

Added on 10/15/10

**DEPARTMENT OF HOMELAND SECURITY**

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**97.101 National Fallen Firefighters Memorial**

Added on 08/01/11

**97.126 National Special Security Event**

Added on 09/16/11

**97.127 Cybersecurity Education and Training Assistance Program (CETAP)**

Added on 04/27/11

**97.129 Securing Critical Underground Infrastructure Pilot Program**

Added on 07/06/11





# CROSSWALK OF CHANGES TO PROGRAM NUMBERS AND TITLES

This index highlights those CFDA programs that had a program title or number change within the fiscal year. The historical crosswalk in Appendix VII reflects the full program change history.

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## **Title Changes**

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97.062 Scientific Leadership Awards

### **DEPARTMENT OF AGRICULTURE**

- 10.256 Consumer Data and Information Program
- 10.858 Denali Commission Grants and Loans

### **DEPARTMENT OF DEFENSE**

- 12.550 The Language Flagship Grants to Institutions of Higher Education
- 12.553 The Language Flagship Fellowships

### **DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**

- 14.171 Manufactured Home Dispute Resolution
- 14.416 Education and Outreach Initiatives
- 14.417 Fair Housing Organization Initiatives

### **DEPARTMENT OF THE INTERIOR**

- 15.254 Summer Intern and Year-Long OSM/VISTA Watershed Support
- 15.507 WaterSMART (Sustaining and Manage America's Resources for Tomorrow)
- 15.611 Wildlife Restoration and Basic Hunter Education
- 15.626 Enhanced Hunter Education and Safety Program
- 15.654 Visitor Facility Enhancements - Refuges and Wildlife
- 15.820 National Climate Change and Wildlife Science Center

### **DEPARTMENT OF JUSTICE**

- 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program

### **DEPARTMENT OF TRANSPORTATION**

- 20.933 National Infrastructure Investments

### **NATIONAL AERONAUTICS AND SPACE ADMINISTRATION**

- 43.001 Science
- 43.002 Aeronautics

### **ENVIRONMENTAL PROTECTION AGENCY**

- 66.309 Surveys, Studies, Investigations, Training and Special Purpose Activities Relating to Environmental Justice
- 66.609 Protection of Children from Environmental Health Risks
- 66.714 Regional Agricultural IPM Grants
- 66.815 Environmental Workforce Development and Job Training Cooperative Agreements

### **DEPARTMENT OF ENERGY**

- 81.022 Laboratory Equipment Donation Program

### **DEPARTMENT OF EDUCATION**

- 84.013 Title I State Agency Program for Neglected and Delinquent Children and Youth
- 84.206 Javits Gifted and Talented Students Education

### **DEPARTMENT OF HEALTH AND HUMAN SERVICES**

- 93.092 Affordable Care Act (ACA) Personal Responsibility Education Program
- 93.093 Affordable Care Act (ACA) Health Profession Opportunity Grants
- 93.235 Affordable Care Act (ACA) Abstinence Education Program
- 93.308 National Institute on Minority Health and Health Disparities (NIMHD) Extramural Loan Repayment Programs
- 93.645 Stephanie Tubbs Jones Child Welfare Services Program

### **DEPARTMENT OF HOMELAND SECURITY**

- 97.019 National Fire Academy Fellowship
- 97.052 Emergency Operations Center



# PROGRAM DESCRIPTIONS

The following section provides the complete program text for each CFDA program as submitted by the administering agency.

## DEPARTMENT OF AGRICULTURE

### 10.001 AGRICULTURAL RESEARCH\_BASIC AND APPLIED RESEARCH

(Extramural Research).

**FEDERAL AGENCY:**

Agricultural Research Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, Public Law 99-198, 7 U.S.C 427-427i, 1624.

**OBJECTIVES:**

To make agricultural research discoveries, evaluate alternative ways of attaining research goals, and provide scientific technical information.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research is conducted that is in cooperation with and is correlated with the Agricultural Research Service's in-house research programs and projects. Limited discretionary research funds are periodically made available.

**Applicant Eligibility:**

Usually nonprofit institutions of higher education or other nonprofit research organizations, whose primary purpose is conducting scientific research.

**Beneficiary Eligibility:**

Usually nonprofit institutions of higher education or other nonprofit research organizations, whose primary purpose is conducting scientific research.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Letters should be submitted to the Agricultural Research Service, Department of Agriculture. Give name of applicants, location of facilities, and State of incorporation, if any.

**Award Procedure:**

A peer review panel considers each proposal, evaluates the qualifications of applicants in line with research to be undertaken and determines priority for final negotiations of the grant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: None.

**Reports:**

Progress reports, final technical reports, financial statements, and inventions and subaward reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. As performed by cognizant audit agency.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of three years from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency.

**Account Identification:**

12-1400-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$26,337,553; FY 11 est \$26,300,000; and FY 12 est \$21,300,000

**Range and Average of Financial Assistance:**

\$1,000 to \$25,000. Average \$3,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015 and 7 CFR 3019.

**Regional or Local Office:**

See Regional Agency Offices. See the Agricultural Research Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Kathleen S. Townson, 5601 Sunnyside Ave, MS-5110, Betsville, Maryland 20705 Email: kathleen.townson@ars.usda.gov Phone: (301) 504-1702.

**Website Address:**

<http://www.ars.usda.gov>.

**RELATED PROGRAMS:**

10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research; 10.700 National Agricultural Library

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Peer review.

## **10.025 PLANT AND ANIMAL DISEASE, PEST CONTROL, AND ANIMAL CARE**

### **FEDERAL AGENCY:**

Animal and Plant Health Inspection Service, Department of Agriculture

### **AUTHORIZATION:**

Plant Protection Act, Public Law 106-224, 7 U.S.C 7701-7772; Farm Security and Rural Investment Act of 2002, Public Law 107-171, E U.S.C 10401-10418; Animal Welfare Act, as amended, 7 U.S.C 2131-2155.

### **OBJECTIVES:**

To protect U.S. agriculture from economically injurious plant and animal diseases and pests, ensure the safety and potency of veterinary biologic, and ensure the humane treatment of animals.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Conduct surveys, inspections to detect and appraise infestations, eradication and control activities, and carry out regulatory actions to prevent interstate spread of infestations and diseases.

### **Applicant Eligibility:**

Foreign, State, local, and U.S. Territorial government agencies, nonprofit institutions of higher education, and nonprofit associations or organizations requiring Federal support to eradicate, control, or assess the status of injurious plant and animal diseases and pests that are a threat to regional or national agriculture and conduct related demonstration projects.

### **Beneficiary Eligibility:**

Farmers, ranchers, agriculture producers, State, local, U.S. Territorial government agencies, public and private institutions and organizations benefit from Federal assistance to eradicate or control injurious plant and animal diseases and pests that are a threat to regional or national agriculture.

### **Credentials/Documentation:**

Curriculum vitae for principal investigator, except for State, local, and Territorial government cooperators. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

A letter from applicants seeking support or cooperation with the Animal and Plant Health Inspection Service. Applicants must indicate the nature and severity of the problem to be considered and explain how they will address the problem. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Comply with E.O. 12372, "Intergovernmental Review of Federal Programs," and submit a completed Standard Form 424.1, "Department of Agriculture, Application for Federal Assistance (Non-construction)" and project proposal (work plan), financial plan, curriculum vitae, and other required certifications to the appropriate APHIS area, regional, or Headquarters Office. See Regional and Local Office Address Listing.

### **Award Procedure:**

Applications are approved by the Administrator or Authorized Departmental Officers (ADOs) upon determination that the project will contribute toward accomplishment of the Agency's overall mission and meet any established project evaluation/selection criteria.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

From 60 to 120 days.

### **Appeals:**

None.

### **Renewals:**

Based on program needs and availability of annual funding.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Recipients share some project or program costs. The cost-sharing arrangements are developed between USDA and the recipients in advance of the program unless otherwise stated by Congress.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Up to 1 year from the date of award. Funds are made available as required to cover expenditures. See the following for information on how assistance is awarded/released: Funds are provided to recipients when requests for advance or reimbursement are received and approved by the Agency.

### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Requirements are specifically indicated in the award documents and may vary for given programs; however, quarterly financial reports, annual progress reports, final financial and final summary progress reports are generally required. SF-425, Federal Financial Report. Narrative performance progress reports.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Instruction provided in the Notice of Award. Grantees are expected to maintain separate records for each grant to ensure that funds are used for the purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

### **Account Identification:**

12-1600-0-1-352; 12-9971-0-7-352.

### **Obligations:**

(Salaries) FY 10 \$281,360,358; FY 11 est \$263,356,031; and FY 12 est \$147,330,770

### **Range and Average of Financial Assistance:**

No Data Available.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Selected examples of progress: Brucellosis class free status States- 48 states and 3 territories; Tuberculosis-accredited free States: 45 States and 2 Territories. Fiscal Year 2011: Selected examples of progress: Brucellosis class free status States- 48 states and 3 territories; Tuberculosis-accredited free States-49 States and 2 Territories. Fiscal Year 2012: Selected examples of progress: Brucellosis class free status States- 49 states and 3 territories; Tuberculosis-accredited free States: 47 States and 2 Territories.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015, Uniform Federal Assistance Regulations; 7 CFR 3017, Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug- Free Workplace (Grants); 7 CFR 3018, New Restrictions on Lobbying; 7 CFR 3019, Uniform Federal Assistance Regulations for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, 7 CFR 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

### **Regional or Local Office:**

See Regional Agency Offices. Consult Appendix IV of the Catalog for addresses of regional offices of the Animal and Plant Health Inspection Service.



**Headquarters Office:**

Eileen M. Berke, 4700 River Road, Unit 55, Suite 3B06, Riverdale, Maryland 20737 Email: eileen.m.berke@aphis.usda.gov Phone: (301) 734-8330.

**Website Address:**

<http://www.aphis.usda.gov>.

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.028 Wildlife Services; 10.202 Cooperative Forestry Research; 10.207 Animal Health and Disease Research; 10.215 Sustainable Agriculture Research and Education; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research; 10.902 Soil and Water Conservation; 12.100 Aquatic Plant Control; 15.611 Wildlife Restoration

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.028 WILDLIFE SERVICES****FEDERAL AGENCY:**

Animal and Plant Health Inspection Service, Department of Agriculture

**AUTHORIZATION:**

Animal Damage Control Act of 1931, 7 U.S.C 426,426b, 426c.

**OBJECTIVES:**

To reduce damage caused by mammals and birds and those mammal and bird species that are reservoirs for zoonotic diseases, (except for urban rodent control through control and research activities). Wherever feasible, humane methods will be emphasized.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Works closely with State departments of fish and game, agriculture, health, and counties in joint efforts to alleviate wild animal damage. Conduct surveys, campaigns to reduce wild animal damage including bird problems at airports, develop methods to control wild animal damage, and provide technical advice and assistance. For direct technical assistance, State fish and game departments should be contacted.

**Applicant Eligibility:**

State and local governments, federally recognized Indian tribal governments, public/private nonprofit organizations, nonprofit institutions of higher education, and individuals.

**Beneficiary Eligibility:**

States, local jurisdictions, U.S. Territorial government agencies, federally recognized Indian tribal governments, public and private institutions and organizations, farmers, ranchers, agricultural producers, and land/property owners benefit from Federal assistance in the control of nuisance mammals and birds and those mammal and bird species that are reservoirs for zoonotic diseases, except for urban rodent control. [COMMENT: PLEASE EXPLAIN WHAT IS MEANT BY "EXCEPT FOR RODENT CONTROL."].

**Credentials/Documentation:**

Curriculum vitae for principal investigator, except for State, local, and Territorial government cooperators. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program.

**Award Procedure:**

Applications are approved by the Administrator or authorized departmental officers (ADO's) upon determination that the project will contribute toward accomplishment of the Agency's overall mission and meet any established project evaluation/selection criteria.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Based on program needs and availability of annual funding.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to one year from the date of award. See the following for information on how assistance is awarded/released: Funds are provided to recipients when requests for advance or reimbursement are received and approved by the Agency.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Instruction provided in the Notice of Award. Grantees are expected to maintain separate records for each grant to ensure that funds are used for the purpose for which the grant was made. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

12-1600-0-1-352.

**Obligations:**

(Salaries) FY 10 \$5,964,345; FY 11 est \$3,395,422; and FY 12 est \$3,397,675 - APHIS has a difference between budget authority and obligations because there is carryover funding available from no year funding.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015, Uniform Federal Assistance Regulations; 7 CFR 3017, Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug- Free Workplace (Grants); 7 CFR 3018, New Restrictions on Lobbying; 7 CFR 3019, Uniform Federal Assistance Regulations for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, 7 CFR 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Eileen M. Berke, 4700 River Road, Unit 55, Suite 3B06, Riverdale, Maryland 20737 Email: eileen.m.berke@aphis.usda.gov Phone: (301) 734-8330.

**Website Address:**

http://www.aphis.usda.gov.

**RELATED PROGRAMS:**

10.025 Plant and Animal Disease, Pest Control, and Animal Care; 10.652 Forestry Research; 15.611 Wildlife Restoration

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Relevance to agency program mission and qualification of principle investigator and institution.

**10.051 COMMODITY LOANS AND LOAN DEFICIENCY PAYMENTS**

(Price Supports)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Public Law 110-246.

**OBJECTIVES:**

To improve and stabilize farm income, to assist in bringing about a better balance between supply and demand of the commodities, and to assist farmers in the orderly marketing of their crops.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Loans and loan deficiency payments (LDP's) give farmers a means of promoting more orderly marketing. Loans to producers may be "nonrecourse" which means that producers have the option of forfeiting the collateral to CCC at loan maturity in full satisfaction of the loan obligation; or "recourse" for low quality grain, or un-ginned seed cotton, which means that producers must repay the loans by maturity." If market prices are above the support level producers may repay their loans at the original loan principal plus interest and market their commodities. When market prices are low, most nonrecourse commodity loan repayments are less than the original loan principal plus interest. Eligible commodities for loans are feed grains, wheat, rice, peanuts, tobacco, upland cotton, extra-long staple cotton, sugar, soybeans, crambe, canola, flaxseed, mustard seed, rapeseed, safflower, and sunflower seed. LDP's are offered for feed grains, wheat, upland cotton, rice, soybeans, crambe, canola, flaxseed, mustard seed, rapeseed, safflower, and sunflower seed. If the loan repayment rates for these commodities are less than the established loan levels, producers may, for most commodities that are eligible for a nonrecourse loan, agree to forego such loan and elect to receive an LDP. The LDP payment rate equals the amount by which the loan rate exceeds the loan repayment rate in effect at the time the LDP application is approved, or the delivery date for commodities delivered directly to processor, buyer, or warehouse from the field.

**Applicant Eligibility:**

Owner, landlord, tenant, or sharecropper on an eligible farm that has produced the eligible commodities or, in the case of sugar, a processor or refiner who meets program requirements as announced by the Secretary.

**Beneficiary Eligibility:**

Owner, landlord, tenant, or sharecropper on a farm that has produced the eligible commodities, meets program requirements as announced by the Secretary, and maintains beneficial interest in the commodity.

**Credentials/Documentation:**

Record of farming operation must be on file in the FSA county office. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. In the case of warehouse-stored commodities, producer or Cooperative Marketing Association presents warehouse receipts to the FSA county office (warehouse-stored peanut and tobacco loans are made through producer associations). In the case of farm-stored commodities (including sugar), producer/processor or Cooperative Marketing Association requests a loan at the FSA county office.

**Award Procedure:**

Applications are approved by the FSA upon determination that applicant and commodity are eligible.

**Deadlines:**

Sep 30, 2009 Loans and LDP's are available for wheat, barley, oats, canola, flaxseed, crambe, and rapeseed and loans are available for quota peanuts pledged as collateral for farm-stored loans through March 31 of the year following the year in which the crop is normally harvested. Loans and LDP's are available for rice, corn, grain sorghum, cotton, soybeans, safflower, sunflower seed and mustard seed through May 31 of the year following the year in which the crop is normally harvested. Loans are available for sugar through September 30.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. Approximately 3 days.

**Appeals:**

From 60 to 90 days. Applications may be reviewed by county, State, or national offices.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is generally available for 9 months or less, and is normally disbursed on a lump-sum basis. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic and required spot checks of farm-stored grain will be made by the county FSA office. Recipients are subject to audit by Office of Inspector General, USDA.

**Records:**

Not applicable.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Loans) FY 10 \$7,189,585,000; FY 11 est \$7,014,700,000; and FY 12 est \$7,884,187,000. (Direct Payments with Unrestricted Use) FY 10 \$191,647,000; FY 11 est \$36,565,000; and FY 12 est \$7,176,000 - Loan Deficiency Payments.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations published in the Federal Register 7 CFR, Chapter XIV, Parts 1421, 1425, 1427, 1430, 1434, 1435, 1446, and 1464; announcements issued to news media and letters to producers; " FSA Commodity Fact Sheets, " no cost: The Price Support Program," BI-4-USDA, no cost; Farm Service Agency, Department of Agriculture, STOP 0532, 1400 Independence Avenue S.W., Washington, DC 20250-0532.

**Regional or Local Office:**

None. Consult the local telephone directory for location of the FSA county office. If no listing, get in touch with appropriate FSA State office listed under the Farm Service Agency section of Appendix IV of the Catalog.

**Headquarters Office:**

Raellen Erickson, 1400 Independence Avenue, SW, Stop 0512, Washington, District of Columbia 20250-0512 Email: Raellen.Erickson@wdc.usda.gov Phone: (202) 720-7901 Fax: (202) 690-3307.

**Website Address:**

<http://www.fsa.usda.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.053 DAIRY INDEMNITY PROGRAM**

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Act of August 13, 1968, 82 Stat. 750, 7 U.S.C 450j-450l.

**OBJECTIVES:**

To protect dairy farmers and manufacturers of dairy products who through no fault of their own, are directed to remove their milk or dairy products from commercial markets because of contamination from pesticides which have been approved for use by the Federal government. Dairy farmers can also be indemnified because of contamination with chemicals or toxic substances, nuclear radiation or fallout.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Fair market value for the milk is paid to the dairy farmer who is unable to market because of any of the violating substances, and the fair market value of the dairy product is paid to the manufacturer who is unable to market because of pesticide residue. No payment may be made to any dairy farmer or any manufacturer whose milk or dairy product was removed from the market as a result of his negligence or his willful failure to follow procedures prescribed by the Federal government.

**Applicant Eligibility:**

Dairy farmers whose milk has been removed from the market by a public agency because of residue of any violating substance in such milk. Manufacturers of dairy products whose product has been removed from the market by a public agency because of pesticide residue in such product. This program is also available in Puerto Rico.

**Beneficiary Eligibility:**

Dairy farmers whose milk has been removed from the market by a public agency because of residue of any violating substance in such milk. Manufacturers of dairy products whose product has been removed from the market by a public agency because of pesticide residue in such product. This program is available in Puerto Rico.

**Credentials/Documentation:**

In the case of a dairy farmer, the notice removing the milk from the market along with a record of past marketing records for milk to determine the quantity and value of the milk not marketed, the violating substance involved and the uses of such violating substances during the previous 24 months. In the case of

the manufacturer of dairy products, the notice removing the product from the market and sufficient data to determine the value of the product. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Producers must file an application for payment on Form FSA-373 with the local county FSA office. Manufacturers must file information on the cause and amount of their loss with the local county FSA office.

**Award Procedure:**

Initial approval is made by the county FSA committee. Final approval is made by the Price Support Division in Washington, DC.

**Deadlines:**

Dec 31, 2009 Claims must be filed by December 31 following the fiscal year in which the loss is incurred.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Applicants may appeal to the county Farm Service Agency Committee and to the FSA, Department of Agriculture, Appeals and Litigation Group, 1400 Independence Avenue, SW., Washington, DC 20250-0570.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payment is made by Commodity Credit Corporation (CCC) check after claim approval. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

The dairy farmer and the manufacturer of dairy products must keep any records in applying for a payment for 3 years following the year in which an application for payment was filed.

**Account Identification:**

12-3314-0-1-351.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$161,969; FY 11 est \$200,000; and FY 12 est \$200,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations were published in the Federal Register, 7 CFR, 760, and announced through the news media, Handbook 3-LD, Circulars and regulations issued by FSA.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location of the county FSA office. If no listing, contact the appropriate State FSA office listed under the Farm Service Agency section of Appendix IV of the Catalog.

**Headquarters Office:**

Raellen Erickson, 1400 Independence Avenue, SW, Washington, District of Columbia 20250-0512 Phone: (202) 720-7320.

**Website Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.054 EMERGENCY CONSERVATION PROGRAM**

(ECP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Agricultural Credit Act of 1978, Public Law 95-95-334, 92 Stat. 420, 16 U.S.C 2201-2205.

**OBJECTIVES:**

To enable farmers to perform emergency conservation measures to control wind erosion on farmlands, to rehabilitate farmlands damaged by wind erosion, floods, hurricanes, or other natural disasters and to carry out emergency water conservation or water enhancing measures during periods of severe drought.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Following a natural disaster, the county FSA committee determines, with concurrence from the State FSA committee, to make the program available in the county. Emergency cost-sharing is limited to new conservation problems created by natural disasters which, if not treated will impair or endanger the land, materially affect the productive capacity of the land, represent damage that is unusual in character and, except for wind erosion, is not the type that would recur frequently in the same area and will be so costly to rehabilitate that Federal assistance is or will be required to return the land to productive agricultural use. Eligible drought situations for water enhancing measures must be determined by the Deputy Administrator for Farm Programs, FSA.

**Applicant Eligibility:**

Any agricultural producer who as owner, landlord, tenant, or sharecropper on a farm or ranch, including associated groups, and bears a part of the cost of an approved conservation practice in a disaster area, is eligible to apply for cost-share conservation assistance. This program is also available in Guam, Commonwealth of the Northern Mariana Islands, Puerto Rico, and the Virgin Islands.

**Beneficiary Eligibility:**

Any agricultural producer who as owner, landlord, tenant, or sharecropper on a farm or ranch, including associated groups, and bears a part of the cost of an approved conservation practice in a disaster area, is eligible to apply for cost-share conservation assistance. This program is also available in Guam, Commonwealth of the Northern Mariana Islands, Puerto Rico, and the Virgin Islands.

**Credentials/Documentation:**

Identification as an eligible person and proof of contribution to the cost of performing the conservation practice. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible

persons may submit an application on Form AD-245, for cost-sharing, at the county FSA office for the county in which the affected land is located. .

**Award Procedure:**

The county FSA committee reviews, prioritizes, and may approve applications in whole or in part. Approvals cannot exceed the county allocation of Federal funds for that purpose.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. From 2 to 3 weeks.

**Appeals:**

Participants may appeal to county FSA committee, State FSA committee, or National Appeals Division (NAD) on any determination. Matters that are generally applicable to all producers are not appealable.

**Renewals:**

Certain approvals may be extended by the FSA county committee, when necessary, with proper justification.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Practice cost-share approvals are given on a fiscal year basis. The approvals specify the time that the practice must be carried out. Payment is by check or electronic funds transfer following completion of the measure. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Maintained in the county FSA office and Federal record centers for a specified number of years.

**Account Identification:**

12-3316-0-1-453.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$92,502,221; FY 11 est \$39,718,867; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations published in the Federal Register at 7 CFR, Part 701.

Program is announced through the news media in the county area designated as a disaster area.

**Regional or Local Office:**

See Regional Agency Offices. Farmers are advised to contact their local county FSA office after a natural disaster has occurred to determine whether the program is available in the county and to determine eligibility for emergency cost-share assistance. Consult the local telephone directory for location of the county FSA office. If no listing, get in touch with the appropriate State FSA office listed in the Farm Service Agency section of Appendix IV of the Catalog.

**Headquarters Office:**

Katina Hanson, 1400 Independence Avenue, SW Room 4710, Washington, District of Columbia 20250 Email: [Katina.Hanson@wdc.usda.gov](mailto:Katina.Hanson@wdc.usda.gov) Phone: (202) 720-0062 Fax: (202) 720-4619.

**Website Address:**

<http://www.fsa.usda.gov> .

**RELATED PROGRAMS:**

10.404 Emergency Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.055 DIRECT AND COUNTER-CYCLICAL PAYMENTS PROGRAM**

(DCP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Farm Security and Rural Investment Act of 2002, Public Law 107-171.

**OBJECTIVES:**

To provide income support to eligible producers of covered commodities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

With respect to Fiscal Year 2002 payments, CCC will offer to enter into a contract with eligible producers of covered commodities on October 1, 2002 through the date announced by CCC. With respect to Fiscal Years 2003 through 2007, CCC shall offer to annually enter into a contract with an eligible producer on a farm having base acreage with respect to a covered commodity at the beginning of each such fiscal year 2003 through 2007 through the date announced by CCC for each such year.

**Applicant Eligibility:**

To be eligible for payments under DCP, owners, operators, landlords, tenants, or sharecroppers must (1) share in the risk of producing a crop on base acres on a farm enrolled in DCP, and be entitled to share in the crop available for marketing from the base acres, or would have shared had a crop been produced; (2) annually report the use of the farm's cropland acreage; (3) comply with conservation and wetland protection requirements on all of their land; (4) comply with planting flexibility requirements; (5) use the base acres for agricultural or related activities; and (5) protect all base acres from erosion, including providing sufficient cover as determined necessary by the county FSA committee, and control weeds.

**Beneficiary Eligibility:**

DCP provides payments to eligible producers on farms enrolled for the 2002 through 2007 crop years.

**Credentials/Documentation:**

As a condition of eligibility for direct and counter-cyclical payments, the operator or owner must submit a report of all cropland acreage on the farm. Reports of production evidence for all covered commodities shall be provided to the county committee of the county where the farm is administratively located, by farm and crop in such manner as required by CCC on a CCC-approved standard, uniform form designated by CCC. When disposition of production has been through commercial channels, CCC may require the producer to furnish documentary evidence in order to verify the information provided on the report of production. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The CCC-509 must be submitted. The following documents are required and applicable determinations must be made before the county committee can approve a producer's share on the CCC-509 for payment: (1) a farm operating plan (CCC-502 and related forms); (2) an average adjusted gross income certification (CCC-526); (3) a certification of compliance with highly erodible land and wetland conservation provisions (AD-1026). A certification of the acreage of all cropland on the farm (FSA-578) is needed before final payments

can be issued.

**Award Procedure:**

Producers may elect to receive their direct payments in two installments per year: (1) the first payment, available in December of the fiscal year, is up to 50 percent of the total payment; (2) the balance of the total direct payment is available in October of the fiscal year after the fiscal year the payment is earned. Producers who do not elect to take the first direct payment will receive the entire direct payment at this time. Producers may elect to receive up to three counter-cyclical payments per year: (1) first partial payments are available in October of the calendar year in which the crop is harvested. These payments cannot exceed 35 percent of the total projected payment; (2) second partial payments, up to 70 percent of the projected payment, minus the amount of the first partial payment, are available the following February (the year after the crop is harvested); (3) final payments are made after the end of the marketing year for the crop. Producers who do not elect to take the first and second advance payments will receive the entire counter-cyclical payment at this time.

**Deadlines:**

Dec 22, 2008 to Jun 01, 2009 Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. Approval of payments depends on farmer compliance with conservation and wetland protection requirements on all of the producers' farms, planting flexibility requirements and other eligibility requirements mentioned above, and is fairly routine and prompt.

**Appeals:**

From 15 to 30 days. A producer may obtain reconsideration and review of any adverse determination made under this part in accordance with the appeal regulations found at parts 11 and 780 of Title 7 Agriculture.

**Renewals:**

Farm producers must apply for DCP on an annual basis and can opt out of participating in DCP for any year if they so choose.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The DCP payment schedule for 2002 and 2003 crop years is in the hyperlink provided below. The payment schedule for the 2004-2007 crop years parallels the schedule for the 2003 crop year, though the Deficit Reduction Act of 2005 reduced the advance direct payment rate to a maximum of 22 percent. <http://www.fsa.usda.gov/pas/publications/facts/html/dcp03.htm>. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients under this program are subject to audit by the Office of the Regional Inspector General, USDA.

**Records:**

An owner or any other individual or entity receiving assistance for DCP shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which assistance was provided.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$902,584,000; FY 11 est

\$141,734,000; and FY 12 est \$14,852,000 - Counter-Cyclical Payments. (Direct Payments with Unrestricted Use) FY 10 \$4,898,085,000; FY 11 est \$5,027,947,000; and FY 12 est \$3,933,854,000 - Direct Payments.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the counties. Regulations published in the Federal Register, 7 CFR Part 1412.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local phone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office listed in the Farm Service Agency section of Appendix IV of the Catalog or on the WEB at <http://www.fsa.usda.gov/edso/>.

**Headquarters Office:**

Candace Thompson, 1400 Independence Avenue, SW, Stop 0517, Washington, District of Columbia 20250-0517 Email: [candy.thompson@wdc.usda.gov](mailto:candy.thompson@wdc.usda.gov) Phone: (202) 720-7641 Fax: (202) 690-2130.

**Website Address:**

<http://www.fsa.usda.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.056 FARM STORAGE FACILITY LOANS**

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Title 1, Part Subtitle 5, Section 1614.

**OBJECTIVES:**

To encourage the construction of on farm grain storage capacity and to help farmers adapt to identity preserved storage and handling requirements for genetically enhanced production.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Loans are used to finance the purchase and construction of new storage structures, handling equipment and drying equipment, and to finance the remodeling of existing storage structures. The loan amount is limited to \$100,000 times the number of borrowers liable for each loan. The following are security requirements for farm storage facility loans: All loans must be secured by a promissory note and security agreement, as well as a UCC-1 describing the storage facility and accompanying equipment; and Severance agreements from all lien holders on the real estate where the facility will be located or from owners of real estate when the loan applicant is not the landowner, except when CCC holds the first lien on the real estate. Severance agreements will not be required if the borrower increases the down payment from 15 percent to 20 percent. For loans that exceed \$50,000 or the borrower's aggregate outstanding loan balance exceeds \$50,000, the borrower must be able to provide at least one of the following: A first lien on the real estate on which the facility is located; Real estate owned by the borrower other than where the facility is located, provided the real estate offered is sufficient to secure the loan; or A letter of credit from a financial institution in an amount sufficient to protect CCC's interest for each year the loan has an outstanding balance. Facility Loan Terms. The following are the terms for farm storage facility loans: A 15 percent cash down payment is required; thus, CCC's loan is limited to 85 percent of the net

cost of the eligible storage facility and permanent drying and handling equipment (subject to the applicant's storage needs test). The down payment cannot include any trade-in, discount, rebate, deferred payment, or post-dated check. Loan terms available are seven (7) years, ten (10) years or twelve (12) years depending on the amount of the loan. Interest rate is fixed for the loan term based on the rate in effect during the month the loan is initially approved. The interest rate is equivalent to the rate of interest charged on Treasury Securities of comparable term and maturity. Loans are to be repaid in equal amortized installments. Loan will not be disbursed until the facility has been erected and inspected with the exception of one (1) qualifying partial disbursement. Cost of Obtaining a Loan. Each applicant will be charged a nonrefundable \$100 application fee. CCC will pay all collateral lien searches and recording fees for filing Form UCC-1 and credit reports. Applicants pay all other fees, such as severance agreements, attorney fees, real estate lien search fees, and instrument filing fees. For loans over \$50,000, applicants will be required to pay the cost of obtaining a title search/opinion or title insurance. Persons Required to Sign the Note. The following persons are required to sign the loan agreement:

For sole proprietorships and joint ventures, all individuals, including spouses, if applicable. For general partnerships, any member unless the Articles of Partnership are more restrictive. For corporations and limited partnerships, an individual with signature authority on file with FSA. Where to File the Application

Loan applications should be filed in the administrative FSA Office that maintains the farm's records. More Information: For more information about FSA programs, contact your local FSA office or USDA Service Center, or visit the World Wide Web at [www.fsa.usda.gov](http://www.fsa.usda.gov). The Department of Agriculture (USDA) prohibits discrimination in all its programs and activities on the basis of race, color, national origin, age, disability, and where applicable, sex, marital status, familial status, parental status, religion, sexual orientation, genetic information, political beliefs, reprisal, or because all or part of an individual's income is derived from any public assistance program. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of Discrimination, write to USDA, Director, Office of Civil Rights, 1400 Independence Avenue, SW., Washington, DC 20250-9410, or call (800) 795-3272 (voice) or (202) 720-6382 (TDD). USDA is an equal opportunity provider and employer. Fact Sheets, News Releases, Emergency Designation News Releases, Spotlights, Fence Post,

Media Relations Contacts, Public Service Announcements, Meetings & Events,

County Committee Elections, Speeches and Presentations, Media Gallery, Subscriptions, RSS Feeds, eFOIA, FSA Widgets, View FSA Biographies, Email Updates, RSS Feeds, FSA Widgets, and Ask FSA. To view PDF files you must have Adobe Acrobat Reader installed on your computer. To view Flash files you must have Macromedia Flash Player installed on your computer.

**Applicant Eligibility:**

An eligible borrower is any person who, as landowner, landlord, operator, producer, tenant, leaseholder, or sharecropper: (1) Has a satisfactory credit history and demonstrates an ability to repay the debt arising under this program using a financial statement acceptable to CCC prepared within 90 days of the date of application; (2) has no delinquent Federal debt defined by the Debt Collection Improvement Act of 1996 at the time of loan disbursement; (3) is a producer of a facility loan commodity as defined by CCC; (4) demonstrates a need for increased storage capacity as defined by CCC if the applicant is applying for a loan for a storage structure; (5) provides proof of crop insurance offered under the Federal Crop Insurance Program for crops of economic significance on all farms operated by the borrower in the county where the storage facility is located; (6) is in compliance with USDA provisions for highly erodible land and wetlands provisions according to 7 CFR Part 12; (7) demonstrates compliance with any applicable local zoning, land use, and building codes for the applicable farm storage facility structures; (8) provides proof of flood insurance if CCC determines such insurance is necessary to protect the interests of CCC, and proof of all peril structural insurance, to CCC annually; (9) demonstrates compliance with the National Environmental Policy Act regulations at 40 CFR, Parts 1500- 1508; and (10) has not been convicted

under Federal or State law of a controlled substance violation under 7 CFR Part 718.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria. Landowners, landlords, operators, producers, tenants, leaseholders, or sharecroppers are the beneficiaries.

**Credentials/Documentation:**

Applicants must establish that they have a need for additional storage capacity. The applicant must establish that he has the ability to repay the loan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application Form CCC-185 provided by the Farm Service Agency must be presented, with supporting information, to the FSA county office serving the applicant's county. FSA personnel assist applicants in completing their application forms.

**Award Procedure:**

FSA State and County Committees are authorized to approve these loans after applicants are determined eligible.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The approval process may take from 2 to 6 weeks.

**Appeals:**

Applicants for loans may appeal adverse actions taken against them. The applicant is given an opportunity to appeal the decision to the National Appeals Division.

**Renewals:**

The loan term is 7 years. The term of the loan may not be extended. The loan is repaid in equal annual installments of principal and interest amortized over the loan term.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The amount of the loan is determined after construction takes place. A 15 percent down payment is required. The loan is disbursed by check as soon as the cost is determined, all loan documents have been prepared and all security documents have been filed. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Borrowers are required to annually submit proof of crop insurance, flood insurance (if applicable), hazard insurance, and property taxes.

**Account Identification:**

12-4158-0-3-351; 12-3301-0-1-351.

**Obligations:**

(Direct Loans) FY 10 \$327,071,000; FY 11 est \$302,500,000; and FY 12 est \$302,500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(1) A fact sheet, press release, forms, and directives are available. Regulations at 7 CFR Part 1436 were first published in the Federal Register under an interim rule on May 11, 2000. After comments were evaluated, regulations at 7 CFR Part 1436 were revised with the publication of a final rule on January 18, 2001.

**Regional or Local Office:**

See Regional Agency Offices. Consult the appropriate FSA State office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Raellen Erickson, USDA-FSA-PSD, Stop 0512, 1400 Independence Ave., SW, Washington, District of Columbia 20250-0512 Email: Raellen.Erickson@wdc.usda.gov Phone: (202) 720-7901.

**Website Address:**

<http://www.fsa.usda.gov/dafp/psd/FSFL.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.069 CONSERVATION RESERVE PROGRAM**

(CRP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, as amended, Section 1231, 16 U.S.C 3831-3835a.

**OBJECTIVES:**

To protect the Nation's long-term capability to produce food and fiber; to reduce soil erosion and sedimentation, improve water quality, and create a better habitat for wildlife.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Eligible owners or operators may place highly erodible or other environmentally sensitive land into a 10-15 year contract. The participant, in return for annual payments, agrees to implement a conservation plan approved by the local conservation district for converting highly erodible cropland or other environmentally sensitive land to a long-term resource conserving cover i.e., eligible land must be planted with a vegetative cover, such as, perennial grasses, legumes, fobs, shrubs, or trees. The participant agrees to reduce the aggregate total of allotments and quotas by an amount based on the ratio of the total cropland acreage on each farm, to the total acreage on each farm subject to the CRP contract. Financial and technical assistance are available to participants to assist in the establishment of a long-term resource conserving cover.

**Applicant Eligibility:**

An individual, partnership, association, Indian Tribal ventures corporation, estate, trust, other business enterprises or other legal entities and, whenever applicable, a State, a political subdivision of a State, or any agency thereof may submit an offer to enroll acreage.

**Beneficiary Eligibility:**

If their offer is accepted for enrollment, an individual, partnership, association, Indian Tribal ventures, corporation, estate, trust, other business enterprises or other legal entities and, whenever applicable, a State, political subdivision of State, or any agency thereof may earn benefits.

**Credentials/Documentation:**

The land must be owned or operated for not less than 12 months prior to the

close of the signup period, unless the land was acquired by will or succession or FSA determines that ownership was not acquired for the purpose of placing the land in the CRP. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. FSA has three methods for enrolling acreage in the CRP. One method is a continuous signup process where acreage suitable for certain environmental priority practices, including but not limited to grass waterways, riparian buffers or filterstrips, and acreage within wellhead protection areas may be offered and accepted without going through a competitive offer process. The second method is similar to continuous signup and is available only in distinct geographic areas. These areas are targeted by FSA and State governments under partnership agreements.

The third method is to offer acreage during a general signup period where eligible offers to enroll highly erodible and other environmentally sensitive acreage are submitted and ranked competitively based on an environmental benefits index. Regardless of the method of enrollment, the local FSA office that serves the area in which the farm or ranch is located will provide the maximum payment rate CCC will accept to enroll certain acreage in the program. Producers may submit a rental rate per acre offered that may be equal to or less than CCC's maximum payment rate.

**Award Procedure:**

FSA will notify persons whose offers are determined acceptable as soon as practicable after the close of the signup.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 7 to 120 days.

**Appeals:**

Producers may appeal any determination to county FSA committee, State committee, or National Appeals Division. Matters that are generally applicable to all producers are not appealable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual rental payments in cash or generic commodity certificates will be made for 10-15 years. If cost-share assistance to establish the appropriate cover was requested, a payment will be made after the practice is successfully established according to applicable guidelines. FSA may provide certain incentives for restoring wetlands or other lands. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

No audits are required for this program.

**Records:**

Maintained in county FSA office and Federal Record centers for a specified number of years.

**Account Identification:**

12-3319-0-1-302; 12-4336-0-1-302.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$1,841,396,000; FY 11 est

\$1,857,324,000; and FY 12 est \$1,969,999,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in the Federal Register, 7 CFR Part 1410.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location of the county FSA office, under U.S. Government, Department of Agriculture. If no listing, contact the appropriate State FSA office listed in the FSA section of Appendix IV of the Catalog.

**Headquarters Office:**

Katina Hanson, 1400 Independence Avenue, SW Room 4710, Washington, District of Columbia 20250 Email: Katina.Hanson@wdc.usda.gov Phone: 202) 720-0062 Fax: (202) 720-4619.

**Website Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.072 Wetlands Reserve Program; 10.901 Resource Conservation and Development; 10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.072 WETLANDS RESERVE PROGRAM**

(WRP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, Title XII, Part Subtitle D, Section 1237, Public Law 99-198, 99 Stat. 1504, 16 U.S.C 3831, as amended by The Food, Conservation, and Energy Act of 2008  
, Title II, Part Subtitle C, Section 2201, Public Law 110-234, 122 Stat. 1036, as amended by Food, Agriculture, Conservation, and Trade Act of 1990  
, Title XIV, Part Subtitle B, Section 1438, Public Law 101-624, 104 Stat. 3584, 16 U.S.C 3837, as amended by Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2001  
, Public Law 106-387, as amended by Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 1998  
, Public Law 111-80, as amended by Omnibus Budget Reconciliation Act of 1993  
, Public Law 103-66, as amended by Farm Security and Rural Investment Act of 2002  
, Title II, Part Subtitle C, Section 2201, Public Law 107-171, 116 Stat. 252, as amended by Federal Agriculture Improvement and Reform Act of 1996  
, Title III, Part Subtitle D, Section 333, Public Law 104-127, 110 Stat. 995.

**OBJECTIVES:**

To assist landowners in restoring and protecting wetlands on eligible lands on which they agree to enter into a permanent or 30- yearlong-term easement (30-year contract for Indian tribes) , or a restoration cost-share agreement with the Secretary. The goal of WRP is to maximize wetland functions and values and wildlife benefits on every acre enrolled in the program. Total acreage enrollment limitation is 3,041,200,275,000 acres.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Eligible landowners may offer farmed wetlands, prior converted wetlands,



wetlands farmed under natural condition, former or degraded wetlands on lands that have been used or are currently being used for the production of food and fiber, including cropland, rangeland and forest production land, lands substantially altered by flooding, certain riparian areas, along with certain adjacent areas. The goal of the WRP is to achieve the greatest wetlands functions and values, along with optimum wildlife habitat on every acre enrolled in the program. At least 70 percent of the wetland and upland areas will be restored to the natural condition to the extent practicable; the remaining 30 percent of the project area may be restored to other than natural conditions. Enrollment options include permanent easements, 30-year easements, restoration cost-share agreements, and, for acreage owned by Indian Tribes, 30-year contracts. To be eligible for participation, land must be restorable and be suitable for wildlife benefits. Participating landowners must comply with the terms and conditions of their easement, agreement or contract for the duration of the document. For easement projects, landowners shall ensure the easement is superior to the rights of all others and shall agree to implement a wetland restoration plan designed to restore and maintain the easement area. Landowners must agree to a permanent retirement of crop acreage bases, allotments, and quotas to the extent that the sum of the crop acreage bases and allotments will not exceed the remaining cropland on the farm.

Participating landowners receive financial and technical assistance to install necessary restoration practices as follows.

**Permanent easements:** Easement duration is in perpetuity. Landowners receive an easement payment after the easement is filed. In addition NRCS shall share the cost of carrying out the establishment conservation measures and practices, and the protection of wetland functions and values including necessary maintenance activities to the extent that the Secretary determines that cost-sharing is appropriate and in the public interest.

**30-year easements:** Easement duration is 30 years. Landowners receive an easement payment after the easement is filed that is the equivalent of 75 percent of the value for a permanent easement and up to 75 percent of the eligible restoration costs.

**Restoration cost-share agreements:** Restoration cost-share agreements are made available to participating landowners as an alternative mechanism to restore wetlands, without requiring the participant to sell an easement. Agreements are generally for a 10-year period, although longer agreement periods may be required for unique projects that are funded at a higher level. There is no easement payment; however, NRCS pays up to 75 percent of the eligible restoration costs.

**30-year contracts:** Acreage owned by Indian Tribes can be enrolled through the use of a 30-year contract which shall be equivalent in value to a 30-year easement.

For both permanent and 30-year easements, WRP pays for all the overhead costs associated with recording the easement in the local land records office including recording fees, charges for title abstracts, surveys, appraisal fees, records searches, and title insurance associated with acquiring an easement. These overhead costs are generally not paid to participants but are provided directly to the vendor performing the service. Therefore, payments appearing on [USDA.spending.gov](http://USDA.spending.gov) will be reflective of payments to participants and payments to vendors for services associated with restoration and management activities and administrative costs associated with recording an easement.

#### **Under Credentials/Documentation**

Eligible applicants must be in compliance with the highly erodible land and wetland conservation provisions in 7 CFR part 12 and the Adjusted Gross Income provisions in 7 CFR part 1400. They must be the landowner of the eligible land being offered for participation. For easement applications, the applicant must have owned the land for the 7-year period prior to the time the land is determined eligible for enrollment unless it is determined that the land was acquired by will or succession as a result of death of the previous owner; the ownership change occurred due to foreclosure and the owner of the land immediately before foreclosure exercises a right of redemption from the mortgage holder; or the land was acquired under circumstances that give adequate assurances, as determined by NRCS that such land was not acquired for the purposes of placing it in the program.

#### **Applicant Eligibility:**

An individual landowner, partnership, association, corporation, estate, trust, other business or other legal entities and, Indian tribe.

#### **Beneficiary Eligibility:**

An individual landowner, partnership, association, corporation, estate, trust, other business enterprises or other legal entities and, Indian tribe.

#### **Credentials/Documentation:**

The landowner must have owned the land offered for at least the preceding 12 months prior to the end of the period in which the intent to participate in an easement is declared unless the land was acquired by will or succession as a result of the death of the previous owner; or the Department determines that the new owner did not acquire such land for the purpose of placing it in the WRP. The 12-month requirement is not applicable to restoration agreement. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Submit an application to enroll to the local NRCS office that serves the area in which the farm or ranch is located during the designated sign-up period.

#### **Award Procedure:**

The States will provide a list of potential acceptable offers and request for allocation of funds. The Department will allocate funding in a manner designed to achieve cost effectiveness and maximum wetland restoration based wildlife benefits. The States will notify the landowners of the status of their application.

This process will be completed as soon as practical after funding becomes available. For all tentatively accepted applications, a determination of easement compensation value will be made according to the current procedures as prescribed by the Secretary.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

From 60 to 180 days after the application is filed with the NRCS. Landowner application may remain on sign-up list for subsequent funding consideration.

#### **Appeals:**

Landowner may appeal certain determinations to the National Appeals Division.

#### **Renewals:**

The land offered may be re-offered in a future sign-up unless land or landowner is ineligible.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** Lump sum payments or no less than 5 nor more than 30 annual payments of equal or unequal value are made for easements. Cost-share payments of 100 percent of the cost of implementing the Wetland Restoration Plan will be paid for a permanent easement with 75 percent of permanent easement amounts being paid for 30-year easements, 30-year contracts and restoration cost-share agreements. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Cash easement payments will be made in a lump sum amount, or in annual installments beginning at closing. Cost share payments for implementation of easement practices will be made when a specific practice has been implemented by either the landowner or contractor. See the following for information on how assistance is awarded/released: Cash easement payments will be made in a lump sum amount, or in annual installments beginning at closing. Cost share payments for implementation of easement practices will be made when a specific practice has been implemented by either the landowner or contractor.

#### **Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Records will be maintained in the county NRCS office, State NRCS office and Federal Record Centers for the length of the agreement. The easement (deed restriction) and applicable documents will be filed in the local land records office for the duration of the easement. Agreements are filed with the Agency.

**Account Identification:**

12-1004-0-1-302; 12-1080-0-1-302; 12-4336-0-1-302.

**Obligations:**

(Salaries) FY 10 \$35,919,706; FY 11 est \$46,652,000; and FY 12 est \$59,891,000. (Project Grants (Discretionary)) FY 10 \$594,219,384; FY 11 est \$564,660,000; and FY 12 est \$724,901,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is announced through news media and in letters to agricultural landowners in the county. Regulations published in the Federal Register and 7 CFR XIV.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location of the NRCS office. If no listing, contact the appropriate State NRCS office listed in the NRCS Section of Appendix IV of the Catalog.

**Headquarters Office:**

Steve Parkin 14th and Independence Ave., SW.  
Room 6817-S  
, Washington, District of Columbia 20250 Email: Steve.Parkin@wdc.usda.gov  
Phone: 202-720-1854

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.904 Watershed Protection and Flood Prevention; 10.913 Farm and Ranch Lands Protection Program; 10.920 Grassland Reserve Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All offers are screened at both the local and State level to determine the acceptability of the application to ensure that offers will not be accepted in excess of the value as determined by the method prescribed by the Secretary. Offers will be evaluated based on the environmental benefits and government expenditures on restoration and easement purchase and the requirement that wildlife benefits be maximized.

**10.085 TOBACCO TRANSITION PAYMENT PROGRAM**

(TTPP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Pl 108-357, Executive Order Fair and Equitable Tobacco Reform Act of 2004, Title VI, Section 601--643, Public Law 108-357, 118 Stat. 1521-1536, 7 U.S.C 518.

**OBJECTIVES:**

The Fair and Equitable Tobacco Reform Act of 2004 repeals the federal tobacco price support/production control program, provides compensation payments to tobacco quota owners for the elimination of their government-created asset (quota), and provides transition payments to active tobacco producers.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Eligible quota holder means only a person who, as of October 22, 2004, has either a fee simple interest or life estate interest in the farm for which FSA established a farm basic marketing quota for the 2004 marketing year. The wetlands and highly erodible land provisions of part 12 of Title 7, the controlled substance provisions of part 718 of Title 7, and the payment limitation provisions of part 1400 of Title 7 shall not be applicable to payments made under 7 CFR Part 1463 to an eligible quota holder. Eligible tobacco producer means an owner, operator, landlord, tenant, or sharecropper who shared in the risk of producing tobacco on a farm where tobacco was produced, or considered planted, pursuant to a tobacco poundage quota or acreage allotment assigned to the farm for the 2002, 2003, or 2004 marketing years. The wetlands and highly erodible land provisions of part 12 of Title 7 and the controlled substance provisions of part 718 of Title 7 shall be applicable to payments made under 7 CFR Part 1463 to an eligible tobacco producer. However, the payment limitation provisions of part 1400 of Title 7 shall not be applicable to payments made under this part to an eligible tobacco producer.

**Beneficiary Eligibility:**

Tobacco quota holders, tobacco producers, and eligible assignees.

**Credentials/Documentation:**

Eligible quota holder means only a person who, as of October 22, 2004, has either a fee simple interest or life estate interest in the farm for which FSA established a farm basic marketing quota for the 2004 marketing year. To be eligible for TTPP, quota holders are the owners of a farm with an established 2004 basic marketing quota on their farm as of October 22, 2004, the date the President signed the bill that ends the quota system. Eligible tobacco producer means an owner, operator, landlord, tenant, or sharecropper who shared in the risk of producing tobacco on a farm where tobacco was produced, or considered planted, pursuant to a tobacco poundage quota or acreage allotment assigned to the farm for the 2002, 2003, or 2004 marketing years. For purposes of determining if an eligible tobacco producer has shared in the risk of producing a crop in the 2002, 2003, or 2004 crop years, CCC will consider evidence presented by a producer that includes, but is not limited to: written leases; contracts for the purchase of tobacco; crop insurance documents; or receipts for the purchase of items used in the production of tobacco. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants contact their local county Farm Service Agency Office or U.S. Department of Agriculture Service Center for sign-up information.

**Award Procedure:**

CCC will make a payment to each eligible producer in an amount equal to 10 percent of the total amount due under a contract entered into except that in the case an application was filed after June 17, 2005, the applicant will receive only the TTPP payments that have not been made as of the date the contract is approved.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

1 to 60 days.

**Appeals:**

A person may obtain reconsideration and review of any adverse determinations in accordance with the appeal regulations found at parts 11 and 780 of Title 7.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Tobacco Transition Payment Program (TTPP) provides payments to tobacco quota holders and tobacco producers beginning in 2005 and ending in 2014. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Tobacco quota holders or any other individual or entity receiving payment for TTPP shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which payment was received.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$954,091,000; FY 11 est \$960,000,000; and FY 12 est \$960,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in 7 CFR Part 1463, 2005, 2014 Tobacco Transition Program.

**Regional or Local Office:**

See Regional Agency Offices. Farm Service Agency state offices can inform applicants of county office locations where applicants may sign up.

**Headquarters Office:**

Raellen Erickson, 1400 Independence Avenue, SW, Stop 0512, Washington, District of Columbia 20250-0512 Email: Raellen.Erickson@wdc.usda.gov Phone: (202) 720-7901 Fax: (202) 690-3307.

**Website Address:**

www.fsa.usda.gov/tobacco and  
<http://www.fsa.usda.gov/pas/publications/facts/html/tpp05.htm> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.086 AQUACULTURE GRANTS PROGRAM (AGP)**

Aquaculture Grants Program

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

To provide assistance to eligible aquaculture producers.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The grants will be used to aid struggling aquaculture producers for losses associated with the high feed input costs during the 2008 calendar year.

**Applicant Eligibility:**

The grants will be used to aid struggling aquaculture producers.

**Beneficiary Eligibility:**

The beneficiary will apply through state and local governments.

**Credentials/Documentation:**

Must provide receipts for feed purchased for aquaculture operation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible applicants will apply for assistance through the State Departments of Agriculture or similar state government entities in each state.

**Award Procedure:**

The Commodity Credit Corporation (CCC) will award \$50 million to States by July 2009. Grants will be made on a pro rata basis based on the amount of agriculture feed used in each state during the 2007 calendar year, as determined by CCC.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no restrictions placed on the time permitted to spend the money awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

USDA is required to meet the ARRA reporting requirements. Cash reports are not applicable. USDA is required to meet the ARRA reporting requirements. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

12-3317-0-3-351.

**Obligations:**

(Formula Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Recovery Act program with no obligations in FY 2011 or FY 2012.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Amy Mitchell, Farm Service Agency, Production, Emergencies, and Compliance Division  
1400 Independence Ave SW, Stop 0510, Washington, District of Columbia  
20250 Email: amy.mitchell@usda.gov Phone: (202) 720-8954.

**Website Address:**

<http://www.usda.gov/recovery>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.087 BIOMASS CROP ASSISTANCE PROGRAM**

BCAP

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Food, Conservation, and Energy Act of 2008, Title IX, Section 9001, Public Law 110-246; Supplemental Appropriations Act, 2010, Title 1, Part Chapter 1, Section 101, Public Law 111-212; The Farm Security and Rural Investment Act of 2002, Title IX, 7 U.S.C 8101.

**OBJECTIVES:**

The purpose of BCAP is to encourage the production of biofuels. BCAP accomplishes this by providing funding for agricultural and forest land owners and operators to receive matching payments for certain eligible material sold to qualified biomass conversion facilities for conversion to heat, power, bio based products, or advanced biofuels. It also provides funding for producers of eligible crops of renewable biomass within specified project areas to receive establishment payments and annual payments.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

BCAP is intended to encourage the production of biofuels by assisting agricultural and forest land owners and operators with the establishment and production of eligible crops in selected project areas for conversion to bioenergy, and with the collection, harvest, storage, and transportation of eligible material for use in a biomass conversion facilities.

**Applicant Eligibility:**

To be eligible to enter into a BCAP contract for the purposes of receiving an annual payment or establishment payments, a person or legal entity must be an owner, operator, or tenant of eligible land within a project area.

Eligible land must be agricultural land or nonindustrial private forest land. Eligible agricultural land includes cropland; grassland; pastureland, rangeland, hayland, and other land on which food fiber, or other agricultural products are produced or capable of being legally produced for which a valid conservation

plan exists and is implemented. Ineligible land is as follows: (1) Federal lands; (2) State-owned, municipal, or other local government-owned lands; (3) Native sod; and (4) Land that is already enrolled in CCCs CRP, Wetlands Reserve Program, or Grassland Reserve Program.

Eligible crops for annual and establishment payments are renewable plant materials such as feed grains, other agricultural commodities, or other plants and trees, and algae; waste materials including vegetative waste, materials, such as woods wastes and wood residues, animal waste and byproducts, such as fats, oils, greases, and manure, food waste, and yard waste.

Ineligible crops are any crop eligible to receive payments under Title I of the Food, Conservation, and Energy Act of 2008 (See 8-LP, paragraph 126 and 7-CN for Title I commodities); and any plant that is invasive or noxious or has the potential to become invasive or noxious.

Eligible materials for matching payments include various types of renewable biomass collected or harvested directly from the land in accordance with an approved conservation plan, forest stewardship plan, or an equivalent plan before transport and delivery to the biomass conversion facility. Materials will only be eligible if USDA determines that there is no higher value use for that material within a reasonable distance of the biomass conversion facility.

Matching payments are not available for the following products:

(1) Material that is whole grain from any crop that is eligible to receive; payments under Title I of the Food, Conservation, and Energy Act of 2008 or an amendment made by that title, including, but not limited to, barley, corn, grain sorghum, oats, rice, or wheat; honey; or material that is mohair; certain oilseeds such as canola, crambe, flaxseed, mustard seed, rapeseed, safflower seed, soybeans, sesame seed, and sunflower seeds; peanuts; pulse crops such as small chickpeas, lentils, and dry peas; dairy products; sugar; wool; and cotton boll fiber; (2) Animal waste and by-products of animal waste including fats, oils, greases, and manure; (3) Food waste and yard waste; and (4) Algae.

All eligible material must be harvested or collected directly from the land by the eligible material owner according to a conservation, forest stewardship, or equivalent plan and be separated from the higher value product before the point of delivery.

Woody biomass harvested or collected outside of project area contracts is limited to eligible material resulting from preventative treatments to address fire fuel load reduction, insect or disease outbreaks, or restore ecosystem health. Woody biomass harvested or collected outside of project area contracts is limited to eligible materials that do not have an existing market for non-biomass use and cannot be co-mingled with higher product value materials.

Eligible material owner, for purposes of the matching payment, means a person or entity having the right to collect or harvest eligible material, who has the risk of loss in the material that is delivered to an eligible facility and who has directly or by agent delivered or intends to deliver the eligible material to a qualified biomass conversion facility, including: (1) For eligible material harvested or collected from private lands, including cropland, the owner of the land, the operator or producer conducting farming operations on the land, or any other person designated by the owner of the land; and (2) For eligible material harvested or collected from public lands, a person having the right to harvest or collect eligible material pursuant to a contract or permit with the US Forest Service or other appropriate Federal agency, such as a timber sale contract, stewardship contract or agreement, service contract or permit, or related applicable Federal land permit or contract, and who has submitted a copy of the permit or contract authorizing such collection to CCC.

Eligible facilities are biomass conversion facilities that convert or propose to convert renewable biomass into heat, power, bio based products, or advanced biofuels and have been approved for the BCAP program by the CCC.

**Beneficiary Eligibility:**

Owners and operators of agricultural and non-industrial private forest land will receive the ultimate benefits because it will provide financial assistance to establish, produce, and deliver biomass feedstocks.

Eligible material owners who are the person or entity having the right to collect or harvest eligible material, who has the risk of loss in the material that is delivered to an eligible facility and who has directly or by agent delivered or intends to deliver the eligible material to a qualified biomass conversion facility.

**Credentials/Documentation:**

In order to enroll land in BCAP, the participant must enter into a contract with the Commodity Credit Corporation (CCC). Acceptance or rejection will be at the sole discretion of CCC, and offers may be rejected for any reason as determined appropriate to accomplish the purposes of BCAP. Contracts will be for a term of up to five years for annual and non-woody perennial crops and 15 years for woody perennial crops; or time period may vary due to type of crop, agronomic conditions, and other factors.

Eligible material owner who enter into a contract with CCC may receive matching payments up to a period of two-years following the first payment for the delivery of eligible material to a qualified biomass conversion facility. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

FSA prepared a Final Programmatic Environmental Impact Statement (PEIS) for BCAP and NOFA and was published in the Federal Register on June 25, 2010 (75 FR 36386). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. In order for a delivery of eligible materials to a biomass conversion facility to qualify for a BCAP payment, the receiving biomass conversion facility must be qualified for BCAP. To become qualified, the biomass conversion facility must enter into an agreement with CCC, through the FSA State office in the State where the facility is physically located. For any facility, whether or not yet in operation, the entity requesting that a facility become qualified must provide proof of all applicable Federal, State, local, and Tribal permits and licenses required for operation or proof of application completions or letters of renewal submissions from the applicable governmental entity. Applicable permits and licenses may include, but are not limited to, business licenses, air quality permits, water discharge permits, storm water permits, or Bureau of Alcohol, Tobacco, Firearms and Explosives registrations. Each biomass conversion facility must enter into a separate agreement with CCC regardless of whether a single owner has multiple facilities. CCC will issue a unique facility identification number to each qualifying biomass conversion facility. Eligible material owners must apply at an FSA county office and receive approval for that application before delivering the eligible material to the qualified biomass conversion facility. Applications must include the following based on information obtained from contracts, agreements, or binding letters of intent: (1) An estimate of the total dry tons of eligible material expected to be sold to the qualified biomass conversion facility; (2) The type(s) of eligible material that is expected to be sold; (3) The name of the qualified biomass conversion facility that will purchase the eligible material; (4) The expected, fair market, per dry ton payment rate the owner plans to receive for the delivery of the eligible material; (5) The date or dates the eligible material is expected to be delivered to the qualified biomass conversion facility; (6) A new or amended conservation plan, forest stewardship plan, or equivalent plan. Eligible material owners who deliver eligible material to more than one qualified biomass conversion facility must submit separate applications for each facility to which eligible material will be delivered.

In order to enroll land for Establishment and Annual payments, the participant must enter into a contract with CCC. Only the owners, operators, or tenants of eligible land within a project area that will actually perform the work specified in the contract are eligible to apply for the program. The contract is comprised of: (1) The terms and conditions for participation in BCAP; (2) The conservation plan, forest stewardship plan, or equivalent plan; and (3) Any other materials or agreements determined necessary by CCC.

**Award Procedure:**

Contract approval for matching payments is subject to availability of funds and

to eligible material owners completion of required conservation plan, forest stewardship plan or equivalent plan; presentation of proof of material ownership; and compliance with all eligible material provisions. Eligible material owners accepted into the program will receive their matching payments after they provide CCC documentation of deliveries to qualified biomass conversion facilities.

Establishment payments will be made based on a determination by CCC that an eligible practice or an identifiable portion exists. Eligible practices are practices specified in the conservation plan, forest stewardship plan, or equivalent plan that meet all standards need to cost-effectively establish annual crops, non-wood perennial crops, and wood perennial crops. Payments will not be more than 75 percent of the cost for establishing a perennial crop for seed and stock costs; planting costs, cost of site preparation for non-industrial forest land; could include but not limited to site preparation for non-tree planting and supplemental or temporary irrigation.

Annual payments will be calculated on a per acre basis using market-based rental rates. Rental payment rates will be based on average soil rental rate for cropland and all other agricultural land; marginal pastureland; and for forest land. The first years' payments will be made as an advance in an amount equal to 50 percent with 30 days of contract approval, with the remaining 50 percent being paid within 30 days of the first-year contract anniversary date. Annual payments for subsequent years will be made within 30 days of the contract anniversary beginning with the second-year contract anniversary.

If BCAP participants collect both annual and matching payments for their crops, they are subject to a reduction in their annual payment. The size of the reduction depends on the end use of the biomass being delivered to a biomass conversion facility. The annual payment will be reduced by: 1 percent if the eligible crop is delivered to a biomass conversion facility for conversion to cellulosic biofuels as defined by 40 CFR 80.1401; by 10 percent if the eligible crop is delivered to a biomass conversion facility for conversion to advanced biofuels; and by 25 percent if the eligible crop is delivered to a biomass conversion facility for conversion to heat, power, or biobased products.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Determinations may be appealed in accordance with the administrative appeal regulations at parts 11 and 780 of 7 CFR. Determinations by the Natural Resources Conservation Service may be appealed in accordance with procedures established under part 614 of 7 CFR.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Part 1450.

Matching Requirements: Matching payments may be available for the delivery of eligible material to qualified biomass conversion facilities by eligible material owners. Qualified biomass conversion facilities produce heat, power, biobased products, or advanced bio fuels from biomass feed stocks. Matching payments will be made at a rate of \$1 for each \$1 per dry ton paid by qualified biomass conversion facilities up to \$45 per dry ton. Payments are paid within 30 days after the request for payment by the eligible material owner is submitted at the FSA county office, including submission of sales invoice(s) issued by the qualified biomass conversion family. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no restrictions place on the time permitted to spend the money awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Biomass Conversion Facilities agree to develop and

maintain a BCAP Purchase List of all renewable biomass purchases and include purchases from both eligible material owner and sellers not participating in BCAP. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. BCAP is a program operated by the Commodity Credit Corporation (CCC), and therefore is included in the CCC annual audit. All CCC audit procedures apply to BCAP.

**Records:**

Producers enrolling in all types of BCAP contracts may be reviewed or audited by FSA as appropriate. Recipients shall retain records which include spreadsheet, books, papers, records, contracts, scale tickets, settlement sheets, invoices, written price quotations, or other documents related to BCAP. Records shall be maintained and retained for no less than three years from the date of payment for cultivation or renewable biomass purchases.

**Account Identification:**

12-4336-0-1-351.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$244,074,948; FY 11 est \$112,000,000; and FY 12 est \$201,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1450

**Regional or Local Office:**

None. For information regarding final rule for BCAP, please contact Katina Hanson (202) 720-Katina.Hanson@wdc.usda.gov

Persons with disabilities who require alternative means for communication (Braille, large print, audiotape, etc.) should contact the: USDA Target Center 202-720-2600.

**Headquarters Office:**

Kelly Novak USDA, FSA, Conservation & Environmental Programs (CEPD) 14th & Independence Ave SW, Room 4975, Washington, District of Columbia 20250 Email: kelly.novak@wdc.usda.gov Phone: 202-720-4053.

**Website Address:**

<http://www.fsa.usda.gov/bcap>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.088 LIVESTOCK INDEMNITY PROGRAM**

LIP

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Food, Conservation, and Energy Act of 2008; Public Law 110-246, Public Law 110-246.

**OBJECTIVES:**

The Livestock Indemnity Program (LIP) compensates producers for livestock death losses in excess of normal mortality due to adverse weather that occurred on or after January 1, 2008 and before October 1, 2011. No State, county or

other trigger will be used to define an eligible LIP area. Sign up will begin when an eligible disaster is apparent.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The assistance will be used to provide relief to eligible producers due to adverse weather, as determined by the Secretary of Agriculture (henceforth the Secretary), during the calendar year. An eligible producer on a farm means an individual or entity that, as determined by the Secretary, assumes the production and market risks associated with the agricultural production of crops or livestock. An individual or entity is a citizen of the United States (U.S.); a resident alien; a partnership of citizens of the U.S.; or a corporation, limited liability corporation, or other farm organizational structure organized under State law. Eligible livestock is an adult/non-adult beef or dairy cattle, adult/non-adult buffalo/beefalo, equine maintained for commercial use as part of the farming operation, elk, reindeer, deer, sheep, alpacas, emus, swine, goats, llamas, and poultry. Eligible adverse weather events are wildfire (must be related to an adverse weather event), blizzard, tornado, lightning, ice storms, earthquakes, flooding, extreme cold or heat. If an eligible livestock dies due to a disease, it must be related to or exacerbated by an eligible adverse weather event to be an eligible cause of livestock deaths under LIP. Drought is not an eligible adverse weather event except when associated with anthrax, a condition that occurs because of drought and results in the death of eligible livestock.

**Applicant Eligibility:**

An eligible producer may use assistance for livestock death losses in excess of the normal mortality due to adverse weather.

**Beneficiary Eligibility:**

Beneficiary eligibility is extended to an eligible livestock producer who is an owner, cash share lessee, a contract grower of covered livestock that provides the pasture land or grazing land (including cash-leased pasture land or grazing land for the livestock) that is physically located in a county affected by drought. The term "eligible livestock producer" does not include an owner, ash or share lessee, or contract grower of livestock that rents or leases pasture land or grazing land owned by another person on a rate-of-gain basis. The eligible producer on a farm must have during the 60 calendar days before the beginning date of a qualifying drought or fire, owned, ashed or share leased, or been a contract grower of eligible covered livestock.

**Credentials/Documentation:**

Proof of death of livestock must be provided and may include but is not limited to, any or a combination of the following: rendering truck receipts or certificates; national guard receipts of carcass removal; veterinary records; tax assessor records; private insurance documents; a measurement service may be requested by the producer and completed by FSA. Documentation must provide sufficient data that identifies the kind/type/weight range of livestock and the number of livestock. A third party certification may be accepted only when participant certifies in writing that no other form of proof of death is available and includes the number and physical location of livestock in inventory at time death occurs. Documentation must also be provided to support the number of livestock in inventory at the time the death occurred. The third party providing the certification must be a reliable source in a position to have knowledge of the dead livestock and shall not be affiliated with the operation such as a hired hand or a family member, etc. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A notice of loss must be filed within 30 days of when the loss is apparent.

**Award Procedure:**

Indemnity payments to an eligible producer on a farm shall be made at a rate of 75 percent of the market value of the applicable livestock on the day before the date of death of the livestock, as determined by the Secretary for each specific

livestock category; individual producers' eligible losses; and calculations will be performed separately by eligible livestock (by type, kind, and weight range) and producer type.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

There are no restrictions place on the time permitted to spend the money awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

12-5531-0-3-351.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$89,438,406; FY 11 est \$77,000,000; and FY 12 est \$73,000,000

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lenior J. Simmons, FSA DAFO PECD, 1400 Independence Ave SW, Room 3640-S, Washington, District of Columbia 20250 Email: Lenior.Simmons@wdc.usda.gov Phone: (202) 720-9070.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.089 LIVESTOCK FORAGE DISASTER PROGRAM**

LFP

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Food Conservation and Energy Act of 2008, Public Law 110-246.

**OBJECTIVES:**

The objective of LFP is to provide financial assistance from the Agricultural Disaster Relief Trust Fund (Trust Fund). The Secretary of Agriculture (henceforth the Secretary) has the authority to use sums from the Trust Fund to provide compensation to livestock producers who suffered grazing losses due to drought or fire. For drought, the losses must have occurred because of a qualifying drought during the normal grazing period for the county on land that is native or improved pastureland with permanent vegetative cover or is planted to a crop planted specifically for grazing covered livestock. For fire, LFP provides payments to eligible livestock producers that have suffered grazing losses on range land managed by a Federal agency if the eligible livestock producer is prohibited by the Federal agency from grazing the normal permitted livestock on the managed range land because of a qualifying fire. Eligible grazing losses must have occurred on or after January 1, 2008, and before October 1, 2011. The eligible grazing losses must occur within the same calendar year for which benefits are being requested.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The assistance can be used to provide financial assistance for grazing losses due to drought equal to one, two, or three times the monthly payment rate to eligible livestock producers if the eligible livestock producer owns or leases a grazing land or pastureland that is physically located in a county that is rated by the U.S. Drought Monitor as D2 Drought (severe drought) for at least eight consecutive weeks, D3 (extreme drought) at any time or for four weeks (not necessarily four consecutive weeks), or a D4 (exceptional drought at anytime) during the normal grazing period for the specific type of grazing land or pastureland for the county. Eligible livestock producers are eligible to receive assistance if grazing losses due to a fire on Federally managed land if the grazing loss is on range-land managed by a Federal agency such as the Forest Service, Bureau of Land Management, Bureau of Indian Affairs or Tribal government and the eligible producer is prohibited by the Federal agency from grazing the normal permitted livestock and/or normal permitted days. Livestock producers are eligible to receive assistance if grazing losses due to drought or fire occur on or after January 1, 2008 and before October 1, 2011.

**Applicant Eligibility:**

An eligible applicant or livestock producer may use assistance for grazing or fire losses for any specific purpose. Eligible covered livestock includes cattle (including dairy cattle); buffalo/beefalo/ alpacas, deer, elk, emu, equine, goats, llamas, poultry; reindeer, sheep; swine; and other livestock as determined by the Secretary.

**Beneficiary Eligibility:**

Beneficiary eligibility is extended to an eligible livestock producer who is an owner, cash share lessee, a contract grower of covered livestock that provides the pasture land or grazing land (including cash-leased pasture land or grazing land for the livestock) that is physically located in a county affected by drought. The term "eligible livestock producer" does not include an owner, cash or share lessee, or contract grower of livestock that rents or leases pasture land or grazing land owned by another person on a rate-of-gain basis. The eligible producer on a farm must have during the 60 calendar days before the beginning date of a qualifying drought or fire, owned, cashed or share leased, or been a contract grower of eligible covered livestock.

An eligible livestock producer must also be an individual or entity that is a citizen of the United States (U.S.); a resident alien; a partnership of citizens of the U.S.; or a corporation, limited liability corporation, or other farm organizational structure organized under State law.

An eligible livestock producer shall only be eligible for assistance if the livestock producer meets the risk management purchase requirement by obtaining a policy or plan of insurance or filed the required paperwork and paid the administrative fee by the applicable State application closing deadline date for the Noninsured Crop Disaster Assistance Program (NAP) for the grazing land crop that incurred the loss for which assistance is being requested. For 2008 only, a waiver was authorized to allow producers to pay a buy-in fee or receive a waiver by September 16, 2008, for grazing land for which the producer did not obtain a policy or plan of insurance for 2008.

The risk management purchase requirement will be waived for producers who are considered to be a socially disadvantaged farmer or rancher, limited resource farmer or rancher, or beginning farmer or rancher.

**Credentials/Documentation:**

A livestock producer must certify that they have a grazing loss due to drought or fire. There is no minimum loss percentage required by the producer.

A livestock producer must provide an FSA-925 (LFP application for payment) in their administrative FSA county office along with required supporting documents.

Supporting Documentation includes:

CCC-502 Farm Operating Plan for Payment Eligibility Review, applicable for 2008 calendar year

CCC-901 Members Information 2009 and Subsequent Years, applicable for 2009 and subsequent years

AD-1026 - Highly Erodible Land Conservation and Wetland Conservation Certification, applicable for 2008, 2009, 2010, and 2011

CCC-526 Payment Eligibility Average Adjusted Gross Income Certification for 2008

CCC-926 Average Adjusted Gross Income Statement for 2009 and Subsequent Years

Copy of contract grower contract

Report of acreage for the grazing land is owned or leased

Evidence that grazing land is owned or leased

Evidence of meeting risk management purchase requirement or an approved waiver. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Payment Eligibility for Losses Due To Drought

An eligible livestock producer will be eligible to receive payments for grazing losses for qualifying drought equal to one, two, or three times the monthly payment rate. Total LFP payments to an eligible producer in a calendar year for grazing losses due to a qualifying drought will not exceed three monthly payments for the same livestock. To be eligible for a one month payment, the eligible livestock producer must own or lease grazing land or pastureland that is physically located in a county that is rated by the U.S. Drought Monitor as having at least a D2 severe drought (intensity) in any area of the county for at least 8 consecutive weeks during the normal grazing period for the specific type of grazing land or pastureland in the county. To be eligible for a two month payment, the eligible livestock producer must own or lease grazing land or pastureland that is physically located in a county that is rated by the U.S. Drought Monitor as having at least a D3 extreme drought (intensity) in any area of the county at any time during the normal grazing period for the specific type of grazing land or pastureland for the county. To be eligible for a three month payment, the eligible livestock producer must own or lease grazing land or pastureland that is physically located in a county that is rated by the U.S. Drought Monitor as having at least a D3 extreme drought (intensity) in any area of the county for at least four weeks during the normal grazing period for the specific type of grazing land or pastureland for the county, or is rated as having a D4 exceptional drought (intensity) in any area of the county at any time during the normal grazing period for the specific type of grazing land or pastureland for the county. The monthly payment rate for grazing losses due to a qualifying drought for producers who suffer grazing losses on grazing lands located in a county due to drought will be equal to 60 percent of the lesser of the monthly feed cost for all covered livestock owned or leased by the eligible livestock producer or the monthly feed cost calculated using the normal carrying capacity of the eligible grazing land of the eligible livestock producer. If an eligible livestock producer sold or otherwise disposed of covered livestock due to a qualifying drought in one or both of the two production year

immediately preceding the current production year, the payment rate is 80 percent of the monthly payment rate.

**Payment Eligibility For Losses Due To Fire**

Livestock producers who suffer grazing losses on grazing lands managed by a Federal agency due to a fire, will receive a payment equal to 50 percent of the monthly feed cost for the number of days the producer is prohibited from grazing the managed range-land because of the qualifying fire, not to exceed 180 calendar days. The payment begins on the first day the permitted livestock are prohibited from grazing the eligible range-land and ending on the earlier of the last day of the Federal lease of the eligible livestock producer or the day that would make the period a 180 calendar day period.

**Deadlines:**

Dec 10, 2009 To apply for LFP, producers that suffer eligible grazing losses during 2008 must file FSA-925 and required supporting documentation by no later than December 10, 2009. Producers that suffer eligible grazing losses during 2009 and later years must submit a completed FSA-925 and supporting documentation to the administrative FSA county office no later than 30 calendar days after the end of the calendar year in which the grazing loss occurs. Late filed applications will not be accepted.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no restrictions placed on the time permitted to spend the money awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

12-5531-0-3-351.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$263,262,939; FY 11 est \$524,000,000; and FY 12 est \$474,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Scotty Abbott LFP Program Manager  
USDA, FSA, Deputy Administrator for Farm Programs  
Production, Emergencies, & Compliance Division (PECD)  
1400 Independence Ave SW Stop 0517  
, Washington, District of Columbia 20250 Email: scotty.abbott@wdc.usda.gov  
Phone: 202-720-7997 Fax: 202-690-2130

**Website Address:**



<http://www.fsa.usda.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.090 SUPPLEMENTAL REVENUE ASSISTANCE PROGRAM**

SURE

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Trade Act of 1974, Section 902, Public Law 93-618; The American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5; The Food, Conservation, and Energy Act of 2008 (The Farm Bill), Title X11, Part B, Section 12033, Public Law 110-246, 7 U.S.C 1501; The Food, Conservation, and Energy Act of 2008, Title XV, Section 15101, Public Law 110-246.

**OBJECTIVES:**

The objective of the SURE program is to provide financial assistance for farm revenue losses due to natural disaster. Assistance is provided from the Agricultural Disaster Relief Trust Fund (Trust Fund) established under Public Law 110-246. The Secretary of Agriculture (henceforth the Secretary) has the authority to use the Trust Fund to make crop disaster assistance payments to eligible producers on farms in disaster counties whose actual production is less than 50 percent of their normal production. A disaster county means a county included in the geographic area covered by a qualifying natural disaster declaration by the Secretary. SURE is the 2008 Farm Bill's successor to the prior Crop Disaster Programs. SURE is legislated through fiscal year 2011.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

SURE assistance can provide benefit payments to eligible producers who have suffered eligible crop losses due to a natural disaster. To be eligible for crop loss assistance, a producer must show that the actual production on the farm for at least one crop of economic significance is reduced for at least 10 percent due to disaster, adverse weather, or disaster-related conditions. Payment limitations apply for SURE. For 2008, no person may receive more than \$100,000 total for the 2008 program year under the Emergency Assistance for Livestock, Honeybees, and Farm Raised Fish Program (ELAP), Livestock Forage Disaster Program (LFP), Livestock Indemnity Program (LIP), and SURE. For 2009 and subsequent program years, no person or legal entity, excluding joint ventures and general partnerships may receive, directly or indirectly, more than \$100,000 total per program year under ELAP, LFP, LIP and SURE. Producers or legal entities whose average adjusted gross income (AGI) exceeds \$2.5 million in crop year 2008 shall not be eligible for benefit payments unless 75 percent or more of the income is from agriculture. For 2009 and subsequent years, the average AGI income cap changes to \$500,000 of non-farm income, with no on-farm income cap. SURE assistance will be provided to an eligible producer in the amount equal to 60 percent of the difference between the SURE Guarantee and the total farm revenue. The SURE guarantee for the farm cannot be greater than 90 percent of the total of the normal production of the farm. There are specific eligibility criteria a producer must meet before becoming eligible for assistance. To be eligible, a producer (for all of the farming operation's crops that are planted or intended nationwide) must have obtained a policy or plan of crop insurance such as Catastrophic Risk Protection (CAT) for all insurable crops and/or Non-insured Crop Disaster Assistance Program (NAP) coverage for non-insurable crops that are of economic significance. However, statute does not require coverage for grazed crops for the SURE program. Sales closing dates for insurance and application closing dates for NAP have passed for the 2008 crop year for all insurable and non-insurable crops. A waiver was authorized in Public Law 110-246 to allow producers to pay within 90 calendar days of the enactment, a buy-in-fee to be eligible for Supplemental Agricultural Disaster Assistance for crops for which the producer did not obtain crop

insurance or NAP coverage for 2008. The administrative service fee is equal to the lesser of \$100 per crop per county, or \$300 per producer per county, not to exceed \$900 per multi-county producer. The final date for the buy-in fee was September 16, 2008. The American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5, authorized an additional waiver which allows producers another opportunity to pay a buy-in-fee for 2008 Supplemental Agricultural Disaster Assistance. The buy-in fee must be paid within 90 calendar days of the enactment of ARRA. The buy-in fee is \$100 per crop, but not more than \$300 per producer per administrative county, or \$900 total per producer for all counties less any previously paid fees for NAP relief and other buy-in. Producers must buy-in for all non-insurable and insurable crops that are not already covered by NAP, crop insurance, or meet the previous waivers. The fee is nonrefundable and due at the time a producer files FSA-752 and/or FSA-753. Crop insurance and NAP coverage are not a requirement if the producer is considered a Socially Disadvantaged, Limited Resource, or Beginning Farmer or Rancher.

**Applicant Eligibility:**

An eligible applicant or eligible "producer on a farm", is an individual or entity who assumes the production and market risks associated with the agricultural production of crops or livestock. An individual or entity is a citizen of the United States (U.S.), a resident alien, or a partnership of citizens of the U.S.

**Beneficiary Eligibility:**

The SURE program will provide financial assistance to an eligible producer on a farm who has insurable or noninsurable commodity or agricultural commodity (except livestock) for which the producer on a farm is eligible to obtain a policy or plan of insurance. Benefits are also extended to the Socially Disadvantaged Farmer or Rancher who has been subject to racial or ethnic prejudice because of his or her identity as members of a group without regard to their individual qualities; a beginning farmer or rancher who has not operated a farm or ranch for more than 10 years and materially and substantially participates in the operation; and limited resource producer with direct or indirect gross farm sales not more than \$100,000 in both of the previous two years, adjusted upwards for any general inflation since fiscal year 2004, and if the total household income is at or below the national poverty level for a family of four or less than 50 percent of county median household income in both of the previous two years.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An eligible producer must provide a total crop acreage report (FSA-578) including crops on cropland and non-cropland in all counties that the producer has interest. The total farm acreage report includes native and improved grass that will be hayed or grazed, all grazing land and uninsurable land by either crop insurance or NAP coverage and file an AD-1026.

**Award Procedure:**

The applicant will submit the required forms to applicants local FSA office. Applications will be reviewed and the award will be distributed based on 60 percent of the difference of the SURE guarantee and total farm revenue calculation. Total farm revenue include estimated crop value, crop insurance indemnities, NAP payments, Market Assistance Loan proceeds, other disaster payments, DCP payments (15% of direct payments, plus all Counter-Cyclical and ACRE payments. To assist farmers and ranches in evaluating their options with SURE, USDA has created a SURE calculator. To utilize the calculator, visit the website [www.fsa.usda.gov](http://www.fsa.usda.gov). The calculator and instructions linked on the FSA website are for informational purposes only. This calculator in no way binds FSA to potential payments under SURE and should not be relied on as the sole source of information to make final management decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

From 60 to 90 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

12-5531-0-3-351; 12-5591-0-3-351 - Recovery Act SURE.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$1,195,516,771; FY 11 est \$1,287,000,000; and FY 12 est \$921,000,000 - Regular SURE Payments. (Direct Payments for Specified Use) FY 10 \$688,804,960; FY 11 est \$171,392,525; and FY 12 est \$0 - No Recovery Act SURE funding can be obligated beyond Fiscal Year 2010, but there was an obligation adjustment in FY 2011. This is a new program, so there was no funding in FY 2008 and 2009.

**Range and Average of Financial Assistance:**

This is a new program. Range and average of financial assistance can not be determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Steve Peterson, USDA, Deputy Administrator for Farm Programs, Production, Emergencies, and Compliance Division, Disaster Assistance Branch, 14th and Independence Ave SW, Stop 0517, Washington, District of Columbia 20250 Email: Steve.Peterson@wdc.usda.gov Phone: (202) 720-5172 Fax: (202) 720-0051.

**Website Address:**

<http://www.fsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.091 EMERGENCY ASSISTANCE FOR LIVESTOCK, HONEYBEES, AND FARM-RAISED FISH PROGRAM**

ELAP

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Trade Act of 1974, Public Law 93-618, 19 U.S.C 2947a.

**OBJECTIVES:**

The objective of ELAP is to provide emergency assistance to eligible producers of livestock, honeybees, and farm-raised fish who have losses due to disease, adverse weather, or other conditions, including losses due to blizzards and wildfires, as determined by the Secretary of Agriculture (Secretary). Assistance is provided from the Trust Fund established under Public Law (P.L.) 110-246. ELAP assistance is for losses not covered under other Supplemental Agricultural Disaster Assistance Payment programs specifically Livestock Forage Program (LFP), Livestock Indemnity Program (LIP), and the Supplemental Assistance Program (SURE). ELAP is authorized for fiscal years 2008 through September 30, 2011.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

ELAP covers losses occurring on or after January 1, 2008 and before October 1, 2011. P.L. 110-246, Sections 12033 and 15101, authorized the Secretary to provide payments to producers of livestock, honeybees, and farm-raised fish to aid in the reduction of losses due to disease, adverse weather, or other conditions such as blizzards and wildfires. ELAP also covers some species, loss conditions, and losses that are not eligible for other disaster assistance programs, including colony collapse disorder and wildfires on non-Federal land. Assistance will be granted only to eligible livestock, honeybee, and farm-raised producers. ELAP benefits, compensation, or relief will be strictly used to compensate eligible losses. The Secretary has the authority to use up to \$50 million per year from the Trust Fund to provide emergency relief to eligible producers.

For program year 2008, no person may receive more than \$100,000 total in payments under ELAP, LFP, LIP, SURE, combined. For 2009 and subsequent program years, no person or legal entity may receive directly or indirectly, more than \$100,000 total in payments under ELAP, LFP, LIP, and SURE combined.

**Applicant Eligibility:**

To be considered an eligible applicant, the participant must be a producer or contract grower of livestock, honeybee, or farm-raised fish that meet the requirements to receive ELAP payments.

**Beneficiary Eligibility:**

Eligible producers of livestock, honeybees, and farm-raised fish will receive the ultimate benefits from ELAP. An eligible producer of livestock is an owner that provides the pastureland or grazing land. An eligible producer of honey bee's mean all bees and beehives in all counties are intended to be harvested for a honey crop. An eligible producer of farm-raised fish means any aquatic species that is propagated and reared in a controlled environment.

**Credentials/Documentation:**

Risk Management Purchase Requirement (RMPR)

For every commodity on every farm in which the producer has an interest for the relevant program year, the producer must obtain catastrophic coverage (CAT) or better under a policy or plan of insurance administered under the Federal Crop Insurance Act (FCIA). In the case of non-insurable commodity, the producer must obtain the Noninsured Crop Disaster Assistance Program (NAP) coverage by filing the required paperwork and paying the administrative fee by the applicable state application closing date, except this requirement will not include forage on grazing land.

Due to the lateness of P.L. 110-246, producers were allowed to "buy-in" to the ELAP for 2008 by paying fees equivalent to the NAP service fee or CAT fee by September 16, 2008. If a producer who is otherwise ineligible because of the purchase requirement and did not meet the buy-in deadline of September 16, 2008, still may be eligible for ELAP if the producer paid the applicable fee no later than May 18, 2009.

For 2009, the RMPR was waived for insurable crops where sales closing dates for crop insurance coverage occurred before August 14, 2008, if the buy-in fee was paid by January 12, 2009. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Producers are required to obtain CAT or NAP coverage prior to applying for ELAP benefits. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for ELAP, the participant that suffered eligible livestock, honeybee, or farm-raised fish losses must submit the FSA administrative county office that maintains the participant's farm records the following:

1. A Notice of Loss for calendar years 2008 and 2009 must be provided no later than May 5, 2010 and for subsequent year losses, the producer must provide a notice of loss to FSA the earlier of 30 calendar days of when the loss is apparent to the producer or 30 calendar days after the end of the calendar year in which the loss occurred.
2. A complete application for payment no later than May 5, 2010 for calendar years 2008 and 2009 and for subsequent crop years, January 30, after the year in which the loss occurred.

**Award Procedure:**

Livestock payment calculations will be based on losses for no more than 90 days during the calendar year. ELAP payments for feed losses will be based on 60 percent of the producers actual cost for livestock feed, that was purchased or mechanically harvested for forage or feedstuffs; the additional cost incurred for providing or transporting livestock feed or to purchase additional livestock feed above normal to maintain the eligible livestock due to an eligible adverse weather or eligible loss condition. Grazing losses will be calculated based on 60 percent of the lesser of the total value of the feed cost for all covered livestock based on the number of days grazing was lost, not to exceed 90 days of daily feed cost for all covered livestock or the total value of grazing lost for all eligible livestock based on the normal carrying capacity of the eligible grazing land. Livestock death losses will be calculated by multiplying the national payment rate for each livestock category times the number of eligible livestock that died in each category as a result of an eligible loss condition in excess of normal mortality.

ELAP payments for honeybee losses will be based on 60 percent of the actual cost of honeybee feed that was damaged or destroyed and intended as feed for an eligible honeybee colony. Payments for honeybee colony losses will be based on 60 percent of the average fair market value of the honey bee colonies in the year in which the loss occurred times the number of honey bee colonies that were damaged or destroyed. Payments for honeybee hive losses will be based on 60 percent of the average fair market value of the honey bee hives in the year in which the loss occurred, times the number of honey bee hives that were damaged or destroyed due to an eligible adverse weather or eligible loss condition.

ELAP payments for eligible farm-raised fish feed losses are based on 60 percent of the actual cost of purchased or harvested feed that was intended as feed for eligible farm-raised fish and was damaged because of an eligible adverse weather or loss condition in the calendar year in which the loss occurred. Payments for farm-raised fish death losses will be based on 60 percent of the State's average fair market value of the bait or game fish times the number of bait or game fish lost due to an eligible adverse weather or loss condition.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeal regulations set forth at parts 11 and 780 of 7CFR.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no restrictions place on the time permitted to spend the money awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

The producer or any other legal entity or person who provides information enabling a producer to receive payments must maintain any books, records and accounts supporting the information for three years following the end of the year during which the request for payment was submitted and allow authorized representatives of USDA and the U.S. Government Accountability Office during regular business hours, to inspect, examine, and make copies of such books or records, and to enter the farm and to inspect and verify all applicable acreage in which the producer has an interest for the purpose of confirming the accuracy of information provided by or for the producer.

**Account Identification:**

12-5531-0-3-351.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$21,460,176; FY 11 est \$50,000,000; and FY 12 est \$50,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7CFR Part 760

Federal Register Vol 74, No. 175, dated September 11, 2009

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Amy Mitchell, USDA, FSA, Production, Emergencies, & Compliance Division, 1400 Independence Ave SW Stop 0517, Washington, District of Columbia 20250 Email: Amy.Mitchell1@wdc.usda.gov Phone: (202) 720-8954 Fax: (202) 690-2130.

**Website Address:**

<http://www.fsa.gov>

**RELATED PROGRAMS:**

10.088 Livestock Indemnity Program; 10.089 Livestock Forage Disaster Program; 10.090 Supplemental Revenue Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.092 TREE ASSISTANCE PROGRAM****TAP****FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008 (2008 Farm Bill), Title XII, Part A, Section 12033 and 15101, Public Law 110-246, 7 U.S.C 1501; The American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

**OBJECTIVES:**

The Tree Assistance Program (TAP) provides financial assistance to qualifying

orchardists and nursery tree growers to replant or rehabilitate eligible trees, bushes and vines affected by natural disasters and suffered mortality losses in excess of 15 percent, after adjustment for normal mortality occurring on or after January 1, 2008, and before October 1, 2011. TAP was authorized by the 2008 Farm Bill and is funded through the Agricultural Disaster Relief Trust Fund under Section 902 of the Trade Act of 1974.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

Assistance will be provided for eligible trees, bushes, and vines from which an annual crop is produced for commercial purposes. Nursery trees include ornamental, fruit, nut and Christmas trees produced for commercial sale. Trees used for pulp or timber are ineligible.

**Applicant Eligibility:**

An eligible applicant is an orchardist or a nursery tree grower who has planted trees for commercial purposes but lost the trees as a direct result of a natural disaster. The term "tree" includes a tree, bush, and vine. An eligible orchardist is a person who produces annual crops from trees for commercial use. An eligible nursery tree grower is a person who produces nursery, ornamental fruit, nut or Christmas trees for commercial sale.

**Beneficiary Eligibility:**

Beneficiary eligibility will be provided to an owner who has trees, bushes or vines lost by a natural disaster who suffer qualifying losses in excess of 15 percent (adjusted for normal mortality) from an eligible natural disaster for the individual stand; must have owned the eligible trees, bushes and vines when the natural disaster occurred; however, eligible growers are not required to own the land on which eligible trees, bushes and vines are planted; and must replace eligible trees, bushes and vines within 12 months from the date the application is approved.

**Credentials/Documentation:**

In general, orchardists and nursery tree growers must have obtained a policy or plan of insurance for all their insurable or NAP eligible crops through either Federal Crop Insurance Act or FSA's Non-insured Crop Disaster Assistance Program (NAP). Eligible producers who meet the definition of "Socially Disadvantaged", "Limited Resource", or "Beginning Farmer or Rancher" do not have to meet this requirement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For 2009 through 2011 TAP payment limitations, no person or legal entity may receive, directly or indirectly, more than \$100,000 per program year. For 2008, payments are limited per "person" according to payment limitations rules in effect for 2008. For cumulative total quantity of acres planted to trees, bushes, or vines where a producer may receive TAP payments for losses occurring between January 1, 2008 and September 30, 2011, cannot exceed 500 acres. The Adjusted Gross Income (AGI) limitations for 2009 and subsequent program years for producers or legal entities whose average non farm AGI exceeds \$500,000 are not eligible and for the 2008 program year, producers are not eligible if their average AGI is \$2.5 million or greater, unless 75% or more of their AGI is from agriculture.

In order for a participant to obtain a TAP payment, the eligible applicant must (1) File an application (FSA-899) at the FSA administrative county office that maintains the applicants farm records for the agricultural operation, within the applicable sign-up deadline. A complete application includes, a completed Form FSA-899; certification that Risk Management Purchase Requirement has been met on all crops on the farm; must have an acreage report for the farming operation; a written estimate of the number of trees, bushes, or vines lost or damaged is certified by the producer or a qualified expert, including the number of acres on which the loss occurred; and sufficient evidence of the loss to allow

the county FSA committee to calculate whether an eligible loss occurred. (2) FSA staff will make a field visit and validate which practices are appropriate to address the losses. After verification, FSA will inform the producer of the approved eligible practices and estimated payment. Additional information may be requested to assist FSA representative in making its determination. (3) Applicant must complete the approved practices within 12 months of FSA approval. Payments will be made after all practices are completed on the stand. Producers that suffer multiple losses during the calendar year may file multiple applications for payment.

**Award Procedure:**

For tree, bush or vine replacement including replanting and the cost of seedlings, the payment calculation is the lesser of the following:

- 1) 70% of the actual cost of the practice, or
- 2) the amount calculated for each practice using the established rates.
- 3) For salvaging existing trees, bushes, or vines, including the cost of pruning, removal, or other costs, the payment calculation is the lesser of the following: 50% of the actual cost of the practice, or the amount calculated for each practice using the established rates.

**Deadlines:**

May 10, 2010 to Jul 06, 2010 orchardists and nursery tree growers may apply to receive TAP benefits at local FSA county offices beginning May 10, 2010. For losses suffered during calendar year 2008 and 2009 and for losses suffered January 01 2010 through May 7, 2010, applications and supporting documentation must be submitted by July 6, 2010. For those losses that occur after May 7, 2010, applications and supporting documentation must be submitted within 90 days from either the date of the disaster or when the disaster becomes apparent to the producer.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The orchardist or nursery tree grower must replace eligible trees, bushes and vines within 12 months from the date the application is approved. Payment is made by check or direct deposit after determining applicant eligibility. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

No audits are required for this program.

**Records:**

Applicants receiving assistance for TAP shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which assistance was provided.

**Account Identification:**

12-5531-0-3-351 - The Agricultural Disaster Relief Trust Fund.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$2,198,231; FY 11 est \$5,000,000; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through press releases, news media, and newsletters.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lenior J. Simmons, USDA, DAFP, PECD, GRS, 1400 Independence Ave SW Stop 0517, Washington, District of Columbia 20250 Email: Lenior.Simmons@wdc.usda.gov Phone: (202) 720-9070.

**Website Address:**

www.fsa.usda.gov/tap

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.093 VOLUNTARY PUBLIC ACCESS AND HABITAT INCENTIVE PROGRAM**

VPA-HIP

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Food Security Act of 1985, Public Law 99-198, 15 U.S.C 714b and 714c.

**OBJECTIVES:**

The primary objective of the VPA-HIP is to encourage owners and operators of privately-held farm, ranch, and forest land to voluntarily make that land available for access by the public for wildlife-dependent recreation, including hunting or fishing, under programs implemented by state or tribal governments.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The funding provided by the VPA-HIP will help states and tribal governments address many issues that can greatly increase access and recreational experiences. Grant recipients will be able to use the funding to provide higher rental payments, provide technical and conservation services to landowners, and increase acreage enrolled for public access. Twenty-six states have public access programs for hunting, fishing, and other related activities. These programs provide rental payments and other incentives, such as technical or conservation services to landowners who allow the public to hunt, fish, or otherwise appropriately recreate on their land. Only states and tribal governments are eligible for VPA-HIP grant.

**Applicant Eligibility:**

Only States and Tribal governments are eligible for VPA-HIP. An eligible State government means any State or local government, including State, city, town, or county government. An eligible Tribal Government means any Federally-recognized Indian tribe, band, nation, or other organized group, or community, including pueblos, rancherias, colonies and any Alaska Native Village, or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (43 U.S.C 1601-1629H), which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**Beneficiary Eligibility:**

The beneficiary eligibility is extended to the public for the purposes of expanding existing public access programs or create new public access programs or provide incentives to improve habitat on enrolled program lands.

Proposals for grant money should be submitted to the local State or Tribal governments by owners and operators of privately-held farm, ranch, and forest land.

An eligible owner is one who has legal ownership of farmland. An eligible operator (individual, entity, or joint operation) who is determined by the FSA county committee to be in control of the farming operations on the farm.

For the purposes of receiving grant money, an appropriate wildlife habitat should be suitable or proper, as determined by the applicable State or tribal government, to support fish and wildlife populations in the area. A eligible farmland or ranch land means the sum of the Direct and Counter-Cyclical (DCP) cropland, forest, acreage planted to an eligible crop acreage and other land on the farm. Eligible forest land is at least 120 feet wide and one acre in size with at least 10 percent cover (or equivalent stocking) by live trees of any size, including land that formerly had such tree cover and that will be naturally or artificially regenerated. Forest land includes transition zones, such as areas between forest and nonforest lands that have at least 10 percent cover (or equivalent stocking) with live trees and forest areas adjacent to urban and built-up lands. Roadside, streamside, and shelterbelt strips of trees must have a crown width of at least 120 feet and continuous length of at least 363 feet to qualify as forest land. Unimproved roads and trails, streams, and clearings in forest areas are classified as forest if they are less than 120 feet wide or an acre in size. Tree-covered areas in agricultural production settings, such as fruit orchards, or tree-covered areas in urban settings, such as city parks, are not considered forest land. Eligible privately-held land means farm, ranch, or forest land that is owned or operated by an individual or entity that is not an entity of any government unit or Tribe.

**Credentials/Documentation:**

Funding priority will be given to proposals that will use the grant money in a public access program to address these objectives:

Maximize participation by landowners;

Ensure that land enrolled in the program has appropriate wildlife habitat;

Provide incentives to strengthen wildlife habitat improvement efforts on Conservation Reserve Enhancement Program (CREP) land;

Supplement funding and services from other federal, state, tribal government or private resource that is provided in the form of cash or in-kind services; and

Provide information to the public about the location of public access land. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. CCC will issue periodic Request for Applications (RFA) on the federal government grants portal [www.grants.gov](http://www.grants.gov).

Applicants must file an original and one hard copy of the required forms and an application. A State or tribal government must include all proposed activity under a single application per RFA review period. Multiple applications from an applicant during a single RFA period will not be considered. The applicant is the individual State or Tribe; any application from any unit of the State or tribal government must be coordinated for a single submission of one application from the State or Tribe. Incomplete applications will not be considered for funding. However, incomplete applications may be returned, and may be resubmitted, if time permits.

Data furnished by grant applicants will be used to determine eligibility for the VPA-HIP benefits. Furnishing the data is voluntary; however, the failure to provide data could result in program benefits being withheld or denied.

The following forms must be completed, signed, and submitted as part of the application; other forms may be required, as specified in the applicable RFA:

1. Application for Federal Assistance;

2. Budget Information-Non-Construction Programs; and
3. Assurances-Non-Construction Programs.

Each application must contain the following elements; additional required elements may be specified in the applicable RFA:

Title page;

Table of contents;

Executive summary, which includes activities which provide a summary of the application that briefly describes activities proposed to be funded under this grant; objectives, funding, performance which includes the tasks to be accomplished, the amount of funding requested, how the work will be performed, whether organizational staff, consultants or contractors will be used, and whether other resources will be used.

**Award Procedure:**

Grants will awarded through a competitive RFA process. Before receiving grant funding, the grantee will be required to sign an agreement similar in form and substance to the form of agreement published within or as an appendix to the RFA. The agreement will require the grantee to commit to do all the following:

1. Take all practicable steps to develop continuing sources of financial support from other Federal, State, tribal government, or private resources;
2. Make arrangements for the monitoring and evaluation of the activities related to implementation of the public access program of the owners or operators that enroll farm, ranch, and forest land; and
3. Provide an accounting for the money received by the grantee.

The grantee will be required to monitor funds or services as specified and must agree to that monitoring before grant funds are awarded. The grantee must also certify that the grant funds and services will not be used for ineligible purposes.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeals will be handled according to 7 CFR parts 11 and 780.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding for VPA-HIP will be available through FY 2012. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Grantees must provide to FSA a Financial Status Report listing expenditures according to agreed upon budget categories on a periodic basis as specified in the grant document. Annual performance reports that compare accomplishments to the objectives stated in the application that also identify all tasks completed to date and provide documentation supporting the reported results, if the original schedule provided in the work plan is not being met, the report must discuss the problems or delays that may affect completion of the project, and list objectives for the next reporting period, and discuss compliance with any special conditions on the use of award funds. CCC will incorporate performance criteria in grant award documentation and will regularly evaluate the progress and performance of grant awardees. Final project performance reports are due within 90 days of the completion of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees must comply with the audit requirements of 7 CFR part 3052.

**Records:**

No Data Available.

**Account Identification:**

12-4336-0-3-336.

**Obligations:**

(Project Grants) FY 10 \$11,756,000; FY 11 est \$21,578,000; and FY 12 est \$16,666,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, Uniform Federal Assistance Regulations; 7 CFR Part 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 7 CFR Part 3017, Government wide Debarment and Suspension (non procurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3052, Audits of States, Local Governments and Non-profit Organizations

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Kelly Novak, USDA, FSA, 14th & Independence Ave SW Stop XXXX, Washington, District of Columbia 20250 Email: kelly.novak@wdc.usda.gov Phone: 202-720-4053.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Incomplete applications will not be evaluated. All applications will be evaluated using the evaluation criteria and scored in accordance with the RFA. All eligible applicants will be ranked in order and a list will be provided to the FSA Deputy Administrator along with funding level recommendations.

**10.095 DURUM WHEAT QUALITY PROGRAM**

DWQP

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Food, Conservation, and Energy Act of 2008 (2008 Farm Bill), Title I, Part F, Section 1613, Public Law 110-246, 7 U.S.C 8788.

**OBJECTIVES:**

The Durum Wheat Quality Program (DWQP) compensates producers of durum wheat for up to 50 percent of the actual cost of fungicide applied to control Fusarium head blight (FHB), commonly known as wheat scab, for fiscal years (FY) 2009 through 2012, subject to availability of funding.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

The assistance will be used to compensate producers of durum wheat. Cost share assistance will be used to compensate producers for 50 percent of their share of both the purchase price of an eligible fungicide and the cost of applying the eligible fungicide to durum wheat acres.

**Applicant Eligibility:**

To be considered an eligible producer for DWQP, the producer must have a share in the treated durum wheat crop planted on eligible acres, have a share in the cost of either or both of purchasing an eligible fungicide or applying an eligible fungicide to eligible acres.

An eligible fungicide for DWQP must be registered with EPA, as required under the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), unless exempt from FIFRA requirements, compliant with pesticide regulations in the State in which benefits are being requested, and used specifically for one fungicide treatment in the applicable crop year, to control FHB on eligible acres.

An eligible acre for DWQP must be planted to durum wheat and treated with an eligible fungicide, to specifically control FHB and applied during the flowering stage, the period of time during the wheat growth stage after the head emergence has completed and before milk development in the kernel.

**Beneficiary Eligibility:**

Subject to available funding, eligible producers of durum wheat will be partially compensated for the cost of purchasing and applying fungicides to a crop of durum wheat to control Fusarium head blight on acres accurately certified as planted to durum wheat.

**Credentials/Documentation:**

Documentation for Payment

To apply for DWQP benefits, producers shall file the following forms in their administrative County Office:

CCC-551 Durum Wheat Quality Program Application

FSA-578 Report of Acreage

AD-1026 Highly Erodible Land Conservation and Wetland Conservation Certification

Documentation of Fungicide Purchasing Cost

To qualify for DWQP cost share assistance, the producer must provide verifiable documentation of the producer's actual fungicide cost, excluding application cost, for purchasing the eligible fungicide claimed on CCC-551 used to control FHB, for the applicable year. The following types of documentation are under consideration as acceptable proof of fungicide purchases:

- 1) original commercial sales and purchase receipts for an eligible fungicide
- 2) original invoices from licensed custom applicators that explicitly specify the cost of an eligible fungicide.

All supporting documentation must be completed by the participant and on file in the County Office before CCC-551 may be approved. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Farm Service Agency (FSA) County Office Committee (COC) must act on all completed and signed applications.

**Deadlines:**

Jul 21, 2010 to Sep 15, 2010 Signup periods for subsequent years will be announced as funding becomes available and will always end on September 15 of the applicable crop year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeal regulations set forth at parts 11 and 780 of 7CFR apply to determinations made under DWQP.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no restrictions placed on the time permitted to spend the money awarded. Payments will not be made for claims for a particular crop year until after the application deadline, which is September 15 of that crop year, for the crop for which payment for the fungicide application is sought and only if funds are made available through an appropriation. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

The producer or any other legal entity or person who provides information enabling a producer to receive payments must maintain any books, records and accounts supporting the information for three years following the end of the year during which the request for payment was submitted and allow authorized representatives of USDA and the U.S. Government Accountability Office during regular business hours, to inspect, examine, and make copies of such books or records, and to enter the farm and to inspect and verify all applicable acreage in which the producer has an interest for the purpose of confirming the accuracy of information provided by or for the producer.

**Account Identification:**

12-2701-0-1-351.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$2,849,958; FY 11 est \$0; and FY 12 est \$0 - New Program in FY 2010. The program is not funded in FY 2011.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1413

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Amy Mitchell, USDA, FSA, Production, Emergencies, & Compliance Division, 1400 Independence Ave SW Stop 0517, Washington, District of Columbia 20250 Email: Amy.Mitchell1@wdc.usda.gov Phone: (202) 720-8954 Fax: (202) 690-2130.

**Website Address:**

<http://www.usda.fsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.099 CONSERVATION LOANS**

Conservation Loans

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Consolidated Farm and Rural Development Act, Title XIV, Part A, Section 304, 7 U.S.C 1924.

**OBJECTIVES:**

To provide financial assistance to eligible applicants for implementing qualified conservation practices as outlined in a conservation plan developed and approved by the Natural Resources and Conservation Services (NRCS).

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

Loan funds may be used for conservation activities included in a conservation plan approved by NRCS.

**Applicant Eligibility:**

An applicant must (1) Not have caused a loss to the Agency after April 4, 1996, or received debt forgiveness on more than three occasions prior to April 4, 1996 to receive a guaranteed loan, and for a direct loan, must not have received debt forgiveness from the Agency on any direct or guaranteed loan; (2) be a U.S. citizen, non-citizen national or qualified alien; (3) possess the legal capacity to incur the obligations of the loan; (4) for a direct loan, have the necessary education and/or experience, training, and managerial ability to operate a farm; and (5) for a direct loan, fulfill the Agency's borrower training requirements. If the applicant is an entity, it must be controlled by farmers engaged primarily and directly in farming in the U.S., after the loan is made.

Unlike other Agency loan programs, Conservation Loans are not limited to applicants who are unable to obtain sufficient credit from other sources at reasonable rates and terms or to those who are the owner or operator of a not larger than family size farm. However, the applicant's operation must realistically project the ability to repay the loan. Assistance is authorized for eligible applicants in the 50 States, the Commonwealth of the Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and, to the extent the Secretary determines it to be feasible and appropriate, the Trust Territories of the Pacific Islands.

**Beneficiary Eligibility:**

Applicants are the direct beneficiaries and must meet the applicant eligibility requirements. Families, individual, and entities who are farmers are the beneficiaries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The following forms must be submitted by applicants:

For Direct Loans

FSA-2001 Request for Direct Loan Assistance

Must be submitted with supporting information at the applicant's local FSA county office.

For Loan Guarantees

FSA-2211 Application for Guarantee or FSA-2212 Preferred Lender

Application for Guarantee

Must be submitted with supporting information with the prospective lender

Applicants for direct and guaranteed loans must provide an approved NRCS conservation plan that includes the conservation measure for which loan funds are requested.

**Award Procedure:**

Certification as to eligibility is made by the authorized agency official and an approval determination is made by the authorized agency official based on loan feasibility, soundness, and adequate security.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The authorized agency official must approve or disapprove a completed guaranteed application within 30 days, and a completed direct loan application within 60 days.

**Appeals:**

Applicants for direct and guaranteed loans may appeal an adverse decision. The applicant is given an opportunity to appeal the decision to the National Appeals Division. The applicant may in the final step of the appeal process ask for a review of the decision by the Director of the National Appeals Division in Washington, DC.

**Renewals:**

Applicants may reapply at any time. Applicants denied assistance through the appeal process must establish that substantial change has occurred since the denial decision.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. The selected criteria identify essential elements considered necessary to compare the needs of the various States, and to make the best use of available program funds.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans are scheduled for repayment over periods up to 20 years depending on the type of security available. The interest rate for guaranteed loans is negotiated between the lender and borrower. The interest rate for direct loans is determined by the Secretary of Agriculture. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1140-0-1-351 - Direct Conservation Loans; 12-1140-0-1-351 - Guaranteed Conservation Loans.

**Obligations:**

(Direct Loans) FY 10 \$4,933,000; FY 11 est \$0; and FY 12 est \$0 - Actual Direct Conservation loans made in FY 2010 were 73 and totaling \$4,933,000. FY 2011 Estimated funding for Direct Conservation loans \$00- None Appropriated.

FY 2012 None requested in the President's Budget. (Guaranteed/Insured Loans) FY 10 \$154,000; FY 11 est \$0; and FY 12 est \$150,000,000 - Actual Guaranteed Conservation loans made in FY 2010 were 2 and totaling \$154,000.

FY 2011 Estimated funding for Guaranteed Conservation loans \$00- None appropriated.

FY 2012 Estimated funding for Guaranteed Conservation loans \$150,000,000.

**Range and Average of Financial Assistance:**

Maximum indebtedness for direct loans, combined; farm ownership, conservation, soil and water, and recreation \$300,000.

Maximum indebtedness for guaranteed loans combined: farm ownership, conservation, and soil and water loan indebtedness of \$1,214,000 (for FY 2012, amount adjusted annually for inflation).

Estimated range and average of financial assistance is non applicable for FY 2010. New Program being implemented beginning October 1, 2010.



**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Parts 762 and 764  
FSA Handbooks 2-FLP and 3-FLP  
FSA Fact Sheets

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate FSA State Office listed in Appendix IV of the Catalog.  
(What catalog).

**Headquarters Office:**

Bob Bonnet USDA FSA DAFLP LMD  
1400 Independence Avenue, SW  
, Washington, District of Columbia 20250-0522 Email:  
bob.bonnet@wdc.usda.gov Phone: (202) 720-1657 Fax: (202) 690-1117

**Website Address:**

<http://www.fsa.usda.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.103 2009 AQUACULTURE GRANT PROGRAM**

AGP

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Section 32 of the Agricultural Adjustment Act of August 24, 1935, Public Law 74-320.

**OBJECTIVES:**

To provide assistance to eligible aquaculture producers that suffered financial losses associated with high feed input costs during the 2009 calendar year.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The grants will be used to provide assistance to aquaculture producers who incurred losses due to high feed costs in 2009. Funds received by the producer must be used for costs associated with their current aquaculture operation.

**Applicant Eligibility:**

The grants will be used to aid struggling aquaculture producers.

**Beneficiary Eligibility:**

The beneficiary will apply through state and local governments.

**Credentials/Documentation:**

Acceptable documentation is determined by the State of 2009 and May through August 2010 feed purchased (quantity and price) for aquaculture operation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Commodity Credit Corporation will award funds to State Departments of Agriculture. States will conduct program sign up and disburse payments to aquaculture producers in their state.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeal regulations set forth at parts 11 and 780 of 7CFR.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

2009 AGP work plans must be submitted to the Farm Service Agency describing how the State will implement the program including the State's program application. Cash reports are not applicable. Progress reports are not applicable. Monthly, until all grant funding is expended, States must submit a Financial Report to the Farm Service Agency that provides State obligations and outlays. Within 60 days of funds disbursement, States must submit Internal Review results to the Farm Service Agency.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The producer or any other legal entity or person who provides information enabling a producer to receive payments must maintain any books, records and accounts supporting the information for three years following the end of the year during which the request for payment was submitted and allow authorized representatives of USDA and the U.S. Government Accountability Office during regular business hours, to inspect, examine, and make copies of such books or records, and to enter the farm and to inspect and verify all applicable acreage in which the producer has an interest for the purpose of confirming the accuracy of information provided by or for the producer.

**Account Identification:**

12-5209-0-1-351.

**Obligations:**

(Formula Grants) FY 10 \$0; FY 11 est \$20,000,000; and FY 12 est \$0 - New Program for 2011.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Amy Mitchell, USDA, FSA, Production, Emergencies, & Compliance Division, 1400 Independence Ave SW Stop 0517, Washington, District of Columbia 20250 Email: Amy.Mitchell1@wdc.usda.gov Phone: (202) 720-8954 Fax: (202) 690-2130.

**Website Address:**

<http://www.fsa.gov>

**RELATED PROGRAMS:**

10.086 Aquaculture Grants Program (AGP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.104 POULTRY LOSS CONTRACT GRANT ASSISTANCE PROGRAM**

PGAP

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Section 32 of the Agricultural Adjustment Act of August 24, 1935, Public Law 74-320.

**OBJECTIVES:**

To provide assistance to eligible poultry growers whose poultry growing arrangements with a live poultry dealer were terminated because of the bankruptcy of the live poultry dealer between May 1, 2008 and July 1, 2010, and the poultry grower did not enter into a poultry growing arrangement with any live poultry dealer for one month after termination of the poultry growing arrangement.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

PGAP will be used to provide assistance to poultry growers who incurred losses due to their poultry growing arrangements being terminated because of the bankruptcy of the live poultry dealer in the poultry industry.

**Applicant Eligibility:**

The eligible poultry grower must:

- 1) have suffered a financial loss as a result of a bankrupt live poultry dealer terminating its poultry growing arrangement with the poultry grower between May 1, 2008 and July 1, 2010;
- 2) not have entered into a poultry growing arrangement with any live poultry dealer for one month following the termination of its poultry growing arrangement with a bankrupt live poultry dealer;
- 3) be in compliance with the highly erodible land and wetland conservation provisions of 7 CFR Part 12 for calendar year 2009; and
- 4) not have an average adjusted gross non-farm income, as defined in 7 CFR Part 1400 with respect to 2009 programs, that exceeded \$500,000 for calendar years 2005-2007.

**Beneficiary Eligibility:**

The beneficiary will apply through state and local governments. The poultry producers will receive the ultimate benefits from PGAP.

**Credentials/Documentation:**

Acceptable documentation is determined by the State of poultry grower settlement sheets documenting production/receipts from the bankrupt live poultry dealer for the most recent 12 months prior to the conclusion of the poultry growing arrangement that was terminated between May 1, 2008 and July 1, 2010. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

USDA's Farm Service Agency (FSA) will award funds to State Departments of Agriculture. States will conduct program sign up and disburse payments to poultry producers in their State.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeal regulations set forth at parts 11 and 780 of 7CFR.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no restrictions placed on the time permitted to spend the money awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

PGAP work plans must be submitted to FSA describing how the State will implement the program including the State's program application. No cash reports are required. No progress reports are required. Monthly, until all grant funding is expended, States must submit a Financial Report to FSA that provides State obligations and outlays. States must complete Internal Reviews and submit Internal Review results to FSA within 90 days of funds disbursement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each State requires eligible poultry growers to retain financial and other records for a period of three years after completion of the distribution of grant funds or until final resolution of any audit findings or litigation claims relating to the distribution of such funds. Each State agrees to allow any representative of USDA, including FSA, and the Office of the Inspector General and the Comptroller General of the United States to have access to and the right to examine all records and documents related to the grant Agreement. Each State agrees to require poultry growers and live poultry dealers, if applicable, to provide access to State, USDA, and other branches of the Federal government to facilities and as needed to assure compliance with the program.

**Account Identification:**

12-5209-0-1-351.

**Obligations:**

(Formula Grants) FY 10 \$0; FY 11 est \$60,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Scotty Abbott, 14th & Independence Ave SW, Room 4759 South Building, Washington, District of Columbia 20250 Email: scotty.abbott@wdc.usda.gov

Phone: (202) 720-7997 Fax: (202) 690-2130.

**Website Address:**

<http://www.fsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.153 MARKET NEWS**

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Cotton Statistics and Estimates Act, 7 U.S.C. 471- 473, 473b, 475-476; Tobacco Inspection Act, 7 U.S.C. 511h; Agricultural Marketing Act of 1946, 7 U.S.C. 1622k; Tobacco Statistics Act, 7 U.S.C. 501-508; Naval Stores Act, 7 U.S.C. 91-99; Cotton Futures Act, 7 U.S.C. 15b; Peanut Statistics Act, 7 U.S.C. 951-957; Food Security Act of 1985, as amended.

**OBJECTIVES:**

To provide timely and accurate information on prices, demand, movement, volume, and quality on all major U.S. agricultural commodities.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

The information can be used by anyone as a basis for judging prevailing commodity values. Market news information widely distributed through a variety of electronic sources as well as fax and paper copies.

**Applicant Eligibility:**

Any public or private organization, or individual, including those located in the U.S. Territories, may subscribe to existing market news reports or bulletins pertaining to specific agricultural commodities.

**Beneficiary Eligibility:**

Anyone availing themselves of this service.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for Market News should be made to the appropriate commodity division of the AMS field office (see Appendix IV of the Catalog for listing of office locations).

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As provided for in subscription. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Salaries) FY 10 \$33,031,000; FY 11 est \$33,149,000; and FY 12 est \$33,149,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

MB-40, "The Federal- State Market News Services;" MB-41, "Market News Service on Cotton;" MB-61, "The Market News Service on Fruits, Vegetables, Ornamental and Specialty Crops;" MB-44, "The Market News Service on Grain;" MB-63 "Market News Service on Dairy, MB-60 Market News Service and Poultry Products;" MB-43, "Market News Service for Tobacco and Naval Stores;" Annual Market Statistical Summaries are available for sale only through the AMS commodity divisions.

**Regional or Local Office:**

See Regional Agency Offices. AMS field offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Shipman, 1400 Independence Ave SW , Washington, District of Columbia 20250 Phone: (202) 720-4276.

**Website Address:**

<http://www.ams.usda.gov>.

**RELATED PROGRAMS:**

10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.700 National Agricultural Library; 10.950 Agricultural Statistics Reports; 11.001 Census Bureau Data Products; 11.110 Manufacturing and Services

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.155 MARKETING AGREEMENTS AND ORDERS**

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Agreement Act of 1937, as amended, 7 U.S.C. 601, 602, 608a-e, 612, 614, 624, 671-674; Omnibus Budget Reconciliation Act of 1987, Public Law 100-203, 7 U.S.C. 4501- 4513; Agriculture and Food Act of 1981, 7 U.S.C. 2242a.

**OBJECTIVES:**

Marketing Agreements and Orders are designed to stabilize market conditions and improve returns to producers through the establishment of minimum prices, regulating the quality and quantity of commodities sold through commercial channels, and providing market promotion.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROVISION OF  
SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The provisions of orders and agreements are designed specifically to meet the marketing and economic problems of the commodity or area covered. For dairy products, the orders establish orderly marketing conditions in the sale of milk by dairy farmers to handlers, whereas fruit, vegetable, nut, and grass seed, are established to regulate the quantity and quality of products sold in commercial channels.

**Applicant Eligibility:**

Marketing orders are issued by the Secretary of Agriculture only after a public hearing where milk, fruit and vegetable producers, marketers, and consumers testify, and after farmers vote approval through a referendum. Growers of certain fruits, vegetables, and specialty crops (like nuts, raisins, olives, and hops). Dairy farmers are the primary applicants.

**Beneficiary Eligibility:**

The beneficiaries are producers of milk, fruit and vegetable products.

**Credentials/Documentation:**

Evidence (usually hearings) required indicating that agreement or order will assist in the orderly marketing of a commodity. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Made in the form of a letter to the Secretary of Agriculture fully documenting the need for an agreement or order.

**Award Procedure:**

Decision to establish or not to establish an agreement and order is made by the Secretary of Agriculture after public hearings and referendums are conducted.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Subject to time required to hold public hearings, investigations and to conduct a referendum. Approximately 1 year after start of public hearings.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Duration of agreement and order. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly and yearly financial and statistical reports are to be made to the applicable AMS commodity division by producers or handlers as provided for by each agreement and order. Quarterly and yearly financial and statistical reports are to be made to the applicable AMS commodity division by producers or handlers as provided for by each agreement and order. No progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Financial and program audits pertaining to marketing agreements and order transactions are made periodically.

**Records:**

Financial and statistical records relating to the operation of the agreement and order are to be maintained for 3 years.

**Account Identification:**

12-5209-0-2-605.

**Obligations:**

(Salaries) FY 10 \$19,802,187; FY 11 est \$20,056,000; and FY 12 est \$20,056,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

AH-421, Compilation of Agricultural Marketing Agreement Act; PA947, Can a Marketing Order Help?; PA-1095, Marketing Agreements and Orders for Fruits and Vegetables; AMS-565, Sources of Milk for Federal Order Markets by State and County; AMS-559, Questions and Answers on Federal Milk Marketing Orders; MB-27, The Federal Milk Marketing Order Program; SB-625, Federal Milk Order Market Statistics, Annual Summary; SB-624, Dairy Market Statistics, Annual Summary; MB-63, Market News Service on Dairy Products; How to Buy Dairy Products, HG-201; How to Buy Cheese, HG-193; How to Buy Butter, HG-148; Dairy Products Grading Services, MB-69; Judging and Scoring Milk and Cheese, FB-2259.

**Regional or Local Office:**

None.

**Headquarters Office:**

David Shipman, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 720-4276.

**Website Address:**

<http://www.ams.usda.gov>.

**RELATED PROGRAMS:**

10.051 Commodity Loans and Loan Deficiency Payments; 10.500 Cooperative Extension Service; 36.001 Fair Competition Counseling and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.156 FEDERAL-STATE MARKETING IMPROVEMENT PROGRAM**

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Act of 1946, Section 204b, 7 U.S.C. 1623(b).

**OBJECTIVES:**

To assist in exploring new market opportunities for U.S. food and agricultural products and to encourage research and innovation aimed at improving the efficiency and performance of the marketing system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Proposals may deal with barriers, challenges or opportunities manifesting at any stage of the marketing chain including direct, wholesale, and retail. Proposals may involve small, medium or large scale agricultural entities but should potentially benefit multiple producers. Proprietary proposals that benefit one business or individual will not be considered. Proposals that address issues of importance at the State, regional or national level are appropriate for FSMIP. FSMIP also seeks unique proposals on a smaller scale that may serve as pilot projects or case studies useful as a model for others. Of particular interest are proposals that reflect a collaborative approach between the States, academia, the farm sector and other appropriate entities and stakeholders.

**Applicant Eligibility:**

State Departments of Agriculture, State Agricultural Experiment Stations and other appropriate State agencies.

**Beneficiary Eligibility:**

Producers, processors, marketing agencies, and general public.

**Credentials/Documentation:**

A grant agreement is entered into between the administering Federal agency and the State agency that submits the application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit forms SF-424 and SF-424A, a narrative description of the proposal, and a supplemental budget. Supporting documents such as letters of support may be submitted.

**Award Procedure:**

The requests are reviewed and approved or disapproved by the Agricultural Marketing Service in competition with other applications received. Grantees are notified of the amount awarded by allotment letter. Grant payments are made on a reimbursable basis.

**Deadlines:**

Feb 11, 2009 Mid-February.

**Range of Approval/Disapproval Time:**

> 180 Days. 4-5 months from the application deadline.

**Appeals:**

No formal appeal procedure.

**Renewals:**

> 180 Days. Awards are generally for one year. Additional time to complete the project may be requested.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 50%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Payments are made to the States on an as needed, reimbursable basis over the grant period. Advance payments may be requested. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

States must keep all records relating to the grant for 3 years.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

(Project Grants (for specified projects)) FY 10 \$1,334,000; FY 11 est \$1,331,000; and FY 12 est \$1,331,000

**Range and Average of Financial Assistance:**

\$21,000 to \$135,000. Average: \$51,385.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, 22 projects in 18 States were awarded. Fiscal Year 2011: In fiscal year 2011, it is estimated that 35 projects will be

funded. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A request for proposals is announced each fall via agency press release, Federal Register notice, a letter to state departments of agriculture, and the program web site. Additional information about the Federal-State Marketing Improvement Program as well as links to final project reports are available at the program web site.

**Regional or Local Office:**

None.

**Headquarters Office:**

Janise Zygmunt, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 720-8043.

**Website Address:**

<http://www.ams.usda.gov/tmd/fsmip.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Project selection is based on several factors: relative need or importance of the problem to be addressed; benefits likely to be derived in relation to the funds requested; level of state and other nonfederal support; potential impact on other states or issues of national importance; measures to be used in evaluating the impact of the project; and unique innovative features of the project.

**10.162 INSPECTION GRADING AND STANDARDIZATION**

(Agricultural Fair Practices Act)

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Act of 1946, 7 U.S.C. 1622a-J, 1-n; Cotton Statistics and Estimates Act, 7 U.S.C. 473d; Cotton Futures Act, 7 U.S.C. 15b; Cotton Standards Act, 7 U.S.C. 51-65; Naval Stores Act, 7 U.S.C. 91-99; Tobacco Inspection Act, 7 U.S.C. 511 i-q; Wool Standards Act, 7 U.S.C. 415b-d; Egg Products Inspection Act, Public Law 91-597, 21 U.S.C. 1031-1056; Dairy and Tobacco Adjustment Act of 1983, 7 U.S.C. 4501-4513; Tobacco Statistics Act, 7 U.S.C. 501-508; Food Security Act of 1985, as amended.

**OBJECTIVES:**

To develop and apply standards of quality and condition for agricultural commodities; to participate and assist in the development of international agricultural standards; and to conduct quarterly inspections of egg handlers and hatcheries.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

USDA grades are used by the owners of agricultural commodities and by dealers in these commodities to Hatcheries and shell egg handlers, except for producer-packers with an annual production from 3,000 hens or less packing for the retail consumer are required to be checked quarterly to determine the disposition of certain undergrade eggs.

**Applicant Eligibility:**

Any owner of or dealer in agricultural commodities who (a) has a financial interest in the commodity to be graded and (b) is located within the United States and its Territories. All hatcheries and shell egg handlers having an annual production from 3,000 or more hens who pack for the retail consumer and are located within the U.S. or its Territories.

**Beneficiary Eligibility:**

Buyers and sellers of agricultural commodities. Shell egg handlers having an annual production from 3,000 or more hens who pack for the retail consumer and are located in the U.S. or its Territories.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Request for grading of a commodity must be submitted to local AMS grading office in writing. Eligible hatcheries apply for registration by contacting: Chief, Poultry Grading Branch, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250.

**Award Procedure:**

Eligible hatcheries and shell egg handlers must complete registration forms.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

In cases in which applicants do not agree with the grade given, they may appeal for a review of the grade to the local AMS office.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Duration of agreements. See the following for information on how assistance is awarded/released: N/A.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

12-2500-0-1-352; 12-8015-0-7-352.

**Obligations:**

(Salaries) FY 10 \$197,652,000; FY 11 est \$215,984,000; and FY 12 est \$215,984,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 26-32, 41-70, 160- 171, 205; AH-533, "USDA Standards for Food and Farm Products;" Marketing Bulletin No. 37, "The Story of Cotton;" "Annual Report on Tobacco Statistics, AH-566, The Classification of Cotton;" Misc. Pub. No. 867, "Tobacco in the U.S.;" quarterly report-- "Tobacco Stocks Reports as of Jan. 1, April 1, July 1, and October 1;" MS-82, "Cotton Testing Service;" AMS-180 MB-41, "Market News Service on Cotton;" MB-43, 7 CFR 2851, 2852, 2853, 2855, 2856, 2858, 2870, 28171; AH-341, "USDA Standards for Food and Farm Products." AH-31, "Poultry Grading Manual." AH-75, "Egg Grading Manual." Egg and Egg Products Inspection Regulations (7 CFR Part 2859); POB-FL-33, Tobacco Market Review for Flue-cured; POB-LA-34, Tobacco Market Review for Burley; POB-LA-33, Tobacco Market Review for Fire and Dark Air.

**Regional or Local Office:**

See Regional Agency Offices. Local Agricultural Marketing Service inspection, grading, and classing offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Shipman, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 720-4276.

**Website Address:**

<http://www.ams.usda.gov>.

**RELATED PROGRAMS:**

10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.163 MARKET PROTECTION AND PROMOTION**

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Act of 1946, 7 U.S.C. 1621-1627, 7 U.S.C. 2101-2119; Egg Research and Consumer Information Act, 7 U.S.C. 2701-2718; Export Apple and Pear Act, 7 U.S.C. 581-590; Export Grape and Plum Act, 7 U.S.C. 591-599; Federal Seed Act, 7 U.S.C. 1551-1611; National Wool Act of 1954, as amended, 7 U.S.C. 1787; Plant Variety Protection Act, 7 U.S.C. 2321-2331, 2351-2357, 2371-2372, 2401- 2404, 2421-2427, 2441-2443, 2461-2463, 2481-2486, 2501-2504, 2531-2532, 2541-2545, 2561-2569, 2581-2583; 7 U.S.C. 4301-4319; Cotton Research and Promotion Act, 7 U.S.C. 2101-2118; Dairy and Tobacco Adjustment Act of 1983, 7 U.S.C. 5111; Agricultural Fair Practices Act, 7 U.S.C. 2301-2306; Capper Volstead Act, 7 U.S.C. 291-292; Potato Research and Promotion Act, 7 U.S.C. 2611-2627; Beef Promotion and Research Act of 1985, 7 U.S.C. 2901-2911; Pork Promotion, Research, and Consumer Information Act of 1985, 7 U.S.C. 1612-1631; Dairy Research and Promotion Act, 7 U.S.C. 4501-4513, 4532; Watermelon Research and Promotion Act, 7 U.S.C. 4901-4916; Honey Research Promotion and Consumer Information Act, 7 U.S.C. 4601-4612; Soybean Promotion, Research and Consumer Information Act of 1990, 7 U.S.C. 6301-6311; Mushroom Promotion, Research and Consumer Information Act of 1990, 7 U.S.C. 6101-6112; Fluid Milk Promotion Act of 1990, 7 U.S.C. 6401-6417; Organic Foods Production Act of 1990, 7 U.S.C. 6501-6522; Fresh Cut Flowers and Fresh Cut Greens Promotion and Information Act of 1993, 7 U.S.C. 6801- 6814; Popcorn Promotion Research, and Consumer Information Act, 7 U.S.C. 7481-7491; National Kiwifruit Research, Promotion, and Consumer Information Act, 7 U.S.C. 7461-7473.

**OBJECTIVES:**

The Federal Seed Program prevents mislabeled seed from moving in interstate commerce by providing for random sampling of seeds to insure accurate labeling of seed characteristics. The Plant Variety Protection Program offers legal protection to developers of new varieties of plants which reproduce by providing the equivalent of a patent to the plant's developer. The Research and Promotion Programs provide for the collection of an assessment for each commodity covered by statutes to enable the commodity industries to carry out research and promotion activities. It is the responsibility of the Agricultural Marketing Service to assure responsible use of these assessments in meeting the research and promotion objective. The Dairy and Tobacco Adjustment Act authorized the establishment of a National dairy promotion research and nutrition education program. To eliminate deceptive, unfair and fraudulent trade practices in the processing and marketing of food and agricultural products; provide assistance to those striving to achieve this objective. The Pesticide Data Program works with participating States to collect and analyze data on pesticide use and residue levels for selected commodities in the nation's food supply. This program provides statistically based data to Federal agencies for use in making policy decisions for regulatory and educational purposes.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROVISION OF SPECIALIZED SERVICES; TRAINING

**USES AND USE RESTRICTIONS:**

Assistance provided to assure fair and open marketing distribution system for agricultural products.

**Applicant Eligibility:**

Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service. State, trade associations, and universities may be eligible for cooperative agreements.

**Beneficiary Eligibility:**

Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service.

**Credentials/Documentation:**

As provided for in applicable Acts as referred to in the Authorization Section above. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Procedures vary as provided for in applicable Acts. Contact appropriate area offices as listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As provided for in applicable Acts.

**Renewals:**

As provided for in applicable Acts.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As provided in agreements. See the following for information on how assistance is awarded/released: As provided for in agreements.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

As provided for in applicable Acts.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Salaries) FY 10 \$43,830,895; FY 11 est \$43,217,000; and FY 12 est \$46,495,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PA-655 "Export Fruit Acts-Questions and Answers," AMS-592, Facts About Naming and Labeling Varieties of Seed," "The Plant Variety Protection Act," requirements under the Federal Seed Act for Labeling treated Seed," 7 CFR 33-35, 101- 151,201-202; PA-1005, "Farmers Rights Under the Agricultural

Fair Practices Act."

**Regional or Local Office:**

See Regional Agency Offices. Regional and local offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Shipman, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 720-4276.

**Website Address:**

<http://www.ams.usda.gov>.

**RELATED PROGRAMS:**

10.155 Marketing Agreements and Orders; 36.001 Fair Competition Counseling and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.164 WHOLESALE FARMERS AND ALTERNATIVE MARKET DEVELOPMENT****FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Act of 1946.

**OBJECTIVES:**

To provide technical assistance to States and municipalities interested in creating or upgrading markets and marketing facilities.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; TRAINING

**USES AND USE RESTRICTIONS:**

Assistance provided in cooperation with other government agencies and private industry to reduce marketing costs.

**Applicant Eligibility:**

Other government agencies and private industry. State, trade associations, universities, and other nonprofit organizations are eligible to apply for cooperative agreements.

**Beneficiary Eligibility:**

Producers, processors, marketing agencies, and general public.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, or OMB Circular No. A-21 for Educational Institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Contact Deputy Administrator, Transportation and Marketing Programs, Agricultural Marketing Service, USDA. The standard application forms as furnished by the Federal agency must be used for this program.

**Award Procedure:**

As provided for in the Act.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As provided for in the Act.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As provided for in agreements. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

As provided for in the Agreement.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Advisory Services and Counseling) FY 10 \$3,005,664; FY 11 est \$3,005,664; and FY 12 est \$3,005,664

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: For 2010, the cumulative number of farmers markets established is estimated to be 6,123. The number of educational and resource materials and activities conducted is estimated to be 35. Fiscal Year 2011: For 2011, the cumulative number of farmers markets established is estimated to be 6,166. The number of educational and resource materials and activities conducted is estimated to be 40. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara Robinson, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 690-1305.

**Website Address:**

<http://www.ams.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.165 PERISHABLE AGRICULTURAL COMMODITIES ACT**

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Perishable Agricultural Commodities Act of 1930, as amended, 7 U.S.C. 499a-4995; Produce Agency Act, 7 U.S.C. 491-497.

**OBJECTIVES:**

To reduce unfair and fraudulent practices in the marketing of perishable agricultural commodities in interstate and foreign commerce. To prevent the destruction or dumping, without good and sufficient cause of farm produce received in interstate commerce by commission merchants and others and to require them truly and correctly to account for all farm produce received by them.

**TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Assistance provided to assure a fair and open marketing distribution system for agricultural products. No specific restrictions.

**Applicant Eligibility:**

Business and industry or individuals may apply for a PACA license.

**Beneficiary Eligibility:**

Business and industry or individuals may apply for a PACA license.

**Credentials/Documentation:**

As provided for in the Perishable Agricultural Commodities Act, 1930 as amended, 7 U.S.C. 499a-4995; Produce Agency Act, 7 U.S.C. 491-497. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact appropriate area offices listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As provided for in applicable Acts.

**Renewals:**

As provided for in applicable Acts.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released: As provided for in applicable Acts.

**Reports:**

Not Applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. As provided for in applicable Acts.

**Records:**



As provided for in applicable Acts.

**Account Identification:**

12-5070-0-2-352.

**Obligations:**

(Investigation of Complaints) FY 10 \$9,858,000; FY 11 est \$10,674,000; and FY 12 est \$10,674,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Perishable Agricultural Commodities Act of 1930, and Regulations (other than rules of practice).

**Regional or Local Office:**

See Regional Agency Offices. Regional and local offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Shipman, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 720-4276.

**Website Address:**

<http://www.ams.usda.gov>.

**RELATED PROGRAMS:**

36.001 Fair Competition Counseling and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.167 TRANSPORTATION SERVICES**

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Adjustment Act of 1938, 7 U.S.C 1281 et seq.; Agricultural Marketing Act of 1946, 7 U.S.C 1621; International Carriage of Perishable Foodstuff Act of 1982; Cooperative Marketing Act of 1926, 7 U.S.C 291-292; Rural Development Act of 1972, 7 U.S.C 2662-2663; Agricultural Trade and Assistance Act of 1954, 7 U.S.C 1427,1431,1691.

**OBJECTIVES:**

The Transportation Services program develops and promotes efficient agriculture transportation systems to help improve farm income, expand exports and meet the needs of rural America. The program provides technical and administrative direction, coordination, and leadership in the development and execution of agricultural transportation policies. Transportation Services provides a basis for Federal-State decision-makers in regulatory, policy and legislative matters in order to assure the transportation needs of rural communities and agriculture.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; TRAINING

**USES AND USE RESTRICTIONS:**

Assistance provided where it is determined that there is a significant regional or policy issue with potentially broad implications.

**Applicant Eligibility:**

Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service. State, trade associations, universities, and nonprofit organizations may be eligible for cooperative agreements.

**Beneficiary Eligibility:**

Producers, processors, and general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. No formal application procedure specified; informal correspondence or personal contact is permissible. Contact Deputy Administrator, Transportation and Marketing Programs, Agricultural Marketing Service, USDA.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As provided for in agreements. See the following for information on how assistance is awarded/released: As provided for in agreements.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Advisory Services and Counseling) FY 10 \$2,973,591; FY 11 est \$2,973,591; and FY 12 est \$2,973,591

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara Robinson, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 690-1305.

**Website Address:**

<http://www.ams.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.168 FARMERS' MARKET PROMOTION PROGRAM**

(Farmers' Market Promotion Program)

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Section 5 of the Farmer-to-Consumer Direct Marketing Act of 1976, Public Law 94-463, as amended by Section 10605 of the Farm Security and Rural Investment Act of 2002, Public Law 107-171.

**OBJECTIVES:**

To increase domestic consumption of agricultural commodities assisting in the improvement and expansion of domestic farmers markets, roadside stands, community-supported agriculture programs, and other direct producer-to-consumer market opportunities; and develop, or aid in the development of, new farmers markets, roadside stands, community-supported agriculture programs, and other direct producer-to-consumer infrastructures.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects must improve and expand, or assist in the improvement and expansion of, domestic farmers markets, roadside stands, community-supported agriculture programs, and other direct producer-to-consumer market opportunities through innovative approaches to market operations and management, improving access to relevant marketing and financial information, and consumer-based education and market access. Eligible entities must apply for FMPP funds on behalf of direct marketing operations that include two or more farmers/farm vendors who produce and sell their own products through a common distribution channel. Use of funds are based on documented needs, excluding, however, routine operational expenses such as management salaries or other salaries associated with normal operation of farm markets/marketing entities, utility bills, and insurance premiums. FMPP grant funds cannot be used to pay for acquisition, repair, rehabilitation, or construction of a building or facility; acquisition of land; political or lobbying activities; or any activities prohibited by 7 CFR parts 3015 and 3019. Additional detail and justification must be provided for any purchase that is expected to exceed \$5,000.

**Applicant Eligibility:**

Agricultural cooperatives, local governments, nonprofit corporations, public benefit corporations, economic development corporations, regional farmers market authorities, and Tribal governments. Projects must be located within the 50 States or the District of Columbia.

**Beneficiary Eligibility:**

Direct marketing operations that include two or more farm vendors who produce and sell their own products through a common marketing channel, and consumers.

**Credentials/Documentation:**

Applicants must provide documentation as to how they meet the definition of an eligible entity. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit forms SF-424, SF-424A, and SF-424B, an eligibility statement, a narrative description of the proposal including project title, executive summary, goals, background, workplan and resource requirements, and expected results, a supplemental budget summary, and any supporting

documents such as letters of support.

**Award Procedure:**

Applications are reviewed and approved or disapproved by the Agricultural Marketing Service in competition with other applications received. Grantees are notified of the amount awarded by allotment letter. Grant payments are made on a reimbursable basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

120 to 180 days from the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are not to exceed 18 months. Grant payments are made on an as-needed basis over the grant period. Advance payments may be requested. See the following for information on how assistance is awarded/released: As provided for in agreements.

**Reports:**

No program reports are required. As provided for in agreements. Progress reports are required at the midpoint of projects approved for one year and at 6-month intervals for projects of longer duration. A final report of results and accomplishments and form SF 269A must be submitted no later than 90 days after the grant ends. As provided for in agreements. As provided for in agreements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Grantees and sub-grantees must keep all records relating to the grant for 3 years from the date the SF-269A is submitted to the Agricultural Marketing Service.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$4,099,897; FY 11 est \$10,000,000; and FY 12 est \$10,000,000

**Range and Average of Financial Assistance:**

The maximum grant is \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 77 grants were awarded in 34 States. Fiscal Year 2011: In FY 2011, 165 grants are estimated to be awarded. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for the Farmer Market Promotion Program are posted at <http://www.ams.usda.gov/tmd/MSB/index.htm> or may be obtained from the

Farmers Market Promotion Program contact.

**Regional or Local Office:**

None.

**Headquarters Office:**

Errol Bragg, 1400 Independence Ave SW, Washington, District of Columbia  
20250 Phone: (202) 720-8317.

**Website Address:**

<http://www.ams.usda.gov/tmd/MSB/index.ht>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the following criteria: need for the project, direct benefit to farmers/vendors, project innovation, degree of collaboration/partnerships and farmer/producer participation, quantitative evaluation and measurement of the project's impact, long-term project sustainability, transferability of project outcomes, and reasonableness of the budget.

**10.170 SPECIALTY CROP BLOCK GRANT PROGRAM - FARM BILL**

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Specialty Crops Competitiveness Act of 2004, Section 101, 7 U.S.C. 1621 note; Food, Conservation, and Energy Act of 2008 (Public Law 110-246).

**OBJECTIVES:**

To increase fruit, vegetable, and nut consumption and improve the competitiveness of United States specialty crop producers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects must enhance the competitiveness of specialty crops. Funds under this program may be used to support horticulture, including turfgrass sod and herbal crops; horticulture is not eligible under 10.169. Use of funds will be monitored to ensure that funds are promoting specialty crops as defined under the Specialty Crop Competitiveness Act of 2004.

**Applicant Eligibility:**

State department of agriculture, agency, commission, or department of a State government responsible for agriculture within the State. Guam, American Samoa, U.S. Virgin Islands, and Northern Mariana Islands are eligible to receive grants under this program; they are not eligible under 10.169.

**Beneficiary Eligibility:**

State department of agriculture, agency, commission, or department of a State government responsible for agriculture within the State.

**Credentials/Documentation:**

A grant agreement is entered into between the Agricultural Marketing Service and the State department of agriculture that submits the application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The State department of agriculture submits SF-424 and a State plan identifying the lead agency charged with the responsibility of carrying out the plan and indicating how the grant funds will be utilized to enhance the competitiveness of specialty crops. In developing their plans, States must take into consideration the views of beginners and socially disadvantaged farmers and ranchers, and take steps to

perform outreach to these groups. State plans should be developed through a competitive process in order to ensure maximum public input and benefit. The States should develop a transparent process of receiving and considering public comment. States are encouraged to submit grant plans that include multi-State and regional project proposals.

**Award Procedure:**

Applications are reviewed by the Agricultural Marketing Service. Grantees are notified of the amount awarded by allotment letter. Grant payments are made by the electronic transfer system.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 to 180 days from the application deadline.

**Appeals:**

No formal appeal procedure.

**Renewals:**

Awards are for 3 years. Additional time to complete the project may be requested.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are advanced in one lump sum. Applicants have up to 3 years to use the funds. See the following for information on how assistance is awarded/released:

As provided for in agreements.

**Reports:**

No program reports are required. As provided for in agreements. Annual performance reports are required. A final performance report and financial report are required within 90 days after the expiration date of the grant period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The State is required to conduct an audit of the expenditures of specialty crop block grant funds. Not later than 30 days after completion of the audit, the State shall submit a copy of the audit results with an executive summary to the Agricultural Marketing Service.

**Records:**

The State shall retain financial and other records relating to the funds and these programs for a period of three years after expiration of the grant period or until final resolution of any audit findings or litigation claims relating to this program.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

(Formula Grants) FY 10 \$55,000,000; FY 11 est \$55,000,000; and FY 12 est \$55,000,000

**Range and Average of Financial Assistance:**

As provided for in applicable statutes.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Trista Etzig 1400 Independence Ave. SW, Rm. 2077, Stop 0235, Washington, District of Columbia 20250 Email: trista.etzig@ams.usda.gov Phone: 2026904942

**Website Address:**

None.

**RELATED PROGRAMS:****EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.171 ORGANIC CERTIFICATION COST SHARE PROGRAMS**

AMA, NOCCSP

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

The Agricultural Management Assistance Cost Share Program is authorized under Section 1524 of the Federal Crop Insurance Act (FCIA), as amended, Title 7, Part 36, Section 1501-1524, 7 U.S.C 1501-1524; The National Cost Share Program is authorized under 7 U.S.C. 6523, as amended by section 10301 of the Food, Conservation and Energy Act of 2008., Title 7, Part 94, Section 6523, 7 U.S.C 6523.

**OBJECTIVES:**

The objective of this program is to provide financial assistance to certified organic producers and handlers.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Organic Certification Cost Share Programs reimburse eligible producers and handlers for a portion of the costs of organic certification. Applicants may receive reimbursements of up to 75% of the costs of certification, with an annual maximum of \$750.

State agencies (typically Departments of Agriculture) work with the USDA to administer the program. After entering into a cooperative agreement, the state agencies process applications for cost share funds from certified organic producers and handlers, and the USDA reimburses them. Applicants typically submit a one-page application form, along with proof of certification and an itemized invoice, to their States department of agriculture. Funds may only be used to provide reimbursements to certified organic producers and handlers. A 10% indirect cost recovery is allowed.

**Applicant Eligibility:**

Not Applicable.

**Beneficiary Eligibility:**

See <http://www.ams.usda.gov/NOPCostSharing> for more information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The USDA will coordinate with State governments to determine budgetary allocations. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The submission of a Standard Form 424 (Application for Federal Assistance) through Grants.Gov is required.

**Award Procedure:**

Allocations are awarded to State Departments of Agriculture or their

equivalents based on the number of certified organic operations in the State, as well as the history of participation in the cost share program by certified organic operations in that State.

**Deadlines:**

Sep 23, 2011

**Range of Approval/Disapproval Time:**

From 1 to 15 days.

**Appeals:**

Not Applicable.

**Renewals:**

Cooperative agreements last only one fiscal year in duration. Pending the availability of funds, States may sign a new cooperative agreement for the ensuing fiscal year.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Chapter 94, Part 6523.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for one federal fiscal year. Participating States must disburse funds and finalize reports within 90 days after the end of the federal fiscal year. See the following for information on how assistance is awarded/released: Funds are disbursed upon request, utilizing Standard Form 270, "Request for Advance or Reimbursement."

**Reports:**

A final narrative report is required, which is to be no more than 2 pages. The report should cover:

1. Description of the outreach activities carried out by the State and/or subrecipients, including the methods used to identify potential applicants, means of contact with potential applicants, and outreach materials for distribution, i.e. publications, announcements press releases, etc.
2. Description of problems or obstacles related to reimbursement, program administration, outreach, etc. during the reporting period.
3. Explanation for any denial of requests for reimbursement. No cash reports are required. No progress reports are required. Quarterly and final reports are required, utilizing Standard Form 425, Federal Financial Report. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The program requires record of applicant by name, applicants' certification expenses, and the reimbursement paid to the applicants. In accordance with 7 CFR 3016.42, grant recipients should retain all records relating to the grant for a period of three years after the final Federal Financial Report been submitted to the Federal Agency, or until final resolution of any audit finding or litigation, whichever is later. Electronic records retention is acceptable.

**Account Identification:**

74-7409-0-0-471.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 10 \$6,200,000; FY 11 est \$6,700,000; and FY 12 est \$6,800,000

**Range and Average of Financial Assistance:**

Awards range from \$5,000 - \$1,050,000 annually.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Over 8,000 applicants were assisted. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

## REGULATIONS, GUIDELINES, AND LITERATURE:

Regulations may be viewed at <http://www.ams.usda.gov/NOPCostShareLegislation>. Guidelines may be viewed at <http://www.ams.usda.gov/NOPCostSharing>.

### Regional or Local Office:

None.

### Headquarters Office:

Betsy Rakola 1400 Independence Ave, SW  
Room 2640-S, Ag Stop 0268, Washington, District of Columbia 20250-0268  
Email: [betsy.rakola@ams.usda.gov](mailto:betsy.rakola@ams.usda.gov) Phone: 2027203252

### Website Address:

No Data Available

### RELATED PROGRAMS:

Not Applicable.

### EXAMPLES OF FUNDED PROJECTS:

Not Applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not Applicable.

## 10.200 GRANTS FOR AGRICULTURAL RESEARCH, SPECIAL RESEARCH GRANTS

Special Research Grants (SRGP)

### FEDERAL AGENCY:

National Institute of Food and Agriculture, Department of Agriculture

### AUTHORIZATION:

Section 2 (c), Public Law 89-106, 7 U.S.C. 450i(c), as amended.

### OBJECTIVES:

To carry out research, to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the nation and to facilitate or expand on-going State-Federal food and agricultural research programs.

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. Awards are generally limited to high priority problems of a regional or national scope. NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Funds may not be used for any purposes other than those approved in the grant award documents.

Funds shall not be used for tuition remission.

Generally, Indirect Costs are generally not allowable for this program. Please refer to RFA, Part IV.D. Applications Funding Restrictions for specific details.

However, the following programs are EXCEPTIONS to the general rule:

- (1) Aquaculture Centers [ 7 U.S.C. 3322(d)]
- (2) Critical Agricultural Materials (Pub. L. 95-592)
- (3) Federal Administration - Research
- (4) Pest Management Alternatives (aka PMAP) and
- (5) Supplemental and Alternative Crops [ 7 U.S.C. 3319d (c)].

For the above-referenced five (5) EXCEPTIONS to the general rule, the following provisions are applicable:

Section 7132 of the Food, Conservation, and Energy Act of 2008 amended the

National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs for grants to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

The following Special Note is also applicable to the above-referenced five (5) exceptions to the Indirect Cost provisions:

**\*\*Special Note - Use of Indirect Costs as In-Kind Matching Contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

### Applicant Eligibility:

Special Research Grants: State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, private organizations or corporations and individuals having a demonstrable capacity to conduct research activities to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

### Beneficiary Eligibility:

For Special Research Grants: State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, private organizations or corporations and individuals having a demonstrable capacity to conduct research activities to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

### Credentials/Documentation:

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at (1-866) 705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual. Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at (888) 227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs. Applicants must furnish the information required in the request for applications (RFAs). Successful

applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

**Organizational Management Information** - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:  
[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Specific deadline dates are announced on the Agency's website:

<http://www.nifa.usda.gov>

Contact the headquarters, as appropriate, for application deadlines. See Section : 152 for specific details.

Further, dates for specific deadlines are announced in the RFA each fiscal year. Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

Generally, NIFA does NOT require matching or cost sharing support for this program.

However, the Rangeland Research Program is an EXCEPTION to the general rule. The following represents pertinent information regarding the Rangeland Research Program [ 7 U.S.C. 3333(a)(1)]:

Pursuant to Section 1480 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 as amended [7 USC 3333(b)(1)], applicants are required to provide 50 percent matching funds from non-federal sources for all proposed Federal funds sought in the application. Non-federal matching contributions, such as cash and third party in kind, are accepted under this program as qualified by 7 USC 3015 and 7 USC 3019. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$147,113,000; FY 11 est \$24,205,625; and FY 12 est \$19,669,223 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

The funding levels for the various programs under CFDA Number 10.200 are the appropriated amounts for FY 2010 and FY 2011 and the President's Budget amounts for FY 2012 minus administrative costs. In addition, a program also may have carryover funds in FY 2010 and FY 2011 if it is no-year money.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: prior obligations or grants are still being tracked and future funding may be approved or available later. Fiscal Year 2011: prior obligations or grants are still being tracked and future funding may be approved or available later. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Competitive Programs, 1400 Independence Avenue, SW, STOP 2240, Washington, District of Columbia 20024 Phone: (202) 401-1761.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.215 Sustainable Agriculture Research and Education; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.202 COOPERATIVE FORESTRY RESEARCH**

McIntire-Stennis Cooperative Forestry Research Act (M/S) Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Executive Order Public Law 87-778 (76 Stat. 806, 16 U.S.C. 582a, et seq.) signed into law on October 10, 1962 is also known as the McIntire-Stennis Cooperative Forestry Research Act.

**OBJECTIVES:**

The purpose of this funding is to increase forestry research in the production, utilization, and protection of forestland; to train future forestry scientists; and to involve other disciplines in forestry research. Funding should also address the high priority issues described in the current M/S Strategic Plan: Sustaining Healthy and Productive Forests: An Investment in Americas Competitive Position in the Global Marketplace: (1) science of integration; (2) forest ecosystem services; (3) human attitudes and behaviors; (4) conflict, uncertainty, and decision-making; (5) technological advancements, productivity, and forest applications; and (6) urban ecosystems.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The McIntire-Stennis Cooperative Forestry Research Act (M/S) grant is used to assist all states in carrying out a program of state forestry research at state forestry schools and colleges and developing a trained pool of forest scientists capable of conducting needed forestry research, which should include: (1) ecological restoration; (2) catastrophe management; (3) valuing and trading ecological services; (4) energy conservation, biomass energy and bio-based materials development; (5) forest fragmentation; (6) carbon sequestration and climate change; and (7) ways of fostering healthy forests and a globally competitive forest resources sector. Additionally, M/S funds should be allocated to the following high priority issues: (1) science of integration (ecosystem or landscape approaches including interdisciplinary multi-state projects); (2) forest ecosystem services; (3) human attitudes and behaviors; (4) conflict, uncertainty, and decision-making; (5) technological advancements (biotechnology, nanotechnology and geospatial technology), productivity, and forest applications; and (6) urban ecosystems. Funding is provided to the States through a formula-based allocation process which depends on several factors. First, a base amount (approximately \$25,000) is allocated to each State; however, this base amount is excluded from the formula. The balance of funding to each State is determined through a ranking process and dependent upon the following three factors: (1) forty percent of the remaining balance is allocated based on the area of non-Federal commercial forest land; (2) forty percent is allocated based upon the volume of timber cut annually from stock; and (3) twenty percent is allocated based on the total expenditures for forestry research from non-Federal sources. Funds are then distributed to the eligible State-certified Institutions within the State as determined by the Governors designee. Applications may be submitted by State-certified Schools of Forestry as stipulated in accordance with Section 2 of Public Law 87-788, McIntire-Stennis Act. Section 7412 of the Food, Conservation, and Energy Act of 2008 amended Section 2 of the McIntire-Stennis Cooperative Forestry Act (16 U.S.C. 582a-1) to include the 1890 Land-grant Institutions and made this change effective October 1, 2008. (1) Approved CSREES M/S Projects, CSREES will fund the M/S Program for authorized activities. Funds must be expended on approved M/S projects. (2) Cost-Sharing and Matching funds are mandated in Section 4 of the McIntire-Stennis Act (16 U.S.C. 582a-3). 7 CFR 3015.50-56 prescribes the standards applicable to determining the allowability of cash and in-kind contributions for matching funds. Matching funds also must be expended on approved M/S projects. Formula grant recipients are to provide matching (as detailed in Part VIII.A.6 of the Formula Grant Opportunity (FGO)), either cash

or in-kind, on a dollar-for-dollar basis (100 percent) on all Federal funds allotted. Eligible institutions located in insular areas (i.e., American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands) are not required to match amounts at or below \$100,000, if the allocation is below \$200,000. (3) Waiver of Indirect Costs. Only applicable to Insular Areas (i.e., American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands) for amounts at or below \$200,000. (4) Indirect Costs and Tuition Remission. In accordance with Section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as an M/S formula grant or matching expenditure. Fully discretionary.

**Applicant Eligibility:**

Funds are appropriated by Congress for distribution to State institutions certified as eligible by a State representative designated by the Governor of each State. Funds are apportioned among States by the Secretary of Agriculture after consultation with a National Advisory Council representing the State-certified forestry schools and other groups concerned with forestry research. This program is also available to Guam, Puerto Rico, the Virgin Islands, American Samoa, Northern Mariana Islands, and Micronesia.

**Beneficiary Eligibility:**

Funds are appropriated by Congress for distribution to State institutions certified as eligible by a State representative designated by the Governor of each State. Funds are apportioned among States by the Secretary of Agriculture after consultation with a National Advisory Council representing the State-certified forestry schools and other groups concerned with forestry research. This program is also available in Guam, Puerto Rico, the Virgin Islands, American Samoa, Northern Mariana, and Micronesia.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at (1-866) 705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual. Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, CSREES Application Kit for Research and Extension Programs. Applicants must furnish the information required in the request for applications (FGOs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following: Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this FGO, if such information has not been provided previously under this or another CSREES program. CSREES will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture

Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All Formula Grant Opportunities (FGOs) are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

NIFA Applications (R&R Other Project Information - Section 4.4) requires a response to the question regarding "Actual or Potential Impact on the Environment." For this program the response is "No.". Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the FGO. Applications must follow the instructions provided per Grants.Gov. Applicants are required to submit applications in response to both an interim FGO and a final FGO. The final FGO reflects the final formula allocations for the current fiscal year (FY).

**Award Procedure:**

Funding is provided to the States through a formula-based allocation process which depends on several factors. First, a base amount (approximately \$25,000) is allocated to each State; however, this base amount is excluded from the formula. The balance of funding to each State is determined through a ranking process and dependent upon the following three factors: (1) forty percent of the remaining balance is allocated based on the area of non-Federal commercial forest land ; (2) forty percent is allocated based upon the volume of timber cut annually from stock; and (3) twenty percent is allocated based on the total expenditures for forestry research from non-Federal sources. Funds are then distributed to the eligible State-certified Institutions within the State as determined by the Governors designee. All individual MS projects, as well as the annual Programs of Research, are reviewed and approved by the National Program Leader (NPL). Funds are not released on a quarterly basis unless an annual Program of Research is approved by the NPL.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the FGO each fiscal year (FY).

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable, each year of funding is awarded as a new grant.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 87-778. 76 Stat. 806, 16 U.S.C. 582a, et seq. Matching Requirements: Percent: 100%. Funding is provided to the States through a formula-based allocation process which depends on several factors. First, a base amount (approximately \$25,000) is allocated to each State; however, this base amount is excluded from the formula. The balance of funding to each State is determined through a ranking process and dependent upon the following three factors: (1) forty percent of the remaining balance is allocated based on the area of non-Federal commercial forest land; (2) forty percent is allocated based upon the volume of timber cut annually from stock; and (3) twenty percent is allocated based on the total expenditures for forestry research from non-Federal sources. Funds are then distributed to the eligible State-certified Institutions within the State as determined by the Governors designee. Formula grant recipients are to provide matching [as detailed in Part VIII.A.6 of the Formula Grant Opportunity (FGO)], either cash or in-kind, on a dollar-for-dollar basis (100 percent) on all Federal funds allotted. Eligible institutions located in insular areas (i.e., American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands) are not required to match amounts at or below \$100,000, if the allocation is below \$200,000.



MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

M/S funds are expected to be fully expended in the fiscal year (FY) of appropriation; however funds may be carried forward one (1) additional fiscal year (FY). These carryover funds must be fully expended by September 30 of the following year. No prior approval to carryover these funds is required from NIFA. Method of awarding/releasing assistance: quarterly.

**Reports:**

Institutions are expected to submit an annual Program of Research, a listing of all approved McIntire-Stennis projects for said institution. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; CSREES-2008, Assurance Form; and Project Proposal through the Current Research Information System prior to the initiation of each M/S project. The project must undergo a review process and be approved before it is incorporated into the Program of Research. Each institution shall submit a CRIS Form AD-421, Accomplishments Report, annually for each eligible project. Reports from institutions reporting on a calendar year shall be submitted by April 1, 2010 for the preceding calendar year. Reports from institutions reporting on a fiscal year shall be submitted by February 1, 2010 for the preceding fiscal year.

An Accomplishments Report, CRIS Form AD-421, shall be submitted to CSREES for each completed or terminated project. Such reports shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project.

A CRIS Form AD-419, Financial and Staff Support Report, shall be submitted to CSREES annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year basis and are to be submitted by February 1, 2010.

Institutions are required to submit the SF-425, Federal Financial Report, per Agency instructions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Grant Branch  
Awards Management Division  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2298  
1400 Independence Avenue, SW  
Washington, DC 20250-2298  
Telephone: (202) 401-6520  
Fax: (202) 690-3002

E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133

and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$29,000,000; FY 11 est \$31,110,110; and FY 12 est \$26,018,132 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Specific details will be provided by Program Unit at a future date. Fiscal Year 2011: Specific details will be provided by Program Unit at a future date. Fiscal Year 2012: Specific details will be provided by Program Unit at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for the McIntire-Stennis Cooperative Forestry Research Program, (manual is currently under review); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Natural Resources and Environment  
1400 Independence Avenue, SW, STOP 2210, Washington, District of Columbia 20250-2210 Phone: (202) 720-4318 and 401-4190 Fax: (202) 401-1706 .

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Formula Grant Opportunity (FGO).

**10.203 PAYMENTS TO AGRICULTURAL EXPERIMENT STATIONS UNDER THE HATCH ACT**

Hatch Act and The Hatch Act of 1887 aka  
PAYMENTS TO AGRICULTURAL EXPERIMENT STATIONS UNDER  
THE HATCH ACT:

- (A) The Hatch Act of 1887 (Regular Research)
- (B) The Hatch Act of 1887 (Multistate Research Fund)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Hatch Act of 1887, as amended; Public Law 84-352, 7 U.S.C. 361a-361i; Education Amendments of 1972, Section 506, Public Law 92-318; Public Law 93-471; Public Law 95-113; Education Amendments of 1980, Section 1361, Public Law 96-374, 7 U.S.C. 301; Public Law 97-98; Public Law 99-198; Public Law 101-624; Public Law 104-127; Public Law 105-185, . Public Law 084-352, 7 U.S.C 361.

**OBJECTIVES:**

To support agricultural research at State Agricultural Experiment Stations. Its purpose is to promote efficient production, marketing, distribution, and utilization of products of the farm as essential to the health and welfare of people and to promote a sound prosperous agriculture and rural life. Up to 25 percent (25%) of funds to be used for integrated cooperative research and extension activities.

**TWO (2) PROGRAMS ARE FUNDED UNDER CFDA 10.203. SPECIFIC OBJECTIVES ARE AS FOLLOWS:**

**(A) The Hatch Act of 1887 (Regular Research)**

The Hatch Act of 1887 provides the basis for Federal funding for agricultural research activities at the State Agricultural Experiment Stations in the 50 States, the District of Columbia, and the Insular Areas.

State Agricultural Experiment Stations are eligible for funds appropriated under this Act according to the following formula: The previous years base plus the current year increase as follows:

Three percent (3%) for Federal Administration,

Twenty percent (20%) equally,

Twenty-six percent (26%) in an amount which bears the same ratio to the total amount to be allotted as the rural population of the State bears to the total rural population of all the States as determined by the last preceding decennial census;

Twenty-six percent (26%) t in an amount which bears the same ratio to the total amount to be allotted as the farm population of the State bears to the total farm population of all the States as determined by the last preceding decennial census; and

Twenty-five percent (25%) for the Hatch Multistate Research Fund.

**(B) The Hatch Act of 1887 (Multistate Research)**

Not less than twenty-five percent (25%) of the total Hatch Act of 1887 funding is allotted to the States for cooperative research employing multidisciplinary approaches in which a State agricultural experiment station, working with another State agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve problems that concern more than one (1) State. These funds are designated as the Multistate Research Fund, State Agricultural Experiment Stations. Funds are allocated on a prorata basis and allocations are adjusted to support national and regional projects. These projects and their associated budgets are reviewed and approved annually.

**TYPES OF ASSISTANCE:**

**FORMULA GRANTS**

**USES AND USE RESTRICTIONS:**

**USES:**

Money appropriated pursuant to this Act shall also be available, in addition to meeting expenses for research and investigations conducted under authority of Section 2, for printing and disseminating the results of such research, retirement of employees subject to the provisions of an Act approved March 4, 1940 (54 Stat. 39), administrative planning and direction, and for the purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting research. The State Agricultural Experiment Stations are authorized to plan and conduct any research authorized under Section 2 of this Act in cooperation with each other and such other agencies and individuals as may contribute to the solution of the agricultural problems involved, and moneys appropriated pursuant to this Act shall be available for paying the

necessary expenses of planning, coordinating, and conducting such cooperative research. Up to twenty-five percent (25%) of funds to be used for integrated cooperative research and extension activities.

**(A) The Hatch Act of 1887 (Regular Research)**

This grant is used to support continuing agricultural research at institutions eligible to receive funds under the Act approved July 2, 1862 (12 Stat. 503, as amended) (1862 Land-Grant Institutions), as well as State agricultural experiment stations. Funds appropriated under this section shall be used to conduct original and other researches, investigations, and experiments bearing directly on and contributing to the establishment and maintenance of a permanent and effective agricultural industry of the United States, including researches basic to the problems of agriculture in its broadest aspects, and such investigations as have for their purpose the development and improvement of the rural home and rural life and the maximum contribution by agriculture to the welfare of the consumer, as may be deemed advisable, having due regard to the varying conditions and needs of the respective States. Further, funds may be used printing and disseminating the results of such research, retirement of employees subject to the provisions of an Act approved March 4, 1940 (54 Stat. 39), administrative planning and direction, and for the purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting research.

**(B) The Hatch Act of 1887 (Multistate Research)**

In addition to the uses applicable to the Regular Research funds, Multistate Research funds must be used for cooperative research employing multidisciplinary approaches in which a State agricultural experiment station, working with another State agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve problems that concern more than one (1) State.

These funds are known as the Hatch Multistate Research Fund (MRF).

**RESTRICTIONS:**

**(A) The Hatch Act of 1887 (Regular Research)**

**(1) Approved NIFA Hatch Projects**

Hatch Federal funding must be used on approved Hatch projects including Hatch Multistate Research Fund (MRF) projects.

**(2) Matching**

Section 3(d)(1) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for agricultural research and for the establishment and maintenance of facilities for the performance of the research. However, section 3(d)(4) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(4)) provides that Effective beginning for fiscal year (FY) 2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of American Samoa, the Commonwealth of Puerto Rico, Guam, Micronesia, Northern Mariana Islands, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than fifty percent (50%) of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. The Secretary may waive the matching fund requirement [of fifty percent (50%)] for any fiscal year (FY) if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year (FY).

Section 7403 of the Food, Conservation, and Energy Act of 2008 amended section 3(d)(4) of the Hatch Act to subject the District of Columbia to the same matching requirements as the insular 1862 Land-Grant Institutions upon enactment (May 22, 2008).

NIFA may consider and approve matching waivers submitted by State Agricultural Experiment Stations in the Insular Areas and the District of Columbia.

**(3) Indirect Costs and Tuition Remission**

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Hatch formula grant expenditures.

**(B) The Hatch Act of 1887 (Multistate Research)**

**(1) Approved NIFA Hatch MRF Projects**

Hatch MRF Federal funding must be used on approved Hatch MRF projects.

(2) Matching

Section 3(d)(1) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for agricultural research and for the establishment and maintenance of facilities for the performance of the research. However, section 3(d)(4) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(4)) provides that Effective beginning for fiscal year (FY) 2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of American Samoa, the Commonwealth of Puerto Rico, Guam, Micronesia, Northern Mariana Islands, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than fifty percent (50%) of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. ... The Secretary may waive the matching fund requirement [of fifty percent (50%)] for any fiscal year (FY) if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year (FY).

Section 7403 of the Food, Conservation, and Energy Act of 2008 amended section 3(d)(4) of the Hatch Act to subject the District of Columbia to the same matching requirements as the insular 1862 Land-Grant Institutions upon enactment (May 22, 2008).

NIFA may consider and approve matching waivers submitted by State Agricultural Experiment Stations in the Insular Areas and the District of Columbia.

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Hatch MRF formula grant expenditures. Section 3(d)(1) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for agricultural research and for the establishment and maintenance of facilities for the performance of the research. However, section 3(d)(4) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(4)) provides that Effective beginning for fiscal year (FY) 2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of American Samoa, the Commonwealth of Puerto Rico, Guam, Micronesia, Northern Mariana Islands, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than fifty percent (50%) of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. ... The Secretary may waive the matching fund requirement [of fifty percent (50%)] for any fiscal year (FY) if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year (FY).

Section 7403 of the Food, Conservation, and Energy Act of 2008 amended section 3(d)(4) of the Hatch Act to subject the District of Columbia to the same matching requirements as the insular 1862 Land-Grant Institutions upon enactment (May 22, 2008).

**Applicant Eligibility:**

(A) The Hatch Act of 1887 (Regular Research)

Hatch Act funds are provided for agricultural research on an annual basis to the State Agricultural Experiment Stations (SAESs) which were established under the direction of the college or university or agricultural departments of the college or university in each State in accordance with the act approved July 2, 1862 (7 U.S.C. 301 et seq.); or such other substantially equivalent arrangements as any State shall determine.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

(B) The Hatch Act of 1887 (Multistate Research)

Hatch Act funds are provided for agricultural research on an annual basis to the State Agricultural Experiment Stations (SAESs) which were established under the direction of the college or university or agricultural departments of the college or university in each State in accordance with the act approved July 2, 1862 (7 U.S.C. 301 et seq.); or such other substantially equivalent arrangements as any State shall determine.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

**Beneficiary Eligibility:**

Funds under the Hatch Act are allocated in accordance with the statutory formula stated in the Act to the State agricultural experiment stations of the 50 States, the District of Columbia, Guam, Puerto Rico, the Virgin Islands, American Samoa, Micronesia, and Northern Mariana Islands. These institutions have been identified and declared eligible by their respective State legislatures.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one (1) free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (FGOs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one (1) time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this FGO, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one (1) of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All Formula Grant Opportunities (FGOs) are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded

from coverage under E.O. 12372.

Pre-award form submissions must be submitted to the Hatch as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system and the Current Research Information System (CRIS), and together satisfy all legislative and regulatory pre-award requirements.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a 5-Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

Specific project details and pertinent information should be entered in the Current Research Information System (CRIS) as in prior years. CRIS is the U.S. Department of Agriculture's documentation and reporting system for ongoing agricultural, food and nutrition, and forestry research and education. CRIS contains over 30,000 descriptions of current, publicly-supported research and education activities. This work is sponsored or conducted by the USDA research agencies, the State agricultural experiment stations, the State Land-Grant Institutions and universities, State schools of forestry, cooperating schools of veterinary medicine, and USDA grant recipients. See Part VI.C. of the Formula Grant Opportunity (FGO) for specific CRIS requirements. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. State Five (5) year plans of work must be submitted to and approved by NIFA before funds are released. Applications should be submitted as outlined in the FGO. Applications must follow the instructions provided per Grants.Gov. Applicants are required to submit applications in response to both an interim FGO and a final FGO. The final FGO reflects the final formula allocations for the current fiscal year (FY).

#### **Award Procedure:**

The Office of Planning and Accountability and CRIS Office will notify the OEP Financial Operations Branch regarding each institutions compliance with the Plan of Work reporting requirements [i.e., Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results]. If all current program and administrative requirements have been met by the eligible institution, funding will continue to be released on a quarterly basis. The OEP Financial Operations Branch will notify the institutions when all requirements have been met or approved.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days. Section :094 - Deadlines:

Dates for specific deadlines are announced in the FGO each fiscal year (FY).

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not applicable, each year of funding is awarded as a new grant.

#### **Formula and Matching Requirements:**

Statutory Formula: Title The Hatch Act of 1887, Public Law 084-352. 7 U.S.C. 361c(d)(1)

Formula: Payments to States for fiscal year (FY) 1955 was a fixed base and sums appropriated in excess of 1955 level use the following fund allocation statistical factors:

- (1) Twenty percent (20%) allotted equally to each State;
- (2) Not less than Fifty-two percent (52%) to States as follows: One-half (1/2) in

an amount which bears the same ratio as the rural population of the State bears to the total rural population of all the States (and the source is the 1990 Decennial Census); and one-half (1/2) in an amount which bears the same ratio as the farm population of the State bears to the total farm population of all the States (and the source is the 1990 Decennial Census); and

- (3) At least Twenty-five percent (25%) to States for cooperative research in which two (2) or more State agricultural experiment stations are cooperating to solve problems of agriculture in more than one (1) State.

Matching Requirements: Percent: 100%. (A) The Hatch Act of 1887 (Regular Research) (B) The Hatch Act of 1887 (Multistate Research)

100 percent. However, the state agricultural experiment stations in the District of Columbia and the insular areas shall provide non-Federal matching funds equal to not less than 50% of the formula funds distributed by the Secretary of Agriculture. This requirement may be waived by the Secretary.

(B) The Hatch Act of 1887 (Multistate Research)

Required Multistate Match amounts are disclosed in FGO.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Hatch funds are expected to be fully expended in the fiscal year (FY) of appropriation; however, funds may be carried over for up to one (1) year after the end of the year for which they were appropriated. No prior approval is required to carry over funds for one (1) additional year; however, no additional carryover requests may be considered or approved, as no legislative authority to do so is provided. Method of awarding/releasing assistance: quarterly.

#### **Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Institutions are expected to submit an annual Program of Research, a listing of all approved Hatch projects for said institution. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; NIFA-2008, Assurance Form; and Project Proposal through the Current Research Information System prior to the initiation of each Hatch project. The project must undergo a review process and be approved before it is incorporated into the Program of Research. Each institution shall submit a CRIS Form AD-421,

Accomplishments Report, annually for each eligible project. Reports from institutions reporting on a calendar year shall be submitted by April 1 for the preceding calendar year. Reports from institutions reporting on a fiscal year (FY) shall be submitted by February 1 for the preceding fiscal year (FY).

An Accomplishments Report, CRIS Form AD-421, shall be submitted to NIFA for each completed or terminated project. Such reports shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project.

A CRIS Form AD-419, Funding and Staff Support Report, shall be submitted to NIFA annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year (FY) basis and are to be submitted by February 1.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a Five (5) Year Plan of Work Update (i.e., submitted each year as an update) and an Annual

Report of Accomplishments and Results. Both reports were due by April 1. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs

electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a Five (5) Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1. Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Grant Branch  
Awards Management Division  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2298  
1400 Independence Avenue, SW  
Washington, DC 20250-2298  
Telephone: (202) 401-6520  
Fax: (202) 690-3002

E-mail: [formulagrants@nifa.usda.gov](mailto:formulagrants@nifa.usda.gov). Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a Five (5) Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

#### **Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

#### **Account Identification:**

12-1500-0-1-352.

#### **Obligations:**

(Formula Grants (Apportionments)) FY 10 \$214,965,000; FY 11 est \$222,869,824; and FY 12 est \$191,951,861 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

Multi-state allocations represent 25% of all increases above the FY 1955 base year.

#### **Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO). See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocation.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Specific details will be provided by Program Unit at a future date. Fiscal Year 2011: Specific details will be provided by Program Unit at a future date. Fiscal Year 2012: Specific details will be provided by Program Unit at a future date.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for the Hatch (Experiment Station) Act as amended, Agricultural Handbook No. 381 revised November 1980; Manual for Cooperative Regional Research, revised 1986; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

USDA, NIFA, National Program Leader, Plant and Animal Systems 1400 Independence Avenue, SW, STOP 2220, Washington, District of Columbia 20250-2220 Phone: (202) 401-5877 or (202) 720-0747 Fax: (202) 401-4888.

#### **Website Address:**

<http://www.nifa.usda.gov/>

#### **RELATED PROGRAMS:**

10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Formula Grant Opportunity (FGO).

#### **10.205 PAYMENTS TO 1890 LAND-GRANT COLLEGES AND TUSKEGEE UNIVERSITY**

Evans-Allen Research and/or Agricultural Research at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Section 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), enacted as Title XIV of Public Law 95113 (The Food and Agriculture Act of 1977) on Sept. 29, 1977 is also known as the Evans-Allen Research Program. This law provides the basis for Federal funding for agricultural research activities at 1890 Land-Grant Institutions under the Act of August 30, 1890 (26 Stat. 417419, as amended; 7 U.S.C. 321326 and 328), including Tuskegee University and West Virginia State University. Amended by Public Law 95-547, Public Law 97-98, Public Law 99-198, Public Law 101-624, Public Law 104-127 and Public Law 105-185., 7 U.S.C 321-326 and 328.

#### **OBJECTIVES:**

To support continuing agricultural research at colleges eligible to receive funds under the Act of August 30, 1890 (26 Stat. 417-419), as amended; 7 U.S.C. 321-326 and 328), including Tuskegee University and West Virginia State University. Its purpose is to promote efficient production, marketing, distribution and utilization of products of the farm as essential to the health and welfare of people and to promote a sound prosperous agriculture and rural life.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

This grant is used to support continuing agricultural research at 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University. Funds appropriated under this section shall be used for expenses of conducting agricultural research, printing, disseminating the results of such research, contributing to the retirement of employees subject to the provisions of the Act of March 4, 1940 (54 Stat. 3940, as amended; 7 U.S.C. 331), administrative planning and direction, and purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting agricultural research. The eligible institutions are authorized to plan and conduct agricultural research in cooperation with each other and such agencies, institutions and individuals as may contribute to the solution to the solution of agricultural problems, and funds appropriated pursuant to section 1445 shall be available for paying the necessary expenses of planning, coordinating and conducting such cooperative research. **RESTRICTIONS:**

(1) Approved NIFA Evans-Allen Research Projects  
NIFA will fund the Evans-Allen Research Program for authorized activities. Funds may be used on approved Evans-Allen Research Program projects.

(2) Matching

NARETPA section 1449 (7 U.S.C. 3222d) states that the State shall provide matching funds from non-Federal sources. Such matching funds shall be for an amount equal to not less than ... 100 percent of the formula [grant] funds to be distributed to the eligible institution for fiscal year 2007 and each fiscal year thereafter. ... Notwithstanding [redistributing the funds], the Secretary may waive the matching funds requirement ... above the 50 percent level for any fiscal year for an eligible institution of a State if the Secretary determines that the State will be unlikely to satisfy the matching requirement.

7 CFR 3419.1 defines matching funds as funds from non-Federal sources made available by the State to the eligible institutions ... [for] programs or activities that fall within the purposes of agricultural research and cooperative extension under sections 1444 and 1445 of NARETPA ... or [for] qualifying educational activities. Matching funds means cash contributions and excludes in-kind matching contributions. It defines non-Federal sources as funds made available by the State to the eligible institution either through direct appropriation or under any authority (other than authority to charge tuition and fees paid by students) provided by a State to an eligible institution to raise revenue, such as gift acceptance authority or user fees. Finally, it defines qualifying educational activities as programs that address food and agricultural sciences components of an eligible institution.

7 CFR 3419.6 states that The required matching funds for the formula programs shall be used by an eligible institution for agricultural research and extension activities that have been approved in the plan of work required under sections 1444(d) and 1445(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977... or for .. qualifying education activities.

Please note that while Federal funds must be expended on agricultural research, the matching funds may be used for agricultural research, agricultural extension, or qualifying educational activities. NIFA may consider and approve matching waivers above the 50 percent level.

(3) Indirect Costs and Tuition Remission

In accordance with NARETPA section 1473 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Evans-Allen Research Program formula grant expenditures.

#### **Applicant Eligibility:**

Applications may be submitted by 1890 Land-Grant Universities, including

Tuskegee University and West Virginia State University.

#### **Beneficiary Eligibility:**

Applications may be submitted by 1890 Land-Grant Universities, including Tuskegee University and West Virginia State University.

#### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (FGOs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this FGO, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

All Formula Grant Opportunities (FGOs) are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded from coverage under E.O. 12372.

Pre-award form submissions must be submitted to the Hatch as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system and the Current Research Information System (CRIS), and together satisfy all legislative and regulatory pre-award requirements.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a Five (5) Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

Specific project details and pertinent information should be entered in the Current Research Information System (CRIS) as in prior years. CRIS is the U.S. Department of Agriculture's documentation and reporting system for ongoing agricultural, food and nutrition, and forestry research and education. CRIS contains over 30,000 descriptions of current, publicly-supported research and education activities. This work is sponsored or conducted by the USDA research agencies, the State agricultural experiment stations, the State Land-Grant Institutions and universities, State schools of forestry, cooperating schools of veterinary medicine, and USDA grant recipients. See Part VI.C. of the Formula Grant Opportunity (FGO) for specific CRIS requirements. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the FGO. Applications must follow the instructions provided per Grants.Gov. Applicants are required to submit applications in response to both an interim FGO and a final FGO. The final FGO reflects the final formula allocations for the current fiscal year (FY).

**Award Procedure:**

The Office of Planning and Accountability and the OEP Formula Grants Section will be reviewing submitted documents to determine if all program, financial, and administrative requirements have been met and are current. To receive an annual allotment of funds, each eligible institution or State must first submit a plan of work to NIFA for approval. During the grant period, the Office of Planning and Accountability will notify the OEP Formula Grants Section and the institution regarding each institutions compliance with the Plan of Work reporting requirements (i.e., Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results). If all current program and administrative requirements have been met by the eligible institution, funding will continue to be released on a quarterly basis. The OEP Formula Grants Section will notify the institutions when all requirements have been met or approved. The Office of Planning and Accountability will notify the OEP Formula Grants Section and the institution regarding each institutions compliance with the Plan of Work reporting requirements (i.e., Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results). If all current program and administrative requirements have been met by the eligible institution, funding will continue to be released on a quarterly basis. The OEP Formula Grants Section will notify the institutions when all requirements have been met or approved.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the FGO each fiscal year (FY).

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable, each year of funding is awarded as a new grant.

**Formula and Matching Requirements:**

Statutory Formula: Title Evans-Allen Research, Public Law 95-113. 7 U.S.C. 321326 and 328

The 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University, are eligible for funds appropriated under this Act according to the following formula: Funds up to the total amount made

available to all eligible institutions in the fiscal year ending September 30, 1978, under section 2 of the Act of August 4, 1965 (79 Stat.431; 7 U.S.C. 450i), shall be allocated among the eligible institutions in the same proportion as funds made available under section 2 of the Act of August 4, 1965, for the fiscal year ending September 30, 1978, are allocated among the eligible institutions. Of the funds in excess of that amount, 20 per cent shall be allotted among eligible institutions in equal proportions; 40 per cent shall be allotted among the eligible institutions in the proportion that the rural population of the State in which each eligible institution is located bears to the total rural population of all the States in which eligible institution are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated; and the balance shall be allotted among the eligible institutions in the proportion that the farm population of the State in which each eligible institution is located bears to the total farm population of all the States in which the eligible institutions are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated. In computing the distribution of the allocated funds, the allotments to Tuskegee University and Alabama A&M University shall be determined as if each institution were in a separate State.

Matching Requirements: Percent: 100%. NARETPA section1449 (7 U.S.C. 3222d) states that the State shall provide matching funds from non-Federal sources. Such matching funds shall be for an amount equal to not less than ... 100 percent of the formula [grant] funds to be distributed to the eligible institution for fiscal year 2007 and each fiscal year thereafter. ... Notwithstanding [redistributing the funds], the Secretary may waive the matching funds requirement ... above the 50 percent level for any fiscal year for an eligible institution of a State if the Secretary determines that the State will be unlikely to satisfy the matching requirement..

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Evans-Allen Research Program funds are fiscal year appropriated and expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to one additional year. Please note there is no limitation on the amount of Federal funds that may be carried over for this one additional fiscal year. No prior approval from NIFA is required. Since this limitation is legislatively mandated, NIFA is not authorized to grant any carryover requests beyond this one additional year. Method of awarding/releasing assistance: quarterly.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

The Plan of Work Update and Annual Report of Accomplishments and Results should have been submitted by April 1 online at the web address: <http://pow.NIFA.usda.gov>. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; NIFA-2008, Assurance Form; and Project Listing through the Current Research Information System at the initiation of each Evans-Allen Research project. Each eligible institution shall submit a CRIS Form AD-421, Accomplishments Report, annually. Reports from institutions reporting on a calendar year should have been submitted by April 1, for the preceding calendar year. Reports from institutions reporting on a fiscal year should have been submitted by February 1, for the preceding fiscal year. An Accomplishments Report, CRIS Form AD-421, shall be submitted to NIFA for each completed or terminated project. Such reports shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project. A CRIS Form AD-419, Financial and Staff Support Report, shall be submitted to NIFA annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year basis and should have been submitted by February 1. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The

details of the reporting requirements are included in the award terms and conditions.

The Plan of Work Update and Annual Report of Accomplishments and Results should have been submitted by April 1 online at the web address: <http://pow.NIFA.usda.gov>. Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Grant Branch  
Awards Management Division  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA), STOP 2298  
1400 Independence Avenue, SW, Washington, DC 20250-2298  
Telephone: (202) 401-6520, Fax: (202) 690-3002, E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Pre-award form submissions must be submitted to the Evans-Allen Research Program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) and Current Research Information System (CRIS) systems, and together satisfy all legislative and regulatory pre-award requirements. The Plan of Work Update and Annual Report of Accomplishments and Results should have been submitted by April 1 online at the web address: <http://pow.NIFA.usda.gov>. Section 225 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended NARETPA to require an approved Plan of Work for agricultural extension and research activities at 1890 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1890 Land-Grant Institution, including Tuskegee University and West Virginia State University, must submit both a Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results. Both reports are due April 1. Specific project details and pertinent information should be entered in CRIS as in prior years. CRIS is the Department of Agriculture's documentation and reporting system for ongoing agricultural, food and nutrition, and forestry research and education. CRIS contains over 30,000 descriptions of current, publicly-supported research and education activities. This work is sponsored or conducted by the USDA research agencies, the State agricultural experiment stations, the State Land-Grant Institutions and universities, State schools of forestry, cooperating schools of veterinary medicine, and USDA grant recipients. See Part IV.C. of the Formula Grant Opportunity (FGO) for specific CRIS requirements.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

#### **Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three (3) year period if litigation is pending or audit findings have not been resolved.

#### **Account Identification:**

12-1500-0-1-352.

#### **Obligations:**

(Formula Grants (Apportionments)) FY 10 \$48,500,000; FY 11 est \$48,018,903; and FY 12 est \$45,798,735 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

#### **Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO).

FY08: Financial assistance amounts ranged from 69,020 to 500,000. Average across 18 grants was \$350,185

See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocations.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Specific details will be provided by Program Unit at a future date. Fiscal Year 2011: Specific details will be provided by Program Unit at a future date. Fiscal Year 2012: Specific details will be provided by Program Unit at a future date.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for Evans-Allen Cooperative Agricultural Research, May 1982; (manual is currently under review); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

USDA, NIFA, National Program Leader, Science and Education Resources Development 1400 Independence Avenue, SW, STOP 2251, Washington , District of Columbia 20250-2251 Phone: (202) 401-2855 or (202) 690-0402 Fax: (202) 720-2030.

#### **Website Address:**

<http://www.nifa.usda.gov/>

#### **RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.207 Animal Health and Disease Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Formula Grant Opportunity (FGO).

#### **10.207 ANIMAL HEALTH AND DISEASE RESEARCH**

ANIMAL HEALTH AND DISEASE RESEARCH (AHDR)

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Executive Order National Agricultural Research, Extension, and Teaching Policy Act of 1977, Section 1433, Public Law 95-113, as amended; Section 1429, Public Law 97-98; Public Law 99-198; Public Law 101-624; Public Law 104-127; Public Law 105-185.



, Public Law 95-113.

**OBJECTIVES:**

The purpose of this funding is to increase animal health and disease research activities at accredited State veterinary schools or colleges or agricultural experiment stations that conduct animal health and disease research.

To support animal health and disease research at eligible Schools and Colleges of Veterinary Medicine, and State Agricultural Experiment Stations whose purpose is to improve the health and productivity of food animals and horses through effective prevention, control or treatment of disease, reduction of losses from transportation and other hazards, and protect human health through control of animal diseases transmissible to people.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The National Institute of Food and Agriculture (NIFA) requests applications for the FY 2009 formula grants authorized under authorized under section 1433 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) for the Animal Health and Disease Research (AHDR) Program. These grants are used to assist all states in carrying out a program of research activities designed to (1) to meet expenses of conducting animal health and disease research, publishing and disseminating the results of such research, and contributing to the retirement of employees subject to the provisions of the Act of March 4, 1940 (54 Stat. 3940, as amended; 7 U.S.C. 331); (2) for administrative planning and direction; and (3) to purchase equipment and supplies necessary for conducting such research.

States are eligible for funds appropriated under this Act according to the following formula: One half of the State allotment will be distributed among the States in the proportion that the value of and income to producers from domestic livestock, poultry, and commercial aquaculture species in each State bears to the total value of and income to producers from domestic livestock, poultry, and commercial aquaculture species in all the States, based on the most current inventory of all cattle, sheep, swine, horses, poultry, and commercial aquaculture species published by the U.S. Department of Agriculture. The remainder of the State allotment will be distributed among the States in the proportion that the animal health and disease research capacity of the eligible institutions in each State bears to the total animal health and disease research capacity in all the States, as determined by NIFA.

Research on animal health and disease of food animals and horses conducted in eligible institutions under the following categories: (1) Infectious diseases; (2) internal and external parasites; (3) noninfectious diseases, toxins, poisons, transportation losses, predators and other hazards; (4) diseases and parasites of wildlife transmissible to food animals and horses; and (5) diseases and parasites of animals transmissible to people. (1) Approved NIFA AHDR Projects AHDR Federal funding must be used on AHDR approved projects.

(2) Matching

7 U.S.C. 3200 provides that No funds in excess of \$100,000 shall be paid by the Federal Government to any State under this subchapter during any fiscal year in excess of the amount from non-Federal sources made available to and budgeted for expenditure by eligible institutions in the State during the same fiscal year for animal health and disease research. The Secretary is authorized to make such payments in excess of \$100,000 on the certificate of the appropriate official of the eligible institution having charge of the animal health and disease research for which such payments are to be made. If any eligible institution certified for receipt of matching funds fails to make available and budget for expenditure for animal health and disease research in any fiscal year sums at least equal to the amount for which it is certified, the difference between the Federal matching funds available and the funds made available to and budgeted for expenditure by the eligible institution shall be reapportioned by the Secretary among other eligible institutions of the same State, if there are any which qualify therefor, and, if there are none, the Secretary shall reapportion such difference among the other States.

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research,

Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as AHDR formula grant expenditures.

**Applicant Eligibility:**

Eligibility is restricted to the following public nonprofit institutions having demonstrable capacity in animal disease research: (1) Schools and Colleges of Veterinary Medicine; and (2) State Agricultural Experiment Stations. Funds are appropriated by Congress for distribution to States and eligible State institutions according to the statutory formula stated in the Act.

Applications may be submitted by accredited State veterinary schools or colleges or agricultural experiment stations that conduct animal health and disease research in accordance with NARETPA section 1433(c): Auburn University, Agricultural Experiment Station; Auburn University, School of Veterinary Medicine; Tuskegee University, School of Veterinary Medicine; University of Alaska, Agricultural Experiment Station; University of Arizona, Agricultural Experiment Station; University of Arkansas, Agricultural Experiment Station; University of California-Oakland, Agricultural Experiment Station; University of California-Davis, School of Veterinary Medicine; Colorado State University, Agricultural Experiment Station and College of Veterinary Medicine; University of Connecticut-Storrs, Agricultural Experiment Station; University of Delaware, Agricultural Experiment Station; University of Florida, Agricultural Experiment Station; University of Florida, College of Veterinary Medicine; University of Georgia, Agricultural Experiment Station; University of Georgia, College of Veterinary Medicine; University of Hawaii, Agricultural Experiment Station; University of Idaho, Agricultural Experiment Station; University of Illinois, Agricultural Experiment Station and College of Veterinary Medicine; Purdue University, Agricultural Experiment Station and College of Veterinary Medicine; Iowa State University, Agricultural and Home Economics Experiment Station; Iowa State University, College of Veterinary Medicine; Kansas State University, Agricultural Experiment Station and College of Veterinary Medicine; University of Kentucky, Agricultural Experiment Station; Louisiana State University, Agricultural Experiment Station; Louisiana State University, College of Veterinary Medicine; University of Maine, Agricultural Experiment Station; University of Maryland, Agricultural Experiment Station; University of Massachusetts, Agricultural Experiment Station; Tufts University, School of Veterinary Medicine; Michigan State University, Agricultural Experiment Station and College of Veterinary Medicine; University of Minnesota, Agricultural Experiment Station; University of Minnesota, College of Veterinary Medicine; Mississippi State University, Agricultural and Forestry Experiment Station and College of Veterinary Medicine; University of Missouri, Agricultural Experiment Station; University of Missouri, College of Veterinary Medicine; Montana State University, Agricultural Experiment Station; University of Nebraska, Agricultural Experiment Station; University of Nevada, Agricultural Experiment Station; University of New Hampshire, Agricultural Experiment Station; Rutgers University, Agricultural Experiment Station; New Mexico State University, Agricultural Experiment Station; Cornell University, Agricultural Experiment Station; Cornell University, College of Veterinary Medicine; North Carolina State University, Agricultural Experiment Station; North Carolina State University, College of Veterinary Medicine; North Dakota State University, Agricultural Experiment Station; Ohio State University, Ohio Agricultural Research & Development Center; Ohio State University, College of Veterinary Medicine; Oklahoma State University, Agricultural Experiment Station and College of Veterinary Medicine; Oregon State University, Agricultural Experiment Station; Pennsylvania State University, Agricultural Experiment Station; University of Pennsylvania, College of Veterinary Medicine; University of Puerto Rico, Agricultural Experiment Station; University of Rhode Island, Agricultural Experiment Station; Clemson University, Agricultural Experiment Station; South Dakota State University, Agricultural Experiment Station; University of Tennessee, Agricultural Experiment Station; University of Tennessee, College of Veterinary Medicine; Texas A&M University, Agricultural Experiment Station and College of Veterinary Medicine; Utah State University, Agricultural Experiment Station; University of Vermont, Agricultural Experiment Station; Virginia Polytechnic Institute and State University, Agricultural Experiment Station and College of Veterinary Medicine; Washington State University, Agricultural Experiment Station and College of Veterinary Medicine; West Virginia University, Agricultural and Forestry Experiment Station; University

of Wisconsin, Agricultural Experiment Station and College of Veterinary Medicine; and University of Wyoming, Agricultural Experiment Station.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project or activity.

**Beneficiary Eligibility:**

Eligibility is restricted to the following public nonprofit institutions having demonstrable capacity in animal disease research: (1) Schools and Colleges of Veterinary Medicine; and (2) State Agricultural Experiment Stations. Funds are appropriated by Congress for distribution to States and eligible State institutions according to the statutory formula stated in the Act.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (FGOs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this FGO, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All Formula Grant Opportunities (FGOs) are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the FGO. Applications must follow the instructions provided per Grants.Gov.

Applicants are required to submit applications in response to both an interim FGO and a final FGO. The final FGO reflects the final formula allocations for the current fiscal year (FY).

**Award Procedure:**

Fund will be released on a quarterly basis to the institutions. See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocation.

AHDR funds must be fully expended in the fiscal year of appropriation; no waiver requests may be considered and approved as no carryover authority is provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the FGO each fiscal year (FY).

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable, each year of funding is awarded as a new grant.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: 7 U.S.C. 3200 provides that No funds in excess of \$100,000 shall be paid by the Federal Government to any State under this subchapter during any fiscal year in excess of the amount from non-Federal sources made available to and budgeted for expenditure by eligible institutions in the State during the same fiscal year for animal health and disease research. The Secretary is authorized to make such payments in excess of \$100,000 on the certificate of the appropriate official of the eligible institution having charge of the animal health and disease research for which such payments are to be made. If any eligible institution certified for receipt of matching funds fails to make available and budget for expenditure for animal health and disease research in any fiscal year sums at least equal to the amount for which it is certified, the difference between the Federal matching funds available and the funds made available to and budgeted for expenditure by the eligible institution shall be reapportioned by the Secretary among other eligible institutions of the same State, if there are any which qualify therefore, and, if there are none, the Secretary shall reapportion such difference among the other States..

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

AHDR funds must be fully expended in the fiscal year of appropriation; no waiver requests may be considered and approved as no carryover authority is provided in the authorizing legislation. Method of awarding/releasing assistance: quarterly.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Institutions are expected to submit an annual Program of Research, a listing of all approved AHDR projects for said institution. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; NIFA-2008, Assurance Form; and Project Proposal through the Current Research Information System prior to the initiation of each AHDR project. The project must undergo a review process and be approved before it is incorporated into the Program of Research. Each institution shall submit a CRIS Form AD-421, Accomplishments Report, annually for each eligible project. Reports from institutions reporting on a calendar year shall be submitted by April 1, 2010 for the preceding calendar year.

Reports from institutions reporting on a fiscal year shall be submitted by February 1, 2010 for the preceding fiscal year.

An Accomplishments Report, CRIS Form AD-421, shall be submitted to NIFA for each completed or terminated project. Such reports shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project.

A CRIS Form AD-419, Funding and Staff Support Report, shall be submitted to NIFA annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year basis and are to be submitted by February 1, 2010.

Financial reporting via the SF-269, Financial Status Report, for FY 2009 is due to the OEP Formula Grants Section on December 31, 2010. The SF-272, Federal Cash Transactions Report, or ST-425, Federal Financial Report for each calendar quarter is due online at the DHHS website ([www.dpm.psc.gov](http://www.dpm.psc.gov)) usually on the 15th day of November, February, May, and August for the preceding calendar quarter. DHHS may restrict payment requests from the grantees account if the SF-272 report is not submitted on time.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Grant Branch  
Awards Management Division  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2298  
1400 Independence Avenue, SW  
Washington, DC 20250-2298  
Telephone: (202) 401-6520  
Fax: (202) 690-3002

E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

#### **Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

#### **Account Identification:**

12-1500-0-1-352.

#### **Obligations:**

(Formula Grants (Apportionments)) FY 10 \$2,950,000; FY 11 est \$2,731,058; and FY 12 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

#### **Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO).

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Specific details will be provided by Program Unit at a future date. Fiscal Year 2011: Specific details will be provided by Program Unit at a future date. Fiscal Year 2012: Specific details will be provided by Program Unit at a future date.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for the Continuing Animal Health and Disease Research Program, (dated March, 2000 - Manual is currently under review); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

USDA, NIFA, National Program Leader, Veterinary Science, 1400 Independence Avenue, SW, STOP 2220, Washington, District of Columbia 20250-2220 Phone: (202) 401-4952 Fax: (202) 401-6156 .

#### **Website Address:**

<http://www.nifa.usda.gov/>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Formula Grant Opportunity (FGO).

#### **10.210 FOOD AND AGRICULTURAL SCIENCES NATIONAL NEEDS GRADUATE FELLOWSHIP GRANTS**

National Needs Fellowship (NNF)

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Section 7106 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Public Law 110-246) amends the legislative authority for this program contained in Section 1417 of the National Agricultural Research, Extension and Teaching Policy Act of 1977 (NARETPA) (99 Stat. 1548; 7 U.S.C. 3152) to include the University of the District of Columbia as an eligible applicant. , 7 U.S.C 3152.

#### **OBJECTIVES:**

The purpose of the NNF Grants Program is to train students for Masters and/or doctoral degrees and provide additional postdoctoral training for Fellows who have completed their doctoral degrees at colleges and universities that have demonstrable teaching and research competencies in the food and agricultural sciences. Fellowships and IRTA awards are specifically intended to support traineeship programs that encourage outstanding students to pursue and complete their degrees or obtain postdoctoral training in areas where there is a national need for the development of scientific and professional expertise in the

food and agricultural sciences. Fellowships and IRTA awards invest in graduate training and relevant international experiential learning for a cadre of diverse individuals who demonstrate their potential to successfully complete graduate degree programs in disciplines relevant to the mission of the USDA.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Competitive annual grants providing for a limited number of graduate stipends are awarded to selected U.S. institutions of higher education so as to distribute support for graduate study to promising food and agricultural scientists and professionals. Individuals selected initially by the institution must enroll in a program leading to a graduate, master's or doctoral degree in one of the targeted national needs areas of the food and agricultural sciences. Such persons may not have been enrolled previously in the program at the same degree level. Current fellows are eligible to receive supplemental grants of \$3,000 to cover travel and living expenses for special international study or thesis/dissertation research experiences. Funding for the supplemental grants will be awarded on a competitive basis using no-year funds drawn from expired fellowship grants with unspent funds remaining as set forth in the annual program guidelines. No indirect cost allowed. Institutional allowance in lieu of indirect cost. NNF stipend funds for fellowship must be used to: (1) support the same Fellow at the Masters degree level who maintains satisfactory progress and is eligible to receive grant support for a maximum of twenty-four (24) months during a thirty-month period, and/or (2) support the same Fellow at the doctoral degree level who maintains satisfactory progress and is eligible to receive grant support for a maximum of thirty-six (36) months within a forty-two-month period. Institutions must use a minimum stipend of \$18,500 per year for Masters Fellows and \$24,500 per year for Doctoral Fellows.

If funds remain as a result of USDA Fellows completing their studies early (less than twenty-four months for a Masters degree or less than thirty-six months for a doctoral degree) or Fellowships being terminated prematurely, such funds may be used, within the time remaining on the award, to support: (1) pursuit of a doctoral degree in a TESA in the food and agricultural sciences by a Masters degree level Fellow at the grantee institution, or (2) a Replacement Fellow. The tenure of such a Replacement Fellow is limited to whatever time is remaining on the grant before it expires; however, an institution may not appoint a Replacement Fellow unless there is time for the student to complete at least one semester/quarter of study before the expiration date of the grant.

Replacement Fellows must meet all of the eligibility criteria and other requirements established for Fellow selection and are subject to the same provisions as other Fellows during their tenure in the program. Replacement Fellows are entitled, during their tenure, to the same benefits that other Fellows receive from the grant award and National Needs Graduate and Postdoctoral Fellowship Grants Program. Institutions may, but are not required to, continue a Replacement Fellow's tuition and other benefits beyond the expiration date of the grant using institutional or other funds. A Fellow may not be simultaneously supported under multiple National Needs Graduate and Postdoctoral Fellowship Grants Program awards.

Remaining funds cannot be used to increase annual Fellowship stipends provided to existing Fellows. If less than one semester/quarter remains on the award, the grantee must refund unexpended monies to CSREES. Such funds cannot be used to increase the annual stipend amounts for current USDA Graduate Fellows.

Should a USDA Fellow require additional time beyond the grant period to complete his or her degree, it is expected that the grantee will consider alternatives to continue supporting the Fellow through other means.

Tuition and fees are the responsibility of the Fellow unless an institution elects to use its cost-of-education institutional allowance for this purpose or elects to pay such costs out of non-USDA monies. No dependency allowances are provided to any USDA Graduate Fellows. Stipend payments and special international study or thesis/dissertation research travel allowances may be made to Fellows by the institution, in accordance with standard institutional procedures for graduate fellowships and assistantships.

When grants are for IRTAs that will be used by To-Be-Recruited Fellows: The IRTA funds for To-Be-Recruited fellows will be withheld until the Project Director has submitted, to the NNF Program Office, all of the required documentation for eligibility of the Graduate Fellow for the IRTA as well as the required specifics outlined in the RFA for the IRTA. The information must be submitted for approval, no less than 150 days prior to the use of the IRTA funds (see PART IV, B, 3, b, Section 1). This requirement will become a condition of the award. Fully discretionary.

**Applicant Eligibility:**

Proposals may be submitted by all U.S. colleges and universities that confer a master's or doctoral degree in at least one area of the food and agricultural sciences targeted for national needs fellowships. As defined in Section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3103), the terms "college" and "university" mean "an educational institution in any State which: (a) Admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate; (b) is legally authorized within such State to provide a program of education beyond secondary education; (c) provides an educational program for which a bachelor's degree or any other higher degree is awarded; (d) is a public or other nonprofit institution; and (e) is accredited by a nationally recognized accrediting agency or association." Eligibility also applies to research foundations maintained by eligible colleges or universities.

**Beneficiary Eligibility:**

Funds awarded in this program are used to support the training of graduate students to obtain either a master's or doctoral degree in one of the targeted specializations of the food and agricultural sciences.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at (1-866) 705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at (888) 227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs. Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is

approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:  
[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

An Environmental Impact statement (EIS) (actual or potential) is not required for this program. However the NIFA Application (R&R Other Project Information Part 4.4) requires a statement to that effect. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:  
Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal

year.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants cover a five (5) year period, however, fellows are supported for three (3) years for a doctoral degree or two (2) years for a masters during that five (5) year period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$7,888,000; FY 11 est \$3,657,231; and FY 12 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

Funding for the Food and Agricultural Sciences National Needs Graduate Fellowship Grants program is no-year money. The FY 2010 amount includes carryover funds.

In FY 2012, activities formerly supported under this program will be funded under AFRI. We do not know the amount of anticipated funding for the supported activities under AFRI.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Science and Education Resources Development 1400 Independence Avenue, SW, STOP 2251, Washington , District of Columbia 20024 Phone: (202) 401-2855 or (202) 720-1973

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.216 1890 Institution Capacity Building Grants; 10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The degree to which the proposal clearly establishes that the proposed program of graduate training will result in the development of outstanding scientific/professional expertise related to the national need area and in a reasonable period of time; (2) the degree to which the proposed program of study reflects special features such as a combination-disciplinary, approach (inter-disciplinary, multi-disciplinary or cross-disciplinary), a unique collateral specialization in a related discipline, experimental learning opportunities, a unique mentoring program, seminars, or a multi-university collaborative approach; (3) the degree to which the proposal establishes that the institution's faculty, facilities and equipment, instructional support resources, and other attributes are excellent for providing outstanding graduate study and research at the forefront of science and technology related to the chosen area of national need; (4) the degree to which the institution's plans and procedures for recruitment and selection of academically outstanding fellows and for monitoring and facilitating fellow's progress through a program of study reflect excellence as documented in the proposal; (5) the degree to which supporting summary data substantiate program quality in the targeted national need area; and (6) the quality of the proposal as reflected by its substantive content, organization, clarity, and accuracy; (7) any additional evaluation criteria as cited in the annual program announcement published in the Federal Register.

**10.212 SMALL BUSINESS INNOVATION RESEARCH**

(SBIR Program - Phase I and II)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

This program solicitation is issued pursuant to the Small Business Innovation Development Act of 1982, Public Law 97-219, as amended (15 U.S.C. 638) and Section 630 of the Act making appropriations for Agriculture, Rural Development and Related Agencies programs for fiscal year ending September 30, 1987, and for other purposes, as made applicable by Section 101(a) of Public Law 99-591, 100 Stat. 3341.

**OBJECTIVES:**

To stimulate technological innovation in the private sector, strengthen the role of small businesses in meeting Federal research and development needs, increase private sector commercialization of innovations derived from USDA-supported research and development efforts, and foster and encourage participation, by women-owned and socially disadvantaged small business firms in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The selected areas for research are Forests and Related Resources; Plant Production and Protection-Biology; Animal Production and Protection; Soil and Water Resources; Food Science and Nutrition; Rural and Community Development; Aquaculture; Industrial Applications; Marketing and Trade; Wildlife; Animal Manure Management, Small and Mid-size Farms, Plant Production and Protection-Engineering. The Small Business Innovation Research Program is carried out in three separate phases: Phase I projects are supported to determine the scientific or technical feasibility of ideas submitted by proposes on the selected research areas; Phase II awards are made to firms with approaches that appear sufficiently promising as a result of Phase I studies. Only those small businesses previously receiving Phase I awards in either of the two preceding fiscal years are eligible to submit Phase II proposals. Phase II projects are limited to \$350,000 for a period normally not to exceed 24 months; Phase III is to be conducted by the small business concern (including joint ventures and limited partnerships), and will be non-SBIR funded through the exercising of a follow-on funding commitment. The purpose of Phase III is to stimulate technological innovation and the national return on investment from research through the pursuit of commercialization objectives resulting from the USDA-supported work carried out in Phases I and II. Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. Fully discretionary.

**Applicant Eligibility:**

Applicant Eligibility (1) is organized for profit, with a place of business located in the United States, which operates primarily within the United States, or which makes a significant contribution to the United States economy through the payment of taxes or use of American products, materials or labor; (2) is in the legal form of an individual proprietorship, partnership, limited liability company, corporation, joint venture, association, trust or cooperative, except that where the form is a joint venture, there can be no more than 49 percent participation by foreign business entities in the joint venture; (3) is at least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States, except in the case of a joint venture, where each entity in the venture must be 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in the United States; and (4) has, including its affiliates, not more than 500 employees. The term "affiliates" is defined in greater detail in 13 CFR 121.103. The term "number of employees" is defined in 13 CFR 121.106.

**Beneficiary Eligibility:**

Small businesses.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been

adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at (1-866) 705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at (888) 227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs. Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:  
[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

#### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with Section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or

extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/> <http://www.grants.gov> Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

#### **Appeals:**

Phase I applications may be revised and resubmitted during a later funding cycle, provided the subject matter of the proposal is not changed, and the topic area under which the proposal was originally submitted is still listed in the solicitation. Phase I grantees may apply for a Phase II grant only once for each Phase I project funded.

#### **Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under this authority. CSREES does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Phase I grants are normally limited to 8 months. Phase II grants are normally limited to 2 years. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture (NIFA),  
Department of Agriculture (USDA), STOP 2271,  
1400 Independence Avenue, SW  
Washington, DC 20250-2271,  
Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory

system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet the terms and conditions of grants and other agreements. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General. Federal audits will be made in accordance with the policies of the Federal Acquisition Regulations, 48 CFR Part 42, to ensure that funds have been applied efficiently, economically, and effectively.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$19,244,791; FY 11 est \$17,122,299; and FY 12 est \$16,955,599 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: TO BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Competitive Programs, SBIR, 1400 Independence Avenue, SW, STOP 2240, Washington, District of Columbia 20024 Phone: 202-401-5823; 401-6852; 401-1719 Fax: (202) 401-6070.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(a) The proposing firm must qualify as a small business concern as specified in the SBIR solicitation; (b) The proposal must meet the Proposal Content and Format requirements as described in subsection 3.3 of the SBIR solicitation; (c) Proposals must be limited to one research problem (see subsection 3.1 of the SBIR solicitation); (d) The proposed budget must be within the dollar limit identified in subsection 1.2 of the SBIR solicitation; (e) The proposed duration of Phase I projects should normally not exceed 8 months, except in special, justified circumstances, and the duration of Phase II projects should normally not exceed 24 months. Where a proposed research project requires more than 8 months to complete in Phase I, a longer grant period, not to exceed 20 months, may be considered. An applicant of a Phase I project with an anticipated duration beyond 8 months should specify and justify the length of duration in the proposal at the time of its submission to USDA in order for it to be considered; (f) Proposals must cover scientific research activities only (see subsection 3.1 of the SBIR solicitation); (g) The proposed Phase I research must fall within a solicited topic area; (h) A proposal must contain adequate scientific/technical information to state clearly the research plan and objectives. USDA reserves the right not to submit for review any proposal which it finds to have insufficient scientific/technical information; (i) A resubmitted proposal must address concerns of the previous review panel. USDA reserves the right not to submit for review any proposal found not to be responsive to the previous review; and (j) Is it clear that the project director will work a minimum of 51 percent of his/her time for the small business firm during the period of the grant and that the small business firm will conduct a minimum of two-thirds of the research effort?.

**10.215 SUSTAINABLE AGRICULTURE RESEARCH AND EDUCATION**

SARE

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 1619-1624 of the Food, Agriculture, Conservation and Trade Act of 1990 (FACTA), Public Law 101-624 (7 U.S.C. 5801). , 7 U.S.C 5801; Section 1622 of FACTA (7 U.S.C. 5812), and for selected national projects, 7 U.S.C 5812.

**OBJECTIVES:**

The purpose of the Sustainable Agriculture Research and Education Program (SARE) program is to encourage research designed to increase our knowledge concerning agricultural production systems that: (1) maintain and enhance the quality and productivity of the soil; (2) conserve soil, water, energy, natural resources, and fish and wildlife habitat; (3) maintain and enhance the quality of surface and ground water; (4) protect the health and safety of persons involved in the food and farm system; (5) promote the well being of animals; and (6) increase employment opportunities in agriculture (section 1619-1624 of the Food, Agriculture, Conservation and Trade Act of 1990 (FACTA), Public Law 101-624 (7 U.S.C. 5801). This request for applications (RFA) is for the regional SARE host institutions to apply for funds to carry out the regional SARE programs under the direction of the SARE Regional Administrative Councils (section 1622 of FACTA (7 U.S.C. 5812)), and for selected national projects. Most SARE competitive grants are made by the SARE regions as subawards. Typically, approximately 85% of the award to a SARE regional host institution is used for subawards. Individuals and organizations interested in applying for SARE competitive grants should NOT respond to this funding opportunity; rather they should apply to the appropriate SARE regional program. (See <http://www.nifa.usda.gov/fo/sustainableagricultureresearchandeducation.cfm> ).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. Funds shall not be used for the



construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

Funds may not be used for any purposes other than those approved in the grant award documents.

Section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended (7 U.S.C. 3319), prohibits indirect costs.

Funds shall not be used for tuition remission.

Funds shall not be used for fixed equipment. Fully discretionary.

**Applicant Eligibility:**

Land-grant colleges or universities, other universities, State agricultural experiment stations, State cooperative extension services, nonprofit organizations, and individuals with demonstrable expertise, or Federal or State governmental entities.

**Beneficiary Eligibility:**

Land-grant colleges or universities, other universities, State agricultural experiment stations, State cooperative extension services, nonprofit organizations, and individuals with demonstrable expertise, or Federal or State governmental entities.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is

approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Regional technical committees will review, rank and prioritize proposals received from public and private organizations and make recommendations for funding to the regional administrative councils. Regional administrative councils will approve proposals for funding and associated plans of work and submit them to USDA. Research and education subcommittee on sustainable agriculture will review plans of work and the Department will give final approval.

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Dates for specific deadlines are announced in the RFA each fiscal year.

Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e]. NIFA does not require matching or cost sharing support for this program.

Funds are awarded competitively. No formula grants are awarded under this authority.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to

ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$14,500,000; FY 11 est \$13,544,856; and FY 12 est \$14,040,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: TO BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: TO BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: TO BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Economic and Community Systems  
1400 Independence Avenue, SW, STOP 2215., Washington , District of Columbia 20024 Phone: (202) 720-5384 or (202) 720-7947

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.216 1890 INSTITUTION CAPACITY BUILDING GRANTS**

1890 Capacity

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Authority for this program is contained in section 1417 (b)(4) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended

(NARETPA) [7 U.S.C. 3152(b)(4)]  
(b)(4)), 7 U.S.C 3152(b)(4).

**OBJECTIVES:**

To build the research and teaching capacities of the 1890 land-grant institutions and Tuskegee University through cooperative programs with Federal and nonfederal entities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For teaching grants, funds may be used in the following targeted areas:

- (1) Curricula design and materials development;
- (2) faculty preparation and enhancement for teaching;
- (3) instruction delivery systems;
- (4) scientific instrumentation for teaching;
- (5) student experiential learning; and
- (6) student recruitment and retention.

For research grants, funds may be used to address high- priority research initiatives in areas where there is a present or anticipated need for increased capabilities and in which it is feasible for applicants to develop programs recognized for their excellence.

Research areas include, but are not limited to:

- (1) Studies and experimentation in food and agricultural sciences;
- (2) centralized research support systems; and
- (3) technology delivery systems. With prior approval, in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, or repairs are incidental to the major purpose for which a grant is issued.

Indirect Costs: Not to exceed 22% of Federal Funds awarded. Fully discretionary.

**Applicant Eligibility:**

The 1890 land-grant institutions and Tuskegee University. The 1890 land-Grant Institutions are: Alabama A&M University; Alcorn State University; University of Arkansas-Pine Bluff; Delaware State University; Florida A&M University; Fort Valley State University; Kentucky State University; Lincoln University (MO); Langston University; University of Maryland-Eastern Shore; North Carolina A&T State University; Prairie View A&M University; South Carolina State University; Southern University and A&M College; Tennessee State University; Virginia State University; and West Virginia State College.

**Beneficiary Eligibility:**

The seventeen 1890 land-grant institutions and Tuskegee University, non-1890 academic institutions, private industry, and the Department of Agriculture.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to

submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program.

NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with Section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general

public of each application. Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a one (1) to three (3) year period and may receive no-cost extensions of time as appropriate up to maximum of five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to:

Awards Management Division  
Office of Grants and Financial Management  
at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$36,123,000; FY 11 est \$17,908,730; and FY 12 est \$18,977,580 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program Accomplishments will be provided by program unit at a future date . Fiscal Year 2011: Program Accomplishments will be provided by program unit at a future date . Fiscal Year 2012: Program Accomplishments will be provided by program unit at a future date .

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, Multicultural Alliances Unit, 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855; 690-0402 Fax: (202) 720-3945.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.200 Grants for Agricultural Research, Special Research Grants; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

## **10.217 HIGHER EDUCATION CHALLENGE GRANTS**

Challenge or HEC Grants

### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

### **AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977, Section 1405, 7 U.S.C 3121,1417(b)(1); National Agricultural Research, Extension, and Teaching Policy Act of 1977, 7 U.S.C 3152(b)(1).

### **OBJECTIVES:**

To increase institutional capacities to respond to State, regional, national, or international educational needs by strengthening college and university teaching programs in the food and agricultural sciences.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Funds may be used only in targeted areas, e.g., curricula design and materials development, faculty preparation and enhancement for teaching, instruction delivery systems, scientific instrumentation for teaching, student experiential learning, and student recruitment and retention, as cited in the annual program announcement in the Federal Register. student tuition remission, room and board, fees or other financial assistance (scholarships, fellowships, etc.). Also, funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or to plan, repair, rehabilitate, acquire, or construct buildings or facilities (i.e., greenhouses, laboratories, or other structures). Promotional items (e.g., T-shirts and other give-a-ways) and food functions (e.g., cookouts or other social meal gatherings) are considered entertainment expenses, and are also not allowed under this grants program. Federal Cost Principles governing this grant program state that items not eligible for Federal funding may also not be used as an applicants contribution toward meeting matching requirements.

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

\*\*Special Note on Indirect Costs as in-kind matching contributions. Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

### **Applicant Eligibility:**

All U.S. public and private nonprofit colleges and universities offering a baccalaureate or first professional degree in at least one discipline or area of the food and agricultural sciences.

### **Beneficiary Eligibility:**

All U.S. colleges and universities having a demonstrable capacity to teach the food and agricultural sciences.

### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at (1-866) 705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual. Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at (888) 227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs. Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following: Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Formal proposals should be submitted to the Proposal Services Unit, NIFA, as outlined in the solicitation of applications. Application procedures are contained in the program regulations and required forms are contained in the Grant Application Kit. This program is subject to the regulatory provisions of USDA, 7 CFR Part 3015, et seq., and all successor regulations.

### **Award Procedure:**

Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 100%. A grant recipient is required to match the USDA funds awarded on a dollar-for-dollar basis from non-Federal sources. Matching funds are not required to come in any particular amount from any one source. However, all matching funds pledged in this application must be accompanied by documentation.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a one (1) to three (3) year period and may receive no-cost extensions as appropriate up to a maximum of five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in

accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$5,654,000; FY 11 est \$5,384,984; and FY 12 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

For the Higher Education Challenge Grants Program the estimated FY 2011 funding amount is \$5,384,984. In FY 2012, activities formerly supported under this program will be funded under AFRI. We do not know the amount of anticipated funding for the supported activities under AFRI.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program Accomplishments will be provided by program unit at a future date . Fiscal Year 2011: Program Accomplishments will be provided by program unit at a future date . Fiscal Year 2012: Program Accomplishments will be provided by program unit at a future date .

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR Part 3405, Higher Education Challenge Grants, Administrative Provisions, and Grant Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, 1400 Independence Avenue, SW., STOP 2251, Washington , District of Columbia 20024 Phone: (202) 401-2855 or 720-1973 Fax: (202) 720-2030.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

## **10.219 BIOTECHNOLOGY RISK ASSESSMENT RESEARCH**

Biotechnology Risk Assessment Research Grants Program (BRAG)

### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

### **AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002, Section 7210 , Public Law 101-171 , 7 U.S.C 5921; Food, Agriculture, Conservation, and Trade Act of 1990, Section 1668 , 7 U.S.C 7901.

### **OBJECTIVES:**

The purpose of the BRAG program is to assist Federal regulatory agencies in making science-based decisions about the effects of introducing into the environment genetically engineered organisms, including plants, microorganisms (including fungi, bacteria, and viruses), arthropods, fish, birds, mammals and other animals excluding humans. Investigations of effects on both managed and natural environments are relevant. The BRAG program accomplishes its purpose by providing Federal regulatory agencies with scientific information relevant to regulatory considerations derived from the risk assessment research that the program funds.

### **TYPES OF ASSISTANCE:**

Project Grants

### **USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved research objectives. Funds may not be used for purposes other than those approved in the grant award documents. The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in the Office of Management and Budget (OMB) Circular No. A-21, (codified at 2 CFR 220), some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project. Grant funds may not be used for endowment investing. Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded. \*\*Special Note on Indirect Costs as in-kind matching contributions. Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

### **Applicant Eligibility:**

Any public or private research or educational institution or organization.

### **Beneficiary Eligibility:**

Any public or private research or educational institution or organization.

### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is

distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at (1-866) 705-5711 to receive one free of charge.

You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual. Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at (888) 227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs. Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following: Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the

applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/>

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting

requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$3,810,820; FY 11 est \$2,220,878; and FY 12 est \$2,220,878 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Plant and Animal Systems, 1400 Independence Avenue, SW., STOP 2251, Washington , District of Columbia 20024 Phone: (202) 401-5877.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.207 Animal Health and Disease Research; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current



Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

#### **10.220 HIGHER EDUCATION MULTICULTURAL SCHOLARS PROGRAM**

Minority Scholars Program

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Legislative authority for this program is contained in section 1417 of the National Agricultural Research, Extension and Teaching Policy Act of 1977 (NARETPA) (99 Stat. 1548; 7 U.S.C. 3152). USDA/NIFA administers this federal assistance grant program to support food and agricultural sciences baccalaureate and Doctor of Veterinary Medicine (D.V.M.) degree training of the next generation of scientists, policy makers, and educators in the Food and Agricultural Sciences. USDA initiated the Higher Education Multicultural Scholars Program in FY 1994. This program, functioning collaboratively with eligible higher education institutions, is developing intellectual capital to secure the preeminence of U.S. food and agricultural systems., 7 U.S.C 3152.

#### **OBJECTIVES:**

To increase the ethnic and cultural diversity of the food and agricultural scientific and professional work force, and to advance the educational achievement of minority Americans, by providing grants to colleges and universities that have a demonstrable capacity to attract, educate, and graduate minority students for careers as agriscience and agribusiness professionals, and have unique capabilities for achieving the objective of full representation of minority groups in the fields of agriculture, natural resources, forestry, veterinary medicine, home economics, and disciplines closely allied to the food and agricultural system.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Competitive annual grants to selected U.S. institutions of higher education provide for a limited number of four-year undergraduate scholarships to support minority students pursuing baccalaureate degrees in the food and agricultural sciences. Institutions also receive an annual cost-of-education allowance for each scholar supported by a grant. The scholars are selected by the institutions and students must apply for the scholarships through procedures established by the individual institutions. No scholarship grants are made directly to students and students cannot apply directly to USDA for scholarships. Scholarship monies may be used for tuition, fees, room, board, and other educational expenses as announced in a Federal Register notice inviting applications for new awards. The institutional cost-of-education allowance may be used by the selected institutions to defray program expenses including, but not limited to, travel and publications costs incurred for student recruitment, and salaries of project personnel. Pursuant to 7 U.S.C. 3152(b), no indirect costs may be recovered under the MSP Program. Funds are restricted to the clearly designated uses found within this RFA.

For Award Category No. 2 Proposals, the budget sharing criteria are: (i) no single institution may receive more than forty percent (40%) and (ii) any institution may not receive less than fifteen percent (15%) of the requested funding for the baccalaureate and/or D.V.M. degree level training project (see Part II, C).

When grant is for SEL that will be used by To-Be-Recruited Scholars: The SEL funds for To-Be-Recruited Scholars will be withheld until the Project Director has submitted, to the MSP Grants Program Office, all of the required documentation for eligibility of the MSP/SEL Scholar(s) for the SEL as well as the required specifics outlined in the RFA for the SEL. The information must be submitted for approval, no less than 150 days prior to the use of the SEL funds (see Part IV, B., 3, b, Section 1).

Indirect cost is not allowable. Fully discretionary.

#### **Applicant Eligibility:**

Proposals may be submitted by all U.S. colleges and universities with baccalaureate or higher degree programs in agriculture, natural resources, forestry, veterinary medicine, home economics, and disciplines closely allied to the food and agricultural system, including land-grant colleges and universities, colleges and universities having significant minority enrollments and a demonstrable capacity to carry out the teaching of food and agricultural sciences, and other colleges and universities having a demonstrable capacity to carry out the teaching of food and agricultural sciences.

#### **Beneficiary Eligibility:**

Funds awarded under this program are used to support full-time undergraduate students pursuing a baccalaureate degree in an area of the food and agricultural sciences or a closely allied field. Persons eligible to receive scholarships under this program are students who either are enrolled or have been accepted as full-time baccalaureate or DVM degree candidates, and who are members of groups traditionally under-represented in food and agricultural scientific and professional fields.

#### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following

Grants.gov link for more information:

[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/>

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a five (5) year period, however, scholars are supported

for four (4) years during that five (5) year period. One (1) year of the grant period is available for student recruitment and for short interruptions of a scholar's educational advancement due to personal circumstances or emergencies. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)

Office of Grants and Financial Management (OGFM)

National Institute of Food and Agriculture (NIFA)

U.S. Department of Agriculture (USDA)

STOP 2271

1400 Independence Avenue, SW

Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$2,230,000; FY 11 est \$1,174,977; and FY 12 est \$1,177,107 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

Funding for the Multicultural Scholars program is no-year money. The FY 2010 amount includes carryover funds.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual

program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, Multicultural Scholars Program, 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855 or 720-1973 Fax: (202) 720-1973.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.221 TRIBAL COLLEGES EDUCATION EQUITY GRANTS**

Higher Education Native American Formula and/or Higher Education Native American Institutions

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Authority for the Tribal Colleges Education Equity Grants (TCEG) program is contained in the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note) as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7601 note). Appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements., 7 U.S.C 301 note.

**OBJECTIVES:**

This grants program is designed to promote and strengthen higher education instruction in the food and agricultural sciences at the 33 Tribal Colleges designated as 1994 Land-Grant Institutions in the Equity in Educational Land-Grant Status Act of 1994, as amended. Plans of Work should focus on undergraduate and/or graduate studies in the food and agricultural sciences in one or more of the following areas: Curricula Design and Materials Development, Faculty Development and Preparation for Teaching, Instruction Delivery Systems, Student Experiential Learning, Equipment and Instrumentation for Teaching, or Student Recruitment and Retention.

The purpose of the TCEG Program is to provide funding to enhance educational opportunities for Native Americans in the food and agricultural sciences. The

TCEG program is intended to strengthen institutional capacity to deliver relevant formal education opportunities. The TCEG is intended to be a component of the applicant 1994 institutions land grant roadmap or strategic planning process. To the extent practicable, priorities should reflect the following national critical needs areas:

1. Sustainable energy
2. Global food security and hunger
3. Climate change
4. Nutrition and preventing childhood obesity
5. Food safety
6. Sustainable rural economies

Awards are made upon approval of each institutions application for a grant that relate to an institutions long-range goals. As indicated in Part 1, C. of the RFA, an application may address one (1) or more of the following program areas:

Curricula Design and Materials Development  
Faculty Development and Preparation for Teaching  
Instruction Delivery Systems  
Student Experiential Learning  
Equipment and Instrumentation for Teaching  
Student Recruitment and Retention

Recognizing that strengthening instructional programs is a long-term ongoing process, the TCEG program is interested in funding subsequent phases of previously funded projects in order to strengthen institutional capacity, and institutions are encouraged to build on a theme over several grant awards to reach institutional long-range goals.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Tribal College Equity Program (TCEG) provides funds to enhance educational opportunities for Native Americans by strengthening instructional programs in the food and agricultural sciences at the thirty four (34) tribal colleges designated as the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions).

Under this authority, appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements. Funding Restrictions:

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award.

Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

Indirect costs for the Equity program are not required and a 1994 institution may take less than the allowable amount or forego indirect costs altogether - adjust budgets accordingly.

Neither research nor extension projects are supported under the TCEG Program.

The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project.

Grant funds may not be used for endowment investing.

**Special Notices:**

1. NIFA will withhold all funds for a TCEG award to an applicant requesting indirect costs if the applicant has not negotiated an indirect cost rate with its cognizant federal agency.
2. If a grantee is in the process of negotiating an indirect cost rate with its federal agency, NIFA will withhold all funds from that grantee until the indirect cost rate has been established.
3. If an institutions indirect cost rate has expired or will expire in the near future, a clear statement on renegotiation efforts must be included in the application. (See Part IV, B.5. of the RFA - Budget Justification.)
4. It is incumbent on all applicants to have a current indirect cost rate or begin negotiations to establish an indirect cost rate prior to the TCEG submission deadline. Because it may take several months to obtain an indirect cost rate, applicants needing an indirect cost rate are encouraged to start work on establishing these rates well in advance of submitting a TCEG application.
5. In lieu of requesting indirect costs (if the applicant does not have a negotiated rate), an applicant may prepare a budget in which all charges in the budget are included as direct costs.

NIFA does not require matching support for this program. Fully discretionary.

**Applicant Eligibility:**

Applications may be submitted by any of the Tribal colleges and universities designated as 1994 Land-Grant Institutions under the Educational Land-Grant Status Act of 1994, as amended. This Act, as amended in Section 533(a), requires that each 1994 Land-Grant Institution be accredited or making progress towards accreditation and be recognized as a legal entity. If accreditation is being sought, a college must demonstrate its progress towards accreditation by a letter from a nationally recognized accreditation agency affirming receipt of application for an accreditation site visit or other such documentation. An applicants failure to meet an eligibility criterion by the time of an application deadline will result in NIFA returning the application without review or, even though an application may be reviewed, will preclude NIFA from making an award.

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of project goals and objectives.

**Beneficiary Eligibility:**

The 1994 Institutions--Bay Mills Community College, Black feet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dull knife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Orielles Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stone child Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crown point Institute of Technology, Haskell Indian Nations University, Leech Lake Tribal College, College of the Menominee Nation; and Little Priest Tribal College.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization

registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All Requests for Applications (RFAs) are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications were subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613) by a panel of qualified scientists and other appropriate persons who were specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications were judged most meritorious under the procedures set forth in the RFA. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Reviewers were selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or

forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;

(d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;

(e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and

(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the RFA each fiscal year.

Information is also available via our website and may be obtained via the Grants.gov website.

Respective links are provided below:

<http://www.nifa.usda.gov/>

<http://www.grants.gov>.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. There is no statutory formula for this program. However, appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements. Equity Funds for ineligible 1994 institutions or of those who fail to apply by the application submission date will be redistributed equally among the remaining eligible 1994 institutions.

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Under this RFA, only new applications for four-year continuation awards may be submitted to the TCEG Program. These are project applications not previously submitted to TCEG. All new applications will be reviewed by a review panel using the process and criteria described in Part V of the RFA Application Review Requirements. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Award Terms and Conditions:

Awards are accompanied by provisions including Terms and Conditions for the funded project. Grantees must stay informed and guided by the Terms and Conditions of the award regarding required reports, program/project data collection, program income, release of information, sharing of findings, data, and other project products, patents, inventions, copyrights, etc.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Annual Performance Report:**

Annual performance reports are due 30 days after the anniversary date of the award and should be submitted to Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of the reporting requirements are included in the award terms and conditions.1) a comparison of actual accomplishments with the goals established for the reporting period;

2) if established goals were not met, the reasons

3) documentation of outputs; i.e., significant activities, including dissemination activities, events, services or products that contribute toward achieving the goals and objectives of the project

4) outcomes/impacts; i.e., a change in knowledge, actions or conditions;

5) any other indication of increased capacity for carrying out the land grant mission

**Final Technical Report:**

A final technical report must be submitted within 90 days to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of the reporting requirements are included in the award terms and conditions. Generally, the final technical report should be a summary of the completed project, including:

1. A review of project objectives and accomplishments;

2. A description of outcomes resulting from the project and activities undertaken to disseminate these outcomes;

3. An explanation of partnerships and collaborative ventures that resulted from the project, including future initiatives that are planned as a result of the project;

4. A description of the projects impact on the PD(s), the institution(s) involved, and the community;

5. Any pertinent data on project personnel and beneficiaries. The final technical report also must contain any other information specified in the terms and conditions of the award; and,

Quarterly Reports of Federal Cash Transactions (SF-272) were required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and were submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. NIFA uses SF-425, Federal Financial Report to monitor cash. Award Terms and Conditions:

Awards are accompanied by provisions including Terms and Conditions for the funded project. Grantees must stay informed and guided by the Terms and Conditions of the award regarding required reports, program/project data collection, program income, release of information, sharing of findings, data, and other project products, patents, inventions, copyrights, etc.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are

included in the award terms and conditions. Annual Performance Report:

Annual performance reports are due 30 days after the anniversary date of the award and should be submitted to the NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Annual performance reports must include the following information:

- 1) a comparison of actual accomplishments with the goals established for the reporting period;
- 2) if established goals were not met, the reasons
- 3) documentation of outputs; i.e., significant activities, including dissemination activities, events, services or products that contribute toward achieving the goals and objectives of the project
- 4) outcomes/impacts; i.e., a change in knowledge, actions or conditions;
- 5) any other indication of increased capacity for carrying out the land grant mission

Final Technical Report:

A final technical report must be submitted within 90 days after the expiration date of the project NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

The expiration date is specified in the award documents and modifications thereto, if any. Generally, the final technical report should be a summary of the completed project, including:

1. A review of project objectives and accomplishments;
2. A description of outcomes resulting from the project and activities undertaken to disseminate these outcomes;
3. An explanation of partnerships and collaborative ventures that resulted from the project, including future initiatives that are planned as a result of the project;
4. A description of the projects impact on the PD(s), the institution(s) involved, and the community;
5. Any pertinent data on project personnel and beneficiaries. The final technical report also must contain any other information specified in the terms and conditions of the award; and,

Quarterly Reports of Federal Cash Transactions (SF-272) were required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and were submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986

Are cash reports required?

&#8195;. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal

Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Award Terms and Conditions:

Awards are accompanied by provisions including Terms and Conditions for the funded project. Grantees must stay informed and guided by the Terms and Conditions of the award regarding required reports, program/project data collection, program income, release of information, sharing of findings, data, and other project products, patents, inventions, copyrights, etc.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Annual Performance Report:

Annual performance reports are due 30 days after the anniversary date of the award must include the following information:

- 1) a comparison of actual accomplishments with the goals established for the reporting period;
- 2) if established goals were not met, the reasons
- 3) documentation of outputs; i.e., significant activities, including dissemination activities, events, services or products that contribute toward achieving the goals and objectives of the project
- 4) outcomes/impacts; i.e., a change in knowledge, actions or conditions;
- 5) any other indication of increased capacity for carrying out the land grant mission

Final Technical Report:

A final technical report must be submitted 90 days after the expiration date of the project. The expiration date is specified in the award documents and modifications thereto, if any. Generally, the final technical report should be a summary of the completed project, including:

1. A review of project objectives and accomplishments;
2. A description of outcomes resulting from the project and activities undertaken to disseminate these outcomes;
3. An explanation of partnerships and collaborative ventures that resulted from the project, including future initiatives that are planned as a result of the project;
4. A description of the projects impact on the PD(s), the institution(s) involved, and the community;
5. Any pertinent data on project personnel and beneficiaries. The final technical report also must contain any other information specified in the terms and conditions of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53. (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are

subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$3,342,000; FY 11 est \$3,335,316; and FY 12 est \$3,676,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

Appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements. Equity Funds for ineligible 1994 institutions or of those who fail to apply by the application submission date will be redistributed equally among the remaining eligible 1994 institutions.

Under this RFA, only new applications for four-year continuation awards may be submitted to the TCEG Program. These are project applications not previously submitted to TCEG. All new applications will be reviewed by a review panel using the process and criteria described in Part V of the RFA Application Review Requirements.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-Formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Science and Education Resources Development, 1400 Independence Avenue, SW, STOP 2250, Washington, District of Columbia 20250-2250 Phone: (202) 401-2855 or (202) 690-0402 Fax: (202) 720-2030.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.222 Tribal Colleges Endowment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.222 TRIBAL COLLEGES ENDOWMENT PROGRAM**

Tribal Colleges Endowment Program  
aka 1994 Institutions Endowment Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Title V, Part C of the Improving Americas Schools Act of 1994, Public law 103-382 (October 20, 1994), 7 U.S.C. 301 note, as amended; Public Law 105-185, cited as Equity in Educational Land-Grant Status Act of 1994, (hereafter referred to as the Act) provides that certain tribal colleges, designated as 1994 Land-Grant Institutions, (hereafter referred to as LGIs) receive various benefits., 7 U.S.C 301 note.

**OBJECTIVES:**

To enhance educational opportunities at the thirty-four (34) Land Grant Institutions by strengthening their teaching programs in the food and agricultural sciences in targeted need areas.

The legislation designates that the interest from the endowment funds benefit the 1994 land-Grant institutions by supporting teaching programs in the food and agricultural sciences in the target areas of:

- 1) Curricula design and instructional materials
- 2) Faculty development and preparation for teaching
- 3) Instruction delivery systems
- 4) Student experiential learning
- 5) Equipment & instrumentation for teaching
- 6) Student recruitment and retention

Additionally, endowment funds released on or after October 1, 2001, also may be used for facility renovation, repair, construction and maintenance to support teaching programs in the food and agriculture sciences in addition to the above six (6) areas, to support the land-grant mission.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Tribal Colleges Endowment Fund benefits the 1994 land-grant institutions by promoting capacity development in teaching programs in the food and agricultural sciences. The Tribal Colleges Endowment Fund, as a teaching capacity development program, is a companion program of the Tribal Colleges Equity Grants Program. It differs primarily from the Equity Grants Program in two (2) respects, namely:

Endowment funds may be escrowed indefinitely and used for major obligations relating to the allowable activities.

As of October 1, 2001, Endowment funds also may be used for facility renovation, repair, construction, and maintenance in support of and in addition to the six (6) targeted areas of support listed below.

Interest distribution from an endowed corpus based on a formula specific to this legislation.

The legislation designates that the interest from the endowment funds benefit the 1994 land-Grant institutions by supporting teaching programs in the food and agricultural sciences in the target areas of:

- 1) Curricula design and instructional materials
- 2) Faculty development and preparation for teaching
- 3) Instruction delivery systems
- 4) Student experiential learning
- 5) Equipment & instrumentation for teaching
- 6) Student recruitment and retention

Additionally, endowment funds released on or after October 1, 2001, also may be used for facility renovation, repair, construction and maintenance to support teaching programs in the food and agriculture sciences in addition to the above six (6) areas, to support the land-grant mission. Interest distribution from an endowed corpus based on a formula specific to this legislation.

Distribution funds received prior to October, 2001 may not be used for new construction.

Institutions that intend to use their Endowment Funds for new construction should submit their plans to USDA, NIFA, National Program Leader, Multicultural Alliances for approval. Institutions that list plans for new construction in their Planning Document will be sent specific guidelines.

Section 7402 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246), amends Section 534(a)(3) of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note: Public Law 103-382) to require that all eligible recipients of the 1994 Institutions Endowment Fund meet certain accreditation requirements in order to receive interest distributions from that fund. Those LGIs that do not meet these requirements will have their share of funds redistributed to those 1994 institutions which meet accreditation requirements.

**Applicant Eligibility:**

Eligibility is defined by legislation. An institution must be an accredited 1994 Land Grant Institution with current accreditation from a recognized accreditation organization.

Section 7402 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246), amends Section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note: Public Law 103-382) by adding at the end the following: (34) Ilisagvik College.

The complete listing of 1994 Land-Grant Institutions (LGIs) is as follows:

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Chief Dull Knife College, College of the Menominee Nation, D-Q University, Dine College, Fond du Lac Tribal and Community College, Fort Belknap College, Fort Berthold Community College, Fort Peck Community College, Haskell Indian Nations University, Ilisagvik College, Institute of American Indian Arts, Leech Lake Tribal College, Little Big Horn College, Little Priest Tribal College, Navajo Technical College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Saginaw Chippewa Tribal College, Salish Kootenai College, Si Tanka University, Sinte Gleska University, Sisseton Wahpeton College, Sitting Bull College, Southwestern Indian Polytechnic Institute, Stone Child College, Tohono Oodham Community College, Turtle Mountain Community College, United Tribes Technical College, Lac Courte Oreilles Ojibwa Community College, and White Earth Tribal and Community College.

**Beneficiary Eligibility:**

Eligibility is defined by legislation. An institution must be an accredited 1994 Land Grant Institution with current accreditation from a recognized accreditation organization.

Section 7402 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246), amends Section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note: Public Law 103-382) by adding at the end the following: (34) Ilisagvik College.

The complete listing of 1994 Land-Grant Institutions (LGIs) is as follows:

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Chief Dull Knife College, College of the Menominee Nation, D-Q University, Dine College, Fond du Lac Tribal and Community College, Fort Belknap College, Fort Berthold Community College, Fort Peck Community College, Haskell Indian Nations University, Ilisagvik College, Institute of American Indian Arts, Leech Lake Tribal College, Little Big Horn College, Little Priest Tribal College, Navajo Technical College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Saginaw Chippewa Tribal College, Salish Kootenai College, Si Tanka University, Sinte Gleska University, Sisseton Wahpeton College, Sitting Bull College, Southwestern Indian Polytechnic Institute, Stone Child College, Tohono Oodham Community College, Turtle Mountain Community College, United Tribes Technical College, Lac Courte Oreilles Ojibwa Community College, and White Earth Tribal and Community College.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special

Dun & Bradstreet hotline at 1-866-705-5711 to receive one (1) free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. There is no application process. Please refer to Section :093 for specific details regarding the Award Procedure.

**Award Procedure:**

On the termination of each fiscal year, the Secretary of Agriculture withdraws the earned interest from the Endowment fund and distributes it to the 1994s on a pro rata basis. The pro rata basis formula is as follows: 60 percent is based on the Indian student count for each institution; 40 percent is distributed in equal shares.

Interest distributions are made on an annual basis.

The interest earned from the endowment corpus is distributed to each 1994 Institution based on a 60-40 percentage formula:

60 percent (60%) is based on the number of American Indian students enrolled (based on the annual Student Indian Count as defined in Section 390(3) of the Carl D. Perkins Vocational and Applied Technology Education Act) will be furnished to the agency by the American Indian Higher Education Consortium - AIHEC) and

40 percent (40%) on an equal base formula.

The computation is made by NIFA and a letter of notification is sent to each 1994 institution President.

The Endowment Interest distribution is available to the 1994 Institutions to be drawn down at their discretion through the electronic payment systems of either the Department of Health and Human Services (PMS) or through the Treasury ASAP system.

Upon notification of their annual distribution, 1994s are required to submit a Planning Document (subject to approval) on how their Endowment funds will be spent.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.



**Renewals:**

Not applicable, each year of funding is awarded as a new grant.

**Formula and Matching Requirements:**

Statutory Formula: Title Equity in Educational Land-Grant Status Act of 1994, Public Law 103-382. Title V, Part C of the Improving Americas Schools Act of 1994, Public Law 103-382 (October 20, 1994), 7 U.S.C. 301 note, as amended; Public Law 105-185, cited as Equity in Educational Land-Grant Status Act of 1994, (hereafter referred to as the Act) provides that certain tribal colleges, designated as 1994 Land-Grant Institutions, (hereafter referred to as LGIs) receive various benefits.

This program has no matching requirements. NIFA does not require matching or cost sharing support for this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Interest distributions are made on an annual basis.

The Endowment Interest distribution is no-year funds and can be used or held indefinitely. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

As part of its oversight and accountability responsibilities, NIFA requires that the following documents be submitted by September 30 of each year or within 90 days after having received the interest distribution notification:

Planning Document College intent to utilize the Endowment Funds (Institutions are encouraged to engage in long-range planning and the sharing of ideas within the Tribal College Community.)

Annual Technical/Progress Report How funds were spent over the past year and any impact of those funds.

Annual SF- 425, Federal Financial Report, per Agency instructions.

**SPECIAL NOTE:**

Specific and detailed guidance regarding the format and content of the Planning Document and Annual Technical/Progress Report accompany the annual Interest Distribution letters which are sent to the Presidents of each 1994 Land-Grant Institution.

Further, the reports are required to keep Congress informed of progress and accomplishments regarding the utilization of the Endowment funds. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

As part of its oversight and accountability responsibilities, NIFA requires that the following documents be submitted by September 30 of each year or within 90 days after having received the interest distribution notification:

Planning Document College intent to utilize the Endowment Funds (Institutions are encouraged to engage in long-range planning and the sharing of ideas within the Tribal College Community.)

Annual Technical/Progress Report How funds were spent over the past year and any impact of those funds.

Annual SF- 425, Federal Financial Report, per Agency instructions.

**SPECIAL NOTE:**

Specific and detailed guidance regarding the format and content of the Planning Document and Annual Technical/Progress Report accompany the annual Interest Distribution letters which are sent to the Presidents of each 1994 Land-Grant Institution.

Further, the reports are required to keep Congress informed of progress and accomplishments regarding the utilization of the Endowment funds. Institutions are required to submit the SF-425, Federal Financial Report, per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Grants Section (F/S)  
Financial Operations Branch (FOB)  
Office of Extramural Programs (OEP)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2298  
1400 Independence Avenue, SW  
Washington, DC 20250-2298

Telephone: (202) 401-6520

Fax: (202) 690-3002

E-mail: formulagrantsquestions@nifa.usda.gov. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

As part of its oversight and accountability responsibilities, NIFA requires that the following documents be submitted by September 30 of each year or within 90 days after having received the interest distribution notification:

Planning Document College intent to utilize the Endowment Funds (Institutions are encouraged to engage in long-range planning and the sharing of ideas within the Tribal College Community.)

Annual Technical/Progress Report How funds were spent over the past year and any impact of those funds.

Annual SF- 425, Federal Financial Report, per Agency instructions.

**SPECIAL NOTE:**

Specific and detailed guidance regarding the format and content of the Planning Document and Annual Technical/Progress Report accompany the annual Interest Distribution letters which are sent to the Presidents of each 1994 Land-Grant Institution.

Further, the reports are required to keep Congress informed of progress and accomplishments regarding the utilization of the Endowment funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to

ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$4,267,000; FY 11 est \$4,134,719; and FY 12 est \$4,582,080 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

The Endowment Interest distribution increases each year in proportion to the Endowment Corpus and the interest earnings for each year; as well as the number of American Indians enrolled at each institution. The highest amount awarded was in 2009 was \$299,509 and the lowest amount was \$57,866. Three Institutions received amounts over \$200,000; 11 Institutions received amounts over \$100,000 and 18 Institutions received amounts under \$99,000.

NOTE: For Fiscal Year (FY) 2009, two (2) LGIs did not meet eligibility criteria for interest distribution.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Pertinent data will be submitted by Program at a future date.  
Fiscal Year 2011: Pertinent data will be submitted by Program at a future date.  
Fiscal Year 2012: Pertinent data will be submitted by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 301 note; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Science and Education Resources Development (SERD), Multicultural Alliances, 1400 Independence Avenue, SW, STOP 2250, Washington , District of Columbia 20250-2250 Phone: (202) 690-0402 and 401-2855 Fax: (202) 720-3398.

**Website Address:**

[http://www.nifa.usda.gov/nea/education/in\\_focus/multicultural\\_if\\_1994\\_endowment.html](http://www.nifa.usda.gov/nea/education/in_focus/multicultural_if_1994_endowment.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.223 HISPANIC SERVING INSTITUTIONS EDUCATION GRANTS**

HSI Grants

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

This program is administered under the provisions of section 1455 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (NARETPA) (7 U.S.C. 3241) pursuant to section 815 of Public Law 104-127 and Public Law

110-246. Section 1455 of NARETPA, as reauthorized by section 7128 of Public Law 110-246, provides the Secretary of Agriculture with the authority to make competitive grants (or grants without regard to any requirement for competition) to Hispanic-Serving Institutions for the purpose of promoting and strengthening the ability of Hispanic-Serving Institutions to carry out education, applied research, and related community development programs., 7 U.S.C 3241.

**OBJECTIVES:**

The objective of this program is to promote and strengthen the ability of Hispanic-Serving Institutions to carry out higher education programs in the food and agricultural sciences. These programs aim to attract outstanding students and produce graduates capable of enhancing the Nation's food and agricultural scientific and professional work force. Grants under this program will be awarded to: (1) support the activities of consortia of Hispanic-Serving Institutions to enhance educational equity for underrepresented students; (2) strengthen institutional educational capacities including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified State, regional, national, or international educational needs in the food and agricultural sciences; (3) attract and support undergraduate and graduate students from underrepresented groups in order to prepare them for careers related to the food, agricultural, and natural resource systems of the United States, beginning with the mentoring of students at the high school level and continuing with the provision of financial support for students through their attainment of a doctoral degree; and (4) facilitate cooperative initiatives between two or more Hispanic-Serving Institutions, or between Hispanic-Serving Institutions and units of State government or the private sector, to maximize the development and use of resources, such as faculty, facilities, and equipment, to improve food and agricultural sciences teaching programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used to support one or more of the following target areas or additional target areas as identified in the annual program announcement: Curricula design; materials development; library resources; faculty preparation and enhancement for teaching; instruction delivery systems; scientific instrumentation for teaching; student experiential learning; and student recruitment and retention. 1. Award Limitations  
For FY 2009, a lead institution may receive up to two awards. Institutions could serve as collaborators in many applications and awards.

2. Funding Limitations

Please see Part II, C.3., Award Size, for maximum budget requests for regular or collaboration project applications. For FY 2009, there is no limitation on the amount of funding a single awardee may receive either as a lead institution, a cooperating institution, a subawardee or any combination thereof. The lead institution on a Collaboration Project must retain at least 25 percent and no more than 75 percent of the funds awarded.

3. Use of Funds for Facilities

Under the Hispanic-Serving Institutions Education Grants Program, the use of grant funds to plan, acquire, or construct a building or facility is not allowed. With prior approval, in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are incidental to the major purpose for which a grant is issued.

4. Indirect Costs

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Hispanic serving institutions are eligible to receive funds under this program. "Hispanic serving institutions" means an institution of higher education which, at the time of application, has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students, and which (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such certificate; (2) is a public or other nonprofit institutions accredited by a nationally recognized accrediting body; and (3) is legally authorized to provide a program of education beyond the secondary level for which a 2-year associate, baccalaureate, or higher degree is awarded. Applications may be submitted by, and awards may only be made to, public or other non-profit Hispanic-Serving Institutions as defined in the definitions section of this solicitation. For the purposes of this program, the individual branches of a State university system or public system of higher education that are separately accredited as degree granting institutions are treated as separate institutions eligible for awards. Accreditation must be by an agency or association recognized by the Secretary, U.S. Department of Education. Institutions also must be legally authorized to offer at least a two-year program of study creditable toward an associate's or bachelor's degree. Separate branches or campuses of a college or university that are not individually accredited as degree granting institutions are not treated as separate institutions. To be eligible for competitive consideration for an award under this program, a Hispanic-Serving Institution must at the time of application: (1) certify that it has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students; and (2) provide assurances that not less than 50 percent of the institution's Hispanic students are low-income individuals as defined in the definitions section of this solicitation.

**Beneficiary Eligibility:**

Hispanic serving institutions, as identified above, are eligible to receive funds under this program.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of

Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable

age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$9,237,000; FY 11 est \$8,815,785; and FY 12 est \$9,731,858 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, Multicultural Alliances , 1400 Independence Avenue, SW., STOP 2251, Washington , District of Columbia 20024 Phone: (202) 401-2855 or 720-2082 Fax: (202) 720-4924.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.217 Higher Education Challenge Grants; 10.220 Higher Education Multicultural Scholars Program; 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

## **10.225 COMMUNITY FOOD PROJECTS**

Community Food Project Program

### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

### **AUTHORIZATION:**

The Community Food Projects Competitive Grants Program (CFPCGP) legislative authority is located in Section 25 of the Food Stamp Act of 1977 (7 U.S.C. 2034), as amended by the Food and Nutrition Act of 2008 and Section 4402 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Pub. L. 110-246), which authorizes a program of federal grants to establish and carry out Community Food Projects., 7 U.S.C 2034.

### **OBJECTIVES:**

To support the development of community food projects designed to meet the food needs of low-income people; increase the self-reliance of communities in providing for their own needs; and promote comprehensive responses to local food, farm, and nutrition issues.

### **TYPES OF ASSISTANCE:**

Project Grants

### **USES AND USE RESTRICTIONS:**

Community food projects are intended to take a comprehensive approach to developing long-term solutions that help to ensure food security in communities by linking the food sector to community development, economic opportunity, and environmental enhancement. Comprehensive solutions may include elements such as: (1) Improved access to high quality, affordable food among low-income households; (2) support for local food systems, from urban gardening to local farms that provide high quality fresh food, ideally with minimal adverse environmental impact; and (3) expanded economic opportunities for community residents through local business or other economic development, improved employment opportunities, job training, youth apprenticeship, school-to-work transition, and the like. Any solution proposed must tie into community food needs. Successful applicants must provide matching funds, either in cash or in-kind amounting to at least 50 percent of the total cost of the project during the term of the grant award. 1. Construction and Renovation:

With prior approval, and in accordance with applicable Federal cost principles, grant funds may be used to plan, acquire, or construct a building or facility, or to acquire land; and for improvements, alterations, renovations, or repairs to land or buildings, necessary to carry out a funded project under this program. However, requests to use grant funds for such purposes must demonstrate that such expenditures are essential to achieving the major purpose for which the grant request is made.

#### 2. Indirect Costs:

Full Negotiated Rate.

### **Applicant Eligibility:**

Proposals may be submitted by private nonprofit entities. Because projects must promote comprehensive responses to local food, farm, and nutrition issues, applicants are encouraged to seek and create partnership among public, private nonprofit and private for-profit organizations or firms. To be further eligible for a grant, a private nonprofit applicant must meet three mandatory requirements: 1. Have experience in the area of: (a) community food work, particularly concerning small and medium-sized farms, including the provision of food to people in low-income communities and the development of new markets in low-income communities for agricultural producers; or (b) job training and business development activities in low-income communities; 2. demonstrate competency to implement a project, provide fiscal accountability and oversight, collect data, and prepare reports and other appropriate documentation; and 3. demonstrate a willingness to share information with researchers, practitioners, and other interested parties.

### **Beneficiary Eligibility:**

Low income people.

### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:

[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

OMB Circular No. A-122 applies to this program.

### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized

Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:  
Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 100%. Successful CFP applicants and PP award applicants MUST provide matching on a dollar-for-dollar basis (100%) for all federal funds awarded.

Matching funds are not required for T & TA grants.

The legislation establishing the FSLC requires that as a condition to receiving a grant from NIFA, the NGO must contribute in-kind resources toward implementing the grant. To comply with this provision, NIFA has determined that applicants must provide at least 25 percent of total project resources on an in-kind basis during the term of the grant award. The Federal share of FSLC costs can be no more than 75 percent of total project costs.

CFP, PP and FSCL grantees may provide matching funds through cash and/or in-kind contributions, including third-party in-kind contributions fairly evaluated, including facilities. The non-federal share of the funding may come from state government, local government, other non-profit entities, or private sources. Examples of qualifying matching contributions may include direct costs such as: rent for office space used exclusively for the funded project; duplication or postage costs; and staff time from an entity other than the applicant for job training or nutrition education.

**\*\*SPECIAL NOTES:**

(1) Use of Indirect Costs as In-Kind Matching Contributions. Indirect costs may

be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent.

**(2) MATCHING FUNDS ARE NOT REQUIRED FOR TRAINING AND TECHNICAL ASSISTANCE (T & TA) GRANTS.**

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other

Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Project Grants) FY 10 \$4,800,000; FY 11 est \$4,800,000; and FY 12 est \$4,800,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

The FY 09 number is \$10 million or \$9.6 million after the Federal Administration set aside. No funds were provided in FY 08 due to an issue with the dates in the authorizing legislation. However, the FY 08 funds were made available in FY 09 along with the FY 09 funds.

The FY 10 number of \$4.8 is correct. This is the amount available after the Federal Administration set aside is assessed.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Competitive Programs, 1400 Independence Avenue, SW., STOP 2240, Washington, District of Columbia 20024 Phone: (202) 401-1761 or 205-0241 Fax: (202) 401-6488.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.572 WIC Farmers' Market Nutrition Program (FMNP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

1. The applicability and merit of the proposed project in regard to its ability to: Meet the food needs of low-income people in the proposed community for providing for its own food needs; and promote comprehensive responses to local food, farm, and nutrition needs;

2. the capacity to become self-sustaining once Federal funding ends; and
3. organizational and staff qualifications and experience; and 4. additional criteria will be considered relative to the extent the proposed project contributes to:
- (a) developing linkages between two or more sectors of the food system;
  - (b) supporting the development of entrepreneurial projects;
  - (c) developing innovative linkages between the for-profit and nonprofit food sectors;
  - (d) encouraging long-term planning activities and multi-system, interagency approaches; and (e) incorporating linkages to one or more ongoing USDA themes or initiatives referred to in the program guidelines and/or annual proposal solicitation.

**10.226 SECONDARY AND TWO-YEAR POSTSECONDARY AGRICULTURE EDUCATION CHALLENGE GRANTS**

SPECA Grants Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, (7 U.S.C. 3121) designates the U.S. Department of Agriculture (USDA) as the lead Federal agency for agriculture research, extension and teaching in the food and agricultural sciences. Section 7109 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) amends the authority for this program contained in section 1417(j) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3152(j)). In accordance with the statutory authority, subject to the availability of funds, the Secretary of Agriculture (USDA), who has delegated the authority to the Director of the National Institute of Food and Agriculture (NIFA), will award grants to: (a) promote and strengthen secondary and 2-year postsecondary agriscience and agribusiness education, and Agriculture in the K-12 Classroom, in order to help ensure the existence in the United States of a qualified workforce to serve the food and agricultural sciences system; and (b) promote complementary and synergistic linkages among secondary, 2-year postsecondary, and higher education programs in the food and agricultural sciences in order to attain excellence in education and to encourage more young Americans to pursue and complete a baccalaureate or higher degree in the food and agricultural sciences., 7 U.S.C 3121; Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, (7 U.S.C. 3121) designates the U.S. Department of Agriculture (USDA) as the lead Federal agency for agriculture research, extension and teaching in the food and agricultural sciences. Section 7109 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) amends the authority for this program contained in section 1417(j) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3152(j)), 7 U.S.C 3152 (j).

**OBJECTIVES:**

The purpose of the Secondary Education, Two-Year Postsecondary Education, and Agriculture in the K-12 Classroom Challenge (SPECA) Grants Program is to: enhance curricula in agricultural education; increase faculty teaching competencies; interest young people in pursuing higher education in order to prepare for scientific and professional careers in the food and agricultural sciences; promote the incorporation of agriscience and agribusiness subject matter into other instructional programs, particularly classes in science, business, and consumer education; facilitate joint initiatives by the grant recipient with other secondary schools, institutions of higher education that award an associate's degree, institutions of higher education that award a bachelor's degree, and nonprofit organizations supporting agriscience and agribusiness education, to maximize the development and use of resources, such as faculty, facilities, and equipment, to improve agriscience and agribusiness education; support other initiatives designed to meet local, State, regional, or national needs related to promoting excellence in agriscience and agribusiness education; and support current Agriculture in the Classroom programs for grades K-12.

**TYPES OF ASSISTANCE:**

Project Grants

## **USES AND USE RESTRICTIONS:**

Funds may be used only in targeted areas, e.g., curricula design and materials development, promotion of teaching competencies, promotion of agriscience and agribusiness career information, instruction delivery systems, student experiential learning, and educational activities that increase the diversity of students pursuing degrees in agriscience and agribusiness. CSREES has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Tuition remission not allowed.

Section 7132 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246), amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

### **Applicant Eligibility:**

Public secondary schools or public or private nonprofit junior and community colleges.

### **Beneficiary Eligibility:**

Public secondary schools or public or private nonprofit junior and community colleges.

### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to

collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.



**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
 From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
 Matching Requirements: Percent: 100%. A grant recipient is required to match the USDA funds awarded on a dollar-for-dollar (100%) basis from non-Federal sources. Matching funds are not required to come in any particular amount from any one source. However, all matching funds pledged in this application must be accompanied by documentation. See Part IV, B.5. SF 424 (R&R) Budget Fed and Non-Fed, Field K-Budget Justification, for additional details.

\*\*Note #2 - Use of Indirect Costs as In-Kind Matching Contributions. Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
 Office of Grants and Financial Management (OGFM)  
 National Institute of Food and Agriculture (NIFA)  
 U.S. Department of Agriculture (USDA)  
 STOP 2271  
 1400 Independence Avenue, SW  
 Washington, DC 20250-2271. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$983,000; FY 11 est \$912,793; and FY 12 est \$3,311,454 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855 or 720-1973 Fax: (202) 720-2030.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.227 1994 INSTITUTIONS RESEARCH PROGRAM**

Tribal Colleges Research Grants Program (TCRGP)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended (7 U.S.C. 3121), designates the U. S. Department of Agriculture (USDA) as the lead Federal Agency for agricultural research, extension, and teaching in the food and agricultural sciences. Authority for this program is contained in the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note), as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7601 note). In accordance with the statutory authority, subject to the availability of funds, the Secretary of Agriculture may award competitive grants, as defined in section 536 of the Equity in Educational Land Grant Status Act of 1994 (7 U.S.C. 301 note), to assist the 1994 Land-Grant Institutions in conducting agricultural research that addresses high priority concerns of tribal, national or multi-state significance., 7 U.S.C 301 note.

**OBJECTIVES:**

The Tribal Colleges Research Grants Program (TCRGP) (aka 1994 Institutions Research Program) is a competitive grants program supporting fundamental and/ or applied agricultural research projects that address high priority concerns of tribal, national or multi-state significance. The program funds investigative and analytical studies and experimentation in the food and agricultural sciences (as defined in section 1404 of the NARETPA (7 U.S.C. 3103) and Part VIII, E. of this RFA). TCRGP seeks to advance the body of knowledge in the basic and applied natural and social sciences within the food and agricultural sciences.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

This research grants program is authorized to conduct agricultural research that addresses high priority concerns of tribal, national or multi-State significance. NIFA has determined that grant funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award

budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dullknife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Orielles Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stonechild Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crownpoint Institute of Technology, Haskell Indian National University, Leech Lake Tribal College, College of the Menominee Nation, and Little Priest Tribal College.

**Beneficiary Eligibility:**

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dullknife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Oriellese Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stonechild Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crownpoint Institute of Technology, Haskell Indian Nations University, Leech Lake Tribal College, College of the Menominee Nation, and Little Priest Tribal College.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. NIFA does not require matching or cost sharing support for this program.

Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e]. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in

accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$1,343,000; FY 11 est \$2,140,101; and FY 12 est \$1,678,480 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, 1400 Independence Avenue, SW., STOP 2251, Washington , District of Columbia 20024 Phone: (202) 401-2855 Fax: (202) 720-4924

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.228 ALASKA NATIVE SERVING AND NATIVE HAWAIIAN SERVING INSTITUTIONS EDUCATION GRANTS**

ANNH Grants Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

This program is administered under the provisions of section 759 of Public Law 106-78 (7 U.S.C. 3242) which was amended and redesignated as section 1419B of the National Agricultural Research, Extension, and Teaching Policy Act (NARETPA) of 1977 (7 U.S.C. 3155). As legislatively reauthorized in the Public Law 110-246, the purpose of this program continues to promote and strengthen the ability of eligible Alaska Native-Serving Institutions and Native Hawaiian-Serving Institutions to carry out education, applied research, and related community development programs within a broadly defined area of food and agricultural sciences and related disciplines. In FY 2009, the Secretary will make competitive grant awards to individual eligible institutions or consortia of eligible institutions in Alaska and in Hawaii, with funds awarded equally to each of the states of Alaska and Hawaii., 7 U.S.C 3242.

**OBJECTIVES:**

The purpose of this program is to promote and strengthen the ability of Alaska Native-Serving Institutions and Native Hawaiian-Serving (ANNH) Institutions to carry out education, applied research, and related community development programs. NIFA intends this program to address educational needs, as determined by each institution, within a broadly defined area of food and agricultural sciences and related disciplines.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used to enhance educational equity for under-represented students in order to prepare them for careers related to the food, agricultural, and natural resource systems of the United States; to strengthen institutional educational capacities, including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified educational needs in the food and agricultural sciences; and to facilitate activities and cooperative initiatives between AN/NH Serving Institutions, or between AN/NH Serving Institutions and units of State government or the private sector, to maximize the development and use of resources, faculty, facilities, and equipment, to improve food and agricultural sciences teaching programs. The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project.

Grant funds may not be used for endowment investing.

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

\*\*Special Note on Indirect Costs as in-kind matching contributions. Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed

indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Individual public or private, non-profit Alaska Native-Serving and Native Hawaiian-Serving Institutions of higher education that meet the definitions of Alaska Native-Serving Institution or Native Hawaiian Serving Institution established in Title III, Part A of the Higher Education Act of 1965, as amended (20 U.S.C. 1059d.) are eligible institutions under this program.

**Beneficiary Eligibility:**

Alaska Native Serving Institutions and Native Hawaiian Serving Institutions.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:

[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

- <http://www.nifa.usda.gov/>
- <http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. NIFA does not require matching or cost sharing support for this program.

Funds are awarded competitively. No formula grants are awarded under

Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$3,200,000; FY 11 est \$3,065,856; and FY 12 est \$3,072,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: WILL BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development, Multicultural Alliances 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855 or 720-0384 Fax: (202) 720-4924

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.217 Higher Education Challenge Grants; 10.220 Higher Education Multicultural Scholars Program; 10.223 Hispanic Serving Institutions Education Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.250 AGRICULTURAL AND RURAL ECONOMIC RESEARCH**

**FEDERAL AGENCY:**

Economic Research Service, Department of Agriculture

**AUTHORIZATION:**

FY 2006 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq.

7CFR 3019, 7CFR Part 3015, 7CFR Part 3016, 7USC3318b.

**OBJECTIVES:**

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Requests for technical information may be made to the Chief, Publishing and Communications Branch, ERS, 1800 M Street, N.W., Washington, DC 20036-5831.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements. none.

**Length and Time Phasing of Assistance:**

none. See the following for information on how assistance is awarded/released: none.

**Reports:**

Progress reports, financial reports, financial statements, and inventions and subawards reports. The frequency of reports is outlined in the terms of the agreement. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of 3 years from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 09 \$1,866,197; FY 10 est \$4,649,141; and FY 11 est \$3,800,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Pia Miller, 1800 M street NW, Room N-5125, Washington, District of Columbia 20036 Email: pmiller@ers.usda.gov Phone: (202) 694-5199.

**Website Address:**

<http://www.ers.usda.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.253 FOOD ASSISTANCE AND NUTRITION RESEARCH PROGRAMS (FANRP)****FEDERAL AGENCY:**

Economic Research Service, Department of Agriculture

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests for technical information may be made to the Chief, Publishing and Communications Branch, ERS, 1800 M Street, N.W., Washington, DC 20036-5831.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

other.

**Appeals:**

other.

**Renewals:**

other.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

other. See the following for information on how assistance is awarded/released:  
other.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

(Cooperative Agreements) FY 10 \$4,408,000; FY 11 est \$4,408,000; and FY 12 est \$3,408,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy A. Thomas 355 E Street SW, Room 7-174, Washington, District of Columbia 20024-3231 Email: NThomas@ers.usda.gov Phone: 2026945008 Fax: 2022454846

**Website Address:**

<http://www.ers.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.254 PROGRAM OF RESEARCH ON THE ECONOMIC OF INVASIVE SPECIES MANAGEMENT (PREISM)**

**FEDERAL AGENCY:**

Economic Research Service, Department of Agriculture

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Requests for technical information may be made to the Chief, Publishing and Communications Branch, ERS, 1800 M Street, N.W., Washington, DC 20036-5831.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released:  
other.

**Reports:**



Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$1,000,000; FY 11 est \$1,000,000; and FY 12 est \$835,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy A. Thomas 355 E Street SW, Washington, District of Columbia 20024-3231 Email: NThomas@ers.usda.gov Phone: 2026945008 Fax: 2022454846

**Website Address:**

<http://www.ers.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.255 RESEARCH INNOVATION AND DEVELOPMENT GRANTS IN ECONOMIC (RIDGE)**

**FEDERAL AGENCY:**

Economic Research Service, Department of Agriculture

**AUTHORIZATION:**

FY 2006 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq. 7CFR 3019, 7CFR Part 3015, 7CFR Part 3016, 7USC 3318b.

**OBJECTIVES:**

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm

organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests for technical information may be made to the Chief, Publishing and Communications Branch, ERS, 1800 M Street, N.W., Washington, DC 20036-5831.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

none.

**Appeals:**

none.

**Renewals:**

none.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. none. This program does not have MOE requirements. none.

**Length and Time Phasing of Assistance:**

none. See the following for information on how assistance is awarded/released: none.

**Reports:**

Progress reports, final technical reports, financial statements, and inventions and subaward reports. The frequency of reports is outlined in the terms of the agreement. Cash reports are not applicable. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Note: The public view of this program will automatically display a predefined statement depending on the radio button selected. If 'Yes' is selected: "In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133." If 'No' is selected: "This program is excluded from coverage under OMB Circular No.

A-133."

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of three years from the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 10 \$500,000; FY 11 est \$500,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy A. Thomas 355 E Street SW, Room 7-174, Washington, District of Columbia 20024-3231 Email: NThomas@ers.usda.gov Phone: 2026945008 Fax: 2022454846

**Website Address:**

<http://www.ers.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.256 CONSUMER DATA AND INFORMATION PROGRAM**

**FEDERAL AGENCY:**

Economic Research Service, Department of Agriculture

**AUTHORIZATION:**

FY 2006 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq.

**OBJECTIVES:**

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Requests for technical and additional information, contact: Chief, Publishing and Communications Branch, ERS, USDA, 1800 M Street, N.W., Washington, DC 20036-5831.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

none. See the following for information on how assistance is awarded/released: none.

**Reports:**

No program reports are required. No cash reports are required. Progress reports, final technical reports, financial statements, and inventions and subawards reports. The frequency of reports is outlined in the terms and conditions of the agreement. Progress reports to ERS technical person or ADODR Authorized Departmental Organization Designated Representative. SF-269 report or SF-425 financial and expenditure report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of 3 years from the date of submission of the final expenditure report or for awards that are renewed quarterly or annually, from the date of submission of the quarterly or annual financial report, as authorized by the Federal awarding agency.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 09 \$374,035; FY 10 est \$423,604; and FY 11 est \$350,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Pia Miller, 1800 M street NW, Room N-5125, Washington, District of Columbia 20036 Email: pmiller@ers.usda.gov Phone: (202) 694-5199.

**Website Address:**

<http://www.ers.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.290 AGRICULTURAL MARKET AND ECONOMIC RESEARCH**

**FEDERAL AGENCY:**

The Office of the Chief Economist, Department of Agriculture

**AUTHORIZATION:**

7 U.S.C. Section 3318, 7 CFR Section 2.29.

**OBJECTIVES:**

To conduct cooperative economic research and analyses in support of the Office of the Chief Economist's responsibility to advise the Secretary of Agriculture on the economic implications of Department policies, programs, and proposed legislation. These research projects and analyses cover the nation's agricultural commodity markets; risk analyses and cost-benefit analyses related to international food and agriculture; sustainable development; energy issues related to the agricultural economy; agricultural labor; global climate change; and any other topics that support the Department's consideration or review of policies and programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research is conducted that is in cooperation with the Office of the Chief Economist's in-house research and analysis programs and projects. Limited discretionary funds are periodically made available.

**Applicant Eligibility:**

Applicants are usually nonprofit institutions of higher education or other nonprofit research organizations whose primary purpose is conducting economic research.

**Beneficiary Eligibility:**

Beneficiaries are usually non-profit institutions of higher education or other non-profit research organizations whose primary purpose is conducting scientific research.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Upon request of the Office of the Chief Economist, proposals should be submitted to the Office of the Chief Economist, Department of Agriculture.

**Award Procedure:**

The Office of the Chief Economist considers proposals received, evaluates the qualifications of the proposal with respect to the research issue, and, in consultation with the selected cooperator institution, establishes a funding level and the specific deliverables due at the conclusion of the agreement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Agreements are normally for a one year period but can be extended upon mutual agreement. See the following for information on how assistance is awarded/released: assistance is awarded based on agreement with cooperator.

**Reports:**

Reports are set at time of award between recipient and OCE. Cash reports are not applicable. A progress report is negotiated with the recipient at the time of award. An expenditure report is required if included in the initial agreement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of three years from the date of submission of the final expenditure report.

**Account Identification:**

12-0705-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 10 \$540,788; FY 11 est \$630,000; and FY 12 est \$300,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief Economist 12th & Jefferson Drive, SW  
Whitten Building, Room 112  
, Washington, District of Columbia 20250 Phone: 202-720-4164

**Website Address:**

<http://www.usda.gov/oce>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.303 INTEGRATED PROGRAMS**

(Integrated Programs)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 2(c)(1)(B) of Public Law 89106, as amended.

, Public Law 89-106; Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626), as reauthorized by Section 7306 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246), authorized the Secretary of Agriculture to establish a competitive grants program that provides funding for integrated, multifunctional agricultural research, extension, and education activities. Subject to the availability of appropriations to carry out this program, the Secretary may award grants to colleges and universities [as defined by section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. 3103)], as amended, on a competitive basis for projects that address priorities in United States agriculture and involve integrated research, education, and extension activities, as determined by the Secretary in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB). Section 7129 of the FCEA amended section 406(b) of AREERA (7 U.S.C. 7626(b)), adding Hispanic-serving agricultural colleges and universities (HSACUs) as eligible entities for competitive funds awarded under this authority (see Part III.B. of RFA for more information). , 7 U.S.C 7626.

**OBJECTIVES:**

GENERAL:

NIFA Integrated Programs provide support for integrated research, education, and extension activities. Integrated, multi-functional projects are particularly effective in addressing important agricultural issues through the conduct of problem-focused research that is combined with education and extension of knowledge to those in need of solutions. These activities address critical national, regional, and multi-state agricultural issues, priorities, or problems. Integrated Programs hold the greatest potential to produce and disseminate knowledge and technology directly to end users while providing for educational opportunities to assure agricultural expertise in future generations. See individual program Requests for Applications for additional information about the topics.

SEVERAL PROGRAMS ARE FUNDED UNDER CFDA 10.303. SPECIFIC OBJECTIVES ARE AS FOLLOWS:

Integrated Research, Education, and Extension Competitive Grants Program:  
National Integrated Water Quality Program

The goal of the National Integrated Water Quality Program is to improve the quality of our Nation's surface water and groundwater resources through research, education, and extension activities. Projects funded through this program will facilitate achieving this goal by advancing and disseminating the knowledge base available to agricultural and rural communities. Funded projects should lead to science-based decision-making and management practices that improve the quality of the Nation's surface water and groundwater resources in agricultural and rural watersheds. See RFA for priority areas.

Integrated Research, Education, and Extension Competitive Grants Program:  
National Integrated Food Safety Initiative

The purpose of the National Integrated Food Safety Initiative is to support food

safety projects that demonstrate an integrated approach to solving problems in applied food safety research, education, or extension. Various models for integration of applied research, education, and extension will be considered for funding. Applications describing multi-state, multi-institutional, multidisciplinary, and multifunctional activities (and combinations thereof) are encouraged. Applicants are strongly encouraged to address at least two of the three functional areas of research, education, and extension (i.e., research and extension, research and education, or extension and education).

Integrated Research, Education, And Extension Competitive Grants Program:  
Regional Integrated Pest Management Centers

The goal of the Regional Integrated Pest Management Centers (IPM Centers) is to promote the development and implementation of IPM by facilitating collaboration across states, disciplines, and purposes. IPM Centers will establish and maintain information networks, build partnerships to address pest management challenges and opportunities, evaluate the impact of IPM implementation, communicate positive outcomes to key stakeholders, and manage funding resources effectively. Successful applicants to this program will demonstrate the capacity and commitment necessary to advance the goals of the National Roadmap for Integrated Pest Management ([www.ipmcenters.org/IPMRoadMap.pdf](http://www.ipmcenters.org/IPMRoadMap.pdf)), and evaluate the progress of this advancement. The IPM Roadmap addresses pest management needs for production agriculture, natural resources and recreational environments, and residential and public areas.

Integrated Pest Management: Crops at Risk Program

The goal of the CAR program is to enhance the development and implementation of innovative, ecologically based sustainable IPM system(s). Preferably, this should involve a diversity of tactics and approaches for a single or specific food or fiber commodity in commercial production for pre- and/or post-harvest system(s). The program addresses either a major acreage or high value crop commodity such as key fruits and vegetables. The primary emphasis is on crop productivity and profitability, while addressing critical environmental quality and human health issues. The CAR program will fund integrated multifunctional/multidisciplinary research, education, and extension projects for crops with high priority IPM needs as identified by stakeholders.

Integrated Pest Management: Risk Avoidance and Mitigation Program

The goal of the Risk Avoidance and Mitigation (RAMP) program is to enhance the development and implementation of innovative, ecologically based sustainable IPM strategies and system(s) for (a) multi-crop food and fiber production systems; (b) an area-wide or a landscape scale agroecosystem; or (c) a documented pesticide impact on water, human or environmental health. RAMP applications may address major acreage agricultural production systems, high value crops such as key fruit and vegetable systems, or other agroecosystems. The primary emphasis of the application should be on productivity and profitability while addressing critical environmental quality and human health issues. The intent of RAMP is to fund medium-term projects that emphasize systems approaches.

Integrated Research, Education, and Extension Competitive Grants Program:  
Integrated Pest Management: Methyl Bromide Transitions Program

The goal of the Methyl Bromide Transitions (MBT) program is to support the discovery and implementation of practical pest management alternatives to methyl bromide uses or minimize methyl bromide emissions for which the United States is requesting critical use exemptions. The program is focused on integrated commercial or field scale research that targets short- to medium-term solutions.

Integrated Organic Program

The purpose of the Integrated Organic Program is to solve critical organic agriculture issues, priorities, or problems through the integration of research, education, and extension activities. The Organic Transitions Program (ORG) funds the development and implementation of research, extension, and higher education programs to improve the competitiveness of organic producers and producers who are adopting organic practices. Funding opportunities for the ORG Program is included in the same Request for Applications (RFA) as the Organic Research and Extension Initiative (OREI).

PLEASE NOTE: THIS PROGRAM DOES NOT FUND START UP BUSINESSES.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

This research, education, and extension competitive grants program provides funding for integrated, multi-functional agricultural research, extension, and education activities which addresses priorities in United States agriculture. THE FOLLOWING USES AND RESTRICTIONS ARE APPLICABLE TO:

- (1) Critical Issues (FDC 37610) and
- (2) Regional Rural Development Centers (FDC 51150) (Section 2(c)(1)(B) of Public Law 89-106, as amended):

Grant funds must be used for allowable costs necessary to conduct approved integrated research, extension and education objectives to address food and agricultural sciences, in the broadest sense.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Funds may not be used for any purposes other than those approved in the grant award documents.

Tuition remission is not allowable.

Indirect costs are not allowable.

THE FOLLOWING USES AND RESTRICTIONS ARE APPLICABLE TO THE FOLLOWING PROGRAMS WHICH ARE AUTHORIZED UNDER (Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626):

- (1) Water Quality (FDC 51130)
- (2) Food Safety (FDC 51110)
- (3) Regional Pest Management Centers (FDC 51120)
- (4) Crops at Risk (FDC 51100)
- (5) Risk Mitigation Program (FDC 51101)
- (6) Methyl Bromide Transition Program (FDC 51102) and
- (7) Organic Transition - Risk Assessment (FDC 51106)

Grant funds must be used for allowable costs necessary to conduct approved integrated research, extension and education objectives to address food and agricultural sciences.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act of 2008 (FCEA), amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded. If no rate has been established the applicant may indicate "Nonewill negotiate" and a reasonable dollar amount for indirect costs may be requested, which will be subject to approval by USDA. In the latter case, if a proposal is recommended for funding, an indirect cost rate proposal must be submitted prior to award to support the amount of indirect costs requested. NIFA will request an indirect cost rate proposal and provide instructions, as necessary. An applicant may elect not to charge indirect costs and, instead, use all grant funds for direct costs. If indirect costs are not charged, the phrase "None requested" should be written in this space.

The maximum allowed indirect cost of 22 percent may be claimed under the Federal portion of the award, or the maximum allowed indirect cost of 22 percent may be claimed as matching contributions (if no indirect costs are requested). However, the maximum allowed indirect cost of 22 percent may not be claimed on both the Federal portion of the award and as matching contributions. (Note: An awardee may, as an example, request 11 percent of indirect costs on both the Federal portion of the award and as matching contributions. Or, an awardee may request any other, similar percentage combination that, when combined, does not exceed the 22 percent maximum indirect cost allowed.) Nevertheless, the total combined percent of requested and contributed matching indirect costs cannot exceed 22%.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research and extension institutions and organizations, Federal agencies, private organizations or corporations, and individuals to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

**Beneficiary Eligibility:**

State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research and extension institutions and organizations, Federal agencies, private organizations or corporations, and individuals to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection

is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

**Organizational Management Information** - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and

(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. GENERAL RULES:

- (a) Funds are awarded competitively.
- (b) No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

**SPECIFIC PROVISIONS:**

Regarding Critical Issues and Regional Rural Development Centers (Section 2(c)(1)(B) of Public Law 89-106, as amended):

NIFA does not require matching or cost sharing support for the above-referenced programs.

However, the provisions indicated below are applicable to the following programs which are authorized under Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626):

- (1) Water Quality
- (2) Food Safety
- (3) Regional Pest Management Centers
- (4) Crops at Risk
- (5) Risk Mitigation
- (6) Methyl Bromide Transition and
- (7) Organic Transition - Risk Assessment

Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

If a grant provides a particular benefit to a specific agricultural commodity, and not of national scope, the grant recipient is required to match the USDA funds awarded on a dollar-for-dollar basis from non-Federal sources with cash and/or in-kind contributions. (See Part IV, B., 6. of the RFA for details.)

NIFA may waive the matching funds requirement for a grant if NIFA determines that:

- (1) the results of the project, while of particular benefit to a specific agricultural commodity, are likely to be applicable to agricultural commodities generally; or

(2) the project involves a minor commodity, the project deals with scientifically important research, and the grant recipient is unable to satisfy the matching funds requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Regarding the Critical Issues and Regional Rural Development Centers (Section 2(c)(1)(B) of Public Law 89106, as amended) , normally, competitive research projects will be supported for periods of up to three (3) years.

However, for the other programs (under Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626):

The term of competitive project grants and/or cooperative agreements under this program may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture(USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$60,342,543; FY 11 est \$36,274,859; and FY 12 est \$28,774,755 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

The FY 2011 President's budget request proposes the elimination of all Section 406 programs funded under the Integrated Activities Account. This is a decrease in funding of \$45 million dollars and would result in a large decrease in obligations in FY 2011.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader for Water Quality, Natural Resources and Environment (NRE), 1400 Independence Avenue, SW, STOP 2210,

**ADDITIONAL CONTACTS:**

USDA, NIFA, National Program Leader; Food Science and Food Safety; Plant and Animal Systems Unit; 1400 Independence Ave., SW; STOP 2220 Washington, DC 20250-2220; Telephone: (202) 401-1954; Fax: (202) 401-1602;

**AND**

USDA, NIFA, National Program Leader, Plant Systems Section, Plant and Animal Systems Unit; 1400 Independence Ave., SW; STOP 2220; Washington, DC 20250-2220;

Telephone: (202) 401-4939 or (202) 401-4891 or (202) 401-1112 or (202) 401-3356; fax: 202-401-4888;

, Washington , District of Columbia 20024 Phone: (202) 401-4555 and 205-5952 and Fax: (202) 401-1706.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

#### **10.304 HOMELAND SECURITY\_AGRICULTURAL**

FOOD AND AGRICULTURE DEFENSE INITIATIVE (FADI)

(aka Homeland Security Program)

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), Section 1472, 7 U.S.C. 3318. , 7 U.S.C 3318.

#### **OBJECTIVES:**

To provide funding to protect the food supply and agricultural production. This is accomplished by providing federal assistance, through existing cooperative agreements, to four (4) national agricultural homeland security networks: the National Animal Health Laboratory Network (NAHLN), the National Plant Diagnostic Network (NPDN), the Extension Disaster Education Network (EDEN), and the Pest Information Platform for Education and Extension (ipmPIPE).

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

These funds are subject to the provisions of 31 U.S.C. 1301 requiring their use only for the purpose for which they were appropriated. Funding is limited to support for the four (4) aforementioned agrosecurity networks. Indirect costs are not allowable costs under this program, and no funds will be approved for this purpose. Further, costs that are a part of an institution's indirect cost pool (e.g., administrative or clerical salaries) may not be reclassified as direct costs for the purpose of making them allowable. Fully discretionary.

#### **Applicant Eligibility:**

In accordance with section 1472(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, (NARETPA) applicant may be: State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research or education institutions and organizations, Federal and private agencies and organizations, individuals, and any other contractor or recipient, either foreign or domestic, to further research, extension, or teaching programs in the food and agricultural sciences of the Department of Agriculture.

#### **Beneficiary Eligibility:**

In accordance with section 1472(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, (NARETPA) applicant may be: State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research or education institutions and organizations, Federal and private agencies and organizations, individuals, and any other contractor or recipient, either foreign or domestic, to further research, extension, or teaching programs in the food and agricultural sciences of the Department of Agriculture.

#### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary

contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (FGOs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this FGO, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). The National Institute of Food and Agriculture (NIFA) solicits proposals to fund existing and new cooperative agreements through a request for application process. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

#### **Award Procedure:**

In Fiscal Year (FY) 2002, a panel of USDA scientists knowledgeable in the Nation's plant and animal disease diagnostic capability, recommended to the Secretary a plan of initiating a comprehensive national network of laboratories for the rapid detection and diagnosis of plant and animal diseases. The institutions selected by the panel for initial inclusion in the network were recommended using the following criteria:

- (1) Existing scientific capacity;
- (2) Existing laboratory capacity which could be modified to meet Biosafety Level 3 requirements;
- (3) Both animal and plant diagnostic capabilities;
- (4) Geographical location meeting one or more of the following requirements: located in an area with a high risk of disease/pest incursions; located in an area with high concentration of vulnerable agricultural activity; complements or supplements regional Federal laboratory activity or is in an area not effectively served by an existing Federal facility;



(5) State-of-the-art communication and information technology systems. Must be capable of managing secure communications with other laboratories and central reporting unit; and

(6) An effective outreach/extension system.

These recommendations were utilized to select the original cooperative agreement recipients and are annually evaluated by USDA/NIFA in network planning.

Proposals are subject to a merit review process conducted by NIFA staff members.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the RFA each fiscal year (FY).

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a Cooperative Agreement under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Grant terms and conditions will specify reporting requirements.

Additional reporting may be mutually negotiated and articulated in the cooperative agreement. NIFA uses SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Grant terms and conditions will specify reporting requirements.

Additional reporting may be mutually negotiated and articulated in the cooperative agreement. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)

U.S. Department of Agriculture (USDA)

STOP 2271

1400 Independence Avenue, SW

Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Grant terms and conditions will specify reporting requirements.

Additional reporting may be mutually negotiated and articulated in the cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0115-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 10 \$9,765,131; FY 11 est \$5,803,929; and FY 12 est \$9,397,780 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

It is anticipated that awards will range from \$250,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: It is anticipated that accomplishments will be consistent with the prior year. Fiscal Year 2011: It is anticipated that accomplishments will be consistent with the prior year. Fiscal Year 2012: It is anticipated that accomplishments will be consistent with the prior year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-Formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Plant and Animal Systems 1400 Independence Avenue, SW, STOP 2220, Washington, District of Columbia 20250-2220 Phone: (202) 401-6301 Fax: (202) 401-6156

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.310 Agriculture and Food Research Initiative (AFRI) ; 10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In Fiscal Year (FY) 2002, a panel of USDA scientists knowledgeable in the Nation's plant and animal disease diagnostic capability, recommended to the Secretary a plan of initiating a comprehensive national network of laboratories for the rapid detection and diagnosis of plant and animal diseases. The institutions selected by the panel for initial inclusion in the network were recommended using the following criteria:

- (1) Existing scientific capacity;
- (2) Existing laboratory capacity which could be modified to meet Biosafety Level 3 requirements;
- (3) Both animal and plant diagnostic capabilities;
- (4) Geographical location meeting one or more of the following requirements: located in an area with a high risk of disease/pest incursions; located in an area with high concentration of vulnerable agricultural activity; complements or supplements regional Federal laboratory activity or is in an area not effectively served by an existing Federal facility;
- (5) State-of-the-art communication and information technology systems. Must be capable of managing secure communications with other laboratories and central reporting unit; and
- (6) An effective outreach/extension system.

These recommendations were utilized to select the original cooperative agreement recipients and are annually evaluated by USDA/NIFA in network planning.

### **10.305 INTERNATIONAL SCIENCE AND EDUCATION GRANTS (INTERNATIONAL SCIENCE AND EDUCATION (ISE) COMPETITIVE GRANTS PROGRAM)**

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 229 of the Agricultural Research, Extension and Education Reform Act of 1998 (AREERA) amended Section 1459 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. Section 3292b) to authorize the Secretary of Agriculture to make competitive grants to colleges and universities in order to strengthen United States economic competitiveness and to promote international market development.

Section 7141 of the Food, Conservation, and Energy Act of 2008 (7 U.S.C. 8701 note) authorized the International Science and Education Competitive Grants Program (ISE).

, 7 U.S.C 3292b.

**OBJECTIVES:**

The purpose of ISE is to support the internationalization of food, agriculture and related programs at U.S. universities and colleges. It is intended that ISE

will improve the ability of American students, business people, and community members to compete more effectively in the global world of agriculture. ISE projects are to strengthen the global competence and competitiveness of American colleges, universities and businesses in the food, agriculture, and related sectors. In addition, ISE projects must be directed to agricultural research, extension, and/or teaching activities that enhance the capabilities of American colleges and universities to conduct international collaborative research, extension and teaching. Our success in the global arena will increasingly require U.S. colleges and universities to produce graduates who can operate competently in domestic and international settings. Through their outreach efforts, universities and colleges also play a critical role in helping U.S. producers successfully operate in foreign markets.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funded projects will respond to specific needs and strengths of the university or college that will enable it to strengthen the global competence of students, faculty and staff in agriculture and related areas and enhance business performance in international agriculture and related sectors through extension, research and/or teaching programs. Each institution may submit no more than two proposals as the lead institution. No institution acting as the principal or lead institution will receive more than one grant during the current competition.

Therefore, institutions are encouraged to establish on-campus quality control mechanisms to ensure that only the highest quality proposals are submitted for consideration.

Program funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities (i.e., greenhouses, laboratories, or other structures).

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Applications may be submitted by colleges and universities and defined in section 1404 of NARETPA. The terms college and university mean an educational institution in any State which (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate; (2) is legally authorized within such State to provide a program of education beyond secondary education; (3) provides an education program for which a bachelor's degree or any other higher degree is awarded; (4) is a public or other nonprofit

institution; and (5) is accredited by a nationally recognized accrediting agency or association.

**Beneficiary Eligibility:**

Colleges and universities; public or other nonprofit institutions.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/>

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5)

years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$2,732,888; FY 11 est \$1,401,796; and FY 12 est \$2,849,155 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A

FUTURE DATE. Fiscal Year 2011: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development (SERD), International Programs 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024 Phone: (202) 401-2855 or 690-3852 Fax: (202) 690-2355

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.219 Biotechnology Risk Assessment Research; 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.306 BIODIESEL**

(Biodiesel Fuel Education Program)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 9006 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-246), amended the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) to re-establish the Biodiesel Fuel Education Program which requires that the Secretary make competitive grants to eligible entities to educate governmental and private entities that operate vehicle fleets, other interested entities (as determined by the Secretary), and the public about the benefits of biodiesel fuel use. The Secretary delegated this authority to the Chief Economist, who in turn delegated this authority to the Director of the Office of Energy Policy and New Uses (OEPNU). OEPNU has joined with NIFA for assistance in administering Biodiesel Education under the authorities found in the Economy Act (31 U.S.C. 1535) and Section 1472 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3318). Specific Biodiesel Education administrative provisions are found in 7 CFR 2903., 7 U.S.C 3318.

**OBJECTIVES:**

The goals of the Biodiesel Fuel Education Program as originally established in Section 9004 of the Farm Security Investment Act of 2002 (7 U.S.C. 8104) were to stimulate biodiesel consumption and to stimulate the development of a

biodiesel infrastructure. The information and outreach activities to raise awareness of the benefits of biodiesel fuel use complemented the incentives provided by the Energy Policy Act of 2005 (EPAct) (Public Law 109-58), and the Energy Independence and Security Act of 2007 (Public Law 110-140). As a result of increased awareness and consumption of biodiesel over the past 5 years, the FY 2008 Biodiesel Education program will focus on educational programs which will support advances in infrastructure, technology transfer, fuel quality, fuel safety and increasing feedstock production.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

This funding is used for education and outreach activities. Program funds may not be used for renovation or refurbishment or research space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition or construction of buildings or facilities. Grant funds must be used for allowable costs necessary to conduct approved research and extension objectives. Funds may not be used for any purposes other than those approved in the grant award documents.

When preparing budgets, applicants should limit their requests for recovery of indirect costs to their institutions official negotiated indirect cost rate. If no rate has been established the applicant may indicate "Nonwill negotiate" and a reasonable dollar amount for indirect costs may be requested, which will be subject to approval by USDA. In the latter case, if a proposal is recommended for funding, an indirect cost rate proposal must be submitted prior to award to support the amount of indirect costs requested. CSREES will request an indirect cost rate proposal and provide instructions, as necessary.

An applicant may elect not to charge indirect costs and, instead, use all grant funds for direct costs. If indirect costs are not charged, the phrase "None requested" should be written in this space. Grantees electing this alternative will not be allowed to charge, as direct costs, indirect costs that otherwise would be in the grantee's indirect cost pool under the applicable Office of Management and Budget cost principles. Grantees who request no indirect costs will not be permitted to revise their budgets at a later date to charge indirect costs to grant funds.

No other indirect cost recovery caps apply to these funds.

Funds made available under Biodiesel Education shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

**Applicant Eligibility:**

Eligibility is restricted to nonprofit organizations or institution of higher education (as defined in section 101 of the Higher Education Act of 1965 (20 U.S.C. 1001)).

**Beneficiary Eligibility:**

Nonprofit organizations or institutions of higher education (as defined in section 101 of the Higher Education Act of 1965 (20 U.S.C. 1001)).

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of

Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

(a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;

(b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;

(c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the

applications to targeted audiences and to program needs;

(d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;

(e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and

(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are made as continuation grants, and subsequent annual funding is provided based on demonstrated progress.

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years.

Same level of funding for five years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR

3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$1,000,000; FY 11 est \$960,000; and FY 12 est \$960,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Plant and Animal Systems (PAS), 1400 Independence Avenue, SW, STOP 2220, Washington, District of Columbia 20024 Phone: (202) 401-5877, 401-6443 or 401- Fax: (202) 401-5179

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.307 ORGANIC AGRICULTURE RESEARCH AND EXTENSION INITIATIVE**

ORGANIC AGRICULTURE RESEARCH AND EXTENSION INITIATIVE (OREI)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 7206 of the Food, Conservation, and Energy Act of 2008 (FCEA) amended section 1672B of the Food, Agriculture, Conservation, and Trade (FACT) Act of 1990 (7 U.S.C. 5925b) amending and re-authorizing the Organic Agriculture Research and Extension Initiative (OREI). The FACT Act, as amended, authorizes the Secretary of Agriculture, in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB), to make competitive grants to support research and extension activities regarding organically grown and processed agricultural commodities for eight legislatively-defined goals. See RFA Part I.B. for further general information and specific details. , 7 U.S.C 5925b.

**OBJECTIVES:**

Facilitate the development of organic agriculture production, breeding, and processing methods. Functionally identify soil microbial communities and ways to manage microbial dynamics to enhance nutrient cycling and disease suppression; Develop systemic approaches to weed, insect and disease management; Prevent, control, and treat internal and external parasites in various livestock species; and Breed crops for disease and insect resistance, good yield in a biologically diverse system, compatibility with intercrops, good response to organic fertility sources, horizontal resistance (traits determined by multiple genes). Evaluate the potential economic benefits to producers and processors who use organic methods. Analyze potential economic costs, returns and risks of organic production systems; Use environmental valuation tools to quantify externalities of producing food, and compare externalities of producing organic and conventional food; - Analyze price and market structures, including ability of small, medium-, and large-scale growers to access different markets, in order to frame policies that minimize concentration within the industry; and Analyze marketing channels to document how organic food is distributed, what share of the organic food dollar is returned to the farmer, and the implications of large-scale manufacturers entering the organic market. Explore international trade opportunities for organically grown and processed agricultural commodities. Compare compatibility of certification standards used in different parts of the world, with the ultimate goal of harmonization and reciprocity; Undertake marketing studies of international consumer demand for U.S. produced organic goods; and Perform Welfare analyses (quantified gains and losses for producers and consumers) of trade policies affecting international competitiveness, including implementation of the National Organic Program, domestic support programs such as the Conservation Security Act, country of origin labeling, GMO labeling, etc. Determine desirable traits for organic commodities. Examine relationships between nutrients in the soil and nutrients in the food grown on that soil, including long-term soil nutrient and crop nutrient profiles under conventional and organic management; Perform comparisons of nutrient levels between

organic and conventional crops and relationship, if any, between taste and nutrient profile; Investigate the role of post-harvest handling and treatment in the maintenance of quality in fresh market organic products; and Determine the reasons for consumer preferences for organic goods. Identify marketing and policy constraints on the expansion of organic agriculture. Analyze opportunities and constraints to organic agriculture resulting from provisions of the Farm Security and Rural Investment Act of 2002; Investigate specific barriers to markets, such as scale-based regulations that restrict family farm access to processors and/or markets; Study negative lender perception of organic farming and ways to change this; and Analyze regulatory barriers, such as lack of access to Federal farm programs, and developing solutions to these challenges. Conduct advanced on-farm research and development that emphasizes observation of, experimentation with, and innovation for working organic farms, including research relating to production and marketing and to socioeconomic conditions. (Note: Many topics from other goal areas can be conducted on working farms.) Develop rigorous on-farm systems research designs; and Conduct long-term, interdisciplinary systems research.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Integrated Organic Program is particularly interested in proposed projects that emphasize research and outreach that assist farmers and ranchers with whole farm planning and ecosystem integration. Projects should plan to deliver applied production information to producers. Fieldwork for both program areas must be done on certified organic land or on land in transition to organic certification, as appropriate to project goals and objectives. Refer to the USDA National Organic Program (<http://www.ams.usda.gov/nop>) for organic production standards. NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act amended section 1462 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310), increasing the limit on recovery of indirect costs from 19 percent to 22 percent of total Federal funds provided under the award. Therefore, the recovery of indirect costs on awards made by NIFA under this program area may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent.

**Applicant Eligibility:**

Applications may be submitted by State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals. For both ORG and OREI, all award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project.

**Beneficiary Eligibility:**

State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized

Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines: Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website.

Respective links are provided below:

<http://www.nifa.usda.gov/>

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time: From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 100%. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

Cost Sharing or Matching:

(1) General Requirement

The Secretary shall require the recipient of a grant under this section to provide funds or in-kind support from non-Federal sources in an amount at least equal to the amount provided by the Federal Government.

See R&R Budget section regarding matching funds Part IV, B., 6. of this RFA for more details.

(2) Waiver

NIFA may waive the matching funds requirement specified in the above paragraph for a grant if NIFA determines that:

(a) the results of the project, while of particular benefit to a specific agricultural commodity, are likely to be applicable to agricultural commodities generally; or

(b) the project involves a minor commodity, the project deals with scientifically



important research, and the grant recipient is unable to satisfy the matching funds requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

Grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$20,000,000; FY 11 est \$19,102,500; and FY 12 est \$19,120,359 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A

FUTURE DATE. Fiscal Year 2011: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Plant and Animal Systems (PAS), 1400 Independence Avenue, SW, STOP 2220, Washington , District of Columbia 20024 Phone: (202) 401-5877 or 401-3356 Fax: (202) 401-4888

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.308 RESIDENT INSTRUCTION GRANTS FOR INSULAR AREA ACTIVITIES**

RESIDENT INSTRUCTION GRANTS FOR INSULAR AREA ACTIVITIES

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

This program is administered under the provisions of the Farm Security and Rural Investment Act of 2002 (Section 7501 of Public Law 107-171) as reauthorized in Section 7143 of Public Law 110-246, which amended the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3101 et seq.) by providing for a program of resident instruction grants for insular areas (7 U.S.C. 3363). Funds are available for a program of competitive grants, with funds to be awarded to one or more individual, eligible institutions of higher education in Insular Areas (Insular Area Institutions) or consortia of such eligible institutions, to carry out teaching and education programs in the food and agricultural sciences., 7 U.S.C 3363.

**OBJECTIVES:**

- In General. -The Secretary of Agriculture shall make competitive grants to eligible institutions to-
- (1) strengthen institutional educational capacities, including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified State, regional, national, or international education needs in the food and agricultural sciences;
  - (2) attract and support undergraduate and graduate students in order to educate them in identified areas of national need in the food and agriculture sciences;
  - (3) facilitate cooperative initiatives between two or more insular area eligible institutions, or between those institutions and units of State Government or organizations in the private sector, to maximize the development and use of resources such as faculty, facilities, and equipment to improve food and agricultural sciences teaching programs; and

(4) conduct undergraduate scholarship programs to assist in meeting national needs for training food and agricultural scientists.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The purpose of the Resident Instruction Grants Program for Institutions of Higher Education in Insular Areas (RIIA) is to promote and strengthen the ability of Insular Area Institutions to carry out teaching and education programs within the broadly defined food and agricultural sciences-related disciplines. Food and agricultural sciences include programs in agriculture, food and fiber, renewable energy and natural resources, forestry, aquaculture, veterinary medicine, family and consumer sciences, home economics, nutrition and dietetics, rural human ecology, rural economic and community development, and other higher education activities and fields of study related to the production, processing, marketing, distribution, conservation, utilization, consumption, research, and development of food and agriculturally-related products and services. Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. Funds may not be used for any purposes other than those approved in the grant award documents. The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project. Grant funds may not be used for endowment investing. Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded. Fully discretionary.

**Applicant Eligibility:**

The Secretary of Agriculture shall ensure that each eligible institution, prior to receiving grant funds under subsection (a), shall have a significant demonstrable commitment to higher education programs in the food and agricultural sciences and to each specific subject area for which grant funds under this section are to be used. (2) The Secretary of Agriculture may require that any grant awarded under this section contain provisions that require funds to be targeted to meet the needs identified in section 1402.

**Beneficiary Eligibility:**

The Secretary of Agriculture shall ensure that each eligible institution, prior to receiving grant funds under subsection (a), shall have a significant demonstrable commitment to higher education programs in the food and agricultural sciences and to each specific subject area for which grant funds under this section are to be used. (2) The Secretary of Agriculture may require that any grant awarded under this section contain provisions that require funds to be targeted to meet the needs identified in section 1402.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary

contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the

applications to targeted audiences and to program needs;  
(d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;  
(e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and  
(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (SDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$900,000; FY 11 est \$857,272; and FY 12 est \$859,446 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2011: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE. Fiscal Year 2012: DATA MUST BE PROVIDED BY PROGRAM UNIT AT A FUTURE DATE.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Science and Education Resources Development (SERD), Higher Education Programs 1400 Independence Avenue, SW, STOP 2251., Washington , District of Columbia 20024 Phone: (202) 401-2855 or 720-1973 Fax: (202) 720-2030

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available  
Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.309 SPECIALTY CROP RESEARCH INITIATIVE**

SCRI

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

The Specialty Crop Research Initiative (SCRI) is authorized by Section 7311 of the Food, Conservation, and Energy Act of 2008, which added section 412 to the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA). Section 412 of AREERA establishes a specialty crop research and extension initiative to address the critical needs of the specialty crop industry by developing and disseminating science-based tools to address needs of specific crops and their regions. , Public Law 105-185.

**OBJECTIVES:**

The Specialty Crop Research Initiative (SCRI) was established to solve critical industry issues through research and extension activities. SCRI will give priority to projects that are multistate, multi-institutional, or trans-disciplinary; and include explicit mechanisms to communicate results to producers and the public. Projects must address at least one of five focus areas: research in plant breeding, genetics, and genomics to improve crop characteristics; efforts to identify and address threats from pests and diseases, including threats to specialty crop pollinators; efforts to improve production efficiency, productivity, and profitability over the long term; new innovations and technology, including improved mechanization and technologies that delay or inhibit ripening; and methods to prevent, detect, monitor, control, and respond to potential food safety hazards in the production and processing of specialty crops including fresh produce.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved research and extension objectives.

Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

Funds may not be used for any purposes other than those approved in the grant award documents. **INDIRECT COSTS:**

Not to exceed 22% of Federal Funds awarded.

Applicants may use both the unrecovered indirect costs associated with the Federal Budget and the unrecovered indirect costs associated with the Non-Federal Budget to meet their matching requirements. Indirect costs may not be recovered on third-party matching contributions.

**Applicant Eligibility:**

Applications may be submitted by Federal agencies, national laboratories, colleges and universities, research institutions and organizations, private organizations or corporations, State agricultural experiment stations, individuals, or groups consisting of two or more of these entities.

**Beneficiary Eligibility:**

Applications may be submitted by Federal agencies, national laboratories, colleges and universities, research institutions and organizations, private organizations or corporations, State agricultural experiment stations, individuals, or groups consisting of two or more of these entities.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Notice of Intent to Submit an Application: Prospective applicants are asked to email a notification of intent to submit an application. The notification of intent to submit is not required and does not enter into the review of a subsequent application. The information it contains will be used to help program staff plan the review and estimate the potential review workload. This email should include the following information:

- Descriptive (draft) title of proposed research;
- Name of the Project Director and applicant name if applicable;
- Names of other potential co-Project Directors and their affiliations, if applicable;
- Focus area(s) addressed, (see Part I(B) for specific details);
- Likely type of proposal (Coordinated Agricultural Projects, Standard Research and Extension Projects, Regional Partnerships for Innovation Projects, eXtension Projects, and Research and Extension Planning Projects); and
- Subject line of email should read: SCRI Intent to Submit. Emails should be sent to [scri@csrees.usda.gov](mailto:scri@csrees.usda.gov). All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact

statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal should be submitted at the announced deadline. Renewals are treated in competition with all other pending proposals.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 100%. Applicants may use both the unrecovered indirect costs associated with the Federal Budget and the unrecovered indirect costs associated with the Non-Federal Budget to meet their matching requirements. Indirect costs may not be recovered on third-party matching contributions.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this program may not exceed ten (10) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Nonprofit Organizations." This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53. (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$50,000,000; FY 11 est \$46,426,560; and FY 12 est \$46,653,354 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Information to be provided by Program at a Future Date.

Fiscal Year 2011: Information to be provided by Program at a Future Date.

Fiscal Year 2012: Information to be provided by Program at a Future Date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader; Plant and Animal Systems 1400 Independence Avenue, SW, STOP 2220., Washington, District of Columbia 20024 Phone: (202) 401-3356 or (202) 720-4807

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the request for applications.

**10.310 AGRICULTURE AND FOOD RESEARCH INITIATIVE (AFRI)**

AFRI

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Competitive, Special and Facilities Research Grant Act, Section 2(2)(b), [7 U.S.C. 450i], 7 U.S.C 450i.

**OBJECTIVES:**

To establish a new competitive grant program to provide funding for fundamental and applied research, extension, and education to address food and agricultural sciences.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. The competitive grants program shall address the following areas:

- A) Plant health and production and plant products;
- B) Animal health and production and animal products;
- C) Food safety, nutrition, and health;
- D) Renewable energy, natural resources, and environment;
- E) Agriculture systems and technology; and
- F) Agriculture economics and rural communities.

Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees). Funds may not be used for any purposes other than those approved in the grant award documents. Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect

fees). Funds may not be used for any purposes other than those approved in the grant award documents. Fully discretionary.

**Applicant Eligibility:**

This initiative supports integrated and non-integrated programs. Please refer to Part III, A of the current Agriculture and Food Research Initiative Request for Applications for the complete eligibility requirements.

**Beneficiary Eligibility:**

This initiative supports integrated and non-integrated programs. Please refer to Part III, A of the current Agriculture and Food Research Initiative (AFRI) Request for Applications (RFA) for the complete eligibility requirements.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:

[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov. This information collection is approved under OMB Control No. 0524-0039, CSREES Application Kit for Research and Extension Programs.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. This information collection is approved under OMB Control No. 0524-0039, CSREES Application Kit for Research and Extension Programs.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Funds are awarded competitively. No formula grants are awarded under this authority.

For equipment grants Unless criteria is met to qualify for waiver by the Secretary, matching shall not exceed 50 percent of the cost of the special research equipment or other equipment acquired using funds from the grant.

For applied research if the grant is commodity-specific; and not of national scope, the grant recipient is required to match USDA funds awarded on a

dollar-for-dollar basis from non-Federal sources with cash and/or in-kind contributions.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this program may not exceed ten (10) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Quarterly Reports of Federal Cash Transactions (SF-272) are required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and are submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

A final Financial Status Report (SF-269) or "Federal Financial Report" (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Non-profit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$146,683,965; FY 11 est \$509,874,220; and FY 12 est

\$300,011,440 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

These funds are no-year.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant are established by the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Information to be provided by Program at a future date.

Fiscal Year 2011: Information to be provided by Program at a future date.

Fiscal Year 2012: Information to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (OMB Circular A-110); 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21); 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Competitive Programs 1400 Independence Avenue, SW., STOP 2240., Washington, District of Columbia 20024 Phone: (202) 401-1782

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.311 BEGINNING FARMER AND RANCHER DEVELOPMENT PROGRAM**

BFRDP

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 7405 of the Farm Security and Rural Investment Act of 2002, [7 U.S.C. 3319f].

, Public Law 107-171, 7 U.S.C 3319f.

**OBJECTIVES:**

To support the nations beginning farmers and ranchers by making competitive grants to new and established local and regional training, education, outreach, and technical assistance initiatives that address the needs of beginning farmers and ranchers.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Competitive grants are made to support:

- (A) mentoring, apprenticeships, and internships;
- (B) resources and referral;
- (C) assisting beginning farmers or ranchers in acquiring land from retiring farmers and ranchers;
- (D) innovative farm and ranch transfer strategies;
- (E) entrepreneurship and business training;
- (F) model land leasing contracts;
- (G) financial management training;.
- (H) whole farm planning;
- (I) conservation assistance;
- (J) risk management education;
- (K) diversification and marketing strategies;
- (L) curriculum development;
- (M) understanding the impact of concentration and globalization;
- (N) basic livestock and crop farming practices;
- (O) the acquisition and management of agricultural credit;
- (P) environmental compliance;
- (Q) information processing; and
- (R) other similar subject areas of use to beginning farmers or ranchers.

In addition, cooperative agreements may be awarded to establish Education Teams:

(1) In General:

In carrying out this section, the Secretary shall establish beginning farmer and rancher education teams to develop curricula and conduct educational programs and workshops for beginning farmers or ranchers in diverse geographical areas of the United States.

(2) Curriculum:

In promoting the development of curricula, the Secretary shall, to the maximum extent practicable, include modules tailored to specific audiences of beginning farmers or ranchers, based on crop or regional diversity.

(3) Composition:

In establishing an education team for a specific program or workshop, the Secretary shall, to the maximum extent practicable:

(A) obtain the short-term services of specialists with knowledge and expertise in programs serving beginning farmers or ranchers; and

(B) use officers and employees of the Department with direct experience in programs of the Department that may be taught as part of the curriculum for the program or workshop.

(4) Cooperation:

(A) In General:

In carrying out this subsection, the Secretary shall cooperate, to the maximum extent practicable, with:

- (i) State cooperative extension services;
- (ii) Federal and State agencies;
- (iii) community-based and nongovernmental organizations;
- (iv) colleges and universities (including an institution awarding an associates degree) or foundations maintained by a college or university; and
- (v) other appropriate partners, as determined by the Secretary.

(B) Cooperative Agreement:

Notwithstanding chapter 63 of title 31, United States Code, the Secretary may enter into a cooperative agreement to reflect the terms of any cooperation under subparagraph (A).

An award also may be made to establish a Curriculum and Training Clearinghouse.

The Secretary shall establish an online clearinghouse that makes available to beginning farmers or ranchers education curricula and training materials and programs, which may include online courses for direct use by beginning



farmers or ranchers.

**Set-Aside:**

Not less than 25 percent of funds used to carry out this subsection for a fiscal year shall be used to support programs and services that address the needs of:

- (A) limited resource beginning farmers or ranchers (as defined by the Secretary);
  - (B) socially disadvantaged beginning farmers or ranchers (as defined in section 355(e) of the Consolidated Farm and Rural Development Act (7 U.S.C. 2003(e)); and
  - (C) farmworkers desiring to become farmers or ranchers.
- Set-Aside:  
Not less than 25 percent of funds used to carry out this subsection for a fiscal year shall be used to support programs and services that address the needs of:
- (A) limited resource beginning farmers or ranchers (as defined by the Secretary);
  - (B) socially disadvantaged beginning farmers or ranchers (as defined in section 355(e) of the Consolidated Farm and Rural Development Act (7 U.S.C. 2003(e)); and
  - (C) farmworkers desiring to become farmers or ranchers.

**Prohibition:**

A grant made under this subsection may not be used for the planning, repair, rehabilitation, acquisition, or construction of a building or facility. Fully discretionary.

**Applicant Eligibility:**

The recipient must be a collaborative, State, tribal, local, or regionally-based network or partnership of public or private entities, which may include: state cooperative extension service; community-based and nongovernmental organization; college or university (including institutions awarding associate degrees); or any other appropriate partner. Others may be eligible to apply. Please refer to Part III of the current BFRDP Request for Applications for complete eligibility requirements.

**Beneficiary Eligibility:**

The recipient must be a collaborative, State, tribal, local, or regionally-based network or partnership of public or private entities, which may include: state cooperative extension service; community-based and nongovernmental organization; college or university (including institutions awarding associate degrees); or any other appropriate partner. Others may be eligible to apply. Please refer to Part III of the current BFRDP Request for Applications for complete eligibility requirements.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications

(RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to

producers and the general public of each application.

**Evaluation Criteria:**

In making grants under this subsection, the Secretary shall evaluate:

- (A) relevancy;
- (B) technical merit;
- (C) achievability;
- (D) the expertise and track record of 1 or more applicants;
- (E) the adequacy of plans for the participatory evaluation process, outcome-based reporting, and the communication of findings and results beyond the immediate target audience; and
- (F) other appropriate factors, as determined by the Secretary.

**Regional Balance:**

In making grants under this subsection, the Secretary shall, to the maximum extent practicable, ensure geographical diversity.

**Priority:**

In making grants under this subsection, the Secretary shall give priority to partnerships and collaborations that are led by or include nongovernmental and community based organizations with expertise in new agricultural producer training and outreach.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. Funds are awarded competitively. No formula grants are awarded under Section 7405 of the Farm Security and Rural Investment Act of 2002, [7 U.S.C. 3319f].

To be eligible to receive a grant under this program, a recipient must provide a match

in the form of cash or in-kind contributions in an amount equal to 25 percent of the funds provided by the grant.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Quarterly Reports of Federal Cash Transactions (SF-272) are required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and are submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

A final Financial Status Report (SF-269) or "Federal Financial Report" (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 10 \$19,000,000; FY 11 est \$18,156,000; and FY 12 est \$18,145,504 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant are established by the annual program announcement or RFA. However, the amount of the competitive grants shall not exceed \$ 250,000 for each year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: To be provided by Program at a future date. Fiscal Year 2011: To be provided by Program at a future date. Fiscal Year 2012: To be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (OMB Circular A-110); 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21); 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122); 7 CFR Part 3015, USDA Uniform

Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Economic and Community Systems or Competitive Programs 1400 Independence Avenue, SW., STOP 2215 or STOP 2240, Washington, District of Columbia 20024 Phone: (202) 690-3162

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.312 BIOMASS RESEARCH AND DEVELOPMENT INITIATIVE COMPETITIVE GRANTS PROGRAM (BRDI)**

BRDI

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Collaboration between Department of Energy (DOE) and Department of Agriculture (USDA) on a Biomass Research and Development Initiative is directed under various statutory authorities, primarily the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-426) and the Energy Policy Act of 2005 (EPA) (Public Law 109-58; Section 941). USAs authorization appears in Section 9008 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-426) which replaced section 9008 of the Farm Security, and Rural Investment Act of 2002 (FSRIA) (Public Law 107-171) [7 U.S.C. 8108]; thereby amending section 307 of the Biomass Research and Development Act of 2000 (BRDA) (7 U.S.C. 7624 note, and 7 U.S.C. 8101 note; Public Law 106224). Pursuant to Executive Order 13134, BRDA can be found at (7 U.S.C. 8601 et seq). BRDA authorizes the Biomass Research and Development. , Public Law 109-58, 7 U.S.C 8606.

**OBJECTIVES:**

To carry out research on and development and demonstration of (A) biofuels and biobased products; and (B) the methods, practices, and technologies, for the production of biofuels and biobased products.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved research and extension objectives. Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

Funds may not be used for any purposes other than those approved in the grant award documents. Indirect costs may not exceed 22% of Federal Funds Awarded.

**Matching Requirements:**

20% for Research and Development Projects / 50% for Demonstration and Commercial Projects. Fully discretionary.

**Applicant Eligibility:**

Eligible entities include:

(A) an institution of higher education;

(B) a National Laboratory;

(C) a Federal research agency;

(D) a State research agency;

(E) a private sector entity;

(F) a nonprofit organization; or

(G) a consortium of 2 or more entities described in subparagraphs (A) through (F).

**Beneficiary Eligibility:**

Eligible entities include:

(A) an institution of higher education;

(B) a National Laboratory;

(C) a Federal research agency;

(D) a State research agency;

(E) a private sector entity;

(F) a nonprofit organization; or

(G) a consortium of 2 or more entities described in subparagraphs (A) through (F).

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for

more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov. This information collection is approved under OMB Control No. 0524-0039, CSREES Application Kit for Research and Extension Programs.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFAs for each fiscal year.

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are announced in the RFAs for each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Funds are awarded competitively. No formula grants are awarded under this authority.

The minimum required recipient cost share must be at least 20% of the total allowable costs for Research and Development (R&D) projects and 50% of the total allowable costs for Demonstration projects.

Applicant cost share must come from non-Federal sources unless otherwise allowed by law.

No blending of R&D and Demonstration or associated cost share will be permitted.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Non-profit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1003-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$28,800,000; FY 11 est \$28,644,100; and FY 12 est \$38,400,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

This program is no-year funding.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant are established by the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: To be provided by Program at a future date. Fiscal Year 2011: To be provided by Program at a future date. Fiscal Year 2012: To be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (OMB Circular A-110); 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21); 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader; Plant and Animal Systems, 1400 Independence Avenue, S.W., STOP 2220, , Washington, District of Columbia 20024 Phone: (202) 401-3356

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.212 Small Business Innovation Research; 10.215 Sustainable Agriculture Research and Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: To be provided by Program at a future date. Fiscal Year 2011: To be provided by Program at a future date. Fiscal Year 2012: To be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.313 VETERINARY MEDICINE LOAN REPAYMENT PROGRAM**

VLMRP

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NAREPTA), Section 1415A [7 U.S.C. 3151a], Public Law 95-113, 7 U.S.C 3151a.

**OBJECTIVES:**

The program responds to the current shortage of large animal veterinarians in rural areas by encouraging veterinarians, through loan repayment, to provide veterinary service in designated shortage areas.

To carry out a program of entering into agreements with veterinarians under which the Secretary shall pay specified amounts of the principal and interest of qualifying educational loans of the veterinarians.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

(1) SERVICE IN SHORTAGE SITUATIONS. The Secretary shall carry out a program of entering into agreements with veterinarians under which the veterinarians agree to provide, for a period of time as determined by the Secretary and specified in the agreement, veterinary services in veterinarian shortage situations. For each year of such service under an agreement under this paragraph, the Secretary shall pay an amount, as

determined by the Secretary and specified in the agreement, of the principal and interest of qualifying educational loans of the veterinarians.

**(2) SERVICE TO FEDERAL GOVERNMENT IN EMERGENCY SITUATIONS.**

(A) IN GENERAL. The Secretary may enter into agreements of 1 year duration with veterinarians who have agreements pursuant to paragraph (1) for such veterinarians to provide services to the Federal Government in emergency situations, as determined by the Secretary, under terms and conditions specified in the agreement. Pursuant to an agreement under this paragraph, the Secretary shall pay an amount, in addition to the amount paid pursuant to the agreement in paragraph (1), as determined by the Secretary and specified in the agreement, of the principal and interest of qualifying educational loans of the veterinarians.

(B) REQUIREMENTS. Agreements entered into under this paragraph shall include the following:

- (i) A veterinarian shall not be required to serve more than 60 working days per year of the agreement.
- (ii) A veterinarian who provides service pursuant to the agreement shall receive a salary commensurate with the duties and shall be reimbursed for travel and per diem expenses as appropriate for the duration of the service.

None of the funds appropriated to the Secretary under subsection (f) may be used to carry out section 5379 of title 5, United States Code. None of the funds appropriated to the Secretary under subsection (f) may be used to carry out section 5379 of title 5, United States Code. Fully discretionary. Agreements with veterinarians under which the Secretary shall pay specified amounts of the principal and interest of qualifying educational loans of the veterinarians.

**Applicant Eligibility:**

The Secretary may enter into agreements with veterinarians under which the veterinarians agree to provide, for a period of time as determined by the Secretary and specified in the agreement, veterinary services in veterinarian shortage situations.

**Beneficiary Eligibility:**

The Secretary may enter into agreements with veterinarians under which the veterinarians agree to provide, for a period of time as determined by the Secretary and specified in the agreement, veterinary services in veterinarian shortage situations.

**Credentials/Documentation:**

Applicants must furnish the information required in the request for applications (RFAs), which include: (1) a Loan Information Form for each loan to be considered for repayment; (2) an Intent of Employment form providing assurance that the applicant will be engaged in employment at a NIFA-designated veterinary shortage area for not less than three years from the anticipated effective date of the VMLRP contract between the individual and NIFA; and (3) a signed VMLRP Contract by which the applicant agrees to serve the obligated minimum period of three years providing veterinary service in a designated veterinary shortage area. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per the VMLRP website at [www.nifa.usda.gov/vmlrp](http://www.nifa.usda.gov/vmlrp). Qualified individuals interested in participating in the VMLRP should visit the VMLRP website for all application forms and requirements. The application will be evaluated by a peer review panel, convened for this purpose by the NIFA. In selecting applicants for participation in the VMLRP, the panel will consider eligibility status, quality of the applicant, and the applicants career plan focus. All selections are subject to final approval by the VMLRP manager. The NIFA will notify the State Animal Health Official and the applicant of the outcome of

the review.

Several Federal statutes and regulations apply to VMLRP applications considered for review and to service agreements awarded under this program. These include, but are not limited to:

- 7 CFR Part 1, subpart USDA implementation of the Freedom of Information Act.
- 7 CFR Part 3USDA implementation of OMB Circular No. A-129 regarding debt collection.
- 7 CFR Part 15, subpart USDA implementation of Title VI of the Civil Rights Act of 1964, as amended.
- 7 CFR Part 331 and 9 CFR Part 121USDA implementation of the Agricultural Bioterrorism Protection Act of 2002.
- 7 CFR Part 3015USDA Uniform Federal Assistance Regulations, implementing OMB directives (e.g., OMB Circular Nos. A-21 and A-122 (2 CFR Parts 220 and 230)), and incorporating provisions of 31 U.S.C. 6301-6308 (formerly the Federal Grant and Cooperative Agreement Act of 1977, Pub. L. No. 95-224), as well as general policy requirements applicable to recipients of Departmental financial assistance.
- 7 CFR Part 3017USDA implementation of Governmentwide Debarment and Suspension (Nonprocurement).
- 7 CFR Part 3018USDA implementation of Restrictions on Lobbying. Imposes prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans.
- 7 CFR Part 3019USDA implementation of OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations (2 CFR Part 215).
- 7 CFR Part 3021 Governmentwide Requirements for Drug-Free Workplace (Financial Assistance).
- 7 CFR Part 3052USDA implementation of OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations.
- 7 CFR Part 3407NIFA procedures to implement the National Environmental Policy Act of 1969, as amended.
- 7 CFR Part 3431 Veterinary Medicine Loan Repayment Program 29 U.S.C. 794 (section 504, Rehabilitation Act of 1973) and 7 CFR Part 15b (USDA implementation of statute) prohibiting discrimination based upon physical or mental handicap in Federally assisted programs.
- 35 U.S.C. 200 et seq. Bayh Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401).

#### **Award Procedure:**

Once the applicant is selected to participate in the VMLRP, the applicant and the NIFA Director (or Secretary of Agriculture) will sign a written binding contract stating the terms and conditions for participating in the VMLRP. The effective date of the contract will be the date it is signed by the NIFA Director, or the date employment/service begins at an NIFA-designated veterinary shortage area, whichever is later.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Dates for specific deadlines are announced in the RFAs or guidelines for each fiscal year.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

A VMLRP participant completing the initial 3-year period of qualified veterinary service has an option to extend the obligatory period of service on an annual basis.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

The VMLRP will pay equal quarterly payments to the lenders. Each payment will be made shortly after the end of each full quarter of satisfactory service. Method of awarding/releasing assistance: quarterly.

#### **Reports:**

1) Quarterly Report: VMLRP recipients will be required to verify that the terms of the VMLRP contract are being met on a quarterly basis. Subsequent quarterly loan repayments will not be disbursed until this verification is provided. This report will be due ten business days after the end of each 3 month interval during the VMLRP contract for the previous 3 month period and must include the following information: (a) A listing of states, counties, and/or insular areas served (b) A listing of veterinary services and activities provided in the shortage situation (c) Percentage time (on a 40-hour week basis) providing service to veterinary shortage situation identified in the agreement. Program participants are responsible for notifying NIFA of any changes in the service being provided in the specified shortage situation during the 3-year period. It is strongly recommended that program participants advise NIFA of these changes at least 2 months in advance to allow sufficient processing time. Failure to provide the updated information may result in the termination of the VMLRP contract and the program participant may be subject to penalties as outlined in Section C, Paragraph 3 of the contract.

SPECIAL NOTES: See below for information regarding submission of the Termination Report. Please refer to 7 CFR Part 3431 and annual RFA for further details. Cash reports are not applicable. See above for information regarding submission of Quarterly Reports. See below for information regarding submission of the Termination Report.

SPECIAL NOTE: Please refer to 7 CFR Part 3431 and annual RFA for further details. Expenditure reports are not applicable. 2) Termination Report: At the end of the term of the agreement, the recipient and his/her supervisor will each prepare and submit to NIFA a Termination Report that addresses the following, as well as any other information the participants wish to share with NIFAs VMLRP leadership:

- a. A summary of the services provided toward mitigation of the original veterinary shortage situation, as well as other veterinary services provided to the local community, institution, or other employing entity,
- b. An assessment of the current state of veterinary services in the recipients service area and adjacent service areas, or specialty area, with emphasis on identification of ongoing shortage situations.
- c. An assessment of future veterinary service needs and trends in the recipients service (or specialty area) and, to the extent such information may be known, adjacent service areas, with emphasis on identification of ongoing shortage situations, either geographic or disciplinary.
- d. An appraisal of the overall effectiveness of the VMLRP in addressing the specific veterinary shortage situation served by the awardee, including the role of the mentor (where applicable). The Termination Report must be submitted by email attachment to [vmrlp@nifa.usda.gov](mailto:vmrlp@nifa.usda.gov), preferably as an MS Word or WordPerfect document. The subject line and the first line of the body of the email should include, in the following order: Termination Report: <Last name of recipient>, <award number>, <shortage situation code>.

SPECIAL NOTES:

See above for specific details regarding submission of the Quarterly Reports. Please refer to 7 CFR Part 3431 and annual RFA for further details.

#### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Please refer to 7 CFR Part 3431 for guidance.

#### **Records:**

Please refer to 7 CFR Part 3431 for guidance.

#### **Account Identification:**

12-1500-0-1-352.

#### **Obligations:**

(Direct Payments for Specified Use) FY 10 \$9,382,000; FY 11 est \$4,203,360; and FY 12 est \$4,320,000 - No funding was obligated in FY 2009 because this is a new program and we had our first application cycle in FY 2010. These are "no-year" funds. Hence, carryover and FY '10 funds awarded in FY '10 are

reflected. Further, FY 11 funds will be awarded in FY '11.

The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant are established by the annual program announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Final Rule for the VMLRP was published in the Federal Register on April 19, 2010, Document 2010-8628 [ FR Vol 75, No. 74 - (Pages 20239 - 20248).

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Agriculture, National Institute of Food and Agriculture, National Program Leader, Plant & Animal Systems, 1400 Independence Avenue, SW., STOP 2220, Washington, District of Columbia 20250-2220 Phone: (202) 401-4952.

**Website Address:**

<http://www.nifa.usda.gov/vmlrp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In carrying out its review, the peer review panel will take into account the quality of match between an applicants professional training and experience and the circumstances and needs of the designated shortage situation the applicant proposes to fill. The following evaluation criteria will be considered in the context of the factors and circumstances necessary for 1) most effective mitigation of the specific veterinary shortage situation, 2) prioritizing the relatively more severe shortages and, 3) achieving the highest likelihood that awardees will realize employment satisfaction and professional success during and beyond the term of the VMLRP agreement. Additional guidelines are described in the RFAs.

**10.314 NEW ERA RURAL TECHNOLOGY COMPETITIVE GRANTS PROGRAM**

Rural Technology Program (RTP)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 , Public Law 110-246, 7 U.S.C 3319e; Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act (NARETPA) of 1977, as amended (7 U.S.C. 3121), 7 U.S.C 3121.

**OBJECTIVES:**

To establish a competitive grants program to provide funding for technology development, applied research, and training to aid in the development of an agriculture-based renewable energy workforce.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants

**USES AND USE RESTRICTIONS:**

In General:

In carrying out this section, the Secretary shall establish a program to make grant funds available for approved technology development, applied research, and training to aid in the development of an agriculture-based renewable energy workforce. Grant funds must be used for allowable costs necessary to conduct the program. The initiative shall support the following fields:

(A) bioenergy;

(B) pulp and paper manufacturing; and

(C) agriculture-based renewable energy resources.

**Grant Priority:**

In providing grants under this section, the Secretary shall give preference to eligible entities working in partnership

(1) to improve information-sharing capacity; and

(2) to maximize the ability to meet the following requirements for funding delineated in (A), (B) and (C) of Section :081 below.

**Applicant Eligibility:**

Applications may be submitted by either: (1) public or private nonprofit community colleges, or (2) advanced technological centers. Must see RFA (Part III.A) for specific eligibility requirements.

**Beneficiary Eligibility:**

Applications may be submitted by either: (1) public or private nonprofit community colleges, or (2) advanced technological centers. Must see RFA (Part III.A) for specific eligibility requirements.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. 091 Preapplication Coordination:

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:

[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

:092 Application Procedure:

Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

Priority: In providing grants under this section, the Secretary shall give preference to eligible entities: (1) to improve information-sharing capacity; and (2) to maximize the ability to meet the requirements as delineated in (A), (B) and (C) of Section :081 above.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are

included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)

Office of Grants and Financial Management (OGFM)

National Institute of Food and Agriculture (NIFA)

U.S. Department of Agriculture (USDA)

STOP 2271

1400 Independence Avenue, SW

Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$875,000; FY 11 est \$808,362; and FY 12 est \$819,000 - The difference between the appropriation and obligation numbers reflects legislatively authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: To be provided by Program at a future date. Fiscal Year 2011: To be provided by Program at a future date. Fiscal Year 2012: To be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant



Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations and 7 CFR Part 3021, Government wide Requirements for Drug-Free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Science and Education Resources Development (SERD) - Higher Education USDA, NIFA, National Program Leader, Science and Education Resources Development (SERD) Higher Education, 1400 Independence Avenue, SW, STOP 2251, Washington, DC 20024. Telephone: (202) 720-2067 and Facsimile: (202) 720-3945. , Washington, District of Columbia 20024 Phone: 202-720-2067 Fax: 202-720-3945

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.315 TRADE ADJUSTMENT ASSISTANCE FOR FARMERS TRAINING COORDINATION PROGRAM (TAAF)**

Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Subtitle C of Title 1 of the Trade Adjustment Assistance Reform Act of 2002 (Public Law 107-210), amended the Trade Act of 1974 (Public Law 93-618) establishing the Trade Adjustment Assistance for Farmers (TAAF) program. The American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) reauthorizes and amends the TAAF Program to provide both technical assistance and cash benefits to eligible producers of raw agricultural commodities and fishermen impacted by increased imports contributing to a specific decrease in the national average price, or quantity of production, or value of production of, or cash receipts for the agricultural commodity or fishery products compared to the average of the three (3) preceding marketing years. ARRA amendments to the TAAF program add certain classes of fisherman, increase the reporting requirements and overall transparency of the program, clarify eligibility determinations and associated processes, and clarify the roles and responsibilities of the applicants and the Federal partners., Public Law 107-210.

**OBJECTIVES:**

The purpose of the TAAF program is to provide U.S. agricultural producers whose commodities have been certified as affected by imports, and who have been approved through individual application, with the knowledge, skills and tools needed to make adjustments to their operations, business plans, marketing plans for their operations, with the goal of enhancing farm profitability and ability to adjust to imports. Producers of commodities certified by the USDA Foreign Agricultural Service (FAS) and who meet the eligibility requirements by USDA Farm Service Agency (FSA) are eligible for TAAF program participation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

General Uses:

Through this RFA NIFA requests applications for the TAAF Training Coordination Program to establish a National TAAF Training Coordination Center responsible for the development and delivery of training and technical assistance to TAAF-eligible producers for business planning, diversification of enterprises, marketing, and other beneficial subjects as needed to aid producers in adjusting to the impact of imported commodities. The National TAAF Training Coordination Center will design and administer the training requirements of TAAF, develop communications regarding TAAF training and technical assistance, and comply with reporting requirements as described under Part I(B) and in Part VI(D). The successful National TAAF Training Coordination Program applicant will enter into a cooperative agreement with NIFA for establishment of the National TAAF Training Coordination Center to coordinate and implement the training and technical assistance component of the TAAF program under section 296(b) of the Trade Act of 1974 (19 U.S.C. 2401e). Please be advised that the following components of the TAAF program will be administered by FAS/FSA: certification of agricultural commodities eligibility certifications, approval of applications for cash benefits, and payments to implement business plans.

FAS, NIFA, FSA, and the Agricultural Marketing Service (AMS) will all be involved in the TAAF outreach effort. FAS has established a website for TAAF which is now linked to USDA, FSA, NIFA, AMS websites and can be found at: <http://www.fas.usda.gov/ITP/TAA/taa.asp>. Implementing regulations governing the TAAF program (including specific requirements for the provision of training and technical assistance) are expected to be published shortly in the Federal Register (as a Final Rule).

Applicants to the National TAAF Training Coordination Program must show their capacity to provide TAAF program coordination and training as described below:

1. Coordination of TAAF

- Awardee will establish a National TAAF Training Coordination Center The National TAAF Training Coordination Center will:
- o Develop rapid response implementation procedures for TAAF training and associated reporting activities;
  - o Contract with or make grants to state Cooperative Extension services or other qualified provider(s) to deliver TAAF training and technical assistance to TAAF-eligible producers;
  - o Conduct regional training workshops for TAAF trainers on existing or emerging TAAF topics;
  - o Develop a National and regional outreach and communication plan in concert with relevant agencies of the Department of Agriculture to promote the TAAF program;
  - o Provide effective TAAF communication at intra- and inter-regional and National levels, including use of media outlets and the distribution of TAAF materials;
  - o Provide a National one-stop source of TAAF information (National TAAF Training Coordination Center website).
  - o Coordinate with and report to CSREES, and report training activities and performance measures into associated ARRA data management systems (as described in Part VI. (D));

2. Training and Technical Assistance for TAAF

- Provide Initial Technical Assistance Training that will:
- o Help TAAF-eligible producers improve their yield and marketing of certified agricultural commodities; and/or
  - o Enhance the feasibility and desirability of initiating production of one or more alternative agricultural commodities in exchange for agricultural commodities certified as eligible for TAAF.

- Provide Intensive Technical Assistance Training that includes:
- o A series of courses to further assist TAAF-eligible producers in improving their competitiveness producing certified agricultural commodities with respect to which the producer was certified under this chapter; or one or more alternative agricultural commodities;

- o Assistance to TAAF-eligible producers with developing an initial business plan based on the initial technical assistance training that can be approved in accordance with the requirements that will be set out in 7 CFR 1580.32. An approved plan must reflect the skills gained by the producer through the intensive technical assistance courses, and demonstrate how the producer will apply those skills to make adjustments to its business and marketing plans and operations with the goal of enhancing its farm profitability and ability to adjust to imports; and
- o Assistance in developing a long-term business adjustment plan that meets regulatory requirements and includes steps to materially contribute to the economic adjustment of producers to changing market conditions, while taking into consideration the interests of the workers employed by the producer and demonstrating that the producer will have sufficient resources to implement the business plan. Indirect costs may not exceed ten percent (10%) of the total Federal funds provided under this award (TFFA). The recovery of indirect costs on the cooperative agreement made by NIFA under this program, as well as subawards may not exceed the lesser of the institutions official negotiated indirect cost rate or the equivalent of 10 percent of total Federal funds awarded.

NIFA has determined that funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

**Applicant Eligibility:**

Applications may be submitted by organizations and institutions that are part of the Land Grant system and/or State Cooperative Extension services.

**Beneficiary Eligibility:**

Applications may be submitted by organizations and institutions that are part of the Land Grant system and/or State Cooperative Extension services.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs).

Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided

previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. NIFA does not require matching or cost sharing support for this program, and matching resources will not be factored into the review process as evaluation criteria.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Three (3) year project period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Funded projects will be expected to verify program accomplishments. Detailed information on the performance measures for TAAF can be found on the OMB website at:

<http://www.whitehouse.gov/omb/expectmore/detail/10003023.2006.html#performanceMeasures>.

Successful applicants will be responsible for reporting to NIFA, and reporting activities into associated ARRA data management systems.

**NIFA Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**ARRA Reports:**

Funds awarded pursuant to this RFA were made available by section 1887 of the American Recovery and Reinvestment Tax Act of 2009 (Div. B of ARRA). Specific reporting requirements under ARRA will be identified in the Terms and Conditions of the Award.

1. Award Level Transaction Data Feed Awardees are required to submit bimonthly reports to NIFA detailing funds distribution as technical training assistance is initiated (this information ultimately feeds to the USAspending.gov).

Report frequency is currently bimonthly, however the frequency of report transmissions may change to be required weekly within the terms of the award. Detailed information can be at the OMB website at: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

2. Funding Notifications This is a cumulative report that is to be completed immediately upon release of any type of public notification (local, regional, or National) including: press releases, significant web updates, public presentations that refer to TAAF, TAAF training opportunity announcements, and any other public sharing of information related to the use of ARRA funds. Detailed information can be at the OMB website at: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

Quarterly Recipient Reporting Beginning October 1, 2009, this reporting is mandated in 1512 of the ARRA. Detailed information can be at the OMB website at: [http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544) or via

the direct link for OMB Guidance: M-09-21. A centralized reporting tool is being implemented to facilitate and ease the reporting process. Section 1512 reporting requirements were further elucidated by OMB Webinars presented during the week of July 20, 2009 (archived on the OMB Webinar website).

The initial report deadline is October 10, 2009 and will recur quarterly for the duration of the award. Data validation is performed by FAS. Any corrections will be returned to the awardee and must be addressed during the last week of the month in which they were returned. The final draft of each report will be moved to Recovery.gov on the last day of the report month.

PLEASE NOTE: These reports are made to [www.FederalReporting.Gov](http://www.FederalReporting.Gov) by the TAAF Training Coordination Program awardee as agreed to in the Terms and Conditions of the award.

**3. Performance Measures:**

The measures have been revised to enrich the performance metrics for Recovery targets. In some instances, targets will not be available until additional baseline data has been collected. Please refer to Performance Measures published on the Recovery.gov for the FAS TAAF Recovery Plan which are available via the direct link or at the following website:

TAAF Performance Measures or

[http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544)

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)

Office of Grants and Financial Management (OGFM)

National Institute of Food and Agriculture (NIFA)

U.S. Department of Agriculture (USDA)

STOP 2271

1400 Independence Avenue, SW

Washington, DC 20250-2271

Telephone: (202) 401-4986. NIFA uses the SF-425, Federal Financial Report to monitor cash. Funded projects will be expected to verify program accomplishments. Detailed information on the performance measures for TAAF can be found on the OMB website at: <http://www.whitehouse.gov/omb/expectmore/detail/10003023.2006.html#performanceMeasures>.

Successful applicants will be responsible for reporting to NIFA, and reporting activities into associated ARRA data management systems.

**NIFA Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

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[http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544)

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

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Telephone: (202) 401-4986. Funded projects will be expected to verify program accomplishments. Detailed information on the performance measures for TAAF can be found on the OMB website at:  
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### ARRA Reports:

Funds awarded pursuant to this RFA were made available by section 1887 of the American Recovery and Reinvestment Tax Act of 2009 (Div. B of ARRA). Specific reporting requirements under ARRA will be identified in the Terms and Conditions of the Award.

1. Award Level Transaction Data Feed Awardees are required to submit bimonthly reports to NIFA detailing funds distribution as technical training assistance is initiated (this information ultimately feeds to the [USAspending.gov](http://USAspending.gov)). Report frequency is currently bimonthly, however the frequency of report transmissions may change to be required weekly within the terms of the award. Detailed information can be at the OMB website at: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

2. Funding Notifications This is a cumulative report that is to be completed immediately upon release of any type of public notification (local, regional, or National) including: press releases, significant web updates, public presentations that refer to TAAF, TAAF training opportunity announcements, and any other public sharing of information related to the use of ARRA funds. Detailed information can be at the OMB website at: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

Quarterly Recipient Reporting Beginning October 1, 2009, this reporting is mandated in 1512 of the ARRA. Detailed information can be at the OMB website at: [http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544) or via the direct link for OMB Guidance: M-09-21. A centralized reporting tool is being implemented to facilitate and ease the reporting process. Section 1512 reporting requirements were further elucidated by OMB Webinars presented during the week of July 20, 2009 (archived on the OMB Webinar website).

The initial report deadline is October 10, 2009 and will recur quarterly for the duration of the award. Data validation is performed by FAS. Any corrections will be returned to the awardee and must be addressed during the last week of the month in which they were returned. The final draft of each report will be moved to Recovery.gov on the last day of the report month.

PLEASE NOTE: These reports are made to [www.FederalReporting.Gov](http://www.FederalReporting.Gov) by the TAAF Training Coordination Program awardee as agreed to in the Terms and Conditions of the award.

### 3. Performance Measures:

The measures have been revised to enrich the performance metrics for Recovery targets. In some instances, targets will not be available until additional baseline data has been collected. Please refer to Performance Measures published on the Recovery.gov for the FAS TAAF Recovery Plan which are available via the direct link or at the following website:

TAAF Performance Measures or  
[http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544)

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be

submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Funded projects will be expected to verify program accomplishments. Detailed information on the performance measures for TAAF can be found on the OMB website at:  
<http://www.whitehouse.gov/omb/expectmore/detail/10003023.2006.html#performanceMeasures>.

Successful applicants will be responsible for reporting to NIFA, and reporting activities into associated ARRA data management systems.

#### NIFA Reports:

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

#### ARRA Reports:

Funds awarded pursuant to this RFA were made available by section 1887 of the American Recovery and Reinvestment Tax Act of 2009 (Div. B of ARRA). Specific reporting requirements under ARRA will be identified in the Terms and Conditions of the Award.

1. Award Level Transaction Data Feed Awardees are required to submit bimonthly reports to NIFA detailing funds distribution as technical training assistance is initiated (this information ultimately feeds to the [USAspending.gov](http://USAspending.gov)). Report frequency is currently bimonthly, however the frequency of report transmissions may change to be required weekly within the terms of the award. Detailed information can be at the OMB website at:  
[http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

2. Funding Notifications This is a cumulative report that is to be completed immediately upon release of any type of public notification (local, regional, or National) including: press releases, significant web updates, public presentations that refer to TAAF, TAAF training opportunity announcements, and any other public sharing of information related to the use of ARRA funds. Detailed information can be at the OMB website at:  
[http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

Quarterly Recipient Reporting Beginning October 1, 2009, this reporting is mandated in 1512 of the ARRA. Detailed information can be at the OMB website at:  
[http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544) or via the direct link for OMB Guidance: M-09-21. A centralized reporting tool is being implemented to facilitate and ease the reporting process. Section 1512 reporting requirements were further elucidated by OMB Webinars presented during the week of July 20, 2009 (archived on the OMB Webinar website).

The initial report deadline is October 10, 2009 and will recur quarterly for the

duration of the award. Data validation is performed by FAS. Any corrections will be returned to the awardee and must be addressed during the last week of the month in which they were returned. The final draft of each report will be moved to [Recovery.gov](http://Recovery.gov) on the last day of the report month.

PLEASE NOTE: These reports are made to [www.FederalReporting.Gov](http://www.FederalReporting.Gov) by the TAAF Training Coordination Program awardee as agreed to in the Terms and Conditions of the award.

#### 3. Performance Measures:

The measures have been revised to enrich the performance metrics for Recovery targets. In some instances, targets will not be available until additional baseline data has been collected. Please refer to Performance Measures published on the [Recovery.gov](http://Recovery.gov) for the FAS TAAF Recovery Plan which are available via the direct link or at the following website:  
TAAF Performance Measures or  
[http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544)

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

#### Records:

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

#### Account Identification:

12-1408-0-1-352.

#### Obligations:

(Cooperative Agreements) FY 10 \$16,400,000; FY 11 est \$0; and FY 12 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

The following specific details were provided by the Budget Office:  
FY 09 - Total \$19,600,000 of which federal administration set aside is \$1,960,000 and \$17,640,000 is available for award. There is no set aside for

SBIR or Biotech Risk.

FY 10 - Assume the same as in FY 09. Do not know how much will be available for sure as of now.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Information will be provided by Program staff at a future date. Fiscal Year 2011: Information will be provided by Program staff at a future date. Fiscal Year 2012: Funding is not anticipated for FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader for Trade Adjustment Assistance, Economic and Community Systems (ECS) Unit; 1400 Independence Avenue, SW, STOP 2215, Washington, District of Columbia 20250-2215 Phone: (202) 720-7947 and (202) 401-218 Fax: (202) 690-3162

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.316 HEALTHY URBAN FOOD ENTERPRISE DEVELOPMENT CENTER (HUFED)**

HUFED

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 25 of the Food Stamp Act of 1977 (7 U.S.C. 2034), as amended by the Food and Nutrition Act of 2008 and Section 4402 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Public Law 110-246), Section (h) (9) (A). , 7 U.S.C 2034.

**OBJECTIVES:**

To establish a competitive grants program to support a Healthy Urban Food Enterprise Development Center to increase access to healthy affordable foods, including locally produced agricultural products, to underserved communities. The purpose of the Center is to increase access to healthy affordable foods, including locally produced agricultural products, to underserved communities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Secretary shall offer to provide a grant to a nonprofit organization to establish and support a healthy urban food enterprise development center to carry out the purpose described in Section :050 - Objectives.

Assistance will be provided to support a community food project. The term

community food project means a community-based project that- (A) requires a 1-time contribution of Federal assistance to become self-sustaining; and H. R. 6124247

(B) is designed

- (i)(I) to meet the food needs of low-income individuals;
- (II) to increase the self-reliance of communities in providing for the food needs of the communities; and
- (III) to promote comprehensive responses to local food, farm, and nutrition issues; or
- (ii) to meet specific State, local, or neighborhood food and agricultural needs, including needs relating to
  - (I) infrastructure improvement and development;
  - (II) planning for long-term solutions; or
  - (III) the creation of innovative marketing activities that mutually benefit agricultural producers and low-income consumers.

The term Center means the healthy urban food enterprise development center established under Section :050 - Objectives.

The term underserved community means a community (including an urban or rural community or an Indian tribe) that, as determined by the Secretary, has (A) limited access to affordable, healthy foods, including fresh fruits and vegetables; (B) a high incidence of a diet-related disease (including obesity) as compared to the national average; (C) a high rate of hunger or food insecurity; or (D) severe or persistent poverty.

**ACTIVITIES**

**TECHNICAL ASSISTANCE AND INFORMATION:**

The Center shall collect, develop, and provide technical assistance and information to small and medium-sized agricultural producers, food wholesalers and retailers, schools, and other individuals and entities regarding best practices and the availability of assistance for aggregating, storing, H. R. 6124248 processing, and marketing locally produced agricultural products and increasing the availability of such products in underserved communities.

**AUTHORITY TO SUBGRANT:**

The Center may provide subgrants to eligible entities

- (i) to carry out feasibility studies to establish businesses for the purpose described in Section :050 - Objectives; and
- (ii) to establish and otherwise assist enterprises that process, distribute, aggregate, store, and market healthy affordable foods.

**Grant Priority:**

In providing technical assistance and grants under the Activities section above, the Center shall give priority to applications that include projects (A) to benefit underserved communities; and

(B) to develop market opportunities for small and mid-sized farm and ranch operations. **LIMITATION ON ADMINISTRATIVE EXPENSES.**

Not more than 10 percent of the total amount allocated for this subsection in a given fiscal year may be used for administrative expenses.

Indirect Costs:Fully negotiated rate.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees'

indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Nonprofit organizations are eligible to apply for and receive awards under the HUFED Center authority (7 U.S.C. 2034 (h)(2)).

**Beneficiary Eligibility:**

Nonprofit organizations are eligible to apply for and receive awards under the HUFED Center authority (7 U.S.C. 2034 (h)(2)).

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Priority:**

In providing technical assistance and grants under Section :070 - Activities, the Center shall give priority to applications that include projects (A) to benefit underserved communities; and (B) to develop market opportunities for small and mid-sized farm and ranch operations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

If applicable, information regarding renewals will be announced in the Request for Applications (RFA) each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

For each fiscal year for which the nonprofit organization described in Section :070 above receives funds, the organization shall submit to the Secretary a report describing the activities carried out in the preceding fiscal year, including

(A) a description of technical assistance provided by the Center;

(B) the total number and a description of the subgrants provided under Section :070 above;

(C) a complete listing of cases in which the activities of the Center have resulted in increased access to healthy, affordable foods, such as fresh fruit and vegetables, particularly for school-aged children and individuals in low-income communities; and

(D) a determination of whether the activities identified in subparagraph (C) (above) are sustained during the years following the initial provision of technical assistance and subgrants under this section. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$1,000,000; FY 11 est \$900,000; and FY 12 est \$0 - Computation represents \$1,000,000 Appropriation LESS \$ 100,000 for Federal Administration (10% of Appropriation per Sec. 4402 FCEA).

(A) IN GENERAL:

Out of any funds in the Treasury not otherwise appropriated, the Secretary of the Treasury shall transfer to the Secretary to carry out this subsection \$1,000,000 for each of fiscal years 2009 through 2011.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: To be provided by Program at a future date. Fiscal Year 2011: To be provided by Program at a future date. Fiscal Year 2012: To be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement); 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Competitive Programs 1400 Independence Avenue, SW, STOP 2240., Washington, District of Columbia 20024 Phone: (202) 205-0241 Fax: (202) 401-6071

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.225 Community Food Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: To be provided by Program at a future date. Fiscal Year 2011: To be provided by Program at a future date. Fiscal Year 2012: Funding is not anticipated for FY 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.317 FOOD AID NUTRITION ENHANCEMENT PROGRAM**

FANEP

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319e), 7 U.S.C 3319e.

**OBJECTIVES:**

To develop and field test new food products designed to improve the nutritional delivery of humanitarian food assistance provided through the McGovern Dole (section 3107 of the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 1736o-1)) and the Food for Peace title II (7 U.S.C. 1691 et seq.) programs.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The Secretary may award competitive grants for collaborative projects that are mutually beneficial to the United States and other countries and encourage private sector involvement.

**Applicant Eligibility:**

081 Applicant Eligibility: To receive funding under this section, an entity shall be

1) State agricultural experiment stations; (2) colleges and universities; (3)



university research foundations; (4) other research institutions and organizations; (5) Federal agencies, (6) national laboratories; (7) private organizations or corporations; (8) individuals who are U.S. citizens or permanent residents; and (9) any group consisting of 2 or more entities identified in (1) through (8) (as defined in section 1472(c) of NARETPA). Eligible institutions do not include foreign and international organizations.

**Beneficiary Eligibility:**

081 Applicant Eligibility: To receive funding under this section, an entity shall be

1) State agricultural experiment stations; (2) colleges and universities; (3) university research foundations; (4) other research institutions and organizations; (5) Federal agencies, (6) national laboratories; (7) private organizations or corporations; (8) individuals who are U.S. citizens or permanent residents; and (9) any group consisting of 2 or more entities identified in (1) through (8) (as defined in section 1472(c) of NARETPA). Eligible institutions do not include foreign and international organizations.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
  - (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
  - (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
  - (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
  - (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
  - (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.
- Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed five (5) years. Method of awarding/releasing assistance: lump sum.

**Reports:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed five (5) years.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)) grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-0-352.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$4,000,000; FY 11 est \$0; and FY 12 est \$0 - The Food Aid Nutrition Enhancement Program (FANEP) was last funded in FY 2010. Further funding is not anticipated for this program.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Pertinent data will be submitted by Program at a future date.  
Fiscal Year 2011: Pertinent data will be submitted by Program at a future date.  
Fiscal Year 2012: Funding is not anticipated for FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR 3052 - Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Competitive Programs, 1400 Independence Avenue, SW, STOP 2251, Washington, District of Columbia

20024 Phone: (202) 720-1973.

**Website Address:**

<http://www.nifa.usda.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.318 WOMEN AND MINORITIES IN SCIENCE, TECHNOLOGY, ENGINEERING, AND**

WAMS; Women and Minorities in Science, Technology, Engineering, and Mathematics Fields (STEM) program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 7204 of the Food Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246) amends section 1672 of the Food, Agriculture, Conservation and Trade Act of 1990 (FACT) (7 U.S.C. 5925) to authorize the Secretary of Agriculture to make competitive grants to support research and extension activities. The Secretary shall make these grants in consultation with the National Agricultural Research, Extension, and Education, and Economics Advisory Board.

**OBJECTIVES:**

The Women and Minorities (WAMS) in Science, Technology, Engineering and Mathematics (STEM) Fields program was authorized to increase participation by women and underrepresented minorities from rural areas in the fields of science, technology, engineering and mathematics, with priority given to eligible institutions that carry out continuing programs funded by the Secretary. The goal of the WAMS program is to develop and implement robust partnerships to increase the representation, participation, and entrepreneurship of women in STEM careers, thereby contributing to national economic prosperity. The purpose of the grant program is to support projects that: Provide STEM knowledge, skills and competency to Women and Minorities from Rural Areas with successful placement (a) in the workforce in STEM fields, or (b) as innovators and entrepreneurs adding value to the STEM fields in areas that have relevancy to the USDA Secretarys priorities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research and extension grants to increase participation by women and underrepresented minorities from rural areas in the fields of science, technology, engineering and mathematics, with priority given to eligible institutions that carry out continuing programs funded by the Secretary. Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees). Funds may not be used for any purposes other than those approved in the grant award documents.

**Indirect Costs:**

Not to exceed 22 percent of Federal Funds awarded. Fully discretionary.

**Applicant Eligibility:**

State agricultural experiment stations; colleges and universities; university research foundations; other research institutions and organizations; Federal agencies; national laboratories; private organizations or corporations; individuals; or any group consisting of 2 or more of these entities.

**Beneficiary Eligibility:**

State agricultural experiment stations; colleges and universities; university research foundations; other research institutions and organizations; Federal

agencies; national laboratories; private organizations or corporations; individuals; or any group consisting of 2 or more of these entities.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun and Bradstreet hotline at (1-866) 705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual. Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at (888) 227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs. Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:  
Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures

set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

Dates for specific deadlines are announced in the RFA each fiscal year.

Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/>

<http://www.grants.gov>.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 100%. Grant recipients are required to match the USDA funds awarded on dollar-for-dollar basis from non-Federal sources with cash and in-kind contributions.

NIFA may waive the matching funds requirement for a grant if NIFA determines that:

(a) the results of the project, while of particular benefit to a specific agricultural commodity, are likely to be applicable to agricultural commodities generally; or

(b) the project involves a minor commodity, the project deals with scientifically important research, and the grant recipient is unable to satisfy the matching funds requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants under this program may not exceed 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271  
400 Independence Avenue, SW.

Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$400,000; FY 11 est \$377,232; and FY 12 est \$364,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: To be provided by Program at a future date. Fiscal Year 2011: To be provided by Program at a future date. Fiscal Year 2012: To be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Science and Education Resources Development, Higher Education Programs 1400 Independence Avenue, SW., STOP 2251, Washington, District of Columbia 20024-2251 Phone: (202) 401-2855 Fax: (202) 720-2030.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: To be provided by Program at a future date. Fiscal Year 2011: To be provided by Program at a future date. Fiscal Year 2012: To be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.319 FARM BUSINESS MANAGEMENT AND BENCHMARKING COMPETITIVE GRANTS PROGRAM**

FBMB Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 1672D of the Food, Agriculture, Conservation and Trade Act of 1990 (7 U.S.C. 5925f).

**OBJECTIVES:**

To establish a competitive research and extension grants program for the purpose of: (1) improving the farm management knowledge and skills of agricultural producers; and (2) establishing and maintaining a national, publicly available farm financial management database to support improved farm management.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

In general:

The Secretary may make competitive research and extension grants for the purpose of:

(1) improving the farm management knowledge and skills of agricultural producers;

and

(2) establishing and maintaining a national, publicly available farm financial management database to support improved farm management.

Selection criteria:

In allocating funds made available to carry out this section, the Secretary may give priority to grants that:

(1) demonstrate an ability to work directly with agricultural producers;

(2) collaborate with farm management and producer associations;

(3) address the farm management needs of a variety of crops and regions of the United States; and

(4) use and support the national farm financial management database.

Administration:

Paragraphs (4), (7), (8), and (11)(B) of subsection (b) of section 450i of this title shall apply with respect to the making of grants under this section.

Authorization of appropriations:

There are authorized to be appropriated such sums as are necessary to carry out this section. NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities. Fully discretionary.

**Applicant Eligibility:**

Applications may be submitted by qualified public and private entities.

Pursuant to 7 U.S.C. 450i(7), this includes:

(A) State agricultural experiment stations;

(B) colleges and universities;

(C) university research foundations;

(D) other research institutions and organizations;

- (E) Federal agencies;
- (F) national laboratories;
- (G) private organizations or corporations;
- (H) individuals; or
- (I) any group consisting of 2 or more of the entities described in subparagraphs (A) through (H).

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project. An applicant's failure to meet an eligibility criterion by the time of an application deadline may result in the application being excluded from consideration or, even though an application may be reviewed, will preclude NIFA from making an award.

**Beneficiary Eligibility:**

Applications may be submitted by qualified public and private entities. Pursuant to 7 U.S.C. 450i(7), this includes:

- (A) State agricultural experiment stations;
- (B) colleges and universities;
- (C) university research foundations;
- (D) other research institutions and organizations;
- (E) Federal agencies;
- (F) national laboratories;
- (G) private organizations or corporations;
- (H) individuals; or
- (I) any group consisting of 2 or more of the entities described in subparagraphs (A) through (H).

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project. An applicant's failure to meet an eligibility criterion by the time of an application deadline may result in the application being excluded from consideration or, even though an application may be reviewed, will preclude NIFA from making an award.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organization's registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided

previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded from coverage under E.O. 12372. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>

<http://www.grants.gov>

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. NIFA does not require matching or cost sharing support for this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$1,500,000; FY 11 est \$1,436,120; and FY 12 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

NOTE: Funding of this program is not anticipated beyond FY '11.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: To be provided by Program at a future date. Fiscal Year 2011: To be provided by Program at a future date. Fiscal Year 2012: NOTE: Funding of this program is not anticipated beyond FY '11.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR 3052 - Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Economic and Community Systems (ECS) 1400 Independence Avenue, SW, STOP 2215, , Washington, District of Columbia 20024 Phone: (202) 720-7947 Fax: (202) 690-3162

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.320 SUN GRANT PROGRAM**

Sun Grant Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

The Sun Grant Program, was originally established in section 778 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2004 (Public Law 108-199), which amended

the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) adding section 9011, entitled the Sun Grant Research Initiative Act of 2003. Section 7526 of the Food, Conservation, and Energy Act of 2008 (7 U.S.C. 8114) establishes the Sun Grant Program, replacing the Sun Grant Research Initiative Act of 2003. Authority for the Sun Grant Program is delegated to the National Institute of Food and Agriculture in title 7 Part 2.66 subpart (a) section (153) of the Code of Federal Regulations.

**OBJECTIVES:**

This program responds to the need to enhance national energy security with biobased energy technology; promote diversification and environmental sustainability through biobased technology; promote economic diversification in the rural U.S. through biobased technology; and enhance the efficiency of biobased technology research and development (R&D) through collaborations among USDA; Department of Energy (DOE); and Land Grant Institutions.

Grants will be awarded to the sun grant centers and subcenter for the purposes of carrying out a competitive grants program and to conduct multi-institutional and multistate research, extension, and education programs on technology development; and integrated research, extension, and education programs on technology implementation.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Sun Grant Program was established to:

- (1) Enhance national energy security with biobased energy tech;
- (2) Promote diversification and environmental sustainability through biobased tech;
- (3) Promote economic diversification in the rural US through biobased technology; and
- (4) Enhance the efficiency of biobased technology R&D through collaborations among the United States Department of Agriculture, Department of Energy, and Land Grant Institutions.

A Sun Grant Center or Subcenter shall use 75 percent of the funds to provide competitive grants to entities that are

- (i) eligible to receive grants under subsection (b)(7) of the Competitive, Special, and Facilities Research Grant Act (7 U.S.C. 450i(b)(7)); and
- (ii) located in the region covered by the Sun Grant Center or Subcenter. Grant funds must be used for allowable costs necessary to conduct approved research and extension objectives. Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees). Funds may not be used for any purposes other than those approved in the grant award documents. Fully discretionary.

**Applicant Eligibility:**

Only the Sun Grant Centers and Subcenter as specifically designated in 7 U.S.C. 8114 are eligible to apply for funding under this program.

**Beneficiary Eligibility:**

Only the Sun Grant Centers and Subcenter as specifically designated in 7 U.S.C. 8114 are eligible to apply for funding under this program.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun and Bradstreet hotline at (1-866) 705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual. Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business

Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at (888) 227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs. Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following: Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Preapplication coordination is not applicable.

**Award Procedure:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded from coverage under E.O. 12372. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov. Proposals submitted by Sun Grant Centers or the Subcenter are reviewed by a panel of qualified NIFA scientists and appropriate persons in accordance with the provisions of 7 U.S.C. 8114. Proposals are funded to the extent permitted by available funds on the basis of merit and compliance with provisions found in applicable legislation and regulations. Competitive grant applications awarded by the Sun Grant Centers or the Subcenter are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g.,

colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the solicitation available from the Sun Grant Centers or the Subcenter.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Funds allocated for competitive grants must be matched in an amount of 20 percent from non-Federal sources by all subawardees. Matching requirements do not apply to fundamental research. Additionally, the Sun Grant Center or Subcenter may reduce or eliminate the requirement for non-Federal funds for applied research if the Sun Grant Center or Subcenter determines that the reduction is necessary and appropriate pursuant to specific guidance issued by NIFA. Specific matching provisions are announced in the request for applications or guidelines for each fiscal year.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of project grants and/or cooperative agreements under this program may not exceed 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Pursuant to 7 U.S.C. 8114, not later than 90 days after the end of each fiscal year, a Sun Grant Center or Subcenter receiving a grant shall submit to NIFA a report that describes the policies, priorities, and operations of the program carried out by the center or Subcenter during the fiscal year, including (1) the results of all peer and merit review procedures conducted in association with the 75 percent of funds designated for competitive grants in 7 U.S.C. 8114; and

(2) a description of progress made in facilitating the priorities planned for addressing the bioenergy, biomass, and gasification research priorities of the Department of Agriculture and the Department of Energy at the State and regional levels. The plan must be jointly developed in cooperation with land-grant colleges and universities and private industry. NIFA uses the SF-425, Federal financial Report to monitor cash. These are required on a quarterly basis and due within 30 days after the close of each quarter. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Pursuant to 7 U.S.C. 8114, not later than 90 days after the end of each fiscal year, a Sun Grant Center or Subcenter receiving a grant shall submit to NIFA a report that describes the policies, priorities, and operations of the program carried out by the center or Subcenter during the fiscal year, including (1) the results of all peer and merit review procedures conducted in association with the 75% of funds designated for competitive grants in 7 USC 8114; and

(2) a description of progress made in facilitating the priorities planned for addressing the bioenergy, biomass, and gasification research priorities of the Department of Agriculture and the Department of Energy at the State and regional levels. The plan must be jointly developed in cooperation with land-grant colleges and universities and private industry. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)

Office of Grants and Financial Management (OGFM)

National Institute of Food and Agriculture (NIFA)

Department of Agriculture (USDA)

STOP 2271

1400 Independence Avenue, SW

Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Pursuant to 7 U.S.C. 8114, not later than 90 days after the end of each fiscal year, a Sun Grant Center or Subcenter receiving a grant shall submit to NIFA a report that describes the policies, priorities, and operations of the program carried out by the center or Subcenter during the fiscal year, including (1) the results of all peer and merit review procedures conducted in association with the 75 percent of funds designated for competitive grants in 7 U.S.C. 8114; and

(2) a description of progress made in facilitating the priorities planned for addressing the bioenergy, biomass, and gasification research priorities of the Department of Agriculture and the Department of Energy at the State and regional levels. The plan must be jointly developed in cooperation with land-grant colleges and universities and private industry.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$2,250,000; FY 11 est \$2,155,680; and FY 12 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

NOTE: Funding of this Program is not anticipated beyond FY 2011.

**Range and Average of Financial Assistance:**



Of available funds there will be equal distribution among each of the Sun Grant Centers in compliance with 7 U.S.C. 8114 and with the Terms and Conditions of the award with a portion of the funds allocated to the western Sun Grant Center to be made available to the western insular Pacific sun grant Subcenter in an amount as determined appropriate by NIFA.

For competitive grants made by the Sun Grant Centers or the Subcenter, if minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: To be provided by Program at a future date. Fiscal Year 2011: To be provided by Program at a future date. Fiscal Year 2012: NOTE: Funding of this Program is not anticipated beyond FY 2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR 3052 - Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Program Leader; Plant and Animal Systems, National Institute of Food and Agriculture, USDA; 1400 Independence Avenue, S.W., STOP 2220, Washington, District of Columbia 20250-2220 Phone: (202) 401-3356.

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.306 BIODIESEL; 10.310 Agriculture and Food Research Initiative (AFRI) ; 10.312 Biomass Research and Development Initiative Competitive Grants Program (BRDI)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the request for applications in accordance with 7 U.S.C. 8114 and applicable Terms and Conditions of the award.

**10.322 DISTANCE EDUCATION GRANTS FOR INSTITUTIONS OF HIGHER EDUCATION IN INSULAR AREAS**

Distance Education Grant (DEG)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

7 U.S.C. 3362.

**OBJECTIVES:**

To strengthen the capacity of Institutions of Higher Education in Insular Areas to carry out resident instruction, curriculum, and teaching programs in the food and agricultural sciences through distance education technology.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The purpose of Distance Education Grants for Institutions of Higher Education in Insular Areas is to strengthen the capacity of Institutions of Higher Education

in Insular Areas to carry out resident instruction, curriculum, and teaching programs in the food and agricultural sciences through distance education technology. Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project. Grant funds may not be used for endowment investing. Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**Applicant Eligibility:**

Individual land-grant colleges and universities, and other institutions that have secured land-grant status through Federal legislation, and which are located in Insular Areas are automatically eligible for awards under the DEG grants program, either as direct applicants or as parties to a consortium agreement.

**Beneficiary Eligibility:**

Individual land-grant colleges and universities, and other institutions that have secured land-grant status through Federal legislation, and which are located in Insular Areas are automatically eligible for awards under the DEG grants program, either as direct applicants or as parties to a consortium agreement.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the

preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
  - (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
  - (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
  - (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
  - (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
  - (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.
- Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Division, Office of Grants and Financial Management at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations). Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)) grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$750,000; FY 11 est \$718,560; and FY 12 est \$720,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Pertinent data will be submitted by Program at a future date.

Fiscal Year 2011: Pertinent data will be submitted by Program at a future date.  
Fiscal Year 2012: Pertinent data will be submitted by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR 3052 - Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Division of Community and Education 1400 Independence Avenue, SW, STOP 2250, Washington , District of Columbia 20250-2250 Phone: (202) 690-0402 and 401-2855 Fax: (202) 720-3398.

**Website Address:**

<http://www.nifa.usda.gov>

**RELATED PROGRAMS:**

10.308 Resident Instruction Grants for Insular Area Activities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Pertinent data will be submitted by Program at a future date.  
Fiscal Year 2011: Pertinent data will be submitted by Program at a future date.  
Fiscal Year 2012: Pertinent data will be submitted by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.324 AFGHANISTAN AGRICULTURAL EXTENSION PROJECT (AAEP)**

Afghanistan Agricultural Extension Project (AAEP)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Economy Act (31 U.S.C.1535) , 31 U.S.C 1535; Consolidated Appropriations Act, 2010 (P.L. 111-117), Public Law 111-117; Section 632(a) of the Foreign Assistance Act of 1961 (22 U.S.C. 2151), 22 U.S.C 2151.

**OBJECTIVES:**

To provide professional development training for Afghanistans agricultural extension staff, designed to facilitate the delivery of a more effective, demand-driven extension service to producers and other rural clientele in selected areas of the country.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The purpose of the Afghanistan Agricultural Extension Project (AAEP) is to assist Afghanistan to:

- deliver a more effective, demand-driven extension service to producers and other rural clientele in selected areas of the country;
- focus on professional development training for extension staff in order to increase extensions ability to meet farmers needs and to ultimately build public confidence;
- develop a cadre of extension staff with the technical expertise and appropriate methodologies to effectively extend information and knowledge;
- increase public accessibility to, and use of, government extension services;
- develop extension training modules and educational materials based on high-priority needs;
- prepare future extension personnel;
- encourage a pluralistic approach to extension that responds to farmers needs

for research-based technologies that is built upon the innovations of Afghanistan farmers; and

promote coordination among the various entities providing extension-related services. Grant funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Grant funds may not be used to support the salaries of U.S. government employees.

The purchase of equipment is limited to that which is required for training, teaching, extension demonstration, and other relevant project activities.

**Indirect Costs:**

Consortiums submitting a project proposal shall limit indirect costs to ten percent (10%) of the total federal funds requested. Fully discretionary.

**Applicant Eligibility:**

Only land-grant institutions are eligible to receive AAEP awards. Eligible land-grant institutions include all 1862, 1890, and 1994 land-grant institutions. All consortia members must be land-grant institutions.

**Beneficiary Eligibility:**

Only land-grant institutions are eligible to receive AAEP awards. Eligible land-grant institutions include all 1862, 1890, and 1994 land-grant institutions. All consortia members must be land-grant institutions.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of

Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the Request for Applications (RFA).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines: Dates for specific deadlines are announced in the RFA. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA).

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. However, the lead and consortium

institutions are encouraged to contribute resources to the accomplishment of project objectives. Institutions are further encouraged to cost share the difference between their negotiated indirect cost rate agreement and the limited ten percent (10%) recoverable rate for this project. Funds are awarded competitively. No formula grants are awarded under this authority. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of competitive cooperative agreements under this program may not exceed three years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program Reports:

Grantees are to submit initial project information, quarterly, and annual reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of these reporting requirements are included in the award terms and conditions. No cash reports are required. Progress Reports:

Grantees are required to submit initial project information, quarterly, and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of these reporting requirements are included in the award terms and conditions.

A Quarterly Performance Report must be submitted within 30 days after the end of each calendar quarter during the period of performance of this agreement. In general, the program report should include a summary of the overall progress toward project objectives, current problems, or unusual developments. In addition, projections for the upcoming quarters program activities, along with any other pertinent information may be included. The Federal Financial Report (SF-425) and a detailed line-item expenditures report should support the reported program activity.

An Annual Performance Report must be submitted within 90 days after the completion of the first year of the project, and annually thereafter during the life of the grant. Generally, the Annual Performance Reports should include a summary of the overall progress toward project objectives, current problems or unusual developments, the next year's activities, and any other information that is pertinent to the ongoing project or which may be specified in the terms and conditions of the award.

Given the high visibility of U.S. assistance projects in Afghanistan, there is a critical need to provide progress reports on a regular and frequent basis. Such reports should include activities and outcomes as they relate to achieving the overall objective of building capacity to deliver effective extension services. In addition to success stories, reports should include problems encountered and/or external factors that constrain progress towards planned objectives.

Expenditure Reports:

Grantees are to submit initial project information, quarterly, and annual reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions.

A Quarterly Financial Report must be submitted within 30 days after the end of each calendar quarter during the period of performance of this agreement. The Federal Financial Report (SF-425) and a detailed line-item expenditures report should support the reported program activity.

A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)

National Institute of Food and Agriculture (NIFA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986

The details of these reporting requirements are included in the award terms and conditions. Performance Monitoring:

Grantees are required to submit initial project information, quarterly, and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of these reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$14,019,135; and FY 12 est \$0 - Represents Amount per AD672 Reimbursement or Advance of Funds Agreement; (\$15,576,817) less 10% IPSC Indirect Program Support Cost (\$1,557,682) equals net amount available for awards (\$14,019,135).

There are no funds anticipated for FY2012 for the Afghanistan Agricultural Extension Project. This was a one-time only funding project from USAID.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Not applicable. Represents a Program newly funded in FY 2011 (via Reimbursable Agreement). Fiscal Year 2011: Pertinent data will be submitted by Program at a future date. Fiscal Year 2012: NOTE: Funding of this Program is not anticipated beyond FY 2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

2 CFR Part 215 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 2 CFR Part 220 Cost Principles for Educational Institutions; 7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New

Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR 3052 - Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Center for International Programs  
1400 Independence Avenue, SW, STOP 2203, , Washington , District of Columbia 20024 Phone: (202) 720-3801 Fax: (202) 690-2355

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.325 PEOPLES GARDEN GRANT PROGRAM**

Peoples Garden Grant Program (PGGP)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act , Public Law 95-113, 7 U.S.C 3318 (b); National Agricultural Research, Extension, and Teaching Policy Act , Public Law 95-113, 7 U.S.C 3318 (c).

**OBJECTIVES:**

To facilitate the creation of produce, recreation, and/or wildlife gardens in urban and rural areas, which will provide opportunities for science-based non-formal education.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The purpose of the Peoples Garden Grant Program (PGGP) is to:

Create Peoples Gardens that will improve food access and serve as science-based educational sites for the community.

Establish new gardens, revitalize and repurpose moribund local community gardens.

Develop locally sponsored, self-sufficient gardens nationwide.

Meet the initial program implementation needs. NIFA has determined that PGGP award funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities. PGGP award funds may not be used to support the salaries of U.S. government employees. The purchase of equipment is limited to that which is required for training, teaching, extension demonstration, and other relevant project activities.

**Indirect Costs:**

The lead and consortium institutions are expected to contribute resources to the accomplishment of project objectives and are encouraged to cost share in order to maximize programmatic impact by limiting indirect cost to ten percent (10%) of total federal funds awarded. Fully discretionary.

**Applicant Eligibility:**

Eligible applicants are State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research or education institutions and organizations, Federal and private agencies and organizations, non-profit organizations, individuals, and any other contractor or recipient.

**Beneficiary Eligibility:**

Eligible applicants are State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research or education institutions and organizations, Federal and private agencies and organizations, non-profit organizations, individuals, and any other contractor or recipient.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Each application will be evaluated in a 2-part process. First, each application will be screened to ensure that it meets the administrative requirements as set forth in this RFA. Second, applications that meet these requirements will be technically evaluated by a review panel. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields,

taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Dates for specific deadlines are announced in the RFA. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Range of Approval/Disapproval Time: From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA).

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. However, the lead and consortium institutions are expected to contribute resources to the accomplishment of project objectives and are encouraged to cost share in order to maximize programmatic impact by limiting indirect cost to ten percent (10%) of total federal funds awarded. Funds are awarded competitively. No formula grants are awarded under this authority.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of competitive cooperative agreements under this program may not exceed two years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information, summary, and annual reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions.

Grantees will also be expected to provide a mid-term and final narrative report, complete with photographs, suitable for posting on the National Extension Master Gardener Weblog at <http://blogs.extension.org/mastergardener>. No cash reports are required. Grantees are required to submit initial project information, summary, and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of these reporting requirements are included in the award terms and conditions.

A Summary Performance Report shall be submitted when substantial progress

towards goals and objectives have occurred during the period of performance of this agreement. In general, the program report should include a summary of the overall progress toward project objectives, current problems, or unusual developments. In addition, projections for the upcoming quarters program activities, along with any other pertinent information may be included. The Federal Financial Report (SF-425) and a detailed line-item expenditures report should support the reported program activity.

An Annual Performance Report must be submitted within 90 days after the completion of the first year of the project, and annually thereafter during the life of the grant. Generally, the Annual Performance Reports should include a summary of the overall progress toward project objectives, current problems or unusual developments, the next year's activities, and any other information that is pertinent to the ongoing project or which may be specified in the terms and conditions of the award.

Given the high visibility of the Peoples Garden Initiative and Grant Program, there is a critical need to provide progress reports on a regular and frequent basis. Such reports should include activities and outcomes as they relate to achieving the overall objectives of effective service delivery. In addition to success stories, reports should include problems encountered and/or external factors that constrain progress towards planned objectives. Grantees are to submit initial project information, summary, and annual reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions.

For awards greater than one year, an Annual Financial Report must be submitted within 90 days of the initial start date of the period of performance of the award. The Federal Financial Report (SF-425) and a detailed line-item expenditures report should support the reported program activity.

A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986

The details of these reporting requirements are included in the award terms and conditions. Grantees are required to submit initial project information, summary, and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of these reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$725,000; and FY 12 est \$725,000 - Newly Authorized and Recently Funded Program.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

2 CFR Part 215 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 2 CFR Part 220 Cost Principles for Educational Institutions; 7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader 1400 Independence Avenue, SW, Washington, District of Columbia 20024 Phone: (202) 401 3356 Fax: (202) 401 4888

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.350 TECHNICAL ASSISTANCE TO COOPERATIVES**

None

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To develop and administer research, technical assistance, statistical, and educational programs on finances, organization, management, legal, social, and economic aspects of rural cooperatives, focusing on farmer cooperatives.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF

TECHNICAL INFORMATION; PROVISION OF SPECIALIZED SERVICES; TRAINING

**USES AND USE RESTRICTIONS:**

Services are limited to rural residents, including groups interested in forming cooperatives and established rural cooperatives. Publications are available to anyone.

**Applicant Eligibility:**

Farmer and rural cooperatives and groups of rural residents interested in forming cooperatives, Native Americans, and rural residents in all U.S. Territories.

**Beneficiary Eligibility:**

Beneficiary Eligibility: Farmer/Rancher/Agriculture Producer; Rural residents.

**Credentials/Documentation:**

Requests for technical assistance by an established cooperative should come from the cooperative board of directors. Requests for assistance in forming a cooperative should be made in writing from a steering committee on behalf of the interested rural group. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A formal letter requesting assistance and including a description of the problem or nature of request is required. Send letters to either the National Office--Letter to the Deputy Administrator for Cooperative Services, Rural Business-Cooperative Service (RBS) or State Rural Development Office--Letter to the State Director, Rural Development. Requests made to the State Office may be forwarded to the National Office. Appropriate addresses may be found at the Web site shown later in this program description.

**Award Procedure:**

RBS considers all requests.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Requests are usually acted upon within 10 days following receipt at the National or State Offices.

**Appeals:**

Requests denied by the State Office may be appealed to the National Office.

**Renewals:**

If clients need additional assistance following formal closure of Federal assistance, a new request must be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies depending on the nature of the request or complexity of problem. See the following for information on how assistance is awarded/released: There are no funds provided through this program. National Office staff may provide technical assistance to existing cooperatives or groups seeking to form a co-op. A formal request from the producers must be submitted to CP requesting assistance and we evaluate each request on a case-by-case basis.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

12-1900-0-1-452.

**Obligations:**

(Advisory Services on Compliance) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Rural Development, State Office. Telephone numbers should be listed under Government in local telephone books. Visit Web site listed below.

**Headquarters Office:**

Virginia M. Gilchrist 1400 Independence Avenue, Washington, District of Columbia 20250 Email: Virginia.Gilchrist@wdc.usda.gov Phone: 2026903805

**Website Address:**

<http://www.rurdev.usda.gov/rbs/coops/csdir.htm>.

**RELATED PROGRAMS:**

10.352 Value-Added Producer Grants; 10.771 Rural Cooperative Development Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Requests for assistance must come from or on behalf of residents in rural areas of the United States or its territories.

**10.352 VALUE-ADDED PRODUCER GRANTS**

(VAPG)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Agriculture Risk Protection Act of 2000 (Pub. L. 106-224) as amended by section 6202 of the Food, Conservation, and Energy Act of 2008 (Pub. L. 110-246) (see 7 U.S.C. 1621 note), Title VII.

**OBJECTIVES:**

To assist eligible independent agricultural commodity producers, agriculture producer groups, farmer and rancher cooperatives, and majority-controlled producer-based businesses in developing strategies and business plans to further refine or enhance their products, thereby increasing their value to end users and increasing returns to producers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The VAPG program offers two types of grants. Planning grants provide funding for the activities necessary to determine the viability of a potential value-added venture, including feasibility studies and business plans. Working capital grants provide funds to pay the day-to-day expenses of the venture associated with marketing a value-added product. An application may be for either a Planning Grant or a Working Capital Grant, but not both.

**Applicant Eligibility:**

Eligible applicants are independent producers, agriculture producer groups, farmer- and rancher-cooperatives, and majority-controlled producer-based business ventures.

**Beneficiary Eligibility:**

Agricultural producers.

**Credentials/Documentation:**

Applicants must provide a budget supporting the work plan that details all sources and uses of funds during the project period. Applicants are required to verify matching funds, both cash and in-kind, such that USDA can verify all



representations. Applicants must certify that matching funds will be available at the time grant funds are received. Matching funds must be spent in advance of grant funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required

Applications for planning grants are generally excluded from the environmental review process by 1940.333 of this title. Applicants for working capital grants must submit Form RD 194020, Request for Environmental Information, this program is excluded from coverage under. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applications must contain the information specified in 7 CFR 4284.931. OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. USDA will solicit applications on a competitive basis by publication of a notice in the Federal Register and through the Grants.gov Federal Web site. Unless otherwise specified, applicants one copy of the proposal and all required forms specified in 7 CFR 4284.931 or as otherwise instructed in the annual announcement. An applicant must submit Form SF-424, Form SF-424A, Form SF-424B, and other information as directed. Each proposal must contain the following elements and any additional elements published in the announcement: (1) Eligibility Discussion; (2) Evaluation Criteria; (3) Certification that matching funds will be available at the same time grant funds are anticipated to be spent and that matching funds will be spent in advance of grant funding. (4) Verification of Matching Funds; and (5) Business plan for working capital grants except as provided in 4284.922(b)(6) and 4284.932.(6) Feasibility study completed by an independent third-party for working capital grants except as provided at 4284.922(b)(6) and 4284.932.

**Award Procedure:**

The Agency conducts an initial screening of all proposals to determine eligibility and completeness to allow for an informed review. Applications will be evaluated by experts selected by the Agency. Applicants qualifying in one of the following categories, as defined at 4284.902, may qualify for priority points; (1) Beginning Farmer or Rancher; (2) Socially-Disadvantaged Farmer or Rancher; (3) Operators of Small or Medium Farms Structured as a Family Farm; (4) Mid-Tier Value Chains; and (5) Farmer or Rancher Cooperatives. After evaluation and scoring according to established criteria, the Administrator of Rural Business Cooperative Service reserves the right to award limited additional points: to ensure geographic diversity. Applications are funded in rank order until all available funds have been obligated. Final processing of the awards and monitoring of projects are the responsibility of the appropriate Rural Development State Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 100 to 150 days after the application is filed with the Rural Development-Cooperative Programs National Office.

**Appeals:**

Applicants may appeal any adverse decisions to USDA's National Appeals Division.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: 7 CFR 4284.923, eligible use, Use of grant and matching funds: (b) Grant funds may be used to pay up to 50 percent costs. Applicants will be required to contribute at least 50 percent in cash or in-kind contributions. The maximum grant amount of a planning grant is \$100,000 and of a working capital grant is \$300,000. Matching funds include cash or confirmed funding commitments from nonfederal sources. In-kind contributions that conform to the provisions of 7 CFR 3015.50 and 7 CFR 3019.23, as

applicable, can be used as matching funds. Examples of in-kind contributions include volunteer services furnished by professional and technical personnel, donated supplies and equipment, and donated office space. Matching funds must be provided in advance of grant funding such that for every dollar of grant advanced not less than an equal amount of matching funds shall have been funded prior to submitting the request for reimbursement. Matching funds are subject to the same use restrictions as grant funds. Funds used for an ineligible purpose will not be considered matching funds.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant funds may be disbursed over a period of up to 3 years after obligation. No-cost extensions may be granted on a limited basis at the discretion of the Agency. Method of awarding/releasing assistance: quarterly.

**Reports:**

Progress reports must be submitted to the Rural Development State Office as specified in the grant agreement. A final report must be submitted to the Rural Development State Office within 90 days after the project has been completed. Cash reports are not applicable. Progress reports must be submitted to the Rural Development State Office as specified in the grant agreement. A final report must be submitted to the Rural Development State Office within 90 days after the project has been completed. Progress reports must be submitted to the Rural Development State Office as specified in the grant agreement. A final report must be submitted to the Rural Development State Office within 90 days after the project has been completed. Progress reports must be submitted to the Rural Development State Office as specified in the grant agreement. A final report must be submitted to the Rural Development State Office within 90 days after the project has been completed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Those nonfederal entities exempt from Circular A-133 are subject to the audit requirements outlined in the Grant Agreement.

**Records:**

The Grantee will maintain adequate records and accounts to assure that grant and matching funds are used for authorized purposes. Records required by Federal law and regulations will also be maintained by the Rural Development State Office and the Rural Development-Cooperative Programs National Office.

**Account Identification:**

12-1900-0-1-452.

**Obligations:**

(Salaries) FY 10 \$22,785,000; FY 11 est \$20,400,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Parts 1951; 7 CFR 3015; 7 CFR 3019; 7 CFR 4284, Subpart J - Value-Added Producer Grants. See the RBS website for additional information.

You may also contact Rural Development State and Local Offices and the Rural Business Cooperative Service Web site.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate Rural Development State Office listed in Appendix IV of the Catalog or check the RBS Web site.

**Headquarters Office:**

Cooperative Programs, Rural Business-Cooperative Service, Department of Agriculture, Washington, District of Columbia 20250 Phone: (202) 720-7558.

**Website Address:**

<http://www.rurdev.usda.gov/rbs/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Published in the Federal Register and through grants.gov.

**10.404 EMERGENCY LOANS**

Emergency Loans

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Subtitle C, Sections 321-330, Public Law 92-419, 7 U.S.C. 1961- 1984; Public Law 96-438; Public Law 97-35; Public Law 98-258; Public Law 99-198; Public Law 100-233; Public Law 100-387; Public Law 101-624.

**OBJECTIVES:**

To assist established (owner or tenant) family farmers, ranchers and aquaculture operators with loans to cover losses resulting from major and/or natural disasters, which can be used for annual farm operating expenses, and for other essential needs necessary to return disaster victims' farming operations to a financially sound basis in order that they will be able to return to private sources of credit as soon as possible.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Loan funds may be used to repair, restore, or replace damaged or destroyed farm property (real and chattel) and supplies which were lost or damaged as a direct result of a natural disaster; under certain conditions, refinance secured and unsecured debts made necessary by the disasters; finance adjustments in the farming, ranching or aquaculture operation(s) determined necessary to restore or maintain applicants' operations on a sound financial basis equivalent to their predisaster potential. The total of all actual loss loans is based on actual dollar value of production and physical losses. Loans are made at the Agency's current Emergency Loan actual loss interest rate, with a maximum limit of 100 percent of the actual production loss and 100 percent of the actual physical loss, or \$500,000 total indebtedness. Loans are made in counties: (1) Named by the Federal Emergency Management Agency as being eligible for Federal assistance under a major disaster or emergency declaration by the President; (2) designated as natural disaster areas by the Secretary of Agriculture; and (3) designated by the FSA Administrator for severe physical losses, only, as a result of a natural disaster.

**Applicant Eligibility:**

Requires that an applicant: (a) Not have caused a loss to the Agency after April 4, 1996, or received debt forgiveness on no more than 1 occasion prior to April 4, 1996. (b) be an established family farmer, rancher, or aquaculture operator (either tenant-operator or owner-operator), who was conducting a farming operation at the time of occurrence of the disaster either as an individual proprietorship, a partnership, a cooperative, a corporation, or a joint operation; (c) have suffered qualifying crop loss and/or physical property damage caused by a designated natural disaster; (d) be a citizen of the United States or legal resident alien, or be operated by citizens and/or resident aliens owning over a 50 percent interest of the farming entity; (e) be unable to obtain suitable credit from any other source(s) to qualify for subsidized loss loans; (f) have sufficient training or farming experience in managing and operating a farm or ranch (1 year's complete production and marketing cycle within the last 3 years immediately preceding the application); (g) be able to project a feasible and sound plan of operation; (h) be a capable manager of the farming, ranching, or aquaculture operations (in the case of a cooperative, corporation, partnership or joint operation, if members, stockholders, partners or joint operators own a majority interest and are related by blood or marriage, at least one member, stockholder, partner or joint operator must operate the family farm; if not

related, the majority interest holder(s) must operate the family farm); (i) have legal capacity to contract for the loan; (j) obtain eligibility certification; (k) provide adequate collateral to secure the loan request; (l) have crop insurance if available for affected crops comply with the highly erodible land and wetland conservation provisions of Public Law 99-198 (16 U.S.C. 3801 et seq.), (Title 12 and 13) the Food Security Act of 1985 and the Food, Agriculture, Conservation, and Trade Act of 1990. Applicants who cannot meet all of these requirements are not eligible. Assistance is available in the 50 States, the Commonwealth of Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and, to the extent the Secretary determines it to be feasible and appropriate, the Trust Territories of the Pacific Islands, when those areas (by county) are designated.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria. Families, individuals and entities who are farmers, ranchers or aquaculture operators are the beneficiaries.

**Credentials/Documentation:**

Applicants must establish that substantial physical property damage and/or severe production losses, caused by the designated natural disaster, has occurred. To qualify for loss loans, the applicant must be unable to get credit elsewhere and demonstrate repayment ability on the loan. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application Form FSA 2001 provided by the Farm Service Agency must be presented, with supporting information, to the FSA county office serving the applicant's county. FSA personnel assist applicants in completing their application forms.

**Award Procedure:**

FSA Farm Loan Manager, State Executive Directors, and the Administrator or his designee are authorized to approve these loans, subject to certain administrative requirements, after applicants are determined eligible.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Applications must be approved or disapproved within 60 calendar days after the receipt of a completed application by the County Office.

**Appeals:**

Applicants for loans may appeal adverse actions taken. The applicant is given an opportunity to appeal the decision to the National Appeals Division.

**Renewals:**

Rescheduling, reamortization, consolidation and deferment: Up to 15 years rescheduling for short and intermediate term loans made for production-type losses. Long term loans may be reamortized. However, the maximum statutory repayment period of 40 years for real-estate purposes cannot be exceeded. Loans made for similar purposes can be consolidated and rescheduled or reamortized. Generally, real estate will be needed as security when a term of more than 7 years is authorized.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This varies in accordance with individual case needs, type of disaster losses, type of security available, and borrower's repayment ability. Applicants should consult the FSA county office serving their area for specific information. See the following for information on how assistance is awarded/released: Loan

funds may be dispersed in lump sum or in increments.

**Reports:**

No reports are required.

**Audits:**

Not Applicable.

**Records:**

Applicants must furnish 3 year history of farm production, if available, when production losses are claimed. Otherwise, FSA records of acres grown and proven yields, county or State production averages, or combinations of the above records when approved, are used. Borrowers must keep adequate records as a condition for receiving FSA financing. Specific financial information is required to be maintained for 3 years for some borrowers as a condition of receiving loan assistance.

**Account Identification:**

12-4140-0-3-351.

**Obligations:**

(Direct Loans) FY 10 \$35,598,000; FY 11 est \$65,798,000; and FY 12 est \$18,008,000 - (Direct Emergency Loans)  
FY 2010 Actual \$35,598,000  
FY 2011 Estimated \$57,197,000.  
FY 2012 Estimated \$18,008,000.

**Range and Average of Financial Assistance:**

The maximum emergency loan amount may not exceed \$500,000.  
The Agency actual number of Emergency Loans being made in FY 2010: 340  
The Agency estimates 290 Emergency Loans being made in FY 2011 for total obligations estimated a \$65,798,000.  
No current data available for FY 2012.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Parts 764, FSA Handbook 3 FLP, Farm Service Agency Fact Sheets, Program Aids 1610 "Farm Service Agency Producer's Guide to Loan Programs." FSA website at: [www.fsa.usda.gov](http://www.fsa.usda.gov).

**Regional or Local Office:**

None. Consult the appropriate FSA State office listed in Appendix IV of the Catalog. Vist FSA website at [www.fsa.usda.gov](http://www.fsa.usda.gov) to locate nearest office.

**Headquarters Office:**

Bob Bonnet USDA FSA DAFLP LMD  
1400 Independence Avenue, SW  
, Washington, District of Columbia 20250-0522 Email:  
[bob.bonnet@wdc.usda.gov](mailto:bob.bonnet@wdc.usda.gov) Phone: (202) 720-3889 Fax: (202) 690-1117.

**Website Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.406 Farm Operating Loans; 10.407 Farm Ownership Loans; 10.450 Crop Insurance; 59.008 Disaster Assistance Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.405 FARM LABOR HOUSING LOANS AND GRANTS**

(Labor Housing)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Sections 514 and 516, Public Laws 89-117 and 89-754, 42 U.S.C 1484 and 1486.

**OBJECTIVES:**

To provide decent, safe, and sanitary low-rent housing and related facilities for

domestic farm laborers.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The loans and grants may be used for construction, repair, or purchase of year-round or seasonal housing; acquiring the necessary land and making improvements on land for housing; and developing related support facilities including central cooking and dining facilities, small infirmaries, laundry facilities, day care centers, other essential equipment and facilities or recreation areas. Funds may also be used to pay certain fees and interest incidental to the project. Restrictions on the use of funds are: Developers' fees, resident services, cost of unrelated commercial space, costs associated with other lenders/grantors. Housing financed with labor housing loan or grant funds must be occupied by domestic farm laborers, individuals who derive a substantial portion of their income from farm labor, and their families. The occupants must also be a U.S. citizen or permanent resident.

**Applicant Eligibility:**

Loans are available to farmers, family farm partnership, family farm corporations, or an association of farmers. Loans and grants are available to States, Puerto Rico, the U.S. Virgin Islands, political subdivisions of States, broad-based public or private nonprofit organizations, federally recognized Indian Tribes and non-profit corporations of farm workers. Grants are available to eligible applicants only when there is a pressing need and when it is doubtful that such facilities could be provided unless grant assistance is available.

**Beneficiary Eligibility:**

A domestic farm laborer is any person who receives a substantial portion of his/her income as a laborer on a farm in the United States and is either (1) a citizen of the United States, or (2) has been legally admitted for permanent residency.

**Credentials/Documentation:**

The applicant must furnish factual evidence of the following: (a) The number of domestic farm laborers currently being used in the area; (b) the kind of labor performed; (c) the future need for domestic farm labor in the area; (d) the kind, condition, and adequacy of housing presently used for such labor; (e) ownership of presently occupied housing; (f) ability of workers to pay necessary rent; and (g) with the exception of State and local public agencies, be unable to provide housing from its own resources or credit on terms and conditions that would enable the applicant to provide labor housing. Costs will be determined in accordance with 7 CFR part 3015 or 3016 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For FY 2011 the Section 514/516 Program will be awarded through a Notice of Funding Available (NOFA) announced in the Federal Register July 7, 2011. The NOFA deadline is August 22, 2011. Funds available for off-farm new construction and acquisition and rehabilitation are as follows: Section 514 Loan \$25,672,886; Section 516 Grant \$9,853,254; Rental Assistance (RA) \$2,994,000.

**Award Procedure:**

Applications will be scored on the following factors: (1) The presence and extent of leveraged assistance for the units that will serve RHS income-eligible tenants at basic rents comparable to those if RHS provided full financing, computed as a percentage of the RHS total development cost. A minimum of ten percent leveraged assistance is required to earn points; however, less than ten percent and the proposal includes donated land, two points will be awarded for the donated land, (0 to 20 points); (2) Seasonal, temporary, migrant housing (5 points for up to and including 50 percent of the units; 10 points for 51 percent or more); For FY 2011, National Office initiative will be based on the presence of and extent to which a tenant services plan exists that clearly outlines services that will be provided to the residents of the proposed project.

Two points will be awarded for each resident service included in the tenant services plan up to a maximum of 10 points,(0 to 10 points). Application selection process: (1) States will review and score the applications and submit a list of applications in rank and point score order to the National Office; (2) the National Office will rank applications on a nation-wide basis and will advise States of the results.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. RHS uses a two-stage application process for the Farm Labor Housing Program. First, applicants submit preapplications, which are used to determine preliminary eligibility and feasibility. RHS then invites some applicants to submit formal applications. Section 514/516 funds are divided between off-farm housing and on-farm housing. The off-farm program provides loans and grants to organizations that assist farm workers at off-farm locations with no restrictions that workers be employed on a particular farm. Under new regulations effective June 1999, preapplications for the off-farm program funds must be submitted in response to a Notice of Funding Availability (NOFA) published in the Federal Register every year. RHS scores the preapplications, using a ranking process to determine which applicants will be invited to submit formal applications. The on-farm program makes loans to eligible farmers (or a group of farmers) to provide Housing, usually for their own laborers. Preapplications for on-farm units, or for repair And rehabilitation of existing off-farm units, may be submitted at any time are processed on a first-come, first-served basis.

**Appeals:**

From 15 to 30 days. A person or organization who is directly and adversely affected by an administrative decision by Rural Development should follow the procedures found in 7 CFR part 1900, Subpart B of "Rural Development Administrative Appeal Procedures."

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 10.%. Section 516 grants for off-farm FLH may not exceed the lesser of 90 percent of the total development cost (TDC) as provided in 7 CFR 3560.562(c)(1). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans are usually made for 33 years at 1 percent interest. Grants may cover up to 90 percent of development cost. The balance may be (and usually is) a Section 514 loan. RHS rental assistance (RA) subsidy can be used to limit tenant payments to 30 percent of their income. RA can be used as an operating subsidy for projects or units with Section 516 funding that serve migrants. It is RHS policy to attempt to use less than a 90 percent grant when RA is utilized. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Adequate operating tenant, and accounting records must be maintained by borrower.

**Account Identification:**

12-2004-0-1-604; 12-2081-0-4-371; 12-4141-0-3-371.

**Obligations:**

(Direct Loans) FY 10 \$26,090,697; FY 11 est \$35,526,140; and FY 12 est \$37,000,000 - FY 2010; Loans- \$16,217,697, Grants- \$9,873,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Off-Farm New Construction Loans 8  
Off-Farm Repair Rehab Loans 7  
On-Farm New Construction Loans 11  
On-Farm Repair Rehab Loans 1  
Off-Farm New Construction Grants 8. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR part 3560; Subpart L

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development Area Office number. If no listing, contact appropriate Rural Development State Office listed in Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

USDA Rural Development, Preservation and Direct Loan Division, 1400 Independence Ave. SW., Mail Stop 0782, Washington, District of Columbia 202500781 Phone: (202) 720-1604.

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.427 Rural Rental Assistance Payments

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A clearly defined need must exist to provide housing for domestic farm workers.

**10.406 FARM OPERATING LOANS**

Farm Operating Loans (Direct & Guaranteed)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Farm and Rural Development Act, as amended, Subtitle B, Sections 311-317, Public Law 92-419, 7 U.S.C. 1942; Agriculture Act of 1961, Title III, Public Law 87-128.

**OBJECTIVES:**

To enable operators of not larger than family farms through the extension of credit and supervisory assistance, to make efficient use of their land, labor, and other resources, and to establish and maintain financially viable farming and ranching operations.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Loan funds may be used to: (1) Purchase livestock, poultry, fur bearing and other farm animals, fish, and bees; (2) purchase farm equipment; (3) provide operating expenses for farm enterprise; (4) meet family subsistence needs and purchase essential home equipment; (5) refinance secured and unsecured debts subject to certain restrictions; (6) pay property taxes; (7) pay insurance premiums on real estate and personal property; and (8) finance youth projects. Use restrictions are shown under Applicant Eligibility.

**Applicant Eligibility:**

Except for youth loans, individual applicants must: (1) Not have caused a loss to the Agency after April 4, 1996, or received debt forgiveness on more than 3 occasions prior to April 4, 1996 to receive a guaranteed loan; (2) have the necessary education and/or farm experience or training (1 year's complete production and marketing cycle within the last 5 years); (3) do not exceed the

limitation on the number of years that assistance may be received; (4) possess the legal capacity to incur the obligations of the loan; (5) be unable to obtain sufficient credit elsewhere at reasonable rates, and terms; (6) project the ability to repay the loan; (7) be a citizen or permanent resident of the United States; (8) after the loan is closed, be an owner/tenant operator of a family farm; and (9) comply with the highly erodible land and wetland conservation provisions of Public Law 99-198 of the Food Security Act of 1985 (FSA); Certain corporations, cooperatives, partnerships and joint operations ("entities") operating family-sized farms are also eligible for farm operating loans. In brief, entity applicants must meet some of the same eligibility requirements as individual applicants. In addition, if members, stockholders or shareholders of the entity are related by blood or marriage, at least one stockholder, shareholder partner or joint operator must operate the family-sized farm. In the case when members are not related by blood or marriage, the majority interest holders in the entity must actually operate the family-sized farm to be eligible. The entity must be authorized to operate a farm in the State in which it is located. Limited resource applicants must meet the above requirements. In addition, they must have a low income and show a need for increased farm income. In the case of limited resource entities, all the partners, joint operators, members, or stockholders must be citizens and the entity must be the owner-operator of the family farm with at least one partner, joint operator, member or stockholder operating the farm. Assistance is authorized for eligible applicants in the 50 States, the Commonwealth of Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and to the extent the Secretary determines it to be feasible and appropriate, the Trust Territories of the Pacific Islands. To be eligible to obtain a direct loan, a borrower must agree to abide by any "borrower training" requirements. Applicants/borrowers requesting guaranteed loan assistance must meet all lender requirements.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries and must meet the applicant eligibility requirements. Families, individuals, and entities who are farmers, ranchers or aquaculture operators are the beneficiaries.

**Credentials/Documentation:**

Applicants must prove that credit is not available elsewhere for the requested purposes. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants file Form FSA-2001, Application for Direct Loan Assistance, with supporting information, at the local county office of the Farm Service Agency for direct loans or Form FSA-2211 with the prospective lender for loan guarantees.

**Award Procedure:**

Certification as to eligibility is made by the local county committee (unless that responsibility has been delegated to the Agency credit officials) and an approval determination is made by a FSA official as to loan feasibility and soundness, and whether there is adequate collateral to secure any loan.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The loan approval official approves or disapproves a completed application within 60 days on a direct loan application and 30 days on a guaranteed loan application.

**Appeals:**

From 30 to 60 days. Applicants for direct and guaranteed loans, may appeal adverse action taken. The applicant is given an opportunity to appeal the decision to the National Appeals Division. The applicant may, in the final step of the appeals process, request a review by the Director, National Appeals Division, Washington, DC. For guaranteed loans, both the lender and the

applicant must request the appeal.

**Renewals:**

Applicants may reapply at any time. Applicants denied assistance through the appeal process must establish that substantial change has occurred, since the denial decision.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans are scheduled for repayment over periods up to 7 years, but when justified, loans may be consolidated or rescheduled for up to 15 additional years. The interest rate for guaranteed loans is negotiated between the lender and borrower. If eligible, FSA may provide interest rate assistance on guaranteed loans at the rate of 4 percent. The interest rate for direct loans is determined by the Secretary of Agriculture. See the following for information on how assistance is awarded/released: Loans funds may be released in one lump sum or increments during the operating period.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Records on production, income, expenses during the period of the loan.

**Account Identification:**

12-1140-0-1-351; 12-4140-0-3-351.

**Obligations:**

(Direct Loans) FY 10 \$1,242,375,000; FY 11 est \$1,049,260,000; and FY 12 est \$1,050,000,000 - Direct Operating Loans FY 2010 Total Actual Obligations \$1,242,375,000. (Guaranteed/Insured Loans) FY 10 \$1,510,156,000; FY 11 est \$1,180,116,000; and FY 12 est \$1,500,000,000 - Guaranteed Operating Loans FY 2010 Total Actual Obligations \$1,510,156,000.

**Range and Average of Financial Assistance:**

Direct Operating Loan up to \$300,000;  
Guaranteed Operating Loans up to \$1,214,000. (amount adjusted annually for inflation);  
FY 2010: Direct Operating Loan average loan size approximately \$63,000.  
FY 2010: Guaranteed Operating Loan average loan size approximately \$224,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Agency actual number of Direct Operating loans being made in FY 2010: 19,689  
The Agency actual number of Guaranteed Operating loans being made in FY 2010: 6755. Fiscal Year 2011: Fiscal Year 2011: The Agency estimates 15,000 Direct Operating loans being made in FY 2011 for total obligations estimated at \$1,049,260 and 7,000 Guaranteed Operating loans being made in FY 2011 for total obligations estimated at \$1,180,116,000. Fiscal Year 2012: Fiscal Year 2012: The Agency estimates 17,000 direct loans being made in FY 2012 for total obligations estimated at \$1,050,000,000 and estimates 7100 guaranteed operating loans being made for total obligations estimated at 1.5 billion.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 761, 762, 764. Farm Service Agency Fact Sheets; FSA Handbook 1 FLP, 2 FLP, 3-FLP; Program Aids 1610 "Farm Service Agency Producer's Guide to Loan Programs"; 1620 "Lender's Guide to FSA Loan Programs";

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate FSA State Office listed in Appendix IV of the Catalog. Visit the FSA website at [www.fsa.usda.gov](http://www.fsa.usda.gov).

**Headquarters Office:**

Bob Bonnet USDA FSA DAFLP LMD  
1400 Independence Avenue, SW  
, Washington, District of Columbia 20250-0522 Email:  
[bob.bonnet@wdc.usda.gov](mailto:bob.bonnet@wdc.usda.gov) Phone: 202-720-3889 Fax: 202-690-1117

**Website Address:**

http://www.fsa.usda.gov.

**RELATED PROGRAMS:**

10.404 Emergency Loans; 10.407 Farm Ownership Loans; 10.437 Interest Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.407 FARM OWNERSHIP LOANS**

Farm Ownership Loans (Direct and Guaranteed)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Subtitle A, Sections 302, 310D, Public Laws 100-233, 87-128, 91-620, 95-334, 97-98, 7 U.S.C. 1922; Section 303, Public Laws 87-708, 90-488, 95-113, 96-438, 7 U.S.C. 1923; Section 305, Public Law 92-419, 7 U.S.C. 1925; Section 307, Public Law 97-35, 7 U.S.C. 1927; Section 308, Public Laws, 87-798, 89-240, 92-133, 7 U.S.C. 1928; 7 U.S.C. 1934.

**OBJECTIVES:**

To assist eligible farmers, ranchers, and aquaculture operators, including farming cooperatives, corporations, partnerships, and joint operations, through the extension of credit and supervisory assistance to: Become owner-operators of not larger than family farms; make efficient use of the land, labor, and other resources; carry on sound and successful farming operations; and enable farm families to have a reasonable standard of living.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Loan funds may be used to: (1) Enlarge, improve, and buy family farms; (2) provide necessary water and water facilities; (3) provide basic soil treatment and land conservation measures; (4) construct, repair, and improve essential buildings needed in the operation of a family farm; (5) construct or repair farm dwellings; (6) provide facilities to produce fish under controlled conditions.

**Applicant Eligibility:**

An applicant must: (1) Not have caused a loss to the Agency after April 4, 1996, or received debt forgiveness on more than 3 occasions prior to April 4, 1996 to receive a guaranteed loan; (2) be unable to obtain suitable credit from other sources at reasonable rates and terms; (3) be a U.S. citizen or permanent resident and possess the legal capacity to incur the obligations of the loan; (4) have the necessary education and/or experience, training, and managerial ability to operate a family farm; (5) project the ability to repay the loan; (6) be the owner-operator of a not larger than family farm after the loan is closed; and (7) if an individual, the applicant must not have a combined farm ownership, soil and water, and recreation loan indebtedness to FSA of more than \$300,000, for direct loans; and \$1,214,000 (amount adjusted annually for inflation) for a guaranteed loan(s), or a combination of direct and guaranteed indebtedness; or a total indebtedness against the property securing the loan(s) of more than the market value of the security, whichever is the lesser amount. If a cooperative, corporation, joint operation or partnership, the entity must be controlled by farmers or ranchers engaged primarily and directly in farming in the U.S., after the loan is made, and must consist of members, stockholders, partners, or joint operators (8) have a minimum of 3 years farming experience. Assistance is authorized for eligible applicants in the 50 States, the Commonwealth of Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and, to the extent the Secretary determines it to be feasible and appropriate, the Trust Territories of the Pacific Islands. Applicants must also comply with the highly erodible land and wetland conservation provisions of Public Law 99-198 of the Food Security Act of 1985 (FSA). To be eligible to obtain a direct loan, a borrower must abide by the Agency's borrower training requirements. Applicants/borrowers requesting guaranteed loan assistance must meet all lender requirements.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries and must meet the applicant eligibility requirements. Families, individuals, and entities who are farmers, ranchers or aquaculture operators are the beneficiaries.

**Credentials/Documentation:**

Applicants must prove that credit is not available elsewhere for the requested purpose; and that they possess sufficient training or farm experience. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants file Form FSA 2001, Application for FSA Services, with supporting information, at the local county office of the Farm Service Agency for direct loans or Form FSA 2211 with the prospective lender for loan guarantees.

**Award Procedure:**

Certification as to eligibility is made the Agency credit officials and an approval determination is made by an FSA official based on loan feasibility and soundness, and adequate security.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The loan approval official must approve or disapprove a completed application within 30 days on a guaranteed loan application and 60 days on a direct loan application.

**Appeals:**

From 30 to 60 days. From 30 to 60 days. Applicants for direct and guaranteed loans, may appeal adverse actions taken. The applicant is given an opportunity to appeal the decision to the National Appeals Staff. The applicant, in the final step of the appeals process, request a review by the Director, National Appeals Division, Washington, DC. For guaranteed loans, both the lender and the applicant must request the appeal.

**Renewals:**

Applicants may reapply at any time. Applicants denied assistance through the appeal process must establish that substantial change has occurred, since the denial decision.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans justified may be scheduled over a period up to 40 years. The interest rate for guaranteed loans is negotiated between the lender and borrower. See the following for information on how assistance is awarded/released: loan funds may be dispersed in lump sum or increments.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Records on production, income, expenses during the period of the loan.

**Account Identification:**

12-4140-0-3-351; 12-1140-0-1-351.

**Obligations:**

(Direct Loans) FY 10 \$702,816,000; FY 11 est \$581,050,000; and FY 12 est \$475,000,000 - (Direct Farm Ownership Loans) FY 2010 \$702,816,000; FY 2011 est. \$581,050,000; FY 2012 est. \$475,000,000.

Direct Farm Ownership Loans FY 2010 actual obligations \$702,816,000. (Guaranteed/Insured Loans) FY 10 \$1,606,000,000; FY 11 est \$1,906,258,000; and FY 12 est \$1,500,000,000 - (Guaranteed Farm Ownership Loans) Guaranteed Farm Ownership Loans FY 2010 actual obligations \$1,606,000,000. FY 2011 est. \$1,906,258,000; FY 2012 est. \$1,500,000,000;.

**Range and Average of Financial Assistance:**

Direct Farm Ownership Loans up to \$300,000; Guaranteed Farm Ownership Loans up to \$1,214,000. (amount adjusted annually for inflation). FY 2010; Direct Farm Ownership Loan average loan size approximately \$163,000. FY 2010; Guaranteed Farm Ownership Loan average loan size approximately \$361,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Agency actual number of Direct Farm Ownership loans being made in FY 2010: 4,316 The Agency actual number of Guaranteed Farm Ownership loans being made in FY 2010: 4447. Fiscal Year 2011: The Agency estimates 2,831 Direct Farm Operating Loans and 4,400 Guaranteed Farm Ownership Loans for current FY 2011. Fiscal Year 2012: Agency estimates 3,675 Direct Farm Operating Loans and 4,500 Guaranteed Farm Ownership Loans for Budget FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 761, 762, & 764. Farm Service Agency Fact Sheets; FSA Handbook 1 FLP, 2 FLP & 3 FLP; Program Aids 1610, "Farm Service Agency Producer's Guide to Loan Programs"; and 1620, "Lender's Guide to FSA Loan Programs." FSA Website: [www.fsa.usda.gov](http://www.fsa.usda.gov)

**Regional or Local Office:**

None. Contact the appropriate FSA State Office listed in Appendix IV of the Catalog. Visit the FSA website at [www.fsa.usda.gov](http://www.fsa.usda.gov).

**Headquarters Office:**

Bob Bonnet USDA FSA DAFLP LMD  
1400 Independence Avenue, SW  
, Washington, District of Columbia 20250-0522 Email:  
[bob.bonnet@wdc.usda.gov](mailto:bob.bonnet@wdc.usda.gov) Phone: (202) 720-3889 Fax: (202) 690-1117

**Website Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.404 Emergency Loans; 10.406 Farm Operating Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.410 VERY LOW TO MODERATE INCOME HOUSING LOANS**

(Section 502 Rural Housing Loans)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949.

**OBJECTIVES:**

To assist very low, low-income, and moderate-income households to obtain modest, decent, safe, and sanitary housing for use as a permanent residence in rural areas.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Direct and guaranteed loans may be used to buy, build, or improve the applicant's permanent residence. New manufactured homes may be financed when they are on a permanent site, purchased from an approved dealer or contractor, and meet certain other requirements. Under very limited

circumstances, homes may be re-financed with direct loans. Dwellings financed must be modest, decent, safe, and sanitary. The value of a home financed with a direct loan may not exceed the area limit. The property must be located in an eligible rural area. Assistance is available in the States, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Northern Mariana's, and the Trust Territories of the Pacific Islands. Applicants must have very low-, low- or moderate incomes. Very low-income is defined as below 50 percent of the area median income (AMI); low-income is between 50 and 80 percent of AMI; moderate income is below 115 percent of AMI. Families must be without adequate housing, but able to afford the housing payments, including principal, interest, taxes, and insurance (PITI). Qualifying repayment ratios are 29 percent for PITI to 41 percent for total debt. In addition, applicants must be unable to obtain credit elsewhere, yet have an acceptable credit history. The property must be located in an eligible rural area. Direct loans are made at the interest rate specified in RD Instruction 440.1, Exhibit B (available in any Rural Development local office), and are repaid over 33 years or 38 years for applicants whose adjusted annual income does not exceed 60 percent of the area median income, if necessary to show repayment ability. Payment assistance is granted on direct loans to reduce the installment to an "effective interest rate" as low as one percent, depending on adjusted family income. Payment assistance is subject to recapture by the government when the customer no longer resides in the dwelling. There is no funding provided for deferred mortgage authority or loans for deferred mortgage assumptions. Guaranteed loans may be made to refinance either existing RD Guaranteed Housing loans or RHS Section 502 Direct Housing loans. Guaranteed loans are amortized over 30 years. The interest rate is negotiated with the lender.

**Applicant Eligibility:**

Applicants must have very low-, low- or moderate incomes. Very low-income is defined as below 50 percent of the area median income (AMI); low-income is between 50 and 80 percent of AMI; moderate income is below 115 percent of AMI. Families must be without adequate housing, but able to afford the housing payments, including principal, interest, taxes, and insurance (PITI). Qualifying repayment ratios are 29 percent for PITI to 41 percent for total debt. In addition, applicants must be unable to obtain credit elsewhere, yet have an acceptable credit history.

**Beneficiary Eligibility:**

Applicants must meet eligibility requirements. Guaranteed Loan Low and Moderate income eligible.

**Credentials/Documentation:**

Applicants may need to submit evidence of inability to obtain credit elsewhere, verification of income, debts, and other information on the application; plans, specifications, and cost estimates. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For direct loans, application is made at the Rural Development field office serving the county where the dwelling is or will be located. For guaranteed loans, application is made to a participating private lender.

**Award Procedure:**

Rural Development field offices have authority to approve most Direct loan requests. Processing of guaranteed loans varies in each State. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/lcoator/app> for a State Office listing. If no backlog exists, decisions on direct loan applications are made within 30 to 60 days. Requests for guarantee loans are acted upon in 3 days of receipt of the lender's request for guarantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

For direct loans, from 30 to 60 days subject to availability of funds, from the time the application is filed if no backlog of applications exists. A 'pre-qualification' may be provided to potential direct loan applicants upon call or visit to a Rural Development office, though results are not binding. For guarantees, a decision is required within 3 days of loan package submission by the approved lender.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no matching requirements. A basic formula is used to allocate program funds to various States. The criteria used in the basic formula include the States percentage of the National: Number of rural occupied substandard units, rural population, rural population in places of less than 2,500 population, number of rural households between 50 and 80 percent of the area median income, and number of rural households below 50 percent of the area median income. The data source for each of these criteria is based on the latest census data available.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This assistance is available throughout the year by means of quarterly allocations. Funds may be disbursed at loan closing or deposited in a supervised bank account for purchase of a building site, and purchase or repair of a dwelling, or in multiple advances for construction. For guaranteed loans, funds are disbursed after all work is complete. Applications for direct loans far exceed available funding. There is generally a waiting list for direct loan funding. Method of awarding/releasing assistance: quarterly.

**Reports:**

Borrowers receiving a payment subsidy must submit verification of household income annually for recalculation of benefits. No cash reports are required. Borrowers are not required to, but should retain copies of loan-related documents. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

12-4141-0-3-371; 12-2081-0-1-371.

**Obligations:**

(Direct Loans) FY 10 \$1,013,000,000; FY 11 est \$1,200,000,000; and FY 12 est \$845,000,000 - Fiscal Year 2012 figures are based on the House Subcommittee Proposal. (Guaranteed/Insured Loans) FY 10 \$16,763,744,230; FY 11 est \$15,500,000,000; and FY 12 est \$24,000,000,000

**Range and Average of Financial Assistance:**

FY10 Average: 502 Direct Loans (\$119,120), Guaranteed Loans (\$125,993)  
FY 11 Average: 502 Direct Loans (\$120,000), Guaranteed Loans (\$127,780)  
Loans in high cost areas may be higher.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3550 "Direct Single Family Housing Loans and Grants." For guaranteed loans, 1980-D "Subpart D -Rural Housing Loans."

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Myron L. Wooden, 1400 Independence Avenue, SW, Washington, District of Columbia 20250 Email: Myron.Wooden@wdc.usda.gov Phone: (202) 720-4780.

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans; 10.417 Very Low-Income Housing Repair Loans and Grants; 10.420 Rural Self-Help Housing Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.411 RURAL HOUSING SITE LOANS AND SELF\_HELP HOUSING LAND DEVELOPMENT LOANS**

(Section 523 and 524 Site Loans)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Sections 523 and 524, Public Law 89-117; Public Law 89-754, 42 U.S.C. 1490 (c) and (d).

**OBJECTIVES:**

To assist public or private nonprofit organizations interested in providing sites for housing; to acquire and develop land in rural areas to be subdivided as adequate building sites and sold on a cost development basis to families eligible for low and very low income loans, cooperatives, and broadly based nonprofit rural rental housing applicants.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

For the purchase and development of adequate sites, including necessary equipment which becomes a permanent part of the development; for water and sewer facilities if not available; payment of necessary engineering, legal fees, and closing costs; for needed landscaping and other necessary facilities related to buildings such as walks, parking areas, and driveways. Restrictions: loan funds may not be used for refinancing of debts, payment of any fee, or commission to any broker, negotiator, or other person for the referral of a prospective applicant or solicitation of a loan; no loan funds will be used to pay operating costs or expenses of administration other than actual cash cost of incidental administrative expenses if funds to pay those expenses are not otherwise available. Repayment of loan is expected within two years.

**Applicant Eligibility:**

A private or public nonprofit organization that will provide the developed sites to qualified borrowers on a cost of development basis in open country and towns of 10,000 population or less and places up to 25,000 population under certain conditions. Applicants from towns of 10,000 to 25,000 population should check with local RD office to determine if agency can serve them. Assistance is available to eligible applicants in States, Puerto Rico, the Virgin Islands, Guam, and the Northern Marianas.

**Beneficiary Eligibility:**

Sites developed with Section 524 loans must be for housing low and very low income families and may be sold to families, nonprofit organizations, public agencies and cooperatives eligible for assistance under any Section of Title V of the Housing Act of 1949, or under any other law which provides financial assistance. Sites developed with Section 523 loans must be for housing to be



built by the self-help method.

**Credentials/Documentation:**

Applicants must furnish evidence of the following: (1) Market analysis showing need for such services; (2) legal capacity to borrow funds and develop land for sale; (3) a sound budget; and (4) general project description. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application will be in the form of a letter to the Rural Development Manager of the Rural Development (RD). Supporting information and costs should be included as needed. This program is excluded from coverage under Departmental Regulations 3015 and 3016.

**Award Procedure:**

After application has been reviewed.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

A uniform procedure whereby an organization which is directly or adversely affected by an administrative decision by Rural Development Rural Housing Programs is found in 7 CFR 3550.4. Applicants may request reconsideration on the basis of pertinent facts concerning his application.

**Renewals:**

Applicants may reapply at any time provided there is evidence of need for the proposed building sites in the locality.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Contact Local Rural Development Office.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Adequate operating records must be maintained by borrower.

**Account Identification:**

12-4141-0-3-371; 12-2081-0-1-371.

**Obligations:**

(Direct Loans) FY 10 \$0; FY 11 est \$4,956,000; and FY 12 est \$0 - (523 Site Loans). (Direct Loans) FY 10 \$0; FY 11 est \$5,042,000; and FY 12 est \$0 - (524 Site Loans).

**Range and Average of Financial Assistance:**

Not Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

RD Instruction 444.8, "Rural Housing Site Loan Policies, Procedures, and Authorizations"; 7 CFR 1822.261-1822.278; PA-1131.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Akua Assata 1400 Independence Ave. SW, Washington, District of Columbia 20250 Email: [akua.assata@wdc.usda.gov](mailto:akua.assata@wdc.usda.gov) Phone: (202) 690-3832

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans; 10.415 Rural Rental Housing Loans; 10.420 Rural Self-Help Housing Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.415 RURAL RENTAL HOUSING LOANS**

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 515 and 521, Public Law 102-550, 42 U.S.C. 1485, 1490a.

**OBJECTIVES:**

To provide economically designed and constructed rental and cooperative housing and related facilities suited for rural residents.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Loans can be used to construct, or to purchase and substantially rehabilitate rental or cooperative housing or to develop manufactured housing projects. Housing as a general rule will consist of multi-units with two or more family units and any appropriately related facilities. Funds may also be used to provide approved recreational and service facilities appropriate for use in connection with the housing and to buy and improve the land on which the buildings are to be located. Loans may not be made for nursing, special care, or institutional-type homes. Grants are in the form of rental assistance for some units within the underwritten property. The term for an initial Section 515 loan is 30 years with a 50-year amortization period. However, the term for subsequent loans and loans for special types of properties, such as manufactured housing, may be made for a shorter term based on the projects expected useful life. Each loan is made at a note rate established by the Agency as prescribed in RD Instruction 440.1. Borrowers approved for initial and/or subsequent loans receive interest credit, which reduces the effective interest rate for the Agency's financing, thereby lowering the property's rents. In return for this below-market rate financing, the borrower agrees to lease the projects rental units to income-eligible households at rents approved by the Agency. Borrowers operate on a nonprofit or limited-profit basis.

**Applicant Eligibility:**

Applicants may be individuals, cooperatives, nonprofit organizations, State or local public agencies, profit corporations, trusts, partnerships, limited partnerships, and be unable to finance the housing either with their own resources or with credit obtained from private sources. However, applicants must be able to assume the obligations of the loan, furnish adequate security, and have sufficient income for repayment. They must also have the ability and intention of maintaining and operating the housing for purposes for which the loan is made. Loans may be made in communities up to 10,000 people in MSA

areas and some communities up to 20,000 population in non-MSA areas. Applicants in towns of 10,000 to 20,000 should check with their local Rural Development office to determine if the agency can serve them. Assistance is available to eligible applicants in States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Northern Mariana's, and the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:**

Occupants must be very low-, low- or moderate-income families households, elderly, handicapped, or disabled persons.

**Credentials/Documentation:**

Applicants must furnish evidence of the following: (a) A comprehensive market analysis showing the need for such service; (b) a legal capacity to incur the obligation and operate the housing; (c) a sound budget; (d) good credit history; (e) inability to obtain necessary funds from other sources on terms and conditions that would enable the applicants to rent the units for amounts that are within payment ability of eligible very low, low-, or moderate-income family, households, elderly, handicapped, or disabled occupants. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For FY 2011 the Section 515 Program will be awarded through a Notice of Funding Availability (NOFA) announced in the Federal Register July 13, 2011. The NOFA deadline is August 29, 2011.

**Award Procedure:**

Applications will be scored on the following factors: (1) the presence and extent of leveraged assistance for the units that will serve RHS income-eligible tenants at basic rents comparable to those if RHS provided full financing, computed as a percentage of the RHS total development cost. (0 to 30 points); (2) the units to be developed are in a Colonia, tribal land, EZ, EC, or REAP community, or in a place identified in the State Consolidated Plan or State Needs Assessment as a high need community for multifamily housing. ("State" refers to the State Government.) (20 points); (3) the loan request includes donated land meeting the provisions of 7 CFR section 3560.56(c)(1)(iv). (5 points); (4) in States where RHS has an on-going formal working relationship, agreement or Memorandum of Understanding (MOU) with the State to provide State resources (State funds, State RA, HOME funds, CDBG funds, or Low-Income Housing Tax Credits) for RHS proposals; or where the State provides preference or points to RHS proposals in awarding such State resources, 20 points will be provided to loan requests that include such State resources in an amount equal to at least 5 percent of the total development cost. (National office initiative) (20 points); (5) Presidentially Declared Disaster Area Pursuant to 7 CFR 3560.56(c)(1)(iii), points will be awarded if the property will be constructed or rehabilitated in a Presidentially declared disaster area in 2011. (10 points); and (6) Energy Initiatives, Properties may receive points for energy initiatives. (0 to 42 points).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within 30 days, States will review and score the applications and submit a list of applications in rank and point score order to the National Office. Following the State's submission of applications to the National Office, within 30 days the National Office will rank applications on a nation-wide basis and advise States of the results.

**Appeals:**

Applicant may request reconsideration on the basis of pertinent facts concerning the application.

**Renewals:**

Applicants may reapply at next Notice of Funding Availability (NOFA).

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans are for up to 30 years at an effective 1 percent interest rate, and are amortized over 50 years. A current rate is used for the promissory note but thereafter is used only to determine maximum rent payments. Tenants pay basic rent or 30 percent of adjusted income, whichever is greater. RHS rental assistance subsidy can be used to limit tenant payment to 30 percent of their income. Loans made through contracts entered into on or after December 15, 1989 cannot be prepaid. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Monthly progress reports are to be made to the Rural Development Manager, during the first six months of successful operation and each month thereafter until discontinued by the Rural Development Manager. Annual reports required thereafter. Expenditure reports are not applicable. Annual reports required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For borrowers not covered under OMB Circular No. A-133, annual audits conducted in accordance with Government Auditing Standards are required from borrowers with 25 or more units in any project. In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Good business records required.

**Account Identification:**

12-2081-0-1-371; 12-4141-0-3-371.

**Obligations:**

(Direct Loans) FY 10 \$26,707,086; FY 11 est \$18,036,667; and FY 12 est \$32,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Refer to the NOFA which lists Offices to contact or consult your local telephone directory for Rural Development county or district office number. If no listing, get in touch with appropriate Rural Development State office listed in Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

Director, Multi-Family Housing Processing Division, Rural Development Department of Agriculture, Washington, District of Columbia 20250 Phone: (202) 720-1604.

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans; 10.427 Rural Rental Assistance Payments

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.417 VERY LOW-INCOME HOUSING REPAIR LOANS AND GRANTS**

(Section 504 Rural Housing Loans and Grants)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 504, as amended, Public Laws 89-117, 89-754, and 92.310, 42 U.S.C. 1474.

**OBJECTIVES:**

Section 504 loans and grants are intended to help very low-income owner-occupants in rural areas repair their properties.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Loan funds may be used to make general repairs and improvements to properties or to remove health and safety hazards. Grant funds may be used only to pay for the costs for repairs and improvements that will remove identified health and safety hazards or to repair or remodel dwellings to make them accessible for household members with disabilities. Loans and grants are typically used for repair or replacement of heating, plumbing or electrical services, roof or basic structure as well as water and waste disposal systems, and weatherization. Loans bear an interest rate of one percent and are repaid over a period up to 20 years. In addition to the above purpose, loan funds may be used to modernize the dwelling. Maximum loan amount cannot exceed a cumulative total of \$20,000 to any eligible person and maximum lifetime grant assistance is \$7,500 to any eligible person. The house must be located in an eligible rural area which does not exceed 10,000 population. Some places with populations between 10,000 and 25,000 may be eligible if not within a Metropolitan Statistical Area (MSA). Assistance is available in States, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Northern Mariana's and the Trust Territories of the Pacific Islands.

**Applicant Eligibility:**

Applicants must own and occupy a home in a rural area; and be a citizen of the United States or reside in the United States after having been legally admitted for permanent residence or on indefinite parole. Loan recipients must have sufficient income to repay the loan. Grant recipients must be 62 years of age or older and be unable to repay a loan for that part of the assistance received as a grant. Applicant's income may not exceed the very low-income limit set forth in RD Instructions.

**Beneficiary Eligibility:**

Applicants must own and occupy a home in a rural area; and be a citizen of the United States or reside in the United States after having been legally admitted for permanent residence or on indefinite parole. Loan recipients must have sufficient income to repay the loan. Grant recipients must be 62 years of age or older and be unable to repay a loan for the part of the assistance received as a grant. Applicant's income may not exceed the very low-income limit set forth in RD Instructions.

**Credentials/Documentation:**

Evidence of ownership and verification of income and debts. Grant recipients must provide evidence of age. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file an application form at the Rural Development field office serving the county where the dwelling is located.

**Award Procedure:**

Delegated to Local or Area Loan Approval Official.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days from time applications are filed if no backlog of applications exists. Applications for assistance far exceed available funding. There is generally a waiting list for funding.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The following basic formula criteria are to allocate program loan funds to various States:  $(A \times .50 + B \times .50) \times \text{funds available} = \text{State basic formula allocation}$ . Where "A" is State's percentage of national number of rural occupied units; and "B" is State's percentage of national number of rural households below 50 percent of area median income. The formula for grants is:  $(A \times 1/3 + B \times 1/3 + C \times 1/3) \times \text{funds available} = \text{State basic allocation}$ . Where "C" is State's percentage of national rural population 62 years of age and older. The data source for each of these criteria are based on the latest census data available. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This assistance is available throughout the year by means of an established allocation system. Funds are usually released to borrowers/grantees as a lump sum payment for completed repairs or, as needed, for repairs in progress. See the following for information on how assistance is awarded/released: Contact regional office or headquarters as appropriate for additional information.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Borrowers and/or grantees are not required to, but should retain copies of loan or grant-related documents.

**Account Identification:**

12-4141-0-3-371; 12-2081-0-1-371; 12-2064-0-1-604.

**Obligations:**

(Direct Loans) FY 10 \$25,935,000; FY 11 est \$23,300,000; and FY 12 est \$0 - Fiscal Year 2012 estimates are based on the House Subcommittee Proposal. (Project Grants) FY 10 \$31,781,000; FY 11 est \$30,400,000; and FY 12 est \$32,000,000 - Fiscal Year 2012 estimates are based on the House Subcommittee Proposal.

**Range and Average of Financial Assistance:**

FY 2010 average loan amount is \$5,650. FY 2010 average grant amount is \$5,611.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3550, Direct Single Family Housing Loans and Grants. (no charge); Home Improvement and Repair Loans, PA-1184, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Myron L. Wooden, 1400 Independence Avenue, SW, Washington, District of Columbia 20250 Email: Myron.Wooden@wdc.usda.gov Phone: (202) 720-4780.

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.420 RURAL SELF-HELP HOUSING TECHNICAL ASSISTANCE**

(Section 523 Technical Assistance)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 523, Public Laws 89-117 and 89-754, 42 U.S.C. 1490c.

**OBJECTIVES:**

To provide Self-Help Technical Assistance Grants to provide financial assistance to qualified nonprofit organizations and public bodies that will aid needy very low and low-income individuals and their families to build homes in rural areas by the self help method. Any State, political subdivision, private or public nonprofit corporation is eligible to apply. Section 523 Grants are used to pay salaries, rent, and office expenses of the nonprofit organization. Pre-development grants up to \$10,000 may be available to qualified organizations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible organizations may use technical assistance funds to hire the personnel to carry out a technical assistance program for self-help housing in rural areas; to pay necessary and reasonable office and administrative expenses; to purchase or rent equipment such as power tools for use by families participating in self-help housing construction; and to pay fees for training self-help group members in construction techniques or for other professional services needed. Funds will not be used to hire personnel to perform any construction work, to buy real estate or building materials, or pay any debts, expenses or costs other than previously outlined for participating families in self-help projects.

**Applicant Eligibility:**

Must be a State or political subdivision, public nonprofit corporation or a private nonprofit corporation. Assistance is authorized for eligible applicants in the United States, Puerto Rico, Virgin Islands, Guam, and the Northern Marianas.

**Beneficiary Eligibility:**

Very low and low-income rural families, usually in groups of 6 to 10 families.

**Credentials/Documentation:**

Applicants must furnish evidence of the need for such services, have legal capacity to incur the obligation and operate the proposed project, and be unable to obtain the necessary funds from other sources. This program is excluded

from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Form SF-424 is submitted to the Field office of the Rural Development (RD) , including information attached to Part IV, fully documenting the applicant's experience, need for the grant and the proposed amount needed. Attachments relating to the size of the proposed project, estimated cost, budget and need are also required. This program is subject to provisions of Departmental Regulation 3015 and 3016.

**Award Procedure:**

Award is made by the National office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 190 days from the time discussion begins.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time, if needed to help low- income families build homes in rural areas by the mutual self-help method is clearly evidenced.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are typically for a 2-year period, however, other time periods may be authorized if appropriate. Applications for assistance far exceed available funding. There is generally a waiting list for funding. See the following for information on how assistance is awarded/released: Award is made by the National Office.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are to be made to the RD-Housing Programs District Office. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

Adequate operating records must be maintained by Grantee.

**Account Identification:**

12-2006-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$34,743,000; FY 11 est \$36,900,000; and FY 12 est \$0 - Fiscal Year 2012 estimates are based on the House Subcommittee Proposal.

**Range and Average of Financial Assistance:**

FY 2010 average grant assistance \$723,812.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Subpart I of Part 1944; Chapter XVIII; RD Instruction 1944-I, "Self-Help Technical Assistance Grants"; (PA 1254) (no charge).

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Akua Assata 1400 Independence Ave. SW, Washington, District of Columbia 20250 Email: [akua.assata@wdc.usda.gov](mailto:akua.assata@wdc.usda.gov) Phone: (202) 690-3832

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans; 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are the evidence of a clearly defined need in an area for mutual self-help housing and the families in the area cannot afford or obtain a modest house by customary methods, and the applicant possesses the expertise to provide the technical assistance (TA) required.

**10.421 INDIAN TRIBES AND TRIBAL CORPORATION LOANS**

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Farm and rual Development Act. Agriculture Act of 1961, Title III, Public Law 87-128.

**OBJECTIVES:**

To enable federally recognized Indian tribes and tribal corporations to acquire land within tribal reservations and Alaskan communities.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Loan funds may be used to acquire land and interest therein for the benefit and use of the tribe or its members for purposes such as rounding out farming and ranching units or elimination of fractional heir ships. Funds may also be used for incidental costs connected with land purchase such as appraisals, title clearance, legal services, land surveys, and loan closing. Loan funds may be used to refinance non-United States Department of Agriculture preexisting debts that applicant incurred to purchase land subject to certain conditions. Loan funds cannot be used for any improvement or development purposes, acquisition or repair of buildings or personal property, payment of operating costs, payment of finder's fees, or similar costs.

**Applicant Eligibility:**

Limited to any Indian tribe recognized by the Secretary of the Interior or tribal corporation established pursuant to the Indian Reorganization Act or community in Alaska incorporated by the Secretary of Interior pursuant to the Indian Reorganization Act which does not have adequate uncommitted funds to acquire lands within the tribe's reservation or in a community in Alaska. The tribe must be unable to obtain sufficient credit elsewhere at reasonable rates and terms and must be able to show reasonable prospects of repaying the loan as determined by an acceptable repayment plan and a satisfactory management plan for the land being acquired.

**Beneficiary Eligibility:**

American Indian Tribe or tribal corporation recognized by the Secretary of the

Interior, or a community in Alaska incorporated by the Secretary of the Interior.

**Credentials/Documentation:**

Credentials provided by the Secretary of the Interior. Feasibility documentation must be supplied by the applicant. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application Form FSA 770-2620 will be submitted to the State FSA offices. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

After an application has been recommended by Agency loan specialist, the State Executive Director has final approval authority on loans up to \$500,000. Loans in excess of that amount require the National office approval. Following approval, payment authorization is forwarded to the National finance office which issues the check.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 90 days.

**Appeals:**

From 30 to 60 days. If an application is rejected, the reasons for rejection are fully stated and appropriate appeal rights given. The applicant may reapply at any time that the reasons for rejection are corrected. If not satisfied with the State Executive Director's action, the applicant is given an opportunity to appeal the decision to the National Appeals Division decision making process. The applicant may in the final step of the appeals process, ask for a review of the decision by the Director of the National Appeals Division, Washington, DC.

**Renewals:**

not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans may be scheduled over a period not to exceed 40 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Records and accounts are required to reflect the operations of the project.

**Account Identification:**

12-4140-0-3-351; 12-1140-0-1-351.

**Obligations:**

(Direct Loans) FY 10 \$0; FY 11 est \$0; and FY 12 est \$2,000,000

**Range and Average of Financial Assistance:**

No Current Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bob bonnet USDA-FSA-DAFLP-LMD  
1400 Independence Ave, SW, Washington, District of Columbia 20250-0522  
Email: bob.bonnet@wdc.usda.gov Phone: 202-720-3889 Fax: 202-690-1117

**Website Address:**

http://www.fsa.usda.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.427 RURAL RENTAL ASSISTANCE PAYMENTS**

(Rental Assistance)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 521, Public Laws 90-448 and 93-128, 42 U.S.C. 1490a.

**OBJECTIVES:**

To reduce the tenant contribution paid by low-income families occupying eligible Rural Rental Housing (RRH), Rural Cooperative Housing (RCH), and Farm Labor Housing (LH) projects financed by the Rural Housing Service (RHS) through its Sections 515, 514 and 516 loans and grants.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Rental assistance may be used to reduce the rents paid by low-income senior citizens or families and domestic farm laborers and families whose rents exceed 30 percent of an adjusted annual income. Tenants who may be eligible must occupy units in eligible RRH, RCH and LH projects financed by RHS.

**Applicant Eligibility:**

To be eligible to participate in the rental assistance program, borrowers must have an eligible project. All projects must convert to Interest Credit Plan II before they are eligible, except direct RRH and insured RRH loans approved prior to August 1, 1968, and LH loans and grants. For a borrower to have an eligible project, the loan must be an RRH insured or direct loan made to a broad-based nonprofit organization, or State or local agency or; an RRH insured loan made to an individual or organization who has or will agree to operate the housing on a limited profit basis as defined in 7 CFR 3560.254 (a) or; an RCH insured or direct loan or; an LH loan, or an LH loan and grant combination made to a broad-based nonprofit organization or nonprofit organization of farm workers or a State or local public agency. New construction and/or rehabilitation projects, utilizing the Section 8 program from HUD will not be considered eligible projects, although it may be used for eligible families in existing projects utilizing Section 8 for part of the units.

**Beneficiary Eligibility:**

Any very low and low-income family, handicapped or senior citizen that is unable to pay the approved rental rate for an eligible RHS rental assistance unit within 30 percent of their adjusted monthly income. Households eligible for rental assistance are those 1) whose net tenant contribution to rent, determined in accordance with 3560.203 (a)(2), is less than the basic rent for the unit; 2) who meet the occupancy rules established by the borrower in accordance with 3560.155 (e); and 3) who have a signed, unexpired tenant certification form on file with the borrower. Additional eligibility requirements must be met for Section 514 Farm Labor Housing Program occupancy.

**Credentials/Documentation:**

The applicant must be the owner or plan to become an owner of an eligible RHS RRH,RCH, or LH project operating on a limited profit or nonprofit basis. This program is excluded from coverage under 7 CFR 3015 or 3016. This

program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible borrowers will initiate the processing by submitting Form RD 3560-25, "Request for Rental Assistance". Applications shall then be reviewed under the procedure set forth in 7 CFR 3560.255. This program is excluded from coverage under 7 CFR 3015 or 3016.

**Award Procedure:**

After the application has been reviewed by the Rural Development Manager, it is given final approval by the State Director. The State Director will determine the number of rental assistance units to be given from the total of units that were allocated to the State. Projects may be eligible for rental assistance for up to 100 percent of the number of units in the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 90 days from the time Form RD 3560-25, "Request for Rental Assistance" is filed.

**Appeals:**

Applicant may request reconsideration on the basis of pertinent facts concerning the application under the provisions of RD Instruction 1900-B.

**Renewals:**

Rental assistance contracts for new as well as existing projects may be renewed at the end of the original contract subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The statistical factors used for fund allocation are: (1) State percentage of RHS rural population and the source is "2000 Census" updated by ERS; (2) State percentage of RHS rural housing units lacking plumbing and/or overcrowded and the source is "2000 Census"; and (3) State percentage of persons in poverty living in RHS rural areas and the source is "2000 Census".

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Rental assistance contracts shall be funded subject to the availability of funds and appropriation language. See the following for information on how assistance is awarded/released: See above.

**Reports:**

The borrower must initially submit Form RD 3560-8, "Tenant Certification," for each tenant. Subsequent tenant certifications must be obtained annually and submitted to the Rural Development Manager. Quarterly progress reports are to be made to the Rural Development Manager during the first year of successful operation and each quarter thereafter until discontinued by the Rural Development Manager. An annual report will also be necessary. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Borrowers not covered by OMB Circular No. A-133, are required to provide annual financial reports in accordance with 7 CFR 3560.308.

**Records:**

Adequate operating records must be maintained by borrower.

**Account Identification:**

12-0137-0-1-604; 12-2002-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$980,000,000; FY 11 est \$953,700,000; and FY 12 est \$907,000,000

**Range and Average of Financial Assistance:**

From 30 to 90 days from the time Form RD 3560-25, "Request for Rental Assistance is filed.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3560, Direct Multi-Family Housing Loans and Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Multi-Family Housing Portfolio Management Division, Rural Housing Service U.S. Department of Agriculture, Washington, District of Columbia 20250 Phone: 202-720-1615

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.415 Rural Rental Housing Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.433 RURAL HOUSING PRESERVATION GRANTS**

Rural Housing Preservation Grants

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 533, Public Law 98-181, 42 U.S.C. 1480.

**OBJECTIVES:**

To assist very low- and low-income rural residents individual homeowners, rental property owners (single/multi-unit) or by providing the consumer cooperative housing projects (co-ops) the necessary assistance to repair or rehabilitate their dwellings. These objectives will be accomplished through the establishment of repair/rehabilitation, projects run by eligible applicants. This program is intended to make use of and leverage any other available housing programs which provide resources to very low and low-income rural residents to bring their dwellings up to development standards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Organizations may use less than 20 percent of the Housing Preservation Grant funds for program administration purposes, such as to hire the personnel to carry out a project of housing rehabilitation to meet the needs of very low and low-income persons in rural areas; to pay necessary and reasonable office and administrative expenses; and to pay reasonable fees for training of organization

personnel. Eighty percent or more of funds must be used for loans, grants or other assistance on individual homes, homeowners, rental properties or co-ops to pay any part of the cost for repair or rehabilitation of structures; funds may not be used to hire personnel to perform construction or to pay any debts, expenses or costs other than previously outlined and approved in the project application.

**Applicant Eligibility:**

Must be a State or political subdivision, public nonprofit corporation, Indian tribal corporations, authorized to receive and administer housing preservation grants, private nonprofit corporation, or a consortium of such eligible entities. Applicants must provide assistance under this program to persons residing in open country and communities with a population of 10,000 that are rural in character and places with a population of up to 20,000 under certain conditions. Applicants in towns with population of 10,000 to 20,000 should check with local Rural Development office to determine if the Agency can serve them. Assistance is authorized for eligible applicants in the United States, Puerto Rico, Virgin Islands, and the territories and possessions of the United States.

**Beneficiary Eligibility:**

Very low and low-income rural individuals and families who are homeowners and need resources to bring their housing up to code standards, rental property owners, or co-ops.

**Credentials/Documentation:**

Applicants must have the financial, legal, administrative, and operational capacity to carry out the objectives of the program by having experience in rural housing rehabilitation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In FY 2011, the Section 533 program was awarded through a Notice of Funding Availability (NOFA) announced in the Federal Register on July 7, 2011. The NOFA deadline is August 22, 2011.

**Award Procedure:**

Award is made by the Rural Development State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notice of action taken on preapplications will be generally within 60 days of final date of acceptance of preapplication.

**Appeals:**

Applicants may request reconsideration on the basis of pertinent facts concerning their application within 30 days of notification of action taken on the preapplication or application.

**Renewals:**

Applicants may apply for an additional HPG grant when they have achieved or nearly achieved the goals established for the previous or existing grant. The grantee must file a preapplication for the current fiscal year which will be processed and compared under the project selection criteria to others submitted at that time.

**Formula and Matching Requirements:**

Statutory Formula: Title 7 CFR 1940-L Methodology and Formulas for Allocation of Loan and Grant Funds.

This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are made for a 12-month period. Agency consent is required for grants that exceed 1 year. See the following for information on how assistance is

awarded/released: The highest-ranking applicant(s) will be selected based on allocation of funds available to the state. Points are awarded based on: (1) percentage of very low-income persons that the applicant proposes to assist (2) percentage of HPG funds (excluding administrative costs) to total fund (3) demonstration of administrative capacity in assisting very low- and low-income persons to obtain adequate housing based on the organization or a member of its staff having at least one or more years experience successfully managing and operating; (a) a rehabilitation or weatherization type program, (b) a program assisting very low and low-income persons obtain housing assistance, (c) grant programs, there are no outstanding or unresolved audit or investigative findings which might impair carrying out the proposal. (4) The proposed program will be undertaken entirely in rural areas outside Metropolitan Statistical Areas (MSAs), as defined in 7 CFR 1944.656. (5) The program will use less than 20 percent of HPG funds for administration purposes. (6) The proposed program contains a component for alleviating overcrowding as defined in 7 CFR 1944.656. (7) In the event more than one preapplication receives the same amount of points, those pre-applications will then be ranked based on the actual percentage figure used for determining the points as described in the NOFA published on July 7, 2011 in the Federal Register.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

Grantees shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-2070-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$10,146,815; FY 11 est \$9,814,482; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Total number of Housing Preservation Grants; 163. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1944-N, Section 1944.651 through 1944.700, RD Instruction 1944-N. Regulations are available from Rural Development State offices.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Multi-Family Housing, Preservation and Direct Loan Division, Rural Development U.S. Department of Agriculture  
1400 Independence Avenue, S.W., Washington, District of Columbia  
20250-0788 Phone: 202-720-1604

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans; 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans; 10.417 Very Low-Income Housing Repair Loans and Grants; 10.420 Rural Self-Help

Housing Technical Assistance; 14.108 Rehabilitation Mortgage Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must provide a feasible repair rehabilitation program and serve areas with a concentration of substandard housing and very low and low-income persons. In addition, the following criteria will be considered in the selection of grant recipients. Each preapplication and its accompanying statement of activities will be evaluated on: (1) The percentage of very low-income persons assisted; (2) the percentage of use of HPG funds to total cost of housing preservation; (3) the applicant's administrative capacity and experience in (i) housing rehabilitation or weatherization, (ii) assisting very low and low-income persons attain housing assistance and (iii) prior programs no outstanding audits findings; (4) the proposed program will be undertaken in non-Metropolitan Statistical Areas identified by Rural Development as having populations below 10,000 or in remote parts of other rural areas, (i.e., rural areas contained in Metropolitan Statistical Areas with less than 5,000 population); (5) the program will minimize the use of grant funds for administrative purposes, i.e., less than 20 percent of grant funds; (6) the program will alleviate overcrowding in rural residences inhabited by very low and low-income families; and (7) if an existing grantee has met the objectives of its current grant.

**10.435 STATE MEDIATION GRANTS**

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Agricultural Credit Act of 1987.

**OBJECTIVES:**

To assist States in establishing and administering mediation programs and services for agricultural producers, creditors of producers (as applicable), and persons directly affected by actions of the Department of Agriculture.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are to be used for the operation and administration of a State's mediation program which has been certified by the Administrator of the Farm Service Agency (FSA) as meeting the requirements of Section 501 (c) of Title V of the Agricultural Credit Act of 1987 (U.S.C. 510), as amended. A grant will not exceed 70 percent of the total fiscal year funds that a qualifying State requires to operate and administer its mediation program, or \$500,000, whichever is less. Eligible costs are limited to those that are reasonable and necessary to carry out the mission of the State's mediation program and may include activities related to the intake and scheduling of cases, the provision of background and selected information regarding the mediation process, financial advisory and counseling services, and the mediation session.

**Applicant Eligibility:**

State governments.

**Beneficiary Eligibility:**

Agricultural producers, creditors of producers (as applicable) and persons directly affected by actions of the Department of Agriculture.

**Credentials/Documentation:**

Have a mediation program which has been certified by the Administrator of FSA, and for which certification has not been withdrawn; provide evidence to justify the estimated costs of operating and administering the State's mediation program. The Governor of a State or head of an entity designated by the Governor of a State must make a written request to FSA on or before August 1 of each year to receive a matching grant during the fiscal year commencing on October 1, of that same year. Request for certification are accepted after August 1 of each year; however, the State will be considered in order of date received for reserved grant funds. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. To be certified as a qualifying State, the mediation program of the State must mediate issues involving agricultural loans (regardless of whether the loans are made or guaranteed by the Secretary of Agriculture or made by third party); and may



provide mediation services for disputes involving wetlands determinations, compliance with farm programs including conservation programs, rural water loan programs, grazing on National forest system lands, pesticides, and such other issues, under the jurisdiction of the Secretary meeting the requirements of Section 501 of Title V of the Agricultural Credit Act of 1987 (7 U.S.C. 510), as amended. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by 7 CFR part 3016, must be used for this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Grant funds will be distributed on a first come, first served basis to qualifying States. If, however, when funds for a fiscal year become available, there are not sufficient funds to give all qualifying States 70 percent of their justified estimated expenses for the fiscal year, the percentage allocation will be reduced so as to give all States the same percentage of their expenses. FSA views the use of grant funds to provide financial advisory or other services in an advocacy context to be inconsistent with the premise of a mediation program, which is to provide a neutral forum for resolution of disputes.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Thirty days from receipt of a complete application package.

**Appeals:**

If a certified State mediation program is available as part of the informal appeal hearing process, the participant will be offered the right to choose such mediation.

**Renewals:**

Section 506 of Title V of the Agricultural Credit Act of 1987, Public Law 100-233 and Section 1853 of the Food, Agricultural, Conservation and Trade Act of 1990, Public Law 101-624, Section 22 of the Agricultural Credit Improvement Act of 1992, Public Law 102-554, Section 282 of the Federal Crop Insurance Reform and Department of Agriculture Reorganization Act of 1994, Public Law 103-354, and the United States Grain Standards Act of 2000, Public Law 106-472.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

From beginning to end of the Federal government's fiscal year. Grant will be an annual grant and will run concurrently with the Federal government's fiscal year; reimbursement by Treasury check. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Record keeping will conform to requirements of 7 CFR Part 3016.

**Account Identification:**

12-0170-0-1-351.

**Obligations:**

(Project Grants) FY 10 \$4,369,000; FY 11 est \$4,176,630; and FY 12 est \$4,369,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1946 published on August 26, 1988, 53 FR 32597.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Carol Wagner 1400 Independence Ave, SW, Washington, District of Columbia 20250 Email: carol.wagner@wdc.usda.gov Phone: 202-720-4966

**Website Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Certification by the Administrator, FSA, that mediation program meets the requirements of Section 501 (c) of Title V of the Agricultural Credit Act (Public Law 100-233) as amended; application meets requirements of FSA regulations to be implemented.

**10.437 INTEREST ASSISTANCE PROGRAM**

Interest Assistance Program (Guaranteed Operating Loans)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended.

**OBJECTIVES:**

To provide a 4 percent subsidy to farmers and ranchers, who do not qualify for standard commercial credit. Guaranteed loans are serviced by a lender who has entered into a Lenders Agreement with the agency.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The Interest Assistance Program can be provided for Operating Loans (OL). Under the interest assistance program, FSA will subsidize 4 percent of the interest rate on loans to qualifying borrowers. Operating Loans (OL) may be used: (1) to finance livestock or farm equipment; (2) to pay annual operating expenses or family living expenses; or (3) to refinance debts under certain conditions. Lines of Credit (LOC) are operating loans for annual operating loan purposes. Funds may be advanced and repaid (revolve) throughout the year.

**Applicant Eligibility:**

Individuals, partnerships, or joint operations, legal resident aliens, corporations and cooperatives that meet the eligibility requirements for a guaranteed loan and are able to project the required cash flow margins with the aid of interest assistance.

**Beneficiary Eligibility:**

This program aids both the borrower and lender by providing 4 percent of the interest costs and receiving up to a 90 percent guarantee on the loan.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. The lender must submit to the agency on behalf of the applicant, all required forms to the FSA county office, where the proposed operation will be located. Contact the lender in your area for completion of all required forms. Additional information can be obtained by contacting the FSA office in your local area. Farm Service Agency offices are listed in the telephone directory under U.S. Government, Department of Agriculture. Visit FSA website at: [www.fsa.usda.gov](http://www.fsa.usda.gov).

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

One to 30 days.

**Appeals:**

At the time of any rejection FSA will notify the lender and loan applicant of appeal rights and procedures.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Interest Assistance agreements will be granted for a term not to exceed 5 years from the date the first agreement was signed. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

The type of records required will be on a case-by-case basis.

**Account Identification:**

12-4140-0-3-351; 12-1140-0-1-351.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$1,181,569,000; FY 11 est \$144,000,000; and FY 12 est \$0 - Guaranteed Operating Loans with Interest Assistance: FY 2011 estimated program level funding \$144,000,000.

**Range and Average of Financial Assistance:**

Maximum Lifetime limit for interest assistance: \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Agency actual number of Interest Assistance Program Guaranteed Operating Loans being made in FY 2010: 893 and average loan size: \$203,000. Fiscal Year 2011: The Agency estimates 850 Interest Assistance Program Guaranteed Operating Loans being made in FY 2011 for total obligations estimated a \$144,000,000. Fiscal Year 2012: No current data available for 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 762 and FSA Handbook 2 FLP. Farm Service Agency Fact Sheets; Program Aid 1664 "Producers Guide to FSA Loan Programs." and Program Aid 1620 "Lender's Guide to FSA Loan Programs." FSA website: [www.fsa.usda.gov](http://www.fsa.usda.gov).

**Regional or Local Office:**

None. Farm Service Agency State Offices can inform applicants of county office locations where applicants may apply for assistance. FSA State Office locations are listed in Appendix IV of the Catalog. Or visit the website at: <http://www.fsa.usda.gov>. FSA has more than 2,500 county offices serving every rural county in the United States.

**Headquarters Office:**

Bob Bonnet USDA FSA DAFLP LMD  
1400 Independence Avenue, SW  
, Washington, District of Columbia 20250-0522 Email:  
[bob.bonnet@wdc.usda.gov](mailto:bob.bonnet@wdc.usda.gov) Phone: (202) 720-3889 Fax: (202) 690-1117

**Website Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.406 Farm Operating Loans; 10.407 Farm Ownership Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.438 SECTION 538 RURAL RENTAL HOUSING GUARANTEED LOANS**

Rural Rental Housing Guaranteed Loans

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 538, Public Law 106-569, 42 U.S.C. 1490p-2.

**OBJECTIVES:**

This program has been designed to increase the supply of affordable multifamily housing in rural areas through partnerships between Rural Development and major lending sources, as well as State and local housing finance agencies and bond insurers. The program provides Federal credit enhancement to encourage private and public lenders to make new loans for affordable rental properties that meet program standards.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The guarantee will encourage the construction of new rural rental housing and appropriate related facilities. Housing as a general rule will consist of projects with five or more dwellings. The guarantee may not be made for nursing, special care or industrial type housing.

**Applicant Eligibility:**

The applicant in this program is the lender. The lender must be approved and currently active with Fannie Mae, Freddie Mac, HUD/FHA insurance programs, Ginnie Mae or be a State or local Housing Finance Agency. A member of the Federal Home Loan Bank System or other lender may be able to participate if they can demonstrate satisfactory experience with multifamily lending.

**Beneficiary Eligibility:**

Occupants must be families or persons with income not in excess of 115 percent of the Median Income at the time of initial occupancy.

**Credentials/Documentation:**

Eligible borrowers include: individual partnerships; profit and not-for-profit corporations; limited liability companies; trusts; State and local agencies; and Indian Tribes. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The lender originates the loan and performs the necessary underwriting and provides the documentation required by the RHS and request for guarantee to the RHS for consideration.

**Award Procedure:**

Rural Development will review all the applications for compliance with the program requirements and issue the Conditional Commitment of Guarantee with conditions. Once the conditions are met the final Contract of Guarantee will be issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on applications will normally be rendered within 60-120 calendar days of receipt of a complete application.

**Appeals:**

Applicants may appeal adverse decisions in accordance with 7 CFR Part 11, National Appeals Division.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: The funding takes place as outlined in the Notice of Funding Availability.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. As required by the lender and program regulations.

**Records:**

Good business records and any records required by the lender.

**Account Identification:**

12-0137-0-1-604.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$129,707,606; FY 11 est \$30,897,832; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Final Rule, 7 CFR 3565, became effective January 19, 2005. Also available in the Guaranteed Rural Rental Housing Program Origination and Servicing Handbook.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Multifamily Guaranteed Loan Division 1400 Independence Avenue SW, Washington, District of Columbia 20250 Phone: (202) 720-1604

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Provided in the Notice of Funding Availability (NOFA).

**10.443 OUTREACH AND ASSISTANCE FOR SOCIALLY DISADVANTAGED FARMERS AND RANCHERS**

Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (OASDFR),

Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers and Forest Landowners (OASDFRFL); USDA 2501 Grant Program

**FEDERAL AGENCY:**

Departmental Management, Department of Agriculture

**AUTHORIZATION:**

Food, Agriculture, Conservation, and Trade Act of 1990, Section 2501, Public Law 101-624, 7 U.S.C 2279.

**OBJECTIVES:**

The objective of the Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (OASDFR) program is to provide outreach, training, education, assistance, and technical assistance to encourage and assist socially disadvantaged farmers, ranchers and forest landowners in owning and operating farms, ranches and non-industrial forest lands. The intent of the competitive grant program (2501 program) is to communicate in a linguistically appropriate manner, to current and prospective socially disadvantaged farmers, ranchers and forest landowners about participating equitably in the full range of agricultural programs offered by the Department.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide outreach, training, education, assistance, and technical assistance to socially disadvantaged farmers and ranchers on agricultural programs, emphasizing assistance that leads to participation in the full range of agriculture programs offered by the Department.

**Applicant Eligibility:**

As determined in 7 U.S.C. 2279, eligibility is defined as follows: 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State College, Indian Tribal Community Colleges, Alaska Native Cooperative Colleges, Hispanic-serving post-secondary educational institutions, other accredited post-secondary educational institutions, and Indian tribes providing agricultural education or other agriculturally-related services to socially disadvantaged farmers and ranchers in their region, and community-based organizations that: (1) have demonstrated experience in providing agricultural education or other agriculturally related services to socially disadvantaged farmers and ranchers in their region; (2) provides documentary evidence of its past experience in working with socially disadvantaged farmers and ranchers during the 2 years preceding its application for assistance; and (3) does not engage in activities prohibited under Section 501 (c)(3) of the Internal Revenue Code of 1986. Also eligible are organizations or institutions that received funding under 7 U.S.C. 2279(a) before January 1, 1996, but only with respect to projects that the Secretary considers are similar to projects previously carried out by the organization or institution under such subsection.

**Beneficiary Eligibility:**

A farmer, rancher, or forest landowner who is a member of one or more of the following groups whose members have been subjected to racial or ethnic prejudice because of their identity as members of a group without regard to their individual qualities. Groups include, but are not limited to, African-Americans, American Indians, Alaskan Natives, Hispanics, Asians, and Pacific Islanders. The Secretary of Agriculture will determine on a case-by-case basis whether additional groups qualify under this definition, either at the Secretary's initiative or in response to a written request with supporting explanation.

**Credentials/Documentation:**

Applicants must have the financial, legal, administrative, and operational

capacity to carry out the objectives of the program by having experience in agriculture. Costs will be determined in accordance with OMB Circular No. A-122 "Cost Principles for Nonprofit Organizations" and OMB Circular No. A-21, "Cost Principles for Educational Institutions", and as incorporated by USDA regulations (7 CFR parts 3015, 3016, 3019). Community-based organizations should provide a current certification of non-profit status in accordance with section 501(c)(3) of the Internal Revenue Code of 1986 and have dated Articles of Incorporation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Formal proposals should be submitted as outlined in the request for applications or request for proposals. Funding opportunities will be announced on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applications are reviewed and evaluated by the OASDFR Program staff members with the assistance and advice of a review panel of appropriate persons that are specialists who are qualified by training and experience in the fields covered by the applications. Applications are ranked and recommended in order of merit and funded to the extent permitted by available funds. Final approval for those applications selected will be made by Assistant Secretary for Departmental Management, or appropriately redelegated.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Notice of action taken on proposals will generally be within 90 days of final date of submission dateline.

**Appeals:**

As stipulated in OMB Circular No. A-110 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations, OASDFR shall provide the recipient an opportunity for hearing, appeal, or other administrative proceeding to which the recipient is entitled under any statute or regulation applicable to the action involved. Procedures may differ for appeals concerning non-selected applications and appeals regarding post-award enforcement.

**Renewals:**

Renewal grants will not be issued. However, supplemental funding opportunities to continue work on existing grants may become available, and if so, corresponding application procedures will be announced on [www.grants.gov](http://www.grants.gov). Otherwise, applicants that have previously received a grant, and have achieved the goals established for the previous grant, must reapply for an additional grant in response to a valid funding opportunity announced on [www.grants.gov](http://www.grants.gov).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants can be awarded from one to five years, as stipulated by requests for applications and requests for proposals, announced on [www.grants.gov](http://www.grants.gov). See the following for information on how assistance is awarded/released: Grant payments will be administered through either the U.S. Department of Health and Human Services Payment Management System or the U.S. Department of Treasury ASAP System. Recipient drawdown procedures are to comply with 7 CFR 3019.22 and 7 CFR 3016.21.

**Reports:**

Quarterly financial and program performance/progress reports are due within 30 days after the reporting period. A final financial and program performance/progress report is required within 90 days of the expiration of each

Grant Agreement, which shall include an evaluation of the activities under the Grant Agreement. Quarterly financial reports are due within 30 days after the reporting period. A final financial report is required within 90 days of the expiration of each Grant Agreement. Cash reports, if required by Grant Agreement and/or payment system terms and conditions, are to be completed using the SF-272. Quarterly financial and program performance/progress reports are due within 30 days after the reporting period. A final financial and performance/progress report is required within 90 days of the expiration of each Grant Agreement, which shall include an evaluation of the activities under the Grant Agreement. Requirements for performance/progress reports will be identified in Grant Agreement terms and conditions. Quarterly financial reports are due within 30 days after the reporting period. A final financial report is required within 90 days of the expiration of each Grant Agreement. Expenditure reports, if required by Grant Agreement and/or payment system terms and conditions, are to be completed using the SF-269 or SF-425. If required, specific instructions regarding performance monitoring requirements will be identified in Grant Agreement terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved. Record retention must comply with applicable Federal and USDA Uniform Administrative Requirements.

**Account Identification:**

12-9915-0-1-350.

**Obligations:**

(Project Grants) FY 10 \$19,000,000; FY 11 est \$19,000,000; and FY 12 est \$19,000,000

**Range and Average of Financial Assistance:**

FY 10: 62 recipients were awarded between \$14,300 and \$400,000; the average award was approximately \$330,000. OASDFR expects to award approximately \$19 million FY 11 and FY 12. Funding is expected to be limited to \$400,000 per grant, per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY 10: 62 recipients served socially disadvantaged farmers and ranchers in 28 states. Fiscal Year 2011: \$19,000,000. Fiscal Year 2012: \$19,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

- All Applicants and Awardees
- 7 U.S.C. 2279
- 7 CFR 3015 Uniform Federal Assistance Regulations
- 7 CFR 3018 New Restrictions on Lobbying Higher Education Institutions
- 7 CFR 3019 Uniform Administrative Requirements
- 2 CFR PART 220 Federal Cost Principals Non-Profit Organizations
- 7 CFR 3019 Uniform Administrative Requirements
- 2 CFR PART 230 Federal Cost Principals State and Local Governments (Tribal)
- 7 CFR 3016 Uniform Administrative Requirements State, Local, and Indian Tribal Governments
- 2 CFR PART 225 Federal Cost Principals

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate USDA State Office listed in Appendix IV of the Catalog of Federal Domestic Assistance (CFDA).

**Headquarters Office:**

Asher Weinberg USDA Office of Advocacy and Outreach  
Whitten Building 520-A, Stop 9821  
1400 Independence Ave., SW., Washington, District of Columbia 20250-9821  
Email: asher.weinberg@osec.usda.gov Phone: 202-720-6350

**Website Address:**

<http://www.outreach.usda.gov/oasdf/>

**RELATED PROGRAMS:**

10.350 Technical Assistance to Cooperatives; 10.500 Cooperative Extension Service; 10.960 Technical Agricultural Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Title: A state-wide outreach and technical assistance program to address the service delivery gaps for socially disadvantaged farmers and ranchers

The overall goal of the project is to enhance farm incomes and profitability and improve quality of life for socially disadvantaged farmers and ranchers, their families and their communities.

The project objectives are:

To increase the number of socially disadvantaged farmers and ranchers participating in USDA programs;

To empower socially disadvantaged farmers and ranchers to acquire, maintain, and retain farm ownership;

To enhance the ability of socially disadvantaged farmers and ranchers to implement profitable alternative and environmentally sound production practices;

To improve the knowledge and skills of socially disadvantaged farmers and ranchers on food safety and value added product development;

To improve incomes and profitability of socially disadvantaged farmers and ranchers through utilization of innovative and cost-efficient marketing strategies.

Geographic Service Area: 42 counties state-wide. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed and evaluated by the OASDFR Program staff members with the assistance and advice of a review panel of appropriate persons that are specialists who are qualified by training and experience in the fields covered by the applications. Applications will be evaluated and then funding recommendations will be determined. Recommended applications will be funded to the extent permitted by available funds. Final approval for those applications selected will be made by Assistant Secretary for Departmental Management, or appropriately redelegated.

**10.444 DIRECT HOUSING\_NATURAL DISASTER LOANS AND GRANTS**

(SECTION 504, Rural Housing Loans and Grants)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 504, as amended, Public Laws 89-117, 89-754, and 92-310, 42 U.S.C. 1474; Public Law 104-134.

**OBJECTIVES:**

To assist qualified recipients to meet emergency assistance needs resulting from natural disaster. Funds are only available to the extent that funds are not provided by the Federal Emergency Management Agency (FEMA). For the purpose of administering these funds, natural disaster will only include those counties identified by a Presidential declaration.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To assist very-low income owner- occupants to repair or replace damaged property as a direct result of a natural disaster. Loans are made in counties

named by the Federal Management Agency as being eligible for Federal assistance under an emergency declaration by the President.

**Applicant Eligibility:**

Applicants must own and occupy the home in a rural area. Loan recipients must have sufficient income to repay the loan. Grant recipients must be 62 years of age or older and be unable to repay a loan for that part of the assistance received as a grant. The applicant's income for a loan may not exceed the very low-income limit which can be obtained in any Rural Development (RD) field office.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria.

**Credentials/Documentation:**

Natural disasters will only include those areas identified by a Presidential declaration. Funds are only available to the extent that funds are not provided by the Federal Emergency Management Agency (FEMA). Applicants must establish that physical damage was caused by natural disaster. For Section 504 loans/grants, there must be evidence of ownership and verification of income and debts. For grant recipients, evidence of age is required. The applicant must be unable to get credit elsewhere and demonstrate repayment for the loan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file Form RD 410-4 at the Rural Development field office serving the county where the dwelling is located.

**Award Procedure:**

Final approval of the application is given by the local or area office loan approval official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days subject to the availability of funds, from the time the application is filed if no backlog of applications exist.

**Appeals:**

Applicants may request reconsideration at the local RD field office and may appeal adverse actions in accordance with 7 CFR Part 11. Appeals may be filed within 30 days after notification of the adverse decision is received by the loan/grant applicants.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

These funds are available only if the Supplemental Emergency Funding for Natural Disaster has been appropriated. See the following for information on how assistance is awarded/released: Contact the headquarters or regional office, as appropriate for additional information.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Borrowers are not required to, but should retain copies of loan/grant related

documents.

**Account Identification:**

12-2081-0-1-371; 12-4215-0-3-371; 12-1953-0-1-999.

**Obligations:**

(Direct Loans) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0. (Project Grants) FY 10 \$1,711,000; FY 11 est \$0; and FY 12 est \$0 - Grant funds are now exhausted. Disaster funds must be approved through a Congressional Appropriation.

**Range and Average of Financial Assistance:**

FY 10 Average grant amount \$5,665.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3550.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Myron L. Wooden, 1400 Independence Avenue, SW, Washington, District of Columbia 20250 Email: Myron.Wooden@wdc.usda.gov Phone: (202) 720-4780.

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.446 RURAL COMMUNITY DEVELOPMENT INITIATIVE**

Rural Community Development Initiative (RCDI)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

DEPARTMENT OF DEFENSE AND FULL-YEAR CONTINUING APPROPRIATIONS ACT, 2011. Public Law 112-10.

**OBJECTIVES:**

To develop the capacity and ability of private, nonprofit community-based housing and community development organizations, and low income rural communities to improve housing, community facilities, community and economic development projects in rural areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Rural Community Development Initiative grants may be used for but are not limited to (a) training sub-grantees to conduct a program on home-ownership education; (b) training sub-grantees to conduct a program for minority business entrepreneurs; (c) providing technical assistance to sub-grantees on how to effectively prepare a strategic plan; (d) provide technical assistance to sub-grantees on how to access alternative funding sources; (e) building organizational capacity through board training; (f) developing training tools, such as videos, workbooks, and reference guides to be used by the sub-grantee; (g) providing technical assistance and training on how to develop successful child care facilities; and (h) providing training on effective fundraising techniques.

**Applicant Eligibility:**

Rural Community Development Initiative grants may be made to a legally

qualified private or public (including tribal) organization that provides technical assistance to nonprofit community-based housing and community development organizations, and low income rural communities. The grantee must provide a program of technical assistance to the recipient entity. The grantee must have been legally organized for a minimum of three years prior experience working with nonprofit organizations or low-income rural communities in the areas of housing, community facilities, or community and economic development. Assistance is authorized for eligible applicants in rural areas of the States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the commonwealth of the Northern Mariana Islands, the Marshall Islands, the Republic of Palaw, and the Federated States of Micronesia.

**Beneficiary Eligibility:**

Recipient entities must be legally organized private, nonprofit community-based housing and community development organizations, low income rural communities, and Federally recognized Indian Tribes.

**Credentials/Documentation:**

Have the legal, financial, administrative, and operational capacity relative to the activity for which assistance is requested. Have necessary background and experience with proven ability to perform responsibly in the areas of housing, community facilities, or community and economic development. Have the ability to work within established guidelines. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application procedures will be announced in the Federal Register and on the Grants.gov web site.

**Award Procedure:**

Award is made by the Administrator, Housing and Community Facilities Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As required, 90 days to 120 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of the decision from the National Appeals Division, USDA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The grantee must provide matching funds at least equal to the amount of the grant in the form of cash or committed funding. (No in-kind contributions).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Proposals must be structured to utilize the Rural Community Development Initiative grant funds within 3 years from the execution of the Rural Community Development Initiative grant agreement. See the following for information on how assistance is awarded/released: Applications received in accordance with the Federal Register Notice of Funding Availability are evaluated and the highest scoring applicants are awarded grants subject to the availability of appropriated funds. Contact regional office or headquarters as appropriate for additional information.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Grantee submits report detailing expenditures and progress

as required by the grant agreement. The grantee will perform self-evaluations by preparing quarterly financial and project performance reports in accordance with the grant agreement for RCDI.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The borrower must maintain adequate records and accounts related to the technical assistance performed.

**Account Identification:**

12-2081-0-1-371; 12-4215-0-3-371.

**Obligations:**

(Project Grants) FY 10 \$6,511,766; FY 11 est \$6,412,200; and FY 12 est \$8,000,000

**Range and Average of Financial Assistance:**

\$50,000 to \$252,000. Average \$208,669.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations 7 CFR 3015, 7 CFR 3016, 7 CFR 3019, 7 CFR 3052; H.R. 5426 Guidelines announced in NOFA, published in the Federal Register.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development State Office numbers. If no listing, contact the appropriate Rural Development State Office found on the internet at <http://www.rurdev.usda.gov>.

**Headquarters Office:**

Deputy Administrator, Community Programs, Department of Agriculture, Rural Development, Stop 0788  
1400 Independence Avenue, S.W., Washington, District of Columbia  
20250-0788 Phone: (202) 720-1490.

**Website Address:**

<http://www.rurdev.usda.gov/rhs/rcdi/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications that are received are competitively scored and the highest scoring are awarded grants until appropriated funds are exhausted. Factors considered for project selection include but are not limited to median household income, rural population, and points for evaluation criteria published in the notice of funding availability (NOFA).

**10.447 THE RURAL DEVELOPMENT (RD) MULTI-FAMILY HOUSING REVITALIZATION DEMONSTRATION PROGRAM (MPR)**

(Restructuring Program)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Sections 514/516 and 515, and The Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2008 (Public Law 110-161).

**OBJECTIVES:**

To preserve and revitalize existing rural rental housing and farm labor housing projects financed by RHS under Section 515 and Sections 514/516 of the

Housing Act of 1949 and to ensure that sufficient resources are available in order to continue to provide safe and affordable housing for very low- and low-income residents.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds will be used to meet the physical needs of rental and farm labor housing properties financed under Section 515 and Sections 514/516 of the Housing Act of 1949. Related soft costs are also eligible. Owners or buyers are required to agree to a Restrictive Use Covenant for 20 years or the remaining term of any loans or the remaining term of any existing restrictive-use provisions whichever ends later. This ensures the property will be used for low-income housing as defined by the Housing Act of 1949.

**Applicant Eligibility:**

Owners or buyers of financially viable Section 515 financed rental or Section 514/516 labor housing properties.

**Beneficiary Eligibility:**

Low-income rural residents needing safe, decent, and sanitary rental housing are eligible.

**Credentials/Documentation:**

Applicants must provide a Capital Needs Assessment (CNA) to identify the physical needs of the property as well as the estimated cost to make the needed repairs over a 20-year period. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Multi-Family Housing Revitalization Demonstration Program (MPR)  
Pre-application is available electronically at <http://www.rurdev.usda.gov/rd/nofas/index.html> or through contacting the RD State Office in the state where the project is located. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For FY 2011 the MPR program will be awarded through a Notice of Funding Availability (NOFA) announced in the Federal Register July 7, 2011. The NOFA deadline is August 22, 2011.

**Award Procedure:**

Pre-applications will be scored on the following factors: (1) Contribution of funds from other sources; (2) Owner contribution sufficient to pay transaction costs; (3) Age of Project; (4) Transfer and revitalization of troubled projects; (5) Prior Agency approved CNAs; (6) Energy Conservation, Energy Generation, and Green Property Management; (7) New tenant services to be provided by a non-profit organization at no cost to the project and that are available to all tenants; (8) Consolidation of project Operations; (9) Proposed Sale to Non-profit/Public Housing Authority for properties sold to non-profit organizations under the prepayment process, as explained in 7 CFR Part 3560, subpart N.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within 45 days from Pre-application submission, pre-applications will be scored and ranked, eligibility will be confirmed, and applicants will be notified of selection for participation and requested to submit full applications.

**Appeals:**

Applicant may request reconsideration on the basis of pertinent facts concerning the application.

**Renewals:**

Non selected applicants may reapply under the next Notice of Funding Availability (NOFA).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Debt deferral is the lesser of the remaining term of the existing loan or 20 years. A balloon payment of accrued principal and interest will be due at the end of the deferral period. A revitalization grant for non-profit applicants/borrowers only is limited to the cost of correcting health and safety violations as identified by a CNA. A revitalization zero percent loan will be amortized over 30 years. A soft-second loan with a one percent interest rate will have its interest and principal deferred, to a balloon payment, due at the time the latest maturing Section 514 or 515 loan becomes due. An additional 30-year Section 515 loan at an effective one percent interest rate amortized over a period not to exceed 50 years. An additional 33-year Section 514 loan at an effective one percent interest rate amortized over a period not to exceed 33 years. An additional Section 516 grant not to exceed the lesser of 90 percent of the total development cost, or that portion of the total development cost which exceeds the sum of any amount provided by the applicant from their own resources plus the amount of any Section 514 loans approved for the applicant. See the following for information on how assistance is awarded/released: Typically, participants compete for funding via the NOFA; a selection process ensues based upon set criteria; applications are ranked and scored nationally. Selections are made based on the project type, ranking and scoring. States are given limits on how many applications are selected with a contingency for fall out.

**Reports:**

Tracking and monitoring reports are required for Rural Rental and Farm Labor Housing. Since this is a Demonstration Program, procedures for tracking and monitoring expenditures are under development. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Quarterly or annual financial statements completed using agreed-upon procedures and performance standards described in the RHS Multi-Family Housing Audit Program.

**Records:**

Business records must be retained.

**Account Identification:**

12-2081-0-1-371.

**Obligations:**

(Project Grants) FY 10 \$172,616,712; FY 11 est \$14,970,000; and FY 12 est \$16,000,000

**Range and Average of Financial Assistance:**

The underwriting guidelines include, but are not limited to, the following: The maximum soft-second loan will be limited to no more than \$5,000 per unit; revitalization grants limited to \$5,000 per unit; total assistance provided from a revitalization grant, revitalization zero percent loan, and/or a soft-second loan is limited to \$10,000 per unit; and the maximum Section 515 loan or Section 514/516 loan and grant is limited to no more than \$20,000 per unit.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 5,149 units. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Refer to the NOFA which lists contacts at the National Office and consult your local telephone directory for Rural Development District or State Office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app>.

**Headquarters Office:**

USDA, Rural Development, Preservation and Direct Loan Division, 1400 Independence Avenue, S.W., Mail Stop 0782, Washington, District of

Columbia 20250-0781 Phone: (202) 720-1604.

**Website Address:**

<http://www.rurdev.usda.gov>

**RELATED PROGRAMS:**

10.415 Rural Rental Housing Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be selected based on eligibility and ranking and scoring criteria listed in the NOFA.

**10.448 RURAL DEVELOPMENT MULTI-FAMILY HOUSING RURAL HOUSING VOUCHER DEMONSTRATION PROGRAM**

Rural Development Voucher Demonstration Program

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Department of Defense and Full Year Continuing Appropriations Act, 2011 (Public Law 112-10) for the Rural Development Voucher Program as authorized under Section 542 of the Housing Act of 1949, as amended, 42 U.S.C. 1471 et. seq. (without regard to Section 542(b)).

**OBJECTIVES:**

The Rural Housing Voucher Demonstration program is designed to provide rental housing assistance vouchers to tenants in properties that prepay their Rural Development mortgage. The amount of this subsidy is the difference between the comparable market rent and the amount of rent being paid by the tenant when prepayment occurs. Prepaying properties may be located anywhere in the 50 states, Puerto Rico, the U.S. Virgin Islands and Guam.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The monthly housing assistance payment for the Rural Development Voucher Program is the difference between the comparable market rent for the family's former Section 515 unit and the tenant's rent contribution on the date of the prepayment. The rental unit must pass a Rural Development health and safety inspection.

The owner must be willing to accept a Rural Development voucher.

Use at HUD Section 8 or other Federally-assisted public housing, is prohibited. The Rural Development voucher may not be used in combination with the Rural Development Rental Assistance program.

**Applicant Eligibility:**

Applicants must (a) be residing in the Section 515 project on the date of the prepayment of the Section 515 loan or upon foreclosure by Rural Development; (b) the date of the prepayment or foreclosure must be after September 30, 2005; (c) as required by 42 U.S.C. 1436a the tenant must be a citizen, U.S. non-citizen national or qualified alien and will so provide proof of citizenship.

**Beneficiary Eligibility:**

Applicants must be citizens, U.S. non-citizen nationals or qualified aliens and have an adjusted household income at or below 80 percent of area median income as determined annually by the U.S. Department of Housing and Urban Development (HUD) to be eligible for a rural housing voucher.

**Creditentials/Documentation:**

The applicant must furnish factual evidence that their adjusted household's income is at or below 80 percent of area median income as determined annually by HUD and furnish proof of citizenship to be eligible, or to continue to be eligible, for a rural housing voucher. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from



coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

During the prepayment or foreclosure process, Rural Development will evaluate every tenant family to determine if it is low-income. If Rural Development determines a family is low-income, after the foreclosure or prepayment, Rural Development will send the primary tenant a letter offering the family a voucher.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

The voucher is renewable, annually, subject to the availability of appropriations to the USDA.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

On an annual basis. See the following for information on how assistance is awarded/released: Assistance is awarded/released on a monthly basis.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

12-4141-4-0-000.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$7,600,000; FY 11 est \$12,000,000; and FY 12 est \$16,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Director, Portfolio Management Division, USDA, Rural Development, 1400 Independence Avenue, S.W., Stop 0782, Washington, District of Columbia 20250-0782 Email: stephanie.white@wdc.usda.gov Phone: (202) 720-1615.

**Website Address:**

<http://www.rurdev.usda.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.449 BOLL WEEVIL ERADICATION LOAN PROGRAM**

Boll Weevil Eradication Loan Program

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 104-180, 7 U.S.C. 1989.

**OBJECTIVES:**

To assist producers and State governmental agencies to eradicate boll weevils from the United States.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Funds may be used to purchase or lease supplies and equipment, to pay entity operating expenses and to pay salaries and benefits. Loan funds may not be used to pay for lobbying, public relations, or related activities.

**Applicant Eligibility:**

Applicants may be determined eligible if the organization: (a) Meets the Animal and Plant Health Inspection Service (APHIS) cost-sharing requirements; (b) possesses a legal nonprofit corporate authority; (c) possesses the legal authority to enter into a contract; (d) operates in an area approved by a majority of cotton producers via referendum; (e) is unable to obtain funds elsewhere; and (f) may pledge producer assets as loan collateral.

**Beneficiary Eligibility:**

The beneficiaries of this program include the local boll weevil organization and agricultural community as well as local, State, and national governments.

**Credentials/Documentation:**

All applicants must be nonprofit entities, authorized to operate under the appropriate State law and for the specific purpose of eradicating boll weevils from the nation's agricultural community. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Complete applications will be accepted by the National Office accompanied by documentation showing the entity's authority to borrow and the operation's ability to make the scheduled loan payment(s).

**Award Procedure:**

Loans will be written within specific credit guidelines as well as within the borrowing entity's documented ability to repay the loan.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Agency credit decisions will generally be issued within 60 days of the receipt of a complete loan package.

**Appeals:**

Not Applicable.

**Renewals:**

Boll weevil loans are term loans based upon certain procedural and program criteria. Although loans are not renewed, additional loan requests may be submitted by each entity for consideration.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans can be applied for at anytime during the year. The loan term varies

anywhere from 1 to 7 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audited financial statements and profit and loss statements will be annually submitted for review and analysis.

**Records:**

Detailed records will be maintained by each entity in the respective offices. These same records will be made available to the Agency for review upon demand.

**Account Identification:**

12-1140-0-1-351.

**Obligations:**

(Direct Loans) FY 10 \$0; FY 11 est \$100,000,000; and FY 12 est \$60,000,000 - FY 2011 Program Level funding at 100,000,000. No loans were made in FY2010.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Data Available. Fiscal Year 2011: No Data Available. Fiscal Year 2012: No Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bob Bonnet USDA FSA DAFLP LMD  
1400 Independence Avenue, SW  
, Washington, District of Columbia 20250-0522 Email:  
bob.bonnet@wdc.usda.gov Phone: (202) 720-3889 Fax: (202) 690-1117

**Website Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.025 Plant and Animal Disease, Pest Control, and Animal Care

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.450 CROP INSURANCE**

**FEDERAL AGENCY:**

Risk Management Agency, Department of Agriculture

**AUTHORIZATION:**

Federal Crop Insurance Act, as amended, 7 U.S.C. 1501-1520, Agricultural Adjustment Act of 1938, 7 U.S.C. 1501; Federal Crop Insurance Act of 1980, as amended, Public Law 101-624; Federal Crop Insurance Reform Act of 1994, Public Law 103-354; Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127; Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185.

**OBJECTIVES:**

The mission of the agency is to promote, support, and regulate sound risk management solutions to strengthen and preserve the economic stability of Americas agricultural producers.

**TYPES OF ASSISTANCE:**

INSURANCE

**USES AND USE RESTRICTIONS:**

The Federal Crop Insurance Corporation (FCIC) is a wholly owned government

corporation created February 16, 1938 (7 U.S.C. 1501.) The program was amended by Public Law (P.L.) 96-365, dated September 26, 1980, to provide for nationwide expansion of a comprehensive crop insurance plan. FCIC is administered by the Risk Management Agency (RMA), and promotes the national welfare by improving the economic stability of agriculture through a secure system of crop insurance. FCIC provides an actuarially sound risk management program that protects against agricultural production losses due to unavoidable causes such as drought, excessive moisture, hail, wind, hurricane, tornado, lightning, and insects. In addition to these causes, revenue insurance programs are available under which producers of certain crops are protected against loss of revenue stemming from low prices, poor yields, or a combination of both. Federal crop insurance is available to producers through private insurance companies that market and service policies and also share in the risk. Thus, the program delivery is a joint effort between the Federal government and the private insurance industry.

**Applicant Eligibility:**

Unless otherwise restricted by the insurance policy, owners or operators of farmland, who have an insurable interest in a crop in a county where insurance is offered on that crop, are eligible for insurance.

**Beneficiary Eligibility:**

This program is excluded from coverage under OMB Circular No. A-87.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for crop insurance offered by a company reinsured by FCIC must be filed with a crop insurance sales agent. Both catastrophic and additional coverage are available only from private companies. In general, crops and acreage must be reported to establish insurance coverage for crop insurance and, if not eligible for crop insurance. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The insurance contract becomes effective upon issuance of a Notice of Acceptance by the insurance company. Notices of Acceptance for insurance coverage are issued upon a determination that the applicant is eligible.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 20 days.

**Appeals:**

Appeals should be addressed within 30 days to the National Appeals Division, U.S. Department of Agriculture, Washington, DC 20250.

**Renewals:**

Continuous insurance contract.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Private Industry Crop Insurance Acreage Report; Actual Production History Yield Report; and in the event of a loss, Notice of Damage, Production Worksheet, and proof of loss. Cash reports are not applicable. Progress reports

are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients are subject to audit by the RMA internal compliance function, private insurance company auditors, Office of the Inspector General, USDA, and the General Accounting Office.

**Records:**

Insured must keep for 3 years, after the end of the crop year, records of harvesting, shipments, sale or other disposition of all insured crops produced on each unit covered by the contract and separate records for any uninsured acreage of the insured crops.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

(Insurance) FY 10 \$3,117,521,262; FY 11 est \$7,586,744,000; and FY 12 est \$9,964,105,000 - These amounts represent total indemnities. (Insurance) FY 10 \$4,211,255,000; FY 11 est \$4,600,900,000; and FY 12 est \$3,082,875,000 - These amounts represent premium subsidy to farmers through reinsured companies.

**Range and Average of Financial Assistance:**

Level of assistance varies according to policy, crop and indemnities paid.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: There were over 1.1 million policies written in crop year 2009 with over \$8.9 billion in premium, and indemnities projected at about \$5.9 billion. Crop insurance is available for more than 350 different commodities in over 3,141 counties covering all 50 states, and Puerto Rico. RMA continues to pursue initiatives to make higher levels of crop insurance protection more affordable and useful to producers, provide better protection to farmers experiencing multi-year losses, expand risk management education opportunities, stimulate development of new risk management products, and improve program integrity. Fiscal Year 2011: There were over 1.1 million policies written in crop year 2010 with over \$7.5 billion in premium and indemnities projected at about \$3.5 billion. Crop insurance is available for more than 350 different commodities in over 3,141 counties covering all 50 states, and Puerto Rico. RMA continues to pursue initiatives to make higher levels of crop insurance protection more affordable and useful to producers, provide better protection to farmers experiencing multi-year losses, expand risk management education opportunities, stimulate development of new risk management products, and improve program integrity. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 400 and a brochure "Introduction to Risk Management"- available at no charge.

**Regional or Local Office:**

See Regional Agency Offices. Interested producers should contact their Regional Office listed in Appendix IV of the Catalog, or a private industry crop insurance agent.

**Headquarters Office:**

Anne G. Newman Stop 0835, 1400 Independence Ave., Washington, District of Columbia 20250 Email: anne.newman@rma.usda.gov Phone: 2027201416

**Website Address:**

<http://www.rma.usda.gov>.

**RELATED PROGRAMS:**

10.404 Emergency Loans; 97.022 Flood Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Crop Insurance. Fiscal Year 2011: Crop Insurance. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.451 NONINSURED ASSISTANCE**

(NAP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996.

**OBJECTIVES:**

To provide crop loss assistance comparable to the catastrophic risk protection level of crop insurance to producers of commercial crops or other agricultural commodities for which the catastrophic risk protection level of crop insurance is not available.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Eligible crops include each commercial crop or other agricultural commodities (except livestock and their by-products; tobacco; and trees grown for wood, paper, or pulp products) that is produced for food or fiber and specifically includes: Floricultural, ornamental nursery, and Christmas tree crops, turfgrass sod, seed crops, aquaculture (including ornamental fish), and industrial crops. An eligible producer is an owner, landlord, tenant, or sharecropper: (1) Who shares in the risk of producing the crop; (2) who is entitled to share in the crop available for marketing or would have shared had the crop been produced; and (3) whose qualifying gross revenue is less than \$2 million for the preceding tax year for which an application for coverage is filed.

**Beneficiary Eligibility:**

Applicant Eligibility: Eligible crops include each commercial crop or other agricultural commodities (except livestock and their by-products; tobacco; and trees grown for wood, paper, or pulp products) that is produced for food or fiber and specifically includes: floricultural, ornamental nursery, and Christmas tree crops, turfgrass sod, seed crops, aquaculture (including ornamental fish), and industrial crops. An eligible producer is an owner, landlord, tenant, or sharecropper: (1) who shares in the risk of producing the crop; (2) who is entitled to share in the crop available for marketing or would have shared had the crop been produced; and (3) whose qualifying gross revenue is less than \$2 million for the preceding tax year for which an application for coverage is filed.

**Credentials/Documentation:**

Applicants must provide to the local administrative FSA office, annual certifications of acreage, yield, and production. Randomly selected producers and producers requesting program payments must also provide acceptable records of production. Applicants must provide evidence as necessary for a proper determination of their eligibility. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file an application for coverage in the local administrative FSA office. An applicable service fee must accompany the application. Coverage is effective the later of: (1) 30 days after the application for coverage is filed; (2) date the crop is planted for yield-based crops or the beginning of the crop year for all other eligible crops. Other documentation required to fulfill the application requirements include: (1) A report of acreage, facility, etc.; (2) a notice of loss when the eligible crop is prevented from being planted as a result of eligible natural disaster or the eligible planted crop or commodity suffers loss of yield due to eligible natural disaster; (3) if the crop is harvested, a certification of production, and in the crop year for which an application for payment is filed, acceptable evidence of production, (4) if the crop will not be harvested, a request to the local county FSA office for appraisal; and (5) a certification of gross revenue.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The county committee will normally make a decision regarding the application for payment within 60 calendar days after all required information and documentation is received.

**Appeals:**

Applicants may request reconsideration of a decision by the decision authority or appeal such decisions to a higher authority including the county and State FSA committees and the National Appeals Division.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is normally provided in a single payment following approval of the application for payment. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Applicants must retain financial books and records that permit verification of all transactions for at least 3 years following the end of the calendar year in which an application for coverage is filed.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$98,745,000; FY 11 est \$116,873,000; and FY 12 est \$115,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Procedural handbooks and published regulations are available in county FSA offices.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office.

**Headquarters Office:**

Candace Thompson, 1400 Independence Avenue, SW, Stop 0517, Washington, District of Columbia 20250-0517 Email: candy.thompson@wdc.usda.gov Phone: (202) 720-7641 Fax: (202) 690-2130.

**Website Address:**

<http://www.fsa.usda.gov>.

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.404 Emergency Loans; 10.450 Crop Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.455 COMMUNITY OUTREACH AND ASSISTANCE PARTNERSHIP PROGRAM**

(RMA Community Outreach and Assistance Partnership Program)

**FEDERAL AGENCY:**

Risk Management Agency, Department of Agriculture

**AUTHORIZATION:**

Federal Crop Insurance Act, as amended 7 U.S.C. 1522(d).

**OBJECTIVES:**

To ensure that women, limited resource, socially disadvantaged and other traditionally underserved producers of priority commodities are provided information and training necessary to use financial management, crop insurance, marketing contracts, and other existing and emerging risk management tools.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; TRAINING

**USES AND USE RESTRICTIONS:**

Recipients will use funds to develop and implement a community outreach program to women, limited resource, socially disadvantaged and other traditionally underserved producers of priority commodities. Community outreach must create awareness and use of risk management tools; and educate audience on how to use risk management tools to mitigate risks associated with farming. Applicants may propose additional use of funds that are creative and non traditional in reaching agricultural producers. RMA will be substantially involved in the project. Funds may not be used to plan, repair, rehabilitate, acquire or construct a building or facility including a processing facility; purchase, rent or install fixed equipment; repair or maintain privately owned vehicles; pay for preparation of the partnership agreement application; fund political activities; pay costs incurred prior to receiving a partnership agreement; or fund any activity prohibited in 7 CFR Parts 3015 and 3019, as applicable. Indirect costs are limited to ten percent of total direct costs of the funded project.

**Applicant Eligibility:**

Applicant Eligibility Includes educational institutions, community based organizations, associations of farmers, ranchers and other nonprofit organizations with demonstrated capabilities in developing and implementing risk management and other marketing options for priority commodities. Individuals are not eligible applicants. To be eligible, applicants must also be able to demonstrate that they will receive a non-financial benefit as a result of a partnership agreement. Non-financial benefits must accrue to the applicant and must include more than the ability to provide employment income to the applicant or for the applicant's employees or the community. The applicant must demonstrate that performance under the partnership agreement will further the specific mission of the applicant (such as providing research or activities necessary for graduate or other students to complete their educational program.

**Beneficiary Eligibility:**

Women, limited resource, traditionally under served and socially disadvantaged producers of priority commodities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All Applicants must submit applications in compliance with the criteria outlined in the Request for Applications (RFA) by the deadline specified in the Notice. Applicants are encouraged to submit completed and signed application packages using overnight mail or delivery service to ensure timely receipt by the USDA. Program application materials may be downloaded from the RMA website at: [www.rma.usda.gov](http://www.rma.usda.gov). Applicants may also request application materials from Marie Buchanan, Telephone: (202) 690-2686, Fax: (202) 690-2496, Email: [Marie.Buchanan@usda.gov](mailto:Marie.Buchanan@usda.gov).

**Award Procedure:**

Awards under this program will be made on a competitive basis for projects of up to one year. Each application will be reviewed and rated by a diverse panel based on the evaluation criteria contained in the RFA. Projects will be funded in final rank order until all available funds have been expended. Applicants must score at least 50 points or more to be considered for funding. The award instrument is a Partnership Agreement between the Risk Management Agency and the Applicant. No maximum or minimum funding levels have been established for individual projects or geographic locations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. All awards will be made and agreements completed no later than September 30. Applicants that are not funded will be notified within 90 days after the receipt of applications.

**Appeals:**

Informal appeals can be addressed within 30 days from the date of notification to William Buchanan, Director, Civil Rights and Community Outreach, 1400 Independence Ave., SW, Washington, DC.

**Renewals:**

The project period is one year; there are no renewals under this program. Applicants must reapply each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects will be funded for a period of up to one year from the project starting date for the activities described in the announcement. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. quarterly. quarterly. Regional Offices provide substantial involvement.

**Audits:**

Not Applicable.

**Records:**

The recipient will maintain at its place of business all records required by the partnership agreement and the respective OMB Circulars.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

(Salaries) FY 10 \$4,384,146; FY 11 est \$4,400,000; and FY 12 est \$4,500,000

**Range and Average of Financial Assistance:**

\$20,000 to \$100,000 per agreement as described in the Requests for Applications.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. RMA has ten Regional Offices serving potential applicants. A listing may be obtained from the RMA web site or RMA Headquarters.

**Headquarters Office:**

Lana K. Cusick 1400 and Independence Ave. SW  
USDA South Building, Room 6717-S  
Stop Code 0808, Washington, District of Columbia 20250-0808 Email:  
lana.cusick@rma.usda.gov Phone: 2027203325

**Website Address:**

<http://www.rma.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.456 PARTNERSHIP AGREEMENTS TO DEVELOP NON-INSURANCE RISK MANAGEMENT TOOLS FOR PRODUCERS (FARMERS)****FEDERAL AGENCY:**

Risk Management Agency, Department of Agriculture

**AUTHORIZATION:**

Section 522(d) of the Agricultural Risk Protection Act of 2000; 7 U.S.C. 1501 section 522(d), Public Law 106-224, 7 U.S.C 36 sec. 1522(d).

**OBJECTIVES:**

To develop risk management tools (risk management tools do not include insurance products, plans of insurances, policies, modifications thereof or any related material) for the U. S. agriculture producers with an emphasis on specialty crop(s) producers, livestock producers, rangeland producers and producers of underserved commodities currently covered by section 196 of the Agricultural Market Transition Act (7 U.S.C. 733).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The availability of research partnership monies (variable) is announced on a yearly basis. The partnership agreements are for the development of non-insurance risk management tools for use directly by agricultural producers. Each partnership agreement recipient must demonstrate non-financial benefits from the partnership agreement and the partner must agree to substantial involvement of RMA in the project. Indirect costs must be limited to ten percent of the total direct costs.

**Applicant Eligibility:**

Proposals are invited from all qualified public and private entities. Eligible applicants include all colleges and universities, Federal, State, local government agencies, Native American Tribal Organizations, nonprofit and for-profit private organizations or corporations, and other entities. Individuals are not eligible applicants.

**Beneficiary Eligibility:**

The research partnerships will result in the development of non-insurance risk management tools to be utilized by agricultural producers to assist them in mitigating the risks inherent in agricultural production.

**Credentials/Documentation:**

Although an applicant may be eligible to compete for an award based on its status as an eligible entity, other facts may exclude an applicant from receiving Federal assistance under this program (e.g., debarment and suspension; a determination of non-performance on a prior contract, cooperative agreement, grant or partnership; a determination of a violation of applicable ethical standards). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is subject (as applicable) to the provisions of OMB Circular Nos. A-21, A-87, A-102, A-110, A-122, A-133 and FAR, Part 31. Eligible applicants submit proposals according to published guidelines (generally in the Federal Register). Objectives will vary for the research proposals solicited and funded each year. Application procedures and guidelines may change each year. See the yearly Request for Applications

(RFA) for specific guidelines.

**Award Procedure:**

Project funds for successful applicants are awarded to recipients based upon a merit review (panel) of all applications that meet the objectives outlined in the RFA announcement. The evaluation of each application will be conducted by a panel of not less than three independent reviewers. The panel will be comprised of representatives from USDA, other federal agencies, and others representing public and private organizations, as needed. The panel will examine and score applications based on the evaluation criteria and weights contained in the RFA. After assigning points based upon the evaluation criteria and weights, recommended applications will be listed in rank order and presented, along with funding level recommendations, to the Manager of FCIC, who will make the final selection and funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 180 days as specified in the RFA.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal possible depending upon agency review and needs.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each approved project will be funded for a period of up to three years for the activities described in the RFA. Projects can also be in two parts with the first part including the research and feasibility studies and the second part including the development, implementation, delivery and maintenance of the non-insurance risk management tool. If the development of the tool is determined not to be feasible, the partnership may be terminated by RMA after completion of the first part, with funding reduced accordingly. See the following for information on how assistance is awarded/released: upon submission of invoices.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports. FS-269. via progress reports, site visits, and regular correspondence such as phone and e-mail.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documentation, statistical records and all other records pertinent to the partnership agreement must be retained for a period of at least 3 years after closing.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

(Salaries) FY 10 \$8,298,112; FY 11 est \$2,653,000; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information concerning the Risk Management Agency and associated publications can be obtained using the public website at:  
<http://www.rma.usda.gov>.

**Regional or Local Office:**

See Regional Agency Offices. USDA-Risk Management Agency, Beacon Facility, Mail Stop 0813, PO Box 419205, Telephone: (816) 926-6343. Fax: (816) 926-7343. E-mail: [www.RMARED.Applications@rma.usda.gov](mailto:www.RMARED.Applications@rma.usda.gov).

**Headquarters Office:**

Lana K. Cusick 1400 Independence Ave. SW  
USDA South Building, Room 6717-S  
Stop 0808, Washington, District of Columbia 20250-0808 Email:  
[lane.cusick@rma.usda.gov](mailto:lane.cusick@rma.usda.gov) Phone: 2027203325

**Website Address:**

<http://www.rma.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.458 CROP INSURANCE EDUCATION IN TARGETED STATES**

(Targeted States)

**FEDERAL AGENCY:**

Risk Management Agency, Department of Agriculture

**AUTHORIZATION:**

Federal Crop Insurance Act, as amended, 7 U.S.C. 1524(a).

**OBJECTIVES:**

The purpose of this cooperative agreement program is to deliver crop insurance education and information to U.S. agricultural producers in certain, designated States that have been historically underserved with respect to crop insurance. The States, collectively referred to as Targeted States, are Connecticut, Delaware, Maine, Maryland, Massachusetts, Nevada, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Utah, Vermont, West Virginia, and Wyoming.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Entities receiving funding will use funds to (a) plan a local program of crop insurance education for agricultural producers, (b) develop and assemble instructional materials, (c) promote awareness for crop insurance and educational opportunities, (d) deliver crop insurance educational activities to agricultural producers and agribusiness professionals, and (e) document project activities. Applicants may propose additional uses of funds that meet the objectives of the program. RMA will be substantially involved in the management and direction of the project. Indirect costs allowed for projects submitted under this program will be limited to ten percent of total direct costs of the cooperative agreement. Funds may not be used to (a) plan, repair, rehabilitate, acquire, or construct a building or facility including a processing facility; (b) purchase, rent, or install fixed equipment; (c) repair or maintain privately owned vehicles; (d) pay for the preparation of the partnership agreement application; (e) fund political activities; (f) purchase alcohol, food, beverage, or entertainment; (g) pay costs incurred prior to receiving a partnership agreement; or (g) fund any activity prohibited in 7 CFR Parts 3015 and 3019, as applicable.

**Applicant Eligibility:**

Eligible applicants include State departments of agriculture, universities, non-profit agricultural organizations, and other public or private organizations with the capacity to lead a local program of crop insurance education for farmers and ranchers in a Targeted State. Individuals are eligible applicants. Although an applicant may be eligible to compete for an award based on its status as an eligible entity, other factors may exclude an applicant from receiving federal assistance under this program (e.g. debarment and suspension;

a determination of non-performance on a prior contract, cooperative agreement, grant or partnership; a determination of a violation of applicable ethical standards).

**Beneficiary Eligibility:**

The ultimate beneficiaries of this education program are agricultural producers in the Targeted States. Applicants receiving awards will ensure that such producers receive effective crop insurance education and information either directly or through agribusiness professionals that can impart crop insurance information to producers.

**Credentials/Documentation:**

Applicants must demonstrate the capacity to deliver crop insurance education and information programs to producers in the written narratives and statements of work that accompany applications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible applicants must complete and submit a valid application to RMA Headquarters by the application deadline. Requirements for a complete application package and the application deadline are set forth in the Request for Applications. Eligible applicants will also be able to apply electronically using [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Each application will be evaluated using a two-part process. First, each application will be screened by RMA personnel to ensure that it meets the requirements listed in the Request for Applications announcement. Second, a review panel will consider the merits of all applications that meet the requirements in the announcement. The panel will examine and score applications based on the evaluation criteria contained in the Request for Applications. Other review panel information is provided in the Request for Applications announcement. Following its review, the panel will report to the Manager of the Federal Crop Insurance Corporation (FCIC) with a listing of the recommended applicants to receive cooperative agreements. The Manager of FCIC will make the final determination on applications that will be awarded funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally about 120 days from the deadline listed in the Request for Applications.

**Appeals:**

No provision is provided in this program for an appeal.

**Renewals:**

No provision is provided in this program for a renewal.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding will normally be available for projects that will begin in July through September and will continue for up to one year. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. quarterly reports. quarterly reports. quarterly reports. Regional Office substantial involvement.

**Audits:**

No audits are required for this program.

**Records:**

The recipient will maintain at its place of business all records required by the cooperative agreement and the respective OMB Circulars.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

(Salaries) FY 10 \$4,999,999; FY 11 est \$5,000,000; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

\$157,000 to \$754,000 per agreement as announced in the Request for Applications.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is announced as a Request for Applications in the Federal Register, [www.Grants.gov](http://www.Grants.gov) and the RMA web site, along with specific information on obtaining an application package. Written procedures are available.

**Regional or Local Office:**

See Regional Agency Offices. RMA has three Regional Offices serving potential applicants for the fifteen Targeted States. A listing may be obtained from the RMA web site or RMA Headquarters.

**Headquarters Office:**

Lana K. Cusick 1400 and Independence Ave. SW  
USDA South Building, Room 6717-S  
Stop Code 0808, Washington, District of Columbia 20250-0808 Email:  
[lane.cusick@rma.usda.gov](mailto:lane.cusick@rma.usda.gov) Phone: 2027203325

**Website Address:**

<http://www.rma.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.459 COMMODITY PARTNERSHIPS FOR SMALL AGRICULTURAL RISK MANAGEMENT EDUCATION SESSIONS**

(COMMODITY PARTNERSHIPS SMALL SESSIONS PROGRAM)

**FEDERAL AGENCY:**

Risk Management Agency, Department of Agriculture

**AUTHORIZATION:**

Federal Crop Insurance Act, as amended, 7 U.S.C. 1522 (d).

**OBJECTIVES:**

To deliver training and information during small sessions in the management of production, marketing, and financial risk to U.S. agricultural producers, with a priority to producers of crops not insurable with Federal crop insurance, specialty crops, and underserved commodities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Entities receiving funding will use funds to (a) plan a local program of risk management education for agricultural producers, (b) develop and assemble instructional materials, (c) promote awareness for risk management and educational opportunities, (d) deliver educational activities to agricultural producers and agribusiness professionals, and (e) document project activities. Applicants may propose additional uses of funds that meet the objectives of the program. RMA will be substantially involved in the management and direction of the project. Indirect costs allowed for projects submitted under this program will be limited to ten percent of total direct costs of the partnership agreement. Funds may not be used to (a) plan, repair, rehabilitate, acquire, or construct a building or facility including a processing facility; (b) purchase, rent, or install fixed equipment; (c) repair or maintain privately owned vehicles; (d) pay the for

preparation of the partnership agreement application; (e) fund political activities; (f) purchase alcohol, food, beverage, or entertainment; (g) pay costs incurred prior to receiving a partnership agreement; or (h) fund any activity prohibited in 7 CFR Parts 3015 and 3019, as applicable.

**Applicant Eligibility:**

Eligible applicants include State departments of agriculture, universities, non-profit agricultural organizations, and other public or private organizations with the capacity to lead a local program of risk management education for farmers and ranchers in an RMA Region. Individuals are not eligible applicants. Although an applicant may be eligible to compete for an award based on its status as an eligible entity, other factors may exclude an applicant from receiving Federal assistance under this program (e.g. debarment and suspension; a determination of non-performance on a prior contract, cooperative agreement, grant or partnership; a determination of a violation of applicable ethical standards).

**Beneficiary Eligibility:**

The ultimate beneficiaries of this education program are agricultural producers, with a priority for producers of crops not insurable by Federal crop insurance, specialty crops, and underserved commodities. Applicants receiving awards will ensure that such producers receive effective risk management education and information either directly or through agribusiness professionals that can impart risk management information to producers.

**Credentials/Documentation:**

Applicants must demonstrate the capacity to deliver risk management education and information programs to producers in the written narratives and statements of work that accompany applications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible applicants must complete and submit a valid application to RMA Headquarters by the application deadline. Requirements for a complete application package and the application deadline are set forth in the Request for Applications. Eligible applicants will also be able to apply electronically using [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Each application will be evaluated using a two-part process. First, each application will be screened by RMA personnel to ensure that it meets the requirements listed in the Request for Applications announcement. Second, a review panel will consider the merits of all applications that meet the requirements in the announcement. The panel will examine and score applications based on the evaluation criteria contained in the Request for Applications. Other review panel information is provided in the Request for Applications announcement. Following its review, the panel will report to the Manager of the Federal Crop Insurance Corporation (FCIC) with a listing of the recommended applicants to receive partnership agreements. The Manager of FCIC will make the final determination on applications that will be awarded funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Generally about 120 days from the deadline listed in the Request for Applications.

**Appeals:**

No provision is provided in this program for an appeal.

**Renewals:**

No provision is provided in this program for a renewal.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding will normally be available for projects that will begin in July through September and will continue for up to one year. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. quarterly. quarterly. Regional Offices will provide substantial involvement.

**Audits:**

Not Applicable.

**Records:**

The recipient will maintain at its place of business all records required by the partnership agreement and the respective OMB Circulars.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

(Salaries) FY 10 \$1,502,000; FY 11 est \$2,300,000; and FY 12 est \$2,400,000

**Range and Average of Financial Assistance:**

\$20,000 - \$100,000 per agreement as described in the Request for Applications.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. RMA has ten Regional Offices nationwide serving potential applicants. A listing may be obtained from the RMA website or RMA Headquarters.

**Headquarters Office:**

Lana K. Cusick 1400 and Independence Ave. SW  
USDA South Building, Room 6717-S  
Stop Code 0808, Washington, District of Columbia 20250-0808 Email:  
[lane.cusick@rma.usda.gov](mailto:lane.cusick@rma.usda.gov) Phone: 2027203325

**Website Address:**

<http://www.rma.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.465 FARMWORKER TRAINING GRANT PROGRAM**

Farmworker Training Grant Program

**FEDERAL AGENCY:**

Departmental Management, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation and Energy Act of 2008, Section 14204, Public Law 110-246, 7 U.S.C 2008q-1.

**OBJECTIVES:**

To improve the supply of skilled agricultural workers and bring greater stability to the workforce in this sector through provision of services specifically designed to assist farmworkers in securing, retaining, upgrading or returning from an agricultural job. The intended outcomes are that, as a result of the services to be provided, growers will have access to a more skilled pool of workers and farmworkers will have enhanced employment opportunities, such as additional hours of work, better paying positions on the farm, and expanded promotional opportunities.

**TYPES OF ASSISTANCE:**



## Project Grants

### **USES AND USE RESTRICTIONS:**

To provide services specifically designed to assist farmworkers in securing, retaining, upgrading or returning from an agricultural job. Such services include the following: agricultural labor skills development; the provision of agricultural labor market information; transportation; short-term housing while in transit to an agricultural worksite; workplace literacy and assistance with English as a second language; health and safety instruction, including ways of safeguarding the food supply of the United States; and other such services the Secretary deems appropriate. Grant funds shall not be used to deliver or replace any services or benefits which an agricultural employer, association, contractor, or any other entity is legally obliged to provide. 100% of the \_\_\_\_\_ allotted funding is discretionary to be awarded via open grant competition. CC- check on dollar amount.

### **Applicant Eligibility:**

Non-profit organizations or a consortium which includes a non-profit organization(s) and one or more of the following: agribusinesses, State and local governments, agricultural labor organizations, farmer or rancher cooperatives, and community-based organizations with the capacity to train farm workers. Additional information about eligible entities may be included in the RFP, including the criteria by which an entity's capacity to train farm workers will be evaluated, but at a minimum, the entity shall be required to demonstrate that it has: 1) an understanding of the issues facing hired farmworkers and conditions under which they work; 2) familiarity with the agricultural industry in the geographic area to be served, including agricultural labor needs and existing services for farmworkers; 3) the capacity to effectively administer a program of services and benefits authorized by the grants program; and 4) that it is responsible.

### **Beneficiary Eligibility:**

Farmworkers who are citizens of the United States or are otherwise legally present in the United States and who meet the definition of "United States workers" established by the U.S. Department of Labor in its regulations at 20 CFR 655.4. Additional eligibility requirements may be included in the Request for Proposals (RFP).

### **Credentials/Documentation:**

Grantees must have the financial, legal, administrative and operational capacity to carry out the objectives of the program. Non-profit organizations should provide a current certification of non-profit status in accordance with section 501(c)(3) of the Internal Revenue Code of 1986. Grantees shall be responsible for verifying the employment of farmworkers who are actively employed and are seeking to participate in program services or benefits. Unemployed farmworkers seeking to participate shall be required to certify to grantees on a form to be provided by the Agency that they are eligible for program services and benefits. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Dates governing the acceptance, review, and selection of projects will be published in the Federal Register Notice or other applicable publication announcing the request for proposals.

### **Award Procedure:**

Proposals will be reviewed and evaluated by OAO staff members with the assistance and advice of a review panel or peer reviewers. The criteria to be used in selecting reviewers will be identified in the RFP. Proposals will be ranked and recommended in order of merit and funded to the extent permitted by available funds, consistent with program goals and the selection criteria set forth in the RFP. Final approval for those proposals selected will be made by the Awarding Official.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Notice of action taken on proposals will generally be within 90 days of final date of submission dateline.

### **Appeals:**

From 1 to 15 days. As stipulated in OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations.

### **Renewals:**

Grantees who have achieved the goals of a grant and are seeking an additional grant must reapply as provided in a subsequent NOFA or RFP.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Proposed project periods will typically be for one to two years. Exact project period restrictions will be stipulated by the current request for proposals notification published in the Federal Register. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Quarterly financial and program performance/progress reports are due within 30 days after the reporting period. A final financial and program performance/progress report is required within 90 days of the expiration of each Grant Agreement, which shall include an evaluation of the activities under the Grant Agreement. Cash reports, if required by Grant Agreement and/or payment system terms and conditions, are to be completed using the SF-425 or SF-272. Quarterly financial and program performance/progress reports are due within 30 days after the reporting period. A final financial and program performance/progress report is required within 90 days of the expiration of each Grant Agreement, which shall include an evaluation of the activities under the Grant Agreement. Quarterly financial and program performance/progress reports are due within 30 days after the reporting period. A final financial and program performance/progress report is required within 90 days of the expiration of each Grant Agreement, which shall include an evaluation of the activities under the Grant Agreement. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of 7 CFR Part 3052, Audits of States, Local Governments, and Non-Profit Organizations, which implement OMB Circular No. a-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, non-federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

### **Records:**

Grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

### **Account Identification:**

12-9915-0-1-350.

### **Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$4,000,000; and FY 12 est \$4,000,000

### **Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All Applicants and Awardees

- 7 U.S.C. 2279

-7 CFR 3015 Uniform Federal Assistance Regulations

-7 CFR 3018 New Restrictions on Lobbying

Higher Education Institutions

- 7 CFR 3019 Uniform Administrative Requirements

- 2 CFR PART 220 Federal Cost Principals

Non-Profit Organizations

- 7 CFR 3019 Uniform Administrative Requirements

- 2 CFR PART 230 Federal Cost Principals

State and Local Governments (Tribal)

-7 CFR 3016 Uniform Administrative Requirements

State, Local, and Indian Tribal Governments

2 CFR PART 225 Federal Cost Principals

**Regional or Local Office:**

None.

**Headquarters Office:**

Christine Chavez USDA Office of Advocacy and Outreach

Whitten Building 533-A 1400 Independence Ave, SW, Washington, District of

Columbia 20250-9821 Email: christine.chavez@osec.usda.gov Phone:

202-205-4215

**Website Address:**

<http://www.outreach.usda.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Prior to technical examination, a preliminary review of proposals for responsiveness to the solicitation. Proposals that do not fall within the solicitation guidelines will be eliminated from competition. All other proposals will be reviewed by a review panel or subject to peer review. The criteria to be used in evaluating proposals will be set out in the RFP, but among the factors to be considered will be the applicants 1) understanding of the issues facing hired farmworkers and conditions under which they work; 2) familiarity with the agricultural industry in the geographic area to be served, including agricultural labor needs and existing services for farmworkers; and 3) capacity to effectively administer a program of services and benefits as provided for by the program.

**10.475 COOPERATIVE AGREEMENTS WITH STATES FOR INTRASTATE MEAT AND POULTRY INSPECTION**

(Meat and Poultry Inspection State Programs)

**FEDERAL AGENCY:**

Food Safety and Inspection Service, Department of Agriculture

**AUTHORIZATION:**

Agriculture Marketing Act of 1946, 7 U.S.C 1621-1627; Federal-State Cooperative Act (Talmadge-Aiken), Public Law 87-718, 7 U.S.C 450; Poultry Products Inspection Act, Public Law 90-492, 21 U.S.C 451-471; Federal Meat Inspection Act, Public Law 90-201, 21 U.S.C 601-624.

**OBJECTIVES:**

To supply Federal assistance to States desiring to operate a meat and poultry inspection program in order to assure the consumer an adequate supply of safe, wholesome, and properly labeled meat and poultry products.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To assist States that operate meat and poultry inspection programs which are equal to Federal meat and poultry inspection.

**Applicant Eligibility:**

An appropriate State or U.S. Territory agency administering State or Territorial meat or poultry inspection programs under laws equal to the Federal Meat and Poultry Products Inspection Acts.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Receipt of State inspection mandatory laws, copies of regulations related to the laws, and State performance plans. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Notify the State Outreach and Technical Assistance Staff, Office of Outreach, Employee Education and Training, Food Safety and Inspection Service, U.S. Department of Agriculture, Patriot Plaza III Building, SW, Mailstop 3726/Room 9-253A, 355 E Street, Washington, DC 20024. Contact: Denise Amann. Telephone: (202) 418-8830. The applicant should express their interest and request copies of the cooperative agreements currently in use by participating States.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded on an annual basis to States. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Applicants will keep a complete accounting of the cost of developing and operating the State inspection program and will submit quarterly statements to the Food Safety and Inspection Service. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. State will arrange for an audit of the records pertaining to these agreements by the State Auditor of Public Accounts, annually or otherwise, as provided by applicable State law or regulations. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Other Non-Profit Organizations," State and local governments, that expend financial assistance of \$500,000 or more in a year in Federal awards, will have a single or a program-specific audit made for that year.

**Records:**

Complete accounting records shall be available to the Comptroller General of the United States and to the authorized representatives of the Secretary of Agriculture.

**Account Identification:**

12-3700-0-1-554.

**Obligations:**

(Salaries) FY 10 \$49,218,403; FY 11 est \$50,332,000; and FY 12 est \$50,825,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FSIS Directive 5720.2, Revision 3, State Cooperative Inspection Programs.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a list of addresses of the District Offices.

**Headquarters Office:**

Denise Amann State Outreach and Technical Assistance Staff, Office of Outreach, Employee Education and Training, Food Safety and Inspection Service, Department of Agriculture, Patriot Plaza III Building, Mailstop 3726/Room 9-253A, 355 E Street, Washington, District of Columbia 20024  
Phone: (202) 418-8830

**Website Address:**

<http://www.fsis.usda.gov>.

**RELATED PROGRAMS:**

10.477 Meat, Poultry, and Egg Products Inspection

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.477 MEAT, POULTRY, AND EGG PRODUCTS INSPECTION**

**FEDERAL AGENCY:**

Food Safety and Inspection Service, Department of Agriculture

**AUTHORIZATION:**

Humane Slaughter Act, Public Law 85-765, 7 U.S.C 1901-1906; Federal Meat Inspection Act, Public Law 90-201, 21 U.S.C 601-624; Egg Products Inspection Act, Public Law 91-597, 21 U.S.C 1031-1056; Agriculture Marketing Act of 1946, 7 U.S.C 1621-1627; Poultry Products Inspection Act, Public Law 90-492, 21 U.S.C 451-471.

**OBJECTIVES:**

To assure that all meat, poultry and egg products produced in plants and shipped in commerce are federally inspected for safety, wholesomeness, and proper labeling.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Meat, poultry, and egg products plants located within the United States or its Territories engaged in slaughtering or processing meat, poultry, and egg products for shipment in commerce are required to have inspection. All plants located within the U.S. or its territories processing egg products are required to be under continuous USDA inspection. The Department of Agriculture is reimbursed for overtime and holiday inspection services. Inspection not required under law is provided on request for a fee.

**Applicant Eligibility:**

Any meat or poultry plant planning to engage in slaughtering or processing meat and poultry products, and all egg products processing plants for shipment in commerce. This program is available in the U.S. and its Territories.

**Beneficiary Eligibility:**

General public (meat, poultry, and egg products.).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A request for inspection should be submitted to the Meat, Poultry and Egg Products Inspection District Office, or to the Administrator.

**Award Procedure:**

Certification is made that the applicant meets the regulations on sanitation, and operating standards for the inspection of meat, poultry and egg products plant facilities and equipment.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: All meat, poultry and egg products produced in plants and shipped in commerce is federally inspected for safety, wholesomeness, and proper labeling.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

12-3700-0-1-554.

**Obligations:**

(Salaries) FY 10 \$960,918,497; FY 11 est \$951,930,000; and FY 12 est \$956,327,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, the program inspected operations at about 6,200 establishments which produced about 109.6 billion pounds of meat, poultry and egg products. Fiscal Year 2011: The scope of program operations in fiscal year 2011 will be similar to fiscal year 2010. Fiscal Year 2012: The scope of program operations in fiscal year 2012 will be similar to fiscal year 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

MPI-7, Meat and Poultry Inspection Manual; Sanitation Handbook; 9 CFR 301-592, Inspection Regulations.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a list of addresses of the District Offices.

**Headquarters Office:**

Kenneth Petersen, Field Operations, Food Safety and Inspection Service,  
Department of Agriculture, Washington, District of Columbia 20250-3700  
Phone: (202) 720-8803.

**Website Address:**

<http://www.fsis.usda.gov>.

**RELATED PROGRAMS:**

10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.479 FOOD SAFETY COOPERATIVE AGREEMENTS****FEDERAL AGENCY:**

Food Safety and Inspection Service, Department of Agriculture

**AUTHORIZATION:**

PL 108-7, Sec. 713, 117 Stat. 39.

**OBJECTIVES:**

To reduce the incidence of foodborne illnesses associated with meat, poultry, and egg products and to protect the food supply. FSIS is authorized to use cooperative agreements to reflect a relationship between FSIS and cooperators to carry out educational programs or special studies to improve the safety of the nation's food supply. Also, FSIS has been directed to further develop the Food Emergency Response Network, a network of Federal, state and local laboratories that provides the nation the analytic capabilities and capacity it needs to cope with agents threatening the food supply.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Available discretionary funds are contingent on annual appropriations. Work products, where appropriate, are to be made available for use by other government agencies and accessible by the general public.

**Applicant Eligibility:**

State, local and tribal government agencies; academic institutions and non-profit organizations.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Academic institutions; State, local and tribal government agencies; and non-profit organizations are invited to submit brief proposals (two to four pages) for cooperative agreements in any of the areas described in the request for proposals along with an SF-424. These proposals will be reviewed by FSIS. The criteria used by FSIS to assess proposals are listed for each cooperative agreement program area in the request for proposals. Cooperators whose proposals are selected for further project development will need to discuss and reach agreement with FSIS on project details to permit establishment of a cooperative agreement. Unlike typical Federal grants, cooperative agreements involve a Federal agency's active participation with the cooperator during both project development and project execution. Work products, where appropriate, are to be made available for use by other government agencies and accessible by the general public. All proposals should address the following points: \* Project description, including

specific goals, timeline, and deliverables; \* Description of national public benefit expected, including expected utility of work products, for example, training manuals, CDs, and videos; \* Projected costs, including cooperator contributions; \* Projected performance measures; \* Primary contact, principal investigator, and other likely participants, and; \* All work products may be freely reproduced and distributed by FSIS.

**Award Procedure:**

Cooperative agreement awards are made upon selection through a competitive process directed by the relevant FSIS program area. The program area identifies the awardees to the FSIS Administrative Services Division, which prepares and executes required documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally from 30 to 90 days from the deadline listed in the request for proposals.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals or extensions may be available under extraordinary circumstances if approved prior to the closing date of the initial agreements.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, funding will be available for projects up to one year. Multi-year projects will be considered, but they are subject to annual renewal and may be affected by changes in FSIS' annual budget. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. The cooperative agreement will specify the submission of performance progress reports, A comprehensive final report is required which documents all activities conducted within the partnership. Expenditure reports are not applicable. The cooperative agreement will specify the frequency of submission of performance progress reports, which will not be more frequently than quarterly or less frequently than annually. A comprehensive final report is required which documents all activities conducted within the partnership.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients are subject to audit by the Office of the Inspector General, USDA, as set forth in OMB Circular No. A-133, or in Federal Acquisition Regulations.

**Records:**

The recipient will maintain at its place of business all records required by the partnership agreement and the applicable OMB Circulars.

**Account Identification:**

12-3700-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 10 \$9,475,334; FY 11 est \$4,241,000; and FY 12 est \$4,241,000

**Range and Average of Financial Assistance:**

FY2010: \$25,000 to \$750,000; \$236,883  
FY 2011: \$20,000 to \$510,000; 163,103  
FY 2012: \$20,000 to \$510,000; 163,103.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

9 CFR 301-592, Inspection Regulations. Guidelines and literature can be found on FSIS website at [www.fsis.usda.gov](http://www.fsis.usda.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Steven Benson, U.S. Department of Agriculture, Food Safety and Inspection Service, FERN, National Program Office  
950 College Station Road, Athens, Georgia 30605 Phone: (706) 546-3564.

**Website Address:**

[www.fsis.usda.gov/About\\_FSIS/Cooperative\\_Agreements/](http://www.fsis.usda.gov/About_FSIS/Cooperative_Agreements/).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available  
Fiscal Year 2011: Example of funded projects are listed on FSIS web site  
[@www.fsis.usda.gov/About\\_FSIS/Cooperative\\_Agreements/](http://www.fsis.usda.gov/About_FSIS/Cooperative_Agreements/).  
Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used by the application review panel for recommending awards are listed in the request for proposals.

**10.500 COOPERATIVE EXTENSION SERVICE**

Cooperative Extension Service (CES)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:****SPECIAL NOTES:**

- (1) Numerous Programs are funded under CFDA 10.500.
- (2) Listed below are several programs, which are indicative of the types of projects currently funded under CFDA 10.500. However, the listing is not exhaustive.

**1. SMITH-LEVER 3(b) & (c):**

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Sections 3(b) and 3(c) of the Smith-Lever Act provide funding for agricultural extension programs at 1862 Land-grant universities.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Sections 3(b)(1) and 8 of the Smith-Lever Act provide the basis of funding special needs agricultural extension programs at 1862 Land-grant institutions.  
(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects) Section 7129 of the Food, Conservation, and Energy Act of 2008 (FCEA), re-authorizes Section 3(b) & (c) of the Smith-Lever Act, allowing the Secretary of Agriculture, acting through the Director of the National Institute of Food and Agriculture (NIFA), to conduct competitive grant programs to State Extension Services at 1862 Land-Grant Institutions to support innovative, education-based approaches to addressing emergency preparedness and specific responses related to natural and man-made disasters.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Funds available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Federal funds are available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

Sections 208 of the District of Columbia Public Postsecondary Education

Reorganization Act provides, in pertinent part, that In the administration of the Act of August 30, 1890 (7 U.S.C. 321-326, 328) (known as the Second Morrill Act), the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301-305, 307, 308) (known as the First Morrill Act); and the term "State", is used in the laws and provisions of law listed in the preceding paragraphs of this section shall include the District of Columbia. In the administration of the Act of May 8, 1914 (7 U.S.C. 341-346, 347a-349) (known as the Smith-Lever Act) the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301- 305, 307,308); and the term "State" as used in such Act of May 8, 1949, shall include the District of Columbia, except that the District of Columbia shall not be eligible to receive any sums appropriated under section 3 of such Act. In lieu of an authorization of appropriations for the District of Columbia under section 3 of such Act of May 8, 1914, there is authorized to be appropriated such sums as may be necessary to provide cooperative agricultural extension work in the District of Columbia under such Act. Any reference in such Act (other than section 3 thereof) to funds appropriated under such Act shall in the case of the District of Columbia be considered a reference to funds appropriated under this subsection.

Therefore, this grant funds the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending the University of the District of Columbia, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

Section 7417 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-234) amended section 208 of the District of Columbia Public Postsecondary Education Reorganization Act to eliminate any matching requirement for the extension formula funds provided to the University of the District of Columbia, effective October 1, 2008.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

Section 1444 of the National Agricultural Research, Extension, and Teaching Policy Act Of 1977 (NARETPA), enacted as Title XIV of Public Law 95113 (The Food and Agriculture Act of 1977) on Sept. 29, 1977, is also known as the Section 1444 Program. This law provides the basis for Federal funding for agricultural extension activities at 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University.

**3. SMITH-LEVER 3(d):**

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

Section 3(d) of the Smith-Lever Act provides that the Secretary of Agriculture may fund extension work in the several States, Territories, and possessions. Section 1425 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (as amended) (7 U.S.C. 3175) provides the statutory formula for the Expanded Food and Nutrition Education Program (EFNEP). This program supports Federal funding for extension activities associated with disseminating the results of food and nutrition research performed or funded by the U.S. Department of Agriculture to enable low-income individuals and families to engage in nutritionally sound food purchase and preparation practices. Funding extends to EFNEP at State land-grant colleges established under the Morrill Act of July 2, 1862, as amended, and the Morrill Act of August 30, 1890, as amended, including Tuskegee University and West Virginia State University. Section 7116 of the Food, Conservation, and Energy Act of 2008 (FCEA) amended Section 1425 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3175) to accomplish various goals as indicated in Part I.A. of the Formula Grant Opportunity (FGO).

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life Represents a new program; pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination

Pertinent details will be provided at a future date.

#### 4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act (FORMULA)

The Renewable Resources Extension Act of 1978 (P.L. 95-306, 92 Stat. 349, 16 U.S.C. 1671 et seq.) provides for an expanded and comprehensive extension program for forest and rangeland renewable resources. The majority of the appropriated funds are distributed to eligible institutions based on a formula that considers the geographic extent, ecosystem productivity, economic contribution, and population for each state.

Since FY 2002, a small amount of these funds have been used to fund National Focus Fund Projects which have served to expand comprehensive extension programs for forest and rangeland renewable resources on a national, regional, or multi-institutional scale through better program coordination, innovative technologies, and extension models that can be easily duplicated.

(b) Rural Health and Safety

The authority for this program is under Section 502 (i) of Title V of the Rural Development Act of 1972, as amended (7 U.S.C. 2662). The Omnibus Appropriations Act, 2009 (Pub. L. 111-8) appropriates funds under Division A, Title I. The Rural Health and Safety Education Competitive Program addresses the Individual and Family Health Education component of the authorization.

(c) Extension Services at the 1994 Institutions

This program is authorized under Section 534(b) of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 201 note), as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7601). This section amends Section 3 of the Act of May 8, 1914 (Smith-Lever Act) (7 U.S.C. 341 et seq.), as amended. Under this authority, appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 institutions) for Extension work and funds are to be distributed on the basis of a competitive application process.

(d) Grants to Youth Serving Institutions

Title IV of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7630) authorized the Secretary of Agriculture to make grants to the Girl Scouts of the United States of America (GSUSA), the Boy Scouts of America (BSA), the National 4-H Council (4-H Council), and the National FFA Organization (FFA). Section 7309 of the Food, Conservation, and Energy Act (FCEA) of 2008 reauthorized 7 U.S.C. 7630, which was also amended to provide additional flexibility in content delivery to each organization receiving funds and to allow recipients to redistribute all or part of the funds to individual

councils or local chapters without further need of approval from the Secretary. In FY 2009, Terms and Conditions of these awards should facilitate the redistribution without further need of approval. The Omnibus Appropriations Act, 2009 (Pub. L. 111-8) appropriates funds under Division A, Title I for grants to youth organizations pursuant to 7 U.S.C. 7630.

(e) Food Animal Residue Avoidance Database Program (FARAD)

Title VI Section 604 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7642) states that -The Secretary of Agriculture shall continue operation of the Food Animal Residue Avoidance Database program (referred to in this section as the FARAD program) through contracts, grants, or cooperative agreements with appropriate colleges or universities.

(f) Federal Administration

DIRECT APPROPRIATION

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447) (FORMULA)

Pursuant to the authority contained in Section 1447 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) [7 U.S.C. 3222b], and reauthorized by Section 7123 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246) grants will be awarded under the Facilities Grants Program to the 1890 land-grant institutions, including Tuskegee University and West Virginia State University. The Omnibus Appropriations Act, 2009 appropriates funds under Division A, Title I, 7 U.S.C 341-349.

#### OBJECTIVES:

GENERAL: [As reflected in Part I,B. of the Request for Applications (RFA) or Formula Grant Opportunity (FGO)]

1. 3b & c Formula Funds

a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

These funds are used by institutions eligible to receive funds under the Act of Congress approved July second, eighteen hundred and sixty-two, entitled An Act donating public lands to the several States and Territories which may provide colleges for the benefit of agriculture and the mechanic arts (Twelfth Statutes at Large, page five hundred and three) (1862 Land-grant Institutions), for the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending or resident in 1862 Land-grant Institutions in the several communities, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

The purpose of this funding is to conduct agricultural extension work.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

The purpose of this funding is to increase the level of agricultural extension work. These funds are used to support extension activities identified in the eligible institutions approved 5-Year Plan of Work. Special Needs funds are allocated to a State Cooperative Extension Service to fulfill a purpose or overcome a condition peculiar to the State, as compared to the country as a whole, or for a purpose not normally a part of the continuing extension program.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)

Funds support innovative extension education approaches to addressing risks, hazards and disasters. The Cooperative Extension Service (CES) has an important role in reducing the impact of disasters through extension education. The Extension Special Needs program sponsors targeted projects that enable CES to assist in preparing for, providing an educational response to, and recovering from disasters. Education programming funded by this program will help communities, families and individuals become more self-sustaining by strengthening and increasing their resiliency to disaster. Some types of hazards and disaster related events funded in previous years include uncertainties

caused by losses of economic infrastructure, severe weather or other natural disasters, security breaches, human disease, or high consequence animal diseases and plant pests.

There has been an increase in public awareness regarding the number and severity of disaster type critical incidents involving earthquakes, tsunamis, tornadoes, wildfire, drought, contagious disease, and terrorist events. The National Academy of Sciences Committee on Environment and Natural Resources and the Subcommittee on Disaster Reduction of the National Science and Technology Council have acknowledged the many effective roles that the Cooperative Extension System (CES) has played in disaster preparedness, response and remediation.

Within the states and territories, the CES has repeatedly served as the trusted community organization that has helped to enable families, communities, and businesses to successfully prepare for, respond to and cope with disaster losses and critical incidents. Once a disaster has occurred, the local extension outreach includes: 1) Communicating practical science-based risk information, 2) Developing relevant educational experiences and programs, 3) Working with individuals and communities to open new communication channels, and 4) Mitigating losses and facilitating recovery. Never was this more evident than after hurricanes Katrina, Rita and Wilma in 2005 and during the 2008 Midwestern Summer flooding. During and after these incidents, local Extension agents served as a critical communication node throughout affected urban and rural areas, particularly when traditional communication systems were temporarily overwhelmed or destroyed.

The Extension Special Needs RFA encourages proposals that specifically address one or more of the following six key target areas:

1. Education and Technical assistance through inter-disciplinary and multi-state disaster training programs and demonstration projects for problem solving, especially those which build upon already existing strengths, contribute to or expand the EDEN and/or eXtension educational materials related to disaster preparation, mitigation, response and recovery;
2. Collaboration with Federal, state and local agencies and other disaster relief organizations to support education and service activities that enhance recovery of impacted rural communities, schools, businesses and agricultural-based activities;
3. Long range family, community and regional planning projects that will enhance implementation of programs that serve public needs in preparation for, during and after emergency situations within impacted States and across impacted regions;
4. Communication delivery of key information that meets end-users needs in a timely fashion with consideration of potentially limited communication channels due to disaster situations;
5. Dissemination of credible, science-based information that is reliable and easily accessible even if electronic access is compromised; and
6. Integrated Research and Extension Planning Projects (up to \$15,000) are intended to provide assistance to applicants in bringing together teams for the development of highly competitive grant proposals where extension personnel would apply for large grants (in excess of \$250,000) from other grant programs (e.g., the Agriculture and Food Research Initiative and etc) and lead nationally important disaster prevention, protection and mitigation projects.

Fundable projects should support education and extension activities which:

1. Reduce risk through planning, disaster preparedness and emergency response by improving communication between the public, community leaders, state and Federal agencies;
2. Develop strategies and educational materials and/or programming in the area of emergency planning, infrastructure design and disaster recovery operation;
3. Develop community networks that provide real-time disaster education information; and/or

4. Develop or expand educational materials regarding disaster issues suitable for use and distribution by the Extension Disaster Education Network (EDEN) or the eXtension Community of Practice working with disaster planning.

- (d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)  
Formula grants authorized under the CSRS Retirement Contributions Program. These grants are used to defray the CSRS Retirement costs to the 1862 land-grant institutions for the former Schedule A Appointments who conduct agricultural extension work.
- (e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)  
These grants are used to defray the FERS Retirement costs to the 1862 land-grant institutions for the former Schedule A Appointments who conduct agricultural extension work.
- (f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC  
These funds are used by the University of the District of Columbia for the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending the University of the District of Columbia, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)  
The purpose of this funding is to support agricultural and forestry extension activities at 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University.

3. SMITH-LEVER 3(d):

- (a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)  
These grants are used to assist all States in carrying out a program of extension activities designed to employ and train professional and paraprofessional aides to engage in direct nutrition education of low-income families and in other appropriate nutrition education programs.
- (b) Youth at Risk  
Pertinent details will be provided at a future date.
- (c) Improve Rural Quality of Life  
Pertinent details will be provided at a future date.
- (d) Farm Safety  
Pertinent details will be provided at a future date.
- (e) New Technologies at Ag Extension  
Pertinent details will be provided at a future date.
- (f) Pest Management  
Pertinent details will be provided at a future date.
- (g) Sustainable Agriculture (SARE-PD)  
Pertinent details will be provided at a future date.
- (h) Federally Recognized Tribes  
Pertinent details will be provided at a future date.
- (i) Youth Farm Safety Education & Certification  
Pertinent details will be provided at a future date.
- (j) EIPM Support  
Pertinent details will be provided at a future date.
- (k) EIPM Coordination  
Pertinent details will be provided at a future date.

#### 4. OTHER EXTENSION ACTIVITIES:

##### (a) Renewable Resources Extension Act

The purpose of the grant program is to provide funds for projects that:

- (1) Have national or regional relevancy;
- (2) Develop new and innovative projects that can be replicated at other institutions; or
- (3) Develop a strategic framework for the nationwide forest and rangeland resources extension program.

NFF priorities are those that have been identified in the FY 2005-2009 RREA Strategic Plan:

[http://www.nifa.usda.gov/nea/nre/in\\_focus/forests\\_if\\_rrea.html](http://www.nifa.usda.gov/nea/nre/in_focus/forests_if_rrea.html).

##### (b) Rural Health and Safety

As specified in 7 U.S.C. 2662, grants will be made to establish the Rural Health and Safety Education Competitive Programs carried out by the eligible organizations in rural areas. The assistance provided by these programs, to the extent practicable, shall be coordinated with and delivered in cooperation with similar services or assistance by other Federal Agencies or programs for rural residents.

##### (c) Extension Services at the 1994 Institutions

This program provides funding to (1) increase Extension program capacity at 1994 institutions; and (2) address special needs, take advantage of important opportunities, and/or demonstrate long-term sustained benefits of Extension projects at 1994 institutions. In FY 2009, funded projects will support one or more of the six NIFA Strategic Goals (see Part VIII, E., Definitions) outlined in the NIFA Strategic Plan for FY 2007-2012:

- 1) Enhance international competitiveness of American agriculture;
- 2) Enhance the competitiveness and sustainability of rural and farm economies;
- 3) Support increased economic opportunities and improved quality of life in rural America;
- 4) Enhance protection and safety of the Nation's agriculture and food supply;
- 5) Improve the Nation's nutrition and health; and
- 6) Protect and enhance the Nation's natural resource base and environment.

##### (d) Grants to Youth Serving Institutions

As specified in 7 U.S.C. 7630, grants will be made to establish pilot projects to expand the youth development programs carried out by the eligible organizations in rural areas or small towns.

Broad Purposes:

- Support and enhance the goals, objectives, and priorities of the eligible youth organizations;
- Support programs which address issues and needs of rural youth;
- Involve youth in design and implementation of their educational activities;
- Increase knowledge, skills, attitudes and behaviors necessary for rural youth to live productive, contributing, and fulfilling lives; and
- Increase economic opportunities and sustainability and improve quality of life in rural communities through enhanced human, social, civic, natural, financial, cultural, and built capital.

##### (e) Food Animal Residue Avoidance Database Program (FARAD)

The purpose of the FARAD is to provide livestock producers, extension specialists, scientists, and veterinarians with up to date information to prevent drug, pesticide and environmental contaminant residues in food animal products.

##### (f) Federal Administration

Pertinent details will be provided at a future date.

##### (g) 1890 Facilities (Section 1447)

The 1890 Facilities Grants Program provides funds for the acquisition and improvement of agricultural and food sciences facilities and equipment, including libraries, so that the 1890 land-grant institutions, Tuskegee University and West Virginia State University, may participate fully in the production of human capital in the food and agricultural sciences.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Section :070 Uses ONLY:

(See RFA or FGO Executive Summary and Part I.A. Background)

Other:

Grant funds must be used for allowable costs necessary to conduct approved integrated research, extension and education objectives to address food and agricultural sciences, in the broadest sense.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Funds may not be used for any purposes other than those approved in the grant award documents.

Tuition remission is not allowable.

Indirect costs are not allowable.

Other Detailed Info USES ONLY

1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Sections 3(b) and 3(c) of the Smith-Lever Act provide funding for agricultural extension programs at 1862 Land-grant universities.

These funds are used by institutions eligible to receive funds under the Act of Congress approved July second, eighteen hundred and sixty-two, entitled An Act donating public lands to the several States and Territories which may provide colleges for the benefit of agriculture and the mechanic arts (Twelfth Statutes at Large, page five hundred and three) (1862 Land-grant Institutions), for the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending or resident in 1862 Land-grant Institutions in the several communities, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

These funds are used to support extension activities identified in the eligible institutions approved 5-Year Plan of Work. Special Needs funds are allocated to a State Cooperative Extension Service to fulfill a purpose or overcome a condition peculiar to the State, as compared to the country as a whole, or for a purpose not normally a part of the continuing extension program.

Funds are allocated under this program to a State Cooperative Extension Service to fulfill a purpose or overcome a condition peculiar to the State, as compared to the country as a whole, or for a purpose not normally a part of the continuing extension program.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)

There has been an increase in public awareness regarding the number and severity of disaster type critical incidents involving earthquakes, tsunamis, tornadoes, wildfire, drought, contagious disease, and terrorist events. The National Academy of Sciences Committee on Environment and Natural Resources and the Subcommittee on Disaster Reduction of the National Science and Technology Council have acknowledged the many effective roles that the Cooperative Extension System (CES) has played in disaster preparedness, response and remediation.

Within the states and territories, the CES has repeatedly served as the trusted community organization that has helped to enable families, communities, and businesses to successfully prepare for, respond to and cope with disaster losses and critical incidents. Once a disaster has occurred, the local extension outreach includes: 1) Communicating practical science-based risk information, 2) Developing relevant educational experiences and programs, 3) Working with individuals and communities to open new communication channels, and 4) Mitigating losses and facilitating recovery. Never was this more evident than after hurricanes Katrina, Rita and Wilma in 2005 and during the 2008



Midwestern Summer flooding. During and after these incidents, local Extension agents served as a critical communication node throughout affected urban and rural areas, particularly when traditional communication systems were temporarily overwhelmed or destroyed.

The Extension Special Needs RFA encourages proposals that specifically address one or more of the following six key target areas:

1. Education and Technical assistance through inter-disciplinary and multi-state disaster training programs and demonstration projects for problem solving, especially those which build upon already existing strengths, contribute to or expand the EDEN and/or eXtension educational materials related to disaster preparation, mitigation, response and recovery;
2. Collaboration with Federal, state and local agencies and other disaster relief organizations to support education and service activities that enhance recovery of impacted rural communities, schools, businesses and agricultural-based activities;
3. Long range family, community and regional planning projects that will enhance implementation of programs that serve public needs in preparation for, during and after emergency situations within impacted States and across impacted regions;
4. Communication delivery of key information that meets end-users needs in a timely fashion with consideration of potentially limited communication channels due to disaster situations;
5. Dissemination of credible, science-based information that is reliable and easily accessible even if electronic access is compromised; and
6. Integrated Research and Extension Planning Projects (up to \$15,000) are intended to provide assistance to applicants in bringing together teams for the development of highly competitive grant proposals where extension personnel would apply for large grants (in excess of \$250,000) from other grant programs (e.g., the Agriculture and Food Research Initiative and etc) and lead nationally important disaster prevention, protection and mitigation projects.

Fundable projects should support education and extension activities which:

1. Reduce risk through planning, disaster preparedness and emergency response by improving communication between the public, community leaders, state and Federal agencies;
2. Develop strategies and educational materials and/or programming in the area of emergency planning, infrastructure design and disaster recovery operation;
3. Develop community networks that provide real-time disaster education information; and/or
4. Develop or expand educational materials regarding disaster issues suitable for use and distribution by the Extension Disaster Education Network (EDEN) or the eXtension Community of Practice working with disaster planning.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

These grants are used to defray the CSRS Retirement costs to the 1862 land-grant institutions for the former Schedule A Appointments who conduct agricultural extension work.

Funds are provided for the retirement costs of the former Schedule A Appointments at the 1862 land-grant institutions. These funds are allocated based on each institutions relative share of the total payments to OPM during the previous year.

The separate allocation of funds for this purpose is being phased out over a 10-year period, beginning in FY 2007. The amount available for this program is reduced each fiscal year by \$1,473,658 and the same amount is added to the funds available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.

The Schedule A 213.3113 (a) (1) was issued by the U.S. Office of Personnel Management (OPM) for the United States Department of Agriculture (USDA)

to employ individuals in the Cooperative Extension Service (CES) as a joint appointment between USDA and the land grant institution. The official title of Schedule A appointees includes the title Agent (e.g., Agent/Cooperative Extension Director; Agent/Cooperative Extension Educator) as by law only agents with a Schedule A appointment were eligible to participate in the Federal benefit plan(s).

Employment is dependent upon an individuals appointment in the CES at the university. The appointment must be a regular position with at least 50 percent of the staffs time dedicated to extension projects, and the appointee must work and be paid over a 12-month period.

Agents in the Cooperative Extension program are not classified under the General Schedule (GS) classification system or any other Federal pay system. The positions are classified by the employing land grant institution, and the salary is established according to policies and procedures at the institution. The OPM has the authority and responsibility for issuing rules and regulations covering Schedule A appointments and resulting benefits. OPM has delegated to the USDA the responsibility for overseeing and managing Cooperative Extension Schedule A appointments and the accompanying Federal benefits, (e.g., retirement and insurance plans). The Human Resources Division (HRD)/Cooperative Extension Service (CES) Team within Administrative and Financial Management (AFM) of the Agricultural Research Service (ARS) carries out this function for USDA.

Effective January 31, 2003, the authority to grant Schedule A Excepted Appointments to CES employees was terminated. Public Law 107-171, Farm Security and Rural Investment Act of 2002, dated May 13, 2002, Section 7220, terminated the Schedule A appointing authority used by USDA to grant a companion Federal appointment and Federal benefits to state/university employees of the Cooperative Extension Service. The law allowed the CES Federal appointees that were employed on the day before the date of the enactment of the Act, (i.e., May 12, 2002) to: a) continue to accrue Federal creditable service for retirement; and b) participate in the following benefits as long as the employees continued their employment with the Cooperative Extension Service:

- 1) the Federal Employees Health Benefits Program (FEHB);
- 2) the Federal Employees' Group Life Insurance Program (FELGI);
- 3) the Civil Service Retirement System (CSRS);
- 4) the Federal Employee Retirement System (CSRS);
- 5) the Thrift Savings Plan (TSP); and
- 6) the Federal Long Term Care Insurance Program (FLTCIP).

The Federal Office of Workers Compensation Program (OWCP) is the only Federal program that will not continue as it is not a program that the dual appointee was vested in. Claims already on file with the Department of Labor (DOL) Office of Workers Compensation Office will continue to be processed by the DOL. Using a formula based in the prior years injury or illness claims, NIFA will pay these claims on behalf of each institution and charge that institution by reducing its annual retirement allocation by the amount remitted. If the amount of claims paid exceeds the institutions annual retirement allocation, NIFA will bill the institution for any OWCP costs in excess of the annual retirement allocation.

Changes and new features for the current Federal Benefits programs such as FEHB, FELGI, TSP and FLTCIP will be offered to the CES organizations and employees that are eligible to participate in the affected program(s). However, former Federal appointees cannot participate in new Federal benefit programs that were not in effect as of May 12, 2002.

Effective January 31, 2003, CES can no longer grant Schedule A Federal appointments to new employees because they no longer have a Federal appointment authority available to make new Federal appointments. Former CES Schedule A appointees may be reappointed to another CES organization and continue their benefits as long as they do not have a break in service.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Federal funds are provided for the retirement costs of the former Schedule A Appointments at the 1862 land-grant institutions. These funds are allocated to the 1862 land-grant institutions with former Schedule A Appointments based on each institutions relative share of the total payments to OPM during the previous year.

The separate allocation of funds for this purpose is being phased out over a 10-year period, beginning in FY 2008. The amount available for this program

is reduced each year by \$376,826 and this same amount is added to the funds available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.

The Schedule A 213.3113 (a) (1) was issued by the U.S. Office of Personnel Management (OPM) for the United States Department of Agriculture (USDA) to employ individuals in the Cooperative Extension Service (CES) as a joint appointment between USDA and the land-grant institution. The official title of Schedule A appointees includes the title Agent (e.g., Agent/Cooperative Extension Director; Agent/Cooperative Extension Educator) as by law only agents with a Schedule A appointment were eligible to participate in the Federal benefit plan(s).

Employment is dependent upon an individual's appointment in the CES at the university. The appointment must be a regular position with at least 50 percent of the staff's time dedicated to extension projects, and the appointee must work and be paid over a 12 month period.

Agents in the Cooperative Extension program are not classified under the General Schedule (GS) classification system or any other Federal pay system. The positions are classified by the employing land-grant institution, and the salary is established according to policies and procedures at the institution. The OPM has the authority and responsibility for issuing rules and regulations covering Schedule A appointments and resulting benefits. OPM has delegated to the USDA the responsibility for overseeing and managing Cooperative Extension Schedule A appointments and the accompanying Federal benefits, (e.g., retirement and insurance plans). The Human Resources Division (HRD)/Cooperative Extension Service (CES) Team with Administrative and Financial Management (AFM) of the Agricultural Research Service (ARS) carries out this function for USDA.

Effective January 31, 2003, the authority to grant Schedule A Excepted Appointments to CES employees was terminated. Public Law 107-171, Farm Security and Rural Investment Act of 2002, dated May 13, 2002, Section 7220, terminated the Schedule A appointing authority used by USDA to grant a companion Federal appointment and Federal benefits to state/university employees of the Cooperative Extension Service. The law allowed the CES Federal appointees that were employed on the day before the date of the enactment of the Act, (i.e., May 12, 2002), to: a) continue to accrue Federal creditable service for retirement; and b) participate in the following benefits as long as the employees continued their employment with the Cooperative Extension Service:

- 1) The Federal Employees Health Benefits Program (FEHB);
- 2) The Federal Employees' Group Life Insurance Program (FEGLI);
- 3) The Civil Service Retirement System (CSRS);
- 4) The Federal Employee Retirement System (FERS);
- 5) The Thrift Savings Plan (TSP); and
- 6) The Federal Long Term Care Insurance Program (FLTCIP).

The Federal Office of Workers Compensation Program (OWCP) is the only Federal program that will not continue as it is not a program that the dual appointee was vested in. Claims already on file with the Department of Labor (DOL) Office of Workers Compensation Office will continue to be processed by the DOL. Using a formula based in the prior years injury or illness claims, NIFA will pay these claims on behalf of each institution and charge that institution by reducing its annual retirement allocation by the amount remitted. If the amount of claims paid exceeds the institutions annual retirement allocation, NIFA will bill the institution for any OWCP costs in excess of the annual retirement allocation.

Changes and new features for the current Federal Benefits programs such as FEHB, FELGI, TSP and FLTCIP will be offered to the CES organizations and employees that are eligible to participate in the affected program(s). However, former Federal appointees cannot participate in new Federal benefit programs that were not in effect as of May 12, 2002.

Effective January 31, 2003, CES can no longer grant Schedule A Federal appointments to new employees because they no longer have a Federal appointment authority available to make new Federal appointments. Former CES Schedule A appointees may be reappointed to another CES organization and continue their benefits as long as they do not have a break in service.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

These funds are used by the University of the District of Columbia for the

development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending the University of the District of Columbia, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

Sections 208 of the District of Columbia Public Postsecondary Education Reorganization Act provides, in pertinent part, that In the administration of the Act of August 30, 1890 (7 U.S.C. 321-326, 328) (known as the Second Morrill Act), the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301-305, 307, 308) (known as the First Morrill Act); and the term "State", is used in the laws and provisions of law listed in the preceding, paragraphs of this section shall include the District of Columbia. In the administration of the Act of May 8, 1914 (7 U.S.C. 341-346, 347a-349) (known as the Smith-Lever Act) the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301- 305, 307,308); and the term "State" as used in such Act of May 8, 1914, shall include the District of Columbia, except that the District of Columbia shall not be eligible to receive any sums appropriated under section 3 of such Act. In lieu of an authorization of appropriations for the District of Columbia under section 3 of such Act of May 8, 1914, there is authorized to be appropriated such sums as may be necessary to provide cooperative agricultural extension work in the District of Columbia under such Act. Any reference in such Act (other than section 3 thereof) to funds appropriated under such Act shall in the case of the District of Columbia be considered a reference to funds appropriated under this subsection.

Therefore, this grant funds the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending the University of the District of Columbia, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

Section 7417 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-234) amended section 208 of the District of Columbia Public Postsecondary Education Reorganization Act to eliminate any matching requirement for the extension formula funds provided to the University of the District of Columbia, effective October 1, 2008.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA) Funds appropriated under this section shall be used for expenses of conducting extension programs and activities, and for contributing to the retirement of employees subject to the provisions of the Act of March 4, 1940 (54 Stat. 3040, as amended; 7 U.S.C. 331). No portion of the funds allocated under this grant will be applied, directly or indirectly, to the purchase, erection, preservation, or repair of any building or buildings, or the purchase or rental of land, or in college course teaching, lectures in college, or any other purpose not specified in NARETPA section 1444.

### 3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition Education (EFNEP) (ENUT Nutrition Education) (FORMULA)

Section 3(d) of the Smith-Lever Act provides that the Secretary of Agriculture may fund extension work in the several States, Territories, and possessions. Section 1425 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (as amended) (7 U.S.C. 3175) provides the statutory formula for the Expanded Food and Nutrition Education Program (EFNEP). This program supports Federal funding for extension activities associated with disseminating the results of food and nutrition research performed or funded by the U.S. Department of Agriculture to enable low-income individuals and

families to engage in nutritionally sound food purchase and preparation practices. Funding extends to EFNEP at State land-grant colleges established under the Morrill Act of July 2, 1862, as amended, and the Morrill Act of August 30, 1890, as amended, including Tuskegee University and West Virginia State University.

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life

Pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination

Pertinent details will be provided at a future date.

#### 4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act

Renewable Resources Extension Act-National Focus Fund Projects provide for expanded and comprehensive extension programs for forest and rangeland renewable resources programs at a national, regional, or multi-institutional level.

Since FY 2002, a small amount of these funds have been used to fund National Focus Fund Projects which have served to expand comprehensive extension programs for forest and rangeland renewable resources on a national, regional, or multi-institutional scale through better program coordination, innovative technologies, and extension models that can be easily duplicated.

(b) Rural Health and Safety

The Rural Health and Safety Education Competitive Grants Program is designed to meet national goals for addressing the health and access needs of rural Americans. Rural Health and Safety Education Programs will focus on issues related to aging in one or more of three areas: 1) population aging in rural areas; 2) eldercare or caregiving and its impact on rural and farm families; and/or 3) related issues of rural health care to provide older individuals and families with:

Information as to the value of good health in an era of population aging;

Information to increase the older adult individual or family's motivation to take more responsibility for their own health;

Access by older adults to health promotion and educational activities;

Trained health and allied health professionals or paraprofessionals committed to rural health and care of aging population; and

Training for volunteers and health services providers concerning health promotion and

health care services for rural older adult populations, in cooperation with the Department of

Health and Human Services.

(c) Extension Services at the 1994 Institutions

The Tribal Colleges Extension Program (TCEP) provides funding for the 1994 Land-Grant Institutions to conduct non-formal education and outreach activities to help meet the needs of the Native American people. Appropriated funds are to be awarded to the 1994 Land-Grant Institutions for Extension work and funds are to be distributed on the basis of a competitive application process.

(d) Grants to Youth Serving Institutions

The Rural Youth Development Grants (RYD) Program supports the expansion of effective, high quality youth development programs for youth in rural areas and small towns. The overarching theme of this grant program is Youth Build Strong Rural Communities. The sub-theme is Rural youth learn and apply leadership, citizenship, and life skills to improve their own lives and the communities in which they live. This philosophy undergirds the program design and methodologies of this grant program.

(e) Food Animal Residue Avoidance Database Program (FARAD)

No specific information provided

(f) Federal Administration (DIRECT APPROPRIATION)

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)

Facilities awards will be made for the acquisition and improvement of agricultural and food sciences facilities and equipment, including libraries, so that the 1890 land-grant institutions, including Tuskegee University and West Virginia State University may participate fully in the production of human capital in the food and agricultural sciences. Priorities for the eligible institutions are set in the facilities plan that is submitted to NIFA for review and approval. Section :070 RESTRICTIONS (ONLY):  
See RFA or FGO: Part IV.E. Funding Restrictions and Part III.B.

Cost-Sharing and Matching.)

Other

Grant funds must be used for allowable costs necessary to conduct approved integrated research, extension and education objectives to address food and agricultural sciences, in the broadest sense.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Funds may not be used for any purposes other than those approved in the grant award documents.

Tuition remission is not allowable.

Indirect costs are not allowable.

Other Detailed Info RESTRICTIONS ONLY

1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Funding Restrictions

(1) Program and Extension Activities

Smith-Lever Act sections 3(b) and 3(c) Federal funding must be used for extension programs and activities identified in the institutions approved 5-Year Plan of Work.

(2) Matching

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. 343(e)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work. However, section 3(e)(4) of the Smith-Lever Act (& U.S.C. 343(e)(4)) provides that Effective beginning for fiscal year

2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Mariana Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an

amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section..... The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.

NIFA may consider and approve matching waivers submitted by Insular 1862 Land-grant Institutions (American Samoa, Guam, Micronesia, Northern Marianas Islands, Puerto Rico, and the Virgin Islands).

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Sections 3(b) and 3(c) of the Smith-Lever Act formula grant expenditures.

(4) Other Restrictions

No portion of these funds may be applied, directly or indirectly, to the purchase, erection, preservation, or repair of any building or buildings, or the purchase or rental of land, or in college-course teaching, lectures in college, or any other purpose not specified in this Act.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)  
Funding Restrictions

(1) Approved NIFA Special Needs Projects  
Special Needs Federal funding must be used on extension activities identified in the institutions approved 5-Year Plan of Work.

(2) Matching

The Special Needs program requires that Federal funds be fully matched (i.e., 100 percent) by 1862 Land-grant Institutions.

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Special Needs formula grant expenditures.

(4) Other Restrictions

No portion of Federal funds allotted under Special Needs grant may be applied, directly or indirectly, to the purchase, erection, preservation, or repair of any building or buildings, or the purchase or rental of land, or in college-course teaching, lectures in college, or any other purpose not specified in the Smith-Lever Act.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)  
Funding Restrictions

Indirect costs and tuition remission are not allowable and no funds will be approved for these purposes. Costs that are a part of the institutions indirect cost pool may not be reclassified as direct costs for the purpose of making them allowable.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)  
Funding Restrictions

(1) Approved NIFA CSRS Retirement Contributions Program Costs  
NIFA CSRS retirement allocations must be used to support CSRS retirement costs for former Schedule A Appointments.

(2) Matching

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. 343(e)(1) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work. However, section 3(e)(4) of the Smith-Lever Act (U.S.C. 343(e)(4) provides that Effective beginning for

fiscal year 2003, in lieu of the matching funds requirements of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year. NIFA may consider and approve matching waivers submitted by 1862 land-grant Institutions in insular areas.

Please note that these matching funds may be used for any extension activity identified in the state plan of work.

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as CSRS retirement contribution formula grant expenditures.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)  
Funding Restrictions

(1) Approved NIFA FERS Retirement Contributions Programs  
NIFA FERS retirement allocations must be used to support FERS retirement costs for former Schedule A Appointments.

(2) Matching

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. 343(e)(1) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work. However, section 3(e)(4) of the Smith-Lever Act (U.S.C. 343(e)(4) provides that Effective beginning for fiscal year 2003, in lieu of the matching funds requirements of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.

NIFA may consider and approve matching waivers submitted by 1862 land-grant Institutions in insular areas.

Please note that these matching funds may be used for any extension activity identified in the state plan of work.

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as FERS retirement contribution formula grant expenditures.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

Funding Restrictions

(1) Approved NIFA DCPPERA Projects  
DCPPERA Federal funding must be used to support extension activities identified in the approved 5-Year Plan of Work.

(2) Matching

There is no matching requirement for these funds.

(3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as DCPPERA formula grant expenditures.

(4) Other Restrictions

No portion of these funds may be applied, directly or indirectly, to the purchase, erection, preservation, or repair of any building or buildings, or the purchase or

rental of land, or in college-course teaching, lectures in college, or any other purpose not specified in this Act.

## 2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

### Funding Restrictions

#### (1) Approved NIFA Section 1444 Projects

Section 1444 Program funding must be used to support agricultural extension activities identified in the approved 5-Year Plan of Work.

#### (2) Matching

NARETPA section 1449 (7 U.S.C. 3222d) states that the State shall provide matching funds from non-Federal sources. Such matching funds shall be for an amount equal to not less than ... 100 percent of the formula [grant] funds to be distributed to the eligible institution for fiscal year 2007 and each fiscal year thereafter. ... Notwithstanding [redistributing the funds], the Secretary may waive the matching funds requirement ... above the 50 percent level for any fiscal year for an eligible institution of a State if the Secretary determines that the State will be unlikely to satisfy the matching requirement.

7 CFR 3419.1 defines matching funds as funds from non-Federal sources made available by the State to the eligible institutions ... [for] programs or activities that fall within the purposes of agricultural research and cooperative extension under sections 1444 and 1445 of NARETPA ... or [for] qualifying educational activities. Matching funds means cash contributions and excludes in-kind matching contributions. It defines non-Federal sources as funds made available by the State to the eligible institution either through direct appropriation or under any authority (other than authority to charge tuition and fees paid by students) provided by a State to an eligible institution to raise revenue, such as gift acceptance authority or user fees. Finally, it defines qualifying educational activities as programs that address food and agricultural sciences components of an eligible institution.

7 CFR 3419.6 states that The required matching funds for the formula programs shall be used by an eligible institution for agricultural research and extension activities that have been approved in the plan of work required under sections 1444(d) and 1445(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977... or for .. qualifying education activities. Please note that while Federal funds must be expended on agricultural extension, the matching funds may be used for agricultural research, agricultural extension, or qualifying educational activities. NIFA may consider and approve matching waivers above the 50 percent level. See Part IV.B.6. for additional information.

#### (3) Indirect Costs and Tuition Remission

In accordance with NARETPA section 1473, indirect costs and tuition remission are unallowable as Section 1444 Program formula grant expenditures.

## 3. SMITH-LEVER 3(d):

### (a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

### Funding Restrictions

#### (1) Approved NIFA EFNEP Projects

EFNEP Federal funding must be used on NIFA approved EFNEP projects.

#### (2) Matching

There is no cost-sharing or matching requirement for this program.

#### (3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as EFNEP formula grant expenditures.

#### (b) Youth at Risk

Pertinent details will be provided at a future date.

#### (c) Improve Rural Quality of Life

Pertinent details will be provided at a future date.

#### (d) Farm Safety

Pertinent details will be provided at a future date.

#### (e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

#### (f) Pest Management

Pertinent details will be provided at a future date.

#### (g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

#### (h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

#### (i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

#### (j) EIPM Support

Pertinent details will be provided at a future date.

#### (k) EIPM Coordination

Pertinent details will be provided at a future date.

## 4. OTHER EXTENSION ACTIVITIES:

### (a) Renewable Resources Extension Act

The majority of the appropriated funds are distributed to eligible institutions based on a formula that considers the geographic extent, ecosystem productivity, economic contribution, and population for each state. Since FY 2002, a small amount of these funds have been used to fund National Focus Fund Projects.

NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. Section 7132 of the Food, Conservation, and Energy Act amended section 1462 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310), increasing the limit on recovery of indirect costs from 20 percent to 22 percent of total Federal funds provided under the award. Therefore, the recovery of indirect costs on awards made by NIFA under this program area may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

### (b) Rural Health and Safety

The Rural Health and Safety Education Competitive Grants Program provides funds to meet national goals for addressing the health and access needs of rural Americans.

NIFA does not require matching or cost sharing support for this program and matching resources will not be factored into the review process as evaluation criteria.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act amended section 1462 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310), increasing the limit on recovery of indirect costs from 20 percent to 22 percent of total Federal funds provided under the award. Therefore, the recovery of indirect costs on awards made by NIFA under this program area may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

(c) Extension Services at the 1994 Institutions

Appropriated funds are to be awarded to the 1994 Land-Grant Institutions for Extension work and funds are to be distributed on the basis of a competitive application process.

NIFA does not require matching support for this program, and matching resources will not be factored into the review process as evaluation criteria.

Under the TCEP, the use of grant funds to plan, acquire, or construct a building or facility, or to acquire land, is not allowed. With prior approval, in accordance with the cost principles set forth in OMB Circular No. A-21, grant funds may be used to purchase equipment, or for improvements, alterations, renovations, or repairs to land, buildings, or equipment, deemed necessary to retrofit existing spaces and resources in order to carry out a funded project under this grant. However, requests to use grant funds for such purposes must demonstrate that such expenditures are incidental to the major purpose for which the grant request is made and no more than twenty-five percent of the project budget may be used to purchase equipment. Any equipment purchased with Federal funds is the property of the grantee or the subgrantee, as appropriate.

Indirect costs are unallowable costs, and no funds will be approved for this purpose. Costs that are a part of the institutions indirect cost pool may not be reclassified as direct costs for the purpose of making them allowable.

(d) Grants to Youth Serving Institutions

Title IV of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7630) authorized the Secretary of Agriculture to make grants to the Girl Scouts of the United States of America (GSUSA), the Boy Scouts of America (BSA), the National 4-H Council (4-H Council), and the National FFA Organization (FFA). Section 7309 of the Food, Conservation, and Energy Act (FCEA) of 2008 reauthorized 7 U.S.C. 7630, which was also amended to provide additional flexibility in content delivery to each organization receiving funds and to allow recipients to redistribute all or part of the funds to individual councils or local chapters without further need of approval from the Secretary. In FY 2009, Terms and Conditions of these awards should facilitate the redistribution without further need of approval. The Omnibus Appropriations Act, 2009 (Pub. L. 111-8) appropriates funds under Division A, Title I for grants to youth organizations pursuant to 7 U.S.C. 7630.

There are no matching requirements associated with the Rural Youth Development program, and matching resources will not be factored into the review process as evaluation criteria.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of facility space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded. If no rate has been established the applicant may indicate "Nonewill negotiate" and a reasonable dollar amount for indirect costs may be requested, which will be subject to approval by USDA. In the latter case, if a proposal is recommended for funding, an indirect cost rate proposal must be submitted prior to award to support the amount of indirect costs requested. NIFA will request an indirect cost rate proposal and provide instructions, as necessary. An applicant may elect not to charge indirect costs and, instead, use all grant funds for direct costs. If indirect costs are not charged, the phrase "None requested" should be written in this space.

(e) Food Animal Residue Avoidance Database Program (FARAD)

Pursuant to Sec. 604 of the Agricultural research extension and Education Reform Act of 1998 [7 USC 7642(d)], applicants requesting recovery of indirect costs should limit their requests to the lesser of their institutions

official negotiated indirect costs rate or the equivalent of 19 percent of total Federal funds awarded.

(f) Federal Administration (DIRECT APPROPRIATION)

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)

In Fiscal Year (FY) 09 NIFA assessed four percent (4%) of the appropriated amount for Federal Administration, distributed sixty percent (60%) of the balance equally, and distributed the remaining forty percent (40%) based on the formula found in Section 1444 of NAREPTA of 1977, as amended (Pub. L. No. 95-113).

Within each institution, the research, teaching and extension programs must each receive at least 20 percent of the annual allocation. The remaining 40 percent may be allocated based on institutional needs for research, teaching, or extension. No more than 60 percent of the total allocation should be directed to research, teaching, or extension. However, if there are unique situations in your institution which warrant a deviation from these guidelines, we will consider requests for reallocation. Such reallocations must be justified by the submission of a situation statement which describes the research, teaching, and extension facilities needs in your institution and how previously available Federal funds were utilized.

NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. The obligation and expenditure of funds awarded under these grants are limited to equipment, land, buildings and other related costs which are or will be used in the administration and conduct of approved research, teaching and extension activities. In accordance with NAREPTA Section 1447 (e), funds provided for this program may not be used for the payment of any overhead costs of the eligible institutions. Some funds are Fully Discretionary. Some funds are Mandatory.

**Applicant Eligibility:**

1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Applications may be submitted by the following 1862 Land-grant Institutions: Auburn University, University of Alaska-Fairbanks, American Samoa Community College, University of Arizona, University of Arkansas, University of California, Colorado State University, University of Connecticut, University of Delaware, University of Florida, University of Georgia, University of Guam, University of Hawaii, University of Idaho, University of Illinois, Purdue University, Iowa State University, Kansas State University, University of Kentucky, Louisiana State University, University of Maine, University of Maryland-College Park, University of Massachusetts, Michigan State University, College of Micronesia, University of Minnesota, Mississippi State University, University of Missouri, Montana State University, University of Nebraska, University of Nevada-Reno, University of New Hampshire, Rutgers University, New Mexico State University, Cornell University, North Carolina State University, North Dakota State University, Northern Marianas College, Ohio State University, Oklahoma State University, Oregon State University, Pennsylvania State University, University of Puerto Rico, University of Rhode Island, Clemson University, South Dakota State University, University of Tennessee, Texas A & M University, Utah State University, University of Vermont, Virginia Polytechnic Institute & State University, University of the Virgin Islands, Washington State University, West Virginia University, University of Wisconsin, and University of Wyoming.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Applications may be submitted by the following 1862 Land-grant Institutions: University of Alaska-Fairbanks, University of Arizona, Colorado State University, University of Idaho, Kansas State University, Montana State University, University of Nebraska, University of Nevada-Reno, New Mexico State University, North Dakota State University, Oregon State University, South Dakota State University, Texas A & M University, Utah State University, University of Vermont, and University of Wyoming.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)  
Applications may be submitted with the approval of Extension Directors of 1862 Land-grant Institutions in the 50 states, American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the U.S. Virgin Islands.

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project. An applicants failure to meet an eligibility criterion by the time of an application deadline will result in NIFA not accepting the application or, even though an application may be reviewed, will preclude NIFA from making an award.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)  
Applications may be submitted by 1862 land-grant institutions that are making payments to the U.S. Office of Personnel Management for CSRS retirement costs for the former Schedule A Appointments. See Appendix A for the list of eligible institutions.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)  
Applications may be submitted by 1862 land-grant institutions that are making payments to the U.S. Office of Personnel Management for FERS retirement costs for the former Schedule A Appointments. See Appendix A of the Formula Grant Opportunity (FGO) for the list of eligible institutions.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC  
The University of the District of Columbia, as the 1862 Land-Grant Institution, is the only applicant eligible for funding under the DCPPERA.

The award recipient may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.  
2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

#### A. Eligible Applicants

Applications may be submitted by 1890 Land-Grant Universities, including Tuskegee University and West Virginia State University, that conduct agricultural extension activities in accordance with NARETPA section 1444(a)(1): Alabama A&M University; Tuskegee University; University of Arkansas - Pine Bluff; Delaware State University; Florida A&M University; Fort Valley State University; Kentucky State University; Southern University; University of Maryland Eastern Shore; Alcorn State University; Lincoln University; North Carolina A & T State University; Langston University; South Carolina State University; Tennessee State University; Prairie View A&M University; Virginia State University; and West Virginia State University. Institutions may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project or activity.

#### 3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)  
Applications may be submitted by State colleges and universities in accordance with Section 3(d) of the Smith-Lever Act: Auburn University; Alabama A & M University; Tuskegee University; University of Alaska; American Samoa Community College; University of Arizona; University of Arkansas; University of Arkansas Pine Bluff; University of California; Colorado State University; University of Connecticut; University of Delaware; Delaware State University; University of the District of Columbia; University of Florida; Florida A & M University; University of Georgia; Fort Valley State University; University of Guam; University of Hawaii; University of Idaho; University of Illinois; Purdue University; Iowa State University; Kansas State University; University of Kentucky; Kentucky State University; Louisiana State University; Southern University; University of Maine; University of Maryland (College Park);

University of Maryland (Eastern Shore); University of Massachusetts; Michigan State University; College of Micronesia; University of Minnesota; Mississippi State University; Alcorn State University; University of Missouri; Lincoln University; Montana State University; University of Nebraska; University of Nevada; University of New Hampshire; Rutgers University; New Mexico State University; Cornell University; North Carolina State University; North Carolina A & T University; North Dakota State University; Northern Marianas College; Ohio State University; Oklahoma State University; Langston University; Oregon State University; Pennsylvania State University; University of Puerto Rico; University of Rhode Island; Clemson University; South Carolina State University; South Dakota State University; University of Tennessee; Tennessee State University; Texas A&M University; Prairie View A & M University; Utah State University; University of Vermont; University of the Virgin Islands; Virginia Polytechnic Institute and State University; Virginia State University; Washington State University; West Virginia University; West Virginia State University; University of Wisconsin; and University of Wyoming.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

(b) Youth at Risk  
Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life  
Pertinent details will be provided at a future date.

(d) Farm Safety  
Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension  
Pertinent details will be provided at a future date.

(f) Pest Management  
Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)  
Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes  
Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification  
Pertinent details will be provided at a future date.

(j) EIPM Support  
Pertinent details will be provided at a future date.

(k) EIPM Coordination  
Pertinent details will be provided at a future date.

#### 4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act  
Applications may be submitted by 1862 and 1890 land-grant institutions. Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project. An applicants failure to meet an eligibility criterion by the time of an application deadline will preclude NIFA from making an award.

(b) Rural Health and Safety  
Land-grant colleges and universities that are eligible to receive funds under the Act of July 2, 1862 (7 U.S.C. 301 et seq.), and the Act of August 30, 1890 (7 U.S.C. 321 et seq.), including Tuskegee University, West Virginia State University and the University of the District of Columbia.

Applications may be submitted by any of the Tribal colleges and universities designated as 1994 Land-Grant Institutions under the Educational Land-Grant

Status Act of 1994, as amended.

Award recipients may subaward to other organizations provided such organizations are necessary for the conduct of the project. Failure to meet an eligibility criterion by the application deadline will disqualify an applicant from consideration and will result in NIFA returning the application without review or, even though an application may be reviewed, will preclude NIFA from reviewing the application and making an award.

(c) Extension Services at the 1994 Institutions

Applications may be submitted by any of the Tribal colleges and universities designated as 1994 Land-Grant Institutions under the Educational Land-Grant Status Act of 1994, as amended.

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of project goals and objectives. An applicant's failure to meet an eligibility criterion by the time of an application deadline will result in NIFA returning the application without review or, even though an application may be reviewed, will preclude NIFA from making an award.

(d) Grants to Youth Serving Institutions

Pursuant to 7 U.S.C. Section 7630, only the Girl Scouts of the United States of America, the National 4-H Council, the Boy Scouts of America, and the National FFA Organization are eligible to apply. NIFA will accept only one application from each organization. The application must be developed and submitted by the national office of each respective organization. Rural Youth Development awards will be distributed to each of the four (4) eligible organizations that submits an application in accordance with RFA requirements, if the application is found to be worthy of support through the peer review process. The amount awarded to each organization will be determined based on review and recommendations of a peer review panel.

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project. If an applicant fails to meet an eligibility criterion by the time of the application deadline, the application will be at risk of being excluded from NIFA review and will preclude NIFA from making an award.

(e) Food Animal Residue Avoidance Database Program (FARAD)

The Secretary shall offer to enter into a contract, grant, or cooperative agreement with 1 or more appropriate colleges and universities to operate the FARAD program.

(f) Federal Administration (DIRECT APPROPRIATION)

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)

Eligible applicants under this RFA are the 1890 land-grant institutions, including Tuskegee University and West Virginia State University. They are: Alabama A&M University, Tuskegee University, University of Arkansas-Pine Bluff, Delaware State University, Florida A&M University, Fort Valley State University, Kentucky State University, Southern University, University of Maryland-Eastern Shore, Lincoln University, Alcorn State University, North Carolina A&T State University, Langston University, South Carolina State University, Tennessee State University, Prairie View A&M University, Virginia State University, and West Virginia State University.

**Beneficiary Eligibility:**

Extension Programs at the State and county level are available to the general public.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an

individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the request for applications (RFAs). Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but are not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded from coverage under E.O. 12372.

**SPECIFIC DETAILS:**

1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Pre-award form submissions must be submitted to the Cooperative Extension Programs at 1862 Land-grant Institutions program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted (in the FGO), these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system, and together satisfy all legislative and regulatory pre-award requirements.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-grant Institution must submit both a 5-Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Pre-award form submissions must be submitted to Special Needs Program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted (in the FGO), these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system, and together satisfy all legislative and regulatory pre-award requirements.

Section 202 of the Agricultural Research, Extension, and Education Reform Act



of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-grant Institution must submit both a 5-Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)  
Pertinent info to be determined at a later date.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)  
Pre-award form submissions must be submitted to the CSRS Retirement Contributions Program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted (in the FGO), these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) System, and together satisfy all legislative and regulatory pre-award requirements.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)  
Pre-award form submissions must be submitted to the FERS Retirement Contributions Program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) System, and together satisfy all legislative and regulatory pre-award requirements.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC  
Pre-award form submissions must be submitted to the DCPPERA program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted in the Formula Grant Opportunity (FGO), these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system, and together satisfy all legislative and regulatory pre-award requirements.

Section 105 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require an approved Plan of Work for extension and research activities at 1862 Land-grant Institutions in order to receive Federal funding. As stated in the Preface to the Federal Register Notice at 71 FR 4107, Although the District of Columbia receives extension funds under the District of Columbia Postsecondary Education Reorganization Act, Public Law 93471, as opposed to the Smith-Lever Act, NIFA has determined that it should be subject to the POW requirements imposed under these guidelines except where expressly excluded. Therefore, the University of the District of Columbia must submit both a 5-Year Plan of Work Update (i.e., submitted as an annual update) and an Annual Report of Accomplishments and Results. Both reports were due April 1.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)  
Pre-award form submissions must be submitted to the Section 1444 Program as a new application on the [www.grants.gov](http://www.grants.gov) website. These application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system, and together satisfy all legislative and regulatory pre-award requirements.

Section 225 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended NARETPA to require an approved Plan of Work for agricultural extension and research activities at 1890 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1890 land-grant institution, including Tuskegee University and West Virginia State University, must submit both a 5-Year Plan of Work Update and an Annual Report of Accomplishments and Results. Both reports are due April 1.

### 3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

No Standard Form (SF) 424-A, Budget Information for Non-Construction Programs, and no Budget Narrative Attachment Form are required for either the initial or the final submissions. However, the EFNEP-specific forms will be

required.

Initial Submission:

Pre-award form submissions must be submitted to EFNEP as a new application on the [www.grants.gov](http://www.grants.gov) website. The SF-424M Application Package should include:

Application for Federal Assistance (Standard Form (SF) 424M (Mandatory)  
NIFA Supplemental Information Form  
Key Contacts Form

(b) Youth at Risk  
Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life  
Pertinent details will be provided at a future date.

(d) Farm Safety  
Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension  
Pertinent details will be provided at a future date.

(f) Pest Management  
Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)  
Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes  
Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification  
Pertinent details will be provided at a future date.

(j) EIPM Support  
Pertinent details will be provided at a future date.

(k) EIPM Coordination  
Pertinent details will be provided at a future date.

### 4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act  
Pertinent details will be provided at a future date.

(b) Rural Health and Safety  
Pertinent details will be provided at a future date.

(c) Extension Services at the 1994 Institutions  
Pertinent details will be provided at a future date.

(d) Grants to Youth Serving Institutions  
Pertinent details will be provided at a future date.

(e) Food Animal Residue Avoidance Database Program (FARAD)  
Pertinent details will be provided at a future date.

(f) Federal Administration (DIRECT APPROPRIATION)  
Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)  
Pertinent details will be provided at a future date. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the Request for Applications (RFA) or Formula Grant Opportunity (FGO). Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA or FGO.

**SPECIFIC DETAILS:****1. SMITH-LEVER 3(b) & (c):**

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Further information will be provided at a later date.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Pertinent details will be provided at a future date.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)

Pertinent details will be provided at a future date.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Pertinent details will be provided at a future date.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Pertinent details will be provided at a future date.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

Pertinent details will be provided at a future date.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

The Office of Planning and Accountability will notify the OEP Formula Grants Section and the institution regarding each institutions compliance with the Plan of Work reporting requirements (i.e., Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results). If all current program and administrative requirements have been met by the eligible institution, funding will continue to be released on a quarterly basis. The OEP Formula Grants Section will notify the institutions when all requirements have been met or approved.

**3. SMITH-LEVER 3(d):**

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

Pertinent details will be provided at a future date.

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life

Pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination

Pertinent details will be provided at a future date.

**4. OTHER EXTENSION ACTIVITIES:**

(a) Renewable Resources Extension Act

Pertinent details will be provided at a future date.

(b) Rural Health and Safety

Pertinent details will be provided at a future date.

(c) Extension Services at the 1994 Institutions

Pertinent details will be provided at a future date.

(d) Grants to Youth Serving Institutions

Pertinent details will be provided at a future date.

(e) Food Animal Residue Avoidance Database Program (FARAD)

Pertinent details will be provided at a future date.

(f) Federal Administration

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)

Pertinent details will be provided at a future date.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the Request for Applications (RFA) or Formula Grant Opportunity (FGO) each fiscal year (FY).

Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/>

<http://www.grants.gov>.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) or Formula Grant Opportunity (FGO) each fiscal year (FY).

**Formula and Matching Requirements:**

Statutory Formula: Title Various. Several Formula programs are represented under CFDA 10.500. Please refer to RFA or FGO for specific details.

Matching Requirements: (See RFA or FGO - Part I.A Legislative Authority & Background; Part III.B Cost Sharing or Matching and/or Part IV.D Funding Restrictions)

**1. SMITH-LEVER 3(b) & (c):**

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

States are eligible for funds appropriated under this Act according to the following formula: Out of each annual allocation, each State will be entitled to receive a sum of money equal to the sums available from Federal cooperative extension funds for the fiscal year 1962, and subject to the same requirements as to furnishing of equivalent sums by the State, except that amounts heretofore made available to the Secretary for allotment on the basis of special needs shall continue available for use on the same basis. Further, the University of Guam and the University of the Virgin Islands will receive \$100,000 each in addition to the sums appropriated for the several States of the United States and Puerto Rico under the provisions of sections 3(b) and 3(c) of the Smith-Lever Act. Of the remainder so appropriated for each fiscal year 20 per cent will be paid to the several States in equal proportions, 40 per cent will be paid to the several States in the proportion that the rural population of each bears to the total rural population of the several States as determined by the census, and the balance will be paid to the several States in the proportion that the farm population of each bears to the total farm population of the several

States as determined by the census. Any appropriation made under sections 3(b) and 3(c) of the Smith-Lever Act will be allotted in the first and succeeding years on the basis of the decennial census current at the time the appropriation is first made, and as to any increase, on the basis of decennial census current at the time such increase is first appropriated.

**Cost Sharing or Matching**

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. 343(e)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work. However, section 3(e)(4) of the Smith-Lever Act (U.S.C. 343(e)(4)) provides that Effective beginning for fiscal year

2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section..... The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Funds will be distributed to the institutions on a quarterly basis. See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocation.

**Cost Sharing or Matching**

1862 Land-grant Institutions in the 50 States must match 100 percent of the Special Needs funds they receive with funds from non-Federal sources such as State or county appropriations. The matching must be in the form of cash. Matching funds must be used for extension activities approved in the eligible institutions 5-Year Plan of Work.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects) Cost Sharing or Matching

Pursuant to rules and policies governing Section 3(b) & (c) of the Smith-Lever Act, as amended through Public Law 107-293, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work.

1. To comply with the matching requirements of the Special Needs Program, applicants are required to provide 100 percent matching funds from non-federal sources for all proposed federal funds sought in the application. In-kind and third party contributions are not allowed for the Smith-Lever Special Needs program. Grant awards cannot be issued until ALL required matching has been documented and verified.

2. Matching Alternative. Extension Directors may certify an offset of guaranteed non-Federal funds to your application. The signed certification of offset must be scanned and included as a PDF attachment (see Part IV.,B.,2.,c.,(1) for specific instructions).

3. Matching Exception. Insular Areas: In lieu of the matching funds requirement, the insular areas of the Commonwealth of Puerto Rico, Guam, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the grants awarded. The Secretary may waive this matching fund requirement for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year. Insular applicants may submit a waiver request as a PDF attachment to the application (see Part IV.,B.,2.,c.,(2) for specific instructions).

**For all projects:**

Matching: Applications shall include written verification of commitments of matching support from non-federal sources. Written verification means: The sources and the amount of all matching support from outside the applicant organization should be summarized on a separate page and placed in the application as a part of the Budget

Justification attachment (see Field K on the Form SF 424 (R&R) Budget). Include the matching amount, the budget category for the match, and detail how the matching support, from each source, will be used (e.g., salary and position supported). Additionally, all pledge agreements must be included as a PDF attachment in Field K as well.

The value of applicant contributions to the project shall be established in accordance with the applicable cost principles. Applicants should refer to OMB Circulars A-21, Cost Principles for Educational Institutions; A-87, Cost Principles for State, Local, and Tribal Governments; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (OMB Circular A110); for further guidance and other requirements relating to allowable costs.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Federal funding is distributed according to an administrative formula described in the Formula Grant Opportunity (FGO). See Appendix A of the FGO for specific allocations.

NIFA CSRS retirement allocations must be used to support CSRS retirement costs for former Schedule A Appointments.

## Cost Sharing or Matching

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. 343(e)(1) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work. However, section 3(e)(4) of the Smith-Lever Act (U.S.C. 343(e)(4) provides that Effective beginning for fiscal year 2003, in lieu of the matching funds requirements of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Federal funds are distributed according to an administrative formula described in the Formula Grant Opportunity (FGO). See Appendix A of the FGO for specific allocations.

## Cost Sharing or Matching

Section 3(e)(1) of the Smith-Lever Act (7 U.S.C. 343(e)(1) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for cooperative extension work. However, section 3(e)(4) of the Smith-Lever Act (U.S.C. 343(e)(4) provides that Effective beginning for fiscal year 2003, in lieu of the matching funds requirements of paragraph (1), the insular areas of [American Samoa,] the Commonwealth of Puerto Rico, Guam, [Micronesia, the Northern Marianas Islands,] and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than 50 percent of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. The Secretary may waive the matching fund requirement [of 50 percent] for any fiscal year if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC  
There is no matching requirement for these funds.

## 2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

The 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University, are eligible for funds appropriated under this Act according to the following formula: Any funds annually appropriated under NARETPA section 1444 up to the amount appropriated for the fiscal year ending September 30, 1978, pursuant to section 3(d) of the Act of May 8, 1914, as amended, for eligible institutions, will be allocated among the eligible institutions in the same proportion as funds appropriated under section 3(d) of the Act of May 8, 1914, as amended, for the fiscal year ending September 30, 1978, are allocated among the eligible institutions. Of the funds in excess of that amount, 20 per cent will be allotted among the eligible institutions in equal proportions; 40 per cent will be allotted among the eligible institutions in the proportion that the rural population of the State in which each eligible institution is located bears to the total rural population of all the States in which eligible institutions are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated; and the balance will be allotted among the eligible institutions in the proportion that the farm population of the State in which each eligible institution is located bears to the total farm population of all the States in which the eligible institutions are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated. For purposes of computing the distribution, the allotments to Tuskegee University and Alabama A&M University will be determined as if each institution were in a

separate State.

## Cost Sharing or Matching

NARETPA section 1449 (7 U.S.C. 3222d) states that the State shall provide matching funds from non-Federal sources. Such matching funds shall be for an amount equal to not less than ... 100 percent of the formula [grant] funds to be distributed to the eligible institution for fiscal year 2007 and each fiscal year thereafter. ... Notwithstanding [redistributing the funds], the Secretary may waive the matching funds requirement ... above the 50 percent level for any fiscal year for an eligible institution of a State if the Secretary determines that the State will be unlikely to satisfy the matching requirement.

7 CFR 3419.1 defines matching funds as funds from non-Federal sources made available by the State to the eligible institutions ... [for] programs or activities that fall within the purposes of agricultural research and cooperative extension under sections 1444 and 1445 of NARETPA ... or [for] qualifying educational activities. Matching funds means cash contributions and excludes in-kind matching contributions. It defines non-Federal sources as funds made available by the State to the eligible institution either through direct appropriation or under any authority (other than authority to charge tuition and fees paid by students) provided by a State to an eligible institution to raise revenue, such as gift acceptance authority or user fees. Finally, it defines qualifying educational activities as programs that address food and agricultural sciences components of an eligible institution.

7 CFR 3419.6 states that The required matching funds for the formula programs shall be used by an eligible institution for agricultural research and extension activities that have been approved in the plan of work required under sections 1444(d) and 1445(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977... or for .. qualifying education activities.

## 3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

Section 7116 of the Food, Conservation, and Energy Act of 2008 (FCEA) amended Section 1425 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3175) to accomplish the following:

Notwithstanding section 3(d) of the Smith-Lever Act of May 8, 1914 (7 U.S.C. 343(d)) for administration, technical, and other services for coordinating the extension work of the Department and the several States, Territories, and possessions the remainder shall be allocated among the States as follows:

1. 1862 Institutions shall receive a base in an amount equaling their FY 1981 allocation.
2. Four percent (4%) shall be available for administrative expenses.
3. \$100,000 will be distributed to each 1862 and 1890 Land-Grant Institution including the University of the District of Columbia.
4. For fiscal year (FY) 2009 10 percent of funds appropriated for EFNEP in excess of funds appropriated in FY 2007 will be allocated to the 1890 Institutions in an amount that bearing the same ratio to the population living at or below 125 percent of the poverty level (as prescribed by the Office of Management and Budget and as adjusted pursuant to section 673(2) of the Community Services Block Grant Act (42 U.S.C.9902(2))) in the State where the 1890 Institution is located; bears to the total population living at or below 125 percent of the poverty level in all States where 1890 Institutions are located; as determined by the most recent decennial census at the time when the appropriated amount first exceeds levels appropriated for EFNEP in FY 2007. This FY 2009 rate of 10 percent is to increase by 1 percentage point annually until FY 2014 maxing out at 15 percent and remaining at that level for every year thereafter.
5. The remainder will be allocated to each 1862 Land-Grant Institutions in an amount that bears the same ratio to the total amount allocated as the population living at or below 125 percent of the poverty level in the State; bears to the total

population living at or below 125 percent of poverty level in all States; as determined by the most recent decennial census at the time at which each such additional amount is first appropriated.

**Cost Sharing or Matching**

There is no cost-sharing or matching requirement for these funds.

**(b) Youth at Risk**

Pertinent details will be provided at a future date.

**(c) Improve Rural Quality of Life**

Pertinent details will be provided at a future date.

**(d) Farm Safety**

Pertinent details will be provided at a future date.

**(e) New Technologies at Ag Extension**

Pertinent details will be provided at a future date.

**(f) Pest Management**

Pertinent details will be provided at a future date.

**(g) Sustainable Agriculture (SARE-PD)**

Pertinent details will be provided at a future date.

**(h) Federally Recognized Tribes**

Pertinent details will be provided at a future date.

**(i) Youth Farm Safety Education & Certification**

Pertinent details will be provided at a future date.

**(j) EIPM Support**

Pertinent details will be provided at a future date.

**(k) EIPM Coordination**

Pertinent details will be provided at a future date.

**4. OTHER EXTENSION ACTIVITIES:**

**(a) Renewable Resources Extension Act**

The majority of the appropriated funds are distributed to eligible institutions based on a formula that considers the geographic extent, ecosystem productivity, economic contribution, and population for each state. Since FY 2002, a small amount of these funds have been used to fund National Focus Fund Projects.

NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. Section 7132 of the Food, Conservation, and Energy Act amended section 1462 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310), increasing the limit on recovery of indirect costs from 20 percent to 22 percent of total Federal funds provided under the award.

Therefore, the recovery of indirect costs on awards made by NIFA under this program area may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**(b) Rural Health and Safety**

The Rural Health and Safety Education Competitive Grants Program provides funds to meet national goals for addressing the health and access needs of rural Americans.

NIFA does not require matching or cost sharing support for this program and matching resources will not be factored into the review process as evaluation criteria.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act amended section 1462

of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310), increasing the limit on recovery of indirect costs from 20 percent to 22 percent of total Federal funds provided under the award.

Therefore, the recovery of indirect costs on awards made by NIFA under this program area may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**(c) Extension Services at the 1994 Institutions**

Appropriated funds are to be awarded to the 1994 Land-Grant Institutions for Extension work and funds are to be distributed on the basis of a competitive application process.

NIFA does not require matching support for this program, and matching resources will not be factored into the review process as evaluation criteria.

Under the TCEP, the use of grant funds to plan, acquire, or construct a building or facility, or to acquire land, is not allowed. With prior approval, in accordance with the cost principles set forth in OMB Circular No. A-21, grant funds may be used to purchase equipment, or for improvements, alterations, renovations, or repairs to land, buildings, or equipment, deemed necessary to retrofit existing spaces and resources in order to carry out a funded project under this grant. However, requests to use grant funds for such purposes must demonstrate that such expenditures are incidental to the major purpose for which the grant request is made and no more than twenty-five percent of the project budget may be used to purchase equipment. Any equipment purchased with Federal funds is the property of the grantee or the subgrantee, as appropriate.

Indirect costs are unallowable costs, and no funds will be approved for this purpose. Costs that are a part of the institutions indirect cost pool may not be reclassified as direct costs for the purpose of making them allowable.

**(d) Grants to Youth Serving Institutions**

Title IV of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7630) authorized the Secretary of Agriculture to make grants to the Girl Scouts of the United States of America (GSUSA), the Boy Scouts of America (BSA), the National 4-H Council (4-H Council), and the National FFA Organization (FFA). Section 7309 of the Food, Conservation, and Energy Act (FCEA) of 2008 reauthorized 7 U.S.C. 7630, which was also amended to provide additional flexibility in content delivery to each organization receiving funds and to allow recipients to redistribute all or part of the funds to individual councils or local chapters without further need of approval from the Secretary. In FY 2009, Terms and Conditions of these awards should facilitate the redistribution without further need of approval. The Omnibus Appropriations Act, 2009 (Pub. L. 111-8) appropriates funds under Division A, Title I for grants to youth organizations pursuant to 7 U.S.C. 7630.

There are no matching requirements associated with the Rural Youth Development program, and matching resources will not be factored into the review process as evaluation criteria.

NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of facility space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agriculture Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded. If no rate has been established the applicant may indicate "Nonewill negotiate" and a reasonable dollar amount for indirect costs may be requested, which will be subject to approval by USDA. In the latter case, if a proposal is recommended for funding, an indirect cost rate proposal must be submitted prior to award to support the amount of indirect costs requested. NIFA will request an indirect cost rate proposal and provide instructions, as necessary. An applicant may elect not to charge indirect costs and, instead, use all grant funds for direct costs. If indirect costs are not

charged, the phrase "None requested" should be written in this space.

(e) Food Animal Residue Avoidance Database Program (FARAD)  
Pursuant to Sec. 604 of the Agricultural research extension and Education Reform Act of 1998 [7 USC 7642(d)], applicants requesting recovery of indirect costs should limit their requests to the lesser of their institutions official negotiated indirect costs rate or the equivalent of 19 percent of total Federal funds awarded.

(f) Federal Administration (DIRECT APPROPRIATION)  
Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)  
NIFA assessed four percent (4%) of the appropriated amount for Federal Administration, distributed sixty percent (60%) of the balance equally, and distributed the remaining forty percent (40%) based on the formula found in Section 1444 of NAREPTA of 1977, as amended (Pub. L. No. 95-113).  
Within each institution, the research, teaching and extension programs must each receive at least 20 percent of the annual allocation. The remaining 40 percent may be allocated based on institutional needs for research, teaching, or extension. No more than 60 percent of the total allocation should be directed to research, teaching, or extension. However, if there are unique situations in your institution which warrant a deviation from these guidelines, we will consider requests for reallocation. Such reallocations must be justified by the submission of a situation statement which describes the research, teaching, and extension facilities needs in your institution and how previously available Federal funds were utilized.

NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. The obligation and expenditure of funds awarded under these grants are limited to equipment, land, buildings and other related costs which are or will be used in the administration and conduct of approved research, teaching and extension activities. In accordance with NAREPTA Section 1447 (e), funds provided for this program may not be used for the payment of any overhead costs of the eligible institutions.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

(See RFA or FGO: Part II.A. Available Funding; also can be posted in other sections of the RFA/FGO)

#### **1. SMITH-LEVER 3(b) & (c):**

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Funds will be distributed to the institutions on a quarterly basis. See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocation.

Funds appropriated under sections 3(b) and 3(c) of the Smith-Lever Act are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to four years after the end of the year for which they were appropriated.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)  
Special Needs funds are expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to four years after the end of the year for which they were appropriated.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)  
Special Needs projects have typically ranged from \$30,000 to \$120,000 in award size, however, the amount requested may vary depending on the urgency of the need(s) needs being addressed by the proposed project. Special Needs Program encourages applications that specifically address one or more of the following six key target areas:

1. Education and Technical assistance applications may be for project periods of up to 5 years;

2. Collaboration applications may be for project periods of up to 5 years;

3. Long range family, community and regional planning applications may be for project periods of up to 5 years;

4. Communication delivery applications may be for project periods of up to 5 years;

5. Dissemination of credible, science-based information applications may be for project periods of up to 5 years; and

6. Integrated Research and Extension Planning Projects applications may be for project periods of up to 1 year with proposed budgets not to exceed \$15,000 per proposal.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

CSRS Retirement Contributions Program funds are expected to be fully expended in the fiscal year of appropriation; however, funds allocated may be carried over for up to four years from the year end for which they were appropriated.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

FERS Retirement Contributions Program funds are expected to be fully expended in the fiscal year of appropriation; however, funds allocated may be carried over for up to four years from the year end for which they were appropriated.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC  
DCPPERA funds are expected to be fully expended in the fiscal year of appropriation; however funds may be carried over for up to four (4) years after the end of the year for which they were appropriated.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)  
Section 1444 Program funds are expected to be fully expended in the fiscal year of appropriation; however, no more than 20 per cent of the funds received by an institution in any fiscal year may be carried forward to the succeeding fiscal year. No prior approval from NIFA is required. Since these limitations are legislatively mandated, NIFA is not authorized to approve any carryover requests beyond the 20 percent and one-year limitations.

#### **3. SMITH-LEVER 3(d):**

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

EFNEP funds are expected to be fully expended in the fiscal year of appropriation; however funds may be carried over for up to four (4) years after the end of the year for which they were appropriated.

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life

Pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes  
Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification  
Pertinent details will be provided at a future date.

(j) EIPM Support  
Pertinent details will be provided at a future date.

(k) EIPM Coordination  
Pertinent details will be provided at a future date.

#### 4. OTHER EXTENSION ACTIVITIES:

##### (a) Renewable Resources Extension Act

The project period ranges from 18-24 months, and may be extended by NIFA without additional financial support for such additional period(s) as the ADO determines may be necessary to complete or fulfill the purposes of an approved project. In no case shall the total project period exceed five years. Any extension of time shall be conditioned upon prior request by the awardee and approval in writing by the ADO, unless prescribed otherwise in the terms and conditions of award.

##### (b) Rural Health and Safety

The project period shall not exceed 1 year. Project period may be extended by NIFA without additional financial support for such additional period(s) as the ADO determines may be necessary to complete or fulfill the purposes of an approved project. In no case shall the total project period exceed five years. Any extension of time shall be conditioned upon prior request by the awardee and approval in writing by the ADO, unless prescribed otherwise in the terms and conditions of award.

##### (c) Extension Services at the 1994 Institutions

Continuation grants to Increase Extension Program Capacity may be funded for up to four years for competitively-selected proposals, one from each eligible institutions. Applicants may request up to \$85,000 for each year of funding requested. Funding is awarded on an annual basis (within that specified time period) and subject to the availability of annual appropriations and satisfactory progress of the project.

All 1994 Institutions are invited to submit applications under the Extension Special Emphasis Project type. There is no limit to the number of applications a 1994 Institution, or a consortium of 1994 Institutions, may submit under the Extension Special Emphasis Project type. Each application submitted by a single institution or multiple institutions may request up to \$100,000. The project period may not exceed three years. These will not be awarded as continuation grants.

##### (d) Grants to Youth Serving Institutions

A proposal may request a grant for a duration of 18 months. The project period may be extended by NIFA without additional financial support, for such additional period(s) as the ADO determines may be necessary to complete or fulfill the purposes of an approved project, but in no case shall the total project period exceed five years. Any extension of time shall be conditioned upon prior request by the awardee and approval in writing by the ADO, unless prescribed otherwise in the terms and conditions of award.

##### (e) Food Animal Residue Avoidance Database Program (FARAD)

The term of the contract, grant or cooperative agreement shall be three (3) years, with options to extend the term triennially.

(f) Federal Administration (DIRECT APPROPRIATION)  
Pertinent details will be provided at a future date.

##### (g) 1890 Facilities (Section 1447)

This RFA is for renewal applications only. Eligible applicants must submit a renewal application. This is a project application that requests additional funding to continue the project that was approved in an original or amended award. Applicants should request funding for an additional year at the amount for their eligible organization.

Section 1447 of NARETPA of 1977 [7 U.S.C. 3222b] designates distribution of these funds. The program was reauthorized through FY 2012 by Section 7123 of FCEA (Pub. L. 110-246).

Future funding will be strictly subject to new appropriations. Method of awarding/releasing assistance: by letter of credit.

#### Reports:

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

##### 1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

The Plan of Work Update and Annual Report of Accomplishments and Results were due by April 1, and should have been submitted online at the web address: <http://pow.nifa.usda.gov>.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Financial reporting via the SF-425, Federal Financial Report is due to the Formula Grants Branch, Awards Management Division (AMD) of the Office of Grants and Financial Management (OGFM) on April 1st of each year until the formula grant is closed.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

The Plan of Work Update and Annual Report of Accomplishments and Results were due April 1, and should have been submitted online at the web address: <http://pow.nifa.usda.gov>.

Financial reporting via the SF-425, Federal Financial Report is due to the Formula Grants Branch, Awards Management Division (AMD) of the Office of Grants and Financial Management (OGFM) on April 1st of each year until the formula grant is closed.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects)

(NOTE: Expected Outcomes and Reporting Requirements are NOT reflected in the RFA. Hence, standard reporting will be utilized.)

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Financial reporting via the SF-425, Federal Financial Report is due to the Formula Grants Branch, Awards Management Division (AMD) of the Office of Grants and Financial Management (OGFM) on April 1st of each year until the formula grant is closed.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Financial reporting via the SF-425, Federal Financial Report is due to the Formula Grants Branch, Awards Management Division (AMD) of the Office of Grants and Financial Management (OGFM) on April 1st of each year until the formula grant is closed.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC.

The Plan of Work Update and Annual Report of Accomplishments and Results must be submitted by April 1, online at the web address:  
<http://pow.nifa.usda.gov>.

Form NIFA-REPT (Revised) Supplement to Annual Report of Accomplishments and Results, Multistate Extension Activities and Integrated Activities, should have been submitted to the OEP Formula Grants Section by April 1, for each fiscal year (FY).

Financial reporting via the SF-425, Federal Financial Report is due to the Formula Grants Branch, Awards Management Division (AMD) of the Office of Grants and Financial Management (OGFM) on April 1st of each year until the formula grant is closed.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

The Plan of Work Update and Annual Report of Accomplishments and Results should have been submitted by April 1, 2009 online at the web address:  
<http://pow.nifa.usda.gov>.

Financial reporting via the SF-425, Federal Financial Report is due to the Formula Grants Branch, Awards Management Division (AMD) of the Office of Grants and Financial Management (OGFM) on April 1st of each year until the formula grant is closed.

3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

States must provide a state program report, using the State Reporting System version 5 (SRS5) which was due November 1.

Financial reporting via the SF-425, Federal Financial Report is due to the Formula Grants Branch, Awards Management Division (AMD) of the Office of Grants and Financial Management (OGFM) on April 1st of each year until the formula grant is closed.

(b) Youth at Risk  
Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life  
Pertinent details will be provided at a future date.

(d) Farm Safety  
Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension  
Pertinent details will be provided at a future date.

(f) Pest Management  
Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)  
Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes  
Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification  
Pertinent details will be provided at a future date.

(j) EIPM Support  
Pertinent details will be provided at a future date.

(k) EIPM Coordination  
Pertinent details will be provided at a future date.

#### 4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Additionally, when the project is complete, the grantee is required to submit a Final Technical Report to the NIFA National Program Leaders, Renewable Resources Extension Act. The Final Technical Report should summarize all work conducted and detail the outcomes, accomplishments and outputs of the funded project. This report should not exceed 15 single-spaced, typed pages.

At a minimum, Project Directors are expected to attend and present their projects and accomplishments as submitted papers to the appropriate Biennial Conference of the Association of Natural Resources Extension Professionals (ANREP). Additional conference presentations may also be utilized, but not substituted for the ANREP Conference without submitting a specific request to do so to the Program Contact.

Additional annual reports may be requested to provide timely information for the Secretary of Agriculture and Congress. The agency contact below will request additional reports as needed.

(b) Rural Health and Safety

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

(c) Extension Services at the 1994 Institutions

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Project Directors are required to attend a NIFA Project Directors' meeting and/or the NIFA Administrative Officers Meeting at least once during the duration of the project. Reasonable travel expenses for such annual NIFA Project Director Meeting and/or NIFA Administrative Officers Meeting should be included as part of the project budget.

Annual Performance Report

In the case of Increase Extension Program Capacity continuation grants, annual performance reports are due 90 days prior to the anniversary date of the award and should be submitted to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Annual performance reports must include the following information: (a) a comparison of actual accomplishments with the goals established for the reporting period (where the output of the project can be expressed readily in numbers, a computation of the cost per unit of output should be submitted, if the information is considered useful); (b) if established goals were not met, the reasons; and (c) additional pertinent information including, when appropriate, analysis and explanation of cost overruns or unexpectedly high unit costs.

Final Technical Report

A final technical report must be submitted within 90 days after the expiration



date of the project to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

The expiration date is specified in the award documents and modifications thereto, if any. Generally, the final technical report should be a summary of the completed project, including: (a) a review of project objectives and accomplishments; (b) a description of outcomes resulting from the project and activities undertaken to disseminate these outcomes; (c) an explanation of partnerships and collaborative ventures that resulted from the project, including future initiatives that are planned as a result of the project; (d) a description of the projects impact on the PD(s), the institution(s) involved, and the community; and (e) any pertinent data on project personnel and beneficiaries. The final technical report also must contain any other information specified in the terms and conditions of the award.

(d) Grants to Youth Serving Institutions

Previously funded Rural Youth Development applicants must prepare an annual report to NIFA that details all significant activities towards achieving the outputs and outcomes of the project as supported by evaluation methodologies. Provide tables, graphs and figures to facilitate comparing targeted results with actual results. Include success stories and pictures. Reports should include sections that will report:

Outcomes for youth, adults and community stakeholders as indicated in the Rural Youth Development program Logic Model (See RFA) and other organization specific outcomes.

Location of funded projects (could be shown on a map of the United States).

Summarized outputs of participants and programs as contained in the Output Measures Report that was developed and used by funded organizations

Examples (program descriptions) of community capital built in one or more areas of human, social, civic, natural, built (infrastructures), financial, and cultural. Information can be used from the Community Action report that was developed and used by the funded organizations.

Anecdotal quotes from participants and supporting information.

Summary reports shall be by year and cumulative.

At the end of the grantee's final year, the grantee must prepare a final report to NIFA that summarizes all significant activities towards achieving the outcomes of the project, while providing final population demographics and trends in the evaluation results. Final reports should include the same bulleted information shown immediately above. Provide tables, graphs, pictures, and other figures to facilitate comparing targeted results with actual results, aggregated for the entire project. List all educational materials produced by the project. Include success stories. Reports must be received within 90 days of the termination of the award.

Projects shall submit program results to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

(e) Food Animal Residue Avoidance Database Program (FARAD)

Grantees are required to submit an analysis of program strengths and opportunities in meeting national food safety priorities, and steps to be taken, if any, to strengthen program planning and execution.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

(f) Federal Administration (DIRECT APPROPRIATION)

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447)

NIFA expects the awarded funds to be used for the acquisition and improvement of agricultural and food sciences facilities and equipment, including libraries, so that the 1890 land-grant institutions, including Tuskegee University and West Virginia State University, may participate fully in human capital development in the food and agricultural sciences.

1) Performance Reports:

Awardees of Federal funds are responsible for monitoring day-to-day project performance to ensure that project goals and performance schedules are met, contain costs, and accurately report progress to NIFA. An annual performance report is due in NIFA 90 days after completion of the first 12 months of the initial grant award and annually thereafter during the project period. Please report all work performed during the previous 12-month period, including any funded or unfunded time extensions. The performance report is to be submitted through NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The report is described below and should not exceed five (5) pages in length and shall include the following information:

A comparison of actual accomplishments against the goals and/or objectives established for the facilities program during the reporting period, including relevant percentage-of-completion data and a computation of square footage costs for all projects undertaken;

The reason for slippage if approved goals were not met;

Include additional pertinent information including for example, analysis and explanation of cost overruns or unexpectedly high unit costs. Report and explain any favorable or adverse conditions, changes, or situations which are expected to impact the scope, size, cost, or completion schedule for the project, along with a discussion of proposed or actual actions taken by your institution to resolve any problems encountered;

In subsequent years, if the proposal represents any changes to your approved Five-Year Plan, please provide a description of, and justification for, the change so that our records can be updated;

A summary of activities to be undertaken during the next 12-month period;

A listing of architectural, engineering, and construction contracts entered into during this reporting period only for each program component in the format provided in the RFA and/or FGO.

2) Additional Performance Report Emphasis:

Additionally, performance reports should include the following:

A. New Facilities Constructed:

1. Facility Name, Cost, Square Footage, and Funds Leveraged if any
2. Facility Uses for Teaching, Research and Extension
3. Narrative of Programs Supported and Emphasis Areas
4. Photographs

B. Facilities Renovated

1. Facility Name, cost
2. Facility Uses for Teaching, Research, and Extension
3. Narrative of Programs Supported and Emphasis Areas
4. Photographs

C. Major Land Purchases

1. Size and Cost
2. Facility Uses for Teaching, Research, and Extension
3. Photographs of Any Farm Activities

D. Major Laboratory, and Farm Equipment and Miscellaneous  
E. Impact

1. Describe how the facilities program for FY 2008 impacted the programs in food and agricultural sciences (Teaching, Research, and Extension).

3). NIFA's Web-based Inventory System Reports:

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based

inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986

**FOR FORMULA GRANTS:**

Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Grants Branch  
Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2298  
1400 Independence Avenue, SW  
Washington, DC 20250-2298

Telephone: (202) 401-6520  
Fax: (202) 690-3002

E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Project Grants) FY 10 \$297,465,000; FY 11 est \$285,897,060; and FY 12 est \$274,875,400 - CFDA Funds include FORMULA APPORTIONMENTS AND

PROJECT GRANTS. However, CFDA system only allowed one (1) option to be selected.

The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO).

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Specific details will be provided by Program at a future date.  
Fiscal Year 2011: Specific details will be provided by Program at a future date.  
Fiscal Year 2012: Specific details will be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-Formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR 3052 - Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader for Various Programs (Numerous Individuals) 1400 Independence Avenue, SW, STOP 2210., Washington , District of Columbia 20250-2210 Phone: (202) 401-4555 and 205-5952 and

**Website Address:**

<http://www.nifa.usda.gov/>

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.025 Plant and Animal Disease, Pest Control, and Animal Care; 10.053 Dairy Indemnity Program; 10.153 Market News; 10.155 Marketing Agreements and Orders; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.477 Meat, Poultry, and Egg Products Inspection; 10.652 Forestry Research; 10.902 Soil and Water Conservation; 15.611 Wildlife Restoration; 23.009 Appalachian Local Development District Assistance; 93.103 Food and Drug Administration\_Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Specific details will be provided by Program at a future date.  
Fiscal Year 2011: Specific details will be provided by Program at a future date.  
Fiscal Year 2012: It is anticipated that similar projects will be funded in FY 2012.

Specific details will be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA) or Formula Grant Opportunity (FGO).

**10.551 SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM  
SNAP**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Food and Nutrition Act of 1977, as amended, Public Law 95- 113, 91 Stat. 958,

7 U.S.C. 2011 et seq.; Public Law 95-348, Public Law 96-58, Public Law 96-249, Public Law 97-35; Public Law 97-98; Public Law 97-253, Public Law 98-204, Public Law 98-369; Public Law 99-198, Public Law 99-425; Public Law 99-498, Public Law 99-603, Public Law 100-77, Public Law 100-175, Public Law 100-232, Public Law 100-387, Public Law 100-435, Public Law 100-503, Public Law 100-707, Public Law 101-202; Public Law 101-392; Public Law 101-508; Public Law 101-624; Public Law 102-237; Public Law 102-265; Public Law 102-325; Public Law 103-31; Public Law 103-66; Public Law 103-225; Public Law 103-286; Public Law 103-296; Public Law 104-66; Public Law 104-127; Public Law 104-193; Public Law 104-208; Public Law 105-18; Public Law 105-33; Public Law 105-185; Public Law 105-379; Public Law 106-171; Public Law 106-387; Public Law 107-171; Public Law 110-161; Public Law 110-246; American Recovery Act and Reinvestment Act of 2009, Public Law 111-5; Healthy Hunger Free Kids Act, Public Law 111-296.

**OBJECTIVES:**

Increase the food budgets of low-income households through the provision of benefits for the purchase of nutritious food at authorized food retailers.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Households receive Supplemental Nutrition Assistance Program (SNAP) benefits for the purchase of food at authorized retailers using debit cards. The amount of benefits varies according to household size, expenses, and income. Recipients may purchase only food with their benefits and only from authorized retailers.

**Applicant Eligibility:**

SNAP is a Federal program administered by the States. The State or U.S. Territory agency responsible for Federally aided public assistance programs submits requests for funding to USDA's Food and Nutrition Service.

**Beneficiary Eligibility:**

Applications for SNAP are made through a local social services agency which determines eligibility and benefit amount. Eligibility is based on family size, income, and resources. A gross income test is based on 130 percent of the poverty line, and the net income (after expenses) test is based on 100 percent of the poverty line. Households with elderly and disabled members need only meet the net income test. The resource limit is \$2,000 (\$3,000 for a household with an elderly or disabled member). A total of 42 States use broad-based categorical eligibility which may have adjusted the resource limits and/or gross income limits. Able-bodied adults with certain limited exceptions must meet a work requirement. Eligibility is limited to citizens and, most but not all, immigrants granted permanent legal status.

**Credentials/Documentation:**

Eligibility is determined by local social service offices based on National eligibility standards. Households must provide verification of identity, income, and resources. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Food and Nutrition Act of 2008, as amended, requires each State agency to submit to the Food and Nutrition Service for approval, a plan of operation specifying the manner in which SNAP will be conducted in every political subdivision within the State.

**Award Procedure:**

The Secretary of Agriculture approves State plans of operation submitted by the State agency that operates public assistance programs.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Full implementation of the Nationwide mandate was completed in fiscal year

1975, except for certain Indian reservations which continued in the Food Distribution Program.

**Appeals:**

Other - Not Specified.

**Renewals:**

Program continues once approved, unless there is a substantial failure to comply with regulations or withdrawal on the part of the State.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Necessary, reasonable, and allowable administrative expenses by State agencies are reimbursed by the Federal government at approximately 50 percent.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of assistance period varies and time phasing is not applicable. See the following for information on how assistance is awarded/released: Monthly allotments are made available to eligible individuals and families through debit cards.

**Reports:**

Annual budget summary statements; monthly and annual quality control reports; quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; report of disqualified recipients; and cumulative totals for the fiscal year. Quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report are all required. Monthly and annual quality control reports; quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; report of disqualified recipients. Quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; and cumulative totals for the fiscal year. Monthly and annual quality control reports; quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; report of disqualified recipients; and cumulative totals for the fiscal year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Programs operated by the State or on behalf of the State are subject to audit by Office of Inspector General, USDA.

**Records:**

Records of households certified, benefits issued, and records relating to any financial transaction are required and must be maintained for 3 years.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Formula Grants) FY 10 \$54,386,581,749; FY 11 est \$61,823,965,000; and FY 12 est \$62,653,689,000 - Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act), the SNAP funding level for Federal Fiscal Year 10 has been increased by \$10,613,853,115.

Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2010, Public Law 111-5 (Recovery Act), the SNAP funding level for Federal Fiscal Year 11 has been increased by \$10,486,716,000 (estimate).

Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2011, Public Law 111-5 (Recovery Act), the SNAP

funding level for Federal Fiscal Year 12 is estimated to be increased by \$11,660,106,000.

**Range and Average of Financial Assistance:**

Varies by income and family size. The average benefit for a household of 4 in FY10 was \$289.61.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: SNAP served an average of 40.3 million people each month in FY10. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 271-282.

Additional publications may be available at [www.fns.usda.gov/snap](http://www.fns.usda.gov/snap).

**Regional or Local Office:**

See Regional Agency Offices. See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator Jessica Shahin, Supplemental Nutrition Assistance Program, Food and Nutrition Service, Department of Agriculture, 3101 Park Center Dr., Alexandria, Virginia 22302 Email: [Jessica.Shahin@fns.usda.gov](mailto:Jessica.Shahin@fns.usda.gov) Phone: (703) 305-2022. Fax: (703) 305-2454.

**Website Address:**

<http://www.fns.usda.gov/snap/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.553 SCHOOL BREAKFAST PROGRAM**

School Breakfast Program

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, 42 U.S.C. 1773, 1779, Public Laws 104-193, 100-435, 99-661, 97-35. American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To assist States in providing a nutritious nonprofit breakfast service for school children, through cash grants and food donations.

**TYPES OF ASSISTANCE:**

Formula Grants (Apportionments)

**USES AND USE RESTRICTIONS:**

Federally appropriated School Breakfast Program funds are available to reimburse participating public and nonprofit private schools, of high school grade and under and residential child care institutions, for breakfasts, meeting the nutritional requirements prescribed by the Secretary of Agriculture, served to eligible children. The rates of reimbursement are adjusted on an annual basis to reflect changes in the Food Away From Home series of the Consumer Price Index for all Urban Consumers. For the period July 1, 2011 through June 30, 2012, the rates of reimbursement are 27.0 cents for paid breakfasts, 121.0 cents for each reduced price breakfast, and 151.0 cents for each free breakfast. Schools serving 40 percent or more free and reduced price lunches in the second preceding school year get up to 150.0 cents and 180.0 cents for each breakfast served to children qualifying, respectively, for a reduced price and a free breakfast. All participating schools must agree to serve free and reduced price meals to eligible children, and to operate the program on a nonprofit basis for all children regardless of race, sex, color, National origin, age, or disability. School aged children receive one of three benefit levels based on an application used to determine need.

Please refer to Program Regulations (CFR)

Part 210 -- National School Lunch Program

Part 215 -- Special Milk Program

Part 220 -- School Breakfast Program

Part 235 -- State Administrative Expense

Part 245 -- Free and Reduced Price Eligibility.

**Applicant Eligibility:**

State and U.S. Territory agencies; (except territories subject to the requirements to the Compact of Free Association) public and nonprofit private schools of high school grade and under; public and nonprofit private residential child care institutions, except Job Corps Centers. Schools desiring to participate must agree to operate a nonprofit breakfast program that is available to all children regardless of race, sex, color, National origin, age, or disability.

**Beneficiary Eligibility:**

All children attending schools where the breakfast program is operating may participate. Breakfast is served free to children who are determined by local educational agencies to have household income levels at or below 130 percent, and at a reduced price to children from households with incomes higher than 130 but at or below 185 percent of the federal poverty line, respectively. Meals served to non-needy children also get cash assistance. Such determinations are made in accordance with income eligibility guidelines prescribed by the Secretary and cross reference household income with household size. The Secretary prescribes these income eligibility guidelines by July 1; the statistical source used in making such revisions is the Federal Income Poverty Guidelines. Children from households certified to receive Supplemental Nutrition Assistance Program (SNAP), the Food Distribution Program on Indian Reservations, Temporary Assistance for Needy Families and some children in Head Start Programs are automatically eligible for free meals. Homeless children, children in certain runaway and homeless youth grant programs, and migrant children are automatically eligible for free meals.

**Credentials/Documentation:**

Applicant organizations must furnish evidence of nonprofit status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Public schools in all States make application to the State Educational Agency unless the State applies or is approved for a waiver to designate an alternate agency. Appropriate forms may be obtained from this agency. Nonprofit private schools should also apply to the State Educational Agency in most States. In some States, however, the State Educational Agency is prohibited by statute from disbursing Federal funds to nonprofit private schools. In such instances, the application will be referred to the alternate State agency or the appropriate Food and Nutrition Service regional office.

**Award Procedure:**

When application is approved, schools make agreements with appropriate agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Agreements become effective upon approval by the State Agency or FNSRO, where applicable.

**Appeals:**

None. The State Agency or Food and Nutrition Service regional office, where applicable, is responsible for determining a school's eligibility.

**Renewals:**

Permanent, amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: Federal funds are made available for breakfast assistance in accordance with Section 4 of the Child Nutrition Act on a performance basis by: (1) multiplying the number of paid breakfasts served to eligible children during the fiscal year by a National Average Payment (NAP) prescribed by the Secretary; (2) multiplying the number of breakfasts served free to eligible children by a NAP prescribed by the Secretary for free breakfasts; and, (3) multiplying the number of reduced price breakfasts served to eligible children by a NAP prescribed by the Secretary for reduced-priced breakfasts. The amount of Federal funds given the grantee is the sum of the products obtained from these three computations, plus an additional 6 cents for every breakfast served. Schools with a high percentage of needy may receive additional payments. The statistical factors used in this formula are: (1) The NAP's; (2) the number of paid breakfasts served; and (3) the number of breakfasts served free or at reduced price to eligible children. The NAP's are prescribed by the Secretary and adjusted each July 1, in accordance with the Food Away From Home component of the Consumer Price Index for All Urban Consumers. The source of this adjustment factor is the Bureau of Labor Statistics. The source of the numbers of breakfasts served, including the number served free or at reduced price, is the monthly programmatic reports submitted to Food and Nutrition Service. This program has no maintenance of effort (MOE) requirements.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement on a fiscal-year basis. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

State Agencies, schools and institutions file monthly reports on the number of meals served, by type, to claim for reimbursement. Schools and institutions must submit final meal claims to the State no later than 60 days after claiming month. States must submit final program reports to Food and Nutrition Service no later than 90 days after the claiming month. No cash reports are required. No progress reports are required. States must submit a final fiscal year grant closeout report to the Food and Nutrition Service no later than 120 days after the end of the fiscal year to which they pertain. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Schools must maintain full and accurate records of the breakfast program. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, records shall be retained beyond the 3 year period until audit findings have been resolved.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 10 \$2,895,355,659; FY 11 est \$3,118,630,000; and FY 12 est \$3,337,699,000

**Range and Average of Financial Assistance:**

Federal cash assistance for school year 2010 ranged from 26.0 to 282.0 cents per meal depending on income levels of the individual participant and upon the number of free and reduced price meals served by the school. Individual State grants vary according to participation in the program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations 7 CFR Part 220-School Breakfast Program regulations, 7 CFR Part 245-Determining Eligibility for Free and Reduced Price Meals and Free Milk in Schools.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: (703) 305-2590.

**Website Address:**

<http://www.fns.usda.gov>

**RELATED PROGRAMS:**

10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children; 84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.555 NATIONAL SCHOOL LUNCH PROGRAM**

School Lunch Program

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, as amended, 42 U.S.C. 1751 1760, 1779;.

**OBJECTIVES:**

To assist States, through cash grants and food donations, in making the school lunch program available to school children and to encourage the domestic consumption of nutritious agricultural commodities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federally appropriated National School Lunch Program funds are available to each State agency to reimburse participating public and nonprofit private schools, of high school grades or under, including residential child care institutions, for lunches meeting the nutritional requirements prescribed by the Secretary of Agriculture, served to eligible children. Schools meeting eligibility criteria may be reimbursed for snacks served to children enrolled in eligible after school hour care programs. Participating schools are reimbursed at rates that are adjusted on an annual basis to reflect changes in the Food Away From Home series of the Consumer Price Index for All Urban Consumers. For the period July 1, 2011, through June 30, 2012, the rates of reimbursement are 26.00 cents general cash assistance for paid lunches, 237.00 cents reduced price lunches and 27700 cents for each free lunch. The maximum reduced price charge for lunch is 40 cents. Schools that served 60 percent or more free or reduced price lunches in the second preceding school year received an additional 2 cents general cash assistance for all lunches served. The reimbursement for snacks in after school care programs is 7600 cents for each free snacks, 3800 cents for each reduced price snack and 700 cents for each paid snack. In addition to cash reimbursement, the national average value of donated commodities for each lunch is 22.25 cents, for the period July 1, 2011, through June 30, 2012, and is adjusted annually to reflect changes in the Price Index for Food Used in Schools and Institutions. All participating schools must agree to serve free and reduced price meals to eligible children. Refer to Program Regulations (CFR)  
Part 210 -- National School Lunch Program  
Part 215 -- Special Milk Program

Part 220 -- School Breakfast Program  
Part 235 -- State Administrative Expense  
Part 245 -- Free and Reduced Price Eligibility.

**Applicant Eligibility:**

State and U.S. Territory agencies (except territories subject to the Compact of Free Association), public and nonprofit private schools of high school grade and under; public and nonprofit private residential child care institutions, except Job Corps Centers, residential summer camps that participate in the Summer Food Service Program for children and private foster homes. Schools and residential child care institutions desiring to participate must agree to operate a nonprofit food service that is available to all children regardless of race, sex, color, National origin, age, or disability.

American Recovery Act and Reinvestment Act of 2009, Public Law 111-5 funds are available for certain equipment purchases. Those wishing to access these funds may do so under program 10.579, Child Nutrition Discretionary Grants.

**Beneficiary Eligibility:**

All children enrolled in schools where the lunch program is operating may participate. Lunch is served free to children who are determined by local educational agencies to have household income levels at or below 130 percent of poverty, and at a reduced price to children from households with incomes higher than 130 but at or below 185 percent of the poverty line respectively. Such determinations are made in accordance with income eligibility guidelines prescribed by the Secretary and cross reference household income with household size. The Secretary announces these income eligibility guidelines by July 1. The statistical source used in making such revisions is the Federal Income Poverty Guidelines. Children from households certified to receive Supplemental Nutrition Assistance Program (SNAP) benefits, the Food Distribution Program on Indian Reservations, Temporary Assistance for Needy Families and some children in Head Start Programs are automatically eligible for free meals. Homeless children, children in certain runaway and homeless youth grant programs, migrant children and foster children are also automatically eligible for free meals.

**Credentials/Documentation:**

Applicant organizations must furnish evidence of nonprofit status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The application forms as furnished by FNS or the State agency, as applicable, must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Public schools in all States make application to the State educational agency unless the State applies and is approved for a waiver to designate an alternate agency. Appropriate forms may be obtained from this agency. Nonprofit private schools should also apply to the State educational agency in most States. In some States, however, the State educational agency is prohibited by statute from disbursing Federal funds to nonprofit private schools. In such instances, the application should be submitted to the alternate State agency or the appropriate Food and Nutrition Service regional office.

**Award Procedure:**

The State agency, or Food and Nutrition Service Regional Office (FNSRO) where applicable, reviews the written application of a school or a residential child care institution and, upon determination of eligibility, makes a written agreement with the school or institution for participation in the program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time Agreements become effective upon approval by the State agency or FNSRO, where applicable.

**Appeals:**

The State agency or FNSRO, where applicable, is responsible for determining a school's eligibility.

**Renewals:**

Permanent, amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: The funding formula for the general cash for food assistance phase of the program is set forth in Section 4 of the National School Lunch Act, as amended; the formula for special cash assistance is described in Section 11 of the Act. The program is funded on a performance basis. For every lunch served during the applicable fiscal year, the State receives a payment from funds made available under Section 4. In addition, the State receives a payment from Section 11 funds for each lunch served to a child eligible for free or reduced price lunches. The amounts of such per-lunch payments are determined by "National Average Payment" (NAP) factors. The amount due the State under this program is obtained by: (1) multiplying the total number of eligible paid lunches and free and reduced price lunches served during the fiscal year by the Section 4 NAP factor for lunches; (2) multiplying the number of free lunches served by the Section 11 NAP factor for free lunches; (3) multiplying the number of lunches served at reduced price by the Section 11 NAP factor for reduced price lunches; (4) multiplying the total number of lunches served during the fiscal year in school food authorities which served 60 percent or more free or reduced price lunches in the second preceding school year by \$.02; and (5) adding together the four products obtained thereby. The NAP factors are prescribed by the Secretary in accordance with Sections 4 and 11, respectively, of the Act; the numbers of lunches are obtained from programmatic reports submitted to Food and Nutrition Service. In addition, the funding formula for snacks in after school care programs is described in Section 17 A of the Act. Section 11(a)(3) of the Act requires that the NAP factors be adjusted annually, according to changes in the Food Away From Home series of the Consumer Price Index for All Urban Consumers; the source is the Bureau of Labor Statistics. Each State must appropriate from State revenues and use, for program purposes, an amount equal to 30 percent of the Section 4 funds made available to the State in the 1980-81 school year. Also, commodity schools are eligible to receive donated commodities equal in value to the sum of section 6 and section 4 assistance rates, except that up to 5 cents of this amount may be received in cash for processing and handling commodities. In addition, commodity schools are eligible for Section 11 free and reduced price meal reimbursements.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement on a fiscal-year basis. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

State agencies and schools file monthly reports on the number of meals served, by type, to claim program funds. School food authorities must submit final meal claims to the State no later than 60 days after the claiming month, and States must submit final program reports to Food and Nutrition Service no later than 90 days after the claiming month. States must submit final fiscal year grant close out reports to Food and Nutrition Service within 120 days after the end of the fiscal year to which they pertain. No cash reports are required. No progress reports are required. States must submit final fiscal year grant close out reports to Food and Nutrition Service within 120 days after the end of the fiscal year to which they pertain. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133.

**Records:**

Schools must maintain full and accurate records of their lunch programs. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3 year period as long as required for the resolution of audit findings.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 10 \$9,947,829,916; FY 11 est \$10,713,047,000; and FY 12 est \$10,941,113,000

**Range and Average of Financial Assistance:**

State grants vary according to participation in the program. For school year 2011-2012, reimbursemenet for meals range from 7.0 cents for "paid" snacks to 475.00 cents for free lunches in Alaskan school districts serving more than 60 percent free and reduced price lunches.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, Food and Nutrition Service, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302 Email: Cindy.Long@fns.usda.gov Phone: (703) 305-2590.

**Website Address:**

<http://www.fns.usda.gov>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.556 Special Milk Program for Children; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children; 84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.556 SPECIAL MILK PROGRAM FOR CHILDREN****FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, 42 U.S.C. 1772 and 1779.

**OBJECTIVES:**

To provide subsidies to schools and institutions to encourage the consumption of fluid milk by children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are made available to State agencies to encourage the consumption of fluid milk by children in public and private nonprofit schools of high school grade and under, public and private nonprofit nursery schools, child-care centers, settlement houses, summer camps, and similar nonprofit institutions devoted to the care and training of children, except Job Corps Centers, provided that these schools and institutions do not participate in a meal service program authorized under the National School Lunch Act or the Child Nutrition Act of 1966. The Child Nutrition Amendments of 1986 expanded eligibility in the program to include children in split session kindergarten and pre-kindergarten programs in nonprofit schools and institutions who do not have access to the

Federal meal service program operating in schools the children attend. Disbursement to States is made on the basis of the number of half pints of milk served to non-needy children, using a reimbursement rate specified by law. Milk served free to eligible needy children is reimbursed at the average cost of a half pint of milk. Please refer to Program Regulations (CFR):

Part 215 -- Special Milk Program

Part 235 -- State Administrative Expense

Part 245 -- Free and Reduced Price Eligibility.

**Applicant Eligibility:**

Any State or U.S. Territory (except territories subject to the requirements of the Compact of Free Association). Any public and nonprofit private school of high school grade or under, and public and private nonprofit residential and nonresidential child care institutions, except Job Corps Centers, may participate in the Special Milk Program upon request if it does not participate in a meal service program authorized under the National School Lunch Act or the Child Nutrition Act of 1966. This generally includes nonprofit nursery schools, child-care centers, settlement houses and summer camps. Schools with split session kindergarten and pre-kindergarten programs can receive subsidies for milk served to children in the split session kindergartens and pre-kindergartens who do not have access to another meal service program operating in the school. All schools and child care institutions which participate must agree to operate the program on a nonprofit basis for all children without regard to race, sex, color, National origin, age or disability.

**Beneficiary Eligibility:**

All children enrolled in schools and institutions in which the Special Milk Program is in operation who do not have access to other Child Nutrition Programs, may participate in the program.

**Credentials/Documentation:**

Applicant organizations must furnish evidence of nonprofit status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Public schools in all States make application to the State educational agency unless the state applies and is approved a waiver to designate an alternate agency. Appropriate forms may be obtained from this agency. In most cases, nonprofit private schools and institutions also apply to the State educational agency. However, in some States, the State educational agency is prohibited by State statute from disbursing Federal funds to nonprofit private schools and institutions. In such instances, the application will be referred to the appropriate alternate State agency or the appropriate Food and Nutrition Service regional office (FNSRO).

**Award Procedure:**

The State agency or the FNSRO, where applicable, reviews the written application of school or child care institution and, upon determination of eligibility, makes a written agreement with school or sponsor for participation in the program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Agreements are effective upon approval of the State Agency or the FNSRO, where applicable.

**Appeals:**

None. State Agencies or the Food and Nutrition Service Regional Offices, where applicable, are responsible for determining eligibility of a school or

institution.

**Renewals:**

Permanent, amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: The reimbursement rate for each paid half pint of milk served to children with household income levels above 130 percent of the poverty line in schools and institutions that participate in the Special Milk Program during school year 2011-12 is 20.50 cents, and the reimbursement rate for each 1/2 pint of milk served free (in pricing programs with a free milk option) to children with household income levels at or below 130 percent of poverty is the average cost of 1/2 pint of milk. This rate is adjusted each school year to correspond to the change in the Producer Price Index for Fluid Milk Products published by the Bureau of Labor Statistics. The statistical factor used for beneficiary eligibility for free milk is 130 percent of the poverty line and the source is the Federal income poverty guidelines. There is no matching guideline. The cost of milk in excess of the Federal reimbursement must be borne by sources within the States (7 CFR Part 215). Disbursement to States is based on the number of half pints served to children. This program has no maintenance of effort (MOE) requirement.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement on a fiscal year basis. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

State agencies, schools and institutions file monthly reports on program operations to claim for reimbursement. Schools must submit final claims to the State agency no later than 60 days after the claiming month, and States must submit final program reports to Food and Nutrition Service no later than 90 days after the claiming month. For each fiscal year, States must submit final grant close out reports to the Food and Nutrition Service not later than 120 days after the close of the fiscal year to which they pertain. No cash reports are required. No progress reports are required. For each fiscal year, States must submit final grant close out reports to the Food and Nutrition Service not later than 120 days after the close of the fiscal year to which they pertain. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Schools and institutions must maintain full and accurate records of Special Milk Program operations. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain except that, if audit findings have not been resolved, the records shall be retained as long as required for their resolution. This program is subject to periodic audits.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 10 \$12,063,656; FY 11 est \$10,597,000; and FY 12 est \$13,069,000

**Range and Average of Financial Assistance:**

For fiscal year 2011 average Federal assistance is 20.50 cents for each half-pint of milk served to children with income levels above 130 percent of poverty. State grants vary according to participation in the program. Average Federal assistance for half-pints served free is 20.50 cents.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 215, "Special Milk Program for Children," and 7 CFR Part 245, "Determining Eligibility of Free and Reduced Price Meals and Free Milk in Schools."

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: (703) 305-2590.

**Website Address:**

<http://www.fns.usda.gov/cnd>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children; 84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.557 SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN**

WIC Program

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, Section 17, 42 U.S.C. 1786. Healthy, Hunger-Free Kids Act of 2010, Public Law 111-296, Public Law 111-111-296, 7 U.S.C 1746.

**OBJECTIVES:**

To provide low-income pregnant, breastfeeding and postpartum women, infants, and children to age five determined to be at nutritional risk, at no cost, supplemental nutritious foods, nutrition education, and referrals to health and social services.

In addition the following additional grants have been awarded:

WIC Concept Papers, 3 grants, \$73,983, (discretionary).

WIC Special Projects, 1 grant, \$354,750, (discretionary).

WIC Peer Counselling, 87 grants, \$69,840,000, (discretionary).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to State health departments or comparable agencies, Indian tribes, bands, or intertribal councils, or groups recognized by the Bureau of Indian Affairs, Department of the Interior, or the Indian Health Service of the Department of Health and Human Services. These agencies distribute funds to participating local public or nonprofit private health or welfare agencies. Funds are expended to pay for supplemental foods, nutrition education and health care referrals for participants, as well as specified nutrition services and administrative costs, including certification services. State agencies are provided Federal funds according to legislative and regulatory formulas. Only local agencies qualifying under State agency applications with formal agreements may operate WIC programs.

**Applicant Eligibility:**

A local agency is eligible to apply to deliver locally the services of the WIC Program, provided that: (1) it serves a population of low-income women, infants, and children at nutritional risk; and (2) it is a public or private nonprofit health or human service agency. All local agencies must apply through the responsible State, Indian Tribal Organization or U.S. Territory agency.

**Beneficiary Eligibility:**

Pregnant, breastfeeding and postpartum women, infants, and children up to 5 years of age are eligible if: (1) they are individually determined by a competent



professional to be in need of the special supplemental foods supplied by the program because of nutritional risk; and (2) meet an income standard, or receive or have certain family members that receive benefits under the Food Stamp, Medicaid or Temporary Assistance for Needy Families Programs. They must also reside in the State in which benefits are received.

**Credentials/Documentation:**

Individuals are certified as meeting an income standard, or as participating in certain other means-tested Federal programs. Certification regarding nutritional need for supplemental foods is determined by local level professionals. As of April 1999, all State agencies were using uniform criteria to determine nutrition risk. Costs are determined in accordance with OMB Circular No. A-87 for State and local governments. The State designated official responsible for ensuring that the program is operated in accordance with program requirements must sign the State Plan and Federal-State Agreement pursuant to program regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Local agencies and retailers must apply to the State agency in writing. Individual participants apply for WIC benefits at an approved local agency.

**Award Procedure:**

Funds are awarded by the Department on the basis of funding formulas to State agencies for distribution to approved local agencies subject to available funds.

**Deadlines:**

Aug 15, 2011 A State plan for the next fiscal year is required by August 15. Only substantive changes to the currently approved State plan must be submitted.

**Range of Approval/Disapproval Time:**

Approval determination is made within 30 days of submission of a completed plan or amendment.

**Appeals:**

Local agency or food vendor appeals: The State agency provides a hearing appeal procedure for a food vendor or local agency adversely affected by certain State or local agency actions. The adverse action may be postponed until a hearing decision is reached. Participant appeals: The State agency provides a hearing appeal procedure for any individual that receives a State or local agency action that results in a claim for repayment of the cash value of improperly issued benefits, denial of participation, or disqualification from the WIC Program.

**Renewals:**

The program is authorized through September 30, 2015; it presently operates under the authority of the Child Nutrition Act of 1966, as amended.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Part 246, Public Law Child Nutrition Act of 1966, as amended. Grants are allocated on the basis of formulas determined by the Department of Agriculture which allocate funds for food benefits, and nutrition services and administration costs.

This program has no matching requirements. No matching funds are required, but some States contribute nonfederal funds in support of a larger WIC Program in their State.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are released for the fiscal year using an electronic transfer system. State agencies may withdraw funds only as needed. Method of awarding/releasing assistance: quarterly.

**Reports:**

Monthly report of participation, value of food or food instruments issued. Operating expenses, and funds withdrawn from the Federal letter of credit. Monthly report of participation. Operating expenses, and funds withdrawn from the Federal letter of credit. Financial Management Reviews and Management Evaluations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Full and complete records concerning program operations including financial operations, food delivery systems, food instrument issuance and redemption, equipment purchases and inventory, certification, nutrition education, civil rights and fair hearing procedures.

**Account Identification:**

12-3510-0-1-605.

**Obligations:**

(Salaries) FY 10 \$7,129,984,559; FY 11 est \$7,508,664,000; and FY 12 est \$7,456,249,000 - In Fiscal Year 11, 91 discretionary grants were awarded totalling \$70,268,733:

WIC Concept Papers, 3 grants, \$73,983 (discretionary).

WIC Special Projects, 1 grant, \$354,750, (discretionary).

WIC Peer Counselling, 87 grants, \$69,840,000, (discretionary).

**Range and Average of Financial Assistance:**

For fiscal year 2010, FNS approved the operation of the WIC Program in 90 State agencies. This figure includes 50 States, 34 Indian agencies, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Marianas and the District of Columbia. During fiscal year 2010, an average of approximately 9,175,478 women, infants and children received WIC benefits every month. Although food package costs varied widely among the States, the monthly average food package cost for fiscal year 2010 was approximately \$41.43 per person.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: During FY 2010, WIC served all eligible persons requesting WIC benefits, a total of almost 9.18 million persons. The Program continued to contain both WIC food and nutrition services and administration (NSA) costs below standard measures of inflation for those items. State agencies also reported that approximately half of the postpartum women who participated in WIC breastfed their infants. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 246; "WIC State Plan Guidance" is available at no charge from FNS.

**Regional or Local Office:**

See Regional Agency Offices. See Food and Nutrition Service regional offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Debra R. Whitford, Food and Nutrition Service, Supplemental Food Programs Division, 3101 Park Center Drive, Alexandria, Virginia 22302 Email: Debbie.Whitford@fns.usda.gov Phone: (703) 305-2746 Fax: (703) 305-2196.

**Website Address:**

<http://www.fns.usda.gov/wic>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.556 Special Milk Program for Children; 10.565 Commodity Supplemental Food Program; 10.572 WIC Farmers' Market Nutrition Program (FMNP); 93.283 Centers for Disease Control and Prevention Investigations and Technical Assistance; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.558 CHILD AND ADULT CARE FOOD PROGRAM**

CACFP

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, as amended, Sections 9, 11, 14, 16 and 17, as amended, 89 Stat. 522-525, 42 U.S.C. 1758, 1759a, 1762a, 1765 and 1766.

**OBJECTIVES:**

To assist States, through grants-in-aid and other means, to initiate and maintain nonprofit food service programs for children and elderly or impaired adults enrolled in nonresidential day care facilities, children attending afterschool care programs in low-income areas, and children residing in emergency shelters.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are made available for disbursement to eligible institutions to reimburse their costs in providing meals and snacks to children and adults enrolled in nonresidential day care, children attending afterschool care programs, and children residing in emergency shelters. Disbursement is made on the basis of the number of breakfasts, lunches, suppers, and snacks served, using annually adjusted reimbursement rates specified by law. The program allows reimbursement for up to two meals and one snack served each day to children through the age of 12, children of migrant workers through the age of 15, and persons with disabilities, in child care centers and day care homes. Adult day care centers receive reimbursement for up to three meals served each day to enrolled adults who are functionally impaired or age 60 and older. The program also provides reimbursement to emergency shelters for up to three meals served each day to residents age 18 and younger. In at-risk afterschool care programs, reimbursement is available for one snack and an additional meal served each day, during the regular school year, to children through the age of 18. All program meals must meet minimum requirements of the United States Department of Agriculture (USDA). Funds are also paid to participating State agencies for administrative expenses related to program staffing and oversight.

**Applicant Eligibility:**

The State or U.S. Territory agency applies for and signs an agreement to receive Federal funds for disbursement.

**Beneficiary Eligibility:**

Approved institutions providing nonresidential day care services may participate in the program. Eligible public and nonprofit private organizations may include day care centers, outside-school-hours care centers, settlement houses, family and group day care homes, Head Start programs, and institutions providing day care services to children with disabilities. Private for-profit centers may also participate if at least 25 percent of the children in care (enrolled or licensed capacity, whichever is less) are eligible for free or reduced price school meals or receive benefits under Title XX (of the Social Security Act). Also eligible for participation are nonprofit centers which provide nonresidential adult day care, and private for-profit centers if the center receives compensation under Title XIX (of the Social Security Act) or Title XX, and at least 25 percent of the adults enrolled in the center receive benefits under Title XIX, Title XX, or a combination of both. Emergency shelters which provide shelter and meals to children experiencing homelessness, and at-risk afterschool care programs in low-income areas are also eligible. Any eligible institution may participate in the Child and Adult Care Food Program upon request with State agency approval.

**Credentials/Documentation:**

The allowability of costs incurred by States in administering the program will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019). Applicants that are not public or proprietary institutions must furnish evidence of tax-exempt status under the

Internal Revenue Code of 1986. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process required by the State. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Institutions apply to the responsible State agency. This program is subject to the provisions of USDA Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019).

**Award Procedure:**

When the application is approved, the institution signs an agreement with the administering agency.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The administering agency must provide a hearing procedure for local institution grievances.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Program funds are provided to the States through letters of credit to reimburse institutions for costs of food service operations, including administrative expenses. Appropriate rates of reimbursement, multiplied by the number of meals served to enrolled participants, represent the basic program payment that an institution receives for each meal served. The assigned rates of reimbursement are adjusted annually on July 1. For child care centers, adult day care centers, emergency shelters, and at-risk afterschool care programs, the annual adjustment reflects changes in the Food Away from Home series of the Consumer Price Index for All Urban Consumers. For day care homes, the adjustment reflects changes in the Food at Home series of the Consumer Price Index for All Urban Consumers. Donated foods or cash in lieu of donated foods are also made available. Program payments to child care or adult day care centers depend on the number and types of meals served to enrolled participants, multiplied by the appropriate rate of reimbursement. Rates for meals served to enrolled children and eligible adults in day care centers are determined by the participants' eligibility for free, reduced price, or paid meals using USDA Income Eligibility Guidelines. All resident children age 18 and younger in eligible emergency shelters receive free meals without application. At-risk afterschool care programs, which must be located in low-income areas, are reimbursed at the free rate for all meals and snacks served to children through age 18. Sponsoring organizations of day care homes are reimbursed at a gradational administrative rate based on the number of homes they operate. The level of reimbursement for meals served to enrolled children in day care homes is determined by economic need based on either the location of the day care home, the income of the day care provider, or the income of an individual child's household. Meals served in day care homes to the provider's own children are reimbursable only if those children are determined eligible for free and reduced price meals, and at least one other nonresident child is participating in the meal service. The reimbursement for food service is passed on by the sponsoring organization to the day care facility. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Institutions file monthly reports on program operations to claim reimbursement for meals served. They must submit final meal claims no later than 60 days after the claiming month. States must then submit final program reports to FNS no later than 90 days after the claiming month. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133. For-profit institutions are subject to audit by their administering State agencies.

**Records:**

Institutions must maintain full and accurate records of program operations for a period of 3 years after the end of the fiscal year to which they pertain. However, where there are unresolved audit findings, records must be retained until there is satisfactory resolution of all audit issues.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 10 \$2,583,811,401; FY 11 est \$2,701,524,000; and FY 12 est \$2,818,405,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 226 Regulations and the Child and Adult Care Food Program fact sheet are available at no charge. Administrative and nutrition guidance is available at no charge to program participants from the administering agency.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: 703-305-2590

**Website Address:**

<http://fns.usda.gov>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.559 Summer Food Service Program for Children; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.559 SUMMER FOOD SERVICE PROGRAM FOR CHILDREN**

SFSP

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, Sections 9, 13 and 14, as amended, 42 U.S.C. 1758, 1761 and 1762a.

**OBJECTIVES:**

To assist States, through grants-in-aid and other means, to conduct nonprofit food service programs for low-income children during the summer months and

at other approved times, when schools are out of session or are closed for vacation.

In addition there are 4 discretionary grant initiatives supporting this program:

Summer Electronic Benefits Transfer-SNAP, 3 grants, \$3,600,000 (discretionary)

Summer Electronic Benefits Transfer-WIC, 2 grants, \$2,700,000 (discretionary)

Summer Demonstration Project, Activity/Length of Operation, 2 grants, \$2,376,986 (discretionary)

Summer Demonstration Project, Home Delivery/Food Backpacks, 6 grants, \$1,782,651 (discretionary).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are made available for disbursement to eligible service institutions (sponsors) which provide free meals to children in areas where at least 50 percent of the children meet the income eligibility criteria for free and reduced price lunches. Meals may be served to children 18 and younger, and to individuals over 18 who participate in State-approved school programs for persons with disabilities. The program generally operates during the months of May through September at site locations where regularly scheduled food services are provided for children. Sites may also participate in the program from September through May if an area school is closed because of an emergency situation. Sponsors operating food programs for children on school vacation under a continuous year-round calendar may apply for participation in other months. Reimbursement may be paid for one meal and one snack or two meals per child each day. Camps and sites primarily serving children of migrant workers may be approved to serve up to three reimbursable meals each day. Meals must meet minimum requirements of the United States Department of Agriculture (USDA). Funds are also paid to participating State agencies for administrative expenses related to program staffing and oversight.

**Applicant Eligibility:**

The State or U.S. Territory agency applies for and signs an agreement to receive Federal funds for disbursement.

**Beneficiary Eligibility:**

A service institution that conducts a regularly scheduled program for children from areas in which poor economic conditions exist is eligible to participate as a sponsor in the program. Sponsors include public or private nonprofit school food authorities; public or private nonprofit colleges or universities operating the National Youth Sports Program during the months of May to September; and units of local, municipal, county, or State governments. Other private nonprofit organizations are eligible to participate under certain conditions. Sponsors which develop food service programs for children during school vacations under a continuous school calendar may also participate. Public or private nonprofit residential or nonresidential summer camps may also participate; however, at camps, reimbursement will only be paid for meals served to enrolled children who are individually determined to be eligible for free and reduced price school meals under USDA Income Eligibility Guidelines.

**Credentials/Documentation:**

The allowability of costs incurred by States in administering the Program will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process required by the State. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Service institutions may apply directly to the

responsible State agency. This program is subject to the provisions of USDA's Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019).

**Award Procedure:**

When an application is approved, the sponsor enters into an agreement with the administering agency.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not applicable to States. The administering agency must make a decision within 30 calendar days of receiving a complete and correct sponsor application. If an incorrect application is received, the State agency must notify the applicant within 15 days and provide technical assistance to complete the application.

**Appeals:**

The administering agency must have a hearing procedure for local institution grievances.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.

This program does not have MOE requirements. Program funds are earned by the States and institutions on a per meal reimbursement basis with rates adjusted annually on January 1, to reflect changes in the "Food Away from Home" series of the Consumer Price Index for All Urban Consumers.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Sponsors file monthly reports on program operations to claim reimbursement for meals served. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits may be conducted less frequently under conditions specified in OMB Circular A-133.

**Records:**

Service institutions must maintain full and accurate records of program operations for a period of 3 years after the end of the fiscal year to which they pertain. However, where there are unresolved audit findings, records must be retained until there is satisfactory resolution of all audit issues.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 10 \$375,768,054; FY 11 est \$458,953,000; and FY 12 est \$400,505,000 - 4 discretionary grant initiatives for FY 2010 totaling \$11,488,000 supporting this program:

Summer Electronic Benefits Transfer-SNAP, 3 grants, \$3,600,000 (discretionary)

Summer Electronic Benefits Transfer-WIC, 2 grants, \$2,700,000 (discretionary)  
Summer Demonstration Project, Activity/Length of Operation, 2 grants, \$2,376,986 (discretionary)

Summer Demonstration Project, Home Delivery/Food Backpacks, 6 grants, \$1,782,651 (discretionary).

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 225 regulations and the Summer Food Service Program fact sheet, are available at no charge. Administrative and nutrition guidance is available at no charge to program participants from the administering agency.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, 3101 Park Center Drive, Room 640, Alexandria, Virginia 22302  
Phone: (703) 305-2590.

**Website Address:**

<http://fns.usda.gov/cnd>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.558 Child and Adult Care Food Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.560 STATE ADMINISTRATIVE EXPENSES FOR CHILD NUTRITION**

SAE

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, 42 U.S.C. 1776, 1779.

**OBJECTIVES:**

To provide each State agency with funds for its administrative expenses in supervising and giving technical assistance to local schools, school districts and institutions in their conduct of Child Nutrition Programs. State agencies that administer the distribution of USDA Foods to schools and child or adult care institutions are also provided with State Administrative Expense (SAE) funds.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

SAE funds must be used for purposes specified in the legislation, consistent with the cost principles and constraints on allowable and unallowable costs, and indirect cost rates as prescribed in OMB Circular No. A-87. These funds may be used, under certain conditions, for the procurement of supplies, equipment, and services.

**Applicant Eligibility:**

State agencies responsible for the conduct of Child Nutrition Programs, and agencies responsible for the distribution of USDA Foods to schools and child or adult care institutions, including agencies in the U.S. Territories.

**Beneficiary Eligibility:**

State agencies responsible for the conduct of Child Nutrition Programs, and agencies responsible for the distribution of USDA Foods to schools and child or adult care institutions, including agencies in the U.S. Territories.

**Credentials/Documentation:**

Costs are to be determined and documented in accordance with agency regulations (7 CFR 235) and USDA Uniform Federal Assistance Regulations (7 CFR Parts 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The State agency enters into a written agreement with the Food and Nutrition Service (FNS) on a form prescribed by the FNS. The standard application forms as furnished by the Federal agency must be used for this program.

**Award Procedure:**

Release of funds to a State agency is contingent upon receipt and approval of their plan for disbursement of SAE funds. A State agency must submit an initial Plan in fiscal year 1997 and their estimated funding needs for the duration of fiscal year 1997. Thereafter, in accordance with Public Law 104-193 which deleted the requirement for an annual plan unless there are substantive changes, a State agency would only submit revisions to the initial plan.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Annually.

**Formula and Matching Requirements:**

Statutory Formula: For the National School Lunch Program, the School Breakfast Program, and the Special Milk Program, funds are allocated on the basis of an amount equal to one percent of the total funds used in the State for these programs during the second preceding year based on FNS program and fiscal data. However, no State receives less than \$200,000 or the amount it received in fiscal year 1981, whichever is larger. For the Child and Adult Care Food Program, a sliding grant is made based on FNS program and fiscal data. In addition, the Secretary has discretionary authority to provide funds to States for program improvement, based on FNS program and fiscal data. The authorizing legislation which establishes eligibility for SAE funds is the Child Nutrition Act of 1966, as amended, Section 7 (42 U.S.C. 1776). This program has a State Funding Requirement (SFR). See funding agency for details. Any reduction of funds from State sources below the fiscal year 1977 level will result in a withdrawal of Federal funds under this grant.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funded each fiscal year during the period covered by the agreement. A State agency may carry over up to twenty percent of SAE funds allocated to it for obligation and expenditure during the succeeding fiscal year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Each State agency reports information on the use of SAE funds. Cash reports are not applicable. Progress reports are not applicable. Each State agency submits quarterly financial status information on SAE funds on forms provided by FNS and will continue to report information on the use of SAE funds, after the end of the fiscal year to which they pertain, until all unpaid obligations have been liquidated. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits may be conducted less frequently under conditions specified in A-133.

**Records:**

Each State agency keeps records on administrative expenses conforming with the applicable SAE plan and maintains current accounting records of SAE

funds that identify fund authorizations, obligations, unobligated balances, assets, liabilities, outlays, and income.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 10 \$195,532,435; FY 11 est \$206,943,000; and FY 12 est \$279,034,000

**Range and Average of Financial Assistance:**

Range: from \$37,412 to \$24,024,555; Average: \$2,343,120.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations 7 CFR Part 235, "State Administrative Expense Funds."

**Regional or Local Office:**

None. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: (703) 305-2590.

**Website Address:**

<http://www.fns.usda.gov/cnd>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.561 STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM**

Supplemental Nutrition Assistance Program (Administrative Match)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Food and Nutrition Act of 2008, as amended, Section 16, Public Law 95-113, 91 Stat. 958, 7 U.S.C. 2025; Public Law 99-198, Public Law 105-33, Public Law 105-185, Public Law 110-246, American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide Federal financial aid to State agencies for costs incurred to operate the Supplemental Nutrition Assistance Program (SNAP).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

To provide Federal funding for administrative costs incurred by State and local agencies to operate SNAP. Unless authorized by Federal legislation, outlays charged to other Federal grants or to Federal contracts may not be considered as State agency costs. Submission of claims for payments of administrative costs shall be in accordance with 7 CFR 277 of the SNAP Regulations. Unless authorized by Federal legislation, outlays charged to other Federal grants or to Federal contracts may not be considered as State agency costs.

**Applicant Eligibility:**

Agreements are between USDA-FNS and State cooperators. (U.S. Territories qualify as States for grant purposes.)

**Beneficiary Eligibility:**

Agreements are between USDA-FNS and State cooperators. (U.S. Territories qualify as States for grant purposes.)

**Credentials/Documentation:**

No preapplication forms are required. A plan of operation must be submitted by the State agency prior to approval for funding. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR part 3016, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication forms are required. A plan of operation must be submitted by the State agency prior to approval for funding. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State governments may apply for Federal financial aid in accordance with requirements outlined in 7 CFR Parts, 271 and 277.

**Award Procedure:**

Food and Nutrition Service funds State Agency cooperator. No preapplication forms are required. A plan of operation must be submitted by the State agency prior to approval for funding. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Deadlines:**

Aug 15, 2009 Budgets are due to FNS August 15.

**Range of Approval/Disapproval Time:**

30 days.

**Appeals:**

Not Applicable.

**Renewals:**

Annually, as of October 1.

**Formula and Matching Requirements:**

Statutory Formula: Title Food and Nutrition Act of 2008. Federal agency reimburses 50 percent of reasonable, necessary, and allowable State administrative expenses.

Matching Requirements: Percent: 50%. Federal agency reimburses 50 percent of reasonable, allowable, and necessary State administrative expenses.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Annually by fiscal year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reports are submitted as required by 7 CFR Parts 272 and 277. Reports are submitted as required by 7 CFR Parts 272 and 277. Reports are submitted as required by 7 CFR Parts 272 and 277. Reports are submitted as required by 7 CFR Parts 272 and 277. Financial Management Reviews, Management Evaluations, and Quality Control Reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, "Audits of State Local Governments, and Nonprofit Organizations," State and local government, and Nonprofit organizations that expend Federal financial assistance of \$500,000 or more within any fiscal year shall have either a single audit or (in certain cases) a program specific audit made for that year. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all records pertinent to a grant program shall be retained for a period of 3 years. Additionally, those record retention requirements outlined in 7 CFR Part 3016, apply to this program.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 10 \$3,338,697,461; FY 11 est \$3,403,489,000; and FY 12 est \$3,332,000,000 - Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act), \$145,000,000 in 100 percent Federal funds was provided for State Administrative Expenses in FY09 and \$150,000,000 was provided in FY10. The Department of Defense Appropriation added an additional \$400,000,000 in 100 percent Federal administrative funds in FY10.

**Range and Average of Financial Assistance:**

Unavailable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Parts 275, 276, 277 and 3016.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator Jessica Shahin, Supplemental Nutrition Assistance Program, 3101 Park Center Dr., Alexandria, Virginia 22302 Email: Jessica.Shahin@fns.usda.gov Phone: (703) 305-2026.

**Website Address:**

<http://www.fns.usda.gov/fsp/>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.565 COMMODITY SUPPLEMENTAL FOOD PROGRAM**

Commodity Supplemental Food Program

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Agriculture and Consumer Protection Act of 1973, Sections 4(a) and 5, as amended, Public Law 93-86, 7 U.S.C. 612c (note); Food and Agriculture Act of 1977, as amended, Public Law 95-113, 91 Stat. 980 (7 U.S.C. 612c note); Public Law 97-98, 95 Stat. 1293 (7 U.S.C. 612c note); Public Law 98-8, 97 Stat. 35 (7 U.S.C. 612c note); Public Law 98-92, 97 Stat. 611 (7 U.S.C. 612c note); Public Law 99-198, 99 Stat. 1590 (7 U.S.C. 612c note); Public Law 100-202; Public Law 101-624, 101 Stat. 3806 (7 U.S.C. 612c note); Public Law 104-127, 110 Stat. 1028 (7 U.S.C. 612c note); Public Law 107-171, 116 Stat.

134 (7 U.S.C. 7901 note); Public Law 110-246, 122 Stat. 1886 (7 U.S.C. 612c note).

**OBJECTIVES:**

To improve the health and nutritional status of low-income pregnant, postpartum and breastfeeding women, infants, and children up to, and including, age 5, and elderly persons age 60 years and older through the donation of supplemental USDA Foods.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

USDA Foods and administrative grants are made to State agencies, Indian tribes or tribal organizations recognized by the Department of the Interior, or, the appropriate area office of the Indian Health Service of the Department of Health and Human Services. These agencies distribute USDA Foods and funds to participating local public or private nonprofit agencies. Federal funding for administrative costs may only be used in making these donated foods and nutrition education available to eligible beneficiaries. USDA Foods can only be made available to eligible beneficiaries and cannot be sold, exchanged, or otherwise disposed of without prior specific approval by the Department.

**Applicant Eligibility:**

Agreements are made between the Department and the State agency or an Indian tribe or tribal organization recognized by the Department of the Interior for the administration of the program or the appropriate area office of the Indian Health Service of the Department of Health and Human Services.

**Beneficiary Eligibility:**

To be certified as eligible to receive USDA Foods through the program, each applicant must be categorically eligible as an infant, child up to and including age five, a pregnant, postpartum or breastfeeding woman, or an elderly person 60 years of age or older, residing in an area where the program operates. States establish income eligibility guidelines for women, infants, and children, which must be set between 100 and 185 percent of Federal Poverty Income Guidelines. Women, infants, and children who receive Supplemental Nutrition Assistance Program benefits, Temporary Assistance for Needy Families, or Medicaid are considered automatically eligible for Commodity Supplemental Food Program. At State discretion, women, infant, and children participants may be considered income eligible if participating in existing Federal, State, or local food, health, or welfare programs for low-income persons if the income eligibility limits for the program are equal to or lower than the established limits for the Commodity Supplemental Food Program. States establish income guidelines for elderly persons, which must be set at or below 130 percent of Federal poverty income guidelines. States may require that participants be at nutritional risk, as determined by a physician or local agency staff. States may also require that an individual reside within the service area of the local agency at the time of application for program benefits. However, States may not require that the individual reside within the area for any fixed period of time.

**Credentials/Documentation:**

Participants are provided donated foods by local agency personnel or its designee. Costs are determined in accordance with 2 CFR Part 225 (OMB Circular No. A-87) and 2 CFR Part 230 (OMB Circular No. A-122). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The State agency must require each agency that desires approval as a local agency to submit an application that contains sufficient information to enable the State agency to make a determination of eligibility for that agency. Individual participants may apply

for program benefits at an approved local agency.

**Award Procedure:**

USDA Foods and administrative funds are awarded by the Department to State agencies in accordance with the priorities and funding formulas set forth in program regulations and legislation. State agencies, in turn, distribute USDA Foods and administrative funds to the local level.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

A determination will be made within 30 days of submission of a completed plan.

**Appeals:**

Local agency appeals: The State agency provides a hearing appeal procedure for a local agency adversely affected by a State agency action. The right to appeal is granted whenever an action would adversely affect participation.

Individual participant appeals: The State agency provides a hearing appeal procedure for any individual who receives an adverse action which may include the denial or discontinuance of program benefits, disqualification from the program, or a claim to repay the value of USDA Foods received as the result of fraud.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory Formula: Administrative Funds: Public Law 107-171 requires the USDA to provide State agencies with a grant per assigned caseload slot to pay for administrative program costs.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

USDA Foods are made available on an ongoing basis. Administrative funds are provided to States annually, each fiscal year. Method of awarding/releasing assistance: lump sum.

**Reports:**

FNS-153, Monthly Report of the Commodity Supplemental Food Program and Quarterly Administrative Financial Status Report. The State agency must submit the FNS153 on a monthly basis. In the report, State agencies must report the number of program participants by population category, the receipt and distribution of USDA Foods, including inventory and other data, and on a quarterly basis information on administrative funds expenditures. SF-425 - Federal Financial Report. State agencies must submit the SF-425 to report the financial status of the program at the close of the fiscal year. This report must be submitted within 90 days after the end of the fiscal year. FNS153, Monthly Report of the Commodity Supplemental Food Program and Quarterly Administrative Financial Status Report. The State agency must submit the FNS153 on a monthly basis. In the report, State agencies must report the number of program participants by population category, the receipt and distribution of commodities, including inventory and other data, and on a quarterly basis information on administrative funds expenditures. FNS153, Monthly Report of the Commodity Supplemental Food Program and Quarterly Administrative Financial Status Report. The State agency must submit the FNS153 on a monthly basis. In the report, State agencies must report information on administrative funds expenditures on a quarterly basis, as well as other data. State agencies must monitor local agency performance to insure local agencies are meeting all regulatory requirements. State agencies must monitor local agency performance to insure local agencies are meeting all regulatory requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits may be conducted less frequently under conditions specified in OMB Circular No. A-133.

**Records:**

Each State agency must maintain accurate and complete records of all receipts and dispositions as detailed in 7 CFR 247.29(a). Records must be retained for 3 FYs from the end of the FY to which they pertain, or if they are related to unsolved claims, actions, audits or investigations until those activities have been resolved.

**Account Identification:**

12-3507-0-1-605.

**Obligations:**

(Formula Grants) FY 10 \$181,891,603; FY 11 est \$192,624,000; and FY 12 est \$176,788,000

**Range and Average of Financial Assistance:**

On average, \$924,705 in appropriated administrative funding was allocated to each State for FY10. Funding ranged from \$6,653 to \$5,496,441 per State.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provided USDA Foods and administrative funds to State agencies for the distribution of foods to low-income elderly and women, infants, and children. Fiscal Year 2011: Provided USDA Foods and administrative funds to State agencies for the distribution of foods to low-income elderly and women, infants, and children. Fiscal Year 2012: Provided USDA Foods and administrative funds to State agencies for the distribution of foods to low-income elderly and women, infants, and children.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 247 is available without charge from the Department.

**Regional or Local Office:**

See Regional Agency Offices. See Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Cathie McCullough, 3101 Park Center Drive, Food Distribution Division, Food and Nutrition Service, Department of Agriculture, Alexandria, Virginia 22302-1594 Phone: (703) 305-2680

**Website Address:**

<http://www.fns.usda.gov/fdd/programs/csfp/default.htm>

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.556 Special Milk Program for Children; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558 Child and Adult Care Food Program; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.566 NUTRITION ASSISTANCE FOR PUERTO RICO**

NAP

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Omnibus Budget Reconciliation Act of 1981, as amended, Title 1, Section 116; Public Law 97-35; Public Law 97-253; Public Law 98-204; Public Law 99-114; Public Law 99-157; Public Law 99-182; Public Law 99-198; Public Law 101-624; Public Law 103-66; Public Law 104-127; Public Law 106-387; Public Law 107-171. American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

A cash grant alternative to the Special Nutrition Assistance Program (SNAP) to

improve diets of needy persons residing in the Commonwealth of Puerto Rico.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Households receive benefits to purchase food. A portion is provided as cash.

**Applicant Eligibility:**

The Commonwealth of Puerto Rico alone is eligible.

**Beneficiary Eligibility:**

Low-income individuals and families are eligible for benefits as determined by the Commonwealth.

**Credentials/Documentation:**

The Commonwealth is required to document the classes of households that receive benefits and the level of those benefits. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Commonwealth is required to submit an annual plan of operation to the Food and Nutrition Service for approval.

**Award Procedure:**

The Secretary of Agriculture designates the Commonwealth agency or agencies to operate the program upon submission of the request.

**Deadlines:**

Jul 01, 2009 July 1 for plan submission.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Program continues once approved unless there is a substantial failure to comply with regulations or withdrawal on the part of the Commonwealth.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. The Department of Agriculture pays 100 percent of the cost of benefits and 50 percent of administrative costs. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for one fiscal year at a time. Assistance is provided through the electronic transfer system, consistent with Treasury Fiscal Requirement Manual, Volume I, Part 6, Section 2030. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The content and frequency of reports is specified by the Commonwealth's plan of operation. The content and frequency of reports is specified by the Commonwealth's plan of operation. The content and frequency of reports is specified by the Commonwealth's plan of operation. Financial Management Reviews and Management Evaluations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit



conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Commonwealth is required to conduct an audit of expenditures at least once every two years, and is subject to audit by the Office of Inspector General, USDA.

**Records:**

The content and maintenance of records is specified by the Commonwealth's plan of operation.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 10 \$1,746,351; FY 11 est \$1,751,583; and FY 12 est \$1,751,583 - Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act), NAP funding level for Federal Fiscal Year 10 was increased by \$254,217,000.

Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2010, Public Law 111-5 (Recovery Act), NAP funding level for Federal Fiscal Year 11 estimate was increased by \$255,963,000.

Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2011, Public Law 111-5 (Recovery Act), NAP funding level for Federal Fiscal Year 12 estimate has been increased by \$248,985,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: An average of 1.3 million people were served monthly during FY2010. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Mid-Atlantic Regional Office, Food and Nutrition Service, Department of Agriculture, Robbinsville, NJ 08691-1598. Contact: Patricia Dombroski. Telephone: (609) 259-5025, FTS: (609) 259-5025.

**Headquarters Office:**

Patricia Dombroski 300 Corporate Blvd, Robbinsville, New Jersey 08691  
Phone: 609-259-5025

**Website Address:**

<http://www.fns.usda.gov>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Only Puerto Rico may apply.

**10.567 FOOD DISTRIBUTION PROGRAM ON INDIAN RESERVATIONS**

FDPIR

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Public Law 111-5); Food and Nutrition Act of 2008 (Public Law 110-246); Agriculture and Consumer Protection Act of 1973 (Public Law 93-86) , 7 U.S.C 2011-2036.

**OBJECTIVES:**

The Food Distribution Program on Indian Reservations (FDPIR) is a nutrition assistance program that may be operated, at the request of a Tribe or Indian Tribal Organization (ITO) on an Indian reservation, approved areas near a

reservation, or approved service areas in Oklahoma. Eligible low-income households receive a supplemental monthly food package and nutrition education. Households may not participate in FDPIR and the Supplemental Nutrition Assistance Program (SNAP) at the same time.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

USDA provides donated foods to authorized ITOs and State Distributing Agencies (SDA) for distribution, free of charge, to qualifying households. FNS makes available to the ITOs and SDAs a minimum of 75% of the administrative funds necessary to operate the program. The ITOs and SDAs must follow national policies in certifying eligible households and issuing USDA donated foods, and must comply with program and financial reporting requirements. The USDA foods may not be sold, exchanged, or otherwise disposed of (authorized distribution excepted) without prior, specific approval of USDA. The Federal funds provided must be used to meet expenses incurred in operating FDPIR. These funds may not be used to purchase real property (land or buildings).

**Applicant Eligibility:**

The administration of FDPIR is limited to ITOs or to SDAs that assume administration on behalf of/at the request of a tribe(s).

**Beneficiary Eligibility:**

FDPIR eligibility is limited to low-income households residing on participating reservations or low-income Indian Tribal Households (see definition at 7 CFR 253.2) residing in approved areas near a reservation or in approved service areas in Oklahoma. The ITOs/SDAs are responsible for certifying households based on national eligibility criteria. The income standards vary by household size and are based on 100% of the Federal Poverty Guidelines adjusted by the applicable SNAP standard deduction.

**Credentials/Documentation:**

Applicant ITO/SDA administrators must submit Form SF-424 (Application for Federal Assistance) and a Plan of Operations. ITOs and SDAs must comply with federal financial management policies and regulations. Applicant households must submit a completed application form and provide documentation in accordance with federal regulations at 7 CFR 253.6. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. ITOs and SDAs that want to administer FDPIR must submit Form SF-424 (Application for Federal Assistance) to the appropriate FNS regional office, as well as a Plan of Operation. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program.

**Award Procedure:**

Administrative funding is provided annually by FNS to ITOs and SDAs for use in administering the program. Program benefits for eligible households are provided in the form of a monthly food package, selected by the household in accordance with federal guide rates that are based on household size. ITOs and SDAs order from a list of about 115 available foods and the foods are delivered to the ITOs/SDAs on a predetermined schedule set by the ITO/SDA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

FNS must determine within 30 days of the receipt of a completed application if

an ITO/State agency is capable of administering the program. ITOs and SDAs must make foods available to eligible households within 7 days of receipt of the completed application form (1 day for households with no income).

**Appeals:**

Not Applicable.

**Renewals:**

Approval to administer the program continues unless a withdrawal is requested or required because of program irregularities, or funding is unavailable. Administrative funding is provided on an annual basis; a new Form SF-424 must be submitted each year. Households are assigned certification periods of varying lengths based on household circumstances. Household certification periods may not exceed one year, except elderly or disabled households may be certified for up to 24 months if household circumstances are stable.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Part 253.11.  
Matching Requirements: Percent: 25%. The 25% match requirement may be waived, if compelling justification is provided by the ITO/SDA.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Administrative funding for ITOs/State agencies expires at the end of each fiscal year. Food donations for household distribution are continuous. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Form FNS-152, Monthly Distribution of Donated Food to Family Units, captures, on a monthly basis, the number of households certified and number of households/individuals participating. It also captures food inventory (i.e., receipts, distributions, and remaining inventory at end of month). Form FNS-101, Participation in Food Program-by Race, captures racial ethnic data for the month of July each year. No cash reports are required. No progress reports are required. Form SF-425, Federal Financial Report, captures, on a quarterly basis, Federal funding authorized, obligated, and obligated but not liquidated. Also captures non-federal funds used for the program. ITOs and SDAs are required to conduct annual reviews of program operations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each ITO and SDA must maintain accurate and complete program records and reports, including household case files, for 3 years following the close of the fiscal year or until any outstanding audit, claim or litigation is settled.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 10 \$115,122,710; FY 11 est \$97,958,000; and FY 12 est \$103,746,000 - The amounts include federal administrative funds provided to the ITOs/SDAs that administer FDIPIR and funds used to purchase foods for distribution to eligible program participants. (Salaries) FY 10 Not Separately Identifiable; FY 11 Not Separately Identifiable; and FY 12 Not Separately Identifiable

**Range and Average of Financial Assistance:**

In FY 2009, the monthly per person food package was approximately \$78.44. Federal administrative funding to the ITOs and State agencies varies based on number of persons served in each program and the unique operational needs of each program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 253; 7 CFR Part 254; 7 CFR Part 250; FNS Handbook 501

**Regional or Local Office:**

See Regional Agency Offices. See Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Cathie McCullough, USDA Food and Nutrition Service, Food Distribution Division, Room 500, Park Office Center, 3101 Park Center Drive, Alexandria, Virginia 22302 Email: cathie.mccullough@fns.usda.gov Phone: (703) 305-2680 Fax: (703) 305-2964.

**Website Address:**

<http://www.fns.usda.gov/fdd/programs/fdpi/default.htm>

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.568 EMERGENCY FOOD ASSISTANCE PROGRAM (ADMINISTRATIVE COSTS)**

TEFAP

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Emergency Food Assistance Act of 1983, Sections 204 and 209, Public Law 98-8, 97 Stat. 35, 7 U.S.C 7508; Federal Supplemental Compensation Act of 1982 Amendments, Section 2, as amended, Public Law 98-92, 97 Stat. 608; Food Security Act of 1985, as amended, Section 1569, Public Law 99-198, 99 Stat. 1354; Public Law 100-77, 101 Stat. 536; Public Law 100-435, 102 Stat. 1647; Public Law 101-624, 104 Stat. 3359; Public Law 104-193, 110 Stat. 2105; Public Law 104-127, 110 Stat. 1029; Public Law 107-171, 116 Stat. 330; Public Law 110-246, 122 Stat. 1882.

**OBJECTIVES:**

To help supplement the diets of low-income persons by making funds available to States for processing, storage and distribution costs incurred by State agencies and local organizations in providing food assistance to needy persons. To provide funds to enhance the infrastructure of the emergency feeding network.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; Project Grants

**USES AND USE RESTRICTIONS:**

Administrative funds are provided to State agencies to cover administrative costs incurred at the State and local level in the operation of the program. Funds may only be used for approved administrative expenses, and the State agency is required to pass-through at least 40% of the funds to emergency feeding organizations or expend such funds on their behalf. In addition, the States must match, either in cash or in-kind, the amount of administrative funds not passed-through to emergency feeding organizations. In addition, discretionary TEFAP Infrastructure Grants are awarded directly to the eligible Emergency Feeding Organizations and can be used for any approved administrative expense. TEFAP Infrastructure Grants require no match.

**Applicant Eligibility:**

State agencies that are designated as distributing agencies by the Governor, legislature or other authority may receive these administrative funds to support the distribution of commodities to the needy. TEFAP Infrastructure Grants are awarded directly to eligible emergency feeding organizations that participate in TEFAP.

**Beneficiary Eligibility:**

Public or private non-profit organizations which provide food assistance to the needy, such as food banks, food pantries, and soup kitchens.

**Credentials/Documentation:**

State agencies and local organizations are required to document their use of the

administrative funds, and only those administrative costs permitted under OMB Circular No. A-87, as implemented at 2 CFR Part 225, for State and local governments will be allowed. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Administrative funds are allocated among the States on the basis of a legislatively-mandated formula that takes into account each State's relative share of the National number of persons with income below the poverty level (60 percent) and of unemployed persons (40 percent). At a minimum, States must make at least 40 percent of the administrative grant available to emergency feeding organizations, or expend such funds on their behalf. TEFAP Infrastructure Grants are awarded directly to eligible emergency feeding organizations based on competitive grant procedures.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Federal/State agreements are ongoing and amended as necessary. Local organizations receiving administrative funds must have an agreement with the State agency or with another local organization participating in the program. Such agreements are ongoing and amended as necessary. TEFAP Infrastructure Grants are a one-time infusion of funds.

**Formula and Matching Requirements:**

Statutory Formula: Title Agriculture, Chapter 7, Part 251.3.  
Matching Requirements: Percent: 100%. States are required to pass-through to emergency feeding organizations at least 40 percent of the administrative funds allocated to the State. States are required to match, either as cash or in-kind, 100 percent of the administrative funds not passed-through to emergency feeding organizations. TEFAP Infrastructure Grants do not require any match or pass-through.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are provided through the electronic transfer system as they are needed for actual expenditures on a fiscal year basis. Any funds which are made available through the initial allocation or a subsequent reallocation that are not used are turned back to the Federal government, and reallocated according to the legislatively mandated formula. Awards made under TEFAP Infrastructure Grants must be spent by September 30, 2011. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. Quarterly and annual financial reports are made on FNS-667. TEFAP Infrastructure Grants will make semi-annual and final financial reports on the SF-425. Final program reports are required of TEFAP Infrastructure Grants. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Normal records accounting for receipts and dispersals; retention required for 3 years following the close of the fiscal year or until any outstanding audit, claim, or litigation is settled.

**Account Identification:**

12-3507-0-1-605.

**Obligations:**

(Salaries) FY 10 \$54,609,180; FY 11 est \$0; and FY 12 est \$0. (Salaries) FY 10 \$55,790,460; FY 11 est \$49,544,000; and FY 12 est \$50,000,000 - \$5,956,034 of the FY 2010 total was for EFAP Infrastructure Grants. \$44,000 of the FY 2011 total is for EFAP Infrastructure Grants.

**Range and Average of Financial Assistance:**

In Fiscal Year 2011, the range for assistance was from \$6,363 to \$6,330,449; the average amount of assistance was \$898,200.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provide funds to State agencies and local organizations to process, store, and distribute USDA and privately-donated food to needy persons and to organizations for use in preparing meals at congregate meal sites. Fiscal Year 2011: Provide funds to State agencies and local organizations to process, store, and distribute USDA and privately-donated food to needy persons and to organizations for use in preparing meals at congregate meal sites. Fiscal Year 2012: Provide funds to State agencies and local organizations to process, store, and distribute USDA and privately-donated food to needy persons and to organizations for use in preparing meals at congregate meal sites.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 251; refer to 7 CFR Part 250 for applicable provisions on commodity handling.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Cathie McCullough, USDA Food and Nutrition Service, Food Distribution Division, Room 500, Park Office Center, 3101 Park Center Dr. , Alexandria, Virginia 22302 Email: cathie.mccullough@fns.usda.gov Phone: (703) 305-2680 Fax: (703) 305-2964.

**Website Address:**

<http://www.fns.usda.gov/fdd/programs/tefap/>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program; 10.569 Emergency Food Assistance Program (Food Commodities)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.569 EMERGENCY FOOD ASSISTANCE PROGRAM (FOOD COMMODITIES)**

TEFAP, USDA Foods, Commodities

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Emergency Food Assistance Act of 1983, Public Law 98-8, 97 Stat. 35, 7 U.S.C 7501; Hunger Prevention Act of 1988, Public Law 100-435, 102 Stat. 1647; Public Law 101-624, 104 Stat. 3359; Public Law 104-193, 110 Stat. 2105; Public Law 104-127, 110 Stat. 1029; Public Law 107-171, 116 Stat. 330; Public Law 110-246, 122 Stat. 1882; American Recovery Act and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To help supplement the diets of low-income persons by making donated foods available to the State agencies that are responsible for the distribution of commodities within the States.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Commodities can only be used to provide food assistance to needy persons. Commodities may be provided for household consumption or for congregate feeding. The State agency must give priority to local organizations that provide nutrition assistance to relieve situations of emergency and distress.

**Applicant Eligibility:**

State agencies that are designated as distributing agencies by the Governor, legislature or other authority may receive and distribute these donated food commodities. States can distribute these foods to eligible recipient agencies, such as food banks, food pantries, soup kitchens, and other eligible agencies.

**Beneficiary Eligibility:**

Low-income and needy individuals, including persons that are homeless, unemployed, underemployed, or receiving public assistance. The State agency must establish income based eligibility criteria to ensure the commodities are provided to the needy. Persons interesting in receiving TEFAP should contact their State agency (<http://www.fns.usda.gov/fdd/contacts/SdaContacts.htm>) for more information on how to access the program.

**Credentials/Documentation:**

Needy individuals receiving commodities for home consumption must establish eligibility to participate in the program on the basis of State eligibility standards. All individuals seeking food assistance at sites which serve prepared meals are presumed to be eligible to receive meals. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. All States are eligible to participate; the State does not need to complete an application.

**Award Procedure:**

Food commodities are allocated among the States on the basis of a legislatively-mandated formula that takes into account each State's relative share of the National number of persons with income below the poverty level (60 percent) and of unemployed persons (40 percent).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Federal/State agreements are ongoing and amended as necessary. Individuals receiving food for home consumption are recertified periodically. Persons receiving commodities in the form of meals from sites which serve prepared meals are presumed to be eligible.

**Formula and Matching Requirements:**

Statutory Formula: Title Agriculture, Chapter 7, Part 251. Commodities are allocated among the States based on a legislatively-mandated formula. The allocation formula is based in part (60 percent) on the number of people whose income is below the poverty level and in part (40 percent) on the number unemployed persons.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Normal records accounting for receipts and dispersals; retention required for 3 years following the close of the fiscal year or until any outstanding audit, claim, or litigation is settled.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Formula Grants) FY 10 \$60,000,000; FY 11 est \$0; and FY 12 est \$0 - Section 748 of Public Law 111-80, the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2010 provided a one-time infusion of \$60,000,000 for the purchase cheese and other dairy products for use in TEFAP. (Formula Grants) FY 10 \$247,993,786; FY 11 est \$247,500,000; and FY 12 est \$248,750,000

**Range and Average of Financial Assistance:**

In Fiscal Year 2011, the range of awards was from \$31,564 to \$31,404,571; the average award was \$4,455,858.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provided commodities to State and local agencies for distribution to needy persons for use at home or for use at sites which serve prepared meals. Fiscal Year 2011: Provided commodities to State and local agencies for distribution to needy persons for use at home or for use at sites which serve prepared meals. Fiscal Year 2012: Provided commodities to State and local agencies for distribution to needy persons for use at home or for use at sites which serve prepared meals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 251; refer to 7 CFR Part 250 for applicable provisions on commodity handling.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Cathie McCullough, USDA Food and Nutrition Service, Food Distribution Division, Room 500, Park Office Center, 3101 Park Center Drive, Alexandria, Virginia 22302 Email: [cathie.mccullough@fns.usda.gov](mailto:cathie.mccullough@fns.usda.gov) Phone: (703) 305-2680 Fax: (703) 305-2964.

**Website Address:**

<http://www.fns.usda.gov/fdd/programs/tefap/default.htm>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.568 Emergency Food Assistance Program (Administrative Costs)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.572 WIC FARMERS' MARKET NUTRITION PROGRAM (FMNP)**

Farmers' Market

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Healthy Hunger-Free Kids Act of 2010, Public Law 111-296, 106 Stat. 281; Child Nutrition Act of 1966, as amended, Section 17(m), 42 U.S.C. 1786.

**OBJECTIVES:**

To provide fresh, nutritious unprepared locally grown fruits and vegetables from farmers markets to women, infants, and children who participate in the Special Supplemental Nutrition Program for Women, Infants and Children (WIC); and to expand the awareness and use of farmers' markets and increase sales at such markets.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to State health, agriculture and other agencies (or Indian tribes, bands, or intertribal councils or groups recognized by the Department of the Interior, or the Indian Health Service of the Department of Health and Human Services. Participating State agencies must provide program income or State, local, or private funds for the program in an amount that is equal to at least 30 percent of the administrative cost of the program except Indian Tribal Organizations which may provide a negotiated match contribution that is less than 30 percent but not less than 10 percent. The matching requirement may be satisfied from State contributions that are made for similar programs. Federal FMNP benefits (coupons) may be issued only to participants in the Special Supplemental Nutrition Program for Women, Infants and Children (WIC) or to persons who are on a waiting list to receive WIC benefits. Participating State agencies must provide program income or State, local, or private funds for the program in an amount that is equal to at least 30 percent of the administrative cost of the program except Indian Tribal Organizations which may receive a negotiated match contribution that is less than 30 percent but not less than 10 percent. The matching requirement may be satisfied from State contributions that are made for similar programs.

**Applicant Eligibility:**

All State agencies that desire to receive a FMNP grant must submit, for each fiscal year, a State Plan to the Food and Nutrition Service (FNS), USDA. New State agencies are selected based on the availability of funds after base grants for currently participating State agencies are funded. Local FMNP sites are selected by participating State agencies based on concentration of eligible WIC participants and access to farmers' markets.

**Beneficiary Eligibility:**

WIC participants (i.e., pregnant, postpartum or breastfeeding women; infants over 4 months of age; and children up to 5 years of age) and (at the State's discretion) those who are on a waiting list to receive WIC benefits are eligible to receive FMNP coupons. State agencies may also designate subcategories of WIC participants, e.g., pregnant and breastfeeding women only, to be FMNP recipients.

**Credentials/Documentation:**

A signed and executed Federal/State Agreement (FNS-339) is necessary before funds can be allocated to a participating FMNP State agency. Costs will be determined in accordance with 7 CFR Part 3016, and FNS guidelines and instructions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application is made through submission of a "State Plan of Program Operation and Administration" as required by law. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Farmers or farmers' markets (depending on whether State agencies have agreements with farmers or markets) located in communities with WIC Program sites may apply to be authorized to accept FMNP coupons under the program. The State agency reviews the applications for completeness and compliance with authorization requirements. The State agency contacts the farmer/farmers' market to inform them of qualification. Individual participants apply for FMNP benefits at approved local WIC

agencies.

**Award Procedure:**

Funds are awarded by the Department on the basis of funding formulas to State agencies. If the available funds are insufficient to meet the base grant levels for current FMNP grantees, a pro-rata reduction will be applied to the grant levels awarded to all participating FMNP State agencies. If additional funds become available for the FMNP, such funds would first be distributed evenly among the current grantees to make whole their base grants for that fiscal year. Grant payments are made by a letter of credit.

**Deadlines:**

Nov 15, 2011 FMNP State Plans for the current fiscal year are due to the appropriate FNS Regional office by November 15.

**Range of Approval/Disapproval Time:**

In general, FNS will announce FMNP awards, and notify each State agency that did not receive an award, approximately 60 days after the date State Plans are due to FNS.

**Appeals:**

All decisions by the FNS are final.

**Renewals:**

This Program is authorized through September 30, 2015.

**Formula and Matching Requirements:**

Statutory Formula: Statutory Formula: Statutory formula can be found at Section 17(m)(3) of the Child Nutrition Act. As a prerequisite to the receipt of Federal funds, a State agency must agree to contribute program income or State, local or private funds equal to at least 30 percent of its administrative program cost. Provided that sufficient funds are available, each current State agency will be funded at its most recent year's level. Remaining funds are divided between current States for expansion and new States, based on a 75 to 25 percent ratio, respectively.

Matching Requirements: Percent: 30%. Matching Requirements: Percent: 30%. As a prerequisite to the receipt of Federal funds, a State agency must agree to contribute program income or State, local or private funds equal to at least 30 percent of its administrative program cost. Indian Tribal Organizations may provide a negotiated match contribution that is less than 30 percent but not less than 10 percent. State contributions for similar programs may satisfy the State matching requirement.

MOE requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

FMNP funds are provided using Federal Reserve Bank letters of credit and end on November 30 of each year. State agencies may withdraw funds only as needed. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual reports submitted to FNS specifying the following data: Number and type of recipients (Federal and nonfederal); number of authorized farmers, farmers' markets, and farm or roadside stands; value of coupons issued and redeemed; and financial expenditure data. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State agencies must maintain records as necessary to support the FMNP funds. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain,

except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3510-0-1-605.

**Obligations:**

(Salaries) FY 10 \$22,089,142; FY 11 est \$20,000,000; and FY 12 est \$20,000,000

**Range and Average of Financial Assistance:**

FY 10 grants ranged from \$6,337 to \$3,593,015.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 2,153,467 participants, 18,245 farmers, 3647 farmers' markets, 2772 roadside stands. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 248, 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018

**Regional or Local Office:**

See Regional Agency Offices. See Food and Nutrition Service updated regional office listed in Appendix IV.

**Headquarters Office:**

Debra Whitford, Food and Nutrition Service, Supplemental Food Programs Division, 3101 Park Center Drive, Alexandria, Virginia 22302 Email: Debbie.Whitford@fns.usda.gov Phone: (703) 305-2746 Fax: (703) 305-2196.

**Website Address:**

<http://www.fns.usda.gov/wic/>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.565 Commodity Supplemental Food Program; 10.576 Senior Farmers Market Nutrition Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: 46 State agencies and federally recognized Indian tribal organizations. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.574 TEAM NUTRITION GRANTS**

(Team Nutrition Training Grants)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act, Section 19, as amended, 42 U.S.C. 1788.

**OBJECTIVES:**

Team Nutrition Training Grants for Healthy School Meals have been identified in USDA's national Strategic Plan for Training and Technical Assistance as one of the anchor delivery systems for supporting the implementation of USDA's nutrition requirements and the Dietary Guidelines for Americans in school meals. Team Nutrition's (TN) goal is to improve children's lifelong eating and physical activity habits by using the principles of the Dietary Guidelines for Americans and the Food Guidance System. TN Training Grants offer funding to state agencies to establish or enhance sustainable infrastructures for implementing TN using three behavior-focused strategies: (1) provide training and technical assistance to child nutrition food service professionals to enable them to prepare and serve nutritious meals that appeal to students; (2) promote nutrition curriculum and education in schools through multiple communication channels (i.e., food services initiatives, classroom activities, school wide events, home activities, community programs and events, and media events and coverage) to reinforce positive nutrition messages and encourage students to make healthy food and physical activity choices as part of a healthy lifestyle; (3) build school and community support for creating healthy school environments that are conducive to healthy eating and physical activity.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Team Nutrition Training Grants provide funding to assist State agencies in achieving the TN goal of improving children's lifelong eating and physical activity habits using the most current Dietary Guidelines for Americans. States may award sub-grants to local school districts following the established oversight procedure as well as the Guidance for Interpreting Cost Principles of Sub-Grants. Team Nutrition Training Grants provide funding to assist State agencies in achieving the TN goal of improving children's lifelong eating and physical activity habits using the most current Dietary Guidelines for Americans.

**Applicant Eligibility:**

State agencies that administer the National School Lunch Program or Child and Adult Care Food Program (CACFP) may apply for a TN Training Grant. States must apply individually.

**Beneficiary Eligibility:**

School decision makers and caregivers, school food service staff, and children, parents and teachers/educators.

**Credentials/Documentation:**

State agencies must administer the National School Lunch Program or CACFP. Applicants must prove ability to provide a competent experienced staff and other resources to assure adequate development, supervision and execution of TN Training Grant activities. In addition, applicants are required to submit a written proposal which includes a description of the training issue or issues to be addressed, the proposed project approach, the rationale for it, specific program objectives, activities, and budget. A properly executed Federal/State Agreement between the Food and Nutrition Service and the State agency is necessary before funds can be allocated. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

State agencies are furnished with a copy of the Request for Applications (RFA) package on how to apply for a TN Training Grant. Additionally, the complete RFA is posted on the FNS Team Nutrition web site. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit a complete application to the Food and Nutrition Service by the deadline specified.

**Award Procedure:**

All applications that meet the published deadline for submission will be screened for completeness and conformity to the requirements as announced in the RFA package. Grants are awarded by a competitive process via a technical review panel composed of Food and Nutrition Service staff which convenes to determine the technical merit of each grant application, provide a numerical score and make recommendations to selecting officials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Once the application is received from the State agency, it is approximately 3 to 4 months before announcement of the TN Training Grant awards.

**Appeals:**

The solicitation will provide information on appeals.

**Renewals:**

The solicitation will provide information on renewals.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Within the Federal Fiscal Year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State agencies must maintain records as necessary to support the use of TN Training Grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Salaries) FY 10 \$5,437,746; FY 11 est \$5,800,000; and FY 12 est \$6,000,000

**Range and Average of Financial Assistance:**

Unavailable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018, 7 CFR Part 3019, 7 CFR Part 3021 and 7 CFR Part 3052.

**Regional or Local Office:**

See Regional Agency Offices. See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Leslie Byrd, Food and Nutrition Service, Grants and Fiscal Policy Division, 3101 Park Center Drive, Room 738, Alexandria, Virginia 22302 Email: leslie.byrd@fns.usda.gov Phone: (703) 305-2867 Fax: (703) 605-0363.

**Website Address:**

<http://teamnutrition.usda.gov/grants.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Technical Review Criteria, which are furnished to all applicants in the Request for Applications package are used by the review panel to score and rank TN Training Grant applications.

**10.576 SENIOR FARMERS MARKET NUTRITION PROGRAM**

Senior Farmers Market

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002, Public Law 107-171, 116 Stat. 334; Section 4402, 7 U.S.C. 3007.

**OBJECTIVES:**

(1) To provide fresh, nutritious, unprepared, locally grown fruits, vegetables, herbs and honey from farmers markets, roadside stands and community supported agriculture programs to low-income seniors, and (2) to increase the

consumption of agricultural commodities by expanding, developing, or aiding in the development and expansion of domestic farmers markets, roadside stands, and community supported agriculture programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to State departments such as health, agriculture and aging, United States territories and Federally-recognized Indian tribal governments, or any other agency approved by the chief executive officer of the State. Ninety percent of grant funds may be used to support the costs of the foods that are provided under the SFMNP and ten percent may be used for administrative cost of the program.

**Applicant Eligibility:**

All States, United States territories and federally recognized Indian tribal governments that desire to receive a SFMNP grant must submit for review and approval, for each fiscal year, a State Plan to the USDA, Food and Nutrition Service (FNS) appropriate Regional Office. New State agencies are selected based on the availability of funds after base grants for currently participating State agencies are funded. Local SFMNP sites are selected by participating State agencies based on concentration of eligible senior participants and access to farmers' markets.

**Beneficiary Eligibility:**

Persons eligible for the program are low-income seniors, generally defined as individuals who are at least 60 years old and who have household incomes of not more than 185 percent of the federal poverty income guidelines (published each year by the Department of Health and Human Services). Some State agencies accept proof of participation or enrollment in another means-tested program, such as the Commodity Supplemental Food Program (CSFP) or Supplemental Nutrition Assistance Program (SNAP), for SFMNP eligibility.

**Credentials/Documentation:**

A signed and executed Federal/State Agreement (SF-339) is necessary before funds can be allocated to a participating SFMNP State agency. Costs will be determined in accordance with 7 CFR Part 3016, and FNS guidelines and instructions. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application is made through submission of a "State Plan of Program Operation and Administration" as required by law. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Farmers or farmers' markets (depending on whether State agencies have agreements with farmers or markets) may apply to be authorized to accept SFMNP coupons under the program. The State agency reviews the applications for completeness and compliance with authorization requirements. The State agency contacts the farmer/farmers' market to inform them of qualification. Individual participants apply for SFMNP benefits at approved SFMNP sites.

**Award Procedure:**

Funds are awarded by the Department on the basis of funding formulas to State agencies. If the available funds are insufficient to meet the base grant levels for current SFMNP grantees, a pro-rata reduction will be applied to the grant levels awarded to all participating SFMNP State agencies. If additional funds become available for the SFMNP, such funds would first be distributed evenly among the current grantees to make whole their base grants for that fiscal year. Grant payments are made by a letter of credit.

**Deadlines:**

Nov 15, 2011: Set forth in the announcement. SFMNP State Plans for the current fiscal year are due to the appropriate FNS Regional office by November 15.

**Range of Approval/Disapproval Time:**

In general, FNS will announce SFMNP awards, and notify each State agency that did not receive an award, approximately 60 days after the date State Plans

are due to FNS.

**Appeals:**

All decisions by the FNS are final.

**Renewals:**

This Program is authorized through September 30, 2012.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

SFMNP funds are provided using Federal Reserve Bank letters of credit and ends on November 30 of each year. State agencies may withdraw funds only as needed. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual reports submitted to FNS specifying the following data: Number and type of recipients (Federal and non-federal); number of authorized farmers, farmers' markets, roadside stands and community supported agriculture (CSAs); value of coupons issued and redeemed; and financial expenditure data. Cash reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State agencies must maintain records as necessary to support the SFMNP funds. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3507-0-1-605.

**Obligations:**

(Formula Grants) FY 10 \$22,459,007; FY 11 est \$20,600,000; and FY 12 est \$20,600,000

**Range and Average of Financial Assistance:**

FY 10 grants ranged from \$9,925 to \$1,958,418.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 844,999 participants, 20,106 farmers, 4601 farmers' markets, 3681 roadside stands, 163 community supported agriculture programs. Fiscal Year 2011: Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 249, 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018

**Regional or Local Office:**

None.

**Headquarters Office:**

Supplemental Food Program Division, Supplemental Food Programs Division, Food and Nutrition Service, USDA  
3101 Park Center Drive, Alexandria, Virginia 22302 Email:  
Debbie.Whitford@fns.usda.gov Phone: (703) 305-2746 Fax: (703) 305-2196.

**Website Address:**

<http://www.fns.usda.gov/fns/>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.565 Commodity Supplemental Food Program; 10.572 WIC Farmers' Market Nutrition Program (FMNP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 51 State agencies and federally recognized Indian tribal organizations. Fiscal Year 2011: 51 State agencies and federally recognized Indian tribal organizations. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

None applicable.

**10.578 WIC GRANTS TO STATES (WGS)**

(WIC Grants To States)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Healthy, Hunger Free Kids Act of 2010, Section 17(h)(10)(A) of the Child Nutrition Act of 1966, as amended. Section 17(h)(10)(B) of the Child Nutrition Act of 1966, as amended.

**OBJECTIVES:**

To provide grants to WIC State agencies to plan, design and implement WIC electronic benefit transfer systems so that Program benefits can be provided electronically. To provide grants to WIC State agencies to fund, implement, and evaluate innovative technology projects that improve WIC services. To provide grants to WIC State agencies to plan, design, implement, enhance or transfer management information (MIS) systems. Please note the following grant activities:

- WIC EBT Amendments (non competitive).
- WIC EBT Implementation (competitive).
- WIC SAM Amendments (non competitive).
- WIC EBT Planning Grants (competitive).
- WIC Technical Innovation Grants (competitive).
- WIC Sam Transfers Grants (competitive).
- WIC MIS Amendments (non competitive).
- WIC MIS Implementation (non competitive).
- WIC MIS Planning (non competitive).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds are used to plan, develop and implement projects for WIC EBT. Grant funds are used to enhance and improve WIC service provision through the use of technology which will have a positive impact on the nutrition and health of WIC participants. State agencies that administer the WIC Program are eligible to apply for WIC technology grant funds. States may apply individually or as a coalition of States.

**Applicant Eligibility:**

State agencies that administer the WIC Program are eligible to apply for WIC technology grant funds. States may apply individually or as a coalition of States.

**Beneficiary Eligibility:**

WIC participants will be the ultimate beneficiary in that improved technology will allow for more efficient and effective clinic operations. Additionally, the WIC Program is moving towards the issuance of benefits through electronic benefit transfer. This will enhance their shopping experience and allow for greater flexibility in benefit delivery.

**Credentials/Documentation:**

Only WIC State agencies that administer the WIC Program are eligible. Applicants must prove through the grant application process that adequate resources are available for project success. Applicants are required to submit a written proposal, which includes a description of the technology project, budget documents, feasibility studies, cost allocation plans, and other required documents. A properly executed Federal/State agreement between FNS and the State agency is necessary before funds can be allocated. To compete, applicants are required to submit a written proposal which includes a description of the proposed project, staffing, and budget documents for review



by a technical panel. Upon selection for award, a properly executed Federal/State agreement between FNS and the State agency or Indian Tribal Organization is necessary before funds can be allocated. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

WIC State agencies are given a grant solicitation package outlining the process and deadlines related to the grant application process. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit a complete application to FNS by the deadline specified.

**Award Procedure:**

All applications that meet the published deadline for submission will be screened for completeness and conformity to the requirements as announced in the solicitation package. Grants are awarded by a competitive process via a review panel composed of FNS staff, who make recommendations to selecting officials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 3 to 6 months.

**Appeals:**

Not applicable.

**Renewals:**

Will be covered in the solicitation and the cooperative agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From 2-5 years, depending on project timeline. Obligations must occur within the specified grant period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Progress reports and financial status reports must be submitted as outlined in the cooperative agreement. Cash reports are not applicable. Quarterly progress reports are required. WIC State agencies must submit quarterly financial reports in the FNS Food Programs and Reporting System. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State agencies must maintain records as necessary to support the use of technology grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3510-0-1-605.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$60,000,000; FY 11 est

\$35,000,000; and FY 12 Estimate Not Available - Please note the following grant activities: (Rounded)

WIC EBT Amendments (non competitive) 3 awards, totaling \$9,379,000. (FY-10)

WIC EBT Implementation (competitive) 3 awards, totaling \$9,606,000. (FY-10)

WIC MIS Amendments (non competitive) 2 awards totaling \$2,209,000 (FY-10)

WIC SAM Amendments (non competitive) 6 awards totaling \$4,668,000. (FY-10)

WIC SAM Amendment (non competitive) 1 award totaling \$28,803,000. (FY-10\$ in FY-11)

WIC MIS Amendment (non competitive) 1 award totaling \$940,000 (FY-10\$ in FY-11)

WIC EBT Planning Grants (competitive) 8 awards, totaling \$2,732,000. (FY-10)

WIC Technical Standard Grants (competitive) 3 awards, totaling \$1,598,000. (FY-10)

WIC EBT Amendments (non competitive) 4 awards totaling \$2,396,000. (FY-11)

WIC EBT Implementation (competitive) 4 awards totaling \$8,247,000. (FY-11)

WIC SAM/MIS Amendments (non competitive) 5 awards totaling \$19,811,000. (FY-11)

WIC Technical Innovation Grants (competitive) 1 award totaling \$1,773,000. (FY-11)

WIC EBT Planning Grants (competitive) 8 awards totaling \$2,528,000. (FY-11)

Additional FY-11 grants may be awarded to several WIC State agencies before the end of the fiscal year.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Twenty-two State agencies were awarded technology funds. Fiscal Year 2011: Twenty State agencies were awarded technology funds. Fiscal Year 2012: Additional State agencies will be awarded technology funds to plan, design, implement, WIC EBT and to plan, design, implement, enhance or transfer MIS systems.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018.

**Regional or Local Office:**

See Regional Agency Offices. See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Patricia J. Davis 3101 Park Center Drive, Alexandria, Virginia 22067 Email: patty.davis@fns.usda.gov Phone: 7033052728

**Website Address:**

<http://www.fns.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Twenty-two State agencies were awarded technology funds for EBT planning, EBT implementation, new management information systems and/or system upgrades and enhancements. Fiscal Year 2011: Twenty State agencies were awarded technology funds. Fiscal Year 2012: Additional State agencies will be awarded technology funds to plan, design, implement, WIC EBT and to plan, design, implement, enhance or transfer MIS systems.

**CRITERIA FOR SELECTING PROPOSALS:**

Technical review criteria, which are furnished to all applicants in the grant solicitation package, are used by the review panel to score and rank EBT Grant applications.

**10.579 CHILD NUTRITION DISCRETIONARY GRANTS LIMITED AVAILABILITY**

Child Nutrition Discretionary Grants

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, as amended, 42 U.S.C. 1751, 1758, 1759a, 1761, 1765, 1766, 1769, 1772, 1773, 1779; School Breakfast Program (SBP); Child Nutrition Act of 1966, as amended, Public Laws 108-265, 104-193, 100-435, 99-661, 97-35; Special Milk Program (SMP); Child Nutrition Act of 1966, as amended; Child and Adult Care Food Program (CACFP); 89 Stat. 522-525, Summer Food Service Program (SFSP); American Recovery Act and Reinvestment Act of 2009, Public Law 111-5. The 2010 Agriculture Appropriations Act (Public Law 111-80).

**OBJECTIVES:**

NSLP: To assist States, through cash grants and food donations, in making the school lunch program available to school children and to encourage the domestic consumption of nutritious agricultural commodities. SBP: To assist States in providing a nutritious nonprofit breakfast service for school children, through cash grants and food donations. SMP: To provide subsidies to schools and institutions to encourage the consumption of fluid milk by children. CACFP: To assist States, through grants-in-aid and other means, to initiate and maintain nonprofit food service programs for children, elderly or impaired adults in nonresidential day care facilities and children in emergency shelters. SFSP: To assist States, through grants-in-aid and other means, to conduct nonprofit food service programs for low-income children during the summer months and at other approved times, when schools are out of session or are closed for vacation.

The Peoples' Garden School Pilot Program is designed to award grants to develop and run community gardens at eligible high-poverty schools; teach students involved in the gardens about agriculture production practices, diet, and nutrition; contribute produce to supplement food provided at eligible schools, student households, local food banks, or senior center nutrition programs; and conduct an evaluation of funded projects to learn more about the impacts of school gardens.

Administrative Review and Training (ART) Grants are available to State agencies to assist Local Educational Agencies' administrative personnel on application, certification, verification, meal counting and meal claiming procedures.

Direct Certification and Verification grants are available for assisting State agencies in improving their direct certification and direct verification processes and rates.

Direct Certification Technical Assistance grants are available to assist States agencies in improving their direct certification processes and rates.

NSLP FY10 Equipment Grants are available for certain equipment purchases at eligible school food authorities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance can be used for specific activities authorized by Child Nutrition legislation or regulation. In the past this has included grants to local educational agencies to improve application certification and verification, and meal counting & meal claiming procedures; grants to State agencies to improve their direct certification processes and rates; and grants to develop and run community gardens at eligible high-poverty schools. Yes, as required by legislation or regulation. Less than 1% of Child Nutrition funds are set aside for discretionary grants. In FY 2010 and FY 2011, approximately \$25 million was available for discretionary grants in each year.

**Applicant Eligibility:**

Determined by the legislation providing the grants.

**Beneficiary Eligibility:**

Determined by the legislation providing the grants.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application package must be submitted electronically via [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Upon receipt of an application from an interested party a review is performed by the agency for eligibility and sufficiency of the Request for Applications (RFA) requirements. Subsequently, all acceptable applications are objectively reviewed by a technical panel according to established criteria set forth in the RFA. The panel makes award recommendations based on the scoring results. The Agency selecting official then makes the final award decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Selection of applicants for a grant award can take from 3-5 months depending on the number of applications that are received.

**Appeals:**

The RFA will provide information regarding appeals.

**Renewals:**

The RFA will provide information regarding renewals.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance of the grants vary based on project plan. Grant period of performance is generally from 1 year to 4 years. Extensions to the period of performance must be approved by the Agency. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are required to submit both quarterly and a final financial and program progress reports. Grantees are required to submit both quarterly and a final financial and program progress reports. Grantees are required to submit both quarterly and a final financial and program progress reports. Grantees are required to submit both quarterly and a final financial and program progress reports. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State agencies must maintain records as necessary to support the use of Grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3 year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$23,974,474; FY 11 est \$25,000,000; and FY 12 est \$4,000,000 - FY 2010: Administrative Review & Training - \$7,003,908, Equipment Grants - \$15,015,503, Direct Certification - \$1,925,063. FY 2011:

The Peoples' Garden School Pilot Program - \$1,000,000,  
Direct Certification - \$2,999,626,  
Administrative Review and Training - \$8,078,651,  
School Equipment Grants - \$9,984,000.  
FY 2012:

Administrative Review and Training - \$4,000,000.

**Range and Average of Financial Assistance:**

Grant awards range from \$50,000 to \$3,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3016, 7 CFR Part 3018. Determined by the legislation providing the grants.

**Regional or Local Office:**

See Regional Agency Offices. See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, Food and Nutrition Service, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302 Email: Cindy.Long@fns.usda.gov Phone: (703) 305-2590.

**Website Address:**

<http://www.fns.usda.gov>.

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are initially reviewed for eligibility and sufficiency, as defined in the RFA. Those applications that meet the criteria are reviewed by a technical panel based on specific criteria outlined in the RFA. The panel makes recommendations to the selecting official based on scoring results. The selecting official makes the final award decisions.

**10.580 SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM, OUTREACH/PARTICIPATION PROGRAM**

Participation Grants

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Section, 17a(1), Food and Nutrition Act of 2008, 7 U.S.C. 2026(a)(a); Section 17(b)(1), 7 U.S.C. 2026(b)(1); Farm Security and Rural Investment Act of 2002, Public Law 107-171; Public Law 110-246.

**OBJECTIVES:**

Program Participation Grants: The purpose of the Program Participation grants is to support efforts by State agencies and their community-based and faith-based partners to develop and implement: 1) Simplified SNAP application and eligibility systems; or 2) Measures to improve access to SNAP benefits by eligible applicants.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program Participation Grants: Funds for program participation projects are to be used to improve the quality and efficiency of operations within SNAP offices and no more than 25 percent of the grant funds may be used for outreach activities. Applications must comply with criteria listed in the Request for Application package. Applications must comply with criteria listed in the Request for Application package.

**Applicant Eligibility:**

Program Participation Grants: State agencies that administer the SNAP, State or

local governments; agencies that provide health or welfare services; public health or educational entities and private nonprofit entities such as community-based or faith-based organizations, food banks, or other emergency feeding organizations.

**Beneficiary Eligibility:**

Recipients of grants will reach out to and/or serve persons potentially eligible for SNAP benefits (low-income individuals or families).

**Credentials/Documentation:**

Proof of nonprofit status is required of nonprofit organizations and institutions. Nonprofits must also submit an IRS Determination Letter, Form 501C (3). Specific instructions provided in Request for Application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Instructions provided in Request for Application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application package should be prepared in accordance with instructions in a specific Request for Application (RFA) and sent to the grant officer identified in the RFA.

**Award Procedure:**

A Grant Review Technical Panel objectively reviews all complete and timely applications according to established review criteria provided in the Request for Applications and makes recommendations to Agency officials, who make final award decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Provided in Request for Application.

**Appeals:**

Instructions provided in Request for Application.

**Renewals:**

Instructions provided in Request for Application.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Provided in Request for Application. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State agencies must maintain records as necessary to support the use of SNAP Grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3-year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 10 \$10,851,138; FY 11 est \$5,000,000; and FY 12 est \$15,576,000 - No confirmation of FY 2012 amount.

**Range and Average of Financial Assistance:**

See [www.fns.usda.gov/snap](http://www.fns.usda.gov/snap).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 8 grants awarded. Fiscal Year 2011: Expect to fund multiple grants. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Participation Grants: 7 CFR Part 3015, 7 CFR Part 3016, 7CFR Part 3017, 7 CFR Part 3021, 7 CFR Part 3019.

**Regional or Local Office:**

None. Program Development Division, Food and Nutrition Service, Department of Agriculture, Alexandria, VA 22302. Telephone: (703) 305-2501. Contact: Moira Johnston, Chief, Program Design Branch.

**Headquarters Office:**

Moira Johnston 3101 Park Center Drive, Alexandria, Virginia 22302 Email: [moira.johnston@fns.usda.gov](mailto:moira.johnston@fns.usda.gov) Phone: 703-305-2515 Fax: 703-305-2486

**Website Address:**

<http://www.fns.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Texas Health and Human Resources Commission (HHSC) received \$301,811 to use the Customer Flow Management Tool System to improve certification and recertification processes in eligibility offices.

Virgin Islands Department of Human Services (DHS) received \$932,171 to develop an online application system that will simplify the SNAP application process and allow for assistance from a web-based portal anywhere. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The review panel to score and rank applications uses Technical Review Criteria which includes: (1) Soundness or Merit of Project Design; (2) Budget Appropriateness and Economic Efficiency; (3) Organizational Experience and Management/Staff Capability; (4) Project Oversight and Evaluation; and (5) Presentation.

**10.582 FRESH FRUIT AND VEGETABLE PROGRAM**

(FFVP)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

National School Lunch Act, as amended, 42 U.S.C. 1769.

**OBJECTIVES:**

To assist States, through cash grants, in providing free fresh fruits and vegetables to elementary school children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Under Section 19 of the National School Lunch Act, Federally appropriated Fresh Fruit and Vegetable Program funds are available to State agencies to operate during the school year. Selected low-income public and nonprofit private elementary schools are reimbursed for produce served to school children outside of the lunch or breakfast food service periods. All participating schools must agree to serve fresh fruits and vegetables free to all enrolled children, and to publicize fresh fruit and vegetable availability within the school. State agencies may select low-income public and nonprofit private elementary schools to participate.

**Applicant Eligibility:**

State agencies may select low-income public and nonprofit private elementary

schools to participate.

**Beneficiary Eligibility:**

All elementary school children enrolled in schools participating in the Fresh Fruit and Vegetable Program.

**Credentials/Documentation:**

Applicant organizations must be currently participating in the National School Lunch Program. Must be an elementary school as defined by the State agency. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The school-level application prototype form was furnished by FNS and/or modified by the State agency. An applicant should consult the State office or official designated as the single point of contact in his or her State for the National School Lunch Program for more information on the process the State requires to be followed for the FFVP. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Public or private nonprofit elementary schools make application to the State Agency.

**Award Procedure:**

The elementary schools with the highest percentages of free and reduced price enrollment will be selected. The State agency then enters into an agreement with the selected schools for their participation in the program. The State agency must amend their permanent Federal/State agreement to reflect the operation of the FFVP.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Agreements become effective upon approval by the State Agency.

**Appeals:**

None. The State agency is responsible for selecting schools based on high free and reduced price enrollment percentages.

**Renewals:**

Annual; amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Permanent, amended as necessary, described by law. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

State agencies must ensure that each school food authority with participating schools maintains and submits reimbursement claim forms to the State agency in order to receive reimbursement. State agencies must submit expenditure data quarterly via the SF-425. States must submit final fiscal year grant close out reports within 120 days after the end of the grant period. No cash reports are required. A yearly progress report is required. Program is reviewed and reported on during the regular oversight activities in the National School Lunch Program. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits may be conducted less frequently under conditions specified in A-133. The FFVP is subject to audits.

**Records:**

Schools must maintain full and accurate records of the FFVP. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3-year period as long as required for the resolution of audit findings.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Project Grants) FY 10 \$79,902,256; FY 11 est \$150,000,000; and FY 12 est \$130,159,000 - Funding will be allocated based on a funding formula. For SY 2011-2012, and each July 1st, thereafter, \$150 Million as adjusted to reflect the changes in the Consumer Price Index. The minimum grant to each of the 50 states and the District of Columbia will equal 1 percent of the funds made available to carry out the Program for school year. The remaining funds will be allocated to each of the 50 States, the District of Columbia, Guam, Puerto Rico and the Virgin Islands based on the proportion of the state population to the U.S. population.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cynthia Long, 3101 Park Center Drive Room 640 , Alexandria, Virginia 22302  
Phone: (703) 305-2590.

**Website Address:**

<http://www.fns.usda.gov/cnd>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.583 HUNGER FREE COMMUNITIES**

Hunger-Free Communities Grants

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

These grants will be awarded under authority provided by the Food, Conservation, and Energy Act of 2008, Section 4405, 7 U.S.C. 8701. This section allows the Secretary of Agriculture to award grants to meet the hunger free communities goals described in the H. Con. Res. 302 (102nd Congress), Public Law 102-PIL 110-246, 8701 U.S.C 4405.

**OBJECTIVES:**

As defined in the H.Con.Res. 302(102nd Congress), the 14 goals of the Hunger-Free Communities initiative are:

1. Having a community-based emergency food delivery network that coordinates the services of programs such as food pantries, food banks, and congregate meals facilities.
2. Assessing food insecurity problems and evaluating existing services in the community to determine necessary strategies for responding to unmet needs.
3. Establishing a group of individuals, including low-income participants, to develop and to implement policies and programs to combat food insecurity, to monitor responsiveness of existing services, and to address underlying causes and factors related to hunger.
4. Participating in federally assisted nutrition programs that should be easily accessible to targeted populations, such as the Federal programs that provide

school breakfast, school lunch, summer food, child care food, and food for homeless and older individuals.

5. Effectively integrating public and private resources, including local businesses, to alleviate food insecurity.
6. Having an education program about food needs of the community and the need for increased local citizen participation in activities to alleviate food insecurity.
7. Having available information and referral services for accessing both public and private programs and services.
8. Having initiatives for alleviating food shopping constraints through the development of creative food resources such as community gardens, buying clubs, food cooperatives, community-owned and operated grocery stores, and farmers' markets.
9. Carrying out activities to identify and target food services to high-risk populations.
10. Having adequate transport and distribution of food from all resources.
11. Coordinating food services with park and recreation programs and other community-based outlets to which residents of the area would have easy access.
12. Improving public transportation, human service agencies, and food resources.
13. Having nutrition education programs for low-income citizens to enhance good food-purchasing and food-preparation skills and to heighten awareness of the connection between diet and health.
14. Having a program for collecting and distributing nutritious food, either agricultural commodities in farmers' fields or foods that have already been prepared, that would otherwise be wasted.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Grant funds may be used for any initiative that addresses the immediate food and nutrition needs of people experiencing hunger, improves access to food as part of a comprehensive service, develops new resources and strategies to help reduce hunger in the community, prevents hunger, assesses the extend and causes of hunger in the community, and/or develops a comprehensive plan to end hunger in the community. Grants may not be used for: constructing, expanding or repairing a facility or equipment; and purchasing equipment other than computer hardware and software, warehouses, storage space

"Equipment" means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-profit organization for financial statement purposes, or \$5,000. (2 CFR Part 230, Appendix B, Selected Items of Cost) Each unit purchase at \$4999.99 and below is considered materials. Materials that are necessary and related to the project are an allowable cost if approved by the agency. \$5 million.

**Applicant Eligibility:**

Grant applications must include at least one of the 14 goals of the Hunger-Free Communities Initiative as defined in the H.Con.Res. 302 (102nd Congress)

The grant will be used by the grant recipient to provide the targeted community with assistance for a hunger-free community.

The Federal share of the cost of the activities funded by these grants shall not exceed 80 percent. The grantee is responsible for the remaining 20 percent. Grantees will be allowed to use the grant funds for the duration of the project period, not to exceed two years.

These are collaborative grants, and applicants are required to partner with one or more organizations in their communities. Applicants are also required to partner with Food Policy Councils or their functional equivalent at the local level or include the creation of a Food Policy Council as part of their application should one not serve their community.

**Beneficiary Eligibility:**

Any individual or family who is a part of the targeted community and meets the guidelines as set by the grant recipient is eligible.

**Credentials/Documentation:**

Financial data, DUNS number. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

The Grant solicitation will provide information on evaluation criteria. A panel will convene to assign points and finalize selection.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. The deadline for submission will be stipulated in the request for applications.

**Appeals:**

A post award discussion may take place on request.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20%. 20% matching is required. The matching criteria is available in the RFA.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Two years from identified start date. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Yes, program reports are required on a quarterly basis as well as one final report 90 days after end of project. Reports required quarterly and at year's end. Yes, progress reports are required on a quarterly basis as well as one final report 90 days after end of project. Reports are required quarterly and at year's end. Program reports will provide information on performance and progress to meet grant objectives.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Salaries) FY 10 \$4,978,453; FY 11 est \$0; and FY 12 Estimate Not Available - FY11 appropriation did not fund as requested.

**Range and Average of Financial Assistance:**

There is \$1 million set aside for grants in Model 1: Planning and Assessment Grants. These grants will be awarded up to \$100,000 per grantee. If all of the \$1 million is not used, the unused funds from Model 1 will be moved to funding for Model 2. Applicants in Model 1 will assess the hunger and food insecurity in their community and create a plan to become hunger-free.

The remaining \$4 million is set aside for grants in Model 2: Implementation

Grants. Organizations applying for Model 2 grants must have already conducted an assessment and developed a plan to end hunger in their community as a condition of application. A total award pool of approximately \$4 million will be awarded with maximum awards varying by the population of the community: up to \$2 million for cities with a population greater than two million, up to \$1 million for metropolitan areas with a population greater than 50,000 but less than two million, and up to \$1 million for areas with less than 50,000 residents.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

legislative language

**Regional or Local Office:**

None.

**Headquarters Office:**

Pam Phillips, Office of Strategic Initiatives, Partnerships and Outreach, Food and Nutrition Service, 3101 Park Center Drive, Alexandria, Virginia 22302  
Email: Pam.Phillips@fns.usda.gov Phone: (703) 305-2298.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: See  
[http://www.fns.usda.gov/fns/outreach/grants/hfc\\_awards.htm](http://www.fns.usda.gov/fns/outreach/grants/hfc_awards.htm) for description of awards funded in FY2010

Implementation Centro Del Obrero Fronterizo, Inc. TX 110,065  
Implementation Governors Office for Children MD 923,812  
Implementation United Way of King County WA 987,380  
Implementation United Way of New York City NY 2,000,000  
Assessment & Planning Community Services Planning Council CA 99,396  
Assessment & Planning Cornell Cooperative Ext of Niagara Co. NY 96,175  
Assessment & Planning Cornell Cooperative Ext of Oneida Co. NY 100,000  
Assessment & Planning Food Bank Coalition San Luis Obispo Co. CA 99,561  
Assessment & Planning International Sonoran Desert Alliance AZ 63,000  
Assessment & Planning Marywood University PA 100,000  
Assessment & Planning North County Community Services CA 100,000  
Assessment & Planning Poughkeepsie Farm Project NY 99,311  
Assessment & Planning Rutgers, The State University of NJ NJ 99,753  
Assessment & Planning United Way of Passaic County NJ 100,000. Fiscal Year 2011: NA. Fiscal Year 2012: NA.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications that meet the screening requirements will be referred to an appropriate technical review panel. Each panel member will rank the applications assigned to them by score from highest to lowest. Applications are scored based on the defined community's need for the project, a comprehensive project design, organizational capacity for successfully completing the project combined with strong community partnerships, and budget criteria.

The selection official will consider each panel's recommendations; however he or she may consider other USDA or FNS priorities such as geographic, demographic or socioeconomic diversity, and agency priorities in addition to the scores assigned by the technical review panels. The selection official may also determine that, based on their scores, few of the applications are of technical merit. In such a case, FNS may make fewer awards or smaller awards than expected or make no awards. In addition, FNS reserves the option to select one or more lower rated applications in order to achieve a diversity of projects and regional representation.

**10.585 FNS FOOD SAFETY GRANTS**

FNS Food Safety Grants

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2010, 2010, Public Law 110-80; Richard B. Russell National School Lunch Act, Section 6(a)(3), 42 U.S.C 1755(a)(3); National Agriculture Research, Extension, and Teaching Policy Act of 1977, Section 1472(b), 7 U.S.C 3318(b), Public Law 110-80; National Agriculture Research, Extension, and Teaching Policy Act of 1977, Section 1472(b), 7 U.S.C 3318(b); Richard B. Russell National School Lunch Act, Section 6(a)(3), 42 U.S.C 1755(a)(3).

**OBJECTIVES:**

The Food and Nutrition Services Office of Food Safety provides funding to support its mission of increasing awareness, visibility, and impact of food safety on USDA nutrition assistance programs. There are six active grants funded:

1. The U.S. Department of Agriculture, Food and Nutrition Service (FNS) is establishing a Center of Excellence for School Food Safety Research to provide science-based support to improve the safety of foods provided through the FNS nutrition assistance programs, particularly those served in schools and child care settings. The Center will provide an interdisciplinary and timely approach to applied food safety research needs related to FNS nutrition assistance programs, particularly the child nutrition programs, and develop written communications to convey research results to a variety of audiences, including scientists, policy makers, educators, and practitioners. (competitive)
2. The National Food Service Management Institute, an institute established by Congress to support Child Nutrition Programs, provides support to the FNS Office of Food Safety for developing food safety education programs and materials and conducting applied research related to food safety education. (non-competitive)
3. The National Environmental Health Association promotes the use of the National Coalition for Food-Safe Schools Food-Safe Schools Action Guide, maintains the Food-Safe Schools website, and maintains the online peer-reviewed school food safety resource list. (non-competitive)
4. The Institute of Medicine Food Forum provides opportunities for science and technology leaders in the food industry, government, consumer groups, and academicians to identify and discuss contemporary issues related to nutrition, food science, food safety, and food technology. Outcomes of the Food Forum include meetings and workshops, summaries or proceedings of meetings and workshops, and independent cooperative projects. (non-competitive)
5. The National Education Association Health Information Network reaches teachers, custodians, schools food service workers, nurses, bus drivers, and other education support professionals with health messages. They will support the Office of Food Safety in creating a resource on preventing food allergy reactions in schools, especially for foods serviced outside of the cafeteria as part of child nutrition programs. (non-competitive)
6. The School Nutrition Foundation reaches school nutrition professionals with educational messages and will support the Office of Food Safety in developing and delivering a series of webinars on produce safety. (non-competitive)
7. State Communications Grant provides funding for state distributing agencies to improve recall communications with recipient agencies.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Funding is provided to a university or organization to achieve the objectives of the grant. The university or organization may award sub-grants to obtain the expertise and skills needed to accomplish the objectives of the Center. Guidance on restrictions are set forth in the grant document.

**Applicant Eligibility:**

Assistance may be used to conduct research or perform other tasks to benefit FNS nutrition assistance programs in the area of food safety.

**Beneficiary Eligibility:**

FNS nutrition assistance program decision makers, FNS nutrition assistance program providers, and children and teachers.

**Credentials/Documentation:**

Not currently applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Not currently applicable.

**Award Procedure:**

All applications that meet the published deadline for submission will be screened for completeness and conformity to the requirements as announced in the RFA package. Grants are awarded by a competitive process via a technical review panel composed of FNS and other Federal staff that will meet to determine the technical merit of each grant application, provide a numerical score, and make recommendations to selecting officials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. There are presently no open requests for applications.

**Appeals:**

From 30 to 60 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not currently applicable. Method of awarding/releasing assistance: quarterly.

**Reports:**

The quarterly and final programmatic and financial reports are required to be submitted by the grantee in accordance with the grant terms and conditions. No cash reports are required. Quarterly progress reports are required. Quarterly budget reports are required. The grantee will work closely with the Agency on performance progress.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee must maintain records in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3-year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Salaries) FY 10 \$697,161; FY 11 est \$1,975,000; and FY 12 est \$415,000 - FY10 funding: National Food Service Management Institute, \$582,161; National Environmental Health Association, \$100,000; Institute of Medicine

Food Forum, \$15,000

FY11: National Food Service Management Institute, \$115,000; Institute of Medicine Food Forum, \$15,000; School Nutrition Foundation, \$48,368; National Education Association Health Information Network, \$192,466; Center of Excellence, \$1,599,981.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The National Food Service Management Institute (NFSMI) supported the Office of Food Safety in produce safety education efforts, including bringing participants to in-person trainings and creating a series of factsheets, videos, and other educational materials. The National Environmental Health Association performed marketing and promotion and training for the Food-Safe Schools Action Guide, including supporting the Food Safety Schools Website. The Institute of Medicine Food Forum conducted meetings on food safety topics. Fiscal Year 2011: The National Food Service Management Institute will update childcare recipes to meet current food safety guidelines, conduct food defense table top exercises, and perform training of school foodservice professionals on food safety topics. The National Education Association Health Information Network will create a resource on food allergies in schools. The Institute of Medicine Food Forum will conduct meetings on food safety topics. The School Nutrition Foundation will conduct webinars on produce safety. The Center of Excellence for School Food Safety Research will conduct research, including in the areas of proper cooling techniques and the assessing implementation of school food safety plans. Fiscal Year 2012: The Office of Food Safety will work with the National Food Service Management Institute and other organizations receiving grants to increase awareness, visibility, and impact of food safety on USDA nutrition assistance programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018, 7 CFR Part 3019, 7 CFR Part 3021, and 7 CFR Part 3052.

**Regional or Local Office:**

None.

**Headquarters Office:**

Brenda Halbrook Office of Emergency Management and Food Safety  
Food and Nutrition Service  
3101 Park Center Dr. , Alexandria, Virginia 22302 Email:  
Brenda.Halbrook@fns.usda.gov Phone: 703-305-2608 Fax: 703-305-2420

**Website Address:**

[http://www.fns.usda.gov/fns/food\\_safety.htm](http://www.fns.usda.gov/fns/food_safety.htm)

**RELATED PROGRAMS:**

10.579 Child Nutrition Discretionary Grants Limited Availability

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.586 OFFICE OF RESEARCH AND ANALYSIS (ORA)  
GRANTS/COOPERATIVE AGREEMENTS TO MEET FOOD,  
NUTRITION AND HEALTH NEEDS OF PROGRAM ELIGIBLE  
PARTICIPANTS**

ORA Food, Nutrition and Health Research Grants and Cooperative Agreements

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

National Agriculture Research, Extension, and Teaching Policy Act of 1977, Section 1403(8), 7 U.S.C. 3102, Section 1403(8), 7 U.S.C 3102.

**OBJECTIVES:**

To enable Food and Nutrition Service (FNS) to enter into grants and cooperative agreements with States and local governments, universities, hospitals and non-profit organizations to identify, develop and undertake

projects to meet FNS program needs and the food, nutrition, and health of program eligible participants. The grantees and recipients would work cooperatively with FNS to:

- Support researcher-initiated projects that use a common approach to reporting findings to ensure transparency and facilitate a meta-analysis of all projects;
- Coordinate activities among researchers;
- Effectively use technology and digital media to achieve desired outcomes; and
- Advance communication and coordination to improve target behaviors.

The grants and cooperative agreements are to enable FNS to be more responsive to program needs and the food, nutrition and health needs of FNS program participants.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative Agreement Grants will be made to State and local governments, universities, hospitals, and non-profit organizations for awarding cooperative agreements, and grants to design, develop and evaluate innovative approaches for Food and Nutrition Service (FNS) programs, such as WIC, to meet FNS program needs and to strengthen their impact on the food, nutrition and health of program eligible participants. The grant and cooperative agreement recipient is task with:

- making sub-grants,
- coordinating efforts among sub-grantees,
- evaluating impact of FNS programs, such as WIC, on food, nutrition and health,
- providing a summary and syntheses of these and related efforts, such as meta-analysis on the results,
- composing and coordinating conference on observations and findings, and
- providing FNS with cost neutral approaches to improving FNS programs.

FNS' primary objective for these grants and cooperative agreements is to support interest in exploring better ways to improve and assess Food and Nutrition Service program needs and their impact on the food, nutrition and health of program eligible participants. The grants should enhance knowledge and further research activities by the academic community, FNS and others. See the RFP. The grant and cooperative agreement funds will be provided to recipients (grantees) who will be responsible to spend the funds in accordance with what is set forth in the grant or cooperative agreement, and applicable Federal circulars such as A-110. The source and use of the funds for the grants and cooperative agreements will be tied to a project of interest to one or more of FNS' program areas. FNS has the discretion to select (through competition) what institution will receive the funds and to what research endeavors they will be applied, assuming that research is not specified in the law or other directive.

**Applicant Eligibility:**

The assistance is to be used to establish grants and cooperative cooperative agreements to identify, develop and undertake projects to meet Food and Nutrition Service (FNS) program needs and the food, nutrition, and health of program eligible participants.

**Beneficiary Eligibility:**

Cooperative agreements are to be awarded to State and local governments, hospitals, non-profit organizations and accredited colleges/universities offering advanced degrees at the PhD level in biological and social sciences such as sociology, psychology, education, nutrition, public health and economics. This is a requirement for the selected recipient of the grants and cooperative agreements, not the sub-grantees. Cooperative agreement recipients are to award sub-grants to researchers to identify, develop and evaluate interventions and innovative approaches to strengthen the impact of Food and Nutrition Service programs, such as WIC, on the food, nutrition and health of program eligible participants.

**Credentials/Documentation:**

OMB Circulator No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from



coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants are required to submit a grant or cooperative agreement proposal, along with an Application for Federal Assistance SF-424(R&R). Requirements, (such as submission, formatting, budget, etc. requirements) for the grant or cooperative agreement proposal are specified in the Request for Application.

All applications must be submitted electronically through www.grants.gov. Applicants may submit paper-copy applications under extenuating circumstances, such as outages of the Grants.gov website that can be substantiated by a valid case number with the Grants.gov support center.

**Award Procedure:**

Proposals will be evaluated on the criteria of research merit, overall approach, feasibility, and staffing/budget/time line. Based on the responses to the criteria, applications will be reviewed and scored by panel evaluators. The proposals will be ranked by score starting with the highest score and presented to selecting officials based on this ranking. Selecting officials will consider the panel rankings and comments, recommendations from Food and Nutrition Service (FNS) staff, and other pertinent information before deciding which proposals to fund. FNS selecting officials reserve the right to fund proposals out of rank order based on written assessments made by evaluation panel members, information provided by regional office staff, and agency priorities.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact the Headquarter's contact mentioned at the end of this description.

**Appeals:**

As specified in the RFP.

**Renewals:**

As specified in the RFP.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The total time period for which a grant or cooperative agreement is awarded may not exceed 60 months. See the following for information on how assistance is awarded/released: Funding will be made to successful recipients as specified in the terms of the grant or cooperative agreement with Food and Nutrition Service or as applicable under federal regulation requirements.

**Reports:**

Program reports are required according to the terms of the grant or cooperative agreement with Food and Nutrition Service or as applicable under federal regulation requirements. Report SF-PPR is to be filed by the recipient according to the terms of the grant or cooperative agreement. Cash reports are not applicable. Progress reports are required according to the terms of the grant or cooperative agreement with Food and Nutrition Service or as applicable under federal regulation requirements. Expenditure reports are required according to the terms of the grant or cooperative agreement with Food and Nutrition Service or as applicable under federal regulation requirements. Report SF 425 is to be filed by the recipient according to the terms of the agreement or as applicable under federal regulation requirements. Performance monitoring reports are required to be filed by the recipient according to the terms of the cooperative agreement with Food and Nutrition Service or as applicable under federal regulation requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records (financial/administrative/grant) are to be maintained according to the time requirements specified in the terms of the grant, or cooperative agreement with Food and Nutrition Service or as applicable under federal regulation requirements.

**Account Identification:**

12-3510-0-1-605 - To be supplied at time of grant or cooperative agreement award.

**Obligations:**

(Salaries) FY 10 Not Available; FY 11 est \$3,500,000; and FY 12 Estimate Not Available(Exp: Contingent on grants and coopera)

**Range and Average of Financial Assistance:**

Amount of grant or cooperative agreement is contingent on availability of qualified proposals and funding request from recipient.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Steve Carlson 3101 Park Center Drive, Alexandria, Virginia 22302 Email: Steve.Carlson@fns.usda.gov Phone: 703-305-2017 Fax: 703-305-2576

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

10.557 Special Supplemental Nutrition Program for Women, Infants, and Children

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated on the criteria of research merit, overall approach, feasibility, and staffing/budget/time line. Based on the responses to the criteria, applications will be reviewed and scored by panel evaluators. The proposals will be ranked by score starting with the highest score and presented to selecting officials based on this ranking. Selecting officials will consider the panel rankings and comments, recommendations from Food and Nutrition Service (FNS) staff, and other pertinent information before deciding which proposals to fund. FNS selecting officials reserve the right to fund proposals out of rank order based on written assessments made by evaluation panel members, information provided by regional office staff, and agency priorities.

**10.588 ASSESSMENT OF ALTERNATIVES TO FACE-TO-FACE INTERVIEWS IN SNAP**

Assessment of Face-to-Face Interviews

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

The Food Stamp Act of 2008 , Section 17 (a)(1).

**OBJECTIVES:**

To examine how/if eliminating the client interview for SNAP benefits affects administration of the SNAP program and client outcomes.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance shall be used to defray the cost for the states to implement the

demonstrations and participate in the evaluation of the demonstrations.

**Applicant Eligibility:**

Allowable use of funds includes, but is not limited to, personnel costs; office and research supplies; travel for data collection; and technology (both hardware and software) necessary for operating the Cooperative Agreement.

**Beneficiary Eligibility:**

This project will be beneficial to both state and local SNAP offices, as it will inform them of how eliminating the face-to-face interview for SNAP applicants affects the administration of the program. The clients, in turn, will benefit from the project because the findings of the study will be used by the state and local offices to improve their administration of the program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Applicants will submit their response to the RFA through grants.gov. FNS will prescreen all applications to ensure that they contain the required documents and information. If an application does not include all appropriate information, FNS will consider the application to be non-responsive and will eliminate it from further evaluation.

Following the initial screening process, FNS will assemble a panel to review and determine the technical merits of each application based on how it addresses the required application components. The panel will award the grants to applicants whose application best demonstrates the capacity to implement and operate the pilots. Preference will be given to those applications that address all of the criteria completely, explain in detail how the pilot will be designed and implemented, and show capacity and willingness to cooperate fully with the data collection and evaluation. In addition, the applications that best detail a process for collecting the necessary information from clients to verify cases with minimal contact under the no interview model will merit higher scores. Additional points will also be given to states applying for the regular evaluation but have the capacity to conduct more than the minimum suggested QC-like reviews at the pilot site.

The selection official will consider the panels recommendations. The selection official may consider other FNS priorities, such as geographic, demographic, socioeconomic diversity or size of QC sample in addition to the scores assigned by the technical review panel. FNS reserves the option to select one or more lower-rated applications in order to achieve a diversity of projects and regional representation.

**Deadlines:**

Aug 01, 2011: by 5:00PM.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

From 30 to 60 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

28 months - September 2011 through December 2013. See the following for information on how assistance is awarded/released: Four equal installments.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports from each participating state will provide details about the status of the demonstrations. No expenditure reports are required. The external third party evaluator will monitor the demonstrations and conduct the evaluation.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

12-3503-0-1-605.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$450,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rosemarie Downer 3101 Park Center Drive, Alexandria, Virginia 22302 Email: rosemarie.downer@fns.usda.gov Phone: 7033052129 Fax: 7033052576

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.580 Special Nutrition Assistance Program Outreach/Participation Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must adhere to the format described in the RFA. The application must include:

Cover Sheet

Table of Contents

1. Application Summary (1 page limit)
2. Pilot Design and Implementation (20 page limit)
3. The application should also specifically address the following questions.

How would implementing the no interview model change the overall processing of cases?

How will the state handle subgroups in the pilot area that are receiving a different interview method under a current waiver?

How will the state handle walk-in clients at the no interview site?

If a client asks for a face-to-face interview at a no interview site, how will that be tracked for data purposes?

Will the no interview model change the way expedited cases are processed?

How will the state implement the pilot to reduce the potential of increased error rates and erroneous denials?

What is the level of modernization in place in the state and how does that affect the pilot site? Indicate if there will be additional changes in the pilot or comparison areas or the state during the study.

What is the states capacity for conducting QC-like reviews and their ability to provide the data required by the evaluator? How many reviews can the state conduct and over what time period? Explain any deviation from the suggested number of interviews or timeline.

4. Staffing and Management of the Grant.

**10.605 QUALITY SAMPLES PROGRAM**

(QSP)

**FEDERAL AGENCY:**

FOREIGN AGRICULTURAL SERVICE, DEPARTMENT OF AGRICULTURE

**AUTHORIZATION:**

The Quality Samples Program is authorized by Section 5(f) of the Commodity Credit Corporation (CCC) Charter Act, 15 U.S.C. 714c(f).

**OBJECTIVES:**

The Quality Samples Program is designed to encourage the development and expansion of export markets for U.S. agricultural commodities by assisting U.S. entities in providing commodity samples to potential foreign importers to promote a better understanding and appreciation for the high quality of U.S. agricultural commodities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use.

**USES AND USE RESTRICTIONS:**

Quality Samples Program funds are authorized through project agreements that include the maximum amount that may be reimbursed and identify terms and conditions pursuant to which CCC will reimburse costs. Under the QSP, participants may be reimbursed for certain costs of purchasing and transporting commodity samples. Although providing technical assistance is required for all projects, costs of providing the actual technical assistance is not reimbursed under the QSP.

**Applicant Eligibility:**

To be approved, an applicant must be a U.S. private or government entity.

**Beneficiary Eligibility:**

The Quality Samples Program is intended to benefit a represented U.S. industry rather than a specific company or brand.

**Credentials/Documentation:**

Applicants must submit a written proposal which includes, but is not limited to, the following: a description of the organization and its membership; a description of the organization's prior export promotion experience; a description of the organization's experience in implementing an appropriate trade/technical assistance component; an assessment of the market; a long-term strategy in the market; amount of funding requested; a brief description of the specific market development trade constraint or opportunity to be addressed by the project; a sample description; and the importer's role in the project regarding handling and processing the commodity samples. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372 and OMB Circular No. A-102.

**Application Procedures:**

Each year the availability of funds is announced in a Federal Register notice. At that time, proposals should be submitted to the Director, Marketing Operations Staff, Foreign Agricultural Service (FAS).

**Award Procedure:**

Proposals are reviewed against the allocation criteria and factors specified in the Federal Register notice. CCC notifies each applicant of the final disposition of its application and also issues a public announcement concerning the allocation of resources among the applicant organizations. Each approved applicant receives a program agreement and allocation approval letter that specifies any special terms and conditions applicable to a participant's program. Final agreement occurs when both the participating organization and the Deputy Administrator for Commodity and Marketing Programs, FAS, sign the program agreement.

**Deadlines:**

Application deadline is announced in the form of a Federal Register notice.

**Range of Approval/Disapproval Time:**

Approximately 30-90 days.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable. Program commitments are made on a program year basis.

**Formula and Matching Requirements:**

Although highly encouraged, financial and in-kind support from the participant is not required. Such contributions may be in the form of cash or goods and services.

**Length and Time Phasing of Assistance:**

Agreements generally include a twelve-month promotional effort and a requirement for program evaluation. Funds awarded in any given fiscal year may be made available for a longer period.

**Reports:**

Reimbursement claims are submitted to claim reimbursement of costs associated with completing approved projects. Evaluation reports are submitted within 90 days of expiration of the agreement.

**Audits:**

Participant projects are reviewed by representatives of the Compliance Review Staff (CRS) of FAS. Audits and reviews may be conducted sporadically by representatives of the Office of the Inspector General and the General Accounting Office. Accounts and records must be available for inspection and audit at any reasonable time.

**Records:**

Records must be maintained for not less than 3 years after completion or termination of the agreement or not more than 5 full calendar years following the year the transaction that is evidenced by such an account or record that took place, whichever is sooner.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Direct Payments) FY 07 \$2,500,000; FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

Projects funded on a project by project basis for up to \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

For the 2005 program year, allocations were made to 20 organizations. Example: The U.S. Wheat Associates, through the use of QSP funded technical assistance activities, successfully introduced U.S. Desert Durum into the Venezuelan market. As a direct result of the QSP funded programs, Venezuela, who exclusively imported Canadian durum wheat, imported 18,200 tons of U.S. wheat.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

Not applicable.

**Headquarters Office:**

Director, Marketing Operations Staff, Foreign Agricultural Service, Department of Agriculture, Washington, DC 20250. Telephone: (202) 720-4327.

**Website Address:**

<http://www.fas.usda.gov/mos/programs/qsp.asp>.

**RELATED PROGRAMS:**

10.600, Foreign Market Development Cooperator Program; 10.601, Market Access Program.

**EXAMPLES OF FUNDED PROJECTS:**

(1) Shipment of samples of peanut flour to China for a technical assistance activity; (2) brown rice sample shipped to Russia that was used to train rice millers to mill U.S. brown rice; and (3) a sample of orange and grapefruit concentrate shipped to China for a processing seminar.

**CRITERIA FOR SELECTING PROPOSALS:**

FAS uses the following criteria when evaluating QSP proposals: (1) the ability of the organization to provide an experienced staff with the requisite technical and trade experience to execute the proposal; (2) the extent to which the proposal is targeted to a market in which the United States is generally

competitive; (3) the potential for expanding commercial sales in the proposed market; (4) the nature of the specific market constraint or opportunity involved and how well it is addressed by the proposal; (5) the extent to which the importer's contribution in terms of handling and processing enhances the potential outcome of the project; (6) the amount of reimbursement requested and the organization's willingness to contribute resources, including cash and goods and services of the U.S. industry and foreign third parties; and (7) and how well the proposed technical assistance component assures that performance trials will effectively demonstrate the intended end-use benefit.

#### **10.610 EXPORT GUARANTEE PROGRAM**

The GSM-102 Program

##### **FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

##### **AUTHORIZATION:**

Agricultural Trade Act of 1978; OMB 7 CFR 1493, Part A.

##### **OBJECTIVES:**

The U.S. Department of Agriculture's (USDA) Export Credit guarantee Program (GSM-102) provides credit guarantees to encourage financing of commercial exports of U.S. agricultural products, while providing competitive credit terms to buyers. By reducing financial risk to lenders, credit guarantees encourage exports to buyers in countries-mainly developing countries- that have sufficient financial strength to have foreign exchange available for scheduled payments. The program guarantees credit extended by the private banking sector in the U.S. (or, less commonly, by the U.S. exporter) to approved foreign banks using dollar-denominated, irrevocable letters of credit for purchases of U.S. food and agricultural products by foreign buyers. USDA's Foreign Agricultural Service (FAS) administers the program on behalf of the Commodity Credit Corporation (CCC), which issues the credit guarantees. GSM 102 covers credit terms of up to three year; maximum terms may vary by country.

##### **TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans

##### **USES AND USE RESTRICTIONS:**

CCC guarantees payments due from approved foreign banks to exporters or financial institutions in the U.S. However, the financing must be obtained through normal commercial sources. Typically, 98 percent of principals and a portion of interest are covered by a guarantee. Because payment is guaranteed, financial institutions in the U.S. can offer competitive credit terms to the foreign banks, usually with interest rates based on the London Inter Bank Offered Rate (LIBOR). Any follow-up on credit arrangements between the foreign bank and the importer are negotiated separately and are not covered by the CCC guarantee.

##### **Applicant Eligibility:**

Export Credit guarantee Program (GSM-102) provides credit guarantees to encourage financing of commercial exports of U.S. agricultural products, while providing competitive credit terms to buyers. By reducing financial risk to lenders, credit guarantees encourage exports to buyers in countries-mainly developing countries- that have sufficient financial strength to have foreign exchange available for scheduled payments. This Program provides guarantees to lenders.

##### **Beneficiary Eligibility:**

Exporters or the exporters assignee are the direct beneficiaries and must meet the applicant eligibility requirements. Interested parties, including U.S. exporters, foreign buyers, banks, may request that the CCC establish a GSM-102 program for a country or region. Prior to announcing the availability of guarantees, the CCC evaluates the ability of each country and foreign bank to service CCC guaranteed debt.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. CCC must qualify exporters for participation before accepting guarantee applications. An exporter must have a business office in the U.S. and must not be debarred or suspended from any U.S. government program. Financial institutions must meet established criteria and be approved by CCC. CCC sets limits and advises each approved foreign bank on the maximum amount CCC will guarantee for that bank. The

##### **Award Procedure:**

The CCC-approved foreign bank issues a dollar-denominated, irrevocable letter of credit in favor of the U.S. exporter, ordinarily advised or confirmed by the financial institution in the U.S. agreeing to extend credit to the foreign bank. The U.S. exporter may negotiate an arrangement to be paid as exports occur by assigning to the U.S. financial institution the right to process that may become payable under the CCC's guarantee. Under this arrangement, the exporter would also provide transaction-related documents required by the financial institution, including a copy of the export report, which must also be submitted to CCC.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Please contact the headquarters or regional office for additional approval information.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

Statutory Formula: Title 7, Chapter 14, Part 1493. CCC will review documents submitted under a claim. If all information and documents are in good order and meet the requirements of the regulations, CCC will pay to the exporter (or the exporter's assignee) the lesser of 1) the guarantee value stated in the payment guarantee, plus eligible interest; 2) the guaranteed percentage, indicated in the payment guarantee, of the exported value as indicated in the Evidence of Export, plus eligible interest.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

The payment guarantee applies to a credit period established in the application, and coverage begins either on the date(s) of export or the date when interest begins to accrue, whichever is earlier. Coverage will continue during the credit term specified in the payment guarantee. However, the payment guarantee does not become effective until the date of export. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

No reports are required.

##### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients under this program are subject to audit by the Office of the Regional Inspector General, U.S. Department of Agriculture.

##### **Records:**

For CCC audit purposes, the U.S. exporter must obtain documentation to show that the commodity arrived in the eligible country, and the exporter or the exporter's assignee must maintain all transaction documents for five years from the date of completion of all payments.

##### **Account Identification:**

12-1111-1-1-111.

##### **Obligations:**

(Guaranteed/Insured Loans) FY 10 Not Available; FY 11 est \$1,050,000,000;

and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Announcements issued by the Foreign Agricultural Service provide information on specific country and commodity allocations, length of credit period, and other program information and requirements.

**Regional or Local Office:**

See Regional Agency Offices. For more information, contact:  
Director, Credit Programs Division, Office of Trade programs  
FAS/USDA, Stop 1025, 1400 Independence Ave SW Washington DC  
20250-1025.

**Headquarters Office:**

Operations Division 1400 Independence Ave SW Washington DC 20250-1025  
Stop 1025, Washington, District of Columbia 20250 Phone: (202) 720-2949  
Fax: (202) 720-6211

**Website Address:**

<http://www.fsa.usda.gov/excredits/ecgp.asp> program information  
<http://www.fas.usda.gov/excredit/exp-cred-guar.asp> FAS announcements of  
GSM-102 allocations

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.613 FACULTY EXCHANGE PROGRAM**

Faculty Exchange Program

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Act of 1977, as amended, 7 U.S.C. 3291, Food Security Act of 1985, as amended, Public Law 99-198.

**OBJECTIVES:**

The Faculty Exchange Program assists developing countries to improve their university agricultural education, research and extension programs by providing a one semester training program at U.S. Land Grant Agricultural Universities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

No funding is available for unsolicited proposal. Faculty Exchange Program funds are used to provide participant training at Land Grant Universities in the U.S.

**Applicant Eligibility:**

The Faculty Exchange Program solicits proposals for U.S. Land Grant Universities,.

**Beneficiary Eligibility:**

Technical assistance and training provided through these agreements benefit foreign governments and related agricultural institutions in their countries.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular Nos. A-21 and A-122. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

All proposals are evaluated by technical specialists on an ongoing basis, which rate the qualifications of applicants and merits of the proposals. Selection criteria will be published with each individual request for expression of interest to participate in the program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is phased according to the requirements of individual projects. Agreements are entered into with selected institutions for a maximum period of 5 years. See the following for information on how assistance is awarded/released: Through reimbursable agreements.

**Reports:**

Mentor reports and participant reports are required. SF-425, Federal Financial Report, are required quarterly. Mentor reports and participant reports are required. SF-425, Federal Financial Report, are required quarterly. Mentor reports and participant reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Typically, a recipient must maintain all program and financial records for a period of 3 years subject to conditions found in 7 C.F.R. 3015.21 and 7 C.F.R. 3015.22.

**Account Identification:**

12-2900-0-1-352.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$600,000; FY 11 est \$520,000; and FY 12 est \$350,000 - A portion of the total for FY 2010 was from previous FY carryover funds.

**Range and Average of Financial Assistance:**

Approximately \$40,000-45,000 per participant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 12 participants from 6 countries participated in the program.  
Fiscal Year 2011: 9 participants from 2 countries will be trained in FY 2011.  
Fiscal Year 2012: Approximately 8 participants will be trained in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal financial assistance transactions under 7 U.S.C. 3291 are subject to various legal requirements that are codified in the USC, parts of the CFR, Executive Orders, Treasury Financial Manual bulletins, and other legally binding sources. These transactions are subject to many specific legal

- requirements, when applicable, including, but not limited to, the following:
- (a) 7 C.F.R. part 3015, Uniform Federal Assistance Regulations;
  - (b) 7 C.F.R. part 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments;
  - (c) 7 C.F.R. 3022, Research Institutions Conducting USDA-Funded Extramural Research, Research Misconduct;
  - (c) 2 C.F.R. part 25 Universal Identifier and Central Contractor Registration;
  - (d) 2 C.F.R. part 170, Reporting Subaward and Executive Compensation Information;
  - (e) 2 C.F.R. part 175, Award Term for Trafficking in Persons;
  - (f) 2 C.F.R. part 180 and part 417, OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) and (USDA) Nonprocurement Debarment and Suspension;
  - (g) 2 C.F.R. part 182, Governmentwide Requirements for Drug-Free Workplace (Financial Assistance);
  - (h) 2 C.F.R. part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations;
  - (i) 2 C.F.R. part 220, Cost Principles for Educational Institutions (OMB Circular A-21);
  - (j) 2 C.F.R. part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87);
  - (k) 2 C.F.R. part 230, Cost Principles for Nonprofit Organizations;
  - (l) Federal Acquisition Regulations 31.2 (for profit cost principles);
  - (m) Executive Order 13224, as amended, Blocking Property and Prohibiting Transactions with Persons Who Commit, Threaten to Commit, or Support Terrorism;
  - (n) OMB Circular A-133, as codified in 7 C.F.R. part 3052, Audits of States, Local Governments, and Nonprofit Organizations;
  - (o) 7 C.F.R. part 3015.175(b), Copyrights;
  - (p) 41 U.S.C. parts 351-358, the McNamara-O'Hara Service Contract Act of 1965;
  - (q) 37 C.F.R. part 401.1, Bayh-Dole Act (Inventions);
  - (r) 15 U.S.C. 205a et seq., The Metric Conversion Act, as Amended by the Omnibus Trade and Competitiveness Act;
  - (s) 42 U.S.C. 6962, Resource Conservation and Recovery Act (RCRA);
  - (t) 49 U.S.C. 40118 et seq., Fly America Act;
  - (u) 8 USC 1324a, Immigration and Nationality Act;
  - (v) 5 U.S.C. 552, Freedom of Information Act and 7 C.F.R. part 3011, Availability of Information to the Public;
  - (w) Executive Order 13513, Federal Leadership on Reducing Text Messaging While Driving;
  - (x) 41 U.S.C. 22, Interest of Members of Congress; and
  - (y) 40 U.S.C. 3141-3148, The DavisBacon Act.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Edward J. Gerard 1400 Independence Ave, SW, Washington, District of Columbia 20250 Email: edward.gerard@fas.usda.gov Phone: 2026901983

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

10.777 Norman E. Borlaug International Agricultural Science and Technology Fellowship; 10.962 Cochran Fellowship Program-International Training-Foreign Participant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 12 participants from 6 countries participated in the program which lasted on average 4 months or 1 semester. Fiscal Year 2011: 9 participants from 2 countries will be trained in FY 2011 in a program lasting 4 months. Fiscal Year 2012: It is anticipated that 10 participants will be trained in FY 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities developed by the Foreign Agricultural Service's Office of Capacity Building and Development program area (FAS/OCBD), in consultation with collaborating agencies and organizations. Contact

FAS/OCBD/TSED/SED for additional information. While this program does not fund unsolicited proposal, interested parties are welcome to submit statements of capability and expressions of interest.

**10.614 SCIENTIFIC COOPERATION EXCHANGE PROGRAM WITH CHINA**

SCEP

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

7 USC 3291.

**OBJECTIVES:**

To facilitate mutual cooperation in agricultural research, education, and extension between the United States and China.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Funds may be used for direct costs of conducting approved agricultural exchanges. Allowable expenses include travel for research, extension, training, and indirect costs associated with hosting Chinese exchange teams.

**Applicant Eligibility:**

U.S. institutions from the public, private, and academia sectors.

**Beneficiary Eligibility:**

U.S. institutions from the public, private, and academia sectors.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circulars A-21 and A-122. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Program guidelines with detailed application procedures are available on the internet through the USDA Foreign Agricultural Service website at : <https://www.fas.usda.gov/icd/grants/scep.htm> or through Grants.gov, a government wide internet portal for federal funding. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

All proposals are evaluated by technical specialists on an ongoing basis, which rate the qualifications of applicants and merits of the proposals. Selection criteria will be published with each individual request for expression of interest to participate in the program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Extensions may be authorized, but the agreement may not exceed five years.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Short term exchange visits for approximately two weeks. See the following for information on how assistance is awarded/released: Assistance is phased according to the requirements of individual projects. Agreements are entered

into with selected institutions for a maximum period of five years.

**Reports:**

Participants must submit final report. The SF-425, Federal Financial Report, are required quarterly. No progress reports are required. The SF-425, Federal Financial Report, are required quarterly. Participants must include a monitoring and evaluation component in the proposal. Monitoring and evaluation varies per project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Typically, a recipient must maintain all program and financial records for a period of 3 years subject to conditions found in 7CFR 3015.21 and 7CFR3015.22.

**Account Identification:**

12-2900-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 10 \$350,000; FY 11 est \$410,000; and FY 12 est \$410,000

**Range and Average of Financial Assistance:**

Exchange visits last approximately two weeks. Average cost of each project is \$5,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Scientific Cooperation Exchange Program hosted 9 exchange teams from China and issued 13 agreements with U.S. training providers to cover priority topics such as biotechnology, food safety, and climate change. Fiscal Year 2011: The Scientific Cooperation Exchange Program with China is expected to host 8 exchange teams from China and issue 11 agreements with U.S. training providers. Fiscal Year 2012: The Scientific Cooperation Exchange Program with China is expected to host 8 exchange teams from China and issue 11 agreements with U.S. training providers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal financial assistance transactions under 7 USC 3291 are subject to various legal requirements that are codified in the U.S. C., parts of the CFR, Executive Orders, Treasury Financial Manual bulletins, and other legally binding sources. These transactions are subject to many specific legal requirements, when applicable, including but not limited to the following:

- (a) 7 CFR part 3015, Uniform Federal Assistance Regulations;
- (b) 7 CFR part 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local Governments;
- (c) 7 CFR 3022, Research Institutions Conducting USDA-funded Extramural Research; Research Misconduct;
- (c) 2 CFR part 25 Universal Identifier and Central Contractor Registration;
- (d) 2 CFR part 170, Reporting Subaward and Executive Compensation Information;
- (e) 2 CFR part 175, Award Term for Trafficking in Persons;
- (f) 2 CFR part 180 and part 417, OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) and (USDA) Nonprocurement Debarment and Suspension;
- (g) 2 CFR part 182, Governmentwide Requirements for Drug-Free Workplace (Financial Assistance).
- (h) 2 CFR part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations;
- (i) 2 CFR part 220, Cost Principles for Educational Institutions (OMB Circular A-21);
- (j) 2 CFR part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87);
- (k) 2 CFR part 230, Cost Principles for Non-profit Organizations;
- (l) Federal Acquisition Regulations 31.2 (for profit cost principles);

- (m) Executive Order 13224, as amended, Blocking Property and Prohibiting Transactions with Persons Who Commit, Threaten to Commit, or Support Terrorism;
- (n) OMB Circular A-133, as codified in 7 CFR part 3052, Audits of States, Local Governments, and Nonprofit Organizations;
- (o) 7 CFR part 3015.175(b), Copyrights;
- (p) 41 U.S.C. 351 358, the McNamara-O'Hara Service Contract Act of 1965
- (q) 37 CFR part 401.1, Bayh-Dole Act (inventions);
- (r) 15 U.S.C. 205a et seq., The Metric Conversion Act, as amended by the Omnibus Trade and Competitiveness Act;
- (s) 42 U.S.C. 6962, Resource Conservation and Recovery Act (RCRA);
- (t) 49 U.S.C. 40118 et seq., Fly America Act;
- (u) 8 USC 1324a, Immigration and Nationality Act;
- (v) 5 U.S.C. 552, Freedom of Information Act and 7 CFR 3011, Availability of Information to the Public;
- (w) Executive Order 13513, Federal Leadership on Reducing Text Messaging While Driving;
- (x) 41 U.S.C. 22, Interest of Members of Congress;
- (y) 40 U.S.C. 3141-3148, the DavisBacon Act.

**Regional or Local Office:**

None.

**Headquarters Office:**

Khaliaka Meardry USDA/FAS/OCBD/TSED, 1400 Independence Ave. SW, Room 3224-S, Washington, District of Columbia 20250 Email: Khaliaka.Meardry@fas.usda.gov Phone: (202) 690-1866.

**Website Address:**

<http://www.fas.usda.gov/icd.grants/scep.htm>

**RELATED PROGRAMS:**

10.777 Norman E. Borlaug International Agricultural Science and Technology Fellowship; 10.961 Scientific Cooperation and Research; 10.962 Cochran Fellowship Program-International Training-Foreign Participant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: A team of U.S. agricultural professionals visited China to identify niche markets and create additional export opportunities for U.S. distillers dried grain with solubles.

A team of Chinese agricultural professionals visited the United State in FY10 to engage with animal health professionals in order to assist China establish an OIE office in Beijing. Fiscal Year 2011: A team of U.S. agricultural professionals visited China to identify potential collaborators, generate open discussions, and share knoweldge and technology on food safety monitoring verification systems.

A team of Chinese professionals visited the United States to illustrate emerging waste management technologies currently being used in China to provide an alternative source of energy that is sufficient in providng the energy needed to power small and meidum size farms. Fiscal Year 2012: Projects have not yet occurred.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities developed by the Foreign Agricultural Service's Office of Capacity Building and Development program area (FAS/OCBD), in consultation with collaborating agencies and organizations. Contact FAS/OCBD/TSED/SEB/SCEP for additional information. While this program does not fund unsolicited proposals, interested parties are welcome to submit statements of capability and expressions of interest.

**10.652 FORESTRY RESEARCH**

(Research Grants & Agreements)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Forest and Rangeland Renewable Resources Research Act of 1978, Public Law 95-307, 92 Stat. 353, 16 U.S.C. 1643.

**OBJECTIVES:**

To extend fundamental research activities of the Forest Service by awarding grants to nonprofit organizations, institutions of higher education, and organizations engaged in renewable resources research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants will be used for research in the fields of forest management, watershed management, forest range management, wildlife habitat management, forest recreation, forest fire protection, forest insect and disease protection and control, forest products utilization, forest engineering, forest production economics, forest products marketing, forest survey, urban forestry, wilderness, and social/cultural influences. Indirect expenses, when permitted by statute, will be reimbursed according to the negotiated indirect cost rate established by the Government's cognizant audit agency. Grants are limited to 5 years duration.

**Applicant Eligibility:**

Grants for basic or applied research may be made to State Agricultural Experiment Stations, universities and colleges, State and local governments, U.S. Territories, nonprofit research institutions or organizations, international organizations, individuals, and for-profit organizations.

**Beneficiary Eligibility:**

Organizations and scientists involved in basic and applied research activities related to forest and rangeland renewable resources.

**Credentials/Documentation:**

The principal investigator must document competence in the field of the research proposed. Costs will be determined in accordance with OMB Circular No. A-87, A-21, or A-122, Cost Principles for State and Local Governments, Cost Principles for Educational Institutions, or Cost Principles for Nonprofit Organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A complete research proposal must be submitted following guidelines available in each of the offices referred to below. The proposal must explain in detail the work to be undertaken, the qualifications of key personnel involved in the work, other resources such as equipment, facilities, and services available or needed, and a proposed budget for each fiscal year during the life of the proposed grant. A short biographical sketch of the principal investigator and a list of his or her principal publications should be included. This program is subject to the provisions of OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations, 7 CFR 3015, and 7 CFR 3019.

**Award Procedure:**

All research grant proposals must compete for priority, showing technical competence and demonstrating the ability to meet national or regional needs. Research grants are made only in support of forestry research. Unsolicited proposals can be awarded for innovative or unique approaches to the proposed project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. 120 days.

**Appeals:**

Contact the Research Station for guidance.

**Renewals:**

Requests for continued support will be considered as equal in importance and in competition with pending proposals. Applications submitted for continued

support should be identical to a new proposal, except that a resume of progress to date must be added.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The applicant's contribution is negotiated. The proposed budget by fiscal year shows the estimated cost of the complete project from grant funds and value of resources to be contributed by the applicant. Salaries of academic personnel for periods when they receive salary for teaching should not be included for payment from grant funds. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

One to 5 years. Billings for expenses incurred may be submitted monthly, quarterly, or semi-annually. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperator.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Technical reports of progress are required semiannually; a technical final report is also required upon completion of project. Fiscal reports are required at least semiannually. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Comptroller General of the United States, his representative, or auditors of the cognizant audit agency for the educational institution involved shall have access at any reasonable time to the laboratories, offices, or other facilities of the recipient for purposes of review and observation of the status and progress of the sponsored project. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements. OMB Circular No. A-133, Audits of States, Local Governments and Non-profit Organizations, is applicable.

**Records:**

All related data, information, records, and accounts shall be retained for 3 years beyond the expiration date of the grant unless other disposition is specified in writing by the awarding agency.

**Account Identification:**

12-1104-0-1-302.

**Obligations:**

(Project Grants) FY 10 \$14,452,174; FY 11 est \$9,982,500; and FY 12 est \$9,942,500

**Range and Average of Financial Assistance:**

\$2,000 to \$300,000. Average: \$35,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-102 and A-87, as implemented by USDA Regulation 7 CFR Part 3016, are applicable to State and local government grantees. OMB Circular Nos. A-110 and A-21 are applicable to educational institutions. OMB Circular Numbers A-110 and A-122, as implemented by USDA Regulation 7 CFR Part 3019, are applicable to nonprofit organizations.

**Regional or Local Office:**

See Regional Agency Offices. FPL - Director Ted Wegner  
787-766-5335

IITF - Director Ariel Lugo 608-231-9318  
RMRS - Director George Foster 970-498-1353  
NRS - Director Michael Rains 610-557-4162  
PNW - Director Bov Eav 503-808-2101  
PSW - Director Deanna Stouder 510-559-6310



Washington Office Budget Coordinator- Alexander Friend- (202) 205-0833  
 Washington Office Grants & Agreements Contact- Duane Williams- (202) 205-1182.

**Headquarters Office:**

Jimmy L. Reaves 201 14th St. SW, 1NW, Washington, District of Columbia  
 20024 Phone: 202-205-1665

**Website Address:**

<http://www.fs.fed.us/links/research.html>.

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: The development of multidisciplinary workshop directed at evaluating the research needs, opportunities and benefits of separating, synthesizing and engineering non structures from wood biopolymers into advanced materials.

The effect of prescribed fire on nutrient cycle in ponderosa pine forests: design and test of a proposed experimental system for continuous press drying of paper and biological decay of logging residues.

The collaborative long term effort focused on workforce development through graduate education. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established on a program-by-program basis by Research Station Directors to meet Regional or National Research needs.

**10.664 COOPERATIVE FORESTRY ASSISTANCE****FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Cooperative Forestry Assistance Act of 1978, Public Law 95-313, as amended; Food, Agriculture, Conservation, and Trade Act of 1990, as amended, Public Law 101-624.

**OBJECTIVES:**

With respect to nonfederal forest and other rural lands to assist in the advancement of forest resources management; the encouragement of the production of timber; the control of insects and diseases affecting trees and forests; the control of rural fires; the efficient utilization of wood and wood residues, including the recycling of wood fiber; the improvement and maintenance of fish and wildlife habitat; and the planning and conduct of urban and community forestry programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To assist State Forester or equivalent agencies in forest stewardship programs on private, State, local, and other nonfederal forest and rural lands. Programs may include production of timber and efficient processing and use of wood products; developing genetically improved tree seeds; producing and distributing tree seeds and seedlings; reforestation; timber stand improvement; improving wildlife habitat; assisting private woodland owners in harvesting, processing, and marketing activities; conversion of wood to energy; protection and improvement of forest soil fertility; forest insect and disease management; urban and community forestry; Development and transfer of new and improved fire control technologies; organization of shared fire suppression resources, and achievement of more efficient State fire protection; provision of financial, technical and related assistance to local rural fire fighting forces; acquisition and loan of Federal excess property; organizational improvement; forestry resources planning; conservation of forest land; and technology transfer.

**Applicant Eligibility:**

State Forestry or equivalent State agencies, tribes, non-profits, and municipalities are eligible. All States, the District of Columbia, Puerto Rico, the Virgin Islands, the Northern Mariana Islands, the Trust Territory of the Pacific Islands, and the territories and possessions of the United States are eligible.

**Beneficiary Eligibility:**

Landowners of nonfederal lands; rural community fire fighting forces; urban and municipal governments, non-profit organizations, tribes and other State, local, and private agencies acting through State Foresters, equivalent State officials, or other official representatives.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, as implemented by 7 CFR Part 3016. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Not applicable. Contact Regional or Area Office listed in Appendix IV of the Catalog.

**Award Procedure:**

Established by the Regional Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 10 to 60 days. State single point of contact will have 30 days from notification of tentative allotments to comment.

**Appeals:**

Not Applicable.

**Renewals:**

Amend SF-424(A) with SF 424 application is required to amend the allotment amount or length of commitment, other requirements may be established by the Regional Office.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Statistical factors for eligibility do not apply to this program. The amount reimbursed by the Federal Government shall not exceed the amount expended by a State grantee or grantee for all programs except those covered by Section 11 of Public Law 95-313. Cost-sharing ratios for Section 11(a) Management Assistance and Section 11(c), Technology Implementation programs shall be negotiated. Section 11(b), Forest Resource Planning program funds require 20 percent matching by the State. Amount of grant based on negotiated targets to be achieved.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Electronic transfers of payments are encouraged. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperator.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Periodic and annual accomplishment reports are required. SF-425 should be used at least annually and no more than quarterly. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation. All grantees need to maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants) FY 10 \$146,241,000; FY 11 est \$123,507,000; and FY 12 est \$201,826,000 - FY2011 projection based on current agreements and request.

**Range and Average of Financial Assistance:**

\$25,000 to \$6,000,000. Average \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Continued work to enhance and maintain forests across watersheds and ecosystems, both on private and public land. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Manual- Titles 3000, 3100, 3200, 3300, 3400, 3500, 3600, 3700, 3800, and 3900 available in all Forest Service offices, and State Forestry agency offices. OMB Circular Nos. A-102 and A-87, as implemented by 7 CFR Part 3016, are applicable to State and local government grantees.

**Regional or Local Office:**

See Regional Agency Offices. Refer to Appendix IV of the Catalog for Regional and Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Area Director of the Forest Service.

**Headquarters Office:**

Deputy Chief, State and Private Forestry, 1400 Independence Ave, SW, MS 1109, Washington, District of Columbia 20250 Phone: (202) 205-1657.

**Website Address:**

<http://www.fs.fed.us/spf/coop>.

**RELATED PROGRAMS:**

10.901 Resource Conservation and Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Most grants are approved on the basis of negotiated targets or objectives to be achieved. However, grants to rural communities are based on regional and area criteria for meeting the needs and opportunities of the communities. UCF community grants are based on local needs and resources. A specific project focus may be developed by State Urban Forestry Councils.

**10.665 SCHOOLS AND ROADS - GRANTS TO STATES**

Payments to States

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Secure Rural Schools and Community Self Determination Act of 2000 (16 U.S.C. 500). Public Law 106-393 and amended by 110-343 sec. 601 (Titles I, II and III).

**OBJECTIVES:**

To share receipts from the National Forests with the States in which the National Forests are situated.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

For Federal fiscal years 2008 through 2011, the Act allows counties in which

national forests are situated to elect to share in the State payment or to share in the 25-percent payment to states.

The 25-percent payments to states are to be used for the benefit of public schools and public roads in the counties in which national forests are situated.

The portion of the Secure Rural Schools Act State payments not allocated to other purposes are to be used to benefit public schools and public roads in counties in which national forests are situated. These are commonly called title I funds.

Secure Rural Schools Act title II funds are to be used for projects that improve the maintenance of existing infrastructure, enhance forest ecosystems, and restore and improve land health and water quality on national forests.

Title III funds may be used only to:

- (1) carry out activities under the Firewise Communities Program to provide homeowners in fire sensitive ecosystems education and assistance with implementing techniques in home siting, home construction, and home landscaping that can increase the protection of people and property from wildfires;
- (2) reimburse the participating county for search and rescue and other emergency services, including firefighting that are performed on a national forest after the date on which the use was approved, and paid for by the participating county; and
- (3) develop community wildfire protection plans in coordination with the Forest Service acting on behalf of the Secretary of Agriculture.

**Applicant Eligibility:**

Title I- Formula payments must be to States (including commonwealths) or territories of the United States containing National Forest land.

Title II- PL 110-343, Title II Sec. 202(b)- Authorized Uses.- Project funds may be used by the Secretary concerned for the purpose of entering into and implementing cooperative agreements with willing Federal agencies, State and local governments, private and nonprofit entities, and landowners for protection, restoration, and enhancement of fish and wildlife habitat, and other resource objectives consistent with the purposes of this Act on Federal land and on non-Federal land where projects would benefit the resources on Federal land.

#33 "Specialized Group" refers to "Landowners".

**Beneficiary Eligibility:**

PL 110-343, Title II Sec. 202(b)- Authorized Uses.- Project funds may be used by the Secretary concerned for the purpose of entering into and implementing cooperative agreements with willing Federal agencies, State and local governments, private and nonprofit entities, and landowners for protection, restoration, and enhancement of fish and wildlife habitat, and other resource objectives consistent with the purposes of this Act on Federal land and on non-Federal land where projects would benefit the resources on Federal land.

**Credentials/Documentation:**

OMB circulars apply. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Contact your local RAC and/or SRS Program Manager for procedure and deadline.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For title II of the State payment. For title II, each resource advisory committee establishes its own application procedures and deadlines for project proposals to be reviewed by the committee.

For title II of the State payment. For title II, within 30 days of a rejection decision the Forest Supervisor shall notify the committee in writing of the rejection and the reasons for the rejection.

**Appeals:**

A decision to reject a title II project is not subject to administrative appeal or judicial review (Act section 204(c)1).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I- Secure Payments for States and Counties Containing Federal Land

Each county in an eligible state elected in November and December of 2008 to receive one of the following payments: A share of the states 25-percent rolling average payment OR a share of the State payment (formula payment). A county in California, Louisiana, Oregon, Texas, Pennsylvania, South Carolina, South Dakota, or Washington that elects the State payment is electing to receive a share of the States transition payment in lieu of the State payment. If no election is made the county shall be considered to have elected the State payment for the remaining 2 years.

25 Percent. A county election to receive a share of the 25 percent payment is effective for 2 years, and , a county must again make the election to receive a share of the State payment of the 25 percent payment by August 1, 2010. 25 percent payments must be used for roads or schools in accordance with 16 U.S.C. 500, the State has broad discretion as to how to allocate the payment for roads and schools, including authorizing the county to make the allocation.

State Payment. A county that initially elects to receive a share of the State payment (formula or transition payment as applicable) may not change its election in subsequent years- it will receive its share of that payment for fiscal year (FY) 2008 through FY 2011. A participating county that receives a share of the State payment that is greater than \$100,000 must make an additional election to allocate among titles by September 30 each year:

\$100,000 or less. If the county share of the State payment (or transition payment is \$100,000 or less, the county may, but is not required to, allocate its share in the same manner as a county with a share that is greater than \$100,000, but less than \$350,000.

\$100,000-- \$350,000. If the county share of the State payment (or transition payment) is more than \$100,000, but less than \$350,000, the county must allocate 15% to 20% of its share to title II, title III or a combination. The total percentage allocated to title II and/or title III must be no less than 15 percent and no greater than 20%

\$350,000 or greater. If the county share of the State payment (or transition payment) is \$350,000 or greater, the county must allocate 15 percent to 20 percent of its share to title II, title III of a combination, except that the allocation for title III projects may not exceed 7 percent. The total percentage allocated to title II and title III combined must be no less than 15 percent and no greater than 20 percent.

By law, a participating county receiving more than \$100,000 must allocate a portion of its payment to title II and/or title III by September 30 each year. For these counties, failure to submit these elections (allocations) by the deadline will result in the county being considered to have elected to return 15 percent of its share to the U.S. Treasury in lieu of allocating 15 to 20 percent for title II and/or title III projects.

**Title II- Special Projects on Federal Land (Federal Financial Assistance)**

Title II projects are recommended by resource advisory committees and approved by the Secretary or designee such as Forest Supervisor or District Ranger. Title II funds may be used for making additional investments in, and

creating additional employment opportunities through, projects that improve the maintenance of existing infrastructure, implementing stewardship objectives that enhance forest ecosystems, and restoring and improving land health and water quality. Projects shall enjoy broad based support with objectives that may include, but not limited to:

- Road, trail, and infrastructure maintenance or obliteration;
- Soil productivity improvement;
- Improvements in forest ecosystem health;
- Watershed restoration and maintenance;
- Restoration, maintenance and improvement of wildlife and fish habitat;
- Control of noxious and exotic weeds; and
- Re-establishment of native species.

At least 50 percent of all Title II funds must be used for projects that are primarily dedicated to:

- Road maintenance, decommissioning, or obliteration; or
- Restoration of streams and watersheds.

Title II projects recommended by Resource Advisory Committees (RACs) must be within the RACs geographical boundary.

After the issuance of a decision document for the project and the exhaustion of all administrative appeals and judicial review of the project decision, the Secretary and the RAC shall enter into an agreement addressing, at a minimum, the following:

- The schedule for completing the project;
- The total cost of the project, including the level of agency overhead to be assessed against the project;
- For a multiyear project, the estimated cost of the project for each of the fiscal years in which it will be carried out; and
- The remedies for failure of the Secretary to comply with the terms of the agreement.

The Secretary may decide to cover the costs of a portion of an approved project using Federal funds appropriated or otherwise available to the Secretary for the same purposes as the project

As soon as the Secretary and the RAC have reached agreement with regard to a project to be funded, the Secretary shall transfer the proper funds to the Forest Service. The Forest Service shall not begin a project until the project funds are available.

Counties shall notify the Secretary of Agriculture of its allocation of funds to Title II no later than September 30 of each fiscal year. By September 30 of each fiscal, a RAC shall submit to the Secretary a sufficient number of project proposals that if approved, would result in the obligation of at least the full amount of the project funds reserved by the participating county in the preceding fiscal year.

Unobligated project funds shall be available for use as part of a RAC project submission in the next fiscal year. Any project funds not obligated by September 30, 2012, will be returned to the U.S. Treasury.

**Title III- County Funds**

Counties shall notify the Secretary of Agriculture of its election of funds in Title III no later than September 30 of each fiscal year. Title III projects are developed and selected by the counties. Projects should be advertised for 45 days to allow public comment. Proposed projects should also be sent to the Resource Advisory Committee (RAC) if one exists in the county.

Title III funds may be used to:

- (1) carry out activities under the Firewise Communities Program to provide homeowners in fire sensitive ecosystems education and assistance with implementing, techniques in home siting, home construction, and home

landscaping that can increase the protection of people and property from wildfires;

(2) reimburse the participating county for search and rescue and other emergency services, including firefighting that are performed on Federal land after the date on which the use was approved and paid for by the participating county; and

(3) develop community wildfire protection plans in coordination with the Secretary of Agriculture.

Under the new Secure Rural Schools Act, counties receiving more than \$350,000 total payments cannot allocate more than 7 percent to title III projects, with the balance allocated to title II or returned to the U.S. Treasury.

Counties allocating funds for Title III projects must submit certification that the funds were used in accordance with Title III to the Secretary of Agriculture no later than February 1 of the year after county funds were expended. The Forest Service will notify participating counties of the process and format the Secretary will use for certification before the end of fiscal year 2009.

The authority to initiate Title III projects terminates on September 30, 2011. Funds not spent or obligated by September 30, 2012, will be returned to the U.S. Treasury.

**Matching Requirements:** Statutory Formula: The annual 25-percent payments to states, is an amount equal to the annual average of 25-percent of all amounts received for the applicable fiscal year and each of the preceding 6 fiscal years from each national forest. The payment is made after the end of the fiscal year to the State or Territory in which the national forest is situated to be expended as the State or Territorial legislature may prescribe for the benefit of public schools and public roads of the counties in which the national forest is situated (16 U.S.C. 500).

Secure Rural Schools Act State payments for fiscal years 2008 through 2011 are calculated using a complex formula with multiple factors, including acres of proclaimed national forest within an eligible county, the average 3 highest 25-percent payments made to each eligible State for each eligible county for the eligibility period 1986 through 1999, and an income adjustment based on the annual per capita personal income for each county. See [www.fs.usda.gov/pts](http://www.fs.usda.gov/pts) Secure Payments / Calculating Payments for a more detailed discussion of the formula used to calculate the State payment.

**Matching Requirements:** There are no matching requirements for the 25-percent payment to states or for the Secure Rural Schools Act State payment including title II. Acquisition management regulations and procedures applicable to the Forest Service for purchases, contracts, grants and agreements may impose matching requirements on title II projects.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The 25-percent payments to states are made by December 31 each year after the close of the applicable fiscal year. Method of awarding/releasing assistance: lump sum.

Secure Rural Schools Act State payments for amounts allocated to title I and title III are made by December 31 each year after the close of the applicable fiscal year. Method of awarding/releasing assistance: lump sum.

Title II funds are not paid to the state but are held in special Forest Service accounts available for projects recommended and approved as discussed above.

The authority for each resource advisory committee to recommend title II projects terminates on September 30, 2011. Funds unobligated in one fiscal year remain available in the following fiscal year until September 30, 2012 by which time title II funds must be obligated or be returned to the U.S. Treasury.

The authority for each county to initiate title III projects terminates on September 30, 2011. Funds unobligated in one fiscal year remain available in the following fiscal year until September 30, 2012 by which time title III funds must be obligated or be returned to the U.S. Treasury. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not Applicable.

**Account Identification:**

12-9921-0-2-806.

**Obligations:**

(Project Grants (for specified projects)) FY 10 \$450,000,000; FY 11 est \$364,500,000; and FY 12 est \$63,000,000

**Range and Average of Financial Assistance:**

Title I- \$1,305.00 to \$125,490,750.00 average: \$1,047,071 (42 states)

Title II- \$15,811 to \$14,023,009 average: \$1,727,085 (30 states)

Title III- \$10,679 to \$8,276,624 average: \$774,138 (34 states).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: \$389 million distributed to 41 states and Puerto Rico for public schools and roads and specific county programs; \$42 million available to fund projects recommended by local resource advisory committees. Fiscal Year 2011: Projected \$308 million to 41 states and Puerto Rico for public schools and roads and specific county programs; projected \$32 million available to fund projects recommended by local resource advisory committees. Fiscal Year 2012: Projected \$63 million to 41 states and Puerto Rico for public schools and roads.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Rick Alexander 10600 NE 51st Circle  
, Vancouver, Washington 98682 Email: [ralexander@fs.fed.us](mailto:ralexander@fs.fed.us) Phone:  
360-891-5045

**Website Address:**

<http://www.fs.fed.us>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Public schools operations and maintenance, public roads maintenance; maintenance of forest ecosystems, wildlife habitats and watersheds, local employment in rural communities. Fiscal Year 2011: Public schools operations and maintenance, public roads maintenance; maintenance of forest ecosystems, wildlife habitats and watersheds, local employment in rural communities. Fiscal Year 2012: Public schools operations and maintenance, public roads maintenance; maintenance of forest ecosystems, wildlife habitats and watersheds, local employment in rural communities.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.666 SCHOOLS AND ROADS - GRANTS TO COUNTIES**

Schools and Roads - Grants to Counties

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Public Law 75-210, 7 U.S.C. 1010-1012, Bankhead-Jones Farm Tenant Act.

**OBJECTIVES:**

To share receipts from the National Grasslands and Land Utilization Projects

(LUP) with the Counties in which the National Grasslands and LUP's are situated.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

To be used for the benefit of public schools and public roads of the county or counties in which the National Grassland or LUP's are situated.

**Applicant Eligibility:**

Eligible applicants are counties of the United States containing National Grassland or a LUP.

**Beneficiary Eligibility:**

Counties within the United States.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. None.

**Award Procedure:**

Not Applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 7 U.S.C. 1010-1012, Public Law 75-210. This program has no matching requirements. This program has no matching requirements. The amount paid shall represent 25 percent of all moneys received during the preceding calendar year from each National Grassland or LUP. When a National Grassland or LUP is in more than one State or county, the distributive share to each shall be proportional to its area therein. The term "moneys received" includes: all moneys collected into the National Grassland Fund from the sale of permits or contracts for timber values, grazing fees, powerline fees, land use fees, recreational special use fees, mineral fees, and recreation user fees.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The payments will be made in March of each year. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Adhere to the standards of A-133.

**Records:**

n/a.

**Account Identification:**

12-9921-0-2-806.

**Obligations:**

(Formula Grants) FY 10 \$14,653,565; FY 11 est \$18,000,000; and FY 12 est \$15,000,000 - Funding amounts reported on a calendar year.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Bankhead Jones Farm Tenant Act of 1937 (7 USC 1010-1012)

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Jones Albuquerque Service Center, Budget and Finance, All Service Receipts, FS USDA, 110 B Sun Avenue, NE, Albuquerque, New Mexico 87109  
Phone: 505-563-7467

**Website Address:**

<http://www.fs.fed.us/srs>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.672 RURAL DEVELOPMENT, FORESTRY, AND COMMUNITIES**

(Rural Development Through Forestry)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Annual Department of the Interior, Environment, and Related Agencies Appropriations Act, Executive Order Requires Annual Department of the Interior, Environment, and Related Agencies Appropriations direction to implement.

**OBJECTIVES:**

To help rural areas analyze and assess forest resource opportunities, maximize local economic potential through market development and expansion, and diversify communities' economic base.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding may be allocated for such things as technical assistance, training and education, equipment, marketing, and all costs associated with making these services available to tribal nations, State and Federal agencies, State Foresters, local governments, not-for-profit organizations, and others who are extending services to rural communities.

**Applicant Eligibility:**

Tribal nations, State and Federal agencies, State Foresters, local governments, not-for-profit organizations, and others working in support of community identified goals.

**Beneficiary Eligibility:**

Tribal nations, State and Federal agencies, State Foresters, local governments, not-for-profit organizations, and others. Forest Service Regions/Areas/Institutes are encouraged to further define program policies that focus resources to meet the regional, State and local needs of communities.

**Credentials/Documentation:**

Assistance is in response to a community or a group of communities' request for assistance in identifying opportunities and implementing action that will promote natural resource-based economic diversification and opportunities, technology transfer, market development and/or expansion. OMB Circular No.

A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Not applicable. Application procedure depends on annual Congressional direction.

**Award Procedure:**

Established by the Regional Office in support of an overall regional strategic plan.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Announced in Grants.gov Or Federal Register as funds are made available.

**Appeals:**

Not Applicable.

**Renewals:**

SF-424(A) with SF-424 application is required to amend the awarded amount or length of commitment. Other requirements may be established by the Regional Office.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has no matching requirements- The Federal contribution to the overall implementation of a planned project may have a matching requirement, but that match is negotiated. No statutory match unless assigned by congress through annual appropriation direction. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance may be a combination of different interests that seek to support planned action by the community or a group of communities to diversify the local economy and to improve its social, economic, and environmental well being. Limitation on length of funded projects will be established at the Forest Service administrative unit (generally, will not exceed 5 years). See the following for information on how assistance is awarded/released: Determined based on agreement and authority.

**Reports:**

Periodic and final reports are required- no more than quarterly and no less than annually. Cash reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Periodic and final reports are required- no more than quarterly and no less than annually. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and other generally accepted accounting systems can be used if control procedures allow for proper audit and reconciliation. All grantees must maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants (Special)) FY 10 \$800,000; FY 11 est \$800,000; and FY 12 Estimate Not Available(Exp: Request pending) - FY11 and FY12 request

pending for these Congressionally Directed Grants.

**Range and Average of Financial Assistance:**

\$25,000-\$500,000; average is approximately- \$265,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Implementation Guidelines available in all Forest Service offices. OMB Circular Nos. A-102 and A-87 are applicable to State and Local Governments, A-110 and A-21 are applicable to educational institutions, and A-110 and A-122 are applicable to Nonprofit Organizations. USDA Implementing Regulations 7 CFR 3015, 3016, 3017, 3018, and 3019 also apply depending on the type of recipient. Legislative history found in Senate and Conference reports 1988, 1989, and 1990 and Forest Service revised guidelines (May 2000).

**Regional or Local Office:**

See Regional Agency Offices. Refer to Appendix IV of the Catalog for Regional and Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Area Director of the Forest Service.

**Headquarters Office:**

Steve Marshall 201 14th St. SW, Washington, District of Columbia 20024  
Phone: 202-205-1380

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Establishment of hardwood scanning center at Purdue University that is focused on developing X-ray scanning technology for hardwood logs, woody biomass utilization demonstration and technology transfer program in Missouri focused on meeting Missouri's renewable energy demands, establishment of a 9-county geocaching trail tourism program in northwest/northcentral Pennsylvania focused on attracting tourists by combining tourism and GPS technology. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Regional/Area/Institute administrative units are given the flexibility to make funding decisions based on their specific community and regional priorities documented in a regional strategy for their respective administrative areas. These overall strategies are identified through input by States, tribal nations, local agencies and organizations.

**10.674 FOREST PRODUCTS LAB: TECHNOLOGY MARKETING UNIT (TMU)**

State and private Forestry, Technology, Marketing and Applied Research Assistance Program

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Public Law 110 234, Food, Conservation, and Energy Act of 2008, Rural Revitalization Technologies (7 U.S.C. 6601).

**OBJECTIVES:**

Aid the Forest Service and state foresters in their ability to meet their respective mission to effectively manage forests and to provide economic opportunities to forest landowners. The Technology Marketing Unit staff provides t expertise to facilitate science-based management decisions concerning forest products utilization, biofuels production, and woody biomass utilization that uses material removed for ecosystem management goals.

Program may include: (1) development of potential new products; (2) projects that showcase innovative uses for small diameter and low-valued hardwoods and softwoods; and (3) reducing the challenge to economic and market barriers to the use of the material (4) provide seed money and gap funding (5)

facilitating creation/expansion of harvesting/processing/transporting enterprises around wildland urban interface areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project grants or technical assistance to further long-term forest health through enterprises that support forest restoration actions. No land acquisition or construction.

**Applicant Eligibility:**

Entities eligible include: Non-profits, local, state, and Tribal governments, business, companies, corporation, (for Profit), special purpose districts, (public utilities districts, fire districts, conservation districts, or port).

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Procedures for submitting technical assistance or grant applications can be found on [www.fpl.fs.fed.us/tmu](http://www.fpl.fs.fed.us/tmu) or contact the Program Manager as listed under Information Contacts. .

**Award Procedure:**

Grants, if appropriation funds are provided, will be nationally competitive and merit-based.

Technical Assistance request will be prioritized based on Tribal, state, or national forestry issues such as insect, disease, catastrophic events, and economic adjustments.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Range of Approval/Disapproval Time: 160 days after the date of closure on a Request for Proposals or Technical Assistance.

**Appeals:**

Not Applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20%. Letters for specific request from Non-profits, local, state, and Tribal governments, business, companies, corporation, (for Profit), special purpose districts, (public utilities districts, fire districts, conservation districts, or port) are encouraged to demonstrate collaboration and the role this federal assistance program can leverage accomplishing local projects.

Matching Requirements: Matching will be required only for financial assistance and will be stated in Request For Proposal as posted in the Federal Register and in accordance with Congressional direction.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As determined by project, no longer than 3 years on financial assistance awards or cooperative agreements. Technical assistance limited to one year unless negotiated due to tribal, state or national interest. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperatoer.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Quarterly financial reporting is required on financial assistance. Semi-annual performance reporting is required.

**Audits:**

No audits are required for this program.

**Records:**

Grant records will be maintained for 5 years after expiration date. Technical Assistance record will be maintained for 5 years from the close of the assistance. Government Technical Report (GTR) maybe developed to share the results of Technical Assistance collaborative efforts.

**Account Identification:**

11-4011-0-1-302.

**Obligations:**

(Project Grants) FY 10 \$4,226,784; FY 11 est \$4,200,000; and FY 12 est \$4,200,000 - (Technical Assistance) FY09 \$872631; FY10 \$773216; FY 11 \$800,000 projected; FY2012 \$800,000 projected.

**Range and Average of Financial Assistance:**

\$50,000 to \$250,000 per award.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Over the past five years, requests have totaled \$107.6 million for program funds. The Forest Service provided \$26.3 million towards the projects. Of the 540 pre-applications received over 1,000 potential applicants received Technical Assisted as applicants considered applying for the grant program.

Technical Assistance reports are posted at [www.fpl.fs.fed.us/tmu/](http://www.fpl.fs.fed.us/tmu/). Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Susan LeVan Green, One Gifford Pinchot Drive, Madison, Wisconsin 53726  
Email: [slevan@fs.fed.us](mailto:slevan@fs.fed.us) Phone: (608) 231-9518.

**Website Address:**

<http://www.fpl.fs.fed.us/tmu> (grants.gov).

**RELATED PROGRAMS:**

10.672 Rural Development, Forestry, and Communities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Projects include woody biomass material removed from forest restoration activities, such as wildfire hazardous fuel treatments, insect and disease mitigation, forest management due to catastrophic weather events, and/or thinning overstocked stands.

Woody biomass from various landscapes have been used for bioenergy facility that uses commercially proven technologies to produce thermal, electrical, or liquid/gaseous bioenergy.

Examples of technical assistance includes engineering design of woody biomass boiler for steam at a sawmill, recommendations for sawmill improvements at a tribal business, and non-pressurized hot water system for various applications at a hospital or school, and biomass power generation facility, or similar facilities.

Examples of financial assistance include funds for the following:

Produced residential and industrial pellets from hazard fuel treatment residues for a local greenhouse.

Purchased scragg mill and dry kiln to produce flooring and paneling for use in homes in area.

Purchased a track-mounted mechanized harvester, feller-buncher for cut-to-length merchandizing of hazardous fuel reduction treatments; material used for shavings, energy, and timbers. Fiscal Year 2012: No Current Data

Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Financial grants are approved on the basis of a nationwide review and are based on technical and financial merits of the project as evaluated by a panel of Federal, State, and local business experts and peers.

#### **10.675 URBAN AND COMMUNITY FORESTRY PROGRAM**

(UCF)

##### **FEDERAL AGENCY:**

Forest Service, Department of Agriculture

##### **AUTHORIZATION:**

Cooperative Forestry Assistance Act of 1978, Title 16, Part 2105, Section 9, Public Law 95-313, 92 Stat. 365.

##### **OBJECTIVES:**

To plan for, establish, manage and protect trees, forests, green spaces and related natural resources in and adjacent to cities and towns. The urban forestry program provides ecosystem services, social and economic benefits and links governmental, private and grassroots organizations and resources to improve the quality of life in these cities and towns.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

To assist State Foresters, equivalent State agencies, interested members of the public and private non-profit organizations in urban and community forestry programs in cities and communities.

070a. To provide a national competitive urban and community forestry challenge cost share grant program to assist urban and community forestry efforts across the country and address strategic urban forestry-related issues and opportunities as identified by the National Urban and Community Forestry Advisory Council. Approximately \$1,000,000 of total annual appropriations are set aside to support activities under the national competitive challenge cost share grant program.

##### **Applicant Eligibility:**

State Foresters or equivalent State agencies, interested members of the public, private non-profit organizations and others. All States, as well as the District of Columbia, Puerto Rico, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa and Guam, and other territories and possessions of the United States are eligible.

##### **Beneficiary Eligibility:**

State Foresters or equivalent State agencies, local governments, tribes, and non-profit organizations, and other State, local and private agencies acting through State Foresters, equivalent State agencies or other official representatives as agreed by the State Forester, equivalent State agency, and the Secretary.

##### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 For State and local governments, as implemented by 7 CFR Part 3016. 83a. For the national competitive challenge cost share grant program. Costs will be determined in accordance with OMB Circulars: No. A-87 for State and Local government, as implemented by 7 CFR Part 3016; A-102, Grants and Agreements with State, Local and Tribal governments; A-21 Cost Principals for Educational Institutions; and A-110 Grants and Agreements with Universities, as applicable. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Area/Station/IITF offices provide states and territories with program funding advice each year. 91a. For the national competitive challenge cost share grant program. A Request for Proposals (RFP) is advertised with the criteria and eligibility. The RFP is available in hard copy, is published in the Federal Register and is posted on [www.grants.gov](http://www.grants.gov). An electronic mailing list is also maintained by the Washington Office Headquarters Staff. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. States and other eligible applicants prepare grant proposal narratives for submittal to Regional and Area Offices, accompanied by Form SF-424, SF-424(a) and SF-424(b) and other forms furnished by the Federal agency and required by OMB Circular A-102, as implemented by 7 CFR Part 3016 (i.e., SF-424). Contact Regional, Area or Institute Office listed in [http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

92a. For the national competitive challenge cost share grant program. Eligible applicants prepare grant proposal narratives for submittal to [www.grants.gov](http://www.grants.gov) or via electronic means or hardcopy to the Forest Service contact person noted on the RFP, accompanied by Form SF-424, SF-424(a) and SF-424(b) and other forms furnished by the Federal agency and required by the OMB Circulars.

##### **Award Procedure:**

Established by the Washington, Regional, Area and Institute offices.

[http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

93a. For national competitive challenge cost share grant program. Established by the Washington Office.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Established by the Washington, Regional, Area, and Institute offices.

[http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

Range of Approval/Disapproval varies between Forest Service offices depending on availability of funding.

95a. The national competitive challenge cost share grant program range of approval/disapproval time is established by the Washington Office.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Amended SF-424 (a) with SF 424 application is required to amend the allotment amount or length of commitment, other requirements may be established by the Washington, Regional, Area or Institute offices.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Applicant matching requirements are determined by the Washington office. If matching funds are required, the funds cannot come from Federal Sources. Cooperator matches may be cash, in-kind and non-cash contributions. Matching requirements may range from 0 percent to 50 percent of the total award amount. 101a. For the national competitive challenge cost share grant program. Applicant match requirements are determined by the Statutory authority which requires a 50:50 match. Matching funds cannot come from other federal sources. The non-Federal share of the match may be in the form of cash, services or in-kind contributions.

This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Electronic transfer of payments are required. Grants are normally awarded for a period of 12 months. A no cost extension justification must be received and approved by the Forest Service. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded / released: Recipients submit invoices based on actual expenditures on a monthly, quarterly or bi-annual basis as established in the award terms.

##### **Reports:**

Annual accomplishment reports are required. No cash reports are required. For the national competitive challenge cost share grant program. Narrative progress reports are required at mid-year and year-end. SF-425s are required quarterly. Invoices should provide sufficient additional detail to explain the amount requested for reimbursement. Forest Service program managers will conduct program monitoring for awards under this CFDA.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000



or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Use of all funds will have to meet Federal and State audit requirements.

**Records:**

State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation. All grantees need to maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants) FY 10 \$30,337,000; FY 11 est \$30,204,000; and FY 12 est \$32,377,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Urban and Community Forestry Program (UCF) provides assistance to urban and rural communities, primarily through state forestry agency partners, to advance urban and community natural resource management and make a significant contribution to the economic health, environmental health and social vitality of communities. In 2010, U&CF provided assistance to 7,102 communities, home to nearly 177 million people, in all 50 states, the District of Columbia, U. S. Territories and affiliated Pacific Island nations.

Six challenge cost-share grants totaling \$800,000 were awarded for urban and community forestry research in climate change, energy, public health and green infrastructure.

Program partners provide assistance to communities for urban orchard and urban agroforestry projects to promote the economic, environmental, social and psychological benefits of trees and forest cover in urban and community environments. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For all grant awards under this CFDA: OMB Circular Nos. A-102 and A-87, as implemented by 7 CFR Part 3016, are applicable to State and local government grantees. Available online at:

<http://www.whitehouse.gov/omb/circulars/index.html>.

<http://www.fs.fed.us/ucf>

<http://www.fs.fed.us/ucf/nucfac>

**Regional or Local Office:**

See Regional Agency Offices. For Forest Service, State and Private Forestry office addresses and telephone numbers. Visit: [http://www.fs.fed.us/ucf/contact\\_regional.html](http://www.fs.fed.us/ucf/contact_regional.html).

**Headquarters Office:**

Jan Davis 1400 Independence Ave. SW, MS-1151, Washington, District of Columbia 20250 Email: [jkdavis@fs.fed.us](mailto:jkdavis@fs.fed.us) Phone: 202-401-4416

**Website Address:**

<http://www.fs.fed.us/ucf/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The National Challenge cost-share grant funded projects in 2010 included: Managing Urban Forests to Increase Community Resiliency to Climate Change; Energy Conservation & Urban Forests Extension Community of Practice; Urban Forest Human Health and Well-Being Benefits: Translating Evidence to Economic Valuation Models; Trees and Test Scores- Urban Forests Promote Achievement in High School Students; Encouraging Efficient Green Infrastructure Spending; and Mapping and Evaluating the Support System for Green Infrastructure Planning in the United States.

Additional grant projects funded at the national level included: Society of

Municipal Arborists for a Partnership Internship Program: Preparing Students for Urban Forestry Positions; The Conservation Fund to support green infrastructure training, and; National Association of Regional Councils green infrastructure initiatives including their Regional Centers of Excellence Year 2011: No Current Data Available. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Most grants are approved on the basis of negotiated targets or objectives to be achieved. UCF community grants are based on local needs and resources.

**10.676 FOREST LEGACY PROGRAM**

(FLP)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Cooperative Forestry Assistance Act of 1978, 16 U.S.C. 2101, et. seq., as amended by the 1990 Farm Bill, Section 1217 of Title XII of the Food, Agriculture, Conservation and Trade Act of 1990, Public Law 101-624, 104 Stat. 3359, 16 U.S.C. 2103c; later amended by the 1996 Farm Bill, Federal Agricultural Improvement and Reform Act of 1996; Public Law 104-127; Title III, Conservation; Subtitle G Forestry; Section 374, Optional State Grants for Forest Legacy Program.

**OBJECTIVES:**

To effectively protect and conserve environmentally important forest areas that are threatened by conversion to nonforest uses, through conservation easements and other mechanism. The FLP is a voluntary private land conservation partnership between the Forest Service, participating States, land trusts, private landowners, and others. The Program works with State partners and operates on a willing seller and willing buyer basis and is completely nonregulatory in its approach. No eminent domain authority or adverse condemnation is authorized for this Program. Participating States are required to complete an Assessment of Need (AON), which analyzes the need and areas of priority for the program and describes how the program will be implemented within the State.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Landowner participation in the program is voluntary and consists of conveying land or interests in land to achieve land conservation objectives and preparing and periodically updating a Forest Stewardship Management Plan or a multi-resource management plan.

**Applicant Eligibility:**

Projects are evaluated and prioritized by State lead agencies, in consultation with the State Forest Stewardship Coordinating Committees. All States, Puerto Rico, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, and Guam, and other territories and possessions of the United States may be eligible.

**Beneficiary Eligibility:**

State agency, landowners of private forest lands, and land trust organizations.

**Credentials/Documentation:**

Each State must prepare an Assessment of Need (AON). This document analyzes the need for the program and describes how the program will be implemented within the State. The FS Regional, Area, or Institute Responsible Official must concur with the State's AON. Requirements for an eligible project are: (1) project is within an approved Forest Legacy Area and fits within the priorities of a State's AON; (2) an approved Forest Stewardship Plan or a multi-resource management plan for the project; (3) complies with FLP State and National criteria; (4) a completed grant application; (5) an approved appraisal, meeting Federal acquisition appraisal standards as outlined in the Uniform Appraisal Standards for Federal Land Acquisitions; (6) negotiated terms of a conservation easement, if applicable; and, (7) adequate non-Federal cost share. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under

E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application requirements must comply with the Code of Federal Regulations (7 CFR 3016), Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Individual participating States have application duties and procedures.

**Award Procedure:**

The Forest Service will conduct an annual project selection process to arrive at a prioritized national project list for inclusion in the Presidents budget. The Forest Service then issues grants to states for the project specific earmarks designated in the Congressional appropriations bills. The Forest Service then issues grants to states based on the amounts provided in Congressional appropriations and the prioritized national project list.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

An annual project selection calendar with due dates will be developed each fiscal year, and will identify deadlines and approval times.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. Federal Contribution cannot exceed 75 percent of total project costs, and at least a 25 percent non-Federal cost share is required. The non-Federal cost share may consist of: funds, donations, land or interests in land, in-kind contributions, direct costs, indirect costs, and others as determined by the Forest Service. Funds will be provided to the States on a per-project basis, as determined by the annual Appropriations Law. The non-Federal cost share can occur at any phase of the project within the legal grant period, including planning, developing future projects, acquisition, capital improvement, management, or administrative activities. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided via grants to States. Typical grant period is two years. Grants can receive a no cost extension up to five years with justification and is approved by the Forest Service. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperator.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. States are required to submit annual progress reports on outstanding grants. States are required to monitor properties with conservation assessments. Project specific Forest Stewardship plans are required to be established and updated periodically. SF-425 reporting is due at least annually and no more than quarterly as agreed upon in the provisions of the individual agreement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Use of all funds will have to meet Federal and State audit requirements.

**Records:**

State Lead Agencies are required to retain complete grant files on each grant issued. States must report annual accomplishments data in the Forest Legacy Information System.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants) FY 10 \$79,400,000; FY 11 est \$52,894,000; and FY 12 est \$135,000,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 129,443 acres. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Legacy Program Implementation Guidelines of 2003.

**Regional or Local Office:**

See Regional Agency Offices. Refer to the web site below for Regional and Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Area Director of the Forest Service. [http://www.fs.fed.us/spf/coop/library/flp\\_region\\_coord.shtml](http://www.fs.fed.us/spf/coop/library/flp_region_coord.shtml).

**Headquarters Office:**

Scott Stewart 1400 Independence Ave SW< MS 1123, Washington, District of Columbia 20850 Email: [ssewart@fs.fed.us](mailto:ssewart@fs.fed.us) Phone: 202-205-1618

**Website Address:**

<http://www.fs.fed.us/spf/coop/programs/loa/flp.shtml>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Project evaluation and priority ranking is based on the three national core criteria (importance, threatened, and strategy, as defined in the 2003 FLP Implementation Guidelines) as well as project readiness and other evaluation considerations developed in consultation with States and FS Units.

**10.678 FOREST STEWARDSHIP PROGRAM**

(FSP)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Cooperative Forestry Assistance Act of 1978, As amended, Public Law 95-313; Food, Agriculture, Conservation and Trade Act of 1990, as amended, Public Law 107-171.

**OBJECTIVES:**

To promote and enable the long-term active management of non-industrial private and other non-federal forest land to sustain the multiple values and uses that depend on such lands.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide financial, technical, educational, and related assistance to State foresters or equivalent State officials for: The delivery of information and professional assistance to owners of nonindustrial private forest lands; The afforestation, reforestation and active management of state and other non-federal forest land; and Improved forest seedling production and distribution.

**Applicant Eligibility:**

State forestry or equivalent State agencies, tribes, non-profits, and municipalities are eligible. All States, the District of Columbia, Puerto Rico, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Trust Territory of the Pacific Islands, and territories and possessions of the United States may be eligible.

**Beneficiary Eligibility:**

Landowners of non-federal lands, non-profit organizations, tribes and other State, local, and private agencies acting through State Foresters, equivalent State officials, or other official representatives are eligible.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and other eligible applicants prepare grant proposal narratives for submittal to Regional and Area Offices, accompanied by completed standard application forms as furnished by the Federal agency and required by OMB circular No. A-102, as implemented by 7 CFR Part 3016 (i.e., SF-424).

**Award Procedure:**

Established by Regional and Area Offices.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 10 to 60 days after the application is filed with the Forest Service Regional or Area Office. States and eligible applicants are requested to submit Form SF-424(A) with SF-424 application and other required narratives, forms and assurances as advised by the Regional and Area Offices within 10 to 60 days following official funding advice notification.

**Appeals:**

Not Applicable.

**Renewals:**

SF-424(A) with SF-424 application is required to amend the grant amount or length of commitment. Other requirements may be established by the Regional or Area Office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Formula and Matching Requirements: Applicant matching requirements are determined by Regional and Area Offices. Matching funds cannot come from other federal sources. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Electronic transfers of grant reimbursement payments to States and other program participants is encouraged. Funds are transferred to States and participants, following the submittal of financial and narrative progress reports to Regional and Area offices as requested. Grants are normally awarded for a period of 12 to 18 months. See the following for information on how assistance is awarded/released: Payments made based on authorization of provisions with cooperator.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Periodic and annual accomplishment and financial reports are required by Regional and Area offices. These reports must accompany all grantee cost-share reimbursement requests. SF-425 should be submitted at least annually and no more than quarterly. Reporting of accomplishments and expenditure is required under this program as outlined above.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Program grant recipients are

subject to audit by the Office of Inspector General, USDA.

**Records:**

State and other grant recipients and Regional and Area Offices must retain records pertaining to grant payments received for a minimum period of five years. State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants) FY 10 \$136,206,000; FY 11 est \$32,548,000; and FY 12 est \$29,449,000

**Range and Average of Financial Assistance:**

\$25,000 to \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Nationwide, 229,959 people were reached through landowner education programs in 2010. As of 2010 reporting, 19,721,990 acres are covered in current Forest Stewardship Plans. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Manual Titles 3000 and 3200 and the Forest Stewardship Program National Standards and Guidelines. OMB Circular Nos. A-102 and A-87, as amended by 7 CFR Part 3016, are applicable to State and Local Government grantees.

**Regional or Local Office:**

See Regional Agency Offices. Refer to the Forest Service directory for address and telephone number of the State and Private Forestry Directory in your Region or Area of the Forest Service. <https://hrm.gdci.com/directory/>.

**Headquarters Office:**

Karl R. Dalla Rosa, State and Private/Cooperative Forestry, P.O. Box 96090, Washington, District of Columbia 20090-6090 Email: [kdallarosa@fs.fed.us](mailto:kdallarosa@fs.fed.us) Phone: (202) 205-6206.

**Website Address:**

<http://www.na.fs.fed.us/spfo/stewardship/index.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants to State Forestry agencies for the delivery of planning and technical assistance to non-industrial private forest landowners through the Forest Stewardship Program. This includes technical assistance to support the delivery of USDA cost-share programs including the Conservation Reserve Program, the Environmental Quality Incentives Program and the Emergency Forest Restoration Program. The Forest Stewardship Program also supports national Reforestation, Nurseries and Genetic Resources work, again partly through grants to State Forest agency partners. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant grant proposals are reviewed, and funds are granted by Regional and Area Offices.

**10.679 COLLABORATIVE FOREST RESTORATION (CFRP)**

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Secure Rural Schools and Community Self-Determination Act of 2000, Title VI- Community Forest Restoration, Public Law 106-393, Section 605, Establishment of Program.

**OBJECTIVES:**

The purposes of the grants are: to promote healthy watersheds and reduce the threat of large, high intensity wildfires, insect infestation, and disease in the forests in New Mexico; to improve the functioning of forest ecosystems and

enhance plant and wildlife biodiversity by reducing the unnaturally high number and density of small diameter trees on Federal, Tribal, State, County, and Municipal forest lands; to improve communication and joint problem solving among individuals and groups who are interested in restoring the diversity and productivity of forested watersheds in New Mexico; to improve the use of, or add value to, small diameter trees; to encourage sustainable communities and sustainable forests through collaborative partnerships, whose objectives are forest restoration; and to develop, demonstrate, and evaluate ecologically sound forest restoration techniques.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding may be allocated for such things as technical assistance, training and education, equipment, marketing, and all costs associated with making these services available to tribal governments, educational institutions, landowners, and other interested public and private entities.

**Applicant Eligibility:**

Local and tribal governments, educational institutions, landowners, conservation organizations, and other interested public and private entities. Grant proponents must include a diverse and balanced group of stakeholders as well as appropriate Federal, Tribal, State, County, and Municipal government representatives in the design and implementation of the project. The projects may be entirely on, or on any combination of, Federal, Tribal, State, County, or Municipal forestlands. Processing facilities may be located on private land if they are associated with restoration activities on public land.

**Beneficiary Eligibility:**

Local and tribal governments, educational institutions, landowners, conservation organizations, and other interested public and private entities. Grant proponents must include a diverse and balanced group of stakeholders as well as appropriate Federal, Tribal, State, County, and Municipal government representatives in the design and implementation of the project. The projects may be entirely on, or on any combination of, Federal, Tribal, State, County, or Municipal forestlands. Processing facilities may be located on private land if they are associated with restoration activities on public land.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants are required to submit form SF-424, SF-424(a), SF-424 (b), AD 1047, AD 1049, and other information described in the Request for Proposals. Proposals should be sent to: CFRP Program, Cooperative and International Forestry, USDA Forest Service, Room 329, 333 Broadway SE, Albuquerque, NM 87102.

**Award Procedure:**

The Collaborative Forest Restoration Program Technical Advisory Panel evaluates the proposals and provides recommendations to the Forest Service on which ones best meet the purposes, objectives, and administrative requirements of the program. The panel also evaluates the effect of each proposal on long-term forest management. The Forest Service Southwestern Regional Forester selects proposals for final award. The Secretary of Agriculture chartered the Technical Advisory Panel as a Federal Advisory Committee for two years on June 12, 2001 (CFR 1042-138) under the Federal Advisory Committee Act (Public Law 92-463). The Secretary reauthorized the Panel's charter for two years on May 4, 2010 (DR 1042-138).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 90 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20.%. The Federal share of an individual project cost shall not exceed 80 percent of the total cost. The 20-percent matching may be in the form of cash or in-kind contribution. Projects can not exceed the total annual cost of \$150,000, with the federal portion not exceeding \$120,000 annually, nor exceed a total cost of \$450,000 for the project, with the Federal portion of the total cost not exceeding \$360,000 (P.L. 106-393, Title VI, Sec. 605 (a) and (b)(8)).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may not exceed 4 years in length (Public Law 106-393, Title VI, SEC. 605(b)(7)). Assistance will be provided by no more than monthly payments. See the following for information on how assistance is awarded/released: Projects may not exceed 4 years in length (Public Law 106-393, Title VI, SEC. 605(b)(7)). Assistance will be provided by no more than monthly payments.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Periodic and final performance reports are required. Annual financial reports will also be required. Grant recipients must attend an annual workshop with other stakeholders for the purpose of discussing the cooperative forest restoration program and projects implemented under Collaborative Forest Restoration Program. Grant recipients may use project grant funds to pay for their travel and per diem expenses to attend the workshop.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and other generally accepted accounting systems can be used if control procedures allow for proper audit and reconciliation. All grantees must maintain adequate systems for collection and recording statistical data. Project records must be maintained for a period of three years after the project has ended.

**Account Identification:**

12-1115-0-1-302.

**Obligations:**

(Project Grants) FY 10 \$4,070,037; FY 11 est \$3,100,000; and FY 12 Estimate Not Available(Exp: unknown)

**Range and Average of Financial Assistance:**

\$66,361.00-\$360,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Since it began in 2001 the Collaborative Forest Restoration Program has awarded grants for 144 projects involving over 400 partners in collaborative forest restoration, small diameter timber utilization, and cross jurisdictional forest restoration planning projects on federal, tribal, state, and country land in 20 counties across New Mexico. Approximately 30,000 acres of forested land will be restored upon completion of these projects and approximately 600 jobs have been created through training and business

development in economically disadvantaged communities. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The authorizing legislation (Public Law 106-393 Title VI), a list of the members of the Collaborative Forest Restoration Program Technical Advisory Panel, The Charter for the Technical Advisory Panel, The Technical Advisory Panel Recommendations, The Request for Proposals, Project Summaries for funded activities, and a List of Forest Service Contacts can be found on the website for the Southwestern Region of the Forest Service at [www.fs.fed.us/r3/spf/cfrp](http://www.fs.fed.us/r3/spf/cfrp).

#### **Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office: Refer to Appendix IV of the Catalog for addresses and telephone numbers of the Forest Service National Forests in New Mexico. These are the Gila, Lincoln, Cibola, Santa Fe, and Carson National Forests.

#### **Headquarters Office:**

Walter Dunn 333 Broadway Blvd. SE, Albuquerque, New Mexico 87102  
Email: [wdunn@fs.fed.us](mailto:wdunn@fs.fed.us) Phone: 505-842-3425

#### **Website Address:**

[www.fs.fed.us/r3/spf/cfrp](http://www.fs.fed.us/r3/spf/cfrp).

#### **RELATED PROGRAMS:**

10.664 Cooperative Forestry Assistance; 10.672 Rural Development, Forestry, and Communities; 10.854 Rural Economic Development Loans and Grants; 10.901 Resource Conservation and Development; 11.303 Economic Development\_Technical Assistance; 11.307 Economic Adjustment Assistance; 12.607 Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated to determine if they followed the administrative requirements of the program and the proposal format described in the Request for Proposals. The Collaborative Forest Restoration Program Technical Advisory Panel will evaluate grant proposals based on the purpose and eligibility requirements described in the Community Forest Restoration Act of 2000 (Section 3 and Section 5, Title VI, Public Law 106-393). The Panel will consider the proposed projects effect on long-term management and the capability of the proponents to accomplish the project. The Panel will also examine the degree to which proposed activities complement existing projects and programs and evaluate whether the project would reduce the danger of wildland fire in high-risk areas in New Mexico.

### **10.680 FOREST HEALTH PROTECTION**

(FHP)

#### **FEDERAL AGENCY:**

Forest Service, Department of Agriculture

#### **AUTHORIZATION:**

Cooperative Forestry Assistance Act of 1978, Public Law 95-313; Food Agriculture, Conservation and Trade Act of 1990, as amended, Public Law 101-624; Department of Defense and Full-Year Continuing Appropriations Act, Public Law 112-10, Division F, Title II; subsequent appropriation acts, Public Law 108-108.

#### **OBJECTIVES:**

Protect non-Federal forest and tree resources from damaging forest insects, disease causing agents, and invasive plants; develop/improve forest health protection technologies; and monitor the health of our nation's forests.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

To assist State Foresters, State Plant Regulatory Officials, equivalent State officials, or other official representatives, subdivisions of states, agencies, institutions (public and private), organizations (profit or nonprofit), and individuals on non-Federal lands. Activities include: conducting surveys to

detect and assess insect, disease, invasive plant and other stressors; monitoring and reporting on the health of forests and trees; recommending measures to prevent, retard, slow the spread, control, suppress or eradicate incipient, potential, threatening or emergency forest and tree pests; planning, organizing, directing, and performing such measures; providing technical and scientific information, advice, and related assistance; developing applied methods and technology to improve management of forest health; providing information on pesticides and their use; promoting implementation of appropriate silvicultural or management techniques to improve forest health; and taking other actions deemed necessary to accomplish the objectives and purposes of the Forest Health Protection program. Assistance to tribal lands held in trust by the United States Government is provided directly by the Forest Service, and thus are not included in this cooperative program. However, other tribal lands, such as Alaska Native Corporation Lands, that are not held in trust are included.

#### **Applicant Eligibility:**

State Forestry, State Agriculture or equivalent State agencies, subdivisions of states, Alaska native corporations and tribal governments, institutions (public and private), organizations (profit and non-profit), and municipalities are eligible. All States, the District of Columbia, Puerto Rico, the Virgin Islands, the Northern Mariana Islands, the Trust Territory of the Pacific Islands, and the territories and possessions of the United States are eligible.

#### **Beneficiary Eligibility:**

State Foresters, State Plant Regulatory Officials, equivalent State officials or other official representatives, tribes, subdivisions of states, agencies, institutions (public and private), organizations (profit or nonprofit), and individuals on non-Federal lands.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, as implemented by 7 CFR Part 3016. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Not applicable. Contact Regional or Area or International Institute of Tropical Forestry (IITF) Office listed in Appendix IV of the Catalog for detailed procedures.

#### **Award Procedure:**

Established by the Regional, Area or IITF Office.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Submission due dates are developed for each fiscal year. Contact Region, Area or IITF office. State single point of contact will have 30 days from notification of tentative allotments to comment.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Submit SF-424(A) with SF 424 application to amend the allotment amount or length of commitment; other requirements may be established by the Regional, Area or IITF Office.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Funding for the Cooperative Forest health Protection program is provided to states to help support a base level of professional forest health expertise for non-federal forest managers. Grants for this program are allocated to states using a formula that is based on the number of acres of

non-federal forest land within the states, other factors, and amount of funding available through annual appropriations. The purpose of this funding is to help support a base level of professional forest health expertise through non-federal forest land managers. Applicant matching for cooperative Forest Health Protection programs and projects that treat specific forest health problems on non-federal lands is required and is 50%. In cases where it is mutually agreed upon that an applicant will treat federal lands as part of a cooperative project or program, the Forest Service reimbursement is 100% for the federal portion.

However, applicant matching rates may be adjusted in emergency or extraordinary situations. Forest Service cost-share rates for activities involving development of new and improved forest health protection methods and technologies, and the conduct of special projects and evaluations are negotiated on a project-by-project basis with the grantee. Exceptions from the 50% cost-share requirement must be approved by the Deputy Chief for State and Private Forestry. The applicant share of cooperative programs may be in the form of cash, services, or in-kind contributions. If a state elects to consolidate the annual Forest Service financial assistance, in lieu of functional cost sharing mechanisms, the total consolidated payment to any state during any fiscal year may not exceed the total amount of non-federal funds expended to implement its state forest resources program during that year. Treatment funds and activities cannot be a part of the consolidated payment and must stand alone to meet the 50% match requirement (See FSM 3431.22). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Electronic transfers of payments are encouraged. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperator.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Periodic and annual accomplishment reports are required per the provisions in the final agreement. SF425 is required no less than annually and no more than quarterly for each agreement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation. All grantees need to maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants) FY 10 \$48,573,000; FY 11 est \$48,045,000; and FY 12 est \$44,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Manual- Title 3400 is available in all Forest Service offices, and State Forestry agency offices. OMB Circular Nos. A-102 and A-87, as implemented by 2 CFR Part 3016, are applicable to State and local government grantees.

**Regional or Local Office:**

See Regional Agency Offices. Refer to Appendix IV of the Catalog for Regional and Northeastern Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Northeastern Area Director of the Forest Service.

**Headquarters Office:**

Robert Mangold, 1601 N. Kent Street, RPC-7, Arlington, Virginia 22209  
Email: rmangold@fs.fed.us Phone: (703) 605-5340.

**Website Address:**

<http://www.fs.fed.us/spf/coop>.

**RELATED PROGRAMS:**

10.901 Resource Conservation and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All grants and cooperative agreements are approved on the basis of negotiated targets, project objectives to be achieved, and relationship to national and regional forest health issues, priorities, and needs.

**10.681 WOOD EDUCATION AND RESOURCE CENTER (WERC)  
(WERC)**

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Public Law 105-277, Div. A, Section 101(e) Title III, Section 343, 112 Stat. 2681-231, 2681-297; Cooperative Forestry Assistance Act of 1978, as amended, 16 USC 2101 et. seq.; Forest and Rangeland Renewable Resources Act of 1978, as amended, 6 USC 1600-1614.

**OBJECTIVES:**

To provide funds, on a cost-share basis, for projects that focus on enhancing opportunities for sustained forest products production for primary and secondary hardwood industries located in the eastern hardwood forest region. In order to maintain and improve the health and stewardship of our eastern hardwood forests, local wood-using industries need to be vibrant and able to utilize a wide variety of resources from the forest. Priorities include:

Maintain the economic competitiveness of primary and secondary hardwood industries. Examples include:

1) Encouraging the adoption of new technology to improve competitiveness and profitability,

2) Bringing information and technology about processing, marketing, and business-related skills as well as urban wood utilization to existing and emerging businesses, and

3) Developing utilization options that improve forest stewardship and health.

Increase the knowledge and information about how the hardwood industry can contribute to the green building movement. Examples include chain of custody certification for sustainable wood products as well as life cycle analysis for a range of wood products.

Increase the knowledge, information, and promotion of how carbon sequestration by wood products can provide a competitive edge to a sustainable hardwood industry. An example includes developing specific carbon storage factors for a range of wood products.

Develop technology and markets to address urgent issues on a global or domestic scale, including:

1) Sanitizing wood packaging materials, firewood, and similar products to eliminate these pathways for the transport of insect and disease pests, and

2) Developing markets for and using unexpected increases in the volume of urban and rural wood due to new pest introductions (for example, emerald ash borer) and weather events such as tornadoes and ice storms.

Increase the sustainable use of woody biomass to meet our Nations needs for energy and raw materials. Examples include public/private partnerships for using woody biomass in heating and cooling, process energy, cogeneration, district energy systems, and solid and liquid fuel production. Projects may also develop or maintain local markets and forest industry infrastructure by using woody biomass for both energy and value-added products. Provide key information to address the economic, social and ecological aspects of woody biomass production and use.

Provide key information to address the economic, social and ecological aspects of woody biomass production and use: including sustainable supplies, harvesting techniques, forest management, plantation development, and

environmental implications.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Projects need to compliment existing activities and/or focus on niches that are not being met by either industry or service providers. In addition, projects need to clearly document industry support and involvement.

**Applicant Eligibility:**

Nonfederal agencies; public and private agencies including State, local and tribal governments; institutions of higher education; non-profit organizations; for-profit organizations; corporations; businesses; and others.

**Beneficiary Eligibility:**

Nonfederal agencies; public and private agencies including State, local and tribal governments; institutions of higher education; non-profit organizations; for-profit organizations; corporations; businesses; and others located in the 35 states of the eastern hardwood forest region including: AL, AR, CT, DE, FL, GA, IL, IN, IA, KS, KY, LA, ME, MD, MA, MI, MN, MS, MO, NE, NH, NJ, NY, NC, OH, OK, PA, RI, SC, TN, TX, VT, VA, WV, WI.

**Credentials/Documentation:**

No credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An application package (including instructions, application and electronic location of financial forms) is developed each year that provides guidelines for applicants to follow in developing their proposal. Standard financial assistance application forms (SF-424, SF-424A and applicable Certifications) are required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

.Established by the USDA Forest Service, Northeastern Area Office, Newtown Square, PA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. SF-424A with SF-424 application is required to amend the awarded amount or length of commitment. Unsuccessful applications can be resubmitted in future years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 50%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally awarded for a period of 12 to 18 months. See the following for information on how assistance is awarded/released: Established in award terms. See the following for information on how assistance is awarded/released: Established in award terms.

**Reports:**

No program reports are required. No cash reports are required. Periodic and annual accomplishment and financial reports are required. In addition, a detail final report pertaining to program accomplishments is required. Invoices should provide sufficient detail to document the amount requested for reimbursement. Forest Service program staff will conduct monitoring activities to measure performance against established grant objectives. Invoices should

provide sufficient detail to document the amount requested for reimbursement. Use form SF-425. Forest Service program managers will conduct monitoring activities to measure performance against established grant objectives.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All recipients need to maintain records adequate to collect and report statistical data. Forest Service or its designated representatives will have access to recipient records upon request.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$1,400,000; FY 11 est \$200,000; and FY 12 est \$1,000,000 - (Project Grants (Discretionary)): FY 08 - approximately \$1.7 million; FY 09 - approximately \$1.4 million; FY 10 - approximately \$1.4 million; FY 11 est. \$1 million.

**Range and Average of Financial Assistance:**

Range varies from \$10,000 to \$100,000. Average grant award is approximately \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2009: 20 competitive grants funded, various training completed for hardwood industry. Fiscal Year 2010: 24 competitive grants funded, various training completed for hardwood industry. Fiscal Year 2011: approximately five competitive projects will be funded, various training completed focused on maintaining the economic competitiveness of the eastern hardwood manufacturing industry.

In addition, detailed information about competitive grants program accomplishments can be viewed at:

<http://www.na.fs.fed.us/werc/projects.shtm>. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-102 and A-87 are applicable to State and Local Governments, A-110 and A-21 are applicable to educational institutions, and A-110 and A-122 are applicable to Nonprofit Organizations. USDA Implementing Regulations 7 CFR 3015, 3016, 3017, 3018, and 3019 also apply depending on the type of recipient. The program is announced through the Wood Education and Resource Center website and Grants.Gov website.

**Regional or Local Office:**

See Regional Agency Offices. USDA Forest Service, Northeastern Area, Wood Education and Resource Center, 301 Hardwood Lane, Princeton, WV 24740, Phone: (304) 487-1510; FAX: (304) 487-6661, E-mail: [werc@fs.fed.us](mailto:werc@fs.fed.us).

**Headquarters Office:**

Steve Marshall One Gifford Pinchot Drive, Madison, Wisconsin 53726 Phone: 608-231-9200

**Website Address:**

<http://www.na.fs.fed.us/werc/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Detailed information about funded grants can be viewed at the following website: <http://www.na.fs.fed.us/werc/projects.shtm>.

The Architectural Woodwork Institute recently completed a WERC funded project (Award number 08-DG-107) titled, Wood Manufacturing Skill Standards, Evaluations, & Credentials. The primary goal of this three-part project is to improve skills and competencies of woodworkers by having a

unified North American Standard of Tool Skills & Evaluations. This portion of the project focused on developing and publishing a national woodwork manufacturing skill standards and evaluations book and the initial development of a national woodwork skill credential process. Project details can be found at the following web sites: <http://woodworkcareer.org> and <http://skillstandards.wikispaces.com>.

Illinois Conservation Foundation, Springfield, IL, completed a WERC funded project (Award number 07-DG-226) titled, Ash Reclamation Project for Illinois. The primary goal of the project was to develop a successful urban wood/ash utilization initiative in Illinois. Project partners developed an informative web site ([www.illinoisurbanwood.org](http://www.illinoisurbanwood.org)) that includes project accomplishments, informational materials and an interesting Powerpoint presentation that can be viewed at: [http://www.illinoisurbanwood.org/documents/BBBcommunitywood\\_000.pdf](http://www.illinoisurbanwood.org/documents/BBBcommunitywood_000.pdf).

The Natural Resources Research Institute, University of Minnesota Duluth, recently completed a WERC funded project (Award number 08-DG-100) titled, Heat Treatment of Firewood: Meeting the Phytosanitary Requirements. The primary purpose of this project was to transfer background knowledge and advanced heat treating technology to field application through field heat treatment demonstrations, on-site workshops and web-based training seminars. Project details can be viewed and downloaded by visiting: [http://spfnic.fs.fed.us/werc/finalrpts/08-DG-100\\_2.pdf](http://spfnic.fs.fed.us/werc/finalrpts/08-DG-100_2.pdf). The project webinar can be viewed at: <https://umconnect.umn.edu/p89465540/>.

The Hardwood Leaders Forum consisted of two forums held in Charlotte, NC, each with its own goals and objectives for strengthening the U.S. hardwood industry. On August 10-11, 2010, 77 hardwood industry leaders met to identify the most pressing barriers and challenges to achieving that vision. On December 7, 2010, 98 industry leaders, academicians, State and Federal agency representatives, researchers, and trade association executives met to 1) review existing programs that address the industry's highest-priority challenges and 2) begin to look for opportunities to better address these challenges through strengthened and/or new programs. The Hardwood Leaders Forum was sponsored by the Hardwood Publishing Co. Inc., located in Charlotte, NC, and jointly funded by the S.H. Conger Foundation for Hardwood Marketing, Hardwood Publishing Co. Inc., and a grant from the Wood Education and Resource Center (Award number 2010-DG-085). A final report that provides detailed information about the process and findings can be viewed at [http://spfnic.fs.fed.us/werc/finalrpts/10-DG-085\\_2.pdf](http://spfnic.fs.fed.us/werc/finalrpts/10-DG-085_2.pdf). A Hardwood Leaders Forum Webinar was also conducted. To view the Webinar, go to <http://www.woodlogics.com/video/hlfwebinar.wmv>.

Promoting Greater Use of Underutilized Eastern Hardwood Species By Improving Design, Marketing and Manufacturing Phase II (Award number 08-DG-113)

Primary project partner: North Carolina State University, Raleigh, NC  
This is the second phase of a previously funded project focused on developing value-added markets for underutilized eastern hardwoods by a series of workshops to wood manufacturers in the central Appalachian focused on gluing, finishing, designing and manufacturing with underutilized hardwood species such as sweetgum and sycamore. Project web site can be viewed at: <http://www.ces.ncsu.edu/nreos/wood/Under%20Utilized%20Species%20Project/index.html>.

Promoting the Use of Non-Destructive Testing Technologies for Increased Productivity and Public Safety

(Award number 08-DG-99)

Primary project partner: Allison Tree Service, Madison, WI  
This project gathered information on currently available methods and techniques for decay and defect detection in standing trees. A DVD and internet video was developed to present this knowledge in a coherent, user-friendly visual educational format. The video can be viewed at: <http://www.nrri.umn.edu/cartd/forestp/treedecay.htm>.

Increasing Opportunities to Use Forests as an Energy Source (Award number 07-DG-108)

Primary project partner: National Association of State Foresters, Washington,

DC

The primary goal of this project was to identify ways State Foresters could encourage and support the sustainable use of woody biomass for thermal, electric, and biofuel/bioproductions applications in the United States. This project provides the information for State Foresters, their agencies and partners, to take an informed role in leading discussions on the sustainable use of woody biomass as an energy source. The final report can be viewed at: <http://www.stateforesters.org/node/955>. Fiscal Year 2011: 5 competitive grants funded. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

An evaluation panel is convened on an annual basis to evaluate and rate proposals received. Proposals are evaluated on a number of criteria including alignment with WERC's mission and goals, focus on yearly priority items, clear deliverables, industry support, minimal duplication, length of time, multi-state project, training.

#### **10.682 NATIONAL FOREST FOUNDATION**

National Forest Foundation

#### **FEDERAL AGENCY:**

Forest Service, Department of Agriculture

#### **AUTHORIZATION:**

National Forest Foundation Act, Public Law 101-593-Title IV-Nov. 16, 1990, as amended by Public Law 103-106 Oct. 12, 1993.

#### **OBJECTIVES:**

The purposes of the Foundation are to encourage, accept, and administer private gifts of money, and of real and personal property for the benefit of, or in connection with, the activities and services of the Forest Service of the Department of Agriculture; undertake and conduct activities that further the purposes for which units of the National Forest System are established and are administered and that are consistent with approved forest plans; and undertake, conduct and encourage educational, technical and other assistance, and other activities that support the multiple use, research, cooperative forestry and other programs administered by the Forest Service.

#### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

#### **USES AND USE RESTRICTIONS:**

To aid conservation partnership projects in support of the Forest Service mission, without regard to when the Foundation incurs expenses, for administrative expenses or projects on or benefitting National Forest System lands or related to Forest Service programs: Provided, That the Foundation shall obtain, by the end of the period of Federal financial assistance, private contributions to match on at least one-for-one basis funds made available by the Forest Service: Provided further, That the Foundation may transfer Federal funds to Federal or a non-Federal recipient for a project at the same rate that the recipient has obtained the non-Federal matching funds.

#### **Applicant Eligibility:**

No additional information.

#### **Beneficiary Eligibility:**

No additional information.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. NFF shall submit a Federal Financial Assistance application SF-424 and SF-424 annually based on the amount of Congressionally appropriated funds each FY

#### **Award Procedure:**



not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. 50% matching funds to be provided from private contributions.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Accomplishment reports as set forth in the annual award letter are required. No cash reports are required. No progress reports are required. Actual expenditures are detailed on each request for reimbursement and/or advance liquidation request. The Forest Service program manager shall conduct monitoring activities to track program accomplishments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

NFF shall maintain programmatic and accounting records applicable to each annual award for a period of not less than 3 years after the completion of all activities thereunder.

**Account Identification:**

12-1105-0-1-302 - Multiple account codes are used including: 1103, 1104, 1106, 1106, 1115.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$3,000,000; FY 11 est \$3,000,000; and FY 12 est \$3,000,000 - 1:1 matching requirement.

**Range and Average of Financial Assistance:**

not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provided 282 grants for on-the-ground conservation or restoration projects benefitting national forests and grasslands in all nine USFS regions.

Provided 47 grants to nonprofit organizations to build the capacity of collaborative organizations working on issues related to national forests or grasslands in all nine USFS regions.

Completed 20 provisions of technical assistance to collaborative efforts and community-based groups in all seven western USFS regions.

Completed 22 Friends of the Forest volunteer events in USFS Regions 2 and 6.

Launched multi-year Treasured Landscapes, Unforgettable Experiences conservation campaign with the goal of focused restoration initiatives in all nine USFS regions. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Andrea Bedell-Loucks, 201 14th St. NW, Room 3NE, Washington, District of Columbia 20250 Email: abloucks@fs.fed.us Phone: (202) 205-8336.

**Website Address:**

<http://www.nationalforests.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011:

Amador-Calaveras Consensus Group: Collaborative Capacity-Building; Stanislaus and Eldorado National Forests; To engage a diversity of interests to create healthy forests and watersheds and fire-safe communities through reducing fire threat on public and private lands, and build local economies based on biomass resource restoration and smallwood utilization.

Grand Canyon Wildlands Council: Road Closures, Invasive Weed Pulls, and Crayfish Removal to improve Habitat at Dines Tank; Coconino National Forest; To improve the habitat of the threatened little Colorado spinedace by removing invasive crayfish in Dines Tank, and reducing recreation impacts by removing unauthorized roads and invasive plant species and reseeding the area.

Great Burn Study Group: Forest Stewards Project; Lolo and Clearwater National Forests; To directly improve wildlife habitat, gather data on carnivores, and monitor and mitigate recreational impacts on five forest districts in Montana and Idaho in conjunction with rangers on the Lolo and Clearwater National Forests.

Mt. Adams Resource Stewards: Sawtooth Huckleberry Restoration Monitoring; Gifford Pinchot National Forest; To work with collaborative members and high school students to monitor the effectiveness of several different treatments striving to restore huckleberry fields on the Gifford Pinchot National Forest.

National Wild Turkey Federation: Bearcat Hollow Habitat Enhancement; Ozark-St. Francis National Forest; To assist in the process of oak woodland restoration, controlling invasive species and enhancing wildlife habitat by developing waterholes and wildlife openings within Bearcat Hollow, located in the Ozarks National Forest.

Rocky Mountain Field Institute: Glen Cove Wetland Restoration Project; Pike-San Isabel National Forest; To complete restoration of an alpine wetland and its drainage basin that have been severely impacted by sedimentation and erosion caused by stormwater runoff from the Pikes Peak Highway. Salmon Valley Stewardship; Upper Salmon River Region Aspen Regeneration Project; Salmon-Challis National Forest; To stimulate aspen communities and human communities in Central Idaho. Primary treatments will be conifer removal top benefit aspen, with an emphasis on creating local jobs, raising public awareness and engaging the community.

Sierra Nevada Alliance: Angora Fire Urban Forest Stewardship Project; Lake Tahoe Basin Management Unit; To improve forest health, wildlife habitat and watershed health by developing and implementing a community-based reforestation project to foster civilian stewardship of USFS urban intermix parcels impacted by the 2007 Angora fire.

Southwest Conservation Corps - Four Corners Region: Hermosa Creek Trail Heavy Maintenance Project; San Juan National Forest; To work with the Columbine Ranger District to complete high-priority maintenance and restoration work on the popular 18 mile long Hermosa Creek Trail. Trout Unlimited: Starrigavan Watershed Restoration; Tongass National Forest; To restore the Starrigavan watershed on the Tongass National Forest by performing critical riparian enhancements on state lands immediately adjacent to National Forest Lands on the Sitka Ranger District.

Upper Deschutes River Coalition: Deschutes River Habitat and Trail Restoration; Deschutes National Forest; To support the U.S. Forest Service's projects on the Upper Deschutes River near Sunriver by providing material, labor and contract services to restore fish and wildlife habitat and improve a section of the Deschutes River Trail.

Wallowa Resources: Wallowa Canyonlands Partnership Noxious Weeds Project; Wallowa-Whitman National Forest; To promote and protect long-term water quality integrity in the Joseph Creek and Imnaha River Corridors by

managing noxious weeds.

West Virginia Highlands Conservancy: Blackwater Manor Coal Mine Spruce Restoration Project; Monongahela National Forest; To restore red spruce hardwood ecosystem to a reclaimed strip mine site by planting trees with volunteer labor on the National Forest land for the purpose of connecting key fragmented habitat corridors and increasing watershed health.  
Wild South: Protecting and Restoring the Bankhead National Forest; Bankhead National Forest; To assist the forest service by monitoring forest restoration, mapping canyons and involving citizens in helping hands projects.  
Yellow Dog Watershed Preserve: McCormick Wilderness Area Stewardship Project; Ottawa National Forest; To bring the McCormick Wilderness Area up to baseline standards through the development of non-native invasive plant work, air quality monitoring and recreation site inventory. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.683 NATIONAL FISH AND WILDLIFE FOUNDATION**

National Fish and Wildlife Foundation (NFWF)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Section 2(b)(2) of Public Law 98-244.

**OBJECTIVES:**

Created by Congress in 1984, NFWF directs public conservation dollars to the most pressing environmental needs and matches those investments with private funds. The Foundations method is simple and effective: to work with a full complement of individuals, foundations, government agencies, nonprofits, and corporations to identify and fund the nations most intractable conservation challenges.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To aid cost-share conservation projects, without regard to when expenses are incurred, on or benefitting National Forest System lands or related to Forest Service programs: Provided, That such funds shall be matched on at least a one-for-one basis by the Foundation or its sub-recipients.

**Applicant Eligibility:**

No additional information.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Federal Assistance Application, SF-424 and SF-424A, must be submitted annually based on the amount established in the Forest Service FY appropriation

**Award Procedure:**

Not Applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 98-244.

Matching Requirements: Percent: 50.%. Funds shall be matched on at least a one-for-one basis by the Foundation or its sub-recipients.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual accomplishment reporting is required. No cash reports are required. No progress reports are required. Actual expenditure detail is required in requests for reimbursement and/or liquidation of advances. The Forest Service program manager will conduct monitoring activities to track accomplishments against goals established in the award terms.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Retain all programmatic and accounting records for a period of not less than three (3) years from the completion date of awards for review by the Forest Service or its designated representative, as required.

**Account Identification:**

12-1103-0-1-302 - Multiple account codes are used including: 1103, 1104, 1105, 1106, 115.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$3,000,000; FY 11 est \$3,000,000; and FY 12 est \$3,000,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Bring Back the Natives (BBN)

Pulling Together Initiative (PTI)

Sustain Our Great Lakes Grant Program

Chesapeake Bay Small Watershed Grant Programs

Native Plant Conservation Initiative (NPCI)

Answer the Call

General Keystone Conservation Grants (wildlife and habitat, freshwater fish and habitats, and birds).

Wildlife and Landscape Scale Habitat Keystone: Addresses conservation needs for mammals, reptiles, amphibians, invertebrates, and native plants. The Foundation is currently working with the Forest Service and the State of Montana on grizzly bears conservation and habitat connectivity and with American Rivers to evaluate ongoing meadow restoration projects throughout the Sierra Nevada.

Freshwater Fish and Habitat Keystone: Focuses on high-priority species and habitat for freshwater fish and associated aquatic life such as mussels, crayfish, and invertebrates. The Foundation is currently working with the Forest Service on Eastern Brook Trout (Virginia and West Virginia) and Apache Trout (Arizona).

Bird and Habitat Keystone: Focuses on migratory and resident bird species and their habitat. The Foundation is currently working with the Forest Service to promote the conservation of raptors throughout their North American migration routes (in cooperation with the Hawk Migration Association) and a wide variety of Southeastern grassland birds such as bobwhite quail and Bachmans sparrow. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

#### **Regional or Local Office:**

None. USDA, Forest Service, National Forest System, Watershed, Fish, Wildlife, Air and Rare Plants, 201 14th Street, SW Washington, DC 20024 (street address and express mail).

#### **Headquarters Office:**

Anne Zimmermann 201 14th St. NW, 3SE, Washington, District of Columbia 20024 Phone: 202-205-1671

#### **Website Address:**

<http://www.nfwf.org>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Raptor Population Index IV Hawk Migration Association of North America

The Hawk Migration Association of North America will complete a permanent system to monitor North American raptors, and provide a means of analyzing and readily accessing those data. Population trends for diurnal raptors were virtually unknown before the Hawk Migration Association of North America put in place a series of programs at 100 sites in North America aimed at indexing long-term trends. The results have led to a significant increase in the conservation of raptors by both government agencies and private organizations. There is broad support in the conservation community for maintaining this program and making data available to partner groups. Past support of this project by NFWF has helped build the database that houses these data and allows for important analyses. The building of this raptor monitoring and reporting program is in its final stages, and is aimed at making the system more efficient and self sustaining through automation of many of the functions that currently are completed by program staff.

The aim of this proposal is to complete an on-line system that is capable of integrating data entered directly by partner groups; providing the capability of original, on-line analysis of data that is tailored for local questions and management issues; and developing new analytical techniques that allow unique groups of species and geographic areas to be examined. The project also aims to expand its current monitoring network to five additional sites.

Project Title: Apache Trout Initiative (AZ)

Applicant: Arizona Game and Fish Department <[www.azgfd.gov](http://www.azgfd.gov)>

Proposed NFWF Award: \$505,620

Project Area: Little Colorado River and Black and White rivers, Arizona

Objective: Recover and conserve the species by creating larger meta populations of Apache trout and restoring meadow reaches in marginal recovery streams.

Proposal Summary: Apache trout currently occupy 27 streams within its historic range, largely due to recovery efforts. The number of streams is close to reaching the recovery criteria established in the 2007

Draft Apache Trout Recovery Plan. However, in 2007, barrier failure compromised several recovery streams. Additionally, the impacts of drought were apparent, resulting in surveys that revealed the habitat occupied by small populations becoming even more marginal. The change in climate conditions involving prolonged drought and increases in fire and floods make many streams vulnerable to impacts from these events. The outcomes of this initiative will include increasing Apache trout populations through barrier security, metapopulation creation (reconnecting isolated populations), intense monitoring, and habitat restoration. All Apache trout barriers will be evaluated and maintained. The creation of two to three metapopulations will expand and connect isolated recovery streams, making populations less vulnerable to climatic changes, increase population numbers, and help maintain genetic

diversity in populations. Habitat restoration in meadow reaches of marginal recovery streams will increase the amount of suitable habitat for all life stages and allow more connection between isolated pools by maintaining water flows longer into the season, thus increasing population and individual fish size. Improved knowledge of trout numbers, genetic diversity, and life history will enhance the ability of managers to ensure the recovery and sustainability of Apache trout, and result in delisting.

Project Title: Bring Back the Natives - XVIII

Program Objectives:

- The Bring Back the Natives program is designed to restore the health of aquatic systems and their native species in the nations watersheds.
- The program awards 12 to 18 grants each year to individual conservation projects focused on healthy aquatic systems on a watershed scale, resulting in sustaining populations of native species.

- The program is focused on, but not limited to, trout, grayling, chub, sturgeon, and amphibian restoration with specific preferences given to projects that will protect or reestablish migration corridors between breeding populations of a given species.

- Preference is given to aquatic restoration projects near land where the causes of degradation have been addressed.

- The program emphasizes the coordination between private landowners and federal agencies, together with tribes, corporations, and states to restore the health of entire watersheds.

- This year the program will be more closely aligned and coordinated with the National Fish

Habitat Initiative Action Plan, in order to begin implementing NFHAP priorities.

Past Foundation Involvement:

- Since 1991, 297 projects have been awarded a total of \$15.7 million in Foundation funds and leveraged an additional \$32.6 million in non-federal matching contributions.

- Projects funded through the Bring Back the Natives program have restored habitat for a number of listed species; protected and enhanced habitat for small, stable populations of native aquatic organisms; and contributed to keeping several species from being listed.

- The Foundation has been actively involved in the development of the National Fish Habitat

Action Plan and this BBN program will be targeted towards helping support projects that further the goals and implement the action plan, as well as state wildlife action plans. In addition, projects that will support the implementation of the fish keystone initiatives will have the highest priority.

Project Title: New England Cottontail Restoration (ME)

Applicant: Rachel Carson National Wildlife Refuge <[www.fws.gov](http://www.fws.gov)>

Proposed NFWF Award: \$245,946

Project Area: Southeastern Maine

Objective: Hire a coordinator whose function is to work for three years, identify priority areas in which to establish (or strengthen) cottontail populations and enlisted private landowners in efforts to restore early successional habitat to benefit New England cottontail and other declining wildlife.

Proposal Summary: This project will allow the U.S. Fish and Wildlife Service to work with the State of Maine, Environmental Defense, Central Maine Power, the American Forest Foundation, USDA and other partners. The grant will principally fund a coordinator who will work with landowners and develop site specific plans to manage habitat, the cost of which will be largely borne by the U.S. Department of Agriculture, but will also fund habitat restoration work on the National Wildlife Refuge.

Project Title: Cabinet-Yaak Grizzly Bear Augmentation (MT)

Applicant: Montana Fish, Wildlife and Parks Foundation

<[www.mfwpfoundation.org](http://www.mfwpfoundation.org)>

Proposed NFWF Award: \$100,000

Project Area: Northwest Montana; Cabinet-Yaak Mountains

Objective: The principal objective is to catalyze a more rapid recovery of grizzly bears in one of the remaining three areas in the U.S. where grizzly populations still lag goals.

Proposal Summary: This project will have an immediate outcome and measurable benefit to grizzly recovery in the Montana Cabinet-Yaak

Ecosystem. Habitat exists to support 90-120 grizzlies in the ecosystem, but current population is 30-40 and declining in large part because there simply are not enough female bears in the population. Montana Fish, Wildlife, and Parks Foundation has already been working with the U.S. Fish and Wildlife Service to successfully move 5 females into the ecosystem from a larger grizzly population to the east. This funding will allow an additional 5 female bears to be moved into the ecosystem by 2010. By itself, this work will not stabilize this population because it will never be large enough to exist in isolation of other grizzly populations - other projects focused on maintaining and improving wildlife corridors are necessary to connect Cabinet-Yaak with the Northern Continental Divide Ecosystem (Glacial National Park and Bob Jones Wilderness Area) to the east.

Project Title: Swan Valley Grizzly Bear Monitoring (MT)  
Applicant: University of Montana <www.forestry.umt.edu>  
Proposed NFWF Award: \$89,980  
Project Area: Swan Valley, Montana

Objective: Reduce bear-human conflict in an important recovery area for grizzlies and an important area for wildlife movement.

Proposal Summary: The Swan Valley sits at a critical interface between a recovery zone for the grizzly bear and migration/movement corridors to a recovery zone further west. It is an area where almost half of known grizzlies in the area have been died as a result of human causes. Highway 83 is a problematic crossing area for grizzlies and other wildlife that experience high mortality along stretches of this road.

As residential development expands along this highway, its critical to map high use animal areas, and design those stretches of habitat and road to maximize the speed that animals cross the road and minimize use of roadway areas. In addition, because of food attractants (livestock and other), grizzlies spend too much time in high human use areas. This results in problem bears that require translocation or control.

This project will combine radio-telemetry of local bears with an active outreach campaign to residents, using real data to show where changes in sanitation and other changes can reduce bear/human conflict. It will also fund some of the bear-resistant trash containers and electric fencing that has been successful in reducing conflict elsewhere.

Project Title: Native Plant Conservation Initiative XV  
The National Fish and Wildlife Foundation will provide a fifteenth year of support for on-the-ground projects that protect and restore native plant and pollinator species and their habitats and for public education projects that promote the importance of native plants and pollinators.

Program Objectives:

- The Native Plant Conservation Initiative (NPCI) supports on-the-ground conservation projects that protect, enhance, and/or restore native plant communities on public and private land.

Projects typically fall into one of three categories and may contain elements of each: protection and restoration, information and education, and inventory and assessment. Recipients are encouraged, when appropriate, to include a pollinator conservation component in their project.

Project Title: Pulling Together Initiative - XIII

Program Objectives:

- The goal of the Pulling Together Initiative (PTI) is to prevent, manage, or eradicate invasive and noxious plants through a coordinated program of public/private partnerships.

- PTI also increases public awareness of the adverse impacts of invasive and noxious plants.

Program Implementation:

- Funding for PTI is provided through a cooperative agreement with the Animal and Plant Health

Inspection Service (APHIS). Additional funding comes from existing Foundation partnerships with the Bureau of Land Management (BLM), U.S. Fish and Wildlife Service (FWS), and U. S.

Forest Service (FS). The review committee for the Pulling Together Initiative includes representatives from BLM, U.S. Geological Survey, FS, APHIS, FWS, and North American

Weed Management Association.

- Proposals are distributed to committee members following the annual

application deadline.

Reviewers are responsible for providing comments and rankings for proposals on which they feel qualified to comment. We anticipate receiving full proposals in December, holding the steering committee meeting in February; and informing applicants of committee decisions in mid-May.

Projects would be initiated in the summer of 2009 and completed within 12-18 months.

- PTI grants are intended to help support the creation of local cooperative Weed Management Area partnerships. Such partnerships bring together local landowners, citizens groups, and weed experts to develop and implement strategies for managing weed infestations on public lands, natural areas, and private working lands.

NPCI is part of the Plant Conservation Alliance, a partnership of ten federal agencies and 200 non governmental organizations that provides a national framework to link resources for and coordinate approaches to native plant conservation.

- Plant conservation is specifically identified as an area for Foundation investment in the

Foundations authorizing legislation. Plant communities, while not as charismatic as other species, are equally if not more important to global conservation science. All species need healthy habitats in order to survive, and in most cases, native mammal and insect species prefer and/or require habitats comprised of native plant species. In addition, because plants are immobile, they are more sensitive to changes in their surrounding environment and cannot adapt as easily as mammals.

Program Implementation:

- Review team members include representatives from FS, FWS and BLM. Review team members evaluate applications and meet two times a year to recommend projects for funding.

- Typical projects include habitat restoration for rare plants, applied ecological studies that will improve management for native plants, inventories of native floras on public lands, and efforts to work on pollinator conservation. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **10.684 INTERNATIONAL FORESTRY PROGRAMS**

##### **FEDERAL AGENCY:**

Forest Service, Department of Agriculture

##### **AUTHORIZATION:**

International Forestry Cooperation Act of 1990, Act of November 4, 1990, Public Law 101-513, Title VI; 104 Stat. 2070; 16 U.S.C 4501 (note), 4501-4503, 4503a-d, 4504-4505.

##### **OBJECTIVES:**

To extend Forest Service efforts to improve forest policies and practices internationally, address climate change, conserve and protect critical global forest environments and resources, and improve the lives of forest-dependent peoples by awarding grants to and entering into cooperative agreements with nonprofit organizations, multilateral organizations, and other individuals, organizations, institutions, and governments engaged in forest conservation and management.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are used to carry out, supplement and complement Forest Service international activities in a wide range of fields, including but not limited to forest policies and regulations, forest products trade, forest management practices, wildlife management, watershed management, recreation and tourism, fire management, forest insect and disease prevention and response, invasive species preventions and response, disaster response and mitigation, landscape planning, forest product development and utilization, climate change adaptation and mitigation, forest economics, and training and institutional strengthening. Grants will be limited to five years.

##### **Applicant Eligibility:**

Potential applicants include U.S. and international organizations, educational institutions, government entities, and individuals. International applicants must be from countries sanctioned by the State Department.

**Beneficiary Eligibility:**

Potential beneficiaries include host-country forest management agencies, non-profit organizations, forest landowners in the target countries, forest-dependent communities and peoples in the targeted countries, and U.S. landowners and organizations involved in or concerned with invasive species mitigation, migratory species conservation, legal trade in forest products, and the impact of climate change on forests.

**Credentials/Documentation:**

Project managers and organizations must document competence in the field and activities of the project proposed. Eligible projects must fit within the U.S. Forest Service International Programs priorities, comply with all federal grants and agreements regulations, and be documented through a completed grant application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A complete proposal must be submitted to International Programs and explain in detail the work to be undertaken, the qualifications of key personnel involved in the work, resources such as equipment, facilities, services available or needed, and a detailed proposed budget for each fiscal year during the life of the grant. All grant proposals must show technical competence and demonstrate ability to meet international, transnational, national, regional or local needs. Proposals for federal financial assistance must also submit a SF-424, SF-424(A) and (B).

**Award Procedure:**

Proposals will be evaluated by the Forest Service Office of International Programs, in consultation with the U.S. State Department and the U.S. Agency for International Development, where relevant, for purposes of ensuring compliance with U.S. foreign policy and objectives. Proposed activities will be assessed for their ability to improve forest management and the welfare of forest-dependent peoples in the targeted country or countries, as well as their ability to enhance or complement existing or planned Forest Service programs and activities.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for continued support will be considered as equal in importance and in competition with pending proposals. Applications submitted for continued support should be identical to a new proposal along with a detailed summary of progress to date. Applications for continued support must be received no later than 3 months prior to the expiration of the existing grant or agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The applicant's contribution is negotiated. The proposed budget by fiscal year shows the estimated cost of the complete project from grant funds and the value of resources to be contributed by the applicant. The non-Federal cost share may consist of: funds, donations, in-kind contributions, direct costs, indirect costs, and other as determined by the Forest Service. Funds will be provided on a per-project basis, as determined by annual budget allocations. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years. Billing and invoices for expenses incurred may be submitted quarterly or semi-annually. Electronic transfers of payments are encouraged. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperator.

**Reports:**

Final technical reports and financial status reports are due within one (1) month of completion of the project or of the expiration of the agreement, whichever is first. Cash reports are not applicable. Progress reports are not applicable. Financial status reports are required quarterly (using SF425). Technical progress reports are required semi-annually.

**Audits:**

Not Applicable.

**Records:**

All related data, information, records and accounts shall be retained for 3 years beyond the expiration date of the grant unless other disposition is specified in writing by the awarding agency.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants) FY 10 \$2,509,098; FY 11 est \$1,500,000; and FY 12 est \$2,000,000 - FY08: 24 awards, \$5,587,135; FY09: 29 awards; \$4,035,519; FY10: 8 awards; \$1,301,081 Projected Funding for FY11: \$1,500,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please consult with International Programs for information relevant to a specific proposal.

**Regional or Local Office:**

See Regional Agency Offices. Alex Moad, Assistant Director for Technical Cooperation, International Programs, amoad@fs.fed.us, 202-273-4695  
Vanessa Felder, Grants and Agreements Specialist, International Programs, vanessafelder@fs.fed.us, 22-273-4695.

**Headquarters Office:**

Vanessa Felder, 1099 14th St. NW, Washington, District of Columbia 20005  
Email: vanessafelder@fs.fed.us Phone: (202) 273-4695.

**Website Address:**

www.fs.fed.us/global.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established on a program-by-program basis and approved based on the negotiated objectives to be achieved at international, national, regional and local levels.

**10.685 COMMUNITY WOOD ENERGY PROGRAM**

Farm Bill, Title IX Energy, Section 9013

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation and Energy Act of 2008, Title IX, Section 9013, Public Law 110-146.

**OBJECTIVES:**

Encourage the development of community wood energy plans and/or acquire or upgrade community wood energy systems.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

A community wood energy system acquired with grant funds or receiving technical assistance shall not exceed an output of 50 million Btu per hour for heating and/or 2 megawatts for electric power production. see above. competitive grants, demonstrations, contracts for services, and direct technical assistance are anticipated.

**Applicant Eligibility:**

No additional Information.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applicants will submit SF 424 forms as applicable, a proposal, budget and budget narrative along with other information specifically required in the public announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

not applicable.

**Renewals:**

not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50%. At least 50 percent match is required from Non-Federal funds for grants. Technical Assistance will be based on previous work and commitment to future work demonstrated by the applicant. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not established at this time, although no more than three years. See the following for information on how assistance is awarded/released: reimbursement and/or advance payment on a monthly, quarterly or bi-annual basis.

**Reports:**

The recipient will complete programmatic reports, including an annual report, as indicated in OMB Circulars and award terms. No cash reports are required. This requirement is not fully established at this time. However, programmatic reporting is required and may include progress to date requirements. The recipient will complete required financial reports as indicated in OMB Circulars and award terms. The Forest Service will monitor the progress of recipient perform under awards.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. none at this time

**Records:**

The recipient shall make all program and financial records pertaining to an award available for Forest Service or other designated federal agency auditors for a period of 3 years from the date of award completion.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$0; FY 11 est \$0; and FY 12 est \$5,000,000 - FY 2012 estimated funding, \$5,000,000.

**Range and Average of Financial Assistance:**

Not established at this time.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

<http://www.fpl.fs.fed.us>

**Regional or Local Office:**

See Regional Agency Offices. Eastern US - Lew R. McCreery, Biomass Coordinator, USFS Northeastern Area, 180 Canfield Street, Morgantown, WV 26505, 304-285-1538 FAX: 304-285-1537 [lmccreery@fs.fed.us](mailto:lmccreery@fs.fed.us)  
Western US - Dave Atkins, Forest Service Fuels for Schools Program Manager, 200 E. Broadway, Box 7669, Missoula, MT 59807, 406-329-3134, FAX: 329-3132, [datkins@fs.fed.us](mailto:datkins@fs.fed.us).

**Headquarters Office:**

Dave Atkins 1400 Independence Avenue SW, Washington, District of Columbia 20024 Phone: 202-205-0929

**Website Address:**

<http://www.fpl.fs.fed.us>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

National merit based criteria will be set for competitive grants. State, Tribal or local government request for technical assistance will be competitively selected based on established criteria.

**10.687 RECOVERY ACT OF 2009: CAPITAL IMPROVEMENT AND MAINTENANCE**

Recovery Act of 2009: CIM

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5 ("Recovery Act"): For partnership agreements: Cooperative Funds and Deposits Act of December 12, 1975, Public Law 94-148, 16 U.S.C. 565a1 a3, as further authorized by Division F, Title IV, Section 417 of the Consolidated Appropriations Act 2008 (Public Law 110-161). (Participating Agreements); Interior and Related Appropriations Act of 1992. (Public Law 102-154, (Challenge Cost-Share Agreements); National Agricultural Research, Extension, and Teaching Policy Act of 1977 (Public Law 95-113), as amended by the Food Security Act of 1985 (7 U.S.C. 3318, and 3319, Public Law 99-198) and further amended by Public Law 105-198(Research); Wyden Amendment (Public Law 105-277, Section 323 as amended by Public Law 109-54, Section 434) (Participating Agreements - Watershed restoration); Exempted Agreements: National Forest Roads and Trails Act of October 13, 1964 (16 U.S.C. 532-538, Public Law 88-657) and; Southern Nevada Public Land Management Act of 1998; and Lake Tahoe Restoration Act, Public Law 106-506 as amended; and White Pine County Conservation, Recreation and Development Act of 2006; and Secure Rural Schools and Community Self-Determination Act of 2000, as reauthorized and amended. For project grants/cooperative agreements: Cooperative Forestry Assistance Act of 1978, Public Law 95-313, 16 U.S.C. 2101 (S&PF); Farm Security and Rural

Investment Act of 2002, Public Law 107-171.(S&PF); Public Law 105-277, Division A, Section 101(e), Title III, Section 343 (S&PF); Public Law 110-246, Food, Conservation and Energy Act of 2008, Title XI - ENERGY, Sections 9012 and 9013 (R&D); Public Law 105-277, Section 323, as amended by Public Law 109-54 and permanently authorized by Public Law 111-11, Section 3001, Watershed Restoration and Enhancement Act (Wyden Authority) (NFS & S&PF); Public Law 109-58, Energy Policy Act of 2005 42 U.S.C.15855 (S&PF & R&D); Public Law 109-432, Title III, Subtitle G, Eastern Nevada Landscape Restoration Project (S&PF); Secure Rural Schools and Community Self-Determination Act of 2000, as reauthorized and amended, Title II RACs.

**OBJECTIVES:**

For priority road, bridge and trail maintenance and decommissioning, including related watershed restoration and ecosystem enhancement projects; facilities improvement, maintenance and renovation; and remediation of abandoned mine sites.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Road, bridge and trail maintenance and decommissioning, including related watershed restoration and ecosystem enhancement projects; facilities improvement, maintenance and renovation; and remediation of abandoned mine sites. ARRA reporting requirements must be met by all recipients of Recovery Act funding.

**Applicant Eligibility:**

Nonfederal agencies, state and local governments, non-profit organizations, tribal nations, individuals are eligible. Beneficiary eligibility: nonfederal agencies, state and local governments, non-profit organizations, tribal nations, individuals and the American Public at large.

**Beneficiary Eligibility:**

In addition to project grants and cooperative agreements, mutual benefit partnership agreements such as Challenge Cost Share Agreements, Participating Agency Agreements, Cooperative Forest Road Agreements have been awarded.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

All funds have been awarded for this program. No further applications are being considered for award under this CFDA program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

No other information.

**Renewals:**

No other information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 20%. Matching requirements as required under specific statutory authority (as cited above) or as may be specifically waived under the terms of the Recovery Act. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No additional funds are available for awards under this CFDA program. See the

following for information on how assistance is awarded/released: Depending upon the type of assistance (grants or cooperative agreements) or partnership agreements, payments may be made on an advance basis or reimbursable basis as authorize by the specific authority under which the awards are being made.

**Reports:**

Accomplishment reports are a requirement of Recovery Act awards.. The report will be posted to [www.federalreporting.gov](http://www.federalreporting.gov) and tied to [www.Recovery.gov](http://www.Recovery.gov). Recipients and their subrecipients (first-tier) must have a Dun and Bradstreet Universal Numbering System (DUNS) number ([www.dnb.com](http://www.dnb.com)) and must maintain active and current profiles in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)). (ARRA 1512, ARRA 1609). Cash reports are not applicable. Progress reports are due quarterly as published at the [www.federalreporting.gov](http://www.federalreporting.gov) website. Invoices displaying current expenditures and cumulative expenditures are required in sufficient detail to permit a substantive review, i.e., individual expenditures should be itemized. Monitoring is an integral part of post award administration. The purpose of monitoring is to ensure that the recipient meets their programmatic and financial requirements of the award. There are several types of grant/agreement monitoring functions. These could include telephone calls, desk reviews, on-site reviews, performance reports, financial and legal reviews, or other tools.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Accounting records shall be maintained in accordance with generally accepted accounting principles adequate to collect, record and document award-related expenditures. See Section 1514 and 1515 of the Recovery Act.

**Account Identification:**

12-1102-0-1-302.

**Obligations:**

(Salaries) FY 10 \$120,714,766; FY 11 est \$0; and FY 12 est \$0 - No new obligations will be made in FY11 or FY12.

**Range and Average of Financial Assistance:**

\$25,000 - \$5 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

<http://www.recovery.gov> and the USDA recovery website provide award recipients with access to all OMB guidance and agency-specific guidance applicable to ARRA funding requirements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Associate Chief, 201 14th Street, SW, Washington, District of Columbia 20024  
Phone: (202) 205-1779.

**Website Address:**

<http://fs.usda.gov/economicrecovery>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.688 RECOVERY ACT OF 2009: WILDLAND FIRE MANAGEMENT  
ARRA WFM**

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act) For partnership agreements: Cooperative Funds and Deposits Act of December 12, 1975, Public Law 94-148, 16 U.S.C. 565a1 a3, as further authorized by Division F, Title IV, Section 417 of the Consolidated Appropriations Act 2008 (Public Law 110-161). (Participating Agreements); Interior and Related Appropriations Act of 1992. (Public Law 102-154, (Challenge Cost-Share Agreements); National Agricultural Research, Extension, and Teaching Policy Act of 1977 (Public Law 95-113), as amended by the Food Security Act of 1985 (7 U.S.C. 3318, and 3319, Public Law 99-198) and further amended by Public Law 105-198 (Research); Wyden Amendment (Public Law 105-277, Section 323 as amended by Public Law 109-54, Section 434) (Participating Agreements - Watershed restoration); Exempted Agreements: National Forest Roads and Trails Act of October 13, 1964 (16 U.S.C. 532-538, Public Law 88-657) and; Southern Nevada Public Land Management Act of 1998; and Lake Tahoe Restoration Act, Public Law 106-506 as amended; and White Pine County Conservation, Recreation and Development Act of 2006; and Secure Rural Schools and Community Self-Determination Act of 2000, as reauthorized and amended. For project grants/cooperative agreements: Cooperative Forestry Assistance Act of 1978, Public Law 95-313, 16 U.S.C. 2101 (S&PF); Farm Security and Rural Investment Act of 2002, Public Law 107-171.(S&PF); Public Law 105-277, Division A, Section 101(e), Title III, Section 343 (S&PF); Public Law 110-246, Food, Conservation and Energy Act of 2008, Title XI - ENERGY, Sections 9012 and 9013 (R&D); Public Law 105-277, Section 323, as amended by Public Law 109-54 and permanently authorized by Public Law 111-11, Section 3001, Watershed Restoration and Enhancement Act (Wyden Authority) (NFS & S&PF); Public Law 109-58, Energy Policy Act of 2005 42 U.S.C.15855 (S&PF & R&D);Public Law 109-432, Title III, Subtitle G, Eastern Nevada Landscape Restoration Project (S&PF); Secure Rural Schools and Community Self-Determination Act of 2000, as reauthorized and amended, Title II RACs.

**OBJECTIVES:**

Hazardous fuels reduction, forest health protection, rehabilitation and hazard mitigation activities on Federal lands, and State and private forestry activities including hazardous fuels reduction, forest health and ecosystem improvement activities on State and private lands; wood-to-energy grants to promote increased utilization of biomass from Federal, State and private lands.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Hazardous fuels reduction, forest health protection, rehabilitation and hazard mitigation activities on Federal lands, and State and private forestry activities including hazardous fuels reduction, forest health and ecosystem improvement activities on State and private lands; wood-to-energy grants to promote increased utilization of biomass from Federal, State and private lands. ARRA reporting requirements must be met by all recipients of Recovery Act funding.

**Applicant Eligibility:**

See 70 above for specific project areas under this CFDA. Applicant eligibility: Nonfederal agencies, state and local governments, non-profit organizations, tribal nations, individuals

Beneficiary Eligibility: Nonfederal agencies, State and local governments, non-profit organizations, tribal nations, individuals and the American Public at large.

**Beneficiary Eligibility:**

In addition to project grants and cooperative agreements, mutual benefit partnership agreements such as Challenge Cost Share Agreements, Participating Agency Agreements, Cooperative Forest Road Agreements have been awarded.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

All funds have been awarded for this program. No further applications are being considered for award under this CFDA program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

No other information.

**Renewals:**

No other information.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Depending on the authority under which an award is made, matching requirements may exist. Partnership agreements generally require a minimum 20 percent contribution. Awards provided for activities on State and private lands shall not be subject to matching or cost share requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No additional funds are available for awards under this CFDA program. See the following for information on how assistance is awarded/released: Depending upon the type of assistance (grants or cooperative agreements) or partnership agreements, payments may be made on an advance basis or reimbursable basis as authorized by the specific authority under which the awards are being made.

**Reports:**

Accomplishment reports are a requirement of Recovery Act awards. American Recovery and Reinvestment Act (ARRA)-Sections 1512 and 1609 Reporting Requirements: The report will be posted to [www.federalreporting.gov](http://www.federalreporting.gov) and tied to [www.Recovery.gov](http://www.Recovery.gov). Recipients and their subrecipients (first-tier) must have a Dun and Bradstreet Universal Numbering System (DUNS) number ([www.dnb.com](http://www.dnb.com)) and must maintain active and current profiles in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)). (ARRA 1512, ARRA 1609). Cash reports are not applicable. Progress reports are due quarterly as published at the [www.federalreporting.gov](http://www.federalreporting.gov) website. Invoices displaying current expenditures and cumulative expenditures are required in sufficient detail to permit a substantive review, i.e., individual expenditures should be itemized. Monitoring is an integral part of post award administration. The purpose of monitoring is to ensure that the recipient meets their programmatic and financial requirements of the award. There are several types of grant/agreement monitoring functions. These could include telephone calls, desk reviews, on-site reviews, performance reports, financial and legal reviews, or other tools.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. See <http://www.whitehouse.gov/omb/circulars/> for more information regarding OMB Circular requirements by entity type.

**Records:**

Accounting records shall be maintained in accordance with generally accepted accounting principles adequate to collect, record and document award-related expenditures. See Section 1514 and 1515 of the Recovery Act.

**Account Identification:**

12-1118-0-1-302.



**Obligations:**

(Salaries) FY 10 \$291,504,524; FY 11 est \$0; and FY 12 est \$0 - No new obligations will be made in FY11 or FY12.

**Range and Average of Financial Assistance:**

\$25,000 - \$2 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

<http://www.recovery.gov> and the USDA recovery website provide award recipients with access to all OMB guidance and agency-specific guidance applicable to ARRA funding requirements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Associate Chief, 201 14th Street, SW, Washington, District of Columbia 20024  
Phone: (202) 205-1779.

**Website Address:**

<http://fswb.wo.fs.fed.us/economicrecovery/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.689 COMMUNITY FOREST AND OPEN SPACE CONSERVATION PROGRAM (CFP)**

Community Forest Program (CFP)

NOTE: Details listed for this program are provisional and subject to change pending final rule making process.

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, which amends the Cooperative Forestry Assistance Act of 1978 (16 USC 2103d), Title IX, Section 8003, Public Law 110-246, 122 Stat. 1651. Program is undergoing rulemaking. A proposed rule for implementation of the Community Forest and Open Space Program is targeted for publication in the Federal Register for September 2011., Title IX, Section 8003, Public Law 110-246, 122 Stat. 1651.

**OBJECTIVES:**

The purpose of CFP is to achieve community benefits by establishing community forests through 50/50 financial assistance competitive grant awards to local governments, Indian tribes, and nonprofit organizations. Grant funds are used by successful applicants to acquire and protect private forestlands. Community forest benefits are specified in the authorizing statute (16 U.S.C. 2103(d) & 2109(e)), and include economic benefits from sustainable forest management, natural resource conservation, forest-based educational programs, model forest stewardship activities, and recreational opportunities. Public access to the community forests is required and intended to enhance public health and well-being.

In addition, the program authorizes funds to State Foresters and equivalent Indian tribe officials for technical assistance to implement community forest projects.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Landowner participation in the program is voluntary and consists of conveying land to achieve conservation objectives. 100%. 100%.

**Applicant Eligibility:**

Project grants are awarded to local governments, Indian tribes, or nonprofit organizations qualified to acquire land and with the authority to manage land.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regional/Northeastern Area (NA) /International Institute of Tropical Forestry (IITF) Offices and the State Foresters can be a resource for assistance.

Environmental impact information not required for this program.

Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To be determined.

NOTE: Details listed for this program are provisional and subject to change pending final rule making process.

**Award Procedure:**

To be determined.

NOTE: Details listed for this program are provisional and subject to change pending final rule making process.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

To be determined.

NOTE: Details listed for this program are provisional and subject to change pending final rule making process.

**Appeals:**

To be determined.

**Renewals:**

To be determined.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Funds reimbursed by the Federal Government may not exceed 50 percent of the total project budget expended by the grantee. The non-Federal share of the match may be in the form of cash, services, or in-kind contribution.

NOTE: Details listed for this program are provisional and subject to change pending final rule making process.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

To be determined. See the following for information on how assistance is awarded/released: As determined by the award terms.

**Reports:**

To be determined. Cash reports are not applicable. To be determined. SF 425 Federal Financial Report will be used to report total program expenditures that clearly reflect the established 50% match. The Forest Service program manager will conduct monitoring activities to measure performance against established grant objectives.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Access to financial reports shall be provided to Forest Service or its designees as requested.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$500,000; FY 11 est \$1,000,000; and FY 12 Estimate Not Available(Exp: Pending budget request) - Annual funding levels to be determined per Presidential budget request.

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars are applicable to awards under this program.

**Regional or Local Office:**

None. Forest Service S&PF, Cooperative Forestry  
1400 Independence Avenue, SW  
Stop Code 1123  
Washington, DC 20250.

**Headquarters Office:**

Maya Soloman 1400 Independence Ave SW, MS-1123, Washington, District of Columbia 20850 Phone: 202-205-1376

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

10.676 Forest Legacy Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Forest Service will give priority to an application that maximizes the delivery of community benefits through a high degree of public participation; and

- (1) Type and extent of community benefits provided. Community benefits include:
  - (i) Economic benefits such as timber and non-timber products resulting from sustainable forest management and tourism
  - (ii) Environmental benefits, including clean air and water, stormwater management, and wildlife habitat
  - (iii) Benefits from forest-based experiential learning, including K-12 conservation education programs; vocational education programs in disciplines such as forestry and environmental biology; and environmental education through individual study or voluntary participation in programs offered by organizations such as 4-H, Boy or Girl Scouts, Master Gardeners, etc.(iv) Benefits from serving as replicable models of effective forest stewardship for private landowners
  - (v) Recreational benefits secured through public access, such as hiking, hunting and fishing
- (2) Extent and nature of community engagement in the establishment and long-term management of the community forest
- (3) Amount of cost share leveraged
- (4) Extent to which the community forest contributes to a landscape conservation initiative
- (5) Extent of due diligence completed on the project, including cost share committed and status of appraisal
- (6) Likelihood that, unprotected, the property would be converted to nonforest uses
- (7) Costs to the Federal government
- (8) Additional considerations as may be outlined in the RFP

NOTE: Details listed for this program are provisional and subject to change pending final rule making process.

**10.690 LAKE TAHOE EROSION CONTROL GRANT PROGRAM**

Lake Tahoe Erosion Control Grant Program

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Lake Tahoe Restoration Act, Public Law 106-506, as amended by Department of the Interior and Related Agencies Appropriations Act for Fiscal Year 2004, Public Law 108-108. New legislation has been introduced in Congress for LTRA reauthorization and revision, but it has not yet been adopted. Adoption of the new updated LTRA would aid in continuation of funding.

**OBJECTIVES:**

To make annual payments to the governing bodies of each of the political subdivisions (including public utilities) located in the Lake Tahoe Basin to be used primarily for erosion control and water quality projects. The goal of the program is to provide federal assistance to address urban stormwater runoff pollution, the primary source of pollutants (fine sediment and nutrients) affecting the clarity of Lake Tahoe. This program addresses urban runoff from public roads and right of ways.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Only after water quality and soil conservation thresholds have been achieved, funds may be used to address other environmental threshold categories. Payments shall be used only to carry out a project or proposed project that is part of the environmental improvement program adopted by the Tahoe Regional Planning Agency in 1998. Funds require a 1:1 match by the states of California and Nevada. 100%.

**Applicant Eligibility:**

Eligible applicants: Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals).

**Beneficiary Eligibility:**

Beneficiary Eligibility: Governing bodies of each of the political subdivisions (including public utilities) located in the Lake Tahoe Basin.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Submittal of an annual list of priority projects, along with written proposals for each of the identified priority projects. The USFS has chosen to adopt the State guidelines for these proposals, since they meet all the needs for project narratives for federal grant considerations, with one additional requirement. That additional requirement is clear identification of sources and amounts of proposed match funding. Implementation of construction projects under awarded grants are not allowed until a signed project decision under NEPA has been made, allowing the use of federal grant funds for implementation. Local Office monitors grant awards to assure compliance of this restriction. Planning, design, and monitoring grants do not require an environmental impact assessment. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Project narratives submitted through the pre-application process are reviewed by an interagency technical advisory committee convened by the Federal grants program managers. Projects are then identified for selection for award, along with instructions for any needed revisions to the project narratives. At that time, eligible applicants submit revised narratives along with standard application forms and assurances to the Local Office, as furnished by the Federal agency.

**Award Procedure:**

Award letter sent to grantee, with identification of grant requirements, in letter from Local Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. Extensions can be made for individual grants as long as end dates do not exceed five years post award date.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50.%. Matching requirements are specified in Public Law 106-506, as amended, Public Law 108-108, Section 337. Match must be provided on a 1:1 basis from the states of California and Nevada. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period not to exceed 5 years. Invoices may be submitted no more frequently than monthly. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperator.

**Reports:**

Bi-annual accomplishment reports are required by Local Office. No cash reports are required. No progress reports are required. Financial expenditures reporting is required. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial and programmatic records must be retained for three years from the date of submission and approval of final financial reports.

**Account Identification:**

12-1106-0-1-302 - 1214X5232- funding from BLM.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$10,000,000; FY 11 est \$10,000,000; and FY 12 est \$952,000 - FY 2013: We do not expect any funding in 2013 as there is no Round 13 in the program.

**Range and Average of Financial Assistance:**

In FY 08, \$229,575 to \$2,600,000. Average award: \$1,237,878.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Over the last three years, our program has seen many phases of many projects be planned and implemented. These projects usually take several years of environmental planning and design work before they are implemented. The following is a partial list of the jurisdictions and their respective projects that have been funded in part by the Erosion Control Grants program: Placer County has planned or implemented projects in Kings Beach (EC and clean water pipe bypass), Tahoe Estates EC, Brockway EC, Lake Forest (EC and stream restoration), West Sunnyside EC, Homewood, and Tahoe Pines EC. The Lake Forest Stream Restoration brings back to the meadow a stream that has been in an underground pipe for over 35 years. El Dorado County has planned or implemented projects in Montgomery Estates (EC), Apalachee (EC), Sawmill (EC), and Christmas Valley (EC). Washoe County has done planning and implementation in two phases of the Crystal Bay area and is now doing planning in Fairway and Central Incline Village. The City of South Lake is doing project planning and construction for several phases of the Sierra Tract, several phases Al Tahoe (EC), and two phases of the particularly difficult Bijou area( EC). Douglas County has been working on phases of the Lake Village project and will be doing work in the Burke Creek watershed. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Barb Shanley or Genevieve Villemarie, Forest Service, 35 College Drive, South Lake Tahoe, CA 96150, Telephone: (530) 543-2657 or 2783, Fax: (530) 543-2693, email: bshanley@fs.fed.us or gvillemarie@fs.fed.us.

**Headquarters Office:**

Barbara Shanley, 35 College Drive, South Lake Tahoe, California 96150 Email: bshanley@fs.fed.us Phone: (530) 543-2657.

**Website Address:**

<http://www.fs.fed.us/r5/Itbmu/ecgp/index.shtml>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grants must address planning, construction, or monitoring of projects identified in the Tahoe Regional Planning Agency environmental improvement program. For this, primary criteria projects are selected based on direction provided in the LTRA to provide to the maximum extent practicable that each political subdivision receives some funding and to allocate funding based on the relative need for and merits of projects.

**10.691 GOOD NEIGHBOR AUTHORITY**

Good Neighbor Authority

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Omnibus Appropriations Act of 2009, Public Law 111-8; FY 2005 Interior and related Agencies Appropriations Act, Public Law 108-447, 118 Stat. 3012, as amended by Consolidated Security, Disaster Assistance and Continuing Appropriations Act of 2009, Public Law 110-329, as amended by PL-111-88, Division A, Title IV, Section 422 of the Department of the Interior, Environment, and Related Agencies Appropriations Act, 2010. Authority due to expire September 30, 2013.

**OBJECTIVES:**

Utah Good Neighbor was extended in the 2011 DOD Appropriations (April 2011) through September 30, 2011. Extension of this authority beyond FY 2011 is pending and is intended to align the Utah program with the Colorado timeline which will remain in effect through FY 2013.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Restoration services provided are on a project-by-project basis as planned or made ready for implementation under existing Forest Service authorities. Types of projects include treatment of insect infected trees, reduction of hazardous fuels, and other activities to restore or improve forest, rangeland and watershed health including fish and wildlife habitat. Projects may be completed by the state of Colorado or subcontracts utilizing State contract procedures. 100%.

**Applicant Eligibility:**

No additional information.

**Beneficiary Eligibility:**

Program authorized for the state of Colorado only.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental documentation by the Forest Service is completed prior to

inclusion under an award. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Forest Service and the state of Colorado mutually agree to projects that are appropriate under this authority.

**Award Procedure:**

The law authorizes sole source award of included projects.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Submit written request with SF-424 application and SF-424A (as applicable) to amend budget amounts or length of commitment; other requirements may be established by the affected Forest Service Supervisor's Office in consultation with the Regional Office.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As specified in award terms, but not to exceed 5 years. See the following for information on how assistance is awarded/released: As specified in award terms.

**Reports:**

The state of Colorado shall submit a performance report annually. No cash reports are required. No progress reports are required. Financial reports shall be submitted in accordance with award terms. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All related data, information, records and accounts shall be retained for a period of 3 years beyond the date of submission of final financial reports. Financial and programmatic records will be made available to the Forest Service or its designated agent upon request.

**Account Identification:**

12-1106-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$119,175; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$5,000 to \$100,000. Average: \$40,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY10: 98 acres treated. Fiscal Year 2011: Funding for FY 2011 and beyond is pending renewal of authority by Congress. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Offices in Colorado for more information.

**Headquarters Office:**

Bob Garcia 740 Simms St., Golden, Colorado 80401 Phone: 303-275-5024

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All cooperative agreements are approved on the basis of negotiated targets, project objectives to be achieved and the relationship to regional forest health issues, priorities and needs.

**10.693 WATERSHED RESTORATION AND ENHANCEMENT AGREEMENT AUTHORITY**

Wyden Amendment

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Public Law 105-277, Section 323 as amended by Public Law 109-54 Section 434. This program has been permanently authorized, Public Law 111-11.

**OBJECTIVES:**

To enter into domestic cooperative agreements with willing participants for the protection, restoration, and enhancement of fish and wildlife habitat and other resources on public or private land and for the reduction of risk from natural disaster where public safety is threatened that benefit these resources within the watershed.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Projects that protect, enhance, or restore resources within a watershed and provide tangible benefits to achieving Forest Service goals and objectives are allowable under Wyden. Project types are not limited to actual projects on the ground; for example, stream gabion installation, check dam construction, fish habitat restoration, or culvert cleaning. Watershed analysis studies, habitat surveys and wildlife species monitoring, depending on the benefit to resources within the watershed, are also permissible under Wyden. Any project carried out under Wyden authority must comply with all applicable Federal, State and local laws and regulations, policies and permit requirements; for example, National Environmental Policy Act, Clean Water Act, and Endangered Species Act. Must be within a watershed for the stated program objectives.

**Applicant Eligibility:**

n/a.

**Beneficiary Eligibility:**

n/a.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any project carried out under Wyden authority must comply with all applicable Federal, State and local laws and regulations, policies and permit requirements; for example, National Environmental Policy Act, Clean Water Act, and Endangered Species Act. The standard application forms SF 424s as furnished by the federal agency and required by OMB A-102, as implemented by 7 CFR Part 3016 and 7 CFR Part 3019, must be used for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. The Forest Service and cooperator mutually agree to projects that are appropriate.

**Award Procedure:**

Established by Forest headquarters, Regional or Washington Office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days. Submit written request and completed SF-424 application and SF-424A (as applicable) to amend amount or length of commitment; other requirements may be established by the affected Forest headquarters, Regional or Washington Office.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As specified on the cooperative agreement, but not to exceed 5 years. Invoices may be submitted no more frequently than monthly. See the following for information on how assistance is awarded/released: As specified on the cooperative agreement.

**Reports:**

No program reports are required. Recipients will complete and submit SF-425s to report expenditures and cash on hand, as applicable. Reports due at least annually and no more than quarterly. As specified in the award document, progress reporting is required to monitor progress against award objectives. Recipients will complete and submit SF-425s to report expenditures and cash on hand, as applicable. The recipient and other parties to the agreement are expected to conduct monitoring activities.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Not Applicable.

**Records:**

All related data, information, records and accounts shall be retained for a period of 3 years beyond the data of submission of final financial reports and/or final payment.

**Account Identification:**

12-1106-0-1-302 - 12/14-5232-0-1-302.

**Obligations:**

(Salaries) FY 10 \$6,000,000; FY 11 est \$6,000,000; and FY 12 est \$6,000,000

**Range and Average of Financial Assistance:**

Varies by type of project and funding available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars, as applicable to the type of recipient and 48 CFR 31.2 for Private Landowners.

**Regional or Local Office:**

See Regional Agency Offices. Varies by type of project and funding available.

**Headquarters Office:**

AD, Watershed and Aquatics 201 14th Street NW, Room 3SE, Washington, District of Columbia 20024 Phone: (202) 205-1790.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: A project on the Willamette NF in Oregon addressed the issue of floating logs in Detroit Lake that get washed in every spring and pose a hazard to boaters. The logs were removed from the lake, transported around the dam and deposited downstream as woody material in 4 miles of FS and other ownership streams occupied by ESA-listed steelhead and Coho salmon. The FS contribution to this project was \$12,000

Another project on the Ozark-St Francis National Forests in Arkansas involved restoration of old agricultural fields to native warm season grasses and herbs. Private land and National Forest lands were restored for a total of 263 acres. The FS contributed \$10,000 to this project.

A thinning and prescribed burn project on the Sequoia National Forest in California treated hazardous fuels on National Forest and adjacent Tule Indian tribal lands. The total cost of the project was \$1,400,000 and resulted in 1200 acres treated. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Cooperative agreements are negotiated on the basis of project objectives to be achieved, with emphasis on restoration, protection, and enhancement of fish and wildlife habitat, and other resources on public and private land, the reduction of risk from natural disaster where public safety is threatened, or a combination thereof or both that benefit these resources within the watershed; availability of funding.

**10.694 SOUTHWEST FOREST HEALTH AND WILDFIRE PREVENTION**

Southwest Forest Health and Wildfire Prevention

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Southwest Forest Health and Wildfire Prevention Act, Public Law 108-317.

**OBJECTIVES:**

(1) To enhance the capacity to develop, transfer, apply, monitor, and regularly update practical science-based forest restoration treatments that will reduce the risk of severe wildfires, and improve the health of dry forest and woodland ecosystems in the interior West; (2) to synthesize and adapt scientific findings from conventional research programs to the implementation of forest and woodland restoration on a landscape scale; (3) to facilitate the transfer of interdisciplinary knowledge required to understand the socioeconomic and environmental impacts of wildfire on ecosystems and landscapes; (4) to require the Institutes established under this Act to collaborate with Federal agencies to use ecological restoration and wildfire treatments; (5) to assist land managers in restoration-based applications and new management technologies; (6) to provide technical assistance to collaborative efforts by affected entities; and (7) to assist Federal and non-Federal land managers in providing information to the public on the role of fire and fire management.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To require the Institutes established under this Act to collaborate with Federal agencies (A) to use ecological restoration treatments to reverse declining forest health and reduce the risk of severe wildfires across the forest landscape; and (B) to design, implement, monitor, and regularly revise representative wildfire treatments based on the use of adaptive ecosystem management. . No funds made available under this Act shall be used to pay costs of constructing any facilities.

**Applicant Eligibility:**

none.

**Beneficiary Eligibility:**

One (1) Institute each of (A) the State of Arizona, to be located at Northern Arizona University; (B) the State of New Mexico, to be located at New Mexico Highlands University, while engaging the full resources of the consortium of universities represented in the Institute of Natural Resource Analysis and Management (INRAM); and (C) the State of Colorado, to be located at Colorado State University.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Institutes shall submit a Federal Financial Assistance application SF-424 annually based on the amount of appropriated funds each fiscal year.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

none.

**Appeals:**

none.

**Renewals:**

none.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

not applicable. See the following for information on how assistance is awarded/released: Method of awarding/releasing assistance: advance/reimbursable payments.

**Reports:**

Accomplishment reports as set forth in the annual award letter are required. No cash reports are required. Progress reports are not applicable. No cash reports are required. Actual expenditures are detailed on each request for reimbursement and/or advance liquidation request. The Forest Service program manager shall conduct monitoring activities to track program accomplishments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Institutes shall maintain programmatic and accounting records applicable to each annual award for a period of not less than 3 years after the completion of all activities thereunder.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$2,000,000; FY 11 est \$1,500,000;

and FY 12 Estimate Not Available(Exp: No estimates are available at th)

**Range and Average of Financial Assistance:**

not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Institutes provide a critical role in the transfer of current scientific information regarding management of fire-adapted ecosystems in the interior West. They provide publications to land managers and stakeholders through all type of media, deliver short-courses and workshops on ecological restoration and the historic conditions in ponderosa, mixed conifer and pin-juniper ecosystems, and provide on-the-ground field consultations and rapid assessments to inform treatment designs. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Fire Plan; the report entitled Protecting People and Sustaining Resources in Fire-Adapted Ecosystems A Cohesive Strategy (65 Fed. Reg. 67480); and the report entitled 10-Year Comprehensive Strategy: A Collaborative Approach for Reducing Wildland Fire Risks to Communities and the Environment of the Western Governors Association.

**Regional or Local Office:**

See Regional Agency Offices. Walter Dunn, Southwestern Regional Office, 333 Broadway Boulevard SE, Albuquerque, NM 87102 E-mail wdunn@fs.fed.us Phone: (505) 842-3425.

**Headquarters Office:**

Walter Dunn 333 Broadway Blvd. SE, Albuquerque, New Mexico 87102 Email: wdunn@fs.fed.us Phone: 505-842-3425

**Website Address:**

<http://www.fs.fed.us/r3/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.700 NATIONAL AGRICULTURAL LIBRARY****FEDERAL AGENCY:**

Agricultural Research Service, Department of Agriculture

**AUTHORIZATION:**

5 U.S.C. 301, 552, 5946; 7 U.S.C. 450b, 450i, 2201, 2202, 2204, 2206, 2244, 2264, 2265, and 3318.

**OBJECTIVES:**

To serve as the Nation's Chief Agricultural information resource by providing agricultural information products and services through traditional library functions and through modern electronic dissemination to agencies of the USDA, public organizations, and individuals.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Anyone can use the services. Publications in the library collection are available through interlibrary loan or photo-reproduction, and the library facilities are open to anyone wishing to use them.

**Applicant Eligibility:**

Individuals, State and local governments, educational organizations, research societies, business and industry including those located in the U.S. Territories.

**Beneficiary Eligibility:**

Individuals, State and local governments, educational organizations, research societies, business and industry including those located in the U.S. Territories.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Apply by letter to the Office of Associate Director, Public Services Division, National Agricultural Library, Beltsville, MD 20705.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: Grants and Cooperative Agreements.

**Reports:**

Performance Reports. No cash reports are required. The frequency is outlined in the terms of the Agreement. The frequency is outlined in the terms of the Agreement. The frequency is outlined in the terms of the Agreement.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

12-1400-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 10 \$24,212,149; FY 11 est \$22,820,374; and FY 12 est \$22,820,374

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Guide to the Services of the National Agricultural Library."

**Regional or Local Office:**

See Regional Agency Offices. Office of the Director, National Agricultural Library, Beltsville, MD 20705-2351. Telephone: (301) 504-6780. Use the same number for FTS. Contact: Extramural Agreements Division.

**Headquarters Office:**

Kathleen S. Townson, 5601 Sunnyside Ave, MS-5110, Betsville, Maryland 20705 Email: kathleen.townson@ars.usda.gov Phone: (301) 504-1702.

**Website Address:**

<http://www.nal.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.759 PART 1774 SPECIAL EVALUATION ASSISTANCE FOR RURAL COMMUNITIES AND HOUSEHOLDS PROGRAM (SEARCH)**

SEARCH Grant Program

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

The Food, Conservation and Energy Act, Public Law 110-234 (Farm Bill) amended Section 306(a)(2) of the Consolidated Farm and Rural Development Act (CONACT) (7 U.S.C. 1926 (a)(2)). , Title 110, Part 234, Section 306(a)(2) , 7 U.S.C 1926 (a)(2)).

**OBJECTIVES:**

To make predevelopment planning grants for feasibility studies, design assistance, and technical assistance to financially distressed communities in rural areas with populations of 2,500 or fewer inhabitants for water and waste disposal projects.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

May fund up to 100 percent of the eligible grant costs, not to exceed \$30,000. Grants can only be made to financially distressed communities in rural areas with populations of 2,500 or fewer inhabitants.

**Applicant Eligibility:**

Applicants must be (1) public bodies or governmental entities such as states, municipalities, counties, districts, authorities, and other political subdivisions of a State; (2) nonprofit organizations such as associations, cooperatives, private nonprofit corporations, and institutions of higher education and hospitals; (3) Native American Indian tribes on Federal and State reservations, other federally recognized Indian tribes, and Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, and associations).

**Beneficiary Eligibility:**

Beneficiaries are the entities or organizations eligible to develop projects under the Water and Waste Disposal Loan and Grant Program. Eligible entities include (1) public bodies or governmental entities such as municipalities, counties, districts, authorities, and other political subdivisions of a State, (2) nonprofit organizations such as associations, cooperatives, and private nonprofit corporations, (3) Native American Indian tribes on Federal and State reservations and other federally recognized Indian tribes.

**Credentials/Documentation:**

Evidence of legal existence and authority, organizational documents, certified list of directors, evidence of tax exempt status, current audit. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Public bodies or non-profit organizations may file applications with the RD State Office for the state in which the organization's headquarters is located. Addresses may be found on the web site of the Water and Environmental Programs [http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html).

Intermediaries headquartered in the District of Columbia may file the application with the National Office, USDA, Rural Utilities Service, Water and Environmental Programs, STOP 1570, 1400 Independence Avenue SW, Washington, DC 20250-1570.

All required forms may be found on the RUS Water Programs web page at <http://www.rurdev.usda.gov/FormsAndPublications.html>; on that page, select Revolving Fund Program.

- (1) Application for Federal Assistance: Standard Form 424;
- (2) Budget Information Non-Construction Programs: Standard Form 424A;
- (3) Assurances Non-Construction Programs: Standard Form 424B;
- (4) Certification of Compliance with Federal Requirements/Laws (see Exhibit E);
- (5) Evidence of applicants legal existence and authority in the form of certified copies of organizational documents and a certified list of directors and officers with their respective terms;
- (6) Evidence of tax exempt status from the Internal Revenue Service;
- (7) Current audit of the organization;
- (8) Explanation of budget and accounting system in place or proposed, with the administrative cost for operating the fund expressed as a percentage of the overall budget;
- (9) Form AD1047, Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transaction.
- (10) Form AD 1049, Certification Regarding Drug-Free Workplace Requirements (Grants) Alternative IFor Grantees Other Than Individuals.
- (11) Form AD 1048, Certification Regarding Debarment.
- (12) Attachment regarding assistance provided to Rural Development Employees as required by RD Instruction 1900D.
- (13) Form RD 4004, Assurance Agreement.
- (14) Form RD 4001, Equal Opportunity Agreement."

**Award Procedure:**

Selected applicant(s) will be notified by Form AD-622.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision with the National Appeals Division of USDA in accordance with USDA regulations at 7 CFR 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
 Matching requirements are not applicable to this program.  
 MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Advances and reimbursements will be disbursed over the term of the grant on request of the grantee.

**Reports:**

Quarterly or semi-annual narrative reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Annual audit or Management Report

**Records:**

No Data Available.

**Account Identification:**

12-1980-0-1-072.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

Up to \$30,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1774; RUS Instruction 1780; OMB Circular A87, OMB Circular A110, OMB Circular A102 or OMB Circular A122; Executive Order 12866; and Executive Order 12988

**Regional or Local Office:**

None.

**Headquarters Office:**

Anita O'Brien, 1400 Independence Ave., SW, Stop 1570, Washington, District of Columbia 20005 Email: anita.obrien@wdc.usda.gov Phone: (202) 690-3789.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects will be selected based primarily on the funding priorities in Section 1780.17 of RUS Instruction 1780. The State Program Official discretionary points stated in Section 1780.17 (e) of RUS Instruction 1780 can also include consideration of the following criteria:

- (a) Systems with limited resources.
- (b) Smallest systems with lowest incomes.
- (c) Funds availability.

**10.760 WATER AND WASTE DISPOSAL SYSTEMS FOR RURAL COMMUNITIES**

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306, Public Law 92-419, 7 U.S.C. 1926.

**OBJECTIVES:**

To provide basic human amenities, alleviate health hazards and promote the orderly growth of the rural areas of the nation by meeting the need for new and improved rural water and waste disposal facilities.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS; PROJECT GRANTS  
**USES AND USE RESTRICTIONS:**

Funds may be used for the installation, repair, improvement, or expansion of a rural water facility including distribution lines, well pumping facilities and costs related thereto, and the installation, repair, improvement, or expansion of a rural waste disposal facility including the collection, and treatment of sanitary, storm, and solid wastes. Grant funds may not be used to pay: interest on loans, operation and maintenance costs, or acquisition or refinancing of an existing system. No maximum loan amount is established by statute. The maximum term on all loans is 40 years. However, no repayment period will exceed any statutory limitation or the organization's borrowing authority or the useful life of the improvement or facility to be financed. There are currently three interest rates for direct loans: (1) a poverty rate that is 60 percent of the market rate, (2) an intermediate rate that is 80 percent of the market rate, and (3) a market rate. The poverty interest rate will not exceed 5 percent per year. The poverty rate may apply when the loan is required to meet health or sanitary standards and the median household income (MHI) of the service area is below the poverty line or 80 percent of the statewide nonmetropolitan MHI, whichever is greater. The intermediate rate applies when the MHI of the service area is not more than 100 percent of the statewide nonmetropolitan MHI, and the



poverty rate does not apply. The market rate applies when neither the poverty rate nor intermediate rate is applicable. The interest rate on guaranteed loans is negotiable between the applicant and the lender.

**Applicant Eligibility:**

Municipalities, counties, other political subdivisions of a State such as districts and authorities, associations, cooperatives, corporations operated on a not-for-profit basis, Indian tribes on Federal and State reservations and other Federally recognized Indian tribes. The applicant must: (1) be unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms; and (2) have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service, and for obtaining, giving security for, and repaying the proposed loan. Assistance is authorized for eligible applicants in rural areas of the United States, Puerto Rico, the Virgin Islands, Guam, Commonwealth of Northern Mariana Islands, American Samoa, and to the extent the Secretary determines feasible and appropriate, the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:**

Farmers, ranchers, rural residents, rural businesses and other users in eligible applicant areas.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. USDA Rural Development (RD) offices administer the program on the local level. Application Form SF-424 is filed at the local RD Office from which assistance may be obtained. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

After the application has been reviewed at the local level, it is forwarded to the RD State Director for review and processing instructions. Following completion of application processing requirements and loan/grant approval, funds are made available to the applicant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 30 to 90 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision at the RD or RUS National level.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has no statutory formula. This program has no matching requirements. This program has no statutory formula. Funds are allocated to States based upon rural population, number of households in poverty, and unemployment. This program has no matching requirements. MOE requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the use of RUS loan or grant funds. Funds will be awarded when all RUS requirements are met and the project can be

completed on a timely basis. See the following for information on how assistance is awarded/released: Funds may be advanced on an as needed basis by the RUS to cover expenses for a 30-day period.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts are required to reflect the operations of the facility.

**Account Identification:**

12-4155-0-3-452; 12-0400-0-1-452.

**Obligations:**

(Direct Loans) FY 10 \$951,292,308; FY 11 est \$1,022,161,804; and FY 12 est \$770,229,645. (Guaranteed/Insured Loans) FY 10 \$10,720,630; FY 11 est \$75,000,000; and FY 12 est \$11,949,680. (Project Grants) FY 10 \$54,907,138; FY 11 est \$35,172,800; and FY 12 est \$31,151,000

**Range and Average of Financial Assistance:**

(Direct Loans) \$1,000 to \$14,000,000; \$1,282,000; (Grants) \$2,800 to \$4,700,000; \$694,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: There were 565 direct loans, 536 grants, 7 guaranteed loans made. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1780, Water and Waste Loans and Grants, 7 CFR 1779, Water and Waste Disposal Program Guaranteed Loans.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

11.300 Investments for Public Works and Economic Development Facilities; 14.218 Community Development Block Grants/Entitlement Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The following areas received funds for specified projects: construction of new water system consisting of water lines, pumping stations, wells, storage tanks and treatment plants; water system improvements consisting of additional water lines, new water treatment facility and booster pump; renovation of existing water system which included new distribution lines, wells and pressure tanks; construction of new waste water collection and treatment systems; replacement of waste water treatment plan and improvement of waste water collection lines; rehabilitation of waste water collection lines

and construction of lift station; purchase of site for landfill; and purchase of trucks and equipment for solid waste disposal. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

#### **CRITERIA FOR SELECTING PROPOSALS:**

In selecting applications for funding, the agency cooperates with appropriate State agencies. RUS assistance for water and waste disposal projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as: Population; low income unemployment; and health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed project is located.

#### **10.761 TECHNICAL ASSISTANCE AND TRAINING GRANTS**

TAT Grants

##### **FEDERAL AGENCY:**

Rural Development, Department of Agriculture

##### **AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Sections 306(a)(16)(A), Public Law 99-198, 7 U.S.C. 1926(a).

##### **OBJECTIVES:**

To identify and evaluate solutions to water and waste disposal problems in rural areas; to assist applicants in preparing applications made in accordance with 7 CFR 1780; to improve operation and maintenance of water and waste disposal facilities in rural areas.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds may be used to pay expenses associated with providing technical assistance and/or training (TAT) to identify and evaluate solutions to water problems relating to source, storage, treatment, and distribution, and to waste disposal problems relating to collection, treatment, and disposal; assist applicants that have filed a preapplication with RUS in the preparation of water and/or waste disposal loan and/or grant applications; and to provide training that will improve the management, operation and maintenance of water and waste disposal facilities. Grant funds may not be used to recruit applications, duplicate current services such as those performed by a consultant in developing a project, fund political activities, pay for capital assets, purchase real estate or vehicles, improve and renovate office space or repair and maintain privately owned property, pay construction or O&M costs, and pay costs incurred prior to the effective date of grants made.

##### **Applicant Eligibility:**

Eligible entities must be private nonprofit organizations. Applicants must have proven ability, background, experience, legal authority and actual capacity to provide technical assistance and/or training on a regional basis to associations.

##### **Beneficiary Eligibility:**

Entities that may be eligible for water and waste disposal loans and grants (10.760) such as municipalities, counties, districts, authorities, and other political subdivisions of a State, organizations operated on a not-for-profit basis, such as associations, cooperatives, or private corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Standard application forms as furnished by RUS must be used for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circular A-110 applies to this program. This program is subject to the provisions of OMB Circular A-122. An Application for Federal Assistance, Form SF 424, will be filed with the appropriate Rural Development (RD) State Office or the Rural Utilities

Service (RUS) National Office between October 1 and December 31 each fiscal year.

##### **Award Procedure:**

Applications received by an RD State Office will be reviewed and forwarded with any written comments within seven working days to the RUS approval official.

##### **Deadlines:**

Oct 01, 2011 to Dec 31, 2011

##### **Range of Approval/Disapproval Time:**

From 30 to 60 days. Applicants normally will be notified of funding eligibility within 45 days after December 31. The RD State Office or RUS National Office will provide instructions and additional forms to eligible applicants to continue processing the application for approval.

##### **Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision with the National Appeals Division of USDA in accordance with USDA regulations at 7 CFR 11.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

A time limitation is not specified, however, priority will be given to applicants whose time frame for completion of the technical assistance and/or training grant project is 12 months or less. Method of awarding/releasing assistance: quarterly.

##### **Reports:**

All grantees will submit quarterly reports to the RUS National Office through the appropriate RD State Office. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant must be retained for a period of at least three years after closing.

##### **Account Identification:**

12-0400-0-1-452.

##### **Obligations:**

(Project Grants) FY 10 \$19,500,000; FY 11 est \$19,500,000; and FY 12 est \$19,000,000

##### **Range and Average of Financial Assistance:**

\$27,400 to \$5,988,000. Average: \$1,086,328.

##### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 1775, Technical Assistance and Training Grants.

##### **Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for RD district office number. If no listing, get in touch with the appropriate RD State Office listed in Appendix IV of the Catalog.

##### **Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Assistance will be directed to those applicants who: (1) have demonstrated ability to provide technical assistance and/or training to rural associations; (2) propose to serve multi-state, regional, or nationwide areas; (3) maximize use of grant funds for direct staffing of activities that are delivered to the associations; and (4) the population of the associations served have low income.

**10.762 SOLID WASTE MANAGEMENT GRANTS**

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 310B, Public Law 101-624, 7 U.S.C. 1932.

**OBJECTIVES:**

To reduce or eliminate pollution of water resources and improve planning and management of solid waste disposal facilities in rural areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to: Evaluate current landfill conditions to determine threats to water resources in rural areas; provide technical assistance and/or training to enhance operator skills in the maintenance and operation of active landfills in rural areas; provide technical assistance and/or training to help associations reduce the solid waste stream; and provide technical assistance and/or training for operators of landfills in rural areas which are closed or will be closed in the near future with the development/implementation of closure plans, future land use plans, safety and maintenance planning, and closure scheduling within permit requirements. Grant funds may not be used to: Recruit preapplications/applications for any loan and/or grant program including RUS Water and Waste Disposal Loan and/or Grant Program; duplication of current services, replacement or substitution of support previously provided such as those performed by an association's consultant in developing a project; fund political activities; pay for capital assets, the purchase of real estate or vehicles, improve and renovate office space, or repair and maintain privately-owned property; pay for construction or operation and maintenance costs of water and waste facilities; and pay costs incurred prior to the effective date of grants made under this subpart.

**Applicant Eligibility:**

Entities eligible for grants are nonprofit organizations, including: Private nonprofit organizations that have been granted tax exempt status by the Internal Revenue Service (IRS); and public bodies including local governmental-based multijurisdictional organizations. Applicants must have the proven ability, background, experience, legal authority, and actual capacity to provide technical assistance and/or training on a regional basis to eligible beneficiaries.

**Beneficiary Eligibility:**

Municipalities, counties, districts, authorities, and other political subdivisions of a State, organizations operated on a not-for-profit basis, such as associations, cooperatives, and private nonprofit corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular Nos. A-87, and A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular Nos. A-87, A-102, A-110, and A-122. Preapplication Form SF 424.1, will be filed with the appropriate Rural Development (RD), formerly FMHA, State or Rural Utilities Service (RUS) National Office between October 1 and December 31 each fiscal year.

**Award Procedure:**

Preapplications received by an RD State Office will be reviewed and forwarded with any written comments within seven working days to the RUS approval official.

**Deadlines:**

Oct 01, 2010 to Dec 31, 2010 Preapplications must be filed between October 1 and December 31 of each fiscal year in which funds are appropriated.

**Range of Approval/Disapproval Time:**

Form AD-622, "Notice of Preapplication Review Action," will normally be issued within 45 days after December 31 of each year. SF-424.1, "Application for Federal Assistance (for Non-Construction)," will be submitted by the applicant upon notification of funding eligibility.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision with the National Appeals Division of USDA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified, however, priority will be given to applicants whose time frame for completion of the grant project is 12 months or less. See the following for information on how assistance is awarded/released: Upon request.

**Reports:**

All grantees will submit quarterly reports to the RUS approval official. Cash reports are not applicable. All grantees will submit quarterly reports to the RUS approval official. All grantees will submit quarterly reports to the RUS approval official. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant must be retained for a period of at least three years after closing.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$3,405,320; FY 11 est \$3,434,118; and FY 12 est \$3,400,000

**Range and Average of Financial Assistance:**

\$40,000 to \$258,000. Average: \$101,911.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: There were 35 grants awarded. Fiscal Year 2011: There were 39 grants awarded. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1775, Technical Assistance and Training Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for RD District Office number. If no listing, get in touch with the appropriate RD State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs Rural Utilities Service, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The following areas received funds for specified projects: provide technical assistance to towns and solid waste associations in a three-county region with the goal of reducing the amount of toxicity of waste going to incinerators and landfills; develop an appropriate and effective education and public outreach plan that includes improved recycling, waste disposal, and access for the rural communities; evaluate landfill conditions and potential impacts on water resources; help maintain recycling drop off sites. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant funds will be directed to those applicants who; (1) Have demonstrated ability to provide technical assistance on a regional basis to rural communities; (2) propose to assist small, low income communities; (3) propose to serve multi-State, regional or nationwide areas; (4) the extent to which the proposed project is cost effective; and (5) meet the objectives of RUS Water and Waste Disposal Program.

**10.763 EMERGENCY COMMUNITY WATER ASSISTANCE GRANTS**

Emergency Community Water Assistance Grants

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, Section 306A; Food, Agriculture, Conservation, and Trade Act of 1990, Title XXIII, Public Law 101-624.

**OBJECTIVES:**

Through the Emergency Community Water Assistance Grant Program, the Rural Utilities Service (RUS) is authorized to help rural residents who have experienced a significant decline in quantity or quality of water to obtain adequate quantities of water that meet the standards of the Safe Drinking Water Act.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for existing systems:

1. To alleviate a significant decline in the available quantity or quality of water by constructing new wells, reservoirs, transmission lines, treatment plants, and other sources of water;
2. To extend or repair distribution waterlines, repair breaks, and pay for operation and maintenance items that remedy an acute shortage or significant decline in the quality or quantity of portable water;
3. To assist rural water systems comply with the requirements of the Federal

Water Pollution Control Act or the Safe Drinking Water Act when noncompliance is related directly to a recent decline in quality of potable water.

Grants made to alleviate a significant decline in quantity or quality of water available from the water supplies in rural areas that occurred within two years of filing an application with USDA cannot exceed \$500,000. Grants for repairs, partial replacement, or significant maintenance on an established system cannot exceed \$150,000. Grants provided under this program shall not be used to assist a rural area or community with a population in excess of 10,000; to assist a rural area that has a median household income in excess of the statewide nonmetropolitan median household income according to the most recent decennial census of the U.S.; to finance facilities which are not modest in size, design, and cost; to pay loan or grant finder's fees; to pay any annual recurring costs considered to be operational expenses; to pay rental for the use of equipment or machinery owned by the rural community; to purchase existing systems; to refinance existing indebtedness; and to make reimbursement for projects developed with other grant funds.

**Applicant Eligibility:**

Eligible entities must be public bodies, private nonprofit corporations, and political subdivisions of a State, as well as Indian tribes.

**Beneficiary Eligibility:**

Eligible beneficiaries include (1) Public bodies or governmental entities such as municipalities, counties, districts, authorities, and other political subdivisions of a State, (2) nonprofit organizations such as associations, cooperatives, and private nonprofit corporations, (3) Native American Indian tribes on Federal and State reservations and other federally recognized Indian tribes. Projects must serve rural areas, excluding any city or town having a population greater than 10,000.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Rural Development (RD) State Director will administer the program on the local level. This program is subject to the provisions of 7 CFR Parts 3015 and 3016. Application Form SF-424 will be filed with the appropriate RD District office.

**Award Procedure:**

Applications received will be reviewed and scored for funding priority by the RD State office. The RD State Director will request funds from the National office. Projects must compete on a national basis for available funds.

**Deadlines:**

Nov 01, 2011: All funding requests will be reviewed by the National office after November 1 of each year and continue until June 30 of each year. All funding requests will be reviewed by the National office after November 1 of each year and continue until June 30 of each year.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Within 60 days of receipt of complete application.

**Appeals:**

From 30 to 60 days. If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision at the higher management level of RUS.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Advances and reimbursements will be disbursed over the term of the grant on request of the grantee.

**Reports:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$2,648,485; FY 11 est \$1,300,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$15,000 to \$500,000. Average: \$302,640.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: There were 9 grants awarded. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1778.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under United States Government, Department of Agriculture for Rural Development District Office number. If no listing, contact appropriate Rural Development State office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

10.760 Water and Waste Disposal Systems for Rural Communities; 10.766 Community Facilities Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The proposed projects designed to serve a rural area with a population of 5,000 or less that has a median household income of not more than 70 percent of the statewide nonmetropolitan household income and had a significant decline in quantity of water available from private individually owned wells will be given priority. Preference also will be given to proposed projects that will assist an established water system or remedy an acute shortage of quality water. The Rural Development State Director will rate applications on a point system and points received will be considered in selecting projects for funding.

**10.766 COMMUNITY FACILITIES LOANS AND GRANTS**

Community Facilities Loans and Grants

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306, Public Law 92-419, 7 USC 1926, Executive Order Department of Defense and Full-Year Continuing Appropriations Act of 2011, Public Law 112-10.

**OBJECTIVES:**

To construct, enlarge, extend, or otherwise improve community facilities providing essential services to rural residents.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Community facilities include, but are not limited to, those providing or supporting overall community development such as hospitals, fire stations, child care facilities, food recovery and distribution centers; assisted-living facilities; group homes, mental health clinics, and shelters; and education facilities. Projects comprise community, social, health care, education, cultural, transportation, industrial park sites, fire and rescue services, access ways, and utility extensions. All facilities financed in whole or in part with RHS funds shall be for public use. Applicant Eligibility: City, county, and State agencies; political and quasi-political subdivisions of States and associations, including corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes; and existing private corporations which: (1) are operated on a not-for-profit basis; (2) have or will have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service and for obtaining, giving security for, and repaying the loan; and (3) are unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms. Assistance is authorized for eligible applicants in rural areas of the States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the commonwealth of the Northern Mariana Islands, the Marshall Islands, the Republic of Palaw, and the Federated States of Micronesia. Direct loans - Poverty, intermediate, and market interest rate change quarterly. Repayment term is the lesser of 40 years or life of security. Guaranteed terms negotiated with lender with maximum term if or guarantee being the lesser of 40 years or life of security.

**Applicant Eligibility:**

City, county, and State agencies; political and quasi-political subdivisions of States and associations, including corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes; and existing private corporations which: (1) are operated on a not-for-profit basis; (2) have or will have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service and for obtaining, giving security for, and repaying the loan; and (3) are unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms. Assistance is authorized for eligible applicants in rural areas of the States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the commonwealth of the Northern Mariana Islands, the Marshall Islands, the Republic of Palaw, and the Federated States of Micronesia.

**Beneficiary Eligibility:**

Loans for essential community facilities are made to eligible entities who provide essential community services to the population living within the service area of the facility or being served by the facility. Beneficiaries include farmers, ranchers, rural residents, rural businesses, and other users of such public facilities in eligible applicant areas as set out above.

**Credentials/Documentation:**

Evidence of legal capacity and financial responsibility of the applicants and the economic feasibility of the project relative to the activity for which assistance is requested. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms as provided by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An applicant

should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires in applying for assistance if the State has selected the project for review. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For direct loans and grants, applicants must file Standard Form SF-424 and supporting documentation at the local Rural Development Area Office. For guaranteed loans, the lender must file Form RD 3575-1 and supporting documentation.

**Award Procedure:**

After the preapplication has been reviewed by the Rural Development Area Office, it is forwarded to the Rural Development State Office for review and processing instructions. Following review by the State Office, the applicant is notified about eligibility, availability of funds, and if an application should be filed. Upon completion of application processing requirements and approval by the State Office, funds are made available to the Rural Development Area Office for delivery.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 90 days after a complete application is received.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The notification will include a statement for appeal or review of the adverse decision. The applicant may request an appeal or review of the decision.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Matching funds are not required but may be used in connection with the funds provided from the applicant or other sources. Funds are allocated to States based upon rural population, number of households below the poverty level, and rural unemployment. The statistical factor for eligibility is cities, towns or incorporated areas under 20,000 population for direct and guaranteed loans and 20,000 population for grants. The source is "Latest Decennial Census." Grants are limited to a maximum of 75 percent of project cost. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the use of Community Facilities loan or grant funds. Funds will be awarded when all program requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by RHS to cover expenses for a 30-day period. See the following for information on how assistance is awarded/released: See Above.

**Reports:**

Periodic reports are made to Rural Development. Each borrower will monitor and report to RHS on actual performance during the construction of each project financed, or to be financed, in whole or in part with Community Facilities loan funds. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of loans and other agreements.

**Records:**

The borrower must maintain adequate records and accounts of the operation of the facility developed.

**Account Identification:**

12-4155-0-3-452; 12-1951-0-1-452.

**Obligations:**

(Direct Loans) FY 10 \$681,009,771; FY 11 est \$290,000,000; and FY 12 est \$1,000,000,000 - Actual FY 2010 amounts includes disaster funding appropriated for recovery of essential facilities as a result of 2005 hurricanes, 2007 tornado damage in Greensburg, Kansas, and 2008 presidentially declared disasters. (Guaranteed/Insured Loans) FY 10 \$292,188,054; FY 11 est \$196,359,303; and FY 12 est \$0 - Actual FY 2010 amounts include disaster funds appropriated for recovery of essential facilities as a result of 2005 hurricanes and 2008 presidentially declared disasters. (Project Grants) FY 10 \$60,741,405; FY 11 est \$28,431,756; and FY 12 est \$30,000,000 - Actual FY 2010 amounts include disaster funds appropriated for recovery of essential facilities as a result of 2005 hurricanes, 2007 tornado damage in Greensburg, Kansas, and 2008 presidentially declared disasters.

**Range and Average of Financial Assistance:**

Direct Loans: \$5,000 to \$9,000,000. Average: \$828,407. Guaranteed Loans: \$26,000 to \$20,000,000. Average: \$2,799,966. Grants: \$300-\$445,500. Average \$37,266.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Approximately 17.9 million rural Americans live in the service areas of facilities receiving funding in FY 2010. Fiscal Year 2011: We anticipate serving more than 12 million rural Americans who will receive new and improved community services from facilities funded in FY 2010. Fiscal Year 2012: The change in funding amounts for FY 2012 could result in serving an estimated 16 million rural Americans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1942, subpart A, Community Facilities Loans; 7 CFR 1942, subpart C, Fire and Rescue Loans; 7 CFR 3575, subpart A, Community Facilities Guaranteed Loans; 7 CFR 3570, subpart B, Community Facilities Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or Area office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Deputy Administrator, Community Programs, Department of Agriculture, Stop 0788, 1400 Independence Avenue, SW, Washington, District of Columbia 20250-0788 Phone: (202) 720-1490.

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

10.500 Cooperative Extension Service; 10.664 Cooperative Forestry Assistance; 15.124 Indian Loans\_Economic Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are selected for funding giving due consideration to State development strategies, serving the largest number of low income rural residents, and priority recommendations. Priority for funding will be given to those projects that will enhance public safety such as fire, police, rescue, and ambulance services, and projects for health care facilities.

**10.767 INTERMEDIARY RELENDING PROGRAM**

IRP

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Health and Human Services Act of 1986, Section 407, 7 U.S.C 1932.

**OBJECTIVES:**

To finance business facilities and community development.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

An entity that receives an Intermediary Relending Program (IRP) loan from the Rural Business-Cooperative Service (RBS) is referred to as an intermediary. Intermediaries must relend all of the loan funds received from the IRP loan for business facilities or community development in rural areas. An entity that receives a loan from an intermediary is referred to as an ultimate recipient. The maximum loan to any one intermediary is \$2 million. The maximum term is 30 years and the interest rate is one percent per annum. Intermediaries may not use IRP funds to finance more than 75 percent of the cost of an ultimate recipient's project or for a loan of more than \$250,000 to one ultimate recipient. (No more than 25 percent of an IRP loan approved may be used for loans to ultimate recipients that exceed \$150,000.).

**Applicant Eligibility:**

Eligible intermediaries may include: Private nonprofit organizations, State or local governments, and Federally recognized Indian tribes and cooperatives.

**Beneficiary Eligibility:**

Ultimate recipients may include: For profit organizations, individuals, public and private nonprofit organizations.

**Credentials/Documentation:**

Intermediaries must have adequate legal authority and a proven record of successfully assisting rural businesses and industries. Ultimate recipients must not be located within a city with a population of 25,000 or more. Both intermediaries and ultimate recipients must be unable to obtain the loan at reasonable rates and terms through commercial credit or other Federal, State, or local programs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Potential intermediaries should file applications with the State office for the State in which the intermediary's headquarters is located. The application package includes Form 4274-1 and a written work plan. More details are available in 7 CFR 4274.343, or from the appropriate Rural Development State Office. The Rural Development administers the program on the local level. Intermediaries develop their own application procedures for ultimate recipients.

**Award Procedure:**

The application of each intermediary will be evaluated by the RD State Office. Applications received by RBS will be reviewed and ranked quarterly and funded in the order of priority ranking.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Adverse actions by RBS in connection with this program may be appealed by contacting the Area Supervisor of the USDA National Appeals Division. Appeals will be handled in accordance with 7 CFR 1900-B.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicant intermediaries must show a need for the funds and limit the request to an amount they can expect to use within one year. After a loan is approved, the funds are released to the intermediary in multiple advances as required to fund loans to ultimate recipients. Method of awarding/releasing assistance: quarterly.

**Reports:**

Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget. No cash reports are required. Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget. Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget. Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts must be maintained to reflect the operations of each project.

**Account Identification:**

12-2069-0-1-452; 12-4233-0-3-452.

**Obligations:**

(Direct Loans) FY 10 \$33,534,072; FY 11 est \$19,142,561; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

This program has no statutory formula. Matching requirements are not applicable to this program. However, Intermediaries may not use IRP funds to finance more than 75 percent of the cost of an ultimate recipient's project. MOE requirements are not applicable to this program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 4274, Subpart D; 7 CFR 1951, Subpart R.

**Regional or Local Office:**

See Regional Agency Offices. RBS State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Rural Business-Cooperative Service, 1400 Independence Ave SW, Room 6867, Stop 3225, South Agriculture Building, Washington, District of Columbia 20250-3225 Phone: (202) 720-1400.

**Website Address:**

<http://www.rurdev.usda.gov>

**RELATED PROGRAMS:**

10.769 Rural Business Enterprise Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Factors considered in judging applications include: Financial condition, assurance of repayment ability, equity, collateral, experience and record of managing a loan program or providing other assistance to rural businesses, ability to leverage with funds from other sources, extent assistance would flow to low income persons.

## **10.768 BUSINESS AND INDUSTRY LOANS**

B&I Guaranteed Loan Program

### **FEDERAL AGENCY:**

Rural Development, Department of Agriculture

### **AUTHORIZATION:**

Consolidated Farm and Rural Development Act, Section 310B, 7 U.S.C 1932.

### **OBJECTIVES:**

The purpose of the B&I Guaranteed Loan Program is to improve, develop, or finance business, industry, and employment and improve the economic and environmental climate in rural communities.

### **TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

### **USES AND USE RESTRICTIONS:**

The program guarantees lenders loans for real estate, machinery and equipment, working capital, and debt refinancing. Assistance is limited to rural areas. Some loan purposes such as golf courses, gambling, and agricultural production are restricted or limited. Guaranteed loan funds in the amount of 5 percent of the funds available each year until FY 2012 will be set aside for the locally or regionally produced agricultural food products initiative. Guaranteed loans are the only type of assistance under this program.

### **Applicant Eligibility:**

A borrower may be a cooperative organization, corporation, partnership, or other legal entity organized and operated on a profit or nonprofit basis; an Indian tribe on a Federal or State reservation or other Federally recognized tribal group; a public body; or an individual.

### **Beneficiary Eligibility:**

N/A.

### **Credentials/Documentation:**

A complete application containing such items as credit reports, financial statements, and appraisals are required as part of the application. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Complete the requirements of RD Instruction 4279-B, section 4279.161(b).

### **Award Procedure:**

Applications are funded on a first-come first served basis according to priority points procedures outlined in RD Instruction 4279-B, section 4279.155.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Applications typically take 60 days to approve.

### **Appeals:**

Denial for program assistance is appealable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory Formula: 7 CFR Parts 4279 and 4287.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

### **Length and Time Phasing of Assistance:**

Assistance is available each fiscal year until September 30 or until expended, whichever occurs first. See the following for information on how assistance is awarded/released: Lenders loans are guaranteed so funds are not really released.

### **Reports:**

Guaranteed borrowers and guarantors are required to submit financial statements annually. No cash reports are required. No progress reports are required. Yes, but as part of the overall financial reporting requirement. Not duplication. The Agency monitors the number of jobs created and/or saved by the borrower.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

The lender is required to maintain a complete loan file no differently than it would keep for a borrower without a guarantee. This includes annual financial statements, correspondence, servicing actions, etc. The file may be inspected at the Agency's request.

### **Account Identification:**

12-0400-0-1-452; 12-4155-0-3-452.

### **Obligations:**

(Guaranteed/Insured Loans) FY 10 \$1,322,983,691; FY 11 est \$1,178,835,795; and FY 12 Estimate Not Available

### **Range and Average of Financial Assistance:**

No Data Available.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

RD Instruction 4279-A, 4279-B, and 4287-B.

### **Regional or Local Office:**

See Regional Agency Offices.

### **Headquarters Office:**

B&I Processing Branch, 1400 Independence Ave SW, Stop 3224, Washington, District of Columbia 20250-3224 Phone: (202) 690-4103.

### **Website Address:**

<http://www.rurdev.usda.gov>.

### **RELATED PROGRAMS:**

10.766 Community Facilities Loans and Grants; 10.769 Rural Business Enterprise Grants

### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: B&I guaranteed loans have been and will be used for a wide range of purposes; for construction, machinery and equipment, working capital, and debt refinancing for businesses/industries such as hotels, convenience stores, retailers, wholesalers, health care, real estate, mining, utilities, ethanol, biodiesel, etc. Fiscal Year 2012: No Current Data Available

### **CRITERIA FOR SELECTING PROPOSALS:**

Businesses must demonstrate the ability to repay the loan.

## **10.769 RURAL BUSINESS ENTERPRISE GRANTS (RBEG)**



**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, Section 310B, 7 U.S.C 1989.

**OBJECTIVES:**

To facilitate the development of small and emerging private business, industry, and related employment for improving the economy in rural communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Rural business enterprise grant (RBEG) funds may be used to create, expand or operate rural distance learning networks or programs that provide educational or job training instruction related to potential employment or job advancement to adult students; develop, construct or acquisition land, buildings, plants, equipment, access streets and roads, parking areas, utility extensions, necessary water supply and waste disposal facilities; refinancing; services and fees; and to establish a revolving loan fund. Television demonstration grant (TDG) funds may be used for television programming to demonstrate the effectiveness of providing information on agriculture and other issues of importance to farmers and other rural residents. All uses must assist a small and emerging private business enterprise except for the TDG Program. All uses must assist a small and emerging private business enterprise except for the TDG Program.

**Applicant Eligibility:**

Applicants eligible for RBE grants are public bodies and nonprofit corporations serving rural areas such as States, counties, cities, townships, and incorporated towns and villages, boroughs, authorities, districts and Indian tribes on Federal and State reservations which will serve rural areas. Applicants eligible for TD grants are statewide, private, nonprofit, public television systems whose coverage is predominantly rural. Rural area for this program is defined as a city, town, or unincorporated area that has a population of 50,000 inhabitants or less, other than an urbanized area immediately adjacent to a city, town, or unincorporated area that has a population in excess of 50,000 inhabitants.

**Beneficiary Eligibility:**

A small and emerging private business enterprise which will employ 50 or less new employees and has less than \$1.0 million in projected gross revenue. Public bodies, private non-profit corporations, and Federally recognized Indian tribes receive the grant to assist a business. Grants are not made directly to the business.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Preapplication Form SF-424 is filed at the Rural Development local office. The standard application forms as furnished by the Federal agency and required by OMB Circular Nos. A-110 and A-102 must be used for this program.

**Award Procedure:**

After the preapplication has been reviewed by the RD local office, it is forwarded to the RD State Office for review and processing instructions. Following approval by the State Office, funds are made available to the local office for final delivery. Notification of awards must be made to the designated State Central Information Reception Agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

30 to 90 days.

**Appeals:**

Adverse actions by RBS in connection with this program may be appealed by contacting the Area Supervisor of the USDA National Appeals Division. Appeals will be handled in accordance with 7 CFR 1900-B and 7 CFR part 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula or specific matching requirements. Funds are allocated to States on rural population and percent of nonmetropolitan per capita income. On occasion, the allocation to States may not be practical due to funding or administrative constraints. In these cases, funds will be controlled by the National Office.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, 90-120 days, subject to the availability of funding. See the following for information on how assistance is awarded/released: Grant funds are disbursed in multiple draws, generally on a reimbursement basis upon the written request of the grantee.

**Reports:**

Periodic reports are made to RD. Cash reports are not applicable. Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget. Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget. Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$37,205,814; FY 11 est \$39,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$25,000 to \$500,000. Average is less than \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1942, Subpart G.

**Regional or Local Office:**

See Regional Agency Offices. Consult your telephone directory for RD local office number. If no listing, get in touch with appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director, Specialty Programs Division, Rural Business-Cooperative Service, Department of Agriculture, 1400 Independence Ave SW, Rm 6870, Stop 322, Washington, District of Columbia 20250-3222 Phone: (202) 720-1400.

**Website Address:**

http://www.rurdev.usda.gov.

**RELATED PROGRAMS:**

10.766 Community Facilities Loans and Grants; 10.768 Business and Industry Loans

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects selected for funding should, as much as practical, adhere to the following priorities: (1) Projects which will be located in communities having a large portion of their population with low incomes; (2) projects which will save existing jobs; (3) projects which will create jobs; and (4) projects located in areas with high unemployment rate.

**10.770 WATER AND WASTE DISPOSAL LOANS AND GRANTS (SECTION 306C)**

Water and Waste Disposal Loans and Grants (Section 306C)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, Section 306C, 7 U.S.C. 1926(c), as amended; Food, Agriculture, Conservation, and Trade Act of 1990, Title XXIII, Public Law 101-624.

**OBJECTIVES:**

Provide water and waste disposal facilities and services to low income rural communities whose residents face significant health risks.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for 100 percent of costs to: Construct, enlarge, extend, or otherwise improve a community water or waste system; extend service lines and connect individual residences to a system. Allow applicant to make grants directly to individuals to: Extend service lines, connect resident's plumbing to system, pay reasonable charges and fees for connecting to system, installation of plumbing and related fixtures, and construction in dwelling of a bathroom.

**Applicant Eligibility:**

Local level governments, federally recognized Indian tribes, U.S. Territories and possessions, and nonprofit associations can receive assistance under this program. Except for rural areas known as "Colonia" along the U.S./Mexico border, the projects funded under this program must primarily provide water and/or waste disposal services to residents of a county where the per capita income of the residents is not more than 70 percent of the most recent national average per capita income, as determined by the U.S. Department of Commerce, and unemployment rate of the residents is not less than 125 percent of the most recent national average unemployment rate, as determined by the Bureau of Labor Statistics. Also the residents must face significant health risks due to not having access to an affordable community water and/or waste disposal system.

**Beneficiary Eligibility:**

Public bodies, private nonprofit corporations, cooperatives, political subdivisions of a State, and Indian tribes.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants are required to file a application Form SF-424 with the appropriate Rural Development (RD) Office.

**Award Procedure:**

Applications will be reviewed and scored for funding priority by the RD State Office. Applications must compete on a national basis for available funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Applicants that are determined to be not eligible may request review of this decision at a higher management level of Rural Development Utilities Programs.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Requests for funds are granted as needed.

**Reports:**

Required to maintain records and accounts to assure funds are used for authorized purposes. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Required to maintain records and accounts to assure funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Direct Loans) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Only grant funds for Colonias have been appropriated for this program. (Project Grants (Discretionary)) FY 10 \$24,250,000; FY 11 est \$24,500,000; and FY 12 est \$24,500,000 - Colonias Grants. (Project Grants (Discretionary)) FY 10 \$15,500,000; FY 11 est \$16,000,000; and FY 12 est \$16,000,000 - American Tribe Grants.

**Range and Average of Financial Assistance:**

(Colonias Grants) FY09 \$36,000 to \$4,000,000 Average: \$1,515,435.

(Native American Tribe Grants) FY09 \$33,000 to \$1,000,000 Average: \$676,051.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1777.

**Regional or Local Office:**

See Regional Agency Offices. Consult local telephone directory under United States Government, Department of Agriculture, for Rural Development office number. If no listing contact appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Department of Agriculture, Rural Utilities Service, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

10.760 Water and Waste Disposal Systems for Rural Communities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A proposed project servicing a rural area with a population not in excess of 1,500, a median household income not in excess of 50 percent of the statewide no metropolitan median household income and servicing residents of a Colonia along the U.S./Mexico border will be given priority. The Rural Development State Director will rate applications on a point system and points received will be considered in selecting projects for funding. Fiscal year 2000 funding is limited to the Colonies.

**10.771 RURAL COOPERATIVE DEVELOPMENT GRANTS**

(RCDG)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Food, Agriculture, Conservation, and Trade Act of 1990, Section 2347, Public Law 101-624; Consolidated Farm and Rural Development Act, Section 310B(e), 7 U.S.C. 1932; Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127; 5 U.S.C. 301; 7 U.S.C. 1989; 7 U.S.C. 1991; 16 U.S.C. 1005; 62 FR 42387 Aug/7/1997; Farm Security and Rural Development Act of 2002, Public Law 107-171.

**OBJECTIVES:**

To improve economic conditions in rural areas through cooperative development. The primary objective of the cooperative center concept is to provide technical assistance services, including feasibility analysis. The grant program will be used to facilitate the creation or retention of jobs in rural areas through the development of new rural cooperatives, value-added processing, and rural businesses.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for, but not limited to, the following activities to develop new cooperatives and improve existing cooperatives: applied research, feasibility, environmental, and other studies; collection, interpretation, and dissemination of principles, facts, technical knowledge, or other useful information; training and instruction; loans and grants; and technical assistance or advisory services to individuals, small businesses, cooperatives, or other similar entities in rural areas. Up to \$1.5 million may be used for applications that focus on assistance to small, minority producers through their cooperative businesses. Grant funds may be used for, but not limited to, the following activities to develop new cooperatives and improve existing cooperatives: applied research, feasibility, environmental, and other studies; collection, interpretation, and dissemination of principles, facts, technical knowledge, or other useful information; training and instruction; loans and grants; and technical assistance or advisory services to individuals, small businesses, cooperatives, or other similar entities in rural areas.

**Applicant Eligibility:**

Eligible applicants are nonprofit corporations and institutions of higher education. Grants may not be made to public bodies. A rural area for this program is defined as all territories of a State not within the outer boundary of

any city having a population of 50,000 or more according to the latest decennial census of the United States.

**Beneficiary Eligibility:**

Rural residents.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility, and financial responsibility relative to the activity for which assistance is requested. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard Federal application forms as furnished by the Federal Agency and required by Office of Management and Budget Circular Nos. A-110 and A-102 must be used for this program. An original and a copy of all Federal forms and application materials are to be filed with the appropriate Rural Development National Office. Electronic data submissions are encouraged. The National Office reviews the submittals to determine eligibility, then reviews, scores, and ranks all eligible applications.

**Award Procedure:**

See annual solicitation to determine the maximum amount of Federal funds to be awarded. Final processing and monitoring will be designated to the appropriate State Rural Development Office. Payments will be made by electronic funds transfer. In the event that the applicant is awarded a grant less than the amount requested, the applicant will be required to modify its application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Sixty-to-120 days from the end of the application period as indicated in the annual solicitation in the Federal Register.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. An applicant may request that the Agency's decision be reviewed by the USDA National Appeals Division.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. The total allocation is controlled by Congress. Applicants will be required to contribute at least 25 percent of the total project cost in cash or in-kind contributions that must be from nonfederal funds except that a loan from another federal source can be used. Applicants that are designated as 1994 Institutions" as defined in section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note; Pub. L. 103-382) are required to provide nonfederal financial support (matching funds) of at least 5 percent of the total project cost. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The grant program is conducted on an annual basis. Awards are made for a 12-month period. A Request for Advance or Reimbursement may be submitted monthly, but quarterly reimbursements are typical. The grantee's share of the costs will be disbursed in advance of grant funds or on a pro-rata distribution basis with grant funds during the disbursement period. Some reimbursements may be linked to submission of acceptable performance reports. Method of awarding/releasing assistance: quarterly.

**Reports:**

Semiannual Financial Status Report, semiannual performance report, and a final project performance report. Cash reports are not applicable. Semiannual Financial Status Report, semiannual performance report, and a final project performance report. Expenditure reports are not applicable. Semiannual Financial Status Report, semiannual performance report, and a final project performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-1900-0-1-452.

**Obligations:**

(Salaries) FY 10 \$79,000,000; FY 11 est \$7,400,000; and FY 12 Estimate Not Available - Up to \$1.5 million may be used for applications that focus on assistance to small, minority producers through their cooperative businesses.

**Range and Average of Financial Assistance:**

\$200,000 - \$225,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 4284, Subparts A and F; 7 CFR 3015; 7 CFR 3019. Final rules published in the Federal Register on April 29, 2004, revised 7 CFR 4284 Subpart F. The amendments implemented for Subpart F within 7 CFR Part 4284, conform to the regulations for the Rural Cooperative Development Grant program contained within the newly implemented subpart A that consolidates provisions common to all grant programs administered by Cooperative Services within Rural Business Cooperative Service (RBS).

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate Rural Development State Office listed in Appendix IV of the Catalog or through the RBS Web site.

**Headquarters Office:**

Deputy Administrator, 1400 Independence Ave. S.W., Washington, District of Columbia 20250 Phone: (202) 720-8460.

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Preference will be given to those applicants that demonstrate; a proven track record in cooperative development; in providing technical assistance in rural areas; ability to facilitate the establishment of cooperatives and new cooperative approaches; and Transferability of approach to rural areas outside of project area. Projects will be selected that contribute the most to the improvement of economic conditions of the rural area.

**10.773 RURAL BUSINESS OPPORTUNITY GRANTS**

(RBOG)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, Section 741, Public Law 104-127.

**OBJECTIVES:**

To promote sustainable economic development in rural communities with exceptional needs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to assist in the economic development of rural areas by providing technical assistance, training, and planning for business and economic development. Grant funds may be used to assist in the economic development of rural areas by providing technical assistance, training, and planning for business and economic development. Grant funds may be used to assist in the economic development of rural areas by providing technical assistance, training, and planning for business and economic development.

**Applicant Eligibility:**

Grants may be made to public bodies, nonprofit corporations, Federally-Recognized Native American Tribes, and cooperatives with members that are primarily rural residents and that conduct activities for the mutual benefit of the members.

**Beneficiary Eligibility:**

Rural communities and businesses in rural areas.

**Credentials/Documentation:**

Evidence of legal capacity. Evidence of financial strength and expertise in activities such as proposed in the application, sufficient to ensure accomplishment of the activities and objectives described in the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental impact information is not required for this program. E.O. 12372, Intergovernmental Review of Federal Programs," applies to this program. If the State as selected the program for review, an applicant should consult the single point of contact in its State for more information on the process the State requires to be followed in applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants should file Standard Form 424, "Application for Federal Assistance (For Nonconstruction)," and additional material required by Agency regulations with the USDA Rural Development State Office. The application will include a written narrative and scope of work. More details are available from the Headquarters Office or any Rural Development State Office.

**Award Procedure:**

Applications will be given a priority score in accordance with the criteria set out in the program regulations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. 30 days to 1 year.

**Appeals:**

Adverse decision may be appealed in accordance with procedures set out at 7 CFR 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25.%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding for complete projects is limited to projects that can be completed within 2 years. Projects of longer duration may only be funded for 1 year at a time. Method of awarding/releasing assistance is monthly. Method of awarding/releasing assistance: quarterly.

**Reports:**

Grantees must provide a financial report and performance activity report quarterly while the project is in process, and a project evaluation report within 1 year after the project is completed. Cash reports are not applicable. Grantees must provide a financial report and performance activity report quarterly while the project is in process, and a project evaluation report within 1 year after the project is completed. Grantees must provide a financial report and performance activity report quarterly while the project is in process, and a project evaluation report within 1 year after the project is completed. Grantees must provide a financial report and performance activity report quarterly while the project is in process, and a project evaluation report within 1 year after the project is completed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts must be maintained to reflect the operations of the project.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Salaries) FY 10 \$2,587,958; FY 11 est \$2,586,218; and FY 12 est \$2,500,000

**Range and Average of Financial Assistance:**

\$10,000 to \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Implementing regulations will be published in the Federal Register (64 FR 71984) The CFR citation is 7 CFR 4284, Subpart G.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Director, Business and Cooperative Programs, STOP 3225, Room 6767, 1400 Independence Ave., S.W., Washington, District of Columbia 20250  
Phone: (202) 720-1400.

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant selection criteria include the extent to which economic development resulting from the proposed project will be sustainable over the long term; the extent to which the project should lead to improvements in the quality of economic activity within the community, such as higher wages, improved benefits, greater career potential, and the use of higher level skills; the amount of leveraging of funds from other sources; service to communities that are

experiencing trauma due to a major natural disaster or the closing or major downsizing of a military facility or other major employer; service to communities that have remained consistently poor over the long term or have experienced long term population decline or job deterioration; and the extent of the project's usefulness as a best practice that may serve as a model for other communities.

**10.777 NORMAN E. BORLAUG INTERNATIONAL AGRICULTURAL SCIENCE AND TECHNOLOGY FELLOWSHIP**

Borlaug Fellowship Program

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

7 USC 3319j, added by the 2008 Farm Bill: Pub. L. 95-113, title XIV, Sec. 1473G, as added Pub. L. 110-234, title VII, Sec. 7139, May 22, 2008.

**OBJECTIVES:**

The Norman E. Borlaug International Agricultural Science and Technology Fellowship Program (Borlaug Fellowship Program) helps developing countries strengthen sustainable agricultural practices by providing U.S. based scientific training and collaborative research opportunities for entry- to mid-career-agricultural research scientists and policymakers from developing and middle income countries.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

No funding is available for unsolicited proposals. Borlaug Program funds are used for projects involved with international training activities in agricultural research.

**Applicant Eligibility:**

The Borlaug Fellowship Program solicits proposals from U.S. land grant universities, other USDA agencies, other U.S. government agency research facilities, not-for-profit institutions, and international agricultural research centers.

**Beneficiary Eligibility:**

Technical assistance and research collaboration provided through these agreements benefit foreign governments and related agricultural institutions in their countries.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular Nos. A-21 and A-122. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

All proposals are evaluated by technical specialists on an ongoing basis, which rate the qualifications of applicants and merits of the proposals. Selection criteria will be published with each individual request for expression of interest to participate in this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is phased according to the requirements of individual projects. See the following for information on how assistance is awarded/released:

Agreements are entered into with selected institutions for a maximum period of 5 years.

**Reports:**

Mentors report and Fellows report are required. SF-425, Federal Financial Report, are required quarterly. Mentor reports and Fellow's reports are required on a quarterly basis. SF-425, Federal Financial Report, are required quarterly. Mentor reports and Fellow's reports are required on a quarterly basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Typically, a recipient must maintain all Program and Financial records for a period of 3 years subject to conditions found in 7CFR 3015.21 and 7CFR 3015.22.

**Account Identification:**

12-3200-0-1-352.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 10 \$1,128,449; FY 11 est \$1,000,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

\$25,000 per fellow.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The actual number of Borlaug Fellows trained in FY10 was 44 from 26 countries. Fiscal Year 2011: Estimated number of Borlaug Fellows to be trained in FY11 is approximately 34 participants from 26 countries. Fiscal Year 2012: Estimated number of Borlaug Fellows projected to be 37 in FY12.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal financial assistance transactions under 7 USC 3291 are subject to various legal requirements that are codified in the U.S.C., parts of the CFR, Executive Orders, Treasury Financial Manual bulletins, and other legally binding sources. These transactions are subject to many specific legal requirements, when applicable, including, but not limited to, the following:

- (a) 7 CFR part 3015, Uniform Federal Assistance Regulations;
- (b) 7 CFR part 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local Governments;
- (c) 7 CFR 3022, Research Institutions Conducting USDA-funded Extramural Research; Research Misconduct;
- (c) 2 CFR part 25 Universal Identifier and Central Contractor Registration;
- (d) 2 CFR part 170, Reporting Subaward and Executive Compensation Information;
- (e) 2 CFR part 175, Award Term for Trafficking in Persons;
- (f) 2 CFR part 180 and part 417, OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) and (USDA) Nonprocurement Debarment and Suspension;
- (g) 2 CFR part 182, Governmentwide Requirements for Drug-Free Workplace (Financial Assistance).
- (h) 2 CFR part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations;
- (i) 2 CFR part 220, Cost Principles for Educational Institutions (OMB Circular

A-21);

- (j) 2 CFR part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87);
- (k) 2 CFR part 230, Cost Principles for Non-profit Organizations;
- (l) Federal Acquisition Regulations 31.2 (for profit cost principles);
- (m) Executive Order 13224, as amended, Blocking Property and Prohibiting Transactions with Persons Who Commit, Threaten to Commit, or Support Terrorism;
- (n) OMB Circular A-133, as codified in 7 CFR part 3052, Audits of States, Local Governments, and Nonprofit Organizations;
- (o) 7 CFR part 3015.175(b), Copyrights;
- (p) 41 U.S.C. 351 358, the McNamara-O'Hara Service Contract Act of 1965
- (q) 37 CFR part 401.1, Bayh-Dole Act (inventions);
- (r) 15 U.S.C. 205a et seq., The Metric Conversion Act, as amended by the Omnibus Trade and Competitiveness Act;
- (s) 42 U.S.C. 6962, Resource Conservation and Recovery Act (RCRA);
- (t) 49 U.S.C. 40118 et seq., Fly America Act;
- (u) 8 USC 1324a, Immigration and Nationality Act;
- (v) 5 U.S.C. 552, Freedom of Information Act and 7 CFR 3011, Availability of Information to the Public;
- (w) Executive Order 13513, Federal Leadership on Reducing Text Messaging While Driving;
- (x) 41 U.S.C. 22, Interest of Members of Congress;
- (y) 40 U.S.C. 3141-3148, the DavisBacon Act.

**Regional or Local Office:**

None. <http://www.fas.usda.gov/icd/borlaug/Borlaug.asp>.

**Headquarters Office:**

Karina Ramos-Hides 1400 Independence Ave, S.W., Washington, District of Columbia 20250 Email: [Karina.Ramos@fas.usda.gov](mailto:Karina.Ramos@fas.usda.gov) Phone: 202-720-3736 Fax: 202-690-0892

**Website Address:**

<http://www.fas.usda.gov/icd/borlaug/Borlaug.asp>

**RELATED PROGRAMS:**

10.962 Cochran Fellowship Program-International Training-Foreign Participant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 44 individuals participated in research training programs lasting an average of 12 weeks. Fiscal Year 2011: 34 participants from 26 countries will participate in individual agricultural research training programs lasting an average of 12 weeks. Fiscal Year 2012: 37 individuals are anticipated to participate in the program in FY2012.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities developed by the Foreign Agricultural Service's Office of Capacity Building and Development program area (FAS/OCBD), in consultation with collaborating agencies and organizations. Contact FAS/OCBD/TSED/BFP for additional information. While this program does not fund unsolicited proposals, interested parties are welcome to submit statements of capability and expressions of interest.

**10.778 RESEARCH ON THE ECONOMIC IMPACT OF COOPERATIVES**

(REIC)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2006, Title III, Public Law 109-97, as amended, Department of Defense Appropriations Act, 2006, Division B, Title III, Chapter 8, Section 3801, Public Law 109-148., Title III, Part B, Section 3801.

**OBJECTIVES:**

The encouragement of research on the national economic impact or value of all types of cooperatives in the United States.

**TYPES OF ASSISTANCE:**

## DIRECT PAYMENTS FOR A SPECIFIED USE

### USES AND USE RESTRICTIONS:

An REIC cooperative agreement is to be used to conduct research on the national economic impact of all types of cooperative organizations. The research is to include development of methodology and collection and analysis of data as well as describing the economic impacts. Indirect costs are restricted to no more than 10 percent of the direct cost. Direct costs are not to include construction or fixed assets.

### Applicant Eligibility:

Institutions of Higher Education, including consortia of academic institutions, research foundations maintained by a college or university, or private nonprofit organizations funded by a group of colleges or universities, are eligible to apply.

### Beneficiary Eligibility:

Public or private colleges or universities.

### Credentials/Documentation:

Applicants must provide a budget supporting the work plan that details all sources and uses of funds during the project period. Applicants are required to verify matching funds, both cash and in-kind such that USDA can verify all representations. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. USDA will solicit applications on a competitive basis by publication of a notice in the Federal Register and through the [www.grants.gov](http://www.grants.gov) Federal Web site. Unless otherwise specified, applicants must file an original and two copies of the proposal and all required forms or as otherwise instructed in the annual announcement. An applicant must submit Form SF-424, Form SF-424A, Form SF-424B, and other information as directed. Each proposal must contain the following elements and any additional elements published in the announcement: (1) Title Page; (2) Table of Contents; (3) Executive Summary; (4) Eligibility Discussion; (5) Proposal Narrative including, but not limited to: (i) Project Title; (ii) Information Sheet; (iii) Goals of the Project; (iv) Work Plan; (v) Proposal Evaluation Criteria; (6) Certification of Judgment; and (7) Verification of Matching Funds.

### Award Procedure:

Qualified academic institutions must submit their application to the Rural Development-Cooperative Programs National Office where it will be reviewed and scored on a competitive basis as described in the annual solicitation for proposals. If selected for an award, the applicant must complete the objectives as defined in the approved proposal.

### Deadlines:

Not Applicable.

### Range of Approval/Disapproval Time:

From 30 to 60 days after the application is filed with the Rural Development-Cooperative Programs.

### Appeals:

Applicants may appeal any adverse decisions to USDA's National Appeals Division.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

The cooperative agreement funds will be dispersed quarterly on a reimbursement basis over a period of up to two years. Method of

awarding/releasing assistance: lump sum.

### Reports:

Not Applicable.

### Audits:

Not Applicable.

### Records:

The recipient will maintain adequate records and accounts to assure that agreement funds are used for authorized purposes. Records will also be maintained by the Rural Development-Cooperative Programs National Office and Rural Development Budget Office according to USDA and Agency record-keeping requirements.

### Account Identification:

12-1900-0-1-452.

### Obligations:

(Direct Payments for Specified Use (Cooperative Agreements)) FY 10 \$300,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

### Range and Average of Financial Assistance:

No Data Available.

### PROGRAM ACCOMPLISHMENTS:

Not Applicable.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Not Applicable.

### Regional or Local Office:

None.

### Headquarters Office:

Bruce Reynolds 1400 Independence Ave  
, Washington, District of Columbia 20250 Email:  
Bruce.Reynolds@wdc.usda.gov Phone: 202-720-3694

### Website Address:

<http://www.rurdev.usda.gov/rbs/coops/reic.htm>.

### RELATED PROGRAMS:

Not Applicable.

### EXAMPLES OF FUNDED PROJECTS:

Not Applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Not Applicable.

## 10.780 COMMUNITY FACILITIES LOANS AND GRANTS

Community Programs

### FEDERAL AGENCY:

Rural Development, Department of Agriculture

### AUTHORIZATION:

Consolidated Farm and Rural Development Act, as amended, Section 306, Public Law 92-419, 7 U.S.C. 1926 (a)(1) and (a)(19). American Recovery and Reinvestment Act of 2009, Public Law 111-5.

### OBJECTIVES:

The objective of the Community Facilities (CF) direct loan and grant program is to provide loan and/or grant funds to rural communities to construct, enlarge, expand, or otherwise improve community facilities providing essential services to rural residents.

### TYPES OF ASSISTANCE:

Direct Loans; Project Grants

### USES AND USE RESTRICTIONS:

Community facilities include, but are not limited to, those providing or supporting overall community development such as hospitals, fire stations, child care facilities, food recovery and distribution centers; assisted-living facilities; group homes, mental health clinics, and shelters; and education facilities. Projects comprise community, social, health care, education, cultural, transportation, industrial park sites, fire and rescue services, access ways, and

utility extensions. All facilities financed in whole or in part with RHS funds shall be for public use. Loan funds may not be used to finance; (a) on-site utility systems or businesses; (b) industrial buildings in connection with industrial parks; (c) community antenna television services; (d) electric generation (except for hydroelectric) or transmission facilities; (e) telecommunication systems; (f) facilities which are not modest in size, design, or cost; and (g) loan or grant finder's fees.

In addition to meeting the requirements of this program, applicants must also comply with applicable provisions of the American Recovery and Reinvestment Act of 2009 (ARRA) and any related regulations and guidance. For non-construction projects, this will include ARRA reporting requirements. For construction projects, this will include the ARRA reporting requirements as well as the Davis-Bacon Act and Buy American requirements. Contact your Rural Development State Office to determine the eligible interest rate for your area.

**Applicant Eligibility:**

Eligibility for CF direct loan assistance is based on; (a) the type of organization applying for the loan (public body, non-profit organization, or federally recognized Indian tribe); (b) whether the applicant can demonstrate that it is unable to finance the proposed project from its own resources or from commercial credit at reasonable rates and terms; (c) whether the applicant has authority to develop, own and operate the proposed facility; and (d) whether the applicant can legally borrow money and make payments on debts obligated.

Grant assistance may be provided to an essential community facility that must be located and primarily serve a rural area(s) and where the median household income of the service area is below the higher of the poverty line or eligible percentage (60, 70, 80, 90) of the State non metropolitan median household income. Projects are selected based on a priority point system. Projects that received priority are those that serve small or low-income communities and those that provide health care, public safety, or public and community services.

**Beneficiary Eligibility:**

Loans for essential community facilities are made to eligible entities who provide essential community services to the population living within the service area of the facility or being served by the facility. Beneficiaries include farmers, ranchers, rural residents, rural businesses, and other users of such public facilities in eligible applicant areas as set out above.

**Credentials/Documentation:**

The applicant must certify in writing and provide evidence that credit for the project is not available from commercial sources at reasonable rates and terms. Other supporting documentation necessary to make an eligibility determination should include financial statements, audits, and copies of organizational documents or existing debt instruments. The loan and/or grant docket should also include related forms, materials, and information. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All applications requesting assistance through the American Recovery and Reinvestment Act of 2009 (ARRA) funds are to be clearly identified when the applications are submitted to the USDA Rural Development Area Office. State Directors have the authority to approve loans and award grants as long as it is within the State Director's approval authority.

The Area Office will normally be the entry point for preapplications and serve as a local contact point. Applications will be filed with the Area Office and loans will be processed to the maximum extent possible by the Area Office staff. The Agency should issue Form AD-622 inviting an application within 45 calendar days from receipt of the preapplication.

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For direct loans and grants, applications are made and processed at the Rural Development field office serving the county where the facility is or will be located. Applicants must file Standard Form SF-424 and provide supporting documentation at the local Rural Development Area Office.

**Award Procedure:**

After the preapplication has been reviewed by the Rural Development Area Office, it is forwarded to the Rural Development State Office for review and processing instructions. Following review by the State Office, the applicant is notified about eligibility, availability of funds, and if an application should be filed. Eligible applicants are reviewed by the department and the Office of Management and Budget and approved for funding before final processing.

**Deadlines:**

Mar 25, 2009 to Sep 30, 2010

**Range of Approval/Disapproval Time:**

Program funding expired 9/30/2011.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The notification will include a statement for appeal or review of the adverse decision. The applicant may request an appeal or review of the decision.. Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Request for an appeal to the NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The American Recovery and Reinvestment Act specified that funds must be expended not later than September 30, 2015. See the following for information on how assistance is awarded/released: Upon completion of application processing requirements and approval by the State Office, funds are made available to the Rural Development Area Office for delivery.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Periodic reports are made to Rural Development. Each borrower will monitor and report to RHS on actual performance during the construction of each project financed, or to be financed, in whole or in part with Community Facilities loan funds. Recipients must also comply with reporting requirements established in Division A of the American Recovery and Reinvestment Act (Public Law 111-005).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of loans and other agreements.

**Records:**

The borrower must maintain adequate records and accounts of the operation of the facility developed.

**Account Identification:**



12-4155-0-3-452; 12-1951-0-1-452.

**Obligations:**

(Direct Loans) FY 10 \$1,098,519,493; FY 11 est \$0; and FY 12 est \$0. (Project Grants) FY 10 \$70,440,941; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Direct Loans range from \$3,000 to \$11,000,000. An average of \$847,971. Grants range from \$570 to \$120,750. An average of \$36,753.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations, administrative notices, and other program literature can be found at the USDA website at <http://www.rurdev.usda.gov/regs>.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development local field office or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Deputy Administrator, Community Programs, Department of Agriculture, 1400 Independence Avenue, S.W., Mail Stop 0788, Washington, District of Columbia 20250-0788 Phone: (202) 720-1490.

**Website Address:**

<http://www.rurdev.usda.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are selected for funding giving due consideration to State development strategies, serving the largest number of low income rural residents, and priority recommendation. Priority for funding will be given to those projects that will enhance public safety such as fire, police, rescue, and ambulance services, and projects for health care facilities.

**10.781 WATER AND WASTE DISPOSAL SYSTEMS FOR RURAL COMMUNITIES - ARRA**

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306, Public Law 92-419, 7 U.S.C. 1926.

**OBJECTIVES:**

To provide basic human amenities, alleviate health hazards and promote the orderly growth of the rural areas of the nation by meeting the need for new and improved rural water and waste disposal facilities.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for the installation, repair, improvement, or expansion of a rural water facility including distribution lines, well pumping facilities and costs related thereto, and the installation, repair, improvement, or expansion of a rural waste disposal facility including the collection, and treatment of sanitary, storm, and solid wastes. Grant funds may not be used to pay: interest on loans, operation and maintenance costs, or acquisition or refinancing of an existing system. No maximum loan amount is established by statute. The maximum term on all loans is 40 years. However, no repayment period will exceed any statutory limitation or the organization's borrowing authority or the useful life of the improvement or facility to be financed. There are currently three interest rates for direct loans: a poverty rate that is 60 percent of market rate when the loan is required to meet health or sanitary standards and the median household income of the service area is below the higher of the poverty

line or 80 percent of the statewide nonmetropolitan median household income; an intermediate rate that is 80 of market rate if the median household income of the service area is not more than 100 percent of the nonmetropolitan median household income of the State; and a market rate for those applicants that do not qualify for the poverty rate or the intermediate rate. The law authorizing the program allows a maximum repayment period of 40 years. However, the repayment period cannot exceed the useful life of the facilities financed or any statutory limitation on the applicants borrowing authority. The law authorizing the program allows a maximum repayment period of 40 years. However, the repayment period cannot exceed the useful life of the facilities financed or any statutory limitation on the applicants borrowing authority.

**Applicant Eligibility:**

Municipalities, counties, other political subdivisions of a State such as districts and authorities, associations, cooperatives, corporations operated on a not-for-profit basis, Indian tribes on Federal and State reservations and other Federally recognized Indian tribes. The applicant must: (1) be unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms; and (2) have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service, and for obtaining, giving security for, and repaying the proposed loan. Facilities shall primarily serve rural residents and rural businesses. The service area shall not include any area in any city or town having a population in excess of 10,000 inhabitants according to the latest decennial census of the United States. Plans and specifications must be developed to comply with State and local health and pollution regulations and other requirements. Grants are made only when necessary to reduce the average annual benefited user charges to a reasonable level. Normally, grants are considered only when the debt service portion of the cost to grant eligible users exceeds the following percentages of median household incomes (MHI) for the applicant service area: 0.5 percent when the MHI of the service area is below the poverty line or below 80 percent (whichever is higher) of the State's non-metropolitan household income (NMHI); 1.0 percent when the NMHI of the service area exceeds the 0.5 percent requirement but is not more than 100 percent of the State's NMHI; no RUS grant funds will be used in any project when the MHI of the service area is above the poverty line and more than 100 percent of the State's NMHI. The RUS grant may not exceed 75 percent of the eligible project development cost when the MHI of the service area is below the poverty line or below 80 percent (whichever is higher) of the State's NMHI and the project is necessary to alleviate a health or sanitary problem; 45 percent when the MHI of the service area exceeds the 75 percent requirements, but is not more than 100 percent of the State's NMHI. Assistance is authorized for eligible applicants in rural areas of the United States, Puerto Rico, the Virgin Islands, Guam, Commonwealth of Northern Mariana Islands, American Samoa, and to the extent the Secretary determines feasible and appropriate, the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:**

Farmers, ranchers, rural residents, rural businesses and other users in eligible applicant areas.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms furnished by the Federal agency and required by OMB Circular No. A102 must be used for this program. An environmental assessment is required for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. USDA Rural Development (RD) offices administer the program on the local level. Application Form SF-424 is filed at the local RD Office from which assistance may be obtained. This program is subject to the provisions of OMB Circular No. A-110

**Award Procedure:**

the application has been reviewed at the local level, it is forwarded to the RD State Director for review and processing instructions. Following completion of application processing requirements and loan/grant approval, funds are made available to the applicant.

**Deadlines:**

Sep 28, 2009 to Sep 30, 2010

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision at the RD or RUS National level.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the use of RUS loan or grant funds. Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by the RUS to cover expenses for a 30-day period. See the following for information on how assistance is awarded/released: Funds may be advanced on an as needed basis by the RUS to cover expenses for a 30-day period.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009. See Section 1512 of The American Recovery and Reinvestment Act of 2009. Progress reports are not applicable. See Section 1512 of The American Recovery and Reinvestment Act of 2009. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts are required to reflect the operations of the facility.

**Account Identification:**

12-0400-0-1-452 - ARRA; 12-0400-0-1-452 - ARRA.

**Obligations:**

(Direct Loans) FY 10 \$1,274,000,000; FY 11 est \$0; and FY 12 est \$0. (Project Grants) FY 10 \$505,540,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1780, Water and Waste Loans and Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural

Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Department of Agriculture, Rural Utilities Service, Water and Environmental Programs, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

11.300 Investments for Public Works and Economic Development Facilities; 14.218 Community Development Block Grants/Entitlement Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In selecting applications for funding, the agency cooperates with appropriate State agencies. RUS assistance for water and waste disposal projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as: Population; low income unemployment; and health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed project is located.

**10.783 RURAL BUSINESS ENTERPRISE GRANTS - ARRA**

RBEG - ARRA

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Consolidated Farm and Rural Development Act, as amended, Section 310B, Public Law 92-419, 7 U.S.C. 1989, Public Law 101-624, Public Law 102-142, 7 U.S.C. 1932.

**OBJECTIVES:**

To facilitate the development of small and emerging private business, industry, and related employment for improving the economy in rural communities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Rural business enterprise grant (RBEG) funds may be used to create, expand or operate rural distance learning networks or programs that provide educational or job training instruction related to potential employment or job advancement to adult students; develop, construct or acquire land, buildings, plants, equipment, access streets and roads, parking areas, utility extensions, necessary water supply and waste disposal facilities; refinancing; services and fees; and to establish a revolving loan fund. All uses must assist a small and emerging private business enterprise except for the TDG program.

**Applicant Eligibility:**

Applicants eligible for RBEG funds are public bodies and nonprofit corporations serving rural areas such as States, counties, cities, townships, and incorporated towns and villages, boroughs, authorities, districts and Indian tribes on Federal and State reservations which will serve rural areas. Applicants eligible for TDG funds are statewide, private, nonprofit, public television systems whose coverage is predominantly rural. Rural area for this program is defined as a city, town, or unincorporated area that has a population of 50,000 inhabitants or less, other than an urbanized area immediately adjacent to a city, town, or unincorporated area that has a population in excess of 50,000 inhabitants.

**Beneficiary Eligibility:**

A small and emerging private business enterprise which will employ 50 or less new employees and has less than \$1.0 million in projected gross revenue. Public bodies, private nonprofit corporations, and Federally recognized Indian tribes receive the grant to assist a business. Grants are not made directly to the business.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. SF-424 is filed at the Rural Development local office.

**Award Procedure:**

After the application has been reviewed by the RD local office, it is forwarded to the RD State Office for review and processing instructions. Following approval by the State Office, funds are made available to the local office for final delivery. Notification of awards must be made to the designated State Central Information Reception Agency.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. Applicant may request a review of this decision from the next higher management level of Rural Business-Cooperative Service.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds to be available through September 30, 2010. Method of awarding/releasing assistance: quarterly.

**Reports:**

Forms SF-269, "Financial Status Report," and a Project Performance Activity Report are required of all grantees on a quarterly basis (due 15 working days after end of quarter). A final Project Performance Report is required with the last SF-269. The final report may serve as the last quarterly report. Grantees shall constantly monitor performance to ensure that time schedules are being met, projected work by time periods is being accomplished, and other performance objectives are being achieved. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipients systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$3,860,633; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Average: \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1942, Subpart G

**Regional or Local Office:**

See Regional Agency Offices. A listing of RD State Offices can be found at <http://www.rurdev.usda.gov/scrty/sdirs.html>.

**Headquarters Office:**

Director, Specialty Programs Division Rural Business-Cooperative Service,  
Department of Agriculture  
1400 Independence Ave., SW , Washington, District of Columbia 20250 Phone:  
2027201400

**Website Address:**

<http://www.rurdev.usda.gov>

**RELATED PROGRAMS:**

10.766 Community Facilities Loans and Grants; 10.768 Business and Industry Loans; 10.769 Rural Business Enterprise Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects selected for funding should, as much as practical, adhere to the following priorities: (1) Projects which will be located in communities having a large portion of their population with low incomes; (2) projects which will save existing jobs; (3) projects which will create jobs; and (4) projects located in areas with high unemployment rate. In addition to meeting the requirements of the RBEG Program, applicants must also comply with applicable provisions of the ARRA and any related regulations and guidance.

**10.787 BROADBAND INITIATIVES PROGRAM**

Broadband Initiatives Program (BIP)

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009, Public Law 111-5, 123 Stat. 115, 7 U.S.C 901.

**OBJECTIVES:**

The purpose of the Broadband Initiatives Program (BIP) to make loans and grants for the purpose of facilitating broadband deployment in rural areas.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Under BIP, RUS awards grants, loans, and loan/grant combinations to facilitate broadband deployment in unserved and underserved rural areas. Additionally, the Recovery Act mandates that priority be given to projects which: (1) give end users a choice of providers; (2) serve the highest proportion of rural residents that lack access to broadband service; (3) are projects of current or former RUS borrowers (Title II borrowers); and (4) are fully funded and ready to start once Recovery Act funding is received. BIP application scoring criteria rewards projects that implement these priorities.

On July 9, 2009, RUS and the National Telecommunications and Information Administration (NTIA) published a joint Notice of Funds Availability (NOFA) in the Federal Register. On January 22, 2010, RUS published a NOFA for a second round of funding. This funding announcement focused on last mile projects, and middle mile projects generally involving current RUS program participants. The Second Round NOFA also announced the opening of a future

window for specific grants for Satellite, Rural Library Broadband, and Technical Assistance. A Request for Proposals (RFP) outlining the requirements for applications for Satellite, Rural Library Broadband, and Technical Assistance Projects was published in the Federal Register on from May 7, 2010. The following terms shall apply to the loans, as well as other terms that are specified in the loan documents:

i. Interest rate. Loans shall bear interest at a rate equal to the cost of borrowing to the Department of Treasury for obligations of comparable maturity. The applicable interest rate will be set at the time of each advance.

ii. Repayment period. Unless the applicant requests a shorter repayment period, broadband loans must be repaid with interest within a period that, rounded to the nearest whole year, is equal to the expected Composite Economic Life of the assets to be financed, as determined by RUS based upon acceptable depreciation rates.

iii. Amortization period. Interest begins accruing on the date of each loan advance and interest payments are due monthly. Upon completion of the buildout, or a date certain that is determined at closing, whichever occurs first, monthly principal payments will be established in an amount that amortizes the outstanding balance over the remaining term of the loan.

iv. Fidelity bonding. Applicants must agree to obtain a fidelity bond for 15 percent of the loan amount. The fidelity bond must be obtained as a condition of loan closing. RUS may reduce the percentage required if it determines that 15 percent is not commensurate with the risk involved.

v. Security. The loan portion of the award must be adequately secured, as determined by RUS.

**Applicant Eligibility:**

All funds for BIP will be awarded no later than September 30, 2010.

Applicants must conform to the eligibility criteria published in the NOFAs.

**Beneficiary Eligibility:**

Residents of eligible rural communities and others who may receive service as a result of service provided to a rural area.

**Credentials/Documentation:**

Applicants must certify that the organization is in compliance, or will comply, with the Department of Agriculture assurances included in the standard application. Applicants must also provide assurances that they will substantially complete funded projects in accordance with project timelines. BIP applicants must commit to the following Nondiscrimination and Interconnection Obligations: i. Adhere to the principles contained in the FCC's Internet Policy Statement (FCC 05151, adopted August 5, 2005); ii. not favor any lawful Internet applications and content over others; iii. display any network management policies in a prominent location on the service providers web page and provide notice to customers of changes to these policies (awardees must describe any business practices or technical mechanisms they employ, other than standard best efforts Internet delivery, to allocate capacity; differentiate among applications, providers, or sources; limit usage; and manage illegal or harmful content); iv. connect to the public Internet directly or indirectly, such that the project is not an entirely private closed network; and v. offer interconnection, where technically feasible without exceeding current or reasonably anticipated capacity limitations, on reasonable rates and terms to be negotiated with requesting parties. This includes both the ability to connect to the public Internet and physical interconnection for the exchange of traffic. Applicants must disclose their proposed interconnection, nondiscrimination, and network management practices with the application. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires

to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed on the basis of funding criteria as established in the Notice of Funding Availability.

**Deadlines:**

May 01, 2009 to Sep 30, 2010 The application window is closed. All funds for BIP will be awarded no later than September 30, 2010.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. All awards under BIP must be made no later than September 30, 2010.

**Appeals:**

All award decisions are final. There is no administrative appeal process.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

While the completion time will vary depending on the complexity of the project, award recipients must substantially complete projects supported by this program no later than two years, and projects must be fully completed no later than three years, following the date of issuance of the award. See the following for information on how assistance is awarded/released: Financial assistance is generally released as required during the award.

**Reports:**

No program reports are required. No cash reports are required. Financial and progress reports are to be submitted in accordance with the terms and conditions of the award, and are due on a quarterly basis. RUS may establish additional reporting and information requirements for any recipient of an award. No cash reports are required. As required by Section 1512 of the American Recovery and Reinvestment Act of 2009 (Recovery Act) and OMB guidance, each recipient is required to report the following information to RUS ten days after the end of each calendar quarter. As prescribed by the Recovery Act, these reports will include:

1. The total amount of recovery funds received from RUS.
  2. The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated allotment balances to facilitate reconciliations.
  3. A detailed list of all projects or activities for which Recovery Act funds were obligated and expended, including
    - a. The name of the project or activity;
    - b. A description of the project or activity;
    - c. An evaluation of the completion status of the project or activity;
    - d. An estimate of the number of jobs created and the number of jobs retained by the project or activity; and
    - e. For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name the person to contact at the agency if there are concerns with the infrastructure investment.
- No cash reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial and programmatic records, supporting documents, statistical reports and other records of recipients or subrecipients must be maintained in accordance with the terms of the award. Generally, the recipient must retain records for three years from the date on which the final expenditure report is submitted or the Loan is Paid in Full.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Direct Loans) FY 10 \$1,191,844,577; FY 11 est \$0; and FY 12 est \$0 - All awards under BIP must be made no later than September 30, 2010. (Project Grants (Discretionary)) FY 10 \$2,337,246,311; FY 11 est \$0; and FY 12 est \$0 - All awards under BIP must be made no later than September 30, 2010.

**Range and Average of Financial Assistance:**

To Be Determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The application package containing the Notice of Funding Availability, application forms and guidelines are available at [www.broadbandusa.gov](http://www.broadbandusa.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Rural Utilities Service, 1400 Independence Avenue, SW, Stop 1599, Washington, District of Columbia 20250 Email: [bip@wdc.usda.gov](mailto:bip@wdc.usda.gov) Phone: (202) 690-0525.

**Website Address:**

<http://www.broadbandusa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

In determining whether to approve an application, in whole or in part, and the amount of the loan, loan/grant combination or grant, RUS will consider the project's conformance with the program purposes and funding criteria set forth in the legislation and the Notice of Funding Availability.

**10.788 VERY LOW TO MODERATE INCOME HOUSING LOANS - DIRECT**

Section 502 Rural Housing Loans

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 502, as amended, Public Law 89-117, 42 U.S.C. 1471 et seq.; Public Law 92-310, 42 U.S.C. 1480, 42 U.S.C. 1472; Public Law 98-51; Public Law 100-233; Amendment of Consolidated Farm and Rural Development Act of 1987, Section 601. American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To assist very low, low income, and moderate-income households to obtain modest, decent, safe, and sanitary housing for use as a permanent residence in rural areas.

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

Direct and guaranteed loans may be used to buy, build, or improve the applicant's permanent residence. New manufactured homes may be financed when they are on a permanent site, purchased from an approved dealer or contractor, and meet certain other requirements. Under very limited

circumstances, homes may be re-financed with direct loans. Dwellings financed must be modest, decent, safe, and sanitary. The value of a home financed with a direct loan may not exceed the area limit. The property must be located in an eligible rural area. Assistance is available in the States, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Northern Mariana's, and the Trust Territories of the Pacific Islands. Direct loans are made at the interest rate specified in RD Instruction 440.1, Exhibit B (available in any Rural Development local office), and are repaid over 33 years or 38 years for applicants whose adjusted annual income does not exceed 60 percent of the area median income, if necessary to show repayment ability. Payment assistance is granted on direct loans to reduce the installment to an "effective interest rate" as low as one percent, depending on adjusted family income. Payment assistance is subject to recapture by the government when the customer no longer resides in the dwelling. There is no funding provided for deferred mortgage authority or loans for deferred mortgage assumptions. Guaranteed loans may be made to refinance either existing RD RHS Guaranteed Housing loans or Section 502 Direct Housing Loans. Guaranteed loans are amortized over 30 years. The interest rate is negotiated with the lender.

In addition to meeting the requirements of this program, applicants must also comply with applicable provisions of the American Recovery and Reinvestment Act of 2009 (ARRA) and any related regulations and guidance. For non-construction projects, this will include ARRA reporting requirements. For construction projects, this will include the ARRA reporting requirements as well as the Davis-Bacon Act requirements.

**Applicant Eligibility:**

Applicants must have very low-, low- or moderate incomes. Very low-income is defined as below 50 percent of the area median income (AMI); low-incomes between 50 and 80 percent of AMI; moderate income is below 115 percent of AMI. Families must be without adequate housing, but able to afford the housing payments, including principle, interest, taxes, and insurance (PITI). Qualifying repayment ratios are 29 percent for PITI to 41 percent for total debt. In addition, applicants must be unable to obtain credit elsewhere, yet have an acceptable credit history.

**Beneficiary Eligibility:**

Applicants must meet eligibility requirements.

**Credentials/Documentation:**

Applicants may need to submit evidence of inability to obtain credit elsewhere, verification of income, debts, and other information on the application; plans, specifications, and cost estimates. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For direct loans, application is made at the Rural Development field office serving the county where the dwelling is or will be located. For guaranteed loans, application is made with a participating private lender.

**Award Procedure:**

Rural Development field offices have authority to approve most direct loan requests. Processing of guaranteed loans varies in each State. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.gov.usda.gov/locator/app> for a State Office listing.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

If no backlog exists, decisions on direct loan applications are made within 30 to 60 days. A 'prequalification' may be provided to potential direct loan applicants upon call or visit to a Rural Development office, though results are not binding. Requests for guaranteed loans are acted upon within three days of receipt of the

lender's request for guarantee.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are found at 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to the NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no matching requirements. A basic formula is used to allocate program funds to various states. The criteria used in the basic formula include the States percentage of the National: Number of rural occupied substandard units, rural population, rural population in places of less than 2,500 population, number of rural households between 50 and 80 percent of the area median income, and number of rural households below 50 percent of the area median income. The data source for each of these criteria is based on the latest census data available.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This assistance is available throughout the year by means of quarterly allocations. Funds may be disbursed at loan closing or deposited in a supervised bank account for purchase of a building site, and purchase or repair of a dwelling, or in multiple advances for construction. For guaranteed loans, funds are disbursed after all work is complete. Applications for direct loans far exceed available funding. There is generally a waiting list for direct loan funding. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. Borrowers receiving a payment subsidy must submit verification of household income annually for recalculation of benefits. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Borrowers are not required to, but should retain copies of loan-related documents.

**Account Identification:**

12-4141-0-3-371; 12-2081-0-1-371.

**Obligations:**

(Direct Loans) FY 10 \$1,131,000,000; FY 11 est \$0; and FY 12 est \$0 - Recovery Act funds expired at the end of Fiscal Year 2010. (Guaranteed/Insured Loans) FY 10 \$1,220,771,098; FY 11 est \$0; and FY 12 est \$0 - Recovery Act funds expired at the end of Fiscal Year 2010.

**Range and Average of Financial Assistance:**

FY09Average: 502 Direct Loans (\$123,836). Guaranteed Loans (\$109,807). Loans in high cost areas may be higher.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Direct Loans -- 7 CFR Part 3550, Direct Single Family Housing Loans and Grants. Guaranteed Loans -- 7 CFR Part 1980-D, Rural Housing Loans.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Single Family Housing Direct Loan Division; Director, Single Family Housing Guaranteed Loan Division USDA, Rural Development, 1400

Independence Avenue, S.W., Washington, District of Columbia 20250-0787  
Phone: (202) 720-1474; (202) 720-1452.

**Website Address:**

<http://www.rurdev.usda.gov>

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans; 10.417 Very Low-Income Housing Repair Loans and Grants; 10.420 Rural Self-Help Housing Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.789 VERY LOW TO MODERATE INCOME HOUSING LOANS - GUARANTEED**

Section 502 Rural Housing Loans

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 502, as amended, Public Law 89-117, 42 U.S.C. 1471 et seq.; Public Law 92-310, 42 U.S.C. 1480, 42 U.S.C. 1472; Public Law 98-51; Public Law 100-233; Amendment of Consolidated Farm and Rural Development Act of 1987, Section 601. American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To assist very low, low-income, and moderate-income households to obtain modest, decent, safe, and sanitary housing for use as a permanent residence in rural areas.

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

Direct and guaranteed loans may be used to buy, build, or improve the applicant's permanent residence. New manufactured homes may be financed when they are on a permanent site, purchased from an approved dealer or contractor, and meet certain other requirements. Under very limited circumstances, homes may be re-financed with direct loans. Dwellings financed must be modest, decent, safe, and sanitary. The value of a home financed with a direct loan may not exceed the area limit. The property must be located in an eligible rural area. Assistance is available in the States, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Northern Mariana's, and the Trust Territories of the Pacific Islands. Direct loans are made at the interest rate specified in RD Instruction 440.1, Exhibit B (available in any Rural Development local office), and are repaid over 33 years or 38 years for applicants whose adjusted annual income does not exceed 60 percent of the area median income, if necessary to show repayment ability. Payment assistance is granted on direct loans to reduce the installment to an "effective interest rate" as low as one percent, depending on adjusted family income. Payment assistance is subject to recapture by the government when the customer no longer resides in the dwelling. There is no funding provided for deferred mortgage authority or loans for deferred mortgage assumptions. Guaranteed loans may be made to refinance either existing RD RHS Guaranteed Housing loans or Section 502 Direct Housing loans. Guaranteed loans are amortized over 30 years. The interest rate is negotiated with the lender.

In addition to meeting the requirements of this program, applicants must also comply with applicable provisions of the American Recovery and Reinvestment Act of 2009 (ARRA) and any related regulations and guidance. For non-construction projects, this will include ARRA reporting requirements. For construction projects, this will include the ARRA reporting requirements as well as the Davis-Bacon Act requirements.

**Applicant Eligibility:**

Applicants must have very low-, low-or moderate incomes. Very low-income

is defined as below 50 percent of the area median income (AMI); low-incomes between 50 and 80 percent of AMI; moderate income is below 115 percent of AMI. Families must be without adequate housing, but able to afford the housing payments, including principle, interest, taxes, and insurance (PITI). Qualifying repayment ratios are 20 percent for PITI to 41 percent for total debt. In addition, applicants must be unable to obtain credit elsewhere, yet have an acceptable credit history.

**Beneficiary Eligibility:**

Applicants must meet eligibility requirements.

**Credentials/Documentation:**

Applicants may need to submit evidence of inability to obtain credit elsewhere, verification of income, debts, and other information on the application; plans, specifications, and cost estimates. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For direct loans, application is made at the rural Development field office serving the county where the dwelling is or will be located. For guaranteed loans, application is made with a participating private lender.

**Award Procedure:**

Rural Development field offices have authority to approve most direct loan requests. Processing of guaranteed loans varies in each State. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

If no backlog exists, decisions on direct loan applications are made within 30 to 60 days. A 'prequalification' may be provided to potential direct loan applicants upon call or visit to a Rural Development office, though results are not binding. Requests for guarantee loans are acted upon within 3 days of receipt of the lender's request for guarantee.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are found at 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to the NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. A basic formula is used to allocate program funds to various states. The criteria used in the basic formula include the States percentage of the National: Number of rural occupied substandard units, rural population, rural population in places of less than 2,500 population, number of rural households between 50 and 80 percent of the area median income, and number of rural households below 50 percent of the area median income. The data source for each of these criteria is based on the latest census data available.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This assistance is available throughout the year by means of quarterly allocations. Funds may be disbursed at loan closing or deposited in a supervised bank account for purchase of a building site, and purchase or repair

of a dwelling, or in multiple advances for construction. For guaranteed loans, funds are disbursed after all work is complete. Applications for direct loans far exceed available funding. There is generally a waiting list for direct loan funding. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. Borrowers receiving a payment subsidy must submit verification of household income annually for recalculation of benefits. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Borrowers are not required to, but should retain copies of loan-related documents.

**Account Identification:**

12-4141-0-3-371; 12-2081-0-1-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$1,220,771,098; FY 11 est \$0; and FY 12 est \$0 - Includes both Purchases and Refinances.

**Range and Average of Financial Assistance:**

FY09 Average: Section 502 Guaranteed Loans (\$121,878).  
FY10 Average Section 502 Guaranteed Loan (\$121,833)  
Loans in high cost areas may be higher.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guaranteed Loans -- 7 CFR Part 1980-D, Rural Housing Loans. Direct Loans - 7 CFR Part 3550 Direct Single Family Housing Loans and Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Single Family Housing Guaranteed Loan Division; Director, Single Family Housing Direct Loan Division, USDA, Rural Development, 1400 Independence Avenue, S.W., Washington, District of Columbia 20250 Phone: (202) 720-1452; (202) 720-1474.

**Website Address:**

<http://www.rurdev.usda.gov>

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.411 Rural Housing Site Loans and Self-Help Housing Land Development Loans; 10.417 Very Low-Income Housing Repair Loans and Grants; 10.420 Rural Self-Help Housing Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.850 RURAL ELECTRIFICATION LOANS AND LOAN GUARANTEES**

Electric Loans and Loan Guarantees

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, 7 U.S.C. 901-950.

**OBJECTIVES:**

To assure that people in eligible rural areas have access to electric services comparable in reliability and quality to the rest of the Nation.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

Long-term, direct loans and loan guarantees to qualified organizations for the purpose of supplying or improving electric services on a continuing basis in rural areas.

**Applicant Eligibility:**

Rural electric cooperatives, public utility districts, municipalities, corporations, and other qualified power suppliers including those located in the U.S.

Territories, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.

**Beneficiary Eligibility:**

Persons, businesses, and other entities in rural areas or those currently served through RUS financing. Rural areas are defined in the Rural Electrification Act and program regulations as any area of the United States, or eligible insular areas, other than a city, town, or unincorporated area that has a population of greater than 20,000 inhabitants, or any area within a service area of an entity with an outstanding Rural Electrification Act loan.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An environmental impact statement or an environmental assessment is required for this program. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for direct loan and loan guarantees are made by resolution of the board of directors of the borrowing organization. Information on submitting applications is contained in 7 CFR Part 1710 and 1714.

**Award Procedure:**

Depending on the amount of the loan requested, the RUS Administrator, Assistant Administrator, or appropriate Regional Director makes the final decision on approval of the loan upon a finding that it is economically feasible and serves the purposes of the Rural Electrification Act. Borrowers and Members of Congress are notified of the approval of a loan or loan guarantee directly, and the public is notified through normal media communications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Direct loans are approved generally on an average of 3 to 6 months as funding becomes available. Loan guarantees are approved generally on an average of 9 to 12 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Under certain conditions, obtaining a municipal rate loan will require obtaining a concurrent loan (of 10, 20, or 30 percent of the total amount required) from a supplemental financing source. The factors used for determining the amount of concurrent financing required are set forth in 7 CFR 1710.110.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Direct loans are generally made for a period up to 35 years, which approximates the expected useful life of the facilities financed. Provision is normally made for advances to be completed within 4 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of loan guarantees are negotiated between the borrower and the non-RUS lender, subject to RUS approval. See the following for information on how assistance is awarded/released: Direct loans are generally made for a period up to 35 years, which approximates the expected useful life of the facilities financed. Provision is normally made for advances to be completed within 4 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of loan guarantees are negotiated between the borrower and the non-RUS lender, subject to RUS approval.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. RUS borrowers must submit to the Rural Utilities Service regularly scheduled operating reports showing financial condition and operating progress. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All other RUS borrowers have their books audited annually by a Certified Public Accountant. Information on audits of RUS borrowers is contained in 7 CFR Part 1773.

**Records:**

RUS borrowers keep the records prescribed for utility companies by the RUS uniform system of accounts, and by sound business practices.

**Account Identification:**

12-4230-0-3-271; 12-1230-0-1-271.

**Obligations:**

(Direct Loans) FY 10 \$100,000,000; FY 11 est \$100,000,000; and FY 12 est \$100,000,000. (Guaranteed/Insured Loans) FY 10 \$6,500,000,000; FY 11 est \$6,500,000,000; and FY 12 est \$6,000,000,000

**Range and Average of Financial Assistance:**

Direct Loans: \$372,000 to \$79,197,000, \$20,744,000 Average.  
Guaranteed FFB: \$732,000 to \$620,960,000, \$39,851,986 Average.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR XVII. RUS publishes and issues upon request bulletins bearing on the financing, construction, operation, and maintenance of rural electric systems. Also available are annual statistical summaries; and the Rural Electrification Act of 1936, as amended.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Electric Programs Department of Agriculture, 1400 Independence Ave., SW, Stop 1560, Washington, District of Columbia 20250-1500 Phone: (202) 720-9540.

**Website Address:**

[http://www.rurdev.usda.gov/UEP\\_Loans\\_Grants.html](http://www.rurdev.usda.gov/UEP_Loans_Grants.html)

**RELATED PROGRAMS:**

10.854 Rural Economic Development Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**



Not Applicable.

## **10.851 RURAL TELEPHONE LOANS AND LOAN GUARANTEES**

Rural Telephone Loans and Loan Guarantees

### **FEDERAL AGENCY:**

Rural Development, Department of Agriculture

### **AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Titles II and III, 7 U.S.C. 921, 922-924, and 930-940.

### **OBJECTIVES:**

To assure that people in eligible rural areas have access to telecommunications services comparable in reliability and quality to the rest of the Nation.

### **TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

### **USES AND USE RESTRICTIONS:**

Long-term direct and guaranteed loans to qualified organizations for the purpose of financing the improvement, expansion, construction, acquisition, and operation of telephone lines, facilities, or systems to furnish and improve Telecommunications service in rural areas. "Rural area" is defined as any area of the United States, its territories and insular possessions (including any areas within the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau) not included within the boundaries of any incorporated or unincorporated city, village, or borough having a population exceeding 5,000 inhabitants. The population figure is obtained from the Bureau of Census. For purposes of the "rural area" definition, the character of an area is determined at the time the initial loan for the system is made.

### **Applicant Eligibility:**

Telephone companies or cooperatives, nonprofit associations, limited dividend associations, mutual associations or public bodies including those located in the U.S. Territories and countries included in the Compact of Free Association Act of 1985, providing or proposing to provide telecommunications service to meet the needs of rural areas.

### **Beneficiary Eligibility:**

Residents of rural areas, and others who may also receive telephone service as a result of service provided to a rural area.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Applicants must supply environmental impact information to determine whether an environmental impact assessment or an environmental impact statement will be required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The completed loan application consists of four parts: an RUS Form 490; Application for Telephone Loan or Loan Guarantee; a market survey called Area Coverage Survey (ACS); the plan and associated costs for the proposed construction called the Loan Design (LD); and other various supplementary information specified in 7 CFR 1737.22. Detailed information on applying for an RUS telephone loan or loan guarantee is in 7 CFR Part 1737, available from RUS upon request.

### **Award Procedure:**

The completed loan application consists of four parts: an RUS Form 490; Application for Telephone Loan or Loan Guarantee; a market survey called Area Coverage Survey (ACS); the plan and associated costs for the proposed construction called the Loan Design (LD); and other various supplementary information specified in 7 CFR 1737.22. Detailed information on applying for an RUS telephone loan or loan guarantee is in 7 CFR Part 1737, available from RUS upon request.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

### **Range of Approval/Disapproval Time:**

> 180 Days. Normal loan processing time is from 6 to 9 months.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Direct and guaranteed loans can be made not to exceed the economic life of facilities and equipment. (average loan maturity is 18 yrs). See the following for information on how assistance is awarded/released: Provision is normally made for advances to be completed within 5 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of guaranteed loans are negotiated between the borrower and the non-RUS lender, subject to RUS approval.

### **Reports:**

RUS borrowers must submit to the Rural Utilities Service regularly scheduled operating reports showing financial condition and operating progress. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All other RUS borrowers have their books audited annually by a Certified Public Accountant. Information on audits of RUS borrowers is contained in 7 CFR Part 1773.

### **Records:**

RUS borrowers keep the records prescribed for telecommunication companies by the RUS uniform system of accounts, and by sound business practices. The RUS uniform system of accounts is comprised of 47 CFR Part 32 supplemented by 7 CFR Part 1770.

### **Account Identification:**

12-1230-0-1-271; 12-4230-0-3-271.

### **Obligations:**

(Direct Loans) FY 10 \$250,000,000; FY 11 est \$250,000,000; and FY 12 est \$250,000,000 - Cost of Money Loans. (Direct Loans) FY 10 \$145,000,000; FY 11 est \$145,000,000; and FY 12 est \$145,000,000 - Hardship Loans. (Guaranteed/Insured Loans) FY 10 \$295,000,000; FY 11 est \$295,000,000; and FY 12 est \$295,000,000 - FFB Treasury Loans.

### **Range and Average of Financial Assistance:**

For FY 2010: Direct loans: \$1,678,000 to \$32,000,000; Average: \$10,675,676. Loan Guarantees: \$500,000 to \$53,000,000; Average: \$17,352,941.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR-XVII. RUS publishes and issues upon request technical operations manuals and bulletins covering financing, construction, operation and maintenance of rural telephone systems. Also available are annual statistical summaries; and Rural Electrification Act of 1936, as amended.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service

Rural Utilities Service, 1400 Independence Avenue, SW., STOP 1590, Room 5151, Washington, District of Columbia 20250 Phone: (202) 720-9554 Fax: (202) 720-0810.

**Website Address:**

[http://www.rurdev.usda.gov/utp\\_infrastructure.html](http://www.rurdev.usda.gov/utp_infrastructure.html)

**RELATED PROGRAMS:**

10.886 Rural Broadband Access Loans and Loan Guarantees

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.854 RURAL ECONOMIC DEVELOPMENT LOANS AND GRANTS**

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title III, 7 U.S.C. 930-940c.

**OBJECTIVES:**

To promote rural economic development and job creation projects, including funding for project feasibility studies, start-up costs, incubator projects, and other reasonable expenses for the purpose of fostering rural development.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program is for projects which promote rural economic development and job creation. Maximum amount of grant is \$300,000; maximum amount of loan is \$740,000. Maximum term and interest rates vary by project. Projects which promote rural economic development and job creation. Maximum amount of grant is \$300,000; maximum amount of loan is \$700,000. Maximum term and interest rates vary by project. Projects which promote rural economic development and job creation. Maximum amount of grant is \$300,000; maximum amount of loan is \$700,000. Maximum term and interest rates vary by project.

**Applicant Eligibility:**

Electric and telephone utilities that have current loans with the Rural Utilities Service (RUS), Rural Telephone Bank loans, or guarantees outstanding and are not delinquent on any Federal debt or in bankruptcy proceedings.

**Beneficiary Eligibility:**

Rural/General Public.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit application as described in 7 CFR 4280.39, no State plan required.

**Award Procedure:**

RBS selects projects to be funded. The funds pass through the RUS utility to rural economic development projects.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Open ended.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal of same application for 1 year. Submit new or revised application as often as desired.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. This program requires supplemental funds in the amount of 20 percent of the RBS application amounts.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

annually. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reporting need established in 7 CFR 4280, Subpart A. Cash reports are not applicable. Reporting need established in 7 CFR 4280, Subpart A. Expenditure reports are not applicable. Reporting need established in 7 CFR 4280, Subpart A.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Financial audit of the RUS utility is required.

**Records:**

Record retention requirements established in 7 CFR 4280, Subpart A.

**Account Identification:**

12-3108-0-1-452; 12-4230-0-3-271; 12-3105-0-1-452.

**Obligations:**

(Loan Guarantees/Grants) FY 10 \$21,925,572; FY 11 est \$33,000,000; and FY 12 Estimate Not Available - Loans and Grants to establish Revolving Loan Fund Programs.

**Range and Average of Financial Assistance:**

Loans and Grants to establish Revolving Loan Fund Programs.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 4280, Subpart A and the Rural Electrification Act of 1936.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for RD District Office number. If no listing, get in touch with appropriate Rural Development State Office listed in Appendix IV of the catalog.

**Headquarters Office:**

Specialty Lenders Division, Rural Business-Cooperative Service, Department of Agriculture, 1400 Independence Ave. S.W., Washington, District of Columbia 20250 Phone: (202) 720-1400.

**Website Address:**

<http://www.rurdev.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See 7 CFR 4280.42.

**10.855 DISTANCE LEARNING AND TELEMEDICINE LOANS AND GRANTS**

Distance Learning and Telemedicine Loans and Grants

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, Title VII, Public Law 104-127, 7 U.S.C 950.

**OBJECTIVES:**

To encourage and improve the use of telemedicine, telecommunications, computer networks, and related advanced technologies to provide educational and medical benefits through distance learning and telemedicine projects to people living in rural areas and to improve rural opportunities.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Telecommunications, computer networks and related advanced technologies that provide educational and/or medical benefits to students, teachers, medical professionals and rural residents. Eligible costs depend on the type of financial assistance being requested; i.e., grant or loan. See 7 CFR Part 1703 for details.

**Applicant Eligibility:**

To be eligible to receive a grant, loan and grant combination, or loan, the applicant must be legally organized as an incorporated organization or partnership, an Indian tribe or tribal organization, a state or local unit of government, a consortium, or other legal entity. The applicant must have legal capacity to contract with RUS. The applicant also must propose to utilize the financing to: (i) operate a rural community facility; or (ii) deliver distance learning or telemedicine services to entities that operate a rural community facility or to residents of rural areas at rates calculated to ensure that the benefit of the financial assistance is passed through to such entities or to residents of rural areas. The applicant must not be delinquent on any Federal debt. RUS electric and telecommunications borrowers are not eligible for grants. Generally, applicants are organizations such as schools, libraries, hospitals, medical centers, or other eligible organizations that will be users of a telecommunications, computer network, or related advanced technology system to provide educational and/or medical benefits to rural residents.

**Beneficiary Eligibility:**

The people living in rural areas and to improve rural opportunities, particularly in the areas of education, training and medical services.

**Credentials/Documentation:**

See 7 CFR Part 1703 for details. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Submit application Form 424; non-delinquent on any Federal obligations; consultation with USDA State Director (for grant applicants); evidence of legal existence and authority to perform the proposed grant activities; a comprehensive rural telecommunications plan; scope of work plan, executive summary for the project; financial information; a statement of experience; funding commitment from other sources; compliance with Federal statutes and regulations (compliance with scoring criteria) and environmental impact; supplemental information and required additional RUS information.

**Award Procedure:**

Based on a determination that the loan is economically feasible and serves the purposes of the Rural Electrification Act, loans are approved. For grants, RUS rates the applicants based on specified scoring criteria and determines awards based on those ratings.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Applications are approved each fiscal year for which funding is made available. Applications that have not been approved may be resubmitted each year for consideration.

**Appeals:**

A grant applicant may appeal the numerical scoring to the Administrator in writing within 10 days after applicant is notified of the scoring level.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 15%. No matching is required for applicants requesting loans.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds may be advanced monthly or as needed to reimburse disbursements for approved grant purposes. Applicants generally have three years to spend funds.

One extension may be granted. See the following for information on how assistance is awarded/released: Funds may be advanced monthly or as needed to reimburse disbursements for approved grant purposes.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. SF 269, "Financial Status Report," is required annually. Project performance activity reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantee will provide evidence that funds are expended for approved purposes.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Direct Loans) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0. (Project Grants) FY 10 \$0; FY 11 est \$30,000,000; and FY 12 est \$300,000,000

**Range and Average of Financial Assistance:**

The minimum grant, loan, or loan/grant combination is \$50,000. The maximum varies and is not to exceed the amount established by the RUS Administrator.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1703, subparts D through G. Distance Learning and Telemedicine Program Grant Application Guide - For grants - Distance Learning and Telemedicine Program -Grant Application Guide - Fiscal Year 2010.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service, 1400 Independence Avenue, S.W., STOP 1590, Washington, District of Columbia 20250 Phone: (202) 720-9554.

**Website Address:**

[http://www.rurdev.usda.gov/UTP\\_DLT.html](http://www.rurdev.usda.gov/UTP_DLT.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

See 7 CFR Part 1703, subparts D through G.

**10.856 1890 LAND GRANT INSTITUTIONS RURAL ENTREPRENEURIAL OUTREACH PROGRAM**

(1890 REOD Initiative)

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To encourage 1890 Institutions to provide technical assistance for business creation in economically challenged rural communities, to conduct educational programs that develop and improve upon the professional skills of rural entrepreneurs, and to provide outreach and promote USDA Rural Development programs in small rural communities with the greatest economic need.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Rural Development cooperative agreements with the 1890 Institutions must be used to strengthen the capacity of rural communities to undertake innovative, comprehensive, citizen led, long-term strategies for community and economic development. Only one application or proposal per 1890 institution per year will be accepted. Recognized outreach efforts to promote Rural Development programs in targeted underserved rural communities include, but are not limited to: (a) business startup and related technical assistance; seminars and workshops for small businesses; (b) development of management and technical assistance plans that: (1) assess small business alternatives to traditional agriculture; (2) assist in the development of business plans or loan packages, marketing, or bookkeeping; (3) assist and train small businesses in customer relations, product development, or business planning and development; (c) feasibility studies; (d) advice and recommendations regarding best practices in community economic development; (e) the conduct of seminars to stimulate business and economic development; and (f) developing computer technology outreach and establishing and maintaining a computer network system, linking community leaders and residents to available economic development information. Rural Development funds may be used to pay up to 75 percent of the costs for carrying out relevant projects. Applicants' contributions (matching 25 percent) may be in cash or in-kind contributions but must be from non-Federal funds. The applicant and assigned personnel must also have expertise and experience in providing the recommended assistance. Applicants should also have a previous record of successful implementation of similar projects and must have the expertise in the use of electronic network technologies and/or a business information system network website.

**Applicant Eligibility:**

1890 Land Grant Institutions and Tuskegee University (1890 Institutions).

**Beneficiary Eligibility:**

The 1890 REOD Initiative is limited to residents located in a rural area as defined in 7 U.S.C. 1991(a)(13) with economic need. Location in an Empowerment Zone, Enterprise Community, Champion Community, Federally-recognized Tribal Indian groups or other Federally declared economic depressed or disaster area is sufficient evidence of economic need. Eligible beneficiaries must also be located in communities that show significant community support for the proposal. Preference will be given for projects that operate in a multi-county service area. See annual notice of funding availability for details.

**Credentials/Documentation:**

Eligible applicants are 1890 Land Grant Institutions and Tuskegee University. Eligible applicants must provide matching funds equal to at least 25 percent of the amount provided by Rural Development in the cooperative agreement. See annual notice of funding availability for details. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Submit (1) Form SF-424, Application for Federal Assistance; (2) Form SF-424A, Budget Information--Non-Construction Programs; (3) Form SF-424B, Assurances--Non-construction Programs; (4) Form AD-1047, Certification Regarding Debarment, Suspension and other Responsibility Matters; (5) Form AD-1049, Certification Regarding Drug Free Workplace Requirements (6) Form SF-LLL, Disclosure of Lobbying Activities; and, (7) other information as requested by the annual Request For Proposals.

**Award Procedure:**

The 1890s Institutions must submit their application to the Rural Development-Cooperative Programs National Office where it will be reviewed and scored on a competitive basis as described in the annual solicitation for proposals. If selected for an award, the applicant must complete the objectives as defined in the approved proposal.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 60 to 120 days after solicitation closes and application is filed with the Rural Development-Cooperative Programs.

**Appeals:**

Applicants may appeal any adverse decisions to the National Appeals Division.

**Renewals:**

This program is conducted annually and requires a new application and competition each year. Hence, renewals are not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Matching funds must be spent in proportion to the spending of funds received from the cooperative agreement. All awards are for one year from the beginning of the performance period as specified in the terms and conditions of the agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

The recipient will maintain adequate records and accounts to assure that agreement funds are used for authorized purposes. Records will also be maintained by the Rural Development--Cooperative Programs National Office National Office and RD Budget Office according to USDA and Agency record-keeping requirements.

**Account Identification:**

12-0403-0-1-452.

**Obligations:**

(Formula Grants) FY 10 \$1,500,000; FY 11 est \$750,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015; 7 CFR 3017; 7 CFR 3018; 7 CFR 3019; 7 CFR 3021; and, 7 CFR 3052. NOTE: Executive Order 13256 (February 12, 2002), President's Board of Advisors on Historically Black Colleges and Universities.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate RD State Office or check the website noted in this announcement. Email: CPGGrants@wdc.usda.gov.

**Headquarters Office:**

Virginia M. Gilchrist 1400 Independence Avenue, Washington, District of Columbia 20250 Email: Virginia.Gilchrist@wdc.usda.gov Phone: 2026903805

**Website Address:**

<http://www.rurdev.usda.gov/rbs/oa/1890.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.857 STATE BULK FUEL REVOLVING FUND GRANTS**

State Bulk Fuel Grants

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.

**OBJECTIVES:**

To provide grants to State entities for revolving funds to promote more cost-effective fuel purchases for communities where fuel cannot be shipped by surface transportation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to establish and support a revolving fund to provide a more cost-effective means of purchasing fuel where fuel cannot be shipped by means of surface transportation. Not more than 4 percent of the funds made available under the grant may be used for planning and administrative expenses.

**Applicant Eligibility:**

Applicants are limited to State entities and to entities of any Territory, possession or other area authorized to receive the services and programs of the Rural Utilities Service or the Rural Electrification Act of 1936, as amended. Entities must be in existence as of November 9, 2000.

**Beneficiary Eligibility:**

Assistance must be used to improve the cost-effectiveness of fuel purchasing for communities that are dependent on fuel deliveries by water or air.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grant applications are accepted in response to a Notice of Funding Availability published in the Federal Register. Requirements for applications are described in the Federal Register notice and may be requested from the Agency. Unsolicited applications may also be considered at the request of a State. Eligible State entities should provide expressions of interest in applying for grants to the Assistant Administrator, Electric Programs.

**Award Procedure:**

Grants are awarded competitively.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Grant approvals will generally be made within 60 days of the application closing date.

**Appeals:**

Applicants may appeal rejections of ineligible applications to the Administrator of the Rural Utilities Service under procedures in program regulations at 7 CFR Part 1709.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant agreements will run for a period of three years. Extensions may be granted. See the following for information on how assistance is awarded/released: Funds will be disbursed on request of the Grantee.

**Reports:**

Grantee will be required to provide periodic financial and performance reports. Cash reports are not applicable. Grantee will be required to provide periodic financial and performance reports. Grantee will be required to provide periodic financial and performance reports. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantee will be required to report in accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Records must be kept as required under USDA and State regulations.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$2,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Grants to States have ranged from \$350,000 to \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1709.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Electric Programs Department of Agriculture, 1400 Independence Ave., SW, Stop 1560, Washington, District of Columbia 20250 Phone: (202) 720-9540.

**Website Address:**

[http://www.rurdev.usda.gov/UEP\\_Grant\\_Program.html](http://www.rurdev.usda.gov/UEP_Grant_Program.html)

**RELATED PROGRAMS:**

10.850 Rural Electrification Loans and Loan Guarantees; 10.854 Rural Economic Development Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected competitively based on total scores received on evaluation criteria in grant announcement. Unsolicited applications from State Governments are considered on a case by case basis according to criteria in regulations.

**10.858 DENALI COMMISSION GRANTS AND LOANS**

RUS - Denali Commission Grants

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.

**OBJECTIVES:**

Grants and loans to the Denali Commission for the benefit of rural communities in Alaska with extremely high household energy costs exceeding 275 percent of the national average.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used for energy generation, transmission, or distribution facilities serving rural communities where annual average residential energy expenditures are at least 275 percent of the national average. Grant must be in coordination with State rural development initiatives. Planning and administrative expenses must not exceed 4 percent of the grant amount.

**Applicant Eligibility:**

The Denali Commission, a Federal Agency, is the only eligible applicant.

**Beneficiary Eligibility:**

Beneficiaries are residents of rural communities in Alaska with extremely high energy costs. Eligible beneficiary communities must apply for assistance directly to the Denali Commission and eligible projects must be on Denali Commission Annual Approved Work Plan.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Denali Commission submits a letter of application under a Memorandum of Understanding with USDA.

**Award Procedure:**

Approval of the Denali request for grant funds is made by the Administrator.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant funds are for three years and may be extended. See the following for information on how assistance is awarded/released: .

**Reports:**

The Denali Commission will provide a summary of projects approved, rural communities served, and an accounting of expenditures made under each grant in its annual report. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

The Denali Commission maintains its books and records in accordance with Federal requirements of OMB Circular A-34.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$8,000,000; FY 11 est \$5,775,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Grant awards have ranged from \$5,775,000 (est) to \$18,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR part 1709.

**Regional or Local Office:**

None.

**Headquarters Office:**

Administrator, Rural Utilities Service, Department of Agriculture, 1400 Independence Ave., SW, Stop 1560, Washington, District of Columbia 20250  
Phone: (202) 720-9540.

**Website Address:**

[http://www.rurdev.usda.gov/UEP\\_Grant\\_Program.html](http://www.rurdev.usda.gov/UEP_Grant_Program.html)

**RELATED PROGRAMS:**

10.850 Rural Electrification Loans and Loan Guarantees; 10.854 Rural Economic Development Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Agency Administrator makes a grant award based on Denali Letter of Request and Denali Annual Work Plan.

**10.859 ASSISTANCE TO HIGH ENERGY COST RURAL COMMUNITIES**

High Energy Cost Grants

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.

**OBJECTIVES:**

Assistance to rural communities with extremely high energy costs.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to acquire, construct, extend, upgrade, and improve energy generation, transmission, or distribution facilities serving communities in which the average annual expenditure for home energy costs is at least 275 percent of the national average. Energy efficiency and on-grid and off-grid renewable energy systems are eligible. Not more than 4 percent of amounts made

available in grant funds may be used for planning and administrative expenses. Funds may not be used to pay utility bills, fuel costs, or operating expenses.

**Applicant Eligibility:**

Eligible applicants include States, political subdivisions of States, for-profit and non-profit businesses, cooperatives, associations, organizations, and other entities organized under the laws of States, Indian tribes, tribal entities, and individuals. The governments and entities located in any U.S.

Territory/possession or other area authorized by law to receive the services and programs of the Rural Utilities Service or the Rural Electrification Act of 1936, as amended, are also eligible.

**Beneficiary Eligibility:**

Projects must serve rural communities in which the annual average residential expenditure for home energy is at least 275 percent of the national average. Energy cost eligibility benchmarks are included in the published Notice of Funding Availability.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grant applications are accepted in response to a Notice of Funding Availability published in the Federal Register and Grants.gov. Application requirements are described in the published notice and on the agency web site. Application materials may also be requested from the Agency.

**Award Procedure:**

Grants will be awarded based on competitive ranking of applications according to published evaluation criteria for technical merit, community need, economic hardship, and rurality.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Selection of grant finalists will be announced approximately 90 to 180 days after the application deadline. Final Grant awards will be approved after completion of environmental review and other pre-award requirements.

**Appeals:**

Applicants may appeal rejections of ineligible applications to the Administrator of the Rural Utilities Service under procedures in program regulations at 7 CFR Part 1709. Applicants may not appeal numerical rankings of competitive grant applications.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant agreements will run for the period of time necessary to complete the project and provide at least one year of operating data, generally about three years. Extensions may be granted. See the following for information on how assistance is awarded/released: Advances and reimbursements will be disbursed over the term of the grant on request of the grantee.

**Reports:**

Grant recipients will be required to file periodic financial, expenditure, progress, and performance reports specified in the grant agreement and program

regulations. Cash reports are not applicable. Grant recipients will be required to file periodic financial, expenditure, progress, and performance reports specified in the grant agreement and program regulations. Grant recipients will be required to file periodic financial, expenditure, progress, and performance reports specified in the grant agreement and program regulations. Grant recipients will be required to file periodic financial, expenditure, progress, and performance reports specified in the grant agreement and program regulations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantee must maintain records in accordance with requirements of program regulations and the grant agreement.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$7,954,386; FY 11 est \$15,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Minimum award is \$75,000 and maximum is \$5,000,000. Individual grant awards have ranged from approximately \$175,000 to \$3,775,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1709.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Electric Programs Department of Agriculture, 1400 Independence Ave., SW, Stop 1560, Washington, District of Columbia 20250 Phone: (202) 720-9545.

**Website Address:**

[http://www.rurdev.usda.gov/UEP\\_Grant\\_Program.html](http://www.rurdev.usda.gov/UEP_Grant_Program.html)

**RELATED PROGRAMS:**

10.850 Rural Electrification Loans and Loan Guarantees; 10.854 Rural Economic Development Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant applications will be ranked competitively based on published evaluation criteria. All projects must serve rural communities with extremely high energy costs.

**10.861 PUBLIC TELEVISION STATION DIGITAL TRANSITION GRANT PROGRAM**

Public Television Station Digital Transition Grant Program

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2006; Title III, Rural Development Programs; Rural Utilities Service; Distance Learning, Telemedicine, and Broadband Program; Public Law 109-97.

**OBJECTIVES:**

As part of the nation's transition to digital television, the Federal Communications Commission (FCC) required all television broadcasters to

convert their transmitters to broadcast digital signals by June 12, 2009. The goal of this conversion is a television system that makes more efficient use of the radio spectrum. By decreasing the use of spectrum by television channels, this frees up spectrum to enable the introduction of new wireless telecommunications services such as mobile wireless Internet access. In order to allocate spectrum to new uses, stations had to transition their main transmitter to the new broadcast system and digital no later than June 2009. While stations must broadcast their main transmitter signal in digital, many rural stations have yet to complete a full digital transition of their stations across all equipment. Rural stations often have translators serving small or isolated areas and some of these have not completed the transition to digital. Because the FCC deadline did not apply to translators, they are allowed to continue broadcasting in analog. Some rural stations also have not fully converted their production and studio equipment to digital, which has impaired their ability to provide the same quality local programming that they provided in analog. The digital transition has also created some service gaps where households that received an analog signal are now unable to receive a digital signal. For rural households the digital transition has meant in some cases diminished over-the-air public television service. These rural households are the focus of the Agency's Public Television Station Digital Transition Grant Program.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants may be used to install digital television facilities through purchase or lease (up to three years of lease costs); and for associated engineering and environmental studies. All broadcast facilities acquired under this program must be capable of delivering both digital television (DTV, sometimes called standard definition) and high definition television (HDTV) at both the interim and final channel power authorizations. Grant funds may be used to fund facilities directly connected to the digital transition of the broadcast signal such as: digital transmitters; digital translators; transmitting antennas; new towers or improvements to existing towers necessary for antenna installation; tower ground infrastructure such as land, buildings, fencing, standby power, and where commercial power is unreliable, power generation and conditioning facilities; studio to transmitter/translator communication links; television program production and management equipment; datacasting equipment; and subject to RUS approval, other facilities directly necessary for the digital transition of the broadcast signal. Grants shall not be used: to fund operations or for facilities not owned by the applicant (except for leased facilities as described above); for salaries, wages, and other public television employee benefits; for construction performed or expenditures made prior to the application deadline; or for facilities funded under other grants. Grants shall not be used: to fund operations or for facilities not owned by the applicant (except for leased facilities as described above); for salaries, wages, and other public television employee benefits; for construction performed or expenditures made prior to the application deadline; or for facilities funded under other grants.

#### **Applicant Eligibility:**

The applicant must be a public television station that serves a rural area regardless of whether they also serve an urban area. (Rural area means any area of the United States not included within the boundaries of any incorporated or unincorporated city, village, or borough having a population in excess of 20,000 inhabitants.) The applicant must also be required to convert from analog to digital transmission under the rules of the FCC. For the purpose of this grant program, a public television station must be an organization which (1) qualifies for Federal funding under Section 396(k) of the Public Broadcasting Act of 1967, and (2) which is either: (a) under the rules and regulations of the FCC in effect on November 2, 1978, eligible to be licensed as a noncommercial educational broadcast station and which is owned and operated by a public agency or nonprofit private foundation, corporation, or association; or (b) owned and operated by a municipality and which transmits only noncommercial programs for education purposes.

#### **Beneficiary Eligibility:**

Anyone who receives the improved digital television signal from a rural public television station or attends an educational institution that uses public television in its curriculum.

#### **Credentials/Documentation:**

The applicant must provide evidence demonstrating that it meets the definition of a public television station in section 81, above. The applicant must also provide evidence that the FCC has authorized the initiation of digital broadcasting at each of the Applicant's transmitter and translator sites. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An applicant must submit an application in accordance with the Program's application guide. In addition to Government-wide requirements, the applicant shall provide a description of the project including: an executive summary, a project cost spreadsheet, broadcast coverage maps, a complete narrative description, and an environmental assessment.

#### **Award Procedure:**

All complete applications from eligible applicants that meet the application deadline will be scored in a competitive process to determine which projects are funded. There are three scoring categories. The first is rurality, a measure of the rural character of the applicant's digital television coverage area. Up to 50 points can be earned in this category. The second uses the National School Lunch Program eligibility percentage as a measure of the economic need of the people in the applicant's coverage area. This category earns up to 25 points. Finally, up to 25 points can be awarded based on critical need.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Applications are approved each fiscal year for which funding is made available.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

A recipient generally has three years to spend funds. RUS may approve one extension. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: RUS will advance funds as needed (but no more frequently than once every 30 days) to reimburse disbursements for approved grant purposes.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. The performance and financial reports must be submitted to RUS on a quarterly basis throughout the project construction period. The recipient must provide periodic financial reports to RUS. The recipient must provide periodic performance reports and permit periodic inspection by RUS of the project. The recipient must constantly monitor performance to ensure that it is meeting time schedules, accomplishing projected work by time periods, and achieving other performance objectives. The performance and financial reports must be submitted to RUS on a quarterly basis throughout the project construction period.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that



year, except as noted in Circular No. A-133. The recipient must provide RUS with an audit for each year in which a portion of the grant is expended.

**Records:**

The recipient must maintain all records needed to identify the purposes for which, and the manner in which, grant and other funds were expended on the project. The recipient must maintain such records for 3 years after the project is completed. The recipient must provide reasonable access to these records to RUS.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$4,500,000; FY 11 est \$4,491,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

The maximum grant for an individual public television station is \$750,000. In fiscal year 2010, the average grant amount was \$508,646. The 10 grants ranged from \$265,800 to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1740 - Public Television Station Digital Transition Grant Program (Interim final rule with request for comments)

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service, 1400 Independence Avenue, S.W., STOP 1590, Washington, District of Columbia 20250 Phone: (202) 720-9554.

**Website Address:**

[http://www.rurdev.usda.gov/UTP\\_DTV.html](http://www.rurdev.usda.gov/UTP_DTV.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete, eligible applications that meet the application deadline are scored to determine which projects are funded. There are three scoring categories: rurality, up to 50 points; economic need, up to 25 points; and critical need, up to 25 points.

**10.862 HOUSEHOLD WATER WELL SYSTEM GRANT PROGRAM**

HWWS Program

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306E, Public Law 107-171, 7 U.S.C. 1926e.

**OBJECTIVES:**

To make grants to private, nonprofit organizations to finance the construction, refurbishing and servicing of individually-owned household water well systems in rural areas for individuals with low or moderate income.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds will be used to establish and maintain a revolving loan fund to provide loans to eligible individuals to construct, refurbish, and service individually-owned household water well systems. Eligible individuals must own or will own the household water well systems. Funds may be used to pay administrative expenses associated with providing the loans. Grant funds may

not be used to pay (1) administrative expenses exceeding 10 percent of the loans made during the calendar year; (2) administrative expenses incurred before the Rural Utilities Service executes a grant agreement; (3) delinquent debt owed to the Federal Government.

**Applicant Eligibility:**

An applicant must be a private organization, organized as a non-profit corporation. The applicant must have the legal capacity and authority to perform the obligations of the grant. The applicant must have sufficient expertise and experience in lending activities and promoting the safe and productive use of individually-owned household water well systems and ground water.

**Beneficiary Eligibility:**

An individual in a household in which the combined income of all household members (for the most recent 12 months) does not exceed 100 percent of the median non-metropolitan household income for the State or territory in which the individual resides.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility, ability to administer and service a revolving loan fund, commitment and sources of financial resources the organization controls. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Standard application forms as furnished by RUS must be used for this program. Environmental impact information is not required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-110 applies to this program. The Water and Environmental Programs of the USDA Rural Utilities Service administers the program. Application Form SF-424 is filed at the National Office in Washington, DC, from which assistance may be obtained.

**Award Procedure:**

The Water and Environmental Programs staff in Washington, DC, will review and process the application. Following completion of application processing requirements and grant approval, funds are made available to the applicant on a reimbursement basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 30 to 90 days.

**Appeals:**

From 60 to 90 days. If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision with the National Appeals Division of USDA in accordance with USDA regulations at 7 CFR 11.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 10.%. Applicants must provide funds from sources other than the HWWS grant. The required match must be at least 10 percent of the HWWS grant. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified; however, priority will be given to applicants whose time frame for completion of the grant project is 12 months or less. See the following for information on how assistance is awarded/released: Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis.

**Reports:**

All grantees will submit quarterly performance activity reports and financial reports to RUS until the project is complete and the funds are expended. Cash reports are not applicable. Periodic reports are to be made to the RUS servicing official. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of the grants and other agreements. Audits should be completed in accordance with the requirements of OMB Circular No. A-133 or RUS requirements, whichever apply.

**Records:**

Records and accounts are required to reflect the project operations.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$993,000; FY 11 est \$2,175,648; and FY 12 est \$993,000

**Range and Average of Financial Assistance:**

\$44,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: There were 7 grants awarded. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1776, Household Water Well System Grant Program; The Household Water Well System Program: 2004 Grant Application Guide.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250  
Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

10.760 Water and Waste Disposal Systems for Rural Communities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

RUS assistance for grant projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as population, low income, unemployment; health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed project is located.

**10.863 COMMUNITY CONNECT GRANT PROGRAM**

Community Connect Grant Program

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Appropriations Act, 2005; Title III: Rural Development Programs; Rural Utilities Service; Distance Learning, Telemedicine, and

Broadband Program; Public Law 108-447.

**OBJECTIVES:**

To encourage community-oriented connectivity by providing grants to eligible applicants who will deploy broadband transmission service in rural communities where such service does not currently exist; who will connect all critical community facilities such as local schools, education centers, libraries, hospitals, health care providers, law enforcement agencies, public safety organizations, fire, and rescue services, as well as residents and businesses; and who will operate a community center which provides free and open access to area residents.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants will be made available, on a competitive basis, for the deployment of broadband transmission services to critical community facilities, rural residents, and rural businesses and for the construction, acquisition, expansion, and/or operation of a community center which would provide free access to broadband transmission services to community residents for at least two years. Funding is also available for end-user equipment, software, and installation costs. See 7 CFR Part 1739 for details.

**Applicant Eligibility:**

To be eligible for a grant, the applicant must: (a) be legally organized as an incorporated organization, an Indian tribe or tribal organization, a state or local unit of government, or other legal entity, including cooperatives or private corporations or limited liability companies organized on a for profit or not-for profit basis, and (b) have the legal capacity and authority to own and operate the broadband facilities as proposed in its application, to enter into contracts and to otherwise comply with applicable federal statutes and regulations.

**Beneficiary Eligibility:**

The people living in rural areas and to improve rural opportunities through the availability of access to high speed broadband networks.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Details of the projects impact on the environment and historic preservation must be provided. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submit an application in accordance with 7 CFR 1739 and its accompanying application guide.

**Award Procedure:**

Grants are awarded on a competitive basis to applicants receiving the highest number of points.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are approved each fiscal year for which funding is made available.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 15.%. The grant applicant must contribute a matching contribution which is at least 15 percent of the grant amount requested. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicants generally have three years to spend funds. Extensions may be granted. See the following for information on how assistance is awarded/released: Funds may be advanced monthly or as needed to reimburse disbursements for approved grant purposes.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. SF 269, "Financial Status Report," is report required annually. Project performance activity reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An audit report is required for the years in which funds are received.

**Records:**

Grantee will provide evidence that funds are expended for approved purposes.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$13,379,188; and FY 12 est \$17,976,000

**Range and Average of Financial Assistance:**

The Agency will publish, annually in the Federal Register, a Notice of Funds Availability that sets forth the maximum and minimum funding for each grant. The size of grants varies. .

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1739: Broadband Grant Program, Subpart A - Community Connect Grant Program

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program Rural Utilities Service, 1400 Independence Avenue, S.W., STOP 1590, Washington, District of Columbia 20250 Phone: (202) 720-9554.

**Website Address:**

[http://www.rurdev.usda.gov/utp\\_commconnect.html](http://www.rurdev.usda.gov/utp_commconnect.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.864 GRANT PROGRAM TO ESTABLISH A FUND FOR FINANCING WATER AND WASTEWATER PROJECTS**

RFP Program

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 6002, Public Law 107-171, 7 U.S.C. 1926e.

**OBJECTIVES:**

To make grants to private, nonprofit organizations to establish a revolving loan fund to make small, short term loans for pre-development or small capital water

or waste disposal projects.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds will be used to establish and maintain a revolving loan fund to finance pre-development costs associated with proposed water and wastewater projects or with existing water and wastewater systems, and short-term costs incurred for replacement equipment, small-scale extension of services, or other small capital projects that are not part of the regular operations and maintenance activities of existing water and wastewater systems.

**Applicant Eligibility:**

An applicant must be a private organization, organized as a non-profit corporation. The applicant must have the legal capacity and authority to perform the obligations of the grant. The applicant must have sufficient expertise and experience in making and servicing loans.

**Beneficiary Eligibility:**

Municipalities, counties, and other political subdivisions of a State, such as districts and authorities, associations, cooperatives, corporations operated on a not-for-profit basis, Indian tribes on Federal and State reservations and other Federally recognized Indian tribes. Facilities shall primarily serve rural residents and rural businesses. The service area shall not include any area in any city or town having a population in excess of 10,000 inhabitants according to the latest decennial census of the United States. The loan recipient must be unable to finance the proposed project from their own resources or through commercial credit at reasonable rates and terms. The loan recipient must have or will obtain the legal authority necessary for owning, constructing, operating and maintaining the proposed service or facility, and for obtaining, giving security for, and repaying the proposed loan.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility, ability to administer and service a revolving loan fund, commitment and sources of financial resources the organization controls. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Water and Environmental Programs of the USDA Rural Utilities Service administers the program. Application Form SF-424 is filed at the National Office in Washington, DC, from which assistance may be obtained.

**Award Procedure:**

The Water and Environmental Programs staff in Washington, DC, will review and process the application. Following completion of application processing requirements and grant approval, funds are made available to the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 60 days.

**Appeals:**

If an application is rejected, the reasons for rejection are stated fully. The applicant may request a review of this decision at the RUS National level.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 20%. Applicants must provide funds from other sources equal to at least 20 percent of the RFP grant. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the RUS grant funds. Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis. See the following for information on how assistance is awarded/released: Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis.

**Reports:**

Periodic reports are to be made to the RUS servicing official. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of the grants and other agreements. Audits should be completed in accordance with the requirements of OMB Circular No. A-133 or RUS requirements, whichever apply.

**Records:**

Records and accounts are required to reflect the project operations.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$497,000; FY 11 est \$510,000; and FY 12 est \$497,000

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: There were 2 grants awarded. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1783, Grant Program to Establish a Fund for Financing Water and Wastewater Projects; The Revolving Fund Program 2005 Grant Application Guide.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

10.760 Water and Waste Disposal Systems for Rural Communities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: A Revolving Loan Fund program provided funds for pre-development costs in anticipation of construction, short term financing of equipment replacement, small scale extensions, and other small capital projects that are not part of regular operation and maintenance activities and too small to be cost effective for Rural Utilities Service loan program. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

RUS assistance for grant projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as; population, low income, unemployment; health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed

project is located.

**10.865 BIOREFINERY ASSISTANCE**

(Section 9003- Biorefinery Assistance Program)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Title IX of the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) is amended by the Food, Conservation, and Energy Act of 2008, Title IX, section 9003, subsection 9003.

, Title IX, Section 9003, 9 U.S.C 9003.

**OBJECTIVES:**

To assist in the development of new and emerging technologies for the development of advanced biofuels, so as to: (1) increase the energy independence of the United States; (2) promote resource conservation, public health, and the environment; (3) diversify markets for agricultural and forestry products and agriculture waste material; and (4) create jobs and enhance the economic development of the rural economy.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

Loan guarantees are made to fund the development, construction, and retrofitting of commercial-scale biorefineries using eligible technology. The maximum loan guarantee is \$250 million. Mandatory funding is available through FY 2012. Loan guarantees are made to fund the development, construction, and retrofitting of commercial-scale biorefineries using eligible technology. . Discretionary funding may be available on an annual basis. The maximum loan guarantee is \$250 million. Mandatory funding is available through FY 2012.

**Applicant Eligibility:**

Eligible technologies under the program include: (A) technology that is being adopted in a viable commercial-scale operation of a biorefinery that produces an advanced biofuel; and (B) technology not described in subparagraph (A) that has been demonstrated to have technical and economic potential for commercial application in a biorefinery that produces an advanced biofuel.

**Beneficiary Eligibility:**

Eligible entities under the program include: individuals, entities, Indian tribes, or units of State or local government, including corporations, farm cooperatives, farmer cooperative organizations, associations of agricultural producers, National Laboratories, institutions of higher education, rural electric cooperatives, public power entities, or consortia of any of those entities.

**Credentials/Documentation:**

Application for Federal Guarantee, feasibility Study, Lender Analysis and other applicable and required information as outlined in application and regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Submit an original completed application with two copies to USDA's Rural Development National Office: Energy Branch, Attention: BioRefinery Assistance Program, 1400 Independence Avenue, SW, STOP 3225, Washington, DC, 20250-3225.

**Award Procedure:**

Based on a review of the application, the project must have eligible and have technical merit. Projects determined by the Agency to be without technical

merit will not be selected for funding. The Agency will score each application in order to prioritize each proposed project. The evaluation criteria that the Agency will use to score these projects are: Whether the borrower has established a market for the advanced biofuel and the byproducts produced. Whether the area in which the borrower proposes to place the biorefinery has other similar advanced biofuel facilities. Whether the borrower is proposing to use a feedstock not previously used in the production of advanced biofuels. Whether the borrower is proposing to work with producer associations or cooperatives. The level of financial participation by the borrower, including support from non-Federal and private sources. Whether the borrower has established that the adoption of the process proposed in the application will have a positive impact on resource conservation, public health, and the environment. Whether the borrower can establish that, if adopted, the biofuels production technology proposed in the application will not have any significant negative impacts on existing manufacturing plants or other facilities that use similar feedstocks. The potential for rural economic development, including the number of local jobs created and inclusion of local banks or other capital sources in any proposed debt syndication. The level of local ownership proposed in the application. Whether the project can be replicated. The extent to which the project converts cellulosic biomass feedstocks into advanced biofuel. Whether the project is a first-of-a-kind technology, system, or process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval is subject to the completion of all requirements identified in the Notice of Funding Availability.

**Appeals:**

An applicant may have review or appeal rights in accordance with 7 CFR Part 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Federal Statute limits maximum program participation to 80% of project cost.

Matching Requirements: Applicants must identify all sources, amounts, and status of matching funds. Borrowers shall demonstrate evidence of cash equity injection in the project of not less than 20 percent of eligible project costs. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Notice of Funding Availability is applicable for one fiscal year. Method of awarding/releasing assistance: lump sum.

**Reports:**

Once the project has been constructed, the lender must provide the Agency periodic reports from the borrower commencing the first full calendar year following the year in which project construction was completed and continuing for the life of the guaranteed loan. The borrowers reports will include, but not be limited to, the information specified in the following paragraphs, as applicable. (i) The actual amount of advanced biofuels produced to assess whether project goals are being met. (ii) If applicable, documentation that identified health and/or sanitation problem has been solved. (iii) A summary of the cost of operating and maintaining the facility. (iv) Description of any maintenance or operational problems associated with the facility. (v) Demonstration that the project is and has been in compliance with all applicable State and Federal environmental laws and regulations. (vi) The number of jobs created. (vii) A description on the status of the projects feedstock including, but not limited to, the feedstock being used, outstanding feedstock contracts, feedstock changes and interruptions, and quality of the feedstock. The lender must submit to the Agency quarterly financial statements within 45 days of the end of each quarter. Cash reports are not applicable. Lenders must forward periodic financial statements and progress reports. Expenditure reports are required as outlined below and in Loan Agreement and program Regulations.

The lender may make additional expenditures or new loans to a borrower with an outstanding loan guaranteed with prior written Agency approval. The

Agency will only approve additional expenditures or new loans to the extent such actions where the expenditure or loan will not violate one or more of the loan covenants of the borrowers loan agreement. In all instances, the lender must notify the Agency when they make any additional expenditures or new loans. In all cases, any additional expenditure or loan made by the lender must be junior in priority to the loan guaranteed hereunder. Performance monitoring is required as outlined below and in Loan Agreement and program Regulations.

Once the project has been constructed, the lender must provide the Agency periodic reports from the borrower commencing the first full calendar year following the year in which project construction was completed and continuing for the life of the guaranteed loan. The borrowers reports will include, but not be limited to, the information specified in the following paragraphs, as applicable.

- (i) The actual amount of advanced biofuels produced to assess whether project goals are being met.
  - (ii) If applicable, documentation that identified health and/or sanitation problem has been solved.
  - (iii) A summary of the cost of operating and maintaining the facility.
  - (iv) Description of any maintenance or operational problems associated with the facility.
  - (v) Demonstration that the project is and has been in compliance with all applicable State and Federal environmental laws and regulations.
  - (vi) The number of jobs created.
  - (vii) A description on the status of the projects feedstock including, but not limited to, the feedstock being used, outstanding feedstock contracts, feedstock changes and interruptions, and quality of the feedstock.
- The lender must submit to the Agency quarterly financial statements within 45 days of the end of each quarter.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The lender must forward a copy of the borrowers annual audited financial statements within 120 days of the end of the borrowers fiscal year.

**Records:**

The borrower must permit representatives of the Agency (or other agencies of the U.S.) to inspect and make copies of any records pertaining to any Agency guaranteed loan during regular office hours of the borrower or at any other time upon agreement between the borrower and the Agency, as appropriate.

**Account Identification:**

12-3106-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$159,500,000; FY 11 est \$255,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Maximum loan guarantee cannot exceed \$250 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The projects Funded in FY2010 generated 527 million kWh of renewable energy and redeemed 523,000 metric tons of CO2. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See solicitation for details

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Tony Ashby Department of Agriculture, Rural Development, Business Programs, Energy Branch, 1400 Independence Avenue, SW., MS3225, Washington, District of Columbia 20250 Email: Anthony.Ashby@wdc.usda.gov Phone: (202) 720-0661

**Website Address:**

[http:// www.rurdev.usda.gov](http://www.rurdev.usda.gov)

**RELATED PROGRAMS:**

10.866 Repowering Assistance ; 10.867 Bioenergy Program for Advanced Biofuels

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants must meet all requirements identified in the Notice of Funding Availability.

**10.866 REPOWERING ASSISTANCE**

Section 9004 Repowering Assistance

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Section 9004.

**OBJECTIVES:**

Payments to eligible biorefineries to encourage the use of renewable biomass as a replacement fuel source for fossil fuels used to provide process heat or power in the operation of these eligible biorefineries.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The purpose of this program is to provide financial incentives to biorefineries in existence on June 18, 2008 to replace the use of fossil fuels used to produce heat or power at their facilities by installing new systems that use renewable biomass, or to produce new energy from renewable biomass.

**Applicant Eligibility:**

Biorefinery. A facility (including equipment and processes) that converts renewable biomass into biofuels and biobased products, and may produce electricity. Eligible biorefinery. A producer, whose primary production is liquid transportation biofuels, that meets all requirements of this program. The biorefinery must have been in existence on or before June 18, 2008.

**Beneficiary Eligibility:**

Historical information on the fuel source for fossil fuels used to provide process heat or power and the amount of energy to be replaced with renewable biomass.

**Credentials/Documentation:**

1. Application for participation in the program.
2. Feasibility Study for the renewable biomass system.
3. Historical records for energy use. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit a feasibility study by an independent qualified consultant, which has no financial interest in the biorefinery, and demonstrates that the renewable biomass system of the biorefinery is feasible, taking into account the economic, technical and environmental aspects of the system.

**Award Procedure:**

Applications will be scored and payments will be made based of how well applicants score in relation to other applicant within the funding cycle. Payments will be made after construction and commissioning.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval is subject to the completion of all requirements identified by the Agency.

**Appeals:**

An applicant may have review rights or appeal rights in accordance with 7 CFR

part 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The Statute allows \$15 million of additional Discretionary Funds for the life of the program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Duration of the Farm Bill. See the following for information on how assistance is awarded/released: Requests for funds have to be made within three years.

No payments are made prior to completion and commissioning of the projects.

An applicant who is awarded payments under the program has five years from the fiscal year in which an award is made to process payments.

**Reports:**

The form is Form RD 90042. Cash reports are not applicable. Applicant must submit reports that document the production of renewable energy.

RD Form RD 90042. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

12-1980-0-1-451.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 09 \$0; FY 10 est \$0; and FY 11 est \$0 - Program is not currently funded. However funding is expected in the near future.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Fred Petok United States Department of Agriculture  
Rural Development, Energy Division  
1400 Independence Avenue, SW., Stop 3225

, Washington, District of Columbia 20250-3225 Email:  
fred.petok@wdc.usda.gov Phone: 202-690-0784

**Website Address:**

<http://www.rurdev.usda.gov/Energy.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.867 BIOENERGY PROGRAM FOR ADVANCED BIOFUELS**

ADVANCED BIOFUEL PAYMENTS PROGRAM

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Title IX, Section 9005, Title IX,

Section 9005.

**OBJECTIVES:**

The purpose of this subpart is to support and ensure an expanding production of advanced biofuels by providing payments to eligible advanced biofuel producers.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

The purpose of this program is to support and ensure an expanding production of Advanced Biofuels by providing payments to Eligible Advanced Biofuel Producers and promote sustainable economic development in rural America, but is an important part of achieving increased biofuel production and use by providing economic incentives for the production of advanced biofuels. Producers must produce advance biofuel from other than corn keanel starch. The Statute allows \$25 million of Discretionary Funds.

**Applicant Eligibility:**

Advance Biofuel Producer. An individual, corporation, company, foundation, association, labor company, group of organizations, or non-profit entity that blends or otherwise combines advanced biofuels into a blended biofuel is not considered an advanced biofuel producer under this Program.

**Beneficiary Eligibility:**

The biofuel must meet the definition of advanced biofuel, be a solid, liquid, or gaseous advanced biofuel, be a final product; and if the biofuel is used on-site, there must be an Agency-approved system to verify the quantity of biofuel used on-site. Fuel must be derived from renewable biomass other than corn kernel starch.

**Credentials/Documentation:**

1. Application for participation in the program.
2. Certifications for quality of advance biofuel.
3. Historical production records. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is not subject to the Environmental Assessment or Executive 12372.

**Award Procedure:**

1. Application for participation in the program.
2. Sign a contract with the Agency.
3. Submit a quarterly request for payment under the program with documentation of production.
4. Convert production to BTU values,
5. Award funding based on requests received and production for each producer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

No date range has been identified for this program.

**Appeals:**

An applicant may seek a review of an Agency decision or appeal to the National Appeals Division in accordance with 7 CFR Part 11 of this title.

**Renewals:**

The program will be available until the end of Farm Bill.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. There are no matching requirements under this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A Notice will be published each year identifying when to apply for payments. If the application is not received within that period, the producer cannot participate in the program for that year. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

No records submittal required after payment is made. Documentation is required prior to payment.

**Account Identification:**

12-1908-0-1-451.

**Obligations:**

(Salaries) FY 10 \$80,000,000; FY 11 est \$85,000,000; and FY 12 Estimate Not Available - Awards are based on requests received and production for each producer. Examples of producers who are eligible are biodiesel facility producing advanced biofuel from canola oil, greases, and soybean oil. Ethanol facility that uses milo or sorghum, anaerobic digester on a farm that uses animal waste to produce electricity and wood pellets.

**Range and Average of Financial Assistance:**

Awards are based on requests received and production for each producer.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Approximately 250. Fiscal Year 2011: Approximately 300. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The first year of the program have been administered using Notices published in the Federal Register.

**Regional or Local Office:**

None. Rural Development State Energy Coordinators.

**Headquarters Office:**

Diane Berger, Department of Agriculture, Rural Development, Energy Division, 1400 Independence Avenue, SW, Washington, District of Columbia 20250 Email: Diane.Berger@wdc.usda.gov Phone: (202) 260-1508.

**Website Address:**

<http://www.rurdev.usda.gov/Energy.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.868 RURAL ENERGY FOR AMERICA PROGRAM**

Rural Energy for America Program (REAP)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Title IX, Section 9007 Public Law version 6124 of the Farm Bill.

**OBJECTIVES:**

(1) Provision of grants and loan guarantees to farmers, ranchers (agricultural producers) and rural small businesses to promote energy efficiency improvements and renewable energy systems development in rural areas. The program provides grants of up to 25% of project costs and/or loan guarantees of up to 75% of project costs to purchase and install energy efficiency improvements and renewable energy systems. (2) Provision of grants to agricultural producers and rural small businesses to help fund up to 25% of the cost for a feasibility study for a renewable energy system. (3) Provision of

grants to government entities, educational institutions, rural electric cooperatives and public power entities to assist with the cost of performing energy audits and renewable energy development assistance for agricultural producers and rural small businesses. (Recipients of energy audits or renewable energy development assistance must pay at least 25% of the cost of the service).

**TYPES OF ASSISTANCE:**

Loan Guarantees/Grants

**USES AND USE RESTRICTIONS:**

For renewable energy systems and energy efficiency improvements, the amount of a grant shall not exceed 25 percent of eligible project costs. The maximum amount of combined grant and loan made or guaranteed shall not exceed 75 percent of eligible project costs. For a feasibility study, the amount of a grant shall not exceed 25 percent of the costs of the study. For Energy Audit and Renewable Energy Assistance, the recipient must pay 25% of the cost of the service. For renewable energy systems and energy efficiency improvements, the amount of a grant shall not exceed 25 percent of eligible project costs. The maximum amount of combined grant and loan made or guaranteed shall not exceed 75 percent of eligible project costs. For a feasibility study, the amount of a grant shall not exceed 25 percent of the costs of the study. For Energy Audit and Renewable Energy Assistance, the recipient must pay 25% of the cost of the service. \$164,000,000 in 2010, \$45,000,000 in 2011. see solicitation for details.

**Applicant Eligibility:**

To be eligible for renewable energy systems or energy efficiency improvement assistance, an applicant must be an agricultural producer or small business located in a rural area. Individual applicants must be citizens of the United States (U.S.) or reside in the U.S. after being legally admitted for permanent residence. The applicant or owner must not have an outstanding judgment, delinquent on any Federal debt or debarred from receiving Federal assistance. Under the Energy Audit and Renewable Energy Development Assistance programs eligible applicants include governmental entities, educational institutions, rural electric cooperatives and public power entities.

**Beneficiary Eligibility:**

Farmers, ranchers and rural small businesses.

**Credentials/Documentation:**

For applicants seeking renewable energy systems or energy efficiency improvement assistance: Agricultural Producers must be directly engaged in the production of agricultural products, including crops, livestock, forestry products, hydroponics, nursery stock, or aquaculture, whereby 50 percent or greater of their gross income is derived from the operations. A small business must meet the Small Business Administration's Business Size Standards including all parent, affiliate, or subsidiary entities at other locations. For the Energy Audit and Renewable Energy Development Assistance Program the entity applying must have experience in providing this service to qualify for the grant. All other application requirements and competitive benchmarks must be met in accordance with published Notices. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants for Renewable Energy Systems and Energy Efficiency Improvement assistance must submit a complete application to the Rural Energy Coordinator in their respective State. A complete application includes standards forms 424, 424C and 424D plus Rural Development forms, feasibility studies, energy audits, environmental assessment (form RD 1940-20), and written technical requirements as published in Notices of Funding Availability (NOFA). Applicants for Energy Audit and Renewable Energy Development Assistance must meet requirements of the NOFA published annually.

**Award Procedure:**

For the Renewable Energy Systems and Energy Efficiency Improvement program, Rural Development (RD) State Office personnel will review all

applications. Ineligible and incomplete applications may be returned to the applicant and not evaluated further. RD State Offices will score applications based on published evaluation criteria. A second review and nationwide ranking will be conducted by the RD National Office. Funding recommendations will be forwarded to the Administrator, Rural Business and Cooperative Service for final awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 180 days after the application is filed with RBS dependent on the number of funding cycles offered per year.

**Appeals:**

Adverse actions made on applications are appealable. pursuant to 7 CFR part 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: For Renewable Energy Systems and Energy Efficiency Improvement assistance: The applicant must provide at least 75 percent of leveraged funds if the request is for grant only funds. For a combination grant and loan guarantee and loan guarantee only, the applicant must provide at least 25 percent of leveraged funds. In-kind contributions and other Federal grants may not be used to meet the 75 percent requirement for the grant. For Energy Audit and Renewable Energy Development Assistance: The recipient of the energy audit or renewable energy development assistance must pay at least 25% of the cost of the service. For feasibility studies the applicant must provide at least 75 percent of the funds required to complete the audit.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For Renewable Energy Systems and Energy Efficiency Improvement assistance: Grant funds will be provided on a reimbursement basis. Guarantees on loan will be provided once the project is complete and operational. Project should typically be completed within two year from the awarding. Method of awarding/releasing assistance: quarterly.

**Reports:**

For Renewable Energy Systems and Energy Efficiency Improvement assistance: A financial status report and a project performance report will be required on a quarterly basis (due 30 working days after end of the quarter). Grantees and Guaranteed Borrowers shall constantly monitor performance to ensure that time schedules are being met and projected goals by time periods are being accomplished. Once the project is completed annual reports will be required. For renewable energy system projects, these reports are to be provided commencing in the first full calendar year after construction is completed and continuing for 3 full years. For energy efficiency improvement projects, these reports are to be provided commencing the first full calendar year following the year in which project construction was completed and continuing for 2 full years. For Renewable Energy Systems and Energy Efficiency Improvement assistance: A financial status report and a project performance report will be required on a quarterly basis (due 30 working days after end of the quarter). Grantees and Guaranteed Borrowers shall constantly monitor performance to ensure that time schedules are being met and projected goals by time periods are being accomplished. Once the project is completed annual reports will be required. For renewable energy system projects, these reports are to be provided commencing in the first full calendar year after construction is completed and continuing for 3 full years. For energy efficiency improvement projects, these reports are to be provided commencing the first full calendar year following the year in which project construction was completed and continuing for 2 full years. For Renewable Energy Systems and Energy Efficiency Improvement assistance: A financial status report and a project performance report will be required on a quarterly basis (due 30 working days after end of the quarter). Grantees and Guaranteed Borrowers shall constantly monitor performance to ensure that time schedules are being met and projected goals by time periods



are being accomplished. Once the project is completed annual reports will be required. For renewable energy system projects, these reports are to be provided commencing in the first full calendar year after construction is completed and continuing for 3 full years. For energy efficiency improvement projects, these reports are to be provided commencing the first full calendar year following the year in which project construction was completed and continuing for 2 full years. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Accounting records prepared in accordance with generally accepted accounting principles (GAAP) or financial statement in a format typically accepted by a commercial agricultural lender and supported by source documentation will be required for financial statements. For Energy Audit and Renewable Energy Development Assistance: To Be Determined. For Feasibility Study projects, To Be Determined

**Records:**

For Renewable Energy Systems and Energy Efficiency Improvement assistance applicant will provide a financial management system in accordance with 7 CFR Part 3015. The applicant will also retain financial records, supporting documents, statistical records, and other records pertinent to the award for a period of at least three years after final disbursement, except that the records shall be retained beyond the three-year period if audit findings have not been resolved.

**Account Identification:**

12-1908-0-1-451.

**Obligations:**

(Loan Guarantees/Grants) FY 10 \$156,325,480; FY 11 est \$112,726,429; and FY 12 est \$109,000,000

**Range and Average of Financial Assistance:**

Grant Range \$2,500 to \$500,000; Average \$45,000 Guaranteed Loan Range \$5,000 to \$25,000,000; Average \$85,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notice of Funds Availability will be published in the Federal Register each fiscal year. Application, construction and serving requirements are outlined in 7 CFR 4280-B.

**Regional or Local Office:**

None. For general information, write to:  
US Department of Agriculture, Rural Development, Specialty Lenders Division, MS 3225, 1400 Independence Avenue, SW, Washington, DC, 20250, or telephone 202-720-1400. For specific information, contact the RD State Energy Coordinator in your respective state. Names and contact information are published annually in the Federal Register and are available at [www.usda.gov](http://www.usda.gov).

**Headquarters Office:**

Energy Division MS 3225, 1400 Independence Avenue, SW, Washington, District of Columbia 20250 Phone: 202-720-1400

**Website Address:**

<http://www.rurdev.usda.gov/rbs/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

1) a \$20,000 grant for the purchase and installation of a small solar system. (2)

a \$224,000 grant for the purchase of a large wind turbine. (3) a \$50,000 grant to make energy efficiency improvements by replacing an old inefficient grain dryer. (4) a \$171,386 grant for an anaerobic digester.

**10.870 RURAL MICROENTREPRENEUR ASSISTANCE PROGRAM**

Rural Microentrepreneur Assistance Program (RMAP)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008 of the Farm Bill, Title VI, Section 6022.

**OBJECTIVES:**

Provide rural microentrepreneurs with the skills necessary to establish new rural microenterprises and to provide continuing technical and financial assistance related to the successful operation of rural microenterprises. (1) Make direct loans to Microenterprise Development Organizations (MDO), which may be a non-profit entity, Indian Tribe or public institution of higher education for the purpose of capitalizing microloan revolving funds to provide fixed interest rate business loans of the lesser of \$50,000 or 20 percent of the amount loaned to an MDO for startup and growing rural microenterprises. The maximum loan amount an MDO may borrow under this program will not exceed \$500,000. (2) Make grants to MDOs to support rural microenterprise development. These grants are known as operational enhancement activities or services grants. These grants will be used to seek training and other enhancement services to strengthen their own organizations. These grants will not exceed \$25,000 or 10 percent of available funding, whichever is less in any given year. (3) Any MDO that receives a loan under this program is eligible for a grant to assist microentrepreneurs who have received or are seeking a microloan from an MDO. These grants are known as technical assistance (TA) grants and may be used by an MDO to provide marketing, management, and other technical assistance to microentrepreneurs. TA grants will provide assistance specifically tailored to the needs of one or more microentrepreneurs.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants

**USES AND USE RESTRICTIONS:**

Loans to MDO's for the purpose of capitalizing microloan revolving funds to provide fixed interest rate business loans of \$50,000 or less to microentrepreneurs as defined for startup and growing rural microenterprises. The maximum loan amount an MDO may borrow under this program will not exceed \$500,000.

Grants will be used to provide training, operational support, business planning, market development assistance, other related services to rural microentrepreneurs, and to fund other such appropriate projects and activities. A 10 percent non-federal cash match will be required against any technical assistance grant awarded. A 15 percent match will also be required which may be in the form of non-federal cash, in-kind goods, services, or indirect costs. These two sets of matching contribution will be combined for a total matching requirement of 25 percent of the grant amount.

Any MDO that receives a loan under this program is eligible for a grant to assist microentrepreneurs who have received or are seeking a microloan from an MDO. These grants are known as technical assistance (TA) grants and may be used by an MDO to provide marketing, management, and other technical assistance to microentrepreneurs. TA grants will provide assistance specifically tailored to the needs of one or more microentrepreneurs. TA grants will be not more than the lesser of 25 percent of the total outstanding balance of microloans or \$100,000. A 10 percent non-federal cash match will be required against any technical assistance grant awarded. A 15 percent match will also be required which may be in the form of non-federal cash, in-kind goods, services, or indirect costs. These two sets of matching contribution will be combined for a total matching requirement of 25 percent of the grant amount. TA grants will be in an amount equal to not more than the lesser of 25 percent of the total outstanding balance of microloans or \$100,000. The term of a loan made to an MDO will not exceed 20 years. The interest rate to an MDO will be at a minimum 1 percent and may adjust, after the 2-year deferral, depending on the

performance of the MDO as published in the anticipated Final Rule. The Grant Agreement will be effective until such time the purpose of the grant is fulfilled.

**Applicant Eligibility:**

To be eligible to apply for Microlender status under the Rural Microentrepreneur Assistance Program, an applicant must be a non-profit entity, an Indian tribe, or a public institution of higher education. Applicants must be at least 51 percent controlled by persons who are either (i) citizens of the United States, the Republic of Palau, the Federated States of Micronesia, the Republic of the Marshall Islands, or American Samoa; or (ii) legally admitted permanent residents residing in the U.S. The applicant or owner must not have an outstanding judgment, be delinquent on any Federal debt or debarred from receiving Federal assistance.

**Beneficiary Eligibility:**

Microentrepreneur is defined as an owner and operator, or prospective owner and operator, of a rural microenterprise who is unable to obtain sufficient training, technical assistance, or as determined by the Secretary. All microentrepreneurs must be located in a rural area.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant Non-Profit organizations must submit a complete application to the USDA as called for in the final rule, which is planned for publication early in 2010. It is anticipated that the requirement will include Standard Forms 424, 424A and 424B plus program specific requirements as stated in the final rule.

**Award Procedure:**

For the Rural Microentrepreneur Assistance Program, Rural Development (RD) personnel will review, score, and rank applications. It is anticipated that this will take place on a quarterly basis based on published evaluation criteria. Funding recommendations will be forwarded to the Administrator, Rural Business and Cooperative Service for final awards. The National Office will transfer funds to the appropriate State office for obligation of successful awards. Unsuccessful applicants will be notified.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Adverse actions made on applications from MDO's are appealable pursuant to 7 CFR part 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. A 10 percent non-federal cash match will be required against any technical assistance grant awarded. A 15 percent match will also be required which may be in the form of non-federal cash, in-kind goods, services, or indirect costs. These two sets of matching contribution will be combined for a total matching requirement of 25 percent of the grant amount.

A five percent (5%) match is required against any loan awarded, which will be used to establish a loan loss reserve fund. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For the Rural Microentrepreneur Assistance Program: Grant funds will be

provided on a reimbursement basis. MDOs must make one or more microloans within 30 days of any disbursement it receives. MDOs may receive additional disbursements no more than quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

Reporting requirements include quarterly reporting that provides information required by the Secretary to ensure that funds provided are being used for the purposes for which the loans and/or grants were made. Cash reports are not applicable. As part of the reporting, MDOs will be required to provide evidence that the sum of the unexpended amount in the Rural Microentrepreneur Revolving Fund, plus the amount in the Loan Loss Reserve Fund, plus debt owed by the microborrowers is equal to a minimum of 105% of the amount owed by the MDO to the Agency. Expenditure reports are not applicable. Reporting requirements include quarterly reporting that provides information required by the Secretary to ensure that funds provided are being used for the purposes for which the loans and/or grants were made.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Accounting records are to be prepared by or on behalf of borrowers and grantees in accordance with generally accepted accounting principles (GAAP) or audited financial statements. Source documentation will be required for financial statements.

**Records:**

Participating MDOs will be required to maintain loan portfolio and training records, to the extent that the Agency may conduct inspections and audits as needed.

**Account Identification:**

03-1334-8-5-000 - Not Available at This Time.

**Obligations:**

(Direct Loans) FY 10 \$31,628,349; FY 11 est \$6,342,647; and FY 12 Estimate Not Available(Exp: No budget information provided ) -

**Range and Average of Financial Assistance:**

Range of financial assistance is outlined in the Notice of Funding Availability published in the federal register, however prior loans has ranged from \$131,250 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulatory guidelines (7 CFR Part 4280 subpart D), Notice of Solicitation of Applications, or Notice of Funds Availability will be published in the Federal Register each fiscal year. Application and servicing requirements will be outlined in applicable RD Instruction 4280-D once fully promulgated.

**Regional or Local Office:**

See Regional Agency Offices. Please contact your local State Office. For general information, write to: US Department of Agriculture, Rural Development, Specialty Programs Division, MS 3225, 1400 Independence Avenue, SW, Washington, DC, 20250, or telephone 202-720-1400.

Regional or Local Office and phone numbers of the contacts for each State. Names and contact information are published annually in the Federal Register and are available at [www.usda.gov](http://www.usda.gov).

**Headquarters Office:**

Lori Washington 1400 Independence Avenue, SW, Washington, District of Columbia 20250 Email: [Lori.Washington@wdc.usda.gov](mailto:Lori.Washington@wdc.usda.gov) Phone: 202-720-1400

**Website Address:**

<http://www.usda.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Agates LLC, Risak Pottery, and BK Wholesale LLC. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.874 DELTA HEALTH CARE SERVICES GRANT PROGRAM**

Delta Health Care Services

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act of 1972, Public Law 92-419, 7 U.S.C 1921.

**OBJECTIVES:**

The Delta Health Care Services Grant Program is designed to provide financial assistance to address the continued unmet health needs in the Delta Region through cooperation among health care professionals, institutions of higher education, research institutions, and other individuals and entities in the Delta Region. Grant funds may be utilized for the development of health care services; health education programs; health care job training programs; and for the development and expansion of public health-related facilities in the Delta Region. Grants will be awarded to eligible entities in the Delta Region serving communities of no more than 50,000 inhabitants to help to address the long standing and unmet health needs of the region.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grant funds may be used to finance any of the following:

- a. Develop health care services;
- b. Develop health education programs;
- c. Develop health care job training programs;
- d. Develop and expand public health-related facilities in the Delta Region to address longstanding and unmet health needs of the region. To be eligible for a grant; the project must serve a rural area in the Delta Region, as defined in the NOFA. RUS is making \$3,000,000 available for competitive grants in the Delta Region. The minimum grant amount is \$50,000.

**Applicant Eligibility:**

Applicants must be a Consortium  
Consortium means a combination or group of regional institutions of higher education, academic health and research institutes, and economic development entities located in the Delta Region that have experience in addressing the health care issues in the region.

Delta Region means the 252 counties and parishes within the states of Alabama, Arkansas, Illinois, Kentucky, Louisiana, Mississippi, Missouri, and Tennessee that are served by the Delta Regional Authority. (The Delta Region may be adjusted by future Federal statute.).

**Beneficiary Eligibility:**

At least one member of the Consortium must be legally organized as an incorporated organization, or other legal entity, and have legal authority to contract with the Government. Individuals are not eligible for Delta Health Care Services Grant Program financial assistance directly.  
At least one member of the Consortium must have legal capacity and authority to carry out the purposes of the projects in its application, and to enter into contracts and to otherwise comply with applicable Federal statutes and regulations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

See NOFA Published in the Federal Register 4-4-11 and 7-12-11.

**Deadlines:**

Apr 04, 2011 to Aug 11, 2011

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically funds must be utilized within 3 years of the date of the award. See the following for information on how assistance is awarded/released: RUS recognizes that each funded project is unique, and therefore may attach conditions to different projects award documents. The Agency generally notifies applicants whose projects are selected for awards by faxing an award letter. The Agency follows the award letter with a grant agreement that contains all the terms and conditions for the grant. An applicant must execute and return the grant agreement, accompanied by any additional items required by the grant agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. The applicant must have the necessary processes and systems in place to comply with the reporting requirements for first-tier sub-awards and executive compensation under the Federal Funding Accountability and Transparency Act of 2006 in the event the applicant receives funding unless such applicant is exempt from such reporting requirements pursuant to 2 CFR part 170, 170.110(b). All recipients of Delta Health Care Services Grant Program financial assistance must provide annual performance activity reports to RUS until the project is complete and the funds are expended. A final performance report is also required; the final report may serve as the last annual report. The final report must include an evaluation of the success of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$0; FY 11 est \$3,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

RUS is making \$3,000,000 available for competitive grants in the Delta Region. The minimum grant amount is \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Craig R. Wulf 1400 Independence Ave., SW  
Stop 1541, Washington, District of Columbia 20250-1550 Phone:  
202-720-8427 Fax: 202-720-2734

**Website Address:**

: [http://www.rurdev.usda.gov/utp\\_deltahealthcare.html](http://www.rurdev.usda.gov/utp_deltahealthcare.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

1. Grant applications are scored competitively and subject to the criteria listed below.
2. Grant application scoring criteria are detailed in the Delta Health Care Services Grant Application Guide. There are 100 points available, broken down as follows:
  - a. The Rurality of the Project area and communities served. (up to 40 points);
  - b. The Community Needs and Benefits Derived from the project. (up to 45 points); and
  - c. The Project Management and Organization capability. (up to 15 points).

**10.886 RURAL BROADBAND ACCESS LOANS AND LOAN GUARANTEES**

Rural Broadband Access Loans and Loan Guarantees

**FEDERAL AGENCY:**

Rural Development, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title VI; 7 U.S.C. 950bb.

**OBJECTIVES:**

To assure that people in eligible rural communities have access to broadband service comparable in reliability and quality to the rest of the Nation.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The agency published an Interim Final Rule modifying the program on March 14, 2011. The regulation is available at:  
<http://edocket.access.gpo.gov/2011/pdf/2011-5615.pdf>

Funds can be used for the costs of the construction, improvement, or acquisition of facilities and equipment for the provision of broadband service in rural areas. Additional restrictions may apply to projects depending on the availability of existing broadband service. A direct loan shall bear interest at an annual rate either (1) equivalent to the cost of borrowing to the Department of the Treasury for obligations of comparable maturity or (2) 4 percent. A guaranteed loan shall bear interest at an annual rate equivalent to the current applicable market rate for a loan of comparable maturity.

**Applicant Eligibility:**

- (a) To be eligible for a broadband loan, an applicant may be either a nonprofit or for-profit organization, and must take one of the following forms: (1) Corporation; (2) Limited liability company (LLC); (3) Cooperative or mutual organization; (4) Indian tribe or tribal organization as defined in 25 U.S.C. 450b; or (5) State or local government, including any agency, subdivision, or instrumentality thereof.
- (b) To be eligible for a broadband loan, the applicant must: (1) Submit a loan application which meets the requirements set forth the regulation; (2) Agree to complete the build-out of the broadband system described in the loan application within three years from the day the applicant is notified that loan funds are available. The loan application must demonstrate that all proposed construction be completed within this three year period with the exception of CPE. CPE can be funded throughout the forecast period; (3) Demonstrate an

ability to furnish, improve, or extend broadband facilities to provide service at the broadband lending speed in rural areas; (4) Demonstrate an equity position equal to at least 10 percent of the amount of the loan requested in the application; and (5) Provide additional security if it is necessary to ensure financial feasibility as determined by the Administrator.

An eligible entity that provides telecommunications or broadband service to at least 20 percent of the households in the United States may not receive a total amount of loans or guarantees for a fiscal year in excess of 15 percent of the funds authorized and appropriated for that fiscal year.

To be eligible for a broadband loan, an applicant may be either a nonprofit or for-profit organization, and must take one of the following forms: (1) corporation; (2) limited liability company (LLC); (3) cooperative or mutual organization; (4) Indian tribe or tribal organization as defined in 25 U.S.C. 450b; or (5) state or local government, including any agency, subdivision, or instrumentality thereof.

**Beneficiary Eligibility:**

Residents of eligible rural communities and others who may receive service as a result of service provided to a rural area.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must supply environmental impact information to determine whether an environmental impact assessment or an environmental impact statement will be required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. New regulations will implement the changes authorized by the 2008 Farm Bill. For information on submitting an application, please contact RUS and visit our website:  
[http://www.rurdev.usda.gov/utp\\_farmbill.html](http://www.rurdev.usda.gov/utp_farmbill.html)

**Award Procedure:**

Depending on the amount of the application, and loan committee(s) recommendation, the RUS Administrator or Assistant Administrator Telecommunications, makes the final decision on approval of the loan or loan guarantee. There must be a finding that the project is economically feasible, capable of delivering Broadband Service, and serves the purposes of the program. Borrowers and member of Congress are notified directly of the approval of a loan or loan guarantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

> 180 Days. Normal processing time is four to five months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: The loan application must demonstrate an equity position equal to at least 10 percent of the amount of the loan requested in the application.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Unless requested to be shorter by the applicant, broadband loans must be repaid with interest within a period that, rounded to the nearest whole year, is equal to the expected composite economic life of the assets to be financed, as determined by the Agency based upon acceptable depreciation rates. The borrower must begin construction within six months from the date the Agency notifies the applicant that loan funds are available. This is the final step in

closing the loan with the applicant. If the borrower fails to begin construction, the Agency may cancel the loan. The build-out must be complete within three years from the day the Agency notifies the applicant that loan funds are available. Build-out is considered complete when the network design has been fully implemented, the service operations and management systems infrastructure is operational, and the borrower is ready to support the activation and commissioning of individual customers to the new system. See the following for information on how assistance is awarded/released: New regulations will implement the changes authorized by the 2008 Farm Bill.

**Reports:**

RUS borrowers must submit to the Rural Utilities Service regularly scheduled operating reports showing financial condition and operating progress. No cash reports are required. No progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All other borrowers must have their books audited annually by a Certified Public Accountant. Information on audits is contained in 7 CFR Part 1773.

**Records:**

Not applicable.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Direct Loans) FY 10 \$0; FY 11 est \$81,251,469; and FY 12 est \$0 - Cost of Money Loans. (Direct Loans) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Four (4) Percent Loans. (Guaranteed/Insured Loans) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

The minimum loan amount is \$100,000. The maximum loan amount is \$100 million. The smallest loan approved to date is \$362,000; the largest, \$267,298,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1738 - Rural Broadband Access Loans and Loan Guarantees Notice of funds availability, Federal Register, March 4, 2005 (Volume 70, Number 42), Interim Final Rule, Federal Register, March 14, 2011 (Volume 76, Number 49), RUS Bulletin 1738-1: Rural Broadband Access Loan and Loan Guarantee Program Application Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service, 1400 Independence Avenue, S.W., STOP 1590, Washington, District of Columbia 20250 Phone: (202) 720-9554.

**Website Address:**

[http://www.rurdev.usda.gov/utp\\_farmbill.html](http://www.rurdev.usda.gov/utp_farmbill.html)

**RELATED PROGRAMS:**

10.851 Rural Telephone Loans and Loan Guarantees

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.901 RESOURCE CONSERVATION AND DEVELOPMENT**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food and Agriculture Act of 1962

, Public Law 87-703, 16 U.S.C 3451, as amended by Agricultural and Food Act of 1981, Title XV, Part H, Public Law 97-98, 95 Stat. 1213.

**OBJECTIVES:**

To encourage and improve the capability of State and local units of government and local nonprofit organizations in rural areas to plan, develop and carry out programs for resource conservation and development.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical assistance is available only to RC&D sponsors within areas authorized by the Secretary of Agriculture for assistance. Technical assistance is available for the planning and installation of approved projects specified in RC&D area plans, for land conservation, water management, community development and environmental enhancement elements.

**Applicant Eligibility:**

State and local governments and nonprofit organizations with authority to plan or carry out activities relating to resource use and development in multijurisdictional areas. This program is also available in Puerto Rico, the Virgin Islands, Guam and Mariana Islands.

**Beneficiary Eligibility:**

State and local governments and nonprofit organizations within areas designated as RC&D areas by the Secretary of Agriculture with authority to plan or carry out activities relating to resource use and development in multijurisdictional areas.

**Credentials/Documentation:**

Applicant agency(ies) and nonprofit organizations must document that application is made as a result of official action of the governing body. Applications are honored only from agencies for which applicant eligibility has been established. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Written application must be in the form suggested in the National Resource Conservation and Development Manual.

**Award Procedure:**

Details of the procedure are available from State and field offices of the Natural Resources Conservation Service.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Indeterminate. Authorization of applications is dependent upon the level of appropriations for the program each year.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: When financial assistance is available, local or State agencies must provide land rights needed for the installation of all projects.

RC&D grant assistance (up to 25 percent not to exceed \$50,000 of the total project cost) may be provided for a project. Local or State agencies generally must provide ten percent of the total cost and be responsible for any needed operation and maintenance. Loan assistance may be provided for the local share of project cost.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Periodic inspections and reports are required to insure that structural projects for which Federal financial assistance has been provided are being properly operated and maintained in accordance with agreements. No cash reports are required. Periodic inspections and reports are required to insure that structural projects for which Federal financial assistance has been provided are being properly operated and maintained in accordance with agreements. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Nonprofit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

None.

**Account Identification:**

12-1010-0-1-302.

**Obligations:**

(Salaries) FY 10 \$50,701,050; FY 11 est \$25,284,380; and FY 12 est \$1,288,300

**Range and Average of Financial Assistance:**

Not Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Assistance available from the Natural Resources Conservation Service," AIB-345; "Resource Conservation and Development Manual, 390 - V, Third Ed.

**Regional or Local Office:**

See Regional Agency Offices. State and field offices of the Natural Resources Conservation Service are listed in Appendix IV of the Catalog. For loans, contacts should be made with the Rural Development office serving the county in which the RC&D project is located.

**Headquarters Office:**

Dan Lawson Natural Resources Conservation Service, Department of Agriculture,  
1400 Independence Avenue, SW  
P.O. Box 2890 , Washington, District of Columbia 20013 Email:  
dan.lawson@wdc.usda.gov Phone: 202-720-1510

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.902 Soil and Water Conservation

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals for projects are judged on relevance of the project to the individual RC&D's area plan goals and objectives. Criteria for setting priorities are usually published in the RC&D area plan or are available from the local sponsors of the RC&D area. Proposals for projects should be submitted to the local USDA designated RC&D area. If an area does not exist, contact the field or state office of the Natural Resources Conservation Service.

**10.902 SOIL AND WATER CONSERVATION**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act  
, Public Law 74-76, Stat. , 16 U.S.C 590 a-f.

**OBJECTIVES:**

Provide conservation technical assistance to private landowners, conservation districts, tribes, and other organizations through a national network of locally-respected, technically-skilled, professional conservationists and assist them in conserving, improving and sustaining our natural resources and environment.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical assistance to the general public in planning and applying natural resource conservation practices, systems, and treatment; and furnishing technical natural resource conservation information to State and local governments. Technical assistance to decision-makers on lands in agriculture, forestry and related uses for planning and applying natural resource conservation practices, systems, and treatment; and furnishing technical natural resource conservation information to State and local governments.

**Applicant Eligibility:**

The CTA Program is delivered to private individuals, groups of decision makers, tribes, units of governments, and non-governmental organizations in all 50 States, the District of Columbia, Puerto Rico, U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, the Republic of Palau, and the Marshall Islands.

**Beneficiary Eligibility:**

General public, State governments, and local governments.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the local Natural Resources Conservation Service office in nearly all counties. Preapplication coordination of this program is not required.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries) FY 10 \$768,911,359; FY 11 est \$755,573,084; and FY 12 est \$679,803,400

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Conquest of the Land," AIB99; "Soil Erosion by Water," AIB513; "Assistance Available from the Natural Resources Conservation Service," AIB345; "Controlling Erosion on Construction Sites," AIB347; "Community Improvement Through Resource Conservation and Development," PA1077; "Save Soil Systematically," PA1366. "List of Published Soil Surveys;" "Going Wild with Natural resource Conservation," PA1363; "Conversation Planning-You and Your Land," PA 1376, "Farming and Maintaining Terraces," LN570.

**Regional or Local Office:**

See Regional Agency Offices. State and local Natural Resources Conservation Service offices (see Appendix IV of the Catalog).

**Headquarters Office:**

Dan Lawson Department of Agriculture, Natural Resources Conservation Service,  
1400 Independence Ave SW  
P.O. Box 2890 , Washington, District of Columbia 20013 Email:  
dan.lawson@wdc.usda.gov Phone: 202-720-1510

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.500 Cooperative Extension Service; 10.901 Resource Conservation and Development; 10.903 Soil Survey; 10.904 Watershed Protection and Flood Prevention; 10.905 Plant Materials for Conservation; 10.907 Snow Survey and Water Supply Forecasting

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.903 SOIL SURVEY**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act , Public Law 74-46, 16 U.S.C 590 ; The Soil Information Assistance for Community Planning and Resource Development Act of 1966 , Public Law 89-560.

**OBJECTIVES:**

To produce and maintain up to date soil survey information (maps, data sets, soil interpretations, and reports) of the United States for widespread use by interested agencies, organizations, and individuals and to assist in the use of this information.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Scientists and policy makers use soil survey information in studying global climate change and evaluating the sustainability and environmental impacts of land use and management practices. Soil Surveys provide input data that computer simulation models use to predict the dynamics of carbon, nutrients, and water in soils. Soil surveys are used by planners, engineers, zoning commissions, tax commissions, homeowners, farmers, ranchers, developers, landowners, and operators to evaluate soil suitability for home sites, subdivisions, commercial and industrial sites, farms, wildlife and recreational areas, prime agricultural land, hydric soils, highly erodible lands, highways, and airports and to select and implement appropriate use and management of those soils.

**Applicant Eligibility:**

All individuals and groups that have a need for soil survey information can access it on the Web Soil Survey at [websoilsurvey.nrcs.usda.gov](http://websoilsurvey.nrcs.usda.gov) or by contacting the local Natural Resources Conservation Service Office.

**Beneficiary Eligibility:**

All individuals and groups that have a need for soil survey information are eligible to receive assistance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants may access the Web Soil Survey or request information from the local office of the Natural Resources Conservation Service, local Conservation Districts, Extension Service, the State Office of the Natural Resources Conservation Service, State Agricultural Experiment Station. Local units of government submit requests to State Conservationist, Natural Resources Conservation Service, see Appendix IV in the Catalog for addresses. Conservation District cooperators submit requests to their Conservation District board of supervisors.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Technical Assistance.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not Applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries) FY 10 \$95,201,977; FY 11 est \$96,060,500; and FY 12 est \$93,937,500

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"List of Published Soil Surveys;" "Know the Soil You Build On," AIB 320; "Know Your Soil," AIB 267; "Soil Surveys Can Help You," PA-1054. These publications are available from the Office of Public Affairs, NRCS-USDA, P.O. Box 2890, Washington, DC 20013, at no charge.

**Regional or Local Office:**

See Regional Agency Offices. State and local offices of the Natural Resources Conservation Service; see Appendix IV of the Catalog for addresses.

**Headquarters Office:**

Paul W. Benedict, USDA, Natural Resources Conservation Service, Soils Survey Division, 14th and Independence Ave., SW, Washington, District of Columbia 20250  
Email: Paul.Benedict@wdc.usda.gov Phone: (202) 720-1824 Fax: (202) 720-5493.

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.904 WATERSHED PROTECTION AND FLOOD PREVENTION**

(Watershed Program; Public Law 566 Operations Phase)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Watershed Protection and Flood Prevention Act, Public Law 83-566, 68 Stat. 666, as amended; Public Law 84-1018, 70 Stat. 1088; Public Law 85-865, 72 Stat. 1605; Public Law 86-468, 74 Stat. 131, 132; Public Law 86-545, 74 Stat. 254; Public Law 87-703, 76 Stat. 608; Public Law 90-361, 82 Stat. 250., as amended by Agriculture and Food Act of 1981, Public Law 97-98, 95 Stat. 1213, as amended by Food and Agriculture Act of 1962, Public Law 87-170, 75 Stat. 408, as amended by Food and Agriculture Act of 1977, Public Law 95-113, 91 Stat. 913, as amended by Food, Agriculture, Conservation, and Trade Act of 1990, Public Law 101-624, 104 Stat. 3359, as amended by Maximum Flood Detention Capacity of Watershed Project Structures, Public Law 89-337, 79 Stat. 1300, as amended by Fish and Wildlife Coordination Act, Public Law 85-624, 72 Stat. 563, as amended by Farm and Rural Development

Act

, Public Law 92-419, 86 Stat. 667, as amended by Water Resources Development Act of 1986

, Public Law 99-662, 100 Stat. 4196.

**OBJECTIVES:**

To provide technical and financial assistance in carrying out works of improvement to protect, develop, and utilize the land and water resources in watersheds.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical assistance is provided in designing, and installing watershed works of improvement. Financial assistance is provided for sharing costs of measures for watershed protection, flood prevention, agricultural water management, sedimentation control, public water based fish, wildlife, recreation; municipal and industrial water supply; and in extending long term credit to help local interests with their share of the costs. Watershed area must not exceed 250,000 acres. Capacity of a single structure is limited to 25,000 acre-feet of total capacity and 12,500 acre-feet of floodwater detention capacity.

**Applicant Eligibility:**

Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain, and operate watershed works of improvement may apply for assistance. This program is available in Puerto Rico, the Virgin Islands, Guam, American Samoa, the Mariana Islands and the Trust Territories of the Pacific Islands.

**Beneficiary Eligibility:**

Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain, and operate watershed works of improvement may apply for assistance. This program is available in Puerto Rico, Guam, American Samoa, the Mariana Islands, and the Trust Territories of the Pacific Islands.

**Credentials/Documentation:**

Applications must designate the proposed project area, be properly signed and attested to by all applicants, and set forth the need for the proposed project. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application forms and information are available in all NRCS offices and from designated State agencies.

**Award Procedure:**

Details of the procedure are available from the State and field offices of the Natural Resources Conservation Service.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Receipt of the application is acknowledged as soon as it is determined to be valid.

**Appeals:**

Not Applicable.

**Renewals:**



Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Formula and Matching Requirements (101): Technical and financial assistance under which program funds provide certain prescribed services and costs and a percentage of other costs on the basis of a contract vary according to purpose of the works of improvement. For example, for construction costs under the Act, program funds provide 100 percent for flood prevention; up to 50 percent of agricultural water management, public recreation and fish and wildlife purposes; and none of the costs for certain other nonagricultural water management purposes. All of the applicants' installation costs are eligible for program loans. Reimbursable advances are available for preservation of sites and future municipal water supply. Sponsors are required to obtain all land and water rights and permits prior to installation of project measures, and for operation and maintenance.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Continues until all works of improvement are installed or their installation is terminated by mutual agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual operation and maintenance inspection and report. Cash reports are not applicable. Annual operation and maintenance inspection and report. Expenditure reports are not applicable. Annual operation and maintenance inspection and report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records of operation and maintenance activities are maintained for the life of the project.

**Account Identification:**

12-1072-0-1-301.

**Obligations:**

(Salaries) FY 10 \$25,752,137; FY 11 est \$0; and FY 12 est \$0. (Salaries) FY 10 \$6,996,309; FY 11 est \$4,740,762; and FY 12 est \$5,500,000. (Cooperative Agreements (Discretionary Grants)) FY 10 \$78,042,183; FY 11 est \$0; and FY 12 est \$0. (Project Grants (Cooperative Agreements)) FY 10 \$16,654,648; FY 11 est \$3,735,992; and FY 12 est \$27,500,000

**Range and Average of Financial Assistance:**

(per State) \$0 to \$2,164,000; \$650,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"What is a Watershed," PA-420; "Flood Plain Management - Why We Need It," PA-1276; "Multiple- Purpose Watershed Projects," PA-575; and "Small Watershed Projects," PA- 1354.

**Regional or Local Office:**

See Regional Agency Offices. For list of NRCS State offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Idle Chavez Department of Agriculture, Natural Resources Conservation Service 1400 Independence Ave., SW , Washington, District of Columbia 20113 Email: Idle.Chavez@wdc.usda.gov Phone: 202-720-1510

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.664 Cooperative Forestry Assistance; 10.902 Soil and Water Conservation; 10.903 Soil Survey; 10.905 Plant Materials for Conservation; 10.907 Snow Survey and Water Supply Forecasting; 12.104 Flood Plain Management Services

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The watershed must meet the requirements of the law; (2) an approved watershed plan has been prepared; (3) the local sponsors should indicate willingness to carry out a watershed project; (4) the project has environmental, economic and social benefits that exceed the costs for a favorable benefit-cost ratio; and (5) no critical environmental issues exist.

**10.905 PLANT MATERIALS FOR CONSERVATION**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act , Public Law 74-46, 16 U.S.C 590a-f.

**OBJECTIVES:**

To assemble, evaluate, select, release, and introduce into commerce, and promote the use of new and improved plant materials for soil, water, and related resource conservation and environmental improvement programs. To develop technology for land management and restoration with plant materials. To transfer technology on plant materials.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Plant materials are used in all phases of the soil and water conservation program. This program emphasizes field testing to determine the plant's value and restoration techniques. It is limited to the properties of conservation cooperators properties in conjunction with soil conservation districts, State Agricultural Experiment Stations, State Crop Improvement Associations and other Federal and State agencies. The program also provides commercial seed growers with breeder and foundation quality seed or propagules through state Crop Improvement Associations or Foundations Seed Services. Other plants or seed are not provided to the general public. Large-scale production is conducted by cooperating commercial producers. Free plants, seed and/or grants are not available to nurseries or the public.

**Applicant Eligibility:**

Cooperating State and Federal agencies and cooperators of conservation districts where structured evaluations are conducted and commercial seed growers and nurserymen interested in the commercial production of selected plant materials. Applicants are also eligible in Puerto Rico and the Virgin Islands. The general public is not eligible to participate in this program.

**Beneficiary Eligibility:**

Cooperating State and Federal agencies and cooperators of conservation districts and commercial seed growers and nurserymen interested in the production of selected plant materials. Applicants are also eligible in Puerto Rico and the Virgin Islands.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Contact the local Natural Resources Conservation Service office.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Other - Not Specified.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries) FY 10 \$11,691,481; FY 11 est \$11,196,514; and FY 12 est \$9,770,700

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"National Plant Materials Manual" provides overall guidance on the operation, policy and procedures of the Plant Materials Program. Over 2,500 technical and informational documents on a wide variety of plant related topics may be found on the Programs Web site at: <http://plant-materials.nrcs.usda.gov>.

**Regional or Local Office:**

See Regional Agency Offices. NRCS State offices and field offices. See Appendix IV.

**Headquarters Office:**

John Englert, Ecological Sciences Division, Natural Resources Conservation Service, Department of Agriculture, 1400 Independence Ave., SW P.O. Box 2890, Washington, District of Columbia 20013 Email: [JohnEnglert@wdc.usda.gov](mailto:JohnEnglert@wdc.usda.gov) Phone: (202) 720-0536.

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.907 SNOW SURVEY AND WATER SUPPLY FORECASTING**

(Snow Surveys)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act , Public Law 74-76, 16 U.S.C 590 a-f.

**OBJECTIVES:**

To provide reliable, accurate and timely forecasts of surface water supply to water managers in the water users and water managers in the west. To efficiently obtain, manage, and disseminate high quality data and information on snow, water, climate, and hydrologic conditions. To provide climate data to support NRCS conservation planning tools.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

The information is used by the owners and operators of the 30,000,000 irrigated acres in the mountain States, and the far West; as well as help farm operators, rural communities, and municipalities which use the water supply forecasts to manage water resources. The data are also used in administering international and interstate river flow distribution contracts and agreements, and in the regulation of hundreds of small and large reservoirs for irrigation, flood control, power generation, recreation, industry, and municipal supplies. The data also provide soil moisture/temperature and climate data which supports drought assessments, flood assessment, fire hazard assessment, wildlife management and climate change research. Cooperators include other Federal agencies, State agencies, municipalities, irrigation districts, water associations and private utilities, and water management officials of Canada and Mexico.

**Applicant Eligibility:**

General public, including those located in the U.S. Territories.

**Beneficiary Eligibility:**

General public, including those located in the U.S. Territories.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Individuals can make requests for reports from NRCS Field and State offices that issued them, and from the NRCS National Water and Climate Center at Portland, OR.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries) FY 10 \$9,880,096; FY 11 est \$10,833,670; and FY 12 est \$9,409,400

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Snow Surveys, AIB 536.

**Regional or Local Office:**

See Regional Agency Offices. State and local offices of the Natural Resources Conservation Service in Alaska, Arizona, California, Colorado, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming, and the National Water & Climate Center, Portland, OR. See Appendix IV of the Catalog for addresses. California's Department of Water Resources, which coordinates and issues snow surveys for that State, and the British Columbia Department of Lands, Forests and Water Resources, supply data for the monthly west-wide summaries.

**Headquarters Office:**

Douglas Lawrance, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890 , Washington, District of Columbia 20013 Phone: (202) 720-4630.

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.912 ENVIRONMENTAL QUALITY INCENTIVES PROGRAM (EQIP)**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

The Food Security Act of 1985, Executive Order , Title XII, Part Subtitle D, Public Law 99- 198, 16 U.S.C 3830, as amended by Federal Agriculture Improvement and Reform Act of 1996 , Title III, Part Subtitle D, Section 334, Public Law 104-127, 110 Stat. 996, 16 U.S.C 3839aa, as amended by The Food, Conservation, and Energy Act of 2008

, Title II, Part Subtitle F, Section 2501, Public Law 110-234, 122 Stat. 1057, as amended by Farm Security and Rural Investment Act of 2002

, Title II, Part Subtitle D, Section 2301, Public Law 107-171, 116 Stat. 253.

**OBJECTIVES:**

Promotes agricultural production, forest management, and environmental quality as compatible national goals and optimizes environmental benefits on eligible land with farmers, ranchers, and non-industrial private forest land owners. It is a voluntary program using partnerships with local, State, Tribal and Federal agencies, producer associations, and nonprofit organizations to provide flexible technical and financial assistance to install and maintain conservation practices include those related to organic production, that sustain food and fiber production. The purpose of this program is achieved through the

implementation of structural, vegetative, and land management practices on eligible land. This program is funded through the Commodity Credit Corporation (CCC). NRCS provides overall program administration and management.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Technical assistance is provided for conservation planning, design and implementation of conservation practices for eligible participants. Financial assistance is provided for implementation of structural, and land management practices. Cost-share payments may be made to implement one or more eligible structural or vegetative practices. Incentive payments can be made to implement one or more land management practices. Sixty percent of the funding available for technical assistance, cost-share payments, incentive payments, shall be targeted at practices relating to livestock production.

**Applicant Eligibility:**

Agricultural producers who face serious threats to soil, water, and related natural resources, or who need assistance with complying with Federal and State environment laws. A participant may be an owner, landlord, operator, or tenant of eligible agricultural lands or non-industrial forestlands. Limited resource producers, small-scale producers, social disadvantaged individuals, Federally recognized Indian tribal governments, Alaska natives, and Pacific Islanders are encouraged to apply.

**Beneficiary Eligibility:**

To be eligible the agricultural producers must be in compliance with highly erodible land and wetland conservation provisions and in compliance with the Adjusted Gross Income (AGI) payment limitations.

**Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable conservation plan for the farm or ranch unit of concern that incorporates needed natural resource conservation practices and provide either a social security number or individual tax identification number of all proposed beneficiaries. Applicants claiming either limited resource producer or beginning farmer classification may be asked to provide documents to justify their claim. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Program participation is voluntary. The applicant applies at the local USDA Service Center on Form NRCS-CPA-1200. Applications may be filed at any time during the year. The participant develops an EQIP plan of operations that identifies what conservation practices they are proposing to implement. Technical assistance, and conservation payments may be provided to apply needed conservation practices and land use adjustments within a time schedule specified by the conservation EQIP plan of operations. A contract with a participant may apply one or more land management practices or one or more structural practices.

**Award Procedure:**

NRCS will give special consideration to applicants that address priority natural resource concerns designated. Applications will be periodically ranked and selected for funding based on locally developed ranking process. These criteria can be found at [http://www.nrcs.usda.gov/programs/eqip/EQIP\\_signup/2007%20EQIP%20Signup/2007\\_EQIP.html](http://www.nrcs.usda.gov/programs/eqip/EQIP_signup/2007%20EQIP%20Signup/2007_EQIP.html).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 10 to 60 days.

**Appeals:**

A participant may appeal any adverse determination to the State Conservationist.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 75%. Conservation practices may be eligible for conservation payments up to 75 percent of the total cost of establishing the practice including costs of foregone income. Limited resource producers, social disadvantaged producers and beginning farmers and ranchers may be eligible for payments up to 90 percent of the approved practice cost. This program has MOE requirements, see funding agency for further details. None.

**Length and Time Phasing of Assistance:**

A 2008 Farm Bill EQIP contract expires 1 year after the last planned practice is implemented but cannot be longer than 10 years. Obligations for assistance are tied to the schedule for applying conservation practices included in the EQIP plan of operations conservation plan used as the basis for the contract. Payments are made when the participant and NRCS certify that conservation practice is completed in accordance with NRCS standards and specifications. Technical assistance may be provided by a certified Technical Service Provider (TSP). The participant may not engage a TSP prior to contract approval. This assistance will be reimbursed based upon not-to-exceed rates. These payments will be made after the services of the certified TSP have been provided in accordance with NRCS standards and specifications. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Natural Resources Conservation Service makes periodic random reviews of the operation and maintenance of the contract items during the life span of the conservation practice. Participants are subject to audit by the Office of Inspector General, USDA.

**Records:**

Maintained in local NRCS office and Federal record centers for specified number of years.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 10 \$317,341,798; FY 11 est \$337,731,000; and FY 12 est \$384,107,600. (Direct Payments for Specified Use) FY 10 \$856,697,477; FY 11 est \$900,269,000; and FY 12 est \$1,023,892,400

**Range and Average of Financial Assistance:**

Conservation payments are limited to a maximum payment limitation of \$300,000 for the life of the 2008 Farm Bill. Average contract payments are estimated to be \$19,600.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1466. Program is announced through news media and in announcements to agricultural producers, farm and ranch owners and operators in the county. Program manuals, handbooks, and leaflets issued by NRCS.

**Regional or Local Office:**

See Regional Agency Offices. For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. For a list of NRCS State offices with telephone numbers and addresses, see appropriate Appendix IV of

the Catalog. Information is available on the internet at <http://www.nrcs.usda.gov/programs/eqip>.

**Headquarters Office:**

Mark Rose Financial Assistance Programs Division, Natural Resources Conservation Service, Department of Agriculture, PO Box 2890, Washington, District of Columbia 20113 Email: [Mark.Rose@wdc.usda.gov](mailto:Mark.Rose@wdc.usda.gov) Phone: 202-720-1844

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.901 Resource Conservation and Development; 10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be periodically ranked and selected for funding based on: the environmental benefits per dollar expended; the cost-effectiveness of the conservation practices; the environmental benefits derived; extent to which the contract will assist the applicant in complying with Federal, State, tribal or local environmental laws; whether the land is located in a priority area and the extent the contract will assist the priority area goals and objectives.

**10.913 FARM AND RANCH LANDS PROTECTION PROGRAM**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, Public Law 99-198, 16 U.S.C 3830, as amended by Federal Agriculture Improvement and Reform Act of 1996 , Title III, Part Subtitle H, Section 388, Public Law 110-127, 110 Stat. 1020, 16 U.S.C 3838h, as amended by The Food, Conservation, and Energy Act of 2008 , Title II, Part Subtitle E, Section 2401, Public Law 110-234, 122 Stat. 1048, as amended by Farm Security and Rural Investment Act of 2002 , Title II, Part Subtitle F, Section 2503, Public Law 107-171, 16 Stat. 267.

**OBJECTIVES:**

To provide funding to eligible entities to purchase conservation easements to limit conversion to non-agricultural uses of farm and ranch lands that contain prime, unique, or important soils; that contain historical and archaeological resources; or that support the policy of a state or local farmland protection program.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds are provided to purchase conservation easements in partnership with States, Tribes, or local government entities, or eligible nongovernmental organizations (eligible entities). The Federal share for any easement acquisition is limited to a maximum of 50 of the appraised fair market value of the conservation easement. A conservation plan is required for highly erodible lands enrolled under an FRPP easement. Conservation easements are perpetual easements. A right of enforcement is incorporated in the conservation easement deed for the protection of the Federal investment. A failure of title would require the eligible entity to reimburse the United States for the Federal share of the easement value.

**Applicant Eligibility:**

An eligible entities is any local or State agency, county or groups of counties, municipality, town or township, soil and water conservation district, or Indian tribe or tribal organization, that has a farmland protection program that purchases conservation easements for the purpose of protecting agricultural use and related conservation values by limiting conversion to non-agricultural uses of land, and that has pending offers may apply for funds. This program is available in all 50 States, Puerto Rico, the Virgin Islands, Guam, American Samoas, the Mariana Islands, and the Trust Territories of the Pacific Islands.

Individual landowners must apply through the local agency or organization that handles farmland protection program. This program is excluded from coverage under E.O. 12372.

**Beneficiary Eligibility:**

Landowners must be in compliance with the Wetland Compliance (WC) and Highly Erodible Land (HEL) provisions of the Farm Bill and met the Adjusted Gross Income (AGI) limitations in the Farm Bill.

**Credentials/Documentation:**

Entities must prove their eligibility by providing documents indicating their commitment to long-term conservation of agricultural lands through legal devices, such as right-to-farm laws, agricultural districts, zoning, or land use planning; uses of voluntary approaches to protect farmland from conversion to non-agricultural uses; and their capability to acquire, manage, and enforce conservation easements. Programs must have a systematic plan for acquiring conservation easements, have a proven commitment to agricultural land protection, and sufficient funds and staff to monitor and enforce conservation easements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Entities must submit an application form and supporting data for each parcel to the appropriate State Office of the Natural Resources Conservation Service (NRCS). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are accepted on a continuous basis by the State Offices of the Natural Resources Conservation Service (NRCS). The application form and supporting information required for the application are available from the State Offices of the (NRCS) and USDA NRCS home page.

**Award Procedure:**

NRCS State Offices will rank parcels individually and award funding to the highest-ranked parcels. NRCS State Offices will obligate funds to the eligible entities associated with the highest-ranked parcels.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Determined by each State Office of the Natural Resources Conservation Service (NRCS).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. Each eligible entity is required to contribute cash towards the conservation easement acquisition. The eligible entity must contribute a minimum of 25 percent of the purchase price of the easement (appraised fair market value minus the landowner donation). Each eligible entity is required to fund its own administrative costs in acquiring easements, such as appraisals, surveys, title searches, and costs incurred in managing and enforcing the easements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Easements must be closed within 18 months of the end of the fiscal year in which the cooperative agreement is signed. Federal funds must be disbursed within 2 to 5 years after signing the cooperative agreement. Technical assistance to maintain the conservation plan, however, is provided by NRCS through the life of the easement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual monitoring reports on the status of each easements acquired will be prepared by the eligible entity and submitted to the NRCS State Office. Fund disbursement reports are prepared by NRCS. Cash reports are not applicable.

Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records of easements acquired will be maintained for the life of the easements by the cooperating entity and NRCS.

**Account Identification:**

12-1004-0-1-302; 12-1804-0-1-302; 12-4336-0-1-302.

**Obligations:**

(Salaries) FY 10 \$5,854,108; FY 11 est \$8,273,000; and FY 12 est \$9,454,900. (Direct Payments for Specified Use) FY 10 \$144,041,755; FY 11 est \$166,727,000; and FY 12 est \$190,545,100

**Range and Average of Financial Assistance:**

\$2,700 to \$1,000,000 per landowner. Average: \$97,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Final Rule, Federal Register, Volume 74, Number 11, January 16, 2009  
Interim Final Rule, Correction, Federal Register, Volume 76, Number 126, July 2, 2009.

**Regional or Local Office:**

See Regional Agency Offices. For a list of NRCS State Offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Steve Parkin Department of Agriculture, Natural Resources Conservation Service  
Easement Programs Division  
14th and Independence Ave., SW.  
Room 6817-S  
P.O. Box 2890, Washington, District of Columbia 20013 Email:  
Steve.Parkin@wdc.usda.gov Phone: 202-720-1854 Fax: (202) 720-9689.

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.920 Grassland Reserve Program; 10.922 Healthy Forests Reserve Program (HFRP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting proposals are: the percent of prime, unique, and important farmland in the parcel to be protected; percent of cropland, pastureland, grassland, and rangeland in the parcel to be protected; ratio of the total acres of land in the parcel to be protected to average farm size in the county according to the most recent USDA Census of Agriculture; decrease in the percentage of acreage of farm and ranch land in the county in which the parcel is located between the last two USDA Censuses of Agriculture; percent population growth in the county as documented by the United States Census; population density (population per square mile) as documented by the most recent United States Census; proximity of the parcel to other protected land, such as military installations land owned in fee title by the United States or a State or local government, or by an entity whose purpose is to protect agricultural use and related conservation values, or land that is already subject to an easement or deed restriction that limits the conversion of the land to nonagricultural use; and the proximity of the parcel to other agricultural

operations and infrastructure.

#### **10.914 WILDLIFE HABITAT INCENTIVE PROGRAM**

(WHIP)

##### **FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

##### **AUTHORIZATION:**

Food Security Act of 1985

, Section 1244h, Public Law 99-198, 16 U.S.C 3831, as amended by Farm Security and Rural Investment Act of 2002

, Title II, Part Subtitle F, Section 2502, Public Law 107-171, 116 Stat. 264, 16 U.S.C 3839bb, as amended by Federal Agriculture Improvement and Reform Act of 1996

, Title III, Part Subtitle H, Section 387, Public Law 104-127, 110 Stat. 1020, 16 U.S.C 3836a, as amended by The Food, Conservation, and Energy Act of 2008

, Title II, Part Subtitle H, Section 2701g, Public Law 110-234, 122 Stat. 1072.

##### **OBJECTIVES:**

To help participants protect, restore, develop or enhance habitat for upland wildlife, wetland wildlife, threatened and endangered species, fisheries, and other types of wildlife.

##### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

##### **USES AND USE RESTRICTIONS:**

Technical assistance is provided to develop a WHIP Plan of Operation (WPO) for eligible participants. Cost-share payments may be made to implement fish and wildlife habitat conservation practices. Up to seventy-five percent cost-share is available from NRCS to reimburse participants for installing conservation practices beneficial to wildlife.

##### **Applicant Eligibility:**

Applicant must meet Highly Erodible Land and Wetland Conservation (HEL/WC) requirements, Adjusted Gross Income (AGI) requirements, verification that applicant will be in control of land for the duration of a contract. A participant may be an owner, landlord, operator, or tenant of eligible lands. Limited resource producers, small scale producers, producers of minority groups, Federally Recognized Indian Tribal Governments, Alaska natives, Pacific Islanders, State, county, or local government owned lands are encouraged to apply.

##### **Beneficiary Eligibility:**

A participant may be an owner, landlord, operator, or tenant of eligible lands. Limited resource producers, small-scale producers, producers of minority groups, Federally Recognized Indian Tribal Governments, Alaska natives, and Pacific Islanders are encouraged to apply.

##### **Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable Wildlife Habitat Development Plan for the land unit of concern that incorporates needed wildlife habitat conservation practices. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Program participation is voluntary. The applicant applies at the local USDA service center or found at <http://www.sc.gov.usda.gov> on Form NRCS-CPA-1200. Applications may be filed at any time during the year. The participant, With the Natural Resources Conservation Service develops a WPO for the land unit of concern. The participant's plan serves as the basis for the WHIP cost-share agreement. Technical assistance and cost-share payments may be provided to apply the needed wildlife habitat conservation practices within a time schedule specified by the plan. A participant may apply one or more wildlife habitat conservation practices in a cost-share agreement.

##### **Award Procedure:**

NRCS may designate a wildlife habitat type or a region of special wildlife habitat concern as a priority. The priorities are designated by the State Conservationist based on recommendations of local working groups which are convened by the local conservation district with recommendations from the State Technical Committee. NRCS will give special consideration to applicants who have WPOs that address wildlife habitat concerns consistent with National and state priorities. Applications will be ranked and selected for funding.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Not Applicable.

##### **Appeals:**

A participant may appeal any adverse determination to NRCS.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25.%. Installation of cost-share practices to develop wildlife habitat can be funded by cost-sharing up to 75 percent of the total cost of establishing the conservation practice by NRCS. Program participants or nonfederal partners provide the remaining 25 percent. Other conservation practices may be required to be installed without program payments.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

The WHIP cost-share agreement period is a minimum of 1 to 10 years.

Obligations for assistance are tied to the schedule for applying wildlife habitat conservation practices included in the WPO used as the basis for cost-share agreement. Payments are made when the participant and NRCS certify that a conservation practice is completed in accordance with the cost-share agreement. Method of awarding/releasing assistance: lump sum.

##### **Reports:**

No reports are required.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. NRCS makes periodic random reviews of the operation and maintenance of the cost-share agreement items during the life span of the conservation practice. Participants are subject to audit by the Office of Inspector General, USDA.

##### **Records:**

Maintained in the NRCS state office and Federal records centers for specified number of years.

##### **Account Identification:**

12-1004-0-1-302; 12-3322-0-1-302.

##### **Obligations:**

(Salaries) FY 10 \$20,324,124; FY 11 est \$23,592,000; and FY 12 est \$20,261,400. (Direct Payments for Specified Use) FY 10 \$62,602,140; FY 11 est \$61,408,000; and FY 12 est \$52,738,600

##### **Range and Average of Financial Assistance:**

Average contract payments are estimated to be \$4,500.

##### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 636. Program is announced through news media and in announcements to agricultural producers, farm and ranch owners and operators in the county. Program manuals, handbooks, and leaflets issued by NRCS and

FSA.

**Regional or Local Office:**

See Regional Agency Offices. For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. NRCS, FSA, and many local conservation districts are located in USDA service centers. For a list of NRCS State Office telephone numbers and addresses, see Appendix IV of the Catalog or visit the NRCS National Website at <http://offices.sc.egov.usda.gov/locator/app>.

**Headquarters Office:**

Albert Cerna, Department of Agriculture, Natural Resources Conservation Service, P.O. Box 2890, Attn: Director, Financial Assistance Programs Division, Washington, District of Columbia 20113 Email: [Albert.Cerna@wdc.usda.gov](mailto:Albert.Cerna@wdc.usda.gov) Phone: (202) 720-9358.

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.901 Resource Conservation and Development; 10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention; 10.912 Environmental Quality Incentives Program; 10.921 Conservation Security Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be ranked and selected for funding based on: The wildlife habitat benefits derived and the extent the cost-share agreement will assist in achieving the wildlife habitat priority goals and objectives in the area the land unit is located.

**10.916 WATERSHED REHABILITATION PROGRAM**

(Watershed Rehabilitation; PL-566 Watershed Program)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Watershed Protection and Flood Prevention Act, Public Law 83-566, 68 Stat. 666, as amended by Grain Standards and Warehouse Improvement Act of 2000, Title III, Section 313, Public Law 106-472, 114 Stat. 2077, 16 U.S.C 1012.

**OBJECTIVES:**

To provide technical and financial assistance to rehabilitate dams originally constructed with assistance of USDA Watershed Programs. Rehabilitation must extend the life of the dam and meet applicable safety and performance standards. Priority is given to dams that could result in loss of life if the dam should fail.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical assistance is provided in planning, designing, and implementing watershed rehabilitation works of improvement. Financial assistance is provided for sharing costs of measures for watershed rehabilitation projects. Watershed rehabilitation projects may include reconstruction or decommissioning of the dam and relocation or flood proofing of downstream property. Technical assistance is provided in planning, designing, and implementing watershed rehabilitation works of improvement. Financial assistance is provided for sharing costs of measures for watershed rehabilitation projects. Watershed rehabilitation projects may include reconstruction or decommissioning of the dam and relocation or flood proofing of downstream property.

**Applicant Eligibility:**

Sponsoring local organizations for existing watershed projects that include dams that were originally constructed with assistance from one of the following water resource programs: Public Law 78-534, Section 13 of the Flood Control

Act of 1944; Public Law 156-67, the pilot watershed program authorized under the heading Flood Prevention of the Department of Agriculture Appropriation Act of 1954; Public Law 83-566, the Watershed Protection and Flood Prevention Act of 1954; and Subtitle H of Title XV of the Agriculture and Flood Act of 1981, commonly known as the Resource Conservation and Development Program.

**Beneficiary Eligibility:**

Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain, and operate watershed works of improvement may become a sponsoring local organization for a watershed rehabilitation project.

**Credentials/Documentation:**

Applications must designate the proposed dam to be rehabilitated, be properly signed and attested to by all sponsoring local organizations of the existing watershed, and set forth the need for the proposed project. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Environmental assessments or an Environmental impact statement are required for all projects. An applicant should consult the office or official designated as the Single Point of Contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Award Procedure:**

Applications are evaluated by analyzing the condition of the dam and consequences of failure of the dam. The State Dam Safety Agency is also consulted for input. Details of the procedure are available from the State Offices of the Natural Resources Conservation Service.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Receipt of the application is acknowledged as soon as it is determined to be valid.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Federal funds may be available for 65 percent of the total rehabilitation project cost, but shall not exceed 100 percent of the actual construction cost incurred. The total rehabilitation project cost includes land acquisition, easements, construction, and non-federal technical assistance and project administration. The cost of technical assistance provided by the natural Resources Conservation Service is not considered as part of the total rehabilitation project cost. The sponsoring local organizations shall be responsible for the cost of all water, mineral, and other resource rights, and cost of permits which are not part of the total rehabilitation project cost. Costs associated with adding new purposes to the watershed rehabilitation project may be cost-shared according to provisions of the Watershed Protection and Flood Prevention Act.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Continues until all works of improvement are installed or their installation is terminated by mutual agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual operation and maintenance inspection and report. Cash reports are not applicable. Annual operation and maintenance inspection and report. Expenditure reports are not applicable. Annual operation and maintenance inspection and report.

**Audits:**

Not Applicable.

**Records:**

Records of operation and maintenance activities are maintained for the life of the project.

**Account Identification:**

12-1142-0-1-301; 12-1002-0-1-301.

**Obligations:**

(Salaries) FY 10 \$19,043,100; FY 11 est \$14,086,159; and FY 12 est \$11,952,800. (Salaries) FY 10 \$9,033,540; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 10 \$28,942,227; FY 11 est \$7,529,132; and FY 12 est \$18,047,200. (Cooperative Agreements (Discretionary Grants)) FY 10 \$23,024,592; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$0 to \$6,451,000; \$770,000 average per state.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Policy for implementation of this program is contained in the National Watershed Manual and NRCS General Manual. Program fact sheets, case studies, and guidelines are available from NRCS State Offices and can also be accessed through the NRCS website ([www.nrcs.usda.gov](http://www.nrcs.usda.gov)).

**Regional or Local Office:**

See Regional Agency Offices. For list of NRCS State offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Idle Chavez Department of Agriculture, Natural Resources Conservation Service  
14th and Independence Ave., SW.  
Room 6015-S  
P.O. Box 2890, Washington, District of Columbia 20013 Email:  
[Idle.Chavez@wdc.usda.gov](mailto:Idle.Chavez@wdc.usda.gov) Phone: (202)720-1510

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention; 12.104 Flood Plain Management Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The existing watershed project must meet the requirements of the law; (2) operation and maintenance of the existing dam must be current; (3) the local sponsors must agree to carry out the watershed project including acquiring land rights, permits, local cost-share, and operating and maintaining the rehabilitated dam for the life of the project; (4) the project has environmental, economic and social benefits that exceed the costs for a favorable benefit-cost ratio.

**10.917 AGRICULTURAL MANAGEMENT ASSISTANCE**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Risk Protection Act of 2000, Title I, Part Subtitle C, Section 524b, Public Law 106-224, 114 Stat. 387, 7 U.S.C 1524, as amended by Farm Security and Rural Investment Act of 2002 , Title II, Part Subtitle F, Section 2501, Public Law 116-263, as amended by The Food, Conservation, and Energy Act of 2008 , Title II, Part Subtitle I, Section 2801, Public Law 110-234, 122 Stat. 1085.

**OBJECTIVES:**

To provide cost-share assistance to producers on private lands through contracts to construct or improve water management structures or irrigation structures; plant trees for windbreaks or to improve water quality; and mitigate financial risk through production or marketing diversification or resource conservation practices, including soil erosion control, integrated pest management, or transition to organic farming.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Eligible producers in approved states may receive cost-share assistance to construct or improve water management structures or irrigation structures; plant trees for windbreaks or to improve water quality; and mitigate financial risk through production or marketing diversification or resource conservation practices, including soil erosion control, integrated pest management, or transition to organic farming.

**Applicant Eligibility:**

Applicants must have control of the land for a period of the contract running a minimum duration of one year after completion of the last practice, but not more than 10 years. The land must be in one of the 16 following eligible states: Connecticut, Delaware, Hawaii, Maine, Maryland, Massachusetts, Nevada, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Utah, Vermont, West Virginia, and Wyoming. This program is excluded from coverage under E.O. 12372.

**Beneficiary Eligibility:**

Applicants must have control of the land for a period of the contract running a minimum duration of one year after completion of the last practice, but not more than 10 years.

**Credentials/Documentation:**

Evidence that the applicant has control over the land for the life of the proposed contract. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Potential applicants must submit documents to the appropriate local NRCS or Conservation District office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application forms are available in USDA Service Centers and conservation district offices as well as in an automated format on the Internet on the USDA NRCS homepage.

**Award Procedure:**

Participants must sign a contract running a minimum duration of one year after completion of the last practice, but not more than 10 years based on the conservation plan to receive financial assistance. Financial assistance payments are made directly to the applicant upon satisfactory completion on identifiable units of work. Approval of contracts are made by an authorized representative of the Commodity Credit Corporation (CCC).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Variable, no specified time. Approval will depend on volume of applications received and available funds.

**Appeals:**

Any participant shall have the right to appeal final adverse or potentially adverse decisions made by NRCS.



**Renewals:**

Contracts that are scheduled for less than 10 years may be extended up to the ten-year contract limit, in order for the participant to complete the practices scheduled in the contract. However, the participant must apply all practices within ten years of signing the contract.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 25%. AMA participants are eligible for financial assistance payments of up to 75 percent of the estimated incurred cost. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Long term contracts are to be a minimum of duration of one year after completion of the last practice, but not more than 10 years. Financial assistance is paid when the practice is performed. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Program activities are subject to audit by the Office of Inspector General, USDA.

**Records:**

The records for all expired or terminated contracts will be kept for 10 years following expiration or termination of the contracts.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 10 \$1,201,270; FY 11 est \$1,551,000; and FY 12 est \$517,000. (Direct Payments for Specified Use) FY 10 \$6,048,438; FY 11 est \$5,949,000; and FY 12 est \$1,983,000

**Range and Average of Financial Assistance:**

Financial assistance payments are not to exceed \$50,000 per fiscal year. The total financial assistance payments paid per participant must not exceed \$50,000 for any fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 1465 regulations in the Federal Register, Volume 73, No. 225, page 70245, November 20, 2008; USDA/NRCS Internet homepage under Programs.

**Regional or Local Office:**

See Regional Agency Offices. For a list of NRCS State Offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Dave Mason, Financial Assistance Programs Division, Natural Resources Conservation Service  
Department of Agriculture, P.O. Box 2890, Washington, District of Columbia 20113 Email: Dave.Mason@wdc.usda.gov Phone: (202) 720-1873 Fax: (202) 720-4625.

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A State developed ranking process and ranking criteria will be used. The

ranking criteria will emphasize: the construction or improvement of water management structures or irrigation structures; planting of trees for windbreaks or to improve water quality; and mitigating financial risk through production or marketing diversification or resource conservation practices, including soil erosion control, integrated pest management, or transition to organic farming.

**10.920 GRASSLAND RESERVE PROGRAM**

(Grassland Reserve Program (GRP))

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985

, Public Law 199-198, as amended by Farm Security and Rural Investment Act of 2002

, Title II, Part Subtitle E, Section 2401, Public Law 107-171, 116 Stat. 258, 16 U.S.C 3838n, as amended by The Food, Conservation, and Energy Act of 2008, Title II, Part Subtitle E, Section 2403, Public Law 110-234, 122 Stat. 1051.

**OBJECTIVES:**

To assist landowners and operators in restoring and protecting eligible grazing lands, including rangeland, pastureland and certain other lands through rental contracts and easements.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

GRP easements and rental contracts are emphasize support for working grazing lands. All participants are subject to the Adjusted Gross Income Provision set forth in 7 CFR Part 1400. This limitation provides that individuals and entities that have an average adjusted gross income exceeding \$1 million for the three tax years immediately preceding the year the contract is approved are not eligible to receive program benefits, unless 66.6 percent of the adjusted gross income is derived from farming, ranching, or forestry operations. Easements and rental contracts will (1) permit grazing on the land in a manner that is consistent with maintaining the viability of the native and natural grass, shrub, forest, and wildlife species adapted to the locality; (2) permit haying, mowing, or harvesting for seed production, except during the nesting and brood-rearing seasons for birds in the area that are in significant decline; (3) allow for fire rehabilitation and construction of firebreaks, fences, watering facilities and practices that protect and restore the grasslands functions and values; and (4) prohibit the production of row crops, fruit trees, vineyards, or any other agricultural commodities. Both easements and rental contracts will require that the land is managed to maintain the viability of the plant community as described in the conservation or grazing management plan.

**Applicant Eligibility:**

GRP is available on privately owned lands. Eligible land includes grassland, land that contains forbs, or shrubs (including rangeland and pasture land; or land that is located in an area that has historically been dominated by grassland, forbs, and shrubs; and has potential to provide habitat for animal or plant populations of significant ecological value. Incidental lands, in conjunction with eligible land, may also be considered for enrollment to allow for the efficient administration of an easement or rental contract.

**Beneficiary Eligibility:**

Only landowners may submit applications for easements; landowners and others who have general control of the acreage may submit applications for rental contracts. Easements may also be acquired by eligible entities based on a 50 percent cost-share with the Federal government. Eligible entities are defined as units of State, local or Tribal government or nongovernmental organizations that have a charter describing a commitment to conserving ranchland, agricultural land, or grassland for grazing and conservation purposes.

**Credentials/Documentation:**

Eligible entities must demonstrate it has the relevant experience and resources to administer a GRP easement. Its charter or mission describes its long term commitment to conserving ranchland, agricultural land, or grassland for grazing and conservation purposes. NRCS evaluates an entities capacity to acquire, manage and enforce easements; its staffing and the ability of an entity to

provide matching funds before entering into a cooperative agreement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any owner or operator or tenant meeting eligibility criteria may submit an application for participation. Applications are accepted in local USDA service centers at any time. USDA will establish criteria to evaluate and rank applications for easement and rental contract enrollment. Ranking criteria will emphasize support for high quality grasslands and shrublands; grazing operations; plant and animal biodiversity; and grasslands under threat of conversion to cropping or development. Individual project selection will be made by State level USDA officials. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are accepted in local USDA service centers at any time. Applicants are required to provide general information about the location of the project, contact information for the applicant, and designate the type of enrollment desired by the applicant (i.e. permanent easement or maximum allowed by State law, 10-year, 15-year, or 20-year rental contract). Applications can be obtained through local USDA service centers or the website of the Natural Resources Conservation Service Office. See [www.nrcs.usda.gov](http://www.nrcs.usda.gov). Select Programs from the menu, then select Grassland Reserve Program.

**Award Procedure:**

NRCS State Offices rank the individual parcels in the applications based on ranking criteria established by the State Technical Committee. The ranking factors are developed based on national and state priorities.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Within a Federal fiscal year (October 1 September 30) based on funding availability.

**Appeals:**

Applicants or participants may appeal decisions regarding this program in accordance with 7 CFR Part 614 and Parts 11 and 780.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50%. For GRP acquisitions made through a Cooperative Agreement, each eligible entity is required to provide, in cash, at least 50 percent of the purchase price of the conservation easement. Purchase price is defined as the appraised fair market value minus any landowner donation. The landowner donation is not a cash donation, but is merely the reduction in value the landowner will accept as payment for the sale of the conservation easement. Each eligible entity is required to fund its own administrative costs in acquiring easements, such as surveys, appraisals, deed preparation, title searches, and costs incurred in restoring, managing and enforcing the easements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Easement duration is either perpetual, or the maximum duration permitted by State law. Financial assistance for easement acquisition is provided at closing. For rental contracts, payments are made annually on the agreement anniversary date of USDA approval. For both easements and rental contracts, if restoration activities are required, financial assistance for such activities is provided when required practices are established. Technical assistance is available for the length of the easement or rental contract. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual reports on the status of the easements acquired will be prepared by the eligible entity and submitted to the NRCS State Office. Fund disbursement reports are prepared by NRCS. No cash reports are required. Annual reports on

the status of the easements acquired will be prepared by the eligible entity and submitted to the NRCS State Office. Fund disbursement reports are prepared by NRCS. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An audit may be made in accordance with the Office of Management and Budget (OMB) Circular No. A-102 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local governments and other related Circulars.

**Records:**

Records of easements acquired will be maintained for the life of the easements by the eligible entity and NRCS.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 10 \$6,700,648; FY 11 est \$7,872,000; and FY 12 est \$6,729,100. (Direct Payments for Specified Use) FY 10 \$93,407,727; FY 11 est \$70,748,000; and FY 12 est \$60,476,900

**Range and Average of Financial Assistance:**

The 5 year average estimated cost per acre for easement acquisition was approximately \$400, ranging from \$65 per acre to over \$30,000 per acre. The average estimated cost per acre for rental contracts was \$134 per acre over the life of the rental contract. Program Accomplishments (130): Over 250 GRP easements were acquired on over 117,000 acres.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

GRP rental contracts are limited to \$50,000 per person per year. GRP restoration agreements are also limited to \$50,000 per person per year. Grassland Reserve Program Website; [www.nrcs.usda.gov/programs/grp](http://www.nrcs.usda.gov/programs/grp).

**Regional or Local Office:**

See Regional Agency Offices. Local Service Centers can be found in the blue pages of the local telephone directory under the heading USDA Service Center or through the office locator assistance on the NRCS website found at [www.nrcs.usda.gov](http://www.nrcs.usda.gov).

**Headquarters Office:**

Steve Parkin Department of Agriculture, Natural Resources Conservation Service  
14th and Independence Ave., SW.  
Room 6817-S  
P.O. Box 2890 , Washington, District of Columbia 20250 Email:  
[Steve.Parkin@wdc.usda.gov](mailto:Steve.Parkin@wdc.usda.gov) Phone: (202) 720-1854

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.913 Farm and Ranch Lands Protection Program; 10.922 Healthy Forests Reserve Program (HFRP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.921 CONSERVATION SECURITY PROGRAM (CSP)**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, Executive Order , Title XII, Part Chapter 2, Section Subchapter A, Public Law 99-198, 19 U.S.C 3801et.seq.

**OBJECTIVES:**

The CSP sets forth a mechanism to provide financial and technical assistance to promote the conservation and improvement of soil, water, air, energy, plant and animal life, and other conservation purposes on Tribal and private working lands. Working lands include cropland, grassland, prairie land, improved pasture, and range land, as well as forested land that is an incidental part of an agriculture operation. The goal of CSP is to identify and reward those farmers and ranchers who are meeting the highest standards of conservation and environmental management on their operations and to support ongoing stewardship of private agricultural lands by providing payments for maintaining and enhancing natural resources.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Eligible applicants may offer eligible land on a portion of their agricultural operation to enter into a five year contract, or entire agricultural operation for a five to ten year contract. Subject to the acceptance of an offer by the Federal Government, the participant shall agree to participate as outlined in the CSP stewardship plan and contract. The contract will include appropriate stewardship, new practice, existing practice, and enhancement payments. Subject to the availability of funds, CCC will make stewardship, existing practice, new practice or enhancement payments at the rates specified in this contract after a determination by CCC that an eligible practice or activity has been established in compliance with the CSP plan of operations and in accordance with appropriate standards and specifications.

**Applicant Eligibility:**

Applicants must have applied prior to Oct. 1, 2008. An individual producer, partnership, association, corporation, estate, trust, other business or other legal entities controlling eligible lands. The term producer means an owner, operator, landlord, tenant or sharecropper that shares in the risk of producing any crop or livestock; and must be entitled to share in the crop or livestock available for marketing from an agricultural operation. An applicant must be in compliance with highly erodible land and wetland conservation provisions, and average adjusted gross income requirements. Lands enrolled in the Conservation Reserve Program, Wetlands Reserve Program, the Grassland Reserve Program pursuant to 16 U.S.C. 3838n, public land including land owned by a Federal, State or local unit of government are not eligible for enrollment in CSP and may not receive CSP payments.

**Beneficiary Eligibility:**

An individual producer, partnership, association, corporation, estate, trust, other business or other legal entities controlling eligible lands. The term producer means and owner, operator, landlord, tenant or sharecropper that shares in the risk of producing any crop or livestock; and must be entitled to share in the crop or livestock available for marketing from an agricultural operation. A participant must be in compliance with highly erodible land and wetland conservation provisions, and average adjusted gross income requirements. Lands enrolled in the Conservation Reserve Program, Wetlands Reserve Program, the Grassland Reserve Program pursuant to 16 U.S.C. 3838n, public land including land owned by a Federal, State or local unit of government are not eligible for enrollment in CSP and may not receive CSP payments.

**Credentials/Documentation:**

The participant must have control of the land offered for the length of the contract period. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Conduct a CSP self-assessment and benchmark condition inventory, and submit an intention to enroll to the local NRCS office that serves the area in which the agricultural operation is located during the designated sign-up period.

**Award Procedure:**

All applications which meet the sign-up criteria within the priority watersheds will be placed in an enrollment category regardless of available funding. Enrollment categories and subcategories will be funded in priority order until the available funds are exhausted.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 180 days after the application is filed with the NRCS.

**Appeals:**

An applicant or a participant may obtain administrative review of an adverse decision. Participants cannot appeal payment rates, payment limits, and cost-share percentages, eligible conservation practices, or other matters of general applicability. Before a participant can seek judicial review, the participant must exhaust all administrative appeal procedures.

**Renewals:**

The conservation security contract may be renewed, as appropriate, for an additional period of not less than 5, nor more than 10 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Payments may have as many as four components including a base conservation stewardship payment, existing practice payment, new practice cost-share payment, and enhancement payment. Payments will be made as described in the contract in return for the implementation and/or maintenance of a specified level of conservation treatment on all or part of the agricultural operation.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The schedule of payments will be specified in the conservation stewardship contract based on calculations identified in the rule and sign up notice. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Records will be maintained by the participant, as appropriate and in the county NRCS office, State NRCS office and Federal Record Centers for the length of the agreement.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 10 \$22,241,587; FY 11 est \$21,274,000; and FY 12 est \$20,578,000. (Direct Payments for Specified Use) FY 10 \$199,927,828; FY 11 est \$182,468,000; and FY 12 est \$176,506,100

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is announced through news media, local conservation districts, and in letters to agricultural landowners in the county. Regulations published in the Federal Register and 7 CFR XIV.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location

of the NRCS office. If no listing, contact the appropriate State NRCS office listed in the NRCS Section of Appendix IV. the Catalog.

**Headquarters Office:**

Mark Rose Department of Agriculture,  
PO Box 2890, Washington, District of Columbia 20113 Email:  
Mark.Rose@wdc.usda.gov Phone: (202) 690-2621

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention; 10.912 Environmental Quality Incentives Program; 10.914 Wildlife Habitat Incentive Program; 10.917 Agricultural Management Assistance; 10.924 Conservation Stewardship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications which meet the sign-up criteria within the priority watersheds will be placed in an enrollment category regardless of available funding. Enrollment categories and subcategories will be funded in priority order until the available funds are exhausted.

**10.922 HEALTHY FORESTS RESERVE PROGRAM (HFRP)**

Healthy Forests Reserve Program (HFRP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Healthy Forest Restoration Act of 2003, Title V, Section 501, Public Law 108-148, 117 Stat. 1911, 16 U.S.C 6571-6578, as amended by The Food, Conservation, and Energy Act of 2008, Title VIII, Part Subtitle C, Section 501, Public Law 110-234, 122 Stat. 1294.

**OBJECTIVES:**

To assist landowners in restoring and enhancing forest ecosystems to: promote the recovery of threatened and endangered species; improve biodiversity; and enhance carbon sequestration.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

HFRP restoration agreements and easements are designed for working Agricultural lands. HFRP is a voluntary program to assist landowners in restoring, enhancing and maintaining forest ecosystems on private lands through easements, contracts and restoration agreements. Easements, contracts, and restoration agreements shall be maintained in accordance with HFRP goals and objectives for the duration of the restoration agreement and easement including the restoration, protection, enhancement, maintenance, and management of habitat for listed species within a forest ecosystem's functions and values. For the duration of its term, the easement shall require, at a minimum, that the landowner, and the landowner's heirs, successors and assigns, shall cooperate in the restoration, protection, enhancement, maintenance, and management of the land in accordance with the easement and with the terms of the HFRP restoration plan. In addition, the easement shall grant to the United States, through the NRCS: a right of access to the easement area; the right to permit compatible uses of the easement area, if such use is consistent with the long-term protection and enhancement of the purposes for which the easement was established; the right to determine compatible uses on the easement area and specify the amount, method, timing, intensity and duration of the compatible use; the rights, title and interest to the easement area as specified in the conservation easement deed; and the right to perform restoration, protection, enhancement, maintenance, and management activities on the easement area. The landowner shall convey title to the easement which is acceptable to the NRCS. The landowner shall warrant that the easement granted to the United States is superior to the rights of all others, except for exceptions to the title which are deemed acceptable by the NRCS.

**Applicant Eligibility:**

To be eligible to enroll an easement or restoration agreement in the HFRP, a person must: be the landowner of eligible private land for which enrollment is sought; agree to provide such information to the Natural Resources Conservation Service (NRCS) as the Agency deems necessary or desirable to assist in its determination of eligibility for program benefits and for other program implementation purposes.

**Beneficiary Eligibility:**

Only landowners.

**Credentials/Documentation:**

Be the landowner of eligible land for which enrollment is sought; and agree to provide such information to NRCS as the agency deems necessary or desirable to assist in its determination of eligibility for program benefits and for other program implementation purposes. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any owner meeting eligibility criteria may submit an application for participation. Applications are accepted in local USDA Service Center Offices during announced enrollment sign-up periods. USDA will establish criteria to evaluate and rank applications for easement and restoration agreement enrollment, criteria will be detailed in the sign-up notice. NRCS will identify through a sign-up notice process the geographic scope and ranking priorities for that particular sign-up. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are accepted in local USDA Service Center Offices during announced enrollment sign-up dates. Applicants are required to provide general information about the location of the project, contact information for the applicant, and designate the type of enrollment desired by the applicant (i.e., 10 year restoration agreement, 30 year easement or 99 year easement). Applications can be obtained through local USDA Service Center.

**Award Procedure:**

NRCS will not acquire any easement unless the landowner accepts the amount of the easement payment which is offered by NRCS. The easement payment may or may not equal the fair market value of the interests and rights to be conveyed by the landowner under the easement. By voluntarily participating in the program, a landowner waives any claim to additional compensation based on fair market value.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within a Federal fiscal year (October 1 September 30) based on funding availability.

**Appeals:**

A person participating in the HFRP may obtain a review of any administrative determination concerning eligibility for participation utilizing the administrative appeal regulations provided in 7 CFR Part 614.

**Renewals:**

The land offered may be re-offered in a future sign-up unless land or landowner is ineligible.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Easement payments may be made in a single payment or not more than 10 annual payments of equal or unequal size, as agreed to between NRCS and the landowner. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Land may be enrolled in HFRP in accordance with a 10-year restoration cost-share agreement, a 30-year easement, a 30-year contract, or a permanent easement or the maximum duration permitted by State law. 30-year contracts are only available to acreage owned by Indian Tribes. Financial assistance for

easement acquisition is provided at closing. For restoration agreements, payments are made annually on the agreement anniversary date of USDA approval. For easements, contracts, and restoration agreements, if restoration activities are required, financial assistance for such activities is provided when required practices are established. Technical assistance is available for the length of the easement or restoration agreement. See the following for information on how assistance is awarded/released: None.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Records will be maintained in the county NRCS office, State NRCS office and Federal Record Centers for the length of the agreement. The easement (deed restriction) and applicable documents will be recorded in the local land records office for the duration of the easement. Agreements are filed with the Agency.

**Account Identification:**

12-1004-0-1-302; 12-1090-0-1-302.

**Obligations:**

(Salaries) FY 10 \$1,465,570; FY 11 est \$2,099,200; and FY 12 est \$2,304,400. (Direct Payments for Specified Use) FY 10 \$6,476,376; FY 11 est \$16,463,800; and FY 12 est \$10,347,100

**Range and Average of Financial Assistance:**

In FY 2006, NRCS had \$2.3 million available to fund the program in three states. The average estimated cost per acre for easement acquisition was approximately \$1,048.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HFRP Regulations are published in the Federal Register and 7 CFR Part 625.

**Regional or Local Office:**

See Regional Agency Offices. Local Service Centers can be found in the blue pages of the local telephone directory under the heading USDA Service Center or through the office locator assistance on the NRCS website found at [www.nrcs.usda.gov](http://www.nrcs.usda.gov).

**Headquarters Office:**

Steve Parkin Department of Agriculture, Natural Resources Conservation Service  
14th and Independence Ave., SW.  
Room 6817-S  
P.O. Box 2890, Washington, District of Columbia 20250 Email:  
[Steve.Parkin@wdc.usda.gov](mailto:Steve.Parkin@wdc.usda.gov) Phone: (202) 720-1854

**Website Address:**

<http://www.nrcs.usda.gov>.

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.913 Farm and Ranch Lands Protection Program; 10.920 Grassland Reserve Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Secretary of Agriculture shall give priority to the enrollment of land that provides the greatest conservation benefit to primarily, species listed as endangered or threatened under 16 U.S.C. 1533; and secondarily, species that are not listed as endangered or threatened under 16 U.S.C. 1533; but are candidates for such listing, State-listed species, or special concern species. The Secretary of Agriculture shall also consider the cost-effectiveness of each agreement or easement, and associated restoration plans, so as to maximize the environmental benefits per dollar expended. Specific criteria to determine how individual proposals satisfy the statutory criteria mentioned above will be set

forth in the sign-up announcement.

**10.923 EMERGENCY WATERSHED PROTECTION PROGRAM**

(Emergency Watershed Protection (EWP) Program )

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5, 123 Stat. 117; the Agricultural Credit Act of 1978, Section 403, Public Law 95-334, 33 U.S.C 701B-1; Section 216 of the Flood Control Act of 1950, Section 216, Public Law 81-516, 33 U.S.C 701b; Federal Agriculture Improvement and Reform Act of 1996 , Title III, Part Subtitle H, Section 382, Public Law 104-127, 110 Stat. 1016, 16 U.S.C 2203.

**OBJECTIVES:**

The objective of the EWP Program is to assist sponsors, landowners, and operators in implementing emergency recovery measures for runoff retardation and erosion prevention to relieve imminent hazards to life and property created by a natural disaster that causes a sudden impairment of a watershed.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All EWP work must reduce threats to life and property and must be economically, environmentally, and socially defensible and sound from a technical standpoint. NRCS may bear up to 75 percent (90 percent within limited resource areas as identified by the U.S. Census data) of the construction cost of emergency measures. The remaining 25 percent (10 percent within limited resource areas) must come from local sources as cash or in-kind services. EWP funds have restrictions. EWP cannot solve problems that existed before the disaster or to improve the level of protection above that which existed before a disaster. It cannot fund operation and maintenance work or repair private or public transportation facilities or utilities. The work cannot adversely affect downstream water rights and funds cannot be used to install measures not essential to the reduction of hazards. In addition, funds cannot be used to perform work on measures installed by another federal agency.

**Applicant Eligibility:**

Public and private landowners are eligible for assistance but must be represented by a project sponsor. Project sponsor means a State government or a State agency or a legal subdivision thereof, local unit of government, or any Native American tribe or tribal organization as defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b), with a legal interest in or responsibility for the values threatened by a watershed emergency; is capable of obtaining necessary land rights, and permits; and is capable of carrying out any operation and maintenance responsibilities that may be required. Sponsors are also responsible for furnishing the local cost share and for accomplishing the installation of work. Work can be done either through Federal or local contracts. Emergency watershed protection is authorized in the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, the Commonwealth of the Northern Mariana Islands, and American Samoa.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Sponsors must submit a formal request to the State Conservationist for assistance within 60 days of the natural disaster occurrence, or 60 days from the date when access to the sites becomes available. Requests must include a statement that the sponsors understand their responsibilities and are willing to pay its cost-shared percentage as well as information pertaining to the natural disaster, including the nature, location, and scope of the problems and the assistance needed. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under

E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Potential sponsors submit formal requests for assistance to the NRCS state conservationist.

**Award Procedure:**

Project sponsors seeking EWP assistance must apply to the STC in writing within 60 days of the natural disaster occurrence. Project sponsors may use SF 424 Application for Federal Assistance but must ensure that following information is provided: (1) A description of the problems encountered; (2) Assistance needed, including the following: Nature of the problem; Location; Scope of the problem; Commitment by the sponsor to assume the following responsibilities: local cost-share; Land rights; acquisition; Permits; Operations and Maintenance (O and M), A statement indicating that funds have either been exhausted or are insufficient to provide adequate recovery measures from the applicable hazards; A statement identifying any other State or Federal funding received or application submitted. On receipt of a formal request for EWP assistance, the State Conservationist or designee shall immediately investigate the emergency situation to determine whether EWP is applicable and to prepare an initial cost estimation for submission to the NRCS Chief or designee. The cost estimation will be submitted no later than 60 days from receipt of the formal request from the sponsor. NRCS may not commit funds until notified by the Chief, or designee, of the availability of funds. Before the release of financial assistance, NRCS will enter into a Cooperative Agreement with a sponsor that specifies the responsibilities of the sponsor under this part, including any required operation and maintenance responsibilities. NRCS will not provide funding for activities undertaken by a sponsor prior to the signing of the agreement between NRCS and the sponsor.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Timeline is dependent upon when funding is appropriated. The EWP program is not a line-item funded program and is reliant upon emergency supplemental appropriations.

**Appeals:**

Only NRCS decisions relating to eligibility for the EWP Program can be appealed. These decisions may be appealed in accordance with 7 CFR Part 614 and 7 CFR 11, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 75%. NRCS may bear up to 75 percent (90 percent within limited resource areas as identified by the US Census data) of the construction cost of emergency measures. The remaining 25 percent (10 percent within limited resource areas) must come from local sources as cash or in-kind services. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Continues until all EWP Program recovery measures are installed or their installation is terminated by mutual agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Final reports are prepared for each project within 90 days of completion. A benefit and accomplishment report is prepared for the fiscal year based upon final reports. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records of operation are maintained for the life of the project.

**Account Identification:**

12-1072-0-1-301.

**Obligations:**

(Salaries) FY 10 \$9,000,698; FY 11 est \$0; and FY 12 est \$0. (Salaries) FY 10 \$24,737,053; FY 11 est \$14,090,000; and FY 12 est \$22,938,800. (Cooperative Agreements (Discretionary Grants)) FY 10 \$55,607,871; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 10 \$199,970,349; FY 11 est \$45,883,000; and FY 12 est \$48,672,800

**Range and Average of Financial Assistance:**

Disaster Events Funded: FY 06 range \$22,211 to \$6,047,723, average \$955,410.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 624; National Emergency Watershed Protection Program Manual.

**Regional or Local Office:**

See Regional Agency Offices. For the list of NRCS state offices with telephone numbers and addresses, see the web site: <http://www.nrcs.usda.gov/contact/>.

**Headquarters Office:**

Fred Reaves, USDA, NRCS  
Conservation Technical Assistance Division  
14th and Independence Ave., SW.  
Room 6015-S  
P.O. Box 2890

, Washington, District of Columbia 20250 Email: [fred.reaves@wdc.usda.gov](mailto:fred.reaves@wdc.usda.gov)  
Phone: (202) 690-0793.

**Website Address:**

<http://www.nrcs.usda.gov/programs/ewp/>.

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

EWP projects are eligible when it is determined that the current condition of the land or watershed impairment poses a threat to health, life, and property. Assistance includes EWP practices that provide runoff retardation and soil erosion prevention, safeguard lives and property, and relieve an imminent threat that is a result of a sudden impairment of a watershed due to a natural disaster.

**10.924 CONSERVATION STEWARDSHIP PROGRAM**

Conservation Stewardship Program (CSP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985  
, Public Law 106-224, Stat. , 16 U.S.C 3838h, as amended by The Food, Conservation, and Energy Act of 2008  
, Title II, Part Subtitle D, Section 2301, Public Law 110-234, 122 Stat. 1040, 16 U.S.C 3838.

**OBJECTIVES:**

Through CSP, NRCS will provide financial and technical assistance to eligible producers to conserve and enhance soil, water, air, and related natural resources on their land. Eligible lands include cropland, grassland, prairie land, improved pastureland, rangeland, nonindustrial private forest lands, agricultural land under the jurisdiction of an Indian tribe, and other private agricultural land

(including cropped woodland, marshes, and agricultural land used for the production of livestock) on which resource concerns related to agricultural production could be addressed. Participation in the program is voluntary.

CSP encourages land stewards to improve their conservation performance by installing and adopting additional activities, and improving, maintaining, and managing existing activities on agricultural land and nonindustrial private forest land. The NRCS will make CSP available nationwide on a continuous application basis.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

CSP is available on Tribal and private agricultural lands, as well as nonindustrial private forest lands in all 50 States, the District of Columbia, and the Caribbean and Pacific Islands Areas. The entire operation must be enrolled and must include all eligible land that will be under the applicant's control for the term of the proposed contract that is operated substantially separate from other operations. Land enrolled in the Conservation Reserve Program (7 CFR part 1410), Wetlands Reserve Program (7 CFR part 1467), Grasslands Reserve Program (7 CFR part 1415), and Conservation Security Program (CFR part 1469) are ineligible for CSP. The 2008 Act limits eligibility to private agricultural land; as such, land that is owned by a Federal, State, or local unit of government, with the exception of agricultural land under the jurisdiction of an Indian Tribe, is ineligible, regardless of the status of the operator. Additionally, a participant may not receive payment for land used for crop production after June 18, 2008, that had not been planted, considered to be planted, or devoted to crop production for at least four of the six years preceding that date, unless the land was: previously enrolled in the Conservation Reserve Program; maintained using long-term rotations, such as hayland in rotation; or incidental to the operation but needed for the efficient management of the operation. An example of land considered incidental to the operation that may be eligible for payment is land that had once been used for buildings and is now being used for crop production to square up a cropland field.

**Applicant Eligibility:**

The program provides equitable access to all producers, regardless of operation size, crops produced, or geographic location. Individual producers, legal entities, corporations, and Indian Tribes may be eligible for the program.

Eligible lands include cropland, grassland, prairie land, improved pastureland, rangeland, nonindustrial private forest land, and agricultural land under the jurisdiction of an Indian tribe (covered in 508 Subpart F, 508.53 and 1470.6b). As stated in the Federal Register, 1470.6a, Applicants must be the operator of record in the USDA farm records management system for the eligible land being offered for enrollment; have documented control of the land for the term of the proposed contract; include the eligible land in their entire operation as represented for other USDA programs; and be in compliance with the highly erodible land and wetland conservation provisions of 7 CFR Part 12, and adjusted gross income provisions of 7 CFR part 1400. The applicants operation must also meet a stewardship threshold (covered in 508 Subpart F, 508.54).

**Beneficiary Eligibility:**

The program provides equitable access to all producers, regardless of operation size, crops produced, or geographic location. Individual producers, legal entities, corporations, and Indian Tribes may be eligible for the program.

Eligible lands include cropland, grassland, prairie land, improved pastureland, rangeland, nonindustrial private forest land, and agricultural land under the jurisdiction of an Indian tribe (covered in 508 Subpart F, 508.53 and 1470.6b). As stated in the Federal Register, 1470.6a, Applicants must be the operator of record in the USDA farm records management system for the eligible land being offered for enrollment; have documented control of the land for the term of the proposed contract; include the eligible land in their entire operation as represented for other USDA programs; and be in compliance with the highly erodible land and wetland conservation provisions of 7 CFR Part 12, and adjusted gross income provisions of 7 CFR part 1400. The applicants operation must also meet a stewardship threshold (covered in 508 Subpart F, 508.54).

**Credentials/Documentation:**

The participant must have control of the land offered for the length of the contract period. NRCS requires all program payments be made by direct deposit unless the participant requests a waiver as described in 31 CFR Part 208.4, paragraph (a). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A programmatic environmental assessment has been prepared in association with this rulemaking. The analysis has determined that there will not be a significant impact to the human environment and as a result an Environmental Impact Statement is not required to be prepared (40 CFR part 1508.13). An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A programmatic environmental assessment has been prepared in association with this rulemaking. The analysis has determined that there will not be a significant impact to the human environment and as a result an Environmental Impact Statement is not required to be prepared (40 CFR part 1508.13).

**Award Procedure:**

Once applicant and land eligibility are determined, the NRCS field office will assist the producer with completing the CMT resource inventory. CMT will estimate the level of environmental benefit to be achieved by the applicant. The CMT conservation performance scoring will enable NRCS to determine if the stewardship threshold requirement is met, rank applications, and establish payments.

Applicants will be ranked relative to other applicants who face similar resource challenges in State-established ranking pools using conservation performance ranking scores. For approved applicants, NRCS will conduct on-site field verification to substantiate that conservation activity and production system information represented by the applicant was accurate. After the conservation system information is verified, NRCS and the applicant proceed to develop the conservation stewardship plan and contract. Upon approval, the contract will obligate the participant to achieve a higher level of conservation performance by installing additional activities scheduled in their conservation stewardship plan and to maintain the level of existing conservation performance identified at the time of application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

A participant may obtain administrative review in accordance with 7 CFR parts 11 and 614 for an adverse decision. Participants cannot appeal payment rates, payment limits, and cost-share percentages, eligible conservation practices, or other matters of general applicability. Before a participant can seek judicial review, the participant must exhaust all administrative appeal procedures.

**Renewals:**

At the end of an initial conservation stewardship contract, NRCS will allow a participant to renew the contract to receive payments for one additional five year period, subject to the availability of funds. To be considered for contract renewal, the participant must be in compliance with the terms of their initial contract as determined by NRCS; add any newly acquired eligible land that is part of the agricultural operation and meets minimum treatment criteria as established and determined by NRCS; meet stewardship thresholds for additional priority resource concerns as determined by NRCS; and agree to adopt conservation activities as determined by NRCS.

**Formula and Matching Requirements:**

Statutory Formula: Subject to the availability of funds, NRCS will offer participants two potential types of payment. As outlined in 508.90, an annual payment will be made for installing and adopting additional conservation activities, and improving, maintaining, and managing existing activities. A supplemental payment can also be made to a participant receiving annual

payments, who also agrees to adopt a resource-conserving crop rotation. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

NRCS will make payments as soon as practicable after October 1 of each fiscal year for activities carried out in the previous fiscal year. CSP payments to a person or legal entity may not exceed \$40,000 in any year and \$200,000 during any 5-year period. Each CSP contract will be limited to \$200,000 over the term of the initial contract period. The above limitations exclude funding arrangements with federally recognized Indian tribes or Alaska Native corporations as described in CPM 440, Part 508, Section 508.95(C). Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. The Designated Conservationist will review contract implementation with the participant annually. Annual reviews will be completed early enough in the year to allow for completion of any necessary corrective actions prior to issuance of the annual payment. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

As stipulated in 508.76 B, the applicant must make available to NRCS upon request appropriate records documenting applied conservation activity and production system information. NRCS will request records when conducting field verification with pre-approved applicants. The designated conservationist does not need to collect, store, or re-calculate the data contained in the applicants records, but instead will examine the field conditions and records to determine whether or not they substantiate the CMT resource inventory information provided by the applicant during the application process. As covered in 508.76 C, NRCS will request written records and conduct on-site field verification to substantiate that the conservation activity and production system information represented by each approved applicant during the CMT resource inventory was accurate.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 10 \$69,415,100; FY 11 est \$70,979,000; and FY 12 est \$90,578,500. (Cooperative Agreements) FY 10 \$320,397,800; FY 11 est \$529,855,000; and FY 12 est \$697,060,500

**Range and Average of Financial Assistance:**

CSP payments to a person or legal entity may not exceed \$40,000 in any year and \$200,000 during any 5-year period. Each CSP contract will be limited to \$200,000 over the term of the initial contract period. The above limitations exclude funding arrangements with federally recognized Indian tribes or Alaska Native corporations as described in CPM 440, Part 508, Section 508.95(C). The program shall have a national average rate of \$18 per acre.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Congress authorized the enrollment of 12,769,000 acres for each fiscal year (FY) for the period beginning October 1, 2008, and ending on September 30, 2017. For fiscal years 2009 through 2012, CSP has been authorized 51,076,000 acres (four years multiplied by a 12,769,000 acre program cap per year). In the first sign up, 21, 281 applications were submitted covering approximately 33,000,000 acres. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Congress authorized the enrollment of 12,769,000 acres for each fiscal year (FY) for the period beginning October 1, 2008, and ending on September 30, 2017. For fiscal years 2009 through 2012, CSP has been authorized 51,076,000 acres (four years multiplied by a 12,769,000 acre program cap per year). In the first sign up, 21, 281 applications were submitted covering approximately 33,000,000 acres.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location of the NRCS office. Directories can also be found under the contact us menu at [www.nrcs.usda.gov](http://www.nrcs.usda.gov).

**Headquarters Office:**

Jeffrey White USDA, NRCS  
Financial Assistance Programs Division  
14th and Independence Ave., SW  
Room 5239-S  
, Washington, District of Columbia 20250 Email: [Jeffrey.White@wdc.usda.gov](mailto:Jeffrey.White@wdc.usda.gov)  
Phone: 202-720-1844

**Website Address:**

<http://www.nrcs.usda.gov>

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention; 10.912 Environmental Quality Incentives Program; 10.914 Wildlife Habitat Incentive Program; 10.917 Agricultural Management Assistance; 10.921 Conservation Security Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications which meet the sign-up criteria will be placed in an enrollment category until field verification against records is made, upon which applications will be funded in priority order until the available funds are exhausted.

**10.925 AGRICULTURAL WATER ENHANCEMENT PROGRAM**

AWEP

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

The Food Security Act of 1985, Public Law 99-198, 16 U.S.C 3801, as amended by The Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127, as amended by The Farm Security and Rural Investment Act of 2002, Public Law 107-101; Food, Conservation, and Energy Act of 2008 , Title II, Part F, Section 2510, Public Law 110-246, 16 U.S.C 3839aa-9.

**OBJECTIVES:**

AWEP as part of the Environmental Quality Incentives Program, promotes ground and surface water conservation and improved water quality on agricultural lands. As authorized by Congress, this is not a grant program to eligible partners. This is a program whereby approved, eligible partners will enter into multi-year agreements with NRCS to promote ground and surface water conservation, or improve water quality on eligible agricultural lands.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Technical assistance is provided for conservation planning, design and implementation of conservation practices for eligible participants. Financial assistance is provided for implementation of structural, and land management practices. Cost-share payments may be made to implement one or more eligible structural or vegetative practices. Incentive payments can be made to implement one or more land management practices.

**Applicant Eligibility:**

Partners representing agricultural producers who face serious threats to soil, water, and related natural resources, or who need assistance with complying with Federal and State environment laws. A participant may be an owner, landlord, operator, or tenant of eligible agricultural lands or non-industrial forestlands. Limited resource producers, small-scale producers, social disadvantaged individuals, federally recognized Indian tribal governments, Alaska natives, and Pacific Islanders are encouraged to apply.

Eligible partners include: Federally recognized Indian Tribes, States, units of local government, agricultural or silvicultural associations or other groups of such producers, or other nongovernmental organization with experience working with agricultural producers.



**Beneficiary Eligibility:**

To be eligible the agricultural producers must be in compliance with highly erodible land and wetland conservation provisions and in compliance with the Adjusted Gross Income (AGI) payment limitations.

**Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable conservation plan for the farm or ranch unit of concern that incorporates needed natural resource conservation practices and provide either a social security number or individual tax identification number of all proposed beneficiaries. Applicants claiming either limited resource producer or beginning farmer classification may be asked to provide documents to justify their claim. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Under AWEP, the NRCS enters into partnership agreements with eligible entities and organizations that want to promote ground and surface water conservation or improve water quality on agricultural lands. After the Chief has announced approved AWEP project areas, eligible agricultural producers may submit a program application. Each fiscal year, NRCS may make AWEP financial and technical assistance available to eligible owners and operators of agricultural lands who participate in approved AWEP project areas.

Partners may assist NRCS by identifying producers in the project area. Partners may also assist producers in submitting applications for the program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For each program year the Natural Resources Conservation Service issues a request for proposals through the Federal Register. Application procedures are outlined in the request for proposals.

**Award Procedure:**

For each program year the Natural Resources Conservation Service issues a request for proposals through the Federal Register. Award procedures are outlined in the request for proposals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For each program year the Natural Resources Conservation Service issues a request for proposals through the Federal Register. Application deadlines are outlined in the request for proposals.

**Appeals:**

A participant may appeal any adverse determination to the Chief of the Natural Resources Conservation Service.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 75%. Conservation practices may be eligible for conservation payments up to 75 percent of the total cost of establishing the practice including costs of foregone income. Limited resource producers, social disadvantaged producers and beginning farmers and ranchers may be eligible for payments up to 90 percent of the approved practice cost. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

An agricultural producer may apply directly to NRCS for financial or technical assistance to implement agricultural water enhancement activities. Producers who apply directly to NRCS must be eligible for EQIP and selected applications will be subject to applicable EQIP requirements. Eligible partners enter into multi-year agreements with NRCS to promote ground and surface water conservation, or improve water quality on eligible agricultural lands. AWEP is intended to leverage investment in natural resources conservation

along with services and non-Federal resources of other eligible partners. Eligible partners include: Federally recognized Indian Tribes, States, units of local government, agricultural or silvicultural associations or other groups of such producers such as an irrigation association, an agricultural land trust, or other nongovernmental organization with experience working with agricultural producers. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Provide the NRCS agency representative with semi-annual and annual reports during the project period and a final project report that documents project accomplishments and goals achieved. No expenditure reports are required. Reports shall also address partner efforts to monitor and evaluate implementation of conservation activities included in NRCS program contracts within the approved project area.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Natural Resources Conservation Service makes periodic random reviews of the operation and maintenance of the contract items during the life span of the conservation practice. Participants are subject to audit by the Office of Inspector General, USDA.

**Records:**

Partnership Agreements and producer contracts are maintained in local NRCS office and Federal record centers for specified number of years.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 10 \$11,346,607; FY 11 est \$14,771,000; and FY 12 est \$11,976,486. (Direct Payments for Specified Use) FY 10 \$60,813,288; FY 11 est \$59,229,000; and FY 12 est \$48,023,514

**Range and Average of Financial Assistance:**

Conservation payments are limited to a maximum payment limitation per producer of \$300,000 for the life of the 2008 Farm Bill.

Average contracts are estimated to be \$40,841.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Request for proposals are announced in the Federal Register. Related program manuals, handbooks and leaflets are issued by NRCS.

**Regional or Local Office:**

See Regional Agency Offices. For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. For a list of NRCS State offices with telephone numbers and addresses, see appropriate Appendix IV of the Catalog. Information is available on the internet at <http://www.nrcs.usda.gov/programs/awep>.

**Headquarters Office:**

Ronald Harris Natural Resources Conservation Service  
PO Box 2890,  
1400 Independence Ave SW, Washington, District of Columbia 20050 Email:  
Ronald.Harris@wdc.usda.gov Phone: 202-720-1853

**Website Address:**

<http://www.nrcs.usda.gov/programs/awep>

**RELATED PROGRAMS:**

10.912 Environmental Quality Incentives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011:

**IMPLEMENTING WATER CONSERVATION BEST MANAGEMENT PRACTICES FOR SMALL, UNDERSERVED, ORGANIC, AND SUSTAINABLE AGRICULTURAL PRODUCERS IN NORTHEAST GEORGIA PHASE II**

The overall goal of this project is to increase water conservation and water use efficiency on small, underserved, organic and sustainable farms. GSWCC anticipates this project will replace inefficient irrigation systems and better utilize existing water sources. GSWCC plans to hold three informational meetings to inform local producers about federal incentive programs and two field days to increase local awareness, education, and to exhibit of water conservation practices put into effect through BMPs on sustainable farms. GSWCC will also run forty-two promotional news articles, one in each Area 2 county. Through this project, GSWCC plans to reach an additional twenty percent of the small, organic and sustainable producers in the Region II area. Furthermore, this project will implement approximately 55 Best Management Practices (BMPs) within the area.

Sustainability of the Confined and Unconfined Aquifers in the San Luis Valley  
The Colorado Division of Water Resources is currently working with the Rio Grande Water Conservation District and local irrigators and irrigation companies in formulating Rules and Regulations to allow continued pumping of irrigation wells, while at the same time maintaining sustainable water levels, or pressures, in the groundwater aquifers that underlie the irrigated cropland portion of the San Luis Valley. The objectives to this proposal are as follows:

Reduce pumping on cropland by changing cropping rotations to average less consumptive use and by upgrading existing systems to incorporate river water into irrigation systems

Improve existing sprinkler systems to reduce acreage and improve irrigation efficiency

Improve irrigation management by increasing organic matter and water holding capacity, and reducing the nitrate leaching potential

Improve the efficiency of groundwater recharge with the surface irrigation water rights. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

1. Include high percentages of agricultural land and producers in a region or other appropriate area;
2. Result in high levels of applied agricultural water quality and water conservation activities;
3. Significantly enhance agricultural activity;
4. Allow for monitoring and evaluation by the partner;
5. Assist agricultural producers in meeting a regulatory requirement that reduces the economic scope of the producers operation;
6. Achieve the projects land and water treatment objectives within 5 years or less;
7. Are from States with water quantity concerns where the proposal will:
  - a. Include conservation practices that support the conversion of agricultural land from irrigated farming to dryland farming;
  - b. Leverage Federal funds provided under the program with funds provided by partners;
  - c. Assist producers in States with high priority water quantity concerns, as determined by the agency. The high priority areas are located in the following regions: Eastern Snake Plain Aquifer, Everglades, Ogallala Aquifer, Puget Sound, Red River, Sacramento River Basin, and Upper Mississippi River Basin.
- d. Include other factors and criteria as approved by the agency which help identify those proposals which best achieve the purposes of AWEF.

**10.926 CHESAPEAKE BAY WATERSHED PROGRAM (CBWP)**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

The Food Security Act of 1985, Title II, Part G, Section 1240Q, Public Law 99-198, as amended by The Food, Conservation, and Energy Act of 2008, Public Law 110-246, 16 U.S.C 3839bb-4.

**OBJECTIVES:**

The Chesapeake Bay Watershed Program (CBWP) helps agricultural producers improve water quality and quantity, and restore, enhance, and preserve soil, air, and related resources in the Chesapeake Bay Watershed through the implementation of conservation practices. These conservation practices reduce soil erosion and nutrient levels in ground and surface water; improve, restore, and enhance wildlife habitat; and help address air quality and related natural resource concerns. CBWP encompasses all tributaries, backwaters, and side channels, including their watersheds, draining into the Chesapeake Bay.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The Natural Resources Conservation Service (NRCS), an agency of the United States Department of Agriculture, uses CBWP funds to enter into contracts with eligible producers to share the costs of the applicable conservation treatment on agricultural lands in the Chesapeake Bay Watershed. NRCS provides payments for approved conservation practices and systems and land use adjustments within a time schedule specified by the conservation plan. The CBWP contracts may be modified to increase funds provided the increased cost is the result of a valid contract modification within the original contract scope and intent. The modification must follow the rules of the conservation program used to apply the conservation treatment.

**Applicant Eligibility:**

Only agricultural producers owning or operating within the Chesapeake Bay Watershed are eligible to participate in CBWP. In addition, NRCS applies the eligibility requirements of the particular natural resource program used to implement CBWP (e.g., the Environmental Quality Incentives Program (EQIP) (16 U.S.C. 3839aa et seq.), the Wildlife Habitat Incentives Program (WHIP) (16 U.S.C. 3839bb-1)). Limited resource producers, small-scale producers, beginning farmers and ranchers, socially-disadvantaged producers, and federally recognized Indian tribes are encouraged to apply.

**Beneficiary Eligibility:**

To be eligible, the agricultural producers must be in compliance with highly erodible land and wetland conservation provisions at 7 CFR part 12, and in compliance with the Adjusted Gross Income (AGI) payment limitations at 7 CFR part 1400.

**Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable conservation plan for the farm or ranch unit of concern that incorporates needed natural resource conservation practices and provide either a social security number or individual tax identification number of all proposed beneficiaries. Applicants claiming either limited resource producer or beginning farmer classification may be asked to provide documents to justify their claim. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Program participation is voluntary. The applicant applies to NRCS at the local USDA Service Center on Form NRCS-CPA-1200. Applications may be filed at any time during the year. The participant develops a CBWP plan of operations that identifies what conservation practices they are proposing to implement. Technical assistance and conservation payments may be provided to apply needed conservation practices and land use adjustments within a time schedule specified by the conservation CBWP plan of operations. A contract with a participant may apply one or more land management practices or one or more structural practices.

**Award Procedure:**

NRCS applies the ranking and selection requirements of the particular natural resource program used to implement CBWP (e.g., EQIP, WHIP). NRCS will give special consideration to applicants that address priority natural resource concerns designated. Applications will be periodically ranked and selected for funding based on locally developed ranking process. The ranking criteria of the various Farm Bill program can be found at <http://www.nrcs.usda.gov/programs>.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 10 to 60 days.

**Appeals:**

A participant may appeal any adverse determination to the State Conservationist.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 75%. Matching requirements for CBWP follow the rules for the particular natural resource program used to implement CBWP (e.g., EQIP, WHIP). Typically, conservation practices may be eligible for conservation payments up to 75 percent of the total cost of establishing the practice including costs of foregone income. Limited resource producers, social disadvantaged producers and beginning farmers and ranchers may be eligible for payments up to 90 percent of the approved practice cost. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

CBWP contract lengths and implementation schedules will follow the rules for the particular natural resource program used to implement CBWP (e.g., EQIP, WHIP). Obligations for assistance are tied to the schedule for applying conservation practices included in the CBWP plan of operations conservation plan used as the basis for the contract. Payments are made when the participant and NRCS certify that conservation practice is completed in accordance with NRCS standards and specifications. Technical assistance may be provided by a certified Technical Service Provider (TSP) in accordance with 7 CFR part 652. The participant may not engage a TSP prior to contract approval. This assistance will be reimbursed based upon applicable TSP payment rates. These payments will be made after the services of the certified TSP have been provided in accordance with NRCS standards and specifications. Method of awarding/releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. NRCS makes periodic random reviews of the operation and maintenance of the contract items during the life span of the conservation practice. Participants are subject to audit by the Office of the Inspector General, USDA.

**Records:**

Records are maintained in local NRCS office and Federal record centers for specified number of years.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 10 \$10,246,094; FY 11 est \$12,633,088; and FY 12 est \$8,661,783. (Direct Payments for Specified Use) FY 10 \$33,517,619; FY 11 est \$60,291,205; and FY 12 est \$41,338,217

**Range and Average of Financial Assistance:**

Conservation payments are limited to the rules for the particular natural resource program used to implement CBWP (e.g., EQIP, WHIP). Average contract payments are estimated to be \$22,500 (source: NRCS ProTracts 10/02/2009).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The CBWP is carried out through natural resources conservation programs authorized under Subtitle D, Title XII of the Food Security Act of 1985, 16 U.S.C. 3830-3839bb-5. Contact the local USDA Service Center Office to find out which programs are being offered. The CBWP is announced in the six Chesapeake Bay Watershed states (Delaware, Maryland, New York, Pennsylvania, Virginia, and West Virginia) through news media and in announcements to agricultural producers, farm and ranch owners and operators in the county. Program manuals, handbooks, and leaflets are issued by NRCS.

**Regional or Local Office:**

See Regional Agency Offices. For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. A list of NRCS State offices with telephone numbers and addresses is available on the internet at <http://www.nrcs.usda.gov/about/organization/regions.html>.

**Headquarters Office:**

Mark Rose 1400 Independence Ave, SW  
South Building, Room 6238, Washington, District of Columbia 20013 Email:  
Mark.Rose@wdc.usda.gov Phone: (202) 690-2621

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.902 Soil and Water Conservation; 10.912 Environmental Quality Incentives Program; 10.913 Farm and Ranch Lands Protection Program; 10.914 Wildlife Habitat Incentive Program; 10.920 Grassland Reserve Program; 10.924 Conservation Stewardship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be periodically ranked and selected for funding based on: the environmental benefits per dollar expended; the cost-effectiveness of the conservation practices; the environmental benefits derived; extent to which the contract will assist the applicant in complying with Federal, State, tribal or local environmental laws; whether the land is located in a priority area and the extent the contract will assist the priority area goals and objectives.

**10.950 AGRICULTURAL STATISTICS REPORTS**

(Agricultural Estimates)

**FEDERAL AGENCY:**

National Agricultural Statistics Service, Department of Agriculture

**AUTHORIZATION:**

5 U.S.C. 3109; 7 U.S.C. 411, 411a, 411b, 427, 471, 475, 476, 501, 951, 953, 955-957; 7 U.S.C. 1621-1623, 1623a, 1624-1627; 7 U.S.C. 2201, 2202, 2204g, 2225, 2248, 3103, 3311, 3504; 13 U.S.C. 142a, 142b; 18 U.S.C. 1902, 1905, 2072; 42 U.S.C. 1891-1893; 44 U.S.C. 3501-3511; 50 U.S.C. 2061 et seq, 2251 et seq.

**OBJECTIVES:**

To formulate, develop, and administer programs for collecting and publishing statistics related to agriculture, resources, and rural communities.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Copies of publications of estimates and reports of production, supply, price and other aspects of the agricultural economy are available to anyone without restriction. Publications are provided free to survey respondents, press,

Congress, and, many current publications and all data products are also available for free on the NASS Internet World Wide Website: <http://www.usda.gov/nass/>. Other publications are available to all others on a subscription basis.

**Applicant Eligibility:**

Farmers and agricultural producers, marketing and processing groups, transportation and handler groups, consumers, State governments, educational institutions, and the general public including those located in the U.S. Territories.

**Beneficiary Eligibility:**

Farmers and agricultural producers, marketing and processing groups, transportation and handler groups, consumers, State governments, educational institutions, and the general public including those located in the U.S. Territories.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Request for technical information only may be made to the headquarters office listed below.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: In accordance with the terms and conditions of the award.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1801-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 10 \$161,830,000; FY 11 est \$156,447,478; and FY 12 est \$165,421,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Estimates on approximately 120 crops and 45 livestock items are included in approximately 500 reports. These reports include crops,

livestock and poultry estimates; agricultural chemical usage; prices received by farmers; prices paid for commodities and services; and data on farm employment and wage rates. The Census of Agriculture is conducted every 5 years, for the years ending in a "2" or "7" and provides comprehensive data down to the county level on all aspects of the agricultural economy. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Agricultural Statistics Board catalog (annual listing of reports available by subscription issued by Agricultural Statistics Board), no charge.

**Regional or Local Office:**

See Regional Agency Offices. Consult Appendix IV for addresses of National Agricultural Statistics Service State Statistical Offices.

**Headquarters Office:**

Marlo Johnson 1400 INDEPENDENCE AVENUE, S.W., 5041A, WASHINGTON, District of Columbia 20250 Email: [mjohnson@nass.usda.gov](mailto:mjohnson@nass.usda.gov) Phone: (202)720-4415

**Website Address:**

<http://www.usda.gov/nass>.

**RELATED PROGRAMS:**

10.153 Market News; 10.250 Agricultural and Rural Economic Research; 10.700 National Agricultural Library; 11.001 Census Bureau Data Products; 11.110 Manufacturing and Services; 17.003 Prices and Cost of Living Data

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.961 SCIENTIFIC COOPERATION AND RESEARCH**

Scientific Cooperation Research Program

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

7 USC 3291.

**OBJECTIVES:**

To leverage resources with domestic and international counterparts in order to advance cooperative research, education, and extension in agriculture.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds under the Scientific Cooperation Research Program may be used for direct costs of conducting approved research projects. Allowable expenses include travel for research, extension, and training purposes, supplies, equipment, and indirect costs necessary to implement the research projects. Funds may not be used to pay for tuition, sabbaticals, or expenses solely for conferences. Funds may not be used to pay for tuition, sabbaticals, or expenses solely for conferences.

**Applicant Eligibility:**

U.S. Institutions from the public, private, and academic sectors.

**Beneficiary Eligibility:**

U.S. institutions from the public, private, and academic sectors.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circulars A-21 and A-122. This program is excluded from coverage under OMB circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Program guidelines with detailed application procedures are available on the internet through the USDA Foreign Agricultural Service website at : <https://www.fas.usda.gov/icd/grants/scrp.htm> or through [Grants.gov](http://Grants.gov), a government wide internet portal for federal funding. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Program guidelines with detailed application procedures are available on the internet through the USDA Foreign Agricultural Service website at : <https://www.fas.usda.gov/icd/grants/scrp.htm> or through Grants.gov, a government wide internet portal for federal funding.

**Award Procedure:**

All proposals are evaluated by technical specialists on an ongoing basis, which rate the qualifications of applicants and merits of the proposals. Selection criteria will be published with each individual request for expression of interest to participate in this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Extensions may be authorized, but the agreement may not exceed five years.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25.%. This program has no statutory formula.

This program does not have MOE requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is phased according to the requirements of individual projects. Agreements are entered into with select institutions for a maximum of five years. See the following for information on how assistance is awarded/released:

Assistance is phased according to the requirements of individual projects. Agreements are entered into with select institutions for a maximum of five years.

**Reports:**

Participant must submit project reports quarterly. The SF-425, Federal Financial Report, are required quarterly. Progress reports are required quarterly and should provide detailed information on the status of the project (e.g. objectives accomplished, unforeseen barriers, necessary changes to the scope of work). The SF-425, Federal Financial Report, are required quarterly. Participants must include a monitoring and evaluation component in the proposal. Monitoring and evaluation varies per project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that receive financial assistance of \$500,000 or more in a year in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Typically, a recipient must maintain all program and financial records for a period of 3 years subject to conditions found in 7CFR 3015.21 and 7CFR3015.22.

**Account Identification:**

12-2900-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 10 \$350,000; FY 11 est \$163,000; and FY 12 est \$163,000

**Range and Average of Financial Assistance:**

Research projects not to exceed two years. The approximate average per project is \$45,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Sponsored eight (8) research projects in six (6) countries on agricultural development and sustainability. Fiscal Year 2011: Estimated to support four (4) research projects in 4 countries. Fiscal Year 2012: Estimated to support four (4) research projects in 4 countries.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal financial assistance transactions under 7 USC 3291 are subject to various legal requirements that are codified in the U.S. C., parts of the CFR, Executive Orders, Treasury Financial Manual bulletins, and other legally binding sources. These transactions are subject to many specific legal requirements, when applicable, including but not limited to the following:

- (a) 7 CFR part 3015, Uniform Federal Assistance Regulations;
- (b) 7 CFR part 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local Governments;
- (c) 7 CFR 3022, Research Institutions Conducting USDA-funded Extramural Research; Research Misconduct;
- (c) 2 CFR part 25 Universal Identifier and Central Contractor Registration;
- (d) 2 CFR part 170, Reporting Subaward and Executive Compensation Information;
- (e) 2 CFR part 175, Award Term for Trafficking in Persons;
- (f) 2 CFR part 180 and part 417, OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) and (USDA) Nonprocurement Debarment and Suspension;
- (g) 2 CFR part 182, Governmentwide Requirements for Drug-Free Workplace (Financial Assistance).
- (h) 2 CFR part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations;
- (i) 2 CFR part 220, Cost Principles for Educational Institutions (OMB Circular A-21);
- (j) 2 CFR part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87);
- (k) 2 CFR part 230, Cost Principles for Non-profit Organizations;
- (l) Federal Acquisition Regulations 31.2 (for profit cost principles);
- (m) Executive Order 13224, as amended, Blocking Property and Prohibiting Transactions with Persons Who Commit, Threaten to Commit, or Support Terrorism;
- (n) OMB Circular A-133, as codified in 7 CFR part 3052, Audits of States, Local Governments, and Nonprofit Organizations;
- (o) 7 CFR part 3015.175(b), Copyrights;
- (p) 41 U.S.C. 351-358, the McNamara-O'Hara Service Contract Act of 1965
- (q) 37 CFR part 401.1, Bayh-Dole Act (inventions);
- (r) 15 U.S.C. 205a et seq., The Metric Conversion Act, as amended by the Omnibus Trade and Competitiveness Act;
- (s) 42 U.S.C. 6962, Resource Conservation and Recovery Act (RCRA);
- (t) 49 U.S.C. 40118 et seq., Fly America Act;
- (u) 8 USC 1324a, Immigration and Nationality Act;
- (v) 5 U.S.C. 552, Freedom of Information Act and 7 CFR 3011, Availability of Information to the Public;
- (w) Executive Order 13513, Federal Leadership on Reducing Text Messaging While Driving;
- (x) 41 U.S.C. 22, Interest of Members of Congress;
- (y) 40 U.S.C. 3141-3148, the DavisBacon Act.

**Regional or Local Office:**

None.

**Headquarters Office:**

Khaliaka Meardry USDA/FAS/OCBD/TSED, 1400 Independence Ave. SW, Room 3224-S, Washington, District of Columbia 20250 Email: [Khaliaka.Meardry@fas.usda.gov](mailto:Khaliaka.Meardry@fas.usda.gov) Phone: (202) 690-1866.

**Website Address:**

<http://www.fas.usda.gov/icd/grants/scrp.htm>.

**RELATED PROGRAMS:**

10.777 Norman E. Borlaug International Agricultural Science and Technology Fellowship; 10.962 Cochran Fellowship Program-International Training-Foreign Participant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: SCRP supported 11 research projects in 8 countries with U.S. and foreign scientists and agricultural professionals from the public and academic sectors. For example, SCRP sponsored joint research between Alabama A&M University a minority serving institution and academia in Senegal to create an allergen-free peanut. The research will improve food security in Senegal and provide economic gains for the U.S. and Senegalese peanut industries. Fiscal Year 2011: Estimated to support four (4) research projects in 4 countries. Fiscal Year 2012: Estimated to support four (4) research projects in 4 countries.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities developed by the Foreign Agricultural Service's Office of Capacity Building and Development program area (FAS/OCBD), in consultation with collaborating agencies and organizations. Contact FAS/OCBD/TSED/SEB/SCRP for additional information. While this program does not fund unsolicited proposals, interested parties are welcome to submit statements of capability and expressions of interest.

**10.962 COCHRAN FELLOWSHIP PROGRAM-INTERNATIONAL TRAINING-FOREIGN PARTICIPANT****FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

The legislative authority for the Cochran Fellowship Program is provided in Section 1543 of the Agriculture Development and Trade Act of 1990 (7 U.S.Code 3293) as amended in 1996.

**OBJECTIVES:**

To provide high quality training resulting in knowledge and skills that will assist eligible countries to meet the food needs of their domestic populations; and to strengthen and enhance trade linkages between eligible countries and agricultural interests in the United States.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

No funding is available for unsolicited proposals. Cochran Program funds are used for projects involved with international training activities, including course development and/or evaluation.

**Applicant Eligibility:**

The Cochran Program solicits proposals from U.S. institutions of higher education, nonprofit organizations, U.S. agricultural trade and market development associations, and on occasion private consultants.

**Beneficiary Eligibility:**

Technical assistance provided through these agreements benefits foreign governments and related agricultural institutions in their countries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications solicited by the Cochran Program should include a scope of work, budget, time frame and

expected results. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

All proposals are evaluated by technical specialists, which rate the qualifications of applicants and merits of the proposals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is phased according to the requirements of individual projects. See the following for information on how assistance is awarded/released:

Assistance is awarded by means of cost-reimbursable agreements (primarily), cooperative agreements, or on occasion purchase orders.

**Reports:**

Training evaluation reports may be required. Participant evaluations are required and most programs require development of post-training action plans. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

Program and financial records are kept in the Department.

**Account Identification:**

12-3200-0-1-352.

**Obligations:**

(Salaries) FY 10 \$1,303,000; FY 11 est \$2,000,000; and FY 12 est \$1,300,000 - Primarily reimbursable agreements with Universities and some procurement through the private sector.

**Range and Average of Financial Assistance:**

Range during FY11: \$1200 to \$193,500

Average during FY11: \$37,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The actual number of Cochran Fellows trained in FY 2010 was 476 from 69 countries. Fiscal Year 2011: Estimated number of Cochran Fellows to be trained in FY 2011 is approximately 500 from 70 countries.

Fiscal Year 2012: Estimated number of Cochran Fellows to be trained in FY 2012 is approximately 450 from 70 countries.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015

**Regional or Local Office:**

None.

**Headquarters Office:**

Scott J. Lewis 1400 Independence Ave SW, Washington, District of Columbia 20250 Email: [Scott.Lewis@fas.usda.gov](mailto:Scott.Lewis@fas.usda.gov) Phone: 2026901734 Fax: 2026900349

**Website Address:**

<http://www.fas.usda.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Short-term training in such areas that include but are not limited to pest risk assessment, meat and poultry inspection, biotechnology, food safety control methods and regulatory systems, organic certification, HACCP, veterinary epidemiology, food security, and dairy herd management. Fiscal Year 2011: Short term training as described in prior fiscal years. Emerging topics include such areas as biofuels, climate change, food security, and intellectual property rights. Fiscal Year 2012: Topics are identified and prioritized each year by the FAS overseas offices.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities developed by the Foreign Agricultural Service's Office of Capacity Building and Development(FAS/OCBD), in consultation with collaborating agencies and organizations. Contact FAS/OCBD for additional information. While this program does not fund unsolicited proposals, interested parties are welcome to submit statements of capability and expressions of interest.

**10.998 LONG TERM STANDING AGREEMENTS FOR STORAGE, TRANSPORTATION, AND LEASE**

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

E-Government Act of 2002, P.L. 107-347.

**OBJECTIVES:**

Provide storage, transportation, and lease for foreign agricultural commodities in support of Commodity Credit Corporation (CCC) price supports. This CFDA program is being used to report Foreign Agriculture Service (FAS) Non FAR (Federal Acquisition Register) lease, storage, transportation, and FFIS (Foundation Financial Information System) Non FPDS-NG (Federal Procurement Data System-Next Generation) lease agreements along with processing fees and bartering values. They are long standing agreements (contracts) with warehouses & transportation companies to store and transport grain and processed commodities, commodity processing fees, and bartering values.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The payments provide for the storage, transportation, and leasing for foreign agricultural commodities during the designated CCC price support period of activity along with associated processing fees and bartering values. The payments provide for the storage, transportation, and leasing for foreign agricultural commodities during the designated CCC price support period of activity along with associated processing fees and bartering values.

**Applicant Eligibility:**

Approved and certified, crop storage facilities, transportation companies, processing operations and State and local governments. Payments may go to private entities as well as public entities.

**Beneficiary Eligibility:**

Foreign entities and producers whose crops are eligible for price supports through CCC.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Upon request of Foreign Agriculture Service, proposals are submitted to local county Farm Service Agency Office or U.S. Department of Agriculture Service Centers.

**Award Procedure:**

Foreign Agriculture Service considers the proposals received and evaluates the qualifications of the proposal.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Determined by FAS Headquarters. See the following for information on how assistance is awarded/released: Determined by FAS Headquarters.

**Reports:**

Not Applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients under this program are subject to Audit by the Office of the Regional Inspector General, U.S. Department of Agriculture.

**Records:**

Any individual or entity receiving payment under this program shall maintain and retain financial books, records, supporting documents, and all other records pertinent to the award for at least three years, following the end of the calendar year in which payment was received.

**Account Identification:**

12-2900-0-1-352.

**Obligations:**

(Direct Payments for Specified Use) FY 10 Not Available(Exp: New Program); FY 11 est \$114,543,144; and FY 12 est \$114,543,144

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is announced through new media and in letters to agricultural storage, transportation, processors and lessors in the county.

**Regional or Local Office:**

None.

**Headquarters Office:**

Commodity and Marketing Programs 1400 Independence Avenue, SW , Washington, District of Columbia 20250 Phone: (202) 720-4761

**Website Address:**

<http://www.fas.usda.gov/mos/programs/map.asp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility requirements may receive assistance payments subject to the national payment factor. Applications are non-competitive.

**DEPARTMENT OF COMMERCE**

**11.432 NATIONAL OCEANIC AND ATMOSPHERIC**

## **ADMINISTRATION (NOAA) COOPERATIVE INSTITUTES**

### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

### **AUTHORIZATION:**

National Climate Program Act, 15 U.S.C 2904; National Climate Program Act, 15 U.S.C 2901 et seq; Fish and Wildlife Act, 16 U.S.C 753a; Cooperative Agreements/Reimbursement to Further NOAAs Mission, 15 U.S.C 1540; Fish and Wildlife Coordination Act of 1956, 16 U.S.C 661; Department of Commerce Appropriation Act of 1999; Federal Aviation Act, 49 U.S.C 44720(b); Weather Service Organic Act, 15 U.S.C 313; Navigation and Navigable Waters, 33 U.S.C 883d; Navigation and Navigable Waters, 33 U.S.C 1442.

### **OBJECTIVES:**

To increase the effectiveness of research and develop innovative approaches to education in the environmental sciences by facilitating cooperation between government, university, and nonprofit research institutions.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Program authorizes funds to be used for research and development, education and training, advisory services and operational systems as they relate to specific NOAA programs. Specific restrictions, other than those mandated for cooperative agreements, are evaluated on an individual program basis. Most Cooperative Institutes (CIs) operate under a Memorandum of Understanding/Memorandum of Agreement and are geographically located near a NOAA Research laboratory or a NOAA facility. In addition, 118 Stat. 71 (2004) authorizes the Secretary to designate (delegated to the Under Secretary of NOAA) CIs to use the personnel, services, or facilities of such organizations for research, education, training, and outreach to further NOAA's mission under a cooperative agreement.

### **Applicant Eligibility:**

Single or multiple non-federal public and private non-profit universities, colleges and research institutions that collectively offer accredited graduate level degree-granting programs in NOAA related sciences.

### **Beneficiary Eligibility:**

Organizations with interests in support of the NOAA mission to understand and predict changes in Earth's environment and conserve and manage coastal and marine resources to meet the nations' economic, social, and environmental needs.

### **Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with OMB Circular Nos. A-21 for agreements with educational institutions, A-87 for State and local governments, and A-122 for nonprofit institutions. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

The standard application forms as furnished by the agency and required by OMB Circular Nos. A-21 and A-110 must be used for this program. This program is excluded from coverage under OMB Circular No. A-102. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals for new cooperative agreements are solicited with an announcement in the Federal Register. These announcements include specific information for proposal submission. All proposals are subject to the requirements of OMB Circular Nos. A-21 and A-110, as applicable.

### **Award Procedure:**

Accepted applications are subject to peer review by a review panel assembled by the Cooperative Institute Program Manager. All applicants are notified whether or not their proposal was funded.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 90 to 180 days from time of proposal submission.

### **Appeals:**

Not Applicable.

### **Renewals:**

Initial awards are for 5 years; renewals may be made for a period of up to 5 additional years, based upon the availability of funds and the results of an extensive scientific and administrative review, typically occurring in the fourth year of the first 5-year award..

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

### **Length and Time Phasing of Assistance:**

Generally, five years with funding approved on individual and group proposal basis throughout the 5 years in accordance with DOC approval. See the following for information on how assistance is awarded/released: As described in Standard Terms and Agreement.

### **Reports:**

In accordance with applicable report or announcement published in the Federal Register and/or Federal Funding Opportunities in Grants.gov. . . .

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Recipients are expected to maintain complete records for each cooperative agreement to insure funds are used for the purposes that the cooperative agreement was made. Records must be retained for 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

### **Account Identification:**

13-1450-0-1-306.

### **Obligations:**

(Project Grants) FY 10 \$175,828,248; FY 11 est \$147,000,000; and FY 12 est \$147,000,000

### **Range and Average of Financial Assistance:**

Total annual funding at current Cooperative Institutes ranges from \$1,300,000 to \$30,000,000. Average funding is \$10,000,000.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

### **Regional or Local Office:**

None. OAR, Philip Hoffman - CI Director, NOAA Research, R/LCX2, 1315 East-West Highway, Room 11308, Silver Spring, MD 20910. Telephone: 301-734-1090. E-mail: Philip.Hoffman@noaa.gov. NESDIS, Ingrid Guch, Chief, Cooperative Research Programs Division, World Weather Building, Suite 701, 5200 Auth Road, Camp Springs, MD 20746. Telephone: (301) 763-8282 x152. E-mail: Ingrid.Guch@noaa.gov. NMFS, Kathleen Jewett, 2725 Montlake Blvd East, Seattle, WA 98112-2097. Telephone: (206) 860-3208.



E-mail: Kathleen.Jewett@noaa.gov.

**Headquarters Office:**

Philip Hoffman OAR: Dr. Philip Hoffman, CI Director NOAA Research, R/LCX2.1315 East-West Highway, Room 11308, Office: (301) 734-1090 Cell: (301) 452-3013 Fax: (301) 713-1459 E-mail: Philip.Hoffman@noaa.gov, NESDIS: Ingrid Guch, Chief, Cooperative Research Programs Division, World Weather Building, Suite 701, 5200 Auth Road, Camp Springs, MD 20746 Office: (301) 763-8282 x152 Fax: (301) 763-8108 E-mail: ingrid.guch@noaa.gov, NMFS: Kathleen Jewett, 2725 Montlake Blvd East Seattle, WA 98112-2097 Office: (206) 860-3208 Fax: (206) 860-3442 E-mail: kathleen.jewett@noaa.gov.

, Silver Spring, Maryland 20910 Phone: (301) 734-1090.

**Website Address:**

<http://www.nrc.noaa.gov/ci>

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.430 Undersea Research; 11.431 Climate and Atmospheric Research; 11.459 Weather and Air Quality Research; 11.460 Special Oceanic and Atmospheric Projects; 11.462 Hydrologic Research; 11.468 Applied Meteorological Research; 11.473 Coastal Services Center

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to peer-review evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into primary consideration scientific merit and application to the mission goals of NOAA.

**DEPARTMENT OF DEFENSE**

**12.101 BEACH EROSION CONTROL PROJECTS**

(Small Beach Erosion Control Projects)

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

River and Harbor Act of 1962, Section 103, as amended, Public Law 87-874, 33 U.S.C. 426g.

**OBJECTIVES:**

To control beach and shore erosion to public shores through projects not specifically authorized by Congress.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Corps of Engineers designs and constructs the project. Each project selected must be engineering feasible, complete within itself, and economically justified.

The nonfederal sponsoring agency must agree to: (1) Share equally in cash and in-kind services for feasibility studies; (2) share in the cost of the project, including a cash contribution, providing the necessary lands, easements, right-of-way, and relocations required for the project; (3) assume full responsibility for all project costs in excess of the Federal cost limit of \$2,000,000; (4) hold and save the United States free from damages; (5) assure that water pollution that would affect the health of bathers will not be permitted; (6) assure continued public ownership or public use of the beach, and its administration for public use; (7) provide project maintenance; and (8) provide and maintain necessary access roads, parking areas and other public use facilities open and available to all on equal terms.

**Applicant Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial capability, and willingness to provide all necessary local participation and required cooperation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Formal letter to the District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation.

**Award Procedure:**

The Division Engineer approves an individual project upon the basis of a comprehensive investigation and report by the District Engineer. Advertising and award are subject to availability of funds from the Chief of Engineers.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. Project planning studies are undertaken in a single feasibility phase. The first \$100,000 is federally funded. Additional study costs are shared 50/50 with local sponsor. Local cost participation requirements and procedures for determining the local share of project cost are similar to those for beach erosion control projects specifically authorized by Congress under regular authorization procedures, but Federal participation cannot exceed \$2,000,000, the determination of local costs is based on the public use and ownership of the beach protected. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A semiannual report is submitted to the District Engineer covering inspections, maintenance, and current project status. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As necessary to show past project conditions and local actions.

**Account Identification:**

96-3122-0-1-301.

**Obligations:**

(Provision of Specialized Services) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulation 1105- 2-10, App. E (33 CFR 263) and information sheets describing this program are available from the District Engineer.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of District Engineers.

**Headquarters Office:**

Lee Tew 441 G. Street. NW  
, Washington, District of Columbia 20314 Email:  
Donnie.L.Tew@usace.army.mil Phone: 202-761-1504

**Website Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

12.102 Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.105 PROTECTION OF ESSENTIAL HIGHWAYS, HIGHWAY BRIDGE APPROACHES, AND PUBLIC WORKS**

(Emergency Bank Protection)

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Flood Control Act of 1946, Section 14, Public Law 79-526, 33 U.S.C. 701r, as amended; Public Laws 93-251 and 99-662.

**OBJECTIVES:**

To provide bank protection of highways, highway bridges, essential public works, churches, hospitals, schools, and other nonprofit public services endangered by flood-caused erosion.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Corps of Engineers designs and constructs the project. Each project selected must be engineering feasible, complete within itself and economically justified. Nonfederal interests are responsible for all project costs in excess of the Federal limit of \$1,000,000. Nonfederal sponsor must share in project costs, including cash and lands, easements, rights-of-way; utility relocations; hold and save the United States free from damages; and, maintain the project at local cost after completion.

**Applicant Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial ability and willingness to provide all necessary local participation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Formal letter to the District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation.

**Award Procedure:**

The Division Engineer approves an individual project upon the basis of an investigation and report by the District Engineer who investigates and processes all applications. Advertisement and award at construction is subject to availability of funds from the Chief of Engineers.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In most cases project studies will be at Federal expense. Cost-sharing is required for project, but Federal participation cannot exceed \$1,000,000.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

No program reports are required. No cash reports are required. A semiannual report is submitted to the District Engineer covering inspections, maintenance, and current project status. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As necessary to show past project conditions and local actions.

**Account Identification:**

96-3122-0-1-301.

**Obligations:**

(Provision of Specialized Services) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulation 1105- 2-10, Chapter 9 (33 CFR 263) and information sheets describing this program are available from the nearest District Engineer.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

Lee Tew 441 G. Street. NW  
, Washington, District of Columbia 20314 Email:  
Donnie.L.Tew@usace.army.mil Phone: 202-761-1504

**Website Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

12.102 Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works; 12.103 Emergency Operations Flood Response and Post Flood Response

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.106 FLOOD CONTROL PROJECTS**

(Small Flood Control Projects)

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Flood Control Act of 1948, Section 205, Public Law 80-858, as amended, 33 U.S.C. 701s; Public Law 93-251, as amended; Public Laws 97-140 and 99-662.

**OBJECTIVES:**

To reduce flood damages through projects not specifically authorized by Congress.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Corps of Engineers designs and constructs the projects. Each project selected must be engineering feasible, complete within itself, and economically justified. Nonfederal sponsoring agency will share equally in the cost of feasibility studies (cash and in-kind services), shares in the project cost in cash, lands, damages and project costs in excess of the Federal cost limit of \$7,000,000; provides a cash contribution for land enhancement benefits and for project costs assigned to project features other than flood control; prevent future encroachment which might interfere with proper functioning of the project for flood control; and, maintain the project after completion. Local cost participation requirements and procedures for determining the local share of project cost are similar to those for flood control projects specifically authorized by Congress under regular authorization procedures.

**Applicant Eligibility:**

States, political subdivisions of States, or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibility.

**Beneficiary Eligibility:**

States, political subdivisions of States, or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibility.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial ability, and willingness to provide necessary local participation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Formal letter to the District Engineer indicating clear intent to provide all required local participation.

**Award Procedure:**

The Division Engineer approves an individual project upon the basis of a comprehensive investigation and report by the District Engineer. Advertisement and awards of construction is subject to availability of funds from the Chief of Engineers.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Project Planning Studies are undertaken in a single feasibility phase. The first \$100,000 is federally Funded. Additional cost are cost-shared 50/50 with local sponsor. Cost-sharing is required for project construction, and consists of cash, provision of lands, easements, right-of-way, and relocation necessary for the project, and other requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

No program reports are required. No cash reports are required. A semiannual report is submitted to the District Engineer covering inspections, maintenance, and current project status. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As necessary to show past project conditions and local actions.

**Account Identification:**

96-3122-0-1-301.

**Obligations:**

(Provision of Specialized Services) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulation 1105- 2-10, App. E (33 CFR 263) and information sheets

describing this program are available from the District Engineer.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

Lee Tew 441 G. Street. NW  
, Washington, District of Columbia 20314 Email:  
Donnie.L.Tew@usace.army.mil Phone: 202-761-1504

**Website Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

12.104 Flood Plain Management Services; 12.108 Snagging and Clearing for Flood Control

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.107 NAVIGATION PROJECTS**

(Small Navigation Projects)

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

River and Harbor Act of 1960, Section 107, as amended, Public Law 86-645, 33 U.S.C. 577.

**OBJECTIVES:**

To provide the most practicable and economic means of fulfilling the needs of general navigation, through projects not specifically authorized by Congress.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Corps of Engineers designs and constructs the project. Each project selected must be engineering feasible, complete within itself, and economically justified.

The nonfederal sponsoring agency must agree to assume full responsibility for all project costs in excess of the Federal cost limit of \$4,000,000; equally share with the Federal government the cost of feasibility studies; contribute toward project costs for construction and maintenance in view of recreational benefits, land enhancement benefits or other special local benefits; provide all necessary lands, easements, rights-of-way; hold and save the United States free from damages; and, provide adequate public landing or wharf, piers, access roads, parking areas and other needed public facilities open and available to all on equal terms. Local cost participation requirements and procedures for determining the local share of project cost are similar to those for navigation projects specifically authorized by Congress under regular authorization procedures. No project is to be recommended for implementation under the Section 107 authority for which the total constant dollar Federal costs over 50 years exceed the greater of \$4,500,000 or 2.25 times the Federal construction cost, both discounted at the current water project discount rate.

**Applicant Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial capability, and willingness to provide all necessary local participation and required cooperation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A formal letter to the District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation. Advertisement and award of construction is subject to availability of funds from the Chief of Engineers.

**Award Procedure:**

The Division Engineer approves an individual project upon the basis of a comprehensive investigation and report by the District Engineer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Project planning studies are undertaken a single feasibility phase. The first \$100,000 is Federally funded. Additional study costs are cost-shared 50/50 with local sponsor. Cost-sharing is required for project construction and consists of cash; provision of lands, easements rights-of-way and relocations necessary for the project and other requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

96-3122-0-1-301.

**Obligations:**

(Provision of Specialized Services) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulation 1105- 2-10, App. E (33 CFR 263) and information sheets describing this program are available from the District Engineer.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

Lee Tew 441 G. Street. NW  
, Washington, District of Columbia 20314 Email:  
Donnie.L.Tew@usace.army.mil Phone: 202-761-1504

**Website Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

12.109 Protection, Clearing and Straightening Channels

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.108 SNAGGING AND CLEARING FOR FLOOD CONTROL**

(Section 208)

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Flood Control Act of 1937, as amended, Section 2, Public Law 79-14, 33 U.S.C. 701g; Public Laws 83-780, 93-251, and 99- 662.

**OBJECTIVES:**

To reduce flood damages.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Corps of Engineers designs and constructs the project. Each project selected must be engineering feasible, complete within itself, and economically justified. The nonfederal sponsor must provide all lands, easements and rights-of-way; provide all project costs in excess of the Federal limit of \$500,000; agree to maintain project after construction; hold and save the United States free from damages; provide a contribution toward construction costs for land enhancement or special benefits; agree to prevent future encroachment which might interfere with proper functioning of the project for flood control. Local cost participation requirements and procedures for feasibility study cost-sharing and determining the local share of project cost are similar to those for flood control projects specifically authorized by Congress under regular authorization procedures.

**Applicant Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Beneficiary Eligibility:**

States, political subdivisions of States or other responsible local agencies established under State law with full authority and ability to undertake necessary legal and financial responsibilities.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial capability and willingness to provide all necessary local participation and required cooperation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Formal letter to District Engineer from a prospective sponsoring agency indicating clear intent to provide all required local participation.

**Award Procedure:**

The Division Engineer approves an individual project upon the basis of an investigation and report by the District Engineer, who investigates and processes all applications. Advertisement and award of construction is subject to availability of funds from the Chief of Engineers.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In most cases project studies will be at Federal expense. Cost-sharing is required for projects, but the Federal part cannot exceed \$500,000,000.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

No program reports are required. No cash reports are required. A semiannual report is submitted to the District Engineer covering inspections, maintenance, and current project status. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As necessary to show past project conditions and local actions.

**Account Identification:**

96-3122-0-1-301.

**Obligations:**

(Provision of Specialized Services) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineer Regulations 1105-2-10 Chap. 4 (33 CFR 263) and information sheets regarding this program are available from nearest District Engineer.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

Lee Tew 441 G. Street. NW  
, Washington, District of Columbia 20314 Email:  
Donnie.L.Tew@usace.army.mil Phone: 202-761-1504

**Website Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

12.102 Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works; 12.106 Flood Control Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.110 PLANNING ASSISTANCE TO STATES**

(Section 22)

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Water Resources Development Act of 1974, Section 22, Public Law 93-251, as amended, 42 U.S.C. 1962d-16.

**OBJECTIVES:**

To cooperate with any State in the preparation of comprehensive plans for the development, utilization and conservation of water and related land resources of drainage basins located within the boundaries of such State.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The State must have a planning program for the development, utilization or conservation of the water and related land resources underway or laid out in sufficient detail so that the relationship of a State's request for Corps input for some particular aspect of the program may be appraised. All Corps input must be an integral part of the State program. The input from the Corps is to be on an effort or service sharing basis in lieu of an outright grant basis. Federal program funds are limited to \$10,000,000 annually and not more than \$500,000 in Federal funds shall be expended in any one year in any one State.

**Applicant Eligibility:**

The 50 States, the District of Columbia, Guam, American Samoa, the Commonwealth of the Northern Marianas, Palau Island, the Commonwealth of Puerto Rico, the Virgin Islands, and Federally recognized Indian tribes.

**Beneficiary Eligibility:**

The 50 States, the District of Columbia, Guam, American Samoa, the Commonwealth of the Northern Marianas, Palau Island, the Commonwealth of Puerto Rico the Virgin Islands, and Federally recognized Indian tribes.

**Credentials/Documentation:**

Applicants must furnish evidence in sufficient detail so that the relationship of a State's request for Corps input for some particular aspect of the State program may be appraised. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests are made in the form of a letter to the District Engineer documenting the need for assistance.

**Award Procedure:**

The appropriate Division Engineer reviews and approves State requests. The Office of the Chief of Engineers allocates funds to the appropriate Corps field office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Technical planning services are provided with Federal program funds. The Corps of Engineers has been authorized to collect contributions from beneficiaries of this program, recovering approximately 50 percent of the cost of such services.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are released from the Office of the Chief of Engineers on an annual basis shortly after the start of the fiscal year. The length of the study is defined in the plan of study but is subject to some modification, depending on the availability of funds to each of the participating States. Federal assistance is provided as rapidly as possible depending on availability of funds and competent personnel resources. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

96-3121-0-1-301.

**Obligations:**

(Provision of Specialized Services) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Engineering Regulation 1105-2-100, Chapter Section VI, available from the nearest District Engineer and Title 33, Part 265 "Planning Assistance to States" in the Federal Register dated 15 September 1975, revised 21 January 1977.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

Lee Tew 441 G. Street. NW  
, Washington, District of Columbia 20314 Email:  
Donnie.L.Tew@usace.army.mil Phone: 202-761-1504

**Website Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

11.420 Coastal Zone Management Estuarine Research Reserves

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.112 PAYMENTS TO STATES IN LIEU OF REAL ESTATE TAXES  
FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Flood Control Act of 1941, as amended, Public Law 83-228; Flood Control Act of 1946, as amended, Public Law 83-526, Public Law 83-60; Flood Control Act of 1954, Public Law 83-780, 33 U.S.C. 701C- 3.

**OBJECTIVES:**

To compensate local taxing units for the loss of taxes from federally acquired lands, 75 percent of all monies received or deposited in the Treasury during any fiscal year for the account of leasing of lands acquired by the United States for flood control, navigation and allied purposes, including the development of hydroelectric power, are paid at the end of each year to the States in which such property is situated.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be expended as the State legislature may prescribe for the benefit of public schools and public roads of the county in which property is located, or for defraying of the expenses of the county government, including public obligations of levees and drainage districts for flood control and drainage improvements.

**Applicant Eligibility:**

State government in which lands have been Federally acquired for purposes defined under Objectives.

**Beneficiary Eligibility:**

State and county government being compensated and their residents.

**Credentials/Documentation:**

Districts report to CERM-F by State and county the amounts collected. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Automatic distribution is made as authorized by 33 U.S.C. 701c-3. No application is necessary. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 83-780. To compensate local taxing units for the loss of taxes from federally acquired lands, 75 percent of all monies received or deposited in the Treasury during any fiscal year for the account of

leasing of lands acquired by the United States for flood control, navigation and allied purposes, including the development of hydroelectric power, are paid at the end of each year to the States in which such property is situated. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Automatic distribution is made as authorized by 33 U.S.C. 701c-3.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

96-9921-0-2-999.

**Obligations:**

(Formula Grants) FY 10 \$10,244,372; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lee Tew 441 G. Street. NW  
, Washington, District of Columbia 20314 Email:  
Donnie.L.Tew@usace.army.mil Phone: 202-761-1504

**Website Address:**

<http://www.usace.army.mil/business.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.116 DEPARTMENT OF DEFENSE APPROPRIATION ACT OF 2003  
(Section 8044)**

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Department of Defense Appropriation Act 2003, Public Law 107-248.

**OBJECTIVES:**

For developing a system for prioritization of mitigation and cost to complete estimates for mitigation, on Indian lands resulting from Department of Defense activities. (1) For the mitigation of environmental impacts, including training and technical assistance to tribes, related administrative support, the gathering of information, documenting of environmental damage, and developing a

system for prioritization of mitigation and cost to complete estimates for mitigation, on Indian lands resulting from Department of Defense activities.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Funds, as appropriated by Congress, may be used by the State and Tribes of the funds appropriated to the Department of Defense under the heading "Operation and Maintenance, Defense-Wide", not less than \$10,000,000 shall be made available only for the mitigation of environmental impacts, including training and technical assistance to tribes, related administrative support, the gathering of information, documenting of environmental damage, and developing a system for prioritization of mitigation and cost to complete estimates for mitigation, on Indian lands resulting from Department of Defense activities.

**Applicant Eligibility:**

The 50 States, the District of Columbia, Guam, American Samoa, the Commonwealth of the Northern Marianas, Palau Island, the Commonwealth of Puerto Rico, the Virgin Islands, and Federally recognized Indian tribes.

**Beneficiary Eligibility:**

The 50 States, the District of Columbia, Guam, American Samoa, the Commonwealth of the Northern Marianas, Palau Island, the Commonwealth of Puerto Rico, the Virgin Islands, and Federally recognized Indian tribes.

**Credentials/Documentation:**

Applicants must furnish evidence is sufficient detail so that the relationship of a State's or Tribes request for Corps input for some particular aspect of the State or Tribe program may be appraised. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests are made in the form of a letter to the District Engineer documenting the need for assistance.

**Award Procedure:**

The appropriate Division Engineer reviews and approves federally recognized Tribe requests. The Office of the Chief of Engineers allocates funds to the appropriate Corps field office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: 100 percent Federal upon award.  
Matching requirements are not applicable to this program.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are released from the Office of the Chief of Engineers on an annual basis after the start of the fiscal year. The length of the agreement is defined in the Cooperative Agreement, but is subject to some modification, depending on the availability of funds to each of the participating Federally recognized Tribe. See the following for information on how assistance is awarded/released: Federal assistance is provided as rapidly as possible depending on availability of funds and competent personnel resources. Federal assistance is not guaranteed beyond the term of the Cooperative Agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly

reports are required including financial (SF 269). SEE MOA/CA for details. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. internal review is accomplished by BIA of Tribal programs.

**Records:**

Per OMB Circular No. A-102.

**Account Identification:**

97-2003-0-1-999.

**Obligations:**

(Provision of Specialized Services) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOD Regulation 3210.6-R Department of Defense Grant and Agreement Regulations.

**Regional or Local Office:**

None. See Appendix IV of the Catalog for listing of District Engineers.

**Headquarters Office:**

Lee Tew 441 G. Street. NW  
, Washington, District of Columbia 20314 Email:  
Donnie.L.Tew@usace.army.mil Phone: 202-761-1504

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.118 NORTH DAKOTA ENVIRONMENTAL INFRASTRUCTURE (SECTION 594) - ARRA**

North Dakota Environmental Infrastructure (Section 594) - ARRA

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Water Resources Development Act of 1999, Section 594, Public Law 106-53, 113 Stat. 381.

**OBJECTIVES:**

To provide environmental assistance to non-Federal interests in Ohio and North Dakota. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in Ohio and North Dakota, including projects for: wastewater treatment and related facilities; combined sewer overflow, water supply, storage, treatment, and related facilities; mine drainage; environmental restoration; and surface water resource protection and development.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)



**USES AND USE RESTRICTIONS:**

Assistance may be potentially used to provide environmental assistance to non-Federal interests in Ohio and North Dakota. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in Ohio and North Dakota, including projects for: wastewater treatment and related facilities; combined sewer overflow, water supply, storage, treatment, and related facilities; mine drainage; environmental restoration; and surface water resource protection and development. Assistance may be provided only for projects that are publically owned and must enter into a written agreement to furnish its required cooperation for the project.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Cost documentation is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Before providing assistance under this section, the Secretary of the Army shall enter into a project cooperation agreement with a non-Federal interest to provide for design and construction of the project to be carried out with the assistance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 25%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

When appropriated. Funds expire for purposes of obligation on 30 September 2010. See the following for information on how assistance is awarded/released: Assistance is incrementally released based on periodically submitted cost documentation.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009 (Public Law 111-5). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

96-3134-0-0-000.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$801,705; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lee Tew, 441 G Street NW, Washington, District of Columbia 20314 Email: Donnie.L.Tew@usace.army.mil Phone: (202) 761-1504.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects in North Dakota are recommended by North Dakota congressional offices.

**12.119 NORTHERN WISCONSIN ENVIRONMENTAL INFRASTRUCTURE (SECTION 154) - ARRA**

Northern Wisconsin Environmental Infrastructure (Section 154) - ARRA

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Consolidated Appropriations Act of 2001, Section 154, Public Law 106-554, 114 Stat. 252.

**OBJECTIVES:**

To provide environmental assistance to non-Federal interests in northern Wisconsin to include the counties of Douglas, Ashland, Bayfield, and Iron. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in northern Wisconsin, including projects for: wastewater treatment and related facilities, water supply related facilities, environmental restoration; and surface water resource protection and development.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

This program is to provide environmental assistance to non-Federal interests in northern Wisconsin to include the counties of Douglas, Ashland, Bayfield, and Iron. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in northern Wisconsin, including projects for: wastewater treatment and related facilities, water supply related facilities, environmental restoration; and surface water resource protection and development. Assistance may be provided only for projects that are publically owned and must enter into a written agreement to furnish its required cooperation for the project.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Cost documentation is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Before providing assistance under this section, the Secretary of the Army shall enter into a project cooperation agreement with a non-Federal interest to provide for design and/or construction of the project to be carried out with the assistance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 25.%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

When appropriated. Funds expire for purposes of obligation on 30 September 2010. See the following for information on how assistance is awarded/released: Assistance is incrementally released based on periodically submitted cost documentation.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009 (Public Law 111-5). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

96-3134-0-0-000.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$10,999; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lee Tew, 441 G Street NW, Washington, District of Columbia 20314 Email: Donnie.L.Tew@usace.army.mil Phone: (202) 761-1504.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects in northern Wisconsin are recommended by a Section 154 selection committee made up County and Tribal representatives from the included counties (Douglas, Ashland, Bayfield, and Iron) and the congressional office.

**12.120 NORTHEASTERN MINNESOTA ENVIRONMENTAL INFRASTRUCTURE (SECTION 569) - ARRA**

Northeastern Minnesota Environmental Infrastructure (Section 569) - ARRA

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Water Resources Development Act of 1999, Section 569, Public Law 106-53, 113 Stat. 368.

**OBJECTIVES:**

To provide environmental assistance to non-Federal interests in northeastern Minnesota to include the counties of Cook, Lake, St. Louis, Koochiching, Itasca, Cass, Crow Wing, Aitkin, Carlton, Pine, Kanabec, Mille Lacs, Morrison, Isanti, Chisago, Beltrami, Hubbard, and Wadena. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in northeastern Minnesota, including projects for: wastewater treatment and related facilities, water supply related facilities, environmental restoration; and surface water resource protection and development.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

This program is to provide environmental assistance to non-Federal interests in northeastern Minnesota to include the counties of Cook, Lake, St. Louis, Koochiching, Itasca, Cass, Crow Wing, Aitkin, Carlton, Pine, Kanabec, Mille Lacs, Morrison, Isanti, Chisago, Beltrami, Hubbard, and Wadena. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in northeastern Minnesota, including projects for: wastewater treatment and related facilities, water supply related facilities, environmental restoration; and surface water resource protection and development. Assistance may be provided only for projects that are publically owned and must enter into a written agreement to furnish its required cooperation for the project.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Cost documentation is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Before providing assistance under this section, the Secretary of the Army shall enter into a project cooperation agreement with a non-Federal interest to provide for design and/or construction of the project to be carried out with the assistance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 25%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

When appropriated. Funds expire for purposes of obligation on 30 September 2010. See the following for information on how assistance is awarded/released: Assistance is incrementally released based on periodically submitted cost documentation.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009 (Public Law 111-5). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

96-3134-0-0-000.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$5,023,152; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lee Tew, 441 G Street NW, Washington, District of Columbia 20314 Email: Donnie.L.Tew@usace.army.mil Phone: (202) 761-1504.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects in northeastern Minnesota are recommended by a Section 569 selection committee made up of other State and Federal agency representatives who work with environmental infrastructure type projects/programs.

**12.121 MONTANA, NEVADA, NEW MEXICO, UTAH, IDAHO, & WYOMING ENVIRONMENTAL INFRASTRUCTURE (SECTION 595) - ARRA**

Montana, Nevada, New Mexico, Utah, Idaho, & Wyoming Environmental Infrastructure (Section 595) - ARRA

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Water Resources Development Act of 1999, as amended, Section 595, Public Law 106-53, 113 Stat. 383.

**OBJECTIVES:**

This program is to provide water-related environmental assistance and resource protection to non-Federal interests in Idaho, Montana, rural Nevada, New Mexico, rural Utah, and Wyoming. Assistance may be in the form of design and construction grants or reimbursements for water-related environmental infrastructure and resource protection and development projects, including projects for: wastewater treatment and related facilities; combined sewer overflow, water supply, storage, treatment, and related facilities; mine drainage; environmental restoration; and surface water resource protection and development.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

This program is to provide water-related environmental assistance and resource protection to non-Federal interests in Idaho, Montana, rural Nevada, New Mexico, rural Utah, and Wyoming. Assistance may be in the form of design and construction grants or reimbursements for water-related environmental infrastructure and resource protection and development projects, including projects for: wastewater treatment and related facilities; combined sewer overflow, water supply, storage, treatment, and related facilities; mine drainage; environmental restoration; and surface water resource protection and development. Assistance may be provided only for projects that are publically owned and must enter into a written agreement to furnish its required cooperation for the project.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Cost documentation is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Before providing assistance under this section, the Secretary of the Army shall enter into a project cooperation agreement with a non-Federal interest to provide for design and construction of the project to be carried out with the

assistance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25.%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

When appropriated. Funds expire for purposes of obligation on 30 September 2010. See the following for information on how assistance is awarded/released: Assistance is incrementally released based on periodically submitted cost documentation.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009 (P.L. 111-5). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

96-3134-0-0-000.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$5,896,662; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lee Tew 441 G. Street. NW  
, Washington, District of Columbia 20314 Email:  
Donnie.L.Tew@usace.army.mil Phone: 202-761-1504

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: None. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects in are recommended by congressional offices.

**12.123 SOUTH CENTRAL PENNSYLVANIA ENVIRONMENTAL INFRASTRUCTURE (SECTION 313) - ARRA**

South Central Pennsylvania Environmental Infrastructure (Section 313) - ARRA  
**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Water Resources Development Act of 1992, Section 313, Public Law 102-580, 113 Stat. 310.

**OBJECTIVES:**

To provide environmental assistance to non-Federal interests in south central Pennsylvania. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in south central Pennsylvania, including projects for: wastewater treatment and related facilities; water supply, storage, treatment, and distribution facilities; and surface water resource protection and development.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

This program is to provide environmental assistance to non-Federal interests in south central Pennsylvania. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in south central Pennsylvania, including projects for: wastewater treatment and related facilities; water supply, storage, treatment, and distribution facilities; and surface water resource protection and development. Assistance may be provided only for projects that are publically owned and must enter into a written agreement to furnish its required cooperation for the project.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Cost documentation is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Before providing assistance under this section, the Secretary of the Army shall enter into a Project Partnership Agreement with a non-Federal interest to provide for design and construction of the project to be carried out with the assistance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25.%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

When appropriated. Funds expire for purposes of obligation on 30 September 2010. See the following for information on how assistance is awarded/released: Assistance is incrementally released based on periodically submitted cost documentation.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009 (Public Law 111-5). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

96-3134-0-0-000.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$2,000,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lee Tew, 441 G Street NW, Washington, District of Columbia 20314 Email: Donnie.L.Tew@usace.army.mil Phone: (202) 761-1504.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects in south central Pennsylvania are recommended by Pennsylvania congressional offices.

**12.124 MISSISSIPPI ENVIRONMENTAL INFRASTRUCTURE (SECTION 592) - ARRA**

Mississippi Environmental Infrastructure (Section 592) - ARRA

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Water Resources Development Act of 1999, Section 592, Public Law 106-53, 113 Stat. 379.

**OBJECTIVES:**

To provide environmental assistance to non-Federal interests in Mississippi. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in Mississippi, including projects for wastewater

treatment and related facilities, elimination or control of combined sewer overflow, water supply and related facilities, environmental restoration, and surface water resource protection and development.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

This program is to provide environmental assistance to non-Federal interests in Mississippi. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in Mississippi, including projects for wastewater treatment and related facilities, elimination or control of combined sewer overflow, water supply and related facilities, environmental restoration, and surface water resource protection and development. Assistance may be provided only for projects that are publically owned and the Non-Federal interest must enter into a written agreement to furnish its required cooperation for the project.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Cost documentation is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Before providing assistance under this section, the Secretary of the Army shall enter into a project cooperation agreement with a non-Federal interest to provide for design and construction of the project to be carried out with the assistance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25.%. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

When appropriated. Funds expire for purposes of obligation on 30 September 2010. See the following for information on how assistance is awarded/released: Assistance is incrementally released based on periodically submitted cost documentation.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009 (Public Law 111-5). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

96-3134-0-0-000.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$25,030,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lee Tew, 441 G Street, NW , Washington, District of Columbia 20314 Email: Donnie.L.Tew@usace.army.mil Phone: (202) 761-1504.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are requested by the public entities and these projects are prioritized by criteria based on non-compliance sewer or water systems with federal, state, and local government requirements; poverty/low income communities; public facilities affected, number of people impacted; project cost; and emergent issue projects.

**12.125 SOUTHERN WV ENVIRONMENTAL INFRASTRUCTURE (SECTION 340) - ARRA**

Southern WV Environmental Infrastructure (Section 340) - ARRA

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Water Resources Development Act of 1992, Section 340, Public Law 102-580, 106 Stat. 4856.

**OBJECTIVES:**

To provide environmental assistance to non-Federal interests in seventeen counties within the 3rd Congressional district in southern West Virginia. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in southern West Virginia, including projects for: wastewater treatment and related facilities; water supply, storage, treatment, and distribution facilities; and surface water resource protection and development.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This program is to provide environmental assistance to non-Federal interests in seventeen counties within the 3rd Congressional district in southern West Virginia. Assistance may be in the form of design and construction assistance

for water-related environmental infrastructure and resource protection and development projects in southern West Virginia, including projects for: wastewater treatment and related facilities; water supply, storage, treatment, and distribution facilities; and surface water resource protection and development. Assistance may be provided only for projects that are publically owned and must enter into a written agreement to furnish its required cooperation for the project.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Cost documentation is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Before providing assistance under this section, the Secretary of the Army shall enter into a Project Partnership Agreement with a non-Federal interest to provide for design and construction of the project to be carried out with the assistance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25.%. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

When appropriated. Funds expire for purposes of obligation on 30 September 2010. See the following for information on how assistance is awarded/released: Assistance is incrementally released based on periodically submitted cost documentation.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009 (Public Law 111-5). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

96-3134-0-0-000.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,528,803; FY 11 est \$98,859; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lee Tew, 441 G Street NW, Washington, District of Columbia 20314 Email: Donnie.L.Tew@usace.army.mil Phone: (202) 761-1504.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Environmental Infrastructure projects in southern WV are selected through a process administered by the Corps of Engineers and the West Virginia Infrastructure and Jobs Development Council.

**12.126 CENTRAL WV ENVIRONMENTAL INFRASTRUCTURE (SECTION 571) - ARRA**

Central WV Environmental Infrastructure (Section 571) - ARRA

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Water Resources Development Act of 1999, Section 571, Public Law 106-53, 113 Stat. 371.

**OBJECTIVES:**

To provide environmental assistance to non-Federal interests in eighteen counties in the 2nd Congressional district in central West Virginia. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in southern West Virginia, including projects for: wastewater treatment and related facilities; water supply, storage, treatment, and distribution facilities; and surface water resource protection and development.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This program is to provide environmental assistance to non-Federal interests in eighteen counties in the 2nd Congressional district in central West Virginia. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in southern West Virginia, including projects for: wastewater treatment and related facilities; water supply, storage, treatment, and distribution facilities; and surface water resource protection and development. Assistance may be provided only for projects that are publically owned and must enter into a written agreement to furnish its required cooperation for the project.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Cost documentation is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Before providing assistance under this section, the Secretary of the Army shall enter into a Project Partnership Agreement with a non-Federal interest to provide for design and construction of the project to be carried out with the assistance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25.%. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

When appropriated. Funds expire for purposes of obligation on 30 September 2010. See the following for information on how assistance is awarded/released: Assistance is incrementally released based on periodically submitted cost documentation.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009 (Public Law 111-5). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

96-3134-0-0-000.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,452,445; FY 11 est \$55,571; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lee Tew, 441 G Street NW , Washington, District of Columbia 20314 Email: Donnie.L.Tew@usace.army.mil Phone: (202) 761-1504.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Environmental Infrastructure projects in southern WV are selected through a process administered by the Corps of Engineers and the West Virginia Infrastructure and Jobs Development Council.

**12.127 SOUTHERN AND EASTERN KY ENVIRONMENTAL INFRASTRUCTURE (SECTION 531) - ARRA**

Southern and Eastern KY Environmental Infrastructure (Section 531) - ARRA

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Water Resources Development Act of 1996, Section 531, Public Law 104-303.

**OBJECTIVES:**

To provide environmental assistance to non-Federal interests in 29 counties in southern and eastern Kentucky. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in southern and eastern Kentucky, including projects for: wastewater treatment and related facilities; water supply, storage, treatment, and distribution facilities; and surface water resource protection and development.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This program is to provide environmental assistance to non-Federal interests in 29 counties in southern and eastern Kentucky. Assistance may be in the form of design and construction assistance for water-related environmental infrastructure and resource protection and development projects in southern and eastern Kentucky, including projects for: wastewater treatment and related facilities; water supply, storage, treatment, and distribution facilities; and surface water resource protection and development. Assistance may be provided only for projects that are publically owned and must enter into a written agreement to furnish its required cooperation for the project.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Cost documentation is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Before providing assistance under this section, the Secretary of the Army shall enter into a Project Partnership Agreement with a non-Federal interest to provide for design and construction of the project to be carried out with the

assistance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25.%. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

When appropriated. Funds expire for purposes of obligation on 30 September 2010. See the following for information on how assistance is awarded/released: Assistance is incrementally released based on periodically submitted cost documentation.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009 (Public Law 111-5). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

96-3134-0-0-000.

**Obligations:**

(Cooperative Agreements) FY 10 \$939,337; FY 11 est \$21,029; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lee Tew, 441 G Street NW, Washington, District of Columbia 20314 Email: Donnie.L.Tew@usace.army.mil Phone: (202) 761-1504.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Environmental Infrastructure projects in southern and eastern KY are selected through a process administered by the Corps of Engineers and the Kentucky



Personal Responsibility in a Desirable Environment (PRIDE).

**12.128 FLORIDA KEYS WATER QUALITY IMPROVEMENT PROGRAM (SECTION 109) - ARRA**

Florida Keys Water Quality Improvement Program (Section 109) - ARRA  
**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Miscellaneous Appropriations Act, 2001, Section 109, Public Law 106-554.

**OBJECTIVES:**

In coordination with the Florida Keys Aqueduct Authority, appropriate agencies of municipalities of Monroe County, Florida, and other appropriate public agencies of the State of Florida or Monroe County, this program provides technical and financial assistance to carry out projects for the planning, design, and construction of treatment works to improve water quality in the Florida Keys National Marine Sanctuary.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

In coordination with the Florida Keys Aqueduct Authority, appropriate agencies of municipalities of Monroe County, Florida, and other appropriate public agencies of the State of Florida or Monroe County, this program provides technical and financial assistance to carry out projects for the planning, design, and construction of treatment works to improve water quality in the Florida Keys National Marine Sanctuary. Assistance may be provided only for projects that are in the Florida Keys National Marine Sanctuary and must enter into a written agreement to furnish its required cooperation for the project.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Documentation of completed adequate planning and design activities and a financial plan identifying sources of non-Federal funding. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Before providing assistance under this section, the Secretary of the Army shall enter into a Project Partnership Agreement with a non-Federal interest to provide for design and construction of the project to be carried out with the assistance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 35%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

When appropriated. Funds expire for purposes of obligation on 30 September 2010. See the following for information on how assistance is awarded/released: Assistance is incrementally released based on periodically submitted cost documentation.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009 (Public Law 111-5). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

96-3134-0-0-000.

**Obligations:**

(Cooperative Agreements) FY 10 \$33,663,962; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lee Tew, 441 G Street NW , Washington, District of Columbia 20314 Email: Donnie.L.Tew@usace.army.mil Phone: (202) 761-1504.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The PDT developed a master list of potential projects and then ranked them according to the water quality benefits to be derived and the need in relation to other municipalities. All priority projects were required to be in water quality "hot spots" as designated by the U.S. Environmental Protection Agency. Selected projects are consistent with the master wastewater and stormwater plans for Monroe County, FL and will have substantial water quality benefits relative to other projects under consideration.

**12.217 ELECTRONIC ABSENTEE SYSTEMS FOR ELECTIONS**

EASE Grants

**FEDERAL AGENCY:**

Federal Voting Assistance Program, Department of Defense

**AUTHORIZATION:**

10 U.S.C. 2358  
42 USC 1973ff et al  
42 USC 1973gg et al  
10 USC 1566  
10 USC 1566a

PL 107-107, sec 1604, as amended by PL 108-375, Sec 567(a)  
PL 107-107, sec 1604, as amended by PL 108-375, Sec 567(b)  
NDAA 2010 Sec 589, Executive Order Executive Order 12642, 10 U.S.C 2358.

**OBJECTIVES:**

The objective of these activities will be to:

1. Establish and ensure successful, sustainable and affordable electronic tools that will improve voting systems for voters protected by the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA).
2. Increase the percentage of ballots successfully returned by UOCAVA voters to be either equal to, or greater than the percentage of ballots returned by the general voting population.
3. Collect and analyze data to increase effectiveness of absentee voting procedures and systems.
4. Establish and maintain a pipeline of ideas, techniques and best practices of Election Officials and their services for UOCAVA voters.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Develop innovative electronic election systems tools that will reduce impediments faced by UOCAVA voters.

**Applicant Eligibility:**

Applicants are encouraged to develop innovative approaches that utilize their unique assets, capabilities, locations, and personnel.

**Beneficiary Eligibility:**

The amount and period of performance of each selected proposal may vary depending on the research area and the technical approach to be pursued by the selected offeror.

**Credentials/Documentation:**

Costs will be determined in accordance to applicable regulations, applicable cost principles and appropriated OMB guidance (such OMB Circular A-87 for State, Local, and Indian Tribal Governments). Applicants may be required to demonstrate that they have the appropriate background, training, experience, and /or equipment to carry out the purposes of the assistance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals based on a scientific, technical, management and cost review. Evaluations will be conducted using the following evaluation criteria: number of UOCAVA voters served, sustainability, innovation, scalability, approach. The Government will evaluate options for award purposes by adding the total cost for all options to the total cost for the basic requirement. Evaluation of options will not obligate the Government to exercise the options during grant performance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Although DoD will attempt to make award decisions within sixty (60) to ninety (90) days; actual approval time may vary and depend in part on how quickly DoD obtains the required information and forms.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the assistance shall be determined at time of award. The length and time-phasing of the assistance will be stated in the assistance instrument and appropriately limited by the lawful availability of funds. See the following for information on how assistance is awarded/released: Mutually agreeable schedule for release of funds.

**Reports:**

Final report. SF-425. Programmatic interim report  
Data collection points reports. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. none

**Records:**

The Comptroller General of the United States or a duly authorized representative from the General Accounting Office shall, until 3 years after final payment under this grant have access to and right to examine any of the recipient's directly pertinent books, documents, papers, or other records involving transactions related to this grant.

**Account Identification:**

97-0400-7-3-010.

**Obligations:**

(Project Grants) FY 10 Not Available(Exp: First year grant); FY 11 est \$3,000,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DoD Grant and Agreement Regulations and applicable OMB Circulars

**Regional or Local Office:**

None.

**Headquarters Office:**

Bob Lavelle DHRA  
4800 Mark Center Drive  
Suite 07G12, Alexandria, Virginia 22350-1300 Email:  
b.lavelle@osd.pentagon.mil Phone: (571)372-2614

**Website Address:**

<http://www.fvap.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals should identify programs and methods that will be used to foster and develop products to lessen the impediments that exist for the UOCAVA voter. Award decisions will be founded on a competitive selection of proposals that are based on scientific, technical, management and cost review as well as relevance and contributions as they relate to FVAPs specific EASE Grant Program goals.

**12.330 SCIENCE, TECHNOLOGY, ENGINEERING & MATHEMATICS (STEM) FOR K-12 & INSTITUTIONS OF HIGHER LEARNING- NAVY STEM**

**FEDERAL AGENCY:**

Department of the Navy, Office of the Chief of Naval Research, Department of Defense

**AUTHORIZATION:**

31 U.S.C. 6304; 10 U.S.C 2192.

**OBJECTIVES:**

To support educational programs in Science, Technology, Engineering and Mathematics (STEM) for K-12 & Institutions of Higher Education.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Educational programs in science, technology, engineering and mathematics (STEM), which foster an interest in, knowledge of, and study in science, technology, engineering and mathematics nationwide to ensure an educated and well-prepared workforce, which meets the naval and national competitive needs.

In support of this mission, the following five goals have been identified:

- Inspire the next generation of scientists and engineers. [Grades K-10];
- Engage students in STEM-related hands-on learning activities using Navy content. [Grades 3-12];
- Educate students to be well-prepared for employment in STEM disciplines in the Navy or in supporting academic institutions or the Naval contractor community. [Higher Education];
- Employ, retain and develop Naval STEM professionals. [Higher Education, Professional Development, Faculty];
- Collaborate across Naval STEM programs to maximize benefits to participants and the Navy.

**Applicant Eligibility:**

All responsible sources from public nonprofit institutions/organizations to include elementary, middle and high schools, private non-profit institutions/organizations, small businesses, profit organizations, and other private institutions/organizations may submit proposals. Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals. Grants cannot be awarded to individuals.

**Beneficiary Eligibility:**

All responsible sources from public nonprofit institutions/organizations to include elementary, middle and high schools, private non-profit institutions/organizations, small businesses, profit organizations, other private institutions/organization, Black Colleges and Universities (HBCUs), and Minority Institutions (MIs).

**Credentials/Documentation:**

Grant awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. The certification is set forth at Appendix A to 32 CFR 28 regarding lobbying. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to 2 CFR Part 215. All eligible public nonprofit institutions/organizations to include elementary, middle and high schools, private non-profit institutions/organizations, small businesses, profit organizations, and other private institutions/organizations, so long as profit and fee are not proposed may submit proposals in response to the relevant STEM Announcement(s) published in the Federal Business Opportunities ([www.fedbizopps.gov](http://www.fedbizopps.gov)).

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from a scientific, technical, management and cost review. Evaluations will use

the criteria contained in the relevant Announcement. If selected for award, the proposal is incorporated into a grant or cooperative agreement document, and the applicant agrees to perform the mission described therein.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Awards may be made at any time throughout the open period for which funding is authorized.

**Appeals:**

Not Applicable.

**Renewals:**

Reapplication with new proposal is permitted.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Grants will reflect a period of performance. See the following for information on how assistance is awarded/released: Project Grants may be awarded incrementally.

**Reports:**

Grantee/recipient is expected to publish or otherwise make results of work publicly available. Copies of program reports are furnished by the grantee/recipient to a prescribed list of addressees (as set forth in the award instrument). Copies of cash reports are furnished by the grantee/recipient to a prescribed list of addressees (as set forth in the award instrument). Copies of progress reports are furnished by the grantee/recipient to a prescribed list of addressees (as set forth in the award instrument). Copies of expenditure reports are furnished by the grantee/recipient to a prescribed list of addressees (as set forth in the award instrument). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each grantee/recipient will maintain purchase receipts and other expenditure and accounting records sufficient to determination that the funds were used for the appropriate purposes.

**Account Identification:**

17-1319-0-1-051 - Office of Naval Research.

**Obligations:**

(Project Grants) FY 10 \$2,000,000; FY 11 est \$6,000,000; and FY 12 est \$10,000,000 - Funding may vary.

**Range and Average of Financial Assistance:**

\$200,000 - \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Refer to ONR website: <http://www.onr.navy.mil>

**Regional or Local Office:**

None.

**Headquarters Office:**

(ONR Code 22) Office of Naval Research, 875 North Randolph Street, Arlington, Virginia 22203 Phone: 703-696-0690

**Website Address:**

<http://www.onr.navy.mil>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1. Hands-on activities for students promoting science, technology, engineering and mathematics;  
 2. Funding for the development of teacher workshops to provide professional development training in how to teach topics in science, technology, engineering and mathematics;  
 3. After-school enrichment programs, promoting student participation in fun and challenging science, technology, engineering and mathematics; and  
 4. Science and engineering apprentice programs, providing students an opportunity for hands-on experience at a Department of Navy (DoN) laboratory during the summer. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

1. Potential naval or defense relevance and contributions of the effort to the agency's specific education and science and engineering workforce. Scientific and technical merit of the proposal and its potential to achieve the educational objectives of the program, including the extent to which the proposed effort would enhance multidisciplinary studies relative to current capabilities. Appropriateness of the metrics used to determine impact and or success of the program. Appropriateness of the methodology for obtaining and validating the metrics.
2. Outreach initiatives proposed for increasing and maintaining the educational pipeline and the potential of the proposed program to educate future scientists and engineers in STEM disciplines critical to the defense mission. Increased or enhanced opportunities to disseminate information on navy or defense programs and careers. Impact of the initiatives toward improving science and engineering education in the United States. Extent to which the program engages naval or defense laboratories as active participants in program execution.
3. Potential contributions of the proposed programs to the national defense mission.
4. Past, present or proposed collaborative educational activities with other institutions, such as colleges/universities. The degree of partnership between the school system or local education agency, and the naval/defense laboratory, or warfare center.
5. Industry-Government Partnering ONR highly encourages partnering among industry and Government with a view toward speeding the incorporation of new science and technology into fielded systems. Proposals that utilize industry-Government partnering which enhances the development of novel educational programs will be given favorable consideration.
6. Personnel qualifications, capabilities, availability, and experience. Key personnel must commit time and attention to ensure success of the program.
7. Budgetary realism and cost effectiveness of the program.

**12.335 NAVY COMMAND, CONTROL, COMMUNICATIONS, COMPUTERS, INTELLIGENCE, SURVEILLANCE, AND RECONNAISSANCE**

Basic and applied research and development in areas relating to the advancement of the Navy Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR)

**FEDERAL AGENCY:**

Department of the Navy, SPAWAR, Department of Defense

**AUTHORIZATION:**

National Defense Authorization Act, Public Law 111-84.

**OBJECTIVES:**

To support basic and applied research at educational, nonprofit, or commercial research institutions, which have potential for leading to the improvement of military operations or dual-use application, and to support training and stimulation of future researchers in science and engineering disciplines. This support may take the form of grants or cooperative agreements.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Basic and applied research and prototype development in areas relating to the advancement of the Navy Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR) capabilities to make informed decisions about further exploratory development to provide the technology base from which naval capabilities are drawn.

**Applicant Eligibility:**

Grants cannot be awarded to individuals.

**Beneficiary Eligibility:**

Grants cannot be awarded to individuals.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-21, A-87, A-88, and A-122 and Subpart 31.2 of the Federal Acquisition Regulation applicable to commercial firms and those nonprofits exempted from OMB Circular No. A-122. The administrative requirements of OMB Circular Nos. A-102, A-110, A-128 and A-133 apply. Patents, inventions, and rights in technical data and computer software are subject to 48 CFR 227 and 252, as amended, and 37 CFR 401.14. If the award is a grant or cooperative agreement the applicant must not appear on the nonprocurement debarred or suspended list. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. All eligible private/public educational institutions and other private/public nonprofit organizations may submit proposals in response to the relevant announcements published via grants.gov and in the Federal Business Opportunities (www.fedbizopps.gov) Information regarding areas of scientific interest, Points of Contact, application and award procedures, shall be contained in each individual announcement.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from a peer and/or scientific review. Evaluations will use the criteria contained in the relevant announcement. If selected for award, the proposal is incorporated into a grant document and the applicant agrees to perform the research described therein.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Awards may be made at any time throughout the year for which funding is authorized.

**Appeals:**

Not Applicable.

**Renewals:**

Reapplication with new proposal is permitted.

**Formula and Matching Requirements:**

This program has no statutory formula.  
 This program has no matching requirements.  
 MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding will reflect period of performance and may be awarded incrementally. See the following for information on how assistance is awarded/released: Payments may be made incrementally.

**Reports:**

Grantee is expected to publish or otherwise make results of work publicly available. Copies of reports are furnished by the grantee to a prescribed list of addressees (as set forth in the grant), which includes the Defense Technical Information Center. Subsequent distribution to DoD agencies and their contractors is made by DTIC on a request basis. Cash reports are not applicable.

Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each grantee shall maintain accounting records which will permit determination that the funds were used for the award purpose.

**Account Identification:**

17-1319-0-1-051 - Space and Naval Warfare Systems Center, Pacific.

**Obligations:**

(Salaries) FY 10 \$41,883,150; FY 11 Estimate Not Available(Exp: Not yet reported); and FY 12 Estimate Not Available(Exp: Not yet reported)

**Range and Average of Financial Assistance:**

\$1,000 to \$15,000,000. Average: \$297,138.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

SSC Pacific website [www.spawar.navy.mil/sandiego/](http://www.spawar.navy.mil/sandiego/). This site lists the points of contact within the various scientific disciplines.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Space and Naval Warfare Systems Center 53560 Hull Street, San Diego, California 92152-5001 Phone: (619) 524-6202

**Website Address:**

<http://www.spawar.navy.mil/sandiego/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Science Technology Engineering Mathematics (STEM) program that brought professionals from the DoD labs, teachers, and inquiry based learning together for the benefit of our K-12 community schools. This programs goal is improving K-12 STEM content understanding and attitudes towards careers in science.

-Cooperative Agreement to provide Research and Development assistance. The studies conducted under the cooperative agreement were performed primarily at university facilities and centered around Network Centric Operations and the Command, Control, Communications, Computers, Intelligence, Surveillance, Reconnaissance (C4ISR) that is at the fortitude of SSC Pacific. Examples of technical work under this agreement ranged are Advanced Signal Processing, Multiscale Interfaces, and Ubiquitous Computing. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As specific in each announcement.

**12.360 RESEARCH ON CHEMICAL AND BIOLOGICAL DEFENSE  
FEDERAL AGENCY:**

Office of the Secretary of Defense, Department of Defense

**AUTHORIZATION:**

Federal Grant and Cooperative Agreement Act, 10 U.S.C 2358.

**OBJECTIVES:**

To further the capability to prevent, detect, diagnose and treat the effects of chemical, radiological and biological warfare agents.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Recipients are required to conform to their accepted research protocol and are usually required to submit some form of annual or project report.

**Applicant Eligibility:**

Applicants must be a public or private educational institution, nonprofit organizations operated for purposes in the public interest and commercial firms.

**Beneficiary Eligibility:**

Beneficiaries are relatively independent investigators associated with an applicant organization.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial and managerial capability as well as a certification of compliance with Federal, State, and local environmental laws, ordinances and regulations. Applicants must not appear on the DoD debarred or suspended list. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should obtain a copy of the relevant BAA which describes the full research program areas of interest and includes necessary forms and instruction for preproposal/proposal submissions. The BAA is available at no cost to the applicant and is also available for download at [www.fedbizopps.gov](http://www.fedbizopps.gov) and [www.jpeocbd.osd.mil/](http://www.jpeocbd.osd.mil/).

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. See the relevant BAA or individual announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Once a grant is awarded, any follow-on research Proposal is treated as a new request. Follow-on work should allow for review time noted above.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of time for which support is requested should be consistent with the nature and complexity of the proposed research. The maximum period acceptable for a research proposal is 5 years. Funds are normally released on a quarterly basis. See the following for information on how assistance is awarded/released: Funds are normally released on a quarterly basis.

**Reports:**

As described in the individual announcement. As described in the individual announcement. As described in the individual announcement. As described in the individual announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain records adequate to reflect the nature and extent of their costs and expenditures and to insure that the required costs of participation is achieved. Records must be maintained for 3 years following the date of submission of final request for services rendered.

**Account Identification:**

97-0400-0-1-051.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 est \$1,000,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra J. O'Connell 64 Thomas Johnson Drive, Frederick, Maryland 21702  
Email: sandra.oconnell@us.army.mil Phone: 3016192895 Fax: 3016195069

**Website Address:**

<http://www.jpocbd.osd.mil/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.369 MARINE CORPS SYSTEMS COMMAND FEDERAL ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Marine Corps Systems Command, Department of Defense

**AUTHORIZATION:**

FY2008 DoD Appropriations Act, Title VIII, Section 8030.

**OBJECTIVES:**

To provide federal assistance in support of families of active duty Marines and in support of the betterment of the general public.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds must be expended in accordance with the work identified in the proposal, in accordance with applicable Government-side cost principles as specified in the DoD Grant and Agreement Regulations.

**Applicant Eligibility:**

Other private/public nonprofit organizations which are operated primarily for educational or similar purposes in the public interest, and commercial concerns.

**Beneficiary Eligibility:**

Other private/public nonprofit organizations which are operated primarily for educational or similar purposes in the public interest, and commercial concerns.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals shall be prepared in accordance with instructions in individual program announcements. See Grants.gov ([www.grants.gov](http://www.grants.gov))

**Award Procedure:**

Awards decisions will be based on a competitive selection of proposals resulting from a peer and/or technical review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30-90 days, depending on the authority under which the funds would be awarded.

**Appeals:**

From 1 to 15 days.

**Renewals:**

Re-application with new proposal is permitted.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Normally from 12 to 36 months. See the following for information on how assistance is awarded/released: Monthly.

**Reports:**

Cost/Technical Progress Reports. No cash reports are required. Cost/Technical Progress Reports. Reports of expenditures. Continuous monitoring throughout the effort.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Other audits as deemed appropriate.

**Records:**

Recipient will maintain accounting records which will permit determination that the funds were used for the award purposes. Financial records must be maintained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

17-1106-0-1-054.

**Obligations:**

(Salaries) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No data available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Defense Grant and Agreement Regulations (DoDGARS), April 13, 1998, and individual program announcements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Laura E. Caracciolo 2200 Lester Street, Quantico, Virginia 22134 Email: laura.caracciolo@usmc.mil Phone: 7034325590

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.431 BASIC SCIENTIFIC RESEARCH****FEDERAL AGENCY:**

U.S. Army Materiel Command, Department of Defense

**AUTHORIZATION:**

Public Laws 79-588,87-651,97-86, 10 U.S.C. 5150-5153; 10 U.S.C. 2358, as amended; 10 U.S.C. 2361; 10 U.S.C. 6304; Includes American Recovery and Re-Investment Act (ARRA) funds.

**OBJECTIVES:**

To support basic research that is related to or has potential for leading to the improvement of Army programs or operations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Basic Research in the mathematical, physical, engineering, biological and geosciences providing knowledge necessary for the Army to make informed decisions about further exploratory development to provide the technology base from which Army capabilities are drawn. Partial support of symposia in the listed disciplines. Programs to encourage careers in science and engineering by support to outstanding graduate, undergraduate and high school students pursuing studies in areas of Army concern. Programs to increase science and engineering graduates from under-represented minority groups. Programs providing means for universities to buy major, high-cost research equipment.

**Applicant Eligibility:**

Educational institutions and nonprofit scientific research organizations.

**Beneficiary Eligibility:**

Educational institutions and nonprofit scientific research organizations.

**Credentials/Documentation:**

The following documentation is required to be submitted with offeror's proposals: Cover page and information requested thereon (ARO Form 51); Statement of Disclosure Preference (AR Form 52 or 52A); Abstract; Technical Proposal; and Cost Proposal including SF 1411. The technical portion of the proposal should contain the following: A complete discussion stating the background and objectives of the proposed work; information that will identify the magnitude of the research program currently underway by the proposed principal investigator(s) such as (i) description of the work, (ii) the annual dollar volume of the effort, (iii) the names Federal, State, local agencies or other parties presently funding the work or requested to fund such work, and (iv) a complete breakdown of the time of the principal investigator and/or co-principal investigator; brief biographical information and list of recent publications of the offeror's key personnel who will be involved in the research; type of support requested, for example, facilities, equipment, materials; names of other Federal, State, local agencies or other parties receiving the proposal and/or funding the proposed effort; statement regarding possible impact if any of the proposed effort on the environment; brief description of organization; and identity of facilities to be used for the work if appropriate for an understanding of the proposal. The cost proposal must be a complete and thoroughly documented estimate of the proposed costs of the research project. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. All eligible organizations may submit proposals in response to ARO's general and specific broad agency announcements (BAAs) published annually or as the need arises in the Federal Business Opportunities (www.fedbizopps.gov). Information regarding areas of scientific interest and points of contact are contained in the BAAs. Application and award procedures are also contained in the BAA brochures. Pre-proposal contacts are encouraged prior to submission of a formal application.

**Award Procedure:**

Upon receipt of a proposal, the ARO scientific staff will perform an initial review of its scientific merit and potential contribution to the Army mission and also determine if funds are expected to be available for the effort. Proposals not considered to have sufficient scientific merit or relevance to the Army's needs or those in areas for which funds are not expected to be available may be declined without further review. Proposals not declined as a result of the initial review may be subject to an extensive peer review by highly qualified scientists from within the government and leading scientists and other preeminent experts outside the government. Each proposal will be evaluated based on how the proposal relates to the overall ARO program rather than against other proposals for research in the same general area normally using the following factors: (1) overall scientific and/or technical merits; (2) military and program relevance; (3) capabilities, related experience, facilities, techniques or unique combinations of these; (4) qualifications, capabilities and experience of the proposed principal investigator, team leader or other key personnel; (5) record of past performance; and (6) reasonableness and realism of proposed costs. If selected for award, the proposal is incorporated into a grant document and the awardee agrees to perform the research described therein.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Formal proposals are normally reviewed and notification made within six months from submission. Grant awards are usually made within three months from notification.

**Appeals:**

Not Applicable.

**Renewals:**

Once a grant is awarded, any follow-on research proposal is treated as a new request. Follow-on work should allow for the review time noted in the "award procedure" above.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: MANTECH Funds may have a matching requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of time for which support is requested should be consistent with the nature and complexity of the proposed research. It is preferred that proposals submitted cover a three year period with each year proposed as a severable unit.

The maximum period acceptable for a research proposal is five years. Funds are normally provided in individual grants according to a quarterly schedule of payments. Method of awarding/releasing assistance: lump sum.

**Reports:**

Usually annual progress reports and a final report are required, but more frequent reporting may be specified in individual awards. The SF 425 Federal Reporting Form is used to report expenditures. Progress reports include a description of activities, findings, conclusions, technical progress, accomplishments and planned activities for the next reporting period. Disbursements are reported for periods of performance concurrent with technical progress reports. Technical monitors review progress reports and make periodic visits to research facilities.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain records adequate to document costs incurred. Financial records, supporting documents, statistical records and all other records pertinent to an agreement will be retained for a period of 3 years. The retention period starts from the date of the submission of the final expenditure report or, for grants that are renewed annually, from the date of the submission of the annual financial status report. The recipient will allow access to any pertinent books, documents, papers, and records of the recipient organization and their subrecipients to make audits, examinations, excerpts and transcripts.

**Account Identification:**

21-2041-0-1-051; 21-2040-0-1-051.

**Obligations:**

(Salaries) FY 10 \$566,679,764; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - Total Project Grants- FY 09-\$282,227,814 ;FY 10-\$300,000,000.00 (est.)

ARRA Funding Amount Only associated with CFDA 12.431  
FY 08-\$0; FY 09-\$0; FY 10-\$4,373,231.00; FY 11-\$TBD.

**Range and Average of Financial Assistance:**

Range: \$1,374,000.00-\$1,500,000.00/ARRA and Average Award:  
\$1,457,744.00/ARRA.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Army Research Office Broad Agency Announcement (BAA) is available without cost from the sponsoring agency. OMB Circular Nos. A-110, A-133, A-88, and A-21; DoD Instruction 3218.2; DoD Directive 3210.2; DoD Directive 3210.6; are applicable to the project grants.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ernest Dixon, Army Research Office, 4300 South Miami Blvd. , Durham, North Carolina 27703 Email: ernie.dixon@us.army.mil Phone: (919) 549-4270 Fax: (919) 549-4388.

**Website Address:**

<http://www.amc.army.mil>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.550 THE LANGUAGE FLAGSHIP GRANTS TO INSTITUTIONS OF HIGHER EDUCATION**

The Language Flagship

**FEDERAL AGENCY:**

Office of the Secretary of Defense, Department of Defense

**AUTHORIZATION:**

David L. Boren National Security Education Act, Public Law 102-183, 50 U.S.C 1901 - 1912.

**OBJECTIVES:**

(1) To establish centers for the teaching of critical languages that enable students to reach or exceed Level 3 in proficiency based on the Interagency Language Roundtable (ILR) scale in African Languages, Arabic, Chinese, Hindi/Urdu, Korean, Persian, and Russian; (2) To develop curricular, institutional, and instructional models for advanced language learning; (3) To test those models; (4) To stimulate institutional support and long term commitment to reforming language learning; and (5) To improve national capacity in critical languages.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant awards are made to U.S. institutions of higher education to develop or strengthen their capabilities to enhance the national capacity and educate U.S. citizens in critical languages & cultures together with a variety of academic and professional disciplines. The National Security Education Act places no special or unique requirements on grantee institutions. Only requirements that govern all Federal grants will apply to National Security Education Program (NSEP) grants. No International exchange programs may be funded by NSEP.

**Applicant Eligibility:**

Any accredited U.S. institution of higher education (defined in Section 1201(a) of the Higher Education Act of 1965, 20 U.S.C. 1141(a) is eligible to apply for a grant. This includes 2 and 4 year colleges and universities, both public and private. Other organizations, associations, agencies, and foreign institutions may be included in proposals but may not be direct recipients of a grant. Federal government schools are not eligible.

**Beneficiary Eligibility:**

Accredited U.S. institutions of higher education and their students.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. All eligible, private and public U.S. institutions of higher education may submit proposals in response to the relevant agency announcements.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from an independent merit review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 30 to 60 days. Renewals are negotiated through the Institute of International Education (IIE), and are conducted annually based on performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are multi-year renewed each year based on performance. Method of awarding/releasing assistance: quarterly.

**Reports:**



No program reports are required. Cash reports are submitted to IIE on a quarterly basis on behalf of NSEP. On behalf of NSEP, IIE requires annual progress reports. Cash reports are submitted to IIE on a quarterly basis on behalf of NSEP. Reports are inputted at <http://grants.thelanguageflagship.org>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The Comptroller General of the United States or a duly authorized representative from the General Accounting Office shall, until 3 years after final payment under this grant have access to and right to examine any of the recipient's directly pertinent books, documents, papers, or other records involving transactions related to this grant.

**Account Identification:**

97-0100-0-1-051.

**Obligations:**

(Salaries) FY 10 \$10,988,500; FY 11 est \$10,000,000; and FY 12 est \$10,000,000

**Range and Average of Financial Assistance:**

Range - \$200,000 - \$500,000 depending on type of grant. Average - \$350,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ed McDermott, 1101 Wilson Blvd., Suite 1210, Arlington, Virginia 22209  
Email: [edward.mcdermott@wso.whs.mil](mailto:edward.mcdermott@wso.whs.mil) Phone: (703) 696-5671. Fax: (703) 588-0288.

**Website Address:**

<http://thelanguageflagship.org>

**RELATED PROGRAMS:**

12.551 National Security Education Program David L. Boren Scholarships;  
12.552 National Security Education Program David L. Boren Fellowships;  
12.553 National Flagship Language Program Fellowships; 12.555 English for Heritage Language Speakers Scholarships

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Go to [www.thelanguageflagship.org](http://www.thelanguageflagship.org). Fiscal Year 2011: n/a.  
Fiscal Year 2012: n/a.

**CRITERIA FOR SELECTING PROPOSALS:**

Significance of the problem and proposal's response to the problem; proposals effectiveness, and evaluation plans.

**12.551 NATIONAL SECURITY EDUCATION PROGRAM DAVID L. BOREN SCHOLARSHIPS**

Boren Scholarships Program

**FEDERAL AGENCY:**

Department of Defense

**AUTHORIZATION:**

David L. Boren National Security Education Act, Public Law 102-183, 50 U.S.C 1901-1912.

**OBJECTIVES:**

(1) To equip Americans with an understanding of less commonly taught languages and cultures; (2) to build a critical base of future leaders both in the marketplace and in government service; (3) to develop a cadre of professionals

with more than the traditional knowledge of language and culture; and (4) to enhance institutional capacity and increase the number of faculty who can educate U.S. citizens toward achieving these goals.

**TYPES OF ASSISTANCE:**

Project Grants (including individual awards)

**USES AND USE RESTRICTIONS:**

Scholarship awards are given to degree-seeking undergraduate U.S. citizens enrolled in academic and professional programs at U.S. institutions of higher education. All NSEP scholarship recipients agree to seek employment in the federal government, and serve for a period of time equal to the length of the award but no less than one year. Awards provide funding for individuals to study a critical language and culture overseas during the course of their degree-seeking studies.

**Applicant Eligibility:**

Any U.S. citizen enrolled in a degree seeking program at an accredited 2 or 4 year public or private U.S. institution of higher education (defined in Section 1201(a) of the Higher Education Act of 1965, 20 U.S.C. 1141(a)) is eligible to apply for an undergraduate scholarship. Students enrolled in Federal government schools are not eligible.

**Beneficiary Eligibility:**

U.S. students enrolled in public or private two- or four-year accredited U.S. institutions of higher education.

**Credentials/Documentation:**

Proof of enrollment and proof of U.S. citizenship. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All eligible, U.S. undergraduate students may apply for scholarships in response to the relevant agency announcement.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from an independent merit review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

From 60 to 90 days.

**Renewals:**

Freshmen and sophomore Boren Scholarship recipients are eligible for a second Boren Scholarship by competing as an upperclassman. Juniors and seniors may receive only one Boren Scholarship. Boren Scholarship recipients may be eligible to apply for NSEP David L. Boren Fellowships or Flagship Fellowships.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Eligible students may receive Boren Scholarships for no more than twelve (12) months. See the following for information on how assistance is awarded/released: Those studying abroad for six months or longer receive a front end payment equal to 50% of their award, then another 30% a third of the way into their funded period, then about 20% another third into their funded period, and finally \$500 after returning to the U.S. and completing a language proficiency test. Those studying abroad for twelve weeks to just under six

months receive a front end payment equal to 60% of their award, then about 40% half way into their funded period, and finally \$500 after returning to the U.S. and completing a language proficiency test. Those studying abroad eight to eleven weeks receive a front end payment of about 100% and then \$500 after returning to the U.S. and completing a language proficiency test.

**Reports:**

No program reports are required. No cash reports are required. On behalf of NSEP, the Institute of International Education (IIE) collects periodic progress reports. No expenditure reports are required. Each award recipient receives an oral proficiency interview (OPI) before traveling abroad in the language for which they receive funding and then again after returning to the U.S. Those who have no proficiency before traveling are waived the pre-test. Also, in some rare languages there are no OPIs available.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The program is audited annually.

**Records:**

None.

**Account Identification:**

97-0100-0-1-051.

**Obligations:**

(Project Grants (including individual awards)) FY 10 \$2,000,000; FY 11 est \$2,000,000; and FY 12 est \$2,000,000

**Range and Average of Financial Assistance:**

Range: \$0 - \$20,000. Average for 2010 - \$16,500.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 U.S.C. 1901-1912 (Chap. 37); and Department of Defense Instruction 1025.6, "National Security Education Program Service Agreement," December 20, 1996.

**Regional or Local Office:**

None. For more information, go to [www.borenawards.org](http://www.borenawards.org).

**Headquarters Office:**

Alison Patz, P.O. Box 20010, Arlington, Virginia 22219 Email: [alison.patz@wso.whs.mil](mailto:alison.patz@wso.whs.mil) Phone: (703) 588-0273 Fax: (703) 588-0288.

**Website Address:**

<http://www.borenawards.org>

**RELATED PROGRAMS:**

12.550 National Flagship Language Program Grants To U.S. Institutions Of Higher Education; 12.552 National Security Education Program David L. Boren Fellowships; 12.553 National Flagship Language Program Fellowships; 12.555 English for Heritage Language Speakers Scholarships

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Boren Scholarship recipients are selected based on merit including (1) academic record and potential to succeed in the proposed study, (2) commitment to federal service, (3) language interests and aptitude, and (4) quality and appropriateness of the proposed program and its relevance to the National Security Education Program.

**12.552 NATIONAL SECURITY EDUCATION PROGRAM DAVID L. BOREN FELLOWSHIPS**

Boren Fellowships Program

**FEDERAL AGENCY:**

Department of Defense

**AUTHORIZATION:**

David L. Boren National Security Education Act, Public Law 102-183, 50 U.S.C 1901-1912.

**OBJECTIVES:**

(1) To equip Americans with an understanding of less commonly taught languages and cultures; (2) to build a critical base of future leaders both in the marketplace and in government service; (3) to develop a cadre of professionals with more than the traditional knowledge of language and culture; and (4) to enhance institutional capacity and increase the number of faculty who can educate U.S. citizens toward achieving these goals.

**TYPES OF ASSISTANCE:**

Project Grants (including individual awards)

**USES AND USE RESTRICTIONS:**

Fellowship awards are made to degree-seeking graduate-level U.S. citizens who are enrolled in academic and professional programs at a U.S. institution of higher education to study in critical world areas. All Boren Fellowship recipients agree to seek employment with the U.S. federal government, and serve for a period of time equal to the length of the award but no less than one year.

**Applicant Eligibility:**

Any U.S. citizen enrolled in an accredited public or private U.S. institution of higher education (defined in Section 1201(a) of the Higher Education Act of 1965, 20 U.S.C. 1141(a)) is eligible to apply for a graduate fellowship. Students enrolled in Federal government schools are not eligible.

**Beneficiary Eligibility:**

U.S. students enrolled in public or private accredited U.S. institutions of higher education.

**Credentials/Documentation:**

Proof of enrollment and proof of U.S. citizenship. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All eligible, U.S. graduate students may apply for fellowships in response to the relevant agency announcement.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from an independent merit review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

From 60 to 90 days.

**Renewals:**

Boren fellowship recipients are eligible to apply for a Flagship Fellowship if they qualify or a Boren Scholarship if they subsequently enroll in an undergraduate degree program at an accredited U.S. institution of higher education.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Eligible students may receive a fellowship from NSEP to study for no less than

one academic semester and no more than 12 months overseas, and up to 4 semesters domestically. Domestic study is not a required application component to receive funding. Domestic study is limited to language or area studies that enhance a degree program. Total maximum duration is two years. See the following for information on how assistance is awarded/released: Those who receive funding for six months or longer receive a front end payment equal to 50% of their award, the another 30% a third of the way into their funded period, then about 20% another third into their funded period, and finally \$500 after returning to the U.S. and completing a language proficiency test. Those who receive funding for twelve weeks to just under six months receive a front end payment equal to 60% of their award, the about 40% half way into their funded period, and finally \$500 after returning to the U.S. and completing a language proficiency test.

**Reports:**

No program reports are required. No cash reports are required. On behalf of NSEP, the Institute of International Education (IIE) collects periodic progress reports. No expenditure reports are required. Each award recipient receives an oral proficiency interview (OPI) before traveling abroad in the language for which they received funding, and then again after returning to the U.S. Those who have no proficiency before traveling are waived the pre-test. Also, in some rare languages, there are no OPIs available.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The program is audited annually.

**Records:**

Not applicable.

**Account Identification:**

97-0100-0-1-051.

**Obligations:**

(Project Grants (Fellowships)) FY 10 \$2,000,000; FY 11 est \$2,000,000; and FY 12 est \$2,000,000

**Range and Average of Financial Assistance:**

Range: \$0 - \$30,000. Average for 2010: \$20,500.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 U.S.C. 1901-1911 (Chap. 37); Department of Defense Instructions 1025.02, "National Security Education Program," March 09, 2006; and Department of Defense Instruction 1025.6, "National Security Education Program Service Agreement," December 20, 1996.

**Regional or Local Office:**

None.

**Headquarters Office:**

Alison Patz, PO Box 20010, Arlington, Virginia 22219 Email: alison.patz@wso.whs.mil Phone: (703) 588-0273 Fax: (703) 588-0288.

**Website Address:**

<http://www.borenawards.org>

**RELATED PROGRAMS:**

12.550 National Flagship Language Program Grants To U.S. Institutions Of Higher Education; 12.551 National Security Education Program David L. Boren Scholarships; 12.553 National Flagship Language Program Fellowships; 12.555 English for Heritage Language Speakers Scholarships

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.553 THE LANGUAGE FLAGSHIP FELLOWSHIPS**

The Language Flagship Fellowships

**FEDERAL AGENCY:**

Department of Defense

**AUTHORIZATION:**

David L. Boren Nation Security Education Act, Public Law 102-183, 50 U.S.C 1901-1912.

**OBJECTIVES:**

The Language Flagship is designed to (1) address the urgent and growing need for Americans with professional levels of competency in languages critical to national security; (2) offer advanced language training in African languages, Arabic, Chinese, Hindi/Urdu, Korean, Persian, and Russian; (3) train participants to reach professional working proficiency in a target language, as measured by the federal Interagency Language Roundtable (ILR) level 3 and/or the American Council on the Teaching of Foreign Languages (ACTFL) superior level.

**TYPES OF ASSISTANCE:**

Project Grants (Fellowships)

**USES AND USE RESTRICTIONS:**

Fellowship awards are made to U.S. citizens with at least a bachelor's degree who enroll in domestic and overseas study through one of the designated Flagship institutions. Flagship Fellowship recipients agree to seek employment with the U.S. federal government, and serve for a period of time equal to the length of the award but no less than one year. Flagship Fellowships may only be used to participate in designated Flagship programs.

**Applicant Eligibility:**

(1) Must be a U.S. citizen at the time of application; (2) Must have a minimum proficiency in the appropriate foreign language of advanced low (as defined by ACTFL) or level 2 (as defined by ILR). You must also possess excellent skills in English (ILR level 3/ACTFL superior language proficiency or higher in all modalities of English); (3) Must complete an undergraduate degree by the time you would begin the Flagship Fellowship. Past recipients of NSEP Boren Scholarships or Fellowships are eligible and are encouraged to apply to this program; and (4) may not be a current U.S. government employee.

**Beneficiary Eligibility:**

Accredited U.S. institutions of higher education and their students.

**Credentials/Documentation:**

Proof of U.S. citizenship and at least a bachelor's degree by the time participation in The Language Flagship begins. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. All eligible, U.S. citizens may apply for fellowships in response to the relevant agency announcement.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from an independent merit review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

From 60 to 90 days.

**Renewals:**

Flagship Fellows who receive two year awards must qualify to receive the second year of the award. Flagship Fellows also are eligible to compete for

NSEP Boren Fellowships if they qualify following the completion of their Flagship studies.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Eligible students may receive a fellowship from NSEP to study for no less than one academic year, and no more than two (2) years in a combination of domestic and overseas study. The duration of study is dependent upon proficiency in the target language upon entering The Language Flagship and the progress made to reach ILR level 3. Typical duration is either one or two academic years. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. No cash reports are required. On behalf of NSEP, the Institute of International Education (IIE) collects periodic progress reports. No expenditure reports are required. Flagship Fellows are expected to reach and ILR level 3 proficiency in their respective language of study by the time they complete their funded study.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted annually.

**Records:**

Not applicable.

**Account Identification:**

97-0100-0-1-051.

**Obligations:**

(Project Grants (Fellowships)) FY 10 \$1,000,000; FY 11 est \$1,000,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

Range: \$19,000 - \$86,000. Average: \$45,880.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 U.S.C. 1901-1911 (Chap. 37); and Department of Defense Instruction 1025.6, "National Security Education Program Service Agreement," December 20, 1996.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ms. Kaveri Advani, PO Box 20010, Arlington, Virginia 22219 Email: kaveri.advani@wso.whs.mil Phone: (703) 696-5670 Fax: (703) 588-0288.

**Website Address:**

<http://thelanguageflagship.org>

**RELATED PROGRAMS:**

12.550 National Flagship Language Program Grants To U.S. Institutions Of Higher Education; 12.551 National Security Education Program David L. Boren Scholarships; 12.552 National Security Education Program David L. Boren Fellowships; 12.555 English for Heritage Language Speakers Scholarships

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.555 ENGLISH FOR HERITAGE LANGUAGE SPEAKERS**

**SCHOLARSHIPS**

EHLS Program

**FEDERAL AGENCY:**

Department of Defense

**AUTHORIZATION:**

David L. Boren National Security Education Act, Public Law 102-183, 50 U.S.C 1901-1912.

**OBJECTIVES:**

The English for Heritage Language Speakers (EHLS) program is designed to provide intensive English language instruction for U. S. citizens who are native speakers of critical languages. The goal of the program is to enable participants to reach professional working proficiency in English, as measured by the federal Interagency Language Roundtable (ILR) level 3 and/or the American Council on the Teaching of Foreign Languages (ACTFL) superior level. The program equips participants with the ability to read, write, speak, and listen at a superior level in an effort to build a critical base of future leaders to serve in the federal government service and the broader professional community.

**TYPES OF ASSISTANCE:**

Project Grants (including individual awards)

**USES AND USE RESTRICTIONS:**

Scholarship awards are made to U.S. citizens with at least a bachelor's degree participating in the EHLS program. Scholarship recipients agree to seek employment with the U.S. federal government, and serve in a position for no less than one year. Scholarship can only be used to attend an EHLS Program. Currently, the program is administered at Georgetown University in Washington, DC. To qualify for the program, the awardee must be a U.S. citizen, a native speaker of a critical language with professional level proficiency, and possess advanced level proficiency in English.

**Applicant Eligibility:**

(1) Must be a U.S. citizen at the time of application; (2) Must have a minimum proficiency in English of advanced low (as defined by ACTFL) or level 2 (as defined by ILR); (3) must also possess excellent skills in your heritage/native language (ILR level 3/ACTFL superior language proficiency or higher in all modalities of English; (4) Must have received at least an undergraduate degree by the time of application; and (5) may not be a current U.S. government employee. Eligible native languages of interest are updated annually, a list of which is available on the program web site.

**Beneficiary Eligibility:**

U.S. citizens with superior-level proficiency in their native language, and partner institutions of higher education.

**Credentials/Documentation:**

Proof of U.S. citizenship and Bachelor's degree or higher. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. U.S. citizens who qualify for the program may apply for scholarships in response to the relevant agency announcement.

**Award Procedure:**

Award decisions will be based on a competitive selection of proposals resulting from an independent merit review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

From 60 to 90 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Eligible students may receive EHLS scholarships for the duration of one program term including a six month intensive component and a two month distance-based component. See the following for information on how assistance is awarded/released: The tuition for the intensive portion of the program is paid direct to Georgetown University on behalf of the student before classes begin. The student also receives a monthly stipend during the intensive portion of the program. The tuition for the distance-based portion of the program is paid directly to Georgetown University after the intensive portion of the program ends, and right before the web-based instruction begins.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted annually.

**Records:**

Not applicable.

**Account Identification:**

97-0100-0-1-051.

**Obligations:**

(Project Grants (including individual awards)) FY 10 \$1,444,000; FY 11 est \$1,500,000; and FY 12 est \$1,600,000

**Range and Average of Financial Assistance:**

Awards are for \$30,000 in 2010. There is no range or average.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 U.S.C. 1901-1911 (Chap. 37); and Department of Defense Instruction 1025.6, "National Security Education Program Service Agreement," December 20, 1996.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kevin J. Gormley, PO Box 20010, Arlington, Virginia 22219 Email: kevin.gormley@wso.whs.mil Phone: (703) 696-5672 Fax: (703) 588-0288.

**Website Address:**

<http://www.cal.org/ehls>

**RELATED PROGRAMS:**

12.550 National Flagship Language Program Grants To U.S. Institutions Of Higher Education; 12.551 National Security Education Program David L. Boren Scholarships; 12.552 National Security Education Program David L. Boren Fellowships; 12.553 National Flagship Language Program Fellowships

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

EHLS scholars are selected using a national peer-review panel process.

**12.558 DEPARTMENT OF DEFENSE IMPACT AID (SUPPLEMENT, CWSD, BRAC)**

DoD Impact Aid

**FEDERAL AGENCY:**

Office of the Secretary of Defense, Department of Defense

**AUTHORIZATION:**

Floyd D. Spence National Defense Authorization Act for Fiscal Year 2001, , Public Law 106-398.

**OBJECTIVES:**

Reimbursement for education related costs for military dependent children enrolled in a local education agency (LEA) school for the previous school year.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Congressional law dictates that there are no prescribed uses or restriction on this financial assistance.

**Applicant Eligibility:**

Congressional law dictates that there are no prescribed uses or restrictions in place for this financial assistance.

**Beneficiary Eligibility:**

Congressional law dictates that only LEAs that are impacted by the enrollment in all grades (0-12) of military dependent students or military dependent students with a severe disability may apply.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Congressional law dictates that that the Department of Defense acquire eligibility data from the Office of Impact Aid at the Department of Education. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. DoD Impact Aid Supplement

**How To Apply**

No Application required. Eligible LEAs will be contacted via mail. Contact information and account details will be verified with the Authorized Representative according to the data received from the Office of Impact Aid at the Department of Education.

DoD Impact Aid for Children with Severe Disabilities

**How to Apply**

An application must be completed and submitted to DoD as an attachment to an email. The signature sheet (page 1 of the application) must be returned by fax to (703) 588-5330. The application is identified as Secretary of Defense (SD) form number SD 816, with form number SD 816C as a continuation sheet for those who need it. A sample Section II - Payment Determination is included as part of the form attachment. To access the fillable application form, go to the Secretary of Defense Forms Inventory website at: <http://www.dtic.mil/whs/directives/infomgt/forms/sdforms.htm>.

To obtain the desired form, scroll down to SD816 and/or SD816C and click on the link to the form. The forms are available as a fillable ADOBE/PDF. It is necessary for applicants to download the form and save it to the hard drive on their computers to work on it.

Applications shall be submitted only by email and the signature sheet shall be faxed. Applications shall be sent to DoD Impact Aid by email at [dodea.impactaid@hq.dodea.edu](mailto:dodea.impactaid@hq.dodea.edu), and the signature sheet sent by fax to DoD Impact Aid at (703) 588-5330. The email address of the certifying representative of the LEA, whether it is the Superintendent or a designated

representative authorized to act on behalf of the Superintendent, shall be included on the signature sheet of the application.

PLEASE DO NOT MAIL APPLICATIONS OR SEND BY A DELIVERY SERVICE (FEDEX, UPS, Airborne Express, etc.). RETAIN THE ORIGINAL IN YOUR FILES. IF WE SHOULD LATER NEED ACCESS TO YOUR ORIGINAL APPLICATION, WE WILL ADVISE YOU.

DoD Impact Aid for Large Scale Rebasing (BRAC)

How To Apply

No Application required. Eligible LEAs will be contacted via mail. Contact information and account details will be verified with the Authorized Representative according to the data received from the Office of Impact Aid at the Department of Education.

**Award Procedure:**

LEAs are notified by mail. Financial Assistance is deposited into a designated verified district bank account.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Annually this financial assistance is available prior to September 30th. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Although LEAs are not required to submit their cost justification with their application, it would be prudent to have a spreadsheet available to defend their submitted costs if it is requested by DoD prior to making an eligibility and payment determination.

**Account Identification:**

97-0010-0-6-000.

**Obligations:**

(Formula Grants) FY 09 \$44,000,000; FY 10 est \$41,000,000; and FY 11 Estimate Not Available - Not Applicable.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Eligible LEAs must have submitted an application to the Department of Education for Federal Impact Aid for the current Fiscal Year (FY), on which they indicated that they provided a free appropriate public education to military dependent children as described in subparagraph (A)(ii), (B), (D)(i) or (D)(ii) of section 8003(a)(1) of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 7703(a)(1)). LEAs may apply to the DoD Impact Aid for Children with Severe Disabilities for military dependent children with severe disabilities to whom they provided services during school year 2007-2008. These children must have been claimed by the LEA on the Department of Education Application for Federal Impact Aid Section 8003, to be children with disabilities (CWD). If, for any reason, the child was not identified by the LEA on the above mentioned application sent to Department of Education (e.g., the child did not attend the school at the time the application was submitted, the parent did not complete the form stating military dependent, etc.), the LEA cannot claim the child for purposes of the DoD Impact Aid for Children with Severe Disabilities. If the LEA has specific questions regarding the child's eligibility for the Federal Impact Aid program, it should contact the Department of Education.

**Regional or Local Office:**

See Regional Agency Offices. Department of Defense Education Activity Educational Partnership Branch.

**Headquarters Office:**

Keisha Brown 4040 North Fairfax Drive, Arlington, Virginia 22203-1635  
Email: keisha.brown@hq.dodea.edu Phone: 703-588-3178 Fax: 703-588-5330

**Website Address:**

<http://militaryk12partners.dodea.edu>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.560 DOD, NDEP, DOTC-STEM EDUCATION OUTREACH IMPLEMENTATION**

**FEDERAL AGENCY:**

Office of the Secretary of Defense, Department of Defense

**AUTHORIZATION:**

10 U.S.C. 2194, as amended.

**OBJECTIVES:**

To obtain support for the management, development, and furthering of new and existing partnerships between the Department of Defense, National Defense Education Program, and Defense Ordnance Technology Consortium, for Science, Technology, Engineering, and Mathematics education and other outreach organizations, professional societies, and local education activities. The scope will cover all 50 states, U.S. territories, and DoDEA schools.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

1. Recommend, manage, consult, and support; development, negotiation, and pilot execution of; partnerships between DoD/ NDEP/DOTC-STEM and various education outreach organizations, professional societies, and local education groups.
2. Provide management and logistics support to convene: a series of regional and national community dialogs, professional development and planning workshops, and conferences on DoD/ NDEP/DOTC-STEM education and community outreach issues.
3. Develop concepts and tests on applying distance learning to DoD/ NDEP/DOTC-STEM outreach.
4. Provide training, marketing and outreach videos.

5. Provide programmatic support to the DOD DOTC-STEM office for student learning modules (SLM) and pre-engineering partnership (PEP) activities and their development, selection, modification, field-testing and other DoD/ NDEP/DOTC-STEM activities.

6. Support the alignment of Materials World Modules (MWM) and other DoD/ NDEP/DOTC-STEM educational outreach activities.

7. Provide an established, effective evaluation model and techniques for assessing the effectiveness of MWM and other DoD/ NDEP/DOTC-STEM outreach activities when deployed to large numbers of schools and districts.

8. Informing K-12 students of the possibility of a career in the STEM fields so as to insure that a viable workforce will be available from which DoD can recruit future scientists and engineers.

**Applicant Eligibility:**

N/A.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

Applicants should reference the funding announcement on grants.gov. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. SF 424 R&R, SF-LLL

**Award Procedure:**

Grant opportunity is posted on Grants.gov and Fedbizops. All responsive proposals will be evaluated in accordance with the evaluation criteria contained in the posted announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. N/A.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Any restrictions will be discussed in the grant opportunity document. See the following for information on how assistance is awarded/released: Initial funding by lump sum followed by varying amounts of incremental funding as it becomes available.

**Reports:**

Grant recipient will be required to submit financial and performance (technical) reports. All financial reports and performance (technical) reports shall be submitted to the DOTC Grants Officer and to the DOTC-STEM Director. Electronic submission of performance reports is preferred. All reports will be submitted on a quarterly schedule and must be submitted no later than 30 days following the end of each quarter from the start date of the award. The comprehensive final report is due 90 days after the award expiration. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Defense Contract Audit Agency (DCAA) performs the auditing function for this program.

**Records:**

Recipients are required to maintain records adequate to document costs incurred. Financial records, supporting documents, statistical records and all other records pertinent to an agreement will be retained for a period of 3 years. The retention period starts from the date of the submission of the final expenditure report or, for grants that are renewed annually, from the date of the submission of the annual financial status report. The recipient will allow access to any pertinent books, documents, papers, and records of the recipient organization and their subrecipients to make audits, examinations, excerpts and transcripts.

**Account Identification:**

97-0400-1-1-001.

**Obligations:**

(Project Grants) FY 10 \$4,050,000; FY 11 est \$6,500,000; and FY 12 Estimate Not Available - FY 2012 is TBD. All other fiscal year funding amounts are TBD.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

William Coolbaugh, Building 322, Picatinny Arsenal, New Jersey 07806  
Email: william.coolbaugh@us.army.mil Phone: (973) 724-8115.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The DOTC-STEM Program Manager may review the ranking of the proposals and recommendations of the technical review panel. The reviewers independent ratings will be reconciled into a single rating for source selection purposes and a consensus will be drawn. Recommendations will be made to the Selecting Official whereby; the technical factor is approximately equal in ranking to that of the past performance factor. And both the technical and past performance factors rankings are significantly more important than cost. The average rank order from the review panel will be the primary consideration for the Selection Official in deciding which of the new proposals will be recommended for funding to the Grants Officer on a best value basis. However, the Selecting Official will select proposals after considering the technical reviews and recommendations of the DOTC-STEM Program Manager.

**12.597 TASK FORCE FOR BUSINESS & STABILITY OPERATIONS**

Task Force for Business & Stability Operations

**FEDERAL AGENCY:**

Office of the Secretary of Defense, Department of Defense

**AUTHORIZATION:**

1535(a) (3) of the 2011 Duncan Hunter National Defense Authorization Act.

**OBJECTIVES:**

The TFBSO may fund projects to facilitate private investment, industrial development, banking and financial system development, agricultural diversification and revitalization, and energy development in and with respect to Afghanistan.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

TFBSO projects are prohibited from being from Commander's Emergency Relief Program (CERP) funds. Operations and Maintenance with special authority to use OCO funds for projects in Afghanistan that facilitate private investment, industrial development, banking and financial system development, agricultural diversification and revitalization, and energy development in and with respect to Afghanistan.

**Applicant Eligibility:**

No additional information available.

**Beneficiary Eligibility:**

No additional information available.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To be determined

**Award Procedure:**

Award varies with each project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
This program does not have MOE requirements. N/A.

**Length and Time Phasing of Assistance:**

This varies based on each project. See the following for information on how assistance is awarded/released: N/A.

**Reports:**

Varies by each program. Varies by each program. Varies by each program.  
Varies by each program. Varies by each program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be based on each program.

**Records:**

Records keeping varies based on program.

**Account Identification:**

97-0100-2-2-020.

**Obligations:**

(Salaries) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Vanessa M. Grant 1801 South Bell ST , Crystal City, Virginia 22202 Email: vanessa.grant@osd.mil Phone: 7036022379

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.600 COMMUNITY ECONOMIC ADJUSTMENT****FEDERAL AGENCY:**

Office of Economic Adjustment, Department of Defense

**AUTHORIZATION:**

10 U.S.C. 2391; Section 2905 of Public Law 101-510, as amended; and various appropriation laws that provide assistance for specific projects or entities.

**OBJECTIVES:**

To provide special assistance, as well as general economic adjustment assistance.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Dissemination of Technical Information; Project Grants; Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

Technical expertise to assist local and State governments to assess the impact of a Defense action, evaluate specific needs, identify opportunities for community recovery, recognize resource requirements for possible financial assistance, and prepare strategies and action plans. Special projects may have uses and restrictions as otherwise authorized.

**Applicant Eligibility:**

Applicants for this assistance are to contact the Office of Economic Adjustment to have a Project Manager assigned who, in turn, will assist the applicant to determine eligibility for assistance under this program. Unless otherwise authorized, States, cities, counties, other political subdivisions of a State, special purpose units of a state or local government, and tribal nations are eligible for this assistance if there is a proposed or actual establishment, realignment, or closure of a military installation. In the case of the establishment or expansion of a military installation, assistance may be made only if community impact assistance is not otherwise available.

**Beneficiary Eligibility:**

Unless otherwise authorized, states and communities, including workers, businesses and other community interests that may be affected by Department of Defense activity.

**Credentials/Documentation:**

Applicants may be required to provide documentation consistent with the authority under which the assistance is being sought. OMB Circular No. A-87



applies to this program.

**Preapplication Coordination:**

The applicant is notified of funding availability through letter or electronic mail communication. The applicant will be advised on how to apply for the funding through this notification. Additionally, E.O. 12372, Intergovernmental Review of Federal Programs may apply to this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application (SF 424, budget, program or project narrative and assurances) must be submitted that outlines the implementation of the project and expenditure of funds. Applications and supporting documentation must be submitted to the Director, Office of Economic Adjustment, Department of Defense. Applicants will generally be invited to submit their requests for assistance electronically. In instances where, for whatever reason, an electronic application cannot be submitted, provisions will be made to accept a paper application addressed to: Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

A brief review period is usually required.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of assistance will be determined on the basis of particular community economic adjustment needs or other special project needs. Funds are disbursed as required. Method of awarding/releasing assistance: lump sum.

**Reports:**

Financial and progress reports are required. The frequency of the reports will be identified in the "Terms and Conditions" of the award. Financial are required. The frequency of the reports will be identified in the "Terms and Conditions" of the award. Progress reports are required. The frequency of the reports will be identified in the "Terms and Conditions" of the award. Financial reports are required. The frequency of the reports will be identified in the "Terms and Conditions" of the award. Progress reports are required. The frequency of the reports will be identified in the "Terms and Conditions" of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documentation and all other records to validate the performance of the grant or cooperative agreement must be retained for

three years from the date the final financial status report is submitted to OEA.

**Account Identification:**

97-0100-0-7-051.

**Obligations:**

(Direct Payments for Specified Use) FY 09 \$0; FY 10 est \$43,000,000; and FY 11 est \$13,000,000 - Program not funded in FY 2009.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Awardee, and any subawardee or consultant/contractor, operating under the terms of a grant or cooperative agreement shall comply with all Federal, State, and local laws including the following, where applicable: 32 CFR Part 33, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 2 CFR Part 225, OMB Circular A-87, Cost Principles for State and Local Governments; the revised OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations; 32 CFR Part 25, Government-wide Debarment and Suspension (Non-procurement); 32 CFR Part 26, Drug-free Workplace; 32 CFR, Part 32, Uniform Administrative Requirements for Grants and Agreements to with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations; 32 CFR, Part 34, Administrative Requirements for Grants and Agreements with For-Profit Organizations; 2 CFR Part 220, OMB Circular A-21 Cost Principles for Educational Institutions; 2 CFR, Part 230, OMB Circular A-122, Cost Principles for Non Profit Organizations; 32 CFR Part 28, New Restrictions on Lobbying (Grants); and 2 CFR Part 175, Award Term for Trafficking in Persons.

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office: Regional Director, Western Region Office of Economic Adjustment, Department of Defense, 1325 J Street, Suite 1500, Sacramento, CA 95814, Telephone: (916) 557-7365.

**Headquarters Office:**

Patrick J. O'Brien 400 Army Navy Drive, Suite 200, Arlington, Virginia 22202-4704 Email: Patrick.Obrien@wso.whs.mil Phone: (703) 604-6020 Fax: (703) 604-5842.

**Website Address:**

<http://http://www.oea.gov>.

**RELATED PROGRAMS:**

12.607 Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation; 12.610 Community Economic Adjustment Planning Assistance for Joint Land Use Studies; 12.611 Community Economic Adjustment Planning Assistance for Reductions in Defense Industry Employment; 12.614 Community Economic Adjustment Diversification Planning; 12.615 Research and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Magnitude of impact, statutory compliance, immediacy of need, reasonableness of proposed work program and proposed level of funding.

**12.631 SCIENCE, TECHNOLOGY, ENGINEERING AND MATHEMATICS (STEM) EDUCATIONAL PROGRAM: SCIENCE, MATHEMATICS AND RESEARCH FOR TRANSFORMATION (SMART)**

SMART Scholarship-for-Service Program

**FEDERAL AGENCY:**

Office of the Secretary of Defense, Department of Defense

**AUTHORIZATION:**

SMART Defense Education Program, Public Law 109-163, 119 Stat. 3448, 10 U.S.C 2192a.

**OBJECTIVES:**

To: (1) increase the intellectual capacity and proficiency of future scientists and engineers in disciplines critical to defense; and (2) to increase the number of science, technology, engineering and mathematics (STEM) qualified individuals in the DoD workforce.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Awards are made to undergraduate and graduate students majoring in a DoD-relevant STEM field, who must be U.S. citizens and enrolled in an accredited U.S. institution of higher learning, e.g., university, college, etc. Specified in application.

**Applicant Eligibility:**

All applicants must be at least 18 years of age and U.S. citizens. Applicants must be an undergraduate or graduate student majoring in a DoD-relevant STEM field. Applicants participate in internships at DoD laboratories. Participants will be required to obtain and/or maintain a security clearance. Upon completion of their degree, applicants are expected to work full-time for the DoD.

**Beneficiary Eligibility:**

Beneficiaries are undergraduate and graduate students enrolled in a DoD-relevant STEM field.

**Credentials/Documentation:**

See application (e.g. proof of citizenship, official transcripts, proof of enrollment in an accredited college or university). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All eligible U.S. undergraduate and graduate students may apply.

**Award Procedure:**

Award decisions will be based on a competitive selection process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Eligible students may receive a SMART award from one to five years. See the following for information on how assistance is awarded/released: Varies depending on type of assistance.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Participant reports required. Expenditure reports are not applicable. Participant performance reports required (see program details).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Defense Contract Audit Agency (DCAA) performs the auditing function for this program.

**Records:**

None.

**Account Identification:**

97-0400-0-1-120.

**Obligations:**

(Project Grants (Fellowships)) FY 09 \$32,625,000; FY 10 est \$37,300,000; and FY 11 est \$50,000,000

**Range and Average of Financial Assistance:**

Average annual award is approximately \$70,000. Awards can vary due to differences in educational level and tuition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Estimate 250-275 new awards to be made. Transition approximately 175 additional SMART participants to DoD workforce. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please view the website

**Regional or Local Office:**

See Regional Agency Offices. Defense, Research and Engineering (DDR&E) STEM Development Office, Naval Postgraduate School, American Society for Engineering Education.

**Headquarters Office:**

Deborah Shifflett Naval Postgraduate School, SMART Program, 1 University Circle, Hermann Hall Rm 061, American Society for Engineering Education, 1818 N Street, N.W. Suite 600 Washington, DC 20036-2479 , Monterey, California 93943 Email: smart@asee.org Phone: (202) 331-3544.

**Website Address:**

<http://smart.asee.org/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

SMART scholarship recipients are selected based on merit including (1) academic record and potential to succeed in their proposed study; (2) additional supporting documentation; and (3) commitment to Federal service.

**12.750 UNIFORMED SERVICES UNIVERSITY MEDICAL RESEARCH PROJECTS**

Uniformed Services University (USU)

**FEDERAL AGENCY:**

Uniformed Services University of the Health Sciences, Department of Defense

**AUTHORIZATION:**

10 U.S.C. 2113 (J) (1) (A), Public Law 92-426.

**OBJECTIVES:**

The University is authorized by statute (10 U.S.C. 2113) to enter into grant agreements on a sole-source basis with the Henry M. Jackson Foundation to carry out cooperative enterprises in medical research, medical consultation and medical education.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

USU's mission is to conduct medical research and to educate and prepare outstanding scientists and health care practitioners for careers in service to our nation and partners with USU to provide world-class research and education.

**Applicant Eligibility:**

Used for medical research and education grants.

**Beneficiary Eligibility:**

Available to USU Scientists/Researchers.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

- PI directs funding info to USU Finance (FMG) who will initiate the USU award process
- FMG records & prepares funding acceptance documents and forwards to Sponsored Prog.
- USU Grants Office (GRT) reviews document and returns to FMG to complete acceptance
- GRT issues a notice letter to inform PI and awardee that funds have arrived
- Awardee sends official request for funds to GRT who prepares draft award for USU review
- GRT coordinates the internal review process (scientific, legal, and program analysis) of awardee's official application. GRT obligates funds and sends fully executed award to awardee and PI.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 60 to 90 days.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

30 - 90 days. See the following for information on how assistance is awarded/released: OST reimbursement & advance payment.

**Reports:**

Program reports. No cash reports are required. Annual Progress Reports. Expenditure reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Annual Progress Reports on anniversary date of award.

**Account Identification:**

97-1013-0-1-885 - Appropriation Code.

**Obligations:**

(Salaries) FY 10 \$74,273,948; FY 11 est \$38,000; and FY 12 Estimate Not Available - Estimates are the total amount of awarded dollars.

**Range and Average of Financial Assistance:**

Range: \$50K - \$80M  
Average: \$1.5M.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ken Bell 4301 Jones Bridge Road, Bethesda, Maryland 20814 Email: kbell@usuhs.mil Phone: 301-295-3861 Fax: 301-295-9536

**Website Address:**

http://www.usuhs.mil

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.800 AIR FORCE DEFENSE RESEARCH SCIENCES PROGRAM**

**FEDERAL AGENCY:**

Department of the Air Force, Materiel Command, Department of Defense

**AUTHORIZATION:**

Public Law 100-370, Section 1(g)(3), 1023 Stat. 846, 10 U.S.C. 2368(a); Public Law 100-456, Division A, Title II, Section 204; 84 Stat. 908, 10 U.S.C. 2358(b)(1), (c); 95 Stat. 1404, 1405, 10 U.S.C. 2361; Includes but not limited to American Recovery and Reinvestment Act (ARRA) funds.

**OBJECTIVES:**

To maintain technological superiority in the scientific areas relevant to Air Force needs; to prevent technological surprise to our nation and create it for our adversaries; to maintain a strong research infrastructure composed of Air Force laboratories, industry, and universities; and to complement the national research effort.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be expended in furtherance of the research identified in the proposal, in accordance with applicable Government-side cost principles as specified in the DoD Grant and Agreement Regulations.

**Applicant Eligibility:**

Private/public educational institutions; other private/public nonprofit organizations which are operated primarily for scientific, educational, or similar purposes in the public interest, and commercial concerns.

**Beneficiary Eligibility:**

Private/public educational institutions; other private/public nonprofit organizations which are operated primarily for scientific, educational, or similar purposes in the public interest, and commercial concerns.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research proposals shall be prepared in accordance with instructions in individual program announcements. See Grants.gov (www.grants.gov).

**Award Procedure:**

Awards decisions will be based on a competitive selection of proposals resulting from a peer and/or scientific review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 90 days, depending on the authority under which the funds would be awarded.

**Appeals:**

From 1 to 15 days.

**Renewals:**

Re-application with new proposal is permitted.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Normally from 12 to 36 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Cost/Technical Progress Reports. Reports of expenditures. Cost/Technical progress. Cost. Continuous monitoring throughout the effort.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit requirements are as stated in the Grant and Agreement Regulations.

**Records:**

Recipient will maintain accounting records which will permit determination that the funds were used for the award purposes. Financial records must be maintained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

57-3600-0-1-051; 57-3605-0-1-051.

**Obligations:**

(Project Grants) FY 10 \$506,249,465; FY 11 est \$365,000,000; and FY 12 est \$365,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Defense Grant and Agreement Regulations (DODGARS), February 8, 1994, and individual program announcements.

**Regional or Local Office:**

See Regional Agency Offices. Air Force Office of Scientific Research, 110 Duncan Avenue, Suite B115, Bolling AFB, Washington DC 20332-4990; Armstrong Laboratory, 8005 Ninth Street, Brooks AFB, TX 78235-5353; Phillips Laboratory, 3651 Lowry Avenue SE, Kirtland AFB, NM 87117-5777. Telephone: (505) 846-4979; Rome Laboratory, 26 Electronics Pkwy, Griffiss AFB, NY 13441-4514. Telephone: (315) 330-7746; Wright Laboratory, 2530 C Street, Bldg. 7, Wright-Patterson AFB, OH 45433-7607. Telephone: (513)

255-4813.

**Headquarters Office:**

Stephen P. Colvin, 1060 Air Force Pentagon, Washington, District of Columbia 20330 Email: stephen.colvin@pentagon.af.mil Phone: (571) 256-2408.

**Website Address:**

<http://ww3.safaq.hq.af.mil/contracting/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.901 MATHEMATICAL SCIENCES GRANTS PROGRAM**

**FEDERAL AGENCY:**

National Security Agency, Department of Defense

**AUTHORIZATION:**

National Security Act of 1959, Sections 13 (a) and 10 (a), Public Law 086-86-36, 50 U.S.C 402.

**OBJECTIVES:**

1. The NSA grants program seeks to stimulate new and important developments in the field areas of algebra, discrete mathematics, number theory, probability and statistics.
2. The program also seeks to increase the quantity and quality of domestic mathematical talent for the benefit of NSA and the nation.
3. In addition, the program seeks to improve mathematical opportunities to disadvantaged groups within the nation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Summer salary, professional travel, publishing costs, undergraduate support, graduate student support, postdoctoral support, and conference support. No more than two summer months support based upon the type of grant that is awarded. No released time from teaching during the regular academic year.

**Applicant Eligibility:**

All those receiving support from our grants must be U.S. citizens or permanent residents of the United States. Investigators must be an employee of a U.S. college or university. The principal investigator and all graduate students must be a U.S. citizen or a permanent resident of the U.S..

**Beneficiary Eligibility:**

This will benefit researchers in the mathematical sciences who are U.S. citizens or permanent residents as well as their students who are U. S. citizens or permanent residents of the U.S..

**Credentials/Documentation:**

The grant recipient shall certify that individuals meet the eligibility requirements as detailed in the "Who may submit" section of the Submission guidelines. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Principal investigators submit proposals for the support of undirected research, for the support of research conferences or meetings, and for programs of enrichment in specified mathematical areas. Principal investigators submit proposals in accordance with the proposal submission guidelines outlined at <https://www.nsa.gov>.

**Award Procedure:**

Proposal submissions meeting the criteria of the NSA program are peer reviewed and ranked according to their merit and how well they advance the

goals of the program. The reviewing and ranking are performed not only by a committee of experts within the NSA, but also by committees established by the American Mathematical Society. NSA determines which submissions receive support together with the amount of support to be provided and notifies those who have submitted proposals of the final decision regarding their submission. Subsequent to this notification, funds will be provided in a timely manner, contingent upon appropriation and authorization by Congress, to the NSA Grants office, for processing of a Grant Award. **APPLICANTS SHALL NOT MAKE ANY EXPENDITURES PRIOR TO RECEIPT OF A GRANT AWARD DOCUMENT FROM THE NSA GRANTS OFFICER.**

**Deadlines:**

Sep 01, 2011 to Oct 15, 2011: Proposals are accepted from Sep 1st through Oct 15th of each fiscal year for awards in the following fiscal year. No submissions received after the October 15th closing date will be accepted.

**Range of Approval/Disapproval Time:**

Approval/Disapproval time frame ranges generally from 6 to 9 months.

**Appeals:**

None.

**Renewals:**

Options for a second year of support may be proposed, and if accepted, grants with these options may be exercised at the sole discretion of the government. In all other situations, only no-cost extensions will be allowed when work is not completed. Funds will remain.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance funds are available for a period of up 12 months, unless an option has been proposed, and accepted for 12 additional months. Conferences, may be funded for a shorter period of time. See the following for information on how assistance is awarded/released: Funds are released upon receipt of an acceptable invoice by the Finance and Accounting Office, in accordance with OMB Circular No. A-110 and the General Provisions for NSA Grants and Cooperative Agreements Attachment provided with each awarded grant.

**Reports:**

Interim and final reports on the research or effort performed are required. Cash reports are not applicable. Interim reports on the research or effort being performed are required. Final expenditure reports are required detailing how the funds were expended. Details will be found in the General Provisions for NSA Grants and Cooperative Agreements which will be provide with the Grant Award document. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with Circular No. A-133, as appropriate.

**Records:**

Records shall be maintained in accordance with the OMB Circulars A-110 and A-133, as appropriate.

**Account Identification:**

97-0400-0-1-051.

**Obligations:**

(Salaries) FY 10 \$6,500,000; FY 11 est \$6,500,000; and FY 12 est \$6,000,000

**Range and Average of Financial Assistance:**

Research Grants:	\$5,000. to \$60,000	Average
Award: \$26,000.		
Conferences:	\$5,000. to \$195,000.	Average
Award: \$32,000.		

Research Experiences for Undergraduates: \$20,000. to \$300,000. Average Award: \$110,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Accomplishment for fiscal year 2010:

- 1) 283 Research proposals were received; 75 grants awarded
  - 2) 12 REU proposals were received; 10 REU grants awarded
  - 3) 44 Conference proposals were received; 31 grants for conferences awarded.
- Fiscal Year 2011: For Fiscal Year 2011 projections are as follows:

- 1) 295 Research proposals will be received; approximately 72 grants will be awarded
  - 2) 14 REU proposals will be received; approximately 11 grants will be awarded
  - 3) 50 Conference proposals will be received; approximately 30 grants will be awarded.
- Fiscal Year 2012: For Fiscal Year 2012 projections are as follows:

- 1) 266 Research proposals will be received; approximately 70 grants will be awarded
- 2) 12 REU proposals will be received; approximately 10 grants will be awarded
- 3) 44 Conference proposals will be received; approximately 32 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information on how to apply for grants is located at [www.nsa.gov](http://www.nsa.gov) under the RESEARCH TAB at the top of the site (the drop down menu will show the Mathematical Sciences Program).

Additionally, a single page of information on the program is also available upon request from the Mathematical Sciences Program POCs, Dr. Floyd B. Cole or Ms. Barbara Johnson, who can both be reached at telephone number: (301) 688-0400.

**Regional or Local Office:**

See Regional Agency Offices. Mathematical Sciences Program  
 Department of Defense  
 National Security Agency  
 Attn: R1 (Dr. Floyd B. Cole or Ms. Barbara Johnson)  
 9800 Savage Road  
 Suite 6657  
 Fort George G. Meade, MD 20755-6557.

**Headquarters Office:**

Diane I. Boyer 9800 Savage Road  
 , Fort George G. Meade, Maryland 20755 Email: [diboyer@nsa.gov](mailto:diboyer@nsa.gov) Phone: 4434797660

**Website Address:**

<https://www.nsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Research in the areas of (1) algebra, (2) discrete mathematics, (3) number theory, (4) probability, (5) statistics; and (6) mathematics conferences were funded. Fiscal Year 2011: Anticipated research areas include: (1) algebra, (2) discrete mathematics, (3) number theory, (4) probability, (5) statistics; and (6) mathematics conferences. Fiscal Year 2012: Anticipated research areas include: (1) algebra, (2) discrete mathematics, (3) number theory, (4) probability, (5) statistics; and (6) mathematics conferences.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria is dependent upon the type of proposal received. Individual research, conference/meeting, or undergraduate research experience. Primarily criteria for individual research are the qualifications of the principal investigator and quality of the research proposed. Cost is considered when deciding upon funding e.g., up to two months of summer salary and /or student support, depending on the research grant type. The government reserves the right to partially fund any successful proposal based upon availability of funds.

**12.902 INFORMATION SECURITY GRANT PROGRAM**

Information Assurance Scholarship Program

**FEDERAL AGENCY:**

National Security Agency, Department of Defense

**AUTHORIZATION:**

National Security Act of 1959, Sections 13 (a) , Public Law 106-398, 10 U.S.C 2200-2200f.

**OBJECTIVES:**

The National Security Agency (NSA) is involved with the development of secure computing systems. This grant program is designed to assist in the area of unclassified Information Security research. This research should provide significant advances in our nation's ability to design, build, and maintain computer systems that perform with a high degree of integrity, confidentiality, and service assurance. Additionally, this grant program is aimed at developing computer science graduates who are knowledgeable in the area of Information Security from which NSA can recruit.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Summer salary, professional travel, publishing costs, bachelor, graduate and doctoral student support, postdoctoral support, and conference support in support of the DoD Information Assurance Scholarship Program. No more than two summer months support from all sources. No released time from teaching during the regular academic year.

**Applicant Eligibility:**

Investigators must be an employee of a U.S. college or university. The principal investigator and supported graduate students must be a U. S. citizen or a permanent resident of the United States. Students eligibility for scholarships will determined under the DoD Information Assurance Scholarship Program.

**Beneficiary Eligibility:**

This will benefit researchers in the information security field of computer science that are permanent residents of the United States (U.S.) as well as their students that are permanent residents of the U.S. or U.S. citizens. Scholarships will benefit those pursuing a Bachelor's, Master's or Doctoral Degree in one of the academic areas cited under the DoD Information Assurance Scholarship Program.

**Credentials/Documentation:**

The grant recipient shall certify that individuals meet the eligibility requirements as detailed at the DoD Information Assurance Scholarship Program website located at <http://cio-nii.defense.gov/sites/iasp2/about.html>. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An annual request for proposals is issued to the designated National Centers of Academic Excellence in Information Assurance Education and the National Centers of Academic Excellence in Research (herein after referred to as CAEs) each November for participation in the DoD Information Assurance Scholarship Program (IASP). Rising junior, senior and graduate students accepted at or enrolled in, one of the CAEs may apply for full scholarships to complete a bachelor's, master's or doctoral degree or graduate (post baccalaureate) certificate program in a relevant IA/IT discipline. Student application requirements are included in the solicitation released to the CAEs. For a listing of CAEs please go to [www.nsa.gov](http://www.nsa.gov), where you will find the CAEs listed under the Information Assurance tab's drop down menu under IA Academic Outreach. Students should consult their CAEs for application procedures.

**Award Procedure:**

The DoD IASP Executive Administrator provides each participating Component with a summary listing of all recruitment applicants. The listing includes each students academic major, GPA, projected degree and final graduation date; comments on the students knowledge, skills and attributes; and the CAE assessment rating. These proposals are peer reviewed and ranked

according to their merit and how well they advance the goals of the IASP program.

**Deadlines:**

Nov 01, 2011 to Feb 28, 2012: Annually, the grant solicitation is issued each November with grant proposals due 28 February of the following year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Generally within 3 months, but may be made at any time throughout the year for which funding is authorized.

**Appeals:**

Not Applicable.

**Renewals:**

Options for a second year of support may be proposed and if accepted, grants with these options may be exercised at the sole discretion of the government. In all other situations, only no-cost extensions will be allowed when work is not completed. Funds will remain.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance funds are available for a period of up to 12 months, unless an option has been proposed and accepted for 12 additional months. See the following for information on how assistance is awarded/released: Funds are released upon receipt of an acceptable invoice by the Finance and Accounting Office, in accordance with OMB Circular No. A-110 and the General Provisions for NSA Grants and Cooperative Agreements attachment, which is provided with each awarded grant.

**Reports:**

Interim and final reports on the research or effort performed are required. No cash reports are required. Interim reports on the research or effort being performed are required. Final expenditure reports are required detailing how the funds are expended. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records shall be maintained in accordance with OMB Circulars A-110 and A-133, as appropriate.

**Account Identification:**

97-0400-0-1-051.

**Obligations:**

(Salaries) FY 10 \$4,055,228; FY 11 est \$3,800,000; and FY 12 est \$3,600,000

**Range and Average of Financial Assistance:**

IASP Grants: \$40,000.00 to \$312,000.00 Average Award: \$67,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 60 Grant proposals were received; 59 Grants were awarded. Fiscal Year 2011: 69 Grant proposals were received; approximately 62 grants will be awarded. Fiscal Year 2012: Anticipate 70 Proposals will be received; approximately 70 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information on how to apply for IASP grants is located at [www.nsa.gov](http://www.nsa.gov) under the INFORMATION ASSURANCE TAB at the top of the site (the drop down menu will show IA Academic Outreach, then Student Opportunities)

Additionally, information on the IASP program may be found at on the IASP website:

<http://cio-nii.defense.gov/sites/iasp2/index.html>

**Regional or Local Office:**

See Regional Agency Offices. Department of Defense  
National Security Agency  
Attn: I92 ( Ms. Alice Shaffer)  
9800 Savage Road  
Suite 6722  
Fort George G. Meade, MD 20755-6722  
Phone: 410-854-6206  
E-mail: aeshaff@nsa.gov.

**Headquarters Office:**

Diane I. Boyer 9800 Savage Road  
Suite 6623, Fort George G. Meade, Maryland 20755 Email: diboyer@nsa.gov  
Phone: 443-479-7660

**Website Address:**

<http://cio-nii.defense.gov/sites/iasp2/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Previously funded grants included scholarship awards for qualified students pursuing degrees in academic disciplines that have a concentration in information assurance. Disciplines may have included: biometrics; business management or administration, computer crime investigations, computer engineering, computer programming, computer science, computer systems analysis, cyber operations, cyber security, database administration, data management, digital and multimedia forensics, electrical engineering, electronics engineering, information security (assurance), information systems, mathematics, network management/operations, software engineering. Fiscal Year 2011: Funded grants are anticipated to include scholarship awards for qualified students pursuing degrees in academic disciplines that have a concentration in information assurance. Disciplines have included: biometrics; business management or administration, computer crime investigations, computer engineering, computer programming, computer science, computer systems analysis, cyber operations, cyber security, database administration, data management, digital and multimedia forensics, electrical engineering, electronics engineering, information security (assurance), information systems, mathematics, network management/operations, software engineering. Fiscal Year 2012: Funded grants are anticipated to include scholarship awards for qualified students pursuing degrees in academic disciplines that have a concentration in information assurance. Disciplines have included: biometrics; business management or administration, computer crime investigations, computer engineering, computer programming, computer science, computer systems analysis, cyber operations, cyber security, database administration, data management, digital and multimedia forensics, electrical engineering, electronics engineering, information security (assurance), information systems, mathematics, network management/operations, software engineering.

**CRITERIA FOR SELECTING PROPOSALS:**

The DoD IASP Executive Administrator provides each participating Component with a summary listing of all recruitment applicants. The listing includes each student's academic major, GPA, projected degree and final graduation date; comments on the student's knowledge, skills and attributes; and the CAE assessment rating. These proposals are peer reviewed and ranked according to their merit and how well they advance the goals of the IASP program.

**DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT****14.005 CHOICE NEIGHBORHOODS PLANNING GRANTS**

Choice Neighborhoods Planning Grants

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010, Public Law 111-111-117.

**OBJECTIVES:**

Choice Neighborhoods Planning Grants will support the development of comprehensive neighborhood Transformation Plans. The Transformation Plan should integrate effective strategies to implement public and/or assisted housing revitalization, the coordination and design of supportive services, including educational opportunities for children, and neighborhood-level planning to improve a range of neighborhood assets. The Transformation Plan should be created as part of a collaborative planning process that involves neighborhood stakeholders and local governmental entities to build the necessary support to successfully implement the plan.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Choice Neighborhoods Planning Grants will fund the creation of Transformation plans that are intended to become the guiding document for the revitalization of the public and/or assisted housing units while simultaneously directing the transformation of the surrounding neighborhood and outlining the steps necessary to create positive outcomes for families within the targeted neighborhood. Refer to NOFA.

**Applicant Eligibility:**

Choice Neighborhoods Planning Grants will support the development of comprehensive neighborhood Transformation Plans. The Transformation Plan should integrate effective strategies to implement public and/or assisted housing revitalization, the coordination and design of supportive services, including educational opportunities for children, and neighborhood-level planning to improve a range of neighborhood assets. The Transformation Plan should be created as part of a collaborative planning process that involves neighborhood stakeholders and local governmental entities to build the necessary support to successfully implement the plan.

**Beneficiary Eligibility:**

For Choice Neighborhoods Planning Grants, the ultimate beneficiaries are residents of the severely distressed public and/or assisted housing unit and residents of the surrounding community these grants aim to engage in the creation of the community drafted Transformation Plan.

**Credentials/Documentation:**

Eligibility requirements to apply for Choice Neighborhoods Planning Grants are included in the Notice of Funding Availability (NOFA). OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

HUD will issue a Notice of Funding Availability (NOFA), as provided by annual appropriations, via the Grants.gov website. HUD headquarters will coordinate reviews of each eligible application for threshold compliance, assigns rating points to applications that pass all thresholds, and the highest rated applications are notified that they have been selected to participate in the Choice Neighborhoods Planning Grant program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Refer to each Notice of Funding Availability (NOFA) for application deadlines.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 5%. This program has no statutory formula. Matching Requirements: Choice Neighborhoods Planning Grants will leverage funds from state, local or private sources as well as other HUD and Federal programs. HUD is required by section 24(c)(1)(A) of the 1937 Act (42 U.S.C. 1437v(c)(1)(A)) to include the requirement for matching funds for all HOPE VI-related grants, which includes Choice Neighborhoods. Applicants are required to have matching funds in the amount of five percent of the requested grant amount in cash or in-kind donations.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

24 months from grant execution. Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees are required to submit quarterly reports to HUD that will track Grantee progress against approved budgets and schedules. No cash reports are required. Grantees are required to submit quarterly reports to HUD that will track Grantee progress against approved budgets and schedules. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. This program is excluded from coverage under OMB Circular No. A-133. Grants are audited in conjunction with regular HUD or independent public accountant audits in accordance with 24 CFR 85.26, and after grant close-out.

**Records:**

Grantees are required to maintain copies of budgets and other cost records through the grant period to indicate compliance with the Grant Agreement.

**Account Identification:**

86-0218-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$4,000,000; and FY 12 est \$3,600,000

**Range and Average of Financial Assistance:**

In FY10 seventeen Choice Neighborhoods Planning Grants were awarded, ranging from \$167,000 to \$250,000 (the maximum amount allowable). The average grant award was for \$235,294. The maximum award for FY11 Choice Neighborhoods Planning Grants has been increased to \$300,000, so it is expected that the average grant award size will increase.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010: In the programs inaugural year, 17 grant awards were made to 13 public housing sites and 4 assisted housing sites to create Transformation Plans that will help support affordable housing and community development. Fiscal Year 2011: Fiscal Year 2011: HUD plans to award 12-15 Planning Grants. Fiscal Year 2012: Information not yet available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations have been published. Each grant is subject to the terms of its NOFA and Grant Agreement, which is the contract signed by the Grantee and HUD. HUD posts guidance to the Choice Neighborhoods website, [www.hud.gov/cn](http://www.hud.gov/cn).

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Clayton, 451 7th Street S.W. Room 4130, Washington, District of Columbia 20410 Email: [choiceneighborhoods@hud.gov](mailto:choiceneighborhoods@hud.gov) Phone: (202) 402-5461.

**Website Address:**

<http://www.hud.gov/cn>

**RELATED PROGRAMS:**

14.866 Demolition and Revitalization of Severely Distressed Public Housing;  
14.889 Choice Neighborhoods

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.103 INTEREST REDUCTION PAYMENTS, RENTAL AND COOPERATIVE HOUSING FOR LOWER INCOME FAMILIES (236)****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 236, Public Law 90-448, 12 U.S.C. 1715., Public Law 448-90-448, 12 U.S.C 1715.

**OBJECTIVES:**

To provide good quality rental and cooperative housing for persons of low-and moderate-income by providing interest reduction payments in order to lower their housing costs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Use was limited to Section 236 insured and non-insured mortgages financed by State or Local Housing Finance Agencies. Program is now inactive. No new projects are being approved. Projects with this subsidy are still active in the MF portfolio.

**Applicant Eligibility:**

Eligible mortgagors included nonprofit, cooperative, builder-seller, investor-sponsor, and limited-distribution sponsors. Public bodies did not qualify as mortgagors under this program.

**Beneficiary Eligibility:**

Families and individuals, including the elderly and handicapped or those displaced by government action or natural disaster, eligible to receive the benefits of the subsidies must at the time of admission fall within certain locally determined income limits. Families with higher incomes may occupy apartments, but may not benefit from subsidy payments.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and qualifications of the mortgagor was submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No applications for new projects are being accepted. Sponsors submitted FHA Form No. 2013, application and other documentation for FHA Review of Proposed Development, to local HUD field office with multifamily processing or equivalent documentation to a State or local Housing Finance Agency approved by HUD for participation in the program.

**Award Procedure:**

The local HUD office or State or local Housing Finance Agency reviewed the application to determine site appraisal and market analysis. Market need, correct zoning, environmental assessment and value of site fully improved were considered. The local office granted feasible proposals a tentative reservation of contract authority, and the sponsor was invited to apply for mortgage commitment, at which stage(s) further technical processing was completed. No new applications for project mortgage insurance are being accepted.



**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 CFR, Part 236.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The mortgage term normally extends for 40 years. Interest reduction payments may extend for the full term of the mortgage. For individual families, assistance ceases when their income rises to the point where they can afford the full market rent without the benefit of assistance. See the following for information on how assistance is awarded/released: Monthly.

**Reports:**

Excess income reports. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgage or mortgagor in order to determine their compliance and conformance with FHA regulations and standards.

**Records:**

Tenant certifications for assistance payments and annual recertification must be forwarded to the HUD Field or Area Office by the sponsor. Regular financial reports are also required. Mortgagees must service and maintain records in accordance with acceptable mortgagee practices and HUD regulations.

**Account Identification:**

86-0335-0-1-999; 86-0334-0-1-604.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Salaries and Expenses (not separately identifiable).

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet: Rental and Co-op Housing for Lower Income Families. No charge; 24 CFR 236 et seq.

**Regional or Local Office:**

None. Contact the appropriate local HUD Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Steven A. Marin 451 7th Street, SW, Washington, District of Columbia 20410  
Email: Stephen.A.Martin@hud.gov Phone: ( 202 ) 708-2495 Ext. 2492

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdesc/progdesc.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.108 REHABILITATION MORTGAGE INSURANCE**

(203(k))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 203(k).

**OBJECTIVES:**

The Section 203(k) program is HUD's primary program for the rehabilitation and repair of single family properties. As such, it is an important tool for community and neighborhood revitalization and for expanding homeownership opportunities. HUD's 203(k) program will allow a purchase or refinance transaction plus include in the loan amount the cost of making repairs and/or non luxury improvements.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

These loans may be used to rehabilitate an existing 1 to 4 unit dwelling in one of four ways: (1) Purchase a structure and the land on which the structure is located and rehabilitate it; (2) purchase a structure on another site, move it onto a new foundation on the mortgaged property and rehabilitate it; (3) refinance the existing indebtedness and rehabilitate such a structure; or (4) rehabilitate such a structure. Maximum insurable mortgage loans for an occupant mortgagor are the same as prescribed for Section 203(b) - Program 14.117.

HUD offers two 203K rehabilitation loan programs. The Streamline (k) program which a minimum amount of repair costs is not required but, the program is capped at a total of \$35,000 for the cost of improvements/repairs. The other program is the Standard 203(k). A minimum of \$5,000 of repair/improvement costs are required but, there are no limitations on the amount of the repair/improvements. However, statutory loan limits apply.

HUD insures lenders against loss on the 203(k) loan prior to the rehabilitation/improvements are completed.

**Applicant Eligibility:**

Individual and families.

**Beneficiary Eligibility:**

Individuals and families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the borrower are assembled by the lender and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

The lender or HUD will state the reason for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4587-0-3-371 - FY 2010 and future.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 \$3,862,389,238; FY 11 Not Separately Identifiable(Exp: Reported Under 14.117); and FY 12 Not Separately Identifiable(Exp: Reported Under 14.117) - Reported Under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the FHA Resources Center at: <http://www.hud.gov/offices/hsg/sfh/fharesourcectr.cfm>.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/203k/203kmenu](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/203k/203kmenu)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.110 MANUFACTURED HOME LOAN INSURANCE FINANCING PURCHASE OF MANUFACTURED HOMES AS PRINCIPAL RESIDENCES OF BORROWERS**

(Title I)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.

**OBJECTIVES:**

To make possible reasonable financing of manufactured home purchases.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on loans. Insured loans may be used to purchase manufactured home units by buyers intending to use them as their principal places of residence. Effective March 3, 2009, the maximum amount of the loan is \$69,678, whether single or multiple modules. The lender must give assurance that the unit will be placed on a site which complies with local zoning and land development requirements.

**Applicant Eligibility:**

All persons are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the manufactured home unit and the qualifications of the borrower are submitted to the lender. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted to a HUD-approved lender or through a lender's approved dealer for review and approval.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Prior to June 1, 2009, HUD had no involvement in the approval or disapproval process of a loan. Effective June 1, 2009, lenders will submit loans to HUD for a pre-closing test approval period, which will average 3 to 5 days for complete submissions. Upon successful completion of the pre-closing test phase, a lender may then be authorized to participate in the Title I Direct Endorsement Program. HUD has no other participation or regulation over the lender approval processing time.

**Appeals:**

The applicant may reapply.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The average loan term is between 15 to 20 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 \$87,359,201; FY 11 est \$58,840,170; and FY 12 est \$64,724,187

**Range and Average of Financial Assistance:**

The maximum amount of the loan in FY 2008 was \$48,600, whether single or multiple modules. The average loan amount for FY 2008 was \$38,409. The maximum loan amount for FY 09, October 1, 2008 through February 28, 2009 was \$48,600. The maximum loan amount for FY 09 from March 1, 2009 through September 30, 2009 is \$69,678.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Individuals are encouraged to contact the FHA Resource Center at <http://www.hud.gov/offices/hsg/sfh/fharesourcectr.cfm> for additional information.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/title/ma\\_nuf1414.117](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/title/ma_nuf1414.117)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.117 MORTGAGE INSURANCE HOMES**

(203(b))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 203(b), Public Law 73-479, 12 U.S.C. 1709, 1715(b).

**OBJECTIVES:**

To help people undertake home ownership.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing one-to-four-family housing, as well as to refinance indebtedness on existing housing. Maximum insurable loans are as follows: In areas where 125 percent of the median house price is less than 65 percent of the Freddie Mac limit (\$417,000), FHA floor limits are set at the 65 percent limit as follows: one-family \$271,050; two-family \$347,000; three-family \$419,400; and four-family \$521,250. Any area where the limits exceed the floor is known as a high cost area. In areas where 125 percent of the median house price exceeds the 175 percent limit of \$729,000 for a one unit property, the mortgage limits are set at the 175 percent amount (ceiling) as follows: one-family \$729,750; two-family \$934,200; three-family \$1,129,250; and four-family \$1,403,400. Designated areas of limited housing opportunities and maximum mortgage amounts may be obtained from local HUD Offices.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution. In addition, certain lending institutions have been approved to review applications and issue an approval or rejection, without additional HUD intervention. This program is referred to as Direct Endorsement.

**Award Procedure:**

Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD approved lending institution. In addition, certain lending institutions have been approved to review applications and issue an approval or rejection, without additional HUD intervention. This program is referred to as Direct Endorsement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

The lender or HUD will state the reason for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 \$297,614,083,000; FY 11 est \$360,317,770,000; and FY 12 est \$218,000,000,000

**Range and Average of Financial Assistance:**

Maximum insurable loans are as follows: In areas where 125 percent of the median house price is less than 65 percent of the Freddie Mac limit (\$417,000), FHA floor limits are set at the 65 percent limit as follows: one-family \$271,050; two-family \$347,000; three-family \$419,400; and four-family \$521,250. Any area where the limits exceed the floor is known as a high cost area. In areas where 125 percent of the median house price exceeds the 175

percent limit of \$729,000 for a one unit property, the mortgage limits are set at the 175 percent amount (ceiling) as follows: one-family \$729,750; two-family \$934,200; three-family \$1,129,250; and four-family \$1,403,400.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

100 Questions and Answers About Buying a New Home, no charge; The HUD Home Buying Guide, no charge; Residential Rehabilitation Program, no charge; Fact Sheet: Rehabilitation Mortgage Insurance, no charge. 24 CFR 203.50.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsgohocs.cfm>), or the nearest local HUD Office. See Catalog Address Appendix IV for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/ins/sfh203b](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/ins/sfh203b)

**RELATED PROGRAMS:**

14.108 Rehabilitation Mortgage Insurance; 14.133 Mortgage Insurance\_Purchase of Units in Condominiums; 14.163 Mortgage Insurance\_Single Family Cooperative Housing

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.119 MORTGAGE INSURANCE\_HOMES FOR DISASTER VICTIMS (203(h))**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To help victims of a major disaster undertake homeownership on a sound basis.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase or reconstruction of a one-family home that will be the principal residence of a borrower that is a victim of a major disaster. The maximum insurable loan for such an occupant mortgagor is the same as prescribed for Section 203(b) (14.117). Disaster victims are not required to meet the 3.5 percent minimum investment requirements. In order to qualify for assistance, the formerly occupied home must have been in an area designated by the President as a disaster area, and it must have been destroyed or damaged to such an extent that reconstruction or replacement is necessary.

**Applicant Eligibility:**

Anyone that is a victim of a major disaster as designated by the President is eligible to apply.

**Beneficiary Eligibility:**

Families or individuals that are victims of a major disaster as designated by the President.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An FHA-approved lender submits the application for review and approval or disapproval to the local HUD Field Office.

**Award Procedure:**

Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD approved lending institution. In addition, certain lending institutions have been approved to review applications and issue an approval or rejection, without additional HUD intervention. This program is referred to as Direct Endorsement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years, except 35 years if the mortgagor is unacceptable for a 30-year term and the property was constructed subject to HUD or VA inspection. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 Not Separately Identifiable; FY 11 Not Separately Identifiable; and FY 12 Not Separately Identifiable - Reported Under 14.117 for FY 10, FY 11 and FY 12.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW , Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/ins/203h-dft](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/ins/203h-dft)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.122 MORTGAGE INSURANCE\_HOMES IN URBAN RENEWAL AREAS**

(220 Homes)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1954, Public Law 83-560, 12 U.S.C. 1715(b), 1715(k), Title 24, Part 220, 12 U.S.C 1715b.

**OBJECTIVES:**

To help eligible entities to purchase and/or rehabilitate homes in urban renewal areas.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance acquisition or rehabilitation of one- to five-family housing in approved urban renewal or code enforcement areas. Maximum insurable loans for the occupant mortgagor are prescribed by statute. Properties must be constructed or rehabilitated pursuant to an approved urban renewal plan.

**Applicant Eligibility:**

Eligible mortgagors include private profit motivated entities, public bodies and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

Families and Individuals.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD- approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years or not in excess of three-fourths of the remaining economic life of the project. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 Not Separately Identifiable(Exp: Reported under 14.117); FY 11 Not Separately Identifiable(Exp: Reported under 14.117); and FY 12 Not Separately Identifiable(Exp: Reported under 14.117) - Reported under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are in 24 CFR 220.1. The basic program instructions are in HUD Handbook 4555.1 - Rental Housing in Urban Renewal Areas for Project available on HUDclips.org.

**Regional or Local Office:**

None. Persons are encouraged to contact the nearest local HUD Office.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.123 MORTGAGE INSURANCE\_HOUSING IN OLDER, DECLINING AREAS**

(223(e))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To assist in the purchase or rehabilitation of housing in older, declining urban areas.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans under other sections of the National Housing Act, e.g., Section 221(d)(3) or (d)(4), pursuant to Section 223(e). Claims are paid from the Special Risk Insurance Fund, but this is not a separate program. The determination to use Section 223(e) is at the discretion of HUD. These loans may be used to finance the purchase, repair, rehabilitation, and construction of housing in older, declining urban areas where conditions are such that certain normal eligibility requirements for mortgage insurance under a particular program cannot be met. The property must be an acceptable risk giving consideration to the need for providing adequate housing for low-and moderate-income families.

**Applicant Eligibility:**

HUD-approved mortgagees.

**Beneficiary Eligibility:**

For single family purposes, an individual or family is eligible to apply through HUD approved mortgagees. Multifamily sponsorship is determined by applicable program requirements.

**Credentials/Documentation:**

For single family applications, documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. Documentation required for multifamily applications is determined by applicable program requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications may be submitted at any time for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may request the HUD-approved mortgagee to seek HUD reconsideration.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgages are required to service and maintain records in accordance with acceptable practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 Not Separately Identifiable(Exp: Reported under 14.135); FY 11 Not Separately Identifiable(Exp: Reported under 14.135); and FY 12 Not Separately Identifiable(Exp: Reported under 14.135) - Reported Under 14.135.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. All projects are processed in Single Family Homeownership Centers, Multifamily Hubs, or local HUD offices. Persons are encouraged to contact the Homeownership Center or HUD serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/ins/sfh/203b](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/ins/sfh/203b)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.126 MORTGAGE INSURANCE\_COOPERATIVE PROJECTS**

(213 Cooperatives)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 213; Housing Act of 1950, Public Law 81-475; Housing Act of 1956, Public Law 84-1020, 12 U.S.C. 1715(e); Public Law 91-152, 83 Stat. 379, 383; Public Law 84-345, 69 Stat. 635; Public Law 87-70, 75 Stat. 149, 179; Public Law 86-372, 73 Stat. 654, 656; Public Law 89-117, 79 Stat. 451, 469; Public Law 89-754, 80 Stat. 1255-66.

**OBJECTIVES:**

Enables nonprofit cooperative ownership housing corporations or trusts to develop or sponsor the development of housing projects to be operated as cooperatives. Section 213 allows investors to provide good quality multifamily housing to be sold to such nonprofit corporations or trusts upon completion of construction or rehabilitation.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 213 insures lenders against loss on mortgages. Insured mortgages may be used to finance construction, acquisition of existing, or rehabilitation of detached, semidetached, row, walk-up, or elevator type housing consisting of

five or more units. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations. Contractors for new construction and substantial rehabilitation housing projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors are nonprofit cooperatives, ownership housing corporations or trusts which may either sponsor projects directly, sell individual units to cooperative members, or purchase projects from investor-sponsors (builders, developers, or others who meet HUD requirements).

**Beneficiary Eligibility:**

Members of the cooperative are eligible to occupy a dwelling in the structure whose mortgage is insured under the program.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits the SAMA application or feasibility letter to the local Hub or Program Center. Following HUD's approval and issuance of a SAMA or feasibility letter, the sponsor submits a firm commitment application through a HUD-approved mortgagee to the local Multifamily Hub or Program Center for processing.

**Award Procedure:**

The local HUD field office decides whether to approve, or reject individual applications and whether to issue a commitment to the lender to insure the mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing times will depend upon the degree of preparation by the sponsor and HUD Multifamily Hub or Program Center workload.

**Appeals:**

If any application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less, except for sales type cooperatives where the maximum term is 35 years or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Mortgage Insurance provided over the life of the loan.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with the regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 Not Separately Identifiable(Exp: Reported under 14.117); FY 11 Not Separately Identifiable(Exp: Reported under 14.117); and FY 12 Not Separately Identifiable(Exp: Reported under 14.117)

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Handbooks 4550.1 and 4550.2 "Basic Cooperative Housing Insurance, and Pre-sale Management Type Co-ops", no charge; HUD Handbook 4550.3, "Converting an Existing Project to a Cooperative", no charge; HUD Handbook 4240.3, Section 203 (n), Application Through Insurance (Single Family), no charge; HUD Handbook 4550.4, Supplementary Loan-Cooperative Housing", no charge; HUD Handbook 4550.5, "Investor-Sponsor and Nonprofit Sponsorship of Housing Cooperatives", no charge; HUD Handbook 4550.6, "Sales Type Cooperatives", no charge available on <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Multifamily Hub or Program Center with jurisdiction for the proposed property. HUD Multifamily Hubs and Program Centers are listed on the web at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.127 MORTGAGE INSURANCE\_MANUFACTURED HOME PARKS**  
(207 - Manufactured Home Parks)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 207, Public Law 84-345, 12 U.S.C. 1713.

**OBJECTIVES:**

To make possible the financing of construction or rehabilitation of manufactured home parks.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The Department's Federal Housing Administration (FHA) insures lenders against loss on mortgage defaults. Insured mortgages may be used to finance the construction or rehabilitation of manufactured home parks consisting of 5 or more spaces. The maximum mortgage limit is \$11,250 per space. In areas where cost levels so require, limits may be increased up to 140 percent on a case-by-case basis. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

Families, individuals, and elderly persons owning manufactured homes and desiring to lease spaces in a manufactured home park.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a site appraisal and market analysis (SAMA) for new construction projects or a feasibility application for substantial rehabilitation projects. Following HUD's issuance of a SAMA or feasibility letter, the sponsor submits a firm commitment application through a HUD-approved lender for processing. Considerations include market need, zoning, capabilities of the borrower, and availability of community resources. Applications are submitted to the local HUD Multifamily Hub Program Center which does multifamily processing.

**Award Procedure:**

The HUD Multifamily Hub or Program Center decides whether to approve or reject applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time will depend upon the degree of preparation by the sponsor and by the workload of the HUD Field Office.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:**

The term of a commitment to insure may be extended when more time is required.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of

the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over the life of the mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$8,745,500; FY 11 est \$13,000,000; and FY 12 est \$13,200,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet, Manufactured Home Parks; 24 CFR 207.33 et seq.; Mobile Home Parks Financing, no charge; Housing Surveys, Part II; HUD Handbook 4545.1, Mobile Home Park Program, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. All projects are processed in Local HUD Multifamily Hubs or Program Centers. Persons are encouraged to communicate with the nearest HUD Multifamily Hub or Program Center listed at [http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs_pcs.cfm) or in the Catalog Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.128 MORTGAGE INSURANCE\_HOSPITALS**

(Section 242 - Mortgage Insurance for Hospitals)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

242, 1715z U.S.C.

**OBJECTIVES:**



To facilitate the affordable financing of hospitals for the care and treatment of persons who are acutely ill or who otherwise require medical care and related services of the kind customarily furnished only or most effectively by hospitals.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgages. The loans may be used to finance the construction, modernization, equipment, or refinancing of acute care hospitals.

**Applicant Eligibility:**

Qualified applicants can be either profit or not-for-profit hospitals licensed or regulated by the State, municipality, or other political subdivision. At least 50 percent of the care must be for general acute patients (this requirement has been eliminated for hospitals specifically designated as Critical Access Hospitals as part of Public Law 108-091).

**Beneficiary Eligibility:**

Persons needing the services of these hospitals benefit by using the modernized facilities supported by the insured mortgages.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. A Certificate of Need from the appropriate State agency is needed if that State has a Certificate of Need process. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal application to the Office Healthcare Programs, Room 6264, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410.

**Award Procedure:**

The Federal Housing Commissioner makes final decisions to approve, hold, or reject individual applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Processing time depends upon the complexity of the proposal and the degree of preparation by the sponsor. 60 days is the goal for non-complicated applications.

**Appeals:**

If an application for mortgage insurance is refused, the reasons for the refusal will be stated. The applicant may reapply.

**Renewals:**

The term of a commitment to insure advances is typically effective for 90 days from the date of issuance and may be extended for good cause.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The mortgage term is 25 years. See the following for information on how assistance is awarded/released: insurance of advances for construction projects.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees and mortgagors are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and FHA regulations. Records must be kept in accordance with State and Federal Regulations during the construction phase.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$1,719,610,200; FY 11 est \$2,500,000,000; and FY 12 est \$2,930,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ivy M. Jackson, 451 7th Street, SW Rm 6264 , Washington, District of Columbia 20410 Email: Ivy.M.Jackson@hud.gov Phone: (202) 402-2333.

**Website Address:**

<http://www.fha.gov/healthcare>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.129 MORTGAGE INSURANCE\_NURSING HOMES, INTERMEDIATE CARE FACILITIES, BOARD AND CARE HOMES AND ASSISTED LIVING FACILITIES**

(232)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 232; Housing Act of 1959, as amended, Public Law 86-372; Housing and Urban Development Act of 1969, Public Law 91-152, 73 Stat. 654, 83 Stat. 379; Public Laws 95-128, 95-557, 96-153, and 98-181.

**OBJECTIVES:**

To provide mortgage insurance to HUD-approved lenders to facilitate the construction or rehabilitation of nursing homes, intermediate care facilities, board and care homes and assisted living facilities, to allow purchase or refinancing with or without repairs of projects not requiring substantial rehabilitation, and to provide loan insurance to install fire safety equipment.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 232 insures lenders against loss on mortgage defaults. Insured mortgages may be used to finance construction or renovation of facilities to accommodate 20 or more patients requiring skilled nursing care and related medical services, or those who while not in need of nursing home care, are in need of minimum but continuous care provided by licensed or trained personnel. Board and care homes and assisted living facilities are also eligible and must contain a minimum of five accommodations or units. Nursing homes, intermediate care facilities, board and care homes and assisted living facilities may be combined in the same facility covered by an insured mortgage or may be in separate facilities. Nursing homes, intermediate care facilities, board and care homes and assisted living facilities must be licensed or regulated by the appropriate state agency, municipality, or other political subdivision where located. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgages include investors, builders, developers, public entities, nursing homes and private nonprofit corporations or associations.

**Beneficiary Eligibility:**

Residents requiring skilled nursing, custodial care, and assistance with activities of daily living are eligible to live in a structure whose mortgage is insured under the program.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. Certification of need and inspection and licensing by the State agency designated by the Public Health Service Act for the State in which the nursing home or intermediate care facility is to be located is required, or, if no State Agency exists, an alternative market study is required. A Certificate of Need may be required for a board and care home or assisted living facility. A statement from the appropriate State Agency is required stating that the State is in compliance with Section 1616 (e) of the Social Security Act. This facility must be licensed. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Depending upon the project, an Environmental Impact Study may be required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for mortgage insurance are assembled and underwritten by FHA-Approved Lenders before submittable to HUD for processing of the Firm Commitment (there is also a Pre-application process for projects with new units whereby HUD comments on the market). Please see the "General Overview" document posted at [www.fha.gov/232lenderprocessing](http://www.fha.gov/232lenderprocessing) for a list of lenders who offer Section 232 loans.

**Award Procedure:**

HUD makes the final decision to approve, or reject individual projects.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and the completeness of the package submitted by the FHA Approved Lender.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years for new construction and substantial rehabilitation. The maximum term for existing projects without substantial rehabilitation is 35 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor, or lesser, in order to determine their compliance and conformance with HUD regulations and standards. Audited Annual Financial Statement are required of Mortgagor entities and Operators.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$3,122,978,200; FY 11 est \$4,000,000,000; and FY 12 est \$6,704,103,892

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet: Nursing Homes (Mortgage Insurance); Minimum Property Standards for Nursing Homes; (FHA Regulations). Handbook for Nursing Homes and Intermediate Care Facilities; (4600.1); (FHA Regulations 24 CFR 232 and 200), available on HUDCLIPS at <http://www.hudclips.org>; Lean processing information available at [www.fha.gov/232lenderprocessing](http://www.fha.gov/232lenderprocessing)

**Regional or Local Office:**

None. Applications for mortgage insurance are assembled and underwritten by FHA-Approved Lenders before submittable to HUD for processing of the Firm Commitment (there is also a Pre-application process for projects with new units whereby HUD comments on the market). Please see the "General Overview" document posted at [www.fha.gov/232lenderprocessing](http://www.fha.gov/232lenderprocessing) for a list of lenders who work on Section 232 loans.

**Headquarters Office:**

Ivy M. Jackson, 451 7th Street, SW Rm 6264, Washington, District of Columbia 20410 Email: [Ivy.M.Jackson@hud.gov](mailto:Ivy.M.Jackson@hud.gov) Phone: (202) 402-2333.

**Website Address:**

<http://www.hud.gov/healthcare>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **14.133 MORTGAGE INSURANCE\_PURCHASE OF UNITS IN CONDOMINIUMS**

203 (b)

#### **FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

#### **AUTHORIZATION:**

National Housing Act, as amended, Section 203(b) requirements.

#### **OBJECTIVES:**

To enable families to purchase or refinance eligible units in FHA-approved condominium projects.

#### **TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

#### **USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on FHA-insured mortgage loans. These loans may be used to finance the acquisition of or refinance individual units in FHA-approved proposed, under construction, existing or converted condominium projects containing two or more units. The maximum insurance loan for an occupant mortgagor is the same as Section 203(b) Program 14.117.

#### **Applicant Eligibility:**

All families are eligible to apply.

#### **Beneficiary Eligibility:**

Individuals/families.

#### **Credentials/Documentation:**

Eligible unit must in an FHA-approved condominium project. Documentation regarding the function and characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the loan package. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

#### **Award Procedure:**

The application is approved by the lender.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

From 15 to 30 days. Varies.

#### **Appeals:**

An FHA-approved mortgagee who has unconditional Direct Endorsement authority underwrites and approves or rejects the loan application. If the loan is denied, the mortgagee issues a denial letter to the mortgagor advising of the reasons(s) for rejection of the loan application. The mortgagor may appeal to the mortgagee in writing for reconsideration of the initial loan decision.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years. Method of awarding/releasing assistance: quarterly.

#### **Reports:**

Not Applicable.

#### **Audits:**

Not Applicable.

#### **Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

#### **Account Identification:**

86-4587-0-3-371.

#### **Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 Not Separately Identifiable(Exp: Reported under 14.117); FY 11 Not Separately Identifiable(Exp: Reported under 14.117); and FY 12 Not Separately Identifiable(Exp: Reported under 14.117) - FY 10 is reported under 14.117 FY 11 is reported under 14.117 FY 12 is reported under 14.117.

#### **Range and Average of Financial Assistance:**

No Data Available.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

#### **Regional or Local Office:**

None. Interested parties are encouraged to contact the FHA Resource Center by phone at 1-800-CALL FHA (1-800-225-5342) or by email at info@fhaoutreach.com. Interested parties may also visit the fha.gov or hud.gov websites for information.

#### **Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

#### **Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/condo](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/condo)

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **14.134 MORTGAGE INSURANCE\_RENTAL HOUSING**

(Section 207)

#### **FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

#### **AUTHORIZATION:**

National Housing Act, as amended, Section 207, Public Law 75-424, 12 U.S.C. 1713.

#### **OBJECTIVES:**

To increase the supply of good quality rental housing for middle-income families.

#### **TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

#### **USES AND USE RESTRICTIONS:**

Section 207 insures lenders against the loss on mortgage defaults. Section 207 mortgage insurance, although still authorized, is no longer used for new construction and substantial rehabilitation. It is however, the primary vehicle for the Section 223(f) refinancing program. Multifamily new construction and substantial rehabilitation projects are currently insured under Section 221(d)(3) and Section 221(d)(4) programs. Insured mortgages may be used to finance the

construction or rehabilitation of rental detached, semidetached, row, walk-up, or elevator type structures with 5 or more units. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-value and debt service limitations.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers, and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

All families eligible to occupy dwellings in a structure whose mortgage is insured under the program, subject to normal tenant selection.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and qualifications of the mortgagor are submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits an application for a SAMA or feasibility letter. Following HUD's approval and issuance of a SAMA or feasibility letter, the Firm Commitment application is submitted to the local HUD Multifamily Hub or Program Center for processing.

**Award Procedure:**

If the project meets program requirements, the local HUD Multifamily Hub or Program Center issues a commitment to the lender to insure the mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time will depend upon the degree of preparation by the sponsor and HUD Multifamily Hub or Program Center workload.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 cfr, Part 207.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Provided over life of mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Reported under 14.135 for FY 10, FY 11, and FY 12.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 207 et seq. HUD Handbook 4400.1, Project Mortgage Insurance Basic Section 207 Instructions, available on [www.hudclips.org](http://www.hudclips.org).

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with Multifamily Hub or Program Center with jurisdiction for the proposed property. HUD Multifamily Hubs and Programs Centers are listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or at the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.135 MORTGAGE INSURANCE, RENTAL AND COOPERATIVE HOUSING FOR MODERATE INCOME FAMILIES AND ELDERLY, MARKET INTEREST RATE**

(221(d)(3) and (4) Multifamily - Market Rate Housing)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 221, Public Law 86-372, 12 U.S.C. 1715(1).

**OBJECTIVES:**

To provide good quality rental or cooperative housing for moderate income families, the elderly, and handicapped. Single Room Occupancy (SRO) may also be insured under this section (see program 14.184).

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 221(d)(3) and Section 221(d)(4) insures lenders against loss on mortgage defaults for market rate rental projects. Insured mortgages may be used to finance construction or rehabilitation of detached, semidetached, row, walkup, or elevator-type rental or cooperative housing containing 5 or more

units. The program has statutory mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act. Section 221(d)(3) mortgages require appropriated credit subsidy, which is limited.

**Applicant Eligibility:**

Public, profit-motivated sponsors, limited distribution, nonprofit cooperative, builder-seller, investor-sponsor, and general mortgagors.

**Beneficiary Eligibility:**

All families are eligible to occupy dwellings in a structure whose mortgage is insured under the program, subject to normal tenant selection. There are no income limits. Projects may be designed specifically for the elderly and handicapped.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For Traditional Application Process (TAP) following HUD's issuance of a SAMA letter (new construction) or Feasibility Letter (substantial rehabilitation) the sponsor submits a formal mortgage insurance application through a HUD-approved mortgagee to the local HUD Multifamily Hub and Program Center for processing. For Multifamily Accelerated Processing (MAP), the lender submits the required exhibits, including a full underwriting package, which are then reviewed by the Multifamily Hub and Program Center before a Firm Commitment is issued.

**Award Procedure:**

The local HUD Multifamily Hub and Program Center reviews the application to determine whether the proposal is feasible. Considerations include market need, zoning, architectural merits, capabilities of sponsors, availability of community resources, etc. If the project meets program requirements, the HUD Multifamily Hub and Program Center issues the lender a commitment to insure the project mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and whether or not TAP or MAP is used.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 cfr, Part 207.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for

information on how assistance is awarded/released: Over the life of the mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$2,899,429,000; FY 11 est \$4,035,000,000; and FY 12 est \$4,406,137,561

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 221 et seq.; Fact Sheet: Rental Housing for Moderate Income Families, no charge; HUD Handbook 4560.2, Mortgage Insurance for Moderate-Income Housing Projects, Section 221 (d)(4), no charge; HUD Handbook 4560.1, Section 221(d)(3) Market Interest Rate for Project Mortgage Insurance, no charge; HUD Handbook 4560.3, Mortgage Insurance for Single Room Occupancy Projects; no charge; HUD Handbook 4550.3; Basic Cooperative Housing Insurance Handbook, no charge. Handbooks are on HUDCLIPS at <http://www.hudclips.org>. The Multifamily Accelerated Processing (MAP) Guide is on the web. Refer to HUD's MAP page at <http://www.hud.gov/offices/hsg/mfh/map/maphome.cfm>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to contact the Multifamily Hub or Program Center with jurisdiction for the proposed project. HUD Multifamily Hubs or Program Centers are listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or in the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.138 MORTGAGE INSURANCE\_RENTAL HOUSING FOR THE ELDERLY**

(231)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 231, Public Law 86-372, 73 U.S.C. 654, 12 U.S.C. 1715(V).

**OBJECTIVES:**

To provide quality rental housing for the elderly.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 231 insures lenders against loss on mortgages. Section 231 was designed to increase the supply of rental housing specifically for the use and occupancy of elderly persons and/or persons with disabilities. Insured mortgages may be used to finance construction or rehabilitation of detached, semidetached, walk-up, or elevator type rental housing designed for occupancy by elderly or handicapped individuals and consisting of 8 or more rental units. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations.

**Applicant Eligibility:**

Eligible mortgagors include private profit-motivated developers, and nonprofit sponsors.

**Beneficiary Eligibility:**

All elderly or handicapped persons are eligible to occupy apartments in a project whose mortgage is insured under the program.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor must be submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD Multifamily Hub or Program Center.

**Award Procedure:**

If the project meets program requirements, the local HUD Multifamily Hub or Program Center issues a commitment to the lender for mortgage insurance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time varies depending upon the degree of preparation by the sponsor and HUD Multifamily Hub and Program Center workload.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 CFR, Part 231.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over term of mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practice of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$66,922,300; FY 11 est \$84,000,000; and FY 12 est \$84,280,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 231.1 et seq. Section 231, Housing for the Elderly for Project Mortgage Insurance, HUD Handbook 4570.1, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Multifamily Hub or Program Center with jurisdiction for the proposed property. HUD Multifamily Hubs or Program Centers are listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) and in the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a\\_james@hud.gov](mailto:carmelita_a_james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.139 MORTGAGE INSURANCE\_RENTAL HOUSING IN URBAN RENEWAL AREAS**

(220 Multifamily)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 220, Public Law 83-560, 12 U.S.C. 1745(k).

**OBJECTIVES:**

To provide quality rental housing in urban renewal areas, code enforcement areas, and other areas designated for overall revitalization.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 220 insures lenders against loss on mortgage defaults. Insured mortgages may be used to finance proposed construction or rehabilitation of detached, semi-detached, row, walk-up, or elevator type rental housing or to finance the purchase of properties which have been rehabilitated by a local public agency. Property must consist of two or more units and must be located in an urban renewal area, urban redevelopment project, or code enforcement program area, urban area receiving rehabilitation assistance as a result of natural disaster, or area where concentrated housing, physical development and public service activities are being carried out in a coordinated manner. The program has statutory mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage standards under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors include private profit motivated entities, public bodies, and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

All families eligible to occupy a dwelling in a structure whose mortgage is insured under the program, subject to normal tenant selection.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor must be submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For traditional processing, the application for a Firm Commitment is submitted by the sponsor through a HUD-approved mortgagee, and the application is processed by the Multifamily Hub or Program Center. For Multifamily Accelerated Processing (MAP), the application for a Firm Commitment, including a full underwriting package, is submitted by the MAP leader for HUD Field Office review.

**Award Procedure:**

The local Multifamily Hub or Program Center reviews the application to determine whether the proposal is feasible. Considerations include market need, zoning, architectural merits, capabilities of sponsors, availability of community resources, etc. If the project meets program requirements, the Multifamily Hub or Program Center issues the lender a commitment to insure the project mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and whether or not Multifamily Accelerated Processing (MAP) or Traditional Application Processing (TAP) is used.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required to close the loan.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over the life of the mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$519,412,100; FY 11 est \$653,000,000; and FY 12 est \$529,100,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 220.1 et seq.; Housing in Urban Renewal Areas for Project Mortgage Insurance, HUD Handbook 4555.1, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Field Office listed at [http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs_pcs.cfm) or contact the nearest HUD Field Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.142 PROPERTY IMPROVEMENT LOAN INSURANCE FOR**

## **IMPROVING ALL EXISTING STRUCTURES AND BUILDING OF NEW NONRESIDENTIAL STRUCTURES**

(Title I)

### **FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

### **AUTHORIZATION:**

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.

### **OBJECTIVES:**

To facilitate the financing of improvements to homes and other existing structures and the building of new nonresidential structures.

### **TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

### **USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on loans. Insured loans may be used to finance alterations, repairs, and improvements for existing structures and the building of new nonresidential structures which substantially protect or improve the basic livability or utility of the properties. The maximum loan amount is \$25,000 for improving a single family home or for improving or building a nonresidential structure. For improving a multifamily structure, the maximum loan amount is \$12,000 per family unit, not to exceed a total of \$60,000 for the structure.

### **Applicant Eligibility:**

Eligible borrowers include the owner of the property to be improved, a lessee having a lease extending at least 6 months beyond maturity of the loan, or a purchaser of the property under a land installment contract.

### **Beneficiary Eligibility:**

Individuals/families.

### **Credentials/Documentation:**

The responsibility for credit approval of borrowers is exercised by HUD-insured lenders. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The borrower applies directly to an insured lender, or through a lender's approved dealer.

### **Award Procedure:**

None.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

HUD does not participate in the approval or disapproval of individual loans.

### **Appeals:**

Reapplication in case of refusal should be submitted to an approved lender.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Loans mature in 20 years and 32 days or earlier. Loans may be refinanced, but may not extend beyond 30 years from the date of the original note. Method of awarding/releasing assistance: quarterly.

### **Reports:**

Not Applicable.

### **Audits:**

Not Applicable.

### **Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

### **Account Identification:**

86-4077-0-3-371.

### **Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 \$60,750,835; FY 11 est \$154,216,605; and FY 12 est \$169,638,266

### **Range and Average of Financial Assistance:**

No Data Available.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

### **Regional or Local Office:**

None. Contact HUD at (800) 767-7468 for a program brochure #2651 and list of lenders.

### **Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

### **Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/title/ti\\_home](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/title/ti_home)

### **RELATED PROGRAMS:**

Not Applicable.

### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## **14.149 RENT SUPPLEMENTS\_RENTAL HOUSING FOR LOWER INCOME FAMILIES**

(Rent Supplement Program)

### **FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

### **AUTHORIZATION:**

Housing and Urban Development Act of 1965, Public Law 89-117, 12 U.S.C. 1701(s).

### **OBJECTIVES:**

To make quality rental housing available to low income families at a cost they can afford.

### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

### **USES AND USE RESTRICTIONS:**

HUD makes payments to owners of approved HUD-insured and non-insured multifamily rental housing projects to supplement the partial rental payments of eligible tenants. Rental projects were required to be part of an approved workable program for community improvement or be approved by local government officials. Assistance covers the difference between the tenant's payment and the basic market rental, but may not exceed 70 percent of the market rental. The tenant's payment is between 25 and 30 percent of monthly adjusted income or 30 percent of market rental, whichever is greater. This program is inactive. No new projects are being approved; however, tenants may apply for admission to existing projects. Affordability Requirements.



**Applicant Eligibility:**

Eligible sponsors included nonprofit, cooperative, builder-seller, investor-sponsor, and limited-distribution mortgagors.

**Beneficiary Eligibility:**

Families incomes must be within the income limits prescribed for admission to Section 8 housing in order to qualify for benefits under this program. Families may continue in occupancy if 30 percent of monthly income exceeds the market rent.

**Credentials/Documentation:**

Applications for new projects are no longer being accepted. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No applications for new projects are being accepted.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The rent supplement contract is limited to the term of the mortgage or 40 years from the date of the first payment made under the contract, whichever is less. Individual family's assistance ceases when 30 percent of income is equal to or exceeds the market rent. See the following for information on how assistance is awarded/released: Monthly.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to maintain records in accordance with acceptable mortgage practices of lending institutions and the HUD regulations. All tenants who benefit from supplements must have their incomes recertified annually.

**Account Identification:**

86-0129-0-1-604 - Salaries and Expenses (not separately identifiable).

**Obligations:**

(Salaries) FY 10 \$4,401,000; FY 11 est \$12,396,000; and FY 12 est \$4,586,000 - Salaries and Expenses not separately identifiable.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet: Rent Supplements, no charge; 24 CFR 215; HUD Handbook 4350.3.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD Field Office listed in Appendix IV.

**Headquarters Office:**

Brandt T. Witte 451 7th Street, SW, Washington, District of Columbia 201410  
Email: Brandt.T.Witte@hud.gov Phone: 2024022614

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdsc/progdsc.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.151 SUPPLEMENTAL LOAN INSURANCE\_MULTIFAMILY RENTAL HOUSING**

(241(a))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 241, Public Law 90-448, 12 U.S.C. 1715, Public Law 94-375, 12 U.S.C. 1715z-6.

**OBJECTIVES:**

To provide quality rental housing.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 241(a) insures lenders against loss on loans made either (1) to finance additions and improvements of multifamily housing projects, nursing homes, hospitals and group practice facilities already subject to HUD/FHA insured mortgages or mortgages held by HUD, or (2) to finance energy conservation improvements. The proceeds of a loan involving an insured nursing home, hospital or a group practice facility may also be used to purchase equipment to be used in the operation of such nursing home or facility. The maximum insurable loan for an insured project is an amount which, when added to the outstanding balance of the existing insured mortgage, does not exceed the amount insurable under the program pursuant to which the mortgage covering such project or facility is insured. Where the project is covered by a mortgage held by the Secretary the principal amount of the loan shall be in an amount acceptable to the Secretary. Contractors of substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act. Section 241(a) for apartments requires appropriated credit subsidy, which is limited.

**Applicant Eligibility:**

Owners of a multifamily project or facility already subject to a mortgage insured by HUD or held by HUD.

**Beneficiary Eligibility:**

Individuals/families and owners of multifamily projects.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal application for review and approval or disapproval through a HUD-approved mortgagee to the local HUD Multifamily Hub or Program Center.

**Award Procedure:**

If the proposed improvements meets program requirements, the local HUD Multifamily Hub and Program Center issues a commitment to the lender to insure the mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and workload in the HUD Multifamily Hub and Program Center.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 cfr, Part 241.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

A loan for a project with a HUD-insured or HUD-held mortgage must have a maturity acceptable to HUD. See the following for information on how assistance is awarded/released: Over life of mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the lender or borrower in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$17,598,300; FY 11 est \$9,000,000; and FY 12 est \$18,200,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR, 241 et seq.; HUD Handbook 4585.1 "Supplemental Loans for Project Mortgage Insurance," Section 241, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. All projects are processed in Regional and Local Multifamily Hub or Program Center. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub and Program Center listed at [http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs_pcs.cfm) or contact the nearest HUD Field Office in the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.155 MORTGAGE INSURANCE FOR THE PURCHASE OR REFINANCING OF EXISTING MULTIFAMILY HOUSING PROJECTS**  
(Section 223(f)/207)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Section 223(f), as amended; Housing and Community Development Act of 1974, as amended, Public Law 93-383. 12 U.S.C. 1715n.

**OBJECTIVES:**

To provide mortgage insurance to HUD-approved lenders for the purchase or refinancing of existing multifamily housing projects, whether conventionally financed or subject to federally insured mortgages at the time of application for mortgage insurance. The program allows for the long term mortgages that can be financed with Ginnie Mae Mortgage-Backed Securities.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 223(f) insures lenders against loss on mortgage loans. These loans may be used to purchase or refinance existing multifamily housing projects. Only projects not requiring substantial rehabilitation are acceptable under this section. The estimated cost of required repairs may not exceed 15 percent of the estimated value after repairs or \$6,500 per unit adjusted by a high cost factor, whichever is greater and may not involve the replacement of more than one major system. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-value and debt service limitations. Prevailing wage requirements under the Davis-Bacon Act do not apply to this program.

**Applicant Eligibility:**

Mortgagors may be either private or public. The property must consist of not less than 5 living units and must meet the following criteria: (1) the mortgage cannot exceed 85 percent of the HUD estimated value of the project; (2) three years must have elapsed from the later date of completion of project construction or substantial rehabilitation, or the beginning occupancy date of application for mortgage insurance; (3) the remaining economic life of the project must be long enough to permit at least a ten-year mortgage term or 75 percent of the estimated life of the physical improvements.

**Beneficiary Eligibility:**

All persons are eligible to occupy such projects subject to normal occupancy restrictions.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the purchaser or existing mortgagee in refinance projects are assembled by the mortgagee and submitted with the application. Management plan must be submitted at time of application for commitment. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant will submit a formal application for conditional or firm commitment through a HUD approved mortgagee.

**Award Procedure:**

The local HUD Multifamily Hub and Program Center reviews the application to determine proposal eligibility. If the project meets program requirements, the local HUD Multifamily Hub and Program Center issues the commitment to the lender to insure the project.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends on the degree of preparation of the sponsor, and whether MAP or TAP is used.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for denial.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required to close the loan.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The mortgage term should not be less than 10 years nor should it exceed the lesser of 35 years or 75 percent of the estimated remaining economic life of the physical improvements. See the following for information on how assistance is awarded/released: Over the life of the loan.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$6,911,799,900; FY 11 est \$7,000,000,000; and FY 12 est \$6,175,545,944

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet, Section 223(f) Mortgage Insurance; 24 CFR 200, HUD Handbook 4565.1, Mortgage Insurance for the purchase or Refinancing of Existing Multifamily Housing Projects, Section 223(f) available on [www.hudclips.org](http://www.hudclips.org). The Multifamily Accelerated Processing (MAP) guide may be found at <http://www.hud.gov/offices/hsg/mfh/map/maphome.cfm>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub or Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Field Office listed in Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.157 SUPPORTIVE HOUSING FOR THE ELDERLY**

(Section 202)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1959 (12 U.S.C. 1701q) as amended by Section 801 of the Cranston-Gonzalez National Affordable Housing Act (Public Law 101-625 approved November 28, 1990); The Housing and Community Development Act of 1992 (Public Law 102-550 approved October 28, 1992); The Rescissions Act (Public Law 104-19 enacted on July 27, 1995); The American Homeownership and Economic Opportunity Act of 2000 (Public Law 106-569 approved December 27, 2000); and The Consolidated Appropriations Act of 2008 (Public Law 110-161 approved December 26, 2007).

**OBJECTIVES:**

To expand the supply of housing with supportive services for the very low income elderly, including the frail elderly.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Capital advances may be used to finance the construction or rehabilitation of a structure or portion of a structure, or the acquisition of a structure to provide supportive housing for the elderly, which may include the cost of real property acquisition, site improvement, conversion, demolition, relocation and other expenses of supportive housing for the elderly. Project rental assistance is used to cover the difference between the HUD-approved operating cost per unit and the amount the tenant pays, 30% of their adjusted income.

**Applicant Eligibility:**

Eligible Sponsors include private nonprofit organizations and nonprofit consumer cooperatives. Eligible Owner entities include private nonprofit corporations, nonprofit consumer cooperatives, and if the proposed project involves mixed-financing, for-profit limited partnerships with a nonprofit entity as the sole general partner. Public bodies and their instrumentalities are not eligible Section 202 applicants.

**Beneficiary Eligibility:**

Beneficiaries of housing developed under this program must be elderly (62 years of age or older) and have very low-incomes.

**Credentials/Documentation:**

The Sponsor/Owner must receive certification of eligibility from HUD. The Owner must submit financial documents to support its ability to provide a minimum capital investment of 1/2 of 1 percent of the HUD-approved capital advance amount, up to a maximum of \$25,000 for national Sponsors or up to \$10,000 if not a national Sponsor. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Notice of Fund Availability is published in the Federal Register each fiscal year announcing the availability of funds to HUD Field Offices. Applicants must submit a Request for a Fund Reservation, using Form HUD-92015-CA, Section 202 application for capital advance, in response to the Notice of Fund Availability (or a Funding Notification issued by the local HUD Field Office). The application for capital advance is used to determine the eligibility of the applicant and proposed project as well as the acceptability of the site and market, correctness of zoning and the effect on environment. All applications must be submitted via [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applications are reviewed and selected for funding within the funding allocation area. Those selected for funding must meet basic program requirements including, but not limited to: eligibility as a private nonprofit organization, commitment to provide the minimum capital investment and prior experience in housing or related supportive service activities. The request for Capital Advance Financing, using Form HUD-92013, is reviewed to update the determination of acceptability of project site and market, correctness of zoning, and effect on environment, as well as to determine the value of site, total development cost, and financial feasibility.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

At the fund reservation stage, the Sponsor usually is advised of the decision within 4 to 5 months from the end of the application period.

**Appeals:**

From 1 to 15 days. During the period of competition, Sponsors whose applications are rejected by the HUD Office due to noncompliance with program requirements, have the right to appeal the rejection within 14 calendar days from the date of HUD's written notice of rejection.

**Renewals:**

> 180 Days. Project Rental Assistance Contract payments may not exceed 3 years. However, contracts are renewable for up to a one-year term based on availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The capital advance is not repayable so long as the project is available to very low income elderly for 40 years. Projects are expected to start construction within 18 months of the date of the fund reservation, with limited provision for extensions. Funds will be advanced on a monthly basis during construction for work in place. See the following for information on how assistance is

awarded/released: Based on percentage of construction completion.

**Reports:**

All Owners will be required to submit form HUD-96010 Program Outcome Logic Model to HUD on an annual basis. All Owners will be required to submit a financial statement. HUD 60002, Section 3 Summary Report, Economic Opportunities for Low- and Very Low-Income Persons (OMB No. 2529-0043) For each grant over \$200,000 that involves housing rehabilitation, housing construction, or other public construction, the prime recipient must submit Form HUD 60002 (24 CFR sections 135.3(a) and 135.90). No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. HUD reserves the right to audit the accounts of the Owner in order to determine compliance and conformance with HUD regulations and standards.

**Records:**

Regular financial reports are required. Owners must service and maintain records in accordance with acceptable mortgage practices and HUD regulations. Owners also must supply those records necessary to indicate compliance with the project rental assistance contract.

**Account Identification:**

86-4588-0-3-371; 86-0164-0-3-371; 86-0320-0-3-371.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$580,249,542; FY 11 est \$853,709,000; and FY 12 est \$862,566,000

**Range and Average of Financial Assistance:**

\$803,900 to \$14,502,900.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: est 2790 new units. Fiscal Year 2011: est 586 units. Fiscal Year 2012: est 2422 units.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 891; HUD Handbooks 4571.3 REV-1 and 4571.5; and Notice H 96-102, as extended.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD office listed at <http://portal.hud.gov/portal/page/portal/HUD/localoffices>.

**Headquarters Office:**

Alicia Anderson, 451 7th St SW Room 6152, Washington, District of Columbia 20410 Email: [alicia.anderson@hud.gov](mailto:alicia.anderson@hud.gov) Phone: (202) 708-3000.

**Website Address:**

<http://www.hud.gov> and [www.grants.gov](http://www.grants.gov).

**RELATED PROGRAMS:**

14.181 Supportive Housing for Persons with Disabilities; 14.195 Section 8 Housing Assistance Payments Program\_Special Allocations

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.159 SECTION 245 GRADUATED PAYMENT MORTGAGE PROGRAM****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To facilitate early home ownership for households that expect their incomes to rise. Program allows homeowners to make smaller monthly payments initially and to increase their size gradually over time.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These mortgage loans may be used by owner-occupant mortgagors to finance the purchase of proposed, under construction, or existing single family housing, and condominiums. The mortgage calculation requires consideration of three limits, the least of which determines the maximum mortgage: 1) the statutory limit for the area; 2) the maximum mortgage as if the loan were to be insured under Section 203(b) using outstanding instructions, and, 3) a separate calculation specific to Sec. 245(a). This final calculation will almost always result in a lower amount than would be available under Section 203(b). The Section 245(a) calculation is to make certain that the loan amount with all deferred interest added does not exceed 97 percent of the appraised value including closing costs at the time the loan was made.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply for Section 245(a).

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the applicant are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

The lender will state the reasons for refusing an application. The applicant may reapply to other lenders.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of the mortgage is limited to 30 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 Not Separately Identifiable(Exp: Reported under 14.117); FY 11 Not Separately Identifiable(Exp: Reported under 14.117); and FY 12 Not Separately Identifiable(Exp: Reported under 14.117) - Reported under 14.117 for FY 09, FY 10, FY 11, FY 12.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State, or the nearest local HUD Office. Visit [www.hud.gov](http://www.hud.gov) for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@ifhaoutreach.com](mailto:info@ifhaoutreach.com) Phone: (800) 225-5342

**Website Address:**

<http://portal.hud.gov/hudportal/HUD?src=/hudprograms/gpm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.162 MORTGAGE INSURANCE COMBINATION AND MANUFACTURED HOME LOT LOANS**

(Title I)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.

**OBJECTIVES:**

To make possible reasonable financing for the purchase of a manufactured home and a lot on which to place the home.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. Insured loans may be used to purchase manufactured homes and lots for buyers intending to use them as their principal places of residence. Effective March 3, 2009, the maximum mortgage amount is \$92,904 for a manufactured home and a suitably developed lot and \$23,226 for a developed lot only. The lot must be appraised by the HUD-approved appraiser. Maximum loan limits may be increased in designated high-cost areas.

**Applicant Eligibility:**

All persons are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the manufactured home unit, HUD-approved appraisal of the lot, and the qualifications of the borrower are submitted to the lender. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted to a HUD-approved lender for review and approval.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Prior to June 1, 2009, HUD had no involvement in the approval or disapproval process of a loan. Effective June 1, 2009, lenders will submit loans to HUD for a pre-closing test approval period, which will average 3 to 5 days for complete submissions. Upon successful completion of the pre-closing test phase, a lender may then be authorized to participate in the Title I Direct Endorsement Program. HUD has no other participation or regulation over the lender approval processing time.

**Appeals:**

The applicant may reapply.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum loan term is 20 years for a manufactured home and lot; 25 years for a manufactured home and lot combination; and 15 years for a lot only. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 Not Separately Identifiable(Exp: Reported under 14.110); FY 11 Not Separately Identifiable(Exp: Reported under 14.110); and FY 12 Not Separately Identifiable(Exp: Reported under 14.110) - FY 09 Reported Under 14.110  
FY 10 Reported Under 14.110  
FY 11 Reported Under 14.110  
FY 12 Reported Under 14.110.

**Range and Average of Financial Assistance:**

The maximum mortgage amount is \$92,904 for a manufactured home on a suitably developed lot and \$23,226 for a developed lot only.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/title/manuf146](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/title/manuf146)

**RELATED PROGRAMS:**

14.110 Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers; 14.127 Mortgage Insurance\_Manufactured Home Parks; 14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.163 MORTGAGE INSURANCE\_SINGLE FAMILY COOPERATIVE HOUSING**

(203(n))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act; as amended, Section 203 (n), Emergency Home Purchase assistance act of 1974, Public Law 93-449, 88 Stat. 1364.

**OBJECTIVES:**

To provide insured financing for the purchase of the Corporate Certificate and Occupancy Certificate for a unit in a cooperative housing project. Ownership of the corporate certificate carries the right to occupy the unit located within the cooperative project.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These insured loans may be used to assist individuals or families in acquiring corporate certificates and occupancy certificates in a cooperative housing project that is covered by a blanket mortgage insured under the National Housing Act. The maximum insurable mortgage loan is limited to the maximum limit under Section 203(b) minus the portion of the unpaid balance of the project mortgage attributable to the dwelling unit.

**Applicant Eligibility:**

Potential owner-occupant mortgagors are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the HUD Homeownership Center having jurisdiction over the area where the property is located through a HUD approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 30 years or the remaining term of the blanket mortgage covering the cooperative development, whichever is less. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 Not Separately Identifiable(Exp: Reported under 14.117); FY 11 Not Separately Identifiable(Exp: Reported under 14.117); and FY 12 Not Separately Identifiable(Exp: Reported under 14.117) - Reported Under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hshgohcs.cfm>) or the nearest HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342

**Website Address:**

<http://portal.hud.gov/hudportal/HUD?src=/programdescription/203n>

**RELATED PROGRAMS:**

14.117 Mortgage Insurance\_Homes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.167 MORTGAGE INSURANCE TWO YEAR OPERATING LOSS LOANS, SECTION 223(D)**

(Two Year Operating Loss Loans)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Public Law 90- 448, as amended, Public Law 91-152, 12 U.S.C. 1715x.

**OBJECTIVES:**

To insure a separate loan covering operating losses incurred during the first 2 years following the date of completion or any other 2-year period occurring within 10 years following the date of completion of a multifamily project with a HUD-insured first mortgage.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Eligibility is limited to currently insured HUD projects. Section 223(d) insures a loan to cover the excess of expenses over project gross income incurred during the first two years following the date of completion of the project or for any other two-year period within 10 years of project completion, for such amounts and upon such terms and conditions as HUD may prescribe. A project can receive both loans but not for the same two year period. The loan is insured by HUD under the same section as the original mortgage in an amount not exceeding the excess of operating expenses over project income. The loan term is limited to the unexpired term of the original mortgage. This program requires appropriated credit subsidy, which is limited.

**Applicant Eligibility:**

Owners of a multifamily project or facility subject to a mortgage insured by HUD are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families and property owner.

**Credentials/Documentation:**

A formal application for insurance accompanied by a financial statement prepared by an independent certified public accountant or independent public accountant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD Multifamily Hub or Program Center.

**Award Procedure:**

Information submitted by the applicant will be reviewed and analyzed using data available through office records, field review and general current working knowledge of the project and background. A determination is then made as to the maximum insurable loan amount.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing time will be dependent upon the degree of preparation by the sponsor and HUD Multifamily Hub or Program Center workload.

**Appeals:**

If an application for operating loss loan is refused, HUD will state the reason for the refusal.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The loan may not exceed the remaining term of the insured mortgage. See the following for information on how assistance is awarded/released: over the life of the mortgage.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. HUD reserves the right to audit the accounts of the mortgagee or mortgagor to determine compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$878,774; FY 11 est \$0; and FY 12 est \$2,000,000

**Range and Average of Financial Assistance:**

Loans sizes range from \$750,000 to \$7,000,000 with an average of \$2.0 million. Project sizes range from 117 to 210 units with an average of 151 units.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 207.4(f) et seq; HUD Handbook 4470.1 REV-2 CHG-1 (Chapter 17), "Operating Loss Loans", no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. All projects are processed in HUD Multifamily Hubs or Program Centers. Persons are encouraged to communicate with the nearest local Multifamily Hub or Program Center. These offices are listed under HUD resources on the Multifamily industry website at: [http://www.hud.gov/offices/hsg/mfl/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfl/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.169 HOUSING COUNSELING ASSISTANCE PROGRAM****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and

Urban Development

**AUTHORIZATION:**

Housing and Urban Development Act of 1968, as amended.

**OBJECTIVES:**

To counsel homeowners, homebuyers, prospective renters and tenants under HUD, conventional and other government programs in improving their housing conditions and in meeting the responsibilities of tenancy and homeownership.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide housing counseling grants to HUD-approved local housing counseling agencies; to HUD-approved national and regional intermediaries; Multi-state Organizations; and to State housing finance agencies. Grants provide a variety of housing counseling services, including single family home buying, homeownership, mortgage default, HECM, rental, and rental delinquency under HUD and other programs.

**Applicant Eligibility:**

Qualified public or private nonprofit organizations. There are four categories of eligible applicants: (1) HUD-approved local housing counseling agency; (2) HUD-approved national or regional intermediary; (3) State housing finance agency; and (4) multi-state organizations.

**Beneficiary Eligibility:**

Individuals, groups of individuals, and families who are renters, tenants, homeowners, and home buyers under HUD, conventional and other government programs.

**Credentials/Documentation:**

To be eligible to apply for a housing counseling grant through the SuperNOFA, agencies, except state housing finance agencies, must be HUD approved. HUD-approval must be secured by the SuperNOFA publication date. To become a HUD-approved housing counseling agency, applicants must (1) meet the requirements of the Housing Counseling Handbook 7610.1 as revised; (2) consult the HUD website to learn about the eligibility requirements for becoming HUD-approved and obtain application (available on the HUD website at [www.hud.gov/offices/hsg/sfh/hcc/hcc\\_homes.cfm](http://www.hud.gov/offices/hsg/sfh/hcc/hcc_homes.cfm)); and (3) return application to the HUD Homeownership Center (HOC) with jurisdiction, or, if appropriate, HUD Headquarters. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The availability of funds is announced on HUD's website at [www.hud.gov](http://www.hud.gov). There is no application kit. For a copy of the NOFA, applicants can visit the HUD website ([www.hud.gov](http://www.hud.gov)). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit by the required date the items and forms requested in the NOFA, such as a description of the housing counseling services to be provided, and indicators by which benefits / impact will be measured.

**Award Procedure:**

Applicants will be evaluated competitively and ranked against all other applicants that applied in the same funding category. National and regional intermediaries are rated and ranked by HUD Headquarters. Local agencies, multi-state organizations and State housing finance agencies are rated and ranked by the Homeownership Center (HOC) with jurisdiction. A funding formula outlined in the NOFA is used to calculate awards. This program is subject to the administrative requirements established in OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments, which was implemented by 24 CFR part 85; OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations, which was implemented by 24 CFR part 84; and OMB Circular A-133, Audits of States, Local Governments and Nonprofit Organizations, which was implemented by 24 CFR Parts 84 and 85. Grants awarded under this program



are also subject to the cost principles in OMB Circular A-87 for State and local governments and Indian tribal governments and OMB Circular A-122 for nonprofit organizations.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award announcements typically occur 5-7 months after applications are received.

**Appeals:**

Applicants for housing counseling grants may appeal their denial of a grant award or the insufficiency of the grant amount to HUD.

**Renewals:**

Grantees must submit a new application and compete through the NOFA each year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding assistance is for a discrete period of time, generally 1 year. Grantees invoice HUD on a periodic basis for housing counseling services delivered. Payments of grant funds are subsequently made to grantees via direct deposit/electronic funds transfer (DD/EFT). Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

As required in grant document and Housing Counseling Handbook, HUD 7610.1.

**Account Identification:**

86-0156-0-1-604.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$59,919,078; FY 11 est \$81,500,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range and average of financial assistance: For Fiscal Year 2010, the minimum request from a local agency was \$35,000 and the maximum request from an intermediary was \$300,000. The average local agency counseling grant was approximately \$36,000. The average intermediary award was approximately \$1.2 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsgohcs.cfm>), or the nearest local HUD Office. See Catalog address Appendix IV for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/hcc/hcc\\_home](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/hcc/hcc_home)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.171 MANUFACTURED HOME DISPUTE RESOLUTION**

Manufactured Home Dispute Resolution Program

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Manufactured Housing Construction and Safety Standards Act, Executive Order Not applicable, Title 24, Part 3288, Public Law 93-383, 42 Stat. 5422(g), 42 U.S.C 5422(g).

**OBJECTIVES:**

To provide for a dispute resolution program for the timely resolution of disputes between manufacturers, retailers, and installers of manufactured homes regarding responsibility, and for the issuance of appropriate orders, for the correction or repair of defects in manufactured homes (Sec 5422(c)(12)) in each state that does not establish a HUD-approved dispute resolution program (Sec 5422(g)).

**TYPES OF ASSISTANCE:**

Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

Manufacturers, retailers, or installers of manufactured homes may request dispute resolution services for the timely resolution of disputes as to the responsibility for the correction or repair of defects in manufactured homes that are reported during the 1-year period beginning on the date of installation. (42USC5422(c)(12). Manufactured home owners may initiate action under, and be observers to, the HUD Manufactured Home Dispute Resolution Program, as provided regulation (24CFR3288.15). The program may only address disputes between manufacturers, retailers, and installers of manufactured homes regarding responsibility for the correction or repair of defects in manufactured homes that are reported during the 1-year period beginning on the date of installation. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing. Detailed information and procedures are provided by regulation at 24CFR3288.

**Applicant Eligibility:**

Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing. There is a link on the Manufactured Housing page for Dispute Resolution. Detailed information and procedures are provided by regulation at 24CFR3288.

**Beneficiary Eligibility:**

The program may only address disputes between manufacturers, retailers, and installers of manufactured homes regarding responsibility for the correction or repair of defects in manufactured homes that are reported during the 1-year period beginning on the date of installation. Manufactured home owners may initiate action under, and be observers to, the HUD Manufactured Home Dispute Resolution Program, as provided regulation (24CFR3288.15). There must be an alleged defect in the manufactured home that was reported within one year of installation of the home. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing. There is a link on the Manufactured Housing page for Dispute Resolution. Detailed information and procedures are provided by regulation at 24CFR3288.

**Credentials/Documentation:**

Program regulations provide detailed guidance on who may request services and other mandatory criteria for participation in the program. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing. Detailed information and procedures are provided by regulation at 24CFR3288. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A state may propose to operate a dispute resolution program called for under the authorizing Act by submitting a plan for review and disposition by HUD. If a state plan covering dispute resolution for manufactured homes is approved by HUD and implemented by a state, the program described herein is not applicable and HUD would not provide dispute resolution services in such state. A list of states with approved plans is available.

Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing. There is a link on the Manufactured Housing page for Dispute Resolution.

Detailed information and procedures are provided by regulation at 24CFR3288. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There are procedures and requirements for submitting information.

Interested parties should thoroughly familiar themselves with this program and the detailed procedures that apply. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing.

Detailed information and procedures are provided by regulation at 24CFR3288.

**Award Procedure:**

An award would be in the form of approval by HUD to initiate dispute resolution.

Interested parties should thoroughly familiar themselves with this program and the detailed procedures that apply. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing.

Detailed information and procedures are provided by regulation at 24CFR3288.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Interested parties should thoroughly familiar themselves with this program and the detailed procedures that apply. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right.

**Appeals:**

Interested parties should thoroughly familiar themselves with this program and the detailed procedures that apply. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing.

Detailed information and procedures are provided by regulation at 24CFR3288.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A report alleging a defect in a manufactured home must be made within one year of installation of a new manufactured home. Thereafter, a request for dispute resolution concerning the reported defect may be submitted at any time. Interested parties should thoroughly familiar themselves with this program and the detailed procedures that apply. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing.

Detailed information and procedures are provided by regulation at 24CFR3288.

See the following for information on how assistance is awarded/released: The regulations provide that upon determination that an eligible request for dispute resolution has been filed, the dispute resolution provider will send a notice of the request to the manufacturer, retailer and installer to the extent that the identify of each is provided in the request.

Refer to 24CFR3288.30 for details.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Reporting a defect is critical for a request for dispute resolution to be awarded. The regulations provide that:

(d) Record of report(1) To evidence timeliness. To establish timely reporting, the report of an alleged defect that is made to the manufacturer, retailer, installer, or a State Administrative Agency of the manufactured home should be done in a manner that will create a dated record of the report that demonstrates that the report was made within 1 year after the date of installation; for example, by certified mail, fax, or email. Persons who report an alleged defect by telephone should make a contemporaneous note of the telephone call, including date, time, the name of the person who received the report, the name of the business contacted, and the telephone number called. If the matter goes to arbitration, the arbitrator and HUD will review whether there is sufficient evidence to believe the report was made on a timely basis.

(2) Obligation to retain. Each report of a defect, including logs of telephonic complaints, received by a manufacturer, retailer, a State Administrative Agency or installer, must be maintained for 3 years from the date of receipt. Refer to 24CFR3288.20.

**Account Identification:**

86-8119-0-7-376.

**Obligations:**

(Provision of Specialized Services) FY 10 \$8,731,130; FY 11 est \$11,000,000; and FY 12 est \$12,000,000 - Dispute resolution is a program within the comprehensive Manufactured Housing Construction and Safety Standards program.

**Range and Average of Financial Assistance:**

This program does not provide direct financial assistance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24CFR PART 3288 - MANUFACTURED HOME DISPUTE RESOLUTION PROGRAM

**Regional or Local Office:**

None.

**Headquarters Office:**

Henry S. Czauski 451 Seventh St., SW, Washington, District of Columbia 20410 Email: [henry.s.czauski@hud.gov](mailto:henry.s.czauski@hud.gov) Phone: 202-708-0502 x6477

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/rmra/mhs/mhdrp](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/rmra/mhs/mhdrp)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.172 MORTGAGE INSURANCE\_GROWING EQUITY MORTGAGES (GEMs)**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To provide a rapid principal reduction and shorter mortgage term by increasing payments over a 10-year period, thereby expanding housing opportunities to the

homebuying public.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing single family housing, as well as to refinance indebtedness on existing housing, provided certain conditions are met. The maximum insurable mortgage loan for an occupant mortgagor is the same as prescribed for Section 203(b) - Program 14.117.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to a HUD-approved mortgagee lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

The lender will state the reasons for refusing an application. The applicant may reapply to another lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Mortgage terms vary according to the plan chosen. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending instructions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 Not Separately Identifiable(Exp: Reported under 14.117); FY 11 Not Separately Identifiable(Exp: Reported under 14.117);

and FY 12 Not Separately Identifiable(Exp: Reported under 14.117) - Reported Under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center (see <http://www.hud.gov/offices/hsg/sfh/hoc/hshgocs.cfm>) serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342.

**Website Address:**

<http://portal.hud.gov/hudportal/HUD?src=/programdescription/245a>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.175 ADJUSTABLE RATE MORTGAGES**

(ARMS)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

national housing act.

**OBJECTIVES:**

To provide mortgage insurance for an adjustable rate mortgage which offers lower than market interest rate initially but the loan term may rise later. The loan structure provides built-in limits or safeguards for both consumers and lenders, designed to minimize the effect of any rapid rise in interest rates.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing one- to four-family housing as well as to refinance indebtedness on existing housing. The maximum insurable mortgage loan for an occupant mortgagor is the same as prescribed for Section 203(b) - program 14.117.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 Not Separately Identifiable(Exp: Reported under 14.117); FY 11 Not Separately Identifiable(Exp: Reported under 14.117); and FY 12 Not Separately Identifiable(Exp: Reported under 14.117) - Reported Under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>) or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/ins/203arnt](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/ins/203arnt)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.181 SUPPORTIVE HOUSING FOR PERSONS WITH DISABILITIES**

(Section 811)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Cranston-Gonzalez National Affordable Housing Act, Public Law 101-625; Housing and Community Development Act of 1992, Public Law 102-550; the Rescissions Act, Public Law 104-19; American Homeownership and Economic Opportunity Act of 2000, Public Law 106-569; the Revised Continuing Appropriations Resolution, 2007, Public Law 110-5.

**OBJECTIVES:**

To expand the supply of supportive housing for very low-income persons with disabilities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Capital advances may be used to construct, rehabilitate or acquire structures to be used as supportive housing for low-income persons with disabilities. Project rental assistance is used to cover the difference between the HUD-approved operating costs of the project and the tenants' contributions toward rent (30 percent of adjusted income).

**Applicant Eligibility:**

Eligible Sponsors are nonprofit organizations with a Section 501(c)(3) tax exemption from the Internal Revenue Service. Eligible Owner entities are nonprofit organizations with a 501(c)(3) tax exemption from the Internal Revenue Service and, if the proposed project involves mixed financing, for-profit limited partnerships with a nonprofit entity as the sole general partner.

**Beneficiary Eligibility:**

Beneficiaries of housing developed under this program must be very low-income (equal to or less than 50% AMI) adults (18 or older) with a physical, mental, or emotional impairment that is expected to be of long-continued and indefinite duration, that substantially impedes his or her ability to live independently, and is of a nature that such ability could be improved by more suitable housing conditions.

**Credentials/Documentation:**

The nonprofit sponsor and owner must receive certification of eligibility from HUD. The owner must submit financial documents to support its ability to provide a minimum capital investment of 1/2 of 1 percent of the capital advance amount, up to a maximum of \$10,000. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must forward a copy of their applications to the appropriate state or local agency for a review of the supportive services plan and a completed certification from the agency as to whether the provision of services is well designed to meet the needs of the anticipated occupancy must be included in the applicant's submission of its application to the HUD Field Office. An environmental assessment is required for applications containing evidence of site control. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Notice of Funding Availability is published in the Federal Register each fiscal year announcing the availability of funds to specified allocation areas. Applicants must submit a Request for a Fund Reservation, using Form HUD-92016-CA, Section 811 application for capital advance, in response to the Notice of Fund Availability (or a Funding Notification issued by the local HUD Field Office).

The application for capital advance is used to determine the eligibility of the applicant and proposed project as well as the acceptability of the site and market, correctness of zoning and the effect on environment. All applications must be submitted via [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applications are reviewed and selected for awards within the funding allocation areas. Those selected for funding must meet basic program requirements including, but not limited to: eligibility as a nonprofit entity, eligibility as a for-profit limited partnership with nonprofit entity as the sole general partner for mixed-finance projects, financial commitment and prior experience in housing or related service activities. The request for Capital Advance Financing, using Form HUD-92013 is reviewed to update the determination of acceptability of project site and market, correctness of zoning, and the effect on environment as well as to determine the value of site, total development cost, and financial feasibility.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

At the fund reservation stage, the sponsor usually is advised of the decision within 4 to 5 months from the end of the application period.

**Appeals:**

From 1 to 15 days. During the period of competition, Sponsors whose applications are rejected by the HUD Field Office due to noncompliance with program requirements, have the right to appeal the rejection within 14 calendar days from the date of HUD's written notice of rejection.

**Renewals:**

> 180 Days. After the first three years of initial PRAC (for which the owner submits monthly vouchers to HUD for payment of rental assistance) the contract is renewed on a yearly basis based on availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The capital advance is not repayable if the project is available for very low-income persons with disabilities for at least 40 years. Projects are expected to start construction within 18 months of the date of the fund reservation, with limited provision for extensions. Funds will be advanced on a monthly basis during construction. See the following for information on how assistance is awarded/released: Based on percentage of construction completion.

**Reports:**

All owners will be required to submit a Outcome Logic Model Report to HUD. All owners will be required to submit an annual financial statement. No progress reports are required. No expenditure reports are required. HUD 60002, Section 3 Summary Report, Economic Opportunities for Low- and Very Low-Income Persons (OMB No. 2529-0043) For each grant over \$200,000 that involves housing rehabilitation, housing construction, or other public construction, the prime recipient must submit Form HUD 60002 (24 CFR sections 135.3(a) and 135.90).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. HUD reserves the right to audit the accounts of the owners in order to determine compliance and conformance with HUD regulations and standards.

**Records:**

Regular financial reports are required. Owners must service and maintain records in accordance with acceptable mortgage practices and HUD regulations.

Owners also must supply those records necessary to indicate compliance with the project rental assistance contract.

**Account Identification:**

86-0237-0-3-371; 86-0164-0-3-371; 86-4588-0-3-371.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$215,594,744; FY 11 est \$303,136,000; and FY 12 est \$289,313,000 - These amounts are estimates for capital advances based on previous funding year allocation plans and proposed budgets.

**Range and Average of Financial Assistance:**

\$428,000 to \$3,623,700 (Fy09).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: est 842 units. Fiscal Year 2011: est 199 units. Fiscal Year 2012: est 524 units.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR part 5, subpart H, and part 891, subparts A, C, and D.; HUD Handbooks 4571.2 and 4571.4; and Notice H 96-102, as extended.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD office listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Marvis S. Hayward, 451 7th St SW Room 6142, Washington, District of Columbia 20410 Email: [marvis.s.hayward@hud.gov](mailto:marvis.s.hayward@hud.gov) Phone: (202) 708-3000.

**Website Address:**

<http://www.hud.gov> and [www.grants.gov](http://www.grants.gov).

**RELATED PROGRAMS:**

14.157 Supportive Housing for the Elderly; 14.195 Section 8 Housing Assistance Payments Program\_Special Allocations

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.183 HOME EQUITY CONVERSION MORTGAGES**

(Section 255)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To enable elderly homeowners to convert equity in their homes to monthly streams of income or lines of credit.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on reverse mortgage loans. These loans may be used to provide monthly streams of income or, except for Texas, lines of credit for older homeowners, 62 years of age or older.

**Applicant Eligibility:**

Eligible borrowers are persons 62 years of age or older and must complete counseling from a HUD-approved agency prior to obtaining the loan. Eligible properties include single family one-to-four unit owner-occupied dwelling units, units within FHA-approved condominium projects and Planned Unit Developments, and manufactured homes, if they meet FHA standards.

**Beneficiary Eligibility:**

Individuals.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the

qualifications of the mortgagor are assembled by the mortgagee. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The borrower is required to receive counseling from a HUD-approved counseling agency prior to application. Approved Direct Endorsement Lenders process all aspects of the loan application and submit it to HUD for insurance endorsement.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Mortgagee will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage has no specified term. The mortgage is due and payable at the death of the borrower(s) or if the borrower sells, conveys, or moves from the property. The mortgage may also become due and payable if the borrower fails to perform an obligation of the mortgage, such as pay taxes and hazard insurance premiums or fails to maintain the property in good condition. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 \$21,087,322,000; FY 11 est \$24,281,047,000; and FY 12 est \$20,000,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>) or the nearest HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/hecm/hecmhome](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/hecm/hecmhome)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.184 MORTGAGES INSURANCE FOR SINGLE ROOM OCCUPANCY (SRO) PROJECTS**

(221(d) Single Room Occupancy)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Section 221(d), 12 U.S.C. 1751(d); Section 223(g), 12 U.S.C. 1715 (g).

**OBJECTIVES:**

The Single Room Occupancy (SRO) Program provides mortgage insurance for multifamily properties consisting of single-room units. There are no Federal rent subsidies involved with this SRO Program. It is aimed at those tenants who have a source of income but are priced out of the rental apartment market. SRO projects will generally require assistance from local governing bodies or charitable organizations in order to reduce the rents to affordable levels.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The SRO Program insures lenders against loss on mortgages used to finance construction or substantial rehabilitation of projects consisting of five or more units comprised primarily of one room residential units. Projects must be designed primarily for residential use. Any commercial activity must be compatible with the use of the project and primarily for the benefit of the residents. Commercial space is limited to 10 percent of the total gross floor area (20 percent in substantial rehabilitation projects), and 15 percent of gross rental income in a project. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible applicants may be nonprofit entities; builder/sellers teamed with a nonprofit purchaser, a limited distribution entity, profit-motivated entities or public entities. Cooperative lenders or investors are not eligible.

**Beneficiary Eligibility:**

Residents are subject to normal tenant selection procedures. There are no income limits for admission.

**Credentials/Documentation:**

Along with the Application for Mortgage Insurance, the applicant must provide a market profile demonstrating a clear need for the proposed SRO, experience profiles as to SRO operation, a certification from the local government assuring support of the project, and a relocation plan if needed. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits an application for a SAMA or feasibility application to the local HUD office for review. Following HUD's issuance of a SAMA or feasibility letter, the sponsor submits a firm commitment application through a HUD-approved mortgagee to the local HUD Multifamily Hub and Program Center for processing.

**Award Procedure:**

The project is reviewed to determine its feasibility. If the project meets program requirements, the HUD Multifamily Hub or Program Center issues a commitment to insure the mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and the workload of the HUD Multifamily Hub or Program Center.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 CFR, Part 221.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over the life of the mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Reported under 14.135.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 221.565; HUD Handbook 4560.3, Mortgage Insurance for Single Room Occupancy (SRO) Projects available on [www.hudclips.org](http://www.hudclips.org).

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub and Program Center listed in [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.188 HOUSING FINANCE AGENCIES (HFA) RISK SHARING**

(542(c) Risk Sharing Program)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Section 542(c), Public Law 102-550, 12 U.S.C. 1707. HUD's fiscal year 2001 Appropriations Bill amended Section 235 of the Housing and Community Development Act of 1992 to extend the 542 Risk Sharing Program to a permanent multifamily mortgage insurance program., Title 24, Part 266.

**OBJECTIVES:**

Under Section 542(c), HUD provides credit enhancement for mortgages for multifamily housing projects whose loans are underwritten, processed, serviced, and disposed of by Housing Finance Agencies (HFA). HUD and the Housing Finance Agencies share in the risk of the mortgage. The program was originally designed as a pilot program to assess the feasibility of risk-sharing partnerships between HUD and qualified State and local HFAs in providing affordable housing for the Nation. The Section 542(c) program is now permanent multifamily insurance program.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Participating qualified State and local Housing Finance Agencies (HFAs) may underwrite, originate, service, and dispose of properties financed under Section 542(c). Program provides full HUD mortgage insurance to enhance HFA bonds to investment grade. HFA reimburses HUD in the event of a claim pursuant to terms of Risk Sharing Agreement. HFAs may elect to share risk with HUD from 10 to 90 percent of the loss. The program provides new independent insurance authority not under the National Housing Act.

**Applicant Eligibility:**

Eligible mortgagors, who include investors, builders, developers, public entities, and private nonprofit corporations or associations, may apply to a qualified HFA. To be eligible for HUD's approval, the HFA must: (1) carry the designation of "top tier" or its equivalent as evaluated by Standard and Poors or another nationally recognized rating agency; (2) receive an overall rating of "A" for the HFA for its general obligation bonds from a nationally recognized rating agency; and (3) otherwise demonstrate its capacity as a sound, well-managed agency that is experienced in financing multifamily housing.

**Beneficiary Eligibility:**

Individuals, families, and property owners may be eligible for affordable housing.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted with the application to a qualified

HFA. Proof of nonprofit status is required of nonprofit organizations. Projects must qualify as affordable housing as defined by Section 42(g) of the Internal Revenue Code of 1986. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An applicant submits a formal application directly to a HUD-approved HFA.

**Award Procedure:**

The HFAs are vested with the maximum amount of processing responsibilities and decision-making to approve or reject individual projects. However, HUD retains authority for environmental review. The HUD-approved HFA is responsible for making the award once the project qualifies for mortgage insurance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor.

**Appeals:**

If an application for mortgage insurance is refused, HFA will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

HUD will provide mortgage insurance on multifamily housing projects whose loans were underwritten, processed, serviced, and disposed of by HFAs.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 , Part 266.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No. See the following for information on how assistance is awarded/released: Over the life of the insured mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of the HFA and the mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

HFAs are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the implementing regulations. HFAs must also monitor construction/inspection process.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$139,007,526; FY 11 est \$200,000,000; and FY 12 est \$233,277,778

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulatory authority for this program is regulation 24 CFR Part 266. HUD Handbook 4590.1, Housing Finance Agency Risk-Sharing Pilot Program, is located on [www.hudclips.org](http://www.hudclips.org).

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hubs and Program Centers listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Field Office listed in the Appendix IV of the Catalog.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdesc/progdesc.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.189 QUALIFIED PARTICIPATING ENTITIES (QPE) RISK SHARING**

(542(b) Risk Sharing Program)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Section 542(b), Public Law 102-550, 12 U.S.C. 1701; Public Law 106-377. HUD's fiscal year 2001 Appropriations Bill amended Section 235 of the Housing and Community Development Act of 1992 to extend the 542 Risk Sharing Program to a permanent multifamily insurance program.

**OBJECTIVES:**

Under this program HUD provides reinsurance on multifamily housing projects whose loans are originated, underwritten, serviced, and disposed of by qualified participating entities (QPEs) and/or its approved lenders. The program encourages the development and preservation of affordable housing. The Section 542(b) program was originally designed as a pilot to test innovative mortgage insurance and reinsurance products to provide affordable multifamily housing through a partnership between HUD and QPEs, including Government Sponsored Enterprises, financial institutions, and the Federal Housing Finance Board.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

QPEs and/or its approved lenders may originate and underwrite affordable housing loans. HUD's mortgage credit enhancements are used to support the underwriting and production strengths of Fannie Mae, Freddie Mac, and other qualified Federal, State, and local public financial and housing institutions. In the event of a default, the QPE will pay all costs associated with loan disposition and will seek reimbursement from HUD. In most cases, the HUD risk share will be 50 percent. The program provides a new insurance authority independent of the National Housing Act.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers, public entities, and private nonprofit corporations or associations may apply to a qualified QPE and/or its lender.



**Beneficiary Eligibility:**

Individuals, families, and property owners may be eligible for affordable housing.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted to the QPE and/or its lender. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An applicant submits a formal application directly to the QPE.

**Award Procedure:**

QPEs are vested with the maximum amount of processing responsibilities and decision-making to approve or reject individual projects.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Within 15 days of HUD's receipt of a complete and acceptable Risk Sharing Request, HUD will execute the Addendum to Risk Sharing Agreement which signifies that HUD has undertaken a Risk Sharing Obligation for a specific mortgage loan.

**Appeals:**

If a Risk Sharing Request is refused, the QPE will state the reasons for the refusal.

**Renewals:**

HUD will provide reinsurance on multifamily housing projects whose loans are originated, underwritten, serviced, and disposed of by QPEs.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No. See the following for information on how assistance is awarded/released: Monthly.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

QPEs are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$0; FY 11 est \$60,000,000; and FY 12 est \$100,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub or Program Center listed at

[http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Field Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.188 Housing Finance Agencies (HFA) Risk Sharing

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.191 MULTIFAMILY HOUSING SERVICE COORDINATORS****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Affordable Housing Act, Section 808, Public Law 101-625, as amended; Housing and Community Development Act of 1992, 42 U.S.C. 13632, Public Law 104-104, as amended; American Homeownership and Economic Opportunity Act of 2000, Section 851, Public Law 106-569, approved December 27, 2000.

**OBJECTIVES:**

To link elderly, especially frail and disabled, or disabled non-elderly assisted housing and neighborhood residents to supportive services in the general community; to prevent premature and unnecessary institutionalization; and, to assess individual service needs, determine eligibility for public services and make resource allocation decisions which enable residents to stay in the community longer.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The service coordinator is a social service staff person hired by the development owner/management company to arrange a broad spectrum of services for residents which include, but are not limited to, the following: the provision of formal case management (i.e., the evaluation of health, psychological or social needs); educate residents and development management staff on issues related to aging-in-place and service coordination; monitor the provision of services, and act as an advocate for the resident in dealing with community service providers. The service coordinator may not serve as the recreational or activities director for a development; provide supportive services directly, or assist with other administrative work associated with the development's operation during the time paid for by grant funds. Provided in the Notice of Funding Availability (NOFA).

**Applicant Eligibility:**

Eligible applicants are owners of Section 8 developments with project-based subsidy (including Rural Housing Service Section 515/8 developments); Section 202 developments as defined under 24 CFR Sections 277 and 885, and 221(d)(3) below-market interest rate and 236 developments which are insured or assisted (funded under Sections 24 CFR 221 Subpart C, 236, 277, 880, 881, 883, 885 and 886). To be eligible, developments must also be current in mortgage payments. Service coordinators for Congregate Housing Service Programs (CHSP), Section 202 developments with a Project Rental Assistance Contract (PRAC), and Section 811 developments are not eligible for funding. Owners of Section 202 PRAC developments may request an increase in their PRAC to hire a Service Coordinator by following procedures in the Office of Housing's Management Agent Handbook 4381.5, Revision-2, Change-2, Chapter 8.

**Beneficiary Eligibility:**

Eligible beneficiaries are residents of eligible housing or community residents who live in the vicinity of such housing. Service Coordination may be provided

to elderly or disabled families. In particular, priority is given to residents who are frail (unable to perform at least three activities of daily living (ADLs)) or "at risk" elderly persons who are unable to perform 1- 2 ADLs, or non-elderly disabled or temporarily disabled residents. At least twenty-five percent of the residents of a development must be frail, at risk, or non-elderly people with disabilities for that development to be eligible for funding.

**Credentials/Documentation:**

As required in the NOFA published in the Federal Register. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted in accordance with the requirements in the NOFA published in the Federal Register.

**Award Procedure:**

As described in the NOFA. All eligible applications will be selected through a national lottery.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As specified in the NOFA.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the grant period, subject to the availability of appropriations, continued need, and compliance with grant requirements.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding term stated in the NOFA. Method of awarding/releasing assistance: quarterly.

**Reports:**

Financial and performance reporting as specified in the NOFA and grant agreement. On-site management reviews done by HUD consistent with Development monitoring standards contained in HUD Handbook 4350.1, Chapter 6. Financial Status Report (Standard Form 269-A). Multifamily Housing Service Coordinator Semi-annual Performance Report (form HUD-92456) and HUD Logic Model (form HUD-96010). Line of Credit Control System (LOCCS) Payment Voucher (form HUD-500800-SCMF) and Financial Status Report (Standard Form 269-A). HUD Field Office Staffs are responsible for monitoring grant-funded activities and the use of grant funds.

**Audits:**

No audits are required for this program.

**Records:**

Grantees required to maintain records as required by grant agreement. These requirements conform to OMB Circular No. A-110.

**Account Identification:**

86-0162-0-1-451; 86-0320-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Reported under program 14.157 for FY 10, FY 11, and FY 12.

**Range and Average of Financial Assistance:**

\$88,825 to \$402,196; \$171,064.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Estimated 167 new grants (\$31 million) and 1340 renewals (\$59 million). Fiscal Year 2011: na. Fiscal Year 2012: Approximately \$31 million in new grants and \$60 million in renewals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations for this program, see the Office of Housing's Management Agent Handbook 4381.5, Revision-2, Change-2, Chapter 8. (available at [HTTP://www.hud.gov](http://www.hud.gov)); the How-to Guide for Service Coordinators and the evaluation studies of the Service Coordinator Program available.

**Regional or Local Office:**

See Regional Agency Offices. Contact Multifamily Director in the nearest HUD Field Office. Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Carissa L. Janis, 451 7th st sw Room 6146, Washington, District of Columbia 20410 Email: [carissa.l.janis@hud.gov](mailto:carissa.l.janis@hud.gov) Phone: (202) 708-3000.

**Website Address:**

<http://www.hud.gov> .

**RELATED PROGRAMS:**

14.157 Supportive Housing for the Elderly; 14.181 Supportive Housing for Persons with Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are listed in the published Federal Register Program Notice of Funding Availability (NOFA).

**14.195 SECTION 8 HOUSING ASSISTANCE PAYMENTS PROGRAM**

(Project-based Section 8)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

United States Housing Act of 1937, Section 8(c)(9).

**OBJECTIVES:**

To provide rental assistance to very low income individuals and families enabling them to live in affordable decent, safe and sanitary housing.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

This program is inactive. No new projects are being approved; however, tenants may apply for admission to projects with existing Section 8 assistance contracts. The assistance is paid by HUD to the owner of an assisted unit on behalf of an eligible family. The payment is the difference between the contract rent and the tenant rent. Assistance is currently available only on a renewal basis, i.e., projects currently assisted may receive a 1-year renewal, or multiple years, up to twenty years, upon expiration of the Section 8 contract.

**Applicant Eligibility:**

No funding is available to new applicants. Funding is currently available only for the owners of record of projects with an existing expiring project-based Section 8 contract. The project must meet minimum decent, safe, and sanitary standards.

**Beneficiary Eligibility:**

Families currently receiving assistance as long as their income does not exceed 80 percent of area median income adjusted for smaller or larger families.

**Credentials/Documentation:**

Applications for new projects are no longer being accepted. Project must meet minimum decent, safe, and sanitary standards for HUD to renew the Section 8 contract. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Project owner must notify HUD within 120 days of contract expiration that it wishes to renew the Section 8 contract.

**Award Procedure:**

Contract is renewed upon expiration.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approval given by date of contract expiration.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to appropriations and owner's interest in renewing contract.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

1 year. See the following for information on how assistance is awarded/released: Funds are disbursed at amend rents and contract renewals anniversary dates.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. The owner must submit to HUD within 60 days after the end of each fiscal year of the project, financial statements for the project audited by an Independent Public Accountant and other statements as to project operation, financial conditions and occupancy. Annual management and occupancy review.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The owner must permit HUD to review and audit the management and maintenance of the project at any time to assure the owner is meeting its obligation to maintain the units and related facilities in decent, safe, and sanitary condition.

**Records:**

The owner must reexamine the income and composition of all families at least once each year and prepare and furnish other information required under the Section 8 contract.

**Account Identification:**

86-0311-0-1-604; 86-0316-0-1-604; 86-0164-0-1-604; 86-0319-0-1-604; 86-0303-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$9,574,433,640; FY 11 est \$9,967,000,000; and FY 12 est \$10,328,000,000

**Range and Average of Financial Assistance:**

Eligible tenants pay no more than 30 percent of their monthly adjusted income for rent.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 886 Section 8 Housing Assistance Payments Program - Special Allocations. 24 CFR 880 - Section 8 Housing Assistance Payments Program for New Construction; 24 CFR 881 - Section 8 Housing Assistance Payments Program for Substantial Rehabilitation; 24 CFR 883 - Section Housing Assistance State Housing Agencies; 24 CFR 884 - Section 8 Housing Assistance Payments Program for New Construction Set Aside for Section 515 Rural Rental Housing Projects; 24 CFR 891 Subpart E - Loans for Housing for the Elderly or Persons with Disabilities; HUD Section 8 Renewal Policy Guide (1/15/08).

**Regional or Local Office:**

See Regional Agency Offices. Persons may contact local field offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Gail Williamson, 451 7th Street SW, Washington, District of Columbia 20410  
Email: Gail.Williamson@hud.gov Phone: (202) 402-2473 Fax: (202) 708-3104.

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/mfhsec8.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.198 GOOD NEIGHBOR NEXT DOOR SALES PROGRAM****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

24 CFR 291.500-565, final rule published in Federal Register, October 31, 2006, effective December 1, 2006, following publication in the Federal Register of a proposed rule on September 8, 2005.

**OBJECTIVES:**

The purpose of the Good Neighbor Next Door Sales Program is to improve the quality of life in distressed urban communities. This is to be accomplished by encouraging law enforcement officers, teachers, and firefighters/emergency medical technicians, whose daily responsibilities and duties represent a nexus to the needs of the community, to purchase and live in homes in these communities.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Participants must be employed full-time as a law enforcement officer, pre-K through grade 12 teacher, firefighter or emergency medical technician and agree to live in the property purchased for 36 months from the date of occupancy following purchase of the home. Violation of the occupancy rule is under penalty of repayment of a prorata share of the discount of 50 percent of the list price. Properties offered through the program are single unit residences located in HUD-designated revitalization areas. The availability of properties is limited. Purchasers must provide financing for the purchases by their own means and are responsible for their portion of closing costs and broker fees. Teachers and Firefighters/EMTs are restricted to purchase homes located in an area served by their employer.

**Applicant Eligibility:**

Eligible law enforcement officer must be (a) Employed full-time by a law enforcement agency of the federal government, a state, a unit of general local government, or an Indian tribal government ; and (b) In carrying out such full-time employment, you are sworn to uphold, and make arrests for violations of, Federal, state, county, or municipal law. A firefighter/EMT must be full-time as a firefighter or emergency medical technician by a fire department or emergency medical services responder unit of the federal government, a state, unit of general local government, or an Indian tribal government serving the area where the home is located. A teacher for the purposes of the GNND Sales Program if the person is: (a) Employed as a full-time teacher by a state-accredited public school or private school that provides direct services to students in grades pre-kindergarten through 12; and (b) The public or private school where the person is employed as a teacher serves students from the area where the home is located in the normal course of business.

**Beneficiary Eligibility:**

Law enforcement officers, firefighters, and EMTs purchasing a HUD-owned home in a designated revitalization area for use as their sole residence.

**Credentials/Documentation:**

Sales contract (HUD 9548); employer certification; second mortgage and note. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Interested persons apply by submitting an offer to purchase a property listed through HUD's property disposition program. Properties for sale are listed on the Internet at sites accessible to the general public. Offers are submitted electronically. The offer amount submitted must be the list price.

**Award Procedure:**

A winning offer is selected randomly each week. The selected offeror bids full price but is offered the property at a 50 percent discount off the list price, subject to the purchaser fully complying with the 36-month occupancy requirement and other program rules. The selected offeror is provided with a document package. The offeror accepts by signing and returning the sales documents. The selected offeror receives title to the home at a sales closing. The selected offeror arranges for financing of the purchase price.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The assistance is provided in exchange for the buyer's commitment to occupy the homes as a personal residence for 36 months. Each month of occupancy results in the forgiveness of one thirty sixth of the discount value. Early vacation of the premises requires repayment of a pro rata amount of the discount. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not Applicable.

**Account Identification:**

86-4587-0-3-371; 86-4072-0-3-371; 86-4070-0-3-371; 86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 Not Separately Identifiable(Exp: reported under 14.311); FY 11 Not Separately Identifiable(Exp: reported under 14.311); and FY 12 Not Separately Identifiable(Exp: reported under 14.311) - FY 10 Reported Under 14.311 FY 11 Reported Under 14.311 FY 12 Reported Under 14.311.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, there were 586 properties sold. Fiscal Year 2011: Reported under 14.311. Fiscal Year 2012: Reported under 14.311.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Regulations at 24 CFR Part 291. Fed. Register, October 31, 2006, Volume, Number, Page. Program information is available on HUD's website at <http://www.hud.gov/offices/hsg/sfh/reo/goodn/gnndabot.cfm>

**Regional or Local Office:**

See Regional Agency Offices. Contact HUD's Homeownership Center (HOC) serving your state. Each Homeownership Center has Good Neighbor Next Door Coordinators. HOCs and their service areas may be found on the web at <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>. Management and Marketing (M&M) contractors provide listings of properties available for purchase through the Good Neighbor Next Door program on the web and are a source of information. Go to <http://www.hud.gov/homes/index.cfm> and click on the state of your choice.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/reo/goodn/gnndabot](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/reo/goodn/gnndabot)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.218 COMMUNITY DEVELOPMENT BLOCK GRANTS/ENTITLEMENT GRANTS**

Community Development Block Grant program for Entitlement Communities.

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Title I, Part 24, Section 570, Public Law 93-383, 88 Stat. 633, 42 U.S.C 5301-5321.

**OBJECTIVES:**

To develop viable urban communities by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low and moderate income.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Recipient communities may undertake a wide range of community-based activities directed toward neighborhood revitalization, economic development, and community services, facilities, and improvements. Entitlement communities develop their programs and set their funding priorities in conformance with the statutory standards, program regulations, and other federal requirements. Specific activities that can be carried out with Community Development Block Grant (CDBG) funds include acquisition of real property; relocation; clearance and demolition; rehabilitation of residential and nonresidential structures; provision of public facilities and improvements, such as water and sewer facilities (which require reviews by the State single point of contact or a Regional Planning Agency in accordance with Executive Order 12372), streets, and neighborhood centers. Within program limitations, CDBG funds can also pay for public services. Recipients may provide assistance to microenterprises or other for-profit entities when the recipient determines that such assistance is appropriate to carry out an economic development project. Community-based development organizations may carry out neighborhood revitalization, community economic development, or energy conservation activities. Each CDBG eligible activity must meet one of three national objectives: benefit low- and moderate-income persons, aid in the prevention or elimination of slums or blight, or meet other community development needs having a particular urgency that the grantee is unable to finance on its own. Recipients may only carry out eligible activities as listed in

24 CFR 570.201-207 or the statute.

**Applicant Eligibility:**

Recipients are states; cities in Metropolitan Areas designated by OMB as a central city of the Metropolitan Area; other cities over 50,000 in Metropolitan Areas; and qualified urban counties of at least 200,000 (excluding the population in entitlement cities located within the boundaries of such counties) are eligible to receive CDBG entitlement grants determined by a statutory formula.

**Beneficiary Eligibility:**

The principal beneficiaries of CDBG funds are low- and moderate-income persons (generally defined as a member of a family having an income equal to or less than the Section 8 low income limit established by HUD). The recipient must certify that at least 70 percent of the grant funds received during a 1, 2, or 3-year period, that it designates, are expended for activities that will principally benefit low- and moderate-income persons.

**Credentials/Documentation:**

Recipients must certify they will meet program requirements and applicable federal requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Executive Order 12372 is applicable only where a recipient proposes to use funds for the planning or construction (reconstruction or installation) of water or sewer facilities. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Recipients submit a 5-year Consolidated Plan, an annual action plan, SF Form 424, and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD Community development programs, including CDBG. The annual action plan must include the local community development objectives and show the proposed use of the funds. If the grantee makes a complete submission within the established deadlines, the Department will make a grant award unless a determination is made by HUD that the grantee's performance is unsatisfactory. HUD will approve the submission generally within 45 days of receipt of the annual action plan and required certifications unless a determination has been made that the grantee has failed to carry out its CDBG program in a timely manner or has failed to conform to the requirements of the statute or other applicable laws. Under such circumstances, HUD may take appropriate actions, including a reduction in the amount of the original formula-allocated grant.

**Award Procedure:**

None.

**Deadlines:**

Nov 15, 2011 to Aug 15, 2012: See below. For formula grants, action plans associated with the Consolidated Plan must be submitted based on the grantee's program year, but no earlier than November 15 or no later than August 15 of the fiscal year for which the funds are allocated.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Generally within 45 days.

**Appeals:**

Administrative appeals process followed if entitlement grant funds are withheld or reduced, or repayment proposed for non-compliance or non-performance.

**Renewals:**

From 15 to 30 days. Every 3 to 5 years, localities submit a new Consolidated Plan. Each year in between, localities submit an annual action plan and program certifications.

**Formula and Matching Requirements:**

Statutory Formula: Title 24, Part 570.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Program of assistance is for an annual activities, but activities generally may be continued beyond one year until they are deemed completed. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The Consolidated Annual Performance and Evaluation Report (CAPER). The CAPER reports the recipient's program accomplishments for each program year. For 272. The recipient's efficient expenditure of grant funds is evaluated annually (through information provided in the IDIS (see below)) 60-days prior to the end of its program year. Through the program management's information system, known as the Inter-Disbursement and Information System (IDIS). Monitoring is "risk-assessment based" with high-risked grantees receiving priority status for monitoring and review.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The auditee may elect to have a program-specific audit conducted under certain limited circumstances.

**Records:**

The recipient must maintain records with regard to eligibility, national objectives, financial management, citizen participation, relocation, other resources, acquisition, housing assistance to dwelling units and households, equal opportunity, environmental impact, labor standards and other requirements set forth in the program regulations. Records shall be retained for a period of four years after submission of the report in which the activity is reported as completed, except as otherwise prescribed in the regulations.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Formula Grants) FY 10 \$2,758,902,000; FY 11 est \$2,307,224,000; and FY 12 est \$2,758,800,000 - Allocations made to entitled metropolitan cities and urban counties.

**Range and Average of Financial Assistance:**

From low of \$72,231 to a high of \$178,008,585 for New York City; average grant \$2,956,494.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: no current data available. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations for Community Development Block Grants, 24 CFR 570.

**Regional or Local Office:**

None. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Otis D.Collins, 451 7th Street S.W. Room 7282 , Washington,, District of Columbia 20410 Email: otis.d.collins@hud.gov Phone: 202-402-3416 Fax: 202-401-2044

**Website Address:**

<http://www.hud.gov/offices/cpd/index.cfm>.

**RELATED PROGRAMS:**

14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **14.225 COMMUNITY DEVELOPMENT BLOCK GRANTS/SPECIAL PURPOSE GRANTS/INSULAR AREAS**

Insular CDBG

##### **FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

##### **AUTHORIZATION:**

Housing and Community Development Act of 1974, as amended, Public Law 93-383, 42 U.S.C 5306(a)(2).

##### **OBJECTIVES:**

To provide community development assistance to the Pacific Islands of American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands in the Caribbean, by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low- and moderate-income. Each activity funded must meet one of the program's National Objectives by: Benefiting low- and moderate-income families; aiding in the prevention or elimination of slums or blight; or meeting other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Activities must be eligible under 24 CFR 570 Subpart C.

##### **Applicant Eligibility:**

The Island Governments of American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands.

##### **Beneficiary Eligibility:**

The principal beneficiaries of CDBG funds are low and moderate income persons. Low and moderate income is generally defined as 80 percent of the median income for the territory, as adjusted by family size.

##### **Credentials/Documentation:**

Grantees must certify that they will comply with program requirements as specified in 24 CFR Part 91. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circular A-110 applies as implemented at 24 CFR Part 84. 24 CFR Part 85 also applies to this program. Each Insular Area shall submit a consolidated plan or an abbreviated consolidated plan to HUD no later than 45 days before the start of its program year.

##### **Award Procedure:**

The Honolulu Field Office and the HUD San Juan Field Office are responsible for reviewing each consolidated plan or abbreviated consolidated plan and approving them if the submissions are in accordance with 24 CFR 91 and the certifications are acceptable to HUD.

##### **Deadlines:**

Nov 16, 2010 to Aug 16, 2011 Applicants must submit final statements no later than 45 days before the start of its program year.

##### **Range of Approval/Disapproval Time:**

45 days.

##### **Appeals:**

The procedure is described in regulations (24 CFR Part 570 Subpart O).

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Assistance is available until project completion. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

Financial management and annual performance reports as required by the Secretary. SF-425 Federal Cash Transactions Report. Annual Performance Report details the territory's performance in completing activities undertaken during the program year. Disbursement reports are a standard feature of the Integrated Disbursement and Information System used to access the grantee's line of credit. Program performance monitoring is conducted by field office staff based on risk analysis factors.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

All records applicable to the assistance project must be kept for three years following the submission of the final expenditure report or until all audit findings have been resolved.

##### **Account Identification:**

86-0162-0-1-451.

##### **Obligations:**

(Project Grants) FY 10 \$6,930,000; FY 11 est \$6,916,000; and FY 12 est \$7,000,000

##### **Range and Average of Financial Assistance:**

Funds allocated in FY 2011: American Samoa \$1,133,433; Guam \$3,085,838; Northern Marianas \$824,363; Virgin Islands \$1,872,506.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 570, 24 CFR Part 91, 24 CFR Part 58

##### **Regional or Local Office:**

See Regional Agency Offices. Honolulu Field Office and the HUD San Juan Field Office as listed in Appendix IV of the print edition of this Catalog. Or on the Internet, see: <http://www.hud.gov/local/index.cfm>.

##### **Headquarters Office:**

Stephen M. Rhodside 451 Seventh St. SW, Washington, District of Columbia 20410 Email: [stephen.m.rhodside@hud.gov](mailto:stephen.m.rhodside@hud.gov) Phone: 202-402-7375 Fax: 202-401-2044

##### **Website Address:**

[http://www.hud.gov/offices/cpd/about/cpd\\_programs.cfm](http://www.hud.gov/offices/cpd/about/cpd_programs.cfm).

##### **RELATED PROGRAMS:**

15.875 Economic, Social, and Political Development of the Territories

##### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current data available. Fiscal Year 2012: No Current Data Available

##### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **14.228 COMMUNITY DEVELOPMENT BLOCK GRANTS/STATE'S PROGRAM AND NON-ENTITLEMENT GRANTS IN HAWAII**

State CDBG

##### **FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and

## Urban Development

### **AUTHORIZATION:**

Housing and Community Development Act of 1974, Title I, Section 101-122, Public Law 93-383, 88 Stat. 633, 42 U.S.C 5301-5322.

### **OBJECTIVES:**

The primary objective of this program is the development of viable urban communities by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low- and moderate-income. Each activity funded must meet one of the program's National Objectives by: Benefiting low- and moderate-income families; aiding in the prevention or elimination of slums or blight; or meeting other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available.

### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

### **USES AND USE RESTRICTIONS:**

Thirty percent of funds available for distribution under each annual appropriation for the Community Development Block Grant (CDBG) program is allocated among the States and Puerto Rico (which is considered to be a state for the State CDBG program) for use in areas which are not a metropolitan city or part of an urban county (nonentitlement areas). All States except Hawaii have elected to administer these CDBG funds for areas that do not receive CDBG entitlement grants (14.218). HUD awards the formula grants to these States under the CDBG/State Program. In Hawaii, HUD awards the state's share of these funds to three non-entitlement counties. States must distribute CDBG funds to units of general local government (counties, towns, etc.) in nonentitlement areas. States develop their own programs and funding priorities. Units of general local government then carry out community development activities funded by the State. Eligible activities are directed toward neighborhood revitalization, economic development, or provision of improved community facilities and services. Specific activities that can be carried out with block grant funds include: Acquisition, rehabilitation or construction of certain public works facilities and improvements, such as streets, water and sewer facilities, neighborhood centers, recreation facilities, and other public works; demolition and clearance; rehabilitation of public and private buildings including housing; code enforcement; relocation payments and assistance; economic development; planning activities; certain public services with some restrictions; and administrative expenses. The projected use of funds must be developed to ensure that all activities will meet one of the three national objectives described under "OBJECTIVES". Communities receiving CDBG funds from a state may select subgrantees to carry out approved projects. Such subgrantees may include: Neighborhood-based nonprofit organizations; local development corporations; Small Business Investment Companies; or other nonprofit organizations serving the development needs of nonentitlement areas. Grant recipients may provide assistance to for-profit entities when the recipient determines that the provision of such assistance is appropriate to carry out an economic development project. Communities are restricted from constructing or rehabilitating public facilities for the general conduct of government and from making housing allowances or other income maintenance-type payments. Each State may use a limited portion of its grant, subject to a matching requirement, to administer the program. Each State may also use a limited portion of its grant, with no matching requirement, to provide technical assistance to local governments and nonprofit program recipients. At least seventy percent of the funds received must benefit low and moderate income persons.

### **Applicant Eligibility:**

Forty-nine State governments and the Commonwealth of Puerto Rico receive funds from HUD under this program. The state of Hawaii does not participate and HUD allocates the state's share of funds to the three Hawaii non-entitled counties. Funds are allocated to each state based on a statutory formula. States must distribute the funds to units of general local government in nonentitlement areas.

### **Beneficiary Eligibility:**

The principal beneficiaries of CDBG funds are low and moderate income persons. For non-metropolitan areas, low and moderate income is generally

defined as 80 percent of the median income for non-metropolitan areas of the State or of the county, whichever is higher, adjusted for family size. For eligible localities in metropolitan areas, low- and moderate-income is generally defined as 80 percent of the median income for the metropolitan area, adjusted for family size.

### **Credentials/Documentation:**

Grantees must certify that they will comply with program requirements specified in 24 CFR Part 91. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States must follow the fiscal requirements contained in 24 CFR 570.489. Each state and non-entitled Hawaii county must submit a Consolidated Plan, an annual action plan and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD community development programs, including CDBG. The annual action plan must contain the method by which the State will distribute its CDBG funds.

### **Award Procedure:**

HUD will provide funds after the State or non-entitled Hawaii county submits its Consolidated Plan, annual action plan and Certifications.

### **Deadlines:**

Nov 15, 2010 to Aug 16, 2011 Consolidated Plans may be submitted between November 15 and August 16 of each fiscal year in which the grantee will administer funds.

### **Range of Approval/Disapproval Time:**

HUD will review plan submissions for completeness and consistency with the purposes of the Act, within 45 days of receipt from a grantee.

### **Appeals:**

The procedure is described in regulations (24 CFR Part 570 Subpart I for states and 24 CFR Part 570 Subpart O for non-entitlement counties in Hawaii).

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory Formula: Title 24, Chapter V, Part 570, Subpart A, Public Law 93-383.

Matching Requirements: For state administration of the program, after an initial allowance of \$100,000 with no match, states may take an additional allowance of up to 3% of the grant amount but must match such expenditures on a dollar for dollar basis. There is no matching requirement for the non-entitlement counties in Hawaii.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Assistance is provided to States and non-entitlement counties in Hawaii on an annual basis. Individual States may impose time limitations on the implementation of grants to recipients. Method of awarding/releasing assistance: by letter of credit.

### **Reports:**

Annual performance report covering all programs included in the Consolidated Plan as prescribed at 24 CFR 91.520. For Hawaii counties, SF-425 Federal Cash Transactions Report is required. Annual Performance and Evaluation Report details the state's performance in completing activities undertaken with each allocation of funds. Disbursement reports are a standard feature of the Integrated Disbursement and Information System used to access the grantee's line of credit. Program performance monitoring is conducted by field office staff.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must demonstrate that the State or non-entitlement county in Hawaii has met the requirements of Title I of the Act.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Formula Grants) FY 10 \$1,182,387; FY 11 est \$988,810; and FY 12 est \$988,810

**Range and Average of Financial Assistance:**

State grant amounts are determined by formula. Of the 50 grants awarded to states under the State CDBG program in FY 2011, the average (mean) grant amount was \$19,678,868. Grant amounts ranged from \$1,873,345 to \$66,604,562. These totals do not include Hawaii's allocation awarded to its 3 non-entitled counties. Hawaii's share of the 2011 allocation is \$4,867,004.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 570, 24 CFR Part 91, 24 CFR Part 58.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD Field Office listed in Appendix IV of the print edition of this Catalog. Or on the Internet, see: <http://www.hud.gov/local/index.cfm>. Contact the Honolulu Field Office for the non-entitled Hawaii counties.

**Headquarters Office:**

Stephen M. Rhodeside 451 Seventh St. SW  
, Washington, District of Columbia 20410 Email:  
[Stephen.m.rhodeside@hud.gov](mailto:Stephen.m.rhodeside@hud.gov) Phone: 202-402-7375 Fax: 202-401-2044

**Website Address:**

[http://www.hud.gov/offices/cpd/about/cpd\\_programs.cfm](http://www.hud.gov/offices/cpd/about/cpd_programs.cfm).

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.231 EMERGENCY SHELTER GRANTS PROGRAM**

(ESG)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act of 1987, Title IV, as amended, 42 U.S.C. 11371-78.

**OBJECTIVES:**

To help improve the quality of emergency shelters and transitional shelter for the homeless, to make available additional shelters, to meet the costs of operating shelters, to provide essential social services to homeless individuals, and to help prevent homelessness.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grantees may use the grant for one or more of the following activities relating

to emergency shelter and transitional housing for the homeless: (1) renovation, major rehabilitation, or conversion of buildings for use as shelters for the homeless; (2) provision of essential services to the homeless (not more than 30 percent of the grant, unless waived by HUD); (3) payment of operations (not more than 10 percent of the grant for staff management costs), maintenance, rent, repair, security, fuel, equipment, insurance, utilities, and furnishings; and (4) homeless prevention activities (not more than 30 percent of the grant), and (5) administrative costs not to exceed five percent of the ESG grant. In the case of State grantees, the grant for administration must be shared with funded recipients.

**Applicant Eligibility:**

States, metropolitan cities, urban counties, and territories. Local governments receiving formula allocations may distribute all or part of their grants to nonprofit recipients to be used for ESG activities. State grantees must distribute ESG funds to local governments, or directly to nonprofit organizations with the approval of the local government. Only local governments and nonprofit organizations may apply for ESG funds directly from States. The territories receive their allocations based on their population size.

**Beneficiary Eligibility:**

Homeless families and individuals, and low-income persons in immediate risk of losing their housing due to eviction, foreclosure, or utility shutoffs.

**Credentials/Documentation:**

States, metropolitan cities, urban counties, and territories that elect to participate in the program must submit (1) an approved Consolidated Plan; and (2) certifications that each grantee will supplement the assistance provided under the program with an equal amount of funds from other sources, except for State grantees under the \$100,000 exemption, (b) ensure that any building using ESG funds will continue as a homeless shelter for specified periods, (c) ensure that assisted rehabilitation is sufficient to make the structure safe and sanitary, (d) provide for a procedure to ensure the confidentiality of victims of domestic violence, and assist homeless individuals in obtaining appropriate supportive services and other available assistance, and (e) meet other generally applicable requirements, such as nondiscrimination and equal opportunity. Costs will be determined in accordance with OMB Circular No. A-133 for State and local governments. State grantees are exempt from matching the first \$100,000 of their award, but States must certify that they will provide the benefits of that exemption to local government and nonprofit recipients. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application Procedure: To be eligible, each grantee must have a HUD-approved Consolidated Plan, which contain descriptions of the community's homeless assistance needs, details available resources, and provides a three-to-five year plan and an annual action plan. The annual action plan specifies new projects being funded, along with any revisions in the overall document. Each participating grantee must submit certifications required by HUD.

**Award Procedure:**

The HUD field office reviews the grantee's Consolidated Plan and, if approved, executes a grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Consolidated plan is generally approved in 10 working days or deemed approved by HUD within 45 days of receipt.

**Appeals:**

Not Applicable.

**Renewals:**



Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Each grantee must certify that it will supplement the assistance provided under the program with an equal amount of funds from other sources, except for State grantees under \$100,000 exemption.

Matching Requirements: After a portion of the ESG appropriation is set aside for the territories, the amount of each grant for formula grantees is determined by the Community Planning Block Grant (CDBG) formula using several objective measures of community need, including poverty, population, housing overcrowding, age of housing and growth lag. Allocations among the territories are based on their populations. If, according to the formula, an eligible government receives less than 05. percent of the yearly appropriation, then that grant is added to the allocation for that State. A State must allocate to its local government or to nonprofit organizations the entire grant, except for the up to five percent used to administer the grant. The administrative funds must be shared with local government grantees in that State. Grantees must match grant funds with an equal amount of funds from other sources including donated material or a building, leasehold value, additional staff salaries, and volunteer time.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Length and Time Phasing of Assistance: Grant awards should be made within 45 days of HUD's receipt and approval of the Consolidated Plan. A State should make available to its recipients all of its grant allocation within 65 days of the date of the grant award by HUD. A State recipient should have its entire grant obligated by 180 days from the date on which the State made the grant available to it, and spent the entire grant within 24 months of this date. For State homeless prevention funds, the State may continue to make available homeless prevention funds within 180 days of grant award. State recipients that are local government agencies and nonprofit organizations then have 30 days to obligate the funds, and up to 24 months to spend them. Each local government grantee should have all of its grant funds obligated by 180 days from its grant award by HUD, and entirely spent within 24 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

According a portion of ESG regulations, grantees and recipients must retain records for four years from the date of submission of the annual performance report.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Formula Grants) FY 10 \$160,000,000; FY 11 est \$225,000,000; and FY 12 est \$286,000,000

**Range and Average of Financial Assistance:**

The .05 percent minimum entitlement allocation resulted in \$125,277 minimum grant in 2011. The maximum entitlement allocation was \$12,461,016. The average grant was \$694,444.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: \$160,000,000. Fiscal Year 2011: \$250,000,000. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by streamlined final regulations published in the Federal Register on October 2, 1996, at 24 CFR Part 576. A comprehensive

"Emergency Shelter Grants (ESG) Program Desk Guide" is available from HUD at 1-800-998- 9999, Or or can be found on the ESG homepage on HUD's Website at <http://www.hudhre.info/index.cfm?do=viewEsgDeskguide>.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Michael Roanhouse, Office of Special Needs Assistance Programs, Room 7262, Office of Community Planning and Development, Department of Housing and Urban Development, Washington, District of Columbia 20410 Email: [Michael.Roanhouse@hud.gov](mailto:Michael.Roanhouse@hud.gov) Phone: (202) 708-1226.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/homeless/programs/esg](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/homeless/programs/esg)

**RELATED PROGRAMS:**

14.235 Supportive Housing Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS; 97.024 Emergency Food and Shelter National Board Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed ESG projects are part of the prospective grantee's Consolidated Plan, which are reviewed according to criteria set forth in 24 CFR 91.

**14.235 SUPPORTIVE HOUSING PROGRAM**

(Transitional Housing; Permanent Housing for Homeless Persons with Disabilities; Innovative Supportive Housing; Supportive Services for Homeless Persons not in Conjunction with Supportive Housing; Safe Havens; and HMIS.)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act of 1987, Title IV, Subtitle C, as amended.

**OBJECTIVES:**

The Supportive Housing Program is designed to promote the development of supportive housing and supportive services to assist homeless individuals and families in the transition from homelessness and to enable them to live as independently as possible. Program funds may be used to provide: (i) transitional housing within a 24-month period as well as up to six months of follow-up services to former residents to assist their adjustment to independent living; (ii) permanent housing provided in conjunction with appropriate supportive services designed to maximize the ability of persons with disabilities to live as independently as possible; (iii) supportive housing that is, or is part of, a particularly innovative project for, or alternative method of, meeting the immediate and long-term needs of homeless individuals and families; (iv) supportive services for homeless individuals not provided in conjunction with supportive housing, (v) safe havens for homeless individuals with serious mental illness currently residing on the streets who may not yet be ready for supportive services; and (vi) Homeless Management Information Systems (HMIS) for developing management information systems to maintain data on beds, units and homeless individuals.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eight types of assistance may be provided for Supportive Housing: acquisition of structures for use as supportive housing or in providing supportive services; rehabilitation of structures for use as supportive housing or in providing supportive services; new construction of buildings for use as supportive housing under limited circumstances; leasing of structures for use as supportive housing or in providing supportive services; operating costs of supportive housing; costs of providing supportive services to homeless persons; costs of implementing and operating HMIS; and administrative costs not to exceed five percent of the

SHP grant.

**Applicant Eligibility:**

States, local governments, other governmental entities, private nonprofit organizations, and community mental health associations that are public nonprofit organizations.

**Beneficiary Eligibility:**

Homeless individuals and families with children.

**Credentials/Documentation:**

Private nonprofit status is documented by submitting either (1) a copy of the Internal Revenue Service (IRS) ruling providing tax-exempt status under Section 501(c)(3) of the IRS Code; or (2) documentation showing that the entity is a certified United Way agency; or (3) a certification from a licensed CPA that no part of the next earnings of the organization inures to the benefit of any member, founder, contributor, or individual; that the organization has a voluntary board; that the organization practices nondiscrimination in the provision of assistance; that the organization has a functioning accounting system. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. One application package prescribing the specific information that applicants must submit is available. The standard application forms as furnished by HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan and must be permissible under applicable zoning ordinances and regulations.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and prepares a Grant Agreement for those applications selected.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing of applications will take place in HUD Field Offices and at HUD Headquarters, and selection of successful applicants will take place at HUD Headquarters. HUD will make its final selections and obligate funds as soon as the applications can be processed.

**Appeals:**

Applicants may appeal funding decision if they believe a HUD error has occurred.

**Renewals:**

Information on renewals is contained in the Notice of Funding Availability and the application.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Recipients must match grants for acquisition, rehabilitation, and new construction, with an equal amount of funds from other sources. Recipients must also provide a cash match for support services and operations. The Supportive Housing Program will pay no more than 80 percent of total support service costs, 75 percent of total operating costs or 80 percent of total HMIS costs. Recipients have the responsibility to ensure that the funds that the recipient uses to satisfy HUD's match requirements are not prohibited to be used for this purpose under any statute that may govern the matching funds. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be made available for up to 3 years for leasing, operating, supportive services and HMIS costs. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Each recipient must keep any records and make any reports as specified by HUD within the timeframe required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The financial management systems used by governmental entities that are recipients under this program must provide for audits in accordance with 24 CFR 45. Private nonprofit entity recipients are subject to the audit requirements of 24 CFR 44. Both 24 CFR Part 44 and 45 stipulate that grant recipients and their subgrantees provide audits in accordance with OMB Circular No. A-133. HUD may perform further and additional audits as it finds necessary or appropriate.

**Records:**

Each recipient must agree to participate in an evaluation of the program, and to keep any records and make any reports that HUD may require for the purpose of reporting to Congress on the cost of the program and the social, financial, and other advantages of supportive housing components as a means of assisting homeless persons.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$1,203,712,129; FY 11 est \$1,181,029,488; and FY 12 est \$1,450,749,296

**Range and Average of Financial Assistance:**

HUD imposes the following limitations: (1) Acquisition and/or rehabilitation construction grants for the Supportive Housing Program may not exceed 200,000 (up to \$400,000 in high cost areas); new construction may not exceed \$400,000; (2) funding of up to 75 percent for operating costs; (3) funding of up to 80 percent for supportive services and HMIS costs; and (4) the program provides grants for leasing costs for up to 3 years.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: There are approximately 7,432 projects in grant funding to assist homeless individuals and families during fiscal year 2010. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 583 published in the Federal Register. Other program information is available from Community Connections at (1-800) 998-9999.

**Regional or Local Office:**

See Regional Agency Offices. Designated contact person for the Supportive Housing Program in HUD Field Offices with a Community Planning and Development Division.

**Headquarters Office:**

Robyn Raysor, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7266, 451 7th Street, SW, Washington, District of Columbia 20410  
Email: Robyn.S.Raysor@hud.gov Phone: (202) 708-4300.

**Website Address:**

<http://www.hud.gov/offices/cpd/homeless/index.cfm> and <http://www.hudhre.info>. The hudhre website provides additional detailed instructions on eligibility and process.

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS; 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

## **CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting applications for assistance are defined in a Notice of Funding Availability in the Federal Register.

### **14.238 SHELTER PLUS CARE**

#### **FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

#### **AUTHORIZATION:**

Subtitle F of Title IV of the McKinney-Vento Homeless Assistance Act of 1987 as amended, 42 U.S.C.11403.

#### **OBJECTIVES:**

The Shelter Plus Care Program provides rental assistance, in connection with supportive services funded from sources other than this program, to homeless persons with disabilities (primarily persons who are seriously mentally ill; have chronic problems with alcohol, drugs, or both, or have acquired immunodeficiency syndrome and related diseases) and their families. The program provides assistance through four components: (1) Tenant-based Rental Assistance (TRA); (2) Sponsor-based Rental Assistance (SRA); (3) Project-based Rental Assistance (PRA); (4) and Single Room Occupancy for Homeless Individuals (SRO).

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Homeless persons with disabilities and their families. Homeless persons with disabilities.

#### **Applicant Eligibility:**

An eligible applicant is a State, unit of general local government, or public housing agency (PHA).

#### **Beneficiary Eligibility:**

Homeless persons with disabilities and their families. Except in single room occupancy dwellings that are only for homeless individuals with disabilities.

#### **Credentials/Documentation:**

Governmental entities and public housing agencies will certify to their eligibility. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Any site that would have a significant adverse impact on the human environment will not be eligible for funding. All components of this program are excluded from coverage under E.O. 12372. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An electronic application package prescribing the specific information that applicants must submit through the local Continuum of Care (CoC) is available from HUD through the annual CoC Notice of Fund Availability, found at <http://hudhre.info>. The standard electronic application form as furnished by HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan.

#### **Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and makes conditional grant awards to those applications most highly ranked, in accordance with the Notice of Fund Availability (NOFA).

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Processing of applications and selection of successful applicants will take place at HUD field offices and Headquarters. HUD Headquarters will make selection and obligate funds as soon as the applications can be processed.

#### **Appeals:**

Applicants may appeal the results of HUD's review and selection process if they believe a HUD error has occurred. Appeals must be in writing to the Assistant Secretary for Community Planning and Development and must state what HUD error the applicant believes occurred.

#### **Renewals:**

One year funding for projects eligible for renewal as contained in the Notice of Fund Availability and application.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Recipients must match the rental assistance by supportive services that are equal in value to the aggregate amount of rental assistance and appropriate to the needs of the population to be served. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

HUD will provide rental assistance under the TRA and SRA components for a five year period. Rental assistance under the SRO component will be for a ten-year period. If units are rehabilitated, and meet the standards required, assistance under the PRA component will be for a ten-year period; otherwise it will be for a five-year period. See the following for information on how assistance is awarded/released: HUD award notification letter.

#### **Reports:**

No reports are required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The financial management systems used by governmental entities that are recipients under this program must provide for audits as stipulated in 24 CFR 45. HUD may perform further and additional audits as it finds necessary or appropriate.

#### **Records:**

Each recipient must keep any records and make any reports that HUD may require.

#### **Account Identification:**

86-0192-0-1-604.

#### **Obligations:**

(Project Grants) FY 10 \$464,717,868; FY 11 est \$463,664,680; and FY 12 est \$569,554,965

#### **Range and Average of Financial Assistance:**

No Data Available.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: There are approximately 1,317 projects in grant funding to provide rental assistance, in connection with supportive services, for homeless persons with disabilities during the fiscal year 2010. Fiscal Year 2011: There is no data for this program during fiscal year 2011. Fiscal Year 2012: No Current Data Available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 582 Shelter Plus Care Program Final Rule.

#### **Regional or Local Office:**

See Regional Agency Offices. Designated contact person or monitor for the Shelter Plus Care Program in HUD Field Offices with a Community Planning and Development Division. Program information may also be obtained from Community Connections at HUD at (1-800)998-9999.

#### **Headquarters Office:**

Robyn Raysor, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7266, 451 7th Street, SW, Washington, District of Columbia 20410  
Email: [Robyn.S.Raysor@hud.gov](mailto:Robyn.S.Raysor@hud.gov) Phone: (202) 708-4300.

#### **Website Address:**

<http://www.hud.gov/offices/cpd/homeless/index.cfm> and <http://www.hudhre.info>. The hudhre website provides additional detailed instructions on eligibility and process.

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program; 14.235 Supportive Housing Program; 14.241 Housing Opportunities for Persons with AIDS

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed under each Notice of Fund Availability.

**14.239 HOME INVESTMENT PARTNERSHIPS PROGRAM**

(HOME Program)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

National Affordable Housing Act 1990, Title II.

**OBJECTIVES:**

To expand the supply of affordable housing, particularly rental housing, for low and very low income Americans; to strengthen the abilities of State and local governments to design and implement strategies for achieving adequate supplies of decent, affordable housing; and to extend and strengthen partnerships among all levels of government and the private sector, including for-profit and nonprofit organizations, in the production and operation of affordable housing.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

For use by participating jurisdictions or Insular Areas for housing rehabilitation, tenant-based rental assistance, assistance to homebuyers, acquisition of housing and new construction of housing. Funding may also be used for other necessary and reasonable activities related to the development of non-luxury housing, such as site acquisition, site improvements, demolition and relocation. Ten percent of a participating jurisdiction's allocation may be used for administrative costs. Funds may not be used for public housing modernization, matching funds for other Federal programs, reserve accounts or operating subsidies for rental housing, Annual Contributions Contracts, or activities under the Low Income Housing Preservation Act except for priority purchasers.

**Applicant Eligibility:**

States, cities, urban counties, and consortia (of contiguous units of general local governments with a binding agreement) are eligible to receive formula allocations; funds are also set aside for grants to Insular Areas.

**Beneficiary Eligibility:**

For rental housing, at least 90 percent of HOME funds must benefit low and very low income families at 60 percent of the area median income; the remaining ten percent must benefit families below 80 percent of the area median. Assistance to homeowners and homebuyers must be to families below 80 percent of the area median.

**Credentials/Documentation:**

Specific requirements of 24 CFR Part 85 apply to participating jurisdictions, State recipients and any governmental subrecipient receiving HOME funds. OMB Circular No. A-122 and specific requirements of 24 CFR Part 84 apply to nonprofit subrecipients which are not governmental. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Submit a Consolidated Plan, an annual action plan and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD community development programs, including HOME. The annual action plan must describe how the funds will be used.

**Award Procedure:**

The responsible HUD Field Office notifies grantees of the formula awards. HUD prepares the grant agreement for formula applicants.

**Deadlines:**

Nov 15, 2011 to Aug 16, 2013 Action plans should be submitted to HUD at least 45 days before the start of the program year. In no event will HUD accept a submission earlier than November 15 or later than August 16 of the federal fiscal year for which funds are allocated.

**Range of Approval/Disapproval Time:**

HUD will review for completeness and consistency with the purposes of the Act, within 45 days of receipt from a jurisdiction.

**Appeals:**

Formula allocations may not be appealed.

**Renewals:**

Every fifth year, localities submit a Consolidated Plan. Each year jurisdictions must submit an action plan and certifications.

**Formula and Matching Requirements:**

Statutory Formula: Title HOME Investment Partnership Program, Chapter 24, Part 92, Subpart A-M. The formula is a system of factors established to reflect a jurisdiction's need for an increased supply of affordable housing for low and very low income families. Designed by HUD to meet statutory criteria, it is based on a jurisdiction's inadequate housing supply, substandard housing, the number of low-income households in housing units likely to be in need of rehabilitation, the cost of producing housing, poverty, and the relative fiscal incapacity of the jurisdiction to carry out housing activities without federal assistance. Each jurisdiction must make matching contributions for affordable housing throughout a fiscal year in an amount not less than 25 percent of the HOME funds drawn from the U.S. Treasury during the federal fiscal year for projects. Jurisdictions in fiscal distress receive full or partial (50 percent) relief from this requirement.

Matching Requirements: Percent: 25%.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant funds are drawn down from the U. S. Treasury based upon individual project development progress. The HOME program uses an electronic fund transfer disbursement and information system. Once drawn down, funds must be expended within fifteen days. All funds must be committed within 24 months and expended within 5 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Financial management and annual performance reports. No cash reports are required. No progress reports are required. No expenditure reports are required. Annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records which enable HUD to determine whether the participating jurisdiction has met the requirements of the program must be kept for the most recent five year period. Those records required to document the period of affordability must be maintained for five years beyond the required period.

**Account Identification:**

86-0205-0-1-604.

**Obligations:**

(Formula Grants) FY 10 \$1,825,000,000; FY 11 est \$1,610,000,000; and FY 12 est \$1,650,000,000 - (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.).

**Range and Average of Financial Assistance:**

\$242,747 to \$110,537,898; \$2,462,462.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 81,229 units completed; 19,760 units of tenant-based rental assistance. Fiscal Year 2011: 81,229 units estimated to be completed; 19,860 units of estimated tenant-based rental assistance. Fiscal Year 2012: 74,182 units estimated to be completed; 18,046 units of estimated tenant-based rental assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 92.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Virginia Sardone 451 7th Street, S.W. room 7164, Washington, District of Columbia 20410 Email: Virginia.Sardone@hud.gov Phone: 202-708-2685 Fax: 202-708-1744

**Website Address:**

<http://www.hud.gov/homeprogram/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.241 HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS (HOPWA)****FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

AIDS Housing Opportunity Act, 42 U.S.C. 12901 et seq., Title 24, Part 574.

**OBJECTIVES:**

To provide States and localities with the resources and incentives to advance the National HIV/AIDS Strategy by devising long-term comprehensive strategies for meeting the housing needs of low-income persons and their families living with AIDS.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Grantees and project sponsors may use HOPWA funds to provide for any of the following eligible activities, subject to certain standards and limitations provided in the regulations: (1) acquisition, rehabilitation, conversion, lease, and repair of facilities to provide housing and services; (2) new construction (for single room occupancy (SRO) dwellings and community residences only); (3) operating costs for housing facilities, including maintenance, security, operation, insurance, utilities, furnishings, equipment, supplies, and other incidental costs; (4) project or tenant-based rental assistance, including assistance for shared housing arrangements; (5) short-term rent, mortgage, and utility payments to prevent homelessness; (6) permanent housing placement to assist beneficiaries receiving rental assistance with the security deposits and utility hook-up costs; (7) housing information services including, but not limited to, counseling, information, and referral services to assist eligible individuals and their families locate, acquire, finance, and maintain housing; (8) resource identification to establish, coordinate and develop housing assistance resources; (9) supportive services and case management including, mental health, drug and alcohol abuse treatment and counseling, day care, nutritional

services, etc.; (10) technical assistance in establishing and operating a community residence, including planning and other pre-development or pre-construction expenses; and (11) administrative costs for general management, oversight, coordination, evaluation and reporting on eligible activities (grantees can use not more than three percent of the grant amount for its administrative expenses and project sponsors can use not more than seven percent of its grant award).

Additional program requirements: Appropriate supportive services are to be provided as part of any HOPWA assisted housing in order to ensure and promote the housing stability of program beneficiaries. General standards for housing activities are established, including minimum use periods for structures (ten years for new construction, substantial rehabilitation or acquisition and three years for other non-substantial rehabilitation or repair). Resident rent payments are required of program beneficiaries for rental assistance. Program beneficiaries must be low-income and living with HIV/AIDS.

**Applicant Eligibility:**

(1) Entitlement grants are awarded by formula to States and qualifying cities for eligible metropolitan statistical areas (EMSAs) with the largest number of cases of AIDS. The most populous city will serve as the applicant/grantee for the EMSAs award; and (2) competitively awarded grants may be awarded to: (a) States, local governments and nonprofit organizations for special projects of national significance; and (b) projects submitted by States and localities in areas that do not qualify for HOPWA formula allocations. Nonprofit organizations are eligible to apply for projects of national significance, but may also serve as a project sponsor to formula grantees. As required by the Appropriations Acts, HUD gives priority to the renewal of expiring permanent supportive housing projects.

**Beneficiary Eligibility:**

Eligible beneficiaries are low income persons and their families living with HIV/AIDS.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circulars Nos. A-87 and A-102 for State and local governments, and Nos. A-110 and A-122 for non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All HOPWA formula grantees must submit a Consolidated Plan and an annual action plan that includes a comprehensive AIDS housing strategy that identifies and outlines how a community has identified local housing needs and how these federal resources will be targeted to address these local priorities. The Consolidated Plan and annual action plan requirements are applicable for each of HUD's Community Planning and Development program, including HOPWA.

HOPWA funding requirements for expiring permanent supporting housing renewal grants are published through a HUD Notice that is issued annually (HUD's Appropriations Acts authorizes the Secretary to renew all expiring contracts for permanent supportive housing that were funded under section 854(c)(3) of AIDS Housing Act that meet all program requirements before awarding funds for new competitive grant applications). Funding announcements for new competitive grants and for technical assistance activities under the One CPD Technical Assistance Transformation Initiative are published in the Department's SuperNOFA (Notice of Funding Availability).

**Award Procedure:**

HUD field offices are delegated responsibility for approving annual grantee Consolidated Plan and Action Plan submissions as a condition for receiving annual formula funding. HUD executes a grant agreement outlining grant conditions and terms for both HOPWA formula and competitive grant recipients. HUD executes a cooperative agreement with technical assistance

grant recipients.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

HUD issues an annual Notice that solicits applications for expiring permanent supportive housing renewal grant applications. Application deadlines vary during the fiscal year.

**Formula and Matching Requirements:**

Statutory Formula: Title Formula Allocations, Subpart B - Formula Entitlements. Eligible States and qualifying cities are awarded HOPWA formula grants upon the submission and approval of a consolidated plan, pursuant to 24 CFR Part 91.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant funds should be expended in a timely manner or may be subject to deobligation. Grant funding should be expended within a three period from the date of the executed grant agreement. Program requirements provide competitive grants with the allowance of a one year extension, if approved by HUD. Method of awarding/releasing assistance: lump sum.

**Reports:**

Formula grantees are required to submit a Consolidated Plan and an annual action plan that outlines how HOPWA program resources are to be targeted to address the housing needs of individuals and their families living with HIV/AIDS. No cash reports are required. HOPWA formula and competitive grantees are required to submit annual performance reports. The Consolidated Annual Performance and Evaluation Report (CAPER) is required of formula grantees and provides annual performance reporting on households served that enables an assessment of grantee performance in promoting the housing stability of program beneficiaries. The CAPER, in conjunction with the Integrated Disbursement Information System (IDIS), fulfills statutory and regulatory program reporting requirements.

The Annual Progress Report (APR) is required of competitive grantees and provides annual performance reporting and provides more detailed reporting on households served that enables an assessment of grantee performance in promoting the housing stability of program beneficiaries. Expenditure reports are not applicable. HUD field offices conduct annual risk assessments of all program grantees to identify and target program compliance monitoring to be conducted during the federal fiscal year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. OMB Circular A-133 Section 220 outlines the standards for the frequency of audits which should be performed annually, unless the grantee's project sponsor is a state or local government that is required by constitution or statute to conduct a biennial audit.

Auditees shall comply with 24 CFR 85 (for governmental units) or Part 84 for private non-profit organizations.

**Records:**

HOPWA grantees must ensure that program records are maintained for a four-year period to document compliance with program requirements. Grantees must maintain current and accurate data on the race and ethnicity of program participants.

**Account Identification:**

86-0308-0-1-604.

**Obligations:**

(Formula Grants) FY 10 \$335,000,000; FY 11 est \$335,000,000; and FY 12 est \$335,000,000 - The enacted HOPWA FY2010 appropriation was \$335,000,000. FY2011 was \$334,330,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final Rule at 24 CFR 574, as amended; and Consolidated Plan Final Rule at 24 CFR part 91.

**Regional or Local Office:**

None. Designated Community Planning and Development staff in HUD Headquarters and in local field offices as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Will Rudy 451 7th Street, SW Room 7212, Washington, District of Columbia 20410 Email: william.g.rudy@hud.gov Phone: 202-402-1934 Fax: 202-402-9313

**Website Address:**

<http://www.hud.gov/offices/cpd/aidshousing>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For competitive grants, the Department's SuperNOFA (Notice of Funding Availability) establishes the rating criteria and factors governing the submission of grant applications.

**14.246 COMMUNITY DEVELOPMENT BLOCK GRANTS/BROWNFIELDS ECONOMIC DEVELOPMENT INITIATIVE**

(BEDI; Section 108)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing & Community Development Act of 1974, as amended, Public Law 93-383, 42 U.S.C 5308(q).

**OBJECTIVES:**

To return Brownfields to productive economic use by assisting units of general local government in carrying out economic development projects on contaminated land or buildings. BEDI grants are designed to enhance the security of loans guaranteed under the Section 108 program or improve the viability of projects financed with Section 108 funds.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be used for any activity eligible under Section 108(a) of the Housing and Community Development Act of 1974, except that fiscal year 2008/09 grant funds may not be used to fund reserves. Grant funds may only be used in conjunction with a new, that is, not yet approved, Section 108 Loan for the same project.

**Applicant Eligibility:**

Units of general local government eligible to receive Community Development Block Grant funds.

**Beneficiary Eligibility:**

The principal beneficiaries are low and moderate income persons.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals may only be submitted in response to competitions announced in a Federal Register publication. The Federal Register publication of a Notice of Funds Availability (NOFA) will detail the purpose of each separate program, the application deadlines, the funds available for each competition, the submission requirements and the competitive factors that will be considered in awarding grants.

**Award Procedure:**

Competitive, based upon factors published in a Federal Register NOFA or posted on HUD.GOV.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Public award announcements made after completion of grant competition.

**Appeals:**

From 120 to 180 days. HUD will provide post announcement debriefing upon request. HUD has authority to correct substantive errors, which may change competitive ranking of application.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 100%. Must be used in conjunction with a Section 108 Loan Guarantee and must be matched at a minimum of \$1:\$1 of BEDI to Section 108.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects should be completed within a five year period. Funds would be accessed by line of credit in the same ratio as the amount of BEDI grant funds compared with the amount of Section 108 Loan funds committed by the applicant for the project. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual reports of use of funds as part of Grantee's Community Development Block Grant annual report. Program participants are covered by standard federal cash transaction reports applicable to the Community Development Block Grant (CDBG) program. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is required using performance logic models required to be submitted with application.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The applicant must maintain original source records with regard to expenditures of funds for authorized program activity as well as records on subrecipient and activity eligibility, national objectives, financial management, citizen

participation, relocation, environmental impact, labor standards, equal opportunity and other requirements set forth in the regulations.

**Account Identification:**

86-0314-0-1-451 - Appropriation Code for Brownfields; 86-0162-0-1-451 - Appropriation Code for EDI.

**Obligations:**

(Project Grants) FY 10 \$5,750,000; FY 11 est \$17,300,000; and FY 12 est \$0 - Brownfields Obligations. (Project Grants) FY 10 \$172,844,000; FY 11 est \$0; and FY 12 est \$0 - EDI Obligations.

**Range and Average of Financial Assistance:**

\$500,000 to \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations are the same as for the Community Development Block Grants found at 24 CFR Part 570.

**Regional or Local Office:**

None. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Robert Duncan, Room 7140, Dept. of HUD, 451 7th Street, SW, Washington, District of Columbia 20410 Email: Robert.Duncan@HUD.GOV Phone: (202) 402-4681.

**Website Address:**

<http://www.hud.gov/offices/cpd/bedi>

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based upon competitive factors contained in the NOFA.

**14.247 SELF-HELP HOMEOWNERSHIP OPPORTUNITY PROGRAM**

(Self-Help Homeownership Opportunity Program-SHOP)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Opportunity Extension Act of 1996, Section 11, as amended.

**OBJECTIVES:**

To facilitate and encourage innovative homeownership opportunities through the provision of self-help housing where the homebuyer contributes a significant amount of sweat equity toward the construction of the dwellings.xxx.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible expenses for program funds are land acquisition and infrastructure improvements, which taken together may not exceed an average of \$15,000 in assistance per dwelling. Additionally, up to 20 percent of the grant amount may be used for administrative costs.

**Applicant Eligibility:**

Funds are awarded competitively to national or regional nonprofit organizations or consortia that have experience in providing self-help housing homeownership opportunities.

**Beneficiary Eligibility:**

Eligible homebuyers are low-income families who are otherwise unable to afford to purchase a dwelling, and who provide significant amounts of sweat

equity or volunteer labor to the development of the dwellings.

**Credentials/Documentation:**

This program is subject to the provisions of 24 CFR part 84 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application Procedure: Applications may be submitted electronically in response to the annual publication of the SHOP NOFA in the Federal Register. The General Section of the NOFA and SHOP NOFA detail the submission requirements.

**Award Procedure:**

Based upon the requirements published in the Federal Register NOFA, respondents are notified of acceptance or rejection.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Leveraging of other public and/or private resources and homebuyer sweat equity and volunteer labor are required to complete housing construction. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is released on an as-needed basis over a 24-month period. For affiliates that develop 5 or more dwellings units, up to a 36-month period. See the following for information on how assistance is awarded/released: Assistance is released on an as-needed basis.

**Reports:**

Quarterly and annual progress reports on construction and expenditures; as well as, final close-out reports. No cash reports are required. Quarterly and annual reports on construction and expenditure progress. Quarterly and annual progress reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The audit requirements in 24 CFR Part 45 (implementing OMB Circular No. A-133) apply.

**Records:**

All records applicable to the program must be kept for three years following close-out.

**Account Identification:**

86-0176-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$26,730,000; FY 11 est \$26,676,540; and FY 12 est \$0 - (NOTE: Amounts reported reflect allocation of new budget authority rather

than obligation amounts.).

**Range and Average of Financial Assistance:**

Four grants were awarded with FY 2010 funds. They ranged from \$866,898 to \$15,369,750. The average grant was \$6,682,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 1,122 homeowners were assisted. Fiscal Year 2011: Funding will provide homeownership opportunities to approximately 1,500 low-income families. Fiscal Year 2012: This program is not projected to be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The statute and SHOP NOFA constitute the regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ginger Macomber 451 7th Street, S.W., Washington, District of Columbia 20410 Email: Ginger.Macomber@hud.gov Phone: 202-708-2684 Fax: 202-708-1744

**Website Address:**

<http://www.hud.gov/offices/cpd/affordablehousing/programs/shop/index.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed according to the rating factor requirements set forth in the SHOP NOFA.

**14.248 COMMUNITY DEVELOPMENT BLOCK GRANTS\_SECTION 108 LOAN GUARANTEES**

(Section 108)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, as amended, Title 24, Part 570, Section Subpart M.

**OBJECTIVES:**

To provide communities with a source of financing for economic development, housing rehabilitation, public facilities, and large scale physical development projects.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

For purposes of determining eligibility, the Community Development Block Grant (CDBG) rules and requirements apply. As with the CDBG program, all projects and activities must either principally benefit low- and moderate-income persons, aid in the elimination or prevention of slums and blight, or meet urgent needs of the community.

**Applicant Eligibility:**

Eligible Applicants include: metropolitan cities and urban counties, i.e., CDBG entitlement recipients; nonentitlement communities that are assisted in their submission of applications by States that administer the CDBG program; nonentitlement communities eligible to receive CDBG funds under the HUD-Administered Small Cities CDBG program; and Insular Areas (American Samoa, Guam, Northern Mariana Islands, and the Virgin Islands). The public entity may be the borrower or it may designate a public agency to be the borrower. Furthermore, HUD's FY 2011 appropriations act continues HUD's authority to provide loan guarantees to States borrowing on behalf of local governments in nonentitlement areas.

**Beneficiary Eligibility:**

The principal beneficiaries are low and moderate income persons.

**Credentials/Documentation:**



Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication Coordination: Preapplication requirements are found in 24 CFR Section 570.704. Presubmission requirements are similar to those applicable for the Community Development Block Grants program. Proposed activities must be consistent with a unit of local government's Consolidated Plan submitted for HUD's Community Planning and Development Programs. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application requirements are found in 24 CFR Section 570.704.

**Award Procedure:**

Upon approval of an application, HUD will issue to the applicant an offer of commitment to guarantee notes or other obligations issued by the applicant or its public agency designee. The commitment will be subject to compliance with applicable requirements and such conditions as HUD may specify in the commitment document. Furthermore, borrowers are required to pledge current and future CDBG funds as security for the loan guarantee. HUD also requires that the loan guarantee be secured with other collateral.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 75 days from submission of complete application to appropriate HUD Field Office.

**Appeals:**

Not Applicable.

**Renewals:**

N/A.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum repayment period for a Section 108 loan is twenty years. Repayment schedules and forms are negotiable. See the following for information on how assistance is awarded/released: Loans funds are advanced under promissory notes or other obligations guaranteed by HUD.

**Reports:**

Consolidated Annual Performance Evaluation Report. Recipients are required to submit reports on cash balances, receipts, and disbursements of guaranteed loan funds and pledged amounts. No progress reports are required. Consolidated Performance Annual Performance Evaluation Report. Grantee must report performance outcomes.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The record keeping requirements of Subpart J of 24 CFR Part 570 apply to entitlement public entities receiving grants under Subpart F of 24 CFR Part 570.

The record keeping requirements of Subpart I of 24 CFR Part 570 apply to State-assisted public entities.

**Account Identification:**

86-0198-0-1-451.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$275,000,000; FY 11 est \$275,000,000; and FY 12 est \$500,000,000

**Range and Average of Financial Assistance:**

In FY 2010, commitments were issued in amounts ranging from \$450,000 to \$30,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 4000. Fiscal Year 2011: 5,000 jobs. Fiscal Year 2012: 10000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 570 Subpart M.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Paul D. Webster, 451 7th Street, SW Room 7180, Washington, District of Columbia 20410 Email: paul.webster@hud.gov Phone: (202) 708-1871 Fax: (202) 708-1798.

**Website Address:**

<http://www.hud.gov/offices/cpd/communitydevelopment/programs/>.

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii; 14.246 Community Development Block Grants/Brownfields Economic Development Initiative

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed against criteria set forth at 24 CFR 570.704.

**14.249 SECTION 8 MODERATE REHABILITATION SINGLE ROOM OCCUPANCY**

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act of 1987, Title IV, as amended.

**OBJECTIVES:**

The Section 8 Moderate Rehabilitation Single Room Occupancy Program provides rental assistance to homeless individuals. Under the program, HUD enters into Annual Contributions Contracts with public housing agencies (PHAs) in connection with the moderate rehabilitation of residential properties that, when rehabilitation is completed, will contain multiple single room dwelling units.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Homeless (single) individuals.

**Applicant Eligibility:**

An eligible applicant is a PHA or private nonprofit organization. Private nonprofits have to contract with a PHA to administer the rental assistance.

**Beneficiary Eligibility:**

Homeless individuals.

**Credentials/Documentation:**

Private nonprofit organizations and public housing agencies will certify to their eligibility. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Any site that would have a significant adverse impact on the human environment will not be eligible for funding. All components of this program are excluded from coverage under E.O.12372. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application package prescribing the specific information that applicants must submit is available from HUD through the annual Continuum of Care Notice of Fund Availability. The standard application form as furnished by HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and makes conditional grant awards to those applications most highly ranked.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing of applications and selection of successful applicants will take place at HUD field offices and Headquarters, HUD Headquarters will make selection. Funds, however, will not be obligated until the technical submission is approved.

**Appeals:**

Applicants may appeal the results of HUD's review and selection process if they believe a HUD error has occurred. Appeals must be in writing to the Assistant Secretary for Community Planning and Development and must state what HUD error the applicant believes has occurred.

**Renewals:**

On an annual basis, dependent on fund availability.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Under the SRO Program, an 11-year Annual Contribution Contract (ACC) is signed by the PHA with HUD. After the ACC is signed, the PHA and owner sign an AHAP and the owner has 12 months from the date of ACC execution to complete rehabilitation on the project. Once the rehabilitation is completed and the PHA inspects the units to ensure compliance with HUD's physical condition standards (PCS), a 10-year Housing Assistance Payments (HAP) Contract is signed between the PHA and project owner. See the following for information on how assistance is awarded/released: HUD award notification letter.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The financial management systems used by governmental entities that are recipients under this program must provide for audits in accordance with 24 CFR 44. HUD may perform further and additional audits as it finds necessary or appropriate.

**Records:**

Each recipient must keep any records and make any reports that HUD may require.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$7,911,060; FY 11 est \$7,893,131; and FY 12 est \$9,695,740

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: There were 13,000 persons served in the program during fiscal year 2010. Fiscal Year 2011: There is no data for this program during fiscal year 2011. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 882, Subpart H Section 8 Moderate Rehabilitation Single Room Occupancy Program for Homeless Individuals, as well as 24 CFR, Part 5, Subparts A, E and F. Program information also available from Community Connections at HUD at (1-800) 998-9999.

**Regional or Local Office:**

See Regional Agency Offices. Designated contact person or monitor for the Section 8 SRO Program in the HUD Field Offices with a Community Planning and Development Division (see Appendix IV of the Catalog for a listing of HUD Field Offices).

**Headquarters Office:**

Robyn Raysor, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, 451 7th Street, SW , Washington, District of Columbia 20410 Email: Robyn.S.Raysor@hud.gov Phone: (202) 708-4300.

**Website Address:**

<http://www.hud.gov/offices/cpd/homeless/programs/sro/index.cfm> and <http://www.hudhre.info>. The hudhre website provides additional detailed instructions on eligibility and process.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed under each Notice of Fund Availability.

**14.251 ECONOMIC DEVELOPMENT INITIATIVE-SPECIAL PROJECT, NEIGHBORHOOD INITIATIVE AND MISCELLANEOUS GRANTS**

(Congressional Grants)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008, Public Law 110-161, The Department of Housing and Urban Development Appropriations Act, 2009, Public Law 111-8, The Consolidated Appropriations Act, 2010, Public Law 111-111-117.

**OBJECTIVES:**

The annual appropriation of funds to the Department and the accompanying Conference Report or Congressional Record accompanying the appropriation set forth grants in a specified amount to designated organizations for the activities specified by Congress.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible activities and restrictions are set forth in the authorizing language enacted by Congress for each grant as well as in the appropriation of Economic Development Initiative-Special Project (EDI-SP) and Neighborhood Initiative (NI) and Miscellaneous grant funds. Funds are also governed by 24 CFR Part 84 and Part 85, as well as by OMB circulars A-122 and A-133.

**Applicant Eligibility:**

The Conference Report or Congressional Record accompanying the annual appropriation of funds to the Department specifies the individual grantees eligible to receive each grant. These typically are nonprofit organizations, units of State or local government and Indian tribes.

**Beneficiary Eligibility:**

Nonprofit organizations, units of State or local government and Indian tribes.

**Credentials/Documentation:**

The Congressional authorization for an individual grant may not specify the intended recipient or may identify the intended recipient by its common rather than legal name. In such cases, organizations may be required to submit documentation (e.g., certificate of incorporation) verifying their eligibility for the grant. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Department invites each organization authorized by Congress to receive a grant to submit an application for grant funds. The Department provides each invited organization with the required application materials.

**Award Procedure:**

Awards are made only to applicants authorized by Congress to receive funds, for activities consistent with the authorized use for each grant and with terms of the relevant fiscal year appropriation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Typically, within 4 months of application submission. All applicants are notified in writing of approval. Applications that cannot be approved, either because the proposed activities are not consistent with the authorized use of the grant or the terms of the appropriation; or the organization is not designated by Congress to receive the grant, may require the applicant to seek an amendment by Congress to the language authorizing the use of grant funds.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Implementation Grants - Funds are typically available for five years following the period of obligation (i.e., typically eight fiscal years). Funds are accessed through an established Line of Credit. See the following for information on how assistance is awarded/released: Grant funds are typically released as project costs are incurred by the grantee, through the Department's Line of Credit Control System (LOCCS).

**Reports:**

Semi-annual and final narrative reports are required. If funds are disbursed to the grantee during a reporting period, a financial status report form is also required. A final financial status report is also required. Semi-annual and final narrative reports are required. If funds are disbursed to the grantee during a reporting period, a financial status report form is also required. A final financial status report is also required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each recipient must maintain records to facilitate audits of funds, disposition of proceeds, costs from all sources, and information on project activities.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Project Grants) FY 10 \$22,088,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$50,000 - \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 84 or Part 85, as applicable; 24 CFR Part 50 or Part 58, as applicable; annual appropriation of funds to the Department and accompanying Conference Report or Congressional Record; Application Kit; Grant Agreement; Certificate of Project Completion and Close-out Agreement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Francis P. McNally, 451 7th Street, SW, Washington, District of Columbia 20912 Email: Francis.P.McNally@hud.gov Phone: (202) 402-7100.

**Website Address:**

<http://www.hud.gov/progdesc/cpdindx.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.252 SECTION 4 CAPACITY BUILDING FOR COMMUNITY DEVELOPMENT AND AFFORDABLE HOUSING****FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

HUD Demonstration Act of 1993, Section 4, Public Law 103-120, 107 Stat. 1148, 42 U.S.C 9816 note.

**OBJECTIVES:**

To provide grants to national community development intermediaries to enhance the capacity and ability of community development corporations and community housing development organizations to carry out community development and affordable housing activities that benefit low-income families and persons. .

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Five organizations, as specified in the authorizing legislation and amendment, are eligible: Living Cities/The National Community Development Initiative, Enterprise Community Partners, Inc. (formerly The Enterprise Foundation), Local Initiatives Support Corporation, Habitat for Humanity International and YouthBuild USA. Current appropriations laws have limited participation to Enterprise Community Partners Inc., Local Initiatives Support Corporation, and Habitat for Humanity International.

The grantees may use the grant for one or more of the following activities relating to capacity building for affordable housing and community development: (1) Training, education, support, and advice to enhance the technical and administrative capabilities of community development corporations (CDCs) and community housing development organizations (CHDOs); (2) Loans, grants, development assistance, predevelopment assistance, or other financial assistance to CDCs and CHDOs to carry out community development and affordable housing activities that benefit low-income families and persons; and (3) Such other activities as may be determined by the grantees in consultation with the Secretary or his designee.

**Applicant Eligibility:**

Five organizations, as specified in the authorizing legislation and amendment, are eligible: Living Cities/The National Community Development Initiative, Enterprise Community Partners, Inc. (formerly The Enterprise Foundation), Local Initiatives Support Corporation, Habitat for Humanity International and YouthBuild USA. Current appropriations laws have limited participation to Enterprise Community Partners Inc., Local Initiatives Support Corporation, and Habitat for Humanity International.

**Beneficiary Eligibility:**

Community Development Corporations and Community Housing Development Organizations.

**Credentials/Documentation:**

This program is subject to the provisions of 24 CFR Part 84 (Uniform Administrative Requirements), OMB Circular A-122 (Cost Principles for Nonprofit Organizations), and OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations). After selection for funding but prior to award, applicants must submit financial and administrative information and certifications to comply with applicable requirements. Applicants also must submit a certification from an Independent Public Accountant or the cognizant government auditor, stating that the applicant's financial management system meets prescribed standards for fund control and accountability. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications may be submitted in response to the annual publication of the Capacity Building Notice of Funding Availability (NOFA) in the Federal Register. The Annual General Section to HUD's NOFA for Discretionary Programs and the Capacity Building for Community Development and Affordable Housing NOFA detail the submission requirements. There is no application kit.

**Award Procedure:**

Based upon the requirements published in the Federal Register NOFA, respondents are notified of acceptance or rejection. Upon selection, the applicant and HUD shall negotiate and execute a grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Each dollar awarded must be matched by three dollars in cash or in-kind contributions obtained from private sources. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The performance period for the capacity building grants is 4 years. Funds must be expended within 4 years of the grant start date. See the following for information on how assistance is awarded/released: Funds are available for draw from a line of credit control system.

**Reports:**

Grantees are required to submit semi-annual and annual performance reports and quarterly Federal Financial Reports (SF425), as well as a final closeout report at the end of the grant. SF425. Semi-annual and annual performance reports. SF425. HUD conducts on-site monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees and sub grantees shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507).

**Records:**

All records applicable to the program must be kept for 3 years following closeout.

**Account Identification:**

86-0176-0-1-604 - Code for FY 10 and FY 11 ; 86-0405-0-1-451 - Code for FY 12.

**Obligations:**

(Project Grants) FY 10 \$49,500,000; FY 11 est \$49,401,000; and FY 12 est \$50,000,000

**Range and Average of Financial Assistance:**

For Fiscal Year 2010 the grant allocations ranged from \$4,950,063.00 to \$25,289,043.00 among three grantees. The average award was \$16,500,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In 2010, there were 794 trainings, 6,060 homes renovated, preserved, or newly constructed, and the total development cost of community development projects funded by CDCs was \$988,355,348. Fiscal Year 2011: In 2011, it is projected that there will be 800 trainings, 6000 homes renovated, preserved or newly constructed, and that the total development cost estimate of community development projects funded by CDCs will be \$1,000,000,000.00. Fiscal Year 2012: In 2012, it is projected there will be 900 trainings, 7,000 homes renovated, preserved or newly constructed, and that the total development cost estimate of community development projected funded by CDCs will be \$1billion.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Karen Daly, 451 Seventh Street, SW , Washington, District of Columbia 20410  
Email: karen.e.daly@hud.gov Phone: (202) 402-5552.

**Website Address:**

<http://www.hud.gov/offices/cpd/about/capacitybuilding.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed according to the rating factor requirements set forth in the Capacity Building for Community Development and Affordable Housing NOFA and the General Section to HUD's NOFAs for Discretionary Programs.

#### **14.259 CPD'S TRANSFORMATION INITIATIVE TECHNICAL ASSISTANCE**

One CPD Integrated Practitioner Assistance System (One CPD) and Core Curricula for Skills-based Training

##### **FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

##### **AUTHORIZATION:**

Department of Housing and Urban Development Appropriations Act, 2010, Public Law 111-117.

##### **OBJECTIVES:**

Under the new Transformation Initiative at HUD, the approach to technical assistance, capacity building and the organization of the TA delivery system itself has been fundamentally changed this year. The new TA structure for CPD named One CPD/CPD Integrated Practitioner Assistance System (One CPD/CPD) will provide grantees with a single cross-program, results-focused demand-response delivery system driven by local needs and administered directly from HUD Headquarters. The following programs are covered under One CPD/CPD: HOME Investment Partnerships and Community Housing Development Organizations (HOME/CHDO), the National Housing Trust Fund, Community Development Block Grant (CDBG), Housing Opportunities for Persons with AIDS (HOPWA), and the Homeless Assistance programs. The purpose of One CPD/CPD program is to provide state and local government and nonprofit recipients of federal community development, affordable housing, and special needs funding with the technical and capacity building assistance needed to successfully carry out CPD programs. The Core Curricula for Skills-based Training will ensure that grantee staff for all of HUD's programs will have the necessary skills and qualifications to successfully carry out their responsibilities. The purpose of the HUD Core Curricula for Skills-Based Training is to develop and deliver training courses and seminars to improve the core skills of grantee staff in the following areas common to many HUD programs: Development Finance, Environmental Review and Compliance, Financial Management and Analysis, Asset Management and Preservation of HUD-Assisted Projects, and Construction and Rehabilitation Management. Providers will work closely in conjunction with HUD program staff to address the skills-based training needs of PIH, CPD, and Housing grantees and their program partners. Eligible applicants seeking funding to provide assistance under both One CPD/CPD and Core Curricula Training programs must submit a separate application for each.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

All successful applicants must operate within the structure of the demand-response system. Under the demand-response system, HUD identifies technical assistance and capacity building needs and prioritizes them based on Departmental, programmatic and jurisdictional priorities. HUD is solely responsible for determining the entities to be assisted, the location, and the nature of the assistance to be provided, which must be part of a previously established HUD TA plan for the area.

##### **Applicant Eligibility:**

Eligible OneCPD Applicants

- A state or unit of general local government;
  - A HOME program participating jurisdiction (PJ);
  - A public housing authority;
  - A public or private nonprofit organization or intermediary, including educational institutions and area-wide planning organizations; or Indian tribes; and
  - For-profit organizations.
- A combination of any of the above applying together as a joint venture.

Core Curricula For Skills-based Training - Eligible Applicants

- Public or private nonprofit organizations or intermediaries, including educational institutions and area-wide planning organizations; and
- For-profit organizations

Additional information is available at the HOME website at <http://www.hud.gov/homeprogram>.

##### **Beneficiary Eligibility:**

Units of State and Local Government will use these funds for training to better serve very-low and low income households.

##### **Credentials/Documentation:**

Applicants that propose to provide HOME TA to HOME participating jurisdictions (PJs) or HOME community housing development organizations (CHDOs) must have a minimum of two technical assistance and capacity building staff on their team who have passed, with a score of 80 or higher, the Certified HOME Program Specialist Regulations training exam (HOME Program certified). This must include at least one in-house staff person for the applicant, or the lead applicant in the case of a joint application, who is HOME Program certified. All TA providers proposing to deliver TA to HOME PJs or CHDOs must be able to document the staff certifications claimed in their application. In addition to the in-house staff, applicants may include HOME Program certified individuals as subcontractors, consultants or contract with other entities that have HOME certified staff, such as local TA providers that may already be operating under previous or existing CD-TA cooperative agreements. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applicants are required to submit a one-page application summary cover page with the application. The one-page application summary must identify which of the four eligible activities (needs assessments, direct TA, materials/tools development (including course development), group learning delivery) does the applicant claim the expertise to provide assistance. The requested funding amount should be based on the number of available staff, the range and quality of their skills and knowledge, and the ability of the applicant to manage these resources to successfully execute multiple TA or capacity building engagements involving several covered programs simultaneously over a two- to three-year period; and the geographic coverage area of TA or capacity building assistance proposed by the applicant (i.e., national, specific regions and/or specific states). Applications submitted through <http://www.grants.gov> must be received by Grants.gov no later than 11:59:59 pm eastern time on the application deadline date.

##### **Award Procedure:**

HUD will send written notifications to both successful and unsuccessful applicants. A notification sent to a successful applicant is not an authorization to begin performance. Upon notification that an applicant has been selected for award, HUD will request additional information to be submitted or may work with the applicant to amend information that was already submitted as part of the application.

##### **Deadlines:**

Not Applicable.

##### **Range of Approval/Disapproval Time:**

Not Applicable.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Annual applications are required for new funding.

##### **Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. No matching funds are required. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Awards will be for a period of 24 months to 36 months, depending on such factors as TA providers experience, performance, geographic coverage, and

skills or expertise. HUD reserves the right to determine the award period based on any or all of these factors. See the following for information on how assistance is awarded/released: After selection for funding but prior to award, applicants must submit financial and administrative information to comply with applicable requirements. These requirements are found in 24 CFR part 84 for all organizations, except states and local governments whose requirements are found in 24 CFR part 85. Cost principles requirements are found at OMB Circular A-122 for nonprofit organizations, OMB Circular A-21 for institutions of higher education, OMB Circular A-87 for states and local governments, and at 48 CFR 31.2 for commercial organizations. Applicants must submit a certification from an Independent Public Accountant or the cognizant government auditor, stating that the applicants financial management system meets prescribed standards for fund control and accountability.

**Reports:**

Awardees will be required to report to the GTR no less often than quarterly unless otherwise specified in the cooperative agreement. As part of this required report to HUD, grant recipients must update the Logic Model (HUD 96010), a post-award required submission, with actual outputs and outcomes achieved, and a narrative explanation of any disparity between projected and actual results. Awardees will be required to report to the GTR no less often than quarterly unless otherwise specified in the cooperative agreement. As part of this required report to HUD, grant recipients must update the Logic Model (HUD 96010), a post-award required submission, with actual outputs and outcomes achieved, and a narrative explanation of any disparity between projected and actual results. Quarterly reports and work plans must be approved. Detailed budget and expense reports are required consistent with established work plans. The GTR will review materials and training evaluations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records which enable HUD to determine whether the grantee has met the requirements for the program and cooperative agreement.

**Account Identification:**

86-0402-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 10 \$27,295,000; FY 11 est \$23,595,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

The Range is between \$100,000 and \$5,094,500. The average is \$1,792,384.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 92 for HOME

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Valerie Piper 451 7th Street, SW  
, Washington, District of Columbia 20410 Email: Valerie.G.Piper@hud.gov  
Phone: (202) 402-4445

**Website Address:**

<http://www.hud.gov/offices/cpd/affordablehousing/programs/home/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.261 HOMELESS MANAGEMENT INFORMATION SYSTEMS TECHNICAL ASSISTANCE**

Homeless Management Information Systems Technical Assistance

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Appropriations Act (Public Law 111-8) of 2010.

**OBJECTIVES:**

The Homeless Management Information Systems, Technical Assistance (HMIS-TA) will provide technical assistance to transfer skills and knowledge needed for grantees, applicants, project sponsors, eligible applicants and eligible project sponsors to achieve the highest level of performance and results for the implementation of local Homeless Management Information Systems (HMIS).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are available to provide technical assistance for homeless programs in the Office of Special Needs Assistance Programs (SNAPS). An organization may not provide assistance to itself. An organization may not provide assistance to another organization with which it contracts or sub-awards funds to carry out activities under the TA award.

**Applicant Eligibility:**

Applicants may partner with other organizations that may serve other geographic areas or bring other expertise to the proposal and submit a collaborative application.

**Beneficiary Eligibility:**

McKinney-Vento Homeless Assistance Program grantees, project sponsors, and applicants for the implementation of local Homeless Management Information Systems (HMIS).

**Credentials/Documentation:**

SNAPS-TA awardees will be required to report to the Government Technical Representative (GTR) on, at a minimum, a quarterly basis unless otherwise specified in the cooperative agreement. As part of the required report to HUD, award recipients must include a completed Logic Model (HUD 96010), which identifies actual outputs and outcomes achieved and a narrative explanation of deviations from projected results to actual results achieved. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

HUD will send written notifications to both successful and unsuccessful applicants. A notification sent to a successful applicant is not an authorization to begin performance. Upon notification that an applicant has been selected for award, HUD will request additional information to be submitted or may work with the applicant to amend information that was already submitted as part of the application.

**Deadlines:**

Jun 07, 2011 to Oct 27, 2011

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards will be for a period of 24 months to 36 months, depending on such factors as TA provider's experience, performance and skills or expertise. HUD reserves the right to determine the award period on any or all of these factors. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Community Planning and Development (CPD) requires monthly reports that describes status of each TA task undertaken. CPD requires monthly reports that detail expenditures for each TA task. CPD monitors performance each month and includes the TA in its Monitoring Risk Analysis process.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Cooperative Agreements) FY 10 \$6,000,000; FY 11 est \$5,988,000; and FY 12 est \$6,000,000

**Range and Average of Financial Assistance:**

HUD has established a \$1,000,000 award minimum for successful SNAPS-TA applications.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: TA funds will improve CoC and HMIS grantee capacity to manage and administer the local HMIS, including structure, data quality, governance, compliance with HMIS Data and Technical Standards, reporting, and performance measurement. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants interested in providing technical assistance to entities participating in HUD's Special Needs Assistance Programs should carefully review the General Section and the information listed in the SNAPS-TA NOFA, including the exceptions to the General Section requirements found in the NOFA.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Michael Roanhouse, Office of Special Needs Assistance Programs, Room 7262, Office of Community Planning and Development, Department of Housing and Urban Development, Washington, District of Columbia 20410 Email: Michael.Roanhouse@hud.gov Phone: (202) 708-1226.

**Website Address:**

<http://www.hudhre.info>

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program; 14.235 Supportive Housing Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS; 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

HUD will review applications and approve grantee proposals based on criteria established in the forthcoming notice.

**14.263 RURAL INNOVATION FUND**

Rural Fund

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

The Consolidated Appropriations Act, 2010., Public Law 111-117.

**OBJECTIVES:**

To address the problems of concentrated rural housing distress and community poverty.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Assistance may be used for a wide range of innovative housing and economic development activities that address the problems of concentrated rural housing distress and community poverty.

**Applicant Eligibility:**

Applicants are limited by law to Federally recognized Indian tribes, State housing finance agencies, State community and/or economic development agencies, local rural nonprofits and community development corporations.

**Beneficiary Eligibility:**

Beneficiaries are typically lower-income families and households and businesses that are the result of the applicant's program undertaken to address the problems of concentrated rural housing distress and community poverty.

**Credentials/Documentation:**

OMB Circular A-87 applies to local governments and A-122 Applies to non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular A-102 applies to governmental entities and is codified in HUD's regulations at 24 CFR Part 85. OMB Circular A-110 is applicable to non-profit entities and is codified in HUD's regulations at 24 CFR Part 84.

**Award Procedure:**

The Rural Fund program is competitive. HUD posts a Notice of Funding Availability (NOFA) on its website HUD.GOV. Applicants submit applications through Grants.Gov. HUD reviews rates applications against selection criteria. All applications are rank ordered consistent with the NOFA. Awards are made following the completion of the competition.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

HUD provides non-selected applicants with a written debriefing following the award announcements. HUD will accept requests to re-review the application if an apparent error was made.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. One of the program's competitive selection criteria provides points to applicants that provide additional sources of funds to carry out the project as evidenced by a firm financial commitment.

This program does not have MOE requirements. Grant awards provide for a 36 month project period.

**Length and Time Phasing of Assistance:**

Assistance is normally available for 36 months. Federal Law limits the availability of funding for approximately 5 years after award. See 31 U.S.C. 1551-1557. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Semi-annual progress reports and reports on accomplishments using the Department's Logic Model. Standard Federal cash reports. HUD Logic Model HUD Form 96010. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

86-0162-0-1-451 - Appropriations FY 10-FY 11-FY 12.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 10 \$24,750,000; FY 11 est \$0; and FY 12 est \$25,000,000 - 2010 is the first fiscal year funds are authorized. No budget request was made for 2011.

**Range and Average of Financial Assistance:**

First year of program, range and average unknown.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Valerie G. Piper 451 7th Street, SW, Room 7136, Washington, District of Columbia 20410 Email: Valerie.G.Piper@HUD.GOV Phone: (202) 402-4445

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are based upon a published Notice of Funding Availability.

**14.264 NEIGHBORHOOD STABILIZATION PROGRAM**

NSP-TA

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Wall Street Reform and Consumer Protection Act of 2010, Executive Order Section 1497, Public Law 111-203.

**OBJECTIVES:**

NSP-TA will be structured and operated as an assessment-based and outcome-focused delivery system with the following objectives: 1) improve grantees' ability to assess conditions in the affordable segment of their local housing market consistent with the jurisdiction's Consolidated Plan and Analysis of Impediments; 2) improve grantees' ability to design and appropriately implement neighborhood stabilization programs based upon an accurate assessment of the affordable segment of their local housing market; 3) increase organizational capacity to leverage private and public dollars; and 4) improve grantees' understanding of and compliance with statutory and regulatory requirements.

Under NSPTA, technical assistance will involve the delivery of expert statutory, regulatory, and technical support that improves the program knowledge, skills and capacity of NSP grantees and their partners. Capacity building efforts will be directed at advancing the efficiency and performance of grantees and their partners in the administration of NSP, leveraging of other resources and furthering of key Departmental objectives, including, but not limited to energy efficiency and green building.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

All NSP-TA eligible activities are listed in the Notice of Funding Availability (NOFA) FR-5499-N-01. These include developing new products, such as conducting needs assessments, direct TA and capacity building, tools and products, self-directed and group learning, information management and virtual help desk; or to maintain existing products, such as NSP Resource Exchange, NSP toolkits and resource library documents, NSP training materials.

Applicants must follow all program requirements, regarding training, accessibility (all products and tools will comply with Section 108 requirements), civil rights, fair housing, Section 3 and communication, as specified in the NOFA (FR-5499-N-01) and the General Section (Section III C.5). All awards are subject to funding restrictions at 73 FR 79555, Section IV E of the General Section.

A provider may be required to work under the direction of multiple field offices.

50% of funds must be spent within 2 years of the date funds are available to the grantee for obligation. 100% of funds must be spent within 3 years of the date funds are available to the grantee for obligation.

All successful NSP-TA applicants must operate within the structure of the demand-response system, under which HUD identifies and prioritizes needs. Applicants are assigned to respond to identified needs. Successful applicants may not respond to direct requests for TA from grantees or subgrantees. HUD is solely responsible for determining the entities to be assisted, location, nature of assistance.

Direct TA may not use pass-through to cover costs necessary to provide temporary staffing needs.

An organization may not provide assistance to itself or to another organization with which it contracts or sub-awards funds to carry out activities under the TA award. No fee or profit may be paid to any recipient or contractor of an award. HUD will determine whether salary rates are reasonable and customary.

TA funds may not be used to train HUD staff, but HUD staff can be present to monitor and carry out oversight responsibilities.

Applicants must follow all program requirements as stipulated in the NOFA FR-5499-N-01.

**Applicant Eligibility:**

The applicant must meet the threshold requirements of the General Section, including the Civil Rights threshold in Section III.C.

NSP TA applicants are encouraged to partner with other organizations that may serve other geographic or programmatic areas or bring other subject matter expertise to the proposal or bring expertise through use of subcontractors or consultants. Any organization participating as a joint applicant in a single application may not submit a separate application of its own. Each joint application must designate one organization as the lead entity who submits the application and executes the cooperative agreement with HUD and assumes responsibility for the award. The selected applicant enters into a separate agreement with each organization that is part of the joint application. Further indications are specified in the NOFA FR 5499-N-01.

HUD will not consider an application from an ineligible applicant.



Applicants must have a minimum of one TA and capacity building staff on their team who has passed (score 80 or higher) the Certified HOME Program Specialist-Regulations training exam.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

Applicants need to obtain a Duns and Bradstreet Universal Numbering System (DUNS) number (Refer to General Section III C.2.b) and submit other documentation as described in the Notice of Funding Availability (NOFA) FR-5499-N-01 in order to receive an award from HUD. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit all materials electronically via grants.gov or have requested a waiver, including all required forms as specified in the NOFA (FR-5499-N-01). All applicants requesting NSP-TA must be in compliance with the applicable threshold requirements found in the General Section and the eligibility requirements listed in Section III of the NOFA to be reviewed, scored, and ranked. Applications that do not meet these requirements and applications received after the deadline will be considered ineligible for funding. Applicants will have 14 calendar days in which to provide missing information requested by HUD.

**Award Procedure:**

If the grantee makes a complete submission within the established deadlines, HUD will review the application to determine whether it meets threshold eligibility requirements. Then HUD will review and assign scores to applications using 3 weighted factors specified in the NOFA FR-5499-N-01 including applicant's capacity and relevant experience; soundness of approach; program evaluation and achieving results. Rated applications will be listed in ranked order. Those within the fundable range may then be funded. HUD will determine the amount awarded based on several factors outlined in the NOFA. After selection for funding but prior to award, applicants must submit financial and administrative information to comply with applicable requirements, as stated in NOFA FR-5499-N-01.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. HUD will send written notifications to successful and unsuccessful applicants. Selected applicants must provide HUD with a written Code of Conduct, Central Contractor Registration Requirement, and other requirements, as outlined in the NOFA FR-5499-N-01. HUD requires that all selected applicants participate in negotiations to determine the specific terms of the cooperative agreement, including the budget.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards will be for a period of 24 to 36 months, depending on factors outlined in the NOFA.  
50% of the funds must be spent within 2 years of the date funds become available for obligation; 100% of funds must be spent within 3 years of the date funds become available for obligation. See the following for information on how assistance is awarded/released: Assistance is released on a reimbursement

basis through electronic funds transfer.

**Reports:**

Grantees report budgets, obligations and expenditures, as well as outputs, outcomes, and a narrative explanation of deviations from projected results to actual results achieved on a quarterly basis in the Disaster Recovery Grant Reporting System (DRGR), unless otherwise specified in the cooperative agreement.  
Grantees will be required to comply with Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). No cash reports are required. Grantees submit monthly reports on billing and activities, unless otherwise specified in the cooperative agreement, and in DRGR on a quarterly basis. No expenditure reports are required. Government Technical Monitors and Government Technical Representatives are required to monitor performance and expenditures periodically.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records applicable to the assistance project must be kept for five years following the submission of the final expenditure report or until all audit findings have been resolved, according to the cooperative agreements close out information.

**Account Identification:**

86-0344-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$1,000,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations for Community Development Block Grants, 24 CFR 570; Wall Street Reform and Consumer Act of 2010; Notice of Funding Availability for FY2011 Neighborhood Stabilization Program Technical Assistance FR-5499-N-01; HUD Strategic Plan, FY 2010-2015; Opening Doors: The Federal Strategic Plan for Preventing and Ending Homelessness; National HIV/AIDS Strategy for the U.S.; and published federal register notices.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Holly A. Kelly, 451 7th ST. SW, Room 7218, Washington, District of Columbia 20410 Email: holly.a.kelly@hud.gov Phone: (202) 402-6324 Fax: (202) 619-5979.

**Website Address:**

<http://www.hud.gov/offices/cpd/communitydevelopment/programs/neighborhoodsp/nspta.cfm>

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are reviewed according to the 3 following factors as outlined in the NOFA: applicant's capacity and relevant experience (60 points), soundness of

approach (25 points), program evaluation and achieving results (15 points). Breakdowns of weighted factors within each factor are listed in the NOFA FR-5499-N-01.

#### **14.311 SINGLE FAMILY PROPERTY DISPOSITION**

##### **FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

##### **AUTHORIZATION:**

National Housing Act, as amended 12 U.S.C. 1710, Sections 203(b), 203(k), 204, 24 CFR 291.

##### **OBJECTIVES:**

To sell the inventory of HUD-acquired properties in a manner that expands home ownership opportunities, strengthens neighborhoods and communities, and ensures a maximum return to the FHA mortgage insurance fund.

##### **TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

##### **USES AND USE RESTRICTIONS:**

The Single Family Property Disposition Program is the marketing and sale of one to four unit properties acquired by HUD after foreclosure of an FHA-insured mortgage. Within the general program there are special disposition programs through which a portion of the property inventory is sold. These programs are referred to collectively as the Good Neighbor Initiatives and include Good Neighbor Next Door Sales program for law enforcement officer, teachers and firefighters/emergency medical technicians, Discount Sales to Nonprofits and Local Governments program and Dollar HOME Sales to Local Governments program. Information for each of these programs is covered separately. The majority of foreclosed one to four unit properties are sold through the general disposition program. HUD contracts with private companies to manage and market the properties. Properties are listed at HUD's website located at <http://hudhomestore.com/HudHome/Index.aspx>, where you will be directed to the listings for your state. The listings provide the appraised value of the property, the property address, a brief description of the property and access to a Property Condition Report prepared by the contractor. Complete information explaining the sales process and earnest money requirements is also available. Bids must be submitted electronically by a real estate broker. An earnest money deposit is required with each bid submitted. Special opportunities are available for bidders who intend to occupy the purchased property as their personal residence. Properties not purchased during this Exclusive Listing Period are then available for the general public, including investors, during an Extended Listing Period. FHA financing may be available for purchasing many homes, including the FHA 203(k) and 203 Special (k) program providing a loan to purchase a property and pay for repairs or improvements as permitted by FHA rules. Interested persons should contact their FHA approved lender. Refer to <http://www.hud.gov/ll/code/llplcrit.html> for assistance in locating a lender.

##### **Applicant Eligibility:**

Local Governments and Nonprofit Organizations: HUD contractors in the specific area should be contacted regarding eligibility requirements. Contact HUD at Toll free: (800) CALL FHA or (800) 225-5342 for a listing of nationwide HUD contractors. FHA Insured Financing: Generally, anyone who has a satisfactory credit rating; enough cash to close the loan; sufficient, steady income to make the monthly payments without difficulty; and who will live in the home can be approved for an FHA insured mortgage. Income is only one of several factors that apply in the lending process. Interested buyers should contact their lender for more information.

##### **Beneficiary Eligibility:**

Individual, governmental and organizational homebuyers.

##### **Credentials/Documentation:**

Nonprofit Organizations must have IRS 501(c)(3) status. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HUD homes are managed and marketed by private contractors. A list of contractors and the areas each serves may be found at <http://www.hud.gov/offices/hsg/sfh/reo/mm/mminfo.cfm>. The contractors list all HUD homes for sale on their individual Internet websites. Bids for a particular property can be submitted online. Purchasers must secure financing of their choice. FHA financing may be available. A list of HUD approved mortgage lenders is located at our website, <http://www.hud.gov/ll/code/llslcrit.cfm>.

##### **Award Procedure:**

Properties are generally sold to the highest bidder. Direct sales may be made where permitted by regulations.

##### **Deadlines:**

Not Applicable.

##### **Range of Approval/Disapproval Time:**

Varies.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

quarterly. Method of awarding/releasing assistance: quarterly.

##### **Reports:**

Not Applicable.

##### **Audits:**

Not Applicable.

##### **Records:**

Nonprofit organizations purchasing homes at a discount must retain information about the acquisition, rehabilitation and resale of discounted properties. This includes copies of HUD-1 Settlement Statements for the resale and other documents (see <http://www.hud.gov/groups/grantees.cfm>).

##### **Account Identification:**

86-4077-0-3-371; 86-4587-0-3-371.

##### **Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 \$5,263,080,194; FY 11 est \$14,097,299,943; and FY 12 est \$14,807,605,987

##### **Range and Average of Financial Assistance:**

No Data Available.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: As of 9/30/2010, 77,156 properties were sold. Fiscal Year 2011: 70,000. Fiscal Year 2012: 50,000.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

##### **Regional or Local Office:**

None. Contact the appropriate HUD Homeownership Center (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>) or HUD Field Office listed in Appendix IV of the Catalog.

##### **Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342.

##### **Website Address:**

[http://www.hud.gov/offices/hsg/sfh/reo/reo\\_home.cfm](http://www.hud.gov/offices/hsg/sfh/reo/reo_home.cfm)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.313 DOLLAR HOME SALES****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Notice 00-07, dated April 28, 2000 (and subsequent extensions).

**OBJECTIVES:**

To expand HUD's partnership with local governments in helping to foster housing opportunities for low-to-moderate income families and address specific community needs.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Single family homes with appraised values of \$25,000 or less that are acquired through foreclosure of Federal Housing Administration (FHA) insured loans will be available for purchase by local governments at a price of \$1 plus closing costs, after the properties have been actively marketed for at least 6 months and remain unsold. The property must be located with the jurisdiction of the purchasing local government with the intent of using the property for a "clear public purpose".

**Applicant Eligibility:**

Local government legally authorized by local law to make the purchase.

**Beneficiary Eligibility:**

Low- to moderate-income families and communities.

**Credentials/Documentation:**

Evidence of authority to purchase. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit HUD-9548, Sales Agreement, stating a purchase price of one dollar (\$1.00) plus closing costs, together with the Addendum to Sales Contract in the form attached to Housing Notice 06-02, as further detailed in Housing Notice 00-07, to HUD by close of the 10-day listing period for a property.

**Award Procedure:**

Evaluation of the documentation required by the application procedure evidenced by HUD's execution of the Sales Agreement and approval of the purchaser's plan for use of the property.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Properties assigned to this program are offered for 10 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

All annual reports submitted by local governments will be maintained by HOC Program Support Staff Director.

**Account Identification:**

86-4070-0-3-371; 86-4072-0-3-371; 86-4077-0-3-371; 86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Reported Under 14.311.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD Homeownership Center listed in Appendix IV of the Catalog.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/reo/goodn/dhmbout.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.314 ASSISTED LIVING CONVERSION FOR ELIGIBLE MULTIFAMILY HOUSING PROJECTS**

(ALCP)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Section 202b of the Housing Act of 1959, as amended and the Consolidated Appropriations Act, 2010 (Public Law 111-117).

**OBJECTIVES:**

To preserve the current elderly housing stock by converting units with a grant into Assisted Living Facilities (ALFs) for the frail elderly, as defined in Section 232(B)(6) of the National Housing Act and 202(k). The program is expected to promote aging in place and prevent premature institutionalization of the target population.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Assisted living facilities (ALFs) are designed to accommodate frail elderly persons and people with disabilities who can live independently but need assistance with activities of daily living (that is, assistance with eating, bathing, grooming, dressing and home management activities.) ALFs must provide support services such as personal care, transportation, meals, housekeeping, and

laundry. Typical funding will cover basic physical conversion of existing project units, as well as related common and services space. The ALCP provides funding for the physical costs of converting some or all of the units of an eligible development into an ALF, including unit configuration, common and services space and any necessary remodeling, consistent with HUD or the State's statute/regulations (whichever is more stringent). There must be sufficient community space to accommodate a central kitchen or dining facility, lounges, recreation and other multiple-areas available to all residents of the project, or office/staff spaces in the ALF. Funding for the supportive services must be provided by the owners, either directly or through a third party.

**Applicant Eligibility:**

Only private nonprofit owners of eligible multifamily assisted housing developments specified in Section 683(2)(B), (C), (D), (E), and (F) (Section 202 projects for the elderly, Rural Housing Section 515 projects receiving Section 8 rental assistance, projects receiving project-based rental assistance under Section 8, projects financed by a below-market interest rate loan or mortgage insured under Section 221(d)(3) of the Housing Act, or housing financed under Section 236 of the National Housing Act) that have been in occupancy for at least five years are eligible for funding. To be eligible, owners must meet the following criteria: (1) Must be in compliance with Loan Agreement, Capital Advance Agreement, Regulatory Agreement, Housing Assistance Payment Contract, Project Rental Assistance Contract, Rent Supplement or LMSA Contract, or any other HUD grant or contract document; (2) Must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a).

**Beneficiary Eligibility:**

Eligible residents who meet the admissions/discharge requirements as established for assisted living by State and local licensing, or HUD frailty requirements under 24 CFR 891.205 if more stringent. The residents must be able to live independently but may need assistance with activities of daily living (that is, assistance with eating, bathing, grooming, dressing and home management activities).

**Credentials/Documentation:**

The assisted living facility must be licensed and regulated by the State (or if there is no State law providing such licensing and regulation, by the municipality or other subdivision in which the facility is located). The application must include a firm commitment for the supportive services to be offered at the ALF as part of the application. The Notice of Funding Availability contains all the necessary information for applicants to apply for the grant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must have contacted the State licensing agency for such a project to determine if the proposed project will meet state licensing requirements. A Supportive Service Plan (SSP) for the services and coordination of the supportive services which will be offered in the ALF must be developed and submitted to the appropriate State or local organization. Applicants must comply with all applicable statutory requirements and statutory requirements under Section 232(b)(6) prior to application submission. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are only accepted in response to the Notice of Funding Availability which is published in the Federal Register each fiscal year. Applicants responding to the NOFA should ensure that their application is complete before submitting it to HUD. Applications must be submitted in accordance with requirements of the NOFA. All applications received by the deadline will be screened for curable deficiencies. After the completeness review, HUD reviews the application to determine whether it meets the threshold requirements. Only those applications that meet all of the threshold

requirements will be eligible to receive an award. Applications submitted in response to the NOFA that are eligible, pass threshold and have a total score of 75 points (or more) are eligible for ranking and selection.

**Award Procedure:**

Applications are reviewed and selected for funding within the funding allocation of the geographical Hub area. At the end of the technical review, all applications will be either rated or technically rejected. If an application meets all program eligibility requirements after completion of the technical review, it will be rated according to the rating selection factors. The number of points that an application receives will depend on the extent to which the application is responsive to the information requested in the selection criteria. The maximum number of points an application may receive under this program is 102.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

A processing schedule is developed for each funding round. Applicants are provided with a decision by the end of the schedule, after approximately 4-6 months from processing start date.

**Appeals:**

From 1 to 15 days. An applicant will have fourteen (14) calendar days from the date of HUD's written notice to appeal a technical rejection. HUD will make a determination on an appeal before finalizing selection recommendations.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This program has no matching requirements. However, owners are required to find the supportive services through other funding sources. See the following for information on how assistance is awarded/released: This program has no matching requirements. However, owners are required to find the supportive services through other funding sources.

**Reports:**

Any change in the owner during the period of the capital advance must be approved by HUD. Performance reports are required every six months in accordance with instructions outlined in the Grant Agreement. No cash reports are required. No progress reports are required. Financial reports are required every six months in accordance with instructions outlined in the Grant Agreement. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. HUD reserves the right to audit the accounts of the owner in order to determine compliance and conformance with HUD regulations and standards.

**Records:**

Regular financial reports are required. Owners must service and maintain records in accordance with acceptable HUD and State requirements and regulations as outlined in the grant agreement.

**Account Identification:**

86-0320-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Reported under program 14.157 for FY 10, FY 11, and FY 12.

**Range and Average of Financial Assistance:**

\$2-6 million average \$4m.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: \$30 million available for grants, approximately 8 projects estimated 168 units. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: \$15 million available for grants, approximately 4 projects, 84 units.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 202(b) of the Housing Act of 1959, Assisted Living Conversion Program Notice of Funding Availability published September 8, 2009 and the Consolidated Appropriations Act, 201 (Public Law 111-117)

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hubs and Program Centers listed at <http://www.hud.gov/localoffices.cfm> or at the Catalog Address Appendix IV.

**Headquarters Office:**

Katina Washington, 451 7th St SW Room 6152, Washington, District of Columbia 20410 Email: [Katina.x.washington@hud.gov](mailto:Katina.x.washington@hud.gov) Phone: (202) 708-3000.

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdesc/alcp.cfm>.

**RELATED PROGRAMS:**

14.157 Supportive Housing for the Elderly; 14.191 Multifamily Housing Service Coordinators

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are in the NOFA.

**14.315 EMERGENCY CAPITAL REPAIR GRANTS FOR MULTIFAMILY HOUSING PROJECTS DESIGNATED FOR OCCUPANCY**

(ECRP)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Section 202b of Title II of the Housing Act of 1959, 12 U.S.C. 1701q-2 and Consolidated Appropriations Act, 2010 (Public Law 111-117).

**OBJECTIVES:**

To provide grants to make emergency capital repairs for eligible housing developments that are designated for occupancy by the elderly .

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Emergency capital repair grants will be used to correct a situation that presents an immediate threat to the life, health and safety of project tenants. Assistance is limited to those projects with emergency problems that are of such a magnitude that the problem poses an immediate threat to the quality of life of the tenants and the continuation of the existing problem could potentially result in an evacuation of the tenants or long-term tenant displacement unless the repairs are made. The maximum amount an owner may apply for is \$500,000. The grant, along with funds from other sources, must remove the emergency condition(s).

**Applicant Eligibility:**

Only private nonprofit owners of eligible multifamily assisted housing developments designated for occupancy by elderly tenants, as specified in Section 683(2)(B), (C), (D), (E), and (F, or G of the Housing and Community Development Act of 1992 (Public Law 102-550, approved October 28, 1992) and are identified as: Section 202 direct loan projects with or without Section 8 rental assistance; Section 202 capital advance projects receiving rental assistance under their Project Rental Assistance Contract (PRAC); Section 515 rural housing projects receiving project-based rental assistance; projects subsidized with Section 221(d)(3) below-market interest mortgage, projects assisted under Section 236 of the National Housing Act; and other projects receiving Section 8 project-based rental assistance. To be eligible, owners must meet the following criteria: (1) Must be in compliance with Loan Agreement, Capital Advance Agreement, Regulatory Agreement, Housing Assistance Payment Contract, Project Rental Assistance Contract, Rent Supplement or LMSA Contract, or any other HUD grant or contract document; (2) Must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders enumerated in 24 CFR 5.105(a)as applicable. The eligible

projects must have had closing on or before January 1, 2005.

**Beneficiary Eligibility:**

Residents of assisted housing projects designated for occupancy by elderly tenants.

**Credentials/Documentation:**

Applicants are provided all necessary information to apply for the grants in the published Federal Register notice. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must comply with all applicable statutory requirements prior to application submission. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A notice is published in the Federal Register each year announcing the availability of funds to potential applicants. Applicants will submit a complete application, in accordance with requirements of the notice published in the Federal Register. HUD staff will review each application to determine whether the application meets the requirements of the notice. At the end of the review, all applications will be either recommended for funding or rejected. If an application meets all program eligibility requirements after completion of the review, the local Multifamily Hub Director will forward a recommendation for funding to HUD Headquarters.

**Award Procedure:**

HUD Headquarters will award the funds, if approved, in accordance with the funding queue established by the date and time of receipt and validation of the applications in [Grants.gov](http://Grants.gov) until the exhaustion of funds.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The Field Offices will have 15 working days from the date and time of receipt of the application to review the application, forward to the Hub and have the Multifamily Hub Director provide a recommendation for approval/disapproval of the funding request to Headquarters.

**Appeals:**

From 1 to 15 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

12 months. See the following for information on how assistance is awarded/released: Based on the percentage of construction completion.

**Reports:**

Performance reports as specified in the ECRP Grant Agreement. Financial reports as specified in the ECRP Grant Agreement. No progress reports are required. Financial and performance reports as specified in the ECRP Grant Agreement. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. HUD reserves the right to audit the accounts of the owner in order to determine compliance and conformance with HUD regulations and standards.

**Records:**

Regular progress and financial reports are required. Owners must service and maintain records in accordance with acceptable HUD and State requirements and regulations.

**Account Identification:**

86-0320-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Reported under program 14.157 for FY 10, FY 11, FY 12.

**Range and Average of Financial Assistance:**

\$19,950 to \$500,000; \$243,433.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 16 projects, 1809 units. Fiscal Year 2011: na. Fiscal Year 2012: est 8 projects, 900 units.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Consolidated Appropriations Act, 2010 (Public Law 111-117) provides funding for grants under section 202b of the Housing Act of 1959 (12 U.S.C. 1701q-2) for conversion of eligible projects to assisted living and for emergency capital repairs as determined by the Secretary of HUD.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub and/or Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Regina Aleksiewicz, 451 7th St SW, Washington, District of Columbia 20410  
Email: [regina.a.aleksiewicz@hud.gov](mailto:regina.a.aleksiewicz@hud.gov) Phone: (202) 708-3000.

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdesc/ecrp.cfm>.

**RELATED PROGRAMS:**

14.157 Supportive Housing for the Elderly; 14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: see HUD.gov for funding announcements. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are listed in the published Federal Register program Notice of Funding Availability (NOFA).

**14.316 HOUSING COUNSELING TRAINING PROGRAM****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Urban Development Act of 1968, as amended.

**OBJECTIVES:**

This program supports, under cooperative agreements with HUD, the delivery of a broad array of training activities for counselors from agencies participating in HUD's Housing Counseling program. The primary objectives of the program are to improve and standardize the quality of counseling provided by housing counselors working with HUD-approved housing counseling agencies and to make training accessible and affordable.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To annually provide one or more housing counseling training grants to qualified organizations. The grant will fund the training of counselors of agencies participating in HUD's Housing Counseling program.

**Applicant Eligibility:**

Applicants must be public or private nonprofit organizations with a least two years of experience providing housing counseling training services nationwide.

**Beneficiary Eligibility:**

Housing Counselors from HUD-approved housing counseling agencies.

**Credentials/Documentation:**

Each applicant is required to submit, for itself and for any organization with which it is partnering for the purpose of this NOFA, a legible copy of the document that supports the applicant's claim to be a nonprofit organization (for

example, a 501(c) letter issued by the IRS). The documentation must contain the official name, address, and telephone number of the legal authority that granted the nonprofit status. Branches or affiliates of the applicant that are part of the proposed work plan must also be nonprofit entities. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The availability of funds (HUD NOFA) is announced on HUD's website, [www.hud.gov](http://www.hud.gov). For a copy of the NOFA, applicants can visit the HUD website ([www.hud.gov](http://www.hud.gov)). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit by the required date the items and forms requested in the NOFA, such as a description of the housing counseling training services to be provided, and indicators by which benefits impact will be measured.

**Award Procedure:**

Applicants will be evaluated competitively and ranked against all other applicants that applied in the same funding category. A funding formula outlined in the NOFA is used to calculate awards. This program is subject to the administrative requirements established in OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments, which was implemented by 24 CFR Part 85; OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations, which was implemented by 24 CFR Part 84; and OMB Circular A-133, Audits of States, Local Governments and Nonprofit Organizations, which was implemented by 24 CFR Parts 84 and 85. Grants awarded under this program are also subject to the cost principles in OMB Circular A-87 for state and local governments and Indian tribal governments and OMB Circular A-122 for nonprofit organizations.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award announcements typically occur 5 months after applications are received.

**Appeals:**

Applicants for housing counseling training grants may appeal their denial of a grant award or the insufficiency of the grant amount to HUD.

**Renewals:**

Grantees must submit a new application and compete through the NOFA each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding assistance is for a discrete period of time, generally 1 year. Grantees invoice HUD on a periodic basis for housing counseling training services delivered. Payments of grant funds are subsequently made to grantees via direct deposit/electronic funds transfer (DD/EFT). Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

As required in the grant cooperative agreement.

**Account Identification:**

86-0156-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$5,000,000; FY 11 est \$5,125,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Average award size is \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 5125000. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia  
20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

**Website Address:**

http://portal.hud.gov/hudportal/HUD?src=/program\_offices/housing/sfh/hcc/hcc\_home

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.319 MULTIFAMILY ENERGY INNOVATION FUND**

Multifamily Energy Innovation Fund

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act of 2010 , Public Law 111-117.

**OBJECTIVES:**

The primary purpose of the Program is to stimulate innovative approaches for increasing the energy efficiency of existing multifamily residential properties that can be replicated by others. HUD expects that outcomes of the Program will include:

- a. Reduced energy consumption in multifamily residential properties, with resulting savings for families, property owners, and in some cases the Federal government, and lower greenhouse gas emissions.
- b. Increased private investment to support energy efficiency in such properties.
- c. Green jobs in construction, property management, and technical analysis (e.g., energy audits, building commissioning), including job opportunities for low-income people.
- d. Acquisition and analysis of data on the costs, benefits, challenges, and opportunities associated with retrofitting such properties.
- e. Approaches for retrofitting such properties that can be scaled up, applied more widely and adopted by other parties.
- f. Approaches that propose solutions to the disparity among the parties when their financial or other interests are not the same, such as the difference in perspective when utilities are paid only by the ownership or only by the tenants, i.e., the so-called split incentives issue.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Awards will be made in each of two different categories, Financing Demonstrations and Applied Research Demonstrations.

--Financing Demonstrations are initiatives that demonstrate innovative methods for financing retrofits of multifamily properties that achieve the criteria described in this NOFA. Financing Demonstrations must offer a plan to achieve both of the following:

- a. Leverage additional capital; and
- b. Test new ways of funding retrofit improvements.

Examples of eligible financing demonstrations are:

- (1) energy retrofit financing vehicles providing investor equity;
- (2) loan loss reserves; interest rate reductions;

- (3) secondary financing; loan guarantees; secured and unsecured loans;
- (4) energy-related revolving loan programs;
- (5) on-bill utility repayment programs or other mechanisms; and
- (6) power purchase agreements, energy performance contracts, or similar financing structures.

--Applied Research Demonstrations are initiatives that demonstrate innovative and scalable methods of defining and implementing a solution to a longstanding barrier to multifamily residential retrofits that is not primarily financial in nature. The barrier could be behavioral, structural, regulatory, or related to availability of information or options. Applied Research Demonstrations must apply a proposed solution to an actual property or group of properties and be applicable to other similar properties. Examples of Applied Research are:  
a. Solutions that provide more information on and greater owner and/or tenant control over energy use;  
b. Solutions that convert properties from master metered/owner paid utilities to individually metered/tenant paid utilities that result in efficiencies and savings, or vice versa; and  
c. Conservation practices and solutions that address the problem of split incentives by creating incentives for parties that promote investment strategies for energy improvements. --Financing Demonstrations are initiatives that demonstrate innovative methods for financing retrofits of multifamily properties that achieve the criteria described in this NOFA.

--Applied Research Demonstrations are initiatives that demonstrate innovative and scalable methods of defining and implementing a solution to a longstanding barrier to multifamily residential retrofits that is not primarily financial in nature. The barrier could be behavioral, structural, regulatory, or related to availability of information or options. Applied Research Demonstrations must apply a proposed solution to an actual property or group of properties and be applicable to other similar properties.

**Applicant Eligibility:**

This program is directed at the multifamily housing market, to catalyze innovations in the residential energy efficiency sector that have promise of replicability and to help create a standardized home energy efficient retrofit market.

**Beneficiary Eligibility:**

Must be related to eligible multifamily housing.

**Credentials/Documentation:**

In the application for funding from this Grant Program, Letters of Commitment are required to provide evidence of funds for matching and leverage. Owners must show evidence of control of subject properties and of managing or directing programs impacting a minimum of 1000 units of affordable housing when required for eligibility. Environmental certifications will be required for properties receiving grant money. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Electronic applications through Grants.gov

**Award Procedure:**

Applications will be rated and ranked in the category of financing demonstration or the category of applied research demonstration. The ratings factors are: Applicants Relevant Experience and Capacity, Soundness of Approach, Matching Funds and Leveraging above the Matching Funds Requirement, Low Income Housing Needs, Sustainable Solutions. Applicants are eligible to apply for and receive up to 2 bonus points related to work to support RC/EZ/ECs.

**Deadlines:**

Oct 14, 2011: see the Notice of Funding. see the Notice of Funding.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Participation in the Energy Innovation Program requires that a successful applicant (Grantee) has matching funds to complement grant funds. The level of funding that an applicant must demonstrate to be considered for participation is as follows:

a. Applicants for Financing Demonstrations must demonstrate that they have acquired matching funds of at least \$2 of private, non-governmental (other than federal, state, local, or tribal) capital for every \$1 requested, and will be required to bring additional matching funds of \$1 for every \$1 loaned at the project level.

b. Applicants for Applied Research Demonstrations must demonstrate that they have acquired matching funds of at least \$1 of private, non-governmental capital (other than federal, state, local, or tribal) for every \$1 requested.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

All awards will be made for a period of performance not to exceed 24 months commencing upon award execution. See the following for information on how assistance is awarded/released: HUD uses the Line of Credit Control System (LOCCS) to release the funds.

**Reports:**

1. All Grantees must report to HUD quarterly, within 30 days of the end of a calendar quarter (3/31, 6/30, 9/30, and 12/31), in formats approved by HUD. If there are fewer than 45 days remaining in the quarter in which the grant agreement documents are signed, then the first quarterly reports will be due 30 days after the second calendar quarter date subsequent to the award date.

Quarterly report requirements are as follows:

a. Report on the status of the milestones in the Work Plan, comparing the schedules for milestone completion and expenditures to actual activity.

b. Report on the dollar amount of funds expended to date, the amount of sub-awards made, and the amount of funds remaining. The report must provide information for total expended, federal dollars expended, and for non-federal funds expended. Grantees will submit an expanded and updated the Sources and Uses to present this information.

c. Report on Program Income as per applicable program income rules as stated in the terms and conditions of the grant agreement.

d. For Financing Demonstrations only awards that create a revolving loan fund report on matching dollars for grant activities at the project loan level. Provide information sufficient to demonstrate compliance with the requirement for a property owner to utilize \$1 of matching funds for every \$1 of financing borrowed from the Grantees revolving loan fund.

e. Report to address management questions. HUD is interested in understanding and reporting on the effects of the grant activities on the macro level. Therefore, the fourth quarterly report for each funding year shall be an annual report and shall include regular quarterly reporting described above plus the following additional information. The Grantee will report on:

(1) The number of units and the number of properties receiving energy retrofits.

(2) The energy consumption and costs prior to retrofit in properties receiving energy retrofits.

(3) Specific retrofit measures being applied.

(4) Estimated and actual costs of the retrofit measures.

(5) Energy consumption reductions anticipated and, when completed, as achieved after project retrofits.

(6) Financial savings from improved energy efficiency for the property and for residents.

(7) Financial structures utilized to finance energy improvements and the associated transaction costs.

2. Final report. The final report to HUD is due 60 days after the end of the project period. As part of the final report, the Grantee will provide all closeout documents requirement by HUD. The report will provide a final summary of program activities and outcomes including:

a. A review of actual outcomes compared to anticipated outcomes. The review should refer to the original problem statement, methodology, and replicability discussions provided in the application abstract and compare the outcomes of

the Program activity to the original expectations.

b. A discussion of lessons learned, including consideration of anticipated and unanticipated problems and solutions.

c. A discussion of the benefits that resulted from the Program activity.

3. Report to address Section 3 requirements. 24 CFR Part 135 Subparts B and E-direct reporting and recordkeeping requirements for Section 3 and such reports should be submitted to HUD as part of the quarterly reporting.

4. Reports required for release of HUD funds. Grantees are required to have HUD approval before making any withdrawal of grant funds from the eLOCCS system. No cash reports are required. All Grantees must report to HUD quarterly, within 30 days of the end of a calendar quarter (3/31, 6/30, 9/30, and 12/31), in formats approved by HUD. If there are fewer than 45 days remaining in the quarter in which the grant agreement documents are signed, then the first quarterly reports will be due 30 days after the second calendar quarter date subsequent to the award date. Quarterly report requirements are as follows:

a. Report on the status of the milestones in the Work Plan, comparing the schedules for milestone completion and expenditures to actual activity.

b. Report on the dollar amount of funds expended to date, the amount of sub-awards made, and the amount of funds remaining. The report must provide information for total expended, federal dollars expended, and for non-federal funds expended. Grantees will submit an expanded and updated the Sources and Uses to present this information.

c. Report on Program Income as per applicable program income rules as stated in the terms and conditions of the grant agreement.

d. For Financing Demonstrations only awards that create a revolving loan fund report on matching dollars for grant activities at the project loan level. Provide information sufficient to demonstrate compliance with the requirement for a property owner to utilize \$1 of matching funds for every \$1 of financing borrowed from the Grantees revolving loan fund.

e. Report to address management questions. HUD is interested in understanding and reporting on the effects of the grant activities on the macro level. Therefore, the fourth quarterly report for each funding year shall be an annual report and shall include regular quarterly reporting described above plus the following additional information. The Grantee will report on:

(1) The number of units and the number of properties receiving energy retrofits.

(2) The energy consumption and costs prior to retrofit in properties receiving energy retrofits.

(3) Specific retrofit measures being applied.

(4) Estimated and actual costs of the retrofit measures.

(5) Energy consumption reductions anticipated and, when completed, as achieved after project retrofits.

(6) Financial savings from improved energy efficiency for the property and for residents.

(7) Financial structures utilized to finance energy improvements and the associated transaction costs.

2. Final report. The final report to HUD is due 60 days after the end of the project period. As part of the final report, the Grantee will provide all closeout documents requirement by HUD. The report will provide a final summary of program activities and outcomes including:

a. A review of actual outcomes compared to anticipated outcomes. The review should refer to the original problem statement, methodology, and replicability discussions provided in the application abstract and compare the outcomes of the Program activity to the original expectations.

b. A discussion of lessons learned, including consideration of anticipated and unanticipated problems and solutions.

c. A discussion of the benefits that resulted from the Program activity.

3. Report to address Section 3 requirements. 24 CFR Part 135 Subparts B and E-direct reporting and recordkeeping requirements for Section 3 and such reports should be submitted to HUD as part of the quarterly reporting.

4. Reports required for release of HUD funds. Grantees are required to have HUD approval before making any withdrawal of grant funds from the eLOCCS system. No expenditure reports are required. All Grantees must report to HUD quarterly, within 30 days of the end of a calendar quarter (3/31, 6/30, 9/30, and 12/31), in formats approved by HUD. If there are fewer than 45 days remaining in the quarter in which the grant agreement documents are signed, then the first quarterly reports will be due 30 days after the second calendar quarter date subsequent to the award date. Quarterly report requirements are as follows:

a. Report on the status of the milestones in the Work Plan, comparing the schedules for milestone completion and expenditures to actual activity.



b. Report on the dollar amount of funds expended to date, the amount of sub-awards made, and the amount of funds remaining. The report must provide information for total expended, federal dollars expended, and for non-federal funds expended. Grantees will submit an expanded and updated the Sources and Uses to present this information.

c. Report on Program Income as per applicable program income rules as stated in the terms and conditions of the grant agreement.

d. For Financing Demonstrations only awards that create a revolving loan fund report on matching dollars for grant activities at the project loan level. Provide information sufficient to demonstrate compliance with the requirement for a property owner to utilize \$1 of matching funds for every \$1 of financing borrowed from the Grantees revolving loan fund.

e. Report to address management questions. HUD is interested in understanding and reporting on the effects of the grant activities on the macro level. Therefore, the fourth quarterly report for each funding year shall be an annual report and shall include regular quarterly reporting described above plus the following additional information. The Grantee will report on:

(1) The number of units and the number of properties receiving energy retrofits.  
(2) The energy consumption and costs prior to retrofit in properties receiving energy retrofits.

(3) Specific retrofit measures being applied.

(4) Estimated and actual costs of the retrofit measures.

(5) Energy consumption reductions anticipated and, when completed, as achieved after project retrofits.

(6) Financial savings from improved energy efficiency for the property and for residents.

(7) Financial structures utilized to finance energy improvements and the associated transaction costs.

2. Final report. The final report to HUD is due 60 days after the end of the project period. As part of the final report, the Grantee will provide all closeout documents requirement by HUD. The report will provide a final summary of program activities and outcomes including:

a. A review of actual outcomes compared to anticipated outcomes. The review should refer to the original problem statement, methodology, and replicability discussions provided in the application abstract and compare the outcomes of the Program activity to the original expectations.

b. A discussion of lessons learned, including consideration of anticipated and unanticipated problems and solutions.

c. A discussion of the benefits that resulted from the Program activity.

3. Report to address Section 3 requirements. 24 CFR Part 135 Subparts B and E-direct reporting and recordkeeping requirements for Section 3 and such reports should be submitted to HUD as part of the quarterly reporting.

4. Reports required for release of HUD funds. Grantees are required to have HUD approval before making any withdrawal of grant funds from the eLOCCS system.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Recipients should maintain records of all financial transactions, including salaries, expenses, and contracting records.

#### **Account Identification:**

86-0401-0-1-272.

#### **Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$0; and FY 12 est \$24,750,000 - This is a competitive funding program with FY2010 money expected to be obligated in FY2012.

#### **Range and Average of Financial Assistance:**

We expect to make awards ranging from \$2.5 to \$7 million. For the total amount we expect to make between five and 10 awards.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The guidelines are in the Notice of Funds Availability.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Beverly N. Rudman 451 7th street SW  
Room 6230, Washington, District of Columbia 20410 Email:  
beverly.n.rudman@hud.gov Phone: 202-402-8395

#### **Website Address:**

<http://www.hud.gov>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The Notice of Funds Availability (NOFA) provides the selection criteria for scoring that is used for rating and ranking. An excerpt from the NOFA follows:  
-Financing Demonstrations. The maximum number of points to be awarded for the Multifamily Energy Pilot Financing Demonstrations is 100. The minimum score for an application to be considered for funding is 75 points. The Program is subject to bonus points, as described in the General Section requirements for FY2010. Two bonus points may be awarded for work that benefits an RC/EZ/EC.

Rating Factor 1: Applicants Relevant Experience and Capacity

Rating Factor 2: Soundness of Approach

Rating Factor 3: Matching Funds and Leveraging above the Matching Funds Requirement

Rating Factor 4: Low Income Housing Needs

Rating Factor 5: Sustainable Solutions.

-Applied Research Demonstrations. The maximum number of points to be awarded for the Multifamily Energy Pilot Applied Research is 100. The minimum score for an application to be considered for funding is 75 points. The Program is subject to bonus points, as described in the General Section requirements for FY2010. Two bonus points may be awarded for work that benefits an RC/EZ/EC.

Rating Factor 1: Applicants Relevant Experience and Capacity

Rating Factor 2: Soundness of Approach (

Rating Factor 3: Leveraging Funds above the Matching Funds Requirement

Rating Factor 4: Low Income Housing Needs

Rating Factor 5: Sustainable Solutions.

#### **14.321 FHA TECHNICAL ASSISTANCE TRAINING TRANSFORMATION INITIATIVE**

FHA Technical Assistance Training Transformation Initiative

#### **FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

#### **AUTHORIZATION:**

Consolidated Appropriations Act, Title 2010, Part 111-117.

#### **OBJECTIVES:**

The purpose of this requirement is to provide training for direct technical assistance to FHA's industry and housing partners in the areas of Originations, Compliance and Servicing to give a comprehensive and consistent understanding of policies, procedures, and goals with respect to FHA's SF mortgage insurance programs, housing counseling requirements, special REO programs, and RESPA requirements; and to mitigate counterparty risk to the FHA insurance fund.

#### **TYPES OF ASSISTANCE:**

Training

#### **USES AND USE RESTRICTIONS:**

Funds available for technical assistance of capacity building.

**Applicant Eligibility:**

Technical assistance and capacity building.

**Beneficiary Eligibility:**

FHA industry partners.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Direct 8(a) award to qualified vendors.

**Award Procedure:**

Direct 8(a) award to qualified vendors.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

1 year contract award.

**Appeals:**

Not Applicable.

**Renewals:**

2 one-year option periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The contract term is one year with 2 one-year options. See the following for information on how assistance is awarded/released: Monthly invoicing to receive firm-fixed price contract award.

**Reports:**

monthly status reports with invoicing required. Monthly status reports with invoicing required. Monthly status reports with invoicing required. Monthly status reports with invoicing required. Bi-annual reporting required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Bi-annual progress reporting as well as overall contractual monitoring by GTM, GTR and contracting officer.

**Records:**

Overall vendor performance and deliverable records.

**Account Identification:**

86-0402-0-1-451.

**Obligations:**

(Training) FY 10 \$0; FY 11 est \$3,200,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jane E. Hall 1670 Broadway, Denver, Colorado 80202 Email: jane.e.hall@hud.gov Phone: (303) 675-1634

**Website Address:**

http://www.hud.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.322 TENANT RESOURCE NETWORK PROGRAM**

TRN

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Section 514 of the Multifamily Assisted Housing Reform and Affordability Act of 1997 (MAHRA).

**OBJECTIVES:**

The purpose of the Tenant Network Resource (TRN) Program is to make grants to applicant organizations to assist, inform, educate and engage tenants of eligible project-based Section 8-assisted properties regarding their rights, responsibilities and options in response to a property owners filing a notice of Opt-Out or mortgage prepayment, in response to a second consecutive Below 60 score of the property from the HUD Real Estate Assessment Center (REAC), or in anticipation of a maturing mortgage on the property within 24 months of publication of this notice. The program aims to engage tenants in efforts to preserve eligible properties as affordable housing, and to provide tenants with information on their own rights and responsibilities based on 24 CFR Part 245 and guidance in HUD handbook 4381.5.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Applicants shall engage in required and optional outreach activities as described in the program Notice of Funding Availability (NOFA). The application will list identified properties, i.e. those TRN-eligible properties the applicant intends to serve, chosen from the list published with the program NOFA. The applicant may add newly eligible properties to the list during the grant term, with prior approval from HUD. Required outreach, described in the program NOFA is to be performed at all identified properties.

**Applicant Eligibility:**

Eligible applicants are non profit organizations with current IRS 501(c)(3) tax-exempt status. Eligible applicants shall demonstrate a minimum of five years of tenant outreach and organizing work, and may not have an identity of interest with any owner or management entity of any property where TRN activities are proposed.

**Beneficiary Eligibility:**

Tenants in identified TRN eligible properties will ultimately benefit from the program.

**Credentials/Documentation:**

Outlined in program NOFA. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. Specified in program NOFA

**Award Procedure:**

Specified in program NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. See program NOFA and FY 2011 HUD General Section.

**Appeals:**

From 1 to 15 days. See program NOFA and FY 2011 HUD General Section.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Leveraging of non-HUD funds is encouraged.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Period of performance is not to exceed 24 months. See the following for information on how assistance is awarded/released: Monthly vouchers.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

See program NOFA.

**Account Identification:**

86-0303-0-1-604.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$9,980,000; and FY 12 est \$10,000,000

**Range and Average of Financial Assistance:**

200000 to 720000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. See Program NOFA.

**Headquarters Office:**

Claire M. Trivedi 451 7th St SW , Washington, District of Columbia 20410  
Email: claire.m.trivedi@hud.gov Phone: 2027083000

**Website Address:**

<http://www.hud.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.323 EMERGENCY HOMEOWNERS LOAN PROGRAM**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Emergency Homeowners Relief Act of 1975 Title I (12 U.S.C. 2701) ,

amended and reauthorized by the Dodd-Frank Wall Street Reform and Consumer Protection Act (Public Law 111-203), approved July 21, 2010., 12 U.S.C 2701.

**OBJECTIVES:**

To provide assistance to homeowners who are at risk of foreclosure and have experienced a substantial reduction in income due to involuntary unemployment, or underemployment due to an adverse economic or medical condition. HUD will assist homeowners in Puerto Rico and the 32 States otherwise not funded by Treasury's Innovation Fund for Hardest Hit Housing Markets program, based on their relative unemployment measures. Allocated award amounts have been reserved to assist homeowners living in these States.

**TYPES OF ASSISTANCE:**

Direct Loans

**USES AND USE RESTRICTIONS:**

The program offers a declining balance, deferred payment bridge loan (non-recourse, subordinate loan with zero interest) for up to \$50,000 to assist eligible homeowners with payments of arrearages, including mortgages, delinquent taxes, insurance premiums, condominium or homeowners association fees; late fees; and certain foreclosure-related attorneys fee. In addition to payment of arrearages, EHELP funds may also be used to assist eligible homeowners to make up to 24 months of mortgage payments on their mortgage principal, interest, taxes and insurance (PITI), as well as condominium/homeowner association fees, as applicable. Program assistance shall be provided to eligible applicants for a maximum of 24 months, or a maximum of \$50,000, whichever occurs first. EHELP will be administered by designated third party organizations on HUDs behalf and through States that have existing substantially similar mortgage relief assistance programs.

**Applicant Eligibility:**

Only the 32 targeted States and Puerto Rico and residents of these states are eligible to receive assistance under EHELP. States that have been determined by HUD to have substantially similar mortgage relief programs will be awarded funding allocations to administer their programs directly. Guidelines for substantially similar State programs are provided in FR-5454-N-01.

Targeted States are as follows: Texas, New York, Pennsylvania, Massachusetts, Washington, Minnesota, Wisconsin, Missouri, Virginia, Colorado, Maryland, Connecticut, Kansas, Arkansas, Iowa, Louisiana, Utah, Oklahoma, Puerto Rico, Idaho, New Hampshire, New Mexico, Maine, West Virginia, Nebraska, Hawaii, Delaware, Montana, Vermont, Alaska, Wyoming, South Dakota, North Dakota and Puerto Rico.

HUD will assist eligible residents of targeted States that do not have substantially similar mortgage relief programs by offering them direct loans, if they meet the following program criteria: (1) Delinquency and likelihood of foreclosure- Applicant must be at least three months delinquent on the first lien monthly mortgage payment 30 days previous to the commencement of the program; (2) Income Eligibility Limit- Applicants pre-event income must be equal to or less than 120 percent of the Area Median Income (AMI), as determined by HUD and adjusted for family size; (3) Loss of Household Income The applicant has incurred a substantial reduction in income as a result of involuntary unemployment or underemployment due to adverse economic conditions, or medical conditions, and is financially unable to make full mortgage payments; (4) Resumption of Mortgage Payments-there is a reasonable prospect that the homeowner will be able to make the adjustments necessary for a full resumption of mortgage payments within 2 years; and (5) Principal Residence- the mortgaged property is the principal residence of the mortgagor (applicant). Program applicants will be assessed to determine if they meet this eligibility criteria.

**Beneficiary Eligibility:**

Individuals residing in targeted States (list provided above) and Puerto Rico that have delinquent mortgages as a result of involuntary unemployment or underemployment due to an adverse economic or medical condition. Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Program applicants (homeowners) seeking direct loan assistance must provide documented proof of probable foreclosure; income eligibility; income loss and reason; and principle residence.

Guidelines for substantially similar State programs are provided in FR-5454-N-01.

For States receiving allocations through EHLF to administer their mortgage relief programs directly, OMB Circular No. A-87 also applies.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirements.

This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

There is no statutory formula for this program.

Each State allocation was determined based on a formula calculation using unemployment and mortgage delinquencies stats. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit requirements apply to States receiving formula grants under this program. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

There are no audit requirements for direct loan recipients.

**Records:**

No Data Available.

**Account Identification:**

86-0407-0-1-371 - Program Account; 86-4357-0-3-371 - Financing Account.

**Obligations:**

(Direct Loans) FY 10 \$0; FY 11 est \$727,077,364; and FY 12 est \$0. (Information) FY 10 \$0; FY 11 est \$6,900,000; and FY 12 est \$0. (Loan Guarantees/Grants) FY 10 \$0; FY 11 est \$245,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

State allocated amounts range from low \$1,320,547 to high \$135,418,959.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 2700

**Regional or Local Office:**

None. None. Contact HUD Headquarters office provided below.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia 20410 Email: wanda.sampedro@hud.gov Phone: 800-225-5342

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/hcc/ehl/p/ehlphome](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/hcc/ehl/p/ehlphome)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.324 FHA POWERSAVER HOME ENERGY IMPROVEMENT PILOT PROGRAM**

FHA PowerSaver Home Energy Improvement Pilot Program

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

The Consolidated Appropriations Act 2010.

**OBJECTIVES:**

To conduct an Energy Efficient Mortgage Innovation pilot program targeted to the single family housing market.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

Lenders may use grant funds to support costs associated with creating or enhancing staffing to deliver or report on PowerSaver-insured loans; Fund the costs of loan marketing, originating, and/or underwriting; offset costs associated with appraisals and for those lenders that service their own loans, reduce servicing costs.

**Applicant Eligibility:**

none.

**Beneficiary Eligibility:**

none.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Lender participation in the pilot program is voluntary.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Two years from May 2, 2011. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Direct Loans) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Reported under 14.142.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia A. McBarron 451 7th Street, SW  
, Washington, District of Columbia 20410 Email: patricia.a.mcbaron@hud.gov  
Phone: 202-402-5389

**Website Address:**

<http://www.hud.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.400 EQUAL OPPORTUNITY IN HOUSING**

Fair Housing

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

The Fair Housing Act, 42 U.S.C. 3600 et seq.

**OBJECTIVES:**

To provide fair housing throughout the United States and an administrative enforcement system which is subject to judicial review.

**TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

With limited exceptions, no housing offered commercially for sale or rental, may be advertised, sold, leased out, financed or appraised in a manner which discriminates on the basis of race, color, national origin, religion, sex, disability or familial status (the presence of children under the age of 18 in a household or a pregnant woman). In addition, housing providers and others must allow reasonable modifications to units and provide reasonable accommodations when these are necessary to allow a person with a disability full housing rights. Finally, multi-family housing built for occupancy after March 13, 1991, must comply with the Accessibility Guidelines established. Complaints of discrimination are investigated and conciliated. When conciliation is unsuccessful and where investigation indicates reasonable cause to believe that discrimination occurred or is about to occur, complainants may pursue their complaints before an Administrative law judge or in Federal district court (The Department of Justice litigates on behalf of complainants in Federal district court, or HUD litigates on their behalf in the administrative forum). Also conferences and training sessions are held to explain rights and responsibilities under the law to attorneys, developers, the real estate industry and the general public.

**Applicant Eligibility:**

Any aggrieved person, or the Assistant Secretary, may file a complaint based on an alleged discriminatory housing practice because of race, color, religion, sex, familial status, disability, or national origin. The complaint may be filed with the Department of Housing and Urban Development or a State or local fair housing agency with processes, procedures and remedies substantially equivalent to those of the Department, and which the Department has approved.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Complaints may be sent to any HUD Field Office, or to HUD's Washington, DC Headquarters.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Depends upon result of complaint processing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
None.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

86-0340-0-1-751 - Salaries and Expenses Personnel Services; 86-0333-0-1-604 - Salaries and Expenses Executive Direction.

**Obligations:**

(Salaries) FY 10 \$66,618,735; FY 11 est \$69,656,400; and FY 12 est \$70,733,000 - This is for Personnel Services and Appropriation Account 86-0340-0-1-751. (Salaries) FY 10 \$447,202; FY 11 est \$926,144; and FY 12 est \$852,000 - This is for Executive Direction and Appropriation Account 86-0333-0-1-604.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: During Fiscal Year 2010, 2,003 cases were filed with HUD, another 8,153 cases were filed with State and local agencies. Many of these cases were settled, achieving relief for the complainants and commitments to conduct activities that would further fair housing. Settlements by both HUD and the State and local agencies had a total monetary value of approximately \$8,047,394 (does not include HUD ALJ or DOJ closure of HUD complaints). For Fiscal Year 2011, it is estimated that 1,765 cases will be filed with HUD and another 7,286 cases will be filed with State and local agencies. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations implementing the Fair Housing Act, 24 CFR Part 100; "Fair Housing It's Your Right," English (HUD-1686-FHEO); Fair Housing - Complaint Processing, 24 Part 103; Administrative Proceedings Under Section 812 of the Fair Housing Act, 24 CFR Part 180; Consolidated HUD Hearing Procedures for Civil Rights Matters Certification of Substantially Equivalent Agencies, 24 CFR 115; Preamble to Final Rule Implementing Fair Housing Amendments Act of 1988, 54 Federal Register 3232 (1989); CFR Ch I, Subch. A, App II.

**Regional or Local Office:**

None. HUD Fair Housing and Equal Opportunity Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Turner Russell, 451 7th Street, S.W., Room 5226, Washington, Florida 20410  
Email: TurnerRussell@hud.gov Phone: (202) 708-2904.

**Website Address:**

<http://www.hud.gov/complaints/housediscrim.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.401 FAIR HOUSING ASSISTANCE PROGRAM\_STATE AND LOCAL**

(FHAP)

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

The Fair Housing Act 42 U.S.C. 3600 et seq.

**OBJECTIVES:**

To provide assistance to State and local fair housing enforcement agencies for complaint processing, training, technical assistance, education and outreach, data and information systems and other activities that will further fair housing

within the agency's jurisdiction. The intent of the Fair Housing Assistance Program (FHAP) is to build a coordinated intergovernmental enforcement of fair housing laws and provide incentives for States and localities to assume a greater share of responsibility for administering fair housing laws.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

State and local fair housing enforcement agencies in the first year of participation in the FHAP receive a fixed amount of funding to build the capacity of the agency to enforce substantially equivalent fair housing laws. Agencies in the second year and beyond are eligible to receive contributions funding which provides funds for complaint processing, administrative costs, and training associated with the enforcement of a substantially equivalent fair housing law.

**Applicant Eligibility:**

Eligible applicants include State and local government fair housing enforcement agencies administering fair housing laws that have been interim certified by HUD as providing substantially equivalent rights and remedies as those provided by the Fair Housing Act and which have executed formal written Agreements with HUD to process housing discrimination complaints. In determining eligibility, HUD may also take into consideration whether a jurisdiction is already served by a FHAP agency.

**Beneficiary Eligibility:**

Any person or group of persons aggrieved by a discriminatory housing practice because of race, color, religion, sex, handicap, familial status or national origin.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. None.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Certification and Funding of State and Local Fair Housing Enforcement Agencies, Chapter 24, Part 115.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements are executed for one year, they are non-competitive, and provide funding for complaint processing, administrative costs, and training for contribution agencies. Capacity building funds are also provided under a cooperative agreement for a one year period. For detailed program information under each funding component, contact the Fair Housing and Equal Opportunity Region or Headquarters Office. Fixed price cooperative agreements are anticipated to be awarded with payments to be made in accordance with a schedule of dates set out in the cooperative agreements. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

State and local agencies are required to maintain housing discrimination complaint files for a period of one year after closure.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Formula Grants) FY 10 \$25,504,247; FY 11 est \$35,745,109; and FY 12 est \$29,500,000

**Range and Average of Financial Assistance:**

Funding is provided for capacity building, complaint processing, training, and administrative costs.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, FHAP agencies received 8,212 complaints of housing discrimination and completed the investigation of 8,161 such complaints. Of the completed investigations, 2,594 resulted in a conciliation or settlement agreement and 639 resulted in a determination of reasonable cause to believe that discrimination occurred. For those complaints that resulted in a reasonable cause determination, FHAP agencies pursued further enforcement action, including litigation in court or in an administrative hearing. Fiscal Year 2011: No projection available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See 24 CFR Part 115 for regulations on the Certification and Funding of State and local Fair Housing Enforcement Agencies.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Kenneth J. Carroll 451 7th Street, S.W. Room 5206  
, Washington, District of Columbia 20410 Email: Kenneth.J.Carroll@hud.gov  
Phone: 202 402-7044

**Website Address:**

<http://www.hud.gov/offices/fheo/partners/FHAP/index.cfm>.

**RELATED PROGRAMS:**

14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Investigation, conciliation, and litigation of housing discrimination complaints brought under state and local laws that are substantially equivalent to the federal Fair Housing Act. Fiscal Year 2011: Investigation, conciliation, and litigation of housing discrimination complaints brought under state and local laws that are substantially equivalent to the federal Fair Housing Act. Fiscal Year 2012: Investigation, conciliation, and litigation of housing discrimination complaints brought under state and local laws that are substantially equivalent to the federal Fair Housing Act.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding to a state or local agency is contingent on appropriation from Congress and the state or local agency's enforcement of a law that, on its face and in operation, is substantially equivalent to the Fair Housing Act.

**14.408 FAIR HOUSING INITIATIVES PROGRAM**

FHIP

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To develop, implement, carry out, or coordinate programs and/or activities to educate the public about, as well as provide enforcement of, fair housing rights under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Objectives include provisions for strengthening existing fair housing enforcement organizations as well as establishing new ones.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance is provided for projects to prevent or eliminate discriminatory housing practices. Eligible projects and activities must be conducted in accordance with procedures contained in 24 CFR Part 125 and in an annual Notice of Funding Availability. Financial assistance is provided for projects to affirmatively further fair housing conducted by public or private entities. However, fair housing enforcement projects, including those to support the continued development of existing fair housing organizations and to establish new ones, may only be awarded to fair housing enforcement organizations under the Fair Housing Act or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Education and outreach projects may generally be awarded to a wider variety of organizations including public or private or not-for-profit organizations or institutions, or other public or private entities that are working to prevent or eliminate discriminatory housing practices, as well as faith-based community-based organizations and State or local government agencies.

**Applicant Eligibility:**

State and local government agencies, public or private nonprofit organizations or institutions and other public or private entities that are formulating or carrying out programs to prevent or eliminate discriminatory housing practices. Applicants for funding of testing activities must have at least one year of experience in complaint intake, complaint investigation, testing for fair housing violations, and enforcement of meritorious claims. Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Fair housing enforcement organizations and nonprofit groups organizing to build their capacity to provide fair housing enforcement are also eligible applicants.

**Beneficiary Eligibility:**

Any person or group of persons aggrieved by discriminatory housing practices because of race, color, religion, sex, disability, familial status or national origin. Also, any person or group of persons, including landlords and real estate agents, to prevent discriminatory housing practices because of race, color, religion, sex, disability, familial status or national origin.

**Credentials/Documentation:**

Costs for applicants that are private nonprofit entities will be determined in accordance with OMB Circular No. A-122. Costs for applicants that are educational institutions will be determined in accordance with OMB Circular No. A-21. Applicants for enforcement related activities must provide verification of 501(c)(3) status. Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Also, their testing methodology must be approved by HUD before being implemented. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Funds are awarded in accordance with the Notice of Funding Availability. The signing official or designee has the final authority for awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are listed under [www.grants.gov](http://www.grants.gov)

30-60 days.

**Appeals:**

30-60 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods generally ranging from 12 to 36 months. Assistance provided quarterly or as specified in the grant agreement. See the following for information on how assistance is awarded/released: Funds are awarded under the Notice of Funding Availability. Funds are released under funding documents as negotiated under the grant agreement. Funds are released under HUD's financial system as reimbursements for activities completed.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Additionally, State and local governments must submit all reports required pursuant to OMB Circulars A-102 and A-133. Educational institutions and private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Project Grants) FY 10 \$25,961,770; FY 11 est \$76,071,604; and FY 12 est \$42,500,000

**Range and Average of Financial Assistance:**

\$125,000-\$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Myron Newry 451 7th Street, S.W., Room 5224, Washington, District of Columbia 20410 Email: [Myron.P.Newry@hud.gov](mailto:Myron.P.Newry@hud.gov) Phone: (202) 402-7095

**Website Address:**

<http://www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm>.

**RELATED PROGRAMS:**

14.401 Fair Housing Assistance Program\_State and Local

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.416 EDUCATION AND OUTREACH INITIATIVES**

FHIP EOI

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To assist organizations that are regional, local, community based and National based. To develop, implement, carry out, or coordinate programs and/or activities to educate the public about, as well as provide enforcement of fair housing rights under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance is provided for projects to educate the public in order to prevent or eliminate discriminatory housing practices. Eligible projects and activities must be conducted in accordance with procedures contained in 24 CFR Part 125 and in an annual Notice of Funding Availability. Financial assistance is provided for projects to affirmatively further fair housing conducted by public or private entities. Education and outreach projects may generally be awarded to a wider variety of organizations including public or private- not-for-profit organizations or institutions, or other public or private entities that are working to prevent or eliminate discriminatory housing practices. Financial assistance is provided for projects to educate the public in order to prevent or eliminate discriminatory housing practices. Eligible projects and activities must be conducted in accordance with procedures contained in 24 CFR Part 125 and in an annual Notice of Funding Availability. Financial assistance is provided for projects to affirmatively further fair housing conducted by public or private entities. Education and outreach projects may generally be awarded to a wider variety of organizations including public or private- not-for-profit organizations or institutions, or other public or private entities that are working to prevent or eliminate discriminatory housing practices.

**Applicant Eligibility:**

Qualified Fair Housing Enforcement Organizations, Fair Housing Enforcement Organizations, Public or private not-for-profit organizations or institutions, or other public or private entities that are working to prevent or eliminate discriminatory housing practices, and State and local agencies under the Fair Housing Assistance Program.

**Beneficiary Eligibility:**

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**Credentials/Documentation:**

Costs for State and local government units will be determined in accordance with OMB Circular No. A-87. Costs for applicants that are private nonprofit entities will be determined in accordance with OMB Circular No. A-122. Costs for applicants that are educational institutions will be determined in accordance with OMB Circular No. A-21. OMB Circular No. A-87 applies to this program.



**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register. State and local government applicants must use the standard forms as furnished by the federal agency and required by OMB Circular No. A-102. Nonprofit entities and institutions of higher education must use standard forms as furnished by the federal agency.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Two to six months.

**Appeals:**

Two to six months.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods generally ranging from 12 to 18 months. Assistance is provided quarterly or as specified in the grant agreement. See the following for information on how assistance is awarded/released: Grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Additionally, State and local governments must submit all reports required pursuant to OMB Circulars A-102 and A-133. Educational institutions and private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Expenditure reports are not applicable. Quarterly progress reports will be required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Cooperative Agreements) FY 10 \$4,816,916; FY 11 est \$14,043,757; and FY 12 est \$7,700,000

**Range and Average of Financial Assistance:**

\$125,000 to \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No current data available. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office Fair Housing Enforcement Center or Program Operations and Compliance Center: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Myron Newry 451 7th Street, S.W., Room 5224, Washington, District of Columbia 20410 Email: Myron.P.Newry@hud.gov Phone: (202) 402-7095

**Website Address:**

<http://www.hud.gov/offices/fheo/partners.FHIP/fhip.cfm>

**RELATED PROGRAMS:**

14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No current data available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.417 FAIR HOUSING ORGANIZATION INITIATIVES**

FHIP FHOI

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To assist in the organizing of fair housing enforcement in order to develop, implement, carry out, or coordinate programs and/or activities that provide enforcement of, fair housing rights under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Objectives include provisions for strengthening existing fair housing enforcement organizations as well as establishing new ones.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance is provided for projects to prevent or eliminate discriminatory housing practices. Eligible projects and activities must be conducted in accordance with procedures contained in 24 CFR Part 125 and in an annual Notice of Funding Availability. Financial assistance is provided for projects to affirmatively further fair housing conducted by public or private entities. However, fair housing enforcement projects, including those to support the continued development of existing fair housing organizations and to establish new ones, may only be awarded to fair housing enforcement organizations under the Fair Housing Act or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices.

**Applicant Eligibility:**

Qualified Fair Housing Enforcement Organizations or Fair Housing Enforcement Organizations.

**Beneficiary Eligibility:**

Any person or group of persons aggrieved by discriminatory housing practices because of race, color, religion, sex disability familial status or national origin.

Also, any person or group of persons, including landlords or real estate agents, to prevent discriminatory housing practices because of race, color, religion, sex, disability, familial status or national origin.

**Credentials/Documentation:**

Costs for applicants that are private nonprofit entities will be determined in accordance with OMB Circular No. A-122. Applicants for enforcement related activities must provide verification of 501(c)(3) status. Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Also, their testing methodology must be approved by HUD before being implemented. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register. State and local government applicants must use the standard forms as furnished by the Federal agency and required by OMB Circular No. A-102. Nonprofit entities and institutions of higher education must use standard forms as furnished by the Federal agency and required by OMB Circular No. A-110.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the selection criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadline published on [www.grants.gov](http://www.grants.gov) or follow instructions above.

Two to six months.

**Appeals:**

Two to six months.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program has no matching requirements. This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods generally ranging from 12 to 36 months. Assistance provided quarterly or as specified in the grant agreement. See the following for information on how assistance is awarded/released: This assistance is awarded through funding documents and grant agreements obligating documents. Funds are released through HUD's financial system.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Expenditure reports are not applicable. Grantees are assessed on their performance of timely submission of deliverables, the quality

of their submissions and their efficiency in meeting specified timelines for drawing down funds and financial management.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Not applicable

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Project Grants) FY 10 \$2,100,000; FY 11 est \$15,554,997; and FY 12 est \$4,000,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office Fair Housing Enforcement Center or Program Operations and Compliance Center: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Myron Newry 451 7th Street, S.W., Room 5224, Washington, District of Columbia 20410 Email: [Myron.P.Newry@hud.gov](mailto:Myron.P.Newry@hud.gov) Phone: (202) 402-7095

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.418 PRIVATE ENFORCEMENT INITIATIVES**

FHIP PEI

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To assist private and tax exempt fair housing enforcement in the investigation and enforcement of all alleged violations. To develop, implement, and carry out, related activities and enforcement under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Objectives include carrying out testing and other investigative activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds can be used to assist tax exempt non-profit fair housing enforcement organizations in enforcement activities.

**Applicant Eligibility:**

Eligible applicants be other private institutions/organizations with at least one year of enforcement related experience.

Qualified Fair Housing Enforcement Organizations (QFHOs) and Fair Housing Enforcement Organizations.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Also, their testing methodology must be approved by HUD before being implemented. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines may be found at [www.Grants.gov](http://www.Grants.gov) or contact the headquarters or regional office as appropriate for application deadlines.

One to two months.

**Appeals:**

One to two months.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods ranging from 12 to 36 months. See the following for information on how assistance is awarded/released: Assistance is awarded through funding documents and negotiated grant agreements and HUD financial system releases funds based on reimbursement of activities.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Additionally, private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Tax exempt fair housing enforcement organizations. Expenditure reports are not applicable. Quarterly progress

reports will be required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Cooperative Agreements) FY 10 \$19,044,854; FY 11 est \$46,472,850; and FY 12 est \$30,800,000

**Range and Average of Financial Assistance:**

\$325,000-\$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Not available at this time. Funding went out in April. Fiscal Year 2011: No current data available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office Fair Housing Enforcement Center or Program Operations and Compliance Center: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Myron Newry 451 7th Street, S.W., Room 5224, Washington, District of Columbia 20410 Email: [Myron.P.Newry@hud.gov](mailto:Myron.P.Newry@hud.gov) Phone: (202) 402-7095

**Website Address:**

<http://www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm>

**RELATED PROGRAMS:**

14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No current data available. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.420 FAIR HOUSING INITIATIVES PROGRAM ENFORCEMENT TESTING TECHNICAL ASSISTANCE**

ETA

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To assist private and tax exempt fair housing enforcement organizations in the investigation and enforcement of all alleged violations. To develop, and implement tester training, and enforcement under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Objectives also include providing tester guidance and other investigative activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Training of all organizations carrying out fair housing testing and testing activities.

**Applicant Eligibility:**

Organizations with the capability to provide training and have knowledge of testing and testing methodologies. Non-profit tax exempt organization with at least three years of experience in training of large groups.

**Beneficiary Eligibility:**

Qualified fair housing enforcement organizations and fair housing enforcement organizations and others interested in conducting fair housing testing.

**Credentials/Documentation:**

Beneficiaries and applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Also, their testing methodology must be approved by HUD before being implemented. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Two to six months.

**Appeals:**

From 120 to 180 days. Two to six months.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods ranging from 12 to 36 months. See the following for information on how assistance is awarded/released: Grant. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Additionally, private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$300,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program for information on testing

**Regional or Local Office:**

See Regional Agency Offices. Myron Newry, 451 7th Street, S.W. Room 5224, Washington, District of Columbia 204010  
Email: Myron.P.Newry@hud.gov Phone 202-402-7095.

**Headquarters Office:**

Myron Newry, 451 7th Street, S.W., Room 5224, Washington, District of Columbia 20410 Email: Myron.P.Newry@hud.gov Phone: (202) 402-7095.

**Website Address:**

<http://www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm>

**RELATED PROGRAMS:**

14.401 Fair Housing Assistance Program\_State and Local; 14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No current data available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.421 LIMITED ENGLISH PROFICIENCY INITIATIVE**

FHENG

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act of 2010, Public Law 111-117.

**OBJECTIVES:**

To help ensure meaningful access to HUD-related programs, services, and activities by Limited English Proficient (LEP) persons.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance is provided to develop tools and products and deliver seminars that provide assistance to LEP communities in accessing HUD-related programs, services, and activities.

**Applicant Eligibility:**

Eligible applicants must be non-profit organizations engaged in the process of providing meaningful access to HUD-related programs, services, and activities by Limited English Proficient (LEP) persons.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register. State and local government applicants must use the standard forms as furnished by the federal agency and required by OMB Circular No. A-102. Nonprofit entities and institutions of higher education must use standard forms furnished by the federal agency.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

From 120 to 180 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of funding Availability with project periods generally ranging from 12 to 18 months. Assistance is provided quarterly or as specified in the grant agreement. See the following for information on how assistance is awarded/released: Grant. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-113, and reporting under Form HUD 96010. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Cooperative Agreements) FY 10 \$500,000; FY 11 est \$495,000; and FY 12 est \$495,000

**Range and Average of Financial Assistance:**

Approximately \$100,000 per award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1 Non-discrimination in Federally Assisted programs of the Department of Housing and Urban Development - Affectionation of the Title VI of the Civil Rights Act of 1964, "Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient persons," 72 Federal Register 2732.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Pamela Walsh 451 7th Street, S.W.  
Room 5246  
, Washington, District of Columbia 20410 Email: Pamela.D.Walsh@hud.gov  
Phone: 202-402-7017

**Website Address:**

<http://www.hud.gov/offices/fheo/promotingfh/lep.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.506 GENERAL RESEARCH AND TECHNOLOGY ACTIVITY**

**FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Title V of Housing and Urban Development Act of 1970, 12 U.S.C 1701z-1 et seq.

**OBJECTIVES:**

To carry out research, demonstration and program evaluation and monitoring projects of high priority and pre-selected by the Department to improve the operations of the Department's programs.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

HUD's Office of Policy Development and Research's (PD&R) funds are awarded through competitive procurement solicitations or Interagency Agreements with other Federal Agencies. Contracts and Interagency Agreement awards must comply with FAR requirements.

**Applicant Eligibility:**

Researchers, research organizations, State and local governments, academic institutions, public and/or private profit and nonprofit organizations which have authority and capacity to carry out projects.

**Beneficiary Eligibility:**

Researchers, research organizations, State and local governments, academic institutions, public and/or private profit and nonprofit organizations which have authority and capacity to carry out projects.

**Credentials/Documentation:**

Capacity and capability of applicant to perform research by contract under this program and to manage Federal funding. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Respond to Request for Proposals for Contracts.

**Award Procedure:**

Contact Proposals will be reviewed against criteria contained in the request for proposals issued by HUD's Office of the Chief Procurement Officer for procurement actions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As identified in request for proposals for competitive procurement awards.

**Appeals:**

Office of the Chief Procurement Officer for procurement actions and for all contractual matters.

**Renewals:**

As provided in agreement arrangements, if any.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As specified in the contractual agreement. Awards usually will not exceed twelve months. See the following for information on how assistance is awarded/released: Contract Award.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Full and accurate records must be maintained with respect to all matters covered in the agreement. Contracts awards are maintained in accordance with Departmental requirements.

**Account Identification:**

86-0108-0-1-451.

**Obligations:**

(Provision of Specialized Services) FY 10 \$50,967,674; FY 11 est \$48,803,814; and FY 12 est \$56,000,000

**Range and Average of Financial Assistance:**

\$15,000 - \$20,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dorothy E. Faison, 451 7th Street, SW, Washington, District of Columbia 20410 Email: dorothy.e.faison@Hud.Gov Phone: (202) 402-5840 Fax: (202) 708-5171.

**Website Address:**

<http://www.huduser.org>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.516 DOCTORAL DISSERTATION RESEARCH GRANTS****FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Urban Development Act of 1974, Title V, 12 U.S.C 1701z-1 et seq.

**OBJECTIVES:**

To enable doctoral candidates enrolled at institutions of higher education accredited by a national or regional accrediting agency recognized by the Department of Education to complete their research and dissertations on policy-relevant housing and urban development issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Costs incurred in the timely completion of a dissertation including stipends, computer software, the purchase of data, travel expenses to collect data, transcription services, and compensation for interviews. Grants cannot be used for tuition, computer hardware, or meals. Indirect cost and honorariums cannot be charged under this program.

**Applicant Eligibility:**

Applicants must be accredited institutions of higher education recognized by the Department of Education that sponsor doctoral students who are currently enrolled and matriculating and have been accepted into candidacy in an accredited doctoral program. However, the sponsored doctoral student is responsible for the completion of the application (with the assistance of the institution).

**Beneficiary Eligibility:**

Beneficiaries are doctoral students.

**Credentials/Documentation:**

Doctoral students must meet the following requirements: (1) Be currently enrolled as a full-time student in an accredited doctoral program; (2) and either a U.S. citizen or U.S. national (such as a person born in Swains Island or American Samoa) with the meaning of 8 U.S.C. 1408 or be a lawful permanent resident (recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card) or other qualified alien (such as an alien who has been granted asylum or refugee status) within the meaning of 8 U.S.C. 1651 (b); (3) By the application deadline date, the student's dissertation propose/prospectus has been accepted by the full dissertation committee; (3) The student will have an assigned dissertation advisor; (4) By September 1, 2010, the student will have satisfactorily completed all other written and oral doctoral degrees requirements, including all examinations, except the dissertation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Institutions of higher education accredited by a national or regional accrediting agency recognized by the Department of Education that sponsor a doctoral student are the official applicants. However, the sponsor doctoral student is responsible for the completion of the application with the assistance of the institution. Students will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register and available online at Grants.gov.

**Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards will be made to the highest-ranking applications. If a doctoral student

turns down the award offered, HUD will make an offer to the next highest-ranking application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Announcement of awards are anticipated on or before September 30th.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

HUD makes grants available for a performance period of 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

All grant recipients are required to submit a progress report and Program Logic Model annually through the grant period. At the end of the grant performance period, doctoral students must submit to HUD two copies and a CD-Rom containing an electronic copy of the approved dissertation in its final version and a final complete Logic Model, as well as a signed letter of approval from the dissertation committee. At the end of the grant period the applicant must submit a budget report. The narrative portion of the progress report must reflect the activities undertaken during the reporting period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

The institution must maintain information on grant disbursement.

**Account Identification:**

86-0108-0-1-451.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$400,000; FY 11 est \$400,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

\$25,000 a grant for a maximum 2-year performance period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants will respond to competitive requirements contained in a Notice of Funding Availability (NOFA) published in the Federal Register and available on Grants.gov. More information about previously awarded grants is provided at [www.oup.org](http://www.oup.org).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Susan Brunson, 451 7th Street, Room 8226, Washington, District of Columbia 20410 Email: [Susan.S.Brunson@hud.gov](mailto:Susan.S.Brunson@hud.gov) Phone: (202) 402-3852.

**Website Address:**

<http://www.oup.org> and [www.hud.gov](http://www.hud.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A competitive process is used in selecting grants. Criteria will be published in the annual NOFA.

**14.523 TRANSFORMATION INITIATIVE RESEARCH GRANTS: SUSTAINABLE COMMUNITY RESEARCH GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010 (Public Law 111-117 approved December 16, 2009). This program is approved by HUD's authority and administered under the Transformation Initiative (TI) account.

**OBJECTIVES:**

The purpose of this effort is to fill key data and information gaps, and to begin to develop and evaluate policy alternatives that communities can adopt to facilitate decision making about various community investments. Additionally, the HUD believes that the results from the program will enable the department to develop a broader sustainability agenda beyond current departmental priorities, as well as any future efforts or initiatives that may be considered based on the results of the research.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds awarded under this NOPI must be used to support direct costs incurred in the timely completion of the research product. Eligible costs include, but are not limited to, the researchers salary, associates to work on the project, protected/release time to demonstrate the need for a period of intensive research, computer software, data purchases, travel expenses to collect data or to make presentations at meetings, transcription services, and compensation for interviews. 1. Funding will only be provided to researchers who meet the standards for eligible applicants. 2. Grant funds awarded under this program may not be used to pay for computer hardware and/or meals. 3. Fee or profit will not be paid for work done under this program. 4. Applicants must comply with the Delinquent Federal Debt Requirement.

**Applicant Eligibility:**

Nationally recognized and accredited institutes of higher education; non-profit foundations, research consortia or policy institutes; for-profit organizations located in the U.S. and contract research institutions or academic entities that will sponsor a researcher or experts as the applicant. However, the sponsored researcher assumes the sole responsibility for the completion of the application and conducting the research.

In addition, the researcher must meet the following program requirements: a. Be a U.S. citizen or U.S. national (such as a person born in the Swains Island or

American Samoa) within the meaning of 8 U.S.C. 1408, or be a lawful permanent resident

(a recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a

Green Card), or other qualified alien (such as, an alien who has been granted asylum or refugee status) within the meaning of 8 U.S.C. 1651(b); and

b. The proposed research project can be completed within the 24 months grant performance period.

**Beneficiary Eligibility:**

The purpose of this notice of public interest is to inform the research community of the opportunity to submit grant applications to fund quality research under the broad subject area of sustainable development. HUD is primarily interested in sponsoring cutting edge research in the areas of affordable housing development and preservation; transportation-related issues; economic development and job creation; land use planning and urban design; green and sustainable energy practices; and a range of issues related to sustainability.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications will be rated, ranked and awards will be made to the highest rated applications. HUD reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If a researcher turns down the award offer, HUD will make an offer to the next highest-ranking application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The process for applying for a grant through this NOPI involves a two-step process. First, applicants are invited to submit a preliminary application for funding consideration. Second, if the preliminary application is selected for further consideration, the researcher will be requested to submit a full application for funding consideration within 30 days after the closing date of this NOPI.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum grant performance period is for 24 months (2 years). Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reports must be submitted electronically. At the end of the grant performance period, researcher must submit to HUD two copies and a CD-ROM containing an electronic copy of the paper documenting the research finding in its final version, as well as a final report which summarizes the entire work and achievements conducted under this award. Cash reports are not applicable. All researchers that receive grant funds under this program are required to submit a quarterly progress report which describes the progress of the effort and the likelihood that it will be completed on time. Financial reports must be included that reflects the cost incurred by budget line, as well as a cumulative summary of costs incurred during the reporting period. Each grant's performance will be monitored.

**Audits:**

Not Applicable.

**Records:**

Records must be kept in accordance with the program's terms and conditions.

**Account Identification:**

86-0402-0-1-451.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - This program is approved by HUDs research authority and administered under the Transformation Initiative (TI) account.

**Range and Average of Financial Assistance:**

An applicant may request a minimum of \$150,000, up to \$500,000 for an award, depending on the scope and scale of the proposed research. Awards under this NOPI will be made in the form of Cooperative Agreements.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Sandra Susan Brunson, 451 7th Street, Room 8226, Washington, District of Columbia 20410 Email: Susan.S.Brunson@hud.gov Phone: (202) 402-3852.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the NOPI.

**14.524 TRANSFORMATION INITIATIVE RESEARCH GRANTS:**

**NATURAL EXPERIMENTS**

**FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010 (approved December 16, 2009). This program is approved under HUDs research authority under the Transformation Initiative Fund , Public Law 111-117.

**OBJECTIVES:**

The purpose of this effort is to provide funding to support scientific research that makes use of natural experiments to evaluate the impact on local, state, and federal policies.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Eligible costs include but are not limited to, the researchers salary, graduate assistants to work on the project, protected/release time for researcher who can demonstrate the need for a period of intensive research, computer software, purchase of data, travel expenses to collect data or to make presentations at meetings, transcription services, and compensation for interviews. The funds may not be used specifically for dissertation support, internationally oriented research, or demonstration projects; HUD has other programs aimed at funding such activities.

In addition, funding will only be provided to researchers who meet the standards for eligible applicants outlined in under this program; grant funds awarded under this program may not be used to pay for computer hardware and/or meals; honorariums cannot be charged against grants under this program; fee or profit will not be paid for work done under this effort; and applicants must comply with the Delinquent Federal Debt Requirement.

**Applicant Eligibility:**

Nonprofit organizations, for profit organizations located in the U.S (HUD will not pay fee or profit for the work conducted under this program), foundations, think tanks, consortia, Institutions of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education and other entities that will sponsor a.

**Beneficiary Eligibility:**

The research funded by these HUD grants should be state-of-the-art natural experiments and result in substantive contributions to the existing pool of scientific theory and evidence on the effectiveness of public policies. It should also yield methodological advances to evaluating public policy preference will be given to proposals aimed at developing general solutions that may be applied to additional problems. Projects may focus on any local, state, or federal policy relevant to HUDs mission of increasing homeownership,



supporting community development, and increasing access to affordable housing free from discrimination. HUD is particularly interested in funding evaluations that can help this Administration and subsequent Administrations determine how to spend taxpayer dollars effectively and efficiently, though other types of projects will also be considered.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications will be reviewed against published criteria.

**Award Procedure:**

Applications will be rated, ranked, and awards will be made to the highest rated applications. If an applicant turns down an award offer, HUD will make an award to the next highest-ranking application. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum grant performance period is 24 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reports must be submitted electronically. At the end of the grant performance period, researcher must submit to HUD two copies and a CD-ROM containing an electronic copy of the paper documenting the research finding in its final version, as well as a final report which summarizes the entire work and achievements conducted under this award. Cash reports are not applicable. All researchers that receive grant funds under this program are required to submit a quarterly progress report which describes the progress of the effort and the likelihood that it will be completed on time. Financial reports must be included that reflects the cost incurred by budget line, as well as a cumulative summary of costs incurred during the quarterly reporting period. Each grant's performance will be monitored.

**Audits:**

Not Applicable.

**Records:**

Records must be kept in accordance with the program's terms and conditions.

**Account Identification:**

86-0402-0-1-451.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - This program is approved under HUDs research

authority under the Transformation Initiative Fund.

**Range and Average of Financial Assistance:**

An applicant can request \$100,000 to \$250,000 per award, depending on the scope of the research proposed. Awards under this NOFA will be made in the form of a Cooperative Agreement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Susan Brunson 451 7th Street, Room 8226, Washington, District of Columbia 20410 Email: Susan.S.Brunson@hud.gov Phone: (202) 402-3852.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the program NOFA.

**14.525 TRANSFORMATION INITIATIVE RESEARCH GRANTS:  
DEMONSTRATION AND RELATED SMALL GRANTS**

**FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010 (Public Law 111-117 approved December 16, 2009). This program is approved by HUDs research authority under the Transformation Initiative Fund.

**OBJECTIVES:**

The Office of Policy Development and Research is conducting several major demonstrations through contract studies in the following areas: Family Self-Sufficiency; Pre-Purchase Counseling; Sustainable Building Practices; and Homeless Families Intervention. The purpose of this program is to enhance these demonstrations by providing a vehicle for conducting a number of small research projects aimed at collecting additional/supplemental information and analyses.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

To support direct and indirect costs incurred in the timely completion of the research product. Eligible costs include but are not limited to, the researchers salary, assistants to work on the project, protected/release time for researcher who can demonstrate the need for a period of intensive research, computer software, purchase of data, travel expenses to collect data or to make presentations at meetings, transcription services, and compensation for interviews. 1. Funding will only be provided to researchers who meet the standards for eligible applicants outlined under this program. 2. Grant funds awarded under this program may not be used to pay for computer hardware and/or meals. 3. Fee or profit will not be paid for work done under this program. 4. Dissertation support is not eligible under this program.

**Applicant Eligibility:**

Nonprofit organizations, for profit organizations located in the U.S (HUD will not pay fee or profit for the work conducted under this program), foundations, think tanks, consortia, Institutions of higher education accredited by a national or regional accrediting agency recognized by the U.S. Department of Education and other entities that will sponsor a researcher, expert and analyst.

**Beneficiary Eligibility:**

The purpose of this program is to enhance these demonstrations by providing a vehicle for conducting a number of small research projects aimed at collecting additional/supplemental information and analyses.

Eligibility of tribes and tribal organizations applies only to the small grant program associated with the Sustainable Construction in Indian Country demonstration.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The process of applying for a grant through this program involves a two step process. Applicants are invited to submit a preliminary application for funding consideration. If the preliminary application is deemed worthy of further consideration, the researcher will be requested to submit a full application for funding consideration within 30 days after the closing date of the funding opportunity.

**Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards will be made to the highest rated applications. If an applicant turns down an award offer, HUD will make an award to the next highest-ranking application. HUD also reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The process of applying for a grant through this Notice of Public Interest (NOPI) involves a two step process. Applicants are invited to submit a preliminary application for funding consideration. If the preliminary application is deemed worthy of further consideration, the researcher will be requested to submit a full application for funding consideration within 30 days after the closing date of this NOPI.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum grant performance period is 3 years (36 months). Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reports must be submitted electronically. At the end of the grant performance period, researcher must submit to HUD two copies and a CD-ROM containing an electronic copy of the paper documenting the research finding in its final version, as well as a final report which summarizes the entire work and achievements conducted under this award. No cash reports are required. All researchers that receive grant funds under this program NOPI are required to submit a quarterly progress report which describes the progress of the effort and the likelihood that it will be completed on time. Financial reports must be included that reflects the cost incurred by budget line, as well as a cumulative

summary of costs incurred during the quarterly reporting period. Each grant's performance will be monitored.

**Audits:**

Not Applicable.

**Records:**

Records must be kept in accordance with the program's terms and conditions.

**Account Identification:**

86-0402-0-1-451.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - This program is approved under HUD's research authority and is administered under the Transformation Initiative Account.

**Range and Average of Financial Assistance:**

\$25,000-\$500,000 per grant for a maximum three-grant performance period. Awards under this NOPI will be made in the form of a Cooperative Agreement, and minimum and maximum award amounts will be specified under each NOPI.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Sandra Susan Brunson, 451 7th Street, Room 8226, Washington, District of Columbia 20410 Email: Susan.S.Brunson@hud.gov Phone: (202) 402-3852.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the program NOPI.

**14.529 FELLOWSHIP PLACEMENT PILOT PROGRAM**

Fellowship Placement Pilot Program

**FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Section 7 (k) of the Department of Housing and Urban Development.

**OBJECTIVES:**

The fellowship program will be a competitive program that provides funding for early to mid-career professionals to work for two year terms in local government positions to supplement existing local capacity. Fellows will be deployed to pilot cities where they will support and assist local governments in their economic revitalization efforts.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

The selected Administrator will be responsible for two major activities of the fellowship program:

1. Manage and administer the fellowship program at the national and local level (Activity 1); and
2. Develop training curriculum and train fellows for the program (Activity 2).

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

none. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A notice for the fellowship program will be published in the federal register as soon as a PRA number is supplied. A 60 day and 30 day notice has been published. HUD is awaiting OMB approval, and anticipates that it will have the notice published sometime in July.

**Award Procedure:**

Applications will be reviewed against published criteria, rated and ranked, and awards made to the highest ranking application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Announcement of award are anticipated on or before September 30th.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

HUD will execute a cooperative agreement. Method of awarding/releasing assistance; by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grant recipient will be required to submit four quarterly reports and one final report. Grant recipients will be required to submit a financial report with their quarterly and final report. Grant recipients are required to submit four quarterly progress reports that reflect the activities undertaken during the reporting period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. none

**Records:**

Must be kept in accordance with the terms and conditions of the grant.

**Account Identification:**

86-8093-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$1,000,000; and FY 12 est \$1,500,000 - These funds were gifted to HUD pursuant to 42 U.S.C. 3535 (K) (l) by the Rockefeller Foundation.

**Range and Average of Financial Assistance:**

\$2,500,000 grant will be awarded for a two year performance period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Susan Brunson 451 7th Street, Room 8226, Washington, District of Columbia 20410 Email: Susan.S.Brunson@hud.gov Phone: 2024023852

**Website Address:**

http://www.hud.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.703 SUSTAINABLE COMMUNITIES REGIONAL PLANNING GRANT PROGRAM**

Planning Grant

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

The Department of Defense and Full-Year Continuing Appropriations Act, 2011, Executive Order The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10, enacted April 15, 2011) (Appropriations Act), provided a total of \$100,000,000 to HUD for a Sustainable Communities Initiative to improve regional planning efforts that integrate housing and transportation decisions, and increase the capacity of communities to modernize land use and zoning plans. Of that total, \$70,000,000 is available for the Sustainable Communities Regional Planning Grant Program, and \$30,000,000 is available for the Challenge Planning Grant Program. , Public Law 112-10, Stat. 159, XII U.S.C 2240.

**OBJECTIVES:**

The Sustainable Communities Regional Planning Grant Program (Program) supports metropolitan and multijurisdictional planning efforts that integrate housing, land use, economic and workforce development, transportation, and infrastructure investments in a manner that empowers jurisdictions to consider the interdependent challenges of: (1) economic competitiveness and revitalization; (2) social equity, inclusion, and access to opportunity; (3) energy use and climate change; and (4) public health and environmental impact. The Program places a priority on investing in partnerships, including nontraditional partnerships (e.g., arts and culture, recreation, public health, food systems, regional planning agencies and public education entities) that translate the Livability Principles (Section I.C.1) into strategies that direct long-term development and reinvestment, demonstrate a commitment to addressing issues of regional significance, use data to set and monitor progress toward performance goals, and engage stakeholders and residents in meaningful decision-making roles.

Funding from this Program will support the development and implementation of Regional Plans for Sustainable Development (RPSD) that:

- a. Identify affordable housing, transportation, water infrastructure, economic development, land use planning, environmental conservation, energy system, open space, and other infrastructure priorities for the region;
- b. Clearly define a single, integrated plan for regional development that addresses potential population growth or decline over a minimum 20-year time frame, sets appropriate 3- to 5-year benchmark performance targets, and delineates strategies to meet established performance goals;
- c. Establish performance goals and measures that are, at a minimum, consistent with the Sustainability Partnerships Livability Principles;
- d. Use geo-coded data sets and other metrics in developing, implementing, monitoring, and assessing the performance goals of various reinvestment scenarios;
- e. Provide detailed plans, maps, policies, and implementation strategies to be adopted by all participating jurisdictions over time to meet planning goals;

- f. Prioritize projects that facilitate the implementation of the regional plan and identify responsible implementing entities (public, nonprofit, or private) and funding sources;
- g. Show how the proposed plan will establish consistency with HUD, Department of Transportation (DOT), and Environmental Protection Agency (EPA) programs and policies, such as Consolidated Plans, Analysis of Impediments to Fair Housing Choice, Long Range Transportation Plans, Indian Housing Plans, and Asset Management Plans, including strategies to modify existing plans, where appropriate; and
- h. Engage residents and other stakeholders substantively and meaningfully in the development of the shared vision and its implementation early and throughout the process, including communities traditionally marginalized from such processes, while accommodating limited English speakers, persons with disabilities, and the elderly.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2011, potential applicants should consult the NOFA for the specific funding uses and restrictions. For Fiscal Year 2011, potential applicants should consult the NOFA for the specific funding uses and restrictions. All funds are discretionary funds.

**Applicant Eligibility:**

For Fiscal Year 2011, potential applicants should consult the NOFA for the specific funding uses and restrictions. Applicants with outstanding civil rights violations are not eligible for funding.

**Beneficiary Eligibility:**

Funding from this Program will support the development and implementation of Regional Plans for Sustainable Development (RPSD) that:

- a. Identify affordable housing, transportation investment, water infrastructure, economic development, land use planning, environmental conservation, energy system, open space, and other infrastructure priorities for the region;
- b. Clearly define a single, integrated plan for regional development that addresses potential population growth or decline over a minimum 20-year timeframe;
- c. Establish performance goals and measures that are, at a minimum, consistent with the Sustainability Partnerships Livability Principles;
- d. Prioritize projects that facilitate the implementation of the regional plan and identify responsible implementing entities (public, non-profit, or private) and funding sources;
- g. Show how the proposed plan will establish consistency with HUD, DOT, and EPA programs, and policies, such as Consolidated Plans, Analysis of Impediments to Fair Housing Choice, Long Range Transportation Plans, and Asset Management Plans, including strategies to modify existing plans where appropriate; and
- h. Engage residents and stakeholders substantively and meaningfully in the development of the shared vision and its implementation early and throughout the process, including communities traditionally marginalized from such processes, while accommodating limited English speakers, persons with disabilities, and the elderly.

**Credentials/Documentation:**

See NOFA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Applicants must provide 20 percent of the requested funding amount in match in the form of cash and/or verified in-kind contributions or a combination of these sources. In-kind contributions may be in the form of staff time, donated materials, or services.

All contributions provided to meet this requirement must be identified in the application by their dollar equivalent based upon accepted salary or regional dollar values. Cash contributions may come from any combination of local, state, and/or private and philanthropic contributions dedicated to the express purposes of the proposal. Applicants will receive credit for leveraging resources greater than the 20 percent required match amount. If an applicant does not include the minimum 20 percent match with appropriate supporting documentation, that application will be considered ineligible. Federal funds are not eligible as match unless otherwise permitted in their authorizing statutes (e.g., Community Development Block Grant funds (CDBG) can be used as match). Applicants submitting multiple applications for different projects must secure independent matching funds for each proposal submitted. Note that applicants may not submit multiple applications for the same project.

For all matched or leveraged resources, the applicant must support each source of contributions, cash or in-kind, both for the required match and additional leverage amounts, by a letter of commitment from the contributing entity, whether a public or private source. Such supporting documentation must be provided in the form of 1) letters of firm commitment, 2) memorandums of understanding, or 3) other signed agreements to contribute from those entities identified as partners in your application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, the proposed level and type of commitment, and the responsibilities as they relate to your proposed program. The commitment must be signed and dated by an official of the organization legally able to make commitments on behalf of the organization. If the applicant does not provide letters from contributors specifying details and the amount of the actual contributions, those contributions will not be counted.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Sustainable Communities Regional Planning Grant award is up to 36-months. See the following for information on how assistance is awarded/released: This is a cost reimbursable grant.

**Reports:**

Bi-annual reports will be expected. No cash reports are required. Semi-annual reports will be expected. This is a cost reimbursable grant program. All drawdown requests will require review for approval. Bi-annual reports will be expected.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

86-0162-0-1-451 - For FY 10 and 11 obligation account is 86-0162-0-1-451; 86-0408-0-1-452 - For FY 12 obligation account is 86-0408-0-1-452.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$98,000,000; FY 11 est \$67,160,165; and FY 12 est \$98,000,000

**Range and Average of Financial Assistance:**

100,000 to 5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Zuleika K. Morales-Romero, 451 7th Street SW, Washington, District of Columbia 20410 Email: zuleika.k.morales@hud.gov Phone: (202) 402-7683.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.704 COMMUNITY CHALLENGE PLANNING GRANTS AND THE DEPARTMENT OF TRANSPORTATION'S TIGER II PLANNING GRANTS**

Community Challenge Planning Grant Program

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

Department of Defense and Full-Year Continuing Appropriations Act, 2011, Executive Order The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10, approved April 15, 2011) (Appropriations Act), provided a total of \$100,000,000 to HUD for a Sustainable Communities Initiative to improve regional planning efforts that integrate housing and transportation decisions, and increase the capacity to improve land use and zoning. Of that total, \$70,000,000 is available for the Sustainable Communities Regional Planning Grant Program, and \$30,000,000 is available for the Community Challenge Planning Grant Program. , Title 12, Section 2240, Public Law 112-10, Stat. 158-159.

**OBJECTIVES:**

The Department of Housing and Urban Developments ("HUD") Community Challenge Planning Grant Program ("Program") fosters reform and reduces barriers to achieving affordable, economically vital, and sustainable communities. Such efforts may include amending or replacing local master plans, zoning codes, and building codes, either on a jurisdiction-wide basis or in a specific neighborhood, district, corridor, or sector to promote mixed-use development, affordable housing, the reuse of older buildings and structures for new purposes, and similar activities with the goal of promoting sustainability at the local or neighborhood level. This Program also supports the development of affordable housing through the development and adoption of inclusionary zoning ordinances and other activities to support plan implementation. Of the \$30 million available for the Community Challenge Planning Grant Program, this notice announces the availability of approximately \$28.6 million for Community Challenge Planning Grants, of which not less than \$3 million shall be awarded to jurisdictions with populations of less than 50,000. An additional \$1 million has been reserved for capacity support grants distributed through a separate NOFA posted on Grants.gov.

The Community Challenge Planning Grant Program differs from HUD's Sustainable Communities Regional Planning Grant Program, a \$70 million program also created in the Department of Defense and Full-Year Continuing Appropriations Act, 2011. While the latter program is designed to support regional planning efforts, the Community Challenge Planning Grant Program focuses on individual jurisdictions and more localized planning.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2011, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA.

**Applicant Eligibility:**

State and local governments, including U.S. territories, tribal governments, and political subdivisions of state or local governments, and multistate or multijurisdictional groupings.

**Beneficiary Eligibility:**

State and local governments, including U.S. territories, tribal governments, and political subdivisions of state or local governments, and multistate or multijurisdictional groupings.

**Credentials/Documentation:**

See NOFA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The competitive Notification of Funding Availability (NOFA) for fiscal year 2011 The Community Challenge Planning Grant Program provides information about the application procedure.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Applicants must provide 20 percent of the requested funding amount in match in the form of cash and/or verified in-kind contributions or a combination of these sources. In-kind contributions may be in the form of staff time, donated materials, or services. See Section III.B.2. below for a more detailed description of possible in-kind contributions. All contributions provided to meet this requirement must be identified in the application by their dollar equivalent based upon accepted salary or regional dollar values. Cash contributions may come from any combination of local, state, and/or private and philanthropic contributions dedicated to the express purposes of the proposal. Applicants will receive credit for leveraging resources greater than the 20 percent required match amount. If an applicant does not include the minimum 20 percent match with appropriate supporting documentation, that application will be considered ineligible. Federal funds are not eligible as match unless otherwise permitted in their authorizing statutes (e.g., Community Development Block Grant funds (CDBG) can be used as match). Applicants submitting multiple applications for different projects must secure independent matching funds for each proposal submitted. Note that applicants may not submit multiple applications for the same project. For all matched or leveraged resources, the applicant must support each source of contributions, cash or in-kind, both for the required match and additional leverage amounts, by a letter of commitment from the contributing entity, whether a public or private source. Such supporting documentation must be provided in the form of 1) letters of firm commitment, 2) memorandums of understanding, or 3) other signed agreements to contribute from those entities identified as partners in your application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, the proposed level and type of commitment, and the

responsibilities as they relate to your proposed program. The commitment must be signed and dated by an official of the organization legally able to make commitments on behalf of the organization. If the applicant does not provide letters from contributors specifying details and the amount of the actual contributions, those contributions will not be counted.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Community Challenge Planning Grant Program award is up to 36 months. See the following for information on how assistance is awarded/released: Cost Reimbursable.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Applicants that receive awards will be expected to report on the progress of the project and outcomes realized at the mid-way point and at the end of the term of the grant. See NOFA. See NOFA.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

86-0408-0-1-452 - For obligation code FY 12 86-0408-0-1-452;  
86-0162-0-1-451 - For FY 10 and FY 11 obligation code 86-0162-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 10 \$40,000,000; FY 11 est \$28,641,835; and FY 12 est \$40,000,000

**Range and Average of Financial Assistance:**

up to \$3,000,000 with a minimum of \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See NOFA

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Sunaree K Marshall 451 7th Street SW  
Room 10180, Washington, District of Columbia 20410 Email:  
Sunaree.K.Marshall@hud.gov Phone: 2024026011

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See NOFA.

**14.705 CAPACITY BUILDING FOR SUSTAINABLE COMMUNITIES**

Capacity Building

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

The Consolidated Appropriations Act, 2010 (Public Law 111-117, approved December 16, 2009), 123 Stat. 3084.

**OBJECTIVES:**

The Capacity Building for Sustainable Communities Grant Program (Program) will identify intermediary organizations that can provide the technical and capacity building support to metropolitan regions and communities engaged in planning efforts that support community involvement and integrate housing, land use, land cleanup and preparation for reuse, economic and workforce development, transportation, and infrastructure investments. Each grantee will

be expected to deliver capacity building support to communities across the United States.

The first purpose of the Program is to build a collection of capacity building service providers to work directly with the FY2010 HUD Sustainable Communities Regional Planning and Community Challenge grant recipients, HUD Preferred Sustainability Status communities, and EPA Sustainable Community Technical Assistance recipients and Brownfield Area Wide Planning grant recipients (collectively Sustainable Communities Grantees), and enable them to fulfill their anticipated outcomes. HUD and other Partnership agencies will work regularly with all recipients of grant funds to maintain a coordinated and leveraged delivery approach that ensures the maximum benefit to local governments, regions, and planning entities and partners engaged in the prescribed activities.

The second purpose of the Program is to build a national coalition and leadership network of the Sustainable Communities Grantees. The purpose of the network is to facilitate the exchange of successful strategies, lessons learned, emerging tools and public engagement strategies, and approaches for avoiding or minimizing pitfalls.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Potential applicants should consult the NOFA for the specific funding uses and restrictions. All funds are discretionary funds.

**Applicant Eligibility:**

Potential applicants should consult the NOFA for the specific funding uses.

**Beneficiary Eligibility:**

This NOFA brings together funds from HUDs Sustainable Communities Initiative and Transformation Initiative, and the U.S. Environmental Protection Agency (EPA) Offices of Sustainable Communities, Brownfields and Land Revitalization, and Water. The Consolidated Appropriations Act, 2010 (P.L. 111-117, December 16, 2009), provided a total of \$150 million in each of fiscal years 2010 and 2011 to HUD for a Sustainable Communities Initiative to improve regional planning efforts that integrate housing and transportation decisions, and increase the capacity to improve land use and zoning.

**Credentials/Documentation:**

To receive an award of funds, applicants must meet all threshold requirements contained in the Notice of Funding Availability (NOFA). Additional threshold requirements include:

1. Match. Applicants are required to provide a minimum of 10 percent of the total grant funds requested in match or in-kind contributions. In-kind contributions may be in the form of staff time, donated materials, services, or other allowable uses that contribute directly to the completion of the funding request.
2. Applicants must meet the eligibility requirements set forth in the NOFA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 10%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance will be 24 months. The period of availability of funds shall be in compliance with 24 CFR part 85.23. A grantee must liquidate all obligations incurred under the award not later than 90 days after the end of the funding period. See the following for information on how assistance is awarded/released: HUD's review and awarding procedures are explained in the NOFA.

**Reports:**

Successful applicants will be required to submit quarterly and final program and financial reports according to the requirements of the Office of Sustainable Housing and Communities. SF-425. Successful applicants will be required to submit quarterly and final program and financial reports according to the requirements of the Office of Sustainable Housing and Communities. SF-425. Monitoring will be conducted by the Office of Sustainable Housing and Communities.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

86-0162-0-1-451 - FY 10 and FY 11 appropriation code is 86-0162-0-1-451;  
86-0408-0-1-452 - FY 12 appropriation code is 86-0408-0-1-452.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,000,000; FY 11 est \$3,000,000; and FY 12 est \$5,650,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Zuleika K. Morales-Romero 451 7th Street SW, Washington, District of Columbia 20410 Email: zuleika.k.morales@hud.gov Phone: 2024027683

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.850 PUBLIC AND INDIAN HOUSING****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1937, as amended; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To provide and operate cost-effective, decent, safe and affordable dwellings for lower income families through an authorized local Public Housing Agency (PHA).

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Operating subsidy funds are provided to PHAs to achieve and maintain adequate operating and maintenance service and reserve funds. Funds are made to PHAs based on the extent to which their projected total allowable expenses (as determined by formula) exceed their projected income (also as determined by formula) from rents and other sources. Use restricted to activities specified in the Housing and Community Development Act of 1937, Section 9 (e), Operating Fund.

**Applicant Eligibility:**

Public Housing Agencies established in accordance with State law are eligible. The proposed program must be approved by the local governing body. Pursuant to the Native American Housing Assistance and Self Determination Act of 1996, Indian Housing Authorities (IHAs) are no longer eligible for funding under the U.S. Housing Act (of 1937) or the Indian Housing Act.

**Beneficiary Eligibility:**

Lower income families which include citizens or eligible immigrants. The term "Families" includes but is not limited to: (1) a family with or without children; (2) an elderly family (head, spouse, or sole member 62 years or older), (3) near elderly family (head, spouse, or sole member 50 years old but less than 62 years old); (4) a disabled family; (5) a displaced family; (6) the remaining member of a tenant family; or (7) a single person who is neither elderly, near-elderly, displaced, or a person with disabilities.

**Credentials/Documentation:**

The applicant must support the application/proposal by furnishing data that the program is consistent with the Public Housing Agency (PHA) Plan (Quality Housing and Work Responsibility Act of 1998). The PHA Plan is designed for both long-term and short-term strategies for addressing the housing needs of the community. The proposed program should demonstrate that it is responsive to the PHA Plan by identifying conditions of the housing stock in the community and the housing assistance needs of lower-income families (including the elderly, persons with disabilities, large families and those displaced or who will be displaced) residing in or expected to reside in the community. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. PHAs may submit a full proposal (HUD-52483-A) which includes, but is not limited to a project description, development method, offer of sale of real property, site information and financial feasibility pursuant to 24 CFR Part 941 and Handbook 7417.1 REV-1 and, if applicable, additional statutory or policy requirements governing the funds provided for the particular fiscal year. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Usually the HUD Field Office Manager makes final decision to approve individual applications. Also, agencies must have Annual Contribution Contract and Cooperative Agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 60 days from the deadline for applications for processing applications/proposals.

**Appeals:**

From 30 to 60 days.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

Statutory Formula: Title Operating Fund, Part 24 CFR, Subpart 990.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Contributions made annually for up to 30 years for development and 20 years for modernization program reservations approved through September 30, 1986 for projects with permanent financing. Annual appropriations of capital funds for development and modernization started October 1, 1986. Projects funded with capital funds after October 1, 1986 will have contract terms of 40 years. See the following for information on how assistance is awarded/released: Funding is provided based on submission of Operating Fund calculation (Form HUD-52723 and HUD-52722).

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Financial statements are required from PHAs annually. Submission of family report (HUD-50058) is required from PHAs.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic fiscal, management, maintenance and energy audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract.

**Account Identification:**

86-0163-0-1-604.

**Obligations:**

(Formula Grants) FY 10 \$4,043,542,513; FY 11 est \$3,925,878,815; and FY 12 est \$3,368,982,436

**Range and Average of Financial Assistance:**

From \$2,370 to \$876,482,196; Average \$1,420,340.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department made available \$4.03 billion in operating subsidies for approximately 1.1 million public housing units. Fiscal Year 2011: The Department projects to make available \$3.9 billion in operating subsidies for approximately 1.1 million public housing units. Fiscal Year 2012: The Department projects to make available \$3.3 billion in operating subsidies for approximately 1.1 million public housing units.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 990, 24 CFR 941, Handbook 7417.1 (Rev.-1) (Public Housing-Development Handbook), Handbook 7465.1 Rev-2. (Public Housing Occupancy: Admission).

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are to be located.

**Headquarters Office:**

Shauna Sorrells 451 7th Street, S.W., Washington, District of Columbia 20410  
Email: Shauna.M.Sorrells@hud.gov Phone: 202.402.2769

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/am/>

**RELATED PROGRAMS:**

14.866 Demolition and Revitalization of Severely Distressed Public Housing;  
14.867 Indian Housing Block Grants; 14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.856 LOWER INCOME HOUSING ASSISTANCE PROGRAM SECTION 8 MODERATE REHABILITATION**

(Section 8 Housing Assistance Payments Program for Very Low Income Families-Moderate Rehabilitation)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1937; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To aid very low income families in obtaining decent, safe and sanitary rental housing.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe and sanitary housing for very low income families at rents they can afford. Housing assistance payments are used to make up the difference between the approved rent due to the owner for the dwelling unit and the occupant family's required contribution towards rent. Assisted families must pay the highest of 30 percent of their monthly adjusted family income, 10 percent of gross family income, or the portion of welfare assistance designated for housing toward rent. This program is inactive, i.e., no new projects are being approved.

**Applicant Eligibility:**

An authorized Public Housing Agency (any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof).

**Beneficiary Eligibility:**

Very low income families (whose income does not exceed 50 percent of the median income for the area as determined by the Secretary with adjustments for smaller and larger families) and, on an exception basis, lower income families (whose income does not exceed 80 percent of the median income for the area adjusted for small and large families). A very low income or, on an exception basis, lower income single person who is elderly, disabled or handicapped, displaced, or the remaining member of an eligible tenant family is also eligible.

**Credentials/Documentation:**

This program is no longer funded for new applications and awards. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No applications for new projects are being accepted.

**Award Procedure:**

No applications for new projects are being accepted.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.



**Appeals:**

Not Applicable.

**Renewals:**

Eligible owners may request a one-year Housing Assistance Payments Contract renewal. Requests must be made at least 75 days prior to Contract expiration.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 CFR.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Under the Moderate Rehabilitation Program, payments may be made for 180 days. Assistance may be extended for 12 months at a time when an eligible owner requests a Housing Assistance Payments Contract renewal. See the following for information on how assistance is awarded/released: Funds are disbursed monthly.

**Reports:**

Supporting Data for Annual Contributions Estimates, HUD Form 52672; Estimate of Total Required Annual Supporting Data for Annual Contributions Estimates, HUD Form 52672; Estimate of Total Required Annual Contributions, HUD Form 52673; and Requisition for Partial Payment of Annual Contributions, HUD Form 52663; Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B; Report on Program Utilization, HUD Form 52683; Family Report, HUD Form 50058. Cash reports are not applicable. Progress reports are not applicable. Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B;. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Housing Assistance Payments Contract.

**Account Identification:**

86-0303-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$182,235,617; FY 11 est \$202,603,671; and FY 12 est \$230,000,000

**Range and Average of Financial Assistance:**

\$28,000 to \$2,470,501; Average \$1,534,109.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program served 23,921 families. Fiscal Year 2011: The program projects to serve 23,921 families. Fiscal Year 2012: The program projects to serve 23,921 families.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 882; Section 8 Housing Assistance Payments Program, Existing Housing and Moderate Rehabilitation Processing Handbook, 7420.3; PHA Administrative Practices Handbook for the Section 8 Existing Housing Program, 7420.7; Accounting Handbook 7420.6; Section 8 Rental Certificate, Rental Voucher, and Moderate Rehabilitation Programs Forms, Legal Contracts and Publications, Handbook 7420.7; PIH Notice 2001-13.

**Regional or Local Office:**

See Regional Agency Offices. The HUD Office listed in the Catalog Address Appendix IV has jurisdiction over the area in which the dwellings are to be located.

**Headquarters Office:**

Laure Rawson, 451 7th Street, S.W., Room 4210, Washington, District of

Columbia 20410 Email: Laure.Rawson@hud.gov Phone: (202) 708-0477.

**Website Address:**

<http://www.hud.gov/progdsc/pihindx.html>.

**RELATED PROGRAMS:**

14.850 Public and Indian Housing; 14.871 Section 8 Housing Choice Vouchers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.862 INDIAN COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974.

**OBJECTIVES:**

To provide assistance to Indian tribes and Alaska Native villages in the development of viable Indian communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Indian tribes and Alaska Native villages may use block grants to improve the housing stock, provide community facilities, make infrastructure improvements, and expand job opportunities by supporting the economic development of their communities. Activities which are eligible for funding include housing rehabilitation programs, acquisition of land for housing, direct assistance to facilitate homeownership among low and moderate income persons, construction of tribal and other facilities for single or multi-use, streets and other public facilities, and economic development projects particularly those by nonprofit tribal organizations or local development corporations when the recipient determines that the provision of such assistance is appropriate to carry out an economic development project. Tribes and Alaska Native villages are restricted from using block grants for construction and improvement of governmental facilities, the purchase of equipment, general government expenses, operating and maintenance expenses, political activities, new housing construction (except through community-based development organizations (CBDOs)), and income payments.

**Applicant Eligibility:**

Any Indian tribe, band, group, nation, or tribal organization, including Alaska Indians, Aleuts, and Eskimos, and any Alaska Native village that is eligible for assistance under the Indian Self-Determination and Education Assistance Act or which had been eligible under the State and Local Fiscal Assistance Act of 1972.

**Beneficiary Eligibility:**

The principal beneficiaries of ICDBG funds are low and moderate income persons. Low and moderate income is generally defined as 80 percent of the median income, as determined by HUD, adjusted for family size.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Indian tribal governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file an application on forms prescribed by HUD, which describe the community development need and how that need will be addressed

by the proposed project. The application must provide sufficient information for the project to be rated against selection criteria.

**Award Procedure:**

The Office of Native American Programs (ONAP) Area Office is responsible for rating and approving applications and for notifying applicants of the results.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Limitations, conditions, and requirements specified in NOFA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available until project completion, usually within two years. See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are made available through HUD's financial system.

**Reports:**

No program reports are required. Grant recipients are required to submit quarterly financial reports. Grant recipients are required to submit annual status and evaluation reports. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

All records applicable to the assistance project must be kept for three to five years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Project Grants) FY 10 \$65,332,169; FY 11 est \$64,221,000; and FY 12 est \$65,000,000

**Range and Average of Financial Assistance:**

\$70,443 to \$3,722,153; Average \$693,636.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program provided funding for housing rehabilitation, new construction, infrastructure, community facilities, reducing imminent threats, and economic development in tribal communities. Fiscal Year 2011: The program will provide funding for housing rehabilitation, new construction, infrastructure, community facilities, reducing imminent threats, and economic development in tribal communities. Fiscal Year 2012: The program will provide funding for housing rehabilitation, new construction, infrastructure, community facilities, reducing imminent threats, and economic development in tribal communities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 1003.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Office of Native American Programs (ONAP) Area Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Rodger Boyd, 451 7th Street, S.W., Room 4126, Washington, District of Columbia 20410 Email: Rodger.J.boyd@hud.gov Phone: (202) 401-7914.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/grants/icdbg.cfm>.

**RELATED PROGRAMS:**

14.867 Indian Housing Block Grants; 15.124 Indian Loans\_Economic Development; 15.141 Indian Housing Assistance; 93.612 Native American Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must be submitted by any eligible tribe or Alaska Native Village which has the capacity to administer a grant. Applications are then rated against factors which measure impact and quality.

**14.865 PUBLIC AND INDIAN HOUSING\_INDIAN LOAN GUARANTEE PROGRAM**

(Loan Guarantees for Indian Housing)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Public Law 102-550, 12 U.S.C 1515z - 13a.

**OBJECTIVES:**

To provide homeownership opportunities to Native Americans, Tribes, Indian Housing Authorities including Tribally Designated Housing Entities (TDHEs), and Indian Housing Authorities on Indian land, through a guaranteed mortgage loan program available through private financial institutions.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Mortgage loans are for the acquisition or rehabilitation of existing homes, purchase and rehabilitation of a home or construction of a new home; and refinancing of existing debt. The financial institution which originates the mortgage loan must meet certain requirements noted in the law.

**Applicant Eligibility:**

The loan applicant must be members of a federally recognized Indian tribe, band or community, which includes Native Americans, Alaska Natives, or an Indian Housing Authority including a Tribally Designated Housing Authority (TDHE) or a Tribe which meets certain requirements. Applicant eligibility is validated by current enrollment in a federally recognized tribe.

**Beneficiary Eligibility:**

The homeowner is the ultimate beneficiary of the program. When the Indian Housing Authority, TDHE or Tribe is the homebuyer, they may then rent the property. In these cases, the person renting the home would be an indirect beneficiary.

**Credentials/Documentation:**

Loan applicants must provide the lender with documentation on eligibility, assets, income, debts and liabilities to show ability to obtain and repay the mortgage loan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Applications are submitted to eligible financial institutions. With the loan application, the homebuyer must submit documentation such as pay stubs, W-2 forms (income tax returns if self-employed), evidence of assets such as bank accounts, and any other documentation requested by the lender to support the applicant's ability to obtain and repay the mortgage. The lender verifies the land status of the proposed property.

**Award Procedure:**

The financial institution obtains and reviews all documentation and forwards it to HUD's Office of Native American Programs. HUD sends the Section 184 Loan Guarantee Firm Commitment Form to the Lender if the mortgage meets the Section 184 Program underwriting criteria. The financial institution is responsible for assuring Tribal eligibility, land status, property acceptability and the creditworthiness of the loan applicant. HUD has responsibility for the approval or disapproval of the loan (the application for loan guarantee). Eligible lenders may originate loans under the Direct Guarantee Program. Direct Guarantee lenders underwrite, approve and close the loan prior to submission to HUD for the Loan Guarantee Certificate.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. There are no specific time requirements for the processing of these loans.

**Appeals:**

From 15 to 30 days. Applicants whose loans are disapproved may appeal the disapproval if the applicant can provide additional documentation to resolve the issues which lead to the disapproval.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of the loan cannot exceed 30 years. The processing time varies from time of application to the time the loan closes, but in general will average from 30 to 120 days unless there are significant land issues. See the following for information on how assistance is awarded/released: This is a loan guarantee program. Therefore assistance is given in the form of a guarantee. No funds are awarded or released unless there is a default on a guaranteed loan.

**Reports:**

Participating financial institutions must provide HUD with copies of loan files and must report to HUD on the status of the loan, once it has closed. No cash reports are required. Progress reports are part of the reporting process described above. Expenditure reports are not applicable. Performance monitoring is also part of the reporting process described above.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Participating lenders and closed loan files are reviewed to assure compliance with the program's requirements.

**Records:**

Copies of loan files are maintained by HUD. The lender that originates the loan must maintain a copy of the loan file for 2 years after loan closing. The lender that services the loan must maintain the loan file for the life of the loan plus 3 years.

**Account Identification:**

86-0223-0-1-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$536,000,000; FY 11 est \$919,000,000; and FY 12 est \$428,000,000

**Range and Average of Financial Assistance:**

The average loan amount in FY 2010 was \$163,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program guaranteed 3,300 loans for \$544.5 million in loan guarantees. Fiscal Year 2011: The program projects to guarantee 3,600 loans for approximately \$650 million in loan guarantees. Fiscal Year 2012: The program projects to guarantee 4,200 loans for approximately \$725 million in loan guarantees.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1005; a Guidebook and literature is available from HUD's Office of Native American Programs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas C. Wright, 451 7th Street, S.W., Room 5156, Washington, District of Columbia 20410 Email: Thomas.C.Wright@hud.gov Phone: (202) 402-4978

**Website Address:**

<http://www.hud.gov/offices/pih/ih/homeownership/184>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.866 DEMOLITION AND REVITALIZATION OF SEVERELY DISTRESSED PUBLIC HOUSING**

(HOPE VI)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Appropriation Act 2009, Public Law 111-8.

**OBJECTIVES:**

Revitalization Grants enable PHAs to improve the living environment for public housing residents of severely distressed public housing projects through the demolition, substantial rehabilitation, reconfiguration, and/or replacement of severely distressed units; revitalize the sites on which severely distressed public housing projects are located and contribute to the improvement of the surrounding neighborhood; lessen isolation and reduce the concentration of low-income families; build sustainable mixed-income communities; and provide well-coordinated, results-based community and supportive services that directly complement housing redevelopment and that help residents to achieve self-sufficiency, young people to obtain educational excellence, and the community to secure a desirable quality of life.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

HOPE VI Revitalization grant funds may be used to fund the revitalization of severely distressed public housing developments. Such activities include the demolition of severely distressed public housing developments or portions thereof; relocation costs for affected residents; disposition activities; rehabilitation of existing public housing units and/or community facilities; development of new public and other housing units and community facilities; homeownership activities; acquisition activities; necessary management improvements and administrative costs; and community and supportive services. Up to 15 percent of a grant may be used for community and supportive services activities.

**Applicant Eligibility:**

For HOPE VI Revitalization Grants, Public Housing Agencies (PHAs) operating public housing units are eligible to apply. Indian Housing Authorities and PHAs that only administer the Section 8 Program are not eligible to apply.

**Beneficiary Eligibility:**

For HOPE VI Revitalization Grants, the ultimate beneficiaries are residents of the severely distressed public housing and residents of the revitalized development.

**Credentials/Documentation:**

Eligibility requirements to apply for a HOPE VI grant are included in each year's Notice of Funding Availability (NOFA). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicant indicates on the SF-424 (Application for federal assistance) whether they are subject to E.O 12372 or not. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For FY 2009, the issuance of the NOFA is announced in the Federal Register. The NOFA and all necessary application materials are made available on the Grants.gov website and the HUD website.

**Award Procedure:**

HUD Headquarters reviews each eligible application for threshold compliance, assigns rating points to applications that pass all thresholds, and the highest-rated applications are notified that they have been selected to participate in the HOPE VI program. Funds are obligated when HUD and the applicant execute a form HUD-1044, "Assistance Award/Amendment".

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 3 months from the application deadline date.

**Appeals:**

Applicants are notified by HUD if an application is not approved.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: 1. Overall match of 5 percent.

2. Community and Supportive Services (CSS) match: if applicants are requesting over 5% of the grant to be used for CSS, they must provide match for that amount that exceeds the 5% (note: per statute at most, 15% of the total grant may be used for CSS).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each year's grant agreement sets out the requirements regarding timetables and milestones. See the following for information on how assistance is awarded/released: Following execution of the HUD-1044 obligating document, HUD approves (over the life of the grant) budget requests from the grantee, releasing funds through HUD's financial system - Line of Credit Control System (LOCCS).

**Reports:**

No program reports are required. No cash reports are required. Grantees report quarterly into the HOPE VI Quarterly Progress Reporting system. This system is the central data source for the HOPE VI program on an individual grantee and aggregate level. Grantees report on such things as demolition, relocation, unit production, occupancy and financial information. HUD uses this system in order to develop its Annual Report to Congress on HOPE VI, and for other reporting purposes. The HOPE VI Quarterly Progress Reporting system

includes extracts from LOCCS data on grant obligation and expenditures. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. HOPE VI Revitalization grants are audited in conjunction with regular HUD or independent public accountant audits of PHA operations in accordance with 24 CFR 85.26, and after grant close-out.

**Records:**

Copies of budgets and accumulative cost records through the grant period, and other records necessary to indicate compliance with the Grant Agreement.

**Account Identification:**

86-0218-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$117,096,500; FY 11 est \$99,800,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$10,000,000 to \$30,000,000; Average \$22,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: At the end of fiscal year 2010, HOPE VI grantees had relocated 73,167 households; demolished 96,017 public housing units; completed 83,951 units; and occupied 82,425 units. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations have been published. Each grant is subject to the terms of its NOFA and Grant Agreement, which is the contract signed by the Grantee and HUD. HUD posts guidance to its Home Page (<http://www.hud.gov/offices/pih/programs/ph/hope6/>) which provides Grantees with information on timelines, budgets, financial instructions, and other program guidance. HUD also publishes a Mixed-Finance Guidebook that is available to the public by calling (800) 955-2232.

**Regional or Local Office:**

None. The level of field office involvement in the administration of a project varies grant-by-grant. All HOPE VI Demolition grants are administered in the Field, and most Revitalization grants are administered in Headquarters. Applicants should contact the HUD Field Office listed on the internet at <http://www.hud.gov/local/> that has jurisdiction for their area.

**Headquarters Office:**

Leigh van Rij, 451 7th Street, S.W., Room 4130, Washington, District of Columbia 20410 Email: [leigh.e.vanrij@hud.gov](mailto:leigh.e.vanrij@hud.gov) Phone: (202) 402-5788.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/hope6/>

**RELATED PROGRAMS:**

14.850 Public and Indian Housing; 14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.867 INDIAN HOUSING BLOCK GRANTS**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Native American Housing Assistance and Self-Determination Reauthorization Act 2008, Public Law 110-411.

**OBJECTIVES:**

To provide Federal assistance for Indian tribes in a manner that recognizes the right of tribal self-governance, and for other purposes.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Affordable housing activities such as: Indian Housing Assistance; Development; Housing Services; Housing Management Services; Crime Prevention and Safety Activities; and Model Activities. IHBG program activities are restricted to those listed in subpart B of the regulations at 24 CFR, part 1000.

**Applicant Eligibility:**

Indian tribes or tribally designated housing entities (TDHE) (to be eligible for Indian housing block grant funds the tribe or TDHE must submit an Indian housing plan that is in compliance with the requirements of Section 102 of NAHASDA).

**Beneficiary Eligibility:**

Primarily low-income families and in limited cases, over-income families may be eligible.

**Credentials/Documentation:**

Recipients shall comply with requirements and standards of OMB Circular No. A-133, and specified sections of 24 CFR 85. A Self-governance Indian tribe (Public Law 93- 638) may certify that its administrative requirements meet or exceed the comparable requirements of OMB Circular No. A-133 and 24 CFR 85. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The environmental effects of each activity must be evaluated in accordance with the National Environmental Policy Act and 24 CFR parts 50 and 58. An environmental review does not have to be completed prior to HUD approval of an Indian Housing Plan. Both an impact statement or an impact assessment may be required. In some circumstances a project could be exempted from either or both. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

None.

**Deadlines:**

Jul 01, 2011 Indian housing plans must be submitted prior to July 1st of each Federal Fiscal Year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Indian Housing Block Grant funds are drawn down from the Treasury based on need using an electronic fund transfer disbursement and information system. Within two years of grant award, no less than 90 percent of the grant must be obligated. See the following for information on how assistance is awarded/released: Upon execution of grant agreements, funds are drawn from HUD's financial system as needed.

**Reports:**

The Indian Housing Block Grant program requires an Annual Performance Report. No cash reports are required. Progress reports are a required part of the Annual Performance Report. In addition, expenditure reports should be included in the Annual Performance Report. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grants files are maintained by HUD for one year after grant close out and destroyed six years after the grant close out pursuant to the HUD Records and Disposition Handbook.

**Account Identification:**

86-0313-0-1-604.

**Obligations:**

(Formula Grants) FY 10 \$754,902,636; FY 11 est \$646,704,000; and FY 12 est \$698,000,000

**Range and Average of Financial Assistance:**

\$49,915 to \$84,791,419; Average \$1,737,486.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Native American Housing Block Grant (NAHBG) program assisted 3,203 homeowners by either building, acquiring, or substantially rehabilitating their homes. This program assisted 1,121 families by either building, acquiring, or substantially rehabilitating rental homes. Fiscal Year 2011: Native American Housing Block Grant (NAHBG) program is projected to assist 4,415 homeowners by either building, acquiring, or substantially rehabilitating their homes. This program is projected to assist 1,380 families by either building, acquiring, or substantially rehabilitating rental homes. Fiscal Year 2012: Native American Housing Block Grant (NAHBG) program is projected to assist 4,415 homeowners by either building, acquiring, or substantially rehabilitating their homes. This program is projected to assist 1,380 families by either building, acquiring, or substantially rehabilitating rental homes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 1000.

**Regional or Local Office:**

See Regional Agency Offices. Inquiries should be addressed to the Administrator, Office of Native American Programs at the appropriate area office (see Catalog Address Appendix IV for HUD Office of Native American Programs area office addresses in Chicago, Denver, Phoenix, Seattle, Oklahoma City and Anchorage).

**Headquarters Office:**

Rodger Boyd, 451 7th Street, S.W., Room 4126 , Washington, District of Columbia 20410 Email: Rodger.J.boyd@hud.gov Phone: (202) 401-7914.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/grants/ihbg.cfm>

**RELATED PROGRAMS:**

14.862 Indian Community Development Block Grant Program; 15.124 Indian Loans\_Economic Development; 15.141 Indian Housing Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.869 TITLE VI FEDERAL GUARANTEES FOR FINANCING TRIBAL HOUSING ACTIVITIES**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Native American Housing Assistance and Self-Determination Reauthorization Act (NAHASDA) of 2008, Public Law 110-411.

**OBJECTIVES:**

To assist an Indian tribe or Tribally Designated Housing Entity (TDHE) to

obtain financing for affordable housing activities under Title II of NAHASDA where an obligation cannot be completed without such guarantee.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Limited to the eligible affordable housing activities listed in Section 202 of the NAHASDA to include Indian Housing Assistance, Development, Housing Services, Housing Management Services, Crime Prevention and Safety Activities, and Model Activities approved by the Secretary.

**Applicant Eligibility:**

The applicant must be a Federally recognized Indian tribe or TDHE that is either a beneficiary or recipient of Indian Housing Block Grants (IHBG) funds.

**Beneficiary Eligibility:**

Indian tribes and their members are the beneficiaries. A TDHE acts on behalf of a tribe, as authorized by Tribal and TDHE resolutions.

**Credentials/Documentation:**

The applicant must provide the lender the documentation detailed in the "Title VI Application Process," including the certifications required under 24 CFR Section 1000.424(d) that the applicant possesses the legal authority to pledge, and if approved, the applicant will make the pledge of IHBG funds required by section 602(a)(2) of NAHASDA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible lenders are detailed in the statute. The lender assembles the Title VI application package and submits it to HUD. HUD will review the application for compliance with Title VI of NAHASDA and the implementing regulations.

**Award Procedure:**

HUD issues a Letter of Firm Commitment to the lender when HUD approves the Title VI application and the mortgage meets the Title VI Program underwriting criteria. The lender then closes the loan and submits the closing package to HUD for review. Following a successful review, HUD issues a Certificate of Loan Guarantee to the lender.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. The Title VI regulation at 24 CFR 1000.430(a) states that HUD will make every effort to approve an application within 30 days of the receipt of a completed application, and if HUD is unable to do so, will notify the lender (the applicant via the lender) within the 30 day time frame of the need for additional time to process the application and/or if additional information is required.

**Appeals:**

From 15 to 30 days. HUD will notify the lender in writing that the application has been reduced or disapproved and the specific reasons for the reduction or the disapproval. The lender may submit additional documentation to reverse the HUD decision.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 5%. Borrowers may be required to pledge security in addition to IHBG funds to secure the remaining 5 percent of the loan balance that is not secured by the 95 percent federal loan guarantee. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of the loan may exceed 20 years, as approved by HUD. The lender

and applicant shall determine the terms of the repayment for each project, subject to HUD's approval. See the following for information on how assistance is awarded/released: This is a loan guarantee program. Therefore assistance is given in the form of a guarantee. No funds are awarded or released unless there is a default on a guaranteed loan.

**Reports:**

The lender will provide HUD a quarterly report on the guaranteed loan, including the status of the guaranteed loan, the current principal balance, and the amount collected during the quarter just ended. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Participating lenders and closed loan files are reviewed to assure compliance with the program's requirements.

**Records:**

Copies of loan files are maintained by HUD. The originating lender must maintain a copy of the loan file for 2 years after loan is guaranteed. The servicing lender must maintain a loan file for the line of the loan plus 3 years.

**Account Identification:**

86-0313-0-1-604.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$3,153,240; FY 11 est \$20,000,000; and FY 12 est \$20,000,000

**Range and Average of Financial Assistance:**

A borrower's guaranteed obligations may not exceed an amount equal to the borrower's IHBG, less the amount needed to operate and maintain current assisted stock (CAS), times five (IHBG - CAS X 5 = maximum guaranteed amount).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, the Department guaranteed 3 loans totaling \$2.6 million. Fiscal Year 2011: In fiscal year 2011, the Department anticipates that 10 loans totaling \$14 million will be guaranteed. Fiscal Year 2012: In fiscal year 2012, the Department anticipates that 10 loans totaling \$14 million will be guaranteed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1000, subpart E; "The Title VI Application Process" and promotional literature are available from HUD's National Program Office of Native American Programs, Office of Loan Guarantee; and the Title VI web page (see the address below).

**Regional or Local Office:**

None. (see Headquarters Office below).

**Headquarters Office:**

Thomas C. Wright, 451 7th Street, S.W., Room 5156, Washington, District of Columbia 20410 Email: Thomas.C.Wright@hud.gov Phone: (202) 402-4978.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/homeownership/titlevi/>

**RELATED PROGRAMS:**

14.865 Public and Indian Housing Indian Loan Guarantee Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Title VI and Section 202 of NAHASDA; criteria is detailed in the "The Title VI Application Process" available from HUD's National Program Office, Office of Loan Guarantee, and on the Title VI web site (<http://www.hud.gov/offices/pih/ih/homeownership/titlevi/>).

#### **14.870 RESIDENT OPPORTUNITY AND SUPPORTIVE SERVICES - SERVICE COORDINATORS**

(ROSS Service Coordinators)

##### **FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

##### **AUTHORIZATION:**

The Consolidated Appropriations Act 2008, Public Law 110-161.

##### **OBJECTIVES:**

To programmatically address the needs of public housing residents by providing service coordinator positions to coordinate supportive services, resident empowerment activities and/or assisting residents in becoming economically self-sufficient or age-in-place.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Grant funds may be used for the salary of Service Coordinator positions, with some administrative and training funds. Only residents of conventional public housing may benefit from this program.

##### **Applicant Eligibility:**

Public Housing Authorities (PHAs), Tribes and tribally designated housing entities (TDHEs), resident councils and nonprofit entities supported by residents. Applicants must establish partnerships to leverage resources.

##### **Beneficiary Eligibility:**

Individuals, families, children, youth, adults as well as elderly/persons with disabilities who are residents of conventional public or Indian housing are eligible to receive benefits from the ROSS program.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Notice of Funding Availability (NOFA) prescribing the specific information to be submitted will be published in the Federal Register by HUD Headquarters. HUD provides the application and standard forms for this program.

##### **Award Procedure:**

HUD will review applications in accordance with selection criteria in the NOFA published in the Federal Register.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 120 to 180 days. Processing of applications and selection of successful applicants will be undertaken by HUD. HUD will make the final selection and obligate funds.

##### **Appeals:**

There is no appeals process. Applicants whose applications did not receive funding may request a debriefing. Further information is included in the NOFA.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

HUD will provide assistance for a 3-year time period. See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are drawn by grantees through HUD's financial system.

##### **Reports:**

Grantees must keep program records and submit annual reports as specified by HUD. No cash reports are required. Grantees must keep progress reports and submit annual reports as specified by HUD. Grantees must keep expenditure reports and submit annual reports as specified by HUD. No performance monitoring is required.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees must adhere to the policies, guidelines and requirements of 24 CFR Part 84 or 85 and OMB Circular No. A-87; OMB Circulars A-110 and A-122 apply to the acceptance and use of assistance by private nonprofit agencies.

##### **Records:**

Records will be retained in accordance with the HUD regulation, 24 CFR Part 84 or 85.

##### **Account Identification:**

86-0304-0-1-604.

##### **Obligations:**

(Project Grants) FY 10 \$28,085,712; FY 11 est \$35,000,000; and FY 12 est \$0

##### **Range and Average of Financial Assistance:**

Generally between \$250,000 - \$750,000 (3 years).

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program awarded 112 grants thru the NOFA. Fiscal Year 2011: The program anticipates to award 110-120 grants thru the NOFA. Fiscal Year 2012: The program anticipates to award 110-120 grants thru the NOFA.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD appropriation statutes and the specific fiscal year NOFA published in the Federal Register provide program requirements and guidelines.

##### **Regional or Local Office:**

None. Designated persons in the Offices of Public Housing and Native American Programs listed in Appendix IV of the Catalog.

##### **Headquarters Office:**

Anice Schervish, 451 7th Street, SW, Room 4130, Washington, District of Columbia 20410 Email: anice.m.schervish@hud.gov Phone: (202) 402-2341.

##### **Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/ross/>

##### **RELATED PROGRAMS:**

14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services

##### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

##### **CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the NOFA.

#### **14.871 SECTION 8 HOUSING CHOICE VOUCHERS**

##### **FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

##### **AUTHORIZATION:**

Housing Act of 1937; Omnibus Appropriations Act of 2009, Public Law 111-8.

##### **OBJECTIVES:**

To aid very low income families in obtaining decent, safe, and sanitary rental

housing. For Fair Share Vouchers and Welfare-to-Work Vouchers, Public Housing Agencies (PHA) must meet certain selection criteria. For Welfare-to-Work rental vouchers, families must also meet special welfare-to-work criteria. HUD regulations merged the former Section 8 Rental Voucher program (14.855) with the former Section 8 Certificate program (14.857). Section 502 of the Public Housing Reform Act states that a purpose of the legislation is "consolidating the voucher and certificate programs for rental assistance under Section 8 of the United States Housing Act of 1937 (the "USHA") into a single market-driven program that will assist in making tenant-based rental assistance more successful at helping low-income families obtain affordable housing and will increase housing choice for low-income families".

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe, and sanitary housing for very low income families at rents they can afford. Housing assistance payments are generally the difference between the local payment standard and 30 percent of the family's adjusted income.

**Applicant Eligibility:**

Applicants are limited to public housing agencies. A public housing agency (PHA) is defined as any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for very low income families; and, a consortium of PHAs; any other nonprofit entity that was administering a Section 8 tenant-based program on October 21, 1998; or, for an area outside the jurisdiction of a PHA administering a voucher program, a private nonprofit entity or a governmental entity or public body that would otherwise lack jurisdiction to administer the program in such area.

**Beneficiary Eligibility:**

Very low income families (whose income does not exceed 50 percent of the median income for the area as determined by the Secretary with adjustments for smaller and larger families) and, on an exception basis, lower income families (whose income does not exceed 80 percent of the median income for the area, adjusted for smaller and larger families). At least 75 percent of families admitted to the voucher program during the PHA fiscal year must be extremely low income families (whose income does not exceed 30 percent of the median income for the area).

**Credentials/Documentation:**

In the Housing Choice Voucher Program, the PHA must support its application by furnishing data that the program proposed is responsive to the condition of the housing stock in the community and the housing assistance needs of very low income families (including the elderly, handicapped and disabled, large families and those displaced) residing in the community. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of Application for Housing Assistance Payments Program (Form HUD-52515).

**Award Procedure:**

The HUD Grants Management Center generally makes the final decision based on the results of the rating and ranking process. Welfare-to-Work vouchers were awarded through a national competition in fiscal year 1999.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Expiring increments of Section 8 housing choice voucher assistance are automatically renewed by HUD (subject to appropriations).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

New funding is provided for 12 months. See the following for information on how assistance is awarded/released: Funds are disbursed monthly.

**Reports:**

Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B; and Family Report, HUD Form 50058. Cash reports are not applicable. Progress reports are not applicable. Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B (Supplemental). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Housing Choice Voucher Contract.

**Account Identification:**

86-0302-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$13,393,783,119; FY 11 est \$13,873,956,551; and FY 12 est \$14,255,837,000

**Range and Average of Financial Assistance:**

\$4,962 to \$1,013,893,529; Average \$6,729,836.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program served approximately 2.0 million families. Fiscal Year 2011: The program projects to serve 2.1 million families. Fiscal Year 2012: The program projects to serve 2.2 million families.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 982; Section 8 Rental Certificate, Rental Voucher and Moderate Rehabilitation Programs Forms, Legal Contracts, and Publications Handbook, 7420.8; Housing Choice Voucher Program Guidebook, 7420.10G.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are located.

**Headquarters Office:**

Laure Rawson, 451 7th Street, S.W., Room 4210, Washington, District of Columbia 20410 Email: Laure.Rawson@hud.gov Phone: (202) 708-0477.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/hcv/index.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See NOFA.



## 14.872 PUBLIC HOUSING CAPITAL FUND

(CFP)

### FEDERAL AGENCY:

Office of Public and Indian Housing, Department of Housing and Urban Development

### AUTHORIZATION:

Housing Act of 1937, as amended; Quality Housing and Work Responsibility Act of 1998, Omnibus Appropriations Act 2009, Public Law 111-8.

### OBJECTIVES:

The Capital Fund provides funds annually to Public Housing Agencies (PHAs) for capital and management activities, including modernization and development of public housing. The Capital fund also permits PHAs to use Capital Funds for financing activities, including payments of debt service and customary financing costs, in standard PHA developments and in mixed-finance developments which include Public Housing.

### TYPES OF ASSISTANCE:

FORMULA GRANTS

### USES AND USE RESTRICTIONS:

The funds may be used for the development, financing and modernization of public housing developments and for management improvements. The funds may not be used for luxury improvements, direct social services, costs funded by other programs, and ineligible activities as determined by HUD on a case-by-case basis. Assistance must be used to modernize and/or develop public housing and must comply with the eligible activities of Section 9(d) of the U.S. Housing Act of 1937.

### Applicant Eligibility:

The PHA must demonstrate that it has the legal authority to develop, own, modernize and operate a public housing development in accordance with the 1937 Act.

### Beneficiary Eligibility:

Low-income public housing residents.

### Credentials/Documentation:

PHAs must submit the following documents with their PHA Plan which includes a component for the Capital Fund Program: Form HUD-50075, PHA Certification of Compliance with The PHA Plan and Related Regulations; State or Local Certification of Consistency with the Consolidated Plan; Form HUD-5070, Certification of a Drug-Free Workplace; Form HUD-50071, Certification of Payments To Influence Federal Transactions; and Standard Form SF-LLL and SF-LLLa, Disclosure of Lobbying Activities (where applicable). OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. PHAs annually submit a PHA Plan to the local HUD Field Office that consolidates information submitted by the PHA for various HUD programs into one document. The CFP is one component of the Plan.

### Award Procedure:

The Field Office reviews and approves the PHA Plan, which includes information relative to the CFP.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

From 60 to 90 days. The Field Office must notify the PHA within 75 days after the PHA submits the Plan of disapproval. If the PHA is not notified of

disapproval within 75 days, the Plan shall be considered approved.

### Appeals:

Not Applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

Statutory Formula: Title 24, Part 905, Subpart 10.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

The statute requires that CFP funds allocated to a PHA be fully obligated within two years and expended in four years unless the Secretary extends the time period. Method of awarding/releasing assistance: lump sum.

### Reports:

PHAs must provide performance and evaluation reports annually for all open grants. Cash reports are not applicable. Progress reports are also part of the performance and evaluation reports. PHAs are required to report on expenditures monthly in HUD's financial system. Performance monitoring is also part of the performance and evaluation reports.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The CFP is audited in conjunction with the regular HUD or independent public accountant audit of PHA operations.

### Records:

The PHA must maintain budgets and cumulative cost records for review by HUD and independent auditors, as applicable.

### Account Identification:

86-0304-0-1-604.

### Obligations:

(Formula Grants) FY 10 \$1,994,765,815; FY 11 est \$2,307,054,874; and FY 12 est \$1,977,436,258

### Range and Average of Financial Assistance:

\$315 to \$434,798,661; Average: \$620,000.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2010: The Department made available \$1.97 billion to approximately 3,100 grantees for modernization, improvement, and new development to Public Housing projects. Fiscal Year 2011: The Department will make available \$2.29 billion to approximately 3,100 grantees for modernization, improvement, and new development to Public Housing projects. Fiscal Year 2012: The Department will make available \$1.98 billion to approximately 3,100 grantees for modernization, improvement, and new development to Public Housing projects.

### REGULATIONS, GUIDELINES, AND LITERATURE:

24 CFR Part 905.

### Regional or Local Office:

See Regional Agency Offices. Inquiries should be addressed to the Public Housing Director who has jurisdiction over the PHA (See the Catalog, Appendix IV for HUD Field Office addresses).

### Headquarters Office:

Jeffrey Riddel, 451 7th St. SW, Room 4130, Washington, District of Columbia 20410 Email: Jeffrey.Riddel@hud.gov Phone: (202) 708-1640.

### Website Address:

<http://www.hud.gov/offices/pih/programs/ph/capfund/index.cfm>.

### RELATED PROGRAMS:

14.884 Public Housing Capital Fund Competitive (Recovery Act Funded)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.873 NATIVE HAWAIIAN HOUSING BLOCK GRANTS****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Hawaiian Homelands Homeownership Act of 2000; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To provide housing assistance to low-income Native Hawaiian families who are eligible to reside on Hawaiian Home Lands.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible affordable housing activities are development, housing services, crime prevention and safety activities, and model activities. NHHBG funds may only be used for eligible activities that are consistent with the Department of Hawaiian Home Lands housing plan.

**Applicant Eligibility:**

The Department of Native Hawaiian Home Lands (DHHL) is the only eligible grant recipient.

**Beneficiary Eligibility:**

Native Hawaiian families who are eligible to reside on the Hawaiian Home Lands.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of Housing Plan.

**Award Procedure:**

Native Hawaiian Housing Block Grant funds are provided to the Department of Hawaiian Home Lands (DHHL), the sole eligible grant recipient.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Grant funds are made available on an annual basis, subject to annual congressional appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual grants. See the following for information on how assistance is awarded/released: Upon execution of grant agreement, funds are drawn from HUD's financial system.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Annual performance reports to HUD.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Compliance with the Single Audit Act and OMB Circular A-133.

**Records:**

Grant files are maintained by HUD for one year after grant closeout and destroyed six years after grant closeout pursuant to the HUD Records Disposition Handbook.

**Account Identification:**

86-0235-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$13,332,540; FY 11 est \$29,000,000; and FY 12 est \$10,000,000

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Through this program, the grant recipient assisted 78 homeowners by either building, acquiring, or substantially rehabilitating their homes. Fiscal Year 2011: Through this program, the grant recipient projects to assist 65 homeowners by either building, acquiring, or substantially rehabilitating their homes. Fiscal Year 2012: Through this program, the grant recipient projects to assist 65 homeowners by either building, acquiring, or substantially rehabilitating their homes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Rule published June 13, 2002. Final regulations effective December 29, 2003.

**Regional or Local Office:**

None.

**Headquarters Office:**

Claudine Allen, 500 Ala Moana Boulevard, Suite 3A, Honolulu, Hawaii 96813  
Email: Claudine.C.Allen@hud.gov Phone: (808) 522-8175 Ext. 223.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/codetalk/onap/nhhbgprogram.cfm>.

**RELATED PROGRAMS:**

14.867 Indian Housing Block Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.874 LOAN GUARANTEES FOR NATIVE HAWAIIAN HOUSING**

(Section 184A)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

American Homeownership and Economic Opportunity Act of 2000, Section 514, Public Law 106-569.

**OBJECTIVES:**

To provide eligible Native Hawaiian families with greater access to private mortgage resources by guaranteeing loans for one-to four family housing located on Hawaiian Home Lands.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

A loan guaranteed under this part may only be used to construct, acquire, or rehabilitate eligible housing. The housing must be located on Hawaiian Home Lands for which a housing plan has been determined by HUD to be in compliance with regulations.

**Applicant Eligibility:**

A Native Hawaiian family; the Department of Hawaiian Home Lands; the Office of Hawaiian Affairs; a private nonprofit organization experienced in the planning and development of affordable housing for Native Hawaiians.

**Beneficiary Eligibility:**

Native Hawaiian homeowners are the beneficiaries of the program.

**Credentials/Documentation:**

Individual Loan Applicants must meet the definitions of Native Hawaiian and provide the eligible lender with documentation of that eligibility, assets, income, debts and liabilities to show ability to obtain and repay the loan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted to eligible financial institutions. With the loan application, the homebuyer submits documentation such as pay stubs, W-2 forms, tax returns, evidence of assets such as bank accounts, and any other documentation requested by the lender to support the applicant's ability to obtain and repay the mortgage. The lender will verify the eligibility of the land status.

**Award Procedure:**

The financial institution obtains and reviews all documentation and submits it to HUD. HUD is responsible for ensuring the individual applicants Native Hawaiian eligibility, land status per Section 204 of the Hawaiian Homes Commission Act, housing acceptability, and the creditworthiness of the applicant. HUD has responsibility for the approval or disapproval of the applicant and the issuance of the loan guarantee. If the loan guarantee funds are available, a firm commitment is issued to the lender. Firm commitments are valid for a period not to exceed 90 days from issuance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. HUD may approve a loan for guarantee under this part and issue a certificate under this section only if HUD determines that there is a reasonable prospect of repayment of the loan.

**Appeals:**

From 15 to 30 days. Applicants whose loans are disapproved may appeal the disapproval. Additional documentation to resolve the issues which led to the disapproval may be required.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The loan term shall not exceed thirty years. Processing time of the individual loans will depend on the quality of the lenders submittal and HUD's ability to ascertain proper land and lease status. See the following for information on how assistance is awarded/released: This is a loan guarantee program. Therefore assistance is given in the form of a guarantee. No funds are awarded or

released unless there is a default on a guaranteed loan.

**Reports:**

Lenders will be required to report loan delinquencies on a monthly basis. Cash reports are not applicable. No progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Participating lenders will be subject to review and closed loan files are subject to review to assure compliance with the requirements of Section 184A.

**Records:**

Copies of loan files will be maintained by HUD. The originating lender must maintain copies of the guaranteed loan file for two years after loan closing. The servicing lender must maintain the loan file for the life of the loan plus three years.

**Account Identification:**

86-0233-0-1-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$37,258,358; FY 11 est \$41,504,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

The average loan amount in FY 2010 was \$256,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program guaranteed 80 loans. Fiscal Year 2011: The program projects to guarantee 125 loans. Fiscal Year 2012: The program projects to guarantee 140 loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1007.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas C. Wright, 451 7th Street, S.W., Room 5156, Washington, District of Columbia 20410 Email: Thomas.C.Wright@hud.gov Phone: (202) 402-4978.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/codetalk/onap/program184a.cfm>

**RELATED PROGRAMS:**

14.865 Public and Indian Housing Indian Loan Guarantee Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.877 PUBLIC HOUSING FAMILY SELF-SUFFICIENCY UNDER RESIDENT OPPORTUNITY AND SUPPORTIVE SERVICES**

(Public Housing Family Self-Sufficiency (PH FSS))

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

The Consolidated Appropriations Act 2008, Public Law 110-161.

**OBJECTIVES:**

To promote the development of local strategies to coordinate the use of assistance under the Public Housing program with public and private resources to enable participating families to achieve economic independence and housing self-sufficiency.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to pay the salary and fringe benefits of a program coordinator. Only residents of conventional public housing may benefit from this program.

**Applicant Eligibility:**

Public Housing Authorities (PHAs) and Tribes and tribally designated housing entities (TDHEs).

**Beneficiary Eligibility:**

Individuals and families who are residents of conventional public or Indian housing are eligible to receive benefits from the ROSS program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Notice of Funding Availability (NOFA) prescribing the specific information to be submitted will be published in the Federal Register by HUD Headquarters. HUD provides the application and standard forms for this program.

**Award Procedure:**

HUD will review those applications in accordance with the NOFA published in the Federal Register.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. HUD will undertake processing of applications and selection of successful applicants. HUD will make final selection and obligate funds.

**Appeals:**

There is no appeals process. Applicants whose applications did not receive funding may request a debriefing. Further information is included in the NOFA.

**Renewals:**

From 120 to 180 days.

**Formula and Matching Requirements:**

Statutory Formula: Chapter 24, Part 984.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

HUD will provide assistance for a 1-year time period. See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are made available through HUD's financial system.

**Reports:**

Grantees must keep program records and submit annual reports as specified by HUD. No cash reports are required. Grantees must keep progress reports and submit annual reports as specified by HUD. Grantees must keep expenditure reports and submit annual reports as specified by HUD. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Grantees must adhere to the policies, guidelines, and requirements of 24 CFR Part 84 or 85 and OMB Circular No. A-87; OMB Circulars A-110 and A-122 apply to the acceptance and use of assistance by private nonprofit agencies.

**Records:**

Records will be retained in accordance with the HUD regulation, 24 CFR Part 84 or 85.

**Account Identification:**

86-0304-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$12,011,531; FY 11 est \$15,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

The average financial assistance was \$60,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program awarded approximately 200 grants through NOFA. Fiscal Year 2011: The program anticipates to award approximately 200 grants through NOFA. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD appropriation statutes and the specific fiscal year NOFA published in the Federal Register provide program requirements and guidelines. See also 24 CFR 984

**Regional or Local Office:**

None. Designated personal in the offices of Public Housing and Native American Programs listed in Appendix IV of the Catalog.

**Headquarters Office:**

Anice Schervish, 451 7th St. SW, Room 4238, Washington, District of Columbia 20410 Email: anice.m.schervish@hud.gov Phone: (202) 402-2341.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/ross/>

**RELATED PROGRAMS:**

14.870 Resident Opportunity and Supportive Services - Service Coordinators

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the NOFA.

**14.878 AFFORDABLE HOUSING DEVELOPMENT IN MAIN STREET REJUVENATION PROJECTS**

(Main Street)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

HOPE VI Program Reauthorization and Small Community Mainstreet Rejuvenation and Housing Act of 2003, Public Law 108-186.

**OBJECTIVES:**

To assist small communities with populations of 50,000 or less and 100 Public Housing units or less in the rejuvenation of historic or traditional central business districts or "Main Street Areas" by replacing unused commercial space in buildings with Affordable housing units. The objectives of the program are to: (1) Redevelop Main Street Areas; (2) Preserve historic or traditional architecture or design features in Main Street Areas; (3) Enhance economic development efforts in Main Street Areas; and (4) Provide affordable housing in Main Street Areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Main Street grant funds may be used to rehabilitate or develop new affordable housing that is included in a Main Street rejuvenation effort. Main Street housing units must be maintained as affordable for the initial residents only.

Each resident (or family) must have an adjusted income of 80 percent or less of the area median income. Allowable activities that may be funded by a Main Street grant include: development of new housing units; rehabilitation of non-habitable existing housing units; acquisition activities; homeownership activities; necessary management improvement costs; relocation costs for affected residents; and community and supportive services. Main Street grant funded activities are limited to: affordable housing development that is part of an existing Main Street rejuvenation effort; development cost up to a maximum of HUD's Total Development Cost for public housing units; maximum fees and soft costs listed in HUD's public housing Safe Harbor Cost Controls; and a maximum of 15 percent of the grant amount to support community and supportive services activities. Main Street grant funds must NOT be used to develop or replace public housing or to repair existing habitable housing.

**Applicant Eligibility:**

Eligible applicants include, and are limited to, Units of Local Government ("Local Government") that are subdivisions of State governments, and other governments listed in Section 102 of the Housing and Community Development Act of 1974. The jurisdiction of the Local Government must contain a population of no more than 50,000. The Local Government must either have no Public Housing Agency (PHA) or a PHA that administers no more than 100 public housing units.

**Beneficiary Eligibility:**

The beneficiaries are low-income families that occupy the newly developed affordable housing, and the local community that is benefiting from the Main Street rejuvenation project.

**Credentials/Documentation:**

Eligibility requirements to apply for a Main Street grant are included in each year's Notice of Funding Availability (NOFA). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A NOFA is published in the Federal Register announcing the availability of funds and referring applicants to application materials available from Grants.gov at <http://www.grants.gov>. Applications must be submitted electronically to Grants.gov. Further information on registration into Grants.gov can be obtained on HUD's grants website at <http://www.hud.gov/grants>.

**Award Procedure:**

HUD Headquarters reviews each eligible application for threshold compliance, assigns rating points to applications that pass all thresholds, and the highest-rated applications are notified that they have been selected to receive a Main Street grant. Funds are obligated when HUD and the applicant execute a form HUD-1044, "Assistance Award/Amendment".

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

From 15 to 30 days. Applicants are notified by HUD if an application is not approved.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 5%.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants have a term of 30 months. The applicant must include its program schedule in the application. See the following for information on how assistance is awarded/released: After execution of the grant agreement, pre-development funds are made available. Upon HUD approval of the development proposal and the beginning of construction, the remainder of funds are released.

**Reports:**

No program reports are required. No cash reports are required. Quarterly reports on production and annual accomplishment reports are required. Program funds are tracked in HUD's financial system and leveraged funds are self reported by the grantees on a quarterly basis. The grant manager visits the sites after execution of the grant agreement and then annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Main Street grants are audited with regular audits of the unit of local government and after grant close-out.

**Records:**

Grantees should keep copies of budgets and accumulative cost records through the grant period, along with other records necessary to indicate compliance with the Grant Agreement.

**Account Identification:**

86-0218-0-1-604.

**Obligations:**

(Project Grants) FY 10 \$15,456,009; FY 11 est \$15,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$220,000 - \$1,000,000; Avg. \$702,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, based on the application history, approximately half of the Main Street grants funded the development of housing units in small, single building projects. The other half of the grants were added to the mixed-finance funding of larger developments of up to 75 units. A total of 22 grants were awarded. Fiscal Year 2011: In FY 2011, based on the application history, approximately half of the Main Street grants will fund the development of housing units in small, single building projects. The other half of the grants will be added to the mixed-finance funding of larger developments of up to 75 units. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Authorizing legislation in Section 24 of the 1937 Housing Act is extremely detailed. No regulations have been published. Main Street housing development is processed using HUD's Office of Public and Indian Housing Mixed-finance regulations detailed in 24 CFR 941.606, or HOPE VI homeownership regulations under Section 24 of the 1937 Act. Each grant is subject to the terms of its NOFA and Grant Agreement, which is the contract signed by the Grantee and HUD. HUD posts guidance on its Main Street website at <http://www.hud.gov/offices/pih/programs/ph/hope6/grants/mainstreet/> with links to Main Street's most recent NOFA, program summaries, general guidance materials, mixed-finance guidance materials, and relevant statutes, regulations and notices. This web site provides Grantees with information on timelines, budgets, financial instructions, and other program guidance.

**Regional or Local Office:**

None. All Main Street grants are administered at Headquarters by the Office of Public Housing Investments (OPHI). The level of field office involvement in the administration of Main Street grants is limited to issuance of the required environmental review (24 CFR Part 50), and construction inspections. Grantees should contact OPHI at (202) 401-8812, until a HUD Grant Manager is assigned. Grantees should also contact the HUD Field Office Public Housing

Division that has jurisdiction for their area. Local Public Housing Divisions are listed on the internet at <http://www.hud.gov/offices/pih/about/focontacts.cfm>.

**Headquarters Office:**

Lawrence Gnessin, 451 7th Street, S.W., Room 4130, Washington, District of Columbia 20410 Email: [Lawrence.gnessin@hud.gov](mailto:Lawrence.gnessin@hud.gov) Phone: (202) 401-8812.

**Website Address:**

<http://www.hud.gov/mainstreet>

**RELATED PROGRAMS:**

14.866 Demolition and Revitalization of Severely Distressed Public Housing;  
14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As published in each NOFA.

**14.879 MAINSTREAM VOUCHERS**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Cranston Gonzalez National Affordable Housing Act; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To aid persons with disabilities (elderly and non-elderly) in obtaining decent, safe, and sanitary rental housing.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe, and sanitary housing at rents they can afford. Housing assistance payments are generally the difference between the local payment standard and 30 percent of the family's adjusted income. Mainstream Vouchers can be provided to only elderly and non-elderly disabled families.

**Applicant Eligibility:**

Public housing agencies (PHA) that is defined as any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for very low income families; and a consortium of PHAs; any other nonprofit entity that was administering a Section 8 tenant-based program on October 21, 1998; or, for an area outside the jurisdiction of a PHA administering a voucher program, a private nonprofit entity or a governmental entity or public body that would otherwise lack jurisdiction to administer the program in such area and non-profit organization that provide services to the disabled as defined in 42 U.S.C.

**Beneficiary Eligibility:**

Disabled family that is income-eligible under the Housing Choice Voucher program regulations at 24 CFR 982.201(b)(1) as well as other wise eligible under the regulations at 24CFR 982.201, may receive a voucher awarded on the Mainstream Program Applicants with disabilities must be selected from the PHA's or nonprofit organization's housing choice voucher waiting list.

**Credentials/Documentation:**

In the Mainstream Voucher Program, the PHA or non-profit organization must demonstrate in its application a need for these vouchers by providing information documenting that the demand for housing for non-elderly and elderly persons with disabilities would equal or exceed the requested number of vouchers. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of Application for Housing Assistance Payments Program (Form HUD-52515).

**Award Procedure:**

The HUD Grants Management Center generally makes the final decision based on the results of the rating and ranking process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

However, after the assistance awards are publicly announced, HUD will provide a debriefing, if requested, to unsuccessful applicants.

**Renewals:**

Expiring increments of Mainstream voucher program assistance are automatically renewed by HUD.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

New funding is provided for 5 years. See the following for information on how assistance is awarded/released: Funds are disbursed monthly.

**Reports:**

Supporting Data for Annual Contributions Estimates, HUD Form 52672; Estimate of Total Required Annual Contributions, HUD Form 52673; Requisition for Partial Payment of Annual Contributions, HUD Form 52663; Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B; and Family Report, HUD Form 50058 and Logic Model, HUD Form 96010. Cash reports are not applicable. Progress reports are not applicable. Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B (Supplemental). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Mainstream/Housing Choice Voucher Contract.

**Account Identification:**

86-0237-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$85,235,934; FY 11 est \$66,866,000; and FY 12 est \$114,046,000 - Although renewal funding has been provided by Congress annually, no incremental (new) funding for this program has been provided since FY 2005.

**Range and Average of Financial Assistance:**

\$21,997 to \$2,101,384; Average \$455,175.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program served 14,811 families. Fiscal Year 2011: The program anticipates serving 14,811 families. Fiscal Year 2012: The program anticipates serving 14,811 families.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 982; Housing Choice Voucher Program, Form, Legal Contracts, and Publications Handbook, 7420.8; and the Housing Choice Voucher Program Guidebook, 7420.10G.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are located.

**Headquarters Office:**

Laure Rawson, 451 7th Street, S.W., Room 4210, Washington, District of Columbia 20410 Email: Laure.Rawson@hud.gov Phone: (202) 708-0477.

**Website Address:**

[http://www.hud.gov/offices/pih/programs/hcv/about/fact\\_sheet.cfm](http://www.hud.gov/offices/pih/programs/hcv/about/fact_sheet.cfm).

**RELATED PROGRAMS:**

14.871 Section 8 Housing Choice Vouchers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See NOFA.

**14.880 FAMILY UNIFICATION PROGRAM (FUP)****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Section 8 (x) of the United States Housing Act of 1937; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To aid: (1) families for whom the lack of adequate housing is the primary factor in the separation, or the threat of imminent separation, of children from their families, and; (2) youths ages 18-21 years old who left foster care at age 16 or older and lack adequate housing. FUP- eligible families and youths may use these Housing Choice Voucher (HCV) to obtain decent, safe, and affordable housing units in the private rental market.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe, and sanitary housing for very low income families at rents they can afford. Housing assistance payments are generally the difference between the local payment standard and 30 percent of the family's adjusted income.

**Applicant Eligibility:**

Applicants are limited to public housing agencies. A public housing agency (PHA) is defined as any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for very low income families; and, a consortium of PHAs; any other nonprofit entity that was administering a Section 8 tenant-based program on October 21, 1998; or, for an area outside the jurisdiction of a PHA administering a voucher program, a private nonprofit entity or a governmental entity or public body that would otherwise lack jurisdiction to administer the program in such area.

**Beneficiary Eligibility:**

Families and youths that are income eligible under the HCV program regulations at 24 CFR 982.201 may receive a voucher awarded under the FUP. Families and youths must be referred to the PHA from the local Child Welfare Agency (CWA).

**Credentials/Documentation:**

For FUP, the PHA must provide a Memorandum of Understanding (MOU), executed by the chief executive officer of the PHA and the Public Child Welfare Agency (PCWA). The MOU must identify the actions that the PHA and the PCWA will take to identify and assist FUP-eligible families and/or

FUP-eligible youths, and the resources for supportive services each organization will commit. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of Funding Application, Section 8 Tenant-Based Assistance (Form HUD-52515).

**Award Procedure:**

The HUD Grants Management Center generally makes the final decision based on the results of the rating and ranking process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

However, after the assistance awards are publicly announced, HUD will provide a debriefing, if requested, to unsuccessful applicants.

**Renewals:**

Expiring increments of Section 8 housing choice voucher assistance are automatically renewed by HUD (subject to appropriations).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

New funding is provided for 12 months. See the following for information on how assistance is awarded/released: Funds are disbursed monthly.

**Reports:**

Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B; and Family Report, HUD Form 50058. Cash reports are not applicable. Progress reports are not applicable. Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B (Supplemental). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Housing Choice Voucher Contract.

**Account Identification:**

86-0302-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$15,877,549; FY 11 est \$15,028,142; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$970 to \$1,176,397; Average \$280,291.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program served 5,149 families. Fiscal Year 2011: The program anticipates serving 5,149 families. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 982; Section 8 Housing Choice Voucher Program Forms, Legal Contracts, and Publications Handbook, 7420.8; Housing Choice Voucher Program Guidebook, 7420.10G.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are located.

**Headquarters Office:**

Laure Rawson, 451 7th Street, S.W., Room 4210, Washington, District of Columbia 20410 Email: Laure.Rawson@hud.gov Phone: (202) 708-0477.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/hcv/index.cfm> .

**RELATED PROGRAMS:**

14.871 Section 8 Housing Choice Vouchers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.881 MOVING TO WORK DEMONSTRATION PROGRAM****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Consolidated Rescissions and Appropriations Act of 1996, Public Law 104-134.

**OBJECTIVES:**

The purpose of this demonstration is to give public housing agencies and the Secretary of Housing and Urban Development the flexibility to design and test various approaches for providing and administering housing assistance that: reduce cost and achieve greater cost effectiveness in Federal expenditures; give incentives to families with children where the head of household is working, seeking work, or is preparing for work by participating in job training, educational programs, or programs that assist people to obtain employment and become economically self-sufficient; and increase housing choices for low-income families.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Under the demonstration, notwithstanding any provision of the United States Housing Act of 1937 except as provided in section 204(e) of Public Law 104-134, an agency may combine operating assistance provided under section 9 of the United States Housing Act of 1937, and tenant-based assistance provided under section 8 of such Act, to provide housing assistance for low-income families, as defined in section 3(b)(2) of the United States Housing Act of 1937, and services to facilitate the transition to work on such terms and conditions as the agency may propose and the Secretary may approve.

**Applicant Eligibility:**

Public housing agencies administering the public housing program and/or the section 8 housing assistance payments program may be selected by the Secretary to participate.

**Beneficiary Eligibility:**

Low-income public housing residents.

**Credentials/Documentation:**

PHAs must enter into an agreement with the Department that details the terms and conditions of participation in the demonstration. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O.

12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. PHAs annually submit an MTW Plan to the program office that documents new and ongoing MTW activities. Plans must include criteria for: (A) families to be assisted, which shall require that at least 75 percent of the families assisted by participating demonstration public housing authorities shall be very low-income families, as defined in section 3(b)(2) of the United States Housing Act of 1937; (B) establishing a reasonable rent policy, which shall be designed to encourage employment and self-sufficiency by participating families, consistent with the purpose of this demonstration, such as by excluding some or all of a family's earned income for purposes of determining rent; (C) continuing to assist substantially the same total number of eligible low-income families as would have been served had the amounts not been combined; (D) maintaining a comparable mix of families (by family size) as would have been provided had the amounts not been used under the demonstration; and (E) assuring that housing assisted under the demonstration program meets housing quality standards established or approved by the Secretary; and (4) may request assistance for training and technical assistance to assist with design of the demonstration and to participate in a detailed evaluation.

**Award Procedure:**

The program office reviews and approves the MTW Plan.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The program office must notify the PHA within 75 days after the PHA submits the Plan of disapproval. If the PHA is not notified of disapproval within 75 days, the Plan shall be considered approved.

**Appeals:**

To be determined.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

MTW agencies must meet the requirements stated in their MTW agreement. See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are made available through HUD's financial system.

**Reports:**

Annual MTW report is required 90 days after the end of the PHAs fiscal year. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The MTW program is audited in conjunction with the regular HUD or independent public accountant audit of PHA operations.

**Records:**

The PHA must maintain budgets and cumulative cost records for review by HUD and independent auditors, as applicable.

**Account Identification:**

86-0302-0-1-604; 86-0163-0-1-604; 86-0304-0-1-604.

**Obligations:**



(Formula Grants) FY 10 \$3,913,910,791; FY 11 est \$3,901,808,311; and FY 12 est \$3,868,431,306

**Range and Average of Financial Assistance:**

\$129,618 - \$342,044,634; Average \$35,758,519.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Added three public housing authorities to the demonstration program and solicited for three additional public housing authorities in accordance with the 2010 appropriations statute. Fiscal Year 2011: Will conduct an evaluation of the demonstration program. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Inquiries should be addressed to the Public Housing Director who has jurisdiction over the PHA (See the Catalog, Appendix IV for HUD Program office addresses).

**Headquarters Office:**

Ivan Pour, 451 7th St, SW, Room 4130, Washington, District of Columbia 20410 Email: ivan.m.pour@hud.gov Phone: (202) 402-2488.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/mtw/>.

**RELATED PROGRAMS:**

14.850 Public and Indian Housing; 14.871 Section 8 Housing Choice Vouchers; 14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.887 NATIVE AMERICAN HOUSING BLOCK GRANTS (COMPETITIVE) RECOVERY ACT FUNDED**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5 , Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA), Public Law 104-330 as amended October 21, 1998; December 27, 2000; November 13, 2002;.

**OBJECTIVES:**

To provide federal assistance for Indian tribes in a manner that recognizes the right of tribal self-governance, and for other purposes.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Affordable housing activities such as: Indian Housing Assistance; Development; Housing Services; Housing Management Services; Crime Prevention and Safety Activities; and Model Activities.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Recipients shall comply with requirements and standards of OMB Circular No. A-133, and specified sections of 24 CFR 85. A Self-governance Indian tribe (Public law 93-638) may certify that its administrative requirements meet or exceed the comparable requirements of OMB Circular No. A-133 and 24 CFR 85. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file an application on forms prescribed by HUD, which describe the housing/infrastructure need and how that need will be addressed by the proposed project. The application must provide sufficient information for the project to be rated against selection criteria.

**Award Procedure:**

The Office of Native American Programs (ONAP) is responsible for reviewing and approving applications and for notifying applications of the results.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Limitations, conditions, and requirements specified in NOFA.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The statute requires that funds be obligated within one year of the date that funds are available to the recipient; that 50 percent of such funds be expended within 2 years; and that 100 percent of such funds be expended within 3 years of such date. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Recipients are required to submit quarterly reports as required by Section 1512 of the Recovery Act. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant files are maintained by HUD for 1 year after grant closeout and destroyed 6 years after grant closeout pursuant to the HUD Records and Disposition Handbook.

**Account Identification:**

86-0161-0-1-604 - 86-0161 2010/2012.

**Obligations:**

(Salaries) FY 10 \$5,996,338; FY 11 est \$2,972,494; and FY 12 est \$0 - Under the Recovery Act guidelines, \$2.5 million was deducted from this account for an allowable set-aside for Salaries and Expenses.

**Range and Average of Financial Assistance:**

\$375,511 - \$5,000,000; Average \$2,375,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program assisted 1,878 families by developing, rehabilitating, and providing with green improvements to housing units. Fiscal Year 2011: The program anticipates to assist 709 families by developing, rehabilitating, and providing with green improvements to housing units. Fiscal Year 2012: The program anticipates to assist 2,357 families by developing,

rehabilitating, and providing with green improvements to housing units.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1000.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jennifer Bullough 451 Seventh Street, S.W., Room 5156, Washington, District of Columbia 20410 Email: Jennifer.A.Bullough@hud.gov Phone: (202) 402.4274 Fax: (202) 708-7446

**Website Address:**

<http://www.hud/offices/pih/ih/grants/ihbg.cfm>

**RELATED PROGRAMS:**

14.862 Indian Community Development Block Grant Program; 15.124 Indian Loans\_Economic Development; 15.141 Indian Housing Assistance; 93.612 Native American Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must be submitted by any eligible tribe or Alaska Native Village and will be reviewed against factors which measure impact and quality. Priority will be given to projects that will create employment opportunities for low-income and unemployed persons.

**14.889 CHOICE NEIGHBORHOODS**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010.

**OBJECTIVES:**

Choice Neighborhoods will employ a comprehensive approach to community development centered on housing transformation. The program aims to transform neighborhoods of poverty into viable mixed-income neighborhoods with access to economic activities by revitalizing severely distressed public and assisted housing and investing and leveraging investments in well-functioning services, effective schools, and education programs, public assets, public transportation, and improved access to jobs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Choice Neighborhoods will fund competitive grants to transform neighborhoods of extreme poverty into sustainable mixed-income neighborhoods with well-functioning services, schools, public assets, transportation and access to jobs.

**Applicant Eligibility:**

For Choice Neighborhoods Grants, Public Housing Agencies, local governments, non-profits, and for-profit developers that apply jointly with a public entity.

**Beneficiary Eligibility:**

For Choice Neighborhoods Grants, the ultimate beneficiaries are residents of the severely distressed public and assisted housing and residents of the surrounding community these grants aim to transform.

**Credentials/Documentation:**

Eligibility requirements to apply for Choice Neighborhoods are included in the Notice of Funding Availability (NOFA). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or

her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

HUD headquarters will coordinate reviews of each eligible application for threshold compliance, assigns rating points to applications that pass all thresholds, and the highest rated applications are notified that they have been selected to participate in the Choice Neighborhoods program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Applicants are notified by HUD if an application is not approved.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Choice Neighborhoods will leverage funds from state, local or private sources as well as other HUD and Federal programs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each grant agreement will establish timetables and milestones. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Grantees are required to maintain copies of budgets and other cost records through the grant period to indicate compliance with the Grant Agreement.

**Account Identification:**

86-0349-0-1-604 - The above account is for FY 11.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$64,870,000; and FY 12 est \$250,000,000

**Range and Average of Financial Assistance:**

No grant awards have been made to date, therefore a range is not available at this time. Grant awards are expected to average between \$25-\$35m/grant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No grant awards was made in fiscal year 2010. Fiscal Year 2011: Choice Neighborhoods plans to award 7-10 grants that will help support affordable housing and community development. Fiscal Year 2012: Choice Neighborhoods plans to award 7-10 grants that will help support affordable housing and community development.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Clayton, 451 7th Street S.W. Room 4130, Washington , District of Columbia 20410 Email: caroline.c.clayton@hud.gov Phone: (202) 402-5461.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/cn/>

**RELATED PROGRAMS:**

14.866 Demolition and Revitalization of Severely Distressed Public Housing

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.891 PUBLIC AND INDIAN HOUSING TRANSFORMATION INITIATIVE (TI) TECHNICAL ASSISTANCE (TA)**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010.

**OBJECTIVES:**

The Public and Indian Housing Transformation Initiative Technical Assistance shall be used for the technical assistance and capacity building. TI TA funds will increase the operational efficiency of PIH processes and is a key step toward capacity building and technical awareness that are at the heart of HUDs mission. Public and Indian Housing TI TA provides for the underlying systems that have formed the basis for PIH programs, as well as incentivizes improved service provision and increases operational efficiency.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

Transformation Initiative Technical Assistance was designed to create sufficient funding for HUD to transform and modernize its operations. TI TA funds will be used to improve operations including; improving operational efficiency of projects, disaster outreach projects, training and development initiatives, and green initiatives.

**Applicant Eligibility:**

Increasing the operation efficiency of PIH processes is a key step toward capacity building and technical awareness that are at the heart of HUDs mission.

**Beneficiary Eligibility:**

Public and Indian Housing Transformation Initiatives Technical Assistance ultimate beneficiaries are those who receive assistance. These initiatives will improve the way the Department operates.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Awards are internal to the Department.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Amounts transferred into the TI TA account shall be available until September 30, 2012. See the following for information on how assistance is awarded/released: Assistance is awarded internally within the Department.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

86-0402-0-1-604.

**Obligations:**

(Provision of Specialized Services) FY 10 \$2,178,513; FY 11 est \$8,500,000; and FY 12 est \$16,925,000

**Range and Average of Financial Assistance:**

\*Range \$250,000-\$8,000,000

Average \$2,115,625

\* Above numbers are based on the approved FY 2010 TI TA plan.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Not Available. Fiscal Year 2011: Fiscal Year 2011 TI TA will continue to build on actions started in FY 2010 and address any new areas where efficiency can be improved. Fiscal Year 2012: Fiscal Year 2012 TI TA will continue to build on actions started in FY 2010 and FY 2011 and address any new areas where efficiency can be improved.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gary VanBuskirk 451 7th Dt, SW, Room 4246  
, washington, District of Columbia 20410 Email: Gary.F.VanBuskirk@hud.gov  
Phone: 20.402.4307 Fax: 202.708.8937

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

14.195 Section 8 Housing Assistance Payments Program\_Special Allocations;  
14.850 Public and Indian Housing; 14.872 Public Housing Capital Fund;  
15.141 Indian Housing Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.900 LEAD-BASED PAINT HAZARD CONTROL IN PRIVATELY-OWNED HOUSING**

Lead-Based Paint Hazard Control

**FEDERAL AGENCY:**

Office of Healthy Homes and Lead Hazard Control, Department of Housing and Urban Development

**AUTHORIZATION:**

Residential Lead-Based Paint Hazard Reduction Act of 1992 , Title X, Section 1011, Public Law 102-550; Omnibus Appropriations Act, 2010, Public Law 111-8.

**OBJECTIVES:**

Lead-Based Paint Hazard Control grants assist State, Tribal, and local governments to identify and control lead-based paint hazards in privately-owned housing that is owned by or rented to low- or very-low income families. Specific objectives include: (1) Maximize the combination of children less than six years of age protected from lead poisoning and housing

units where lead-hazards are controlled; (2) Prevent childhood lead poisoning; (3) Stimulate lower-cost and cost-effective methods and approaches to lead hazard control work that can be replicated; (4) Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities by integrating lead safe work practices into housing maintenance, repair, weatherization, rehabilitation and other programs that will continue beyond the grant period; (5) Affirmatively further fair housing and environmental justice (6) Develop a comprehensive community approach to address lead hazards in housing by mobilizing public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations, to develop cost-effective methods for identifying and controlling lead-based paint hazards (7) Establish a public registry of lead-safe housing; and (8) To the greatest extent feasible, promote job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ minorities and low-income persons as defined in 24 CFR 135.5 (see 59 FR 33881, June 30, 1994).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2011, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA. For Fiscal Year 2011, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA. For Fiscal Year 2011, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA.

**Applicant Eligibility:**

States, Tribes, cities or units of general local government that have a current, approved Consolidated Plan. Federal agencies and Federal employees are not eligible to submit applications. Applicants with outstanding civil rights violations are not eligible for funding.

**Beneficiary Eligibility:**

Hazard Control Grants shall be for lead-based paint hazard control in eligible target housing, as defined under Section 217 of Public Law 104-134 (the Omnibus Consolidated Rescissions and Appropriations Act of 1996, 110 Stat. 1321, approved April 26, 1996) as amended by Section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X). Funds shall be available only for projects conducted using contractors and inspectors certified, through an EPA authorized program, or trained in lead-safe work practices using a HUD-approved curriculum.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and specific requirements of 24 CFR 85. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The competitive Notification of Funding Availability (NOFA) for fiscal year 2011 The Lead-Based Paint Hazard Control Grant Program provides information about the application procedure.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. The Lead-Based Hazard Control Grant Program requires a minimum of 10 percent local matching requirement. Community Development Block Grant funds are eligible as a local contribution.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Lead-Based Hazard Control Grant award is for 36 months. HUD reserves the right to approve no cost time extensions. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly financial management and performance reports are required of participating jurisdictions. A Final report is also required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals and Other Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Project Grants) FY 10 \$66,000,000; FY 11 est \$58,000,000; and FY 12 est \$58,000,000

**Range and Average of Financial Assistance:**

With Fiscal Year 2010 funds an estimated 21 Lead Hazard Control grants of approximately \$3 million each will be awarded totaling \$62 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All relevant information if provided in the Notice of Funding Availability.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeff W. Simpkins, 451 Seventh Street, SW (Room 8236), Washington, District of Columbia 20410 Email: Jeffrey.W.Simpkins@hud.gov Phone: (202) 402-7180.

**Website Address:**

<http://www.hud.gov/healthyhomes/>.

**RELATED PROGRAMS:**

14.905 Lead Hazard Reduction Demonstration Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2010: HUD will use the technical and financial selection criteria listed in the NOFA.

#### **14.902 LEAD TECHNICAL STUDIES GRANTS**

Lead Technical Studies Grants

##### **FEDERAL AGENCY:**

Office of Healthy Homes and Lead Hazard Control, Department of Housing and Urban Development

##### **AUTHORIZATION:**

Housing and Community Development Act of 1992, Public Law 102-550.

##### **OBJECTIVES:**

To fund technical studies to improve methods for detecting and controlling lead-based paint hazards in housing. The purpose of the Lead Technical Studies program is to improve our knowledge of lead-based paint related health hazards, and to improve or develop new hazard assessment and control methods.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

For Fiscal Year 2011, potential applicants should consult the program NOFA and the General Section of the NOFA for available grant funding, particular requirements and restrictions, and application due dates. The applications for this NOFA can be found at [www.grants.gov](http://www.grants.gov) and at <http://www.hud.gov/lead>. The application is completely electronic. You must have a DUNS Number.

##### **Applicant Eligibility:**

Academic, not-for-profit and for-profit institutions located in the U.S. (for-profit firms are not allowed to profit from the project), state and local governments, and federally recognized Native American tribes are eligible under all existing authorizations. Applications for supplementation of existing projects are eligible to compete with applications for new awards. Federal agencies and federal employees are not eligible to submit applications. The General Section of the SuperNOFA provides additional eligibility requirements.

##### **Beneficiary Eligibility:**

Homeowners, rental property owners, rental and public housing residents.

##### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local and Federally Recognized Indian Tribal Governments and specific requirements of 24 CFR Part 85. Costs will be determined for nonprofit and educational institutions in accordance with OMB Circulars No. A-122 and No. A-21, respectively, and in accordance with the requirements of 24 CFR Part 84. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The competitive Notification of Funding Availability (NOFA) for the fiscal year 2011 Lead and Healthy Homes Technical Studies grant program provides information about the application procedure. Copies of the NOFA and required forms can be obtained from [www.grants.gov](http://www.grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, <http://www.hud.gov/lead>.

##### **Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Not Applicable.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Lead Technical Studies grants are awarded for up to 36 months after the date of award. HUD reserves the right to approve no cost time extensions for a period not to exceed 12 months. Payment is on a cost-reimbursable basis. See the following for information on how assistance is awarded/released: Cost reimbursement.

##### **Reports:**

Quarterly financial management and performance reports are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Records: As required by OMB Circular A-102, "Grants and Cooperative Agreements With State and Local Governments" or OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

##### **Account Identification:**

86-0174-0-1-451.

##### **Obligations:**

(Cooperative Agreements) FY 10 Not Available; FY 11 est \$1,000,000; and FY 12 est \$1,000,000 - N/A for FY 10.

##### **Range and Average of Financial Assistance:**

The total amount to be awarded is approximately \$1 million for Lead Technical Studies. The anticipated amounts and/or numbers of individual awards will be approximately 2 - 4 cooperative agreements, ranging from approximately \$250,000 to a maximum of \$500,000.

##### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability and Application files are self-contained; all necessary information is provided at [www.grants.gov](http://www.grants.gov); no other regulations pertain.

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Eugene Pinzer, 451 Seventh Street, SW, Room 8236, Washington, District of Columbia 20410-3000 Email: [Eugene\\_A\\_Pinzer@hud.gov](mailto:Eugene_A_Pinzer@hud.gov) Phone: (202) 402-7685.

##### **Website Address:**

<http://www.hud.gov/offices/lead/techstudies/index.cfm>.

##### **RELATED PROGRAMS:**

14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing; 14.905 Lead Hazard Reduction Demonstration Grant Program; 14.906 Healthy Homes Technical Studies Grants

##### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2010 HUD will use the technical selection criteria listed in the NOFA.

**14.905 LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM**

Lead Hazard Reduction Demonstration Grant Program

**FEDERAL AGENCY:**

Office of Healthy Homes and Lead Hazard Control, Department of Housing and Urban Development

**AUTHORIZATION:**

Residential Lead-Based Paint Hazard Reduction Act of 1992, Title X, Section 1011, Public Law 102-550; Omnibus Appropriations Act, 2011, Public Law 111-8.

**OBJECTIVES:**

Lead Hazard Reduction Demonstration Grant assist State, Tribal, and local governments to identify and control lead-based paint hazards in privately-owned housing that is owned by or rented to low- or very-low income families. Specific objectives include: (1) Maximize the combination of children less than six years of age protected from lead poisoning and housing units where lead-hazards are controlled; (2) preventing childhood lead poisoning; (3) Stimulate lower-cost and cost-effective methods and approaches to lead hazard control work that can be replicated; (4) Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities by integrating lead safe work practices into housing maintenance, repair, weatherization, rehabilitation and other programs that will continue beyond the grant period; (5) Affirmatively further fair housing and environmental justice (6) Develop a comprehensive community approach to address lead hazards in housing by mobilizing public and private resources, involving cooperation among all levels of government, the private sector, and grassroots community-based nonprofit organizations, including faith-based organizations, to develop cost-effective methods for identifying and controlling lead-based paint hazards (7) establishing a public registry of lead-safe housing; and (8) To the greatest extent feasible, promote job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ minorities and low-income persons as defined in 24 CFR 135.5 (See 59 FR 33881, June 30, 1994). In addition to the requirements above, you must have at least 3,500 pre-1940 occupied rental housing units (either alone or through a consortium).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2011, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submit your electronic application through <http://www.grants.gov>.

**Applicant Eligibility:**

To be eligible to apply for the Lead Hazard Reduction Demonstration Program, the applicant must be a city, county, or other unit of local government. States and Indian Tribes may apply on behalf of units of local government within their jurisdiction, if the local government designates the state or the Indian Tribe as their applicant. Multiple units of a local government (or multiple local governments) may apply as part of a consortium; however, you must identify a prime applicant that will be responsible for ensuring compliance with all requirements specified in this NOFA. State government and Native American tribal applicants must have an EPA approved State Program for certification of lead-based paint contractors, inspectors, and risk assessors in accordance with 40 CFR 745 in effect on the application deadline date to be eligible to apply for Lead Hazard Reduction Demonstration Grant funds.

**Beneficiary Eligibility:**

Occupants and owners of eligible target housing, Section 1011(a) of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X). Lead Hazard Reduction Demonstration Grants shall be for lead-based paint hazard control in this housing. Funds shall be available only for projects conducted

using contractors and inspectors certified, and workers trained through an EPA authorized program. Selected beneficiaries must comply with all eligibility criteria and all applicable restrictions presented in the Appropriation language and with all requirements presented in the NOFA.

**Credentials/Documentation:**

For the Lead Hazard Control Grant Program, costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and specific requirements of 24 CFR 85. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The competitive Notification of Funding Availability (NOFA) for fiscal year 2011 The Lead-Based Paint Hazard Control Grant Program provides information about the application procedure.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. Formula and Matching Requirements: 25 percent local match, which may be cash, including private sector funding, in-kind contributions, or both. For the Lead Hazard Reduction Demonstration Grant Program, HUD may grant a waiver of the 25 percent match requirement, if the applicant submits a request that meets HUDs criteria. Waiver eligible applicants should provide the 10% match. Except for Community Development Block Grant (CDBG) funds, Federal Revenue Sharing programs, or other programs which by statute allow their funds to be considered local funds and therefore eligible to be used as matching funds, Federal funds may not be used to satisfy the statutory 10 percent requirement, but may be used for contributions above that requirement. You must support each source of contributions by a letter of commitment from the contributing entity, describing the contributed resources and their designated purpose. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Lead Hazard Reduction Demonstration Grant award is for a The period of performance is 36 months. HUD reserves the right to approve no cost time extensions for a period not to exceed 12 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly financial management and performance reports are required of participating jurisdictions. A Final report is also required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

As required by OMB Circular A-110 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Project Grants) FY 10 \$48,000,000; FY 11 est \$48,000,000; and FY 12 est \$48,000,000 - Range and Average of Financial Assistance: Approximately \$48 million in fiscal year 2010 funds is available. The minimum award amount shall be approximately \$1 million per grant up to \$4.5 million per grant. Approximately 10 to approximately 14 grants will be awarded to applicants for the Lead Hazard Reduction Demonstration Program.

**Range and Average of Financial Assistance:**

Approximately \$48 million in fiscal year 2010 funds is available. The minimum award amount shall be approximately \$1 million per grant up to \$4.5 million per grant. Approximately 10 to approximately 14 grants will be awarded to applicants for the Lead Hazard Reduction Demonstration Program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability is available at Grants.gov; all necessary information is provided; no other regulations pertain. For Lead Hazard Reduction Demonstration grants, there is some change in the content and direction of the NOFA that is issued each year, dependent on SuperNOFA format, Congressional direction, changes in emphasis among priorities, and improvements based on experience with prior NOFAs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeff W. Simpkins, 451 Seventh Street, SW (Room 8236), Washington, District of Columbia 20410 Email: Jeffrey.W.Simpkins@hud.gov Phone: (202) 402-7180.

**Website Address:**

<http://www.hud.gov/healthyhomes>

**RELATED PROGRAMS:**

14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.906 HEALTHY HOMES TECHNICAL STUDIES GRANTS**

Healthy Homes Technical Studies Grants

**FEDERAL AGENCY:**

Office of Healthy Homes and Lead Hazard Control, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Appropriations Act, 2010, Public Law 111-8; Housing and Urban Development Act of 1970, Section 501-502.

**OBJECTIVES:**

To fund technical studies to improve methods for detecting and controlling housing-related health and safety hazards. The purpose of the Healthy Homes Technical Studies program is to improve our knowledge of housing-related health hazards, and to improve or develop new hazard assessment and control methods.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2011, potential applicants should consult the program NOFA and the General Section of the NOFA for available grant funding, particular requirements and restrictions, and application due dates. The applications for this NOFA can be found at [www.grants.gov](http://www.grants.gov) and at <http://www.hud.gov/lead>. The application is an electronic application. You must have a DUNS Number.

**Applicant Eligibility:**

Academic, not-for-profit and for-profit institutions located in the U.S. (for-profit firms are not allowed to profit from the project), state and local governments, and federally recognized Native American tribes are eligible under all existing authorizations. Applications for supplementation of existing projects are eligible to compete with applications for new awards. Federal agencies and federal employees are not eligible to submit applications. The General Section of the SuperNOFA provides additional eligibility requirements.

**Beneficiary Eligibility:**

Homeowners, rental property owners, and residents of rental housing and public housing.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local and Federally Recognized Indian Tribal Governments and specific requirements of 24 CFR Part 85. Costs will be determined for nonprofit and educational institutions in accordance with OMB Circulars No. A-122 and No. A-21, respectively, and in accordance with the requirements of 24 CFR Part 84. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The competitive Notification of Funding Availability (NOFA) for the fiscal year 2011 Healthy Homes Technical Studies grant program provides information about the application procedure. Copies of the NOFA and required forms can be obtained from [www.grants.gov](http://www.grants.gov). Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, <http://www.hud.gov/lead>.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Healthy Homes Technical Studies grants are awarded for up to 36 months after the date of award. HUD reserves the right to approve no cost time extensions for a period not to exceed 12 months. Payment is on a cost-reimbursable basis. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly financial management and performance reports are required. Cash

reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by OMB Circular A-102, "Grants and Cooperative Agreements With State and Local Governments" or OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 10 \$6,000,000; FY 11 est \$6,000,000; and FY 12 est \$6,000,000

**Range and Average of Financial Assistance:**

The total amount to be awarded is approximately \$6 million for Healthy Homes Technical Studies. For Healthy Homes Technical Studies, the anticipated amounts and/or numbers of individual awards will be approximately 5 - 10 cooperative agreements, ranging from approximately \$300,000 to a maximum of \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability and Application files are self-contained; all necessary information is provided at [www.grants.gov](http://www.grants.gov); no other regulations pertain.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eugene Pinzer, 451 Seventh Street, SW, Room 8236, Washington, District of Columbia 20410-3000 Email: [Eugene\\_A\\_Pinzer@hud.gov](mailto:Eugene_A_Pinzer@hud.gov) Phone: (202) 402-7685.

**Website Address:**

<http://www.hud.gov/offices/lead>.

**RELATED PROGRAMS:**

14.914 Asthma Intervention in Multi-Family Housing Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2010 HUD will use the technical selection criteria listed in the NOFA.

**14.913 HEALTHY HOMES PRODUCTION GRANT PROGRAM**

Healthy Homes Production Grant Program

**FEDERAL AGENCY:**

Office of Healthy Homes and Lead Hazard Control, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Appropriations Act, 2011, Public Law 111-8.

**OBJECTIVES:**

The purpose of the Healthy Homes Production Program is to comprehensively address multiple residential health and safety hazards, including mold, carbon monoxide, home safety hazards, pesticides and allergens (from pets and pests).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2011, potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA.

**Applicant Eligibility:**

Eligible applicants include not-for-profit institutions and for-profit firms, state and local governments, , federally-recognized Indian Tribes, and colleges and universities located in the United States. For-profit firms are not allowed to make a profit from the project. Individuals are not eligible to apply.

**Beneficiary Eligibility:**

Healthy Homes Production Grants provide funding to not-for-profit institutions and for-profit firms, state and local governments, , federally-recognized Indian Tribes, and colleges and universities located in the United States for projects that include the assessment and mitigation of residential environmental health and safety hazards, development of local capacity and the delivery of education/outreach services to the community.

**Credentials/Documentation:**

Credentials/Documentation: Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and specific requirements of 24 CFR 85. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The competitive Notification of Funding Availability (NOFA) for fiscal year 2011 Healthy Homes Production Program grants provides information about the [www.grants.gov](http://www.grants.gov) application procedure.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Healthy Homes Production Program award is for 36 months. If approved, grantees are eligible to receive a single period of performance extension of up to 12 months in accordance with 24 CFR 85.24(e)(2) or 85.30(d)(2). Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Quarterly financial management and performance reports are required of participating jurisdictions. Quarterly financial management and performance reports are required of participating jurisdictions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit



Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals and Other Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Project Grants) FY 10 \$10,000,000; FY 11 est \$17,000,000; and FY 12 est \$17,000,000

**Range and Average of Financial Assistance:**

With Fiscal Year 2010  
, approximately 10 awards, of approximately \$1,000,000 each for the entire period of performance are anticipated.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All relevant information if provided in the The Notice of Funding Availability.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeff W. Simpkins, 451 Seventh Street, SW (Room 8236), Washington, District of Columbia 20410 Email: Jeffrey.W.Simpkins@hud.gov Phone: (202) 402-7180.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

14.900 Lead-Based Paint Hazard Control in Privately-Owned Housing; 14.905 Lead Hazard Reduction Demonstration Grant Program; 14.906 Healthy Homes Technical Studies Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2010 HUD will use the technical and financial selection criteria listed in the NOFA.

**14.914 ASTHMA INTERVENTIONS IN PUBLIC AND ASSISTED MULTIFAMILY HOUSING**

Asthma Interventions in Public and Assisted MultiFamily Housing Grant Program

**FEDERAL AGENCY:**

Office of Healthy Homes and Lead Hazard Control, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Appropriations Act, 2011., Public Law 111-8.

**OBJECTIVES:**

The major objectives of this NOFA are to support: (1) Development and implementation of cost effective, replicable interventions and protocols for the control of asthma among residents of federally assisted, multifamily housing, particularly with children; (2) Creation of sustainable programs and policies that reduce exposure to asthma triggers in the indoor environment (e.g., IPM, smoke-free housing); (3) Evaluations of the effectiveness (including cost-effectiveness) of asthma control programs and interventions in improving the health of residents and their understanding of asthma management practices; The purpose of the Healthy Homes Technical Studies program is to improve our knowledge of housing-related health hazards.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For Fiscal Year 2011, potential applicants should consult the General Section of the NOFA for available grant funding, particular requirements and restrictions, and application due dates. The applications for this NOFA can be found at <http://www.hud.gov/Grants>. This is an on-line application. You must have a DUNS Number.

**Applicant Eligibility:**

Beneficiary Eligibility: Residents of federally assisted multi-family housing.

**Beneficiary Eligibility:**

Applicant Eligibility: Academic, not-for-profit and for-profit institutions located in the U.S. (for-profit firms are not allowed to profit from the project), state and local governments, and Federally recognized Native American tribes are eligible under all existing authorizations. Federal agencies and federal employees are not eligible to submit applications.

The General Section of the SuperNOFA provides additional eligibility requirements.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local and Federally Recognized Indian Tribal governments and specific requirements of 24 CFR Part 85. Costs will be determined for nonprofit and educational institutions in accordance with OMB Circulars No. A-122 and No. A-21, respectively, and in accordance with the requirements of 24 CFR Part 84. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The competitive Notification of Funding Availability (NOFA) for fiscal year 2011 Asthma Intervention in Multi-Family Housing Grant Program provides information about the application procedure. Copies of the published NOFA and application forms may be downloaded from the HUD website at <http://www.hud.gov/Grants>. Other relevant information can be found at HUD's website, [www.hud.gov](http://www.hud.gov), or the Office's website, <http://www.hud.gov/lead>. Completed applications must be submitted to [Grants.gov](http://www.hud.gov/Grants).

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Asthma Intervention in Multi-Family Housing grants are awarded up to 36 months after the date of award. HUD reserves the right to approve no cost time extensions for a period not to exceed 12 months. Payment is on a cost-reimbursable basis. See the following for information on how assistance is awarded/released: Payment is on a cost-reimbursable basis.

**Reports:**

No program reports are required. No cash reports are required. Quarterly financial management and performance reports are required. Quarterly financial management and performance reports are required. Quarterly financial management and performance reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records: As required by OMB Circular A-102, "Grants and Cooperative Agreements With State and Local Governments" or OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Account Identification:**

86-0174-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,000,000; FY 11 est \$2,000,000; and FY 12 est \$2,000,000 - Obligations: (Grants) FY 10 \$2,000,000; and FY 11 \$2,000,000, and FY 12 \$2,000,000.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: The total amount to be awarded is approximately \$2.6 million. The anticipated amounts and/or numbers of individual awards will be approximately 5 to 8 cooperative agreements, with each not to exceed \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Funding Availability and Application files are self-contained; all necessary information is provided at <http://www.hud.gov/Grants>; no other regulations pertain.

**Regional or Local Office:**

None.

**Headquarters Office:**

J. Kofi Berko, Jr., 451 Seventh Street, SW, Room 8236, Washington, District of Columbia 20410-3000 Email: [J.Kofi.berko@hud.gov](mailto:J.Kofi.berko@hud.gov) Phone: (202) 402-7696.

**Website Address:**

<http://www.hud.gov/Grants>

**RELATED PROGRAMS:**

14.906 Healthy Homes Technical Studies Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For Fiscal Year 2010 HUD will use the technical and financial selection criteria listed in the NOFA.

## DEPARTMENT OF THE INTERIOR

**15.020 AID TO TRIBAL GOVERNMENTS****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To provide funds to Indian tribal governments to support general tribal

government operations, to maintain up-to-date tribal enrollment, to conduct tribal elections, and to develop appropriate tribal policies, legislation, and regulations.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used in a variety of ways to strengthen the capabilities of Indian tribes in self-government, community planning, and maintenance of membership records. Contact the headquarters office for more information.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and members of American Indian Tribes.

**Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An informal conference with a Bureau of Indian Affairs agency representative is recommended. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the award depends upon the amount that has been prioritized by the individual Indian tribe through participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Cash reports are not applicable. Progress

reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For awards made under this program grantees/contractors are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$23,922,077; FY 11 est \$23,922,077; and FY 12 est \$24,133,077

**Range and Average of Financial Assistance:**

Range is \$10,000 to \$700,000; average \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Director, Bureau of Indian Affairs, Office of Tribal Services, 1849 C Street, NW, MS 320 SIB, Washington, District of Columbia 20240 Phone: (202) 513-7640.

**Website Address:**

<http://www.doi.gov/bia/tribegovserv/tribegov.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.021 Consolidated Tribal Government Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**15.021 CONSOLIDATED TRIBAL GOVERNMENT PROGRAM**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act; Public Law 93-638; as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To promote Indian self determination and improve the quality of life in Tribal communities by providing greater flexibility in planning programs and meeting

the needs of communities. This program allows Tribes to combine various programs and/or grants into one agreement. The simplified contracting procedures enhance program accountability by reducing paperwork and reporting requirements, and reduce Tribal administrative costs to allow for increased services under these contracts.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds from various Bureau programs, such as, Scholarships, Johnson O'Malley, Adult Education, and Job Placement and Training can be combined into a single consolidated contract. Contact the headquarters office for more information.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and members of American Indian Tribes.

**Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An informal conference with Bureau of Indian Affairs agency representative is recommended. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the award depends upon the amount that has been prioritized by the individual Indian tribe through participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. SF-425, Federal Financial Reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$73,367,473; FY 11 est \$73,367,473; and FY 12 est \$78,228,473

**Range and Average of Financial Assistance:**

The range is \$1,300 to \$2,400,000; average \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Chief, Deputy Director, Department of the Interior, Office of Tribal Services, Bureau of Indian Affairs, 1849 C Street, NW., MS-320 SIB, Washington, District of Columbia 20240 Phone: (202) 513-7640.

**Website Address:**

<http://www.doi.gov/bia/tribegovserv/tribegov.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**15.022 TRIBAL SELF-GOVERNANCE****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Title IV, Public Law 93-638, as amended, 25 U.S.C. 458 aa et seq.

**OBJECTIVES:**

To further the goals of Indian Self-Determination by providing funds to Indian

tribes to administer a wide range of programs with broad administrative and programmatic flexibility.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used by Federally Recognized Tribal Governments to support a wide range of programs such as law enforcement, tribal courts, scholarships, social services, road maintenance, forestry, agriculture, real estate services, wildlife and parks, and water resources. Funds may be used only for programs previously administered by the Bureau of Indian Affairs or for programs specifically authorized by Federal statute and may not be used for the operation of elementary and secondary schools or for community colleges. The Indian tribe must ensure adequate protection of trust resources. For more information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal consortia authorized by the Federally Recognized Indian Tribal Governments to be served.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their Members.

**Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe or in the case of a consortia, Indian tribes to be served. First-time applicants must have successfully completed a planning phase and must have demonstrated for the previous three years, financial stability and financial management capability. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An informal pre-application conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application and selection process is governed by regulations contained in 25 CFR Part 1000. Applicants first apply for inclusion in an applicant pool. Once an Indian tribe/consortium has established eligibility for admission to the applicant pool, it can be selected to become a Self-Governance Tribe. Application information is available from the office(s) listed below under "Information Contacts."

**Award Procedure:**

The annual dollar value of the funding agreement is subject to negotiation between the applicant, the local Bureau agency office, the servicing Regional office, and the Office of Self-Governance. Final funding agreements are signed by the authorized tribal representative and the Director, Office of Self-Governance.

**Deadlines:**

Mar 01, 2011 An application for inclusion in the applicant pool may be filed at any time. However, an Indian tribe/consortium must submit its application by March 1 of the year in which the initial funding agreement and compact are to be negotiated. The application must be complete before the tribe can be placed in the applicant pool and selected to operate as a Self-Governance Tribe.

**Range of Approval/Disapproval Time:**

Funding agreements are to be negotiated and submitted to Congress and neighboring Indian tribes at least 90 days before the proposed effective date of the agreement. Negotiation and approval of a new funding agreement may take up to four months.

**Appeals:**

Applicable appeal procedures are contained in 25 CFR Part 1000.

**Renewals:**

Funding agreements may be for a single or multi-year period and renewed indefinitely upon satisfactory performance by the Indian tribe/consortium. The amount of the annual funding agreement may be negotiated each year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are provided on an annual basis and remain available until expended by the tribe/consortium. See the following for information on how assistance is awarded/released: When possible, payments are made in a lump sum following enactment of the Department's appropriations.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the Indian tribe/consortium. Cash reports are not applicable. Progress reports are not applicable. The SF-425, Federal Financial Report is required. Annual, external reviews of the management of trust assets will be conducted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$305,684,873; FY 11 est \$305,684,873; and FY 12 est \$313,006,873

**Range and Average of Financial Assistance:**

\$10,213 to \$35,994,561; \$374,943.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 96 Indian tribes/consortia participated in the Tribal Self-Governance Program. The 96 funding agreements with Indian tribes and tribal consortia provided 236 Federally recognized Indian Tribes with the opportunity to exercise discretion in establishing funding priorities, and allowed them wide latitude in the design of tribal programs, services, functions, and activities in response to local conditions and circumstances. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 1000; OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments.

**Regional or Local Office:**

See Regional Agency Offices. Office of Self Governance, Department of the Interior, Northwest Field Office, 500 West 12th Street, Suite 102, Vancouver, WA 98660. Telephone: (360) 699-1011. Use the same number for FTS or the nearest Bureau of Indian Affairs Regional Office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director, Office of Self-Governance, Office of the Deputy Assistant Secretary - Policy and Economic Development, Department of the Interior, 1951 Constitution Avenue, N.W., MS 355-G, Washington, District of Columbia 20240 Phone: (202) 219-0240.

**Website Address:**

<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Among the activities supported by on consortium was the organization of a tourism alliance, provision of 300 college scholarships, repair of 16 homes, and the initiation of job readiness training for welfare recipients. A tribe in the northwest managed over 3800 acres of forest land, helped 27 tribal members move from welfare to paid employment, and supported 20 members in adult education/training programs. Another tribal consortium provided life skills assistance (tax preparation, driver's education, resume writing, etc.) to over 500 members, provided assistance to village groups in preparing economic development proposals which resulted in increased funding being provided by other Federal agencies, and worked with the Reindeer Herders Association to improve the health and economic value of the reindeer herds. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the eligibility criteria of 25 CFR Part 1000 will be selected, up to a maximum of 50 new participants annually. An applicant must be a Federally Recognized Tribe or tribal consortium, have an authorizing tribal resolution(s) from the tribal governing body (ies), have successfully completed a planning phase and have demonstrated for the previous three years, financial stability and financial management capability. Applicants are selected in the order in which complete applications are received. For more information contact the offices listed under Information Contacts.

**15.024 INDIAN SELF-DETERMINATION CONTRACT SUPPORT CONTRACT SUPPORT****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To provide funds to Federally Recognized Indian Tribal Governments and to tribal organizations to fund some or all of the indirect costs incurred in administering Federal programs for which direct appropriations are made to the Bureau of Indian Affairs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used in accordance with indirect cost rate proposals which have been approved by the cognizant Federal agency or for lump sum administrative cost rates negotiated with the Bureau of Indian Affairs. For more specific information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

Federal approval of indirect cost rate. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

Awards for new or expanded contracts will be awarded based upon the start

date of the underlying program award, and the application date, on a first-come-first-served basis. Additional information concerning fiscal year 2002 awards will be published in 2002 as a Notice in the Federal Register.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of a changed indirect cost rate or as a result of pro-rata reductions due to insufficient appropriations to cover all eligible awards.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments for renewals will generally be made in two increments: 70 percent soon after the start date of the award, and the balance during the fourth quarter of the fiscal year. See the following for information on how assistance is awarded/released: Contact the headquarters or regional office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. The SF-425, Federal Financial Report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$105,242,337; FY 11 est \$105,242,337; and FY 12 est \$134,732,337

**Range and Average of Financial Assistance:**

The range is \$10,000 to \$8,000,000; average \$190,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular No. A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Director, Office of Tribal Services, Bureau of Indian Affairs, 1849 C Street, NW, MS 320 SIB, Washington, District of Columbia 20240 Phone: (202) 513-7640.

**Website Address:**

<http://www.doi.gov/bia/self-determ/idc.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.046 Administrative Cost Grants for Indian Schools

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All renewal awards will be funded; the amount of the awards is subject to the availability of appropriations; first-time awards will be funded in the order of receipt of the application up to an annual limit of \$5,000,000.

**15.025 SERVICES TO INDIAN CHILDREN, ELDERLY AND FAMILIES**

Social Services

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Snyder Act of 1921, 25 U.S.C. 13.

**OBJECTIVES:**

To provide funds to Federally Recognized Indian Tribal Governments to administer welfare assistance programs for both American Indian adults and children; to support caseworkers and counselors; and to support tribal programs to reduce the incidence of substance abuse and alcohol abuse in Indian country.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for staff support and related costs of processing welfare applications, determining suitable placement of American Indian children in need of foster care, staffing and operational costs of emergency shelters, and similar services. Contact the headquarters office for more information.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments, adult American Indians in need of financial assistance or social services counseling, American Indian children who require foster care services, and American Indian youth requiring temporary, emergency shelter.

**Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An informal conference with Bureau of Indian Affairs agency representatives is recommended. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the awards depends upon the amount that has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs Tribal Priority Allocation budget formulation process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe. See the following for information on how assistance is awarded/released: Contact the headquarters or regional office.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. The SF-425, Federal Financial Report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$22,597,327; FY 11 est \$22,597,327; and FY 12 est \$24,752,327

**Range and Average of Financial Assistance:**

The range is \$10,000 to \$4,800,000; average \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments;" and 25 CFR Part 20.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Chief, Division of Human Services, Bureau of Indian Affairs, 1849 C Street, NW, MS 320 SIB, Washington, District of Columbia 20240 Phone: (202) 513-7642.

**Website Address:**

<http://www.doi.gov/bia/childw-2.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.113 Indian Social Services\_Welfare Assistance; 15.144 Indian Child Welfare Act\_Title II Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**15.026 INDIAN ADULT EDUCATION**

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended; Public Law 103-413, Title II Tribal Self-Governance Act.

**OBJECTIVES:**

To improve the educational opportunities for Indian adults who lack the level of literacy skills necessary for effective citizenship and productive employment and to encourage the establishment of adult education programs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

All funds must be for direct services. Funds may not be used for administration.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and members of American Indian Tribes.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency or area office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the awards depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial reports, SF 425, are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$3,452,174; FY 11 est \$3,452,174; and FY 12 est \$3,452,174

**Range and Average of Financial Assistance:**

Range is \$100 to \$333,787; Average \$29,630.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Sixty three (63) Public 63-638 Tribes and 55 Public Law 103-413, Title II Tribal Self-Governance Act Tribes received contracts/grants for adult education funds. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 46; 25 CFR, Part 900.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Catalog Appendix IV of the Catalog.

**Headquarters Office:**

Chris Redman, Bureau of Indian Education, Dean Am McGee, Suite 610 , Oklahoma , Oklahoma 73102 Email: chris\_redman@bia.gov Phone: (405) 605-6001.

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.027 Assistance to Tribally Controlled Community Colleges and Universities; 15.114 Indian Education\_Higher Education Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Mississippi Band of Choctaws received \$201,546 to operate their adult education program. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 will be selected.

**15.027 ASSISTANCE TO TRIBALLY CONTROLLED COMMUNITY COLLEGES AND UNIVERSITIES****FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Tribally Controlled Community College Assistance Act, Public Law 95-471, 25 U.S.C. 640c - 1(c); 25 U.S.C. 1815.

**OBJECTIVES:**

To provide grants for the operation and improvement of Tribal Colleges and Universities (TCUs) to insure continued and expanded educational opportunities for Indian students, and to allow for the improvement and expansion of the physical resources of such institutions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must not be used in connection with religious worship or sectarian instruction. Funds may be used for the general operating costs of the Tribally Controlled Community College to defray, at the determination of the College, expenditures for academic, educational and administrative purposes and for the operation and maintenance of the College.

**Applicant Eligibility:**

Colleges chartered by Federally Recognized Indian Tribes or tribal organizations which are governed by a board of directors, are in operation more than one year, admit students with a certificate of graduation from a secondary institution or equivalent, provide certificates, associate, baccalaureate and graduate degrees, are nonprofit and nonsectarian, and are accredited by a nationally recognized agency or association.

**Beneficiary Eligibility:**

Indian students who are a member of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Written evidence of approval of the application by the governing body of one or more Indian tribes of the students served by or to be served by the college. "Tribal governing body" means the tribal governing body or tribal governing bodies that represent at least 90 percent of the students served by such school. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the Division of Post-Secondary Education. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The organization should submit written evidence of approval of the application by the governing body of one or



more Indian tribes of the students served by or to be served by the college to the Director, Office of Indian Education.

**Award Procedure:**

After receiving approval of the application by the governing body or governing bodies, the Director will designate a study team to determine whether there is justification to encourage maintaining a college.

**Deadlines:**

Jul 01, 2011 Colleges must submit the Tribe's approval of the application by March 1 of the fiscal year preceding the year in which they wish to be eligible for funding. Evidence that all administrative systems are in place such as accounting, personnel and property must be submitted by July 1 of the preceding year in which they wish to be eligible for funding.

**Range of Approval/Disapproval Time:**

The study team will be designated within 30 days. Within 60 days the team must complete its eligibility study. The tribe will be notified of approval within 60 days of completion of the study.

**Appeals:**

A negative determination may be appealed to the Assistant Secretary - Indian Affairs. Within 30 days of receiving a notice of appeal the Assistant Secretary must conduct a hearing at which the applicant may present evidence and offer arguments in support of the appeal. Within 30 days after the hearing the Assistant Secretary must issue a written ruling on the appeal. Specifics relative to the appeals process are found in 25 CFR 41.7.

**Renewals:**

Colleges must file an annual application to receive continued funding.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available without fiscal year limitation until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Funds are calculated based on the recipient's Indian Student Count and are issued with a Form 21 Grant Agreement.

**Reports:**

OMB 1076-0105, Annual Report. Cash reports are not applicable. No progress reports are required. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$63,503,616; FY 11 est \$65,503,616; and FY 12 est \$65,503,616

**Range and Average of Financial Assistance:**

Range is \$413,090 to \$13,006,500; Average \$2,446,577. The amount of the award is determined by the number of eligible Indian students enrolled in the

college. Indian Tribes may choose to supplement the funding provided by the grant program by identifying additional amounts in the Tribal Priority Allocations portion of the Bureau of Indian Affairs budget.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Funded 26 TCUs. Fiscal Year 2011: Funded 26 TCUs. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 41; 25 CFR, Part 276.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Catalog Appendix IV of the Catalog.

**Headquarters Office:**

Chris Redman Bureau of Indian Education, Dean Am McGee, Suite 610, Oklahoma, Oklahoma 73102 Email: [chris\\_redman@bie.gov](mailto:chris_redman@bie.gov) Phone: (405)605-6001

**Website Address:**

<http://www.bia.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.026 Indian Adult Education; 15.114 Indian Education\_Higher Education Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: White Earth Community College was awarded \$413,090. Dine College was awarded \$13,006,500. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants which the study team determines as eligible will be funded.

**15.028 TRIBALLY CONTROLLED COMMUNITY COLLEGE ENDOWMENTS**

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Tribally Controlled College Assistance Act, Public Law 95-471, 25 U.S.C. 640c - 1(c); 25 U.S.C. 1815.

**OBJECTIVES:**

To provide grants to establish endowments for the Tribally Controlled Community Colleges and Universities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used to establish endowments. Interest earned on the invested funds may be used to defray expenditures associated with the operation of the College including maintenance, administration, academic and support costs, and community and student services programs. No part of the net earnings of the trust fund may be used to benefit any private person.

**Applicant Eligibility:**

Colleges chartered by Federally Recognized Indian Tribes which are governed by an Indian board of directors, are in operation more than one year, admit students with a certificate of graduation from a secondary institution or equivalent, provide certificates, associate, baccalaureate and graduate degrees, are nonprofit and nonsectarian, and are accredited by a nationally recognized agency or association.

**Beneficiary Eligibility:**

Indian students who are a member of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Approved status as a Tribal College or University. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Colleges must complete an Endowment Fund agreement in accordance with 25 U.S.C. 1832(b).

**Award Procedure:**

The headquarters office calculates the amount of the award and the grantee is notified the Division of Post-Secondary Education.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Established by the Division of Post-Secondary Education.

**Appeals:**

An applicant who disputes the amount of the award may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals. Full appeal procedures are found in 25 CFR Part 2.

**Renewals:**

Colleges must file an annual application to receive continued funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: The Colleges must match an endowment grant with a capital contribution equal to half of the amount of the Federal contribution. Personal or real property received as a donation or gift may be applied toward the matching requirement.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis. See the following for information on how assistance is awarded/released: Funds are prorated on the number of eligible and are issued with a Form 21 Grant Agreement.

**Reports:**

OMB 1076-0105, Annual Report. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$248,522; FY 11 est \$248,522; and FY 12 est \$248,522

**Range and Average of Financial Assistance:**

Range is \$2,294 to \$6,655; Average \$5,190.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: White Earth Tribal and Community College received \$6,655. Little Priest Tribal College received \$2,294. Fiscal Year 2011: No Current Data

Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 41.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV of the Catalog.

**Headquarters Office:**

Chris Redman, Bureau of Indian Education, 215 Dean A. McGee, Suite 610, Oklahoma City, Oklahoma 73102 Email: chris\_redman@bia.gov Phone: (405) 605-6001.

**Website Address:**

<http://www.oiep.bia.edu.>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funded endowment program for twenty-one Tribal Community Colleges. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

**15.029 TRIBAL COURTS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To provide funds to Federally Recognized Indian Tribal Governments to operate a judicial branch of government.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries and related expenses of tribal court judges, prosecutors, defenders, clerks of court, probation officers, juvenile officers, and other court personnel. Contact the headquarters office for more information.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments exercising law enforcement jurisdiction on their reservation.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An informal conference with Bureau of Indian Affairs agency representatives is recommended. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the award depends upon the amount that has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs Tribal Priority Allocation budget formulation process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe. See the following for information on how assistance is awarded/released: Contact the headquarters or regional office.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. The SF-425, Federal Financial Report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$18,769,203; FY 11 est \$18,769,203; and FY 12 est \$17,510,203

**Range and Average of Financial Assistance:**

The range is \$15,000 to \$800,000; average \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: More than 250 tribal justice systems and Court of Indian Offenses (serving 40 Indian tribes) supported by this program. Fiscal Year 2011: Information not available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the

Catalog.

**Headquarters Office:**

Ralph Gonzales, Office of Tribal Services, Bureau of Indian Affairs, 1849 C Street, NW., MS 320-SIB, Washington, District of Columbia 20240 Phone: (202) 513-7641.

**Website Address:**

<http://www.doi.gov/bia/ots/otshome.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**15.030 INDIAN LAW ENFORCEMENT**

Law Enforcement

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Law Enforcement Reform Act, Public Law 101-379, 25 U.S.C. 2801.

**OBJECTIVES:**

To provide funds to Indian Tribal Governments to operate police departments and detention facilities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries and related expenses of criminal investigators, uniformed officers, detention officers, radio dispatchers, and administrative support. For more specific information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments exercising Federal criminal law enforcement authority over crimes under the Major Crimes Act (18 U.S.C. 1153) and other Federal statutes on their reservations and operating a Law Enforcement Services program.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An informal conference with the Bureau of Indian Affairs field representative or district commander is recommended. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs field or district office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the awards depends upon the amount that had been previously prioritized by the individual Indian tribe through participation in the Bureau of Indian Affairs' budget formulation process and upon identified

program needs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. The SF-425, Federal Financial Report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$183,897,397; FY 11 est \$183,897,397; and FY 12 est \$196,357,397

**Range and Average of Financial Assistance:**

The range is \$20,000 to \$20,000,000; average \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: On an annual basis, approximately 210 law enforcement services programs and approximately 80 detention facilities are supported by this program. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments;" 25 CFR Parts 10, 11 and 12; Indian Affairs

Manual, Chapter 40, "Law Enforcement and Detention;" and Detention and Law Enforcement Handbooks.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs' law enforcement field or district office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Director, Law Enforcement Services, Bureau of Indian Affairs, 1849 C Street NW, MS 2429 MIB, Washington, District of Columbia 20240 Phone: (202) 208-5787.

**Website Address:**

[http://www.bialaw.fedworld.gov/;](http://www.bialaw.fedworld.gov/)  
[http://www.doi.gov/bureau-indian-affairs.html.](http://www.doi.gov/bureau-indian-affairs.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting the requirements of 25 CFR Part 900 who exercise criminal law enforcement authority over crimes under the Major Crimes Act (18 U.S.C. 1153) and other Federal statutes and who currently operate a Law Enforcement Services program will be selected. Additional funding provided under the Initiative will be distributed on the basis of need.

**15.033 ROAD MAINTENANCE\_INDIAN ROADS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Federal Highway Act of 1921, as amended, Public Law 70-520, 45 Stat. 750, 25 U.S.C. 318(a); Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To provide limited routine maintenance on paved, gravel, earth, and unimproved roads; bridges; and airstrips.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

These funds are used to repair and maintain public roads serving Indian reservations, with particular emphasis on school bus routes and arterial highways; for snow removal, ice control, washout repair, and landslide removal; for replacement, rehabilitation, or maintenance of the 745 bridges on Indian reservation roads; for operation and maintenance of a ferry across Lake Roosevelt serving the Colville Indian Reservation; and for the maintenance of public airstrips located on Indian reservations which are not maintained by other governmental entities. Access to these funds is restricted to tribes with qualifying road miles or other facilities required to be maintained by this program.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Tribal governments which have jurisdiction over roads or other facilities that qualify for this program.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and individual American Indians.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Tribes must submit a needs request to have roads or facilities added to the system being maintained under this program. An informal preapplication conference is recommended. Technical assistance in preparing the application is

available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the awards depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 09 \$11,332,456; FY 10 est \$11,332,456; and FY 11 est \$11,332,456. (Direct Payments for Specified Use) FY 09 \$0; FY 10 est \$142,500,000; and FY 11 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 170.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

LeRoy Gishi, Office of Trust Responsibilities Tribal Services, Division of Transportation, Bureau of Indian Affairs, 1849 C Street NW, MS-4058 MIB, Washington, District of Columbia 20240 Phone: (202) 208-4359.

**Website Address:**

<http://www.doi.gov/bia/otrhome.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the criteria in 25 CFR Part 900 will be funded.

**15.036 INDIAN RIGHTS PROTECTION**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101 et seq.; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Public Law 103-399, 108 Stat. 4164; Indian Lands Open Dump Cleanup Act of 1994; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To protect Indian rights guaranteed through treaty or statute by obtaining the services or information needed to litigate challenges to these rights.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Awards fund projects to collect information needed by the Federal government to litigate challenges to Indian rights which have been guaranteed through treaty or statute. For more specific information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local

Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the awards depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor or grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor or grantee. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$43,615,776; FY 11 est \$43,615,776; and FY 12 est \$47,225,776

**Range and Average of Financial Assistance:**

Range is \$1,000 to \$100,000; Average \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 900.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Vicky Forrest, Department of the Interior, Bureau of Indian Affairs, Office of Trust Responsibilities, 1849 C Street, NW, MS-4510 MIB, Washington, District of Columbia 20240 Phone: (202) 208-5831.

**Website Address:**

<http://www.doi.gov/bia/Rightsprot.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the criteria in 25 CFR Part 900 will be funded.

**15.037 WATER RESOURCES ON INDIAN LANDS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, 25 U.S.C. 13, Public Law 67-85, 42 Stat. 208.

**OBJECTIVES:**

To support Indian tribes in the effective and efficient management, planning, and use of their water resources.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DIRECT PAYMENTS FOR A SPECIFIED USE; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Funds are used by tribes to conduct water management and planning project and activities for the purpose of managing and conserving their water resources and to participate in the on-going water rights negotiation and litigation activities to protect and secure their lawful water rights. All awards are project/proposal specific and are the result of a nationwide competitive process. Contact the headquarters office for more information.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members and Native American Organizations.

**Credentials/Documentation:**

Initial application for financial assistance must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Bureau's application and prioritization procedure for water programs funding has been published as a Notice in the Federal Register, Vol. 70, No. 201, Wednesday, October 19, 2005 ("Notice of Revised Instructions for Preparing and Prioritizing Water Program

Funding Requests"). Completed applications should be submitted by the established deadline to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

Awards are made by the Deputy Bureau Director, Office of Trust Services, Central Office, based on the prioritization of all applications received through a thorough evaluation and scoring by a six-person review team. Awards are usually made shortly after the review team has completed its reviews of all proposals received in Central Office by the due date of September 15th. Any awards are subject to the availability of the congressional appropriations for the new fiscal year.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

There are no set times for approval or disapproval.

**Appeals:**

No appeal process. The Water Programs funds are annual, non-recurring congressional appropriations and any awards made on the basis of the published prioritization process and the availability of funds.

**Renewals:**

Funds are appropriated for use in non-recurring projects/activities on a year-to-year basis and are not intended to provide perennial support for tribal programs.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Applications are evaluated and scored based on weighted criteria that have a maximum scoring range of 100 points (congressional and court mandates automatically score 100). No matching requirement, however, applications with available matching funds may score higher.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor or grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Water program funds awarded to tribes through Public Law 93-638, as amended, are subject to the requirements of the Act and 25 CFR Part 900. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$31,639,805; FY 11 est \$31,639,805; and FY 12 est \$21,246,805

**Range and Average of Financial Assistance:**

The range is \$10,000 to \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notice of Revised Instructions for Preparing and Prioritizing Water Program Funding Requests, Federal Register, Vol. 70, No. 201, Wednesday, October 19, 2005.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Division Chief, Bureau of Indian Affairs, Division of Natural Resources, Office of Trust Services, 1849 C Street, NW, MS 4650 MIB, Washington, District of Columbia 20240 Phone: (202) 208-3956.

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Water Management, Planning, and Pre-development proposals are evaluated according to the type of proposal (as published in the Federal Register Notice, Vol. 70, No. 201, October 19, 2005): Water Management - Indian Water and Associated Resources; Water Management - Coordination/Cooperation/Consultation/Conservation; Water Management - Other; Water Planning and Pre-development - Indian Water; and Water Planning and Pre-development - Other: In addition, all proposals are evaluated on the basis of: Cost Effectiveness, Compliance with Requesting Guidelines; and Efficiency and Accomplishment. Projects are funded based on rankings of the projects Bureau wide, and in accordance with the national program priorities established for the program. Some preference is given to proposals that offer matching funds. Proposals are evaluated on the capability of the prospective applicant to successfully conduct the project, and on the budget and its effective use.

**15.038 MINERALS AND MINING ON INDIAN LANDS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Minerals Development Act, Public Law 97-382, 98 Stat. 1938, 25 U.S.C. 2101 et seq.; Umatilla Basin Project Act, Public Law 101-557, 16 U.S.C. 1271 et seq.

**OBJECTIVES:**

The objectives of the Energy and Mineral Development Program are to: (1) provide funds to Tribes to perform technical evaluations of the energy (both renewable and conventional) and mineral resource potential of Indian reservations; (2) provide Tribes with geological, geophysical and engineering reports, maps, and other data concerning their energy and mineral resources; (3) provide Tribes technical assistance on using and interpreting assessment information so that Tribes can understand and plan for the potential development of these resources; and (4) provide Tribes with an outreach vehicle to promote their lands and resources to potential partners if they so desire. Those projects that fell into economic development categories will be considered for funding through the Office of Indian Energy and Economic Development.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; DISSEMINATION OF TECHNICAL INFORMATION; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Minerals and Mining: Funding may be used to facilitate the inventory, assessment, promotion and marketing of both renewable and nonrenewable energy and mineral resources on Indian lands. Energy and Mineral Assessments: Funds are awarded competitively to support assessment and inventory programs and/or develop baseline data, but cannot be used for development purposes.

**Applicant Eligibility:**

Federally Recognized Indian Tribes and Individual American Indian mineral owners.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members, Native American Organizations, and/or individual American Indian mineral property owners.

**Credentials/Documentation:**

Minerals and Mining: Initial application for assistance must be accompanied by a resolution of the governing body of the Indian tribe. Mineral Assessments Proposals must include: (1) a current tribal resolution authorizing the proposed project; (2) a proposal describing the proposed activities and the planned deliverable products; (3) a detailed budget estimate; and 4) a review by the BIA Agency Superintendent verifying that the work to be performed occurs on trust or restricted fee lands (the Superintendent will notify DEMD in writing if that is not case). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications for financial assistance must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications for Minerals and Mining should be submitted to the Division of Energy and Mineral Development office in Lakewood, Colorado and to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

Mineral and Mining/Mineral Assessments. Proposals are paneled by the Office of Indian Energy and Economic Development. Funds are awarded according to the order of ranking of the proposals, although some elements of the budget may not be fully funded due to the Division's own ability to perform some tasks at lower costs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Mineral Assessments within 30 days after the solicitation period.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Minerals and Mining/Mining Assessment: A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee although OIEED established deadlines for completion of project, which may be extended with prior written approval. See

the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of payments is negotiated with the grantee.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. The SF-425, Federal Financial Report is required. Technical reports describing project outcomes are defined as deliverables in an Energy and Mineral Development award and the data generated must be presented in a compatible computer format as specified by the Division of Energy and Mineral Development.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved. For Mineral Assessment awards, one paper copy of all data (field data, processed data, analyses, assays, etc.) must be submitted at completion of contract.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$12,581,399; FY 11 est \$12,581,399; and FY 12 est \$12,648,399

**Range and Average of Financial Assistance:**

Minerals and Mining: Currently not contracted by any of the tribal governments. Mineral Assessments range is \$10,000 to \$250,000; average \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: IEED received 55 proposals from Tribes which were distributed among renewable energy projects (primarily wind and geothermal energy), oil, natural gas, coal, and minerals (mostly industrial mineral projects such as sand and gravel). IEED issued awards for 29 projects totaling \$5,251,325. Supplemental funding increased the total funding distribution to \$9,885,325 which brought the total number of projects to 45. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 900 and Subchapter I - Energy and Minerals.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Robert Anderson Indian Affairs, Division of Energy and Mineral Development, 12136 W. Bayaud Ave., Suite 300, Lakewood, Colorado 80228 Phone: (720) 407-0602

**Website Address:**

<http://www.doi.gov/WhoWeAre/AS-IA/IEED>

**RELATED PROGRAMS:**

15.222 Cooperative Inspection Agreements with States and Tribes; 15.252 Abandoned Mine Land Reclamation (AMLR) Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects included assessment and feasibility studies of renewable energy resources, such as wind energy, solar energy, biomass, waste



to energy, hydroelectric, assessment and feasibility studies for conventional energy (oil, natural gas, coal) and minerals (precious, industrial such as sand and gravel, building stone). Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Energy and Mineral Assessments: Proposals are evaluated according to technical merits of the mandatory elements of the proposal. Additionally, selection criteria for ranking contain six criteria: (1) Resource Potential; (2) Commodity Marketability; (3) Economic Benefit, (4) Willingness to Develop and Commitment to the Project; (5) Budget Completeness, Cost Reasonableness, Cost Realism, and Detail, and (6) Adequacy of the Technical Proposal and Statement of Work.

**15.040 REAL ESTATE PROGRAMS\_INDIAN LANDS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; 60 Stat. 1097, 25 U.S.C. 176; Indian Land Consolidation Act; Act of March 3, 1901; Act of March 3, 1921; Reorganization Plan No. 3, 1946; Public Law 56-382, 31 Stat. 1084, 25 U.S.C. 311; Public Law 66-359, 41 Stat. 1232, 25 U.S.C. 393; Public Law 97-459, 96 Stat. 2515, 25 U.S.C. 2201 et seq.; Public Law 98-608, 98 Stat. 3171; Public Law 102-238.

**OBJECTIVES:**

To provide real property management, counseling, and land use planning services to individual Indian allottees and Indian tribal and Alaska Native entities who own an interest in almost 56 million acres of trust land; to provide real estate appraisal services required in processing land transactions, and to protect and enhance the Indian leasehold estate by providing individual Indian landowners and Indian tribes with lease compliance activities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Real Estate Services: decision-making processes are developed through cooperative efforts with the Indian landowners for the proper utilization, development, and enhancement of Indian trust lands. Real Estate Appraisals are one element in trust land transactions and are restricted to American Indians who have an ownership interest in property held in trust by the Federal government. Lease Compliance: program resources are used to ensure that leases on trust and restricted Indian lands and their assignees comply with the terms of the leases. For more information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments, Native American Organizations authorized by tribes, and individual American Indians.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their members.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. For real estate appraisals, documented ownership interest in property held in trust is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications for real estate services and lease compliance must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency

office listed in Appendix IV of the Catalog.

**Award Procedure:**

For Real Estate Services and Real Estate Appraisals, the dollar value of the awards depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process. For Lease Compliance, funding is distributed to the Regional offices on the basis of number of existing leases and the number of inspections planned for the year. For Lease Compliance awards, in some cases, the award can be approved at the agency level. In most instances, the application will be forwarded to the Regional Director for approval.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Awards for Real Estate Services and Lease Compliance may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process. Awards for Real Estate Appraisals are a single-action item completed for a specific property and are not subject to renewal.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$33,901,264; FY 11 est \$33,901,264; and FY 12 est \$6,770,264

**Range and Average of Financial Assistance:**

For Real Estate Services, tribal award amounts vary from approximately \$1,000 to \$500,000. For Real Estate Appraisals, the cost of most appraisals is less than \$500 but can range up to approximately \$2,500 or more for large or complex properties; the average is \$1000. Lease Compliance awards range from \$250 to \$30,000 with most awards less than \$5,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 162; 30 CFR; 43 CFR; Uniform Standard of Professional Appraisal Practices as promulgated by the Appraisal Standards Board of the Appraisal Foundation.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs' agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Vicki Forrest, Office of Trust Responsibilities, Division of Real Estate Services, Bureau of Indian Affairs, 1849 C Street NW, MS 4510 MIB, Washington, District of Columbia 20240 Phone: (202) 208-7737.

**Website Address:**

<http://www.doi.gov/bia/otrhome.htm#Land>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available... Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding levels for Real Estate Services and Real Estate Appraisals are determined by the individual Tribe through participation in the BIA's budget formulation process. All applicants meeting the criteria in 25 CFR Part 900 will be funded. Appraisals are conducted for all transactions involving trust property. The time required to complete an appraisal depends on the number of requests being processed by a specific office and the resources available to meet the requests. Lease Compliance funds are distributed to the Regional offices based on three factors: (1) total number of leases, (2) total number of acres, and (3) total amount of income derived from leases. Awards for lease compliance are determined by the number of qualifying leases reported to the Agency and Regional Offices. Minimum funding of \$50,000 is allocated to each Regional office. In allocating program resources, priority is given to activities involving agriculture, oil and gas, mining, industrial, business, recreational, and other income-producing leases.

**15.041 ENVIRONMENTAL MANAGEMENT\_INDIAN PROGRAMS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; 42 U.S.C. 4321, et seq.; National Environmental Policy Act; Solid Waste Disposal Act, 42 U.S.C. 6901-6992k; Resource Conservation and Recovery Act, Public Law 94-580; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, 42 U.S.C. 9601- 9675; 16 U.S.C. 470; National Historic Preservation Act.

**OBJECTIVES:**

To determine environmental impacts of Federal projects on Indian lands; to conduct surveys of Bureau of Indian Affairs controlled Federal lands and facilities, and of Indian lands, in order to identify hazardous waste sites, evaluate the potential threat to health and the environment, and develop the necessary remedial actions; to train area, agency and tribal staff in waste

management principles; and to respond to emergencies and alleviate adverse health or environmental impacts.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Use of these funds are two-fold. One, they facilitate the Bureau's fulfilling statutory responsibilities: they are used to prepare Environmental Assessments (EA's); advise agency superintendents on environmental quality, waste disposal and cultural resource management; assist area offices in gathering information for EA's and Environmental Impact Statements (EIS's); review proposed actions to determine compliance with the National Environmental Policy Act (NEPA); and assist area offices in obtaining information for compliance with the National Historic Preservation Act and the Archeological Resources Protection Act. Two, they are used for individual tribal projects that enhance or protect the local environment. For more information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by the Tribes.

**Beneficiary Eligibility:**

Federally Recognized Indian tribes.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal prep-application conference is recommended. Technical assistance in preparing the application is available upon request. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

The award is approved by the Director, Office of Facilities, Environmental and Cultural Resources, Indian Affairs.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official or may appeal the denial of the application directly to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

For continuing, funded projects, awards may be renewed upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor or grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Reports, SF 425, are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For awards made under this program, grantees/contractors are responsible for obtaining audits.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$9,037,541; FY 11 est \$9,037,541; and FY 12 est \$10,856,541

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$250,000; Average \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Current Data Not Available. Fiscal Year 2011: Current Data Not Available. Fiscal Year 2012: Current Data Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

36 CFR 800 and 40 CFR 1500-1508.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Judy Wilson, Division of Environmental and Cultural Resources Management, Indian Affairs, 2051 Mercator Drive, Reston, Virginia 20191 Phone: (703) 390-6524, Fax: (703) 390-6325.

**Website Address:**

<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must provide the Bureau of Indian Affairs or the tribes with assistance on a current compliance issue; work must be consistent with conservation of trust resources; and applicant must have the experience and qualifications necessary to complete the technical aspects of the work.

**15.042 INDIAN SCHOOL EQUALIZATION PROGRAM**

ISEP

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide funding for primary and secondary education.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for the education of Indian children in BIA funded schools. Funds may not be used for construction.

**Applicant Eligibility:**

Federally Recognized Indian Tribes or tribal organizations currently served by a Bureau of Indian Affairs funded school.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are a member of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Written evidence of approval of the application by the tribal governing body of the students served by or to be served by the school. "Tribal governing body" means the tribal governing body or tribal governing bodies that represent at least 90 percent of the students served by such school. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the Agency/Area Education Program Administrator who will provide technical assistance. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. To become a contract school, applications should be developed in accordance with 25 CFR Part 900. To become a grant school, applications should be developed in accordance with 25 USC 2501 et. seq.

**Award Procedure:**

The BIE Education Line Officer will ensure the application is complete and forward the application to the Director, Office of Indian Education Programs, with a recommendation for approval or disapproval.

**Deadlines:**

Jul 01, 2011 Schools must submit their applications and a copy of the tribe's approval of the application by March 1. Evidence that all administrative systems are in place such as accounting, personnel and property must be submitted by July 1.

**Range of Approval/Disapproval Time:**

Applications for contract schools will be processed within 90 days; applications for grant schools will be processed within 180 days after the date the application is submitted to the Agency/Area Education Program Administrator.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Awards are made annually and are renewed automatically based on satisfactory performance by the grantee.

**Formula and Matching Requirements:**

Statutory Formula: Title 25, Chapter 39. Approximately ninety-nine percent of the ISEP funds will be allocated in accordance with the ISEP formula contained in 25 CFR 39. One percent of the funds shall be reserved for the Director's discretion.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds may be paid in advance, are awarded annually on an indefinite basis based on performance, and remain with the Self Determination contractor or grantee until spent. Funds are added to the recipient school's Public Law 100-297 Grant or Public Law 93-638 Contract on July 1 and December 1. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual Narrative Report and a program evaluation by an impartial third party such as an accrediting agency. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$261,149,834; FY 11 est \$261,149,834; and FY 12 est \$265,052,834

**Range and Average of Financial Assistance:**

The FY 2010 range was \$124,800 to \$9,473,500. The average was \$1,927,546 per school.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: One hundred twenty six (126) of the BIE's 183 schools received funds through contracts or grants. Sante Fe Indian School received \$9,473,500 for 693 academic and 501 residential students. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 39; 25 CFR 45; 25 CFR 900.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Joe Herrin, Office of Indian Education Programs, Bureau of Indian Affairs, MS 3609 MIB, 1849 C Street, N.W., Washington, District of Columbia 20240  
Email: joe\_herrin@bia.gov Phone: (202) 208-7658.

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.043 Indian Child and Family Education; 15.044 Indian Schools\_Student Transportation; 15.045 Assistance for Indian Children with Severe Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Sante Fe Indian School received a grant for \$9,473,500 to operate ISEP. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility requirements are funded.

**15.043 INDIAN CHILD AND FAMILY EDUCATION**

FACE

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.

**OBJECTIVES:**

The FACE program is designed to serve families with children from prenatal to age 5 in home and center-based settings. Families may receive services in one or both settings. FACE provides early childhood and adult education for all children from birth - age five through family literacy, parental involvement, increasing pre-school readiness, and high school graduation rates among Indian parents, and to encourage life-long learning.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

Funds must be used for early childhood education, adult education and parenting skills. Funds may not be used for administration.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian tribal governments on reservations with Bureau-funded elementary schools may apply to administer the program.

**Beneficiary Eligibility:**

Parents and their Indian children under 5 years of age who live on a reservation with a Bureau-funded school.

**Credentials/Documentation:**

The initial application must include the SF 424 and SF 424B, and may be accompanied by a resolution of the tribal governing body of the Tribe of the children served by or to be served by the organization. No documentation is required of the parents or children. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Tribe should contact the Education Line Officer.

**Award Procedure:**

Once an application is received, the Coordinator of the FACE program appoints a panel of readers from such organizations as the National Center for Family Literacy, the Parents as Teachers, Research Training Associates and BIE staff who are familiar with early childhood development. The panel reads, rates and ranks the applications. The coordinator then recommends to the Director, Office of Indian Education, those applications for approval.

**Deadlines:**

Jun 01, 2011 Applications should be submitted no later than June 1 of the year in which the applicant wishes to begin the program.

**Range of Approval/Disapproval Time:**

Applications by Tribal governments to administer the program will be processed within 90 days.

**Appeals:**

Tribal Governments wishing to appeal should write to the Director, Office of Indian Education. Appeals beyond this level are covered by 25 CFR Part 2.

**Renewals:**

Awards to Tribal Governments to administer the program may be renewed every 3 years based upon satisfactory performance. A notice of intent to renew should be submitted yearly and a full application must be submitted every 3 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis based on satisfactory performance, and the funds remain available until expended by the contractor or grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Monthly progress reports, annual participation data, screening, work sampling, and other program data requested is required. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$10,565,216; FY 11 est \$10,565,216; and FY 12 est \$10,590,216

**Range and Average of Financial Assistance:**

Each site receives \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A copy of the guidelines may be obtained by contacting the Education Line Officers.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Debbie Lente-Jojola, Office of Indian Education Programs, Bureau of Indian Affairs, Office of the Deputy Director, Early Childhood, BIA Building 2, 1011 Indian School Road, N.W., 3rd Floor, Suite 332, Albuquerque, New Mexico 87104 Phone: (505) 563-5258.

**Website Address:**

<http://www.oiep.bia.edu/sirc.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the review of the team appointed by the Coordinator. Final determination made by the Director, OIEP, based on the Coordinator's recommendation.

**15.044 INDIAN SCHOOLS\_STUDENT TRANSPORTATION**

(Student Transportation)

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide funds to each school for the round trip transportation of students between home and the school site.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds are to only be used for the transportation of students who are eligible under the Indian School Equalization Program (ISEP) as provided for under 25 CFR 39 and are enrolled in a BIE- funded school or dormitory.

**Applicant Eligibility:**

Federally Recognized Indian Tribes or tribal organizations currently served by a BIE-funded school.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are members of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Written evidence of approval of the application by the tribal governing body of the students served by or to be served by the school. "Tribal governing body" means the tribal governing body or tribal governing bodies that represent at least 90 percent of the students served by such school. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the Education Line Officer who will provide technical assistance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. To become a contract school, applications should be developed in accordance with 25 CFR Part 900. To become a grant school, applications should be developed in accordance with 25 USC 2501 et seq.

**Award Procedure:**

The Agency/Area Education Program Administrator will ensure the application is complete and forward the application to the Director, Office of Indian Education Programs, with a recommendation for approval/disapproval.

**Deadlines:**

Jul 01, 2011 Schools must submit their applications and a copy of the tribe's approval of the application by March 1. Evidence that all administrative systems are in place such as accounting, personnel and property must be submitted by July 1.

**Range of Approval/Disapproval Time:**

Applications for contract schools will be processed within 90 days; applications for grant schools will be processed within 180 days after the date the application is submitted to the BIE Education Line Officer.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards are made annually and are renewed automatically based on satisfactory performance by the grantee.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Funds are allocated in accordance with 25 CFR 39 Subpart G. The Director, Bureau of Indian Education will review transportation allotment factors each year and make changes in factors based on changes in transportation costs.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Funds are added to the recipient school's Public Law 100-297 Grant or Public Law 93-638 Contract on July 1 and December 1. See the following for information on how assistance is awarded/released: Payments are made in advance or by way of reimbursement.

**Reports:**

A narrative report and a program evaluation by an impartial third party such as an accrediting agency. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$40,199,209; FY 11 est \$40,199,209; and FY 12 est \$40,130,209

**Range and Average of Financial Assistance:**

Range is \$1,000 to \$1,358,800; Average \$255,700.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: One hundred twenty six schools (126) of the Bureau's 183 schools received funds through contracts or grants. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 39; 25 CFR 45; 25 CFR 900.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV.

**Headquarters Office:**

Joe Herrin, Office of Indian Education Programs, Bureau of Indian Affairs, MS 3609 MIB, 1849 C Street, N.W., Washington, District of Columbia 20240  
Email: joe\_herrin@bia.gov Phone: (202) 208-7658.

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov.bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program; 15.043 Indian Child and Family Education; 15.045 Assistance for Indian Children with Severe Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Chief Leschi School received \$1,509,000 for transporting students 466,441 miles during school year 2010-2011. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

**15.045 ASSISTANCE FOR INDIAN CHILDREN WITH SEVERE DISABILITIES**

Residential Education Placement Program

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Individuals with Disabilities Education Act (IDEA), Public Law 101-476, 20 U.S.C. 1400.

**OBJECTIVES:**

To provide for the special education and related services of Indian children with severe disabilities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for physical and occupational therapy, speech therapy, direct academic services and administration including staff development. Funds may only be used for students who are enrolled in a Bureau-funded school.

**Applicant Eligibility:**

Members or direct descendants of members of Federally recognized tribes and enrolled in a BIA-funded school.

**Beneficiary Eligibility:**

Indian children enrolled in a Bureau-funded school who are between the ages of five and twenty-one who have been determined by a multi-disciplinary team comprised of parents, teachers, school administrators and other concerned parties to be in need of specialized services available only in residential settings. Children whose fifth birthday occurs on or before December 31 or whose twenty-second birthday occurs during the course of the regular school year shall be regarded as eligible children for the entire school year.

**Credentials/Documentation:**

An Individual Education Program must be developed by a multi-disciplinary team. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A parent, classroom teacher, Tribal educator or other concerned party must identify a student as needing services and inform the head of the school attended by the student. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Individual Education Program is submitted to either the Residential Education Placement Program Coordinator at the New Mexico Navajo Central Education Line Office, the Standing Rock Education Line Office or the Bureau of Indian Education Office's Division of Performance and Accountability in Albuquerque, NM.

**Award Procedure:**

The multi-disciplinary team in conjunction with the concerned Institutionalized Coordinator determines in what institution the child will receive services.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

10 to 45 days.

**Appeals:**

The appeals process is outlined in the Individuals with Disabilities Education Act, Public Law 101-476, 20 U.S.C. 1400.

**Renewals:**

Individual Education Programs must be updated annually on the anniversary date of the Individual Education Program for as long as the student requires services.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Payments are made directly to the institution in which the eligible child is placed. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of the submission of the Single Audit Report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement or transfer. Records pertaining to litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$1,851,406; FY 11 est \$1,851,406; and FY 12 est \$1,908,594

**Range and Average of Financial Assistance:**

The average education cost for students in institutions is between \$140 and \$300 per day.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Approximately 60 students were placed in 24 hour care programs during School year 2009-2010. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 38; 25 CFR 39; 25 CFR 42; 25 CFR 43; 25 CFR 45; 25 CFR 900; 34 CFR 300; 34 CFR 300 (Appendix C); 34 CFR 303.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Jeff Hamley, Bureau of Indian Education, Division of Performance and Accountability, 1011 Indian School Road, Suite 332, Albuquerque, New Mexico 87104 Email: jeff\_hamley@bia.gov Phone: (505) 563-5255.

**Website Address:**

<http://www.oiep.bia.edu/sped.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program; 15.043 Indian Child and Family Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All Individual Education Programs are funded.

**15.046 ADMINISTRATIVE COST GRANTS FOR INDIAN SCHOOLS**

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide grants to tribes and tribal organizations operating schools for the purpose of paying administrative and indirect costs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for program services related administrative overhead, operations necessary to meet requirements of the law, prudent management practices, and other necessary support functions.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments or Tribal Organizations operating a Bureau of Indian Education funded school.

**Beneficiary Eligibility:**

Indian Tribal Governments or tribal organizations operating an elementary or secondary school under a grant or Self-determination Contract with the Bureau of Indian Education.

**Credentials/Documentation:**

Approved status as a Public Law 100-297 Grant or a Public Law 93-638 Self Determination Contract School. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No separate application is required. The additional allocation will be calculated by the Bureau of Indian Education and added to the underlying award.

**Award Procedure:**

The headquarters office calculates the amount of the award and the grantee is notified by the BIE Education Line Officer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

An applicant who disputes the amount of the award may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards are renewed automatically based on satisfactory performance by the grantee.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 25 U.S.C. 2008(a).

Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made available on July 1 and December 1 each year and remain available without fiscal year limitation until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Narrative Report and a program evaluation by an impartial third party such as an accrediting agency. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$45,736,469; FY 11 est \$45,736,469; and FY 12 est \$48,736,469

**Range and Average of Financial Assistance:**

Range is \$122,400 to \$1,055,000; Average \$349,782.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: One hundred twenty-six (126) tribally operated schools received grants under this program. These funds were used to provide related administrative overhead support without reducing direct program services. Fiscal Year 2011: Current Data Not Available. Fiscal Year 2012: Current Data Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 39; 25 CFR 45; 25 CFR 900.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Joe Herrin, Headquarters Office: Office of Indian Education Programs, Bureau of Indian Affairs, MS-3609 MIB, 1849 C Street, N.W., Washington, District of Columbia 20240 Email: Joe.Herrin@bie.gov Phone: (202) 208-7658.

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Administrative costs include fiscal, personnel, property and procurement management and costs of necessary insurance, auditing, legal, safety and security services. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

**15.047 INDIAN EDUCATION FACILITIES, OPERATIONS, AND MAINTENANCE**

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq., Public Law 103-413, Title II Tribal Self-Governance Act, Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001; Tribally Controlled Schools Act, Public Law 100-297, and 25 U.S.C. 2501.

**OBJECTIVES:**

To provide funds to BIE funded elementary schools, secondary schools or peripheral dormitories for facilities operations and maintenance.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries and related expenses of maintenance personnel, utilities, maintenance of school grounds, supplies, equipment, materials, and for minor repairs to facilities.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments or tribal organizations currently served by a BIA funded elementary school, secondary school or peripheral dormitory.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and occupants and visitors of BIA funded elementary or secondary schools or peripheral dormitories.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. If the school serves students from multiple tribes, resolutions from tribal governing bodies representing at least 90 percent of the students are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications for status as a contract school must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Initial applications for status as a grant school should be developed in accordance with 25 U.S.C. 2501 et seq.

**Award Procedure:**

Applications should be submitted to the BIE Education Line Officer (ELO) who will ensure that the application is complete. The application is forwarded by the ELO to the Director, Office of Indian Education Programs, with a recommendation for approval or disapproval. The dollar value of the awards is based upon school age and condition, size, utilities costs, and other pertinent factors.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 to 180 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee and continued use of the facilities. A notice of intent to



renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted based on appropriations and need.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$66,943,038; FY 11 est \$67,500,000; and FY 12 est \$67,500,000 - FY 2010 Operations \$34,813,448 Maintenance \$32,129,590; FY 2011 Operations est. \$35,000,000 Maintenance \$32,500,000; and FY 2012 est. Operations \$35,000,000 and Maintenance \$32,500,000.

**Range and Average of Financial Assistance:**

Range is \$72,119 to \$1,666,956; Average \$539,863.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: One hundred twenty six (6) elementary and secondary school on or near Indian reservations are operated by Indian tribes and Tribal School Boards through Public Law 93-638 contracts, Public Law 103-413 grants, and Public Law 100-297 grants. These funds help ensure that the facilities used to educate these students are safe, clean, and well maintained. Fiscal Year 2011: No current data available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local BIE Education Line Office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Dr. Joe Herrin 1849 C Street, NW, MS-3609 MIB, Washington, District of Columbia 20240 Phone: (202) 208-7658

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov/bureau-indian-affairs.html>

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Ch'ooshgai Community School received \$1,666,956 in facilities operations and maintenance funds. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 or the requirements of the Tribally Controlled Schools Act will be selected if they are currently served by a BIE-funded school.

**15.048 BUREAU OF INDIAN AFFAIRS FACILITIES\_OPERATIONS AND MAINTENANCE**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

To provide funds for basic operating services to Bureau-owned or Bureau-operated non-education facilities and to maintain these facilities in a safe operating condition for the conduct of Bureau programs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for essential services for non-education physical plant and utility systems throughout the Bureau. The Operation and Maintenance may be used for personnel services, supplies, materials, equipment and support for planning, reporting and managing the operations and resources of the organization as well as heating, cooling, electricity, water, sewage, refuse disposal, basic telecommunications equipment, unscheduled and preventive maintenance, GSA vehicle rental, lease agreements, and custodial and protection services. For more information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments who have Bureau-owned or Bureau-operated facilities on their reservation.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and occupants and visitors of Bureau-owned or Bureau-operated facilities.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An informal conference with the Bureau of Indian Affairs agency representative is recommended. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C "Contract Proposal Contents." Completed applications should be submitted to the local Bureau agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the award depends upon the amount that would otherwise be spent for the program through direct services provided by the Bureau. Operation and Maintenance is based upon age and condition, size, utilities costs, and other pertinent factors of the facility.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee and continued use of the facilities. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted based on appropriations and need.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$91,636,233; FY 11 est \$91,636,233; and FY 12 est \$97,969,233

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director Office of Facilities Management and Construction, Bureau of Indian Affairs, 201 Third Street, NW, Suite 500, P.O. Box 1248, Albuquerque, New Mexico 87103 Phone: (505)346-6522

**Website Address:**

<http://www.doi.gov/bia/ofmc/om.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting the requirements of 25 CFR Part 900 who have Bureau-owned or Bureau-operated facilities on their reservation.

**15.051 ENDANGERED SPECIES ON INDIAN LANDS**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Endangered Species Act, Public Law 93-205.

**OBJECTIVES:**

To comply with the Endangered Species Act, the Northern Spotted Owl Recovery plan, and to implement the Endangered Species Recovery on Indian lands.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DIRECT PAYMENTS FOR A SPECIFIED USE; DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

The program monies are species specific. Appropriated funds allow those tribes in areas of endangered species to conduct activities that are necessary to comply with the Endangered Species Act. For more information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments whose reservations are in areas inhabited by these specific endangered species.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian tribal governments.

**Credentials/Documentation:**

Initial application for financial assistance must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal application conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

In most cases, the award can be approved at the agency level. In some instances, the application will be forwarded to the Regional Director for approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official.

**Renewals:**

Financial assistance is in the form of nonrecurring awards appropriated for projects on a year-by-year basis. They are not intended to provide perennial support for tribal programs.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$892,177; FY 11 est \$892,177; and FY 12 est \$890,177

**Range and Average of Financial Assistance:**

Range is \$20,000 to \$140,000; Average \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 900; 50 CFR Part 17 Endangered and Threatened Wildlife and Plants.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Ira New Breast, Bureau of Indian Affairs, Office of Trust Services, Division of Natural Resources, Branch of Fish and Wildlife Recreation, MS 4656 MIB 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202) 208-4088.

**Website Address:**

<http://www.doi.gov/bia/otrhome.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.034 Agriculture on Indian Lands; 15.035 Forestry on Indian Lands

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria such as the geographic extent of potential critical habitat and the amount of harvested acres (forest, range, agricultural, etc.) are considered, as well as the methodologies proposed and the capability of the applicant to successfully conduct the project.

**15.052 LITIGATION SUPPORT FOR INDIAN RIGHTS****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Public Law 103-399; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Indian Lands Open Dump Cleanup Act of 1994, 108 Stat. 4164.

**OBJECTIVES:**

To establish or defend Indian property or treaty rights through judicial, administrative, or settlement actions.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

This program supports requests from tribes for expert witnesses, research, data collection, technical support, and other evidence-gathering activities required for the United States to defend the government's position in litigation cases involving Indian rights issues such as hunting, fishing and gathering rights issues; trespass; title issues, such as property line disputes; rights-of-way disputes; allotment claims; mineral entry; pollution and other activities which have harmed or could harm the health and safety of the reservation population. Funds may be used for the payment of Equal Access to Justice Act (EAJA) settlements or other payments ordered by the Courts, the Department of Justice and the Department of the Interior Office of the Solicitor. For more information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by these Tribes.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribes and their members.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

Awards are approved at the Headquarters level.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official.

**Renewals:**

Applications must be submitted each year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee for the purposes specified in the application. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the grantee.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$975,725; FY 11 est \$975,725; and FY 12 est \$581,275

**Range and Average of Financial Assistance:**

Funding range and average is not available. Approximately 30 funding requests are received on an annual basis; between 20 and 25 are funded each year.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Vicki Forrest, Office of Trust Services, Bureau of Indian Affairs, 1849 C Street N.W., MS-4620 MIB, Washington, District of Columbia 20240 Phone: (202) 208-5831.

**Website Address:**

<http://www.doi.gov/bia/otrhome.htm>; <http://doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.053 Attorney Fees\_Indian Rights

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection of proposals is dependent on the type of assistance being requested and the availability of funds. Cases for which assistance is requested must have progressed beyond Tribal courts to local, county, State, or Federal courts.

**15.053 ATTORNEY FEES\_INDIAN RIGHTS****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Public Law 103-399; Indian Lands Open Dump Cleanup Act of 1994, 108 Stat. 4164.

**OBJECTIVES:**

To assist Federally Recognized Tribes in protecting their treaty rights and other rights established through Executive Order or court action.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

These funds are used to provide assistance to tribes to obtain legal representation in situations where the United States cannot represent them as authorized in 25 U.S.C. 175. The funds are distributed in accordance with regulations governing the expenditure of appropriated funds for the fees of private attorneys representing tribes, and the eligibility requirements are found in 25 U.S.C. 89. Bureau policy determines the attorney fee hourly rates. For more information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribes and their members.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR 89. Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV of the Catalog.

**Award Procedure:**

Awards are approved at the Headquarters level.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official.

**Renewals:**

A new application is required each year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended for the legal services specified in the contractor/grantee application. See the following for information on how assistance is awarded/released: Payments are made as billings are received. The timing of payments will be negotiated with the grantee.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained by Tribes for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved. Records maintained by the attorneys are subject to provisions of the contract with the Tribe.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$2,814,446; FY 11 est \$2,814,446; and FY 12 est \$2,694,446

**Range and Average of Financial Assistance:**

Information not available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 89.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Vicki Forrest, Office of Trust Services, Bureau of Indian Affairs, 1849 C Street N.W., MS 4620 MIB, Washington, District of Columbia 20240 Phone: (202) 208-5831.

**Website Address:**

<http://www.doi.gov/bia/otrhome.htm>  
<http://www.doi.gov/bureau-indian-affairs.html>

**RELATED PROGRAMS:**

15.052 Litigation Support for Indian Rights

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Cases must first have been turned down by the Department of Justice and the Department of the Interior Office of the Solicitor, and then can be submitted for review to the Attorney Review Committee for a recommendation to the Assistant Secretary for approval.

**15.058 INDIAN POST SECONDARY SCHOOLS**

Haskell Indian Nations University (Haskell) and Southwestern Indian Polytechnic Institute (SIPI)

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921 Public Law 67-85, 25 U.S.C. 13.

**OBJECTIVES:**

To provide postsecondary educational opportunities for American Indian Students.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Students may attend one of two post-secondary schools operated by the Bureau of Indian Affairs with minimal charge for tuition, room and board. Married student housing is not available on campus. For more information contact the headquarters office.

**Applicant Eligibility:**

American Indians and Alaskan Natives.

**Beneficiary Eligibility:**

American Indians and Alaskan Natives.

**Credentials/Documentation:**

Application must be accompanied by a verification of Tribal affiliation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Interested applicants may obtain a Standard Form 5-6621 from a local BIE Education Line Office or Tribal Government education office, or applicants may contact the schools directly.

**Award Procedure:**

Applications will be reviewed by the colleges' admissions committees.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

HINU: Fall Semester - June 30; Spring Semester - November 15; Summer School - (if funds are available) - April 15. SIPI: Fall Trimester - September 1; Spring Trimester - December 29; Summer Trimester - May 5. Students will be notified within 4 weeks of having submitted a completed application packet.

**Appeals:**

Not Applicable.

**Renewals:**

HINU: Fulltime students are considered making satisfactory academic progress if they are not on academic probation and have not completed the minimum hours to graduate with an associate degree in six semesters or with a baccalaureate degree in 12 semesters. SIPI: Awards may be renewed until the student completes the chosen program of study so long as satisfactory progress is maintained and the student adheres to the student code of conduct.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the recipient. Financial assistance grants to individual students are based on each student's certified financial aid requirements as identified in the Department of Education's Student Financial Assistance programs. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Applicants are to submit official transcript from high school or other institution attended or certificate of GED.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Training) FY 10 \$3,294,353; FY 11 est \$3,294,353; and FY 12 est \$2,904,353

**Range and Average of Financial Assistance:**

Not identifiable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Haskell Indian Nations University enrolls approximately 1,000 students, approximately 135 students graduate a year. SIPI has an average amount of 660 students per trimester of whom about 79 graduate each year. SIPI also offers technical certificate programs in addition to associate degrees. Fiscal Year 2011: Current Data Not Available. Fiscal Year 2012: Current Data Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 40; Haskell Indian Nations University Catalog; Southwestern Indian Polytechnic Institute Catalog.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be obtained at the local Bureau of Indian Affairs agency/area education program administrator as listed in Appendix IV.

**Headquarters Office:**

Haskell Indian Nations University, 155 Indian Avenue, Lawrence, Kansas 66046 Phone: (785) 749-8454.

**Website Address:**

<http://www.bie.edu>; [WWW.Haskell.edu](http://WWW.Haskell.edu); [WWW.SIPI.edu](http://WWW.SIPI.edu);  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.027 Assistance to Tribally Controlled Community Colleges and Universities; 15.060 Indian Vocational Training\_United Tribes Technical College; 15.114 Indian Education\_Higher Education Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

To the extent that space is available, all applicants meeting the eligibility criteria and demonstrating the ability to benefit from post-secondary education will be accepted.

**15.059 INDIAN GRADUATE STUDENT SCHOLARSHIPS**

(Special Higher Education Scholarships)

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13.

**OBJECTIVES:**

To provide financial aid to eligible Indian students to enable them to obtain advanced degrees.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to defray the costs of obtaining a graduate degree.

**Applicant Eligibility:**

Individual applicants must be Indian students who are members of Federally Recognized Indian Tribes, who have been admitted to a graduate program and

have unmet financial need.

**Beneficiary Eligibility:**

Members of Federally Recognized Indian Tribes who are a member of or are at least one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Individual applicants must have proof of membership or one-fourth degree of Indian blood or descendant of a member of a Federally Recognized Indian Tribe. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants should contact the American Indian Graduate Center which administers the program on behalf of the Bureau. The AIGC award includes \$1,320,000 for scholarships and \$746,700 for financial assistance loans with a service pay back option. (The American Indian Law Center also receives \$97,300 for pre-law courses.). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms may be obtained from the local BIA agency or area education office listed in Appendix IV of the Catalog.

**Award Procedure:**

The applicant will be notified of the amount of the award by the financial aid office of the admitting university.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

20 to 30 days from the receipt of the application by the American Indian Graduate Center.

**Appeals:**

Not Applicable.

**Renewals:**

Individuals must reapply annually.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards made are not to exceed one academic year. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Successful applicants are required to show proof of satisfactory performance. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$2,910,700; FY 11 est \$2,910,700; and FY 12 est \$2,910,700

**Range and Average of Financial Assistance:**

Range is \$250 to \$4,000; Average \$3,947.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Annually approximately 330 Indian students receive support to help finance graduate studies. Law and health professions are the most often selected areas of concentration. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 40.

**Regional or Local Office:**

See Regional Agency Offices. Chris Redman, Bureau of Indian Education, 215 Dean A. McGee, Suite 610, Oklahoma City, OK 73102, Email: james.redman@bie.edu, Phone: (405) 605-6001.

**Headquarters Office:**

Director, American Indian Graduate Center, 4520 Montgomery Boulevard, Suite 1-B, Albuquerque, New Mexico 87109 Phone: (505) 881-4584.

**Website Address:**

<http://www.oiep.bia.edu/contact.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.026 Indian Adult Education

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.061 INDIAN JOB PLACEMENT UNITED SIOUX TRIBES DEVELOPMENT CORPORATION**

(United Sioux Tribes)

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85; 42 Stat. 208; 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956; Public Law 84-959; 70 Stat. 986, as amended; Public Law 88-230; 77 Stat. 471; 25 U.S.C. 309; Indian Self-Determination and Education Assistance Act; Public Law 93-638; as amended; 25 U.S.C. 450.

**OBJECTIVES:**

To provide job development, counseling, social adjustment guidance, and referrals to job training programs and other assistance programs through the United Sioux Tribes Development Corporation, located in Pierre, South Dakota.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Financial aid is used to assist individual Indians in finding permanent employment. A weekly or monthly (depending on type of services received) stipend is paid until the participant is employed. Upon receiving employment, assistance may be provided until the first full paycheck is received.

**Applicant Eligibility:**

Application to administer the program is limited to the United Sioux Tribes Development Corporation. Individual American Indian applicants must be a member of a Federally Recognized Indian Tribe, be in need of financial assistance, and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

Must be an American Indian member of a Federally Recognized Indian Tribe and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs. Complete information on beneficiary eligibility is found in 25 CFR, Parts 26 and 27.

**Credentials/Documentation:**

Applicant must submit a certificate signed by a Bureau Agency Superintendent or an authorized Tribal representative that indicates the applicant is an enrolled member of a Federally Recognized Indian Tribe. OMB Circular No. A-87

applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application by the United Sioux Tribes Development Corporation to administer the program must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." The completed application should be submitted to the Bureau of Indian Affairs Aberdeen Regional office. Individual American Indian applicant should apply for program services using the application form designated by the Corporation. Individual application forms may be obtained directly from the Corporation.

**Award Procedure:**

Applications for individual benefits are approved by the designated United Sioux Tribes Development Corporation official.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

1 to 90 days.

**Appeals:**

Disputes between the United Sioux Tribes Development Corporation and the Bureau of Indian Affairs may be appealed through an informal conference with the deciding official, may be appealed to the Interior Board of Indian Appeals, or the corporation may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900. An appeal of the corporate official's decision must be made under the corporation's appeal procedures.

**Renewals:**

Awards to the United Sioux Tribes Development Corporation to administer the program may be renewed indefinitely upon satisfactory performance by the corporation and the availability of appropriated funds. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. Individual renewals are based on the availability of funds, but the job placement service may not be used more than three times or more frequently than every two years.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards to the United Sioux Tribes Development Corporation to administer the program are made on an annual basis and the funds remain available until expended. Payments may be made in advance or by reimbursement. Payments to individual beneficiaries for subsistence, support services, uniforms, etc., are released as required by beneficiary, up to the amount of the award. Assistance for job placement is provided until the beneficiary receives their first full paycheck. See the following for information on how assistance is awarded/released: Contact the headquarters or regional office.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the Corporation. Cash reports are not applicable. Progress reports are not applicable. The United Sioux Tribes Development Corporation must submit financial status reports, SF 269A. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The United Sioux Tribes Development Corporation must retain financial records for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 09 \$25,172,016; FY 10 est \$16,423,290; and FY 11 est \$16,423,290

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 900, 25 CFR 26, and 25 CFR 27.

**Regional or Local Office:**

See Regional Agency Offices. United Sioux Tribes Development Corporation, 1830 Lombardy Drive, Rapid City, South Dakota, 57701. Contact: Ken Lock; Telephone: (605) 226-7426.

**Headquarters Office:**

Lynn Forcia, Office of Economic Development, Division of Job Placement and Training, Bureau of Indian Affairs, 1849 C Street, NW., MS-2412 MIB, Washington, District of Columbia 20240. Phone: (202) 219-5270.

**Website Address:**

<http://www.doi.gov>.

**RELATED PROGRAMS:**

15.108 Indian Employment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are received for direct employment participants. Final determination to fund an application is based on the individual's eligibility and financial need and total dollars available to the Corporation.

**15.062 REPLACEMENT AND REPAIR OF INDIAN SCHOOLS****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, 25 U.S.C. 450 et seq., as amended, Title IV; Tribal Self-Governance Act of 1994, Public Law 103-413; Tribally Controlled Schools Act of 1988, as amended, Public Law 100-297, 25 U.S.C. 2501 et seq TCSA; American Recovery & Reinvestment Act of 2009, Public Law 111-5 (ARRA).

**OBJECTIVES:**

Providing safe, functional, code-compliant, economical, and energy efficient education facilities for American Indian students attending Bureau of Indian Affairs owned or funded primary and secondary schools and/or residing in Bureau owned or funded dormitories. Additional objectives for ARRA funded projects include having a demonstrated or potential ability to deliver programmatic results, optimizing economic activity and the number of jobs created or saved, achieving long-term public benefits from improved school infrastructure, fostering energy independence or improving educational quality.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Replacement School Construction: Funds are provided for advance planning,

design, and construction of major expansions or major replacements of Bureau of Indian Affairs owned or funded education facilities for the direct support of primary and secondary schools and/or dormitories. An education facility may include an entire school facility or building, or a component(s) of a school facility or building, such as, classrooms, multi-purpose rooms or gymnasiums, or cafeteria/kitchens; and may include other improvements to real property such as, water storage tanks, water and sewer distribution lines, parking lots, and other site improvements. School facilities are replaced only in those instances where rehabilitation and upgrading are not feasible because of eligible American Indian student capacity needs, functional changes or costs. Facilities Improvement and Repair: Funds are provided for advance planning, design, and construction for facilities improvement and repair of education facilities for the direct support of primary and secondary schools and/or dormitories and the Bureau's two post secondary schools. Funds are used to improve, repair and rehabilitate facilities and in some instances replace components of education facilities and may include other improvements to real property as noted under Replacement School Construction. Contact the headquarters office for more information.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Tribal Organizations, including School Boards, who have a prioritized Replacement School Construction or Facilities Improvement and Repair, for which funds have been specifically approved through the appropriation process, or for which ARRA funds have been allocated.

**Beneficiary Eligibility:**

American Indian children attending Bureau owned or funded primary and secondary schools and/or American Indian children residing in Bureau owned or funded dormitories.

**Credentials/Documentation:**

When an eligible project has been identified, the Tribe or Tribal Organization is invited to submit an initial application accompanied by a copy of the authorizing resolution from the Federal Recognized Indian Tribal Government to be served. If a currently effective authorizing resolution covering the scope of a project has already been provided, a reference to that resolution is acceptable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Taking into account organizational risk ratings, the agency consults with the Tribe as to how it wishes the project to be managed. An informal conference with the Bureau agency representatives is strongly recommended to determine the application and award procedures to be followed. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. For a Self-Determination Contract (or Grant), applications are filed in accordance with 25 CFR Part 900 "Contracts under the Indian Self-Determination and Education Assistance Act;" for a Financial Assistance Award applications are filled pursuant to 43 CFR Part 12, Subpart C "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and the Tribally Controlled Schools Act of 1988, as amended, 25 U.S.C. 2501 et seq., as applicable.

**Award Procedure:**

Although eligible applicants do not compete for awards, an award to a particular entity is not mandatory because requirements related to the scope of the project work, project cost, and other compliance measurements must be agreed to before funding is provided to the recipient. For non-ARRA funded projects, projects representing the greatest needs at schools and related facilities are prioritized as part of the process of obtaining Congressional appropriations of fund the projects. Funds must be appropriated before any project awards can be made, and a change in priorities may require Congressional consultation and, for some projects above a certain dollar amount, Congressional approval of the reprogramming of funding to a different project. For ARRA funded projects, a similar prioritization of projects representing greatest needs was implemented, resulting in the identification of projects eligible to receive ARRA funds,



followed by communication with prospective recipients of the available ARRA funds for the identified projects. For both ARRA funded and non-ARRA funded projects, the award of a self-determination contract is made in accordance with the procedures contained in 25 CFR Part 900 "Contracts under Indian Self-Determination and Education Assistance Act," and the award of a financial assistance grant amendment to the existing education grant from the Bureau of Indian Education to the Tribe or Tribal Organization is made in accordance with the Tribally Controlled Schools Act of 1988, as amended, 25 U.S.C. 2501 et seq. The requirements in 43 CFR Part 12, Subpart C "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" apply to financial assistance awards. ARRA projects also are subject to additional requirements related to performance, funding, and compliance through implementation of ARRA in the areas of transparency and reporting, oversight, risk accountability, accelerated timeframes and other statutory objectives. Projects are prioritized before the funds are appropriated. Funds must be appropriated before the award can be made. The award is made in accordance with the procedures contained in 25 CFR Part 900 "Contracts under the Indian Self-Determination and Education Assistance Act," 43 CFR Part 12, Subpart C "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," or the Tribally Controlled Schools Act of 1988, as amended, 25 U.S.C. 2501 et seq., as applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days for Self-Determination Contracts/Grants as provided under applicable procedures for other financial assistance awards.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

For non-ARRA funded projects, depending upon the size and complexity of the overall construction, improvement or repair project it may take several increments of funding assistance to complete the entire projects; often an initial award is issued as a new contract/grant amendment with second and subsequent funding increments issued as renewals to existing contracts/grants. ARRA funds are for one-time specific projects that must be started and completed expeditiously.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds remain available until expended in accordance with terms of the award. No ARRA funding will be awarded after September 30, 2010. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Narrative program progress reports are required for TCSA grants. Program progress reporting requirements will be negotiated with the Self-Determination contracts/grantee. ARRA funded projects have a separate set of online reporting requirements and data is entered by the recipient at FederalReporting.gov. Federal Financial Report, SF 425 is required for Public Law 93-638 Self Determination Contracts and SF-271, Outlay Report and Request for Reimbursement for Construction Programs is required for Public Law 100-297 TCSA grants. Both the SF 425 and SF 271 require interim and final reports. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

For all projects (ARRA and non-ARRA) financial records must be retained for 3 years from the date of submission of the Single Audit Report applicable to the project, procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2301-0-1-452 - 14-2302 2009/2010 ARRA Construction; 14-2101 2009/2010 Operation of Indian Programs (On-The-Job Workforce Training) ARRA.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$319,611,958; FY 11 est \$319,611,958; and FY 12 est \$296,634,958 - School Construction and Facility Repair.

**Range and Average of Financial Assistance:**

Non-ARRA Replacement School Construction: The amount of financial assistance can range from approximately \$6 million to \$25 million depending on the size of the school, both grade level and student enrollment, the program requirements, and the location. For the higher amounts, funding may be incremental over 2, 3, or even 5 years. Because of the limited number of schools that have received funding in the last few years and the increasing costs for construction, there is no way to determine a true representative "average" of financial assistance for this non-ARRA program. Facilities Improvement and Repair: The amount of financial assistance can range significantly from a few thousand dollars to approximately \$7 million. There are several categories of projects that are included under Facilities Improvement and Repair, such as, Emergency, Roofing, Replacement/Repair, and Portable Classrooms. The average amount of financial assistance can vary depending on the category. ARRA funded projects range from less than \$10,000 MIR to over \$54,000,000 for replacement construction. An average amount is not calculable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Four replacement school projects - three in Arizona and one in North Dakota. Six facilities and improvement repair projects - two in North Dakota, two in Arizona, one in Mexico and one in South Dakota. Funds were also used to address environmental projects, AHERA requirements, minor repairs, emergency repairs, major repair/renovation projects and safety and health and other code deficiencies. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900 "Contracts under the Indian Self-Determination and Education Assistance Act," 43 CFR Part 12, Subpart C "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," or the Tribally Controlled Schools Act of 1988, as amended, 25 U.S.C. 2501 et seq., as applicable; OMB Circulars No. A-87, "Cost Principles for State, Local, and Indian Tribal Governments" relocated to 2 CFR Part 225, A-122, "Cost Principles for Non-Profit Organizations" relocated to 2 CFR Part 230, A-21, "Cost Principles for Educational Institutions" relocated to 2 CFR Part 220, as applicable; and Bureau of Indian Education Space Guidelines dated November 1, 2005, Bureau of Indian Affairs Design Handbook dated March 30, 2007, Bureau of Indian Affairs Design Guidelines dated May 22, 2009, Certificate of Occupancy requirements dated April 15, 2004, Bureau of Indian Affairs applicable codes, standards and policies (revision date September 11, 2009), and Federal Government and Departmental Environmental and Sustainable building requirements.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV.

**Headquarters Office:**

Deputy Director, Office of Facilities Management and Construction, Bureau of Indian Affairs, 1011 Indian School Road, Suite 335, Albuquerque, New Mexico

87104 Phone: (505) 563-5142.

**Website Address:**

http://www.bia.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Replacement School Construction: Project includes the construction of the new Kindergarten through 12 replacement school, including five (5) employee quarters and bus/maintenance garage approximately 115,880 square feet including related site work and utilities to serve a projected enrollment of 378 academic students, including 100 residential students. In recent years funds have been provided to build elementary, middle and high schools in North Dakota, New Mexico, Arizona, Mississippi, North Carolina, and South Dakota. Facilities Improvement and Repair: The emphasis of this program is minor replacement construction, major and minor repairs, and emergency projects to remedy life safety and health related deficiencies in facilities. Examples of projects include: boiler repair and replacement, roofing repair and replacement, removal environmental hazards, replacement of floor covering, installation of fire exit lights, emergency lights, fire rated doors, and other safety related items. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Replacement School Construction: Funds are appropriated based on the "Education Facilities Replacement Construction Priority List" as published in the Federal Register on March 24, 2004. Criteria emphasize providing safe, functional, code-compliant, economical and energy-efficient facilities that meet applicable accreditation standards and space guidelines. Facilities Improvement and Repair: Criteria to evaluate projects emphasize eliminating critical health and safety-related deficiencies and reducing the substantial backlog of needed improvement and repairs. Projects are prioritized on a Bureau-wide basis using a computerized formula that evaluates the seriousness of the deficiencies and the relative risks of those deficiencies to facility users. To be considered it is essential that deficiencies and projects for a Bureau funded school or dormitory to be identified in the automated inventory of Bureau facilities. In addition, there are limited funds provided under this program to address safety and health deficiencies on an immediate or interim basis as well as funds for emergency repairs under certain conditions, and for other purposes. For more information on these other programs or on the priority ranking process for Replacement School Construction or Facilities Improvement and Repair projects, contact the Headquarters Office listed above.

**15.114 INDIAN EDUCATION\_HIGHER EDUCATION GRANT PROGRAM**

Higher Education

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended; Public Law 103-413, Title II Tribal Self-Governance Act.

**OBJECTIVES:**

To provide financial aid to eligible Indian students to enable them to attend accredited institutions of higher education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds are to supplement the total financial aid package prepared by the college financial aid officer. Funds are intended to assist students in pursuing their undergraduate baccalaureate degree.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian Tribal Governments may apply to administer the program. Individuals who are members of Federally Recognized Indian Tribes may submit applications for benefits directly to the Bureau of Indian Affairs if the

Bureau agency serving their reservation provides direct services for this program. Individuals must be enrolled in an accredited college and have financial need as determined by the institution's financial aid office.

**Beneficiary Eligibility:**

Members of a Federally Recognized Indian Tribe who are enrolled or accepted for enrollment in an accredited college and have financial need as determined by the institution's financial aid office.

**Credentials/Documentation:**

Initial application by Indian tribes and tribal organizations must be accompanied by an authorizing resolution of the governing body of the Indian tribe. Individual student applicants must submit a certificate of Indian blood; college financial aid package; statement of acceptance by college and Bureau of Indian Affairs grant application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The applicant should consult the BIE Education Line Officer. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications by Indian tribes and tribal organizations to administer the program must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Individual students must be accepted by a college or university and should complete application forms in accordance with instructions available upon request from the BIE Education Line Office, or tribal contractor administering the program. Completed forms are submitted to the student's higher education program office at the appropriate office.

**Award Procedure:**

In most cases, the application by an Indian tribe or tribal organization to administer the program can be approved by the BIE Education Line Officer and awarded by the Area/Agency Bureau Awarding Official. Individual students are notified by the Bureau of Indian Education ELO or tribal contractor, and funds are sent to the applicant in care of the college or university financial aid office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications by Indian tribes and tribal organizations to administer the program will be processed within 90 days. Applications by students will be processed within 6 to 10 weeks after all required documents are submitted.

**Appeals:**

Indian tribes and tribal organizations whose application to administer the program is denied may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900. Individual students may appeal a Bureau of Indian Affairs official's decision to the BIE Education Line Officer under the procedures contained in 25 CFR Part 2, "Appeals from Administrative Actions."

**Renewals:**

Awards to Indian tribes and tribal organizations may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process. Grants to students may be continued through the undergraduate level if the student maintains acceptable progress and academic standing. Renewal applications must be submitted annually with updated grades or transcript.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards to Indian tribes and tribal organizations are made on an annual basis. Grants to students are generally made for the academic year on a quarter or semester basis. A grant is for a period not to exceed 5 years, or the period of time required to complete the course of study. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The time of the payments will be negotiated with the Indian tribe or tribal organization.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Students applying for continuation of grants must submit grade reports at the end of each academic year. Cash reports are not applicable. Progress reports are not applicable. Indian tribes and tribal organizations are required to submit the SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be maintained by the Indian tribe or tribal organization for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$40,914,550; FY 11 est \$40,956,137; and FY 12 est \$40,956,130

**Range and Average of Financial Assistance:**

Range is \$300 to \$5,000; Average \$2,700.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: One hundred fifty Tribal Priority Allocation (TPA) Tribes were awarded Public Law 93-638 contracts; and 92 Self-Governance tribes were awarded and Self-Governance grants. Annually an estimated TPA 7800 students receive assistance. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 40; 25 CFR Part 900.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV.

**Headquarters Office:**

Chris Redman, Bureau of Indian Education, 215 Dean A. McGee, Suite 610, Oklahoma City, Oklahoma 73102 Email: [chris\\_redman@bia.gov](mailto:chris_redman@bia.gov) Phone: (405) 605-6001.

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.108 Indian Employment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: The Bureau's scholarship program provides about 25 percent of the student's total financial aid. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All Indian tribes and tribal organizations meeting the requirements of 25 CFR

Part 900 will be selected if the program has been prioritized by the Indian tribe through participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process, or by the Office of Self Governance tribes. Final determination to fund student applications is based on the individual's eligibility and total dollars available to the Indian tribe or tribal organization or local Bureau office.

**15.124 INDIAN LOANS\_ECONOMIC DEVELOPMENT**

(Loan Guaranty, Insurance, and Interest Subsidy Program)

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Reorganization Act of 1934, Section 10, Public Law 73-383, 48 Stat. 986, 25 U.S.C. 470; Public Law 93-262, 88 Stat. 77 through 83, 25 U.S.C. 1451; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To provide assistance to Federally Recognized Indian Tribal Governments, Native American Organizations, and individual American Indians in obtaining financing from private sources to promote business development initiatives to improve the economies of Federally Recognized Indian Reservations.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Loans may be used to finance commercial, industrial, agricultural, or business activities, which benefit Federal Indian Reservation economies. Loan guarantees to private lenders will only be provided if funds otherwise would be unavailable to the borrower.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments, Native American Organizations authorized by Indian tribal governments, and individual American Indians.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments, Native American Organizations, and individual American Indians or Alaska natives. Complete information on beneficiary eligibility is found in 25 CFR, Part 103.

**Credentials/Documentation:**

Individual applicants must submit a certificate signed by Bureau Agency Superintendent or authorized Tribal representative that indicates the applicant is an enrolled member or registered with a Federally recognized Indian tribal government. Federally Recognized Indian Tribal Governments and Native American Organizations must submit a resolution of the governing body of the Indian Tribe. All applicants must demonstrate their inability to obtain financing through the same institutions serving other citizens. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications for loan guarantees should be submitted by the lender at the local Indian Loan Guaranty Program Zone Office. Lenders should contact the local office for information on documentation needed to complete an application.

**Award Procedure:**

Action approving or disapproving loans is taken at various levels pursuant to delegated authority. The local Indian Loan Guaranty Program Zone Office notifies applicants of action taken on applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

15 to 30 days depending upon completeness of loan package.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application by a Bureau of Indian Affairs official to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 2.

**Renewals:**

Contact the headquarters or regional office.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The maximum percentage of guaranty is 90 percent of unpaid principal and interest. Borrower must have 20 percent equity in business being financed.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loan guarantees are limited to no more than 30 year terms. See the following for information on how assistance is awarded/released: Contact the headquarters or regional office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Lenders will submit quarterly reports on the status of loans to the Director of Indian Affairs Region in which the loan was made. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Federally Recognized Indian Tribal Governments, Native American Organizations, and tribal enterprises are responsible for obtaining audits.

**Records:**

Loan records must be maintained for the life of the loan.

**Account Identification:**

14-4415-0-3-452.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 \$127,911,381; FY 11 est \$82,902,794; and FY 12 est \$25,601,258 - The FY 2010 amount includes \$38,000,000 in ARRA funding. Since the ARRA funding will no longer be available the maximum size loan guaranty will decrease to \$25,000,000 or less.

**Range and Average of Financial Assistance:**

For individuals and tribal enterprises, \$150,000 to 10,500,000. For Federally Recognized Tribal Governments and Native American Organizations, \$10,000,000 to \$38,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: By regulation the program creates contributions to the economy of federally recognized reservations and service areas. Without consideration of the existence of an economic multiplier, the program creates economic activity on tribal reservations or service areas in an amount 13 of the appropriation expenditure. Fiscal Year 2011: Current Data Not Available. Fiscal Year 2012: Current Data Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 103.

**Regional or Local Office:**

See Regional Agency Offices. Lenders must submit applications to the local Indian Loan Guaranty Zone Office Appendix IV of the Catalog or with the Tribal Government administering the program.

**Headquarters Office:**

Philip Viles, Office of Indian Energy and Economic Development, Assistant Secretary Indian Affairs, 1951 Constitution Ave, NW., MS-20-SIB,

Washington, District of Columbia 20240 Phone: (202) 513-7683.

**Website Address:**

<http://www.doi.gov/bia/ecodev/loanpdm.html>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

10.766 Community Facilities Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: One example is the financing of an air ambulance center that provides service to a tribal reservation. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Economic enterprises must demonstrate a reasonable prospect for repayment, and be at least 51 percent Indian owned. Project must provide economic development to a federally recognized Indian reservation.

**15.130 INDIAN EDUCATION\_ASSISTANCE TO SCHOOLS**

Johnson-O'Malley

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Johnson-O'Malley Act of April 16, 1934; as amended, 25 U.S.C. 452; Indian Self Determination and Education and Assistance Act, Public Law 93-638; 25 U.S.C. 455-457.

**OBJECTIVES:**

To fund programs that meet the unique and specialized needs of eligible Indian students.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for supplemental programs to meet the special educationally related needs of eligible Indian students. Funds under this program may not be used for capital expenditures.

**Applicant Eligibility:**

Tribal organizations, Indian Corporations, school districts or States which have eligible Indian children attending public school districts and have established Indian Education Committees to approve supplementary or operational support programs beneficial to Indian students. Current funding is calculated with the 1995 JOM student count.

**Beneficiary Eligibility:**

Children who are enrolled members of, or at least one-fourth or more degree of Indian blood descendant of a member of a federally recognized Indian tribal government eligible for service by the Bureau, and are between age 3 through grade 12 with priority given to those residing on or near Indian reservations.

**Credentials/Documentation:**

As required for contract under 25 CFR Part 900. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

BIA will provide technical assistance when requested by a tribal organization. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application forms may be obtained from the BIE Education Line Officer. Completed applications which include an education plan based on needs assessments and an estimated budget are sent to the appropriate BIA Area or Agency Office.

**Award Procedure:**

The dollar value of the award depends upon the amount that has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation and Office of Self Governance budget formulation process. Contracts with Indian corporations,

States and school districts are negotiated with the BIE Education Line Officer based on their 1995 JOM student count.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Annual reports required following the close of the year, as specified in 25 CFR 273. Cash reports are not applicable. Progress reports are not applicable. SF-425, Federal Financial Report required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$20,545,431; FY 11 est \$21,273,000; and FY 12 est \$21,510,000

**Range and Average of Financial Assistance:**

Range is \$100 to \$341,413; Average \$56,755.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: One hundred sixty nine (169) Tribal Priority Allocation tribes, 84 Self Governance tribes, and 109 public schools and states received JOM funds. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 273; 25 CFR Part 900.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV.

**Headquarters Office:**

Jim Martin, Office of Indian Education Programs, Room MS 3609-MIB, 1849 C Street, N.W., Washington, District of Columbia 20240 Email: james.martin@bie.gov Phone: (202) 208-5820.

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Navajo Tribe received \$3,541,413 in JOM funds. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Johnson-O'Malley Parent Committee determination through needs assessments.

**15.141 INDIAN HOUSING ASSISTANCE**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To use the Housing Improvement Program (HIP) resources of the Bureau of Indian Affairs to eliminate substantially substandard Indian owned and inhabited housing for very low income eligible Indians living in approved tribal service areas. This effort is assisted by the Indian Health Service (Department of Health and Human Services) which provides water and sanitary systems for houses repaired or built with HIP funds.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The program is primarily devoted to providing decent, safe, and sanitary housing through renovations, repairs, or additions to existing homes. The program will build an entire house in situations where no other program can meet the need in the immediate or near future. Technical assistance is provided to Indian tribes to establish housing plans and determine the extent and use of the Bureau's Housing Improvement Program. The program is restricted to use within reservations and approved tribal service areas. For more specific information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations to administer the program who have eligible applicants with identified housing needs. Individual members of Federally recognized Indian tribes living in approved tribal service areas in need of housing assistance who are unable to obtain assistance from any other source, and who meet the eligibility criteria of the HIP regulations (25 CFR Part 256 "Housing Improvement Program").

**Beneficiary Eligibility:**

Individual members of Federally recognized Indian tribes.

**Credentials/Documentation:**

Initial applications by Indian tribes and tribal organizations must be accompanied by an authorizing resolution of the governing body of the Indian tribe(s) to be served. Individual Indians must furnish information required by 25 CFR Part 256, basically proving membership in a Federally-recognized Indian tribe and financial inability to obtain assistance for repairs or new housing. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Funds may be used in conjunction with other Federal programs, such as Indian Health Service for water and sanitary facilities, or privately financed programs that are appropriate to repair or build housing. An informal conference with Bureau of Indian Affairs agency representative is recommended. Environmental

impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications from Indian tribes and tribal organizations must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed application should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV. Individual Indians should submit written applications to the local tribal servicing housing office, or local Bureau of Indian Affairs agency or regional office listed in Appendix IV.

**Award Procedure:**

The dollar value of the award to Indian tribes and tribal organizations is determined through the use of annual tribal work plans identifying eligible applicants and through prioritization under the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

Applicants whose request to administer the program is denied may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR part 900. An individual whose request is denied may appeal a Bureau of Indian Affairs official's decision to the Regional Director under the procedures contained in 25 CFR Part 2, "Appeals From Administrative Actions."

**Renewals:**

Awards to Indian tribes and tribal organizations to administer the program may be renewed indefinitely upon satisfactory performance by the contractor. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of changes in the identified eligible applicants and in individual tribal priorities established in the budget formulation process. For individual Indians, receipt of program services represent one-time direct assistance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For Indian tribes and tribal organizations awards are made on an annual basis and the funds remain available until expended by the contractor. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of payment will be negotiated with the Indian tribes.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Program progress reporting requirements will be negotiated with the contractor. For Indian tribes and tribal organization administering the program SF-425, Federal Financial Reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from

the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2301-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$11,143,000; FY 11 est \$11,039,000; and FY 12 est \$11,039,000

**Range and Average of Financial Assistance:**

For HIP, maximum of \$35,000 for repairs and renovations; \$2,500 for interim improvements. The average cost of repair has been approximately \$17,500. New housing does not have a specified maximum amount but is intended to provide only a modest standard dwelling. Average new housing construction cost has been approximately \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: On an annual basis over 500 families receive services under the HIP program through repairs/renovations or new or replacement construction. Fiscal Year 2011: Current Data Not Available. Fiscal Year 2012: Current Data Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 Part 256, "Housing Improvement Program;" 25 CFR Part 900, "Contracts under the Indian Self-Determination and Educational Assistance Act;" and OMB Circular No. A-87, "Cost Principles for State, Local and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for Regional Office addresses.

**Headquarters Office:**

Deputy Director, Office of Tribal Services, Bureau of Indian Affairs, 1849 C St., N.W., MS 4513 MIB, Washington, District of Columbia 20240 Phone: (202) 513-7640.

**Website Address:**

<http://www.doi.gov/bia/tservices/hip/housing.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans; 14.850 Public and Indian Housing

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The HIP does not fund multi-unit projects as such, the assistance is granted to repair Indian owned and inhabited individual houses with each house considered to be a project. Occasionally, several individual projects may be constructed simultaneously in close proximity to giving the appearance of a multi-unit project. One such occurrence was the construction of several units in California. Prior to HIP undertaking there was no housing in this area. No other federally-assisted housing program was able to meet this need. The result of constructing housing in this areas has been significant. The effort proved decent housing could be a reality in remote geographic areas. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Indian tribes and tribal organizations meeting the requirements of 25 CFR Part 900 will be selected if a viable tribal work plan identifying eligible applicants, the category of assistance needed, the estimated project cost for each eligible applicant, and a report of prior year accomplishments is submitted and the tribe has high priority ranking eligible applicants for which sufficient funding is available for the needed project or the program has been prioritized by the Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process. Individual Indians must meet the eligibility requirements contained in 25 CFR Part 256. Requests are made by individuals to the local tribal servicing housing office or to local BIA agencies for repair or new housing assistance. Starting with the most needy, regardless of the category of services required, applicants are served until

available funds are exhausted.

#### **15.144 INDIAN CHILD WELFARE ACT\_TITLE II GRANTS**

##### **FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

##### **AUTHORIZATION:**

Indian Child Welfare Act; Public Law 95-608, 92 Stat. 3075, 25 U.S.C. 1901.

##### **OBJECTIVES:**

To promote the stability and security of American Indian tribes and families by protecting American Indian children and preventing the separation of American Indian families and providing assistance to Indian tribes in the operation of child and family service programs designed to prevent the break up families.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Operation and maintenance of counseling facilities, family assistance (homemaker and home counselors), protective day care, and after school care, recreational activities, respite care, employment of professionals to assist tribal courts personnel, education and training, foster care subsidy programs, legal advice and representation, home improvement programs with the primary emphasis of upgrading unsafe home environments, preparation and implementation of child welfare codes, and providing matching shares for other Federal programs.

##### **Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

##### **Beneficiary Eligibility:**

American Indian children and families.

##### **Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application procedures are contained in 25 CFR Part 23, Subpart C "Grants to Indian Tribes for Title II Indian Child and Family Service Programs." The application must contain the information specified in Section 23.33 "Tribal Government Application Content." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV.

##### **Award Procedure:**

In most instances, awards can be approved at the agency or regional level. The dollar value of the grant depends upon the amount that has been prioritized by the Indian tribe through participation in the Bureau of Indian Affairs budget formulation process.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Not Applicable.

##### **Appeals:**

An unsuccessful applicant may appeal a Bureau of Indian Affairs official's decision under the procedures contained in 25 CFR Part 23, Subpart F "Appeals," and 25 CFR Part 2 "Appeals from Administrative Actions."

##### **Renewals:**

Grants may be renewed indefinitely upon satisfactory performance by the grantee. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

##### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Grants are made on an annual basis and the funds remain available until expended by the tribe/grantee. See the following for information on how assistance is awarded/released: Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Program accomplishment reporting requirements are specified in 25 CFR Part 23, Subpart E, Section 23.47 "Reports and Availability of Information to Indians."

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

##### **Account Identification:**

14-2100-0-1-452.

##### **Obligations:**

(Project Grants) FY 10 \$11,143,000; FY 11 est \$11,039,000; and FY 12 est \$11,039,000

##### **Range and Average of Financial Assistance:**

\$26,449 to \$750,000; \$60,000.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: There are over 27,000 referrals each year to the more than 500 Bureau and tribal programs for child abuse and neglect investigations. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 23; 25 CFR 2.

##### **Regional or Local Office:**

See Regional Agency Offices. Information can be secured from the Agency Superintendents and from Regional Directors. See Appendix IV of the Catalog for addresses.

##### **Headquarters Office:**

Deputy Director, Office of Tribal Services, Services, Bureau of Indian Affairs, 1849 C Street, N.W., MS 320 SIB, Washington, District of Columbia 20240  
Phone: (202) 513-7640.

##### **Website Address:**

<http://www.doi.gov/bia/ots/otshome.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

##### **RELATED PROGRAMS:**

Not Applicable.

##### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: An Indian Child Welfare Program operated by an Indian tribe in North Carolina. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Only applicants who received Indian Child Welfare Act Title II grants in 1994 and who meet the requirements contained in 25 CFR Part 23 will be funded if the program has been prioritized by the individual Indian tribe through participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process.

**15.146 IRONWORKER TRAINING PROGRAM****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956, Public Law 84-959, 70 Stat. 986, as amended; Public Law 88-230, 77 Stat. 471, 25 U.S.C. 309.

**OBJECTIVES:**

To provide ironworker vocational training, apprenticeships, and job placement to eligible American Indians through the National Ironworkers Training Program, located in Broadview, Illinois.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible American Indians who reside on or near an Indian reservation may receive vocational training in ironworking and assistance with job placement upon completion of the program.

**Applicant Eligibility:**

Applicants must be an American Indian who is a member of a Federally Recognized Indian Tribe, at least 18 years old, possess a high school diploma or General Equivalency Development (GED) Certificate, be in good physical health, and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

American Indian who is a member of a Federally Recognized Indian Tribal Government, at least 18 years old, possess a high school diploma or General Equivalency Development (GED) Certificate, be in good physical health, and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs. Complete information on beneficiary eligibility is found in 25 CFR, Part 26.

**Credentials/Documentation:**

Applicant must submit a certificate signed by a Bureau Agency Superintendent or authorized Tribal representative that indicates the applicant is an enrolled member or registered with a Federally Recognized Indian Tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants should apply for program services on Bureau of Indian Affairs Form BIA-8205 at the nearest Bureau Employment Assistance office or tribal government office.

**Award Procedure:**

Individual applications are processed at the Bureau agency or tribal contract offices to determine eligibility.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

1 to 90 days.

**Appeals:**

Appeals may be made to the Bureau of Indian Affairs' Agency Superintendent or to the Regional Director. The complete appeal process for an individual is found in 25 CFR, Part 2, "Appeals of Administrative Actions." Appeals of a

Tribal contractor's decision must be made under the Tribe's appeal procedures.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance for Ironworker training is not to exceed 12 weeks. Payments for subsistence and related training costs are released as required by beneficiary. Job placement assistance is provided upon completion of training. See the following for information on how assistance is awarded/released: None.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Project Grants) FY 09 \$400,000; FY 10 est \$1,400,000; and FY 11 est \$1,400,000

**Range and Average of Financial Assistance:**

Students receive \$185 per week for the duration of the program for room and board and miscellaneous expenses. Work clothes and tools are also provided.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 26.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed at the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog. For direct contact: , Mr. Russell Geishwnd, Director, National Ironworkers Training Program for American Indians, 1819 Beach Street, Broadview, Illinois 60153. Telephone (708)345-2344.

**Headquarters Office:**

Lynn Forcia, Office of Indian Energy and Economic Development, Division of Workforce Development, Assistant Secretary of Indian Affairs, 1951 Constitution Ave., N.W., MS-20-SIB, Washington, District of Columbia 20245 Phone: (202) 219-5270.

**Website Address:**

<http://www.doi.gov/bia/ecodev/index.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.060 Indian Vocational Training\_United Tribes Technical College; 15.108 Indian Employment Assistance; 15.114 Indian Education\_Higher Education Grant Program; 15.850 Indian Arts and Crafts Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are received for both vocational training and direct employment participants. Final determination to fund an application is based on the individual's eligibility.

**15.147 TRIBAL COURTS\_TRUST REFORM INITIATIVE****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior



**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; American Indian Trust Fund Management Reform Act of 1994, Public Law 103-412, 25 U.S.C. 4001 et seq.

**OBJECTIVES:**

To provide grant funds to Federally Recognized Indian Tribal Governments that operate a judicial branch of government which has assumed the increased responsibilities required by 25 CFR Part 115--Trust Funds for Individual Indians Money accounts.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Under 25 CFR Part 115, tribal courts may assume responsibility for appointing guardians, determining competency, awarding child support from Indian Individual Money (IIM) accounts, determining paternity, sanctioning adoptions, marriages and divorces, making presumptions of death. Funds under this program may be used for salaries and related expenses of tribal court judges, prosecutors, defenders, clerks of court, and other court personnel. However, funds provided are specifically made available to tribal courts that assume the additional responsibility under 25 CFR Part 115 and are not intended to be used as general operating funds for a judiciary and may not be reprogrammed for other tribal uses.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments that operate a judicial branch of government which has assumed the increased responsibilities required by 25 CFR Part 115.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments that operate a tribal judicial branch which has assumed the increased responsibilities required by 25 CFR Part 115 and its members.

**Credentials/Documentation:**

Application must be accompanied by a Certification of the governing body of the Federally Recognized Indian Tribal Government attesting to the fact that: (1) The tribal court has adopted and made accessible the court rules setting forth the procedures to adjudicate these cases; (2) Tribal court personnel have been trained to process these cases and the court is staffed to fulfill the tribal legislative mandate, and (3) The tribal justice system is one that serves as the judicial component of a tribal government which is federally recognized by the United States Government. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A notice of fund availability will be published in the Federal Register to announce the availability of grant funds, the amount of funding available and the requirements for eligibility including a deadline for filing applications. An application must be submitted on the form entitled "Application for Federal Assistance," (Standard Form 424, Rev 7-97). The Federally Recognized Tribal Government will be required to provide a certification as a response to Item #11 "Descriptive Title of Applicant's Project", in the SF-424, that the threshold requirements for the grant funds are met. Applications will be submitted to the Headquarters Office.

**Award Procedure:**

Funds will be distributed to tribal courts based on the cost per case as determined by the data submitted on SF 424 by all qualified applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may appeal the decision under the regulations contained in 25 CFR Part 2.

**Renewals:**

Grants will be awarded on an annual basis. An application will need to be submitted each year to qualify to receive grant funds, until it is determined that the fund will be awarded as a part of the permanent tribal base.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Awards are made on an annual basis and the funds remain available until expended by the grantee. See the following for information on how assistance is awarded/released: The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Financial status reports, SF 269A, are required. Program accomplishment reporting requirements will be negotiated with the grantee.

**Audits:**

Not Applicable.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Project Grants) FY 09 \$14,769; FY 10 est \$17,039; and FY 11 est \$15,904

**Range and Average of Financial Assistance:**

\$3,000 to \$216,000; \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 276; 25 CFR Part 2; 25 CFR Part 115.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Ralph Gonzales, Office of Tribal Services, Bureau of Indian Affairs, MS 320-SIB, 1849 C Street, NW., MS 320-SIB, , Washington, District of Columbia 20240 Phone: (202) 513-7641.

**Website Address:**

<http://www.doi.gov/bia/ots/otshome.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>

**RELATED PROGRAMS:**

15.029 Tribal Courts

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All qualified applicants will be funded. A qualified applicant is a tribal government submitting an application for funding by the deadline specified for a tribal court meeting the following threshold requirements: (1) The tribal government has enacted the codes necessary for the tribal justice system to carry out its responsibility under 25 CFR Part 115; (2) The tribal court has

adopted and made accessible the court rules setting forth the procedures to adjudicate these cases; (3) Tribal court personnel have been trained to process these cases and the court is staffed to fulfill the tribal legislative mandate; and (4) The tribal justice system is one that serves as the judicial component of a tribal government which is federally recognized by the United States Government.

#### **15.148 TRIBAL ENERGY DEVELOPMENT CAPACITY GRANTS**

(TEDC )

##### **FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

##### **AUTHORIZATION:**

Title XXVI (Indian Energy) of the Energy Policy Act of 1992, as amended (25 CFR, Section 3502(a)(2)(A)).

##### **OBJECTIVES:**

To provide development grants to Indian tribes for use in developing and sustaining the managerial and technical capacity needed to develop their energy resources, and to properly account for resulting energy production and revenues. Proposals from tribes should strive to achieve the following stated goals: Evaluated the type and range of energy development activities that a tribe way want to assume under a TERA; Determine the current level of scientific, technical, administrative, for financial management capacity of the tribe to assume responsibility for the identified development activities; and determine which scientific, technical, administrative, or financial management capacities need enhancement and what process and/or procedures the grantee may use to eliminate these capacity gaps.

##### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

##### **USES AND USE RESTRICTIONS:**

Federally recognized tribes whose lands are held in trust or restricted fee by the Federal government. For more information contact the headquarters office.

##### **Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

##### **Beneficiary Eligibility:**

Federally Recognized Tribal Governments and their members.

##### **Credentials/Documentation:**

Application for financial assistance must contain a formal signed resolution of the governing body of the tribe; a proposal describing the planned activities and deliverable products; and a detailed budget estimate. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must meet all requirements published in the Federal Register notice and be submitted to IEED, Division of Indian Energy Policy Development, Room 20 - South Interior Building, 1951 Constitution Avenue, NW, Washington, DC 20245.

##### **Award Procedure:**

Recommendations from an IEED technical evaluation committee must be approved by the Director, IEED.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

30 to 45 days.

##### **Appeals:**

An applicant with a rejected TEDC proposal may appeal the denial of the application to the Department of the Interior's Board of Indian Appeals or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR

Part 900.

##### **Renewals:**

The TEDC program cannot award multi-year funding for a project. Funding available for building energy development capacity is subject to annual appropriations by Congress and therefore IEED can only consider single-year projects.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the recipient. The timing of payments will be negotiated by the Regional Office, Contract Officer, and the recipient. See the following for information on how assistance is awarded/released: Information not available.

##### **Reports:**

During the life of the TEDC project, SF-425 Federal Financial Reports and quarterly progress reports are to be submitted to the IEED project coordinator assigned to the project. The beginning and ending quarter periods are based on the actual start date of the TEDC project. This date can be determined between the IEED project coordinator and the tribe. The quarterly report can be a one to two page summary of events, accomplishments, problems and/or results that took place during the quarter. Quarterly reports are due two weeks after the end of the a project's fiscal quarter. For Final Report, the tribe must deliver all products and data generated by the proposed assessment project to IEED through the TEDC project coordinator within two weeks after completion of the project. Cash reports are not applicable. Progress reports are not applicable. The SF 425, Federal Financial Report is required. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Financial records must be retained for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of the final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

##### **Account Identification:**

14-2100-7-8-302.

##### **Obligations:**

(Direct Payments for Specified Use) FY 10 \$138,839; FY 11 est \$250,000; and FY 12 est \$250,000

##### **Range and Average of Financial Assistance:**

Determined on an annual basis, subject to appropriations.

##### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Published in Federal Register Notice annually.

##### **Regional or Local Office:**

See Regional Agency Offices. Regional Office Contract Officer.

##### **Headquarters Office:**

Director IEED, Division of Indian Energy Policy Development, Room 20 - South Interior Building, 1951 Constitution Avenue, Washington, District of Columbia 20245 Phone: (202) 219-0740 Fax: (202) 208-4564

##### **Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Chippewa Cree Tribe of Rocky Boys Reservation - Tribal Energy Resource Development Plant; Passamaquoddy Tribe of Pleasant Point - Development of tribal governmental development entity and skills needs assessment; Prairie Band Potawatomi - Develop energy vision, viable energy development options, and action plan. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The proposal ranking criteria factors are as follows: (1) Resource potential; (2) Energy development history and current status; (3) Existing energy development capabilities; (4) Intent to develop and retain energy development capacity within tribal government or business entities; (5) Demonstrated willingness to develop independent energy development business entity; and (6) Tribal commitment to staff, training, or monetary resources.

**15.149 FOCUS ON STUDENT ACHIEVEMENT PROJECT**

**FOCUS**

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.; The No Child Left Behind Act of 2001, Public Law 107-110, 20 U.S.C. 7401 et seq.

**OBJECTIVES:**

The FOCUS program targets schools where student achievement is close to meeting annual measurable objectives as set by their states achievement test and where additional resources could facilitate achievement of Adequate Yearly Progress (AYP) as required by Public Law 107-110, the No Child Left Behind Act of 2001.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

FOCUS funds may be used for staff development and to implement proven instructional strategies designed to achieve annual growth for all students and catch-up growth for students performing below grade level expectations in reading and math.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian tribal governments on reservations with Bureau-funded schools may apply to administer the program.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are members of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Tribe should contact the Education Line Officer.

**Award Procedure:**

The BIE conducts a thorough review of all BIE schools AYP status and data. The BIE then funds schools who meet the criteria of: at the cusp of nearly meeting AYP status with additional funds support. After review, applications will be submitted no later than June 1 of the year in which the applicant wishes to begin the program.

**Deadlines:**

Jun 01, 2011 June 01, 2011 applications should be submitted no later than June 1 of the year in which the applicant wishes to begin the program.

**Range of Approval/Disapproval Time:**

Applications by Tribal governments to administer the program will be processed within 90 days; and or after AYP determination is made by BIE.

**Appeals:**

Tribal Governments wishing to appeal should write to the Director, Bureau of Indian Education. Appeals beyond this level are covered by 25 CFR Part 2.

**Renewals:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Funds are added to the recipient schools Public Law 100-297 Grant or Public Law 93-638 Contract on July 1. Awards to Tribal Governments to administer the program may be renewed every year based upon satisfactory performance. A notice of intent to participate should be submitted yearly.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis based on satisfactory performance, and the funds remain available until expended by the contractor or grantee. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released.

**Reports:**

Program reports, annual participation data, and other program data requested are required. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$791,135; FY 11 est \$800,000; and FY 12 est \$800,000

**Range and Average of Financial Assistance:**

In Fiscal Year 2010 the average grant was \$198,227, minimum grant was \$95,515, and maximum grant was \$273,492.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Twelve schools (12) of the Bureaus 183 schools received funds through contracts or grants. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Use of funds must meet the purpose and intent of funding.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Debbie Lente-Jojola Bureau of Indian Education, Division of Performance and Accountability, BIA Building 2, 1011 Indian School Road, N.W., 3rd Floor, Suite 332, Albuquerque, New Mexico 87104 Phone: (505) 563-5258

**Website Address:**

<http://Debra.LenteJojola@bie.edu>

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program; 15.043 Indian Child and Family Education; 15.044 Indian Schools\_Student Transportation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Dilcon Community received a grant for \$273,492. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on school performance as measured by their states achievement test and the review of the team appointed by the Coordinator.

**15.150 JUVENILE DETENTION EDUCATION****FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Public Law 103-413, Title II Tribal Self-Governance Act; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

The Juvenile Detention Education Program was designed to provide education services to detained and incarcerated youth in the 24 Bureau of Indian Affairs (BIA) funded juvenile detention centers (JDCs).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Funds must be used to provide educational services to detained and incarcerated Indian youth in BIA funded JDCs.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian tribal governments on reservations with BIA-funded JDCs.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are members of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Tribe should contact the Education Line Officer.

**Award Procedure:**

Education funds for JDCs are included in the recipient Tribes Public Law 93-638 contract or Public Law 103-413, Title II Tribal Self-Governance Act Grant.

**Deadlines:**

Oct 01, 2011 October 01, 2011: Eligible detention centers should notify BIE of their need for juvenile detention funds.

**Range of Approval/Disapproval Time:**

Applications by Tribal governments to administer the program will be processed within 90 days.

**Appeals:**

Tribal Governments wishing to appeal should write to the Director, Bureau of Indian Education. Appeals beyond this level are covered by 25 CFR Part 2.

**Renewals:**

Awards to Tribal Governments to administer the program may be renewed every year based upon satisfactory performance and the availability of funds. A notice of intent to participate should be submitted yearly.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis based on satisfactory performance, and the funds remain available until expended by the contractor or grantee. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released.

**Reports:**

Detention centers receiving juvenile detention funds are to submit an annual report by October 31 each year of their education related juvenile detention activities and expenditures. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 10 \$620,000; FY 11 est \$620,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

In Fiscal Year 2010 the average grant/and contract was \$34,444, minimum grant was \$19,000, maximum grant was \$56,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Eighteen of the BIA-funded juvenile detention centers received funds through contracts or grants. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A copy of the guidelines may be obtained by contacting the BIE Education Line Officers.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Jeffrey Hamley Bureau of Indian Education, Division of Performance and Accountability, BIA Building 2, 1011 Indian School Road, N.W., 3rd Floor, Suite 332, Albuquerque, New Mexico 87104 Email: jeffrey.hamley@bie.edu Phone: (505) 563-5250

**Website Address:**

http://www.BIE.EDU; http://www.doi.gov/bureau-indian-affairs.html.

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program; 15.043 Indian Child and Family Education; 15.044 Indian Schools\_Student Transportation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Gila River JDC received \$55,000. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Bureau funded juvenile detention centers with detained and incarcerated American Indian and Alaska Native juveniles are eligible for funds.

**15.151 EDUCATION PROGRAM ENHANCEMENTS**

BIE Reads!and Math Counts

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

Education Program Enhancements provide resources for special studies, projects, new activities, and other costs associated with enhancing the basic educational programs provided to students. These funds allow BIE to provide specialized assistance to schools struggling to make Adequate Yearly Progress (AYP) that is targeted to address the schools unique needs and specific gaps in achievement. Typically, assistance involves implementation of specialized programs in reading and math, and staff development for principals, teachers and support staff.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds must be used for staff development, and approved math and reading enhancement programs.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian tribal governments on reservations with Bureau-funded schools may apply to administer the program.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are members of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Tribe should contact the Education Line Officer.

**Award Procedure:**

Schools submit an application and sign assurances that they will implement the components of instructional model that includes use of scientifically based research programs in reading and/or math, use of a reading and/or math instructional coach(es), a scheduled block of instructional time in reading and/or math, a multi-tiered instructional delivery, use of specified formative assessments to determine effectiveness of instruction, and participation in professional development for principals, instructional coaches and teachers.

**Deadlines:**

Jun 01, 2011 Jun 01, 2011 Applications should be submitted no later than June 1 of the year in which the applicant wishes to begin the program.

**Range of Approval/Disapproval Time:**

Applications by Tribal governments to administer the program will be processed within 90 days.

**Appeals:**

Tribal Governments wishing to appeal should write to the Director, Bureau of Indian Education. Appeals beyond this level are covered by 25 CFR Part 2.

**Renewals:**

Awards to Tribal Governments to administer the program may be renewed every year based upon satisfactory performance. A notice of intent to participate should be submitted yearly.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis based on satisfactory performance, and the funds remain available until expended by the contractor or grantee. See the following for information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: Funds are added to the recipient schools Public Law 100-297 Grant or Public Law 93-638 Contract on July 1 or when application is approved.

**Reports:**

Monthly program reports, annual participation data, screening, work sampling, and other program data requested is required. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$6,013,217; FY 11 est \$6,100,000; and FY 12 est \$6,100,000

**Range and Average of Financial Assistance:**

In Fiscal Year 2010 the average grant was \$146,664, minimum grant was

\$49,576, maximum grant was \$536,451.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Forty one schools (41) of the Bureau's 183 schools received funds through contracts or grants. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A copy of the guidelines may be obtained by contacting the BIE Education Line Officers.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Jeffrey Hamley Bureau of Indian Education, Division of Performance and Accountability, BIA Building 2, 1011 Indian School Road, N.W., 3rd Floor, Suite 332, Albuquerque, New Mexico 87104 Email: Jeffrey.Hamley@bie.edu Phone: (505) 563-5250

**Website Address:**

<http://www.BIE.EDU>, <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program; 15.043 Indian Child and Family Education; 15.044 Indian Schools\_Student Transportation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Alamo Navajo Community School received a grant for \$49,576 to operate a reading enhancement program, Chief Leschi School received a grant for \$536,451 to operate math and reading enhancement programs. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the review of the team appointed by the Coordinator.

**15.214 NON-SALE DISPOSALS OF MINERAL MATERIAL**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Materials Act of 1947, Public Law 80-291, 30 U.S.C. 601-604, 611, as amended.

**OBJECTIVES:**

To permit free use of certain mineral material from federally owned lands under the jurisdiction of the Bureau of Land Management by governmental units and nonprofit organizations.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Free use permits are granted to governmental units without regard to number of permits or value of mineral material, provided the mineral material is for use on a public project. Permits are granted to nonprofit organizations for mineral material not to exceed 5000 cubic yards during any period of twelve consecutive months. All free-use mineral material must be extracted in accordance with approved conservation practices, terms, and conditions that provide for protection of environment and rehabilitation of any damage caused by mineral material extraction.

**Applicant Eligibility:**

Any Federal or State agency, unit, or subdivision, including municipalities, where material will be used for public project; or any nonprofit association or corporation. A free use permit will not be issued upon the determination that the applicant owns or control an adequate supply of suitable mineral materials that are readily available and can be mined in a manner which is economically and environmentally acceptable. Mineral material obtained under a free use permit may not be bartered or sold.

**Beneficiary Eligibility:**

Federal or State agencies, units, or subdivisions, including municipalities, where material will be used for public project; or any nonprofit association or corporation.

**Credentials/Documentation:**

Evidence of eligibility, i.e., nonprofit status, delegation of authority for signing official to take such action, surety bond, etc. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program may require submission of a performance bond. An environmental analysis is required for this permit. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit application on Form 5510-1 to the proper Bureau of Land Management office.

**Award Procedure:**

If mineral material is available, applicant is qualified and application does not conflict with other management practices or uses, application is approved and one copy of the executed form is returned to the applicant. Environmental analysis is accomplished and environmental impact statement is prepared if necessary.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The term of the permit varies but will not exceed 10 years to any Federal or State agency, unit, or subdivision, including municipalities. Permits to nonprofit organizations are not to exceed 1 year.

**Appeals:**

Appeals may be made to the Board of Land Appeals, Office of Hearings and Appeals as specified in 43 CFR Part 4 et seq.

**Renewals:**

Any free use permits may be extended for a single additional period not to exceed 1 year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

An annual production report is required as specified in the free use permit. The permittee is required to perform reclamation of areas distributed by operations. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is conducted by the BLM.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Production documentation must be available if requested to confirm production.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 \$5,891,345; FY 11

est \$5,900,000; and FY 12 est \$5,950,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 185 free use permits were issued to States and local governments and non-profit organizations and corporations for sand and gravel, stone, soil, clay, and pumice. Fiscal Year 2011: This information is available in the Public Lands Statistics Publication which can be found in most public libraries. Free Use Permits are being issued to States and local governments and non-profit organizations and corporations for sand and gravel, stone, soil, clay, and pumice. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 3620 and 43 CFR Part 4.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Director, Bureau of Land Management, Solid Minerals Division (WO-320), 1849 C St., N.W., Room 2134LM, Washington, District of Columbia 20240  
Phone: (202) 912-7112

**Website Address:**

<http://www.blm.gov/nhp/index.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.222 COOPERATIVE INSPECTION AGREEMENTS WITH STATES AND TRIBES**

Section 202 Agreements

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Oil and Gas Royalty Act of 1982, Public Law 97-451, Title II, Section 202, 30 U.S.C 1732.

**OBJECTIVES:**

To provide for the Bureau of Land Management (BLM) to enter into cooperative agreements with Tribes so that authorized Tribal inspectors can carry out inspection activities on Indian oil and gas leases within Tribal jurisdiction.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance to be used only for costs directly required to carry out the agreed upon activities as described in the signed agreement.

**Applicant Eligibility:**

Indian tribes with producing tribal oil and gas leases for which with Federal government has trust responsibility. State may enter into a cooperative agreement for inspection of tribal oil and gas leases with the permission of the Tribe.

**Beneficiary Eligibility:**

Indian tribes with producing tribal oil and gas leases for which the Federal government has trust responsibility. States that have tribal permission to enter into cooperative agreements to conduct inspections on tribal oil and gas leases.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals

should be coordinated with the Bureau of Land Management local State or District/Field Offices. No state plan is required with this application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Completed SF 424, Application for Federal Assistance; 424A, Budget Information - Non-Construction Programs; and 424B, Assurances - Nonconstruction Programs and proposal must be submitted to the appropriate BLM State Director. The proposal must include a description of the type and extent of inspection activities proposed under the agreement, the number of proposed inspectors, the proposed period or time the agreement will be in effect; and the name, address and telephone number of the State or Tribal contact.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Most awards are anticipated within 90 days or less after the announcement closes.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The program has no statutory formula matching requirements. As provided in 43 CFR 3190.2-2, funding will be up to 100 percent of allowable cost. However, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding shall be at least quarterly, upon submission of invoice or request for reimbursement. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, the grantees must submit a final performance report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are required to be maintained for three years following submission of the final expenditure report.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$851,200; FY 11 est \$874,700; and FY 12 est \$874,700

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$320,000 to \$554,700. Average amount is \$437,350 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Bureau of Land Management awards financial assistance agreements with the Navajo and Jicarilla Nations. The agreements establish procedures for cooperation and coordination in planning and programming for oil and gas inspections of Nation leases with a goal of increasing the frequency of inspections providing for the uniform application of regulations, and timely communications between the BLM and the Nation in performance of their regulatory functions. The inspection and enforcement staff are Navajo and Jicarilla nationals who have the appropriate technical training and language skills to operate freely on their reservation. The Navajo Nation has three certified Inspection and Enforcement staff and one inspector that is currently in training with certification anticipated within the year. The Jicarilla Nation has two certified Inspection and Enforcement staff, one inspector that is currently in training with certification anticipated within the year and one new hire that will attend a six-module training for certification for Petroleum Engineering Technicians. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 3190 and 43 CFR 3192.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for list of Bureau of Land Management State offices.

**Headquarters Office:**

Assistant Director, Bureau of Land Management, Resource Use and Protection (300), 1849 C St., NW, LS 300, Washington, District of Columbia 20240  
Phone: (202) 208-4201.

**Website Address:**

<http://www.blm.gov/nhp/index.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Presently there are two funded inspection agreements with Tribes. BLM has provided training and coordination for the Navajo Nation and Jicarillo Apache Tribal Inspection and Enforcement staff to carry out inspection and enforcement activities on Indian oil and gas leases within their Tribal jurisdiction. In 2010 inspections conducted 56 production inspections, 454 oil and gas well inspections, 5 drilling inspections, 24 well plugging and abandonment inspections, 30 environmental inspections, and 157 incidents of noncompliance were issued to operators. Fiscal Year 2011: BLM continues to provide training and coordination for the Navajo Nation and Jicarillo Apache Tribal Inspection and Enforcement staff to carry out inspection and enforcement activities on Indian oil and gas leases within their Tribal jurisdiction. Inspection statistics for 2011 are not available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on the Tribes direct relationship to federal and Tribal lands and a balanced review including relevance to program objectives, merit, and cost effectiveness.

**15.224 CULTURAL RESOURCE MANAGEMENT****FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Land Policy and Management Act, Public Law 94-579; Archaeological Resources Protection Act, Public Law 96-95; National Historic Preservation

Act of 1966, Public Law 89-665, as amended.

**OBJECTIVES:**

To manage and protect cultural resources on the public lands and to increase public awareness and appreciation of these resources. Most of these lands are located in the Western United States and Alaska.

**TYPES OF ASSISTANCE:**

Advisory Services on Compliance; DISSEMINATION OF TECHNICAL INFORMATION; INVESTIGATION OF COMPLAINTS; Project Grants; PROVISION OF SPECIALIZED SERVICES; Training; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

All projects are restricted to lands and resources administered by BLM. Most of these lands are located in the Western United States and Alaska. Assistance can be used for cooperation in managing cultural or paleontological resources, e.g., survey for sites and localities, stabilization of historic structures, and public contact/education/interpretation or for improving information about cultural resources, consistent with needs identified in BLM planning documents. No regular discretionary fund is available but is highly variable each fiscal year.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State, or District or Field offices. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposals should be submitted through Grants.gov in response to the advertised announcements and must include: the title, objectives, timeframes, and a budget breakdown as specified in the funding opportunity announcement. State plan is not required for this application.

**Award Procedure:**

Projects are reviewed at BLM State Office level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the Washington Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The program has no statutory formula matching



requirements except when use is for the Challenge Cost Share program which has a 1:1 matching requirement. However, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions, however, most projects are funded on a year to year basis and funds are expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at the time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement terminated, transferred to a new grantee, or will not be extended, that grantees must submit a final Program Performance Report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Project Grants) FY 10 \$4,790,000; FY 11 est \$4,500,000; and FY 12 est \$7,500,000

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$3,000 to \$2,000,000. Average amount is \$25,350 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: BLM's cultural resources program continued its efforts to promote Heritage Education through partnerships and its Adventures in the Past initiative. BLM worked with over 15 university archeology field schools to train students in archaeological methods, worked with partners to study 1,450 cultural properties, stabilize 300 archaeological sites, present gave more than 800 public programs, and curate 100 collections. BLM uses challenge cost-share grants whenever possible on projects located on lands managed by the Federal Government, to enhance cultural and heritage resource management on Public Lands. Projects are restricted to lands administered by BLM in the Western United States and Alaska. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's cultural resource management program is basically guided by the provisions in 43 CFR Part 3, 43 CFR Part 7, 36 CFR Part 60 and 36 CFR Part 800. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals providing basic program operational guidance for cultural resources (8100) may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Division Chief Bureau of Land Management, Division of Cultural and Paleontological Resources and Tribal Coordination (WO 240), 1849 C St., NW, Washington, District of Columbia 20240 Phone: (202) 912-7241.

**Website Address:**

<http://www.blm.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Cooperative agreements with universities to conduct management-focused archaeological or paleontological field schools and scholarly research on public lands located in Western United States and Alaska, cooperative agreements with states to compile and maintain cultural inventory data, cooperative agreements to curate and interpret museum collections from the public lands, and cooperative agreements to produce education materials enhancing public awareness and appreciation of cultural and paleontological resources. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.225 RECREATION RESOURCE MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Federal Land Policy and Management Act, Public Law 94-579.

**OBJECTIVES:**

To manage recreational resource values on the public lands administered by the Bureau of Land Management and to increase public awareness and appreciation of these values. For Recovery and Reinvestment Act funded projects, in addition to the program objectives above: To preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

All projects are restricted to lands administered by the BLM. Most of these lands are located in the Western United States and Alaska. Assistance can be used for helping the BLM manage and/or upgrade recreational resources and related facilities, and in providing related public contact/education opportunities. No regular discretionary fund is available. Funding is highly variable each fiscal year.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with Bureau of Land Management local State or District/Field Offices. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov in response to the advertised announcements and must include: the title, objectives, timeframes, and a budget breakdown as specified in the funding opportunity announcement. State plan is not required for this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Most awards are anticipated within 90 days or less after the announcement closes.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula requirements. However, matching funds by the applicants are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a one to five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will be extended, the recipient must submit a final Program Performance Report 90 days after the end date of grant performance. Projects funded under the American Recovery and Reinvestment Act of 2009 will be subjected to additional reporting requirements as described in the announcement packages at [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 must be submitted 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1108-0-1-302 - 14-09/10 ARRA Fund Code; 14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$3,458,000; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements) FY 10 \$2,592,000; FY 11 est \$3,475,000; and FY 12 est \$3,500,000

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$1083 to \$488,000. Average amounts approximately \$35,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: BLM continues to maintain and expand partnerships in the Tread Lightly, Leave No Trace, Interpretive programming, Recreational Fishing, Corridor Management (rivers and trails) and numerous travel and tourism activities. BLM uses challenge cost share grants wherever possible on projects of mutual benefit to rural communities, counties, and cities in the western United States for management of public lands. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's recreation program is generally guided by provisions in 43 CFR Part 8000. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals providing basic program operational guidance for recreation (BLM Manual 8300 and 8400) may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Chief, Recreation Visitor Services Division, Bureau of Land Management (WO 250), Division of Recreation and Visitor Services, 1849 C Street, NW, Room 2134LM, Washington, District of Columbia 20240-9998 Phone: (202) 912-7250.

**Website Address:**

<http://www.blm.gov/nhp/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Develop of recreation facilities on BLM managed lands; cooperative visitor services to the general public using BLM managed lands; agreements to managed land resources cooperatively; and assistance agreements promote more effective management of caves on public lands; and an assistance agreement with a university to conduct visitor surveys. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their direct relationship to BLM land management and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.227 DISTRIBUTION OF RECEIPTS TO STATE AND LOCAL GOVERNMENTS****FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Mineral Lands Leasing Act, 30 U.S.C. 191, 275, 286 and 355, Public Law 85-88, as amended; Taylor Grazing Act, 43 U.S.C. 315i and 315m, Section 15; as amended, 48 Stat. 1275; Executive Orders 10322, 10787, 10890, and 10046, Section 15; Taylor Grazing Act, 43 U.S.C. 315i, and 315m, Section 15, 43

U.S.C. 315b, Section 3; 48 Stat. 1270 and 1275; The Department of the Interior and Related Agencies Appropriations Act of 1981, 42 U.S.C. 6508, Public Law 96-514, 94 Stat. 2964; Outer Continental Shelf Lands Act, 43 U.S.C. 1337, 67 Stat. 462, as amended; Lake Tahoe Basin-U.S. Lands-Disposal and Acquisition, Sections 1 and 2, Public Law 96-586, 94 Stat. 3381-3382; Federal Land Policy and Management Act of 1976, Title I, Section 102, Public Law 94- 579, 90 Stat. 2744; Southern Nevada Public Land Management Act of 1998, 31 U.S.C. 6901, Public Law 105-263, 90 Stat. 2343; Lincoln County Land Act of 2000, Public Law 106-298; 30 U.S.C. 230, 62 Stat. 576; 65 Stat. 248; Public Buildings Omnibus Act, 30 U.S.C. 603; Money and Finance, 31 U.S.C. 711 and 717, Public Law 97-258, 96 Stat. 889 and 893; National Reclamation Law, 43 U.S.C. 391, 32 Stat. 388; Chapter 139, 18 Stat. 474; 58 Stat. 745; 65 Stat. 252; Department of the Interior and Related Agencies Appropriations Act of 1993, Title I, Public Law 102-381, 106 Stat. 1378; Federal Land Transaction Facilitation Act, Title II, Public Law 106-248, 106 Stat. 613; Public Law 85-569, 7 U.S.C. 1012, 72 Stat. 348; Federal Land Policy and Management Act of 1976, Title II, Section 213, Public Law 94-579, 90 Stat. 2760, Mineral Revenue Payments Clarification Act of 2000, Title V, Public Law 106-393.

**OBJECTIVES:**

By various Laws, the Bureau of Land Management (BLM) shares revenue with State, county, and local governments from fees charged for sale or use of public lands, minerals, and vegetation. Payment amounts are determined by several codified formulas and supplements other Federal land revenue sharing payments that local units may be receiving. Payments may be used for any governmental purpose as specified in the various Public Laws.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Are specified in the various Public Laws. For more specific information contact the headquarters office.

**Applicant Eligibility:**

No application is necessary. Local units which generate revenue from public land and resources will receive automatic payment distribution as computed in accordance with the Law for that distribution.

**Beneficiary Eligibility:**

State and county governments in which Federal lands and minerals are located or have been acquired for purposes defined under Objectives.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Automatic distribution is made as authorized by the various Laws for that distribution subject. No application is necessary.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Automatic distribution is made as authorized by various Public Laws for that distribution subject.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

14-9921-0-2-999.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$107,245,388; FY 11 est \$97,876,986; and FY 12 est \$64,576,459 - Assistance type includes direct payments with unrestricted use and direct payments for specified use.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Distribution of Receipts Accountant, Bureau of Land Management, OC-621 Building 50, Denver Federal Center, Denver, Colorado 80225 Phone: (303) 236-0144.

**Website Address:**

<http://www.blm.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.228 NATIONAL FIRE PLAN - WILDLAND URBAN INTERFACE COMMUNITY FIRE ASSISTANCE**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

The Consolidated Appropriations Act of 2010, Division A, Department of the Interior, Environment and Related Agencies Appropriations Act, Department-wide Programs, Wildland Fire Management, Public Law 111-88, Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291.

**OBJECTIVES:**

To implement the National Fire Plan and assist communities at risk from catastrophic wildland fires by providing assistance in the following areas: Provide community programs that develop local capability including; assessment and planning, mitigation activities, and community and homeowner education and action; plan and implement hazardous fuels reduction activities, including the training, monitoring or maintenance associated with such hazardous fuels reduction activities, on federal land, or on adjacent nonfederal land for activities that mitigate the threat of catastrophic fire to communities and natural resources in high risk areas; enhance local and small business employment opportunities for rural communities; enhance the knowledge and

fire protection capability of rural fire districts by providing assistance in education and training, protective clothing and equipment purchase, and mitigation methods on a cost share basis.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Hazard reduction activities are restricted to Federal lands, or adjacent nonfederal land for activities that benefit resources on Federal land. Most of these lands are located in the Western United States and Alaska. Assistance can be used for helping BLM support community based efforts to address defensible space and fuels management issues to support outreach and education efforts associated with fuels management and risk reduction activities and to increase the effectiveness of rural fire protection. Funding is highly variable each fiscal year. For more specific information please contact the headquarters office.

**Applicant Eligibility:**

States and local governments at risk as published in the Federal Register, Indian Tribes, public and private education institutions, nonprofit organizations, and rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface.

**Beneficiary Eligibility:**

States and local governments at risk as published in the Federal Register, Indian Tribes, public and private education institutions, nonprofit organizations, and rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Wildland Urban Interface Community Assistance is coordinated by Bureau State and Field Offices. No specific application forms apply, except for grants awarded, the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", must be used by this program.

**Award Procedure:**

Wildland Urban Interface community projects are reviewed at State level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the State Director or Field Office Manager.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type of complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time of the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The program has no matching requirements, however, matching funds by the applicant are encouraged and those projects are most likely to be funded.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions, however, most projects are funded on a year-to-year basis and funds are expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payment will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual or annual performance reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, grantees must submit a final performance report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly, SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State, Local and Indian Tribal Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1125-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$5,270,000; FY 11 est \$4,200,000; and FY 12 est \$4,000,000

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$3,000 to \$600,000. Average amount is \$47,900 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Communities at risk from catastrophic wildland fires have been provided assistance in the following areas: assessment and planning, mitigation activities, and community and homeowner education and action; plan and implement hazardous fuels reduction activities, including the training, monitoring or maintenance associated with such hazardous fuels reduction activities, on federal land, or on adjacent nonfederal land for activities that mitigate the threat of catastrophic fire to communities and natural resources in high risk areas; and enhance local and small business employment opportunities

for rural communities. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's wildland urban interface community assistance program is guided by the provisions of the National Fire Plan. A variety of public information on this plan is available by contacting the appropriate State Office or the National Interagency Fire Center's web site at: <http://www.nifc.gov>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Chief, Division of Fire Planning and Fuels Management, Bureau of Land Management, (FA-600), National Interagency Fire Center, 3833 S. Development Ave., Boise, Idaho 83705 Phone: (208) 387-5186.

**Website Address:**

<http://www.blm.gov/nhp/index.htm>; <http://www.nifc.gov>.

**RELATED PROGRAMS:**

15.242 National Fire Plan - Rural Fire Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Assessment and planning for reducing wildland fire risks to communities and their associated watersheds and natural resources. Hazard fuel reduction activities and projects that mitigate wildfire hazards to communities and natural resources. Implementation of programs, workshops or training that distributes educational materials and develop partnerships between stakeholders in wildland urban interface communities. Assistance and technical transfer of information that promotes homeowner's and rural fire department's action to implement community wildfire mitigation activities. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their ability to reduce the risk of wildland fire to community values and to increase the capabilities of rural fire organizations, in the vicinity of Federal lands.

**15.229 WILD HORSE AND BURRO RESOURCE MANAGEMENT**

Wild Horse and Burro Resource Management

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Wild Free-Roaming Horses and Burros Act of 1971, Public Law 92-195, as amended; Federal Land Policy and Management Act of 1976, Public Law 94-579; Public Rangelands Improvement Act of 1978, Public Law 95-514.

**OBJECTIVES:**

The goal of the Wild Horses and Burro Resource Management program is to achieve and maintain healthy, viable wild horse and burro populations on the public lands.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Projects are designated to manage and protect wild free-roaming horses and burros to achieve and maintain a thriving natural ecological balance on the public lands. Project assistance can be used in researching for improved censusing techniques and fertility control methods; and adopting or long term care of excess animals removed from the range. For more specific information contact the local or headquarters office.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental impact information may be required for this program. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard Form 424, Application for Federal Assistance, Standard Form 424A Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through [www.grants.gov](http://www.grants.gov) in response to the advertised announcements and must include: the title, objectives, timeframes, and a budget breakdown as specified in the funding opportunity announcement. State plan is not required for this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management and District Office level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The program has no statutory formula matching requirements. However, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a one to five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, recipients must submit a final Program Performance Report 90 days after the end of the grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end of the grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,324,000; FY 11 est \$2,000,000; and FY 12 est \$4,000,000

**Range and Average of Financial Assistance:**

Past partnerships projects have run between \$7,500 to \$750,000. Average amounts are \$178,750 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The BLM currently manages approximately 38,400 horses and burros in 179 herd management areas in 10 western states. Nationally, the appropriate management level (optimum number of animals on the range -AML) is about 26,600 animals. BLM has made significant progress towards achieving AML and continues removes excess animals from the range to reach AML and to avoid range deterioration. BLM plans to reduce population growth by increasing fertility control in partnership with the Humane Society (gather, treat and release mares using PZP) and adjusting sex ratios (gather, geld and release stallions) on the range. BLM looks forward to expanding partnerships for long term care of animals and creating new policies to increase adoptions and sales. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The wild horse and burro program is generally guided by provisions in 43 CFR Part 4700. BLM Manuals and Handbooks 4700 - 4770 provide basic program operational guidance for the wild horses and burro program and may be obtained by accessing the BLM library through the internet.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Division Chief Bureau of Land Management, Division of Wild Horses and Burros, (WO 260), 1849 C St., NW, Room 2134LM, Washington, District of Columbia 20240-9998 Phone: (202) 912-7296

**Website Address:**

<http://www.wildhorseandburro.blm.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: BLM developed partnerships for research into population level fertility control along with research on population census techniques and programs to help place excess wild horses and burros in good homes. Assistance agreements have been awarded to state departments of correction in Colorado, Nevada, Kansas, Utah, Wyoming, and Mississippi to train wild horses making them more adoptable. Universities have been awarded to grants to conduct research on the genetic analysis of wild horse and burro herds. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their direct relationship to BLM's management of wild horse and burro herds and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.230 INVASIVE AND NOXIOUS PLANT MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Noxious Weed Act of 1974, 7 U.S.C. 2814; Watershed Restoration and Enhancement Agreements, 16 U.S.C. 1011, Public Law 104-208, Section 124, as amended, Public Law 105-277, Section 135; and Executive Order 13112, Invasive Species, February 3, 1999.

**OBJECTIVES:**

To encourage interested State and local governments and Federal agencies to work together to inventory, manage, educate, reduce the spread of, and prevent the further invasion and establishment of noxious, invasive weeds, and other species. These entities will develop and implement Integrated Pest Management Plans to develop and implement projects that foster consultation and cooperation among stakeholders, interested parties, and the public and to organize, finalize, and develop projects to implement integrated pest management plans for invasive species within a specific geographic area.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

Funds may be used on public, State county, and private lands for approved projects that prioritize and target undesirable plant species or group of species to be controlled or contained within a specific geographic area; describe the intergrated pest management system to be used to control or contain the targeted undesirable invasive species or groups of species; and detail the means of implementing the integrated pest management system, define the duties of the Federal agency and the State agency in prosecuting that method, and establish a timeframe for the initiation and completion of the tasks specified in the integrated management system.

**Applicant Eligibility:**

State and local governments.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Coordinate cooperative project proposals with Bureau of Land Management local State or District office for more information and local requirements. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Standard Form 424, Application for Federal Assistance, Standards Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposals should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Most awards are anticipated within 90 days or less after the announcement closes.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: This program has no statutory match requirements. However, applicant's matching funds are encouraged and those projects are more likely to be funded.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at the time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annually, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, grantees must submit a final Program Performance Report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are required to be maintained for three years following submission of the final expenditure report.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$3,924,000; FY 11 est \$3,500,000; and FY 12 est \$3,500,000

**Range and Average of Financial Assistance:**

Past partnership projects have run between \$1,000 to \$240,000. Average amounts run about \$26,500 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The State and Bureau of Land Management have worked together with private and non-Federal landowners to prevent, contain, and control the spread of invasive and noxious weeds and other invasive species. Because the plants and other invasive species move rapidly from one owner's water and land to another, joint efforts to control, manage, and eradicate, contain or control invasive and noxious weeds, and other invasive species can reduce adverse impacts on public and private lands and reduce costs to all land owners. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Bureau of Land Management invasive and noxious plant management program can be found at <http://www.blm.gov/wo/st/en/prog/more/weeds.html>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Senior Weeds Specialist, Division of Rangeland Resources, Bureau of Land Management, 1849 C Street, MS: 2134LM, Washington, District of Columbia

20240 Phone: (202) 912-7226.

**Website Address:**

For general information see website <http://www.blm.gov/wo/st/en/prog/more/weeds/html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects funded encouraged the State and the Bureau of Land Management to work together to control, manage and eradicate undesirable invasive species on Federal, State, and private lands. By working together entire areas are treated to control and prevent the spread of invasive and noxious or undesirable plants and other invasive species within the close proximity of public lands. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.231 FISH, WILDLIFE AND PLANT CONSERVATION RESOURCE MANAGEMENT****FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Federal Land Policy and Management Act, as amended, Public Law 94-579, The Endangered Species Act of 1973, as amended, Public Law 93-205, Sikes Act, Public Law 93-452, Fish and Wildlife Conservation and Water Resources Developments Coordination Act, as amended, Public Law 85-624, Oceans Act of 1992, Public Law 102-587, Watershed Restoration and Enhancement Agreements, 16 U.S.C. Section 1011(a), as amended by Public Law 105-277 Section 136.

**OBJECTIVES:**

To manage fish, wildlife and plant conservation resources on the public lands administered by the Bureau of Land Management. This will help restore and protect lands containing noteworthy resource values for regionally significant species of management concern or wetland and riparian areas; restore and protect crucial habitat through vegetation treatments, installation of wildlife friendly fences, and creating fish passages or barriers to protect aquatic species. Restoration of wildlife habitat to restore and protect sage grouse, desert tortoise, and other upland habitats for special species as well as riparian habitat for endangered or special status fish and aquatic species. For Recovery Act funded projects, in addition to the program objectives above, section 3 of the Act states the following objectives: to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local governments budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Projects are primarily conducted on lands administered by the BLM but may also be conducted on other public or private lands. Most of these lands are located in the Western United States and Alaska. Assistance can be used to help protect, restore, and enhance fish, wildlife, and plant conservation resources and to provide related public contact/education opportunities. No regular discretionary fund is available. Funding is highly variable each fiscal year.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov and must include: the title, objectives, timeframes, and a budget breakdown as specified in the funding opportunity announcement. State plan is not required with this application.

**Award Procedure:**

Projects are reviewed at State level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the State Director or District/Field Office Manager.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding announcement is posted on www.grants.gov and may be obtained by contacting the point of contacts listed in the funding opportunity announcement.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory formula requirements. However, matching funds by the applicants are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are funded on a year-by-year basis and funds are expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual performance reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, grantees must submit a final performance report 90 days after the end date of grant performance. Projects funded under the American Recovery and Reinvestment Act of 2009 will be subjected to additional reporting requirements as described

in the announcement packages at www.grants.gov. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Projects will be audited at least once during life cycle.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1108-0-1-302 - 14-09/10; 14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$7,179,000; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements) FY 10 \$18,988,000; FY 11 est \$5,000,000; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$500 to \$1,400,00. Average amounts approximately \$68,300 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program accomplishments include numerous sage grouse lek surveys in Wyoming, Colorado, and other states, fish passage assessment work in high desert of Wyoming, pygmy rabbit surveys in Wyoming, Rico Puerco cooperative restoration with Navajo Nation in New Mexico, more than 20 different projects in cooperation with Idaho Department of Game and Fish, grassland restoration in Aravaipa area in Arizona, continuation of National Fish and Wildlife Foundation Partnership, mapping vegetation changes in Carrizo Plain, California for climate change monitoring, and seed collection programs with partners such as CESUs and the San Diego Zoo. ARRA specific projects emphasized invasive species control, native plant materials collection and management, habitat restoration in NLCS units and sage grouse habitat, and riparian habitat restoration. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's fish, wildlife and botany program is generally guided by provisions in 43 CFR Part 6000. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals providing basic program operational guidance for recreation (BLM Manual 6500) and may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Division Chief, Fish, Wildlife and Plant Conservation, Bureau of Land Management (WO 230), 1849 C St, N.W., MS-5115, Washington, District of Columbia 20240-9998 Phone: (202) 912-7230.

**Website Address:**

<http://www.blm.gov/nhp/index.htm>

**RELATED PROGRAMS:**



Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects funded include vegetation, rare and threatened and endangered plants and botanical surveys, fish and wildlife survey and monitoring, habitat use and condition surveys; habitat improvement or projection projects. Wildlife habitat restoration projects have provided increased protection of local communities by reducing threats from fire and invasive species through habitat improvement projects. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their direct relationship to public lands management and a balanced review including relevance to program objectives, merit and cost effectiveness. In addition, for Recovery Act funded projects, the evaluation criteria must also address how the applicant's project will boost the economy, create or save jobs, and address long neglected challenges for the management, protection and development of federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.232 WILDLAND FIRE RESEARCH AND STUDIES PROGRAM  
FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Land Policy and Management Act, as amended, Public Law 94-579; The Consolidated Appropriations Act of 2010, Division A, Department of the Interior and Related Appropriations Act of 2010, Department-Wide Programs, Wildland Fire Management, Public Law 111-88; The Joint Fire Science Program authorization is in the Department of the Interior and Related Agencies Appropriation Act of 1998, Public Law 106-291 and funded yearly.

**OBJECTIVES:**

To encourage interested parties to perform research and studies pertaining to wildland fire and resource management, to develop products and tools for all levels of decision making to meet the objectives of the National Fire Plan, and to seek information to improve decision making in wildland fire management. In addition, to generally funded wildland fire research and studies there are two separate research programs; Climate applications with the National Climate Data Center: The purpose of the program is to develop products and tools for wildland fire resource management utilizing the climate data archives of the National Climate Data Centers. The National Climate Data Center is authorized to describe the climate of the United States. For example, the Western Regional Climate Center is one of the six regional centers. Western Regional Climate Center is the archive of interagency fire weather station observations. The objectives for the National Climate Data Center and its regional centers are to perform basic climate and ecosystem studies pertaining to wildland fire and resource management, to develop climate and ecosystem products and tools for all levels of decision-making. The Joint Fire Science Program: This program seeks research proposals that respond to its announcements for proposals that seek information on seven critical wildland fire and fuels issues: These issues are: Wildland fuels and inventory mapping; Effects of fuels treatments; Scheduling of fuels treatments; Monitoring and evaluation of fuels treatments; Evaluating post fire stabilization and rehabilitation projects; Aircraft-based remote sensing; and Regional and local offices.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for approved projects that address wildland fire management needs of federal and local government land managers. For more specific information please contact the headquarters office.

**Applicant Eligibility:**

Anyone/General Public.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. No State Plan is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, a budget breakdown, and any other requirements specified in the funding opportunity announcement.

**Award Procedure:**

Projects are reviewed at the National and State level and funding recommendations are made through National and State's annual work plan. Final budget approvals rest with the National Office and State Director. For the Joint Fire Science Program all applications are peer-reviewed. The ten person Joint Fire Science Program Governing Board will analyze peer review comments and make all funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The deadline will be published in the Grants.gov announcement. Applications for projects for the Joint Fire Science program will also be posted [www.firescience.gov](http://www.firescience.gov) generally in the fall of each year. Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement. JFSP awards are anticipated within 6-8 months after announcement closes.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: This program has no statutory match requirements. However, the applicant's matching funds are encouraged and those projects are more likely to be funded.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based upon performance, merit, and funding availability. For the Joint Fire Science Program, projects are generally funded for no more than three years. Most projects funded are awarded in one lump sum at the start of the project; however some projects are funded year-by-year. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will be extended,

grantees must submit a final Program Performance Report 90 days after the end date of grant performance. Joint Fire Science Program projects are required to submit an annual progress report (generally September 30th). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Joint Fire Science Program projects are required to submit financial reports for cooperative agreements annually. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1125-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,390,000; FY 11 est \$3,500,000; and FY 12 est \$3,500,000. (Cooperative Agreements) FY 10 \$325,800; FY 11 est \$265,000; and FY 12 est \$265,000 - Obligations specific to the Joint Fire Science Program.

**Range and Average of Financial Assistance:**

Past partnership projects range from \$15,000 to \$90,000. Average amounts are \$30,000 or less. For the Joint Fire Science Program awards range from \$60,000 to \$500,000. Average amounts are \$350,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program accomplishments provided new information and tools to improve decision-making in wildland fire management. Program accomplishments include Climate and Ecosystem studies that benefit fire and resource management programs both directly and through the inherently interagency nature of many of the climate-related projects. Projects have had direct benefit to, among others, fire management, Predictive Services, meteorologists, fuels analysts, intelligence officers, fire behavior analysts, fire specialists, fire planners, resource managers and State and local government leaders. Specific accomplishments include user access to Western Regional Climate Center Remote Automated Weather System data archive through field-requested queries; lightning climatologies; comparisons of drought indices for fire management; operational 15-day fire danger forecasts; operations of an interagency regional modeling facility; model output statistics products; real-time drought assessment for rangelands; and quality-checked, complete Remote Automated Weather System weather data sets for the Fire Program Analysis effort. For the Joint Fire Science Program the implementation of the regional consortia projects and the smoke science plan. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the National Fire Plan can be found at website: <http://www.forestsandrangelands.gov/>. Western Regional Climate Center reports and publications pertaining to projects and accomplishments are posted on <http://cefa.dri.edu>. Joint Fire Science information, including announcements for proposals, project information, and literature can be found at website [www.firescience.gov/](http://www.firescience.gov/).

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of BLM State Offices.

**Headquarters Office:**

Group Manager, Planning and Resources Group, Bureau of Land Management, Office of Fire and Aviation, 3833 S. Development Ave., Boise, Idaho 83705.

For the Joint Fire Science Program: Program Manager, Joint Fire Science Program, address same as above, (208) 387-5349., Boise, Idaho 83705 Phone: (208) 387-5153.

**Website Address:**

For general information see website <http://www.forestsandrangelands.gov/>. For information on the Western Regional Climate Center website see <http://cefa.dri.edu/>. Joint Fire Science Program information may be found at <http://www.firescience.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Development of Web Access to Remote Automated Weather System Data and Products; Development of US Operational Fire Danger 15-Day Forecasts; Role of Climate in Prescribed Fire; Understanding Drought for BLM Business; Real-Time Drought Assessment for Rangelands. Reports are available at <http://cefa.dri.edu/>. JFSP initiated projects in several research areas in FY 10. Some examples of research JFSP focused on in FY 10 are improving fuels mapping, public perceptions of smoke and the Regional Consortia projects. Fiscal Year 2011: JFSP will be focusing on fuels treatments in Wildland Urban Interface, smoke and black carbon, and fuel moisture influences. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal wildland fire management, qualifications of principal investigator and institution, and a balanced review including relevance to program objectives, merit and cost effectiveness. Joint Fire Science Program proposals will be reviewed for relevancy in relation to the posted announcement for proposals task statement, scientific methods and study design, science deliverables, collaboration/leverage, and administrative adequacy. Successful proposals will provide a strong science delivery and application plan that clearly demonstrates the use of both passive and active technology transfer methods.

**15.233 FORESTS AND WOODLANDS RESOURCE MANAGEMENT FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737,(b), Public Law 94-579, as amended; and Stewardship End Result Contracting Projects, 16 U.S.C. 2104, Public Law 108-7, Consolidated Appropriation Resolution, 2003, Division F, Title III, Section 323 as amended Public Law 105-277, Department of the Interior and Related Agencies Appropriations Act, 1999, Division A, Section 101(e), Title III, Section 347, as amended Public Law 106-113, Making Consolidated Appropriations For the Fiscal Year Ending September 30, 2000, and For Other Purposes, Division B, Section 1000(a)(3), Title III, Section 341 and Public Law 107-63, Department of the Interior and Related Agencies Appropriations Act, 2002, Title III, Section 332.; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements, to public or private organizations for the improvement of forests on public lands. Improvements will include the maintenance of forest health, forest regeneration, restoration, rehabilitation, insect and disease control, forest development, implementation of stewardship projects and providing for biomass utilization of public lands. For Recovery and Reinvestment Act funded projects additional objectives include: To preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements

(Discretionary Grants); TRAINING

**USES AND USE RESTRICTIONS:**

Projects are limited to forestry projects on public lands administered by the Bureau of Land Management located mostly in the Western United States and Alaska. For more specific information contact the headquarters office.

**Applicant Eligibility:**

Anyone/General public.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative forestry project proposals should be coordinated with Bureau of Land Management local State or District Office. State plan is not required for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov and must include: a title, objectives, timeframes, and a budget breakdown as specified in the funding opportunity announcement.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on www.grants.gov and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory formula requirements. However, matching funds are encouraged by the applicants and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the reporting period. For any grant or cooperative agreement that is

terminated, transferred to a new grantee, or will not be extended a final report is due 90 days after the end date of grant performance. Projects funded under the American Recovery Act of 2009 will be subjected to additional reporting requirements as described in the announcement packages at www.grants.gov. No cash reports are required. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly financial status reports using Standard Form 425, Federal Financial Report 30 days following the end of the reporting period. A final SF-425 is due 90 days after the end of the grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302; 14-1108-0-1-302 - Recovery Act (14-09/10-1108-0-1-302).

**Obligations:**

(Cooperative Agreements) FY 10 \$833,000; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements) FY 10 \$1,770,000; FY 11 est \$1,000,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$8,000 to \$300,000. Average amounts approximately \$76,560 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: BLM continues to maintain and expand partnerships to include funding for continued support of collaborative efforts to build community capacity and support for ecological restoration efforts in forest and woodlands. The public and BLM benefit from its support with partners in heightening public understanding of the social, economic, as well as environmental, aspects of ecosystem restoration and maintenance. BLM awarded stewardship cooperative agreements to the Rocky Mountain Elk Foundation to improve wildlife habitat, reduce hazardous fuels and restore woodlands. The project will cover nearly 30,000 acres over the next 10 years. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Division Chief, Forest and Woodland Management, Bureau of Land Management (WO 270), 1849 C St., N.W, 204 LS, Washington, District of Columbia 20240 Phone: (202) 452-0316.

**Website Address:**

[http://www.blm.gov/wo/st/en/prog/more/forests\\_and\\_woodland.html](http://www.blm.gov/wo/st/en/prog/more/forests_and_woodland.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Stewardship projects that removed vegetation to promote healthy forest stands and reduced fire hazards. Projects that promoted an integrated approach that included local community participation in the developing strategies for biomass utilization, recognizing the connections between biomass utilization and forest restoration, and encouraged sustainable development through a variety of enterprises at different and appropriate scales. Projects that cooperatively supported common goals and interests in managing,

developing and protecting federal and private land and water resources in an environmentally and economically sound manner. The BLM continued to fund the Wyoming Front Aspen Restoration project. This project is a 10 year stewardship cooperative agreement between BLM and the Rocky Mountain Elk Foundation. The project is reducing hazardous fuels and improving wildlife habitat by restoring historical aspen stands. Products from this project have included sawlogs, biomass for energy and oil pad remediation and Christmas trees. The BLM funded the Boise District Wildlife Habitat project. This project is a 10 year stewardship cooperative agreement between BLM and Rocky Mountain Elk Foundation. The project is reducing hazardous fuels and improving wildlife habitat. Biomass from the project will be used for power. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to Federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.234 SECURE RURAL SCHOOLS AND COMMUNITY SELF-DETERMINATION**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Secure Rural Schools and Community Self-Determination Act of 2000, Public Law 106-393, Title II, as reauthorized by the Emergency Economic Stabilization Act of 2008, Public Law 110-343.

**OBJECTIVES:**

To restore stability and predictability to the annual payments made to States and counties containing National Forest System lands and Oregon and California and Coos Bay Wagon Road lands managed by the Bureau of Land Management for use by the counties for the benefit of public schools, roads, and other purposes.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds shall be expended solely on projects that meet the requirements of Secure Rural Schools and Community Self-Determination Act of 2000, Public Law 106-393, as reauthorized by the Emergency Economic Stabilization Act of 2008, Public Law 110-343. Project funds may be used for the purpose of entering into and implementing cooperative agreements with willing Federal agencies, State and local governments, private and nonprofit entities, and landowners for protection of restoration, and enhancement of fish and wildlife habitat, and other resource objectives consistent with the purposes of the law on Federal land and on non-federal land where projects would benefit these resources on Federal land. For more specific information contact the headquarters office.

**Applicant Eligibility:**

State and local governments, public nonprofit institutions/organizations, other public institution/organization, private nonprofit institution/organization, other private institution/organization and landowners.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local program requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. No State plan is required with this application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal

Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written technical and cost proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. Title II Project Application Information is available from the BLM Western Oregon Districts or their websites.

**Award Procedure:**

Bureau of Land Management District staff screen applications to ensure they meet project criteria. The projects are then forwarded to the Resource Advisory Committees whose members consider each project for funding and make recommendations to the Designated Federal Officials by September 30 for each fiscal year. Final budget approval authority rests with the Bureau of Land Management Designated Federal Official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on www.grants.gov and may be obtained by contacting the point of contact listed in the funding opportunity announcement. Projects are approved by the Designated Federal Official at their sole discretion. Within 30 days after making a rejection decision, the Designated Federal Official shall notify the Resource Advisory Committee in writing with the reasons for the rejection.

**Appeals:**

None. Final award decisions are not subject to appeal, however, the Bureau of Land Management will provide all applicants with information regarding why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: This program has no statutory formula requirements. However, applicant's matching funds are encouraged and may be looked upon more favorably by the Resource Advisory Committees.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are funded on a year-to-year basis and funds are expended during a particular fiscal year. Funds that are not expended during a particular fiscal year may be carried forward to the next fiscal year, except for funds approved in FY 2011. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at the time of the award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will be extended, the grantee must submit a final Program Performance Report 90 days after the end of the grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly Standard Form 425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and local governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-5485-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$3,570,000; FY 11 est \$7,400,000; and FY 12 est \$3,170,000

**Range and Average of Financial Assistance:**

Past partnership projects have run between \$3,350 to \$290,000. Average amounts run about \$62,650 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Secure Rural Schools and Community Self-Determination Act program continues its efforts to investment in and create additional employment opportunities through projects that improve the maintenance of existing infrastructure, implement stewardship objectives that enhance forest ecosystems and restore and improve land health and water quality. Simultaneously, the projects improve cooperative relationships among the people that use and care for Federal lands and the agencies that manage these lands. Since the implementation of this program in fiscal year 2002, the Resource Advisory Committees have recommended over 1200 projects that were subsequently approved by the Designated Federal Officials. Many of the projects are multi-year projects that are funded in phases and implemented over several years. Fiscal Year 2011: Not available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 106-393 as amended by Public Law 110-343, and the Resource Advisory Committee Charters basically guide BLM's Secure Rural Schools Program. For links to the Law and additional information see website <http://www.blm.gov/or/rac/ctypayhistory.php>.

**Regional or Local Office:**

See Regional Agency Offices. Secure Rural Schools Coordinator (OR931), Oregon State Office, Bureau of Land Management, 333 S.W. 1st Ave., P.O. Box 2965, Portland, OR 97204. Telephone: (503) 808-6451. E-mail: [Lindsey\\_Babcock@blm.gov](mailto:Lindsey_Babcock@blm.gov).

**Headquarters Office:**

Division Chief, Forest and Woodland Management, Bureau of Land Management (WO 270), 1849 C St., NW, Room 2134LM, Washington, District of Columbia 20240 Phone: (202) 912-7246

**Website Address:**

<http://www.blm.gov/or/rac/ctypayhistory.php>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Assistance agreements with cooperators, watershed councils, and counties to perform road and trail construction, maintenance or obliteration, culvert replacements for fish passage; vegetation and density management, wildfire hazard reduction, stream channel enhancement; watershed restoration, wildlife and fisheries habitat restoration and improvement; control of noxious and exotic plants; and reestablishment of native species. Assistance agreements with cooperators for removal of noxious weeds in Triangle Lake, Blachy and Horton areas of Oregon which will allow for restoration of fish and wildlife habitat; promote the use of native plant material in the re-vegetation of public lands in Polk County, Oregon; educate the public about the illegal dumping and reduce dumping on public lands in the Medford and Eugene Districts and Polk County, Oregon; and implementation projects in Sandy River Basin, Oregon, to restore priority aquatic and terrestrial habitats of the basin's four threatened fish populations. Fiscal Year 2011: Assistance agreements with cooperators for removal of noxious weeds on Dixie Mountain and other areas to restore native

plants; remove culverts in various streams to improve fish passage; large wood placements to restore fish habitat; educate the public about the illegal dumping and reduce dumping on public lands in Western Oregon, including abandoned vehicle removal; and partnering with youth organizations to monitor projects and educate and inspire upcoming generations. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to approve project proposals are: The project complies with all applicable Federal laws and regulations; the project is consistent with the applicable resource management plan and with any watershed or subsequent plan developed pursuant to the resource management plan and approved by the Secretary of the Interior; the project has been recommended by the Resource Advisory Committee in accordance with section 205 of the Act; a project description has been submitted by the Resource Advisory Committee to the Secretary of the Interior; and the project will improve the maintenance of existing infrastructure, implement stewardship objectives that enhance forest ecosystems and restore and improve land health and water quality.

**15.235 SOUTHERN NEVADA PUBLIC LAND MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Southern Nevada Public Land Management Act of 1998, 31 U.S.C. 6901 Public Law 105-263, as amended; Clark County Conservation of Public Land and National Resources Act of 2002, 16 U.S.C. 460qqq, Public Law 107-282; Department of the Interior and Related Agencies Appropriation Act of 2004, Public Law 108-108, Section 147, Title I, Section 146; Lincoln County Conservation, Recreation and Development Act of 2004, 16 U.S.C. 1241, Public Law 108-424, Tax Relief and Heathy Care Act of 2006, Public Law 109--432, Title III, Subtitle H, Sec. 382, Amendments to the Southern Nevada Public Land Management Act of 1998, Omnibus Public Land Management Act of 2009, Public Law 111-11, Title II, Subtitle G, Sec. 2601(g) Availability of Funds, Section 4(e) of the Southern Nevada Public Land Management Act of 1998; Federal Land Policy Management Act (FLPMA) of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended, and; Federal Noxious Weed Act of 1974, 7 USC 2814, Public Law 93-629, as amended by Public Law 101-624 Section 2814.

**OBJECTIVES:**

To provide for the orderly disposal of certain Federal lands in Clark County, Nevada, and to provide for the acquisition of environmentally sensitive lands in the State of Nevada.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative projects are restricted to the development of parks, trails, and natural areas on lands owned by local governments and units of as designated in Public Law 105-263, as amended, in Clark County, Lincoln County, and White Pine County, Nevada, and, to the development and implementation of comprehensive, cost-effective, multijurisdictional hazardous fuels reduction and wildfire prevention plans, including sustainable biomass and biofuel energy development and production activities, for the Lake Tahoe Basin (Nevada and California), for the Carson Range in Douglas and Washoe Counties, and Carson City in the State of Nevada, and that are: subject to approval by the Secretary of the Interior; and not more than 10 years in duration; and as further in the Southern Nevada public Land Management Act Implementation Agreement. For more specific information contact the regional or headquarters office.

**Applicant Eligibility:**

Local governments and regional government entities within the State of Nevada as specifically identified in Public Law 105-263, as amended.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

**Award Procedure:**

For any grants awarded as a component of any project, approved by the Secretary of the Interior, and funded under Public Law 105-263 and subsequent amendments, for any eligible beneficiary entity, all applicable Federal rules, regulations, and agency specific guidelines for awarded procedures will be followed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after announcement closes. Projects are approved in accordance with Public Law 105-263, as amended, and as further delineated in the Southern Nevada Public Land Management Act Implementation Agreement. Further information will be available for each project at the time the funding opportunity announcement is posted on www.grants.gov and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory match requirements, however, applicant's matching funds are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual or annual performance reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, grantees must submit a final performance report 90 days after the end of grant performance. Cash reports are not applicable. No progress reports are required. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and local governments shall maintain project records in accordance with 43 CFR 12.82.

**Account Identification:**

14-5232-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$23,873,000; FY 11 est \$15,000,000; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

Past partnership projects have been between \$132,400 to \$22,485,000. Average project amount is \$2,652,500 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Cooperative Agreements with local government and units of local governments resulted in eight complete projects in the Parks, Trails, and Natural Areas category in FY 2010. These multi-year projects included the Duck Creek Habitat Restoration, Wetlands Park Acquisition Phase IV, Mesquite Regional Park and Trail System Phase I, Multi-Use Tributary Las Vegas Wash Regional Trail, Urban Park Renovation, Anthem East Trails, Rose Park Improvements, and City of Pioche Park Phase II. For Clark County, Lincoln County, and the cities of Henderson, Pioche, Mesquite, and Las Vegas, Nevada, these projects reinvigorated residential communities. They provided ADA access for multi-use trails, added miles of trails and trailheads, improved water quality and park/open-space shaded areas, restored T-ball fields and swimming pools, created senior citizen activity areas, provided additional scenic overlooks and benches for hikers and bikers, provided new pavilions, gazebos, picnic and playground areas to existing parks, one with at least 50 years of continuous use, repaired and constructed new pedestrian pathways, and provided restoration to habitat and native vegetation. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All guidance for this program rests with the Southern Nevada Public Land Management Act of 1998, as amended, Public Law 105-263, and can be found on website <http://www.nv.blm.gov/snplma/>.

**Regional or Local Office:**

See Regional Agency Offices. SNPLMA Business Manager, Nevada State Office, Bureau of Land Management, 1340 Financial Blvd., P.O. Box 12000, Reno, NV 89520-0006. Telephone: (775) 861-6613. E-mail: Sharon\_Gore@blm.gov .

**Headquarters Office:**

Division Chief Division of Lands and Realty, Bureau of Land Management (WO 350), 20 M Street, SE, Room 2134, Washington, District of Columbia 20003 Email: kim\_berns@blm.gov Phone: (202) 912-7350

**Website Address:**

<http://www.nv.blm.gov/snplma/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Parks, Trails and Natural Areas category includes the following funded and in progress projects. The Camp Success Preservation and Enhancement Project in White Pine County, Nevada, in existence since the 1940s, will provide continued use of the Camp and enhance the recreational and environmental education opportunities for youth and families in eastern Nevada. The existing outhouses will be removed and replaced with vault toilets. Shower facilities and ADA accessible outdoor living area near the lodge will upgrade and preserve this partnership facility. The land is owned by the U.S. Forest Service with the Camp itself being owned by White Pine County, Nevada. With the recent 20-year permit renewal by U.S. Forest Service the camp will continue to enhance the areas comprehensive economic development strategy while providing recreational and outdoor opportunities. The Warm Springs Natural Area Project in Clark County, Nevada is regionally significant as it contains more than 20 perennial springs that form the

headquarters of the Muddy River. The site contains numerous landscapes including Mojave desert, riparian forest, mesquite woodlands, and alkali meadows through which 3.8 miles of the Muddy River wanders. These resources provide ideal habitat for a number of listed, threatened and sensitive species, including the endangered Moapa dace and the Southwestern Willow Flycatcher. The Doolittle Park Family Area Renovation Project in Clark County, Nevada will reinvigorate this older park space, encouraging sustainable living in the city's core. Heavy use in West Las Vegas, Nevada has resulted in deterioration of this family park. More modern playground equipment and relocation of playground equipment for ages two to five years old will provide a safer play area for children. Increasing tree canopy, improving the park entry point, and adding a senior citizens activity area will improve the family environment of this heavily utilized local park. Horseshoe pits, new BBQs, new sidewalks, new grass and irrigation system, a medium ramada, and new lighting, will complete the much needed renovations. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting projects is outlined and defined in the Southern Nevada Public Lands Management Act Implementation Agreement, based upon the established Ranking and Rating Criteria, a balanced review including relevance to program objectives, merit and cost effectiveness, and consistent with the Southern Nevada Public Land Management Act of 1998, Public Law 105-263, as amended.

**15.236 ENVIRONMENTAL QUALITY AND PROTECTION RESOURCE MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended; Watershed Restoration and Enhancement Agreements, 16 U.S.C. 1011, Public Law 104-208, Section 124, as amended Public Law 105-277, Section 135; and Consolidated Appropriations Act of 2008, Public Law 110-161, Division F, Section 125.

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements as a partnership to reduce or remove pollutants in the environment for the protection of human health, water and air resources; to restore damaged or degraded watersheds; and to respond to changing climate. Objectives are implemented through core programs such as: the Abandoned Mine Land program which addresses physical safety hazards and water quality through restoration of abandoned hardrock mines; the Hazard Management and Resource Restoration, also known as Hazmat program, which remediates sites impacted by hazardous materials and illegal activities, coordinates emergency response actions, and ensures the Bureau of Land Management facilities and operations comply with applicable environmental regulations; and the Soil, Water and Air (SWA) program which develops guidance for land use plans and plan implementation. The Soil, Water, and Air program also assures that fundamental resources are inventoried and assessed, managed, and monitored to support appropriate management response to public land conditions. For Recovery and Reinvestment Act funded projects additional objectives include: To preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements (Discretionary Grants); DISSEMINATION OF TECHNICAL INFORMATION; TRAINING

**USES AND USE RESTRICTIONS:**

Partnership projects are limited to public lands administered by the Bureau of Land Management located mostly in the Western United States and Alaska

unless other specific legislative authority exists. Hazmat and Abandoned Mine Land projects will support: inventory and site assessments; mitigation, remediation, and restoration activities; and maintenance and monitoring of actions taken. Funded projects will protect public health, safety and environmental resources by eliminating contamination and hazards and restoring natural resources. The Soil, Water and Air Program Support: soil survey and interpretation, ecological site determination, soil erosion control, and sustaining soil productivity; acquisition of water rights and inventory of water resources to assure availability of water to meet management objectives; monitoring and improvement of quality, and implementation of appropriate best management practices; Colorado River Basin salinity control activities; and air resource management including air quality, visibility, noise, climate, and climate change issues. For more specific information please contact that headquarters office.

**Applicant Eligibility:**

Anyone/General public.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information on local requirements, cooperative rangeland project proposals should be coordinated with Bureau of Land Management local State or District Office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on www.grants.gov and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Statutory formulas are not applicable to this program. The program has no statutory formula matching requirements. However, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a one to five year period and funded on a year-by-year basis and funds are

expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: Frequency of recipient of payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, the grantee must submit a final Program Performance Report 90 days after the end date of grant performance. Projects funded under the American Recovery and Reinvestment Act of 2009 will additional reporting requirements as described in the announcement packages at [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly Standard Form 425, Federal Financial Reports 30 days following end of the reporting period. A final SF 425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302 - 14-09/10-1112-0-1-302 ARRA Construction TAFS;  
14-09/10-1108-0-1-302 ARRA MLR TAFS.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$5,403,000; FY 11 est \$1,500,000; and FY 12 est \$0 - Recovery and Reinvestment Act Minerals, Land Resources (MLR) Funds - FY 10 \$903,000; FY 11 est. \$1,500,000; and FY 12 est. \$2,000,000. Recovery and Reinvestment Act Construction Funds - FY 10 \$4,500,000; FY est. 11 \$0; and FY 12 est. \$0.

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$5,000 to \$993,000. Average amount is \$70,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: States, other partners, and the Bureau of Land Management have worked together with private and non-federal landowners to enhance public health and safety and eliminate environmental degradation due to impacts from past hardrock mining activities, illegal dumping of solid and hazardous wastes, and unexploded ordnance. Natural resources adversely impacted by oil spills and releases of hazardous substances have been restored. Soil, water and air resources have been sampled and monitored, impacts have been controlled. States, other partners, and the Bureau of Land Management are working together to inventory abandoned mine sites, close abandoned mine land features (physical safety hazards), address environmental issues at abandoned mine land sites, conduct soil mapping for salinity and selenium, develop air quality task force teams, conduct water quality monitoring, establish habitat restoration areas, conduct watershed assessments and monitoring, and implement climate change monitoring. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Bureau of Land Management environmental quality and protection programs can be found at [www.blm.gov](http://www.blm.gov), including: the Cooperative Conservation Based Strategic Plan for the Abandoned Mine Lands Programs, Abandoned Mine Land Program Policy Bureau of Land Manual 3720 and

Handbook H-3720-1, Hazard Management and Resource Restoration Manual 1703, and CERCLA Response Actions Handbook H-1703-1. Manuals providing basic program policy guidance for the Soil, Water and Air Program are found in Bureau of Land Management Manual 7000 series and may be obtained at [www.blm.gov](http://www.blm.gov).

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Nancy E. Dean, Environmental Quality and Protection, Bureau of Land Management (WO 280), 1849 C St., N.W., 204 LS, Washington, District of Columbia 20240 Phone: (202) 912-7136.

**Website Address:**

<http://www.blm.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Past projects funded encouraged the State and the Bureau of Land Management to work together within close proximity of public lands. Examples of Abandoned Mine Lands projects can be found in the Bureau of Land Management - Forest Service joint report entitled "Abandoned Mine Lands: A Decade of Progress Reclaiming Hardrock Mines," BLM publication BLM-WO-GI-07-013-3720. This report is available at [www.blm.gov](http://www.blm.gov). Project designed to reduce salt loading in the Colorado River, which include plugging saline wells, reducing runoff from areas of saline soils through improved vegetation management and restoration of OHV trails and other surface disturbance, organization and presentation of a road maintenance workshop to teach erosion control methods, and a study on relationship between grazing and vegetation green-up to maintain vegetation cover in areas of saline geology and soils. Past completed projects were completed to improve stream bank and channel conditions and projects to analyze movement and management of groundwater in areas threatened by groundwater over-drought and ground water contamination. Fiscal Year 2011: Funded projects will include monitoring effects of oil and gas surface development on fish habitat in northern climates, determining selenium apportionment in soils in wetland ecosystems in Utah, conducting biological surveys for abandoned mine land closures across the western US, closing physical safety hazards at abandoned mines in Colorado, California, and Wyoming, habitat restoration, establishing the locations of carbon stocks and the distributions in Western Colorado, and the collection of air, water, and meteorological data relevant for climate change monitoring. These projects provide BLM with the data needed to determine management actions and provide important baseline data for future management activities and land management decisions. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.237 RANGELAND RESOURCE MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended; Public Rangelands Improvement Act of 1978, 43 U.S.C. 1906, Public Law 95-514 and the Taylor Grazing Act of 1934, 43 U.S.C. 315a, as amended.

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements to manage, develop and protect public lands and enhance the understanding of rangeland and watershed resources, their ecological processes, and capabilities in order to meet rangeland and water quality standards for the improvement of rangelands on public lands. Projects and livestock administration for the management of rangeland ecosystems are conducted in a coordinated manner and consider the interrelationships of living organisms of plants and animals,



the physical environment of soil, water, air, and landscape characteristics when developing and implementing resource objectives and management actions. Systematic assessments and evaluations are conducted at the watershed, allotment, and in some instances, the landscape scale to determine if the standards and fundamentals for rangeland ecosystem health are being achieved.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements; TRAINING

**USES AND USE RESTRICTIONS:**

Projects are limited to rangeland projects on public lands administered by the Bureau of Land Management located mostly in the Western United States and Alaska. For more specific information contact the local or headquarters office.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. No State plan is required with this application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via a hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The program has not statutory matching requirements. Matching funds or in-kind services by the applicant are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a one to five year period and funded on a year-by-year basis and funds are

expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and fund availability. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at the time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will be extended, the grantee must submit a final Program Performance Report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$872,000; FY 11 est \$850,000; and FY 12 est \$850,000

**Range and Average of Financial Assistance:**

Past partnership projects have run between \$5,000 to \$150,000. Average amounts run about \$31,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Bureau of Land Management maintained and expanded partnerships to include funding for activities within this program to include resource monitoring on rangelands, conducting upland health assessments and evaluations, use authorizations, allotment planning and administration, development of vegetation objectives, development of criteria and indicators to measure rangeland sustainability, integrated weed management, and activity plan development in connection with land use planning. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Bureau of Land Management's Rangeland and Management program is generally guided by the provisions in 43 CFR Part 4000. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals and handbooks providing basic program operational guidance for Rangeland Management are found in BLM Manuals 4000 series and may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Division Chief Rangeland Resources, Bureau of Land Management (WO 220), 1849 C St., N.W., 20 M St., SE, Washington, District of Columbia 20240 Phone: (202) 912-7222

**Website Address:**

<http://www.blm.gov/wo/st/en/pro/grazing.1.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Cooperative rangeland management projects that developed criteria and indicators for measuring sustainability of rangelands. Projects that provided range management education and training for grazing permittees and agency staff. Conducted invasive and weed species inventory. Conducted integrated weed management planning and treatment. Projects that supported technical and applied rangeland and grazing management information for dissemination, such as support for Grazinglands Conservation Initiative Convention and the International Rangelands Congress. Projects that promoted general public education and information on values of proper livestock grazing management. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.238 CHALLENGE COST SHARE**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriation Act for Fiscal Year 1991, Public Law 101-512, Title I.

**OBJECTIVES:**

The Challenge Cost Share Program works through cooperative partners to help accomplish high priority work to support habitat improvement, comprehensive travel management, recreation and cultural projects. The types of projects that can be funded include monitoring and inventory of resources; implementing habitat improvement or protection projects; developing threatened and endangered species recovery plans; protecting, stabilizing or documenting cultural resources; travel management, including managing off-highway vehicle use; and providing enhanced recreational experiences, including visitor services, information, and facilities for public health and safety.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

All projects are restricted to public lands administered by the Bureau of Land Management or that directly benefit public lands. Most of these lands are located in the Western United States and Alaska. Assistance can be used to leverage funds with partners and other external funding sources to enhance the Bureau of Land Management's ability/capacity to survey, monitor and inventory resources; to restore and maintain land in a healthy condition; to support threatened and endangered species management; to manage heritage resources; to enhance recreational experiences; provide visitor services or facilities; to conduct public outreach and education projects; and to support emerging partnership opportunities. For more specific information contact the regional or headquarters office.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For more information on local requirements, cooperative projects proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. No State plan is required with the application. Environmental impact information is not required for this program. This

program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Most awards are anticipated within 90 days or less after the announcement closes.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: This program has statutory requirement for non-federal cost share funds or in-kind service requirements. Funds are required to be cost-shared one non-federal dollar for each federal dollar per State office.

The matching funds must be non-federal in origin.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most projects are awarded for one to five year period and funded on a year-by-year basis. Funds are expended during the year awarded although carry-over monies can be distributed to additional years or to projects that have been pre-approved. No commitment is made to fund projects beyond one year and there is no set, historical allocation to each State. New and continuing projects will be re-evaluated every other year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at the time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, the grantee must submit a final Program Performance Report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$3,398,000; FY 11 est \$1,000,000; and FY 12 est \$3,000,000

**Range and Average of Financial Assistance:**

Past partnership projects have been between \$3,000 to \$250,000 depending on the policies of that particular state and the money available. Average amounts are \$22,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Past partnership projects have completed wildlife habitat improvement, protection, and restoration projects with durable lasting results, conducted wildlife studies, and developed threatened and endangered species recovery plans. Cultural resources projects have been conducted to protect and stabilize cultural sites, inventory and protecting existing collections and conduct surveys to find artifacts. Recreation projects have been conducted to build trails, obliterate road and trails, and enhance visitor recreation experiences on public lands. Recreation projects have improved and stabilized Riparian areas and washed out bridges or walkways. Overall, projects have also included support for environmental education, University research, and interactive youth initiatives based on the programs within the BLM. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations, manuals and information about the Bureau of Land Management fish, wildlife, botany, recreation and cultural programs can be found at website <http://www.blm.gov/>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Program Manager and Agency Liaison, Bureau of Land Management (WO 200), 1849 C St., N.W., Room 2134LM, Washington, District of Columbia 20240 Phone: (202) 912-7203

**Website Address:**

<http://www.blm.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Past projects funded include monitoring and inventorying of resources; implementing habitat improvement or protection projects; developing threatened and endangered species recovery plans; protecting, stabilizing, or documenting cultural resources; travel management, including managing off-highway vehicle use and support of monitoring partnerships; providing enhanced recreational experiences including the support of friends groups in National Landscape Conservation System units, visitor services, information, and facilities for public health and safety; and supporting environmental education awareness through local events and partnership entities. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced view including relevance to program objectives, merit and cost effectiveness.

**15.239 MANAGEMENT INITIATIVES**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737(b), Public

Law 94-579, as amended.

**OBJECTIVES:**

To provide a variety of Bureau of Land Management financial assistance awards not covered by any other program entry. This program will support mission program efforts for the management, protection, and development of public lands managed by the Bureau of Land Management. Awards are typically supported by funding one-time specific legislation and internal projects and programs.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Assistance support for the management, protection, and development of public lands within the Bureau's area of responsibility and supported by specific authorities. Awards are restricted to activities on Federal public lands for activities that benefit resources on Federal land. Most of these public lands are located in the Western United States and Alaska. The assistance may support outreach and education efforts associated with partnership programs.

**Applicant Eligibility:**

Anyone/General public.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. No State plan is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard 424A, Budget Information for Non-Construction Programs, and a written proposal should be submitted through [Grants.gov](http://Grants.gov) or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Projects are approved through the Bureau budget cycle that normally requires at least one year to receive funding. Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be able for each project at the time of funding opportunity announcement is posted on [www.grant.gov](http://www.grant.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

None. Final award decisions are not subject to appeal. The Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The program has no statutory matching

requirements, however, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, some projects are awarded for one to five year period and funded on a year basis. Funds are normally expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will be extended, grantees must submit a final Program Performance Report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,166,000; FY 11 est \$500,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

Past partnerships have been between \$4,500 to \$244,000. Average amounts are \$44,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Developing partnerships to include the funding for continued support of collaborative efforts to build community capacity, increase youth employment opportunities, and support for the management, protection and development of public lands. The public and BLM benefit from its support with partners in heightening public understanding of the social and economic, as well as environmental, aspects of ecosystem restoration and maintenance. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program information is included in the Bureau of Land Management Manuals, available at <http://www.blm.gov>. These documents may also be obtained by contacting the Bureau of Land Management Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Corey Grant Bureau of Land Management (WO 850), 1849 C Street, NW, Room 2134LM, Washington, District of Columbia 20240 Phone: (202) 912-7040

**Website Address:**

<http://www.blm.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Assistance for State and local governments, Indian Tribal governments, public and private colleges and universities, public land corps and nonprofit organizations, as directed in the annual appropriations. Support of Historical Black Colleges and Universities and Hispanic Association of Colleges and Universities in support of students interested in pursuing careers in the natural resource area. Supporting the energy pilot offices in Wyoming and Montana, and updating and developing the Geographic Coordinate Data Base to develop the most dependable coordinates available for the US Public Land Survey System corners. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on the applicant's direct relationship to the management, protection and development of federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.240 HELIUM RESOURCE MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Helium Privatization Act of 1996, 50 U.S.C 167, Public Law 104-273.

**OBJECTIVES:**

To meet the requirements of the Helium Privatization Act of 1996, Section 8, a crude helium enrichment unit was designed, constructed, and is now operated to ensure that the U.S. Government can upgrade and deliver crude helium from an underground storage field, by upgrading the gas to pipeline quality, compressing the gas and transmitting via the governments conservation pipeline which supplies helium to private helium plants located along the governments pipeline. Private plants refine the helium, supply private industry, government agencies and research projects. To pay back the helium debt, the cost that was incurred by purchasing the helium, and to ensure that the U.S. Government can redeliver crude helium into the conservation pipeline system in order to meet private and Government customer needs, as defined in the Helium Privatization Act.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Projects are limited to entities that have a direct involvement with the implementation of the Helium Privatization Act and projects related to the elimination of the Helium Debt. For more specific information contact the regional or headquarters office.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Coordinate cooperative project proposals with the Bureau of Land Management, New Mexico State Office for more information and requirements. No State plan is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through [Grants.gov](http://Grants.gov) or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding

opportunity announcement.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management, New Mexico State Office. Final approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Awards are anticipated within 90 days or less after the announcement closes. Further information will be available for the project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

None. Final award decisions are not subject to appeal. The Bureau of Land Management will provide all unsuccessful applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The program has no matching requirement, however, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are awarded for a one to five year period and funded on a year-by-year basis. Continuing funding will be re-evaluated each year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at the time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, the grantee must submit a final Program Performance Report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4053-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 10 \$7,056,000; FY 11 est \$6,720,000; and FY 12 est \$6,720,000

**Range and Average of Financial Assistance:**

Past partnership projects range between \$6,000,000 and \$7,000,000. Average amount is \$6,500,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Through a partnership the Bureau of Land Management,

Helium Operation, now delivers crude helium from an underground storage field, by upgrading the gas to pipeline quality, compressing the gas and transmitting through the governments conservation pipeline which supplies helium to private helium plants located along the government's pipeline. Private plants refine the helium, and supply private industry, government agencies and research projects. The helium sold is used to pay back the helium debt to ensure that the U.S. Government can redeliver crude helium into the conservation pipeline. Total Natural Gas Sales for FY 2010 were \$15,576,373. The Helium Plant experienced only 20 days of outage (both controlled and uncontrolled) for the entire year. In FY 2010, the Helium Debt has been reduced by \$145,000,000. The projected Natural Gas Sales for FY 2011 are estimated at \$15,000,000. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information can be found at the website listed below.

**Regional or Local Office:**

See Regional Agency Offices. Chief, Division of Minerals, Bureau of Land Management, New Mexico State Office, Division of Minerals, 301 Dinosaur Trail, Sante Fe, NM 87508  
Phone: (505) 670-2135.

**Headquarters Office:**

Tim Spisak Bureau of Land Management, (WO-300), 1848 C Street, NW, MIB 5625, Washington, District of Columbia 20240 Phone: (202) 208-4201

**Website Address:**

[http://www.blm.gov/nm/st/en/fo/Amarillo\\_Field\\_Office.html](http://www.blm.gov/nm/st/en/fo/Amarillo_Field_Office.html) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Due to the construction of a compressor station and the Crude Helium Enrichment Unit with Partners that upgrades and delivers crude helium from an underground storage field, by upgrading the gas to pipeline quality, compressing the gas and transmitting via the governments conservation pipeline which supplies helium to private helium plants located along the governments pipeline. Private plans refine the helium and supply private industry, government agencies and research projects. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to helium projects and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.241 INDIAN SELF-DETERMINATION ACT CONTRACTS, GRANTS AND COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistant Act, Public Law 93-638, 25 U.S.C 450.

**OBJECTIVES:**

To provide maximum Indian participation in the government and education of the Indian people; to provide the full participation of the Indian tribes in programs and services conducted by the Bureau of Land Management for Indians and to encourage the development of human resources of the Indian people; and to establish program assistance to upgrade Indian education that will support the right of Indian citizens and for other purposes.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Training; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Contracts, grants and cooperative agreements are authorized for non-construction projects in the 17 western states and Alaska for programs and services conducted by the Bureau of Land Management for the benefit of Indian tribes. Programs available to Tribes because they deliver services to Indians in their protected status are: cadastral survey and minerals management. Other

programs, services, functions and activities administered by the Bureau of Land Management which are of specific geographic, historical, or cultural significance to the Indian Tribes are: cultural heritage, forestry management, range management, riparian management, recreation management, and wildlife and fisheries management. Certain restrictions will be applicable based on the specific statutory authority that authorizes the construction activities which are primarily for the benefit of Indians because of their status as Indians. For more specific information contact the headquarters office.

**Applicant Eligibility:**

Federally recognized Indian tribal governments.

**Beneficiary Eligibility:**

Federally recognized Indian tribal governments and American Indians.

**Credentials/Documentation:**

The application for a contract, grant or cooperative agreement must contain an authorizing resolution of the governing body of the Indian tribe. Each contract, grant or cooperative agreement requires project specific authority. Detailed written technical proposals including background data regarding the applicant's, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timeliness, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation. Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contribution of goods and services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial proposals must contain the information specified in 25 CFR Part 900.8. Proposals shall be submitted to the applicable Bureau of Land Management State Office with responsibility for the specific project for which an Indian tribe or tribal organization proposes to participate. Bureau of Land Management personnel will provide technical assistance to tribes in the development of their proposals as requested, pending availability of appropriations.

**Award Procedure:**

The Bureau of Land Management and the tribe develop a negotiation schedule and then negotiate the overarching contract/award terms, provisions and conditions based on the requirements of Public Law 93-638, 25 CFR Part 900, any specific requirements of the project authorizing legislation, and other applicable Federal laws and regulations. The Bureau of Land Management and the tribe also negotiate an annual funding agreement, which identifies activities to be performed, funds to be provided, and the method of payment for the initial year of the PL 93-638 contract. A final agreement is prepared based upon the outcome of the negotiations; attachments include the work plan, budget, tribal resolution, initial annual funding agreement, property list, list of any applicable provisions, terms and conditions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As specified within 25 CFR Part 900.

**Renewals:**

Will vary with project and/or award.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of programs will vary. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

The reporting of financial status reports and progress reports requirements will be negotiated within the annual funding agreement or overarching terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Indian tribal governments and organizations shall maintain project records in accordance with 43 CFR 12.82.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$4,667,000; FY 11 est \$3,000,000; and FY 12 est \$2,700,000

**Range and Average of Financial Assistance:**

Past partnership projects range between \$3,800 to \$921,000. Average amount is \$203,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Indian tribes and Bureau of Land Management have worked together to authorize tribes to take over the administration and program for oil and gas inspections on tribal lands in Montana. Alaska Native villages and regional or village corporations are conducting cadastral land surveys of their tribal lands. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Indian Self-Determination and Education Assistance Act, 25 USC 450, as amended, Public Law 93-638, and 25 CFR Part 900.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Native American Coordinator Bureau of Land Management, 1849 C Street, NW, Room 2134LM, Washington, District of Columbia 20240 Phone: (202) 912-7245

**Website Address:**

<http://www.blm.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Past project funded were for mineral management of tribal lands in Montana where two tribes are conducting the inspection and enforcement of Indian oil and gas operations, inspection, enforcement and production of Indian operations. In addition, many cadastral surveys are being conducted by the tribes on tribal and allottee lands in Alaska. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Review and approval of contract proposals is in accordance with 25 CFR Part 900, Subpart D - Review and Approval of Contract Proposals.

**15.242 NATIONAL FIRE PLAN - RURAL FIRE ASSISTANCE**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

The Consolidated Appropriations Act of 2010, Division A, Department of the Interior, Environment and Related Agencies Appropriations Act of 2010, Department-Wide Programs, Wildland Fire Management, Public Law 111-88. This program was first implemented in the Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291.

**OBJECTIVES:**

To implement the National Fire Plan by increasing firefighter safety and enhancing the knowledge and fire protection capability of rural fire departments by providing assistance in education and training, protective clothing and equipment purchase, and support to public education efforts on a cost share basis.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Emphasis is placed on fire departments that protect rural communities and play a substantial cooperative role in the protection of the Department of the Interior managed public lands. Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Applicant Eligibility:**

State and local government, Public nonprofit institution/organizations, Other public institution/organization, Federally Recognized Indian Tribal Government, Private nonprofit institution/organization, Native American Organization, and rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface. All applicants must be rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface.

**Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Other Public Institution/Organization, Federally Recognized Indian Tribal Government, Small Business, Profit Organization, Private Organization, Anyone/General Public, Native American Organization, Farmer/Rancher/Agriculture Producer, Homeowner, Land/Property Owner, Suburban, and Rural.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Coordinate applications with the local BLM State or District Office, Bureau of Indian Affairs Regional Office, Fish and Wildlife Service Regional Office, or a National Park Service Regional Office or National Park Service unit. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Rural Fire Assistance is coordinated through each State Forester and the Bureau/Service State or Regional Office, or National Park unit. Procedures may be found on the National Fire Plan website at: <http://www.fireplan.gov>. No specific application forms apply, except for grants awarded, the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", must be used by this program.

**Award Procedure:**

To ensure consistency within existing rural fire assistance programs, the Department of the Interior bureaus work with the State Foresters and other Federal partners to ensure that funding is allocated in the amount of the award to qualified and suitable rural fire districts. The following criteria applies for a fire department to participate in the program: Statewide agreement with the State Forester, who maintains cooperative fire agreements with the rural fire department/volunteer fire department, or a cooperative fire agreement with an Interior Bureau; rural fire department serving a community with a population of 10,000 or less in the wildland/urban interface; and the funding request is limited to training, equipment, and prevention activities. The rural fire department must have the capability to meet cost share at a minimum of 10% which may include in-kind services.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Rural fire assistance projects are approved by the Bureau/Service/Park Unit in coordination with the State Forester and other Federal partners. Normally all grant requests are received and awards made during the same fiscal year.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Rural fire departments must have the capability to meet cost share at a minimum of 10 percent, which may include in kind services.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most projects are funded on a single year basis and funds are expended during the fiscal year of the award. See the following for information on how assistance is awarded/released: For more specific information please contact headquarters office.

**Reports:**

Unless otherwise stated in the award document, the recipients (grantees) are required to submit quarterly, semi-annual or annual performance reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, the grantees must submit a final performance report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, the recipients (grantees) are required to submit quarterly financial status reports using Standard Form 425, Federal Financial Report 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, the grantees must submit a final financial status report 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the recipient. There is no fixed records schedule. Records for grants awarded to State, Local and Indian Tribal Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F,

"Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1125-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$6,274,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$850 to \$762,700. Average amount is \$27,650 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: An average of 1,200 Rural Fire Departments are provided assistance each year for technical assistance, training, supplies, equipment and public education support. This program enhances the knowledge and fire protection capability of rural fire districts by providing assistance in education and training. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department of the Interior's rural fire assistance program is guided by the provisions of the National Fire Plan. A variety of public information on this plan is available by contacting the appropriate Bureau/Service Office or the National Fire Plan's web site at: <http://www.fireplan.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional/State/Local Office: See Catalog Appendix IV for addresses.

**Headquarters Office:**

Director Division of Fire Planning and Fuels Management (FA-600), National Interagency Fire Center, 3833 S. Development Ave., , Boise, Idaho 83705  
Phone: (208) 387-5186

**Website Address:**

<http://www.nifc.gov/rfa/index.html>

**RELATED PROGRAMS:**

15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Wildland fire assistance to rural fire departments through technical assistance, training, supplies, equipment and public education support. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for ranking eligible Rural Fire Departments, relative to other applicants, for funding allocation are: The fire department's frequency of responses to wildland/urban fire incidents in the local area; the fire department's wildland prevention and education program needs; the fire department's training program needs; the communities and Department of the Interior's values to be protected; the percentage of wildland/urban lands; and the number of wildland fire engines in the department relative to the percentage of wildland/urban interface acres protected.

**15.250 REGULATION OF SURFACE COAL MINING AND SURFACE EFFECTS OF UNDERGROUND COAL MINING**

**FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:**

To assist the States in administering approved regulatory programs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants for permanent program development are available to fund staff and related costs in connection with preparing State legislative proposals; preparing State regulations; preparing permanent program applications to the Office of Surface Mining Reclamation and Enforcement (OSM); and for other related purposes. Administration and enforcement grants are awarded to assist States that have received approval of permanent regulatory programs. Funded cooperative agreements provide for State regulation of coal mining activities on Federal lands. Technical assistance is available on any aspect of regulating surface impacts of coal mining.

**Applicant Eligibility:**

The State must have an approved program and a designated State agency to receive and administer grants.

**Beneficiary Eligibility:**

State agencies responsible for regulation, reclamation and enforcement of provisions protecting the environment from negative effects of coal mining operations.

**Credentials/Documentation:**

The Governor of a State designates an agency to act as recipient of the grant or funded cooperative agreement. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application SF 424 Application for Federal Assistance forms required by 2 CFR Part 215.12 and 43 CFR Part 12, Subpart F, or its revisions, must be used. State regulatory grant applications are required to submit applications to their appropriate Regional Office. Applications maybe submitted through [www.Grants.gov](http://www.Grants.gov) and the appropriate OSM Regional/Field Office. Please contact the appropriate Office of Surface Mining Reclamation and Enforcement Regional Office for assistance.

**Award Procedure:**

Review by appropriate OSM Regional staff within 60 days of receipt of application and approval by the OSM Regional Office is required. If the application is not approved, the Regional Office must set forth in writing the reasons for disapproval and may propose modifications if appropriate. The application may submit the revised application or appropriate revised portions of the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

60 days.

**Appeals:**

An applicant may appeal OSM's decision not to approve a grant or to reduce or terminate a grant to the Director, OSM, no later than 30 days after the Regional or Field Office official's decision.

**Renewals:**

Renewal of annual applications required for grants.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Permanent program development grants and administration and enforcement grants are limited to 80 percent of costs in the first year, 60 percent in the second, and 50 percent thereafter.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

All administration and enforcement grants are for a one year period and are



annually renewable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual reports as specified by the agency are required. SF 425 Federal Financial Report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Account Identification:**

14-1801-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$68,463,200; FY 11 est \$60,323,518; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Range is \$74,953 to \$13,337,359; Average \$2,852,883.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Twenty-four coal producing States have approved programs and are receiving administration and enforcement grants. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register, Volume 42, No. 62706, Tuesday, December 13, 1977 and Volume 47, No. 169, Tuesday, August 31, 1982, Volume 48, No. 12, Tuesday, January 18, 1983; and informal agency guidelines titled "Federal Assistance Manual."

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV.

**Headquarters Office:**

Chief, Division of Reclamation Support Office of Surface Mining Reclamation and Enforcement, Department of the Interior, 1951 Constitution Ave., N.W. , Washington, District of Columbia 20240 Phone: (202) 208-2868 Fax: (202) 219-0239.

**Website Address:**

<http://www.osmre.gov>.

**RELATED PROGRAMS:**

15.252 Abandoned Mine Land Reclamation (AMLR) Program; 15.253 Not-for-Profit AMD Reclamation; 15.254 Summer Watershed Intern; 15.255 Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Governor-designated State agencies in coal producing States receive annual grants to assist in administering and enforcing the States' approved regulatory programs as provided by the Surface Mining Control and Reclamation Act of 1977. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Designated agencies that choose to comply with the Surface Mining Reclamation and Enforcement Provisions, Parts 725, 735, and 795 (Federal Register, Vol. 423, No. 239, Tuesday, December 13, 1977, Vol. 47, No. 169, August 31, 1982 and Vol. 48, No. 12, January 18, 1983), are eligible for awards. Criteria for amounts awarded are the State's need relative to other eligible States.

**15.252 ABANDONED MINE LAND RECLAMATION (AMLR) PROGRAM**

**FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:**

To protect the public, health, safety and general welfare, and restore land, water and environmental resources affected by coal and noncoal mining practices that occurred prior to August 3, 1977.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants support the operation of an approved State or Tribal Abandoned Mine Land (AML) reclamation program. Approved programs use grant funds for mine site reclamation projects on eligible lands, which are lands and waters mined or affected by coal mining processes that occurred prior to August 3, 1977 (as well as certain post-1977 and noncoal mining activities). Grants also support project administration. Grants may also include funding for AML-related activities including: abating emergency mining-related dangers to public health and safety; restoring water supply facilities impacted by coal mining; setting aside funds in a trust account to fund future acid mine drainage treatment; and developing a self-sustaining State subsidence insurance program. Approved programs which have completed coal mine reclamation in their state or on lands within their jurisdiction may use funds for other activities as authorized in SMCRA. Please contact the headquarters office more information.

**Applicant Eligibility:**

The program is restricted to States with (1) an approved coal mining regulatory program, (2) lands eligible for reclamation, and (3) active coal mining operations within their borders that are paying coal reclamation fees into the Abandoned Mine Reclamation Fund; and to federally-recognized Indian Tribes with (1) eligible lands, and (2) active mining operations paying fees into the Fund. An eligible State or Tribe may submit a State reclamation plan to the Office of Surface Mining for approval.

**Beneficiary Eligibility:**

Coal field citizens and the general public benefit from reduced exposure to safety and health risks from abandoned mine lands.

**Credentials/Documentation:**

A State or Tribal Indian reclamation plan must be approved by the Assistant Secretary for Land and Minerals Management. AML grants to approved projects must be approved by an authorized official of the appropriate OSM Regional or Field Office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application SF 424 and forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," may be used for the annual AML grant application. The forms may be obtained and the application is to be submitted through [www.Grants.gov](http://www.Grants.gov). Grant applications may also be submitted to the applicable OSM Regional/Field Office. Please contact the appropriate OSM Regional Office for assistance.

**Award Procedure:**

The Regional/Field Office should act upon a grant application within 60 days of submittal of a complete application. If the application is not approved, the Regional/Field Office must set forth in writing the reasons for disapproval and may propose modifications if appropriate. The applicant may submit the revised application or appropriate revised portions of the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Normally 60 days.

**Appeals:**

An applicant may appeal the OSM's decision not to approve a grant or to reduce or terminate a grant to the Director, OSM no later than 30 days after the Regional or Field Office official made the decision.

**Renewals:**

New grants may be awarded annually upon satisfactory performance by the State/Tribal AML Program.

**Formula and Matching Requirements:**

Statutory Formula: Title , Chapter , Part , Subpart , Public Law. Grants are 100 percent Federally funded. Grant funds are no-year funds made available from mandatory annual contributions from coal mining reclamation fees in the Abandoned Mine Reclamation Fund and from Treasury funds. The distribution formula is based on annual reclamation fee collections and historical coal production.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant periods are variable; however, funds for reclamation construction activities should be normally expended three years after award. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annual performance report is required. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Account Identification:**

14-5015-0-2-302.

**Obligations:**

(Project Grants) FY 10 \$369,085,986; FY 11 est \$413,200,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Range is \$242,357 to \$117,352,070; Average \$13,181,642.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 25 States and three Indian tribes have approved reclamation programs. Since 1978, over 230,000 acres of mined land with safety, health and environmental problems have been reclaimed. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

30 Code of Federal Regulations, Parts 870-887. Final Guidelines for Reclamation Programs and Projects, Federal Register, 66 Federal Register,

31250-31258, June 11, 2001.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Chief, Department of the Interior, Office of Surface Mining, Division of Reclamation Support, 1951 Constitution Avenue, NW, Washington, District of Columbia 20240 Phone: (202) 208-2868 Fax: (202) 219-0239

**Website Address:**

<http://www.osmre.gov>

**RELATED PROGRAMS:**

15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: State and Tribal AML programs reclaim hazardous or environmentally damaged features on mined lands, including landslides, mine openings, impoundments, highwalls, underground mine fires and burning refuse banks, mine subsidence, coal refuse piles, and acid mine drainage. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Section 403 of Public Law 95-87, cited Abandoned Mine Land Reclamation Program regulations, and approved State/Tribal Reclamation plans.

**15.253 NOT-FOR-PROFIT AMD RECLAMATION**

**FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:**

To fund local 501(c)(3) status organizations and groups that undertake local acid mine drainage (AMD) reclamation projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To assist local organizations, especially watershed groups, to begin actual construction projects to clean streams impacted by AMD. Lands and water eligible for reclamation or drainage abatement expenditures under Section 404 of Public Law 95-87 are those which were mined for coal or which were affected by such mining, wastebanks, coal processing, or other coal mining processes, except as provided for under Section 411 of Public Law 95-87, prior to August 3, 1977, and for which there is no continuing reclamation responsibility under State or other Federal laws. For other provisions relating to lands and waters eligible for such expenditures, see Section 402(g)(4), Section 403(b)(1), and Section 409 of Public Law 95-87. Surface coal mining operations on lands eligible for reclamation shall not affect the eligibility of such lands for reclamation and restoration under this title after the release of the bond or deposit for any such operation as provided under Section 509. In the event the bond or deposit for a surface coal mining operation on lands eligible for reclamation is forfeited, funds available under this title may be used if the amount of such bond or deposit is not sufficient to provide for adequate reclamation or abatement, except that if conditions warrant, the secretary shall immediately exercise his authority under Section 410.

**Applicant Eligibility:**

Primary recipients must be not-for-profit IRS 501(c)(3) status, established organizations. Federal, State, local governments, colleges, and universities are not eligible to receive funding directly.

**Beneficiary Eligibility:**

Communities impacted by streams polluted by acid mine drainage will benefit from this program.

**Credentials/Documentation:**

Proof of not-for-profit IRS 501(c)(3) status is required of nonprofit

organizations and institutions. A State certification of project eligibility is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application SF-424 Application for Federal Assistance and forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," or its revisions must be used for this program. Please contact the appropriate Office of Surface Mining Reclamation and Enforcement (OSM) Regional Office for details listed in the Catalog Address Appendix IV.

**Award Procedure:**

Review by appropriate OSM Regional staff and approval by the Regional Office is required.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be accepted until all available funds have been awarded.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula. Partners are encouraged to make monetary contributions or provide in-kind services. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The cooperative agreements have a performance period of two years. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Programmatic reports are required semi-annually. A final report is required. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required semi-annually. A final report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations".

**Account Identification:**

14-5015-0-2-999.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,400,000; FY 11 est \$1,400,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Range is \$17,000 to \$100,000; Average \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Restore polluted streams affected by acid mine drainage to a safe level for drinking and recreational activities. The total projected cost (including all funding and in-kind sources) for the nine new projects funded in FY 2009 totaled \$3,253,354. Of the total project cost, OSM's funding level was approximately 25%. It is anticipated that 14 applications will be received and approved at an award of \$100,000 per application for each fiscal year (FY 2010 and FY 2011). Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surface Mining Control and Reclamation Act of 1977, Section 404, Public Law 95-87, as amended.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV.

**Headquarters Office:**

Chief, Division of Reclamation Support, Department of the Interior, Office of Surface Mining Reclamation and Enforcement, 1951 Constitution Ave., NW, Washington, District of Columbia 20240 Phone: (202) 208-2868 Fax: (202) 219-0239.

**Website Address:**

<http://www.osmre.gov>

**RELATED PROGRAMS:**

15.252 Abandoned Mine Land Reclamation (AMLR) Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In 2009, the Office of Surface Mining (OSM) awarded a grant from its Watershed Cooperative Agreement Program (WCAP) to Trout Unlimited, a nonprofit IRS 501(c)(3) organization. The award was \$17,000. Funding from Pennsylvania's Growing Greener program was also committed to the project (\$148,528). Therefore, the total project cost is \$165,528. The project location is in Clinton County, Pennsylvania, in the South Fork of the Tangascootack River watershed. Trout Unlimited is proposing to rehabilitate and expand AMD treatment facility known as Site #1. The South Fork is a high priority watershed for the Pennsylvania Department of Environmental Protection (PADEP) and there are two other AMD passive treatment systems in the watershed). The South Fork (impaired) joins the North Fork (high quality trout fishery), and the Tangascootack flows into the West Branch of the Susquehanna River. The West Branch is undergoing major AMD cleanup effort by PADEP. The Site #1 acid mine discharge flows at an average of 56 gallons per minute, with a PH of 3.3 and a dissolved aluminum level of 25 mg/l. The existing passive treatment system is underperforming, and will be rehabilitated and enhanced using new technologies. Completion of the project will help restore the aquatic habitat and fishery of the South Fork. The project goal is to improve stream conditions to enable the reintroduction of a native Brook Trout population. The Clinton County Conservation District will help operate and maintain the completed system. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Section 404 of Public Law 95-87, State certification of eligibility is required. No opposition to the project from the State Abandoned Mine Land (AML) agency. All applicable Federal and State clearances and permits must be secured. The project should propose to use proven or innovative technology that has a high probability of success and produce tangible results, e.g., fishery restored, stream miles improved, educational and community benefits, pollutants removed from the streams. Funds must be used for the construction phase of a project and there must be demonstrated public support for the project. Also, there must be a plan to address any ongoing operation/maintenance considerations.

**15.254 SUMMER INTERN AND YEAR-LONG OSM/VISTA**

## **WATERSHED SUPPORT**

### **FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

### **AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977; Public Law 95-87; 91 Stat. 445-532.

### **OBJECTIVES:**

To work with volunteer watershed groups in the Appalachian Coal Country to build local capacity, monitor water quality, enhance outreach initiatives and education, to engage economic redevelopment and professional development, to develop school criteria, and build stronger partnerships with agencies and industry.

### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

### **USES AND USE RESTRICTIONS:**

To support and innovative partnership working directly for watershed groups concerned with poverty, environmental reclamation and safety, and community watershed groups.

### **Applicant Eligibility:**

All interns accepted to participate in the OSM Watershed Intern Program must be interested in and able to work in support of a public or private nonprofit institution/organization. Applicants are required to have completed at least two years of undergraduate studies or the equivalent.

OSM/AmeriCorps\* VISTA requires qualified watershed groups to be nonprofit organizations or be sponsored by a nonprofit. Established watershed organizations in the following states are currently participating: Alabama, Colorado, Illinois, Iowa, Kentucky, Maryland, Montana, New Mexico, Ohio, Oklahoma, Pennsylvania, Tennessee, Virginia, and West Virginia.

### **Beneficiary Eligibility:**

Watershed organizations in communities impacted by streams polluted by acid mine drainage will benefit from this program.

### **Credentials/Documentation:**

Proof of not-for-profit, IRS 501(c)(3), status is required of nonprofit watershed organizations. Proof of student status or the completion of two years of college is required of all intern applicants. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used. Guidelines and application procedures can be obtained from the OSM Website, [www.osmre.gov](http://www.osmre.gov). Paper copy of guidelines and application procedures can be obtained from the OSM Headquarters.

### **Award Procedure:**

OSM has Cooperative Agreements with two non-profit sponsors of two OSM/VISTA teams. Team support offices handle OSM intern and OSM/VISTA applications from sites and individuals, screen and rank applications, and oversee the administration of both programs.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Not Applicable.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: This program has no statutory formula. Partners are encouraged to make monetary contributions or provide in-kind services.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

The intern program is a full-time position for 10 weeks. Each OSM/VISTA position is awarded for a three year full-time period. Each OSM/VISTA volunteer must make, at least, a one year commitment. See the following for information on how assistance is awarded/released: Information not available.

### **Reports:**

Quarterly and a final programmatic report is required. Cash reports are not applicable. Progress reports are not applicable. Quarterly and a final financial report using the Federal Financial Report SF 425 is required. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

### **Account Identification:**

14-5015-0-2-999.

### **Obligations:**

(Direct Payments for Specified Use) FY 10 \$50,000; FY 11 est \$0; and FY 12 Estimate Not Available

### **Range and Average of Financial Assistance:**

Each internship includes a \$2,000 stipend for 10 weeks of full-time work by an intern and an AmeriCorps Education Award of \$1000. OSM/VISTA Living Stipend and other benefits are set by VISTA.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In the past year, the WHWT:

1. Formed 77 new partnerships among community groups, both state and federal agencies, and local businesses; spreading commitment, adding new sources of support and enabling an expanded agenda for community improvement.
2. Secured \$55,630 in cash resources to our communities.
3. Logged 1,546 volunteer service hours from local citizens to monitor polluted water, plant trees on abandoned mine land sites, work with local schools and much more. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Surface Mining Control and Reclamation Act of 1977, Section 404, Public Law 95-87.

### **Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

### **Headquarters Office:**

Director, Department of the Interior, Office of Surface Mining Reclamation and Enforcement, 1951 Constitution Avenue, NW, Washington, District of Columbia 20240 Phone: (202) 208-2585.

### **Website Address:**

<http://www.osmre.gov>

### **RELATED PROGRAMS:**

15.253 Not-for-Profit AMD Reclamation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: While OSM does not directly fund "projects" the funding provided supports non-profit, voluntary, community watershed associations whose projects engage their communities in identifying AMD problems as well as potential solutions and address related watershed/community projects. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each proposed watershed project must clearly enhance the sustainability of the watershed organization and must contribute directly to the remediation of acid mine drainage. Candidates must be able to organize their work, work well with community groups and on their own, have an understanding of acid mine drainage remediation and the national Clean Streams program, and write well.

**15.255 APPLIED SCIENCE PROGRAM COOPERATIVE AGREEMENTS RELATED TO COAL MINING AND RECLAMATION FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977 (SMCRA), Public Law 95-87; Public Law 95-224.

**OBJECTIVES:**

The technical studies program supports two efforts: (1) to develop and demonstrate improved technologies to address public safety and environmental issues related to the mining of coal and reclamation of the lands affected after mining (applied science projects); and (2) to encourage efforts to collect, preserve and convert into digital format, maps of underground mines that provide valuable information regarding protection of the public and miner safety, mine pool evaluation, and mine subsidence investigation for previously mined areas (underground mine map projects).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Projects must focus on issues related to mining in the United States and its territories. Funding will be limited to projects that can be completed without additional funding from the Office of Surface Mining (OSM) beyond those funds awarded in the current fiscal year. Applicants may request funding not to exceed the amount established each year prior to the solicitation for proposals. OSM encourages cost sharing through an advantaged score in the rating process, but cost-share is not required for the applicant to supply a proposal.

**Applicant Eligibility:**

Applied Science Projects: Recipients may be any public, private, nonprofit, state, local or Tribal governments, colleges, and universities located in the United States. Underground Mine Map Projects: Recipients may be any State, Indian Tribal agency, or U.S. territory. Additionally, underground mining must have occurred within their boundaries.

**Beneficiary Eligibility:**

Communities impacted by coal mining and reclamation of the land after mining.

**Credentials/Documentation:**

Applied Science and Underground Mine Map Projects: All proposals must include a letter of endorsement, (on official letterhead) from an appropriately authorized management official representing a State, Indian, or Federal Title IV or V Surface Mining Control and Reclamation Act (SMCRA) Mining Regulatory or Abandoned Mine Land Reclamation Authority. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application SF-424 and forms furnished

by the Federal agency and required by 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," or its revisions must be used for this program. Please contact the appropriate Office of Surface Mining Reclamation and Enforcement (OSM) Regional Office for details listed in the Catalog Address Appendix IV.

**Award Procedure:**

The OSM Director or his/her designee approves and awards all cooperative agreements for this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Estimated from 120 to 150 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: This program has no statutory formula or mandatory matching requirements. However, OSM recommends that applicants participate in the support of the project in the following manner: Applied Science Projects: OSM recommends a minimum cost share of 25 percent with the applicant providing some portion of this percentage. The remainder may come from academia, industry, or other non-federal sources. Underground Mine Map Projects: OSM encourages cost sharing through an advantaged score in the rating process, but cost-share is not required for the applicant to supply a proposal. Recommended cost share percentages can comprise contributions from any of the following: applicant, academia, industry, or other nonfederal sources.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The cooperative agreements have a performance period of up to two years. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Programmatic reports are required. Cash reports are not applicable. Progress reports are not applicable. The SF-425 and SF 425A, Federal Financial Report interim and final is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subparts C and F.

**Account Identification:**

14-5015-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,400,000; FY 11 est \$1,400,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Applied Science Projects: Range \$93,414 to \$200,000; Average \$171,535; Mine Map Projects: Range \$19,990 to \$50,000; Average \$28,832.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: OSM anticipates that Applied Science Projects will result in improved technologies to address environmental issues related to the mining of

coal and reclamation of the land after mining, and for regulatory processes that ensure compliance with the Surface Mining Control and Reclamation Act. OSM also anticipates that Mine Map Projects will result in increased protection of the public and miner safety, environmental quality and property from adverse effects of underground mines through the cooperative efforts between OSM and various state agencies and through increased preservation and public access to mine map resources. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87; as amended; and informal agency guidelines titled "Federal Assistance Manual."

#### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

#### **Headquarters Office:**

Chief, Division of Reclamation Support Office of Surface Mining Reclamation and Enforcement, Department of the Interior, 1951 Constitution Ave., N.W., Washington, District of Columbia 20240 Phone: (202) 208-2868 Fax: (202) 219-0239.

#### **Website Address:**

<http://www.mcrc.osmre.gov/>

#### **RELATED PROGRAMS:**

15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining; 15.252 Abandoned Mine Land Reclamation (AMLR) Program; 15.253 Not-for-Profit AMD Reclamation

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Investigation of Advanced Electronic Detonator Application in Surface Coal Mine Blasting Improving Passive Mine Drainage Treatment for Manganese Removal. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applied Science Projects funding criteria include: the level of external financial support (cost sharing), the potential for technology transfer, technical merit, the value of proposal to SMCRA programs, utilization of high priority topics for the current fiscal year, and if the proposal is from a Minority Higher Education Program (MHEP).

The criteria for Underground Mine Map Projects include: overall proposal quality, innovation, and viability, proposal utilization of a special interest topic, and the level of external financial support (cost sharing).

### **15.407 KEWEENAW NATIONAL HISTORICAL PARK (NHP) AND KEWEENAW NHP ADVISORY COMMISSION PARTNER ENHANCEMENT GRANTS**

Keweenaw Heritage Grants

#### **FEDERAL AGENCY:**

National Park Service, Department of the Interior

#### **AUTHORIZATION:**

National Historic Preservation Act of 1966, 16 U.S.C 410, 461, 470; Keweenaw NHPs Enabling Legislation

16 U.S.C. 410yy Specifically:

- 410yy-6 Cooperative Agreements: The Secretary, after consultation with the Commission, may enter into cooperative agreements with owners of property within the park of nationally significant historic or other cultural resources in order to provide for interpretive exhibits or programs.

- 410yy-7(a) Financial and Technical Assistance: The Secretary may provide to any owner of property within the park containing nationally significant historic or cultural resources, in accordance with cooperative agreements or grant agreements, as appropriate, such financial and technical assistance to mark, interpret, and restore non-Federal properties within the park as the Secretary determines appropriate to carry out the purposes of this subchapter.

- 410yy-8(a)(7) Keweenaw NHP Advisory Commission Establishment and Duties: The Commission shall be authorized to carry out historical, educational, or cultural programs which encourage or enhance appreciation of

the historic resources in the park, surrounding areas, and on the Keweenaw Peninsula.

#### **OBJECTIVES:**

To provide funds to enhance partner projects that will mark, interpret, or restore non-Federal properties.

#### **TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Project Grants (Discretionary)

#### **USES AND USE RESTRICTIONS:**

NPS Grants: Funding is to be used by owners of properties containing nationally significant historic or cultural resources to mark, interpret, and restore non-Federal properties within the park. The National Park Service shall have right of access at reasonable times to public portions of the property related to the enhancement funds for the purpose of conducting visitors through such property and interpreting them to the public. No changes or alterations shall be made in such properties except by mutual agreement between the

NPS and the other parties to the grant agreement(s). The availability of discretionary funding is determined by Keweenaw NHP each fiscal year. Keweenaw NHP Advisory Commission Grants: Funding is to be used by owners or operators of properties containing local, state, or nationally significant historic or cultural resources to mark, interpret, and restore properties on the Keweenaw Peninsula. The availability of discretionary funding is determined by Keweenaw NHP Advisory Commission each fiscal year. For further information please contact the regional office.

#### **Applicant Eligibility:**

For NPS Grants: Owners of properties within the legislated boundaries of Keweenaw National Historical Park containing nationally significant historic or cultural resources.

For Keweenaw NHP Advisory Commission Grants: Owners or operators of property containing local, state, or nationally significant historic or cultural resources on the Keweenaw Peninsula, specifically within Houghton, Keweenaw, or Ontonagon counties, or north of M-38 in Baraga County .

#### **Beneficiary Eligibility:**

Owners of properties within the legislated boundaries of Keweenaw National Historical Park containing nationally significant historic or cultural resources including state and local governments; public and private nonprofit organizations; and individual, partnership, and corporate private property owners. For Keweenaw NHP Advisory Commission Grants: Owners or operators of properties on the Keweenaw Peninsula within Houghton, Keweenaw, or Ontonagon counties, or north of M-38 in Baraga County containing nationally significant historic or cultural resources including state and local governments; public and private nonprofit organizations; and individual, partnership, and corporate private property owners.

#### **Credentials/Documentation:**

Documentation of ownership of the subject property is required of all applicants in the form of a registered deed or presentation of the most recent tax bill. All applicants other than individual property owners are required to cite laws or by-laws that authorize the organization to accept funds. For Keweenaw NHP Advisory Commission Grants: Proof of property/project/program location, if requested. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Applications will be accepted by mail or in person at the headquarters: Keweenaw NHP, ATTN: Grants Manager, 25970 Red Jacket Road, Calumet, MI 49913. Applications will be evaluated for eligibility, and then reviewed by a panel comprised of NPS staff, Advisory Commission members, and subject matter experts as appropriate to the specific grant offering. In the event that applications exceed the available grant funds, the panel will determine awards through a Choosing by Advantage (CBA) process, and may negotiate amendments in the terms as necessary to meet program requirements. For Keweenaw NHP Advisory Commission Grants: Applications will be accepted by mail or in person at park headquarters: Keweenaw NHP Advisory Commission, ATTN: Grants Manager, 25970 Red Jacket Road, Calumet, MI 49913. Applications will be evaluated for eligibility, and then reviewed by a panel comprised of NPS staff, Advisory Commission members, and subject matter experts as appropriate to the specific grant offering. In the event that

applications exceed the available grant funds, the panel will determine awards through a Choosing by Advantage (CBA) process, and may negotiate amendments in the terms as necessary to meet program requirements. Environmental compliance in accordance with the National Environmental Policy Act (NEPA) and Section 106 of the National Historic Preservation Act (NHPA) are required, and will be completed in collaboration with the NPS Interdisciplinary Team (IDT). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For NPS Grants: Eligible applicants will be required to submit a written proposal/application and an Application for Federal Assistance (SF-424) to: Keweenaw NHP, ATTN: Grants Manager, 25970 Red Jacket Road, Calumet, MI 49913, and will include a project title, property location of requested assistance, project objectives, and a budget proposal for the project reflecting federal and matching funds.

For Keweenaw NHP Advisory Commission Grants: Eligible applicants will be required to submit a written proposal/application and an Application for Federal Assistance (SF-424) to: Keweenaw NHP Advisory Commission, ATTN: Grants Manager, 25970 Red Jacket Road, Calumet, MI 49913, and will include a project title, property location of requested assistance, project objectives, and a budget proposal for the project reflecting federal and matching funds.

**Award Procedure:**

Application announcements will be posted utilizing the <http://www.grants.gov> website. Upon receipt of timely submissions, applications will be reviewed by a panel of reviewers. Notification of Awards will be provided to applicants by issuance of a Cooperative Agreement or Grant Agreement by the Agreements Technical Representative within the time specified on the announcement. Successful applicants must register on the Central Contractor Register (CCR) website at <http://www.ccr.gov> within 15 days of notice of award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, 30 - 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

No. Awards will be project-specific or for a specified time period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: For NPS Grants: The property owner/ organization must be able to provide a cash match in accordance with the prevailing legislation at the time of disbursement. Current legislative match requirements will be posted with specific grant opportunity. For Keweenaw NHP Advisory Commission Grants: The property owner or operator must be able to provide a one-to-one match, with up to 100% of the match being in-kind. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on a project-specific basis or within a specified time period. Most projects are completed within months, but may vary depending on complexity and other factors. See the following for information on how assistance is awarded/released: Method of awarding/releasing assistance: lump sum; for NPS grants, on a reimbursable basis.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects and activities are monitored for progress and compliance with mutually agreed upon scope of work. Specific projects or activities for which funds are awarded shall be tracked and reported by submittal of Standard Form 270, and an annual submittal of Standard Form 425 the Federal Financial Report as outlined in 2 CFR 215.52. Additionally, grant recipients will be required to submit yearly

narrative summary of accomplishments report to the National Park Service at Keweenaw NHP or the Keweenaw NHP Advisory Commission, as appropriate, at the end of each Fiscal Year until the project is completed and a final report is submitted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations." The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement or Grant Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submission for final request for reimbursement.

**Account Identification:**

14-1036-0-1-303.

**Obligations:**

(Advisory Services and Counseling) FY 10 \$50,000; FY 11 est \$100,000; and FY 12 est \$50,000 - Keweenaw NHP Advisory Commission. (Project Grants (Discretionary)) FY 10 \$50,000; FY 11 est \$50,000; and FY 12 est \$30,000 - Funds will be obligated within the fiscal year of the award. Nothing in the Agreements will be construed as binding the NPS or the Keweenaw NHP Advisory Commission to expend in any fiscal year any sum in excess of the appropriation made by Congress for purposes of the Agreements in that fiscal year.

**Range and Average of Financial Assistance:**

In FY 2011, there will be up to \$50,000 available for NPS financial assistance, and up to \$100,000 available for Keweenaw NHP Advisory Commission financial assistance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: NPS grants: awarded 11 of 14 proposals received; total requested: \$62,677, awarded \$50,000 for projects totaling \$172,899 in value. Keweenaw NHP Advisory Commission grants: awarded 13 of 19 proposals received; total requested: \$89,892; awarded \$50,000 for projects totaling \$246,876 in value. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further information on Keweenaw NHP grant programs is available at <http://www.nps.gov/kewe/grants> .

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Baker, 25970 Red Jacket Road, Calumet, Michigan 49913 Email: [thomas\\_m\\_baker@nps.gov](mailto:thomas_m_baker@nps.gov) Phone: (906) 483-3040.

**Website Address:**

<http://www.nps.gov/kewe/grants> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Fade rehabilitation of a historic district commercial building; window replacement projects for a commercial building and a historic church; replacement of roof on commercial historic building; festivals that foster preservation of ethnic heritage; museum interpretive displays; digitization of oral histories; historic cemetery landscape preservation; archaeological

survey and interpretive program; preservation of historic surfboat; summer history internship program. Fiscal Year 2011: No current data. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

- Demonstrated ability of the organization or individual to successfully complete the project.
- Past performance in Federal Financial Assistance programs.
- Organization's ability to provide the required match.
- For NPS grants, ability to provide public access in accordance with Keweenaw NHP's enabling legislation. 16 U.S.C. 410yy-6(1) and 7(1).
- Ability to comply with the Secretary of the Interior's Standards for the Preservation of Historic Properties.
- Other specific project criteria developed for each grant cycle.

**15.422 LOUISIANA STATE UNIVERSITY (LSU) COASTAL MARINE INSTITUTE (CMI)**

(LSU CMI)

**FEDERAL AGENCY:**

The Bureau of Ocean Energy Management, Regulation, and Enforcement , Department of the Interior

**AUTHORIZATION:**

43 U.S.C. 1345 (e); 43 U.S.C. 1346 Section 20.

**OBJECTIVES:**

The Minerals Management Service Offshore Minerals Management and Minerals Revenue Management programs provide major economic and energy benefits on a national and local level to the taxpayers, States and the American Indian community. The Offshore Minerals Management program oversees the exploration and development of oil, natural gas and other minerals and renewable energy alternatives on the nations outer continental shelf. MMS continues to look for better ways to serve the American people and to ensure that the nation receives the best value for its resources now and into the future. The program not only supports decisions made within the Department of Interior, but also provides coastal states and local governments with the information necessary to ensure that all stages of offshore energy and mineral activities are conducted in a manner to protect both the human and natural environments. Outer Continental Shelf Lands Act Section 1346 mandates the conduct of environmental and socioeconomic studies needed for the assessment and management of environmental impacts on the human, marine, and coastal environments which may be affected by oil and gas or other mineral development. OCSLA Section 1345 authorizes the use of cooperative agreements with affected States to meet the requirements of OCSLA, including sharing of information, joint utilization of available expertise, formation of joint monitoring arrangements to carry out applicable Federal and State laws, regulations, and stipulations relevant to outer continental shelf operations both onshore and offshore. The purpose of the Louisiana State University Coastal Marine Institute (CMI) is to use highly qualified scientific expertise at local levels to collect and disseminate environmental information needed for OCS oil and gas and marine minerals decisions; address local and regional OCS-related environmental and resource issues of mutual interest; and strengthen the MMS-State partnership in addressing OCS oil and gas and marine minerals information needs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Environmental Studies Program allocates \$1,000,000 for cooperative research via LSU. Applications must be for scientific research projects which are within the MMS area of responsibility. The majority of funds are used to support research that will enhance understanding of long-term effects of oil and gas, marine minerals and alternate energy development projects. Funds can also be used for attendance at national conferences for the dissemination of project results. Funds are not normally used for capitalization.

**Applicant Eligibility:**

To apply for a research award, the recipient is asked to provide the name of the Principal Investigator. If an applicant other than LSU wants to apply, they must do so in collaboration with an LSU research scientist.

**Beneficiary Eligibility:**

Research scientists, Federal, State and local decision-makers, Native American Organizations, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Evidence of the applicants qualifications for performance of the proposed research including past professional publications, resumes, and lists of past projects. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants will be encouraged to post their applications on Grants.gov. Proposals must include a full statement of work, estimated budget, and resumes. The standard SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used.

**Award Procedure:**

Awards are made on the basis of a competitive peer review of proposals by a panel consisting of government research managers and external reviewers, as appropriate. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts. Notification of an award is issued. It is anticipated that ten applications will be received and six awards will be granted in FY 2010.

**Deadlines:**

Mar 23, 2009 Deadline for proposals is March 23,2009.

**Range of Approval/Disapproval Time:**

From 180 to 270 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Recipients share costs on a dollar-for-dollar contribution across the program. In any fiscal year, the collective LSU CMI match commitment must equal or exceed MMS contributions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for 1 to 5 years, with funding awarded as a lump sum, or added as funds become available. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Quarterly progress reports and an annual report on the progress of the project funded under the cooperative agreement and presentations at a session of the publicly held MMS Information Transfer Meetings are required. A draft final, proof copy, and final report; draft and final technical summary; articles based on the research published in journals, and presentation slides are required for each award. Dissemination of the research results conducted under the CMI at professional society meetings and symposia is encouraged. Cash reports are not applicable. Progress reports are not applicable. Annual financial reports using the Federal Financial Report SF-425 are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit



Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-1917-0-1-302; 14-8370-0-7-302.

**Obligations:**

(Cooperative Agreements) FY 09 \$0; FY 10 est \$1,000,000; and FY 11 est \$0

**Range and Average of Financial Assistance:**

Range is \$32,000 to \$500,000; Average \$190,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Environmental Studies Program is described in 30 CFR Chapter II Subchapter B Subpart M Studies. Quarterly reports are available at <http://cmi.lsu.edu/reports.asp>. Final reports are available online in the Minerals Management Service Environmental Studies Program Information System at: <http://www.gomr.mms.gov/homepg/espis/espisfront.asp>.

**Regional or Local Office:**

See Regional Agency Offices. Deborah Epperson, Telephone: 504-736-3257; Fax: 504-736-2901; E-mail: [Deborah.Epperson@mms.gov](mailto:Deborah.Epperson@mms.gov).

**Headquarters Office:**

James Cimato, Minerals Management Service, 381 Elden Street, MS-4041, Herndon, Virginia 20170 Email: [james.cimato@mms.gov](mailto:james.cimato@mms.gov) Phone: 703-787-1721 Fax: (703) 787-1053.

**Website Address:**

<http://www.mms.gov/eppd/sciences/esp/profiles/partners/cmi/index.htm>.

**RELATED PROGRAMS:**

15.421 Alaska Coastal Marine Institute; 15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of MMS, and non-MMS scientists (government, public and private sector as appropriate), review and evaluate proposals. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts.

**15.426 COASTAL IMPACT ASSISTANCE PROGRAM (CIAP)**

(CIAP)

**FEDERAL AGENCY:**

The Bureau of Ocean Energy Management, Regulation, and Enforcement, Department of the Interior

**AUTHORIZATION:**

Outer Continental Shelf (OCS) Lands Act, as amended; 31 U.S.C. 6301-6305.

**OBJECTIVES:**

The intent of the program is to disburse funding to eligible producing states and coastal political subdivisions for the purpose of conservation, protection, or restoration of coastal areas including wetlands; mitigation of damage to fish, wildlife, or natural resources; planning assistance and the administrative costs of complying with these objectives; implementation of a federally-approved marine, coastal, or comprehensive conservation management plan; and mitigation of the impact of outer Continental Shelf activities through funding of onshore infrastructure projects and public service needs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Can only be used to directly benefit an authorized use to conserve, restore, enhance, and protect renewable natural resources. Funding cannot be used for projects that would not provide a direct benefit, including but not limited to, supporting litigation or to fund publicity or lobbying efforts for purposes of influencing or attempting to influence a member of the U.S. Congress or an agency of the Federal government.

**Applicant Eligibility:**

States eligible to receive funding are: Alabama, Alaska, California, Louisiana, Mississippi, and Texas and 67 coastal political subdivisions among the six states.

**Beneficiary Eligibility:**

The producing coastal states, their eligible coastal political subdivisions, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Applicants must provide documentation that they have met state and local permitting requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Prior to submitting any grant applications an eligible state must submit to MMS, for approval, a State Plan that provides detail on how a State and its Coastal Political Subdivisions (CPS) will use the CIAP funds and implement the state plan. To assist the States in developing a plan the MMS issued final Coastal Impact Assistance Program Guidelines, and published a Notice of Availability in the Federal Register, September 29, 2006. Coastal Political Subdivisions and State are required by the Act to work together to develop their Plan. The plan should contain prescribed components from Section 384 of the amended OCS Lands Act, which includes an implementation program representing both parties' interests. The State point of contact submits the Plan to the MMS for approval. The MMS will determine within 20 calendar days after receipt of a Plan or Plan amendment whether additional information is needed. If no deficiencies are identified and the required number of copies has been received, the Plan or amendment will be deemed complete. Once a Plan or amendment is determined complete, MMS will have 90 calendar days to notify the State in writing that the Plan or amendment is approved, disapproved, or remains under review (in which case the Plan or amendment is neither approved nor disapproved). If MMS fails to provide such written notice to the State, the Plan or amendment is deemed to be disapproved. If MMS notifies the State that the Plan or amendment remains under review, MMS will also provide the State with an estimate of the amount of additional time necessary to complete its review. If a Plan or amendment is disapproved, the State may revise and resubmit it. The MMS will then have 20 calendar days to determine completeness; once MMS determines that the revised Plan or amendment is complete, MMS will then have 90 calendar days to approve or disapprove the revised Plan or amendment. On April 16, 2007 MMS released the recipient allotment amounts that will be eligible to spend in 2007 and 2008. The States and CPSs will use this information to develop grant project applications with detailed descriptions of their individual projects, including detailed breakdowns of costs. The recipients will provide in each application the current status of Federal, State and local permits required for the project. A completed grant project application is to be submitted electronically through [Grants.gov](http://Grants.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Specific projects submitted to the MMS for funding are subject to the Department of the Interior Regulations at 43 CFR Part 12, Subparts C and E, or any subsequent revisions. The OMB SF-424 application forms must be used for this program. Applications are submitted electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

The MMS provides a notice of award to the recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

MMS will have 90 days to notify the State in writing that the Plan or amendment is approved, disapproved, or remains under review (in which case the Plan or amendment is neither approved nor disapproved). No time limit is established for review of projects.

**Appeals:**

Applicants can appeal disapproval of Plans or project applications no later than December 2010.

**Renewals:**

Proposals are submitted for a project period. Projects that were approved and funded during the previous project period may be submitted as renewals for subsequent project periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: In accordance with the language of the Act no State will receive less than 1 percent of the \$250 million to be disbursed per year. Of the percentage received by a State, 65 percent remains with the State, and 35 percent is awarded to the coastal political subdivisions (CPS).  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will normally be awarded in 12-month budget periods. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annual and final technical reports are required. Cash reports are not applicable. Progress reports are not applicable. Annual financial reports using the Federal Financial Report SF-425 are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-5572-0-2-306.

**Obligations:**

(Formula Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Program transferred to U.S. Fish and Wildlife Services. Award funds are still being expended and final program transfer will occur in FY 2011.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Coastal Impact Assistance Program State Plan Guidelines found at [www.mms.gov/offshore/CIAP/PDFs/CIAPFinalGuidelines100206.pdf](http://www.mms.gov/offshore/CIAP/PDFs/CIAPFinalGuidelines100206.pdf).

**Regional or Local Office:**

See Regional Agency Offices. Alaska: MMS Regional CIAP Representative, Minerals Management Service, OCS Region, 3801 Centerpoint Drive, Suite 500, Anchorage, Alaska 99503; Alabama, Louisiana, Mississippi, and Texas: MMS Regional CIAP Representative, Minerals Management Service, Gulf of Mexico OCS Region, 1201 Elmwood Park Boulevard, MS 5400, New Orleans, Louisiana 70123; California: MMS Regional CIAP Representative, Minerals Management Service, Pacific OCS Region, 770 Paseo Camarillo, Camarillo, California 93010 .

**Headquarters Office:**

National CIAP Coordinator 381 Elden Street, MS 4040, Herndon, Virginia 20170 Phone: (703) 787-1755

**Website Address:**

[www.mms.gov/offshore/CIAPmain.htm](http://www.mms.gov/offshore/CIAPmain.htm) .

**RELATED PROGRAMS:**

11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.473 Coastal Services Center; 11.474 Atlantic Coastal Fisheries Cooperative Management Act; 11.478 Center for Sponsored Coastal Ocean Research\_Coastal Ocean Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for approving proposals are identified in the Coastal Impact Assistance Program Guidelines located at: Coastal Impact Assistance Program State Plan Guidelines (<http://www.mms.gov/offshore/CIAP/PDFs/CIAPFinalGuidelines100206.pdf>) and the program announcement found on Grants.gov.

**15.429 STATE SELECT**

**FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Public Lands, 43 U.S.C 852 (a)(4); Minerals, Lands and Mining, 30 U.S.C 191a.

**OBJECTIVES:**

ONRR shares 90 percent with the State to be paid monthly subject to late disbursement interest.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

No specific restrictions on use.

**Applicant Eligibility:**

Revenue from public land leasing will trigger automatic payment distribution computed in accordance with the law.

**Beneficiary Eligibility:**

Lease lands must be located within State selected area.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5003-0-0-000 - 14X5003.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$466,964; FY 11 est \$507,545; and FY 12 est \$564,353

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resource Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.430 8(G) STATE COASTAL ZONE**

**FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Minerals, Lands and Mining, Title 43, Part 256.47(g), 30 U.S.C 191a; Public Lands, 43 U.S.C 1337.

**OBJECTIVES:**

ONRR shares 27 percent of mineral leasing revenue derived from any lease issued after September 18, 1978, of any Federal tract which lies wholly or partially within 3 nautical miles of the Seaward boundary of any coastal state. Shared revenue is paid monthly.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

No specific restrictions.

**Applicant Eligibility:**

Revenue from qualified leasing will trigger automatic payment distribution computed in accordance with the law.

**Beneficiary Eligibility:**

Leased Outer Continental Shelf Lands must be located within the 8(g) zone of a coastal state.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-6707-0-0-000 - 14X6707.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$46,783,769; FY 11 est \$44,743,000; and FY 12 est \$51,917,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211, P.O. Box 25165, Denver Colorado 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.431 ALASKA STATE SELECT****FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Public Lands; January 12, 1990 Settlement, 43 U.S.C 1635.

**OBJECTIVES:**

ONRR shares 100 percent with the State of Alaska to be paid monthly subject to late disbursement interest.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

No specific restrictions on use.

**Applicant Eligibility:**

Revenue from effected leases will trigger automatic payment distribution computed in accordance with the law.

**Beneficiary Eligibility:**

Limited to Leases A-028056, A-028063, A-028135, A-028143, A-028103, A-028140, A-19230, A028055, and A-028047.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5003-0-0-000 - 14X5003.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$657,776; FY 11 est \$714,939; and FY 12 est \$794,960

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver Colorado 80225-0165.

**Headquarters Office:**

Director U.. Department of Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.432 CALIFORNIA REFUGE ACCOUNT****FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Public Lands; Settlement agreement dated March 25, 1997, 43 U.S.C 1337(g)(2), (3).

**OBJECTIVES:**

ONRR shares 40.87 percent with the State of California.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

No specific restrictions on use.

**Applicant Eligibility:**

Revenue from effected land leasing will trigger automatic payment distribution computed in accordance with the law.

**Beneficiary Eligibility:**

Portion of well within 500 feet of the State/Federal boundary. The State shares 38 percent and 62 percent outside the 500 feet. Consequently, the total State share of the revenue equals 40.87 percent.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Distributions are made accordance with law.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-6707-0-0-000 - 14X6707.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$2,780; FY 11 est \$3,022; and FY 12 est \$3,360

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.433 FLOOD CONTROL ACT LANDS****FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Minerals, Lands and Mining, 30 U.S.C 701c-3, 191(a).

**OBJECTIVES:**

ONRR shares 75 percent of mineral leasing revenue with the State, paid monthly and is subject to late disbursement interest.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

To be used as the State legislature may prescribe for the benefit of public schools and public roads of the county or counties in which such property is situated, or for defraying any of the expenses of county government in such county or counties, including public obligations of levee and drainage districts for flood control and drainage improvements.

**Applicant Eligibility:**

Revenue from acquired Flood Control land leasing will trigger automatic payment distribution computed in accordance with the law.

**Beneficiary Eligibility:**

Leased acquired lands must be located within the State.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
 Matching requirements are not applicable to this program.  
 MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5248-0-0-000 - 14X5248.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$25,122,359; FY 11 est \$2,130,000; and FY 12 est \$2,337,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.434 GEOTHERMAL RESOURCES****FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Minerals, Lands, and Mining, 30 U.S.C 191a, 1019.

**OBJECTIVES:**

ONRR shares 50 percent of mineral leasing revenue with the State, and 25 percent with the county.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To be used as the legislature directs giving priority to those subdivisions of the

State that are socially or economically impacted by the development of minerals leased, for (1) planning, (2) construction and maintenance of public facilities, (3) provision of public service.

**Applicant Eligibility:**

Revenue from government owned land leasing will trigger automatic payment distribution computed in accordance with the law.

**Beneficiary Eligibility:**

Leased lands must be located within State/County.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
 Matching requirements are not applicable to this program.  
 MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5003-0-0-000 - 14X5003.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$20,273,224; FY 11 est \$21,040,785; and FY 12 est \$16,223,891

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.435 GOMESA****FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Public Law 109-432, 120 STAT 3000.

**OBJECTIVES:**

ONRR shares 37.5 percent of selected revenue with Gulf producing states and political subdivisions; payable annually during the year after receipt in accordance with 30 CFR Part 219.414.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To be used in accordance with all applicable Federal and State laws, only for 1 or more of the following purposes: A) Projects and activities for the purposes of coastal protection, including conservation, coastal restoration, hurricane protection, and infrastructure directly affected by coastal wetland losses; B) mitigation of damage to fish, wildlife or natural resources; C) implementation of a federally-approved marine, coastal or comprehensive conservation management plan; D) Mitigation of the impact of Outer Continental Shelf activities through the funding of onshore infrastructure projects; E) Planning assistance and the administrative costs of complying with this section. (2) Limitation: Not more than 3 percent of amount received may be spent on planning assistance and compliance administrative costs.

**Applicant Eligibility:**

ggh.

**Beneficiary Eligibility:**

hgh.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5535-0-0-000 - 14X5535.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$2,729,744; FY 11 est \$865,000; and FY 12 est \$380,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.436 LATE DISBURSEMENT INTEREST****FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Minerals, Lands and Mining, Public Law 108-447, 30 U.S.C 1721.

**OBJECTIVES:**

ONRR pays late disbursement interest on subject payments made to States after the due date.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

No specific restrictions on use.

**Applicant Eligibility:**

Late disbursements will trigger automatic payment distribution computed in accordance with the Law.

**Beneficiary Eligibility:**

ONRR pays late disbursement interest on subject payments made to States after the due date.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

The distributions are automatic and are computed based on receipts.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5003-0-0-000 - 14X5003.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$102,892; FY 11 est \$100,900; and FY 12 est \$95,286

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.437 MINERALS LEASING ACT**

**FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Minerals, Lands and Mining, 30 U.S.C 191, 191a, 355.

**OBJECTIVES:**

As directed by the Minerals Leasing Act, the Office of Natural Resources Revenue (ONRR) shares 50 percent (90 percent for Alaska) of mineral leasing revenue with States. Since 2008 payments were subjected to a two percent reduction, as required by Public Law 111-322.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To be used by States as the legislature directs giving priority to those subdivisions of the State that are socially or economically impacted by the development of minerals leased, for (1) planning, (2) construction and maintenance of public facilities, and (3) provision of public service.

**Applicant Eligibility:**

Revenue from public land leasing will trigger automatic payment distribution computed in accordance with the Law.

**Beneficiary Eligibility:**

State governments in which Federal leased lands and minerals are located.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by Law.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**



Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5003-0-0-000 - 14X5003.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$1,698,213,039; FY 11 est \$1,845,793,802; and FY 12 est \$2,052,388,367

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, DC 20240.

**Headquarters Office:**

Director U.S. Department of Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.438 NATIONAL FOREST ACQUIRED LANDS**

**FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Minerals, Lands and Mining, 30 U.S.C 191(a). 355(b); Conservation, 16 U.S.C 499-500.

**OBJECTIVES:**

ONRR shares 25 percent of minerals leasing revenue with the State in which such National Forest is situated. Revenue is paid monthly and is subject to late disbursement interest.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To be used as the state legislature prescribed for the benefit of the public schools and public roads of the country or counties in which such National Forest is situated.

**Applicant Eligibility:**

Revenue from acquired National Forest land leasing will trigger automatic payment distribution computed in accordance with the Law.

**Beneficiary Eligibility:**

Leased acquired lands must be located within the State.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution are computed based on receipts and made as authorized by Law.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Revenue is paid monthly and is subject to late disbursement interest.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5243-0-0-000 - 14X5243.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$18,234,259; FY 11 est \$7,329,000; and FY 12 est \$7,825,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 6000B, Washington, District of Columbia 20240  
Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.439 NATIONAL PETROLEUM RESERVE - ALASKA****FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Public Lands, 43 Stat. 3231.5(f); Public Health and Welfare, 42 U.S.C 6508.

**OBJECTIVES:**

ONRR shares 50 percent of mineral leasing revenue with the State of Alaska, to be paid monthly (oil and gas royalties) subject to late disbursement interest. Other than oil and gas royalties are paid semi-annually.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To be used for (1) planning; (2) construction, maintenance, and operation of essential public facilities; and (3) other necessary provisions of public service, giving priority to use by subdivisions of the State most directly or severely impacted by development of oil and gas leasing.

**Applicant Eligibility:**

Revenue from public land leasing will trigger automatic payment distribution computed in accordance with the Law.

**Beneficiary Eligibility:**

Lease lands must be located in the National Petroleum Reserve-Alaska.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by Law.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5045-0-0-000 - 14X5045.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$19,638,836; FY 11 est \$3,500,000; and FY 12 est \$3,250,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 6000B, Washington, District of Columbia 20240  
Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.440 SOUTH HALF OF THE RED RIVER****FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Minerals, Lands and Mining, 65 Stat. 252, 30 U.S.C 191(a), 355(b).

**OBJECTIVES:**

ONRR shares 37.5 percent of mineral leasing revenue with the State of Oklahoma paid monthly and is subject to late disbursement interest.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To be used by the State as the legislature directs giving priority to those subdivisions of the State that are socially or economically impacted by the development of minerals leased, for (1) planning, (2) construction and maintenance of public facilities, and (3) provision of public service.

**Applicant Eligibility:**

Revenue from public land leasing will trigger automatic payment distribution computed in the accordance with the Law.

**Beneficiary Eligibility:**

Leased lands must be located within the south half of the Red River.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Automatic distribution as authorized by Law.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5134-0-0-000 - 14X5134.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$32; FY 11 est \$35; and FY 12 est \$36

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.504 WATER RECLAMATION AND REUSE PROGRAM**

Title XVI Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5), Public Law 111-5; Reclamation Wastewater and Groundwater Study and Facilities Act, Title XVI, Public Law 102-575, as amended; Reclamation Recycling and Water Conservation Act of 1996, Public Law 104-266; Oregon Public Lands Transfer and Protection Act of 1998, Public Law 105-321; Consolidated Appropriation Act of 2000, Public Law 106-544; Hawaii Water Resources Act of 2000, Public Law 106-566; Lakehaven Utilities District, WA, Project, 2002, Public Law 107-344; Consolidated Appropriations Resolution, 2003, Public Law 108-7; San Diego Creek Watershed, CA, Project, 2004, Public Law 108-233; Williamson County, TX, Project, Public Law 108-316; Hawaii Water Resources Act of 2005, Public Law 109-70.

**OBJECTIVES:**

Title XVI of Public Law 102-575, as amended (Title XVI), directs the Secretary of Interior, acting through the Commissioner, to undertake a program to identify and investigate opportunities to reclaim and reuse wastewaters and naturally impaired ground and surface water in the 17 Western States and Hawaii. Title XVI also provides authority for the Secretary to provide up to the lesser of 25 percent of, or the Federal appropriations ceiling (typically \$20 million) for, the cost of planning, design, and construction of specific water recycling projects.

For ARRA funded projects and in addition to the program objectives above, the Section 3 of the ARRA states the following objectives: (1) To preserve and create jobs and promote economic recovery. (2) To assist those most impacted by the recession. (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health. (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Title XVI Program applies to reclamation, recycling, and reuse of municipal, industrial, domestic, and agricultural wastewater and to naturally impaired ground and surface waters. Through this program, Reclamation provides financial and technical assistance for appraisal and feasibility studies, research and demonstration projects, and full-scale construction of facilities to deliver and/or treat wastewater for reuse applications.

For purposes of the Title XVI Program, a water reuse project is a project (including the necessary facilities and features) that reclaims and reuses municipal, industrial, domestic, or agricultural wastewater and naturally impaired groundwater and/or surface waters. Consistent with State law, reclaimed water can be used, for a variety of purposes including, but not limited to, environmental restoration, fish and wildlife, groundwater recharge, municipal, domestic, industrial, agricultural, power generation, or recreation. Funds can be used for water treatment features where the improvement of the water quality is necessary to allow for reuse.

Reclamation has general authority to participate in planning, research and demonstration of water recycling projects. Specific project authority is required for Reclamation to participate in the construction of a project.

**Applicant Eligibility:**

Eligible recipients of Title XVI funding are identified under the 1902 Act and include a State, regional, or local authorities; Indian tribes or tribal organizations; or other entities such as a water conservation or conservancy district, wastewater district, rural water district, all located within the 17 Western States or Hawaii.

**Beneficiary Eligibility:**

Water users, including municipal, industrial, and agricultural, that benefit from the additional drought resistant water source created.

**Credentials/Documentation:**

To be eligible to receive funding for construction activities, a water reclamation and reuse project must be specifically authorized under Title XVI. Funds for construction activities associated with an individual project will not be disbursed until all Title XVI pre-construction requirements have been met for that project. These include: (1) a finding that the feasibility study meets the requirements of Title XVI; (2) complete compliance with the National Environmental Policy Act and other environmental clearances; (3) an approved determination of financial capability; and (4) an executed grant or cooperative agreement for financial assistance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

To be eligible to receive funding for construction activities, a water reclamation and reuse project must be specifically authorized under Title XVI. Funds for construction activities associated with an individual project will not be disbursed until all Title XVI pre-construction requirements have been met for that project. These include: (1) a finding that the feasibility study meets the requirements of Title XVI; (2) complete compliance with the National Environmental Policy Act and other environmental clearances; (3) an approved determination of financial capability; and (4) an executed grant or cooperative agreement for financial assistance between Reclamation and the project sponsor. cooperative agreement for financial assistance. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Discretionary funding opportunities will be posted on Grants.gov and will be subject to competitive funding process. Earmarks to specific projects are non-discretionary funding. The standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subparts C and F, must be used for this program. The required documents must be furnished to Reclamation prior to authorization for construction. Upon satisfactory completion of these documents, Reclamation may seek authorization for the project and initiate appropriation requests.

Reclamation has limited funding authority for this program, therefore requests for project construction authority may be delayed until a funding request can be made that is within the authorized limit.

**Award Procedure:**

Reclamation will work with the funded recipient to negotiate a grant or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation of funding from one fiscal year to the next to complete a project is contingent on the final Federal appropriations.

**Formula and Matching Requirements:**

Statutory Formula: Title Title XVI, Public Law 102-575. Reclamation can pay up to 100 percent for appraisal level study costs, up to 50 percent for feasibility level study costs, and to 25 percent for research and demonstration projects unless specifically raised to 50 percent. Federal funding for Title XVI construction projects is limited to 25 percent of the total project or a specified maximum amount, whichever is less. The maximum amount varies by project. Generally, all projects authorized after 1996 have a ceiling of \$20 million or less; the specific details are available in the authorizing legislation. If a project conducted under the Title XVI Program includes planning, design, and construction, the Reclamation Wastewater and Groundwater Study and Facilities Act of 1992 (the Act) requires the sponsor to provide at least 75 percent of all the costs incurred, including Reclamation's administrative costs. In addition, the sponsor must pay all operation, maintenance and replacement (OM&R) costs of the project.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no time restrictions placed on the use of the funds and the funds have generally been made available periodically throughout the year on a reimbursable basis. A schedule is planned between Reclamation and the recipient when the cost share agreement is arranged. However, this schedule can be impacted by funds availability during the year. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report and upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 10 \$12,161,348; FY 11 est \$29,000,000; and FY 12 est \$20,000,000. (Cooperative Agreements) FY 10 \$130,647,184; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range \$10,000,000 to \$40,000,000; Average \$67,269,511.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fifty-three projects are specifically authorized to receive funds for construction. Two demonstration projects have also been undertaken through the general authority. Since the programs inception in 1992, more than \$542 million in Federal cost-share has been leveraged to design and construct water recycling projects. To date, forty-one projects have received Federal funding projects that provide recycled water for water barriers, groundwater recharge, landscape irrigation, agricultural irrigation, environmental needs, and industrial water supply. In 2009, an estimated 241,000 acre-feet of water was recycled through Title XVI projects. In 2010, nineteen projects received federal appropriations and, the estimated water savings from these projects was 290,000 acre-feet. Fiscal Year 2011: Not available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations (CFR) 43 CFR 12.

**Regional or Local Office:**

See Regional Agency Offices. For addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Dean Marrone, Bureau of Reclamation, Office of Program & Policy Services, Mail Code: 84-51000, P.O. Box 25007, Denver Federal Center, Denver, Colorado 80225 Email: dmarrone@usbr.gov Phone: (303) 445-3577 Fax: (303)445-6464

**Website Address:**

<http://www.usbr.gov/watersmart/title.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Reclamation is participating with the City of Long Beach, CA to research seawater desalination, which will eventually make up a small portion of the Department's overall reliability portfolio (around ten percent). Currently, seawater desalination is not a cost-effective option for water supply reliability in Long Beach, primarily due to the high cost of energy needed for operations and several abrasive environmental impacts. At this time, the costs of desalination far outweigh the costs associated with importing water from northern California and the Colorado River. With advances in technology, the subsequent decrease in cost and environmental concerns associated with desalination, and the increasing cost of imported water, seawater desalination will become a more relevant asset in water resources management. Fiscal Year 2011: Reclamation has provided approximately \$18 million in Federal funding to the Albuquerque Metro Area Water Reclamation & Reuse project, which treats domestic and industrial waste water so that it can be used to irrigate public landscapes such as parks. This allows Albuquerque to avoid using valuable drinking water in these areas thus helping to ensure the long term sustainability of their aquifer. This project is expected to make approximately 23,660 acre-feet of water available each year upon completion. Fiscal Year 2012: In the Bay Area, the City of Redwood City's recycled water project will replace potable water with recycled water for landscape irrigation and other uses. Approximately \$1.1 million in Reclamation funding will be used by the City to convey recycled water to the Seaport area, making approximately 245 acre-feet of water each year available for other uses. The project is intended to improve reliability of the local water supply and to reduce the City's demand on imported water.

**CRITERIA FOR SELECTING PROPOSALS:**

Reclamation will place priority on funding projects that reduce existing water diversions or address specific water supply issues in a cost-effective manner, address environmental and water quality concerns, are economically justified,

and meet other program goals.

For ARRA funded projects:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.506 WATER DESALINATION RESEARCH AND DEVELOPMENT PROGRAM**

Simon Act

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Water Desalination Act of 1996, Public Law 104-298, as amended.

**OBJECTIVES:**

The Water Desalination Act of 1996 is based on the fundamental need in the United States and world-wide for additional sources of high quality water.

There are three goals for the program: (1) augment the supply of usable water in the United States; (2) understand the environmental impacts of desalination and develop approaches to minimize these impacts relative to other water supply alternatives; (3) develop approaches to lower the financial costs of desalination so that it is an attractive option relative to other alternatives in locations where traditional sources of water are inadequate.

The two principal parts of the program are: (1) perform research on desalination technologies and related issues to advance the state of the art forward (research and studies), and (2) conduct development and demonstration activities to test technological advancements, confirm economics, and gain public acceptance (development projects).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To be used to support research and studies, demonstration and development projects and related activities, as described in the Act.

**Applicant Eligibility:**

Any responsible source, to include individuals, State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations may submit a proposal which will be considered by Reclamation. Foreign entities, other than United States-Mexico binational research foundations and inter-university research programs established by the two countries, are not eligible for funding under the Act. Federal agencies are not eligible to apply.

**Beneficiary Eligibility:**

Individuals, State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, other private institutions/organizations, and United States-Mexico binational research foundations and inter-university research programs established by the two countries.

**Credentials/Documentation:**

(1) A detailed written technical proposal including the current status of the technology supporting the proposed research, technical approach proposed to accomplish the work, a scope of work which separates the work into major tasks, applicability to local and/or national water problems, type of personnel participating in the research, type and location of facilities and equipment that will be utilized by the project applicant, experience in this type of research, the environmental impact of the research, an estimate of the costs and/or cost

savings (\$/1000 gal) and economic benefit of the technology, and other information that may be useful for proposal evaluation. (2) A detailed project cost proposal including a budget covering salaries and wages, fringe benefits, travel, equipment, supplies, subcontracts, indirect cost rates, funding sources and commitments, cost-sharing, and a breakdown of costs by task. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A full proposal solicitation package is issued annually by Reclamation. There will be an announcement for laboratory and pilot-scale research projects in FY10. Submission of full technical and cost proposals in accordance with the instructions stated in the announcement document is mandatory. Additionally, applicants must submit all applicable SF-424 forms and a DI-2010 form which will be included in the announcement document.

**Award Procedure:**

The number of awards, maximum funding amount per award, and areas of interest for which proposals will be considered, are determined on an annual basis and are dependent upon the annual appropriation from Congress. Proposals received in response to the annual solicitation are reviewed on the basis of a competitive, merit- review process, and are rated in accordance with evaluation criteria stated in the solicitation document. Reclamation will make awards for the highest rated proposals based on the amount of funding available each year. Reclamation reserves the right to make awards to maintain balance among the program objectives listed in the solicitation document.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact Reclamation for the range of time when proposals are approved or disapproved.

**Appeals:**

None. Final award decisions are not subject appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Continuation of funding for the Program from one fiscal year to the next is at the discretion of the Congress. Yearly solicitation is made for projects of 12 months duration or less (follow-on funding may be available for additional research studies, pilot-plant projects, or demonstration projects). No-cost extensions to awarded agreements are provided for unique projects that can justify additional time beyond the 12-month duration.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The Federal share of the cost of a project or activity carried out under this Act shall not exceed 50 percent of the total cost of the project or activity. A Federal contribution in excess of 25 percent for a project carried out under this Act may not be made unless the Secretary of the Interior determines that the project is not feasible without such increased Federal contribution. Costs of operation, maintenance, repair, and rehabilitation of facilities funded under the authority of this Act shall be nonfederal responsibilities. In each fiscal year, up to \$1,000,000 may be awarded to institutions of higher education, including United States-Mexico binational research foundations and interuniversity research programs established by the two countries, for research grants or cooperative agreements without any

cost-sharing requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Solicitation is made for projects of 12 months duration or less (follow-on funding may be available for additional research studies, pilot-plant projects, or demonstration projects). No-cost extensions to awarded agreements are provided for unique projects that can justify additional time beyond the 12-month duration. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

The Recipient shall furnish quarterly reports and a final report as a permanent record of the work accomplished under the agreement. A midterm project review shall be held at the Recipient's site approximately 3 to 6 months after project award. Approximately at the time of delivery of the draft final report, the Project Manager shall make a presentation in Denver on the overall progress of the project. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,349,580; FY 11 est \$1,500,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

Range is \$100,000 to \$500,000, Average \$1,116,527.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010 (FY10), \$1,349,580 funded seven competed, merit reviewed research projects five research and studies, one pilot study, and one demonstration study were awarded. Fiscal Year 2011: Not available. Fiscal Year 2012: Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable Office of Management and Budget Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Solicitation documents: Bureau of Reclamation, Acquisitions Operations Group, Attn: Michelle Maher, Mail Code: 84-27810, P.O. Box 25007, Denver Federal Center, Denver, CO 80225. Telephone: (303) 445-2025. E-mail: mmaher@usbr.gov.

**Headquarters Office:**

M. Kevin Price Bureau of Reclamation, Research and Development Office, Mail Code: 86-69000, P.O. Box 25007, Denver Federal Center, Denver, Colorado 80225 Email: mprice@usbr.gov Phone: (303) 445-2260 Fax: (303) 445-6328

**Website Address:**

<http://www.usbr.gov/pmts/water/desalination/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of projects that were funded in FY10 include pilot

and demonstration testing at the BGDRF, concentrate disposal, new nano technology, and module improvements. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors may include, but are not limited to the following: Technical Factors: (1) Demonstrated familiarity with the current technology in the field of work and understanding of the potential difficulties in carrying out the work. (2) Impact of the proposed work on the current technology and on its related economics if a completely successful outcome were achieved. (3) Novelty of approach to the work. (4) Relationship to research priorities. (5) Availability of equipment, instruments, and test facilities required for the work. Managerial Factors: (1) The qualifications, capabilities, and experience of the proposed project manager and other key personnel who are critical to achievement of the proposed objectives. (2) Adequacy, completeness and realism of the research schedule, task phasing, and milestones. (3) The applicants capabilities, related experience, facilities, techniques, or unique combinations of these which are integral factors for achieving the proposed objectives. Pricing Factors: (1) Cost realism and reasonableness. This requires that costs be directly relatable to items in the research work plan or Project Management Plan, be reasonable, and be appropriate to the project in terms of dollar amount and quantity. (2) Cost-share. Applicants proposing to provide the most cost-share shall be given greater consideration.

**15.507 WATERSMART (SUSTAINING AND MANAGE AMERICA'S RESOURCES FOR TOMORROW)**

WaterSMART Grants

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5; Omnibus Public Lands Management Act of 2009, Section 9504, Public Law 111-11.

**OBJECTIVES:**

To make funding available for eligible applicants to leverage their money and resources by cost sharing with Reclamation on projects that save water, improve energy efficiency, address endangered species and other environmental issues, and facilitate transfers to new uses.

For Recovery Act: For ARRA funded projects in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

WaterSMART grants provide cost-shared financial assistance on a competitive basis for the following types of projects: (1) Water and Energy Efficiency Grants; (2) Pilot and Demonstration Projects for Advanced Water Treatment; (3) System Optimization Reviews; and (4) Research Grants to Develop Climate Analysis Tools.

In addition, Section 9504 of Public Law 111-11 requires the following: (1) The Recipient shall not use any associated water savings to increase the total irrigated acreage of the Recipient or otherwise increase the consumptive use of water in the operation of the Recipient, as determined pursuant to the law of the State in which the operation of Recipient is located. (2) If the activities funded under this Agreement result in an infrastructure improvement to a federally owned facility, the Federal Government shall continue to hold title to the facility and improvements to the facility. (3) The non-Federal share of the cost

of operating and maintaining any infrastructure improvement funded through this Agreement shall be 100 percent. (4) Except as provided under chapter 171 of title 28, United States Code (commonly known as the "Federal Tort Claims Act"), the United States shall not be liable for monetary damages of any kind for any injury arising out of an act, omission, or occurrence that arises in relation to any facility created or improved under this Agreement, the title of which is not held by the United States. For further information please contact the regional office.

**Applicant Eligibility:**

In accordance with P.L. 111-11, Section 9502, eligible applicants for Water and Energy Efficiency Grants, System Optimization Reviews, and Pilot and Demonstration Projects for Advanced Water Treatment include any: state, Indian tribe, irrigation district, water district, or other organization with water or power delivery authority.

Applicants must also be located in the western U.S. or Territories as identified in the Reclamation Act of June 17, 1902, as amended and supplemented; specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, Wyoming, American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands.

**Beneficiary Eligibility:**

The general public, agricultural, municipal and industrial water users; irrigation or water districts; and state governmental entities with water or power delivery authority, located in the states identified in the Act of June 17, 1902.

**Credentials/Documentation:**

- (1) A detailed written technical proposal including background data regarding the applicant, such as location, total project diversions, and relevant water use efficiency measurements, a detailed scope of work separating the work into major tasks, including any engineering or design work already completed, and describing data responsive to the evaluation criteria listed in the announcement.
- (2) When applicable, a funding plan showing how the applicant will pay for its 50 percent cost share requirement, and an official resolution adopted by the irrigation or water district's governing board of directors, resolving that, if selected, it will negotiate and execute a grant or cooperative agreement with Reclamation.
- (3) A detailed project cost proposal, including a budget with the annual estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, an estimate of annual operation and maintenance costs, and the value of in-kind contributions of goods and services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Multiple funding opportunity announcements are annually posted on [www.grants.gov](http://www.grants.gov). Submission of a complete technical proposal and projects budget is mandatory by the due date identified in the announcement. In addition, applicants must submit all applicable SF-424 forms referenced in the Announcement.

**Award Procedure:**

Proposals received in response to the announcement are reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the announcement. Reclamation will make awards to the highest rated proposals based on the amount of funding available each year.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact Reclamation for the range of time when proposals are approved or

disapproved.

**Appeals:**

Not applicable. Upon request, Reclamation will provide all applicants with information on why their proposals were not selected.

**Renewals:**

The awarded projects are fully funded at the time of award.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the cost of a project or activity carried out under the Program shall not exceed 50 percent of the total cost of the project or activity. Costs of operation, maintenance, repair and rehabilitation of facilities funded under the authority for this Program shall be nonfederal responsibilities.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Proposed projects should be completed within 24 months from the project start date. Applications for projects requiring more than 2 years will be considered if it is demonstrable that there will be on-the-ground accomplishments each year.

See the following for information on how assistance is awarded/released:

Payment terms vary by agreement awarded under this program.

**Reports:**

Recipients shall submit Program Performance Reports during the term of the agreement. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Recipients shall submit the Federal Financial Report, SF-425 during the term of the agreement and a final report upon completion of the agreement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - ARRA.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$14,445,659; FY 11 est \$27,000,000; and FY 12 est \$17,500,000. (Cooperative Agreements (Discretionary Grants)) FY 10 \$3,861,762; FY 11 est \$0; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Range is \$100,000 to \$1,000,000; Average \$23,435,807.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Since 2004, 205 WaterSMART Grant projects have been funded (including ARRA projects), combining more than \$87.6 million in Federal funding with local partnerships to construct over \$240 million worth of water management improvements in 16 western states. Once completed, those projects are expected to result over 720,000 acre-feet of conserved water each year.

Twenty-two projects were funded in Fiscal Year 2009. Seventeen of those are on-the-ground projects with a total expected water savings of approximately

74,000 acre-feet per year.

Thirty-seven projects were funded in Fiscal Year 2010. These projects are expected to result in more than 130,000 acre-feet of conserved water each year once construction has been completed. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, OMB Circulars, standard forms, and program information, <http://www.usbr/WaterSMART/grants.html>. Documents may also be obtained by contacting Reclamation.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Dean Marrone, Bureau of Reclamation, Office of Program & Policy Services, Mail Code: 84-51000, P.O. Box 25007, Denver Federal Center, Denver, Colorado 80225 Email: [dmarrone@usbr.gov](mailto:dmarrone@usbr.gov) Phone: (303) 445-3577 Fax: (720) 544-4207.

**Website Address:**

<http://www.usbr.gov/WaterSMART/grants.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: A number of projects will address the connection between water use and energy use. For example, the Laguna Madre Water District in Port Isabel, Texas will make improvements to its non-potable water system, including installation of an energy recovery turbine to create an expected 17,520 kilowatt-hours per year of electricity from wastewater flows.

Several projects will save energy through water conservation. For example, the Lower Colorado River Authority in Texas will automate 11 check gate structures, expected to result in 2,560 acre-feet of water savings annually. The Authority estimates that completion of the project will decrease pumping needs and reduce energy consumption by approximately 132,000 kilowatt-hours per year. Fiscal Year 2011: Other projects are expected to make contributions to environmental restoration by conserving water or making other improvements that benefit endangered or threatened species. For example, in California, the Los Molinos Mutual Water Company will undertake water management improvements with expected savings of approximately 3,000 acre-feet of water annually. The conserved water will remain in Mill Creek, a tributary of the Sacramento River, to benefit Chinook salmon and steelhead migration.

Examples of all projects funded to date are available at <http://www.usbr.gov/WaterSMART/market.html>. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated using criteria that give priority to projects that save the most water, facilitate transfers to new uses, address endangered species and other environmental issues, improve energy efficiency, conserve Reclamation project water, and exceed the minimum 50 percent non-Federal cost-share requirement.

For ARRA funded projects:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.508 PROVIDING WATER TO AT-RISK NATURAL DESERT TERMINAL LAKES**

Desert Terminal Lakes Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior



**AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002, Sec. 2507, Public Law 107-171; Energy and Water Development Appropriations Act, 2003, Title II, Sec. 207, Public Law 108-7 (to implement the Truckee River Settlement Act, Public Law 101-618); and Energy and Water Development Appropriations Act, 2004, Title II, Sec. 217, Public Law 108-137; and Public Law 109-103, Energy and Water Development Appropriations Act, 2006, Title II, Sec. 208; Public Law 110-246, Food Conservation and Energy Act of 2008, Sec. 2807; Public Law 111-8, Omnibus Appropriations Act of 2009, Section 207 and 208, Public Law 111-85, Energy and Water Development and Related Agencies Appropriations Act of 2010, Sec. 206-208; Public Law 111-88, Department of the Interior Environment and Related Agencies Appropriations Act of 2010, Sec. 440.

**OBJECTIVES:**

Under this authority, Reclamation will fund various activities that will provide water to at-risk natural desert terminal lakes or fund designated activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Funding is directed to be used to provide water only to Walker Lake, Pyramid Lake, and Summit Lake in the State of Nevada. Funding is earmarked in legislation for other specific projects. For further information please contact the regional office.

**Applicant Eligibility:**

State and local public agencies, Indian tribes, nonprofit organizations, and individuals may submit a proposal which will be considered by Reclamation. Foreign entities and Federal agencies are not eligible to apply.

**Beneficiary Eligibility:**

State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, individuals, small businesses, profit organizations, private organizations, quasi-public nonprofit organizations, other private institutions/organization, general public, native American organizations, farmers/ranchers/agriculture producers, and land/property owners.

**Credentials/Documentation:**

(1) A detailed written technical proposal including background data regarding the applicant, technical approach proposed to accomplish the work, a scope of work that separates the work into major tasks, type of personnel implementing the proposal, experience in performing this type of work, benefits to be received by implementation of the project(s), environmental impact(s), an estimate of the amount of water that will reach the impacted desert terminal lake as a result of accomplishing the work, how that amount of water was estimated, timeline(s), the level of cooperation with other parties involved in the proposal, and other information that may be useful for proposal evaluation. (2) A detailed cost proposal by project including a budget covering labor categories, salaries and wages with estimated hours, fringe benefits, travel, equipment, supplies, subcontracts, indirect cost rates, other funding sources and commitments, cost-sharing, value of in-kind contributions of goods and services, and a narrative discussion. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Funding is allowed for work that will provide water to three specified desert terminal lakes in Nevada. An Environmental Impact Statement or Environmental Assessment may be required depending on the nature of the proposal and its impact on the environment. Compliance with National Historic Preservation Act and Endangered Species Act is also required. Summit and Walker Lakes Preapplication Coordination: Although it is not mandatory, Reclamation strongly encourages offerors to submit a pre-proposal to eliminate the possibility of submitting a full proposal that would not be considered for award. The pre-proposal should describe 1) how the proposal will provide water to the terminal lake, 2) the quantity of water anticipated to be provided, 3) the associated estimated cost, 4) potential environmental impacts, 5) state, local and other permits or approvals needed to implement the proposal. Pyramid Lake Pre-application Coordination: On a periodic basis, a pre-proposal solicitation announcement is issued by Reclamation; the initial solicitation occurred in FY05.

No additional solicitation is planned in FY11. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding is allowed for work that will provide water to three specified desert terminal lakes in Nevada. For Summit Lake, Reclamation will only accept proposals from the Summit Lake Paiute Tribe, since the lake is entirely within the reservation boundaries and any proposal affecting the lake would need the consent of the Tribe. For Walker Lake, Reclamation will accept applications after the applicant provides enough preapplication information to Reclamation to assure that the proposed work will provide water to Walker Lake, the associated cost is reasonable, and it is likely Reclamation can satisfy its federal Indian trust, endangered species, environmental, and other responsibilities. For Pyramid Lake, a Request for Proposals (RFP) is issued periodically by Reclamation. Discretionary funding opportunities will be posted on Grants.gov. Submission of a complete technical proposal and a project budget proposal in accordance with the instructions in the RFP is mandatory. In addition, applicants must submit all applicable SF424 forms, which are referenced in the RFP.

**Award Procedure:**

For Summit Lake and Walker Lake, proposals are evaluated using a merit-based review process. For Pyramid Lake, proposals received in response to the FOA are reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the FOA. Reclamation will make awards to the highest rated proposals based on the amount of funding available each solicitation period. Reclamation reserves the right to prioritize projects based on availability of funds and to ensure balance among the program objectives listed in the FOA. Reclamation is not accepting unsolicited applications in FY11 because pending legislation would allocate all remaining funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact Reclamation for the range of time when proposals are approved or disapproved.

**Appeals:**

Reclamation will, however, provide all applicants with information on why their proposals were not selected.

**Renewals:**

Funding is available until all funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory formula or matching requirements. Applicants are encouraged to cost share with other funding partners when possible. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established between Reclamation and the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement recipients shall submit a final Program Performance Report; and

other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$125,493,972; FY 11 est \$60,000,000; and FY 12 est \$67,000,000

**Range and Average of Financial Assistance:**

Range is \$36,000 to \$70,000,000; Average \$84,164,657.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Through the end of calendar year 2010, from the \$375 million of available funding, approximately \$251.5 million has been obligated to 43 projects. As of March 2010, \$251.453 million has been allocated for projects, \$39,438,772 has been obligated for other projects, and approximately \$3.5 million has been used for administrative purposes. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars. Documents may also be obtained by contacting Reclamation.

**Regional or Local Office:**

See Regional Agency Offices. Technical/Program Information - contact Bureau of Reclamation, Lahontan Basin Area Office, Attention: Carol Grenier, 705 North Plaza Street, Room 320, Carson City, Nevada 89701-4015. Telephone: (775) 882-3436. Fax (775) 882-7592. Email [cgrenier@mp.usbr.gov](mailto:cgrenier@mp.usbr.gov). Acquisition Office - contact Bureau of Reclamation, Mid-Pacific Regional Office, Acquisition Services, 2800 Cottage Way, Room E-1815, Sacramento, California 95825-1898. Telephone: (916) 978-5130. Fax (916) 978-5175/5182. Email [2WG3@mp.usbr.gov](mailto:2WG3@mp.usbr.gov).

**Headquarters Office:**

Carol Grenier Bureau of Reclamation, Lahontan Basin Area Office, 705 North Plaza Street, Room 320, Carson City, Nevada 89701-4015 Email: [cgrenier@usbr.gov](mailto:cgrenier@usbr.gov) Phone: (775)882-3436 Fax: (775) 882-7592

**Website Address:**

[http://www.usbr.gov/mp/lbao/desert\\_terminal/index.html](http://www.usbr.gov/mp/lbao/desert_terminal/index.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In Fiscal Year 2010, \$66.2 million was awarded to the National Fish and Wildlife Foundation to establish the Walker Basin Restoration Program for the primary purpose of restoring and maintaining Walker Lake; \$5 million for retire water rights in Lahontan Valley; and \$5.54 million for the USGS to monitor ground water in the Walker River basin. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors may include, but are not limited to the following: 1)

Mandatory: the proposal must provide water to a specified desert terminal lake; 2) Quantity of water supplied to the terminal lake, and the time period it will be supplied; 3) Total project cost and cost per acre-foot of water gained for a specified desert terminal lake; 4) Other benefits; 5) Funding from other sources; and 6) Broad support for the proposal.

**15.509 COLORADO RIVER BASIN SALINITY CONTROL PROGRAM**

Colorado River Basin Salinity Control Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 93-320, 59 Stat. 1219, 43 U.S.C. 1571-1573 and U.S.C. 1592(c), as amended; Sec. 2, Public Law 104-20, 43 U.S.C. 1592; Title III, Subtitle D, Chapter 4, Public Law 104-127, 110 Stat. 1006; Public Law 106-459, 114 Stat. 1987; and American Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide financial and technical assistance to: (1) identify salt source areas; (2) develop project plans to carry out conservation practices to reduce salt loads; (3) install conversation practices to reduce salinity levels; (4) carry out research, education, and demonstration activities; (5) carry out monitoring and devaluation activities; and (6) to decrease salt concentration and salt loading which causes increased salinity levels within the Colorado River and to enhance the supply and quality of water available for use in the United States and the Republic of Mexico. Such programs shall consist of cost-effective measures and associated works to reduce salinity from saline springs, leaking wells, irrigation sources, industrial sources, erosion of public and private land, or other sources.

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Eligible owners or operators in approved project areas may receive assistance to treat salinity problems. For further information, please contact the regional office.

**Applicant Eligibility:**

Federal, Interstate, Intrastate, State, Local, Sponsored organizations, Public nonprofit institution/organizations, Federally Recognized Indian Tribal Government, Individual/Family, Minority Group, Specialized Group, Small Business, Profit Organization, Other private institution/organization, general public, and Native American Organizations.

**Beneficiary Eligibility:**

Any person in the Colorado River Basin will benefit who uses or reuses water for irrigation, domestic, municipal or industrial water supply, or for fish and wildlife habitat.

**Credentials/Documentation:**

Some projects may require compliance with the National Environmental Policy Act and Endangered Species Act. Information regarding whether these requirements must be met will be included in the funding opportunity announcement posted on [www.grants.gov](http://www.grants.gov). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an

environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Reclamation will solicit proposals and award funding through a Funding Opportunity Announcement (FOA) process. The FOA will request proposals from public and private sectors that would control salinity based on cost per ton. The proposals will be ranked based on their cost effectiveness for preventing salt from entering the Colorado River system. The ranking would consider risk factors that might affect the project's performance. Upon receipt of applications/proposals by the date identified in the announcement(s), the applications will be reviewed to determine if application/proposal(s) are consistent with requirements identified in the announcements. The application/proposal(s) are reviewed against identified criteria by a Federal technical team of experts, that may include representatives of states as advisors. Based on the review, a ranking will be defined. Negotiations will be conducted and/or awards will be made based on recommendations from the technical experts. Award will be based on those applications best meeting the needs of the program, including cost and risk factors.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements and grants are normally written for a 1 to 5 year period. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects recipient quarterly reporting is required in [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis the Federal Financial Report SF 425. Upon completion of the agreement, recipients shall submit a final Federal Financial Report SF 425. Performance monitoring is not

applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4081-0-3-301 - Basin Funds (Not Appropriated); 14-0680-0-3-301 - Appropriated; 14-0681-0-3-301 - ARRA Funds.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available. (Cooperative Agreements (Discretionary Grants)) FY 10 \$3,251,526; FY 11 est \$3,000,000; and FY 12 est \$3,000,000. (Cooperative Agreements (Discretionary Grants)) FY 10 \$7,586,895; FY 11 est \$7,000,000; and FY 12 est \$7,000,000

**Range and Average of Financial Assistance:**

Range is \$7,000,000 to \$15,000,000; Average \$10,279,474.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, the Salinity Control Program had 14 active construction projects that controlled an estimated 11,000 tons of salt. Fiscal Year 2011: In Fiscal Year 2011, Reclamation will have 16 active construction projects that will control an estimated 25,000 tons of salt. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Salinity Program: Mr. Kib Jacobson, Bureau of Reclamation, 125 South State Street, Salt Lake City UT 84138-1147, Phone: (801) 524-3753, Fax: (801) 524-5499, email: [kjacobson@uc.usbr.gov](mailto:kjacobson@uc.usbr.gov); or Mr. John Redlinger, Bureau of Reclamation, 400 Railroad Ave, Boulder City NV 89005, Phone: 702-293-8592, Fax: 702-293-8042, email: [jredlinger@lc.usbr.gov](mailto:jredlinger@lc.usbr.gov). Western Colorado: Mr. Terry Stroh, Bureau of Reclamation, 2764 Compass Drive, Grand Junction CO 81506, Phone: 970-248-0637, Fax: 970-248-0601, email: [tstroh@usbr.gov](mailto:tstroh@usbr.gov) Eastern Utah and Western Wyoming: Mr. Ben Radcliffe, Bureau of Reclamation, 302 East 1860 South, Provo UT 84606, Phone: 801-379-1213, Fax: 801-379-1159, email: [BRadcliffe@uc.usbr.gov](mailto:BRadcliffe@uc.usbr.gov).

**Headquarters Office:**

Terry Stroh Bureau of Reclamation, 2764 Compass Drive, Grand Junction, Colorado 20240 Email: [tstroh@usbr.gov](mailto:tstroh@usbr.gov) Phone: (970)248-0637 Fax: (970)248-0601

**Website Address:**

<http://www.usbr.gov/dataweb/html/crwq.html>, and <http://www.usbr.gov/uc/progact/salinity/index.html>

**RELATED PROGRAMS:**

15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs; 15.535 Upper Colorado River Basin Fish and Wildlife Mitigation Program.; 15.538 Lower Colorado River Multi-Species Conservation Program.; 15.541 Colorado River Basin Projects Act of 1968

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grandview Canal Project in Crawford, Colorado; Farson/Eden Pipeline Project West Side in Eden/Farson Wyoming; Red Cap Lake Fork Project in Red Cap, Utah. All projects are replacing earthen ditches with a pipeline system. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

## CRITERIA FOR SELECTING PROPOSALS:

In 1984, the Salinity Control Act was amended to direct the Secretary of the Interior to give preference to units which reduce salinity at the least cost per unit of salinity reduction (or cost-effectiveness). Cost-effectiveness is defined as the Salinity Program's annual cost per ton of salt prevented from entering the Colorado River system. Conceptually, cost-effectiveness is analogous to determining the cost per mile to own and operate a car. That computation combines the annual expenses (loan payments, gas, maintenance, etc.) and divides by the miles traveled each year. The key to understanding this approach is to appreciate that the government evaluates all projects as if the money is borrowed from a loan institution and repaid in annual installments over the life of the project. This economic evaluation principle is required by the "Economic and Environmental Principles Guidelines for Water and Related Land Resources Implementation Studies", March 1983. This method lends consistency in the comparison of non-federally financed alternatives (which must borrow funds) to Federally financed projects. Each proposal will be evaluated by a technical review panel in accordance with the following criteria and corresponding percentage weights: (a) Technical merit - those passing will be evaluated further, (b) Cost effectiveness 70 percent of the annual cost for each ton of salt load reduction, expressed in dollars per ton, (c) Performance risk 30 percent of performance risk will evaluate the cost and effectiveness risks of the proposal. More detailed information will be included in each funding announcement or may be obtained from the Salinity Control Program contacts listed above.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

## 15.510 COLORADO UTE INDIAN WATER RIGHTS SETTLEMENT ACT

Colorado Ute Settlement Act/Animas La Plata

### FEDERAL AGENCY:

Bureau of Reclamation, Department of the Interior

### AUTHORIZATION:

Colorado River Basin Project Act, Public Law 90-537, 82 Stat.885; Colorado Ute Indian Water Rights Settlement Act of 1988, as amended, Public Law 100-585, 102 Stat. 1973; Colorado Ute Settlement Act Amendments of 2000, Public Law 106-554, 114 Stat. 2763A-266; and American Recovery and Reinvestment Act of 2009, Public Law 111-5.

### OBJECTIVES:

To supply both municipal and industrial water supply to the Ute Mountain Ute, Southern Ute Indian Tribe, the Navajo Nation and non-Tribal participants from the Animas-La Plata Project in settlement of water rights claims for the Tribes, and also fulfill other project activities that may be required as a result of the construction, such as relocation of roads and moving power lines. To complete construction of a reconfigured Animas-La Plata Project, consisting of facilities to divert and store water from the Animas River to provide for an average annual depletion of 57,100 acre-feet of water, to be used for municipal and industrial water supply only, for the Ute Mountain and Southern Ute Indian Tribes, and other tribal and non-tribal entities in the Four Corners Region of the United States. Also, to supply 4,680 acre-feet per year to the Navajo Nation through a pipeline from Farmington to Shiprock, NM.

For Recovery Act funded projects and in addition to the program objectives stated above, section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession. (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax

increases.

### TYPES OF ASSISTANCE:

Cooperative Agreements; Direct Payments for Specified Use; Project Grants

### USES AND USE RESTRICTIONS:

The Bureau of Reclamation is specifically authorized to: (1) Construct a reservoir, a pumping plant, a reservoir inlet conduit, and appurtenant facilities with sufficient capacity to divert and store water from the Animas River to provide for an average annual depletion of 57,100 acre-feet of water to be used for a municipal and industrial water supply; (2) Meet specific annual depletion rates for water allocation delivery. (3) To supply 4,680 acre-feet per year to the Navajo Nation through a pipeline from Farmington to Shiprock, NM. The design and construction functions of the Bureau of Reclamation with respect to the Dolores and Animas-LaPlata Projects shall be subject to the provisions of the Indian Self-Determination and Education Assistance Act (ii Stat. 2203; 25 U.S.C. 450 et seq.) to the same extent as if such functions were performed by the Bureau of Indian Affairs.

### Applicant Eligibility:

Federally Recognized Indian Tribal Government - Projects shall be subject to the provisions of the Indian Self-Determination and Education Assistance Act (ii Stat. 2203; 25 U.S.C. 450 et seq.) to the same extent as if such functions were performed by the Bureau of Indian Affairs; and for projects not awarded subject to Public Law 93-638: State, local, Federally recognized Indian Tribal governments, small businesses, individuals, and profit organizations.

### Beneficiary Eligibility:

Federally recognized Indian Tribal Government members and the general public in southwestern Colorado and northwestern New Mexico.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Bureau of Reclamation is required by Public Law 100-585 to use Public Law 93-638 procedures to contract for construction of the Animas-La Plata Project with the Ute Mountain Ute Tribe and the Southern Ute Indian Tribe. Construction contracts for estimated quantities and with firm fixed unit pricing are issued to accomplish the work. For projects under this program that are not required to be awarded subject to Public Law 93-638, funding opportunity announcements, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on <http://www.grants.gov>.

### Award Procedure:

An initial statement of work is issued to the Tribe for review and pricing by the Contract Specialist. The Tribe reviews the initial statement of work, submits and proposal with an estimate for completion of the work. The proposal with cost estimate is evaluated by the Government Technical Team, the Government Cost and Price Analyst, Contract Specialist, Contract Administrator, and Contracting Officer. Negotiations are held on the various elements until an agreement is reached and an award is then made. For projects not awarded subject to Public Law 93-638, all applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

Final award decisions are subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Public Law 93-638 contracts and agreements are written for a specific period of time to complete a project, but normally not over 5 years. Funds are disbursed by progress payments, based on percentage of completion of estimated quantities of work. Section 207, Section 17(b) of the Act as amended extended the project period through Fiscal Year 2012. See the following for information on how assistance is awarded/released: Funds are disbursed by progress payments, based on percentage of completion of estimated quantities of work. Negotiated indirect cost rate agreements for tribes are negotiated on behalf of the National Business Center, Acquisition Services Division.

**Reports:**

Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act programs recipients are required to complete quarterly reporting in [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required and a final SF 425 is required upon on the completion of the agreement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit info." If 'No' is selected: "This program is excluded from coverage under OMB Circular No. A-133."

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-3-301 - Recovery Act; 14-0681-0-3-301.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$3,524,675; FY 11 est \$0; and FY 12 Estimate Not Available. (Direct Payments for Specified Use) FY 10 \$16,144,642; FY 11 est \$5,628,000; and FY 12 est \$5,500,000

**Range and Average of Financial Assistance:**

Range is \$173,000 to \$93,519,000 Average \$10,265,772.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Three construction contracts and one agreement for components to Navajo Nation Municipal Pipeline are underway. The design and construction of the Permanent Operating Facility is underway. Construction of the entire Animas-La Plata Project is nearly 76 percent

complete. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and 18, OMB Circulars, Public Law 93-638, 25 CFR Part 900. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Barry Longwell, FCCO 100, Four Corners Construction Office, 103 Everett Street, Durango, Colorado 81303 Email: [blongwell@usbr.gov](mailto:blongwell@usbr.gov) Phone: (505) 325-1794 Fax: (505) 326-4388.

**Website Address:**

[http://www.usbr.gov/library/annual\\_reports/FY2008/MDAPart1.pdf](http://www.usbr.gov/library/annual_reports/FY2008/MDAPart1.pdf)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Durango Pumping Plant, Navajo Nation Municipal Pipeline, Design and Construct Permanent Operating Facility, Lake Nighthorse Boundary Fencing, Relocation of County Road 211, Lake Nighthorse Boat Ramp and Road Construction; Cultural Resources Investigations; and Relocation of Atmos Gas Pipeline and Associated Facilities. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

There are no criteria for selecting proposals for projects awarded under Public Law 93-638 procedures. When needed work is identified, a request for proposal is issued with a statement of work. The Tribe submits a proposal based on the statement of work. Negotiations are held to arrive at a mutually agreed upon Public Law 93-638 contract for award of the project and the costs associated with performance of the work. For any projects that may be identified that are not subject to Public Law 93-638 procedures, specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

For ARRA funded project: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.511 CULTURAL RESOURCES MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

National Historic Preservation Act of 1966, Public Law 89-665, as amended; Archaeological and Historic Preservation Act of 1974, Public Law 93-291 and 16 U.S.C. 469-469c.

**OBJECTIVES:**

To manage and protect cultural resources on Reclamation land and to provide for the curation of and public access to collectible heritage assets, including the increase of public awareness, appreciation, and knowledge of these resources.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

All activities are related to Reclamation programs and activities. Cooperative agreements are used for providing long-term care of Reclamation-owned heritage assets. Awards made under the National Historic Preservation Act are limited to project grants for providing heritage education services and, per 36 CFR Part 79, the curation of museum property. The amount of funding available for projects is highly variable from year to year. Projects are

approved through the budget cycle and may require up to three years for funding approval. For further information, please contact the regional office.

**Applicant Eligibility:**

State and local agencies, sponsored organizations, public nonprofit institutions/organizations, other public institutions/organizations, Federally-recognized Indian Tribal governments, minority groups, specialized groups, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, other private institutions/organizations, and Native American Organizations, educational or scientific organization, or any institution, corporation, association, or individual that possesses the requisite professional requirements.

**Beneficiary Eligibility:**

State and local governments, Tribes, universities, general public, entities that have an education mission or mission-component, and repositories that meet the standards of the Department of the Interior, Department Manual, Part 411: Managing Museum Property, Chapters 1, 2, and 3, for facilities managing Federal museum property. Further information regarding the general purpose and scope of the Department Manual (DM) is included in Part 001, Chapter 1, of the DM. The DM may be accessed at [http://elips.doi.gov/app\\_DM/index.cfm?fuseaction=home](http://elips.doi.gov/app_DM/index.cfm?fuseaction=home).

**Credentials/Documentation:**

Repositories must meet the standards for managing museum property at 411 DM Chapters 1 through 3; and repositories holding archeological collections must also meet the standards for "Curation of Federally-owned and Administered Archeological Collections" included in the Code of Federal Regulations at Title 36, Part 79, available at <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>. Activities under the Archaeological and Historic Preservation Act must be conducted by educational or scientific organizations, or any institution, corporation, association, or qualified individual. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened by Bureau of Reclamation personnel for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by the issuing office. Qualified experts from the Bureau of Reclamation will review applications against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the number of proposals received and the complexity of the project. Generally, offices review and award assistance agreements within 60 days of proposal submission.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Some projects may be eligible for extension. If renewals or extensions are

applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements are typically awarded for periods of 1 to 5 years. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on a quarterly basis program performance reports. Upon completion of the agreement, recipients shall submit a final Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on a quarterly basis the SF 425 Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, accounts, and supporting documents must be retained for 3 years after final request of reimbursement. For museum property, records must be in accordance with the specifications of 36 CFR Part 79 and 411 DM 1 through 3.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$585,465; FY 11 est \$531,682; and FY 12 est \$179,000

**Range and Average of Financial Assistance:**

\$2,000 to \$194,000; average \$432,049.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Numerous assistance agreements have been awarded to governmental entities and universities for the curation of museum property. Assistance agreements have been awarded to universities for activities associated with the Archaeological and Historic Preservation Act, Native American Graves Protection and Repatriation Act and National Historic Preservation Act. Accomplishments include the examination of human remains discovered on Reclamation lands, completing a report on previous investigations at an 8,000 year old archaeological site, archaeological excavations of a circa 1905 Reclamation construction camp, excavation of archaeological sites at a reservoir drawn down for safety of dams work, maintained collections and made accessible to the public, and cooperated on GIS data for cultural resources. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Reclamation's cultural resources management program is governed by 36 CFR Part 800; 43 CFR Part 7; Department of the Interior Manual Chapter 411, Chapters 1 through 3; and Reclamation Policy and Directives & Standards for Cultural Resources Management and Museum Property Management available at <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html> - page1/. 43 CFR 12 and 18, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html> - page1/; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). These documents may also be obtained by contacting the Reclamation Office

listed below.

**Regional or Local Office:**

See Regional Agency Offices. Please see listing of contacts at [www.usbr.gov/cultural/crmstaff.html/](http://www.usbr.gov/cultural/crmstaff.html/).

**Headquarters Office:**

Thomas Lincoln, Bureau of Reclamation, P.O. Box 25007 (Mail Code: 84-53000), Denver, Colorado 80225-0007 Phone: (303) 445-3311.

**Website Address:**

<http://www.usbr.gov/cultural/> and <http://www.usbr.gov/museumproperty/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The examples of funded projects include agreements with the University of Texas Austin and Museum of Northern Arizona for museum property management; Augustana College for the completion of a report on previous archaeological investigations at the Ray Long archaeological site at Angostura Reservoir, South Dakota; University of Northern Colorado for osteological research on two sets of human remains from Pueblo Reservoir; University of Nebraska State Museum for testing sites at Red Willow Reservoir; Kansas State University for cultural resource inventory, evaluation and excavation of sites at Red Willow Reservoir and other Reclamation lands; University of North Dakota for archaeological excavations at Reclamations Intake Diversion Dam; University of Oklahoma, University of Texas-San Antonio, Sam Noble Oklahoma Museum of Natural History, and Museum of the Great Plains for curation of Reclamation collections; South Dakota School of Mines-Museum of Geology for curation of Reclamation paleontological collections. Other funded agreements include Museum of New Mexico, Indian Arts and Cultures, and Museum of New Mexico Natural History, Texas Archeological Repository, Utah Museum of Natural History, and Anasazi Heritage Center. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting a recipient are based on a balanced and informed review of a technical proposal, budget proposal, and relevancy to program objectives. The specific evaluation criteria for each project will be included in the funding announcement posted on [www.grants.gov](http://www.grants.gov).

**15.512 CENTRAL VALLEY PROJECT IMPROVEMENT ACT, TITLE XXXIV**

Central Valley Project Improvement Act XXXIV

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Reclamation Projects Authorization and Adjustment Act of 1992, Title XXXIV, Central Valley Project Improvement Act, Public Law 102-575.

**OBJECTIVES:**

The purposes of the CVPIA are (1) to protect, restore, and enhance fish, wildlife, and associated habitats in the Central Valley and Trinity River basins of California, (2) to address impacts of the Central Valley Project on fish, wildlife, and associated habitats, (3) to improve the operational flexibility of the Central Valley Project, (4) to increase water-related benefits provided by the Central Valley Project to the State of California through expanded use of voluntary water transfers and improved water conservation, (5) to contribute to the State of California's interim and long-term efforts to protect the San Francisco Bay/Sacramento-San Joaquin Delta Estuary, and (6) to achieve a reasonable balance among competing demands for use of Central Valley Project water, including the requirements of fish and wildlife, agricultural, municipal and industrial and power contractors.

For Recovery Act funded projects and in addition to the the program objectives above, the section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery. (2) To assist those most impacted by the recession. (3) To provide investments needed to increase

economic efficiency by spurring technological advances in science and health. (4) To invest in transportation, environmental protection, and other infrastructure what will provide long-term economic benefits. (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Agreements will be awarded for projects that will result in attaining the objectives noted above and the mandates set out in the CVPIA. Areas of emphasis include fish and wildlife restoration activities and investigations, evaluation of ecologic and hydrologic effects of existing and alternative operations of water facilities and systems, and the effects of the CVP on anadromous fish populations. The Secretary of the Interior is authorized and directed to promulgate such regulations and enter into such agreements as may be necessary to implement the intent, purposes and provisions of Title XXXIV. This title does not and shall not be interpreted to authorize construction of water storage facilities. For further information, please contact the regional office.

**Applicant Eligibility:**

Irrigation and/or water districts; state, local, and county governmental entities with water management authority (e.g., State and Federal agencies, departments, boards, etc.); and other entities with water delivery authority as well as private nonprofit or profit organizations, and individuals located in the State of California.

**Beneficiary Eligibility:**

General public, government agencies, and water management authorities located in the State of California.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified Federal experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For current information on any upcoming funding opportunity announcements dates and deadlines, contact the Mid-Pacific Region, MP-400 Division of Resources Management, Sacramento, California, as listed in the Contacts section below.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Continuation of funding for the Program from one fiscal year to the next is at the discretion of Congress. Yearly solicitation is made for projects of 24 months in duration or less, although multi-year projects may be considered if annual accomplishments can be demonstrated.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the costs of a project or activity carried out under this Program varies in accordance with the provisions of the CVPIA. Cost-share requirements will be included in the funding opportunity announcement posted on [www.Grants.gov](http://www.Grants.gov).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Proposals are requested for projects of 24 months in duration or less; however, funding for multi-year projects may be considered if annual accomplishments can be demonstrated. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required on a quarterly basis. Upon completion of the agreement recipients shall submit a final SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit info." If "No" is selected: "This program is excluded from coverage under OMB Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-2-301 - Recovery Act; 14-5173-0-2-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$2,015,500; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 10 \$38,936,213; FY 11 est \$23,000,000; and FY 12 est \$24,000,000

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$10,000,000; Average \$29,317,238.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: For Fiscal Year 2010 (FY2010), accomplishments included the Red Bluff Diversion Dam receiving ARRA funding to begin the construction of the permanent pumping plant. Work has begun and is ongoing for excavation and related siphon installations. Contra Costa Fish Screen received ARRA funding for ongoing work to construct the fish screen, which includes construction and installation of bypass pumping facilities and replacement irrigation pumps, and excavation of levies and foundations for placement of the screening structure. The Anadromous Fish Screen Program initiated construction of the Phase I Natomas Mutual Fish Screen Project on the Sacramento River and the Patterson Fish Screen on the San Joaquin River. Studies are ongoing for identifying critical factors resulting in fish losses at water

diversions. The Refuge Water Supply delivered approximately 390,546 acre-feet of Level 2 water to refuges in FY 2010; delivered 58,021 acre-feet of Incremental Level 4 water to refuges. The Habitat Restoration Program protected 2,049 acres of habitat for federally listed species, restored 1.8 miles to provide habitat for priority riparian species, restored 20 acres of native chaparral to improve habitat for endangered plants, and provided funding for the mapping of vernal pool habitats in the Sacramento and San Joaquin Valleys. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, OMB Circulars, Program information:

[http://www.usbr.gov/mp/cvpia/title\\_34/public\\_law\\_complete.html](http://www.usbr.gov/mp/cvpia/title_34/public_law_complete.html) . These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Richard Woodely, Resources Chief, MP-400, (916)978-5556 and Shana Kaplan, CVPIA Program Manager, MP-400, (916)978-5190.

**Headquarters Office:**

None None, NA, Non-U.S. NA Phone: None

**Website Address:**

<http://www.usbr.gov/mp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY2010, many projects were funded including Red Bluff Diversion Dams construction of the permanent pumping plant has begun. Excavation has been completed for the east canal and installation of the siphon has begun. Excavation of the landfill west of Red Bank Creek with siphon and east canal installations has also commenced. Contra Costa Fish Screens construction has included completion of the bypass pumping facilities and installation of the replacement irrigation pumps, fabrication of composite piles and concrete piles, excavation of levies for site access, and excavation for the fish screen footing and foundation for the placement of the screening structure. The Anadromous Fish Screen Program completed construction of fish screens for the Sutter Mutual State Ranch, Davis Ranches Site, and River Garden Farms at Missouri Bend diversions, initiated construction of the Phase I Natomas Mutual Fish Screen Project for 389 cubic feet/second (cfs) on the Sacramento River, initiated construction of the Patterson Fish Screen on the San Joaquin River, and initiated studies at the U.C.Davis to identify critical factors resulting in fish losses at water diversions. The Refuge Water Supply delivered approximately 390,546 acre-feet of Level 2 water to refuges in FY 2010 and delivered 58,021 acre-feet of Incremental Level 4 water to refuges. The Habitat Restoration Program protected 2,049 acres of habitat for listed endangered species, restored 1.8 miles of levee road to provide habitat for priority riparian species, restored 20 acres of native chaparral to improve habitat for endangered plants, and provided funding for the mapping of vernal pool habitats in the Sacramento and San Joaquin Valleys to benefit vernal pool fairy shrimp, vernal pool tadpole shrimp, succulent owls clover, and mid-valley fairy shrimp. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

For ARRA funded projects: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.513 DUTCH JOHN FEDERAL PROPERTY AND DISPOSITION ASSISTANCE ACT**



**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Dutch John Federal Property Disposition and Assistance Act of 1998, Public Law 105-326, 16 U.S.C. 460v.

**OBJECTIVES:**

To privatize certain lands in and surrounding Dutch John, Utah; to transfer jurisdiction to certain Federal property between the Secretary of Agriculture and the Secretary of the Interior; to improve the Flaming Gorge National Recreation Area; to dispose of certain residential units, public buildings, and facilities; to provide interim financial assistance to local government to defray the cost of providing basic governmental services; to achieve efficiencies in operation of the Flaming Gorge Dam and Reservoir and the Flaming Gorge National Recreation Area; to reduce long-term Federal outlays; and to serve the interests of the residents of Dutch John and Daggett County, Utah, and the general public.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For the purpose of defraying costs of transition in administration and provision of basic community services, an annual payment of \$300,000 (as adjusted by the Secretary for changes in the Consumer Price Index for all-urban consumers published by the Department of Labor) shall be provided from the Upper Colorado River Basin Fund to Daggett County, Utah, for a period not to exceed 15 years. At the present time, no new project awards are being made under this authority and none are anticipated. Funding is only available for continuation of the existing grant with Daggett County.

**Applicant Eligibility:**

The residents in and around Daggett County, Utah.

**Beneficiary Eligibility:**

The residents in and around Daggett County, Utah.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. None.

**Award Procedure:**

At the present time, program funding is limited to providing additional annual funding to the existing project agreement with Daggett County. The Bureau of Reclamation will transfer on an annual basis the sum of \$300,000 to Daggett County, Utah, (as adjusted by the Secretary for changes in the Consumer Price Index for all-urban consumers published by the Department of Labor) by an amendment to the existing agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant funding is for a total of 15 years. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit Program Performance Reports. Annually, recipients shall submit an annual Program Performance Report. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the SF 425 Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425 Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after Dec.1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after Dec.1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, accounts, and supporting documents must be retained for 3 years after submission for final request of reimbursement. State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4081-0-3-301.

**Obligations:**

(Project Grants) FY 10 \$388,799; FY 11 est \$389,965; and FY 12 est \$404,868

**Range and Average of Financial Assistance:**

\$383,000 to \$405,000; average \$394,544.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Waste Water System started in April 2009 and was completed on September 1, 2010 with a total price for the upgrades of \$1,055,402. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Mr. C. Steven Hulet, Manager, Telephone Office: 435-885-3238, Fax 435-885-3224, [chulet@usbr](mailto:chulet@usbr).

**Headquarters Office:**

Mr. C. Steven Hulet 1849 C Street, NW, District of Columbia, Washington 20240 Email: [chulet@usbr.gov](mailto:chulet@usbr.gov) Phone: (435)885-3238 Fax: (435)885-3224

**Website Address:**

<http://www.usbr.gov/uc/news/dutchjohnfacts.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Dutch John Water Distribution Lines and SCADA System were awarded in March 2010 in the amount of \$1,400,000. The County has transferred 20 acres for a Dutch John Park and has started installing sprinkler systems, planning for cabanas and playground equipment for an estimate of

approximately \$10,000 to \$15,000. Daggett County hired Bonneville Research in January 2010 to serve the Dutch John area as Planner/Developer for an amount of \$160,000.00 with a cost to the county of \$80,000.00. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

No proposals are issued. Funding is transferred annually to Daggett County, Utah, in accordance with Section 13 of the Act.

**15.514 RECLAMATION STATES EMERGENCY DROUGHT RELIEF**

Emergency Drought Relief and Drought Contingency Planning

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Reclamation States Emergency Drought Relief Act of 1991, Title II, Public Law 102-250, 43 U.S.C. Section 2201-2214, as amended; Hawaii Water Resources Act of 2000, Title II, Public Law 106-566.

**OBJECTIVES:**

To provide financial and planning assistance that would minimize and mitigate losses and damages resulting from drought conditions.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements (Discretionary Grants); PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

In consultation with other appropriate Federal and State officials, Indian tribes, public, private, and local entities, Reclamation may prepare, or participate in the preparation of, plans for the prevention or mitigation of drought impacts. Financial assistance for the development of drought contingency plans may be provided in the form of cooperative agreements to States, Indian tribes, public, private, and local entities located within the 17 Reclamation States (Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, and Wyoming) and Hawaii. Pursuant to Public Law 93-638, an Indian tribe is entitled to contract for any activities that Reclamation would otherwise conduct pursuant to Section 201 or 202 of Title II of the Act on the tribe's behalf which would benefit the tribe exclusively. Reclamation may provide technical assistance for drought contingency planning in any of the 50 U.S. States and territories and to local and tribal government entities. For further information, please contact the regional offices.

**Applicant Eligibility:**

State and local entities and Federally Recognized Indian Tribal Governments within the following 17 Western U.S. States: Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Wyoming, Utah, and Washington, and Hawaii. Technical assistance can also be requested for all 50 U.S. States and the following U.S. Territories: Puerto Rico, the Republic of the Marshall Islands, the Federated States of Micronesia, the Trust Territory of the Pacific Island, and upon termination of the Trusteeship, the Republic of Palau, the United States Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

General public; Federal, State and local governments; and Federally Recognized Indian Tribal Governments within the 50 U.S. States and Territories.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible entities may request assistance from their local Reclamation Office. Requests will be forwarded to the Regional Drought Coordinator to ensure they meet the scope and intent of the Reclamation States Emergency Drought Relief Act. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Requests will be prioritized, merited, and consolidated by the Regional Drought Coordinators and forwarded to the Regional Director. The Regional Director will then forward their prioritized lists of funding requests to the Bureau of Reclamation Drought Coordinator who will rank the projects with specific criteria established for drought requests and make the final recommendations regarding which applications will receive awards. If a request is approved, a letter of approval will be prepared by the Reclamation Drought Coordinator that includes a delegation of authority to the appropriate Regional Director with funding information. This letter will be forwarded to the appropriate Regional/Area Office responsible for implementing the approved actions. The respective Regional/Area Office will develop their agreements and Public Law 93-638 contracts/agreements in compliance with applicable regulations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project.

**Appeals:**

Bureau of Reclamation will provide information on why requests were not approved.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance may be approved at any time of the year and agreements are generally awarded for a six month period, unless an extension is granted by the Commissioner (or the Regional Office granted authority to implement the approved assistance). See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

For Recovery Act projects, quarterly recipient reporting is required in [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis the Federal Financial Report SF 425. Upon completion of the agreement, recipients shall submit a final SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301 - Recovery Act; 14-0681-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$0; FY 11 est \$380,000; and FY 12 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 10 \$3,618,780; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range is \$10,000 to \$1,000,000; Average \$1,332,926.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In previous years, funds have been awarded for drought contingency plans across the 17 Western States. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable Office of Management and Budget Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Kenneth Maxey, Reclamation Drought Coordinator, Bureau of Reclamation, Mail Code 84-50000, PO Box 25007, Denver, CO 80225-0007. Phone: 303-445-2727.

**Headquarters Office:**

Mr. Kenneth Maxey Bureau of Reclamation, Mail Code 84-50000, P.O. Box 25007, Denver, Colorado 80225-0007 Phone: (303)445-2727

**Website Address:**

<http://www.usbr.gov/drought/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: There were a number of agreements executed that provided emergency drought funding during Fiscal Year 2010. In particular, the authorities to enter into 638 contracts with tribal entities were employed significantly. Other agreements prepared by a State, tribe, or local government were executed to examine ways to address water shortages, identify specific actions to prevent shortages or to respond to shortages when they occur, and identifies opportunities for water supply conservation, augmentation and use. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Requests for assistance are approved on a case-by-case basis considering program priorities, Congressional direction, funding availability, and the following criteria: benefits for health and safety; benefits for fish and wildlife; intensity of drought; impacts if project is not funded; benefits of funding; availability of other waste supplies; involve cost-share; and involve Reclamation project water.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.516 FORT PECK RESERVATION RURAL WATER SYSTEM**

Fort Peck Water Supply Project

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Fort Peck Reservation Rural Water System Act of 2000, Public Law 106-382.; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To ensure a safe and adequate municipal, rural, and industrial water supply for the residents of the Fort Peck Indian Reservation in the State of Montana; and to assist the citizens in those portions of Roosevelt, Sheridan, Daniels, and Valley Counties that are outside the Fort Peck Indian Reservation, in developing safe and adequate municipal, rural, and industrial water supplies.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

The project is for the construction of municipal, rural, and industrial water supply systems that will serve the Fort Peck Indian Reservation (Assiniboine and Sioux Rural Water System), and all or portions of Valley, Daniels, Sheridan and Roosevelt counties in northeastern Montana (Dry Prairie Rural Water System). At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

The Fort Peck Tribal Executive Board, Dry Prairie Rural Water Association Incorporated (or any successor non-Federal entity).

**Beneficiary Eligibility:**

The Fort Peck Indian Reservation, the Dry Prairie Rural Water Association, and the residents of all or portions of Valley, Daniels, Sheridan and Roosevelt counties in the State of Montana.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

These projects have met the requirements of the National Environmental Policy Act (NEPA) of 1969, and final engineering reports and water conservation plans have been approved. Any proposed changes in the scope of these projects will be reviewed for continued compliance. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Annual work plans and budgets are negotiated annually. The applicants must submit all applicable SF-424

Application for Federal Assistance forms, along with technical proposals and budget narratives.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, Reclamation's Great Plains Region finalizes the amendments.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing and in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Federal share of the Fort Peck project is 100 percent (Sec. 4(j)); the Federal share of the Dry Prairie Rural Water System project is 76 percent (Sec. 5(a)(2). Construction costs for both projects will total \$193 million (1998 dollars) with Dry Prairie's cost being \$68 million and the Reservation's portion being \$125 million. Funds are to be available until expended.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Beginning in fiscal year 2001, funding for these projects was authorized to be appropriated until year 2015. Method of awarding/releasing assistance: lump sum.

**Reports:**

Draft and final technical reports; quarterly recipient reports are required in [www.FederalReporting.gov](http://www.FederalReporting.gov); annual reports; and reports on significant developments (as necessary).

For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final Federal Financial Reports, SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 10 \$5,881,000; FY 11 est \$0; and FY 12 est \$0 - ARRA. (Project Grants (Cooperative Agreements or Contracts)) FY 10 \$7,877,000; FY 11 est \$2,000,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

Range is \$50,000 to \$40,000,000; Average \$15,419,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Required technical and environmental reports for the construction of municipal, rural, and industrial water supply systems; partial

construction of the systems in accordance with the final engineering report. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 43 CFR 12 and OMB Circulars - These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Montana Area Office: Mr. Dan Jewell, Area Manager, Bureau of Reclamation, PO Box 30137, Billings, MT, 59107-0137, Telephone: (406)247-7298, E-mail: [djewell@gp.usbr.gov](mailto:djewell@gp.usbr.gov).

**Headquarters Office:**

Doug Davis Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900,

316 North 26th Street, Billings, MT 59101, Billings, Montana 59107 Email: [DouglasDavis@usbr.gov](mailto:DouglasDavis@usbr.gov) Phone: (406)247-7710 Fax: (406)247-7695

**Website Address:**

<http://None>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: These projects are for the supply and distribution of clean drinking water to these areas. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.517 FISH AND WILDLIFE COORDINATION ACT**

FWCA

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Fish and Wildlife Coordination Act of 1934, Public Law 85-624, 16 U.S.C. 661 et seq., as amended; as limited by the Secretary of the Interior delegation of authority at 255 DM 14.

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements, to public or private organizations for the improvement of fish and wildlife habitats associated with water systems or water supplies affected by Bureau of Reclamation projects.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

In accordance with the delegation of authority to the Bureau of Reclamation in the Department of the Interior Department Manual, Part 255, Chapter 14, projects are limited to the improvement of fish and wildlife habitat associated with water systems or water supplies affected by Bureau of Reclamation projects. For further information, please contact the regional office.

**Applicant Eligibility:**

State and local governments, nonprofit organizations and institutions, public and private institutions and organizations, Federally recognized Indian Tribal Governments, individuals, small businesses, for-profit organizations, and Native American Organizations.

**Beneficiary Eligibility:**

Anyone/general public, governmental entities, Tribal governments, Native American organizations, and/or public or private organizations in the specific project area.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environment impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are generally awarded for 1 to 5 years. See the following for

information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit program performance reports. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

Recovery Act recipients will be required to report quarterly in [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the Federal Financial Report, SF 425. Upon completion of the agreement, recipients shall submit a final Federal Financial Report, SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$4,944,372; FY 11 est \$0; and FY 12 est \$0 - ARRA. (Cooperative Agreements (Discretionary Grants)) FY 10 \$38,833,017; FY 11 est \$39,000,000; and FY 12 est \$39,000,000

**Range and Average of Financial Assistance:**

Range is \$1,000 to \$12,500,000; Average 40,592,463.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Improvements to fish and wildlife habitat through award of projects that track fish and wildlife movement, habitat temperature monitoring, collection and analysis of invertebrates, genetics studies, surveying and monitoring of fish and wildlife and salinity studies. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable Office of Management and Budget Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Specific contact information will be provided in each funding announcement.

**Headquarters Office:**

Director Bureau of Reclamation, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202)208-3100

**Website Address:**

<http://www.usbr.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of funded projects include: Barkley Springs Endangered Sucker Entrainment Prevention; Long-Term Fish Disease Monitoring Program in the Lower Klamath River; Two Rivers Flycatcher Habitat Restoration; Riparian Brush Rabbit Captive Propagation; and Monitoring of Salt Cedar Beetle and an Estimate of Evapotranspiration and Water Salvage Response. Fiscal Year 2011: No Current Data Available Fiscal

Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

#### **15.518 GARRISON DIVERSION UNIT**

Garrison Diversion Unit Project

##### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

##### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Garrison Diversion Unit, Missouri River Basin Project, Public Law 89-108, as amended; Energy and Water Development Appropriation Act of 1985, Public Law 98-360; Garrison Diversion Unit Reformulation Act of 1986, Public Law 99-294; Dakota Water Resources Act of 2000, Public Law 106-554, Indian Self-Determination and Education Act, Public Law 93-638, as amended.

##### **OBJECTIVES:**

To meet the water needs within the State of North Dakota by providing funds on a non-reimbursable basis for the planning and construction of a multi-purpose water resource development project within the State of North Dakota for irrigation; municipal, rural, and industrial water; fish, wildlife, and other natural resource conservation and development; recreation; flood control; augmented stream flows; ground water recharge; and other project purposes. For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

##### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

##### **USES AND USE RESTRICTIONS:**

Different projects and programs under the authorization have different cost ceilings. The Bureau of Reclamation's Great Plains Region shall enter into cooperative agreements with the State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa and the Trenton Indian Service Area to undertake the authorized activities, programs and projects as the Secretary of the Interior determines necessary.

##### **Applicant Eligibility:**

The State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, the Turtle Mountain Band of Chippewa and the Trenton Indian Service Area.

##### **Beneficiary Eligibility:**

The citizens of the State of North Dakota and the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa.

##### **Credentials/Documentation:**

See Public Law 99-294, Section 2, for considerations to be given to fish and wildlife conservation, including habitat impacts, mitigation procedures, and enhancement. See Public Law 99-294, Section 3, regarding when it may be necessary for applicants to complete a comprehensive report covering

feasibility, capability, impacts, cost and efficiency measures, National Environmental Policy Act requirements, and other matters. Please contact the Bureau of Reclamation personnel listed in the Contacts section, below, for further information regarding these requirements. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication is not required. Depending on the project, an environmental impact assessment or statement may be required. If requested, the Bureau of Reclamation's Great Plains Region will assist the State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa and the Trenton Indian Service Area in preparing their respective proposals. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants shall include: (1) Detailed written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timelines, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation; and (2) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contributions of goods and services. Applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with their technical and budget proposals.

##### **Award Procedure:**

Once the parties agree with their respective scopes of work and cooperative agreements, the Bureau of Reclamation's Great Plains Region will finalize the agreements. The Bureau of Reclamation's Great Plains Region will negotiate and enter into cooperative agreements with the State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, the Turtle Mountain Band of Chippewa and the Trenton Indian Service Area. The tribes may choose to enter into an agreement under Public Law 93-638, the Indian Self-Determination and Education Assistance Act. For those agreements that are in place, the Bureau of Reclamation negotiates annually the workplan and budget for that fiscal year.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Not Applicable.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established between the Bureau of Reclamation and the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. See the following for information on how assistance is awarded/released: Information not available.

##### **Reports:**

Quarterly Program Performance Reports. Upon completion of the agreement,

recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

For Recovery Act projects, quarterly online reporting is required by the 10th of the month following each quarter end, in accordance with ARRA PL 111-5, Section 1512 and related regulations at 2 CFR 176, Subpart A. Cash reports are not applicable. Progress reports are not applicable. Quarterly SF-425, Federal Financial Report and upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. FOR RECOVERY ACT: 2 CFR 176, Subpart D Single Audit Information for Recipients of Recovery Act Funds and specific ARRA information in OMB Circular A-133. Separate tracking of ARRA funds. Separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SFSAC). Identify ARRA titles by inclusion of the prefix ARRA- in identifying the name of the Federal program on the SEFA and SFSAC.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82 or 25 CFR 900 Subpart F, if applicable. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - ARRA.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 10 \$65,039,952; FY 11 est \$32,000,000; and FY 12 est \$2,032,000. (Project Grants (Cooperative Agreements or Contracts)) FY 10 \$36,632,000; FY 11 est \$0; and FY 12 est \$0 - ARRA.

**Range and Average of Financial Assistance:**

Range is \$2,000 to \$40,000,000; Range \$45,234,651.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Standing Rock, Three Affiliated, Spirit Lakes Tribes, Turtle Mountain Band of Chippewa and the Trenton Indian Service Area entered into and completed a number of construction contracts for MR & I of the Garrison Project. North Dakota State MR & I Program also completed a number of rural water contracts. Operation and maintenance activities were also accomplished on the tribal rural water systems and GDU principal supply works and wildlife areas. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and the OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dakotas Area Office: Denny Breitzman, Area Manager, Bureau of Reclamation, Address: P.O. Box 1017, Bismarck, ND 58501, Telephone: (701) 221-1201, E-mail: dbreitzman@usbr.gov.

**Headquarters Office:**

Leatha Smith-Frost, Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101-6900 Email: LSmithFrost@usbr.gov Phone: (406) 247-7818.

**Website Address:**

<http://www.usbr.gov/gp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funds were used to construct the Standing Rock Memorial Intake Structure and start construction on the new Standing Rock water treatment plant and raw water pipeline. Expansion of the water treatment plants and pipeline distribution systems for the Tree Affiliated Tribes water systems. Continuing the Spirit Lake Tribe Water Treatment Plant pilot study and design. Construction of new water treatment plants for Emmons County and Southwest Pipeline projects. Continued operation and maintenance of tribal rural water systems and GDU principal supply works. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation and the appropriation ceiling, and any stated evaluation criteria.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.519 INDIAN TRIBAL WATER RESOURCES DEVELOPMENT, MANAGEMENT, AND PROTECTION**

Indian Tribal Water Resources

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Consolidated Appropriations Resolution, 2003, Division D Energy and Water Development Appropriations, Title II, Section 201, Public Law 108-7. American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5).

**OBJECTIVES:**

To increase opportunities for Indian tribes to develop, manage, and protect their water resources.

**FOR RECOVERY ACT:**

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are authorized to increase opportunities for Indian tribes to develop, manage, and protect their water resources. Nothing in this Act is intended to modify or limit the provisions of the Indian Self-Determination Act (25 U.S.C. 45 et seq.). For further information, please contact the regional office.

**Applicant Eligibility:**

Federally recognized Indian tribes, institutions of higher education, national Indian organizations, and tribal organizations located in the 17 western States identified in the Act of June 17, 1902, as amended; specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, and Wyoming.

**Beneficiary Eligibility:**

Federally recognized Indian tribes in the 17 western states.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of Bureau of Reclamation program managers who are qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally last one to two years. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Indian Tribal governments and organizations shall maintain project records in accordance with 43 CFR 12.82. Institutions of higher education shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - ARRA; 14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$1,000,000; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 10 \$4,763,685; FY 11 est \$2,000,000; and FY 12 est \$2,000,000

**Range and Average of Financial Assistance:**

\$5,000 to \$120,000; Average \$3,254,562.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Projects have been awarded which address a wide variety of tribal water resources needs and issues, including water quality, groundwater, water conservation, habitat restoration, and water needs assessments. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Pacific Northwest Region: Telephone:(208)378-5008, Web: <http://www.usbr.gov/native/regions/pn/index.html>; Mid-Pacific Region: Telephone: (916) 978-5194, Web: <http://www.usbr.gov/native/regions/mp/index.html>; Lower Colorado Region: Telephone: (702) 293-8426, Web: <http://www.usbr.gov/native/regions/lc/index.html>; Upper Colorado Region: Telephone: (801) 524-3674, Web: <http://www.usbr.gov/native/regions/uc/index.html>; Great Plains Region: Telephone: (406) 247-7710, Web: <http://www.usbr.gov/native/regions/gp/index.html>.

**Headquarters Office:**

Director Native American and International Affairs Office, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202)513-0550

**Website Address:**

<http://www.usbr.gov/native/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Water quality monitoring and remediation, infrastructure assessments, irrigation project rehabilitation, watershed improvement, habitat restoration water conservation, drought relief, aquifer studies and monitoring, erosion control, and infrastructure improvement. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed projects must be related to the development, management and protection of Indian tribal water resources.

For ARRA funded projects:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.520 LEWIS AND CLARK RURAL WATER SYSTEM**

(Lewis and Clark Project)

**FEDERAL AGENCY:**



Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Fiscal Year 2000, Department of Defense Supplemental Appropriations Act, Division B, Chapter 3, Title IV, Lewis and Clark Rural Water System, Public Law 106-246.; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide safe and adequate municipal, rural, and industrial water supplies, mitigation of wetland areas and water conservation for the Lewis and Clark Rural Water System member entities located in southeastern South Dakota, southwestern Minnesota, and northwestern Iowa.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This project is for the planning and construction of a bulk water supply system to provide municipal, rural, and industrial water supplies, mitigation of wetland areas and water conservation for the Lewis and Clark Rural Water System member entities located in southeastern South Dakota, southwestern Minnesota, and northwestern Iowa. Congress has specifically authorized the Bureau of Reclamation to administer this project in southwestern Minnesota and northwestern Iowa. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

For Recovery Act: Acceleration of planning and construction of Lewis and Clark Rural Water System already in progress.

**Applicant Eligibility:**

The Lewis and Clark Rural Water Supply System, Inc., and its member entities (rural water systems and municipalities that meet the requirements for membership in the Lewis and Clark Rural Water Supply System, Inc.).

**Beneficiary Eligibility:**

Fifteen communities and 5 rural water systems in Lake, McCook, Minnehaha, Turner, Lincoln, Clay, and Union Counties, in southeastern South Dakota; Rock and Nobles Counties, in Southwestern Minnesota; and Lyon, Sioux, Osceola, O'Brien Dickinson, and Clay Counties, in northwestern Iowa.

**Credentials/Documentation:**

The project requires submission of a final engineering report, National Environmental Policy Act compliance, a plan for water conservation and mitigation plans for fish and wildlife losses in accordance with Section 4104 of the Act. OMB Circular A-87 requirements are applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Amendments to incorporate annual work plans and budgets are negotiated annually. The recipient must submit all applicable SF-424 Application for Federal Assistance forms, along with (1) Detailed written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that

separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timelines, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation; and (2) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contributions of goods and services.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the amendments.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Grantees are required to update their work plan and submit a current year budget annually.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the project is 80 percent; except that Federal funds for the City of Sioux Falls, South Dakota, shall be 50 percent of the incremental cost to the city of participation in the project. (Public Law 106-246, Section 4108).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding will be available until all appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. As of September 30, 2009, the federal appropriation ceiling (October 2011 price levels) as prepared by the Bureau of Reclamation was \$393,769,000 and the projected cost ceiling from all funding sources was \$499,806,000. The amount and timing of disbursement of assistance is based on progress and need. Payments will be made using the Automated Standard Application for Payment (ASAP).

**FOR RECOVERY ACT:**

See the cooperative agreement for start and end dates. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports during the term of agreement: (1) SF-425, Federal Financial Report; and (2) Program Performance Reports. Upon completion of the agreement, recipients shall submit a final: (1) SF-425, Federal Financial Report; and (2) Program Performance Report; and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

**FOR RECOVERY ACT:**

For Recovery Act projects, quarterly online reporting is required by the 10th of the month following each quarter end, in accordance with ARRA PL 111-5, Section 1512 and related regulations at 2 CFR, Subpart A. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final Federal Financial Report, SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For Recovery Act: 2 CFR 176, Subpart D - Single Audit Information for Recipients of Recovery Act Funds

and specific ARRA information on OMB Circular A-133. Separate tracking of ARRA funds. Separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC). Identify ARRA titles by inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and SF-SAC.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 10 \$11,198,000; FY 11 est \$10,000,000; and FY 12 est \$500,000. (Cooperative Agreements) FY 10 \$3,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range is \$600,000 to \$83,801,869; Average \$8,232,667.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program accomplishments include completion of 11-miles of 54-inch, and 1 mile of 24 and 30-inch steel treated water pipeline; 11 miles of 6 and 10-inch PVC service lines; completed Phase I of water treatment plant (WTP); site work, piping and pedestal completed for 3 million gallon (MG) water tower; the erection of two 7.5 MG ground storage reservoirs are mostly complete as is the piping and appurtenant structures. The WTP Phase 2 contractor has completed the concrete work for the solids contact area, recarbonation basins. The mechanical and electrical equipment is being installed and the precast columns, beams, wall and double tee roof panels are being set. The lime sludge drying beds and associated site piping are complete. The electrical station is being erected. The site piping has been installed. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars; these documents may also be obtained by contacting the Bureau of Reclamation office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: P.O. Box 1017, Bismarck, ND 58501, Telephone: (701)221-1201, E-mail: dbreizman@gp.usbr.gov .

**Headquarters Office:**

Lindsey Nafts, Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101-6900 Email: LNafts@usbr.gov Phone: (406) 247-7684

**Website Address:**

<http://www.lcrws.org/>.

**RELATED PROGRAMS:**

15.518 Garrison Diversion Unit; 15.522 Mni Wiconi Rural Water Supply Project; 15.523 Perkins County Rural Water System

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The examples of funded projects include three million gallon (MG) water tower; two 7.5 MG ground storage reservoirs; 21 miles of 6, 8 and 10 inch PVC service lines; 10 miles of 24 and 30-inch steel treated water pipeline, pump station with 8 350 hp pumps; 7 meter buildings and pumps, piping and electrical for 6 existing wells and 5 new wells with pumps, piping, electrical, vaults and pumps houses. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The scope of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

For Recovery Act: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these

purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.521 LOWER RIO GRANDE VALLEY WATER RESOURCES CONSERVATION AND IMPROVEMENT**

Lower Rio Grande Valley Irrigation Projects

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Lower Rio Grande Valley Water Resources Conservation and Improvement Act of 2000, Public Law 106-576, as amended; Lower Rio Grande Valley Water Resources Conservation and Improvement Act of 2002, Public Law 107-351.

**OBJECTIVES:**

Awards will be made to investigate and identify opportunities to improve the supply of water in the program area identified as the counties in the State of Texas in the Rio Grande Regional Water Planning Area known as Region "M" as designated by the Texas Water Development Board; and the counties of Hudspeth and El Paso, Texas. The program includes the review of studies and planning reports, conduct of or participation in funding engineering work, infrastructure construction, and improvements for the purpose of conserving and transporting raw water.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cost ceilings of \$8,000,000 for conservation and improvements (section 3(g)) and \$47,000,000 for construction (section 4(c)). Reclamations Great Plains Region will enter into cooperative agreements with the State of Texas, water users in the program area, specified irrigation districts, and other non-Federal entities to carry out the project if the Secretary of the Interior determines such agreements would be cost-effective and efficient. A substantial portion of this program is directed toward funding 19 construction projects specifically identified in the Lower Rio Grande Valley Water Resources Act, as amended.

**Applicant Eligibility:**

The State of Texas, water users in the program area, specified irrigation districts, and other non-Federal entities.

**Beneficiary Eligibility:**

The general public located in the state of Texas.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants shall provide a report in accordance to Sec. 3(c) of the Act that includes, but is not limited to, (a) estimated project costs, conservation measures, and operational efficiency improvements, (b) a project plan and map, and (c) a cost-sharing commitment for applicant funding of its proportional share of project construction costs on an annual basis. Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities.

Environmental compliance for this program may be required depending on the scope of the specific project funded. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Scopes of Work are provided to the Bureau of Reclamation for annual award and funding.

**Award Procedure:**

Specific recipients are identified in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The non-Federal share of total project costs shall be 50 percent. Not more than 40 percent of the project costs may be paid by the State. The remainder of the non-Federal share may include in-kind contributions of goods and services, and the actual funds previously spent on feasibility and engineering studies. Awarded agreements must contain a commitment by the non-Federal project sponsors to fund their proportionate share of the project's construction costs on an annual basis. (Public Law 106-576, Section 4(b), as amended).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established with the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,199,332; FY 11 est \$50,000; and FY 12 est \$50,000

**Range and Average of Financial Assistance:**

\$5400,000 to \$7,400,000; Average \$2766,444.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Reclamation has completed and closed out three agreements. . Fiscal Year 2011: One project is complete and awaiting final payment, and four construction projects are ongoing. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Oklahoma Texas Area Office: Mr. Mark Trevino, Area Manager, Bureau of Reclamation, Address: 5316 Highway 290 West, Suite 510, Austin, TX 78735-8931, Telephone: (512) 899-4150, E-mail: mtrevino@gp.usbr.gov .

**Headquarters Office:**

Mr. Kimball M. Banks, Bureau of Reclamation, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101 Email: kbanks@gp.usbr.gov Phone: (406) 247-7710 Fax: (406) 247-7695.

**Website Address:**

<http://www.usbr.gov/gp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The examples of funded projects include agreements with Harlingen Irrigation District for canal lining/piping existing canals and automation and telemetry; Cameron County ID #2 for pump station replacement/canal lining/piping existing canals; Delta Lake ID for canal lining/piping existing canals and telemetry and gate automation; Hidalgo County ID #6 for lining of existing canals and telemetry; and United ID for piping existing canals and pump station rehabilitation. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must be compatible with the authorizing legislation and the appropriation ceiling.

**15.522 MNI WICONI RURAL WATER SUPPLY PROJECT**

Mni Wiconi Project

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Mni Wiconi Rural Project Act of 1988, Public Law 100-516, as amended; Yavapai-Prescott Indian Tribe Water Rights Settlement Act of 1994, Title VIII, Mni Wiconi Act Amendments of 1994, Public Law 103-434.; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To ensure a safe and adequate municipal, rural, and industrial water supply for the residents of the Pine Ridge Indian, Rosebud Indian, and Lower Brule Indian Reservations in South Dakota; to assist the citizens of Haakon, Jackson, Jones, Lyman, Mellette, Pennington, and Stanley Counties, South Dakota, to develop safe and adequate municipal, rural, and industrial water supplies; to promote the implementation of water conservation programs at these locations; to provide certain benefits to fish, wildlife, and the natural environment of South Dakota; and in consultation with the Oglala, Rosebud, and Lower Brule Sioux Tribes, to conduct feasibility studies on the need to develop water disposal facilities and systems and rehabilitate existing waste water disposal facilities and systems on the Pine Ridge, Rosebud, and Lower Brule Indian Reservations.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Agreements are limited to planning, designing, constructing, operating, maintaining, and replacing the Oglala Sioux, the Rosebud, and the Lower Brule Sioux Rural Water Supply Systems; and for planning and construction of the West River Rural Water System and the Lyman-Jones Rural Water System. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

West River/Lyman-Jones Water Systems and the Oglala, Rosebud, and Lower Brule Sioux tribes.

**Beneficiary Eligibility:**

The citizens of the southwest quarter of the State of South Dakota, including the Oglala, Rosebud, and Lower Brule Indian Reservations.

**Credentials/Documentation:**

Agreements for construction of projects entered into for the West River/Lyman-Jones Rural Water Systems must be in accordance with the final engineering reports submitted by each project applicant. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. At the present time, program funding is limited to amendments of existing agreements. Amendments to incorporate annual work plans and budgets are negotiated annually.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the modifications. Responsibilities for needs assessments, feasibility and environmental studies, design, conservation measures and administration are to be included in agreements negotiated under this authority.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Federal share of tribal projects is 100 percent. The Federal share of the West River/Lyman Jones projects is 80 percent. (Public Law 103-434, Section 805). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The current sunset date for the Mni Wiconi Project is December 31, 2013. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects,

quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report and upon completion of the agreement a final report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 10 \$29,875,000; FY 11 est \$20,280,000; and FY 12 est \$16,500,000. (Project Grants (Cooperative Agreements or Contracts)) FY 10 \$20,365,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range is \$50,000 to \$20,000,000; Average \$29,006,666.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Construction on the OSRWSS Core System was completed in 2010. Construction of pipeline distribution systems on the Pine Ridge Reservation, Rosebud Reservation and West River Lyman/Jones is continuing. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; 25 CFR 900, <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=2564e880f187e8168bb217e74c55909d&rgn=div5&view=text&node=25:2.0.4.10.1&idno=25/>; and OMR Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: PO Box 1017, Bismarck, ND 58501, Telephone: (701) 250-4242, E-mail: [dbreitzman@gp.usbr.gov/](mailto:dbreitzman@gp.usbr.gov/).

**Headquarters Office:**

Doug Davis, Bureau of Reclamation, Great Plains Region Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101 Email: [ddavis@usbr.gov](mailto:ddavis@usbr.gov) Phone: (406) 247-7710 Fax: (406) 247-7695.

**Website Address:**

<http://www.usbr.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Mni Wiconi Project constructed primarily pipeline conveyance and distribution systems in Fiscal Year 2009 and 2010. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering reports, and the appropriation ceiling.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection,

and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

### **15.523 PERKINS COUNTY RURAL WATER SYSTEM**

Perkins County Water Project

#### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

#### **AUTHORIZATION:**

Perkins County Rural Water System Act of 1999, Public Law 106-136.  
; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

#### **OBJECTIVES:**

Financial assistance agreements are awarded to the Perkins County Rural Water System, Inc. for the planning and construction of the water supply system, and repairs to existing public water distribution systems to ensure conservation of the resources and to make the systems functional under the new water supply system.

For ARRA funded projects and in addition to the program objectives above, Section 3 of the ARRA states the following objectives:(1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Construction of a rural water supply system that will serve the members of the Perkins County Rural Water System, Inc. in Perkins County, South Dakota. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

For Recovery Act: Acceleration of planning and construction of Perkins County Rural Water System already in progress.

#### **Applicant Eligibility:**

The Perkins County Rural Water System, Inc., Perkins County, South Dakota.

#### **Beneficiary Eligibility:**

The members of Perkins County Rural Water System, Inc. in Perkins County, South Dakota.

#### **Credentials/Documentation:**

Completion of a final engineering report and plan for a water conservation program; plans for mitigation of fish and wildlife losses in accordance with Section 5 of the Act. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Completion of a final engineering report and plan for a water conservation program; plans for mitigation of fish and wildlife losses in accordance with Sec. 5 of the Act.

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities.

For Recovery Act: Submission of request and application packet in accordance with ARRA P.L. 111-5 and 2 CFR 176. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. At the present time, program funding is limited to

amendments to the existing project agreement. Amendments to incorporate annual work plans and budgets are negotiated annually with Perkins County Rural Water System, Inc.

#### **Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the modifications.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

Not Applicable.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the project is 75 percent. (Section 7).

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Information not available.

#### **Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports during the term of agreement: (1) SF-425, Federal Financial Report; and (2) Program Performance Reports. Upon completion of the agreement, recipients shall submit a final: (1) SF 425, Federal Financial Report; and (2) Program Performance Report; and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures

For Recovery Act:

For Recovery Act projects, quarterly online reporting is required by the 10th of the month following each quarter end, in accordance with ARRA Public Law 111-5, Section 1512 and related regulations at 2 CFR 176, Subpart A. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final Federal Financial Reports SF-425. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For Recovery Act: 2 CFR 176, Subpart D - Single Audit Information for Recipients of Recovery Act Funds and specific ARRA information in OMB Circular A-133. Separate tracking of ARRA funds. Separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC). Identify ARRA titles by inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and SF-SAC.

#### **Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

#### **Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

#### **Obligations:**

(Cooperative Agreements) FY 10 \$3,100,000; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements) FY 10 \$966,810; FY 11 est \$40,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range is \$50,000 to \$3,000,000; Average \$1,368,937.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program accomplishments include substantial completion of Phase VI and VII of the water distribution system (260 miles of pipe and other appurtenances). Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: P.O. Box 1017, Bismarck, ND 58501, Telephone: (701) 221-1201, E-mail: dbreitzman@gp.usbr.gov/.

**Headquarters Office:**

Lindsey Nafts, Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101-6900 Email: LNafts@usbr.gov Phone: (406) 247-7684.

**Website Address:**

<http://www.usbr.gov/gp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The examples of funded projects include Phase VI and Phase VII of the water distribution system. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.524 RECREATION RESOURCES MANAGEMENT**

Title XXVIII

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Federal Water Projects Recreation Act of 1965, Public Law 89-72 as amended; Reclamation Recreation Act of 1992, Public Law 102-575, Title XXVIII.

**OBJECTIVES:**

To provide cost-share opportunities with non-Federal recreation partners (e.g. state, county, local governments, etc.), to assist in planning, development, operation, maintenance, and replacement of recreation and fish and wildlife resource facilities at partner managed Reclamation project recreation areas.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the ARRA states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid

reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Cost share agreements are used to provide assistance to non-Federal managing partners, who currently manage or will be managing one or more Reclamation project recreation areas, for the long-term management and care of publicly-owned recreation resources, and for the planning, construction and other facets of improving recreation access and assets. Concession contracts are not authorized by the above authorities. For further information, please contact the regional office.

**Applicant Eligibility:**

Non-Federal managing partners (e.g., state, county, local government entities, etc.), that currently manage or will be managing one or more Reclamation project recreation areas.

**Beneficiary Eligibility:**

Non-Federal recreation management partners.

**Credentials/Documentation:**

Pub. L. 89-72, as amended, requires that perspective non-Federal managing partners that will be entering into long-term agreements for management of Reclamation project recreation areas indicate their intent in writing to administer Reclamation project recreation areas and enter into such long-term agreements for management of recreation and fish and wildlife facilities. Management agreements must be current for existing partners. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending upon the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State and local governments that have managing partner agreements with Reclamation submit proposals with detailed scopes of work and budgets for recreation as well as fish and wildlife improvement projects.

Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened by Bureau of Reclamation personnel for eligibility and compliance with the requirements stated in the program funding announcement. Applications are reviewed by the Bureau of Reclamation office having administrative jurisdiction of the land and water areas being considered for public recreation purposes. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. There are no other additional requirements and the office having jurisdiction may issue a management agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be communicated to the managing partner. Management agreements are renewable if both the Bureau of Reclamation and the state or local partner are in mutual agreement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: In the case of recreation development, a minimum cost share of 50 percent is required from a non-Federal partner. For fish and wildlife enhancement projects, the Federal share is exactly 75 percent of the project cost. (16 U.S.C. 4601-13(a)).  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements are typically for one to five years depending on the type of project. See the following for information on how assistance is awarded/released:  
Information not available.

**Reports:**

Unless otherwise stated in the agreement, recipients shall submit the following reports on an annual basis: (1) SF-425, Federal Financial Report; and (2) Program Performance Reports. Upon completion of the agreement, recipients shall submit a final: (1) SF-425, Federal Financial Report; and (2) Program Performance Report; and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on a quarterly basis the Federal Financial Report SF 425. Upon completion of the agreement, recipients shall submit a final Federal Financial Report SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301 - Recovery Act; 14-0681-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$4,306,111; FY 11 est \$1,967,000; and FY 12 est \$2,991,000. (Cooperative Agreements (Discretionary Grants)) FY 10 \$6,168,933; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$15,000,000; Average \$5,144,348.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Management agreements with Reclamations non-Federal managing recreation partners facilitate long-term recreation and fish and wildlife management at Reclamation project recreation areas. Program accomplishments at Reclamations project recreation areas include, but are not limited to, the following: shoreline stabilization; Architectural Barriers Act (ABA) and Americans with Disabilities Act (ADA) compliance projects at campsites, day-use areas, restroom facilities, etc.; new water treatment systems to service the recreation area facilities; boat ramp installations/replacements;

public health and safety improvements; preparation of resource and or recreation management plans and, operation and maintenance of Reclamations designated recreation and fish and wildlife areas and facilities. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars. Program information is included in the Reclamation Manual, Directive and Standards, Implementing Cost-Sharing Authorities for Recreation and Fish and Wildlife Enhancement Facilities, LND 01-01, available at <http://www.usbr.gov/recman/Ind/Ind01-01.pdf>. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Pacific Northwest Region: (208)378-5312; Mid-Pacific Region: (916)978-5558; Lower Colorado Region: (702)293-8375; Upper Colorado Region: (801)524-3765; Great Plains Region: (406)247-7714.

**Headquarters Office:**

Vic Grizzle Bureau of Reclamation, P.O. Box 25007 (84-53000), Denver, Colorado 80225-0007 Email: [vgrizzle@usbr.gov](mailto:vgrizzle@usbr.gov) Phone: (303)445-2711 Fax: (303)445-6690

**Website Address:**

<http://www.usbr.gov/pmts/planning/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Cost-share cooperative agreements were awarded to non-Federal partners (e.g., state, county, local governmental entities, etc.) to facilitate planning, development, operation, and maintenance of recreation and fish and wildlife facilities on numerous Bureau of Reclamation water project recreation areas. Examples of funded projects include Malheur County removing and replacing half of the boat ramp at Bully Creek Reservoir in Oregon in 2010. In 2009 and 2010, Oregon Parks and Recreation Department (OPRD) installed accessible parking areas, a phone, access routes and an information kiosk at Indian Creek Campground at Lake Owyhee State Park; completed significant accessibility upgrades at Unity Lake State Recreation Area including parking, signs, access routes, two RV sites, an entry station, and demolition/stubbing in plumbing for a new accessible restroom; completed the construction of two new accessible picnic sites with parking and access routes to the new restroom in the day use area at Unity Lake State Recreation Area; resurfaced Loop A in the campground to include an accessible RV site, cabin parking and access routes, a new pay/information station with parking and revised signage to show the location of accessible features; and installed an accessible RV site and information kiosk at McCormack Campground at Lake Owyhee. The City of American Falls, Idaho installed accessible parking at the caf retrofitted the restroom/shower/laundry facility in the campground for accessibility (including access routes and parking) at Willow Bay Recreation Area on American Falls Reservoir. IDPR installed electricity for the restrooms and accessible RV sites at the Big Sage Campground and made numerous accessibility improvements at seven recreation sites to eliminate existing accessibility deficiencies at Lake Cascade State Park. The project was completed in 2010. The City of Donnelly, Idaho completed an upgrade in 2010 on their existing campground, installed four new RV sites including two accessible sites with access routes the restroom, fire rings, tables and tent pads. Santa Barbara County Parks Department completed and designed a new treatment plant and a new roof was constructed over the facility. There were continued cost-share arrangements with States of Colorado, New Mexico, and Utah to rehabilitate facilities and perform accessibility retrofits as well as implement an aquatic invasive species boat inspection, cleaning, and quarantine program at Navajo Reservoir, New Mexico. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In no priority order and at the discretion of each Reclamation office, cost-share funding that will: (a) Provide for the public's health and safety; (b) Comply with Federal, State, and local laws and regulations; (c) Protect critical resources such as wetlands, critical wildlife habitat, endangered and threatened species, and cultural resources; and (d) Modernize existing facilities to meet current

standards.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

#### **15.525 ROCKY BOY'S/NORTH CENTRAL MONTANA REGIONAL WATER SYSTEM**

North Central Montana Rural Water Supply Project

##### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

##### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Rocky Boy's North Central Montana Regional Water System Act of 2002, Title IX, Public Law 107-331; Indian Financing Amendments Act of 2002, Public Law 107-331.

##### **OBJECTIVES:**

To ensure a safe and adequate rural, municipal, and industrial water supply for the residents of the Rocky Boy's Reservation in the State of Montana, and to assist the citizens residing in Chouteau, Glacier, Hill, Liberty, Pondera, Teton, and Toole Counties, Montana, but outside the Reservation, in developing safe and adequate rural, municipal, and industrial water supplies.

For ARRA funded projects and in addition to the program objectives above, Section 3 of the Recovery Act states the following objectives: (1) to preserve and create jobs and promote economic recovery; (2) to assist those most impacted by the recession; (3) to provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and (5) to stabilize State and local governments budgets in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

##### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

##### **USES AND USE RESTRICTIONS:**

Construction of a rural water supply system that will serve the Chippewa-Cree of the Rocky Boy's Indian reservation and the surrounding, off-reservation communities in north central Montana. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

##### **Applicant Eligibility:**

The Chippewa-Cree of the Rocky Boy's Indian Reservation and the North Central Montana Regional Water Authority.

##### **Beneficiary Eligibility:**

The Chippewa-Cree of the Rocky Boy's Indian Reservation and inhabitants of the areas served by the North Central Montana Regional Water Authority in Chouteau, Glacier, Hill, Liberty, Pondera, Teton, and Toole Counties, Montana.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

The Bureau of Reclamation Great Plains Region, will assist the Chippewa-Cree of the Rocky Boy's Indian Reservation and members of the North Central Montana Regional Water Authority, in preparing their respective annual funding agreements. Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. At the present time, program funding is provided only for the continuation of existing agreements. Amendments to incorporate annual work plans and budgets are negotiated annually with the current recipients. Current recipients submit applicable SF-424 forms, technical proposals, and budget narratives for Bureau of Reclamation review.

##### **Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the modifications.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Not Applicable.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the Rocky Boy's Rural Water System project is 100 percent. The Federal share of the North Central Montana Regional Water Authority project is 80 percent. (Section 904(b) and (c), Section 905(b)).

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Funds are to be available until expended. See the following for information on how assistance is awarded/released: Not available.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the Program Performance Report. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly reporting is required. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

##### **Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act: TAFS 14-0681 2009/2010.

##### **Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 10 \$8,850,000; FY 11 est \$1,000,000; and FY 12 est \$500,000. (Project Grants (Cooperative Agreements or Contracts)) FY 10 \$7,666,000; FY 11 est \$0; and FY 12 est \$0



**Range and Average of Financial Assistance:**

\$50,000 to \$10,000,000; Average \$6,005,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Required technical and environmental reports for the construction of municipal, rural, and industrial water supply systems; beginning construction of the systems in accordance with the final engineering report.

Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Montana Area Office: Mr. Dan Jewell, Area Manager, Bureau of Reclamation, PO Box 30137, Billings, MT, 59107-0137. Telephone: (406)247-7298, E-mail: djewell@gp.usbr.gov/.

**Headquarters Office:**

Doug Davis, Bureau of Reclamation, Great Plains Region Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101 Email: ddavis@usbr.gov Phone: (406)247-7710 Fax: (406)247-7695.

**Website Address:**

<http://northcentralmontanawater.org/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Initial construction activities for the water supply system, such as pipelines and raw water intake building construction. Once built out, the system will supply water to the Rocky Boy Indian Reservation and for all or portions of Hill, Liberty, Toole, Pondera, Teton and Chouteau counties in North Central Montana. These projects are for the supply and distribution of clean drinking water to these areas. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

For ARRA funded projects: the purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.526 SAN GABRIEL BASIN RESTORATION PROJECT****FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

San Gabriel Basin Restoration Project, Appendix D, Division B, Title I, Section 110, Public Law 106-554, as amended; Energy and Water Development Appropriations Act, 2002, Title II, Section 202, Public Law 107-66; and Section 2 of Reorganization Plan Number 3 of 1950, 64 Stat. 1262, as amended.

**OBJECTIVES:**

To design, construct, operate, and maintain water quality projects within the San Gabriel Basin, Los Angeles County, California.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project grants can only be issued to reimburse recipients for the Federal share of costs associated with the design, construction, operation, and maintenance of water quality improvement projects within the San Gabriel Basin, located in Los Angeles County, California.

**Applicant Eligibility:**

San Gabriel Basin Water Quality Authority (or its successor agency) and/or the Central Basin Municipal Water District.

**Beneficiary Eligibility:**

General public, all users and indirect users of groundwater supplies in the San Gabriel Basin.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit SF 424 Application for Federal Assistance documents; detailed project technical descriptions and budgets; and all information required under the terms of the applicable appropriations law.

**Award Procedure:**

Bureau of Reclamation personnel will review (1) the application package to ensure that all required documents are complete, accurate, and satisfy all provisions of applicable law, (2) the project budgets and description to ensure the appropriation language requirements are met, and (3) the project descriptions for technical issues and consistency with applicable policies, and budgets for appropriateness of cost estimates. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed by both parties.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Typical range of 2 to 6 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions may be applicable and are subject to appropriated funds. Revised SF-424 forms are required when applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 35%. A minimum of 35 percent non-Federal cost share is required by Public Law 106-554, Section 110(a)(3)(B), as amended. The cost share can be provided from any non-Federal source; and, in accordance with Section 110(a)(3)(B)(iii), credit toward the non-Federal cost share can be given for the value of certain prior project expenditures.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements for planning and construction projects are generally awarded for up to 5 years. Funds for operation and maintenance can be provided for a period not to exceed 10 years following the initial date of operation of the project, or until the project funding ceiling has been reached, whichever occurs first. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the following reports on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not

applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. State, Local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-5483-0-2-301.

**Obligations:**

(Project Grants) FY 10 \$3,490,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$2,149,000 to \$69,000,000; Average \$1,163,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Three existing grant agreements are being funded. One will complete the construction of a specific facility, and the other two provide funds for the operation and maintenance of four facilities that extract contaminated groundwater from the San Gabriel Basin, treat it to potable standards, and use the water for potable purposes. The projects provide a safe source of potable water while remediating groundwater contamination that has been designated as operable units under the EPA superfund program. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 43 CFR 12, OMB Circulars, Program guidelines: Department of the Interior, Delegation of Authority for the San Gabriel Basin Restoration Project, Order No. 3241, Amendment No. 4; San Gabriel Basin Water Quality Authority, Federal Funding Program Administration guidelines, <http://www.wqa.com/pdfs/FFPA3.pdf>. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dennis Wolfe, Area Engineer, Southern California Area Office, Telephone: (951)695-5310; Fax: (951)695-5319; E-mail: [dwolfe@usbr.gov](mailto:dwolfe@usbr.gov).

**Headquarters Office:**

NA NA, Washington, District of Columbia NA Phone: NA

**Website Address:**

<http://www.usbr.gov/lc/socal/>

**RELATED PROGRAMS:**

15.504 Water Reclamation and Reuse Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: San Gabriel Valley Groundwater Remediation, Central Basin Water Quality Protection Plan. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are limited to the San Gabriel Basin Water Quality Authority or the Central Basin Municipal Water District. Projects must improve the quality of the groundwater in the San Gabriel Basin, located in Los Angeles County, California. The scopes of work must address and be responsive to the authorizing legislation, the final engineering reports, and the appropriation ceiling.

**15.527 SAN LUIS UNIT, CENTRAL VALLEY PROJECT**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

San Luis Unit, Central Valley Project Act of June 3, 1960, Public Law 86-488, 74 Stat. 156, Section 5.

**OBJECTIVES:**

Construction and operation of drainage facilities designed to serve the general area of which the lands to be served by the San Luis Unit are a part.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

To be used for projects that will result in construction and operation of drainage facilities in the San Luis Unit and adjacent areas. For further information, please contact the regional office.

**Applicant Eligibility:**

Any responsible source, to include irrigation and/or water districts, State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations.

**Beneficiary Eligibility:**

General public, irrigation and/or water districts, State and local entities, farmers and ranchers, agricultural producers, and property owners.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified Federal experts in the program area; however, non-Federal experts may be utilized for specific project reviews. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of

Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: There is no statutory requirement for cost sharing; however, applicants are encouraged to provide a cost share whenever possible. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Will be included in funding announcements for this program on [www.grants.gov](http://www.grants.gov). See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$4,269,500; FY 11 est \$4,800,000; and FY 12 est \$5,200,000

**Range and Average of Financial Assistance:**

\$63,000 to \$6,485,000; Average \$4,756,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: During Fiscal Year 2010 (FY2010), the financial assistance agreement in support of the Westside Regional Drainage Plan (WRDP) to control and reduce selenium and salt contamination in the Grasslands wetlands and lower San Joaquin River was modified to add \$4 million to fund development of drainwater reuse facilities and environmental mitigation. Other agreements were executed to conduct biological monitoring and real-time measurements in support of the Grassland Bypass Project (GBP). Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation.

**Regional or Local Office:**

See Regional Agency Offices. Technical/Program Information: Bureau of Reclamation, South-Central California Area Office, Attention: Michael C.S. Eacock, 1243 N Street, Fresno, CA, 93721. Telephone: (559)487-5133. Fax: (559) 487-5130. E-mail: [ceacock@mp.usbr.gov](mailto:ceacock@mp.usbr.gov).

Acquisition Office: Bureau of Reclamation, Mid-Pacific Regional Office, Acquisition Services, 2800 Cottage Way, Room E-1815, Sacramento, California 95825-1898. Telephone: (916) 978-5130. Fax: (916) 978-5175/5182. E-mail: [2WG3@mp.usbr.gov](mailto:2WG3@mp.usbr.gov).

**Headquarters Office:**

NA NA, Washington, District of Columbia NA Phone: NA

**Website Address:**

<http://www.mp.usbr.gov>.

**RELATED PROGRAMS:**

15.506 Water Desalination Research and Development Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The examples of funded projects during FY2010 include the WRDPs installation of systems to irrigate salt tolerant crops with drain water; environmental mitigation remove hazard to wildlife by converting an open ditch to a pipeline and GBPs monitoring physical and biological parameters; peer review; publication of data and technical reports. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcement posted on [www.grants.gov](http://www.grants.gov).

**15.528 ST. MARY STORAGE UNIT FACILITIES REHABILITATION PROJECT**

St. Mary Rehabilitation Project

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Energy and Water Development Appropriations Act, 2006, Title II, Public Law 109-103.

**OBJECTIVES:**

The funds are to be used on a non-reimbursable basis to fund the collection of technical and environmental data to be used to evaluate potential rehabilitation of the St. Mary Storage Unit facilities, Milk River Project, Montana.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative agreements may be awarded to the state of Montana and/or the Blackfeet Tribe to carry out the project if the Secretary of the Interior determines such agreements would be cost-effective and efficient.

**Applicant Eligibility:**

The State of Montana and the Blackfeet Tribe of Montana.

**Beneficiary Eligibility:**

The citizens of the State of Montana and the Blackfeet Tribe of Montana.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

If requested, the Bureau of Reclamation's Great Plains Region will assist both the State of Montana and Blackfeet Tribe of Montana in preparing their respective proposals. Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with (1) A detailed written technical proposal including background data regarding the

applicant, technical approach proposed to accomplish the work, a scope of work that separates the work into major tasks, type of personnel implementing the proposal, experience in performing this type of work, timeline(s), the level of cooperation with other parties involved in the proposal, and other information that may be useful for proposal evaluation. (2) A detailed project cost proposal, including a budget with the estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the value of any in-kind contributions of goods and services.

**Award Procedure:**

Once the parties agree with their respective scopes of work, Reclamation's Great Plains Region will negotiate and enter into cooperative agreements with both the State of Montana and the Blackfoot Tribe. The Tribe may choose to enter into an agreement under Public Law 93-638 the Indian Self-Determination and Education Assistance Act) Agreement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established between the Bureau of Reclamation and the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit reports on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 10 \$95,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range is \$0 to \$500,000; Average \$31,667.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Consultation with USFWS under ESA, NEPA compliance efforts, and related preliminary conceptual design work to attain compliance with ESA as it relates to bull trout, which is a threatened species under ESA. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Montana Area Office: Mr. Dan Jewell, Area Manager, Bureau of Reclamation, Address: PO Box 30137, Billings, MT, 59107-0137, Telephone: (406)247-7698, E-mail: djewell@usbr.gov.

**Headquarters Office:**

Douglas Davis, Bureau of Reclamation, Great Plains Region Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101 Email: douglasdavis@usbr.gov Phone: (406) 247-7606 Fax: (406) 247-7695.

**Website Address:**

<http://www.usbr.gov/gp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Project elements that are funded recently include participation of the Blackfoot Nation, consultation with USFWS, and preliminary conceptual design. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation and the appropriation ceiling.

**15.529 UPPER COLORADO AND SAN JUAN RIVER BASINS ENDANGERED FISH RECOVERY PROGRAMS**

Upper Colorado and San Juan River Recovery Implementation Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs, Public Law 106-392, 114 Stat. 1602, as amended; Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs Extension, Public Law 107-375, 116 Stat. 3113.

**OBJECTIVES:**

To authorize the Bureau of Reclamation to provide cost sharing for the endangered fish recovery implementation programs for the Upper Colorado and San Juan River Basins.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Recovery Implementation Programs are designed to help recover the Colorado Pikeminnow, the Razorback Sucker, Bonytail, and the Humpback Chub while allowing water development to continue in the Upper Colorado and San Juan River Basins. The term "Recovery Implementation Programs" means the intergovernmental programs established pursuant to the 1988 and 1992 Cooperative Agreement described in Section 2 of the Act. The major portion of the work (between 90 percent to 97 percent) will be accomplished through mandatory grant and cooperative agreement awards established by these intergovernmental Cooperative Agreements. The types of projects authorized by these Cooperative Agreements include Administration of Water Rights; Oversight of the Development of Water Resources; Protection and Management of Fish and Wildlife Resources; Projects related to Tribal Sovereignty; Long Range Plan and Program Goal Development; Protection, Management and

Augmentation of Habitat; Interactions Between Native and Non-Native Fish Species; and Monitoring and Data Management. Periodically, the Bureau of Reclamation will have discretionary funding available to make awards for certain types of projects. When this project funding becomes available, funding opportunity announcements will be posted to [www.Grants.gov](http://www.Grants.gov) or [Fedbizopps.gov](http://Fedbizopps.gov).

**Applicant Eligibility:**

Federal, Interstate, Intrastate, State and Local governments; Public Institution/Organizations, and Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Indian Tribes in the location of the San Juan River Basin and in the Duchesne River Basin, and the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Depending on the project to be accomplished, an environmental impact statement may be required for this program, but not until after receipt of applications. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All discretionary funding opportunities will be posted on [www.grants.gov](http://www.grants.gov) or [fedbizopps.gov](http://fedbizopps.gov). The funding opportunity will include the name of the Federal agency, the Funding Opportunity Title of work associated with the project, the application due date, eligible applicants, the federal funding amounts per agreement, the estimated number of agreements to be awarded, and the overall total amount of funding available for awards. All applicants, whether submitting projects under the mandatory or discretionary portions of this authority, will be required to submit a Standard Form 424, Application for Federal Assistance, and Standard Forms 424B or 424D for Assurances must also be submitted. A detailed budget worksheet guide form will be included to assist in preparation of the budgeted amount requested. The Funding Opportunity posting will identify the program description, background and purpose, program objectives, objective or request for proposals, eligible projects, types of projects, and program authority. General provisions and special provisions, along with reporting requirements will be identified to provide applicants with information that must be followed if an award is made. The funding opportunity will identify a point of contact for assistance or consultation for preparing the form.

**Award Procedure:**

Upon receipt of applications by the date identified in the announcement(s), the applications will be reviewed to determine if applications are consistent with requirements identified in the announcements. The application/proposal(s) are reviewed by a Federal technical team of experts (along with state and private advisors) against identified criteria. Negotiations, revised applications, or awards will be made based on recommendations from the technical experts. Proposals submitted under the mandatory authority portion of this program will undergo a similar review and screening procedure.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 Days.

**Appeals:**

The Bureau of Reclamation will, however, provide all applicants with information on why their proposals were not selected.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Non-Federal contributions to capital projects shall be made in accordance with the provisions of Sec. 3(c) of the Act. Contact the Regional Office listed in the Contacts section, below, for further information regarding cost sharing requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements and grants are normally written for a 1 to 5 year period. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the Program Performance Reports. Upon completion of the agreement, recipients shall submit final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4081-0-3-301.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$2,062,033; FY 11 est \$2,500,000; and FY 12 est \$2,500,000

**Range and Average of Financial Assistance:**

\$10,000 to \$322,000; Average \$2,354,011.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, the Recovery Programs continued to provide ESA coverage to dozens of state, federal and private water development projects while advancing endangered fish recovery. The programs implemented management actions and projects to recover endangered fish in the areas of in-stream flow protection, habitat restoration, nonnative fish management, propagation and genetics, research and monitoring, information and education, and program management. Specific examples include operation and maintenance of river gages and infrastructure (fish passages and screens), installation of electronic fish monitoring antennae, coordination of reservoir operations, management of floodplain wetland rearing habitats including stocking of endangered fish in managed wetlands, removal of and translocation of nonnative fish, propagation and stocking of endangered fish, planning for pond construction, research and monitoring of early life history endangered fish survival including larval fish monitoring, database management, population estimates, maintenance of program website and publication of outreach materials. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Mark McKinstry and Dave Speas, Bureau of Reclamation, 125 South State Street, Salt Lake City, UT 84138; (801) 524-3835; mmckinstry@usbr.gov.

**Headquarters Office:**

NA NA, Washington, District of Columbia NA Phone: NA

**Website Address:**

<http://www.usbr.gov/uc/wcao/rm/sjrip/>  
<http://www.fws.gov/southwest/sjrip/index.html>  
<http://www.coloradoriverrecovery.org/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: During Fiscal Year 2009 and 2010, the examples of funded projects include the Recovery Program Gage stream gage operation and maintenance; Grand Valley diversion dam fish screen and passage operation and maintenance; Middle Yampa, Green and Colorado river smallmouth bass and pike management; San Juan river nonnative fish removal; Wahweap and Mumma State Fish Hatchery operation and maintenance; Yampa and middle Green Colorado pikeminnow and razorback sucker larval, young-of-year fish surveys and adult fish surveys; UCRIP and San Juan RIP information and education; propagation, rearing and stocking of Colorado pikeminnow; Operation of PNM Fish Passage Facility by Navajo Nation; sub-adult and adult large-bodied fish monitoring in the San Juan River; larval fish monitoring in the San Juan River; specimen identification and curation of fishes from the San Juan River; habitat mapping and evaluation in the San Juan River; and purchase of PIT tags and readers for endangered fish in the Colorado River Basin. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcement posted on [www.grants.gov](http://www.grants.gov) for [fedbizopps.gov](http://fedbizopps.gov).

**15.530 WATER CONSERVATION FIELD SERVICES PROGRAM (WCFSP)**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Section 9504 of the Omnibus Lands Management Act of 2009, P.L. 111-11; Fish and Wildlife Coordination Act, Pub. L. 85-624, 75 Stat. 563, 16 U.S.C. 661 et seq. (through Secretarial delegation at 255 DM 14); and the Reclamation Projects Authorization and Adjustment Act of 1992, Title XXXIV-Central Valley Project Improvement Act, Pub. L. 102-575.

**OBJECTIVES:**

The goal of the Water Conservation Field Services Program (WCFSP) is to proactively encourage water conservation in the operations of recipients of water from

Federal water projects, to assist agricultural and urban water districts in preparing and implementing water conservation plans in accordance with the Reclamation Reform Act of 1982 (RRA), and to complement and support State and other conservation programs.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funding is to be used for projects that fall under the following categories: (1) development of water management and conservation plans; (2) implementation of efficiency measures; and (3) demonstration activities. Financial assistance is generally limited to \$100,000 or less. For further information, please contact the regional office.

**Applicant Eligibility:**

Subject to authorizing legislation. For projects funded under the authority of P.L. 111-11, eligible applicants include:

In accordance with P.L. 111-11, Section 9502, eligible applicants include any: state, Indian tribe, irrigation district, water district, or other organization with water or power delivery authority.

Applicants must also be located in the western U.S. or Territories as identified in the Reclamation Act of June 17, 1902, as amended and supplemented; specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, Wyoming, American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands.

**Beneficiary Eligibility:**

The general public and irrigation or water districts located in the 17 western States identified in the Act of June 17, 1902, as amended; specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, and Wyoming.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. The number of awards and maximum funding amount per award are determined on an annual basis and are dependent upon the amount of available funding in each Region.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Continuation of funding for activities within the WCFSP from one fiscal year to the next is at the discretion of Congress. Generally, applicants should propose projects that can be completed within 24 months from the project start date. However, multi-year proposals may be considered if it can be demonstrated that there will be measurable on-the-ground accomplishments each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the cost of a project activity carried out under the WCFSP shall generally not exceed 50 percent of the total cost of the project activity, and dependent upon the project and authorizing

legislation, the Federal share of project funding may be less than 50 percent. Costs of operation, maintenance, repair and rehabilitation of facilities funded under the authority of this program shall be nonfederal opportunities. Cost-share requirements vary upon Region. Please contact the Regional or Area Office Water Conservation Coordinator located in the Region in which the proposed project is located for specific information. Projects awarded under the following authorities have mandatory recipient cost sharing requirements as follows: Reclamation Projects Authorization and Adjustment Act of 1992, Title XXXIV-Central Valley Project Improvement Act, Pub. L. 102-575, cost share varies in accordance with the type of project (see Sec. 3406 and 3407); and Section 9504 of the Omnibus Lands Management Act of 2009, P.L. 111-11 requires a 50% cost share. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects typically are awarded for up to 24 months; however, some projects may be awarded for periods of up to 5 years. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit annually Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit annually the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$3,074,444; FY 11 est \$3,000,000; and FY 12 est \$3,000,000

**Range and Average of Financial Assistance:**

\$5,000 to \$100,000; Average \$3,024,815.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Assistance to districts towards development of water conservation plans, assistance with implementation of efficiency improvement measures identified in plans, demonstrations of new technology, leveraging of resources through collaboration between water districts and other entities by encouraging and developing partnerships. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Regional contact information may be found at <http://www.usbr.gov/waterconservation/wtrctrs.html>. This website includes a map to help you locate the appropriate office for your area.

**Headquarters Office:**

NA NA, NA, District of Columbia NA Phone: NA

**Website Address:**

<http://www.usbr.gov/waterconservation/>.

**RELATED PROGRAMS:**

15.507 Water 2025

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Southern San Joaquin Municipal Utility District will replace measuring devices with more accurate flow meters. The increased accuracy will reduce losses from inaccurate meters and allow better management of 3,600 acre-feet of water per year. The District will also be able to increase the accuracy of their water balance and water accounting and deliver more accurate delivery information to the farmer to assist in irrigation scheduling.

In the Lake Mead National Recreation Area, Reclamation and the National Park Service have entered into an agreement to cost-share the rehabilitation of obsolete irrigation systems and replacement of non-native vegetation at Cottonwood Cove and Echo Bay campgrounds. This project is expected to save more than 53 million gallons of water annually, reducing the park's consumptive water use by 70 percent.

With WCFSP funding, the East Bay Municipal Utility District will install and test approximately 100 fixed network acoustic leak detection technology loggers to detect leaks on pipeline and provide early detection of pipeline leaks before they become main failures. The District estimates the project will save 340 acre/feet of water per year. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov). Reclamation-wide Evaluation Criteria are as follows:

Water Management Planning 100 Total Points Available  
Association with Reclamation Project Water Supplies  
Reasonableness of cost  
Extent to which Federal funding would promote completion of an activity that might otherwise be delayed or postponed  
Amount and sources of non-Federal funding (i.e., cost share)  
Other criteria as developed by regional and area offices to address local goals and priorities.

Implementation of Efficiency Measures 95 Total Points Available  
Association with Reclamation Project Water Supplies  
Extent to which applicants Water Management Plan is complete and updated (N/A if applicant is not required to have a plan in place)  
Reasonableness of cost  
Extent to which the proposed activity is expected to improve water use efficiency  
Extent to which Federal funding would promote completion of an activity that might otherwise be delayed or postponed  
Amount and sources of non-Federal funding (i.e., cost share)  
Likelihood that any environmental and cultural resources issues associated with the proposal can be addressed at low cost and in a timely manner  
Extent to which proposal demonstrates a sound implementation strategy  
The applicants strategy for monitoring performance and reporting and disseminating results  
Other criteria as developed by regional and area offices to address local goals and priorities.

Demonstration Projects 90 Total Points Available  
Association with Reclamation Project Water Supplies  
Extent to which applicants Water Management Plan is complete and updated (N/A if applicant is not required to have a plan in place)  
Reasonableness of cost  
Extent to which the proposed activity will demonstrate innovative conservation technologies for improving water use efficiency (including applied research to benefit development of new technologies; demonstration of a specific

conservation technology; or innovative application of existing technology with the intent of evaluating results)

Extent to which Federal funding would promote completion of an activity that might otherwise be delayed or postponed

Amount and sources of non-Federal funding (i.e., cost share)

Likelihood that any environmental and cultural resources issues associated with the proposal can be addressed at low cost and in a timely manner

Extent to which proposal demonstrates a sound implementation strategy

The applicants strategy for monitoring performance and reporting and disseminating results

Other criteria as developed by regional and area offices to address local goals and priorities.

### **15.531 YAKIMA RIVER BASIN WATER ENHANCEMENT PROJECT (YRBWEP)**

#### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Yavapai-Prescott Indian Tribe Water Rights Settlement Act of 1994, Title XII, Yakima River Basin Water Enhancement Project, Public Law 103-434.

#### **OBJECTIVES:**

Within the Yakima River Basin: (1) to protect, mitigate, and enhance fish and wildlife through improved water management; improved instream flows; improved water quality; protection, creation and enhancement of wetlands; and by other appropriate means of habitat improvement; (2) to improve the reliability of water supply for irrigation; (3) to authorize a Yakima River basin water conservation program that will improve the efficiency of water delivery and use; enhance basin water supplies; improve water quality; protect, create and enhance wetlands, and determine the amount of basin water needs that can be met by water conservation measures; (4) to realize sufficient water savings from the Yakima River Basin Water Conservation Program so that not less than 40,000 acre-feet of water savings per year are achieved by the end of the fourth year of the Basin Conservation Program; (5) to encourage voluntary transactions among public and private entities which result in the implementation of water conservation measures, practices and facilities; and (6) to provide for the implementation by the Yakima Indian Nation at its sole discretion of (A) an irrigation demonstration project on the Yakima Indian Reservation using water savings from system improvements to the Wapato Irrigation Project, and (B) a Toppenish Creek corridor enhancement project integrating agricultural, fish, wildlife, and cultural resources.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

To participate in the Conservation Basin Program an entity must submit a proposed water conservation plan to the Secretary of the Interior. Assistance is limited to those entities (districts, irrigation districts, individuals, or other entities) that equip all surface water delivery systems within their boundaries with volumetric water meters or equally effective water measuring methods within five years of the date of enactment of this Act. The Yakima Nation is not included in the provisions of this, Section 1203, except as to any funds specifically applied for from the Basin Conservation Program. The Secretary of the Interior may use appropriated funds to purchase, or lease, land, water, or water rights from an entity or individual willing to limit or forego water use on a temporary or permanent basis. Funds used for purchase or lease under this

paragraph are not subject to the cost sharing provisions of Section 1203(d).

#### **Applicant Eligibility:**

State of Washington, and Federally Recognized Indian Tribal Governments, water and irrigation districts, and water rights owners located in the project area.

#### **Beneficiary Eligibility:**

Anyone/General Public, Intrastate, Local, Individual/Family, and Federally Recognized Indian Tribal Governments within the project area.

#### **Credentials/Documentation:**

Eligible entities must submit a proposal to develop a Water Conservation Plan. Once the Water Conservation Plan has been developed it is to be submitted to the Bureau of Reclamation, Pacific Northwest Region, Upper Columbia Area Office, in accordance with the information included in the funding opportunity announcement that will be posted at [www.grants.gov](http://www.grants.gov). Only entities with approved Water Conservation Plans are eligible for consideration for feasibility studies. Only entities with an approved Water Conservation Plan and approved feasibility study are eligible for potential implementation of conservation measures. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Single Source/Notice of Intent to Award announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of personnel from the Bureau of Reclamation, Pacific Northwest Regional Office, who are qualified experts in the program area. Applications will be reviewed against YRBWEP Authority criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. Entities meeting the basic criteria for participation in the YRBWEP must enter into a cost sharing agreement prior to beginning project work.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project.

#### **Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Unless otherwise stated in the Act: (1) Development of water conservation plans 50 percent non-Federal share, but not more than \$200,000 per recipient; (2) Investigation of specific water conservation measures 50 percent State share and 20 percent local share, but sum of (1) and (2) shall not be greater than \$200,000 per recipient; (3) and (4) Implementation and post implementation monitoring and evaluation 17.5 percent State share, and 17.5 percent local share. (Section 1203(d)).

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**



Agreements are normally written for a 1 to 5 year period. Implementation agreements may be written to cover the period estimated in the approved Water Conservation Plan and Feasibility Study. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis Program Performance Reports. Annually, recipients shall submit an annual Program Performance Report. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,400,000; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements) FY 10 \$6,192,661; FY 11 est \$8,700,000; and FY 12 est \$6,300,000

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$44,700,000; Average \$7,530,887.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2009 and 2010, Benton Irrigation began constructing a pump diversion and piping their entire water delivery system; the Roza Irrigation District worked on updating their Feasibility Study; the Kennewick Irrigation District worked on preparing a Feasibility Study from the conservation measures in their conservation plan; and Sunnyside Division Board of Control worked on construction of a reregulating reservoirs, installed eleven additional automated check structures and completed approximately twenty-one miles of pipe installation. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. David Kaumheimer, YRBWEP Manager, 1917 Marsh Rd., Yakima, WA 98901, Phone: 509-575-5848 ext. 209, Fax: 509-454-5611, email: dkaumheimer@usbr.gov.

**Headquarters Office:**

Director, Bureau of Reclamation, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202) 208-3100.

**Website Address:**

<http://www.usbr.gov/pn/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: An example of a funded project include conducting Feasibility Investigations of measures identified in irrigation district Water Conservation Plans, which include investigation of regulating reservoirs and lateral piping projects. Also, the implementation of water conservation measures identified in the Feasibility Investigations which includes the construction of reregulation reservoirs, automated canal check structures and lateral piping. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov). Initial selection based on projects that would meet/fulfill the objectives of YRBWEP. After Water Conservation Plans are approved, feasibility studies are approved for those projects/measures that appear to result in the greatest benefit to YRBWEP. Implementation awards are based on those that are the most cost effective and result in the greatest water savings.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.532 CENTRAL VALLEY PROJECT, TRINITY RIVER DIVISION, TRINITY RIVER FISH AND WILDLIFE MANAGEMENT**

Trinity River Restoration Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Central Valley Project Improvement Act (CVPIA), 1992, Public Law 102-575, Title 34, Section 3406(b)(1).

**OBJECTIVES:**

To address impacts of the Central Valley Project (CVP) on fish, wildlife, and associated habitats in the Trinity River basin of California by protecting, restoring, and enhancing such habitats and to address other identified adverse environmental impacts of the Central Valley Project.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

All funding is discretionary and intended for projects that support the goals and objectives of the Program and meet the requirements specified in the CVPIA and Record of Decision. For further information, please contact the regional office.

**Applicant Eligibility:**

State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi- public nonprofit institutions/organizations, and other private institutions/organizations.

**Beneficiary Eligibility:**

General public, public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is

required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Funding Opportunity Announcement (FOA) will be posted at Grants.gov as funding is made available by the Bureau of Reclamation. Applications shall include: 1) A detailed written technical proposal that should include information such as a scope of work which separates the work into major tasks, the approach proposed to accomplish the work, type of personnel who will participate in accomplishing the work, background and location of applicant, any equipment that will be utilized by the project applicant, experience in this type of work, an estimate of the costs and/or cost savings, any economic benefit, and any other information that may be useful for proposal evaluation. 2) A detailed cost proposal including a budget covering salaries and wages, fringe benefits, travel, equipment, supplies, subcontracts, indirect cost rates, funding sources and commitments, cost-sharing, and a breakdown of costs by task. In addition, applicants must submit all applicable SF 424 forms, which are referenced in the FOA.

**Award Procedure:**

The number of awards, maximum funding amount per award, and areas of interest for which proposals will be considered, are determined on an annual basis and are dependent upon the annual appropriation from Congress. Proposals received in response to the FOA are reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the FOA. The review team will consist of Federal personnel and qualified non-Federal personnel when specific expertise is required by the review team. The Bureau of Reclamation will make awards to the highest rated proposals based on the amount of funding available each year. The Bureau of Reclamation reserves the right to prioritize projects based on availability of funds and to ensure balance among the program objectives listed in the FOA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be provided for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov).

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory formula or matching requirements; however, project cost sharing is encouraged. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Proposals will be requested for projects of varying durations. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on an annual basis the Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an

annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-300.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$3,964,204; FY 11 est \$4,000,000; and FY 12 est \$4,000,000

**Range and Average of Financial Assistance:**

Range is \$25,000 to \$720,000; Average \$3,988,068.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Recent accomplishments include completing Phase 1 mechanical channel rehabilitation projects (23 out of 47 sites), augmenting the Trinity River with over 90,000 tons of spawning gravel, implementing ten watershed restoration projects to prevent fine sediment from impacting the mainstream, and performing ongoing monitoring and assessments intended to measure program performance and guide decision making. Fiscal Year 2011: Not Applicable. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Trinity River Restoration Program, Attn: Jennifer Faler, P.O. Box 1300, Weaverville, CA 96093. Telephone: (530) 623-1802. Fax: (530) 623-5944.

**Headquarters Office:**

NA NA, NA, District of Columbia NA Phone: NA

**Website Address:**

<http://www.usbr.gov/mp/ncao/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of funded projects include Public Information and Outreach, Watershed Coordination, Target Watershed Implementation, Fisheries Survey, Channel rehabilitation design and surveying, Habitat Assessment, Western Pond Turtle Assessment, and Integrated Information Management System. Fiscal Year 2011: Not Applicable. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation criteria will vary according to project and will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.533 CALIFORNIA WATER SECURITY AND ENVIRONMENTAL ENHANCEMENT**

California Bay-Delta Authorization Act (CALFED)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Water Supply, Reliability, and Environmental Improvement Act, Title I California Water Security and Environmental Enhancement, Public Law

108-361.

**OBJECTIVES:**

The purpose of the CALFED Bay-Delta Authorization Act is to authorize the Secretary of the Interior and the heads of the other Federal implementing agencies to carry out specific activities identified in the Act in furtherance of the CALFED Bay-Delta Program as set forth in the CALFED Bay-Delta Program Record of Decision dated August 28, 2000. The primary objectives of the program are to expand water supplies to ensure efficient use through an array of projects and approaches, improve water quality from source to tap, improve the health of the Bay-Delta system through restoring and protecting habitats and native species, and improve the Bay-Delta levees to provide flood protection, ecosystem benefits, and protect water supplies.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Available funding is limited to grants and cooperative agreements with agencies of the State of California for Program-wide management, oversight and coordination activities as defined in section 103(f)(A) of Public Law 108-361.

**Applicant Eligibility:**

Agencies of the State of California.

**Beneficiary Eligibility:**

The general public located in and near the California Bay-Delta area.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental compliance maybe required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must submit all applicable SF-424 forms; and a statement of work separating the work into major tasks, level of cooperation with parties involved, and how the subject proposal will provide the outcome sought.

**Award Procedure:**

Applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified Federal or non-Federal experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. Maximum funding amount is dependent upon the annual appropriation from Congress.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project or activity.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation of funding from one fiscal year to the next is at the discretion of Congress.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the costs of a project or activity

carried out under this Program may vary dependent upon activity and authority. Costs of operation, maintenance, repair and rehabilitation of facilities shall be a nonfederal responsibility. Per Section 103(f)(4)(B), PROGRAM-WIDE ACTIVITIES, of the amount referred to in subparagraph (A), not less than 50 percent of the appropriated amount shall be provided to the California Bay-Delta Authority to carry out Program-wide management, oversight, and coordination activities.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally for 24 months or less; multi-year projects may be considered if justified and annual accomplishments can be demonstrated. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis quarterly basis the Federal Financial Report SF-425 and upon completion of the agreement, recipients shall submit a final SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0687-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 10 \$259,906; FY 11 est \$6,500,000; and FY 12 est \$6,800,000

**Range and Average of Financial Assistance:**

Range is \$80,000 to \$1,000,000; Average \$4,519,969.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, funding was made available for the Delta Science Program supporting the Delta Stewardship Council, a CA state agency. This initiative is an inter-agency plan to develop a single, integrated biological opinion for the California Bay-Delta and water operations of the Central Valley Project and State Water Project. This strategy stresses the importance of conducting independent scientific peer reviews at various milestones in the Bay Delta Conservation Plan (BDCP) process. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, [www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1](http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1), and OMB Circulars [www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Bureau of Reclamation, Mid-Pacific Region, 2800 Cottage Way, Special Projects Office (MP-120), Sacramento, CA 95825; Telephone: (916) 978-5022; Fax: (916) 978-5528.

**Headquarters Office:**

NA NA, NA, District of Columbia NA Phone: NA

**Website Address:**

www.mp.usbr.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of projects funded in Fiscal Year 2010 include an agreement that provided for public outreach to Central Valley, Bay-Delta and Northern California water interests, and executive briefings in Sacramento. The project provided printed and multimedia educational materials, such as the Laypersons Guide series and other documentaries. Funding provided for the Interagency Ecological program provides for the collection and assembly environmental data and information needed for the water operations of the CVP and SWP. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in application packages and any funding announcements posted on www.grants.gov.

**15.534 MISCELLANEOUS PUBLIC LAW 93-638 CONTRACTS, GRANTS, AND COOPERATIVE AGREEMENTS****FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Title I, Public Law 93-638, 25 U.S.C 450 ; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

Project funds are to be provided on a non-reimbursable basis for construction and/or non-construction activities which are primarily for the benefit of Indians because of their protected status.

For ARRA funded projects and in addition to the program objectives above, the Section 3 of the Act states the following objectives: to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Contracts, grants, and cooperative agreements are authorized for construction and non-construction projects. Certain restrictions will be applicable based on the specific statutory authority that authorizes the project. This CFDA number will not be utilized if there is a more specific CFDA number applicable to the project. For further information, please contact regional office.

**Applicant Eligibility:**

Federally recognized Indian tribes and tribal organizations in the 17 western states are eligible applicants; however, eligibility alone does not establish a "program."

**Beneficiary Eligibility:**

Federally recognized Indian tribes and tribal organizations.

**Credentials/Documentation:**

(1) Each contract, grant, or cooperative agreement requires project specific authority. (2) Detailed written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timeliness, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation. (3) Detailed project cost proposals, including budgets with estimated project costs,

including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contribution of goods and services. (4) The awarded contract, grant, or cooperative agreement must contain an authorizing resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial proposals must contain the information specified as 25 CFR Part 900. Proposals shall be submitted to the applicable Reclamation office with responsibility for the specific project for which a Tribe or tribal organization proposes to participate. Reclamation will provide technical assistance to Tribes in the development of their proposals as requested, pending availability of appropriations.

**Award Procedure:**

Reclamation and the Tribe develop a negotiation schedule and then negotiate the overarching contract/award terms, provisions and conditions based on the requirements of Public Law 93-638, 25 CFR Part 900, any specific requirements of the project authorizing legislation, and other applicable Federal laws and regulations. Reclamation and the Tribe also negotiate an Annual Funding Agreement (AFA), which identifies activities to be performed, funds to be provided, and the method of payment for the initial year of the contract. A final contract agreement is prepared based upon the outcome of the negotiations; attachments include the work plan, budget, tribal resolution, initial AFA, property list, list of any applicable provisions, terms, and conditions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As specified for the project.

**Appeals:**

Not Applicable.

**Renewals:**

Will vary with project or award.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of projects will vary. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. The reporting of progress report requirements will be negotiated within the AFA or overarching terms and conditions. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the award terms and conditions. Recipients are required to report quarterly progress in www.FederalReporting.gov. The Federal Financial Report SF 425 is required. The reporting of financial status report requirements will be negotiated within the AFA or overarching terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Indian Tribal governments and organizations shall maintain project records in accordance with 43 CFR 12.82, Public Law 93-638, and 25 CFR Part 900.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act TAFS 14-0681 2009/2010.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$500,000; Average \$0.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program accomplishments may entail a variety of activities with tribes, including those relating to the settlement of Indian water rights. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 U.S.C. 450 (Public Law 93-638, 25 CFR Part 900, OMB Circular A-87 (2 CFR 225), and OMB Circular A-133.

**Regional or Local Office:**

None.

**Headquarters Office:**

Commissioner, Office of the Commissioner, Bureau of Reclamation, 1849 C Street, N.W., Washington, District of Columbia 20240-0001 Phone: (202) 513-0501.

**Website Address:**

<http://www.usbr.gov/native/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: An example of a funded project is the Gila River Indian Community which includes various features of a project designed to deliver and distribute water for irrigation. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants must meet the requirements of Public Law 93-638, 25 CFR Part 900 and any additional criteria specific to the authorizing legislation for the project. The project must be contractible under Public Law 93-638.

For Recovery Act funded projects the purposes are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environment protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.535 UPPER COLORADO RIVER BASIN FISH AND WILDLIFE MITIGATION PROGRAM.**

**FEDERAL AGENCY:**

Department of the Interior

**AUTHORIZATION:**

Reclamation Projects Authorization and Adjustment Act of 1992; American Recovery and Reinvestment Act of 2009, Public Law 111-5; Fish, Wildlife, and Recreation Mitigation and Conservation, Title 3, Section 314, Public Law 102-575.

**OBJECTIVES:**

To protect, restore and enhance wetland and upland ecosystems for the conservation of fish and wildlife resources in the upper Colorado River basin.

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The purpose is to benefit fish and wildlife resources adversely affected by the construction and operation of Federal water resource developments authorized by the Colorado River Storage Project Act of 1956 (Public Law 84-485). Projects are for fish and wildlife habitat improvements and recreation in accordance with the goals and criteria established by Congress in Section 314 of the Central Utah Project Completion Act (CUPCA). Projects supplement historic water resource development mitigation that has occurred, expand previous mitigation efforts to address unforeseen circumstances, or otherwise benefit associated wildlife habitat and public interests. By statutory restriction, funds are expended outside the state of Utah. For further information, please contact the regional office.

**Applicant Eligibility:**

State and local government agencies, Federal recognized Indian Tribal governments, private nonprofit institutions/organizations; public nonprofit institutions/organizations; for-profit organizations, interstate and intrastate entities, and individuals. While entities within the state of Utah are eligible to receive funds under this program, funds must be expended for project activities outside the State of Utah.

**Beneficiary Eligibility:**

State and local government agencies, Federally recognized Indian Tribal governments, private nonprofit institutions/organizations; public nonprofit institutions/organizations; for-profit organizations, interstate and intrastate entities, and individuals. While entities within the state of Utah are eligible to receive funds under this program, funds must be expended for project activities outside the State of Utah.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants submit written technical and budget proposals in accordance with guidance stated in the annual program announcement. The standard application forms required by 43 CFR 12, Subparts C and F, must be used. Preparation of Environmental Impact Statement/Environmental Assessment and compliance with the Federal Endangered Species Act and other Federal environmental laws may be prerequisites, based on impacts of the proposed action, prior to receiving federal assistance/funding. State Plans are not required.

**Award Procedure:**

Projects ranking highest against the program criteria for selecting proposals as stated in the annual funding announcement (see Criteria for Selecting Proposals, below), and consistent with available funding, are requested to submit a draft grant or cooperative agreement along with supporting forms and documents. Applicants will work with the CUPCA program office to complete required documents and execute the award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Funding decisions are made at least annually. Deadlines for applications are stated in the annual program solicitation of proposals. Contact the program office for information on deadlines for applications in the current year. The range of the approval time is 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Recipients may request renewal of existing projects or additional projects to meet program goals and objectives. Renewals are contingent upon Congressional appropriations to the program, a continued high relevancy ranking based on program criteria, and recipients satisfactory progress on the approved scope of work.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program does not have a statutory formula or matching requirement. However, the program seeks to leverage available Federal funding and will give enhanced consideration to applicants offering cost-sharing participation in the form of contributed funds, in-kind labor, materials or equipment contributions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally written for a 1 to 5 year period with funding provided only for the current year. See Renewals, above. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

All projects and activities are monitored for progress and compliance with the agreed-upon scope of work. Projects funded under the American Recovery Act of 2009 will be required to have additional reporting requirements as described in announcement packages at [www.grants.gov](http://www.grants.gov). Written quarterly progress reports detailing project accomplishments are generally required, as are written reports upon completion of the project. Periodic site visits and internal reports are completed by the CUPCA program office. Recipients are required to submit periodic requests for advance or reimbursement of funds using the SF-270, or may request payments through the Automated Standard Application for Payments (ASAP) system. Recipients also submit Financial Status Reports annually within 90 calendar days after the grant year (i.e., 12 months after the approved effective date of the assistance agreement and every 12 months thereafter until the expiration date of the assistance agreement). A final Financial Status Report is required within 90 calendar days after the expiration or termination of the assistance agreement. Written quarterly progress reports detailing project accomplishments are generally required, as are written reports upon completion of the project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0786-0-1-301 - ARRA Funds; 14-0787-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 10 \$37,000;

FY 11 est \$37,000; and FY 12 est \$37,000

**Range and Average of Financial Assistance:**

\$5,000 to \$200,000; Average \$37,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Created, restored and enhanced waterfowl wetlands; secured major conservation easements protecting upland wildlife range; monitored effects of significant bio-control agents. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Requirements and previous Program Accomplishment Reports are available from the Information Contacts listed below.

**Regional or Local Office:**

See Regional Agency Offices. Central Utah Project Completion Act Office, Program Director  
302 East 1860 South  
Provo, Utah 84606  
Telephone: 801/379-1237  
FAX: 801/379-1209 E-mail: [rrmurray@usbr.gov](mailto:rrmurray@usbr.gov).

**Headquarters Office:**

Assistant Secretary of the Interior for Water and Science 1849 C Street, N.W., Mail Stop MIB6640, Washington, District of Columbia 20240 Email: [rswanson@uc.usbr.gov](mailto:rswanson@uc.usbr.gov) Phone: (801) 379-1254 Fax: (801) 379-1209.

**Website Address:**

<http://www.cupcao.gov>

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund; 15.631 Partners for Fish and Wildlife; 15.637 Migratory Bird Joint Ventures

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Constructed diversion dam on Green River to enhance waterfowl and shorebird wetlands improvements; secured 200-acre conservation easement protecting both streamside upland wildlife range; and continued biological monitoring of non-target riparian plant and wildlife species after introduction of a bio-control agent. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for funding projects have been established by Congress in the authorizing legislation (Public Law 102-575) at Section 314(c). Generally, these criteria require that projects restore damaged natural ecosystems on public lands and waterways affected by Federal Reclamation projects in the upper Colorado River basin. In addition, priority is given to projects that assist recovery of endangered or sensitive species or ecosystems, allow reintroduction of native flora and fauna, control or eliminate exotic pest species, or provide enhanced conservation value to state and local government lands. A complete list of program criteria is available at the address listed in Information Contacts (:151). Projects that leverage grant funds with applicant funds, or in-kind services, will receive bonus consideration, but not automatic preference.

For ARRA funded projects, the evaluation criteria also address the following priorities established in the Conference Report for Title IV: (a) Programs, projects, or activities that can be obligate/executed quickly; (b) Programs, projects, or activities that will result in high, immediate employment; (c) Programs, projects, or activities that have little schedule risk; (d) Programs, projects, or activities that will be executed by contract or direct hire of temporary labor; and (e) Programs, projects, or activities that will complete either a project phase, a project, or will provide a useful service that does not require additional funding. Specific evaluation criteria will be included in the annual funding opportunity announcement.

**15.536 DESCHUTES RIVER CONSERVANCY (DRC)**

Deschutes River Conservancy (DRC)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Oregon Resource Conservation Act of 1996, Public Law 110-229, 110 Stat. 009.

**OBJECTIVES:**

The DRC is a 501(c)3 private non-profit organization dedicated to restoring stream flow and improving water quality in Oregon's Deschutes Basin. The DRC brings together irrigators, environmental groups, and state, federal, and tribal agencies to restore the Deschutes River and its tributaries through basin planning, large-scale agricultural water conservation, and cooperative market-based approaches.

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Will propose ecological restoration projects on both Federal and non-Federal lands and waters to be undertaken in the Deschutes River Basin based on a consensus of the Working Group, provided that such projects, when involving Federal land or funds, shall be proposed to the Bureau of Reclamation in the Department of the Interior . . . with affected land or funds..

**Applicant Eligibility:**

Deschutes River Conservancy.

**Beneficiary Eligibility:**

General public, government agencies, and water management authorities located in the Deschutes River Basin.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

These projects have met the requirements of the National Environmental Policy Act (NEPA) of 1969. Any proposed changes in the scope of the project will be reviewed for continued compliance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Annual work plans and budgets are negotiated annually. The applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with technical proposals and budget narratives.

**Award Procedure:**

Annual work plans and budgets are negotiated annually. The applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with technical proposals and budget narratives.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or

extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50.%. In accordance with Sec. 301, subsection (b)(3) of Public Law 104-208, as amended by Public Law 110-229, Federal project funding is limited to, under subsection (h) of this title up to 50 percent of the cost of performing any project proposed by the Working Group and approved by the Secretary, up to a total amount of . . . \$2,00,000 during each of fiscal years 2007 through 2016. Additionally, under subsection (b)(6), The Bureau of Reclamation is authorized to provide by grant to the Working Group not more than 5 percent of funds appropriated pursuant to subsection (h) of this title for not more than 50 percent of administrative costs relating to the implementation of this title.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding for these projects was authorized to be appropriated for fiscal years 2007 through 2016. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-300; 14-0681-0-1-300 - Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$500,000; and FY 12 est \$0. (Cooperative Agreements) FY 10 \$1,900,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$0 to \$2,000,000; Average: \$1,211,742.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2009 and 2010, the DRC has continued to restore streamflows through water conservation projects as well as through three programs: water conservation, water leasing and water transfers. 147 cubic feet per second (CFS) of water was protected instream in 2009 with over 200 miles of rivers enhanced through DRC activities. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars.

**Regional or Local Office:**

See Regional Agency Offices. Mr. Richard Rieber, Biologist, Bureau of Reclamation, 1150 North Curtis Road, Boise, ID 83706. Telephone: (208) 378-5313, E-mail: rrieber@pn.usbr.gov.

**Headquarters Office:**

Bryant Lyndaker, 1150 North Curtis Road, Boise, Idaho 83706 Email: blyndaker@pn.usbr.gov Phone: (208) 378-5138.

**Website Address:**

<http://www.deschutesriver.org/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The examples of funded projects in Fiscal Year 2010 include Three Sisters Irrigation District Main Canal Piping Project resulting in 3 cfs restored to Whychus Creek benefitting ESA listed bull trout and steelhead; Central Oregon Irrigation District Juniper Ridge Project which piped 2.25 miles of open canal and restoring 20 cfs of streamflow to the Deschutes River; and completion of the McKenzie Canyon Piping Project which piped 30,000 feet of open canal resulting in 3 cfs returned to Whychus Creek. Canal lining and piping projects will prevent the seepage of irrigation water into porous volcanic soil, allowing irrigation districts to better manage their water supplies and providing water for streamflow restoration. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The scope of work must address and be responsive to the authorizing Legislation and the appropriation ceiling. The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental.

For ARRA funded projects: protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.537 MIDDLE RIO GRANDE ENDANGERED SPECIES COLLABORATIVE PROGRAM**

Collaborative Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Consolidated Appropriations Act of 2008, Public Law 110-161; Energy and Water Development Appropriations Act 2005, Public Law 108-447, 118 Stat. 2949; Energy and Water Development Appropriations Act 2006, Public Law 109-103, 119 Stat. 2256.

**OBJECTIVES:**

The purpose of the Middle Rio Grande Endangered Species Act Collaborative Program (Program) is to protect and improve the status of endangered listed species along the Middle Rio Grande (MRG) and to simultaneously protect existing and future regional water uses while complying with state and federal laws, including Rio Grande compact delivery obligations. Listed species means federally listed species under the Endangered Species Act (ESA), with special emphasis on the Rio Grande silvery minnow (silvery minnow) and the southwestern willow flycatcher (flycatcher).

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Financial assistance may be used in furtherance of the goals and objectives of the Collaborative Long-Term Plan which focuses on alleviating jeopardy of the silvery minnow and the flycatcher, and the conservation and contribution to the recovery of both listed species while protecting existing and future water uses within the geographic boundaries of the Program area. The Program Area is defined as: the headwaters of the Rio Chama watershed and the Rio Grande, including tributaries, from the New Mexico-Colorado state line downstream to elevation 4,450 ft mean sea level, the elevation of the spillway crest of the Elephant Butte Dam. All appropriated funds are discretionary. For further information, please contact the regional office.

**Applicant Eligibility:**

Not available.

**Beneficiary Eligibility:**

Not available.

**Credentials/Documentation:**

Whenever applicable, all necessary federal, state, local, and/or private access, collection, and other environmental permits must be provided. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the funding opportunity announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts (federal and non-federal stakeholders) in the program area. Applications will be reviewed against the proposal evaluation criteria and any additional review factors stated in the funding announcement. Final selection will be determined by the designated Grants Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov). The range of approval or disapproval time varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Federal assistance is typically available during the current fiscal year of appropriations. For planning purposes, grant opportunities are posted during the first and second quarters of the fiscal year. Depending on the number and magnitude of qualified projects, more funds are available during the first half of the fiscal year. The Program expects all awarded funds to be expended during the fiscal year in which grant awards were made or no more than 2 years from the time of grant award.

For more complex projects that may involve environmental compliance, design, feasibility studies, construction and implementation, effectiveness monitoring, and other related activities, the project will be divided into phases. The project



will then be funded incrementally at phase level costs. Funding of subsequent phases will be based on project viability, effectiveness, and fund availability. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$737,554; FY 11 est \$1,500,000; and FY 12 est \$1,500,000

**Range and Average of Financial Assistance:**

\$75,000 to \$500,000; Average \$1,245,851.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program accomplishments include projects funded for the furtherance of the goals and objectives of the Collaborative Long-Term Plan which focuses on alleviating jeopardy of the silvery minnow and the flycatcher, and the conservation and contribution to the recovery of both listed species while protecting existing and future water uses within the geographic boundaries of the Program area. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. Program guidelines: <http://www.mrgesa.com>.

**Regional or Local Office:**

See Regional Agency Offices. Yvette McKenna, Program Manager  
505-462-3640, phone  
505-462-3783, fax  
ymckenna@usbr.gov.

**Headquarters Office:**

Director Bureau of Reclamation, Albuquerque Area Office, 555 Broadway Blvd., NE, Albuquerque, New Mexico 87102 Phone: (505)462-3540 Fax: (505)462-3794

**Website Address:**

<http://www.mrgesa.com> and <http://www.usbr.gov/uc/albuquerque/index.html>

**RELATED PROGRAMS:**

15.517 Fish and Wildlife Coordination Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: One example of a funded project is the Comprehensive Habitat Restoration Assessment on the San Felipe Pueblo. The proposed project will collect information on the present channel topography through new hydrographic surveys, catalog floodplain features, many of which were once

part of the dynamic river channel, and collect data on the character of the existing vegetation communities. The planning efforts will identify historical channel, backwater, and overbank features to be restored to create habitat for various aquatic and riparian species, including the Rio Grande silvery minnow and the southwestern willow flycatcher the two endangered species of concern for the Program. Native and naturally regenerating willow and cottonwood habitat will be re-established. The final project design will be based on San Felipe management objectives and additional data. Through ongoing management planning, San Felipe has identified data gaps in baseline vegetation data, soil conductivity and salinity, and groundwater data. San Felipe proposes to acquire these data to aid in the development of final restoration plans and designs completed in the initial phase.

Another example is the Northern Bosque Floodplain Habitat Restoration Project. The proposed project will enhance a recently fenced-off, 670-acre floodplain and wetland demonstration site where invasive trees have already been removed. Of this acreage, 23.6 acres of floodplain, and 0.24 acres of perennial side channel adjacent to 0.27 miles of river will be restored to its historic state. The project includes six patches of dense cottonwood and willow at least 0.25 acres in size that will be potentially suitable breeding habitat for the southwestern willow flycatcher.

Southwestern Willow Flycatcher Habitat Restoration Project is also an example of a funded project. The proposed project will create approximately 10 acres of willow-dominated habitat and a 10-acre buffer of riparian vegetation characteristic of the MRG floodplain (hereafter referred to as bosque) in a 167-acre degraded riparian community (Figure 2). The proposed project will convert an area that is currently characterized by sparse vegetation/bare ground to a 10-acre willow swale surrounded by riparian shrub vegetation to provide a buffer to existing bosque vegetation (Figure 3). Although planned as a stand-alone project, the proposed project is in an area where future work may enhance the functionality of the willow swales by providing a supplemental water supply or re-establishing a hydrologic connection to the river through the construction of floodplain inundation channels. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.538 LOWER COLORADO RIVER MULTI-SPECIES CONSERVATION PROGRAM.**

MSCP

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Omnibus Public Land Management Act, Title IX, Section 9401-9404, Public Law 111-11; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

The MSCP's purposes are: protect the lower Colorado River environment while ensuring the certainty of existing river water and power operations, address the needs of threatened and endangered wildlife under the Endangered Species Act, and reduce the likelihood of listing additional species along the lower Colorado River.

For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The planning area for the LCR MSCP is defined as areas up to and including the full-pool elevations of Lakes Mead, Mohave, and Havasu and the historical floodplain of the Colorado River from Lake Mead downstream to the Southerly International Boundary with Mexico. The planning area provides habitat for Covered Species listed as endangered or threatened under the ESA; additionally there are region specific species that are inclusive of this program. Visit <http://www.lcrmscp.gov> for specific information. For further information, please contact the regional office.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending upon the scope of the specific project funded. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are generally awarded for 1 to 3 years. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Periodic performance progress reports, final reports, and other specific reports that may be applicable to the agreement such as property inventories, patent, and invention disclosure as specified in the award terms and conditions. Projects funded under the American and Recovery and Reinvestment Act of 2009 will have additional quarterly reporting requirements as described in the terms and conditions are required. Cash reports are not applicable. Progress reports are not applicable. Periodic SF 425 Federal Financial Report and final SF 425 as specified in the agreement terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$250,000; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 10 \$2,029,523; FY 11 est \$2,000,000; and FY 12 est \$2,200,000

**Range and Average of Financial Assistance:**

\$100,000 to \$500,000; Average \$2,159,841.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Implementation of LCR MSCP conservation measures. Completed yearly research and monitoring for bird, bat mammal and fish species. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations (CFR) 43 CFR 12 and applicable Office of Management and Budget Circulars.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

John Swett PO Box 61470, Boulder City, Nevada 89006 Phone: (702) 293-8555

**Website Address:**

<http://www.lcrmscp.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: See annual work plan at <http://www.lcrmscp.gov>. Research and monitoring for various fish, and bird species and for research for habitat restoration. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Need to meet LCR MSCP requirements for implementation of conservation measures outlined in the Habitat Conservation Plan. This can be found at <http://www.lcrmscp.gov>.

For ARRA funded projects: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the

economy.

### **15.539 EQUUS BEDS DIVISION ACQUIFER STORAGE RECHARGE PROJECT**

Equus Beds Aquifer Storage Recharge Project

#### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

#### **AUTHORIZATION:**

Wichita Projects Equus Beds Division Authorization Act of 2005, Public Law 109-299.

#### **OBJECTIVES:**

To design and construct the City of Wichita's Aquifer Storage Recharge project to divert excess flow from the Little Arkansas River into the Equus Beds Aquifer in order to recover depleted storage and protect the Aquifer.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

The program exists to provide funding (as appropriated by Congress) to the city of Wichita for reimbursement of the design and construction of the City's ASR project to divert excess flow from the Little Arkansas River into the Equus Beds Aquifer. Authority terminates 10 years from enactment of P.L. 109-299. The City of Wichita will hold title to all facilities.

#### **Applicant Eligibility:**

The City of Wichita.

#### **Beneficiary Eligibility:**

M & I and agricultural waters users of South-central Kansas.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Project construction may not be initiated until Reclamation has completed the NEPA compliance process (EIS). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Annual work plans and budget are submitted annually.

#### **Award Procedure:**

The Great Plains Regional Office approves award and distribution of award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

City must submit quarterly requests within 30 days of the end of the reporting period. Authority to cost share expires October 2016.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Additional funding for the program is at the discretion of Congress.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: City will fund 100% of project on a quarterly basis and receive reimbursement for the lesser of 25 percent or \$30 million (indexed from January 2003).  
MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

A 10-authorization currently exists for this program. See the following for information on how assistance is awarded/released: Information not available.

#### **Reports:**

Quarterly progress reports, annual report, and significant developments are reported as necessary. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final Federal Financial Report, SF 425 are required. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

#### **Account Identification:**

14-0680-0-1-301.

#### **Obligations:**

(Cooperative Agreements) FY 10 \$1,619,858; FY 11 est \$24,000,000; and FY 12 est \$7,000,000

#### **Range and Average of Financial Assistance:**

Range is \$0 to \$813,000; Average \$10,873,286.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Phase II program administration, design, and construction occurred in Fiscal Year 2009 and 2010. Reclamation disbursed funding for three quarterly requests in Fiscal Year 2010. Appropriations exhausted before paying all requests. Tracking unpaid requests. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR Part 12 and the OMB Circulars. These documents may be obtained by contacting the Bureau of Reclamation Office listed below.

#### **Regional or Local Office:**

See Regional Agency Offices. Benjamin Claggett (GOTR), Oklahoma-Texas Area Office, 5924 NW 2nd Street, Suite 200, Oklahoma City, OK 73127-6514. Phone: (405)470-4829, Fax: (405)470-4807 and E-mail: bclaggett@usbr.gov.

#### **Headquarters Office:**

Lindsey Nafts, Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101-6900 Email: LNNafts@usbr.gov Phone: (406) 247-7684.

#### **Website Address:**

<http://www.usbr.gov/gp/>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: All funding for program goes to City of Wichita for Equus ASR related expenses. Design and administration of Phase II occurred in Fiscal Year 2009 and construction for Phase II started in the 2nd quarter of Fiscal Year 2010. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Those scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

### **15.540 LAKE MEAD/LAS VEGAS WASH PROGRAM**

Las Vegas Wash (LVW Program)

#### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

#### **AUTHORIZATION:**

Soil Moisture Conservation Act of 1935, Public Law 74-46; Water Resources Development Act of 2000 and Energy and Water Appropriation Acts., Public Law 106-541.

**OBJECTIVES:**

The objective of this program is to develop and implement management strategies for the Las Vegas Wash to improve water quality, habitat integrity, and reduce the salinity and sediment transport while providing environmental enhancement and recreational opportunities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The Secretary of Interior shall continue to participate in implementation of the Project. For further information, please contact the regional office.

**Applicant Eligibility:**

The Secretary of the Interior shall continue to participate in implementation of the Project at Las Vegas Wash and Lake Mead in accordance with the Comprehensive Adaptive Management Plan (Plan): Provided, that issuance of any such grants shall not modify the cost sharing requirements provided in section 529(b) of Public Law 106-541.

**Beneficiary Eligibility:**

The Southern Nevada Water Authority (SNWA) and the General Public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Projects, Standard Form 424B, Assurances for Non-Construction Projects, Standard Form 424C, Budget for Information for Construction Projects, Standard Form 424D, Assurance for Construction Projects, Standard Form LLL, Disclosure of Lobbying Activities, and written proposals should be submitted via hard-copy, directly to the Program Manager and include: a title, background, objectives, performance schedule, points of contact, most current audit and indirect cost documentation, corrective action plan if needed, any other documentation that is directly associated with the Projects. Funding is authorized, mandatory, so posting on grants.gov is not necessary. This is a cost share program.

**Award Procedure:**

For grant agreements awarded as a component of the eligible beneficiary (SNWA) and project, approved by the Secretary of the Interior, and funded under Public Law 106-541 and subsequent amendments, all Federal rules, regulations, and agency specific guidelines for awarded procedures will be followed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after receipt of the application forms and proposal submissions, and rely on the passing of a fiscal year appropriations bill for the availability of authorized funds.

**Appeals:**

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why their proposals were not selected for award.

**Renewals:**

When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to the availability of appropriated funds. The SNWA must submit written requests for renewals or extensions director to the Program Manager for approval, at least 45 days prior to the expiration of the specific project agreement. Once the term of the

project is expired, no renewal or extension will be approved, due to non-compliance with the terms and conditions of the specific projects agreement.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In accordance with Section 529(b) of Public Law 106-541, the cost share for the SNWA is 35 percent, Reclamations is 65 percent, and the authorized appropriated amount is limited to a ceiling of \$30,000,000.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no specific restrictions for these projects; however, most of the projects are awarded for a 1 to 3 year period and funded on a year-by-year basis. No projects exceed a 5 year period. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Reports; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$1,488,600; FY 11 est \$500,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

Range is \$25,000 to \$500,000; Average \$829,533.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program accomplishments include completed bank protection at Firestation weir and along approximately 3000 feet of bank throughout the Wash; revegetated approximately 56 acres with native plants; removal of Pittman Wash Pilot Wetlands; completed the Ecological Enhancement Study; continued ongoing activities including biological resource studies, revegetation site landscape design and monitoring, archaeological investigations, water quality monitoring and monitoring of threatened and endangered bird species; new studies include selenium characterization and removal, large and small mammal monitoring, water quality monitoring of the Nature Preserve ponds, and bioassessment monitoring. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations 43 Part 12 and the OMB Circulars. These documents may be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Resources Management Office, P.O. Box 61470, Boulder City, Nevada 89006. Telephone: (702)

293-8109. LC-2722.

**Headquarters Office:**

Director, Bureau of Reclamation, Resources Management Office, P.O. Box 61470, Boulder City, Nevada 89006 Phone: (702) 293-8109.LC-2722.

**Website Address:**

<http://www.usbr.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of funded projects include Water Quality Monitoring in the LVW Mainstream and Tributaries; LVW Bioassessment Monitoring; Water Quality Monitoring of the DU/NP Wetlands and Removal of the Pittman Wash Pilot; LVW Mammal Monitoring; LVW T&E and Aquatic Bird Species Monitoring; LVW Coordination Committee Program Management; LVW Archaeological Investigations; Reptile and Amphibian Monitoring; and Selenium Characterization and Removal Study. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The Las Vegas Wash Coordination Committee has decided that the SNWA will be the lead agency for receiving funding for this program due to the high costs and types of environmental improvement and enhancement, and ability to maintain restoration projects. The Las Vegas Wash Program plays an important role in environmental and water resource issues in Southern Nevada. Historically, the Las Vegas was an ephemeral stream carrying storm flows from the Las Vegas Valley to Lake Mead and the Colorado River. Urban development over the past 60 years has resulted in the formation of the wetlands that helped remove nutrients from these wastewater flows. As the rate of discharges increased, erosion also increased, gradually destroying the existing natural treatment systems and wildlife habitat and creating a large delta in the Las Vegas Bay of Lake Mead. Accelerating erosion, declining water quality, and loss habitat are some of the more pressing issues. Proposals submitted will be reviewed and awarded based on priority fulfillment of the 44 action items identified in the Plan and the availability of funding appropriations.

**15.541 COLORADO RIVER BASIN PROJECTS ACT OF 1968**

Colorado River Basin Projects Act

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Colorado River Basin Act of September 30, 1968 amended by the Colorado River Basin Project Act, December 20, 1982., Public Law 90-537.

**OBJECTIVES:**

It is the objective of this Act under Title I, to provide a program for the further comprehensive development of water resources of the Colorado River Basin and for the provision of additional and adequate water supplies for the use in the upper as well as in the lower Colorado Basin. This program is declared to be for the purposes, among others, of regulating the flow of the Colorado River; controlling floods; improving navigation; providing for the storage and delivery of waters of the Colorado River for reclamation of lands, including supplemental water supplies, and for municipal, industrial, and other beneficial purposes; improving water quality; providing for basic public outdoor recreation facilities; improving conditions of fish and wildlife, and the generation and sale of electrical power as an incident of the foregoing purpose.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Title II, Investigations and Planning -- With respect to coordination of studies, investigations and assessments, the Secretary of Interior, through the Bureau of Reclamation, shall conduct full and complete reconnaissance investigation for the purpose of developing a general plan to meet the future water needs of the Western United States. Such investigations shall include the long-range water supply available and the long-range water requirements in each water resource region of the Western United States.

Title III, Authorized Units: Protection of Existing Uses -- The "Central Arizona Project" (CAP) is a multipurpose water resource development and management project which provides irrigation, municipal and industrial water, power generation, flood control, outdoor recreation, environmental enhancement, and sediment control. In addition, the project will provide delivery of tribal homeland water, partial settlement of Indian water rights claims, and economic benefits accruing from leasing of Indian agricultural water rights to municipal entities.

**Applicant Eligibility:**

Must have a water allocation and water delivery from Reclamation water resource project.

**Beneficiary Eligibility:**

The general public in the state of Arizona, irrigation and water districts and local entities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF24 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the funding opportunity announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria and any additional review factors stated in the funding announcement. Final selection will be determined by the Area Office Manager or his designated representative.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contingent upon the type and complexity of authorized units under the program or project. Further information will be available for each specific program or project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact on the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Will be included in each funding announcement for this program on [www.grants.gov](http://www.grants.gov). See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this

program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4079-0-3-301.

**Obligations:**

(Cooperative Agreements) FY 10 \$350,000; FY 11 est \$400,000; and FY 12 est \$400,000

**Range and Average of Financial Assistance:**

Range is \$25,000 to \$500,000; Average \$383,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program accomplishments include GRIC P-MIP Design completed for WS-IA modification, Reach ST-1B and St Flood Protection, Casa Blanca Canal, Pima Lateral BW-1A on and off-reservation, WsIC Well tie-in; delivery system construction of Consolidated Canal, Four Mile Post Pump station, WS-IA modification, complete WS-ID pipeline cathodic protection and construction of bridges and check structures for Pima Lateral; Tohono Oodham Nation San Xavier District completion activities of the Existing Farm Delivery and Irrigation System, Santa Cruz Dike and Mission Wash modification, ROW appraisal, Tohono Oodham Nation Water Management Plan, San Carlos Apache Tribe Alternative Study, Camp Verde Apache Tribe Appraisal Level Study, Salt River Project Habitat Conservation Plan, Environmental Compliance. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars.

**Regional or Local Office:**

See Regional Agency Offices. Phoenix Area Office: Mr. Randy N. Chandler, Area Manager, Bureau of Reclamation, Address: 6150 W. Thunderbird Rd., Glendale, AZ 85306-4001, Telephone: (623) 773-6200.

**Headquarters Office:**

Carol Lynn Erwin, Bureau of Reclamation, 6150 W., Thunderbird Road, Glendale, Arizona 85306-4001 Phone: (623) 773-6200.

**Website Address:**

<http://www.usbr.gov/lc/phoenix/>

**RELATED PROGRAMS:**

15.509 Colorado River Basin Salinity Control Program; 15.542 Arizona Water Settlement Act of 2004

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Ongoing Construction of The Pima-Maricopa Indian Irrigation Project of the Gila River Indian Community, Tohono Oodham Nation CAP Water Delivery System for Shuck Toak District, Tohono Oodham

Nation CAP Water Delivery System for the San Xavier District, Feasibility and Alternative Studies for Tohono Oodham Nation Sif Odiak District, San Carlos Apache Tribe, Camp Verde Apache Tribe, Tonto Apache Tribe CAP Water Allocations under the Indian Distribution Division of the CAP. Salt River Project Habitat Conservation Plan, Environmental Compliance. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in each funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.542 ARIZONA WATER SETTLEMENT ACT OF 2004**

Arizona Water Settlement Act

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Arizona Water Settlement Act of 2004, Public Law 108-451.

**OBJECTIVES:**

To provide for adjustments to the Central Arizona Project in Arizona, to authorize the Gila River Indian Community water rights settlement, to reauthorize and amend the Southern Arizona Water Rights settlement Act of 1982, for the settlement of water rights to the San Carlos Apache Tribe and for other purposes.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Title I, "Central Arizona Project Settlement" - With respect to: (1) the water provided by the Central Arizona Project to Maricopa, Pinal, and Pima Counties in the State of Arizona, is vital to citizens of the State; and (2) an agreement on the allocation of Central Arizona Project water among interested persons, including Federal and State interests, would provide important benefits to the Federal Government, the State of Arizona, Arizona Indian Tribes, and the citizens of the State. In accordance with the CAP repayment contract, the Central Arizona Project may be used to transport non-project water for: (1) domestic, municipal, fish and wildlife, and industrial purposes; and (2) any purpose authorized under the Colorado River Basin Project Act (43 U.S.C. 1501 et seq.). Title I, Section 104, Authorization of Appropriation: Authorized to be appropriated such sums as are necessary to comply with: (1) the 1994 biological opinion, including any funding transfers required by the opinion; (2) the 1996 biological opinion, including any funding transfers required by the opinion; and (3) any final biological opinion resulting from the 1999 biological opinion, including any funding transfers required by the opinion. Title II, "Gila River Indian Community Water Rights Settlement" - the purposes of this title is: (1) to resolve permanently certain damage claims and all water rights claims among the United States on behalf of the Community, its members, allottees, and the Community and its neighbors; (2) to authorize, ratify, and confirm the Gila River agreement; (3) to authorize and direct the Secretary to execute and perform all obligations of the Secretary under the Gila River agreement; (4) to authorize the actions and appropriations necessary for the United States to meet obligations of the United States under the Gila River agreement and this title; and (5) to authorize and direct the Secretary to execute the New Mexico Consumptive Use and Forbearance Agreement to allow the Secretary to exercise the rights authorized by subsections (d) and (f) of section 304 of the Colorado River Basin Project Act (43 U.S.C. 1524). Title III, "Southern Arizona Water Rights Settlement" - the purposes of this title are: (1) to authorize, ratify, and confirm the agreements referred to in section 309(h); (2) to authorize and direct the Secretary to execute and perform all obligations of the Secretary under those agreements; and (3) to authorize the actions and appropriations necessary for the United States to meet obligations of the United States, under those agreements and this title. Title IV, San Carlos Apache Tribes Water Rights Settlement- with respect to the: none of the provisions of title I, II, or III or the agreements, attachments, exhibits, or stipulations referenced in those titles shall be construed to: (1) amend, alter, or limit the authority of (A) the United States to assert any claim against any party, including any claim for water rights, injury to water rights, or injury to water quality in its capacity as trustee for the San Carlos Apache Tribe, its members and allottees, or in any other capacity on behalf of the San Carlos Apache Tribe,

its members, and allottees, in any judicial, administrative, or legislative proceeding; or (B) the San Carlos Apache Tribe to assert any claim against any party, including any claim for water rights, injury to water rights, or injury to water quality in its own behalf or on behalf of its members and allottees in any judicial, administrative, or legislative proceeding consistent with title XXXVII of Public Law 102-575 (106 Stat. 4600, 4740); or (2) amend or alter the CAP Contract for the San Carlos Apache Tribe dated December 11, 1980, as amended April 29, 1999.

**Applicant Eligibility:**

Must have a water allocation and water delivery contract from a Reclamation water resource project.

**Beneficiary Eligibility:**

The general public, state of Arizona, state of New Mexico, irrigation and water districts, local entities and Tribal Government.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF 424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the funding opportunity announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area (indicate whether reviewers are Federal personnel). Applications will be reviewed against the proposal evaluation criteria and any additional review factors stated in the funding announcement. Final selection will be determined by the Area Office Manager or his designated representative.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contingent upon the type and complexity of authorized units under the Act. Further information will be available each specific authorized activity under the Act at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact on the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Will be included in award issued under this program. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF 425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF 425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4079-0-3-301.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 10 \$455,000; FY 11 est \$460,000; and FY 12 est \$460,000

**Range and Average of Financial Assistance:**

Range \$400,000 to \$8,000,000; average \$458,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Beginning in January 2010, this authorization is to resolve the water rights claims of the Gila River Indian Community and San Xavier District of the Tohono O'odham Nation, through amendments to the Southern Arizona Water Rights Settlement Act of 1982. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars.

**Regional or Local Office:**

See Regional Agency Offices. Phoenix Area Office: Mr. Randy N. Chandler, Area Manager, Bureau of Reclamation, Address: 6150 W. Thunderbird Rd., Glendale, AZ 85306-4001, Telephone: (623) 773-6200.

**Headquarters Office:**

Carol Lynn Erwin, Bureau of Reclamation, Phoenix Area Office, 6150 W. Thunderbird Road, Glendale, Arizona 85306-4001 Phone: (623) 773-6200.

**Website Address:**

<http://www.usbr.gov/lc/phoenix>

**RELATED PROGRAMS:**

15.541 Colorado River Basin Projects Act of 1968

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: San Carlos Indian Irrigation District conceptual Pre-Design and design, environmental clearances and construction of the lining and rehabilitation of the non-Indian features of the San Carlos Indian Irrigation Project. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in each funding announcement posted on [www.grants.gov](http://www.grants.gov).

**15.543 LAKE TAHOE REGIONAL WETLANDS DEVELOPMENT PROGRAM**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Consolidated Appropriations Resolution, Water and Related Resources, Title 2, Public Law 108-7.

**OBJECTIVES:**

To assist in addressing the past degradation of Lake Tahoe and its watershed by undertaking projects to meet the environmental thresholds as defined in the Tahoe Regional Planning Agency's Environment Improvement Program. The environmental thresholds of interest include water quality, soil conservation, wildlife, fisheries, and vegetation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

All activities are environmental improvement projects to improve water quality and conditions for species and habitats in the Lake Tahoe Basin. The amount of funding available for projects is highly variable from year to year.

**Applicant Eligibility:**

All activities are environmental improvement projects to improve water quality and conditions for species and habitats in the Lake Tahoe Basin. The amount of funding available for projects is highly variable from year to year.

**Beneficiary Eligibility:**

Awards made under this program are intended to benefit the general public by maintaining and improving environmental quality in general, and water quality in particular, of the Lake Tahoe Basin.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened by Bureau of Reclamation personnel for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by the issuing office. Qualified experts from the Bureau of Reclamation will review applications against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the number of proposals received and the complexity of the project. Generally, offices review and select proposals for award within 60 days of proposal submission.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Some projects may be eligible for extension. If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements are typically awarded for periods of 1 to 3 years, with potential for extension up to 5 years total. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF 425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF 425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$2,500,000; FY 11 est \$2,200,000; and FY 12 est \$200,000

**Range and Average of Financial Assistance:**

\$75,000 to \$500,000; average \$1,633,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Assistance agreements have been awarded to State, local and regional governmental entities for activities associated with the Environmental Improvement Program (EIP) at Lake Tahoe such as stream restoration planning and implementation and control of aquatic invasive species. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable Office of Management and Budget Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Myrnie Mayville, Bureau of Reclamation, 3800 Cottage Way, Mail Code 150, Sacramento, California 95825 Phone: (916) 978-5037.

**Website Address:**

<http://www.usbr.gov/mp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants and cooperative agreements with entities for planning and construction stream and riparian restoration of Rosewood Creek on the Nevada side of Lake Tahoe. This and other previously funded projects will provide incremental progress towards meeting the environmental threshold goals. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.



**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting a recipient are based on a balanced and informed review of a technical proposal, budget proposal, and relevancy to program objectives. The specific evaluation criteria for each project will be included in the funding announcement posted on [www.grants.gov](http://www.grants.gov).

**15.544 PLATTE RIVER RECOVERY IMPLEMENTATION PROGRAM  
PRRIP****FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Consolidated Natural Resources Act of 2008, Section 515, Public Law 110-229.

**OBJECTIVES:**

To implement the Platte River Recovery Program Cooperative Agreement which implements certain aspects of the Fish and Wildlife Service's recovery plans for our target species (interior least tern, whooping crane, piping plover and pallid sturgeon) listed as threatened or endangered pursuant to the Endangered Species Act.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

To be used for projects to implement the PRRIP. For further information, please contact the regional office.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

General public, irrigation and/or water districts, State and local entities, farmers and ranchers, agricultural producers, property owners, municipal water users, and power users.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The recipient submits annual work plans and budgets.

**Award Procedure:**

The cooperative agreement is modified to implement annual work plan and reserve additional funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Consolidated Natural Resources Act, Public Law 110-229. Per authorizing legislation, the States of Colorado, Nebraska, and Wyoming shall contribute not less than 50% of the total contributions necessary to carry out the PRRIP.

Matching Requirements: Percent: 50%.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Set forth in the current cooperative agreement. See the following for

information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF 425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF 425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$12,795,000; FY 11 est \$12,209,000; and FY 12 est \$11,314,000

**Range and Average of Financial Assistance:**

\$1,000,000 to \$15,000,000; average \$12,106,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Continued implementation of the PRRIP Land, Water, and Adaptive Management Plans. Approximately 7900 acres of land has been obtained for habitat through purchase, conservation easements, and lease from PRRIP sponsors. PRRIP monitoring protocols for species and habitat continue to be implemented. Feasibility studies for the implementation of various Water Action Plan projects, including re-regulation reservoirs and groundwater recharge projects, are ongoing. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Wyoming Area Office, P.O. Box 1630, Mills, WY 82644.

**Headquarters Office:**

John Lawson, Bureau of Reclamation, Great Plains Region, P.O. Box 36900, Billings, Montana 59107-6900 Phone: (307) 261-5671 Fax: (307) 261-5683.

**Website Address:**

<http://www.platteriverprogram.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Purchase of land parcels in Nebraska for habitat conservation. Implementation of aspects of land and water adaptive management plans, including habitat restoration activities and feasibility studies for water action plan projects. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

No new proposals are accepted at this time. Currently all projects are funded through a long-term cooperative agreement with the Nebraska Community

Foundation.

**15.545 BUNKER HILL GROUNDWATER BASIN,  
RIVERSIDE-CORONA FEEDER PROJECT**

Riverside Corona Feeder

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Omnibus Public Land Management Act of 2009, Section 9112, Public Law 111-11.

**OBJECTIVES:**

Section 9112 of Public Law 111-11 directs the Secretary of the Interior, acting through the Commissioner, to participate in the planning, design, and construction of the Riverside-Corona Feeder Project. Section 9112 authorizes the Secretary to provide up to 25 percent of the total cost of the project, not to exceed \$26 million.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This authority is restricted to the planning, design, and construction of the Riverside-Corona Feeder Project.

**Applicant Eligibility:**

The Secretary is authorized to cooperate with the Western Municipal Water District, Riverside County, California, in the planning, design, and construction of the Riverside-Corona Feeder Project.

**Beneficiary Eligibility:**

Water users serviced by the Western Municipal Water District.

**Credentials/Documentation:**

Funds for planning, design, and construction of the Riverside-Corona Feeder will not be disbursed until a cooperative agreement is executed. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding provided for the Riverside-Corona Feeder is mandatory funding.

**Award Procedure:**

Reclamation will work with the Western Municipal Water District to negotiate cooperative agreements for one or more phases of the project.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation of funding from one fiscal year to the next to complete one or more phases of the project is dependent on federal appropriations for the project.

**Formula and Matching Requirements:**

Statutory Formula: Title Omnibus Public Land Management Act of 2009, Public Law 111-11. In accordance with Section 9112 of Public Law 111-11, Reclamation can pay up to 25 percent of the costs of planning, designing, and construction the project, not to exceed a total of \$26 million. The Western Municipal Water District must pay all operation, maintenance, and replacement costs.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no time restrictions placed on the use of the funds and the funds have generally been made available periodically throughout year on a reimbursable basis. A schedule will be planned between Reclamation and the Western Municipal Water District when the cost sharing agreement is negotiated. However, this schedule can be impacted by the availability of funds during the year. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit based on the frequency determined in the financial assistance agreement Program Performance Reports, a final Program Performance Report, and specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the following reports based on the frequency determined in the financial assistance agreement to submit the SF-425, Federal Financial Reports and a final SF-425. In addition to this requirement and as a result of the U.S. Department of the Interior Office of the Inspector General, Survey Report No 97-I-874 (dated January 13, 1997), Reclamation has instituted a close-out expenditure review and site-visit requirement. This expenditure review is a site visit conducted by Reclamation staff, consisting generally of the Grants Officer Technical Representative (GOTR) and other representative(s) of the Grants Officer with an audit background (usually personnel from the region's finance section). This review is required prior to final closeout for all construction projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 10 \$900,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$100,000 to \$5,000,000; \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Riverside-Corona Feeder will provide an additional source of potable water to the cities of Riverside and Corona and their vicinities. Program accomplishment in Fiscal Year 2010 includes obligation of \$900,000 to a preconstruction cooperative agreement, part of which funded environmental compliance, planning, right of way support, and Phase 1 preliminary design. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Southern California Area Office, 27708 Jefferson Ave., Suite 202, Temecula, CA 92590. Telephone (951)695-5310.

**Headquarters Office:**

Will Shipp, Bureau of Reclamation, Office of Program and Policy Services, Mail Code 84-52000, P.O. Box 25007, Denver Federal Center, Denver, Colorado 80225 Email: wshipp@usbr.gov Phone: (303) 445-2799 Fax: (303) 445-6464.

**Website Address:**

<http://www.usbr.gov/lc/socal/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Development of draft Environmental Impact Statement, project planning, right of way support, and preliminary Phase 1 design. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.546 YOUTH CONSERVATION PROGRAM****FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Youth Conservation Corps Act of 1970, 16 U.S.C 1701-07; Public Lands Corps Act of 1993, 16 U.S.C 1721-1730; American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5).

**OBJECTIVES:**

To provide education and work opportunities to young people so they can gain a better understanding of Reclamation's role in conserving water and power resources. Additionally, this program provides opportunities for young people to be involved in conserving Reclamation's natural and cultural resources and recreational opportunities.

For Recovery Act (ARRA) funded projects, section 3 of Act states the following objectives in addition to the program objectives identified above: (1) To preserve and create jobs and promote economic recovery, (2) To assist those most impacted by the recession, (3) To provide investments needed to increase efficiency by spurring technological advances in science and health, (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits, and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Not applicable. For further information, please contact the regional office.

**Applicant Eligibility:**

Eligibility is limited to youth, veteran, or conservation corps that are able to involve youth ages 15-25 in the 17 Western United States and the Intern Program in Reclamation projects on a nation-wide basis. A qualified service and conservation corps means any program established by a State, or local government, by the governing body of any Indian tribe, or by nonprofit organization.

**Beneficiary Eligibility:**

Youth and local communities that benefit from conservation improvements and involvement in youth programs activities on Reclamation-owned lands and facilities.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligible and compliance with the requirements stated in the program funding opportunity announcement. Applications passing this screening process will be forwarded for review by the proposal evaluation criteria, and any additional review factors, as stated in the funding opportunity announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. This program requires a nonfederal cost-share, through cash or in-kind services, of at least 25% of the total project costs.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements are generally awarded for five years, with a reassessment of program accomplishments on an annual basis. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF 425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF 425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$912,949; FY 11 est \$0; and FY 12 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 10 \$124,566; FY 11 est \$100,000; and FY 12 est \$100,000

**Range and Average of Financial Assistance:**

\$3,000 to \$1,000,000; average \$382,505.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program accomplishments involved 54 diverse youth in cooperative efforts in cultural and natural resource conservation related to Reclamation projects, including habitat restoration of native plant and aquatic species; site restoration, re-vegetation, and fuels reduction. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations (CFR) 43 CFR 12 and applicable Office of Management and Budget Circulars.

**Regional or Local Office:**

None.

**Headquarters Office:**

Amy Sjerven Bureau of Reclamation, Mail Code D,P.O. Box 25007, Denver, Colorado 80255 Email: ASjerven@usbr.gov Phone: 303-445-2849

**Website Address:**

<http://www.usbr.gov>

**RELATED PROGRAMS:**

15.931 Conservation Activities by Youth Service Organizations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funded projects include two internships in the Commissioners office and youth crews who performed vegetation and wildlife surveys in newly-established conservation areas, and removal of salt-cedar to reduce wildfire potential which was submerged in Foss Reservoir to provide needed fisheries habitat. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The Corps shall consist of individuals between ages of 16 and 25. The Secretary is authorized to enter into contracts and cooperative agreements with any qualified youth or conservation corps to perform appropriate conservation projects.

For ARRA funded projects the purposes are, among others, to quickly and prudently commence activities that preserve and create jobs to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.547 SAN JACINTO BASIN RESTORATION FUND**

Soboba Band of Luiseno Indians Settlement Act

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Soboba Band of Luiseno Indians Settlement Act, P.L. 111-85.

**OBJECTIVES:**

To provide for the costs associated with constructing, operating, and maintaining that portion of the basin recharge project that the United States is responsible for under the Settlement Agreement.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Project cooperative agreement can only be issued to reimburse the recipient for the Federal share of costs associated with constructing, operating, and maintaining the San Jacinto Basin recharge project, located in Riverside County, California. For further information, please contact the regional office.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit SF 424 Application for Federal Assistance documents; detailed project technical descriptions and budgets; and all information required under the terms of the applicable appropriations law.

**Award Procedure:**

Bureau of Reclamation personnel will review (1) the application package to ensure that all required documents are complete, accurate, and satisfy all provisions of applicable law, (2) the project budgets and description to ensure the appropriation language requirements are met, and (3) the project descriptions for technical issues and consistency with applicable policies, and budgets for appropriateness of cost estimates. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. After the application package is acceptable to both parties, a cooperative agreement is drafted, reviewed and signed by both parties.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Typical range of 2-6 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions may be applicable and are subject to appropriated funds. Revised SF 424 forms are required when applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal cost share is limited to \$10 million by Public Law 111-85, Section 6. The non-Federal cost share can be provided from any non-Federal source; and, in accordance with Section 6, credit toward the non-Federal cost share can be given for the value of certain prior project expenditures.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time periods for specific agreements will be determined during the application and negotiation process. See the following for information on how assistance is awarded/released: For further information, please contact the regional office.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

During the course of its activities under a cooperative agreement and for three

years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. State, Local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$6,000,000; FY 11 est \$4,000,000; and FY 12 est \$4,000,000

**Range and Average of Financial Assistance:**

Range \$0 to \$10,000,000

Average \$4,666,667.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: N/A. Fiscal Year 2011: One cooperative agreement is being funded. It will provide for constructing, operating, and maintaining that portion of the basin recharge project that the United States is responsible for under the Settlement Agreement. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 43 CFR 12, OMB Circulars, P.L. 111-85 (the Soboba Band of Luiseno Indians Settlement Act), and the associated Settlement Agreement.

**Regional or Local Office:**

See Regional Agency Offices. Dennis Wolfe, Area Engineer, Southern California Area Office, Telephone 951-695-5310; Fax 951-695-5319; Email dwolfe@usbr.gov.

**Headquarters Office:**

Dennis Wolfe 1849 C Street NW, Washington, District of Columbia 20240  
Email: dwolfe@usbr.gov Phone: 951-695-5310 Fax: 951-695-5319

**Website Address:**

<http://www.usbr.gov/lc/socal/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are limited to the Eastern Municipal Water District. Projects must construct, operate, and maintain the San Jacinto Basin recharge project. The scopes of work must address and be responsive to the authorizing legislation, the final engineering reports, and the funding ceiling.

**15.548 RECLAMATION RURAL WATER SUPPLY PROGRAM**

Rural Water Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Reclamation Rural Water Supply Act of December 22, 2006 (Pub. L. 109-451, Title I, 120 Stat. 3346, 43 U.S.C. 2401, et seq.).

**OBJECTIVES:**

To provide the basic requirements and framework for conducting water and related resource feasibility studies in order to formulate, evaluate, and select project plans for implementation. The benefits will include improved consistency in the content and quality of feasibility studies and reports prepared by or for Reclamation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Construction assistance not available unless authorized and funds appropriated by Congress. For further information, please contact the regional office.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

Eligible beneficiaries include small communities or group of small communities, including Indian tribes and tribal organizations. For the purpose of the Rural Water Supply Program, a small community is defined as having a population of no more than 50,000 people. More than one small community may be served by a rural water project if each small community has a population of 50,000 or less.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Grants, cooperative agreements, and technical assistance awards funded under the Rural Water Program will follow all applicable Federal rules, regulations, and agency specific guidelines.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Appraisal investigations: 180 business days;

Feasibility studies: 270 business days. .

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Appraisal investigations may generally be renewed on an annual basis, not to exceed a total of 2 years. Feasibility studies may generally be renewed on an annual basis, not to exceed a total of 5 years. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: In accordance with Sec. 105 & 106 of Public Law 109-451, Federal funding for appraisal investigations is 100 percent of the total cost of the investigation, up to \$200,000. If the cost of conducting an appraisal investigation is more than \$200,000, the non-Federal share of the costs in excess of \$200,000 shall be 50 percent. With some exceptions, the Federal share of the cost to conduct a feasibility study shall not exceed 50%.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Appraisal investigations must be completed in 2 years. Feasibility studies are not limited but generally take 2-3 years to complete. There is no specific period of time that the assistance is available. See the following for information on how assistance is awarded/released: Fund appraisal investigations and feasibility studies are awarded on an annual basis. It depends on how much is requested during the fiscal year and how long it will take to conduct the study.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the Program Performance Reports on an annual basis. Upon completion of the

agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the SF-425, Federal Financial Report; on an annual basis. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain records in accordance with 43 CFR 12.82. All other recipients shall maintain records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$1,552,072; FY 11 est \$2,677,000; and FY 12 est \$2,000,000

**Range and Average of Financial Assistance:**

Range \$75,000 to \$500,000

Average \$2,076,357.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Water and Environmental Resources Division

Bldg. 67

PO Box 25007 (84-55000)

Denver, CO 80225-0007.

**Headquarters Office:**

Bureau of Reclamation Water and Environmental Resources Division

Bldg. 67

PO Box 25007 (84-55000), Denver, Colorado 80225-0007 Phone:

(303)445-2711

**Website Address:**

<http://www.usbr.gov/ruralwater/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: N/A. Fiscal Year 2011: Examples of appraisal investigations include Navajo Nation Mexican Hat to Kayenta Regional Water Project; Northern Cheyenne Utility Commission Appraisal Investigation; and Central Montana Water Resource Authority Appraisal Investigation. The examples of feasibility studies include Dry Redwater Regional Water Authority Feasibility Study; Coconino Plateau Water Advisory Council North Central Arizona Water Supply Study; and Payson Craigin Pipeline Project Feasibility Study. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov) and in supplemental instructions posted on the program website at [www.usbr.gov/ruralwater/](http://www.usbr.gov/ruralwater/).

**15.549 INTEGRATED REGIONAL WATER PLAN FOR THE CENTRAL VALLEY OF CALIFORNIA**

California Water Institute Regional Water Plan

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Omnibus Public Land Management Act, 2009, Public Law 111-11, Title X Part II, Section 10101.; Energy and Water Development Appropriations Act, 2010, Public Law 111-85.

**OBJECTIVES:**

The California Water Institute at Fresno State University (Institute) has been authorized under federal law, acting through the United States Bureau of Reclamation (Reclamation) to conduct a study regarding the coordination and integration of sub-regional integrated regional water management plans into a unified Integrated Regional Water Management Plan for the eight counties and two hydrologic basins that encompass the San Joaquin Valley.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The regulations at 43 CFR, Part 12, Subparts A, C, E, and F, are incorporated by reference as though set forth in full text. Office of Management and Budget (OMB) Circulars, as applicable, and as implemented by 43 CFR Part 12, are also incorporated by reference. Failure of a Recipient to comply with any applicable regulation or circular may be the basis for withholding payments for proper charges made by the Recipient and/or termination of support.

**Applicant Eligibility:**

California Water Institute at California State University, Fresno. Education and Research Center.

**Beneficiary Eligibility:**

California Water Institute and the General Public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Projects, Standard Form 424B, Assurances for Non-Construction Projects, Standard Form 424C, Budget Information for Construction Projects, Standard Form 424D, Assurances for Construction Projects, Standard Form LLL, Disclosure of Lobbying Activities, and written proposals should be submitted via hard-copy, directly to the Program Manager and include: a title, background, objectives, performance schedule, points of contact, most current audit and indirect cost documentation, corrective action plan if needed, any other documentation that is directly associated with the Projects.

**Award Procedure:**

For Grant Agreements awarded as a component of the eligible beneficiary (SCCAO) and project, approved by the Secretary of the Interior, and authorized under Public Law 111-85 and subsequent amendments, all Federal rules, regulations, and agency specific guidelines for awarded procedures will be followed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after receipt of the application forms and proposal submissions, and rely on the passing of a fiscal year

appropriations bill for the availability of authorized funds.

**Appeals:**

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why their proposals were not selected for award.

**Renewals:**

When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to the availability of appropriated funds. The SCCAO must submit written requests for renewals or extensions directly to the Program Manager for approval, at least 45 days prior to the expiration of the specific projects agreement. Once the term of the project is expired, no renewal or extension will be approved, due to non-compliance with the terms and conditions of the specific projects agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

December 31, 2015. See the following for information on how assistance is awarded/released: For further information, please contact the regional office.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the Program Performance Reports on an annual basis. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the SF-425, Federal Financial Report on an annual basis. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-300.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$250,000; and FY 12 est \$250,000 - This program was authorized in FY09 and first year funding is anticipated in FY11.

**Range and Average of Financial Assistance:**

Range \$50,000 to \$200,000  
Average \$83,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Framework completed in 2010. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 Subparts A,C,E,F and OMB circulars A-21, A-87 A-122

**Regional or Local Office:**

See Regional Agency Offices. Resource Management Division  
U.S. Bureau of Reclamation  
1243 "N" Street  
Fresno, CA 93721

Office: (559)487-5116.

**Headquarters Office:**

Resource Management Division U.S. Bureau of Reclamation  
1243 "N" Street  
, Fresno, California 93721 Phone: (559)487-5116

**Website Address:**

<http://www.usbr.gov/mp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The examples of funded projects include the Madera Irrigation Districts Groundwater Banking Project and Semitropic Water Storage Districts Recharge Basins. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Study area was the San Joaquin River Hydrologic Region, as defined by DWR Bulletin 160-05 Volume 3 Chapter 7 & 8. Secretary of the Interior shall provide direct financial assistance to California Water Institute, per P.L. 111-11.

**15.550 INCREASING PUBLIC AWARENESS OF RECREATIONAL OPPORTUNITIES AT RECLAMATION RESERVOIRS FOR PHYSICALLY CHALLENGED AND DISADVANTAGED CHILDREN FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Take Pride in America (TPIA) Public Law 101-628 (16 U.S.C. 4601 et seq.) ; TPIA Delegation Agreement between the Department of the Interior and the Bureau of Reclamation dated September 22, 2008.

**OBJECTIVES:**

To provide opportunities for disabled and disadvantaged children to use and enjoy public waters and related lands; to assist Reclamation in meeting its goal to provide accessible programs, facilities and activities to create a positive outdoor experience for all citizens; to increase awareness of all the participants (parents/caregivers, sportsmen, partners, volunteers) to the capabilities of disabled and disadvantaged children; and to provide educational opportunities for disabled and disadvantaged children to learn more about fish and water as natural resources.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

TPIA has delegated authority to Reclamation to carry out a Program to instill in the public the importance of the appropriate use of and appreciation for Reclamation facilities. Eligible activities under the Delegation are limited to activities authorized under the TPIA. Such activities may include events designed to increase public awareness of recreational opportunities at Reclamation reservoirs, for physically challenged and disadvantaged children as well as other members of the public, and may also include financial assistance agreements to eligible entities for the purpose of carrying out the Program. For further information, please contact the regional office.

**Applicant Eligibility:**

Eligible applicants are State governments, County governments, City or townships governments, Special districts governments, Independent school districts, Public and State controlled institutions of higher education, Native American tribal governments (federally recognized), Public Housing Authorities/Indian Housing Authorities, Native American tribal organization (other than Federally recognized tribal governments) Non-Profits having a 501(c)(3) status with the Internal Revenue Service (IRS), other than institutions of higher education, Private institutions of higher education, Individuals, Small businesses.

**Beneficiary Eligibility:**

Disabled and disadvantaged children.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

For grant and cooperative agreements awarded and funded through Public Law 101-628 (16 U.S.C. 4601 et seq.) and the TPIA Delegation Agreement between the Department of the Interior and the Bureau of Reclamation dated September 22, 2008, and subsequent amendments, all Federal rules, regulations, and agency specific guidelines for awarding procedures will be followed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Projects may generally be renewed on an annual basis, not to exceed a total of 5 years. If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

5 years. See the following for information on how assistance is awarded/released: For further information, please contact the regional office.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit Program Performance Reports on an annual basis. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit SF-425, Federal Financial Report on an annual basis. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-300.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$124,894; FY 11 est \$128,231; and FY 12 est \$133,364

**Range and Average of Financial Assistance:**

Range: \$120,000.00 \$130,000.00

Average: \$128,829.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: N/A. Fiscal Year 2011: Over 900 disabled and disadvantaged children participated in 22 events in 17 states during 2010. It is anticipated that a similar number of events and participants will be served in 2011. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation Acquisition Operations Group 84-27810 P.O. Box 25007, Denver Federal Center Denver CO 80225.

**Headquarters Office:**

Bureau of Reclamation Acquisition Operations Group 84-27810 P.O. Box 25007, Denver Federal Center , Denver , Colorado 80225 Phone: (303)445-2849

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The C.A.S.T (Catch a Special Thrill) for Kids Foundation. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.551 MADERA WATER SUPPLY ENHANCEMENT PROJECT**

Madera Irrigation District WSEP or Madera Ranch

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Omnibus Public Land Management Act, 2009, Public Law 111-11, Title X Part II, Section 9102.

**OBJECTIVES:**

The Madera Irrigation District Water Supply Enhancement will be a 250,000 AF water bank that will be used to recharge and bank periodically available surface water underground for recovery when needed. This will increase storage capacity and supply reliability for the district. The Project will be located on the property known as Madera Ranch, west of the city of Madera, Madera County, California.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The regulations at 43 CFR, Part 12, Subparts A, C,E, and F, are incorporated by reference as though set forth in full text. Office of Management and Budget (OMB) Circulars, as applicable, and as implemented by 43 CFR Part 12, are



also incorporated by reference. Failure of a Recipient to comply with any applicable regulation or circular may be the basis for withholding payments for proper charges made by the Recipient and/or termination of support. The authorization for this project sunsets on March 30, 2019.

**Applicant Eligibility:**

Madera Irrigation District.

**Beneficiary Eligibility:**

Madera Irrigation District and the General Public.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Projects, Standard Form 424B, Assurances for Non-Construction Projects, Standard Form 424C, Budget Information for Construction Projects, Standard Form 424D, Assurances for Construction Projects, Standard Form LLL, Disclosure of Lobbying Activities, and written proposals should be submitted via hard-copy, directly to the Program Manager and include: a title, background, objectives, performance schedule, points of contact, most current audit and indirect cost documentation, corrective action plan if needed, any other documentation that is directly associated with the Projects.

**Award Procedure:**

Reclamation will work with the Madera Irrigation District to negotiate a cooperative agreement for one or more phases of the project.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after receipt of the application forms and proposal submissions, and rely on the passing of a fiscal year appropriations bill for the availability of authorized funds.

**Appeals:**

None.

**Renewals:**

Continuation of funding from one fiscal year to the next to complete one or more phases of the project is dependent on federal appropriations for the project.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program requires Madera Irrigation District to pay 75% of the total cost of the project. P.L. 111-11 authorizes the Secretary of the Interior to reimburse the district for 25% of the costs they incur (minus Reclamations non-project costs), not to exceed \$22.5 million. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The initial estimated completion date of this project is 2016. See the following for information on how assistance is awarded/released: For further information, please contact the regional office.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit Program Performance Reports on an annual basis. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit SF-425, Federal Financial

Report on an annual basis. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$2,000,000; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

The range is \$0 to \$22,500,000; Average is \$2,333,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Not applicable. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 Subparts A,C,E,F and OMB circulars A-21, A-87, and A-122

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation  
South-Central California Area Office  
1243 N Street  
Fresno, CA 93721  
Office: (559)487-5116.

**Headquarters Office:**

Chief Bureau of Reclamation, 2800 Cottage Way  
, Sacramento, California 95825 Phone: (916) 978-5148

**Website Address:**

<http://www.usbr.gov/mp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Not applicable. Fiscal Year 2011: Madera Irrigation District  
Groundwater Banking Project. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are limited to the Madera Irrigation District. The scope of work must address and be responsive to the authorizing legislation and the appropriation ceiling.

**15.605 SPORT FISH RESTORATION PROGRAM**

Dingell-Johnson Sport Fish Restoration Program

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Dingell-Johnson Sport Fish Restoration Act of 1950, 64 Stat. 430, as amended 16 U.S.C. 777-777n; and 50 CFR Part 80-Administrative Requirements, Pittman Robertson Wildlife Restoration and Dingell-Johnson Sport Fish Restoration Act amended July 24, 2008.

**OBJECTIVES:**

Sport Fish Restoration funds support activities designed to restore, conserve, manage, or enhance sport fish populations; the public use and benefits from these resources; and activities that provide boat access to public waters. Sport

fisheries research and management activities; boating access development and maintenance; aquatic resource education activities; lake construction and maintenance; land acquisition; technical assistance; planning; habitat enhancement; administration; coordination; and hatchery construction are eligible under the Act.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Approvable activities include land acquisition; development (including boating access sites); research; operations and maintenance; sport fish population management; and program coordination. Law enforcement and public relations are not eligible under the Act.

**Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for the conservation of sport fish that includes a prohibition against the diversion of license fees paid by anglers for any purpose other than the administration of the fish and wildlife agency.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the public will ultimately benefit from these fishery conservation measures.).

**Credentials/Documentation:**

Each year within 60 days of the apportionment notice, States, the District of Columbia, Commonwealths, and territories must notify the Secretary of the Interior that they want to participate in the program for the year. The State, the District of Columbia, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number of paid angler license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, the District of Columbia, Commonwealth, or territory for more information on this process when applying for assistance if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his or her designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Formula-based apportionment; The program is funded by a permanent appropriation from revenues collected from taxes on sport fishing equipment, electric outboard motors and tackle boxes, fuel (gasoline) taxes which are attributable to motorboats and small-engine outdoor power equipment, import duties on fishing tackle, pleasure craft and yachts, and interest earned from Sport Fish Restoration and Boating Trust Fund. The revenues are deposited into the Sport Fish Restoration and Boating Trust Fund in the U.S. Treasury.

A portion of these funds is apportioned annually to the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the U. S. Virgin Islands according to the following formula prescribed by the Act: 40 percent based on land and water area of the State and 60 percent based on licensed anglers; no State may receive more than 5 percent but no less than one-third of 1 percent of the total funds apportioned to the program; the Commonwealth of Puerto Rico is apportioned 1 percent; and Guam, U.S. Virgin Islands, the Commonwealth of Northern Mariana Islands, American Samoa, and the District of Columbia are each apportioned up to one-third of 1 percent of the total apportioned.

States and the District of Columbia may be reimbursed up to 75 percent of the total project cost. The Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa must not exceed 25 percent and may be waived at the discretion of the Regional Director. The non-Federal share could come from license fees paid by anglers. Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Sport Fish Restoration funds are available for a period of two years. Any funds not obligated within two years by a State, the District of Columbia, Commonwealth, or territorial fish and wildlife agency will revert to the U.S. Fish and Wildlife Service and placed back into the Sport Fish Restoration and Boating Trust Fund for obligation to States, the District of Columbia, Commonwealths, or territories in the following year's apportionment. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. Cash reports are not applicable. Contact the headquarters or regional office, as appropriate, for further information. A Federal Financial Report SF 425 is required for each grant award annually within 90 days after the anniversary date or end of the grant. Recipients are responsible for monitoring and reporting performance of each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for 3 years after submission of the final Federal Financial Report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Formula Grants) FY 10 \$389,552,973; FY 11 est \$364,697,799; and FY 12 est \$372,047,000

**Range and Average of Financial Assistance:**

Range is \$900,000 to \$14,700,000; Average \$5,200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: States constructed 65 boating access sites and renovated 217 boating access sites. They conducted over 4,000 population dynamic surveys on sport fish species. They also had 874,903 students participate in their aquatic resource education programs. Fiscal Year 2011: (anticipated): States constructed 76 boating access sites and renovated 180 boating access sites. They conducted over 4,000 population dynamic surveys on sport fish species. They also had 890,000 students participate in their aquatic resource education programs. Fiscal Year 2012: (anticipated): States constructed 70 boating access sites and renovated 150 boating access sites. They conducted over 4,000 population dynamic surveys on sport fish species. They also had 900,000 students participate in their aquatic resource education programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80 and Fish and Wildlife Service Manual. Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923. Applicants can visit these regulations and guidelines at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Regional U.S. Fish and Wildlife Service Offices.

**Headquarters Office:**

Director, Policy and Program, Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program - Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703) 358-2156.

**Website Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986; 15.608 Fish and Wildlife Management Assistance; 15.611 Wildlife Restoration

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Colorado: The agency constructed a 400-foot floating recycled tire breakwater at McPhee Reservoir in Montezuma County, Colorado. The new breakwater increased and enhanced fishing and motorboat activities at McPhee Reservoir by providing for safe access and egress by motor boats at the marina boat ramp. The finished breakwater increased motor boat use at McPhee Reservoir by at least 30 percent.

Pennsylvania: The agency delivered an education program that assisted the Commission in protecting and managing aquatic resources and providing fishing opportunities. It accomplished this through resource and stewardship education (educator workshops), angler education, targeted public outreach, and hatchery/site interpretation. Fiscal Year 2011: (anticipated): Missouri: The agency will install drains in 35 fish rearing ponds at the Lost Valley warm water fish hatchery to alleviate water pressure and control groundwater under the polypropylene liners in the ponds. This will fix water pressure problems in all of the ponds at the fish hatchery.

Texas: The agency will construct a new two-lane boat ramp, parking lot,

courtesy dock, and lighting in Muenster, Texas. The new facility will provide the only public access to the lake for fishing and other recreational boating pursuits. This will be the first public boat ramp in Cooke County. Fiscal Year 2012: (anticipated): Alabama The agency will: (1) publish results of fish disease research; (2) determine the disease organisms associated with fish in each cooperating state and to advise of means and methods of controlling pathogens; (3) conduct training sessions about fish disease; (4) develop improved methods to detect and identify pathogens; (5) determine factors involved in transmission and pathogenesis of infectious diseases; (6) determine methods of detection, risk factors, and effects on sport fish from algal toxins; (7) evaluate drugs and chemicals as therapeutics for the purpose of increasing compounds approved for treatment of fish diseases; and (8) develop and evaluate vaccines for the control of fish diseases. The benefits of this project are to increase public and private fish hatchery production, quality, and reduce species mortality.

Minnesota: The agency will ensure that activities minimize the spread of diseases and invasive species by maintaining and operating a pathology lab, establishing disease testing protocols for DNR efforts, commercially imported and/or exported fish, captured feral brood stock for eggs and/or sale to commercial operations and doing surveillance of invasive and diseases in water sources used for rearing facilities and in water bodies used for rearing. They will produce and stock healthy fish to meet between 80-100% of the approved stocking and statewide program requests that support up to 25 million angler days annually. They will also maintain fish production facilities, including five coldwater, three year-round coldwater, 10 northern pike spawning areas, 45 muskellunge culture and rearing sites, 15 walleye spawning areas, and 400 fingerling-rearing areas within State and Federal water effluent and disease guidelines. The project should annually produce and stock all the fish needed to meet a variety of cold, cool, and warm water management and statewide program needs. It will implement the requirements needed to maintain genetic integrity, fish disease certifications, and commercial aquaculture as a part of a healthy statewide fisheries program.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, the District of Columbia, Commonwealth, or territorial agency having lead responsibility for the management of their fish resources must submit the projects. The State, the District of Columbia, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.608 FISH AND WILDLIFE MANAGEMENT ASSISTANCE**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-666; Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-742j; Sikes Act of 1974, as amended, 16 U.S.C. 670(a)-670(o); Alaska National Interest Lands Conservation Act, 16 U.S.C. 3101; Marine Mammal Protection Act of 1972, Public Law 92-522, as amended, 16 U.S.C. 1361-1421; Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990, as amended, 16 U.S.C. 4701-4741; Great Lakes Fish and Wildlife Restoration Act as amended 1998.

**OBJECTIVES:**

To provide technical information, advice, and assistance to other Federal agencies, other nations, States, and Native Americans on the conservation and management of fish and wildlife resources, including co-management by Alaskan Natives of marine mammals for subsistence use.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Assistance in the form of biological, chemical, and physical advice regarding land and water management and specific recommendations and plans based on the conditions found to exist. Stocking of fishes from National Fish Hatcheries and advising on wildlife management techniques may be management tools considered. Restoration of aquatic habitats and those habitats that may affect aquatic species and other activities as conducted by a U.S. Fish and Wildlife

Conservation Office or other entity of the Fisheries Program.

**Applicant Eligibility:**

Applicants may be other Federal agencies, State agencies, local governments, Native American Organizations, Interstate, Intrastate, public nonprofit institution/organization, other public institution/organization, private nonprofit/organization, or any other organization subject to the jurisdiction of the United States with interests which support the mission of the Service on a cost recoverable basis.

**Beneficiary Eligibility:**

Federal agencies, State agencies, local governments, Native Americans, Interstate, Intrastate, public nonprofit institution/organization, other public institution/organization, private nonprofit/organization, or any other organization subject to the jurisdiction of the United States with interests which support the mission of the Service on a cost recoverable basis.

**Credentials/Documentation:**

There must be factual evidence of the need for management assistance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete, sign and submit an Application for Federal Assistance, Standard Form (SF)-424, and the appropriate Budget and Assurances forms (SF-424A and SF-424B Non-construction; or SF-424C and SF-424D Construction).

**Award Procedure:**

After considering program commitments and obligations, State, Federal agencies, or Native Americans will generally be informed by letter from the Director or Regional Director, followed by development of a formal Memorandum of Agreement (MOA) or understanding (MOU).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Awards are approved annually. Unfunded projects that are ranked highly by the Regional Directors of the 8 USFWS Regions are maintained in a FWS database until the project is funded or no longer viable.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Annual awards. See the following for information on how assistance is awarded/released: Assistance is provided on a cost recoverable basis.

**Reports:**

Reports are submitted annually to the entities involved. Occasionally, progress reports are considered to be advisable. Fish and Wildlife Management Plans are developed as required. Cash reports are not applicable. Contact the headquarters or regional office, as appropriate. Federal Financial Report SF 425 is required. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Provision of Specialized Services) FY 10 \$62,532,000; FY 11 est \$62,532,000; and FY 12 est \$62,532,000 - Obligations, by program activity (1334,1335 and 1322).

**Range and Average of Financial Assistance:**

Range is \$1,000 to \$750,000; Average \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 169 barriers removed/bypassed to fish passage; 1,574 stream miles opened to fish passage; 23,319 acres opened to fish passage; and 1,443 habitat assessments completed. Fiscal Year 2011: (anticipated): 185 barriers removed/bypassed to fish passage; 1,700 stream miles opened to fish passage; 23,000 acres opened to fish passage; and 1,500 habitat assessments completed. Fiscal Year 2012: (anticipated): 270 barriers removed/bypassed to fish passage; 2,700 stream miles opened to fish passage; 25,000 acres opened to fish passage; and 1,700 habitat assessments completed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual Project Reports, Special Reports, and Fish and Wildlife Management Plans. See 710FW1 Fish Passage Policy <http://www.fws.gov/policy/710FW1.html> and the National Fish Habitat Action Plan Policy <http://www.fws.gov/policy/717fw1.html>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Jarrad Kosa Fish and Wildlife Service, Fisheries and Aquatic Restoration Conservation, Branch of Fish and Wildlife Management Assistance, 4401 North Fairfax Drive Room 770, Arlington, Virginia 22203 Email: [jarrad\\_kosa@fws.gov](mailto:jarrad_kosa@fws.gov) Phone: (703) 358-2542.

**Website Address:**

[HTTP://fisheries.fws.gov](http://fisheries.fws.gov).

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Fish Surveys to ID Priority Watersheds for Brook Trout Habitat Restoration. Recipient conducted fish surveys in Tug Hill plateau and St. Lawrence River watersheds to: (1) determine status of brook trout, (2) identify priority watersheds for habitat protection and restoration, and (3) develop habitat restoration projects within priority watersheds. Fiscal Year 2011: Dam Removal to Restore Fish Passage in the Pigg River, VA. The project is located in Veteran's Park on Pigg River. Removal of the dam will provide more open more than 17 miles of aquatic organism passage for the threatened and endangered and Roanoke logperch as well as many other sport fish species. Fiscal Year 2012: (anticipated): Clear Creeks Stream Habitat Restoration in NY. The project will use natural channel design approaches to restore stream habitat and floodplain function along 2,000 linear feet of Clear Creek. This reach is located immediately downstream of and will complement the Clear Creek Stream Habitat Restoration and Fish Passage Projects being implemented in summer 2011.

**CRITERIA FOR SELECTING PROPOSALS:**

See 710FW1 Fish Passage Policy <http://www.fws.gov/policy/710FW1.html>.

## **15.611 WILDLIFE RESTORATION AND BASIC HUNTER EDUCATION**

(Pittman-Robertson Wildlife Restoration Program)

### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

### **AUTHORIZATION:**

Pittman-Robertson Wildlife Restoration Act of 1937, 50 Stat. 917 as amended; 16 U.S.C. 669-669k.

; Pittman-Robertson Wildlife Restoration and Dingell-Johnson Sport Fish Restoration Acts, Title 50, Part 80.

### **OBJECTIVES:**

The Act provides grants to State, Commonwealth, and territorial fish and wildlife agencies for projects to restore, conserve, manage, and enhance wild birds and mammals and their habitat. Projects also include providing public use and access to wildlife resources; hunter education and safety; and the development and management of shooting ranges.

### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

### **USES AND USE RESTRICTIONS:**

Approved activities include selection, restoration, rehabilitation, and improvement of wildlife habitat; wildlife management research; wildlife population surveys and inventories; land acquisition; coordination; development of facilities; facilities and services for conducting hunter safety. Law enforcement and public relations are not eligible under the Act.

### **Applicant Eligibility:**

Agencies from the 50 States, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for conservation of wildlife that includes a prohibition against the diversion of license fees paid by hunters for any other purpose than the administration of the fish and wildlife agency.

### **Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the general public will ultimately benefit from these wildlife conservation measures.).

### **Credentials/Documentation:**

States, Commonwealths, or territories must notify the Secretary of the desire to participate annually. The State, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.". OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, Commonwealth, or territory for more information on this process when applying for assistance if the State has selected the program for review. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and

estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

### **Award Procedure:**

The Regional Director of the Fish and Wildlife Service or his designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

Average 30 days.

### **Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the Fish and Wildlife Service.

### **Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

### **Formula and Matching Requirements:**

Statutory Formula: Public Law 16 U.S.C. 669b. The program is funded by a permanent appropriation from revenues collected from taxes on bows, arrows, archery equipment, sporting firearm, ammunition, handguns, pistols, and revolvers. The revenues are deposited in the Federal Aid to Wildlife Restoration fund in the U.S. Treasury.

These funds are annually apportioned according to the formula prescribed by the Act: 50 percent based on land area of the State, Commonwealth, or territory and 50 percent based on paid hunting license holders; no State may receive more than 5 percent or less than one-half of 1 percent of the total apportionment; the Commonwealth of Puerto Rico is apportioned up to one-half of 1 percent; and Guam, U.S. Virgin Islands, American Samoa, and Commonwealth of Northern Mariana Islands each receive up to one-sixth of 1 percent of the total apportionment. Section 4(c) Hunter Education and Safety Program Funds are formula-based apportionment based on State population. No State may receive more than 3 percent or less than 1 percent of the total Hunter Education funds apportioned. Commonwealth of Puerto Rico, Guam, U.S. Virgin Islands, American Samoa, and the Commonwealth of Northern Mariana Islands receive up to one-sixth of 1 percent of the total apportionment. Matching Requirements: States may be reimbursed up to 75 percent of the total project cost. The Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, American Samoa may not exceed 25 percent and may be waived at the discretion of the Regional Director. The non-Federal share should come from license fees paid by hunters. Matching and cost sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Apportioned funds are available for obligation for a period of two years. Balances remaining unobligated after the period of availability revert to the U.S. Fish and Wildlife Service. Any funds not obligated within two years by a State, Commonwealth, or territorial fish and wildlife agency revert to the U.S. Fish and Wildlife Service and will be spent under the provision of the Migratory Bird Conservation Act. In addition, under the provisions of the Wildlife Restoration Act, the interest accumulated by Wildlife Restoration account is available to the North American Wetland Conservation program. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

### **Reports:**

A Performance Report is required for each grant award annually within 90 days

after the anniversary date or end of the grant. Cash reports are not applicable. Contact the headquarters or regional office. A Federal Financial Report SF 425 is required for each grant award annually within 90 days after the anniversary date and/or end of the grant. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for 3 years after submission of the final Financial Status Report.

**Account Identification:**

14-5029-0-2-303.

**Obligations:**

(Formula Grants) FY 10 \$386,047,314; FY 11 est \$305,086,089; and FY 12 est \$299,683,000 - Wildlife Restoration. (Formula Grants) FY 10 \$78,672,396; FY 11 est \$71,232,701; and FY 12 est \$66,500,000 - Hunter Education and Safety.

**Range and Average of Financial Assistance:**

Range is \$268,000 to \$7,187,000; Average \$2,750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The States certified 472,852 students in hunter education. They acquired 14,063 acres of land for wildlife habitat and recreational use. They also operated and maintained approximately 33 million acres for wildlife species and recreational use. Fiscal Year 2011: (anticipated): The States will certify 450,000 students in hunter education. They will acquire 12,000 acres of land for wildlife habitat and recreational use. They also will operate and maintain approximately 33 million acres for wildlife species and recreational use. Fiscal Year 2012: (anticipated): The States will certify 418,279 students in hunter education. They will acquire 10,532 acres of land for wildlife habitat and recreational use. They also will operate and maintain approximately 33 million acres for wildlife species and recreational use.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80, Fish and Wildlife Service Manual, Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64, and 43 CFR 12.923. Applicants can visit these regulations and guidelines at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Regional U.S. Fish and Wildlife Service Offices.

**Headquarters Office:**

Policy and Programs, Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program, 4402 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703) 358-2156.

**Website Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.615 Cooperative Endangered Species Conservation Fund; 15.626 Hunter Education and Safety Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Eight States are continuously working to provide hunter access on private lands. These programs are known by a variety of titles, but all are intended to provide State Walk-in Public Hunting on Private Lands. The States of Kansas, Montana, Nebraska, North Dakota, and South Dakota have on-going Wildlife Restoration grants to fund these private access-hunting programs. Nearly six million acres are open to public hunting through these Wildlife Restoration grants.

New Mexico: Desert bighorn sheep were down-listed to State threatened status in 2008, twenty-eight years after listing as a State-endangered species. The spring 2010 population estimate was 600 statewide with three metapopulations of 223, 220, and 125. This exceeded the requirements for delisting which was a minimum population of 500 statewide, with three populations or metapopulations of 100 animals or greater. Restoration efforts continue with the goal of delisting and the return of desert bighorn sheep to game animal status. Fiscal Year 2011: (anticipated): Alabama: The objective of this project is to maintain a statewide system of Wildlife Management Areas (WMA) by conducting routine maintenance, operational activities, habitat management programs, and population management/surveys, which enhance wildlife habitat and sustain stable wildlife populations for the public to use while participating in outdoor and wildlife related activities. These activities include maintenance of approximately 1,782 miles of roads and trails, managing hunts, maintenance of 111 buildings, management of timber (146,127 acres), water (1,781 acres), and herbaceous (12,792 acres) habitat, and stocking/relocating turkey and deer. This availability of public recreation lands provides a direct positive economic impact to local and regional areas from the individuals participating. Purchases of supplies, equipment, and services by these individuals support and enhance many local economies.

Alaska: The Objectives of this project includes: (1) To work with the wildlife conservation, hunting, trapping and shooting sports communities to identify trends in the composition, participation rate, and characteristics of the consumptive wildlife user base and develop insights on the implications of these trends on state wildlife agencies abilities to conserve and manage wildlife resources; and (2) To facilitate the development of mutually agreed upon national comprehensive strategies to positively influence these trends. The expectation is that these strategies will be supported and implemented primarily by the State wildlife agencies, with support from the hunting, trapping and shooting sports communities. Fiscal Year 2012: (anticipated): Illinois: The agency will inventory migrant and wintering populations of ducks, geese, swans, and American coots at selected sites in the Illinois and central Mississippi River Valleys during fall and early winter and summarize these data for parties of interest. They will also investigate the ecology of migratory mallards in the Illinois River valley for conservation planning and habitat management. This information will help establish waterfowl hunting seasons and better management of the species.

Kansas: The agency will provide and increase access to hunting on private lands through their "Walk-In Hunting Access. This will include providing access to approximately 1,125,000 acres and managing wildlife populations at levels consistent with habitat conditions and other hunting factors. The benefits include increased hunting opportunities for deer, turkey, pheasant, quail, ducks, and other small game. This will also reduce hunting pressure on public lands and provide improved quality hunting experiences throughout the State.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, Commonwealth, or territorial agency having lead responsibility for the management of their wildlife resources must submit the projects. The State, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.614 COASTAL WETLANDS PLANNING, PROTECTION AND RESTORATION ACT**

National Coastal Wetlands Conservation Grants

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Coastal Wetlands Planning, Protection and Restoration Act, Title III, Public Law 101-646, 16 U.S.C 3951-3956.

**OBJECTIVES:**

To provide competitive matching grants to coastal States for coastal wetlands conservation projects. The Coastal Wetlands Planning, Protection, and Restoration Act (Section 305, Title III, Public Law 101-646 U.S.C. 3954) established the National Coastal Wetlands Conservation Grant Program to

acquire, restore, and enhance wetlands in coastal States.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds are available to coastal States for acquisition of interests in coastal lands or waters, and for restoration, enhancement or management of coastal wetlands ecosystems on a competitive basis. Proposed projects must provide for long-term conservation of such lands or waters and the hydrology, water quality, and fish and wildlife dependent thereon. Ineligible activities include: (1) projects that primarily benefit navigation, irrigation, flood control or mariculture; (2) acquisition, restoration, enhancement or management of lands to mitigate habitat losses; (3) creation of wetlands where wetlands did not previously exist; (4) enforcement of fish and wildlife laws and regulations, except when necessary for the accomplishment of approved project purposes; (5) research; (6) planning as a primary project focus; (7) operations and maintenance; (8) acquisition and/or restoration of upper portions of watersheds where benefits to the coastal wetlands ecosystem are not significant and direct; and (9) projects providing less than 20 years of conservation benefits. For further information, please contact the regional office.

**Applicant Eligibility:**

Eligible applicants include any agency or agencies designated by the Governor of a coastal State. It is usually a State natural resource or fish and wildlife agency. Eligible coastal States are States bordering the Great Lakes (Illinois, Michigan, Minnesota, New York, Ohio, Pennsylvania, and Wisconsin); States bordering the Atlantic, Gulf (except Louisiana), and Pacific coasts (Alabama, Alaska, California, Connecticut, Delaware, Florida, Georgia, Hawaii, Maine, Maryland, Massachusetts, Mississippi, New Hampshire, New Jersey, New York, North Carolina, Oregon, Rhode Island, South Carolina, Texas, Virginia, and Washington); and American Samoa, Commonwealth of the Northern Mariana Islands, Guam, Puerto Rico, and the Virgin Islands.

**Beneficiary Eligibility:**

States, Commonwealths, or territories as designated in the applicant eligibility section.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B - Nonconstruction; or SF 424C and SF 424D- Construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms, go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>; <http://www.fws.gov/coastal.CoastalGrants>; or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Director of the Fish and Wildlife Service will select projects to be funded based on established criteria.

**Deadlines:**

Jun 30, 2011 Hard copy applications are due to the Regional Fish and Wildlife Service WSFR Office by June 30, 2011, 4:00 p.m. local time. Electronic applications submitted through [Grants.gov](http://Grants.gov) will be accepted up until June 30,

2011, 11:59 p.m. Eastern Daylight Time. We recommend electronic applications be submitted through [Grants.gov](http://Grants.gov) at least two days before the deadline to allow for any unforeseen technical complications.

Applicants are encouraged to submit letters of financial commitment by the June 30, 2011 due date, however we will accept letters at the Regional Office up through Sept. 9, 2011, 4:00 p.m. local time. Letters received after the Sept. 9, 2011, 4:00 p.m. deadline will not be considered.

**Range of Approval/Disapproval Time:**

Approximately 150 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Other.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects normally funded through annual proposals. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A performance report is required for each grant award annually within 90 days after the anniversary date. A final performance report is due within 90 days of the end of the award period of performance. A Federal Financial Report SF 425 is required for each grant award annually within 90 days after the anniversary date. A final SF 425 is due within 90 days of the end of the award period of performance. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, they are subject to Program specific audits contracted by the Fish and Wildlife Service.

**Records:**

Cost records must be maintained separately for each project. Grantees must retain records, accounts, and supporting documents for 3 years after submission final request for reimbursement.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$19,200,000; FY 11 est \$19,100,000; and FY 12 est \$17,500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 6,100 acres of coastal wetlands and associated uplands protected, restored or enhanced. Fiscal Year 2011: (anticipated): 5,900 acres of coastal wetlands and associated uplands protected, restored or enhanced. Fiscal Year 2012: (anticipated): 6,000 acres of coastal wetlands and associated uplands protected, restored or enhanced.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 84

**Regional or Local Office:**

None. See Regional Agency Offices or visit the Program web site at <http://www.fws.gov/coastal/CoastalGrants/>.

**Headquarters Office:**

Chief, Fish and Wildlife Service, Division of Wildlife and Sport Fish Restoration Program, Mail Stop FA-4020, Arlington, Virginia 22203 Phone: 703) 358-2236.

**Website Address:**

<http://wsfrprograms.fws.gov> and [http://www.fws.gov/coastal/coastal\\_grants](http://www.fws.gov/coastal/coastal_grants) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Browns Island Acquisition Project (NC); North River/Willapa Bay Conservation (WA); Long Cove and Seal Cove Wetlands Conservation Project (ME); Palmer Hay Flats State Game Refuge, Spring Creek Conservation (AK); Riverside Ranch Restoration Project (CA); Sisters of Notre Dame Conservation Easement, Great Marsh Estuary (MA). Fiscal Year 2011: Central Willapa Bay Conservation Project(WA); Coquille Valley Wetland Conservation and Restoration (OR); Miami Wetlands Conservation and Restoration Project (OR); Tarboo-Dabob Bay Acquisition and Restoration Phase II (WA). Fiscal Year 2012: (anticipated): Projects not yet selected for funding. Anticipate funding projects that will protect, restore or enhance 6,000 acres of coastal wetlands and associated uplands.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.615 COOPERATIVE ENDANGERED SPECIES CONSERVATION FUND**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et seq., as amended; Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601, as amended; The Department of the Interior, Environment, and Related Agencies Appropriations Act, 2010, P.L. 111-88.

**OBJECTIVES:**

To provide Federal financial assistance to any State or Territory (hereafter, "States"), through its appropriate State or territorial agency, to assist in the development of programs for the conservation of endangered and threatened species.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The assistance provided to the State fish and wildlife agency can include animal, plant, and habitat surveys; research; planning; monitoring; habitat protection, restoration, management, and acquisition; and public education. Assistance is restricted to those State agencies with which the Fish and Wildlife Service has a current cooperative agreement for the species involved. For further information, please contact the regional office.

**Applicant Eligibility:**

Participation limited to State agencies that have a cooperative agreement with the Secretary of the Interior. The annual Request for Proposals announced through [www.grants.gov](http://www.grants.gov) and posted to the U.S. Fish and Wildlife Service Web site at <http://www.fws.gov/endangered/grants/section6/index.html> will describe the criteria that must be satisfied for a proposal to be eligible for funding.

**Beneficiary Eligibility:**

All States that have entered into a cooperative agreement with the Secretary of the Interior.

**Credentials/Documentation:**

A current cooperative agreement(s) between the Secretary of the Interior and the State Conservation agency(ies) concerning endangered and threatened

species is necessary. Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule), identifies Federal cost principles for determining allowable costs. Separate agreements for animals and plants are normally made with each State's responsible agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative requirements for Grants and Cooperative Agreements to State and Local Governments," must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. An applicant must complete the Standard Form SF-424, Application for Federal Assistance and the appropriate Budget and Assurances forms (SF-424A and SF-424B - Non Construction; or SF-424C and SF-424D - Construction). The project description section of the application should address the evaluation factors identified in the annual request for proposals that will be posted at [www.grants.gov](http://www.grants.gov) and to the U.S. Fish and Wildlife Service website at <http://www.fws.gov/endangered/grants/index.html>.

**Award Procedure:**

Final selection is made by the Secretary of the Interior, based on recommendations by the Director or Regional Directors of the U.S. Fish and Wildlife Service. Funds are obligated by an authorized signature on an award agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Information regarding approval/disapproval time frames will be made available annually in the request for proposals posted at [www.grants.gov](http://www.grants.gov) and at the U.S. Fish and Wildlife Service Web site at <http://www.fws.gov/endangered/grants/section6/index.html>.

**Appeals:**

Decisions can be appealed to the Fish and Wildlife Service, Chief, Endangered Species Division of Consultation, Habitat Conservation Planning, Recovery, and State Grants. Final determination rests with the Secretary of the Interior.

**Renewals:**

Renewals can be made through submission of a project proposal and approval of a grant award document.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: States may receive up to 75 percent of the program costs. When two or more States have a common interest in one or more endangered or threatened species and enter into a joint agreement, the Federal share of the total project cost may be increased to 90 percent. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

So much of the annual appropriation allocated for obligation to any State for any fiscal year as remains unobligated at the close thereof is authorized to be made available to that State until the close of the succeeding fiscal year. Any amount allocated to any State which is unobligated at the end of the period during which it is available for expenditure is authorized to be made available for expenditure by the Secretary for conducting programs authorized by Section



6 of the Endangered Species Act. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A performance report is required for each project segment within 90 days following the close of the segment. The Federal Financial Report, SF 425 is required. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years following the submission of request for final reimbursement.

**Account Identification:**

14-5143-0-2-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$41,000,000; FY 11 est \$41,000,000; and FY 12 est \$46,500,000 - Habitat Conservation Plan Land Acquisition Grants. (Project Grants (Discretionary)) FY 10 \$5,146,000; FY 11 est \$4,987,000; and FY 12 est \$0 - Nez Perce Settlement. (Project Grants (Discretionary)) FY 10 \$15,000,000; FY 11 est \$15,159,000; and FY 12 est \$19,646,000 - Species Recovery Land Acquisition Grants. (Project Grants (Discretionary)) FY 10 \$10,000,000; FY 11 est \$10,000,000; and FY 12 est \$13,500,000 - Habitat Conservation Planning Assistance Grants. (Project Grants (Discretionary)) FY 10 \$11,000,000; FY 11 est \$11,000,000; and FY 12 est \$17,000,000 - Conservation Grants.

**Range and Average of Financial Assistance:**

Varies by program element.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, 49 States and 4 Territories were awarded grants through the Cooperative Endangered Species Conservation Fund. There were 356 grants awarded averaging \$183,680. Fiscal Year 2011: Based on the Presidents budget request for Fiscal Year 2011 and provided the average grant award remains the same as in FY 2010, we expect to award an estimated 420 grants in FY 2011. Fiscal Year 2012: Based on the Presidents budget request for Fiscal Year 2012, and provided the average grant award remains the same as in FY 2010, we expect to award more than 525 grants in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et seq., as amended; Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601, as amended; 50 CFR 81, The U.S. Fish and Wildlife Service Manual Chapter 521 FW 4 (<http://www.fws.gov/policy/521fw4.html>); The Wildlife and Sport Fish Restoration Program Toolkit (<http://wsfrprograms.fws.gov/Subpages/ToolkitFiles/toolkit.pdf>); and the annual request for proposals posted at [www.grants.gov](http://www.grants.gov) and at the U.S. Fish and Wildlife Service web site at <http://www.fws.gov/endangered/grants/section6/index.html>.

**Regional or Local Office:**

See Regional Agency Offices. Please visit <http://www.fws.gov/endangered/grants/section6/index.html> and click on the "How to contact us for information" link to access a list of regional program contacts.

**Headquarters Office:**

Chief, Endangered Species Division of Consultation, HCPs, Recovery and State

Grants, 4401 N. Fairfax Dr. Room 420, , Arlington, Virginia 22203 Phone: (703) 358-2171.

**Website Address:**

<http://www.fws.gov/endangered/grants/index.html>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration; 15.634 State Wildlife Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY10, 49 States and 4 Territories were awarded grants through the Cooperative Endangered Species Conservation Fund. There were 356 grants awarded averaging \$183,680. Projects funded include the acquisition of the Flamingo Waterway Scrub Tract in Florida. This \$1,687,531 HCP Land Acquisition grant will enable the acquisition of 40 acres in Charlotte County. This land purchase directly links 500 acres of existing conservation lands in three, now separate, tracts managed by the County for Florida scrub. Also funded was a \$330,000 Habitat Conservation Planning Assistance grants for Washingtons Aquatic Resources HCP. The State Department of Natural Resources is entering the final year of a planning process to develop a multi-species, programmatic Habitat Conservation Plan. The HCP will ensure that authorized activities on 2.6 million acres of state-owned aquatic lands in marine, estuarine, and freshwater environments promote sustainable ecosystems, minimize cumulative impacts, and increase protection, conservation, and recovery efforts for 30 species of fish and wildlife.

A \$1,025,000 Recovery Land Acquisition grant will enable the Arizona Game and Fish Department to acquire the approximately 925-acre Triangle Bar Ranch in Pinal County, Arizona. The tract is located at the confluence of the San Pedro River and Aravaipa Creek and its acquisition will primarily benefit the southwestern willow flycatcher and loach minnow. Fiscal Year 2011: In fiscal years 2011 and 2012, we expect to award an estimated 945 grants to fund similar projects that benefit threatened and endangered species on non-Federal lands through this competitive grant program. Fiscal Year 2012: In fiscal years 2011 and 2012, we expect to award an estimated 945 grants to fund similar projects that benefit threatened and endangered species on non-Federal lands through this competitive grant program.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals for grant funding must be submitted by the State fish and wildlife agency. The State must have an approved cooperative agreement with the Secretary of the Interior which provides for sharing responsibilities for endangered species, prior to receiving Cooperative Endangered Species Conservation Fund (section 6 of the Endangered Species Act) funds. Individual project proposals must compete with other State submissions for funding. For additional information please visit <http://www.fws.gov/endangered/grants/index.html>.

**15.616 CLEAN VESSEL ACT**

Clean Vessel Act Grant Program

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Clean Vessel Act of 1992, Section 5604, Public Law 102-587, Subtitle F; 16 U.S.C. 777c, and the Safe, Accountable, Flexible, Efficient Transportation Equity Act, Public Law 109-059.

**OBJECTIVES:**

This program provides funding to States, the District of Columbia, Commonwealths, and territories for the construction, renovation, operation, and maintenance of sewage pumpout stations, waste reception facilities, and pumpout boats for recreational boaters and for educational programs that inform boaters of the importance of proper disposal of their sewage.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

This program authorizes matching funds on a competitive basis for development of surveys and plans for installing sewage pumpouts and dump

stations for recreational boats in the coastal zone of coastal States; and for construction of sewage pumpouts and dump stations for recreational boats; and for implementation of education programs. These stations must provide protection of sensitive areas from recreational boat sewage. Prohibited activities include: law enforcement; construction/renovation of upland restroom facilities; construction, renovation, operation and maintenance of sewage treatment plants; and any activity that does not provide public benefits. For further information, please contact the regional office.

**Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa may submit grant proposals to the U.S. Fish and Wildlife Service.

**Beneficiary Eligibility:**

General public, recreational boaters, municipalities, and private marinas within eligible States, the District of Columbia, Commonwealths, and territories.

**Credentials/Documentation:**

Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule) identifies Federal cost principles for determining allowable costs. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, the District of Columbia, Commonwealth or territory for more information on this process when applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D Construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Director of the U.S. Fish and Wildlife Service will select projects based on established criteria and available funding. Regional Offices make awards to approved applicants.

**Deadlines:**

Jan 10, 2011 Application deadlines are typically in early January. The U.S. Fish and Wildlife Service will annually notify all States, the District of Columbia, Commonwealths, and territories about the grant program.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Regional Directors will consider differences of opinion over the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** The annual program funding comes from the Sport Fish Restoration and Boating Trust Fund. It receives two percent of the funds in the Trust Fund. Trust funds are derived from excise taxes on fishing equipment, motorboat and small engine fuels, import duties, and interest on the fund. The Federal share of the project costs cannot exceed 75 percent for the 50 States, the District of Columbia, and the Commonwealth of Puerto Rico. The Commonwealth of the Northern Mariana Islands and the territories of Guam, the U.S. Virgin Islands, and American Samoa must not exceed 25 percent and may be waived at the discretion of the Regional Director. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The U.S. Fish and Wildlife Service annually notifies all States, the District of Columbia, Commonwealths, and the territories about the grant program. See the following for information on how assistance is awarded/released: Projects normally funded through annual proposals.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each project. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$13,061,000; FY 11 est \$12,865,000; and FY 12 est \$13,054,000 - Obligations by program activity.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY10 actual: States constructed 240 coastal facilities and 207 inland facilities. They also constructed 259 coastal pumpout stations and 41 inland pumpout stations. Fiscal Year 2011: (anticipated): States will construct 200 coastal facilities and 180 inland facilities. They also will construct coastal 230 pumpout stations and 25 inland pumpout stations. Fiscal Year 2012: (anticipated): States will construct 170 coastal facilities and 1150 inland facilities. They also will construct coastal 200 pumpout stations and 15 inland pumpout stations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Part 85; Final Technical Guidelines published in the Federal Register Vol. 59, No. 47, March 10, 1994; final Grant Guidelines published in the Federal Register Vol. 59, No. 47, March 10, 1994; and final Pumpout Symbol Guidelines published in the Federal Register, Vol. 62, No. 166, August 27, 1997.

**Regional or Local Office:**

None. See Catalog Appendix IV for addresses of Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Fish and Wildlife Service Wildlife and Sport Fish Restoration Program - Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703) 358-2156.

**Website Address:**

<http://wsfrprograms.fws.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FY10: California: The California Department of Boating and Waterways constructed, installed upgraded, and/or renovated four coastal pumpouts and one coastal dump station facility. They purchased one pumpout boat for use along the coast and installed nine floating restrooms and two pumpouts or dump stations along inland waterways. The funds supported operation and maintenance for all coastal and inland pumpout/dump stations and pumpout boats.

Connecticut: The Connecticut Department of Environmental Protection installed two new pumpout or waste reception facilities, upgrade or replace four pumpout facilities, purchase two new pumpout boats, and renovate two others at facilities in Bridgeport, Darien, Groton, Derby, Stonington, Milford, Stamford, Norwalk, and along Candlewood Lake. They supported the operation and maintenance of pumpout facilities at up to 40 marina facilities along the coast and several others on Candlewood Lake, and provided education for boaters and marine facility operators regarding the importance of proper sewage disposal. Fiscal Year 2011: (anticipated): CVA is competitive program; will fund similar projects as those in FY 2010. Fiscal Year 2012: (anticipated): CVA is competitive program; will fund similar projects as those in FY 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must be submitted by the State, the District of Columbia, Commonwealth, or territorial agency given responsibility for the program by the Governor of that State, the District of Columbia, Commonwealth, or territory. Purpose of the project must be consistent with the purpose and conditions of the Act. The criteria for selecting proposals for coastal States are based upon the extent the project will contribute to conducting a survey; develop a plan for installing pumpouts/dump stations; and construct pumpouts/dump stations according to the approved plan. Criteria for selecting proposals for all States, the District of Columbia, Commonwealths, or territories are based upon the extent the project will contribute to public/private partnerships; innovative approaches to increasing availability and use of pumpouts/dump stations; implementation of an education program; contribution toward protecting sensitive areas; and lowering the ration of vessels with holding tanks and portable toilets to pumpouts and dump stations.

**15.619 RHINOCEROS AND TIGER CONSERVATION FUND**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Mutlational Species Conservation Act of 2007, Public Law 110-132, 121 Stat. 1360; Rhinoceros and Tiger Conservation Act of 1994, Public Law 103-391, 108 Stat. 4094 et seq., 16 U.S.C. 5301 et seq., as amended by the Rhino and Tiger Product Labeling Act of 1998, Public Law 105-312, 112 Stat. 2956 et seq., 16 U.S.C. 5301 et seq.

**OBJECTIVES:**

To provide financial assistance for projects for the effective long-term conservation of rhinoceros and tigers. This program supports projects that focus on one or more of the following areas: Applied research, including surveys and monitoring; enhanced compliance with treaties and laws that prohibit the take or trade of rhinoceros and tiger or regulate the use and management of their habitat; conservation education and community outreach; development and execution of conservation management plans; enhanced protection of at-risk populations; habitat conservation and management, including protected area and reserve management; local capacity building; reduction of human-rhinoceros and human-tiger conflicts; transfrontier conservation; and wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project work should occur within the rhinoceros/tiger range, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to rhinoceros/tiger conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be

used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel.

**Applicant Eligibility:**

Applications may be submitted by any government agency responsible for conservation and protection of rhinoceros and/or tigers and any other organization or individual with demonstrated experience in rhinoceros and/or tiger conservation.

**Beneficiary Eligibility:**

Any government agency responsible for conservation and protection of rhinoceros and/or tigers and any other organization or individual with demonstrated experience in rhinoceros or tiger conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on this program's website at <http://www.fws.gov/international/DIC/species/rhino/rhino.html> and <http://www.fws.gov/international/DIC/species/tiger/tiger.html>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia & Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are competitively selected for funding using criteria from the Rhinoceros and Tiger Conservation Act (16 USC 5301 et seq.). Review criteria can be found in the application information at <http://www.fws.gov/international/DIC/pdf/NOFARhinoTiger.pdf>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Apr 01, 2011 This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are made within 180 days after the receipt of the project proposal.

**Appeals:**

Not Applicable.

**Renewals:**

None. However; at the discretion of the Division of International Conservation, active awards can be modified, e.g.: time extensions or budget changes.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** To the extent possible, grant funds are matched by nonfederal funds. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at <http://www.fws.gov/international/DIC/species/rhino/rhino.html>. animals/rhinoprogram.htm. Interim and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at <http://www.fws.gov/international/DIC/species/rhino/rhino/html>. For financial reporting, Domestic Recipients with no program income to report shall use Federal Financial Report, Standard Form 425. Domestic recipients with program income to report shall use Standard Form 425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1652-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$2,896,950; FY 11 est \$3,000,000; and FY 12 est \$2,450,000 - Frequency of obligations: Other.

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: USFWS awarded 54 grants totaling \$2,896,950.49 in USFWS funding which was matched by \$4,822,109.40 to support the long-term conservation of rhinoceros and tigers. Fiscal Year 2011: Projects not yet selected for funding. Estimate accomplishments similar to those in FY10.

Fiscal Year 2012: Projects not yet selected for funding. Estimate accomplishments similar to those in FY10 and FY11.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at [http://www.fws.gov/international/DIC/pdf/AAG\\_9-6-07.pdf](http://www.fws.gov/international/DIC/pdf/AAG_9-6-07.pdf) or in hard copy by contacting the Division of International Conservation.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Chief Department of the Interior, U.S. Fish and Wildlife Service, Division of International Conservation, 4401 North Fairfax Drive, ARLSQ 100, Arlington, Virginia 22203 Email: MSCF\_RhinoTiger@fws.gov Phone: (703) 358 1754 Fax: (703) 358 2115

**Website Address:**

[http://www.fws.gov/international/DIC/grants/grants\\_home.html](http://www.fws.gov/international/DIC/grants/grants_home.html).

**RELATED PROGRAMS:**

15.620 African Elephant Conservation Fund; 15.621 Asian Elephant Conservation Fund; 15.629 Great Apes Conservation Fund; 15.645 Marine Turtle Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FY10: 1) Reviewing and refocusing monitoring methodologies and stakeholder relationships in order to maximize black rhino population growth in Namibia. Project activities are focused on detecting poaching threats, preventing disturbance by tourists and local residents, providing feedback to community conservancy members and tour operators about the impact of activities on rhinos, assessing monitoring effectiveness on communal lands, and advising on best practices for tourism. 2) Tiger protection and distribution monitoring in the Western Forest Complex, Thailand. Project will fund technical support, training, purchase of equipment, and patrol rations to increase patrol quality and better protect tigers found in Thung Yai West Wildlife. Will also help determine the tiger occupancy and intensity of use in the upper WEFCOM landscape, and provide additional information on the type and intensity of threats to the tiger in the upper WEFCOM landscape. 3) Project to strengthen security in Manas National Park, Assam, India through the deployment of home guards to expand the numbers and range of wild rhinos in the park. 4) Project to support the development of a National Tiger Action Plan for Cambodia, which will be focused on restoring and conserving at least one tiger source site large enough to house at least 25 breeding female tigers within a well defined tiger conservation landscape within the next ten years. Fiscal Year 2011: The RTCF will continue to provide financial assistance to projects for the effective long-term conservation of rhinoceros and tigers. Fiscal Year 2012: The RTCF will continue to provide financial assistance to projects for the effective long-term conservation of rhinoceros and tigers.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the requirements of the Rhinoceros and Tiger Conservation Act (16 U.S.C. 5301 et seq.). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the selection criteria can be found in the Rhinoceros and Tiger Notice of Funding Availability and Application Instructions at <http://www.fws.gov/international/DIC/pdf/NOFARhinoTiger.pdf>. Hard copies of the criteria are available upon request from the Division of International Conservation.

**15.620 AFRICAN ELEPHANT CONSERVATION FUND**

None

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

African Elephant Conservation Act, Title II Section 2001 et seq., Public Law

100-478, 102 Stat. 2315 et seq., 16 U.S.C. 201 et seq., 4211 et seq., 4221 et seq., 4241 et seq., and 1538. ; Multinational Species Conservation Act of 2007, Public Law 110-132, 121 Stat. 1360.

**OBJECTIVES:**

To provide financial assistance to support projects that will enhance sustainable conservation programs to ensure effective, long-term conservation of African elephants. The African Elephant Conservation Fund supports projects that promote conservation through: Applied research on elephant populations and their habitat, including surveys and monitoring; Development and execution of elephant conservation management plans; Compliance with applicable treaties and laws that prohibit or regulate the taking or trade of elephants or regulate the use and management of elephant habitat; Conservation education and community outreach; Enhanced protection of at-risk elephant populations; Efforts to decrease human-elephant conflict; Habitat conservation and management; Protected area/reserve management in important elephant range; Strengthening local capacity to implement conservation programs; Transfrontier elephant conservation; and Wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Project work should occur within the range of the African elephant, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to African elephant conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, North Korea, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel. For further information, please contact the regional office.

**Applicant Eligibility:**

Applications may be submitted by any African government agency responsible for African elephant conservation and protection and any other organization or individual with demonstrated experience in African elephant conservation.

**Beneficiary Eligibility:**

Any African government agency responsible for African elephant conservation and protection and any other organization or individual with demonstrated experience in African elephant conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on this program's website at [http://www.fws.gov/international/DIC/species/afe/african\\_elephant.html](http://www.fws.gov/international/DIC/species/afe/african_elephant.html). If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia and Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must

submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are reviewed and competitively selected for funding using criteria developed on the requirements of the African Elephant Conservation Fund (16 USC et seq.) Review criteria can be found in the application information at [http://www.fws.gov/international/DIC/species/afe/african\\_elephant.html](http://www.fws.gov/international/DIC/species/afe/african_elephant.html). Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Apr 01, 2011 This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are made within 180 days after the receipt of the project proposal.

**Appeals:**

No procedure for appeals.

**Renewals:**

None. However, at the discretion of the Division of International Conservation, active awards can be modified, e.g.: time extensions or budget changes.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: To the extent possible, grant funds are matched by nonfederal funds. This program has no statutory formula. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. Maintenance of Effort is not required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at [http://www.fws.gov/international/DIC/species/afe/african\\_elephant.html](http://www.fws.gov/international/DIC/species/afe/african_elephant.html). For financial reporting, Domestic Recipients with no program income to report shall use Federal Financial Report Standard Form 425. Domestic recipients with program income to report shall use Standard Form 425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR

Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1652-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$1,967,521; FY 11 est \$2,000,000; and FY 12 est \$1,950,000 - Frequency of obligations: Other.

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY10: USFWS funded 23 African elephant conservation projects for a total of \$1,967,521.75 which was matched by \$1,863,133.00 in leveraged funds. Fiscal Year 2011: Projects not yet selected for funding. Expect accomplishments similar to those reported in FY10. Fiscal Year 2012: Projects not yet selected for funding. Expect accomplishments similar to those reporting in FY10 and FY11.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its sources the regulations found in 43 CFR part 12 and the U.S. Fish and Wildlife Service Administration Manual. The "Assistance Award Guidelines" can be found on-line at [http://www.fws.gov/international/DIC/pdf/AAG\\_9-6-07.pdf](http://www.fws.gov/international/DIC/pdf/AAG_9-6-07.pdf) or in hard copy by contacting the Division of International Conservation. Telephone: (703) 358-1754.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief U.S. Fish and Wildlife Service, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Email: [MSCF\\_AfricanElephant@fws.gov](mailto:MSCF_AfricanElephant@fws.gov) Phone: (703) 358-1754 Fax: (703) 358-2115

**Website Address:**

[http://www.fws.gov/international/DIC/grants/grants\\_home.html](http://www.fws.gov/international/DIC/grants/grants_home.html).

**RELATED PROGRAMS:**

15.619 Rhinoceros and Tiger Conservation Fund; 15.621 Asian Elephant Conservation Fund; 15.629 Great Apes Conservation Fund; 15.645 Marine Turtle Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) Project to support travel for law enforcement officials from Kenya, Tanzania, and the Lusaka Agreement Task Force to Thailand to coordinate efforts with Thai officials in tracing the origin of ivory shipments recently seized in Bangkok; 2) Project to develop and test new acoustic and thermal image monitoring of African forest elephants at the Mbeli Bai, Republic of Congo that have the potential to greatly improve the remote monitoring of elephant activity and security; 3) Project to conduct field training sessions and meetings in Congo and Gabon to improve practical skills of Cameroonian, Congolese and Gabonese researchers working in the most important elephant habitats in the Congo Basin; 4) Project to support the monitoring of forest elephants in the OgoouLeketi National Park, Republic of Congo and to improve security coverage by anti-poaching personnel on the Congo side of the Bateke Plateaux ecosystem. Fiscal Year 2011: Projects not yet selected for funding. The program will continue to provide financial assistance to projects for the effective long-term conservation of African elephants. Fiscal Year 2012: The program will continue to provide financial assistance to projects for the effective long-term conservation of African elephants.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the African

Elephant Conservation Act (16 USC 4201 et seq.). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the selection criteria can be found in the African Elephant Notice of Funding Availability and Application Instructions found on our website at [http://www.fws.gov/international/DIC/species/afe/afe\\_howtoapply.html](http://www.fws.gov/international/DIC/species/afe/afe_howtoapply.html). Hard copies are available upon request from the Division of International Conservation at (703)358-1754.

**15.621 ASIAN ELEPHANT CONSERVATION FUND**

None

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Asian Elephant Conservation Act, Public Law 105- 96, 111 Stat. 2150, 16 U.S.C. 4261-4266.; Asian Elephant Conservation Reauthorization Act of 2007, Public Law 110-133, 121 Stat. 1362.

**OBJECTIVES:**

To provide financial assistance to support the effective long-term conservation of Asian elephants. This program provides support for projects that focus on one or more of the following areas: Applied research, including surveys and monitoring; enhanced compliance with treaties and laws that prohibit the take or trade of Asian elephant or regulate the use and management of their habitat; conservation education and community outreach; development and execution of conservation management plans; enhanced protection of at-risk populations; habitat conservation and management, including protected area and reserve management; local capacity building; reduction of human-elephant conflicts; transfrontier conservation; and wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Project work should occur within the range of the Asian elephant, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to Asian elephant conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan, and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreement Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel. For further information, please contact the regional office.

**Applicant Eligibility:**

Applications may be submitted by any Asian government agency responsible for Asian elephant conservation and protection, and any other organization or individual with demonstrated experience in Asian elephant conservation.

**Beneficiary Eligibility:**

Any Asian government agency responsible for Asian elephant conservation and protection, and any other organization or individual with demonstrated experience in Asian elephant conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at Grants.gov website <http://www.grants.gov/search/basic.do>. The Notice of Funding Availability and Application Instructions are also located on this program's website at [http://www.fws.gov/international/DIC/species/ase/asian\\_elephant.html](http://www.fws.gov/international/DIC/species/ase/asian_elephant.html). If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia & Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are reviewed and competitively selected for funding based on established criteria contained in the Asian Elephant Conservation Act (16 USC 4261 4266). Review criteria can be found in the application information at [http://www.fws.gov/international/DIC/species/ase/asian\\_elephant.html](http://www.fws.gov/international/DIC/species/ase/asian_elephant.html). Once a proposal has been selected for funding an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by a FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Apr 01, 2011 This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are made within 180 days after receipt of the project proposal.

**Appeals:**

No procedure for appeals.

**Renewals:**

None. However; at the discretion of the Division of International Conservation, active awards can be modified, e.g.: time extensions or budget changes.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: To the extent possible, grant funds are matched by nonfederal funds. This program has no statutory formula. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. Maintenance of Effort is not required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress and final reports are due in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at [http://www.fws.gov/international/DIC/species/ase/asian\\_elephant.html](http://www.fws.gov/international/DIC/species/ase/asian_elephant.html). For financial reporting, Domestic Recipients with no program income to report shall use the Federal Financial Report SF 425. Domestic recipients with program income to report shall use Standard Form 425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period and describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each

award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1652-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$2,001,291; FY 11 est \$2,000,000; and FY 12 est \$1,950,000 - Frequency of obligations: Other.

**Range and Average of Financial Assistance:**

Variable amounts. Due to limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY10: USFWS funded 40 Asian elephant conservation projects totaling \$2,001,291.00 which was matched by \$2,028,752.00 in leveraged funding. Fiscal Year 2011: Projects not yet selected for funding. Program will continue to provide financial assistance to support the effective long-term conservation of Asian elephants. Fiscal Year 2012: Program will continue to provide financial assistance to support the effective long-term conservation of Asian elephants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its sources all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at [http://www.fws.gov/international/DIC/pdf/AAG\\_9-6-07.pdf](http://www.fws.gov/international/DIC/pdf/AAG_9-6-07.pdf) or in hard copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Fish and Wildlife Service, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-1754 Fax: (703) 358-2115.

**Website Address:**

[http://www.fws.gov/international/DIC/grants/grants\\_home.html](http://www.fws.gov/international/DIC/grants/grants_home.html)

**RELATED PROGRAMS:**

15.619 Rhinoceros and Tiger Conservation Fund; 15.620 African Elephant Conservation Fund; 15.629 Great Apes Conservation Fund; 15.645 Marine Turtle Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) project is to improve husbandry and management of captive elephants working in protected areas, help train field veterinarians on health care and management of Asian elephants, and provide veterinary expertise to the Forest Department in the management of protected areas in Assam, India; 2) to financially support 45 volunteers from villages on the perimeter Manas National Park, India to enhance protection of Asian elephants and other wildlife and their habitats in the park; 3) Project to extend conservation outreach to decision makers in Western Ghats, India to have a

positive impact on conservation policies and their implementation. Key activities include workshops and field visits aimed at providing the required exposure to target groups to effect pro-elephant conservation policies and development plans, and minimize negative impacts on wild elephants and their habitats. Fiscal Year 2011: Projects not yet selected for funding. The program will continue to provide financial assistance to projects for the effective long-term conservation of African elephants. Fiscal Year 2012: The program will continue to provide financial assistance to projects for the effective long-term conservation of African elephants.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the Asian Elephant Conservation Act (16 U.S.C. 4261-4266). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the criteria can be found in the Asian Elephant Notice of Funding Availability and Application Instructions at

[http://fws.gov/international/DIC/species/ase/ase\\_howtoapply.html](http://fws.gov/international/DIC/species/ase/ase_howtoapply.html). Hard copies are available upon request from the Division of International Conservation at (703) 358-1754.

**15.622 SPORTFISHING AND BOATING SAFETY ACT  
BOATING INFRASTRUCTURE GRANT PROGRAM (BIG)**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Sportfishing and Boating Safety Act, Title VII, Subtitle D, Section 7404, Public Law 105-178, 16 U.S.C. 777g-1, and the Safe, Accountable, Flexible, Efficient Transportation Equity Act, Public Law 109-059.

**OBJECTIVES:**

This program provides funding to States, the District of Columbia, Commonwealths, and territories for the construction, renovation, and maintenance of tie-up facilities for transient, recreational boats 26 feet or greater.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

This program authorizes matching funds on a competitive basis for constructing, renovating, or maintaining tie-up facilities for transient, recreational boats 26 feet or more in length and to produce and distribute information and educational materials about the program. Prohibited activities include; law enforcement, construct, renovate, or maintain tie up facilities for boats less than 26 feet or greater and any activity that does not provide public benefits. For further information, please contact the regional office.

**Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa may submit grant proposals to the U.S. Fish and Wildlife Service.

**Beneficiary Eligibility:**

General Public, specifically owners and/or users of transient, recreational boats more than 26 feet or greater, and municipalities and private marinas within those eligible States, the District of Columbia, Commonwealths, and territories.

**Credentials/Documentation:**

Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule) identifies Federal cost principles for determining allowable costs. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, the District of Columbia, Commonwealth, or territory for more information on this process when applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review

of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Director of the U.S. Fish and Wildlife Service will select projects for funding based on established criteria and available funding. Regional Offices make awards to approved applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Matching Requirements: The annual program funding comes from the Sport Fish Restoration and Boating Trust Fund. It receives two percent of the funds in the Trust Fund. Trust funds and derived from excise taxes on fishing equipment, motorboat and small engine fuels, import duties, and interest on the fund. The Federal share of the project costs cannot exceed 75 percent for the 50 States, the Commonwealth of Puerto Rico, and the District of Columbia. The Commonwealth of Northern Mariana Islands and the territories of Guam, the U.S. Virgin Islands, and American Samoa must not exceed 25 percent and may be waived at the discretion of the Regional Director.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are normally funded through annual proposals. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. A Federal Financial Report SF 425 is required. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a



year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after final submission of the final Federal Financial Report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$13,061,000; FY 11 est \$12,865,000; and FY 12 est \$13,054,000 - FY 2011 estimate \$13,500,000.

**Range and Average of Financial Assistance:**

Tier 1 grants average at \$100,000; Tier 2 range from \$100,000 to \$1,500,000; Average \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: States constructed 148 tie up sites for transient boats greater than 26 feet in length. Fiscal Year 2011: (anticipated): States will construct 150 tie up sites for transient boats greater than 26 feet in length. Fiscal Year 2012: (anticipated): States will construct 130 tie up sites for transient boats greater than 26 feet in length.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Part 86.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Policy and Programs Director U.S. Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program - Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703)358-2156

**Website Address:**

<http://wsfrprograms.fws.gov>.

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FY10: North Carolina: The North Carolina Department of Environment and Natural Resources partnered with the Beaufort Harbor Marina and Yacht Club in collaboration with the Carteret County Economic Development Foundation to construct 50 transient boat slips and other amenities along Beaufort's Town Creek.

Oregon: The Oregon State Marine Board partnered with the Port of Coos Bay to provide transient slips for 13 vessels up to fifty-feet in length and 449-feet of broadside tie-up space, with direct gangway connection to the Charleston Marina Complex. Fiscal Year 2011: The Boating Infrastructure Grant program is a competitive program; will fund similar projects as those in FY 2010. Fiscal Year 2012: The Boating Infrastructure Grant program is a competitive program; will fund similar projects as those in FY 2010.

**CRITERIA FOR SELECTING PROPOSALS:**

The designated State, the District of Columbia, Commonwealth, or territorial agency must submit proposals to participate in this program. The purpose of these projects must be consistent with the purpose and conditions of the Act. The criteria for selecting proposals are based upon the extent the project will contribute to constructing tie-up facilities according to the State's, the District of Columbia, Commonwealth's, or territory's approved plan; contribute to public/private partnerships; innovative approaches to increasing availability and use of tie-up facilities; that include private, local, or other State, the District of Columbia, Commonwealth, or territorial funds in addition to the 25 percent match; that are cost efficient; provide a significant link to prominent destination way points such as those near cultural or natural sites; provide access to recreational, historic, cultural, natural, or scenic opportunities of local, regional, or national significance; that provide significant economic impacts to a community; and include multistate efforts that result in coordinating location of tie-up facilities.

**15.623 NORTH AMERICAN WETLANDS CONSERVATION FUND (NAWCF)**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

North American Wetlands Conservation Act, Public Law 101-233, as amended, 16 U.S.C. 4401.

**OBJECTIVES:**

To provide grant funds for wetlands conservation projects in the United States, Canada, and Mexico.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used to acquire real property interest in lands or waters, including water rights. Funds may also be used to restore, manage, and/or enhance wetland ecosystems and other habitat for migratory birds and other fish and wildlife. Projects must provide long-term conservation for wetlands-associated migratory birds and other wetlands-associated wildlife. Coastal Wetlands Planning, Protection and Restoration act-derived funds eligible for NAWCA projects may be used only in U.S. coastal wetlands ecosystems. More specific restrictions are outlined on the NAWCA grants information and instructions website. For further information, please contact the regional office.

**Applicant Eligibility:**

Available to private or public organizations or to individuals who have developed partnerships to carry out wetlands conservation projects in the U.S., Canada, and Mexico.

**Beneficiary Eligibility:**

Available to any private or public organization or individual.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Complete program information and application instruction can be found on the Division of Bird Habitat Conservation (DBHC) website, at <http://www.fws.gov/birdhabitat/Grants/NAWCA>, or can be accessed through [grants.gov](http://grants.gov). Grant applications, including Standard Form 424 Application for Federal Assistance, and the appropriate Assurance forms (SF 424C or SF 424D) are submitted directly to the Coordinator, North American Wetlands Conservation Council, Division of Habitat Conservation, U.S. Fish and Wildlife Service, Mail Stop MBSP 4075, 4401 North Fairfax Drive, Arlington, VA 22203; 703-358-1784.

**Award Procedure:**

Applications are screened by the Coordinator's staff, and further reviewed and ranked by the North American Wetlands Conservation Council (Council) Staff and North American Waterfowl Management Plan Joint Venture Coordinators. Site visits are conducted as needed. Grant proposals are recommended for approval by the Council to the Migratory Bird Conservation Commission (Commission). The U.S. Fish and Wildlife Service conducts a National Environmental Policy Act and National Historic Preservation Act review of the projects that the Council selects to recommend to the Commission. The Council selects proposals in March, July, and December that are recommended to the Commission for final funding approval in September, March, and June respectively. The grant is administered by FWS DBHC.

**Deadlines:**

Mar 01, 2011 U.S. Standard grants are due in March and July and small grant proposals are due in October. Specific proposal due dates are published on the NAWCA website:

<http://www.fws.gov/birdhabitat/Grants/NAWACA/index.shtm>.

**Range of Approval/Disapproval Time:**

The range of time from proposal submission to the Commission meeting for standard grants is 7 to 11 months. Small grants approvals are usually known in 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals are funded on a project-specific basis. Requests for future funding must complete with other requests for project funding. A grant agreement can be modified or extended at the discretion of the Division of Bird Habitat Conservation.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The required matching share varies on a grant-by-grant basis and is set forth in the grant award, but must be at least 50 percent of the project costs, except that the project activities located on Federal lands and waters can be funded with 100 percent Federal funding.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant funds should be spent within the 1-2 year grant period, although the grant period can be extended for reasonable cause. All grants issued to non-Federal entities are paid through the Department of Health and Human Services Payment Management System. Funds provided directly to a Federal entity by FWS are governed by a separate agreement between FWS and the recipient Federal entity. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Final reports must be filed with the Division of Bird Habitat Conservation within 90 days of the end of the project expiration or termination date. Cash reports are not applicable. A performance report is required for each grant award annually within 90 days after the anniversary date. A final performance report is due within 90 days of the end of the award period of performance. Interim and final reports must be submitted in accordance with the terms and conditions of the grant agreement and must include SF-425 Federal Financial Report. Recipients requesting the ability to receive funds in advance must submit SF-425 Federal Financial Report quarterly. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The Recipient shall maintain a complete, detailed accounting system to report expenditures of grant funds and a detailed accounting of receipts and expenditures of non-Federal matching dollars or value of services. Records, accounts, and supporting documents must be retained for 3 years after submission for final report.

**Account Identification:**

14-5241-0-2-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$92,301,478; FY 11 est \$83,568,177; and FY 12 est \$83,750,717 - Obligations by program activity.

**Range and Average of Financial Assistance:**

Range is \$0 to \$75,000 for Small Grants; over \$75,000 to \$1,000,000 for U.S. Standard Grants. Average award is approximately \$42,000 and \$710,000 for Small Grants and U.S. Standard Grants, respectively.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Enhance or restore 214,507 acres of migratory bird habitat and protect 797,083 acres of migratory bird habitat. Fiscal Year 2011: (anticipated): Enhance or restore 364,139 acres of migratory bird habitat and protect 686,552 acres of migratory bird habitat. Fiscal Year 2012: (anticipated): Enhance or restore 229,454 acres of migratory bird habitat and protect 580,257 acres of migratory bird habitat.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Standard Grants Application Instructions; Small Grants Instructions; U.S. Grant Administration Standards; 43 CFR Part 12 and 49 CFR Part 24.

**Regional or Local Office:**

See Regional Agency Offices. Regional Office or Local Office For additional program information, see Appendix IV for addresses of USFWS Regional Offices.

**Headquarters Office:**

Chief, Office Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Division of Bird Habitat Conservation, MBSP 4075, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-1784.

**Website Address:**

<http://www.fws.gov/birdhabitat/Grants/NAWCA>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration; 15.614 Coastal Wetlands Planning, Protection and Restoration Act; 15.635 Neotropical Migratory Bird Conservation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Louisiana Delta Wetlands Conservation II, Concordia and Ouachita parishes, Louisiana - This project represents a continuation of long-term efforts to protect and enhance important wetland habitats in the Lower Mississippi Alluvial Valley. The valleys wetland habitats support a rich diversity of wildlife species. Forested and emergent wetlands, riparian lands and associated uplands in the region provide migration and wintering habitat for millions of migratory birds. Partners in this project will protect and enhance 1,083 acres of wetlands on public and private lands in several parishes. Grant and match funds will help protect in perpetuity 2,966 acres of wetlands and uplands on private lands. Upon completion, enhancement and protection activities will provide foraging, nesting or roosting habitat for a number of wetland-dependent migratory birds. Fiscal Year 2011: North Dakota Northern Prairie Project, 11 northwestern North Dakota counties - This project is the continuation of an ongoing initiative to protect, restore, and enhance wetland/grassland communities using a landscape level approach to planning. Among the overall habitat objectives for the North Dakota Northern Prairie Project are to protect 2.8 million acres of wetlands and associated uplands; restore 831,100 acres of wetland and associated upland habitat; and enhance 4.3 million acres of wetland and associated upland habitat. The activities in this grant project will use the latest Geographic Information Systems information and technology to target and prioritize project sites toward the highest density wetland, waterfowl and occurrence areas in the project area. This information has allowed managers to make informed decisions by identifying optimal locations for grassland easements and acquisitions, leases, grazing systems, wetland restoration and protection, and nesting structures. Other indirect benefits of this project will be achieved through habitat improvement agreements with landowners. Fiscal Year 2012: FY2012 projects have not yet been selected.

**CRITERIA FOR SELECTING PROPOSALS:**

The Council selects proposals based on factors given in Section 5 of the North American Wetlands Conservation Act, results of site visits, available funds and other factors deemed important to meeting Act objectives. U.S. standard and small grant proposals are additionally evaluated against answers to Technical Assessment Questions taken from Section 5 of the Act and annually published on the web site in application instructions.

**15.625 WILDLIFE CONSERVATION AND RESTORATION****FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Department of Transportation and Related Agencies (i.e., Commerce, Justice, and State) Appropriations Act of 2001, Public Law 106-553, Title IX, Sec. 901; 16 USC 669-669i.

**OBJECTIVES:**

The program provides financial assistance to States, the District of Columbia, Commonwealths, and territories under the Pittman-Robertson Wildlife Restoration Act to plan and implement projects for benefit of a diverse array of wildlife and associated habitats, including species that are not hunted or fished. It also fulfills unmet needs of wildlife within States, the District of Columbia, Commonwealths, and territories that includes wildlife education and recreation activities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Approved activities include those, which plan, enhance, and implement programs for wildlife and their habitats, including species that are not hunted or fished. States, the District of Columbia, Commonwealths, and territories must pass laws for the conservation of wildlife, which include a prohibition against diversion of license fees paid by hunters for purposes other than the administration of the State, the District of Columbia, Commonwealth, and territorial fish and wildlife agencies. No funds must be used for projects that oppose legal hunting. Federal share may not exceed 75 percent of total funding.

**Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for the conservation of wildlife that includes a prohibition against the diversion of license fees paid by hunters for any other purpose than the administration of the fish and wildlife agency. In addition, the States, the District of Columbia, Commonwealths, and territories must have an approved comprehensive plan as described by the Appropriations Act.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the public will ultimately benefit from these wildlife conservation measures.).

**Credentials/Documentation:**

The State, the District of Columbia, Commonwealth, or territory must have an approved Comprehensive Wildlife Conservation Plan on file to receive grant funds. The Plan must consider the broad range of the State, the District of Columbia, Commonwealth, or territory agencies wildlife and associated habitats, with appropriate priority placed on those species of greatest conservation need. Each year within 60 days of the apportionment notice, States, the District of Columbia, Commonwealths, and territories must notify the Secretary of the Interior that they want to participate in the program for the year. The State, the District of Columbia, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number of paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.". This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants may document initial program by submission of a satisfactory Comprehensive Wildlife Conservation Plan. Applicant must complete the

Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: This program is required by statute to provide funds using a specified formula. The authorizing Appropriation Act states: (1) The Secretary of the Interior must make the following apportionment from the Wildlife Conservation and Restoration Account: (A) to the District of Columbia and to the Commonwealth of Puerto Rico, each a sum equal to not more than one-half of 1 percent thereof; (B) to the Commonwealth of the Northern Mariana Islands and the territories of American Samoa, Guam, and the U.S. Virgin Islands, each a sum equal to not more than one-fourth of 1 percent thereof; (2) (A) The Secretary of the Interior, after making the apportionment under paragraph (a), must apportion the remaining amount in the Wildlife Conservation and Restoration Account for each fiscal year among the States in the following manner: (i) one-third of which is based on the ratio to which the land area of such State bears to the total land area of all such States; and (ii) two-thirds of which is based on the ratio to which the population of such State bears to the total population of all such States. (B) The amounts apportioned under this paragraph must be adjusted equitably so that no such State shall be apportioned a sum which is less than one percent of the amount available for apportionment under this paragraph for any fiscal year or more than five percent of such amount. The State, the District of Columbia, Commonwealth, or territory must have an approved Comprehensive Wildlife Conservation Plan on file to receive grant funds. The Federal share of funded programs or projects may not exceed 75 percent. More discuss on Matching and Cost-sharing requirements can be found in 43 CFR 12.64 and 43 CFR 12.923. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: For further information, please contact the regional office.

**Reports:**

A performance report is required for each grant award annually within 90 days after the anniversary date and/or end of the grant. Cash reports are not applicable. Progress reports are not applicable. A SF-425, Federal Financial Report, is required for each grant award annually within 90 days after the anniversary date and/or end of the grant. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5029-0-2-303.

**Obligations:**

(Formula Grants) FY 10 \$242,178; FY 11 est \$834,261; and FY 12 est \$820,000

**Range and Average of Financial Assistance:**

Based on statutory formula - \$121,000 to \$2,425,000; \$904,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Wildlife Conservation and Restoration Program contain two program elements, wildlife-associated recreation, and wildlife conservation education. Wildlife-associated recreation projects are those intended to meet the demand for outdoor activities associated with wildlife. This includes, but is not limited to, such activities as hunting, fishing, wildlife observation and wildlife photography, field trials, and projects such as construction or restoration of wildlife viewing areas, observation towers, blinds or platforms, land and water trails, trailheads, water access, and access for such activities and projects. Wildlife conservation education projects are intended to foster responsible natural resources stewardship and include public outreach projects. States spent most of the Wildlife Conservation and Restoration Program funding on research and survey activities; (58.7% of the total program expenditures); 21.5% on education and outreach activities; and 17.1% on operations and maintenance of facilities and State-owned properties. Fiscal Year 2011: (anticipated) The Wildlife Conservation and Restoration Program contain two program elements, wildlife-associated recreation, and wildlife conservation education. Wildlife-associated recreation projects are those intended to meet the demand for outdoor activities associated with wildlife. This includes, but is not limited to, such activities as hunting, fishing, wildlife observation and wildlife photography, field trials, and projects such as construction or restoration of wildlife viewing areas, observation towers, blinds or platforms, land and water trails, trailheads, water access, and access for such activities and projects. Wildlife conservation education projects are intended to foster responsible natural resources stewardship and include public outreach projects. States will spend most of the Wildlife Conservation and Restoration Program funding on coordination and administration of the program (52% of the total program expenditures); 18% on education and outreach activities; and 17% on research and survey activities. Fiscal Year 2012: (anticipated) The Wildlife Conservation and Restoration Program contain two program elements, wildlife-associated recreation, and wildlife conservation education. Wildlife-associated recreation projects are those intended to meet the demand for outdoor activities associated with wildlife. This includes, but is not limited to, such activities as hunting, fishing, wildlife observation and wildlife photography, field trials, and projects such as construction or restoration of wildlife viewing areas, observation towers, blinds or platforms, land and water trails, trailheads, water access, and access for such activities and projects. Wildlife conservation education projects are intended to foster responsible natural resources stewardship and include public outreach projects. States will spend most of the Wildlife Conservation and Restoration Program funding on education and outreach activities (50% of the total program expenditures); 19.3% on research and survey activities; 12.3% on technical assistance to private landowners; and 10.4% on operations and maintenance of facilities and State-owned properties.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80; Fish and Wildlife Service Manual; Federal Aid in Fish and Wildlife Restoration Annual Report (limited number available at no cost).

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Policy and Programs, 4401 North Fairfax Drive, WSFR 4020, Arlington, Virginia 22203 Phone: (703) 358-2156

**Website Address:**

<http://wsfrprograms.fws.gov>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance; 15.611 Wildlife Restoration; 15.615 Cooperative Endangered Species Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: District of Columbia The agency developed an awareness program on the importance of backyard habitats; how citizens can develop them and how these improved sites can help provide needed habitat for wildlife (especially birds and small mammals) while enhancing peoples' properties and environments. Participants will increase their knowledge and understanding of local wildlife ecology. Conservation landscaping can reduce the use of fertilizers, pesticides, water, and reduce maintenance while enhancing wildlife habitat. The goal of developing 200 active backyard habitat sites will increase wildlife habitat for urban species, increase citizen awareness and knowledge of the importance of habitat and how they can take action to help provide it, and likely reduce the amount of fertilizer and pesticides (nonpoint source pollution) used on District lands. Other workshop participants who choose not to develop a habitat will still increase their knowledge of local wildlife species, their habitat needs, and ecological roles, and how people can help improve their local environment for wildlife.

Louisiana The agency estimated the number of shorebirds moving through key Louisiana Refuges and wildlife management areas during fall migration. The information collected was to establish shorebird populations on key public areas in Louisiana. In addition, this information helped in understanding shorebird populations nationwide. Fiscal Year 2011: New Mexico The agency will design a wildlife education center that utilizes existing landscape attributes to enhance educational opportunities and provide minimal impact to the surrounding habitat. This will allow help in educating the public about conservation.

South Carolina The agency will develop a visitation and recreation program for Jocassee Gorges appropriate to the resource and acceptable impact and develop an education program, which utilizes Jocassee Gorges (33,000 acres of property) for outdoor instruction and illustration of Blue Ridge Escarpment natural history. These efforts will aid in the management of the ecological integrity of Jocassee Gorges and educate the public, while the public can become advocates of protecting the natural resources. Fiscal Year 2012: (anticipated): District of Columbia The agency will develop awareness in District of Columbia citizens of the importance of backyard habitats; how citizens can develop them and how these improved sites can help provide needed habitat for wildlife (especially birds and small mammals) while enhancing peoples' properties and environments. Participants will increase their knowledge and understanding of local wildlife ecology. Conservation landscaping can reduce the use of fertilizers, pesticides, water, and reduce maintenance while enhancing wildlife habitat. The goal of developing 200 active backyard habitat sites will increase wildlife habitat for urban species, increase citizen awareness and knowledge of the importance of habitat and how they can take action to help provide it, and likely reduce the amount of fertilizer and pesticides (nonpoint source pollution) used on District lands. Other workshop participants who choose not to develop a habitat will increase their knowledge of local wildlife species, their habitat needs, and ecological roles, to help improve their local environment for wildlife.

Illinois The agency will partner with the City of Chicago to purchase 102 acres at Hegewisch marsh. The City of Chicago will own the site. A conservation easement in the form of a Land and Water Reserve will be granted to the Illinois Nature Preserves Commission. This will provide optimum nesting habitat for the State-listed little blue heron, yellow-headed blackbird,

pied-billed grebe and common moorhen along with migrating waterfowl, shorebirds and neo-tropical migrants.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, the District of Columbia, Commonwealth, or territorial agency having lead responsibility for the management of their wildlife resources must submit the projects. The State, the District of Columbia, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.626 ENHANCED HUNTER EDUCATION AND SAFETY PROGRAM  
FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Pittman-Robertson Wildlife Restoration Act of 1937, 50 Stat. 917 as amended; 16 U.S.C. 669h-1; and 50 CFR Part 80-Administrative Requirements, Pittman-Robertson Wildlife Restoration and Dingell-Johnson Sport Fish Restoration Acts.

**OBJECTIVES:**

This program provides funds for the enhancement of hunter and archery education programs and the enhancement or construction of firearm shooting ranges and archery ranges.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

This program provides funds for the enhancement of: 1. hunter education programs, hunter and sporting firearms programs, and hunter development programs; 2. interstate coordination and development of hunter education programs; 3. bow hunter and archery education, safety, and development programs; 4. construction of firearm or archery shooting ranges; and 5. updating safety features of firearm and archery ranges. Law enforcement and public relations are not eligible under the Act.

**Applicant Eligibility:**

Agencies from the 50 States, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for the conservation of wildlife that include a prohibition against the diversion of license fees paid by hunters for any other purpose than the administration of the fish and wildlife agency.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the general public will ultimately benefit from these wildlife conservation measures).

**Credentials/Documentation:**

States, Commonwealths, or territories must notify the Secretary the desire to participate annually. The State, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number of paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.". This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Agencies from the 50 States, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for the conservation of wildlife that include a prohibition against the diversion of license fees paid by hunters for any other purpose than the administration of the fish and wildlife agency. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult

the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his or her designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider the differences of opinion about eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Formula-based apportionment: the program is funded by a permanent appropriation for revenues collected from taxes on bows, arrows, archery equipment, sporting firearms, ammunition, handguns, pistols, and revolvers (16 U.S.C. 669b). The revenues are deposited in the Federal Aid to Wildlife Restoration fund in the U.S. Treasury. These funds are annually apportioned according to the formula prescribed by the Act are based on population of the States. No State may receive more than 3 percent or less than 1 percent of the total Hunter Education funds apportioned. Commonwealth of Puerto Rico, Guam, U.S. Virgin Islands, American Samoa, and the Commonwealth of Northern Mariana Islands receive up to one-sixth of 1 percent of the total apportionment.

States may be reimbursed up to 75 percent of the total project cost. The Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa must not exceed 25 percent and may be waived at the discretion of the Regional Director.

The non-Federal share could come from license fees paid by hunters. Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Any funds not obligated within one year by a State, Commonwealth, or territorial fish and wildlife agency revert to the U.S. Fish and Wildlife Service and reapportioned to States, Commonwealths, and territories that obligated their Section 4(c) Hunter Education and Safety apportionment on eligible hunter education and safety activities. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A Performance Report is required for each grant award annually within 90 days after the anniversary date or end date of the award. A Federal Financial Report SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5029-0-2-303.

**Obligations:**

(Formula Grants) FY 10 Not Available; FY 11 est \$8,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Range is \$13,300 to \$240,000; Average \$145,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Information not available. Fiscal Year 2011: Anticipated. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80, Fish and Wildlife Service Manual, matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64, and 43 CFR 12.923. Applicants can visit these regulations and guidelines at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices.

**Headquarters Office:**

Director, Policy and Programs, Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program - Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703) 358-2156.

**Website Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.615 Cooperative Endangered Species Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The State, Commonwealth, or territory agency having responsibility for the management of their resources must submit the projects. The State, Commonwealth's, or territory's wildlife resources must submit the projects. The State, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.628 MULTISTATE CONSERVATION GRANT PROGRAM**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

The Wildlife and Sport Fish Restoration Programs Improvement Act of 2000, Public Law 106-408, as amended; the Dingell-Johnson Sport Fish Restoration Act, 64 Stat. 430 as amended, 16 U.S.C. 777m and the Pittman-Robertson Wildlife Restoration Act, 50 Stat. 917 as amended, 16 U.S.C. 669h-2.

**OBJECTIVES:**

This program provides funding for sport fish and wildlife restoration projects identified by the Association of Fish and Wildlife Agencies.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Project types that are generally selected for funding are education and training, analysis and focus on the values and use of sport fish and wildlife programs and new technologies, and evaluation in restoration, recreation, enhancement, or protection of sport fish and wildlife and their habitats. For further information, please contact the regional office.

**Applicant Eligibility:**

States, group of States, and non-governmental organizations. By October 1st of each year the Association of Fish and Wildlife Agencies (AFWA) provides the U.S. Fish and Wildlife Service a priority list of projects recommended for funding. The U.S. Fish and Wildlife Service Director may only fund project proposals on the priority list.

**Beneficiary Eligibility:**

Projects must benefit at least 26 States, a majority of States in a Region of the U.S. Fish and Wildlife Service, or a Regional association of State fish and game departments.

**Credentials/Documentation:**

Costs for grants to States or group of States will be determined in accordance with 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87). Cost for grants to non-governmental groups who are nonprofit organizations will be determined according to 2 CFR Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122). Cost principles for non-governmental groups which are commercial will be determined the Federal Acquisition Regulations (FAR) 31.2. Non-government applicants must certify that they will not use grant funds for activities, projects, or programs that promote or encourage opposition to regulated hunting or trapping of wildlife, or to the regulated taking of fish. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, the District of Columbia, Commonwealth, or territory for more information on this process when applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use standard Federal Application and Assurances forms approved by OMB, as well as proposal formatting requirements established by the Association of Fish and Wildlife Agencies (AFWA) in their requests for Multi-State Conservation Grant project proposals. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. Specific application procedures for Nonprofits are described in 43 CFR Part 12, Subpart F, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. Specific application procedures for commercial applicants and Fish and Wildlife Service applicants are described in the FAR, Subpart 311.2, Contracts with Commercial Organizations, and 50 CFR 80. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or

www.grants.gov.

**Award Procedure:**

The Director of the U.S. Fish and Wildlife Service will select projects for funding from a priority list developed by the Association of Fish and Wildlife Agencies (AFWA) based on established criteria.

**Deadlines:**

Oct 01, 2010 AFWA posts a Request for Proposal (RFP) in the spring of each year at <http://www.grants.gov> and [http://www.fishwildlife.org/multistate\\_grants.html](http://www.fishwildlife.org/multistate_grants.html)

AFWA must submit its priority list of project proposals to the U.S. Fish and Wildlife Service Assistant Director for Wildlife and Sport Fish Restoration Programs by October 1. The list of priority projects submitted by AFWA will be published in the Federal Register by the end of each calendar year.

**Range of Approval/Disapproval Time:**

Approximately 6 to 9 months from the deadline established by AFWA for submitting proposals.

**Appeals:**

Any differences of opinion over the eligibility of proposed activities or differences arising over the conduct of work may be appealed to the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may be approved for up to three years with funding dependant on annual competition. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. A Federal Financial Report SF 425 is required. A final performance report is due within 90 days of the end of the award period of performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each project for three years after submission of the final Financial Status Report. Record keeping requirements for grants to States are described in 43 CFR 12, Subpart C, and OMB Circular A-102. Record keeping requirements for grants to nonprofit organizations are described in 43 CFR 12, Subpart F, and OMB Circular A-110. For Commercial grantee and U.S. Fish and Wildlife Service grantees must use record keeping procedures described in 43 CFR 12, Subpart C, and OMB Circular A-110.

**Account Identification:**

14-5029-0-2-303; 14-8151-0-7-303.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$6,000,000; FY 11 est \$6,000,000; and FY 12 est \$6,000,000

**Range and Average of Financial Assistance:**

Range is \$25,000 to \$500,000; Average \$140,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Twelve projects were funded. Project activities included: State Fish and Wildlife agency administration and coordination; identifying and implementing climate change adaptation strategies for natural resources; Midwest fish habitat partnership development; bowhunting education; and fish health management. Program accomplishments for the Multistate Conservation Grant Program are based upon National Conservation Needs (NCNs) which are selected annually by the National Grants Committee. Fiscal Year 2011: Twelve projects were funded. Project activities included: improve benefits for fish and wildlife and their habitats as provisions of the 2008 Farm Bill; investigation of the needs directly related to participation, recruitment and retention of people in hunting, fishing, boating and the shooting sports; development of a Reservoir Fisheries Habitat Partnership; investigate initiatives to protect fish and wildlife health; and address the need to increase leadership capacities for conservation agencies through the training of State fish and wildlife personnel that will lead conservation agencies into the next decade. Program accomplishments for the Multistate Conservation Grant Program are based upon National Conservation Needs (NCNs) which are selected annually by the National Grants Committee.

FY12 (anticipated): The Multistate Conservation Grant Program is a competitive program; will have similar accomplishments as those reported in FY 2010 and FY 2011. Program accomplishments for the Multistate Conservation Grant Program are based upon National Conservation Needs (NCNs) which are selected annually by the National Grants Committee. Fiscal Year 2012: (anticipated): The Multistate Conservation Grant Program is a competitive program; will have similar accomplishments as those reported in FY 2010 and FY 2011. Program accomplishments for the Multistate Conservation Grant Program are based upon National Conservation Needs (NCNs) which are selected annually by the National Grants Committee.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12; 50 CFR 80; Sections 521, 522, and 523 of the Fish and Wildlife Service Manual.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Director, Policy and Programs, Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program- Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703) 358-2156.

**Website Address:**

<http://wsfrprograms.fws.gov/> or [http://www.fishwildlife.org/multistate\\_grants.html](http://www.fishwildlife.org/multistate_grants.html).

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) Identifying and Implementing Climate Change Adaptation Strategies for Natural Resources. The objective is to develop and implement a series of regional workshops to aid States in creating practical wildlife management strategies for climate change. The workshops will facilitate communication and coordination among State fish and wildlife agencies and their partners. 2) Implementation of the Hunting Heritage Action Plan. The objective is to provide training on the use of the best practices for hunter recruitment and retention programs and coordinate the development of a national-scale hunter recruitment and retention program. Fiscal Year 2011: 1) Operation of the Reservoir Fisheries Habitat Partnership. The objective is to support operations and development of the Partnership and start implementation of the Strategic Plan. Objectives include: reservoir classification and baseline assessment of fish habitat impairments; coordination of strategies, actions, and data sharing as well as selection and support of projects in priority reservoir systems. 2) Trailblazer Adventure Program: Involving Youth and Families in Conservation. The objective is to stimulate new growth and enhance quality in the Trailblazer Adventure Program, a nationwide outdoor education program designed to involve young people and their families, from non-traditional backgrounds, in the outdoor lifestyle of hunting, fishing and trapping. The program will occur in up to 40 States. Fiscal Year 2012: (anticipated): The Multistate Conservation Grant Program is a competitive program; will fund

similar projects as those in FY 2010 and FY 2011.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects will be reviewed and evaluated for scope, significance, feasibility, and cost effectiveness. In addition, projects must address one or more focus areas as described in the National Conservation Needs established annually by the Association of Fish and Wildlife Agencies (AFWA).

**15.629 GREAT APES CONSERVATION FUND**

None

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Great Ape Conservation Act of 2000, Public Law 106-411, 16 U.S.C. 6301.  
Tylersville Fish Hatchery Conveyance, Public Law 109-363.

**OBJECTIVES:**

To provide financial assistance for projects for the effective long-term conservation of great apes and their habitats. This program supports projects that focus on one or more of the following areas: applied research on ape populations and their habitats, including surveys and monitoring; development and execution of ape conservation management plans; compliance with applicable treaties and laws that prohibit or regulate the taking or trade of ape or regulate the use and management of ape habitat; conservation education and community outreach; enhanced protection of at-risk ape populations; efforts to decrease human-ape conflicts; habitat conservation and management; protected area/reserve management in important ape range; strengthening local capacity to implement conservation programs; transfrontier ape conservation; and wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Project work should occur within the ape range, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to ape conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunition; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training Federal Government personnel. For further information, please contact the regional office.

**Applicant Eligibility:**

Applicants may be submitted by any government agency responsible for conservation and protection of apes and any other organization or individual with demonstrated experience in ape conservation.

**Beneficiary Eligibility:**

Any government agency responsible for conservation and protection of apes and any other organization or individual with demonstrated experience in ape conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on this program's website at [http://www.fws.gov/international/DIC/species/great\\_apes/great\\_apes.html](http://www.fws.gov/international/DIC/species/great_apes/great_apes.html). If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia and Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are reviewed and competitively selected for funding based on established criteria contained in the Great Ape Conservation Act (16 USC 6301 et seq.). Review criteria can be found in the application information at [http://www.fws.gov/international/DIC/species/great\\_apes/great\\_apes.html](http://www.fws.gov/international/DIC/species/great_apes/great_apes.html). Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Apr 01, 2011 This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals will be made within 180 days after the receipt of the project proposal.

**Appeals:**

Not Applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation, active awards can be modified, e.g.: time extensions or budget changes.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: To the extent possible, grant funds are matched by nonfederal funds. This program has no statutory formula. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. Maintenance of Effort is not required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at the program web page at [http://www.fws.gov/international/DIC/species/great\\_apes/great\\_apes.html](http://www.fws.gov/international/DIC/species/great_apes/great_apes.html). For financial reporting, Domestic Recipients with no program income to report shall use the Federal Financial Report Standard Form 425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**



In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1652-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$4,752,470; FY 11 est \$2,500,000; and FY 12 est \$1,950,000 - Frequency of obligations: Other.

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: USFWS funded 58 projects totaling \$4,752,470 which was matched by \$7,186,170 in leveraged funding. Fiscal Year 2011: Will continue to provide financial assistance for projects for the effective long-term conservation of great apes and their habitats. Fiscal Year 2012: Will continue to provide financial assistance for projects for the effective long-term conservation of great apes and their habitats.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its sources the regulations found in 43 CFR Part 12 and the Fish and Wildlife Service Administration Manual. The "Assistance Award Guidelines" can be found on-line at [http://www.fws.gov/international/DIC/pdf/AAG\\_9-6-07.pdf](http://www.fws.gov/international/DIC/pdf/AAG_9-6-07.pdf) or in hard copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Department of the Interior, Fish and Wildlife Service, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Email: [MSCF\\_GreatApe@fws.gov](mailto:MSCF_GreatApe@fws.gov) Phone: (703) 358-1754 Fax: (703) 358-2115.

**Website Address:**

[http://www.fws.gov/international/DIC/grants/grants\\_home.html](http://www.fws.gov/international/DIC/grants/grants_home.html).

**RELATED PROGRAMS:**

15.619 Rhinoceros and Tiger Conservation Fund; 15.620 African Elephant Conservation Fund; 15.621 Asian Elephant Conservation Fund; 15.645 Marine Turtle Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) Project to conduct a biological inventory and survey of bonobos within Lukenie-Sankuru-Lusambo Forest Block, Democratic Republic of Congo to identify areas of high conservation value; 2) Project to assess the status of chimpanzee communities in Karakaene and Koudekourou, Senegal to mitigate future iron-ore mining planned by the ArcelorMittal company; 3) Project to improve the protection efforts for Western hoolock gibbons and other wildlife species in Jeypore Reserve Forest, India by establishing, training and equipping two joint Forest Department-community patrol teams and equipping the range office with the hardware and software necessary to maintain the patrol database; 4) Project to provide refresher training to Seima Biodiversity

Conservation Area staff in wildlife assessment and forest protection, strengthen staff skills in science based management of patrols, and provide support for operation of two patrol teams for a minimum of 15 days per month to improve the conservation and monitoring of the yellow-cheeked crested gibbon in Southern Mondukiri, Cambodia. Fiscal Year 2011: Projects not yet selected for funding. The program will continue to provide financial assistance to projects for the effective long-term conservation of great apes. Fiscal Year 2012: The program will continue to provide financial assistance to projects for the effective long-term conservation of great apes.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the Great Ape Conservation Fund (16 U.S.C. 6301 et seq.). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the selection criteria can be found in the Great Ape Notice of Funding Availability and Application Instructions at [http://www.fws.gov/international/DIC/species/great\\_apes/great\\_apes.html](http://www.fws.gov/international/DIC/species/great_apes/great_apes.html). Hard copies are available upon request from the Division of International Conservation.

**15.630 COASTAL PROGRAM**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, 16 U.S.C. 742a-c, 747e-742j; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661 667(e).

**OBJECTIVES:**

To provide technical and financial assistance via partnerships to identify, protect, and restore or improve habitats in priority coastal areas for fish and wildlife.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Funds are used for habitat assessments, protection and restoration of coastal habitats on private or public lands. The Coastal Program is geographically limited to 23 high priority areas. These are Gulf of Maine, Southern New England/New York Bight, Delaware Bay, Chesapeake Bay, Albemarle/Pamlico Sound, South Carolina Coast, South Florida/Everglades, Panama City, Florida, Florida Tampa Bay, the Caribbean, Texas Coast (Upper), Texas Coast (Southern), Great Lakes (Northern), Great Lakes (Southern), San Diego Bay, San Francisco Bay, Humboldt Bay, Central California Coast, Oregon Coast, Puget Sound, Alaska (South East), Alaska (South Central), and the Pacific Islands.

**Applicant Eligibility:**

Federal, State, interstate and intrastate agencies; local and tribal governments; public nonprofit institutes and organizations (such as conservation organizations, watershed councils, land trusts, schools and institutions of higher learning); U.S. territories and possessions; private landowners including individuals and businesses.

**Beneficiary Eligibility:**

Federal, State, interstate and intrastate agencies; local and tribal governments; public nonprofit institutes and organizations (such as conservation organizations, watershed councils, land trusts, schools and institutions of higher learning); U.S. territories and possessions; private landowners including individuals and businesses.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The local Coastal Program Coordinator works with cooperators to design a project that will benefit Federal trust resources. Contact the appropriate Coastal Program Office for application procedures. Information is also available on <http://www.grants.gov/>. Applicant must complete and submit the Standard Form (SF)-424, and the appropriate Budget and Assurances forms (SF-424A and SF-424B Non-construction; or SF-424C and SF-424D Construction).

**Award Procedure:**

After a project has been designed and the cost calculated, the local Coastal Program coordinator will be able to inform the respective cooperator(s) whether or not the Service will provide financial assistance. When the cooperator has signed a cooperative agreement work can begin on the project. The Service reimburses the landowner after the project is completed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

None. However, project partners may request additional projects on their lands.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects normally funded through annual segments. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are stated in each cooperative agreement. Contact the appropriate Coastal Program Office for additional information and specific requirements. Federal Financial Report SF 425 is required. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Accomplishments are recorded for each project in the Habitat Information Tracking System (HabITS). HabITS tracks habitat improvement accomplishments and program-specific technical assistance workloads associated with the Coastal Program and Partners for Fish and Wildlife Program.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$4,022,000; FY 11 est \$6,000,000; and FY 12 est \$6,000,000

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: River/stream/shoreline miles restored or protected=78;

wetland acres protected, or restored =28,093; upland acres protected or restored =25,726. Fiscal Year 2011: River/stream/shoreline miles restored or protected=27; wetland acres protected, or restored =10,800; upland acres protected or restored =8,900. Fiscal Year 2012: River/stream/shoreline miles restored or protected=27; wetland acres protected, or restored =10,800; upland acres protected or restored =8,900.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See <http://www.fws.gov/coastal> for contact information and addresses.

**Headquarters Office:**

Director, Fish and Wildlife Service, Division of Fish and Wildlife Management and Habitat Restoration, Branch of Habitat Restoration, 4401 N. Fairfax Drive, MS 730, Arlington, Virginia 22203 Phone: (703) 358-2232.

**Website Address:**

<http://www.fws.gov/coastal>.

**RELATED PROGRAMS:**

15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Perkins creek tributary restoration project; Port Aransas Nature Preserve Brazilian pepper control project; Brancheau Coastal Wetland Restoration Project; Bride Brook Habitat Restoration and Fish Access Project; Afognak Island Coastal Protection Project. Fiscal Year 2011: Funds will be used to support wetland restoration, upland restoration, and river and stream restoration projects similar to those funded in FY10. Fiscal Year 2012: Funds will be used to support wetland restoration, upland restoration, and river and stream restoration projects similar to those funded in FY10 and FY11.

**CRITERIA FOR SELECTING PROPOSALS:**

All projects must benefit Federal trust species and be cost effective. Project selection occurs at the field level. See the annual "Notice of Availability of Federal Assistance" in <http://grants.gov> for more details.

**15.631 PARTNERS FOR FISH AND WILDLIFE**

Partners for Fish and Wildlife

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Partners for Fish and Wildlife Act of 2006, 16 U.S.C. 3771-3774; Fish and Wildlife Act of 1956; 16 U.S.C. 742a-c, 742e-j; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e).

**OBJECTIVES:**

Provide technical and financial assistance to private landowners and Native American Tribes interested in voluntarily restoring or otherwise improving native habitats for fish and wildlife on their lands.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Assistance provided to private landowners (defined to include individuals, local governments, non-government organizations) and Native American Tribes. Program goal is to achieve a 50 percent cost share on projects with matching funds and in-kind contributions provided by the landowners and other partners. Projects must be located on private lands. Private land is defined by the Partners for Fish and Wildlife Act of 2006, 16 U.S.C. 3771-3774, as any land that is not owned by the Federal Government or a State. Private land includes tribal land and Hawaiian homeland.

**Applicant Eligibility:**

Private landowners, tribal governments, local and state governments, educational and non-profit institutions and organizations are eligible for financial and technical assistance from Partners for Fish and Wildlife Program. Projects must be located on private lands. Private land is defined by the Partners for Fish and Wildlife Act of 2006, 16 U.S.C. 3771-3774, as any land that is not

owned by the Federal Government or a State. Private land includes tribal land and Hawaiian homeland.

**Beneficiary Eligibility:**

Private landowners, tribal governments, local and state governments, educational and non-profit institutions and organizations are eligible for financial and technical assistance from Partners for Fish and Wildlife Program. Projects must be located on private lands. Private land is defined by the Partners for Fish and Wildlife Act of 2006, 16 U.S.C. 3771-3774, as any land that is not owned by the Federal Government or a State. Private land includes tribal land and Hawaiian homeland.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The local Partners for Fish and Wildlife Program Coordinator works with the applicant and makes a site visit to design a project that will benefit Federal trust resources and is acceptable for the landowner's needs. Contact the appropriate Partners for Fish and Wildlife Program Office for application procedures. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF424A and SF 424B - Non-construction; or SF 424C and SF 424D - Construction) Information is also available at <http://www.grants.gov>.

**Award Procedure:**

After a project has been designed and the cost calculated, the local Partners Program coordinator will be able to inform the private landowner whether or not the Service will provide cost-share assistance. When the landowner has signed a cooperative agreement (a minimum of 10 years) work can begin on the project. The Service reimburses the landowner after the project is completed.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

None. Private land owners may request additional projects on their lands.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The Program goal is to obtain a 50 percent match of Federal monies by partnering with landowners, local community groups and other local and national conservation organizations. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cost-share is a one time event that occurs after project construction. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are stated in each cooperative agreement. Contact the appropriate Partners for Fish and Wildlife Program Office for additional information and specific requirements. Detailed biological reports are prepared on a percentage of projects funded. All projects are monitored for accurate construction. Federal Financial Report SF 425 is required. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Accomplishments are recorded for each project in the Habitat Information Tracking System (HabITS). HabITS tracks habitat improvement accomplishments and program-specific technical assistance workloads associated with the Coastal Program and Partners for Fish and Wildlife Program.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$21,856,356; FY 11 est \$22,000,000; and FY 12 est \$22,000,000

**Range and Average of Financial Assistance:**

Cost-share range per project is from \$200 to \$25,000. The average cost per project is \$5,400.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY10: River/stream/shoreline miles restored =527; wetland acres restored =50,741; upland acres protected or restored =234,327. Fiscal Year 2011: FY11 (anticipated): River/stream/shoreline miles restored =389; wetland acres restored =27,000; upland acres protected or restored =143,000. Fiscal Year 2012: FY12 (anticipated): River/stream/shoreline miles restored =389; wetland acres restored =27,000; upland acres protected or restored =143,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For information about Program policy and guidelines see the Partners for Fish and Wildlife Program Management Policy in the Fish and Wildlife Service Manual, 640 FW1 (at <http://www.fws.gov/policy/640fw1.html>).

**Regional or Local Office:**

See Regional Agency Offices. See <http://www.fws.gov/partners> for addresses and contact information.

**Headquarters Office:**

Director, Fish and Wildlife Service, Division of Habitat Resource Conservation, Branch of Habitat Restoration, 4401 N. Fairfax Drive, MS 730, Arlington, Virginia 22203 Phone: (703) 358-2201. Fax: (703)358-2232

**Website Address:**

<http://www.fws.gov/partners>.

**RELATED PROGRAMS:**

15.630 Coastal Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Big Creek Fish Passage and Wetland Restoration Project; Lesser Prairie-Chicken Upland Restoration Project; Invasive Tree Removal Project; Elfin-Woods Warbler Forest Enhancement and Riparian Forest Buffer Project; Leo Politi Elementary Schoolyard Habitat Project. Fiscal Year 2011: Funds will be used to support wetland restoration, upland restoration, and river and stream restoration projects similar to those funded in FY10. Fiscal Year 2012: Funds will be used to support wetland restoration, upland restoration, and river and stream restoration projects similar to those funded in FY10 and FY11.

**CRITERIA FOR SELECTING PROPOSALS:**

All projects must benefit Federal trust species, involve on-the-ground habitat restoration, and be cost-effective. Specific criteria for reviewing and ranking projects were established in the national Partners policy, at <http://www.fws.gov/policy/640fw1.html>. The program gives high priority to proposed projects that benefit the National Wildlife Refuge System, species at risk, conserve globally or nationally imperiled habitats; and reduce habitat fragmentation. Also take a look at the annual Notice of Availability of Federal Assistance referenced in <http://grants.gov>.

### **15.633 LANDOWNER INCENTIVE PROGRAM**

Tribal Landowner Incentive Program TLIP

#### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

#### **AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2006, Public Law 109-148; Title I; Land and Water Conservation Fund Act of 1965; 16 U.S.C. 4601-4 through 11. , Public Law 109-148, 16 U.S.C 4601-4 through 11.

#### **OBJECTIVES:**

This program establishes or supplements existing landowner incentive programs that provide technical or financial assistance. This includes habitat protection and restoration; to assist private landowners in protecting and managing habitats to benefit federally listed, proposed, or candidate species, or other at-risk species; and to encourage States, the District of Columbia, Commonwealths, or territories to enhance private landowner conservation.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

#### **USES AND USE RESTRICTIONS:**

Tier 1 projects provide the States, the District of Columbia, Commonwealths, or territories to support development of a new program, or to enhance an existing landowner incentive program, through administration, development of plans, outreach, and other associated activities that assist in the accomplishment of projects on private lands. Tier 2 projects should place a priority on the implementation of State, the District of Columbia, Commonwealth, or territorial programs that provide technical and financial assistance to private landowners for the protection and restoration of habitats that benefit federally listed, proposed, or candidate species, or other species-at-risk. For further information, please contact the regional office.

#### **Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service.

#### **Beneficiary Eligibility:**

Private landowners and the public (While direct participation is limited to State, the District of Columbia, Commonwealth, or territorial fish and wildlife agencies, private landowners will directly benefit from financial and technical assistance and the public will ultimately benefit from these wildlife conservation measures implemented on private lands).

#### **Credentials/Documentation:**

Only that agency that has lead management responsibility for fish and wildlife resources within the State, the District of Columbia, Commonwealth, or territory may apply for these grants. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Applicants will receive notification of approval/disapproval within approximately 60 working days after proposal due date.

#### **Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Revenues collected from the Outer Continental Shelf Oil and Gas Royalties are deposited into the Land and Water Conservation Fund and appropriated annually by Congress for the program. These funds are awarded to fish and wildlife agencies based on a two-tiered award system. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Annual awards. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. A Program Report is required for each grant annually within 90 days after the anniversary date or end of the grant. A Federal Financial Report (SF-425) is required for each grant annually within 90 days after the anniversary date or end of the grant. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

#### **Account Identification:**

14-5496-0-2-302.

#### **Obligations:**

(Project Grants (Discretionary)) FY 10 \$5,012,179; FY 11 est \$17,554,119; and FY 12 est \$15,000,000

#### **Range and Average of Financial Assistance:**

Funds are available until expended.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program enhanced 126,068 acres of non-wetland habitat and 56,747 acres of wetland habitat for wildlife species on private lands. They also had 22,919 acres of non-wetland property protected under conservation easements this year. Fiscal Year 2011: (anticipated): The program will enhance 285,000 acres of non-wetland habitat and 26,000 acres of wetland habitat for wildlife species on private lands. They also will protect 14,000 acres of

non-wetland property under conservation easements this year. Fiscal Year 2012: (anticipated): The program will enhance 270,000 acres of non-wetland habitat and 24,000 acres of wetland habitat for wildlife species on private lands. They also will protect 12,000 acres of non-wetland property under conservation easements this year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior and Related Agencies Appropriations Act, 2006, Public Law 109-148, Title I, language on Landowner Incentive Program, and 43 CFR 12.

**Regional or Local Office:**

See Regional Agency Offices. Region 1 U.S. Fish and Wildlife Service  
Native American Liaison  
Eastside Federal Complex  
911 NE 11th Avenue  
Portland, OR 97232-4181

Region 2 U.S. Fish and Wildlife Service  
Native American Liaison  
500 Gold Avenue, SW  
P.O. Box 1306  
Albuquerque, NM 87103-1306

Region 3 U.S. Fish and Wildlife Service  
Native American Liaison  
1 Federal Drive  
Fort Snelling, MN 55111-4080

Region 4 U.S. Fish and Wildlife Service  
Native American Liaison  
1875 Century Boulevard  
Atlanta, GA 30345

Region 5 U.S. Fish and Wildlife Service  
Native American Liaison  
300 Westgate Center Drive, Hadley, MA 01035-9589

Region 6 U.S. Fish and Wildlife Service  
Native American Liaison  
P.O. Box 25486  
Denver, CO 80225

Region 7 U.S. Fish and Wildlife Service  
Native American Liaison  
1011 East Tudor Road  
Anchorage, AK 99503-6199

Region 8 U.S. Fish and Wildlife Service  
Tribal Partnerships Specialist  
Habitat Restoration Division  
2800 Cottage Way, Rm W-2606  
Sacramento, CA 95825.

**Headquarters Office:**

Wildlife and Sport Fish Restoration Program Policy and Programs, 4401 North Fairfax Drive, WSFR 4020, Arlington, Virginia 22203 Phone: (703) 358-2156

**Website Address:**

<http://wsfrprograms.fws.gov>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance; 15.611 Wildlife Restoration; 15.615 Cooperative Endangered Species Conservation Fund; 15.634 State Wildlife Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The agency funded the acquisition of a perpetual conservation easement over approximately 2,900 acres for the protection of Greater sage-grouse habitat in Rio Blanco County. The grant included a

management plan that includes management for sage grouse, elk and deer habitat, and that allowed ongoing ranching activities to take place. Acquisition of the perpetual conservation easement provided permanent protection for important Greater Sage grouse populations, which have a high risk of extirpation. The management plan for the conservation easement guided ongoing management activities on the property, to the benefit of the Greater Sage grouse.

Montana (Fort Peck Assiniboine and Sioux Tribes) The tribe established a Tribal Wildlife Refuge and Management Area on the Manning Lake Wetlands Complex on Ft. Peck Reservation, Montana. They hired a full-time Project Coordinator to work with partners and oversee development and implementation of a protection and management plan for the area. They gained protection of habitat around the Manning Lake Wetlands through purchases and/or leases with landowners. Fiscal Year 2011: The agency will continue funding three positions to staff and administer the Kansas Department of Wildlife and Parks' Playa Lakes Habitat Incentive Programs (PLHIP). The positions will include one Program Coordinator and two Project Coordinators to manage and administer the program. The PLHIP staff will use funds to restore, protect, or enhance 5,000 acres of upland, 500 acres of wetland, and 200 miles of stream/riparian habitat to benefit targeted at-risk species including lesser prairie chicken, black-tailed prairie dog, ferruginous hawk, northern pintail, American avocet, black tern, Cassins sparrow, whooping crane, green toad, flathead chub, Arkansas darter, and Topeka shiner. These efforts will be concentrated in two conservation regions based on Kansas's Comprehensive Wildlife Conservation Strategy.

Maine (Passamaquoddy Tribe) The tribe will (1) acquire baseline information on Canada lynx, snowshoe hare, and other rare and endangered forest carnivores on Passamaquoddy tribal lands in Maine; (2) assess the past, present, and future effects of forest management on Canada lynx and snowshoe hare and other forest carnivores; and (3) use Canada lynx and snowshoe hare as umbrella species to manage for early successional habitat on tribal lands and pine marten as an umbrella species for mid- to late-successional habitats on tribal lands. Fiscal Year 2012: Utah The State will protect Tier I and Tier II species of greatest conservation need in Cache, Juab, and Sanpete counties through acquisition of conservation easements including: Green Canyon CE, Phase 1-A (Cache County) - 434 acres for Bonneville cutthroat trout and sharp-tailed grouse; Crawford CE, Sanpete County - 75 acres for Columbia spotted frog and southern leatherside chub; Graham CE, Sanpete County - 20 acres for Columbia spotted frog and southern leatherside chub; Turpin CE, Sanpete County - 100 acres for Columbia spotted frog and southern leatherside chub; and Mills valley CE, Juab County - 110 acres for least chub

North Dakota (Spirit Lake Tribe) The tribe will determine the amount of terrestrial wildlife habitat that has been lost on tribal and allotted lands due to the rising of Devil's Lake and the resultant flooding. This information will be used to develop a habitat mitigation plan. A habitat assessment using the Habitat Evaluation Procedure (HEP) method will be conducted on important wildlife habitats located on tribal and allotted lands. This will identify areas that are in need of protection and/or restoration. A land use plan will also be developed that will identify areas that are in need of conservation that may otherwise be at risk of development.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, the District of Columbia, Commonwealth, or territorial agency having lead responsibility for the management of their fish and wildlife resources must submit the projects. The State, the District of Columbia, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.634 STATE WILDLIFE GRANTS**

(SWG)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2009,

Public Law 111-88.

**OBJECTIVES:**

This program funds the development and implementation of projects for the benefit of fish and wildlife and their habitats, including species that are not hunted or fished. Priority is placed on projects that benefit species of greatest conservation concern.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Approved activities include those, which develop and implement programs for the benefit of wildlife and their habitat, including species that are not hunted or fished.

**Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service who have the Service's approved Comprehensive Wildlife Conservation Plans.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the public will ultimately benefit from these wildlife conservation measures.).

**Credentials/Documentation:**

The State, District of Columbia, Commonwealth, or territory must have the Service's approved Comprehensive Wildlife Restoration Plan on file to receive grant funds. The Plan must consider the broad range of the State, the District of Columbia, Commonwealth, or territory agencies' wildlife and associated habitats, with appropriate priority placed on those species of greatest conservation need. The State, the District of Columbia, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov). Grant proposals must clearly indicate how the proposed objectives address the conservation needs identified within the State's, the District of Columbia's, Commonwealths or territory's Comprehensive Wildlife Conservation Plan.

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his or her designee approves or disapproves proposed projects. Regional offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Matching Requirements: The Department of the Interior and Related Agencies Appropriations Act of 2009, Public Law 111-88 requires that: (1) The Secretary of the Interior shall, after deducting administrative expenses and \$7,000,000 for Tribal grants, apportion the remaining amount in the following manner: (A) to the District of Columbia and to the Commonwealth of Puerto Rico, each a sum equal to not more than one-half of 1 percent thereof; and (B) to the territories of American Samoa, Guam, the Commonwealth of Virgin Islands, and the Commonwealth of Northern Mariana Islands, each a sum equal to not more than one-fourth of one percent thereof. (2) The Secretary must apportion the remaining amount in the following manner: (A) one-third of which is based on the ratio to which the land area of such State bears to the total land area of all such States; and (B) two-thirds of which is based on the ratio to which the population of such State bears to the total population of all such States. The amounts apportioned under this paragraph must be adjusted equitably so that no State must be apportioned a sum which is less than 1 percent of the amount available for apportionment under this paragraph for any fiscal year or more than 5 percent of such amount: The Federal share of project costs is not to exceed 75 percent for planning or competitive grants, nor 65 percent for an implementation grant. More discussion is in the matching and cost sharing requirements found in 43 CFR 12.64 and 43 CFR 12.923.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Apportioned funds are available for obligation by the State, the District of Columbia, Commonwealth, or territory for a period of two years. Reimbursements can be requested on a continuing basis as expenditures are verified. Balances remaining unobligated after the period of availability or unspent after the final grant closeout must return to the U.S. Fish and Wildlife Service for reapportionment. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. A Federal Financial Report SF 425 is required for each grant award annually within 90 days after the anniversary date or end of the grant. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-1694-0-1-302.

**Obligations:**

(Formula Grants) FY 10 \$76,496,527; FY 11 est \$78,000,000; and FY 12 est \$67,000,000 - State Wildlife. (Project Grants) FY 10 \$7,000,000; FY 11 est \$7,000,000; and FY 12 est \$8,000,000 - Tribal Wildlife. (Project Grants) FY 10 \$5,000,000; FY 11 est \$5,000,000; and FY 12 est \$20,000,000 - State Wildlife.

**Range and Average of Financial Assistance:**

Range is \$155,000 to \$3,104,000; Average \$1,109,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: States improved 538,400 acres of wildlife habitat and acquired or had conservation easements in excess of 20,742 acres. Fiscal Year 2011: (anticipated): States will improve 400,000 acres of wildlife habitat and acquired or will acquire conservation easements in excess of 10,000 acres. Fiscal Year 2012: (anticipated): States will improve 350,000 acres of wildlife habitat and acquired or will acquire conservation easements in excess of 7,000 acres.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior and Related Agencies Appropriations Act of 2009, Public Law 111-88 language on State Wildlife Grants, and 43 CFR Part 12.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices.

**Headquarters Office:**

Director, Policy and Programs, Fish and Wildlife Service, Division Wildlife and Sport Fish Restoration Program - Branch of Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703) 358-2156.

**Website Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance; 15.611 Wildlife Restoration; 15.615 Cooperative Endangered Species Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Colorado: The State searched for suitable habitat from Hotchkiss to Bowie to determine site occupancy of Yellow-billed cuckoos and confirm that the species is breeding in the North Fork of the Gunnison River Valley. Confirmation of presence of a breeding population of Western yellow-billed cuckoos in the western Colorado would be an important first step in efforts to establish a conservation plan for the species in western Colorado. Without confirmation of the species' presence, there is little reason to expend the resources to develop a conservation plan.

Washington: The State monitored the herring spawning to estimate populations in Puget Sound, in order to provide valuable management information for biologist to protect the fish species. Fiscal Year 2011: Georgia: The agency will acquire 1,144 acres to become part of the Altamaha River Wildlife Management Area to protect wildlife habitat and provide outdoor recreational opportunities to the public.

Indiana: The agency will raise Allegheny woodrats, a State-endangered species, in captivity and begin releasing them in a suitable habitat in an attempt to augment and restore their population, thereby aiding the recovery of the species. Fiscal Year 2012: (anticipated): Northern Mariana Islands: The agency will monitor the Rota fruit bat population and forest bird populations. These species of concern (including forest birds and fruit bats) will benefit through increased knowledge of their biology and populations.

Texas: The agency will provide technical assistance to citizens, land managers, and communities to preserve habitat and urban wildlife and provide for cost effective public use. They will also assist homeowners, community leaders, and educators with urban habitat management and enhancement (wildscaping) through seminars and demonstrations of proven wildlife management. The agency will utilize volunteer programs to multiply staff investment. The project will provide better management of urban streams and wetlands and increase the amount of landscaping with native plants by homeowners, corporations, and other land managers. It will also enhance space management that provides for

habitat for urban wildlife.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, the District of Columbia, Commonwealth, or territorial agency having lead responsibility for the management of their wildlife resources must submit the projects. The State, the District of Columbia, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the U.S. Fish and Wildlife Service Manual.

**15.635 NEOTROPICAL MIGRATORY BIRD CONSERVATION**

Neotropical Migratory Bird Conservation Act

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Neotropical Migratory Bird Conservation Act of 2000, Public Law 106-247, 16 U.S.C. 6101.

**OBJECTIVES:**

To assist in the conservation of neotropical migratory birds by providing financial resources for the projects of partnerships in countries within the ranges of neotropical migratory birds.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used for approved neotropical migratory bird conservation projects. Projects must: enhance the conservation of neotropical bird species in the U.S., Canada, Latin America, or the Caribbean; ensure adequate local public participation in project development and implementation; be implemented in consultation with relevant wildlife management authorities and other appropriate government officials with jurisdiction over the resources addressed by the project; be sensitive to local historic and cultural resources and comply with applicable laws; promote sustainable effective, long-term programs to conserve neotropical migratory birds; and other requirements the Secretary considers to be necessary. The Act requires that not less than 75 percent of the amounts made available each fiscal year shall be expended for projects outside of the U.S. Projects are approved for up to a 2-year period of time. For further information, please contact the regional office.

**Applicant Eligibility:**

An individual, corporation, partnership, trust, association, or other private entity; an officer, employee, agent, department, or instrumentality of the Federal Government, of any State, municipality, or political subdivision of a State, or of any foreign government; a State municipality, or political subdivision of a State; or any other entity subject to the jurisdiction of the United States or of any foreign country; or international organization with an interest in neotropical migratory bird conservation.

**Beneficiary Eligibility:**

An individual, profit organization, other private institution/organization, public nonprofit institution/organization, an officer, employee, agent, department, or instrumentality of the Federal Government, of any State, municipality, or political subdivision of a State, or of any foreign government; a State municipality, or political subdivision of a State; or any other entity subject to the jurisdiction of the United States or of any foreign country; or international organization with an interest in neotropical migratory bird conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF)-424, and the appropriate Budget (SF-424A and SF-424B Non-construction) and

Assurances (SF-424C and SF-424D Construction) forms. OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant application, including Standard Form (SF) Application for Federal Assistance, and the appropriate Assurances forms (SF-424B and/or SF-424D), is submitted electronically to the address referenced on the website, at <http://www.fws.gov/birdhabitat/Grants/NMBCA>. Information may also be accessed through [www.grants.gov](http://www.grants.gov). If unable to access the website, request a proposal package, which includes specific requirement information, from the Chief, Division of Bird Habitat Conservation, Fish and Wildlife Service, Mail Stop MBSP 4075, 4401 North Fairfax Drive, Arlington, VA 22203; Telephone: (703) 358-1784. Instructions are available in English, Portuguese and Spanish.

**Award Procedure:**

Proposals are reviewed by a panel of experts from the Fish and Wildlife Service and other government agencies, who make funding recommendations to the Director. After projects are selected for funding, a grant agreement between the Fish and Wildlife Service and the grantee is drafted by the Division of Bird Habitat Conservation (DBHC). The agreement is then processed by DBHC and sent to the recipient. The agreement is considered to be executed on the date of signature by the Chief of DBHC.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are usually made no later than 180 days after the receipt of the project proposal.

**Appeals:**

None. Proposals not funded may be resubmitted.

**Renewals:**

Proposals are funded on a project-specific basis. Requests for future funding must compete with other requests for project funding. A grant agreement can be modified or extended at the discretion of the Division of Bird Habitat Conservation.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In determining whether to accept projects for funding approval, applicants must guarantee a 3:1 match amount. That is, the applicant must match each Act dollar with 3 non-Federal dollars. Federal dollars refers to U.S. Federal dollars. Federal dollars of non-U.S. governments are eligible. In the U.S., match must be in cash; outside of the U.S., match may either be in cash or in-kind.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Unless the project is extended, awarded funds must be spent during the approved Period of Performance of the grant agreement, and in accordance with financial and reporting procedures specified in the grant agreement. Projects are usually two years in duration. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Interim and final reports must be submitted in accordance with the terms and conditions of the grant agreement. Final reports must be filed with the Division of Bird Habitat Conservation within 90 days of the end of the project termination date, and must include a performance report and an SF-425, Federal Financial Report. Recipients requesting funds in advance must submit an SF-425, Federal Financial Report quarterly. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1696-0-0-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$4,850,000; FY 11 est \$3,880,000; and FY 12 est \$4,850,000

**Range and Average of Financial Assistance:**

Ranged from \$2,000 to \$250,000, with an average of \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: \$7,000,000 utilized to make 42 awards. Fiscal Year 2011: actual/anticipated: \$7,000,000 utilized to make 42 awards. Fiscal Year 2012: anticipated: \$7,000,000 utilized to make 42 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NMBCA Grant Application Instructions; U.S. Grant Administration Standards (for grants within the U.S.); 43 CFR Part 12 and 49 CFR Part 24.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Chief, Department of the Interior, Fish and Wildlife Service, Division of Bird Habitat Conservation, Mail Stop MBSP 4075, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-1784 Fax: (703) 358-2282.

**Website Address:**

<http://www.fws.gov/birdhabitat/Grants/NMBCA>.

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 3,464 acres of habitat restored; 176,282 acres of habitat protected. Projects funded include: Quercus and Aves V: Expanding Habitat Protection, Restoration, Science, and Outreach for Bird Conservation in Oak Habitats of the Pacific Northwest; Quarry Road Conservation Site Neotropical Migratory Bird Habitat Conservation Initiative, Wisconsin; Expanding the Alliance: Towards Sustainability of Neotropical Grassland Migrant Conservation, Argentina, Brazil, Paraguay, and Uruguay; Improving Survival Prospects for Neotropical Migratory Shorebirds in Barbados; and An Integrated Approach to Neotropical Migratory Bird Habitat Management for Southern Belize. Fiscal Year 2011: Projects not yet selected. Program expects to fund 30-40 awards to support public-private partnerships carrying out projects in the United States, Canada, Latin America, and the Caribbean that promote the long-term conservation of Neotropical migratory birds and their habitats through 1) Protection and management of neotropical migratory bird populations; 2) Maintenance, management, protection, and restoration of neotropical migratory bird habitat; 3) Research and monitoring; 4) Law enforcement; and 5) Community outreach and education. Fiscal Year 2012: Projects not yet selected. Program expects to fund 30-40 awards to support public-private partnerships carrying out projects in the United States, Canada, Latin America, and the Caribbean that promote the long-term conservation of Neotropical migratory birds and their habitats through 1) Protection and management of neotropical migratory bird populations; 2) Maintenance, management, protection, and restoration of neotropical migratory bird habitat; 3) Research and monitoring; 4) Law enforcement; and 5) Community outreach and education.

**CRITERIA FOR SELECTING PROPOSALS:**



Proposals will be screened and selected for funding primarily on the basis of criteria contained in 16 U.S.C. 6101. However, proposals will also be evaluated on: scope and significance of effort; importance of resource values; relationship of project to other efforts locally/regionally; and feasibility and cost-effectiveness.

### **15.636 ALASKA SUBSISTENCE MANAGEMENT**

#### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

#### **AUTHORIZATION:**

Alaska National Interest Lands Conservation Act (ANILCA) of 1980, Title VIII, Public Law 96-487, 16 U.S.C. 3101-3233, Section 809. Fish and Wildlife Coordination Act (16 U.S.C. 661 to 666).

#### **OBJECTIVES:**

To identify and provide information needed to sustain subsistence fisheries and wildlife management on Federal public lands, for rural Alaskans, through a multidisciplinary, collaborative program. Three programs are administered under ANILCA to fulfill this objective. The Fisheries Resource Monitoring Program (Monitoring Program) funds approximately 80 studies annually to provide information on stock status and trends, harvests, and traditional ecological knowledge to manage and regulate Federal subsistence fisheries. The Partners for Fisheries Monitoring Program (Partners Program) strengthens Alaska Native and rural involvement in subsistence fisheries management and research. The program provides funds directly to Alaska Native and rural organizations to hire fishery biologists, social scientists, and educators to implement fisheries monitoring projects and rural internship programs. The Liaison and Staff Support Grant to the State of Alaska is directed specifically to the Alaska Department of Fish and Game. The grant defrays salary and travel expenses that occur in support of the coordination between State and Federal subsistence fish and wildlife programs.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

#### **USES AND USE RESTRICTIONS:**

Funds may be used for approved fish and wildlife subsistence management, fisheries monitoring and traditional ecological knowledge projects. For further information, please contact the regional office.

#### **Applicant Eligibility:**

An individual/family, profit organization, other private institution/organization, public nonprofit institution/organization; an officer, employee, agent, department or instrumentality of the Federal government, of the State of Alaska, municipality or political subdivision of the State of Alaska; Federally recognized Indian Tribal Government (including any Native village as defined in the Alaska Native Claims Settlement Act).

#### **Beneficiary Eligibility:**

An individual/Family, profit organization, other private institution/organization, public nonprofit institution/organization; an officer, employee, agent, department, or instrumentality of the Federal government, of the State of Alaska, municipality or political subdivision of the State of Alaska, or of any foreign government.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact for more information on the process. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs.". Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF)-424, the appropriate Budget and Assurances forms (SF-424A and SF-424B - Non-construction, Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying, and Certifications for Federal Assistance.

#### **Award Procedure:**

For the Monitoring Program, an inter-agency technical review committee evaluates proposals, and, for those selected for further consideration, subsequently the full investigation plans. The committee develops a draft monitoring program from the highest priority projects, based on their technical review and available funds. The draft monitoring plan is reviewed by ten regional advisory councils and the public. An inter-agency staff committee reviews all recommendations, and provides recommendations. The Federal Subsistence Board selects projects for the Monitoring Plan taking into account all recommendations and comments. Funding of the Monitoring Plan is administered by the Office of Subsistence Management (OSM).

For the Partners Program, an internal review is conducted to evaluate proposals and make recommendations for funding. The evaluations are based on the criteria outlined in the request for federal assistance. The proposals are ranked and the OSM Assistant Regional Director selects proposals that best support the program within available funding. Once a Monitoring Program project or Partners Program position is selected for funding, a funding instrument, i.e., notice of award, between Fish and Wildlife Service and the recipient is drafted by the OSM. The award is processed by OSM through the contracting office and sent to the recipient for signature. The award is considered executed when signed copies of the agreement are received from the recipient and the contracting office has obligated funds to the agreement. The awards are administered by OSM. For the Liaison and Staff Support Grant, the Alaska Department of Fish and Game is the only non-Federal entity with management authority over fish and wildlife resources. This grant agreement is not open to competition outside the Alaska Department of Fish and Game.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Federal Subsistence Board action on the Monitoring Plan is taken no later than January 20, with administrative follow-up by OSM taking place immediately thereafter. OSM decisions on Partners Program positions are announced within one year of the close of the Request for Proposals.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Monitoring projects and positions may be approved for one to four years duration. Applicants may re-apply during subsequent Request for Proposals.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: There is no requirement for cost sharing, matching, or cost participation. However, applicants are encouraged to document matching contributions. Proposals with substantial cost sharing will be ranked higher than similar proposals with no identified cost sharing. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

For the Monitoring and Partners Programs, upon approval, the project may be extended or the agreement modified for a period not to exceed five years from initial award. Awarded funds must be spent during the approved Period of Performance of the award, and in accordance with financial and reporting procedures specified in the award. For the Liaison and Staff Support Grant, award is for one year. For the Monitoring and Partners Programs visit the website <http://alaska.fws.gov/asm/fis.cfm>. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress, annual, final, performance, and significant development reports are to be submitted in accordance with terms and conditions of the award. Interim and final Federal Financial Reports, SF-425 are required in accordance with the terms and conditions of the award. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for cooperative agreements awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for cooperative agreements awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F and 2 CFR, Part 215 "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$3,885,214; FY 11 est \$3,393,599; and FY 12 est \$4,289,533

**Range and Average of Financial Assistance:**

Variable amounts. Fisheries Resource Monitoring Program: Awards range from \$10,000 to \$500,000. Partners for Fisheries Monitoring Program: Awards range from \$75,000 to \$150,000. Liaison and Staff Support Grant: Awards are approximately \$420,000 annually.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Fisheries Resource Monitoring Program funded studies this year to provide information on stock status and trends, harvests, and traditional ecological knowledge to manage and regulate Federal subsistence fisheries. The Partners for Fisheries Monitoring Program strengthens Alaska Native and rural involvement in subsistence fisheries management and research. The program provided funds directly to Alaska Native and rural organizations to hire fishery biologists, social scientists, and educators to implement fisheries monitoring projects and rural internship programs. The Liaison and Staff Support Grant to the State of Alaska was directed specifically to the Alaska Department of Fish and Game. The grant defrayed salary and travel expenses that occur in support of the coordination between State and Federal subsistence fish and wildlife programs. Fiscal Year 2011: Will provide funding for 20 cooperative agreements under the Fisheries Resource and Partners Monitoring Programs, and, the annual award to the Alaska Department of Fish and Game for the Liaison and Staff Support Grant. Fiscal Year 2012: Will provide funding for numerous cooperative agreements under the Fisheries Resource and Partners Monitoring Programs, and, the annual award to the Alaska Department of Fish and Game for the Liaison and Staff Support Grant.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cooperative agreements/project grants will be administered in conformance with the Fish and Wildlife Service Administrative Service Manual and 43 CFR 12; 2 CFR 215.

**Regional or Local Office:**

See Regional Agency Offices. For the Fisheries Monitoring and Partners for Fisheries Monitoring Programs: Kathleen Orzechowski, Program Specialist, Office of Subsistence Management, 1011 E Tudor Road, MS 121, Anchorage, Alaska 99503. Telephone: (907)786-3645, E-mail: kathleen\_orzechowski@fws.gov. For the Liaison and Staff Support Grant: Chuck Ardizzone, Wildlife Biologist, Office of Subsistence Management, 1011

E Tudor Road, MS 121, Anchorage, AK 99503, Telephone: (907) 786-3871, E-mail: chuck\_ardizzone@fws.gov.

**Headquarters Office:**

Karie Crow, Office of Subsistence Management, 1011 E. Tudor Road, MS 121, Anchorage, Alaska 99503 Email: karie\_crow@fws.gov Phone: (907) 786-3387.

**Website Address:**

<http://alaska.fws.gov/asm/index.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Fisheries Resource Monitoring Program funds the Unalakleet River Chinook Salmon Assessment project (#10-102). Funding for this project is used to operate a resistance-board weir installed on the Unalakleet River. The weir is used as a platform to count migration Chinook and chum salmon from June 14 to July 31. Local fishery technicians hired by the Native Village of Unalakleet (NVU) operate the project along with Alaska Department of Fish and Game Commercial Fisheries Division (ADF&G-CFD) biologists and technicians. The weir contains a fish passage gate where daily salmon passage is determined by visually enumerating fish as they passage through the gate. Daily and cumulative passage numbers are recorded in field logs and reported each morning to ADF&G-CFD staff in Nome for in season fishery management decisions. The age, sex, and length data is collected from Chinook salmon by periodically sampling fish with a live trap and holding box incorporated into the weir gate. Findings from the weir are made available in the form of annual project reports published in ADF&Gs Fishery Data Series. Total annual escapement estimates are used to update brood-year tables annually. The long-term project goal is to develop drainage-wide Chinook salmon escapement goals based on recruits per spawner models. This project runs from April 2010 through March 2015. Fiscal Year 2011: Will provide funding for 20 cooperative agreements under the Fisheries Resource and Partners Monitoring Programs, and, the annual award to the Alaska Department of Fish and Game for the Liaison and Staff Support Grant. Fiscal Year 2012: Will provide funding for numerous cooperative agreements under the Fisheries Resource and Partners Monitoring Programs, and, the annual award to the Alaska Department of Fish and Game for the Liaison and Staff Support Grant.

**CRITERIA FOR SELECTING PROPOSALS:**

For the Monitoring Program, each proposal is evaluated using the following four criteria: (1) Strategic Priorities: Studies must be responsive to identified issues and information needs. All projects must have a direct association to a Federal subsistence fishery, and either the subsistence fishery or fish stocks in question must occur in waters within or adjacent to Federal public lands; (2) Technical and Scientific Merit: Technical quality of the study design must meet accepted standards for information and collection, compilation, analysis, and reporting. Studies must have clear objectives, appropriate sampling design, correct analytical procedures, and specified progress and final reports; (3) Investigators Ability and Resources: Investigators and their organizations should have demonstrated technical and administrative expertise to complete prior studies, or have co-investigators or appropriate partnerships with other organizations to meet all requirements of the study; (4) Partnership-Capacity Building: Studies must include appropriate partners and contribute to building capacities of rural organizations, local communities, and residents to participate in fisheries resource management. Investigators and their organizations should be able to demonstrate the ability to maintain effective local relationships and a commitment to capacity building. For the Partners Program, each proposal is evaluated using the following equally weighted criteria: (1) Each project must have direct linkage to Monitoring Program projects; (2) Ability to successfully implement program identified under section IV, ii, Content and Form of Application, Describe the Program; (3) Strategic priority and past performance of the Monitoring Program projects identified in the proposal; (4) Letters of support from tribal and rural organizations, government agencies, project investigators, and schools/ universities; (5) Annual and total cost of the proposal, including use of in-kind or matching contributions that either decrease cost or expand support for implementing the Partners Program; (6) Past performance on implementing Monitoring Program projects; (7) Past performance on current or past agreements with the Office of Subsistence Management; (7) Previous experience in mentoring, training, and supervising

personnel; and (8) Past and current accounting practices to ensure deliverables and accountability.

Each of these items carries a "Go/No-Go" impact: direct linkage of a Monitoring Program project, enrollment in CCR; affirming in writing in your application that you have enrolled in CCR; providing your DUNS Number; submission of completed SF-424, SF-424A, and SF-424B package; and submission of approved Indirect Cost Negotiation Agreement if requesting reimbursement for indirect costs. For the Liaison and Staff Support Grant, the Alaska Department of Fish and Game is the only non-federal entity with management authority over fish and wildlife resources. This grant agreement is not open to competition outside the Alaska Department of Fish and Game.

### **15.637 MIGRATORY BIRD JOINT VENTURES**

#### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

#### **AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C.661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; and Migratory Bird Treaty Act, (16U.S.C. 709a).

#### **OBJECTIVES:**

To protect, restore, and enhance wetland and upland ecosystems for the conservation of migratory birds.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

#### **USES AND USE RESTRICTIONS:**

Joint Ventures are public/private partnerships, guided by a Management Board of public/private representatives and use a U.S. Fish and Wildlife Service (USFWS) approved Implementation Plan that establishes conservation goals, priorities, and strategies. The Implementation Plan typically includes stepped down goals and objectives from a variety of national and international bird planning efforts. A Joint Venture Coordinator facilitates the coordination and implementation of the Joint Venture program. The USFWS provides basic administrative funding to the Joint Venture to cover costs associated with coordination; planning; monitoring, evaluation and applied research; communications and outreach; and project development and implementation. Joint Ventures may provide Federal assistance to partners within these categories to achieve the goals of the Joint Venture. The USFWS does not fund the entire scope of Joint Venture operations. Joint Venture partners are expected to contribute funding towards one or more of these categories. Non-federal match is not required, but leveraging USFWS dollars provided for Joint Ventures administration is a critical component of the Joint Ventures program. For further information, please contact the regional office.

#### **Applicant Eligibility:**

Federal, State and local government agencies, Federally recognized Indian Tribal governments, private nonprofit institutions/organizations; public nonprofit institutions/organizations; profit organizations, interstate and intrastate entities, and individuals or families who are also private landowners.

#### **Beneficiary Eligibility:**

General Public.

#### **Credentials/Documentation:**

Applicant must participate or intend to participate in strategic conservation planning, implementation and evaluation activities designed to meet the Joint Venture objectives as identified in an approved Implementation Plan and all related plans. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Joint Venture partner/potential partner may contact Joint Venture Coordinator to

discuss Joint Venture (JV) needs and objectives, or JV Coordinator may initiate the contact. Coordinators work with partners/potential partners to design projects and discuss cost-share programs/activities that will contribute to meeting Joint Venture goals. Preparation of Environmental Impact Statements is

not a prerequisite for receiving Federal assistance/funding. State Plans are not required. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D Construction)

#### **Award Procedure:**

Once the project is designed and either fits within an approved Implementation Plan or is reviewed and approved by a Joint Ventures Management Board, a cooperative agreement or grant agreement is written, executed, and work can begin.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

180 Days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

None. Partners/potential partners may request additional projects to meet Joint Venture goals and objectives.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Cooperative agreements are normally written for a 1 to 5 year period. For project cost-share grants, a 2 year period for expenditure of funds is the norm. Payments are generally made on a quarterly basis. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects and activities are monitored for progress and compliance with agreed on scope of work. Written reports on completion of the project are generally required. Recipients are required to submit annual Federal Financial Report SF 425 within 90 calendar days after the grant year (i.e., 12 months after the approved effective date of the assistance agreement and every 12 months thereafter until the expiration date of the assistance agreement). A final Federal Financial Report SF 425 is required 90 calendar days after the expiration or termination of the assistance agreement. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

The Recipient shall maintain a complete, detailed accounting system to report expenditures of grant funds and accomplishments achieved under the award. Records, accounts, and supporting documents must be retained for 3 years after submission of the final Federal Financial Status Report (SF 425).

#### **Account Identification:**

14-1611-0-1-302.

#### **Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$5,836,335; FY 11 est

\$4,000,000; and FY 12 est \$4,000,000

**Range and Average of Financial Assistance:**

Range is \$2,400 to \$900,000; Average \$225,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Six original Joint Ventures were formed in 1987 to implement the North American Waterfowl Management Plan. As of 2010, there are 18 habitat Joint Ventures that focus on regions containing critical habitats and 3 species Joint Ventures that focus on individual species in the U.S., Canada, and Mexico. Fiscal Year 2011: As of FY11, Joint Venture partners have cumulatively invested \$5 billion to protect, restore or enhance more than 17.3 million acres of wetlands, grasslands, forests and riparian habitats in the U.S. alone. Joint Ventures adapt program principles to their own geographic and cultural conditions and pool limited resources to successful conservation actions that involve a variety of public and private stakeholders. Fiscal Year 2012: It is estimated that similar results to those achieved in FY10 and FY11 will be achieved in FY12.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fish and Wildlife Service Policy 721 FW6, Joint Venture Implementation Plans, Joint Venture Accomplishment Reports.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Joint Venture Liaison Officer, Department of the Interior, Fish and Wildlife Service, Division of Bird Habitat Conservation, Mail Stop MBSP 4075, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Email: DBHC@fws.gov Phone: (703 ) 358-1784 Fax: (703) 358-2282.

**Website Address:**

[www.grants.gov](http://www.grants.gov); <http://www.fws.gov/birdhabitat/JointVentures/index.shtm>.

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund; 15.631 Partners for Fish and Wildlife; 15.635 Neotropical Migratory Bird Conservation ; 15.647 Migratory Bird Conservation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Pacific Coast Joint Venture conservation planning, projects, research, and implementation, WA; Assess water-bird populations and breeding habitat requirements on northern Great Lakes islands, MI; Research the spring migration, habitat use and potential breeding of the American woodcock, AK; To conduct a study to test the basic assumption of the seaside sparrow habitat model in N. gulf coast, GA. Fiscal Year 2011: Support pilot research of waste rice and moist soil, MS; Support for Playa Lakes Joint Venture, CO; Conduct soil survey, OK. Fiscal Year 2012: Projects not yet selected. Projects will support: the effective operation and implementation of joint ventures; the development of integrated migratory bird habitat landscape planning; monitoring, evaluation and applied research; habitat conservation/protection, restoration and enhancement; communications and outreach; and technical assistance and training for partners.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants must be an existing or potential partner of a Joint Venture, and must agree to support Joint Venture goals and objectives. Project must fall within scope of a Management Board approved Joint Venture Implementation Plan and related conservation plans. Projects must contribute to overall Joint Venture goals and objectives. Project must be cost-effective. Projects that leverage grant funds with partner funds or in-kind services will receive preference.

**15.639 TRIBAL WILDLIFE GRANTS PROGRAM**

Tribal Wildlife Grants (TWG)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act, FY 2004, Title I, Public Law 108-108, Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601-4 through 11., Public Law 108-108, 16 U.S.C 4601-4 thru 11.

**OBJECTIVES:**

To develop and implement programs for the benefit of wildlife and their habitat, including species that are not hunted or fished.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Approved activities include those which develop and implement programs for the benefit of wildlife and their habitat, including species that are not hunted or fished. For further information, please contact the regional office.

**Applicant Eligibility:**

Participation is limited to Federally recognized Indian tribal governments. For the purposes of inclusion under TLIP, tribal trust lands are treated similarly to lands under private ownership.

**Beneficiary Eligibility:**

Anyone/General Public (While direct participation is limited to Federally recognized Indian tribal governments, the general public will ultimately benefit from these wildlife conservation measures).

**Credentials/Documentation:**

Only Federally recognized Tribes in all parts of the United States are eligible to receive grants under this program, including Federally recognized Tribes, Pueblos, Rancherias, and Alaska Native Villages or traditional councils as defined by the Alaska Native Claims Settlement Act. Federally recognized Tribes are listed in FR/Vol. 73, No. 66, p. 18553/April 4, 2008. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Application for Federal Assistance SF 424, and the appropriate Budget and Assurances forms, SF 424A and SF424B - Non Construction; or SF 424C and SF 424 D - Construction. Application procedures are spelled out in the "Tribal Wildlife Grant Application Kit" available electronically at: <http://grants.fws.gov/tribal.html>. To receive a paper copy, contact the regional Office of the Native American Liaison.

**Award Procedure:**

The Director of the Fish and Wildlife Service or his or her designee approves or disapproves proposed projects. Regional offices are responsible for notification of grant approval to the grantee and will coordinate the development of the grant agreement.

**Deadlines:**

May 01, 2011 Open period is usually May 1 September 1 each year. Dates may vary slightly to avoid non-working days.

**Range of Approval/Disapproval Time:**

Proposals will be scored, ranked and selected approximately 90 working days after the deadline for submitting proposals.

**Appeals:**

Any differences of opinion over the eligibility of proposed activities or differences arising over the conduct of work may be appealed to the Director, Fish and Wildlife Service. Final determination rests with the Secretary of the Interior.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. There is no matching requirement, however, the Service will consider matching funds as an indication of tribal commitment to the program and to encourage partnerships. Matching and cost sharing requirements are discussed in 43 CFR Part 12, Section 12.64.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Apportioned funds are available for obligation by the Tribe until expended. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A Performance Report is required for each grant annually within 90 days after the anniversary date or end of the grant. A Federal Financial Report SF 425 is required for each grant annually within 90 days after the anniversary date or end of the grant. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each project. Records, accounts, and supporting documents must be retained for three years after submission of the final Federal Financial Report (SF-425).

**Account Identification:**

14-1694-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$7,000,000; FY 11 est \$7,000,000; and FY 12 est \$7,000,000

**Range and Average of Financial Assistance:**

Range \$0 - \$200,000; Average \$167,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: \$7,000,000 utilized to make 42 awards. Fiscal Year 2011: actual/anticipated: \$7,000,000 utilized to make 42 awards. Fiscal Year 2012: anticipated: \$7,000,000 utilized to make 42 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Application Kit is located at <http://www.fws.gov/nativeamerican/>

**Regional or Local Office:**

See Regional Agency Offices. Region 1 Fish and Wildlife Service  
Native American Liaison  
Eastside Federal Complex  
911 NE 11th Avenue  
Portland, OR 97232-4181

Region 2 Fish and Wildlife Service  
Native American Liaison  
500 Gold Avenue, SW  
P.O. Box 1306  
Albuquerque, NM 87103-1306

Region 3 Fish and Wildlife Service  
Native American Liaison  
1 Federal Drive  
Fort Snelling, MN 55111-4080

Region 4 Fish and Wildlife Service  
Native American Liaison  
1875 Century Boulevard  
Atlanta, GA 30345

Region 5 Fish and Wildlife Service  
Native American Liaison

300 Westgate Center Drive, Hadley, MA 01035-9589

Region 6 Fish and Wildlife Service  
Native American Liaison  
P.O. Box 25486  
Denver, CO 80225

Region 7 Fish and Wildlife Service  
Native American Liaison  
1011 East Tudor Road  
Anchorage, AK 99503-6199

Region 8 Fish and Wildlife Service  
Tribal Partnerships Specialist  
Habitat Restoration Division  
2800 Cottage Way, Rm W-2606  
Sacramento, CA 95825.

**Headquarters Office:**

Native American Liaison, Fish and Wildlife Service, Department of the Interior, 4401 N Fairfax Drive: Mail Stop-330 ARL, Arlington, Virginia 22203  
Phone: (202) 208-4133 Fax: (202) 501-3524.

**Website Address:**

<http://www.fws.gov/nativeamerican/>

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund; 15.630 Coastal Program; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 42 projects awarded; following are ten examples:  
Colville Tribes - California Bighorn Sheep Project: \$177,416  
Lower Elwha Klallam - River Otters and American Dippers: \$199,995  
Stillaguamish Tribe - Klein Farm Wildlife Preserve Project: \$147,895  
Pueblo of Santa Ana - Gray Vireo Population Monitoring: \$199,963  
Citizen Potawatomi Nation - Citizen Potawatomi Eagle Aviary Program: \$199,823  
Grand Traverse Bay Band - Boardman River Restoration Project: \$200,000  
Little Traverse Bay Bands - Walleye Assessment and Model Development: \$199,973  
Poarch Creek - Restoration of Longleaf Pine Habitat: \$200,000  
St. Regis Mohawk Tribe - Akwesasne Wildlife Management Plan: \$193,191  
Aroostook Micmacs - Brook Trout Conservation Project: \$200,000. Fiscal Year 2011: actual/anticipated: Anticipate funding 42 projects. Fiscal Year 2012: anticipated: Anticipate funding 42 projects.

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria is used to select proposals: (1) Resource Benefit: What are the expected benefits to fish and wildlife resources, including species that are not hunted or fished, and their habitat if this program is successfully completed? The Service requires that the Tribe articulate how the benefits of its proposal support the goals and objectives of the TWG and Service and Tribal Performance Goals in their proposal narratives. (2) Performance Measures: To what extent does the proposal provide obtainable and quantifiable performance measures and a means to monitor, evaluate, and report on these measures compared to an initial baseline? The measures should be specific and clear, and should provide demonstrable benefits to the target species of the action. These actions must support the goals and objectives of the TWG, the Service and the Tribe. (3) Work plan: Are the program activities and objectives well-designed and achievable? (4) Budget: Are all major budget items justified in relation to the program objectives and clearly explained in the narrative description? (5) Capacity Building: To what extent does the program increase the grantee's capacity to provide for the benefit of wildlife and their habitat? (6) Contributions and Partnerships: To what extent does the applicant display commitment to the project proposal through in-kind contribution or matching funds and to what extent does it incorporate contributions from other nonfederal partners in the form of either cash or in-kind services?.

**15.640 WILDLIFE WITHOUT BORDERS- LATIN AMERICA AND THE CARIBBEAN**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, as amended (16 U.S.C. 1531-43).

**OBJECTIVES:**

The Wildlife Without Borders-Latin America and the Caribbean program focuses on strengthening the ability of Latin American and Caribbean institutions to manage and conserve species, habitats and ecological processes for the benefit of the people of the Americas and the world. Of particular interest are projects that build the human and institutional capacity to effectively conserve and manage natural protected areas in Latin America and the Caribbean. Program objectives are: 1) To build and sustain regional networks that promote collaboration, shared learning, and best practices focusing on conservation and people; 2) To develop, strengthen and replicate high-quality conservation training programs that reach the priority audiences associated with protected areas; and 3) Engage key audiences to change attitudes and behaviors in order to catalyze a greater environmental ethic and build constituencies for conservation.

The priority audiences for the training supported by this program include: Protected area managers and administrators; Protected area guards and rangers; Protected area outreach and education specialists; Community leaders (living in and around protected areas); Upper-level students (working on projects in and around protected areas); and Decision-makers who influence protected areas (including private landowners, legislators, and public officials).

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Projects should take place in Latin America or the Caribbean, ideally in a recognized high priority ecosystem or ecoregion of biome, or a key location associated with flagship, endangered or migratory species of regional concern. If work is to be conducted outside that region, the proposal must explain why it is preferable that the project is implemented elsewhere. Funds provided under this program will not be used for the following activities: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, treaties, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel. For further information, please contact the regional office.

**Applicant Eligibility:**

Participation is limited to Federal, State and local governments, non-profit, non-governmental organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Beneficiary Eligibility:**

Federal, State and local government agencies; non-profit, non-governmental organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at the <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on the program website at <http://www.fws.gov/international/DIC/regional%20programs/lac/lac.html>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Latin America & the Caribbean, Division of International Conservation, Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, VA 22203.

**Award Procedure:**

Projects are reviewed and competitively selected for funding using criteria developed specifically for this program. Review criteria can be found in the application information at <http://www.fws.gov/international/DIC/regional%20programs/lac/lac.html>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Mar 01, 2012 This program has one annual deadline of March 1st.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are normally made no later than 180 days after the receipt of the project proposals.

**Appeals:**

Not Applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation awards can be modified (e.g. extended for time or budget changes made).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Applicants and/or other project partners must contribute funds to the project, which may include cash or in-kind contributions.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Upon approval, the project may be extended or the agreement modified. Awarded funds must be spent during the period of performance indicated on the Assistance Award, and in accordance with the financial and performance reporting procedures specified in the Assistance Award. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Performance reports are to be submitted in accordance with the terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this programs web page at <http://www.fws.gov/international/DIC/regional%20programs/lac/lac.html>. For financial reporting, Domestic Recipients with no program income to report shall use Federal Financial Report, Standard Form 425. Domestic recipients with program income to report shall use Federal Financial Report SF 425. Non-domestic Recipients shall submit a financial report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient will maintain records in accordance with the provisions of 43 CFR part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations".

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$1,039,596; FY 11 est \$1,000,000; and FY 12 est \$950,000

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting less than \$50,000.00. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: USFWS funded 29 conservation projects for activities in Latin America and the Caribbean for a total of \$1,039,596.40 which was matched by \$2,244,266.00 in leveraged funding. Fiscal Year 2011: Will continue to fund conservation projects in Latin America and the Caribbean. Fiscal Year 2012: Will continue to fund conservation projects in Latin America and the Caribbean.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be administered in conformance with the Assistance Award Guidelines established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The Assistance Award Guidelines can be found on-line at [http://www.fws.gov/international/DIC/pdf/AAG\\_9-6-07.pdf](http://www.fws.gov/international/DIC/pdf/AAG_9-6-07.pdf) or in hard copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Fish and Wildlife Service, Department of the Interior, Division of International Conservation, 4401 North Fairfax Drive, Room 100, Arlington, Virginia 22203-1622 Email: [WWB\\_LAC@fws.gov](mailto:WWB_LAC@fws.gov) Phone: (703) 358-1754 Fax: (703) 358-2115.

**Website Address:**

[http://www.fws.gov/international/DIC/grants/grants\\_home.html](http://www.fws.gov/international/DIC/grants/grants_home.html)

**RELATED PROGRAMS:**

15.641 Wildlife Without Borders-Mexico ; 15.651 Wildlife Without Borders-Africa Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) Project to improve the strategic planning within the national protected area system of Argentina by providing training to protected area staff in the four major regions of Argentina: Northwest, Northeast, Central, and Patagonia; 2) Project to create an innovative and effective conservation template for the people living in the Pearl Lagoon basin, located in the Southern Atlantic Autonomous Region of Nicaragua. The template will place equal emphasis on improving and protecting the natural resource base and on the development of sustainable economic activities, creating a nexus between increased income and sustainable resource use by enabling local community members to derive an improved livelihood from their natural resources; 3) Project to conduct a series of workshops for Manu National Park guards and volunteer guards from the neighboring community of Sunchubamba, Wachiperi

conservation concession, Peru. As a result, guards will learn to develop and carry out an effective and efficient biodiversity and ecosystem health monitoring program, enabling them to identify conservation successes and threats. Fiscal Year 2011: Projects not yet selected for funding. The program will continue to provide financial assistance to projects for the effective long-term conservation of great apes. Fiscal Year 2012: FY12: The program will continue to provide financial assistance to projects for the effective long-term conservation of great apes.

**CRITERIA FOR SELECTING PROPOSALS:**

Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting less than \$50,000. A complete list of the criteria used to select projects under this program can be found in the Latin America & the Caribbean Notice of Funding Availability and Application Instructions located on line at <http://www.fws.gov/international/DIC/regional%20programs/lac/lac.html>. Hard copies are available upon request from the Division of International Conservation at (703) 358-1754.

**15.641 WILDLIFE WITHOUT BORDERS-MEXICO**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, as amended, 16 U.S.C. 1531-43.

**OBJECTIVES:**

Develop specific conservation/management skills of resource managers in Mexico by addressing critical gaps in formal and informal training; increase the number of trained personnel in Mexico; promote training that links sound management practices in priority biodiversity areas to the creation of economic opportunities for local communities; raise the level of awareness and capacity of key stakeholder groups to deliver conservation.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funding will be provided for training projects, including short-term (2-3 week) on-the-job courses certified by an educational institution (Diplomados), workshops, personnel exchanges, training provided through on-the-ground practices, among other delivery mechanisms, with the following objectives: (1) develop specific conservation/management skills of resources managers by addressing critical gaps in formal and informal training in Mexico while increasing the number of personnel trained; (2) promote training that links sound management practices in nature reserves to the creation of economic opportunities for buffer zone communities; and (3) raise the level of awareness and capacity of key stakeholder groups to deliver conservation. Applicants should be proposing work to be conducted in Mexico. If work is to be conducted in the United States, the proposal must show a clear connection to capacity building for biodiversity conservation in Mexico to be eligible for funding. Funds provided under this program will not be used for the following activities: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, treaties, laws or regulations of either the U.S. or Mexico. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel. For further information, please contact the regional office.

**Applicant Eligibility:**

Participation is limited to Federal, State and local governments, non-profit, non-governmental organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Beneficiary Eligibility:**

Federal, State and local government; public nonprofit institution/organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on this programs website at <http://www.fws.gov/international/DIC/regional%20programs/mexico/mexico.html>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Mexico, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, VA 22203.

**Award Procedure:**

Projects are simultaneously reviewed by a panel convened by the U.S. Fish and Wildlife Service and a panel convened by the Mexican Ministry of the Environment and Natural Resources (SEMARNAT). Final funding decisions are made jointly by representatives of the Service and SEMARNAT based on the recommendations of the two review panels. Review criteria can be found in the application information at <http://www.fws.gov/international/DICprograms/mexico.htm>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Oct 01, 2010 Proposals must be submitted to both the Fish and Wildlife Service and SEMARNAT on or before October 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are normally made no later than 180 days after the receipt of the project proposals.

**Appeals:**

Not Applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation awards can be modified, e.g.; extended for time or budget changes made.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Applicants or other project partners must contribute funds to the project, which may include cash or in-kind contributions. In determining whether to approve project proposals, preference is given to projects for which matching funds are available.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Upon approval, the project may be extended or the agreement modified. Awarded funds must be spent during the period of performance that is approved for each Assistance Award, and in accordance with the program financial and performance reporting procedures specified in the Assistance Award document. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in

program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Performance reports are to be submitted in accordance with the terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this programs web page at <http://www.fws.gov/international/DIC/regional%20programs/mexico/mexico.html>. For financial reporting, domestic recipients with no program income to report shall use Standard Form SF-425. Non-domestic recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period and describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient will maintain records in accordance with the provisions of 43 CFR part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations".

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$617,252; FY 11 est \$600,000; and FY 12 est \$600,000

**Range and Average of Financial Assistance:**

Variable amounts. The average grant amount is \$35,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: USFWS funded 17 conservation projects under this program totaling \$617,252.37 which was matched by \$1,203,786.19 in leveraged funds. Fiscal Year 2011: USFWS will continue to fund conservation programs in Mexico. Fiscal Year 2012: USFWS will continue to fund conservation programs in Mexico.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be administered in conformance with the Assistance Award Guidelines established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The Assistance Award Guidelines can be found on-line at <http://www.fws.gov/international/DIC/regional%20prpgrams/mexico/mexico.html> or in hard copy by contacting the Division of International Conservation.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Chief, Fish and Wildlife Service, Department of the Interior, Division of International Conservation, 4401 North Fairfax Drive, Room 100, Arlington, Virginia 22203-1622 Email: [WWB\\_Mexico@fws.gov](mailto:WWB_Mexico@fws.gov) Phone: (703) 358-1754 Fax: (703) 358-2115.

**Website Address:**

[http://www.fws.gov/international/DIC/grants/grants\\_home.html](http://www.fws.gov/international/DIC/grants/grants_home.html) .

**RELATED PROGRAMS:**

15.640 Wildlife Without Borders- Latin America and the Caribbean ; 15.651 Wildlife Without Borders-Africa Program



## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2010: 1) Project to establish a capacity-building program for natural resources professionals to promote community participation and self-management in Natural Protected Areas in Mexico. It focuses in the generation of skills and acquisition of knowledge in methodologies and tools for community work, conflict resolution, strategic communication, diagnostic assessment and capacity building in social organization; 2) Project to reinforce sustainable communal productive practices that will support the recovery and conservation of the San Juan micro-watershed in the Monarch Butterfly Biosphere Reserve; 3) Project to train community promoters in Oaxaca to manage and monitor conservation areas in their community; 4) Project to build capacity through workshops on research, conservation and monitoring methods of resource managers and biologists and university students wishing to conduct work within Federal Reserves to improve the conservation status of bats and amphibians in Sonora and Sinaloa. Fiscal Year 2011: Projects not yet selected for funding. The program will continue to provide financial assistance for conservation projects in Mexico. Fiscal Year 2012: The program will continue to provide financial assistance for conservation projects in Mexico.

## CRITERIA FOR SELECTING PROPOSALS:

Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting less than \$50,000.00. A complete list of the criteria used to select projects under this program can be found in the Wildlife Without Borders-Mexico Notice of Funding Availability and Application Instructions, located on line at <http://www.fws.gov/international/DIC/regional%20programs/mexico/mexico.html>. Hard copies can be obtained by contacting the Division of International Conservation at (703) 358-1754.

## 15.642 CHALLENGE COST SHARE

CCS

### FEDERAL AGENCY:

Fish and Wildlife Service, Department of the Interior

### AUTHORIZATION:

Department of the Interior and Related Agencies Appropriations Act, 2004, Title I, Public Law 108-108.

### OBJECTIVES:

Encourage partnerships with nonfederal governments, private individuals and organizations, educational institutions, philanthropic and charitable groups, and businesses to support the mission of the Service. Projects must conserve, protect, and enhance fish, wildlife, and plants for the continuing benefit of the American people.

### TYPES OF ASSISTANCE:

Project Grants (Discretionary)

### USES AND USE RESTRICTIONS:

Funds may be used for regionally approved Challenge Cost Share projects. Field managers plan and implement the projects which must be on, or directly benefitting, Service (federal) lands. The program requires that the Service expend no more than 50% of the cost to complete a project and that a minimum of the other 50% of the funds be of nonfederal origin. The cooperator share may be a non-monetary contribution, such as materials, or in-kind services. For further information, please contact the regional office.

### Applicant Eligibility:

Applicants may be an individual/family, minority group, specialized group, small business, profit organization, private nonprofit/organization, quasi-public nonprofit institution/organization, native American, Federal, Interstate, Intrastate, State, Local, Sponsored organization, public nonprofit institution/organization, other public institution/organization, U.S. territory, or any organization with interests which support the mission of the Service. This program requires the cooperator(s) to provide a minimum of 50 percent of cost share from non-Federal sources, for local programs on National Wildlife Refuges, or benefitting other Service lands.

### Beneficiary Eligibility:

The Challenge Cost Share program is not a grant program, although they do use cooperative agreements for donations to these field projects. Service field station managers are encouraged to form partnerships and to secure project

cost-sharing for projects initiated at that refuge or field station. By Service policy, the matching 50% cost share is provided by non-Federal sources, state/local governments, private individuals/organizations, business enterprises, and philanthropic and charitable groups.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Service identifies projects or objects on or directly benefitting a national wildlife refuge or other Service lands for which cost sharing may be sought, and then solicits project proposals from partners/cooperators. Interested parties may contact the local National Wildlife Refuge or other Service office to participate or otherwise donate time, goods, or funds for these projects in order to support the mission of the Service. Proposals, including Standard Form 424 "Application for Federal Assistance," are submitted to the cooperating Service office that forwards them to their servicing Regional Office.

### Award Procedure:

The Regional Challenge Cost Share Coordinator assembles a committee of Fish and Wildlife Service employees from a variety of disciplines to review, rank, and select the proposals for refuges or hatcheries for funding.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Decisions on funding of project proposals are usually made no later than 180 days after the receipt of the project proposals. If funding is approved, a Challenge Cost Share Agreement (CCSA) is written between the Service and a cooperator(s) in which there is an equal partnership between the Federal government and the cooperator(s) that produces or provides a tangible product which mutually benefits Service lands and objectives, and the public. The Regional Contracting and General Services offices will review all CCSA's for contractual sufficiency. The agreements will be signed by the cooperator(s) and the Regional Director.

### Appeals:

Not Applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program. Matching Requirements: The Service shall expend no more than 50% of the cost to complete projects. The matching 50% cost share is provided by non-Federal sources, state/local governments, private individuals/organizations, business enterprises, and philanthropic and charitable groups. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Challenge Cost Share Agreements are written for funds that should be spent within 1 year; upon approval, agreements may be extended beyond the 1 year for reasonable cause. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

### Reports:

Program reports are not applicable. Cash reports are not applicable. Financial and performance reporting frequency and other requirements will be detailed in the award terms and conditions. Interim reports cannot be requested more frequently than quarterly, and no less frequently than annually. Interim reports are due 30 calendar days after the expiration of the quarter/midterm/year

anniversary, as appropriate. Final reports are required within 90 calendar days from the end date of the award. Submission of payment requests using the SF-270, Request for Advance or Reimbursement (Non-Construction) or SF-271, Outlay Report and Request for Reimbursement (Construction) satisfies interim financial reporting requirements. A final SF-425, Federal Financial Report is required 90 days from the end date of the award. This form can be accessed on the Internet at [http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/). For additional information regarding financial reporting requirements and sanctions for noncompliance please see [http://www.doi.gov/pam/financialassistance/postaward/docs/Policy\\_regarding\\_Fin\\_Status\\_Reporting\\_Req.pdf](http://www.doi.gov/pam/financialassistance/postaward/docs/Policy_regarding_Fin_Status_Reporting_Req.pdf). A final performance report is required within 90 calendar days from the end date of the award. Performance reports must contain a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work, a description of reasons why established goals were not met, if appropriate, and any other pertinent information relevant to the project results.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$6,500,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY10: No national reports are filed. However, plans were for the National Wildlife Refuge System to undertake over 400 Challenge Cost Share projects, totaling about \$21 million by leveraging the Services \$6.5 million allocation. Partners committed to invest over \$14 million. These projects focused on restoration of natural resources and/or the establishment or expansion of wildlife habitats with durable, lasting results; and/or wildlife-oriented recreational and education programs. Fiscal Year 2011: No funding was requested in the Presidents Budget Request to Congress. Fiscal Year 2012: Since the Challenge Cost Share Program has not been funded, there is no data for future years.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Bob Peyton, National Wildlife Refuge System, 911 NE 11th Avenue, Portland, OR 97232; (503) 872-2720

Patti Plagge, USFWS Regional Office, P.O. Box 1306, Albuquerque, NM 87103; (505) 248-7487

Rob Bruesewitz, 1 Federal Drive, Bishop Whipple Federal Building, Fort Snelling, MN 55111-4056; (612) 713-5403

Laura Housh, Regional Planner, Okefenokee National Wildlife Refuge, Route 2 Box 3330, Folkston, GA 31537; (912) 496-7366 Ext. 244

Lamar Gore, U.S. Fish and Wildlife Service, 300 Westgate Center Drive, Hadley, MA 01035; (413) 253-8542

James Graves, Planning and Budget Development, Region 6 Regional Office, 134 Union Blvd, Suite 300, Lakewood, CO 80228; (303) 236-4376

Kristen Gilbert, Division of Visitor Services, R7 Alaska Regional Office, 1011 East Tudor Road, Anchorage, AK 99503; (907) 786-3391

Carol Damberg, U.S. Fish and Wildlife Service, 2800 Cottage Way, Suite W-2606, Sacramento, CA 95825; (916) 414-6461.

**Headquarters Office:**

Assistant Director, Fish and Wildlife Service, Department of the Interior, National Wildlife Refuge System, 4401 N. Fairfax Drive, Suite 670., Arlington, Virginia 22203 Phone: (703) 358-2248.

**Website Address:**

[www.fws.gov](http://www.fws.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Approved projects focused on connecting children with nature, creating accessible outdoor recreational opportunities, restoration of tidal and freshwater wetlands, water quality, control and management of invasive plants, and recovery projects for threatened and endangered species. Fiscal Year 2011: No funding was requested in the Presidents Budget Request to Congress. Fiscal Year 2012: Since the Challenge Cost Share Program has not been funded, there is no data for future years.

**CRITERIA FOR SELECTING PROPOSALS:**

Refuge managers and other Service managers develop, in concert with partners, project proposals on, or benefitting Service lands, that are evaluated on the lasting effect on conservation, enhancement and protection. They will also be evaluated on scope of effect, number of partners involved, importance of resource values, feasibility, and cost effectiveness.

**15.643 ALASKA MIGRATORY BIRD CO-MANAGEMENT COUNCIL AMBCC**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

U.S. Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661 to 666C; Migratory Bird Treaty Act, 16 U.S.C. 703 et seq.

**OBJECTIVES:**

To facilitate and administer regional programs to involve subsistence hunters of migratory birds in the management and regulation of migratory birds.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds will be used to help offset travel, administrative and associated expenses required to establish a regional migratory bird subsistence program in keeping with the recently amended Migratory Bird Treaty. This regional program will become a part of the statewide (Alaska) and national migratory bird management program, for which the - Fish and Wildlife Service (Service) has responsibility. For further information, please contact the regional office.

**Applicant Eligibility:**

Native American Organizations, Public nonprofit institutions/organizations, other public institutions/organizations, Federally Recognized Indian Tribal Governments, and Local governments.

**Beneficiary Eligibility:**

Native American Organizations, Public nonprofit institutions/organizations, Federally recognized Indian Tribal Governments, local governments, and Alaska Native American Indians.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Awards are made on a non-competitive basis pursuant to the authorities mandated in the 1997 Migratory Bird Treaty Act Amendment Protocols. Applicant must complete the Standard Form SF 424, SF 424A and SF 424B.

**Award Procedure:**

The Executive Officer for the Alaska Migratory Bird Co-Management Council reviews the applications and makes recommendations. The process ends with concurrence by the Service.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available annually, and are based on available funding levels.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards must be spent during the approved period of performance of the grant agreement. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Additional reports, such as meeting agendas and summaries, may be required. Progress and final reports are to be submitted in accordance with terms and conditions of the grant agreement. Federal Financial Report (SF-425), are to be submitted in accordance with terms and conditions of the grant agreement. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$231,560; FY 11 est \$218,600; and FY 12 est \$227,600

**Range and Average of Financial Assistance:**

\$14,400 to \$31,200.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Regional co-management organizations in 10 regions within Alaska are active and maintained with regional meetings held twice a year. These regional meetings are a logistical challenge bringing in representatives from 192 remote villages to provide vital local input to the Alaska Migratory Bird Co-Management Council. The grants also supported travel for the 10 regional representatives and staff to attend the semi-annual statewide Alaska Migratory Bird Co-Management Council and committee meetings. Representatives from the North Slope and the Chugach Region also represented the program at national Flyway Council and Fish & Wildlife Service Regulations Committee meetings in July. Fiscal Year 2011: The emphasis will be on outreach activities sponsored to reach the 192 rural villages within the regions, covering everything from radio shows to informational flyers to holding issue-related village meetings. Regional emphasis will be on the North Slope of Alaska and the Bering Straits region due to increased emphasis on endangered species conservation as it relates to the subsistence harvest. Fiscal Year 2012: Plans include trying to recruit a replacement regional organization to represent Southeast Alaska, to bring the number of active regions up to 11, and adding representation to an additional 16 rural villages. Upon establishing a replacement organization, emphasis will be on establishing new outreach pathways and integrating them into the Statewide Council system.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be administered in conformance with 43 CFR and the Fish and Wildlife Service Administrative Manual.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV for addresses.

**Headquarters Office:**

Donna Dewhurst, Fish and Wildlife Service, Office of the Alaska Migratory Bird Co-Management Council, 1011 E. Tudor Road, MS 201, Anchorage, Alaska 99503 Email: donna\_dewhurst@fws.gov Phone: (907) 786-3499 Fax: 907-786-3641.

**Website Address:**

<http://Alaska.fws.gov/ambcc/index.htm>.

**RELATED PROGRAMS:**

15.608 Fish and Wildlife Management Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The work and objectives outlined for FY10 were continued specifically by providing travel, lodging and other associated expenses for elected representatives from the regional management bodies to attend all meetings of the Statewide Council and a separate representative to attend technical committee meetings associated with the Council. The regions will be taking up endangered species and seasonal regulatory issues with their area villages and making recommendations to the Statewide Council. Fiscal Year 2011: This program provided funding to 11 regional management bodies to facilitate and administer area sub-programs to involve subsistence hunters of migratory birds in the management and regulation of migratory birds. The funding meets three primary objectives: 1) Ensure an effective and meaningful role for indigenous inhabitants in the conservation of migratory birds; 2) Facilitate submission of migratory bird management proposals where spring migratory bird harvest is a customary and traditional practice; and 3) Facilitate the review of submitted migratory bird management proposals through meetings of the regional management bodies. Fiscal Year 2012: Emphasis will be placed on replacing the regional management body that served Southeast Alaska to facilitate re-establishing that sub-program to involve subsistence hunters of migratory birds in the management and regulation of migratory birds for that area. Completion of this task will enable submission and review of subsistence proposals from that region that have not been addressed in the past couple of years.

**CRITERIA FOR SELECTING PROPOSALS:**

You must be a regional partner organization of the council to be selected. Criteria included, but is not limited to, past performance, ability to provide administrative support, and ability to send an elected representative from the regional management body to meetings.

**15.644 FEDERAL JUNIOR DUCK STAMP CONSERVATION AND**

**DESIGN**

Junior Duck Stamp Contest

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Junior Duck Stamp Conservation and Design Program Act of 1994, Public Law 103-340, 108 Stat. 3119-3120, 16 U.S.C. 719; Reauthorization of the Junior Duck Stamp Conservation and Design Program Act of 1994, Public Law 106-316, 114 Stat. 1276, 16 U.S.C. 719, Fish and Wildlife Act of 1956.

**OBJECTIVES:**

To use visual arts programs and a nation-wide art contest to teach students in kindergarten through high school environmental science, wildlife management, wetlands ecology, and the importance of habitat conservation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Assistance may be used to: 1. provide awards and scholarships to students who submitted winning designs in State/Territory rounds of the Junior Duck Stamp Contest; 2. provide awards to schools and other program participants in order to promote the conservation goals of the program; and 3. cover program outreach and marketing costs. For further information, please contact the regional office.

**Applicant Eligibility:**

Federal, State and Local Governments, Non-profit organizations both with and without 501(c)(3) IRS status, Private Institutions of Higher Education, Public and State controlled Institutions of Higher Education.

**Beneficiary Eligibility:**

Individual/Family, Student/Trainee, Artist/Humanist, U.S. citizens, resident aliens, or nationals who are in kindergarten through twelfth grades at a public, private, or home school in the United States or U.S. territories.

**Credentials/Documentation:**

43 CFR Part 12 establishes requirements for grants awarded by agencies of the U.S. Department of the Interior. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Partner/potential partner contacts Regional Junior Duck Stamp Coordinators to discuss Contest needs and objectives, or Regional Junior Duck Stamp Coordinators may initiate the contact. Coordinator works with partners/potential partners to design projects.

**Award Procedure:**

Applicant must complete the Standard Form (SF-424). Once the project is designed and approved by the Regional Junior Duck Stamp Coordinator, a cooperative agreement or grant agreement written and work can begin.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

3-4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

3-6 months. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. One report upon completion of project. Applicant must complete the Standard Form (SF-424). Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

Not Applicable.

**Records:**

Cost records must be maintained separately for each awarded agreement. Records, accounts and supporting documents must be retained for 3 years after submission of final financial and performance reports.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$150,000; FY 11 est \$150,000; and FY 12 est \$150,000

**Range and Average of Financial Assistance:**

Each award may range from \$500 to \$2,500.

Awards are based on previous year participation numbers and base funding of \$500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Funds successfully awarded to all eleven cooperative agreement recipients. Fiscal Year 2011: Anticipate funds will be successfully awarded to all cooperative agreement recipients. Fiscal Year 2012: Anticipate funds will be successfully awarded to all cooperative agreement recipients.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Fish and Wildlife Service Manual, Part 901 FW 5. Copies of the Federal Junior Duck Stamp Art Competition Rules and Entry Form and reference forms, and the Junior Duck Stamp Conservation and Design Program Curriculum Guide can be obtained free of charge from the Federal Duck Stamp Office.

**Regional or Local Office:**

See Regional Agency Offices. Alaska: Tamara Zeller, 1011 E. Tudor Rd., Anchorage, AK 99503; Telephone (907) 786-3517  
Colorado: Beverly Boecher, 134 Union Blvd., Suite 300, Lakewood, CO, 80228; Telephone: (303) 2364391  
Georgia: Toni Westland, 1 Wildlife Dr., Sanibel, FL 33957; Telephone: (239) 472-1100 x237  
Massachusetts: Annelee Motta, 300 Westgate Center Drive, Hadley, MA 01035; Telephone: (413) 253-8539  
Minnesota: Ashley Spratt, 1 Federal Dr. BHW Federal Bldg, Ft. Snelling, MN 55111; Telephone: (612) 713-5311  
New Mexico: Art Needleman, 500 Gold Ave. SW/Room 4504, Albuquerque, NM 87102; Telephone: (505) 248-6822  
California: Marie Strassburger 2800 Cottage Way, Suite W-2606 Sacramento, CA 95825-1846 Telephone: (916) 414-6464  
Oregon: Brad Bortner, 911 NE 11th. Ave., Portland, OR 97232; Telephone: (503) 231-6164  
Virginia: Elizabeth Jackson, National Junior Duck Stamp Coordinator, 4401 North Fairfax Dr. Arlington, VA 22203; Telephone: (703) 358-2073.

**Headquarters Office:**

National Junior Duck Stamp Program Coordinator, Federal Duck Stamp Office, Fish and Wildlife Service, Mail Stop: MBSP-4070, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-2000 Fax: (703) 358-2009.

**Website Address:**

<http://www.fws.gov/juniorduck>

**RELATED PROGRAMS:**

Not Applicable.

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2010: Eleven cooperative agreements awarded for conservation and wetland education administered through the Junior Duck Stamp Program to participating states receiving cooperative agreements. Fiscal Year 2011: Cooperative agreements will fund awards and scholarships to students who submitted winning designs in State/Territory rounds of the Junior Duck Stamp Contest; 2. awards to schools and other program participants in order to promote the conservation goals of the program; and 3. Program outreach and marketing costs. Fiscal Year 2012: Cooperative agreements will fund awards and scholarships to students who submitted winning designs in State/Territory rounds of the Junior Duck Stamp Contest; 2. awards to schools and other program participants in order to promote the conservation goals of the program; and 3. Program outreach and marketing costs.

## CRITERIA FOR SELECTING PROPOSALS:

Cooperative agreements are awarded based on unique technical expertise and knowledge of the Junior Duck Stamp Program, background in natural resources, knowledge of conservation practices and environmental education experience. In addition, the ability to provide partnership support and volunteers is essential.

## 15.645 MARINE TURTLE CONSERVATION FUND

### FEDERAL AGENCY:

Fish and Wildlife Service, Department of the Interior

### AUTHORIZATION:

Maine Turtle Conservation Act of 2004, Public Law 108-266, 16 U.S.C 6601.

### OBJECTIVES:

To assist in the conservation of marine turtles and the nesting habitats of marine turtles in foreign countries by supporting and providing financial resources for projects to conserve the nesting habitats, conserve marine turtles in those habitats, and address other threats to the survival of marine turtles.

### TYPES OF ASSISTANCE:

Project Grants (Discretionary)

### USES AND USE RESTRICTIONS:

Project work should occur in foreign countries (outside of the United States) that have within their boundaries marine turtle nesting habitats and be conducted by any person or group with the demonstrated expertise required for the conservation of marine turtles. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, North Korea, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel. For further information, please contact the regional office.

### Applicant Eligibility:

Applications may be submitted by any government agency responsible for conservation and protection of marine turtles and any other organization or individual with demonstrated experience in marine turtle conservation.

### Beneficiary Eligibility:

Applications may be submitted by any government agency responsible for conservation and protection of marine turtles and any other organization or individual with demonstrated experience in marine turtle conservation.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov/search/basic.do>. The Notice of Funding Availability and Application Instructions are also located on the program's website at:

[http://www.fws.gov/international/DIC/species/marine\\_turtles/mt\\_howtoapply.htm](http://www.fws.gov/international/DIC/species/marine_turtles/mt_howtoapply.htm). If you are unable to access the Internet, hard copies are available upon request from the Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance".

### Award Procedure:

Projects are reviewed and competitively selected for funding based on established criteria contained in the Marine Turtle Conservation Act of 2004 (P. L. 108-266). Review criteria can be found in the application information at [http://www.fws.gov/international/DIC/species/marine\\_turtles/mt\\_howtoapply.htm](http://www.fws.gov/international/DIC/species/marine_turtles/mt_howtoapply.htm). Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

### Deadlines:

Apr 01, 2011 This program has two annual deadlines. The first deadline is October 1 each year. We strongly encourage applicants with nesting season projects beginning April/May to submit proposals on or before the October 1 deadline. The second deadline is April 1 each year. We strongly encourage applicants with nesting season projects beginning September/October to submit proposals on or before the April 1 deadline.

### Range of Approval/Disapproval Time:

Decisions on funding of project proposals will be made within 180 days after the receipt of the project proposal.

### Appeals:

Not Applicable.

### Renewals:

None. However; at the discretion of the Division of International Conservation, active awards can be modified, e.g.: time extensions or budget changes.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Awarded funds must be spent during the approved project period of performance, in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

### Reports:

Program reports are not applicable. Cash reports are not applicable. Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at [http://www.fws.gov/international/DIC/species/marine\\_turtle.html](http://www.fws.gov/international/DIC/species/marine_turtle.html). For financial reporting, Domestic Recipients shall use Standard Form (SF)425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the

reporting period and describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1652-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$1,921,285; FY 11 est \$2,000,000; and FY 12 est \$1,450,000 - Frequency of obligations: Other.

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: USFWS funded 41 marine turtle conservation projects totaling \$1,921,285.00 which was matched by \$2,663,966.00 in leveraged funds. Fiscal Year 2011: Will continue to fund projects for the conservation of marine turtles. Fiscal Year 2012: Will continue to fund projects for the conservation of marine turtles.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at <http://www.fws.gov/international/grants/grants.html> or in paper copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Department of the Interior, Fish and Wildlife Service, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-1754 Fax: (703) 358-2115.

**Website Address:**

[http://international.fws.gov/international/DIC/grants/grants\\_home.html](http://international.fws.gov/international/DIC/grants/grants_home.html).

**RELATED PROGRAMS:**

15.619 Rhinoceros and Tiger Conservation Fund; 15.620 African Elephant Conservation Fund; 15.621 Asian Elephant Conservation Fund; 15.629 Great Apes Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) Project to support nesting beach conservation programs for one of the two largest leatherback nesting populations in the world through an alliance of National Park, NGO and local community participants; 2) Project to support nesting beach conservation on the most important nesting beaches in Mexico for the East Pacific leatherback, formerly the worlds largest leatherback nesting population and now facing extirpation; 3) Project to support nesting beach conservation program for the black turtle at Colola and Maruata

Beaches, the two most important nesting beaches for this species in the East Pacific; 4) Project to support community based conservation programs for marine turtle conservation at key leatherback nesting beaches in Sierra Leone with a special emphasis on community involvement, capacity building, and environmental outreach with fisherman and local communities; 5) Project to support a leatherback conservation program along 60 km of high density leatherback nesting beach within Conkouati-Douli National Park which is contiguous with the major leatherback nesting population in Mayumba National Park, Gabon. Fiscal Year 2011: Projects not yet selected for funding. The program will continue to provide financial assistance to projects for the effective long-term conservation of marine turtles. Fiscal Year 2012: The program will continue to provide financial assistance to projects for the effective long-term conservation of marine turtles.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the Marine Turtle Conservation Fund (Public Law 108-266). Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Additional details on the selection criteria can be found in the Marine Turtles Notice of Funding Availability and Application Instructions at <http://www.fws.gov/international/animals/marineturtleprogram.htm>. Hard copies are available upon request from the Division of International Conservation at (703) 358-1754.

**15.647 MIGRATORY BIRD CONSERVATION**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C.661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; and Migratory Bird Treaty Act, 16 U.S.C. 709a.

**OBJECTIVES:**

To maintain and enhance populations and habitats of migratory bird species found in the Upper Midwest (IL, IN, IA, MI, MN, MO, OH, WI).

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grants and payments may be used for the conservation of any bird species protected by the Migratory Bird Treaty Act and occurring in U.S. Fish and Wildlife Service (USFWS) Region 3 (Upper Midwest, including IL, IN, IA, MI, MN, MO, OH, and WI). Special emphasis will be placed on Birds of Management Concern in the Midwest (see [http://www.fws.gov/midwest/MidwestBird/birds\\_of\\_concern.htm](http://www.fws.gov/midwest/MidwestBird/birds_of_concern.htm)) as these species are experiencing known or suspected population declines, are recreationally important, or are causing biological or social conflicts. Implementing national, regional, and flyway bird conservation plans, including the Partners in Flight North American Landbird Conservation Plan (<http://www.partnersinflight.org>), U.S. Shorebird Conservation Plan (<http://shorebirdplan.fws.gov>), North American Waterbird Conservation Plan (<http://www.waterbirdconservation.org>), North American Waterfowl Management Plan (<http://www.fws.gov/birdhabitat/NAWMP/index.shtm>), and Mississippi Flyway bird management plans, is the USFWS's highest priority, and proposals related to the priorities identified in these plans and Bird Conservation Region and state-level bird conservation planning efforts will receive high funding consideration. The following activities are of interest to the USFWS: a) Population surveys and monitoring to determine the status, trends, distribution, and demography of bird species and groups of concern. Emphasis will be placed on landscape-level applications of standardized inventory and monitoring protocols as identified through the Midwest Coordinated Bird Monitoring Partnership (<http://midwestbirdmonitoring.ning.com>). Local-scale monitoring (e.g., local land management units) activities will generally not be a focus of this grant program, nor will support for long-term operational bird monitoring efforts. Rather, the program seeks to address coordination of monitoring efforts and

development and evaluation of new survey and monitoring techniques (both field and analytical); b) Conservation of focal species for which research, monitoring, and other conservation and management priorities have been identified. Examples of focal species include: Golden-winged Warbler, Cerulean Warbler, Henslows Sparrow, other Midwestern grassland birds, American Woodcock, Wilsons Phalarope, Upland Sandpiper, Marbled Godwit, Common Tern, King Rail, and Lesser Scaup (for further information on focal species, contact Steve Lewis, USFWS, [steve\\_j\\_lewis@fws.gov](mailto:steve_j_lewis@fws.gov)); c) Strategic Conservation, wherein biological planning, landscape design, conservation delivery, and monitoring and evaluation are integrated in a way that generates the adaptive feedback loops that enable sound decisions and constantly improve our efficiency and effectiveness in saving birds (<http://www.fws.gov/midwest/science/SHC/FAQ.htm>). Strategic conservation involves applied research, including studies of bird habitat requirements, threats, limiting factors, and population responses to habitat conservation activities; monitoring (see above); and use of Geographic Information Systems, modeling, and similar tools to develop decision support tools that identify bird habitat focus areas and further bird conservation planning efforts. For further information, please contact the regional office.

**Applicant Eligibility:**

Federal, State and local government agencies; Federally-recognized Indian Tribal governments; private nonprofit institutions/organizations; and public nonprofit institutions/organizations.

**Beneficiary Eligibility:**

Federal, State and local government agencies; Federally-recognized Indian Tribal governments; private nonprofit institutions/organizations; public nonprofit institutions/organizations; and general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D Construction)

**Award Procedure:**

The Regional Migratory Bird Program Chief convenes a committee of FWS biologists to review, rank, and select proposals for funding. Once a proposal is accepted, a grant agreement is written and work can begin.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on funding of a proposal are usually made no later than 180 days after receipt of the proposal.

**Appeals:**

None.

**Renewals:**

A grant agreement may be modified at the discretion of the Regional Office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Unless a project is extended, awarded funds must be spent during the approved Period of Performance of the grant agreement and in accordance with financial and reporting procedures specified in the agreement. Grants are normally written for a period of 1 to 5 years and payments can be made in a lump sum or on a periodic basis. See the following for information on how assistance is

awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects and activities are monitored for progress and compliance with agreed upon scope of work. Written progress and financial reports using the SF-425 Federal Financial Report, and final reports on the project are generally required. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$694,871; FY 11 est \$300,000; and FY 12 est \$300,000 -

**Range and Average of Financial Assistance:**

\$8,000 to \$130,909; \$36,572 average in FY 10.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: (actual): In FY 10, Region 3 received 25 proposals requesting \$808,328 and was able to fund 19 of the proposals for \$694,871. Fiscal Year 2011: (anticipated): In FY 11, Region 3 received 28 proposals requesting \$674,590 and we estimate that approximately 9 of the proposals will be funded for about \$300,000. Fiscal Year 2012: (anticipated): In FY 12, we estimate that approximately \$300,000 will be available for small grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Steve Lewis, Division of Migratory Birds, Fish and Wildlife Service, 1 Federal Drive, Fort Snelling, MN 55111-4056; Telephone: (612) 713-5473; Fax: (612) 713-5393; E-mail: [steve\\_j\\_lewis@fws.gov](mailto:steve_j_lewis@fws.gov). Sean Kelly, same address; Telephone: (612) 713-5470; Fax: (612) 713-5393; E-mail: [sean\\_kelly@fws.gov](mailto:sean_kelly@fws.gov).

**Headquarters Office:**

Steve Lewis, Division of Migratory Birds, Fish and Wildlife Service, 1 Federal Drive, Fort Snelling, Minnesota 55111-4056 Email: [steve\\_j\\_lewis@fws.gov](mailto:steve_j_lewis@fws.gov) Phone: (612) 713-5473 Fax: (612) 713-5393.

**Website Address:**

<http://www.fws.gov/midwest/midwestbird>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: (actual): (1) Midwest Avian Data Center: data integration, archiving, and access in support of migratory bird conservation in the Upper Midwest; (2) Demographic response of Golden-winged Warbler to habitat and management across a climate change gradient in the core of the species range; (3) Evaluating the Wisconsin Strategic Grassland Bird Conservation Plan; (4) Great Lakes Colonial Waterbird Survey; (5) Assessing the impacts of free-ranging cats and food-provisioned cat colonies on the conservation of grassland birds in Illinois. Fiscal Year 2011: (anticipated): (1) Assessing the relative impacts of anthropogenic causes of direct bird mortality; (2) Identifying factors associated with detection probability and occupancy of nocturnal birds:

implications for coordinated monitoring in the Midwest; (3) Responses of breeding Henslows Sparrows to grassland restoration in Missouri; (4) Developing an approach to surveying the distribution and abundance of migrating and wintering waterbirds on Lake Michigan. Fiscal Year 2012: (anticipated): Coordinated bird monitoring, focal bird species conservation, research on limiting factors, and strategic conservation efforts for Midwest birds.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed to determine how well they address the migratory bird program priorities outlined above, including relevance to bird conservation plan priorities, focal and other priority species, and the bird conservation activities listed above. Proposals will also be evaluated for their biological and statistical soundness, feasibility, geographic scope of applicability, and cost effectiveness. Projects involving matching funds, in-kind services, materials, and equipment from other agencies and organizations will be given greater consideration for funding than similar projects without matching resources.

**15.648 CENTRAL VALLEY PROJECT IMPROVEMENT (CVPI)  
ANADROMOUS FISH RESTORATION PROGRAM (AFRP)**

(CVPI, AFRP)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Central Valley Project Improvement Act, Title 34, Public Law 102-575; Federal Grant and Cooperative Agreement Act, Public Law 97-258, 31 U.S.C. 6301-6308.

**OBJECTIVES:**

(a) To protect, restore, and enhance fish, wildlife, and associated habitats in the Central Valley and Trinity River basins of California; (b) To address impacts of the Central Valley Project on fish, wildlife and associated habitats; (c) To improve the operational flexibility of the Central Valley Project; (d) To increase water-related benefits provided by the Central Valley Project to the State of California through expanded use of voluntary water transfers and improved water conservation; (e) To contribute to the State of California's interim and long-term efforts to protect the San Francisco Bay/Sacramento-San Joaquin Delta Estuary; (f) To achieve a reasonable balance among competing demands for use of Central Valley Project water, including the requirements of fish and wildlife, agricultural, municipal and industrial and power contractors.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used for research to improve management and increase Anadromous fish resources; spawning area improvement; installation of fish passages; construction of fish protection devices, and data collection. For further information, please contact the regional office.

**Applicant Eligibility:**

Applicants may be State, local governments, Native American Organizations, other public nonprofit institutions/organizations, private nonprofit/organization. No other Federal agency may apply.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application should include the project proposal and be submitted through Grants.gov. The proposal contains the narrative description and budgetary information of the project. Only information that is

pertinent to the project should be included. The project proposal should also indicate whether partial funding of the project is practicable, and, if so, what specific portion(s) of the project could be implemented with what level of funding. A project proposal that is part of a longer term initiative will be considered, however, the proposed project's objectives, benefits, and tasks must stand on their own, as there are no assurances that additional funding would be awarded in subsequent years for associated or complementary projects. An incomplete proposal will not be considered for funding.

**Award Procedure:**

The successful applicant will be notified after selection and confirmation of available funding. An applicant should not initiate a project in expectation of USFWS funding, nor should they purchase materials or begin work until such time as they receive the final award document signed by an authorized Service official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Awards are anticipated within 90 days or less.

**Appeals:**

Contact the headquarters or regional office.

**Renewals:**

Contact the headquarters or regional office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The matching requirement is based on the project.

For specific information see the Central Valley Project Improvement Act, Section 3406 Fish, Wildlife and Habitat Restoration.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project awards are generally from one to five years, depending on the complexity of the project and availability of funds. The five year restriction on the length of time is due to the Period of Availability of Funds limited to the five (5) year rule. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress and final reports must be submitted in accordance with the terms and conditions of the grant agreement. The SF-425 Federal Financial Report must be submitted in accordance with the terms and conditions of the grant agreement. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are required to be maintained for three years following submission of the final expenditure report.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$2,557,516; FY 11 est \$2,983,894; and FY 12 est \$2,000,000

**Range and Average of Financial Assistance:**



No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The U.S. Fish and Wildlife Services Anadromous Fish Restoration Program (AFRP) completed one fish passage project in the Cosumnes River and placed approximately 14,938 cubic yards of spawning gravel in the Mokelumne and Merced rivers in 2010. AFRP also initiated a floodplain restoration project in the Merced River, completed a feasibility study, environmental compliance documents, and project designs to construct a bypass for out-migrating salmonids at two screened diversions in Antelope Creek, and restored 1300 feet of side-channel in the American River. Fiscal Year 2011: (anticipated): The U.S. Fish and Wildlife Services Anadromous Fish Restoration Program (AFRP) anticipates to complete one fish passage project in the Cosumnes River at the North Granlees Diversion Dam, place approximately 28,000 cubic yards of spawning gravel in the Merced River, 4,600 cubic yards of gravel in the Mokelumne River, and 16,000 cubic yards of gravel in the Tuolumne River. AFRP also anticipates restoring 4.4 acres of floodplain habitat in the Stanislaus River and 11 acres of floodplain habitat in the Tuolumne River. Fiscal Year 2012: (anticipated): The U.S. Fish and Wildlife Services Anadromous Fish Restoration Program (AFRP) anticipates to complete two fish passage projects in the Calaveras River and one fish passage project at the Antelope Creek Tehama Wildlife Area. AFRP also anticipates restoring 6 acres of floodplain and placing approximately 28,000 cubic yards of spawning gravel in the Merced River.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

See Regional Agency Offices. Potential applicants may contact the local office at: Anadromous Fish Restoration Program Stockton Fish and Wildlife Service Office 4001 N. Wilson Way, Stockton, California 95205. Telephone: (209) 946-6400, Fax (209) 946-6355.

**Headquarters Office:**

Ren Lohofner, 2800 Cottage Way, Suite W2606, Sacramento, California 95825 Phone: (916) 414-6464 Fax: (916) 414-6464.

**Website Address:**

<http://www.fws.gov/stockton/afrp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The U.S. Fish and Wildlife Services Anadromous Fish Restoration Program (AFRP) funded one fish passage project at the Antelope Creek Tehama Wildlife Area that will improve passage to 13 miles of habitat for Chinook salmon and steelhead. The AFRP also funded 4 channel and floodplain restoration projects in the Stanislaus River, Merced River, and Tuolumne River and a side-channel restoration project in the American River. Fiscal Year 2011: The U.S. Fish and Wildlife Services Anadromous Fish Restoration Program (AFRP) anticipates funding habitat assessments for Mill Creek, Antelope Creek, and Cow Creek in the upper Sacramento River basin to evaluate anadromous fish barriers, riparian habitat, and geomorphic processes. The AFRP is also funding a floodplain restoration project in the Sacramento River at Reading Island, a tidal wetland restoration project at the Cosumnes River Preserve, and a riparian habitat restoration pilot project in the Yuba River at Hammon Bar. The program also plans to fund a channel restoration project in the Yuba River in the Narrows Reach to restore Chinook salmon and steelhead spawning habitat. The AFRP anticipates that funding will be available for a Chinook salmon outmigration survival study in the Stanislaus River and to evaluate contaminants, age, and growth of white sturgeon from the Sacramento-San Joaquin Delta. Fiscal Year 2012: The U.S. Fish and Wildlife Services Anadromous Fish Restoration Program (AFRP) anticipates funding fish passage and habitat restoration projects for Mill Creek, Deer Creek, Cottonwood Creek, and Cow Creek in the Upper Sacramento River Basin. The AFRP also anticipates funding channel and floodplain restoration projects in the Yuba River, Stanislaus River, Sacramento River, and American River.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed by a team of Federal staff based on the following criteria: Addresses high priority need as described in the Request for Proposal

(RFP) "Purposes and Funding Priorities"; Clearly stated goals, objectives, hypotheses, and relevance of idea; Approach is valid and technically sound; Primary Investigators and/or subcontractors record of performance and expertise; Budget is reasonable and provides good value for funds requested; and Cost sharing or in-kind contributions.

**15.649 SERVICE TRAINING AND TECHNICAL ASSISTANCE (GENERIC TRAINING)**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Act of 1956 and the Fish and Wildlife Coordination Act, for the development and implementation of programs for the benefit of fish and wildlife species and their habitat (16 U.S.C. 661 and 742 et seq.), Fish and Wildlife Improvement Act of 1978, as amended (16 U.S.C. 753). Endangered Species Act of 1973 (16 U.S.C. 1531-1544, 87 Stat. 884).

**OBJECTIVES:**

To assist in the conservation of the Nation's natural resources by supporting and providing financial resources for training, meetings, workshops and conferences to promote the public's conservation awareness.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Training and technical assistance are used to enhance public awareness and understanding of natural resource conservation and preservation. Projects may include natural resources related education, meetings, training, workshops, and conferences. Details on funding opportunity can be found on [www.Grants.gov](http://www.Grants.gov). For further information, please contact the regional office.

**Applicant Eligibility:**

Federal, State and local government agencies; Federally-recognized Tribal governments; private nonprofit institutions/organizations; public nonprofit institutions/ organizations.

**Beneficiary Eligibility:**

Federal, State and local government agencies; Federally-recognized Tribal governments; private nonprofit institutions/organizations; public nonprofit institutions/ organizations; general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any applicable pre-application coordination or environmental impact information requirements will be detailed in the funding opportunities posted under this program on [Grants.gov](http://www.grants.gov) (<http://www.grants.gov>). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Standard Form (SF)424 and a written proposal should be submitted through [Grants.gov](http://www.Grants.gov) or via hardcopy to the project office and include: a title, justification (including relevance to the Fish and Wildlife Service's priorities as outlined above), objectives, timeframe, and a budget breakdown. Note that the USFWS may circulate proposals to others for review. All Service financial assistance discretionary funding opportunities will be posted on [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Notification of an award is the issuance of a grant or cooperative agreement document by Awarding Official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

This will vary based on the funding opportunity and will range between 3 and 6 months.

**Appeals:**

Applicant may revise and resubmit proposal for consideration.

**Renewals:**

Contact the headquarters or regional office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Statutory formulas and/or matching requirements may be applicable to activities funded under this CFDA. Any formulas or matching requirements will be specified in the funding opportunities posted under this program on Grants.gov.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies by activity being funded, but typically funds are awarded for projects with a one year period of performance. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Financial and performance reporting frequency and other requirements will be detailed in the award terms and conditions. Interim reports will not be requested more frequently than quarterly, and no less frequently than annually. Interim reports are due 30 calendar days after the expiration of the quarter/midterm/year anniversary, as appropriate. Final reports are required within 90 calendar days from the end date of the award. Submission of payment requests using the SF-270, Request for Advance or Reimbursement (Non-Construction) or SF-271, Outlay Report and Request for Reimbursement (Construction) satisfies interim financial reporting requirements. A final SF-425, Federal Financial Report is required 90 days from the end date of the award. This form can be accessed on the Internet at [http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/). For additional information regarding financial reporting requirements and sanctions for noncompliance please see [http://www.doi.gov/pam/financialassistance/postaward/docs/Policy\\_regarding\\_Fin\\_Status\\_Reporting\\_Req.pdf](http://www.doi.gov/pam/financialassistance/postaward/docs/Policy_regarding_Fin_Status_Reporting_Req.pdf). A final performance report is required within 90 calendar days from the end date of the award. Performance reports must contain a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work, a description of reasons why established goals were not met, if appropriate, and any other pertinent information relevant to the project results.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$3,867,359; FY 11 est \$1,500,000; and FY 12 est \$1,500,000 - By program activity.

**Range and Average of Financial Assistance:**

Range and average varies by program activity.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FWS provided support for 142 new grants and cooperative agreements for natural resources related education, meetings, training, workshops, and conferences focused on enhancing public awareness and understanding of natural resource conservation and preservation. Fiscal Year 2011: FWS has to date provided support for 17 new grants and cooperative agreements for natural resources related education, meetings, training, workshops, and conferences focused on enhancing public awareness and understanding of natural resource conservation and preservation. Fiscal Year 2012: FWS will continue to provide support for natural resources related education, meetings, training, workshops, and conferences focused on enhancing public awareness and understanding of natural resource conservation and preservation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Acceptance of a Federal Financial Assistance award from the Department of the Interior (DOI) carries with it the responsibility to be aware of and comply with the terms and conditions of award per <http://www.doi.gov/pam/TermsandConditions.html>.

**Regional or Local Office:**

See Regional Agency Offices. Contact Information related to each funding opportunity under this program will be stated in the funding opportunities posted on Grants.gov (<http://www.grants.gov>).

**Headquarters Office:**

Chief, Branch of Financial Assistance Coordination Division of Wildlife Sport Fish Restoration, 4401 N. Fairfax Drive, MS-4020, Arlington, Virginia 22203  
Phone: (703) 358-2701.

**Website Address:**

<http://www.fws.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FWS provided support for 142 grants and cooperative agreements to support a variety of public and stakeholder training and public outreach activities. Examples projects supported in FY10: Arizona Game and Fish Exposition; FWS Region 2 Friends Group Workshop; Alaska Geographic-Artic 50th Documentary; Alaska Youth Climate Change Summit 2010; The 9th World Wilderness Marine Collaborative; Kids for Corridors Pilot Project; Monterrey Bay Camp Sea Lab; and an International Symposium for Plant Conservation. Fiscal Year 2011: (to date): FWS has provided support for 17 grants and cooperative agreements to support a variety of public and stakeholder training and public outreach activities. Examples projects supported in FY10: Society for Conservation Ecology's 24th International Conference; North American Wildlife and Natural Resources Conference; installation of interpretive media panels, exhibits, and artwork for Overlook Park, WA. Fiscal Year 2012: (anticipated): Projects have not yet been selected for funding. Projects to be funded may include natural resources related education, meetings, training, workshops, and conferences focused on enhancing public awareness and understanding of natural resource conservation and preservation.

**CRITERIA FOR SELECTING PROPOSALS:**

Programs within the Fish and Wildlife Service will review and evaluate all applications consistent with authorized Fish and Wildlife Service program purposes.

**15.650 RESEARCH GRANTS (GENERIC)**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. (742f (a)(4)); Fish and Wildlife Coordination Act, as amended, 16 U.S.C. 661.; Fish and Wildlife Improvement Act of 1978, as amended (16 U.S.C. 753), Land and Water Conservation Fund Act of 1965, as amended (16 U.S.C. 4601-4 through 11), Endangered Species Act of 1973 (16 U.S.C. 1531-1543).

**OBJECTIVES:**

To assist in the conservation of the Nation's natural resources by providing financial assistance for land management, research, and data collection/analysis to further the preservation of natural resources.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Research grants will be used for improving scientific support for natural resource management, to enhance public awareness and understanding of natural resource conservation and preservation. Projects may include land management practices; literature research, data/information analysis and dissemination improving scientific support for natural resource management. Details on funding opportunities can be found on [www.Grants.gov](http://www.Grants.gov). For further information, please contact the regional office.

**Applicant Eligibility:**

Federal, State and local government agencies; Federally-recognized Tribal governments; private nonprofit institutions/organizations; public nonprofit institutions/organizations.

**Beneficiary Eligibility:**

Federal, State and local government agencies; Federally-recognized private nonprofit institutions/organizations; public nonprofit institutions/ organizations; general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any applicable pre-application coordination or environmental impact information requirements will be detailed in the funding opportunities posted under this program on [Grants.gov](http://www.grants.gov) (<http://www.grants.gov>). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF)-424, and the appropriate Budget and Assurances forms (SF-424A and SF-424B Non-construction; or SF-424C and SF-424D Construction)

**Award Procedure:**

Notification of an award is by the issuance of a grant or cooperative agreement document by Awarding Official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

This will vary based on the funding opportunity and will range between 3 and 6 months.

**Appeals:**

Applicants may revise and resubmit proposals for consideration.

**Renewals:**

Contact the headquarters or regional office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Statutory formulas and/or matching requirements may be applicable to activities funded under this CFDA. Any formulas or matching requirements will be specified in the funding opportunities posted under this program on [Grants.gov](http://Grants.gov). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies by activity being funded, but typically funds are awarded for projects with a one year period of performance. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A final performance report is required within 90 calendar days from the end date of the award. Performance reports must contain a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work, a description of reasons why established goals were not met, if appropriate, and any other pertinent information relevant to the project results. Submission of payment requests using the SF-270, Request for Advance or Reimbursement (Non-Construction) or SF-271, Outlay Report and Request for Reimbursement (Construction) satisfies interim financial reporting requirements. A final SF-425, Federal Financial Report is required 90 days from the end date of the award. This form can be accessed on the Internet at [http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/). For additional information regarding financial reporting requirements and sanctions for noncompliance please see [http://www.doi.gov/pam/financialassistance/postaward/docs/Policy\\_regarding\\_Fin\\_Status\\_Reporting\\_Req.pdf](http://www.doi.gov/pam/financialassistance/postaward/docs/Policy_regarding_Fin_Status_Reporting_Req.pdf). Financial and performance reporting frequency and other requirements will be detailed in the award terms and conditions. Interim reports will not be requested more frequently than quarterly, and no less frequently than annually. Interim reports are due 30 calendar days after the expiration of the quarter/midterm/year anniversary, as appropriate. Final reports are required within 90 calendar days from the end date of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$13,864,902; FY 11 est \$1,500,000; and FY 12 est \$1,500,000

**Range and Average of Financial Assistance:**

Range and average varies by program activity.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FWS provided support for 158 grants and cooperative agreements for research grants focused on improving scientific support for natural resource management. Fiscal Year 2011: FWS has to date provided support for 14 grants and cooperative agreements for research grants focused on improving scientific support for natural resource management. Fiscal Year 2012: FWS will continue to assist in the conservation of the Nation's natural resources by providing financial assistance for research grants focused on improving scientific support for natural resource management.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Acceptance of a Federal Financial Assistance award from the Department of the Interior (DOI) carries with it the responsibility to be aware of and comply with the terms and conditions of award per <http://www.doi.gov/pam/TermsandConditions.html>.

**Regional or Local Office:**

See Regional Agency Offices. Contact Information related to each funding opportunity under this program will be stated in the funding opportunities posted on [Grants.gov](http://Grants.gov).

**Headquarters Office:**

Chief, Branch of Financial Assistance Coordination, Division of Wildlife Sport

Fish Restoration, 4401 N. Fairfax Drive, MS-4020, Arlington, Virginia 22203  
Phone: (703) 358-2701.

**Website Address:**

<http://www.fws.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Provided support for 158 new grants and cooperative agreements to support natural resource management research projects. Examples of projects funded include: Colorado Natural Heritage Program for Rare Plant and Animal Database; Assessment of Genetic Diversity of Physaria (Lesquerella) Congesta, Dudley Bluffs bladderpod; SageSTEP Long-Term Ecological Monitoring Network; Grizzly Bear Food Habits using Stable Isotope Analysis; Review scientific basis of actions for CA to achieve sustainable Bay-Delta and reliable water supply; Study of the Effects of Road Salt on Yellow Perch; Survey of glacier ice thickness to measure ice drainage; Project to produce updated wetlands data layer for 86 quadrangles along the North Carolina coast. Fiscal Year 2011: (to date): FWS has provided support for 14 new grants and cooperative agreements to support natural resource management research projects. Examples of projects funded include: Delta Smelt Research; investigating how climate change will affect wildlife and habitats; Movement patterns of adult female brown bears on Kodiak Island; Examining biological samples from Kuskokwin and Yukon River tributaries. Fiscal Year 2012: (anticipated): Projects have not yet been selected for funding. Projects to be funded may include support for land management, literature research, data/information analysis and dissemination, and other activities focused on improving scientific support for natural resource management.

**CRITERIA FOR SELECTING PROPOSALS:**

Programs within the Fish and Wildlife Service will review and evaluate all applications consistent with authorized Fish and Wildlife Service program purposes.

**15.651 WILDLIFE WITHOUT BORDERS-AFRICA PROGRAM**

None.

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C 1531-43.

**OBJECTIVES:**

The goal of the Wildlife Without Borders-Africa Program is to strengthen the ability of African institutions to manage and conserve species, habitats, and ecological process for the benefit of the people of Africa and the world. Of particular interest are projects that build the human and institutional capacity to effectively conserve and manage natural protected areas in Africa. Project should address:

1. Threat Reduction: Includes projects that increase individual and institutional capacity to reduce threats to African wildlife, including extractive industries, human-wildlife conflict, hunting for bushmeat, wildlife disease in and around protected areas, and climate change;
2. Protected Area Management: Includes projects that strengthen the management ability of institutions responsible for protected areas, by conducting a training program or capacity needs assessment, or by undertaking activities that improve management effectiveness, conservation financing, protected area coverage, community outreach and education, conflict resolution, coalition building, human resource management, financial management, vehicle and facility maintenance, law enforcement, grant writing, and/or project implementation;
3. Training Programs: Includes projects that increase the capacity of universities, colleges or other institutions to deliver education and training programs on protected area management and species conservation;
4. Decision Makers: Includes projects that enhance the knowledge of decision

makers and other stakeholders in order to strengthen their ability to positively influence wildlife conservation, management, legislation, policy, and finance; and to harmonize these with other national policies.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Projects should take place in Africa. If work is to be conducted outside Africa, the proposal must explain how the proposed activities will further protected area conservation and management within Africa to be eligible for funding. The Division of International Conservation will not fund: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who misrepresent their identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. This program is administered in compliance with the Federal Grant and Cooperative Agreement Act of 1977, as amended. These funds may not be used towards training Federal government personnel. For further information, please contact the regional office.

**Applicant Eligibility:**

Federal, State and local government agencies; non-profit, non-governmental organizations; and public and private institutions of higher education, or any of the stated associate entities on behalf of an eligible individual.

**Beneficiary Eligibility:**

Federal, State and local government. agencies; nonprofit, non-governmental organizations; and public and private institutions of higher education. All recipients, both individual and institutional, must have a bank account and have the ability to receive funds directly.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov>. Complete application information can also be found at <http://www.fws.gov/international/DIC/regional%20programs/africa/Africa.html> , or, if unable to access the website, by requesting a paper copy from the Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, VA 22203, Telephone: (703) 358-1754. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 Application for Federal Assistance.

**Award Procedure:**

Projects are reviewed and competitively selected for funding based on established criteria. Review criteria can be found in the application information at <http://www.fws.gov/international/DCI/regional%20programs/africa/Africa.html> . Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is drafted by the Division of International Conservation. The draft Award is then submitted to the Division of Contracting and Facilities Management (CFM) where it is executed by an FWS Contracting Officer. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Oct 01, 2011 Proposals are due by close of business on Oct 1 of each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are normally made no later than 180 days after the receipt of the project proposals.

**Appeals:**

Not Applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation awards can be modified, e.g.; extended for time or budget changes.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the approved project period of performance, in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Financial and performance reports are to be submitted in accordance with the terms and conditions established in the Assistance Awards. Complete reporting requirements can be found at this program's web page at <http://www.fws.gov/international/DIC/regional%20programs/africa?Africa.html>. Expenditure reports are not applicable. For financial reporting, domestic recipients with no program income to report shall use the Federal Financial Report, Standard Form (SF)-425. Non-domestic recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period and describes any deviations from the approved project budget.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient will maintain records in accordance with the provisions of 43 CFR part 12, Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 43 CFR Part 12, Subpart F, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$102,000; FY 11 est \$500,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

Variable amounts. Due to the limited funding available and the desire to support diverse projects, preference will be given to proposals requesting \$50,000 or less. Higher amounts may be requested with appropriate justification.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: USFWS funded one project totaling \$160,000.00 which was matched by \$363,116.00 in leveraged funds. Fiscal Year 2011: So far, USFWS has funded ten African Conservation project grants. Fiscal Year 2012: USFWS will continue to fund conservation grants in Africa.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award

Guidelines" can be found on-line at

<http://www.fws.gov/international/DIC/regional%20programs/africa/Africa.html> or by contacting the Division of International Conservation at (703)358-1754.

**Regional or Local Office:**

See Regional Agency Offices. Region 1, (Washington, Oregon, California, Nevada, Idaho, Hawaii, Trust Territories of the Pacific) Regional Director: Renne Lohofener, 911 NE 11th Avenue, Portland, OR 97232-4181. Telephone: (503) 872-2716; Fax: (503)231-6118. California Nevada Operations Office Regional Director: Steve Thompson, 2800 Cottage Way, Suite W2606 Sacramento, CA 95825. Telephone: (916) 414-6486; Fax: (916) 414-6464 Region 2 (New Mexico, Arizona, Oklahoma, Texas) Regional Director: Benjamin Tuggle, P.O. Box 1306, Albuquerque, NM 87103. Telephone: (505) 248-6910; Fax: (505) 248-6282. Region 3, (Minnesota, Indiana, Missouri, Michigan, Wisconsin, Ohio, Illinois, Iowa). Regional Director, Robyn Thorson Federal Building, 1 Federal Drive, Fort Snelling, MN 55111. Telephone: (612) 713-5284; Fax: (612) 713-5301. Region 4, (Kentucky, Arkansas, Tennessee, North Carolina, South Carolina, Georgia, Alabama, Mississippi, Louisiana, Florida, Virgin Islands, Puerto Rico). Regional Director: Sam Hamilton, 1875 Century Boulevard, Atlanta, GA 30345. Telephone: (404)679-4006 Fax: (404) 679-4000. Region 5, (Virginia, West Virginia, Maryland, Pennsylvania, New York, Delaware, New Jersey, Connecticut, Maine, Massachusetts, Vermont, New Hampshire, Rhode Island) Regional Director: Marvin Moriarty, 300 Westgate Center Drive, Hadley, MA 01035. Telephone: (413) 253-8308. Fax: (413) 253-8300. Region 6, (Colorado, Montana, Nebraska, Utah, Wyoming, Kansas, North Dakota, South Dakota) Regional Director, Mitch King, P.O. Box 25486, DFC Denver, CO 80225. Telephone: (303) 236-7920 Fax: (303) 236-8295 Region 7 (Alaska) Regional Director: Tom Melius, 1011 East Tudor Road, Anchorage, AK 99503. Telephone: (907) 786-3306 Fax: (907) 786-3542.

**Headquarters Office:**

Chief, Department of the Interior, Fish and Wildlife Services, Division of International Conservation, 4401 North Fairfax Drive, Room 100, Arlington, Virginia 22203-1622 Email: [WWB\\_Africa@fws.gov](mailto:WWB_Africa@fws.gov) Phone: (703) 358-1754 Fax: (703) 358-2115.

**Website Address:**

<http://www.fws.gov/international/DIC/regional%20programs/africa/Africa.html>

**RELATED PROGRAMS:**

15.640 Wildlife Without Borders- Latin America and the Caribbean ; 15.641 Wildlife Without Borders-Mexico

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funded one project to train 13 current and future African and Asian veterinarians in all aspects of wildlife and ecosystem health as part of a larger program that brings together veterinary colleagues from around the world. Fiscal Year 2011: Provided funding for: 1) Project to train park personnel in Alatish National Park, Ethiopia on diversity, distribution and importance of the fish life of the region. Park staff will learn methods and skills of sampling, identification, and data collection of important biological features of fishes in order to inform and improve their conservation and management activities; 2) Project to conduct conservation capacity needs assessment, and develop and implement new in-service training short courses to address identified needs on wildlife conservation and protected area management for individuals working for government agencies, civil society and the private sector; 3) Project to train 20 conservationists from Mali, Ivory Coast, Benin, Niger and Burkina Faso through a 12 week program on protected area management. Trainees will learn specific tools and technical skills that will enable them to better understand conservation challenges and deal with current dynamics within and surrounding protected areas in West Africa. Fiscal Year 2012: Projects not yet selected for funding. Funded projects will focus on strengthening the ability of African institutions to manage and conserve species, habitats, and ecological process for the benefit of the people of Africa and the world. Of particular interest will be projects that build the human and institutional capacity to effectively conserve and manage natural protected areas in Africa.

**CRITERIA FOR SELECTING PROPOSALS:**

Due to the limited funding available and the desire to support diverse projects,

preference will be given to proposals requesting \$50,000 or less. A complete list of the criteria used to select projects under this program will be included as part of the Wildlife Without Borders-Africa Notice of Funding Availability and Application Instructions at <http://www.fws.gov/international/DIC/regional%20programs/africa/Africa.html>. Hard copies can be obtained by contacting the Division of International Conservation at (703) 358-1754 or [WWB\\_Africa@fws.gov](mailto:WWB_Africa@fws.gov).

## **15.652 UNDESIRABLE/NOXIOUS PLANT SPECIES**

(Weeds Program)

### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

### **AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); and National Wildlife Refuge System Administration Act, 16 U.S.C. 668dd.

### **OBJECTIVES:**

To encourage coordination and integration of efforts between the U.S. Fish and Wildlife Service (USFWS) and interested parties to accomplish successful management of undesirable plant species. Projects must conserve, protect, and enhance fish, wildlife and plants for the continuing benefit of the American people.

### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

### **USES AND USE RESTRICTIONS:**

Funds may be used for approved projects on or off Service lands within the landscape of FWS property or projects that facilitate the identification, management and eradication of undesirable plant species. For further information, please contact the regional office.

### **Applicant Eligibility:**

Applicants may be State and local governments, educational institutions, private and public nonprofit organizations, and institutions and private individuals which support the mission of the Service.

### **Beneficiary Eligibility:**

State and local governments; private and public nonprofit organizations; other private and public organizations; and private individuals who support the mission of the Service.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

### **Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or designee approves or disapproves submitted proposals. Criteria for selection are outlined in the funding announcement and application package posted to [Grants.gov](http://Grants.gov). Successful applicant(s) will be notified after selection and confirmation of available funding. An applicant(s) should not initiate a project in expectation of USFWS funding, nor should they purchase materials or begin work until such time as they receive the final award document signed by an authorized Service official.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Awards are anticipated within 90 days or less.

### **Appeals:**

Contact the headquarters or regional office.

### **Renewals:**

Contact the headquarters or regional office.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Project awards are generally from one to five years, depending on the complexity of the project and availability of funds. The five year restriction on the length of time is due to the period of availability of funds, which is limited to the five-year rule. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

### **Reports:**

No program reports are required. No cash reports are required. All projects and activities are monitored for progress and compliance with the agreed upon scope of work. Recipients of funding are required to submit semi-annual financial reports (SF-425, Federal Financial Report). Performance reports are due within 30 days of the award anniversary date. Final performance and financial reports are due within 90 days of the end date of the award period of performance.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend Financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

### **Records:**

Records are required to be maintained for three years following submission of the final expenditure report.

### **Account Identification:**

14-1611-0-1-302.

### **Obligations:**

(Project Grants (Discretionary)) FY 10 \$200,600; FY 11 est \$200,600; and FY 12 est \$200,600

### **Range and Average of Financial Assistance:**

3,000 to 80,500.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Fish and Wildlife Service has collaborated and will continue to collaborate with private, State, and county government to jointly address issues surrounding the management of noxious and undesirable plant species. Fiscal Year 2011: The Fish and Wildlife Service has collaborated and will continue to collaborate with private, State, and county government to jointly address issues surrounding the management of noxious and undesirable plant species. Fiscal Year 2012: The Fish and Wildlife Service has collaborated and will continue to collaborate with private, State, and county government to jointly address issues surrounding the management of noxious and undesirable plant species.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

### **Regional or Local Office:**

See Regional Agency Offices. Contact Regional offices.

**Headquarters Office:**

U.S. Fish and Wildlife Service U.S. Department of the Interior, National Wildlife Refuge System, 4401 N. Fairfax Drive, Suite 670 , Arlington, Virginia 22203 Phone: (703) 358-1744 Fax: (703) 358-2248.

**Website Address:**

<http://www.fws.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Teton County Weed & Pest Control District (\$28,000); award to State of Oregon, Department of Corrections (\$10,000); Ducks Unlimited, Inc. (\$20,500). Fiscal Year 2011: Projects not yet selected for funding. Projects will address issues surrounding the management of noxious and undesirable plant species. Fiscal Year 2012: Projects not yet selected for funding. Projects will address issues surrounding the management of noxious and undesirable plant species.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the basis of lasting effect on conservation, preservation, wildlife and their habitats.

**15.653 NATIONAL OUTREACH AND COMMUNICATION PROGRAM (NOC )****FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Transportation Equity Act for the 21st Century 1998, Public Law 105-178, 112 Stat. 107, 23 U.S.C. 101, Sportfishing and Boating Safety Act of 1998, Section 7402, Public Law 105-178, Subtitle D.

**OBJECTIVES:**

To improve communications with anglers, boaters, and the general public regarding angling and boating opportunities, to reduce barriers to participation in these activities, to advance adoption of sound fishing and boating practices, to promote conservation and the responsible use of the nation's aquatic resources, and to further safety in fishing and boating.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Project work should occur within the scope of the Strategic Plan for the Outreach and Communication Program as required by the Sportfishing and Boating Safety Act of 1998, or if work is to be conducted outside of the range, the proposal should show a clear relevance to the Strategic Plan. Applied research projects should address specific management needs and actions. For further information, please contact regional office.

**Applicant Eligibility:**

Participation limited to applicant with expertise to conduct work within the scope of the Strategic Plan for the Outreach and Communication Program as required by the Sportfishing and Boating Safety Act of 1998, or if work is to be conducted outside of the range, the proposal should show a clear relevance to the Strategic Plan.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

To apply for grant funds, the applicant must provide documentation of marketing expertise in Sport fishing and Boat Safety and submit an online application through Grants.gov. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D Construction)

**Award Procedure:**

Funding recommendations, based upon a process outlined in the funding announcements, will be forwarded to the Awarding Official. Applicants will be notified by Awarding Official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within 120 days.

**Appeals:**

Contact the headquarters or regional office.

**Renewals:**

Contact the headquarters or regional office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements will normally be awarded in, but not restricted to, 12-month budget periods. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. The recipient shall submit progress and financial reports as specified in the award. At a minimum, the recipient shall submit an SF-425, Federal Financial Report within 90 days of the one year anniversary date of the award. A final SF-425 is due within 90 days of the end of the award period of performance. At a minimum, a performance progress report summarizing accomplishments and including an explanation of any milestones not accomplished is to be submitted within 90 days of the one year anniversary date of the award. A final performance progress report is due within 90 days of the end of the award period of performance; one copy of all printed products completed using awarded funds is also due within 90 days of the end of the award period of performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the financial report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$12,850,523; FY 11 est \$12,514,238; and FY 12 est \$12,600,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program accomplishments included the enhancement of the TakeMeFishing web site, a joint venture with state fish and wildlife agencies that resulted in the sale of an additional 314,000 fishing license and permits, a trial program to increase the renewal rate of lapsed boat registrations. Fiscal

Year 2011: Anticipated program accomplishments include implementing the Explore the Blue aquatic education program, continuing to increase usage of the Take Me Fishing web site, and refinements to the on-line interactive fishing and boating access web site. Fiscal Year 2012: Anticipated program accomplishments include generating the sale of more than 300,000 additional fishing license sales, generating more than 85,000 new Anglers Legacy Ambassador pledges, and educating more than 200,000 children on the use of aquatic resources and safe boating practices through various education programs and activities.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines and literature on the U.S. Fish and Wildlife Service programs is available at: <http://fws.gov> and <http://www.fws.gov/contracts/index.html>. Federal financial assistance regulations and relevant OMB circulars are located at <http://www.whitehouse.gov/omb/circulars/index.html>, <http://www.doi.gov/pam/financialassistance.html>.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Recreational Boating and Fishing Liaison 4401 N. Fairfax Drive, MS-3103-AEA, Arlington, Virginia 22203 Phone: (703) 358-2435.

#### **Website Address:**

<http://www.fws.gov/conservationpartnerships/>.

#### **RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.616 Clean Vessel Act; 15.622 Sportfishing and Boating Safety Act; 15.628 Multistate Conservation Grant Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples include the TakeMeFishing.org web site and the Anglers Legacy Program. Fiscal Year 2011: Examples include the TakeMeFishing.org web site and the Anglers Legacy Program. Fiscal Year 2012: Examples include the TakeMeFishing.org web site and the Anglers Legacy Program.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Each grant application will be reviewed for documentation required in the Program Guidelines and Application Kit.

### **15.654 VISITOR FACILITY ENHANCEMENTS - REFUGES AND WILDLIFE**

Refuges and Wildlife

#### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

#### **AUTHORIZATION:**

Fish and Wildlife Conservation Act of 1934 (16 U.S.C. 2901-2911); Fish and Wildlife Act of 1956 (16 U.S.C. 742(a)-754); Refuge Recreation Act of 1962 (16 U.S.C. 460k-460k(4)); National Wildlife Refuge System Administration Act of 1966 (16 U.S.C. 668dd); Youth Conservation Corps Act of 1972 (16 U.S.C. 1701-1706); Archaeological Resources Protection Act of 1979 (16 U.S.C. 470aa-47011); The National Wildlife Refuge System Act of 1997 (Public Law 105-57); National Wildlife Refuge System Volunteer and Community Partnership Act of 2004 (Public Law 108-327).

#### **OBJECTIVES:**

To provide technical and financial assistance to identify, protect, conserve, manage, enhance, or restore the ecological condition of the National Wildlife Refuge System (NWRS) trust resources through work on and off NWRS lands.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

#### **USES AND USE RESTRICTIONS:**

Funds may be used for approved activities that support the objectives of the National Wildlife Refuge System (NWRS). For further information, please contact regional office.

#### **Applicant Eligibility:**

Applicants may be State and local governments, private, public, nonprofit

organizations, institutions and private individuals, which support the mission of the Service.

#### **Beneficiary Eligibility:**

State and local governments; private and public nonprofit organizations; other private and public organizations; and private individuals who support the mission of the Service.

#### **Credentials/Documentation:**

43 CFR Part 12 establishes requirements for grants awarded by agencies of the U.S. Department of the Interior. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. At a minimum, applicant must complete the Standard Form (SF)-424, and the appropriate Budget and Assurances forms (SF-424A and SF-424B Non-construction; or SF-424C and SF-424D Construction).

#### **Award Procedure:**

The regional Refuge Chief, or designee, will approve/disapprove proposed projects. Regional Offices are responsible for notification of grant approval to the grantee by return of a completed agreement.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30-60 days. Target is approximately 45 working days after receipt of proposal/application, dependent upon the complexity of the agreement.

#### **Appeals:**

Contact the headquarters or regional office.

#### **Renewals:**

Projects may be renewed as needed, if justified and depending on the availability of funds.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: No matching is required; however, matching funds are encouraged.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

The release of assistance funds may vary depending upon the recipient. Regional Office staff can explain procedures for requiring either lump sum or quarterly payment methods. See the following for information on how assistance is awarded/released: The release of assistance funds may vary depending upon the recipient. Regional Office staff can explain procedures for requiring either lump sum or quarterly payment methods.

#### **Reports:**

No program reports are required. No cash reports are required. The recipient shall submit progress and financial reports as specified in the award. At a minimum, the recipient shall submit an SF-425, Federal Financial Report within 90 days of the one year anniversary date of the award. A final SF-425 is due within 90 days of the end of the award period of performance. An interim performance progress report summarizing accomplishments and including an explanation of any milestones not accomplished may be required and is to be submitted within 90 days of the one year anniversary date of the award. A final performance progress report is required and is due within 90 days of the end of the award period of performance.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June



27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for agreements awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for agreements awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$2,799,000; FY 11 est \$2,799,000; and FY 12 est \$2,799,000 - Visitor Services. (Cooperative Agreements (Discretionary Grants)) FY 10 \$9,973,000; FY 11 est \$9,973,000; and FY 12 est \$9,973,000 - Wildlife and Habitat Management. (Cooperative Agreements (Discretionary Grants)) FY 10 \$110,000; FY 11 est \$110,000; and FY 12 est \$110,000 - Conservation Planning.

**Range and Average of Financial Assistance:**

\$1,000 to \$1,000,000, or greater.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program addressed the ecological condition of Refuge System lands; performed conservation work at landscape scales both on and off Refuge System lands; and improved quality of wildlife-dependent recreation for Refuge System visitors. Fiscal Year 2011: (anticipated): Program will address the ecological condition of Refuge System lands; performed conservation work at landscape scales both on and off Refuge System lands; and improved quality of wildlife-dependent recreation for Refuge System visitors. Fiscal Year 2012: (anticipated): Program will address the ecological condition of Refuge System lands; performed conservation work at landscape scales both on and off Refuge System lands; and improved quality of wildlife-dependent recreation for Refuge System visitors.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cooperative agreements/project grants are administered in conformance with the U.S. Fish and Wildlife Service Administrative Service Manual and 43 CFR 12.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Please visit [www.fws.gov/refuges](http://www.fws.gov/refuges) to locate the Regional and Local Office contacts.

**Headquarters Office:**

Assistant Director, Fish and Wildlife Service, Department of the Interior, National Wildlife Refuge System, 4401 N. Fairfax Drive, Suite 670, Arlington, Virginia 22203 Phone: (703) 358-1744 Fax: (703) 358-2248.

**Website Address:**

[www.fws.gov](http://www.fws.gov) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Support for conservation-related conferences through work with Friends Groups and partners; Invasive species work both on- and off-refuge lands; support for migratory bird-related programs with partners. Fiscal Year 2011: Projects not yet selected for funding. Program anticipates providing support for projects similar to those funded in FY10. Fiscal Year 2012: Projects not yet selected for funding. Program anticipates providing support for projects similar to those funded in FY10 and FY11.

**CRITERIA FOR SELECTING PROPOSALS:**

Program specific criteria is specified in the announcements of the individual financial assistance programs.

**15.655 MIGRATORY BIRD MONITORING, ASSESSMENT AND CONSERVATION**

(Migratory Bird)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; Migratory Bird Treaty Act, 16 U.S.C. 709a.

**OBJECTIVES:**

Working with others to conserve, enhance, and better understand the ecology and habitats of migratory bird species.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grants and payments may be used for the conservation of any bird species protected by the Migratory Bird Treaty Act. Special emphasis will be placed on bird species listed in USFWS conservation and management priorities documents (e.g. USFWS Birds of Conservation Concern 2008, Focal Species list). Implementing national, regional, flyway Bird Conservation Region, and state-level bird conservation plans (e.g., Partners in Flight North American Landbird Conservation (<http://www.partnersinflight.org>), U.S. Shorebird Conservation Plan (<http://shorebirdplan.fws.gov>) North American Waterbird Conservation Plan (<http://birdhabitat.fws.gov/NAWMP/nawmphp.htm>) are among the Service's highest priorities. Projects related to the priorities identified in these plans will receive the greatest funding consideration. Projects should address one or more of the following activities: a) Population surveys and monitoring to determine the status, trends, and distribution of bird species and groups of concern. Emphasis will be placed on landscape-level applications of standardized inventory and monitoring protocols (e.g., Breeding Bird Atlases, national marshbird call playback surveys). Local-scale monitoring (e.g., local land management units) activities will generally not be a focus of this program; b) Applied research, including but not limited to, studies of habitat requirements, limiting factors, and population responses to habitat conservation activities; development of new monitoring techniques and programs for poorly-surveyed species; and use of Geographic Information Systems, bird habitat modeling, and similar tools to identify bird habitat focus areas and further bird conservation planning efforts; c) Compilation of technical information, such as status reviews of bird species of concern, development of habitat management and restoration guidelines, and other outreach and education tools. Habitat management projects are generally not covered under this program. For further information, please contact the regional office.

**Applicant Eligibility:**

Federal; Interstate; Intrastate; State; Local; including Tribal Government; Public Nonprofit Institution/Organization; Other Public Institution/Organization; Federally Recognized Tribal Government; U.S. Territory or Possession; Institutions of Higher Education including Public Private, State College, University, Junior, and Community College; Individual/Family; Specialized Group; Small Business; Profit Organization; Private Nonprofit Institution/Organization; Quasi-Public Nonprofit Institution/Organization; Other Private Institution/Organization; or Native American Organization.

**Beneficiary Eligibility:**

Federal; Interstate; Intrastate; State; Local; including Tribal Government; Public Nonprofit Institution/Organization; Other Public Institution/Organization; Federally Recognized Tribal Government; U.S. Territory or Possession; Institutions of Higher Education including Public Private, State College, University, Junior, and Community College; Individual/Family; Specialized Group; Small Business; Profit Organization; Private Nonprofit Institution/Organization; Quasi-Public Nonprofit

Institution/Organization; Other Private Institution/Organization.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Pre-application coordination is not required. Environmental impact information may be required and will be specified in program funding opportunity postings on Grants.gov. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Projects and informal or formal proposals may be requested by the Regional or National Migratory Bird Program office directly from appropriate eligible applicants. These funding opportunities will be posted at [www.grants.gov](http://www.grants.gov) and will clearly outline the required forms or supplements (e.g. SF-424, full budget, etc.). Unsolicited project proposals from eligible applicants may also be submitted for consideration to Regional or National offices. Projects may also be mutually developed by the Regional or National office and appropriate eligible applicants. All projects contain mutually agreed upon deliverables and funding. Applicant must complete the Standard Form (SF)-424, and the appropriate Budget Assurances forms (SF-424A and SF 424B - Non-construction; or SF-424C and SF-424D - Construction).

**Award Procedure:**

The Migratory Bird Program Chief reviews and approves conservation projects based on proposals meeting the objectives. Once a proposal is accepted and mutually agreed upon deliverables and funding are approved, a formal agreement is written. Upon signing both parties, work can begin.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on funding a proposal are usually made no later than 180 days after receipt of the proposal. However, funding opportunities may present themselves at a later opportunity at which time projects may be reconsidered.

**Appeals:**

Not Applicable.

**Renewals:**

An award may be modified at the discretion of the issuing Regional or National office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance of awards will vary. The time phasing of assistance will vary based on timing of appropriation and funding opportunity posting dates and deadlines. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects and activities are monitored for progress and for compliance with award scope of work. The recipient shall submit progress and financial reports as specified in the award. At a minimum, a performance progress report summarizing accomplishments and including an explanation of any milestones not accomplished is to be submitted within 90 days of the one year anniversary date of the award. A final performance progress report is due within 90 days of the end of the award period of performance. All project reports may be evaluated and reviewed by project supervisor and his or her appointees, including but not limited to outside sources such as other appropriate federal; staff at national and regional levels, state and local government employees, and other individuals

with project area expertise, to insure quality and fulfillment of obligation. At a minimum, the recipient shall submit an SF-425, Federal Financial Report within 90 days of the one year anniversary date of the award. A final SF-425 is due within 90 days of the end of the award period of performance. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12 C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Cooperative Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$3,889,700; FY 11 est \$3,300,000; and FY 12 est \$2,850,000

**Range and Average of Financial Assistance:**

Information not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Regional Migratory Bird offices have provided funding to support bird conservation projects such as; Improving the Design and Method of the No. Am Breeding Bird Survey for High Elevation and Grassland Landbirds in the Northeast; Implementing the National Marsh bird Survey in Florida; and Surveys to Inform Habitat Management Decisions. Fiscal Year 2011: (anticipated): Funds will support the Urban Treaty Program, part of the new 21st Century Youth Corps initiative; the Development and Evaluation of a Parts collection Survey for White-winged Doves in Southwestern U.S., this award will be used to implement a White-winged dove wing survey. Research on avian collisions with communication towers, particularly during migration, research will build upon previous research and allow us to further quantify the avian fatalities under towers with different lighting systems and heights in different regions. Fiscal Year 2012: (anticipated): We plan to continue supporting bird conservation projects similar to prior fiscal years. The number of projects funded will depend upon annual appropriations and program priorities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Additional information is available from Regional and National Migratory Bird Offices as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Chief, Migratory Bird Bird Monitoring, Assessment and Conservation, Fish and Wildlife, Department of the Interior, 4401 N Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-1754.

**Website Address:**

<http://www.fws.gov/migratorybirds/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Shorebird Surveys along the Peruvian Coast; Continental marsh bird monitoring program to survey birds in salt and freshwater marshes

throughout the state of Florida. Fiscal Year 2011: Multiple Grants to support the Urban Treaties Program in various U.S. cities; continuation of long-term monitoring program (breeding population size, nesting biology, productivity, and survival and recovery rates) of various goose populations in the Mississippi Flyway. Fiscal Year 2012: (anticipated): Projects not yet selected for funding. Anticipated to provide funding for bird conservation project similar to those selected in FY10 and FY11.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.656 RECOVERY ACT FUNDS - HABITAT ENHANCEMENT, RESTORATION AND IMPROVEMENT.**

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**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009; Fish and Wildlife Act of 1956, 16 U.S.C 742a-742j; Sikes Act of 1974, as amended, 16 U.S.C 670a-670o; Fish and Wildlife Coordination Act of 1958, 16 U.S.C 661-667; Marine Mammal Protection Act of 1972, as amended, Public Law 92-522; Alaska National Interest Lands Conservation Act, 16 U.S.C 3101; Great Lakes Fish and Wildlife Restoration Act, as amended; Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990, as amended, 16 U.S.C 4701-4741; Partners for Fish and Wildlife Act, 16 U.S.C 3771; Endangered Species Act of 1973, 16 U.S.C 1531.

**OBJECTIVES:**

To provide technical and financial assistance to identify, protect, conserve, manage, enhance or restore habitat or species on both public and private lands.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Assistance is provided to fund projects that improve habitat and/or any related activity necessary to accomplish this goal. Funds may be used for habitat assessments, protection and restoration of public and private land and may include alternative/renewable energy efficient projects. Funds may also be used to encourage public usage by providing access and education. Providing fish passage and stocking of fish from National and/or State Fish Hatcheries and advising on wildlife management techniques may be management tools considered. Working with interns on habitat restoration projects is acceptable. For further information, please contact the regional office.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

43 CFR Part 12 establishes requirements for grants awarded by agencies of the U.S. Department of Interior. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application procedures are specified in [www.grants.gov](http://www.grants.gov), which require, at a minimum, the submission of a project proposal along with the completed SF 424 Application for Federal Assistance.

**Award Procedure:**

The Regional Director of the Fish and Wildlife Service or the designee will approve or disapprove proposed projects. Regional Offices are responsible for notification of grant approval to the grantee by return of a completed agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 45 working days after receipt, dependent upon the complexity of the Cooperative Agreement.

**Appeals:**

None.

**Renewals:**

Projects may be renewed as needed, if justified and if funds are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: No matching is required, however, matching funds are encouraged to allow for additional restoration.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Recovery Act places restrictions on the time permitted to spend the money awarded. The Regional Office Contact Person can further explain the restrictions placed upon the time period to fully spend the money awarded under the project. See the following for information on how assistance is awarded/released: The release of assistance award funds may vary depending upon the recipient. The Regional Office Contact Person can further explain the procedures for requiring either lump sum or quarterly payment methods.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional performance reporting requirements as described in the award terms and conditions, announcement packages available on [www.grants.gov](http://www.grants.gov), and [Recovery.gov](http://Recovery.gov). Financial Status Report, using the Federal Financial Report (SF-425), are required for each grant or grant segment annually within 90 days after the anniversary date and/or end date of the agreement. Additional recipient reporting requirements of the Recovery Act will be identified in the agreement. A Performance Report is required for each grant or grant segment annually within 90 days after the anniversary date and/or end date of the agreement. Additional recipient reporting requirements of the Recovery Act will be identified in the agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each awarded cooperative agreement. Records, accounts and supporting documents must be retained for 3 years after submission of final financial and performance reports. If questions, such as those raised as the results of audits, remain following the 3-year period, recipients must retain records until all matters are resolved.

**Account Identification:**

14-1613-1-1-302 - 1403101613 TAFS, 105R Fund Code; 14-1610-1-1-302 - 1409101610 TAFS, 109R Fund Code.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$8,356,591; FY 11 est \$0; and FY 12 est \$0 - CFDA should remain active through FY12 to allow for currently funded awards to be completed and any associated amendments to government-wide reporting system records to be submitted.

**Range and Average of Financial Assistance:**

Projects may range from \$1,000 to \$1,000,000, or greater.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FWS provided support for 145 grants and cooperative agreements to identify, protect, conserve, manage, enhance or restore habitat or species on both public and private lands. Fiscal Year 2011: No new funding

expected in FY11. Fiscal Year 2012: No new funding expected in FY12.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Please visit [www.fws.gov](http://www.fws.gov) to locate the Regional and Local Office contacts.

**Headquarters Office:**

Assistant Director, Fisheries and Habitat Conservation, Fish and Wildlife Service, Department of the Interior, 1849 C Street, N.W., Washington, District of Columbia 20240 Phone: (202) 208-6394 Fax: (202) 208-4674.

**Website Address:**

<http://www.fws.gov>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance; 15.630 Coastal Program; 15.631 Partners for Fish and Wildlife; 66.708 Pollution Prevention Grants Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FWS provided support for 145 grants and cooperative agreements to identify, protect, conserve, manage, enhance or restore habitat or species on both public and private lands. Examples of projects funded include: Survey of Heavy Pigtoe, Alabama River; Hydrologic restoration of degraded wetlands in Lake Huron/Saginaw Bay watershed; Northern Tallgrass Prairie Invasive Species Control; Bovine Spring Restoration Project for Striped Bass Recovery; South Florida Marsh and Mangrove Swamp Restoration/Enhancement; Lake Michigan Watershed Wetland Restoration; Copperbelly Watersnake Habitat Improvement. Fiscal Year 2011: No new awards were made in FY11. Fiscal Year 2012: No new awards will be made in FY12.

**CRITERIA FOR SELECTING PROPOSALS:**

Program specific criteria is specified in the announcements of the individual financial assistance programs.

**15.657 ENDANGERED SPECIES CONSERVATION RECOVERY IMPLEMENTATION FUNDS**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et. seq, as amended; Public Law 93-205, 87 Stat. 884, Endangered Species Act Amendments of 1978, Public Law 95-632, 92 Stat. 3751, and Endangered Species Act Amendments of 1982, Public Law 97-304, 96 Stat. 1411.

**OBJECTIVES:**

To provide federal financial assistance to secure endangered or threatened species information, undertake restoration actions that will lead to delisting of a species; help prevent extinction of a species, or aid in the recovery of species. The purpose of the Endangered Species Act is to provide a means by which the ecosystems upon which endangered and threatened species depend may be conserved, to provide a program for the conservation of these species, and to take appropriate steps to achieve the purposes of treaties and conventions set forth in the law.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

This opportunity is limited to projects carrying out actions described in a species' approved recovery plan, in the implementation schedule of a species' approved recovery plan, actions recommended in complete 5-year status review of the species or in a spotlight species action plan, or projects documenting species' response to climate change. These are discretionary funds that are used for project purposes to help ensure the use of the best available scientific information in making management decisions. The percentage of funds set aside for discretionary activities varies each year. For further information, please contact the regional office.

**Applicant Eligibility:**

State and local government agencies. Institutions of higher education, including public, private state colleges and universities, nonprofits that have 501(c)(3) status with the IRS, Native American tribal organizations (other than recognized tribal governments), city, county or township governments, individuals, Native American tribal governments (federally-recognized), for-profit organizations, and small businesses.

**Beneficiary Eligibility:**

State and local government agencies, institutions of higher education, including public, private, state colleges and universities, nonprofits that have a 501(c)(3) status with the IRS, Native American tribal organizations (other than recognized tribal governments), city, county or township governments, individuals, Native American tribal governments (federally-recognized), for-profit organizations, and small businesses.

**Credentials/Documentation:**

Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule), identifies Federal cost principles for determining allowable cost. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

FWS Regional and Field Office contacts can provide specific information on the amount of funding available, as well as Regional recovery priorities. We encourage you to contact the appropriate FWS Regional and Field Office contacts to discuss potential projects. If funding is available and the potential project addresses a high priority Regional recovery need, then the Regional contact will refer the potential applicant of the appropriate FWS Ecological Services Field Office for further coordination. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The following Federal regulations apply to this program: (1) Federal Acquisition Regulation Subpart 31.2; 2 CFR Parts 215, 220, 225, 230; 43 CFR Parts 12 and 18; and 48 CFR 31. The following OMB Circulars apply to this program: OMB Circular No. A-102 and A-133. Applicant must complete the Standard Form (SF)-424, and the appropriate Budget and Assurances forms (SF-424A and SF-424B Non-construction; or SF-424C and SF-424D Construction). Applicants must also submit a project summary page, and a project description. The project description section of the application should address the evaluation factors identified in the Full Announcement posted on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Awards will be announced by August 1 of each Fiscal Year via letters sent directly to the applicants. No work may begin on a project until the appropriate legal contracting or procurement documents, and the required environmental compliance documents, have been signed by the authorized FWS official. Unsuccessful applicants will be notified either by letter, fax, email or by telephone.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applications are due by July 2 of each year so that the proposal selection and funding process can be completed before the end of each Fiscal Year (September 30). However, you may submit applications throughout the year. Consideration of applications will ultimately be based on the FWS budget cycle. We encourage partners (especially existing partners who already have a working relationship with local FWS Field Offices) to talk to the local FWS Field Offices about possible project ideas and submittal timeframes.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. However, project applicants are not prohibited from submitting applications for consideration for subsequent funding for multi-year projects though there is no governmental guarantee that multiple years of the project

will be funded.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The funding is for projects that can be completed within 1 year of the award date. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. No cash reports are required. Recipients of Recovery Implementation funding will be required to provide a written final report for each funded project detailing project results. If a project is funded for more than one year, the recipient will be required to provide a written, annual report at the end of each year detailing the status of each project, in addition to the final report when the project is completed. In general, OMB Circulars A-102 Sections 40 and 41, and 2 CFR 215 specify requirements for both financial and program performance reporting. A performance report is due annually within 90 days of the anniversary of the start date of the funding award and a final report is due 90 days after the funding expiration. Award recipients may be required to complete the following financial form: Standard Form (SF)-425, Federal Financial Report. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years following the submission of the final expenditure report or until final action has been taken on any litigation, claim or audit finding.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$3,114,182; FY 11 est \$500,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

Varies by Region.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Recovery Implementation funds are intended for projects that will contribute to the recovery of FWS-managed endangered and threatened species in the United States, and is limited to projects carrying out actions described in a species approved recovery plan.

In FY 2010, over \$3.1 million was awarded to fund 31 projects across the country. Fiscal Year 2011: Assuming the average grant award remains the same as in FY2010, \$100,457, we expect to be able to fund approximately five projects in FY 2011. We intend to continue to fund conservation actions including securing scientific information about endangered or threatened species, implementing restoration actions that will lead to delisting of a species, help prevent extinction of a species, or aid in the recovery of a species. Projects that address species response to climate change will receive additional consideration. Fiscal Year 2012: Assuming the average grant award remains the same as in FY2010, \$100,457, we expect to be able to fund approximately five projects in FY 2012. We intend to continue to fund conservation actions including securing scientific information about endangered or threatened species, implementing restoration actions that will lead to delisting of a species, help prevent extinction of a species, or aid in the recovery of a species. Projects

that address species response to climate change will receive additional consideration.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A table lists administrative requirements that may apply.

**Regional or Local Office:**

See Regional Agency Offices. A list of Regional and Field Office contacts may be accessed at 15.657 posted on grants.gov.

**Headquarters Office:**

Chief, Endangered Species, Division of Consultation, HCPs, Recovery and State Grants, 4401 N. Fairfax Dr., Room 420, Arlington, Virginia 22203 Phone: (703) 358-2171.

**Website Address:**

<http://www.fws.gov/endangered/recovery/index.html>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration; 15.615 Cooperative Endangered Species Conservation Fund; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Recovery Implementation funds are used to fund conservation projects that will contribute to the recovery of FWS-managed endangered and threatened species in the United States, and is limited to projects carrying out actions described in a species approved recovery plan. Such actions funded in FY 2010, include the translocation of endangered beach mice; studying the life history, genetics, and captive propagation protocol development of the royal snail; surveying, collecting, and reintroducing threatened and endangered Hawaiian plants; identifying high priority habitat areas for protection for shrubby reed-muster; and installing habitat protection measures to minimize the threats to Cumberland sandwort from recreational activities. Fiscal Year 2011: We intend to fund similar projects in FY 2011 to contribute to the recovery of FWS-managed endangered and threatened species in the United States. Fiscal Year 2012: We intend to fund similar projects in FY 2012 to contribute to the recovery of FWS-managed endangered and threatened species in the United States.

**CRITERIA FOR SELECTING PROPOSALS:**

This opportunity is limited to projects carrying out actions described in a species approved recovery plan, in the implementation schedule of a species approved recovery plan, actions recommended in a completed 5-year status review of the species or in a spotlight species action plan, or projects documenting species response to climate change.

**15.658 NATURAL RESOURCE DAMAGE ASSESSMENT, RESTORATION AND IMPLEMENTATION**

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**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Oil Pollution Act of 1990, Public Law 101-380; Fish and Wildlife Act of 1956, 16 U.S.C 742a-742j; Comprehensive Environmental Response, Compensation and Liability Act, 42 U.S.C 9601, et seq.; Federal Water Pollution Control Act, 33 U.S.C 1251-1387.

**OBJECTIVES:**

To restore natural resources injured by oil spills or hazardous substance releases. This is to be done by Natural Resource Trustees; seeking and identifying natural resources injured, determining the extent of the injuries, recovering damages from responsible parties, and planning and carrying out natural resource restoration activities.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Assistance is provided to individual and groups to fund assessments, implementation, recovery of damages or any related restoration activity necessary to meet the intent of the Natural Resource Damage Assessment and Restoration program. For further information, please contact the regional office.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B - Non-construction; or SF 424C and SF 424D - Construction) Application for Federal Assistance.

**Award Procedure:**

The Regional Director of the Fish and Wildlife Service or his or her designee approves or disapproves of proposed projects. Regional Offices are responsible for notifying the grantee of grant approval by the return of a completed agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 45 working days after receipt, dependent upon the complexity of the agreement.

**Appeals:**

Not Applicable.

**Renewals:**

Project may be renewed as needed, if justified and if funds are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: There are no matching fund requirements, however, matching funds are encouraged to allow for additional restoration. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project duration is between 1 and 5 years. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A performance report is required for each grant award annually within 90 days after the anniversary date. A final performance report is due within 90 days of the end of the award period of performance. Submission of payment requests using the SF-270, Request for Advance or Reimbursement (Non-Construction) or SF-271, Outlay Report and Request for Reimbursement (Construction) satisfies interim financial reporting requirements. A final SF-425, Federal Financial Report is required 90 days from the end date of the award. This form can be accessed on the Internet at [http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/). For additional information regarding financial reporting requirements and sanctions for noncompliance please see [http://www.doi.gov/pam/financialassistance/postaward/docs/Policy\\_regarding\\_Fin\\_Status\\_Reporting\\_Req.pdf](http://www.doi.gov/pam/financialassistance/postaward/docs/Policy_regarding_Fin_Status_Reporting_Req.pdf). Financial and performance reporting frequency and other requirements will be detailed in the award terms and conditions. Interim reports will not be requested more frequently than quarterly, and no less frequently than annually. Interim reports are due 30 calendar days after the expiration of the quarter/midterm/year anniversary, as appropriate. Final reports are required within 90 calendar days from the end date of the award.

A final performance report is required within 90 calendar days from the end

date of the award. Performance reports must contain a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work, a description of reasons why established goals were not met, if appropriate, and any other pertinent information relevant to the project results.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each awarded grant. Records, accounts and supporting documents must be retained for 3 years after submission of final financial and performance reports.

**Account Identification:**

14-1611-0-1-302; 14-1618-0-1-302; 14-5198-1-4-303 - Recovered.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$7,169,352; FY 11 est \$4,770,558; and FY 12 est \$9,500,000 - Obligations, by program activity.

**Range and Average of Financial Assistance:**

Projects may range from \$1,000 to \$1,000,000 or greater.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Enhanced/Restored: 3,593 acres and 85 riparian/shoreline miles. Managed/Protected 66,107 acres and 301 riparian/shoreline miles. Made available for recreation: 701 acres and 269 riparian/shoreline miles. Fiscal Year 2011: (anticipated): Enhanced/Restored: 4,651 acres and 72 riparian/shoreline miles.

Managed/Protected 115,759 acres and 294 riparian/shoreline miles. Made available for recreation: 56,495 acres and 267 riparian/shoreline miles. Fiscal Year 2012: (anticipated): Enhanced/Restored: 4,651 acres and 72 riparian/shoreline miles.

Managed/Protected 115,759 acres and 294 riparian/shoreline miles. Made available for recreation: 56,495 acres and 267 riparian/shoreline miles.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Please see [www.fws.gov](http://www.fws.gov) to locate Regional and Local Office Contacts.

**Headquarters Office:**

Chief, Division of Environmental Quality U.S. Fish and Wildlife Service, 4401 North Fairfax Drive, Rm. 820, Arlington, Virginia 22203 Phone: (703) 358-2171

**Website Address:**

<http://www.fws.gov/contaminants/Issues/Restoration.cfm>

**RELATED PROGRAMS:**

15.236 Environmental Quality and Protection Resource Management; 66.309 Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice; 66.708 Pollution Prevention Grants Program; 66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements; 66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites; 66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Campville Fishing Access project; Moosup River Restoration project; Project to acquire and restore Stone Creek Tipple Site, VA. Fiscal Year 2011: (anticipated): Halfway River Land Protection project; Cressmoor Prairie nature preserve prairie restoration project; Ambler Flatwoods Nature Preserve restoration project; Project to conduct restoration of Freshwater Mussel Populations in the Upper Clinch River Watershed. Fiscal Year 2012:

(anticipated): For FY12, we anticipate funding projects to restore trust species and their habitats to compensate for injuries from contaminant releases and oil spills.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.659 NATIONAL WILDLIFE REFUGE FUND**

Refuge Revenue Sharing

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Refuge Revenue Sharing Act, Public Law 88-523, 78 Stat. 701, 16 U.S.C 715s; Refuge Revenue Sharing Act of 1978, Public Law 95-469, 92 Stat. 1319.

**OBJECTIVES:**

To provide revenue sharing payments to local governments to offset tax losses for fee and withdrawn domain lands within the approved acquisition boundaries, using revenues derived from the sale of products from National Wildlife Refuges and other fee acquisition lands administered solely or primarily by the Service including public domain lands. Congress may appropriate funds to cover any shortfall for payment to counties.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

Counties may use the funds for any governmental purpose and may pass the funds to lesser units of local government within the county that experience a reduction of real property taxes as a result of the existence of fee and withdrawn domain lands.

**Applicant Eligibility:**

Natural Resources (mineral, water, wildlife, land).

**Beneficiary Eligibility:**

Intrastate, State, Local.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Award procedure is available in the grants.gov announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Payments under the Act are made on the basis of: (a) 3/4 of 1 percent of the market value based on the appraised value of the land conducted every 5 years; or (b) 25 percent of the net receipts; or (c) 75 cents per acre. Payment of 25 percent of the net receipts is made to counties for public domain land that was never on the tax rolls. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients shall maintain records in accordance with 43 CFR 12.82 and 12.953.

**Account Identification:**

14-1691-0-1-806; 14-5091-0-2-806.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$17,594,309; FY 11 est \$17,000,000; and FY 12 est \$3,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Eric Alvarez, Fish and Wildlife Service, National Wildlife Refuge System, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Email: a\_eric\_alvarez@fws.gov Phone: (703) 358-1713 Fax: (703) 358-2223.

**Website Address:**

<http://www.fws.gov>

**RELATED PROGRAMS:**

15.226 Payments in Lieu of Taxes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.660 ENDANGERED SPECIES - CANDIDATE CONSERVATION ACTION FUNDS**

None

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, as amended., Public Law 93-205, 87 Stat. 884, 16 U.S.C 1531 et. seq.; Land and Water Conservation Fund Act of 1965, 16 U.S.C 4601.

**OBJECTIVES:**

The objective is to secure endangered, threatened, candidate and other at-risk species information or undertake restoration actions that will help avert federal listing of species, lead to the recovery species, or prevent extinction. The purpose is to provide a means by which the ecosystems upon which endangered and threatened species depend may be conserved, to provide a program for the conservation of these species, and to take appropriate steps to achieve the purposes of treaties and conventions set forth in the law.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The assistance can be used for Candidate Conservation. Funding may be used for actions related to: (1) the development of scientific information that is useful in supporting candidate assessments, conservation actions and candidate conservation agreements; (2) reduce threats to a candidate and other high priority species, such as propagation of imperiled freshwater mussels; or (3) conservation of candidate species, such as biological field work to conduct species surveys; or (4) in a spotlight species action plan, or projects documenting species' response to climate change. These are discretionary funds that are used for project purposes to help ensure the use of the best available scientific information in making management decisions. The percentage of funds set aside for discretionary activities varies each year. For further information, please contact the regional office.

**Applicant Eligibility:**

Natural Resources.

**Beneficiary Eligibility:**

Anyone/general public.

**Credentials/Documentation:**

Cost will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule), identifies Federal cost principles for determining allowable costs. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

FWS Regional Field Office contacts can provide specific information on the amount of funding available, as well as Regional recovery priorities. We encourage you to contact the appropriate FWS Regional and Field Office contacts to discuss potential projects. If funding is available and the potential project address a high priority Regional recovery need, then the Regional contact will refer the potential applicant to the appropriate FWS Ecological Services Field Office for further coordination. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The following Federal regulations apply to this program: (1) Federal Acquisition Regulation Subpart 31.2; 2 CFR Parts 215, 220, 225, 230; 43 CFR Parts 12 and 18; and 48 CFR 31. The following OMB Circulars apply to this program: OMB Circular No. A-102 and A-133. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances Forms (SF 424A and SF 424B - Non-construction; or SF 424C and SF 424D - Construction). Applicants must also submit a project summary page, and a project description. The project description section of the application should address the evaluation factors identified in the Full Announcement posted on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Awards will be announced by August 1 of each Fiscal year via letters sent directly to the applicants. No work may begin on a project until the appropriate legal contracting or procurement documents, and the required environmental compliance documents, have been signed by the authorized FWS official. Unsuccessful applicants will be notified either by letter, fax, email or by telephone.

**Deadlines:**

Jul 02, 2011 Applications are due by July 2 of each year so that the proposal selection and funding process can be completed before the end of each fiscal year (September 30). However, applications may be submitted throughout the year. Consideration of applications will ultimately be based on the FWS budget cycle. We encourage partners (especially existing partners who already have a working relationship with local FWS Field Offices) to talk to the local FWS Field Offices about possible project ideas and submittal timeframes.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

None, however project applicants are not prohibited from submitting applications for consideration for subsequent funding for multi-year projects though there is no governmental guarantee that multiple years of the project will be funded.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The funding is for projects that can be completed within one year of the date of award. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients of Candidate Conservation Action funding will be required to provide a written final report for each funded project detailing project results. If a project is funded for more than one year, the recipient will be required to provide a written, annual report at the end of each year detailing the status of each project, in addition to the final report when the project is completed. In general, OMB circulars A-102 40 and 41, and 2 CFR 215 specify requirements for both financial and program performance reporting. A performance report is due annually within 90 days of the anniversary of the start date of the funding award and a final report is due 90 days after the funding expiration. Funding recipients may be required to complete the following financial form: SF-425, Federal Financial Report. A performance report is due annually within 90 days of the anniversary of the start date of the funding award and a final report is due 90 days after the funding expiration.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years following the submission of the final expenditure report or until final action has been taken on any litigation, claim or audit finding.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$300,000; FY 11 est \$200,000; and FY 12 est \$200,000 - This funding opportunity uses U.S. Fish and Wildlife Service Regional and Field Office discretionary funding, if available. The amount of actual funding available in each Regional and Field Office will vary from year to year. Funding may not be available every year in each Regional or Field Office. If funding is available, it may be obligated on a per-project basis, rather than by fiscal year.

**Range and Average of Financial Assistance:**

Varies by Region.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY10: In Fiscal Year 2010, an estimated 20 projects were funded across all regions including funding for a swallow-tailed kite satellite telemetry project, a status survey for the Cumberland arrow dater, and the monitoring of experimental Louisiana pine snake reintroductions. Fiscal Year 2011: Based on estimated funding in FY 2011 and assuming the average grant amount remains consistent, we expect to be able to fund an estimated 15 projects for similar project activities in the next two fiscal years. Fiscal Year



2012: Based on estimated funding in FY 2012 and assuming the average grant amount remains consistent, we expect to be able to fund an estimated 15 projects for similar project activities in the next two fiscal years.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A table lists administrative requirements that may apply.

**Regional or Local Office:**

See Regional Agency Offices. A list of Regional and Field Office contacts may be accessed at 15.660 posted on grants.gov.

**Headquarters Office:**

Chief, Endangered Species Division of Conservation and Classification, 4401 N. Fairfax Drive, Room 420, Arlington, Virginia 22203 Phone: (703) 358-2171.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

15.615 Cooperative Endangered Species Conservation Fund; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of projects funded in FY 2010, include strategic habitat conservation for two endangered fishes of the Barrens, Eastern Highland Rim in Tennessee; studies of abundance, size structure, and spawning locations of robust redbreast stocked in Ogeechee River, Georgia, and Washington ground squirrel translocation monitoring in Washington State. Fiscal Year 2011: Examples of projects proposed for funding in FY 2011 include surveys and translocations of southern Idaho ground squirrel; funding to monitor remaining populations of Packards milkvetch and identify degrees of threat; and funding to survey private lands in southwest Idaho for Columbia spotted frog. Fiscal Year 2012: Examples of projects proposed for funding in FY2012 include surveys and translocations of southern Idaho ground squirrel; funding to monitor remaining populations of Packards milkvetch and identify degrees of threat; and funding to survey private lands in southwest Idaho for Columbia spotted frog.

**CRITERIA FOR SELECTING PROPOSALS:**

This opportunity is limited to projects carrying out actions for candidate species describe in annual assessment; or for at-risk species in a conservation plan or strategy; or in a spotlight species action plan; or projects documenting species' response to climate change.

**15.661 LOWER SNAKE RIVER COMPENSATION PLAN**

LSRCP

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Water Resources Development Act of 1976, Public Law 94-587; Fish and Wildlife Coordination Act , 16 U.S.C 661-666.

**OBJECTIVES:**

To mitigate for the losses of fish and wildlife caused by the construction of four hydroelectric dams on the lower Snake River by the U.S. Army Corps of Engineers.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

To operate and maintain LSRCP authorized fish hatcheries owned by the U.S. Fish and Wildlife Service, to evaluate survival and harvest of fish released from LSRCP hatcheries, to assess impacts of LSRCP hatcheries and fish released on Endangered Species Act (ESA) listed species and to coordinated LSRCP programs with other fish hatchery and research programs in the Columbia Basin. For further information, please contact the regional office.

**Applicant Eligibility:**

56 - Natural Resources (mineral, water, wildlife, land).

**Beneficiary Eligibility:**

39 - Anyone/general public/Anyone/general public; 49 - Farmer/Rancher/Agriculture Producer.

**Credentials/Documentation:**

Applicants must have legal authority to operate fish hatcheries and release fish in the states of Oregon, Washington and Idaho and demonstrated competence to operate fish hatcheries and conduct scientific research. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application package must include an SF 424 Application for Federal Assistance, a statement of work or production summary, and an estimated budget.

**Award Procedure:**

Applications are evaluated by the LSRCP Program Administrator based on authorizing legislation and program goals. The Assistant Regional Director for Fisheries in the Specific Region approves all cooperative agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications must be submitted by June 1 each year. Applicant will be notified no later than July 31.

**Appeals:**

Not Applicable.

**Renewals:**

Must be submitted each year by June 1.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The LSRCP projects are approved annually. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A final performance report is required 90 calendar days from the end date of the award. No interim SF-425, Federal Financial Reports are required. Submission of payment requests using the SF-270 satisfies interim financial reporting requirements. A final SF-425, Federal Financial Report is required 90 days from the end date of the award. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All files will be maintained for 3 years after the completion of the project and submission of the final financial and performance reports.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$23,600,000; FY 11 est \$24,480,000; and FY 12 est \$25,360,000 - By program activity.

**Range and Average of Financial Assistance:**

Range \$270,803 to \$4,636,534; Average \$1,416,087.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The 12 LSRCP fish hatcheries release about 5.7 million spring Chinook, 6 million steelhead and 3.1 million fall Chinook each year into the Snake Basin. Recreational, tribal, or commercial fisherman harvest were returning adult salmon and steelhead that were released from LSRCP hatcheries in Southeast Alaska, British Columbia, the Columbia River and Snake River. Rainbow trout produced by LSRCP hatcheries are harvested in lakes, rivers and ponds in Idaho and Washington. Fiscal Year 2011: Fish hatcheries will release fish into the Snake Basin. Recreational, tribal, or commercial fisherman harvest tracking to confirm if they are returning adult salmon and steelhead released from LSRCP hatcheries in Southeast Alaska, British Columbia, the Columbia River and Snake River. Expect rainbow trout produced by LSRCP hatcheries to be harvested in lakes, rivers and ponds in Idaho and Washington. Fiscal Year 2012: Fish hatcheries will release fish into the Snake Basin. Recreational, tribal, or commercial fisherman harvest tracking to confirm if they are returning adult salmon and steelhead released from LSRCP hatcheries in Southeast Alaska, British Columbia, the Columbia River and Snake River. Expect rainbow trout produced by LSRCP hatcheries to be harvested in lakes, rivers and ponds in Idaho and Washington.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is operated under the authority of the Water Resources Development Act of 1976. Reports and publications are published on the web at <http://www.fws.gov/snakecomplan>.

**Regional or Local Office:**

See Regional Agency Offices. Local Office: U.S. Fish and Wildlife Service, Lower Snake River Compensation Plan Office, 1387 S. Vinnell Way, Suite 343, Boise, ID 83709, (208)378-5321.

**Headquarters Office:**

FWS Regional Office, All inquiries should be directed to the Local Office listed above. , Portland, Oregon 97232-4181 Phone: (202) 208 3100

**Website Address:**

<http://www.fws.gov/snakecomplan>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Operation and maintenance of the Clearwater, Magic Valley, McCall and Sawtooth fish hatcheries by the State of Idaho, Department of Fish and Game (IDFG). Operation and maintenance of Irrigon, Lookingglass, and Wallowa fish hatcheries by the State of Oregon, Department of Fish and Wildlife (ODFW). Operation and maintenance of the Lyons Ferry and Tucannon fish hatcheries by the State of Washington, Department of Fish and Wildlife (WDFW). Hagerman and Dworshak National Fish Hatcheries for the Chinook program. These programs lead to the production and release of nearly 15 million juvenile salmon and steelhead. LSRCP also funds project which monitor and evaluate survival and harvest of fish production from these facilities. Cooperators for this monitoring program include: IDFG, ODFW, WDFW, the Nez Perce Tribe, the Shoshone-Bannock Tribe and the Confederated Tribes of the Umatilla Indian Reservation. Fiscal Year 2011: Projects will support operation and maintenance of fish hatcheries, juvenile salmon and steelhead release programs, and monitoring and evaluation of survival and harvest rates. Fiscal Year 2012: Projects will support operation and maintenance of fish hatcheries, juvenile salmon and steelhead release programs, and monitoring and evaluation of survival and harvest rates.

**CRITERIA FOR SELECTING PROPOSALS:**

Past program performance which demonstrated competency to fulfill program objectives.

**15.662 GREAT LAKES RESTORATION**

Great Lakes Restoration Initiative; Great Lakes Restoration Program

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Anadromous Fish Conservation Act (16 U.S.C. 757a); Bald Eagle Protection Act (16 U.S.C. 668); Coastal Wetlands Planning, Protection and Restoration Act (16 U.S.C. 3951); Clean Water Act (33 U.S.C. 1254(b)(3)); Comprehensive Environmental Response, Compensation, and Liability Act (42 U.S.C. 103); Emergency Wetlands Resources Act (16 U.S.C. 3901); Endangered Species Act (16 U.S.C. 1561); Fish and Wildlife Act (16 U.S.C. 742a); Fish and Wildlife Conservation Act (16 U.S.C. 2901); Fish and Wildlife Coordination Act (16 U.S.C. 661) Great Lakes Fish and Wildlife Restoration Act (Public Law 109-326); Great Lakes Fishery Act (16 U.S.C. 931); Lacey Act (16 U.S.C. 3371-3378); Migratory Bird Treaty Act (16 U.S.C. 703); Non-indigenous Aquatic Nuisance Prevention and Control Act (16 U.S.C. 4701); North American Wetlands Conservation Act (16 U.S.C. 4401); Partners for Fish and Wildlife Act (16 U.S.C. 3771).

**OBJECTIVES:**

To provide technical and financial assistance to implement the highest priority actions in order to protect and restore the Great Lakes. Priority actions are to: identify, protect, conserve, manage, enhance or restore habitat or species on both public and private lands within the Great Lakes Basin.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

This funding, in conjunction with other Great Lakes federal agency funding opportunities under the Great Lakes Restoration Program, will be used to address the most significant Great Lakes Basin ecosystem problems. Efforts will be made in five major focus areas:

Toxic Substances and Areas of Concern, including pollution prevention and cleanup of the most polluted areas in the Great Lakes.

Invasive Species, including efforts to institute a zero tolerance policy toward new invasions.

Nearshore Health and Nonpoint Source Pollution, including a targeted geographic focus on high priority watersheds and reducing polluted runoff from urban, suburban and agricultural sources.

Habitat and Wildlife Protection and Restoration, including comprehensive assessment of Great Lakes coastal wetlands for the purpose of strategically targeting restoration and protection efforts in a science-based manner.

Accountability, Education, Monitoring, Evaluation, Communication and Partnerships, including the implementation of goal- and results-based accountability measures, learning initiatives, outreach and strategic partnerships. For further information, please contact the regional office.

**Applicant Eligibility:**

Program-specific.

**Beneficiary Eligibility:**

Program-specific.

**Credentials/Documentation:**

43 CFR Part 12 establishes administrative and audit requirements for assistance awarded by bureaus of the U.S. Department of Interior. 43 CFR 2 also applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The application procedures are specified on [www.grants.gov](http://www.grants.gov). At minimum, the applicant must submit a project proposal along with the completed SF 424 Application for Federal Assistance.

An applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D Construction).

**Award Procedure:**

Program requirements are specified in the announcements of the individual financial assistance programs. More information on Great Lakes Restoration

Initiative programs is available at <http://greatlakesrestoration.us/action/?p=161>.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Great Lakes Restoration Initiative places restrictions on the time permitted to spend the funds awarded. The Regional Office Contact Person can further explain the restrictions placed on the time period in which to fully expend the funds awarded under the project. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Projects funded under the Great Lakes Restoration Initiative will have performance and financial reporting requirements as described in the award terms and conditions and announcement packages available on [www.grants.gov](http://www.grants.gov) and [www.greatlakesrestoration.us](http://www.greatlakesrestoration.us). At a minimum, the recipient is required to submit a final SF-425, Federal Financial Report within 90 days of the end of the award period of performance. Projects funded under the Great Lakes Restoration Initiative will have additional performance reporting requirements as described in the award terms and conditions; and announcement packages available on [www.grants.gov](http://www.grants.gov) and [www.greatlakesrestoration.us](http://www.greatlakesrestoration.us).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each awarded cooperative agreement. Records, accounts and supporting documents must be retained for 3 years after submission of final financial and performance reports. If questions, such as those raised as the results of audits, remain following the 3-year period, recipients must retain records until all matters are resolved.

**Account Identification:**

14-1611-0-1-302 -.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$69,000,000; FY 11 est \$47,000,000; and FY 12 est \$54,000,000

**Range and Average of Financial Assistance:**

Projects may range from \$1,000 to \$1,000,000, or greater.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Implemented more than 130 high priority on-the-ground projects in FY2010 that address aquatic invasive species, environmental contaminants, and protection and restoration of fish and wildlife and habitats. Signed multiple cooperative agreements with States, Tribes and non-governmental organizations to control aquatic invasive species, conserve native lake trout and lake sturgeon populations, and protect rare coastal and island habitat in the Great Lakes. Fiscal Year 2011: Projects not yet selected for

funding. Anticipate continuing to fund projects to address aquatic invasive species, environmental contaminants, and protection and restoration of fish and wildlife and habitats for the protection of rare coastal and island habitat in the Great Lakes. Fiscal Year 2012: Projects not yet selected for funding. Anticipate continuing to fund projects to address aquatic invasive species, environmental contaminants, and protection and restoration of fish and wildlife and habitats for the protection of rare coastal and island habitat in the Great Lakes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Please visit <http://greatlakesrestoration.us/action/?p=161> to locate the appropriate Regional Office Great Lakes program contacts, or visit [www.fws.gov/midwest](http://www.fws.gov/midwest).

**Headquarters Office:**

U.S. Fish and Wildlife Service Department of the Interior, 1849 C Street, N.W., Washington, District of Columbia 20240 Phone: 202-208-6394 Fax: 202-208-4674

**Website Address:**

<http://www.fws.gov/glri>

**RELATED PROGRAMS:**

15.608 Fish and Wildlife Management Assistance; 15.630 Coastal Program; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Remediation and restoration of habitat for fish and wildlife populations in Great Lakes Areas of Concern, including supporting the Great Lakes Legacy Act and Natural Resource Damage Assessment programs; Implementation of an early warning program to identify the effects of emerging contaminants on Great Lakes fish and wildlife; Integrated pest management and prevention of aquatic invasive species, including Asian carp; Implementation of Aquatic Nuisance Species Management Plans among all Great Lakes states; Protection, enhancement and restoration of habitat for Federal trust resources in the Great Lakes such as endangered species, migratory birds, and inter-jurisdictional fish; Implementation of activities through existing programs such as the Great Lakes Fish and Wildlife Restoration Act grant program, Partners for Fish and Wildlife, Great Lakes Joint Venture, Fish Passage, National Wetlands Inventory, and Fish Habitat Partnership programs, among others, to promote healthy populations of trust species in the Great Lakes. Fiscal Year 2011: Projects not yet selected for funding. Anticipate funding projects similar to those funded in FY10. Fiscal Year 2012: Projects not yet selected for funding. Anticipate funding projects similar to those funded in FY10.

**CRITERIA FOR SELECTING PROPOSALS:**

Program criteria are specified in the announcements of the individual financial assistance programs.

**15.663 NATIONAL FISH AND WILDLIFE FOUNDATION**

NFWF

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

National Fish and Wildlife Foundation Establishment Act (16 U.S.C. 3701-3709, Public Law 98-244, March 26, 1984, 98 Stat. 107, as amended by Public Law 100-240, January 11, 1988, 101 Stat. 1785, Public Law 100-653, November 14, 1988, 102 Stat. 3834; and Public Law 103-232, 108 Stat. 336).

**OBJECTIVES:**

Created by Congress in 1984, NFWF directs public conservation dollars to the most pressing environmental needs and matches those investments with private funds. NFWFs method is simple and effective: to work with a full complement of individuals, foundations, government agencies, non-profits, and corporations to identify and fund targeted conservation challenges throughout the nation where a focused investment is likely to result in a conservation success.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

To aid cost-share conservation projects to further the conservation and management of the fish, wildlife, and plant resources of the United States and its territories and possessions for present and future generations of Americans. Funds must be matched on a one-to-one basis by NFWF sub-recipients.

**Applicant Eligibility:**

Specified in the National Fish and Wildlife Foundation Establishment Act.

**Beneficiary Eligibility:**

Beneficiaries include fish, wildlife and their habitats, the American people and, where applicable, international partners, wildlife and natural resources.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: There are no matching requirements for Federal dollars transferred to NFWF. The National Fish and Wildlife Foundation Establishment Act (Public Law 98-244) requires a one-to-one (1:1) match for subrecipients.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Payments are made during the fiscal year on an annual basis. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. The U.S. Fish and Wildlife Service program manager conducts monitoring activities to track accomplishments. NFWF provides the Service with annual reports on projects as well as completed SF-425 forms (Federal Financial Report). Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

NFWF maintains records in accordance with 43CFR12(3) (i.e. three years after

submission of the final financial and performance reports).

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$7,537,000; FY 11 est \$8,537,000; and FY 12 est \$8,537,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Using the \$7,537,000 in appropriated funding through the U.S. Fish and Wildlife Service, NFWF awarded more than 125 grants leveraging the federal funds into \$34 million for on-the-ground projects primarily to support the work of the organizations Keystone Initiatives, which focus on Bird Conservation, Fish Conservation, Marine and Coastal Conservation, and Wildlife and Habitat Conservation. Fiscal Year 2011: Using the \$8,537,000 in estimated appropriated funding through the U.S. Fish and Wildlife Service, NFWF is expected to award grants primarily to support the work of the organizations Keystone Initiatives, which focus on Bird Conservation, Fish Conservation, Marine and Coastal Conservation, and Wildlife and Habitat Conservation. Fiscal Year 2012: (anticipated) Using anticipated funding appropriated through the U.S. Fish and Wildlife Service, NFWF is expected to award grants primarily to support the work of the organizations Keystone Initiatives, which focus on Bird Conservation, Fish Conservation, Marine and Coastal Conservation, and Wildlife and Habitat Conservation. Additional funding is likely to be used to launch a grant program focused on youth conservation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. N/A.

**Headquarters Office:**

Laury Parramore, Fish and Wildlife Service, Division of Program and Partnership Support, 4401 N. Fairfax Drive, MS-AEA-3013

. Arlington, Virginia 22203 Phone: (703) 358-2541.

**Website Address:**

[http://Laury\\_Parramore@fws.gov](http://Laury_Parramore@fws.gov)

**RELATED PROGRAMS:**

10.683 National Fish and Wildlife Foundation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Bird Conservation: NFWF awarded \$80,000 matched by \$161,000 in other NFWF federal funds and \$269,000 in non-federal matching funds to Monomet, Inc to Enhance reproductive output for approximately 100 nesting pairs of American Oystercatchers in Massachusetts, and stimulate a coordinated, comprehensive approach to conservation of beach-nesting shorebirds along the Atlantic and Gulf coasts.

Freshwater Fish Conservation: NFWF awarded \$303,000 to Trout Unlimited that was matched with \$1.7 million to continue restoration of Pennsylvanias Kettle Creek's abandoned mine drainage-impaired brook trout streams that includes three abandoned mine drainage abatement projects, reclamation funding/implementation strategy, monitoring, and education/outreach.

Wildlife Conservation: \$61,000 in NFWF-FWS funds along with \$50,000 in other NFWF federal funds were awarded to the Sky Island Alliance who leveraged the funding into \$261,000 for the restoration of a critical ciega that occupies the upper Cloverdale Valley in Hidalgo County, New Mexico.

Marine Conservation: NFWF awarded \$108,000 that was matched with \$125,000 in non-federal funds by Grupo Tortuguero de las Californias, AC to reduce bycatch of loggerheads in Baja California fleet by substituting zero bycatch hooks for gillnet fishing and facilitating market linkages for sustainably caught fish. Fiscal Year 2011: No projects have been selected at the time the FY11 update is being provided. It is anticipated that similar projects will be

selected to implement the targeted Keystone Initiatives that were developed in partnership with FWS. Fiscal Year 2012: (anticipated) Funding will be used to continue the implementation of the Keystone Initiatives. Additional funding is being proposed to launch a grant program focused on youth conservation.

**CRITERIA FOR SELECTING PROPOSALS:**

All final proposal decisions are made by NFWFs Board of Directors per Public Law 98-244. See <http://www.nfwf.org/>.

**15.664 FISH AND WILDLIFE COORDINATION AND ASSISTANCE PROGRAMS**

FWCA Programs

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Legislative authority based on U. S. Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-666; Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a; Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; and/or specific Congressional action, generally through the annual Appropriations Act, i.e., The Department of the Interior, Environment, and Related Agencies Appropriations Act, that cites new or relevant environmental and/or conservation statutes and activities for a defined purpose consistent with the mission, expertise, and goals of the Agency.

**OBJECTIVES:**

To implement: a) legislation mandating specific conservation and/or environmental project activity(ies), including, but not limited to, financial assistance funding for special appropriations projects to a designated recipient(s); and/or b) unfunded Congressional mandates, i.e., funding limited to costs associated with actual program/project implementation, not administrative costs.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

To fulfill the intent of Congress as specified in legislation authorizing the Agency to obligate and manage financial assistance funds; special appropriations projects; and awards for purposes consistent with the mission, expertise, and goals of the Agency. For further information, please contact the regional office.

**Applicant Eligibility:**

Eligibility is limited to entity(ies) designated by the authorizing legislation.

**Beneficiary Eligibility:**

The general public benefits from the conservation and environmental efforts as identified by the authorizing legislation.

**Credentials/Documentation:**

Applicant(s) must have financial and internal controls systems in place to manage/segregate Federal funds and report expenditures under the terms and conditions of the award(s). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any applicable pre-application coordination or environmental impact information requirements will be detailed in the funding opportunities posted under this program on [Grants.gov](http://www.grants.gov) (<http://www.grants.gov>). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. At a minimum, an application package must include an Application for Federal Assistance (SF-424), a description of project activity(ies), an estimated budget, and relevant and signed Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D Construction).

**Award Procedure:**

Notification of an award is the issuance of a grant or cooperative agreement

document by Awarding Official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines will vary, and will be specified in the funding opportunities posted under this program on [Grants.gov](http://www.grants.gov) (<http://www.grants.gov>).

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Statutory formulas and/or matching requirements may be applicable to activities funded under this CFDA. Any formulas or matching requirements will be specified in the funding opportunities posted under this program on [Grants.gov](http://www.grants.gov).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies by activity being funded, but typically funds are awarded for projects with a one year period of performance. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Financial and performance reporting frequency and other requirements will be detailed in the award terms and conditions. Interim reports will not be requested more frequently than quarterly, and no less frequently than annually. Interim reports are due 30 calendar days after the expiration of the quarter/midterm/year anniversary, as appropriate. Final reports are required within 90 calendar days from the end date of the award. Submission of payment requests using the SF-270, Request for Advance or Reimbursement (Non-Construction) or SF-271, Outlay Report and Request for Reimbursement (Construction) satisfies interim financial reporting requirements. A final SF-425, Federal Financial Report is required 90 days from the end date of the award. This form can be accessed on the Internet at [http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/). For additional information regarding financial reporting requirements and sanctions for noncompliance please see [http://www.doi.gov/pam/financialassistance/postaward/docs/Policy\\_regarding\\_Fin\\_Status\\_Reporting\\_Req.pdf](http://www.doi.gov/pam/financialassistance/postaward/docs/Policy_regarding_Fin_Status_Reporting_Req.pdf). A final performance report is required within 90 calendar days from the end date of the award. Performance reports must contain a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work, a description of reasons why established goals were not met, if appropriate, and any other pertinent information relevant to the project results.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$150,000; FY 11 est \$400,000; and FY 12 est \$150,000 - New Program - Data Not Yet Available.

**Range and Average of Financial Assistance:**

Range and average varies by program activity.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY10: FWS awarded funding for one special appropriation project. Fiscal Year 2011: (anticipated): FWS will continue to award funding to recipients of special appropriations projects as mandated by Congress. Fiscal Year 2012: (anticipated): FWS will continue to award funding to recipients of special appropriations projects as mandated by Congress.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Acceptance of a Federal Financial Assistance award from the Department of the Interior (DOI) carries with it the responsibility to be aware of and comply with the terms and conditions of award per <http://www.doi.gov/pam/TermsandConditions.html>.

**Regional or Local Office:**

See Regional Agency Offices. Contact Information related to each funding opportunity under this program will be stated in the funding opportunities posted on [Grants.gov](http://Grants.gov).

**Headquarters Office:**

Office of the Director and/or Science Advisor, Fish & Wildlife Service, Rm 3258, MIB, 1849 C Street NW, Washington, District of Columbia 20240 Phone: (202) 208-3100.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FY10: Provided FY10 annual appropriations to Caddo Lake Ramsar Center, TX. Fiscal Year 2011: (anticipated): FWS will continue to award funding to recipients of special appropriations projects as mandated by Congress. Fiscal Year 2012: (anticipated): FWS will continue to award funding to recipients of special appropriations projects as mandated by Congress.

**CRITERIA FOR SELECTING PROPOSALS:**

As specified by the authorizing legislation or Congressional action.

**15.665 NATIONAL WETLANDS INVENTORY**

NWI

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Emergency Wetlands Resources Act (EWRA) of 1986 (Public Law 99-645, 16 U.S.C. 3931-3932, November 10, 1986, as amended).

**OBJECTIVES:**

The EWRA requires the NWI to map wetlands of the nation, digitize the maps, archive and distribute the data, and produce a 10-year national wetlands status and trends report to Congress.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Funds can be used for any purpose authorized under the EWRA. For example:  
(1) Depending on appropriations and national priorities, the program has annual discretionary funding to fund Regional-priority mapping projects.  
(2) Funded Regional mapping projects or status and trends analysis may use CESUs (Cooperative Ecosystem Studies Units) to complete scope of work specified under the award with substantial involvement of the U.S. Fish & Wildlife Service.  
(3) Regions may use Interagency Agreements or contracts for project-level support or products needed.  
(4) The Service projects may cover any aspect of inventorying wetlands, including but not limited to training, technology research, and analysis of data. For further information, please contact the regional office.

**Applicant Eligibility:**

Organizations receiving financial assistance must be experienced in image-interpretation for wetlands and for arid western riparian for targeted ecosystems using National standards (Cowardin et al. 1979 and Wetlands Mapping Standard 2009); in wetlands mapping or delivery research or technologies, or in supporting activities (e.g. mapping standards training or analysis) for wetlands mapping; or have the project-specific imagery or ancillary data needed for wetlands mapping. Based on Agency need, financial assistance, in general, is available to qualified Americans, profit or nonprofit corporations or institutions, domestic organizations, and Federal, State, Tribal, Territorial, and local agencies.

**Beneficiary Eligibility:**

The American public, and Federal, State, Tribal, Territorial, and local agencies, profit and nonprofit corporations or institutions benefit from having wetlands geospatial data to help inform decision making for clean water, fish and wildlife conservation, wetlands conservation, landscape-level planning, green infrastructure, and urban, rural, infrastructure, and energy development.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. There is no external application or award process. Service Regions compete for flex project funding through an internal process based on changing national program priorities. Regions have a small amount of funding for interagency partnerships.

**Award Procedure:**

N/A.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

N/A.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Projects funded under will have performance and financial reporting requirements as described in the award terms and conditions. At a minimum, the recipient is required to submit a final SF-425, Federal Financial Report within 90 days of the end of the award period of performance. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Entities must maintain Federally-required financial records; see Grants.gov.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$1,300,000; FY 11 est \$850,000; and FY 12 est \$600,000

**Range and Average of Financial Assistance:**

FY 2009 2010: Range of projects \$5,000 - \$479,250; Average \$92,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 21.40 million acres of lands digitally mapped, which brings cumulative percent of nation digitally mapped to 64%. 109 professionals trained. Fiscal Year 2011: (actual/anticipated) 56 million acres to be mapped, bringing the cumulative percent of nation digitally mapped to 67%. Anticipate funding training of 145 professionals and activities related to compiling the National Wetlands Status and Trends Report to Congress 2010. Fiscal Year 2012: (anticipated) 37 million acres to be mapped, bringing the cumulative percent of nation digitally mapped to 68%. Anticipate funding training of 500 professionals and activities related to compiling the FWS/NOAA Coastal Watersheds Status Report 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Regional Wetlands Coordinators:  
<http://www.fws.gov/wetlands/Organization/RWC.html>.

**Headquarters Office:**

Chief, Division of Habitat and Resource Conservation, FHC (Attn: NWI), Fish and Wildlife Service, 4401 N Fairfax Dr., Rm 840, Arlington, Virginia 22203  
Phone: (703) 358-2161.

**Website Address:**

<http://www.fws.gov/wetlands>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FY10: Mapping of Washita National Wildlife Refuge; Great Basin Landscape Conservation Cooperatives (LCC), Whooping Crane Migration project; Great Northern LCC, MT & ID project; Artic LCC, AK project. Fiscal Year 2011: (actual/anticipated) Mapping of various National Wildlife Refuges; Florida LCC, FLUCCs conversion to NWCS project; North Atlantic LCC, Chesapeake Bay updating VA project; Gulf Coast Prairie LCC, TX coastal updates project; Great Basin LCC, Whooping Crane project. Fiscal Year 2012: (anticipated) Florida LCC, FLUCCs conversion to NWCS project; Great Basin LCC, KS project; Great Lakes LCC project; Western Alaska LCC project.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.666 ENDANGERED SPECIES CONSERVATION-WOLF LIVESTOCK LOSS COMPENSATION AND PREVENTION**

Wolf Livestock Demonstration Project Grant Program

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1934, U.S.C. 16 et seq.; Endangered Species Act of 1973, 16 U.S.C. 1531 et. seq., as amended; Public Law 111-11, 123 Stat. 1171.

**OBJECTIVES:**

To provide federal financial assistance to livestock producers undertaking proactive, non-lethal activities to reduce the risk of livestock loss due to predation by wolves and to compensate livestock producers for livestock losses due to such predation.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

This financial assistance opportunity can be used by eligible States and Indian tribes in supporting projects that assist livestock producers in undertaking proactive, non-lethal activities to reduce the risk of livestock loss due to predation by wolves or to compensate livestock producers for livestock losses caused by wolves. Appropriated funds will be divided equally in support of these two objectives. The creation of two separate sources of funding will allow the Service to ensure that the two objectives of the program: 1) assisting livestock producers in undertaking proactive, non-lethal activities to reduce the risk of livestock loss due to predation by wolves and 2) compensating livestock producers for livestock losses caused by wolves, are addressed equally. Qualifying projects must include at a minimum a 50 percent non-Federal cost share. For further information, please contact the regional office.

**Applicant Eligibility:**

State governments/agencies  
Indian tribes as defined in Public Law 111-11.

**Beneficiary Eligibility:**

Individual/ Family  
Small Business  
Profit Organization  
Private Organization  
Anyone/ General Public  
Farmer/ Rancher/ Agricultural Producer  
Small Business Person  
Land/ Property Owner.

**Credentials/Documentation:**

Funds are available only to States and Indian tribes with prior history of wolf depredation. To be eligible to receive a grant, a State or Indian tribe must (1) designate an appropriate agency of the State or Indian tribe to administer the one or more programs funded by the grant; (2) establish one or more accounts to receive grant funds; (3) maintain files of all claims received under programs funded by the grant, including supporting documentation; (4) submit annual reports to the Secretary that include a summary of claims and expenditures under the program during the year, a description of any action taken on the claims, and such other reports as the Secretary may require to assist the Secretary in determining the effectiveness of activities provided assistance through this programs; (5) promulgate rules for reimbursing livestock producers under the program. Applicants are also required to fully assess any claim of livestock depredation prior to issuing payment. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Eligible State and Tribal applicants are encouraged to contact the appropriate Regional Coordinators to ensure all eligibility, credentials, and documentation requirements are met prior to application. An incomplete application will not be considered for funding. An eligible State or Indian tribe may apply for either or both sources of funding, but a separate application must be provided for each source of funding. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible State and Tribal applicants must submit a project narrative identifying that they will adhere to P.L. 111-11. Applicants must also provide an Application for Federal Assistance (SF 424) and supporting information. This form must be signed by the official with the authority and responsibility to commit the State or Tribal body to participate in the program. An eligible State or Indian tribe may apply for either or both sources of funding, but a separate application must be provided for each source of funding.

**Award Procedure:**

Awards to eligible State and Indian tribes will be made as grants based on a formula derived from 1) the level of livestock predation in the State or on the land owned by, or held in trust for the benefit of, the Indian tribe; 2) whether the State or Indian tribe is located in a geographic area that is at high risk for livestock predation; 3) any other factors that the Secretary determines appropriate.

**Deadlines:**

Aug 31, 2011: August 31st of each fiscal year. August 31, 2011: August 31st of each fiscal year based on an appropriation from Congress.

**Range of Approval/Disapproval Time:**

120 days.

**Appeals:**

Decisions can be appealed to the Fish and Wildlife Service, Chief, Endangered Species Division of Consultation, Habitat Conservation Planning, Recovery, and State Grants. Final determination rests with the Secretary of the Interior.

**Renewals:**

None. However, project applicants are not prohibited from submitting applications for consideration for funding in a subsequent year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: To meet the two objectives of the program, awards to eligible State and Indian tribes will be made as grants based on a formula derived from 1) the level of livestock predation in the State or on the land owned by, or held in trust for the benefit of, the Indian tribe; 2) whether the State or Indian tribe is located in a geographic area that is at high risk for livestock predation; 3) any other factors that the Secretary determines appropriate.

Qualifying projects must include at a minimum a 50 percent non-Federal cost share. The cost share may be cash or a third party in-kind contribution, such as volunteer efforts and donations of goods or services.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Services goal is to obligate funds to States and Indian tribes shortly following the award notification. States and Indian tribes will assist the Service in meeting this goal by providing necessary documents for grant issuance as soon as possible following the grant award notifications. The Service will follow all applicable laws and regulations in regard to the expenditure of awarded funding. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. In general, OMB Circulars A-102 Section\_40 and \_41 and 2 CFR 215 specify requirements for both financial and program performance reporting. The Services interim guidance on financial status and performance reporting is available at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/intgdrpt.pdf>. Grantees may be required to complete one or more of the following financial forms:

SF - 270, Request for Advance or Reimbursement;  
SF-425, Federal Financial Report

OMB Circulars A-102 Section\_40 and 2 CFR 215 also set forth requirements for submission of grantee program performance reports. A performance report is due annually within 90 days of the anniversary of the start date of the grant and a final report is due 90 days after the grant expiration.

A State or Indian tribe shall submit to the Secretary annual reports that include a summary of claims and expenditures under the program during the year and a description of any action taken on the claims. Financial reporting requirements are specified in 43 CFR 12.80 and in the Interim Guidance for Financial Status and Performance Reporting, dated January 28, 2008. Performance reporting requirements are specified in 43 CFR 12.81 and in the Interim Guidance for Financial Status and Performance Reporting, dated January 28, 2008.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The recipient is required to maintain files of all claims received under programs funded by the grant, including supporting documentation. Records must be maintained for 3 years following the submission of the final expenditure report or until final action has been taken on any litigation, claim, or audit finding.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$1,000,000; FY 11 est \$0; and FY 12 est \$0 - FY11 and FY12 estimates based on Presidents budget request for this program; however final approved budget may include new funding in FY11 and FY12. CFDA should remain active through FY12 to allow for currently funded awards to be completed and any associated amendments to government-wide reporting system records to be submitted.

**Range and Average of Financial Assistance:**

\$4,000-\$140,000. Average award amount is \$66,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FWS made 14 awards to State and Tribal programs that fund projects that assist livestock producers in undertaking proactive, non-lethal activities to reduce the risk of livestock loss due to predation by wolves or to compensate livestock producers for livestock losses caused by wolves. Fiscal Year 2011: No new funding provided to date FY11. If new funding is made available, examples of projects eligible for funding include the purchase of livestock guarding dogs to reduce conflicts between wolves and livestock, the purchase of a portable electric fence to prevent conflicts, and support towards hiring range riders to monitor cattle to prevent conflicts between livestock and wolves. Fiscal Year 2012: No new funding requested in FY12. If new funding is made available, examples of projects eligible for funding include the purchase of livestock guarding dogs to reduce conflicts between wolves and livestock, the purchase of a portable electric fence to prevent conflicts, and support towards hiring range riders to monitor cattle to prevent conflicts between livestock and wolves.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Omnibus Public Land Management Act of 2009 (P.L. 111-11)

**Regional or Local Office:**

See Regional Agency Offices. FWS Region 1: If your project will occur in Idaho, Oregon, or Washington, contact: Regional Director, U.S. Fish and Wildlife Service Eastside Federal, Complex, 911 N.E. 11th Avenue, Portland, OR 97232-4181. Contact: John Stephenson (541/383-7146).

FWS Region 2: If your project will occur in Arizona or New Mexico, contact: Regional Director, U.S. Fish and Wildlife Service, 500 Gold Avenue SW., Room 4012 Albuquerque, NM 87102. Contact: Stephen Robertson (505/248-7465).

FWS Region 3: If your project will occur in Michigan, Minnesota, or Wisconsin, contact: Regional Director, U.S. Fish and Wildlife Service, Bishop Henry Whipple, Federal Building, One Federal Drive, Fort Snelling, MN 55111-4056. Contact: Peter Fasbender (612/713-5343).

FWS Region 6: If your project will occur in Montana or Wyoming, contact: Regional Director, U.S. Fish and Wildlife Service, 134 Union Blvd., Suite 645, Lakewood, CO 80228. Ed Bangs (406/449-5225).

**Headquarters Office:**

Chief, Endangered Species, Fish and Wildlife Service, Department of the Interior, 1849 C Street, NW (MS 420 ARL SQ) Division of Consultation, HCPs, Recovery and State Grants., Washington, District of Columbia 20240



Phone: (703) 358-2171.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration; 15.615 Cooperative Endangered Species Conservation Fund; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FY10: FWS provided support for 14 projects to State and Tribal programs that fund projects that assist livestock producers in undertaking proactive, non-lethal activities to reduce the risk of livestock loss due to predation by wolves or to compensate livestock producers for livestock losses caused by wolves. Fiscal Year 2011: No data to report. If funding becomes available, projects eligible for funding include the purchase of livestock guarding dogs to reduce conflicts between wolves and livestock, the purchase of a portable electric fence to prevent conflicts, and support towards hiring range riders to monitor cattle to prevent conflicts between livestock and wolves. Fiscal Year 2012: No data to report. If funding becomes available, projects eligible for funding include the purchase of livestock guarding dogs to reduce conflicts between wolves and livestock, the purchase of a portable electric fence to prevent conflicts, and support towards hiring range riders to monitor cattle to prevent conflicts between livestock and wolves.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards to eligible State and Indian tribes will be made as grants based on a formula derived from (1) the level of livestock predation in the State or on the land owned by, or held in trust for the benefit of, the Indian tribe; (2) whether the State or Indian tribe is located in a geographic area that is at high risk for livestock predation; (3) any other factors that the Secretary determines appropriate.

**15.667 HIGHLANDS CONSERVATION PROGRAM**

Highlands Conservation Program

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

H.R. 1964, 2004; 16 U.S.C. 3901.

**OBJECTIVES:**

To conserve priority lands and natural resources and recognize the importance of the water, forest, agricultural, wildlife, recreational, and cultural resources, and the national significance of the Highlands region of the United States. Preserve and protect high-priority conservation land in the Highland regions.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

A state or state agency with authority to own and manage land located within the Highlands region may use a land conservation partnership project to acquire conservation-valued land, either through fee acquisition or conservation easement, from a willing seller to permanently protect, conserve, or preserve land. Project lands of conservation value are identified by the U.S. Forest Service, Department of Agriculture, with input from pertinent units of local government and the public. The list of lands of conservation value is provided to the governors of the states within the Highlands region. The list of projects to be funded is submitted to the Secretary of the Interior, who, along with the Secretary of Agriculture, submits the eligible project list to Congress. The Federal grant share of the land conservation partnership project will not exceed 50 percent of the total cost of partnership to acquire conservation-valued land. For further information, please contact the regional office.

**Applicant Eligibility:**

Any state or state agency with authority to own and manage land located within the Highlands region for conservation purposes may apply by identifying the source of non-Federal funds, describing the management objectives for the project land, identifying the purpose of the use of the land, and providing that the land will not be converted, used or disposed of for a purpose inconsistent with land conservation.

**Beneficiary Eligibility:**

Beneficiaries are states or state agencies with authority to own and manage land within the Highlands region for conservation purposes, including the Palisades Interstate Park Commission.

**Credentials/Documentation:**

Must be a state or state agency with the authority to own and manage land within the Highlands region for conservation purposes. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The U.S. Forest Service, Department of Agriculture, is responsible for conducting the resource assessment and preparing the Highlands project lands of conservation value update for the states involved. The U.S. Forest Service will identify in the update the lands that have high conservation value. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. It is the responsibility of the Highland states to submit projects to the Department of the Interior for funding. The Highland states may do this individually or they may jointly submit land conservation partnership projects.

**Award Procedure:**

The U.S. Forest Service is responsible for doing the resource assessment and preparing the priority land update for the states involved. The U.S. Forest Service will identify in the update the lands that have high conservation value. Only lands available from willing sellers will be considered in the program. The Department of the Interior (DOI) has the sole responsibility for project grants. The states will apply directly to DOI for project funding. The DOI will award grants to the States or their entities for the acquisition of land, or interests in land, for conservation purposes in the Highlands.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Federal share of the project cost shall not exceed 50 percent of the total project cost. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Varies. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Interim performance reports are required for each grant award annually within 30 days after the anniversary date. A final performance report is due within 90 days after the award end date. SF-425, Federal Financial Reports are required for each grant award annually within 30 days after the anniversary date. A final SF-425, Federal Financial Report is due within 90 days after the award end date. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant award. Records, accounts, and supporting documents must be retained for three years after submission of the final reports.

**Account Identification:**

14-5020-0-1-806.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$646,666; FY 11 est \$8,073,332; and FY 12 est \$4,840,000

**Range and Average of Financial Assistance:**

Range : \$646,600 to \$1,940,000; Average \$970,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Through FY 10 the U.S. Fish and Wildlife Service (USFWS) has dispersed over \$3.7 million in HCA funding to the 4 States, which led to 1,638 acres being protected in fee and 81 acres protected through conservation easements. With those funds, the USFWS has also leveraged over \$14.9 million in state dollars for land protection in the Highlands region. Fiscal Year 2011: In FY 11 the USFWS anticipates continuing work to complete land acquisition projects with State partners. Fiscal Year 2012: In FY 12 the USFWS anticipates continuing work to complete land acquisition projects with State partners.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Per <http://www.doi.gov/parnlTermsandConditions.html>, acceptance of a Federal Financial award from the Department of the Interior carries with it the responsibility to be aware of and comply with the terms and conditions of the award. Acceptance is defined as starting work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to, and as approved by the Department of the Interior and are subject to the terms and conditions incorporated in to the Award either directly or by reference to the following: Program legislation/regulation, assurances, special conditions, the Code of Federal Regulations, and other regulatory requirements, as applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Organ US Fish and Wildlife Service, Wildlife and Sport Fish Restoration, 300 Westgate Center Drive, , Hadley, Massachusetts 01035 Email: John\_Organ@fws.gov Phone: (413)253-8200 Fax: (413)253-8300

**Website Address:**

<http://www.fws.gov/r5fedaid/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FY10: Northern Highlands, NJ-1,400 acres to be conserved; Greater Sterling Forest, NY- 389 acres to be conserved; Texter Mountain, PA- acres to be conserved TBD; Mad River Headwaters, CT- acres to be conserved-TBD. Fiscal Year 2011: Program will continue to fund projects to protect lands within the Highlands region. Fiscal Year 2012: Program will continue to fund projects to protect lands within the Highlands region.

**CRITERIA FOR SELECTING PROPOSALS:**

The U.S. Forest Service is responsible for completing the resource assessment and preparing the priority lands update for the states involved. The U.S. Forest Service will identify in the update the lands that have high conservation value. The Highland states meet annually and apply directly to DOI for funding from the project list of lands provided by U.S. Forest Service. Only lands with high conservation value that can be obtained by fee acquisition or conservation easement from willing sellers will be considered.

**15.668 COASTAL IMPACT ASSISTANCE PROGRAM**

CIAP

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Outer Continental Shelf (OCS) Lands Act, as amended; 31 U.S.C. 6301-6305.

**OBJECTIVES:**

The intent of the program is to disburse funding to eligible producing states and coastal political subdivisions for the purpose of conservation, protection, or restoration of coastal areas including wetlands; mitigation of damage to fish, wildlife, or natural resources; planning assistance and the administrative costs of complying with these objectives; implementation of a federally-approved marine, coastal, or comprehensive conservation management plan; and mitigation of the impact of outer Continental Shelf activities through funding of onshore infrastructure projects and public service needs.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The intent of the program is to disburse funding to eligible producing states and coastal political subdivisions for the purpose of conservation, protection, or restoration of coastal areas including wetlands; mitigation of damage to fish, wildlife, or natural resources; planning assistance and the administrative costs of complying with these objectives; implementation of a federally-approved marine, coastal, or comprehensive conservation management plan; and mitigation of the impact of outer Continental Shelf activities through funding of onshore infrastructure projects and public service needs.

**Applicant Eligibility:**

States eligible to receive funding are Alabama, Alaska, California, Louisiana, Mississippi, and Texas and 67 coastal political subdivisions among the six States.

**Beneficiary Eligibility:**

The producing coastal states, their eligible coastal political subdivisions, and the public will ultimately benefit from the program.

**Credentials/Documentation:**

Yes. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Prior to submitting any grant applications, an eligible State must submit a State Plan that provides detail on how a State and its Coastal Political Subdivisions (CPS) will use the CIAP funds and implement the State plan. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on this process when applying for assistance and on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Specific projects submitted for funding are subject to the Department of the Interior Regulations at 43 CFR Part 12, Subparts C and E, or any subsequent revisions. The OMB SF 424 application forms must be used for this program. Applications are submitted electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

The U.S. Fish and Wildlife Service (FWS) provides a notice of award to the recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

FWS will have 30-60 days to notify the State in writing that the Plan or amendment is approved, disapproved, or remains under review (in which case the Plan or amendment is neither approved nor disapproved). FWS will have 30-60 days to review projects submitted by the State or the coastal political divisions and notify applicant of approval/disapproval.

**Appeals:**

Applicants can appeal the disapproval of their plan or project application no later than 90 days after the notice of decision. Applicants must contact FWS headquarters office in writing if they are appealing a decision.

**Renewals:**

Proposals are submitted for a project period. Projects that were approved and funded during the previous project period may be submitted again in subsequent project periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: In accordance with the language of the Act, no State will receive less than 1 percent of the \$250 million to be disbursed per year. The CIAP Program does not require recipients to cost share or match CIAP funds. Of the percentage received by a State, 65 percent remains with the State, and 35 percent is awarded to the coastal political subdivisions. Maintenance of effort requirements is not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will normally be awarded for 12-month periods. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A performance report is required for each grant award annually within 90 days after the anniversary date or within 90 days of the end of the grant. A Federal Financial Report (SF-425) is required for each grant award annually within 90 days after the anniversary date or within 90 days of the end of the grant. Recipients are responsible for monitoring and reporting performance of each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5579-0-2-306.

**Obligations:**

(Formula Grants) FY 10 \$0; FY 11 est \$300,000,000; and FY 12 est \$250,000,000 -

**Range and Average of Financial Assistance:**

\$20,000 - \$20,000,000; average \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: New Program to FWS. Fiscal Year 2011: (anticipated): The six States and coastal political subdivisions will fund approximately 77% of the program funding on projects and activities for the conservation, protection, or restoration of coastal areas including wetlands; approximately 7% of the program funding on mitigation of damage to fish, wildlife, or natural resources; approximately 6% of the program funding on planning assistance and the administrative costs of complying with these objectives; approximately 5% of

the program funding on implementation of a federally-approved marine, coastal, or comprehensive conservation management plan; and approximately 5% of the program funding on mitigation of the impact of outer Continental Shelf activities through funding of onshore infrastructure projects and public service needs. Fiscal Year 2012: (anticipated): The six States and coastal political subdivisions will fund approximately 80% of the program funding on projects and activities for the conservation, protection, or restoration of coastal areas including wetlands; approximately 5% of the program funding on mitigation of damage to fish, wildlife, or natural resources; approximately 5% of the program funding on planning assistance and the administrative costs of complying with these objectives; approximately 5% of the program funding on implementation of a federally-approved marine, coastal, or comprehensive conservation management plan; and approximately 5% of the program funding on mitigation of the impact of outer Continental Shelf activities through funding of onshore infrastructure projects and public service needs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wildlife and Sport Fish Restoration Program, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703) 358-2156

**Website Address:**

<http://wsfrprograms.fws.gov/>

**RELATED PROGRAMS:**

11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.473 Coastal Services Center; 11.474 Atlantic Coastal Fisheries Cooperative Management Act; 11.478 Center for Sponsored Coastal Ocean Research\_Coastal Ocean Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: New Program to FWS. Fiscal Year 2011: (anticipated): Alaska The State will provide community profile maps for small communities in Southeast Alaska that have not had new maps in more than twenty years. The following twelve Southeast Alaska communities will be included in this project: Tenakee Springs, Pelican, Gustavus, Port Protection, Whale Pass, Naukati Bay, Hollis, Coffman Cove, Thorne Bay, Hyder, Metlakatla, and Port Alexander. The Division of Community and Regional Affairs (DCRA) community profile maps are based on rectified digital aerial photography, and display such mapping attributes as topography at two-foot contour intervals, property boundaries, utilities, public and private improvements, easements, and additional land use information. They are widely used as base maps for GIS applications, and have been used for hazard mitigation planning, community planning, flood mapping, and identification of land uses and environmentally sensitive areas. In partnership with Juneau Economic Development Council (JEDC), DCRA will provide for inter-agency coordination, mapping contractor selection, and oversight of the map development process. Completed maps will be comprehensive, highly accurate, and available for a wide variety of uses.

California State Conservancy The agency will eradicate invasive Spartina and hybrids on a total of up to 1,800 acres to prevent 69,402 acres of marsh and mudflats from being invaded and potentially covered by the infestation. The spread of invasive Spartina is perhaps the most serious danger (besides development) to ever threaten the marsh ecosystem of the San Francisco Estuary. The spread of hybridized Spartina, which occurs at a greater than exponential rate, threatens to eliminate most, if not all, of the nesting and foraging habitat for migratory birds that utilize the S.F. Estuary, the most significant U.S. Pacific Flyway stopover, by replacing the existing habitat with a monoculture of invasive Spartina. The U.S.Fish and Wildlife Service Recovery Plan addressing the San Francisco Baylands, ranks eradication of the exotic plant Spartina as a number one recovery action needed to prevent other listed species foreseeable slide towards extinction. Fiscal Year 2012: (anticipated): Alaska Mitigation actions for marine mammals, including polar bears, are required under the Marine Mammal Protection Act for nearshore and offshore oil and gas leases. In the Chukchi Sea, little is known about the movement patterns or ice habitat use of polar bears in oil and gas leasing areas.

Additional data on the status of this population, including vital rates, bear health and condition, and population size, are currently lacking. Management of this polar bear population is guided by the US-Russia Bilateral Agreement for the Conservation of polar bears, which establishes a joint commission to set harvest levels. This study will address information needs required to ensure successful mitigation and the development of a sound Environmental Assessment relative to oil and gas activities as well as to inform establishment of appropriate harvest levels at an international level. Between 2008 and 2010 the U.S. Fish and Wildlife Service has captured, measured, and sampled 137 polar bears in this region. This funding request would cover costs of a critically needed extension to continue this work and ensure adequate data for assessing polar bear movements and population health in relation to annual variation in available sea ice habitat. The results of this study will be used to aid in establishing polar bear harvest levels and mitigating potential effects of oil and gas offshore leases.

Alameda County Flood Control and Water Conservation District The agency will create, restore, or enhance habitats of sufficient size, function, and appropriate structure to: promote restoration of native special-status plants and animals that depend on South San Francisco Bay habitat for all or part of their life cycles; maintain current migratory bird species that utilize existing salt ponds and associated structures such as levees; and support increased abundance and diversity of native species in various South San Francisco Bay aquatic and terrestrial ecosystem components, including plants, invertebrates, fish, mammals, birds, reptiles, and amphibians. Achieving this objective requires the restoration of tidal wetlands and the enhancement of former salt ponds to provide improved habitat for migratory birds and waterfowl.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria for approving proposals are identified in the Coastal Impact Assistance Program Guidelines authorizing legislation and the annual program announcement found on Grants.gov.

#### **15.669 COOPERATIVE LANDSCAPE CONSERVATION**

Landscape Conservation Cooperatives (LCCs)

##### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

##### **AUTHORIZATION:**

Fish and Wildlife Conservation Act (16 U.S.C. 2901-2911; 94 Stat. 1322); Endangered Species Act of 1973 (16 U.S.C. 1531-1544, 87 Stat. 884); The National Wildlife Refuge System Improvement Act of 1997 (P.L. 105-57); The Fish and Wildlife Act of 1956 (16 U.S.C. 742a-742j, not including 742 d-1; Stat. 1119), as amended.

##### **OBJECTIVES:**

By leveraging resources and strategically targeting science to inform conservation decisions and actions, Landscape Conservation Cooperatives (LCCs) are being established to create a network of partners working in unison to ensure the sustainability of Americas land, water, wildlife and cultural resources. Facilitated by the Department of the Interior (DOI) as part of its collaborative, science-based response to climate change, each of the LCCs will operate within a specific landscape, covering the entire United States by dividing the landscape into 21 geographic areas. Defined based on ecological boundaries, the LCCs also include portions of Mexico and Canada. Partners will include federal, state, and local governments, tribes, universities, nongovernmental organizations, landowners, and other stakeholders. Collectively, LCCs will form a network of land, water, wildlife and cultural resource managers, scientists, and interested public and private organizations within the U.S. and across our international border that share a common need for scientific information and interest in conservation. These landscape-scale, applied conservation science partnerships support and enhance on-the-ground conservation efforts by facilitating the production and dissemination of applied science products for resource management decisions.

The U.S. Fish and Wildlife Services Cooperative Landscape Conservation program will provide scientific and technical support and funding to LCC-prioritized biological planning, conservation design and adaptive management projects to include: research; inventory design and implementation; monitoring; goal and priority setting associated with efficient

and effective conservation; and development of implementation strategies; and projects supporting all other LCC organizational efforts, including planning, establishment, maintenance, and general business operations.

##### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

##### **USES AND USE RESTRICTIONS:**

Support will be provided for LCC-prioritized biological planning, conservation design and adaptive management projects to include: research; inventory design and implementation; monitoring; goal and priority setting associated with efficient and effective conservation; and development of implementation strategies; and projects supporting all other LCC organizational efforts, including planning, establishment, maintenance, and general business operations. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel. For further information, please contact the regional office.

##### **Applicant Eligibility:**

None.

##### **Beneficiary Eligibility:**

None.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Title 43, Part 12 of the Code of Federal Regulations applies to this program. Funding opportunity announcements and complete application instructions are posted online at Grants.gov at <http://www.grants.gov>. All applicants must submit a complete, signed Standard Form 424, Application for Federal Assistance.

##### **Award Procedure:**

Each LCC has a steering committee, comprised of representatives from partner organizations, and participates in identifying priority needs for the LCC. Applications for funding will be reviewed and approved by FWS staff based on the project-specific review criteria to be detailed in the funding opportunity posting. FWS staff will notify applicants of review results by either issuing a fully executed Award either electronically or through the mail, or by sending written notification to the applicant that the application will not be funded.

Per the Department of the Interiors Standard Award Terms and Conditions (accessible on the Internet at <http://www.doi.gov/pam/TermsandConditions.html>) acceptance of a Federal Financial award from the Department of the Interior carries with it the responsibility to be aware of and comply with the terms and conditions of the award. Acceptance is defined as the start of work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to, and as approved by DOI and are subject to the terms and conditions incorporated either directly or by reference to the following: Program legislation/regulation, Assurances, Special Conditions and Code of Federal Regulations and other Regulatory Requirements, as applicable.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Typically within 180 days of proposal receipt.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

None. However; at the request of the recipient and as approved by USFWS,

active awards may be amended (e.g., time extensions or budget changes).

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. However, to the extent possible, recipient in-kind and/or cash match is encouraged.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period of performance may be up to five years. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Performance reports are to be submitted in accordance with the specific reporting requirements as detailed in the Award document. At a minimum, a performance report will be required annually, within 30 calendar days after the annual anniversary date. Final performance reports are required within 90 calendar days from the end date of the award. Cash reports are not applicable. Progress reports are not applicable. SF-425, Federal Financial Reports are to be submitted in accordance with the specific reporting requirements as detailed in the Award document. At a minimum, a financial report will be required annually, within 30 calendar days after the annual anniversary date. Final SF-425, Federal Financial Reports are required within 90 calendar days from the end date of the award. Recipients are responsible for monitoring and reporting performance of each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are to maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations, as applicable. Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final reports.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$7,469,274; FY 11 est \$10,100,000; and FY 12 est \$12,892,884

**Range and Average of Financial Assistance:**

Range is \$1,000 - \$1,000,000. Average award amount varies by project type and duration.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 104 projects funded. Major program accomplishments to highlight include: 1) The Gulf Coastal Plains & Ozarks (GCPO) LCC and its partners have developed habitat modeling capabilities in its geographic area. Two new working groups, the Alligator Gar Conservation Group and the Louisiana Pearlshell Mussel Group, have begun to model habitat needs for these species, which will characterize their existing habitats, identify potential areas of new or unknown populations, and identify areas with potential for restoring populations. The modeling process will also be used as a template for aquatic habitat models for similar species within the GCPO and other LCCs with similar habitats and species. 2) The Plains and Prairie Pothole (PPP) LCC funded a project to complete the National Wetland Inventory for the Northern Great Plains. The PPP partnered with the State of Montana to complete digital maps of wetlands to cover the LCCs entire geographic area. These wetland

maps are essential for efficient conservation planning and delivery. 3) The Plains and Prairie Pothole LCC is funding a project to assess the impacts of wildlife habitat protection and restoration on rural communities in the Prairie Pothole Region. A primary factor contributing to the ongoing decline in rural communities is the lack of economic diversity as increased temperatures and reduced water availability may significantly impact traditional agricultural crop production. This project will analyze the economic significance of agricultural tillage operations and wildlife habitat activities to local communities. Fiscal Year 2011: (anticipated): Anticipated 120 projects will be funded to develop explicit and measurable biological objectives for populations of focal species to guide conservation guide and delivery; apply and refine dynamic population-habitat models and other decision-support tools to enable partners to more effectively manage species at landscape scales; apply down-scaled climate models and landscape scales to predict effects on fish, wildlife, plants, and their habitats; design and evaluate short and long term wildlife adaptation approaches to help conserve populations at landscape scales; identify and/or design protocols and methodologies found best suited to monitoring and inventorying species, habitats, and ecological functions and structures at landscape scales.

The information from these projects will provide LCCs fundamental science capacity to: 1) drive landscape-scale planning; 2) produce biological assessments (plans) and conservation designs that incorporate specific strategies and actions that will help fish, wildlife and plants adapt to changing habitats; and 3) position member organizations of LCCs and other conservation organizations to act decisively and confidently to implement those strategies on-the-ground in ways that help fish, wildlife and plants survive in a changing world. Fiscal Year 2012: (anticipated): Anticipated 150 projects will be funded and focused on: species risk and vulnerability assessments; inventory and monitoring; population and habitat assessments; biological planning and conservation design; management evaluation and research; and conservation genetics.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Per <http://www.doi.gov/parnlTermsandConditions.html>, acceptance of a Federal

Financial award from the Department of the Interior carries with it the responsibility to be aware of and comply with the terms and conditions of the award. Acceptance is defined as starting work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to, and as approved by the Department of the Interior and are subject to the terms and conditions incorporated in to the Award either directly or by reference to the following: Program legislation/regulation, assurances, special conditions, the Code of Federal Regulations, and other regulatory requirements, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. The list of contacts for each LCC can be accessed on the Internet at:

<http://www.fws.gov/science/shc/lccinfocontacts.html>.

**Headquarters Office:**

Doug Austen U.S. Fish and Wildlife Service, 4401 N Fairfax Dr, Room 222 , Arlington, Virginia 22203 Email: [doug\\_austen@fws.gov](mailto:doug_austen@fws.gov) Phone: 703-358-1953

**Website Address:**

<http://www.fws.gov/science/shc/lcc.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funded projects include:

The Arctic LCC is funding projects that bring together environmental physicists, GIS analysts and polar bear biologists to predict locations for polar bear dens given climate and weather variables, such as snowfall, wind, and topography. This decision support tool will increase planners' ability to route industrial ice roads from oil and gas development to minimize conflicts with denning polar bears. Partners include: FWS Marine Mammal Management, FWS Endangered Species Program, USGS Coastal Studies, USGS Marine Polar Bear Project, DOE North Slope Decision Support Tool project team, UAF Water Environment Research Center, and Alaska Department of Fish and

Game.

The Great Northern LCC Steering Committee serving the Montana and Wyoming area recognized the considerable geographic overlap between multiple entities, including the Western Governors Association, BLM, USFS, and Montana Fish, Wildlife & Parks. A demonstration project was approved to ensure that these entities work closely together, with efforts that are not duplicative. The Great Northern LCC, which counts these entities as partners, can play a primary role in this demonstration project by developing agreed upon tools, systems and assessments which align work and connect the goals of these independent players. Moreover, LCC work assists with data acquisition in the Greater Yellowstone area and provides a centralized body to facilitate communications with stakeholders, managers, and partners.

The Gulf Coastal Plains & Ozarks (GCPO) LCC has worked on an integrated coastal assessment as part of the Southeast Regional Assessment Project for USGS's National Climate Change and Wildlife Science Center. GCPO LCC funded an expansion of the assessment to the entire coastline within the GCPO geography. Objectives of the assessment include: 1) predicting coastal erosion and inundation under a range of sea level rise scenarios; 2) assessing the impact of potential sea level rise on coastal ecosystems and related wildlife resources, and; 3) developing visual products to help local resource managers anticipate sea level rise, and design adaptations to projected changes. Fiscal Year 2011: (anticipated): Anticipated funding opportunities will be focused on funding projects to develop explicit and measurable biological objectives for populations of focal species to guide conservation guide and delivery; apply and refine dynamic population-habitat models and other decision-support tools to enable partners to more effectively manage species at landscape scales; apply down-scaled climate models and landscape scales to predict effects on fish, wildlife, plants, and their habitats; design and evaluate short and long term wildlife adaptation approaches to help conserve populations at landscape scales; identify and/or design protocols and methodologies found best suited to monitoring and inventorying species, habitats, and ecological functions and structures at landscape scales. Fiscal Year 2012: (anticipated): Anticipated funding opportunities will be focused on funding projects related to: species risk and vulnerability assessments; inventory and monitoring; population and habitat assessments; biological planning and conservation design; management evaluation and research; and conservation genetics.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposed projects will be selected on the basis of how well they meet the program and/or project-specific criteria detailed in individual Landscape Conservation Cooperative funding opportunity postings. Criteria will vary depending on the scope of the program or project for which applications are being accepted.

#### **15.670 ADAPTIVE SCIENCE**

Adaptive Science

#### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

#### **AUTHORIZATION:**

The National Wildlife Refuge System Improvement Act of 1997 (P.L. 105-57); Fish and Wildlife Conservation Act (16 U.S.C. 2901-2911; 94 Stat. 1322); Endangered Species Act of 1973 (16 U.S.C. 1531-1544, 87 Stat. 884); The Fish and Wildlife Act of 1956 (16 U.S.C. 742a-742j, not including 742 d-1; Stat. 1119), as amended; Migratory Bird Treaty Act of 1918, as amended (16 U.S.C 703-712).

#### **OBJECTIVES:**

The U.S. Fish and Wildlife Service (USFWS) uses a science-based, adaptive framework for setting and achieving cross-program conservation objectives that strategically addresses the problems fish and wildlife will face in the future. This framework, called Strategic Habitat Conservation, is based on the principles of adaptive management and uses population and habitat data, ecological models, and focused monitoring and assessment efforts to develop and implement strategies that result in measurable fish and wildlife population outcomes. This process uses the best available scientific information to predict how fish and wildlife populations will respond to changes in the environment, thus enabling the USFWS to focus habitat conservation and other management

activities where they will be most effective.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

#### **USES AND USE RESTRICTIONS:**

Support will be provided for science projects to include: research; inventory design and implementation; monitoring; goal and priority setting associated with efficient and effective conservation; and development of implementation strategies; and projects supporting all other FWS organizational efforts, including planning, establishment, maintenance, and general business operations. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel. For further information, please contact the regional office.

#### **Applicant Eligibility:**

None.

#### **Beneficiary Eligibility:**

None.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Title 43, Part 12 of the Code of Federal Regulations applies to this program. Funding opportunity announcements and complete application instructions are posted online at Grants.gov at <http://www.grants.gov>. All applicants must submit a complete, signed Standard Form 424, Application for Federal Assistance.

#### **Award Procedure:**

The Science Advisor to the Director identifies priority needs for the USFWS. Applications for funding will be reviewed and approved by USFWS staff based on the project-specific review criteria to be detailed in the funding opportunity posting. USFWS staff will notify applicants of review results by either issuing a fully executed Award either electronically or through the mail, or by sending written notification to the applicant that the application will not be funded.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 120 to 180 days. Typically within 180 days of proposal receipt.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. However, to the extent possible, recipient in-kind and/or cash match is encouraged.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Project period of performance may be up to five years. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

#### **Reports:**

Performance reports are to be submitted in accordance with the specific reporting requirements as detailed in the Award document. At a minimum, a performance report will be required annually, within 30 calendar days after the

annual anniversary date. Final performance reports are required within 90 calendar days from the end date of the award. Cash reports are not applicable. Progress reports are not applicable. SF-425, Federal Financial Reports are to be submitted in accordance with the specific reporting requirements as detailed in the Award document. At a minimum, a financial report will be required annually, within 30 calendar days after the annual anniversary date. Final SF-425, Federal Financial Reports are required within 90 calendar days from the end date of the award. Recipients are responsible for monitoring and reporting performance of each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are to maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations, as applicable. Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final reports.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$2,500,000; FY 11 est \$1,500,000; and FY 12 est \$3,000,000

**Range and Average of Financial Assistance:**

Range is \$1,000 - \$1,000,000. Average award amount varies by project type and duration.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 1) Cooperative agreement with James Watling University of Florida to provide a technical guidebook for construction and use of climate envelope models, develop a series of innovative, data-driven models for key species, and integrate models with a universal visualization platform. 2) Award to The Instream Flow Council to conduct a workshop with the goal to increase participants ability to quantify socioeconomic values and benefits of ecological flows/water levels critical to climate change adaptation and associated water management decisions/outcomes. 3) Cooperative agreement with the University of Washington and University of Massachusetts to develop models that bridge the gap between very broad-scale empirical models with lots of uncertainty and fine-scale, mechanistic models that account for every drop of water, but are not feasible at larger landscape levels. The models developed under this proposal are necessary precursors to modeling the impacts of climate change on hydrologic regimes which play a critical role in sustaining aquatic natural resources. Fiscal Year 2011: (anticipated): This funding will be used for risk and vulnerability assessments, inventory and monitoring, population and habitat assessments and models, conservation design using specialized expertise, evaluation of management options, projects which lead to an increased understanding of conservation genetics, and other applicable research. In addition, these funds will help address unmet adaptive science needs of Service programs such as: the relationship between fish and wildlife (e.g. golden eagles) and renewable energy development; invasive species identification, assessment and control; the population distribution and habitats of threatened and endangered species such as polar bear and Stellers eider; and the identification of distinct population and management units in order to maintain genetic diversity essential to preserving healthy, resilient populations of fish, wildlife and plants. Fiscal Year 2012: (anticipated): Anticipated funding opportunities will be focused on funding projects related to: species risk and vulnerability assessments; inventory and monitoring; population and habitat assessments; biological planning and conservation design; management

evaluation and research; and conservation genetics.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Per <http://www.doi.gov/pamlTermsandConditions.html>, acceptance of a Federal

Financial award from the Department of the Interior carries with it the responsibility to be aware of and comply with the terms and conditions of the award. Acceptance is defined as starting work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to, and as approved by the Department of the Interior and are subject to the terms and conditions incorporated in to the Award either directly or by reference to the following: Program legislation/regulation, assurances, special conditions, the Code of Federal Regulations, and other regulatory requirements, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contacts for regional science programs can be found on the Internet at:

Region 1- <http://www.fws.gov/pacific/>

Region 2- <http://www.fws.gov/southwest/>

Region 3- <http://www.fws.gov/midwest/>

Region 4- <http://www.fws.gov/southeast/>

Region 5- <http://www.fws.gov/northeast/index.cfm>

Region 6- <http://www.fws.gov/mountain-prairie/>

Region 7- <http://alaska.fws.gov/>

Region 8- <http://www.fws.gov/cno/>.

**Headquarters Office:**

Office of the Science Advisor U.S. Fish and Wildlife Service, 4401 N Fairfax Dr, Room 222 , Arlington, Virginia 22203 Phone: 703-358-1740

**Website Address:**

<http://www.fws.gov/science/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: (actual): Funded projects include: 1) National Stream Gauge Network Gap Analysis. The USGS National Climate Change & Wildlife Science Center will identify and prioritize flow and water level information gaps required to improve precision and accuracy for water dependent climate change adaptation predictive models; 2) Best Land Management Practices Under Climate Change. The Wildlife Habitat Council (WHC), National Wildlife Federation (NWF), NatureServe, the Refuge System, the FWS National Conservation Training Center, and several corporate biologists will develop guidance to support the planning and implementation of natural resource land management practices in the context of climate change. The product will be a handbook and/or web-based tool, in the context of the broadly accepted best management practices (BMPs) concept. It will catalogue ongoing work, identify criteria characterizing such projects, and facilitate deconstructing complex issues such as sea level rise into addressable resource management problems. 3) Dynamic Linear Modeling. The U.S. Geological Survey, University of Washington, University of Massachusetts, and U.S. Fish and Wildlife Service will work to develop models that bridge the gap between very broad-scale empirical models with lots of uncertainty and fine-scale, mechanistic models that account for every drop of water, but are not feasible at larger landscape levels. The models developed under this proposal are necessary precursors to modeling the impacts of climate change on hydrologic regimes which play a critical role in sustaining aquatic natural resources. Fiscal Year 2011: (anticipated): This funding will be used for risk and vulnerability assessments, inventory and monitoring, population and habitat assessments and models, conservation design using specialized expertise, evaluation of management options, projects which lead to an increased understanding of conservation genetics, and other applicable research. In addition, these funds will help address unmet adaptive science needs of the Service such as: Creation of the National Fish, Wildlife, and Plants Climate Adaptation Strategy (Strategy). The Strategy will provide a unified approach reflecting shared principles and science-based practices for reducing the negative impacts of climate change on fish, wildlife, plants, habitats, and our natural resource heritage. The Strategy is a high-level framework outlining how Federal, state and tribal governments can collaborate to address the climate-related threats to

our nations fish, wildlife, and plant resources. The Service is partnering with other Federal agencies, State fish and wildlife agencies, nongovernmental organizations, academic institutions, landowners and other stakeholders to develop the Strategy using the most up to date scientific tools and information; The relationship between fish and wildlife (e.g. golden eagles) and renewable energy development; Invasive species identification, assessment and control; The population distribution and habitats of threatened and endangered species such as polar bear and Stellers eider, and; The identification of distinct population and management units in order to maintain genetic diversity essential to preserving healthy, resilient populations of fish, wildlife and plants. Fiscal Year 2012: (anticipated): Anticipated funding opportunities will be focused on funding projects related to: species risk and vulnerability assessments; inventory and monitoring; population and habitat assessments; biological planning and conservation design; management evaluation and research; and conservation genetics.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed projects will be selected on the basis of how well they meet the program and/or project-specific criteria detailed in individual Adaptive Science funding opportunity postings. Criteria will vary depending on the scope of the program or project for which applications are being accepted.

**15.805 ASSISTANCE TO STATE WATER RESOURCES RESEARCH INSTITUTES**

(Water Research Institute Program)

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Water Resources Research Act of 1984, Section 104, Public Law 98-242 as amended, 42 U.S.C. 10301 et seq.

**OBJECTIVES:**

To provide financial support to Water Resources Research Institutes located at designated State universities in each of the 50 States, Puerto Rico, the District of Columbia, Guam, the Virgin Islands, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Federated States of Micronesia for research, information transfer and student training on one or more aspects of priority water problems.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program has two parts: a mandatory formula grant program and a competitive project grant program. The mandatory grant program provides the State institutes with funds to support a State and regional program of water resources research and information transfer. This may include basic or applied research, setting up conferences to discuss research needs or results, conduct of research, information dissemination, and training of students as a byproduct of research. In general the funds are used to study regional, State, or local water problems, but the results may often have national significance. The competitive project grant program supports research focused on water problems of a regional or interstate nature and which relate to program priorities identified jointly by the State institutes and the Geological Survey. Federal funds cannot be used for (1) formal instructional activities and general education, and (2) the cost of permanent buildings, either directly or indirectly.

**Applicant Eligibility:**

One University Water Research Institute is authorized in each State and other jurisdictions specified in Section 104. Other colleges and universities within a State are encouraged to participate in the program in cooperation with the designated institute.

**Beneficiary Eligibility:**

Researchers at qualified universities and colleges in the State through the designated institute for the State.

**Credentials/Documentation:**

Proposed Research and Information Transfer Program application responsive to instructions issued by the U.S. Geological Survey. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Formula Grant Program: Requires each Institute to collaborate with State interests in defining research priorities and to coordinate with other institutes in region to avoid duplication of effort. Competitive Grant Program: Requires that the Institutes collectively collaborate with the Geological Survey in setting research priorities. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular No. A-110 and the Department of the Interior regulations at 43 CFR Part 401, Subpart C. State institutes must submit proposed annual programs on the Internet at <https://niwr.net>, as required by the individual program announcement 06HQPA0002. State Institutes must submit applications for competitive project grants on the Internet at <https://niwr.net> and <http://www.grants.gov>, as required by the program announcement.

**Award Procedure:**

Formula Grant Program: Geological Survey approves or rejects, in part or as a whole, the program submitted by each State institute. The State institutes are notified of any amendments necessary to obtain Geological Survey approval. Competitive Grant Program: Geological Survey conducts a formal review and selection procedure and approves or reject applications as a whole. Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 days.

**Appeals:**

Formula Grant Program: Deficiencies noted by the Geological Survey can normally be corrected by the State institutes. Competitive Grant Program: None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory Formula: Title 42 U.S.C. 10303(c) and (g). Amount to each State Water Research Institute under the formula grant is on a basis of one Federal share to not less than two nonfederal shares. Amount to each State Water Research Institute under the competitive grant is on a basis of one Federal share to not less than one nonfederal shares. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Formula Grant Program: Each State institute is on fiscal year basis. Competitive Grant Program: Assistance is provided for the period of the project award. See the following for information on how assistance is awarded/released: Payments are advanced at least quarterly upon application and consistent with Financial Plan submitted previously by institute for use of grant.

**Reports:**

Formula Grant Program: Each State institute makes an annual and final report on accomplishments with grant, including synopsis of research projects. Competitive Grant Program: Each institute makes an annual and final report on results of the award. Cash reports are not applicable. Progress reports are not applicable. SF 425 Federal Financial Report is required and is submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit



conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Directors of the State institutes are responsible for conduct of programs and maintaining books and records reflecting financial and technical transactions of the program. Records shall be retained and made available for audit for three years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$950,183; FY 11 est \$1,000,000; and FY 12 est \$0. (Formula Grants (Cooperative Agreements)) FY 10 \$5,171,000; FY 11 est \$5,171,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

(Formula Grants) \$92,335 to \$277,005; average \$95,755. (Competitive Grants) \$60,396 to \$247,563; average \$158,364.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10 and 11, 54 applications were received and approved under the formula grant portion of the program. In FY 10, approximately 60 applications were received under the competitive grant portion of the program and six grants were awarded. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rule, 30 CFR Part 401, 50 FR 27203, June 7, 1993; Geological Survey Request for Applications under the Water Resources Research Institute Grant Program (Section 104), Announcement 11HQPA0002, October 2010 at <https://niwr.net>. Applications under the Water Resources Research National Competitive Grant Program, Announcement No. 11HQPA0008, November 1, 2011 at <https://niwr.net>.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Schefter, Department of the Interior, Geological Survey, Office of External Research, MS 424 National Center, 12201 Sunrise Valley Drive, Reston, Virginia 20192 Email: [schefter@usgs.gov](mailto:schefter@usgs.gov) Phone: (703) 648-6800 Fax: (703) 648-5070.

**Website Address:**

<http://water.usgs.gov/wrri/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples include: Model Development for Conjunctive Use Planning and Aquifer Protection in Semi-arid Regions; Assessing the Effectiveness of Local Water Institutions in Water Management; Characterizing sources and growth potential of indicator bacteria in cold region streams; Treatment of Nitrate in Groundwater with Autotrophic Bioreactors; Imperial Valley Agriculture and Water: A Regional Economic Analysis; Mechanisms and Modeling of Soft-Bed Nutrient Release in Lakes; The Flow Dimension of Groundwater Resources in Northeastern Illinois. Descriptions of projects funded recently are provided on the Internet at <http://water.usgs.gov/wrri/projects.html>. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive Grant Program: Relevance to announced priorities, technical merit, prospects of attaining objectives in period specified and potential for student training.

**15.807 EARTHQUAKE HAZARDS REDUCTION PROGRAM**

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

42 U.S.C. 7701 et seq.

**OBJECTIVES:**

To support earthquake hazards research in order to develop information, knowledge, and methods relevant to the major Earthquake Hazards Program elements: national and regional earthquake hazards assessments; research related to earthquake information, monitoring, and notification; research on earthquake occurrence, physics, and effects; and earthquake safety policy. Specific objectives and research tasks identified as measures of progress towards the goals of these program elements are described in greater detail in the Research Priorities section of the annual Program Announcement.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Specific research objectives are identified in the annual program announcement. Applications for research projects not covered by one of the objectives are not solicited. For further information, please contact the regional office.

**Applicant Eligibility:**

Colleges, universities, profit-making, and nonprofit organizations, and State and local governments may make application for support by a named principal investigator.

**Beneficiary Eligibility:**

Research scientists, engineers, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed research. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>. Links to USGS program announcements are available through the internet site <http://www.usgs.gov/contracts>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

May 16, 2008 The application period for grants is generally open from mid-February until mid-May each year.

**Range of Approval/Disapproval Time:**

Grants and cooperative agreements will normally be awarded in 12 to 36 month budget periods.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: No statutory requirement. Recipients are encouraged to share in the cost of each research project. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements will normally be awarded in 12 or 36 month

budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports are required and must be described as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$6,726,046; FY 11 est \$7,000,000; and FY 12 est \$7,000,000

**Range and Average of Financial Assistance:**

\$6,000 to \$1,300,000; average \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Earthquake Hazards Program has funded projects covering recent tectonics and earthquake potential, research on earthquake occurrence and effects, and evaluation of regional and urban earthquake hazards. During FY 10, 64 out of 230 accepted competitive grant applications received funding. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Elizabeth Lemersal, Department of the Interior, Geological Survey, MS 905 National Center, 12201 Sunrise Valley Drive, Reston, Virginia 20192 Email: [gd-coordinator@usgs.gov](mailto:gd-coordinator@usgs.gov) Phone: (703) 648-6701 Fax: (703) 648-6642.

**Website Address:**

<http://earthquake.usgs.gov/research/external/>.

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Source zone characteristics; Earthquake monitoring and forecasting experiments; Induced seismicity studies; and Fault zone studies; and Seismic zonation and engineering studies. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Panels composed of expert scientists and engineers drawn from government, universities, and private industry evaluate all grant applications. Criteria for judging applications includes: relevance and timeliness of the proposed research to the goals of the program; technical quality of the proposal; competence of the principal investigator and recipient organization; and appropriateness and reasonableness of the budget.

**15.808 U.S. GEOLOGICAL SURVEY\_ RESEARCH AND DATA COLLECTION**

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Organic Act of 1879, 43 U.S.C. 31, 43 U.S.C. 36c.

**OBJECTIVES:**

To support research complementary to USGS program efforts in classification of the public lands and examination of the geological structure, water, mineral, and biological resources, and products of the national domain. This entry covers a variety of USGS assistance awards not covered by any other CFDA program entries. Awards are typically supported by funding from internal projects and programs, and funds are not separately budgeted or reserved for external projects or proposals under this entry.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Applications must be for scientific research projects which are within the Survey's area of responsibility. The majority of funds are used to support research that will enhance existing, long-term collaborative projects. Funds can be used for attendance at national conferences for the dissemination of project results. Further, conferences and symposia will be supported only if it is clear that equivalent results cannot be obtained at regular meetings of professional societies. Office furniture, office equipment, and foreign travel are not normally considered for support. Funds are set aside for discretionary activities.

**Applicant Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, and State and local governments may make application for support by a named principal investigator. Due to limited availability of funds to support new external projects, consultation with USGS is strongly recommended prior to submission of applications.

**Beneficiary Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, and State and local governments, industry and public decision makers, research scientists, engineers, and the general public will ultimately benefit from knowledge gained under the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed research. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. These are typically individually evaluated and funded projects; there is no annual program announcement, prospectus or other invitation for applications. The standard application form SF 424 and other forms required by OMB Circular Nos. A-102 and A-110, or their successor(s), and the Department of the Interior regulation at 43 CFR Part 12, Subparts C and D, or its revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

None. Applications may be revised and resubmitted.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Generally, no statutory requirement. Recipients are encouraged to share in the cost of each research project. Appropriations language requires cooperating State and local governments to contribute at least one-half the cost of certain cooperative water resources investigation and cooperative mapping projects.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements will normally be awarded in, but not restricted to, 12 month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$41,000,000; FY 11 est \$41,000,000; and FY 12 est \$41,000,000

**Range and Average of Financial Assistance:**

\$1,000 to \$971,000; average \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Approximately 270 grants and cooperative agreements were made to support the Geological Survey's earth science research mission. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

USGS Guide for Submission of Unsolicited Proposals is available at: <http://www.usgs.gov/contracts/grants/unsolbk.html>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate regional office, depending on the location of the study. For Alabama, Connecticut, District of Columbia, Florida, Georgia, Illinois, Indiana, Kentucky, Maine, Maryland, Massachusetts, Michigan, Mississippi, New Hampshire, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Puerto Rico, Rhode Island, South Carolina, Tennessee, Vermont, Virginia, West Virginia, and Wisconsin, write: Office of Acquisition and Grants, U.S. Geological Survey, 12201 Sunrise Valley Drive, MS 270, Reston, VA 20192. Telephone (703) 648-7359. For Arkansas, Colorado, Iowa, Kansas, Louisiana, Minnesota, Missouri, Montana, Nebraska, New Mexico, North Dakota, Oklahoma, South Dakota, Texas and Wyoming, write: Office Acquisitions and Grants, U.S. Geological Survey,

Denver Federal Center, Denver, CO 80225. Telephone: (303) 236-9315. For Alaska, Arizona, California, Hawaii, Idaho, Nevada, Oregon, Utah, and Washington, write: Office of Acquisition and Grants, U.S. Geological Survey, Modoc Hall, USGS, 3020 State University Drive East, Suite 2002, Sacramento, CA 95819. Telephone: (916) 278-9325.

**Headquarters Office:**

Geological Survey, This is not a single formal program; awards are not centrally managed or coordinated. Refer to Branch or Local Office contacts., Reston, Virginia 20192 Phone: (703) 648-4582.

**Website Address:**

<http://www.usgs.gov/contracts>.

**RELATED PROGRAMS:**

47.050 Geosciences

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Support for various boards and committees of the National Academy of Science, National Coal Resources Data System, <http://energy.er.usgs.gov/NCRA>; support for collaborative coastal and marine geology studies (Woods Hole, MA and St. Petersburg, FL), collaborative volcano monitoring, and continuing support of university observatories and earth science research facilities. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Scientists within the Geological Survey will review and evaluate all applications consistent with authorized USGS program purposes. Criteria for judging applications will include scientific excellence and relevance to the solution of important problems within the mission of the Geological Survey. Applications will be funded only to the extent permitted by available funds.

**15.809 NATIONAL SPATIAL DATA INFRASTRUCTURE COOPERATIVE AGREEMENTS PROGRAM**

NSDI CAP

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Organic Act of March 3, 1879, 43 U.S.C. 31; Executive Order 12906, April 13, 1994.

**OBJECTIVES:**

The purpose of the National Spatial Data Infrastructure Cooperative Agreements Program (NSDI CAP) is to fund innovative projects in the geospatial data community to build the infrastructure necessary to effectively discover, access, share, manage, and use digital geospatial data. The NSDI consists of the technologies, policies, organizations, and people necessary to promote cost-effective production, ready availability, and greater utilization of geospatial data among a variety of sectors, disciplines, and communities. Specific NSDI CAP areas of emphasis include: documenting, implementing, and providing outreach standards including metadata; expanding geographic information coordination across and between organizational levels; promoting geospatial best practices; advancing geospatial related Web services; framework development; and clearinghouse establishment. The results of the awarded projects benefit multiple Federal agencies as well as the overall geospatial community.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Specific objectives are identified in the annual program announcement. Applications for projects not covered by one of the objectives are not solicited. Funds are set aside for discretionary activities.

**Applicant Eligibility:**

Proposals from State and local government agencies, educational institutions, private firms, private foundations, nonprofit organizations and Federally acknowledged or state-recognized Native American tribes or groups are invited.

**Beneficiary Eligibility:**

Agencies and organizations participating in the project, as well as the general

public will ultimately benefit from this program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed project. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subpart C and D, or any subsequent revisions. The applications requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Jan 06, 2011 Deadline for FY 11 proposals was January 6, 2011. Deadline for FY 12 is expected to be in January 2012.

**Range of Approval/Disapproval Time:**

From 1 to 2 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Recipients are expected to cost-share depending upon the category of the project up to 100 percent of the amount of funding received from the Federal government. In 2011 the matching requirement for all categories of awards is 50 percent. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12-month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Semi-annual and final technical reports, formal oral presentation, and second and third year follow-up reports are required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$1,158,663; FY 11 est \$800,000; and FY 12 est \$800,000

**Range and Average of Financial Assistance:**

\$25,000 to \$60,000; average \$40,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, 26 agreements were awarded. Fiscal Year 2011: The amount of cooperative agreements expected to be awarded in FY 2011 is 21. For more info see <http://www.fgdc.gov/grants>. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Vol. 60, No. 242, December 18, 1995, page 65064; Commerce Business Daily announcement January 25, 1996, Section T, program Announcement No. 8187; internet URL <http://www.fgdc.gov/funding/cap2002.html>.

**Regional or Local Office:**

See Regional Agency Offices. Brigitta Urban-Mathieux, FGDC CAP Coordinator; Telephone: (703) 648-5175, Fax: (703) 648-5755, [burbanma@fgdc.gov](mailto:burbanma@fgdc.gov).

**Headquarters Office:**

Director, Department of the Interior, Geological Survey, Federal Geographic Data Committee Secretariat, MS 590 National Center, 12201 Sunrise Valley Drive, Reston, Virginia 20192 Email: [gdc@usgs.gov](mailto:gdc@usgs.gov) Phone: (703) 648-4150 Fax: (703) 648-5755.

**Website Address:**

<http://www.fgdc.gov/grants>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Project support implementation of different aspects of the National Spatial Data Infrastructure such as: development of standards; implementation of standards including metadata through training and outreach assistance; strategic or/and business plan development and business plan implementation in support of the NSDI Future Directions Fifty States Initiative; and development of Return on Investment Multi-agency NSDI Projects. See the FGDC website (<http://www.fgdc.gov/grants>) for summaries of funded projects. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated through formal review panels. Proposals will be evaluated on the quality and relevance of the project to the NSDI; the technical approach taken to implement the project; the level and diversity of participation and the applicant's experience and competence to perform the proposed effort successfully; and the extent to which the applicant shows evidence of a capability and willingness to continue and build upon the project when the agreement period ends.

**15.810 NATIONAL COOPERATIVE GEOLOGIC MAPPING PROGRAM**

STATEMAP and EDMAP

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

National Geologic Mapping Reauthorization Act of 2009, Public Law 111-11.

**OBJECTIVES:**

To produce geologic maps of areas in which knowledge of geology is important to the economic, social, or scientific welfare of individual States. STATEMAP supports: (1) projects which produce new geologic maps with attendant explanatory information including correlation of map units, description of map units and symbols, stratigraphic columns, geologic sections, and other pertinent information; and (2) projects which compile existing geologic data in a digital form for inclusion in the National Digital Geologic Map Database. EDMAP: Provide funding for graduate students in academic research programs, through cooperative agreements, that involve geologic mapping and scientific data analysis as major components; expand research and educational capacity of

graduate programs that teach earth science students the techniques of geologic mapping and field data analysis; and facilitate the publication and distribution of geologic maps generated in field-based graduate academic research programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

STATEMAP: Only one application will be accepted from each State geological survey. State proposals cannot include in-kind services by the U.S. Geological Survey. Travel to meetings of professional societies is not an acceptable expense for the program, nor are funds intended for the purchase of computer hardware, software, or other nonexpendable property. EDMAP: Proposals cannot include a request for in-kind services by the U.S. Geological Survey. Funds are not intended for the purchase of capital equipment. For further information, please contact the regional office.

**Applicant Eligibility:**

STATEMAP program is restricted by statute to State geological surveys. Where State surveys are organized under a State university system, an application may be submitted by a State college or university on behalf of the State geological survey. EDMAP program is restricted to universities with geoscience or related departments or programs.

**Beneficiary Eligibility:**

State geological surveys participating in this program and the general public will ultimately benefit from this program.

**Credentials/Documentation:**

Proposals for STATEMAP must include a letter of support from the State Geologic Mapping Advisory Committee or equivalent to qualify for funding. Proposals for EDMAP must include a letter of support from a State Geologist or USGS Project Chief. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Proposals must include copies of letters of support, figures, and tables. Proposals including forms cannot exceed 30 pages for STATEMAP and 10 paged for EDMAP. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Nov 01, 2010 STATEMAP Each year the Requests for Proposals (RFP) will be distributed in early September. Applications must be received in early November (the exact date will be announced in the RFP). EDMAP Each year the Requests for Proposals (RFP) will be distributed in early September. Applications must be received in early November (the exact date will be announced in the RFP).

**Range of Approval/Disapproval Time:**

STATEMAP Approval/disapproval will be announced by mid-February. EDMAP Approval/disapproval will be announced by late February.

**Appeals:**

Not Applicable.

**Renewals:**

STATEMAP: Proposals must be submitted for a 1-year project period only. However, projects that were approved and funded during the previous fiscal

year may be submitted as renewals (competing continuations). A completely new proposal subject to full review, must be submitted each year. EDMAP Proposals may be submitted which request performance periods of either 1 or 2 years. If approved, the proposal will be funded for the first year only. Funding for year two will be determined through the annual competitive announcement.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The STATEMAP program is required by Public Law 111-11 to be carried out on a 1:1 matching basis; each recipient must match each Federal dollar with a nonfederal dollar. The nonfederal share may be contributions of services or cash provided to contractors to perform geologic mapping or other services directly applicable to proposed work on the project. The specific source(s) of the State contribution, such as State legislative appropriation, must be provided in the proposal. The EDMAP program is required by Public Law 111-11 to be carried out on a 1:1 matching basis; each recipient must match each Federal dollar with a nonfederal dollar. The nonfederal share may be a contribution of funds or services. Such services can include those related to the student research project or cash provided to contractors, i.e., field assistants to perform geologic mapping or other services directly applicable to proposed work on the project. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 1 year budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. STATEMAP and EDMAP: All deliverables (geologic maps and accompanying information) are due on or before the last day of the grant year. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 10 \$519,060; FY 11 est \$566,161; and FY 12 est \$560,000 - EDMAP. (Cooperative Agreements (Discretionary Grants)) FY 10 \$6,824,875; FY 11 est \$6,943,861; and FY 12 est \$6,940,000 - STATEMAP.

**Range and Average of Financial Assistance:**

STATEMAP: \$29,022 to \$232,509; average \$157,815. EDMAP: \$9,015 to \$17,308 per student; average \$13,657. The maximum award allowed per student is \$17,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: STATEMAP: In FY 10, 44 awards were made to State geological surveys which matched every federal dollar with a State dollar. EDMAP: In FY 10, a total of 54 students from 30 universities were funded. Each federal dollar was matched 1:1 by a university dollar. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program announcements are available on the Internet at <http://www.grants.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Contact Douglas A. Howard, Program Coordinator, National Cooperative Geologic Mapping Program, E-mail: [dahoward@usgs.gov](mailto:dahoward@usgs.gov).

**Headquarters Office:**

Douglas A. Howard Department of the Interior, U.S. Geological Survey, MS 908 National Center, 12201 Sunrise Valley Drive, Reston, VA 20192. , Reston, Virginia 20192 Email: [dahoward@usgs.gov](mailto:dahoward@usgs.gov) Phone: (703) 648-4150 Fax: (703) 648-5755.

**Website Address:**

<http://www.ncgmp.usgs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals for both STATEMAP and EDMAP are included in the Geological Survey program announcements.

**15.811 GAP ANALYSIS PROGRAM**

GAP

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et seq., Fish and Wildlife Act of 1956, 16 U.S.C. 742 et seq., Fish and Wildlife Conservation Act, 16 U.S.C. 661 et seq., Omnibus appropriations Act, Public Law 108-7.

**OBJECTIVES:**

Studies where native animal species and natural plant communities occur and identifies "gaps" in their representation to support conservation of biodiversity.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

GAP is used by Federal agencies, State agencies and other governmental bodies to develop land use or acquisition plans that incorporate information about the presence and distribution of biodiversity. There are no use restrictions. Funds are set aside for discretionary activities.

**Applicant Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, and State and local governments may make application for support by a named principal investigator.

**Beneficiary Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, State and local governments, as well as the general public will ultimately benefit from this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use the form SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements contained in the

announcement package and the above regulations must be used for this program. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Information not available.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12 month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed through the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$1,531,065; FY 11 est \$1,500,000; and FY 12 est \$1,500,000

**Range and Average of Financial Assistance:**

\$25,000 to \$558,000; average of \$118,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, nine cooperative agreements were awarded to carry out the GAP Analysis Program. Fiscal Year 2011: The number of agreements in FY11 and future years is expected to be similar. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program announcement is available on the Internet at <http://www.gap.analysis.nbii.gov> and [www.grants.gov](http://www.grants.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Coordinator, National GAP Program, 530 S Asbury Suite 1 ,

Moscow, Idaho 83843 Phone: (888) 275-8747.

**Website Address:**

<http://gapanalysis.usgs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY 10, the project, Develop, Translate or Augment and Maintain a Protected Areas Geodatabase that Contributes Directly to the PAD-US was awarded to eight states: Colorado, Florida, Idaho, Missouri, Montana, New Mexico, Oregon, Virginia. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Scientists within the Geological Survey will review and evaluate all applications submitted. Criteria for judging applications will include scientific excellence and relevance to the solution of important problems within the mission of the Geological Survey. Generally, applications will be funded only to the extent permitted by available funds.

**15.812 COOPERATIVE RESEARCH UNITS PROGRAM**

CRUP

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Cooperative Research Units Act, Public Law 86-686, Sec. 1, Sept. 2, 1960, 74 Stat. 733, as amended by the Fish and Wildlife Improvement Act of 1978, Public Law 95-616, Sec. 2, Nov. 8, 1978, 92 Stat. 3110.

**OBJECTIVES:**

To work in partnership with States and universities to address the information needs of local, State, and Federal fish, wildlife, and natural resource agencies through research, technical assistance, and education.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Authority is limited to research with an educational component conducted through one of 40 Cooperative Fish and Wildlife Research Units and their host universities. Awards are limited to information needs related to fish, wildlife, ecology, and natural resources of interest to program cooperators and partners. Funds are for discretionary activities.

**Applicant Eligibility:**

Universities hosting Cooperative Fish and Wildlife Research Units established under authority of the Cooperative Research Units Act of 1960.

**Beneficiary Eligibility:**

Federal, State and local governments, industry and public decision makers, research scientists, State institutions of higher education, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Proposed research application responsive to the instructions issued by the USGS. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Requires each research project to be conducted in collaboration and cooperation with USGS personnel stationed at Cooperative Fish and Wildlife Research Units, and cooperating agency representatives. Discussions to determine interest and appropriateness of research projects for a Cooperative Fish and Wildlife Research Unit are required before proposals are submitted. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application form Standard Form (SF) 424 must be used. This program is subject to the provisions of OMB Circular No. A-110, or its successor, and the Department of the Interior

regulations at 43 CFR Part 401, Subpart C. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a Research Work Order document from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 3 months.

**Appeals:**

Not Applicable.

**Renewals:**

All projects have a limited duration not to exceed 5 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project duration may not exceed 5 years. Funds are released as required. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$19,264,694; FY 11 est \$20,000,000; and FY 12 est \$20,000,000 - Research Work Orders funded with reimbursable funds provided by other Federal programs. No funds appropriated to the program are set aside or are separately identifiable for project grants. Recipients request payment as needed throughout the award period.

**Range and Average of Financial Assistance:**

\$5,000 to \$615,000; average \$33,660.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10 353 Research Work Orders were active at cooperating universities. Fiscal Year 2011: The number of Research Work Orders active in FY 11 is expected to be about 400. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided to each of the 40 universities participating in the Cooperative Research Units Program.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Kevin G. Whalen, Department of the Interior, Geological Survey, Cooperative Research Units, 12201 Sunrise Valley Drive, Mail Stop 303, Reston, Virginia 20192 Email: kwhalen@usgs.gov Phone: (703) 648-4062 Fax: (703) 648-4269.

**Website Address:**

<https://www.coopunits.org>

**RELATED PROGRAMS:**

15.813 Cooperative Research Units Training Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Development and assessment of Adaptive Management methods; lamprey and salmonid migration and survival past dams; grassland birds following Hurricane Katrina; king rail habitat models; risk of fish disease introductions; biomarkers of fish endocrine disruptors; effects of commercial harvest on shovelnose sturgeon; human disturbance effects on warbler behavior; fish and amphibian conservation genetics, invasive species control techniques; use of UAV systems for natural resource management; climate change and water management effects in ridge-slough mosaics; hierarchical soil nutrient mapping for improved ecosystem change detection; endangered/threatened species research; factors effecting spread of CWD; effects of contaminants and toxins on fish; blood fractions as indicators of protein balance in reindeer and caribou; modeling the dynamics of avian influenza in wild birds; assessment of wildlife vulnerability to energy development. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must address natural resource and environmental issues of concern to federal agencies and be acceptable to local program cooperators and universities hosting Cooperative Fish and Wildlife Research Units. The Unit Leader of each Unit must determine this before the Unit and its host university submits a proposal to USGS. Projects must be for research and have educational components for graduate training, including post-doctoral fellows.

**15.813 COOPERATIVE RESEARCH UNITS TRAINING PROGRAM**

CRUTP

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Organic Act of 1879, 20 U.S.C. 1060.

**OBJECTIVES:**

To provide financial support to Minority Serving Institutions (MSIs) to introduce a culturally diverse group of students, primarily undergraduates, to the fields of freshwater fisheries and aquatic sciences and train them for careers in the natural resources professions.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

To provide MSIs with funds to offer training opportunities supporting the program objectives in accordance with an approved budget, plus appropriate amount for indirect costs. Grantees must agree to administer the grant in accordance with the regulations and policies governing the grants program of the U.S. Geological Survey. For further information, please contact the regional office.

**Applicant Eligibility:**

Accredited 4-year Historically Black College or Universities (HBCUs) under Title III Part B of the Higher Education Act of 1965, as amended (20 U.S.C. 1060 et seq.) with program studies in the freshwater fisheries and/or aquatic sciences.

**Beneficiary Eligibility:**

Undergraduate, graduate, or professional students enrolled or accepted for enrollment as regular students; who maintain satisfactory academic progress in accordance with the eligibility standards and practices of the grantee institution.

**Credentials/Documentation:**

Proposed program application responsive to instructions issued by the U.S. Geological Survey. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application form Standard Form (SF) 424 Application for Federal Assistance must be used. This program is subject to the provisions of OMB Circular No. A-110, or its successor, and the Department of the Interior regulations at 43 CFR Part 401, Subpart C. Applicant must submit proposed projects on <http://www.grants.gov> as required by the individual program announcement.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

2 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally awarded in, but not restricted to, 12 month budget periods. Project duration may not exceed 5 years. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are typically required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final financial reports must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain records for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$150,000; FY 11 est \$150,000; and FY 12 est \$150,000

**Range and Average of Financial Assistance:**



\$100,000 to \$180,000; average \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The National Cooperative Fisheries Scholars Program (NCFSP) at the University of Arkansas, Pine Bluff continues to meet its objectives. The NCFSP continues to offer 4-year full scholarships to undergraduate students earning their Bachelor of Science degree in Fisheries Biology at UAPB. Because minorities interested in careers in natural resource management are rare, the NCFSP has continued to successfully recruit prospective students nationwide. Over the last several years, the NCFSP has developed contacts with vocational agriculture teachers, math and science instructors, and guidance counselors at high schools across the country. The program relies on these contacts to identify likely applicants for scholarships. The NCFSP also actively recruits among high school students that have participated in the American Fisheries Society's Hutton Junior Fisheries Biology Program. High school students who participate in the Hutton Program and still want to pursue a career in fisheries biology are less likely to change majors while earning their fisheries degree, and more likely to take advantage of the numerous professional development opportunities available while in school. These students also are more likely to pursue graduate degrees in fisheries or a related natural resource field. Several NCFSP participants have secured summer internships with USGS research facilities to enhance their educational experience. Other graduates of the NCFSP at UAPB have gone on to be accepted to graduate school in one of the Cooperative Research Unit program host universities. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

USGS guide for submission of proposals is available to:  
<http://www.usgs.gov/contracts/grants/unsolbk.html> .

**Regional or Local Office:**

None.

**Headquarters Office:**

Kevin G. Whalen, Department of the Interior, Geological Survey, MS 303 National Center, 12201 Sunrise Valley Drive, Reston, Virginia 20192 Email: [kwhalen@usgs.gov](mailto:kwhalen@usgs.gov) Phone: (703) 648-4062 Fax: (703) 648-4269.

**Website Address:**

[www.usgs.gov](http://www.usgs.gov).

**RELATED PROGRAMS:**

15.812 Cooperative Research Units Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A panel of CRU scientist and program managers that may include external peers will review the proposals. All proposals will be evaluated and rated in accordance with established criteria with includes relevance to announced priorities, technical merit, prospect of attaining objectives in period specified and potential for student training. Final award determination will be made by the CRU project officer.

**15.814 NATIONAL GEOLOGICAL AND GEOPHYSICAL DATA PRESERVATION PROGRAM**

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

The Federal Energy Policy Act of 2005, Section 351, Public Law 109-58.

**OBJECTIVES:**

To preserve and provide access to geological, geophysical, and engineering samples (and any related data) extracted from the Earth to improve the breadth of information available and to inform science and decision making now and in the future.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Specific objectives are identified in the annual program announcement. Applications for proposals not covered by one of the objectives are not solicited. For further information, please contact the regional office.

**Applicant Eligibility:**

State geological surveys are eligible to apply. For State geological surveys organized under a State university system, such universities may submit a proposal on behalf of or through the State geological survey.

**Beneficiary Eligibility:**

Research scientists, engineers, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Three to six months after submittal of proposal or bureau receipt of appropriations, whichever is later.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: In order to gain the greatest leverage of limited Federal and State funds, each proposed State originated program must show a 1:1 Federal/State match of direct-and indirect-cost dollars. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will normally be awarded in 12-month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final financial reports must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General, or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations.

**Records:**

Records shall be retained and made available for audit for three years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$542,000; FY 11 est \$638,000; and FY 12 est \$550,000 - Recipients request payment as needed throughout the award period.

**Range and Average of Financial Assistance:**

\$2,000 to \$49,073; average \$22,928.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY10, 30 states applied and the Program awarded approximately \$638,000 to 24 States to continue inventorying collections, creating metadata for items in those collections, for digital conversion, and to rescue geoscience collections and data in imminent danger of loss. Fiscal Year 2011: In FY11, 28 state geological surveys submitted proposals and the Program has approximately \$550,000 available for grants. Proposals have not yet been reviewed and funding decisions have not been made. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Betty Adrian Department of the Interior, U.S. Geological Survey, Box 25046, MS 975 Denver Federal Center, Core Science Systems, Denver, Colorado 80225 Email: badrian@usgs.gov Phone: (303) 202-4852

**Website Address:**

<http://datapreservation.usgs.gov/index.shtml>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY 10, State geological surveys applied for funds from the National Geological and Geophysical Data Preservation Program to inventory their geoscience collections, create metadata for items in those collections, to convert paper or digital files to new digital formats, and to rescue geoscience collections and data in imminent danger of loss. Thirty states applied and 24 were granted funding. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Relevance to announced priorities, technical merit, and prospect of attaining program objectives.

**15.815 NATIONAL LAND REMOTE SENSING\_ EDUCATION OUTREACH AND RESEARCH**

National Cooperative Geographic Information System

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Public Law 110-161, Organic Act 1879, 43 U.S.C. 31.

**OBJECTIVES:**

To promote the uses of space-based land remote sensing data and technologies through education and outreach at the State and local level and through university based and collaborative research projects. Technologies of interest include multispectral and hyper-spectral electro-optical, thermal, and radar.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Specific objectives are identified in the annual program announcement. Applications for research projects not covered by one of the objectives are not solicited. Funds are set aside for discretionary activities.

**Applicant Eligibility:**

Nonprofit organizations, Public and Private colleges and universities, and State and local governments may make an application for support by a named principal investigator.

**Beneficiary Eligibility:**

States, research scientists, engineers, education (0-13+) and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed education, outreach and research activities. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will normally be awarded in 1 to 2 year budget periods. The project duration is not to exceed 5 years. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. No cash reports are required. No progress reports are required. Quarterly and final financial reports must be submitted as described in the award terms and conditions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular A-110, or superseding regulations.

**Records:**

All records must be retained and made available for audit for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$967,400; FY 11 est \$967,400; and FY 12 est \$967,400

**Range and Average of Financial Assistance:**

\$950,000 to \$1,000,000; average \$967,400.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This program focuses on satellite remote sensing data and technologies in support of applied research, K-16 education, workforce development and technology transfer. Federal funds are leveraged to work together with other State organizations, Federal agencies and across States (StateViews). Continued educational and technical working groups. Continued work to develop remote sensing curricula that can be shared with and tailored to each participating educational institution (as well as work force training). Select States worked to create a shareable archive of all kinds of remote sensing data that all State organizations can access. Increased education and training in Earth sciences (K-12 and universities). Conducted critical applied research real-time applications relevant to each State, sometimes expanding to a region of the US. Provided feedback and helping U.S. Geological Survey understand State needs. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas Cecere, Land Remote Sensing Program Office, Geography Division, Geological Survey, 517 National Center, Reston, Virginia 20192 Email: tcecere@usgs.gov Phone: (703) 648-5551 Fax: (703) 648-5939.

**Website Address:**

<http://www.usgs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The National Land Remote Sensing Education, Outreach and Research Program has funded projects that assure that all users of remotely sensed data have equal, affordable access to the data and can establish the means to conduct research using the data. Additionally, this program has funded projects focusing on K-16 outreach, remote sensing course development for the public, and the tailoring of remotely sensed imagery for State and local scientific and public use. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Panel composed of expert scientists and administrators drawn from government evaluate all assistance applications. Criteria for judging applications includes: relevance and timeliness of the proposed research to the goals of the program; technical quality of the proposal; competence of the principal investigator and recipient organization; and appropriateness and reasonableness of the budget.

**15.816 MINERALS RESOURCES EXTERNAL RESEARCH PROGRAM**

MRERP

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

30 U.S.C. 1601 et. seq.

**OBJECTIVES:**

To conduct research in topics related to nonfuel mineral resources in order to (1) ensure availability of up-to-date quantitative assessments of potential for undiscovered mineral deposits, (2) Ensure availability of up-to-date geoenvironmental assessments, (3) ensure availability of reliable geologic, geochemical, geophysical, and mineral locality data for the United States, and (4) ensure availability of long-term data sets describing mineral production and consumption.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Specific objectives are identified in the annual program announcement. Applications for research projects not covered by one of the objectives are not solicited. Funds are set aside for discretionary activities.

**Applicant Eligibility:**

Colleges, universities, profit-making, and nonprofit organizations, and State and local governments may make application for support by a named principal investigator.

**Beneficiary Eligibility:**

Research scientists and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulation at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications must be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 7 to 9 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: No statutory requirement. Recipients are encouraged to share in the cost of each research project. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements will normally be awarded in 12 or 24 month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as products, are required and must be submitted as described in the award terms and conditions. No cash reports are required. No progress reports are required. Quarterly and final financial reports are required and must be submitted as described in the award terms and conditions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations.

**Records:**

All records shall be retained and made available for audit for 3 years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$317,098; FY 11 est \$102,938; and FY 12 est \$102,938

**Range and Average of Financial Assistance:**

\$15,000 to \$151,000; average \$60,303.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Since its initiation in 2004, the Mineral Resource External Research Program (MRERP) has awarded approximately \$2.5 million to 42 different research projects across the country. The MRERP has funded projects covering mineral deposit genesis, regional controls on minerals systems, mineral environmental characteristics of ore deposits, and materials flow studies. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeff Doeblich, Mineral Resources Program, Geological Survey, 913 National Center, Reston, Virginia 20192 Email: mrerp@usgs.gov Phone: (703) 648-6103 Fax: (703) 648-6057.

**Website Address:**

<http://minerals.usgs.gov/mrerp> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Geochronology of mineralizing systems; Characterization of mine waste using state-of-the-art analytical techniques; Reconstruction of structurally dismembered mineral systems; Service lifetimes of mineral end uses. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels composed of expert scientists drawn from government, universities, and private industry evaluate all assistance applications. Criteria for judging applications includes: relevance and timeliness of the proposed research to the goals of the program; technical quality of the proposal; competence of the principal investigator and recipient organization; and appropriateness and

reasonableness of the budget.

**15.817 NATIONAL GEOSPATIAL PROGRAM: BUILDING THE NATIONAL MAP**

The National Map

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Organic Act of 1879; 43 U.S.C. 31; 43 U.S.C. 36(c); 43 U.S.C. 36(d); Department of the Interior and Related Agencies Appropriations Act of 2003, Public Law 108-7; and American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5).

**OBJECTIVES:**

To organize, maintain, publish, and disseminate the geospatial baseline of the Nations topography, natural landscape, and built environment through The National Map, a set of basic geospatial information provided as a variety of products and services; to foster a general understanding of broad geographic patterns, trends, and conditions through The National Atlas of the United States of America; and to increase the efficiency of the Nations geospatial community by improving communications about geospatial data, products, services, projects, needs, standards, and best practices.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Applications must be for data collection and research projects which are consistent with the objectives of the National Geospatial Program's orthoimagery and elevation activities. The majority of funds are used to support new data collections, existing, long-term collaborative projects that will enhance the datasets and research using those data. Specific objectives are identified in the program announcement. Applications for projects not covered by one of the objectives are not solicited. For further information, please contact the regional office.

**Applicant Eligibility:**

Proposals from State, Local, Interstate, Federally or State recognized Indian Tribal Governments, US Territories and Possessions, Institutions of Higher Education, Private Foundations, and Nonprofit Organizations are invited. Due to limited availability of funding to support new external projects, consultation with the Geological Survey is strongly recommended prior to submission of applications.

**Beneficiary Eligibility:**

Interstate, State, intrastate, and local government agencies, educational institutions, private firms, private foundations, nonprofit organizations, Federally-acknowledged or state-recognized Native American tribes or groups, U.S. territories and possessions, public decision makers, research scientists, engineers, graduate students, students/trainees, and the general public will ultimately benefit from knowledge gained under the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed research. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Notwithstanding the provision OMB Circular A-110, Subpart C, \_25(e)(1), discussions regarding funding availability and program interest are strongly encouraged, as limited funding is available for new projects. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the Grants.gov announcement packages and the above regulations must be used for this program. Instructions for submitting applications are contained in each

announcement package posted to [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

One to three months.

**Appeals:**

Not applicable except that application may be revised and resubmitted.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Recipients are encouraged to share in the cost of each project. Typical appropriations language requires cooperating State and local governments to contribute at least one-half of the cost of cooperative mapping projects. Proposals with 50% or greater matching funds will receive the highest consideration in order to maximize benefits from these assistance funds. Maintenance of effort requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for, but not restricted to, 12 to 18 month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are typically required and must be submitted as described in the award terms and conditions. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in announcement packages at [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. Progress reports are not applicable. Quarterly and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General or authorized audit agency access to and the right to examine records related to the award. Audit info. If 'No' is selected: "This program is excluded from coverage under OMB Circular No. A-133."

**Records:**

Records shall be retained and made available for audit for 3 years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306 - TAFS Code: 14-0803 2009/2010.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$6,882,859; FY 11 est \$1,000,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

\$72,000 to \$500,000; average \$312,857.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY 10: 74 applications received, 22 awards granted. Fiscal

Year 2011: No data available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Geological Survey Guide for Submission of Unsolicited Proposals is available at <http://www.usgs.gov/contracts/grants/unsolbkc.html>.

**Regional or Local Office:**

See Regional Agency Offices. For individually-awarded projects, contact the appropriate office, depending on the location of the study. See the "Partnership Network" listing at [http://nationalmap.gov/tnm\\_partnerships.html](http://nationalmap.gov/tnm_partnerships.html).

**Headquarters Office:**

National Geospatial Program, Geological Survey, 12201 Sunrise Valley Drive, MS 510, Reston, Virginia 20192 Phone: (703) 648-5519.

**Website Address:**

<http://www.nationalmap.gov>

**RELATED PROGRAMS:**

10.903 Soil Survey; 15.808 U.S. Geological Survey\_ Research and Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Collection and processing of orthoimagery and elevation data over entire State, County, and other areas of interest to support local planning, emergency response applications, resource assessments, coastal erosion studies, soil erosion and slope stability assessments, land cover change studies, transportation planning, and other scientific and resource management evaluations. See the website [http://nationalmap.gov/tnm\\_partnerships.html](http://nationalmap.gov/tnm_partnerships.html) for summaries of funded projects. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of expert geographers, cartographers, physical scientists and geodesists within the Geological Survey will review and evaluate all applications consistent with authorized USGS program purposes. Criteria for judging applications will include scientific excellence and relevance to the mission of the National Geospatial Program of the Geological Survey. Other factors include geographic location and areal extent, value to potential partners, technical qualifications of the recipients, and amount of matching funds.

**15.818 VOLCANO HAZARDS PROGRAM RESEARCH AND MONITORING.**

Volcano Hazards Program

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Outer Continental Shelf Resource Management, 43 U.S.C. 36(d); American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To advance the scientific understanding of volcanic processes and to lessen the harmful impacts of volcanic activity. The Volcano Hazards Program (VHP) monitors active and potentially active volcanoes, assesses their hazards, responds to volcanic crises, and conducts research on how volcanoes work to fulfill a Congressional mandate (Public Law 93-288) that the USGS issue "timely warnings" of potential volcanic hazards to responsible emergency-management authorities and to the populace affected. VHP provides domestic assistance in order to expand the expertise and capabilities applied to fulfilling its mission.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Cooperative Agreements are entered into for the purpose of conducting monitoring and research as specified in Public Law 93-288. For further information, please contact the regional office.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed research and operations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Notwithstanding the provision at OMB Circular A-110, Subpart C, \_\_.25 (e)(1), discussions regarding funding availability and program interest are strongly encouraged, as limited funding is available for new projects. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Established annually. The range of approval/disapproval time is from 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Recipients are encouraged to share in the cost of each research project.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in, but not restricted to, 12 month budget periods. Project duration may not exceed 5 years. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Quarterly and final financial reports, annual and final technical reports, as well as other products, are typically required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. No progress reports are required. Quarterly and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations. Audit info. If 'No' is selected: "This program is excluded from coverage under OMB

Circular No. A-133."

**Records:**

Records must be maintained and made available for audit for three years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306 - TAFS code: 14-0803 2009/2010.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,580,753; FY 11 est \$2,000,000; and FY 12 est \$2,000,000. (Cooperative Agreements (Discretionary Grants)) FY 10 \$6,995,827; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$20,000 to \$2,000,000; average \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: \$6.99M in ARRA funds awarded for cooperative agreements with 17 universities and state agencies, for work in FY 10 and FY 11. Fiscal Year 2011: FY 11 ARRA cooperative agreement work scheduled to be completed by September 30, 2011. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Eichelberger, Volcano Hazards Program Office, Geologic Discipline, Geological Survey, 904 National Center, Reston, Virginia 20192 Email: [jeichelberger@usgs.gov](mailto:jeichelberger@usgs.gov) Phone: (703) 648-6711 Fax: (703) 648-5483.

**Website Address:**

<http://volcanoes.usgs.gov/>

**RELATED PROGRAMS:**

47.050 Geosciences

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FY 10: investigations of recent volcanic eruptions in Alaska; hazard risk modeling in Oregon. Fiscal Year 2011: LiDAR imagery of Cascade volcanoes and real-time gas monitoring at Kilauea. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Scientists within the Geological Survey will review and evaluate all applications consistent with authorized USGS program purposes. Criteria for judging applications will include scientific excellence and relevance to the solution of important problems within the mission of the Geological Survey. Applications will be funded only to the extent permitted by available funds.

**15.819 ENERGY COOPERATIVES TO SUPPORT THE NATIONAL COAL RESOURCES DATA SYSTEM (NCRDS)**

NCRDS

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Public Health and Welfare, 42 U.S.C 15801; Minerals, Lands and Mines, 30 U.S.C 208-1; Public Lands, 43 U.S.C 31 et. seq.

**OBJECTIVES:**

To collect, interpret, correlate, and evaluate coal and other solid fuel energy-related stratigraphic, chemical, and GIS data; to build and maintain national databases of coal-related stratigraphic and chemical data; to conduct research relative to coal and other solid fuel energy and apply knowledge gained to conduct resource assessments within the United States in order to further the understanding of energy resources within a global, geologic, economic and environmental context.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Funds may be used to conduct research to further the understanding of U.S. energy resource occurrence (coal, gas shale, coalbed methane) and their geologic characteristics. Applications for proposals not covered by at least one of the objectives in the Program Announcement are not solicited. For further information, please contact the regional office.

**Applicant Eligibility:**

Applicants can be affiliated (but are not required to be affiliated) with State agencies, universities, Tribal governments or organizations. Applications must have the ability to conduct research consistent with the Energy Resources Program goals. Applicants must not be employed by a U.S. Federal agency.

**Beneficiary Eligibility:**

Research scientists, their agencies, and ultimately the general public will benefit from the program.

**Credentials/Documentation:**

None specific, although proposal should contain evidence of personnel qualifications for performance of the work. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be submitted through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Jul 01, 2010 to Jun 30, 2015: Most projects start on July 1 and end on June 30 on a year-by-year basis. Program Announcement 10HQPA0010 instituted a 5-year cycle from FY10 through FY14 (June 30, 2015).

**Range of Approval/Disapproval Time:**

Four to six months after submittal of proposal or bureau receipt of appropriations, whichever is later.

**Appeals:**

Not Applicable.

**Renewals:**

Annual renewals for continuation of work may occur through the 5-year cycle (FY 2010 to FY 2014), subject to the availability of annual funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: No statutory requirement. In order to gain the greatest leverage of limited Federal and State funds, each proposed State-originated program should indicate some State matching of direct- and indirect-cost dollars. Exceptions may be granted for ratios far below 1:1. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will normally be awarded in 12 month budget periods, with the budget periods cumulative to the end of the total project period. In FY 10, a new 5-year cycle project period was initiated, with annual funding for FY 11-14 based on future availability of funds. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

Annual and final technical reports, as well as other products, are typically required and must be submitted as described in the award terms and conditions.

Cash reports are not applicable. Progress reports are not applicable. Quarterly and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants must agree to give the sponsoring agency, the Comptroller General, or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular A-110, or superseding regulations.

**Records:**

Recipient records shall be retained and made available for audit for three years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$428,620; FY 11 est \$380,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$15,000- \$26,000; average \$15,190.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Stratigraphic data points produced from these projects were added to the national database and review and editing of existing data are ongoing. Coal and gas shale petrography studies were completed and used by the State and within USGS resource assessment projects. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan J. Tewalt, Department of the Interior, Geological Survey, Energy Resources Program, MS 911 National Center, Reston, Virginia 20192 Email: [stewart@usgs.gov](mailto:stewart@usgs.gov) Phone: (703 ) 648-6437 Fax: (703 ) 648-6419.

**Website Address:**

[http://energy.er.usgs.gov/coal\\_quality/state\\_coops](http://energy.er.usgs.gov/coal_quality/state_coops)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Two examples from 25 funded projects: Texas gas-shale samples for thermal maturity determination Texas Bureau of Economic Geology and Collection and generation of coal and geochemical data in support of surface mining, coalbed methane, and underground coal gasification North Dakota Geological Survey. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

A panel evaluates proposal to relevance to announced priorities, technical merit, and prospect of attaining program objectives. The review process is detailed in a Technical Evaluation document.

**15.820 NATIONAL CLIMATE CHANGE AND WILDLIFE SCIENCE CENTER**

NCCWSC

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Consolidated Appropriations Act of 2008, Public Law 110-161, 43 U.S.C 36(d).

**OBJECTIVES:**

To develop mechanisms that will ensure that the National Climate Change and Wildlife Science Center is responsive to the research and management needs of Federal and State agencies by working with partners to provide science and technical support regarding the impacts of climate change in fish, wildlife, plants and ecological processes and the mechanisms for adaptation to, mitigation of, or prevention of those impacts. Center activities will focus on providing national and regional habitat and population modeling and forecasting tools, integrating physical climate models with ecological models, assessing vulnerabilities and forecasting changes, and developing standardized approaches.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The Department of the Interior (DOI) Climate Science Centers are being developed according to a consistent national strategy developed at the national level by the NCCWSC. National coordination of research and modeling at the DOI regional Climate Science Centers will ensure uniformity of downscaling and forecasting models and standardized information to support management of fish and wildlife resources and regional partnership collaborations. The DOI Climate Science Centers will develop Cooperative Agreements and other assistance with qualified institutions to ensure the Center is responsive to national, eco-regional and local needs of Federal, State, Tribal and local partners. In addition to selection of institutions to serve as hosts for DOI Climate Science Centers, this program includes entering into Cooperative Agreements and other assistance, either through a CSC or by the NCCWSC, for the conduct of specific research, data gathering, data management and similar scientific activities. For further information, please contact the regional office.

**Applicant Eligibility:**

Institutions of higher education, federal, state, not-for-profit, local government, and tribal entities are eligible to apply.

**Beneficiary Eligibility:**

Research scientists, policy makers, natural resource managers, educators, and the general public will benefit from the program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subpart F, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Four to six months after submittal of proposal or Bureau receipt of appropriations, whichever is later.

**Appeals:**

Not Applicable.

**Renewals:**

Annual renewals for continuation of work may occur through the five-year cycle of a cooperative agreement (FY 2010 to FY 2014) subject to the availability of annual funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Recipients are encouraged to share in the cost of each project.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12-month budget periods, with budget periods cumulative to the end of the total 5-year project period. Annual renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are typically required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Quarterly Federal Financial Reports SF 425 and final reports must be submitted as required in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records shall be retained and made available for audit for 3 years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$6,000,000; FY 11 est \$6,000,000; and FY 12 est \$6,000,000 - Recipients request payment as needed throughout the award period.

**Range and Average of Financial Assistance:**

The range for CSC financial assistance is \$300,000 to \$1,400,000; the average for CSC financial assistance is \$850,000. The range for scientific activities is from \$25,000 to \$500,000; the average for scientific activities is \$262,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Results of scientific activities are communicated to customers in academia, science and resource management agencies, and the general public through models, decision support tools, project reports and peer-reviewed scientific papers, web sites, databases, and meetings with stakeholders. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Headquarters Office, below.

**Headquarters Office:**

Nadine Hartke, Department of the Interior, U.S. Geological Survey, National Climate Change and Wildlife Science Center (NCCWSC), MS-300 National Center, 12201 Sunrise Valley Drive, Reston, Virginia 20192 Email: [nhartke@usgs.gov](mailto:nhartke@usgs.gov) Phone: (703) 648-4607.

**Website Address:**

<http://nccwsc.usgs.gov>



**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Not Available. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Scientists within the Geological Survey, bureaus and offices in the Department of the Interior will review and evaluate all applications consistent with authorized program purposes. Criteria for judging applications will include scientific excellence and relevance to the solution of important problems within the mission of the Department of the Interior. Applications will be funded only to the extent permitted by available funds.

**15.875 ECONOMIC, SOCIAL, AND POLITICAL DEVELOPMENT OF THE TERRITORIES****FEDERAL AGENCY:**

Office of Insular Affairs, Department of the Interior

**AUTHORIZATION:**

The Guam Organic Act, 64 Stat. 384, 48 U.S.C. 1421 et. seq., Act of February 20, 1929, 48 U.S.C. 1661; Executive Order 10264; Public Law 83-517, 48 U.S.C. et. seq.; Public Law 94-241, Public Law 104-134, Public Law 108-188, and Public Law 99-658.

**OBJECTIVES:**

To empower insular communities through the social, economic, and political development of the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands as well as the three Freely Associated States: The Federated State of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial assistance is limited to the U.S. territories, the Freely Associated States and to non-profit organizations whose missions directly benefit these seven insular areas. A notable exception is the state of Hawaii which receives Compact Impact aid mandated by Public Law 108-188 and Brown Treeshake Control Program funding. Financial assistance is used for a variety of activities including capital improvements, government operations, and technical assistance.

**Applicant Eligibility:**

Eligible applicants are the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands, the state of Hawaii; the Freely Associated States of the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau; and any non-profit organizations whose missions directly benefit the seven insular areas.

**Beneficiary Eligibility:**

Beneficiaries are the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands; the state of Hawaii; and the Freely Associated States of the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An environmental impact statement or an environmental impact assessment may be required depending on the project grant. All proposed projects shall be reviewed for applicability. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application procedures vary. Please contact the Headquarters Office for specific information. The standard SF-424 forms are required for project grants with the exception of projects

funded by the Compacts of Free Association.

**Award Procedure:**

A grant award is made to an eligible entity in the specific amounts and for the specific purposes set forth in the annual Department of the Interior and Related Agencies Appropriation Act signed by the President.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The majority of OIA's financial assistance programs do not have a matching requirement. The two exceptions are the American Samoa Capital Improvement Project Operations and Maintenance Set-Aside Program, which has a 5% local match requirement, and the Operations and Maintenance Improvement Program (OMIP). However, OMIP match requirements are left to the discretion of the grant manager and may be waived should the application warrant it. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for OIA grants is dependent on the activity to be funded and is specified in the grant terms and conditions. See the following for information on how assistance is awarded/released: Award payments are generally made through wire transfer arrangements. The frequency of the payment varies. Please contact the Headquarters Office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Narrative progress reports are required as dictated by the grant terms and conditions. A final report is due within 90 days of grant completion or termination. The SF-425 Federal Financial Report is required as directed by the grant terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits of the three Freely Associated States, when receiving funding under the Compacts of Free Association, are governed by those compacts (Public Law 108-188 and Public Law 99-658) and their related agreements. Financial assistance awards are also subject to inspection and audit by Interior's Office of the Inspector General, OIA staff, or any other authorized representative of the Federal government.

**Records:**

Record retention requirements are the same as those contained in 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and those dictated by the Compacts of Free Association (Public Law 108-188 and Public Law 99-658) and their related agreements (as applicable).

**Account Identification:**

14-0412-0-1-806; 14-0414-0-1-806; 14-0415-0-1-806; 14-0418-0-1-806.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$475,621,026; FY 11 est \$441,594,000; and FY 12 est \$464,894,000 - FY10 Grants: \$288,596,828  
FY10 Fiscal Payments: \$ 187,024,198

FY11 Grants: \$296,594,000

FY11 Fiscal Payments: \$ 145,000,000

FY12 Grants: \$319,894,000

FY12 Fiscal Payments: \$145,000,000.

**Range and Average of Financial Assistance:**

There is no minimum or maximum award. OIA financial assistance awards range from a few thousand dollars to tens of millions annually.

The average award amount varies annually.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: OIA financial assistance has enabled the seven insular areas to develop economically, socially, and politically helping to empower these communities. Recent accomplishments include the construction of classrooms, medical facility improvements and the purchase of critical equipment such as fire trucks and police cruisers. Fiscal Year 2011: Data on the number and ratio of applications is currently not available. Approximately 120 awards are made annually. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Common Rule at 43 CFR Part 12.

Please visit the OIA website: <http://www.doi.gov/oia>, for additional literature.

**Regional or Local Office:**

None.

**Headquarters Office:**

Faride Kraft, Department of the Interior, Office of Insular Affairs, 1849 C Street, NW, Mail Stop 2429, Washington, District of Columbia 20240 Email: [faride\\_kraft@ios.doi.gov](mailto:faride_kraft@ios.doi.gov) Phone: (202) 219-1335 Fax: (202) 208-7585.

**Website Address:**

<http://www.doi.gov/oia>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Operational support to the American Samoa Government and grants for the construction of basic infrastructure including roads, water systems, power, sewer, schools and hospitals. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The following consideration will be used in determining projects to be funded:

(1) Directed appropriations, (2) Relevance to program priorities, and (3) Availability of funds.

**15.904 HISTORIC PRESERVATION FUND GRANTS-IN-AID**

HPF

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

National preservation Act of 1996 as amended, 16 U.S.C. 470 et seq., 16 U.S.C 470.

**OBJECTIVES:**

To provide matching grants to States for the identification, evaluation, and protection of historic properties by such means as survey, planning technical assistance, acquisition, development, and certain Federal tax incentives available for historic properties; to provide matching grants to States to expand the National Register of Historic Places, (the Nation's listing of districts, sites, buildings, structures, and objects significant in American history, architecture, archeology, engineering and culture at the National, State and local levels) to assist Federal, State, and Local Government agencies, nonprofit organizations and private individuals in carrying out historic preservation activities; and to provide grants to Indian Tribes and Alaskan Native Corporations to preserve their culture.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Matching grants can directly finance State staff salaries, equipment, and materials, and travel necessary to accomplish program purposes. States may transfer funds to third parties to carry out historic preservation activities such as surveys, preservation plans, National Register nominations, architectural plans and specifications, historic structures reports, and engineering studies necessary to restore properties listed on the National Register of Historic Places, and for acquisition or repair of these properties. Development projects must comprise one or more of the 4 allowable treatments defined in the "Secretary of the Interior's Standards for the Treatment of Historic Properties" (36 CFR 78). These treatments are preservation, restoration, rehabilitation, and reconstruction. Major reconstruction is not eligible. Other activities must meet the applicable Secretary of the Interior's Standards for Archeology and Historic Preservation. In 2010, the amount appropriated from the Historic Preservation Fund for financial assistance to the States, Territories, and the Freely Associated States of Micronesia, was \$46.5 million, with an additional \$8 million for grants to Indian tribes. In accordance with Section 102(a)(5) of the National Historic Preservation Act, as amended, grantees must agree to assume, after completion of the restoration project, the total cost of the continued maintenance, repair, and administration of the property in a manner satisfactory to the Secretary.

**Applicant Eligibility:**

Eligible applicants are States and Territories as defined in the National Historic Preservation Act, as amended, operating programs administered by a State Historic Preservation Officer appointed by the Governor or according to State law, and which are otherwise in compliance with the requirements of the Act. Eligible applicants for the Tribal Grant Program are Federally recognized Indian Tribes, Alaska Native Corporations, and Native Hawaiian organizations.

**Beneficiary Eligibility:**

Eligible beneficiaries include State and local governments, public and private nonprofit organizations, and individuals. According to their own priorities and plans, States select their own projects and may subgrant to public and private parties, including local governments, federally recognized Indian tribal governments, nonprofit and for-profit organizations, and/or individuals to accomplish program objectives. At least ten percent of each year's appropriation must be subgranted to local governments certified as eligible to carry out preservation functions according to 36 CFR 61. Grants are awarded at a ratio of 60 percent Federal, 40 percent State (public and/or private funds and/or allowable in-kind donations). American Samoa, Guam, Commonwealth of Northern Mariana Islands, Federated States of Micronesia, Republic of Palau, Republic of Marshall Islands and Virgin Islands are exempt from matching share per Public Law 96-205.

**Credentials/Documentation:**

Each State must have a qualified Review Board, employ professionally qualified staff, and maintain an approved statewide historic preservation plan in accordance with 36 CFR 61. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application is made by the States for an annual grant in the form of planned activities and projects. 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements For Grants and Cooperative Agreements to State and Local Governments," applies to awards to States. Applicants for financial aid for subgrants and contracts must contact the State Historic Preservation Office for application information. Applicants for HPF Tribal Grant projects should visit the National Park Service website, at <http://www.nps.gov/history/hps/hpg/>

**Award Procedure:**

The Annual appropriation is allocated by the Secretary of the Interior among

States and Territories.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 1 month for Federal grants; subgrant time depends on State procedures.

**Appeals:**

None.

**Renewals:**

Grants to States are for 2 years, subject to "Use or Lose" procedures established by the Federal agency.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Fiscal year in which funds are appropriated and one succeeding fiscal year. See the following for information on how assistance is awarded/released: Fiscal year in which funds are appropriated and one succeeding fiscal year.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Summary completion reports must be maintained for subgrant expenditures. Expenditure reports as specified in 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" or in OMB Circular No. A-110 are required. An annual performance report is required comparing planned accomplishments with actual results.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Full fiscal and project records to be maintained by grantees in accordance with OMB Circular Nos. A-87, and 43 CFR Part 12 for States and Tribes; OMB Circular Nos. A-122 and A-110 as required.

**Account Identification:**

14-5140-0-2-303.

**Obligations:**

(Formula Grants) FY 10 \$54,500,000; FY 11 est \$54,500,000; and FY 12 est \$54,500,000

**Range and Average of Financial Assistance:**

\$61,250 to \$1,476,028  
Average - \$344,551.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about this program may be found on the National Park Services website, <http://www.nps.gov/history/hps/hpg/>. See the "Catalog of Historic Preservation Publications." Important examples include: "The National Register of Historic Places," 1966-1994 issue, a softbound volume describing National Register properties published in conjunction with the National Trust for Historic Preservation Press and the National Conference for State Historic Preservation Officers, (John Wiley and Sons, Preservation Press, 1 Wiley Drive, Somerset, New Jersey 08875, Telephone 1-800-225-5945, Reference ISBN 0471-144-037), the Historic Buildings Preservation Briefs series; the Preservation Planning series; the Preservation Tech Note Series; and, the National Register Bulletin series. Program regulations are specified in Volume 36 of the Code of Federal Regulations. Program standards are found in "The

Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation."

**Regional or Local Office:**

See Regional Agency Offices. State programs applicants should refer to Catalog Appendix IV for list of State Historic Preservation Offices. Contact the appropriate State agency for subgrant eligibility information. This list is also available on the National Park Service's website, at <http://www.nps.gov/history/hps/hpg/>. Corrections and additions should be directed to Tawana Jackson, Heritage Preservation Services Division, National Park Service, 1849 C Street, NW., Mail Stop 2256, Washington, DC 20240, or E-mail: [Tawana\\_Jackson@nps.gov](mailto:Tawana_Jackson@nps.gov). Program inquiries should be directed to Hampton Tucker at [Hampton\\_Tucker@nps.gov](mailto:Hampton_Tucker@nps.gov).

**Headquarters Office:**

Tawana Jackson Cultural Resource, National Park Service, Department of the Interior, 1849 C St. N.W., Washington, District of Columbia 20240 Phone: (202) 208-7625.

**Website Address:**

<http://www.nps.gov/history/hps/hpg/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each State selects subgrant proposals for funding in accordance with its own priorities.

**15.915 TECHNICAL PRESERVATION SERVICES**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Federal Property and Administration Services Act, Executive Order Executive Order 11593, Public Law 81-152, 471 U.S.C.

**OBJECTIVES:**

To establish technical preservation policies and standards and to develop technical information for the treatment of historic properties. This includes development and distribution of the "Secretary of the Interior's Standards for Historic Preservation Projects," which provide guidance regarding all aspects of preservation work for the use of Federal, State and local officials, property owners, developers, and architects. To review rehabilitations of investment property for the 20% investment tax credit. To advise Congress and Federal agencies on the preservation of historic properties. To provide policy direction and guidance on Federal surplus properties which are available for transfer for historic monument purposes.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Technical information is provided to assist Federal agencies, State and local governments, and owners of certified historic structures to preserve and maintain historic properties under their jurisdiction or control. The 20% investment tax credit applies only to income-producing properties on the National Register of Historic Places and only for rehabilitation expenses determined by NPS to meet the Secretary of the Interior's Standards for Rehabilitation. For matching grants, see 15.904, Historic Preservation Grants-in-Aid.

**Applicant Eligibility:**

Federal agencies, State and local governments, private, public, profit, and nonprofit organizations and individuals. For Grants-in-Aid program, see 15.904, Historic Preservation Grants-in-Aid.

**Beneficiary Eligibility:**

Federal agencies, State and local governments, private, public, profit and nonprofit organizations and individuals. For Grants-in-Aid see program

15.904, Historic Preservation Grants-in-Aid.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By Historic Preservation Certification Application (OMB No. 1024-0009) through the appropriate State official or NPS regional office. For Grants-in-Aid, see 15.904, Historic Preservation Grants-in-Aid.

**Award Procedure:**

NPS reviews rehabilitation projects seeking the investment tax credit. If the rehabilitation project meets the Secretary of the Interior's Standards for Rehabilitation, NPS certifies the project to the Internal Revenue Services.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Decisions normally are made within 30 days of receipt of review fee, but the time can vary according to the nature of problems encountered and range of alternatives.

**Appeals:**

Investment tax credit applications that are initially denied may be appealed to NPS' Chief Appeals Officer. A Decision by the Chief Appeals Officer is the final administrative decision on behalf of the Department of the interior. Where possible, denials also include instructions on how a rehabilitation project may be modified in order to meet the Standards and thus achieve approval.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Completed rehabilitation work must be documented in photographs submitted with the Request for Certification Work (NPS Form 10-168c). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Completed rehabilitation work must be documented in photographs submitted with the Request for Certification Work (NPS Form 10-168c).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Secretary of the Interior reserves the right to inspect the property at any time up to 5 years after the completion of the rehabilitation and to withdraw certification of rehabilitation work not undertaken as described or of additional unapproved project work undertaken inconsistent with the Secretary of the Interior's Standards for Rehabilitation.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Salaries) FY 09 \$1,900,000; FY 10 est \$2,000,000; and FY 11 est \$2,100,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

36 CFR Part 67 (for tax incentives program). Treasury Regulations Section 1.48-12. For a free catalog listing publications of the Cultural Resources programs of the National Park Service, write Headquarters Office listed below or see website at <http://www2.CR.NPS.GOV>.

**Regional or Local Office:**

None. See Catalog Appendix IV for addresses.

**Headquarters Office:**

H. Bryan Mitchell, 1849 C Street, N.W., ORG 225, Washington, District of Columbia 20240 Phone: (202) 354-2040.

**Website Address:**

<http://www.nps.gov/history/hps/tps/index.htm>

**RELATED PROGRAMS:**

15.904 Historic Preservation Fund Grants-In-Aid; 15.914 National Register of Historic Places

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.916 OUTDOOR RECREATION\_ACQUISITION, DEVELOPMENT AND PLANNING**

Land and Water Conservation Fund Grants

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

16 U.S.C. 1-4 et seq.; Land and Water Conservation Fund Act of 1965, Public Law 88-578, 78 Stat. 897, as amended; Public Law 90-401, 82 Stat. 354; Public Law 91-485, 84 Stat. 1084; Public Law 91-308, 84 Stat. 410; Public Law 92-347, 86 Stat. 460; Public Law 93-81, 87 Stat. 178; Public Law 94-422, 90 Stat. 1313; Public Law 95-42, 91 Stat. 210; Public Law 100-203, 101 Stat. 1330.

**OBJECTIVES:**

To provide financial assistance to the States and their political subdivisions for the preparation of Statewide Comprehensive Outdoor Recreation Plans (SCORPs) and acquisition and development of outdoor recreation areas and facilities for the general public, to meet current and future needs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Land acquisition and development grants may be used for a wide range of outdoor recreation projects, such as picnic areas, inner city parks, campgrounds, tennis courts, boat launching ramps, bike trails, swimming pools, playing fields, and support facilities such as roads, water supply, etc. Facilities must be open to the general public and not limited to special groups. Development of basic rather than elaborate facilities is favored. Fund monies are not available for the operation and maintenance of facilities. Grants are also available to States only for revising and updating existing SCORPs preparation of new plans and for statewide surveys, technical studies, data collection and analysis and other planning purposes which are clearly related to SCORP refinement and improvement. Every site acquired or developed with assistance under this program must remain available and accessible for public outdoor recreation use in perpetuity.

**Applicant Eligibility:**

For planning grants, only the State agency formally designated by the Governor

or State law as responsible for the preparation and maintenance of the SCORP is eligible to apply. (Treated as States in this regard are the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, the Northern Mariana Islands, and Guam.) For acquisition and development grants, the above designated agency may apply for assistance for itself, or on behalf of other State agencies or political subdivisions, such as cities, counties, and park districts. Additionally, Indian tribes which are organized to govern themselves and perform the function of a general purpose unit of government qualify for assistance under the program. Individuals, nonprofit organizations, and private organizations are not eligible.

**Beneficiary Eligibility:**

The general public. For planning grants, same as Applicant Eligibility.

**Credentials/Documentation:**

The State Liaison Officer (SLO), appointed by the Governor or designated in State legislation to administer the program in the State or Territory, must furnish assurance that the project is in accord with the SCORP; i.e., that it meets high priority recreation needs shown in the action program portion of the plan. The State's apportionment balance of fund monies and required match must be adequate for the project, and the sponsoring agency must permanently dedicate the project to public outdoor recreation and assume responsibility for operation and maintenance. SCORPs must cite the State's legal authority to participate in the Land and Water Conservation Fund program. Costs will be determined in accordance with OMB Circular A-102 (43 CFR Part 12, Subpart C), "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and OMB Circular A-87, Cost Principles for State, Local and Indian Tribal Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The SLO has the prerogative for initial determination of project eligibility, priority need, and order of fund assistance within the State. All project proposals are submitted to the National Park Service by the SLO. Environmental impact information is required for this program, a screening form is used to determine whether an EA or EIS is necessary. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and Territories must have a current SCORP approved by NPS to be eligible to submit grant applications. Proposals selected by the State to forward to NPS must be accompanied by the standard federal application forms required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Proposal budgets must comport with OMB Circulars A-87 and A-102. Basic environmental information or evaluation is required and will be assessed by the National Park Service to determine whether an environmental impact statement is needed. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Award Procedure:**

Proposals are reviewed by the NPS field office, where final action may be taken. All grants are made to the State lead agency and if applicable passed through to the project sponsor, whether State or local government.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 30-60 days for acquisition and development projects; 60 days for planning projects.

**Appeals:**

State may appeal to the Secretary of the Interior.

**Renewals:**

Project agreements may be amended to change the scope, funding amount, or duration. Must be approved by the National Park Service.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Distribution of funds among States and Territories is as follows forty percent of the first \$225 million, thirty percent of the next \$275 million, and twenty percent of all additional appropriations is apportioned equality among the 51 States (under the Act American Samoa, the District of Columbia, Guam, Northern Mariana Islands, Puerto Rico, and the Virgin Islands are treated as one State and split an apportionment). The remaining appropriation is apportioned on the basis of need. The Land and Water Conservation Fund Act specifies that not more than 50 percent of the project cost may be federally financed. Generally, match must be derived from State, local, or private sources, but under certain conditions, all or part of the project sponsor's matching share may be from certain other Federal assistance programs, such as, Community Development, Block Grants. Otherwise, no other Federal funds may be applied to the project cost. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are available for obligation during the fiscal year in which they are appropriated and for the two following fiscal years. The assistance period for individual projects varies and may be extended but on average is three years. Complex projects may be broken down into stages, with one being initially approved and the remainder qualified for activation at a later date. Except for project preparation costs, all costs must be incurred within the project period to be eligible for reimbursement. Planning projects may not be phased. See the following for information on how assistance is awarded/released: On an average of three years.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects are monitored for progress through consolidated performance reports, which should be at least annually. State inspection reports are submitted every 5 years on completed projects stating whether the properties acquired and/or developed with fund assistance are still being used in accordance with the agreement. For planning projects, end products are specified in the application for assistance. Financial reports are required with all billings which should be at least annually. Consolidated performance reports are required which should be at least annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Maintain records to facilitate audit, including records that fully disclose the amount and disposition of assistance; the total cost of the project; and the amount and nature of that portion of the cost supplied by other sources.

**Account Identification:**

14-5035-0-2-303.

**Obligations:**

(Project Grants) FY 10 \$33,310,690; FY 11 est \$37,200,000; and FY 12 est \$195,000,000

**Range and Average of Financial Assistance:**

\$150 to \$5,450,000; \$68,178.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010 over \$33 million was obligated (includes current and prior year funds) to help create 33 new park recreational areas that did not previously exist, develop new outdoor recreation facilities at 156 park areas, and enhance 214 park areas through the development or rehabilitation of

outdoor recreation and support facilities. Over 5,900 new acres were added to the public recreation estate and in total over 34,000 new acres were permanently protected for outdoor recreation. Fiscal Year 2011: No current data. Fiscal Year 2012: No current data.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulation: 36 CFR Part 59, FR 51 No. 186, September 25, 1986 (amended June 15, 1987). The Federal Financial Assistance Manual for the Land and Water Conservation Fund State Assistance Program (vol. 69, effective 10/1/2008) is available at [www.nps.gov/lwcf/](http://www.nps.gov/lwcf/) ... Program brochure available from the Department of the Interior, National Park Service, MS-2225, 1849 C Street, Washington, DC 20240, free.

#### **Regional or Local Office:**

See Regional Agency Offices.

[http://www.nps.gov/nrcr/programs/lwcf/contact\\_list.html](http://www.nps.gov/nrcr/programs/lwcf/contact_list.html).

#### **Headquarters Office:**

Chief State and Local Assistance Programs Division, National Park Service, (2225), Department of the Interior, 1849 C Street, NW., Washington, District of Columbia 20240 Email: [LWCF\\_grants@nps.gov](mailto:LWCF_grants@nps.gov) Phone: (202)354-6900 Fax: (202)371-5179

#### **Website Address:**

<http://www.nps.gov/lwcf/>

#### **RELATED PROGRAMS:**

15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Each year, LWCF funds a diverse variety of outdoor recreation projects. Franklin County, Alabama will receive LWCF funding to acquire 290 acres of a former railroad line located along the Tennessee Valley Divide that will be converted to 24 miles of scenic trail for horseback riding. Ann Arundel County, Maryland will use a LWCF grant to acquire 54 acres along the Magothy River that will become a new community park with walking and fitness trails and picnic areas. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

At the Federal level each project must be in accord with a State Comprehensive Outdoor Recreation Plan. Beyond this, the selection of projects is made by the State Liaison Officer of each State who is responsible for the administration of the 15.916 program in his State. Each State has its own selection process and project rating system which are approved by NPS.

#### **15.918 DISPOSAL OF FEDERAL SURPLUS REAL PROPERTY FOR PARKS, RECREATION, AND HISTORIC MONUMENTS**

(Surplus Property Program; Federal Lands to Parks Program; Historic Surplus Property Program)

#### **FEDERAL AGENCY:**

National Park Service, Department of the Interior

#### **AUTHORIZATION:**

40 U.S.C. 550(b), (e), and (h), Public Law 107-217, originally under the Federal Property and Administrative Services Act of 1949, Section 203(k), 63 Stat. 385 as amended, 40 U.S.C. 484, Public Law 91-485; Federal Lands for Parks and Recreation, 16 U.S.C. 4601-5.

#### **OBJECTIVES:**

To transfer surplus Federal real property for state and local public park and recreation use.

#### **TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods

#### **USES AND USE RESTRICTIONS:**

Surplus real property may be conveyed for public park and recreation use at discounts up to 100 percent of fair market value. Property conveyed for park and recreation use must be used for these purposes in perpetuity or otherwise may be reverted to Federal ownership at the discretion of the federal government.

#### **Applicant Eligibility:**

Only State or local units of government and territories are eligible to apply for surplus real property for public parks and recreation. Recipients must agree to manage the property in the public interest and for public recreational use.

#### **Beneficiary Eligibility:**

Only State or local units of government and territories are eligible to apply for surplus real property for public park and recreation, and must agree to manage the property in the public interest and for public use.

#### **Credentials/Documentation:**

The applicant must submit an application, proposed program of use for the property and evidence of its ability to finance the program. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Park and recreation applications are coordinated by the National Parks Service, Department of the Interior, and the General Services Administration, or in the case of legislated military base closures, the Department of Defense and its military components. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for park and recreation use and historic uses are submitted to the appropriate National Park Service Regional Office. Application forms are issued by the National Park Service.

#### **Award Procedure:**

Upon approval of a park and recreation application, the National Park Service will request GSA or DOD military service, in the case of base closures, to assign the property to the Secretary of the Interior for transfer. Upon assignment by DOD or GSA, the National Park Service will transfer the property to the applicant.

#### **Deadlines:**

Oct 01, 2010 The National Park Service must notify the General Services Administration within 20 calendar days after the date of the notice of determination of surplus if it has an eligible applicant interested in acquiring the property, or otherwise comply with the DOD Base Realignment and Closure planning and disposal schedules. For a park and recreation transfer, the National Park Service must request assignment of property from GSA within 25 calendar days after the expiration of the 20 day period, or otherwise comply with DOD Base Realignment and Closure (BRAC) planning and disposal schedules.

#### **Range of Approval/Disapproval Time:**

From 3 to 6 months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

NONE. See the following for information on how assistance is awarded/released: NONE.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients of surplus properties are required to submit periodic compliance reports (ranging from 2-5 year intervals) on the use of the property. Recipients of surplus properties are required to submit periodic compliance reports (ranging from 2-5 year intervals) on the use of the property. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The National Park Service conducts periodic on-site compliance inspections to assure that the properties are being utilized for the purposes for which they are conveyed. Properties in noncompliance may be reverted back to the Federal Government.

**Records:**

The National Park Service maintains official records concerning the property.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 09 \$575,000; FY 10 est \$591,000; and FY 11 est \$591,000

**Range and Average of Financial Assistance:**

None. Value varies by the value of the available real property.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Federal Lands to Parks Program," 1997 brochure (no charge), "Disposal of Surplus Real Property," booklet published by the General Service Administration (no charge). 40 U.S.C. 550(b), (e), and (h), Public Law 107-217. <http://www.nps.gov/flp>

**Regional or Local Office:**

See Regional Agency Offices. Applicants for parks and recreation purposes should contact the National Park Service Offices: Northeast Region, Boston, MA office; Southeast Region, Atlanta, GA; Western Region, Oakland, CA.

**Headquarters Office:**

Michael D. Wilson and Wendy Ormont, National Park Service, State and Local Assistance Division, Federal Lands to Parks Program, 1849 C Street N.W. Org Code 2225, Washington, District of Columbia 20240 Phone: (202) 354-6915.

**Website Address:**

Federal Lands to Parks Program: <http://www.nps.gov/flp>

**RELATED PROGRAMS:**

15.915 Technical Preservation Services; 15.916 Outdoor Recreation\_Acquisition, Development and Planning; 39.002 Disposal of Federal Surplus Real Property; 93.291 Surplus Property Utilization

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Suitability of real property for the proposed use and the ability of the applicant unit of government to carry out the proposed program of use.

**15.921 RIVERS, TRAILS AND CONSERVATION ASSISTANCE**

(Rivers and Trails or RTCA)

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

National Park Service Organic Act, 16 U.S.C. 1 to 16 Wild and Scenic Rivers Act of 1968, 16 U.S.C. 1271-1287 as amended, Public Law 90-542; National Trails System Act, 16 U.S.C. 1241 as amended, Public Law 90-543; Outdoor Recreation Act of 1963, 16 U.S.C. 4601-3, Public Law 88-29; Federal Power Act, 16 U.S.C. 797-828c.

**OBJECTIVES:**

The Rivers, Trails and Conservation Assistance Program implements the natural resource conservation and outdoor recreation mission of the National Park Service in communities across America. RTCA will help create local,

regional and state networks of parks, rivers, trails, greenways and open spaces by collaborating with community partners and National Park areas in every state.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

None. For more specific information contact the regional or headquarters office.

**Applicant Eligibility:**

Private nonprofit organizations and Federal, State and local government agencies.

**Beneficiary Eligibility:**

Private nonprofit organizations and Federal, State and local government agencies.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Program advice and information is available from the appropriate NPS Regional Office or the National Office. Consultation with an RTCA staff before an application for assistance is made helps clarify RTCA roles and contributions and also helps identify how the selection criteria might apply to your conservation and outdoor recreation goals. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information is available electronically at <http://www.nps.gov/rtca> or you may contact the appropriate regional RTCA program leader.

**Award Procedure:**

Decisions are based upon adherence to program criteria and the level of available staff time.

**Deadlines:**

Aug 01, 2011 Proposals should be submitted by August 1 for the following fiscal year.

**Range of Approval/Disapproval Time:**

Generally about 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Assistance is for one year and may be renewed for a second year if warranted.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: No fixed amount. Applications must demonstrate commitment by interested public agencies and non-profit organizations. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally 1 to 2 years. See the following for information on how assistance is awarded/released: Generally 1 to 2 years.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Advisory Services and Counseling) FY 10 \$8,872,000; FY 11 est \$8,833,000;

and FY 12 est \$9,959,000

**Range and Average of Financial Assistance:**

None. Staff assistance only.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: NPS River and trails has played a major role in community conservation and recreation through citizen-led, partnership approaches to river protection, trail development and land conservation. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Project reports are available from NPS offices and the Web.

**Regional or Local Office:**

None. Applicants are requested to communicate with National Park Service Regional Offices. Refer to Catalog Appendix IV or the web site, <http://www.nps.gov/rtca>, for addresses.

**Headquarters Office:**

Charlie Stockman 1849 C Street, NW., (ORG CODE 2235), Washington, District of Columbia 20240 Phone: (202) 354-6900

**Website Address:**

<http://www.nps.gov/rtca>.

**RELATED PROGRAMS:**

15.916 Outdoor Recreation\_Acquisition, Development and Planning; 15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Milwaukee Beerline Trail, a new rail trail connection was opened between the Riverwest Neighborhood and downtown.

Mississippi Gulf Coast communities are working together to create a cost-wide network of trails, 100 miles of both land and water-base trails promoting healthy physical outdoor activities. River & Trails has worked to create the partnership spearheading this connectivity effort.

Clear Creek County continues to build sections of the Clear Creek Greenway, a non-motorized trail that is envisioned as stretching from the Continental Divide to the South Platte River in Denver, Rivers & Trails assisted with the plan for the Greenway and trail alignments. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Initial project partners are identified and a lead project partner is designated. Note: The lead partner may be a state or local agency, tribe, non-profit organization, or citizens' group. Federal agencies, including the National Park Service, maybe the lead partner only in collaboration with a nonfederal partner. (2) Project has specific, partner- defined goals and anticipated measurable results that are: clearly stated; support the National Park Service mission and RTCA mission and strategic plan goals; protect important natural resources or enhance outdoor recreation opportunities; and will have results that occur within an appropriate timeframe. (3) There is a commitment by lead project partners to significant public involvement and outreach in the project. (4) Roles and contributions of initial project partners, including RTCA, are identified. There is a commitment by initial project partners to cooperate and to provide or obtain the resources necessary to implement the project. (5) There is evidence of broad support for the project. Preference is given to a project that also: (a) provides physical connections among resources; (b) includes an NPS area as an actively involved project partner; (c) includes both natural resource conservation and outdoor recreation; (d) partners with a health organization.

**15.922 NATIVE AMERICAN GRAVES PROTECTION AND REPATRIATION ACT**

(NAGPRA)

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Native American Graves Protection and Repatriation Act of 1990 (NAGPRA).

**OBJECTIVES:**

To provide grants to museums to assist in the consultation on and documentation of Native American human remains and cultural items; to provide grants to Indian tribes and Native Hawaiian organizations, as defined in the Act, to assist in identifying human remains and cultural items and to provide grants to museums, Indian tribes and Native Hawaiian organizations to assist in the repatriation of human remains and cultural items.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Project grants may support the following: Consultation/Documentation grants for museums may be used to: (a) bring lineal descendants, traditional religious leaders, and authorized representatives of Indian tribes and Native Hawaiian organizations to inspect collections and consult regarding the identification, cultural affiliation, proper care, treatment, and repatriation of Native American cultural items; (b) bring traditional religious leaders, and authorized representatives of Indian tribes and Native Hawaiian organizations to inspect collections and consult regarding culturally unidentifiable Native American human remains; (c) provide NAGPRA training for staff members; (d) fund travel by staff members to consult with lineal descendants, traditional religious leaders, and Indian tribe and Native Hawaiian organization officials regarding the proper care, treatment, and disposition of Native American cultural items; and (e) update documentation of unassociated funerary objects, sacred objects, and objects of cultural patrimony in consultation with lineal descendants, traditional religious leaders, and authorized representatives of Indian tribes and Native Hawaiian organizations. Consultation/Documentation grants for Indian tribes and Native Hawaiian organizations may be used to: (a) assess and evaluate summaries, inventories, and other documentation provided by museums and Federal agencies; (b) provide NAGPRA training for staff members; (c) communicate with museum and Federal agency officials regarding culturally affiliated human remains and/or cultural items of interest to the Indian tribe or Native Hawaiian organization; (d) travel to inspect collections and consult with museum and Federal agency officials regarding the identification, cultural affiliation, proper care, treatment, and repatriation of Native American human remains and other cultural items; (e) document the cultural affiliation of Native American human remains and other cultural items currently in the control of museums and Federal agencies. Repatriation grants for museums, Indian tribes and Native Hawaiian organizations may be used for: (a) travel by authorized representatives of Indian tribes Native Hawaiian organizations, or museums to accept and/or accompany human remains or other cultural items where control has transferred; (b) transportation of Native American human remains or other cultural items where control has transferred; and (c) construction of appropriate containers for the transport and disposition of subject Native American human remains and other cultural items. Grant funds may not be used for: activities related to the documentation or repatriation of human remains and cultural items from the Smithsonian Institution; activities related to the inadvertent discovery and/or intentional excavation of Native American human remains and other cultural items on Federal or tribal lands pursuant to NAGPRA Section 3 and 43 CFR 10 Subpart B; museum or tribal litigation costs, including expert testimony; care and curation of repatriated Native American human remains and cultural items; construction or renovation of facilities; or purchase of land or buildings; costs associated with the transport of cultural items for which control is not transferred to a lineal descendant, Indian tribe, or Native Hawaiian organization; overhead or indirect cost rates above 25 percent; projects proposed by applicants who have previously received a NAGPRA grant, but whose grant expired without successfully completing major elements of the proposed work, or without meeting the conditions of the grant award. For further information, please contact the regional office.

**Applicant Eligibility:**

Eligible applicants for museum documentation awards include any institution or State or local government agency (including any institution of higher learning) that has possession of, or control over, of Native American human remains or other cultural items and which has completed the following NAGPRA obligations: provided a written summary of their Native American collections to the National Park Service and appropriate lineal descendants, Indian tribes,



and Native Hawaiian organizations; and submitted an inventory of Native American human remains and associated funerary objects in their collections to the National Park Service and culturally affiliated Indian tribes and Native Hawaiian organizations. Eligible applicants for tribal documentation and repatriation awards are Indian tribes and Native Hawaiian organizations that meet the criteria outlined in the Native American Graves Protection and Repatriation Act. An Indian tribe is defined in NAGPRA as any tribe, band, nation, or other organized group or community of Indians including any Alaska Native village (as defined in, or established pursuant to, the Alaska Native Claims Settlement act) [43 U.S.C. 1601 et seq.], which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Native Hawaiian organizations include any organization that: serves and represents the interests of Native Hawaiians; has as a primary and stated purpose the provision of services to Native Hawaiians; and has expertise in Native Hawaiian Affairs. NAGPRA states that such Native Hawaiian organizations shall include the Office of Hawaiian Affairs and Hui Malama I Na Kapuna `O Hawai`i Nei. Applications for repatriation awards will be considered only after publication of the required Notice of Inventory Completion or Notice of Intent to Repatriate in the Federal Register. Funding is not available for activities that occur prior to the submissions of the application.

**Beneficiary Eligibility:**

Eligible beneficiaries for museum documentation awards include any institution or State or local government agency (including any institution of higher learning) that has possession of, or control over, Native American human remains or other cultural items and which has completed the following NAGPRA obligations: provided a written summary of their Native American collections to the National Park Service and appropriate lineal descendants, Indian tribes, and Native Hawaiian organizations; and submitted an inventory of Native American human remains and associated funerary objects in their collections to the National Park Service and culturally affiliated Indian tribes and Native Hawaiian organizations. Eligible beneficiaries for tribal documentation and repatriation awards are Indian tribes or Native Hawaiian organizations that meet the criteria outlined in the Native American Graves Protection and Repatriation Act. An Indian tribe is defined in the statute as any tribe, band, nation, or other organized group or community of Indians, including any Alaska Native village (as defined in, or established pursuant to, the Alaska Native Claims Settlement act) [43 U.S.C. 1601 et seq.], which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Native Hawaiian organizations include any organization that: serves and represents the interests of Native Hawaiians; has as a primary and stated purpose the provision of services to Native Hawaiians; and has expertise in Native Hawaiian Affairs. NAGPRA states that such Native Hawaiian organizations shall include the Office of Hawaiian Affairs and Hui Malama I Na Kapuna `O Hawai`i Nei. Applications for repatriation awards will be considered only after publication of the required Notice of Inventory Completion or Notice of Intent to Repatriate in the Federal Register. Funding is not available for activities that occur prior to the submissions of the application.

**Credentials/Documentation:**

Office of Management and Budget (OMB) Circular A-87 "Cost Principles for State and Local Governments" applies for Indian tribes and State institutions. OMB Circular A-122 applies for non-profit institutions. OMB Circular A-21 applies for universities. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Museums, federally recognized Indian tribes, and Native Hawaiian organizations may apply for annual grants in the form of planned activities and projects. Provisions of 43 CFR Part 12 apply. Applicants may contact the National Park Service National NAGPRA program by telephone at (202) 354-2203, by E-mail: NAGPRA\_Grants@nps.gov, or on the Web at <http://www.cr.nps.gov/nagpra/grants> OR <http://grants.gov>.

**Award Procedure:**

An annual appropriation is allocated by the Secretary of the Interior.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to 18 months. Payments are made upon request for costs incurred and for repatriation grants after documentation of transfer of control of the human remains and/or cultural items from the museum or Federal agency to the recipient Indian tribe or Native Hawaiian organization. See the following for information on how assistance is awarded/released: Grants are awarded for up to 18 months.

**Reports:**

Not Applicable.

**Audits:**

No audits are required for this program.

**Records:**

Full fiscal and project records to be maintained by grantees in accordance with OMB Circular Nos. A-87 and A-102 (for Indian tribes and State and local governments) or OMB Circular Nos. A-110 (for nonprofit institutions) and A-122 or OMB Circular Nos. A-21 and A-110 (for all other grantees).

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Formula Grants) FY 10 \$1,750; FY 11 est \$1,750; and FY 12 est \$1,750

**Range and Average of Financial Assistance:**

\$90,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: As of fiscal year 2010, 663 grants totaling over \$35 million has been awarded to museums, Indian tribes and Native Hawaiian organizations for projects that include the creation of museum/tribe partnerships through staff exchanges; workshops and training opportunities; the coordination of inter-tribal and intra-museum discussions; hiring tribal repatriation coordinators to prepare and review NAGPRA-related documentation, and returning human remains and cultural items to Indian tribes and Native Hawaiian organizations. Grants projects in the current and future fiscal years are likely to focus upon consultation with tribes and amended NAGPRA summaries of collections by museums as well as the identification of those individuals currently regarded as culturally unidentifiable. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines and proposal materials are available upon request from the National Park Service, National NAGPRA Program, 1201 Eye Street, NW (2253), Washington, DC 20005. Requests may also be directed to the National NAGPRA Program at (202) 354-2203, or via E-mail: NAGPRA\_Grants@nps.gov.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sherry Hutt 1201 Eye Street, NW. (2253), Washington, District of Columbia 20005 Email: [Sherry\\_Hutt@nps.gov](mailto:Sherry_Hutt@nps.gov) Phone: 202- 354-2203

**Website Address:**

<http://www.cr.nps.gov/nagpra/grants>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant proposals will be evaluated according to four criteria: Criterion A - Are the objectives of the project consistent with the goals of Native American Graves Protection and Repatriation Act? (Projects that are inconsistent with NAGPRA's goals will not be considered for funding). Are the project objectives clearly described? Special consideration will be given to collaborative proposals, especially proposals that focus on sharing and disseminating information among multiple museums and/or Indian tribes, or outline a plan to work with specific Indian tribes and/or museums. Criterion B - Is the project designed to accomplish the project objectives efficiently? Are the activities clearly described in detail, with an explicitly stated link between the activities and the stated objectives? Are activities organized logically? Are project methods and techniques described clearly? Are the roles and responsibilities of all participants defined clearly and described? Applicants with previously funded NAGPRA grants will have to include a description of the progress achieved and describe how the new project fits with the previously funded one. Criterion C - Is the budget reasonable to accomplish project tasks and activities? Are budget items necessary to accomplish project activities? Is the budget justification sufficient to explain project costs in detail? Criterion D - Are project personnel qualified to accomplish project objectives? Are project personnel are qualified for the activities and tasks assigned? Are unfilled positions and consultancies clearly described? Are search criteria defined for all unfilled positions and consultancies?.

**15.923 NATIONAL CENTER FOR PRESERVATION TECHNOLOGY AND TRAINING****FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

National Historic Preservation Act Amendments of 1992, Public Law 102-575, Section 405, 16 U.S.C. 470x.

**OBJECTIVES:**

To develop and distribute preservation technologies and conservation skills for the identification, evaluation, conservation, and interpretation of prehistoric and historic resources; to develop and facilitate training for Federal, State and local resource preservation professionals, cultural resource managers, maintenance personnel, and others working in the preservation field; to apply preservation technology benefits from ongoing research by other agencies and institutions; to facilitate the transfer of preservation technology among Federal agencies, State and local governments, universities, international organizations, the private sector; and to cooperate with related international organizations for the benefit of cultural resource conservation in the United States and worldwide.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants

**USES AND USE RESTRICTIONS:**

Support work in archeology, historic architecture, historic landscapes, objects and materials conservation through cooperative agreements and the Preservation Technology and Training Grants program. The PTT Grants program funds innovative projects that advance the application of science and technology to historic preservation. Projects that develop new technologies or adapt existing technologies to preserve cultural resources are considered for funding. Projects may include, but are not limited to: laboratory or field research that explores or assesses novel or adaptive methods; training activities, including workshops, and course or curriculum development that promote the use of new adaptive technologies; documentation using new methods; manuscript, website or social media development that disseminates innovative preservation technologies; and meetings that convene experts to discuss the use of technologies to address preservation problems. NCPTT does not fund "bricks and mortar" projects or straight-forward documentation projects using

well-established methods. Ineligible projects include those whose principal focus is the treatment of a specific site, structure, object or collection; proposals exclusively for undergraduate internships or graduate fellowships; projects that are underway prior to the grant award date; projects that duplicate proposals previously submitted; or proposals for conferences for which equivalent results can be obtained at regular meetings of professional societies. Detailed use and use restrictions are specified in the applicable Request for Proposals. Contact the headquarters office for more specific information.

**Applicant Eligibility:**

Eligible applicants include: U.S. universities and two and four year colleges; U.S. private nonprofit institution/organizations and quasi-public nonprofit institution/organizations that are directly associated with educational or research activity; Federal, State, local government agencies, Federally recognized Indian Tribal governments and their Tribal Historic Preservation Offices; For-profit organizations and private individuals may submit proposals only in partnership with an eligible U.S. organization.

**Beneficiary Eligibility:**

Individuals and organizations working to advance the use of science and technology in preservation including the fields of archeology, historic architecture, historic landscapes, objects and materials conservation.

**Credentials/Documentation:**

Grants and cooperative agreements are awarded to eligible organizations who demonstrate institutional capability and commitment to the Center's mission to preserve historic and prehistoric resources; and who evidence the capacity to perform the proposed work successfully. Proof of nonprofit status is required of nonprofit organizations and institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Call for Proposals is published annually that includes guidelines for preparing proposals within each project type. The information is available upon request via mail, e-mail ([ncptt@ncptt.nps.gov](mailto:ncptt@ncptt.nps.gov)), or our website <http://www.ncptt.nps.gov>. Only materials described under proposal requirements for each project type within the annual Call for Proposals will be considered. Standard application forms, as furnished by the National Park Service must be completed.

**Award Procedure:**

Applications are evaluated by NCPTT staff, peer reviewers, and a designated National Park Service grants administrator according to selection criteria stated in the Guidelines for Preparing PTT Grants Proposals. Reviews determine the feasibility of the proposed project, and consistency with National Park Service financial and policy requirements concerning the project's scope and purpose. Final award is by the Director of the National Park Service.

**Deadlines:**

Sep 01, 2011 to Oct 15, 2011: Grant applications are accepted between September 1 and October 15.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

Applicants may reapply if a revised application is submitted in the subsequent competition.

**Renewals:**

Renewal may be requested through a new, competing application. Extensions of time may be requested subject to acceptable work progress and reasons for the delay.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: PTT Grants must be matched dollar for dollar.

Eligible match may be in-kind, federal or nonfederal cash.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Treasury Check method of payment is used for advances or reimbursement.

A SF 270, Request for Advance or Reimbursement, must be submitted for each payment requested. Requests for reimbursement or advanced funds may be requested monthly in amounts greater than \$500. Expenses charged to the grant or cooperative agreement may not be incurred prior to the beginning date specified in the agreement or subsequent to the grant end date, and incurred only to carry out the approved objectives, scope of work, and budget. See the following for information on how assistance is awarded/released: Award amounts are subject to availability of funds. In accordance with Title IV, Public Law 102-575, Section 405(b): (1) Grants shall be allocated in such a fashion to reflect the diversity of the historic preservation fields and shall be geographically distributed. (2) No recipient may receive more than 10 percent of the awards allocated within any year. (3) Total administrative costs, direct and indirect, charged for carrying out these grants may not exceed 25 percent of aggregate costs. Matching share is not required by law, but is an administrative requirement imposed by NPS.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. An interim progress report and a final report are required. If an advance payment is requested, an SF 272, Federal Cash Transactions Report, must be submitted demonstrating that advanced funds have been promptly expended. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

For programs under OMB Circular No. A-133, financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for 3 years from the date of submission of the final expenditure report. If any audit is started before the 3-year period ends, the records shall be retained until all issues have been resolved and final action taken. For programs under the purview of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," records must be retained at least 3 years; and must be retained beyond 3 years if audit findings are not resolved.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Cooperative Agreements) FY 10 \$320,000; FY 11 est \$300,000; and FY 12 est \$200,000

**Range and Average of Financial Assistance:**

Grants are awarded competitively with a maximum award of \$25,000 (including indirect costs). All grants require a one-on-one match of cash or in-kind services. Source of the match may be federal or non-federal resources. Grants are funded by annual federal appropriation and are subject to availability of funds. In 2009, 13 grants were awarded with the average award of \$20,192.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In 2010, 14 grants were awarded with the average award of \$22,857. The total amount awarded was \$320,000. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Application requirements for PTT Grants Proposals are available online at [www.ncptt.nps.gov](http://www.ncptt.nps.gov). The "Common Rule" adopting relevant OMB Circulars governing grants and cooperative agreements implemented by the Department

of the Interior is published at 43 CFR Part 12.

**Regional or Local Office:**

See Regional Agency Offices. Direct inquiries to PTTGrants, NCPTT, 645 University Parkway, Natchitoches, LA 71457. Telephone: (318) 356-7444; Fax: (318) 356-9119; E-mail: [ncptt@ncptt.nps.gov](mailto:ncptt@ncptt.nps.gov). Mary Striegel, Chief, Materials Research.

**Headquarters Office:**

Hampton Tucker Heritage Preservation Services Program, National Park Service, 1201 Eye St., NW, (6th Floor), Washington, District of Columbia 20005 Phone: (202) 354-2067 Fax: (318) 356-9119.

**Website Address:**

<http://www.ncptt.nps.gov/>

**RELATED PROGRAMS:**

15.904 Historic Preservation Fund Grants-In-Aid; 15.914 National Register of Historic Places; 15.915 Technical Preservation Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: NPS Carlsbad Caverns National Park: Test and augment new cultural resource spatial data standards to enhance GIS. Massachusetts Department of Conservation and Recreation. Massachusetts Heritage Landscape Atlas.

Louisiana Landmarks Society: Preservation Reengineering: Finding Green Environmental Management in Vernacular Historic Buildings. Fiscal Year 2011: No data currently available. Fiscal Year 2012: No data currently available.

**CRITERIA FOR SELECTING PROPOSALS:**

The successful proposed project should thoroughly: address an identifiable national need in preservation technology, present innovative technologies, demonstrate a technically sound methodology, have a principal investigator well qualified to conduct the proposed work, disseminate project results effectively, be cost effective given the scope of work and the audience, provide a one-to-one match of funding with cash or in-kind services, and result in tangible grant products that disseminate information beyond traditional ways (e.g. online web based training, webinars, podcasts, videos, DVDs, electronic publishing, etc). NCPTT reviews proposals for disciplinary, geographical and institutional distribution; and for financial and policy matters. Special consideration will be given to proposals that leverage resources through public and private partnerships.

**15.926 AMERICAN BATTLEFIELD PROTECTION**

ABPP Planning Grants

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

The American Battlefield Protection Act (ABPA) of 1996, as reauthorized by the Omnibus Public Land Management Act of 2009, Public Law 111-11, Public Law 104-333, 110 Stat. 4173, 16 U.S.C 469k.

**OBJECTIVES:**

To promote the protection and preservation of battlefield lands on American soil by funding non- acquisition preservation methods such as planning, education, survey and inventory.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for projects resulting in the protection and preservation of battlefield lands and their associated sites on American soil. No funding is given to projects dealing with acquisition of properties or land in fee or interest, payment of rent on properties or land, fund raising, lobbying, battle reenactments, new construction or reconstruction of historic resources, permanent staff positions, object or material culture curation or other on-going activities, academic scholarships, capital construction or improvement projects (site excavation, trail or road construction, parking lots, visitor centers, scene restoration, etc.). Applications for projects associated with NPS-owned sites must focus on resources outside the NPS boundaries. For further information,

please contact Regional Office.

**Applicant Eligibility:**

Applicant may be Federal, intrastate, interstate, State and local agencies, public or private nonprofit institutions/organizations, Federally recognized Indian tribal governments, U.S. territory and possessions, Native American organizations, State colleges and universities, public and private colleges and universities. Multi-organizational applications are encouraged.

**Beneficiary Eligibility:**

Federal, intrastate, interstate, State and local agencies, public and private nonprofit institutions/organizations, Federally recognized Indian tribal governments, U.S. territories and possessions, Native American organizations, State college or universities, public and private colleges and universities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Informal pre-application coordination with ABPP staff is highly recommended. Coordination with appropriate State Historic Preservation Office/s is recommended. Projects with access to private property require land owners written permission. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A complete ABPP Battlefield Grant Application package consists of the following: One (1) Standard Form (SF) 424; One (1) ABPP Battlefield Grant application form (current year available on the web site); One (1) Grant application checklist signed and dated (also on web site); Letters of support from: Project Area Land Owner(s); Involved and interested Partners, SHPOs, and THPOs; Matching Share Donors confirming their contribution(s) (if applicable); Tribes indicating their level of support for the project (if applicable); One (1) map - "8 1/2 x 11" copy of USGS 1:24,000 scale, 7.5 min topographic map showing location of battlefield land boundaries, proposed project area, and, if applicable, associated sites. Up to four (4) "5 x 7" photographs/graphics of project site.

**Award Procedure:**

Reviewers evaluated the applications using the following criteria: demonstrated threat to the battlefield; reasonable and justified budget; preservation need and appropriateness of the project; well-planned objectives, tasks, and schedule; qualifications of applicant and partner organizations; reasonable and justified budget.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applications are reviewed and approved or disapproved by the National Park Service by the end of the Federal fiscal year.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant agreements are established for a set period of time, usually one year. Some projects that depend on seasonal access may require more time, but only with prior ABPP approval. Multi-year projects that can be completed in one-year phases are eligible for funding. However, applicants may only request

funding for one year, or one phase, at a time. If the ABPP funds the first phase of a multiyear project, it is not obligated to fund the later phases. Additional funding for a multi-phase or continuing project must be requested in subsequent grant cycles. Funds are available to grantees on a reimbursement basis. See the following for information on how assistance is awarded/released: Funds are available to grantees on a reimbursement basis.

**Reports:**

Grantees are required to report both financial and progress reports on a quarterly basis. Products of the grant will be reviewed in draft and final format. Final performance reports are expected at the close of the grant. Cash reports are not applicable. Grantees are required to report both financial and progress reports on a quarterly basis. Products of the grant will be reviewed in draft and final format. Final performance reports are expected at the close of the grant. Expenditure reports are not applicable. Final performance reports are expected at the close of the grant.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. .

**Records:**

The grantee agrees to maintain property, financial, and other records and accounts pertinent to the funds awarded by this grant in accordance with OMB Circulars A-122, A-110 and A-133. The grantee and its contractors will permit on-site inspections by NPS representatives, and will effectively require employees, agents, and subcontractors to furnish such information as, in the judgment of NPS representatives, may be relevant to a question of compliance with grant conditions and directives on the effectiveness, legality, and achievements of the grant-supported activity. The grantee's regular Single Audit(s), required by OMB Circular A-133, must contain this grant award.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Project Grants) FY 10 \$1,246,000; FY 11 est \$1,300,000; and FY 12 est \$1,300,000

**Range and Average of Financial Assistance:**

There is no minimum or maximum requirement. The average amount is \$32,300, although the ABPP has awarded grants of up to \$117,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Awarded 25 grants totaling \$1.246 million. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A more complete description of grant requirements can be found in the ABPP 2011 application guidelines. The 2011 guidelines and application form are available online at <http://www.cr.nps.gov/abpp>.

**Regional or Local Office:**

None. None.

**Headquarters Office:**

Kristen McMasters 1201 Eye Street, NW (2255) 6th Floor, Washington, District of Columbia 20005 Phone: (202) 354-2037.

**Website Address:**

<http://www.cr.nps.gov/hps/abpp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Arkansas State Parks, Department of Parks and Tourism, AR \$82,000; Ball State University, IN \$70,000; City of Burlington, Community and Economic Development Office, VT \$45,000; Coastal Carolina University, Center for Historical Studies, SC \$60,000; County of Chester, PA \$40,000; East Carolina University, Maritime Studies, NC \$80,000; Friends of Chickamauga and Chattanooga National Military Park, TN \$32,100; Frontier Heritage Alliance, MT \$68,800; Gulf Archaeology Research Institute, FL \$49,500; LAMAR Institute, GA \$40,000; Madison County, KY \$35,000; Mashantucket Pequot Museum and Research Center, CT \$19,000; Natural Heritage Trust, NY \$75,000; Northwestern State University of Louisiana, Cultural Resource Office,

LA \$41,000; Research Foundation of State University of New York at Binghamton, NY \$50,723; Rutherford County, NC \$40,000; Shenandoah Valley Battlefields Foundation, VA \$61,500; Shenandoah Valley Network, VA \$21,500; South Carolina Research Foundation, SC \$64,200; St. Thomas Historical Trust, VI \$44,500; Stafford County, VA \$77,700; State of Tennessee, Tennessee State Library and Archives, TN \$40,750; Tebbs Bend Battlefield Association, KY \$35,000; University of Texas at Brownsville and Texas Southmost College, TX \$26,000; Wood Lake Battlefield Preservation Association, MN \$47,000.  
For. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications received are scored on the following criteria: Site significance; Level of Threat; Preservation Opportunity; Well-Planned Objectives, Tasks, and Schedules; Qualifications and Coordination of Partner Organization(s); Realistic Budget and Matching Resources.

**15.927 HYDROPOWER RECREATION ASSISTANCE**

(Rivers and Trails, Hydropower Licensing)

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Federal Power Act, 16 U.S.C. 797-828c; Wild and Scenic Rivers Act of 1968, 16 U.S.C. 1271-1287 as amended. Public Law 90-542; Outdoor Recreation Act of 1963, 16 U.S.C., 4601-3, Public Law 88-29.

**OBJECTIVES:**

To serve as a national technical resource to support government, industry, and nonprofit partnerships in ongoing consultations and negotiations about applications for hydropower licensing; to meet present and future outdoor recreation and river conservation needs; to maintain and enhance a project's riparian areas.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Staff assistance is available to stakeholders in FERC hydropower licensing proceedings to assist with recreation issues and river conservation. Assistance is applicable to hydropower projects both within and outside units of the National Park System.

**Applicant Eligibility:**

Private nonprofit organizations, Federal, State, and Local government agencies and hydropower licensing applicants.

**Beneficiary Eligibility:**

Private nonprofit organizations, Federal, State, and Local government agencies and hydropower licensing applicants, as well as the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Program advice is and information is available from the appropriate NPS Regional Office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the program leader for Rivers, Trails and Conservation Assistance in the appropriate NPS Regional Office.

**Award Procedure:**

Decisions are based upon adherence to program criteria and the availability of staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of licensing process. See the following for information on how assistance is awarded/released: For more specific information contact the headquarters office.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Advisory Services and Counseling) FY 10 \$872,000; FY 11 est \$0; and FY 12 est \$862,000

**Range and Average of Financial Assistance:**

Information not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: National Park Service Recreation Assistance program has played a major role in licensing efforts through partnership approaches to river protection and outdoor recreation for responsible hydropower development. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information is available on the Web. Assistance complies with Federal Energy Regulatory Commission requirements for licensing nonfederal hydropower projects; 18 CFR Parts 4, 5, and 16. Policy and Guidelines for Recreational Technical Assistance in Hydropower Licenses, 57 FR 61915, December 29, 1992.

**Regional or Local Office:**

See Regional Agency Offices. Applicants are requested to communicate with National Park Service Regional Offices. See Appendix IV in the Catalog or [www.nps.gov/hydro](http://www.nps.gov/hydro).

**Headquarters Office:**

Joan Harn 1849 C. Street, NW, Washington, District of Columbia 20240 Email: [joan\\_harn@nps.gov](mailto:joan_harn@nps.gov) Phone: (202) 354-6900

**Website Address:**

[www.nps.gov/hydro](http://www.nps.gov/hydro).

**RELATED PROGRAMS:**

15.916 Outdoor Recreation\_Acquisition, Development and Planning; 15.921 Rivers, Trails and Conservation Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Lower Chippewa River Settlement Agreement, WI--Technical assistance in establishing recreational flows, recreational facility planning, protection of riparian land and open space, and settlement agreement

negotiations between Northern States Power Co. (D.B.A. Xcel Energy), City of Eau Claire, WI, Wisconsin Department of Natural Resources, Fish and Wildlife Service, Army Corps of Engineers, Wisconsin Conservation Congress, Lake Holcombe Improvement Association, Inc., Lake Wissota Improvement Association, Lower Chippewa Restoration Coalition, Inc., Chippewa Rod and Gun Club, River Alliance of Wisconsin, and the National Park Service. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Project should have clear opportunity to enhance recreation and lead to tangible conservation of significant natural and cultural resources.

**15.928 CIVIL WAR BATTLEFIELD LAND ACQUISITION GRANTS**

LWCF Battlefield Acquisition Grants

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

The American Battlefield Protection Act (ABPA) of 1996, as reauthorized by the Omnibus Public Land Management Act of 2009, Public Law 111-11.

**OBJECTIVES:**

To assist States and local communities acquire and preserve threatened Civil War battlefields.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are available for the fee simple acquisition of land, or for the acquisition of permanent, protective interests in land, at Civil War Battlefields listed in the Civil War Sites Advisory Commission's (CWSAC) 1993 Report on the Nation's Civil War Battlefields. Funds may not be used to acquire land or interests in land within the legislative boundary of a National Park. Grantees must provide for the appropriate public access to and enjoyment of any lands or interests in lands acquired with assistance from this program, subject to necessary and reasonable measures on the part of the beneficiary to protect the historic features of the battlefield from damage or loss. Grantees may not charge costs for administering the project to the grant or to the required matching share.

**Applicant Eligibility:**

Eligible applicants are State and local governments. Private nonprofit organizations seeking to acquire battlefield land with assistance from this program must apply in partnership with the State or local government agency that has jurisdiction over the proposed acquisition parcel. The government agency may then subgrant the Federal funds to the nonprofit organization. In any case where a local government or a private non-profit organization acquires land or an interest in land with assistance from this program, it must convey an acceptable perpetual protective easement on the land to the State Historic Preservation Office or other governmental agency acceptable to the National Park Service.

**Beneficiary Eligibility:**

State and local governments benefit.

**Credentials/Documentation:**

Prior to the expenditure of grant funds for the purchase of real property, a current appraisal must be obtained. Appraisal preparation, documentation and reporting must be made in conformance with the standards and practices of the Uniform Appraisal Standards for Federal Land Acquisitions (UASFLA), as codified in 49 CFR 24.103, and the Uniform Standards of Professional Appraisal Practices (USPAP Standards 1 and 2) published by the Interagency Land Acquisition Conference. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication coordination with ABPP staff is highly recommended. Coordination with appropriate State Historic Preservation Office(s) is recommended. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in

applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposal packages must be submitted in hard copy. Faxed proposals and proposals submitted electronically will not be accepted. Incomplete proposals will not be considered. Proposals must contain all of the following: 1) a USGS quadrangle map showing the boundaries of the Civil War battlefield and identifying within those boundaries the specific lands to be acquired; 2) a statement defining the threat to the battlefield and the proposed acquisition parcel; 3) a statement from the property owner(s) indicating a willingness to sell or to negotiate for the sale of the property; and 4) a list of sources of the required nonfederal matching share and verification of the availability of the matching funds. Applicants will receive a Standard Form 424-Request for Federal Assistance, and a Certificate Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying, DI-2010. Forms must be completed and returned to the National Park Service.

**Award Procedure:**

The Director of the National Park Service makes awards to approved applicants.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. 3 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: A dollar-for-dollar nonfederal match is required for all projects receiving funding through this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Battlefield land or interests in land are purchased immediately after receipt of funds, usually no later than one year after receipt of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

In all cases, grantees or subgrantees must encumber the title to the acquired battlefield property with easement, in favor of enforceable in court by the State Historic Preservation Officer, or by another government agency acceptable to the NPS, in perpetuity. Both the letters of agreement and easements must acknowledge Section 6(f)(3) restrictions and must be sent to the NPS for review and approval prior to their execution and recordation. The fundamental purpose of the Land and Water Conservation Fund is to help acquire and/or develop public outdoor recreation areas. Accordingly, grantees must provide for public access to lands or interests in lands acquired with assistance from this program, subject to necessary and reasonable measures on the part of the grantee to protect the historic features of the battlefield from damage or loss. Where the grantee will place an easement on the property, the grantee must include language in the easement that indicates the type and degree of public access to be made available to the property. At a minimum, lands purchased with LWCF funds must be visible from public rights-of-way. Cash reports are not applicable. Grantees are required to report progress semiannually. Products of the grant will be reviewed in draft and final format. Final performance reports are expected at the close of the grant. The SF 425 Federal Financial Report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

The grantee must maintain the property, personnel, financial, procurement and other records and accounts pertinent to the funds awarded by this grant in accordance with 43 CFR 12. The grantee and its contractors will permit on-site inspections by NPS representatives, and will effectively require employees and board members to furnish such information as, in the judgment of NPS representatives, may be relevant to a question of compliance with grant conditions and directives on the effectiveness, legality and achievements of project work. Land acquired with these funds must be preserved in perpetuity. To that end, grantees must encumber the title to the acquired battlefield property with a preservation easement running with the land, in favor of and enforceable in court by the State Historic Preservation Office, or by another government agency acceptable to the National Park Service, In perpetuity.

**Account Identification:**

14-5035-0-2-303.

**Obligations:**

(Project Grants) FY 10 \$9,000,000; FY 11 est \$6,000,000; and FY 12 est \$10,000,000

**Range and Average of Financial Assistance:**

There is no established minimum and the annual funding allocation would be the maximum. In FY 10 the minimum was \$14,000 and the maximum was \$1,900,000. For 2010, the following amounts indicate the average grant: Bentonville Battlefield, NC \$140,175; Wilderness Battlefield, VA \$328,668; Glendale Battlefield, VA \$745,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Bentonville/Westbrook, NC \$27,000; Parkers Crossroads/Daugherty, TN \$41,000; Wilderness/Atkins-Link, VA \$328,668; Buckland/Mill, VA \$910,000; Malvern Hill/Shield, VA \$394,459.95; Bentonville/Britt, NC \$140,175; Bentonville/Hollowell Flowers, NC \$14,000; Davis Bridge/Elkins TN \$52,500; Appomattox Sta/Jamerson, VA \$635,000; Resaca/Medders, GA \$1,350,000; Franklin/Fudge, TN \$103,000; Reams Station/Baird, \$85,000; Ware Bottom Church/Walthall Church, VA \$45,000; Williamsburg/Hailey, VA \$40,000; Buckland/7810 Madison Hwy, VA \$505,000; Richmond/Moody, KY \$29,500; Bentonville/Nell Howell, NC \$306,000; Bentonville/Joyce Britt-Halliwell, NC \$150,000; Franklin/Holt TN \$492,000; Spring Hill/GM, TN \$1,900,000; Cold Harbor/CVaHPF, VA \$203,000; Helena/Estevan Hall, AR \$207,500; Deep Bottom II/RBA, VA \$175,000; Glendale/Mansfield, VA \$745,000; Buckland/Broad Run, VA \$95,000; Bentonville/Martelle-Thornton, NC \$21,825. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A more complete description of grant requirements can be found in the ABPP 2010 application guidelines. The 2010 guidelines and application form are available online at <http://www.cr.nps.gov/abpp>. The American Battlefield Protection Act (ABPA) of 1996, as amended (16 USC 469k), authorizes this grant program. The ABPA allows Land and Water Conservation Fund monies to be used to provide the Federal share of the cost of acquiring interests in eligible Civil War battlefield land. The ABPA requires that any interest in land acquired under this program...shall be subject to section 6(f)(3) of the Land and Water Conservation Fund Act of 1965 (16 U.S.C. 4601-8(f)(3))." Section 6(f)(3) requires that any land acquired with these funds be preserved and not converted to other uses without the express written consent of the Secretary of the Interior.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kristen McMasters 1201 Eye Street, NW (2255) 6th Floor, Washington, District of Columbia 20005 Phone: (202) 354-2037

**Website Address:**

<http://www.cr.nps.gov/abpp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Bentonville/Westbrook, NC \$27,000; Parkers Crossroads/Daugherty, TN \$41,000; Wilderness/Atkins-Link, VA \$328,668; Buckland/Mill, VA \$910,000; Malvern Hill/Shield, VA \$394,459.95; Bentonville/Britt, NC \$140,175; Bentonville/Hollowell Flowers, NC \$14,000; Davis Bridge/Elkins, TN \$52,500; Appomattox Sta/Jamerson, VA \$635,000; Resaca/Medders, GA \$1,350,000; Franklin/Fudge, TN \$103,000; Reams Station/Baird, VA \$85,000; Ware Bottom Church/Walthall Church, VA \$45,000; Williamsburg/Hailey, VA \$40,000; Buckland/7810 Madison Hwy, VA \$505,000; Richmond/Moody, KY \$29,500; Bentonville/Nell Howell, NC \$306,000; Bentonville/Joyce Britt-Halliwell, NC \$150,000; Franklin/Holt TN \$492,000; Spring Hill/GM, TN \$1,900,000; Cold Harbor/CVaHPF, VA \$203,000; Helena/Estevan Hall, AR \$207,500; Deep Bottom II/RBA, VA \$175,000; Glendale/Mansfield, VA \$745,000; Buckland/Broad Run, VA \$95,000; Bentonville/Martelle-Thornton, NC \$21,825. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Reviewers evaluate applications according to the following considerations: significance of the battlefield land as defined in the CWSAC's Report; whether the proposed acquisition parcel lies within CWSAC-defined Core and/or Study areas and outside the legislative boundaries of any associated National Parks; availability of required matching funds; acquisition schedule; and threat to the battlefield land.

**15.929 SAVE AMERICA'S TREASURES**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Omnibus Public Land Management Act of 2009, Public Law 111-11; National Historic Preservation Act of 1966, as amended, Section 108; Public Law 108-108, 110 Stat. 4174; 16 USC 470.

**OBJECTIVES:**

To provide matching grants for preservation or conservation work on nationally significant intellectual and cultural artifacts and nationally significant historic structures and sites. Intellectual and cultural artifacts include artifacts, collections, documents, sculpture and works of art.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for projects resulting in the protection and preservation of nationally significant historic structures and sites, as well as nationally significant collections of intellectual and cultural artifacts, documents, sculpture and works of art. Projects to repair structures must comply with treatments defined in the "Secretary of the Interior's Standards for the Treatment of Historic Properties" (36 CFR 78). No funding is given to projects dealing with acquisition or reconstruction of properties or, collections, payment of rent on properties or land, fund raising, and lobbying. The Grantee must grant a preservation easement or preservation agreement for each grant-assisted property to the State Historic Preservation Officer (SHPO) for at least 50 years from the end date of the grant agreement.

**Applicant Eligibility:**

Federal (if part of the Interior and Related Agencies Appropriation), Intrastate, Interstate, State and Local agencies, Public or Private nonprofit institutions/organizations, State Colleges and Universities, Public and Private Colleges and Universities, and Federally Recognized Indian Tribes. Individuals are not eligible applicants. Properties receiving Save America's Treasures (SAT) grant assistance must be listed in the National Register of Historic Places for National significance.

**Beneficiary Eligibility:**

Any Federal, Intrastate, Interstate, State and local agencies, Public or Private nonprofit institution/organization, State Colleges or University, Public and Private College or University, or Federally recognized Indian tribes.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should visit the Save America's Treasures Program website, at <http://www.nps.gov/history/hps/hpg/> to obtain an application for funding. Forms must be completed and submitted to Grants.gov by the date listed in the Application Guidelines. The Application Guidelines can be found at <http://www.nps.gov/history/hps/hpg/>. The Program is included in Grants.gov FIND and APPLY. If you don't have internet access, the request for an application may be sent to: Grants Manager, Save America's Treasures, National Park Service, 1849 C Street, NW, Mail Stop 2256, Washington, DC 20240.

**Award Procedure:**

Award amounts are based on the review panel recommendations. Each application is scored individually based on standardized criteria.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are reviewed and approved or disapproved by the Save America's Treasures Program by the end of the Federal fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Grants must be fully matched on a dollar-to-dollar basis.

This program has MOE requirements, see funding agency for further details.

Contact local or headquarters office for further details.

**Length and Time Phasing of Assistance:**

Project duration is generally for two years. All awarded funds must be expended within 90 days of the grant end date specified in the Grant agreement. See the following for information on how assistance is awarded/released: Funds for the project may be requested as advances and/or reimbursements via SMARTLINK electronic payment system, with the final payment being a reimbursement. All conditions of the project must be complete at the time of requesting the final payment.

**Reports:**

Grantees are required to report progress reports on a semi-annual basis.

Products of the grant will be reviewed in draft and final format. Final performance reports are expected at the close of the grant. Cash reports are not applicable. Progress reports are not applicable. Grantees are required to report financial reports on a semi-annual basis. Final financial reports are expected at the close of the grants. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for grants awarded to State and Local Governments must be maintained in accordance with the provisions of 43 CFR 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations must be

maintained in accordance with the provisions of 43 CFR 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-5140-0-1-303.

**Obligations:**

(Cooperative Agreements) FY 10 \$25,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

The range is \$25,000 - \$700,000; Average \$226,214.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: University of Arizona, Dendrochronology Collection, AZ \$425,000; Department of Arkansas Heritage, Civil War Battle Flag Collection, AR \$26,032; Bridgeport Public Library, Barnum & London Circus Posters, CT \$26,703; Yale University, 19th Century Dinosaur Collections, CT \$450,000; President and Fellows of Harvard College, Historic Alaska Native Kayaks and Related Collections, MA \$283,685; Linda Hall Library, A.B. Nichols Panama Canal Collection, MO \$52,929; University of Nebraska, Lincoln, Ardis & Robert James Collection, NE \$25,000; Museum of New Mexico, Albuquerque Museum History Collection, NM \$550,000; South Carolina Research Foundation, Vaughan & Curriboo Archaeological Collections, SC \$192,482; National Film Preservation Foundation, Saving Lost Silent Films, CA \$203,000; Regents of the University of California, Hans Hoffman Paintings, CA \$93,825; Eleutherian Mills, Hagley Foundation, Philadelphia Savings Fund Society, Howe & Lescaze Design Archives, DE \$26,305; Dance Heritage Coalition, Inc., Dance Theater of Harlem Archives, DC \$58,853; Norman Rockwell Museum, Norman Rockwells Works on Paper, Illustrated Posters, & Photographs, MA \$144,240; International Center of Photography, Robert & Cornell Cappa Collections, NY \$57,425; Meserve-Kunhardt Foundation, Gordon Parks Collection, NY \$69,008; New York City Ballet, New York City Ballet Film Archives, NY \$75,000; Berman Museum of Art, Pennsylvania German Fraktur Collection, PA \$31,000; Virginia Historical Society, Charles Hoffbauer "Memorial Military" Murals, VA \$375,000; University of Arizona, Arizona State Museum, Saving Woven Wonders of American Heritage, AZ \$400,000; Emory University, African-American Scrapbooks, GA \$170,000; Fund for Innovative TV, 1992 Election Documentary Collection, IL \$79,000; American Antiquarian Society, Early American Bindings Collections, MA \$77,557; John F. Kennedy Library Foundation, Jacqueline Kennedy Collection, MA \$150,000; Tougaloo College, Tougaloo College Civil Rights Collections, MS \$213,564; Cornell University, Trials Pamphlet Collection, NY \$155,700; Schenectady Museum Association, Edison Tinfoil Recordings, NY \$25,735; Free Library of Philadelphia, Pennsylvania German Manuscripts & Fraktur, PA \$200,000; Reconstructionist Rabbinical College, Rabbi Mordecai M. Kaplan Collection, PA \$25,250; The University of Texas at El Paso, Historical Photographs from the US-Mexican Border, TX \$141,206; George Mason University, September 11 Digital Archives, VA \$152,769; Library of Virginia Foundation, Executive Papers & Letterbooks of Governor Thomas Jefferson, VA \$110,000; Richmond Museum Association, SS Red Oak, CA \$700,000; Fort Mason Center, Fort Mason, CA \$700,000; Protestant Episcopal Cathedral Foundation, Washington National Cathedral, DC \$700,000; Smithsonian Institution, Biodiversity Field Books & Expedition Journals, DC \$96,783; Smithsonian Institution, Jim Crow Railroad Car Conservation, DC \$222,128; Smithsonian Institution, Moses and Frances Asch Collection, DC \$335,500; Smithsonian Institution, Museum of the American Indian, Heye Collection, DC \$29,905; Smithsonian Institution, Renwick Gallery, DC \$335,000; Flannery O'Connor-Andalusia Foundation, Andalusias Hill House, GA \$120,000; Bishop Hill Heritage Association, Steeple Building, IL \$312,560; RBF Dome NFP, R. Buckminster Fuller Dome Home, IL \$125,000; University of Illinois, Jane Addams Hull-House Museum, IL \$80,000; Butler University, Butler Fieldhouse, IN \$700,000; LST 325 Ship Memorial, Inc., USS LST 325, IN \$414,444; Haystack Mountain School of Crafts, Haystack Mountain School, ME \$125,000; Maryland School for the Deaf, Hessian Barracks, MD \$259,800; Missouri Botanical Garden, Perimeter Wall, MO \$529,623; Pony Express Historical Society, Patee House, MO \$162,500; Consolidated City-County Government of Butte-Silver Bow, Butte Mineyard Headframes, MT \$192,000; Pueblo of Acoma, Pueblo of Acoma Emergency Restoration, NM \$216,491; New York State Office of Parks, Recreation, and



Historic Preservation, Calvert Vaux Hoyt House, NY \$320,000; Save Our Ships New York, Fireboat John J. Harvey, NY \$165,955; Trinity Episcopal Church, Buffalo Trinity Church, NY \$178,615; Zoological Society of Cincinnati, Cincinnati Zoo Reptile House, OH \$408,886; City of Lancaster, Central Market, PA \$300,000; St. Marks Church, Philadelphia, St. Marks Episcopal Church, PA \$700,000; The River Pierce Foundation, Trevino-Urbe Rancho, TX \$269,130; Save Historic Arlington House, Inc., Arlington House, VA \$290,000; Soldiers Home Foundation, Inc., 1899 Soldiers Home Chapel & Chaplain's Quarters, WI \$245,412. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulated by 43 CFR Part 12.

**Regional or Local Office:**

None.

**Headquarters Office:**

Save America's Treasures Program, National Park Service, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202) 354-2020 Fax: (202) 371-1794.

**Website Address:**

<http://www.nps.gov/history/hps/hpg/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: University of Arizona, Dendrochronology Collection, AZ \$425,000; Department of Arkansas Heritage, Civil War Battle Flag Collection, AR \$26,032; Bridgeport Public Library, Barnum & London Circus Posters, CT \$26,703; Yale University, 19th Century Dinosaur Collections, CT \$450,000; President and Fellows of Harvard College, Historic Alaska Native Kayaks and Related Collections, MA \$283,685; Linda Hall Library, A.B. Nichols Panama Canal Collection, MO \$52,929; University of Nebraska, Lincoln, Ardis & Robert James Collection, NE \$25,000; Museum of New Mexico, Albuquerque Museum History Collection, NM \$550,000; South Carolina Research Foundation, Yaughan & Curriboo Archaeological Collections, SC \$192,482; National Film Preservation Foundation, Saving Lost Silent Films, CA \$203,000; Regents of the University of California, Hans Hoffman Paintings, CA \$93,825; Eleutan Mills, Hagley Foundation, Philadelphia Savings Fund Society, Howe & Lescaze Design Archives, DE \$26,305; Dance Heritage Coalition, Inc., Dance Theater of Harlem Archives, DC \$58,853; Norman Rockwell Museum, Norman Rockwells Works on Paper, Illustrated Posters, and Photographs, MA \$144,240; International Center of Photography, Robert & Cornell Cappa Collections, NY \$57,425; Meserve-Kunhardt Foundation, Gordon Parks Collection, NY \$69,008; New York City Ballet, New York City Ballet Film Archives, NY \$75,000; Berman Museum of Art, Pennsylvania German Fraktur Collection, PA \$31,000; Virginia Historical Society, Charles Hoffbauer "Memorial Military" Murals, VA \$375,000; University of Arizona, Arizona State Museum, Saving Woven Wonders of American Heritage, AZ \$400,000; Emory University, African-American Scrapbooks, GA \$170,000; Fund for Innovative TV, 1992 Election Documentary Collection, IL \$79,000; American Antiquarian Society, Early American Bindings Collections, MA \$77,557; John F. Kennedy Library Foundation, Jacqueline Kennedy Collection, MA \$150,000; Tougaloo College, Tougaloo College Civil Rights Collections, MS \$213,564; Cornell University, Trials Pamphlet Collection, NY \$155,700; Schenectady Museum Association, Edison Tinfoil Recordings, NY \$25,735; Free Library of Philadelphia, Pennsylvania German Manuscripts & Fraktur, PA \$200,000; Reconstructionist Rabbinical College, Rabbi Mordecai M. Kaplan Collection, PA \$25,250; The University of Texas at El Paso, Historical Photographs from the US-Mexican Border, TX \$141,206; George Mason University, September 11 Digital Archives, VA \$152,769; Library of Virginia Foundation, Executive Papers & Letterbooks of Governor Thomas Jefferson, VA \$110,000; Richmond Museum Association, SS Red Oak, CA \$700,000; Fort Mason Center, Fort Mason, CA \$700,000; Protestant Episcopal Cathedral Foundation, Washington National Cathedral, DC \$700,000; Smithsonian Institution, Biodiversity Field Books and Expedition Journals, DC \$96,783; Smithsonian Institution, Jim Crow Railroad Car Conservation, DC \$222,128; Smithsonian Institution, Moses and Frances Asch Collection, DC \$335,500;

Smithsonian Institution, Museum of the American Indian, Heye Collection, DC \$29,905; Smithsonian Institution, Renwick Gallery, DC \$335,000; Flannery OConnor-Andalusia Foundation, Andalusias Hill House, GA \$120,000; Bishop Hill Heritage Association, Steeple Building, IL \$312,560; RBF Dome NFP, R. Buckminster Fuller Dome Home, IL \$125,000; University of Illinois, Jane Addams Hull-House Museum, IL \$80,000; Butler University, Butler Fieldhouse, IN \$700,000; LST 325 Ship Memorial, Inc., USS LST 325, IN \$414,444; Haystack Mountain School of Crafts, Haystack Mountain School, ME \$125,000; Maryland School for the Deaf, Hessian Barracks, MD \$259,800; Missouri Botanical Garden, Perimeter Wall, MO \$529,623; Pony Express Historical Society, Patee House, MO \$162,500; Consolidated City-County Government of Butte-Silver Bow, Butte Mineyard Headframes, MT \$192,000; Pueblo of Acoma, Pueblo of Acoma Emergency Restoration, NM \$216,491; New York State Office of Parks, Recreation, and Historic Preservation, Calvert Vaux Hoyt House, NY \$320,000; Save Our Ships New York, Fireboat John J. Harvey, NY \$165,955; Trinity Episcopal Church, Buffalo Trinity Church, NY \$178,615; Zoological Society of Cincinnati, Cincinnati Zoo Reptile House, OH \$408,886; City of Lancaster, Central Market, PA \$300,000; St. Marks Church, Philadelphia, St. Marks Episcopal Church, PA \$700,000; The River Pierce Foundation, Trevino-Urbe Rancho, TX \$269,130; Save Historic Arlington House, Inc., Arlington House, VA \$290,000; Soldiers Home Foundation, Inc., 1899 Soldiers Home Chapel & Chaplain's Quarters, WI \$245,412. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications received are scored on the following criteria: critical preservation need; well-planned objectives, tasks, and schedules; qualifications and coordination of partner organization(s); and realistic budget and matching resources.

**15.930 CHESAPEAKE BAY GATEWAYS NETWORK**

Chesapeake Bay Gateways

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Chesapeake Bay Initiative Act of 1993, Public Law 105-312, Section 501-2.

**OBJECTIVES:**

To aid State and local governments, local communities, nonprofit organizations and the private sector in conserving, restoring and interpreting important historic, cultural, recreational and natural resources within the Chesapeake Bay watershed and the Chesapeake Bay Gateways and Watertrails Network.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Gateways awards assist projects at designated Gateways in the Chesapeake Bay Gateways and Watertrails Network that provide or improve access to the Chesapeake Bay, promote stewardship of the Bay, and provide interpretive or educational material or programs that tell the Gateway's story as it relates to the Bay. Only projects related to a currently designated Gateway are eligible for assistance. Gateways can be sites, water trails, land trails, byways, regional information centers or hubs and are designated through a separate nomination process. Information on the nomination process can be found at [www.baygateways.net](http://www.baygateways.net).

**Applicant Eligibility:**

Eligible applicants include: State and local governments and non-profit organizations, as long as the organization is connected with the designated Chesapeake Bay Gateways, and non-federal non-profit partners who support a federally managed Gateway. Only projects related to a currently designated Gateway are eligible for assistance. Gateways are designated through a separate nomination process.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Financial Assistance applications may be submitted by either the managing organization for a designated Gateway or a partner organization designated to

carry out the project at the Gateway. The applicant must either be a non-profit organization qualified as such under section 501(c) of the Internal Revenue Code or a state or local government. Those organizations, acting as a non-federal partner to a federally managed Gateway, may also submit an application supporting a project at a federally managed Gateway. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants must determine if their proposal requires an environmental or cultural analysis under the national Environmental Policy Act of 1969 (NEPA) or the National Historic Preservation Act of 1967 (NEPA) as amended. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The grant opportunity, SF 424 Application for Federal Assistance, and application package will be posted on [www.grants.gov](http://www.grants.gov). Additional information can be found at the Chesapeake Bay Gateways network web site, [www.baygateways.net](http://www.baygateways.net). Typically, by the first of each year, the Chesapeake Bay Gateway and Watertrails Network web site, [www.baygateways.net](http://www.baygateways.net), displays information about the application process. Any information about activities that may receive priority attention will also be posted.

**Award Procedure:**

The application request is reviewed by a panel made up of representatives of the Gateways Network Working Group and National Park Service (NPS) staff. The members independently review and rank each proposal, meet as a panel to discuss the proposals and recommend to the Superintendent, NPS Chesapeake Bay Program Office, proposals to be funded. The NPS makes the final decision on funding. Applicants selected for funding are then contacted regarding next steps.

**Deadlines:**

Mar 07, 2011: March or early April. For public information, deadlines are displayed at [www.grants.gov](http://www.grants.gov) and at the Gateways website, [www.baygateways.net](http://www.baygateways.net). The application deadline is typically set for March or early April.

**Range of Approval/Disapproval Time:**

It typically takes an estimated 45 to 60 days after the application deadline for selection and award or disapproval.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50%. Per Public Law 105-312, Section 501 requested funds shall not exceed 50 percent (50%) of eligible project costs and shall be made on the condition that non-federal sources, including in-kind contributions of services or materials, provide the remainder of eligible project costs. This means that Federal funds must be matched by an equal or greater amount of non-federal funds which may include in-kind contributions of services or materials including volunteer labor, cash or revenue sources dedicated to the same project. This matching requirements is for the period of performance of the award only. Applicants should read the financial assistance program guidelines for detail on the various kinds and qualifications of matching funds. In addition, no more than 10 percent (10%) of all eligible direct project costs can be used for administrative expenses. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project period is set by the requirements of the project but is typically for a

time period not to exceed 24 months. Assistance is provided on a reimbursement basis. See the following for information on how assistance is awarded/released: Assistance is provided on a reimbursement basis.

**Reports:**

All Gateway projects and activities are monitored for progress and compliance with the use of semi-annual and final narrative reports. Cash reports are not applicable. Progress reports are not applicable. An interim and final SF 425 Federal Financial Report is required. Recipients are also required to submit an SF 270 for reimbursement payments. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The recipient must maintain a complete, detailed accounting system to report expenditures of funds and accomplishments achieved under the award. Records, accounts, and supporting documents must be retained for 3 years after submission for final request for reimbursement.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Cooperative Agreements) FY 10 \$670,954; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Awards range from \$10,000 to \$250,000. The average award amount in FY10 is \$55,913.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR part 12, Subpart C and Subpart F and check [www.baygateways.net](http://www.baygateways.net)

**Regional or Local Office:**

See Regional Agency Offices. Peggy Wall, Administrative Officer, Chesapeake Bay Office, NPS, 410 Severn Avenue, Suite 314, Annapolis, Maryland 21403. (410) 260-2473, Fax: (410) 263-2135. E-mail: [peggy\\_wall@nps.gov](mailto:peggy_wall@nps.gov).

**Headquarters Office:**

Bob Campbell 410 Severn Avenue, Suite 314, Annapolis, Maryland 21403  
Email: [bob\\_campbell@nps.gov](mailto:bob_campbell@nps.gov) Phone: (410) 260-2478

**Website Address:**

[www.baygateways.net](http://www.baygateways.net).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Developed a 32 mile water trail on the Delaware portion of the Nanticoke River; developed a new, step-down platform to facilitate kayak launches on the Captain John Smith Chesapeake NHT; developed an oral history program about life on Tangier Island; created a Chesapeake Bay Gateways Youth Corps to train at-risk youths in environmental work practices; created an interpretive program about the role of Bladensburg in the War of 1812; developed the Sassafras River segment of the Captain John Smith Chesapeake NHT. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Financial Assistance applications are reviewed by a review panel. Proposals are evaluated on the basis of: appropriateness to the eligible award categories; clarity of project objectives (including measurable results); plans for achieving project objectives and sustaining them over time; contribution to the Network's goals; integration of Network themes into any interpretation; and importance in making the Gateway effective. Consideration is given to project cost and matching share, geographical settings, technical feasibility, and priorities listed

for each Gateway type.

## **15.931 CONSERVATION ACTIVITIES BY YOUTH SERVICE ORGANIZATIONS**

### **FEDERAL AGENCY:**

National Park Service, Department of the Interior

### **AUTHORIZATION:**

Omnibus Consolidated Appropriations Act of 1997, Public Law 104-208, 110 Stat. 3009 (181,189), 16 U.S.C 1g; Challenge Cost Share Agreement Authority, Title 43, Part 12, Public Law 107-273, 110 Stat. 4199; American Recovery and Reinvestment Act of 2009 (Section 702), Public Law 111-5; Public Lands Corps Healthy Forests Restoration Act of 2005, Public Law 109-154, 119 Stat. 2891, 2893, 16 U.S.C 1701-1706, 1723; Omnibus Parks and Public Lands Management Act of 1996, Public Law 104-333, 16 U.S.C 1f.

### **OBJECTIVES:**

To utilize qualified youth or conservation corps to carry out appropriate conservation projects which the Secretary is authorized to carry out under other authority of law on public lands. Work cooperatively with the NPS on cultural and natural resource related conservation projects such as trail development and maintenance, historic, cultural, forest and timber management, minor construction work, archaeological conservation, and native plant habitat restoration and rehabilitation. Promote and stimulate public purposes such as education, job training, development of responsible citizenship, productive community involvement, and further the understanding and appreciation of natural and cultural resources through the involvement of youth and young adults in care and enhancement of public resources. Continue the longstanding efforts of the NPS to provide opportunities for public service, youth employment, minority youth development and training, and participation of young adults in accomplishing conservation-related work. For Recovery Act funded projects and in addition to the program objectives above, Section 3 of the Act states the following objectives: to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Funding is to be used by organizations to support youth career training and development in the areas of resource management, conservation and cultural resources while working with the NPS to accomplish particular projects. The availability of discretionary funding is determined by various units of the NPS each fiscal year. Funding is to be used by organizations to support youth career training and development in the areas of resource management, conservation and cultural resources while working with the NPS to accomplish particular projects. The availability of discretionary funding is determined by various units of the NPS each fiscal year. For American Recovery and Reinvestment Act of 2009 (ARRA) funded projects the requirements will be followed and incorporated, as necessary, within the opportunity announcement and agreement documents.

### **Applicant Eligibility:**

Private nonprofit institutions and organizations, state and local government agencies and quasi-public nonprofit institutions and organizations that support youth career training and development in the areas of resource management, conservation and cultural resources.

### **Beneficiary Eligibility:**

Private nonprofit institutions and organizations, state and local government agencies and quasi-public nonprofit institutions and organizations that support youth career training and development in the areas of resource management, conservation and cultural resources; Individuals/Families; Graduate Students; youth or corps located in a specific area that have a substantial portion of members who are economically physically, or educationally disadvantaged

(Public Land Corps Act of 1993); General Public, specifically, young people, minority groups, social and economically disadvantaged individuals will benefit from the education and skill development in the area of conservation as well as instilling a conservation ethics.

### **Credentials/Documentation:**

Documentation demonstrating that an organizations purpose is strongly related or solely for the purpose of youth/student education in a conservation oriented environment. Proof of past performance in the areas of resource management, conservation and cultural resources and assistance to youth. If applying as a nonprofit organization, proof of nonprofit status will be required. Additional information on awards made under Challenge Cost Share, is available at the NPS web site Challenge Cost Share Program Guidelines. Each organization submitting an application will be required to follow the Grants.gov registration requirements in advance of submitting an application. The procedures are provided at [http://www.Grants.gov/applicants/get\\_registered.jsp](http://www.Grants.gov/applicants/get_registered.jsp). OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible applicants will be required to submit an Application, SF-424, and a written proposal through the <http://www.Grants.gov> website following the procedures outlined in the announcement, and will include a title, geographic area(s) of requested assistance, objectives, and a budget proposal to reflect a typical project.

### **Award Procedure:**

Application packages will be posted for an Eligible Applicant's response utilizing the <http://www.grants.gov> website. Upon receipt of timely submissions, applications will be reviewed by the NPS and may be circulated for others to review. Notification of Awards will be provided to applicants by issuance of a Cooperative Agreement by the Awarding Official within the time specified on the announcement. Additional information on awards made under Challenge Cost Share, is available at the NPS web site Challenge Cost Share Program Guidelines.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Generally, 30 to 90 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

Yes. Renewals are available at the end of each term and will be negotiated between the awardee and the National Park Service.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Projects completed under the Public Land Corp (PLC) Act require a 25 percent nonfederal match for all entities except where an award is provided to a State government and on Indian Lands as defined in the PLC Act. A 20 percent match is required when using the PLC authority and providing assistance to a State government entity. Challenge Cost Share projects are required to follow the National Park Service's Challenge Cost Share Program Guidelines.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Assistance is provided on a project basis. Most projects are two to three months in duration depending on complexity and other factors. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Additionally all organizations will be required to submit a yearly narrative

summary accomplishments reports to the National Park Service WASO Youth Programs Office at the end of each Fiscal Year. All projects and activities are monitored for progress and compliance with agreed upon scope of work. For ARRA funds, recipients and agencies must comply with the regulations promulgated in 2 CFR Part 176 - Award Terms For Assistance Agreements that Include Funds Under the American Recovery and Reinvestment Act of 2009, Public Law 111-5. These reports will be made publicly available. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form 270 Request for Advance or Reimbursement, and a quarterly submittal of Standard Form 425 Federal Financial Report as outlined in 2 CFR 215.52. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submission for final request for reimbursement. For ARRA funds, the provisions of 2 CFR, Part 176 apply.

#### **Account Identification:**

14-1035-1-1-303 - ARRA TAFS 14-1035 2009/2010; 14-1042-0-1-303.

#### **Obligations:**

(Cooperative Agreements) FY 10 \$11,000,000; FY 11 est \$11,000,000; and FY 12 est \$0 - This amount includes a specific appropriation, and other fund sources identified at individual operating units of the NPS. NPS had one national cooperative agreement with a youth service corp provider, the Student Conservation Association and approximately \$7.1 million was provided in financial assistance. NPS has numerous regional and park-based cooperative agreements with other youth corp service providers.

#### **Range and Average of Financial Assistance:**

In FY 2010 the NPS spent \$4.1 million on 187 completed Public Lands Corp projects with an average dollar amount of \$25,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: A special funding call was made through the WASO Associate Directors for Youth Demonstration Projects. A total of \$750,000 was set aside for innovative demonstration youth projects that set the example for the future development and progression of NPS Youth Programs throughout the system. Fiscal Year 2011: Information not available. Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

NPS Youth Programs at <http://www.nps.gov/youthprograms/index.htm>.

#### **Regional or Local Office:**

See Regional Agency Offices. Alaska Region, John Morris, 2525 Gambell Street, Room 107, Anchorage, AK 99503; Telephone: (907) 644-3372. Northeast Region, Kelly Feliner, 14 Beacon Street, Room 503, Boston, MA 02108; Telephone: (617) 227-9963. Midwest Region, Phyllis Cremonini, 601 Riverfront Drive, Omaha, NE 68102; Telephone: (402) 661-1638; National Capital Region Cynthia, Salter-Stith, 110 Ohio Drive S.W., Washington, DC 20242; (202) 619-7055, Intermountain Region, Alison Swanson, 12795 West Alameda Parkway, Denver, CO 80225-0287; Telephone: (303) 969-2322, Southeast Region, Priscilla Nalls, Atlanta Federal Center, 100 Alabama Street S.W., Atlanta, GA 30303; Telephone: (404) 562-5633, Pacific West Region, Charles H. Thomas, Seattle System Support Office, 909 First Avenue, Seattle, WA 98104; Telephone: (805) 370-2339.

#### **Headquarters Office:**

George McDonald National Park Service, 1201 I Street, N.W., Washington, District of Columbia 20005 Email: [george\\_mcdonald@nps.gov](mailto:george_mcdonald@nps.gov) Phone: (202)513-7146 Fax: (202) 371-2263

#### **Website Address:**

<http://www.nps.gov/youthprograms/index.html>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Cultural Resources Diversity Internship Program (CRDIP)

CRDIP in FY 2010 sponsored 16 historic preservation and cultural resources internships in partnership with the Student Conservation Association. The primary goal of this program is to diversify the historic preservation and cultural resources field.

Geoscientists-in-the-Parks (GIP) Program

GIP placed 59 interns throughout the NPS in FY 2010. GIPs worked in all NPS Regions and the Washington Office to assist park in meeting their unmet geoscience needs. The GIP positions were developed in partnership with the Geological Society of America, the National Association of Geoscience Teachers, the Association for Women Geoscientists and the American Indian Higher Education Consortium, Parks received work for the GIPs valued at over \$1.45 million with a cost to NPS of only \$292, 307. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

(1) Qualifications of the organization or institution; (2) The Secretary may give preference to qualified youth or conservation corps located in a specific area that have a substantial portion of members who are economically, physically, or educationally disadvantaged to carry out projects within the area. The Secretary may give preference to qualified youth or conservation corps located in a specific geographic area that have a substantial portion of members who are economically, physically, or educationally disadvantaged to carry out projects within the area; (3) Past performance in the area of youth conservation corps activities; (4) Organizations ability to reach undeserved and disadvantaged population groups; (5) Offering meaningful, full-time, productive work for individuals between the ages of 15 and 25 in a natural or cultural resource setting; (6) Giving participants a mix of work experience, basic and life skills, education, training, and support service; and (7) Providing participants with the opportunity to develop citizenship values and skills through service to their community and the United States.

#### **15.932 PRESERVATION OF HISTORIC STRUCTURES ON THE CAMPUSES OF HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCUS).**

HBCU Grants

#### **FEDERAL AGENCY:**

National Park Service, Department of the Interior

#### **AUTHORIZATION:**

Executive Order Executive Order 12232, White House Initiative on HBCU's; American Recovery and Reinvestment Act of 2009; National Historic Preservation Act, U.S.C 101.3.e.b.

#### **OBJECTIVES:**

To provide assistance to restore those historic structures on HBCU campuses considered to be the most historically significant and physically threatened the likelihood of loss of the structure if work was not performed as soon as possible to save it. Program was established in direct response to the needs of many of historically black colleges and universities, which were presented with critical rehabilitation needs, but lacked the resources to repair these buildings. For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring

technological advances in science and health.

(4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.

(5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for the preservation and restoration of properties listed in the National Register of Historic Places. All work must comply with the Secretary of Interiors Standards for Treatment of Historic Properties.

**Applicant Eligibility:**

Historically Black Colleges and Universities.

**Beneficiary Eligibility:**

Historically Black Colleges and Universities.

**Credentials/Documentation:**

National Register listing of properties for which grant assistance be being applied. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A completed SF-424 Application Federal Assistance.; A concise history of building and its significance. High quality photographs that clearly depict the present condition of the building (interior and exterior). Photographs should include details of architectural character defining elements of the property, including doors, windows, roof, porches, lobby, corridors, decorative elements, fireplaces, and any additional features addressed in the proposed preservation project.; A copy of the National Register of Historic Places.; and Any available architectural analysis and/or assessment of the building.

**Award Procedure:**

Applications and accompanying documentation are reviewed by the NPS Cultural Resources staff for program eligibility. Their recommendations are approved by the Secretary of Interior through and apportionment process. Grants are awarded by NPS directly to HBCUs.

**Deadlines:**

Apr 10, 2009 Contact appropriate NPS Regional Office for deadline information.

**Range of Approval/Disapproval Time:**

30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions may be requested by grant recipients within interim progress reports.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of time is 2 to 3 years. Assistance is released on a reimbursable basis as costs are incurred. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Projects under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the award terms and

conditions and in announcement packages at [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. Annual interim progress reports and final project report. Financial reports (SF 425). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 43 CFR Part 12, Subpart F, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations..

**Account Identification:**

14-5140-0-2-303.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Minimum award \$100,000; Maximum award \$2.5 million; and Average \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR Part 12; HPF Grants Manual [http://www.nps.gov/history/hps/HPG/HPF/HPF\\_Manual.htm](http://www.nps.gov/history/hps/HPG/HPF/HPF_Manual.htm); Secretary of Interiors Standards for the Treatment of Historic Properties.

**Regional or Local Office:**

See Regional Agency Offices. Linda Hall, NPS SERO, (404) 507-5779.

**Headquarters Office:**

Historic Preservation Grants Division, National Park Service, 1849 C Street, N.W., (Org. code 2256), Washington, District of Columbia 20240 Email: [preservation\\_grants\\_info@nps.gov](mailto:preservation_grants_info@nps.gov) Phone: (202) 354-2020.

**Website Address:**

<http://www.nps.gov/history/hps/hpg/hbcu/index.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Properties of major historical and architectural significance; Properties retaining architectural integrity (the building has not been so altered as to have lost its historic appearance.); Properties demonstrating the most critical need for immediate intervention to correct structural and safety defects in order to preserve the building.; Applicants demonstrating the ability to complete the project successfully within the established timeline. The timeline shall indicate the start and completion dates for each activity (planning and design, general conditions, mobilization, site preparation, etc.) and the scope of work for the project. The timeline shall strictly adhere to the following guidelines: (1) The project must begin within six months after the grant agreement has been signed. If activities have not begun in accordance with the approved project time line the grant will be suspended or terminated and the funds recaptured by the National Park Service.; (2) 50 percent of the total project shall be completed within 18 months after the signing of the grant agreement (including planning, design, and construction).; and 3. The project scope of work must be completed within 3 years of the start date of the grant agreement. Planning and design shall be completed within 1 year maximum and the construction phase shall be completed within 2 years maximum. The proposed cost estimates for the

preservation of historic properties must be eligible activities under the Historic Preservation Fund (HPF), and appear reasonable and necessary for the proposed work. The grant application must be received by NPS by the announced deadline. The proposed plan for intervention of the historic structure should be a technically well planned proposal and the proposed work likely to achieve a quality treatment of historic structure in order to receive a grant. b. Does the applicant demonstrate an ability to complete the project in a timely, cost effective, and professional manner, ensuring the laws and standards are met? c. Has adequate planning been completed for the project?

5. How much support and participation does the project have from former internees, stakeholders, or the general public?.

### **15.933 PRESERVATION OF JAPANESE AMERICAN CONFINEMENT SITES**

Japanese American Confinement Sites Grant Program

#### **FEDERAL AGENCY:**

National Park Service, Department of the Interior

#### **AUTHORIZATION:**

Preservation of Japanese American Confinement Sites Act, Public Law 109-441, 120 Stat. 3288, 16 U.S.C 461. , Public Law -, Stat. , U.S.C.

#### **OBJECTIVES:**

To provide for the preservation and interpretation of historic confinement sites where Japanese Americans were detained during World War II. The program was established to encourage projects that identify, research, evaluate, interpret, protect, restore, repair, and acquire historic confinement sites in order that present and future generations may learn and gain inspiration from these sites and that these sites will demonstrate the Nation's commitment to equal justice under the law.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Japanese American Confinement Sites grant funds may be used for identifying, researching, evaluating, interpreting, protecting, restoring, repairing, and acquiring historic confinement sites where Japanese Americans were detained during World War II as authorized by the Preservation of Japanese American Confinement Sites Act of 2006. These historic confinement sites are defined as the ten War Relocation Authority internment camps (Gila River, Granada, Heart Mountain, Jerome, Manzanar, Minidoka, Poston, Rohwer, Topaz, and Tule Lake), as well as other historically significant locations, as determined by the Secretary of the Interior, where Japanese Americans were detained during World War II. These sites are specifically identified in Confinement and Ethnicity: An Overview of World War II Japanese American Relocation Sites, published by the Department of the Interior, National Park Service, Western Archaeological and Conservation Center, in 1999. For further information, Please contact the Regional Office.

#### **Applicant Eligibility:**

Applicant may be State and local agencies, public or private nonprofit institutions/organizations, Federally recognized Indian tribal governments, Native American organizations, State colleges and universities, public and private colleges and universities.

#### **Beneficiary Eligibility:**

State and local agencies, public and private nonprofit institutions/organizations, Federally recognized Indian tribal governments, Native American organizations, State colleges and universities, public and private colleges and universities.

#### **Credentials/Documentation:**

Applicant must submit proof of applicant's governmental, non-profit or institutional status; a letter from the owner giving consent to the grant applicant as the grantee of record to undertake work on the property or collection (if applicable); and a federally approved Indirect Cost Rate Agreement (if applicable). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Annual announcements will provide detailed information on procedures and submission requirements. Required forms include the SF 424 Application for Federal Assistance, SF LLL Lobbying Activities, SF 424 A Budget Information, Non-Construction Programs, SF 424B Assurances, Non-Construction Programs, SF 424 C Budget Information, Construction and SF 424 D Assurances, Construction.

#### **Award Procedure:**

Eligible applications and accompanying documentation will be reviewed by the Japanese American Confinement Sites Grants Selection Panel, a panel of Federal agency experts representing applicable preservation, history, education, and conservation disciplines. The panel will provide recommendations to the Secretary of the Interior for final project selection. The panel's recommendations will be approved by the Secretary of Interior through an appointment process. Grants will be awarded by NPS directly to selected grantees. The NPS and grant recipient will execute a grant agreement.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

60 to 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Each grant requires a 2:1 Federal to non-Federal match; that is, to receive two dollars of Federal funds at least one dollar non-Federal match is required. The match may be composed of cash or in-kind contributions. The non-Federal match may be raised and spent during the grant period; it does not have to be "in the bank" at the time of the application. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

1-2 years will be the typical duration of funded awards. See the following for information on how assistance is awarded/released: Not applicable.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Grantees are required to report both financial and progress reports on a semi-annual basis. Products of the grant will be reviewed in draft and final format. Final performance reports are expected at the close of the grant. SF 425 Financial Report as specified in the award and SF 270, Request for Advance or Reimbursement must be submitted to the NPS Grant Awarding Official for approval of payment requests. Final financial reports must be submitted. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

The grantee agrees to maintain property, personnel, financial, and other records and accounts pertinent to funds awarded by this grant in accordance with OMB Circulars A-122, A-110 and A-133. The grantee and its contractors will permit on-site inspections by NPS representatives, and will effectively require employees, agents, and subcontractors to furnish such information as, in the judgment of NPS representatives, may be relevant to a question of compliance

with grant conditions and directives on the effectiveness, legality, and achievements of the grant-supported activity.

**Account Identification:**

14-1042-0-2-303.

**Obligations:**

(Project Grants) FY 10 \$3,000,000; FY 11 est \$3,000,000; and FY 12 est \$3,000,000

**Range and Average of Financial Assistance:**

Minimum \$5,000; No maximum amount set. Average grant \$50,525.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Rohwer Relocation Camp Interpretive Project Rohwer \$100,502  
Jerome-Rohwer Visitor & Interpretation Facility Rohwer, Jerome \$419,967  
Oral History and Research for Enhanced Interpretation and Education at Manzanar Demonstration Block 14 Manzanar \$58,833  
Passing the Legacy Down: Youth Interpretation of Confinement Sites in the Western United States Manzanar, Tule Lake, Poston, Minidoka \$151,790  
Nisei Oral History Project All \$42,573  
Toward Justice for All All 75,713  
Poston Preservation Project Barrack Relocation and Rehabilitation Poston \$31,000  
Building Stock Research and Inventory Related to the Granada Relocation Center (Camp Amache), Colorado Granada \$20,093  
Water Tower Rehabilitation and Reconstruction Plan at Granada Relocation Center (Camp Amache), CO Granada \$37,327  
Recruitment and Training of Volunteer Docents for National Japanese American Memorial Foundation All \$38,909  
Granada Relocation Center (Amache) Guard Tower Reconstruction Plan Granada (Amache) \$34,980  
Hawai'i Confinement Sites Educational Documentary Honouliuli, Sand Island, Kilauea Military Camp, Kalaheo Stockade, Haiku \$117,626  
Unspoken Memories: Oral Histories of Hawaii Internees at Jerome, Arkansas Jerome \$29,080  
Multidisciplinary Research and Education at Honouliuli Internment Camp, Phase 2 Honouliuli \$98,544  
Minidoka Honor Roll Minidoka \$17,295  
From Confinement to College: Video Oral Histories of Japanese American Students in World War II Multiple \$68,852  
Breaking the Silence: The Power of Remembering Tule Lake \$55,000  
Japanese Confinement Sites in Texas: An Untold Cultural Legacy of World War II Kenedy, Seagoville, Fort Sam Houston, Fort Bliss \$20,167  
Bainbridge Island Japanese American Exclusion Memorial Bainbridge Island \$182,725  
Japanese American Confinement: Reference and Resource Website All \$166,145  
Stories Less Told Part II: Video Oral Histories of the Japanese American Incarceration All \$210,000  
First Person Stories Revealed: Historic Materials from Minidoka Preserved through the Higo Ten Cent Store Minidoka \$100,000  
Heart Mountain Interpretive Learning Center (Interior Build-Out)

Heart Mountain \$832,879. Fiscal Year

2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior Administrative, Audit Requirements and Cost Principles for Assistance Programs, 43 CFR Part 12.

Japanese American Confinement Sites Grant website:

<http://www.nps.gov/history/hps/HPG/JACS/index.html>

**Regional or Local Office:**

See Regional Agency Offices. Kara Miyagishima, NPS - Intermountain Regional Office, Phone (303) 969-2885, Email: Kara\_Miyagishima@nps.gov.

**Headquarters Office:**

Kara Miyagishima, National Park Service - Intermountain Regional Office, 12795 W. Alameda Parkway, Lakewood, Colorado 80228 Email: Kara\_Miyagishima@nps.gov Phone: (303) 969-2885.

**Website Address:**

<http://www.nps.gov/history/hps/hpg/JACS/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Rohwer Relocation Camp Interpretive Project Rohwer \$100,502

Jerome-Rohwer Visitor & Interpretation Facility Rohwer, Jerome \$419,967

Oral History and Research for Enhanced Interpretation and Education at Manzanar Demonstration Block 14 Manzanar \$58,833

Passing the Legacy Down: Youth Interpretation of Confinement Sites in the Western United States Manzanar, Tule Lake, Poston, Minidoka \$151,790

Nisei Oral History Project

All \$42,573

Toward Justice for All \$75,713

Poston Preservation Project Barrack Relocation and Rehabilitation Poston \$31,000

Building Stock Research and Inventory Related to the Granada Relocation Center (Camp Amache), Co Granada (Amache) \$20,093

Water Tower Rehabilitation and Reconstruction Plan at Granada Relocation Center (Camp Amache) CO Granada (Amache) \$37,327

Recruitment and Training of Volunteer Docents for National Japanese American Memorial Foundation All \$38,909

Granada Relocation Center (Amache) Guard Tower Granada (Amache) \$34,980

Hawai'i Confinement Sites Educational Documentary Honouliuli, Sand Island, Kilauea Military Camp, Kalaheo Stockade, Haiku \$117,626

Unspoken Memories: Oral Histories of Hawaii Internees at Internees at Jerome Arkansas \$29,080

Multidisciplinary Research and Education at Honouliuli Internment Camp, Phase 2 Honouliuli \$98,544

Minidoka Honor Roll Minidoka \$17,295

From Confinement to College: Video Oral Histories of Japanese American Students in World War II Multiple \$68,852

Breaking the Silence: The Power of Remembering Tule Lake \$55,000

Japanese Confinement Sites in Texas: An Untold Cultural Legacy of World War II Kenedy, Seagoville, Fort Sam Houston, Fort Bliss \$20,167

Bainbridge Island Japanese American Exclusion Memorial  
Bainbridge Island \$182,725

Japanese American Confinement: Reference and Resource Website All  
\$166,145

Stories Less Told Part II: Video Oral Histories of the Japanese American  
Incarceration All \$210,000

First Person Stories Revealed: Historic Materials from Minidoka Preserved  
through the Higo Ten Cent Store Minidoka \$100,000

Heart Mountain Interpretive Learning Center (Interior Build-Out)  
Heart Mountain \$832,879. Fiscal Year 2011: No Current Data Available Fiscal  
Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

1. What need does the project address?
  - a. How does this project address a critical issue?
  - b. How will the project increase public awareness and understanding of the Japanese American World War II confinement sites?
  - c. How will the project preserve or improve the conditions of Japanese American World War II confinement site resources?
2. What impact will the project have and how will the impact be measured?
3. What is the long-term impact of the project and how will the project be sustained?
4. How feasible is the project and does the applicant demonstrate the ability to successfully complete the project?
  - a. Is the project cost effective?
  - b. Does the applicant demonstrate an ability to complete the project in a timely, cost effective, and professional manner, ensuring that laws and standards are met?
  - c. Has adequate planning been completed for the project?
5. How much support and participation does the project have from former internees, stakeholders, or the general public?.

#### **15.934 ABANDONED MINE HAZARD MITIGATION**

Cleanup Of Abandoned Mine Sites On Park Lands/Abandoned Mine Land Mitigation

##### **FEDERAL AGENCY:**

National Park Service, Department of the Interior

##### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Conservation, 16 U.S.C 1g; Consolidated Natural Resources Act of 2008, Title III, Section 301, Public Law 110-229, 122 Stat.

##### **OBJECTIVES:**

To mitigate mine hazards on park lands or effectively nearby state, federal or local land. An estimated 3,100 AML sites with 8,400 individual features exist in 127 units of the National Park System. AML features include deep underground mine openings, surface mine pits, and unplugged orphaned oil and gas wells. AML sites often pose severe human safety hazards, environmental contamination, and usually have disturbances to land, vegetation and related ecosystems. AML sites often provide critical habitat for protected and/or sensitive wildlife species such as bats and desert tortoise. Many AML sites are protected cultural sites. The AML Program mitigates AML sites throughout the national park system. Mitigation can involve: "bate gate" installation, plugging mine openings with polyurethane foam and earthen backfill, and site restoration through reshaping the land surface and planting native vegetation.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use

##### **USES AND USE RESTRICTIONS:**

For ARRA funded projects the requirements of the American Recovery and Reinvestment Act of 2009 will be followed and incorporated, as necessary, within the opportunity announcement and agreement documents. Applicant entity must have expertise in hazard mine mitigation in natural areas or research support for remediation plan development.

##### **Applicant Eligibility:**

Natural Resources (mineral, water, wildlife, land).

##### **Beneficiary Eligibility:**

Public nonprofit, institution/organization, Other public institution/organization, Federally Recognized Indian Tribal, Governments, U.S. Territories, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business, Profit organization, Private nonprofit institution/organization, Quasi-public nonprofit organization, Other private institution/organization, Anyone/general public, Native American Organizations, Health Professional, Education Professional, Student/Trainee, Graduate Student, Scientist/Researchers.

##### **Credentials/Documentation:**

Examples of prior work in technical area of mine mitigation in natural areas or specific resource expertise to develop mitigation plans. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A completed SF 424 Application for Federal Assistance and other material are required by the Funding Opportunity Announcement - these will be announced upon funding availability and project needs. The standard application forms required by 43 CFR Part 12, Subparts C and F, must be used. Applications will be made available on [www.grants.gov](http://www.grants.gov).

##### **Award Procedure:**

Timely submissions will be reviewed in relationship to the evaluation criteria specified in the opportunity announcement. Awards will be made in the form of a cooperative agreement.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 30 to 60 days. Deadlines will be posted in specific Funding Opportunity Announcements on [Grants.gov](http://Grants.gov).

##### **Appeals:**

Not Applicable.

##### **Renewals:**

As allowed in 43 CFR Part 12 Department of Interior Regulations for Financial Assistance.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Assistance is provided on a project basis and released on a reimbursable basis as costs are incurred. See the following for information on how assistance is awarded/released: Not available.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Financial reports SF-425 will be required in conjunction with requests for Reimbursement SF-270. The requirements for



interim and final reports will be specified in the agreement. Recipients of ARRA funded agreements will be required to report the performance progress on a quarterly basis within ten (10) calendar days of the end of the quarter. Current user registration and instructions is provided at [Recovery.gov](http://Recovery.gov). Recipients are required to report data directly into [www.FederalReporting.gov](http://www.FederalReporting.gov). If sub-recipients are in receipt of these funds, additional information will be required by the recipient to report the data in [www.FederalReporting.gov](http://www.FederalReporting.gov) regarding the sub-recipient. These reports will be made publicly available.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12 and 2 CFR Part 176 for ARRA funded projects.

**Account Identification:**

14-1401-1-1-303 - TAS 1409/101041.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$246,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$11,000 to \$1.4 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 49 projects including closure of mine openings, removal of hazardous structures, removal of hazardous materials, and contaminated mine drainage conducted on 923 abandon mine land features in 31 NPS units in 15 states were completed. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior regulations regarding financial assistance is 43 CFR Part 12.

**Regional or Local Office:**

None. Dave Steensen, Geologic Resource Division, National Park Service, Denver Colorado.

**Headquarters Office:**

Dave Steensen, National Park Service, Geologic Resource Division, Abandoned Mine Land Program, National Resource Program Center, P.O. Box 25287, Denver, Colorado 80225-0287 Email: [Dave\\_Steensen@nps.gov](mailto:Dave_Steensen@nps.gov) Phone: (303) 969-2014.

**Website Address:**

<http://www.nature.nps.gov/geology/aml/index.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Closure and/or gating of mine openings, highwall mitigation, removal of hazardous structures, removal of hazardous materials and contaminated mine drainage. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For ARRA funded projects, the evaluation criteria also address the following priorities established for Title IV: (a) Programs, projects, or activities that can be obligated and executed quickly; (b) Programs, projects, or activities that will result in high, immediate employment; (c) Programs, projects, or activities that have little schedule risk; (d) Programs, projects, or activities that will be executed by contract or direct hire of temporary labor; and (e) Programs, projects, or activities that will complete either a project phase, a project, or will provide a useful service that does not require additional funding.

In addition, the project will meet the guidelines established by the NPS AML program. These guidelines are available at Handbook for Remediation of Abandoned Mineral Lands. The proposed cost estimates for the mine mitigation under the abandoned mine land assistance should appear reasonable and necessary for the proposed work. The proposal must be received by NPS by the announced deadline. The proposed agreement for mitigation of abandoned mine lands should be a technically well planned proposal and the proposed work likely to achieve a quality mitigation procedure in order to receive the assistance.

**15.935 NATIONAL TRAILS SYSTEM PROJECTS**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

The National Trails System Act, 16 U.S.C 1241-51; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To preserve, protect, and develop the components of the National Trails System, with a strong emphasis on volunteer involvement, the Secretary of the Interior may enter into written cooperative agreements to operate, develop, and maintain any portion of such a trail either within or outside a federally administered area. The Secretary may provide financial assistance to encourage participation in the acquisition, protection, operation, development, or maintenance of such trails.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is to be used by States or their political subdivisions, landowners, private organizations, or individual to operate, develop, and maintain any portion of such a trail either within or outside a federally administered area. Such agreements may include provisions for limited financial assistance to encourage participation in the acquisition, protection, operation, development or maintenance of such trails. The NPS shall also initiate consultations with affected States and their political subdivisions to encourage (A) the development and implementation by such entities of appropriate measures to protect private landowners from trespass resulting from trail use and from unreasonable person liability and property damage caused by trail use, and (B) the development and implementation by such entities of provisions for land practices compatible with the purposes of this Act, for property within or adjacent to trail rights-of-way. After consulting with States and their political subdivisions under the preceding sentence, the Secretary may provide assistance to such entities under appropriate cooperative agreements in the manner provided by this subsection. The availability of discretionary funding is determined by individual trail offices each fiscal year.

**Applicant Eligibility:**

State, Local, Interstate, Intrastate, Federally Recognized Indian Tribes, Individual/Family, Native American Organizations.

**Beneficiary Eligibility:**

Interstate, Intrastate, State, Local, Federally Recognized Indian Tribal Governments, Individual/Family, Profit Organization, Anyone/general public.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible applicants will be required to submit a SF 424, Application for Federal Assistance, and other required documentation.

**Award Procedure:**

A proposal for financial assistance can start with a letter of intent to the

National Park Service office servicing the agreement. Or, direct face to face negotiations can result in NPS framing the agreement for later review and ratification by the receiving party. Before the agreement is finalized, it should include a detailed budget breakdown for each task. The mutually agreed-upon cooperative agreement is reviewed within NPS and submitted to the appropriate offices for approval. Once the agreement is approved and signed by a qualifying NPS contracting official, the work outlined in the agreement can begin.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50.%. When trail base funds are available through these cooperative agreements, this program has no matching requirements, although matching may provide incentives as mutually agreeable.

When funds are made available from the NPS Challenge Cost-Share program, if the project will be credited to that program, at least a 50-50 non-Federal match is required. Such matches can include in-kind services, volunteer hours, and other non-monetary services.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative Agreements generally have a period of performance of up to five years. Funding availability and source will be a factor in determining the length of assistance. Reimbursement is accomplished as outlined in the proposal and subsequent task agreements based on the particular project requirements. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

All organizations will be required to submit a minimum of a yearly narrative summary accomplishments reports to the National Park Service in accordance with the terms of each agreement. All projects and activities are monitored for progress and compliance with agreed upon scope of work. Cash reports are not applicable. Progress reports are not applicable. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of Standard Form 270 Request for Advance or Reimbursement, and a quarterly submittal of Standard Form 425 Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations." The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years submission for final request for reimbursement.

**Account Identification:**

14-1035-1-1-303 - TAFS 1409/101035; TAS 14-1036-0-1-303.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 est \$4,500,000; and FY 12 Estimate Not Available - FY 2011 awards will depend on individual trail budgets.

**Range and Average of Financial Assistance:**

Range of awards \$1,000 to \$1 million. Average award \$96,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Government-wide Guidance located at 2 CFR Part 12; Department of Interior Regulations regarding financial assistance located at 43 CFR Part 12, Guidance <http://www.nps.gov/nts/index.htm>

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Steve Elkinton, National Park Service, National Trails, 1849 C Street, Washington, District of Columbia 20240 Email: [steve\\_elkinton@nps.gov](mailto:steve_elkinton@nps.gov) Phone: (202) 354-6938.

**Website Address:**

<http://www.nps.gov/nts/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Trail bridge fabrication and installation, special events, educational programs, trail-related research, GIS and GPS mapping by volunteers, volunteer support, etc. Fiscal Year 2011: Not available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

These criteria may vary somewhat from region to region. Fosters components of the National Trails System. Helps local trail office carry current program objectives. Helps complete work started in previous years. Enhances public understanding and appreciation of a trail or the entire Trails System. Can be accomplished within the next year.

**15.936 SHENANDOAH VALLEY BATTLEFIELDS NATIONAL HISTORIC DISTRICT BATTLEFIELD ACQUISITION AND PROTECTION**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

The Shenandoah Valley Battlefields Foundation's land and easement acquisition efforts concentrate on the battlefields named by Congress in the Shenandoah Valley Battlefields National Historic District and Commission Act of 1996. These battlefields, listed in the table below, include more than 21,000 acres of core battlefield that retain historic integrity, largely because they are still in active farm and forest uses. Less than ten percent of this essential resource is protected from development that would destroy its historic value., Section 606, Public Law 104-333. , Section , Public Law -.

**OBJECTIVES:**

The Shenandoah Valley Battlefields Foundation works to protect eligible Civil War battlefields in the National Historic District through land and conservation easement acquisition and preservation planning.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Grants must be used to acquire battlefield land or to acquire a permanent, protective interest (i.e., a perpetual protective easement) in battlefield land. Additional costs associated with the acquisition - such as appraisal costs, survey fees, title insurance, and other closing costs - are also eligible grant costs. Lands located within the legislative boundaries of the Cedar Creek and Belle Grove

National Historic Park may receive funding through this program. Battlefield Land Acquisition Grants may be used to pay up to 100% of the total cost- the sum of both the cost of the land or protective easement to be purchased and any necessary fees- of the real estate transaction. No match is required. Shenandoah Valley Battlefields National Historic District Commission Act of 1996 (Public Law 104-333). authorizes this grant program. The Act allows Land and Water Conservation Fund (LWFC) monies to be used to provide the Federal share of the cost of acquiring interests in eligible Civil War battlefield land. the Act requires that any interest in land acquired under this program "...shall be subject to section 6(f)(3) of the Land and Water Conservation Fund Act of 1965 (16 U.S.C. 4601-8(f)(3))." Section 6(f)(3) requires that any land acquired with these funds be preserved and not converted to other uses without the express written consent of the Secretary of the Interior. The grantee Shenandoah Valley Battlefield Foundation must record with or in the deed and record in the easement (as applicable) the following: (1) That the property was acquired with assistance from Federal Land and Water Conservation Act funds pursuant to the Shenandoah Valley Battlefields National Historic District and Commission Act of 1996 (Public Law 104-333). (2) That the property, therefore, is subject to the provisions of Section 6 (f)(3) of the Land and Water Conservation Act: (3) That the property, therefore, may never be converted to other than preservation uses without the written approval of the Secretary of the Interior; (4) That in the event of a breach of the requirements of Section 6(f)(3) (unauthorized conversion), the only remedy is immediate compliance with Section 6(f)(3); and (5) That grant funds cannot be repaid to the NPS to nullify the requirements of Section 6(f)(3).

The fundamental purpose of the Land and Water Conservation Fund is to help acquire and/or develop public outdoor recreation areas. Accordingly, grantee Shenandoah Valley Battlefield Foundation must provide for public access to lands or interests in lands acquired with assistance from this program, subject to necessary and reasonable measures on the part of the grantee to protect to protect the historic features of the battlefield from damage or loss. Where the grantee will place an easement that indicates the type and degree of public access to be made available to the property. At a minimum, lands purchased with LWCF funds must be visible from public right-of-way. Before the NPS will release grant funds, the NPS must receive and approve a property appraisal to the NPS that supports the proposed acquisition cost. The appraisal must be completed within 1 year of the signing of the contract to purchase the property. The cost of the appraisal is an allowable cost for this grant. None of the funds may be used to process any grant or contract documents which do not include the text of 18 U.S.C. 1913 prohibiting lobbying with appropriated funds. Grants will be awarded pursuant to duly approved written applications. Use of these funds is subject to compliance with 43 CFR 12 and the terms of the grant agreement to be executed by the grantee and the National Park Service. There is a dollar-for-dollar matching share requirement to receive these funds.

Shenandoah Valley Battlefields National Historic District Commission Act of 1996 (Public Law 104-333). authorizes this grant program. The Act allows Land and Water Conservation Fund (LWFC) monies to be used to provide the Federal share of the cost of acquiring interests in eligible Civil War battlefield land. the Act requires that any interest in land acquired under this program "...shall be subject to section 6(f)(3) of the Land and Water Conservation Fund Act of 1965 (16 U.S.C. 4601-8(f)(3))." Section 6(f)(3) requires that any land acquired with these funds be preserved and not converted to other uses without the express written consent of the Secretary of the Interior. The grantee Shenandoah Valley Battlefield Foundation must record with or in the deed and record in the easement (as applicable) the following: (1) That the property was acquired with assistance from Federal Land and Water Conservation Act funds pursuant to the Shenandoah Valley Battlefields National Historic District and Commission Act of 1996 (Public Law 104-333). (2) That the property, therefore, is subject to the provisions of Section 6 (f)(3) of the Land and Water Conservation Act: (3) That the property, therefore, may never be converted to other than preservation uses without the written approval of the Secretary of the Interior; (4) That in the event of a breach of the requirements of Section 6(f)(3) (unauthorized conversion), the only remedy is immediate compliance with Section 6(f)(3); and (5) That grant funds cannot be repaid to the NPS to nullify the requirements of Section 6(f)(3).

The fundamental purpose of the Land and Water Conservation Fund is to help acquire and/or develop public outdoor recreation areas. Accordingly, grantee Shenandoah Valley Battlefield Foundation must provide for public access to lands or interests in lands acquired with assistance from this program, subject to

necessary and reasonable measures on the part of the grantee to protect to protect the historic features of the battlefield from damage or loss. Where the grantee will place an easement that indicates the type and degree of public access to be made available to the property. At a minimum, lands purchased with LWCF funds must be visible from public right-of-way. Before the NPS will release grant funds, the NPS must receive and approve a property appraisal to the NPS that supports the proposed acquisition cost. The appraisal must be completed within 1 year of the signing of the contract to purchase the property. The cost of the appraisal is an allowable cost for this grant. None of the funds may be used to process any grant or contract documents which do not include the text of 18 U.S.C. 1913 prohibiting lobbying with appropriated funds. Grants will be awarded pursuant to duly approved written applications. Use of these funds is subject to compliance with 43 CFR 12 and the terms of the grant agreement to be executed by the grantee and the National Park Service. There is a dollar-for-dollar matching share requirement to receive these funds.

**Applicant Eligibility:**

SVBF is the sole eligible applicant for these grants.

**Beneficiary Eligibility:**

The SVBF grant is to be used to acquire land and interests in land only the following National Historic District Battlefields will be considered:

- 1- Second Winchester
- 2- Second Kernstown
- 3- Cedar Creek
- 4- Fisher's Hill
- 5- Tom's Brook
- 6- Third Winchester
- 7- New Market
- 8- Port Republic
- 9- Cross Keys
- 10- McDowell.

**Credentials/Documentation:**

SVBF is the sole eligible applicant for this program. The grants will be administered by the American Battlefield Protection Program (ABPP). SVBF will carefully review the following guidelines before preparing an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

SVBF will engage in informal preapplication coordination with ABPP staff and with the Virginia State Historic Preservation Office. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Only SVBF staff will prepare applications. Eligible applicants will be required to submit a SF 424, Application for Federal Assistance and other required documentation. The procedures will be outlined in the announcement, and will include a title, geographic area(s) of requested assistance, objectives, and a budget proposal to reflect a typical project.

**Award Procedure:**

SVBF may submit proposals to the ABPP at any time. The ABPP will review all complete application packages as they are received.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. 30 days.

**Appeals:**

NONE.

**Renewals:**

NONE.

**Formula and Matching Requirements:**

Statutory Formula: Title 43, Part 12. Use of these funds is subject to compliance with 43 CFR 12 and the terms of the grant agreement to be executed by the grantee and the National Park Service.

Matching Requirements: There is a dollar-for-dollar matching share requirement to receive these funds.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This lump sum grant is awarded as a single award and the length of time is approximately 90 days. Method of awarding/releasing assistance: lump sum.

**Reports:**

SVBF will report both financial and progress reports to ABPP on a regular basis. Products of the grant may be reviewed by ABPP in draft and final format. Final performance reports are expected at the close of the grant. Cash reports are not applicable. SVBF will report both financial and progress reports to ABPP on a regular basis. Products of the grant may be reviewed by ABPP in draft and final format. Final performance reports are expected at the close of the grant. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form, 270 Request for Advance or Reimbursement, and a quarterly submittal of Standard Form 425 the Financial Report . Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

SVBF must maintain the property, personnel, financial, procurement and other records and accounts pertinent to the funds awarded by this grant in accordance with 43 CFR 12. The grantee and its contractors will permit on-site inspections by NPS representatives, and will effectively require employees and board members to furnish such information as, in the judgment of NPS representatives may be relevant to a question of compliance with grant conditions and directives on the effectiveness, legality and achievements of project work.

**Account Identification:**

14-5035-0-2-303.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$1,639,498; FY 11 est \$0; and FY 12 est \$0 - Land and Water Conservation Fund appropriations.

**Range and Average of Financial Assistance:**

Awards vary greatly based on appraised land value, generally from \$0 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A more complete description of grant requirements can be found at [http://www.shenandoahatwar.org/frame\\_rpro.html](http://www.shenandoahatwar.org/frame_rpro.html)

**Regional or Local Office:**

None.

**Headquarters Office:**

Kristen McMasters 1201 Eye Street, NW (2255) 6th Floor, Washington, District of Columbia 20005 Phone: (202) 354-2037

**Website Address:**

<http://www.cr.nps.gov/abpp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The SVBF staff reviews and evaluates all proposals.

Reviewers evaluate applications according to the following considerations.

- Significance of the battlefield land
- Whether the proposed acquisition parcel lies within the SVBF-defined Core and/or Study areas
- Availability of funds
- Acquisition schedule
- Threat to the battlefield land.

**15.937 REDWOOD NATIONAL PARK COOPERATIVE MANAGEMENT WITH THE STATE OF CALIFORNIA FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 1998, Public Law 105-83, 111 Stat. 1543, 16 U.S.C 471j; American Recovery and Reinvestment Act of 2009, Public Law 111-5 Section 702; Executive Order Title 16 Conservation Subchapter Subchapter 1 National Park Service, Title 16, Part 1, Section 1a-2j; Omnibus Parks and Public Lands Management Act of 1996, Public Law 104-333, 16 U.S.C 1f; Omnibus Consolidated Appropriations Act of 1997, Public Law 104-208, 110 Stat. 3009-181, 189, 16 U.S.C 1g, Executive Order , Title , Part , Section.

**OBJECTIVES:**

To exchange goods and services to be used by the Secretary of the Interior and the State of California for cooperative management of lands within Headwaters Forest, Redwood National Park, and proximate State lands. Develop joint operating procedures and standards to ensure effective and efficient accomplishment of park activities, including but not limited to: visitor services, resource protection, public information, interpretation and publications, resource management, maintenance, administration, design and construction, planning, signing, and the development of policies. For American Recovery and Reinvestment Act (ARRA) funded projects and in addition to the program objectives above, section 3 of the ARRA states the following objectives: to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession, to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Cooperative Agreements; Dissemination of Technical Information; Sale, Exchange, or Donation of Property and Goods; Training; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

The Secretary of the Interior must determine that appropriations for the purpose of cooperative management of projects are available and an agreement is in the best interests of the United States. Assistance is authorized between the Department of the Interior, National Park Service, Redwood National Park and the State of California government agencies. For ARRA funded projects the requirements the Act will be followed and incorporated, as necessary, within the opportunity announcement and agreement documents.

**Applicant Eligibility:**

Agencies within the State of California Government.

**Beneficiary Eligibility:**

State of California.

**Credentials/Documentation:**

As determined by project requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Consultation or assistance between the Secretary (generally through the Superintendent, Redwood National Park) and the State of California will occur.

Projects will be awarded as determined by the Secretary (generally through the Superintendent, Redwood National Park) within the requirements of applicable existing bureau and agency regulation and policy.

**Award Procedure:**

After project needs and requirements are developed, the National Park Service will issue the State of California a written agreement (Cooperative Agreement or Cooperative Management Agreement) for execution upon which the project can proceed. Department of the Interior policy allows projects that meet the criteria for single source opportunities to be issued by an agency, which are specifically directed to a known recipient. A Notice of Intent shall be placed on [www.grants.gov](http://www.grants.gov) to disclose the single source announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

In accordance with applicable requirements for extensions and renewals.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: There are no legislative requirements for matching. Some projects may be conducted on a pre-determined cost share basis. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on a project basis. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All organizations will be required to submit a yearly narrative summary accomplishments reports to the National Park Service at the end of each project year. All projects and activities are monitored for progress and compliance with agreed upon scope of work. For ARRA funds, recipients and agencies must comply with the regulations in 2 CFR Part 176 - Award Terms for Assistance Agreements that include Funds under the American Recovery and Reinvestment Act of 2009 that describes the requirements for 1512 award recipient reporting requirements. Supplemental guidance is available at <http://www.Recovery.gov> and <http://www.FederalReporting.gov>. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of the SF 270 Request for Advance or Reimbursement or SF 271 Outlay Report and Request for Reimbursement for Construction Programs, and a quarterly or annual submittal of the SF 425 Federal Financial Report. The SF 270/SF 271 and SF 425 require a final report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR

Part 12, Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. The Cooperator must maintain a complete detailed accounting system to report expenditures of funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submission for final request of disbursement. If any litigation, claim, or audit is started before the expiration of the 3-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken. The provisions of 2 CFR Part 176 apply.

**Account Identification:**

14-1036-0-1-303 - Operation of the National Park System; 14-1035-1-1-303 - ARRA ONPS; TAFS 1409/101035; 14-1039-0-1-303 - Construction; 14-1042-0-1-303 - NR&P; 14-1041-1-1-303 - ARRA Construction; TAFS 1409/101035.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,781,294; FY 11 est \$29,800; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Range \$4,000 to \$1,375,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Superintendent, Redwood National and State Parks, 111 Second Street, Crescent City, CA 95531

NPS, PWR, Contracting and Property Division, 1111 Jackson St., Ste. 700, Oakland, CA 94607

NPS, PWR, Contracting and Property Division, 1111 Jackson St., Ste. 700, Oakland, CA 94607.

**Headquarters Office:**

Director, 1849 C Street, NW , Washington, District of Columbia 20240 Phone: (202) 208-3100.

**Website Address:**

<http://www.nps.gov/redw>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Fiscal Year 2010: ARRA REDW 137510 Restore Redwood Forest (\$1,031,000), ARRA REDW 152259 Repair Mill Creek Storm Damage (\$500,000), Defend NPS Lands (\$919,994), Streeelow Creek road to trail conversion (\$182,800), Remove Beachgrass at Tolawa Dunes (\$164,000), ARRA REDW 148041 Construct Trail (\$112,500), Murrelet Education Program (\$7,600), Wolf Creek Outdoor School Custodial (\$19,500), Corvid Management Program (\$7,600), Requa Revegetation (\$3,400). Fiscal Year 2011: Wolf Creek Outdoor School Custodial (\$19,800), Office Assistant at South Operations Center (\$8,000). Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Appropriations for the purpose of cooperative management projects must be available and an agreement is in the best interests of the United States. For ARRA funded projects, the evaluation of projects also address the following priorities established in the Conference Report for Title IV: programs, projects, or activities that can be obligated and executed quickly; programs, projects, or activities that will result in high and immediate employment; programs, projects, or activities that have little schedule risk; programs, projects, or activities that will be executed by contract or direct hire of temporary labor; and programs, projects, or activities that will complete either a project phase, a project, or will provide a useful service that does not require additional funding.

**15.939 NATIONAL HERITAGE AREA FEDERAL FINANCIAL**

**ASSISTANCE**

National Heritage Area Preservation and Conservation Assistance

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

NOTES and related authorization legislation for individual National Heritage Areas, 16 U.S.C 461a.

**OBJECTIVES:**

The purpose of designation as a National Heritage Area is to preserve and interpret for the educational and inspirational benefit of present and future generations the unique and significant contributions to our national heritage of certain historic and cultural lands, waterways, and structures, to encourage a broad range of economic opportunities enhancing the quality of life within the designated area, and provide a management framework to assist state/local government entities, non profits, and others in developing policies and programs that will preserve, enhance, and interpret the cultural, historical, natural, recreation, and scenic resources or the heritage area.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

- Funding and/or assistance is managed by an agency, nonprofit or other organized party identified in the public law that created the National Heritage Area
- Funding is to accomplish intended purpose specified within each individual National Heritage Area's public law
- Federal funding and its match must meet all federal requirements as defined in OMB circulars and enabling legislation combined
- Funding applies to interpretation and education, recreation, preservation and conservation and economic development of the region applied specifically to the nationally important story for which they were established.

**Applicant Eligibility:**

Generally, states, their political subdivisions, non profits, private entities, the heritage area management/coordinating entity, and other federal agencies are eligible for assistance.

**Beneficiary Eligibility:**

Generally, states, their political subdivisions, non profits, private entities, the heritage area management/coordinating entity, and other federal agencies are eligible for assistance.

**Credentials/Documentation:**

Applicants are required to register with [www.ccr.gov](http://www.ccr.gov) and obtain a DUNS number. Designated management/coordinating entities must submit an annual work plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible applicants submit the SF424, SF424A, SF424B and a management entity work plan as required by OMB circular A-110 to the responsible regional office. The work plan or task agreement includes a title, geographic area(s) of requested assistance, objectives, match commitments, priority and budget proposal for each individual project. Special application procedures will be posted at [grants.gov](http://grants.gov).

**Award Procedure:**

Upon receipt of timely submissions, applications will be reviewed by the NPS and may be circulated for others to review to assure compliance requirements are met and actions fit the legislative requirements. Notification of Awards will be provided to applicants by issuance of Cooperative Agreement, modification or Grant Agreement by the Agreement Technical Assistance Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, 30-90 days.

**Appeals:**

NONE.

**Renewals:**

Yes, In accordance with the applicable requirements for extensions and renewal under the appropriate regulations and OMB circulations.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Authorizing legislation for individual National Heritage Areas specifies matching requirements. Generally, the organization must be able to provide a 50% cash match for their appropriated finds.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

In accordance with the individual award documents. See the following for information on how assistance is awarded/released: Advances or reimbursements for no more than 50% of their authorized financial activities.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects and activities are monitored for progress and compliance with agreed upon scope of work. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form 270, Request for Advance or Reimbursement; SF425 Financial Status Report as outlined in 2 CFR 215.52. Additionally, all organizations will be required to submit a yearly narrative summary of accomplishments report to the National Park Service Agreements Technical Assistance Officer and to the Cognizant Regional Heritage Area Coordinator. An annual report is also submitted to the Washington Office that identifies federal/match investments and other statistics.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12 Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement or Grant Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submissions for final request for reimbursement.

**Account Identification:**

14-1036-0-1-303.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 10 \$16,805,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Awards range from \$150,000 to \$750,000 depending upon the individual allocations specified for each Heritage Area.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Examples include work with partners and area residents to expand youth education and job development programs; complete trails and improve trail access; envision and create digital interpretive signage; develop Visitor, Discovery, and Nature Centers; assist with oil spill recovery; engage youth to monitor and improve water quality; produce documentaries, guidebooks, access maps and educational curricula; provide support and

assistance for National Historic Landmark properties; complete management planning documents, resource inventories, economic impact studies and evaluations. Fiscal Year 2011: Not available. Fiscal Year 2012: Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12 and 2 CFR Part 215 and Part 230.

**Regional or Local Office:**

See Regional Agency Offices. Regional Coordinators and individual heritage area contacts are listed at <http://www.nps.gov/history/heritageareas/CNTC/>.

**Headquarters Office:**

Martha Raymond, 1201 "Eye" Street, NW 6th Floor, Washington, District of Columbia 20005 Email: [martha\\_raymond@nps.gov](mailto:martha_raymond@nps.gov) Phone: (202) 354-2222.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects support area responsibilities per legislation and management planning documents. Included are projects to develop natural and cultural heritage education programs, curricula and materials; sponsor cultural and natural resource stewardship events, education and capacity building for partners; support matching grant programs for conservation and preservation projects and interpretive programs; provide youth employment and educational activities; develop and maintain interpretive and recreational trails; plan and install interpretive signage. Fiscal Year 2011: No Current Data Available.

Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

- Actions proposed in Workplan/Task Agreement meet legislative requirements
- Actions proposed in Workplan/Task Agreement meet Office of Management Budget (OMB) standards
- Match meets all legal requirements and is in hand or commitments are in writing.

**15.940 NEW BEDFORD WHALING NATIONAL HISTORIC PARK COOPERATIVE MANAGEMENT**

New Bedford Whaling National Historic Park Cooperative Management

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

New Bedford Whaling National Historic Park - U. S.C.; 410ddd(e)(2).

**OBJECTIVES:**

To work collaboratively with interested entities and individuals to provide for visitor understanding, appreciation and enjoyment.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Subject to DOI policy (43 CFR Part 12) on Financial Assistance, NPS Director's Order #20, NPS Agreements Handbook, and the park's enabling legislation.

**Applicant Eligibility:**

Eligible cooperators include: State, local and tribal governments, other public entities, education institutions, and private nonprofit organizations.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Proposals may be submitted by entities interested in working collaboratively with the park. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Interested parties contact the park superintendent to discuss possible projects. Some projects are subject to compliance with the National Environmental

Policy Act (NEPA). An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submit a cover letter, project budget demonstrating matching requirements and a project scope of work, including the nature of the park's substantial involvement.

**Award Procedure:**

Proposals are reviewed and approved by the park superintendent.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Dependent on eligibility of funds.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Per the park's enabling legislation every one dollar of Federal funds shall be matched by four dollars of funds contributed by non-federal sources to provide for the preservation, development, interpretation, and use of the park; every dollar of Federal funds shall be matched by one dollar of funds contributed by non-federal sources for construction, restoration and rehabilitation of visitors and interpretive facilities.

This program does not have MOE requirements. Newly established program.

**Length and Time Phasing of Assistance:**

Dependent on fund source and type of project. See the following for information on how assistance is awarded/released: Dependent on availability of funds.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Cooperators are required to submit an annual progress report. Cooperators are required to submit a Federal Financial Report, SF-425, on a quarterly basis for all financial transaction. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The cooperator must maintain a complete, detailed accounting system to report expenditures of funds and accomplishments achieved under the agreements.

**Account Identification:**

14-1036-0-1-130.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 10 Not Available; FY 11 est \$0; and FY 12 Estimate Not Available - Newly established program 2010.

**Range and Average of Financial Assistance:**

Dependent of project and availability of funds.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

## **REGULATIONS, GUIDELINES, AND LITERATURE:**

DOI policy on cooperative agreements, NPS Director's Order #20 and the NPS Agreements Handbook, and the park's enabling legislation; Other park information can be found on the park's website at [www.nps.gov/nebe/parkmgmt/index.htm](http://www.nps.gov/nebe/parkmgmt/index.htm)

### **Regional or Local Office:**

See Regional Agency Offices. Superintendent  
New Bedford Whaling National Historic Park  
33 William Street  
New Bedford, MA 02740.

### **Headquarters Office:**

Park Superintendent, New Bedford Whaling National Historic Park 33 William Street, New Bedford, Massachusetts 02740 Phone: xxx.xxx.xxxx

### **Website Address:**

<http://www.nps.gov/nebe>

### **RELATED PROGRAMS:**

Not Applicable.

### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Not Available.

Fiscal Year 2012: No Current Data Available

### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the basis of:

- Appropriateness to the themes and mission of the park
- Contribution to visitor understanding, appreciation and enjoyment
- Clarity of project objectives including final product or result
- Ability to clearly demonstrate matching requirement
- Ability to clearly demonstrate collaborative nature and park's substantial involvement
- Availability of funds.

## **15.941 MISSISSIPPI NATIONAL RIVER AND RECREATION AREA STATE AND LOCAL ASSISTANCE**

Mississippi National River and Recreation Area State and Local Partnerships

### **FEDERAL AGENCY:**

National Park Service, Department of the Interior

### **AUTHORIZATION:**

Mississippi National River and Recreation Area, Public Law 100-696; 704(a) 16 USC section 460 zz 5(a) - Grants, Public Law 100-696; 704(a) 16 U.S.C. section 460 zz 5(b) - Cooperative Agreements, and Public Law 100-696; 704(a) 16 U.S.C. section 460 zz (c) - Technical Assistance.

### **OBJECTIVES:**

For grants, provide no more than 50% of cost of acquisition and development within the area of lands or waters. Provide assistance and/or funds to enhance partner planning for and interpretation of non-Federal publicly owned lands within the area.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Funding and/or assistance is to be used by the State of Minnesota or its political subdivisions for the acquisition and development within the Area of lands and waters or interest therein in a manner within the legislation. Funding and/or assistance may be used to assist in the planning for and interpretation of non-Federal publicly owned lands within the Area and to develop and implement programs compatible with the comprehensive management plan. The availability of funding is determined by the Mississippi NRRRA each fiscal year. For more specific information contact the regional office.

### **Applicant Eligibility:**

The State of Minnesota or its political subdivisions, counties, cities.

### **Beneficiary Eligibility:**

The State of Minnesota or its political subdivisions, counties, cities.

### **Credentials/Documentation:**

Each applicant will also be required to have a DUNS number and be registered

in the CCR located at [www.ccr.gov](http://www.ccr.gov). OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Consultation or assistance from the agency with this application may be available from the NPS. Projects may be subject to compliance with the National Environmental Policy Act. There are no pre-application requirements. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible applicants will be required to submit an Application, SF424, SF424A, SF424B and a written proposal through the <http://www.Grants.gov> website following the procedures outlined in the announcement, and will include a title, geographic area(s) of requested assistance, objectives, and a budget proposal to reflect a typical project.

### **Award Procedure:**

Application packages will be posted for an Eligible Applicant's response utilizing the <http://www.Grants.gov> website. Upon receipt of timely submissions, applications will be reviewed by the NPS and may be circulated for others to review to assure compliance requirements are met and actions fit the legislative requirements. Notification of Awards will be provided to applicants by issuance of Cooperative Agreement or Grant Agreement by the Agreements Officer.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Generally, 30-90 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

In accordance with the applicable requirements for extensions and renewals under the appropriate regulations and OMB circulars.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The recipient must be able to provide 50 percent cash match for grants in accordance with 16 U.S.C. 460zz-5(a). On-going effort not required - land acquisition projects.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

In accordance with individual award requirements. Method of awarding/releasing assistance: lump sum.

### **Reports:**

All organizations will be required to submit a yearly narrative summary of accomplishments report to the National Park Service Agreements Officer and to the Mississippi National River and Recreation Area. Cash reports are not applicable. All projects and activities are monitored for progress and compliance with agreed upon scope of work. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form 270, Request for Advance or Reimbursement; SF 425 Financial Status Report as outlined in 2 CFR 215.52. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit



conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement or grant Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submission for final request for reimbursement.

**Account Identification:**

14-1036-0-1-303.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$15,000; FY 11 est \$15,000; and FY 12 est \$15,000 - Payments made in lump sum, and upon request for reimbursement under cooperative agreements (new program established in 2010).

**Range and Average of Financial Assistance:**

Awards range between \$15,000 and \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Funding was provided for a temporary County Weed Management Area Coordinator and an invasive plants public workshop. Fiscal Year 2011: Not available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Denise St. Marie, 111 E Kellogg Blvd., Suite 105, St. Paul, Minnesota 55101  
Email: denise\_st\_marie@nps.gov Phone: (651) 290-3030 ext. 226.

**Website Address:**

<http://www.nps.gov/miss>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funding was provided for a temporary County Weed Management Area Coordinator and an invasive plants public workshop. Fiscal Year 2011: Not available. Fiscal Year 2012: Not available.

**CRITERIA FOR SELECTING PROPOSALS:**

Demonstrated ability of the organization to successfully compete the project; Past performance in Federal Financial Assistance programs, if applicable; Organization's ability to provide the required cash match, if required; Projects serve a public purpose; and Other criteria may be provided for specific projects.

**15.942 ENVIRONMENTAL EDUCATION AND CONSERVATION - NORTH CASCADES BIOREGION**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

16 U.S.C. 1g provides that the National Park Service may enter into cooperative agreements that involve the transfer of National Park Service appropriated funds to State, local and tribal governments, other public entities, educational institutions, and private nonprofit organizations for the public purpose of carrying out National Park Service programs pursuant to 31 U.S.C. 6305 to carry out public purposes of National Park Service programs.

The Outdoor Recreation Act, as amended, 16 U.S.C., 4601-1(f), (1988), states that the Secretary is authorized to sponsor, engage in, and assist in research, undertake studies through cooperative agreements, and cooperate with educational institutions in establishing educational programs and activities

relating to outdoor recreation.

The North Cascades Environmental Learning Center (NCELC) is a residential education facility located on the shore of Diablo Lake in North Cascades National Park. The Learning Center is one of the central elements of the 1995 federal relicensing of Seattle City Light's Skagit River dams. This project and others are designed to mitigate the impact of hydroelectric projects on the Skagit River environment.

Seattle City Light, the National Park Service and North Cascades Institute each have unique responsibilities in this partnership:

- Seattle City Light funded the design and the construction of the facility, own the buildings, and are leasing them to North Cascades Institute.
- The National Park Service dedicated land for the Learning Center within the Ross Lake National Recreation Area of North Cascades National Park Service Complex. The National Park Service also provides services such as water, sewer, fire management and educational support.
- North Cascades Institute is a non-profit organization based in Sedro-Woolley, Washington. It operates the Learning Center and provide environmental education programs for all ages and backgrounds.

**OBJECTIVES:**

The environmental programs offered help people of all ages learn, enjoy and understand more about Skagit River and the North Cascades. The primary objectives include field-based environmental education (focusing on natural and cultural history), providing programs of public education, involvement in conservation, natural science, history and related fields of study, and conducting interpretive activities. All of these activities are to foster and enhance understanding and appreciation of the North Cascades bioregion. North Cascades Institute (operating the Learning Center under an agreement with Seattle City Light, provides all of the Learning Center's environmental education programs, serving children and adults from Skagit and Methow Valleys, the Puget Sound region and beyond. The Learning Center reaches more than 10,000 people each year in a wide variety of field-based and overnight programs. Scholarships are available. Programs include:

- Natural and cultural history seminars for adults
- Professional development experiences for teachers
- Mountain School for elementary school students
- Youth summer experiences such as North Cascades Wild and Parks Climate Challenge
- Volunteer stewardship programs
- Environmental education internships
- Graduate program: Master of Education in Environmental Education.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements); Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

North Cascades National Park Service Complex was established in 1968 "In order to preserve for the benefit, use, and inspiration of present and future generations certain majestic mountain scenery, snowfields, glaciers, alpine meadows and other unique natural features in the North Cascade Mountains" (North Cascades's Act, Oct. 2, 1968, 82 Stat. 926, 16 U.S.C. 90). North Cascades National Park contains three hydroelectric power plants operated by Seattle City Light that predate establishment of the Park. As part of the license agreement from the Federal Energy Regulatory Commission, mitigation elements were required.

North Cascades Institute operates the residential North Cascades Environmental Learning Center, an 11.6 million dollar facility which is imbedded within NOCA as required by a Federal Energy Regulatory Commission (FERC) agreement with Seattle City Light, operator of three hydroelectric dams within NOCA. The Learning Center is one of the required mitigation elements for Seattle City Light's federal FERC license for continued operation of three hydroelectric reservoirs on the Skagit River. The NPS has, or is able to obtain, qualified personnel to conduct interpretive training, participate in related programs with a public purpose of support or stimulation of outdoor recreation, resource preservation, and appreciation, and recognizes the Institute as an educational organization.

Discretionary appropriated funds shall be made available for Task Agreements on a case specific basis. Discretionary appropriated funds shall be made available for Task Agreements on a case specific basis.

**Applicant Eligibility:**

The North Cascades Institute has a legal relationship with Seattle City Light to provide the facilities and programs that meet the requirements of the FERC to provide the learning center within North Cascades National Park Complex.

Ability to provide qualified personnel to conduct training and develop programs for educational purposes in support of outdoor recreation, resource preservation and appreciation.

Experience in cooperatively developing successful, cost-effective programs that meet both park and Institute educational and budgetary goals, including providing integrated educational programming.

**Beneficiary Eligibility:**

General Public

Education Professional

Student/Trainee

Graduate Student

Scientists/Researcher

Education(0-8)

Education(9-12)

Education(13+)

Credentials/Documentation

Sponsored Organization

Public Nonprofit Institution/Organization

Other Public Institution/Organization.

**Credentials/Documentation:**

Unique qualifications met by North Cascades Institutes. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All funded projects will be developed collaboratively between the three partners and executed in accordance with availability of appropriations, application law and regulations including DOI Regulations regarding Financial Assistance awards at 43 CFR Part 12 and the National Environmental Policy Act (NEPA). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Projects will be documented in task agreements to be issued under the terms and conditions of a master Cooperative Agreement. Each project will include the appropriate documentation for a Financial Assistance award in accordance with National Park Service policy and regulation.

**Award Procedure:**

Projects will be selected based on criteria developed with the partners and approved by the Superintendent, North Cascades. All awards will be made in accordance with Department of the Interior's Policy, Departmental Manual 505DM2 based upon Unique Qualifications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

In accordance with applicable law and regulation.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reports, if any, shall be specified in each Task Agreement and DOI regulations (OMB Circular A-110 and the Common Rule 43 CFR Part 12, Subpart F, paragraphs 12.951 through 12.953, and 12.971 through 12.973) and subsequent modifications as implemented by OMB. Cash reports are not applicable.

Progress reports are not applicable. Expenditure reports are not applicable.

Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

NCI is recognized as a Nonprofit having 501(c)(3) status with the IRS, all applicable record keeping applies. The Cooperative Agreement and each task agreement will specify requirements, and all applicable regulatory record keeping applies.

**Account Identification:**

14-1036-0-1-303.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 09 \$46,170; FY 10 est \$49,000; and FY 11 est \$55,000 - Request for Reimbursement schedules vary depending on projects.

**Range and Average of Financial Assistance:**

\$35,000 - \$100,000; Average award - \$45,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following OMB Circulars and other regulations will be incorporated by reference into the Cooperative Agreement:

1. (a) OMB Circular A-110, as codified by 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations."

(b) OMB Circular A-122, "Cost Principles for Non-Profit Organizations."

(c) OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

(d) 43 CFR Part 12, Subpart D, "Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)."

(e) 43 CFR Part 12, Subpart E, "Buy American Requirements for Assistance Programs." FAR Clause 52.203-12, Paragraphs (a) and (b), Limitation on Payments to Influence Certain Federal Transactions."

2. Non-Discrimination - All activities pursuant to this Agreement shall be in compliance with the requirements of Executive Order 11246; Title VI of the Civil Rights Act of 1964, as amended, (78 Stat. 252; 42 U.S.C. 2000d et seq.); Title V, Section 504 of the Rehabilitation Act of 1973, as amended, (87 Stat. 394; 29 U.S.C. 794); the Age Discrimination Act of 1975 (89 Stat. 728; 42 U.S.C. 6101 et seq.); and with all other federal laws and regulations prohibiting discrimination on grounds of race, color, sexual orientation, national origin,

disabilities, religion, age, or sex.

3. Lobbying Prohibition - 18 U.S.C. 1913, Lobbying with Appropriated Moneys, as amended by Public Law 107-273, Nov. 2, 2002 - No part of the money appropriated by any enactment of Congress shall, in the absence of express authorization by Congress, be used directly or indirectly to pay for any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, intended or designed to influence in any manner a Member of Congress, a jurisdiction, or an official of any government, to favor, adopt, or oppose, by vote or otherwise, any legislation, law, ratification, policy, or appropriation, whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy or appropriation, whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy, or appropriation; but this shall not prevent officers or employees of the United States or of its departments or agencies from communicating to any such Members or official, at his request, or to Congress or such official, through the proper official channels, requests for legislation, law ratification, policy, or appropriations which they deem necessary for the efficient conduct of the public business, or from making any communication whose prohibition by this section might, in the opinion of the Attorney General, violate the Constitution or interfere with the conduct of foreign policy, counter-intelligence, intelligence, or national security activities. Violations of this section shall constitute violations of section 1352(a) of title 31.

4. Anti-Deficiency Act - 31 U.S.C. 1341 - Nothing contained in this Agreement shall be construed as binding the NPS to expend in any one fiscal year any sum in excess of appropriations made by Congress for the purpose of this Agreement for that fiscal year, or other obligation for the further expenditure of money in excess of such appropriations.

5. Minority Business Enterprise Development - Executive Order 12432 - It is national policy to award a fair share of contracts to small and minority firms. The NPS is strongly committed to the objectives of this policy and encourages all recipients of its Cooperative Agreements to take affirmative steps to ensure such fairness by ensuring procurement procedures are carried out in accordance with 43 CFR 12.944 for Institutions of Higher Education; Hospital and other Non-Profit Organizations, and 43 CFR 12.76 for State and Local Governments.

**Regional or Local Office:**

See Regional Agency Offices. Charles Beall  
Chief of Interpretation and Education  
North Cascades National Park  
810 State Route 20  
Sedro-Woolley, WA 98284  
360-854-7302  
Charles\_beall@nps.gov.

**Headquarters Office:**

Deanne Adams, National Park Service, Pacific West Regional Office, 1111 Jackson Street, Suite 700, Oakland, California 94607 Phone: (360) 854-7302.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects will be accomplished in cooperation with the three partners and be in accordance with established priorities. Funding source will be determine criteria for prioritization.

**15.943 CHALLENGE COST SHARE**

National Park Service Challenge Cost Share

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Cost Share Arrangements with Partners Public Law 103-333 (16 U.S.C. 1f).

**OBJECTIVES:**

To increase participation by qualified partners in the preservation and improvement of NPS natural, cultural, and recreational resources in all authorized Service programs and activities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

This program supports small-scale partnership projects with units of the National Park System, NPS centers and program areas, and National Trails. All projects and activities receiving these funds must meet a minimum 50:50 match of cash, goods, or services from a non-Federal source. Applications must be approved by appropriate NPS park, program, center, or trails staff. The maximum CCS award is \$30,000. For more specific information contact the regional office.

**Applicant Eligibility:**

Applications are considered on a regional basis and are submitted by NPS park, center, or program staff for competitive selection by the Regional Directors. Applications must also contain a non-Federal partner. Non-Federal partners include.

**Beneficiary Eligibility:**

General public, trail system users, and organizations with conservation missions.

**Credentials/Documentation:**

Equal or greater eligible non-Federal contribution with appropriate letter(s) of partner commitment documenting match, and approval of supporting NPS unit, center, program, or trail staff. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Contact Regional/Trail offices for more specific application information. Some projects may be subject to the National Environmental Policy Act (NEPA). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must complete an application. Applicants should contact the appropriate Regional or Trail office for information regarding more specific project selection requirements. All applications must be approved by the appropriate park, center, program or trails staff. Project proposals are forwarded by parks, centers, program, and/or trail offices for competitive selection by the Regional Directors.

**Award Procedure:**

Project proposals received are forwarded by parks, centers, program, and/or trail offices for competitive selection by the Regional Directors. To be eligible for competitive evaluation, the applicant must meet the selection criteria as outlined in the Challenge Cost Share Program guidelines. Additional Regional criteria may apply. Within each region, projects will be ranked and rated. Available funding will be divided among the highest ranking projects.

A Memorandum of Understanding (MOU) or the CCSP application can be used as the initial Partnership Agreement to establish the relationship and the intent of the partnership. If CCSP funds are transferred directly to a partner, a cooperative agreement or contract must be used. Direct procurement may be used if the award is used to purchase goods.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Regional approval times vary. Contact the appropriate Regional or Trail office Challenge Cost Share Coordinator for more information.

**Appeals:**

Not Applicable.

**Renewals:**

For those projects for which (1) planned work has not been completed during the fiscal year for whatever reason; or (2) work was intended to be phased or staged, a project status form must be filed with the appropriate Regional or Trail office for continuation of the project. All awards are dependent on appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The non-Federal contribution(s) is at least 50% of the CCSP share and all costs detailed in the budget.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds must be used within the fiscal year during which they are allocated.

Selected projects are intended to be completed within one year. A status report may be filed if a project is unable to be completed during the time allocated and projects funds can be extended into the next fiscal year. See the following for information on how assistance is awarded/released: Contact the headquarters or regional office.

**Reports:**

Regional Offices are expected to receive and maintain Project Completion Forms for all funded CCSP projects at their completion. Upon receipt, Regions are to ensure that the Form is complete and accurate. Copies of Project Completion Forms should be forwarded to the National CCSP Coordinator. A status report may be filed if a project is unable to be completed during the time allocated and projects funds can be extended into the next fiscal year.

In cases where CCSP funds are awarded to develop publications, videos, pamphlets, displays, exhibits, and signs and/or the recipient disseminates the findings or products developed from the project in professional journals, books, film, videos, or conferences, a copy must be sent to the park, trail or program office; Regional Office; and National CCSP Coordinator as soon as these become available, even if they appear after completion of project work. Cash reports are not applicable. Progress reports are not applicable. The SF-425, Federal Financial Report interim and final are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project partners must provide a final listing of the matching share that was used to complete the assisted work. This includes records of cash contributions, donated supplies or loaned equipment, and volunteer services.

**Account Identification:**

14-1036-1-1-303.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$2,344,000; FY 11 est \$0; and FY 12 Estimate Not Available - CCSP funds were requested in the Presidents budget; FY 12 No data available.

**Range and Average of Financial Assistance:**

The range is \$125 - \$30,000; Average \$15,680.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 138 projects funded. Fiscal Year 2011: Not available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Charlie Stockman National Park Service, National Challenge Cost Share

Coordinator, 1201 Eye St., NW, 9th Floor -Org Code 2240, Washington, District of Columbia 20005 Email: charlie\_stockman@nps.gov Phone: 202) 354-6907 Fax: (202) 371-5179.

**Website Address:**

<http://www.nps.gov/ccsp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Great Smoky Mountain Archaeological Field Project with University of Tennessee Archaeological Research Laboratory involved 10 high school Cherokee students in the research of their cultural past at the Cherokee site in Smokemont. Booker T. Washington Community Stewardship Student Exchange Program with Race to Knowledge, Inc., and Bridge to Life brought together 60 students from Chicago and rural students from Franklin County, VA to become active participants in the stewardship and preservation of BOWA and the Michigan Boulevard Garden Apartments (Chicago). Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

1. **PROPOSED PROJECT MEETS A CRITICAL NEED:** The proposal must demonstrate that, if funded, the project will address a critical resource or visitor use management need or issue faced by the park, site or NPS program.
2. **PARTNER PARTICIPATION:** The proposal ensures and demonstrates active full support, partnership, and participation by non-NPS entities ensuring a strong collaborative effort. All parties involved in the project benefit from its completion with work potentially strengthening a cooperative relationship between NPS and the partner(s). New partnerships, innovative/creative partnerships and multi-partner projects are encouraged. NOTE: Supporting letters from potential partners must accompany the proposal to document their willingness to participate in the project if funded.
3. **TANGIBLE RESULTS:** The proposal adequately addresses the outcomes and products of the project, in addition, the quality and usefulness of the products are adequately described. Within reason, the project adheres to a one year time frame.
4. **COST EFFECTIVE:** The budget narrative details sufficient, necessary, and reasonably valued costs for materials and services to complete proposed work within the scheduled time frame.
5. **EQUAL OR GREATER ELIGIBLE NON-FEDERAL CONTRIBUTION:** The non-Federal contribution(s) is at least 50% of the CCSP share and all costs detailed in the budget narrative are directly related, necessary, eligible, and properly valued in accordance with 43 CFR 12. The contribution may be cash or in-kind.
6. **COMPLETE APPLICATION PACKAGE:** The application proposal must be complete.
7. **PROJECT COMPLETION FORM:** If applicable, the applicant has submitted a Project Completion Form or Project Status Form for a prior project. If one has not been received, or has been found unacceptable by the Regional Office CCSP Coordinator, then the proposal is not eligible for consideration for a new CCSP award until the deficiency is remedied.
8. **ADDITIONAL REGION-SPECIFIC SELECTION CRITERIA:** At a minimum, projects must meet the items listed above. However, Regional Directors may, at their discretion, develop additional criteria.

**15.944 NATURAL RESOURCE STEWARDSHIP****FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Consolidated Natural Resources Act of 2008, Title III Section 301, Public Law 110-229, 122 Stat. 754-876; Omnibus Consolidated Appropriations Act of 1997

Public Law 104-208, Stat. 3009-181; Cooperative Agreements, 16 U.S.C. 1g; Omnibus Parks and Public Lands Management Act of 1996, Public Law 104-333; Challenge Cost Share 16 U.S.C. 1f; Research and Training 16 U.S.C. 1a-2j; Cooperative Ecosystem Study Units 16 U.S.C. 5933.

**OBJECTIVES:**

As a steward of the Nation's natural and cultural heritage, the primary responsibility of the NPS is to preserve and protect park resources and values. The NPS actively manages and conducts research on natural resources in the national park system to meet its statutory responsibility to preserve these resources unimpaired for future generations.

The Natural Resource Stewardship program is the principle means through which the NPS evaluates and improves the health of watersheds, landscapes, and marine and coastal resources, sustains biological communities on the lands and waters in parks, and actively endeavors to improve the resiliency of these natural resources and adapt them to the effects of climate change.

The National Park Service (NPS) conducts natural resource stewardship largely at the park level, utilizing park personnel and contractor or cooperative support. To carry out and further this stewardship responsibility, the Service implements programs that encompass a broad range of research, operational, and educational activities. The NPS inventories, evaluates, documents, preserves, protects, monitors, maintains, and interprets the natural resources at 392 park units, 21 trails and 58 wild and scenic rivers. NPS stewardship helps to perpetuate resources and allows for their continued appreciation, understanding, and enjoyment.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Funds used for all aspects of natural resource (air, water, geological, biological) stewardship activities, including but not limited to resource inventories and monitoring, restoration projects, wildlife and plant management, and climate change mitigation and adaptation.

The Secretary of Interior must determine that appropriations for the purpose of cooperative management of projects are available and an agreement is in the best interests of the United States. Funds may not be used for acquisition of real property. Contact the Headquarters Office for more information.

**Applicant Eligibility:**

Applicant entity must have expertise in the contemplated resource management and/or research project.

**Beneficiary Eligibility:**

State and local governments, Federal recognized Indian Tribal governments, public/private nonprofit organizations, nonprofit institutions of higher education, and individuals.

**Credentials/Documentation:**

All organizations will be required to comply with the requirements provided in the specific Funding Opportunity Announcement and award document. If applying as a nonprofit organization, proof of nonprofit status will be required. Examples of prior work in technical areas related to management and research in natural areas is required. Each organization submitting an application will be required to follow the Grants.gov registration requirements including registration in the DUNS and CCR systems. The procedures are provided at [http://www.Grants.gov/applicants/get\\_registered.jsp](http://www.Grants.gov/applicants/get_registered.jsp). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination will be specified in the Funding Opportunity Announcement, if applicable. Environmental impact assessment or statement may be required for projects within this program. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. Application packages will be posted for an Eligible Applicant's response utilizing the <http://www.grants.gov> website. Upon receipt of timely submissions, applications will be reviewed by the NPS and may be circulated for others to review. Notification of Awards will be provided to applicants by issuance of a Cooperative Agreement by the Awarding Official within the time specified on the announcement. The standard application forms required by 43 CFR Part 12, Subparts C and F, must be used. Application packages will be made available on [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Timely submissions will be reviewed in relationship to the evaluation criteria specified in the opportunity announcement. Awards will be made in the form of a cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Recipients may request renewal of existing projects or additional projects to meet program goals and objectives. NPS will make awards based on mission needs and priorities. Renewals are contingent upon available appropriations to the program.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Recipients share some project or program costs. The cost-sharing arrangements are developed between NPS and the recipients in advance of the program unless otherwise stated by Congress.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on a project basis. See the following for information on how assistance is awarded/released: Funds are released on a reimbursable basis as costs are incurred.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress Reports are required at a minimum annually and final progress reports. Specific requirements are indicated in the award documents and may vary for given programs. The SF 425 Federal Financial Report is required. Both interim and final reports are required as described in the award documents. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12 and all other requirements specified in the Funding Opportunity Announcement and Cooperative Agreement.

**Account Identification:**

14-1036-0-1-303.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 Not Available; FY 11 est \$5,000,000; and FY 12 Estimate Not Available - In FY 2010 the program was established so no obligations are available to report. FY11 first year the CFDA number used. FY 2012 obligation estimate is \$3,000,000.

**Range and Average of Financial Assistance:**

\$2,000 to \$200,000; Average \$30,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior regulations regarding financial assistance is 43 CFR Part 12.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Gary Mason, National Park Service, Natural Resources Science and Stewardship, 1201 Eye Street, Washington, District of Columbia 20006 Email: gary\_mason@nps.gov Phone: (202) 513-7204.

**Website Address:**

<http://www.nature.nps.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria will be developed based on the objectives of individual projects and will be provided in Funding Opportunity Announcements. Generally, relevance to agency program mission and qualification of principle investigator and institution will be important to the acceptance of proposals.

**15.945 COOPERATIVE RESEARCH AND TRAINING PROGRAMS RESOURCES OF THE NATIONAL PARK SYSTEM**

Cooperative Ecosystem Studies Units (CESU) Network

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

TITLE 16 CONSERVATION; CHAPTER 79 - NATIONAL PARK SERVICE  
MANAGEMENT; SUBCHAPTER II National Park System Resource Inventory and Management; Sections 5932, Research Mandate; Sec. 5933, Cooperative Agreements, (a)  
Cooperative Study Units; and Sec. 5935, Availability for Scientific Study; NPS Challenge  
Cost Share 16 U.S.C. 1f; Research and Training 16 U.S.C. 1a-2j; Funding of Research Agreements (43 U.S.C. 1471f); Cooperative Agreements, 16 U.S.C. 1g, Title II of the  
1998 NPS Omnibus Act (P.L. 105-391).

**OBJECTIVES:**

To develop adequate, coordinated cooperative research, offer training programs and/or develop information products and to create, through cooperative agreements, cooperative study units to conduct multidisciplinary research to provide a solid science basis for the management of the National Park System or the larger region of which parks are a part as necessary to form the basis of sound park management.

To establish cooperative study units to conduct multi-disciplinary research and develop integrated information products on the resources of the National Park System, or the larger region of which parks are a part. The establishment of a comprehensive network of such college and university based cooperative study units as will provide full geographic and topical coverage for research on the resources contained in units of the National Park System and their larger regions. (16 USC 5933).

To more effectively achieve the mission of the National Park Service; to enhance management and protection of national park resources by providing clear authority and direction for the conduct of scientific study in the National Park System and to use the information gathered for management purposes; to ensure appropriate documentation of resource conditions in the National Park

System; to encourage others to use the National Park System for study to the benefit of park management as well as broader scientific value; to encourage the publication and dissemination of information derived from studies in the National Park System.

The objectives of the units (cooperative ecosystem study units) are to:

- Provide resource managers with high-quality scientific research, technical assistance, and education;
- Provide resource managers with solid natural resource information;
- Deliver research and technical assistance that is timely, relevant to resource managers, and needed to develop and implement sound adaptive management approaches;
- Ensure the independence and objectivity of research;
- Create and maintain effective partnerships among federal agencies and universities to share resources and expertise;
- Take full advantage of university resources while benefiting faculty and students;
- Provide research, technical assistance, and educational functions within the context of cultural, social, biological, and physical sciences;
- Enhance the ability of Federal natural and cultural resource managers to generate, acquire, synthesize, act upon, and articulate to the public sound research and scientific information;
- Encourage professional development of federal scientists and enhance their ability to manage federal science resources efficiently.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use (Cooperative Agreements); Dissemination of Technical Information; Training; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Administrative Requirements for Department of the Interior Financial Assistance Awards at 43 CFR Part 12, Subpart F must be followed.

The Secretary of Interior must determine that appropriations for the purpose of cooperative management of projects are available and an agreement is in the best interests of the United States. Funds may not be used for acquisition of real property. Contact the Headquarters Office for more information.

All awards require the application of the appropriate Cost Principles for Federal Financial Assistance, as specified for each type of organization. (2 CFR 220, 225, or 230). For further information, please contact the regional office.

**Applicant Eligibility:**

The CESU Network consists of colleges and universities, including but not limited to Land Grant schools, nongovernmental conservation organizations, state and local governments, and federally recognized American Indian tribal governments, in partnership with Federal natural resource and scientific agencies.

State and local governments, federally recognized American Indian tribal governments, public/private nonprofit organizations, nonprofit institutions of higher education, and individuals.

Applicant entity must have expertise in the contemplated scientific research, technical assistance, information dissemination, and educational functions within the context of cultural, social, biological, and physical sciences as applicable to park management.

Prospective CESU Network nonfederal and federal partners follow a procedure which is outlined at the programs website.

**Beneficiary Eligibility:**

University faculty; federal employees by accessing increased opportunities for interdisciplinary, multi-agency research projects related to federal resource management issues; any entity which may, will, or can benefit from the contemplated activity; students, researchers, experts, and instructors as members of the general public.

**Credentials/Documentation:**

All organizations will be required to comply with the requirements provided in

the specific Funding Opportunity Announcement and award document. If applying as a nonprofit organization, proof of nonprofit status will be required. Examples of prior work in technical areas related to management and research on public lands (e.g., National Park) may be required. Each organization submitting an application will be required to follow the Grants.gov registration requirements including registration in the DUNS and CCR systems. The procedures are provided at:

[http://www.Grants.gov/applicants/get\\_registered.jsp](http://www.Grants.gov/applicants/get_registered.jsp). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-application coordination will be specified in the Funding Opportunity Announcement, if applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants, who wish to submit proposals for identified needs, will coordinate with the designated NPS CESU Research Coordinator. Opportunities will be announced in accordance with current policy and procedure of the NPS. Projects will be awarded as determined by the Secretary (generally through the project office or Superintendent) within the requirements of applicable existing bureau and agency regulation and policy. Cooperators will submit the required SF-424, Application for Federal Assistance and identify the entity and the project proposal in addition to a budget and SF-424B, Assurances for Federal Assistance.

**Award Procedure:**

Projects are identified and awarded based on priorities of the agency and available funding. Network partners may respond to a Funding Opportunity Announcement or Request for Interest. Timely submissions will be reviewed in relationship to the evaluation criteria specified in the opportunity announcement. Awards will be made in the form of a cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Determined based on project specific requirements.

**Appeals:**

Not Applicable.

**Renewals:**

Recipients may request renewal of existing projects or additional projects to meet program goals and objectives. NPS will grant renewals based on mission needs, priorities, regulations, and Administrative Requirements. Renewals are contingent upon available appropriations to the program and need for further assistance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Some projects may be conducted on a predetermined cost share basis.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on a project basis and available appropriations. A project may last from 3 months to 5 years. See the following for information on how assistance is awarded/released: For further information, please contact the regional office.

**Reports:**

Unless otherwise specified in the award, additionally, all organizations will be required to submit yearly narrative summary accomplishment reports to the National Park Service at the end of each project year. All projects and activities are monitored for progress and compliance within the agreed upon scope of work. Cash reports are not applicable. Progress reports are not applicable. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of Standard Form 270, Request for Advance or Reimbursement, and a quarterly or annual submittal of Standard Form 425, the Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. The Cooperator must maintain a complete detailed accounting system to report expenditures of funds and accomplishments achieved under the award. Records, accounts, and supporting documents must be retained for 3 years after submission for final request for reimbursement.

**Account Identification:**

14-1042-0-1-303 - NR&P; 14-1036-0-1-303 - Operation of the National Park System.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$0; FY 11 est \$0; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

New Program Information not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Information Not available New Program. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12.

**Regional or Local Office:**

See Regional Agency Offices. <http://www.cesu.org>

Dr. Thomas E. Fish  
National Coordinator  
Cooperative Ecosystem Studies Units (CESU) Network  
1849 C Street NW, Room #2723  
Washington, DC 20240  
Email: [Tom\\_Fish@nps.gov](mailto:Tom_Fish@nps.gov)  
Phone: (202) 208-5972.

**Headquarters Office:**

(CESU) Network Dr. Thomas E. Fish  
National Park Service.  
Main Interior Building  
1849 C Street NW, Room #2737, Washington, District of Columbia 20240  
Email: [Tom\\_Fish@nps.gov](mailto:Tom_Fish@nps.gov) Phone: (202) 208-5972

**Website Address:**

<http://www.cesu.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific projects will have particular requirements. The criteria will be contained in the Funding Opportunity Announcements on Grants.gov. Criteria may include:

- Ability to provide research, technical assistance and education,
- Demonstrated involvement with and responsiveness to Federal agency and interagency requirements, particularly in the area of Federal land management, environmental and research agencies;
- Demonstrated potential contribution to fostering

multi-disciplinary/multi-agency  
research related to ecosystem management;  
Demonstrated ability to contribute to fostering interdisciplinary research  
related to  
cultural resource management, including historic preservation and heritage  
education;  
Potential contribution to increasing the diversity of the scientific workforce.

**Host University Criteria:**

Research Extensive/Intensive University which meet current Carnegie  
Classification  
(i.e., research focus, Ph.D. and M.S. students) are qualified to serve as host  
university;  
Involvement of faculty and graduate students in state-of-the-art research in  
disciplines  
relevant to ecosystem management, including biological, physical, social, and  
cultural  
sciences;  
Ability to fully integrate Federal employee(s) into university activities (e.g.,  
appropriate faculty appointments and equivalent support facilities, graduate  
committee  
memberships, opportunities for teaching advanced courses and seminars);  
Ability to partner with at least one minority-serving institution;  
Potential of the university to address significant ecosystem management  
issues and concerns of regional and national importance;  
Ability to deliver research, technical assistance, and educational services to  
managers in multiple Federal land management, environmental and research  
agencies;  
Access to critical resources (e.g., computing, GIS/remote sensing, library  
services, research laboratories, office space, etc.);  
Focus on ecosystem-level issues and multi-disciplinary collaboration;  
Potential of the university to provide complementary and needed research,  
technical assistance, and educational services to participating Federal agencies,  
and other characteristics relevant to regional and national science needs;  
Inclusion as host or partner in the CESU no fewer than one of the following  
institutions: Historically Black College or University (HBCU), Predominantly  
Hispanic Serving Institution, Tribal College or University, or other post  
secondary  
minority institution;  
Ability to attract minority students in graduate programs relevant to CESU;  
Current programs to involve minority students in graduate programs relevant  
to the CESU;  
Willingness to accept the network negotiated indirect cost rate by host, partner  
universities, and other partner institutions.

**15.946 CULTURAL RESOURCES MANAGEMENT**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Historic Sites Act 16 U.S.C.462e & 464; Archeological and Historic  
Preservation Act 16 U.S.C.469b1; National Historic Preservation Act 16  
U.S.C.470a(b)6, 470w-7(b)2Biv, 470w-5(a), & 470a(d)4; Cooperative  
Agreements, 16 U.S.C. 1g; Omnibus Parks and Public Lands Management Act  
of 1996, Public Law 104-333; Research and Training 16 U.S.C. 1a-2j; Cost  
Sharing, 16 U.S.C. 1f; Omnibus Public Land Management Act of 2009, Public  
Law 111-11.

**OBJECTIVES:**

As a steward of the Nation's natural and cultural heritage, the primary  
responsibility of the NPS is to preserve and protect park resources and values.  
The NPS actively manages cultural resources in the national park system to  
meet its statutory responsibility to preserve these resources unimpaired for  
future generations.

The National Park Service (NPS) conducts cultural resource stewardship  
largely at the park level. To carry out and further this stewardship  
responsibility, the Service implements programs that encompass a broad range  
of research, operational, and educational activities. The NPS conducts:

Research to identify, evaluate, document, register, and establish basic  
information about cultural resources and traditionally associated peoples;  
Planning to ensure that management processes for making decisions and  
setting priorities integrate information about cultural resources, and provide for  
consultation and collaboration with outside entities; and  
Stewardship to ensure that cultural resources are preserved and protected,  
receive appropriate treatments (including maintenance), and are made available  
for public understanding and enjoyment. This work is conducted at all units of  
the NPS and helps to perpetuate resources and allows for their continued  
appreciation, understanding, and enjoyment. The solicitation, award and  
administration of Cooperative Agreements is done on a project by project bases  
generally at the park level. Additionally, the National Park Service is  
authorized by Congress as the principal federal agency to lead the Nation's  
efforts in historic preservation, providing for the identification, documentation,  
registration of, treatment of, and preservation planning for, the nation's historic  
and cultural resources. The National Park Service is directed by Congress and  
the National Historic Preservation Act to administer programs and partnerships  
with State, Tribal, and Local governments and nonprofit organizations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified  
Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Funds used for all aspects of cultural resource stewardship activities, including  
but not limited to inventory, monitoring, research, rehabilitation, reconstruction,  
restoration, preservation, documentation, data recovery, education, and climate  
change mitigation and adaptation. The Secretary of Interior must determine  
that appropriations for the purpose of cooperative management of projects are  
available and an agreement is in the best interests of the United States. Funds  
may not be used for acquisition of real property. For further information, please  
contact the regional office.

**Applicant Eligibility:**

Generally, applicant entity must have expertise in the contemplated resource  
management and/or research project. Applicant eligibility will be specified in  
the Funding Opportunity Announcement, if applicable.

**Beneficiary Eligibility:**

State and local governments, Federal recognized Indian Tribal governments,  
nonprofit organizations, educational or scientific institutions, associations,  
individuals and in some cases corporations.

**Credentials/Documentation:**

Will be specified in the Funding Opportunity Announcement, if applicable.  
OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is  
not required for this program. This program is excluded from coverage under  
E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110  
applies to this program.

**Award Procedure:**

Projects are identified and awarded based on priorities of the agency and  
available funding. Will be specified in the Funding Opportunity  
Announcement, if applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

Generally 30- 120 days.

**Appeals:**

Will be specified in the Funding Opportunity Announcement, if applicable.

**Renewals:**

Recipients may request renewal of existing projects or additional projects to  
meet program goals and objectives. NPS will make awards based on mission  
needs and priorities. Renewals are contingent upon available appropriations to



the program, and applicable regulations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Recipients may share some project or program costs. The cost-sharing arrangements are developed between NPS and the recipients in advance of the program unless otherwise stated by Congress.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Will be specified in the Funding Opportunity Announcement, if applicable. See the following for information on how assistance is awarded/released: Will be specified in the Funding Opportunity Announcement, if applicable.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Unless otherwise specified in the award, additionally, all organizations will be required to submit a yearly narrative summary accomplishment reports to the National Park Service at the end of each project year. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form 270, Request for Advance or Reimbursement, and a quarterly or annual submittal of Standard Form 425, the Financial Report. All projects and activities are monitored for progress and compliance within the agreed upon scope of work and in accordance with 43 CFR Part 12. Specific requirements will be specified in the Funding Opportunity Announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12 and all other requirements specified in the Funding Opportunity Announcement and Cooperative Agreement.

**Account Identification:**

14-1036-0-1-303 - Operation of the National Park System; 14-5140-0-2-303 - HPF; 14-1042-0-1-303 - NR&P.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$0; FY 11 est \$0; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

Information not available, new program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Not Applicable, new program (2011). Fiscal Year 2011: Not Applicable, new program (2011). Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Stephanie Toothman U.S. Department of the Interior, Main Building, 1849 C Street NW, Room #2737, Washington, District of Columbia 20240 Phone: 202 2087625

**Website Address:**

<http://www.nps.gov/history/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria will be developed based on the objectives of individual projects and will be provided in Funding Opportunity Announcements. Generally, relevance to agency program mission and qualification of principle investigator and institution will be important to the acceptance of proposals.

**15.947 BOSTON HARBOR ISLANDS PARTNERSHIP**

Boston Harbor Islands Partnership

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Boston Harbor Islands National Recreational Area 16 U.S.C. 460kkk(d); Boston Harbor Islands National Recreation Area to be Administered in Partnership - Boston Harbor islands National Recreation Area was established as a unit of the national park system by the Omnibus Parks and Public Lands Management Act of 1996 (P.L. 104-333), as amended. 16 U.S.C. 460 kkk (e)(2): Federal Operating Committee Established at Boston Harbor Islands - The Omnibus Parks and Public Lands Management Act of 1996 (P.L. 104-333), as amended. 16 U.S.C. 460 kkk (d): Cooperative Management of Lands Within Boston Harbor Islands National Recreation Area - The omnibus Public land Management Act of 2009 (P.L. 111-11) amends 16 U.S.C. 460kkk(d) NPS Challenge Cost Share 16 U.S.C. If; NPS Cooperative Agreements, 16 U.S.C. Ig.

**OBJECTIVES:**

That "the recreation area shall be administered in partnership by the Secretary [of the Interior], the Commonwealth of Massachusetts, City of Boston and its applicable subdivisions and others in accordance with the provisions of law generally applicable to units of the National Park System," including the NPS Organic Act. Improvement of access through use of public water transportation, provide education and visitor information programs regarding natural and cultural resources are specific objectives related to the management of the recreation area. The Partnership will coordinate the activities of federal, state, and local authorities and the private sector in the development and implementation plan. NPS may enter into a cooperative management agreements with certain management partners of the park to acquire from and provide to the partners goods and services for cooperative management of lands within the Park. Work collaboratively with Partnership agencies and interested entities to provide for safe visitor access, public information, youth programs, resource management and citizen science and scholarly research.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The Secretary may consult and enter into cooperative agreements with the Commonwealth of Massachusetts or its political subdivisions to acquire from and provide to the Commonwealth or its political subdivisions goods and services to be used in the cooperative management of lands within the recreation area, if the Secretary determines that appropriations for that purpose are available and the agreement is in the best interest of the United States. The Secretary is authorized, subject to the appropriation of necessary funds in advance, to construct essential administrative or visitor use facilities on non-Federal public lands within the recreation area. The Secretary shall provide the Partnership with such staff and the technical assistance as the Secretary, after consultation with the Partnership, considers appropriate to enable the partnership to carry out its duties. The Secretary may accept the services of personnel detailed from the Commonwealth of Massachusetts, any political subdivision of the Commonwealth or any entity represented on the Partnership. The Partnership may enter into cooperative agreements with the Commonwealth of Massachusetts, any political subdivision thereof, or with any organization or person for the purposes of carrying out the plan. Subject to DOI Regulations (43 CFR Part 12) and other policy on Financial Assistance, NPS Director's Order #20, NPS Agreements Handbook, and the park's enabling legislation. For further information, please contact the regional office.

**Applicant Eligibility:**

Eligible cooperators include: Members of the Boston Harbor Islands Partnership, and other public entities, education institutions, and private nonprofit organizations.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

As determined by project requirements. Each applicant will be required to have a DUNS number and be registered in the CCR at [www.ccr.gov](http://www.ccr.gov). OMB Cost Principles Circulars apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Consultation, coordination or assistance between the National Park Service (generally through Superintendent, Boston Harbor islands national park area) and the Partnership agencies or partners Will occur. Cooperators will submit SF 424, SF 424A, SF 424B and SF 424C and SF 424D when construction is involved in a project.

**Award Procedure:**

In accordance with programmatic authority, after project needs and requirements are developed, the National Park Service will issue the Partnership agency or partner a written agreement (Cooperative Agreement or Cooperative Management Agreement) for execution upon which the project can proceed. Department of the Interior policy allows projects that meet the criteria for single source opportunities to be issued by an agency. A Notice of Intent shall be placed on [www.grants.gov](http://www.grants.gov) to disclose the single source announcement and the criteria used to justify the noncompetitive award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

In accordance with applicable requirements for extensions and renewals under appropriate regulations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. There is no legislative requirements for matching in individual agreements unless required by a specific fund source which will then be made known. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Dependent on fund source and type of project. See the following for information on how assistance is awarded/released: For further information, please contact the regional office.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. In accordance with DOI Financial Assistance regulations (43 CFR Part 12), cooperators are required to submit an annual narrative progress report. Specific requirements will be outlined in any award document. disbursement. In accordance with DOI Financial Assistance regulations (43 CFR Part 12), cooperators are required to submit a Federal Financial Report, SF 425, for all financial transactions. Specific requirements will be outlined in any award document. disbursement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are maintained in accordance with 43 CFR 12.951. The cooperator must maintain a complete, detailed accounting system to report expenditures of funds and accomplishments achieved under the agreements. Records, accounts and supporting documents must be retained for three years after submission for final request of.

**Account Identification:**

14-1039-0-1-303 - Construction; 14-1036-0-1-303 - Operation of National Park Service.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$0; FY 11 est \$550,000; and FY 12 est \$575,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: New Program, information not available. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12. NPS and DOI policy on cooperative agreements, the park's enabling legislation; Other park information can be found on the park's website at [www.nps.gov/boha](http://www.nps.gov/boha) 16 USC 460kkk(i)(11) Donations notwithstanding any other provision of law, the partnership may seek and accept donations of funds, property, or services from individuals, foundations, corporations, and other private and public entities for the purpose of carrying out this section.

**Regional or Local Office:**

See Regional Agency Offices. Superintendent  
Boston Harbor Islands National Park  
Area  
408 Atlantic Avenue  
Boston, MA 02110.

**Headquarters Office:**

Superintendent Boston Harbor Islands National Park  
Area  
408 Atlantic Avenue  
, Boston, Massachusetts 02110 Phone: Contact Park Superintendant

**Website Address:**

<http://www.nps.gov/boha>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Youth summer employment programs, web based public information, scientific studies and research, Island pass program to bring youth to the islands. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the basis of:

- Appropriateness for cooperative management of the park
- Relationship to parks strategic plan and goals
- Clarity of project objectives including final product or result
- Availability of funds.

**15.948 NATIONAL FIRE PLAN- WILDLAND URBAN INTERFACE COMMUNITY FIRE ASSISTANCE**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291.; 16 USC 1f, NPS Challenge Cost Share.

**OBJECTIVES:**

To implement the National Fire Plan and assist communities at risk from

catastrophic wildland fires by providing assistance in the following areas: Provide community programs that develop local capability including: assessment and planning, mitigation activities, and community and homeowner education and action; plan and implement hazardous fuels reduction activities, monitoring or maintenance associated with such hazardous fuels reduction activities, on federal land, or on adjacent nonfederal land for activities that mitigate the threat of catastrophic fire to communities and natural resources in high risk areas; enhance local and small business employment opportunities for rural communities; enhance the knowledge and fire protection capability of rural fire districts by providing assistance in education, and mitigation methods on a cost share basis.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Cooperative Agreements (Discretionary Grants); Dissemination of Technical Information; Provision of Specialized Services; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Hazard reduction activities are restricted to Federal lands, or adjacent nonfederal land for activities that benefit resources on Federal land. Assistance can be used to help the NPS support community based efforts addressing defensible space and fuels management issues; support outreach and education efforts associated with fuels management and risk reduction activities; and increase the effectiveness of rural fire protection. Funding is highly variable each fiscal year. For further information, please contact the regional office.

**Applicant Eligibility:**

States and local governments at risk as published in the Federal Register, Indian Tribes, public and private education institutions, nonprofit organizations.

**Beneficiary Eligibility:**

States and local governments at risk as published in the Federal Register, Indian Tribes, public and private education institutions, nonprofit organizations.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; 2 CFR Part 225 (OMB Circular No. A-21 for educational institutions); 2 CFR 230 )OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits) excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Wildland Urban Interface community projects are reviewed at Region level and funding recommendations are made through each Regions annual work plan. Final budget approvals rest with the Regional Director or Park Unit Manager.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type of complexity of the project.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. The program has no matching requirements, however, matching funds by the applicant are encouraged and those projects are more heavily weighted in the selection process. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions apply, however, most projects are funded on a year-to-year basis and funds are normally expended during the current fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payment will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual or annual performance reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, grantees must submit a final performance report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Recipients are required to submit quarterly, SF-425, Federal Financial Reports 30 days following the end of the reporting period unless otherwise stated in the award document . A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State, Local and Indian Tribal Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1125-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$190,000; FY 11 est \$0; and FY 12 est \$50,000

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$500 to \$100,000. Average amount is \$11,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Communities at risk from catastrophic wildland fires have been provided assistance in the following areas: Risk assessment and planning, mitigation activities, and community and homeowner education and action; plan and implement hazardous fuels reduction activities, monitoring or maintenance associated with such hazardous fuels reduction activities, on federal land, or on adjacent nonfederal land for activities that mitigate the threat of catastrophic fire to communities and natural resources in high risk areas;. Fiscal Year 2011: Information not available. Fiscal Year 2012: Information not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable regulations and OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12.

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; 2 CFR Part 225 (OMB Circular No. A-21 for educational institutions); 2 CFR 230 )OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits) excluded from

coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

NPS's wildland urban interface community assistance program is guided by the provisions of the National Fire Plan. A variety of public information on this plan is available by contacting the appropriate Regional Office or the National Interagency Fire Center's web site at: <http://www.nifc.gov>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

National Community Assistance Program Lead National Park Service , National Interagency Fire Center, 3833 S. Development Ave., , Idaho Phone: , Boise, Idaho 83705 Phone: (208) 387-5206

**Website Address:**

<http://www.forestsandrangelands.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Fiscal Year 2009-10: (1) Assessment and planning for reducing wildland fire risks to communities and their associated watersheds and natural resources. (2) Hazard fuel reduction activities and projects that mitigate wildfire hazards to communities and natural resources. (3) Implementation of programs, workshops that distribute educational materials and develop partnerships between stakeholders in wildland urban interface communities. (4) Assistance and technical transfer of information that promotes homeowner's and rural fire department's action to implement community wildfire mitigation activities. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their ability to reduce the risk of wildland fire to community values and to increase the capabilities of rural fire organizations, in the vicinity of Federal lands.

**15.949 NATIONAL FIRE PLAN - RURAL FIRE ASSISTANCE**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2005, Title I, Public Law 108-447. This program was first implemented in the Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291; 16 USC 1f, NPS Challenge Cost Share.

**OBJECTIVES:**

To implement the National Fire Plan by increasing firefighter safety and enhancing the knowledge and fire protection capability of rural fire departments by providing assistance in education and training, protective clothing and equipment purchase, and support to public education efforts on a cost share basis.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Cooperative Agreements (Discretionary Grants); Dissemination of Technical Information; Provision of Specialized Services; Training; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Emphasis is placed on fire departments that protect rural communities and play a substantial cooperative role in the protection of the Department of the Interior managed public lands. For further information, please contact the regional office.

**Applicant Eligibility:**

State and local government, Public nonprofit institution/organizations, Other public institution/organization, Federally Recognized Indian Tribal Government, Private nonprofit institution/organization, Native American Organization, and rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface. All applicants must be rural fire departments serving a community with a population of 10,000 or less in the

wildland/urban interface.

**Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Other Public Institution/Organization, Federally Recognized Indian Tribal Government, Small Business, Profit Organization, Private Organization, Anyone/General Public, Native American Organization, Farmer/Rancher/Agriculture Producer, Homeowner, Land/Property Owner, Suburban, and Rural.

**Credentials/Documentation:**

The following criteria applies for a fire department to participate in the program: Statewide agreement with the State Forester, who maintains cooperative fire agreements with the rural fire department/volunteer fire department, or a cooperative fire agreement with an Interior Bureau; rural fire department serving a community with a population of 10,000 or less in the wildland/urban interface; and the funding request is limited to training, equipment, and prevention activities. The rural fire department must have the capability to meet cost share at a minimum of 10% which may include in-kind services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Rural Fire Assistance is coordinated through each State Forester and the Regional Office, or National Park unit. Procedures may be found on the National Interagency Fire Center website at: <http://www.nifc.gov/rfa/index.html>. No specific application forms apply, except for grants awarded, the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", must be used by this program.

**Award Procedure:**

To ensure consistency within existing rural fire assistance programs, the Department of the Interior bureaus work with the State Foresters and other Federal partners to ensure that funding is allocated in the amount of the award to qualified and suitable rural fire districts. Specific information will be provided at the local or regional office, as appropriate for application deadlines or visit the National Interagency Fire Centers website at: <http://www.nifc.gov/rfa/index.html> .

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Rural fire assistance projects are approved by the Bureau/Service/Park Unit in coordination with the State Forester and other Federal partners. Normally all grant requests are received and awards made during the same fiscal year.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program includes matching requirements. For example, rural fire departments must have the capability to meet cost share at a minimum of 10% which may include in kind services. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are funded on a single year basis and normally funds are expended during the fiscal year of the award. See the following for information on how assistance is awarded/released: For further information, please contact the

regional office.

**Reports:**

No program reports are required. No cash reports are required. Performance monitoring schedules and/or progress reports will be developed in consultation with the applicant, but at a minimum will take place at least once during the life of a project, in accordance with 43 CFR Part 12, Department of the Interior regulations for Federal Financial Assistance. SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the recipient. There is no fixed records schedule. Records for grants awarded to State, Local and Indian Tribal Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1125-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$9,557,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Estimated Range and average are service wide for the Department of the Interior.  
\$1000 to \$20,000; \$9,100.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Accomplishments are service wide for the Department of the Interior.

An average of 1,100 Rural Fire Departments are provided assistance each year for technical assistance, training, supplies, equipment and public education support. Fiscal Year 2011: No information available. Fiscal Year 2012: No information available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable regulations and OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12.

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122.

The Department of the Interior's rural fire assistance program is guided by the provisions of the National Fire Plan. A variety of public information on this plan is available by contacting the appropriate Bureau/Service Office or the National Interagency Fire Center website at:  
<http://www.nifc.gov/rfa/index.html>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

National RFA Program Lead National Park Service, National Interagency Fire

Center, 3833 S. Development Ave, Boise, Idaho 83705 Phone: (208) 387-5200

**Website Address:**

<http://www.nifc.gov/rfa/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Wildland fire assistance to rural fire departments through technical assistance, training, supplies, equipment and public education support. Fiscal Year 2011: New Program. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for ranking eligible Rural Fire Departments, relative to other applicants, for funding allocation are: The fire department's frequency of responses to wildland/urban fire incidents in the local area; the fire department's wildland prevention and education program needs; the fire department's training program needs; the communities and Department of the Interior's values to be protected; the percentage of wildland/urban lands; and the number of wildland fire engines in the department relative to the percentage of wildland/urban interface acres protected.

**15.978 UPPER MISSISSIPPI RIVER SYSTEM LONG TERM RESOURCE MONITORING PROGRAM**

LTRMP

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Water Resources Development Act of 1986, Public Law 99-662, Section 1103, 33 U.S.C. 652.

**OBJECTIVES:**

To provide decision makers with information needed to maintain the Upper Mississippi River System (UMRS) as a sustainable large river ecosystem given its multiple-use character. Congress has declared the UMRS to be both a nationally significant ecosystem and a nationally significant commercial navigation system. The long-term goals of the LTRMP are to: understand the UMRS ecosystem, monitor trends and effects with respect to selected resources, develop resource management alternatives, manage information, and develop useful products.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Cooperative Agreements are entered into for the purpose of conducting resource monitoring and research as specified in the LTRMP Operations Plan and for other activities to carry out the purposes of the Water Resources Development Act of 1986. For further information, please contact the regional office.

**Applicant Eligibility:**

State agencies stipulated in the Water Resources Development Act of 1986 (Public Law 99-662) are eligible to apply.

**Beneficiary Eligibility:**

UMRS State, Federal, and private natural resource managers, users, and the general public.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed activity. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application form Standard Form (SF) 424, 424-A, and 424-B. The States of Illinois, Iowa, Minnesota,

Missouri, and Wisconsin; the Upper Mississippi River Basin Association; or any other agency established under paragraph (d)(1) of the Water Resources Development Act of 1986, Public Law 99-662 are exempt from the application procedures by virtue of the Act. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

The LTRMP is a permanent program. Agreements may be renewed on an annual basis dependent upon funding availability.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative Agreements will be awarded in 12-month budget periods. Funds are released as required. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records shall be retained and made available for audit for three years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$2,666,759; FY 11 est \$2,390,269; and FY 12 est \$2,469,275

**Range and Average of Financial Assistance:**

\$272,096 to \$733,679; average \$398,378.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 8 cooperative agreements were made to support the LTRMP. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 99-662, Section 1103, as amended. Information regarding LTRMP publications may be found at the web site address.

**Regional or Local Office:**

See Regional Agency Offices. Inquiries regarding the LTRMP may be addressed to the Upper Midwest Environmental Sciences Center, 2630 Fanta

Reed Road, La Crosse, Wisconsin 54603, POC: Michael Jawson, Center Director, (608) 781-6221, Fax: (608) 783-6066, E-mail: [Linda\\_Leake@usgs.gov](mailto:Linda_Leake@usgs.gov); or Thomas S. Kelly, Management Analyst, (608) 781-6229, Fax: (608) 783-6066, E-mail: [Tom\\_Kelly@usgs.gov](mailto:Tom_Kelly@usgs.gov); UMESC web site address, <http://www.umesc.usgs.gov>.

**Headquarters Office:**

None None, None, Non-U.S. None Phone: None

**Website Address:**

<http://www.usgs.gov/ltrmp.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: To date, cooperative agreements and amendments in the amount of approximately \$51,408,269 have been granted to States, universities, and other recipients to conduct resource (fisheries, water quality, invertebrate, vegetation) monitoring and research of the Upper Mississippi River System. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The States of Illinois, Iowa, Minnesota, Missouri, and Wisconsin, and their institutions and agencies; States, universities, and others having expertise and experience conducting monitoring and research of the Upper Mississippi River System; States, universities, and others having expertise and experience conducting monitoring and research of large, impounded river systems.

**DEPARTMENT OF JUSTICE**

**16.012 ALCOHOL, TOBACCO, AND FIREARMS TRAINING ASSISTANCE**

**FEDERAL AGENCY:**

BUREAU OF ALCOHOL, TOBACCO, FIREARMS, AND EXPLOSIVES, DEPARTMENT OF JUSTICE

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended, Title XVIII, Public Law 90-351; Gun Control Act of 1968, Title XVIII, Public Law 90-618, 18 U.S.C. 44; Organized Crime Control Act of 1970, Title XVIII, Public Law 91-452, 18 U.S.C. 40.

**OBJECTIVES:**

To help the participant identify the laws relating to alcohol, tobacco, firearms and explosives, and provide training in specific investigative skills and techniques, and to help State, county, and local law enforcement officers improve their law enforcement capabilities in the organized crime area, including arson, undercover, firearms and explosives investigations.

**TYPES OF ASSISTANCE:**

Training.

**USES AND USE RESTRICTIONS:**

Training programs are conducted in the areas of: Identification of the Firearms Problem; Motives and Analysis of Applicable Federal, State and Local Laws; Laboratory Capability; Sources of Information; Interviewing; Investigative Techniques; and Case Management.

**Applicant Eligibility:**

State, county, and local law enforcement agencies. Participation is limited to non-uniformed police personnel engaged in firearms and arson investigations or in the process of being assigned or promoted to such non-uniformed assignments.

**Beneficiary Eligibility:**

State, county, and local law enforcement agencies.

**Credentials/Documentation:**

None.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

Submit requests to the Assistant Director (Training and Professional

Development), Bureau of Alcohol, Tobacco and Firearms, 99 New York Avenue, NE., Washington, DC 20226.

**Award Procedure:**

None.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

None.

**Length and Time Phasing of Assistance:**

None.

**Reports:**

None.

**Audits:**

None.

**Records:**

None.

**Account Identification:**

15-0700-0-1-751.

**Obligations:**

(Travel and Materials) FY 07 \$2,500,000; FY 08 est \$3,200,000; and FY 09 est not reported. (Note: Agencies will bear the cost of training on a reimbursable basis.)

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Each year about 600 law enforcement officers participate in ATF arson/explosives investigative training, cigarette tax audit enforcement, undercover investigative training, and armed criminal training.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, National Center for Explosives Training and Research, 99 New York Avenue, NE., Washington, DC 20226. Telephone: Commercial (202) 648-8401.

**Website Address:**

<http://www.atf.gov> .

**RELATED PROGRAMS:**

16.004, Law Enforcement Assistance\_Narcotics and Dangerous Drugs Training; 16.300, Law Enforcement Assistance\_FBI Advanced Police Training; 16.302, Law Enforcement Assistance\_FBI Field Police Training; 21.004, Exchange of Federal Tax Information With State Tax Agencies.

**EXAMPLES OF FUNDED PROJECTS:**

None.

**CRITERIA FOR SELECTING PROPOSALS:**

None.

**16.013 VIOLENCE AGAINST WOMEN ACT COURT TRAINING AND IMPROVEMENT GRANTS**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 105, Public Law 109-162, 42 U.S.C. 14043a.

**OBJECTIVES:**

To improve court responses to adult and youth domestic violence, dating violence, sexual assault, and stalking.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for the following statutory program purposes: (1) improved internal civil and criminal court functions, responses, practices, and procedures; (2) education for court-based and court-related personnel on issues relating to victims' needs, including safety, security, privacy, confidentiality, and economic independence, as well as information about perpetrator behavior and best practices for holding perpetrators accountable; (3) collaboration and training with Federal, State, tribal, territorial, and local public agencies and officials and nonprofit, nongovernmental organizations to improve implementation and enforcement of relevant Federal, State, tribal, territorial, and local law; (4) enabling courts or court-based or court-related programs to develop new or enhance current -- (A) court infrastructure (such as specialized courts, dockets, intake centers, or interpreter services); (B) community-based initiatives within the court system (such as court watch programs, victim assistants, or community-based supplementary services); (C) offender management, monitoring, and accountability programs; (D) safe and confidential information-storage and -sharing databases within and between court systems; (E) education and outreach programs to improve community access, including enhanced access for underserved populations; and (F) other projects likely to improve court responses to domestic violence, dating violence, sexual assault, and stalking; and (5) providing technical assistance to Federal, State, tribal, territorial, or local courts wishing to improve their practices and procedures or to develop new programs.

**Applicant Eligibility:**

Federal, State, tribal, territorial, or local courts or court-based programs; and national, State, tribal, territorial, or local private, nonprofit organizations with demonstrated expertise in developing and providing judicial education about domestic violence, dating violence, sexual assault, or stalking.

**Beneficiary Eligibility:**

Courts and nonprofit organizations.

**Credentials/Documentation:**

Applicants must certify in writing that: (A) any courts or court-based personnel working directly with or making decisions about adult or youth parties experiencing domestic violence, dating violence, sexual assault, and stalking have completed or will complete education about domestic violence, dating violence, sexual assault, and stalking; (B) any education program developed under section 14043 of this title has been or will be developed with significant input from and in collaboration with a national, tribal, State, territorial, or local victim services provider or coalition; and (C) the grantee's internal organizational policies, procedures, or rules do not require mediation or counseling between offenders and victims physically together in cases where domestic violence, dating violence, sexual assault, or stalking is an issue. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply on-line at the [grants.gov](http://grants.gov) portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Information regarding length of awards will be included in an annual solicitation for the program. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$0; FY 10 est \$3,889,475; and FY 11 est \$3,889,475

**Range and Average of Financial Assistance:**

Range: \$49,600 - 350,000  
Average: \$185,200.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications = 45

Awards = 21. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia

20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

http://www.ovw.usdoj.gov.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.014 ENGAGING MEN AND YOUTH IN PREVENTING DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, AND STALKING**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IV, Section 401, Public Law 109-162, 42 U.S.C. 13033d-4.

**OBJECTIVES:**

To develop or enhance programs related to engaging men and youth in preventing domestic violence, dating violence, sexual assault, and stalking by helping them to develop mutually respectful, nonviolent relationships.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be awarded for the following statutory purposes: (A) to develop or enhance community-based programs, including gender-specific programs in accordance with applicable laws that--(i) encourage children and youth to pursue nonviolent relationships and reduce their risk of becoming victims or perpetrators of domestic violence, dating violence, sexual assault, or stalking; and (ii) that include at a minimum--(I) information on domestic violence, dating violence, sexual assault, stalking, or child sexual abuse and how they affect children and youth; and II) strategies to help participants be as safe as possible; or (B) to create public education campaigns and community organizing to encourage men and boys to work as allies with women and girls to prevent violence against women and girls conducted by entities that have experience in conducting public education campaigns that address domestic violence, dating violence, sexual assault, or stalking.

**Applicant Eligibility:**

Eligible entities under the first statutory purpose area are--(A) nonprofit, nongovernmental domestic violence, dating violence, sexual assault, or stalking victim service providers or coalitions; (B) community-based child or youth services organizations with demonstrated experience and expertise in addressing the needs and concerns of young people; (C) a State, territorial, tribal, or unit of local governmental entity that is partnered with an organization described in subparagraph (A) or (B); or (D) a program that provides culturally specific services. Eligible entities under the second statutory purpose area (public education campaigns and community organizing) are nonprofit, nongovernmental organizations or coalitions that have a documented history of creating and administering effective public education campaigns addressing the prevention of domestic violence, dating violence, sexual assault or stalking.

**Beneficiary Eligibility:**

Other nonprofit, nongovernmental organizations including community and faith-based organizations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**



Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants under this program will be for a period of two years. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$0; FY 10 est \$7,885,560; and FY 11 est \$7,885,560

**Range and Average of Financial Assistance:**

Range: \$250,000 - \$350,000

Average: \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 186

Awards: 25. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.016 CULTURALLY AND LINGUISTICALLY SPECIFIC SERVICES PROGRAM**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005; Title I, Section 121, Public Law 109-162, 42 U.S.C. 14045a.

**OBJECTIVES:**

To enhance culturally and linguistically specific services for victims of domestic violence, dating violence, sexual assault, and stalking.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds shall be used for the following statutory program purposes: (A) working with State and local governments and social service agencies to develop and enhance effective strategies to provide culturally and linguistically specific services to victims of domestic violence, dating violence, sexual assault, and stalking; (B) increasing communities' capacity to provide culturally and linguistically specific resources and support for victims of domestic violence, dating violence, sexual assault, and stalking crimes and their families; (C) strengthening criminal justice interventions, by providing training for law enforcement, prosecution, courts, probation, and correctional facilities on culturally and linguistically specific responses to domestic violence, dating violence, sexual assault, and stalking; (D) enhancing traditional services to victims of domestic violence, dating violence, sexual assault, and stalking through the leadership of culturally and linguistically specific programs offering services to victims of domestic violence, dating violence, sexual assault, and stalking; (E) working in cooperation with the community to develop education and prevention strategies highlighting culturally and linguistically specific issues and resources regarding victims of domestic violence, dating violence, sexual assault, and stalking; (F) providing culturally and linguistically specific programs for children exposed to domestic violence, dating violence, sexual assault, and stalking; (G) providing culturally and linguistically specific resources and services that address the safety, economic, housing, and workplace needs of victims of domestic violence, dating violence, sexual assault, or stalking, including emergency assistance; or (H) examining

the dynamics of culture and its impact on victimization and healing.

**Applicant Eligibility:**

Community-based programs whose primary purpose is providing culturally and linguistically specific services to victims of domestic violence, dating violence, sexual assault, and stalking; and community-based programs whose primary purpose is providing culturally and linguistically specific services who can partner with a program having demonstrated expertise in serving victims of domestic violence, dating violence, sexual assault, and stalking.

**Beneficiary Eligibility:**

Community and faith-based programs.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards will be two years. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$12,618,455; FY 10 est \$7,555,072; and FY 11 est \$12,618,455

**Range and Average of Financial Assistance:**

Range: \$199,750- \$300,000

Average: \$279,817.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 100

Awards: 27. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.017 SEXUAL ASSAULT SERVICES FORMULA PROGRAM**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005; Title I, Section 121, Public Law 109-162, 42 U.S.C. 14045a.

**OBJECTIVES:**

To increase intervention, advocacy, accompaniment, support services, and related assistance for adult, youth, and child victims of sexual assault; family and household members of such victims; and those collaterally affected by the victimization, except for the perpetrator of such victimization.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are for intervention and related assistance to victims of sexual assault, including: (i) 24-hour hotline services providing crisis intervention services and referral; (ii) accompaniment and advocacy through medical, criminal justice, and social support systems, including medical facilities, police, and court proceedings; (iii) crisis intervention, short-term individual and group support services, and comprehensive service coordination and supervision to assist

sexual assault victims and family or household members; (iv) information and referral to assist the sexual assault victim and family or household members; (v) community-based, linguistically and culturally specific services and support mechanisms, including outreach activities for underserved communities; and (vi) the development and distribution of materials on issues related to the services described in clauses (i) through (v).

**Applicant Eligibility:**

Eligible applicants are States and territories.

**Beneficiary Eligibility:**

Beneficiaries are rape crisis centers and other nonprofit, nongovernmental organizations including community and faith-based organizations.

**Credentials/Documentation:**

Each application submitted under this program shall-- (i) set forth procedures designed to ensure meaningful involvement of the State or territorial sexual assault coalition and representatives from underserved communities in the development of the application and the implementation of the plans; (ii) set forth procedures designed to ensure an equitable distribution of grants and grant funds within the State or territory and between urban and rural areas within such State or territory; (iii) identify the State or territorial agency that is responsible for the administration of programs and activities; and (iv) meet other such requirements as the Attorney General reasonably determines are necessary to carry out the purposes and provisions of this section. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply on-line at the online Grants Management System (GMS) portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

OVW will make awards for at least one year. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Formula Grants) FY 10 Not Available; FY 11 est \$17,161,862; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

The range and average of financial assistance varies based on the component of SASP (discretionary/formula).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.018 SERVICES TO ADVOCATE FOR AND RESPOND TO YOUTH FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 303, Public Law 109-162, 42 U.S.C 14043c.

**OBJECTIVES:**

To serve youth victims of domestic violence, dating violence, sexual assault, and stalking.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used for the following statutory program purpose:

To design or replicate, and implement, programs and services, using domestic violence, dating violence, sexual assault, and stalking intervention models to respond to the needs of youth who are victims of domestic violence, dating violence, sexual assault or stalking.

Such programs--

(A) shall provide direct counseling and advocacy for youth and young adults, who have experienced domestic violence, dating violence, sexual assault or stalking;

(B) shall include linguistically, culturally, and community relevant services for underserved populations or linkages to existing services in the community tailored to the needs of underserved populations;

(C) may include mental health services for youth and young adults who have experienced domestic violence, dating violence, sexual assault, or stalking;

(D) may include legal advocacy efforts on behalf of youth and young adults with respect to domestic violence, dating violence, sexual assault or stalking;

(E) may work with public officials and agencies to develop and implement policies, rules, and procedures in order to reduce or eliminate domestic violence, dating violence, sexual assault, and stalking against youth and young adults; and

(F) may use not more than 25 percent of the grant funds to provide additional services and resources for youth, including childcare, transportation, educational support, and respite care. 100% of funds for discretionary grant purposes.

**Applicant Eligibility:**

Provide services to teen and young adult victims of domestic violence, dating violence, sexual assault, or stalking.

Intervention or violence prevention services for youth.

Provide services to runaway or homeless youth affected by domestic or sexual abuse.

**Beneficiary Eligibility:**

Nonprofit, nongovernmental entities, community and faith-based organizations, and Indian tribes and tribal organizations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

None.

**Renewals:**

Considered on a case-by-case basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

OVW will make grants under this program for a period of three years. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Semi-annual progress reports, quarterly financial reports, and a final report are required, as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. Progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 09 \$0; FY 10 est \$6,539,872; and FY 11 est \$6,539,872

**Range and Average of Financial Assistance:**

Range: \$249,976 - \$300,000

Average: \$297,227.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 181

Awards: 22. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov>

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.019 TRIBAL REGISTRY**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IX, Section 905(b), Public Law 109-162, 28 Stat. 534.

**OBJECTIVES:**

To develop and maintain a national tribal sex offender registry and a tribal protection order registry containing civil and criminal orders of protection issued by Indian tribes and participating jurisdictions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to develop and maintain a national tribal sex offender registry and a tribal protection order registry containing civil and criminal orders of protection issued by Indian tribes and participating jurisdictions.

**Applicant Eligibility:**

Eligible applicants are tribes, tribal organizations, or tribal nonprofit organizations.

**Beneficiary Eligibility:**

Beneficiary Eligibility: Beneficiaries include tribes and tribal law enforcement.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or office designated as the single point of contact in his or her State for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$35,190,000; FY 10 est \$0; and FY 11 Estimate Not Available

**Range and Average of Financial Assistance:**

\$0.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.020 CHILDREN AND YOUTH EXPOSED**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 303, Public Law 109-162, 42 U.S.C 14043d-2.

**OBJECTIVES:**

The funds appropriated under this section shall be used for--

(1) programs that provide services for children exposed to domestic violence, dating violence, sexual assault, or stalking, which may include direct counseling, advocacy, or mentoring, and must include support for the nonabusing parent or the child's caretaker; or

(2) training, coordination, and advocacy for programs that serve children and youth (such as Head Start, child care, and after-school programs) on how to safely and confidentially identify children and families experiencing domestic violence and properly refer them to programs that can provide direct services to the family and children, and coordination with other domestic violence or other programs serving children exposed to domestic violence, dating violence, sexual assault, or stalking that can provide the training and direct services referenced in this subsection.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The Director shall award grants--

(A) considering the needs of underserved populations;

(B) awarding not less than 10 percent of such amounts to Indian tribes for the funding of tribal projects from the amounts made available under this section for a fiscal year;

(C) awarding up to 8 percent for the funding of technical assistance programs from the amounts made available under this section for a fiscal year; and

(D) awarding not less than 66 percent to programs described in subsection (c)(1) of this section from the amounts made available under this section for a fiscal year. 100% of funds for discretionary grant purposes.

**Applicant Eligibility:**

To be eligible to receive a grant under this section, an entity shall be a--

(1) a victim service provider, tribal nonprofit organization or community-based organization that has a documented history of effective work concerning children or youth exposed to domestic violence, dating violence, sexual assault, or stalking, including programs that provide culturally specific services, Head Start, childcare, faith-based organizations, after school programs, and health and mental health providers; or

(2) a State, territorial, or tribal, or local unit of government agency that is partnered with an organization described in paragraph (1).

**Beneficiary Eligibility:**

To be eligible to receive a grant under this section, an entity shall be a--

(1) a victim service provider, tribal nonprofit organization or community-based organization that has a documented history of effective work concerning children or youth exposed to domestic violence, dating violence, sexual assault, or stalking, including programs that provide culturally specific services, Head Start, childcare, faith-based organizations, after school programs, and health and mental health providers; or

(2) a State, territorial, or tribal, or local unit of government agency that is partnered with an organization described in paragraph (1).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

An entity shall--

(1) prepare and submit to the Director an application at such time, in such manner, and containing such information as the Director may require; and

(2) at a minimum, describe in the application the policies and procedures that the entity has or will adopt to--

(A) enhance or ensure the safety and security of children who have been or are being exposed to violence and their nonabusing parent, enhance or ensure the safety and security of children and their nonabusing parent in homes already experiencing domestic violence, dating violence, sexual assault, or stalking; and

(B) ensure linguistically, culturally, and community relevant services for underserved communities.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

None.

**Renewals:**

Considered on a case-by-case basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

OVW will make grants under this program for a period of 2 years. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Semi-annual progress reports, quarterly financial reports, and a final report are required, as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. Progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 10 Not Available; FY 11 est \$7,610,160; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov>

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.300 LAW ENFORCEMENT ASSISTANCE\_FBI ADVANCED POLICE TRAINING**

(FBI Academy, Advanced Specialized Courses)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide advanced training to experienced personnel of local, county, State, and selected Federal law enforcement agencies, with special emphasis on developing each graduate as a capable manager or administrator for his own department. To afford specialized advanced training to the above personnel.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

The curriculum of the FBI National Academy program includes criminal law and investigations, behavioral science, forensic science, education, management, and health/fitness. The courses are continually adapted to meet the changing needs of law enforcement administration. Training is provided at the FBI Academy at Quantico, VA. Advanced specialized courses of instruction are provided on specific topics such as Firearms Administration, White-Collar and Computer-Related Crimes, Latent Fingerprint Examinations, Police Legal Issues, Hostage Negotiations, Executive Development, Advanced Training Technology, and Laboratory Matters, with conferences and seminars on topics such as Budgeting, Scientific Technical Analysis, Death Investigation,

Crime Prevention, Bombing and Arson Investigations, Violent Crimes Against the Elderly, and Sexual Exploitation of Children.

**Applicant Eligibility:**

Regular, full-time personnel of a criminal justice agency serving a municipality, county, local, or State, as well as some selected, qualified representative of Federal agencies having criminal justice responsibilities. Candidates must meet certain age, experience, education, physical, and character requirements.

**Beneficiary Eligibility:**

Regular, full-time personnel of a criminal justice agency serving a municipality, county, local or State, as well as some selected, qualified representative of Federal agencies having criminal justice responsibilities. Candidates must meet certain age, experience, education, physical, and character requirements.

**Credentials/Documentation:**

The applications of candidates for enrollment in the Academy must be approved and submitted by the head of their agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Formal application to nominate representative to attend the FBI Academy National program (FBI Form FD- 164) submitted by nominee's agency head, followed by an interview of qualified applicants at FBI field office level. Applications of those nominated by agency heads to attend the specialized course are submitted to local office of the FBI for processing.

**Award Procedure:**

By letter to applicant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

National Academy training period of 11 weeks. Specialized training varies with subject, from one to four weeks. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Training) FY 10 \$19,442,970; FY 11 est \$19,442,970; and FY 12 est \$19,442,970

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest FBI field office; see Catalog Appendix IV for a list of the addresses of FBI field offices.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

<http://www.fbi.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.301 LAW ENFORCEMENT ASSISTANCE\_FBI CRIME LABORATORY SUPPORT**

(FBI Laboratory)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide forensic services to the FBI and any other duly constituted law enforcement agency; and provide technical and forensic assistance through research, training, technology transfer and access to information and forensic databases.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES; TRAINING

**USES AND USE RESTRICTIONS:**

Submitted evidence is examined and the FBI Laboratory also furnishes the experts necessary to testify in connection with the results of these examinations. These examinations are made with the understanding that the evidence is connected with an official investigation of a criminal or terrorism matter and that the laboratory report will be used only for official purposes related to the investigation or a subsequent prosecution. The FBI Laboratory will not accept cases from other crime laboratories which have the capability of conducting the requested examinations. Additionally, specialized forensic training in many forensic disciplines is conducted. This training is provided to eligible applicants commensurate with available resources. Finally, through available resources, the FBI Laboratory provides new enhanced equipment and tools to State and forensic and law enforcement personnel.

**Applicant Eligibility:**

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

**Beneficiary Eligibility:**

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

**Credentials/Documentation:**

Formal request, normally written, from appropriate official of the requesting law enforcement agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Inquiries may be sent to the Director, Federal Bureau of Investigation, Washington, DC 20535. Attention: FBI Laboratory.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Advisory Services and Counseling) FY 10 \$36,684; FY 11 est \$17,294,891; and FY 12 est \$17,294,891

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. The FBI Laboratory is located at 2501 Investigation Parkway, Quantico, VA 20135. See Catalog Appendix IV for addresses and telephone numbers of FBI Field Offices. Persons are encouraged to communicate with the headquarters office noted below.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue  
Finance Division  
Room 6712, Washington, District of Columbia 20535 Email:  
michael.tyler@ic.fbi.gov Phone: 2023240495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.302 LAW ENFORCEMENT ASSISTANCE\_FBI FIELD POLICE**



**TRAINING**

(FBI Field Police Training)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To develop the professional skills of criminal justice personnel.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Courses available from FBI instructors range from basic recruit training to specialized instruction in such areas as fingerprinting, legal topics, police-community relations, hostage negotiation, white collar crime, organized crime, computer fraud, management techniques, investigative support, criminal investigative analysis, etc. FBI training assistance is available in complete programs of instruction or as supplemental courses to already existing local police training sessions.

**Applicant Eligibility:**

All authorized municipal, county, local, and State criminal justice personnel.

**Beneficiary Eligibility:**

All authorized municipal, county, local, and State criminal justice personnel.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact FBI Headquarters in Washington, DC or, preferably, the nearest FBI Field Office.

**Award Procedure:**

By letter to applicant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Training) FY 10 \$14,120,296; FY 11 est \$14,120,296; and FY 12 est \$14,120,296

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with their nearest FBI field office; see Catalog Appendix IV for a list of the addresses of FBI field offices.

**Headquarters Office:**

Michael Tyler, 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

<http://www.fbi.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.303 LAW ENFORCEMENT ASSISTANCE\_FBI FINGERPRINT IDENTIFICATION**

(FBI Criminal Justice Information Services Division)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide fingerprint and arrest-record services to U.S. Government and criminal justice agencies; and to provide arrest- record services to State and local governmental authorities, as well as certain authorized nongovernmental entities for employment and licensing purposes.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Criminal identification by means of fingerprints; determination of a person's past criminal history, if any; fingerprint identification of missing persons, unknown deceased persons, unknown living persons and victims of major disasters; and processing of physical evidence for latent finger and palm prints. Information must be used for official purposes only and is not furnished for public dissemination.

**Applicant Eligibility:**

All criminal justice agencies, Federal Government, and other authorized governmental and nongovernmental agencies and entities.

**Beneficiary Eligibility:**

All criminal justice agencies, Federal Government, and other authorized governmental and nongovernmental agencies and entities.

**Credentials/Documentation:**

Initial request for services must be from a statutorily authorized agency; request must be written on letterhead of agency and list address of agency and title of official signing request; it must indicate that information is to be used only for criminal investigative or other official purpose authorized by statute; and reply will be sent only to head of requesting organization. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Inquiries must be sent to the Assistant Director, Criminal Justice Information Services Division, Federal Bureau of Investigation, Department of Justice, 1000 Custer Hollow Road, Clarksburg, WV 26306.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Information) FY 10 \$207,501,542; FY 11 est \$187,042,182; and FY 12 est \$249,293,255

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The average number of daily searches was 132,064 per day. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses and telephone number of FBI field offices. Persons are encouraged to communicate with the headquarters office noted below.

**Headquarters Office:**

Michael Tyler, 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.304 LAW ENFORCEMENT ASSISTANCE\_NATIONAL CRIME INFORMATION CENTER**

(NCIC)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

The FBI National Crime Information Center (NCIC) is designed to complement the development of similar metropolitan and statewide criminal justice information systems and provide a computerized central index to documented files of local and State criminal justice agencies.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The FBI National Crime Information Center (NCIC) is a computerized index of crime and criminals of nationwide interest. Included are records concerning wanted persons, missing persons, unidentified persons, persons on supervised release, persons subject of a protection order, registered sexual offenders, persons violating immigration laws, persons associated with a violent gang or terrorist organization, and stolen property. Also provided is access to an index of criminal history records. The NCIC, located at the FBI's Criminal Justice Services Division in Clarksburg, WV, serves as a nucleus of a vast, high-speed criminal justice communications network which includes authorized local, State, and Federal criminal justice agencies throughout the United States, Canada, Puerto Rico, the U.S. Virgin Islands, Guam, and American Samoa. Through use of computer storage and retrieval, the NCIC is able to locate and transmit in seconds essential data for the efficient performance of criminal justice personnel. FBI personnel are available to assist States in operating their systems which are connected to the NCIC computer. Technical and other consultant services as well as training are provided at no expense to State agencies.

**Applicant Eligibility:**

Local, State, and Federal criminal justice agencies may participate through their individual control terminal agency.

**Beneficiary Eligibility:**

Local, State, and Federal criminal justice agencies may participate through their individual control terminal agency.

**Credentials/Documentation:**

Agencies accessing NCIC must be an authorized criminal justice agency or authorized entity. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Federal, State and local criminal justice agencies applying for access should contact their control terminal agency, or the Director, Federal Bureau of Investigation, 10th and Pennsylvania Ave., NW., Washington, DC 20535.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Information) FY 10 \$19,363,565; FY 11 est \$1,911,810; and FY 12 est \$4,356,883

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue

Finance Division

Room 6712, Washington, District of Columbia 20535 Email:

michael.tyler@ic.fbi.gov Phone: 2023240495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.305 LAW ENFORCEMENT ASSISTANCE\_UNIFORM CRIME REPORTS****FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To furnish data which will assist heads of law enforcement agencies in administration and operation of their departments. Further, to make information/data available to judges, penologists, sociologists, legislators, media, students, and others interested in crime and its social aspects.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

The FBI collects, analyzes, and publishes certain crime statistics which it

receives on a regular and voluntary basis from law enforcement agencies nationwide. These data are published annually in the publication, "Crime In The United States-Uniform Crime Reports," and are supplemented with preliminary annual and semiannual releases. The annual publication provides information on (1) crime trends; (2) offenses known to police; (3) age, sex, and race of persons arrested; (4) police disposition of juveniles arrested; (5) police employee; and (6) other information. Additionally, the FBI annually publishes statistics on Hate Crimes and Law Enforcement Officers Killed and Assaulted.

**Applicant Eligibility:**

All participating law enforcement agencies including State and local governments are furnished copies of the annual publication and preliminary annual and semiannual reports. Limited annual copies of statistics on Hate Crime and Law Enforcement Officers Killed and Assaulted, along with preliminary annual and semiannual reports are available to any interested individual who sends a request to the: Communications Unit, Criminal Justice Information Services Division, Federal Bureau of Investigation, Module D-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0154. The annual publication is available to the general public for purchase from the Superintendent of Documents, U.S. Government Printing Office, 710 North Capitol Street NW., Washington, DC 20401.

**Beneficiary Eligibility:**

All participating State and local law enforcement agencies are furnished copies of the annual publication and preliminary annual and semiannual reports. Limited copies of preliminary annual and semiannual reports are available to any interested individual who sends a request to the: Communications Unit, Criminal Justice Information Services Division, Federal Bureau of Investigation, Module D-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0154. The annual publication is available for sale from the Superintendent of Documents, U.S. Government Printing Office, 710 North Capitol Street, NW., Washington DC 20401.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Inquiries may be sent to the Communications Unit, Criminal Justice Information Services Division, Federal Bureau of Investigation, Module D-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0154.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Advisory Services and Counseling) FY 10 \$5,494,261; FY 11 est \$1,507,884; and FY 12 est \$1,550,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue  
Finance Division  
Room 6712, Washington, District of Columbia 20535 Email:  
michael.tyler@ic.fbi.gov Phone: 2023240495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.307 COMBINED DNA INDEX SYSTEM**

(CODIS)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To develop or improve forensic DNA analysis capabilities in State and local crime laboratories. The Combined DNA Index Systems (CODIS) allows State and local crime laboratories to store and match DNA records.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The CODIS program enables State and local laboratories to establish databases of convicted offenders, unsolved crime scenes, and missing persons. CODIS allows the forensic laboratories to exchange and compare DNA profiles electronically thereby linking serial violent crimes to each other and to identify suspects by matching DNA from crime scenes to convicted offenders.

**Applicant Eligibility:**

To receive CODIS software and technical assistance, participants must be publicly funded forensic laboratories performing DNA analysis, or private forensic laboratories performing DNA analysis under contract with crime laboratories.

**Beneficiary Eligibility:**

To be eligible for DNA grants, participants must be publicly funded State or local forensic laboratories performing DNA analysis.

**Credentials/Documentation:**

Formal written application from appropriate official of the requesting forensic laboratory to NIJ under the Forensic DNA Laboratory Improvement Program.

OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Formal written application from appropriate official of the requesting forensic laboratory to NIJ under the Forensic DNA Laboratory Improvement Program.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Project Grants) FY 10 \$12,560,192; FY 11 est \$19,443,611; and FY 12 est \$19,443,611

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: A 30-day turnaround time for processing and uploading samples. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Tyler, 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **16.309 LAW ENFORCEMENT ASSISTANCE NATIONAL INSTANT CRIMINAL BACKGROUND CHECK SYSTEM**

(NICS)

#### **FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

#### **AUTHORIZATION:**

None.

#### **OBJECTIVES:**

To provide a system so that any Federal Firearm Licensee (FFL) could receive an immediate determination by telephone or by other electronic means, on whether receipt of a firearm and/or explosive by a prospective buyer would violate Federal or State laws.

#### **TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

#### **USES AND USE RESTRICTIONS:**

The NICS Operations Center conducts NICS background checks by analyzing and evaluating criminal history records to determine whether the transfer of a firearm to an individual may violate State or Federal law. The staff at the Operations Center provides technical and operational support to users, provides customer service to FFLs and State Point of Contacts (POCs), processes appeals of denied transactions, and prepares management and statistical reports on the operation of the NICS.

#### **Applicant Eligibility:**

All persons purchasing firearms.

#### **Beneficiary Eligibility:**

The Federal Firearm Licensees and American public.

#### **Credentials/Documentation:**

Initial request for services must be from a licensed and enrolled FFL. For checks performed by the FBI, FFLs may contact the NICS Section by telephone via a toll-free number or, electronically by the NICS E-Check via the Internet. The FFLs will provide the required descriptive information requested on the Bureau of Alcohol, Tobacco, Firearms and Explosives Form 4473 and each background check is assigned a unique NICS Transaction Number. If a NICS background check results in no matching records, the transfer will be a proceed. If one or more matching records are found, a NICS Legal Instruments Examiner (Examiner) will review the record(s) to determine if the subject of the record may be identical with the prospective purchaser and to determine if the record contains state and/or federal firearm prohibitive criteria which may prohibit the transfer of the firearm. If it is determined that prohibitive criteria exists, the NICS Examiner will advise the FFL to deny the firearm transaction. If potentially prohibitive criteria exists and more information is required in order to make the determination, the NICS Examiner will advise the FFL to delay the firearm transaction. When a transaction is delayed, the NICS Examiner begins extensive research on the potential prohibitor. The NICS Examiner will contact local, state, and federal law enforcement agencies and courts to resolve questions about an individual who appears to be prohibited from purchasing or possessing a firearm, as well as to request clarification regarding information in a prior record or disposition. When the research is complete, the NICS Examiner calls the FFL and gives a decision on the firearm transaction. Individuals who are denied the purchase of a firearm will be advised by the FFL of the process for appealing the denial decision if he/she believes it is incorrect. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Initial request for services must be from a licensed and enrolled FFL. For checks performed by the FBI, FFLs may contact the NICS Operation Center by

telephone via a toll-free number or, in the future, electronically by NICS E-check via the Internet.

#### **Award Procedure:**

Not applicable.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

Three business days.

#### **Appeals:**

Persons denied the right to purchase a firearm may appeal the denial by writing to the NICS Program Office, Post Office Box 4278, Clarksburg, WV 26302-4278. Another option that is available is e-mailing the appeal to: nicsappeals@leo.gov .

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

#### **Reports:**

Not Applicable.

#### **Audits:**

Not Applicable.

#### **Records:**

None.

#### **Account Identification:**

15-0200-0-1-751.

#### **Obligations:**

(Information) FY 10 \$32,078,948; FY 11 est \$24,107,808; and FY 12 est \$23,103,972

#### **Range and Average of Financial Assistance:**

No Data Available.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 28, CFR, Part 25 National Instant Criminal Background Check System Regulation, Public Laws 103-159 Federal Regulations, NICS Brochure, Appeals Brochure, POC Manual and FFL Manual.

#### **Regional or Local Office:**

See Regional Agency Offices. NICS Program Office, Post Office Box 4278, Clarksburg, WV 26302-4278.

#### **Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

#### **Website Address:**

<http://www.fbi.gov> .

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **16.524 LEGAL ASSISTANCE FOR VICTIMS**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women Act of 2000, Section 1201, 42 U.S.C. 3796gg-6, as amended; Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 103, Public Law 109-162.

**OBJECTIVES:**

These grants are for increasing the availability of comprehensive and criminal legal services to victims of domestic violence, dating violence, sexual assault, and stalking in matters arising from the abuse or violence. The goal is to develop innovative, collaborative programs within the legal system that promote victim safety and increase victim economic autonomy.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Legal Assistance for Victims Grant Program provides an opportunity for communities to enhance legal assistance for victims. Funds may be used: (1) to implement, expand, and establish cooperative efforts and projects between domestic violence, dating violence, and sexual assault victim services organizations and legal assistance providers to provide legal assistance for victims of domestic violence, dating violence, stalking, and sexual assault; (2) to implement, expand, and establish efforts and projects to provide legal assistance for victims of domestic violence, dating violence, stalking, and sexual assault by organizations with a demonstrated history of providing direct legal or advocacy services on behalf of these victims; and (3) to provide training, technical assistance, and data collection to improve the capacity of grantees and other entities to offer legal assistance to victims of domestic violence, dating violence, stalking, and sexual assault.

**Applicant Eligibility:**

Eligible grantees for this program are private, nonprofit entities, Indian tribal governments and tribal organizations, territorial organizations, and publicly funded organizations not acting in their governmental capacity, such as law schools.

**Beneficiary Eligibility:**

Beneficiaries include public or private nonprofit entities providing legal assistance primarily to victims of domestic violence, sexual assault, and or stalking.

**Credentials/Documentation:**

Grantees must certify that any person providing legal assistance has completed or will complete training that was developed with a domestic violence, dating violence, stalking, or sexual assault coalition or program and that the grantee's policies do not require mediation or counseling of offenders and victims together. Grantees must also verify that any person or organization providing legal assistance has informed and will continue to inform State, local, or tribal domestic violence or sexual assault programs and coalitions and appropriate State, territorial, tribal, and local law enforcement of their work. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply online through the grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification

is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation grant awards are competitively selected and determined on a case-by-case basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$29,032,105; FY 10 est \$27,843,689; and FY 11 est \$27,843,689

**Range and Average of Financial Assistance:**

Range: \$176,000 - \$625,802

Average: \$442,408.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 302

Awards: 77. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OVW Financial Guide is applicable. Legal Assistance for Victims Grantee Policy Guidebook.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia  
20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and are included in an annual solicitation.

**16.525 GRANTS TO REDUCE DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, AND STALKING ON CAMPUS**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 304, Public Law 109-162, 42 U.S.C. 14045b.

**OBJECTIVES:**

To develop and strengthen effective security and investigation strategies to combat domestic violence, dating violence, sexual assault, and stalking on campuses, and to develop and strengthen victim services in cases involving such crimes against women on campuses, which may include partnerships with local criminal justice authorities and community-based victim services agencies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for one or more of the following statutory program purpose areas: (1) To provide personnel, training, technical assistance, data collection, and other equipment with respect to the increased apprehension, investigation, and adjudication of persons committing domestic violence, dating violence, sexual assault, and stalking on campus. (2) To develop and implement campus policies, protocols, and services that more effectively identify and respond to crimes of domestic violence, dating violence, sexual assault, and stalking, and to train campus administrators, campus security personnel, and personnel serving on campus disciplinary or judicial boards on such policies, protocols, and services. (3) To implement and operate education programs for the prevention of domestic violence, dating violence, sexual assault, and stalking. (4) To develop, enlarge, or strengthen victim services programs on the campuses of the institutions involved, including programs providing legal, medical, or psychological counseling, for victims of domestic violence, dating violence, sexual assault, and stalking, and to improve delivery of victim assistance on campus. To the extent practicable, such an institution shall collaborate with any entities carrying out nonprofit and other victim services programs, including domestic violence, dating violence, sexual assault, and stalking victim services programs in the community in which the institution is located. If appropriate victim services programs are not available in the community or are not accessible to students, the institution shall, to the extent practicable, provide a victim services program on campus or create a victim services program in collaboration with a community-based organization. The institution shall use not less than 20 percent of the funds made available through the grant for a victim services program provided in accordance with this paragraph. (5) To create, disseminate, or otherwise provide assistance and information about victims' options on and off campus to bring disciplinary or other legal action, including assistance to victims in immigration matters. (6) To develop, install, or expand data collection and communication systems, including computerized systems, linking campus security to the local law

enforcement for the purpose of identifying and tracking arrests, protection orders, violations of protection orders, prosecutions, and convictions with respect to the crimes of domestic violence, dating violence, sexual assault, and stalking on campus. (7) To provide capital improvements (including improved lighting and communications facilities but not including the construction of buildings) on campuses to address the crimes of domestic violence, dating violence, sexual assault, and stalking. (8) To support improved coordination among campus administrators, campus security personnel, and local law enforcement to reduce domestic violence, dating violence, sexual assault, and stalking on campus.

**Applicant Eligibility:**

Institutions of higher education as defined under the Higher Education Amendments of 1998 that are in compliance with the campus crime reporting requirements set forth in 20 U.S.C. 1092 (f) as amended by Public Law 105-244, 112 Stat. 1581, Sec. 486 (e) (1998). A consortia of institutions of higher education may also apply for these grants provided that each individual consortium member is also eligible to apply.

**Beneficiary Eligibility:**

Institutions of higher education.

**Credentials/Documentation:**

Applicants must certify that they are in compliance with the campus crime reporting requirements set forth in 20 U.S.C. 1092 (f) as amended by Public Law 105-244, 112 Stat. 1581, Section 486 (e) (1998) In addition, applicants must meet the following minimum requirements: (1) Collaborate with at least one nonprofit, nongovernmental victim services agency within the community and criminal justice or civil legal agencies (2) Create a coordinated community response to violence against women on campus (3) Establish a mandatory intervention and education campaign for all incoming students (4) Train campus police to respond effectively to domestic violence, dating violence, sexual assault, and stalking (5) Train members of campus disciplinary boards to respond effectively to charges of domestic violence, dating violence, sexual assault, and stalking. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule) must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, an electronic notification will be sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis and competitively selected.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Up to 3 years. Funds are released on an as needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete and accurate records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$8,366,575; FY 10 est \$5,995,561; and FY 11 est \$5,995,561

**Range and Average of Financial Assistance:**

Range: \$108,995 - \$449M975

Average: \$299,778.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 90

Awards: 20. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by Violence Against Women and Department of Justice Reauthorization Act of 2005 and published program guidelines.

**16.526 OVW TECHNICAL ASSISTANCE INITIATIVE**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Public Law 109-162, Section 3(a), 42 U.S.C. 13925(b)(11).

**OBJECTIVES:**

To provide communities with critical resources that help them forge partnerships across agencies and disciplines to respond effectively to violent crimes against women. OVW's Technical Assistance Program was created to provide grantees with the expertise and support they need to develop and implement successful local projects, increase victim safety, and bolster offender accountability. Grantees participate in educational initiatives, conferences, peer-to-peer consultations, and targeted assistance that allow them to learn from experts and one another about how to overcome obstacles and incorporate promising practices in their efforts to address violence against women. In addition, the Technical Assistance Program focuses on building the capacity of national criminal justice and victim advocacy organizations to effectively address violent crimes against women and examine issues of special interest to OVW and its constituents.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

OVW funds a constellation of technical assistance projects to support the activities of its grantees and to forge partnerships among organizations that have not traditionally worked together to address domestic violence, dating violence, sexual assault, or stalking. Grantees learn from national experts and each other how best to develop and implement locally responsive programs. OVW encourages applicants to the Technical Assistance Program to design educational initiatives that are interactive and experiential and that seek to change values and attitudes that have traditionally prevented victim advocates and criminal justice professionals from responding effectively to sexual assault, domestic violence, dating violence, and stalking. Applicants proposing education programs must detail the adult education methods they will use to promote new insight, knowledge, skills, and abilities in the individuals with whom they propose to work.

**Applicant Eligibility:**

Eligible applicants are organizations or individuals partnered with organizations.

**Beneficiary Eligibility:**

Beneficiaries are organizations or individuals partnered with organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-110 for Institutions of Higher Education, Hospitals and Other Nonprofit Organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule) must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line grants gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.



**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

No statutory rights of appeal.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as needed basis to the grantee.

Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. An additional quarterly financial report is required specifically for ARRA programs. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$48,840,973; FY 10 est \$7,914,370; and FY 11 est \$6,608,154

**Range and Average of Financial Assistance:**

Range: \$116,500 - \$1,359,327

Average: \$465,551.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 148

Awards: 100. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.524 Legal Assistance for Victims; 16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus; 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and are included in an annual solicitation.

**16.527 SUPERVISED VISITATION, SAFE HAVENS FOR CHILDREN**

(Supervised Visitation)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Victims of Trafficking and Violence Protection Act of 2000; Public Law 106-386, Section 1301, as amended; 42 U.S.C. 10420; Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 306, Public Law 109-162.

**OBJECTIVES:**

To provide an opportunity for communities to support supervised visitation and safe exchange of children, in situations involving domestic violence, dating violence, child abuse, sexual assault, or stalking.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are available for one or more of the following statutory purposes: (1) to provide supervised visitation and safe visitation exchange of children by and between parents in situations involving domestic violence, dating violence, child abuse, sexual assault, or stalking; (2) to protect children from the trauma of witnessing domestic or dating violence or experiencing abduction, injury, or death during parent and child visitation exchanges; (3) to protect parents or caretakers who are victims of domestic and dating violence from experiencing further violence, abuse, and threats during child visitation exchanges; and (4) to protect children from the trauma of experiencing sexual assault or other forms of physical assault or abuse during parent and child visitation and visitation exchanges.

**Applicant Eligibility:**

Eligible applicants are States, Indian tribal governments, and units of local government.

**Beneficiary Eligibility:**

Beneficiaries include public and private nonprofit entities that provide supervised visitation and safe exchange of children.

**Credentials/Documentation:**

Applicants must demonstrate expertise in the area of family violence, including the areas of domestic violence or sexual assault, as appropriate; ensure that any fees charged to individuals for use of programs and services are based on the income of those individuals, unless otherwise provided by court order; demonstrate that adequate security measures, including adequate facilities, procedures, and personnel capable of preventing violence, are in place for the operation of supervised visitation programs and services or safe visitation exchange; and prescribe standards by which the supervised visitation or safe visitation exchange will occur. In addition, all applicants are required to enter

into a collaborative working relationship with state or local courts and a nonprofit, nongovernmental victim services provider in the local community to be served, such as the State or tribal domestic violence coalition, State or tribal sexual assault coalition, local shelters, and programs for domestic violence and sexual assault victims. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Length of assistance is provided in an annual solicitation. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$8,267,909; FY 10 est \$11,280,847; and FY 11 est \$11,280,847

**Range and Average of Financial Assistance:**

Range: \$349,174 - \$650,000;

Average: \$482,887.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 73

Awards: 28. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.528 ENHANCED TRAINING AND SERVICES TO END VIOLENCE AND ABUSE OF WOMEN LATER IN LIFE**

(Elder Abuse, Neglect, and Exploitation)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Victims of Trafficking and Violence Protections Act of 2000; Public Law 106-386; 42 U.S.C. 14041a; Violence Against Women and Department of Justice Reauthorization Act of 2005, Public Law 109-162, section 205(a).

**OBJECTIVES:**

To provide training, services, and collaboration to address the needs of victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, and stalking, who are 50 years of age or older.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for the following statutory purposes: (1) training programs to assist law enforcement, prosecutors, governmental agencies, victim assistants, and relevant officers of Federal, State, tribal, territorial, and local courts in recognizing, addressing, investigating, and prosecuting instances of

elder abuse, neglect, and exploitation, including domestic violence, dating violence, and sexual assault, or stalking against victims who are 50 years of age or older; (2) providing or enhancing services for victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, or stalking, who are 50 years of age or older; (3) creating or supporting multidisciplinary collaborative community responses to victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, and stalking, who are 50 years of age or older; and (4) conducting cross-training for victim service organizations, governmental agencies, courts, law enforcement, and nonprofit, nongovernmental organizations serving victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, and stalking, who are 50 years of age or older.

**Applicant Eligibility:**

Eligible applicants include States, tribal governments, units of local government, and nonprofit, nongovernmental victim services organizations with demonstrated experience in assisting elderly women or demonstrated experience in addressing domestic violence, dating violence, sexual assault, and stalking.

**Beneficiary Eligibility:**

Beneficiaries include States, tribal governments, units of local government, and nonprofit, nongovernmental victim services organizations with demonstrated experience in assisting elderly women or demonstrated experience in addressing domestic violence, dating violence, sexual assault, and stalking.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-110 for Institutions of Higher Education, Hospitals and Other Nonprofit Organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants are notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind

services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Up to 36 months for new recipients; up to 24 months for continuation recipients. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. Cash reports are not applicable. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$3,098,598; FY 10 est \$3,364,628; and FY 11 est \$3,364,628

**Range and Average of Financial Assistance:**

Range: \$250,000 - \$400,00

Average: \$373,848.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 35

Awards: 9. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities ; 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included

in an annual solicitation.

## **16.529 EDUCATION, TRAINING, AND ENHANCED SERVICES TO END VIOLENCE AGAINST AND ABUSE OF WOMEN WITH DISABILITIES**

(Disability Grant Program)

### **FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

### **AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title II, Section 204, Public Law 109-162.; Victims of Trafficking and Violence Protections Act of 2000, Section 1402, 42 U.S.C. 3796gg-7), as amended;.

### **OBJECTIVES:**

To provide training, consultation, and information on domestic violence, dating violence, stalking, and sexual assault against individuals with disabilities (as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102)); and to enhance direct services to such individuals.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Grants awarded under this program shall be used for the following statutory program purposes: (1) to provide personnel, training, technical assistance, advocacy, intervention, risk reduction and prevention of domestic violence, dating violence, stalking, and sexual assault against disabled individuals; (2) to conduct outreach activities to ensure that disabled individuals who are victims of domestic violence, dating violence, stalking, or sexual assault receive appropriate assistance; (3) to conduct cross-training for victim service organizations, governmental agencies, courts, law enforcement, and nonprofit, nongovernmental organizations serving individuals with disabilities about risk reduction, intervention, prevention and the nature of domestic violence, dating violence, stalking, and sexual assault for disabled individuals; (4) to provide technical assistance to assist with modifications to existing policies, protocols, and procedures to ensure equal access to the services, programs, and activities of victim service organizations for disabled individuals; (5) to provide training and technical assistance on the requirements of shelters and victim services organizations under Federal antidiscrimination laws, including: (A) the Americans with Disabilities Act of 1990; and (B) section 504 of the Rehabilitation Act of 1973; (6) to modify facilities, purchase equipment, and provide personnel so that shelters and victim service organizations can accommodate the needs of disabled individuals; (7) to provide advocacy and intervention services for disabled individuals who are victims of domestic violence, dating violence, stalking, or sexual assault; or (8) to develop model programs providing advocacy and intervention services within organizations serving disabled individuals who are victims of domestic violence, dating violence, sexual assault, or stalking. (Grants for this purpose may only be awarded to an eligible agency as defined in section 410 of the Rehabilitation Act of 1973 (29 U.S.C. 796f-5)).

### **Applicant Eligibility:**

States, units of local government, Indian tribal governments or tribal organizations, and nonprofit, nongovernmental victim services organizations, such as state domestic violence or sexual assault coalitions or nonprofit, nongovernmental organizations serving disabled individuals. For profit organizations and individuals are not eligible.

### **Beneficiary Eligibility:**

Beneficiaries include victim service agencies who respond to crime victims who are individuals with disabilities.

### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for

coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line Grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

### **Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

### **Appeals:**

Not Applicable.

### **Renewals:**

Renewals are considered on a case-by-case basis.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

### **Length and Time Phasing of Assistance:**

Up to 3 years. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than 9 months after the end of the recipient's fiscal year.

### **Records:**

The award recipient must keep complete records on disposition of funds.

### **Account Identification:**

15-0409-0-1-754.

### **Obligations:**

(Project Grants) FY 09 \$5,919,309; FY 10 est \$5,776,495; and FY 11 est \$5,776,495

**Range and Average of Financial Assistance:**

Range: \$400,000 - \$1,499,531  
Average: \$557,650.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 81

Awards: 10. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.556 STATE DOMESTIC VIOLENCE AND SEXUAL ASSAULT COALITIONS**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act, Title I, Section 101, Public Law 109-162 and Section 3(b), Public Law 109-271; Violence Against Women and Department of Justice Reauthorization Act, Title I, Section 101, Public Law 109-162 and Section 3(b), Public Law 109-271, 42 U.S.C. 14043g; Omnibus Crime Control and Safe Streets Act of 1968, Sections 2001(c) and 2007(b)(2) and (3), 42 U.S.C. 3796gg and gg-1, as amended;.

**OBJECTIVES:**

To coordinate State victim services activities and collaborate and coordinate with Federal, State, and local entities engaged in violence against women activities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

To coordinate State victim services activities and collaborate and coordinate with Federal, State, and local entities engaged in violence against women activities.

**Applicant Eligibility:**

Each State domestic violence coalition as determined by the Secretary of Health and Human Services under the Family Violence Prevention and Services Act and each State sexual assault coalition as determined by the Center for Injury Prevention and Control at the Centers for Disease Control and Prevention under the Public Health Service Act.

**Beneficiary Eligibility:**

State domestic violence and sexual assault coalitions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The date that the application was sent to the SPOC or the reason such submission is not required must be included in the application. A copy of the application must also be submitted to the State office that administers the Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant Program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the Office of Justice Programs' Grants Management System (GMS). The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Applications are submitted on an annual basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Each eligible entity receives 1/12 of the funding available for this program (except that dual domestic violence and sexual assault coalitions receive 2 shares). Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Up to 12 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. An additional quarterly financial report is required specifically for ARRA programs. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single

audit conducted for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Formula Grants) FY 09 \$9,330,310; FY 10 est \$10,795,147; and FY 11 est \$10,795,147 - FY 2009:  
Recovery Act Obligations: \$8,515,625  
Obligations: \$9,330,310  
Total Obligation: \$17,845,935

**Budget FY 2010**

Recovery Act Estimate: \$8,600,781.25  
Budget: \$9,565,013.10  
Total: \$18,165,794.35.

**Range and Average of Financial Assistance:**

State DV Coalitions:  
Range: \$98,461 - \$98,461  
Average: \$98,461

State SA Coalitions:  
Range: \$93,879 - \$93,879  
Average: \$93,879.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Awards: 56.  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office of Violence Against Women and included in an annual solicitation.

**16.557 TRIBAL DOMESTIC VIOLENCE AND SEXUAL ASSAULT COALITIONS GRANT PROGRAM**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Sections 2001(d) and 2007(b)(4), 42 U.S.C. 3796gg and gg-1, as amended; Violence Against Women Act of 2000, Public Law 106-386; Violence Against Women and Department of Justice Reauthorization Act, Title 1, Section 101, Public Law 109-162 and 109-271, 42 U.S.C. 1403g, Section 101.

**OBJECTIVES:**

To increase awareness of domestic violence and sexual assault against American Indian and Alaska Native women; enhancing the response to violence against American Indian and Alaska Native women at the tribal, Federal, and State levels; identifying and providing technical assistance to coalition membership and tribal communities to enhance access to essential services to American Indian women victimized by domestic and sexual violence; and supporting the establishment, maintenance, and expansion of tribal sexual assault coalitions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for the following statutory program purpose areas: (A) increasing awareness of domestic violence and sexual assault against American Indian and Alaska Native women; (B) enhancing the response to violence against American Indian and Alaska Native women at the tribal, Federal, and State levels; and (C) identifying and providing technical assistance to coalition membership and tribal communities to enhance access to essential services to American Indian women victimized by domestic and sexual violence.

**Applicant Eligibility:**

Established nonprofit, nongovernmental tribal coalitions addressing domestic violence and sexual assault against American Indian and Alaska Native women; and individuals or organizations that propose to incorporate as nonprofit, nongovernmental tribal coalitions to address domestic violence and sexual assault against American Indian and Alaska Native women.

**Beneficiary Eligibility:**

Tribal sexual assault and domestic violence coalitions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line Grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified before the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Applications are submitted on an annual basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants

are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. An additional quarterly financial report is required specifically for ARRA programs. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$5,413,922; FY 10 est \$3,550,000; and FY 11 est \$3,550,000 - FY 2009

Recovery Act Obligations: \$2,657,922

Obligations: \$2,756,000

Total: \$5,413,922

Budget FY 2010

Recovery Act Obligations: \$3,123,750.00

Obligations: \$2,783,560.00

Total: \$5,907,310.

**Range and Average of Financial Assistance:**

Range: \$150,000 - \$450,000

Average: \$322,727.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 13

Awards: 11. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current

Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.587 VIOLENCE AGAINST WOMEN DISCRETIONARY GRANTS FOR INDIAN TRIBAL GOVERNMENTS**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IX, Section 906, Public Law 109-162, 42 U.S.C. 3796gg-10 and Section 3(b), Public Law 109-271, 42 U.S.C. 14043g.

**OBJECTIVES:**

To increase tribal capacity to respond to violent crimes against Indian women, and to develop and strengthen victim services in cases involving violent crimes against Indian women.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be awarded for the following statutory purposes: (1) develop and enhance effective governmental strategies to curtail violent crimes against and increase the safety of Indian women consistent with tribal law and custom; (2) increase tribal capacity to respond to domestic violence, dating violence, sexual assault, and stalking crimes against Indian women; (3) strengthen tribal justice interventions including tribal law enforcement, prosecution, courts, probation, correctional facilities; (4) enhance services to Indian women victimized by domestic violence, dating violence, sexual assault, and stalking; (5) work in cooperation with the community to develop education and prevention strategies directed toward issues of domestic violence, dating violence, and stalking programs and to address the needs of children exposed to domestic violence; (6) provide programs for supervised visitation and safe visitation exchange of children in situations involving domestic violence, sexual assault, or stalking committed by one parent against the other with appropriate security measures, policies, and procedures to protect the safety of victims and their children; (7) provide transitional housing for victims of domestic violence, dating violence, sexual assault, or stalking, including rental or utilities payments assistance and assistance with related expenses such as security deposits and other costs incidental to relocation to transitional housing, and support services to enable a victim of domestic violence, dating violence, sexual assault, or stalking to locate and secure permanent housing and integrate into a community; and (8) provide legal assistance necessary to provide effective aid to victims of domestic violence, dating violence, sexual assault, or stalking who are seeking relief in legal matters arising as a consequence of that abuse or violence, at minimal or no cost to the victims. Funds may also be used for tribal sexual assault victim services. Applicants must demonstrate their proposal was developed in consultation with a nonprofit, nongovernmental Indian victim services program, including sexual assault and domestic violence victim services providers in the tribal or local community, or a nonprofit tribal domestic violence and sexual assault coalition to the extent that they exist. In the absence of such a demonstration, the applicant may meet the requirement of this subsection through consultation with women in the community to be served.

**Applicant Eligibility:**

Indian tribal governments and authorized designees of tribal governments. The term "tribal government" means-- (A) the governing body of an Indian tribe; or (B) a tribe, band, pueblo, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation (as defined in, or established pursuant to, the Alaska Native Claims Settlement Act (43 U.S.C. 1601 et seq.)), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**Beneficiary Eligibility:**

Tribal governments and authorized designees of tribal governments.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule) must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line Grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified before the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

At least one year. Funds are released on an as needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. An additional quarterly financial report is required specifically for ARRA programs. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the

cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$34,050,222; FY 10 est \$33,441,324; and FY 11 est \$33,441,324

**Range and Average of Financial Assistance:**

Range - \$150,000 - \$900,000

Average - \$556,802.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications:74

Awards: 59. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Violence Against Women and Department of Justice Reauthorization Act of 2005 and program guidelines published annually.

**16.588 VIOLENCE AGAINST WOMEN FORMULA GRANTS**

STOP Violence Against Women Formula Grants

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To assist States, Indian tribal governments, tribal courts, State and local courts, and units of local government to develop and strengthen effective law enforcement and prosecution strategies to combat violent crimes against women, and develop and strengthen victim services in cases involving crimes against women. The Program encourages the development and implementation of effective, victim-centered law enforcement, prosecution, and court strategies to address violent crimes against women and the development and enhancement of victim services in cases involving violent crimes against women. For funds under the ARRA, the program also focuses on creating and retaining jobs and improving the economy.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for the following statutory program purpose areas: (1) training law enforcement officers, judges, other court personnel, and



prosecutors to more effectively identify and respond to violent crimes against women, including the crimes of sexual assault, domestic violence, and dating violence; (2) developing, training, or expanding units of law enforcement officers, judges, other court personnel, and prosecutors specifically targeting violent crimes against women, including the crimes of sexual assault and domestic violence; (3) developing and implementing more effective police, court, and prosecution policies, protocols, orders, and services specifically devoted to preventing, identifying, and responding to violent crimes against women, including the crimes of sexual assault and domestic violence; (4) developing, installing, or expanding data collection and communication systems, including computerized systems, linking police, prosecutors, and courts or for the purpose of identifying and tracking arrests, protection orders, violations of protection orders, prosecutions, and convictions for violent crimes against women, including the crimes of sexual assault and domestic violence; (5) developing, enlarging, or strengthening victim services programs, including sexual assault, domestic violence and dating violence programs, developing or improving delivery of victim services to underserved populations, providing specialized domestic violence court advocates in courts where a significant number of protection orders are granted, and increasing reporting and reducing attrition rates for cases involving violent crimes against women, including crimes of sexual assault and domestic violence; (6) developing, enlarging, or strengthening programs addressing stalking; (7) developing, enlarging, or strengthening programs addressing the needs and circumstances of Indian tribes in dealing with violent crimes against women, including the crimes of sexual assault and domestic violence; (8) supporting formal and informal statewide, multidisciplinary efforts, to the extent not supported by State funds, to coordinate the response of State law enforcement agencies, prosecutors, courts, victim services agencies, and other State agencies and departments, to violent crimes against women, including the crimes of sexual assault, domestic violence, and dating violence; (9) training of sexual assault forensic medical personnel examiners in the collection and preservation of evidence, analysis, prevention, and providing expert testimony and treatment of trauma related to sexual assault; (10) developing, enlarging, or strengthening programs to assist law enforcement, prosecutors, courts, and others to address the needs and circumstances of older and disabled women who are victims of domestic violence or sexual assault, including recognizing, investigating, and prosecuting instances of such violence or assault and targeting outreach and support, counseling, and other victim services to such older and disabled individuals; (11) providing assistance to victims of domestic violence and sexual assault in immigration matters; (12) maintaining core victim services and criminal justice initiatives, while supporting complementary new initiatives and emergency services for victims and their families; (13) supporting the placement of special victim assistants (to be known as "Jessica Gonzales Victim Assistants") in local law enforcement agencies to serve as liaisons between victims of domestic violence, dating violence, sexual assault, and stalking and personnel in local law enforcement agencies in order to improve the enforcement of protection orders. Jessica Gonzales Victim Assistants shall have expertise in domestic violence, dating violence, sexual assault, or stalking and may undertake the following activities-- (A) developing, in collaboration with prosecutors, courts, and victim service providers, standardized response policies for local law enforcement agencies, including triage protocols to ensure that dangerous or potentially lethal cases are identified and prioritized; (B) notifying persons seeking enforcement of protection orders as to what responses will be provided by the relevant law enforcement agency; (C) referring persons seeking enforcement of protection orders to supplementary services (such as emergency shelter programs, hotlines, or legal assistance services); and (D) taking other appropriate action to assist or secure the safety of the person seeking enforcement of a protection order; and (14) to provide funding to law enforcement agencies, nonprofit nongovernmental victim services providers, and State, tribal, territorial, and local governments, (which funding stream shall be known as the Crystal Judson Domestic Violence Protocol Program) to promote-- (A) the development and implementation of training for local victim domestic violence service providers, and to fund victim services personnel, to be known as "Crystal Judson Victim Advocates," to provide supportive services and advocacy for victims of domestic violence committed by law enforcement personnel; (B) the implementation of protocols within law enforcement agencies to ensure consistent and effective responses to the commission of domestic violence by personnel within such agencies (such as the model policy promulgated by the International Association of Chiefs of Police ("Domestic

Violence by Police Officers: A Policy of the IACP, Police Response to Violence Against Women Project" July 2003)); (C) the development of such protocols in collaboration with State, tribal, territorial and local victim service providers and domestic violence coalitions. States must allocate a minimum of 25 percent of each year's grant award to each of the following areas: prosecution and law enforcement. In addition, States must allocate a minimum of 30 percent to victim services, a minimum of 5 percent to courts. Within the 30 percent for victim services, states must allocate 10 percent for culturally-specific community-based organizations. The remainder of the funds may be spent at the discretion of the state within the statutory purpose areas.

**Applicant Eligibility:**

All States, Puerto Rico, Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, and the District of Columbia, are eligible.

**Beneficiary Eligibility:**

State and local units of government, nonprofit nongovernmental victim services programs, state, local, and tribal courts, and Indian tribal governments.

**Credentials/Documentation:**

Grantees under this program are subject to 4 certification requirements: (1) A State, Indian tribal government, or unit of local government shall not be entitled to funds under this program unless the State, Indian tribal government, or another governmental entity incurs the full out-of-pocket cost of forensic medical examinations for victims of sexual assault. A State or Indian tribal government may use Federal grant funds under this part to pay for forensic medical exams performed by trained examiners for victims of sexual assault, except that such funds may not be used to pay for forensic medical exams by any State, Indian tribal government, or territorial government that requires victims of sexual assault to seek reimbursement for such exams from their insurance carriers. Nothing in this section shall be construed to permit a State, Indian tribal government, or territorial government to require a victim of sexual assault to participate in the criminal justice system or cooperate with law enforcement in order to be provided with a forensic medical exam, reimbursement for charges incurred on account of such an exam, or both. (2) a State shall not be entitled to funds under this program unless it certifies that its laws, policies, and practices do not require, in connection with the prosecution of any misdemeanor or felony domestic violence offense, or in connection with the filing, issuance, registration, or service of a protection order, or a petition for a protection order, to protect a victim of domestic violence, stalking, or sexual assault, that the victim bear the costs associated with the filing of criminal charges against the offender, or the costs associated with the filing, issuance, registration, or service of a warrant, protection order, petition for a protection order, or witness subpoena, whether issued inside or outside the State, tribal or local jurisdiction (3) States must certify that that their judicial administrative policies and practices include notification to domestic violence offenders of the requirements delineated in section 922(g)(8) and (g)(9) of title 18, United States Code, and any applicable related Federal, State, or local laws; or give the Attorney General assurances that their judicial administrative policies and practices will be in compliance with this requirement within the later of the period ending on the date on which the next session of the State legislature ends or January 5, 2008. (4) In order to be eligible for grants under this part, a State, Indian tribal government, territorial government, or unit of local government shall certify that, not later than January 5, 2009,, their laws, policies, or practices will ensure that no law enforcement officer, prosecuting officer or other government official shall ask or require an adult, youth, or child victim of an alleged sex offense as defined under Federal, tribal, State, territorial, or local law to submit to a polygraph examination or other truth telling device as a condition for proceeding with the investigation of such an offense. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applicants must apply through the Office of Justice Programs' online Grants Management System (GMS). The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. 120 days after receipt of an application.

**Appeals:**

Contact the Office on Violence Against Women for further information.

**Renewals:**

Applications are submitted on an annual basis.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 25%. Each eligible entity receives a base amount of \$600,000. Remaining funds are divided in an amount that bears the same ratio to the amount of remaining funds as the population of the State bears to the population of all of the States that results from a distribution among the States on the basis of each State's population in relation to the population of all States (not including populations of Indian tribes). The Federal share of these grants may not exceed 75 percent of the total costs of the projects described in the applications. States may satisfy this 25 percent match through in-kind services. All funds designated as match are restricted to the same uses as the Office on Violence Against Women funds and must be expended within the grant period. States and subgrantees may apply for a waiver of the match requirement based on an adequate demonstration of financial need. Match may not be required in subgrants for victim services or tribes.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds can be accessed by the State via the Phone Activated Paperless System (PAPRS) on an as needed basis. The State in turn subgrants the money to eligible public and/or private nonprofit programs via drawdowns. See the following for information on how assistance is awarded/released: Funds can be accessed by the State via the Phone Activated Paperless System (PAPERS) on an as needed basis. The State in turn subgrants the money to eligible public and/or private programs via drawdowns.

**Reports:**

Quarterly and final financial reports plus annual and end-of-grant program performance reports will be required, as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. In the progress reports, States must provide a statistical summary of persons served, detailing the nature of victimization and providing data on age, sex, relationship of victim to offender, geographic distribution, race, ethnicity, disability, and the number of persons served in any underserved population. The reports must also explain the activities carried out and provide an assessment of the effectiveness of those activities, including the number of persons served and the numbers of persons seeking services who could not be served. States are responsible for submitting State reports and ensuring that subgrantees submit annual progress reports as well. Grantees receiving funding under the ARRA are also required to submit quarterly financial and programmatic reports. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete and accurate records on the disposition of funds. ARRA funding must be kept separate from other funding sources.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Salaries) FY 09 \$244,772,437; FY 10 est \$135,363,037; and FY 11 est \$135,363,037 - FY 2009

Recovery Act Obligations: \$121,071,569

Obligations: \$123,700,868

Total: \$244,772,437

Budget FY 2010

Recovery Act Estimate: \$175,000,000.00

Estimate: \$142,990,936.00

Total: \$317,990,936.00.

**Range and Average of Financial Assistance:**

Range: \$616,994 - \$12,654,241

Average: \$2,417,197.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Awards: 56.

Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp 800 K Street, NW Suite 850, Washington, District of Columbia

20001 Email: joshua.kamp@usdoj.gov Phone: 2023532639

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current

Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applications submitted by the Chief Executive Officer of a State, or his or her designee, will be accepted by the grantor Federal Agency for consideration.

**16.589 RURAL DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, AND STALKING ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act, Title II, Section 203, Public Law 109-162.; Violent Crime Control and Law Enforcement Act of 1994, Section 40295, 42 U.S.C. 13971, as amended;.

Violence Against Women Act of 2000, Public Law 106-386;.

**OBJECTIVES:**

(1) To identify, assess, and appropriately respond to child, youth, and adult victims of domestic violence, sexual assault, dating violence, and stalking in rural communities, by encouraging collaboration among-- (A) domestic violence, dating violence, sexual assault, and stalking victim service providers; (B) law enforcement agencies; (C) prosecutors; (D) courts; (E) other criminal justice service providers; (F) human and community service providers; (G) educational institutions; and (H) health care providers; (2) to establish and expand nonprofit, nongovernmental, State, tribal, territorial, and local government victim services in rural communities to child, youth, and adult victims; and (3) to increase the safety and well-being of women and children in rural communities, by- (A) dealing directly and immediately with domestic violence, sexual assault, dating violence, and stalking occurring in rural communities; and (B) creating and implementing strategies to increase awareness and prevent domestic violence, sexual assault, dating violence, and stalking.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding may be used to carry out programs serving rural areas or rural communities that address domestic violence, dating violence, sexual assault, and stalking by implementing, expanding, and establishing cooperative efforts and projects among law enforcement officers, prosecutors, victim advocacy groups, and other related parties to investigate and prosecute incidents of domestic violence, dating violence, sexual assault, and stalking; providing treatment, counseling, advocacy, and other long- and short-term assistance to adult and minor victims of domestic violence, dating violence, sexual assault, and stalking in rural communities, including assistance in immigration matters; and working in cooperation with the community to develop education and prevention strategies directed toward such issues.

**Applicant Eligibility:**

States, Indian tribes, local governments, and nonprofit, public or private entities, including tribal nonprofit organizations, are eligible to carry out programs serving rural areas or rural communities that address domestic violence, dating violence, sexual assault, and stalking.

**Beneficiary Eligibility:**

Beneficiaries include criminal and tribal justice practitioners and service providers who respond to victims of domestic violence, dating violence, sexual assault, and stalking in rural jurisdictions and Indian country.

**Credentials/Documentation:**

Applicants must provide documentation as specific in the Application Kit that the project will be limited to rural areas. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the online Grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

Applicants must provide documentation as specified in the solicitation that the project will be limited to rural areas.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified before the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$32,924,979; FY 10 est \$27,575,174; and FY 11 est \$27,575,174

**Range and Average of Financial Assistance:**

Range: \$89,671 - \$900,00

Average: \$430,701.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 226

Awards: 63. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia  
20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.590 GRANTS TO ENCOURAGE ARREST POLICIES AND ENFORCEMENT OF PROTECTION ORDERS PROGRAM**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women Act of 2000, Public Law 106-386; Violent Crime Control and Law Enforcement Act of 1994, 42 U.S.C. 3796hh, as amended; Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 102, Public Law 109-162.

**OBJECTIVES:**

To encourage States, Indian tribal governments, State and local courts (including juvenile courts), tribal courts, and units of local government to treat domestic violence, dating violence, sexual assault, and stalking as serious violations of criminal law.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for the following statutory program purposes: (1) To implement proarrest programs and policies in police departments, including policies for protection order violations. (2) To develop policies, educational programs, protection order registries, and training in police departments to improve tracking of cases involving domestic violence, dating violence, sexual assault, and stalking. Policies, educational programs, protection order registries, and training described in this paragraph shall incorporate confidentiality, and privacy protections for victims of domestic violence, dating violence, sexual assault, and stalking. (3) To centralize and coordinate police enforcement, prosecution, or judicial responsibility for domestic violence, dating violence, sexual assault, and stalking cases in teams or units of police officers, prosecutors, parole and probation officers, or judges. (4) To coordinate computer tracking systems to ensure communication between police, prosecutors, parole and probation officers, and both criminal and family courts. (5) To strengthen legal advocacy service programs for victims of domestic violence, dating violence, sexual assault, and stalking, including strengthening assistance to such victims in immigration matters. (6) To educate judges in criminal and civil courts (including juvenile courts) about domestic violence, dating violence, sexual assault, and stalking and to improve judicial handling of such cases. (7) To provide technical assistance and computer and other equipment to police departments, prosecutors, courts, and tribal jurisdictions to facilitate the widespread enforcement of protection orders, including interstate enforcement, enforcement between States and tribal jurisdictions, and enforcement between tribal jurisdictions. (8) To develop or strengthen policies and training for police, prosecutors, and the judiciary in recognizing, investigating, and prosecuting instances of domestic violence and sexual assault against older individuals (as defined in section 3002 of this title) and individuals with disabilities (as defined in section 12102(2) of this title). (9) To develop State, tribal, territorial, or local policies, procedures, and protocols for preventing dual arrests and prosecutions in cases of domestic violence, dating violence, sexual assault, and stalking, and to develop effective methods for identifying the pattern and history of abuse that indicates which party is the

actual perpetrator of abuse. (10) To plan, develop and establish comprehensive victim service and support centers, such as family justice centers, designed to bring together victim advocates from non-profit, non-governmental victim services organizations, law enforcement officers, prosecutors, probation officers, governmental victim assistants, forensic medical professionals, civil legal attorneys, chaplains, legal advocates, representatives from community-based organizations and other relevant public or private agencies or organizations into one centralized location, in order to improve safety, access to services, and confidentiality for victims and families. Although funds may be used to support the colocation of project partners under this paragraph, funds may not support construction or major renovation expenses or activities that fall outside of the scope of the other statutory purpose areas. (11) To develop and implement policies and training for police, prosecutors, probation and parole officers, and the judiciary in recognizing, investigating, and prosecuting instances of sexual assault, with an emphasis on recognizing the threat to the community for repeat crime perpetration by such individuals. (12) To develop, enhance, and maintain protection order registries. (13) To develop human immunodeficiency virus (HIV) testing programs for sexual assault perpetrators and notification and counseling protocols.

**Applicant Eligibility:**

Grants are available to States, Indian tribal governments, units of local government, and State, tribal, territorial, and local courts.

**Beneficiary Eligibility:**

Beneficiaries include criminal and tribal justice practitioners, domestic violence, dating violence, sexual assault and stalking victim advocates, and other service providers who respond to victims of domestic violence, dating violence, sexual assault, and stalking.

**Credentials/Documentation:**

Eligible applicants must: (1) certify that their laws or official policies-- (A) encourage or mandate arrests of domestic violence offenders based on probable cause that an offense has been committed; and (B) encourage or mandate arrest of domestic violence offenders who violate the terms of a valid and outstanding protection order; (2) demonstrate that their laws, policies, or practices and their training programs discourage dual arrests of offender and victim; (3) certify that their laws, policies, or practices prohibit issuance of mutual restraining orders of protection except in cases where both spouses file a claim and the court makes detailed findings of fact indicating that both spouses acted primarily as aggressors and that neither spouse acted primarily in self-defense; (4) certify that their laws, policies, and practices do not require, in connection with the prosecution of any misdemeanor or felony domestic violence offense, or in connection with the filing, issuance, registration, or service of a protection order, or a petition for a protection order, to protect a victim of domestic violence, stalking, or sexual assault, that the victim bear the costs associated with the filing of criminal charges against the offender, or the costs associated with the filing, issuance, registration, or service of a warrant, protection order, petition for a protection order, or witness subpoena, whether issued inside or outside the State, tribal, or local jurisdiction; and (5) certify that, not later than 3 years after January, 5, 2006, their laws, policies, or practices will ensure that-- (A) no law enforcement officer, prosecuting officer or other government official shall ask or require an adult, youth, or child victim of a sex offense as defined under Federal, tribal, State, territorial, or local law to submit to a polygraph examination or other truth telling device as a condition for proceeding with the investigation of such an offense; and (B) the refusal of a victim to submit to an examination described in subparagraph (A) shall not prevent the investigation of the offense. In addition, a State or unit of local government shall not be entitled to 5 percent of the funds allocated under this program unless the State or unit of local government-- (1) certifies that it has a law or regulation that requires-- (A) the State or unit of local government at the request of a victim to administer to a defendant, against whom an information or indictment is presented for a crime in which by force or threat of force the perpetrator compels the victim to engage in sexual activity, testing for the immunodeficiency virus (HIV) not later than 48 hours after the date on which the information or indictment is presented; (B) as soon as practicable notification to the victim, or parent and guardian of the victim, and defendant of the testing results; and (C) follow-up tests for HIV as may be medically appropriate, and that as soon as practicable after each such test the results be made available in accordance with subparagraph (B); or (2) gives the Attorney

General assurances that its laws and regulations will be in compliance with requirements of paragraph (1) within the later of -- (A) the period ending on the date on which the next session of the State legislature ends; or (B) 2 years. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the processes the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Up to 24 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 est \$44,567,748; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Range: \$173,643 - \$1,000,000

Average: \$452,326.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 162

Awards: 85. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.601 CORRECTIONS TRAINING AND STAFF DEVELOPMENT**

**FEDERAL AGENCY:**

Bureau of Prisons, Department of Justice

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 1974, as amended; Public Law 93-415, 18 U.S.C 4351-4353.

**OBJECTIVES:**

To devise and conduct in various geographical locations, seminars, workshops, and training programs for law enforcement officers, judges and judicial personnel, probation and parole personnel, correctional personnel, welfare workers and other personnel, including lay ex-offenders and paraprofessionals, connected with the treatment and rehabilitation of criminal and juvenile offenders. To develop technical training teams to aid in the development of seminars, workshops, and training programs within the several States and with the State and local agencies which work with prisoners, parolees, probationers, and other offenders.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING

**USES AND USE RESTRICTIONS:**

Provides assistance for upgrading the operation of correctional programs at State and local levels. Services are available to the entire range of correctional agencies, including probation, parole, institutions, jails, and community programs.

**Applicant Eligibility:**

States, general units of local government, as well as public and private agencies, educational institutions, organizations, and individuals involved in the development, implementation or operation of correctional programs and services.

**Beneficiary Eligibility:**

States, general units of local government involved in the development, implementation or operation of correctional programs and services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; OMB Circular No. A-21 cost principles for educational institutions; and OMB Circular No. A-122 cost principles for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For cooperative agreements, applicant submits proposal on Standard Form 424 - Federal Assistance. This program is subject to the provisions of OMB Circular Nos. A-102, A-110, A-133, and A-128. Environmental assessment is required for federally funded projects that are a major Federal action significantly affecting the human environment as defined in the National Environmental Policy Act of 1969.

**Award Procedure:**

A formal application (Standard Form 424-Federal Assistance) is submitted to NIC. When it is determined that the project will be funded, a letter and award package are sent to the award recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Appeals may be made to the Director of NIC.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds advanced as required. Funds must be spent 90 days after ending date of the agreement. See the following for information on how assistance is awarded/released: Per SF-270, Request for Advance/ Reimbursement and payments are made through ACH to awardee's bank account.

**Reports:**

Must be submitted 30 days after each fiscal year's quarter. No cash reports are required. Must be submitted 30 days after each fiscal year's quarter. Must be submitted 30 days after each fiscal year's quarter. Every fiscal year's quarter and used to determine if awardee's request for advance/reimbursement is approved based on their performance.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Full fiscal and program audits at close of cooperative agreement and on-site inspections as needed throughout the project.

**Records:**

Cooperative agreement recipients must keep complete records on receipt and disposition of federal funds for at least 3 years after the submission of the final financial report.

**Account Identification:**

15-1060-0-1-754.

**Obligations:**

(Training) FY 10 \$6,097,779; FY 11 est \$6,150,000; and FY 12 est \$6,200,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. For training information, contact Chief, NIC Academy Division, 11900 E. Cornell Avenue, Unit C, Aurora, CO 80014. Telephone: (303) 338-6600. Toll-Free: (800) 995-6429. Fax: (303) 338-6601. NOTE: All applications are to be sent to the NIC Washington office.

**Headquarters Office:**

Harry Fenstermaker 500 1st Street NW  
, Washington, District of Columbia 20534 Email: hfenstermaker@bop.gov  
Phone: 2023076687

**Website Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.602 CORRECTIONS RESEARCH AND EVALUATION AND POLICY FORMULATION****FEDERAL AGENCY:**

Bureau of Prisons, Department of Justice

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 1974, as amended; Public Law 93-415, 18 U.S.C. 4351-4353.

**OBJECTIVES:**

To conduct, encourage, and coordinate research relating to corrections including the causes, prevention, diagnosis, and treatment of criminal offenders. To conduct evaluation programs which study the effectiveness of new approaches, techniques, systems, programs, and devices employed to improve the corrections system.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Provides assistance for upgrading correctional programs, services, and techniques at State and local levels. Services are available to the entire range of correctional agencies, including probation, parole, institutions, jails, and community programs.

**Applicant Eligibility:**

States, general units of local government, public and private agencies, educational institutions, organizations and individuals involved in the development, implementation or operation of correctional programs and services.

**Beneficiary Eligibility:**

States, general units of local government involved in the development, implementation or operation of correctional programs and services.

**Credentials/Documentation:**

OMB Circular No. A-87 cost principles applicable to grants with State and local governments; OMB Circular No. A-21 cost principles for educational

institutions; and OMB Circular No. A-122 cost principles for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For project grants, applicant submits proposal on Standard Form 424 - Federal Assistance. This program is subject to the provisions of OMB Circular Nos. A-102, and A-110, A-128, and A-133. Environmental assessment is required for federally funded projects that are a major Federal action significantly affecting the human environment as defined in the National Environmental Policy Act of 1969. This program is excluded from coverage under E.O. 12372.

**Award Procedure:**

A formal application (Standard Form 424 - Federal Assistance) is submitted to NIC. When it is determined that the project will be funded, a letter and award package are sent to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Appeals may be made to the Director of NIC.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds advanced as required. See the following for information on how assistance is awarded/released: SF-270 Request for Advance/Reimbursement. Payments are processed thru ACH to awardee's bank account.

**Reports:**

Are due 30 after each fiscal year's quarter. Cash reports are not applicable. Are due 30 after each fiscal year's quarter. Are due 30 after each fiscal year's quarter. Also before funds are approved for payment by program staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Full fiscal and program audits at close of grant and on-site inspections as needed throughout the project period.

**Records:**

Grantee must keep complete records on receipt and disposition of federal funds for at least 3 years after the submission of the final financial report.

**Account Identification:**

15-1060-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,547,450; FY 11 est \$1,250,000; and FY 12 est \$1,100,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal year 2010 funds were largely directed to the design and implementation of classification systems at the State and local levels; projects in probation parole and intermediate sanctions; mental health care, Prison Rape Elimination Act (PREA), accelerated management, training, and staff recruitment/retention in prisons; and jail services and programs. Fiscal Year 2011: Currently during Fiscal year 2011 funds are largely directed to the design and implementation of classification systems at the State and local levels; projects in probation parole and intermediate sanctions; mental health care, Prison Rape Elimination Act (PREA), accelerated management, training, and staff recruitment/retention in prisons; and jail services and programs. Fiscal Year 2012: Projecting in Fiscal year 2012 funds are going to largely be directed to the design and implementation of classification systems at the State and local levels; projects in probation parole and intermediate sanctions; mental health care, Prison Rape Elimination Act (PREA), accelerated management, training, and staff recruitment/retention in prisons; and jail services and programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Contact Chief, Research and Evaluation Division, 320 First Street NW Room 5002, Washington, DC 20534. Telephone: (202) 307-2598. Toll-free: 800-995-6423. FAX: 303-307-3361. NOTE: All applications are to be sent to the NIC Washington office.

**Headquarters Office:**

Harry Fenstermaker 500 1st Street NW  
, Washington, District of Columbia 20534 Email: hfenstermaker@bop.gov  
Phone: 2023076687

**Website Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.603 CORRECTIONS TECHNICAL ASSISTANCE/CLEARINGHOUSE**

**FEDERAL AGENCY:**

Bureau of Prisons, Department of Justice

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 1974, Public Law 93-415, 18 U.S.C. 4351-4353, as amended.

**OBJECTIVES:**

To encourage and assist Federal, State, and local government programs and services, and programs and services of other public and private agencies, institutions, and organizations in their efforts to develop and implement improved corrections programs. To assist and serve in a consulting capacity to Federal, State, and local courts, departments, and agencies in the development, maintenance, and coordination of programs, facilities, services, training, treatment, and rehabilitation with respect to criminal and juvenile offenders.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Provides assistance for upgrading and operation of correctional facilities, programs, and services at State and local levels. Services are available to the entire range of correctional agencies, including probation, parole, institutions, jails, and community programs.

**Applicant Eligibility:**

States, general units of local government, public and private agencies, educational institutions, organizations, and individuals involved in the development, implementation or operation of correctional programs and

services.

**Beneficiary Eligibility:**

States, general units of local government involved in the development, implementation or operation of correctional programs and services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; OMB Circular No. A-21 cost principles for educational institutions; and OMB Circular No. A-122 cost principles for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For project grants, applicant submits proposal on Standard Form 424 - Federal Assistance. Applications under this program are subject to State Level Review under E.O. 12372 "Intergovernmental Review of Federal programs" which provides for a 30 or 60 day review of proposed Federal action and transmittal of comments through a Single State Point of Contact. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is subject to the provisions of OMB Circular Nos. A-102, A-110, A-133. Environmental assessment is required for federally funded projects that are a major Federal action significantly affecting the human environment as defined in the National Environmental Policy Act of 1969.

**Award Procedure:**

A formal application (Standards Form 424 - Federal Assistance) is submitted to NIC. When it is determined that the project will be funded, a letter and award package are sent to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Appeals may be made to the Director of NIC.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds advanced as required. See the following for information on how assistance is awarded/released: SF-270 Request for Advance/Reimbursement. Payments are processed thru ACH to awardee's bank account.

**Reports:**

30 days after each fiscal year's quarter. Cash reports are not applicable. 30 days after each fiscal year's quarter. 30 days after each fiscal year's quarter. 30 days after each fiscal year's quarter. Approval by project manager before payments are processed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Full fiscal and program audits at

close of grant and on-site inspections as needed throughout the grant.

**Records:**

Grantee must keep complete records on receipt and disposition of federal funds for at least 3 years after the submission of the final financial report.

**Account Identification:**

15-1060-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 10 \$3,342,755; FY 11 est \$3,215,000; and FY 12 est \$3,100,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: During fiscal year 2010, technical assistance was provided in response to 246 requests from State and local correctional agencies in 50 States and the District of Columbia. NIC (Cooperative Agreements and Contracts) are available also to enable correctional agencies to engage technical assistance directly. Fiscal Year 2011: Currently during fiscal year 2011, technical assistance has been provided in response to 211 requests from State and local correctional agencies in 50 States and the District of Columbia. NIC (Cooperative Agreements and Contracts) are available also to enable correctional agencies to engage technical assistance directly. Fiscal Year 2012: Projecting for fiscal year 2012, technical assistance request will be provided in response to 250 requests from State and local correctional agencies in 50 States and the District of Columbia. NIC (Cooperative Agreements and Contracts) are available also to enable correctional agencies to engage technical assistance directly.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. For information, contact NIC at, 320 First Street NW Room 5002, Washington DC 20534. Telephone: (202)307-3106 Toll-Free (800) 995-6423 FAX: (202)-307-3361. For technical assistance related to staff training, contact Chief NIC Academy Division, 11900 E. Cornell Avenue, Unit C, Aurora, CO 80014. Telephone: (303) 338-6600. Toll-free: (800)995-6429. FAX: (303) 338-6601. NOTE: All applications are to be sent to the NIC Washington office.

**Headquarters Office:**

Harry Fenstermaker 500 1st Street NW  
, Washington, District of Columbia 20534 Email: hfenstermaker@bop.gov  
Phone: 2023076687

**Website Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.684 SUPPORTING TEENS THROUGH EDUCATION AND PROTECTION ACT OF 2005 (STEP ACT)**

Supporting Teens through Education and Protection Act of 2005 (STEP Act)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 303, Public Law 109-162, 42 U.S.C 104043c-3.

**OBJECTIVES:**

To enable middle and high schools:

(1) to provide training to school administrators, faculty, counselors, coaches, healthcare providers, security personnel, and other staff on the needs and concerns of students who experience domestic violence, dating violence, sexual



assault, or stalking, and the impact of such violence on students; (2) to develop and implement policies in middle and high schools regarding appropriate, safe responses to, and identification and referral procedures for, students who are experiencing or perpetrating domestic violence, dating violence, sexual assault, or stalking, including procedures for handling the requirements of court protective orders issued to or against students or school personnel, in a manner that ensures the safety of the victim and holds the perpetrator accountable; (3) to provide support services for students and school personnel, such as a resource person who is either on-site or on-call, and who meets certain statutory expertise requirements, for the purpose of developing and strengthening effective prevention and intervention strategies for students and school personnel experiencing domestic violence, dating violence, sexual assault or stalking; (4) to provide developmentally appropriate educational programming to students regarding domestic violence, dating violence, sexual assault, and stalking, and the impact of experiencing domestic violence, dating violence, sexual assault, and stalking on children and youth by adapting existing curricula activities to the relevant student population; (5) to work with existing mentoring programs and develop strong mentoring programs for students, including student athletes, to help them understand and recognize violence and violent behavior, how to prevent it and how to appropriately address their feelings; and (6) to conduct evaluations to assess the impact of programs and policies assisted under this grant program in order to enhance the development of the programs.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

(1) to provide training to school administrators, faculty, counselors, coaches, healthcare providers, security personnel, and other staff on the needs and concerns of students who experience domestic violence, dating violence, sexual assault, or stalking, and the impact of such violence on students; (2) to develop and implement policies in middle and high schools regarding appropriate, safe responses to, and identification and referral procedures for, students who are experiencing or perpetrating domestic violence, dating violence, sexual assault, or stalking, including procedures for handling the requirements of court protective orders issued to or against students or school personnel, in a manner that ensures the safety of the victim and holds the perpetrator accountable; (3) to provide support services for students and school personnel, such as a resource person who is either on-site or on-call, and who meets certain statutory expertise requirements, for the purpose of developing and strengthening effective prevention and intervention strategies for students and school personnel experiencing domestic violence, dating violence, sexual assault or stalking; (4) to provide developmentally appropriate educational programming to students regarding domestic violence, dating violence, sexual assault, and stalking, and the impact of experiencing domestic violence, dating violence, sexual assault, and stalking on children and youth by adapting existing curricula activities to the relevant student population; (5) to work with existing mentoring programs and develop strong mentoring programs for students, including student athletes, to help them understand and recognize violence and violent behavior, how to prevent it and how to appropriately address their feelings; and (6) to conduct evaluations to assess the impact of programs and policies assisted under this grant program in order to enhance the development of the programs. Note: No more than 15 percent of funds allocated to a grantee can be used for purpose areas 4, 5, and 6. 100 percent of funds for discretionary grant purposes.

**Applicant Eligibility:**

The applicant shall be a partnership that-- (1) shall include a public, charter, tribal, or nationally accredited private middle or high school, a school administered by the Department of Defense under 10 U.S.C. 2164 or 20 U.S.C. 921, a group of schools, or a school district; (2) shall include a domestic violence victim service provider that has a history of working on domestic violence and the impact that domestic violence and dating violence have on children and youth; (3) shall include a sexual assault victim service provider, such as a rape crisis center, program serving tribal victims of sexual assault, or coalition or other nonprofit nongovernmental organization carrying out a community-based sexual assault program, that has a history of effective work concerning sexual assault and the impact that sexual assault has on children and youth; and (4) may include a law enforcement agency, the

State, Tribal, Territorial or local court, nonprofit nongovernmental organizations and service providers addressing sexual harassment, bullying or gang-related violence in schools, and any other such agencies or nonprofit nongovernmental organizations with the capacity to provide effective assistance to the adult, youth, and minor victims served by the partnership. In awarding grants under this section, the Director shall give priority to entities that have submitted applications in partnership with relevant courts or law enforcement agencies.

**Beneficiary Eligibility:**

The applicant shall be a partnership that-- (1) shall include a public, charter, tribal, or nationally accredited private middle or high school, a school administered by the Department of Defense under 10 U.S.C. 2164 or 20 U.S.C. 921, a group of schools, or a school district; (2) shall include a domestic violence victim service provider that has a history of working on domestic violence and the impact that domestic violence and dating violence have on children and youth; (3) shall include a sexual assault victim service provider, such as a rape crisis center, program serving tribal victims of sexual assault, or coalition or other nonprofit nongovernmental organization carrying out a community-based sexual assault program, that has a history of effective work concerning sexual assault and the impact that sexual assault has on children and youth; and (4) may include a law enforcement agency, the State, Tribal, Territorial or local court, nonprofit nongovernmental organizations and service providers addressing sexual harassment, bullying or gang-related violence in schools, and any other such agencies or nonprofit nongovernmental organizations with the capacity to provide effective assistance to the adult, youth, and minor victims served by the partnership. In awarding grants under this section, the Director shall give priority to entities that have submitted applications in partnership with relevant courts or law enforcement agencies.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A solicitation is issued each year by the Office on Violence Against Women (OVW). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

None.

**Renewals:**

Considered on a case-by-case basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

OVW will make grants under this program for a period of 3 years. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Semi-annual progress reports, quarterly financial reports, and a final report are required, as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. Periodic desk reviews and selected site visits will be administered, in accordance to the OVW Monitoring Manual.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Standard audit procedures aligned to A-133, as administered by OJP, OIG, and external auditors.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$0; FY 10 est \$2,500,000; and FY 11 est \$0

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Yes - OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kerry Rigley, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: kerry.rigley@usdoj.gov Phone: (202) 353-2253.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking; 16.018 Services to Advocate for and Respond to Youth; 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.736 TRANSITIONAL HOUSING ASSISTANCE FOR VICTIMS OF DOMESTIC VIOLENCE, DATING VIOLENCE, STALKING, OR SEXUAL ASSAULT**

(Transitional Housing)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title VI, Section 602, Public Law 109-162.; Section 611 of the Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today Act of 2003 (PROTECT Act), Public Law 108-21, 42 U.S.C. 13975, as amended;.

**OBJECTIVES:**

To provide transitional housing assistance and related support services to minors, adults, and their dependents who are homeless, or in need of transitional housing or other housing assistance, as a result of fleeing a situation of domestic violence, dating violence, sexual assault, or stalking; and for whom emergency shelter services or other crisis intervention services are unavailable or insufficient.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are available to provide transitional housing, including funding for the operating expenses of newly developed or existing transitional housing; short term housing assistance, including rental or utilities payment assistance and assistance with related expenses, such as payment of security deposits and other costs incidental to relocation to transitional housing; and support services designed to enable a minor, an adult, or a dependant of such minor or adult, who is fleeing a situation of domestic violence, dating violence, sexual assault, or stalking to locate and secure permanent housing and integrate into a community by providing that minor, adult, or dependant, with services, such as transportation, counseling, child care, case management, employment counseling, and other assistance. Participation in the support services must be voluntary. Receipt of the benefits of the housing assistance shall not be conditioned upon the participation of the youth, adults, or dependents in any or all of the support services offered them. Housing assistance is limited to 24 months with a possible extension for an additional 6 months if the client has made a good faith effort to acquire permanent housing and has been unable to acquire permanent housing.

**Applicant Eligibility:**

Eligible applicants are States, Indian tribal governments, units of local government, and other organizations, including domestic violence and sexual assault victim service providers, domestic violence and sexual assault coalitions, other nonprofit, nongovernmental organizations, or community-based and culturally specific organizations, that have a documented history of effective work concerning domestic violence, dating violence, sexual assault, or stalking.

**Beneficiary Eligibility:**

Beneficiaries include minors, adults, and their dependants who are homeless or in need of transitional housing or other housing assistance, as a result of fleeing a situation of domestic violence; and for whom emergency shelter services or other crisis intervention services are unavailable or insufficient.

**Credentials/Documentation:**

Applicants must provide assurances that supportive services offered to participants are voluntary and that refusal to receive such services shall not be grounds for termination from the program or eviction from the housing. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line grants.gov portal.. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Up to 36 months. Funds are released on an as-needed basis to the grantee.

Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$14,244,965; FY 10 est \$15,054,802; and FY 11 est \$15,054,802

**Range and Average of Financial Assistance:**

Range: \$149,000 - \$250,000

Average: \$242,933.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Applications: 244

Awards: 63. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the annual solicitation.

**16.805 RECOVERY ACT TRANSITIONAL HOUSING**

Recovery Act Transitional Housing

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Section 611 of the Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today Act of 2003 (PROTECT Act), Public Law 108-21, 42 U.S.C. 13975, as amended;; The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title VI, Section 602, Public Law 109-162.

**OBJECTIVES:**

To provide transitional housing assistance and related support services to minors, adults, and their dependents who are homeless, or in need of transitional housing or other housing assistance, as a result of fleeing a situation of domestic violence, dating violence, sexual assault, or stalking; and for whom emergency shelter services or other crisis intervention services are unavailable or insufficient.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants are available to provide transitional housing, including funding for the operating expenses of newly developed or existing transitional housing; short term housing assistance, including rental or utilities payment assistance and assistance with related expenses, such as payment of security deposits and other costs incidental to relocation to transitional housing; and support services designed to enable a minor, an adult, or a dependant of such minor or adult, who is fleeing a situation of domestic violence, dating violence, sexual assault, or stalking to locate and secure permanent housing and integrate into a community by providing that minor, adult, or dependant, with services, such as transportation, counseling, child care, case management, employment counseling, and other assistance. Participation in the support services must be voluntary. Receipt of the benefits of the housing assistance shall not be conditioned upon the participation of the youth, adults, or dependents in any or all of the support services offered them. Housing assistance is limited to 24 months with a possible extension for an additional 6 months if the client has made a good faith effort to acquire permanent housing and has been unable to acquire permanent housing.

**Applicant Eligibility:**

Eligible applicants are States, Indian tribal governments, units of local government, and other organizations, including domestic violence and sexual assault victim service providers, domestic violence and sexual assault coalitions, other nonprofit, nongovernmental organizations, or community-based and culturally specific organizations, that have a documented

history of effective work concerning domestic violence, dating violence, sexual assault, or stalking.

**Beneficiary Eligibility:**

Beneficiaries include minors, adults, and their dependants who are homeless or in need of transitional housing or other housing assistance, as a result of fleeing a situation of domestic violence; and for whom emergency shelter services or other crisis intervention services are unavailable or insufficient.

**Credentials/Documentation:**

Applicants must provide assurances that supportive services offered to participants are voluntary and that refusal to receive such services shall not be grounds for termination from the program or eviction from the housing. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Up to 36 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. An additional quarterly financial report is required specifically for ARRA programs. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and

numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than 9 months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 09 \$7,914,370; FY 10 est \$0; and FY 11 est \$0

**Range and Average of Financial Assistance:**

FY 2009

Range: \$184,910 - \$707,816;

Average: \$446,363.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011:

Applications/Awards: 0. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josh Kamp, 800 K Street, NW Suite 850, Washington, District of Columbia 20001 Email: joshua.kamp@usdoj.gov Phone: (202) 353-2639.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.806 RECOVERY ACT - VIOLENCE AGAINST WOMEN DISCRETIONARY GRANTS FOR INDIAN TRIBAL GOVERNMENTS**  
(Tribal Governments)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IX, Section 906, Public Law 109-162, 42 U.S.C. 3796gg-10. Funding was provided by the American Recovery and Reinvestment Act of 2009 (Recovery Act).

**OBJECTIVES:**

To increase tribal capacity to respond to violent crimes against Indian women,

and to develop and strengthen victim services in cases involving violent crimes against Indian women.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grants may be awarded for the following statutory purposes: (1) develop and enhance effective governmental strategies to curtail violent crimes against and increase the safety of Indian women consistent with tribal law and custom; (2) increase tribal capacity to respond to domestic violence, dating violence, sexual assault, and stalking crimes against Indian women; (3) strengthen tribal justice interventions including tribal law enforcement, prosecution, courts, probation, correctional facilities; (4) enhance services to Indian women victimized by domestic violence, dating violence, sexual assault, and stalking; (5) work in cooperation with the community to develop education and prevention strategies directed toward issues of domestic violence, dating violence, and stalking programs and to address the needs of children exposed to domestic violence; (6) provide programs for supervised visitation and safe visitation exchange of children in situations involving domestic violence, sexual assault, or stalking committed by one parent against the other with appropriate security measures, policies, and procedures to protect the safety of victims and their children; (7) provide transitional housing for victims of domestic violence, dating violence, sexual assault, or stalking, including rental or utilities payments assistance and assistance with related expenses such as security deposits and other costs incidental to relocation to transitional housing, and support services to enable a victim of domestic violence, dating violence, sexual assault, or stalking to locate and secure permanent housing and integrate into a community; and (8) provide legal assistance necessary to provide effective aid to victims of domestic violence, dating violence, sexual assault, or stalking who are seeking relief in legal matters arising as a consequence of that abuse or violence, at minimal or no cost to the victims. Applicants must demonstrate their proposal was developed in consultation with a nonprofit, nongovernmental Indian victim services program, including sexual assault and domestic violence victim services providers in the tribal or local community, or a nonprofit tribal domestic violence and sexual assault coalition to the extent that they exist. In the absence of such a demonstration, the applicant may meet the requirement of this subsection through consultation with women in the community to be served. Funds can be used for renovations as long as grantees meet the requirements of the National Historic Preservation Act, the National Environmental Policy Act, section 1605 of the Recovery Act (Buy American), section 1606 of the Recovery Act (Wage rate Requirements).

**Applicant Eligibility:**

Indian tribal governments and authorized designees of tribal governments. The term "tribal government" means-- (A) the governing body of an Indian tribe; or (B) a tribe, band, pueblo, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation (as defined in, or established pursuant to, the Alaska Native Claims Settlement Act (43 U.S.C. 1601 et seq.)), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**Beneficiary Eligibility:**

Tribal governments and authorized designees of tribal governments.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line Grants.gov portal. The receipt,

review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified before the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

At least one year. See the following for information on how assistance is awarded/released: Funds are released on an as needed basis to the grantee.

**Reports:**

Quarterly financial reports are required, as stipulated in the effective edition of the OVW Financial Guide. Cash reports are not applicable. Grantees shall also file semi-annual performance reports explaining the activities carried out and an assessment of the effectiveness of those activities in achieving the purposes of the program, including the number of persons served and the number of persons seeking services who could not be served, as well as a final performance report. In addition, quarterly reports on the use of funds are required under section 1512(c) of the Recovery Act. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 09 \$20,800,190; FY 10 est \$0; and FY 11 est \$0

**Range and Average of Financial Assistance:**

FY 2009

Range: 261,299 - 899,999

Average: \$580,649.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011:

Applications/Awards: 0. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice 800 K Street NW, Suite 920, Washington, District of Columbia 20530 Phone: (202) 307-6026

**Website Address:**

<http://www.ovw.usdoj.gov/>

**RELATED PROGRAMS:**

16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Violence Against Women and Department of Justice Reauthorization Act of 2005 and program guidelines published in an annual solicitation.

## DEPARTMENT OF LABOR

### 17.002 LABOR FORCE STATISTICS

**FEDERAL AGENCY:**

Bureau of Labor Statistics, Department of Labor

**AUTHORIZATION:**

Public Laws 58-57, 62-426, 71-537, 82-203, 93-203, 93-567, 94-206, 94-311, and 94-369; 29 U.S.C. 1, 2, 2b,5, 8, 882, 1601.

**OBJECTIVES:**

To provide statistical data on employment, hours, wages, unemployment, and layoffs by occupation and industry for the nation, States, metropolitan areas, and counties. Data can be monthly, quarterly, or annual.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds in the form of cooperative agreements are available to State Agencies designated by the Governor, usually State Workforce Agencies (SWA), for staffing, travel, equipment, expenses, and indirect costs of statistical business process operations such as sample refinement, data collection, non-response follow-up, data review and editing, estimation, data analysis, and data dissemination.

**Applicant Eligibility:**

SWAs designated under Section 4 of the Wagner-Peyser Act are eligible to apply for cooperative agreement funding to operate the Current Employment Statistics (CES), Local Area Unemployment Statistics (LAUS), Quarterly Census of Employment and Wages (QCEW), Occupational Employment Statistics (OES), and Mass Layoff Statistics (MLS) programs in the States. BLS may select an alternative applicant if a SWA declines to apply for cooperative agreement funding or otherwise substantially fails to meet BLS application and performance requirements. Requests for technical information may be made by the general public.

**Beneficiary Eligibility:**

General public may request information from the SWAs and the Bureau of Labor Statistics.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Draft and final applications for cooperative agreement funding are submitted to the appropriate regional office of the Bureau of Labor Statistics according to a schedule of key dates. Requests for information may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Award Procedure:**

Upon submission of an acceptable application and after negotiation of specific program deliverables and costs, the Bureau of Labor Statistics awards cooperative agreement funding to the SWA.

**Deadlines:**

Jul 01, 2010: Cooperative agreements which cover a given Federal fiscal year are executed prior to the beginning of the fiscal year (October 1).

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Guidelines and application materials are mailed to SWA in mid-May. Initial drafts are required by early July, and final applications by August 31. The cooperative agreements are executed by mid-September, and become effective October 1.

**Appeals:**

Not Applicable.

**Renewals:**

Each fiscal year the Bureau of Labor Statistics enters into new cooperative agreements with appropriate SWAs.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreement funding generally is for a single fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

LMI Cooperative Agreement reporting requirements are based on the SWAs Cost Accounting System (CAS) reports or their Financial Accounting and Reporting System (FARS) equivalents. CAS report 65, or FARS Report 11, is submitted monthly. CAS reports 61, and 94B, or FARS Report 12A and 17, are submitted quarterly. SWAs choosing not to use the CAS- or FARS- generated reports must submit the LMI Cooperative Statistics Financial Report in lieu of CAS reports 61, 65 and 94B or FARS reports 11, 12A and 17. This report is submitted monthly for data which would appear on CAS report 65 or FARS report 11, and quarterly for CAS reports 61 and 94B, or FARS reports or 12A and 17. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

Recordkeeping is in accordance with 29 CFR 97, implementing OMB Circular A-102.

**Account Identification:**

16-0200-0-1-505.

**Obligations:**

(Salaries) FY 10 \$274,039,161; FY 11 est \$277,976,000; and FY 12 est \$288,179,000 - (Grants) FY 10 \$83,139,172.00; FY 11 est \$81,162,000.00; FY 12 est 80,879,000.00.

**Range and Average of Financial Assistance:**

The size of each cooperative agreement reflects the staff and non-personal resources required to operate the programs in a State. The range of awards in fiscal year 2009 is from \$61,000.00 (Guam) to \$8,174,964.00 (California). The average is \$1,586,662.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal year 2010: Current Employment Statistics survey - about 390,000 establishments in the monthly sample; Occupational Employment Statistics survey - 400,000 establishments surveyed during the year; State and local area unemployment statistics-monthly publications for approximately 7,200 areas; data from 9.1 million establishments providing monthly employment and quarterly wages of workers covered by State unemployment insurance program; publication of new series on Business Employment Dynamics at the state level of job creation and destruction, expansions, and contractions; and monthly and quarterly reporting and publication of mass layoffs and plant closings. Fiscal Year 2011: Fiscal year 2011: Current Employment Statistics survey - about 440,000 worksites in the monthly sample; Occupational Employment Statistics survey - 400,000 establishments surveyed during the year; State and local area unemployment statistics-monthly publications for approximately 7,300 areas; data from 9.1 million establishments providing monthly employment and quarterly wages of workers covered by State unemployment insurance program; publication of series on Business Employment Dynamics at the State level of job creation and destruction, expansions, and contractions; and monthly and quarterly reporting and publication of mass layoffs and plant closings. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Employment and Earnings;" "Monthly Labor Review;" "Occupational Employment and Wages;" "BLS Handbook of Methods;" "Publications of the Bureau of Labor Statistics;" "Handbook of Labor Statistics;" "Unemployment in States and Local Areas;" "Geographic Profile of Employment and Unemployment;" and "Employment and Wages." Monthly Press Releases: "The Employment Situation;" "Metropolitan Area Employment and Unemployment;" "Regional and State Employment and Unemployment;" "Real Earnings;" and "Mass Layoffs." Quarterly Press Releases: "County Employment and Wages," "Business Employment Dynamics," and "Extended Mass Layoffs." Cooperative agreement application instructions, including all applicable regulations, are available from Bureau of Labor Statistics regional offices free of charge.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:**

John Galvin, 2 Massachusetts Avenue, N.E., Washington, District of Columbia 20212 Phone: (202) 691-6400.

**Website Address:**

<http://www.bls.gov>.

**RELATED PROGRAMS:**

11.001 Census Bureau Data Products; 11.005 Census Special Tabulations and Services; 11.025 Measures and Analyses of the U.S. Economy; 17.004 Productivity and Technology Data; 17.005 Compensation and Working Conditions

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.003 PRICES AND COST OF LIVING DATA**

**FEDERAL AGENCY:**

Bureau of Labor Statistics, Department of Labor

**AUTHORIZATION:**

Public Laws 62-426, 71-537, and 94-206, 29 U.S.C. 1-2.

**OBJECTIVES:**

To provide statistical data for assisting in the evaluation of consumer, producer, export and import prices and price changes, and consumer expenditures.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Provides for Consumer Price Indexes (CPI) which measure changes in prices of

goods and services consumed by all urban households as well as urban wage earners and clerical workers. As the basis for most estimates of changes in the purchasing power of the consumer's dollar, the CPI is a major economic indicator and has widespread use in escalation adjustments in both private and public sectors. Provides for Producer Price Indexes (PPI) which measure average changes in selling prices received by domestic producers for their output and which are widely cited within price escalation clauses of long term sales contracts to protect both parties against inflation. Provides Export and Import Price Indexes to measure the effect of international trade prices on U.S. economy. The Consumer Expenditure (CE) Surveys provide periodic updates to the market basket and the weights used to calculate the CPI. In addition, the CE supplies information on consumers' spending and income by characteristics such as income, age, race, family size, and region.

**Applicant Eligibility:**

Request for information may be made by the general public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests for information and assistance may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0200-0-1-505.

**Obligations:**

(Salaries) FY 10 \$199,532,950; FY 11 est \$205,410,000; and FY 12 est \$232,839,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, the Consumer Price Indexes (CPI), Producer Price Indexes (PPI), International Price Indexes (IPP), and Consumer Expenditure Surveys (CE) continued, as did regular publication of data from these prices statistics programs. During 2010, the CPI continued work on introducing a new sample of housing units and a process for updating these units on a continuous basis. The PPI continued to research and develop new aggregation structures for indexes that reflect both goods and services in its stage of processing-type outputs. The CE began a field test on measurement issues of the Interview survey, such as survey length, respondent burden, and the use of global questions. In addition, the CE developed questionnaire changes that were implemented in the Interview Survey in 2011 to keep the survey current with new products and to support CPI requirements. Fiscal Year 2011: In fiscal year 2011, the Consumer Price Indexes (CPI), Producer Price Indexes (PPI), International Price Program (IPP), and Consumer Expenditure Surveys (CE) programs continued production of core data series. In addition, the CPI continued work on introducing a new sample of housing units and a process for updating these units on a continuous basis. The PPI continued its program of outreach to stakeholders on the results of the experimental alternative aggregation index structures that reflect both goods and services in stage of processing-type products, first released in February 2011. IPP will begin calculating variance estimates for aggregate import and export price indexes. The CE will complete a field test on measurement issues of the Interview Survey, such as survey length, respondent burden, and the use of global questions. In addition, the CE will implement questionnaire changes to the Interview Survey to keep the survey current with new products and to support CPI requirements. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Consumer Price Index"; "Producer Price Index"; "Export Price Index"; "Import Price Index"; "Consumer Expenditure Survey," "Monthly Labor Review"; "BLS Handbook of Methods," BLS Bulletin 2490; "Major Programs of the Bureau of Labor Statistics"; "Publications of the Bureau of Labor Statistics."

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:**

Michael W. Horrigan, 2 Massachusetts Avenue, N.E., Washington, District of Columbia 20212 Phone: (202) 691-6960.

**Website Address:**

<http://www.bls.gov>.

**RELATED PROGRAMS:**

10.950 Agricultural Statistics Reports; 11.025 Measures and Analyses of the U.S. Economy; 17.005 Compensation and Working Conditions

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.004 PRODUCTIVITY AND TECHNOLOGY DATA**

**FEDERAL AGENCY:**

Bureau of Labor Statistics, Department of Labor

**AUTHORIZATION:**

Public Laws 54-249, 62-426, 71-537, 76-77, and 94- 206, 29 U.S.C. 1, 29 U.S.C. 2b.

**OBJECTIVES:**

To provide and analyze data on productivity in major sectors of the U.S. economy and specific industries and develop productivity and other measures for selected countries.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Provides for: (a) Productivity measures of output per hour of all persons for the business sector and for major sub-sectors; (b) multifactor productivity indexes (output per unit of combined labor and capital inputs) for private business,

private nonfarm business, manufacturing, and major industries, and indexes of output per unit of capital; (c) multifactor productivity measures for selected industries including capital, labor, energy, materials, and purchased business services inputs; (d) industry measures of output per hour, unit labor costs, and related data for selected industries; and (e) international comparisons of productivity; hourly compensation; labor force, unemployment and employment rates; and consumer prices.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

16-0200-0-1-505.

**Obligations:**

(Salaries) FY 10 \$11,813,480; FY 11 est \$12,078,000; and FY 12 est \$10,201,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Quarterly labor productivity and cost measures for major sectors are published regularly. Multifactor p[roductivity measures for major-sectors, and industry labor and multifactor productivity measures are published each year. International comparisons of productivity, compensation, and unemployment are also ongoing activities of this Office . Fiscal Year 2011: Quarterly labor productivity and cost measures for major sectors are published regularly. Multifactor p[roductivity measures for major-sectors, and industry



labor and multifactor productivity measures are published each year. International comparisons of productivity, compensation, and unemployment are also ongoing activities of this Office. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"BLS Handbook of Methods"; "Major Programs Bureau of Labor Statistics"; "BLS Publications on Productivity and Technology"; "Estimating Capital Inputs for Productivity Measurement: An Overview of Concepts and Methods"; "The Impact of Research and Development on Productivity Growth"; "Trends in Multifactor Productivity, 1948-81"; "Labor Composition and U.S. Productivity Growth, 1948-90"; "Monthly Labor Review."

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

**Headquarters Office:**

Michael Harper 2 Massachusetts Avenue, N.E., Washington, District of Columbia 20212 Phone: 202-691-5600

**Website Address:**

<http://www.bls.gov>.

**RELATED PROGRAMS:**

11.025 Measures and Analyses of the U.S. Economy

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.005 COMPENSATION AND WORKING CONDITIONS**

**FEDERAL AGENCY:**

Bureau of Labor Statistics, Department of Labor

**AUTHORIZATION:**

Public Laws 62-426, 71-537, 91-596 and 94-206, 29 U.S.C. 1-2; 29 U.S.C. 2b; 29 U.S.C. 4; 5 U.S.C. 5305; 29 U.S.C. 651; 29 U.S.C. 673.

**OBJECTIVES:**

To provide timely and relevant data on levels and trends in wages; employee benefits; occupational safety and health; and work stoppages.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program provides the following information: (A) level and trend data on employee wages and compensation; (B) studies of employee benefits plans; (C) national and State data on occupational injuries, illness and fatalities; and (D) information on work stoppages. It also makes available funds in the form of cooperative agreements to State agencies or designated local governments for collection of data on occupational injuries, illnesses, and fatalities. The Occupational Safety and Health Statistics program authorizes funds on a matching basis to States or local governments to assist them in developing and administering programs.

**Applicant Eligibility:**

State agencies or designated local governments are eligible to apply for cooperative agreement funding to share costs in operating statistical programs dealing with occupational safety and health statistics. Request for copies of published studies and reports may be made by the general public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Requests for information may be made to the nearest regional office of the Bureau of Labor Statistics listed in Appendix IV of the catalog. Applications for cooperative agreement funding are submitted to the appropriate regional office of the Bureau of Labor Statistics.

**Award Procedure:**

Upon submission of an acceptable application and after negotiation of specific program deliverables and costs, the Bureau of Labor Statistics awards cooperative agreement funding to the State or local government.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The typical process would include guidelines and application material being mailed to State or local government in early summer, with initial drafts required by mid-summer, and final applications due by late summer. Cooperative agreements are executed by early-September and become effective October 1.

**Appeals:**

Not Applicable.

**Renewals:**

Each fiscal year the Bureau of Labor Statistics enters into new cooperative agreements with appropriate State or local governments.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 91-596, Section 24.

Matching Requirements: Percent: 50%. The Federal share for each State's or local government's statistical program may be up to 50 percent of the State's or local government's total cost for the Occupational Safety and Health Statistical program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cooperative agreement funding generally is for a single fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

Cooperative agreements with State or local government specify quarterly financial reports and periodic program reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, in Federal Register June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recordkeeping is in accordance with 29 CFR 97 (implementing OMB Circulars No. A-102 and No. A-110).

**Account Identification:**

16-0200-0-1-505.

**Obligations:**

(Salaries) FY 10 \$88,268,953; FY 11 est \$80,418,000; and FY 12 est \$81,197,000 - (Grants) FY 10 \$6,715,610; FY 11 est \$7,223,000; FY 12 est \$7,346,000.

**Range and Average of Financial Assistance:**

The size of each cooperative agreement reflects the staff and nonpersonal resources required to operate the program. The range of awards in fiscal year 2010 is from \$3,472 (Idaho) to \$717,426 (California). The average is \$125,600.

## **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Occupational Safety and Health Statistics (OSHS) program continued to produce data on occupational injuries, illnesses, and fatalities. The Survey of Occupational Injuries and Illnesses (SOII) produced statistics on nonfatal occupational injuries and illnesses including industry counts and frequency rates as well as information on case circumstances and worker characteristics for nonfatal injuries and illnesses requiring days away from work. During the fiscal year, the survey produced national estimates covering State and local government employees for the first time. The Census of Fatal Occupational Injuries (CFOI) produced fatal work injury counts at the national, State, and major metropolitan area levels and fatality rates at the national and State levels. The BLS is working with its State partners and others to research a potential SOII undercount, with results expected by the end of 2012. OSHS also released a major revision to its Occupational Injury and Illness Classification System (OIICS) during the fiscal year. The National Compensation Survey (NCS) began publishing estimates of employer compensation (wage and benefit) costs for several major metropolitan areas; these data will continue to be published annually. The program also released several special publications highlighting specific employee benefit issues, including sick leave provisions and frozen defined benefit plans. Fiscal Year 2011: The National Compensation Survey (NCS), in addition to producing its regular data on wages and benefits, released new data on health care benefits to be used by the Department of Health and Human Services in support of the Patient Protection and Affordable Care Act. The Occupational Safety and Health Statistics (OSHS) program continued to produce its annual data on occupational injuries, illnesses, and fatalities. Incidence rates for State and local government occupations were made available for the first time for cases with days away from work. In addition, the Census of Fatal Occupational Injuries (CFOI) released a new web-based data collection system to its State partners to improve the efficiency of data collection. Fiscal Year 2012: No Current Data Available

## **REGULATIONS, GUIDELINES, AND LITERATURE:**

NCS national news releases on Employee Benefits in the U.S., the Employment Costs Index, and Employer Costs for Employee Compensation; NCS regional news releases on compensation data for localities and metropolitan area Employment Costs Index data; NCS publications on benefits at the national level; monthly releases on Major Work Stoppages and an annual summary; OSHS news releases on occupational injuries, illnesses and fatalities; OSHS publications on injuries, illnesses, and fatalities at the national and State level; other information about these programs can be found in "Major Programs of the Bureau of Labor Statistics," "Bureau of Labor Statistics Customer Service Guide," and "BLS Handbook of Methods."

### **Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate regional office of the Bureau of Labor Statistics listed in Appendix IV of the Catalog.

### **Headquarters Office:**

William Wiatrowski 2 Massachusetts Avenue, N.E., Washington, District of Columbia 20212 Phone: 202-691-6300

### **Website Address:**

<http://www.bls.gov>.

## **RELATED PROGRAMS:**

17.002 Labor Force Statistics; 17.003 Prices and Cost of Living Data

## **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

## **CRITERIA FOR SELECTING PROPOSALS:**

Acceptable application and specific program deliverables and cost.

## **17.201 REGISTERED APPRENTICESHIP AND OTHER TRAINING FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

### **AUTHORIZATION:**

National Apprenticeship Act of 1937 (Fitzgerald Act), Title 29, Part 29, Public Law 075-75-308, 50 Stat. 664, 29 U.S.C 50-50a-50b.

### **OBJECTIVES:**

To stimulate and assist industry in the development, expansion, and improvement of Registered Apprenticeship and other training programs designed to provide the skilled workers required by U.S. employers, ensure equal employment opportunities in Registered Apprenticeship and other training programs, and ensure the quality of all new and existing Registered Apprenticeship programs.

### **TYPES OF ASSISTANCE:**

Information; Project Grants; Training

### **USES AND USE RESTRICTIONS:**

Under the Office of Apprenticeship (OA), apprenticeship training programs and apprentices are registered in 25 States. OA also provides technical assistance and works closely with State Apprenticeship Agencies (SAAs) in the remaining 25 States, the District of Columbia, and three territories that register programs and apprentices in accordance with Federal standards. OA provides information on existing and recommended standards of training in Registered Apprenticeship as well as on other types of industrial skill improvement programs. The wage rates of apprentices in registered programs (Federal and State) are exempt from the prevailing wage requirements of the Davis-Bacon Act and the Service Contract Act. Registered Apprenticeship is the combination of learning on-the-job and related technical and theoretical instruction in a skilled occupation. Registered programs are driven directly by the demands of the labor market. The training is industry-driven, voluntarily sponsored by individual employers, employer associations, and/or by joint employer-employee groups. OA brings these entities together, as appropriate, to formulate Registered Apprenticeship training programs which meet the federal standards. Various educational institutions and sponsors provide theoretical and related instruction. Special efforts are being made to introduce the apprenticeship concept of training into high-growth/emerging industries and occupations and also to build a pipeline of skilled workers, particularly in the health care, green jobs, and advanced manufacturing sectors. The Advisory Committee on Apprenticeship (ACA) is an advisory board to the Secretary of Labor whose members represents employers, labor organizations, members of the public, as well as the education community, and others entities with an interest in skill training. The ACA provides advice and recommendations to the Secretary of Labor on apprenticeship and training issues. Special grants are provided to eligible organizations to assist employers and labor unions in placement and retention of women in apprenticeship and nontraditional occupations.

### **Applicant Eligibility:**

Employers, a group of employers, or an association of employers, or individual employers with or without in each case the participation of a labor union. For grants: community based organizations, which may be faith based - see announcement of solicitation for grant applications.

### **Beneficiary Eligibility:**

Individuals applying for acceptance into an apprenticeship training program must be at least 16 years old and must satisfy the apprenticeship program sponsor that they have sufficient ability, aptitude, and education to master the rudiments of the occupation and to satisfactorily complete the related theoretical instruction required in the program.

### **Credentials/Documentation:**

Along with the completed application form, each prospective apprentice may be required by the sponsor to submit a transcript of school subjects and grades, proof of age, an honorable military discharge (if applicable), and a high-school diploma or equivalence certificate (if applicable). References from all previous employers may be required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Prospective program sponsors must meet with an OA or SAA field representative, as appropriate, to develop a set of apprenticeship training

program standards. These include the age and educational background of apprentices, and a schedule of the work processes and related theoretical instruction subjects to be covered during the training program. The program will be registered if it meets Federal requirements covering (a) the apprenticeability of the occupation(s) and (b) the suitability of the training standards for providing apprentices with sufficient knowledge to become skilled workers. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet website at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Not applicable for advisory services and counseling type of assistance. Procedures for grant projects are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

For grants, from 45 to 90 days.

**Appeals:**

OA refusal to register programs and OA de-registration of existing programs may be appealed to the OA Administrator as provided in Title 29 CFR Part 29. For grants, procedures for each project are specified in the applicable request for proposals.

**Renewals:**

Reinstatement of program registration is set out in Title 29 CFR Part 29.9.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For grants, procedures for each project are specified in the applicable request for proposals. See the following for information on how assistance is awarded/released: For grants, procedures for each project are specified in the applicable request for proposals.

**Reports:**

No program reports are required. No cash reports are required. The program sponsor reports new apprentice registrations, suspensions, cancellations, completions, and program status to the OA or SAA field representative. Expenditure reports are not applicable. Quarterly performance reports are normally required for grants. See SGA for further information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For grants, this program is subject to audits by the Department of Labor or other authorized Government agencies. Not applicable for advisory services and counseling type of assistance.

**Records:**

Apprenticeship selection records showing compliance with the

nondiscrimination requirements set out in Title 29 CFR Part 30 are required to be kept for 5 years. Also, recording and maintenance of all records concerning apprenticeship as may be required by OA or recognized SAA and other applicable law as provided in Title 29 CFR Part 29.

**Account Identification:**

16-0172-0-1-504 - Federal Salaries and Expenses; 16-0174-0-1-504 - Project Grants.

**Obligations:**

(Salaries) FY 10 \$28,000,000; FY 11 est \$28,000,000; and FY 12 est \$29,000,000. (Project Grants) FY 10 \$2,000,000; FY 11 est \$0; and FY 12 est \$1,000,000 - Women in Apprenticeship and Non-traditional Occupations (WANTO).

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Quarterly Workforce System Results Website: <http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year 2011: Quarterly Workforce System Results Website: <http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year 2012: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further information concerning the program may be found in Title 29 CFR 29: "Apprenticeship Programs, Labor Standards for the Registration, Amendment of Regulations," Title 29 CFR Part 30: "Equal Employment Opportunity in Apprenticeship and Training."

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office Persons are encouraged to communicate with the Regional Directors of the Office of Apprenticeship (OA), as appropriate. The Regional Directors are the following: Region I (Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Puerto Rico, Rhode Island, Vermont, Virgin Islands), Ms. Jill Houser, Boston Regional Director, USDOL/ETA/OA, JFK Federal Building, Room E 370, Boston, MA 02203, Telephone (617) 788-0177, FAX (617) 788-0304, E-mail: [houser.jill@dol.gov](mailto:houser.jill@dol.gov); Region II (Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia), Mr. Joseph T. Hersh, Philadelphia Regional Director, USDOL/ETA/OA, 170 S. Independence Mall West, Suite 820 East, Philadelphia, PA 19106, Telephone (215) 861-4830, FAX (215) 861-4833, E-mail: [hersh.joseph@dol.gov](mailto:hersh.joseph@dol.gov); Region III (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee), Mr. Garfield G. Garner, Jr., Atlanta Regional Director, USDOL/ETA/OA, 61 Forsyth Street, SW, Room 6T71, Atlanta, GA 30303, Telephone (404) 302-5478, FAX (404) 302-5479, E-mail: [garner.garfield@dol.gov](mailto:garner.garfield@dol.gov); Region IV (Arkansas, Colorado, Louisiana, Montana, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, Wyoming), Mr. Steven D. Opitz, Dallas Regional Director, USDOL/ETA/OA, Federal Building, Room 303, 525 S. Griffin Street, Dallas, TX 75202, Telephone (972) 850-4681, FAX (972) 850-4688, E-Mail: [opitz.steve@dol.gov](mailto:opitz.steve@dol.gov); Region V (Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Ohio, Wisconsin), Mr. Dean Guido, Chicago Regional Director, USDOL/ETA/OA, 230 South Dearborn Street, Room 656, Chicago, IL 60604, Telephone (312) 596-5500, FAX (312) 596-5501, E-Mail: [guido.dean@dol.gov](mailto:guido.dean@dol.gov); Region VI (Alaska, Arizona, California, Hawaii, Idaho, Nevada, Oregon, Washington), Mr. Michael W. Longueuy, San Francisco Regional Director, USDOL/ETA/OA, 90 Seventh St., Suite 17-100, San Francisco, CA 94103, Telephone (415) 625-2230, FAX (415) 625-2235, E-Mail [longueuy.michael@dol.gov](mailto:longueuy.michael@dol.gov).

**Headquarters Office:**

Anna Velez USDOL/ETA/OA, Room N-5311  
Frances Perkins Building  
200 Constitution Ave., NW, Washington, District of Columbia 20210 Email: [velez.anna@dol.gov](mailto:velez.anna@dol.gov) Phone: (202) 693-3812 Fax: (202) 693-3799

**Website Address:**

<http://www.doleta.gov/oa>

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.278 WIA Dislocated Worker Formula Grants; 17.303 Wage and Hour Standards

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Recipients of Women In Apprenticeship and Non-Traditional Occupations grants:

- Chicago Women in Trades - Chicago, Ill. - \$300,000
- Nontraditional Employment for Women - New York, N.Y. - \$300,000
- Pennsylvania Women Work - Pittsburgh, Pa. - \$300,000
- State Emergency Response Systems Inc. - Los Angeles, Calif. - \$300,000
- United Communities Against Poverty Inc. - Capitol Heights, Md. - \$300,000
- YWCA of Greater Cincinnati - Cincinnati, Ohio - \$300,000. Fiscal Year 2011: NA. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.207 EMPLOYMENT SERVICE/WAGNER-PEYSER FUNDED ACTIVITIES**

Wagner- Peyser Act

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Wagner-Peyser Act of 1933, 48 Stat. 113.

**OBJECTIVES:**

To assist persons to secure employment and workforce information by providing a variety of job search assistance and information services without charge to job seekers, including persons with disabilities and to employers seeking qualified individuals to fill job openings.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; Project Grants

**USES AND USE RESTRICTIONS:**

FORMULA GRANTS:

Wagner-Peyser Employment Services Grants: The Wagner-Peyser Act of 1933 established a nationwide system of public employment offices which is known as the Employment Service. Wagner-Peyser was amended by the Workforce Investment Act of 1998, making the Employment Service part of the One-Stop Career Center delivery system. Wagner-Peyser funded activities are an integral part of the One-Stop Career Center delivery system that provides an integrated array of high-quality services that workers, job seekers, and businesses can access services under one roof in easy-to-reach locations, with many services also offered through self-service electronic access. These services provide universal access to all including a variety of persons with multiple challenges to employment, including persons with disabilities.

These services include assessment of skill levels, abilities, and aptitudes, career guidance when appropriate, job search workshops, and referral to jobs or training as appropriate. The services offered to employers, in addition to referral of job seekers to job openings, include matching job requirements with job seeker experience, skills and other attributes, helping with special recruitment needs, assisting employers analyze hard-to-fill job orders, assisting with job restructuring and helping employers deal with layoffs.

Under Wagner-Peyser Act Section 7(b), ten percent of the total sums allotted to each state workforce agency shall be reserved for use by the governor to provide performance incentives; services for groups with special needs; and for the extra costs of exemplary models for delivering job services.

Labor Market Information Grants to States: This allows for the development and distribution of state and local workforce information which allows job seekers, employers, and providers and planners of job training and economic development to obtain information pertaining to job opportunities, labor supply, labor market or workforce trends, and the market situation in particular industries.

**PROJECT GRANTS:**

Disability Employment Initiative (DEI): In Program Year (PY) 2010, the Disability Employment Initiative (DEI) was established by Congress. DOL awarded \$21,276,575 million in competitive grants to state WIA-administering entities to improve educational, training, and employment opportunities and outcomes of youth and adults with disabilities who are unemployed, underemployed, and receiving Social Security disability benefits. The funds awarded via cooperative agreements, ranging from \$1.5 to 6 million for a three-year period. This funding will continue the Disability Program Navigator Initiative's effective practices, as well as other promising practices.

DOL has approximately \$21 million in PY 2011 funds available to fund a second round of DEI grants. Approximately 6-9 cooperative agreements with state WIA administering entities will be funded for three years. These cooperative agreements will be awarded by September 30, 2011.

Electronic Tool grants: This includes 1) a computerized career information system including access to state job bank resources and institutions and organizations that provide training and 2) the development and distribution of state and local workforce information which allows job seekers, employers, and providers and planners of job training and economic development to obtain information pertaining to job opportunities, labor supply, labor market or workforce trends, and the market situation in particular industries. For Wagner-Peyser Employment Services Grants to states, the funds must be used for labor exchange activities, labor market, and workforce information purposes. Training is not an allowable activity. The DEI is a competitively awarded grant program.

**Applicant Eligibility:**

For Wagner-Peyser Employment Services grants and Labor Market Information grants, eligible applicants include all 50 States, the District of Columbia, Virgin Islands, Puerto Rico, and Guam.

The DEI grant funds are available only to state WIA administering entities.

**Beneficiary Eligibility:**

The system affords universal access to all jobseekers. In addition, services are available to employers seeking workers to fill job openings. Priority of service is given to veterans and other covered persons. The individuals receive priority referral to jobs, as well as specialized employment services and assistance.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. FORMULA GRANTS: The governor submits a single Strategic State Plan in accordance with one of the Planning Guidances, either Stand-Alone or Unified, issued through the Federal Register. The Planning Guidance provides detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

DEI GRANTS: Funds are awarded to state workforce agencies, which will collaborate with workforce investment boards and local areas. Grant awards will range from \$1.5 to \$6 million each to be spent over a three-year period. Cooperative agreements will be used to foster service delivery through the

public workforce investment system for job seekers with disabilities. The complete solicitation for grant applications is available at <http://www.doleta.gov/grants>.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation or, as in the case of LMI grants, based on an administrative formula. The State Plan include service to person with disabilities and other targeted groups.

**Projects:**

The DEI funds are awarded via a competitive grant solicitation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. As provided in regulations.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title The Wagner-Peyser Act , Chapter Section 6 (b)(4), Public Law 29 U.S.C. 493.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Formula funds are provided at the beginning of a program year and are available for expenditure during that program year and the succeeding two program years.

DEI funds are awarded for a three-year period.

E-Tools funds are renewed annually. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

For formula grants, quarterly performance reporting is required in addition to quarterly financial, activities and outcomes reports. No cash reports are required. No progress reports are required. For formula grants, quarterly financial reports are required.

The DEI grants require fiscal and programmatic quarterly reporting. Monitoring is conducted by Regional Federal Project Officers based on quarterly reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Standard records for audits are required.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Formula Grants) FY 10 \$708,000,000; FY 11 est \$734,000,000; and FY 12 est \$736,000,000. (Formula Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0. (Project Grants) FY 10 \$37,000,000; FY 11 est \$46,000,000; and FY 12 est \$46,000,000

**Range and Average of Financial Assistance:**

Wagner-Peyser Formula Grants vary by year. Funding is published annually in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Once finalized, performance budgets are posted annually on the Internet and are available at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2011: Once finalized, performance budgets are posted annually on the Internet and are available at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: Once finalized, performance budgets are posted annually on the Internet and are available at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR Part 652 - Establishment and Functioning of State Employment Services: Part 662 - Description of the One Stop System under Title I of the Workforce Investment Act; Part 663 - Adult and Dislocated Worker Activities under Title I of the Workforce Investment Act; Subpart A - Delivery of Adult and Dislocated Worker Services through the One Stop Service Delivery System; Part 1001-Services for Veterans.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grace Kilbane 200 Constitution Avenue, NW  
, Washington, District of Columbia 20210 Email: [NO-OWI.Official@dol.gov](mailto:NO-OWI.Official@dol.gov)  
Phone: 202-693-3980 Fax: 202-693-3581

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.225 Unemployment Insurance; 17.258 WIA Adult Program; 17.260 WIA Dislocated Workers; 17.801 Disabled Veterans' Outreach Program (DVOP); 17.804 Local Veterans' Employment Representative Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.225 UNEMPLOYMENT INSURANCE**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Federal Unemployment Tax Act, 26 U.S.C 3301 et seq.; Social Security Act (Titles III, IX, XI, XII) 42 USC 501-504; 1101-1110; 1320b-7; 1321-1324; Unemployment Compensation for Federal Civilian Employees, 5 U.S.C 8501 et seq.; Unemployment Compensation for Ex-Servicemembers, 5 U.S.C 8521 et seq.; Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5177; Trade Act of 1974, 19 U.S.C 2291 et seq.; Federal-State Extended Unemployment Compensation Act, Title II, Section 201 et seq., Public Law 91-373, 26 U.S.C 3304(a)(11); Supplemental Appropriations Act of 2008, P.L. 110-252 as amended P.L. 110-449, 111-5, 111-92, 111-118, 111-144, 111-157, 111-205, 111-312.; American Recovery and Reinvestment Act, Public Law 111-5.

**OBJECTIVES:**

To administer a program of unemployment insurance for eligible workers through Federal and State cooperation; to administer payment of trade adjustment assistance, alternative trade adjustment assistance, disaster unemployment assistance, unemployment compensation for Federal employees and ex-service members.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE; FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The states have the direct responsibility for establishing and operating their own unemployment insurance programs, while the Federal Government finances the cost of administration. State unemployment insurance tax collections are used solely for the payment of benefits. Federal unemployment insurance tax

collections are used to finance expenses deemed necessary for proper and efficient administration of the state unemployment insurance laws; to reimburse state funds for one-half the costs of extended benefits paid under the provisions of state laws which conform to the provisions of the Social Security Act and the Federal Unemployment Tax Act; and to make repayable advances to states when needed to pay benefit costs. Funds used for benefit payments may not be used for any program administration costs nor for training, job search, and job relocation payments. Disaster Unemployment Assistance (DUA) is paid out of funds provided by the Federal Emergency Management Agency (FEMA). Benefits for former Federal civilian employees, including postal workers, and former members of the Armed Forces are paid out of the Federal Employees Compensation Account (FECA) in the Unemployment Trust Fund, subject to reimbursement by the former employing agency. Trade Adjustment Assistance payments are made by states for workers adversely affected by trade imports or shifts in production. The Emergency Unemployment Compensation program is temporarily authorized.

**Applicant Eligibility:**

State workforce agencies, including those in the District of Columbia, Puerto Rico and Virgin Islands.

**Beneficiary Eligibility:**

All workers whose wages are subject to State unemployment insurance laws, Federal civilian employees, ex-service members, trade readjustment allowance for workers who become unemployed or underemployed because of the adverse effect of increased imports or because of shifts in production outside the U.S., and workers whose unemployment is caused by a Presidentially declared disaster under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, are eligible if they are involuntarily unemployed, able to work, available for work, meet the eligibility and qualifying requirements of the state law, and are free from disqualifications. Individual State information on eligibility requirements is available from local One-Stop Career Centers or at <http://www.servicelocator.org/OWSLinks.asp>. The temporary Emergency Unemployment Compensation program was extended in subsequent legislation as noted in section 040, Authorization.

**Credentials/Documentation:**

Awards of grants to states are conditioned on the Secretary of Labor's determination that the states' unemployment compensation laws are in conformity with the Social Security Act and the Federal Unemployment Tax Act and that state practices substantially comply with these laws. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

National and Regional Offices issue guidance to states annually regarding the procedures and documents for the application process. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible applicants are furnished applications (State Quality Service Plan) by the Employment and Training Administration for this program. States submit the plans to apply for grants to the appropriate regional office of the Employment and Training Administration based on target performance levels pursuant to nationally-developed workload estimates. All plans are to be constructed in terms of selected workloads to be undertaken and the resources and numbers of employees needed to accomplish them.

**Award Procedure:**

The Regional Administrator for Employment and Training issues a preliminary approval for a state within the dollar target provided by the ETA National Office, based on the state plan submitted.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 45 days at the Regional Office level.

**Appeals:**

Contact Federal agency. A hearing is required if state law is not certified to be in conformity.

Funding is based on workload formula.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual grants for base operation of programs are based on workload projections pursuant to economic assumptions and nationally developed workload estimates. Additional quarterly funding is based on actual workloads. Financing of administrative costs is accomplished through Letter of Credit drawdowns needed to meet immediate cash requirements. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Weekly, monthly, quarterly and yearly statistical reports of unemployment insurance workloads are required. Cash reports include the following transactions: federal cash receipts/disbursements; Federal expenditures and unobligated balance; recipient share of obligations and expenditures; program income. Additional expenditure data required includes other federal funds expended and real property proceeds expended. The comprehensive performance management system requires a State Quality Service Plan (SQSP) be submitted as part of the application. Where performance is below the established minimum criteria, a corrective action plan (CAP) is required as part of the SQSP. The CAP identifies state activities and planning targets for performance improvement activities. Separate quarterly financial status reports are required for grants used for administration of each type of program. Data and progress towards performance targets are reviewed by the Regional and National Office staff. The State Quality Service Plan and corrective action plans are reviewed quarterly by Regional Office staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. State Workforce Agencies are subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

State laws and requirements are to be in conformity with Federal statutes. States are expected to report any legislative and regulatory changes to the federal agency. National office staff provide guidance on the time frame for data and corrections to data reports. The state determines the time period to maintain tax records; however, the IRS recommends 4 years after the date tax is due or is paid, whichever is later. The recommendation for performance records is 3 years.

**Account Identification:**

16-0179-0-1-999 - Grants; 16-0178-0-1-603; 16-0326-0-1-999 - Benefits; 16-1800-0-1-603 - Benefits; 16-8042-0-7-999 - Benefits.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$145,793,000,000; FY 11 est \$127,214,000,000; and FY 12 est \$91,072,000,000. (Direct Payments with Unrestricted Use) FY 10 \$33,654,000,000; FY 11 est \$1,920,000,000; and FY 12 est \$0. (Formula Grants) FY 10 \$423,000,000; FY 11 est \$0; and FY 12 est \$0. (Formula Grants) FY 10 \$4,134,000,000; FY 11 est \$4,064,000,000; and FY 12 est \$3,580,000,000

**Range and Average of Financial Assistance:**

For FY 2010, the minimum award for State administration was \$2,062,341 and the maximum was \$496,162,033. The average award for FY 2010 was \$60,257,208. Estimates for FY 2011 are: \$2.1 million minimum award, \$495

million maximum award and \$60 million average award.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Current financial and service data for the 53 states operating unemployment insurance programs is available at: <http://workforcesecurity.doleta.gov/unemploy/finance.asp>. Current performance data is available at: <http://workforcesecurity.doleta.gov/unemploy/performance.asp>. Information on ARRA program modernization activity can be found at: <http://www.doleta.gov/recovery/>. Fiscal Year 2011: Current financial and service data for the 53 states operating unemployment insurance programs is available at: <http://workforcesecurity.doleta.gov/unemploy/finance.asp>. Current performance data is available at: <http://workforcesecurity.doleta.gov/unemploy/performance.asp>. Information on ARRA program modernization activity can be found at: <http://www.doleta.gov/recovery/>. Fiscal Year 2012: Current financial and service data for the 53 states operating unemployment insurance programs is available at: <http://workforcesecurity.doleta.gov/unemploy/finance.asp>. Current performance data is available at: <http://workforcesecurity.doleta.gov/unemploy/performance.asp>. Information on ARRA program modernization activity can be found at: <http://www.doleta.gov/rec>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 20 CFR Part 601, 602, 603, 604, 606, 609, 614, 615, 616, 617, 625, 640, 650.  
Literature: "Unemployment Insurance For Ex-Service Members;" "Unemployment Insurance For Federal Workers;" "Significant Provisions of State Unemployment Insurance Laws;" "Comparison of State Unemployment Insurance Laws;" factsheets, and other program information is available on the Internet at <http://www.workforcesecurity.doleta.gov/unemploy/laws.asp#overview>.

**Regional or Local Office:**

None. Employment and Training Administration regional offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Gay Gilbert Francis Perkins Building - 200 Constitution Avenue, Room S4524, Washington, District of Columbia 20210 Email: [gilbert.gay@dol.gov](mailto:gilbert.gay@dol.gov) Phone: 202-693-3029 Fax: 202-693-3229

**Website Address:**

<http://workforcesecurity.doleta.gov/>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 57.001 Social Insurance for Railroad Workers; 97.034 Disaster Unemployment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: For FY 2010, 27 states received funding from Supplemental Budget Requests (SBR) to improve the administration of their UI programs. Fiscal Year 2011: For 2011, it is estimated that 30 states will receive SBRs to improve the integrity of program administration. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.235 SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM**

Senior Community Service Employment Program (SCSEP)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Older Americans Act of 2006, Title V, Public Law 109-365, 120 Stat. 2522, 42 U.S.C 3001; Older Americans Act of 1965.

**OBJECTIVES:**

To foster individual economic self sufficiency; provide training in meaningful part-time opportunities in community service activities for unemployed low-income persons who are age 55 years of age or older, particularly persons

who have poor employment prospects; and to increase the number of older persons who may enjoy the benefits of unsubsidized employment in both the public and private sectors.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Organizations that receive grants use the funds to create and pay for part-time community service training positions for unemployed persons age 55 and above whose income is at or below 125 percent of the poverty level. The individuals who are enrolled may be trained in work assignments at local 501(c)(3) non-profit or government agencies. A portion of the funds may be used to provide participants with classroom training and supportive services. Participants may not train in projects involving political activities, sectarian activities, nor may participants displace any employed worker or perform work which impairs existing contracts for service. Each local project is required to coordinate its activities with local Workforce Investment Act projects and One-Stop Career Centers and the State Office of the Aging. Seventy-five percent of funding must be used to pay the wages and fringe benefits of participants for their part-time assignments. ( If justified, the seventy-five percent funding requirement can be reduced to sixty-five percent with the ten percent funds used for additional participant training.) The remaining funds may be used to provide participants with classroom training and supportive services. No more than 13.5 percent of the Federal share of the costs may be spent for administration. (If justified, a waiver to 15 percent may be provided by the Department of Labor.). The Secretary of Labor may reserve up to 1.5 percent of annual appropriation for pilots, demonstration, and evaluation activities and related technical assistance.

**Applicant Eligibility:**

The following types of organizations are eligible to receive grants: (1) states and U.S. territories; (2) national public and private non-profit institutions/organizations, other than political parties but including faith-based and community organizations; and (3) tribal organizations.

**Beneficiary Eligibility:**

Unemployed adults 55 years or older with a family income at or below 125 percent of the Department of Health and Human Services (DHHS) poverty level. Prospective participants must provide documentation relative to age and personal financial status which is required to determine whether the individual is program eligible. With certain exceptions, the Census Bureau's Current Population Survey definition of income governs the determination of SCSEP applicant income eligibility. Section 518 (a)(3)(A)OAA-2006 specifies that any income that is unemployment compensation, a benefit received under title XVI of the Social Security Act; a payment made to or on behalf of veterans or former members of the Armed forces under the laws administered by the Secretary of Veterans Affairs, or 25 percent of a benefit received under title II of the Social Security Act is excluded from SCSEP income eligibility determinations.

**Credentials/Documentation:**

Applicants must meet the eligibility test under Section 514(c) and the responsibility test under Section 514(d) of the Older Americans Act. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. National nonprofit organizations are required under Section 502(d) of the Older Americans Act to submit an application to the state agency, in addition to the Department of Labor. The Office of Workforce Investment in the Employment and Training Administration will provide information concerning proper application, format, and content and furnish standard application forms. Governors may comment on SCSEP grant

proposals prior to award and may make recommendations to the Secretary of Labor to improve the distribution of SCSEP services.

**Award Procedure:**

Awards are made directly to eligible applicants by the Employment and Training Administration of the Department of Labor.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. The approval range for formula grants is approximately 30 to 60 days.

**Appeals:**

From 1 to 15 days. Appeals may be filed according to the regulations at 20 CFR 641.900.

**Renewals:**

Grantees must meet the eligibility and responsibility test each year in order to be funded. In addition, grantees must meet negotiated performance measures described in Section 513(b) of OAA-2006, in administrative guidance, and in the Final Rule on SCSEP Performance Accountability published September 1, 2010.

**Formula and Matching Requirements:**

Statutory Formula: Title Older Americans Act 2006 Amendments, Chapter 20 CFR 641.100 of the 2010 Final Rule, Public Law P.L. 109-365.

Matching Requirements: Grantees must provide or arrange through third parties at least ten percent of the cost of the project from non-Federal sources. The grantee share of the cost may be contributed in cash or in-kind.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funding is provided annually. The program year runs from July 1 to June 30. The Secretary has the authority to extend the period of performance under specified conditions. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The Annual Equitable Distribution Report and the Four Year Strategic State Plan (for state grantees only), to be reviewed and updated no less frequently than every two years. Quarterly Financial Status Report (FSR) - SF9130. The Quarterly Progress Report (QPR). QPRs are generated by the SCSEP Performance and Results QPR (SPARQ) system located within the Department of Labor based on participant data entered by grantees into the SPARQ on-line system. Quarterly Financial Status Report (FSR) - SF9130. Permitted applicant organizational costs will be determined in accordance with OMB Circular Nos A-87 for state and local governments and A-122 for non profit organizations. Federal Project Officers conduct quarterly desk reviews and on-site reviews as needed. Performance is evaluated annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Normally to be retained by the grant or contract recipient for a three-year period following the completion of the grant or contract. Grantees are required to submit participant data via high-speed Internet access to a DOL-sponsored data collection system (SPARQ).

**Account Identification:**

16-0175-0-1-504.

**Obligations:**

(Formula Grants) FY 10 \$164,000,000; FY 11 est \$98,000,000; and FY 12 est \$0 - State Programs. (Formula Grants) FY 10 \$656,000,000; FY 11 est \$351,000,000; and FY 12 est \$0 - National Programs.

**Range and Average of Financial Assistance:**

For Program Year 2011, grants ranged from \$336,800 to \$89.2M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2011: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 641; Training and Employment Guidance Letters, Training and Employment Notices, previously issued Older Worker Bulletins that are still in effect and other SCSEP directives.

**Regional or Local Office:**

See Regional Agency Offices. Region 1, Keeva Davis, Telephone: (617) 788-0141; Region 2, Barbara Shelly. Telephone: (215) 861-5541; Region 3, Andrew Gill, Telephone: (404) 302-5366; Region 4, Brie Burleson, Telephone: (972) 850-4652; Region 5, Alice Mitchell, Telephone: (312) 596-5413; Region 6, John Jacobs, Telephone: (415) 625-7940.

**Headquarters Office:**

Judith Chase Gilbert 200 Constitution Avenue NW  
Room S-4209, Washington, District of Columbia 20210 Email:  
[gilbert.judith@dol.gov](mailto:gilbert.judith@dol.gov) Phone: 202-693-3938 Fax: 202-693-3817

**Website Address:**

<http://www.doleta.gov/seniors/>.

**RELATED PROGRAMS:**

17.258 WIA Adult Program; 17.260 WIA Dislocated Workers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Department annually renews grant agreements. The Department may have an open competition from time to time to select national grantees. National grants were competed in 2003 and 2006. The next competition opportunity, as specified in the authorizing legislation, will be no sooner than 2011. When such a competition occurs, a notice will be published in the Federal Register.

**17.245 TRADE ADJUSTMENT ASSISTANCE**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Trade Act of 1974, as amended, Title II, Public Law 93-618, 88 Stat. 1979, 19 U.S.C 2271-2322.

**OBJECTIVES:**

To provide adjustment assistance to qualified workers adversely affected by foreign trade which will assist them to obtain suitable employment.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

State Workforce Agencies (SWAs) serve as agents of the United States for administering the worker adjustment assistance benefit provisions of the Trade Act. SWAs, through the local offices, provide testing, counseling, and job placement services; job search and relocation assistance; training; and payment of weekly trade readjustment allowances (TRA). State unemployment compensation and extended benefits must be exhausted before TRA is paid to eligible claimants. Trade impacted workers are eligible to receive job search and relocation allowances in addition to the costs of training. They may be paid subsistence and transportation allowances to attend approved training outside the normal commuting distance of a worker's regular place of residence.

**Applicant Eligibility:**

In FY 2011 ETA administered two separate TAA programs the program implemented by the Trade and Globalization Adjustment Assistance Act of



2009 (TGAAA), that was in effect for petitions filed between May 18, 2009 and February 15, 2011, and the TAA program that was administered under the Trade Act as amended by the TAA Reform Act of 2002, which existed before May 18, 2009, and resumed after February 15, 2011 as part of the Omnibus Trade Act of 2010. TGAAA expanded TAA coverage to more workers and firms, including workers and firms in the service sector; made benefits available to workers whose jobs have been off-shored to any country (as opposed to covering a more limited set of shifts in production), improved workers training options, and increased the affordability of health insurance coverage. TGAAA also expanded the scope of the program to better assist adversely affected workers in finding new employment. It authorized funding for employment and case management services, and encouraged the type of long-term training necessary for jobs in the 21st century economy through an extension of income support, an increase in the cap for training funding, and access to training for adversely affected incumbent workers.

For a worker to be eligible to apply for TAA, the worker must be part of a group of workers that are the subject of a petition filed with the Department. Three workers of a company, a company official, a union or other duly authorized representative, or a One-Stop Career Center operator or One-Stop partner may file that petition with the Department. In response to the filing, the Department institutes an investigation to determine whether foreign trade was an important cause of the workers job loss or threat of job loss. If the Department determines that the workers meet the statutory criteria for group certification of eligibility for the workers in the group to apply for TAA, the Department grants the petition and issues a certification.

Once covered by a certification, individual workers apply for benefits and services through the One-Stop delivery system. Most benefits and services have specific individual eligibility criteria that must be met, such as previous work history, unemployment insurance eligibility, and individual skill levels.

**Beneficiary Eligibility:**

The TAA program currently offers the following services to eligible individuals: training, weekly income support, out-of-area job search and relocation allowances, case management and employment services, assistance with payments for health insurance coverage through the utilization of the Health Coverage Tax Credit (HCTC), and wage insurance for some older workers through ATAA or RTAA. ATAA is the wage insurance option available to reemployed older workers authorized by the TGAAA. ATAA provides wage insurance to reemployed older workers as a pilot project under the TAA Reform Act of 2002 for adversely affected workers covered by certifications of petitions filed before May 18, 2009 and after February 15, 2011. Under TGAAA, ATAA was replaced with RTAA, which was a wage insurance benefit for older workers that provided expanded eligibility options and benefits in comparison with the ATAA program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for TAA under the Trade Act of 1974, as amended, a "Petition for Trade Adjustment Assistance" must be filed directly with the Office of Trade Adjustment Assistance at the address listed below and with the State official or organization designated by the Governor of the State in which the workers' firm or subdivision is located. OTAA and State contact information, as well as petition forms in English and Spanish, are available through the State Workforce Agencies or from the Office of Trade Adjustment Assistance listed below. The Petition forms may also be downloaded from our web-site at: <http://www.doleta.gov/tradeact>. Petitions must be filed with both the OTAA and the State agency in which the worker group's plant is located. Notice of such filing shall be promptly published in the Federal Register. Within 10 days after publication, the petitioner or any other person found by the Secretary to have a

substantial interest may request a hearing and be afforded the opportunity to be present, to present evidence, and to be heard.

**Award Procedure:**

A Certification of Eligibility to apply for worker adjustment assistance may be issued by the Secretary of Labor to groups of workers who have been found by the Department of Labor to have met the requirements concerning foreign trade-affected separations from employment. Individual workers covered by the certification can apply to the local office of their State Workforce Agency for individual determinations of eligibility to receive benefits.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. For the TAA program, eligibility investigations begun by the receipt of a valid petition are completed, and a determination issued, within 40 calendar days of the receipt of the petition.

**Appeals:**

From 30 to 60 days. There are two courses of appeal, one administrative and the other judicial. Petitioners aggrieved by a final determination by the Secretary may, within 30 days after notice of such determination is published in the Federal Register, file an application for reconsideration with the Director of the Office of Trade Adjustment Assistance. If the determination following reconsideration is negative, they may, within 60 days after notice of the negative determination upon reconsideration, file a petition for review of such determination with the United States Court of International Trade in New York City. Aggrieved petitioners may request judicial appeal without first seeking administrative reconsideration, within 60 days after notice of such determination is published in the Federal Register.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cash trade readjustment allowances (TRA) generally becomes payable only after workers have exhausted their entitlement to State unemployment compensation including extended benefits. For TAA certifications on petitions filed between May 18, 2009 and February 15, 2011, the maximum number of weeks of State unemployment compensation, extended benefits and trade readjustment allowances cannot exceed 52 weeks except that up to 78 additional weeks may be paid to workers while participating in approved training and an additional 26 weeks for workers whose approved training program includes pre-requisite and/or remedial education. Participation in RTAA allows older workers, for whom retraining may not be appropriate, to accept reemployment at a lower wage and receive a wage subsidy instead of benefits under the regular TAA program. The RTAA allows for payments of 50 percent of the wage difference between old employment and new employment, not to exceed \$12,000 for up to two years. The individual must earn not more than \$55,000 a year in wages in reemployment, and must not return to employment from which the worker was separated. Base formula funding grants for training services are provided to States at the beginning of the year; additional funds may be requested by States based on additional needs above the base funding provided.

For TAA certifications on petitions filed before May 18, 2009, and after February 12, 2011, the maximum number of weeks of State unemployment compensation, extended benefits and trade readjustment allowances cannot exceed 52 weeks except that up to 52 additional weeks may be paid to workers while participating in approved training and an additional 26 weeks for workers whose approved training program includes remedial education. Participation in ATAA allows older workers, for whom retraining may not be appropriate, to accept reemployment at a lower wage and receive a wage subsidy instead of benefits under the regular TAA program. The ATAA allows for payments of 50 percent of the wage difference between old employment and new employment, not to exceed \$10,000 for up to two years. The individual must earn not more

than \$50,000 a year in wages in reemployment, and must not return to employment from which the worker was separated. Base formula funding grants for training services are provided to States at the beginning of the year; additional funds may be requested by States based on additional needs above the base funding provided. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly Performance Reports are required. No cash reports are required. No progress reports are required. Quarterly financial reports on grants for administration of TAA/TRA program are required. Program performance is monitored both by state staff and by Federal Regional Office staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the U.S. Department of Labor or other authorized Government agencies.

**Records:**

Not applicable.

**Account Identification:**

16-0326-0-1-999.

**Obligations:**

(Formula Grants) FY 10 \$686,000,000; FY 11 est \$426,000,000; and FY 12 est \$260,000,000

**Range and Average of Financial Assistance:**

In the 12 months ending March 31, 2011, the average training cost per participant was \$7,348.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2011: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations at 29 CFR 90, Certification of Eligibility to Apply for Worker Adjustment Assistance, and 20 CFR 617, Trade Adjustment Assistance for Workers.

**Regional or Local Office:**

See Regional Agency Offices. Regional offices of the Employment and Training Administration, Department of Labor listed in Appendix IV, and local offices of affiliated State Employment Security Agencies.

**Headquarters Office:**

Susan Worden 200 Constitution Avenue NW  
, Washington, District of Columbia 20210 Email: [worden.susan@dol.gov](mailto:worden.susan@dol.gov)  
Phone: 202-693-3517

**Website Address:**

<http://www.doleta.gov/tradeact/>

**RELATED PROGRAMS:**

17.225 Unemployment Insurance; 17.260 WIA Dislocated Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.258 WIA ADULT PROGRAM**

(WIA-Adult Program)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part subtitle B, Section Chapter 5, Public Law 105-220, 20 U.S.C 9201.

**OBJECTIVES:**

To prepare workers -- particularly disadvantaged, low-skilled, and underemployed adults -- for good jobs by providing job search assistance and training. Program performance is measured by entry into unsubsidized employment, retention in unsubsidized employment, and earnings. The program serves individuals and helps employers meet their workforce needs. The employment goals will be measured using the Unemployment Insurance Wage Records Information System and customer satisfaction goals will be measured by sampling.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The Act specifies that most services for adults will be provided through One Stop Career Centers. The Act authorizes three levels of service which are available to all jobseekers. "Core" services include outreach, job search, placement assistance, and labor market information, and are available to all jobseekers. "Intensive" services include more comprehensive assessments, development of "Individual Employment Plans" (IIEP) and counseling, and career planning. Those customers who need additional services to find or retain employment may receive "training" services linked to job opportunities in their communities, including both occupational training and training in basic skills. To promote customer choice and involvement in career decisions, participants use an "Individual Training Account (ITA)" to select an appropriate training program from an eligible training provider. The Act also authorizes the provision of supportive services (e.g., transportation and child care assistance) to enable an individual to participate in the program. Consistent with the allowable activities in the statute.

**Applicant Eligibility:**

Under WIA, the organizations eligible to receive funding from the Department are the 50 States, Puerto Rico, the District of Columbia and the outlying areas. Funds are allotted based on a statutory formula. The states in turn allocate funds to local workforce investment boards (approximately 600), by formula.

**Beneficiary Eligibility:**

All adults 18 years and older are eligible for core services. Priority for intensive and training services must be given to public assistance recipients and low income populations when funds are limited. Priority of service is given to veterans and other covered persons. States and local areas are responsible for establishing procedures for applying the priority requirements.

**Credentials/Documentation:**

Formula-funded programs are subject to Governor/Secretary Agreement and State Plan. States sign a grant document agreeing to comply with the Act and regulations for the formula-allotted program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The governor submits a single Strategic State Plan in accordance with one of the Planning Guidances, either Stand-Alone or Unified, issued through the Federal Register. The Planning Guidances provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other ETA and non-ETA DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200

Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. State plans will be reviewed in accordance with 20 CFR 661.220(e), which provides that the Secretary must approve all state plans within 90 days of their submission, unless the Secretary determines in writing that: (1) the State Plan is inconsistent with the provisions of Title I of WIA or the WIA regulations, including 29 CFR Part 37; or (2) the portion of the State Plan impacting the Wagner-Peyser Act plan does not satisfy the criteria for approval in Section 8(d) of the Wagner-Peyser Act or the Wagner-Peyser Act regulations at 20 CFR Part 652.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Workforce Investment Act of 1998, Public Law 105-220.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula funds are allotted every year to a State in two portions during a program year and are available for expenditure by the State for that program year and the two succeeding program years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Performance reporting requires:

1. WIA Annual Report
2. WIA Annual Report narrative
3. required to submit WIASRD file for both participant and exiters on quarterly basis in addition to the annual reporting.
4. Quarterly Financial Reports

Note: Monitoring is conducted by Regional Federal Project Officers based on a risk assessment. No cash reports are required. No progress reports are required. Quarterly Financial Reports. Monitoring is conducted by Regional Federal Project Officers based on a risk assessment.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 10 \$862,000,000; FY 11 est \$769,000,000; and FY 12 est \$792,000,000

**Range and Average of Financial Assistance:**

WIA formula grant amounts vary annually and are published in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010:

<http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year

2011: The budget request contains performance targets. It is published annually and posted on the Internet at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

Fiscal Year 2012: The budget request contains performance targets. It is published annually and posted on the Internet at:

[www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR Part 652 et al, WIA; Final Rules Federal Register, Friday, August 11, 2000.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Grace Kilbane, 200 Constitution Ave, NW, Washington, District of Columbia 20210 Email: [NO-OWI.Official@dol.gov](mailto:NO-OWI.Official@dol.gov) Phone: (202) 693-3980.

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 17.259 WIA Youth Activities; 17.260 WIA Dislocated Workers; 17.277 Workforce Investment Act (WIA) National Emergency Grants; 17.278 WIA Dislocated Worker Formula Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.259 WIA YOUTH ACTIVITIES**

(WIA Formula Youth)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part Subtitle B, Section Chapter 4, Public Law 105-220, ( U.S.C 9201.

**OBJECTIVES:**

To help low income youth, between the ages of 14 and 21, acquire the educational and occupational skills, training, and support needed to achieve academic and employment success and successfully transition to careers and productive adulthood.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Title I of the Act authorizes the Workforce Investment System and establishes state workforce investment boards with oversight responsibility by the governors for local workforce investment boards; and establishes the process by which eligible providers of training and youth activities are identified. The Act authorizes the use of funds for youth employment and training activities that will provide eligible youth assistance in achieving careers and academic and employment success; ensures ongoing mentoring opportunities; provides opportunities for training; provides continued supportive services; provides incentives for recognition and achievement; and provides opportunities for leadership, development, decision making, citizenship, and community service. Funds must be used in accordance with the rules and regulations.

**Applicant Eligibility:**

Under WIA, 50 states, Puerto Rico, the District of Columbia, and the outlying areas are identified as the recipients of youth training activities funds. For a state to be eligible to receive youth funds, the governor of the state will submit to the Secretary for consideration by the Secretary, a single state plan that

outlines a 5-year strategy for the statewide workforce investment system.

**Beneficiary Eligibility:**

An eligible youth is an individual who: (1) is 14 to 21 years of age\*; and (2) is an individual who received an income or is a member of a family that received a total family income that, in relation to family size, does not exceed the higher of (a) the poverty line; or (b) 70 percent of the lower living standard income; and (3) meets one or more of the following criteria: is an individual who is deficient in basic literacy skills; a school dropout; homeless; a runaway; a foster child; pregnant or a parent; an offender; or requires additional assistance to complete their education or secure and hold employment.

**Credentials/Documentation:**

In order to establish a continuing relationship under the Act, the governor and the Secretary of Labor shall sign a governor/Secretary Agreement. This agreement assures that the state will comply with the Workforce Investment Act and the applicable rules and regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The governor submits a single Strategic State Plan in accordance with one of the Planning Guidances, either Stand-Alone or Unified, issued through the Federal Register. The Planning Guidance provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval (currently Janet Sten), Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. A State plan submitted to the Secretary will be considered to be approved by the Secretary at the end of the 90-day period beginning on the day the Secretary received the plan, unless the Secretary makes a written determination, during the 90-day period, that the plan is inconsistent with the provisions of Title I.

**Appeals:**

Contact Headquarters Office to obtain information on appeal procedures.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Chapter 4, Subpart B, Public Law 105-220. This program has no matching requirements. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula funds allotted to a state each year are available for expenditure by the State for that program year plus two succeeding program years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reporting requirements as specified by the Secretary in accordance with 20 CFR 667.300. No cash reports are required. Quarterly reports are required. Quarterly financial reports are required. Regional Federal Project Offices conduct risk analysis, desk reviews, and on-site monitoring. They also review quarterly reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504 - Annual Appropriation.

**Obligations:**

(Formula Grants) FY 10 \$910,000,000; FY 11 est \$814,000,000; and FY 12 est \$837,000,000

**Range and Average of Financial Assistance:**

Formula grant award amounts ranged from \$2,028,651 to \$117,952,080. The average is not computed.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010:

<http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year 2011: No Current Data Available; Once finalized, performance budgets are posted annually and are available on the internet at:

<http://www.dol.gov/dol/aboutdol/main.htm#budget>. Fiscal Year 2012:

<http://www.dol.gov/dol/aboutdol/main.htm#budget>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR PART 652 et al, WIA; Final Rules Federal Register, Friday, August 11, 2000. Federal Register: Thursday, February 28, 2002 (Volume 67, Number 403) "Solicitation of Comments on the Reauthorization of the Workforce Investment Act (WIA) and Linkages with the Temporary Assistance for Needy Families (TANF); Notice.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Evan Rosenberg 200 Constitution Avenue, NW, Room N-4464, Washington, District of Columbia 20210 Email: [rosenberg.evans@dol.gov](mailto:rosenberg.evans@dol.gov) Phone: (202) 693-3593 Fax: (202) 693-3592.

**Website Address:**

[http://www.doleta.gov/youth\\_services](http://www.doleta.gov/youth_services)

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.260 WIA DISLOCATED WORKERS**

(WIA-Dislocated Workers)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle B, Chapter 5, Title I, Public Law 105-220, 20 U.S.C 9201; The American Recovery and Reinvestment Act

of 2009, Title VIII, Public Law 111-5.

**OBJECTIVES:**

The purpose of the WIA Dislocated Worker program is to reemploy dislocated workers, improve the quality of the workforce, and enhance the productivity and competitiveness of the nation's economy by providing workforce investment activities that increase the employment, retention, and earnings of participants, and increase occupational skill attainment by the participants. This program is designed to increase employment, as measured by entry into unsubsidized employment, retention in unsubsidized employment after entry into employment, and extent of recovery of prior earnings. The program serves individuals and helps employers meet their workforce needs. The employment goals will be measured using Unemployment Insurance Wage Records systems and customer satisfaction goals will be measured by sampling.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; Project Grants

**USES AND USE RESTRICTIONS:**

The Act authorizes three levels of service, which are available to all job seekers. "Core" services include outreach, job search and placement assistance, and labor market information, and are available to all jobseekers. "Intensive" services include more comprehensive assessments, development of individual employment plans and counseling, and career planning, and are available to those who could not find employment through core services. Those customers who cannot find employment through intensive services may receive "training" services linked to job opportunities in their communities, including both occupational training and training in basic skills. To promote customer choice and involvement in career decisions, participants use an "Individual Training Account (ITA)" to select an appropriate training program from an eligible training provider. The Act also authorizes the provision of supportive services (e.g., transportation and child care assistance) to enable an individual to participate in the program. Funds reserved by the Secretary are also used for technical assistance and training and demonstration programs.

Beginning in Program Year (PY) 2010 CFDA number 17.260 will be archived and any new funds allocated through these two programs will be referenced using two new CFDA numbers: 17.277 for NEGs and 17.278 for WIA Dislocated Worker Formula Grants. All subsequent information listed here under 17.260 refers to WIA Dislocated Worker Formula Grants. For further information on NEGs please see the entry under CFDA number 17.277. Funds must be used in accordance with the statute and regulations.

**Applicant Eligibility:**

Under WIA, the organizations eligible to receive formula-based funding from the Department are the 50 states, Puerto Rico, the District of Columbia, and the outlying areas. Funds are allotted based on a statutory formula and states in turn allocate funds to local workforce investment boards (approximately 600), by formula prescribed by the governor. Applicants for NEGs may be states, outlying areas, local workforce boards, and non-profit and private organizations whose purpose is to provide targeted services to eligible beneficiaries.

**Beneficiary Eligibility:**

Individuals eligible for assistance include workers who have lost their jobs, including those dislocated as a result of plant closings or mass layoffs, and are unlikely to return to their previous industry or occupation; formerly self-employed individuals; and displaced homemakers who have been dependent on income of another family member, but are no longer supported by that income. Priority of Service is given to veterans and other covered persons. The NEGs have identical eligibility to the above and also include certain military personnel and defense employees. Services through NEGs are targeted to individuals affected by mass layoffs, natural disasters, Federal government actions, and other circumstances specified by the Secretary.

**Credentials/Documentation:**

Formula-funded programs are subject to Governor/Secretary Agreement and State Plan. States sign a grant document agreeing to comply with the Act and regulations for the formula-allotted program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The governor submits a single Strategic State Plan in accordance with one of the Planning guidance, either Stand-Alone or Unified, issued through the Federal Register. The planning guidance provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval, currently Kimberly Vitelli, Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Formula Funds: Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. State plans will be reviewed in accordance with 20 CFR 661.220(e), which provides that the Secretary must approve all state plans within 90 days of their submission, unless the Secretary determines in writing that: (1) the state plan is inconsistent with the provisions of Title I of WIA or the WIA regulations, including 29 CFR Part 37; or (2) the portion of the state plan impacting the Wagner-Peyser Act plan does not satisfy the criteria for approval in section 8(d) of the Wagner-Peyser Act or the Wagner-Peyser Act regulations at 20 CFR Part 652.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Workforce Investment Act of 1998, Public Law PL 105-220.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula funds are allotted to states under a statutory formula based on the distribution of unemployed individuals by state in three categories of unemployment. There are no matching requirements. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Performance reporting requires:

1. WIA Annual Report
2. WIA Annual report narrative
3. Required to submit WIASRD file for both participant and extiers on quarterly basis in addition to the annual reporting;
4. states must submit quarterly and supplemental monthly reports to ETA. No cash reports are required. No progress reports are required. Quarterly financial reports are required in accordance with 20 CFR 667.300. Regional Federal Project Officers conduct monitoring using risk assessments, desk reviews, and on-site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0184-0-1-504 - ARRA; 16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 10 \$851,000,000; FY 11 est \$0; and FY 12 est \$0 - Dislocated Worker Formula Grants FY2010 Advance associated with PY 2009 state allotments. (see 17.278 for additional obligations associated with PY2010 allotments which occurred during FY2010. 17.278 was substituted for 17.260 for Dislocated Worker State formula allotments at the beginning of PY 2010). (Formula Grants) FY 10 Not Available; FY 11 est \$0; and FY 12 Estimate Not Available - Dislocated Worker Formula Grants (see 17.278 for 2010 and 2011 obligation estimates, because after 2009 this program will be split into two CFDA numbers to enhance clarity). (Project Grants) FY 10 \$117,000,000; FY 11 est \$0; and FY 12 est \$0 - National Emergency Grants from FY2010 Advance associated with PY 2009. (see 17.277 for additional obligations associated with PY2010 funds which also occurred during FY2010. 17.277 was substituted for 17.260 for National Emergency Grants at the beginning of PY 2010.). (Project Grants) FY 10 \$155,000,000; FY 11 est \$7,000,000; and FY 12 est \$0 - National Emergency Grants (ARRA).

**Range and Average of Financial Assistance:**

Dislocated Worker Formula fund grants ranged from \$ 1,950,897 to \$ 212,284,647.

Dislocated Worker Recovery Act grants ranged from \$ 2,039,325 to \$ 221,906,888.

National Emergency Grant (NEG) amounts awarded have ranged from \$149,000 to \$22,000,000.

NEG Recovery Act grant amounts awarded have ranged from \$254,000 to \$18,600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: See 17.277 and 17.278. Fiscal Year 2011: See 17.277 and 17.278. Fiscal Year 2012: See 17.277 and 17.278.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 652 et al., Federal Register of August 2000.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Grace Kilbane, 200 Constitution Avenue, NW, Room S-4209, Washington, District of Columbia 20210 Email: NO-OWI.Official@dol.gov Phone: (202) 693-3980 Fax: (202) 693-3587.

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 17.258 WIA Adult Program; 17.259 WIA Youth Activities; 17.277 Workforce Investment Act (WIA) National Emergency Grants; 17.278 WIA Dislocated Worker Formula Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.261 WIA PILOTS, DEMONSTRATIONS, AND RESEARCH PROJECTS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part D, Section 171, Public Law 105-220.

**OBJECTIVES:**

Address national employment and training problems through demonstrations, pilot projects, and applied research that have interstate validity and will aid policymakers and stakeholders in addressing these problems.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Projects shall include demonstration of innovative direct services or improvements to existing service strategies for individuals to enhance employment opportunities, an evaluation component and support the Department of Labors stated strategic goal of Good Jobs for Everyone, by: (1) Preparing workers for good jobs; (2) For those not working, providing income security. 3) Focusing on key segments of the workforce; 4) Building a comprehensive workforce system through innovative approaches; and 5) Evaluating program effectiveness. Grants and contracts awarded for carrying out demonstration and pilot projects under this subsection are intended to be awarded only on a competitive basis, except that a noncompetitive award may be made in the case of a project that is funded jointly with other public or private sector entities that provide a portion of the funding for the project. 100 percent of the funds are discretionary, excluding a significant portion directed by Congress for use on specific projects.

**Applicant Eligibility:**

State and local governments, Federal agencies, private non-profit and for-profit organizations, including faith-based and community-based organizations, and educational institutions. Note: Applicant eligibility may be restricted to one or more applicant classes under the particular announcement or solicitation.

**Beneficiary Eligibility:**

Generally limited to the economically disadvantaged and those who are underemployed, unemployed, need to upgrade their skills in order to retain jobs, at-risk youth, and/or to those who have barriers to employability.

**Credentials/Documentation:**

Non-governmental entities ordinarily must furnish documentary evidence of adequate financial controls. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on the Employment and Training Administration (ETA) Internet Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable SGA. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 45 to 90 days.

**Appeals:**

Procedures for each project are specified in the applicable SGA.

**Renewals:**

Project extensions available upon approval by the Grant Officer (renewals are not automatic). Requests for extensions or renewals must be submitted in writing.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most projects last one to two years. See the following for information on how assistance is awarded/released: Most grants and contracts are awarded on a cost-reimbursement basis.

**Reports:**

Program reports are required for accountability purposes. Cash reports are required for accounting purposes. Quarterly progress reports on all grants awarded are a mandatory requirement of all solicitations. Monthly progress reports are required for contracts/task orders. Quarterly expenditure reports on all grants awarded are a mandatory requirement of all solicitations. Monthly expenditure reports are required for contracts/task orders. Performance monitoring is done by the Contracting Officer's or Grant Officer's Technical Representative in accordance with Federal Acquisition or Department of Labor Management Series Guidelines.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 10 \$41,000,000; FY 11 est \$88,000,000; and FY 12 est \$18,000,000

**Range and Average of Financial Assistance:**

Grant amounts vary and are influenced by the complexity of the initiative being studied. A general range of grant amounts would be two hundred thousand to one million dollars and an average five hundred thousand.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Since grants are associated with research and evaluation initiatives, outcomes, impacts, and program accomplishments are presented in final reports that are made publically available by the Employment and Training Administration at: <http://wdr.doleta.gov/research/>. Fiscal Year 2011: Since grants are associated with research and evaluation initiatives, outcomes, impacts, and program accomplishments are presented in final reports that are made publically available by the Employment and Training Administration at: <http://wdr.doleta.gov/research/>. Fiscal Year 2012: Since grants are associated with research and evaluation initiatives, outcomes, impacts, and program accomplishments are presented in final reports that are made publically available by the Employment and Training Administration at:

<http://wdr.doleta.gov/research/>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notices of SGAs are published periodically in the Federal Register on the ETA Web site at [www.doleta.gov](http://www.doleta.gov).

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest ETA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Wayne S. Gordon 200 Constitution Ave, N.W. Room N-5641, Washington, District of Columbia 20210 Email: [gordon.wayne@dol.gov](mailto:gordon.wayne@dol.gov) Phone: 2026933179

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: One example of a funded project is the Young Parent's Demonstration (YPD) grants. The YPD grants are demonstration grants that target the employment and training needs of young parents. The YPD grants provide educational and occupational skills training leading to family economic self-sufficiency to both mothers and fathers, and expectant mothers ages 16 to 24. Projects funded are encouraged to serve young parents in high-risk categories, including those who are court-involved, in the child welfare or foster care system, homeless, or victims of child abuse. Fiscal Year 2011: To be determined. Fiscal Year 2012: No projections at this time.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable SGA.

**17.264 NATIONAL FARMWORKER JOBS PROGRAM**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998; Title I, Subtitle D, Section 167; Public Law 105-220.

**OBJECTIVES:**

To help individuals (and their dependents) who are primarily employed in agricultural labor that is characterized by chronic unemployment and underemployment to find and retain stable employment. Grantees provide job training and other employment and education services and related assistance.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

In the National Farmworker Jobs Program (NFJP), eligible seasonal farmworkers and their dependents may be offered core services (including initial assessment, One Stop Center services, job placement, and eligibility determination), intensive services developed under a case management system (such as objective assessment, individual employment planning, basic education, allowance payments, dropout assistance, and work experience), training services (such as classroom training that is occupationally specific and on the job training), and related assistance (such as emergency assistance and other supportive services that allow a farmworker to stay employed or continue his or her participation in program activities). Funds must be used in accordance with Federal Regulations. The WIA statute requires a biennial grants competition to operate the NFJP program. The funds for the program are allocated through an administrative formula to state service areas; all funds are allocated for program activities.

**Applicant Eligibility:**

Public agencies and units of government (State and local); and private non-profit institutions/organizations authorized by their charters or articles of incorporation to operate employment and training programs. In addition, permanent and temporary housing assistance is also provided, through the same type of organizations.

**Beneficiary Eligibility:**

The ultimate beneficiaries are low income individuals and their dependents who have, during any consecutive 12-month period in the 24 months preceding their application for enrollment, been primarily employed in agricultural labor that is characterized by chronic unemployment or under employment due to the seasonal or migratory nature of the work. Individuals must also be legally able to work and males must not have violated the Selective Service Act registration requirement.

**Credentials/Documentation:**

Applicants must be able to demonstrate an understanding of the problems of seasonal farmworkers and the capacity to respond to their needs, a familiarity with the local agricultural industry, and the administrative capacity to administer workforce investment programs, including their capacity to be an effective One Stop system partner. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard preapplication forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for operating NFJP programs are awarded under a biennial competitive process. Applications are solicited, normally for each state's service area, through a Solicitation for Grant Applications (SGA) announcement published in the Federal Register and on ETA's Web site, [www.doleta.gov](http://www.doleta.gov). Applicants are required under the solicitation to provide their proposed plan to operate NFJP services in the areas where they propose to operate. A separate program is funded to serve the geographic area of each State, except as follows: more than one applicant may be selected to serve areas within California and some service areas comprise the geography of two adjoining states. (A provision for waiver of competition for a maximum four-year period may be exercised by the Department).

**Award Procedure:**

Competing applications will be rated according to criteria included in the Solicitation for Grant Application. Awards are made directly to eligible applicants by the Employment and Training Administration.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Sixty to ninety days.

**Appeals:**

Petition for reconsideration of non-selection as a potential grantee may be made to an Administrative Law Judge within 21 days of notification of the Department's decision.

**Renewals:**

The WIA gives the Secretary of Labor the authority to waive the grants competition, thereby renewing those grants without further competition for a third and fourth year, provided performance for the first two years has been satisfactory and upon receipt of a satisfactory annual plan..

**Formula and Matching Requirements:**

Statutory Formula: Title 20 CFR , Part 652; and 660 through 671, Public Law P.L. 105-220.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards initially apply for two years; the competition may be waived by the Secretary for subsequent two-year period if performance is satisfactory and upon receipt of a satisfactory annual plan. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly reports are required on program participants and expenditures. No cash reports are required. Quarterly Performance Reports are required. Financial reports are required quarterly. Regional Federal Project Officers conduct monitoring - desk audits, risk assessments, monitoring site visits and filed audits are utilized.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

Grantees are required to maintain complete accounting, personnel, and individual participant records in accordance with OMB Circulars A-102 and A-110. Participant records must support eligibility and the need for services provided.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 10 \$87,000,000; FY 11 est \$84,000,000; and FY 12 est \$87,000,000

**Range and Average of Financial Assistance:**

The range and average varies by year according to appropriation levels. State allocations are published annually in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: <http://www.doleta.gov/MSFW/html/Results.cfm>. Fiscal Year 2011: See the Department of Labor budget at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: See the Department of Labor budget at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR Part 652 and 660 through 671.

**Regional or Local Office:**

See Regional Agency Offices. Regional contact information is available on the Website at [www.doleta.gov/MSFW](http://www.doleta.gov/MSFW).

**Headquarters Office:**

Kimberly Vitelli 200 Constitution Ave. NW Rm C-4510, Washington, District of Columbia 20210 Email: [vitelli.kimberly@dol.gov](mailto:vitelli.kimberly@dol.gov) Phone: 202-693-3639

**Website Address:**

<http://www.doleta.gov/msfw/>

**RELATED PROGRAMS:**

17.258 WIA Adult Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are described in the Solicitation for Grant Application published in the Federal Register whenever there is a competition for grant awards. (Also, see paragraph 92, above.).

**17.265 NATIVE AMERICAN EMPLOYMENT AND TRAINING**

Workforce Investment Act (WIA), Section 166

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998 (Title I, Subtitle D, Section 166 and Subtitle B, Chapter 2), Title I, Section 166, Public Law 105-220, 112 Stat. 936, 29 U.S.C 2801 et seq.; Workforce Investment Act of 1998 (Title I, Subtitle D, Section 166 and Subtitle B, Chapter 2), Section 2, Public Law 111-5, Stat. 58.



**OBJECTIVES:**

To support employment and training activities for Indian, Alaska Native, and Native Hawaiian individuals in order to develop more fully the academic, occupational, and literacy skills of such individuals; to make such individuals more competitive in the workforce; and to promote the economic and social development of Indian, Alaska Native, and Native Hawaiian communities in accordance with the goals and values of such communities. All programs assisted under this section shall be administered in a manner consistent with the principles of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450 et seq.) and the government-to-government relationship between the Federal Government and Indian tribal governments. Supplemental youth funding is also awarded to help low-income Native American youth and Native Hawaiian youth, between the ages of 14 and 21, acquire the educational and occupational skills needed to achieve academic and employment success and transition to careers and productive adulthood.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds may be utilized for employment and training programs and services, including classroom training, On-The-Job training, training assistance, work experience, youth employment programs, day care, health care, job search, relocation, and transportation allowances designed to help eligible participants to obtain employment. There are specified restrictions on the amount of grant funds which can be used for administrative costs. Supplemental youth funds may be utilized to provide employment and training activities that assist youth in achieving academic and employment success. Such activities may include; mentoring, career exploration, work experience, community service, education programs including cultural education, leadership development, and supportive services. Funds are restricted to Indian, Alaska Native, and Native American youth and Native Hawaiian youth, between the ages of 14 and 21, living on or near reservations and the States of Oklahoma, Hawaii, and Alaska. Administrative costs are limited to 15% but are negotiable up to 20% upon prior agency approval. Recovery Act funds serve Indian and Native American youth through age 24. See above. Federally-recognized Indian Tribal Governments, bands or groups, Alaska Native villages or groups (as defined in the Alaska Native Claims Settlement Act, 43 U.S.C. 1602(b)), Hawaiian Native communities meeting the eligibility criteria, and Native American Organizations (public bodies or private nonprofit agencies) are selected by the Secretary on a competitive basis to run programs in designated service areas.

**Applicant Eligibility:**

Federally-recognized Indian Tribal Governments, bands or groups, Alaska Native villages or groups (as defined in the Alaska Native Claims Settlement Act, 43 U.S.C. 1602(b)), Hawaiian Native communities meeting the eligibility criteria, and Native American Organizations (public bodies or private nonprofit agencies) selected by the Secretary on a competitive basis. Tribes, bands, and groups may also form consortia in order to qualify for designation as a grantee. An independently eligible grantee shall be a Federally-recognized tribe or other Indian or Native American entity which has: (1) A governing body as defined in 20 CFR 668.200(a); (2) (for new grantees) an identifiable Native American resident population sufficient to generate the funding level(s) outlined at 20 CFR 668.200(a)(3) within its designated service area; and (3) the capability to administer Indian and Native American employment and training programs as outlined at 20 CFR 668.220. Detailed requirements for consortium grantee applicants are set forth at 20 CFR 668.200(b). Supplemental funding is automatically awarded to entities that serve Native American youth and Native Hawaiian youth living on or near reservations, and the States of Oklahoma, Hawaii, and Alaska.

**Beneficiary Eligibility:**

American Indians (members of federally-recognized Indian tribes, bands, and groups); other individuals of Native American descent, such as, but not limited to, the Klamaths in Oregon, Micmac and Maliseet in Maine, the Lumbees in North Carolina and South Carolina; Indians variously described as terminated or landless, Eskimos and Aleuts in Alaska, and Hawaiian Natives. ("Hawaiian Native" means an individual any of whose ancestors were natives prior to 1778 of the area which now comprises the State of Hawaii.) Applicants must also be economically disadvantaged, unemployed, or underemployed. A Native American grantee may in some cases enroll participants who are not

economically disadvantaged, unemployed, or underemployed in upgrading and retraining programs. See 20 CFR 668.300(b)(4) and (5). Native American youth between the ages of 14 and 21 who live on or near a reservation or in the States of Oklahoma, Alaska, and Hawaii and are low income, are eligible to receive supplemental youth services.

**Credentials/Documentation:**

An entity requesting to apply for a grant must submit a notification of intent to apply biennially. Consortium applicants must include a formal consortium agreement with attachments specified in 20 CFR 668.200. A Comprehensive Services Plan must be submitted by the designated grantees. It includes, among other things: (1) a program narrative description; (2) a planning summary; and (3) a brief budget summary. Individuals requesting services through this grant must provide documentation of Native American Descent such as Certificate Degree of Indian Blood (CDIB). Individuals must also provide documentation that they are low income or unemployed, or working part-time but are seeking full-time work or employed in a job that is not commensurate with the individual's demonstrated level of education or skill achievement. Males eligible for Selective Service must provide proof of registration. Youth receiving services under the Supplemental Youth Services Program (SYSP) must be low income and be between the age of 14 and 21. Recovery Act funds serve Indian and Native American Youth through age 24. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Employment and Training Administration publishes a Solicitation for Grant Application (SGA) in the Federal Register every two years. The SGA provides the application and award process for interested entities to apply for funding to serve specified geographic areas. After prospective grantees have filed a notice of intent and new applicants have additionally provided the information cited in 20 CFR 668.240, designation decisions are made. Subsequently, designated grantees must submit a Comprehensive Services Plan to the Employment and Training Administration, Office of Workforce Investment, Indian and Native American Programs (INAP), Department of Labor. In addition, grantees must describe the administrative, planning, and operational elements needed to implement a WIA Section 166 program. Instructions for completing these documents are issued by the Employment and Training Administration through a Training and Employment Guidance Letter (TEGL).

**Award Procedure:**

Grants will be made directly to eligible grantees for their service areas.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

From 60 to 90 days. Applicants will be notified of approval or disapproval of the Comprehensive Services Plan and if disapproved, given a reasonable time to make adjustments and resubmit the Plan. Final disapproval of an application or plan submitted by a designated grantee will not be made without affording the grantee an opportunity for reconsideration.

**Renewals:**

From 30 to 60 days. Grant awards may be renewed annually, while designation as a grantee applies for two years.

**Formula and Matching Requirements:**

Statutory Formula: Title 1, Part Subtitle D - National Programs, , Subpart Section 166 - Indian and Native American Programs, Public Law Workforce Investment Act of 1998.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are made available through annual program year grants. The program year runs from July 1 to June 30, except that the Supplemental Youth Services Program runs from April 1 to March 31. Funds obligated for any program year may be expended by each recipient during the program year and the two succeeding program years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

OMB 9084 form for comprehensive services to adult program and OMB 9085 for supplemental youth services program are submitted quarterly. Cash reports are not applicable. Progress reports are not applicable. OMB 9130 Form financial report is submitted quarterly. National office staff monitors performance using the Grants Management System (GEMS) to conduct risk assessments and desk reviews. On-site reviews are also conducted every three years.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other pertinent records shall normally be retained for a period of three years after the grant is closed out. Participant records shall be retained for five years. Records must be retained longer in certain cases, such as when audit findings have not been resolved.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 10 \$67,000,000; FY 11 est \$65,000,000; and FY 12 est \$67,000,000

**Range and Average of Financial Assistance:**

The range and average of financial assistance varies by year. Amounts are published annually in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: See Department of Labor Budget at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2011: See Department of Labor Budget at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: See Department of Labor Budget at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register, Volume 65, No. 156, Friday, August 11, 2000, 20 CFR Parts 667 and 668 (20 CFR 652 et al.), Employment and Training Administration, United States Department of Labor.

**Regional or Local Office:**

None.

**Headquarters Office:**

Evangeline M. Campbell, 200 Constitution Avenue, NW, Room S-4209, Washington, District of Columbia 20210 Email: [campbell.evangelina@dol.gov](mailto:campbell.evangelina@dol.gov) Phone: (202) 693-3737 Fax: (202) 693-3817.

**Website Address:**

<http://www.doleta.gov/dinap>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are described in the regulations and INAP administrative instructions issued biennially in the Solicitation for Grant Application published

in the Federal Register. In general, designation is based on the regulatory requirements found at 20 CFR 668.210, 668.220, and 668.230, concerning legal status, ability to administer Federal funds, and prior experience and success in providing employment and training services to the client population. In addition, the other requirements for designation found at 20 CFR Part 668, Subpart B, must also be met.

**17.267 INCENTIVE GRANTS - WIA SECTION 503**

WIA Incentive Grants

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part B, Section 174, 503, Public Law 105-220, 20 U.S.C 9273; Adult Education and Family Literacy Act, 20 U.S.C 9211.

**OBJECTIVES:**

To carry out innovative programs consistent with the purposes of Title I of WIA (Workforce Investment Systems), Title II of WIA (Adult Education and Family Literacy Act (AEFLA), 20 U.S.C. 9201 et seq.), the Carl D. Perkins Vocational and Applied Technology Education Amendments of 1998 (Public Law 105-332, 20 U.S.C. 2301 et seq.) or a combination of two or more of these acts.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

States have great flexibility in using these funds and are not limited to conducting only one type of innovative program. However, the use of grant funds must be consistent with WIA Section 503, including the requirement that they be used for innovative programs which further the purposes of WIA Titles I and II, AEFLA and/or the Perkins Act. In addition, grantees must comply with the requirements of whichever program the innovation affects. For example, if the incentive funds will be used for innovations in the delivery of youth activities under WIA Title I, the program must be consistent with WIA Title I provisions applicable to youth activities and the WIA regulations at 20 CFR part 664. States must submit a plan describing the innovative activities to be funded with this grant. States are expected to use funds for services and activities: (1) beyond those provided with regular funds from the three programs, particularly those authorized by one of these programs and another program; (2) which serve the needs of populations intended to be served by one or more of these programs; and (3) targeted to improving the performance of State systems of employment, training, and education. In addition, States are encouraged to plan activities that promote cooperation and collaboration among the agencies administering WIA Title I, AEFLA, and Perkins Act programs. States may only use funds in accordance with WIA, AEFLA, or Perkins Law III/IV.

**Applicant Eligibility:**

A listing of States eligible to receive incentive grants for program year 2009 performance was published in the Federal Register on May 9, 2011. To qualify for a grant, a State must exceed performance levels agreed to by the Secretary of Education, the Secretary of Labor, the Governor, and the State Education Officer, for outcomes in Titles I and II of the Workforce Investment Act (WIA) and the American Education and Family Literacy Act (AEFLA), which include placement after training, retention in employment, and improvement in literacy levels, among other measures.

**Beneficiary Eligibility:**

States, including Washington, DC, the Virgin Islands, Puerto Rico, and Guam.

**Credentials/Documentation:**

Documentation of the exceeded performance measures must be available. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The application must include assurances that: The State legislature was consulted with respect to the development of the application; the application was approved by the Governor, the eligible agency for adult education, as defined in WIA Section 203(4) (20 U.S.C. 9202(4)); and the State agency

responsible for vocational and technical education programs, as defined in Perkins Act Section 3(9) (20 U.S.C. 2302(9)); and the State and the eligible agency, as appropriate, exceeded the State adjusted levels of performance for WIA Title I, the State adjusted levels of performance for AEFLA, and the performance levels established for Perkins Act programs. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grants for projects are awarded each year to those states and territories that exceed their WIA and AEFLA performance measures. A Federal Register Notice (FRN) is published announcing the award winning states as well as the amount of the award. A Training and Employment Guidance Letter (TEGL) is published to provide guidance for the submission of the application. The FRN and the TEGL are published on the Performance Web site at <http://www.doleta.gov>. States develop a proposal and budget that demonstrate how they will provide services in accordance with the WIA, AEFLA and or Perkins IV laws. ETA coordinates the review of applications with the Department of Education.

**Award Procedure:**

States must exceed performance for WIA Adult, Dislocated Worker and Youth programs as well as meet performance in AEFLA. Representatives from DOL and Education review states' performance and compile a list of those states meeting both sets of performance requirements. States are allocated a share of the incentive funds based on their proportionate share of WIA and AEFLA title funds. States must submit an application indicating they will meet all requirements of WIA and AEFLA as well as Perkins IV before funds can be granted. See USDOL ETA guidance TEGL 20-01, Change 9 at: [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3028](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3028).

**Deadlines:**

May 09, 2011 to Jun 23, 2011: 45 days. Specified in the applicable TEGL, but generally 45 days from announcement in the Federal Register.

**Range of Approval/Disapproval Time:**

From 1 to 15 days.

**Appeals:**

From 15 to 30 days. Appeal procedures are at 20 CFR Part 667, Subpart H.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded on a program year (July to June) basis and are available for expenditure for two years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

When funds are expended for programs under AEFLA, Perkins IV or WIA, the applicable program report requirements apply. See TEGL 14-00, Change 3 and TEGL 14-03, Change 1 for additional reporting guidance. When funds are expended for programs under AEFLA, Perkins IV or WIA, the applicable program report requirements apply. See TEGL 14-00, Change 3 and TEGL 14-03, Change 1 for additional reporting guidance. When funds are expended for programs under AEFLA, Perkins IV or WIA, the applicable program report requirements apply. See TEGL 14-00, Change 3 and TEGL 14-03, Change 1 for additional reporting guidance. When funds are expended for programs under AEFLA, Perkins IV or WIA, the applicable program report requirements apply. See TEGL 14-00, Change 3 and TEGL 14-03, Change 1 for reporting guidance. When funds are expended for programs under either AEFLA, Perkins IV or WIA, the applicable program report requirements apply. See TEGL 14-00, Change 3 and TEGL 14-03, Change 1 for reporting guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits shall be conducted in accordance with 20 CFR 667.200(b).

**Records:**

States are required to maintain adequate records in accordance with DOL uniform administrative requirements in 29 CFR Sections 97.20 and 97.42.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 10 \$10,000,000; FY 11 est \$10,000,000; and FY 12 est \$10,000,000

**Range and Average of Financial Assistance:**

For PY09 awards, the range is \$1,210,964-\$3,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 666.200 - 666.230; Training and Employment Guidance Letters No. 20-01, change 9, TEGL 14-03, Change 1 and TEGL 14-00, Change 3.

**Regional or Local Office:**

See Regional Agency Offices. Federal Project Officers for those states receiving the awards.

**Headquarters Office:**

Luke A. Murren Frances Perkins Building, 200 Constitution Ave., NW, Washington, District of Columbia 20210 Email: [murren.luke@dol.gov](mailto:murren.luke@dol.gov) Phone: 2026933733

**Website Address:**

<http://www.doleta.gov/performance>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.268 H-1B JOB TRAINING GRANTS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

American Competitiveness and Workforce Improvement Act of 1998, Section 414(c), Public Law 105-227.

**OBJECTIVES:**

The H-1B Job Training Grant Program funds projects that provide training and related activities to workers to assist them in gaining the skills and competencies needed to obtain or upgrade employment in high-growth industries or economic sectors. Over time, these education and training programs will help businesses reduce their use of skilled foreign professionals permitted to work in the U.S. on a temporary basis under the H-1B visa program.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds are to be used to provide job training services and related activities to assist workers in gaining the skills and competencies needed to obtain or upgrade employment positions in high-growth industries and economic sectors which currently use H-1B visas to employ foreign workers. See above. Almost all funding will be used for competitive grants, except for a small percentage of

funds used by the Department of Labor for grants administration, technical assistance, and performance reporting.

**Applicant Eligibility:**

Grants may be awarded to a partnership of private and public sector entities as defined in ACWIA. Applicants may generally be public and non-profit organizations. See the Solicitation for Grant Applications (SGAs) for specific requirements.

**Beneficiary Eligibility:**

The scope of potential trainees under these programs can be very broad. Please review the Solicitation for Grant Applications for specific requirements.

Training may be targeted to a wide variety of populations including unemployed individuals and incumbent workers.

**Credentials/Documentation:**

Generally grantees must demonstrate an adequate organizational capacity, both fiscally and programmatically, including a project management structure.

Additionally, grantees must provide evidence of the use of data systems to track outcomes in a timely and accurate manner. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals.

Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Selections are made based on the best rated proposals, as well as other factors cited in the SGA. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. ETA announces grant recipients once the paneling process is complete, generally 90 to 120 days after the application deadline.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Application.

**Renewals:**

Renewals with funds are generally not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. The requirement for match is contingent on the activities proposed by the applicant. Applicants that propose incumbent worker training activities must provide resources equivalent to 50

percent of the grant award amount as matching funds. For applicants that do not include incumbent worker training activities, cost sharing or matching funds are not required as a condition for application. For applicants proposing incumbent worker activities, the 50 percent matching funds may be provided in cash or in-kind, however half of the total matching funds must be cash match.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last one to four years. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Grantees are required to submit quarterly reports within 45 days of the end of the calendar quarter regarding the status of their project. Quarterly financial reports are required within 45 days of the end of the quarter. Regional Federal Project Officers conduct performance monitoring using risk assessments, desk reviews, and on-site monitoring. Final project reports are due to ETA 90 days after the grant ends.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 10 \$14,000,000; FY 11 est \$220,000,000; and FY 12 est \$125,000,000

**Range and Average of Financial Assistance:**

Awards generally range from \$1,000,000 to \$5,000,000. Please review specific Solicitations for Grant Applications for specific details.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: -. Fiscal Year 2011: Performance plans are posted annually and are available on the Internet at:

[www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). DOL Budget information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012:

Performance plans are posted annually and are available on the Internet at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). DOL Budget information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided in applicable Solicitation for Grant Applications.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jennifer W. Troke 200 Constitution Avenue, NW, Room C-4526, Washington, District of Columbia 20210 Email: [businessrelations@dol.gov](mailto:businessrelations@dol.gov) Phone: (202) 693-3949 Fax: (202) 693-3890

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are specified in the applicable Solicitation for Grant Applications.

**17.270 REINTEGRATION OF EX-OFFENDERS****FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part Subtitle D, Section 171, Public Law 105-220, 20 U.S.C 9201.

**OBJECTIVES:**

This program includes both Adult Reentry grants to serve adult returning offenders and Youthful Offender grants aimed at youth involved or at risk of involvement in crime and violence. The objectives of the Adult Reentry grants include increasing the employment rate, employment retention rate, and earnings of released prisoners, and decreasing their recidivism. The objectives of the Youthful Offender grants include preventing in-school youth from dropping out of school, increasing the employment rate of out-of-school youth, increasing the reading and math skills of youth, reducing the involvement of youth in crime and violence, and reducing the recidivism rate of youth.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Services under the Adult Reentry grants include assistance in finding employment, mentoring, job training, remedial education, and other comprehensive transitional services. Services under the Youthful Offender grants include a wide array of educational, employment, mentoring, case management, and violence reduction efforts. Restrictions for specific projects are listed in grant announcements. One hundred percent of these funds are set aside for discretionary activities to be distributed almost exclusively through competitive procurements.

**Applicant Eligibility:**

Eligible applicants for Reintegration of Ex-Offender-Adult (RExO) grants are community-based organizations (CBOs) that are located in, or have a staff presence in the community being served. Eligible applicants for Youthful Offenders vary depending on the solicitation, but have included community-based organizations, school districts, and juvenile justice agencies.

**Beneficiary Eligibility:**

Reintegration of Ex-Offender-Adult grants serve individuals, 18 years old and older, who have been convicted as an adult and have been imprisoned for violating a state or federal law, and who have never been convicted of a sex-related offense. Depending on the solicitation, enrollment may be limited based on whether the presenting offense was violent or whether the individual has previously committed a violent crime. Individuals eligible for Youthful Offender grants vary depending on the solicitation.

**Credentials/Documentation:**

Non-governmental entities ordinarily must furnish documentary evidence of adequate financial controls. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for Federal assistance. Please note that competitions for Reintegration of Ex-Offender - Adult and Youth Offender

grants do not necessarily occur every year, depending on availability of funds and the extent to which existing grants are continuing.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. The general procedure is as follows. A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

From 60 to 90 days. Procedures for each project are specified in the applicable request for proposals.

**Renewals:**

From 60 to 90 days. Extensions available upon approval; renewals are not automatic.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The period of performance varies by grant announcement. The possibility of additional years of funding varies by grant announcement. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports are required. Depending on the solicitation, grantees also may be required to participate in DOL's Management Information System data collection system. Quarterly financial reports are required. Regional Federal Project Officers are responsible for monitoring performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Varies

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504 - Project Grants.

**Obligations:**

(Project Grants) FY 10 \$96,000,000; FY 11 est \$108,000,000; and FY 12 est \$85,000,000

**Range and Average of Financial Assistance:**

The range and average of financial assistance varies. The information is published in Federal Register grant announcements.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2011: Performance targets and results can be found in the DOL budget located at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specified in SGA Announcement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Richard G. Morris, 200 Constitution Ave, NW, Room N-4511, Washington, District of Columbia 20210 Email: [morris.richard@dol.gov](mailto:morris.richard@dol.gov) Phone: (202) 693-3603 Fax: (202) 693-3113.

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: See above.

Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable request for proposals.

**17.271 WORK OPPORTUNITY TAX CREDIT PROGRAM (WOTC)**

Work Opportunity Tax Credit (WOTC) Program

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Internal Revenue Code of 1986, as amended, Section 51, Section 51, Stat. 1768, 26 U.S.C 51, as amended by The Small Business Job Protection Act of 1996, Public Law 104-188; The Taxpayer Relief Act of 1997, Public Law 105-34, as amended by The Ticket to Work and Work Incentives Improvement Act of 1999, Public Law 106-170; The Tax and Trade Relief Extension Act of 1998, Part of the Omnibus Consolidated and Emergency Supplemental Appropriations Act of 1999, Public Law 105-277, as amended by The Katrina Emergency Tax Relief Act of 2005, Public Law 109-73, as amended by The Community Renewal Tax Relief Act of 2000, Public Law 106-554, as amended by The Job Creation and Worker Assistance Act of 2002, Public Law 107-147, as amended by The Social Security Protection Act of 2004 (P.L. 108-203), Public Law 108-203, as amended by The Working Families Tax Relief Act of 2005, Public Law 108-311, as amended by The Tax Relief and Health Care Act of 2006, Public Law 109-432; The Small Business and Work Opportunity Tax Act of 2007, Public Law 110-28; The American Recovery and Reinvestment Act of 2009, Public Law 111-5; The Tax Relief, Unemployment Insurance Reauthorization and Job Creation Act of 2010, Public Law 111-312.

**OBJECTIVES:**

The tax credit was designed to help individuals from nine current target groups who consistently have faced significant barriers to employment move from economic dependency to self-sufficiency by encouraging businesses in the private sector to hire target group members and be eligible to claim tax credits against the wages paid to the new hires during the first year of employment. The WOTC certified employees gradually stop their sole dependence on welfare benefits and become contributing taxpayers.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States are to use these formula grants for: determining eligibility of individuals as members of the target groups; issuing employer certifications or denials; developing working agreements with partner agencies in the One Stop Service Delivery system or other State agencies (e.g., HHS) to issue Conditional Certifications; and coordinating efforts to promote WOTC to employers and job seekers and other Workforce Investment Act (WIA) partners. The Federal government provides general direction, funding, and oversight to the states. See

above.

**Applicant Eligibility:**

States (not individuals), the District of Columbia, the Virgin Islands, and Puerto Rico.

**Beneficiary Eligibility:**

All employers seeking WOTC target group workers and target group members seeking employment. The members of the different target groups have statutory definitions (per Public Law 104-188, as amended ) with specific eligibility requirements that must be verified by the state workforce agencies before a certification can be issued to an employer or his/her representative.

Participating employers and their representatives must file their certification requests using IRS Form 8850 and ETA Form 9061 or 9062 within 28 days after the employment-start day of the new hires. This timeliness requirement cannot be waived and must be met before a state can issue a certification to eligible target group members.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 as codified in 41 CFR 1-15.7 for state and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State workforce agencies (SWAs) must submit an annual grant plan and statement of work to ETA according to the requirements issued in policy guidance. SWAs may request extensions through ETA regional offices.

**Award Procedure:**

Review of State Plans occurs at Employment and Training Administration National Office. WOTC grant funds for approved state plans are provided under separate annual funding agreements for each program year with the designated SWA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. As provided in policy guidance issued by ETA and IRS.

**Appeals:**

Other - Not Specified.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is provided by annual formula allotments. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly program reports are required. No cash reports are required. No progress reports are required. Quarterly financial reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Standard records for audits are required. The Internal Revenue Service (IRS) requires that the SWAs keep and maintain certification records for four years and denial records for one year in the event of an employer audit by IRS or an employer appeal to the SWAs.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Formula Grants) FY 10 \$19,000,000; FY 11 est \$18,000,000; and FY 12 est \$19,000,000

**Range and Average of Financial Assistance:**

FY 2011 Allotments ranged from \$ 66,000 to \$ 2,169,138. The average is not computed.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 51 of the Internal Revenue Code, Title 26 U.S.C. ETA Handbook No. 408, Third Edition, November 2002 as amended. An e-copy can be obtained at [www.doleta.gov/business/incentives/opptax](http://www.doleta.gov/business/incentives/opptax). The report may be obtained from the Division of Adult Services, 200 Constitution Ave, N.W., Room S-4209, Washington, DC 20210, or on the Employment and Training Administration Web page at <http://www.doleta.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Regional Office or state workforce agencies by checking the local telephone directory or obtaining directories of WOTC Regional and State Coordinators at: [www.doleta.gov/business/Incentives/opptax/](http://www.doleta.gov/business/Incentives/opptax/).

**Headquarters Office:**

Carmen Ortiz, 200 Constitution Ave, NW, Room S-4209, Washington, District of Columbia 20210 Email: [ortiz.carmen@dol.gov](mailto:ortiz.carmen@dol.gov) Phone: (202) 693-2786 Fax: (202) 693-3587.

**Website Address:**

<http://www.doleta.gov/business/Incentives/opptax/>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 27.002 Federal Employment Assistance for Veterans; 27.003 Federal Student Temporary Employment Program; 27.005 Federal Employment for Individuals With Disabilities; 64.116 Vocational Rehabilitation for Disabled Veterans; 93.558 Temporary Assistance for Needy Families

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.272 PERMANENT LABOR CERTIFICATION FOR FOREIGN WORKERS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Immigration and Nationality Act of 1952, as amended, Sections 101 (a) (15) H (II), 214 (c) and 212 (a) (5) (A), Section 101, 212, 214, Public Law 82-414, 66 Stat. 163, 8 U.S.C 1101 et seq.

**OBJECTIVES:**

To protect the jobs of American workers; ensure the wages and working conditions of U.S. workers will not be adversely affected by the admission of permanent foreign workers; and assist employers by supplementing the work force with needed skills.

**TYPES OF ASSISTANCE:**

**PROVISION OF SPECIALIZED SERVICES**

**USES AND USE RESTRICTIONS:**

Under Section 212 (a)(5)(A) of the Immigration and Nationality Act, foreign workers who seek to immigrate to the United States for employment shall be excluded from admission unless the Secretary of Labor determines and certifies to the Secretary of State and to the Secretary of Homeland Security that there are not sufficient U.S. workers available for the position, and that the employment of such foreign workers will not adversely affect the wages and working conditions of U.S. workers similarly employed. The certified employer must hire the foreign worker as a full-time employee; there must be a bona fide job opening available to U.S. workers; job requirements must adhere to what is customarily required for the occupation in the U.S. and may not be tailored to the foreign worker's qualifications. In addition, the employer shall document that the job opportunity has been and is being described without unduly restrictive job requirements, unless adequately documented as arising from business necessity. The employer must pay at least the prevailing wage for the occupation in the area of intended employment.

**Applicant Eligibility:**

(1) Any employer who is unable to find qualified U.S. workers to meet his or her needs and seeks to hire a foreign worker to fill a given job vacancy on a permanent basis is eligible to file an application for permanent labor certification with the Department of Labor. (2) An employer who seeks to employ a foreign worker whose category of employment is included in the Department of Labor, Schedule A list of precertified occupations contained in Part 656, Title 20, Code of Federal Regulations is eligible to file an application directly with the appropriate U.S. Citizenship and Immigration Services Office.

**Beneficiary Eligibility:**

Employers and foreign workers.

**Credentials/Documentation:**

Employers seeking labor certification, and thereafter filing an immigration petition to sponsor a foreign worker for employment-based permanent residency, must document that worker's education, experience, and job qualifications to the satisfaction of the U.S. Citizenship and Immigration Services. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Prior to filing the application for permanent employment certification, the employer must request a prevailing wage determination from the State Workforce Agency (SWA) having jurisdiction over the proposed area of intended employment and must attest, in addition to a number of other conditions of employment, to having conducted recruitment prior to filing the application. Commencing January 1, 2010, employers intending to file permanent labor certification applications must request prevailing wage determinations from the Employment and Training Administrations center located in Washington, DC. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Employers must file labor certification applications for permanent employment directly with the appropriate National Processing Center (except for Schedule A occupations). See <http://workforcsecurity.doleta.gov/foreign/perm.asp> for additional details.

**Award Procedure:**

If the appropriate National Processing Center approves the application, the application form is "certified" (approved) by the Certifying Officer and returned to the employer/agent who submitted the application. The labor certification is then filed by the sponsoring employer in support of its immigrant worker petition with USCIS.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Timeframe for processing of permanent labor certification applications varies with the circumstances of each case.

**Appeals:**

The permanent labor certification program provides for reconsideration by a Certifying Officer of denial of an application, upon the employer's request. Instead of or following a request for reconsideration, requests for administrative review of final determinations (denials of permanent labor certification applications) may be made directly to the Department of Labor's Board of Alien Labor Certification Appeals (BALCA).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Employment and Training Administration issues formula grants to State Workforce Agencies for activities supporting federal labor certification programs. Grants are issued on a fiscal year basis. For purposes of the permanent program, state labor agencies currently receive funding for processing and analysis necessary to issue prevailing wage rates to employers planning to file permanent labor certification applications. Commenting January 1, 2010, employers must request prevailing wage rates directly from the ETA prevailing wage determination center located in Washington, DC. See the following for information on how assistance is awarded/released: Fiscal year basis.

**Reports:**

Activity reports and workload data. Cash reports are not applicable. Quarterly reports from states on progress of spending against the total grant. Quarterly reports from states on progress of spending against the total grant. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Selected audits are conducted by the Department of Labor.

**Records:**

The employer is required to retain all supporting documentation for five years from the date of filing the Application for Permanent Employment Certification.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Salaries) FY 10 \$27,000,000; FY 11 est \$25,000,000; and FY 12 est \$25,000,000 - Funds for the Permanent Labor Certification Program are not appropriated separately from other foreign labor certification funds.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Quarterly Workforce System Results Website: <http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year 2011: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

References in the Code of Federal Regulations: For permanent employment-Title 20, CFR Part 656. Applicable statutes, regulations, and policies are described on the website of the Employment and Training Administration, Office of Foreign Labor Certification.

**Regional or Local Office:**

None. The following addresses, phone numbers, and FAX numbers should be used by employers and by State Workforce Agencies for either inquiries or the forwarding of applications materials, as appropriate. Please note, for all application materials, inquiries, and other correspondence sent to either the Atlanta or Chicago National Processing Center, envelopes should be clearly marked according to the appropriate program type. Atlanta Processing Center

Address: Department of Labor, Employment and Training Administration, Harris Tower, 233 Peachtree Street, Suite 410 Atlanta, GA 30303, Telephone: (404) 893-0101 Fax: (404) 893-4642. Chicago Processing Center Address: Department of Labor, Employment and Training Administration, 844 North Rush Street, 12th Floor, Chicago, IL 60611 Telephone: (312) 886-8000 Fax: (312) 886-1688.

**Headquarters Office:**

Anna Kasior Office of Foreign Labor Certification, National Office, 200 Constitution Avenue, NW, Room C-4312, Washington, District of Columbia 20210 Email: [kasior.anna@dol.gov](mailto:kasior.anna@dol.gov) Phone: (202) 693-3010 Fax: (202) 693-2768

**Website Address:**

<http://www.foreignlaborcert.doleta.gov/>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.273 Temporary Labor Certification for Foreign Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.273 TEMPORARY LABOR CERTIFICATION FOR FOREIGN WORKERS****FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Omnibus Insular Areas Act of 1991, Public Law 102-232, 105 Stat. 1733, 8 U.S.C 1182; Immigration Reform and Control Act of 1986, Public Law 99-603, 100 Stat. 3359, 8 U.S.C 1186; Immigration Act of 1990, Public Law 101-649, 104 Stat. 4978, 8 U.S.C 1182(n), 1184; Immigration and Nationality Act of 1952, as amended, Sections 101(a)(15)(H), 212(n), 214(c) and 214(i), Section 101, 212, 214, Public Law 82-414, 66 Stat. 163, 8 U.S.C 1101 et seq.

**OBJECTIVES:**

To provide greater protection for U.S. and foreign workers while assisting U.S. employers to obtain temporary foreign workers, when needed. Also, to enable agricultural and other employers to obtain foreign workers for temporary or seasonal jobs when domestic workers are not available; and to assure adequate working and living conditions for domestic and foreign workers employed in similar tasks.

**TYPES OF ASSISTANCE:**

Federal Employment; FORMULA GRANTS; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The Department of Labor issues labor certifications for temporary employment under several programs: H-1B Specialty (Professional) Worker Program, H-1B1 Specialty Worker Program (professionals from Chile or Singapore working in specialty occupations), E-3 Specialty Worker Program (professionals from Australia working in specialty occupations), H-2A Temporary Labor Certification (Agricultural), H-2B Temporary Labor Certification (Non-Agricultural), and D-1 Crewmember Program.

**Applicant Eligibility:**

H-2A Program: An agricultural employer who anticipates a shortage of U.S. workers needed to perform agricultural labor or services of a temporary or seasonal nature. The employer may be an individual proprietorship, a partnership or a corporation. An association of agricultural producers may file as a sole employer, a joint employer with its members, or as an agent of its members. An authorized agent, whether an individual (e.g., and attorney) or an entity (e.g., an association), may file an application on behalf of an employer. Associations may file master applications on behalf of their members. H-2B Program: The job and the employer's need must be one time, seasonal, peak load or intermittent; the job must be for less than one year; and there must be no qualified and willing U.S. workers available for the job. An employer can file



an application for labor certification with the appropriate National Processing Center of the Employment and Training Administration. State Workforce Agencies are federally funded to issue prevailing wage determinations for foreign labor certification programs.

**Beneficiary Eligibility:**

Grants support state activities to help employers recruit U.S. workers before seeking to hire a foreign worker. These foreign labor certification programs govern employers who have a need for workers in specialty occupations or as fashion models or in temporary agricultural or non-agricultural employment.

**Credentials/Documentation:**

In the major temporary labor certification programs, employers sponsoring foreign workers to fill a temporary need file the certification from the Department of Labor as documentation in support of their respective I-129 nonimmigrant worker petitions with the Department of Homeland Security, United States Citizenship and Immigration Services (USCIS). In the H-1B1 and E-3 programs, a USCIS petition is not needed for initial visa issuance, and the foreign national may use proof of certification in support of the visa application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States and U.S. territories receive these to support federal foreign labor certification activities. They submit workplans each year to provide continued eligibility for the grant. Employers who participate in foreign labor certification programs do not receive funding from these grants, but do benefit from the services offered by these state agencies to recruit U.S. workers for positions before they apply to hire a foreign worker. Employers contact the appropriate office of the Employment and Training Administration. Also see <http://www.doleta.gov/business/gw/guestwkr/> for additional details on specific programs.

**Award Procedure:**

State workforce agencies receive notification of grant award after federal approval of their workplans. Employers must prove they qualify for foreign labor certification before they can move to the next step of the employment-based immigration process. Certifications are sent to the employer in support of the petition to be filed with the U.S. Citizenship and Immigration Services which determines admissibility and Visa classification. Certified copies of accepted attestations for the D-1 Crewmember program are returned to the employer and the USCIS is notified of the filing in writing. Grants: State Workforce Agencies receive funds upon acceptance of their work plans.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

H-1B: From one to seven days. H-2A: Statute requires an initial acceptance by ETA within seven days of filing, and a final determination 30 days prior to the employer's date of need. 8 U.S.C. Section 1188(c).

**Appeals:**

There is no procedure for appealing Employment and Training Administration determination to accept or reject a Labor Condition Application. Complaints regarding misrepresentation in the attestation or failure of the employer to carry out the terms of the attestation may be filed with the Wage and Hour Division, Employment Standards Administration, Department of Labor.

**Renewals:**

Treated as filing of new labor condition applications.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Fiscal year basis. See the following for information on how assistance is awarded/released: ETA issues formula grants to State Workforce Agencies to fund activities supporting federal labor certification programs.

**Reports:**

Activity and workload reports. Cash reports are not applicable. States file quarterly financial reports to report on spending against the total grant. Grants: Quarterly financial reports are required. States file quarterly financial reports to report on spending against the total grant. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. States are regularly monitored for compliance with grant requirements. Employer has to make a filed labor condition application and necessary supporting documentation available for public examination at the employer's principal place of business in the United States, or at the place of employment within one working day after the date on which the labor condition application is filed with the Employment and Training Administration. Complaints concerning misrepresentation in the attestation or failure of the employer to carry out the terms of the attestation may be filed with the Wage and Hour Division, Employment Standards Administration, Department of Labor. The Administrator, Wage and Hour Division, performs the entire Secretary's investigative and enforcement functions under 8 U.S.C. 1182(n) and subparts I and K of 29 C.F.R. Part 504.

**Records:**

Program-related records, including financial records. Employer shall make the Labor Condition Application (LCA) and necessary supporting documentation available for public examination at the employer's principal place of business in the United States or at the place of employment within one working day after the date on which the LCA is filed with Employment and Training Administration.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Formula Grants) FY 10 \$15,000,000; FY 11 est \$15,000,000; and FY 12 est \$15,000,000 - Congressional funding for temporary labor certification programs is not appropriated separately from funds for other federal labor certification activities. (Provision of Specialized Services) FY 10 \$27,000,000; FY 11 est \$25,000,000; and FY 12 est \$25,000,000 - Congressional funding for temporary labor certification programs is not appropriated separately from funds for other federal labor certification activities.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: <http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year 2011: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further information concerning the program may be found at 20 CFR 655. Additional information on applicable statutes, regulations, and Departmental guidance is posted on the website of the Employment and Training Administration, Office of Foreign Labor Certification.

**Regional or Local Office:**

None. Contact the appropriate State Workforce Agency (See Appendix IV) or Employment and Training Administration National Processing Center. The following addresses, phone numbers, and FAX numbers should be used by employers and by State Workforce Agencies for either inquiries or the

forwarding of applications materials, as appropriate. Please note, for all application materials, inquiries, and other correspondence sent to either the Atlanta or Chicago National Processing Center, or the ETA National Office, envelopes should be clearly marked according to the appropriate program type, i.e. H-1B, H-1B1, E-3, H-2A, H-2B, or D-1. Atlanta Processing Center Address: U.S. Department of Labor, Employment and Training Administration, Harris Tower, 233 Peachtree Street, Suite 410, Atlanta, GA 30303 Phone: (404) 893-0101 FAX: (404) 893-4642. Chicago Processing Center Address: U.S. Department of Labor, Employment and Training Administration, 844 North Rush Street, 12th Floor, Chicago, IL 60611 Phone: (312) 886-8000 FAX: (312) 886-1688.

**Headquarters Office:**

Anna Kasior Office of Foreign Labor Certification, Employment and Training Administration Department of Labor, 200 Constitution Avenue, NW, Room C-4312, Washington, District of Columbia 20210 Email: kasior.anna@dol.gov Phone: (202) 693-3010.

**Website Address:**

<http://www.foreignlaborcert.doleta.gov/>

**RELATED PROGRAMS:**

17.272 Permanent Labor Certification for Foreign Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.274 YOUTHBUILD**

YouthBuild

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act (WIA) of 1998, Title I, Subtitle D, Section 173A, YouthBuild Program, Public Law 109-28. Public Law 105-220, 20 U.S.C. 9201. , Section 2, Public Law 111-5, 115 Stat. 59, VIII U.S.C 2.

**OBJECTIVES:**

Grant funds will be used to provide disadvantaged youth with: the education and employment skills necessary to achieve economic self sufficiency in occupations in high demand and post secondary education and training opportunities; opportunities for meaningful work and service to their communities; and opportunities to develop employment and leadership skills and a commitment to community development among youth in low-income communities. As part of their programming, YouthBuild grantees will tap the energies and talents of disadvantaged youth to increase the supply of permanent affordable housing for homeless individuals and low-income families and to assist youth develop the leadership, learning, and high-demand occupational skills needed to succeed in today's global economy.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds must be used for: (1) Education and workforce activities, such as: basic skills instruction and remedial education; language instruction educational programs for individuals with limited English proficiency; secondary education services and activities, including tutoring, study skills training, and dropout prevention activities, designed to lead to the attainment of a secondary school diploma, General Education Development (GED) credential, or other state-recognized equivalent (including recognized alternative standards for individuals with disabilities); counseling and assistance in obtaining post secondary education and required financial aid; alternative secondary school services; work experience and skills training (coordinated, to the maximum extent feasible, with pre-apprenticeship and registered apprenticeship programs) in housing rehabilitation and construction activities; occupational skills training; and other paid and unpaid work experiences, including internships and job shadowing. (2) Counseling services and related activities, such as comprehensive guidance and counseling on drug and alcohol abuse and referral; (3) Youth development activities, such as: community

service and peer-centered activities encouraging responsibility and other positive social behaviors, and activities related to youth policy committees that allow YouthBuild participants to engage in local policy and decision-making related to the program. (4) Supportive services and provision of need-based stipends necessary to enable individuals to participate in the program. (5) Supportive services to assist individuals, for a period not to exceed 12 months after the completion of training, in obtaining or retaining employment, or applying for and transitioning to post secondary education; and job search and assistance. (6) Supervision and training for participants in the rehabilitation or construction of housing, including residential housing for homeless individuals or low-income families, or transitional housing for homeless individuals. (7) Supervision and training for participants in the rehabilitation or construction of community and other public facilities. (8) Payment of a portion of the administrative costs of the grantee. (9) Mentoring of participants by qualified adults (10) Provision of wages, stipends, or benefits to participants in the program. (11) Ongoing training and technical assistance for staff that are related to developing and carrying out the program. (12) Follow-up services. (13) Equipment and/or supplies related to the YouthBuild activities funded through this grant. Funds must be used to provide prescribed education and workforce activities for eligible youth, including construction of housing, including residential housing for homeless individuals or low income families, or transitional housing for homeless individuals. Up to ten percent of the funds may be used in the rehabilitation or construction of a community or other public facilities. One hundred percent of funds are distributed through a competitive grant process.

**Applicant Eligibility:**

Eligible applicants for these grants are public or private nonprofit agency or organization (including a consortium of such agencies or organizations), including: community-based organizations; faith-based organizations; an entity carrying out activities under this WIA, such as a local workforce investment board or One-Stop Career Center; a community action agency; a state or local housing development agency; an Indian tribe or other agency primarily serving Indians; a community development corporation; a state or local youth service conservation corps; or any other relevant public or private nonprofit entity that provides education or employment training and can meet the required elements of the grant.

**Beneficiary Eligibility:**

An eligible youth is an individual who is (1) between the ages of 16 and 24 on the date of enrollment; and (2) a member of a disadvantaged youth population such as a member of a low-income family, a youth in foster care (including youth aging out of foster care), a youth offender, a youth who is an individual with a disability, a child of an incarcerated parent, or a migrant youth; and (3) an individual who has dropped out of high school and re-enrolled in an alternative school, if that re-enrollment is part of a sequential service strategy. Up to (but not more than) 25 percent of the participants in the program may be youth who do not meet the education and disadvantaged criteria above but who are: (1) basic skills deficient, despite attainment of a secondary school diploma, General Education Development (GED) credential, or other State-recognized equivalent (including recognized alternative standards for individuals with disabilities); or (2) have been referred by a local secondary school for participation in a YouthBuild program leading to the attainment of a secondary school diploma.

**Credentials/Documentation:**

Grantees must demonstrate adequate organizational capacity to implement a YouthBuild program. Additionally, grantees must provide evidence of the capacity to track and report performance outcomes. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet Web site at

<http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for Federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.dol.gov](http://www.dol.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Applications.

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 25%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last 2 to 3 years. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

A quarterly narrative report must be submitted within 45 days following the quarter. Cash reports are not applicable. The quarterly performance report must be submitted within 45 days following the quarter. A quarterly financial report is submitted within 45 days following the quarter. Regional Federal Project Offices conduct monitoring using risk assessments, desk audits, and on-site monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment, unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 10 \$69,000,000; FY 11 est \$115,000,000; and FY 12 est \$100,000,000

**Range and Average of Financial Assistance:**

Grants ranged from \$ 700,000 to \$1.1 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Once finalized, performance budgets are posted annually and are available on the Internet at:

[www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2011: Once finalized, performance budgets are posted annually and are available on the Internet at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: Once finalized, performance budgets are posted annually and are available on the Internet at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided in the applicable Solicitation for Grant Application.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Anne Stom 200 Constitution Avenue, NW, Room N-4508, Washington, District of Columbia 20210 Email: [stom.anne@dol.gov](mailto:stom.anne@dol.gov) Phone: (202) 693-3377 Fax: (202) 693-3861

**Website Address:**

<http://www.doleta.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Application.

**17.275 PROGRAM OF COMPETITIVE GRANTS FOR WORKER TRAINING AND PLACEMENT IN HIGH GROWTH AND EMERGING INDUSTRY SECTORS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Title VIII, Public Law 111-5.

**OBJECTIVES:**

The American Recovery and Reinvestment Act of 2009 (ARRA) is intended to preserve and create jobs and promote economic recovery; assist those most impacted by the recession; provide investments needed to increase economic efficiency by spurring technological advances in science and health; and invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.

The ARRA makes \$750,000,000 available for a program of competitive grants for worker training and placement in high growth and emerging industry sectors.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Competitive grants awarded through this program are to be used for worker training and placement in high-growth and emerging industry sectors: \$500 million shall be for research, labor exchange and job training projects that prepare workers for careers in energy efficiency and renewable energy; and the Recovery Act further provided that in awarding grants for the remaining \$250 million, projects that prepare workers for careers in the health care sector would receive priority. Restrictions are specified in Solicitation for Grant Announcements. TBD.

**Applicant Eligibility:**

Varies - please refer to the Solicitations for Grant Awards for specific eligibility.

**Beneficiary Eligibility:**

Varies - please refer to the Solicitations for Grant Awards for specific eligibility.

**Credentials/Documentation:**

Grantees must demonstrate an adequate organizational capacity, both fiscally and programmatically. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Application (SGAs) in the Federal Register, on Grants.gov, and also on ETA's Internet Web site at [www.doleta.gov](http://www.doleta.gov).

**Award Procedure:**

Procedures for each grant award are specified in the applicable request for grant applicants. Generally, the procedure is as follows: A technical review panel composed of Department of Labor staff as well as other peer reviewers evaluates the grant applications from eligible applicants. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a grant recipient.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Please check the Federal Register or [Grants.gov](http://Grants.gov) for deadlines.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Applications.

**Renewals:**

Renewals of funds are generally not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Cost sharing or matching funds are not required as a condition for application unless specified in the SGA.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of performance will be from one to three years, as specified in the SGA. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. At a minimum, quarterly progress and financial reports and final reports are required. Additional requirements are included in the solicitation. Regional Federal Project Officers conduct performance monitoring using risk assessments, desk monitoring, and on-site reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0184-0-1-504 - ARRA.

**Obligations:**

(Project Grants) FY 10 \$740,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Applicants should refer to individual SGAs to determine the range of awards.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specified in applicable Solicitation for Grant Applications.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Thomas Hooper, Business Relations Group, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Ave., NW., Room N-4643, Washington, District of Columbia 20210 Email: [hooper.thomas@dol.gov](mailto:hooper.thomas@dol.gov) Phone: (202) 693-3949. Fax: (202) 693-3865.

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Applications.

**17.276 HEALTH CARE TAX CREDIT (HCTC) NATIONAL EMERGENCY GRANTS (NEGS)****FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Public Law 111-5), Trade Act of 1974 (Public Law 93-618), as amended; Trade Adjustment Assistance (TAA) Reform Act of 2002 (Public Law 107-210); Workforce Investment Act Section 173(g)(29 U.S.C. 2918), Public Law 111-5.

**OBJECTIVES:**

To provide health insurance coverage assistance and support related services to individuals eligible for Trade Adjustment Assistance (TAA), alternative TAA, or a PBGC pension, as authorized under the Trade Adjustment Assistance Reform Act of 2002.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

These NEG funds may be used to provide assistance and support services, including qualifying health insurance coverage, transportation, child care, dependent care and income assistance, to eligible individuals waiting to receive payments through the HCTC. Under the Recovery Act, the HCTC is equal to 80 percent of the amount paid by an eligible individual for qualified health coverage. Monthly payments are made directly to a health plan administrator

on behalf of participants, allowing them to receive the benefit of the tax credit at the time of need. States may request HCTC NEG funds to cover up to three months of gap payments to support 80 percent of the qualified premium for eligible individuals. The gap period is defined as the period after the state determines a candidate's eligibility for HCTC until the IRS enrolls, processes, and pays a candidate's first payment under the HCTC program. This period is usually one month, but depending on the timing and other factors can take up to three months, and sometimes slightly longer in rare instances. NEG funding for gap periods is predicated on the fact that the individual remains eligible for the HCTC for all gap months. All of these funds are awarded to States that apply.

**Applicant Eligibility:**

Not Applicable.

**Beneficiary Eligibility:**

Not Applicable.

**Credentials/Documentation:**

TAA certification. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HCTC applications are submitted electronically through the National Emergency Grant Electronic Application System. States are required to complete and submit the following forms:

Completed and signed SF 424 Application for Federal Assistance. This form is the required application for requesting federal funds.

Project Synopsis (ETA 9106) - This form summarizes key aspects of the proposed project such as project type, planned number of participants and contact information.

Planning Form (ETA 9103) This form provides cumulative quarterly estimates on project scope (e.g. number of participants, exits), designs (e.g. mix of services), and budget (e.g., cost by type of activity, administrative costs)

Narrative Statement Explanation must be provided in cases where one or more of the following are reflected in the project plan:

Indirect costs are included in the budget, which requires identifying the following: cognizant approval agency, approved cost rate and base, and date of approval.

Other costs are included in the budget, which requires identifying the specific cost items and amounts

Administrative costs related to processing payments for qualified health insurance coverage and/or income support are included in the budget, which requires explaining how the administrative cost estimate was derived (i.e. based on the number of check payments and check processing costs)

TAA Certification Report - The applicant must include, as an attachment to its grant submission, information which identifies the trade certification number(s) for the workers included in the target group for the project. In cases where a petition has been filed but the certification is pending, identify the trade petition number and the date the petition was filed.

**Award Procedure:**

The Grant Officer issues a Notice of Obligation to the grantee providing the dollar amount, purpose of the funds and the terms and conditions of the grant, based on the information provided in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. A decision on an initial application and monetary grant modifications such as requests for incremental funding, are made within 30 working days from receipt of a complete and responsive request.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

HCTC grants are awarded on a rolling basis. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. quarterly performance reports. HCTC Infrastructure reports outline the administrative costs of and the premium payments processed. HCTC gap filler reports outline the number of participants receiving payments and the amount of payments issued. A separate quarterly financial report (9130) is also submitted. NEG quarterly performance report (ETA 9104) is submitted through the NEG Electronic Application System on actual performance to date. NEG Quarterly Performance report (ETA 9104) is submitted through the NEG Electronic System on actual performance to date.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State requirements are to be in conformity with Federal statutes.

**Account Identification:**

16-0184-0-1-504 - ARRA.

**Obligations:**

(Project Grants) FY 10 \$6,000,000; FY 11 est \$3,000,000; and FY 12 est \$3,000,000

**Range and Average of Financial Assistance:**

For PY2010/FY2011, the range of award was \$280,000 to \$3,600,000. The average was \$451,179.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training and Employment Guidance Letter (TEGL) 25-09, which "provides guidance and direction regarding the availability of Health Coverage Tax Credit (HCTC) National Emergency Grant (NEG) resources for health insurance coverage assistance and support services for eligible Trade Adjustment Assistance (TAA) recipients and other eligible individuals, as authorized under the Workforce Investment Act of 1998.

Unemployment Insurance Program Letter (UIPL) 12-11, which advises "State Workforce Agencies of their responsibilities under the HCTC program after the expiration of the provisions of the American Recovery and Reinvestment Act of 2009 (Recovery Act) that temporarily expanded the HCTC."

**Regional or Local Office:**

See Regional Agency Offices. Employment and Training Administration regional offices.

**Headquarters Office:**

Erica R. Cantor, Francis Perkins Building, Room C-5321, Washington, District

of Columbia 20210 Email: cantor.eric@dol.gov Phone: (202) 693-3500 Fax: (202) 693-3149.

**Website Address:**

<http://www.doleta.gov/neg/>

**RELATED PROGRAMS:**

17.245 Trade Adjustment Assistance; 17.260 WIA Dislocated Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.277 WORKFORCE INVESTMENT ACT (WIA) NATIONAL EMERGENCY GRANTS**

National Emergency Grants (NEGs)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle B, Chapter 5, Title I, Public Law 105-220, 20 U.S.C 9201.

**OBJECTIVES:**

The purpose of the National Emergency Grant program is to temporarily expand service capacity at the state and local levels by providing time-limited funding assistance in response to significant dislocation events. Significant events are those that create a sudden need for assistance that cannot reasonably be expected to be accommodated within the on-going operations of the formula-funded Dislocated Worker program, including the discretionary resources reserved at the state level.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Eligible circumstances for funding include: Federal Emergency Management Agency (FEMA)-declared disasters; plant closures and mass layoffs affecting 50 or more workers; and special assistance, including health insurance coverage assistance to trade impacted workers and other individuals eligible under the Trade Act as amended by the TAA Reform Act of 2002.

**Applicant Eligibility:**

Entities that are generally eligible to receive a National Emergency Grant include: designated state Workforce Investment Act (WIA) program grantee agencies; a Local Workforce Investment Area; a consortium of local boards for adjoining local areas; a designated organization receiving WIA funding through the Native American Program provisions of WIA; and a consortium of states.

Funds can be used to provide employment and training services (including some supportive services) to eligible participants.

**Beneficiary Eligibility:**

Individuals who are eligible for assistance vary by type of National Emergency Grant project; however, they must meet the criteria provided in the Workforce Investment Act: National Emergency Grants - Application Procedures, 69 Federal Register (April 27, 2004).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications for NEGs are submitted via the NEG Electronic Application System.

**Award Procedure:**

The Grant Officer issues a Notice of Obligation to the grantee providing the dollar amount, purpose of the funds, and the terms and conditions of the grant based on the information provided in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. A decision on an initial application and monetary grant modifications such as requests for incremental funding, are made within 30 working days from receipt of a complete and responsive request.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Workforce Investment Act of 1998, Public Law PL 105-220.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applications for NEG funds can be funded in whole or in part. Generally, NEGs are funded incrementally. Awarded NEG funds may be expended during the months remaining in the Program Year in which the grant award is made plus the subsequent two program years. Generally, planned project durations should not exceed 24 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Progress/Program Reports and Workforce Investment Act Performance Reports are submitted quarterly. No cash reports are required. Progress Reports and Workforce Investment Act Performance Reports are submitted quarterly. Financial reports are submitted quarterly. Performance monitoring occurs on a quarterly basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 10 \$12,000,000; FY 11 est \$199,000,000; and FY 12 est \$189,000,000 - Prior to July 2010 NEG grants were issued under CFDA # 17.260. Beginning in PY 2010 (July 1, 2010 to June 30, 2011) NEG grants or older grant increments began going out under 17.277.

**Range and Average of Financial Assistance:**

Grant amounts awarded PY2009/FY2010 ranged from \$205,000 - \$11,082,639. the average is \$1,828,636.

Grant amounts awarded PY2010/FY 2011 ranged from \$8,949 - \$18,030,129. The average is \$2,148,959.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010:

[http://www.doleta.gov/performance/results/Archive\\_Reports.cfm](http://www.doleta.gov/performance/results/Archive_Reports.cfm). Fiscal Year 2011: See DOL Budgets located at

<http://www.dol.gov/dol/aboutdol/main.htm#budget>. Fiscal Year 2012: See DOL Budgets located at <http://www.dol.gov/dol/aboutdol/main.htm#budget>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 652 et al., Federal Register of August 2000. Workforce Investment Act: National Emergency Grants - Application Procedures 69 Fed. Reg. 23051 (April 27, 2004)

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate Regional Employment and Training Office listed in the appendix of the Catalog.

**Headquarters Office:**

Erica R. Cantor, 200 Constitution Ave. NW, Room C-5321, Washington, District of Columbia 20210 Email: cantor.eric@dol.gov Phone: (202) 693-3500 Fax: (202) 693-3149.

**Website Address:**

<http://www.doleta.gov/neg>

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 17.258 WIA Adult Program; 17.259 WIA Youth Activities; 17.260 WIA Dislocated Workers; 17.276 Health Coverage Tax Credit (HCTC)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.278 WIA DISLOCATED WORKER FORMULA GRANTS**

(WIA Dislocated Workers)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part Subtitle B, Section Chapter 5, Public Law 105-220, 20 U.S.C 9201.

**OBJECTIVES:**

The purpose of the WIA Dislocated Worker program is to help dislocated workers become reemployed through job search assistance and/or training that builds their occupational skills to meet labor market needs. This program's success is measured by participants' entry into unsubsidized employment, retention in unsubsidized employment, and average earnings.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The Act authorizes three levels of service for dislocated workers. "Core" services include outreach, job search and placement assistance, and labor market information. "Intensive" services include more comprehensive assessments, development of individual employment plans and counseling, and career planning. Customers who cannot find employment with their current skills may receive "training" services linked to job opportunities in their communities, including both occupational training and training in basic skills. To promote customer choice and involvement in career decisions, participants use an "Individual Training Account" (ITA) to select an appropriate training program from an eligible training provider. The Act also authorizes the provision of supportive services (e.g., transportation and child care assistance) to enable an individual to participate in the program. Funds reserved by the Secretary are also used for technical assistance and training and demonstration programs.

Beginning in Program Year (PY) 2010 CFDA number 17.260 will no longer be used for any new funding. Funding previously covered under 17.260 which is allocated after June 30, 2010 will be referenced using several new CFDA numbers: 17.277 for National Emergency Grants (NEGs), 17.278 for WIA Dislocated Worker Formula Grants, 17.280 WIA Dislocated Worker National Reserve Demonstration Grants, and 17.281 WIA Dislocated Worker National Reserve Technical Assistance and Training Grants. All subsequent information listed here under 17.278 refers to WIA Dislocated Worker Formula Grants. Funds must be used in accordance with the statute and regulations.

**Applicant Eligibility:**

Under the Act, the organizations eligible to receive formula-based funding from

the Department are the 50 states, Puerto Rico, the District of Columbia and the outlying areas. Funds are allotted based on a statutory formula and states, in turn, allocate funds to local workforce investment boards (approximately 600), by formula prescribed by the governor.

**Beneficiary Eligibility:**

Individuals eligible for assistance through the Act include workers who have lost their jobs, including those dislocated as a result of plant closings or mass layoffs, and are unlikely to return to their previous industry or occupation; formerly self-employed individuals; and displaced homemakers who have dependent on income of another family member, but are no longer supported by that income. Priority of Service is given to veterans and other covered persons.

**Credentials/Documentation:**

Formula-funded programs are subject to an agreement between the Governor and Secretary and an approved State Plan. States sign a grant document agreeing to comply with the Act and regulations for the formula-allotted program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The governor submits a single Strategic State Plan in accordance with one of the Planning guidance, either Stand-Alone or Unified, issued through the Federal Register. The planning guidance provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. State plans will be reviewed in accordance with 20 CFR 661.220(e), which provides that the Secretary must approve all state plans within 90 days of their submission, unless the Secretary determines in writing that: (1) the state plan is inconsistent with the provisions of Title I of WIA or the WIA regulations, including 29 CFR Part 37; or (2) the portion of the state plan impacting the Wagner-Peyser Act plan does not satisfy the criteria for approval in section 8(d) of the Wagner-Peyser Act or the Wagner-Peyser Act regulations at 20 CFR Part 652.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Workforce Investment Act of 1998, Public Law 105-220.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula funds are annually allotted to states and local workforce investment areas under statutory formulas based on the distribution of unemployed individuals. States and local areas have three years to obligate the funds before they expire. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Performance reporting requires:

1. WIA Annual Report
2. WIA Annual Report narrative
3. required to submit WIASRD file for both participants and exiters on quarterly basis in addition to the annual reporting.
4. Quarterly Financial Reports

Note: Monitoring is conducted by Regional Federal Project Officers based on a risk assessment. No cash reports are required. No progress reports are required. Quarterly financial reports are required in accordance with 20 CFR 667.300. Regional Federal Project Officers conduct monitoring using risk assessments, desk reviews, and on-site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 10 \$324,000,000; FY 11 est \$1,065,000,000; and FY 12 est \$1,084,000,000 - Prior to July 2010, Dislocated Worker Formula Grants to States went out under CFDA # 17.260. This includes all state allotments from PY 2009 and earlier. Starting in PY 2010 (July 1, 2010 to 30 June 2011) Dislocated Worker state allotments went out under CFDA number 17.278.

**Range and Average of Financial Assistance:**

WIA formula grants vary annually and are published in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010:

<http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year 2011: Once finalized, Department of Labor budgets are posted on the Internet and are available at:

[www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: Once finalized, Department of Labor budgets are posted on the Internet and are available at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 652 et al., Federal Register of August 2000.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Grace Kilbane, 200 Constitution Ave NW, Washington, District of Columbia 20210 Email: NO-OWI.Official@dol.gov Phone: (202) 693-3980 Fax: (202) 693-3981.

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 17.258 WIA Adult Program; 17.260 WIA Dislocated Workers; 17.277 Workforce Investment Act (WIA) National Emergency Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.279 GREEN JOBS INNOVATION FUND GRANTS**

Green Jobs Innovation Fund Grants

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title 1, Section 171, Public Law 105-220, 1 U.S.C 171.

**OBJECTIVES:**

The Green Jobs Innovation Fund is part of the Departments vision for ensuring that workers have the necessary skills, knowledge, and abilities to succeed in a knowledge-based economy that includes high growth and emerging green industries. Green industries include the energy efficiency and renewable energy industries as well as sectors that impact our environment such as transportation, green construction, environmental protection, sustainable agriculture, forestry, and recycling and waste reduction. The Green Jobs Innovation Fund will allow ETA to build upon the lessons learned from the green job investments provided under the American Recovery and Reinvestment Act. Through a competitive grant opportunity, the Department is emphasizing critical steps along green career pathways by: 1) forging linkages between Registered Apprenticeship and pre-apprenticeship programs, and/or 2) integrating the delivery of technical and basic skills training through community-based partnerships. The Fund will help workers receive job training in green industry sectors and occupations and access green career pathways.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The funds must be used to train workers for careers in green industry sectors and occupations and help them access green career pathways. Specific rules and requirements are published in each Solicitation for Grant Application. Approximately one hundred percent of available funds are used for discretionary activities. Grant opportunities are published in the Federal Register. See Applicant Eligibility Requirements. A small portion of the funds will be used to provide technical assistance to Green Job Innovation Fund grantees to support successful performance.

**Applicant Eligibility:**

See above.

**Beneficiary Eligibility:**

The scope of potential trainees is very broad. Specific requirements are published in each Solicitation for Grant Application. WIA Section 171 authorizes demonstration programs to serve unemployed workers, dislocated workers, and incumbent workers. Within these categories, grantees may serve a wide range of individuals, such as individuals receiving public assistance, high school dropouts, new entrants to the workforce, individuals with disabilities, veterans, Indians and Native Americans, and individuals with Limited English Proficiency. Eligible participants must be at least 16 years of age. If participants are 16-18 years of age, then they must be high school dropouts or out of school youth.

**Credentials/Documentation:**

Grantees must demonstrate an adequate organizational capacity, both fiscally and programmatically, including a project management structure. Additionally, grantees must provide evidence of the use of data systems to track outcomes in a timely and accurate manner. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110



applies to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of federal staff and peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of each application and the cumulative rating. Selections are made based on the best rated proposals, as well as other factors as cited in the SGA. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. ETA announces grant recipients once the paneling process is complete, generally 90 to 120 days after the application deadline.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Application.

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last 1 to 3 years. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are required within 45 days following the end of the quarter. Quarterly financial reports are required within 45 days following the end of the quarter. Final progress reports are required no later than 90 days after all grant funds have been expended, or the period of grant funds availability has expired.

Regional Federal Project Officers conduct monitoring using risk assessments, desk monitoring, and on-site reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$0; FY 11 est \$40,000,000; and FY 12 est \$60,000,000

**Range and Average of Financial Assistance:**

Grants typically range from \$5-8 million per award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided in the applicable Solicitation for Grant Applications.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jennifer W. Troke, Department of Labor, 200 Constitution Ave. NW, N-4643, Washington, District of Columbia 20210 Email: [green.jobs@dol.gov](mailto:green.jobs@dol.gov) Phone: (202) 693-3949 Fax: (202) 693-3890

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Application.

**17.280 WORKFORCE INVESTMENT ACT (WIA) DISLOCATED WORKER NATIONAL RESERVE DEMONSTRATION GRANTS FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act, Title 1, Part D, Section 171(d), Public Law 105-220, 29 U.S.C 2916.

**OBJECTIVES:**

To carry out demonstration and pilot projects for the purpose of developing and implementing techniques and approaches, and demonstrating the effectiveness of specialized methods, in addressing employment and training needs of Dislocated Workers.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

To carry out demonstration and pilot projects for the purpose of developing and implementing techniques and approaches, and demonstrating the effectiveness of specialized methods, in addressing employment and training needs of Dislocated Workers. Grants awarded for carrying out demonstration and pilot projects under this subsection shall generally awarded on a competitive basis to non-state entities. Awards to states are provided on a non-competitive basis. Funding for all demonstration projects is generally awarded competitively, except funding provided to states, which is awarded on a non-competitive basis.

**Applicant Eligibility:**

State and local governments, Federal agencies, private non-profit and for profit organizations, including faith-based and community-based organizations, and educational institutions. Note: Applicant eligibility may be restricted to one or more applicant classes under the particular announcement or solicitation.

**Beneficiary Eligibility:**

Project participants are dislocated workers and incumbent workers.

**Credentials/Documentation:**

Non-governmental entities ordinarily must furnish documentary evidence of

adequate financial controls. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grants for projects are awarded on a competitive basis, announced in Solicitations for Grant Applications (SGA) in the Federal Register and also on ETA's Internet website <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable SGA. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluate eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an award notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Procedures for each project are specified in the applicable SGA.

**Renewals:**

Project extensions available upon approval by the Grant Officer (renewals are not automatic). Requests for extensions or renewals must be submitted in writing.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last 1 to 2 years. See the following for information on how assistance is awarded/released: Program reports are required for accountability purposes.

**Reports:**

Program reports are required for accountability purposes. Cash reports are required for accountability purposes. Quarterly progress reports on all grants awarded are a mandatory requirement of all solicitations. Monthly progress reports are required for contracts/task orders. Quarterly progress reports on all grants awarded are a mandatory requirement of all solicitations. Monthly progress reports are required for contracts/task orders. Performance monitoring is done by the Contracting Officer's or Grant Officer's Technical Representative in accordance with Federal Acquisition or Department of Labor Management Series Guidelines.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorized earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$8,000,000; and FY 12 est \$10,000,000 - A maximum of ten percent of the WIA Dislocated Worker National Reserve may be used for Demonstration and Pilot projects.

**Range and Average of Financial Assistance:**

Amounts awarded in PY2010/FY2011 were between \$3,200,000 and \$8,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notices of SGAs are published periodically in the Federal Register on the ETA website at [www.doleta.gov](http://www.doleta.gov)

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Erica R. Cantor 200 Constitution Avenue, NW, Room C5321, Washington, District of Columbia 20210 Email: [cantor.eric@dol.gov](mailto:cantor.eric@dol.gov) Phone: (202) 693-3500 Fax: (202) 693-3149

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable SGA.

**17.281 WORKFORCE INVESTMENT ACT (WIA) DISLOCATED WORKER NATIONAL RESERVE TECHNICAL ASSISTANCE AND TRAINING**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act, Title 1, Part D, Section 170, Public Law 105-220, 29 U.S.C 2915.

**OBJECTIVES:**

To support the coordination, development, and provision of appropriate training, technical assistance, staff development, and other activities, including assistance in replicating programs of demonstrated effectiveness to States, local areas, and other entities involved in providing assistance to dislocated workers as well as promoting the continuous improvement of assistance provided to dislocated workers under the Workforce Investment Act of 1998.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants awarded to entities other than States or local units of government that are for amounts in excess of \$100,000 shall only be awarded on a competitive basis.

Of the amounts available pursuant to WIA Section 132(a)(2), The National Reserve Account, the Secretary shall reserve not more than 5 percent of such amounts to provide technical assistance to States, local areas and other entities involved in providing reemployment services to dislocated workers, to promote

the continuous improvement of assistance provided to dislocated workers, under this title.

**Applicant Eligibility:**

State and local governments, Federal agencies, private non-profit and for profit organizations, including faith-based and community-based organizations, and educational institutions. Note: Applicant eligibility may be restricted to one or more applicant classes under the particular announcement or solicitation.

**Beneficiary Eligibility:**

Funds are used to promote the continuous improvement of assistance provided to dislocated workers.

**Credentials/Documentation:**

Non-Governmental entities ordinarily must furnish documentary evidence of adequate financial controls. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants submit application to US Department of Labor, Employment and Training Administration.

**Award Procedure:**

The Grant Officer issues a Notice of Obligation to the grantee providing the dollar amount, purpose of the funds and the terms and conditions of the grant, based on information provided in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are required for accountability purposes. Cash reports are required for accountability purposes. Quarterly progress reports on all grants are a mandatory requirement of all solicitations. Quarterly progress reports on all grants awarded are a mandatory requirement of all solicitations. Performance monitoring is done by the Contracting Officer's or Grant Officer's Technical Representative in accordance with Federal Acquisition or Department of Labor Management Series Guidelines.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs claimed to have been incurred for the performance

of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorized earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$8,000,000; and FY 12 est \$7,000,000 - Grants and cooperative agreements. Contracts are excluded.

**Range and Average of Financial Assistance:**

Grant amounts awarded in PY2010/FY2011 ranged from \$22,750 to \$3,500,000. The average is \$650,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Erica R. Cantor 200 Constitution Avenue, NW, Room C5321, Washington, District of Columbia 20210 Email: cantor.eric@dol.gov Phone: (202) 693-3500. Fax: (202) 693-3149

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.282 TRADE ADJUSTMENT ASSISTANCE COMMUNITY COLLEGE AND CAREER TRAINING (TAACCCT) GRANTS**

Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Trade Act of 1974 as amended by the American Recovery and Reinvestment Act of 2009, Public Law 111-5, 19 U.S.C 2372a(b); Health Care and Education Reconciliation Act of 2010, Public Law 111-152.

**OBJECTIVES:**

The Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants Program provides community colleges and other eligible institutions of higher education with funds to expand and improve their ability to deliver education and career training programs that can be completed in two years or less, are suited for workers who are eligible for training under the Trade Adjustment Assistance for Workers program, and prepare program participants for employment in high-wage, high-skill occupations. The targeted population of this program is workers who have lost their jobs or are threatened with job loss as a result of foreign trade. The Department intends to fund multi-year grants to eligible institutions for either developing innovative programs or replicating evidence-based strategies. As a result of this Solicitation for Grant Applications (SGA), the Department is helping to ensure that our nations institutions of higher education are able to help the targeted population succeed in acquiring the skills, degrees, and credentials needed for high-wage, high-skill employment while also meeting the needs of employers for skilled workers.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The Health Care and Education Reconciliation Act includes \$2 billion over four years for the Trade Adjustment Assistance Community College and Career

Training grant program. The grants awarded under this Solicitation will help eligible institutions expand and improve their ability to deliver education and career training programs that can be completed in two years or less, and are suited for workers who are eligible for training under the TAA for Workers program. The Department of Labor is implementing this program in partnership with the Department of Education. Specific rules and requirements are published in the Solicitation for Grant Application. Approximately one hundred percent of available funds are used for discretionary activities. Grant opportunities are published in the Federal Register. Eligible institutions are institutions of higher education as defined in Section 102 of the Higher Education Act of 1965 (20 U.S.C. 1002) which offer programs that can be completed in not more than 2 years. Please refer to the Solicitation for Grant Application for specific eligibility.

**Applicant Eligibility:**

See Uses Section Above.

**Beneficiary Eligibility:**

See Information Above.

**Credentials/Documentation:**

Grantees must demonstrate an educational capacity need in their community and the impact that the new capacity will have on training workers in that community. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Section 278 of the Trade Act of 1974 as amended by the American Recovery and Reinvestment Act of 2009 requires community outreach to employers and other entities such as the workforce system to identify shortcomings in existing educational and career training opportunities available to workers in the community and any future employment opportunities within the community. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circulars No. A-21, A-110, A-122, A-133 apply to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of federal staff and peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of each application and the cumulative rating. Selections are made based on the best rated proposals, as well as other factors as cited in the SGA. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. ETA announces grant recipients once the paneling process is complete (see above).

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Application.

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the

program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last anywhere from 1 to 3 years. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are required within 45 days following the end of the quarter. Quarterly financial reports are required within 45 days following the end of the quarter. Annual performance reports are required within 45 days following the end of each project year. Final progress reports are required no later than 90 days after all grant funds have been expended, or the period of grant funds availability has expired. Regional Federal Project Officers conduct monitoring using risk assessments, desk monitoring, and on-site reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0187-0-1-504.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$0; FY 11 est \$500,000,000; and FY 12 est \$500,000,000

**Range and Average of Financial Assistance:**

We expect grant awards to be no lower than \$2.5 million per award. Please see Solicitation for Grant Application for details.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided in the applicable Solicitation for Grant Applications.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jennifer W. Troke Department of Labor, 200 Constitution Ave. NW, N-4643, Washington, District of Columbia 20210 Email: [taaccct@dol.gov](mailto:taaccct@dol.gov) Phone: (202) 693-3949 Fax: (202) 693-3890

**Website Address:**

<http://www.doleta.gov/taaccct/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant

Application.

### **17.283 WORKFORCE INNOVATION FUND**

Workforce Innovation Fund

#### **FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

#### **AUTHORIZATION:**

Full Year Continuing Appropriations Act, 2011, Title VIII, Section 1801, Public Law 112-10.

#### **OBJECTIVES:**

The Workforce Innovation Fund will fund projects that demonstrate innovative strategies or replicate effective evidence-based strategies that align and strengthen the workforce investment system in order to improve program delivery and education and employment outcomes for program beneficiaries.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Funds can be used for a broad range of activities. Please see the grant solicitation for specific allowable activities. Restrictions are established by law and through the grant solicitation. All of the Workforce Innovation Fund grants are discretionary. They will be awarded through a competitive process.

#### **Applicant Eligibility:**

Eligible applicants are States, consortia of States, or partnerships including regional partnerships.

#### **Beneficiary Eligibility:**

The scope of potential beneficiaries under these programs can be very broad. Please review the Solicitation for Grant Application for specific requirements.

#### **Credentials/Documentation:**

Generally grantees must demonstrate an adequate organizational capacity, both fiscally and programmatically, and strong proposed plans for implementing their project. Applicants should review the Solicitation for Grant Applications for specific requirements. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circulars No. A-87, A-122, and A-133 apply to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet Web site at <http://www.doleta.gov>. To compete for a grant, eligible applicants develop a proposal and budget. The SGA provides all of the necessary information for applying for federal assistance.

#### **Award Procedure:**

Procedures are specified in the Solicitation for Grant Applications. Generally, the procedure is as follows: A technical review panel composed of federal staff and peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of each application and the cumulative rating. Selections are made based on the best rated proposals, as well as other factors as cited in the SGA. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days. ETA announces grant recipients once the paneling

process is complete (see above).

#### **Appeals:**

Procedures are specified in the applicable Solicitation for Grant Application.

#### **Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Most projects last approximately 3 years. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are required within 45 days following the end of the quarter. Quarterly financial reports are required within 45 days following the end of the quarter. Annual performance reports are required within 45 days following the end of each project year. Final progress reports are required no later than 90 days after all grant funds have been expended, or the period of grant funds availability has expired. Regional Federal Project Officers conduct monitoring using risk assessments, desk monitoring, and on-site reviews.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

#### **Account Identification:**

16-0174-0-1-504.

#### **Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$118,000,000 - P.L. 112-10 appropriated \$125 million for the Workforce Innovation Fund. About 95% of the appropriated amount will be awarded through competitive grants, and the remainder will be used by the Department of Labor to provide technical assistance and evaluate grantee projects.

#### **Range and Average of Financial Assistance:**

See SGA when published.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

#### **Regional or Local Office:**

See Regional Agency Offices.

#### **Headquarters Office:**

Gina King Wells 200 Constitution Ave, NW., Washington, District of Columbia 20210. Email: [king.gina@dol.gov](mailto:king.gina@dol.gov) Phone: 202-693-3763.

#### **Website Address:**

No Data Available

#### **RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See SGA when published.

**17.302 LONGSHORE AND HARBOR WORKERS' COMPENSATION****FEDERAL AGENCY:**

Office of Workers' Compensation Programs, Department of Labor

**AUTHORIZATION:**

Longshore and Harbor Workers' Compensation Act as extended, 43 U.S.C 1331; Longshore and Harbor Workers' Compensation Act as extended, Public Law 92-576, 5 U.S.C 8171.

**OBJECTIVES:**

To provide compensation for disability or death resulting from injury, including occupational disease, to eligible private employees.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

This program provides income replacement and supplement; schedule awards for the loss of sight or hearing, dismemberment, disfigurement etc., medical expenses (including hospital care); and funeral expenses up to \$3,000. Benefits are paid by private insurance carriers or self-insured employers.

**Applicant Eligibility:**

Longshore workers, harbor workers, and certain other employees engaged in maritime employment on the navigable waters of the United States and adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of Nonappropriated Fund Instrumentalities, employees of private employers engaged in work outside the United States under contracts with the United States Government, and others as specified, including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under an extension of the Act, applicable to injuries or deaths based upon employment events that occurred prior to July 26, 1982. Puerto Rico is not covered by the Longshore and Harbor Workers' Compensation Act.

**Beneficiary Eligibility:**

Longshore workers, harbor workers, and certain other employees engaged in maritime employment on the navigable waters of the United States and adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of nonappropriated fund instrumentalities, employees of private employers engaged in work outside of the United States under contracts with the United States Government, and other as specified, including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under an extension of the Act, applicable to injuries or deaths based upon employment events that occurred prior to July 26, 1982. Puerto Rico is not covered by the Longshore and Harbor Workers' Compensation Act.

**Credentials/Documentation:**

Longshore workers, harbor workers, and certain other employees engaged in maritime employment on the navigable waters of the United States and adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of Nonappropriated Fund Instrumentalities, employees of private employers engaged in work outside the United States under contracts with the United States Government, and others as specified, including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under an extension of the Act, applicable to injuries or deaths based upon employment events that occurred prior to July 26, 1982. Necessary documentation is developed when claim is filed by employee/employer or insurance carrier. The claimant may be required to submit to physical examination. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Employee or his or her survivor files written claim for compensation (Form LS-203 or LS-262) to the local district office of the Office of Workers' Compensation Programs (OWCP). Employer may pay benefits voluntarily.

**Award Procedure:**

Authority to adjudicate claims informally under this program rests with the District Director in (OWCP) district offices. Claims unresolved on voluntary basis are referred to the Office of Administrative Law Judges for formal hearing under the Administrative Procedure Act. Claim must be filed within one year after (a) the injury or death (2 years if injury is an occupational disease which does not immediately result in death or disability), or (b) the last compensation payment. Time begins to run when prudent person should have been aware of relationship between injury or death and employment. For hearing loss claims, time does not begin to run until an audiogram together with a report showing a hearing loss, is given claimant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Insurance carrier or self-insured employer must pay compensation after 14 days of having knowledge of an injury causing disability or death, or controvert claim.

**Appeals:**

Application for modification of awards must be filed within 1 year after (a) the last compensation payment, or (b) rejection of a claim by an Administrative Law Judge or District Director Office of Workers' Compensation Programs. Appeal from Administrative Law Judge's decision must be filed within 30 days; Appeals from Benefits Review Board decision must be filed within 60 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Injury: The period of total or partial disability, with no monetary limit. Death: Spouse - until death or remarriage; children - until age 18 or to age 23 if qualified as a student as defined in the Act. Employers or their insurance carriers are required to begin compensation within 14 days of (a) knowledge of the injury or death or (b) injured employee's report of loss of wages. Payments are generally disbursed on a bi-weekly basis. See the following for information on how assistance is awarded/released: Payments are generally disbursed on a bi-weekly basis.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-1521-0-1-601.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$138,260,000; FY 11 est \$140,000,000; and FY 12 est \$138,000,000

**Range and Average of Financial Assistance:**

Disability - 66-2/3 percent of average weekly wage; death benefits 50 percent average wages of deceased to such widow or widower, plus 16-2/3 percent for one or more surviving children with 66-2/3 percent limit. Average benefit unknown. Weekly compensation payments limited to 200 percent of national average weekly wage.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Longshore and Harbor Workers' Compensation Act, as extended. Copies may be obtained from the Office of Workers' Compensation Programs, Division of Longshore and Harbor Workers' Compensation, 200 Constitution Ave. NW, Suite C-4315, Washington, DC 20210.

**Regional or Local Office:**

None. Persons are encouraged to communicate with the district offices of the Office of Workers' Compensation Programs (OWCP), Division of Longshore and Harbor Worker's Compensation (DLHWC). Contact information is available at the following website:

<http://www.dol.gov/owcp/dlhwc/lscntac.htm>.

**Headquarters Office:**

Miranda Chiu Office of Workers' Compensation Programs, Division of Longshore and Harbor Workers' Compensation, 200 Constitution Avenue NW, Washington, District of Columbia 20210 Email: DLHWC-PUBLIC@dol.gov Phone: (202) 693-0038.

**Website Address:**

<http://www.dol.gov/esa/owcp/dlhwc>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.307 COAL MINE WORKERS' COMPENSATION**

(Black Lung)

**FEDERAL AGENCY:**

Office of Workers' Compensation Programs, Department of Labor

**AUTHORIZATION:**

Black Lung Benefits Act, as amended, 30 U.S.C 901 et seq.

**OBJECTIVES:**

To provide benefits to coal miners who have become totally disabled due to coal workers' pneumoconiosis (CWP), and to widows and other surviving dependents of miners who have died of this disease.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Monthly cash benefits are paid to coal miners disabled from coal workers' pneumoconiosis and to widows and other survivors of miners who have died of this disease. There are no restrictions on the use of these benefits by a beneficiary. Medical payments for treatment related to coal workers' pneumoconiosis are available to miners only after January 1, 1974.

**Applicant Eligibility:**

The miner (including some workers involved in coal transportation in and around mines and coal mine construction workers) must have worked in the Nation's coal mines or a coal preparation facility and become "totally disabled" (as defined in the Act) from pneumoconiosis. The applicant may be able to work in areas other than coal mines and still be eligible for benefits. Benefits to miner shall be reduced on account of excess earnings as determined under sections 203(b) through (1) of the Social Security Act for claims filed on or after January 1, 1982. Widows and other surviving dependents of coal miners whose death resulted from coal workers' pneumoconiosis are also eligible for benefits with earnings offsets applicable to certain classes of dependents. Applicants can reside anywhere in the world at the time they apply.

**Beneficiary Eligibility:**

Disabled coal miners, widows and other surviving dependents of the deceased.

**Credentials/Documentation:**

The miner (including some workers involved in coal transportation in and

around mines and coal mine construction workers) must have worked in the Nation's coal mines or a coal preparation facility and become "totally disabled" (as defined in the Act) from pneumoconiosis. The applicant may be able to work in areas other than coal mines and still be eligible for benefits. Benefits to miner shall be reduced on account of excess earnings as determined under sections 203(b) through (1) of the Social Security Act for claims filed on or after January 1, 1982. Widows and other surviving dependents of coal miners whose death resulted from coal workers' pneumoconiosis or where the miner had been found to be qualified for Black Lung Benefits are also eligible for benefits with earnings offsets applicable to certain classes of dependents. Applicants can reside anywhere in the world at the time they apply. Medical tests, at Department of Labor expense, which include an x-ray, pulmonary function study, physical examination, and blood gas tests. Proof of work in or around a coal mine or coal preparation facility. Also proof of death, relationship and dependency required for widows and other survivors applying. Identification of a responsible mine operator is made as specified in regulations published in the Code of Federal Regulations (20 CFR 725). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants are required to state on the claim form whether a claim for disability benefits due to the same condition has been filed under any State or other Federal workers' compensation law. Benefits received as a result of such a claim could be offset against Federal benefits. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Telephone, write-in, or visit the local Division of Coal Mine Workers' Compensation district or local office listed in Appendix IV of the Catalog.

**Award Procedure:**

After review of the application is completed, the applicant will be notified by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 2 months to 8 months for proposed decisions and orders depending on availability of supporting evidence. A miner must file a claim for benefits within 3 years after a medical determination of total disability due to pneumoconiosis or within 3 years after the date of enactment of Public Law 95-239, whichever comes later, (Black Lung Benefits Reform Act of 1977). There are no time limitations for dependent survivors to file claims.

**Appeals:**

Notify Office of Workers' Compensation Programs (OWCP). The appeal process includes de novo formal hearings before the Office of Administrative Law Judges, Benefits Review Board consideration, and review by Federal courts of Appeal.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of total disability with no monetary limit. Death: Spouse - until death or remarriage; children - until age 18 or to age 23 if qualified as a student as defined by the Act unless under a disability as defined in Section 223(d) of the Social Security Act, 42 U.S.C. 423(d). Employers or their insurance carriers are required to begin compensation within 30 days of the initial determination of eligibility. See the following for information on how assistance is awarded/released: Payments are disbursed on a monthly basis.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Any change in an eligibility requirement or in a factor affecting the amount of benefits, such as, State workers' compensation awards, or change in status of a dependent, must be reported to the Office of Workers' Compensation Programs when it occurs.

**Account Identification:**

20-8144-0-7-601.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$446,545,875; FY 11 est \$424,765,000; and FY 12 est \$388,315,000 - These are benefits for both Parts B & C of the program.

**Range and Average of Financial Assistance:**

On January 1, 2010, new monthly rates went into effect for Black Lung benefits that included a 1.5 percent increase over the 2009 benefit amounts. The rates are as follows: PART B MONTHLY BENEFITS RATES (claims approved by the Social Security Administration - payments received around the 3rd of each month): Primary beneficiary: \$625.00, Primary beneficiary and one dependent: \$938.00, Primary beneficiary and two dependents: \$1,094.00, Primary beneficiary and three or more dependents: \$1,251.00. PART C BLACK LUNG MONTHLY BENEFIT RATES (claims approved by the Department of Labor - payments received around the 15th of each month): Primary beneficiary: \$625.60, Primary beneficiary and one dependent: \$938.30, Primary beneficiary and two dependents: \$1,094.70, Primary beneficiary and three or more dependents: \$1,251.10. Rates are linked to GS salary levels and did not increase in 2011.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 410.401 et seq., 718, 722, 725, 726, and 727. "Black Lung Benefits," Fact Sheet No. ESA 91-14.

**Regional or Local Office:**

None. Persons are encouraged to communicate with the district offices of the Office of Workers' Compensation Programs (OWCP), Division of Coal Mine Workers' Compensation (DCMWC). Contact information is available at the following website: <http://www.dol.gov/owcp/dcmwc/blcontac.htm>.

**Headquarters Office:**

Michael McClaran, Office of Workers' Compensation Programs, Division of Coal Mine Workers' Compensation, 200 Constitution Avenue NW, Washington, District of Columbia 20210 Email: DCMWC-PUBLIC@dol.gov Phone: (202) 693-0046.

**Website Address:**

<http://www.dol.gov/esa/owcp/dcmwc/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.310 ENERGY EMPLOYEES OCCUPATIONAL ILLNESS COMPENSATION****FEDERAL AGENCY:**

Office of Workers' Compensation Programs, Department of Labor

**AUTHORIZATION:**

Energy Employees Occupational Illness Compensation Program Act of 2000, as amended, 42 U.S.C 7384 et seq.

**OBJECTIVES:**

Part B provides lump-sum monetary payments and medical benefits to covered employees and, where applicable, to survivors of such employees, of the

Department of Energy (DOE), its predecessor agencies and certain of its vendors, contractors and subcontractors. Part B also provides lump-sum payments and medical benefits to individuals found eligible by the Department of Justice (DOJ) under section 5 of the Radiation Exposure Compensation Act (RECA) and, where applicable, to their survivors. Part E of the Act provides variable lump-sum payments (based on a worker's permanent impairment and/or calendar years of qualifying wage-loss) and medical benefits for covered DOE contractor employees and, where applicable, provides variable lump-sum payments to survivors of such employees (based on a worker's death due to a covered illness and either 10 or 20 calendar years of qualifying wage-loss). Part E also provides these same payments and benefits to uranium miners, millers and ore transporters covered by section 5 of RECA and, where applicable, to survivors of such employees.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

This program provides lump-sum monetary payments to employees and former employees (or their eligible survivors) as compensation for occupational illnesses under Part B, and covered illnesses under Part E; medical expenses (including hospital care). Benefits are paid from a mandatory appropriation of Federal funds.

**Applicant Eligibility:**

Employees and, where applicable, to survivors of such employees, of the Department of Energy (DOE), its predecessor agencies, certain of its vendors, contractors and subcontractors, and uranium miners, millers and ore transporters covered by section 5 of RECA, who are or were engaged in covered employment related to the testing or production of nuclear weapons.

**Beneficiary Eligibility:**

Employees and, where applicable, to survivors of such employees, of the Department of Energy (DOE), its predecessor agencies, certain of its vendors, contractors and subcontractors, and uranium miners, millers and ore transporters covered by section 5 of RECA, who are or were engaged in covered employment related to the testing or production of nuclear weapons.

**Credentials/Documentation:**

Necessary documentation is developed when claim is filed with the program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Employee or his or her survivor(s) files written claim for compensation (Form EE-1 or EE-2) with the local district office of the Office of Workers' Compensation Programs (OWCP), or with a Resource Center.

**Award Procedure:**

Authority to issue recommended decisions under this program rests with OWCP district offices. Authority to issue final decisions rests with the Final Adjudication Branch.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

From 120 to 180 days. Request for review of or hearing on a recommended decision must be made within 60 days. Request for reconsideration of a final agency decision must be filed within 30 days of issuance of the final decision. Request to reopen claim after issuance of a final decision may be made at any time, if supported by material evidence.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**



Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Benefits are not length-based. Maximum monetary lump-sum payment under Part B is \$150,000 per covered employee; maximum monetary lump-sum payment under Part E is \$250,000 per covered employee. No limitation on payment of medical expenses. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

16-1523-0-1-053.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$1,073,666,000; FY 11 est \$1,249,945,000; and FY 12 est \$1,187,448,000

**Range and Average of Financial Assistance:**

Maximum monetary lump-sum payment under Part B is \$150,000 per covered employee; maximum monetary lump-sum payment under Part E is \$250,000 per covered employee. No limitation on payment of medical expenses.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Claims for Compensation Under the Energy Employees Occupational Illness Compensation Program Act, 20 CFR Part 30, are available on the Internet at <http://www.dol.gov>, or from OWCP.

**Regional or Local Office:**

None. Persons are encouraged to communicate with the district offices of the Office of Workers' Compensation Programs (OWCP), Division of Energy Employees Occupational Illness Compensation (DEEOIC). Contact information is available at the following website:  
<http://www.dol.gov/owcp/energy/regs/compliance/law/JurisdictionMap.htm>.

**Headquarters Office:**

Rachel Leiton, Office of Workers' Compensation Programs, Division of Energy Employees Occupational Illness Compensation, 200 Constitution Avenue NW, Washington, District of Columbia 20210 Email: DEEOIC-PUBLIC@dol.gov Phone: (202) 693-0081.

**Website Address:**

<http://www.dol.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.502 OCCUPATIONAL SAFETY AND HEALTH\_SUSAN HARWOOD TRAINING GRANTS**

Susan Harwood Training Grants

**FEDERAL AGENCY:**

Occupational Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Occupational Safety and Health Act, Public Law 91-596, 29 U.S.C 670(c).

**OBJECTIVES:**

To provide occupational safety and health training and education to employees and employers, particularly in the recognition, avoidance and abatement of

workplace hazards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants to nonprofit organizations to provide training or other educational services to employees and/or employers in priority areas designated by OSHA.

**Applicant Eligibility:**

Nonprofit organizations.

**Beneficiary Eligibility:**

Individuals employed in workplaces that receive training and/or educational services under grants.

**Credentials/Documentation:**

Applicants must show nonprofit status. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application instructions are distributed by Occupational Safety and Health Administration, Directorate of Training and Education. Completed applications are returned to the Directorate of Training and Education.

**Award Procedure:**

Final award decisions are made by the Assistant Secretary of Labor for Occupational Safety and Health.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded for a minimum of 12 months.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a minimum of 12 months. Grantees receive funds through the Department of Health and Human Services' Payment Management System. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required quarterly. Federal Financial Reports are required to be completed quarterly. Performance monitoring is conducted by the Regional Offices on a quarterly and annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

(Training) FY 10 \$10,750,000; FY 11 est \$10,728,500; and FY 12 est \$12,000,000

**Range and Average of Financial Assistance:**

Fiscal Year 2010 grants ranged from \$29,755 to \$780,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 61 training and education grants were awarded. Fiscal Year 2011: An estimate of 47 training and education grants will be awarded. Fiscal Year 2012: An estimate of 66 training and education grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 95 and 96; OMB Circulars A-21 (2 CFR Part 220), A-110 (2 CFR Part 215), and A-122 (2 CFR Part 230).

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Regional Offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Kimberly Mason U.S. Department of Labor  
Occupational Safety and Health Administration  
200 Constitution Avenue, NW  
, Washington, District of Columbia 20210 Email: harwoodgrants@dol.gov  
Phone: (847) 297-4810

**Website Address:**

<https://www.osha.gov>

**RELATED PROGRAMS:**

17.503 Occupational Safety and Health\_State Program; 17.504 Consultation Agreements; 17.505 OSHA Data Initiative; 17.602 Mine Health and Safety Education and Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in the Federal Register Notice soliciting applications. They include program, administration and budget categories.

**17.503 OCCUPATIONAL SAFETY AND HEALTH\_STATE PROGRAM**

State Plan Grant Awards

**FEDERAL AGENCY:**

Occupational Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Occupational Safety and Health Act, Section 23(g), Public Law 91-596, 29 U.S.C 60(c).

**OBJECTIVES:**

To fund federally approved comprehensive State occupational safety and health programs that are "at least as effective" as the Federal program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants to States to administer and enforce State programs for occupational safety and health, limited to States having federally approved plans.

**Applicant Eligibility:**

Designated State agencies which have federally approved occupational safety and health plans.

**Beneficiary Eligibility:**

Any employer, worker or their representative from a business engaged in interstate commerce except those under jurisdiction of other Federal agencies.

**Credentials/Documentation:**

State agency responsible for occupational safety and health must show that its program is "at least as effective" as the Federal occupational safety and health program. This is accomplished by providing standards covering occupational

safety and health issues, an enforcement program for those standards, and adequate legal authority and resources to operate the program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application instructions are distributed by the Occupational Safety and Health Administration to the approved State plan States through OSHA's Directives System. Completed applications are returned to the National Office.

**Award Procedure:**

Final approval of funding requests is given annually by the Assistant Secretary of Labor for Occupational Safety and Health.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants to States for administering their own safety and health programs that can be renewed indefinitely, provided they continue to meet the "at least as effective" requirements. Applications for renewals are submitted to the Occupational Safety and Health Administration's National Grants Office.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. The Federal share may not exceed 50 percent of the total cost to the State.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

State program grants are aspects of a continuing program. Grantees receive funds through the Department of Health and Human Services' Payment Management System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are required quarterly and annually. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Reports are required quarterly. Performance monitoring is conducted by the Regional Offices on a quarterly and annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0. (Salaries) FY 10 \$104,393,000; FY 11 est \$104,393,000; and FY 12 est \$105,893,000

**Range and Average of Financial Assistance:**

Fiscal year 2010 grants ranged from \$202,100 to \$27,418,800. These awards represent approximately 50 percent of total program cost.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 57,124 State Inspections. Fiscal Year 2011: State inspections are estimated at 56,500. Fiscal Year 2012: State inspections are estimated at 57,100.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 1902, 1903, 1904, 1905, 1908, 1952, 1953, 1954, 1955, 1956, 2200; OMB Circulars A-102 and A-87 (2 CFR Part 225); and 29 CFR Parts 96 and 97.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Regional Offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Arlene Williams 200 Constitution Avenue, NW, Washington, District of Columbia 20210 Email: williams.arlene@dol.gov Phone: 202-693-2445 Fax: 202-693-1696

**Website Address:**

<https://www.osha.gov>

**RELATED PROGRAMS:**

17.502 Occupational Safety and Health\_Susan Harwood Training Grants; 17.504 Consultation Agreements; 17.505 OSHA Data Initiative; 17.600 Mine Health and Safety Grants; 17.601 Mine Health and Safety Counseling and Technical Assistance; 17.602 Mine Health and Safety Education and Training; 93.262 Occupational Safety and Health Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grants may be awarded only to a State agency, designated by the Governor of a State, which has had its State Plan approved by the Assistant Secretary and which has submitted an application for a grant.

**17.504 CONSULTATION AGREEMENTS**

Consultation Grant Program

**FEDERAL AGENCY:**

Occupational Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Occupational Safety and Health Act, Section 21(d), Public Law 105-197, 29 U.S.C 651.

**OBJECTIVES:**

To fund consultative workplace safety and health services, targeting smaller employers with more hazardous operations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative Agreements to States to provide occupational safety and health consultative services to employers.

**Applicant Eligibility:**

Designated State agencies which have been authorized by the Governor to enter into a Cooperative Agreement with full power to perform the obligations funded therein and to expend Federal funds as well as State funds as required.

**Beneficiary Eligibility:**

Any private employer operating within a State, with priority given to smaller employers with the more hazardous operations.

**Credentials/Documentation:**

State agency responsible for providing consultative services to employers must meet the minimum requirements of the consultation program set forth in 29 CFR 1908. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application instructions are distributed to the States by the Occupational Safety and Health Administration (OSHA) to the designated State agencies through OSHA's Directives System. Completed applications are returned to OSHA's National Office.

**Award Procedure:**

Final approval of funding requests is given annually by the Assistant Secretary of Labor for Occupational Safety and Health.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Funding to States for administering their consultation program can be renewed indefinitely, provided that State consultation projects continue to meet the requirements of the program. Applications for renewals are submitted to the Occupational Safety and Health Administration's National Grants Office.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10%. The Federal share may not exceed 90 percent of the total cost to the recipient. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Consultation Cooperative Agreements are aspects of a continuing program. Grantees receive funds through the Department of Health and Human Services' Payment Management System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Reports are required annually. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Reports are required and submitted on a quarterly basis. Performance Monitoring is conducted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

(Salaries) FY 10 \$54,447,000; FY 11 est \$54,688,000; and FY 12 est \$55,798,000

**Range and Average of Financial Assistance:**

Fiscal year 2010 grants ranged from \$196,000 to \$5,277,000. These awards represent approximately 90 percent of total program costs.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 31,281 State consultation visits. Fiscal Year 2011: State consultations visits are estimated at 30,500. Fiscal Year 2012: State consultations visits are estimated at 31,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 95, 97, and 1908; and OMB Circular Nos. A-21, A-87, A-102 and A-110.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for regional offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Arlene Williams 200 Constitution Avenue, NW, Washington, District of Columbia 20210 Email: williams.arlene@dol.gov Phone: 202-693-2445 Fax: 202-693-1696

**Website Address:**

<https://www.osha.gov>

**RELATED PROGRAMS:**

17.502 Occupational Safety and Health\_Susan Harwood Training Grants; 17.503 Occupational Safety and Health\_State Program; 17.505 OSHA Data Initiative; 17.600 Mine Health and Safety Grants; 17.601 Mine Health and Safety Counseling and Technical Assistance; 17.602 Mine Health and Safety Education and Training; 93.262 Occupational Safety and Health Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Agreements may be awarded only to a State agency, designated by the Governor of a State, which has submitted an application for funding.

**17.505 OSHA DATA INITIATIVE**

OSHA Data Collection Award

**FEDERAL AGENCY:**

Occupational Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Occupational Safety and Health Act, Section 7(c)(1), Public Law 91-596, 29 U.S.C 651.

**OBJECTIVES:**

To fund collection of occupational injury and illness data from employers in specified industries nationwide.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Cooperative Agreements to States to collect occupational injury and illness data from employers in specified industries.

**Applicant Eligibility:**

Designated State agencies that have been authorized by the Governor to enter into a Cooperative Agreement with full power to perform the obligations funded therein and to expend Federal funds.

**Beneficiary Eligibility:**

Any state agency that is capable of collecting data.

**Credentials/Documentation:**

State agency that is designated and authorized by the Governor that is capable of collecting data. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application instructions are distributed to the States by the Occupational Safety and Health Administration (OSHA) to the designated State agencies. Completed applications are returned to OSHA's National Office.

**Award Procedure:**

Final approval of funding requests is given annually by the Director of Administrative Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Funding to States for administering their collection program can be renewed indefinitely, provided that the States continue to meet the requirements of the program. Applications for renewals are submitted to the Occupational Safety and Health Administration's National Grants Office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative Agreements are aspects of a continuing program. Grantees receive funds through the Department of Health and Human Services' Payment Management System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are submitted. A Federal Financial Report is required quarterly. Performance monitoring is conducted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,418,000; FY 11 est \$1,456,000; and FY 12 est \$1,456,000

**Range and Average of Financial Assistance:**

Fiscal year 2010 grant awards ranged from \$5,750 to \$186,024.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 78,256 employer samples collected. Fiscal Year 2011: 80,000 employer samples estimated to be collected. Fiscal Year 2012: 80,000 employer samples estimated to be collected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. See Appendix IV of the Catalog for regional offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Arlene Williams 200 Constitution Avenue, NW, Washington, District of Columbia 20210 Email: williams.arlene@dol.gov Phone: 202-693-2445 Fax: 202-693-1696

**Website Address:**

<https://www.osha.gov>

**RELATED PROGRAMS:**

17.502 Occupational Safety and Health\_Susan Harwood Training Grants; 17.503 Occupational Safety and Health\_State Program; 17.504 Consultation Agreements; 17.600 Mine Health and Safety Grants; 17.601 Mine Health and Safety Counseling and Technical Assistance; 17.602 Mine Health and Safety

Education and Training; 93.262 Occupational Safety and Health Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Agreements may be awarded only to a State agency, designated by the Governor of a State, which has submitted an application for funding.

**17.600 MINE HEALTH AND SAFETY GRANTS**

**FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977, Public Law 095-164.

**OBJECTIVES:**

To assist States in providing safety and health training and developing programs to improve mine health and safety conditions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides grants (1) To assist States in developing and enforcing effective coal or other mine health and safety laws and regulations consistent with the provisions of Section 503 of the Federal Mine Safety and Health Act of 1977; (2) to improve State workers' compensation and occupational disease laws and programs related to coal or other mine employment; and (3) to provide Federal-State coordination and cooperation in improving the health and safety conditions in the coal or other mines.

**Applicant Eligibility:**

Any mining State of the United States.

**Beneficiary Eligibility:**

States.

**Credentials/Documentation:**

In addition to items as stated in Grant Solicitation from Mine Safety and Health Administration (MSHA), State official mine inspection or safety agency has or will employ an adequate and competent staff of qualified trainers to provide health and safety training for miners and trained inspectors qualified under the laws of the State to make mine inspections within the State. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The application will be submitted in an original and two copies to the Assistant Secretary of Labor for Mine Safety and Health.

**Award Procedure:**

Notification will be made by the Office responsible for monitoring performance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Within 3 months.

**Appeals:**

From 15 to 30 days. Within 30 days from the final decision date, an appeal may be filed with the U.S. Court of Appeals for the District of Columbia.

**Renewals:**

Renewals may be made on a fiscal year basis, or a portion thereof when necessary, in the same manner as that required for the original request.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 95-164, Section 503 (g).

Matching Requirements: Percent: 20%. A maximum of 80 percent of the amount expended by any mining State for a fiscal year is paid from Federal funds and at least 20 percent are paid by the Applicant State.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length of assistance is on a fiscal year basis or a portion thereof. Time phasing of assistance is on a cost reimbursable basis, normally quarterly. Method of awarding/releasing assistance: lump sum.

**Reports:**

Semi-annual Technical reports as required by MSHA shall be furnished to the Assistant Secretary of Labor for Mine Safety and Health stating work accomplished, benefits derived, project status. No cash reports are required. No progress reports are required. Quarterly Financial Reports listing expenditures and amounts obligated are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to each grant shall be retained and made available until the expiration of 3 years after the grantees' last disbursement of such funds. Prescribed guidelines are set forth in attachment C, OMB Circular No. A-102 (revised).

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Project Grants) FY 10 \$8,441,000; FY 11 est \$8,441,000; and FY 12 est \$8,441,000

**Range and Average of Financial Assistance:**

From \$26,839 to \$627,659. Average: \$172,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Alabama - \$199,000; Alaska - \$51,000; Arizona - \$287,000; Arkansas - \$99,000; California - \$338,000; Colorado - \$210,000; Connecticut - \$54,000; Delaware - \$4,000; Florida - \$171,000; Georgia - \$193,000; Idaho - \$93,000; Illinois - \$220,000; Indiana - \$192,000; Iowa - \$116,000; Kansas - \$83,000; Kentucky \$628,000; Louisiana - \$82,000; Maine - \$56,000; Maryland - \$58,000; Massachusetts - \$66,000; Michigan - \$215,000; Minnesota - \$274,000; Mississippi - \$61,000; Missouri - \$207,000; Montana - \$137,000; Nebraska - \$67,000; Nevada - \$235,000; New Hampshire - \$41,000; New Jersey - \$50,000; New Mexico - \$147,000; New York - \$259,000; North Carolina - \$153,000; North Dakota - \$59,000; Ohio - \$263,000; Oklahoma - \$108,000; Oregon - \$106,000; Pennsylvania - \$533,000; South Carolina - \$66,000; South Dakota - \$59,000; Tennessee - \$140,000; Texas - \$430,000; Utah - \$172,000; Vermont - \$70,000; Virginia - \$269,000; Washington - \$148,000; West Virginia - \$563,000; Wisconsin - \$192,000; Wyoming - \$193,000; and Navajo Nation - \$27,000. Fiscal Year 2011: Alabama - \$199,000; Alaska - \$51,000; Arizona - \$287,000; Arkansas - \$99,000; California - \$338,000; Colorado - \$210,000; Connecticut - \$54,000; Delaware - \$4,000; Florida - \$171,000; Georgia - \$193,000; Idaho - \$93,000; Illinois - \$220,000; Indiana - \$192,000; Iowa - \$116,000; Kansas - \$83,000; Kentucky \$628,000; Louisiana - \$82,000; Maine - \$56,000; Maryland - \$58,000; Massachusetts - \$66,000; Michigan - \$215,000; Minnesota - \$274,000; Mississippi - \$61,000; Missouri - \$207,000; Montana - \$137,000; Nebraska - \$67,000; Nevada - \$235,000; New Hampshire - \$41,000; New Jersey - \$50,000; New Mexico - \$147,000; New York - \$259,000; North Carolina - \$153,000; North Dakota - \$59,000; Ohio - \$263,000; Oklahoma - \$108,000; Oregon -

\$106,000; Pennsylvania - \$533,000; South Carolina - \$66,000; South Dakota - \$59,000; Tennessee - \$140,000; Texas - \$430,000; Utah - \$172,000; Vermont - \$70,000; Virginia - \$269,000; Washington - \$148,000; West Virginia - \$563,000; Wisconsin - \$192,000; Wyoming - \$193,000; and Navajo Nation - \$27,000. Fiscal Year 2012: Alabama - \$199,000; Alaska - \$51,000; Arizona - \$287,000; Arkansas - \$99,000; California - \$338,000; Colorado - \$210,000; Connecticut - \$54,000; Delaware - \$4,000; Florida - \$171,000; Georgia - \$193,000; Idaho - \$93,000; Illinois - \$220,000; Indiana - \$192,000; Iowa - \$116,000; Kansas - \$83,000; Kentucky \$628,000; Louisiana - \$82,000; Maine - \$56,000; Maryland - \$58,000; Massachusetts - \$66,000; Michigan - \$215,000; Minnesota - \$274,000; Mississippi - \$61,000; Missouri - \$207,000; Montana - \$137,000; Nebraska - \$67,000; Nevada - \$235,000; New Hampshire - \$41,000; New Jersey - \$50,000; New Mexico - \$147,000; New York - \$259,000; North Carolina - \$153,000; North Dakota - \$59,000; Ohio - \$263,000; Oklahoma - \$108,000; Oregon - \$106,000; Pennsylvania - \$533,000; South Carolina - \$66,000; South Dakota - \$59,000; Tennessee - \$140,000; Texas - \$430,000; Utah - \$172,000; Vermont - \$70,000; Virginia - \$269,000; Washington - \$148,000; West Virginia - \$563,000; Wisconsin - \$192,000; Wyoming - \$193,000; and Navajo Nation - \$27,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Part 97.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeffrey A. Duncan, 1100 Wilson Boulevard, Arlington, Virginia 22209 Phone: (202) 693-9572.

**Website Address:**

<http://www.msha.gov> .

**RELATED PROGRAMS:**

17.601 Mine Health and Safety Counseling and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: (1) Training and retraining of miners by State instructors; (2) mine emergency operations; (3) assisting States in training miners in health related injury; (4) assisting in Maintaining mine rescue teams at State mine rescue stations; and (5) development and implementation of accident prevention programs. Fiscal Year 2011: (1) Training and retraining of miners by State instructors; (2) mine emergency operations; (3) assisting States in training miners in health related injury; (4) assisting in Maintaining mine rescue teams at State mine rescue stations; and (5) development and implementation of accident prevention programs. Fiscal Year 2012: (1) Training and retraining of miners by State instructors; (2) mine emergency operations; (3) assisting States in training miners in health related injury; (4) assisting in Maintaining mine rescue teams at State mine rescue stations; and (5) development and implementation of accident prevention programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Responses related to the following proposal criteria enable the applicant to show that the proposed grant is consistent with the purposes of the Act: (a) Programs, policies, and methods to be followed in administering the grant, (b) designation of the State mining agency as the sole agency with authority and responsibility for administering the grant throughout the State, (c) assurances that such agency has an adequate and competent staff of trained and qualified inspectors, (d) use of the grant will extend and improve mine health and safety in the State while providing for no advance notice of an inspection, (e) assurances that grant will supplement not supplant existing State mine health and safety programs, (f) period over which program will be pursued, (g) financial plan, (h) fiscal control and accounting procedures, (i) name and title of person who will direct the program, (j) approximate number of qualified personnel who will work on the program, (k) location or locations where program will be pursued, (l) assurance that matching funds from nonfederal sources will be forthcoming, (m) indication of whether the programs or any part have been or will be submitted to other organizations for the purpose of obtaining a grant, and (n) agreement that the official State mine agency shall make required reports.

**17.601 MINE HEALTH AND SAFETY COUNSELING AND**

**TECHNICAL ASSISTANCE**

**FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977, Public Law 095-164.

**OBJECTIVES:**

To improve conditions of health and safety in and around coal, metal and nonmetallic mines and mineral facilities through technical advice, special studies, investigations, development of State mine health and safety programs.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Assistance can be used for establishing or improving State mine health and safety programs. Technical advice and assistance is available to States, organizations, companies, or persons with mine health and safety programs and/or problems.

**Applicant Eligibility:**

Any State, organization or person interested in employing healthful and safe mine or mineral industry working conditions can apply.

**Beneficiary Eligibility:**

States, organizations, individuals.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. In the form of a letter to the Mine Safety and Health Administration.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
None.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Salaries) FY 10 Not Available; FY 11 est \$31,637,000; and FY 12 est \$33,403,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: To reduce mine accidents and disasters, technical assistance is provided to help mine inspectors, State agencies, labor, and the industry in identifying and resolving complex mine safety and health issues. Activities include equipment testing, engineering and scientific evaluation of health and safety hazards, environmental sampling, and emergency response. Fiscal Year 2011: To reduce mine accidents and disasters, technical assistance is provided to help mine inspectors, State agencies, labor, and the industry in identifying and resolving complex mine safety and health issues. Activities include equipment testing, engineering and scientific evaluation of health and safety hazards, environmental sampling, and emergency response. Fiscal Year 2012: To reduce mine accidents and disasters, technical assistance is provided to help mine inspectors, State agencies, labor, and the industry in identifying and resolving complex mine safety and health issues. Activities include equipment testing, engineering and scientific evaluation of health and safety hazards, environmental sampling, and emergency response.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

30 Code of Federal Regulations; Bureau of Mines Information Circulars; Bureau of Mines Reports of Investigations; MSHA Informational Reports.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a list of the addresses of Mine Safety and Health Administration Field Installations. Information on health and safety programs, inspections, and enforcement should be sought from Coal Mine Safety and Health or Metal and Nonmetal Mine Safety and Health District Offices listed in Appendix IV of the Catalog, or the Headquarters Office. Technical information can be sought from the same sources or from the Technical Support Field Centers.

**Headquarters Office:**

Linda Zeiler, 1100 Wilson Boulevard, Arlington, Virginia 22209 Phone: (202) 693-9478.

**Website Address:**

<http://www.msha.gov>.

**RELATED PROGRAMS:**

17.600 Mine Health and Safety Grants; 17.602 Mine Health and Safety Education and Training; 17.603 Brookwood-Sago Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.602 MINE HEALTH AND SAFETY EDUCATION AND TRAINING**

**FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977, Public Law 095-164.

**OBJECTIVES:**

To provide technical training for Federal mine inspectors and representatives of the mining industry.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Provide initial and advanced Mine Safety and Health Training for Federal Mine Inspectors. This Technical training is available to Mine Operators, Miners, States, and labor Organizations. Assistance is also provided in the form of

written and audio visual training materials. These materials deal with Mining Safety and Health Technical Materials.

**Applicant Eligibility:**

Any mine operator, miner or their agent can request training or training materials.

**Beneficiary Eligibility:**

Mine operators, miners or their agent, organizations and individuals.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By telephone or written request.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
None.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Salaries) FY 10 \$15,000,000; FY 11 est \$15,000,000; and FY 12 est \$15,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Training was provided through approximately 1,240 course days for Federal and other employees and 117 course days for the Mining Industry, as well as distributing approximately 6,000,000 mine safety publications. Fiscal Year 2011: Training will be provided through approximately 1,100 course days for Federal and other employees and 275 course days for the Mining Industry, as well as distributing approximately 6,000,000 mine safety publications. Fiscal Year 2012: Training will be provided through approximately 1,100 course days for Federal and other employees and 250 course days for the Mining Industry, as well as distributing approximately 6,000,000 mine safety publications.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for listing of Mine Safety and Health Administration Offices.

**Headquarters Office:**

Jeffrey A. Duncan, 1100 Wilson Boulevard, Arlington, Virginia 22213 Phone: (202) 693-9570.

**Website Address:**

<http://www.msha.gov> .

**RELATED PROGRAMS:**

17.600 Mine Health and Safety Grants; 17.603 Brookwood-Sago Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.603 BROOKWOOD-SAGO GRANT****FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Mine Improvement and New Emergency Response Act of 2006 (MINER Act), Public Law 109-236; Brookwood-Sago Mine Safety Grants, 30 U.S.C 965.

**OBJECTIVES:**

To provide mine safety and health training and education programs for workers and mine operators, to better identify, avoid, and prevent unsafe working conditions in and around mines. To establish and implement education and training programs, or to develop training materials for employers and miners, concerning safety and health topics in mines, as determined appropriate by Mine Safety and Health Administration (MSHA).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides grants to states, public, and private nonprofit organizations to provide training and other educational programs or develop training materials for employers and miners concerning safety and health topics in priority areas designated by MSHA.

**Applicant Eligibility:**

Any mining State of the United States, nonprofit public and private organizations.

**Beneficiary Eligibility:**

Recipient of the training workers at mines, any organization employing these individuals, and mine operators.

**Credentials/Documentation:**

Any credential or documentation requirements are detailed in each solicitation for grant applications. See the Federal Register for solicitation for grant applications. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application procedures are detailed in each solicitation for grant applications. See the Federal Register for each solicitation for grant applications.

**Award Procedure:**

Competitive grant applications, submitted in response to a solicitation for grant application, will be reviewed by a panel for consistency with the solicitation for

grant application requirements, and are subject to availability of funds and performance achievement. Funding decisions are at the discretion of the Assistant Secretary.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Timeframes are detailed in each solicitation for grant applications. See the Federal Register for solicitation for grant applications.

**Appeals:**

None.

**Renewals:**

Renewal and option year availability is detailed in each solicitation for grant applications. All awards are based on single-year budget authority. Renewal and option year funding, when provided, is subject to availability of funds and performance achievement. See the Federal Register for solicitation for grant applications.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length of time and phasing of assistance are detailed in each solicitation for grant applications. See the Federal Register for current solicitations for grant applications. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly Program Reports (SF 269) are required. No cash reports are required. No progress reports are required. Quarterly Financial Reports (SF 272) are required. All grants require cooperation and sharing of program reports with an independent external evaluator. See the Federal Register for solicitations for grant applications. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Project Grants) FY 10 \$500,000; FY 11 est \$1,000,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

At a minimum, \$50,000, depending on the project needs as detailed in the solicitation for grant application and availability of funds.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Mine Safety and Health Act of 1977, Public Law 91-173 as amended by Public Law 95-164.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeffrey A. Duncan, 1100 Wilson Boulevard, Arlington, Virginia 22209 Phone: (202) 693-9570.



**Website Address:**

<http://www.msha.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in the Federal Register Notice soliciting applications.

**17.604 SAFETY AND HEALTH GRANTS****FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977 (Mine Act), Public Law 095-164.

**OBJECTIVES:**

To provide mine safety and health training and education to miners, mine operators, and other individuals who may work at a mine; and to develop training and other programs (to include research and equipment development) to improve health and safety conditions at mines.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are restricted to the use, services, mine type, or any other priority that MSHA has designated or is mandated by its legislation.

**Applicant Eligibility:**

Any mining State of the United States, non-profit public and private organizations, commercial entity, or the legislatively mandated entity.

**Beneficiary Eligibility:**

Individuals employed in workplaces covered by the Mine Act, as amended by Miner Act that receive training and/or educational services and owners and employers covered by the Mine Act receiving the benefits of the health and safety project under these grants.

**Credentials/Documentation:**

All applicants must produce the required documents for the grant, including any expertise requested. All applicants that are non-profits must show non-profit status. If MSHA issues a solicitation for grant application (SGA), applicants must produce all items as requested in the SGA. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application instructions are distributed by MSHA. The standard application forms furnished by the Federal agency and required by the applicable OMB Circular must be used for this program. Completed applications are returned to MSHA as noted in the application.

**Award Procedure:**

Final award decisions are made by the Assistant Secretary. Notification will be made by the Office responsible for monitoring performance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 3 to 5 months.

**Appeals:**

None.

**Renewals:**

Primarily, grants are awarded for 12 months and may be renewed for an additional 12 months. In certain circumstances, MSHA may award grants up to a 3-year performance period with a 1-year renewal.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for 12 months. Grantees receive funds through the Department of Labor, Mine Safety and Health Administration, Educational Policy and Development. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are required quarterly. No cash reports are required. No progress reports are required. Fiscal reports are required quarterly. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,450,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 31, 32, 33, 35, 36, 93, 94, 95, 96, 97, 98, and 99; OMB Circulars A-21, A-110 and A-122.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeffrey A. Duncan, 1100 Wilson Boulevard, Arlington, Virginia 22209 Phone: (202) 693-9570.

**Website Address:**

<http://www.msha.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in the Federal Register Notice soliciting applications, if applicable.

**17.700 WOMEN'S BUREAU**

(Women's Bureau)

**FEDERAL AGENCY:**

Office of the Secretary, Women's Bureau, Department of Labor

**AUTHORIZATION:**

Public Law 66-259; 29 U.S.C. 11-16.

**OBJECTIVES:**

The Womens Bureau was created by law in 1920 to safeguard the interests of working women and advocate for their equality and economic security. The Bureaus vision is to empower all working women to achieve economic security. The Womens Bureau establishes and maintains linkage with national, community and faith-based organizations, business and industry, trade unions, research foundations, academic, and Federal, State, and local government agencies in an effort to develop cooperative projects that address the employment and supportive service needs of women.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical information and referrals are provided to interested constituents. This information includes program models and advisory services that increase opportunities for women to plan for their economic and retirement security, identify training and educational programs designed to increase employment and earning opportunities, and support the establishment of programs that encourage a balance between home and work-life through flexible policies and programs. The Women's Bureau does not provide financial assistance to individuals.

**Applicant Eligibility:**

Any individual or group located in the United States or its territories may benefit from Women's Bureau projects and/or programs. The Women's Bureau does not provide financial assistance to individuals.

**Beneficiary Eligibility:**

Any individual or group (especially women or women's organizations) located in the United States or its territories may benefit from Women's Bureau projects and/or programs. The Women's Bureau does not provide financial assistance to individuals.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests for information or technical assistance may be made to the appropriate Department of Labor, Women's Bureau regional office listed in Appendix IV of the Catalog, or to the Headquarters Office listed under the Information Contacts section of this program. The Women's Bureau does not provide financial assistance to individuals.

**Award Procedure:**

Not applicable. The Women's Bureau does not provide financial assistance to individuals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. The Women's Bureau does not provide financial assistance to individuals. See the following for information on how assistance is

awarded/released: The Women's Bureau does not provide financial assistance to individuals.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

16-0165-0-1-505.

**Obligations:**

(Salaries) FY 10 \$11,585,640; FY 11 est \$11,604,000; and FY 12 est \$11,620,000

**Range and Average of Financial Assistance:**

Not applicable. The Women's Bureau does not provide financial assistance to individuals.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, the Womens Bureau continued to support and develop on-going projects in its effort to promote an environment responsive to the demands and challenges of the 21st Century workforce. These targeted initiatives were designed to enhance opportunities for women under the Departments vision of Good Jobs for Everyone, and the Bureaus vision To empower all working women to achieve economic security. In cooperation with numerous womens, Federal, state, community, and faith-based organizations, the Bureau worked to develop, implement, and promote green jobs initiatives, flexible workplace policies, equal pay recommendations, assistance to homeless women veterans, and education and training for women in nontraditional occupations. GREEN JOBS INITIATIVE During FY2010, The Womens Bureau developed nine training pilots in conjunction with experts in green industries to serve as models for engaging and preparing women for a variety of high-growth and emerging green jobs over the next decade. In addition to technical skills training, pilot participants also learned basic skills such as resume writing, interview preparation, computer skills, and financial education. The pilots provided an opportunity for the Bureau to conduct action-based research on successes in preparing women for green jobs. The Womens Bureau also hosted a series of five teleconferences for workforce practitioners, designed to offer information and an exchange of ideas to better connect women with green jobs training and green employment. Topics included Why is Green Good for Women?, Womens Entrepreneurship in Green Industries, Recruiting and Retaining Women, Women Working in Green Construction and Energy Efficiency, and Women Working in Alternative Energy. NATIONAL DIALOGUE ON WORKPLACE FLEXIBILITY The Womens Bureau kicked off its National Dialogue on Workplace Flexibility with an announcement made by the Secretary Of Labor at the White House, building on efforts to gather information and promote best practices for workplace flexibility. The Bureau will be working with the White House Council on Women and Girls to host a series of meeting throughout the country. EQUAL PAY On Equal Pay Day, the Womens Bureau and the White House Council on Women and Girls hosted a briefing by several non-governmental organizations on the current status of the wage gap and equal pay for women. The non-governmental organizations shared their insights and recommendations about equal pay with policymakers in the Womens Bureau, the Department of Labor, and other Federal agencies. HOMELESS WOMEN VETERANS The Bureau's Region III office held a Women Vets @ Work Job Summit in Washington, DC, that successfully assisted 19 unemployed, under-employed and homeless women veterans in gaining employment in public and private sector jobs. The Bureau also created a Homeless Women Veterans Report that included information and data collected from listening sessions hosted throughout the country. The report identifies the needs of homeless women veterans and explores factors that lead to homelessness among female veterans as well issues regarding reintegration into the workforce and how to improve services and resources for this population. Information gathered for the report will also provide a basis for the development of future research, projects and funding opportunities. WOMEN IN THE TRADES As part of the Departments observance of Womens

History Month, the Womens Bureau and the Secretary of Labor hosted a roundtable discussion on the status of women in the trades. The event aimed to enhance communication and share useful strategies and ideas on womens entrance and advancement in trade occupations. DOL leadership joined twenty participants representing Labor, tradeswomen organizations, researchers and advocates to discuss recruitment, training and on-the-job issues, and barriers to retention. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Department of Labor, Women's Bureau regional office in Appendix IV of the Catalog listed under the Office of the Secretary.

**Headquarters Office:**

Women's Bureau, 200 Constitution Avenue, NW Room S3002, Washington, District of Columbia 20210 Phone: (202) 693-6710.

**Website Address:**

<http://www.dol.gov/wb/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.720 DISABILITY EMPLOYMENT POLICY DEVELOPMENT**

ODEP

**FEDERAL AGENCY:**

Office of Disability Employment Policy, Department of Labor

**AUTHORIZATION:**

The Consolidated Appropriations Act, 2001, Public Law 106-554, 29 U.S.C 557b.

**OBJECTIVES:**

The Office of Disability Employment Policy (ODEP) provides national leadership on disability employment policy to the Department of Labor (DOL) and other Federal agencies. ODEP develops and fosters the adoption and implementation of comprehensive and integrated disability employment policies and strategies throughout the workforce development system, in public and private workplaces, and in employment-related supports programs and services. Implementation of these effective policies and strategies increase employment opportunities, the recruitment of, and reduce barriers to the hiring, retention and promotion of people with disabilities. ODEP's response to the low labor force participation of people with disabilities is comprehensive and aggressive, and includes securing the active involvement of and cooperation among a number of stakeholders, including Federal, State and local government agencies, private and public employers, educational and training institutions, and the disability community.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Uses and use restrictions are detailed in each solicitation for cooperative agreement or grant applications and in each request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current Solicitations for Cooperative Agreement Applications (SCAAs), Grant Applications (SGAs), and Requests for Proposals (RFPs). All ODEP funds are discretionary.

**Applicant Eligibility:**

While individuals are not eligible for ODEP's cooperative agreements and grants, nonprofit and for-profit organizations, State and local government agencies, academic institutions, and other entities are typically eligible. Eligibility requirements are detailed in each SGA, SCAA and in RFPs. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs,

SCAAs and RFPs.

**Beneficiary Eligibility:**

Beneficiary eligibility is detailed in each solicitation for cooperative agreement or grant applications and request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs, SCAAs and RFPs. Information for open cooperative agreement and grant solicitations are also typically carried on ODEP's website: [www.dol.gov/ODEP](http://www.dol.gov/ODEP).

**Credentials/Documentation:**

See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs, SCAAs and RFPs. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Competitive cooperative agreement and grant applications, submitted in response to a solicitation for cooperative agreement or grant application, will be reviewed by a Federal panel for fidelity to Federal principles and to ensure adherence to solicitation for cooperative agreement or grant application requirements. Awards are made subject to availability of funds and performance achievement. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs, SCAAs and RFPs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Timeframes are detailed in each solicitation for cooperative agreement or grant applications and request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs, SCAAs and RFPs.

**Appeals:**

Appeal information and contact procedures for each solicitation are contained and detailed within the solicitation for cooperative agreement or grant application and request for proposals. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs, SCAAs and RFPs.

**Renewals:**

Renewal and option year availability is detailed in each solicitation for cooperative agreement or grant applications. All awards are based on single-year budget authority. Renewal and option year funding, when provided, is subject to availability of funds and performance achievement. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs, SCAAs and RFPs.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of time and phasing of assistance are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs, SCAAs and RFPs. See the following for information on how assistance is awarded/released: Length of time and phasing of assistance are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs, SCAAs and RFPs.

**Reports:**

All cooperative agreements and grants require quarterly program and financial (SF 269 and SF 272) reports as well as a final report. All cooperative agreements and grants require cooperation and sharing of program reports with ODEP's independent external evaluator. Any additional reporting requirements are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs,

SCAAs and RFPs. Cash reports are not applicable. All cooperative agreements and grants require quarterly program and financial (SF 269 and SF 272) reports as well as a final report. All cooperative agreements and grants require cooperation and sharing of program reports with ODEP's independent external evaluator. Any additional reporting requirements are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs, SCAAs and RFPs. All cooperative agreements and grants require quarterly program and financial (SF 269 and SF 272) reports as well as a final report. All cooperative agreements and grants require cooperation and sharing of program reports with ODEP's independent external evaluator. Any additional reporting requirements are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs, SCAAs and RFPs. All cooperative agreements and grants require quarterly program and financial (SF 269 and SF 272) reports as well as a final report. All cooperative agreements and grants require cooperation and sharing of program reports with ODEP's independent external evaluator. Any additional reporting requirements are detailed in each solicitation for cooperative agreement or grant applications. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs, SCAAs and RFPs.

**Audits:**

No audits are required for this program.

**Records:**

All cooperative agreements and grants are subject to financial compliance site reviews and independent evaluations. Quarterly programmatic and financial reporting as well as close-out reporting and documentation must be maintained under the standard Federal record retention requirements.

**Account Identification:**

16-0166-0-1-505.

**Obligations:**

(Salaries) FY 10 \$38,859,260; FY 11 est \$38,952,938; and FY 12 est \$39,031,000

**Range and Average of Financial Assistance:**

Previous awards for cooperative agreements, grants and contracts have ranged from approximately \$15,000 to \$3,500,000 per funding year, depending on the project needs as detailed in the solicitation for cooperative agreement or grant application or proposal and availability of funds. Awards have been to non-profit and for-profit organizations, State and local government agencies, academic institutions, and other entities.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: ODEP grants, cooperative agreements and contracts provide support for policy and policy strategy research, identification, development, demonstration, testing and replication to support ODEP's output of policy, effective practices and formal agreements. ODEP's work in each fiscal year, as published through its GPRA reporting and the DOL Annual Report, provide a basis for its further work collaborating with its partners in the workforce development system, public and private workplaces, and employment-related supports programs and service to encourage their adoption and implementation of ODEP policy and effective practices. Fiscal Year 2011: ODEP grants, cooperative agreements and contracts provide support for policy and policy strategy research, identification, development, demonstration, testing and replication to support ODEP's output of policy, effective practices and formal agreements. ODEP's work in each fiscal year, as published through its GPRA reporting and the DOL Annual Report, provide a basis for its further work collaborating with its partners in the workforce development system, public and private workplaces, and employment-related supports programs and service to encourage their adoption and implementation of ODEP policy and effective practices. Fiscal Year 2012: ODEP grants, cooperative agreements and contracts provide support for policy and policy strategy research, identification, development, demonstration, testing and replication to support ODEP's output of policy, effective practices and formal agreements. ODEP's work in each fiscal year, as published through its GPRA reporting and the DOL Annual Report, provide a basis for its further work collaborating with its partners in the workforce development system, public and private workplaces, and employment-related supports programs and service to encourage their adoption and implementation of ODEP policy and effective practices.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Office of Disability Employment Policy is located at [www.dol.gov/odep](http://www.dol.gov/odep). Information and resources on disability employment and other disability-related topics can be found at [www.Disability.gov](http://www.Disability.gov), for which ODEP is the managing partner of more than 20 Federal agencies.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Disability Employment Policy, 200 Constitution Ave., N.W., Room S1303, Washington, District of Columbia 20210 Email: [infoodep@dol.gov](mailto:infoodep@dol.gov) Phone: (202) 693-7880 / (202) 693-7881 Fax: (202) 693-7888.

**Website Address:**

<http://www.dol.gov/odep> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Examples of funded technical assistance and research projects awarded to support disability employment policy development will be available at [www.dol.gov/odep](http://www.dol.gov/odep). Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are detailed in each solicitation for cooperative agreement or grant application and request for proposal. Criteria always include the availability of ODEP funds, alignment with ODEP's mission to develop national policy to reduce barriers to employment for people with disabilities, performance achievement, and provision of data to support performance reporting. See [www.grants.gov](http://www.grants.gov), the Federal Register, or FedBizOpps for current SGAs, SCAAs and RFPs.

**17.801 DISABLED VETERANS' OUTREACH PROGRAM (DVOP)**

(DVOP Program)

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Jobs for Veterans Act; Title 38, Part III, Chapter 41, Section 4103A; as amended by Public Law (P.L.) 107-288, P.L. 109-461, and P.L. 111-275., Title 38, Part III, Section 4103, Public Law 107-288, 38 U.S.C 4103A.

**OBJECTIVES:**

To provide intensive services to meet the employment needs of disabled and other eligible veterans with maximum emphasis in meeting the employment needs of those who are economically or educationally disadvantaged, including homeless veterans and veterans with barriers to employment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used by States only for salaries and expenses and reasonable support of Disabled Veterans' Outreach Program (DVOP) Specialists who shall be assigned only those duties directly related to meeting the employment needs of eligible veterans according to the provisions of 38 U.S.C. 4103A.

**Applicant Eligibility:**

The state administrative entity designated by each Governor.

**Beneficiary Eligibility:**

Veterans and eligible persons with emphasis on Special Disabled veterans, disabled veterans, economically or educationally disadvantaged veterans, and veterans with other barriers to employment.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424, Application for Federal Assistance, submitted to the Director for Veterans' Employment and Training (DVET) in each State, as listed in Appendix IV along with program narratives and Fiscal Plans in accordance with instructions in a Solicitation for Grant Application (SGA) or annual modification instructions.

**Award Procedure:**

Awards approved annually by a Department of Labor Grant Officer for the Assistant Secretary for Veterans' Employment and Training (ASVET) are based on reviews and recommendations by Regional Administrators for Veterans' Employment and Training (RAVETs) and DVETs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Ninety days following the submission of an application pending the availability of fiscal year appropriation.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Usually awarded for a fiscal year (October through September). States may obligate funds to provide assistance for a fifth fiscal year quarter (until December 31). Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly reporting of: (1) accrued expenditures against budget categories in fiscal operating plans; and (2) workload activity of veterans' who were provided case management, referred to training and employment, received staff-assisted services, entered employment and employment retention; and (3) additional reports as described in the most recent Veterans' Program Letter on Recurring Report Requirements. Cash reports are not applicable. Technical Performance Narrative is required per the current Veterans' Program Letter on Recurring Report Requirements. Federal Financial Report (SF 425) and VETS 402A/B. ETA 9002 Series and VETS 200 Series compared to state negotiated goals.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost accounting, time keeping, and performance records to be maintained in accordance with each grant agreement, regulations and Veterans' Program Letters.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Formula Grants) FY 10 \$81,251,000; FY 11 est \$86,028,000; and FY 12 Estimate Not Available - Listed below are the actual obligations by State for

FY 2010 (amounts in \$thousands). AK-\$276; AL-\$847; AR-\$454; AZ-\$1,457; CA-\$11,701; CO-\$1,425; CT-\$762; DC-\$392; DE-\$205; FL-\$5,537; GA-\$2,351; GU-\$70; HI-\$285; IA-\$1,388; ID-\$626; IL-\$3,121; IN-\$1,461; KS-\$820; KY-\$671; LA-\$967; MA-\$1,143; MD-\$1,614; ME-\$390; MI-\$2,605; MN-\$1,687; MO-\$752; MS-\$559; MT-\$628; NC-\$1,232; ND-\$210; NE-\$818; NH-\$250; NJ-\$2,142; NM-\$354; NV-\$738; NY-\$3,729; OH-\$5,562; OK-\$493; OR-\$1,842; PA-\$3,202; PR-\$215; RI-\$205; SC-\$1,202; SD-\$479; TN-\$1,125; TX-\$6,327; UT-\$881; VA-\$1,502; VI-\$0; VT-\$125; WA-\$2,053; WI-\$1,672; WV-\$356; WY-\$343.

Listed below are the estimated obligations by State for FY 2011 (amounts in \$thousands; subject to change). AK-\$271; AL-\$996; AR-\$450; AZ-\$1,712; CA-\$12,295; CO-\$1,631; CT-\$1,022; DC-\$322; DE-\$193; FL-\$5,320; GA-\$2,818; GU-\$63; HI-\$433; IA-\$1,311; ID-\$544; IL-\$3,933; IN-\$1,479; KS-\$793; KY-\$924; LA-\$851; MA-\$1,211; MD-\$1,511; ME-\$396; MI-\$2,735; MN-\$1,752; MO-\$1,013; MS-\$746; MT-\$577; NC-\$1,398; ND-\$293; NE-\$782; NH-\$342; NJ-\$2,103; NM-\$343; NV-\$729; NY-\$4,674; OH-\$5,870; OK-\$576; OR-\$1,435; PA-\$3,024; PR-\$215; RI-\$268; SC-\$1,201; SD-\$629; TN-\$1,198; TX-\$6,305; UT-\$936; VA-\$1,513; VI-\$0; VT-\$158; WA-\$2,227; WI-\$1,681; WV-\$359; WY-\$463

Estimated obligations by State for FY 2012 are unknown at the time of publication.

**Range and Average of Financial Assistance:**

Range from \$0 to \$12,295,000 based on award during FY 2011 year to date. Approximate average award based on FY 2011: \$1,593,000 (rounded).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38, United States Code, Section 4103A; 20 CFR 1001; Veterans' Program Letters.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator or State Director for Veterans' Employment and Training at the nearest office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Patrick Hecker, 200 Constitution Avenue, NW, Room S-1312, Washington, District of Columbia 20210 Email: hecker.patrick@dol.gov Phone: (202) 693-4709.

**Website Address:**

<http://www.dol.gov/vets>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.804 Local Veterans' Employment Representative Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in Solicitation for Grant Application and Annual Modification guidance.

**17.802 VETERANS' EMPLOYMENT PROGRAM**

(Veterans' Workforce Investment Programs (VWIP))

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Section 168, Public Law 105-220, 29 U.S.C 2913.

**OBJECTIVES:**

To provide services to assist in reintegrating eligible veterans into meaningful employment within the labor force; and to stimulate the development of effective service delivery systems that will address the complex problems facing eligible veterans.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Programs supported with these funds shall include: 1) Activities to enhance services provided to eligible veterans by other providers of employment and training services funded by Federal, State, local or tribal governments; 2) activities to provide innovative employment and training services and projects to eligible veterans not currently provided by other public employment and training service providers; and 3) outreach and public information activities to develop and promote maximum job and training or retraining opportunities for eligible veterans.

### Applicant Eligibility:

State and Local Workforce Investment Boards, State and State Agencies, local public agencies, private non-profit organizations and community-based organizations (including faith-based and community organizations) are eligible to compete for these grant funds.

### Beneficiary Eligibility:

Service-connected disabled veterans, veterans who have significant barriers to employment, veterans who served on active duty in the armed forces during a war or in a campaign or expedition for which a campaign badge has been authorized, and veterans who are recently separated from military service (48 months).

### Credentials/Documentation:

According to the program's Solicitation for Grant Application (SGA) and Standard 424, Application for Federal Assistance. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

### Award Procedure:

The Office of the Assistant Secretary for Veterans' Employment and Training, in conjunction with the Office of the Assistant Secretary for Administration and Management, is responsible for all funding decisions regarding this competitive grant program.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

From 90 to 120 days.

### Appeals:

From 15 to 30 days. Within 21 days of the determination denying financial assistance the applicant may request a hearing through the Chief Administrative Law Judge, Department of Labor.

### Renewals:

From 90 to 120 days.

### Formula and Matching Requirements:

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Funding is normally available during a 12-month period (program year). The methods of payment will be with an automatic payment management system. Method of awarding/releasing assistance: lump sum.

### Reports:

Progress reports are submitted by grantees on a quarterly basis which include comparisons between planned and actual results under a wide variety of

performance measures and budgetary goals. Program narrative presents highlighted case studies and success stories as well as identified areas in need of improvement. HHS 272. Performance monitoring is conducted through quarterly desk audits and at least one on-site visit conducted by the Grant Officer Technical Representative (GOTR) who notes and checks specific thresholds of performance against yearly planned goals and who may recommend that poorly performing grantees submit a Corrective Action Plan (CAP) that describes the specific actions that will ensure that the grantee meets or exceeds the performance expectations stated in their application. Federal Financial Report (SF 425) through the Department's E-Grants system. Performance monitoring is not applicable.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

None.

### Account Identification:

16-0174-0-1-504.

### Obligations:

(Project Grants (Discretionary)) FY 10 \$9,547,114; FY 11 est \$9,369,887; and FY 12 Estimate Not Available - (Grants and Contracts(Discretionary)) Program operates on a program year (PY) beginning on July 1 and ending on June 30. PY 2010 actual \$9,547,114; PY 2011 est \$9,547,114; PY 2012 est. not available. PY 2010 (Performance period July 1, 2010 - June 30, 2011); PY 2011 (Performance period July 1, 2011 - June 30, 2012).

### Range and Average of Financial Assistance:

In PY 2010 there were twenty-two grant awards ranging from \$146,000 (rounded) to \$500,000 (rounded) for an average award of \$434,000 (rounded).

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2010: (Project Grants (Discretionary)) Program operates on a program year (PY) beginning on July 1 and ending on June 30. PY 2010 (Performance period July 1, 2010 - June 30, 2011); PY 2011 (Performance period July 1, 2011 - June 30, 2012). At the time of publication PY 2010 actual performance results were unavailable. Fiscal Year 2011: Program accomplishments are unavailable for PY 2011 (July 1, 2011 - June 30, 2012). Fiscal Year 2012: No Current Data Available

### REGULATIONS, GUIDELINES, AND LITERATURE:

Not Applicable.

### Regional or Local Office:

None. Information regarding program funding and eligibility can be found on our website at [www.dol.gov/vets](http://www.dol.gov/vets).

### Headquarters Office:

Kenneth Fenner, 200 Constitution Ave, NW Room S-1312, Washington, District of Columbia 20210 Email: [Fenner.Kenneth@dol.gov](mailto:Fenner.Kenneth@dol.gov) Phone: (202) 693-4728.

### Website Address:

<http://www.dol.gov/vets>.

### RELATED PROGRAMS:

Not Applicable.

### EXAMPLES OF FUNDED PROJECTS:

Not Applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Based on criteria in the Solicitation for Grant Application.

### 17.804 LOCAL VETERANS' EMPLOYMENT REPRESENTATIVE PROGRAM

(LVER Program)

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Jobs for Veterans Act; Title 38, Part III, Chapter 41, Section 4104; as amended by Public Law (P.L.) 107-288, P.L. 109-461, and P.L. 111-275., Title 38, Part III, Section 41, Public Law 107-288, 38 U.S.C 4104.

**OBJECTIVES:**

Conduct outreach to employers including conducting seminars for employers, conducting job search workshops and establishing job search groups; and to facilitate employment, training, and placement services furnished to veterans in a State under the applicable State employment service or One-Stop Career Center delivery systems whose sole purpose is to assist veterans in gaining and retaining employment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used only for salaries, expenses and reasonable support of Local Veterans' Employment Representatives who shall be assigned only those functions directly related to providing services to veterans according to provisions of 38 U.S.C. 4103 and 4104.

**Applicant Eligibility:**

The state administrative entity designated by each Governor.

**Beneficiary Eligibility:**

Veterans, transitioning service members, and eligible persons.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424, Application for Federal Assistance, Jobs for Veterans State grant narrative and financial plans, staff directory, assurances and certifications are submitted to the Director for Veterans' Employment and Training (DVET) in each State, (see Appendix IV of the Catalog) in accordance with Jobs for Veterans Solicitations for Grant Application or annual modification instructions.

**Award Procedure:**

Awards approved annually by a Department of Labor Grant Officer for the Assistant Secretary for Veterans' Employment and Training (ASVET) are based on reviews and recommendations by Regional Administrators for Veterans' Employment and Training (RAVETs) and DVETs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Ninety days following submission of an application pending the availability of a Fiscal Year appropriation.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Usually awarded for a fiscal year (October through September). States may obligate funds to provide assistance for a fifth fiscal year quarter (until December 31). Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly reporting of: (1) accrued expenditures against budget categories in fiscal operating plans; and (2) workload activity of veterans' who were provided case management, referred to training and employment, received staff-assisted services, entered employment and employment retention; and (3) additional reports as described in the most recent Veterans' Program Letter on Recurring Report Requirements. Cash reports are not applicable. Technical Performance Narrative is required per the current Veterans' Program Letter on Recurring Report Requirements. Federal Financial Report (SF 425) and VETS 402A/B. ETA 9002 Series and VETS 200 Series compared to state negotiated goals.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost accounting, time keeping, and performance records to be maintained according to grant agreement, regulations and Veterans' Program Letters.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Salaries) FY 10 \$73,737,000; FY 11 est \$72,070,000; and FY 12 Estimate Not Available - Listed below are the actual allocations by State for FY 2010 (Amounts in \$thousands): AK-\$265; AL-\$1,359; AR-\$1,059; AZ-\$1,496; CA-\$5,438; CO-\$1,511; CT-\$881; DC-\$330; DE-\$369; FL-\$4,360; GA-\$2,633; GU-\$0; HI-\$275; IA-\$161; ID-\$240; IL-\$2,395; IN-\$1,906; KS-\$657; KY-\$1,579; LA-\$977; MA-\$1,815; MD-\$1,258; ME-\$341; MI-\$3,440; MN-\$1,076; MO-\$2,015; MS-\$1,117; MT-\$258; NC-\$3,619; ND-\$436; NE-\$120; NH-\$499; NJ-\$1,179; NM-\$745; NV-\$649; NY-\$3,352; OH-\$1,074; OK-\$1,525; OR-\$1,165; PA-\$3,264; PR-\$285; RI-\$247; SC-\$1,502; SD-\$71; TN-\$1,779; TX-\$5,900; UT-\$10; VA-\$2,575; VI-\$45; VT-\$444; WA-\$1,855; WI-\$1,372; WV-\$612; WY-\$202.

Listed below are the current allocations by State for FY 2011 (Amounts in \$thousands; subject to change): AK-\$275; AL-\$1,179; AR-\$956; AZ-\$1,274; CA-\$6,007; CO-\$1,180; CT-\$783; DC-\$300; DE-\$441; FL-\$4,640; GA-\$2,897; GU-\$0; HI-\$222; IA-\$177; ID-\$235; IL-\$2,552; IN-\$1,836; KS-\$690; KY-\$1,363; LA-\$818; MA-\$1,725; MD-\$1,418; ME-\$429; MI-\$2,794; MN-\$1,110; MO-\$2,447; MS-\$644; MT-\$142; NC-\$3,979; ND-\$257; NE-\$121; NH-\$324; NJ-\$1,583; NM-\$505; NV-\$695; NY-\$3,177; OH-\$1,170; OK-\$1,353; OR-\$835; PA-\$3,176; PR-\$287; RI-\$297; SC-\$1,496; SD-\$71; TN-\$2,014; TX-\$5,369; UT-\$32; VA-\$2,346; VI-\$58; VT-\$435; WA-\$1,872; WI-\$1,286; WV-\$567; WY-\$231.

Estimated obligations by State for FY 2012 are unknown at the time of publication.

**Range and Average of Financial Assistance:**

Ranges from \$0 to \$6,007,000 based on awards during FY 2011 year to date. Approximate average during FY 11: \$1,335,000 (rounded).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38, United States Code, Section 4104; 20 CFR 1001; Veterans' Program Letters.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrators and State Directors for Veterans' Employment and Training Service listed in Appendix IV

of the Catalog.

**Headquarters Office:**

Patrick Hecker, 200 Constitution Avenue, NW, Room S-1312, Washington, District of Columbia 20210 Email: hecker.patrick@dol.gov Phone: (202) 693-4709.

**Website Address:**

http://www.dol.gov/vets.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.801 Disabled Veterans' Outreach Program (DVOP); 17.807 Transition Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in Solicitation for Grant Application and Annual Modification guidance.

**17.805 HOMELESS VETERANS REINTEGRATION PROJECT**

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Stewart B. McKinney Homeless Assistance Act of 1987; Title II, Part C; Public Law 100-77, as amended; Public Laws 100- 628, 101-645, 102-590, 104-275, 105-41; 105-114, 07-95, and 111-275; 42 U.S.C. 1447-1450; 38 U.S.C., 4111., Title II, Part C.

**OBJECTIVES:**

To provide services to assist in reintegrating homeless veterans into meaningful employment within the labor force; and to stimulate the development of effective service delivery systems that will address the complex problems facing homeless veterans.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects supported with these funds shall provide for employment and training services and support services directly or through linkages with other service providers to assist homeless veterans to reenter the workforce. Outreach is necessary and is to be performed by formerly homeless veterans.

**Applicant Eligibility:**

State and Local Workforce Investment Boards, State and State Agencies, local public agencies, private non-profit organizations (including faith-based and community organizations) and for-profit/commercial entities. Potential jurisdictions are metropolitan areas of the largest U.S. cities or Non-Urban areas in need, as announced in the solicitation for grant applications (SGA).

**Beneficiary Eligibility:**

Individuals who are homeless veterans. The term "homeless" or "homeless individual" includes: (1) An individual who lacks a fixed, regular, and adequate night-time residence; and (2) an individual who has a primary night-time residence that is: (a) a supervised publicly or privately operated shelter designed to provide temporary living accommodations including welfare hotels, congregate shelters, and transitional housing for the mentally ill; (b) an institution that provides a temporary institutionalized; or (c) a public or private place not designed for, or ordinarily used as, a regular sleeping accommodations for human beings (Reference: 42 U.S.C. 1302), and (3) an individual or family who - (a) will imminently lose their housing, including housing they own, rent, or live in without paying rent, are sharing with others, and rooms in hotels or motels not paid for by Federal, State, or local government programs for low-income individuals or by charitable organizations, as evidenced by - (i) a court order resulting from an eviction action that notifies the individual or family that they must leave within 14 days; (ii) the individual or family having a primary nighttime residence that is a room in a hotel or motel and where they lack the resources necessary to reside there for more than 14 days; or (iii) credible evidence indicating that the owner or renter of the housing will not allow the individual or family to stay for more

than 14 days, and any oral statement from an individual or family seeking homeless assistance that is found to be credible shall be considered credible evidence for purposes of this clause; (b) has no subsequent residence identified; and (c) lacks the resources or support networks needed to obtain other permanent housing. A "veteran" is an individual who served in the activity military, naval, or air service, and who was discharged or released there from under conditions other than dishonorable. (Reference: 33 U.S.C. 101 (2).).

**Credentials/Documentation:**

According to the program's Solicitation for Grant Application (SGA) or Standard 424, Application for Federal Assistance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424, Application for Federal Assistance, and Standard Form 424A, Budget Information shall be submitted, along with the technical proposal and budget narrative as required by the application SGA. This program is subject to the provisions of OMB Circular Nos. A-21, A-87, A-110, A-122, and A-133, 48 CFR 31, 29 CFR 2, 30, 31, 32, 33, 35, 36, 37, 93, 94, 95, 96, 97, 98, and 99.

**Award Procedure:**

The Office of the Assistant Secretary for Administration and Management, and the Assistant Secretary for Veterans' Employment and Training are responsible for all funding decisions regarding this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days.

**Appeals:**

Debriefings of unsuccessful applicants are provided upon request.

**Renewals:**

As noted in the SGA.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Usually awarded for a full program year (July through June period). Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly reporting of program activity such as number enrolled, entered employment and retention in employment. Through the HHS and Department's E-Grants system. Progress reports are submitted by grantees on a quarterly basis which include comparisons between planned and actual results under a wide variety of performance measures and budgetary goals. Program narrative presents highlighted case studies and success stories as well as identified areas in need of improvement. Federal Financial Report (SF 425) through the Department's E-Grants system. Performance monitoring is conducted through quarterly desk audits and at least one on-site visit conducted by the Grant Officer Technical Representative (GOTR) who notes and checks specific thresholds of performance against yearly planned goals and who may recommend that poorly performing grantees submit a Corrective Action Plan (CAP) that describes the specific actions that will ensure that the grantee meets or exceeds the performance expectations stated in their application.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit



conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to the provisions of 29 CFR Part 96 Audits of Federally Funded Grants, Contracts, and Agreements.

**Records:**

Financial and performance records to be maintained in accordance with the grant agreement.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$33,652,121; FY 11 est \$34,699,750; and FY 12 Estimate Not Available - Program operates on a program year (PY) beginning on July 1 and ending on June 30. PY 2010 (Performance period July 1, 2010 - June 30, 2011); PY 2011 (Performance period July 1, 2011 - June 30, 2012).

**Range and Average of Financial Assistance:**

In PY 2011 there were 145 grant awards ranging from \$94,140 to \$300,000 for an average of \$242,000 (rounded).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Actual program accomplishments are unavailable for PY 2010 at the time of publication. Fiscal Year 2011: Program accomplishments are unavailable for PY 2011 (July 1, 2011 - June 30, 2012). Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator or State Director for Veterans' Employment and Training at the nearest office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Kenneth Fenner, 200 Constitution Avenue, NW, Room S-1312, Washington, District of Columbia 20210 Email: fenner.kenneth@dol.gov Phone: (202) 693-4728.

**Website Address:**

<http://www.dol.gov/dol/vets>.

**RELATED PROGRAMS:**

17.801 Disabled Veterans' Outreach Program (DVOP); 17.802 Veterans' Employment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in the Solicitation for Grant Application.

**17.807 TRANSITION ASSISTANCE PROGRAM**

TAP

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Defense Reauthorization Act of 1991, Public.Law 101-510, 10 U.S.C. 1144.

**OBJECTIVES:**

To provide employment instruction, information and assistance to separating and retiring military personnel and their spouses through domestic and overseas installations and or facilities by offering job search and other related services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

These services are provided through comprehensive workshops at military installations worldwide. TAP Employment Workshops provide service members and spouses with labor market information as they return to the world of civilian employment; resume assistance; and information on available

service benefits. TAP Employment Workshops are provided through State Employment Agencies (Local Veterans Employment Representative program--17.804), and through a competitively awarded training and assistance contract.

**Applicant Eligibility:**

State Workforce Agencies designated under Section 4 of the Wagner-Peyser Act, as amended, or entities designed by the Governor. Contractors, as determined by the Department of Labor's Contracting Officer.

**Beneficiary Eligibility:**

Service members within two years of retirement or one year of separation and their spouses.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information Non-Construction Programs, along with a State Plan narrative and a fiscal narrative in accordance with instructions in the grant application process or annual modification instructions. For competitive contracts, as determined by the Department of Labor's Contracting Officer.

**Award Procedure:**

Grant awards are approved by a Department of Labor grant officer annually for the Assistant Secretary for Veterans' Employment and Training based on the recommendations of Regional Administrators and Directors for Veterans' Employment and Training (RAVETs/DVETs). Contract awards are approved approximately annually based on a determination by the Department of Labor's Contracting Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grant application submittal deadlines are established by Grant Application Instructions or Veterans' Program Letter distributed by the ASVET through the Grant Officer for each applicable fiscal year. Contract deadlines are irregular and depend upon fluctuating demand and the ability of the LVER program to provide TAP Employment Workshops.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is awarded each fiscal year (October through September). States may obligate funds to provide TAP Employment Workshops for a fifth fiscal year quarter (until December 31). Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly reporting of TAP participants. HHS 272 Report through the HHS system. No progress reports are required. Federal Financial Report (SF 425) through the Department's E-Grants system. No performance monitoring is

required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost accounting and performance records to be maintained in accordance with Veterans' Program Letters.

**Account Identification:**

16-0174-1-0-702.

**Obligations:**

(Formula Grants) FY 10 \$2,774,000; FY 11 est \$2,596,000; and FY 12 Estimate Not Available. (Project Grants (Contracts)) FY 10 \$3,971,144; FY 11 est \$4,826,246; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 2011 (Grants) \$0 - \$901,000; Average \$48,074.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38, Chapter 41.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional administrator or State Director for Veterans' Employment and Training at the nearest office listed in Appendix IV of this Catalog.

**Headquarters Office:**

Patrick Hecker, 200 Constitution Avenue, NW, Room S-1312, Washington, District of Columbia 20210 Email: hecker.patrick@dol.gov Phone: (202) 693-4709.

**Website Address:**

<http://www.dol.gov/vets>.

**RELATED PROGRAMS:**

17.804 Local Veterans' Employment Representative Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in Grant Application Instructions.

**U.S. DEPARTMENT OF STATE**

**19.009 ACADEMIC EXCHANGE PROGRAMS - UNDERGRADUATE PROGRAMS**

Undergraduate programs include: the Global Undergraduate Exchange Program (UGRAD); Study of the U.S. Institutes for Student Leaders; the Community College Initiative Program (CCIP); and Critical Language Scholarships for Intensive Summer Institutes.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual

understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of Undergraduate Programs is to provide targeted support for American students to pursue intensive language study abroad and for foreign students to gain a better understanding of the United States, while developing new generations of world leaders.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is provided to non-profit organizations, colleges, and universities to support their work in designing and administering programs as well as coordinating program logistics. Funding supports publicity and recruitment, screening of applications, communication with participants, payment of awards, and the provision of enrichment activities.

The Global Undergraduate Exchange Program provides one semester and academic year scholarships to outstanding undergraduate students from underrepresented sectors for non-degree full-time study combined with community service, internships and cultural enrichment.

The Study of the U.S. Institutes for Student Leaders expose foreign students to U.S. history, government, culture, society, and institutions with the goal of increasing mutual understanding between the people of the United States and the people of other countries.

The Critical Language Scholarship Program provides fully-funded intensive language instruction and structured cultural enrichment experiences to U.S. undergraduate and graduate students through overseas summer institutes.

The Community College Initiative Program (CCIP) provides educational opportunities to students from underrepresented sectors in participating countries. Students are placed at U.S. community colleges in one-year certificate programs in the fields of business management and administration; tourism and hospitality management; health professions; media; information technology; agriculture; and engineering science. Participants increase their employment-related skills and knowledge of English, increase their ability to contribute to the economic development of their countries, and promote mutual understanding. Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further information.

Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further information.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in Grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in Grants.gov and Federal Register announcements. As stated in Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 10 \$43,975,584; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$210,000 to \$9,500,000. Average: \$1,775,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Global UGRAD Program provides scholarships to outstanding undergraduate students from East Asia, Eurasia and Central Asia, the Near East and South Asia and the Western Hemisphere. Approximately 379 scholarships were awarded in 2009, and approximately 490 were awarded in 2010.

The Study of the U.S. Institutes are targeted to undergraduates to improve their understanding of the United States. Institutes also focus on a particular theme such as Global Environmental Issues, New Media, Social Entrepreneurship, or Womens Leadership. All Institutes include leadership development, community service activities, and interaction with American peers. In 2010, 484 students from 52 countries participated in Study of the U.S. Institutes.

The Critical Language Scholarship (CLS) Program offers intensive summer language institutes overseas in thirteen critical foreign languages: Arabic, Azerbaijani, Bangla/Bengali, Chinese, Hindi, Indonesian, Japanese, Korean, Persian, Punjabi, Russian, Turkish and Urdu. The CLS institutes provide fully-funded group based intensive language instruction and structured cultural enrichment experiences for seven to ten weeks for U.S. citizen undergraduate, Master's and Ph.D. students. The CLS program is part of a U.S. government effort to expand dramatically the number of Americans studying and mastering critical foreign languages. In 2010, the program awarded approximately 570 scholarships.

The Community College Initiative Program provides practical education in selected fields including agriculture; applied engineering; business management and administration; health professions; information technology; media, and tourism and hospitality management. Participants spend one year in the United States and may earn a vocational certificate. A total of 1,339 individuals from Brazil, Cameroon, Costa Rica, Egypt, El Salvador, Ghana, Guatemala, India, Indonesia, Kenya, Nicaragua, Pakistan, Panama, Turkey, and South Africa are participating or have participated in the program, which has been hosted by 51 community college campuses in 22 states across the nation. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform

Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Roz Swenson Department of State  
Bureau of Educational and Cultural Affairs  
Office of Academic Exchange Programs  
2200 C Street, NW, SA-5, Fourth Floor, Washington, District of Columbia  
20037 Email: [fulbright@state.gov](mailto:fulbright@state.gov) Phone: (202) 632-3238

**Website Address:**

<http://exchanges.state.gov/academicexchanges/index.html>

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars; 19.408 Educational Exchange\_Teachers from Secondary and Postsecondary Levels and

School Administrators

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov and Federal Register announcements.

**19.010 ACADEMIC EXCHANGE PROGRAMS - HUMPHREY FELLOWSHIP PROGRAM**

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The Hubert H. Humphrey Fellowship Program brings mid-career professionals from countries in states of development and transition to the U.S. for a year of non-degree, graduate-level study and professional development.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is provided to a non-profit organization to support program administration as well as coordinating program logistics. Funding supports activities such as publicity and recruitment, screening of participant applications, recruitment and selection of U.S. host institutions, communication with host institutions and recipients, payment of stipends, and the provision of enrichment activities. The Hubert H. Humphrey Fellowship Program is a Fulbright exchange activity that provides mid-career professionals from countries in states of development and transition ten months of non-degree academic study and related professional experiences in the United States. Humphrey Fellows are selected based on their potential for leadership and their commitment to public service in either the public or the private sector. The Humphrey Program fosters a mutual exchange of knowledge and understanding about issues of common concern in the United States and the Fellows home countries. The Program offers Fellows opportunities for leadership development and professional engagement with Americans and their counterparts from many nations. Seventeen major universities in the United States serve as host campuses for Humphrey Fellows. These host universities are chosen through a competitive process for their excellence in relevant Humphrey fields of study and for the resources and support they offer Humphrey Fellows. Please refer to the grants.gov or Federal Register announcement for further information.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards project grants and cooperative

agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made as necessary during the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>.

The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to

the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 10 \$14,197,809; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$12,000,000 to \$14,200,000. Average: \$13,100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: There have been more than 4,400 program alumni during the 32 years the program has existed. They came from 156 countries and were hosted by 42 U.S. host institutions.

The Humphrey Program creates a basis for establishing enduring links between Americans and citizens of other nations, and among the Programs alumni.

Humphrey Fellows return to their home countries reinvigorated by broader perspectives, enhanced leadership skills, and greater professional knowledge.

Many achieve positions of greater professional responsibility soon after completing the program. The U.S. faculty, students, and community members who receive Humphrey Fellows expand their horizons as well. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Sedlins Department of State  
Bureau of Educational and Cultural Affairs  
Office of Global Educational Programs  
Humphrey and Institutional Linkages Branch  
2200 C Street, NW  
SA-5, Rm. 4CC13, Washington, District of Columbia 20037 Email:  
[sedlinsjz@state.gov](mailto:sedlinsjz@state.gov) Phone: (202) 453-8869

**Website Address:**

<http://exchanges.state.gov/globalexchanges/humphrey-fellowship.html>

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars; 19.408 Educational Exchange\_Teachers from Secondary and Postsecondary Levels and School Administrators

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov and Federal Register announcements.

**19.011 ACADEMIC EXCHANGE PROGRAMS - SPECIAL ACADEMIC EXCHANGE PROGRAMS**

Special Academic Exchange programs include: Benjamin A. Gilman

Scholarship Program; Edmund S. Muskie Fellowship Program; Junior Faculty Development Program; South Pacific Exchanges; and Timor Leste Scholarship Program.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of Special Academic Exchange Programs is to provide targeted support for U.S. and foreign students who may not otherwise have the resources to pursue international exchange opportunities or who are in fields directly relevant to identified needs in their countries.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Special Academic Exchange Programs support participants in undergraduate, graduate, and non-degree professional development programs. Special Academic Exchange Programs target underserved populations from the developing world or strategically important areas. These programs provide selected participants with the opportunity to participate in exchanges and develop international competencies and skills, which allow them to serve as leaders in their professions and communities. Funding for these programs supports nonprofit organizations to plan activities, recruit and select participants, and administer and monitor international exchange programs.

The Benjamin A. Gilman International Scholarship Program provides scholarships to U.S. undergraduates with financial need for study abroad, including students from diverse backgrounds and students going to non-traditional study abroad destinations.

The Edmund S. Muskie Fellowship Program provides fellowships for Master's level study in the United States in selected fields to young and mid-career individuals in order to foster democratization and the transition to market economies in Eurasia.

The Junior Faculty Development Program provides university faculty in the early stages of their careers opportunities to upgrade their knowledge of the subjects they teach, and to maintain on-going contacts between their home and host institutions.

The United States--South Pacific Scholarship Program provides educational opportunities for academically talented individuals from South Pacific countries to pursue bachelor's and master's degree study at U.S. institutions in fields that are directly relevant to development needs in the Pacific region.

The Timor Leste Scholarship is a scholarship program open to Timorese who meet specific selection criteria. The objective of the program is to identify and support the education of academically talented Timorese who are in the future expected to assume leadership roles in Timor-Leste.

Special Academic Programs include several other academic exchange initiatives in which the U.S. Congress has particular interest.

Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further information.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the [grants.gov](http://grants.gov) website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the [grants.gov](http://grants.gov) and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the [Grants.gov](http://grants.gov) and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the [Grants.gov](http://grants.gov) and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the [Grants.gov](http://grants.gov) and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the [Grants.gov](http://grants.gov) and Federal Register announcements. As stated in the [Grants.gov](http://grants.gov) and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 10 \$29,119,697; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - FY2010 estimate not available.

**Range and Average of Financial Assistance:**

\$490,000 to \$10,400,000. Average: \$ 3,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, the Council of American Overseas Research Centers (CAORC) provided support for approximately 19 American Overseas Research Centers located worldwide.

The Benjamin A. Gilman International Scholarship Program is breaking the ceiling on minority participation in study abroad and contributing to the record high number of Americans studying abroad through its support of talented, financially disadvantaged undergraduate students. Since its inception in 2001, the Gilman Scholarship has awarded nearly 8,800 scholarships to American undergraduate students. They represent nearly 900 colleges and universities from all 50 states including the District of Columbia and Puerto Rico and study in 116 countries around the world. In 2010-2011 2,340 Gilman Scholars are studying abroad, many in locations outside the traditional study abroad destinations.

In fiscal year 2010, Mobility International, USA, through the Disability Exchange Clearinghouse, provided information to the disabilities community about exchange opportunities and assisted exchange organizations with incorporating people with disabilities into their programs. The program promoted increased awareness and interaction between the United States and countries/regions of the world vis-vis disability and exchange.

The Edmund S. Muskie Graduate Fellowship Program confers fellowships in the fields of business administration, economics, education, environmental policy and management, international affairs, journalism/mass communications, law, library and information science, public administration, public health and public policy. One hundred and forty-one fellowships were awarded for the 2010-2011 academic year to candidates from Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Russia, Tajikistan, Turkmenistan, Ukraine and Uzbekistan. Numerous Muskie Alumni have returned to serve in positions of leadership in their home countries.

The Junior Faculty Development Program awards approximately 70 scholarships annually for participants from Albania, Armenia, Azerbaijan, Bosnia and Herzegovina, Croatia, Georgia, Kazakhstan, Kosovo, Kyrgyzstan, Macedonia, Serbia and Montenegro, Tajikistan, Turkmenistan, and Uzbekistan. Alumni return to develop course work, introduce new teaching methodologies,

and share experiences with their colleagues.

In fiscal year 2010, the U.S. Ireland Alliance administered the George Mitchell Scholarship Program, which provided approximately 24 scholarships to U.S. citizens to pursue one year of postgraduate study in institutions of higher education in the Republic of Ireland and Northern Ireland for the 2011-2012 academic year.

In fiscal year 2010, the Tibet Fund administered the Tibetan Scholarship Program to fund approximately 29 Tibetan students for study at U.S. universities.

The United States--South Pacific Scholarship Program has supported more than 84 South Pacific Islanders since the programs inception in 1995. Under the Timor Leste Scholarship Program, more than 50 East Timorese students have received scholarships since the program began 2000. Many alumni of these two programs have returned home to important posts in cabinets of the new Timor-Leste government, in South Pacific government entities, at prominent NGOs, with United Nations programs, and at academic institutions. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform

Administrative Requirements for Grants and Agreements with Institutions of Higher

Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles.

For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Roz Swenson Department of State  
Bureau of Educational and Cultural Affairs  
Office of Academic Exchange Programs  
2200 C Street, NW, SA-5, Fourth Floor, Washington, District of Columbia  
20037 Email: [fulbright@state.gov](mailto:fulbright@state.gov) Phone: 202-632-3238

#### **Website Address:**

<http://exchanges.state.gov/academicexchanges/index.html>

#### **RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

As stated in the Grants.gov and Federal Register announcements.

#### **19.012 PROFESSIONAL AND CULTURAL EXCHANGE PROGRAMS - SPECIAL PROFESSIONAL AND CULTURAL PROGRAMS**

Special Professional and Cultural Programs include Congress-Bundestag Youth Exchange, the Mike Mansfield Fellowship Program, the Irish Institute at Boston College, the National Youth Science Camp, the Institute for Representative Government, the Pakistan Literacy Training Program, and the Ngwang Choephel Fellows Program.

#### **FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

#### **AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

#### **OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of

educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity. The purpose of the Special Professional and Cultural Programs is to carry out Congressionally-directed initiatives that support professional and youth exchanges between the United States and select countries through grants to American non-profit, non-governmental institutions and organizations, including community organizations, professional associations, and universities.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Funding is provided to eligible non-profit organizations, colleges and universities to support their work in designing and administering programs as well as coordinating program logistics. Funding to those organizations supports activities such as publicity and recruitment, screening of participant applications, communication with participants, domestic and international travel, payment of stipends and program benefits, and the provision of enrichment activities. Special Professional and Cultural Programs constitute a range of professional and youth exchange initiatives in which the U.S. Congress has particular interest. The programs are designed to promote U.S. interests in designated countries around the world by developing mutual understanding of key issues and promoting long-lasting ties between the United States and those countries. Programs are designed to promote good governance, civil society and civic responsibility, educational reform, conflict prevention and management, trade, leadership, cultural diversity and heritage, and educational reform, as well as other topics through people-to-people exchanges. Please refer to the grants.gov or Federal Register announcement for further information.

#### **Applicant Eligibility:**

None.

#### **Beneficiary Eligibility:**

None.

#### **Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

#### **Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress,

allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Project Grants) FY 10 \$8,208,289; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$95,000 to \$1,900,000. Average: \$575,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, Special Professional and Cultural Programs sponsored approximately 1,000 participants from 12 countries, including the United States. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles.

For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sheila Casey Department of State  
Bureau of Educational and Cultural Affairs  
Office of Citizen Exchange Programs  
2200 C Street, NW  
SA-05, Rm. 3B14, Washington, District of Columbia 20037 Email:  
[caseysd@state.gov](mailto:caseysd@state.gov) Phone: 202-632-6070

**Website Address:**

<http://exchanges.state.gov/citizens/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov and Federal Register announcements.

**19.014 ONE-TIME INTERNATIONAL EXCHANGE GRANT PROGRAM**

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

To provide one-time grants for international exchanges that address issues of mutual interest to the United States and other countries, consistent with the program criteria established in the Departments annual appropriation. As directed by the Congress, The program shall be only for the actual exchange of people and should benefit a population that is not being addressed through existing authorized exchanges. As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The One-Time International Exchange Grant Program may include Academic and Professional, Cultural, and Youth exchange activities. The activities are designed to promote U.S. interests in designated countries around the world by developing mutual understanding of key issues and promoting long-lasting ties between the United States and other countries. The activities funded under this program provide selected individuals with the opportunity to participate in exchanges and develop international competencies and skills, which allow them to serve as leaders in their professions and communities. Funding is provided to eligible non-profit organizations, colleges and universities to support their work in designing and administering exchange programs as well as



coordinating program logistics.

Academic grants may support such activities as study abroad capacity building, the administration of intensive English or thematic Study of the U.S. institutes for underserved populations from the developing world or strategically important areas, or other academic exchanges and international educational programs. Program models, themes and world regions of emphasis may vary from year to year.

Professional, Cultural, and Youth grants may support two-way exchanges for Emerging Youth Leaders, Emerging Young Professionals, and Emerging Cultural Leaders. Themes and world regions vary by program. Program models, themes and world regions may vary from year to year.

Please refer to the grants.gov or Federal Register announcements for further information.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by organizations specifically identified by Congress in agency appropriations legislation as well as public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. For awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report as authorized by the DOS. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Project Grants) FY 10 \$8,053,719; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$30,000 to \$550,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, following an open competition, the Bureau of Educational and Cultural Affairs issued 25 institutional grant awards totaling approximately \$8,000,000 to eligible institutions under the One-Time Grant Program. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lana Muck for Academic Programs / Sheila Casey for Professional Exchanges

Department of State  
Bureau of Educational and Cultural Affairs  
2200 C Street, NW, SA-05, Washington, District of Columbia 20037 Phone:  
(202) 632-9330 / 632-6070

**Website Address:**

<http://exchanges.state.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the grants.gov and Federal Register announcements.

**19.015 CULTURAL, TECHNICAL AND EDUCATIONAL CENTERS**

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

U.S. Code Collection, 22 U.S.C 2054; U.S. Code Collection, 22 U.S.C 2078;  
The Fulbright-Hays Act of 1961, Public Law 87-256; Department of State,  
Foreign Operations, and Related Programs Appropriations Act.

**OBJECTIVES:**

To assist various organizations identified by Congress to achieve objectives specified by Congress. As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance is provided to implement specific projects identified by Congress.

Funding is provided to the Center for Cultural and Technical Interchange Between East and West (East-West Center) to promote better relations and understanding between the United States and the nations of Asia and the Pacific through cooperative study, training, and research. Scholars, students, teachers, government officials, NGO leaders, journalists and other professionals in various fields from the U.S. and the Asia Pacific region may study and carry out research, exchange ideas and views, lead and participate in seminars and training activities, take part in cultural programs, and conduct other activities primarily in support of the objectives of the Fulbright-Hays Act, as amended, and other Acts promoting the international, educational, cultural, and related activities of the United States.

Funding is appropriated each fiscal year from interest and earnings credited to the Center for Middle Eastern-Western Dialogue Trust Fund for operations of the International Center for Middle Eastern-Western Dialogue to promote dialogue and scholarship in the Middle East.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Eligible organizations are those specifically identified by Congress in agency appropriations legislation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. As stated in the award solicitation documents.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau's Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are contingent upon future Congressional funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the award solicitation documents. Cash reports are not applicable. Progress reports are not applicable. As stated in the award solicitation documents. As stated in the award solicitation documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. For awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report as authorized by the DOS. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 10 \$24,733,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - FY 2010 estimate not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>. Refer to solicitation documents for additional requirements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lana Muck Department of State  
Bureau of Educational and Cultural Affairs  
Office of Academic Programs  
2200 C Street, NW, SA-05  
Rm. 5Q15  
, Washington, District of Columbia 20037 Email: [MuckLS@state.gov](mailto:MuckLS@state.gov) Phone: 202-632-9331

**Website Address:**

<http://exchanges.state.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the award solicitation documents.

**19.023 OVERSEAS SCHOOLS PROGRAM**

Office of Overseas Schools Program

**FEDERAL AGENCY:**

Office of Overseas Schools, U.S. Department of State

**AUTHORIZATION:**

Department of State Basic Authorities Act of 1956, as amended by the Foreign Service Act of 1980., 22 U.S.C 2701; The Foreign Assistance Act of 1961 as amended., Section 636c and d.

**OBJECTIVES:**

The Office of Overseas Schools promotes quality educational opportunities at the elementary and secondary school levels for dependents of American citizens carrying out programs and interests of the U.S. Government abroad. The Office also works to increase mutual understanding between the people of the United States and the people of other countries through educational institutions which demonstrate American educational practices, principles and methods employed in the United States.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

A/OPR/OS gives grant assistance to approximately 200 American-sponsored overseas schools. These schools meet criteria outlined in the Foreign Affairs Manual (2 FAM 600), which requires that they be non-profit, non-church related and serve American interests. Schools accepting the grants agree to admit all eligible USG dependents. Grants must be used for approved educational purposes such as curriculum purchase, teacher training, and educational supplies/equipment.

**Applicant Eligibility:**

Grants are generally restricted to selected overseas schools.

**Beneficiary Eligibility:**

Dependents of American citizens carrying out programs and interests of the U.S. Government abroad are the primary beneficiaries.

**Credentials/Documentation:**

Schools must meet all requirements as prescribed in the Foreign Affairs Manual, Volume 2, Section 600. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Post and Legal approve school's eligibility to receive a grant. School applies to A/OPR/OS, which decides the amount and purpose(s) of the grant, prepares the documents and sends them to school/post to execute. School signs and returns copies to post and A/OPR/OS.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are generally 12 - 18 months in length. See the following for information on how assistance is awarded/released: Schools spend funds as outlined in grant and submit receipts to post for payment. Grants are reimbursable.

**Reports:**

Annual program report. No cash reports are required. An annual progress report is required. A/OPR/OS has an OMB approved form (DS-2028) that grantees submit to report expenditures. The form is provided at the time the grant is issued. Regional Education Officers from A/OPR/OS visit posts/schools to review performance. There is also regular email dialog between schools, posts and A/OPR/OS on performance matters.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Currently, all A/OPR/OS grants are well below the audit threshold.

**Records:**

Grantee must maintain grant files for three years from closeout of the grant.

**Account Identification:**

19-4519-0-0-001 - 19\_\_x45190001 (ICASS funds).

**Obligations:**

(Project Grants) FY 10 \$11,244,000; FY 11 est \$11,000,000; and FY 12 est \$11,000,000

**Range and Average of Financial Assistance:**

Grants range from \$5000 to \$300,000. Majority of grants are less than \$40,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Anna M. Schuhart 2201 C Street NW  
SA-1, Suite H328, Washington, District of Columbia 20520 Email:  
schuhartam@state.gov Phone: 2022618207 Fax: 2022618224

**Website Address:**

http://www.state.gov/m/a/os

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.024 SOFT TARGET PROGRAM FOR OVERSEAS SCHOOLS**

Soft Target Program

**FEDERAL AGENCY:**

U.S. Department of State

**AUTHORIZATION:**

Section 29 of the State Department Basic Authorization Act.

**OBJECTIVES:**

Improve physical security of overseas schools to deter or lessen the impact of terrorism and/or violent crime.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

To fund the implementation of physical security upgrades at eligible overseas schools. Grant recipient must either be a Department-assisted school, or if not, have USG dependent children enrolled. Funding is limited to the actual line items of work listed in the grant. 100% of grant funding is dedicated to physical security improvements at eligible overseas schools.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Every request for Soft Target grant funding must be submitted via an official cable from the applicable overseas post under the authority of the Ambassador. Grant funding is provided via a grant issued by one of two grant offices within the State Department. The grant office is determined by whether the school is a Department-assisted school or not. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Regional Security Officers meet with school officials to discuss threats, vulnerabilities, and possible remedial action. RSO's prepare and send an official cable outlining recommendations, rationale, budgetary cost estimates, and school specific data. The Bureau of Diplomatic Security, along with the Bureau of Overseas Buildings Operations jointly review the funding request to verify

that it meets Soft Target Program criteria, that the recommendations are prudent, and that the cost estimate are reasonable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 1 to 15 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Normal grant performance period is 12 - 18 months. Extensions can be granted if determined to be necessary by the Program Office in the Bureau of Overseas Buildings Operations. See the following for information on how assistance is awarded/released: Generally, schools front their own funding to implement upgrades. Upon successful completion, as determined by the Regional Security Officer, schools are reimbursed out of grant funding by the applicable post.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Reimbursements are requested using SF 270. Final reports are submitted using DS 2028. The Regional Security Officer (RSO) oversees the work performed by the school. Upon completion he/she verifies that all work was properly completed and functions as intended. Only then, may requests for reimbursement be processed by the Grant Officer's Representative (GOR) at post.

**Audits:**

No audits are required for this program.

**Records:**

Recipients are required to maintain financial records for three years.

**Account Identification:**

19-0535-0-0-000 - 19\_\_X0535000H.

**Obligations:**

(Project Grants) FY 10 \$6,000,000; FY 11 est \$5,000,000; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

Range: \$10K - \$400K

Avg: \$70K.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

James W. Witt 1701 Ft. Myer Dr.  
. Arlington, Virginia 22209 Email: wittjw@state.gov Phone: 7038754929

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## 19.026 GLOBAL PEACE OPERATIONS INITIATIVE

GPOI

### FEDERAL AGENCY:

U.S. Department of State

### AUTHORIZATION:

Foreign Assistance Act, 1961, Section 632, Public Law 112-10.

### OBJECTIVES:

GPOI was initially envisioned as a five-year program (FY 2005-2009) to help address major gaps in international capacity to conduct peace support operations (PSOs), with a focus on Africa. Such gaps included a shortage of capable peacekeepers and formed police units (FPUs), limited national capabilities to train and sustain peacekeeping proficiencies, and a lack of international coordination mechanisms to assist the deployment of troop and police contingents to PSOs. Despite considerable progress in these areas since FY 2005, significant capacity shortfalls continue to impact the effectiveness of United Nations (UN) and regional PSOs. Addressing these gaps will require a long-term commitment to capacity building by the United States and other contributor countries. Toward this end, a National Security Council Deputies Committee approved a five-year renewal of GPOI's mandate (FY 2010-2014) in October 2008. Through policy statements and budgetary allocations, the current Administration subsequently affirmed support for the continuation of PSO capacity building activities through GPOI.

Reflective of global PSO requirements at the time of GPOI's establishment, the programs first five years focused on significantly increasing the number of peacekeepers available for deployment. Accordingly, the primary objective of Phase I was to train and, as appropriate, equip at least 75,000 peacekeepers by 2010. GPOI met and, in fact, surpassed this target, training 86,969 peacekeepers as of 30 September 2009. Through GPOI, the United States further provides deployment support, obligating \$ 76.6 million to date to facilitate the equipping, transportation, and sustainment of troops deploying to various UN and regional missions. Overall, GPOI train, equip, and deployment support activities have facilitated the deployment of 122,202 personnel from 31 countries to 19 PSOs around the world.

GPOI funds a wide range of regional capacity building initiatives, to include technical assistance, staff training, equipment provisions, and building refurbishments for two regional headquarters (the African Union (AU) and the Economic Community of West African States (ECOWAS)) and 32 national and regional PSO training centers. Additionally, GPOI provides financial, technical, and staffing support to the Center of Excellence for Stability Police Units (COESPU), an Italian-led center to facilitate the training of stability/formed police unit (FPU) trainers.

During Phase II (FY 2010-2014), GPOI will seek to continue to ensure sufficient numbers of capable peacekeepers are available for PSOs, with the target of facilitating training for an additional 242,500 troops. However, program emphasis has shifted from the direct training of peacekeepers by U.S. personnel to building sustainable, indigenous PSO training capabilities in partner countries/ organizations. GPOI-funded activities emphasize the establishment and strengthening of partner countries training infrastructures, with a focus on both military troops and FPUs, where appropriate. Accordingly, at least two-thirds (or approximately 162,500) of the peacekeepers trained will be trained indigenously by GPOI-trained instructors. GPOI will further continue to serve as a mechanism for supporting units deploying to UN and regional peacekeeping missions, as well as to build the capacity of regional organizations to train for, plan, deploy, manage, sustain, and integrate lessons learned from PSOs.

### TYPES OF ASSISTANCE:

Project Grants; Project Grants (Capacity Building and Complaint Processing, Training); Project Grants (Cooperative Agreements or Contracts); Project Grants (Discretionary); Project Grants (for collaborative design of curriculum, production of; Project Grants (Special)

### USES AND USE RESTRICTIONS:

Funds may be used as approved by State PM/PPA/GPOI in accordance with

with the Foreign Assistance Act of 1961, as amended (FAA), and the Full-Year Continuing Appropriations Act, 2011 (Div. B, P.L. 112-10) (CR). Activities that may be funded include, but are by no means limited to, peacekeeping capacity building as it relates to training, courses, course materials, staffing, program management, deployment support, construction and refurbishment of peacekeeping centers, equipment requirements, studies, workshops, conferences, and regional exercises. Funds must be used in accordance with the Foreign Assistance Act of 1961, as amended (FAA), and the Full-Year Continuing Appropriations Act, 2011 (Div. B, P.L. 112-10) (CR).

### Applicant Eligibility:

No additional information to include.

### Beneficiary Eligibility:

No additional information to include.

### Credentials/Documentation:

All applications for assistance must be cleared by PM/PPA/GPOI. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants are pre-selected based on established criteria.

### Award Procedure:

PM/PPA/GPOI must grant approval of the proposal prior to application.

### Deadlines:

Not Applicable.

### Range of Approval/Disapproval Time:

Applicants are pre-selected based on established criteria.

### Appeals:

Not Applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

Not applicable. All grants are granted at the discretion of PM/PPA/GPOI after receiving proposals. Method of awarding/releasing assistance: lump sum.

### Reports:

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

### Audits:

Not Applicable.

### Records:

A-133 Audits may apply to some organization.

### Account Identification:

19-1111-2-5-210 - Fund.

### Obligations:

(Salaries) FY 10 Not Separately Identifiable; FY 11 Not Separately Identifiable; and FY 12 Not Separately Identifiable

### Range and Average of Financial Assistance:

No Data Available.

### PROGRAM ACCOMPLISHMENTS:

Not Applicable.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Laura V. Hoyt, 2201 C Street NW, Suite 2811, Washington, District of Columbia 20520. Email: hoytlv@state.gov Phone: 202--647-0904.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.087 INTERNATIONAL FISHERIES COMMISSIONS**

International Fisheries Commissions

**FEDERAL AGENCY:**

Bureau of Oceans and International Environmental and Scientific Affairs, U.S. Department of State

**AUTHORIZATION:**

Foreign Relations Authorization Act, Title I: Authorization of Appropriations , Executive Order Foreign Operations and Related Program, Section Section 102.

**OBJECTIVES:**

The commissions and organizations funded by this appropriation enable the United State to promote critical U.S. economic and conservation interests. Each facilitates international cooperation by conducting or coordinating scientific studies of fish stocks and other living marine resources and establishing common management measures to be implemented by member governments based on their results. Many also oversee the allocation of member nations' fishing rights.

**TYPES OF ASSISTANCE:**

Formula Grants (Apportionments)

**USES AND USE RESTRICTIONS:**

Assistance is provided for fish and related commissions established by treaty and are primarily assessed. Assistance can only be used for such expenses as expressed in the organization's rules of procedure or as agreed to by the parties.

**Applicant Eligibility:**

The use of fund is to support a wide range of international partnerships responding to diverse climate environmental initiatives.

**Beneficiary Eligibility:**

International Organizations.

**Credentials/Documentation:**

Prior to payment - annual budget, financial & income statements, invoice, assessment, breakout of the parties, and current independent audit statement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. N/A

**Award Procedure:**

Assistance is provided for fish and related commissions established by international treaty and are primarily assessed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding generally for one year. See the following for information on how assistance is awarded/released: Lump sum or partial payments.

**Reports:**

Annual reports are issued by each commission or organization detailing ongoing programs, accomplishments, and progress towards resource management or scientific goals. Specific project or program reports are also required for sub-elements funds through voluntary contribution on at least an annual basis, with final reports required at the conclusion for time-limited or discrete activities. Annual budget, financial & income statement, invoice, assessment breakout of the parties, and current independent audit statement require. No progress reports are required. Annual budget, financial & income statement, invoice, assessment breakout of the parties, and current independent audit statement. All programs will be monitored by Department of State Program Officers.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Current independent audit statement.

**Records:**

Organization to keep records to receive satisfactory independent audit. Records to be kept for 3 years.

**Account Identification:**

19-0000-0-0-001.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$53,658,536; FY 11 est \$43,440,000; and FY 12 est \$32,200,000 - N/A.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

KC T. Dao, Bureau of Oceans Environment and Scientific Affairs, Room 2880 HST, Department of State, 2201 C Street, NW, Washington, District of Columbia 20520 Email: daokt@state.gov Phone: (202) 647-2198.

**Website Address:**

<http://www.state.gov/g/oes/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.123 EUR/ACE HUMANITARIAN ASSISTANCE PROGRAM**

EUR/ACE Humanitarian Assistance Program

**FEDERAL AGENCY:**

U.S. Department of State

**AUTHORIZATION:**

AEECA, Title AEECA, Part 1, Section 1, Public Law 123-123, 1 Stat. 1, 1 U.S.C 1.

**OBJECTIVES:**

Provide vital humanitarian assistance to vulnerable populations in countries of the former Soviet Union.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Provide vital humanitarian assistance to vulnerable populations in countries of the former Soviet Union.

**Applicant Eligibility:**

Programs include both medical and non-medical assistance.

**Beneficiary Eligibility:**

All grantees under this program are U.S. based non-profit organizations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

grants under this program are sole sourced and are directed by the program office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

most grants have a one-year period of performance. time permitted to spend funds is in alignment with FAR regulations. See the following for information on how assistance is awarded/released: as requested by grantee and confirmed by program office.

**Reports:**

requirement determined on a case-by-case basis by the program office. in compliance with USG regulations. No progress reports are required. in compliance with USG regulations. performance monitoring by program office is conducted on, at minimum, a yearly basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

19-7201-0-3-060.

**Obligations:**

(Salaries) FY 10 \$10,000,000; FY 11 est \$10,000,000; and FY 12 est \$10,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nicole Shank, 2201 C Street NW, Washington, District of Columbia 20003  
Email: shankn@state.gov Phone: (202) 647-7272.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.124 U.S. DEPARTMENT OF STATE**

U.S. Department of State, Bureau of East Asian and Pacific Affairs, Grant Awards

**FEDERAL AGENCY:**

Bureau of East Asian and Pacific Affairs, U.S. Department of State

**AUTHORIZATION:**

Section 634 of the Foreign Assistance Act of 1961, as amended, Executive Order and Department of State, Foreign Operations and Related Programs Appropriations Act, 2010 (Div. J, Public Law 110-161), sections 7015(c) and section 7071(b), Public Law 110-161.

**OBJECTIVES:**

Support the foreign assistance goals and objectives of the Department of State, Bureau of East Asian Affairs, as delineated in the FY Bureau Strategic and Resource Plan. This program is for all grant awards for the entire fiscal year funded through State/EAP.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Cooperative Agreements (Discretionary Grants); Project Grants; Project Grants (for specified projects)

**USES AND USE RESTRICTIONS:**

All funds for grants will comply with the restrictions on Economic Support Funds, as specified in Foreign Assistance Act of 1961, as amended. All funds for grants will comply with the restrictions on Economic Support Funds, as specified in Foreign Assistance Act of 1961, as amended. See www.grants.gov for specific announcement. This depends on individual grant award. See www.grants.gov for specific announcement.

**Applicant Eligibility:**

Department of State, EAP Bureau does not issue domestic grants. Any and all grants will go to entities that operate overseas in support of our international foreign assistance goals and objectives. See www.grants.gov for specific announcement.

**Beneficiary Eligibility:**

U.S. Department of State, EAP Bureau does not issue domestic grants. Any and

all grants will go to entities that operate overseas in support of our international foreign assistance goals and objectives.

**Credentials/Documentation:**

Any award made using State/EAP funds require the full compliment of standard forms and budget documents, as dictated by the Department of State, Bureau of Administration and the relevant OMB circulars. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-award coordination is required for all grantees applying for foreign assistance grants through the U.S. Department of State, Bureau of East Asian and Pacific Affairs grant awards. This coordination will take place between program officers in the field and the recipient agencies, or between program officers in Washington, DC and the recipient organizations. See [www.grants.gov](http://www.grants.gov) for specific announcement. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Award Procedure:**

Defined by the U.S. Department of State, Administration Bureau in accordance with relevant OMB Circulars. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals must be coordinated with the State/EAP program officer, the Representative of State/Administration Bureau grants officer, and the recipient. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most grant awards are for a full year time frame, sometimes two years. See the following for information on how assistance is awarded/released: It depends on the amount and the details of the project. Sometimes it is one lump sum, in the cases of under \$25,000 awards. For anything larger the HHS PMS system is used for quarterly installments, as required.

**Reports:**

Depending on the size of the award and the length of the project period, as dictated in the official U.S. Department of State Notice of Award, program/project reports may be required either quarterly, semi-annually, or annually. See [www.grants.gov](http://www.grants.gov) for specific announcement. Required quarterly for all awards. Depending on the size of the award and the length of the project period, as dictated in the official U.S. Department of State Notice of Award, program/project reports may be required either quarterly, semi-annually, or annually. See [www.grants.gov](http://www.grants.gov) for specific announcement. Required quarterly for all awards. At the discretion of the listed Grants Officer.

**Audits:**

Not Applicable.

**Records:**

All project/program and financial records must be retained by award recipients for 3 years.

**Account Identification:**

19-7201-1-0-371 - Economic Support Funds.

**Obligations:**

(Project Grants (Discretionary)) FY 09 \$23,216,500; FY 10 est \$28,238,198; and FY 11 est \$4,836,000 - The above includes the annual grant for The Asia Foundation: 19052500000 (11 digit budget account code).

**Range and Average of Financial Assistance:**

Depends on specific grant award. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ariel R. Wyckoff, 2201 C Street, NW, Room 5313, Washington, District of Columbia 20520 Email: [WyckoffAR@state.gov](mailto:WyckoffAR@state.gov) Phone: (202) 647-9446.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Project specific, depends on the program. All awards are screened for terror finance and/or support per the relevant U.S. Department of State and federal guidelines and regulations. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**19.221 NEAR EAST REGIONAL DEMOCRACY**

**FEDERAL AGENCY:**

Bureau of Near Eastern Affairs, U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act of 1961.

**OBJECTIVES:**

To support democracy and human rights in the Near East region.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants and Cooperative agreements to support democracy and human rights in the Near East region. Funds can only be used to promote democracy and human rights.

**Applicant Eligibility:**

Non-profit, for-profit organizations or state and local governments interested in partnering with the Middle East Partnership Initiative to promote democratic change in the Near East.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

CVs of main program staff. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Respond to Program Announcement for Request for Application (RFA) posted on [grants.gov](http://grants.gov). SF 424 and full proposal required.

**Award Procedure:**

A technical review panel reviews proposals and scores them in accordance with



published review criteria and determines priority program recommendations for final negotiation on the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days. Based on program needs and availability of funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies. See the following for information on how assistance is awarded/released: All assistance is with the Division of Payment Management.

**Reports:**

Quarterly Progress Review Reports. No cash reports are required. Quarterly Progress Review Reports. Quarterly Financial Review Reports. Quarterly Progress Review Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Reports will be retained for three years from the date of submission of the final reports.

**Account Identification:**

19-4401-0-1-150.

**Obligations:**

(Project Grants) FY 10 \$40,000,000; FY 11 est \$35,000,000; and FY 12 est \$35,000,000

**Range and Average of Financial Assistance:**

The range is \$500,000 to \$2,500,000 with an average of \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nate L Swanson, 2201 C St, Washington , District of Columbia 20520. Phone: 202-647-3366.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.300 PROGRAM FOR STUDY OF EASTERN EUROPE AND THE**

**INDEPENDENT STATES OF THE FORMER SOVIET UNION**

(Title VIII)

**FEDERAL AGENCY:**

Bureau of Intelligence and Research, U.S. Department of State

**AUTHORIZATION:**

Research and Training for Eastern Europe and the Independent States of the Former Soviet Union Act of 1983, Public Law 90-164, Title VIII, 97 Stat. 1948, as amended by Public Law 103-199.

**OBJECTIVES:**

To sustain and strengthen American expertise on the independent states of the former Soviet Union and countries of Eastern Europe, by supporting graduate training; advanced research; public dissemination of research data, methods, and findings; contact and collaboration among Government and private specialists; and firsthand experience of these countries by American specialists, including on site conduct of advanced training and research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For grants to nonprofit organizations and institutions of higher education with interest and expertise in conducting research and training programs on the independent states of the former Soviet Union and Eastern Europe. These organizations act as intermediaries for the Federal funds by conducting their own national, open competitions to make awards at the graduate level and above to individual students, scholars or other institutions.

**Applicant Eligibility:**

Applicants must be nonprofit organizations or institutions of higher education with an established track record in conducting research and training programs on the independent states of the former Soviet Union and countries of Eastern Europe. These organizations must run national programs of: advanced research; graduate training; language training; public dissemination of research data, methods, and findings; contact and collaboration among Government and private specialists; and/or firsthand experience of the area by U.S. specialists.

**Beneficiary Eligibility:**

Graduate students, individual scholars, nonprofit organizations and institutions of higher education active in the study of the Independent States of the former Soviet Union and countries of Eastern Europe.

**Credentials/Documentation:**

Applications must include vitae of professional staff. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The call for applications is published on Grantsolutions.gov and Grants.gov. Applications must be prepared and submitted via one of these systems. The basic application includes a project narrative which should not exceed 20 double-spaced pages (in Times New Roman 12 pt font). It must be accompanied by a one-page executive summary, a budget, budget notes, statement of work (SoW) and vitae of professional staff. Applications must be submitted to one of the aforementioned systems by the competition deadline.

**Award Procedure:**

A Federal Advisory Committee mandated by the legislation reviews each application and rates it according to its responsiveness to the goals and review criteria published in the Request for Grant Proposal (RfGP). To be technically eligible, an application must demonstrate: a program that is national in scope; the organization's established track record in administering a research and training program; mechanisms for sharing the cost of the program; how it intends to advertise its program to the broad constituency of scholars; how successfully an organization targets individuals most likely to make a career commitment to the study of the region; etc. The Committee makes funding

recommendations to the Assistant Secretary of State for Intelligence and Research for approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 90 days following the deadline, the Advisory Committee will meet in public to evaluate applications and make funding recommendations. Assuming the program's funding is in place, the Advisory Committee will forward its recommendations to the Assistant Secretary of State for Intelligence and Research who usually acts on them within two weeks. All applicants then are notified regarding their funding status.

**Appeals:**

Not Applicable.

**Renewals:**

Each competition is open and national; applicants may submit a single proposal in response to each RfGP.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. Cost sharing is encouraged. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant recipients have approximately three (3) years to spend their awards depending upon the appropriation legislation. Grant recipients draw down on the grant as needed by requesting funds through the Payment Management System (PMS). See the following for information on how assistance is awarded/released: See individual grants application package in [www.grantsolutions.gov](http://www.grantsolutions.gov) or [www.grants.gov](http://www.grants.gov).

**Reports:**

Grant recipients are required to provide quarterly Programmatic (narrative) reports and quarterly Federal Financial Reports (SF 425) and Financial Status Reports. Grant recipients are required to provide quarterly Federal Financial Reports (SF 425) and Financial Status Reports. Grant recipients are required to provide quarterly Programmatic (narrative) reports and quarterly Federal Financial Reports (SF 425) and Financial Status Reports. Grant recipients are required to provide quarterly Programmatic (narrative) reports and quarterly Federal Financial Reports (SF 425) and Financial Status Reports. Grant recipients are required to provide quarterly Programmatic (narrative) reports and quarterly Federal Financial Reports (SF 425) and Financial Status Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A 133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Grant recipients are required to keep standard accounting records for 3 years beyond the life of the grant.

**Account Identification:**

72-1093-0-1-150.

**Obligations:**

(Project Grants) FY 10 \$4,775,000; FY 11 est \$4,775,000; and FY 12 Estimate Not Available - Funding dependant on appropriation.

**Range and Average of Financial Assistance:**

Avg. Approx \$500000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jon Crocitto 2201 C Street, NW, Washington, District of Columbia 20520  
Phone: 202-736-4661

**Website Address:**

<http://www.state.gov/s/inr/grants>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.400 ACADEMIC EXCHANGE PROGRAMS - GRADUATE STUDENTS**

The Fulbright Student Program includes program components for U.S. students, foreign students, Foreign Language Teaching Assistantships, English Teaching Assistantships, Western Hemisphere Fulbright Faculty Development Program, Fulbright Graduate Fellows, and Science and Technology Awards

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of the Fulbright Student Program is to promote mutual understanding by providing opportunities for American and foreign students to study, do research, and/or serve as teaching assistants of their native languages abroad.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding is provided to non-profit organizations to support their work in designing and administering programs as well as coordinating program logistics. Funding to those organizations supports activities such as publicity and recruitment, screening of applications, communication with recipients, payment of stipends, and the provision of enrichment activities. The flagship international exchange program sponsored by the United States Government, the Fulbright Program is designed to increase mutual understanding between the people of the United States and the people of other countries. The program promotes leadership development through learning and international cooperation. Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement

for further information.

**Applicant Eligibility:**

To individuals with the following qualifications: (a) U.S. citizenship at the time of application; (b) with certain exceptions, B.A. degree or its equivalent before the beginning date of the grant; (c) candidates may not hold a doctoral degree at the time of application; (d); preference will usually be given to candidates who have not had extensive recent experience in the country to which they are applying; (e) language proficiency sufficient to communicate with the people of the host country and to carry out the proposed study; (f) language proficiency is especially important for students wishing to undertake projects in the social sciences and the humanities; and (g) good health.

**Beneficiary Eligibility:**

U.S. citizens who are graduate students and who want to live and study in a foreign country for one academic year.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As stated in the grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the grants.gov and Federal Register announcement. Cash reports are not applicable. Progress reports are not applicable. As stated in the grants.gov and Federal Register announcement. As stated in the grants.gov and Federal Register announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$118,691,655; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$2,997,260 to \$76,492,588. Average: \$29,491,700.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Fulbright Program operates in more than 155 countries worldwide and has provided approximately 300,000 participants chosen for their academic merit and leadership potential with the opportunity to study, teach and conduct research, exchange ideas and contribute to finding solutions to shared international concerns. In 2009-2010, 1,564 American students studied abroad in 125 countries with support from the Fulbright Program. In that same time period approximately 3500 foreign students from more than 135 countries were offered new or renewed grant awards for study at U.S. universities. The competition for 2010-11 attracted an all-time high number of U.S. student applicants (8,589). Fulbright alumni serve in leadership positions in government, academia, business, the arts, science, media, and other professional fields. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None. See application procedure.

**Headquarters Office:**

Roz Swenson Department of State  
Bureau of Educational and Cultural Affairs  
Office of Academic Exchange Programs

2200 C Street, NW, SA-5, Fourth Floor, Washington, District of Columbia  
20037 Email: [fulbright@state.gov](mailto:fulbright@state.gov) Phone: (202) 632-3238

**Website Address:**

<http://exchanges.state.gov>.

**RELATED PROGRAMS:**

19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the [grants.gov](http://grants.gov) and Federal Register announcements.

**19.401 ACADEMIC EXCHANGE PROGRAMS - SCHOLARS**

The Fulbright Scholar program includes program components for U.S. scholars, visiting foreign scholars, the Scholar in Residence program, the New Century Scholars, Regional Research programs, and Study of the U.S. Institutes for Scholars.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The Fulbright Scholar Program offers opportunities for American and foreign scholars to conduct research, lecture, and/or consult with other scholars and institutions in the U.S. and abroad. The Study of the U.S. Institutes for Scholars strengthen curricula and improve the quality of teaching about the United States in academic institutions overseas.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Funding is provided to non-profit organizations, colleges, and universities to support their work in designing and administering programs as well as coordinating program logistics. Funding to these organizations, colleges and universities supports activities such as publicity and recruitment, screening of applications, communication with recipients, payment of stipends, and the provision of enrichment activities.

The flagship international exchange program sponsored by the United States Government, the Fulbright Program is designed to increase mutual understanding between the people of the United States and the people of other countries. It promotes leadership development through learning and international cooperation.

For Study of the U.S. Institutes for Scholars, recipient institutions design and administer thematically focused seminars on a field or topic of U.S. studies where participants interact with American scholars, meet with experts in their disciplines, visit civic institutions, and explore the diversity and culture of the United States.

Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further information.

**Applicant Eligibility:**

To individuals with the following qualifications: (1) U.S. citizenship at the time of application. (2) Foreign language proficiency, in some cases, for lecturing in certain countries, and for doing field-based research. (3) For lecturing: college or university teaching experience at the level for which application is made or equivalent professional standing in non-academic fields. (4) For research: a doctoral or terminal degree or, in some fields, recognized professional standing as demonstrated by faculty rank, publications, compositions, exhibition record, concerts, etc. Candidates for a doctorate and persons wishing to undertake other pre-doctoral professional training abroad should write to the Institute of International Education, 809 United Nations Plaza, New York, NY 10017.

**Beneficiary Eligibility:**

U.S. citizens who are educational professionals on the post graduate level, or able to lecture or conduct research in professional fields such as law, business, journalism, etc.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the [grants.gov](http://grants.gov) website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the [grants.gov](http://grants.gov) and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau of Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the [grants.gov](http://grants.gov) and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the [grants.gov](http://grants.gov) and Federal Register announcements. See the

following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the grants.gov and Federal Register announcements. As stated in the grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 10 \$36,784,773; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$250,000 to \$29,480,560. Average: \$14,945,620.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Fulbright Program operates in more than 155 countries worldwide and has provided approximately 300,000 participants chosen for their academic merit and leadership potential with the opportunity to study, teach and conduct research, exchange ideas and contribute to finding solutions to shared international concerns. In 2009-2010, 1,116 American scholars studied and taught or conducted post-doctoral research in 133 countries. In that same time period 907 visiting scholars from 108 countries came to the United States to lecture or conduct post-doctoral research for an academic year or term. Fulbright alumni serve in leadership positions in government, academia, business, the arts, science, media, and other professional fields. Fulbright alumni are the recipients of 43 Nobel Prizes, as well as numerous Pulitzer Prizes, MacArthur Foundation Genius Awards, and Presidential Medals of Freedom.

In 2010, 191 foreign scholars from 86 countries participated in Study of the U.S. Institutes. Scholar alumni from Study of the U.S. Institutes develop new course work, publish books and journal articles, and establish think tanks and non-profit organizations. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Roz Swenson Department of State  
Bureau of Educational and Cultural Affairs  
Office of Academic Exchange Programs  
2200 C Street, NW  
SA-5, Fourth Floor, Washington, District of Columbia 20037 Email:  
[fulbright@state.gov](mailto:fulbright@state.gov) Phone: (202) 632-3238

**Website Address:**

<http://exchanges.state.gov>.

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the grants.gov and Federal Register announcements.

**19.402 PROFESSIONAL AND CULTURAL EXCHANGE PROGRAMS - INTERNATIONAL VISITOR LEADERSHIP PROGRAM**

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of the International Visitor Leadership Program is to bring to the U.S. current or potential foreign leaders in government, politics, the media, education, the arts, business and other fields to meet and confer with their professional counterparts and to experience America firsthand.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Funding is provided for nonprofit organizations to support their work in planning, organizing and directing programs of travel, observation, consultation, study and practical experience for foreign visitors from countries throughout the world selected and assigned by the Department. Programs are intended to bring U.S. embassy selected international visitors into contact with influential Americans and representative organizations and institutions across the United States, with the intention of increasing communication and mutual understanding between the people of the United States and the people of other countries. Recipients are responsible for insuring that programs are balanced, nonpolitical, non-partisan, and representative of the diversity of American political, social, and cultural life. The Bureau of Educational and Cultural Affairs seeks balance and diversity in terms of itinerary, geography and community-size; the range of opinions to which visitors are exposed; the professional backgrounds of those commenting on the issues; the ethnic, socio-economic and age diversity of the American people; and other factors

which may be of particular relevance to the particular subject or particular visitor(s) for whom programming is being arranged. Please refer to the grants.gov or Federal Register announcement for further information.

**Applicant Eligibility:**

To be eligible for consideration, organizations must: (1) Be incorporated in the U.S.; (2) have not-for-profit status as determined by the IRS; and (3) a proven record of at least 4 years of successful work in international educational and cultural exchange, including responsible fiscal management.

**Beneficiary Eligibility:**

To be eligible for consideration, organizations must: 1) Be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; and 3) a proven record of at least 4 years of successful work in international educational and cultural exchange, including responsible fiscal management.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act), the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the grants.gov and Federal Register announcements. As stated in the grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 10 \$63,048,405; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$150,000 to \$23,500,000. Average: \$5,750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: More than 5,200 individuals from 172 countries and all regions of the world participated in International Visitor Leadership Programs in FY 2010. Among the thousands of distinguished individuals who have participated in the IVL Program since its inception seventy years ago are more than 320 current and former Chiefs of State and Heads of Government including Gordon Brown (United Kingdom), Nicolas Sarkozy (France), Hamid Karzai (Afghanistan), Pratibha Patil (India), and Felipe de Jesus Calderon Hinojosa (Mexico); thousands of cabinet-level ministers, and many other distinguished leaders from the public and private sectors. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Aisha Tyus Department of State  
Bureau of Educational and Cultural Affairs  
Office of International Visitors  
Community Resources Division  
2200 C Street, NW  
SA-05, Room 003BB06, Washington, District of Columbia 20037 Email:

TyusAT@state.gov Phone: (202) 632-9381

**Website Address:**

<http://www.exchanges.state.gov/ivlp/ivlp.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the grants.gov and Federal Register announcements.

**19.408 ACADEMIC EXCHANGE PROGRAMS - TEACHERS**

Teacher Exchange programs include: the Fulbright Classroom Teacher Exchange Program and the Distinguished Fulbright Awards in Teaching Program, International Leaders in Education Program, Teaching Excellence and Achievement Program, Teachers of Critical Languages Program, Intensive Summer Language Institutes and other targeted professional development programs for teachers and administrators.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of the Teacher Exchange programs is to improve mutual understanding among teachers, school administrators, and their schools and communities in the U.S. and abroad through professional development and exchange. Teacher exchanges support the internationalization and increased quality of schools and classrooms, increase the knowledge of students and communities about global issues and cultures, and improve knowledge of foreign languages.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is provided to nonprofit organizations and educational institutions to implement exchange and professional development programs for teachers and other educators from the U.S. and approximately sixty countries around the world. Organizations are responsible for the following broad categories: program planning and management; placement; orientation; enrichment activities; participant supervision and support services; fiscal management and budgeting; and program reporting and evaluation. The goal of the programs is to create mutual understanding between the people of the United States and the people of other countries. Please refer to the grants.gov or Federal Register announcement for further information.

**Applicant Eligibility:**

(a) Hold at least a Bachelor's degree; (b) be a U.S. citizen fluent in English at the time of application; (c) have a current full-time teaching or administrative assignment in the U.S. or one of its territories; (d) be in at least the third year of full-time teaching or administration (teachers applying to the Classics Seminar only need to be in their second full-year); (e) have not participated in a Fulbright Teacher Exchange longer than 8 weeks in the last 2 years (there is no

required waiting period for teachers who have participated in exchanges of 8 weeks or less).

**Beneficiary Eligibility:**

U.S. and foreign teachers and administrators who want to live and study in a foreign country for 6 weeks, a semester, or an academic year.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 10 \$16,805,666; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$300,000 to \$7,675,000. Average: \$2,800,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, ECAs Teacher Exchange branch supported approximately 250 U.S. participants and 630 international participants for a total of 880 educators. The participants came from 62 countries including the U.S. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles.

For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Kuban Department of State  
Bureau of Educational and Cultural Affairs  
Office of Global Educational Programs  
Teacher Exchange Branch  
2200 C Street, NW  
SA-05, Rm. 4S17, Washington, District of Columbia 20037 Email:  
[kubanmm@state.gov](mailto:kubanmm@state.gov) Phone: 202-632-6346

**Website Address:**

<http://exchanges.state.gov/globalexchanges/index.html>

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the Grants.gov and Federal Register announcements.

**19.415 PROFESSIONAL AND CULTURAL EXCHANGE PROGRAMS -**

**CITIZEN EXCHANGES**

Citizen Exchange activities include the Open Grant Competition, International Sports Programming Initiative, Future Leaders Exchange Program, Kennedy-Lugar Youth Exchange and Study Program, Youth Leadership Programs, Global Connections and Exchange, National Security Language Initiative for Youth, Museums and Community Collaboration Abroad, the International Writers Program, and other Professional and Cultural Exchange programs.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of Citizen Exchange programs is to support professional, youth, sports and cultural exchange programs between the United States and other countries through grants and cooperative agreements to American non-profit, non-governmental institutions and organizations, including community organizations, professional associations, and universities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funding is provided to eligible non-profit organizations, colleges and universities to support their work in designing and administering programs as well as coordinating program logistics. Funding to those organizations supports activities such as publicity and recruitment, screening of participant applications, communication with participants, domestic and international travel, payment of stipends and program benefits, and the provision of enrichment activities. Citizen Exchanges constitute a range of professional, youth, sports and cultural exchange programs designed to promote priority U.S. interests around the world by developing mutual understanding of key issues and promoting long-lasting ties between the United States and other countries. Programs are designed to promote good governance, civil society and civic responsibility, public health, conflict prevention and management, womens empowerment, trade, environmental awareness and responsibility, leadership, arts management, cultural diversity and heritage, sports education, and educational reform, as well as other topics through people-to-people exchanges. Please refer to the grants.gov or Federal Register announcement for further information.

**Applicant Eligibility:**

To public and private nonprofit organizations meeting the provisions described in IRS regulation 26CFR 1.501(c).

**Beneficiary Eligibility:**

U.S. citizens and foreign nationals.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations



meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of

three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Project Grants) FY 10 \$96,239,534; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$50,000 to \$17,500,000. Average: \$875,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, ECAs Office of Citizen Exchanges sponsored over 6,800 program participants from approximately 160 countries, including the United States, through grants and cooperative agreements. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sheila Casey Department of State  
Bureau of Educational and Cultural Affairs  
Office of Citizen Exchange Programs  
2200 C Street, NW  
SA-05, Rm. 3B14, Washington, District of Columbia 20037 Email:  
[casesyd@state.gov](mailto:casesyd@state.gov) Phone: (202) 632-6070

**Website Address:**

<http://exchanges.state.gov/citizens/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the Grants.gov and Federal Register announcements.

**19.421 ACADEMIC EXCHANGE PROGRAMS - ENGLISH LANGUAGE PROGRAMS**

English Language Programs include the English Access Microscholarship Program and the English Language Fellow Program.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual

understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans The purpose of English Language Programs is to support the participation of U.S. English language educators in exchanges overseas, and the participation of underserved foreign students and teachers of English as a foreign language in English study courses and professional development, and international exchanges.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is provided to non-profit organizations to support their work in designing and administering programs as well as coordinating program logistics for U.S. English language educators and underserved foreign students and teachers of English as a foreign language as participants in study and professional development and international exchanges. Funding to those organizations supports activities such as publicity and recruitment, screening of applications, communication with recipients, payment of stipends, and the provision of enrichment activities.

The English Access Microscholarship Program (Access) provides scholarships for in-country English language instruction to foreign, economically disadvantaged 14- to 18-year-olds in selected countries worldwide. Programs give international participants two years of after-school and intensive English language programming while increasing their understanding of U.S. culture and values, with an emphasis on democratic principles and civic engagement. Workshops also are planned and conducted in the U.S. for a selected number of participants to provide an immersion experience in English study and American culture.

The English Language Fellow Program provides U.S. educators in the area of Teaching English as Foreign Language (TEFL) or a closely related field such as Applied Linguistics with ten-month overseas assignments to carry out projects with host-country ministries of education, universities, teacher-training institutions, NGOs, binational centers, and other English language teaching institutions. Please refer to the grants.gov or Federal Register announcement for further information.

Funding also supports the E-Teacher Scholarship Program and English Language Teaching and Materials Development Program.

**Applicant Eligibility:**

Individuals with the following qualifications: (1) United States citizenship. (2) Senior Fellows must have a Master's degree or higher in TESL/TEFL, Applied Linguistics or a closely related field and have previous overseas teaching experience. (3) Fellows must have received a Master's degree in TESL/TEFL within the last seven years.

**Beneficiary Eligibility:**

U.S. citizens who are willing to teach for 10 months overseas according to the needs of the overseas host institution as requested by a U.S. embassy.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 10 \$37,151,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$750,000 to \$26,500,000. Average: \$8,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Since its inception in 2004, over 70,000 students in more than 85 countries have been enrolled in the English Access Microscholarship Program. Of those, over 25,000 Access students are currently studying English under the Access Program.

In fiscal year 2008, the English Language Fellow Program awarded over 100 individual grants to qualified educators of Teaching English as a Foreign Language (TEFL) to teach in 75 countries. The program enables fellows to share their expertise, hone their skills, gain international experience and learn about other cultures

In fiscal year 2010, the English Language Teaching (ELT) Materials Development Program developed ELT materials and designed and administered a three-week Language Educators Summer Institute for approximately 26 English teaching educators from overseas.

In fiscal year 2010, the E-Teacher Scholarship Program provided online, university-level English as a Foreign Language (EFL) courses for approximately 650 EFL teachers throughout the world; and a three-week professional development workshop for approximately 26 EFL professionals. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Craig Dicker Department of State  
Bureau of Educational and Cultural Affairs  
Office of English Language Programs  
2200 C Street, NW  
SA-05, Rm. 4B15, Washington, District of Columbia 20037 Email:  
[dickercl@state.gov](mailto:dickercl@state.gov) Phone: (202) 632-9277

**Website Address:**

<http://exchanges.state.gov/englishteaching/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov and Federal Register announcements.

**19.432 ACADEMIC EXCHANGE PROGRAMS - EDUCATIONAL ADVISING AND STUDENT SERVICES**

Includes EducationUSA advising center support, regional and country advising coordination, advising professional development, and a survey on international and U.S. student mobility

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of overseas educational advising and student services, and international student mobility research is to support mutual understanding by promoting U.S. higher education and encouraging the development of study abroad programs through a global network of EducationUSA advising centers.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is provided for nonprofit organizations to support research on international exchange programs, coordination of overseas EducationUSA advising programs, and training for educational advisers to ensure that international students receive unbiased, ethical, and up-to-date information on U.S. higher education. Please refer to the grants.gov or Federal Register announcement for further information.

**Applicant Eligibility:**

To be eligible for consideration, organizations must: 1) Be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; 3) a proven record of successful work in international educational and cultural exchange, including responsible fiscal management.

**Beneficiary Eligibility:**

To be eligible for consideration, organizations must: 1) Be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; and 3) a proven record of successful work in international educational and cultural exchange, including responsible fiscal management.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website and in the Federal Register for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the grants.gov and Federal Register

announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov and Federal Register announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov and Federal Register announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov and Federal Register announcements. As stated in the Grants.gov and Federal Register announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 10 \$8,507,659; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$100,000 to \$4,500,000. Average: \$1,600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In 2008, over 400 EducationUSA advising centers around the

world responded to approximately 40 million queries from international students seeking information on studying in the United States. Each year, over 150 EducationUSA advisers from these centers participated in professional development activities on topics including the admissions process at U.S. higher education institutions, standardized testing, pre-departure orientation and understanding the student visa process. The ECA-supported Open Doors survey provides the only comprehensive resource on international student mobility and is published annually. The publication includes statistics on international students and scholars in the U.S. and on U.S. students studying abroad, as well as scholarly analyses of the data and their implication for policy makers. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov and Federal Register announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caryn Danz Department of State  
Bureau of Educational and Cultural Affairs  
Educational Information and Resources  
2200 C Street, NW  
SA-05, Rm. 4CC16, Washington, District of Columbia 20037 Email:  
[DanzCB@state.gov](mailto:DanzCB@state.gov) Phone: (202) 632-6353

**Website Address:**

<http://www.educationusa.state.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov and Federal Register announcements.

**19.440 IIP INDIVIDUAL GRANTS**

U.S. Speaker and Specialist Grants, Bureau of International Information Programs (IIP)

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The US Information and Educational Exchange Act of 1948, also called the Smith-Mundt Act, Public Law 80-402.

**OBJECTIVES:**

As authorized by the Smith-Mundt Act, the Bureau of International Information Programs U.S. Speaker and Specialist Program awards short-term grants to U.S. experts to present lectures, serve as consultants, or conduct workshops and seminars for professional audiences. Grantees represent most disciplines, except English language teaching, and interact with a variety of overseas professional audiences. Grantees do not teach undergraduate classes or conduct research. The program applies the intellectual and creative competence of those U.S. citizens to public diplomacy issues identified by U.S. missions abroad through the mission performance plan process. Grantees travel to one or more foreign countries, or participate in an electronic audio or video conference.

**TYPES OF ASSISTANCE:**

Project Grants (including individual awards)

**USES AND USE RESTRICTIONS:**

Grants are only available to U.S. citizens. Grants are used to provide funding

for round trip international airfare, honorarium, per diem and other minor allowances.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Credentials of U.S. experts must be presented and reviewed by staff to determine suitability for programs. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Final grant awards are determined by IIP staff in concert with participating U.S. embassies.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No time restriction. Aside from honorarium payment, all other grant funds are to be spent on actual trip. Method of awarding/releasing assistance: lump sum.

**Reports:**

U.S. embassies are required to submit program reports in the Mission Activity Tracker. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. U.S. Embassies are required to submit evaluation reports for all U.S. Speaker and Specialist programs.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0113-0-1-154.

**Obligations:**

(Project Grants (including individual awards)) FY 10 \$4,433,000; FY 11 est \$4,522,182; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In 2010, 830 U.S. Speaker and Specialist grants were awarded. Fiscal Year 2011: Approximately 800 U.S. Speaker and Specialist Grants will be awarded in FY-2011. Fiscal Year 2012: Projection not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Speaker and Specialist Program guidelines and policies are outlined in the U.S. Department of State Foreign Affairs Manual, Section 10 FAM 350.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rekio R. Benton 2200 C St, NW  
SA-5, 4Y12  
Washington, DC 20037, Washington, District of Columbia 20037 Email:  
BentonRR@state.gov Phone: 202 632-3353 Fax: 202 62-6489

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants to individual U.S. experts in a variety of professional fields. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grant awards are made based on the professional qualifications of the individual U.S. experts.

**19.450 ECA INDIVIDUAL GRANTS**

Individual Grants, U.S. academics and professionals, Bureau of Educational and Cultural Affairs (ECA)

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

Fulbright-Hays Act, Public Law 87-256, 22 U.S.C 2451.

**OBJECTIVES:**

To provide individual assistance awards by the Bureau of Educational and Cultural Affairs (ECA) to experts and other influential or distinguished persons in the United States, including U.S. academics and professionals in the fields of teaching English, athletes and coaches and creative and performing artists, with funds appropriated to and authorized by the Bureau of Educational and Cultural Affairs. These individual grants support interchanges between the United States and other countries that address issues of mutual interest consistent with the Fulbright-Hays Act.

As authorized by the Fulbright-Hays Act, ECA seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange; to strengthen the ties which unite us with other nations by demonstrating the educational and cultural interests, developments, and achievements of the people of the United States and other nations, and the contributions being made toward a peaceful and more fruitful life for people throughout the world; to promote international cooperation for educational and cultural advancement; and thus to assist in the development of friendly, sympathetic, and peaceful relations between the United States the other countries of the world..

**TYPES OF ASSISTANCE:**

Project Grants (including individual awards)

**USES AND USE RESTRICTIONS:**

Individual awards made by the Bureau of Educational and Cultural Affairs may support any activities authorized by the Fulbright-Hays Act for which funding

has been appropriated by Congress through the annual Educational and Cultural Exchange Programs appropriation administered by the Department of State, Bureau of Educational and Cultural Affairs. The activities are designed to promote U.S. interests in designated countries around the world by developing mutual understanding of key issues and promoting long-lasting ties between the United States and other countries. Awards are made to individuals and supported by funds appropriated to and approved by the Bureau of Educational and Cultural Affairs.

**Applicant Eligibility:**

Individuals in fields of specialized knowledge or skill, and other influential or distinguished persons.

**Beneficiary Eligibility:**

Beneficiaries include selected participants and the people of participating countries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Program announcements and application procedures may vary widely depending on the program.

**Award Procedure:**

Specific processes vary from program to program activities. However, the Bureau of Educational and Cultural Affairs uses the Departments Form DS-1909 (Federal Assistance Award) to award individual grants to successful applicants. All awards are signed by a warranted Grants Officer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

n/a.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program has no statutory formula or matching requirement, except when specified by Congress. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

n/a. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reports are to be submitted in accordance with the terms and conditions of the award  
See individual award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Copies of obligating documents are maintained in the Budget Office of the Bureau of Educational and Cultural Affairs for up to seven years.

**Account Identification:**

19-0209-0-1-154.

**Obligations:**

(Project Grants (including individual awards)) FY 10 \$2,000,000; FY 11 est

\$2,000,000; and FY 12 est \$2,000,000

**Range and Average of Financial Assistance:**

n/a.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, approved the use of its funds for over 400 individual awards total approximately \$2 million. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for programs will vary with individual activities.

**Regional or Local Office:**

None.

**Headquarters Office:**

Yolanda Robinson, Bureau of Educational and Cultural Affairs, Department of State, SA-5, Washington, District of Columbia 20522-0504 Email: RobinsonYJ@state.gov Phone: (202) 632-3358.

**Website Address:**

hppt://exchanges.state.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.500 MIDDLE EAST PARTNERSHIP INITIATIVE (MEPI)**

**FEDERAL AGENCY:**

Bureau of Near Eastern Affairs, U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act of 1961, Public Law 87-195, 75 Stat. , 22 U.S.C 2151.

**OBJECTIVES:**

To support democracy in the Middle East and North Africa by encouraging political, economic & educational reform and the empowerment of women.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and Cooperative agreements to support political, economic, and educational reform efforts and the empowerment of women in the Middle East and North Africa.. MEPI encourages applications from partnerships or consortia led by local organizations based in the Middle East and North Africa. Awards are designed to benefit principally the non-governmental organizations and citizens of countries in the Middle East and North Africa. Preference will be given to countries in the region with less developed civil societies, and with limited experience in developing and implementing issue based campaigns on economic, democratic, or educational reforms, and advocacy for women's rights, aimed at increasing the number of active stakeholders and building effective local coalitions. MEPI has particular interest in supporting programs that are innovative and that meet needs and opportunities not already addressed by current donor funding, particularly through USAID bilateral agreements. Generally MEPI does not fund bricks and mortar type projects or stand-alone scholarships. Development projects in Egypt, Jordan, or Iraq are generally funded by USAID bilateral ESF funds.

**Applicant Eligibility:**

Non-profit, for-profit organizations or state and local governments interested in partnering with the Middle East Partnership Initiative to promote change in the Middle East. Applicants must have an established track record in conducting training programs and promoting reform through development projects.

**Beneficiary Eligibility:**

Country covered by the State Department's Bureau of Near Eastern Affairs, not currently subject to foreign assistance restrictions. Could include: Algeria, Bahrain, Egypt, Iran, Iraq, Israel, Jordan, Kuwait, Lebanon, Libya, Morocco, Oman, Qatar, Saudi Arabia, Syria, Tunisia, UAE, West/Bank Gaza, Yemen.

**Credentials/Documentation:**

CVs of main program staff. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Respond to a general MEPI Standing Program Announcement or specific Request for Application (RFA) posted on [www.grants.gov](http://www.grants.gov) and [www.mepi.state.gov](http://www.mepi.state.gov). SF 424 and full proposal required. Public Diplomacy and Alumni Outreach Plan must be incorporated in proposal.

**Award Procedure:**

A technical review panel reviews proposals and scores them in accordance with published review criteria and determines priority program recommendations for final negotiation on the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. 25 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days. Based on program needs and availability of funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies. See the following for information on how assistance is awarded/released: All assistance is with the Division of Payment Management.

**Reports:**

No program reports are required. Quarterly Financial Review Reports. Quarterly Progress Review Reports. Quarterly Financial Review Reports. Quarterly Progress Review Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. As mandated in OMB circular A-133.

**Records:**

Above reports will be retained for three years from the date of submission of the final financial report.

**Account Identification:**

19-1014-0-1-150.

**Obligations:**

(Cooperative Agreements) FY 10 \$65,000,000; FY 11 est \$60,000,000; and FY 12 est \$75,000,000 - N/A.

**Range and Average of Financial Assistance:**

From \$10,000 to \$23,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 65000000. Fiscal Year 2011: The Middle East Partnership Initiative (MEPI) through Economic Support Funds seeks to fund over projects aimed at promoting political, economic, and education reform and women's empowerment in the Middle East and North Africa. Fiscal Year 2012: est. 75000000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for grants and cooperative agreements are distributed in conjunction with the request for applications or program announcements. Extensive background and program information is available on [www.mepi.state.gov](http://www.mepi.state.gov).

**Regional or Local Office:**

See Regional Agency Offices. MEPI has Regional Offices in Tunis, Tunisia, Abu Dhabi, and UAE.

**Headquarters Office:**

Eddie H Whitehurst, 2430 E Street NW, Washington, District of Columbia 20037 Email: [WhitehurstEH@state.gov](mailto:WhitehurstEH@state.gov) Phone: (202) 776-8627 Fax: (202) 776-8500.

**Website Address:**

[www.mepi.state.gov](http://www.mepi.state.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

MEPI is looking for new and innovative proposals to promote political, economic, and education reform and empower women in the Middle East and North Africa. Proposals that include cost-sharing, partnership with local NGOs or governments, a public outreach plan, and an alumni component will be viewed favorably. In addition, proposals should be responsiveness to the substantive provisions set forth in each Program Announcement or Request for Application posted [www.grants.gov](http://www.grants.gov) and [www.mepi.state.gov](http://www.mepi.state.gov).

**19.515 CONTRIBUTIONS TO INTERNATIONAL ORGANIZATIONS FOR OVERSEAS ASSISTANCE****FEDERAL AGENCY:**

Bureau of Population, Refugees, and Migration, U.S. Department of State

**AUTHORIZATION:**

Migration and Refugee Assistance Act of 1962, as amended, Public Law 87-510, 22 U.S.C 2601.

**OBJECTIVES:**

Provision of voluntary and assessed contributions to Public International Organizations to carry out humanitarian assistance activities overseas benefiting refugees, victims of conflict, and other persons of concern.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants

**USES AND USE RESTRICTIONS:**

Voluntary and assessed contributions provide funds to key international organizations to address pressing humanitarian needs overseas and to resettle refugees in the United States. These funds support programs that sustain life; provide protection and assistance to the most vulnerable, particularly women and children and the elderly; assist refugees with voluntary repatriation, local integration, or permanent resettlement in a third country; and foster the humane and effective management of international migration policies. These contributions meet the international organization's objectives as approved by the Bureau. Funding documents approved by the Bureau authorize funds based on the organization's budget submission, funding request or appeal document.

**Applicant Eligibility:**

Voluntary and assessed contributions to Public International Organizations to provide assistance to refugees and victims of conflict overseas.

**Beneficiary Eligibility:**

Refugees, victims of conflict, and other persons of concern requiring protection and assistance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

As authorized, the Bureau provides funds multilaterally as voluntary and assessed contributions to international organizations (IOs). To ensure that the international system is effectively and efficiently addressing the humanitarian needs of refugees, internally displaced persons (IDPs), victims of conflict, stateless persons, and vulnerable migrants, the Bureau ensures that the U.S. Government (USG) works closely with other donor governments to achieve a common understanding of humanitarian requirements and what constitutes satisfactory performance in responding to them by the international humanitarian system. Through its active participation in international organizations' governing boards, the USG promotes efforts to strengthen the UN system and increase the effectiveness of multilateral humanitarian action. The Bureau makes USG contributions to major IO partners including the Office of the United Nations High Commissioner for Refugees, the International Committee of the Red Cross, the International Organization for Migration, the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA), and other international organizations. To demonstrate continued U.S. leadership and commitment to these institutions, the U.S. contributions aim to constitute a fair share of the IOs funding requests and appeals with the expectation that other donors -- in the spirit of responsibility sharing -- will support the remaining funding request. Each contribution funding decision is based on Bureau budget and policy prioritization considerations. Each contribution action contains award conditions that are signed and countersigned by authorized representatives of the Bureau and the recipient organization.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each voluntary and assessed contribution contains award conditions that are accepted by the recipient organization. Most contribution award agreements stipulate that funds may be used to continue authorized designated activities beyond the initial time period of the appeal, if needed. See the following for information on how assistance is awarded/released: Recipients should request funds based on immediate disbursement requirements and disburse funds as soon as possible to minimize the Federal cash on hand in accordance with the established policies. Payment requests should be submitted only in amounts that are required to meet the immediate cash needs of the contribution.

**Reports:**

Copies of all program and financial reports concerning the activities specified by the contribution are required to be provided to the Bureau within thirty days of issuance. Cash reports are not applicable. Progress reports are not applicable. Contribution awards require that financial records regarding the contribution be maintained in accordance with the Recipients established accounting policies and procedures. Monitoring programs funded through contributions to international organizations remains a Bureau priority to ensure that funds meet core objectives of providing protection and assistance to populations of concern. The Bureau pursues its monitoring of its primary IO partners, as applicable, by negotiating frameworks for cooperation between the USG and the IO incorporating rigorous, mutually-agreed strategic goals, indicators, and

performance targets for the year. With these organizations, the Bureau plays an important role in shaping and supporting strategic planning and performance management. The Bureau monitors its programs closely using a range of performance measures to gauge humanitarian impact, assess progress toward strategic priorities, and ensure accountability to beneficiaries and American taxpayers. IO programs are monitored by routine visits of agency staff to program sites and to IO headquarters and regional/country offices.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual and/or bi-annual audits are required depending on the PIO. External audits may also be required. The contribution agreement states that in addition to the published financial and program reports, the Recipient agrees to provide copies of its external audit report prepared for donors to the Bureau.

**Records:**

Program and financial reports are maintained for 10 years.

**Account Identification:**

19-1143-0-1-151.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$1,288,739,639; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Arlene A. Dyson 2025 E. Street, N.W., 8th Floor, SA-9, Washington, District of Columbia 20522-0908 Email: dysonaa@state.gov Phone: 2024539232

**Website Address:**

<http://www.state.gov/g/prm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.600 BUREAU OF NEAR EASTERN AFFAIRS (NEA)**

Bureau of Near Eastern Affairs (NEA)

**FEDERAL AGENCY:**

Bureau of Near Eastern Affairs, U.S. Department of State

**AUTHORIZATION:**

Section 634 of the Foreign Assistance Act of 1961, as amended, Executive Order Department of State, Foreign Operations and Related Programs Appropriations Act, 2010, Public Law 110-161, U.S.C 7015.

**OBJECTIVES:**

Support the foreign assistance goals and objectives of the Department of State, Bureau of Near Eastern Affairs (NEA), as delineated in the FY Bureau Strategic and Resource Plan. This program is for all grant awards for the entire fiscal year funded through State/NEA.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Cooperative Agreements (Discretionary Grants); Project Grants; Project Grants (for specified projects)

**USES AND USE RESTRICTIONS:**

All funds for grants will comply with the restrictions on Economic Support Funds (ESF), as specified in the Foreign Assistance Act of 1961, as amended. All funds for grants will comply with restrictions on Economic Support Funds



(ESF), as specified in the Foreign Assistance Act of 1961, as amended. See [www.grants.gov](http://www.grants.gov) for specific announcement. This depends on the individual award.

**Applicant Eligibility:**

The U.S. Department of State, NEA Bureau does not issue domestic grants. Any and all grants will go to entities that operate overseas in support of our international foreign assistance goals and objectives. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Beneficiary Eligibility:**

U.S. Department of State, NEA Bureau does not issue domestic grants. Any and all grants will go to entities that operate overseas in support of our international foreign assistance goals and objectives. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Credentials/Documentation:**

Any award made using State/NEA funds requires the full compliment of standard forms and budget documents, as dictated by the U.S. Department of State, Bureau of Administration, and the relevant OMB circulars. See [www.grants.gov](http://www.grants.gov) for specific announcement. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-award coordination is required for all grantees applying for foreign assistance grants through the U.S. Department of State, Bureau of Near Eastern Affairs grant awards. This coordination will take place between program officers in the field and the recipient agencies, or between program officers in Washington, DC and the recipient organizations. See [www.grants.gov](http://www.grants.gov) for specific announcement. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Award Procedure:**

Defined by the U.S. Department of State, Administration Bureau in accordance with relevant OMB Circulars. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals must be coordinated with the State/NEA program officer, the Representative of State/Administration Bureau grants officer, and the recipient.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most grant awards are for a full year time frame, sometimes two years. See [www.grants.gov](http://www.grants.gov) for specific announcement. See the following for information on how assistance is awarded/released: It depends on the amount and the details of the project. Sometimes it is one lump sum, in the cases of under \$25,000 awards. For anything larger the HHS PMS system is used for quarterly installments, as required. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Reports:**

Depending on the size of the awards and length of the project period, as dictated in the official U.S. Department of State Notice Award, project/program reports may be required either quarterly, semi-annually, or annually. Depending on the size of the awards and length of the project period, as dictated in the official U.S. Department of State Notice Award, project/program reports may be required either quarterly, semi-annually, or annually. See [www.grants.gov](http://www.grants.gov)

for specific announcement. Required quarterly for all awards. At the discretion of the listed Grants Officer.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A-133 if applicable

**Records:**

All project/program and financial records must be retained by awards recipients for three years.

**Account Identification:**

19-7290-1-0-370 - 1972 9/0 1037001G 4401.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$1,725,900,000; FY 11 est \$1,675,925,000; and FY 12 est \$1,593,160,000

**Range and Average of Financial Assistance:**

Depends on specific grant award. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Alice M Shukla 2201 C Street NW  
HST Room 5256, Washington, District of Columbia 20580 Email:  
ShuklaAM@state.gov Phone: 2026474761

**Website Address:**

<http://www.state.gov/p/nea>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Project specific, depends on the program. All awards are screened for terror finance and/or support per the relevant U.S. Department of State and federal guidelines and regulations. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**19.666 EUR/ACE NATIONAL ENDOWMENT FOR DEMOCRACY SMALL GRANTS**

National Endowment for Democracy (NED) Small Grants Program in Europe, Eurasia and Central Asia

**FEDERAL AGENCY:**

U.S. Department of State

**AUTHORIZATION:**

Department of State, Foreign Operations, and Related Programs Appropriations Act of 2010, Public Law 111-117; Foreign Assistance Act of 1961, Section 634A, Public Law 87-194, 75 Stat. 424, 22 U.S.C 2151.

**OBJECTIVES:**

To advance democracy in Europe, Eurasia and Central Asia by providing support to indigenous civil society organizations.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Assistance can be used to issue sub-grants to indigenous civil society organizations in Europe, Eurasia and Central Asia.

**Applicant Eligibility:**

This program is awarded on a non-competitive basis.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

The Coordinator of U.S. Assistance to Europe and Eurasia will solicit proposals from NED. The Grants Officer in A/LM/AQM and Grants Officer Representative in EUR/ACE will review the proposals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding must be obligated within two years of appropriation and expended within five years of obligation. See the following for information on how assistance is awarded/released: Release of funds is requested on an as-needed basis.

**Reports:**

Grantee is required to submit annual program reports. Grantee is required to submit quarterly financial reports. Grantee is required to submit quarterly financial reports. Grantee is required to submit quarterly financial reports. Grantee is required to submit annual program reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by FAR and OMB circular A-133, 22 CFR-145, and 2 CFR 230 (A-122) regulations.

**Account Identification:**

19-7201-1-0-306.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$6,956,730; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: See: NED Annual Report available on their website. Fiscal

Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Noah B. Krystel, 2201 C Street, NW, Washington, District of Columbia 20520  
Email: krystelnb@state.gov Phone: (202) 647-7703.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: See: NED website. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.800 WEAPONS REMOVAL AND ABATEMENT**

Office of Weapons Removal and Abatement (WRA)

**FEDERAL AGENCY:**

Political Military Affairs/ Weapons Removal and Abatement, U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act (FAA) of 1961, Department of State, Foreign Operations, and Related Programs Appropriations Act, 2010 (Div. F. Public Law 111-117) , Public Law 87-195.

**OBJECTIVES:**

To curb the illicit trafficking and indiscriminate use of conventional weapons of war that contribute to internal instability; pursue such weapons and help the clean-up efforts that occur in post-conflict settings; and engage civil society to expand support for U.S. humanitarian assistance in post conflict societies.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Landmine clearance, weapons destruction, small arms and light weapons disposal, landmine and unexploded ordnance disposal surveys, mine risk education and victims assistance. Please see grants.gov. Varies.

**Applicant Eligibility:**

All projects must have a clear focus and in some way be related to one of the following: landmine clearance, weapons destruction, small arms and light weapons disposal, landmine and unexploded ordnance disposal surveys, mine risk education, and victims assistance.

**Beneficiary Eligibility:**

See grants.gov.

**Credentials/Documentation:**

See Grants.gov; any recipient involved in demining and small arms disposal has to have documented disposal experience and credentials. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Please see grants.gov. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. See Grants.gov

**Award Procedure:**

See grants.gov.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Dependent upon yearly country objectives, funds, program results, grantee capability with final determination by the Department of State Grants Officer and Program Manager.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Dependent upon grant. See grants.gov for specific requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are generally for one year. See the following for information on how assistance is awarded/released: Depends upon grantee status, type of project, and amount of funds.

**Reports:**

Quarterly narrative and financial reports are required as well as a final project report with clear and measureable deliverables. Cash reports are not applicable. Quarterly narrative and financial reports are required as well as a final project report with clear and measureable deliverables. Quarterly financial reports are required as well as a final project report with clear and measureable deliverables. Measurable deliverables must be established for all programs.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All international grantees that are not bound by OMB Circular No. A-133 must agree in their terms and conditions to similar audit requirements. Grants will not be awarded to organizations that refuse to comply with audit requirements.

**Records:**

All records must be kept for a minimum of 3 years from the close of the grant period. If an investigation is started before this period ends, all records must be kept for 3 years after the close of the investigation.

**Account Identification:**

19-1111-0-7-511.

**Obligations:**

(Project Grants (for specified projects)) FY 10 \$128,400,000; FY 11 est \$110,000,000; and FY 12 est \$105,000,000

**Range and Average of Financial Assistance:**

Grants range from \$50,000 to \$3,500,000. The average grant amount is roughly \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The funds assisted countries in removing the harmful global effects of conventional weapons, both in their existence as explosive remnants of war (ERW) and in stockpiles at-risk for proliferation to terrorists and criminals. Key achievements of CWD global resources used in FY 2010 included significant program support of the programs in Iraq and Afghanistan: Despite a government of Iraq ban on demining that was in place at the beginning of FY10, State Department-funded NGOs managed to clear more than 18 million square meters of landmines and unexploded ordinance. This will save countless Iraqis from death or injury and will boost economic and agricultural productivity. Iraq remains heavily contaminated by ERW, but with WRA funded assistance, NGOs provided mine risk education to nearly 35,000 Iraqis, another step to saving lives and limbs ahead of actual land clearance. WRA also trained more than 350 Iraqi officials or teachers in governments

from the national to the local level on how to implement ERW programs. Lastly, WRA funded the UNDPs Iraqi mine action team which works closely with the national government in Baghdad to help develop and implement effective and transparent procedures for the registration and licensing of demining entities and the supervision and documentation of all mine action activities in Iraq. Fiscal Year 2011: Estimated grants amount: \$110 million. Fiscal Year 2012: Estimated grants amount: \$105 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas S Kodiak, DOS Annex 3, Suite 6100, 2121 Virginia Ave. NW, Washington, District of Columbia 20034 Email: kodiakt@state.gov Phone: (202) 663-0091.

**Website Address:**

<http://www.state.gov/t/pm/wra/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Laos:

Due to the heavy human population residing on contaminated land in Laos the Office of Weapons Removal and Abatement in the U.S. Department of States Bureau of Political-Military Affairs funds a variety of projects which include clearance, mine-risk education, and victims assistance. These projects include such activities as training and managing teams to conduct UXO clearances, technical surveys of the land, and extensive risk education with medical, economic, and technical assistance to survivors. In addition, survivors of explosive remnants of war (ERW) received housing assistance as well as health, agricultural, and vocational information from trained officials. The Laos projects received over \$2.4 million dollars in funds to complete these objectives. Fiscal Year 2011: There will be a heavy focus on projects within Afghanistan and Iraq. Fiscal Year 2012: There will be a heavy focus on projects within Afghanistan and Iraq.

**CRITERIA FOR SELECTING PROPOSALS:**

See Grants.gov.

**19.801 OFFICE OF GLOBAL WOMEN'S ISSUES**

Global Women's Empowerment Programs

**FEDERAL AGENCY:**

U.S. Department of State

**AUTHORIZATION:**

Department of State, Foreign Assistance Act of 1961 as Amended.

**OBJECTIVES:**

The Secretary's Office of Global Women's Issues (S/GWI) works to promote sustained peace and development by empowering women around the world. The work of the office is organized upon four pillars: 1) Promoting the full engagement of women in the political and economic spheres; 2) Addressing and responding to gender based violence, food security, and global problems such as climate change; 3) Addressing underlying socio-economic problems, including women's access to health and education; 4) and ensuring that emergency relief to countries affected by conflict and natural disasters reaches women and children.

**TYPES OF ASSISTANCE:**

Project Grants (Capacity Building and Complaint Processing, Training); Project Grants (Contracts); Project Grants (Special)

**USES AND USE RESTRICTIONS:**

See individual announcements in grants.gov for further information. See individual announcements in grants.gov for further information.

**Applicant Eligibility:**

See individual announcements in grants.gov for further information.

**Beneficiary Eligibility:**

See individual announcements in grants.gov for further information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

See individual announcements in grants.gov for further information. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. See individual announcements in grants.gov for further information

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Office procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Grants Officer. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and submitted to the recipients officer in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the grants.gov and Federal Register announcements.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

See individual announcements in grants.gov for further information. See the following for information on how assistance is awarded/released: draw-down by request of SF-270.

**Reports:**

Quarterly or as specified via grant agreement. Quarterly or as specified via grant agreement. Quarterly or as specified via grant agreement. Quarterly or as specified via grant agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A-133 as applicable

**Records:**

Financial records are required to be kept for three years.

**Account Identification:**

19-1201-1-3-000.

**Obligations:**

(Cooperative Agreements) FY 10 \$7,500,000; FY 11 est \$2,500,000; and FY 12 est \$3,000,000

**Range and Average of Financial Assistance:**

See individual announcements in grants.gov for further information.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See individual announcements in grants.gov for further information

**Regional or Local Office:**

None.

**Headquarters Office:**

Natika Washington 2201 C St NW  
Room 1802A, Washington, District of Columbia 20520 Email:  
washingtonns@state.gov Phone: 2026471757

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See individual announcements in grants.gov for further information.

**19.878 EUR-OTHER**

EUR-Other

**FEDERAL AGENCY:**

U.S. Department of State

**AUTHORIZATION:**

Department of State, Foreign Operations, and Related Programs Appropriations Act of 2010 , Executive Order Foreign Assistance Act of 1961 , Title 111, Part 117, Section 634A , Public Law 87-194 , 75 Stat. 424 , 22 U.S.C 2151.

**OBJECTIVES:**

The primary goal is to promote democratic and free market transitions in the former communist countries of Central and Eastern Europe and Eurasia, enabling them to overcome their past and become reliable, productive members of the Euro-Atlantic community of Western democracies.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Project grants vary. Awards provide support for promoting democratic and free market transitions. Programs promote long-term stability in the region.

**Applicant Eligibility:**

This program is awarded on a non-competitive basis.

**Beneficiary Eligibility:**

Not Applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

The Coordinator of U.S. Assistance to Europe and Eurasia will solicit proposals. The Grants Officer in A/LM/AQM and Grants Officer Representative in EUR/ACE will review the proposals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding must be obligated within two years of appropriation and expended within five years of obligation. See the following for information on how assistance is awarded/released: Release of funds is requested on an as-needed basis.

**Reports:**

Varies. Varies. Varies. Varies. Varies.

**Audits:**

Not Applicable.

**Records:**

As required by FAR and OMB circular A-133, 22 CFR-145, and 2 CFR 230 (A-122) regulations.

**Account Identification:**

19-7201-0-3-060 - 19720/103060.000.

**Obligations:**

(Project Grants) FY 10 \$3,000,000; FY 11 est \$5,000,000; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Alexander Gupman, 2201 C St. NW, Washington, District of Columbia 20052  
Email: gupmanam@state.gov Phone: (202) 647-8002.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.901 EXPORT CONTROL AND RELATED BORDER SECURITY**

Export Control and Related Border Security (EXBS) Program

**FEDERAL AGENCY:**

Bureau of International Security and Nonproliferation, U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act of 1961, as amended, Public Law 87-195, 22 U.S.C 2349bb-1.

**OBJECTIVES:**

The U.S. Department of State's Office of Export Control Cooperation (ISN/ECC), part of the Bureau of International Security and Nonproliferation, oversees the U.S. Governments Export Control and Related Border Security (EXBS) Program. It assists existing and potential proliferation source, transit, and transshipment countries with strengthening their strategic trade controls and border security. Through this assistance, EXBS bolsters partner countries capabilities to detect and interdict illicit transfers of strategic items, radioactive

materials, and other WMD components; as well as man-portable air defense systems and other conventional weapons. EXBS also works to prevent irresponsible transfers of sensitive items by helping partner countries to recognize and reject proposed transactions that would contribute to proliferation. EXBS focuses on capacity-building through legislation development outreach, licensing and regulatory workshops, enforcement training, provision of inspection and detection equipment, and assistance with government-industry outreach and interagency coordination. EXBS has over 50 active partner countries on five continents.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants; Project Grants (including travel grants)

**USES AND USE RESTRICTIONS:**

ISN/ECC periodically awards assistance instruments to facilitate implementation of specific EXBS projects in various partner countries. Examples of typical EXBS projects include formal training workshops for foreign government officials, working closely with foreign government officials to assist with drafting strategic trade control legislation and implementing regulations, and assessing the status of EXBS partner countries' strategic trade control systems. ISN/ECC will release requests for application (RFAs) as specific EXBS grant/cooperative agreement opportunities are identified.

**Applicant Eligibility:**

N/A

Please see specific announcement in [www.grants.gov](http://www.grants.gov).

**Beneficiary Eligibility:**

N/A

Please see specific announcement in [www.grants.gov](http://www.grants.gov).

**Credentials/Documentation:**

As specified in specific requests for application (RFAs), applicants may be required to submit copies of their most recent negotiated indirect cost rate agreement (NICRA) to support proposed indirect costs. Additionally, applicants may be required to submit resumes, curricula vitae, or other supporting documentation showing that proposed key personnel are qualified to perform their intended roles. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Detailed application instructions will be specified in individual requests for application (RFAs). Please see specific announcement in [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

ISN/ECC will evaluate applications for EXBS assistance agreements consistent with the terms specified in individual requests for application (RFAs). Please see specific announcement in [www.grants.gov](http://www.grants.gov).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Please see specific announcement in [www.grants.gov](http://www.grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

ISN/ECC typically limits performance of individual EXBS assistance agreements to twelve months, though performance may be permitted beyond

twelve months on a case-by-case basis depending on the complexity of the given project. Method of awarding/releasing assistance: lump sum.

**Reports:**

ISN/ECC requires program reports at least quarterly, though more frequent and specialized reporting may be required. Specific reporting requirements are detailed in individual requests for application (RFAs). Please see specific announcement in [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. Please see specific announcement in [www.grants.gov](http://www.grants.gov). ISN/ECC requires expenditure reports at least quarterly, though more frequent and specialized reporting may be required. Specific reporting requirements are detailed in individual requests for application (RFAs).

Please see specific announcement in [www.grants.gov](http://www.grants.gov). Please see specific announcement in [www.grants.gov](http://www.grants.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Please see specific announcement in [www.grants.gov](http://www.grants.gov).

**Records:**

Financial records required to be maintained for three years.

**Account Identification:**

19-1112-1-0-075.

**Obligations:**

(Project Grants) FY 10 \$2,000,000; FY 11 est \$2,000,000; and FY 12 est \$2,000,000 - Historically, ISN/ECC has awarded approximately \$2 million in EXBS assistance awards per fiscal year.

**Range and Average of Financial Assistance:**

Historically, ISN/ECC has awarded approximately \$2 million in EXBS assistance awards per fiscal year.

Typical award approx \$85,000

See specific announcement at [www.grants.gov](http://www.grants.gov).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gerald L. Guilbert, Jr. U.S. Department of State  
Office of Export Control Cooperation (ISN/ECC)  
2201 C Street, NW, Room 3317, Washington, District of Columbia 20520  
Email: [guilbertgl@state.gov](mailto:guilbertgl@state.gov) Phone: 2026471778 Fax: 2026471810

**Website Address:**

<http://www.state.gov/t/isn/ecc/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Program has been used to assist foreign governments with drafting strategic trade control legislation and implementing regulations, and to provide strategic trade controls-related training to foreign government officials.

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for proposal selection is specified in individual requests for application (RFAs).

See specific announcement at [www.grants.gov](http://www.grants.gov).

**20.106 AIRPORT IMPROVEMENT PROGRAM**

(AIP)

**FEDERAL AGENCY:**

Federal Aviation Administration (FAA), Department of Transportation

**AUTHORIZATION:**

Airport Improvement Act, Public Law 103-272, U.S.C.

**OBJECTIVES:**

To assist sponsors, owners, or operators of public-use airports in the development of a nationwide system of airports adequate to meet the needs of civil aeronautics. The purpose of the law includes the investment in transportation, environmental protection, and airport infrastructure that will provide long-term economic benefits.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants can be made for integrated airport system planning in a specific area; and airport master planning, construction, or rehabilitation at a public-use airport or portion thereof. Authorizing legislation refers to an airport as any area of land or water used or intended to be used for the landing or taking off of aircraft and includes, within the five categories of airports listed below, special types of facilities such as seaplane bases and heliports. The statute further defines airports by categories which include commercial service, primary, cargo service, reliever, and general aviation airports. They are defined as follows: Commercial Service Airports are publicly owned airports that have at least 2,500 passenger boardings each year and receive scheduled passenger service. Passenger boarding refer to revenue passenger boarding on an aircraft in service in air commerce. The definition also includes passengers who continue on an aircraft in international flight that stops at an airport in any of the 50 states for a non traffic purpose. Passenger boardings at airports that receive scheduled passenger service are also referred to as Enplanements. Nonprimary Commercial Service Airports are Commercial Service Airports that have at least 2,500 and no more than 10,000 passenger boardings each year. Primary Airports are Commercial Service Airports that have more than 10,000 passenger boardings each year. These airports are further categorized as Hub Airports, based on the level of passenger boardings. Hub categories for Primary Airports are defined as a percentage of total passenger boardings in the most current calendar year ending before the start of the current fiscal year. The definition and formulae used for designating Primary Airports by Hub Type and percentage of annual passenger boardings are: Large 1 percent or more; Medium - at least 0.25 percent, but less than 1 percent; Small - at least 0.05 percent, but less than 0.25 percent; and Non hub - more than 10,000, but less than 0.05 percent. Cargo Service Airports are airports that, in addition to any other air transportation services that may be available, are served by aircraft providing air transportation of only cargo with a total annual landed weight of more than 100 million pounds. Reliever airports are airports designated by the FAA to relieve congestion at a Commercial Service Airports and to provide more general aviation access to the overall community. The remaining airports, while not specifically defined in Title 49 U.S.C., are referred to as general aviation (GA) Airports and comprise the largest single group of airports in the U.S. airport system. Eligible work at airports consists of: (1) airport master plans; (2) airport noise compatibility plans; (3) land acquisition; (4) site preparation; (5) construction, alteration, and rehabilitation of runways, taxiways, aprons, and certain roads within airport boundaries; (6) construction and installation of airfield lighting, navigational aids, and certain offsite work; (7) safety equipment required for certification of airport facility; (8) security equipment required of the sponsor by the Secretary of Transportation by rule or regulation for the safety and security of persons and property on the airport; (9) snow-removal equipment; (10) terminal development; (11) aviation-related weather reporting equipment; (12) equipment to measure runway surface friction; (13) burn area training structures and land for that purpose, on or off airport; (14) agency-approved noise compatibility projects; (15) relocation of air traffic control towers and navigational aids (including radar) if they impede other projects funded under AIP; (16) land, paving, drainage, aircraft deicing equipment and structures for centralized deicing areas; and (17) projects to comply with the Americans with Disabilities Act of 1990, Clean Air Act, and Federal Water Pollution Control. Under limited criteria construction of hangars

and automobile parking are eligible. Grants for hangars and parking facilities are available on a limited basis. Grants may not be, made for buildings not related to the safety of persons on the airport, decorative landscaping or artwork, or routine maintenance and repair. Technical advisory services are also provided. Formula funds are available to primary commercial service airports and to cargo service airports. Discretionary funds may be used at any eligible facility and allocation is based on established criteria. The percentage of fund varies each fiscal year.

**Applicant Eligibility:**

States, counties, municipalities, U.S. Territories and possessions, other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, and the Federated States of Micronesia, are eligible for airport development grants if the airport on which the development is required is listed in the National Plan of Integrated Airport Systems (NPIAS). Certain units of local government may be eligible for grants to implement noise compatibility projects. Private owners of public-use reliever airports or airports having at least 2,500 passenger boarding annually and receiving scheduled passenger aircraft service are eligible.

**Beneficiary Eligibility:**

States, counties, municipalities, U.S. Territories and possessions, and other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, The Federated States of Micronesia, and private owners of reliever airports or airports having at least 2,500 passenger boarding annually and receiving scheduled passenger aircraft service.

**Credentials/Documentation:**

Sponsors must submit information establishing financial capability and legal authority to accomplish the project and to operate the airport. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Preapplication for Federal Assistance, SF 424, Part I (facesheet) filed with FAA field office, reviewed by the regional office and/or Washington office for program approval, as appropriate. For master plans (may be combined as part of development project), noise compatibility plans, and system plans, SF-424 and Parts II through V of FAA Form 5100-101, Application for Federal Assistance, must be submitted to FAA field offices. Level of approval is dependent on the type of airport and amount of FAA monies requested. No State plan is required.

**Award Procedure:**

Upon program approval for development projects, applicant submits project application, SF 424, Part I (facesheet) and remaining parts of FAA Form 5100-100 to FAA field office. Master, noise compatibility, and system plan grant applications are submitted to FAA field offices and upon approval, grant offers are made by FAA field offices. Either the district or regional office prepares Grant Offer, FAA Form 5100-37, for planning and development for execution by FAA applicant.

**Deadlines:**

Jan 31, 2012 Primary airport sponsors must notify FAA by January 31 or another date specified in the Federal Register of their intent to apply for funds to which they are entitled under Section 47102 of Title 49, United States Code. A reminder is published annually in the Federal Register. Other sponsors are encouraged to submit early in the fiscal year and to contact the appropriate FAA Regional or Airports District Offices for any local deadlines. Sponsors must formally accept grant offers no later than September 30 for grant funds appropriated in that fiscal year.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. If the project is challenged on environmental grounds, approval may take longer.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The local match is 5% to 20%.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

No set period of time. Projects are expected to be completed as expeditiously as possible. Most within One to two years from grant award. See the following for information on how assistance is awarded/released: Awarded by lump sum. Assistance is released upon application for reimbursement of expenses or by letter of credit.

**Reports:**

During the project, the sponsor monitors performance to ensure that time schedules are being met. Periodic reports, as required, are forwarded to FAA. SF-270. The recipient periodically submits form 5370-1, Construction Progress and Inspection Reports. SF-425. Project performance monitoring is conducted through site visits and reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Sponsors' records are required to be made available for inspection by FAA, OIG/DOT and the General Accounting Office. An airport layout plan must be kept up to date and available as long as the grant agreement lasts, ordinarily a period of 20 years. Accounting records reflecting all project costs, books, documents, and records pertinent to grants are to be retained for 3 years after date of submission of final expenditure report.

Grant recipients shall submit periodic reports containing the following information:

1. The number of projects that have been put out to bid under the grant and the amount of Federal funds associated with each project.
2. The number of projects for which contracts have been awarded and the amount of Federal funds associated with each project.
3. The number of projects for which work has begun under such contracts and the amount of Federal funds associated with each contract.
4. The number of projects for which work has been completed under such contracts and the amount of Federal funds associated with each contract.

**Account Identification:**

69-8106-0-7-402.

**Obligations:**

(Salaries) FY 10 \$3,378,106,000; FY 11 est \$3,465,000,000; and FY 12 est \$3,515,000,000

**Range and Average of Financial Assistance:**

AIP Grants) \$9,172 to \$29,957,716. Average: \$1,429,455 for FY 2010.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Aviation Administration Order and Advisory Circulars (FAA Order 5100.38C, Airport Improvement Program Handbook, and FAA Advisory Circulars in the 150/5100 series).

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to contact the Federal Aviation Administration Regional Offices listed in Appendix IV of the Catalog.

Headquarters Office: Federal Aviation Administration, Office of Airport Planning and Programming, Airports Financial Assistance Division, APP-500, 800 Independence Avenue, SW., Washington, DC 20591. Telephone: (202) 267-3831.

Web Site Address: [http://www.faa.gov/airports\\_airtraffic/airports/](http://www.faa.gov/airports_airtraffic/airports/).

**Headquarters Office:**

Kendall Ball, P.E. 800 Independence Avenue, Washington, District of Columbia 20591 Email: [kendall.ball@FAA.gov](mailto:kendall.ball@FAA.gov) Phone: (202) 267-7436.

**Website Address:**

[http://www.faa.gov/airports\\_airtraffic/AIP/](http://www.faa.gov/airports_airtraffic/AIP/).

**RELATED PROGRAMS:**

39.002 Disposal of Federal Surplus Real Property; 39.003 Donation of Federal Surplus Personal Property

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Only those Airport Improvement Program (AIP) projects considered by the FAA Administrator to be necessary to provide for a safe and efficient airport system and to meet the current and projected growth of civil aeronautics will be considered for selection. The airports at which AIP projects are proposed must be included in the National Plan of Integrated Airports Systems (NPIAS).

**20.108 AVIATION RESEARCH GRANTS**

**FEDERAL AGENCY:**

Federal Aviation Administration (FAA), Department of Transportation

**AUTHORIZATION:**

Federal Aviation Administration Research, Engineering and Development Authorization Act of 1990, Public Law 101-508; Aviation Security Improvement Act of 1990, Federal Aviation Administration Authorization Act, Public Law 103-305.

**OBJECTIVES:**

To encourage and support innovative, advanced, and applied research and development in areas of potential benefit to the long-term growth of civil aviation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

The grants and cooperative agreements may be used to support research and development projects at colleges, universities and nonprofit institutions in the following areas: (1) Capacity and Air Traffic Control Technology; (2) Communications, Navigation and Surveillance; (3) Aviation Weather; (4) Airports; (5) Aircraft Safety Technology; (6) Human Factors and Aviation Medicine; (7) Environment and Energy; (8) Systems Science and Operations Research; (9) Commercial Space Transportation. Discretionary funds are not currently available. Potential grantees are encouraged to contact FAA Research Technical Program Offices for sponsorship.

**Applicant Eligibility:**

Colleges, universities and nonprofit institutions are eligible to benefit.

**Beneficiary Eligibility:**

Colleges, universities and nonprofit institutions are eligible to benefit.

**Credentials/Documentation:**

Evidence of eligibility and of negotiated indirect rates and audit by cognizant agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication form not required. Consultation and or assistance is available by calling (609) 485-4781. No preapplication conference needed. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the

program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The solicitation may be accessed on the internet at <http://www.tc.faa.gov/logistics/grants>, or at [grants.gov](http://grants.gov) under CFDA 20.108.

**Award Procedure:**

Award authority has been delegated to the FAA Grants Officer for the Aviation Research Grants Program, AJA-4730, at the William J. Hughes Technical Center, Atlantic City International Airport, NJ 08405. Awards will be made throughout the year. Solicitation FAA-06-01 will remain open indefinitely. Any change to this will appear on the internet site mentioned above.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

120 Days.

**Appeals:**

Formal protests are not an option, however, a debriefing may be requested.

**Renewals:**

Multi-year grants and cooperative agreements are available; extensions are possible. No-cost extensions available upon request.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Minimum award duration is 6 months. No other time restrictions. Assistance is disbursed monthly. Advances are possible with prior approval from the FAA Grants Officer. Method of awarding/releasing assistance: lump sum.

**Reports:**

Technical Reporting Requirements per Subpart C of Title 2 CFR Part 215 formerly OMB Circular A-110 and OMB Circular A-102, Paragraph 7. Semi-annual and final technical reports required. Financial reporting requirements as per Subpart C of OMB Circular A-110 and of OMB Circular A-102, Paragraph 7. Final reports are required for closeout. Reporting requirements are spelled out in the terms and conditions of each award document. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Single Audit Act assigns responsibility to either the Department of Health and Human Services or the Department of Defense for most institutions. The FAA reserves the right to conduct individual audits as needed within the constraints of applicable laws and regulations.

**Records:**

Technical and financial records must be retained for a minimum of 3 years (or longer, depending on special situations) following completion of a grant or cooperative agreement.

**Account Identification:**

69-8108-0-7-402.

**Obligations:**

(Salaries) FY 10 \$21,714,459; FY 11 est \$10,000,000; and FY 12 est \$10,000,000

**Range and Average of Financial Assistance:**

Proposals received to date have requested from \$15,000 to \$5.0 million with most between \$50,000 and \$250,000. Larger proposals are for multi-year research.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Research and development in Satellite navigation; Improving Human Performance in Aviation; De/Anti-icing Fluids; Airport runway & pavement, etc. Fiscal Year 2011: Awarding of \$10,000,000. Fiscal Year 2012:



Projected awarding of \$10,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-122, A-133, A-110 and A-21, Regulations and Executive Orders are referenced in Appendix 2 of the FAA Research Grants Order 95507A. A solicitation package containing the appropriate forms and directions is available through grants.gov.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nicole Saiauskie, AJA-4A William J. Hughes Technical Center, Atlantic City International Airport, New Jersey 08405 Email: nicole.saiauskie@faa.gov Phone: (609) 485-4781 Fax: (609) 485-6766 .

**Website Address:**

<http://www.tc.faa.gov/logistics/grants>.

**RELATED PROGRAMS:**

20.109 Air Transportation Centers of Excellence

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Research and development in Satellite navigation; Improving Human Performance in Aviation; De/Anti-icing Fluids; Airport runway & pavement, etc. Fiscal Year 2011: Awarding of \$10,000,000. Fiscal Year 2012: Projected awarding of \$10,000,000.

**CRITERIA FOR SELECTING PROPOSALS:**

The FAA has established four criteria which should be met for a proposal to be eligible for funding. These four criteria are: (1) Intrinsic Value; (2) Relevance to the FAA Mission; (3) Technical Soundness of the Proposal; (4) Research Performance Competence.

**20.109 AIR TRANSPORTATION CENTERS OF EXCELLENCE**

(FAA Centers of Excellence)

**FEDERAL AGENCY:**

Federal Aviation Administration (FAA), Department of Transportation

**AUTHORIZATION:**

Federal Aviation Administration Research, Engineering and Development Authorization Act of 1990, Public Law 101-508.

**OBJECTIVES:**

To conduct long term continuing research in specific areas of aviation related technology. Responsibilities of Centers may include, but are not limited to: the conduct of research concerning catastrophic failure of aircraft; airspace and airport planning and design; airport capacity enhancement techniques; human performance in the air transportation environment; aviation safety and security; the supply of trained air transportation personnel including pilots and mechanics; and other aviation issues pertinent to developing and maintaining a safe and efficient air transportation system, and the interpretation, publication, and dissemination of the results of such research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Centers of Excellence are established for long term continuing mission critical research in specific areas of technology areas. Funding may be used for the establishment and operation of the Centers of Excellence and the related training, education and research projects. The FAA determines a need for a Center of Excellence in a specific area of technology and publishes a Notice of Availability of Solicitation in Grants.gov. In response to this announcement, each applicant submits a description of their institutional capabilities, available faculty, facilities and equipment, and additional information as required in the solicitation. Researchers at each Center are expected to maintain a close working relationship with relevant FAA program offices that have responsibility in areas related to their research. Centers conduct semi-annual reviews, and a major symposium at the conclusion of each 3-year phase of research to satisfy Congressional requirements to disseminate research results to a broad audience. CONGRESSIONAL RESTRICTIONS: (1) Matching Funds - The Federal share of the grant awarded shall be 50 percent of the cost

to establish and operate and conduct related research within the Center of Excellence and related research activities. (2) Maintenance of Effort - Each recipient will maintain its aggregate expenditures from all other sources for establishing and operating the Center and related research activities at or above the average level of such expenditures in its 2 fiscal years preceding November 5, 1990. (3) Locations of centers and distribution of funds shall be geographically equitable. (4) Contract tasks may be awarded following the competitive process and include negotiable cost share. (5) Funds are awarded to universities. Industry affiliates must align with academic institutions who may then sub-contract to others as appropriate. Centers of Excellence are established to conduct aviation related research, education, training and technology transfer. Discretionary funds are made available by sponsoring organizations and are awarded to establish, operate and conduct related research.

**Applicant Eligibility:**

Applicants are limited to colleges and universities with the financial resources to meet statutory requirements for matching Federal funds and maintenance of effort. Academic institutions may partner with industry affiliates, other public and private entities, and government laboratories.

**Beneficiary Eligibility:**

Recipients are limited to colleges and universities with the financial resources to meet statutory requirements for matching Federal grants and maintenance of effort. In conducting research, a Center of Excellence may contract with nonprofit research organizations and other appropriate persons.

**Credentials/Documentation:**

Required documentation is outlined in each solicitation package. After each Draft Notice of Solicitation is published, copies of the Solicitation are available during a Public Meeting and/or from the FAA Centers of Excellence Program Office, FAA Technical Center, Atlantic City International Airport, NJ 08405. To establish a Center of Excellence, a competitive process is conducted to include a: public announcement, publication of a draft and a final solicitation, period of public comment, management/fiscal review, and a technical evaluation. Public Law 101-508 established the following six selection criteria: (1) The extent to which the needs of the State in which the applicant is located are representative of the needs of the region for improved air transportation services and facilities. (2) The demonstrated research and extension resources available to the applicant for carrying out this program. (3) The capability of the applicant to provide leadership in making national and regional contributions to the solution of both long- range and immediate air transportation problems. (4) The extent to which the applicant has an established air transportation program. (5) The demonstrated ability of the applicant to disseminate results of air transportation research and educational programs through a State-wide or region-wide continuing education program. (6) The projects which the applicant proposes to carry out under the grant. Each proposal must include the following: (a) description of current research projects being conducted in the specific research area, (b) a schedule of anticipated costs to establish and operate the Center of Excellence, (c) a plan for meeting the 50 percent nonfederal contribution toward the matching requirements, (d) a statement showing aggregate expenditures from all other sources for aviation research in its 2 fiscal years preceding November 5, 1990, (e) all data sufficient for the evaluation team to determine the extent to which the applicant is able to satisfy the six selection criteria outlined.

Each proposal must contain a: 1. completed Application for Federal Assistance (SF-424 Research and Related); 2. table of contents; 3. technical statement addressing the problems inherent in the specific technical area(s) and probable solutions; 4. summary of results from FAA funding in the past five years; 5. biographical sketch for all senior personnel and a list of their principal accomplishments and publications during the past five years; 6. proposed budget for the initial three years including the anticipated costs of managing a new Center of Excellence, and a management plan; 7. listing of all current and pending support on all research awards from all sources; 8. listing of all available facilities and major items of equipment to be available to conduct research, and that which is necessary to acquire. 9. a cover letter and letters of support from various industry representatives, state and local officials, etc. Other required forms are to be included such as Disclosure of Lobbying Activities Form SF-LLL and certification of Compliance with the Civil Rights

Act. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

FAA may hold a public information meeting prior to submission of proposals. Questions may be submitted to the FAA Centers of Excellence Program Director, AJP-9, FAA Technical Center, Atlantic City International Airport, NJ 08405. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Colleges and universities may apply after the FAA has published a Notice of Availability of Solicitation for a Center of Excellence in a specific research area on the Grants.gov website. Solicitation and application packages are available from the FAA Centers of Excellence Program Office, FAA Technical Center, Atlantic City International Airport, NJ 08405.

**Award Procedure:**

The FAA Administrator is the selecting official for each Air Transportation Center of Excellence. The FAA Centers of Excellence Program Director issues solicitations, receives all proposals, convenes evaluation teams to evaluate eligible institutions for Centers of Excellence awards. Applicants should be prepared to host an onsite inspection of existing research facilities when being considered for a Center of Excellence designation. Grant award authority has been delegated to the FAA COE Grants Officer and Program Director, AJP-92, located at the William J. Hughes Technical Center, Atlantic City International Airport, NJ 08405. Awards are made to COE members throughout the term of the Center. No further announcements are issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From the closing date for applications, the FAA requires at least 6 months for evaluation and selection procedures.

**Appeals:**

Formal protests are not an option; however, those submitting a proposal may request a debriefing.

**Renewals:**

Grants: Multi-year grants and cooperative agreements are available; extensions are possible. No-cost extensions are available upon request. Centers of Excellence designation: Centers are evaluated during the last year of each research Phase. Cooperative agreements are renewed upon successful completion of each previous Phase throughout the 10-year term.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. This program has no statutory formula. Matching Funds Requirements - The Federal share shall be 50 percent of the costs of establishing and operating the Center of Excellence and related research activities. Maintenance of Effort - Each recipient will maintain its aggregate expenditures from all other sources for establishing and operating the Center and related research activities at or above the average level of such expenditures in its 2 fiscal years preceding November 1990. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The FAA intends to support a Center of Excellence in three year increments over a period of ten years. Each Center will undergo a reassessment every three years. Research is reviewed semi-annually. Budgets and research projects are negotiated yearly. As a consequence of changing needs, or diminished requirements, the agency reserves the right not to renew support for a Center of Excellence at any time. Funds from program offices and additional appropriations may increase at any time providing the institution can demonstrate matching funds. See the following for information on how

assistance is awarded/released: Funds are awarded as proposals are submitted for related projects, evaluated and determined to be beneficial to the FAA.

**Reports:**

COE status and technical reports are required on a quarterly basis. Technical Reporting Requirements per Attachment H of OMB Circular No. A-110 and Attachment I to OMB Circular No. A-102. Financial reporting requirements as per Attachment G of OMB Circular No. A-110 and Attachment H of OMB Circular No. A-102. Semi-annual reports on matching Funds and technical reports, as well as an annual review of the research completed and in progress at each Center of Excellence. The annual review focuses on the relevance, merit and direction of research efforts in the designated area, and negotiation of projects and budget for the next year. A symposium is required by the end of each 3-year period as part of close-out activities and serves to highlight research results and discuss plans for the next 3-year phase. The symposium is designed to satisfy legislative requirements to disseminate information. No cash reports are required. The annual review focuses on the relevance, merit and direction of research efforts in the designated area, and negotiation of projects and budgets for the next year. A symposium is required by the end of the 10-year period as part of close-out activities and serves to highlight research results. The symposium is designed to satisfy legislative requirements to disseminate information. Financial reporting requirements as per Attachment G of OMB Circular No. A-110 and Attachment H of OMB Circular No. A-102. A symposium is required by the end of the 10-year period as part of close-out activities and serves to highlight research results. The symposium is designed to satisfy legislative requirements to disseminate information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Single Audit Act assigns responsibility to either the Department of Health and Human Services or the Department of Defense for most institutions. The FAA calls for an audit of each Center every 3 years as a part of close-out activities, and reserves the right to conduct individual audits annually, and as needed, within the constraints of applicable laws and regulations.

**Records:**

Technical and financial records must be retained for a minimum of 3 years (or longer, depending on special situations) following termination of the Center of Excellence.

**Account Identification:**

69-8108-0-7-402.

**Obligations:**

(Salaries) FY 10 \$16,000,000; FY 11 est \$6,000,000; and FY 12 est \$10,000,000

**Range and Average of Financial Assistance:**

Program started in fiscal year 1992. Grant assistance is expected to be a minimum of \$500,000 per year for each Center, and may be augmented by tasks funded through IDIQ contract awards.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Executed competitive process and Administrator selected new COE for Commercial Space Transportation. Continue to operate and conduct aviation research through FAA COEs for General Aviation, Noise & Emissions Mitigation, Advanced Materials, Cabin Environment/ Intermodal, Airport Safety. Fiscal Year 2011: Established COE for Commercial Space Transportation. Continue to operate and conduct aviation research through FAA COEs: for General Aviation, Noise & Emissions Mitigation, Advanced Materials, Cabin Environment/ Intermodal, Airport Safety. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-133, A- 122, A110 and A-21, Regulations and Executive Orders are referenced in Appendix 2 of the FAA Research Grants Order 9550. When the FAA is soliciting for a Center of Excellence, a solicitation and

application package containing the appropriate forms and directions are made available. A Notice of Solicitation Availability will be announced on [www.Grants.gov](http://www.Grants.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Watts, FAA Technical Center, AJP-9, Atlantic City International Airport, New Jersey 08405 Email: [patricia.watts@faa.gov](mailto:patricia.watts@faa.gov) Phone: (609) 485-5043 Fax: (609) 485-4101.

**Website Address:**

<http://www.coe.faa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FAA currently supports Centers of Excellence in the following topic areas: Airport Technology, General Aviation, Aviation Noise & Emissions Mitigation, Airliner Cabin/Intermodal Research, Advanced Materials, Commercial Space Transportation. Fiscal Year 2011: Research in: General Aviation, Noise & Emissions Mitigation, Airliner Cabin / Intermodal, Advanced Materials, Commercial Space Transportation. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Public Law 101-508 has established the following six selection criteria: (1) The extent to which the needs of the State in which the applicant is located are representative of needs of the region for improved air transportation services and facilities; (2) The demonstrated research and extension resources available to the applicant for carrying out this program; (3) The capability of the applicant to provide leadership in making national and regional contributions to the solution of both long-range and immediate air transportation problems; (4) The extent to which the applicant has an established air transportation program; (5) The demonstrated ability of the applicant to disseminate results of air transportation research and educational programs through a State-wide or region-wide continuing education program; and (6) The projects which the applicant proposes to carry out under the grant. Public Law 101-508 mandates geographic equity in location and funding of Centers of Excellence. Depending on the outcome of evaluation under the six mandated criteria, geographic location may become an additional selection factor.

**20.200 HIGHWAY RESEARCH AND DEVELOPMENT PROGRAM**

Surface Transportation Research Program

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 101.

**OBJECTIVES:**

To carry out the highway research and development program as authorized by SAFETEA-LU. To conduct research needed to maintain and grow our vital transportation infrastructure. SAFETEA-LU addresses the many challenges facing our transportation system today challenges such as improving safety, reducing traffic congestion, improving efficiency in freight movement, increasing intermodal connectivity, and protecting the environment as well as laying the groundwork for addressing future challenges. SAFETEA-LU promotes more efficient and effective Federal surface transportation programs by focusing on transportation issues of national significance, while giving State and local transportation decision makers more flexibility for solving transportation problems in their communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at

[www.Grants.gov](http://www.Grants.gov).)

**Applicant Eligibility:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**Beneficiary Eligibility:**

State (State DOTs) Local Sponsored Organization General Public.

**Credentials/Documentation:**

Eligible activities and allowable costs will be determined in accordance with SAFETEA-LU and the Office of Management and Budget (OMB) cost principles applicable to the recipient/sub-recipient. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally, per directions contained in the RFAs, applicants submit applications online via [www.Grants.gov](http://www.Grants.gov) by the due date specified in the RFA.

**Award Procedure:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally, FHWA evaluates applications and selects awardee(s).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally 1 to 3 months after application submittal.

**Appeals:**

Not Applicable.

**Renewals:**

Dwight David Eisenhower Transportation Fellowship Program.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Funds generally become available at the beginning of the fiscal year for which they are authorized, and are available until expended or as otherwise designated in SAFETEA-LU. See the following for information on how assistance is awarded/released: Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Funds generally become available at the beginning of the fiscal year for which they are authorized, and are available until expended or as otherwise designated in SAFETEA-LU.

**Reports:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally quarterly progress reports and annual budget reports are required. Cash reports are not applicable. Generally quarterly progress reports and annual budget reports are required. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project records and documents must be retained by the Recipient as specified in 2 CFR Part 215 (Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations) or 49 CFR 18.42 as applicable.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Salaries) FY 10 \$181,866,400; FY 11 est \$181,866,400; and FY 12 est \$364,000,000 - Obligations are reported under Federal-aid Highway program totals.

**Range and Average of Financial Assistance:**

Varies by project. See individual project Request for applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov)).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR, "Highways", 49 CFR, "Transportation", and 2 CFR, "Grants and Agreements".

**Regional or Local Office:**

See Regional Agency Offices. State-level division offices of the FHWA (as listed in Appendix IV of the Catalog).

**Headquarters Office:**

Office of Acquisition Management (HAAM), 1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Phone: (202) 366-9084.

**Website Address:**

<http://www.fhwa.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov)).

**20.205 HIGHWAY PLANNING AND CONSTRUCTION**

(Federal-Aid Highway Program, Federal Lands Highway Program).

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 101.

**OBJECTIVES:**

Federal-aid Highway Program: To assist State transportation agencies in the planning and development of an integrated, interconnected transportation system important to interstate commerce and travel by constructing and rehabilitating the National Highway System (NHS), including the Eisenhower Interstate System; and for transportation improvements to most other public roads; to provide aid for the repair of Federal-aid highways following disasters; to foster safe highway design; to replace or rehabilitate deficient or obsolete bridges; and to provide for other special purposes. This program also provides for the improvement of roads in Puerto Rico, Guam, the U.S. Virgin Islands, American Samoa, the Northern Mariana Islands, and the Alaska Highway. The Federal Lands Highway Program (FLHP), as an adjunct to the Federal Aid Highway Program, provides assistance to the Federal Land Management Agencies (FLMAs) for Federally owned roads. It provides transportation engineering services for planning, design, construction, and rehabilitation of the highways and bridges providing access to federally owned lands. The Federal Lands Highway organization also provides training, technology, deployment,

engineering services, and products to other customers.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Federal-aid highway funds are generally apportioned by statutory formulas to the States. They are generally restricted to roads open to the public and not functionally classified as rural minor collectors or local. Exceptions to this highway functional classification restriction include: planning and research activities; bridge, bicycle and pedestrian, and safety improvements that may be on any public road; transportation enhancement activities; the recreational trails program (see program 20.219); safe routes to school, nonmotorized transportation, the FLHP, and public transportation improvement. The FLHP is not a grant program. For highway projects, funds may be used for environmental studies, engineering and design services, right-of-way acquisition and relocation assistance, and construction for capital improvement projects classified as new construction, reconstruction, restoration, rehabilitation, and resurfacing, or for functional, geometric, or safety reasons. Funds may also be used for planning; research, development, and technology transfer; intelligent transportation systems projects; roadside beautification; wetland and natural habitat mitigation, traffic management and control improvements; improvements necessary to accommodate other transportation modes, development and establishment of transportation management systems; billboard removal; construction of bicycle facilities and pedestrian walkways; fringe and corridor parking; car pool and van pool projects; transportation enhancements such as scenic and historic highway improvements; and recreational trails. Funds generally cannot be used for routine highway operational activities, such as police patrols, mowing, snow plowing, or maintenance, unless it is preventative maintenance. Also, funds authorized for the NHS, Surface Transportation Program (STP), Congestion Mitigation and Air Quality (CMAQ) Improvement Program, Equity Bonus (BE) program, and some additional programs may be used for mass transportation improvements; CMAQ funds are limited to projects and programs in air quality, non-attainment and maintenance areas for ozone, carbon monoxide, and small particulate matter that reduce transportation related emissions. Eligibility criteria for the programs differ, so program guidance should be consulted. Projects in urban areas of 50,000 or more population must be based on a transportation planning process carried out by a Metropolitan Planning Organization (MPO) in cooperation with the State and transit operators, and the projects must be included in metropolitan transportation plans and improvement programs. Projects in non-metropolitan areas of a State must be consistent with a statewide transportation plan. Projects in both metropolitan and non-metropolitan areas must also be included in a fiscally constrained Statewide Transportation Improvement Program (STIP) developed as part of the required statewide transportation planning process. The FHWA and the Federal Transit Administration (FTA) must approve the STIP jointly.

**Applicant Eligibility:**

By law, the Federal-aid highway program is a federally assisted State program that requires each State to have a suitably equipped and organized transportation department. Therefore, most projects are administered by or through State transportation departments (State DOTs). Projects to be funded under the Federal-aid highway program are generally selected by State DOTs or MPOs, in cooperation with appropriate local officials, as specified in 23 U.S.C. and implementing regulations. Territorial highway projects are funded in the same manner as other Federal aid highway projects, with the territorial transportation agency functioning in a manner similar to a State transportation department. Most FLHP projects are administered by the FHWA Office of Federal Lands Highway and its Divisions or by the various FLMAs. Under the FLHP, projects in the Indian Reservation Road (IRR) Program are selected by Tribal governments and are approved by the Bureau of Indian Affairs (BIA) and the Federal Highway Administration. Due to recent legislation, Tribal governments meeting certain requirements may now administer various IRR projects on behalf of the BIA and FHWA. The Fish and Wildlife Service (FWS) and the National Park Service (NPS) select projects in the Refuge Road and Park Roads and Parkways programs, respectively. For the Forest Highway Program, the Forest Service, the States and the Federal Highway Administration jointly select projects.

**Beneficiary Eligibility:**

State transportation departments, and in some instances, Federal agencies, other State agencies, local agencies, and private, community-based organizations.

**Credentials/Documentation:**

Eligible activities and allowable costs will be determined in accordance with Title 23 and the OMB cost principles applicable to the recipient/sub-recipient. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An environmental impact assessment is required for most projects under this program, although the level of review varies with the project. Projects under the FLHP have similar requirements; however, an interested applicant would need to contact the designated FLMA or the local FLH Division for more information. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. In general, projects/programs proposed for funding must be included in a fiscally constrained STIP, submitted by the State DOT, and approved jointly by the FHWA and the FTA. In addition, the State DOT may need to submit statements of work or plans, specifications, and estimates for certain proposed projects to the FHWA division office located in each State for approval. The FHWA has an agreement with each State that details the extent to which the State assumes the responsibilities of the FHWA for projects in that State. For projects on the Interstate System costing more than \$1 million, FHWA oversight of design and construction is required. For projects that are on the National Highway System but not on the Interstate System, the State may assume the responsibilities of the FHWA for oversight of design and construction, unless the State or the FHWA determines that such assumption is not appropriate. For projects that are not on the National Highway System, the State shall assume the responsibilities of the FHWA for oversight of design and construction, unless the State determines that such assumption is not appropriate. For the discretionary portion of public lands highways, State DOTs submit desired projects to the FHWA division office located in each State. Following the appropriate project selection process, a Transportation Improvement Program (TIP) for the Park Roads and Parkways, Forest Highway and Refuge Road programs is developed by one of the Federal Lands Highway Division offices, and forwarded to the respective State for inclusion in the appropriate MPO TIP and STIP. For the Indian Reservation Roads program, a TIP is submitted to the FHWA Office of Federal Lands Highway for approval and then forwarded to the respective State for inclusion in the appropriate MPO TIP and STIP. Projects under the FLHP are subject to the metropolitan and statewide planning requirements.

**Award Procedure:**

The State DOTs generally decide which projects will be developed within funding levels but the FHWA division office located in each State makes the final decision on the eligibility of specific projects. There are several categories where funding is allocated at the discretion of the Secretary of Transportation and administered by the FHWA. Candidate projects for discretionary allocations are usually solicited before the start of the Federal fiscal year (October 1) and must be submitted by the State DOTs. FHWA approval of a project and execution of a project agreement constitute a commitment to pay the Federal share of the project's allowable costs. Projects administered by the FHWA Office of FLH or the FLMAs are subject to procurement processes identified in the Federal Acquisition Regulations. Project awards are subject to the availability of funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 day to 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Federal-aid highway funds generally become available at the beginning of the fiscal year for which they are authorized and must be obligated within 3 years after the close of that fiscal year. However, some categories of funds are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. SF-425. Except for projects that a state has oversight responsibility for, the FHWA division office in each State monitors and reviews State projects and programs during highway project location, design and construction. After the project is completed State maintenance of the project is reviewed periodically. Certain non-construction activities, such as transportation planning, require periodic progress reports. Similar procedures apply to the FLMAs and FLHP projects with the FHWA Office of FLH providing the mandatory stewardship and oversight. A value engineering analysis or other cost-reduction analysis is required for each project on the Federal-aid system with an estimated total cost of \$25,000,000 or more, a bridge project with an estimated total cost of \$20,000,000 or more; and any other project determined to be appropriate. Annual financial plans are required for projects with an estimated total cost of \$100,000,000 or more. In addition, a project management plan must be submitted for projects with an estimated total cost of \$500,000,000 or more.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project records and documents must be retained by the State or other governmental recipients/ subrecipients as specified in 49 CFR Part 18 or by non-profit recipients/subrecipients as specified in 49 CFR Part 19. For the Federal Lands Highway Program, the Federal Lands Highway Divisions maintain the project records.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Salaries) FY 10 \$42,087,457,079; FY 11 est \$45,871,133,600; and FY 12 est \$45,023,000,000

**Range and Average of Financial Assistance:**

Federal-aid highway funds are provided to States on an annual basis, by a combination of statutory formula and discretionary allocation, stemming from multi-year authorization acts, the most recent being the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). Total contract authority, for the range of programs and earmarks, from the Highway Account of the Highway Trust Fund, for the five-year period ending September 30, 2009 is as follows: 37,660,764,306, 38,557,541,690, 40,876,948,610, 42,254,431,862, and 33,868,790,045. Following September 30, 2009 the Agency has been funded through SAFETEA-LU extensions.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Projects completed related to: Highways, roads, bridges, bicycle transportation, bridge rehabilitation/replacement, disaster repairs, forest highways planning/construction, highway beautification, highway safety design, Indian reservation roads, interstate highway construction, rehabilitation,

and pedestrian safety. Fiscal Year 2011: Projects completed related to: Highways, roads, bridges, bicycle transportation, bridge rehabilitation/replacement, disaster repairs, forest highways planning/construction, highway beautification, highway safety design, Indian reservation roads, interstate highway construction, rehabilitation, and pedestrian safety. Fiscal Year 2012: Projects completed related to: Highways, roads, bridges, bicycle transportation, bridge rehabilitation/replacement, disaster repairs, forest highways planning/construction, highway beautification, highway safety design, Indian reservation roads, interstate highway construction, rehabilitation, and pedestrian safety.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR, "Highways" and 49 CFR, "Transportation", and 2 CFR, Grants and Agreements. <http://www.fhwa.gov>.

**Regional or Local Office:**

See Regional Agency Offices. State-level division offices of the Federal Highway Administration (as listed in Appendix IV of the Catalog) or State transportation agencies.

**Headquarters Office:**

Director, Office of Program Administration, Federal Highway Administration, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590  
Phone: (202) 366-9494.

**Website Address:**

<http://www.fhwa.dot.gov>.

**RELATED PROGRAMS:**

20.215 Highway Training and Education; 20.219 Recreational Trails Program; 20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program; 20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort; 23.003 Appalachian Development Highway System

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funded projects directly related to: Highways, roads, bridges, bicycle transportation, bridge rehabilitation/replacement, disaster repairs, forest highways planning/construction, highway beautification, highway safety design, Indian reservation roads, interstate highway construction, rehabilitation, and pedestrian safety.

Similar projects will be completed nationwide. Fiscal Year 2011: Similar projects will be completed nationwide. Fiscal Year 2012: Funded projects directly related to: Highways, roads, bridges, bicycle transportation, bridge rehabilitation/replacement, disaster repairs, forest highways planning/construction, highway beautification, highway safety design, Indian reservation roads, interstate highway construction, rehabilitation, and pedestrian safety.

**CRITERIA FOR SELECTING PROPOSALS:**

To be eligible, most projects must be located on public roads that are not functionally classified as local. The major exceptions are the Highway Bridge Replacement and Rehabilitation Program, which provides assistance for bridges on and off the Federal-Aid highways; highway safety activities; bicycle and pedestrian projects, transportation enhancement activities, the recreational trails program, and planning, research, development, and technology transfer.

Proposed projects meeting these and other planning, design, environmental, safety, etc., requirements can be approved on the basis of State and local priorities within the limit of the funds apportioned or allocated to each State.

**20.215 HIGHWAY TRAINING AND EDUCATION**

National Highway Institute (NHI) Training Program  
Dwight David Eisenhower Transportation Fellowship Program (DDETFP)  
Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP)

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 101.

**OBJECTIVES:**

National Highway Institute (NHI) Training Program: To develop and

administer, in cooperation with those in the highway community, educational, training, and technical assistance programs for the Federal Highway Administration, State and local highway agency employees, as well as the private sector and members of the international organizations. Dwight David Eisenhower Transportation Fellowship Program (DDETFP): To attract qualified students to the field of transportation education and research, and advance transportation workforce development. Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP): To improve the preparation of students, particularly women and minorities, in science, technology, engineering, and mathematics through curriculum development and other transportation-related activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; TRAINING

**USES AND USE RESTRICTIONS:**

States may use funds not to exceed one half of 1 percent of the amount apportioned to each State under Section 104(b)(3) for the surface transportation program for training their employees or employees of local transportation agencies. Such expenditures may not exceed 80 percent of the total cost of tuition and direct education expenses (excluding salaries) in connection with the education and training activities. Courses and study programs may be obtained from universities, other government agencies, the private sector, and/or the National Highway Institute. Such expenditures may not exceed 80 percent of the total cost of tuition and direct education expenses (excluding salaries) in connection with the education and training activities.

**Applicant Eligibility:**

NHI Training Program: Employees of State and local transportation agencies. DDETFP: Some restrictions apply. Undergraduate (juniors and seniors at Minority Institutes of Higher Education (MIHE)) and graduate students matriculating full-time at a U.S. university or college in a transportation-related discipline. GAMTTEP: Local educational agencies and State educational agencies, which may enter into a partnership agreement with institutions of higher education, businesses, or other entities.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Dwight David Eisenhower Transportation Fellowship Program (DDETFP): Students may apply to the Program Manager, Universities and Grants Programs of Technology Partnership Programs (TPP) to compete for three award categories; annually for the Eisenhower Graduate, Grants for Research Fellowships, and Eisenhower Intern Fellowships. The remaining Eisenhower Fellowships are competed at participating MIHEs, Community Colleges and universities designed for People Living with Disabilities. MIHEs include the Historically Black Colleges and Universities (HBCUs) Hispanic Serving Institutions (HSIs), and Tribal Colleges (TCs) and selected applications are forwarded to the Program Manager, Universities and Grants Programs of Technology Partnership Programs (TPP) for final selection. Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP): Vendors may apply through Grants.Gov annually.

**Award Procedure:**

Awards are made annually for the academic year for the Dwight David Eisenhower Transportation Fellowship Program by the Director, Technology Partnership Programs and the Program Manager, Universities and Grants Programs of the Office of Technical Services all categories. Awards for the Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP) are made on the basis of competitive review by the Office of Acquisitions and the Program Manager, Universities and Grants Programs of

Technology Partnership Programs (TPP).

**Deadlines:**

Apr 01, 2011: DDETFP HBCUs, HSIs, TCs, PWDs ad CCs: annually by April 1st. NHI Training Program: None. DDETFP Graduate Fellowships and Grants for Research Fellowships: annually by mid-February; DDETFP HBCUs, HSIs, TCs, PWDs: annually by April 1st. Grants for Research Fellowships and Eisenhower Intern Fellowships: Open until filled. GAMTTEP: Varies, but usually March.

**Range of Approval/Disapproval Time:**

NHI Training Program: None. DDETFP: 3 months (applicants acceptance/rejection period).

**Appeals:**

Not Applicable.

**Renewals:**

NHI Training Program: None. Dwight David Eisenhower Transportation Fellowship Program: as applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

DDETFP on-site assignments, 6 to 12 months with extension upon approval from the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI); Masters degree awards, up to 2 years, not to exceed 3 years, in duration; and PhD Awards, up to 3 years-not to exceed 5 years in duration; and Bachelors degree, 1 year. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

Not Applicable.

**Records:**

Participating agencies must keep records of expenditures/accomplishments as applicable.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Formula Grants) FY 10 \$14,000,000; FY 11 est \$14,000,000; and FY 12 est \$14,000,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The DDETFP will awarded 200 Fellowships in 2010. Fiscal Year 2011: The DDETFP expects to award 200 Fellowships in 2011. Fiscal Year 2012: The DDETFP expects to award 203 Fellowships in 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NHI Training Program: 23 CFR, "Highways." DDETFP: The first guidelines for the DDETFP were issued in August 1992. National guidelines are reissued annually in the program announcement by the National Highway Institute.

**Regional or Local Office:**

See Regional Agency Offices. State-level (division) offices of the Federal Highway Administration as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Federal Highway Administration, 1310 N. Courthouse Rd, Suite 300, Arlington, Virginia 22201 Phone: (703) 235-0538.

**Website Address:**

<http://www.nhi.fhwa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 2010 DDETFP: Graduate Fellowships, Grants for Research Fellowships (GRF), Intern Fellowships, Historically Black Colleges and University Fellowships, Hispanic Serving Institutions Fellowships, Tribal College Fellowships, People with Disabilities Fellowships and Community College Fellowships. Fiscal Year 2011: 2011 DDETFP: Graduate Fellowships, Grants for Research Fellowships (GRF), Intern Fellowships, Historically Black Colleges and University Fellowships, Hispanic Serving Institutions Fellowships, Tribal College Fellowships, People with Disabilities Fellowships and Community College Fellowships. Fiscal Year 2012: 2012 DDETFP: Graduate Fellowships, Grants for Research Fellowships (GRF), Intern Fellowships, Historically Black Colleges and University Fellowships, Hispanic Serving Institutions Fellowships, Tribal College Fellowships, People with Disabilities Fellowships and Community College Fellowships.

**CRITERIA FOR SELECTING PROPOSALS:**

Courses conducted fill major agency needs as defined by high priority areas, and are presented within time, staff, and budget constraints. DDETFP fellowships are awarded on competition on the basis of demonstrated merit, including pursuit of transportation related careers, academic credentials, academic recommendations, and study proposal.

**20.218 NATIONAL MOTOR CARRIER SAFETY**

(MCSAP)

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Motor Carrier Safety Reauthorization Act of 2005, Public Law 109-59, 49 U.S.C 31102-31104; Surface Transportation Assistance Act of 1982, Section 401-408, Public Law 97-424; Transportation Equity Act for the 21st Century, Public Law 105-178; Motor Carrier Act of 1991, Public Law 102-240, 49 U.S.C 31100-31104.

**OBJECTIVES:**

The MCSAP is a Federal grant program that provides financial assistance to States to reduce the number and severity of accidents and hazardous materials incidents involving commercial motor vehicles (CMV). The goal of the MCSAP is to reduce CMV-involved accidents, fatalities, and injuries through consistent, uniform, and effective CMV safety programs. Investing grant monies in appropriate safety programs will increase the likelihood that safety defects, driver deficiencies, and unsafe motor carrier practices will be detected and corrected before they become contributing factors to accidents.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The MCSAP also sets forth the conditions for participation by States and local jurisdictions and promotes the adoption and uniform enforcement of safety rules, regulations, and standards compatible with the Federal Motor Carrier Safety Regulations (FMCSRs) and Federal Hazardous Material Regulations (HMRs) for both interstate and intrastate motor carriers and drivers. MCSAP Basic program funds may be used for any eligible activity or item consistent with 49 CFR Part 350.309 and 311. (1) MCSAP High Priority funds will be allocated, at the discretion of FMCSA, to States, local governments, and other organizations that use and train qualified officers and employees in coordination with State safety to carry out activities and projects that improve Commercial Motor Vehicle (CMV) safety in compliance with CMV regulations. Funding is available for projects that are national in scope, increase public awareness and education, demonstrate new technologies and reduce the number and rate of large truck- and bus-related fatalities. (2) MCSAP New Entrant funds will be provided to State and local governments as a grant award to conduct safety audits on interstate carriers consistent with the provisions of Title 49 of the Code of Federal Regulations (49 CFR) Part 350.321 and Part 385 Subpart D. Reference the Grants.gov funding opportunity announcement for additional information.

**Applicant Eligibility:**

Only the States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam,

and the Virgin Islands are eligible to receive Basic MCSAP grants; only the fifty States and the District of Columbia receive Incentive grants; the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, and the Virgin Islands do not receive Incentive grants.

**Beneficiary Eligibility:**

Under the Basic and Incentive grant programs, a State lead MCSAP agency, as designated by its Governor, is eligible to apply for Basic and Incentive grant funding by submitting a commercial vehicle safety plan (CVSP), in accordance with the provisions of Title 49 of the Code of Federal Regulations (CFR) Part 350.201 and 205.

**Credentials/Documentation:**

Under the Basic and Incentive grant programs, a State lead MCSAP agency, as designated by its Governor, is eligible to apply for Basic and Incentive grant funding by submitting a commercial vehicle safety plan (CVSP), in accordance with the provisions of 49 CFR 350.201 and 205. Prior to the start of each fiscal year, FMCSA calculates the amount of Basic and Incentive funding each State is expected to receive. This information is provided to the States and is made available on the Agency's website. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

As stated in Section 13 of the FMCSA Financial Assistance General Provisions and Assurances, upon execution of the grant agreement recipients agree to comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must register with Grants.gov to apply for funding at: [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). Registration with Grants.gov may take up to three weeks before the system will allow access to the grant application package. Applications should be submitted in accordance with the instructions provided and must be submitted electronically to FMCSA through the Grants.gov website.

**Award Procedure:**

Provide a description of the award procedure (1-15 days, 30-60 days, 90- 120) days.

**Deadlines:**

Aug 01, 2011 to Sep 30, 2011 Application for a grant must be filed with the FMCSA Division Office on or before August 1 of each year. The deadline may, for good cause, be extended by the Division Administrator/State Director for no more than 30 calendar days.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. The FMCSA will notify the State, in writing, within 30 days of receipt of the Commercial Vehicle Safety Plan (CVSP) whether: (1) the plan is approved; (2) Approval of the plan is withheld because the CVSP does not meet the requirements, or is not adequate to ensure effective enforcement of the FMCSRs and HMRs or compatible State laws and regulations, (a) If approval is withheld, the State will have 30 days from the date of the notice to modify and resubmit the plan, or (b) disapproval of a resubmitted plan is final.

**Appeals:**

From 30 to 60 days. In accordance with the provisions set forth in 49 CFR Part

350.207, any State aggrieved by an adverse decision may seek judicial review under 5 U.S.C. Chapter 7.

**Renewals:**

Renewals to standard assistance agreements, if any, will be in the form of a new grant with a new grant number.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 49 CFR 350.323. The MCSAP formula is described in 49 CFR 350.323 and is based on the most current approved statistics available. Most funds will be allocated each year among the States according to a formula based on four equally weighted (25 percent) factors: (1) road miles (all highways) as defined by the FHWA; (2) All vehicle miles traveled as defined by the FHWA; (3) Population - annual census estimates as issued by the U. S. Census Bureau; and (4) special fuel consumption (net after reciprocity adjustment) as defined by the FHWA.

Matching Requirements: Percent: 80.%. The FMCSA has waived the requirement for matching funds to be provided by the U.S. Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Marianas. In accordance with the provisions set forth in 49 CFR 350.303; (a) the FMCSA will reimburse up to 80 percent of the eligible costs incurred in the administration of an approved CVSP. (b) In-kind contributions are acceptable in meeting the State's matching share if they represent eligible costs as established by 49 CFR part 18 or agency policy.

This program has MOE requirements, see funding agency for further details. The State must maintain the average level of expenditure of the State and its political subdivisions (not including amounts of the Government or State matching funds) for commercial motor vehicle safety programs, for enforcement of commercial motor vehicle size and weight limitations, drug interdiction, and State traffic safety laws and regulations for the 3 full fiscal years beginning after October 1 of the year 5 years prior to the beginning of each Government fiscal year.

**Length and Time Phasing of Assistance:**

IYes. The funds obligated to a State will remain available for the rest of the fiscal year in which they were obligated and the next full fiscal year. The State must account for any prior year's unexpended funds in the annual Commercial Vehicle Safety Plan (CVSP). Funds must be expended in the order in which they are obligated. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reporting requirements for recipients are outlined in the FMCSA Financial Assistance Agreement General Provisions and Assurances. Program reports consist of quarterly performance progress status and financial reports no later than 30 days following the end of the quarter being reported. Progress Reports include the Performance Progress Report Coversheet (SF-PPR), together with MCSAP Formula SF-PPR Program Monitoring Report attachment. Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-FFR, also known as the SF-425) and at least quarterly submission of the Request of reimbursement form (SF-270). No cash reports are required. A quarterly Activity Report is to be filed with the FMCSA Division Office. SF-425 -- quarterly. A quarterly Activity Report is to be filed with the FMCSA Division Office. Reporting requirements are outlined in the grant agreement terms and conditions and consists of quarterly performance progress status and federal financial reports. Progress Reports include the Performance Progress Report Coversheet (SF-PPR), together with the MCSAP Formula Monitoring Report attachment. Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-FFR, also known as the SF-425) and at least quarterly submission of the Request for Reimbursement form (SF-270). Reports are to be submitted quarterly to the FMCSA Division Office.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipient agrees to comply with the audit requirements of 49 CFR Section 18.26 and OMB Circular A-133, and



any revision or supplement thereto.; (b) an institution of higher education or nonprofit organization agrees to comply with the audit requirements of 49 CFR Section 19.26 and OMB Circular A-133, and any revision or supplement thereto; (c) a private for-profit organization agrees to comply with the audit requirements of OMB Circular A-133. The Recipient agrees to obtain any other audits required by FMCSA. Project closeout will not alter the Recipient's audit responsibilities. Audit costs for Project administration and management are allowable under this Project to the extent authorized by OMB Circular A-87, revised; OMB Circular A-21, Revised; or OMB Circular A-122, Revised. The Recipient agrees to permit FMCSA, the Secretary of Transportation and the Comptroller General of the United States, or their authorized representatives, to inspect all Project work, materials, payrolls, and other data, and to audit the books, records, and accounts of the Recipient and its contractors pertaining to the Project. The Recipient agrees to require each third party contractor whose contract award is not based on competitive bidding procedures as defined by the Secretary to permit the Secretary of Transportation and the Comptroller General of the United States, or their duly authorized representatives, to inspect all work, materials, payrolls, and other data and records involving that contract, and to audit the books, records, and accounts involving that contract as it affects the Project.

**Records:**

The recipient shall retain records related to the approved project for the specified time periods as specified in the grant agreement and 49 CFR 18.42 or 49 CFR 19.53, as applicable. The recipient shall make available to FMCSA copies of all work developed in performance with the grant, including but not limited to software and data.

**Account Identification:**

69-8159-0-7-401.

**Obligations:**

(Salaries) FY 10 \$209,000,000; FY 11 est \$210,392,000; and FY 12 est \$261,910,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: During fiscal year 2010, over 11,000 inspectors conducted more than 3.3 million roadside inspections, more than 6,100 compliance reviews, and over 31,000 new entrant safety audits. Fiscal Year 2011: Data Not Available. Fiscal Year 2012: The FMCSA requested that the Agency's grant funds be consolidated under three umbrella grant programs: (1) Compliance, Safety and Accountability (CSA); (2) Data and Information Technology; (3) and Driver Safety. MCSAP grants are to be included in the CSA grant program. As proposed, the Agency would gain flexibilities and be able to more easily redirect funds from one grant to another.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The fiscal year 2012 MCSAP planning memo, presentation, grant reporting forms, and other useful information pertaining to the program may be obtained from the MCSAP website specified below.

49 CFR Part 350: Commercial Motor Carrier Safety Assistance Program; 49 CFR Part 18: Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments; OMB Circular A-87 Cost Principles for State, Local and Tribal Governments; Grants.gov for finding and applying for grants; Federal Register notice for announcements and information; and Title IV: Motor Carrier Safety of the Safe, Accountable, Flexible Efficient Transportation Equity Act A Legacy for Users (SAFTEA-LU) Section 4101 and 4106.

**Regional or Local Office:**

See Regional Agency Offices. State-level office of the Federal Motor Carrier Safety Administration as listed on the FMCSA website at <http://www.fmcsa.dot.gov/about/contact/offices/displayfieldroster.asp>.

**Headquarters Office:**

Jack Kostelnik 1200 New Jersey Ave., SE  
W63-333  
, Washington, District of Columbia 20590 Email: [jack.kostelnik@dot.gov](mailto:jack.kostelnik@dot.gov)  
Phone: (202) 366-4025 Fax: (202) 366-7980

**Website Address:**

<http://www.fmcsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must meet the statutory and administrative requirements contained in 49 CFR 350. The State Plan must provide for an effective commercial vehicle safety program.

**20.219 RECREATIONAL TRAILS PROGRAM**

Recreational Trails Program

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 104, 206.

**OBJECTIVES:**

To provide funds to the States to develop and maintain recreational trails and trail-related facilities for both nonmotorized and motorized recreational trail uses.

**TYPES OF ASSISTANCE:**

Formula Grants; Formula Grants (Apportionments)

**USES AND USE RESTRICTIONS:**

Funds from this program may be used for: (1) Maintenance and restoration of existing trails; (2) development and rehabilitation of trailside and trailhead facilities and trail linkages; (3) purchase and lease of trail construction and maintenance equipment; (4) construction of new trails (with restrictions for new trails on Federal lands); (5) acquisition of easements or property for trails or trail corridors; (6) assessment of trail conditions for accessibility and maintenance; (7) development and dissemination of publications and operation of educational programs to promote safety and environmental protection (as those objectives relate to one or more of the use of recreational trails, supporting non-law enforcement trail safety and trail use monitoring patrol programs, and providing trail-related training), (limited to 5 percent of a State's funds); and(8) State administrative costs related to this program (limited to 7 percent of a State's funds). Funds may not be used for: property condemnation; constructing new trails for motorized use on National Forest or Bureau of Land Management lands unless the project is consistent with resource management plans; or facilitating motorized access on otherwise non motorized trails. The USDOT encourages States to enter into contracts and cooperative agreements with qualified youth conservation or service corps to perform construction and maintenance of recreational trails under this program. Funds from this program may be used for: (1) Maintenance and restoration of existing trails; (2) development and rehabilitation of trailside and trailhead facilities and trail linkages; (3) purchase and lease of trail construction and maintenance equipment; (4) construction of new trails (with restrictions for new trails on Federal lands); (5) acquisition of easements or property for trails or trail corridors; (6) assessment of trail conditions for accessibility and maintenance; (7) development and dissemination of publications and operation of educational programs to promote safety and environmental protection (as those objectives relate to one or more of the use of recreational trails, supporting non-law enforcement trail safety and trail use monitoring patrol programs, and providing trail-related training), (limited to 5 percent of a State's funds); and(8) State administrative costs related to this program (limited to 7 percent of a State's funds).

**Applicant Eligibility:**

The Governor of each State must designate the State agency or agencies responsible for administering this program. The State must have a State recreational trail advisory committee that represents both motorized and nonmotorized recreational trail users, which shall meet not less than once per fiscal year. The State agency may accept project proposals from private organizations, or from municipal, county, State, or Federal government entities,

and other government entities. The projects must satisfy one or more of the permissible uses.

**Beneficiary Eligibility:**

The State agency designated by the Governor.

**Credentials/Documentation:**

Allowable costs will be determined in accordance with applicable cost principles listed in 49 CFR Part 18.22 for the kind of organization receiving the grant or sub-grant. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Most Recreational Trails Program (RTP) projects qualify as Categorical Exclusions under the National Environmental Policy Act (NEPA). Some projects require Environmental Assessments. Projects that may have a significant environmental impact may require Environmental Impact Statements. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The States must submit project proposals to the FHWA division office located in each State for approval. The State may submit individual projects or consolidate similar projects for the purposes of program approval. FHWA approval constitutes a commitment to pay the Federal share of the project's cost. The State's projects also must be included in State transportation improvement programs and applicable metropolitan transportation improvement programs.

**Award Procedure:**

The State agency or agencies designated by the Governors decide which projects will be developed within funding levels, but the FHWA division office located in each State makes the final decision on the eligibility of specific projects for funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 5 days to 5 months. In some States, requirements for projects to be listed in statewide or metropolitan transportation improvement programs may add up to a year of delay.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 23 U.S.C., Part 104(h) and 206, Public Law 109-59, 23 U.S.C. 104(h)(2) and 206. See <http://www.fhwa.dot.gov/environment/rectrails/legislation.htm>. Matching Requirements: Percent: 80%. The Federal share is subject to a sliding scale under 23 U.S.C. 120(b). Funds from any other Federal program may be used for the non Federal match if the project also is eligible under the other program. Recreational Trails Program funds may be used to match other Federal funds if the project also is eligible under the other program. States also may allow a programmatic match: if some project sponsors in a State provide more match funds than required, other sponsors in the State may provide less. Some in-kind materials and services may be credited toward the project match. States may allow some pre-approval planning and environmental assessment costs toward the project match. See <http://www.fhwa.dot.gov/environment/rectrails/news/dec2005/matchingfunds.htm>.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds generally become available at the beginning of the fiscal year for which they are authorized, and must be obligated within 3 years after the close of that fiscal year. See the following for information on how assistance is awarded/released: The method of money release varies case by case.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project records and documents must be retained by the State for 3 years following the final submission for Federal payment in accordance with 49 CFR 18.41.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$52,908,921; FY 11 est \$60,000,000; and FY 12 est \$0 - FY 2012 -- Continued funding depends on authorization under the Federal surface transportation program. This program is proposed for consolidation with other Federal-aid highway program categories under 20.205, and project eligibility might change. Remaining unobligated balances from prior years may be available.

**Range and Average of Financial Assistance:**

Apportionments to the States are based on statutory formula. All 50 States and the District of Columbia are eligible to receive apportionments. For fiscal year 2008, \$79,160,000 was available; funds ranged from \$776,078 to \$6,037,429; the average was \$1,552,157. For fiscal year 2009, \$84,160,000 was available; funds ranged from \$825,000 to \$4,680,480; the average was \$1,650,196. For fiscal year 2010, \$84,160,000 was available; funds ranged from \$825,098 to \$4,680,480; the average was \$1,650,196. For fiscal year 2011, \$96,825,193 was available; funds ranged from \$1,004,084 to \$5,384,416; the average was \$1,898,533. See [www.fhwa.dot.gov/environment/rectrails/recfunds.htm](http://www.fhwa.dot.gov/environment/rectrails/recfunds.htm).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: States select about 1,000 individual trail and trail-related projects each year. Projects are located on Federal, State, local, and private lands for all kinds of recreational trail uses including projects such as: grooming snow trails, maintaining trails, environmental mitigation to prevent trail-related erosion, constructing urban multiple use trails, developing rail-trails, repairing motorized and nonmotorized trails, constructing and rehabilitating trail bridges, improving trail access for people with disabilities, developing trailside and trailhead facilities, assessing trails for accessibility and maintenance, improving trail information and signs, and providing trail safety patrols and trail-related training. Many projects used youth conservation or service corps. RTP-funded trails enable communities develop safe places to provide trail-related physical activity. Fiscal Year 2011: Similar projects will be completed nationwide. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR, Highways and 49 CFR, Transportation. There are no regulations specifically for this program. Program guidance was completed on April 1, 1999; and is posted at <http://www.fhwa.dot.gov/environment/rectrails/guidance.htm> along with program updates.

**Regional or Local Office:**

See Regional Agency Offices. State-level offices of the Federal Highway Administration (as listed in Appendix IV of the Catalog) or the State agency designated by the Governor to administer this program.

**Headquarters Office:**

Christopher B. Douwes 1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Email: [christopher.douwes@dot.gov](mailto:christopher.douwes@dot.gov) Phone: (202) 366-5013

Fax: ( 202) 366-3409.

**Website Address:**

<http://www.fhwa.dot.gov/environment/rectrails/>

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: States select about 1,000 individual trail and trail-related projects each year. Projects are located on Federal, State, local, and private lands for all kinds of recreational trail uses including projects such as: grooming snow trails, maintaining trails, environmental mitigation to prevent trail-related erosion, constructing urban multiple use trails, developing rail-trails, repairing motorized and nonmotorized trails, constructing and rehabilitating trail bridges, improving trail access for people with disabilities, developing trailside and trailhead facilities, assessing trails for accessibility and maintenance, improving trail information and signs, and providing trail safety patrols and trail-related training. Many projects used youth conservation or service corps. RTP-funded trails enable communities develop safe places to provide trail-related physical activity. Fiscal Year 2011: Similar projects will be completed nationwide. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each State (and the District of Columbia) solicits and selects projects for funding. To be eligible, projects must be selected on the basis of State priorities within the limit of the funds apportioned to each State.

**20.223 TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT (TIFIA) PROGRAM**

(TIFIA Credit Program)

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

TIFIA Infrastructure Finance and Innovation Act of 1998, 23 U.S.C 601-609.

**OBJECTIVES:**

To finance projects of national or regional significance by filling market gaps and leveraging substantial non-Federal and private co-investment. TIFIA credit assistance is intended to facilitate the financing of projects that would otherwise have been significantly delayed because of funding limitations or difficulties accessing the capital markets. Through TIFIA, the DOT provides Federal credit assistance to eligible highway, transit, rail, and intermodal freight projects, including access to seaports.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Highway, transit, rail, freight facilities, and certain port projects may receive credit assistance through the TIFIA program. The TIFIA statute requires all projects receiving TIFIA assistance to comply with 23 U.S.C. (for highway projects) and chapter 53 of 49 U.S.C. (for transit projects), as applicable. In addition, all projects receiving TIFIA assistance must comply with generally applicable Federal laws and regulations, including title VI of the Civil Rights Act of 1964, the National Environmental Policy Act of 1969, and the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970.

**Applicant Eligibility:**

Public or private entities seeking to finance, design, construct, own, or operate an eligible surface transportation project may apply for TIFIA assistance. Examples of such entities include state departments of transportation; local governments; transit agencies; special authorities; special districts; railroad companies; and private firms or consortia that may include companies specializing in engineering, construction, materials, and/or the operation of transportation facilities.

**Beneficiary Eligibility:**

Public or private entities seeking to finance, design, construct, own, or operate an eligible surface transportation project. Examples include state departments of transportation; local governments; transit agencies; special authorities; special districts; railroad companies; and private firms or consortia that may

include companies specializing in engineering, construction, materials, and/or the operation of transportation facilities.

**Credentials/Documentation:**

All applicants must demonstrate relevant experience, strong qualifications, a sound project approach, and a project that can demonstrate financial feasibility. Applicants also must meet various Federal standards for participation in a Federal credit program. For example, applicant may not be delinquent or in default on any Federal debts. Such requirements will be specified in the contractual documents between the DOT and each applicant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For more information, please visit the TIFIA website at <http://www.fhwa.dot.gov/ipd/tifial/>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Upon receiving the DOTs notification that the project meets the basic eligibility criteria, the applicant may submit an application. An application fee, currently \$30,000, must be submitted with the proposal. The application form is available on the TIFIA web site at <http://tifial.fhwa.dot.gov/>.

**Award Procedure:**

Final approval is granted by the Secretary of Transportation.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

After a complete application has been filed with all supporting documents, processing time is approximately 90 days. The average time to execute a TIFIA agreement from the date of Secretarial approval is 1 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum maturity of all TIFIA credit instruments is 35 years after a project's substantial completion. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. See Index of Current Regulations, Federal Highway Administration.

**Records:**

Documentary evidence that may be requested for each project includes: audited financial statements, updated budget and cash flow projections, audit reports, sources and uses of funds, coverage ratios, project schedules, operating statistics, and management updates (within no more than 180 days following the recipient's fiscal year-end). In addition, the credit agreement obligates the borrower to provide the DOT an annual update to the project's financial plan in accordance with specified requirements. Each borrower will be required to give notice to the DOT of material events, including litigation, which could affect

project development or the credit quality of the project.

**Account Identification:**

69-4123-0-3-401; 69-4173-0-3-401; 69-4145-0-3-401.

**Obligations:**

(Salaries) FY 10 \$2,274,000,000; FY 11 est \$1,676,000,000; and FY 12 est \$4,681,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See TIFIA website at [http://www.fhwa.dot.gov/ipd/tifia/legislation\\_regulations/index.htm](http://www.fhwa.dot.gov/ipd/tifia/legislation_regulations/index.htm).

**Regional or Local Office:**

None.

**Headquarters Office:**

Duane Callender, 1200 New Jersey Ave S.E., Room E, Washington, District of Columbia 20590 Phone: (202) 366-9644.

**Website Address:**

<http://tifia.fhwa.dot.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The DOT has assigned specific weights to the selection criteria, as follows: National or Regional Significance (20 percent); Private Participation (20 percent); Environment (20 percent); Project Acceleration (12.5 percent); Creditworthiness (12.5 percent); Use of Technology (5 percent); Consumption of Budget Authority (5 percent); Reduced Federal Grant Assistance (5 percent).

**20.231 PERFORMANCE AND REGISTRATION INFORMATION SYSTEMS MANAGEMENT**

(PRISM)

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, and Efficient Transportation Act: A Legacy of Users (SAFETEA-LU), Part 4109, Public Law 109-109-115, 49 U.S.C 31106 and 31109.

**OBJECTIVES:**

This program links Federal motor carrier safety information systems with State commercial vehicle registration and licensing systems and enables a State to (1) determine the safety fitness of a motor carrier or registrant when licensing or registering the registrant of motor carrier or while the license or registration is in effect; and (2) deny, suspend, or revoke the commercial motor vehicle registrations of a motor carrier or registrant that has been issued an operation out-of-service order by the Federal Motor Carrier Safety Administration (FMCSA).

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Financial assistance to States for the implementation of the PRISM program to (A) comply with the uniform policies, procedures, and technical and operational standards; (B) possess or seek the authority to possess for a time period no longer than determined reasonable by the Secretary, to impose sanctions relating to commercial motor vehicle registration on the basis of a Federal safety fitness determination; and (C) establish and implement a process to cancel the motor vehicle registration and seize the registration plates of a vehicle when an employer is found liable under section 31310 (i)(2)(C) for

knowingly allowing or requiring an employee to operate such a commercial motor vehicle in violation of an out-of-service order. Financial assistance to States for the implementation of the PRISM program to (A) comply with the uniform policies, procedures, and technical and operational standards; (B) possess or seek the authority to possess for a time period no longer than determined reasonable by the Secretary, to impose sanctions relating to commercial motor vehicle registration on the basis of a Federal safety fitness determination; and (C) establish and implement a process to cancel the motor vehicle registration and seize the registration plates of a vehicle when an employer is found liable under section 31310 (i)(2)(C) for knowingly allowing or requiring an employee to operate such a commercial motor vehicle in violation of an out-of-service order. PRISM grants are 100 percent federally funded and require no State matching of funds.

**Applicant Eligibility:**

States (including the District of Columbia).

**Beneficiary Eligibility:**

Eligible applicants include State agencies located in one of the fifty States, the District of Columbia, Puerto Rico, Northern Mariana Islands, American Samoa, Guam, and the U.S. Virgin Islands. Applicants must work on highway traffic safety activities and must demonstrate a capacity to work with highway traffic safety stakeholders.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

As stated in Section 13 of the FMCSA Financial Assistance General Provisions and Assurances, upon execution of the grant agreement recipients agree to comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must register with Grants.gov to apply for funding at: [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). Registration with grants.gov may take up to three weeks before the system will allow access to the grant application package. Applications should be submitted in accordance with the instructions provided and must be submitted electronically to FMCSA through the Grants.gov website.

**Award Procedure:**

The amount of the PRISM grant funding allocated to a qualifying State will be determined by the Federal Motor Carrier Safety Administration (FMCSA) based on the assessed needs of the State, the eligibility of the State, and the availability of funds. Once the State's PRISM Implementation Plan has been approved, the grant will be awarded and the State will be required to sign a grant agreement with FMCSA.

**Deadlines:**

Dec 01, 2011 to Feb 01, 2012: Contact the FMCSA headquarters or regional office, as appropriate, for application deadlines. Information containing notice

of funding availability available on Grants.gov. Not Applicable.

**Range of Approval/Disapproval Time:**

90-120 days of the submission deadline (subject to availability of funds) or as soon thereafter as administratively practicable.

**Appeals:**

Failure to submit a satisfactory PRISM Implementation Plans, as determined by FMCSA and the PRISM technical review panel will be requested to modify and resubmit there revised plan for approval.

**Renewals:**

Renewals to standard assistance agreements, if any, will be in the form of a new grant with a new grant number.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The initial grant period of performance is typically 36 months; grant program extensions are allowable with FMCSAs approval and funds that remain active (no lapse in the period of performance) are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reporting requirements for PRISM recipients are outlined in the grant agreement terms and conditions and consists of quarterly performance progress status and financial reports no later than 30 days following the end of the quarter being reported. Progress Reports include the Performance Progress Report Coversheet (SF-PPR), together with SF-PPR-B\_PRISM attachment. Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-FFR, also known as the SF-425) and at least quarterly submission of the Request of reimbursement form (SF-270). No cash reports are required. Progress reports are required quarterly. SF 425. Performance monitoring reports are submitted in the form of status reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A Recipient that is: (a) a State, local government or Indian tribal government agrees to comply with the audit requirements of 49 CFR Section 18.26 and OMB Circular A-133, and any revision or supplement thereto.; (b) an institution of higher education or nonprofit organization agrees to comply with the audit requirements of 49 CFR Section 19.26 and OMB Circular A-133, and any revision or supplement thereto; (c) a private for-profit organization agrees to comply with the audit requirements of OMB Circular A-133. The Recipient agrees to obtain any other audits required by FMCSA. Project closeout will not alter the Recipient's audit responsibilities. Audit costs for Project administration and management are allowable under this Project to the extent authorized by OMB Circular A-87, revised; OMB Circular A-21, Revised; or OMB Circular A-122, Revised. The Recipient agrees to permit FMCSA, the Secretary of Transportation and the Comptroller General of the United States, or their authorized representatives, to inspect all Project work, materials, payrolls, and other data, and to audit the books, records, and accounts of the Recipient and its contractors pertaining to the Project. The Recipient agrees to require each third party contractor whose contract award is not based on competitive bidding procedures as defined by the Secretary to permit the Secretary of Transportation and the Comptroller General of the United States, or their duly authorized representatives, to inspect all work, materials, payrolls, and other data and records involving that contract, and to audit the books, records, and accounts involving that contract as it affects the Project

**Records:**

The recipient shall retain records related to the approved project for the specified time periods as specified in the grant agreement and 49 CFR 18.42 or 49 CFR 19.53, as applicable. The recipient shall make available to FMCSA

copies of all work developed in performance with the grant, including but not limited to software and data.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Formula Grants) FY 10 \$5,000,000; FY 11 est \$5,000,000; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

Financial assistance averages approximately \$500,000 per State. Funding is determined based upon individual State needs for full implementation of the program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fully implemented PRISM States show improved safety over time compared with other States, indicating PRISM could have contributed to lower crash rates. PRISM States achieve greater success in matching crash and inspection records to DOT numbers. Carriers domiciled in PRISM States with at least some vehicles registered in PRISM States have higher data quality than other States as reflected by more up-to-date MCS-150 reports. Furthermore, PRISM States that use bar-code readers have 20% to 30% higher valid Vehicle Identification Number (VIN) rates than other States. Bar-code readers also reduce the time required to conduct roadside inspections by about one-third the duration of an average inspection. These successes help the States and the US DOT to accurately identify and remove high-risk carriers from our nation's highways. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The PRISM Implementation Guide, Procedures Manual, System Specifications, State Training Materials, and other useful information may be obtained from the PRISM website specified below. Performance and Registration Information Systems Management (PRISM) grants funding authorization was part of the contract authority for information systems codified at 49 U.S.C. 31107.

**Regional or Local Office:**

See Regional Agency Offices. State Division Offices of the Federal Motor Carrier Safety Administration, as listed on the FMCSA website ([www.fmcsa.dot.gov](http://www.fmcsa.dot.gov)).

**Headquarters Office:**

Julie Otto 1200 New Jersey Ave., SE, Washington, District of Columbia 20590  
Email: [julie.otto@dot.gov](mailto:julie.otto@dot.gov) Phone: (202) 366-0710 Fax: (202) 366-7980.

**Website Address:**

<http://www.fmcsa.dot.gov/safety-security/prism/prism.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: PRISM States achieve greater success in matching crash and inspection records to DOT numbers. Carriers domiciled in PRISM States with at least some vehicles registered in PRISM States have higher data quality than other States as reflected by more up-to-date MCS-150 reports. Furthermore, PRISM States that use bar-code readers have 20% to 30% higher valid Vehicle Identification Number (VIN) rates than other States. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must submit a State PRISM Implementation Plan specifying how the State will meet the program requirements, timeframes for completion, and associated costs of the program.

**20.232 COMMERCIAL DRIVER'S LICENSE PROGRAM IMPROVEMENT GRANT**

Commercial Driver License Program Improvement Grant

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 119 Stat. 1144, 49 U.S.C 31311 and 31313.

**OBJECTIVES:**

To achieve the goals of SAFETEA-LU and the FMCSA mission of reducing the number and severity of crashes, fatalities, and injuries involving large trucks and buses by ensuring that States comply with the Federal Motor Carrier Safety Regulations related to commercial drivers license testing, issuance, and disqualification.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

A State may use grants only for expenses directly related to its compliance with 49 USC 31311 (49 CFR Parts 383 and 384); except that a State that is making good faith efforts toward substantial compliance with the requirements of 31311 and 31313 of SAFETEA-LU may use grants to improve implementation of the State's commercial driver's license program, including expenses for computer hardware and software, publications, testing, personnel, training, fraud prevention, and quality control. The grant may not be used to rent, lease, or buy land or buildings. States, local governments, and other persons for projects involving research, development, demonstration projects, public education, and other special activities and projects relating to commercial driver licensing and motor vehicle safety that are of benefit to all jurisdictions of the United States or are designed to address national safety concerns and circumstances. States, local governments, and other persons may use grant funds to address emerging issues relating to commercial driver's license improvements. The grant may not be used to rent, lease, or buy land or buildings. 100% funding; no match required.

**Applicant Eligibility:**

States may receive grant funds to comply with the requirements of section 31311 of SAFETEA-LU or if making good faith efforts toward substantial compliance with the requirements of section 31311 and 31313 receive grant funds to improve implementation of the commercial driver's license program. States, local governments, and other persons for projects involving research, development, demonstration projects, public education, and other special activities and projects relating to commercial driver licensing and motor vehicle safety that are of benefit to all jurisdictions of the United States or are designed to address national safety concerns and circumstances. States, local governments, and other persons may use grant funds to address emerging issues relating to commercial driver's license improvements.

**Beneficiary Eligibility:**

14 - State (includes District of Columbia, public institutions of higher education and hospitals)

15 Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals)

20 Public nonprofit institution/organization

38 other private institutions/organizations

39 anyone/general public.

**Credentials/Documentation:**

Certification by the State that it meets the conditions for grant approval. States must submit a self assessment of their CDL program and agree to maintain CDL program expenditures at a level at least equal to the average of the past two State fiscal years that ended prior to August 10, 2005. Costs will be determined in accordance with OMB Circular A-87. Non-State grantees must adhere to the applicable OMB Circulars. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Detailed application instructions and forms are available on Grants.gov. Applications must be submitted using Grants.gov

**Award Procedure:**

The amount of the CDL grant to a qualifying State will be determined by the CDL Division based on the documented needs of the State and the availability of funds. The Federal Register Notice will outline the current year's priorities. All proposals will be evaluated by a panel to determine which proposals have the greatest impact on the effectiveness of the CDL program in improving highway safety and reducing commercial motor vehicle related fatalities. States will be required to sign a grant agreement. This is a 90 day process.

**Deadlines:**

Aug 01, 2010 to Nov 15, 2010

**Range of Approval/Disapproval Time:**

This is a 90 day process.

**Appeals:**

Not Applicable.

**Renewals:**

Grant period of performance may be renewed without additional funding according to the requirements of the FMCSA Financial Assistance Agreement General Provisions and Assurance and other applicable OMB Circulars and Federal law.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants must be obligated in the same fiscal year that funding is made available. Obligations remain available until expended within the constraints of the FMCSA Financial Assistance Agreement General Provisions and Assurance and other applicable OMB Circulars and Federal law. See the following for information on how assistance is awarded/released: Reimbursement of actual expenditures.

**Reports:**

SF-425 and SF-PPR-B. No cash reports are required. Project activity reports (SF-PPR) must be submitted quarterly to the FMCSA Division office. SF-425. Through reports and site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records of all program activities covered in the grant proposal. Such records must be kept for 3 years following the end of the grant project period.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Salaries) FY 10 Not Available; FY 11 est \$30,000,000; and FY 12 est \$30,000,000

**Range and Average of Financial Assistance:**

\$15,000 - \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Grants awarded for State and non-profit activities related to: improving CDL knowledge and skills testing processes; identification and reduction of fraud vulnerabilities; improvement of State information programming to achieve compliance with Federal regulations related to CDL; improving the accurate, complete, and timely exchange of CDL driver history record information between States; providing training and outreach to court and law enforcement officers on CDL and commercial motor vehicle safety. Fiscal Year 2011: Grants awarded for State and non-profit activities related to: improving CDL knowledge and skills testing processes; identification and reduction of fraud vulnerabilities; improvement of State information

programming to achieve compliance with Federal regulations related to CDL; improving the accurate, complete, and timely exchange of CDL driver history record information between States; providing training and outreach to court and law enforcement officers on CDL and commercial motor vehicle safety. Fiscal Year 2012: Grants will be awarded for State and non-profit activities related to: improving CDL knowledge and skills testing processes; identification and reduction of fraud vulnerabilities; improvement of State information programming to achieve compliance with Federal regulations related to CDL; improving the accurate, complete, and timely exchange of CDL driver history record information between States; providing training and outreach to court and law enforcement officers on CDL and commercial motor vehicle safety.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR Part 383 and 384

**Regional or Local Office:**

None.

**Headquarters Office:**

Jose Rodriguez, 1200 New Jersey Avenue, S.E., W65 Attn: MC-ESL, Washington, District of Columbia 20590 Email: jose.rodriguez@dot.gov Phone: (202) 366-0133.

**Website Address:**

<http://www.fmcsa.dot.gov/safety-security/grants/CDLPI/index.aspx>

**RELATED PROGRAMS:**

20.238 Commercial Drivers License Information System

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: \$25,000,000. Fiscal Year 2011: \$25,000,000. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria include, prior performance of grantee (if applicable), effective use of prior grant funds by grantee (if applicable), cost effectiveness, applicability to announced priorities, ability to support the strategies and activities proposed in the application, use of innovative approaches to achieve program goals, feasibility of overall project proposed, and other grant specific evaluation factors as listed in the grant opportunity announcement on [www.grants.gov](http://www.grants.gov).

**20.233 BORDER ENFORCEMENT GRANTS**

Border Enforcement Grants

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

The Consolidated Appropriations Act of 2010 and Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users, Public Law 109-59, 49 U.S.C 31107.

**OBJECTIVES:**

To ensure motor carriers operating commercial vehicles entering the United States from a foreign country are in compliance with commercial vehicle safety standards and regulations, financial responsibility regulations and registration requirements of the United States, and to ensure drivers of those vehicles are qualified and properly licensed to operate the commercial vehicle.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Assistance is provided to entities and States that share a land border with another country for carrying out border commercial motor vehicle safety programs and related enforcement activities and projects. Grant funds must be expended by September 30, 2012. Assistance is provided to entities and States that share a land border with another country for carrying out border commercial motor vehicle safety programs and related enforcement activities and projects. One hundred percent discretionary funding is available for approved projects.

**Applicant Eligibility:**

Entities and States that share a land border with a foreign country.

**Beneficiary Eligibility:**

States that share a land border with a foreign country (Entities and Accredited public institutions of higher education).

**Credentials/Documentation:**

Maintenance of expenditure certification by the entity or State that it meets the conditions for grant approval and the State agrees that the total expenditure of the amounts of the State and political subdivisions of the State, exclusive of amounts from the United States, for carrying out border commercial motor vehicle safety programs and related enforcement activities and projects will be maintained at a level at least equal to the average level of that expenditure by the State and political subdivisions of the State for the last 2 State or Federal fiscal years ending before October 1, 2005, whichever the State designates. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

File the complete application SF-424, SF-424A and SF424B form, a certification that the State meets all eligibility requirements and a State Border Enforcement Plan, electronically through [grants.gov](http://grants.gov). Information on how to register with [grants.gov](http://grants.gov) and file an application using [grants.gov](http://grants.gov) is available at <http://www.grants.gov/Apply>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. File the SF-424 and SF424A forms, a certification that the State meets all eligibility requirements, and a State Border Enforcement Plan with [grants.gov](http://grants.gov).

**Award Procedure:**

The amount of the award to a qualifying applicant will be based on a panel review of all applications received, recommendations of the panel, and funding availability. The panel will prioritize funding request based on the State or entity's performance on previous BEG awards; their ability to expend the awarded funds within the BEG performance year; and, national criteria established by the FMCSA as follows:

Ensure southern Border States are meeting all Federal requirements to allow access to Mexico-domiciled carriers beyond the border commercial zones, Increase the number of commercial motor vehicle (CMV) safety inspections and commercial driver license(CDL)/operating authority/financial responsibility checks in Border States focusing on international traffic;

Improve the capability to conduct CMV safety inspection at remote and other sites near the border (The list of eligible items in 49 CFR 350.311, relating to the Motor Carrier Safety Assistance Program (MCSAP), should be used as a guide.);

Develop appropriate telecommunication systems and coordination procedures with federal inspection agencies and others (Appropriate telecommunication systems means those that relate directly to the accessing and transfer of CMV safety data and information) including telecommunications systems and other items necessary to implement the International Trade Data Systems (ITDS); Other innovative initiatives designed to improve the compliance status of CMVs, drivers, and carriers entering the United States from Canada or Mexico; Research initiatives focused on cross-border enforcement and related issues; and

Targeted inspections of commercial motor vehicles on corridors where there is a significant amount of international traffic.

Applicants will be required to sign a grant agreement.

**Deadlines:**

Sep 15, 2010 to Aug 31, 2011 Applications for a grant must be filed in [grants.gov](http://grants.gov) by September 15, 2010. If funds remain available after all applications received by September 15, 2010 have been processed, additional applications will be accepted through August 31, 2011, and considered for funding.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. 120 days.

**Appeals:**

Applicants will be notified in writing or via e-mail by the FMCSA Grant

Program Manager if the State or entity's application was not approved. There is no appeal process as funding is discretionary.

**Renewals:**

Eligible applicants must submit a new grant application to receive additional funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The amounts made available under the Border Enforcement Grants Program shall remain available for expenditure for the fiscal year in which they are allocated and for the next fiscal year. Amounts not expended by a State during those two fiscal years are available to the Secretary for reallocation. FY 2011 BEG funds must be expended before October 1, 2012. Method of awarding/releasing assistance: lump sum.

**Reports:**

A quarterly activity report is to be filed with the FMCSA Division Office. A program evaluation report is to be filed with the FMCSA Division Office within 90 days upon completion of the grant program. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records of all programs activities covered in the State's Border Enforcement Plan must be kept for three years after the grant is closed.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$32,000,000; FY 11 est \$32,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Under the BEG program, since FY 2005 over 700,000 CMV inspection, commercial driver license, financiality and operating authority checks have been conducted. Over 100 outreach sessions for Mexican motor carriers seeking authority to operate in the United States have been conducted. Finally, the four southern border states are provided funding to ensure the requirements of Section 350 of the FY 2002 DOT Appropriations Act are in place to allow access to Mexico-domiciled motor vehicles beyond the commercial zones are met. Fiscal Year 2011: Under the BEG program, since FY 2005 over 700,000 CMV inspection, commercial driver license, financiality and operating authority checks have been conducted. Over 100 outreach sessions for Mexican motor carriers seeking authority to operate in the United States have been conducted. Finally, the four southern border states are provided funding to ensure the requirements of Section 350 of the FY 2002 DOT Appropriations Act are in place to allow access to Mexico-domiciled motor vehicles beyond the commercial zones are met. Fiscal Year 2012: Program accomplishments will be consistent and enhance upon those described in current fiscal year above.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR 1.48; 49 CFR 350; 49 CFR 350-399; 49 CFR 100-180; 49 CFR 18. Publications available through the Government Printing Office \$14-\$27 per volume.

**Regional or Local Office:**

See Regional Agency Offices. Division Office of FMCSA as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Carla Vagnini, 1200 New Jersey Ave, SE, Washington, District of Columbia 20590 Email: carla.vagnini@dot.gov Phone: (202) 366-3771.

**Website Address:**

<http://www.fmcsa.dot.gov>.

**RELATED PROGRAMS:**

20.218 National Motor Carrier Safety

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Border inspection activities that ensure motor carriers operating CMVs entering the United States (U.S.) from a foreign country are in compliance with commercial vehicle safety standards and regulations, financial responsibility regulations and registration requirements of the U.S. and to ensure drivers of those vehicles are qualified and properly licensed to operate a CMV. Performing inspection activities focusing on vehicles and drivers operating in foreign commerce. Fiscal Year 2011: See examples of funded projects noted FY2010. Fiscal Year 2012: See examples of funded projects noted FY2011.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must meet the statutory requirements contained in the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Uses (Conference Report 109-203). Additionally the State or entity must submit an electronic application (SF 424, SF 424A, SF 424B and SF-LLL) through grants.gov (<http://www.grants.gov/Apply>) including a Border Enforcement Plan consistent with the national criteria identified by the Federal Motor Carrier Safety Administration and listed above. The Border Enforcement Plan must include the scope, purpose, goals and objectives of the border enforcement program; implementation strategies including projected number of activities to be completed; performance measures; a detailed budget; an evaluation of the previous years border enforcement plan including a comparison of projected activities and the actual number completed to date, if applicable; a program monitoring and evaluation plan; and a sample of the quarterly report the applicant will use to submit to the Federal Motor Carrier Safety Administration. Applications that are missing any of this information will be returned to the applicant for revision and must be resubmitted within 30 days to be considered during the first round of funding. Those received after 30 days will be considered during the second round of funding.

**20.234 SAFETY DATA IMPROVEMENT PROGRAM**

Safety Data Improvement Program(SaDIP)

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Section 4128 of the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) Public Law 109-59, 119 Stat. 1144 (2005), as amended, , Public Law 111-117, 124 Stat. 71 , 49 U.S.C 31102-31104.

**OBJECTIVES:**

The objectives are to fund State programs designed to improve the overall quality of commercial motor vehicle (CMV) data, specifically to increase the timeliness, efficiency, accuracy and completeness of processes and systems related to the collection and analysis of large truck and bus crash and inspection data.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Examples of uses for funding include: hire staff to manage data quality improvement programs, revise outdated crash report forms, hire staff to code and enter safety data, train law enforcement officers in collecting crash data, develop software to transfer data from the State repository SAFETYNET and purchase software for field data collection and data transfer. Examples of uses for funding include: hire staff to manage data quality improvement programs,



revise outdated crash report forms, hire staff to code and enter safety data, train law enforcement officers in collecting crash data, develop software to transfer data from the State repository SAFETYNET and purchase software for field data collection and data transfer. The Federal share of a grant under this section shall be 80 percent of the cost of the activities for which the grant is made.

**Applicant Eligibility:**

A State shall be eligible for a grant under this section in a fiscal year if the Secretary determines that the State has (1) conducted a comprehensive audit of its commercial motor vehicle safety data system within the preceding 2 years; (2) developed a plan that identifies and prioritizes its commercial motor vehicle safety data needs and goals; and (3) identified performance-based measures to determine progress toward those goals.

Eligible applicants include State Departments of Public Safety, Departments of Transportation, or State Law Enforcement Agencies in any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. The term does not include any public and Indian housing agency under United States Housing Act of 1937. (49 CFR Part 18).

**Beneficiary Eligibility:**

Any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. The term does not include any public and Indian housing agency under United States Housing Act of 1937. (49 CFR Part 18).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must register with Grants.gov to apply for funding at: [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

Registration with grants.gov may take two to five days before the system will allow access to the grant application package.

Applications should be submitted in accordance with the instructions provided and must be submitted electronically to FMCSA through the Grants.gov website.

**Award Procedure:**

An evaluation panel will select award recipients based on an overall application score outlined in the application package, the potential for improvement of national Safety data collection and reporting rates, and the total funding available.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

If basic eligibility criteria are met and funds are available, discussion with potential grantees continues until the project plan is mutually acceptable.

**Appeals:**

Appeals will be considered upon demonstration that the proposal meets SaDIP grant eligibility criteria and the State Safety Data Quality measures have been addressed.

**Renewals:**

Renewals or request for extensions to the grant period of performance can be made through the FMCSA State Division Offices.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20.%. The Federal share of a grant under this section shall be 80 percent of the cost of approved eligible activities for which the grant is made; the State share of a grant under this section shall be 20 percent of the cost of the activities for which the grant is made.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The initial grant period of performance is typically 18 months; grant program extensions are allowable and funds are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

The recipient shall submit quarterly reports no later than 30 days following the end of the quarter being reported. The quarterly performance progress report format will be specified in the documentation the recipient will be provided by the Federal government upon notification of an award. No cash reports are required. The recipient shall submit quarterly reports no later than 30 days following the end of the quarter being reported. Recipients are required to file a quarterly Federal Financial Report, SF-425 no later than 30 days following the end of the quarter being reported.. Review of reports and/or site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A Recipient that is: (a) a State, local government or Indian tribal government agrees to comply with the audit requirements of 49 CFR Section 18.26 and OMB Circular A-133, and any revision or supplement thereto.; (b) an institution of higher education or nonprofit organization agrees to comply with the audit requirements of 49 CFR Section 19.26 and OMB Circular A-133, and any revision or supplement thereto; (c) a private for-profit organization agrees to comply with the audit requirements of OMB Circular A-133. The Recipient agrees to obtain any other audits required by FMCSA. Project closeout will not alter the Recipient's audit responsibilities. Audit costs for Project administration and management are allowable under this Project to the extent authorized by OMB Circular A-87, revised; OMB Circular A-21, Revised; or OMB Circular A-122, Revised. The Recipient agrees to permit FMCSA, the Secretary of Transportation and the Comptroller General of the United States, or their authorized representatives, to inspect all Project work, materials, payrolls, and other data, and to audit the books, records, and accounts of the Recipient and its contractors pertaining to the Project. The Recipient agrees to require each third party contractor whose contract award is not based on competitive bidding procedures as defined by the Secretary to permit the Secretary of Transportation and the Comptroller General of the United States, or their duly authorized representatives, to inspect all work, materials, payrolls, and other data and records involving that contract, and to audit the books, records, and accounts involving that contract as it affects the Project.

**Records:**

The recipient shall retain records related to the approved project for the specified time periods as specified in the grant agreement and 49 CFR 18.42 or 49 CFR 19.53, as applicable. The recipient shall make available to FMCSA copies of all work developed in performance with the grant, including but not limited to software and data.

**Account Identification:**

69-8055-0-7-401.

**Obligations:**

(Salaries) FY 10 \$3,000,000; FY 11 est \$3,000,000; and FY 12 est \$0 - This funding may be used to cover State salaries and expenses related to the States efforts toward continuous improvement of the quality of large truck and bus crash and inspection data.

**Range and Average of Financial Assistance:**

Range \$5,000 - \$500,000; Average award \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 42 States achieved good reporting. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 4128 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) established the SaDIP grant opportunity. The legislation provides discretionary funding for States to improve the quality of crash and inspection data for large trucks and buses reported by States to FMCSA, as described in 49 U.S.C. Section 31102. The funding is codified in 49 U.S.C. Section 31104.

#### **Regional or Local Office:**

See Regional Agency Offices. Refer to the FMCSA Field Office Roster at the FMCSA website for your FMCSA State Division Office (<http://www.fmcsa.dot.gov/about/contact/offices/displayfieldroster.asp>).

#### **Headquarters Office:**

Cim Weiss Federal Motor Carrier Safety Administration  
State Programs Division (MC-ESS),  
1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Phone:  
(202) 366-0275

#### **Website Address:**

<http://www.fmcsa.dot.gov/safety-security/grants/grants.aspx>

#### **RELATED PROGRAMS:**

20.218 National Motor Carrier Safety

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The following list provides examples of funded projects:

- hire staff to manage data quality improvement programs;
- hire staff to code and enter CMV safety performance data;
- revise outdated crash report forms;
- develop software to transfer data from the State repository SAFETYNET;
- purchase software for field data collection and data transfer;
- data quality initiatives designed to support the Comprehensive Safety Analysis (CSA) intervention strategies; and
- projects designed to improve the overall quality of the FMCSA MCMIS Census data.

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are defined in the evaluation criteria included with the full application package available on [Grants.gov](http://Grants.gov); criteria are based on the defined goals and objectives included in, and the feasibility and cost effectiveness of, the proposed project plan.

### **20.235 COMMERCIAL MOTOR VEHICLE OPERATOR TRAINING GRANTS**

CMV Operator Grants

#### **FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

#### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 119 Stat. 1738, 49 U.S.C 31301.

#### **OBJECTIVES:**

Promote the safe operation of Commercial Motor Vehicles (CMVs), as defined in 49 U.S.C. 31301, through financial assistance to persons who train current and future drivers in the safe operation of CMVs.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

#### **USES AND USE RESTRICTIONS:**

Expand the number of Commercial Drivers License holders possessing enhanced operator safety training in order to reduce the severity and number of crashes on U.S. roads involving CMV; and assist economically distressed regions of the U.S. by providing workforce training opportunities for qualified individuals to become CMV operators. Applicant must adhere to eligibility criteria and project plan to be considered. Availability of funds are announced on [Grants.gov](http://Grants.gov) ([www.grants.gov](http://www.grants.gov)).

#### **Applicant Eligibility:**

Eligible applicants must be accredited and recognized by the Department of Education.

#### **Beneficiary Eligibility:**

Eligible applicants must be accredited and recognized by the Department of Education.

#### **Credentials/Documentation:**

State government agencies, local government agencies or accredited postsecondary educational institutions must be accredited and recognized by the Department of Education. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

In accordance with the FMCSA Financial General Provisions and Assurances the recipient agrees to comply, as applicable, with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applications must be submitted electronically through [Grants.gov](http://Grants.gov). Detailed application instructions are provided in the [Grants.gov](http://Grants.gov) opportunity announcement and through the Federal Register notice.

#### **Award Procedure:**

The amount of award to a qualified applicant will be at the discretion of FMCSA based upon a panel review of all applications, recommendations of the review panel, and funding availability. Successful applicants will be required to sign a grant agreement with FMCSA.

#### **Deadlines:**

Oct 01, 2011 to Dec 01, 2011 Applications must be filed with an FMCSA Division office or through [Grants.gov](http://Grants.gov) in accordance with FMCSA guidance issued through a Federal Register notice.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Renewals to standard assistance agreements, if any, will be in the form of a new grant with a new grant number. Costs incurred under the previous grant cannot be transferred to the new grant. Residual funds remaining in the previous grant cannot be transferred to the new grant.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. The Federal share of the grant shall not exceed 80 percent of the approved expenditures in the project plan. A 20 percent matching share by the recipient is required.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Grants are available for one year upon execution of the grant agreement. See

the following for information on how assistance is awarded/released: upon execution of the grant agreement (electronic signature).

**Reports:**

Reporting requirements for CMV-OST recipients are outlined in the grant agreement terms and conditions and consists of quarterly performance progress status and financial reports. Progress Reports include the Performance Progress Report Coversheet (SF-PPR), together with SF-PPR-B attachment. Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-FFR, also known as the SF-425) and at least quarterly submission of the Request of reimbursement form (SF-269). Reports are to be submitted quarterly to the FMCSA Headquarters. No cash reports are required. Quarterly activity and financial reports are required to be filed with the FMCSA Headquarters. Quarterly activity and financial reports are required to be filed with the FMCSA Headquarters. Quarterly activity and financial reports are required to be filed with the FMCSA Headquarters.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Completion of the FMCSA Administrative Capability Questionnaire for Non-Profit Organizations.

**Records:**

Records of all program activities, including financial and programmatic records, statistical records and any other records, covered in the approved project plan must be kept for a period of three (3) years after the close of the grant.

**Account Identification:**

69-8159-0-7-401.

**Obligations:**

(Salaries) FY 10 \$1,000,000; FY 11 est \$1,000,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 4134 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act Legacy for Users (SAFETEA-LU, Public Law 109-59), 49 U.S.C. 31301, Office of Management and Budget (OMB) Circulars A-87 (Cost Principles for State, Local, and Indian Tribal Governments), A-21 (Cost Principles for Educational Institutions), or A-122 (Cost Principles for Non Profit Organizations), depending upon applicant type.

**Regional or Local Office:**

None.

**Headquarters Office:**

Arthur Williams 1200 New Jersey Ave S.E.  
W63-460, Washington, District of Columbia 20590 Email:  
Arthur.williams@dot.gov Phone: (202) 366-7980

**Website Address:**

<http://www.fmcsa.dot.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select proposals includes:

Is the applicant an accredited training institution or institution of higher education?

Does the applicant have a valid training program?

Does the applicant serve an economically distressed area?

Does the applicant target the unemployed and underemployed?

Does the applicant provide job placement opportunities for the drivers?

Does the applicant have a monitoring and evaluation program in place?.

**20.237 COMMERCIAL VEHICLE INFORMATION SYSTEMS AND NETWORKS**

**CVISN**

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act Legacy for Users (SAFETEA LU), Section 4126, Public Law 109-59, 119 Stat. 1738, 49 U.S.C 31104(C)(4).

**OBJECTIVES:**

The CVISN grant program provides financial assistance to eligible States to (1) improve the safety and productivity of commercial vehicles and drivers; and (2) reduce costs associated with commercial vehicle operation and federal and State commercial vehicle regulatory requirements. The program shall advance the technological capability and promote the deployment of intelligent transportation system applications for commercial vehicle operations, including commercial vehicle, commercial driver, and carrier-specific information systems and networks.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

CVISN funds for Core Deployment may only be used for the core deployment of systems in a State necessary to provide the State with the capabilities in accordance with SAFETEA-LU Section 4126(g)(3).

CVISN funds for Expanded Deployment may only be used for the deployment of systems in a State that exceed the requirements of a core deployment of CVISN, improve safety and the productivity of commercial motor vehicle operations, and enhance transportation security. In accordance with SAFETEA-LU section (c)(2), the maximum aggregate amount of grants awarded to a State for the core deployment of CVISN may not exceed \$2,500,000.

In accordance with SAFETEA-LU Section 4126(d), for each fiscal year FMCSA will first consider applications for the core deployment of CVISN. After FMCSA has awarded grants for core deployment of CVISN, then FMCSA may distribute funds available for Expanded Deployment grants equally among the eligible State applicants, but not to exceed \$1,000,000. The FMCSA will reimburse up to 50 percent of eligible costs.

**Applicant Eligibility:**

The agency in each State designated as the primary agency responsible for the development, implementation and maintenance of a CVISN-related system is eligible to apply for grant funding.

**Beneficiary Eligibility:**

Eligible applicants include State Departments of Public Safety, Departments of Transportation, or State Law Enforcement Agencies in any of the fifty States and the District of Columbia.

**Credentials/Documentation:**

In accordance with the provisions of SAFETEA-LU Section 4126(e), to be eligible for a CVISN grant a State: (1) shall have a CVISN program plan approved by the FMCSA that describes the various systems and networks at the State level to accomplish deployment of core capabilities; (2) shall certify that its commercial vehicle information systems and networks deployment activities, including hardware procurement, software and system development, and infrastructure modifications (a) are consistent with the national intelligent transportation systems and commercial vehicle information systems and networks architectures and available standards; and (b) promote interoperability and efficiency to the extent practicable; and (3) shall agree to execute interoperability tests developed by the FMCSA to verify that its systems conform with the national intelligent transportation systems architecture, applicable standards, and protocols for commercial vehicle information systems

and networks. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Upon execution of the grant agreement the recipient agrees to comply, as applicable, with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205). An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Title 49 of the Code of Federal Regulation Part 18, 19, and 20, DOT Regulations for grants, cooperative agreements and other agreements and the OMB Circular A-87 or 2 CFR Part 225, Applicability of Cost Principles.

**Award Procedure:**

90-120 days of the submission deadline (subject to availability of funds) or as soon thereafter as administratively practicable.

**Deadlines:**

Dec 01, 2011 to Feb 01, 2012

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Contingent upon Agency funding levels.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals or request for extensions to the grant period of performance are available.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. FMCSA will reimburse up to 50 percent of eligible costs, in accordance with SAFETEA-LU section 4126(f). Additional information can be found in 49 CFR Part 18 and in 2 CFR Part 225 (supersedes OMB Circular A-87). This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The funds are available for expenditure as stipulated in the grant agreement and the terms and conditions. See the following for information on how assistance is awarded/released: Request for reimbursement.

**Reports:**

Reporting requirements are outlined in the grant agreement terms and conditions and consist of quarterly performance progress status and financial reports. Progress Reports include the Performance Progress Report Coversheet (SF-PPR). Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-425). SF-425. Reporting requirements are outlined in the grant agreement terms and conditions and consist of quarterly performance progress status and financial reports. Progress Reports include the Performance Progress Report Coversheet (SF-PPR). Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-425). SF-425. Through financial and progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with A-133 requirements

**Records:**

Upon request, the State will provide copies of technical documents and/or procurement documents to FMCSA.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Salaries) FY 10 \$4,500,000; FY 11 est \$25,000,000; and FY 12 est \$25,000,000

**Range and Average of Financial Assistance:**

Awards range from \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Currently there are 23 States that have completed all the Core requirements and 50 States and the District of Columbia have deployed Core functionalities. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Background information and planning materials can be found at the FMCSA web site, [www.fmcsa.dot.gov](http://www.fmcsa.dot.gov).

**Regional or Local Office:**

See Regional Agency Offices. ISee regional agency offices: States may contact their States FMCSAs Division Administrator.

**Headquarters Office:**

Jose Rodriguez, 1200 New Jersey Avenue, S.E., W63-411 Attn: MC-ESL, Washington, District of Columbia 20590 Email: [jose.rodriguez@dot.gov](mailto:jose.rodriguez@dot.gov) Phone: (202) 366-0133.

**Website Address:**

<http://http://www.fmcsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Consistency with the national Information Technology Systems and CVISN architecture and standards;  
Consistency with Program Plan and Top Level Design approved by FMCSA;  
Agreement to incorporate interoperability and efficiency to the extent practicable; and  
Agree with reporting and programming oversight requirements contained in the grant program agreement.

**20.238 COMMERCIAL DRIVERS LICENSE INFORMATION SYSTEM (CDLIS) MODERNIZATION GRANT**

Commercial Drivers License Information System (CDLIS) Modernization Grant

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 119 Stat. 1144, 49 U.S.C 31309.

**OBJECTIVES:**

To modernization the Commercial Driver's License Information System

(CDLIS). Following modernization CDLIS will: (1) comply with applicable Federal information technology security standards; (2) provide for the electronic exchange of all information including the posting of convictions; (3) contain self auditing features to ensure that data is being posted correctly and consistently by the States; and (4) integrate the commercial driver's license and the medical certificate.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

A State may use grants only for expenses directly related to modernizing its CDLIS to be compatible with the modernized CDLIS under section 31309 of title 49, United States Code. A grant to a State may not be for more than 80 percent of the costs incurred by the State in a fiscal year in modernizing CDLIS of the State to be compatible with the modernized CDLIS under section 31309 of title 49, United States Code. Non-State grantees may use funds for projects that are national in scope and that are directly related to helping States comply with modernization of their CDLIS programming. Grant funds may not be used to rent, lease, or buy land or buildings. 80% funding; 20% match funding required.

**Applicant Eligibility:**

A State may use grants only for expenses directly related to modernizing its CDLIS to be compatible with the modernized CDLIS under section 31309 of title 49, United States Code. A grant to a State may not be for more than 80 percent of the costs incurred by the State in a fiscal year in modernizing CDLIS of the State to be compatible with the modernized CDLIS under section 31309 of title 49, United States Code.

Non-State grantees may use funds for projects that are national in scope and that are directly related to helping States comply with modernization of their CDLIS programming.

**Beneficiary Eligibility:**

14 - State (includes District of Columbia, public institutions of higher education and hospitals)

36 Private nonprofit institution/organizations.

**Credentials/Documentation:**

Certification by the State that it meets the conditions for grant approval. States must agree to administer their Commercial Drivers License Information System programming in accordance with the documentation and requirements established by the American Association of Motor Vehicle Administrations (AAMVA FMCSAs designated operator of CDLIS). Costs will be determined in accordance with OMB Circular A-87. Non-State grantees must adhere to the applicable OMB Circular. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Detailed application instructions and forms are available on Grants.gov. Applications must be submitted using Grants.gov.

**Award Procedure:**

The amount of the CDL Modernization grant to a qualifying state will be determined by the CDL Division based on the availability of funds and the eligibility of the State. The Grants.gov announcement will outline the current year's priorities. All proposals will be evaluated by a panel to determine which proposals have the greatest impact on the effectiveness of the CDLIS Modernization program. States will be required to sign a grant agreement. Between 90-120 days.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grant period of performance may be renewed without additional funding according to the requirements of the FMCSA Financial Assistance Agreement General Provisions and Assurance and other applicable OMB Circulars and Federal law.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20%. A 20% match required.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants must be obligated in the same fiscal year that funding is made available. Obligations remain available until expended within the constraints of the FMCSA Financial Assistance Agreement General Provisions and Assurance and other applicable OMB Circulars and Federal law. See the following for information on how assistance is awarded/released: Reimbursement of actual expenditures.

**Reports:**

SF-425 and SF-PPR-B. No cash reports are required. Quarterly activity reports are to be filed with the FMCSA Division office. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records of all program activities covered in the grant proposal and records of all expenditures for which the grantee requests reimbursement. Such records must be kept for three years following the end of the grant project period.

**Account Identification:**

69-8055-0-7-401.

**Obligations:**

(Salaries) FY 10 \$8,000,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$15,000 - \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: As of fiscal year 2010, the program has helped jurisdictions begin taking steps to achieve compliance with the specifications of the modernized Commercial Drivers License Information System (CDLIS) in preparation for the implementation deadline of January 30, 2012. Fiscal Year 2011: FMCSA will not award any funds under this CFDA number in FY2011. Fiscal Year 2012: FMCSA will not award any funds under this CFDA number in FY2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR Part 383 and 384; Commercial Drivers License Information System Specifications (Release 5.1); State Procedures Manual (Release 5.1), AAMVA Code Dictionary (Release 3.1.0).

**Regional or Local Office:**

None.

**Headquarters Office:**

Jose Ross 1200 New Jersey Avenue, S.E., W65 -Attn: MC-ESL, Washington , District of Columbia 20590 Email: james.ross@dot.gov Phone: (202) 366-0133.

**Website Address:**

<http://www.fmcsa.dot.gov/safety-security/grants/CDLIS/index.aspx>

**RELATED PROGRAMS:**

20.232 Commercial Driver License State Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: I. Funds to support programming necessary to achieve State compliance with the programming requirements of the modernized Commercial Drivers License Information System; includes upgrading of State communication and programming protocol to comply with Federal information security standards, improvement of State data quality, improvements to Change State of Record process for license transfers, and integration of the Medical Certificate into the CDL Driver History Record. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria include, prior performance of grantee (if applicable), effective use of prior grant funds by grantee (if applicable), cost effectiveness, applicability to announced priorities, ability to support the strategies and activities proposed in the application, use of innovative approaches to achieve program goals, feasibility of overall project proposed, and other grant specific evaluation factors as listed in the grant opportunity announcement on [www.grants.gov](http://www.grants.gov).

**20.239 MOTOR CARRIER RESEARCH AND TECHNOLOGY PROGRAMS**

Not Applicable

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Surface Transportation Assistance Act of 1982, Public Law 97-242; Motor Carrier Safety Act of 1992, Public Law 102-240; Transportation Equity Act for the 21st Century, 49 U.S.C 31108.

**OBJECTIVES:**

The Analysis Research and Technology (ART) Office administers FMCSA Research and Technology (R&T) Program. Through the R&T program, FMCSA seeks to reduce the number and severity of crashes to reduce injuries and fatalities contributing to a safe and secure commercial transportation network. The R&T program is targeting crashes involving CMVs and the efficiency of CMV operations through conducting systematic studies directed toward fuller scientific discovery, knowledge, or understanding, adopting, testing, and deploying innovative driver, carrier, vehicle, and roadside best practices and technologies, and expanding the knowledge and portfolio of deployable technology. The development, testing, and deployment of simple and advanced innovative driver/vehicle technologies and integrated IT solutions support the Agency's priorities by demonstrating new roadside safety technologies and operational concepts, accelerating the deployment of vehicle-based and other safety and security technologies. Also by managing IT projects that integrate data collected and exchanged by various information systems and networks, and providing technical support and assistance to States and the motor carrier industry. The R&T Program has a number of projects directed towards driver behavior, as well as vehicle and carrier safety. The R&T Program also supports information-based safety and security projects. In addition, the support extends to FMCSA programs, specifically, enforcement (HM safety and bus safety), policy (regulations and medical qualifications), and outreach.

The R&T programs strategic objective Produce Safer Drivers supports the FMCSAs "Safety Goal. The ART Office will continue to evaluate the most critical driver risk factors through the Case-Control Commercial Driver Individual Differences Study. The factors include demographic characteristics, medical conditions, personality traits, attitudes, work environmental conditions, and behavioral history. A medical examination and battery of psychological and behavioral history measures will be administered to as many as 21,000 CMV drivers. The ART Office continues research to determine the effectiveness different restart provisions in the hours of service regulations (HOS) governing CMV drivers in restoring performance.

The R&T programs strategic objective Improve Safety of Commercial Motor Vehicles supports the FMCSAs "Safety Goal by continuing research aimed at accelerating the deployment of vehicle-based, and other safety and security technologies to reduce crashes. The ART Office will continue conducting fast-turnaround and independent evaluation of promising safety technologies aimed at commercial vehicle operations. FMCSA funding will be used for the

evaluation, and the technology developer will partner with the Agency to provide the technology for testing. The FMCSA envisions that individual test and evaluation programs could be completed in 612 months. This program should greatly reduce both the time and the resources required to conduct independent evaluations of potentially life-saving safety technologies. The ART Office will continue a DOT multimodal (NHTSA, FMCSA) sponsored study of collecting and analyzing data on bus and motor coach fires. The study will conduct detailed engineering root cause analyses to determine the causes of bus and motor coach fires.

The R&T programs strategic objective Produce Safer Carriers supports the FMCSAs "Safety Goal by continuing programs aimed at producing science-based regulations to advance the Agency's strategic and policy goals. This research will support rulemaking activities by gathering and consolidating research for inclusion into the Agency's rulemakings and required analyses. The ART Office will continue to evaluate the Effectiveness of Fostering Safety Culture in Motor Carriers. This study will use the Service Corps of Retired Executives (SCORE) to help new entrant motor carriers to foster development of a culture for making daily operating decisions based on both good business practices and FMCSA regulatory requirements.

The R&T programs strategic objective Advance Safety through Information-Based Initiatives supports the FMCSA strategic objective Commercial Motor Vehicle Safety and the DOT strategic objective Safety by continuing programs aimed at assuring interoperability of systems supporting safety, security, and productivity and providing technical assistance to States. The ART Office will continue Roadside/On-Board Safety Technology Countermeasures/Wireless Inspection Pilot Test. This study will evaluate the safety benefits of a state-wide wireless inspection network where drivers logs and vehicle fault codes are electronically checked on a weekly basis.

The R&T programs strategic objective Enable and Motivate Internal Excellence supports the FMCSAs strategic goal of Organizational Excellence by improving performance to serve the customers of the ART Office more effectively and economically. The ART Offices has a long-standing partnership with the National Academies of Sciences TRB, which will be broadened to increase TRBs participation and expertise in FMCSAs analysis, research, and technology programs. Specific joint activities include publishing truck and bus synthesis reports and special reports, conducting conferences, and publishing reports from the Innovations Deserving Exploratory Analysis (IDEA) program.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants; Project Grants (Contracts)

**USES AND USE RESTRICTIONS:**

Funds are typically competitively awarded via request for proposals for contracts. Cooperative agreements are typically competitively awarded via [GRANTS.gov](http://GRANTS.gov). Funding shall be used in accordance with the requirements identified in each research or technology projects. Projects shall be authorized to meet the objectives of FMCSA. Funds shall be used in accordance with the requirements identified in each projects. Projects shall be authorized to meet the objectives of FMCSA.

**Applicant Eligibility:**

Government - General, Interstate, State (includes District of Columbia, public institutions of higher education and hospitals), Sponsored organization, Individual/Family, Profit organization, Private nonprofit institution/organization (includes institutions of higher education and hospitals).

**Beneficiary Eligibility:**

Federal, State, Local, Sponsored organization, Public nonprofit institution/organization, Other public institution/organization, individual/Family, Profit organization, Private nonprofit institution/organization.

**Credentials/Documentation:**

Applicants are required to satisfy all DOT/FMCSAs standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Submission of the standard forms as required by [grants.gov](http://grants.gov) and any special information required by each project. Environmental impact information is not

required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Completed cooperative agreement proposals shall include the appropriate SF 424 suite of forms, Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug Free Workplace Requirements, Lobbying Statements; and any other certifications required by the project.

**Award Procedure:**

Awards will be made on the basis of proposal evaluations and in accordance with the provisions in each project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval/Disapproval times will be identified in each cooperative agreement.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the DOT/FMCSA.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Agreements are usually 12 to 36 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. SF-270. Reports are due in accordance with the terms and conditions of the award. SF-425. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial and programmatic records, supporting documents, statistical records, and other records of grantees or sub-grantees generally should be retained by all parties for three years. If any litigation, claim, negotiations, audit or other action involving the record has been started before the expiration of the three year period, the records must be retained until completion of the action and resolution of all issues, or until the end of the regular three year period, whichever is later.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Project Grants) FY 10 \$8,543,000; FY 11 est \$8,586,000; and FY 12 est \$8,586,000

**Range and Average of Financial Assistance:**

The range is between \$100k and \$3 million; the average is approximately \$400k.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Promoted and Advanced New Research Solutions to Improve CMV Safety, R&T oversee the development six (6) new studies, these include: (1) Case-Control Commercial Driver Individual Differences Study

(CDIDS); (2) HM Safety and Security Routing Model; (3) Small Business Innovative Research (SBIR) Phase II project to develop a multi-variable drowsy driver mitigation system (DDMS); (4) Phase II SBIR project to develop a technology to require safety belt use by CMV drivers. (5) Phase II 34 hours Restart Study; (6) Investigating Safety-Critical Events as a Function of Work Hour.

Managed to Completion Research Initiatives to Improve CMV Safety. Research Division oversaw the completion of a total of 9 research projects. (1) Crash Analysis using Naturalistic Driving Data and Large Truck Crash Causation (LTCCS) data; (2) Pilot Test of Low Cost Onboard Monitoring System (DriveCam) to Improve Driver Performance; (3) Investigation into Motor Carrier Practices to Achieve Optimal CMV Driver Performance; (4) Heavy Truck Ergonomics to Reduce Fatigue and Improve Driver Health and Performance; (5) Synthesis of Literature & Operating Safety Practices Relating to Cell Phone/PDAs Use in Commercial Truck and Bus Operations; (6) Driver Distraction in Commercial Trucks and Buses: Assessing Prevalence in Conjunction with Crashes and Near-crashes; (7) Identify Factors That Affect the Service Life of Cargo Tanks; (8) Efficacy of Web-Based Instruction for Training CMV Regulations and Best Practices study and; (9) Simulator Validation Study, Phase II Empirical Evaluation. One of these studies was initiated and completed during the rating period. Fiscal Year 2011: To promote and advance research solutions to improve CMV driver performance, R&T developed 7 new innovative research studies : (1) Simulator to Naturalistic Driving Study; (2) Identifying Sleep Disorders in CMV Drivers; (3) Nurse Tank Research, Phase II ; (4) Performance-Based Testing of Driving Skills/Capability; (5) Effectiveness Analysis of the New Safety Training Program; (6) Impact of HW programs at Improving Driver Health and; (7) Driver Distraction in Commercial Trucks and Buses: Continuing Analysis. The research division also completed the OMB documentation for three surveys (1) Driver Training Survey; (2) Driver HOS Survey; and (3) Drivers surveys for the Onboard Monitoring Field Operational Test. The research division also provided funding and support developing the documentation for collecting names and addresses for CDL holders. This effort is vital for collection of future surveys of CMV drivers.

The research division published a total of 9 research study reports that have proven invaluable to FMCSA's safety mission and the regulatory agenda: (1) The Impact of Driving, Non-Driving Work, and Rest Breaks on Driving Performance in CMV Operations; (2) HOS and Driver Fatigue: Driver Characteristics Research; (3) CMV Driving Simulator Validation Study: Phase II; (4) Entry-Level Training of CMV Drivers; (5) An Assessment of Driver Drowsiness, Distraction, and Performance in a Naturalistic Setting; (6) Improving Heavy-Duty Diesel Truck Ergonomics to Reduce Fatigue and Improve Driver Health and Performance; (7) Investigation into Motor Carrier Practices to Achieve Optimal CMV Driver Performance: Phase I; (8) Duration Restart Period Needed to Recycle with Optimal Performance: Phase II and; (9) Distraction in Commercial Trucks and Buses: Assessing Prevalence and Risk in Conjunction with Crashes and Near-Crashes. Five of these studies were used immediately for the HOS rulemaking.

The research division managed the conduct of International Conference on CMV Driver Health and Wellness. The Conference, held November 8th-10th, 2010 in Baltimore MD, was by all measures a huge success. Over 200 active participating attendees made the presentations and considerable interactive sessions both educational and thought-provoking. In post Conference questionnaires administered to the registrants, several prominent attendees indicated it was one of the most informative and well-run conferences they had ever attended. The research division supported the 2011 Driving Assessment Conference. This conference is focused on providing an interdisciplinary forum for scientific exchange between users of driving assessment tools, applications and technology. Fiscal Year 2012: R&T has requested a total of \$8,586,000. These funds will support the following projects: Produce Safer Drivers: Ensure that commercial drivers are physically qualified, trained to perform safely, and mentally alert Onboard Monitoring Field Operational Test. (FOT) Impact of Driver Compensations on CMV Safety Update the Model Training Curriculum for Motorcoaches Drivers Performance-Based Testing of Driving Skills/Capability Random Roadside Drug Testing Analysis Effectiveness Analysis of the FMCSA New Safety Training Program

Individualized Fatigue Risk Management in Trucking Operations (SBIR)  
 Driver Distraction - Evaluation of the Risks Posed by Electronic Devices (new)  
 Expert Panel Report Review of HOS for Passenger Carrier Operations (new)  
 Effect of Detention Times on CMV Driver Fatigue (new)  
 Study of Individual Driver Factors that make them Vulnerability to Fatigue (new)  
 Produce Safer Carriers: Support efforts to improve carrier safety by applying safety management principles, compiling best management practices, communicating best practices, and supporting the Agency's enforcement of carrier-related regulations.  
 Research to Support FMCSA Rulemaking Activities  
 North American Fatigue Management Program (NAFMP)  
 Safety Data Risk Study - Phase III  
 Effectiveness of the FMCSA Comprehensive Safety Analysis 2010 Training (new)  
 Improve Safety of Commercial Motor Vehicles: Improve truck and motorcoach performance through vehicle-based safety technologies and infrastructure.  
 FMCSA Advanced System Testing Data Acquisition System on the Highways (FAST DASH) Program  
 Hazardous Materials (HM) Navigation System (Phase I - SBIR) (new)  
 Study of Alternatives Methods to Reduce Driver Exposure to Diesel Exhaust PM2.5 (new)  
 Cross-Cutting Safety Initiatives: Research that may impact multiple dimensions of truck safety including driver, vehicle, and/or carrier safety issues. Such research is often focused on: providing better safety data to aid in identifying problem areas; increasing the understanding of the costs, benefits, and operational impacts of regulations; improving information sharing among various stakeholders; and/or is focused on various security, hazmat, or sustainability (environmental stewardship) issues.  
 TRB/FMCSA Partnerships  
 Annual Driver Survey  
 Commercial Drivers License Information System (CDLIS) Traffic Conviction Data Quality.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 USC 31108, " Motor Carrier Research and Technology Program" OMB Circular A-122; OMB Circular A-21; and OMB Circular A-97; and 48 CFR Part 31.

**Regional or Local Office:**

None.

**Headquarters Office:**

Martin Walker, 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Email: martin.r.walker@dot.gov Phone: (202) 366-2364.

**Website Address:**

<http://www.fmcsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Innovative research projects related to CMV and driver safety and security activities. Projects included the following:  
 Annual Driver Survey (R)  
 CDL 3rd Party Testing Anti-Fraud Software (T)  
 Employer Notification Service, Phase III (T)  
 Motor Carrier Practices to Achieve Optimal CMV Driver Performance (R)  
 Safety Data Risk Study: Phase III (R)  
 SmartPark: Real-time Parking Availability (T)  
 Wireless Roadside Inspection (T)  
 Enhanced Rear Signaling Field Operational Test (T)  
 Indirect Viewing System Field Test: Phase III (T)  
 Safety and Security Technology Deployment (T)  
 Improve Safety of CMVs Subtotal  
 Research to Support FMCSA Rulemaking Activities (R)  
 Effectiveness of CDLIS data via NLETS (R)  
 National CVISN Deployment Program, Support for Expanded Capabilities (T)  
 Training Interventions to Prevent Hazardous Material Rollovers (R)  
 FMCSA CMV Roadside Technology Corridor (T)

TRB/FMCSA Partnerships (R). Fiscal Year 2011: 1. Produce Safer Drivers Annual Driver Survey (R)  
 CDL Third-Party Testing Anti-Fraud Software (T)  
 North American Fatigue Management Program, Phase IV (R)  
 Advanced Fatigue Modeling for Individual differences, Phase II (R)  
 Onboard Monitoring Field Operational Test (R)  
 Safety Data Risk Study, Phase III (R)  
 SmartPark: Real-time Parking Availability (T)  
 Wireless Roadside Inspection Pilot Test (T)  
 Impact of Driver Compensation on CMV Safety (R)  
 Hazardous Material Navigation System, Phase I (SBIR) (R)  
 Performance-Based Testing of Driving Skills/Capability (R)  
 Random Roadside Drug Testing Analysis (R)  
 2. Improve Safety of CMVs  
 Natural Gas Fuel Systems (T)  
 Performance Standards for Onboard Safety Technologies (T)  
 Smart Infra-Red Inspection System (SIRIS) (T)  
 FMCSA Advanced System Testing utilizing Data Acquisition System on the Highways Program (R)  
 3. Produce Safer Carriers  
 Effectiveness Analysis of the New Safety Training Program (R)  
 Research to Support FMCSA Rulemaking Activities (R)  
 4. Information-Based Initiatives  
 CDLIS Traffic Conviction Data Quality (R)  
 National CVISN Deployment Program (T)  
 5. Enable and Motivate Internal Excellence  
 TRB/FMCSA Partnerships (R). Fiscal Year 2012: Produce Safer Drivers: Ensure that commercial drivers are physically qualified, trained to perform safely, and mentally alert.  
 Onboard Monitoring Field Operational Test. (FOT)  
 Impact of Driver Compensations on CMV Safety  
 Update the Model Training Curriculum for Motorcoaches Drivers  
 Performance-Based Testing of Driving Skills/Capability  
 Random Roadside Drug Testing Analysis  
 Effectiveness Analysis of the FMCSA New Safety Training Program  
 Individualized Fatigue Risk Management in Trucking Operations (SBIR)  
 Driver Distraction - Evaluation of the Risks Posed by Electronic Devices (new)  
 Expert Panel Report Review of HOS for Passenger Carrier Operations (new)  
 Effect of Detention Times on CMV Driver Fatigue (new)  
 Study of Individual Driver Factors that make them Vulnerability to Fatigue (new)  
 Produce Safer Carriers: Support efforts to improve carrier safety by applying safety management principles, compiling best management practices, communicating best practices, and supporting the Agency's enforcement of carrier-related regulations.  
 Research to Support FMCSA Rulemaking Activities  
 North American Fatigue Management Program (NAFMP)  
 Safety Data Risk Study - Phase III  
 Effectiveness of the FMCSA Comprehensive Safety Analysis 2010 Training (new)  
 Improve Safety of Commercial Motor Vehicles: Improve truck and motorcoach performance through vehicle-based safety technologies and infrastructure.  
 FMCSA Advanced System Testing Data Acquisition System on the Highways (FAST DASH) Program  
 Hazardous Materials (HM) Navigation System (Phase I - SBIR) (new)  
 Study of Alternatives Methods to Reduce Driver Exposure to Diesel Exhaust PM2.5 (new)  
 Cross-Cutting Safety Initiatives: Research that may impact multiple dimensions of truck safety including driver, vehicle, and/or carrier safety issues. Such research is often focused on: providing better safety data to aid in identifying problem areas; increasing the understanding of the costs, benefits, and operational impacts of regulations; improving information sharing among various stakeholders; and/or is focused on various security, hazmat, or sustainability (environmental stewardship) issues.  
 TRB/FMCSA Partnerships  
 Annual Driver Survey  
 Commercial Drivers License Information System (CDLIS) Traffic



Conviction Data Quality.

**CRITERIA FOR SELECTING PROPOSALS:**

It's based on the cost of the project, qualification of principal investigator and institution, relevance to program's objectives and uses, or merit.

**20.240 FUEL TAX EVASION-INTERGOVERNMENTAL ENFORCEMENT EFFORT**

(Fuel Tax Evasion-Intergovernmental Enforcement Efforts)

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C.

**OBJECTIVES:**

To increase intergovernmental activities and enforcement efforts among public agencies to reduce Federal fuel tax evasion. Funds made available shall be used only to expand or enhance intergovernmental efforts to increase motor fuel tax enforcement and payments; to supplement motor fuel tax examinations and criminal investigations; and to increase research and training in the area of Federal fuel tax evasion.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Any funds administered under this program shall be used in accordance with the specifications in OMB Circular A-87, Cost Principles Applicable to State, local and Indian Tribal Governments. Any funds administered under this program shall be used in accordance with the specifications in OMB Circular A-87, Cost Principles Applicable to State, local and Indian Tribal Governments. The funds must be used only in efforts directly related to the reduction of fuel tax evasion.

**Applicant Eligibility:**

States, the District of Columbia, U.S. Territories and possessions, other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, and the Federated States of Micronesia.

**Beneficiary Eligibility:**

States, the District of Columbia, U.S. Territories and possessions, other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, and the Federated States of Micronesia.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit all proposals electronically through [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Awards were scheduled to be made annually through fiscal year 2009. With the extension of SAFETEA-LU through FY 2011, awards will be made in that year also an interagency review group will be established to review all proposals after the application deadline. FHWA and IRS will jointly recommend and approve projects for Federal funding for fuel tax evasion intergovernmental enforcement efforts. States selected to receive funding will enter into negotiations with FHWA and be required to enter into a project agreement with FHWA.

**Deadlines:**

Jun 24, 2011 to Jul 22, 2011 Not available at this time.

**Range of Approval/Disapproval Time:**

The approval/disapproval time will take approximately 1 month.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects will not be funded for a period of more than 2 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual reports will required for each project and will be outlined in the project agreement. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Participating agencies must keep records of expenditures/accomplishments as applicable.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Salaries) FY 10 \$2,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Minimum: \$10,000; Maximum \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Approximately \$ 2 Million in funding was awarded for 19 separate projects. Included was funding for States participating in the Internal Revenue Service program entitled the Joint Operations Center for National Fuel Tax Compliance (JOC), 4 regionally-based awards to help support the joint task forces in those regions, and 12 individual state projects. Additional State and Federal revenues were realized in areas of increased enforcement including the expansion of fuel testing and sampling programs, increased IFTA enforcement, and retail service station inspections. Fiscal Year 2011: Due to delay in funding of program, the awards for FY 2011 have not been finalized. Fiscal Year 2012: None to date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Dougherty, 1200 New Jersey Ave. S.E., Washington, District of Columbia 20590 Email: [michael.dougherty@dot.gov](mailto:michael.dougherty@dot.gov) Phone: (202) 366-9234.

**Website Address:**

<http://www.fhwa.dot.gov/policy/otps/fueltax.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Three types of projects were funded. Funds were awarded to pilot States in the Joint Operations Center for National Fuel Tax Compliance (JOC) project run by the Internal Revenue Service (IRS). For the regional awards, funds were used for training and meeting expenses at meetings where States would discuss common issues including specific investigations. The

third group of projects are specific enforcement efforts including the testing of on-highway vehicles for diesel fuel for the presence of a red dye which should only be used in off-highway applications. Fiscal Year 2011: Due to delay in funding of program, the awards for FY 2011 have not been finalized. Fiscal Year 2012: None to date.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are encouraged to submit innovative proposals to reduce fuel tax evasion and increase collaboration and coordination among several public agencies. Priority will be given to proposals that involve more than one public agency.

**20.301 RAILROAD SAFETY**

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Department of Transportation Act of 1966, Public Law 89-670, 49 U.S.C 1651-1659.

**OBJECTIVES:**

To reduce railroad-related casualties and accidents.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

- 1) Risk Reduction Assistance will support pilot projects.
- 2) OLI Assistance will promote educational awareness.
- 3) Security Assistance will help establish, develop, and implement plans, procedures, and networks to send and receive security-sensitive or emergency-related information from the Government to rail stakeholders and from rail stakeholders to the Government.

**Applicant Eligibility:**

Anyone concerned with railroad safety.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

See Application Procedure. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E or Assurances Construction, SF424D (whichever is specified in the announcement); Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Not applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. See the following for information on how assistance is awarded/released: Assistance is usually awarded upon request for reimbursement.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425, Federal Financial Report. Quarterly Federal Cash Transactions reports using SF 272 (should be SF-425, this replaced both the SF269 and SF272), Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's. Quarterly Federal Cash Transactions reports using SF 425. Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0700-0-1-401.

**Obligations:**

(Project Grants) FY 10 \$1,384,848; FY 11 est \$1,259,848; and FY 12 est \$2,544,848 - 2010 - Operation Lifesaver - 1,015,000  
Risk Reduction Program 350,000  
Security 19,848

2011-Operation Lifesaver - 1,015,000  
Risk Reduction Program 200,000  
Security 44,848

2012-Operation Lifesaver 1,500,000  
Risk Reduction 1,000,000  
Security 44,848.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Operation Lifesaver provided assistance to State programs for State coordinator training; national and/or regional training seminars; educational materials; information to the public promoting rail safety through

public service announcements, videos, web site and e-Learning; and support to the national office to administer the programs listed above.

The Risk Reduction Program initiated five pilot programs (Pride Program (Peer Coaching Safety Improvement); CSXs Continuous Rail Defect Testing Evaluation; Cross-Functional Risk Reduction Team; Norfolk Southern Continuous Rail Defect Testing Evaluation; and Union Pacific Fatigue Risk Management Plan).

The Security Program provided support for Continuity of Operations and Plans. Fiscal Year 2011: Operation Lifesaver is providing assistance to State programs for State coordinator training; national and/or regional training seminars; educational materials; information to the public promoting rail safety through public service announcements, videos, web site and e-Learning; and support to the national office to administer the programs listed above.

The Risk Reduction Program is assisting the rail industry in establishing voluntary programs that identify and address risk and that include measurable goals and corrective actions. Five pilot programs are underway to help achieve these objectives.

The Security Program is providing support for 1) Continuity of Operations and Plans, and 2) Transportation Emergency Response Training. Fiscal Year 2012: Operation Lifesaver will continue providing assistance to State programs for State coordinator training; national and/or regional training seminars; educational materials; information to the public promoting rail safety through public service announcements, videos, web site and e-Learning; and support to the national office to administer the programs listed above.

Risk Reduction will continue five pilot programs (Pride Program (Peer Coaching Safety Improvement); CSXs Continuous Rail Defect Testing Evaluation; Cross-Functional Risk Reduction Team; Norfolk Southern Continuous Rail Defect Testing Evaluation; and Union Pacific Fatigue Risk Management Plan).

The Security Program will provide support for 1) Continuity of Operations and Plans, and 2) Transportation Emergency Response Training.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

#### **Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, 55 Broadway, Room 1077, Cambridge, MA 02142 Telephone: (617) 494-2302. Regional Administrator, 1510 Chester Pike, Crum Lynne, PA 19023 Telephone: (610) 521-8200 Regional Administrator, 61 Forsyth Street, SW., Suite 16T20, Atlanta Federal Center, Atlanta, GA 30303- 3104. Telephone: (404) 562-3800. Regional Administrator, 111 West Adam Street, Suite 310, Chicago, IL 60606 Telephone: (312) 353- 6203. Regional Administrator, 4100 International Plaza, Suite 450, Fort Worth, TX 76109 Telephone: (817) 862-2200. Regional Administrator, 901 Locust Street, Suite 464, Kansas City, MO 64106 Telephone: (816) 329-3840. Regional Administrator, 801 I Street, Suite 466, Sacramento, CA 95814. Telephone: (916) 498-6540. Regional Administrator, 500 E. Broadway, Suite 240, Vancouver, WA, 98660 Telephone: (360) 696-7536.

#### **Headquarters Office:**

Gina Matrassi, 1200 New Jersey Ave SE., Washington, District of Columbia 20590 Phone: (202) 493-6139.

#### **Website Address:**

<http://www.fra.dot.gov/>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **20.313 RAILROAD RESEARCH AND DEVELOPMENT**

#### **FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

#### **AUTHORIZATION:**

Rail Safety Improvement Act of 2008, Public Law 110-432, 49 U.S.C 102.

#### **OBJECTIVES:**

To foster long-range enhancement of the Federal Railroad Administration's program of research in support of rail safety by developing cooperative research relationships between the Administration and university and industry organizations.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Projects must show a relationship towards advancing railroad safety and technology. Applicants must demonstrate 5 years of railroad research activity.

#### **Applicant Eligibility:**

Applicants must be major academic and industry research institutions with backgrounds in the rail transportation arena. A minimum of 5 years of railroad or railroad related research experience is required.

#### **Beneficiary Eligibility:**

No restrictions.

#### **Credentials/Documentation:**

See Application Procedures section (092). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

The FRA will announce specific pre- application coordination activities for each project area in the Federal Register. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E or Assurances Construction, SF424D (whichever is specified in the announcement); Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

#### **Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Four to 16 weeks after application. High-speed rail BAA expires 9/30/2012.

#### **Appeals:**

60 Days & to the Administrator, Federal Railroad Administration.

#### **Renewals:**

Grants contemplated in this program are predominantly project-oriented rather than on-going efforts and are therefore non-renewable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. See the following for information on how assistance is awarded/released: Assistance is usually awarded upon request for reimbursement.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425, Federal Financial Report. Quarterly Federal Cash Transactions reports using SF 425, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts. A final report detailing the work conducted and the progress accomplished will be required. Presentations at an annual workshop are expected. SF-425. A final report detailing the work conducted and the progress accomplished will be required. Presentations at an annual workshop are expected. SF-425. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

During the course of its activities under a grant agreement and for 3 years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 CFR Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0745-0-1-401.

**Obligations:**

(Cooperative Agreements) FY 10 \$41,447,617; FY 11 est \$49,904,922; and FY 12 est \$40,000,000

**Range and Average of Financial Assistance:**

\$50,000 to \$250,000. Average: \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FR-RRD-0014-10-01-00 Railroad Research Foundation on Countermeasures to Reduce Suicides on Railway Rights-of-Way DRAFT report entitled Recommendations to Prevent Railway Suicides in the United States, April 2010, has been prepared and is currently in review.

FR-RRD-0002-10-01-00 Railroad Research Foundation Vital PTC:

The Lockheed Martin Vital PTC (LM VPTC) system incorporated the new adaptive braking algorithm with emergency braking backup developed by FRA R&D and Transportation Technology Center, Inc (TTCL). Various trains with LM VPTC on board were tested extensively in various test track segments in TTCI and the algorithm was found to perform very satisfactorily, with trains stopped within 500 feet from below 30 mph and within 1000 feet from above 30 mph, as per original objectives in the specification. The project as per description in this grant has been completed and is now closed.

FR-RRD-0007-10-01-00 Railroad Research Foundation Research and Development Projects for Enhancement of Positive Train Control Specifications and requirements for the positive train location systems were

developed. Several proposals responding to the Request for Proposal this system were received and reviewed by the industrial advisory group. Eliminating the ones which were technically insufficient, two prospective bidder, SAIC and Boeing, remained. Negotiation on the pricing just ended for phase 1, and both are to be awarded in accordance with the recommendation of the industrial advisory group. (note: the costs for these proposals are higher than originally estimated, and we are in the process of adding FRA funding to this project.)

FR-RRD-0001-10-01-00: Rail Defect Detection System Prototype Development, UCSD

Rail inspection prototype successfully blind tested at Herzog, Inc. in June 2010 with flaw detection performance exceeding both AREMA standards and industry average for rail flaw detection system. Personnel from FRA, Volpe, ENSCO, Herzog, and BNSF and UP observed the test.

A 250-ft long Rail Defect Farm with more than 25 known rail flaws has been constructed at the University of California San Diego with FRA support and BNSF in-kind contribution, for continued development of rail inspection technologies of interest to the FRA.

AREMA Committee 4 (Rail) meeting was held at the University of California San Diego in April 2011 pursuant to BNSF recommendation, showcasing successful FRA projects. Presentations and demonstrations were given by Dr. Lanza di Scalea on both Rail Flaw Inspection Prototype and Rail Neutral Temperature/Buckling Measurement Projects.

Technical paper on FRA rail flaw detection prototype was presented at the TRB Annual Meeting, Washington DC, in January 2011. That paper was also accepted for publication in the Journal of the Transportation Research Board.

Technical paper on FRA rail flaw detection prototype has been accepted for presentation and publication at the AREMA Annual Meeting in September 2011, to be held in Minneapolis, MN.

A patent application has been filed with the US Patent Office by the University of California San Diego on the rail inspection prototype.

FR-RRD-0009-10-01-00: Automated Measurement of Stress in Continuous CWR

A 70-ft long Large-Scale CWR Test-bed has been constructed in the Structural Engineering Laboratories of the University of California San Diego with FRA funding and BNSF in-kind contribution of the materials. This is a one-of-a-kind test setup, heavily instrumented, to study techniques for in-situ stress measurement/neutral temperature (NT) under controlled laboratory environment. A rail switch heater rod has been installed to simulate environmental temperature changes.

The University of Nebraska Lincoln- UNL (separate FRA grant) principal investigator has also tested different NT measurement (DUB) approach at UCSD's test-bed in February of 2011 at no extra laboratory costs. A second test by UNL in San Diego is planned for summer of 2011.

A live demonstration of NT temperature measurement in the Large-Scale CWR setup was given to AREMA Committee 4 (Rail) during their meeting in San Diego in April 2011.

Results from this Large-Scale test setup show measurement of NT to within +/- 2 degrees. This accuracy surpasses standard requirements for NT measurements (e.g. TTCI considers +/- 10 degrees as an acceptable standard). Testing devoted to confirming the repeatability of this measurement is on-going.

FR-RRD-0010-10-01-00: Composite Materials Use for Railroad Infrastructure, WVU

Designed and Fabricated 15 thermoplastic composite railroad cross-ties, and installed at the TTC, Pueblo, CO for testing and data collection for both technical performance and economic feasibility.

FR-RRD-0011-10-01-00: Automated Measurement of Longitudinal Stress in Rail

Developed method to perform diffuse ultrasonic backscatter (DUB) measurements and a prototype for these measurements on the web of rail, Developed advanced instrumentation to measure three channels of DUB simultaneously,

Developed theoretical basis for stress measurements by examining the acoustoelastic effect at the grain level and corresponding influence on

scattering,

Have shown the sensitivity of DUB with respect to changes in load and temperature independently within UNL lab,

Have shown that DUB measurements can be made through a thin elastomeric material which allows a rolling contact DUB device to be developed

Testing at the Large-scale test-bed at the UCSD showed the sensitivity of DUB to changes in longitudinal rail stress (LRS.)

#### FR-RRD-0008-10-01-00 Illinois Commerce Commission Railroad Safety Section

Illinois Commerce Commission has awarded 50 grants to various municipalities, police departments, Operation Lifesaver, etc. which will be spent of public education and enforcement activities running Jan 1, 2011 through Dec 31, 2011.

#### FR-RRD-0018-10-01-00 Evaluation of Wheel/Rail Contact Mechanics

1. Completed the design specifications for a state-of-the art roller rig system that will allow for precise measurement and evaluation of the wheel-rail contact mechanics

2. Conducted an extensive survey of the available roller rig systems, worldwide, along with their capabilities for studying wheel-rail contact mechanics. (Did not find any systems that can perform the tasks needed by FRA and the U.S. Railroads.)

3. Completed conceptual designs for a dozen of roller rig systems that are currently being reviewed with our industrial partner (Norfolk Southern) and will be review with FRA in the near future

4. Completed a parametric dynamic model of the roller rig for evaluating the feasibility of the preliminary design concepts, and aiding during the detail design stage.

#### FR-RRD-0019-10-01-00 Study of Rail Grinding Optimization and Wheel/Rail Friction Management

Obtained rail profile data from Amtrak, worked with Amtrak and Holland to evaluate the grinding practice. Conducted field measured on Amtrak NEC. Fiscal Year 2011: FR-RRD-0004-10-01-00 Peninsula Corridor Joint Powers Board Caltrain PTC/CBOSS Development Project  
The specification for the CBOSS PTC system has been developed and the bidding process has begun. Proposals have been received and in the review process by Peninsula Corridor Joint Powers Board and their consultants.

#### FR-RRD-0001-10-01-00: Rail Defect Detection System Prototype Development, UCSD

Discussions are underway to transition elements of the rail inspection prototype to commercial rail inspection service providers (Herzog) under close partnership with BNSF. This transition is envisioned as a technology license from the University of California San Diego through Dr. Lanza di Scalea Start-up Company. Fiscal Year 2012: FR-RRD-0021-11-01-00 with General Electric Transportation is expected to produce a design concept for a high speed locomotive truck.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

Not Applicable.

#### Regional or Local Office:

None.

#### Headquarters Office:

John Tunna 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 493-6359

#### Website Address:

<http://www.fra.dot.gov>.

#### RELATED PROGRAMS:

Not Applicable.

#### EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2010: Rail Defect Detection System Prototype Development

Vital Positive Train Control

Wireless Sensors Network Standards

Caltrain PTC/CBOSS Development Project

High Pressure Heat Exchanger to Recover and Convert Locomotive Engine

Metrolink Positive Train Control (PTC)

Research and Development Projects for Enhancement of Positive Train Control

Illinois Public Education and Enforcement Research Study (PEERS) Phase 7

Automated Measurement of Stress in Continuous Welded Rail, Phase III

Composite Materials Use for Railroad Infrastructure

Automated Measurement of Longitudinal Stress in Rail

National Cooperative Rail Research Program (NCRRP)

Enhancements and Development of Railroad Vehicle Dynamics Simulation Capabilities

Countermeasures to Reduce Suicides on Railway Rights-of-Way

Hybrid Road Locomotive for Energy Savings and Reduced Emissions

Design of an Emergency Escape Locomotive Cab Rear Window

Evaluation of Wheel/Rail Contact Mechanics

Study of Rail Grinding Optimization and Wheel/Rail Friction Management

Safety Innovations Deserving Exploratory Analysis (IDEA) Program

Safety Evaluation of High Speed Rail (HSR) Bogie Concepts

Locomotive Biofuel Study

Critical Incident Intervention Program. Fiscal Year 2011: No Current Data

Available Fiscal Year 2012: No Current Data Available

#### CRITERIA FOR SELECTING PROPOSALS:

In descending order of relative importance: (1) Overall scientific and/technical merit; (2) Degree to which it may improve upon or advance railroad safety; (3) Likelihood for its near term adoption and implementation of possible recommendations; (4) Degree to which the proposed project fits into the Administration's overall research objectives; (5) Reasonableness and realism of the proposed cost, and the availability of funds (to include due consideration for proposed cost-sharing by the applicant).

#### 20.314 RAILROAD DEVELOPMENT

##### FEDERAL AGENCY:

Federal Railroad Administration (FRA), Department of Transportation

##### AUTHORIZATION:

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU); Consolidated, Security, Disaster Assistance and Continuing Appropriations Act 2009, Public Law 109-59.

##### OBJECTIVES:

To provide financial assistance for: planning and developing railroad corridors (including environmental studies), purchasing rail equipment, rail line relocation and improvement projects, construction projects that improve rail lines, enhance service, and add capacity to the national rail system, capital construction, rehabilitation and improvements benefiting train operations.

##### TYPES OF ASSISTANCE:

##### PROJECT GRANTS

##### USES AND USE RESTRICTIONS:

- (1) The financial assistance may fund, but is not limited to, rehabilitation or construction of railroads, including planning activities and associated studies.
- (2) Specific descriptions are based on the language in the authorizing or appropriating legislation and any associated regulations.

##### Applicant Eligibility:

State governments, Regional and local governments, For-profit organizations, such as railroads.

##### Beneficiary Eligibility:

State governments Regional and local governments For-profit organizations, such as railroads.

##### Credentials/Documentation:

See Application Procedure (083). OMB Circular No. A-87 applies to this program.

##### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded

from coverage under OMB Circular No. A-110. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms

<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>;  
Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E or Assurances Construction, SF424D (whichever is specified in the announcement); Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Competitive comparison of applications to determine relative satisfaction of published selection criteria might occur for some grants. Following selection (if applicable) and after the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. Assistance is usually awarded upon request for reimbursement. See the following for information on how assistance is awarded/released: ACH reimbursement.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF-425, Federal Financial Report. Quarterly Federal Cash Transactions reports using SF-425, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts.

. SF-425. The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF-425. Final report giving details of the results and benefits of the Grantee's improvement efforts. SF 425. The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF-425. Final report giving details of the results and benefits of the Grantee's improvement efforts.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

21-8083-0-1-401.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,754,333; FY 11 est \$16,527,797; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Grants within these programs range from \$10,000 to over \$10,000,000. The average financial assistance varies considerably.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These two Acts and associated regulations provide the primary guidance for this program: The National Environmental Policy Act of 1969 as amended (42 U.S.C. 4321 et seq.), and related laws Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (Public Law 109-59).

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Alice Alexander, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 493-6363.

**Website Address:**

[Http://www.fra.dot.gov](http://www.fra.dot.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The work and cost estimates are reasonable and are within the scope of the appropriation language. For the grants competed, the selection criteria will be specified in the final regulations, and shall include, but shall not be limited to, prioritizing criteria defined in relevant authorizing and appropriations law, and criteria intended to ensure the timely completion of funding projects.

**20.315 NATIONAL RAILROAD PASSENGER CORPORATION GRANTS**

(Amtrak Grants)

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Department of Defense and Full Year Continuing Appropriations Act, 2011, Public Law 112-110, 49 U.S.C 24104(a).

**OBJECTIVES:**

To provide financial assistance to support the operation of and capital investment in intercity passenger rail service in the United States.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

As specified in individual Grant Opportunity announcements, assistance may be used to fund operating expenses, capital investment activities, and/or payment of debt service obligations.

### Applicant Eligibility:

As directed by authorizing and appropriating statute, assistance is available only to the National Railroad Passenger Corporation.

### Beneficiary Eligibility:

As directed by authorizing and appropriating statute, assistance is available only to the National Railroad Passenger Corporation.

### Credentials/Documentation:

See Application Procedures. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Environmental clearance is required for the capital portion of this program. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms

<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424B or Assurances Construction, SF424D (whichever is specified in the announcement); Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets.

### Award Procedure:

Review the application package to ensure that all required documents have been submitted and are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Timing of Approval/Disapproval typically ranges from between 2-6 weeks.

### Appeals:

Not Applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

### Length and Time Phasing of Assistance:

Length and time phasing of assistance is dependant on the specific appropriating and/or authorizing law governing the grant opportunity. See the following for information on how assistance is awarded/released: The award is determined by legislation.

### Reports:

The grantee shall submit the following reports: Monthly progress reports giving

an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Monthly financial status reports using SF 425, Federal Financial Report. Monthly Federal Cash Transactions reports using SF 425, Federal Cash Transaction Report. Through the grant agreement, the grantee may be required to submit various other reports. Final report giving details of the results and benefits of the Grantee's. Monthly Federal Financial Status Report SF 425, Federal Cash Transaction Report. The grantee is required to submit the following reports: Monthly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Monthly Federal Financial Status Report; Federal Cash Transaction Report. Monthly detailed reports regarding performance against project budgets and schedules, and forecasts of future performance. Final report giving details of the results and benefits of the Grantee's improvement efforts.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

### Records:

During the course of its activities under a grant agreement and for 3 years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 CFR Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

### Account Identification:

69-0724-0-1-401; 69-0125-0-1-401; 69-0121-0-1-401.

### Obligations:

(Salaries) FY 10	\$1,557,253,438;	FY 11 est	\$1,479,042,862;	and FY 12 est	\$0 -
2011 Operating Subsidy Grants			\$561,874,000.00		
Capital Grants			\$649,087,973.00		
Debt Service Payments			\$263,472,000.00		
Northeast Corridor (PRIIA Sec 212)			\$4,608,889.00		
Total			\$1,479,042,862.00		

2010 -ARRA Capital Grants	\$1,490,565.15
ARRA Capital Security Grants	\$789,122.73
Operating Subsidy Grants	\$563,000,000.00
Capital Grants	\$727,608,750.00
Debt Service Payments	\$264,000,000.00
Northeast Corridor (PRIIA Sec 212)	\$365,000.00
Total	\$1,557,253,437.88

Recovery funding was used in FY2009 and FY 2010.

### Range and Average of Financial Assistance:

Awards under this program range from \$10,000,000 to \$850,000,000 and depend on the amount and break down of assistance made available through specific appropriation laws.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2010: Funding of Amtraks Capital program, a portion of Amtraks Operating expenses, and a portion of Amtraks Debt Service expenses. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data

Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Federal Railroad Administration, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 493-6454.

**Website Address:**

<http://www.fra.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Not available. Fiscal Year 2011: Not available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals for projects must support the stated strategic goals of the applicant organization, align with the priorities identified in authorization or appropriation statutes, and of the Secretary of Transportation, and be accompanied by detailed scope and budget documentation. Quantitative or qualitative justification of project prioritization must be provided.

**20.316 RAILROAD REHABILITATION AND IMPROVEMENT FINANCING PROGRAM**

(RRIF Loan Program)

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Railroad Revitalization and Regulatory Reform Act of 1976 (45 U.S.C. 821, et seq.), 45 U.S.C 821.

**OBJECTIVES:**

The RRIF program provides direct loans and loan guarantees to State and local governments, interstate compacts consented to by Congress under section 410(a) of the Amtrak Reform and Accountability Act of 1997 ( 49 U.S.C. 24101 ); government sponsored authorities and corporations; railroads; joint ventures that include at least one railroad; and solely for the purpose of constructing a rail connection between a plant or facility and a second rail carrier, limited option rail freight shippers that own or operate a plant or other facility that is served by no more than a single railroad.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; Loan Guarantees/Grants

**USES AND USE RESTRICTIONS:**

Funds provided by direct loans or loan guarantees under the RRIF Program can be used to: (1) Acquire, improve, or rehabilitate intermodal or rail freight or passenger equipment or facilities, including track, components of track, bridges, yards, buildings and shops (2) Refinance outstanding debt incurred for purposes described in the previous paragraph (3) Develop or establish new intermodal or railroad facilities The maximum loan amount will be based on the remaining available funds under the Program's authorization. The repayment period for direct loans and loan guarantees is up to 35 years. The interest rate on direct loans will be equal to the rate on Treasury securities of a similar term.

**Applicant Eligibility:**

Eligible applicants include State and local governments, government-sponsored authorities, government-sponsored corporations, railroads, and joint ventures that include at least one railroad.

**Beneficiary Eligibility:**

The beneficiaries of the Program will be the State or local government organizations, railroad, or joint ventures that include a railroad that will receive the financial assistance to permit them to complete the specified projects.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A pre-application meeting may be held if requested by a potential applicant. Procedures for requesting such a meeting are available on the FRA website and at 49 CFR 260.19. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Complete and submit application form available on the FRA website.

**Award Procedure:**

FRA will evaluate application and advise applicant of approval or disapproval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Application will be approved or disapproved within 90 days after a complete application is deemed to have been submitted.

**Appeals:**

There is no appeal process.

**Renewals:**

Disapproved applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As a part of the application package, the borrower provides a projected timetable for the completion of the project. The funding will be made available as progress payments to pay directly or reimburse the Borrower for prior payment of allowable costs incurred in connection with the project. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Statement of cash flows must be submitted for the life of the financial assistance. During the course of the project, monthly progress reports of work completed and actual expenditures compared to the budget. Yearly audited and certified profit and loss statement, balance sheet and statement of cash flows must be submitted for the life of the financial assistance. During the course of the project, monthly progress reports of work completed and actual expenditures compared to the budget. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits of project expenditures will be conducted upon completion.

**Records:**

None.

**Account Identification:**

69-4420-0-3-401.

**Obligations:**

(Direct Loans) FY 10 \$172,000,000; FY 11 est \$650,000,000; and FY 12 est \$600,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In 2010, RRIF conducted 25 pre-application meetings. RRIF received ten applications and made two loans in 2010. RRIF loan proceeds funded development of a multimodal passenger facility at historic Denver



Union Station and also assisted rehabilitation of a rail line. Fiscal Year 2011: So far in 2011, RRIF has conducted twelve pre-application meetings. RRIF has received 4 applications year to date and three loans totaling approximately \$650 million have received Credit Council and FRA approval and are awaiting OMB action. These loans will assist railroads with purchasing locomotives and rail cars, purchasing conveyor equipment, and refinancing high interest debt. Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Railroad Rehabilitation and Improvement Financing Program, 49 CFR 260.

#### **Regional or Local Office:**

See Regional Agency Offices. Not applicable.

#### **Headquarters Office:**

Barbara Klein Amani 1200 New Jersey Avenue, S.E.,  
, Washington, District of Columbia 20590 Phone: (202) 493-6051

#### **Website Address:**

<http://www.fra.dot.gov/>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: RRIF loan proceeds funded development of a multimodal passenger facility at historic Denver Union Station and also assisted rehabilitation of a rail line. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Initially the criteria are based on the relevance to the programs' objectives and uses. The program provides direct loans and loan guarantees to State and local governments, government-sponsored authorities and corporations, railroads, and joint ventures that include at least one railroad. Eligible projects include: (1) refinancing outstanding debt that was incurred for eligible purposes, (2) developing or establishing new intermodal or railroad facilities, or (3) acquisition, improvement or rehabilitation of intermodal or rail equipment or facilities (including tracks, components of tracks, bridges, yards, buildings and shops.

### **20.317 CAPITAL ASSISTANCE TO STATES - INTERCITY PASSENGER RAIL SERVICE**

#### **FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

#### **AUTHORIZATION:**

Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2008, Public Law 110-161; Department of Transportation Appropriations Act, 2009, Public Law 111-8.

#### **OBJECTIVES:**

To provide financial assistance to fund capital improvements (and related planning activities) necessary to support improved or new intercity passenger rail service.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

The financial assistance may fund capital improvements and directly-related planning activities necessary to achieve tangible improvements to, or institute new, intercity passenger rail service. Examples of capital improvements include (but are not strictly limited to) the purchase of passenger rolling stock, the improvement of existing track to allow for higher maximum speeds, the addition or lengthening of passing tracks to increase capacity, the improvement of interlockings to increase capacity and reliability, and the improvement of signaling systems to increase capacity and maximum speeds, and improve safety. With respect to planning activities, eligible planning projects 1) Lead to the completion of a Service Development Plan; 2) Identify and compare the costs, benefits, and impacts of a range of transportation alternatives, including HSR and/or IPR; 3) Support the preparation of environmental documents; and 4) Consist of operational analyses and simulations, and projections of future service requirements. Proposed projects must be specifically included in the

applicant States Statewide Transportation Improvement Plan at the time of application.

#### **Applicant Eligibility:**

State departments of transportation (including that of the District of Columbia). Applicant States must include intercity passenger rail service as an integral part of statewide transportation planning as required under section 135 of Title 23, United States Code.

#### **Beneficiary Eligibility:**

The general public, both users and non-users of intercity passenger rail service. State departments of transportation and other public agencies, although private transportation companies may participate through contractual arrangements with a State department of transportation.

#### **Credentials/Documentation:**

Department of Transportation, Federal Railroad Administration (FRA) Assurances and Certification forms including: (1) Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transactions; (2) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions; (3) Certification Regarding Drug-Free Workplace Requirements; (4) Certification Regarding Lobbying; (5) Assurances Non- Construction Programs SF 424B; and (6) Certificate of Indirect Costs Assurances. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Prospective applicants may contact FRA prior to submission of applications to inquire about applicant eligibility, the competitive prospects of their proposed project, the National Environmental Policy Act and related legal requirements, and other requirements. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E or Assurances Construction, SF424D (whichever is specified in the announcement); Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

#### **Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Notification of Approval/Disapproval generally occurs within 8 months of application.

#### **Appeals:**

None.

#### **Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Formula and matching Requirements: These programs have no statutory formula. Some grantees will be required to provide a match from non-program funds toward the grant budget.

This program has MOE requirements, see funding agency for further details.

This program has MOE requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. Assistance is awarded upon request for reimbursement. See the following for information on how assistance is awarded/released: Assistance is usually awarded upon request for reimbursement.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425, Federal Financial Report. Quarterly Federal Cash Transactions reports using SF 272 (should be SF-425, this replaced both the SF269 and SF272), Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's. Quarterly Federal Cash Transactions reports using SF 425. Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly Federal Cash Transactions reports using SF 425. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-1 33 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Non federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

During the course of its activities under a grant agreement and for 3 years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 CFR Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0715-0-1-401.

**Obligations:**

(Cooperative Agreements) FY 10 \$13,470,500; FY 11 est \$78,422,573; and FY 12 est \$0

**Range and Average of Financial Assistance:**

The first awards for FY-10 funding were announced in January 2010. The second round of awards will be announced that summer. As such, there is no range or average. \$27,100,000 has been awarded to date, and an additional \$ 65,000,000 will be awarded.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No current data available. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance for this program is provided by The National Environmental Policy Act of 1969 as amended (42 U.S.C. 4321 et seq.), and related laws, the FRA publication entitled, Railroad Corridor Transportation Plans: A Guidance Manual (available at [http://www.fra.dot.gov/Downloads/RRdev/corridor\\_planning.pdf](http://www.fra.dot.gov/Downloads/RRdev/corridor_planning.pdf)), and Federal Register notices announcing the availability of funding pursuant to this program.

**Regional or Local Office:**

See Regional Agency Offices. If necessary to contact a regional office, the contact information will be in a grant agreement.

**Headquarters Office:**

Gina Matrassi 1200 New Jersey Ave SE., Washington, District of Columbia 20590 Phone: (202) 493-6139.

**Website Address:**

<http://www.fra.dot.gov> .

**RELATED PROGRAMS:**

20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No current data available. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

All selection criteria will be specified in Federal Register notices announcing the availability of funding pursuant to this program, and shall include, but shall not be limited to, prioritizing criteria defined in relevant law, and criteria intended to ensure the timely completion of funding projects and the full realization of the benefits the projects are intended to generate.

**20.318 MAGLEV PROJECT SELECTION PROGRAM - SAFETEA-LU (Maglev Selection Program )**

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) , Public Law 109-59.

**OBJECTIVES:**

To provide financial assistance for a demonstration magnetic levitation transportation project.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for eligible project costs, including preconstruction planning activities, the capital cost of fixed guideway infrastructure of a maglev project, including land, piers, guideways, propulsion equipment and other components attached to guideways, power distribution facilities (including substations), control and communications facilities, access roads, and storage repair and maintenance facilities, but not including costs incurred for a new station. Funds may be used for eligible project costs, including preconstruction planning activities, the capital cost of fixed guideway infrastructure of a maglev project, including land, piers, guideways, propulsion equipment and other components attached to guideways, power distribution facilities (including substations), control and communications facilities, access roads, and storage repair and maintenance facilities, but not including costs incurred for a new station.

**Applicant Eligibility:**

State governments with existing maglev projects located east of the Mississippi River.

**Beneficiary Eligibility:**

State governments.

**Credentials/Documentation:**

See Application Procedure. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E or Assurances Construction, SF424D (whichever is specified in the announcement); Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement for further information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The period of performance is up to 60 months. See the following for information on how assistance is awarded/released: Assistance is usually awarded upon request for reimbursement.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports SF-425, Federal Cash Transaction Report. Quarterly Federal Cash Transactions reports using SF 425. Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant.

Quarterly financial status reports using SF 425. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-8083-0-1-401.

**Obligations:**

(Cooperative Agreements) FY 10 \$889,200; FY 11 est \$83,655,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: None of the funds awarded in the recent competition have been obligated. Recipient states are drafting scopes of work. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The National Environmental Policy Act of 1969 as amended (42 U.S.C. Section 4321 et seq.), and related laws; Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (Public Law 109-59); SAFETEA-LU Technical Corrections Act (Public Law 110-244); OMB Circular No. A-87 for State and local governments; OMB Circular No. A-102 grants and cooperative agreements with State and local governments; A-133 for audits. Solicitation guidelines will be made available.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Winkle, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Email: [John.Winkle@dot.gov](mailto:John.Winkle@dot.gov) Phone: 202-493-6067.

**Website Address:**

<http://www.fra.dot.gov>.

**RELATED PROGRAMS:**

20.314 Railroad Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: The Pittsburgh Maglev project is the only project to receive any recent funding. Those funds are being used to complete the NEPA process. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **20.319 HIGH-SPEED RAIL CORRIDORS AND INTERCITY PASSENGER RAIL SERVICE CAPITAL ASSISTANCE GRANTS**

HSR/IPR Program

#### **FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

#### **AUTHORIZATION:**

The Passenger Rail Investment and Improvement Act of 2008 (PRIIA) , Public Law 111-5.

#### **OBJECTIVES:**

To assist in financing the capital costs of facilities, infrastructure, and equipment necessary to provide or improve high-speed rail and intercity passenger rail service. Funds are made available pursuant to three authorized programs: Intercity Passenger Rail Service Corridor Capital Assistance, Congestion Grants; and High-Speed Rail Corridor Development.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

#### **USES AND USE RESTRICTIONS:**

Funds may be used by eligible applicants for acquiring, constructing, improving, or inspecting equipment, track and track structures, or a facility for use in or for the primary benefit of high-speed rail and intercity passenger rail service, expenses incidental to the acquisition or construction (including designing, engineering, location surveying, mapping, environmental studies, and acquiring rights-of-way), payments for the capital portions of rail trackage rights agreements, highway-rail grade crossing improvements related to intercity passenger rail service, mitigating environmental impacts, communication and signalization improvements, relocation assistance, acquiring replacement housing sites, and rehabilitating replacement housing; and rehabilitating, remanufacturing or overhauling rail rolling stock and facilities used primarily in intercity passenger rail service. Funds may not be used to fund operating expenses, or for commuter rail passenger transportation.

#### **Applicant Eligibility:**

Profit organization, Other private institutions/organizations, State & Transportation.

#### **Beneficiary Eligibility:**

State and Profit organization.

#### **Credentials/Documentation:**

Documentation demonstrating applicant eligibility (for applicants other than States); National Environmental Policy Act documentation for construction projects and service development programs; program-specific Assurances and Certifications; planning and engineering documentation. Also see Application Procedure. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

#### **Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work

(SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Not Applicable.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

#### **Length and Time Phasing of Assistance:**

Funding appropriated under ARRA must be awarded to grantees by September 30, 2012, and must be expended by September 30, 2017. Funding appropriated under PRIIA must be obligated or expended within 2 years after the date on which the State received the grant. See the following for information on how assistance is awarded/released: Funding is obligated through cooperative agreements, and outlays occur as reimbursement. For complex corridor development programs, FRA will issue a Letter of Intent (LOI) that represents a contingent financial commitment to a States corridor program. A LOI does not represent an obligation or disbursement of funds. Funding will only be obligated and disbursed as milestones are achieved.

#### **Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports SF-425, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts. Quarterly Federal Financial reports using SF 425, Federal Financial Report. The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425, Financial Status Report. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-1 33 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

#### **Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0718-0-1-401; 69-0719-0-1-401.

**Obligations:**

(Salaries) FY 10 \$895,280,215; FY 11 est \$9,200,072,876; and FY 12 est \$4,000,000,000 - FY 2010 HISPR 2010 Obligations: Total \$14,729,215. High Speed Grant Oversight: \$8,486,751, High Speed Research and Development Grants \$6,242,464. ARRA HISPR: Total 880,551,000. High Speed Grants \$869,770,000. High Speed Grant Oversight \$10,781,000.

FY 2010 HISPR Carryover Total \$2,085,455,876: \$1,970,216,208 for Grants; \$41,497,772 for Grant Oversight; \$23,742,896 for Research & Development Grants; \$50,000,000 for Planning Grants.

FY 2011 Total \$7,114,617,000: \$7,110,230,000; \$4,387,000 for Grant Oversight.

**Range and Average of Financial Assistance:**

No financial assistance yet awarded.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim program guidance is provided within Notices of Funding Availability.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gina Matarassi 1200 New Jersey Ave, S.E., Washington, District of Columbia 20590 Phone: (202) 493-6139 Fax: (202) 493-6381.

**Website Address:**

<http://www.fra.dot.gov>

**RELATED PROGRAMS:**

20.317 Capital Assistance to States - Intercity Passenger Rail Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be individually evaluated against the following criteria, listed in order of priority: 1) achieving transportation solutions in a cost effective manner; 2) achieving public benefits in a cost effective manner; 3) sustainability of transportation and other public benefits; 4) management and minimization of project delivery risk; and 5) timeliness of project commencement and completion.

Selection of applications for award will also take into account the following selection criteria: 1) regional balance necessary to create a nationwide high-speed rail and intercity passenger rail network and address urban and non-urban mobility needs; 2) balance and diversity of cost effective technological approaches to improving HSR and IPR service; 3) organizing multi-State partnerships and encouraging community involvement where appropriate; and 4) previous HSIPR Program grants and previous State investments in high-speed intercity passenger rail.

**20.320 RAIL LINE RELOCATION AND IMPROVEMENT**

Rail Line Relocation

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59.

**OBJECTIVES:**

To provide financial assistance for rail line relocation and improvement projects.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The financial assistance may fund, but is not limited to, rehabilitation, relocation or construction of railroads, including planning activities.

**Applicant Eligibility:**

Government - General and Transportation.

**Beneficiary Eligibility:**

State.

**Credentials/Documentation:**

See Application Procedure. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The applicant must submit the following information to the FRA through [www.grants.gov](http://www.grants.gov): Application for Federal Assistance SF-424 Department of Transportation Federal Railroad Administration Assurances and Certification forms

<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>:

Certification Regarding Debarment, suspension, and other Responsibility Matters Primary Covered Transactions. o Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions. Certification Regarding Drug-Free Workplace Requirements. o Certification Regarding Lobbying. o Assurances Non-Construction Programs, SF 424E Certificate of Indirect Costs. Assurances - Construction Programs SF-424D Statement of Work Budget. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms

<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>;

Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E; Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10%. This program has no statutory formula. All grantees will be required to provide at least a 10% match from non-program funds toward the grant budget. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. Assistance is usually awarded upon request for reimbursement. See the following for information on how assistance is awarded/released: Assistance is usually awarded upon request for reimbursement.

**Reports:**

Quarterly financial status reports SF-425, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts. Quarterly Federal Cash Transactions reports using SF 425. Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly Federal Cash Transactions reports using SF 425. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0716-0-1-401.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$6,741,733; FY 11 est \$83,083,902; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range of previous awards was \$152,664 to \$4,000,000. Average award was \$2,050,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Competition for discretionary funds recently held; FRA is evaluating applications. FRA is working on obligating earmarked funds. Seven of 27 grants have been obligated. Fiscal Year 2011: All funds are discretionary. FRA has no competition scheduled. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These two Acts and associated regulations provide the primary guidance for this program: The National Environmental Policy Act of 1969 as amended (42 U.S.C. 4321 et seq.), and related laws; the Safe, Accountable, Flexible,

Efficient Transportation Equity Act: A Legacy for Users (Public Law 109-59); 49 CFR Part 262.

**Regional or Local Office:**

See Regional Agency Offices. If necessary to contact a regional office, the contact information will be in a grant agreement.

**Headquarters Office:**

John Winkle, 1200 New Jersey Ave SE., Washington, District of Columbia 20590 Phone: (202) 493-6067 Fax: (202) 493-6330.

**Website Address:**

<http://www.fra.dot.gov/us/content/2008>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: New track turnouts, improvements to a rail spur, safety-related upgrades, rail rehabilitation. Fiscal Year 2011: FY11 projects will be similar. Fiscal Year 2012: If there is funding in FY12, projects will be similar.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria were included in SAFETEA-LU and the Final Rule establishing the program. For the earmarks, the work and cost estimates are reasonable and are within the scope of the program regulations and the appropriation language. For the earmarks, the work and cost estimates are reasonable and are within the scope of the program regulations and the appropriation language.

**20.321 RAILROAD SAFETY TECHNOLOGY GRANTS****RAILROAD SAFETY TECHNOLOGY GRANTS****FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Section 105 of the Rail Safety Improvement Act of 2008, Public Law 110-432, 49 U.S.C 20158.

**OBJECTIVES:**

To facilitate the deployment of train control technologies, train control component technologies, processor-based technologies, electronically controlled pneumatic brakes, rail integrity inspection systems, rail integrity warning systems, switch position indicators and monitors, remote control power switch technologies, track integrity circuit technologies, and other new or novel railroad safety technology.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Projects that that make train control technologies interoperable between railroad systems, accelerate the deployment of train control technology on high risk corridors such as those that have high volumes of hazardous materials shipments or over which commuter or passenger trains operate or benefit both passenger and freight safety and efficiency. Any proposed project that is merely an idea or a concept without prior proofs or tests to demonstrate its technical and scientific soundness will not be considered. Proposed technologies or methods must be practical and reduce risks associated with completing the deployment of the core PTC network by December 31, 2015. Grant funds may not be used for lobbying or in direct support of litigation. Potential recipients should note these funds are awarded on project-by-project basis and are not block grants. The detailed focus areas are defined in the agency announcement. Grant funds may not be used for lobbying or in direct support of litigation. Potential recipients should note these funds are awarded on project-by-project basis and are not block grants. The detailed focus areas are defined in the agency announcement. 100 percent of the funds are discretionary grants.

**Applicant Eligibility:**

Local (includes State-designated Indian Tribes, institutions of higher education excludes hospitals

Passenger and freight railroad carriers, railroad suppliers, and State and local

governments.

Applicants need not have developed plans required under subsection 20156(e)(2) of title 49, United States Code section 20157 of such title.

Priority will be given to applicants who have completed the plans required under subsection 20156(e)(2) of title 49, United States Code section 20157

Individuals are not eligible for these awards.

**Beneficiary Eligibility:**

Passenger and freight railroad carriers, railroad suppliers, State and local governments. Including institutions of higher learning.

**Credentials/Documentation:**

U.S. Department of Transportation Federal Railroad Administration Assurances and Certification forms

<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters-Primary Covered Transactions, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions, Certification Regarding Drug-Free Workplace Requirements, Certification Regarding Lobbying, Assurances-Non-Construction Programs, SF 424E, Certificate of Indirect Costs, Assurances - Construction Programs SF-424D. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The applicant must submit the following information: Application for Federal Assistance SF-424; U.S. Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E; Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

Applicants are encouraged to contact the FRA to ensure proposed topic is of interest and is competitive.

**Award Procedure:**

FRA will review the application package to ensure that all required documents are complete and signed by the appropriate person. FRA will review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. FRA will review the SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. A competitive comparison of applications to determine relative satisfaction of published selection criteria might occur for some grants. Following selection (if applicable) and after the application package is acceptable to both parties; a grant agreement is drafted, reviewed, and signed upon agreement by both parties. Detailed evaluation criteria are listed in the agency announcement. Preference will be given to proposals whose results will support interoperable PTC deployment by multiple railroads and have active railroad carrier participation. Grants will be awarded to applicants with the highest merit until the available funds are exhausted.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

60 to 120 days after submission deadline. Awards on high priority projects

generally would take less time.

**Appeals:**

Renewals generally require reapplication with a new proposal. Extensions can generally be handled under the terms of the original grant, cooperative agreement, or other transaction contingent upon availability of funding..

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory Formula: Title 49, Part 20158.

Matching Requirements: Percent: 80%. Federal funds for any eligible project shall not exceed 80 percent of the total cost of such project.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds in the amount of \$50 million will be available until expended. The specific period of performance for any single award will depend upon the complexity of the proposal, but in no case will the period of performance extend past December 31, 2015. Entities submitting proposals must identify and justify the expected duration to accomplish the work proposed. See the following for information on how assistance is awarded/released: FRA will award grants for the full federal amount, however, recipients shall receive funds on a reimbursable basis.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports SF-425, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts. Quarterly Federal Cash Transactions reports using SF 425. Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0701-0-1-401.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$50,000,000; and FY 12 est \$50,000,000 - These funds can be used for salaries and benefits.

**Range and Average of Financial Assistance:**

FRA anticipates multiple awards not to exceed \$50 million. Awards may be of any dollar value so long as those amounts do not exceed the total amount available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Initial awards made end of FY2010 and acceptance by grantees 1 Q FY 2011. Anticipated project completion in FY 2013. Fiscal Year

2011: Detailed Cost & Schedule Budgets Received and Approved Work in accordance with individual project schedule. Fiscal Year 2012: Continue work in accordance with individual project schedules.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Rail Safety Improvement Act of 2008 (Public Law 110-432) and associated regulations.

**Regional or Local Office:**

None. If necessary to contact a regional office, the contact information will be in a grant agreement.

**Headquarters Office:**

Mark Hartong, Office of Railroad Safety, Federal Railroad Administration, Mail Stop 25, 1200 New Jersey Ave SE. , Washington, District of Columbia 20590 Email: mark.hartong@dot.gov Phone: (202) 493-1332.

**Website Address:**

<http://www.fra.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: See list of funded projects. Fiscal Year 2011: FR-TEC-0001-11-01-00 Westinghouse Air Brake Technologies Corporation-- Video PTC Database Survey Verification-- \$500,000.

FR-TEC-0002-11-01-00 National Railroad Passenger Corporation --Advanced Civil Speed Enforcement System (ACSES) Vital Train Management System (VTMS) Interoperability -- \$10,280,000.

FR-TEC-0003-11-01-00 MeteorComm LLC-- 220 MHz PTC Radio Design 220 MHZ PTC Radio Integration Testing PTC 220 MHz Locomotive Noise Study erface Control Documentation --\$21,050,000.

FR-TEC-0004-11-01-00 Southern California Regional Rail Authority --Shared LA PTC Communications Infrastructure -- \$6,605,446.

FR-TEC-0005-11-01-00 NYS Metropolitan Transportation Authority--ACSES Interface Control Documentation-- \$6,596,000.

FR-TEC-0006-11-01-00 Howard University--PTC System Identity Management--\$857,106.

FR-TEC-0007-11-01-00 Railroad Research Foundation--Rail Corridor Risk Management--\$1,514,448

FR-TEC-0008-11-01-00 The Kansas City Southern Railway Company--Analog to Digital Communications Upgrade --\$1,867,449.

FR-TEC-0009-11-01-00 Maryland Department of Transportation--Compliance testing of VTMS at speeds up to 125 mph--\$642,445. Fiscal Year 2012: No new funds anticipated. No new projects anticipated.

**CRITERIA FOR SELECTING PROPOSALS:**

Any technology forming the basis for a proposal must be capable of application to improve the ability to timely deploy interoperable PTC systems that meet the requirements of Public Law 110-432. This may include improvements to the railroad capital equipment or infrastructure in train control and dispatching/traffic control systems, or to the quality improvement of processes and procedures of train operation. The work and cost estimates are reasonable and are within the scope of the appropriation language. For the grants competed, the selection criteria will be specified in the final regulations, and shall include, but shall not be limited to, prioritizing criteria defined in relevant authorizing and appropriations law, and criteria intended to ensure the timely completion of funding projects.

**20.500 FEDERAL TRANSIT\_CAPITAL INVESTMENT GRANTS**

(Fixed Guideway Modernization Bus and Bus Facility New Starts)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

FEDERAL TRANSIT\_CAPITAL INVESTMENT GRANTS , 49 U.S.C 5309.

**OBJECTIVES:**

To assist in financing the acquisition, construction, reconstruction, and improvement of facilities, rolling stock and equipment for use in public transportation service. Funds are currently made available in three categories: Fixed Guideway Modernization formula program; Bus and Bus Facilities discretionary program; and New Starts discretionary program (new fixed guideway systems and extensions of existing systems).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to assist State and local governmental authorities in financing: capital projects for new fixed guideway systems, and extensions to existing fixed guideway systems, including the acquisition of real property, the initial acquisition of rolling stock for the systems, and the acquisition of rights of way, and relocation, for fixed guideway corridor development for projects in the advanced stages of alternatives analysis or preliminary engineering; capital projects, the acquisition, construction, reconstruction and improvement of facilities and equipment for use by operation or lease or otherwise in mass transportation service, including property and improvements needed for an efficient and coordinated mass transportation system, including buses and bus facility equipment; the capital costs of coordinating transit with other transportation; and the introduction of new technology, through innovative and improved transportation; and the introduction of new technology, through innovative and improved products. Consideration may also be given for projects which enhance urban economic development; establish new or enhanced coordination between transit and other transportation; or enhance the effectiveness of a transit project and are related physically or functionally to that transit project. It could also include financing for transit projects planned, designed, and carried out to meet the special needs of elderly individuals and individuals with disabilities; for the development of corridors to support fixed guideway systems, including protecting rights of way through acquisition, construction of dedicated bus and high occupancy vehicle lanes and park-and-ride lots, and other non-vehicular capital improvements that the Secretary may decide would result in increased transit usage in the corridor. In FY 2011 the New Starts and Bus Programs are not earmarked, leaving unallocated funds. Funds for the Bus program will be allocated through a discretionary competitive award process. Due to an ongoing process, funding for New Starts will be allocated consistent with information already available to FTA..

**Applicant Eligibility:**

Public agencies, including States; municipalities and other subdivisions of States; public agencies and instrumentalities of one or more States; and public corporations, boards, and commissions established under State law. Applicant must have legal, financial, and technical capacity to carry out proposed project, including safety and security aspects, and maintain facilities and equipment purchased with Federal assistance. Fixed Guideway formula funds are apportioned by formula to urbanized areas over 200,000 population with fixed guideway segments at least one mile long that are over seven years old. Bus projects will be allocated through a discretionary award process. New Starts project funding will be decided at the discretion of the Secretary of Transportation. Private non-profit organizations are not eligible direct recipients.

**Beneficiary Eligibility:**

The general public, both users and non-users of public transportation. Public agencies, although private transportation companies may participate through contractual arrangements with public agency grantee.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's transportation improvement



program (TIP), in the State transportation improvement program (STIP) and approved by FTA and FHWA; information must be provided on labor and relocation; environmental impact statement; legal opinion; coordinated regional planning documentation; maintenance certification; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Cost will be in accordance with OMB Circular No. A-87 for State and local governments. Federal Register Notice FTA Fiscal Year Apportionments, Allocations, and Program Information, published annually contains the capital investment apportionments. For fiscal year 2009, the Federal Register notice with the full year's apportionment will be published in late March 2009. For other fiscal years, contact the FTA Regional Office to obtain the publication dates or the FTA website: [www.fta.dot.gov/](http://www.fta.dot.gov/). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An environmental impact statement may also be required upon completion of review of the assessment. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular No. A-87 and 49 CFR Part 18 and FTA Circular 9300.1A, "Capital Program: Grant Application Instructions," October 1, 1998. Applications are made to the regional offices of the Federal Transit Administration listed in Appendix IV of the Catalog.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. Grants are awarded electronically using FTA's Transportation Electronic Award Management (TEAM) system, <http://ftateamweb.fta.dot.gov/fta-flash2b.html>. In order to access this system, a user name and password are needed and can be obtained by contacting the regional offices. Once the funds are reserved in TEAM and the project information has been reviewed and approved by Headquarters, the recipient must execute the grant agreement to access the funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is made available annually through the appropriation process. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Funds for fixed guideway modernization are apportioned by statutory formula to eleven legislatively specified areas and to other areas that have fixed guideway mileage over 7 years old. Funds for bus and bus related improvements and New Starts are allocated on a discretionary basis and can be allocated on a statutory basis. A grant may be made up to 80 percent of net project cost. Vehicle related equipment required to comply with ADA or Clean Air Act may be funded at 90 percent Federal share. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Terms and conditions are contractually agreed on between FTA and the applicant. See the following for information on how assistance is awarded/released: The grants may be awarded in one lump sum or in smaller increments as specified by the grantee.

**Reports:**

(1) Progress reports; (2) Financial status reports; (Submitted quarterly for

recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. (1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. (1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. (1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. (1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401; 69-8350-0-7-401; 69-1102-0-1-401; 69-1134-0-1-401; 69-1133-0-1-401.

**Obligations:**

(Salaries) FY 10 \$16,863,517,391; FY 11 est \$2,788,842,430; and FY 12 est \$13,942,734,000 - Fixed Guideway Modernization Grants FY 10 act. \$1,663,032,878, FY 11 est. \$1,663,032,878 , and FY 12 10,707,178,000 est. not available.

New Starts/Small Starts Grants FY 10 \$2,000,000 act. FY 11 est. \$1,594,804,000 , FY12 est. \$3,235,556,000. (Salaries) FY 10 Not Available; FY 11 est \$2,167,971,500; and FY 12 est \$0 - Recovery Act New Starts/Small Starts FY5,000,000 ; FY11 est. not applicable ; FY12 est. not applicable and Fixed Guideway Modernization Grants FY10 \$5,000,000 ; FY11\$732,661,179 ; FY12 est. not applicable

Bus and Bus Facility Grants FY 10 \$0 ; FY 11 \$0 , FY 12 \$0. (Salaries) FY 10 \$5,000,000; FY 11 est \$1,663,032,878; and FY 12 est \$10,707,178,000 - Recovery Act New Starts/Small Starts FY5,000,000 ; FY11 est. not applicable ; FY12 est. not applicable and Fixed Guideway Modernization Grants FY10 \$5,000,000 ; FY11\$732,661,179 ; FY12 est. not applicable.

Bus and Bus Facility Grants FY 10 act. \$981,952,806 ; FY11 est. \$981,952,806 ; and FY12 \$0 .

Fixed Guideway Modernization Grants FY10 act. \$1,663,032,878 FY11 est. \$1,663,032,878 , and FY12 \$10,707,178,000. (Salaries) FY 10 \$2,644,985,684; FY 11 est \$732,661,170; and FY 12 est \$10,707,178,000 - Bus and Bus Facility Grants FY10 act. \$981,952,806 ; FY11 est. \$981,952,806 ; and FY12 \$0 Fixed Guideway Modernization Grants FY 10 act. \$1,663,032,878 , FY11 est. \$1,663,032,878 , and FY12 \$10,707,178,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the FTA Regional Offices. See FTA Circular 9300.1A, "Capital Program: Grant Application Instructions," November 1, 1998.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV: Agency Regional and Local Office Addresses of the Catalog for a listing of the Federal Transit regional offices.

**Headquarters Office:**

Eric Hu, 1200 New Jersey Avenue, S.E., , Washington, District of Columbia 20590 Phone: (202) 366-0870.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.505 Federal Transit Metropolitan Planning Grants; 20.507 Federal Transit Formula Grants; 20.509 Formula Grants for Other Than Urbanized Areas; 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

1. Major, non-recurring capital investments. 2. Congressional designation (Bus and New Starts) 3. Formula allocation (Fixed Guideway Modernization) 4. New Starts projects are subject to extensive rating and evaluation process and must have FTA approval before entering into the Preliminary Engineering and Final Design Phases.

**20.505 METROPOLITAN TRANSPORTATION PLANNING**

(Metropolitan Planning Program)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 49 U.S.C 5305(d).

**OBJECTIVES:**

To assist in development of transportation improvement programs, long-range transportation plans, and other technical studies in metropolitan areas.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Activities assisted under this section may include preparation of transportation plans including transportation improvement programs and management systems; studies related to transportation management, operations, capital requirements, and economic feasibility; evaluation of previously funded capital projects; and other related activities in preparation for the construction, acquisition, or improved operation of transportation systems, facilities, and equipment.

**Applicant Eligibility:**

Apportionments are made to the States for formula distribution to the Metropolitan Planning Organizations designated for urbanized areas within each State.

**Beneficiary Eligibility:**

Apportionments are made to the States for formula distribution to the Metropolitan Planning Organizations designated for the areas within each State.

**Credentials/Documentation:**

The Federal Register dated May 13, 2010 (FTA Fiscal Year 2010 Apportionments, Allocations and Program Information; Notice), provides the state apportionments in Table 2. For other fiscal years, contact the FTA Regional Office or access [http://www.fta.dot.gov/funding/grants\\_financing\\_174.html](http://www.fta.dot.gov/funding/grants_financing_174.html). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Following each decennial Census, each State must submit to FTA for approval a formula, developed in cooperation with affected MPOs, for the distribution of a State's Section 5305 apportionment to MPOs in each urbanized area within the State. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for a grant should be addressed to the appropriate Regional Office of the Federal Transit Administration. FTA Circular 8100.1C dated September 1, 2008, Program Guidance and Application Instructions for Metropolitan Planning and State Planning and Research Program Grants, provides detailed application information. Available on the Internet at: [http://www.fta.dot.gov/laws/circulars/leg\\_reg\\_8454](http://www.fta.dot.gov/laws/circulars/leg_reg_8454). States may apply through a paperless electronic grant application, review, approval, acceptance, and management process. This program is excluded from coverage under 49 CFR Part 19.

**Award Procedure:**

FTA will approve and release the grant by the end of the quarterly cycle or earlier provided the application is complete and received by FTA at the beginning of the quarterly cycle.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grant applications are due in the appropriate FTA Regional Office no later than the first business day of the quarter.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may be amended to add additional funds.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: The new budget authority for Fiscal Year 2010 Section 5305 appropriation to States for Metropolitan Planning Organizations totals \$80,887,789. A basic allocation of 80 percent of the amount available annually is distributed to the States based on urbanized area population for State distribution. A supplemental allocation of the remaining 20 percent is also provided to the states based on an FTA administrative formula to address planning needs in the larger urbanized areas. A May 13, 2010 Federal Register Notice, FTA Fiscal Year 2010 Apportionments and Allocations, provides a table (Table 2) which contains the final combined State apportionments. The funding ratio for these grants is 80 percent Federal, 20 percent local match of net project costs. In addition, under provisions enacted in SAFETEA-LU, funds currently available for planning can be transferred from the Federal Highway Administration to form Consolidated Planning Grants. FTA funds can also be transferred to FHWA to form consolidated Planning Grants. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are available for 3 years following the year for which they were appropriated. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable). SF-425. (1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable). SF-425. (1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable).

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133.

**Records:**

Following submission of the final Financial Status Report pending resolution of audit findings, project sponsor is required to remain intact for 3 years, retaining

all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-1137-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Formula Grants) FY 10 \$93,691,869; FY 11 est \$93,691,869; and FY 12 est \$116,043,752 - (Grants) FY10 93,691,869 ; FY11 93,691,869 ; and FY12 116,043,752.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance  
\$20,000 to \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Multimodal transportation planning studies are emphasized through coordinated funding with other DOT administrations. Refinement of the transit elements of long-range plans and an expansion of short-range planning for improvements to the existing urban transportation system are also emphasized. Capital transportation improvement programs are produced annually/biennially as well as metropolitan transportation plans. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Fiscal Year 2010 Apportionments, Allocations, and Program Information; Notice and Fiscal Year 2010 Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements; Notice, published annually. For fiscal year 2010, the publication date was May 13, 2010. For other fiscal years, contact the FTA Regional Office to obtain the publication date for other fiscal years. FTA website: [www.fta.dot.gov/funding/grants\\_financing\\_174.html](http://www.fta.dot.gov/funding/grants_financing_174.html).

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of Federal Transit Administration regional offices and DOT Metropolitan Offices.

**Headquarters Office:**

Candace Noonon, 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Phone: (202) 366-1648.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.500 Federal Transit\_Capital Investment Grants; 20.507 Federal Transit\_Formula Grants; 20.514 Public Transportation Research; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Metropolitan Council of Twin Cities area received planning funds from the State of Minnesota to support the transportation planning process in the Minneapolis-St. Paul urbanized area. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding is allocated to the States for pass through to various Metropolitan Planning Organizations within their jurisdictions.

**20.507 FEDERAL TRANSIT\_FORMULA GRANTS**

(Urbanized Area Formula Program)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

American Recovery and Reinvestment Act, Public Law 111-5, 49 U.S.C 5307.

**OBJECTIVES:**

To support public transportation services in urbanized areas (cities over 50,000 population).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for capital projects to finance the planning, acquisition, construction, cost-effective lease, improvement, and maintenance of equipment

and facilities for use in transit. One percent of the funds apportioned to urbanized areas with a population of at least 200,000 must be expended for transit enhancements. For urbanized areas with populations under 200,000, funds may be used to finance transit operating costs. Recipients of these grants are required to make information available to the public and to publish a program of projects to afford affected citizens opportunities through public hearings to submit comments on the proposed program and the performance of the recipient. One percent of the funds apportioned to urbanized areas with a population of at least 200,000 must be expended for transit enhancements. For urbanized areas with populations under 200,000, funds may be used to finance transit operating costs.

**Applicant Eligibility:**

Funds will be made available to urbanized areas (as defined by the U.S. Census Bureau) through designated recipients, which must be public entities and have the legal capacity to receive and dispense Federal funds. The Governor, responsible local officials, and publicly owned operators of mass transportation services must jointly select the designated recipient(s) for an urbanized area with a population of 200,000 or more. The Governor or his designee is the designated recipient for an urbanized area with a population of 50,000 to 199,999. Recipients must submit a program of projects to FTA; submit a program application to FTA; enter into formal agreements with FTA; and certify that public notification has been conducted.

**Beneficiary Eligibility:**

The general public, both users and non-users, and publicly owned operators of public transportation services.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's transportation improvement program (TIP), and in the Statewide transportation improvement program (STIP) approved by FTA and FHWA. Information must be provided on labor agreements and relocation planning; environmental impact; legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Eligible costs must be in accordance with OMB Circular No. A-87 for State and local governments. A notice is published annually in the Federal Register on FTA's fiscal year apportionments and allocations. The notice contains list of the amount apportioned to each urbanized area. The final apportionment amounts for fiscal year 2011 were published in the May 20, 2010 notice. Prior year notices can be found on the FTA website at [www.fta.dot.gov/](http://www.fta.dot.gov/) or by contacting the appropriate FTA Regional Office to obtain copies or publication dates. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An environmental impact assessment may be required. In addition, an environmental impact statement may also be required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is subject to the provisions of OMB Circular No. A-87 and 49 CFR Part 18. Applications are to be submitted in the Transportation Electronic Award Management system. (TEAM-Web), which is the FTA electronic grant-making and record keeping system.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the recipient must execute the grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. In FY 07, FTA obligated Urbanized Area formula grants in 26 days (on average) after submission of a complete application.

**Appeals:**

Opportunity for public hearing for interested persons.

**Renewals:**

Funds are apportioned annually to each urbanized area. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Statutory Formula: Title 49 USC, Part 5336, Public Law 111-5.

Matching Requirements: Percent: 10%. Funding made available to an urbanized under the Growing States and High Density States formula factors (49 USC 5340) are combined with funds apportioned to an area under the Urbanized Area Formula program. The program operates under the statutory formula prescribed in 49 USC 5336. The Federal share is not to exceed 80 percent of the net project cost. The Federal share may be 90 percent for the cost of vehicle-related equipment attributable to compliance with the American with Disabilities Act and the Clear Air Act. The Federal share may also be 90 percent for projects or portions of projects related to bicycles facilities. The Federal share may not exceed 50 percent of the net cost for operating assistance.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds apportioned under the Urbanized Area Formula program are available for obligation by the Governor, designated recipient, or authorized grant recipient for a period of 3 years following the close of the fiscal year for which such funds are apportioned. Any amounts remaining unobligated at the end of this period are distributed among all urbanized areas. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. SF -272. (1) Progress reports. (2) Financial status reports, which must be submitted quarterly for recipients in urbanized areas over 200,000 population; annually for other recipients and states. (3) Construction reports where applicable. (4) Annual report to the National Transit Database (NTD). SF-425 or 269. See audit requirements. Grantees receiving 500,000 or more have an audit requirement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all project contract documents, financial records and supporting documents.

**Account Identification:**

69-8350-0-7-401; 69-1129-0-1-401.

**Obligations:**

(Formula Grants) FY 10 \$4,542,690,433; FY 11 est \$4,151,709,439; and FY 12 est \$6,491,664,000

**Range and Average of Financial Assistance:**

Varies according to local programming of available formula funds and the level of operating expenses incurred.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Not available currently under review. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Formula Grant Application Instructions may be accessed on the FTA website or secured at no charge from the FTA Regional Offices - FTA Circular 9030.1C, "Urbanized Area Formula Program: Grant Application Instructions," October 1, 1998.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Office of Transit Programs, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-2053.

**Website Address:**

<http://www.fta.dot.gov/>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.500 Federal Transit\_Capital Investment Grants; 20.505 Federal Transit\_Metropolitan Planning Grants; 20.509 Formula Grants for Other Than Urbanized Areas

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Yes {Planning, engineering design and evaluation of transit projects and other technical transportation-related studies; capital investments in bus and bus-related activities such as replacement of buses, overhaul of buses, rebuilding of buses, crime prevention and security equipment and construction of maintenance and passenger facilities; and capital investments in new and existing fixed guideway systems including rolling stock, overhaul and rebuilding of vehicles, track, signals, communications, and computer hardware and software. State acquired buses and equipment for various areas within each respective state. Instead of purchasing new buses, grantees overhauled existing engines. Grantees continued or began construction of maintenance facilities. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must be eligible public transportation projects and meet all formula grant requirements.

**20.509 FORMULA GRANTS FOR OTHER THAN URBANIZED AREAS**

(Nonurbanized Area Formula Program)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

American Recovery and Reinvestment Act 2009, 49 U.S.C 5311.

**OBJECTIVES:**

To improve, initiate, or continue public transportation service in nonurbanized areas (rural and small areas under 50,000 population) and to provide technical assistance for rural transportation providers.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Section 5311 funds may be used for eligible capital expenses, project administration, and operating expenses needed to provide efficient and coordinated public transportation service in nonurbanized areas. States may use up to 15 per cent of the annual apportionment for planning and program administration. Projects must provide for the maximum feasible coordination of public transportation sources assisted under this section with transportation services assisted by other Federal sources, and must provide for the maximum feasible participation of private operators. Fifteen percent of the State's annual apportionment must be spent to support rural intercity bus transportation, unless the governor certifies that such needs are adequately met. Rural Transit Assistance Program (RTAP) funds may be used for technical assistance, training, research, and related support services. States may use up to 15 per cent of the annual apportionment for planning and program administration. Projects must provide for the maximum feasible coordination of public transportation sources assisted under this section with transportation services assisted by other Federal sources, and must provide for the maximum feasible participation of private operators. Fifteen percent of the State's annual apportionment must be spent to support rural intercity bus transportation, unless the governor certifies that such needs are adequately met. Rural Transit Assistance Program (RTAP) funds may be used for technical assistance, training, research, and related support services.

**Applicant Eligibility:**

Only designated State agencies and Indian Tribes may apply directly to FTA for grants. Eligible sub-recipients may include State agencies, local public bodies and agencies thereof, nonprofit organizations, Indian tribes, and operators of public transportation services, including intercity bus service, in rural and small urban areas. Private for-profit operators of transit or paratransit services may participate in the program only through contracts with eligible recipients. Private intercity bus operators may participate as subrecipients or through contracts. Urbanized areas, as defined by the Bureau of the Census, are not eligible.

**Beneficiary Eligibility:**

The general public, both users and nonusers, and private and public providers of public transportation in nonurbanized areas.

**Credentials/Documentation:**

The State agency must be designated by the Governor to administer the program. Projects must be included in the State Transportation Improvement Program (STIP) approved by FTA and FHWA. The state and subrecipients must agree to the standard labor protection warranty for the program. Environmental assessments may be required. Compliance with FTA's annual list of Certifications and Assurances is required. Eligible coast must be in accordance with OMB Circular A-87. The state must submit a program of projects listing all subrecipients and projects in accordance with FTA Circular 9040.1F issued April 4, 2007. FTA annually issues a Federal Register Notice of apportionments, allocations and program information. For fiscal year 07, the publication date was March 23, 2007. Prior year notices can be found on the FTA website at [www.fta.dot.gov](http://www.fta.dot.gov) or by contacting the appropriate FTA regional office to obtain copies or publication dates. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible sub-recipients should submit application to the State agency designated by the Governor to administer the program. This agency will evaluate and select eligible applicants and submit a program of projects to the Federal Transit Administration. The provisions of 49 CFR, Part 18, apply to the state and governmental bodies, and 49 CFR Part 19 applies to the private non-profit organizations.

**Award Procedure:**

The Federal Transit Administration approves the State's program of projects. An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the state must execute the grant agreement. The state implements grant agreements or other instructions with the subrecipients.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. As prescribed by the State agency designated to administer the Section 5311 program. FTA approves grants on a quarterly release cycle.

**Appeals:**

Interested persons are afforded the opportunity of a public hearing for capital projects.

**Renewals:**

Subrecipients typically receive funding through the designated State agency.

**Formula and Matching Requirements:**

Statutory Formula: Title 49, Part 18.

Matching Requirements: Program funds are apportioned annually to the states

according to a statutory formula. Twenty percent of the funds are allocated by the ratio of nonurbanized land area of each State to the nonurbanized land area of all the States with no State receiving more than five percent of these funds. Eighty percent are allocated by the ratio of nonurbanized population of each State to the nonurbanized population of all of the states. In addition to the funds made available to States under section 5311, approximately 16 percent of the funds authorized for the new section 5340 Growing States and High Density States formula factors will be apportioned to States for use in nonurbanized areas. Rural Transit Assistance Program (RTAP) is funded as a two percent takedown from the amount authorized and appropriated for Section 5311 and can be used for technical assistance, training, Research and related support activities. From the amounts made available for RTAP, up to 15 percent may be used by the Secretary to carry-out projects of national scope with the remaining balance to the states. Funds are allocated annually based on an administrative formula that provides a base amount to each state and allocates the balance according to the nonurbanized area population. The maximum Federal share eligible capital and project administration costs is 80 percent, except for three categories of projects that can be funded at 90 percent share: projects designed specifically to increase the accessibility of public transportation to bicycles and vehicle related equipment required to comply with the ADA or the Clean Air Act. The maximum FTA share for operating assistance is 50 percent of the net operating deficit. Other Federal funds may be used for half of the local match requirement. Income from purchase of service contracts with human service agencies may be used for the entire local share for operating assistance. There is no matching requirement for RTAP or for state administration.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are apportioned annually to the States. Amounts apportioned are available for obligation by the State designated agency for a period of 2 years following the close of the fiscal year for which sums are apportioned, and amounts remaining unobligated at the end of such period shall be apportioned among the States for the succeeding fiscal year. States usually fund local recipients on an annual cycle. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. SF-272. Progress reports are submitted annually. States may require additional reports from recipients. Financial Status Reports are submitted annually. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, all contract documents, financial records, and supporting documents.

**Account Identification:**

69-1129-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Salaries) FY 10 \$537,084,158; FY 11 est \$464,033; and FY 12 est \$765,728

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 9040.1, Nonurbanized Area Formula Program Guidance and Grant Application instructions.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the address

of Federal Transit Administration Regional Offices. State Designated Agency: The Governor in each State has designated a State agency to administer the Section 5311 program. This should be the first contact point. Regional Offices: A person from each Federal Transit Administration Regional Office is available to answer questions about Federal regulations related to the Nonurbanized Formula Program.

**Headquarters Office:**

Office of Program Management, Office of Capital and Formula Assistance, 1200 New Jersey Avenue, SE., Washington, District of Columbia 20590 Phone: (202) 366-0893.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants; 20.507 Federal Transit\_Formula Grants; 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities; 20.516 Job Access\_Reverse Commute; 20.521 New Freedom Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As described by the State designated agency in its procedures or State management plan.

**20.513 CAPITAL ASSISTANCE PROGRAM FOR ELDERLY PERSONS AND PERSONS WITH DISABILITIES**

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users , Public Law 109-59, 49 U.S.C 5310.

**OBJECTIVES:**

To provide financial assistance in meeting the transportation needs of elderly persons and persons with disabilities where public transportation services are unavailable, insufficient or inappropriate. The Section 5310 program is designed to supplement FTA's other capital assistance programs by funding transportation projects for elderly persons and persons with disabilities in all areas - urbanized, small urban, and rural.

In FY 2012 the Consolidated Specialized Transportation Grant Program replaces and combines three existing grant programs for targeted populations (formerly the Elderly Individuals and Individuals with Disabilities Program, the New Freedom program, and the Job Access and Reverse Commute program). This program would continue the goals of these programs by funding alternative forms of transportation where traditional services are unavailable, inappropriate, or insufficient.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Section 5310 funding may be used for eligible capital expenses needed to provide specialized transportation service for elderly persons and persons with disabilities. Projects must provide for the maximum feasible coordination of transportation services assisted under this section with transportation assisted by other Federal sources and must provide for the maximum feasible participation of private-for-profit operators.

**Applicant Eligibility:**

Eligible sub-recipients include private nonprofit organizations, public bodies approved by the State to coordinate services for elderly persons and persons with disabilities and public bodies which certify to the governor that no nonprofit corporations or associations are readily available in an area to provide the service.

**Beneficiary Eligibility:**

Elderly persons and persons with disabilities.

**Credentials/Documentation:**

FTA apportions the funds to the States on an annual basis. The chief executive officer of each State or an official designee designates an agency to administer the program. Projects must be included in the State Transportation Improvement Program (STIP) approved by FTA and FHWA. Compliance with FTA's annual list of Certifications and Assurances is required. Eligible costs must be in accordance with OMB Circular A-87. The state must submit a program of projects listing all subrecipients and projects in accordance with FTA Circular 9070.1E. FTA annually issues a Federal Register Notice of apportionments, allocations, and program information. For fiscal year 2010, the publication date was May 13, 2010. Prior year notices can be found on the FTA website at [www.fta.dot.gov/](http://www.fta.dot.gov/) or by contacting the appropriate FTA Regional office to obtain copies or publication dates. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Local agencies should submit application to the State agency designated by the Governor to administer the program. This State agency will evaluate, select and approve eligible applicants and submit a program of projects to the Federal Transit Administration. The provisions of 49 CFR Part 18 apply to the State and governmental bodies and 49 CFR Part 19 applies to private nonprofit organizations.

**Award Procedure:**

The Federal Transit Administration approves the State's Program of Projects. An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the State must execute the grant agreement. The State implements grant agreements or other instruments with the subrecipients.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Interested persons are afforded the opportunity of a public hearing for capital projects.

**Renewals:**

As determined by the designated State agency.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 80%. The Federal share of eligible capital cost may not exceed 80 percent of the net cost of the activity. The local share of eligible capital cost shall be no less than 20 percent of the net cost of the activity. Funds for this program are allocated among the States by a formula which is based on the population of elderly persons and persons with disabilities in each State according to the latest U.S. Census population figures. Grants may be made for no more than 80 percent of the eligible project costs. SAFETEA-LU allows states eligible for the sliding scale match under FHWA programs to use that match ratio for section 5310 capital projects. Funds provided under other Federal programs (other than those of the Department of Transportation, with the exception of the Federal Lands Highway Program established by section 204 of Title 23 U.S.C.) may be used as match for capital funds provided under section 5310. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Section 5310 program funds are available to the States for three years, which includes the fiscal year in which they were allocated plus two additional years. Unobligated Section 5310 funds may be transferred to the Section 5311 or

Section 5307 programs within the last 90 days of the fiscal year. Any funds not obligated or transferred by the end of the period of availability will be redistributed to all the States by formula in the succeeding fiscal year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

As requested by the State and Federal agencies administering the program. States must submit annual status reports and annual financial reports. SF - 272. As requested by the State and Federal agencies administering the program. States must submit annual status reports and annual financial reports. SF - 269. As requested by the State and Federal agencies administering the program. States must submit annual status reports and annual financial reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final financial report, all contract documents, financial records, and supporting documents with the following qualification: If any litigation, claim or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims or audit findings involving the records have been resolved.

**Account Identification:**

69-1129-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$133,222,256; FY 11 est \$133,222,256; and FY 12 est \$404,594,000

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance  
Statewide: For FY 2010 4,575 to 12,167,450 Average 1,264,422.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Various states were able to provide transportation services for individuals with disabilities who had previously been underserved. This was accomplished due to increased coordination among providers. Numerous states purchased additional vehicles as well as replacement vehicles. Fiscal Year 2011: Numerous designated recipients were able to purchase communication equipment in order to manage their operations in a more effective manner. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 9070.1F, The Elderly and Persons with Disabilities Program Guidance and Application Instructions, dated May 1, 2007.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the address of Federal Transit Administration's Regional Offices. State- Designated Agency: The Governor in each State has designated a State agency to administer the Section 5310 program.

**Headquarters Office:**

Gilbert Williams, 1200 New Jersey Ave. SE , Washington, District of Columbia 20590 Phone: (202) 366-0797.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Several states purchased communication equipment for dispatching and management. Fiscal Year 2011: Numerous states purchased new vehicles to expand their fleet as well as purchased replacement vehicles. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As described by the State designated agency.

**20.514 PUBLIC TRANSPORTATION RESEARCH**

National Research Programs

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 49 U.S.C 5314(a).

**OBJECTIVES:**

The Federal Transit Administration's research program seeks to deliver solutions that improve public transportation. Its primary goals are to increase transit ridership, improve safety and emergency preparedness, improve operating efficiencies, protect the environment, promote energy independence, and provide transit research leadership. To accomplish this, FTA funds research on mobility management, transit operational efficiency, safety and emergency preparedness, transit capacity building, energy independence and environmental protection, infrastructure and equipment protection and innovation, and strategic research program planning.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

The program supports research not generally undertaken by the private sector including studies on transit policy issues, operational efficiency, and travel behavior.

**Applicant Eligibility:**

Grants and cooperative agreements: Public bodies, nonprofit institutions, State and local agencies, universities, and legally constituted public agencies and operators of public transportation services, and private for-profit organizations.

**Beneficiary Eligibility:**

State and local governments, transit agencies, private organizations, profit organizations, nonprofit organizations, and universities.

**Credentials/Documentation:**

Grants and cooperative agreements: Initial proposal should include project objectives, background, and project description, including time schedule, budget, and applicant's organizational experience. Legal opinion and compliance with labor requirements are required later. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for universities, A-122 for private nonprofit organizations, and the Federal Acquisition Regulations for private for profit organizations. Contracts are awarded in response to specific requests for proposal. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Although applications for research, development and demonstration projects may be submitted at any time, potential applicants are encouraged to communicate with FTA before submitting formal applications. The initial contact may be by telephone, by submitting a written outline, or by personally meeting with appropriate FTA Headquarters staff. This preliminary contact will serve to: (1) establish a base for communication between FTA and the applicants; (2) determine the applicant's eligibility; (3) eliminate any proposal which have little or no chance for Federal funding before applicants incur expenditures involved in proposal preparation; and (4) determine funding available and conformance to FTA policy and program objectives. The standard application forms as furnished by the Federal agency and required by 49 CFR Part 18 or 49 CFR Part 19 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Potential applicants should follow instructions found in FTA Circular 6100.1C, "Transit Research and Technology Programs: Application and Program Management Guidelines." This Circular may be found at the FTA web site at [www.fta.dot.gov](http://www.fta.dot.gov). This program is subject to the provisions of 49 CFR Part 18 for State and local governments and 49 CFR Part 19 for universities and private nonprofit organizations.

**Award Procedure:**

The Administrator, Federal Transit Administration, makes the final decision to approve a project. An FTA grant or cooperative agreement award obligating Federal funds is reflected in a grant agreement or cooperative agreement. To access funds, the recipient must execute the grant agreement or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

varies.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Research, development, and demonstration projects: FTA encourages cost-sharing by performing organizations to the extent feasible and equitable. Cost-sharing is not a prerequisite to funding. However, it is actively considered in the evaluation of proposals. The amount of such sharing is determined by mutual agreement between FTA and the recipient. More weight is given to programs with a greater local share and proposals with cash contributions than to in-kind contributions.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies with the complexity of the project. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. By electronic filing. SF - 425. (1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. By electronic filing. SF - 425. (1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. Electronic filing is preferred.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments and Nonprofit Organizations," nonfederal entities (including universities) that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Grant recipients shall retain records for 3 years following submission of a final expenditure report, pending resolution of audit findings, all project contracts documents, financial records, and supporting records.

**Account Identification:**

69-1137-0-1-401.

**Obligations:**

(Project Grants (Contracts)) FY 10 \$44,370,000; FY 11 est \$39,783,681; and FY 12 est \$20,000,000 - (Transit Planning and Research Grants and Contracts) FY 10 \$44,370,000 and FY 11 \$39,783,681 ; and FY 12 \$20,000,000.

**Range and Average of Financial Assistance:**

None established.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The JobLinks program provided Welfare-to-Work pilot demonstrations, evaluations and technical assistance that were instrumental in designing the Job Access and Reverse Commute Program enacted in TEA-21. (7) In collaboration with the Federal Highway Administration, FTA published a 3-volume guidance manual on developing and implementing Transportation Demand Management (TDM) measures and developed and tested a pilot training course on TDM. (8) FTA prepared and disseminated descriptions of FTA Research and Technology programs and projects and annotated bibliographies of recent technical reports related to transit; these are available on the FTA Research and Technology website: <http://www.fta.dot.gov>. Fiscal Year 2011: (1) FTA initiated the Bus Rapid Transit Demonstration Program integrating vehicle technology, Intelligent Transportation Systems (ITS), coordinated services, traffic engineering enhancements, and innovative urban design. Seventeen cities have formed a BRT consortium to share ideas and experience in implementing BRT. (2) The Advanced Technology Transit Bus (ATTB) test vehicle was successfully developed and tested. This revolutionary low-floor, light-weight, easily accessible bus features low-emission propulsion. (3) FTA, working with an industry committee (natural gas suppliers and transit operators) produced a detailed technical guideline document defining basic safety requirements for fueling facilities, vehicles, bus garages and storage areas. (4) Four-quadrant gates linked to a vehicle detection system are being demonstrated on a commuter-rail highway grade crossing in the Boston area to prevent motorists from attempting to drive around closed crossing gates. (5) Project ACTION (Accessible Community Transportation in Our Nation) has implemented accessible transportation initiatives, made national presentations on accessible transportation and distributed thousands of copies of "how-to" publications. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fiscal Year 2011 Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements; Notice published October 1, 2008. For other fiscal years, contact the FTA Office of Research Demonstration and Innovation to obtain the publication dates. FTA website [www.fta.dot.gov](http://www.fta.dot.gov). Other information will be made available upon request.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sylvia L. Marion, 1200 New Jersey Ave. S.E., Washington, District of Columbia 20590 Phone: (202) 366-6680.

**Website Address:**

<http://www.fta.dot.gov/research>.

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants; 20.507 Federal Transit\_Formula Grants; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Nearly all projects funded in recent years were at the direction of the Congress under the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). or annual appropriations acts. Projects funded during FY 2010 include: (1) Community Transportation Association of America (CTAA) Nationwide Joblinks; (2) Transportation Equity Program; (3) Intelligent Transportation System Pilot Program; (4) National Bus Rapid Transit Project; (5) Human Resource Coordination; (6) Capital Area Regional Transportation Plan; and (7) Institute of Technologys Transportation, Economic and Land Use System. Fiscal Year 2011: Nearly all projects funded this fiscal year were at the direction of the Congress under the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). or annual appropriations acts.



Projects funded during FY 2011 (1) Transit Cooperative Research (2) National Transit Institute. Fiscal Year 2012: TBD.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals must support the FTA Strategic Plan, available on the FTA Home Page of the Internet at <http://www.fta.dot.gov>. If a preliminary proposal is judged to meet program and funding availability, FTA will invite formal proposal submission or cooperative agreement application. Criteria for preliminary approval include: (1) compatibility with FTA Strategic Plan and Strategic Research Plan; (2) availability of funding; (3) potential for impact on the state-of-the-art from the viewpoint of innovation in transit technology, services and operations; (4) technical feasibility and potential for successful introduction into use in the transit industry; (5) background, experience, and demonstrated capabilities of the applicant; (6) partnerships with public and private organizations; (7) non-FTA funding match; and (8) other pertinent matters, such as geographic distribution of projects and questions of environmental and labor impact.

#### **20.515 STATE PLANNING AND RESEARCH**

(State Planning and Research Program)

##### **FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

##### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 49 U.S.C 5305(e).

##### **OBJECTIVES:**

To assist in the development of cost effective multimodal transportation improvement programs which include the planning, engineering, and designing of Federal Transit projects, and other technical studies in a program for a unified and officially coordinated Statewide Transportation system.

##### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

##### **USES AND USE RESTRICTIONS:**

This is a consolidated program which is apportioned to the States under 49 U.S.C., Chapter 53 which includes such activities as planning, technical studies and assistance, innovative demonstrations, management training, and cooperative research. In addition, a State may authorize a portion of these funds to be used to supplement and administer Metropolitan Planning funds allocated by the State to its urbanized areas, as the State deems appropriate.

##### **Applicant Eligibility:**

Apportionments are made to the States.

##### **Beneficiary Eligibility:**

Apportionments are made to the States.

##### **Credentials/Documentation:**

Federal Register Notice, "FTA Fiscal Year 2010 Apportionments, Allocations, and Program Information", published annually, contains the State apportionment in Table 2. For fiscal year 2009, the publication date was May 13, 2010. For other fiscal years, contact the FTA Regional Office or refer to the FTA website to obtain the publication dates. The FTA website is: [www.fta.dot.gov/funding/grants\\_financing\\_174.html.htm](http://www.fta.dot.gov/funding/grants_financing_174.html.htm). This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FTA Circular 8200.1C dated September 1, 2008, Program Guidance and Application Instructions for State Planning and Research Program Grants" provides detailed application information. It is available at

[www.fta.dot.gov/laws/circulars/leg\\_reg\\_8454.html](http://www.fta.dot.gov/laws/circulars/leg_reg_8454.html).

##### **Award Procedure:**

If the application is complete, FTA will approve and release the grant.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 1 to 15 days. If completed applications are submitted to FTA no later than the first business day of the quarter, FTA will then award grants no later than the last business day of the quarter. In FY 04, FTA awarded State Planning and Research Program grants in an average of 9 days of submission of a complete application.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Grants may be amended to add additional funds.

##### **Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: The matching requirements vary. Funds obligated for State or metropolitan planning are granted as an 80 percent Federal, 20 percent local ratio. In addition, current year funds can be transferred from the Federal Highway Administration to form State Consolidated Planning Grants. This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Funds are available for 3 years following the year for which they were appropriated. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

(1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable). SF - 425. (1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable). SF - 425. (1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable).

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

For 3 years Following submission of the final financial status report and pending resolution of audit findings, Project sponsor is required to retain intact all project contract documents, financial records, and supporting documents.

##### **Account Identification:**

69-8350-0-7-401; 69-1137-0-1-401.

##### **Obligations:**

(Project Grants) FY 10 \$19,571,996; FY 11 est \$19,571,996; and FY 12 est \$24,241,248 - Obligations  
(Grants) FY 10 act.\$19,571,996 ; FY 11 est \$19,571,996 ; and FY 12 \$24,241,248 .

##### **Range and Average of Financial Assistance:**

Range and Average of Financial Assistance  
\$45,000 to \$1,000,000 plus per State based on a statutory formula.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Block grant funds to States for projects they identify to accomplish statewide planning and research. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Notice, "FTA Fiscal Year 2010 Apportionments, Allocations,

and Program Information", published annually, contains the State apportionment in Table 2. For fiscal year 2010, the publication date was May 13, 2010. For other fiscal years, contact the FTA Regional Office or consult the FTA website to obtain the publication dates. The FTA website is: [http://www.fta.dot.gov/funding/grants\\_financing\\_174.html](http://www.fta.dot.gov/funding/grants_financing_174.html).

**Regional or Local Office:**

None. See Appendix IV of the Catalog for a listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Candace Noonan, 1200 New Jersey Ave., S.E., Washington, District of Columbia 20590 Phone: (202) 366-1648.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.500 Federal Transit\_Capital Investment Grants; 20.505 Federal Transit\_Metropolitan Planning Grants; 20.507 Federal Transit\_Formula Grants; 20.514 Public Transportation Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Louisiana entered into a cooperative agreement with the University of New Orleans to study the needs of the carless population in the course of their emergency preparedness, disaster response, and disaster recovery activities. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**20.516 JOB ACCESS\_REVERSE COMMUTE**

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient & Transportation Equity Act: A Legacy for users (SAFETEA-LU), Title 49, Part 53, Section 5316, Public Law 109-59, 49 U.S.C 5317.

**OBJECTIVES:**

To provide grants to local governments, nonprofit organizations, and designated recipients of Federal transit funding to develop transportation services to connect welfare recipients and low-income persons to employment and support services. Job Access grants will be to finance planning, capital and operating cost of projects. The Reverse Commute grants will assist in funding the costs associated with adding reverse commute bus, train, carpool or service from urban areas, urban, rural and other suburban locations to suburban work places.

In FY 2012 the Consolidated Specialized Transportation Grant Program replaces and combines three existing grant programs for targeted populations (formerly the Elderly Individuals and Individuals with Disabilities Program, the New Freedom program, and the Job Access and Reverse Commute program). This program would continue the goals of these programs by funding alternative forms of transportation where traditional services are unavailable, inappropriate, or insufficient.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds are to be used for delivery of services as well as to administer, plan and provide technical assistance for projects.

**Applicant Eligibility:**

State and local government agencies, nonprofit agencies, and transit providers.

**Beneficiary Eligibility:**

Low income individuals; individuals traveling to suburban work places.

**Credentials/Documentation:**

The applications submitted were derived from a locally developed, coordinated public transit-human services transportation plan and developed through a process that included representatives of public, private and nonprofit

transportation and human services providers and participation by the public. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must coordinate with: the State or local agencies that administer the State program funded under part A of Title IV of the Social Security Act, public housing agencies, the community to be served, and other stakeholders. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The project must be a product of the local coordinated public transit human services coordinated plan, competitively selected by the area's recipient, and included in the State Transportation Improvement Program prior to grant award. Recipients will submit applications electronically to the appropriate FTA regional office. The FTA regional offices are listed in Appendix IV of the Catalog. Recipients will then distribute funding directly to the subrecipients. After the recipient has competitively selected projects to be funded, the recipient may officially request that FTA allow subrecipients that are eligible to apply directly to FTA for Section 5307 funds be allowed to apply directly to FTA for JARC funds awarded. Notification of the grant program may also be found at <http://www.grants.gov>.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the recipient must execute the grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

In the past Fiscal years, FTA approved JARC grants on an average of 42 days following submission of a complete application.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may be amended to add additional funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 80%. The Federal share of eligible capital and planning costs may not exceed 80 percent of the net cost of the activity. The Federal share of the eligible operating cost is 50 percent. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally 1 year. Can be up to 4 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Progress reports; (2) Federal Financial Reports, submitted quarterly for recipients in urbanized areas over 200,000 population, and annually for other recipients and states; (3) Detailed annual reports of project results for program evaluation purposes. SF - 272. (1) Progress reports; (2) Federal Financial Reports, submitted quarterly for recipients in urbanized areas over 200,000 population, and annually for other recipients and states; (3) Detailed annual reports of project results for program evaluation purposes. SF - 425. (1) Progress reports; (2) Federal Financial Reports, submitted quarterly for recipients in urbanized areas over 200,000 population, and annually for other recipients and states; (3) Detailed annual reports of project results for program evaluation purposes.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1125-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Project Grants) FY 10 \$164,157,761; FY 11 est \$164,157,761; and FY 12 est \$404,594,000 - (Grants) FY 10 act. \$164,157,761 ; FY 11 \$164,157,761; and FY 12 \$404,594,000.

**Range and Average of Financial Assistance:**

\$10,890 to \$1,293,611. Average: \$180,588.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: See Section 50. Fiscal Year 2011: Trip Based Service Childcare Reservation Industrial Transportation. This organization provides TANF clients needing access to child care providers during non-traditional hours. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 9050.1, Job Access and Reverse Commute Program Guidelines and Application Instructions, updated May 1, 2007.

**Regional or Local Office:**

None. See Catalog Appendix for listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Gilbert Williams, 1200 New Jersey Avenue, SE, East Building-Fourth Floor, Washington, District of Columbia 20590 Phone: (202) 366-0797.

**Website Address:**

[http://www.fta.dot.gov/funding/grants/grants\\_financing\\_3550.html](http://www.fta.dot.gov/funding/grants/grants_financing_3550.html)

**RELATED PROGRAMS:**

20.505 Federal Transit\_Metropolitan Planning Grants; 20.507 Federal Transit\_Formula Grants; 20.509 Formula Grants for Other Than Urbanized Areas; 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: See Section 50. Fiscal Year 2011: Trip Based Service Childcare Reservation Industrial Transportation. This organization provides TANF clients needing access to child care providers during non-traditional hours. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

49 U.S.C. 5316(f) of SAFETEA-LU states factors that must be fair and equitable. Proposals must also meet legal and administrative requirements, available on the FTA web site at <http://www.fta.dot.gov>.

**20.518 CAPITAL AND TRAINING ASSISTANCE PROGRAM FOR OVER-THE-ROAD BUS ACCESSIBILITY**

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-059.

**OBJECTIVES:**

To make funds available to private operators of over-the-road buses to finance the incremental capital and training costs of complying with requirements of the Department of Transportation's Over-the-Road Bus Accessibility regulation, "Transportation for Individuals with Disabilities" (49 CFR Part 37, Subpart H).

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Program funds may be used to finance the incremental capital and training costs of complying with DOT's Over-the-Road Bus Accessibility regulation. Capital projects eligible for funding include adding wheelchair lifts and other accessibility components to new vehicle purchases, and purchasing lifts to retrofit existing vehicles. Eligible training costs include training in proper operation and maintenance of equipment, boarding assistance, and securement, handling and storage of mobility devices, and sensitivity training.

**Applicant Eligibility:**

Private operators of over-the-road buses that provide intercity fixed route bus service, and other providers, including operators of over-the-road buses of local fixed-route service, commuter service, and charter or tour service.

**Beneficiary Eligibility:**

Persons with disabilities.

**Credentials/Documentation:**

Costs are determined in accordance with program guidance in an annual Federal Register Notice soliciting applications. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FTA conducts a national solicitation for applications annually. Grant awards will be made on a competitive basis. Applications must be submitted through Grants.Gov.

**Award Procedure:**

The announcement of awards is published in a Federal Register Notice. Successful applicants file a grant application with FTA. An FTA grant award obligating federal funds is reflected in a grant agreement. To access funds, the recipient must execute the grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Project selections are announced approximately six months following the application deadline for competitive consideration.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for obligation to grantees for 3 fiscal years. Any funds not obligated by FTA by the end of this period will be added to the succeeding year's program allocation. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Final progress report and Financial Status Report upon closing the grant, and annual reports for grants remaining open the end of each Federal fiscal year. Documentation is required for payment. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. As

requested by FTA.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401; 69-1129-0-1-401.

**Obligations:**

(Project Grants) FY 10 \$8,781,692; FY 11 est \$8,781,692; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$25,000 to \$ 180,000. Average: \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Notices, published annually.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix for listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Blenda Younger, 1200 New Jersey Avenue, S.E., Washington , District of Columbia 20590 Phone: (202) 366-4345.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Current guidance contained in Federal Register Notice published annually.

**20.519 CLEAN FUELS**

(Clean Fuels)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 49 U.S.C 5308.

**OBJECTIVES:**

To assist in financing the acquisition of clean fuel vehicles and related facilities for agencies providing public transportation and operating in an urbanized and non-urbanized area designated as a non-attainment or maintenance area for ozone or carbon monoxide.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible projects include the purchase or lease of clean fuel vehicles, the construction or lease of clean fuel vehicles or electrical recharging facilities and related equipment for such vehicles, and construction or improvement of public transportation facilities to accommodate clean fuel vehicles. A clean fuel vehicle is a passenger vehicle used to provide public transportation that is powered by compressed natural gas, liquefied natural gas, biodiesel fuels, batteries, alcohol-based fuels, hybrid electric systems, fuel cells, clean diesel (to the extent allowed by law), or another low or zero emissions technology. Vehicles that employ lightweight composite primary structure may also be eligible. Funds can be used for capital projects only. In FY 2011 the Clean Fuels Grant program was not earmarked, leaving unallocated funds. Unallocated funds are available for allocation through a discretionary competitive award process.

**Applicant Eligibility:**

Public agencies, including States; municipalities and other subdivisions of

States; public agencies and instrumentalities of one or more States; and public corporations, boards, and commissions established under State law. Applicant must have legal, financial, and technical capacity to carry out proposed project and maintain facilities and equipment purchased with Federal assistance. Applicant must also operate in an urbanized area designated as a non-attainment or maintenance area for ozone or carbon monoxide. If the urbanized area is less than 200,000 in population, the State in which the area is located will act as the recipient.

**Beneficiary Eligibility:**

The general public, both users and non-users of public transportation.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's transportation improvement program (TIP), and in the Statewide transportation improvement program (STIP) approved by FTA and FHWA. Information must be provided on labor agreements and relocation planning; environmental impact; legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Project funds may be allocated by Congress for specific projects. When applicable, a Notice of Funding Availability is published to announce the availability of discretionary funds and application process. The notification and application are also available at <http://www.grants.gov>.

**Award Procedure:**

An FTA grant award obligating federal funds is reflected in a grant agreement. Grants are awarded electronically using FTA's Transportation Electronic Award Management (TEAM) system, <http://ftateamweb.fta.dot.gov/fta-flash2b.html>. In order to access this system, a user name and password are needed and can be obtained by contacting the regional offices. Once the funds are reserved in TEAM and the project information has been reviewed and approved by Headquarters, the recipient must execute the grant agreement to access the funds.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. It is a goal of the Federal Transit Administration to obligate grants within an average of 36 days of the submission of a complete grant application.

**Appeals:**

None. Award recipients are chosen by Congress during the appropriations process and after application evaluation during the competitive award process.

**Renewals:**

Funds are appropriated annually. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Terms and conditions are delineated in the grant agreement. See the following for information on how assistance is awarded/released: Assistance is awarded/released by grant obligation.

**Reports:**

FTA retains the semiannual reporting requirements in Section 624.11, which requires grantees receiving program funds for hybrid electric, battery electric, and fuel cell vehicles to provide information on the operations, performance,

and maintenance of those vehicles purchased or leased with program funds. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Pursuant to requirements established by the Office of Management and Budget (OMB), nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as determined by the OMB. The Federal Transit Administration may also conduct its own audits.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401; 69-1137-0-1-401.

**Obligations:**

(Project Grants) FY 10 \$51,392,855; FY 11 est \$51,392,855; and FY 12 est \$51,392,855 - (Clean Fuel Bus Grants) FY 10 act \$51,392,855 ; FY11 est. \$51,392,855 ; and FY 12 est. \$51,392,855 .

**Range and Average of Financial Assistance:**

\$160,000 - \$5,250,000. Average \$1,112,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: A Federal Register Notice was published on January 31, 2011, that announced funding awards for the Clean Fuels Grant Program. FTA awarded 36 projects. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please visit the Federal Transit Administration (FTA) website or contact the appropriate FTA Region office for more information. See Federal Register/ Vol.70, No. 229/ Wednesday, November 30, 2005/ Notices.

**Regional or Local Office:**

See Regional Agency Offices. See list of region contacts listed in Appendix IV.

**Headquarters Office:**

Vanessa Williams 1200 New Jersey Avenue, S.E

, Washington, District of Columbia 20590 Phone: (202) 366-4818

**Website Address:**

www.fta.dot.gov.

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants; 20.505 Federal Transit\_Metropolitan Planning Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The program funded projects such as the purchase of hybrid, hybrid electric, compressed natural gas, and biodiesel articulated buses, portable fueling stations, and bus retrofitting. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Per Congressional designation.

**20.520 PAUL S. SARBANES TRANSIT IN THE PARKS**

Transit in the Parks

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Section 3021 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act A Legacy for Users (SAFETEA-LU) enacted August 10, 2005 [Public Law 109-59], established a new program called the Alternative Transportation in Parks and Public Lands program. The name of the program was changed to the Paul S. Sarbanes Transit in the Parks under the SAFETEA-LU Technical Corrections Act, 2008. , 49 U.S.C 5320.

**OBJECTIVES:**

Purpose of the program is to enhance the protection of national parks and Federal lands, and increase the enjoyment of those visiting them through the use of alternative transportation. The goals of the program are to ensure access to all, including persons with disabilities; improve conservation and park and public land opportunities in urban areas through partnering with State and local governments; improve park and public land transportation infrastructure; enhance the environment and prevent or mitigate adverse impacts on natural resources; reduce congestion and pollution; improve visitor mobility and accessibility and the visitor experience; improve Federal land management agency resource management; and conserve natural, historical, and cultural resources.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

A qualified project is a planning or capital project in or in the vicinity of a Federally-owned or managed park, refuge, or recreational area that is open to the general public and meets the goals of the program. Project evaluation will be based on the considerations listed in the law and explained in part 180 of this notice. The following types of projects are eligible:

(1) Planning Projects: Activities to comply with metropolitan and statewide planning provisions. (49 U.S.C. 5320(b)(5)(A) referencing 49 U.S.C. 5303, 5304, and 5305). Activities include planning studies for an alternative transportation system including evaluation of no-build and all other reasonable alternatives, traffic studies, visitor utilization studies, transportation analysis, feasibility studies, and environmental studies.

(2) Capital projects for acquiring, constructing, supervising, or inspecting equipment or a facility for use in public transportation, expenses incidental to the acquisition or construction (including designing, engineering, location surveying, mapping, and acquiring rights-of-way), payments for the capital portions of rail trackage rights agreements, transit-related intelligent transportation systems, relocation assistance, acquiring replacement housing sites, and acquiring, constructing, relocating, and rehabilitating replacement housing; (49 U.S.C. 5320(b)(5)(A) referencing 49 U.S.C. 5302(a)(1)(A).)

(3) Fixed Guideway and Bus Projects: (i) New fixed guideway capital projects including the acquisition of real property, the initial acquisition of rolling stock for the systems, the acquisition of rights-of-way, and relocation, for fixed guideway corridor development for projects in the advanced stages of alternatives analysis or preliminary engineering; (ii) Capital projects to modernize existing fixed guideway systems; (iii) Capital projects to replace, rehabilitate, and purchase buses and related equipment and to construct bus-related facilities, including programs of bus and bus-related projects for assistance to subrecipients that are public agencies, private companies engaged in public transportation, or private non-profit organizations; and (iv) The development of corridors to support new fixed guideway capital projects, including protecting rights-of-way through acquisition, construction of dedicated bus and high occupancy vehicle lanes and park and ride lots, and other nonvehicular capital improvements that the Secretary may decide would result in increased public transportation usage in the corridor. (49 U.S.C. 5320(b)(5)(A) referencing 49 U.S.C. 5309(b).)

(4) Purchase of rolling stock that incorporates clean fuel technology or the replacement of buses of a type in use on August 10, 2005, with clean fuel vehicles;

(5) The deployment of alternative transportation vehicles that introduce innovative technologies or methods;

(6) The capital costs of coordinating Federal land management agency public transportation systems with other public transportation systems;

(7) Non-motorized transportation systems (including the provision of facilities for pedestrians, bicycles and non-motorized watercraft); and

(8) Any other alternative transportation project that:

- Enhances the environment;
- Prevents or mitigates an adverse impact on a natural resource;
- Improves Federal land management agency resource management;
- Improves visitor mobility and accessibility and the visitor experience;
- Reduces congestion and pollution (including noise pollution and visual pollution); or
- Conserves a natural, historical, or cultural resource (excluding rehabilitation or restoration of a nontransportation facility). No more than 15% of program funds may be used for project administration, contingency and oversight. As stated above, only planning and implementation projects that involve alternative transportation may receive funds. Funds must be spent in accordance with the details of the grant application. All program funds are awarded under a competitive, discretionary grant program.

**Applicant Eligibility:**

Eligible applicants are:(1) The following Federal land management agencies: The National Park Service, the Fish and Wildlife Service, the Bureau of Land management, the Forest Service, and the Bureau of Reclamation; and (2) State, tribal and local governments with jurisdiction over land in the vicinity of an eligible area acting with the consent of a Federal land management agency, alone or in partnership with a Federal land management agency or other governmental or non-governmental participant.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Any project sponsor must be acting with the consent of a Federal land management agency. Any project proposed must be consistent with the metropolitan and statewide planning and public participation requirements found in 49 U.S.C 5303, 5304, and 5307(d). If the project is an capital project in contrast with a planning project, the capital project must be in the metropolitan Transportation Improvement Program (TIP) or State Transportation Improvement Program (STIP), or, if selected, will not receive funds until it is incorporated into the TIP or STIP. Projects also must be consistent with Federal land management agency plans. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The program allows the Department of Transportation to spend up to 10 percent of program funds to carry out planning, research and technical assistance activities. Funds allocated to technical assistance will be used to assist program participants in planning, implementing, and evaluating alternative transportation projects. In addition, the Federal Transit Administration will provide planning guidance and will disseminate research findings. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Project proposals must be submitted to the FTA online via the GRANTS.GOV website. In order to use GRANTS.GOV, applicants must first register as users with GRANTS.GOV. The project proposal must be attached to the application submitted online, and must be 12 or fewer pages in length at 10 point font or larger. If a proposal is greater than 12 pages, only the first 12 pages will be considered during the evaluation process. If applicants

would like to apply for funds appropriated for future fiscal years, applicants must reapply each year.

**Award Procedure:**

Proposals will first be collected by the FTA and uploaded into a structured evaluation system and evaluated by an interagency team which includes representatives from FTA, each of the Federal land management agencies, and the Department of the Interior.

After evaluating the projects on the basis of criteria in the law and further explained in Section 180 of this program description, the team will provide a recommendation to the Secretary of the Interior. The Secretary of the Interior, after consultation with and in cooperation with the Secretary of Transportation, will determine the final selection and amount of funding for each project.. The Department of the Interior will notify each Federal land management agency of projects awarded for sites under the agency's jurisdiction. FTA will publish the list of all selected projects and funding levels in the Federal Register.

Once proposals have been reviewed and projects have been chosen on the basis of selection criteria, the cognizant Federal agency (or agencies), will award funds to the proposing entity to implement the project. These funds will be administered according to Federal requirements as well as the appropriate policies, guidelines and rules of the pertinent agencies. For projects directly administered by a Federal land management agency, these funds will be administered by interagency agreement between the FTA and the respective agency. For programs administered by a State, tribal, or local Governmental authority, these funds will be administered through a grant administered by FTA. With regard to interagency agreement and grant requirements, 49 U.S.C. 5320(i) authorizes the Secretary to apply the requirements of 49 U.S.C. 5307 (Urbanized Area Formula Grant) and 5333(a) (Prevailing Wages Requirement) to the extent the Secretary deems appropriate.

Additionally, each recipient (Federal land management agency, and State, tribal, and local governments) of Federal funds must comply with requisite Federal guidelines governing the management of Federal funds and specific program requirements. Program Oversight, as defined by FTA, will ensure that projects meet the basic statutory, administrative, and regulatory requirements as stipulated by the conditions for accepting Federal funds.

After evaluating the projects on the basis of criteria in the law and further explained in Section 180 of this program description, the team will provide a recommendation to the Secretary of the Interior. The Secretary of the Interior, after consultation with and in cooperation with the Secretary of Transportation, will determine the final selection and amount of funding for each project.. The Department of the Interior will notify each Federal land management agency of projects awarded for sites under the agency's jurisdiction. FTA will publish the list of all selected projects and funding levels in the Federal Register, as well as in FTAs annual report to Congress on the Alternative Transportation in Parks and Public Lands program submitted as part of FTAs Annual Report on New Starts in early February 2008. Criteria and application procedures may be reassessed for subsequent years.

Once proposals have been reviewed and projects have been chosen on the basis of selection criteria, the cognizant Federal agency (or agencies), will award funds to the proposing entity to implement the project. These funds will be administered according to Federal requirements as well as the appropriate policies, guidelines and rules of the pertinent agencies. For projects directly administered by a Federal land management agency, these funds will be administered by interagency agreement between the FTA and the respective agency. For programs administered by a State, tribal, or local Governmental authority, these funds will be administered through a grant administered by FTA. With regard to interagency agreement and grant requirements, 49 U.S.C. 5320(i) authorizes the Secretary to apply the requirements of 49 U.S.C. 5307 (Urbanized Area Formula Grant) and 5333(a) (Prevailing Wages Requirement) to the extent the Secretary deems appropriate.

Additionally, each recipient (Federal land management agency, and State, tribal, and local governments) of Federal funds must comply with requisite Federal guidelines governing the management of Federal funds and specific program requirements. Program Oversight, as defined by FTA, will ensure that projects meet the basic statutory, administrative, and regulatory requirements as stipulated by the conditions for accepting Federal funds.

**Deadlines:**

Mar 10, 2011 to May 09, 2011 For Fiscal Year 2011, the application deadline is May 9, 2011.

**Range of Approval/Disapproval Time:**

> 180 Days. The Department of the Transportation plans to announce the projects selected no later than October 1, 2011.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program has no statutory formula. The Secretary of Transportation, in cooperation with the Secretary of Interior will establish the Governments share of the net project cost to be provided. Funds appropriated to any Federal land management agency may be counted toward the remainder of the net project cost. The maximum Federal share may be 100 percent.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding will be provided on an annual basis. Funds awarded do not have an established date of expiration. Method of awarding/releasing assistance: lump sum.

**Reports:**

The Secretary of Transportation in consultation with the Secretary of Interior submits annually a report to Congress on the allocation of amounts made available to assist qualified projects. Also, a similar report must be included by the Secretary of Transportation in its Annual Report on New Starts. Requirements regarding reports to be prepared by the program recipient will be published in the Federal Register in the announcement of program awards. In 2009 this entailed the submission of quarterly reports to the FTA containing a narrative description of the project and a discussion of all budget and schedule changes. In addition, annual reports were required that must include: 1. Annual visitation to the land unit, 2. Annual number of persons who use the alternative transportation system, 3. An estimate of the number of vehicle trips mitigated based on alternative transportation system usage and the typical number of passengers per vehicle, 4. Cost per passenger, and 5. A note of any special services offered for those systems with higher costs per passenger but more amenities. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for three years following submission of the final expenditure report, all contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-1-407.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$26,844,035; FY 11 est

\$26,844,035; and FY 12 est \$27,929,000

**Range and Average of Financial Assistance:**

No one project may receive more than 25 percent of funds.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: A Notice of Funding Availability (NOFA) was published May 13, 2010 to announce the availability of FY 2010 funds . Applications are currently being solicited until June 28th, 2010. Selections are expected by October 2010. Fiscal Year 2011: A Notice of Availability (NOFA) was published March 10, 2011 to announce the solicitation of project proposals for FY 2011 funds. Applications are being solicited until May 9, 2011. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance is included with each Federal Register notice that announces project selections. Program requirements, additional guidance and legislation information can be found at <http://www.fta.dot.gov/>

**Regional or Local Office:**

See Regional Agency Offices. Information and assistance in applying can be acquired for the headquarters office of the Federal land management agency that manages the park or public land involved. The required project proposal template is available at <http://www.fta.dot.gov>.

-&#61472;National Park Service: Kevin Percival, Kevin.Percival@nps.gov, tel: 3039692429, fax: 3039876675, mail: 12795 W. Alameda Parkway, P.O. Box 25287, Denver, CO 802250287.

- Fish and Wildlife Service: Nathan Caldwell, nathan.caldwell@fws.gov, tel:7033582376, fax: 7033582517,mail: 4401 N. Fairfax Drive, Suite 634; Arlington, VA 22203.

-Forest Service: Ed James, ejames@fs.fed.us, tel: 703-605-4616, fax 703-605-1542, mail: 1601 N. Kent Street, RPC-5, Arlington, VA 22209. .

- Bureau of Land Management: Jack Placchi, jack\_placchi@blm.gov, tel: 303-239-3832, fax: 303-239-3808, mail: 2850 Youngfield Street, Lakewood, Colorado 80215 .

**Headquarters Office:**

Adam Schildge 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Email: Adam.Schildge@dot.gov Phone: 202-366-0778

**Website Address:**

<http://www.fta.dot.gov/atppl>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The program also funded the purchase of three clean-diesel buses for YARTS, the public transportation provided for Yosemite National Park. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Consistent with the considerations identified in Title 49, Chapter 53 at Section 5320(g)(2), evaluation of proposals will be based on the following criteria:

- &#61472;Demonstration of need
  - o Documentation of problem in plans and other reports
  - o Severity of problem
- Protection of natural and cultural resources
  - o Protection or improvement of cultural, historical, scenic, and natural resources
  - o Environmental benefitsreduction of pollution (including air pollution, noise pollution, and visual pollution)
- &#61472;Operational efficiency and financial sustainability
  - o Evaluation of costs and benefits of all reasonable alternatives
  - o Financial planning (including for capital, operations, maintenance, and

equipment replacement expenses; and revenues, including user fees)

- o Cost effectiveness
- o Innovative financing or joint development strategies
- o Deferred maintenance issues

- Public benefits

- o Enhancing visitor experience
- o Mobility issues (reduces congestion, improves intermodal connectivity, improves public access, including access for persons with disabilities)
- o Safety
- o Partnership with public and private entities, and benefits to gateway communities.

- Additional consideration will be given to projects based upon geographic diversity, balance between urban and rural projects, and balance in size of projects. Finally, projects that demonstrate innovative funding mechanisms or partnerships will be given extra consideration. The proposal template contains specific questions related to each of these criteria to guide the applicant in justifying the project.

## **20.521 NEW FREEDOM PROGRAM**

### **FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

### **AUTHORIZATION:**

Safe, Accountable, Efficient, Flexible Transportation Equity Act: A legacy for Users (SAFETEA-LU), 49 U.S.C 5317.

### **OBJECTIVES:**

To provide grants to recipients for new public transportation services and public transportation alternatives beyond those required by the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et. Seq.) that assists individuals with disabilities with transportation, including transportation to and from jobs and employment support services.

In FY 2012 the Consolidated Specialized Transportation Grant Program replaces and combines three existing grant programs for targeted populations (formerly the Elderly Individuals and Individuals with Disabilities Program, the New Freedom program, and the Job Access and Reverse Commute program). This program would continue the goals of these programs by funding alternative forms of transportation where traditional services are unavailable, inappropriate, or insufficient.

### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

### **USES AND USE RESTRICTIONS:**

To be eligible, a project must either be a new public transportation service or a public transportation alternative beyond those required by the ADA and the project must assist individuals with disabilities with transportation, including transportation to and from jobs and employment support services. Capital and operating expenses for projects that meet the purpose of the statute are eligible to be funded. The recipient may use up to 10 percent of apportioned funds for administration, planning, and technical assistance.

### **Applicant Eligibility:**

An eligible recipient is defined as a recipient to be designated by the Governor of the State in consultation with local officials and local public transportation providers in urbanized areas above 200,000 in population. In urbanized areas between 50,000 and 200,000 in population and nonurbanized (rural) areas, the State is the eligible recipient. Public agencies, nonprofit agencies, public transportation providers, private transportation providers, and human services transportation providers are eligible to be subrecipients under the New Freedom program.

### **Beneficiary Eligibility:**

Individuals with Disabilities.

### **Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in the local coordinated public transit human service transportation plan, an urbanized area's transportation improvement program

(TIP), and in the Statewide transportation improvement program (STIP) approved by FTA and FHWA. Information must be provided on legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Pursuant to Section 102 (2) (C) of the National Environmental Policy Act of 1969 (Public Law 91-190), 42 U.S.C. 4332 (2) (c), Executive Order 11514 (34 FR 4247) of March 4, 1970, an environmental impact assessment and/or environmental impact statement may be required for construction projects. Applicants must coordinate with: the State or local agencies that administer the State program funded under part A of Title IV of the Social Security Act, public housing agencies, the community to be served and stakeholders. The program is covered under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process to be followed in applying for assistance under this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The project must be a product of the local coordinated public transit human services coordinated plan, competitively selected by the areas recipient, and included in the State Transportation Improvement Program prior to grant award. Recipients will submit applications electronically to the appropriate Federal Transit Administration, FTA, regional office. The FTA regional offices are listed in Appendix IV of the Catalog. Recipients will then distribute funding directly to the subrecipients. After the recipient has competitively selected projects to be funded, the recipient may officially request that FTA allow subrecipients that are eligible to apply directly to FTA for Section 5307 funds be allowed to apply directly to FTA for New Freedom funds awarded. Notification of the grant program may also be found at <http://www.grants.gov>.

### **Award Procedure:**

An FTA New Freedom grant is awarded and funds are obligated in an electronic grant agreement. The recipient must execute the grant agreement, and access FTA's electronic funds management system; the funds management system allows the grantee to drawdown funds after invoices are received. The grantee directs funds to subrecipients.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

It is a goal of the Federal Transit Administration to obligate grants within 36 days of the submission of a complete grant application.

### **Appeals:**

Not Applicable.

### **Renewals:**

Funds are appropriated annually. Grants may be amended to add newly available funds for a continuing project.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Terms and conditions are delineated in the grant agreement. Funds are awarded using an electronic financial management system as funds are expended and invoices received. See the following for information on how assistance is awarded/released: Funds are appropriated annually. Grants may be amended to add newly available funds for a continuing project.



**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Pursuant to requirements established by the Office of Management and Budget (OMB), nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as determined by the OMB. The Federal Transit Administration may also conduct its own audits.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401.

**Obligations:**

(Formula Grants) FY 10 \$92,307,555; FY 11 est \$92,307,555; and FY 12 est \$404,594,000 - (Grants) FY 10 \$92,307,555 ; FY 11 est. \$92,307,555 ; and FY 12 \$404,594,000.

**Range and Average of Financial Assistance:**

Project funding varies based on competitive selection process at State or urbanized area level. Urbanized area apportionments range from \$111 to \$2.2 M. for an average of \$150K. State apportionments for small urbanized areas range from \$644 to \$1.5 M for an average of \$115K, and for rural areas from \$459 to \$701K for an average of 160K.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

1.) Federal Transit Administration Transit Program Changes, Authorized Funding Levels and Implementation of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users, 70 Fed. Reg. 71950, 71968 (Nov. 30, 2005). 2) FTA Circular 9045.1, New Freedom Program Guidelines and Application Instructions, enacted May 1, 2008.

**Regional or Local Office:**

See Regional Agency Offices. Region 1, Transportation Systems Center, Kendall Square, 55 Broadway, Suite 920 Cambridge, MA 02142-1093. Telephone: (617) 494-2055 Region 2, One Bowling Green, Room 429, New York, NY 10004-1415. Telephone: (212) 668-2170, Region 3, 1760 Market Street, Suite 500, Philadelphia, PA 19103-4124. Telephone: (215) 656-7100, Region 4, Atlanta Federal Center, Suite 17T50, 61 Forsyth St., S.W. Atlanta, GA 30303. Telephone: (404) 562-3500, Region 5, 200 West Adams Street, Suite 320, Chicago, IL 60606. Telephone: (312) 353-2789, Region 6, 819 Taylor Street, Room 8A36, Fort Worth, TX 76102. Telephone: (817) 978-0550, Region 7, 901 Locust Ste. 404, Kansas City, MO 64106. Telephone: (816) 329-3920, Region 8, 12300 West Dakota Ave. Suite 310 Lakewood, CO 80228-2583. Telephone: (720) 963-3300 Region 9, 201 Mission Street, Room 2210 San Francisco, CA 94105-1839. Telephone: (415) 744-3133 Region 10, Jackson Federal Building, 915 Second Avenue, Suite 3142, Seattle, WA 98174-1002. Telephone: (206) 220-7954 LOWER MANHATTAN RECOVERY OFFICE (LMRO), 1 Bowling Green, Room 436 New York, NY, 10004. Telephone: (212) 668-1770.

**Headquarters Office:**

Gil Williams 1200 New Jersey Ave., S.E., Washington, District of Columbia 20590 Phone: (202) 366-0797

**Website Address:**

[http://www.fta.dot.gov/funding/grants/grants\\_financing\\_3549.html](http://www.fta.dot.gov/funding/grants/grants_financing_3549.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Per Congressional designation, recipients must conduct a competition to determine which projects should be funded.

**20.522 ALTERNATIVES ANALYSIS****FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), 109 Stat. 59, 49 U.S.C 533.

**OBJECTIVES:**

To assist in financing the evaluation of all reasonable modal and multimodal alternatives and general alignment options for identified transportation needs in a particular, broadly defined travel corridor.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to assist State and local governmental authorities in conducting alternatives analyses as part of the early planning for capital projects for new fixed guideway systems and extensions to existing fixed guideway systems. 100% are set aside for activities.

**Applicant Eligibility:**

Public agencies, including States; municipalities and other subdivisions of States; public agencies and instrumentalities of one or more States; and public corporations, boards, and commissions established under State law. Applicant must have legal, financial, and technical capacity to carry out proposed project and maintain facilities and equipment purchased with Federal assistance. Private non-profit organizations are not directly eligible recipients.

**Beneficiary Eligibility:**

The general public, both users and non-users of public transportation and public agencies. Private consultants may participate through contractual arrangements with a public agency grantee.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's Unified Planning Work Program (UPWP) and approved by FTA and FHWA. Applicant must complete certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Cost will be in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process that the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement may be required for this program. An environmental impact statement may also be required upon completion of the review. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Project funds may be allocated by Congress for specific projects. When applicable, a Notice of Funding Availability is published to announce the availability of discretionary funds and application process. The notification and application are also available at <http://www.grants.gov>.

**Award Procedure:**

Project funds may be allocated by Congress for specific projects. When

applicable, a Notice of Funding Availability is published to announce the availability of discretionary funds and application process. The notification and application are also available at <http://www.grants.gov>.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

FTA awards more than 80 percent of grants within 60 days of receipt of a completed application, with an average processing time of 36 days or less.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is made available annually, FY 2006-2010, through the appropriations process. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Funds for Alternatives Analysis projects are allocated based on statutory or discretionary basis. A grant may be made up to 80 percent of total project cost.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Terms and conditions are contractually agreed on between FTA and the applicant. The grants may be awarded in one lump sum or in smaller increments as specified by the grantee. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Progress reports; (2) Financial status reports. SF-425. (1) Progress reports; (2) Financial status reports. SF-425. (1) Progress reports; (2) Financial status reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401.

**Obligations:**

(Project Grants (for specified projects)) FY 10 \$24,947,988; FY 11 est \$24,947,988; and FY 12 est \$0 - FY 109 act \$24,947,988 ; FY 11 \$24,947,988 ; and FY 12 \$0.

**Range and Average of Financial Assistance:**

In FY 2006 Congressional designations range from \$300,000 to \$2,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Alternatives Analysis funds provided to transit and other public agencies each fiscal year have led to the evaluation of the costs and benefits of a range of transportation alternatives designed to address mobility problems and other locally-identified objectives in a defined transportation corridor. In many cases this has led to the local selection of a project eligible for FTA New Starts or Small Starts funding. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please visit the Federal Transit Administration (FTA) website or contact the appropriate FTA Region office for more information. See Federal Register/ Vol.70, No. 229/ Wednesday, November 30, 2005/ Notices.

**Regional or Local Office:**

See Regional Agency Offices. See list of regional office contacts located in Appendix IV.

**Headquarters Office:**

Maurice Foushee 1200 New Jersey Ave., S.E , Washington, District of Columbia 20590 Phone: (202) 366-1636

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.500 Federal Transit\_Capital Investment Grants; 20.505 Federal Transit\_Metropolitan Planning Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The following link identifies 23 grants that were competitively awarded from 67 applications to the FY 2010 Notice of Funding Availability: [http://www.fta.dot.gov/news/news\\_events\\_12232.html](http://www.fta.dot.gov/news/news_events_12232.html)  
Example #1 Western Corridor, Chicago Transit Authority (Illinois). The north-south corridor runs along Western and Ashland Avenues in Chicago between Howard and 95th Streets. The grant amount of \$1,600,000 covers 80 percent of the \$2,000,000 study cost to examine transit alternatives that will support the Chicago Transit Authority's radial heavy-rail network.  
Example #2 North Corridor, Sound Transit (Washington). The corridor is located between Northgate Transit Center and Lynnwood along I-5 (approximately 8.2 miles). The grant amount of \$2,000,000 covers 32 percent of the \$6,300,000 study cost to determine the appropriate mode, alignment, and station locations for extending high capacity transit north from the soon-to-be-constructed Northgate Station in the City of Seattle. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Major, non-recurring capital investment Congressional designation.

**20.523 CAPITAL ASSISTANCE PROGRAM FOR REDUCING ENERGY CONSUMPTION AND GREENHOUSE GAS EMISSIONS**

Transit Investments for Greenhouse Gas and Energy Reduction or "TIGGER" Grants

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

The American Recovery and Reinvestment Act (ARRA) , Public Law 111-5; The Consolidated Appropriations Act, 2010 , Public Law 111-117.

**OBJECTIVES:**

To assist public agencies that provide transit service in financing the acquisition of capital assets to reduce energy consumption or greenhouse gas emissions.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Eligible projects include the purchase of transit capital assets that will reduce energy consumption or greenhouse gas emissions. Public Transportation Agencies. Applicants must have the legal, financial, and technical capacity to carry out the proposed project and maintain facilities and equipment purchased with federal assistance. The program is a 100% discretionary program.

**Applicant Eligibility:**

Only public transportation agencies are eligible recipients.

**Beneficiary Eligibility:**

Only public transportation agencies are eligible recipients.

**Credentials/Documentation:**

Grants and cooperative agreements: Initial proposal should include project objectives, background, and project description, including time schedule, budget, and applicant's organizational experience. Legal opinion and compliance with labor requirements are required later. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. This program is subject to the provisions of 49 CFR Part 18 for State and local governments.

**Award Procedure:**

After a competitive selection process, the Federal Transit Administrator, Federal Transit Administration, selects projects to be allocated funds. An FTA grant or cooperative agreement award obligating Federal funds is reflected in a grant agreement or cooperative agreement. To access funds, the recipient must execute the grant agreement or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies with the complexity of the project. ARRA funded projects must be fully expended by September 30, 2015. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final by electronic filing. SF-425. (1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. Electronic filing is preferred. SF-425. (1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. Electronic filing is preferred.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients shall retain records for 3 years following submission of a final expenditure report, pending resolution of audit findings, all project contracts documents, financial records, and supporting records.

**Account Identification:**

69-1101-0-1-401.

**Obligations:**

(Project Grants) FY 10 \$75,000,000; FY 11 est \$49,900,000; and FY 12 est \$75,000,000 - ARRA appropriated \$100M. The FY 2010 Appropriations included \$75M.

**Range and Average of Financial Assistance:**

\$250,000 to \$10,800,000. Average: \$2,300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY10 appropriations are currently going through the award process. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fiscal Year 2010 Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements; Notice published October 1, 2009. For other fiscal years, contact the FTA Office of Research Demonstration and Innovation to obtain the publication dates. FTA website [www.fta.dot.gov](http://www.fta.dot.gov). Other information will be made available upon request.

**Regional or Local Office:**

See Regional Agency Offices. Vince Valdes, Associate Administrator for Research, Demonstration and Innovation (TRI-1), Federal Transit Administration, Department of Transportation, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone: (202) 366-4052. Linda Wolfe, Office of Research, Demonstration and Innovation, (202) 366-8511.

**Headquarters Office:**

Sylvia L. Marion, 1200 New Jersey Ave. S.E., Washington, District of Columbia 20590 Phone: (202) 366-6680.

**Website Address:**

<http://www.fta.dot.gov/research>

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants; 20.507 Federal Transit\_Formula Grants; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: ARRA funded projects selected in FY2009, were obligated funding in FY2010. Projects under the FY2010 appropriation are currently being selected. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected on the following criteria: energy savings of the project and/or greenhouse gas emission reductions of the project; innovation; cost; national applicability, project readiness, project management capabilities, return on investment, and geographic diversity.

**20.600 STATE AND COMMUNITY HIGHWAY SAFETY****FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Highway Safety Act of 1966, as amended, 23 U.S.C 401.

**OBJECTIVES:**

To provide a coordinated national highway safety program to reduce traffic crashes, deaths, injuries, and property damage.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Formula grant funds may be used for problems identified within the nine national priority program areas of Alcohol and other Drug Countermeasures, Police Traffic Services, Occupant Protection, Traffic Records, Emergency Medical Services, Motorcycle Safety, Pedestrian/Bicycle Safety, Speed Control and Roadway Safety. Other program areas identified by a State as constituting a highway safety problem in that State, e.g., pupil transportation safety programs, may be eligible for Federal funding, as encompassing a major highway safety problem in the State and for which effective countermeasures have been identified. The law provides that at least 40 percent of these Federal funds apportioned to a State for any fiscal year will be expended by the political subdivisions of such State. The law provides that at least 40 percent of these Federal funds apportioned to a State for any fiscal year will be expended by the political subdivisions of such State.

**Applicant Eligibility:**

States, federally recognized Indian tribes, the District of Columbia, Puerto Rico, American Samoa, Guam, Northern Marianas, and the Virgin Islands.

**Beneficiary Eligibility:**

Political subdivisions, through the State Highway Safety Agencies.

**Credentials/Documentation:**

Performance plan approved by the agency is required and Highway Safety plan, certification statement, and Program Cost Summary. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. State Plan due date is September 1 for the formula grant program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

NHTSA Regional Administrators and FHWA Division Administrators review each State's Performance Plan and Highway Safety Plan. This program is exempt from the standard application forms required by the Government-wide Common Grant Rule for State, Local, and Indian Tribal Governments. Assistance from NHTSA and FHWA is continuously available to participants in this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Submission of Highway Safety Plan covering State and community highway safety activities for the year to NHTSA regional offices.

**Award Procedure:**

Awards are made by NHTSA Regional Administrators.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Two months.

**Appeals:**

Appeals of decisions by NHTSA Regional Administrators are to the NHTSA Associate Administrator for Regional Operations and Program Delivery.

**Renewals:**

Each year, States submit Performance Plans and Highway Safety Plans as part of continuing formula grant program.

**Formula and Matching Requirements:**

Statutory Formula: Title 49 CFR, Chapter 1240.11, 1240.12, 1240.13. Matching Requirements: Percent: 75%. 75 percent apportioned on total resident population; 25 percent apportioned against public road mileage in States. Federal share shall not exceed 80 percent or applicable sliding scale. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of funds method. Funds placed under obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

States are required to submit annual program reports to the Federal Highway Administration and to the National Highway Traffic Safety Administration. No cash reports are required. Progress reports are not applicable. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to the program shall be retained for a period not less than 3 years from the date of submission of final financial report.

**Account Identification:**

69-8020-0-7-401; 69-8019-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$234,870; FY 11 est \$235,000; and FY 12 est \$235,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: All States, Territories, DC and the BIA received Section 402 funds to improve traffic safety programs to reduce deaths and injuries on our highways. Fiscal Year 2011: All States, Territories, DC and the BIA received Section 402 funds to improve traffic safety programs to reduce deaths and injuries on our highways. Fiscal Year 2012: Additional funds will be awarded to all States, Territories, DC and the BIA received Section 402 funds to improve traffic safety programs to reduce deaths and injuries on our highways.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR Chapter II, State and Community Highway Safety Grant Program; Manual on Uniform Traffic Control Devices; Handbook of Highway Safety Design and Operating Practice, available from Government Printing Office, Washington, DC 20402.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of National Highway Traffic Safety Administration regional office addresses.

**Headquarters Office:**

Mary Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Phone: (202) 366-2715.

**Website Address:**

<http://www.nhtsa.whatsup/fedassist/index.html>

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funds were used for programs to increase occupant restraint use including safety belts and child safety seats, decrease the incidence of impaired driving, to develop and improve traffic records systems, to improve EMS programs, to reduce the number of pedestrian and bicycle crashes, to improve motorcycle rider safety and for selective traffic enforcement programs. Fiscal Year 2011: Funds are being used for selective traffic enforcement programs including equipment, training of police personnel and overtime salaries; upgrading of emergency medical services including training of EMS personnel and salaries for statewide EMS coordinators; programs to reduce alcohol-related crashes including equipment, training, personnel, studies and public education; traffic records systems including surveys, system designs and implementation, equipment, personnel and training; occupant protection programs including public education relating to the use of safety belts and child safety seats, program implementation such as child safety seat checkpoints and loaner programs, personnel and training. Fiscal Year 2012: Funds will be used for programs to increase occupant restraint use including safety belts and child safety seats, decrease the incidence of impaired driving, to develop and improve traffic records systems, to improve EMS programs, to reduce the number of pedestrian and bicycle crashes, to improve motorcycle rider safety and for selective traffic enforcement programs.

**CRITERIA FOR SELECTING PROPOSALS:**

The Federal/State relationship for the highway safety grant program is a partnership. Each State is given flexibility in the administration of its own highway safety program. Federal funds are obligated in support of a highway safety program based on problems identified by the State. States have latitude in determining projects upon which they spend their Federal monies.

## **20.601 ALCOHOL IMPAIRED DRIVING COUNTERMEASURES INCENTIVE GRANTS I**

Alcohol Impaired Driving Countermeasures Incentive Grants

### **FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2004, Section 2007, Public Law 109-59, 23 U.S.C 410.

### **OBJECTIVES:**

To encourage States to adopt effective programs to reduce crashes resulting from persons driving while under the influence of alcohol.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to implement effective programs to reduce drunk and drugged driving, in compliance with established criteria.

### **Applicant Eligibility:**

States, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. States are provided with two alternative means to qualify for a Section 410 grant. Under the first alternative, States may qualify as a low fatality rate State if they have an alcohol-related fatality rate of 0.5 or less per 100 million vehicle miles traveled (VMT). Under the second alternative, States may qualify as a programmatic State if they demonstrate that they meet three of eight grant criteria for fiscal year 2006, four of eight grant criteria for fiscal year 2007, and five of eight grant criteria for fiscal years 2008, 2009 and for the remainder of the current authorization. Qualifying under both alternatives would not entitle the State to receive additional grant funds. SAFETEA-LU directs that States with low alcohol-related fatality rates, based on the agency's Fatality Analysis Reporting System (FARS), be awarded grants without the need to satisfy any of these programmatic criteria. There is also an additional Section 410 grant available to assist the 10 States with the highest impaired driving related fatalities as determined by the most recent FARS data. A High fatality rate State may also apply as a programmatic State.

### **Beneficiary Eligibility:**

State Highway Safety Agency.

### **Credentials/Documentation:**

State submits certification and application that it meets eligibility requirements; after being informed by the National Highway Traffic Safety Administration (NHTSA) that it is eligible for a grant, the State describes the programs it will implement and fund in the Annual Highway Safety Plan. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. High Fatality Rate States only must submit a plan for grant expenditures with the application.

### **Award Procedure:**

The State submits information that reflects its eligibility for the award based on the criteria for which it is applying. NHTSA staff review the information to determine the eligibility of the State. If the State is deemed eligible to receive an award, it will be notified by the Region and will also receive an official letter of award from the NHTSA Administrator. The release of grant funds shall be subject to the availability of funds for that fiscal year.

### **Deadlines:**

Aug 01, 2011 Applications would be required to be submitted to the agency no later than August 1 of the fiscal year in which the States are applying for grant funds.

### **Range of Approval/Disapproval Time:**

From 30 to 60 days. Applicant should receive a response, from the agency, between 30 to 60 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

States are eligible for up to 4 years under the 410 program or until the end of the current authorization. Certification and plan must be approved each year.

### **Formula and Matching Requirements:**

Statutory Formula: Title 23 CFR, Chapter 4, Part 1313.

Matching Requirements: The first and second year of the grant the States provide a 25% match. For the third and fourth year the States provide a 50% match and for the fifth, sixth, seventh and eighth year the States provide a 75% match.

This program has MOE requirements, see funding agency for further details.

### **Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Annual program plan for next year's funding. No cash reports are required. A progress report on the prior year's program and accomplishments is required in the application, for high fatality rate States only. All other States must report in their Annual Highway Safety Report. SF-425. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Records relating to the program shall be retained for a period not less than 3 years from the date of submission of final financial report.

### **Account Identification:**

69-8020-0-7-401.

### **Obligations:**

(Project Grants) FY 10 \$138,500,500; FY 11 est \$138,500,500; and FY 12 est \$138,500,500 - FY 2010 -138,500,000 for grants plus \$500,00 for RPD  
FY 2011-138,500,000 for grants plus \$500,00 for RPD  
FY2012 - FY 2010-138,500,000 for grants plus \$500,00 for RPD.

### **Range and Average of Financial Assistance:**

\$972,388 to \$17,973,219.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: : In FY 2010, 48 States, Puerto Rico and the District of Columbia received Section 410 grants to enhance programs focused on impaired driving. 24 States and the District of Columbia were low fatality rate States.

Implementation of impaired driving activities found in the Programmatic Criteria section, as well as costs for high visibility enforcement; the costs of training and equipment for law enforcement; the costs of advertising and educational campaigns that publicize checkpoints, increase law enforcement efforts and target impaired drivers under 34 years of age; the costs of a State impaired operator information system, and the costs of vehicle or license plate impoundment. In FY2010, 48 States, Puerto Rico and the District of Columbia received grants. Fiscal Year 2011: 27 States and the District of Columbia are low fatality rate States

2011 Not awarded. Fiscal Year 2012: 2012 not awarded.

## **REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR Chapter 4 Part 1313.

### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of National Highway Traffic Safety Administration regional office addresses.

### **Headquarters Office:**

Maggi Gunnels, 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

### **Website Address:**

www.nhtsa.dot.gov

### **RELATED PROGRAMS:**

20.600 State and Community Highway Safety

### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Driving while intoxicated (DWI) prevention programs with special emphasis on law enforcement of drunk driving laws, and public awareness, advertising and education about such laws; police training in a variety of drunk and impaired driving issues; underage drinking establishment of DWI court. and the procurement of technology and equipment, including video equipment, and passive alcohol sensors. Fiscal Year 2011: Same as in FY2010. Fiscal Year 2012: No Current Data Available

### **CRITERIA FOR SELECTING PROPOSALS:**

States must meet a certain number of criteria established by statute and regulation each year including, for example, prompt license suspension for drunk driving, mandatory sentencing for repeat drunk driving offenders and self-sustaining drunk driving prevention programs, improvement in Blood Alcohol Content (BAC) testing rates, an increase in the number of DWI courts and improvements in statewide high visibility enforcement coverage.

## **20.602 OCCUPANT PROTECTION INCENTIVE GRANTS**

Occupant Protection Incentive Grants

### **FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Public Law 109-59, 23 U.S.C 402.

### **OBJECTIVES:**

To encourage States to adopt effective programs to reduce highway deaths and injuries resulting from individuals riding unrestrained or improperly restrained in motor vehicles.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to implement and enforce occupant protection programs, in compliance with established criteria.

### **Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, American Samoa, Guam, Northern Marianas, Virgin Islands, and the Bureau of Indian Affairs.

### **Beneficiary Eligibility:**

State Highway Safety agencies.

### **Credentials/Documentation:**

A State submits certification and application that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

NHTSA Regional Administrator coordinates qualification process with the Office of Injury Control Operations and Resources. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs."

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Certifications, signed by the Governor's Representative for Highway Safety, are due no later than February 15 of each fiscal year to the appropriate NHTSA Regional Administrator. To apply for grant funds in a fiscal year, a State must submit the certification required by Federal Register, Vol. 7, No. 218, Monday, November 14, 2006, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Regional Administrator.

### **Award Procedure:**

A State submits certification that it meets eligibility requirements. After being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. NHTSA notifies the Governor in a letter that the State has met the requirements for a Section 405 grant. The letter also describes the amount of the grant award.

### **Deadlines:**

Feb 15, 2012 Application proposals and certifications are due by February 15 of each year.

### **Range of Approval/Disapproval Time:**

From 30 to 60 days. Program plan and funds should be obligated within 30 days of receipt of award letter.

### **Appeals:**

Not Applicable.

### **Renewals:**

States are eligible for up to 6 years under this program. They must be certified and a plan must be submitted each year.

### **Formula and Matching Requirements:**

Statutory Formula: Title 23 CFR, Chapter 401, Part 1345.

Matching Requirements: Under the 405 program, basic grant funding is up to 100 percent of their Section 402 apportionment for FY 2003. The Federal share shall not exceed 75 percent in the first and second years, 50 percent in the third and fourth years, and 25 percent in the fifth and subsequent years.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Annual program plan for next year's funding must include a progress report on the prior year's program and accomplishments. Cash reports are not applicable. Annual program plan for next year's funding must include a progress report on the prior year's program and accomplishments. SF-425. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

### **Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants) FY 10 \$25,000,000; FY 11 est \$25,000,000; and FY 12 est \$25,000,000

**Range and Average of Financial Assistance:**

The range is \$ 74,843 3,109,419.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 38 States, DC, PR, VI, CMNI and Guam qualified for S. 405 grants in FY 2010. States used funds for enforcement of occupant protection laws, training of law enforcement in occupant protection and public education on the importance of buckling up on each and every trip for the driver and passenger(s) and properly securing children in age appropriate child safety seats. Fiscal Year 2011: 39 States, DC, PR, VA, CMNI, Guam, and AS received S. 405 grants in FY 2011. Accomplishments will be reported on in their FY 2011 HSP Annual Report that is due 12/31/11. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Part 1345, Section 2004, Public Law 109-59, as amended, 23 U.S.C. 402.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Maggi Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: Maggi.Gunnels@dot.gov Phone: (202) 366-2121

**Website Address:**

<http://nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 38 States, DC, PR, VI, CMNI and Guam qualified for S. 405 grants in FY 2010. States used funds for enforcement of occupant protection laws, training of law enforcement in occupant protection and public education on the importance of buckling up on each and every trip for the driver and passenger(s) and properly securing children in age appropriate child safety seats. Fiscal Year 2011: 39 States, DC, PR, VA, CMNI, Guam, and AS received S. 405 grants in FY 2011. Accomplishments will be reported on in their FY 2011 HSP Annual Report that is due 12/31/11. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States must meet 4 out of 6 criteria established by statute and regulation including safety belt use law for all passengers, primary safety belt use law, minimum fine or penalty points, statewide special traffic enforcement programs, child passenger protection education program, and child passenger protection law.

**20.607 ALCOHOL OPEN CONTAINER REQUIREMENTS**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Highway Safety Act of 1998, as amended, 23 U.S.C 154.

**OBJECTIVES:**

To encourage States to enact and enforce an alcohol open container law.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws. A State may elect to use all or part of its transferred funds for activities eligible under Section 154 Hazard Elimination program. Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws. A State may elect to use all or part of its transferred funds for activities eligible under Section 154 Hazard Elimination program.

**Applicant Eligibility:**

States, the District of Columbia, and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

If a State has not enacted and is not enforcing an Open Container Law, then a State is subject to the penalty transfer program. After being informed by NHTSA that it is subject to the penalty transfer, the State submits to the agency a split letter advising the agency of the intent to split funds between alcohol programs or hazard elimination programs (FHWA). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. NHTSA Regional Administrators coordinate the qualification process with the Office of Regional Operations and Program Delivery. This program is eligible for coverage under Executive Order 12372, Intergovernmental Review of Federal Programs

**Award Procedure:**

Once the State provides the agency with a split letter to NHTSA, the State will be given access to the transfer and can obligate the funds.

**Deadlines:**

Sep 30, 2011 States must have a compliant law by September 30 of each year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applicant should receive a response from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

States are eligible for the penalty for up to 4 years.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 1270.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. SF -425. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$183,000,000; FY 11 est \$183,000,000; and FY 12 est \$183,000,000

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Funding of alcohol-impaired driving countermeasures, funding for law enforcement agencies for training and emphasis on alcohol-impaired countermeasure programs. Fiscal Year 2011: Funding of projects for alcohol-impaired driving countermeasures, funding of law enforcement agencies for enforcement of laws, training of law enforcement for alcohol-impaired driving countermeasures, purchase of equipment, sobriety checkpoints and implementation of impaired driving special enforcement emphasis. Fiscal Year 2012: Projection: \$183,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR 1270.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of NHTSA.

**Headquarters Office:**

Maggi Gunnels, 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

<http://www.nhtsa/whatsup/fedassist/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Trained law enforcement, conduct roadside safety checkpoints; funded judicial courts; DWI outreach projects, and funded impaired driving prevention programs. Fiscal Year 2011: Funded DUI focused traffic bureau, DUI enforcement, media campaigns, DUI courts, judicial and prosecutor training, and impaired driving prevention programs. Fiscal Year 2012: Continue to fund impaired driving enforcement, media campaigns, DUI courts, DWI tracking systems, ignition interlock monitoring, and law enforcement training.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.608 MINIMUM PENALTIES FOR REPEAT OFFENDERS FOR DRIVING WHILE INTOXICATED**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Highway Safety Act of 1998 as amended, 23 U.S.C 164.

**OBJECTIVES:**

To encourage States to enact and enforce Repeat Intoxicated Offender laws.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws. A state may elect to use all or part of its transferred funds for activities eligible under Section 152 Hazard Elimination program. Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws.

**Applicant Eligibility:**

States, the District of Columbia, and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

If a State has not enacted and is not enforcing a Repeat Intoxicated Driver Law, then a state meets eligibility requirements. After being informed by NHTSA that it is eligible for a grant, the state submits to the agency a plan that describes the programs the state will implement using the funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

NHTSA Regional Administrators coordinate the qualification process with the Office of Regional Operations and Program Delivery. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. If a state has not enacted and is not enforcing a Repeat Intoxicated driver Law, then a state is subject to the penalty transfer funds. After being informed that it is subject to the penalty transfer, the state submits to the agency a Split letter that provides the intention of the State to split the funds between Alcohol Enforcement or Hazard Elimination (FHWA).

**Award Procedure:**

Awards will be made by the NHTSA Regional Administrator.

**Deadlines:**

Sep 30, 2011 States must have a compliant law by September 30 each year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applicant should receive a response from the agency between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

States are eligible for funding for the penalty for up to 4 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual report required under the section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. No cash reports are required. Annual report required under the section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. SF-425. Performance monitoring is not applicable.

**Audits:**



In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Project Grants) FY 10 \$171,000,000; FY 11 est \$171,000,000; and FY 12 est \$171,000,000

**Range and Average of Financial Assistance:**

The grants range from \$2,489,000 - \$54,546,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Funds were used for alcohol-impaired countermeasures, purchasing of equipment, training of officers for alcohol-impaired driving countermeasure programs. Fiscal Year 2011: Funds have been used for alcohol-impaired driving countermeasures as well as funding law enforcement agencies for enforcement of laws prohibiting driving while intoxicated or driving under the influence and other related laws. Fiscal Year 2012: Projection: \$171,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR 1270.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of NHTSA.

**Headquarters Office:**

Maggi Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: Maggi.gunnels@dot.gov Phone: (202) 366-2121

**Website Address:**

<http://www.nhtsa/whatsup/fedassist/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Implemented sobriety checkpoints, impaired driving prevention funding, DUI courts, judicial and prosecutor training. Fiscal Year 2011: Law enforcement training and education: DWI enforcement Media Campaigns, DWI Courts, Breath Test Enhancement, Youth Coordinator and Ignition Interlock Programs. Fiscal Year 2012: Continue impaired driving prevention, including enforcement, equipment and education and funding of DUI prosecutors.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.609 SAFETY BELT PERFORMANCE GRANTS**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 406, 23 U.S.C 408.

**OBJECTIVES:**

Increase safety belt use by encouraging States to enact and enforce primary safety belt laws. A primary safety belt law permits law enforcement officers to stop and cite motorists for failing to wear safety belts without requiring that some other motor vehicle violation first be observed.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

A state may use grant funds for any safety purpose under Title 23 or for any project that corrects or improves a hazardous roadway location or feature or proactively addresses highway safety problems. However, at least \$1 million of amounts received by States must be obligated for behavioral highway safety activities. At least \$1 million of amounts received by States must be obligated for behavioral highway safety activities.

**Applicant Eligibility:**

The 50 States, District of Columbia, Puerto Rico, American Samoa, the Commonwealth of the Northern Mariana Islands, Guam and the Virgin Islands are eligible to apply for a grant.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

States that apply as either New Primary Law States or Pre-2003 Primary Law States must submit a certification that their primary safety belt law is in effect and is being enforced, and must also provide a citation where a copy of the law may be obtained for review. States that apply as Safety Belt Performance States must submit the result of a statewide safety belt observational survey for each of the two calendar years preceding the fiscal year of the grant application, along with certifications that the surveys were conducted in conformance with NHTSA's Uniform Criteria for State Observational Surveys of Seat Belt Use (23 CFR Part 1340). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A State is eligible for a grant if it did not have a conforming primary safety belt law for all passenger motor vehicles in effect on or before December 31, 2002, and either: Enacts for the first time after December 31, 2002, and has in effect and is enforcing a conforming primary safety belt law for all passenger motor vehicles (States meeting this criterion are called New Primary Law States); or, After December 31, 2005, has a State safety belt use rate of 85 percent or more for each of the 2 consecutive calendar years immediately preceding the fiscal year of the grant (States meeting this criterion are called Safety Belt Performance States). A State that meets either of the above two criteria will receive a one-time grant equal to 475 percent of the State's apportionment under Section 402 for fiscal year 2003. If a State does not meet either of the above two criteria, and if funds remain after grants have been awarded to all States that do meet either of the two criteria by July 1 each year, the State will qualify for a one-time grant equal to 200 percent of its apportionment under Section 402 for fiscal year 2003 if it has in effect and is enforcing a conforming primary safety belt law for all passenger motor vehicles that was in effect before January 1, 2003 (States in this category are called Pre-2003 Primary Law States). States that are applying as either New Primary Law States or Pre-2003 Primary Law States must submit the required certification and citation (see Credentials / Documentation above) by July 1 of the year of the grant application. States applying as Safety Belt Performance States must submit the survey result and related certification for each of the two consecutive calendar years preceding the year of the grant application by March 1 of the calendar year immediately following the year in which the survey was conducted.

**Award Procedure:**

NHTSA will review the information contained in each State's application for compliance with Section 406 and notify qualifying States in writing of grant awards.

**Deadlines:**

Jul 01, 2011 States applying as either New Primary Law States or Pre-2003 Primary Law States must submit the required certification and citation by July 1 of the year of the grant application. States applying as Safety Belt Performance

States must submit the safety belt survey result and related certification by March 1 of the year immediately following the year in which the survey was conducted.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 406.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's Section 406 program for behavioral highway safety activities. No cash reports are required. The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's Section 406 program for behavioral highway safety activities. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$124,500,000; FY 11 est \$124,500,000; and FY 12 est \$124,500,000

**Range and Average of Financial Assistance:**

The range for these grants are \$784,250 35,502,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, one State, KS, received a grant for implementing a Primary Seat Belt Law. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Projected: \$124,500,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Public Law 109-59; 23 U.S.C. 408.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Maggi Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District

of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

http://nhtsa.dot.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Applications from States attempting to qualify as New Primary Law States or Pre-2003 Primary Law States will be reviewed to determine if the State is enforcing a primary safety belt use law that applies to all passenger motor vehicles. Applications from States attempting to qualify as Safety Belt Performance States will be reviewed to determine if the State's safety belt use rate was at or above 85 percent during each of the two consecutive calendar years immediately preceding the year of the grant application. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications from States attempting to qualify as New Primary Law States or Pre-2003 Primary Law States will be reviewed to determine if the State is enforcing a primary safety belt use law that applies to all passenger motor vehicles. Applications from States attempting to qualify as Safety Belt Performance States will be reviewed to determine if the State's safety belt use rate was at or above 85 percent during each of the two consecutive calendar years immediately preceding the year of the grant application.

**20.610 STATE TRAFFIC SAFETY INFORMATION SYSTEM IMPROVEMENT GRANTS**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, 23 U.S.C 406-408.

**OBJECTIVES:**

Encourage States to adopt and implement effective programs to improve the timeliness, accuracy, completeness, uniformity, integration and accessibility of State data; to evaluate the effectiveness of efforts to make such improvements; to link these State data systems, including traffic records, with other data systems within the State; and to improve the compatibility of the State data systems with national data systems and data systems of other States to enhance the ability to observe and analyze national trends in crash occurrences, rates, outcomes, and circumstances.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A State may use grant funds only to implement data improvement programs. A State may use grant funds only to implement data improvement programs.

**Applicant Eligibility:**

To qualify for a first-year grant, a State must demonstrate that it has an established multi-disciplinary highway safety data and traffic records coordinating committee; a developed multi-year safety data and traffic records strategic plan, approved by the coordinating committee and containing performance-based measures; certify that the State has adopted and is using the model data elements determined by the Secretary to be useful, or certify that grant funds will be used toward adopting and using the most elements practicable. To qualify for a subsequent-year grant, a State must certify that an assessment or audit of the State traffic records system has been conducted or updated within the preceding 5 years; certify that the coordinating committee continues to operate and supports the multi-year plan; specify how the grant funds and any other funds of the State will support the multi-year strategic plan; demonstrate measurable progress toward achieving the goals and objectives identified in the multi-year plan; and submit a report, showing measurable progress in the implementation of the multi-year plan. The 50 States, District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands and Indian tribes through the

Bureau of Indian Affairs are eligible to apply for a grant.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

A State would submit information unique to each criterion for which it chooses to demonstrate compliance. After being informed by NHTSA that it is eligible for a grant, the state submits to the agency a plan that describes the programs the state will implement using these funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. To apply for a first fiscal year grant, a State must submit the certification required by Appendix 1, signed by the Governor's Representative for Safety, to the appropriate NHTSA Administrator no later than June 15 of the fiscal year. To apply for a successive fiscal year grant, a State must submit the certification required by Appendix 2, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Administrator no later than June 15 of the fiscal year.

**Award Procedure:**

NHTSA will review each State's application for compliance with section 408 and notify qualifying States in writing of grant awards. SAFETEA-LU provides that the amount of each first fiscal year grant shall be the higher of \$300,000 or an amount determined by multiplying the amount appropriated to carry out the section 408 Program for that fiscal year by the ratio that the funds appropriated to the State under Section 402 for FY 2003 bears to the funds apportioned to all eligible States under Section 402 for FY 2003. Each State that qualifies for a successive fiscal year shall be eligible to receive the higher of \$500,000 or an amount determined by multiplying the amount appropriated to carry out the Section 408 Program for that fiscal year by the ratio that the funds apportioned to all eligible States under Section 402 for FY 2003.

**Deadlines:**

Jun 15, 2011 States must submit their certifications by June 15 (each year).

**Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

States are eligible for this grant for up to four years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. SF-425. The Annual Report required under Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. SF-425. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-0605-0-1-401.

**Obligations:**

(Project Grants) FY 10 \$34,500,000; FY 11 est \$34,500,000; and FY 12 est \$34,500,000 - FY 2011 estimate: \$34,500,000.

**Range and Average of Financial Assistance:**

The range is \$500.00- \$2,344,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: A total of 81 documented instances of the improvement of some attribute of data quality in one or more core traffic records database, collectively across 50 States, DC, Puerto Rico and 4 territories. Fiscal Year 2011: Estimated 65 documented instances of the improvement of some attribute of data quality (accuracy, timeliness, completeness, uniformity, accessibility or integration) in one or more core traffic records database (Crash, Driver, Vehicle, Roadway, Citation / Adjudication or EMS / Injury Surveillance), collectively across 50 States, DC, Puerto Rico and 4 territories. Fiscal Year 2012: A minimum of 56 documented instances of the improvement of some attribute of data quality in one or more core traffic records database, collectively across 50 States, DC, Puerto Rico and 4 territories, assuming the program continues through FY 2012. Expenditure of \$34,500,000 in grant awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Public Law 109-59; 23 U.S.C. 408.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Maggi Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

<http://webster.nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Approximately 1,000 projects pursuing improvement of one or more attribute of data quality (accuracy, timeliness, completeness, uniformity, accessibility and integration) in one or more core traffic records database (Crash, Driver, Vehicle, Roadway, Citation / Adjudication and EMS / Injury Surveillance), collectively across 50 States, DC, Puerto Rico and 4 territories. Fiscal Year 2011: Approximately 1,000 projects pursuing improvement of one or more attribute of data quality (accuracy, timeliness, completeness, uniformity, accessibility and integration) in one or more core traffic records database (Crash, Driver, Vehicle, Roadway, Citation / Adjudication and EMS / Injury Surveillance), collectively across 50 States, DC, Puerto Rico and 4 territories. Fiscal Year 2012: Approximately 1,000 projects pursuing improvement of one or more attribute of data quality (accuracy, timeliness, completeness, uniformity, accessibility and integration) in one or more core traffic records database (Crash, Driver, Vehicle, Roadway, Citation / Adjudication and EMS / Injury Surveillance), collectively across 50 States, DC, Puerto Rico and 4 territories, assuming the program continues through FY

2012.

**CRITERIA FOR SELECTING PROPOSALS:**

SAFETEA-LU provides that a State may qualify for a grant under the section 408 by demonstrating that it has an established Traffic Records Coordinating Committee (TRCC), a multi-year safety data and traffic records strategic plan approved by the TRCC, certify that the State has adopted and is using the Model Minimum Uniform Crash Criteria (MMUCC) or certify that it will use grant funds toward adopting and using the most elements practicable. To qualify in subsequent years, a State must certify that an assessment or audit of the State traffic records system has been conducted in the past five years, certify that the TRCC continues to support and operate the multi-year plan and submit a report showing measurable progress in the implementation of the multi-year plan.

**20.611 INCENTIVE GRANT PROGRAM TO PROHIBIT RACIAL PROFILING**

(Section 1906)

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 1906, Public Law 109-59, 23 U.S.C 402.

**OBJECTIVES:**

Encourage States to enact and enforce laws that prohibit the use of racial profiling in the enforcement of traffic laws on Federal-aid highways, and to maintain and allow public inspection of statistics on motor vehicle stops.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to enact and enforce laws to prohibit racial profiling, in compliance with the following established criteria. Law States may use Section 1906 grant funds for: collecting and maintaining data on traffic stops; evaluating the results of such data; and developing and implementing programs to reduce the occurrence of racial profiling, including programs to train law enforcement officers. Assurances States may use Section 1906 grant funds for: funding activities to prohibit racial profiling in the enforcement of State laws regulating the use of Federal-aid highways; collecting, maintaining and providing public access to traffic stop data; evaluating the results of such data; and developing and implementing programs to reduce the occurrence of racial profiling, including programs to train law enforcement officers. A State may not receive a grant for more than two fiscal years if it is qualifying for the grant as an Assurances State. A State may not receive a grant for more than two fiscal years if it is qualifying for the grant as an Assurances State.

**Applicant Eligibility:**

This Grant is available to the 50 states, the District of Columbia, Puerto Rico, the Virgin Islands, Guam American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

A State submits certification that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. All certifications must be submitted by July 1 for each fiscal year. To apply for grant funds in a fiscal year, a Law State must submit the certification required by Federal Register, Vol. 71, No. 22, Thursday, February 2, 2006, Appendix 1 and an Assurances State must submit the certification required by Federal Register, Vol. 71, No. 22, Thursday, February 2, 2006, Appendix 2, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Regional Administrator.

**Award Procedure:**

A State submits certification that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

**Deadlines:**

Jul 01, 2011 Applications must be received by the appropriate NHTSA Regional Office on or before July 1 of the fiscal year for which a State seeks a grant.

**Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Certifications must be submitted each year; however, a State may not receive a grant for more than two fiscal years if it is qualifying for the grant as an Assurances State.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. SF-425. The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants) FY 10 \$7,500,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Grant award ranges from \$885,460- \$454,170. Average grant is for \$668,544.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 1906, Pub. L.109-59, as amended, 23 U.S.C. 402. Federal Register, Vol. 71, No. 22, Thursday, February 2, 2006.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Maggi Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

<http://www.nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

SAFETEA-LU provides that a State may qualify for a grant under the Section 1906 Program in one of two ways: (a) by enacting and enforcing a law that prohibits the use of racial profiling in the enforcement of State laws regulating the use of Federal-aid highways and maintaining and allowing public inspection of statistical information on the race and ethnicity of the driver and any passengers for each such motor vehicle stop made by a law enforcement officer on a Federal-aid highway (a Law State); or (b) by providing satisfactory assurances to the Secretary that the State is undertaking activities to prohibit racial profiling and to maintain and provide public access to data on the race and ethnicity of the driver and passengers for each motor vehicle stop made by a law enforcement officer on a Federal-aid highway (an Assurances State).

**20.612 INCENTIVE GRANT PROGRAM TO INCREASE MOTORCYCLIST SAFETY**

(Section 2010)

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2010, Public Law 109-59.

**OBJECTIVES:**

Encourage States to adopt and implement effective programs to reduce the number of single and multi-vehicle crashes involving motorcyclists.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

As specified in SAFETEA-LU, a State may use Section 2010 grant funds only for motorcyclist safety training and motorcyclist awareness programs, including: (1) Improvements to motorcyclist safety training curricula; (2) Improvements in program delivery of motorcycle training to both urban and rural areas (including procurement or repair of practice motorcycles; instructional materials; mobile training units; and leasing or purchasing facilities for closed-course motorcycle skill training); (3) Measures designed to increase the recruitment or retention of motorcyclist safety training instructors; and (4) Public awareness, public service announcements, and other outreach programs to enhance driver awareness of motorcyclists. A State may use Section 2010 grant funds only for motorcyclist safety training and motorcyclist awareness programs, including: (1) Improvements to motorcyclist safety training curricula; (2) Improvements in program delivery of motorcycle training

to both urban and rural areas (including procurement or repair of practice motorcycles; instructional materials; mobile training units; and leasing or purchasing facilities for closed-course motorcycle skill training); (3) Measures designed to increase the recruitment or retention of motorcyclist safety training instructors; and (4) Public awareness, public service announcements, and other outreach programs to enhance driver awareness of motorcyclists.

**Applicant Eligibility:**

This Grant is available to the 50 states, the District of Columbia, and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

Eligibility for the Section 2010 grants is based on 6 specified grant criteria. To qualify for a Section 2010 grant for the first fiscal year the State seeks to qualify, it must demonstrate compliance with at least 1 of the 6 grant criteria. To qualify for a Section 2010 grant for the second and subsequent fiscal years that it seeks to qualify, a State must demonstrate compliance with at least 2 of the 6 grant criteria. A State would submit information unique to each criterion for which it chooses to demonstrate compliance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. To apply for grant funds in a fiscal year, a State must submit a completed application to the appropriate NHTSA Regional Administrator by the due date. NHTSA will review each State's application for compliance with Section 2010 and notify qualifying States in writing of grant awards. Upon initial review of the application, the proposed procedures would allow NHTSA to request additional information from the State prior to making a determination of award in order to clarify compliance with the statutory criteria and grant application procedures. SAFETEA-LU specifies that the amount of a grant made to a State for a fiscal year under this grant program may not be less than \$100,000 and may not exceed 25 percent of the amount apportioned to the State for fiscal year 2003 under section 402 of title 23, United States Code. However, the release of the full grant amounts under Section 2010 is subject to the availability of funding for each fiscal year.

**Award Procedure:**

NHTSA will review each State's application for compliance with Section 2010 and notify qualifying States in writing of grant awards. Once the State is notified, it will submit to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

**Deadlines:**

Aug 01, 2011 Applications must be received by the appropriate NHTSA Regional Office on or before August 1 of the fiscal year for which a State seeks a grant.

**Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Certifications must be submitted each year showing that changes have not been made to any information related to the criterion or criteria previously satisfied. A State may certify each subsequent year of the grant program.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 402.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. SF-425. No progress reports are required.

SF-425. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants) FY 10 \$7,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

The range for these grants are \$100,000 - \$482,959.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Awarded grant funding to 48 States and Puerto Rico. Fiscal Year 2011: Expect to award funding to 48 States and Puerto Rico. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2010, Public Law 109-59. Regulations are forthcoming and will be published in the 23 CFR Part 1350.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Maggi Gunnels, 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

<http://www.nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Awarded grant funding to 48 States and Puerto Rico. Fiscal Year 2011: Expect to award funding to 48 States and Puerto Rico. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

SAFETEA-LU provides that a State may qualify for a grant under the Section 2010 by satisfying one or more of six criteria. States must satisfy one criterion in the first year and two criteria in the subsequent years. In sum, the criteria are: (1) offering effective motorcycle rider training courses, (2) developing an effective motorcyclists awareness program, (3) showing a reduction in of

fatalities and crashes involving motorcycles, (4) implementing an impaired driving program, (5) showing a reduction of fatalities and accidents involving impaired motorcyclists, and/or (6) showing that all fees collected from motorcyclists are used for motorcyclists safety training and motorcycle awareness. A State must submit documents unique to each criterion the State wishes to qualify showing how the State demonstrates compliance with the criterion.

**20.613 CHILD SAFETY AND CHILD BOOSTER SEATS INCENTIVE GRANTS**

(Section 2011)

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2011, Public Law 109-59, 23 U.S.C 402.

**OBJECTIVES:**

To encourage States to enact and enforce a child restraint law that requires children up to 65 pounds and under 8 years of age to be properly restrained in a child restraint, unless they are 4' 9" tall.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

No more than 50 percent of the grant a State receives in a fiscal year shall be used to fund programs for purchasing and distributing child safety seats and restraints to low income families. The remaining amounts can be used to carry out child safety seat and child restraint program, including the following: enforcement of child restraint laws; training child passenger safety professionals, police officers, fire and emergency medical personnel, educators and parents concerning child safety seats and child restraints; and educating the public concerning the proper use and installation of child safety seats and child restraints. No more than 50 percent of the grant a State receives in a fiscal year shall be used to fund programs for purchasing and distributing child safety seats and restraints to low income families.

**Applicant Eligibility:**

The grant program is available to the 50 States, the District of Columbia and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

States submit certifications that it meets eligibility requirements no later than July 1 of each fiscal year. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Certifications, signed by the Governor's Representative for Highway Safety, are due no later than July 1 of each fiscal year to the appropriate NHTSA Regional Administrator. To apply for grant funds in a fiscal year, a New or Changed Law State must submit the certification required by Federal Register, Vol. 71, No. 20, Tuesday, January 31, 2006, Appendix 1 and an Unchanged Law State must submit the certification required by Federal Register, Vol. 71, No. 20, Tuesday, January 31, 2006, Appendix 2, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Regional Administrator.

**Award Procedure:**

A State submits certification that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. NHTSA notifies the Governor in a letter that the State has met the requirements for a Section 2011 grant. The letter also describes the amount of the grant award.

**Deadlines:**

Jul 01, 2011 Certifications must be received by the appropriate NHTSA Regional Administrator no later than July 1 of each fiscal year.

**Range of Approval/Disapproval Time:**

Applicants should receive a response from the agency between 30 to 90 days of receipt of certification whether their child passenger safety laws meet the Section 2011 criteria.

**Appeals:**

Not Applicable.

**Renewals:**

Certifications must be submitted each year no later than July 1 of that fiscal year.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 402.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering the eligible costs incurred. All participants have converted to the Electronic Transfer of Funds method. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. SF-425. The Annual Report required under the Section 402 State and community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years, following submission of a final expenditure report and other project deliverables, all product contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Project Grants) FY 10 \$7,000,000; FY 11 est \$7,000,000; and FY 12 est \$7,000,000

**Range and Average of Financial Assistance:**

The range is normally \$100,000 -\$700,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 23 States and the District of Columbia qualified for Section 2011 grants. Funds purchased car seats for low income families, trainings were conducted for law enforcement, fire and emergency medical personnel, educators and parents concerning child safety seats and restraints; and child

safety seat education programs for the public on the proper installation of child safety seats and restraints. Fiscal Year 2011: It is anticipated that at least 23 States will qualify for these grants in FY 2011 and that funds will be used to purchase car seats for low income families and provide training in child passenger safety for law enforcement, fire and emergency medical personnel, educators and parents concerning child safety seats and restraints; child safety seat education programs will be offered to the public on the proper installation of child safety seats and restraints. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2011, Public Law 109-59, as amended, 23 U.S.C. 402. Federal Register, Vol. 71, No. 20, Tuesday, January 31, 2006.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Maggi Gunnels, 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

<http://nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 23 States and the District of Columbia qualified for Section 2011 grants. Funds purchased car seats for low income families, trainings were conducted for law enforcement, fire and emergency medical personnel, educators and parents concerning child safety seats and restraints; and child safety seat education programs for the public on the proper installation of child safety seats and restraints. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

A certification from the Governor's Representative that the State is enforcing a child restraint law that conforms to the criteria established in Section 2011.

**20.614 NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION (NHTSA) DISCRETIONARY SAFETY GRANTS**

Highway Safety Research and Development)

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Highway Safety Act of 1966, as amended, and Public law 109-59 the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 403.

**OBJECTIVES:**

- (1) Conduct research on all phases of highway safety and traffic conditions, including accident causation, highway or driver characteristics, communications, and emergency care;
- (2) Conduct ongoing research into driver behavior and its effect on traffic safety;
- (3) Conduct research on, launch initiatives to counter, and conduct demonstration projects on fatigued driving by drivers of motor vehicles and distracted driving in such vehicles, including the effect of electronic devices and other factors have on driving;
- (4) Conduct training or education programs in cooperation with other federal departments and agencies, States, private sector persons, highway safety personnel, and law enforcement personnel;
- (5) Conduct research on, and evaluate the effectiveness of, traffic safety countermeasures, including seat belts and impaired driving initiatives;
- (6) Conduct research on, evaluate, and develop best practices related to driver education programs (including driver education curricula, instructor training and certification, program administration and delivery mechanisms) and make

recommendations for harmonizing driver education and multistage graduated licensing systems;

(7) Conduct research, training, and education programs related to older drivers

(8) Conduct demonstration projects; and

(9) Conduct research, training, and programs relating to motorcycle safety, including impaired operating and conduct safety research into drugs and driving behavior.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

The grants and cooperative agreements can only be used for those projects as authorized under Section 403 of Public Law 109-59. The grants and cooperative agreements can only be used for those projects as authorized under Section 403 of Public Law 109-59.

**Applicant Eligibility:**

Grantee application eligibility will be developed on an individual grant or cooperative agreement basis by the NHTSA Purchase Team.

**Beneficiary Eligibility:**

Public Non-Profit Institutions/Organizations; Sponsored Organizations; State; Local; Other Public Institutions; Federal Recognized Indian Tribal Government; U.S. Territory or Possession; Private Non-Profit Institution/Organizations; Quasi-Public Non-Profit Institutions/Organizations; Native American Organizations.

**Credentials/Documentation:**

Proposals with statement of work and estimated budget. Cost will be determined in accordance with OMB Circular Nos. A-87 for State and Local governments, A-21 for Educational Institutions, A-122 for Non-Profit and For-Profit Organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant and cooperative agreement application submissions shall be submitted to the grantee via grants.gov. Grantees will be required to complete the suite of SF 424 forms and the appropriate representations and certifications.

**Award Procedure:**

The application package shall be returned via grants.gov. Award will be made by NHTSA Office of Acquisition Management personnel.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None. The deadlines shall be established in each grant or cooperative agreement application package.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals and/or extension may be available. Requests must be submitted to the NHTSA Office of Acquisition Management for approval.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length is specific to each grant or cooperative agreement. The funds can be released in a lump sum, but normally the grantees are reimbursed for funds expended. See the following for information on how assistance is awarded/released: Cost Reimbursement.

**Reports:**

Quarterly progress reports are required. Quarterly progress and expenditures reports are required. The final report is due at the end of the grant or cooperative agreement. Quarterly progress and expenditures reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with federal Acquisition Regulations.

**Records:**

Records are due in accordance with the terms and conditions of each grant or cooperative agreement. Records will be retained in accordance with provisions of OMB Circular No. A-110 for Institutions of Higher Education, Other Nonprofit Organizations, and Commercial Organizations and in accordance with 15 CFR Part 24 for State and Local Governments.

**Account Identification:**

69-0650-0-1-401.

**Obligations:**

(Project Grants) FY 10 \$40,000,000; FY 11 est \$40,000,000; and FY 12 est \$40,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Numerous research reports, program effectiveness reports released. Program implementation materials and guidelines See NHTSA website at www.nhtsa.dot.gov for more information. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Highway Safety Act of 1966, as amended (23 U.S.C. Chapter 4) or Section 403 of Public Law 109-593.

**Regional or Local Office:**

None. NHTSA Office of Acquisition Management.

**Headquarters Office:**

Lloyd S. Blackwell, 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Phone: (202) 366-3485.

**Website Address:**

lloyd.blackwell@dot.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Numerous technical assistance reports, guidelines, results of demonstration projects and research papers in various driver behavior topics. See www.nhtsa.gov for most relevant products. Fiscal Year 2011: Numerous technical assistance reports, guidelines, results of demonstration projects and research papers in various driver behavior topics. See www.nhtsa.gov for most relevant products. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grantee criteria for selecting proposals will be developed on an individual grant or cooperative agreement basis by the NHTSA Purchase Team.

**20.700 PIPELINE SAFETY PROGRAM BASE GRANTS**

**FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

Natural Gas Pipeline Safety Act of 1968, Public Law 090-481, 86 Stat. 616, 49 U.S.C 1971.



**OBJECTIVES:**

To develop and maintain State gas and hazardous liquid pipeline safety programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Federal Pipeline Safety Law authorizes Federal reimbursement of up to 80 percent of a State's expenditure during the year for personnel, equipment, and activities reasonably required by the State agency for the conduct of its pipeline safety program. The Law further stipulates that the State expenditures in any given year, without Federal assistance, cannot be less than the average amount expended by the State for gas and hazardous liquid safety programs for the 3 fiscal years prior to the fiscal year in which the Secretary makes the payment, except when the Secretary waives this requirement. The State agency must also agree to provide the remaining cost of the safety program(s). Within these limitations, the available funds are allocated by a method designed to reflect the degree to which a State has met certain goals established. The allocation is determined by assigning point values to the States for having achieved certain levels of program participation, dividing this point score by the sum of the States' point scores, and multiplying this ratio by the amount available for the distribution. PHMSA distributed the remaining funds according to certain criteria designed to seek improvements in State programs. The criteria used by PHMSA were the extent of intrastate jurisdiction, inspector qualifications, recommended number of inspection person-days, State adoption of applicable Federal regulations, and other relevant criteria. In 2010, the Federal allocations represented 75.57 percent of the total estimated State requests in the natural gas program (range: 51.64 to 70.56 percentage of request). The Federal allocation in the hazardous liquid program represented 64.68 percent of the total estimated State requests (range: 63.503 to 70.559 percent). Funds must be dedicated to the Certified Pipeline Safety Program.

**Applicant Eligibility:**

State must have a 60105 Certification or 60106 Agreement with PHMSA. The Department provides Federal funds, up to 80 percent of the States total program costs to any State agency with a certificate under Section 60105 of Title 49, United States Code, an agreement under Section 60106 of Title 49, United States Code, or to any State acting as a DOT agent on interstate pipelines. State must agree that the aggregate expenditures of State funds, exclusive of Federal funds, on the pipeline program for the calendar year to which the Federal funds apply are/not less than the average level of such expenditures for the previous 3 years.

**Beneficiary Eligibility:**

State, District of Columbia, and Puerto Rico.

**Credentials/Documentation:**

Appropriate State legal official must approve legality of agency application and agreement. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and "Procedural Guide for the Pipeline Safety Grant Program." Application (plan) due date is September 30. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each State submits with its annual application a summary of estimated program costs by calendar year covering the State gas and/or hazardous liquid pipeline safety activities to the Pipeline and Hazardous Materials Safety Administration, DOT. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Awards are made by the Pipeline and Hazardous Materials Safety Administration, DOT, 1200 New Jersey Avenue, SE, Washington, DC 20590.

**Deadlines:**

Aug 01, 2011 to Sep 30, 2011 Applications are submitted by September 30 for the next calendar year. Director of State Programs may extend this deadline based on good cause.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days from date of receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 49 C.F.R., Part 198, Subpart 13.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Expenditures made by a State during the calendar year are eligible for Federal reimbursement. States receiving Federal assistance submit claims for reimbursement in February for the Federal share of the cost of actual expenditures between January 1 and December 31 of the year. See the following for information on how assistance is awarded/released: Electronic Funds Transfer.

**Reports:**

No program reports are required. SF-270. End of Year Payment Report. List State Actual Costs and reasons for deviation from estimated program costs. SF-270. Program Evaluation and Certification.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records relating to the program shall be retained for a period of not less than 3 years from the date of submission of the End of Year Payment Report.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Formula Grants (Health Incentive Grants)) FY 10 \$3,463,303; FY 11 est \$37,269,471; and FY 12 est \$37,269,471

**Range and Average of Financial Assistance:**

The range of grants awarded \$3,475 - \$2,224,908. Average -- \$562,303.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Forty-nine State agencies made applications for fiscal year 2010 for gas and/or liquid grant funds. No eligible State applicant was rejected. State agencies are increasing their knowledge of pipeline operators and conducting activities encouraging increasing safety of their pipeline systems. Fiscal Year 2011: 2011 PHMSA received forty-nine applications from State agencies for the fiscal year 2011 Natural Gas and Hazardous Liquid Safety Programs. State agencies continue to use funds to conduct safety audits and field inspections of pipeline operators for compliance with federal pipeline safety regulations. State agencies also use funds in damage prevention activities to increase public awareness and prevention of damages to underground facilities. Fiscal Year 2012: PHMSA anticipates receiving forty-nine applications from the State agencies for fiscal year 2012 Natural Gas and Hazardous Liquid Safety Programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 190, 191, 192, 193, 195, 198 and 199. Individual copies available from the Transportation Safety Institute, Pipeline Safety Program, Oklahoma City, Oklahoma 73125. "Procedural Guide for the

Pipeline Safety Grant Program." "Guidelines for States Participating in the Pipeline Safety Program." "Guidance Manual for Operators of Small Gas Systems."

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of Pipeline and Hazardous Materials Safety Administration regional office addresses.

**Headquarters Office:**

Zach Barrett, 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Phone: (405) 834-8344.

**Website Address:**

<http://www.phmsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 49 State Pipeline Safety Programs will participate in the grant resulting in safety oversight for over 2 million miles of pipeline. Fiscal Year 2011: Expecting 49 State Pipeline Safety Programs will participate in the grant resulting in safety oversight for over 2 million miles of pipeline. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All proposals from eligible State pipeline safety regulatory agencies are considered for funding to the limit of available grant money.

**20.701 UNIVERSITY TRANSPORTATION CENTERS PROGRAM**

**FEDERAL AGENCY:**

Research and Innovative Technology Administration, Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2004, Title 49, Part 5338, 5505-5506.

**OBJECTIVES:**

To provide grants to nonprofit institutions of higher learning for the purpose of establishing and operating university transportation centers that conduct research, education, and technology transfer programs addressing regional and national transportation issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The University Transportation Centers will address surface transportation problems and issues and will seek solutions to both long-range and immediate transportation problems. See below for information about grant matching requirements.

**Applicant Eligibility:**

For the program's competitive grants, public and private nonprofit institutions of higher learning that have established transportation research programs. Non-competitive grants must also be to public and private nonprofit institutions of higher learning but may or may not have established programs.

**Beneficiary Eligibility:**

For the program's competitive grants, public and private nonprofit institutions of higher learning that have established transportation research programs. Non-competitive grants must also be to public and private nonprofit institutions of higher learning but may or may not have established programs.

**Credentials/Documentation:**

A formal application outlining in detail how the institution meets program mission and goals; proposed management of the center; detailed delineation of organization, staff, faculty, and budget. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Two competitive selections for new grants will be held during 2006 for 1) one grant in each of ten standard Federal regions of the U.S. and 2) ten other grants with no locational restrictions. Applications will consist of standard Federal grant application and related forms and a proposal prepared to specifications that the agency will provide.

**Award Procedure:**

Applications will be reviewed by a Departmental panel. Selection will be made by the RITA Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately six weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive grants are for a four-year period; noncompetitive grants are for periods stated in the authorizing legislation. Grants are renewable each year upon satisfactory completion of prior-year work.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. The Federal share of a grant shall be 50 percent of the costs of establishing and operating the university transportation center.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Three, four, or five years as designated in the authorizing legislation. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Final technical report at the end of each research project. SF-270 (Request for Advance or Reimbursement). Semi-annual and annual progress and financial reports. SF-425 (Financial Reporting Form). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Consistent with OMB Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-8083-0-7-401; 69-1136-0-1-401.

**Obligations:**

(Project Grants) FY 10 \$80,771,500; FY 11 est \$85,000,000; and FY 12 est \$85,900,000

**Range and Average of Financial Assistance:**

The range for grants awarded are \$500,000 - \$3,500,000 per center per fiscal year depending upon language in the authorizing legislation.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Past accomplishments include the launch of the RITA Innovation Transportation Series. A monthly speaker series showcasing

research being conducted at the UTCs.

Past accomplishments include the launch of the RITA Innovation Transportation Series. A monthly speaker series showcasing research being conducted at the UTCs. Fiscal Year 2011: Accomplishments of the UTC Program are expected to continue advancing the capabilities of the nations universities to conduct needed transportation research on local, regional and national issues, and educate the future transportation workforce, while continuing to enhance the degree of collaboration between and among universities, develop partnerships with state and local government. Fiscal Year 2012: Accomplishments of the UTC Program continue advancing the capabilities of the nations universities to conduct needed transportation research on local, regional and national issues, and educate the future transportation workforce, while continuing to enhance the degree of collaboration between and among universities, develop partnerships with state and local government.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Posted on the University Transportation Centers Program website at <http://utc.dot.gov>.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Denise E. Dunn, Research and Innovative Technology Administration, Office of Innovation, Research, and Education (RDT-30); Department of Transportation; 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Email: Denise.E.Dunn@dot.gov Phone: (202) 366-4985. Fax: 202-493-2993

#### **Website Address:**

<http://utc.dot.gov>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: See agency website; <http://utc.dot.gov>. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Resources available to conduct work of center; leadership in transportation; established transportation programs in prior years; ability to disseminate results (full text found in authorizing legislation at 49 U.S.C. 5506).

### **20.703 INTERAGENCY HAZARDOUS MATERIALS PUBLIC SECTOR TRAINING AND PLANNING GRANTS**

Hazardous Materials Emergency Preparedness Training and Planning Grants, (HMEP)

#### **FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

#### **AUTHORIZATION:**

Federal Hazardous Materials Transportation Act, Public Law 49-5101 et seq.

#### **OBJECTIVES:**

To increase State, local, territorial and Native American tribal effectiveness to safely and efficiently handle hazardous materials accidents and incidents; enhance implementation of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA); and encourage a comprehensive approach to emergency planning and training by incorporating response to transportation standards.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

#### **USES AND USE RESTRICTIONS:**

The grant program will be used to increase the emphasis on transportation in ongoing efforts and to improve the capability of communities to plan for and respond to the full range of potential risks posed by accidents and incidents involving hazardous materials. The grants have two principal uses: First, to assist States, Territories and Native American Tribes in developing, improving

and implementing emergency response plans under EPCRA; including the determination of flow patterns of hazardous materials within a State, between States and Native American lands; determining the need for regional hazardous materials response teams. Second, to stimulate support for training of Public Sector employees to respond to accidents and incidents involving hazardous materials. HMEP Grant funds can be used for expenses associated with planning and training for response to hazardous materials incidents in transportation.

#### **Applicant Eligibility:**

States, U. S. Territories and Federally recognized Native American Tribes may apply for either or both planning and training grants. The Governor or Official of each eligible applicant has been asked to designate an agency responsible for managing the program. DOT will work with the designated organization.

#### **Beneficiary Eligibility:**

All segments of the U.S. including Territories and Native American tribal populations that are involved with management of or possible exposure to hazardous materials are benefited. Specifically Federal, State, and local responsibilities are assisted through the HMEP grant program. Students and trainees in emergency response and local emergency planning activities are program beneficiaries since grant funds will be used to benefit local programs.

#### **Credentials/Documentation:**

Applicants must certify that they meet or exceed a nonfederal maintenance of effort level equivalent to the average of aggregate nonfederal applicant expenditures for the preceding 2 years. They must also certify that the State, Territory or Native American Tribe is complying with sections 301 and 303 of EPCRA. Those States, Territories or Native American Tribes must agree to make at least 75 percent of the Federal planning funds awarded available to Local Emergency Planning Committees (LEPCs) for developing, improving, or implementing emergency plans, and 75 percent of the benefit of training funds available to local emergency responders. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact his or her, State, Territory or Native American Tribe for more information on the process required to follow in applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants are to complete and submit an application through [www.grants.gov](http://www.grants.gov). Funded applications will be subject to the Public Sector Planning and Training Grants Program regulation 49 Code of Federal Regulations (CFR), part 110, and 49 CFR, part 18, the A-102 based regulation, which governs all DOT grant programs.

#### **Award Procedure:**

The decision to fund will be made by the HMEP Grants Manager after considering internal review.

#### **Deadlines:**

Apr 01, 2011 to Jun 01, 2011 The deadline for submitting applications is June 1. Grant awards will be made in September.

#### **Range of Approval/Disapproval Time:**

From 30 to 90 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Other - Not Specified.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Nonfederal cost sharing of at least 20 percent of total project costs is required under provisions of HMEP, Section 117A(d). This program has maintenance of effort requirements; see funding agency for further details.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of project periods may extend from time of initial award through fiscal year 2011; however phased accomplishments or budget periods will limit the time frame for the funds awarded. Payments will generally be reimbursable, paid based on submission of a Request For Advance or Reimbursement Form 270 using DOT automated clearinghouse electronic transfer procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. SF-425 and SF-270. Final report accountability questions required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. N/A

**Records:**

Records of technical and financial accomplishments must be maintained for 3 years after submission of an acceptable final Financial Status Report, or until any unresolved audit issues are resolved.

**Account Identification:**

69-5282-0-2-407.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$26,800,000; FY 11 est \$26,800,000; and FY 12 est \$26,800,000

**Range and Average of Financial Assistance:**

The grant award ranges are \$12,713 - \$1,642,592. The average is \$346,284.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Recent events have proven that there can be no greater goal than improved hazardous materials safety. The HMEP grants program provides for hazardous materials response planning and training. These activities will ensure the safety of HazMat responders and the communities they serve. DOT data systems indicate that there are 15,000 -17,000 incidents each year, of which 500 are serious. Appropriate response to even one accident can more than compensate for the cost of the program, and an inappropriate response can easily cost many millions of dollars in property loss, and loss of human life. Fiscal Year 2011: Recent events have proven that there can be no greater goal than improved hazardous materials safety. The HMEP grants program provides for hazardous materials response planning and training. These activities will ensure the safety of HazMat responders and the communities they serve. DOT data systems indicate that there are 15,000 -17,000 incidents each year, of which 500 are serious. Appropriate response to even one accident can more than compensate for the cost of the program, and an inappropriate response can easily cost many millions of dollars in property loss, and loss of human life. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 Code of Federal Regulations, Part 110, Hazardous Materials Public Sector Training and Planning Grants; 49 Code of Federal Regulations, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and Indian tribes. A grant application kit is available from DOT that includes all guidance, regulatory and administrative requirements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kyra Stewart 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Email: kyra.stewart@dot.gov Phone: (202) 366-8752 Fax: (202) 366-3753

**Website Address:**

<http://www.phmsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Planning Activities: Commodity Flow Development, Hazard Analyses, etc. Training Activities: NFPA 472 Hazmat Training Courses. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable for grants to States and Territories. Grants made from the set aside for Native American Tribes will be in accordance with the following selection criteria: (1) Potential Benefit (30 points); (2) Priority Need (40 points); (3) Number of Public Sector Employees Trained (20 points); (4) Long Term Benefit to Tribe (10 points); (5) Past Performance (10 points).

**20.710 TECHNICAL ASSISTANCE GRANTS**

TAGs or TAG Program

**FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

Section 5 of the Pipeline Inspection, Protection, Enforcement, and Safety Act of 2006, 49 U.S.C 60130.

**OBJECTIVES:**

Development of engineering and other scientific analysis of pipeline safety issues, including the promotion of public participation in official proceedings.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The grant program is intended to allow communities and groups of individuals (not including for-profit entities) to obtain funding for technical assistance in the form of engineering or other scientific analysis of pipeline safety issues and help promote public participation in official proceedings. Grant funds may not be used for lobbying or in direct support of litigation.

**Applicant Eligibility:**

Use with Transportation .

**Beneficiary Eligibility:**

Public nonprofit institution/organization and Local.

**Credentials/Documentation:**

A written application addressing the evaluation criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Through the website at [www.Grants.gov](http://www.Grants.gov). Also see the annual solicitation for application procedures.

**Award Procedure:**

A committee of stakeholders will review applications. Grants will be awarded to applicants with the highest merit until the available funds are exhausted.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Applications due 60 to 90 days after opportunity is posted to [www.Grants.gov](http://www.Grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

One year from date of award. See the following for information on how assistance is awarded/released: Grant.

**Reports:**

Program reports are not applicable. SF-425 and SF-270. Each grant recipient will be required to provide a report to PHMSA demonstrating completion of the work as outlined in the grant agreement. Further, each recipient of a grant must ensure that: (1) The technical findings made possible by the grants are made available to the relevant operators; and (2) Open communication is maintained between the grant recipients, local operators, local communities and other interested parties. SF-425. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipient must maintain, for a period of 3 years beyond the end of the grant project period of performance.: (a) documentation supporting the cost incurred under the grant, (b) information regarding any sub-awards made using grant funds.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$1,000,000; FY 11 est \$1,000,000; and FY 12 est \$1,000,000 - FY2011 & FY2012 -- 1,000,000.

**Range and Average of Financial Assistance:**

The range is \$0 - \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: PHMSA made 21 awards totaling approximately \$945,000. Summaries of the awards are available at <http://primis.phmsa.dot.gov/tag>. Fiscal Year 2011: PHMSA has solicited for applications and awards will be made by September 30, 2011. Fiscal Year 2012: Pending congressional reauthorization of the program, PHMSA will solicit for FY2012 applications in December 2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 192.614, 49 CFR 192.616, 49 CFR 195.440, 49 CFR 195.442, 49 CFR 198.37, and 49 CFR 198.39 Individual copies of regulations may be requested from: Office of Pipeline Safety, Pipeline and Hazardous Materials Safety Administration, Department of Transportation, 1200 New Jersey Avenue, SE, East Building, 2nd Floor, Washington, DC 20590, Telephone: (202) 366-4595, Fax: (202) 366-4566.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sam Hall 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Email: [sam.hall@dot.gov](mailto:sam.hall@dot.gov) Phone: (804) 556-4678.

**Website Address:**

<http://primis.phmsa.dot.gov/tag>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: See <http://primis.phmsa.dot.gov/tag>.

"PA - PA State University - Forest Vegetation as a Bioindicator to Detect Leaking Natural Gas Pipelines" (DTPH56-10-G-PHPT01, End FY: 2011) [Manage Project 368]

Under this grant award the Pennsylvania State University - Office of Sponsored Programs will develop educational and outreach efforts to educate the public, informed citizens, municipalities, and pipeline operators on how to detect leaks in natural gas pipelines using forest vegetation as a bioindicator.

"NE - City of Seward - Hydrocarbon Monitoring for 30" oil pipeline through City of Seward Wellhead" (DTPH56-10-G-PHPT02, End FY: 2011) [Manage Project 369]

Under this grant award the City of Seward will design and install a monitoring network to detect crude oil leaks from the pipeline located near the City's Wellhead Protection Area. Furthermore, City of Seward will collect and document changes in soil gas and groundwater quality specific to petroleum hydrocarbons and inform the public.

"NM - Eastern Sandoval County Arroyo Flood Control Authority - Las Huertas Creek Channel Stability and Prudent Line Assessment" (DTPH56-10-G-PHPT03, End FY: 2011) [Manage Project 370]

The Eastern Sandoval County Arroyo Flood Control Authority will conduct work in the planning and outreach phase of a stream stability study and related implications for pipelines in a High Consequence Area (HCA).

"LA - Greater Lafourche Port Commission - Marine Pipeline Damage Prevention and Public Awareness Program" (DTPH56-10-G-PHPT04, End FY: 2011) [Manage Project 371]

The Greater Lafourche Port Commission will develop and implement a marine pipeline damage prevention and public awareness program for mariners navigating in coastal Louisiana and the Gulf of Mexico.

"NJ - Kearny Fire Department - Pipeline Emergency Response Assistance" (DTPH56-10-G-PHPT05, End FY: 2011) [Manage Project 372]

The Kearny Fire Department will purchase 12 multigas meters, 4 calibration systems with gas, and training DVDs to assist firefighters with responding to potential pipeline emergencies.

"FL - Leon County - Leon County High Pressure Pipeline Location Project" (DTPH56-10-G-PHPT06, End FY: 2011) [Manage Project 373]

This project will enhance the accuracy of GIS data pertaining to high-pressure pipelines in Leon County.

"TN - Oak Ridge Utility District - ORUDs GIS Project" (DTPH56-10-G-PHPT07, End FY: 2011) [Manage Project 374]

The Oak Ridge Utility District will deploy GIS to laptops in operator's vehicles to enable faster and more effective emergency response.

"WA - Pipeline Safety Trust - Development & Distribution of Guide on How Landowners Can Become Significant Partners in Ensuring Safety of Pipelines" (DTPH56-10-G-PHPT09, End FY: 2011) [Manage Project 375]

Pipeline Safety Trust will develop a resource guide for citizens near exiting and proposed pipelines.

"PA - S.A.V.E. - Development & Implementation of Chester County Coalition for Safety and Reliability of Pipeline Operations" (DTPH56-10-G-PHPT10, End FY: 2011) [Manage Project 376]

Under this grant award the Safety, Agriculture, Villages and Environment (S.A.V.E.), Inc will create a Chester County coalition for pipeline safety.

"OH - Shawnee Township Fire Department - Public Education Media Blast to Educate on the New 8-1-1" (DTPH56-10-G-PHPT11, End FY: 2011) [Manage

#### Project 377]

Under this grant award the Shawnee Township Fire Department will conduct an 811 awareness campaign using billboards, public service announcements, the internet, and brochures.

"WA - County of Skagit - Development of Regulations Pertaining to Transmission Pipeline Safety" (DTPH56-10-G-PHPT12, End FY: 2011) [Manage Project 378]

Under this grant award the County of Skagit will develop regulations to govern development near oil or gas transmission pipelines within unincorporated Skagit County.

"SD - SD State University - Improving Safety of Crude Oil and Regional Water System Pipeline Crossings" (DTPH56-10-G-PHPT13, End FY: 2011) [Manage Project 379]

Under this grant award the South Dakota State University will develop a standard for the design of the rural water pipelines that cross under crude oil pipelines.

"SD - County of Spink - Spink County Pipeline Ordinance Project" (DTPH56-10-G-PHPT14, End FY: 2011) [Manage Project 380]

The County of Spink will obtain independent legal and technical assistance in developing a local pipeline ordinance.

"ND - Stutsman County Sheriff Department - Pipeline Safety" (DTPH56-10-G-PHPT15, End FY: 2011) [Manage Project 381]

The Stutsman County Sheriff Department will develop pipeline GIS layer for emergency responders.

"AL - Southeast Alabama Gas District - Collect Field Data for GIS System" (DTPH56-10-G-PHPT16, End FY: 2011) [Manage Project 382]

The Southeast Alabama Gas District will collect GIS data of critical appurtenances to develop a pipeline isolation plan in the event of an emergency.

"TN - Middle TN Natural Gas Utility District - Enhance Geographic Information System (GIS) to Aid in Collecting Local Distribution System (LDS)" (DTPH56-10-G-PHPT17, End FY: 2011) [Manage Project 383]

The Middle Tennessee Utility District will enhance Geographic Information System (GIS) to aid in collecting Local Distribution System (LDS)

"AL - Municipal Utilities Board of Decatur - Collect GPS Field Data for GIS System" (DTPH56-10-G-PHPT18, End FY: 2011) [Manage Project 384]

The Municipal Utilities Board of Decatur will collect GPS field data for GIS

"TN - City of Etowah - Data Collection for Risk Analysis" (DTPH56-10-G-PHPT19, End FY: 2011) [Manage Project 385]

The City of Etowah will develop GIS data in support of cathodic protection and leak management analysis.

"FL - City of Perry - Geographic Information System of Distribution System" (DTPH56-10-G-PHPT20, End FY: 2011) [Manage Project 386]

The City of will develop a GIS for the City's natural gas distribution system.

"AL - The Gas Board of the City of Fayette - Create GIS System." (DTPH56-10-G-PHPT21, End FY: 2011) [Manage Project 387]

The Gas Board of the City of Fayette will develop GIS mapping system in order to improve pipeline safety, natural gas pipeline operations, public awareness, and accuracy of system maps in order to provide safe reliable service to the community.

"FL - City of Chattahoochee - Geographic Information System of Distribution System" (DTPH56-10-G-PHPT22, End FY: 2011) [Manage Project 388]

The City of Chattahoochee will create a GIS database and will provide public awareness advertisements and communications to the public. Fiscal Year 2011: Pending congressional reauthorization of the program, PHMSA will solicit for FY2012 applications in December 2011. Fiscal Year 2012: Projects awarded in FY 2012 will be similar in scope to the projects awarded in FY 2010.

#### **CRITERIA FOR SELECTING PROPOSALS:**

In keeping with Congressional intent, PHMSA has developed proposal evaluation criteria to be used to rate and select competing proposals. Together, these criteria are intended to identify projects that target high-risk areas; offer well-defined plans; foster open communication with a local community and/or affected pipeline operators; and produce results that are measurable and transferable to other communities and/or technology development.

The evaluation criteria are as follows:

1. The extent to which the Applicants project scope is focused on areas where a pipeline failure could pose a significant risk to people or to unusually sensitive environmental areas;
2. The extent to which the proposed project scope demonstrates an understanding of the specific concern the Applicant wishes to address, as well as the range of risks affected pipelines pose to the affected geographic area and the risks the community poses to the pipelines;
3. The extent to which the proposal demonstrates the Applicants experience with and commitment to open communication with affected operators and to partnerships with other key members of the community;
4. The extent to which the Applicants project is designed to improve performance and safety over time in areas such as engineering, damage prevention, land use, public education, emergency response, and community awareness;
5. The extent to which the Applicants project plan establishes clear goals, objectives, milestones, and estimates of project costs;
6. The extent to which the Applicant has a plan for evaluating and disseminating results; and
7. The extent to which the Applicants project scope provides the potential for learning or technology transfer to other groups and communities.

#### **20.720 STATE DAMAGE PREVENTION PROGRAM GRANTS**

(SDPP Grants)

##### **FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

##### **AUTHORIZATION:**

PIPES Act Section 2(b), which added Section 60134 to the Pipeline Safety Law.

##### **OBJECTIVES:**

To improve State Damage prevention programs, which are intended to protect underground facilities from excavation damage.

##### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

##### **USES AND USE RESTRICTIONS:**

Personnel, equipment, and activities that are needed by the State authority to enhance damage prevention programs. Grant funds may not be used for lobbying or in direct support of litigation. Grant funds may not be used for lobbying or in direct support of litigation.

##### **Applicant Eligibility:**

Any State (including U.S. Territory or possessions) authority designated by the Governor is eligible to apply for a grant as long as an agency within the State (including U.S. Territory or possessions) has an annual Section 60105 (49 U.S.C.) certification or Section 60106 (49 U.S.C.) agreement in effect with PHMSA. If a State (including U.S. Territory or possessions) does not have a certification or agreement with PHMSA, then no State (including U.S. Territory or possessions) authority can receive a grant.

##### **Beneficiary Eligibility:**

State Government, U.S. Territory and possessions would receive the ultimate benefit from this program.

##### **Credentials/Documentation:**

A written application describing the current status of the State Damage Prevention Program and plans for improvements. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under

E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Through the website at [www.Grants.gov](http://www.Grants.gov) and [fedstar.phmsa.dot.gov](http://fedstar.phmsa.dot.gov) Also see the annual solicitation for application procedures.

**Award Procedure:**

Panel of stakeholders will review and score applications. Grants will be awarded to applicants with the highest score until the available funds are exhausted.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Sixty days after application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

There is a restriction on the time permitted to spend the money awarded. It must be spent within one year of the award. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

A final report within 30 days of the end of the grant period. No cash reports are required. Status report is due 6 months after the start date of the grant. SF-425. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipient must maintain for a period of three years: (a) documentation supporting the cost incurred under the grant, and (b) information regarding any sub-awards made using grant funds.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$1,926,990; FY 11 est \$2,009,634; and FY 12 est \$1,500,000

**Range and Average of Financial Assistance:**

The grants awarded range \$39,000-\$100,000. The average is \$87,200.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: \$2,009,634 grants were awarded to 24 States in calendar year 2011. A summary of the 2011 State Damage Prevention Program grants is available at <http://primis.phmsa.dot.gov>. Fiscal Year 2011: \$1,926,990 in grants were awarded to 22 States in calendar year 2010. A summary of the 2010 State Damage Prevention Program grants is available at <http://primis.phmsa.dot.gov>. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 192.614, 49 CFR 192.616, 49 CFR 195.440, 49 CFR 195.442, 49 CFR 198.37, and 49 CFR 198.39 Individual copies of regulations may be requested from: Office of Pipeline Safety,

Pipeline and Hazardous Material Safety Administration, Department of Transportation, 1200 New Jersey Avenue, SE East Building, 2nd Floor, Washington, DC 205901, Telephone: (202) 366-4595 Fax: (202) 366-4566.

**Regional or Local Office:**

None.

**Headquarters Office:**

Annamarie Robertson, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Email: [annmarie.robertson@dot.gov](mailto:annmarie.robertson@dot.gov) Phone: (317) 253-1622.

**Website Address:**

<http://www.phmsa.dot.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Please see <http://primis.phmsa.dot.gov> for descriptions of projects and funding. Fiscal Year 2011: Please see <http://primis.phmsa.dot.gov> for descriptions of projects and funding. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All proposals from eligible state agencies are considered for funding based on their statewide damage prevention program (or a detailed plan to develop a program within 4 years) that implements the 9 elements of an effective damage prevention program identified in Section 2(b) of the PIPES Act (Pipeline Safety Laws 49 U.S.C. Section 60134).

**20.721 PHMSA PIPELINE SAFETY PROGRAM ONE CALL GRANT**

**FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

Pipeline Inspection, Protection, Enforcement and Safety Act of 2006, Public Law 109-468, 49 U.S.C 6106.

**OBJECTIVES:**

To provide funding to State agencies in promoting damage prevention, including changes with their State underground damage prevention laws, related compliance activities, training and public education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible programs will cover such areas as compliance enforcement, legal assistance with enforcement actions, new equipment to support on-going enforcement programs, compliance monitoring, one call center statistics, compliance/noncompliance statistics, One-call membership initiatives, computer equipment, communication improvements, development and/or conduct of state-provided training programs for locators, development and/or distribution of promotional items or materials, damage prevention awareness campaigns, public service announcements, informational mailings, advertisements and One Call center promotional items.

**Applicant Eligibility:**

This grant is only open for states that have a certification or agreement with US DOT Pipeline and Hazardous Materials Safety Administration (PHMSA) to do pipeline safety inspections. State agencies who participate in the pipeline safety program are eligible to apply for One Call grant funding on an annual basis. This grant program has a maximum amount request of \$45,000 per state and supports initiatives to further promote efforts specifically for damage prevention, including one-call legislation, related compliance activities, training and public education. State (includes District of Columbia and Puerto Rico).

**Beneficiary Eligibility:**

State (Includes District of Columbia and Puerto Rico) Also, State agency with a Certification or Agreement under 60105 or 60106 of Title 49 USC.

**Credentials/Documentation:**

Appropriate State legal official must approve legality of agency application and agreement. Costs will be determined in accordance with OMB Circular

Number A-87 for State and local governments, and "One Call Application Instructions". Application (plan) is opened on October 15 and due November 15. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each State submits a detailed description of the proposed project activity in one or more of the three priority categories available with requested costs on how the money would be spent and why. The maximum amount requested per state is limited to \$45,000. The application will be specific regarding what the funding would buy, and what otherwise unmet need the funding would help resolve. If the proposed activity was previously submitted and approved, the applicant will be required to provide a description of results from previous action of the activity.

**Award Procedure:**

Proposed projects are reviewed by a group of peers for their completeness with established project criteria. The peer group recommendations are provided to the Director of State Programs who makes the awards based on the groups recommendations and established practices.

**Deadlines:**

Oct 14, 2011 to Nov 15, 2011 Applications are submitted by October 14 for the next calendar year. The Director of State Programs may extend or modify the application date base on good cause.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days of receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Expenditures must be used by March 30th of the following year. Funds not used will be deducted from the State agencies Pipeline Safety Program End-Year reimbursement request. See the following for information on how assistance is awarded/released: Electronic Funds Payment.

**Reports:**

No program reports are required. SF-270. Annual activity or initial progress report must be submitted by early January 2012 showing progress and funds spent on the projects as of December 31, 2011 with a final progress report due by April 15, 2012 to confirm all funds have been spent by March 30, 2012. SF-270. Triennial grant review is performed on all States to assure funds were spent on proposed projects and in accordance with OMB requirements. Each State progress report is reviewed prior to award of future grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records relating to the projects shall be retained for a period of not less than 3 years from the date of submission of fund expenditure report.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$1,065,649; FY 11 est \$1,062,000; and FY 12 est \$1,062,000

**Range and Average of Financial Assistance:**

The range for grants awarded \$10,000 to \$45,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: PHMSA received 36 applications for the PHMSA Pipeline Safety Program One Call Grant for CY 2010. The applications totaled \$1,165,868.68 and the appropriation for these grants was \$1,084,900. No eligible State applicant was rejected. State agencies are awarded grant funds to help educate the public and contractor community about the previous of damages to all underground facilities. Grants to eligible programs have covered areas in compliance enforcement, legal assistance with enforcement actions, new equipment to support on-going enforcement programs, compliance monitoring, one call center statistics data, compliance/non-compliance data, One Call membership initiatives, computer equipment, communication improvements, development and/or conduct of state-provided training programs for excavators and locators, development and/or distribution of educational items or materials, damage prevention awareness campaigns, public service announcements, informational mailings, advertisements and One Call center educational items. These programs and other similar projects assist states in reducing accidents and hits to underground natural gas and hazardous liquid pipelines and the services they provide. Budget Fiscal Year. Fiscal Year 2011: PHMSA received 34 applications for the PHMSA Pipeline Safety Program One Call Grant for CY 2011. The applications totaled \$1,162,898 and the appropriation for these grants was \$1,062,000. No eligible State applicant was rejected. The final allocation provides funding at 95.509% for priority 1, 95.005% for priority 2, and 95% for priority 3 projects. State agencies are awarded grant funds to help educate the public and contractor community about the using the One Call system and prevention of damages to all underground facilities. Grants to eligible programs have covered areas in compliance enforcement, legal assistance with enforcement actions, new equipment to support on-going enforcement programs, compliance monitoring, one call center statistics data, compliance/non-compliance data, One Call membership initiatives, computer equipment, communication improvements, development and/or conduct of state-provided training programs for excavators and locators, development and/or distribution of educational items or materials, damage prevention awareness campaigns, public service announcements, informational mailings, advertisements and One Call center educational items. These programs and other similar projects assist states in reducing accidents and hits to underground natural gas and hazardous liquid pipelines and the services they provide. Fiscal Year 2012: PHMSA anticipates receiving more than 36 applications for the PHMSA Pipeline Safety Program One Call Grant for CY 2012. It is anticipated the application request will total more than \$1.5 million dollars. With the requirement that each state review the nine elements of an effect damage prevention program to meet the PIPES Act of 2006, we anticipate an increase in the amount of funds requested.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 190, 191, 192, 193, 195, 198 and 199. Individual copies available from the Transportation Safety Institute, PHMSA Training and Qualification, Oklahoma City, Oklahoma 73125. "Guidelines for States Participating in the Pipeline Safety Program."

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of Pipeline and Hazardous Materials Safety Administration regional office addresses.

**Headquarters Office:**

Zach Barrett 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (405) 834-8344.

**Website Address:**

<http://www.phmsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.



## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2010: State agencies developed and conducted an award system for users who enter information into a data program called DIRT to monitor the number of damages per 1,000 locate request, continuation of regional damage prevention meetings to support changes in state damage prevention laws to meet the PIPES Act of 2006, distribution of positive response cards to inform the excavator community, continue employment of persons in the enforcement of the states underground damage prevention law, outreach campaigns and training of locators on how to locate facilities correctly, and statewide radio announcement about the use of the number 811 to have utility companies locate and mark their underground utilities. Fiscal Year 2011: Implementation of Damage Information Reporting Tool (DIRT), Web Based Damage Tracking Database & Locator Training and Certification. Several grantees will continue past efforts in monitoring and analyzing data on damage prevention in an effort to ensure compliance with state laws. Agency personnel will attend regular meetings at the One Call Center to obtain data on causes of damages to underground facilities. Agency will contract for local radio and television announcements to be used with advertisements in local newspapers about protecting the underground infrastructure by using the state One Call system. Several grantees will continue the aggressive enforcement program provided by previous One Call awards from PHMSA. Grant funds will be used to hire individuals to investigate and review damages to underground facilities and prosecute violators of state damage prevention laws. Fiscal Year 2012: Compliance Enforcement and Monitoring, One Call Membership Initiatives for Operators, Implementation of One Call Laws and Regulations, Excavator and Public Awareness, Public Service Announcements, Equipment to support on-going enforcement program.

## CRITERIA FOR SELECTING PROPOSALS:

All proposals from eligible State agencies are considered for funding to the limit of available grant money. The maximum amount requested per state is limited to \$45,000.

## 20.723 PHMSA PIPELINE SAFETY RESEARCH AND DEVELOPMENT OTHER TRANSACTION AGREEMENTS

PHMSA Pipeline Safety Research and Development

### FEDERAL AGENCY:

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

### AUTHORIZATION:

Accountable Pipeline Safety and Partnership Act, , Public Law 104-304, 49 U.S.C 60117(k).

### OBJECTIVES:

To sponsor research and development projects focused on providing near-term solutions that will improve the safety, reduce environmental impact, and enhance the reliability of the Nations pipeline transportation system.

### TYPES OF ASSISTANCE:

Project Grants

### USES AND USE RESTRICTIONS:

This research program is used for: fostering the development of new technologies so that pipeline operators can improve safety performance and more effectively address regulatory requirements; targeting and feeding new knowledge into the process of keeping standards relevant to their purpose; and generating and promoting general knowledge to decision makers. At least 50% cost sharing is required of awardees.

### Applicant Eligibility:

Universities and other academic institutions, individual, profit organization, nonprofit organization, State (includes D.C.), U.S. Territories and possessions, Indian tribes, local government, other entities are eligible to apply.

### Beneficiary Eligibility:

Anyone/general public can receive benefits from the eligible applicant.

### Credentials/Documentation:

Prior to submission of a White Paper each applicant must first complete (electronically) a registration form the location of which will be stated in the PHMSA Research Announcement (PRA). OMB Circular No. A-87 applies to

this program.

### Preapplication Coordination:

Yes, if the awardee is a state or local government. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Yes, if the awardee is an Institution of Higher Education, Hospital, or Other Non-Profit Organization.

### Award Procedure:

In response to a PHMSA Research Announcement (PRA) applicants submit White Papers which are evaluated against specific evaluation criteria identified in the PRA. Those deemed worthy of further consideration are notified, and provided detailed guidelines for submitting a full proposal. Full proposals must include cost sharing of at least 50%. If selected for award an Other Transaction Agreement (OTA) is awarded by PHMSA.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

30-45 days for review of White Papers. 30-45 days for review of proposals (if requested).

### Appeals:

Not Applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

This program has no statutory formula. Matching Requirements: Percent: 50%. Cost sharing of at least 50% is required. This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

The term of an Other Transaction Agreement is normally between 1 and 3 years. Method of awarding/releasing assistance: quarterly.

### Reports:

Draft final project report, Final project report. No cash reports are required. Quarterly status and progress report. Invoices are to be submitted no more frequently than quarterly. Peer Reviews are conducted on the project. They normally occur during the first quarter of each calendar year.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. If the awardee is a state or local government, or a non-profit organization.

### Records:

Financial records are subject to Government examination or audit, and must be maintained for 3 years from the completion of the Other Transaction Agreement.

### Account Identification:

69-5172-0-2-407.

### Obligations:

(Project Grants) FY 10 \$5,100,000; FY 11 est \$725,000; and FY 12 est \$6,900,000

**Range and Average of Financial Assistance:**

The range of awards is \$40,000 to \$856,000. The average is \$189,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: For FY 2010 see <http://primis.phmsa.dot.gov/rd/success.htm> for success stories. Fiscal Year 2011: For FY 2011- see <http://primis.phmsa.dot.gov/rd/success.htm> for success stories. Fiscal Year 2012: For FY 2012- see <http://primis.phmsa.dot.gov/rd/success.htm> for success stories.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

An in depth description of the PHMSA Pipeline Safety R&D Program can be found at <http://primis.phmsa.dot.gov/rd/>. A listing of OTA awards can be found at: <http://primis.phmsa.dot.gov/matrix/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Merritt. U.S. DOT, Pipeline and Hazardous materials safety Administration, Office of Pipeline Safety, 793 Countrybriar Lane, Highlands Ranch, Colorado 80129. Email: James.Merritt@dot.gov Phone: 303-683-3117. Fax: 303-346-9192.

**Website Address:**

[www.phmsa.dot.gov](http://www.phmsa.dot.gov); <http://primis.phmsa.dot.gov/rd/>

**RELATED PROGRAMS:**

20.700 Pipeline Safety Program Base Grants; 20.710 Technical Assistance Grants; 20.720 State Damage Prevention Program Grants; 20.721 PHMSA Pipeline Safety Program One Call Grant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Described projects are located at: <http://primis.phmsa.dot.gov/matrix/>. Fiscal Year 2011: Described projects are located at: <http://primis.phmsa.dot.gov/matrix/>. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria, for each PHMSA Research Announcement, is located in the announcement document.

**20.761 BIOBASED TRANSPORTATION RESEARCH**

(Biobased R&D)

**FEDERAL AGENCY:**

Research and Innovative Technology Administration, Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA- LU), Public Law 109-59, 119 Stat. 1781.

**OBJECTIVES:**

Carry out biobased research of national importance at the National Biodiesel Board and at research centers identified in section 9011 of the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8109).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grantees will conduct research according to the provisions provided in SAFTEA- LU (Public Law 109-59, August 10, 2005 119 Stat. 1781) Subtitle B Title V Section 5101 (m) The Department's role will be to manage the grants, coordinate with the grantees to best address related DOT program needs, and ensure that no unnecessary duplication of effort exists with other DOT projects.

**Applicant Eligibility:**

Earmark recipients as designated in SAFTEA- LU , Public Law 109-59, August 10, 2005 119 Stat. 1781, Subtitle B Title V Section 5101 (m).

**Beneficiary Eligibility:**

Public and private nonprofit institutions of higher learning and industry trade groups.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty, and budget. Costs are determined in accordance with OMB Circular A-21. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. No new grants will be awarded during the program's remaining authorization (through 2009).

**Award Procedure:**

No new grants will be awarded during the program's remaining authorization (through 2009).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. Fifteen working days from receipt of proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20%. The Federal share of this grant shall be 20 percent of the funds received by the grantee.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Four years as designated in: SAFTEA-LU (Public Law 109-59, August 10, 2005, 119 Stat. 1781) Subtitle B Title V Section 5101 (m). Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Final technical report at the end of each research project. SF-270. Quarterly progress reports and annual project reports. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-8083-0-1-401.

**Obligations:**

(Project Grants) FY 10 \$12,000,000; FY 11 est \$0; and FY 12 est \$0 - FY 2011 -- This program did not receive funding for the current fiscal year.

FY2012 -- This program is not projected to receive funding in fiscal year 2012.

**Range and Average of Financial Assistance:**

The range is between \$9,000,000 -\$13,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Sun Grants completed their solicitation process for land grant universities to submit application for research projects related to regional feedstock conversion and distribution for alternative fuels. The Centers awards

will be funded for two years. The National Biodiesel Board continues to test feedstock conversion process and testing for biodiesel B20- B100 to become ASMT certified. Fiscal Year 2011: Sun Grant Centers and the National Biodiesel Board are continuing their research projects on cellulosic and biodiesel feedstock conversion and distribution. Fiscal Year 2012: The Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU, Public Law 109-59), enacted in 2005, Section 5201(m).

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU, Public Law 109-59), enacted in 2005, Section 5201(m).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Shawn Johnson, 1200 New Jersey Avenue, S.E, E33-470, Washington, District of Columbia 20590 Email: shawn.johnson@dot.gov Phone: (202) 366-1762.

#### **Website Address:**

None.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The National Biodiesel Board continues to test feedstock conversion process and testing for biodiesel B20- B100 to become ASMT certified. The projects are conducted at:  
Northeast Sun Grant Center Cornell University  
South Central Sun Grant Center Oklahoma State University  
Western Sun Grant Center Oregon State University  
North Central South Dakota State University  
Southeast University of Tennessee  
National Biodiesel Board. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **20.762 RESEARCH GRANTS**

#### **FEDERAL AGENCY:**

Research and Innovative Technology Administration, Department of Transportation

#### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA\_LU), Public Law 109-59, 423 U.S.C 117 and 502.

#### **OBJECTIVES:**

A. Rural Transportation Research Initiative, North Dakota State University s Upper Great Plains Transportation Institute must carry out the Rural Transportation Research Initiative. B. Hydrogen-Powered Transportation Research Initiative, University of Montana must carry out the Hydrogen-Powered Transportation Research Initiative. C. Cold Region and Rural Transportation Research, Maintenance, and Operations, Montana State Universitys Western Transportation Institute is to develop a research facility in Lewistown, Montana, for basic and applied research and testing on surface transportation issues facing rural and cold regions. D. Advanced Vehicle Technology, University of Kansas Transportation Research Institute is to research and develop advanced vehicle technology concepts, focused on vehicle emissions, fuel cells and catalytic processes, and intelligent transportation systems. E. Renewable Transportation Systems Research, University of Vermont is to research, develop and field test of hydrogen fuel cell and biofuel transportation technology. F. Alternative Fuels and Life Cycle Engineering, Rochester Institute of Technology are to conduct applied research for alternative fuel vehicle testing and analysis and manufacturing technology.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

The grantees will conduct research according to the provisions provided in

SAFETEA-LU (Public Law 109-59), August 10, 2005, 119 Stat. 1406. The Departments role will be to manage the grants, provide technical collaboration, coordinate with the grantee to best address related DOT program needs and ensure that no unnecessary duplication of effort exists with other DOT projects.

#### **Applicant Eligibility:**

Legislated grants in SAFETEA-LU Section 5513(d),(g) and (i).

#### **Beneficiary Eligibility:**

All listed beneficiaries will benefit from results produced by these research efforts.

#### **Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty and budget. Costs are determined in accordance with OMB Circular No. A-21. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. It is recommended that applicants use the procedures prescribed in grants.gov to facilitate an electronic application process. This will allow applicants the opportunity to submit all required forms, along with the necessary technical and cost proposals as preseeded in the relevant Opportunity description.

#### **Award Procedure:**

This is a Congressional earmark grant.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

See award procedures.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20.%. There is a 20% matching requirements. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

See SAFETEA-LU (Public Law 109-59) for additional information. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

Quarterly reports. SF-425. Annual reports are required. SF-425. RITA monitors all grant awards with site visits and report reviews.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions of higher education or other non-profit organizations are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133.

#### **Records:**

Grantee is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit finding, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1136-0-1-401.

**Obligations:**

(Project Grants) FY 10 \$8,250,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$500K to \$5M. Average \$2.25M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: A. Rural Transportation Research Initiative Modified architectural design for additional space in their Center for Transportation buildings basement to house a larger traffic operations center; B. Hydrogen-Powered Transportation Research Initiative Initiated process to interface hydrogen production, storage, and distribution to provide fuel cell with energy source; C. Cold Region and Rural Transportation Research, Maintenance and Operations Implemented construction of test-bed and office and shop, installed weather station at research facility, launched website, equipped research facility with snowmaking system, and ongoing research initiatives include investigating longevity of corrosion inhibitors, roadside animal detection systems, and best practices for removing snow and ice; D. Advanced Vehicle Technology Promoted alternatively fueled race cars at NASCAR events, provided educational and promotion materials for biofuels, and continued investigating the thermodynamics of an ionic liquid; E. Renewable Transportation Systems Research - Continued modeling on efficient transformation of algae into biofuels, hydrogen fuel infrastructure in northern climates and multi-scale modeling of self-assembled nanostructures for hydrogen generation; and F. Alternative Fuels and Life Cycle Engineering - Continued expanding modeling capability to different segment of life-cycle and different propulsion options. Fiscal Year 2011: A. Rural Transportation Research Initiative Conducting two projects in support of rural transportation: Agricultural Freight Decision Support Center for the Upper Midwest and the Surface Mobility Application Real-Time Simulation Environments; B. Hydrogen-Powered Transportation Research Initiative Commence construction of a maglev 30 guideway for testing of two person vehicle powered by renewable hydrogen; C. Cold Region and Rural Transportation Research, Maintenance and Operations Continue with previous year research efforts, install wireless communications system, construct communications tower; and pursue additional research efforts related to enhancing transportation safety in rural transportation and cold regions; D. Advanced Vehicle Technology Continue working on projects that could yield patentable technologies and continue investigating the thermodynamics of an Ionic Liquid-Based Absorption Refrigeration/Air-conditioning system for increased fuel efficiency and reduced emissions; E. Renewable Transportation Systems Research Grant should be in close-out process for the upcoming fiscal year; and F. Alternative Fuels and Life Cycle Engineering Determining the use of higher levels of Ethanol or E20 without converting engines to increase demands for more filling station and assist with neutralizing the carbon footprint. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

\*: 2 CFR Part 220 Cost Principles for Educational Institutions and 2 CFR Part 215 Uniform Administrative Requirements for Grants and Agreements with Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dawn Tucker-Thomas, 1200 New Jersey Avenue, E33-464, Washington, District of Columbia 20590 Email: dawn.tucker-thomas@dot.gov Phone: (202) 366-1300.

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: A. Rural Transportation Research Initiative - seeking federal assistance, e.g., American Recovery and Reinvestment Act, to fund remaining costs for construction of a Center for Transportation Studies at North Dakota State University.

B. Cold Region and Rural Transportation Research, Maintenance and Operations projects include 1.) evaluating friction measuring devices during winter conditions, 2.) investigating the longevity of corrosion inhibitors in solid and aqueous deicers, 3.) a road animal detection system testbed, and 4.) California Department of Transportation is sponsoring research to establish best practices for removing snow and ice from California roadways.

C. Hydrogen Power Research projects include 1.) developing hydrogen safety training materials and training site to provide training for first responders, 2.) develop an operational demonstration of a life sized hydrogen powered personal rapid transit mon-guideway operating on magnetic levitation, and 3.)

developing commercially viable membrane technology capable of separating 99.999 pure hydrogen gaseous environments.

D. Renewable Transport Systems grant closed in 2011.

E. Advanced Vehicle Technology project includes promoting alternatively fueled race cars at NASCAR events and investigating thermodynamics of an ionic liquid.

F. Alternative Fuels and Life Cycle Engineering project includes expanding modeling capability to different segments of alternative fuels. Fiscal Year 2011: A. Rural Transportation Research Initiative projects include 1.) selecting, designing, and implementing a sustainable knowledge foundation needed for transportation investments, systems planning, and policy decision that enrich economic development in rural areas and 2.) develop a plan for surface mobility application real-time simulation environments.

B. Cold Region and Rural Transportation Research, Maintenance and Operations projects include 1.) evaluating friction measuring devices during winter conditions, 2.) investigating the longevity of corrosion inhibitors in solid and aqueous deicers, 3.) a road animal detection system testbed, and 4.) California Department of Transportation is sponsoring research to establish best practices for removing snow and ice from California roadways.

C. Hydrogen Power Research projects include 1.) developing hydrogen safety training materials and training site to provide training for first responders, 2.) develop an operational demonstration of a life sized hydrogen powered personal rapid transit mon-guideway operating on magnetic levitation, and 3.)

developing commercially viable membrane technology capable of separating 99.999 pure hydrogen gaseous environments.

D. Renewable Transport Systems grant closed in 2011.

E. Advanced Vehicle Technology project includes promoting alternatively fueled race cars at NASCAR events and investigating thermodynamics of an ionic liquid.

F. Alternative Fuels and Life Cycle Engineering project includes expanding modeling capability to different segments of alternative fuels. Fiscal Year 2012: No Current Data Available

Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.764 HYDROGEN STORAGE RESEARCH AND DEVELOPMENT**

(RIT H2 Life Cycle)

**FEDERAL AGENCY:**

Research and Innovative Technology Administration, Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA-LU), Public Law 109-59, 1406 Stat. 3891.

**OBJECTIVES:**

To conduct research to develop hydrogen storage technologies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grantee will conduct research according to the provisions provided in SAFTEA-LU (Public Law 109-59, August 10, 2005, 119 Stat. 1406) number 3891. The Department's role will be to manage the grants, provide technical collaboration, coordinate with the grantee to best address related DOT program

needs and ensure that no unnecessary duplication of effort exists with other DOT projects.

**Applicant Eligibility:**

Universities eligible for these grants are identified in Congressional legislation.

**Beneficiary Eligibility:**

All listed beneficiaries will benefit from results produced by these research efforts.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty, and budget. Costs are determined in accordance with OMB Circular No. A-21. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

This is a Congressional earmark.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. 15 working days from receipt of proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20%. The Federal share of this grant shall be 20 percent of the funds received by the grantee. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

SAFTEA- LU (Public Law 109-59, August 10, 2005, 119 Stat 1406. Number 3891. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

A final technical report at the end of each research project. SF-425. Quarterly progress reports and annual project reports. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions of higher education or other non-profit organizations are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133, Audits of State, Local Governments, and Non-Profit Organizations.

**Records:**

Grantee is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit finding, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1730-01-407.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - No new funding but previously obligated funds enables activities to continue.

**Range and Average of Financial Assistance:**

\$350K to \$500K.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This project is conducting measurements on complex hydrogen storage systems to determine if they will be suitable for hydrogen storage. The following accomplishments can be reported:

Have done kinetics and modeling studies on sodium alanate and have demonstrated that absorption is controlled by the reaction at a moving boundary.

Have done kinetics studies on the LiBH<sub>4</sub>/MgH<sub>2</sub> system using different ratios of LiBH<sub>4</sub> and MgH<sub>2</sub> and shown that the kinetics decrease as the amount of LiBH<sub>4</sub> in the system increases.

Have continued studies on hydrogen storage systems based on MgH<sub>2</sub> mixed additives such as TiH<sub>2</sub> and Mg<sub>2</sub>Ni. We have shown that both these additives can lower reaction temperature and improve reaction rates.

Have begun to study complex borohydride systems that are based on Mg(BH<sub>4</sub>)<sub>2</sub>. Analyses show that these systems have some partial reversibility.

Fiscal Year 2011: Continue to study the hydrogen sorption characteristics and determine their suitability for hydrogen storage. Continuing to do thermodynamics, kinetics and modeling studies. New catalysts will be tested including one based on niobium fluoride. Continue studying several new destabilized studies based on first principles calculations to have good potential for hydrogen storage. These will include a study of some amide based hydrogen storage systems. Thermodynamics, kinetics, and modeling will be done on these systems. Continue collaboration with the University of Delaware on a new project involving a hydrogen storage containment system for vehicular transportation. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

2 CFR Part 220 Cost Principles for Educational Institutions and 2 CFR Part 215 Uniform Administrative Requirements for Grants and Agreements with Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dawn Tucker-Thomas, 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Email: dawn.tucker-thomas@dot.gov Phone: (202) 366-8018.

**Website Address:**

<http://chem.desu.edu/researchCenter.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1. Establish a Center for Hydrogen Storage Research at Delaware State University for the preparation and characterization of selected complex metal hydrides and the determination their suitability for hydrogen storage.

2. Develop methods for the synthesis, characterization, and modeling of complex hydrides using a modeling system.

3. Identify the most promising types of complex hydrides and demonstrate the optimum temperature/pressure range and sorption kinetics under a variety of conditions.

4. Determine their cyclic suitability and develop improved sorption catalysts.

5. Perform kinetic modeling studies and develop methods for improving kinetics and lowering reaction temperatures. Fiscal Year 2011: 1. Establish a Center for Hydrogen Storage Research at Delaware State University for the preparation and characterization of selected complex metal hydrides and the determination their suitability for hydrogen storage.

2. Develop methods for the synthesis, characterization, and modeling of complex hydrides using a modeling system.

3. Identify the most promising types of complex hydrides and demonstrate the optimum temperature/pressure range and sorption kinetics under a variety of conditions.

4. Determine their cyclic suitability and develop improved sorption catalysts.

5. Perform kinetic modeling studies and develop methods for improving

kinetics and lowering reaction temperatures. Fiscal Year 2012: 1. Establish a Center for Hydrogen Storage Research at Delaware State University for the preparation and characterization of selected complex metal hydrides and the determination their suitability for hydrogen storage.

2. Develop methods for the synthesis, characterization, and modeling of complex hydrides using a modeling system.
3. Identify the most promising types of complex hydrides and demonstrate the optimum temperature/pressure range and sorption kinetics under a variety of conditions.
4. Determine their cyclic suitability and develop improved sorption catalysts.
5. Perform kinetic modeling studies and develop methods for improving kinetics and lowering reaction temperatures.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.802 FEDERAL SHIP FINANCING GUARANTEES**

(Title XI)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Federal Credit Reform Act, 46 U.S.C 537.

**OBJECTIVES:**

To provide competitive financing through the issuance of guarantees of debt issued for the purpose of financing or refinancing the construction, reconstruction or reconditioning of vessels built in United States shipyards and guarantee obligations for advanced shipbuilding technology and modern shipbuilding technology of a general shipyard facility located in the United States to stimulate commercial ship construction for domestic and export sales, encourage shipyard modernization, and support increased productivity.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Guarantees are available to aid in financing of: (1) advanced shipbuilding technology and modern shipbuilding technology of a general shipyard facility located in the United States, and (2) vessels (including eligible export vessels) which are designed for research or for commercial use (a) in coastwise or intercoastal trade; (b) on the Great Lakes or on bays, sounds, rivers, harbors, or inland lakes of the United States; (c) in foreign trade; (d) as an ocean thermal energy conversion facility or plantship; (e) as floating drydocks, or (f) with respect to an eligible export vessel, in world-wide trade. Any vessel of not less than 5 net tons, (other than a towboat, barge, scow, lighter, car float, canal boat or tank vessel of less than 25 gross tons) is eligible.

**Applicant Eligibility:**

An individual with the ability, experience, financial resources, and other qualifications necessary for the adequate operation and maintenance of a vessel or an eligible shipyard.

**Beneficiary Eligibility:**

U.S. and foreign shipowners, or eligible U.S. shipyards.

**Credentials/Documentation:**

Financial history, economic feasibility of project, operating history, citizenship of applicant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Informal preapplication meeting is recommended. This program is excluded from coverage under OMB Circular No. A-102. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application Form MA-163 must be filed with the Office of Marine Financing, Maritime Administration, 1200 New Jersey Avenue, S.E., Washington, DC 20590.

**Award Procedure:**

Final approval granted by the Maritime Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

After a complete application has been filed with all supporting documents, processing time is approximately 60 days.

**Appeals:**

none.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance provided as ship/shipbuilding technology is constructed and/or throughout life of ship/shipbuilding technology, but in any case not to exceed 25 years from vessel delivery or economic life of the assets being financed. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. See "Index of Current Regulations," Maritime Administration.

**Records:**

Financial reports as per contract. Annual reports regarding citizenship, no default certificates, vessel requirements.

**Account Identification:**

69-1752-0-1-403.

**Obligations:**

(Salaries) FY 10 \$3,630,000; FY 11 est \$3,688,000; and FY 12 Estimate Not Available. (Guaranteed/Insured Loans) FY 10 \$1,420,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Historically projects have ranged from less than \$1 million to several hundred million. (Average is not entered, because it would not be typical of the breadth of the program.)

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In 2010 approved one new loan guarantee for \$22.7 million. Fiscal Year 2011: In 2011 approved over \$450 million of new guarantees. There are five applications pending. Fiscal Year 2012: In 2012 authority to guarantee over \$750 million of new guarantees.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR Part 298. Booklet entitled, "Federal Ship Financing Program."

**Regional or Local Office:**

See Regional Agency Offices. See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Daniel Ladd 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-1859

**Website Address:**

<http://www.dot.gov>.

**RELATED PROGRAMS:**

11.415 Fisheries Finance Program; 20.808 Capital Construction Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects involve the construction, reconstruction or reconditioning of vessels in the United States and advanced and modern

shipbuilding technology for a general shipyard facility. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects which involve the construction, reconstruction or reconditioning of vessels in the United States and advanced and modern shipbuilding technology for a general shipyard facility are eligible for Title XI financing. In order to receive approval, applicants must possess the necessary ability, experience, financial resources and other qualifications. The financial resources necessary for the project are determined by the project's costs and the financial position and resources available to the applicant. Additionally, all projects must be determined to be economically feasible before approval can be granted. Applications are generally processed with a view towards accommodating the time frame of each and every applicant.

**20.803 MARITIME WAR RISK INSURANCE**

(Title XII, MMA, 1936)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Merchant Marine Act of 1936, Public Law 110-417, 46 U.S.C 539.

**OBJECTIVES:**

To provide war risk insurance whenever it appears to the Secretary of Transportation that adequate insurance for waterborne commerce cannot be obtained on reasonable terms and conditions from licensed insurance companies in the United States.

**TYPES OF ASSISTANCE:**

INSURANCE

**USES AND USE RESTRICTIONS:**

Insurance binders or policies on certain vessels in operation or under construction are provided for nominal cost in peacetime.

**Applicant Eligibility:**

All U.S. flag vessels, and certain foreign flag vessels meeting specific criteria as determined by the Maritime Administrator.

**Beneficiary Eligibility:**

Covered beneficiaries include vessel owners, their crews, and certain designated beneficiaries of deceased crew members.

**Credentials/Documentation:**

Applications, vessel data, unqualified contract of commitment, and other supporting data as required by 46 CFR Part 308. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Complete and proper filing of applications, supporting documents, and payment of appropriate binding fees or promises as specified in 46 CFR Part 308.

**Award Procedure:**

Binders issued only to those applicants that qualify.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 5 to 15 working days.

**Appeals:**

Not Applicable.

**Renewals:**

This program has been extended until December 31, 2015.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Indeterminate; depends on war situation and posture of the country. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable in peacetime.

**Account Identification:**

69-4302-0-3-403.

**Obligations:**

(Insurance) FY 10 \$64,600; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Applicable only in designated combat areas, subject to terms of the binder.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program is a standby program and there has been no activity. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rules and Regulations are set forth under 46 CFR 308 (as published under authority of Public Law 101-115) and 309 as amended from time to time in the Federal Register.

**Regional or Local Office:**

See Regional Agency Offices. American War Risk Agency, 30 Broad Street 7th floor, New York, NY 10004 Telephone: (212) 405-2814.

**Headquarters Office:**

Edmond J. Fitzgerald, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-2279.

**Website Address:**

<http://www.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**20.806 STATE MARITIME SCHOOLS**

State Maritime Schools or Academies (SMA)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Maritime Education and Training Act, Public Law 96-453, 46 U.S.C 51501 - 51511.

**OBJECTIVES:**

To educate and train future merchant marine officers at the State Maritime Academies (SMA). These graduates education and training prepares them to enter the maritime industry in numerous capacities, including crewing merchant vessels and also to be available during national emergencies or contingencies.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Operation and maintenance of State Maritime Schools/Academies; maintenance and repair of training vessels loaned by Federal Government; student incentive

payments to selected U.S. qualified students. Students, meeting eligibility requirements.

**Applicant Eligibility:**

State institutions of higher education. Assistance is limited to one maritime academy in any one State.

**Beneficiary Eligibility:**

Students, meeting eligibility requirements.

**Credentials/Documentation:**

Formal application from State Governor setting forth evidence of establishment of school; State appropriation for the school; suitable curriculum and facilities. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Letter from a State Governor to the Secretary of Transportation or the Maritime Administrator. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

Need for training must be established. The final award is approved by the Maritime Administrator.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Federal/State contracts for assistance automatically extended year by year unless cancelled.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Annual assistance payment of \$4,500,000 to regional academies if matched by State appropriations and if out-of-State students are enrolled. Federal assistance consists of (1) lump-sum annual assistance payment to schools, (2) loan of vessel and payment for its maintenance, and (3) student incentive payments. States are required to show that their annual funding for the school at least matches the Federal lump sum assistance payment. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Annual payments to the schools are given on a lump-sum basis. Method of awarding/releasing assistance: lump sum.

**Reports:**

Monthly enrollment by class. Annual cost analysis of school operation. Other at request of the Maritime Administrator. SF-272. Monthly enrollment by class. Annual cost analysis of school operation. Other at request of the Maritime Administrator. SF-425. Monthly enrollment by class. Annual cost analysis of school operation. Other at request of the Maritime Administrator.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Pertaining to each school, its officers, faculty and students, the vessel and crew, and the shore base are required to be kept for the period of employment/enrollment, plus 6 years.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$16,094,229; FY 11 est \$15,908,120; and FY 12 est \$17,100,000

**Range and Average of Financial Assistance:**

Annual assistance payment of \$400,000 to each regional school provided State matches funds and admits eligible out-of-state student. An allowance of \$48,000 per academic year, not to exceed 4 years, paid to selected students in good standing in the student incentive payment program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 2010 Estimated 576 Licensed Graduates from the SMAs. Fiscal Year 2011: 2011 Estimated 10% licensed graduate increase this fiscal year over 2010. Fiscal Year 2012: 2012 Increased Enrollment projected for the licensed programs at the SMAs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR 310A; Standard college catalogs are available from the schools listed below .

**Regional or Local Office:**

See Regional Agency Offices. (a) Federal Government: none; (b) standard information for prospective students: Maine Maritime Academy, Castine, ME 04421; Massachusetts Maritime Academy, Buzzards Bay, MA 02532; State University of New York Maritime College, Fort Schuyler, NY 10465; Texas Maritime Academy, Galveston, TX 77550; California Maritime Academy, Vallejo, CA 94591; Great Lakes Maritime Academy, Traverse City, MI 49684.

**Headquarters Office:**

Anne Wehde 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-5469.

**Website Address:**

<http://www.dot.gov>.

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 20.807 U.S. Merchant Marine Academy

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 2010 SMA Program consisting of i. SIP Program 2.15M; Direct Support Payment 2.55M and Schoolship Maintenance Funded at 11.2 M Total for the SMA Program \$15.94M. Fiscal Year 2011: 2011 - SMA Program consisting of SIP Program 2.15M; Direct Support Payment 2.55M and Schoolship Maintenance Funded at 11.2 M Total for the SMA Program \$15.94M. Fiscal Year 2012: 2012 Still Not Approved By Congress (Similar to last year).

**CRITERIA FOR SELECTING PROPOSALS:**

See Credentials/Documentation section of this program.

**20.807 U.S. MERCHANT MARINE ACADEMY**

(Kings Point)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Maritime Education and Training Act, Public Law 46-51301-51316.

**OBJECTIVES:**

To educate and train merchant marine officers.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

This program is a federally operated maritime academy providing education, training, subsistence, books, quarters, uniforms, medical care, and program travel to its U.S. citizen students. Appropriations restricted to the above and the operation and maintenance of the school. International students may attend, at



the expense of their sponsoring nation. Federal education grants and/or student loans are available to cover the cost of midshipman fees for supplies and services of a personal nature (estimated at a total of \$5,815 over four years for the Class of 2015).

**Applicant Eligibility:**

High school graduates who are U.S. citizens and international students in accordance with legislation. In general, criteria are similar to those generally used for college admission.

**Beneficiary Eligibility:**

High school graduates who are U.S. citizens and eligible international students.

**Credentials/Documentation:**

Usual documents for college admission and a comprehensive physical examination. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

U.S. citizens desiring appointment to the school apply to Senate or House of Representative members or Maritime Administrator for nomination. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Nominating officials submit nominations to school's Office of Admission. Selection is competitive by merit.

**Award Procedure:**

Appointment approved by the Maritime Administrator.

**Deadlines:**

Aug 01, 2011 to Jan 31, 2012: Nominations. Nominations must be submitted by January 31 of the year preceding that in which admission is desired. Applications must be submitted by March 1 of the year in which admission is desired.

**Range of Approval/Disapproval Time:**

From 3 to 8 months.

**Appeals:**

To the school.

**Renewals:**

Applicants not accepted may reapply the following year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Students are furnished with required uniforms and textbooks during their 4 years at the Academy. Federal education grants and/or student loans are available to cover the cost of midshipman fees for supplies and services of a personal nature. Method of awarding/releasing assistance: lump sum.

**Reports:**

At the request of the Maritime Administration. SF-425. At the request of the Maritime Administration. SF-425. At the request of the Maritime Administration.

**Audits:**

Not Applicable.

**Records:**

Copies will be furnished at the request of the Maritime Administration. Those pertaining to its officers, faculty, staff and midshipmen shall be kept for the period of enrollment plus eight years.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$16,094,229; FY 11 est

\$15,908,120; and FY 12 est \$17,100,000

**Range and Average of Financial Assistance:**

Annual assistance payment of \$400,000 to each regional school provided State matches funds and admits eligible out-of-state student. An allowance of \$48,000 per academic year, not to exceed 4 years, paid to selected students in good standing in the student incentive payment program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, USMMA received its highest ever national rankings in the widely read US News and World Report Best Colleges 2011 rankings published in August 2010. The Academy was rated as the 3rd best undergraduate program in the North Region in addition to being the 3rd highest in graduation and retention rates. USMMA's engineering program was rated 21st nationally among undergraduate engineering colleges. This is an excellent testimonial to the passion and dedication of academy faculty, staff and administrators who went the extra mile to meet the institutional mission and deliver a high quality education despite challenging operating conditions.

In 2010, USMMA completed renovations of Murphy Hall, its largest student dormitory. This facility was brought on-line in May, and represented a major milestone as the barracks complex passed the half-way point of its renovation and rehabilitation plan. Currently, approximately 600 of 800 midshipmen in residence occupy renovated facilities, which are equipped with geo-thermal heating and air conditioning, and numerous other quality of life improvements. The remaining dormitories, Rogers and Cleveland Halls, are slated for refurbishment in FY2013, following renovation of the galley in the student dining facility, Delano Hall.

In March 2010, the USMMA Capital Improvement Advisory Panel issued its final report to the Secretary of Transportation. This blue ribbon panel, chaired by former Deputy Secretary of Transportation VADM Thomas Barrett, spent ten months closely examining the Academy's facility needs in the context of a 21st Century federal service academy, and developed a series of recommendations for the Secretary to support his case for increased resources for the Academy. The Panel's report now serves as an effective roadmap for the Academy as it establishes its capital improvement strategy.

In August, 2010, the USMMA welcomed Rear Admiral Philip H. Greene, Jr., USMS as its eleventh Superintendent. Secretary of Transportation, the Honorable Ray LaHood, along with dozens of government, military, and industry leaders, was on hand for his official installation ceremony, which was held at the Academy in September. Greene is the third U.S. Merchant Marine Academy graduate to be named Superintendent. He joins RADM Thomas A. King 42 (1980-1987) and RADM Paul L. Krinsky 50 (1987-1993) as the only Kings Point graduates to oversee the institution.

Greene retired from the U.S. Navy after a distinguished, 32 year career, where he commanded two ships and a destroyer squadron. His last assignment was Director, Navy Irregular Warfare Office, where he led the Navy's effort to develop new plans and strategies to combat the emerging dynamic styles of warfare. He also served as Commander, Combined Joint Task Force-Horn of Africa where he led operations to build regional security capacity and counter extremism in the Horn/East Africa. Fiscal Year 2011: In FY 2011, USMMA graduated 206 new licensed merchant marine officers in the Class of 2011, and welcomed 292 new Midshipmen in the Class of 2015. USMMA continued its capital repair and modernization efforts, including work on Mallory Pier (the primary berthing location for its training vessels), initial work on refurbishment of the commercial kitchen servicing Delano Hall (the midshipman dining facility), and replacement of the surface of Tomb Field (the primary parade ground and athletic field). The USMMA successfully completed a USCG/MARAD audit of its merchant marine officer licensing programs, and was described as having a model program of performance assessment.

Additional areas of focus have included major program review of overhaul of its internal controls systems and business practices; completion of its annual Sexual Harassment and Sexual Harassment report; and other program and policy changes to address recommendations included in the FY 2009 GAO audit report. Fiscal Year 2012: In FY 2012, USMMA intends to graduate approximately 225 new licensed merchant marine officers in the Class of 2012, and welcome 289 new Midshipmen in the Class of 2016; meet milestones for completion of renovations to Delano Hall, and commence renovation of Cleveland Hall (the fifth of six student dormitories/barrack undergoing renovation; Initiate architecture and engineering studies to support future renovations of academic buildings and other facilities; continue to follow-up

implementation of management and process improvements responding to GAO recommendations; continue to effect wholesale review and revision of orders, guidance, and directives; and, continue implementation of A-123 internal controls protocols.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR 310 Subpart C; Standard college catalogs and brochures.

**Regional or Local Office:**

None. Director of Admissions  
U.S. Merchant Marine Academy  
300 Steamboat Road, Admissions Center  
Kings Point, New York 11024-1699

USMMA Admissions Office and Field Representatives listed in the Catalog.

**Headquarters Office:**

Anne Wehde 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-5469.

**Website Address:**

<http://www.dot.gov>.

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 20.806 State Maritime Schools

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: For FY 2010: instructional program requirements (\$3.8 million); midshipman program needs (including food, travel, health services) (\$8.4 million); information technology (\$3.8 million); program administration (including security, admissions, general operations) (\$1.8 million); general maintenance and repair (including utilities, grounds and facilities maintenance) (\$7.8 million); main ship pier renovation (\$14.0 million) deferred maintenance and capital repair projects (\$2.9 million); and faculty and staff compensation (\$31.7 million). Fiscal Year 2011: For FY 2011: instructional program requirements (\$3.6 million); midshipman program needs (including food, uniforms, travel, health services) (\$8.6 million); information technology (\$3.7 million); program administration (including security, admissions, general operations) (\$1.8 million); general maintenance and repair (including utilities, grounds and facilities maintenance) (\$7.1 million); midshipman dining hall and kitchen renovation (Phase I) (\$14.0 million); deferred maintenance and capital repair projects (\$2.9 million); faculty and staff compensation (\$32.4 million); midshipman fee refunds (\$6.0 million). Fiscal Year 2012: For FY 2012 (Presidents Budget): instructional program requirements (\$4.7 million); midshipman program needs (including food, travel, health services) (\$8.6 million); information technology (\$5.7 million); program administration (including security, admissions, general operations) (\$2.4 million); general maintenance and repair (including utilities, grounds and facilities maintenance) (\$7.1 million); midshipman dining hall and kitchen renovation renovation (Phase II) (\$9.0 million); Cleveland Hall barracks renovation (\$11.5 million); architecture and engineering studies to support future renovations of academic buildings and other facilities (\$2.5 million); deferred maintenance and capital repair projects (\$5.9 million); and faculty and staff compensation (\$32.8 million).

**CRITERIA FOR SELECTING PROPOSALS:**

See Credentials/Documentation section of this program.

**20.808 CAPITAL CONSTRUCTION FUND**

(CCF)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Merchant Marine Act of 1936, Section 607, Public Law 91-469, 1018 Stat. , 46 U.S.C 53501 - 53517.

**OBJECTIVES:**

To provide for replacement vessels, additional vessels or reconstructed vessels, built and documented under the laws of the United States for operation in the United States foreign, Great Lakes, Marine Highways or noncontiguous domestic trades.

**TYPES OF ASSISTANCE:**

**DIRECT PAYMENTS FOR A SPECIFIED USE**

**USES AND USE RESTRICTIONS:**

The capital construction fund program is a program created to help rejuvenate the American Merchant Marine. The assistance provided is not through payment of appropriated funds, but rather allows the fund holder to defer a portion of tax monies that would otherwise be paid to the U.S. Government during the tax year. The extension of tax deferral privileges encourages the accomplishment of the program objective by allowing the fund holder to accumulate and use otherwise taxable earnings for the purposes of acquiring, constructing or reconstructing vessels built and documented in the United States and operated in the United States foreign, Great Lakes or noncontiguous domestic trade and in the fisheries.

**Applicant Eligibility:**

An applicant must be a U.S. citizen, own or lease one or more eligible vessels, have a program for the acquisition, construction or reconstruction of a qualified vessel and demonstrate the financial capabilities to accomplish the program.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Be able to provide proof of requirements called for in the Applicant Eligibility section of this program. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Contact the Maritime Administration, Office of Financial Approvals and Marine Insurance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. See Federal Register Notice (46 CFR Part 390, Appendix I) dated January 29, 1976. Persons seeking to enter into a Capital Construction Fund Agreement may make application by letter to the headquarters office shown below.

**Award Procedure:**

The Office of Financial Approvals and Marine Insurance reviews the application to determine the citizenship of the applicant, whether the applicant owns or leases one or more eligible vessels, has an acceptable program for the acquisition, construction or reconstruction of a qualified vessel and has the financial capability to accomplish the program. Approved by the Associate Administrator for Business and Workforce Development.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Depends upon the individual program agreed to between the Maritime Administration and the applicant. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual reports specified in the agreement and the rules and regulations. SF-425. Annual reports specified in the agreement and the rules and regulations. SF-425. Annual reports specified in the agreement and the rules

and regulations.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All financial records are subject to audit by the Internal Revenue Service and/or the Maritime Administration, Department of Transportation.

**Records:**

See Reports.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Direct Payments for Specified Use) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - None. Company's own funds are used for the program.

**Range and Average of Financial Assistance:**

Applicant receives tax benefits for depositing assets in accordance with the program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: We processed and approved eight new applications and processed and approved 17 amendments to 17 contracts. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Capital Construction Fund Agreement; Parts 390 and 391, Title 46, CFR; Part 3, Title 26, CFR.

**Regional or Local Office:**

See Regional Agency Offices. See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Edmond J. Fitzgerald, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-2279.

**Website Address:**

<http://www.dot.gov>.

**RELATED PROGRAMS:**

20.802 Federal Ship Financing Guarantees; 20.812 Construction Reserve Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: We reviewed, processed and approved 8 new CCF applications. We reviewed, processed and approved 17 amendments to 17 CCF contracts. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See Award Procedure section of this program.

**20.812 CONSTRUCTION RESERVE FUND**

(CRF)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Merchant Marine Act of 1936, Section 511, Public Law 74-835, 46 U.S.C 1161.

**OBJECTIVES:**

To promote the construction, reconstruction, reconditioning, or acquisition of merchant vessels built and documented under the laws of the United States for purposes of national defense and the development of U.S. commerce.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The Construction Reserve Fund (CRF), authorized under Section 511 of the Act, is a financial assistance program which provides tax deferral benefits to U.S. flag operators. The CRF permits the fundholder to deposit gains attributable to the sale of or indemnification for loss of vessels and to defer tax on such gains provided the gains are to be reinvested in vessels. Also the CRF allows the accumulation of earnings from operations of vessels documented in

the U.S., or the earnings from the investment of the Fund. The ability to accumulate funds and the tax deferral provision have enabled fundholders to construct or reconstruct in the United States and documented under the laws of the United States larger, better-equipped vessels, reduce mortgage debt on the vessels and construct a greater number of vessels than would be possible without the program.

**Applicant Eligibility:**

A Construction Reserve Fund (CRF) may be established by any citizen of the United States who owns, in whole or in part, a vessel or vessels operating in the foreign or domestic commerce of the U.S., or in the fisheries. Additionally, any citizen who is operating such vessel or vessels owned by another individual may establish a CRF.

**Beneficiary Eligibility:**

Any citizen of the United States who owns, in whole or in part, a vessel or vessels operating in the foreign or domestic commerce of the U.S. or in the fisheries. Additionally, any citizen who is operating such vessel or vessels owned by another individual.

**Credentials/Documentation:**

Be able to provide proof of requirements called for in Applicant Eligibility section of this program. The program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Contact the Maritime Administration, Office of Financial Approvals and Marine Insurance. This program is excluded from coverage under OMB Circular No. A-102. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. You may manually enter in any other application procedures not found above See Federal Register Notice (46 CFR 287.4). Persons seeking to establish a Construction Reserve Fund may make application by letter to the headquarters office shown below. This program is excluded from coverage under OMB Circular No. A-102 and A- 110.

**Award Procedure:**

Review of the application by the Office of Financial Approvals and Marine Insurance to determine citizenship of the applicant, if applicant is owner or operator of the vessel and if the proposed objective of construction, reconstruction or acquisition is acceptable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Depends on each individual program agreed upon between the Maritime Administration and the applicant. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

See Reports section of this program.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Direct Payments for Specified Use) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - Company's own funds are used for the program.

**Range and Average of Financial Assistance:**

Defer tax on gains by depositing the gains attributable to the sale of or indemnification for loss of vessels in accordance with the program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: We reviewed, processed and approved 29 CRF Requests. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Part 287, Title 46 CFR; Order and Form of Resolution which outlines details pertaining to the establishment and maintenance of the Construction Reserve Fund.

**Regional or Local Office:**

See Regional Agency Offices. Offices listed in appendix IV of the Catalog.

**Headquarters Office:**

Edmond J. Fitzgerald 1200 New Jersey Avenue, S.E. , Washington, District of Columbia 20590 Phone: (202) 366-2279

**Website Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

20.802 Federal Ship Financing Guarantees; 20.808 Capital Construction Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Reviewed, processed and approved 29 Construction Reserve Fund application requests. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Review of the application by the Office of Financial Approvals and Marine Insurance to determine citizenship of the applicant, if applicant is owner or operator of the vessel and if the proposed objective of construction, reconstruction or acquisition is acceptable.

**20.813 MARITIME SECURITY FLEET PROGRAM**

(Maritime Security Program)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

The Maritime Security Act of 2003, Public Law 108-136.

**OBJECTIVES:**

To maintain a U.S.-flag merchant fleet crewed by U.S. mariners to serve both the commercial and national security needs of the United States.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Vessel's Operations restricted to U.S. foreign trade.

**Applicant Eligibility:**

U.S. citizens and operators of U.S. flag vessels .

**Beneficiary Eligibility:**

Ownership and operation of vessels and facilities useful to the United States in time of war or national emergency.

**Credentials/Documentation:**

Ownership of U.S. documented vessels. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Solicitation for applications in the Federal Register.

**Award Procedure:**

Office of Sealift Support and the Department of Defense review applications against criteria established in the Maritime Security Act of 2003.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 Days from closing of application.

**Appeals:**

Decisions concerning administration of the Maritime Security Program will be referred to the Maritime Administrator.

**Renewals:**

Program is based on 1-year contracts renewable each year subject to funding not to extend past fiscal year 2015.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

One year contracts, renewable yearly, payable in monthly installments. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Maritime Security Program subject to both internal and external audit. These audits will be made by the Office of the Inspector General (DOT) in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional OMB guidance.

**Records:**

Vouchers on a monthly basis.

**Account Identification:**

69-1711-0-1-054.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$174,000,000; FY 11 est \$174,000,000; and FY 12 Estimate Not Available - (Direct payments) FY 09 \$174,000,000; FY 10 \$174,000,000, and FY 11 \$174,000,000.

**Range and Average of Financial Assistance:**

\$2.9 million per vessel per year (FY 2009-2011). \$3.1 million per vessel per year (FY 2012-2015).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The 60 ships enrolled in the program provided direct support to the Department of Defense (DOD) for movement of cargo around the world in support of DOD operations. These ships were vital in providing ocean transportation support to United States forces engaged in OPERATION ENDURING FREEDOM in Afghanistan and OPERATION NEW DAWN in Iraq. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR Part 296.

**Regional or Local Office:**

None. Director, Office of Sealift Support.

**Headquarters Office:**

Bill Kurfels 1200 New Jersey Avenue, S.E. , Washington, District of Columbia  
20590 Phone: (202) 366-2318.

**Website Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Maritime Security Program (MSP) is funded by Congress. The program is designed to provide a fleet of active, commercially viable, militarily useful, privately owned vessels to meet national defense and other security requirements and maintain a United States presence in international commercial shipping. The program is authorized in its present form through FY 2015. In FY 2010 the program was extended by Congress to FY 2025.

Maritime Security Program payments are paid to vessels operating in U.S. foreign commerce. Vessels include containerships, Roll-on/Roll-off vessels (RO/RO), tankers and heavy lift ships. Fiscal Year 2011: Maritime Security Program payments are paid to vessels operating in U.S. foreign commerce. Vessels include containerships, Roll-on/Roll-off vessels (RO/RO), tankers and heavy lift ships. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Vessel is required to maintain U.S.-flag presence in foreign commerce and/or necessary for meeting military sealift requirements; (2) Applicant possesses operational expertise and intermodal assets useful to the United States in meeting its sealift requirements; (3) Maritime Security Program participants are required to commit sealift and intermodal capacity to the Emergency Preparedness Program (EPP), approved by the Secretary of Defense (SECDEF).

**20.814 ASSISTANCE TO SMALL SHIPYARDS**

(Small Shipyard Grants)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Section 3508 National Defense Authorization Act, Public Law 110-417.

**OBJECTIVES:**

To award grants for capital improvements and related infrastructure improvements at qualified shipyards that will facilitate the efficiency, cost effectiveness, and quality of domestic ship construction for commercial and Federal Government use.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

For capital and related infrastructure improvements. Cannot be used for physical facility construction or land acquisition unless specifically approved by Administrator as consistent with capital and infrastructure improvements. Federal funds cannot exceed 75 percent of project cost unless (1) cost is less than \$26,075, or (2) determination is made that project merits support and requires additional assistance. Cannot be used for physical facility construction or land acquisition unless specifically approved by the Administrator as consistent with capital infrastructure improvements.

Federal funds cannot exceed 75 percent of project costs unless a determination is made that project merits support and requires additional assistance.

**Applicant Eligibility:**

Either a shipyard or a State or local government on behalf of a shipyard can apply. The shipyard must be one in a single geographical location, located in or near a maritime community, that (1) is a small business concern within the meaning of section 3 of the Small Business Act (15 U.S.C. 632); and (2) does not have more than 600 production employees. Other factors taken into account when grants are awarded will be (a) the economic circumstances and conditions of the maritime community near to which a shipyard is located; and (B) the local, State and regional economy in which such community is located.

**Beneficiary Eligibility:**

Shipyard.

**Credentials/Documentation:**

As required by application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. SF-424 application form must be filed with the Maritime Administration. There are specific agency instructions for additional information which should be provided as an addendum to Form SF-424. These instructions were published in the Federal Register on January 10, 2008, in Vol.73, No. 7, pp.1912-1913. Applicants can go to [www.grants.gov](http://www.grants.gov) to apply.

**Award Procedure:**

Awards will be made by the Maritime Administrator in such amounts and under such conditions as he determines.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 25%. Public Law 110-417 provides that no more than 75 percent of a project's cost may be paid from Federal Funds.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

To be individually determined based on project. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. SF-425 is required. There will be Progress Reports, Annual Reports, and/or Status Reports depending on the nature of the project and the period of time it is expected to take. No expenditure reports are required. Monitoring is based done by the audit requirements. Grants over \$500,000 have mandatory audits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all project contract documents, financial records and supporting documents.

**Account Identification:**

69-1770-0-1-021.

**Obligations:**

(Project Grants) FY 10 \$14,702,045; FY 11 est \$9,800,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Awards can be in any amount up to \$10,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Successfully completed 42 of 102 funded projects. The

projects help small shipyard upgrade their facilities and buy new equipment, such as all types of cranes, welding machines, plasma cutters, panel lines, drydocks and training programs. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register publication on January 10, 2008 in Vol.73, No.7, pp.1912-1913. Implementing legislation: Section 3506 of the National Defense Authorization Act for Fiscal Year 2006 (Public Law 109-163) and section entitled "Assistance to Small Shipyards" in Consolidated Appropriations Act, 2008.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

David.Heller 1200 New Jersey Ave, Room W21-318  
, Washington, District of Columbia 20590 Email: David.heller@dot.gov  
Phone: (202) 366-5737 Fax: (202) 366-6988.

#### **Website Address:**

<http://www.marad.dot.gov>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Boothbay Harbor Shipyard, LLC (Boothbay Harbor, ME) - \$360,900 for new wider cradle for 750 ton marine railway, C&G Boat Works, Inc. (Mobile, AL)- \$1,199,122 for new 220 ton crawler crane, Caddell Dry Dock & Repair Company, Inc. (Staten Island, NY)- \$1,162,636 to refurbish drydock, Chesapeake Shipbuilding Corporation (Salisbury, MD)- \$519,098 for improvements to doors, heaters and air and gas distribution systems, Detyens Shipyards, Inc. (Charleston, SC)- \$922,393 for new tower crane, hydro-blast units and overhead shop cranes, Diversified Marine Tech, Inc. (Tampa, FL)- \$644,425 for 90-ton crane and modification of barge for crane use, Earl Industries, LLC (Portsmouth, VA)- \$923,496 for laser cutter and two 5-ton bridge cranes, Fraser Shipyards, Inc. (Superior, WI)- \$257,990 for cutting machine and welding equipment, Gulf Craft, LLC (Patterson, LA)- \$1,760,065 for 500-ton travelift crane, JB Marine Services, Inc. (St. Louis, MO)- \$195,000 for bridge crane, ironworker, steel shear, and forklift, Marisco, Ltd. (Kapolei, HI)- \$1,079,224 for cranes, forklifts, welding machines, compressors and dust collector, Puglia Engineering, Inc. (Bellingham, WA)- \$1,333,267 for floating drydock enhancements, 80-ton rough terrain crane and coating equipment, Sause Bros., Inc. dba Southern Oregon Marine, Inc. (Coos Bay, OR)- \$173,749 for water blast system, sandblasting machine and big top shelter, Southwest Shipyard L.P. (Channelview, TX)- \$1,602,870 for panel line, The Thames Shipyard & Repair Company, Inc. (New London, CT)- \$1,446,000 to widen and lengthen drydock, United States Marine, Inc. (Gulfport, MS)- \$476,670 for epoxy oven, composite freezer and CNC material cutter, Pacific Fishermen Shipyard and Electric LLC (Seattle, WA)- \$643,095 for worker training program, sand blast paint and booths, sand blast grit recovery systems, man lifts and 15-ton crane. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

(1) How well the project will facilitate the efficiency, cost-effectiveness, and quality of domestic ship construction for commercial and Federal Government use, and (2) the economic factors set forth in section 081 above.

#### **20.816 AMERICAS MARINE HIGHWAY GRANTS**

Marine Highway Program

#### **FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

#### **AUTHORIZATION:**

2010 National Defense Authorization Act (Section 3515), Public Law 111-84, 46 U.S.C 55601 (g).

#### **OBJECTIVES:**

Mitigate landside congestion and receive public benefit and external cost savings by awarding Marine Highway grants to qualified applicants to implement projects or components of a designated Marine Highway project.

This meets the objectives of the National Defense Authorization Act of FY 2010 (111th Congress, Public Law 111-84), which amends the Energy Independence and Security Act of 2007 (110th Congress, Public Law 110-140).

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

The assistance will be used to provide waterborne alternative to available landside transportation services using documented vessels and provide transportation services for passengers or freight (or both) that may reduce congestion on landside infrastructure, realize public benefit and/or reduce external costs using documented vessels. Components of projects that are eligible for grant funding include, but are not limited to the following:  
Port and terminal infrastructure (wharves, docks, terminals, paving, etc.)  
Cargo, passenger and/or vessel handling equipment  
Efficiency or capacity improvements in ports, terminals, aboard vessels, intermodal connectors, etc.

Investments that improve environmental sustainability; and  
New or used vessel purchase or vessel modifications, 100 percent are discretionary funds.

#### **Applicant Eligibility:**

Grant applicants must be public agencies at the state, regional or local level including, but not limited to, Metropolitan Planning Organizations, State governments (including State Departments of Transportation) and port authorities. They must also have had their projects for which they are requesting funds be designated as Marine Highway Projects under Americas Marine Highway Program (110th Congress, Public Law 110-140).

In order to receive a grant under this program, applicants must submit an application to the Secretary and demonstrate that the project is financially viable, the funds will be spent efficiently and effectively, and that a market exists for the services of the proposed project as evidenced by contracts or written statements of intent from potential customers. An applicant shall provide at least 20 percent of the project costs from non-Federal sources. In awarding grants under the program, the Secretary shall give a preference to those projects or components that present the most financially viable transportation services and require the lowest percentage Federal share of the costs." Eligible applicants include those entities defined within OMB A-87, excluding Federal agencies due to matching-fund regulatory requirements. Sponsored organizations may apply if an MOU/MOA exists with a public agency defined by OMB A-87.

#### **Beneficiary Eligibility:**

Eligible beneficiaries include those entities defined in OMB A-102 and Circular A-122.

#### **Credentials/Documentation:**

The following documentation is required:

1. First page of application:
  - A. Marine Highway Project name (as stated in the Departments Letter of Designation)
  - B. Primary point of contact for applicant
  - C. Amount of dollars of Grant Funds the applicant is seeking, sources and share of other matching funds.
  - D. Summary of what the grant funding will be used for
  - E. Project parties
  - F. Recipients of Marine Highway grants and their first-tier sub-awardees will be required to have a DUNS number (<http://www.dnb.com>) and a current registration in the Central Contractor Registration (<http://www.ccr.gov>). While these items do not need to be provided as part of the application, a Marine Highway Grant will not be awarded if a recipient or first-tier sub-awardee does not have these items.
2. Contact Information: An application should include the name, phone number, e-mail address and organization address of the primary point of contact for the applicant. The Department will use this information to inform parties of the Departments decision regarding selection of grantees, as well as to contact parties in the event that the Department needs additional information about the application.
3. Grant Funds and Sources and Uses of Project Funds: An application should include information about the amount of grant funding requested, sources and

uses of all project funds, total project costs, percentage of project costs that would be paid for with Marine Highway Grant funds and the identity and percentage shares of all parties providing funds for the project (including Federal funds provided under other programs).

4. Selection Criteria: In general, applications will be evaluated based on the information provided in the original application for designation as a Marine Highway Project as set forth in the (final rule). However, as addressed in section (IV) Selection Criteria of this notice, applicants may provide additional information. This information should be provided in the order it was solicited in the (final rule).

5. National Environmental Policy Act Requirement: An application must detail whether the project will significantly impact the natural, social and/or economic environment. If the NEPA process is completed, an applicant must indicate the date of, and provide a Web site link or other reference to, the final Categorical Exclusion, Finding of No Significant Impact or Record of Decision. If the NEPA process is underway but not complete, the application must detail where the project is in the process, indicate the anticipated date of completion and provide a website link or other reference to copies of any NEPA documents prepared.

6. Environmentally Related Federal, State and Local Actions: An application must indicate whether the proposed project is likely to require actions by other agencies (e.g., permits), indicate the status of such actions and provide a website link or other reference to materials submitted to the other agencies, and/or demonstrate compliance with other Federal, State and local regulations as applicable.

7. Certification Requirements: In order for an application to be considered for a grant award, the Chief Executive Officer of the applicant is required to certify, in writing, to the following:

A. That, except as noted in this grant application, nothing has changed from the original application for formal designation as a Marine Highway Project.

B. The project sponsor will administer the project and any funds received will be spent efficiently and effectively.

C. Applicants will provide information, data and reports as required by the grantor. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

As stated in the Notice of Funding Availability, The 2010 National Defense Authorization Act directs the Secretary of Transportation to establish and implement a short sea transportation grant program to implement projects or components of projects designated as a Marine Highway Project. The Final Rule for Americas Marine Highway Program (46 CFR Part 393) provides the criteria to submit an application to become a designated Marine Highway Project. From the Notice of Funding Availability, Requirements of the National Environmental Policy Act (NEPA) may apply. Applicants should consult 40 CFR Section 1500 if there are any questions regarding NEPA requirements. An application must detail whether the project will significantly impact the natural, social and/or economic environment. If the NEPA process is completed, an applicant must indicate the date of, and provide a Web site link or other reference to, the final Categorical Exclusion, Finding of No Significant Impact or Record of Decision. If the NEPA process is underway but not complete, the application must detail where the project is in the process, indicate the anticipated date of completion and provide a website link or other reference to copies of any NEPA documents prepared. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. See guidance provided herein throughout.

#### **Award Procedure:**

All applicable Federal laws, rules and regulations will apply to projects that receive Marine Highway Grants. How soon after award a project is expected to expend Grant Funds and start construction, acquisition or procurement will be considered on a case-by case basis and will be specified in the project-specific

grant agreement. The Department reserves the right to revoke any award of Marine Highway Grant funds and to award such funds to another project to the extent that such funds are not timely expended and in accordance with the project schedule. The Department's ability to obligate funds for Marine Highway Grants expires on September 30, 2010.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 15 to 30 days. Contingent on publication date. The end date is 3 weeks following publication.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

The Department's ability to obligate funds for Marine Highway Grants under the National Defense Authorization Act of FY 2010 expires on September 30, 2010.

#### **Formula and Matching Requirements:**

Statutory Formula: Public Law 111-84.

Matching Requirements: Percent: 50%. ?\* Applicants are required to provide at least 50 percent of the project costs from non-Federal sources.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Applicants shall demonstrate to the satisfaction of the Secretary that the funds received will be spent efficiently and effectively. How soon after award a project is expected to expend Grant Funds and start construction, acquisition, or procurement will be considered on a case-by case basis and will be specified in the project-specific grant agreement. See the following for information on how assistance is awarded/released: Grants are expended upon invoicing .

#### **Reports:**

According to the Notice of Funding Availability, Applicants will provide information, data, and reports as required by the grantor. The grantee shall submit an electronic copy of the SF- 270 form, no more frequently than monthly for Advance or Reimbursement, and the SF-425 Federal Financial Report which replaces the SF-269 and the SF-272. Quarterly Project Reports are due to the Government beginning on the first day of the first full quarter following execution of the grant agreement. (SF-425). Monthly per SF-425.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In the section of the grant agreement cited Other Reports in accordance with the purposes of the Recovery Act, the grantee may be required to submit additional information in responses to requests from DOT, OMB, the Congressional Budget Office, the Government Accountability Office of the DOT inspector General. The Government will inform grantees if and when such additional reports are required.

#### **Records:**

Records must be maintained as outlined in the Federal Acquisition Regulations and OMB A -136 (Financial Reporting Requirements).

#### **Account Identification:**

69-1750-0-1-403 - Operations and Training Account.

#### **Obligations:**

(Project Grants) FY 10 \$7,000,000; FY 11 est \$0; and FY 12 Estimate Not Available

#### **Range and Average of Financial Assistance:**

Grants can be up to \$7 million.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Grant funds were awarded for three projects and three cooperative agreements were awarded for Corridor studies as described below in Section 170. Fiscal Year 2011: The three studies are underway and will be completed by FY 2011. The grants are underway, with equipment being purchased in the third quarter of FY2011 we began tracking new containerized freight moving on M-64. We expect a second new marine highway service to be operational by the fourth quarter of FY 2011. Fiscal Year 2012: By FY 2012 all three Corridor studies will be completed, with reports published and all three grant projects will be completed. One new Marine Highway service will be operational and two others will have expanded as a direct result of this program. Each grant has performance measure reporting requirements built into them, allowing us to measure the results of each grant for three years after the projects have been completed. We will measure ton-miles removed from each of three congested highway corridors.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Existing literature includes MARAD 2010-0035 (April 9, 2010). In addition, the Maritime Administration solicited a call for projects on April 15, 2010 (Federal Register, Vol. 75, No. 68; p. 18095).

#### **Regional or Local Office:**

See Regional Agency Offices. Maritime Administration Gateway Offices.

#### **Headquarters Office:**

Lauren Brand Maritime Administration, Office of Marine Highways and Passenger Services, 1200 New Jersey Ave., Mail Stop 201, Washington, District of Columbia 20590 Email: lauren.brand@dot.gov Phone: (202)366-7057

#### **Website Address:**

[http://marad.dot.gov/ships\\_shipping\\_landing\\_page/mhi\\_home/mhi\\_home.htm](http://marad.dot.gov/ships_shipping_landing_page/mhi_home/mhi_home.htm)

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Three projects and three studies were funded and are underway:

1. Tenn-Tom Waterway Pilot is establishing a new barge service along the Tenn-Tombigbee waterway between Mobile, AL and Itawamba, MS. This will serve freight needs of manufacturing firms in the NE region of MS and will link intermodally with container services at the Port of Mobile, providing relief along the I-65 freight corridor. The grant will convert nine barges to handle containerized freight and will purchase container handling equipment at the Port of Itawamba.

2. James River Container Expansion project is expanding the marine highway service that parallels congested highway I-64 between the ports of Norfolk and Richmond in Virginia. The grant will buy two barges which will allow for increased service frequency and capacity growth.

3. Cross Gulf Container Expansion project will expand marine highway services in the Gulf of Mexico, between Texas and Florida. The grant will enhance productivity in the ports through the purchase of handling equipment and may provide infrastructure improvements needed to facilitate the service.

4. The West Coast M5 Corridor Study, East Coast M95 Study and Inland Rivers M55 Study are each examining the potential for Marine Highway services that can provide relief to these congested freight corridors.

Additionally, during the course of each study, data will be collected that is necessary to conduct the Americas Marine Highway programmatic NEPA initiative. Fiscal Year 2011: The projects and studies funded during FY 2010 are underway in FY 2011 and will be completed in FY 2012.

No projects were funded in FY 2011. Fiscal Year 2012: Funding is not anticipated for FY2012.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Three criteria will be considered in the evaluation process, which were established in the final rule. This information will have been provided by applicants during the project designation process. No additional applicant input is required to address these criteria. These criteria establish the degree to which projects are expected to:

1. Reduce external cost and provide public benefit,
2. Offer a lower-cost alternative to increasing land-based capacity in the

Corridor, and

3. Demonstrate the likelihood of becoming self-supporting in a specified and reasonable timeframe.

Applicants may, however opt to provide additional information specific to the above criteria if they desire. In evaluating this option, applicants should consider paragraph (g)(2)(B) of section 3515 of the National Defense Authorization Act of 2010, which requires that, in order to receive a grant under the program, the following factors will be taken into consideration:

1. Applicants shall demonstrate to the satisfaction of the Secretary that the funds received will be spent efficiently and effectively,
2. Applicants shall demonstrate to the satisfaction of the Secretary that a market exists for the services of the proposed project as evidenced by contracts or written statements of intent from potential customers,
3. An applicant shall provide at least 50 percent costs from non-Federal sources, and,
4. In awarding grants under the program, the Secretary shall give preference to those projects or components that present the most financially viable transportation services and require the lowest percentage Federal share of the costs.

While the criteria above were generally addressed in the original Marine Highway Project application requirements (Section 393.4(e)1(G); Proposed Project Timeline; and (F)(ii) and (i); Business Planning, respectively), these more specific requirements may warrant submission of additional information in response to this Notice of Funding Availability. It is important that this information is available to the Department during the grant evaluation process.

#### **20.900 TRANSPORTATION\_CONSUMER AFFAIRS**

Transportation\_Aviation Consumer Protection

#### **FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

#### **AUTHORIZATION:**

Federal Aviation Act of 1958, Section 1002, Public Law 85-726, 49 U.S.C 1301.

#### **OBJECTIVES:**

To improve service provided to the public by U.S. and foreign air carriers.

#### **TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS

#### **USES AND USE RESTRICTIONS:**

The Aviation Consumer Protection Division provides assistance and information to consumers, including air travelers with disabilities, trying to resolve complaints against airlines, travel agents, and air tour operators. The Division also investigates alleged violations of airline passengers' civil rights and provides information about specific air travel service problems such as lost baggage, oversold flights, scheduling problems and overcharges, and may refer people to local Small Claims courts if informal mediation efforts fail.

#### **Applicant Eligibility:**

All users of air transportation.

#### **Beneficiary Eligibility:**

All users of air transportation.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Division requests that complainants first contact the airline in an attempt to resolve the complaint. If that is unsuccessful, they can call or email the Division or send a letter stating



pertinent facts about the incident that caused the complaint as well as copies (never originals) of tickets or baggage tags, if these documents help to explain the nature of the problem. Please include with your letter of complaint a daytime telephone number.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

Not Applicable.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

69-0102-0-1-407.

**Obligations:**

(Investigation of Complaints) FY 10 \$2,465,288; FY 11 est \$24,893,010; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 13,178. Fiscal Year 2011: 12,500. Fiscal Year 2012: 12,500.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Copies of the pamphlet "Fly-Rights, A Guide to Air Travel in the U.S." are available from the Consumer Information Center-6A, P.O. Box 100, Pueblo, CO 81002. Enclose check or money order payable to Superintendent of Documents in the amount of \$1.75 per copy with a 25 percent discount on orders of 100 copies or more. Copies of the "Air Travel Consumer Report" issued monthly and "Plane Talk", a series of air travel fact sheets, are available free of charge by writing to the headquarters office listed. These publications can also be found on the Department of Transportation's world wide web site at: <http://airconsumer.ost.dot.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Alaska Aviation Statistics Field Office, Department of Transportation, 801 B Street Room 506, Anchorage, AK 99501-23657. Telephone: (907) 271-5147.

**Headquarters Office:**

Norman Strickman, 1200 New Jersey Ave., S.E., Washington, District of Columbia 20590 Email: [norman.strickman@dot.gov](mailto:norman.strickman@dot.gov) Phone: (202) 366-2220.

**Website Address:**

<http://airconsumer.ost.dot.gov>

**RELATED PROGRAMS:**

33.001 Shipping\_Dispute Resolution and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.901 PAYMENTS FOR ESSENTIAL AIR SERVICES**

EAS

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

Airline Deregulation Act of 1978, 49 U.S.C 41731-41748.

**OBJECTIVES:**

To assure that air transportation is provided to eligible communities by subsidizing air carriers when necessary to provide service.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

When necessary subsidy payments are made to air carriers providing air services at certain points. Subsidy is paid to cover the carrier's prospective operating loss, plus a profit element.

**Applicant Eligibility:**

Air carrier must be found fit and be selected by the Department to perform the subsidized service.

**Beneficiary Eligibility:**

Air carriers and eligible local communities.

**Credentials/Documentation:**

Financial statements and detailed operating statistics. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In accordance with 14 CFR, Part 271, and specific Department requests in docketed cases.

**Award Procedure:**

Evaluation of applications according to factors established in 49 U.S.C. 41731, et seq., and any Department-established factors.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 2 to 4 months.

**Appeals:**

In accordance with 14 CFR, Part 302.14.

**Renewals:**

Application procedures are repeated.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

In accordance with Department evaluation and determination of demonstrated need. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Air carriers are subject to audits of financial and operational fitness, of major contested claims of compensation for continued service, and of monthly billings to the Department for subsidy.

**Records:**

Air carriers must retain all books, records and other source and summary documentation for 7 years to support subsidy claims.

**Account Identification:**

69-8304-0-7-402.

**Obligations:**

(Salaries) FY 10 \$200,000,000; FY 11 est \$200,000,000; and FY 12 Estimate Not Available(Exp: 200000000 )

**Range and Average of Financial Assistance:**

For continental United States: range from \$237,825 to \$3,082,403 annually; an average of \$1,485,777 annually per community per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: (1)Cape Air Essential Air Service at Augusta/Waterville and Rockland, Maine. (2)Great Lakes Aviation Essential Air Service at Laramie and Worland, Wyoming. (3)SeaPort Airlines Essential Air Service at Salina, Kansas. Fiscal Year 2011: (1)American Eagle Airlines Essential Air Service at Watertown, New York. (2)Cape Air Essential Air Service at Mayaguez, Puerto Rico. (3)Colgan Air Essential Air Service at Victoria, Texas. Fiscal Year 2012: Not applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 U.S.C. 41731, et seq.; 14 CFR, Parts 204, 271, 323, 325, 398.

**Regional or Local Office:**

None.

**Headquarters Office:**

Todd Homan Office of Aviation Analysis, X-50, Department of Transportation, 1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Phone: (202) 366-5903.

**Website Address:**

<http://ostpxweb.dot.gov/aviation/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: (1)Cape Air Essential Air Service at Augusta/Waterville and Rockland, Maine. (2)Great Lakes Aviation Essential Air Service at Laramie and Worland, Wyoming. (3)SeaPort Airlines Essential Air Service at Salina, Kansas. Fiscal Year 2011: (1)American Eagle Airlines Essential Air Service at Watertown, New York. (2)Cape Air Essential Air Service at Mayaguez, Puerto Rico. (3)Colgan Air Essential Air Service at Victoria, Texas. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Established by statute and by precedent in individual docketed cases.

**20.904 BONDING ASSISTANCE PROGRAM**

Bonding Assistance Program

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 97-449, 49 U.S.C 332.

**OBJECTIVES:**

To encourage, promote, and assist minority entrepreneurs and businesses in getting transportation-related contracts, subcontracts, and projects by providing bonding assistance to obtain bid, payment, and performance bonds.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; INSURANCE; Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

Assistance is provided in support of the bid for, or performance of, transportation-related contracts. A transportation-related contract is one for the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the nations modes of transportation with any public or commercial provider of transportation or any federal, state or local transportation agency.

**Applicant Eligibility:**

The recipient of bonding assistance must be a small and disadvantaged business. Hereafter, the term small and disadvantaged business will refer to: 8(a), small disadvantaged business (SDB), disadvantaged business enterprises (DBE), women owned small business (WOB), HubZone, service disabled veteran owned business (SDVOB), and veteran owned small business (VOSB). Bonding Assistance provided under the American Recovery and Reinvestment Act of 2009 (ARRA) is only available to Disadvantaged Business Enterprises (DBE) certified under 49 Code of Federal Regulations Part 26.

**Beneficiary Eligibility:**

The recipient of bonding assistance must be a small and disadvantaged business. Bonding Assistance provided under the American Recovery and Reinvestment Act of 2009 (ARRA) is only available to Disadvantaged Business Enterprises (DBE) certified under 49 Code of Federal Regulations Part 26.

**Credentials/Documentation:**

The recipient of bonding assistance must provide proof of certification by the certifying agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Insurance/Surety Bonds: Applications are submitted directly to a local bond agent for the DOT Bond Guarantee Program participating surety companies. Applicants may obtain a copy of the application and the contact information for the local bond agents for participating surety companies at <http://www.osdbu.dot.gov> . Provision of Specialized Services/Technical Assistance: Applications may be submitted directly to the participating SBTRC. Applicants may obtain a copy of the application and a list of the participating SBTRCs and their contact information at <http://www.osdbu.dot.gov> . Direct Assistance/Bonding Fee Subsidy: Application procedures may be found at <http://www.dot.gov/recovery/ost/> .

**Award Procedure:**

All applications received by the current deadline published in the Federal Register are reviewed by the DOT Office of Small and Disadvantaged Business Utilization (OSDBU) in the order of submission. All eligible applicants are approved until funding is depleted.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Insurance/Surety Bonds: The goal to complete the review of a bond guarantee application is 1 to 3 days.

Provision of Specialized Services/Technical Assistance: The goal to complete the review of a technical assistance application is immediate to day.

Direct Assistance/Bonding Fee Subsidy The goal to complete the review of a bonding fee subsidy application to verify eligibility is 1 to 3 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Insurance/Surety Bonds: Bonds are guaranteed until the termination of the bond after a reasonable period after completion of the bonded solicitation or contract. Provision of Specialized Services/Technical Assistance: Services are provided until they are no longer required by the participant or the participant is no longer eligible. Direct Assistance/Bonding Fee Subsidy: Bonding fee assistance is provided immediately upon verification of eligibility on a bond by bond basis. See the following for information on how assistance is awarded/released: Insurance/Surety Bonds: On-going on an approved application basis. Provision of Specialized Services/Technical Assistance: Service providers are funded on an annual basis. Direct Assistance/Bonding Fee Subsidy: On-going on an approved application basis..

**Reports:**

Monthly, internal OSDBU reports; Reports to the Secretary of Transportation on all bond approvals. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Insurance/Surety Bonds: DOT has the right to audit its accounts with any participating surety. Provision of Specialized Services/Technical Assistance: Direct Assistance/Bonding Fee Subsidy: DOT has the right to audit the records pertaining to the receipt of a bonding fee subsidy of all participating federal or non-federal entities.

**Records:**

Insurance/Surety Bonds: DOT and the participating local bond agents maintain applicant records. Records of approved bonds are maintained by the participating surety companies. Provision of Specialized Services/Technical Assistance: Participant records are maintained by the participating SBTRCs with access provided to DOT.

**Account Identification:**

69-0102-0-0-119.

**Obligations:**

(Salaries) FY 10 \$1,100,440; FY 11 est \$151,500; and FY 12 est \$181,500 - 2011-BEP Only 151,500.  
2010-DBE ARRA BAP only 1,100,440.  
2012-BEP only 181,500.

**Range and Average of Financial Assistance:**

Insurance/Surety Bonds: The average dollar amount of bonds guaranteed under the program is \$330,000. The average cost of the provision of Specialized Services/Technical Assistance: Program is \$13,772 per event. The average amount of bonding fee subsidy was \$9,475.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Insurance/Surety Bonds: The program was unfunded in 2010. Provision of Specialized Services/Technical Assistance: Pilot program launched during the 3rd Quarter of 2010. There were three, ten-week workshops delivered to over one hundred participants. Follow-on on-on-one assistance is still being completed with the goal of obtaining bonding for all participants. Direct Assistance/Bonding Fee Subsidy: DOT approved one hundred and fifty four applications for a total of \$1,100,440. Fiscal Year 2011: Insurance/Surety Bonds: The program is unfunded in 2011. Provision of Specialized Services/Technical Assistance: Pilot program expanded nationwide. There are eleven, ten-week workshops with a goal of obtaining bonding for the \$360 plus participants. Direct Assistance/Bonding Fee Subsidy: Funding for the program expired at the conclusion of 2010. Fiscal Year 2012: Insurance/Surety Bonds: The program is

unfunded in 2012.

Provision of Specialized Services/Technical Assistance: Pilot program continues to be expanded nationwide. There will be eleven, ten-week workshops with a goal of obtaining bonding for the \$360 plus participants. Direct Assistance/Bonding Fee Subsidy: Funding for the program expired at the conclusion of 2010.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 97-449, 49 U.S.C.332.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bonding Manager, 1200 New Jersey Ave, S.E., Washington, District of Columbia 20590 Phone: (800) 532-1169.

**Website Address:**

<http://osdbu.dot.gov> .

**RELATED PROGRAMS:**

59.006 8(a) Business Development Program; 59.016 Surety Bond Guarantees

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: There were three, ten-week workshops with a goal of obtaining bonding for the one hundred participants. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.905 DISADVANTAGED BUSINESS ENTERPRISES\_SHORT TERM LENDING PROGRAM**

(Short Term Lending Program)

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

American Recovery and Reinvestment Act , Public Law 97-449, 49 U.S.C 332.

**OBJECTIVES:**

To advance the opportunities for small, minority-owned disadvantaged businesses, including women and service-disabled veteran owned businesses and Disadvantaged Business Enterprises (DBE) (to obtain accounts receivable financing for the performance of eligible transportation-related contracts originating from the Department of Transportation (DOT), its grantees, recipients, their contractors and subcontractors.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

The line of credit is for account receivable financing to support the work being performed on eligible transportation related contracts. The line of credit cannot be used for equipment purchase or other long term uses; contract mobilization; refinancing of existing debt; payment of taxes; or distribution to stock holders. A transportation-related contract is one for the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the nations modes of transportation with any public or commercial provider of transportation or any federal, state or local transportation agency.

**Applicant Eligibility:**

The recipient of a line of credit must be a certified DBE, or certified small business, including; 8(a); Small Disadvantaged Business (SDB); HUBZONE; Women-Owned Small Business (WOSB); and Service-Disabled Veteran-Owned Business (SDVOB). For DBE's, this certification must be performed under DOT guidelines, 49 CFR Part 26. The applicant must be in business for 2-3 years. This program is not for start-up businesses There must be an existing transportation- related contract(s). Transportation-related contract is a contract for the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the Nation's modes of transportation with any public or commercial provider of transportation or any Federal, State or local transportation agency.

**Beneficiary Eligibility:**

Small Business/Small Business Person.

**Credentials/Documentation:**

STLP application dated and signed; 3 years of business financial statements and taxes; 3 years of personal income taxes and current personal financial statement; current work-in-progress; cash flow projection to cover the length of the term of the loan (one year); current DBE or SBA certification; business formation information; company history; resume of key management; business and trade reference letters; and a copy of the signed transportation related contract(s). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application and checklist can be found at [www.osdbu.dot.gov/financialassistance/shortterm lendingprogram.cfm](http://www.osdbu.dot.gov/financialassistance/shortterm lendingprogram.cfm) Information, consultation is available at <http://osdbu.dot.gov> or by calling the DOT Office of Small and Disadvantaged Business Utilization (OSDBU) at 1-800-532-1169. Potential applicants may also contact OSDBU or their local U.S. DOT Small Business Transportation Resource Center (SBTRC) for assistance in the preparation of the application package. SBTRC locations may be found at <http://www.osdbu.dot.gov/regional/index.cfm>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted directly to one several Participating Leaders (PLs). Applicant may obtain a copy of the application and identify the bank servicing their region from the OSDBU internet site at <http://osdbuweb.dot.gov>.

**Award Procedure:**

All lines of credit are approved through separate decisions by the Participating Lender (PL) and by DOT. Lines of credit are serviced by approving PL.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Small Business Transportation Resource Centers and OSDBU staff can review the application for completeness. This review can be within 5 business days. Once it has been determined that the application is ready to be submitted to the PL, the applicant will submit to the PL a \$150.00 application fee along with the complete application. Decisions are made within 30 to 60 days from the time the complete application is submitted to the PL.

**Appeals:**

Not Applicable.

**Renewals:**

Applicant may apply for renewal of line of credits as long as they remain eligible (certification is current and they have a current transportation related contract). Renewals and increases in the line of credit are possible. The maximum period of eligibility is 5 years from the 1st participation in the program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Approved lines of credit are for one year terms with the possibility of renewal for four additional years. See the following for information on how assistance is awarded/released: Line of credit disbursed by certified invoices presented to the Participating Lender.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. DOT has the right to audit its accounts with the banks.

**Records:**

OSDBU maintains records of all applicant files, such as approvals, pending review, loan readiness, denials, etc. All line of credit approvals will be maintained for 7 years and non-approvals will be maintained for 3 years.

**Account Identification:**

69-0155-0-1-407.

**Obligations:**

(Salaries) FY 10 \$3,125,000; FY 11 est \$4,855,000; and FY 12 est \$10,855,000

**Range and Average of Financial Assistance:**

The maximum line of credit is \$750,000. There is no minimum line of credit amount.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Recruited a total of six new PLs towards the goal of 100% coverage across the United States. Achieved a 60% increase in the amount of new loans versus renewal loans. Fiscal Year 2011: Anticipate recruiting a total of twelve new PLs towards the goal of 100% coverage across the United States. Anticipate a 25% increase in the amount of new loans versus renewal loans. Fiscal Year 2012: Anticipate recruiting a total of twelve new PLs towards the goal of 100% coverage across the United States. Anticipate a 50% increase in the amount of new loans versus renewal loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 97-449, 49 U.S.C. 332.

**Regional or Local Office:**

None.

**Headquarters Office:**

Manager Financial Assistance Division, 1200 New Jersey Ave., S.E., Washington, District of Columbia 20590 Phone: (800) 532-1169.

**Website Address:**

<http://www.osdbuweb.dot.gov>.

**RELATED PROGRAMS:**

59.006 8(a) Business Development Program; 59.043 Women's Business Ownership Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.907 ENTREPRENEURIAL TRAINING AND TECHNICAL ASSISTANCE WOMEN AND GIRLS PROGRAM  
FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

Executive Order 13506 Establishing a White House Council on Women and Girls, Dated March 11, 2009, Public Law 97-449, 49 U.S.C 332.

**OBJECTIVES:**

To enter into successful partnerships between OSDBU and chambers of commerce, community-based organizations, colleges and universities, community colleges, or trade associations to encourage and assist women and girl students at all levels of education to pursue opportunities in the transportation-related industry and provide them with the education and tools necessary to seize those opportunities and become successful transportation-related contractors through the use of internships and outreach activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance under this section may be used to design and carry out programs to encourage and assist women and girl students at all levels of education to pursue opportunities in the transportation-related industry and provide them with the education and tools necessary to seize those opportunities and become successful transportation-related contractors through the use of internships and outreach activities.

**Applicant Eligibility:**

Design and carry out programs to encourage and assist women and girl students at all levels of education to pursue opportunities in the transportation-related industry and provide them with the education and tools necessary to seize those opportunities and become successful transportation-related contractors through the use of internships and outreach activities.

**Beneficiary Eligibility:**

Women and Girls from all levels of education meeting eligibility requirements.

**Credentials/Documentation:**

Must be an established 501 C(3) or 501 C(6) tax exempt organization and provide documentation as verification. No application will be accepted without proof of tax exempt status. Have at least one year of documented and continuous experience prior to the date of application in providing advocacy, outreach, and technical assistance to women-owned small businesses within the region in which proposed services will be provided. Have an office physically located within the proposed city in the designated headquarters state in the region for which applicant is submitting the proposal, that is readily accessible to the public. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants responding to a notice on [www.grants.gov](http://www.grants.gov) must submit their applications electronically to OSDBU via [etawgp@dot.gov](mailto:etawgp@dot.gov).

**Award Procedure:**

Applications are evaluated by an review panel. Decisions on acceptability are made by the Director, OSDBU. Department of Transportation will award the cooperative agreements. Only one project will be awarded to an organization; therefore, institutions with multiple locations within the designated region should coordinate and submit only one application per organization. Further, in order to avoid duplication of efforts, only one cooperative agreement will be awarded in any State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Selections for award are announced on [www.osdbu.gov](http://www.osdbu.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Awards will be re-competed at a minimum of every three years.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for awards is base year plus two option years depended upon performance and availability of funds. See the following for information on how assistance is awarded/released: Obligated annually.

**Reports:**

Program reports are not applicable. SF -425. Quarterly and Final progress reports are required. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. DOT's Inspector General and the Comptroller General of the United States may at all reasonable times investigate and audit, in the offices of the grantee, all documents, papers, books and records relevant to the execution and implementation of the conditions of this agreement.

**Records:**

Recipient is required to retain all documents, files, books, and records relevant to the execution and implementation of the conditions of this agreement for a period of no less than 3 years, except when dispute, exception, or audit have been initiated, the records and other materials shall be retained until the litigation, dispute, exception, or audit has judicially or administratively been made final.

**Account Identification:**

69-01119-0-1-407.

**Obligations:**

(Salaries) FY 10 \$150,000; FY 11 est \$275,000; and FY 12 est \$275,000

**Range and Average of Financial Assistance:**

Eleven Cooperative Agreements in the amount of \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The pilot program ended in the 2nd quarter of FY 2010. Twenty eight women successfully completed transportation-related internships. Fiscal Year 2011: The program was expanded nationwide. It is anticipated that two hundred and forty five women will successfully complete transportation-related internships. Fiscal Year 2012: It is anticipated that three hundred and thirty women will successfully complete transportation-related internships.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Martin, 1200 New Jersey Avenue, SE, W56-460, Washington, District of Columbia 20590 Email: [patricia.martin@dot.gov](mailto:patricia.martin@dot.gov) Phone: (202) 366-5337.

**Website Address:**

<http://osdbu.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are rated on a 100- point numerical scale and are weighted using the following factors: Approach (25 points); Linkages (25 points); Organizational Capability (25 points); Staff Capabilities and Experience (15 points); and Cost (10 points).

**20.910 ASSISTANCE TO SMALL AND DISADVANTAGED BUSINESSES**

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

The Small Business Act and the Small Business Investment Act of 1958, Title 49, Section 332, Public Law 95-507.

**OBJECTIVES:**

To enter into successful partnerships between OSDBU and chambers of

commerce, community-based organizations, colleges and universities, community colleges, or trade associations, to establish regional Small Business Transportation Resource Centers (SBTRCs) to provide business assessment, technical assistance, technical assistance referrals, business training, and the dissemination of information regarding DOT and DOT funded contracting opportunities, as well as OSDBU services to the Disadvantaged Business Enterprise (DBE) and Small Business (SB) community in their regions.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Regional SBTRCs work with OSDBU's Financial Assistance Division and STLP participating lenders to organize seminars and workshops on this accounts receivable financial access program that is available to eligible DBEs and small businesses. The seminars and workshops cover the entire STLP process, from completion of STLP loan application and preparation of the loan package to approval and loan management.

**Applicant Eligibility:**

Established 501 C(6) tax-exempt Chambers of Commerce, Trade Associations and 501 C(3) nonprofit organization, community colleges, minority educational institutions, tribal colleges and universities that have the documented experience and capacity necessary to successfully operate and administer a coordinated, Small Business Transportation Resource Center (SBTRC) within their regions.

**Beneficiary Eligibility:**

For the purpose of this program, the term small businesses refers to: 8 (a), small disadvantaged business (SDB), disadvantaged business enterprises (DBE), women-owned small business (WOB), HubZone, service-disabled veteran-owned business, and veteran owned small business.

**Credentials/Documentation:**

Must be an established 501 C(3) or 501 C(6) tax exempt organization and provide documentation as verification. No application will be accepted without proof of tax exempt status. Have at least one year of documented and continuous experience prior to the date of application in providing advocacy, outreach, and technical assistance to small businesses within the region in which proposed services will be provided. Have an office physically located within the proposed city in the designated headquarters state in the region for which applicant is submitting the proposal, that is readily accessible to the public. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants responding to a notice on www.grants.gov must submit their applications electronically to OSDBU via sbtrc@dot.gov

**Award Procedure:**

Applications will be reviewed by a selection panel and selection will be made based upon the evaluation criteria included in the announcement. The Department of Transportation, Office of Small and Disadvantaged Business Utilization will award the Cooperative Agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Selections for award are announced on www.osdbu.gov.

**Appeals:**

Not Applicable.

**Renewals:**

Awards will be re-competed at a minimum of every 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are generally made for a minimum of 12 months with 2 option years depended on performance and funds availability. See the following for information on how assistance is awarded/released: Obligated annually.

**Reports:**

Implementation Plan and Monthly Reports; Implementation Plans are due within 7 days of the effective date of the Cooperative Agreement. Monthly Reports are due on the 5th day of each subsequent month. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. DOT's Inspector General and the Comptroller General of the United States may at all reasonable times investigate and conduct audits in the offices of the recipient, all documents, papers, books and records, relevant to the execution and implementation of the conditions of this agreement.

**Records:**

Recipient is required to retain all documents, files, books, and records relevant to the execution and implementation of the conditions of this agreement for a period of not less than 3 years, except, if any litigation, dispute, exception, or audit is commenced, the records and other materials shall be retained until the litigation, dispute, exception, or audit is judicially or administratively made final.

**Account Identification:**

69-0119-0-1-407.

**Obligations:**

(Salaries) FY 10 \$1,500,000; FY 11 est \$1,650,000; and FY 12 est \$1,650,000

**Range and Average of Financial Assistance:**

Average of \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No data available. Fiscal Year 2011: No data available. Fiscal Year 2012: No data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOT Code of Federal Regulations Parts 26 and 23 as Disadvantaged Business Enterprises; Public Law 95-507; Section 8,15, and 31 of the Small Business Act as amended; OMB Circular A-110.

**Regional or Local Office:**

None.

**Headquarters Office:**

Arthur D. Jackson, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-1930 Fax: (202) 366-7228.

**Website Address:**

<http://www.osdbu.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No data available. Fiscal Year 2011: No data available. Fiscal Year 2012: No data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are rated on a numerical point scale using the following factors: Approach and Strategy; Linkages; Organizational Capability; Staff Capabilities and Experience; and Cost.

## **20.930 PAYMENTS FOR SMALL COMMUNITY AIR SERVICE DEVELOPMENT**

Small Community Program or SCASDP Payments for Small Community Air Service Development

### **FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

### **AUTHORIZATION:**

Public Law 106-181; Wendell H. Ford Aviation Investment and Reform Act for the 21st Century (AIR-21), Public Law 106-181, 49 U.S.C 41743.

### **OBJECTIVES:**

To help smaller communities enhance their air service and increase access to the national transportation system.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Grants for specified use, provided on a reimbursable basis. Grant funds can be used to cover a variety of expenses depending on the approved project. For example, funds can be expended for marketing, advertising or promotional activities, new studies designed to measure air service deficiencies, or to measure traffic loss or diversion to other communities; employment or use of consulting firms, universities, public relations firms, and new, dedicated air service development staff on a long term basis. In addition, grant funds may also be used for financial incentives, including subsidy or revenue guarantees to cover the air carrier's prospective operating loss, or to ground service providers in providing access to air transportation services.

### **Applicant Eligibility:**

1. As of calendar year 1997, the airport serving the community was not larger than a small hub airport, and it has insufficient air carrier service or unreasonably high air fares,
2. The airport serving the community presents characteristics, such as geographic diversity or unique circumstances that demonstrate the need for, and feasibility of, grant assistance from the Small Community Program;
3. An applicant may not receive an additional grant to support the same project from a previous grant;
4. An applicant may not receive an additional grant, prior to the completion of its previous grant;
5. No more than 4 communities or consortia of communities, or a combination thereof, from the same State may be selected to participate in the program in any fiscal year; and
6. No more than 40 communities or consortia of communities, or a combination thereof, may be selected to participate in the program in each year for which the funds are appropriated.

In addition to the statute, the Department applies the following eligibility conditions:

Communities without existing air service. Communities that do not currently have commercial air service are also eligible, but air service providers must have met or be able to meet in a reasonable period all Departmental requirements for air service certification, including safety and economic authorities.

Essential Air Service communities. Small communities that meet the basic criteria and currently receive subsidized air service under the Essential Air Service (EAS) program are eligible to apply for funds under the Small Community Program. However, grant awards to EAS-subsidized communities are limited to marketing or promotion projects that support existing or newly subsidized EAS. Grant funds will not be authorized for EAS-subsidized communities to support any new competing air service. Furthermore, no funds will be authorized to support additional flights by EAS carriers or changes to those carriers existing schedules. These restrictions are necessary to avoid conflicts with the EAS program.

Consortium applications. The statute permits individual communities and consortia of communities to apply for grant awards under this program. In

some instances in the past, several communities in a State have filed a single application as a consortium, but in effect the application was a collection of individual community requests involving different projects. This is not a consortium. An application from a consortium of communities must be one that seeks to facilitate the efforts of the communities working together toward a joint grant project. In other words, the application must set forth one grant project, with one joint objective, and establish one entity to ensure that the joint objective is accomplished according to the terms of a grant agreement. For example, several communities surrounding an airport may apply together to improve air services at that airport, with a joint objective of securing new or additional service to that airport. Or, surrounding airports may apply together in support of a regional plan to lower fares or reverse a decline in traffic.

Prior grant recipients. Communities or members of a consortia that were awarded grants in previous years and want to apply for a grant this year should be aware that they are precluded from seeking new funds for projects for which they have already received an award under the Small Community Program.

To provide to small communities access to the National transportation system.

### **Beneficiary Eligibility:**

Not Applicable.

### **Credentials/Documentation:**

Communities must apply for the grant program by submitting a project proposal with required data to justify its proposal in accordance with the Department-issued Request for Proposals. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A request for proposals (RFP) soliciting applications from eligible communities is issued each year. The RFP can be accessed on the internet through <http://www.grants.gov>. Additionally, the solicitation is published in the Federal Register and served on the Council of Mayors, the National League of Cities, the National Governors Association, the National Association of State Aviation Officials, the Association of County Executives, the American Association of Airport Executives (AAAE), and the Airports Council International-North America (ACI).

### **Award Procedure:**

Applications will be evaluated according to factors established in the RFP and under the guidance of the Vision 100-Century in Aviation Reauthorization Act, Public Law 108-176.

### **Deadlines:**

Jul 01, 2011 to Aug 02, 2011: Deadlines vary from year to year depending on the timing of the release of the Request for Proposal. The deadline for filing of proposals is established and specified for each fiscal year in the RFP and can vary from year to year.

### **Range of Approval/Disapproval Time:**

Can vary from year to year. However, the target is to awards grants within 120 days from the established application deadline.

### **Appeals:**

Not Applicable.

### **Renewals:**

Application procedures are repeated each year. However, grant recipients are precluded by statute from seeking additional grants in support of the same project. A community can only have one Small Community Program grant at any time. 49 U.S.C. Section 41743(c)(4).

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

The period of time for awards will vary with the complexity of the project. Minimum grant duration is one year. The statute limits use of grant funds for air carrier subsidy to a maximum period of three years. The same limitation applies to other forms of ongoing support for air carrier programs. Financial assistance is provided on a reimbursable basis; cash advances will not be made. Funds obligated remain available until expended. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly progress reports, and a final report is required. Cash reports are not applicable. Grantees are required to submit quarterly progress and a final report. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. SCASDP also is subject to the A-123 review process.

**Records:**

The grant recipient is expected to retain all documents relevant to the grant award for a period of 3 years from completion of all projects undertaken pursuant to the Grant Agreement and receipt of final reimbursement from the Treasury.

**Account Identification:**

69-8106-0-7-402.

**Obligations:**

(Salaries) FY 10 \$6,993,000; FY 11 est \$15,000,000; and FY 12 est \$6,000,000 - FY2011 -- Up to \$15,000,000 available including prior year recoveries.

**Range and Average of Financial Assistance:**

Range: \$100,000 to \$1,000,000 Average: \$450,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, the SCASDP program provided a total of \$6,993,000 to 19 communities for grants to improve air service to the Nations transportation system. Fiscal Year 2011: Not available. Fiscal Year 2012: This grant program is discretionary and funding varies each year.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 U.S.C. 41743; 14 CFR 302.12 (Rule 12); 49 CFR 1.56a(f); 49 CFR Part 18; Public Law 106-181; Public Law 108-176; Public Law 108-477

**Regional or Local Office:**

None.

**Headquarters Office:**

Aloha Ley, 1200 New Jersey Ave., SE W86-310, Washington, District of Columbia 20590 Email: aloha.ley@dot.gov Phone: (202) 366-2347 Fax: (202) 366-7638.

**Website Address:**

[http://ostpxweb.dot.gov/aviation/X-50%20Role\\_files/smallcommunity.htm](http://ostpxweb.dot.gov/aviation/X-50%20Role_files/smallcommunity.htm)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples include revenue guarantees, marketing, and studies. Fiscal Year 2011: Request for Proposals are due August 2, 2011 by 5PM EDT. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priority factors considered. The law directs the Department to give priority consideration to those communities or consortia where:  
air fares are higher than the national average air fares for all communities;  
the community or consortium will provide a portion of the cost of the activity from local sources other than airport revenue sources;  
the community or consortium has established or will establish a public-private partnership to facilitate air carrier service to the public;

the assistance will provide material benefits to a broad segment of the traveling public, including business, educational institutions, and other enterprises, whose access to the national air transportation system is limited; and

the assistance will be used in a timely manner.

Additional factors considered. Applications will be evaluated against the priority considerations listed above. Our experience has been that more applications are received than can be funded under the Small Community Program. Consequently, consistent with the criteria stated above, the selection process will take into consideration such additional factors as:

- the geographic location of each applicant, including the communitys proximity to larger centers of air service and low-fare service alternatives;
- the proposed federal grant amount requested compared with the local share offered;
- whether the applicant community has previously received a grant award under this program and, if so, whether its application includes an explanation of how the communitys proposed project differs from its previously funded project;
- the communitys demonstrated commitment to and participation in the proposed grant project;
- the extent to which the applicants proposed solution(s) to solving the problem(s) is new or innovative;
- the population and business activity as well as the relative size of each applicant community;
- the communitys existing level of air service and whether that service has been increasing or decreasing;
- whether the communitys proposal, if successfully implemented, could serve as a working model for other communities;
- the grant amount requested compared with total funds available for all communities;
- whether the community has a viable plan to use the funds in a timely manner;
- the uniqueness of an applicants claimed problems and whether the proposed project clearly addresses the applicants claimed problems; and
- whether the communitys proximity to an existing or prior grant recipient could adversely affect either its proposal or the project undertaken by the other recipient.

Full community participation is a key goal of this program as demonstrated by the statutes focus on local contributions and active participation in the project. Therefore, applications that demonstrate broad community support will be more attractive. For example, communities providing proportionately higher levels of cash contributions from other than airport revenues will have more attractive proposals. Communities that provide multiple levels of contributions (state, local, airport, cash and in-kind contributions) also will have more attractive proposals. Similarly, communities that demonstrate participation in the development and execution of the proposed air service project will enhance the attractiveness of their proposals.

Established by statute and annual Department order soliciting grant proposals.

**20.931 TRANSPORTATION PLANNING, RESEARCH AND EDUCATION**

Innovative and Advanced Transportation Research

**FEDERAL AGENCY:**

Research and Innovative Technology Administration, Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005.

**OBJECTIVES:**

To provide funds to conduct research and development on innovative transportation systems and related applied technologies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**



The grants may be used for innovative technology based projects directed towards application to national transportation infrastructure development and construction in planning, design and operations.

**Applicant Eligibility:**

These grants are mandated by Congress in DOT's Annual Appropriation Legislation. Therefore, only those organizations specifically identified in the appropriation legislation can apply.

**Beneficiary Eligibility:**

Public Non-Profit Institutions/Organizations; Sponsored Organizations; State; Local; Other Public Institutions; Federal Recognized Indian Tribal Government; US Territory or Possession; Private Non-Profit Institutions/Organizations; Quasi-Public Non-Profit Institutions/Organizations; Native American Organizations.

**Credentials/Documentation:**

Proposals with statement of work and estimated budget. Costs will be determined in accordance with relevant OMB circulars (i.e. Circular Nos. A-87 for State and Local Governments, A-21 for Educational Institutions and A-122 for Non-Profit and For-Profit Organizations). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application shall be submitted to the grantee via grants.gov. Grantees will be required to complete the suite of SF 424 forms and the appropriate representations and certifications.

**Award Procedure:**

The award procedure typically requires two-step process White Papers and Full Technical and Cost Proposals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The deadlines, if any, shall be established in each grant application package.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals and/or extension may be available. Requests must be submitted to the Acquisition Services office for approval.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50%. Fifty (50) percent non-Federal matching requirements per SAFETEA-LU legislation language. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The typical length of the cooperative agreements is 2.5 years and expenditures are reimbursed on a quarterly basis. See the following for information on how assistance is awarded/released: Funds are reimbursed.

**Reports:**

Mandatory quarterly reports; final project report. SF-270. Mandatory quarterly reports. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Reports are due in accordance with the terms and conditions of each grant. Records will be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education, other nonprofit organizations, and commercial organizations and in accordance with 15 CFR Part 24 for State and local governments.

**Account Identification:**

69-0102-0-1-407.

**Obligations:**

(Project Grants) FY 10 \$5,115,325; FY 11 est \$7,032,870; and FY 12 est \$0

**Range and Average of Financial Assistance:**

The range is between \$500,00- to 1.5 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Conducted applied research in commercial remote sensing and spatial information technologies for application to national transportation infrastructure development and construction. The Program investigated, developed and validated new applications and provided products to monitor and assess infrastructure condition of bridges, pavements and other transportation infrastructure. In addition, the Program developed remote sensing applications to optimize freight movements in urban areas and in and around ports. Spatial information technologies, such as GIS and GPS systems, were deployed to assist in these research investigations. Fiscal Year 2011: Conducted applied research in commercial remote sensing and spatial information technologies for application to national transportation infrastructure development and construction. The Program investigated, developed and validated new applications and provided products to monitor and assess infrastructure condition of bridges, pavements and other transportation infrastructure. In addition, the Program developed remote sensing applications to optimize freight movements in urban areas and in and around ports. Spatial information technologies, such as GIS and GPS systems, were deployed to assist in these research investigations. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caesar Singh, 1200 New Jersey Avenue, SE, Washington, District of Columbia 20950 Email: Caesar.Singh@dot.gov Phone: (202) 366-3252.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

- Fiscal Year 2010: 1. Michigan Tech Univ. - Bridge Condition Assessment Using Remote Sensors.
- 2. Univ. of Arizona - Enhances Monitoring & Planning of Network Infrastructure with Remote Data Collection
- 3. Georgia Tech. Research Corporation - A remote Sensing and GIS-Enabled Asset Management System (RS-GAMS)
- 4. George Mason Univ. - Multimodal Short Sea Freight Shipping System (MSSFS)
- 5. Univ. of North Carolina Charlotte - Integrated Remote Sensing and visualization (IRSV) System for Transportation Infrastructure Operations and Management Phase II. Fiscal Year 2011: 1. Georgia Tech. Research Corporation - A remote Sensing and GIS-Enabled Asset Management System (RS-GAMS) Phase II
- 2. Michigan Tech. Univ. - Characterization of Unpaved Road Conditions Through Use of Unmanned Aerial Vehicles
- 3. Michigan Tech. Univ. - Bridge Condition Assessment Using Remote Sensors - Field Implementation & Outreach
- 4. Missouri Univ. of Science & Tech. - Real-Time Bridge Scour Management with Wireless Smart Rocks as Mitigation Measures and Field Agents for Monitoring and Prediction
- 5. University of Alaska Fairbanks - Close-Range SAR for Monitoring and Automatically Detecting Pavement Conditions and Improving Visual

#### Inspection Procedures

6. Univ. of Massachusetts Lowell - Multi-modal Remote Sensing System (MRSS) for Transportation Infrastructure Inspection and Monitoring
7. Univ. of Massachusetts Dartmouth - Use of Remote Sensing for Seasonal Load Restrictions (SLR): Application & Removal
8. Univ. of Maryland - Development of a Self-Sustained Wireless Integrated Structural Health Monitoring System for Highway Bridges
9. Univ. of Virginia - Sinkhole Detection for Transportation Infrastructure by Automated Analysis of Interferometric Synthetic Aperture Radar Images
10. Rensselaer Polytechnic Institute - Integrative Freight Demand Management In The New York City Metropolitan Area Implementation Phase. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Concept, technical approach, cost, background, and partnerships..

#### **20.932 SURFACE TRANSPORTATION \_ DISCRETIONARY GRANTS FOR CAPITAL INVESTMENT.**

TIGER Grants (Transportation Investment Generating Economic Recovery).

#### **FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

#### **AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009 (Recovery Act), Title XII Transportation and Housing and Urban Development, and Related Agencies, Department of Transportation, Office of the Secretary, Supplemental Discretionary Grants for a National Surface Transportation System., Public Law 111-5, 123 Stat. 115.

#### **OBJECTIVES:**

The purposes of the Recovery Act include, among other things: (i) to preserve and create jobs and promote economic recovery and (ii) to invest in transportation infrastructure that will provide long-term economic benefits. The Act requires that grants be provided for surface transportation projects that will have a significant impact on the Nation, a metropolitan area, or a region.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Under this program, \$1,500,000,000 is available through September 30, 2011, for the Department to make grants on a competitive basis for projects that will have a significant impact on the Nation, a metropolitan area, or a region. Projects eligible for funding provided under this program include, but are not limited to, highway or bridge projects eligible under title 23, United States Code, including interstate rehabilitation, improvements to the rural collector road system, the reconstruction of overpasses and interchanges, bridge replacements, seismic retrofit projects for bridges, and road realignments; public transportation projects eligible under chapter 53 of title 49, United States Code, including investments in projects participating in the New Starts or Small Starts programs that will expedite the completion of those projects and their entry into revenue service; passenger and freight rail transportation projects; and port infrastructure investments, including projects that connect ports to other modes of transportation and improve the efficiency of freight movement. The Department may also use an amount not to exceed \$200,000,000 for the purpose of paying the subsidy and administrative costs of projects eligible for federal credit assistance under chapter 6 of title 23, United States Code, if the Department finds that such use of the funds would advance the purposes of this program. In distributing funds available under this program, the Department must take measures to ensure an equitable geographic distribution of funds and an appropriate balance in addressing the needs of urban and rural communities. Grants provided under this program shall generally be not less than \$20,000,000 and not greater than \$300,000,000, however, the Department may waive the \$20,000,000 minimum grant size for the purpose of funding significant projects in smaller cities, regions, or States. Not more than 20 percent of the funds made available under this program will be awarded to projects in a single State. The Federal share of the costs for which an expenditure is made under this program may be up to 100 percent, however, the Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package, and to projects that are

expected to be completed by February 17, 2012. Projects conducted using funds provided under this program must comply with the requirements of subchapter IV of chapter 31 of title 40, United States Code. Not more than 20 percent of the funds made available under this program will be awarded to projects in a single State. Not more than 20 percent of the funds made available under this program will be awarded to projects in a single State. The Federal share of the costs for which an expenditure is made under this program may be up to 100 percent, however, the Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package, and to projects that are expected to be completed by February 17, 2012.

#### **Applicant Eligibility:**

The Federal share of the costs for which an expenditure is made under this program may be up to 100 percent, however, the Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package, and to projects that are expected to be completed by February 17, 2012.

#### **Beneficiary Eligibility:**

The ultimate benefits of this program may be received by, among others, State or local governments, transit agencies, builders/contractors/developers, major metropolises, and other urban, suburban, or rural areas.

#### **Credentials/Documentation:**

Recipients and their first-tier sub-awardees will be required to have a DUNS number (www.dnb.com) and a current registration in the Central Contractor Registration (www.ccr.gov). Recipients of Recovery Act funds must have systems and internal controls that allow them to separately track and report Recovery Act funds even if the funds are being used to fund an existing project/activity. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Complete applications for TIGER Discretionary Grants must be submitted by September 15, 2009 (the Application Deadline). While applicants are encouraged to submit applications in advance of the Application Deadline, applications will not be evaluated, and awards will not be made, until after the Application Deadline. Due to the need to expedite the grant award process to meet the requirements and purposes of the Recovery Act (as defined below), the Department will evaluate all applications and announce the projects that have been selected to receive Grant Funds (as defined below) as soon as possible after the Application Deadline, but no later than February 17, 2010. In addition, in the event that this solicitation does not result in the award and obligation of all available funds, the Department may decide to publish an additional solicitation.

#### **Award Procedure:**

TIGER Discretionary Grants will be awarded to projects with a demonstrated or potential ability to: (i) Deliver programmatic results; (ii) achieve economic stimulus by optimizing economic activity and the number of jobs created or saved in relation to the Federal dollars obligated; (iii) achieve long-term public benefits by, for example, investing in technological advances in science and health to increase economic efficiency and improve quality of life; investing in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; fostering energy independence; or improving educational quality; and (iv) satisfy the Recovery Acts transparency and accountability objectives..

#### **Deadlines:**

Sep 15, 2009 to Sep 30, 2011

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula. Not more than 20 percent of the funds made available under this program will be awarded to projects in a single State. The Federal share of the costs for which an expenditure is made under this program may be up to 100 percent, however, the Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package.

While this program does not require a State match, the Maintenance of Effort provisions of section 1201 of the Act apply to projects that receive funding under this program to the extent that a State planned to expend State funds on such a project as of February 17, 2009. Specifically, section 1201(a) requires that for amounts distributed to a State or State agency from an appropriation in the Act for a covered program (including this program), the Governor of the State shall certify to the Secretary of Transportation that the State will maintain its effort with regard to State funding for the types of projects funded by the appropriation. As part of this certification, the Governor was required to submit a statement identifying the amount of funds the State planned to expend from State sources as of February 17, 2009, during the period beginning on February 17, 2009, through September 30, 2010, for the types of projects funded by the appropriation.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds available under this program are available through September 30, 2011. The Department will give priority to projects that are expected to be completed by February 17, 2012. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

All ARRA reporting requirements. All ARRA reporting requirements. To include all ARRA reporting requirements. SF 425. Monitoring will be conducted based on OMB ARRA guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Any awarding procedures, documentation of expenditures and copies of reports as well as policies and procedures for the life of the grant.

**Account Identification:**

69-0106-0-1-407.

**Obligations:**

(Salaries) FY 10 \$420,194,255; FY 11 est \$1,079,805,745; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Grants provided under this program shall generally be not less than \$20,000,000 and not greater than \$300,000,000, however, the Department may waive the minimum grant size for the purpose of funding significant projects in smaller cities, regions, or States. This is a new program and no approximate average amount of awards is available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: DOT received over 1400 applications totaling almost \$60 billion for the \$1.5 billion TIGER Discretionary Grant program created under ARRA. In February, 51 awards were announced for projects ranging from bridge replacements, freight rail corridor improvements, streetcar extensions, and bicycle/pedestrian networks. The largest grant award was \$105 million for a multi-state freight rail project, and the average award size was \$30 million. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current

Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Robert A. Mariner, Office of the Assistant Secretary for Transportation Policy, 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Email: TIGERGrants@dot.gov Phone: (202) 366-8914.

**Website Address:**

<http://www.dot.gov/recovery/ost/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects were funded in large cities as well as rural and tribal communities across the country and were selected based on merit. Selected projects represent some of the most innovative projects as well as multi-modal, multi-jurisdictional projects that are often overlooked by the existing funding system. The winning TIGER projects highlighted the diversity of transportation needs throughout the United States from grand Moynihan Station in New York City, which will carry millions of train and subway riders each year to the most beautiful drive in America Wyoming's Beartooth Highway the gateway to Yellowstone National Park. They ranged from major billion dollar freight rail corridors in the Midwest and South, to bridge repairs in Oklahoma and South Carolina to port projects in Maine and Hawaii.

A complete list of projects funded under this program can be found on the Department of Transportation's American Recovery and Reinvestment Act (ARRA) website ([www.dot.gov/recovery/ost/](http://www.dot.gov/recovery/ost/)). Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

TIGER Discretionary Grants will be awarded based on the selection criteria as outlined below. There are two categories of selection criteria, Primary Selection Criteria and Secondary election Criteria. The Primary Selection Criteria include (1) Long-Term Outcomes and (2) Jobs Creation & Economic Stimulus. The Secondary Selection Criteria include (1) Innovation and (2) Partnership. The Primary election Criteria are intended to capture the primary objectives of the TIGER Discretionary Grants provision of the Recovery Act, which include near-term economic recovery and job creation, maximization of long-term economic benefits and impacts on the Nation, a region, or a metropolitan area, and assistance for those most affected by the current economic downturn. The Secondary Selection Criteria are intended to capture the benefits of new and/or innovative approaches to achieving programmatic objectives.

**20.933 NATIONAL INFRASTRUCTURE INVESTMENTS**

TIGER Discretionary Grants

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

Full-Year Continuing Appropriations, 2011 (Div. B of the Department of Defense.

**OBJECTIVES:**

The grants for National Infrastructure Investments in the FY 2011 Continuing Appropriations Act are for capital investments in surface transportation infrastructure grants to be awarded to a State, local, or Tribal governments, including U.S. territories, tribal governments, transit agencies, port authorities, metropolitan planning organizations (MPOs), other political subdivisions of State or local governments, and multi-State or multijurisdictional groups applying through a single lead applicant on a competitive basis for surface transportation projects (including, but not limited to: (1) Highway or bridge projects eligible under title 23, United States Code; (2) public transportation projects eligible under chapter 53 of title 49, United States Code; (3) passenger

and freight rail transportation projects; and (4) port infrastructure investments) that will have a significant impact on the Nation, a metropolitan area, or a region.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Under the FY 2011 Continuing Appropriations Act TIGER Discretionary Grants, \$526,944,000 is available through September 30, 2013, for the Department to make grants on a competitive basis for projects that will have a significant impact on the Nation, a metropolitan area, or a region. Projects eligible for funding provided under this program include, but are not limited to, highway or bridge projects eligible under title 23, United States Code, including interstate rehabilitation, improvements to the rural collector road system, the reconstruction of overpasses and interchanges, bridge replacements, seismic retrofit projects for bridges, and road realignments; public transportation projects eligible under chapter 53 of title 49, United States Code, including investments in projects participating in the New Starts or Small Starts programs that will expedite the completion of those projects and their entry into revenue service; passenger and freight rail transportation projects; and port infrastructure investments, including projects that connect ports to other modes of transportation and improve the efficiency of freight movement. The Department may also use an amount not to exceed \$150,000,000 for the purpose of paying the subsidy and administrative costs of projects eligible for federal credit assistance under chapter 6 of title 23, United States Code, if the Department finds that such use of the funds would advance the purposes of this program. In distributing funds available under this program, the Department must take measures to ensure an equitable geographic distribution of funds and an appropriate balance in addressing the needs of urban and rural communities. Grants provided under this program shall generally be not less than \$10,000,000 and not greater than \$200,000,000, however, projects located in rural areas, the minimum grant size shall be \$1,000,000. The Federal share of the costs for which an expenditure is made under this program may be up to 80 percent, however, the Department may increase the Federal share of costs above 80 percent for projects located in rural areas. The Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package. The Department has developed selection criteria and requirements for this program. Information about selection criteria and requirements is available in the Departments Notice of Funding Availability that has been published the Federal Register (available at [http://www.dot.gov/docs/FY11\\_TIGER\\_NOFA.pdf](http://www.dot.gov/docs/FY11_TIGER_NOFA.pdf) and <http://www.gpo.gov/fdsys/pkg/FR-2011-08-12/pdf/2011-20577.pdf>). Grants provided under this program shall generally be not less than \$10,000,000 and not greater than \$200,000,000, however, projects located in rural areas, the minimum grant size shall be \$1,000,000. The Federal share of the costs for which an expenditure is made under this program may be up to 80 percent, however, the Department may increase the Federal share of costs above 80 percent for projects located in rural areas. 100% of the funding is discretionary. These are TIFIA loans and Title 23 loans.

**Applicant Eligibility:**

State, local, and tribal governments, including U.S. territories, tribal governments, transit agencies, port authorities, metropolitan planning organizations (MPOs), other political subdivisions of State or local governments, and multi-State or multi-jurisdictional groups applying through a single lead applicant (for multi-jurisdictional groups, each member of the group, including the lead applicant, must be an otherwise eligible applicant as defined in this paragraph).

**Beneficiary Eligibility:**

The ultimate benefits of this program may be received by, among others, States or local governments, transit agencies, builders/contractors/developers, major metropolitanises, and other urban, suburban, or rural areas.

**Credentials/Documentation:**

Recipients and their first-tier sub-awardees will be required to have a DUNS number ([www.dnb.com](http://www.dnb.com)) and a current registration in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)) submitted as part of the submitted application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The application cycle for TIGER Discretionary Grants has two stages:

**Pre-Application:** In Stage 1, applicants must submit a pre-application form to the DOT. This step qualifies applicants to submit an application in Stage 2. No application submitted during Stage 2 that does not correlate with a properly completed Stage 1 pre-application will be considered. Pre-applications must be submitted by October 3, 2011, at 5:00 p.m. EDT through the [www.dot.gov/TIGER](http://www.dot.gov/TIGER) website. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The application cycle for TIGER Discretionary Grants has two stages:

**Pre-Application:** In Stage 1, applicants must submit a pre-application form to the DOT. This step qualifies applicants to submit an application in Stage 2. No application submitted during Stage 2 that does not correlate with a properly completed Stage 1 pre-application will be considered.

**Application:** In Stage 2, applicants must submit a complete application package through Grants.gov. If an applicant is seeking a TIGER TIFIA payment, applicants must submit electronically a TIFIA letter of interest to the TIFIA office at [TIFIAcredit@dot.gov](mailto:TIFIAcredit@dot.gov). TIFIA letters of interest must comply with all of the programs standard requirements (the TIFIA program guide can be downloaded from <http://tifia.fhwa.dot.gov/>).

Pre-applications must be submitted to DOT by the Pre-Application Deadline, which is October 3, 2011, at 5:00 p.m. EST. Final applications must be submitted through Grants.gov by the Application Deadline, which is October 31, 2011, at 5:00 p.m. EST. The Grants.gov Apply function will open on October 5, 2011, allowing applicants to submit applications. While applicants are encouraged to submit pre-applications in advance of the Pre-Application Deadline, pre-applications will not be reviewed until after the Pre-Application Deadline. Similarly, while applicants are encouraged to submit applications in advance of the Application Deadline, applications will not be evaluated, and selections for awards will not be made, until after the Application Deadline.

Pre-applications (stage 1) must be submitted to the DOT. The pre-application form will be available on the DOT website at [www.dot.gov/TIGER](http://www.dot.gov/TIGER) on or before September 9, 2011, together with instructions for submitting the pre-application form electronically to DOT.

Applications (Stage 2) must be submitted through Grants.gov. To apply for funding through Grants.gov, applicants must be properly registered. Complete instructions on how to register and submit applications can be found at [www.grants.gov](http://www.grants.gov). Please be aware that the registration process usually takes 2-4 weeks and must be completed before an application can be submitted. If interested parties experience difficulties at any point during the registration or application process, please call the Grants.gov Customer Support Hotline at 1-800-518-4726, Monday-Friday from 7:00 a.m. to 9:00 p.m. EST. Additional information on applying through Grants.gov is available in Appendix B, attached hereto.

To help ensure that applicants submit only those applications that are most likely to align well with the departments selection criteria, each applicant may submit no more than three applications for consideration under the TIGER Discretionary Grant Program. While applications may include requests to fund more than one project, applicants should not bundle together unrelated projects in the same application for purposes of avoiding the three application limit that applies to each applicant. Please note that the three application limit applies only to applications where the applicant is the lead applicant, and there is no limit on applications for which an applicant can be listed as a partnering agency. Also, DOT will not count any application for a multistate project against the three application limit to the extent multiple states are partnering to submit the application.

**Award Procedure:**

DOT will award TIGER Discretionary Grants to projects that are well-aligned with one or more of the selection criteria and that satisfy the statutory distributional requirements while remaining as consistent as possible with the competitive ratings.

**Deadlines:**

Oct 05, 2011 to Oct 31, 2011 Pre-applications must be submitted by October 3, 2011, at 5:00 p.m. EDT (the Pre-Application Deadline). Final applications must be submitted through Grants.gov by October 31, 2011, at 5:00 p.m. EDT (the Application Deadline). The DOT pre-application system will open on or before September 9, 2011, to allow prospective applicants to submit pre-applications. Subsequently, the Grants.gov Apply function will open on October 5, 2011, allowing applicants to submit applications. While applicants are encouraged to submit pre-applications in advance of the Pre-Application Deadline, pre-applications will not be reviewed until after the pre-application deadline. Similarly, while applicants are encouraged to submit applications in advance of the Application Deadline, applications will not be evaluated, and awards will not be made, until after the Application Deadline. The funding for this program will remain available through September 30, 2013.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20.%. This program has matching requirements. The Federal share of the costs for which an expenditure is made under this program may be up to 80 percent, however, the Department may increase the Federal share of costs above 80 percent for projects located in rural areas. The Department will give priority to projects for which Federal funding is required to complete an overall financing package and projects can increase their competitiveness by demonstrating significant non-Federal contributions. Additionally, not more than 25 percent of the funds made available under this program (or \$131.736 million) will be awarded to projects in a single State. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds available under this program are available for obligation through September 30, 2013. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

Quarterly progress reports, annual budget reports, and performance measurement reports are due in accordance with the terms and conditions of the grant agreement. No cash reports are required. Quarterly reports are required. SF-425. Grantees will provide information on the performance outcomes of the capital investments they make with TIGER funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees will be required to keep all project accounts and records that fully disclose the amount and disposition by the Grantee of the proceeds of the grant, the total cost of the project in connection with which the grant is given or used, and the amount or nature of that portion of the cost of the project supplied by other sources, and such other financial records pertinent to the project. The accounts and records shall be kept in accordance with an accounting system that will facilitate an effective audit in accordance with the Single Audit Act of 1984, as amended (31 U.S.C. 7501-7507).

**Account Identification:**

69-0143-0-1-407.

**Obligations:**

(Salaries) FY 10 \$600,000,000; FY 11 est \$526,944,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Grants provided under this program shall generally be not less than \$10,000,000 and not greater than \$200,000,000, however, projects located in rural areas will have a minimum grant size of \$1,000,000 and the Secretary may increase the Federal share of costs above 80 percent. DOT solicited applications for TIGER II Discretionary Grants through a notice of funding availability published in the Federal Register on June 1, 2010 (an interim notice was published on April 26, 2010). Applications for TIGER II Discretionary Grants were due on August 23, 2010 and nearly 1700 applications were received with funding requests totaling about \$21 billion. Funding awards for 42 capital projects totaling nearly \$557 million were announced on October 20, 2010. Grant announcements ranged from \$1.01 million to \$47.6 million for individual capital projects, with an average award size of approximately \$13.25 million; the median award amount was \$10.5 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: See <http://www.dot.gov/TIGER> for information on projects selected based on similar criteria under similar appropriations for TIGER Discretionary Grants (Recovery Act) and TIGER II Discretionary Grants. Fiscal Year 2011: See <http://www.dot.gov/TIGER> for information on projects selected based on similar criteria under similar appropriations for TIGER Discretionary Grants (Recovery Act) and TIGER II Discretionary Grants. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Howard Hill 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Email: [TIGERGrants@dot.gov](mailto:TIGERGrants@dot.gov) Phone: (202) 366-0301

**Website Address:**

<http://www.dot.gov/TIGER>

**RELATED PROGRAMS:**

20.932 Surface Transportation \_ Discretionary Grants for Capital Investment.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: See <http://www.dot.gov/TIGER> for information on projects selected based on similar criteria under similar appropriations for TIGER Discretionary Grants (Recovery Act) and TIGER II Discretionary Grants. Fiscal Year 2011: See <http://www.dot.gov/TIGER> for information on projects selected based on similar criteria under similar appropriations for TIGER Discretionary Grants (Recovery Act) and TIGER II Discretionary Grants. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

TIGER Discretionary Grants will be awarded based on the selection criteria as outlined below. TIGER Discretionary Grants will be awarded based on the following selection criteria. There are two categories of selection criteria, Primary Selection Criteria and Secondary Selection Criteria. The Primary Selection Criteria include (1) Long-Term Outcomes and (2) Jobs Creation & Near-Term Economic Activity. The Secondary Selection Criteria include (1) Innovation and (2) Partnership. The Primary Selection Criteria are intended to capture the primary objective of the TIGER II provisions of the FY 2011 Continuing Appropriations Act, which is to provide capital investments in surface transportation projects that will have a significant impact on the Nation, a metropolitan area, or a region. The Secondary Selection Criteria are intended to capture the benefits of new and/or innovative approaches to achieving the programmatic objective. Information about selection criteria and requirements is available in the Departments Notice of Funding Availability that has been published the Federal Register (available at [http://www.dot.gov/docs/FY11\\_TIGER\\_NOFA.pdf](http://www.dot.gov/docs/FY11_TIGER_NOFA.pdf) and <http://www.gpo.gov/fdsys/pkg/FR-2011-08-12/pdf/2011-20577.pdf>).

1. Primary Selection Criteria:

(a) Long-Term Outcomes

DOT will give priority to projects that have a significant impact on desirable long-term outcomes for the Nation, a metropolitan area, or a region.

Applications that do not demonstrate a likelihood of significant long-term benefits in this criterion will not proceed in the evaluation process. The following types of long-term outcomes will be given priority:

- (i) State of Good Repair: Improving the condition of existing transportation facilities and systems, with particular emphasis on projects that minimize life-cycle costs.
- (ii) Economic Competitiveness: Contributing to the economic competitiveness of the United States over the medium- to long-term.
- (iii) Livability: Fostering livable communities through place-based policies and investments that increase transportation choices and access to transportation services for people in communities across the United States.
- (iv) Environmental Sustainability: Improving energy efficiency, reducing dependence on oil, reducing greenhouse gas emissions and benefitting the environment.
- (v) Safety: Improving the safety of U.S. transportation facilities and systems.

(b) Job Creation & Near-Term Economic Activity

While the TIGER Discretionary Grant program is not a Recovery Act program, job creation and near-term economic activity remain a top priority of this Administration; therefore, DOT will give priority (as it did for the TIGER and TIGER II Discretionary Grant programs) to projects that are expected to quickly create and preserve jobs and promote rapid increases in economic activity, particularly jobs and activity that benefit economically distressed areas as defined by section 301 of the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. 3161) (Economically Distressed Areas) .

2. Secondary Selection Criteria

(a) Innovation

DOT will give priority to projects that use innovative strategies to pursue the long-term outcomes outlined above.

(b) Partnership

DOT will give priority to projects that demonstrate strong collaboration among a broad range of participants and/or integration of transportation with other public service efforts.

## DEPARTMENT OF THE TREASURY

### 21.003 TAXPAYER SERVICE

#### FEDERAL AGENCY:

Internal Revenue Service (IRS), Department of the Treasury

#### AUTHORIZATION:

Internal Revenue Code, as amended, 26 U.S.C. 7801.

#### OBJECTIVES:

To assist taxpayers and taxpayer organizations in locating services and Federal tax information established by the Federal tax system.

#### TYPES OF ASSISTANCE:

ADVISORY SERVICES AND COUNSELING

#### USES AND USE RESTRICTIONS:

The Internal Revenue Service (IRS) produces and provides publications, forms and other tax material and information to help taxpayers meet their tax responsibilities. Taxpayers are encouraged to visit the IRS website at [www.irs.gov](http://www.irs.gov) where they can find all this information and can download forms and publications with a keystroke. Taxpayers can check their refunds on-line at [www.irs.gov](http://www.irs.gov), "Where's My Refund." The site is easy, quick and secure. Taxpayers can also call the toll-free TeleTax system at (800) 829-4477, available 24 hours a day, 7 days a week. This service provides recorded tax information on more than 150 subjects to taxpayers who have touchtone telephones. For a directory of topics, taxpayers should listen to topic #123. To assist tax professionals the IRS holds annual Nationwide Tax Forums, provides an electronic newsletter called "e-news for Tax Professionals" and regularly updates the Tax Professionals page on the IRS website with information for these partners in tax administration. IRS Taxpayer Assistance Centers (TAC) in 50 states, the District of Columbia and Puerto Rico provide face-to-face help for account or tax law matters that are best handled in person. Visit

[www.irs.gov/localcontacts/index.html](http://www.irs.gov/localcontacts/index.html) for TAC locations, services and hours of operation.

#### Applicant Eligibility:

Any individual or group interested in the tax system or have questions about his/her tax return(s).

#### Beneficiary Eligibility:

Taxpayers.

#### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. None.

#### Award Procedure:

Not applicable.

#### Deadlines:

Not Applicable.

#### Range of Approval/Disapproval Time:

Not Applicable.

#### Appeals:

Not Applicable.

#### Renewals:

Not Applicable.

#### Formula and Matching Requirements:

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### Length and Time Phasing of Assistance:

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

#### Reports:

Not Applicable.

#### Audits:

Not Applicable.

#### Records:

Not applicable.

#### Account Identification:

20-0912-0-1-803.

#### Obligations:

(Advisory Services and Counseling) FY 10 \$2,380,394,000; FY 11 est \$2,403,238,000; and FY 12 est \$2,411,594,000

#### Range and Average of Financial Assistance:

No Data Available.

#### PROGRAM ACCOMPLISHMENTS:

Not Applicable.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

IRS regulations, guidelines and literature are available at [www.irs.gov](http://www.irs.gov).

#### Regional or Local Office:

See Regional Agency Offices. Regional or Local Office:

See [www.irs.gov/localcontacts/index.html](http://www.irs.gov/localcontacts/index.html) for Taxpayer Assistance Center locations, services and hours of operation. Jim Southwell, Wage & Investment Business Operating Division, 401 West Peachtree Street NW, Atlanta, GA 30308. Email [james.e.southwell@irs.gov](mailto:james.e.southwell@irs.gov) Phone: (404) 338-7005.

Headquarters Office:

Jim Southwell, Wage & Investment Business Operating Division, 401 West Peachtree Street NW, Atlanta, GA 30308. Email james.e.southwell@irs.gov Phone: (404) 338-7005.

**Headquarters Office:**

James E. Southwell 401 W. Peachtree St. NW, Atlanta, Georgia 30308 Email: james.e.southwell@irs.gov Phone: (404) 338-7005 Fax: (404) 338-7218

**Website Address:**

<http://www.irs.gov> .

**RELATED PROGRAMS:**

21.004 Exchange of Federal Tax Information With State Tax Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**21.004 EXCHANGE OF FEDERAL TAX INFORMATION WITH STATE TAX AGENCIES**

**FEDERAL AGENCY:**

Internal Revenue Service (IRS), Department of the Treasury

**AUTHORIZATION:**

Internal Revenue Code, Executive Order As Amended, Title 26, Part 6103, Section d, 26 U.S.C 6103d.

**OBJECTIVES:**

To increase state tax revenues and taxpayer compliance, and to reduce duplicate resource expenditures.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

State tax agencies may use the tax data provided for justified tax administration purposes only, pursuant to Internal Revenue Code (IRC) Section 6103. Any unlawful disclosure of Federal tax data subjects the violator to both criminal and civil penalties specified in IRC Sections 7213, 7213A and 7431. State tax agencies may use the tax data provided for justified tax administration purposes only, pursuant to Internal Revenue Code (IRC) Section 6103. Any unlawful disclosure of Federal tax data subjects the violator to both criminal and civil penalties specified in IRC Sections 7213, 7213A and 7431.

**Applicant Eligibility:**

Any agency responsible for tax administration within any of the 50 States, the District of Columbia, certain U.S. Territories, Regional Income Tax Agencies and municipalities with populations in excess of 250,000 that impose taxes on income or wages and with which the Commissioner of Internal Revenue has entered into a disclosure agreement with safeguard and confidentiality protections.

**Beneficiary Eligibility:**

State Governments, U.S. Territories, Regional Income Tax Agencies and Municipal Governments.

**Credentials/Documentation:**

Agency head must enter into Agreement with the Commissioner of IRS regarding disclosure. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There are a variety of application procedures depending on the circumstances. For the Governmental Liaison Data Exchange Program which includes recurring aggregate data extracts, applicants complete an Annual Registration Form. For specialty programs such as ATAT, applicants sign a Memorandum of

Understanding (MOU). For individual or one-time requests, applicants send a written request to the Disclosure Office. The address can be found by clicking "IRS Disclosure Offices" on <http://www.irs.gov/foia/>.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Annual Governmental Liaison Data Exchange Program Enrollment Form must be completed annually by state agencies and must also be approved by the Disclosure Manager. For specialty programs such as ATAT, applicants sign a Memorandum of Understanding (MOU). For individual or one-time requests, applicants send a written request to the Disclosure Office. The address can be found by clicking "IRS Disclosure Offices" on <http://www.irs.gov/foia/>.

**Appeals:**

Not Applicable.

**Renewals:**

Governmental Liaison Data Exchange Program Enrollment Form must be submitted by state agencies and approved annually by the Disclosure Manager. For specialty programs such as ATAT, and other programs that require a Memorandum of Understanding (MOU) procedures vary based on the terms of the MOU.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Agency Officials are required to submit a Safeguard Procedures Report 45 days prior to receipt of Federal tax data, and an annual Safeguard Activity Report.

All records must be maintained as required by IRC 6103(p)(4).

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Provision of Specialized Services) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - In 1994, IRS decided to waive the fees charged to State and local agencies. These agencies can obtain tax data extract information through various IRS disclosure offices for free.

**Range and Average of Financial Assistance:**

NA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Internal Revenue Service has written agreements with state agencies representing 50 states, the District of Columbia, US territories, regional income tax agencies and qualifying municipalities on the exchange of Federal Tax Information for the purposes of tax administration. The states use this information for compliance purposes generating significant tax revenues. Fiscal Year 2011: The Internal Revenue Service has written agreements with state agencies representing 50 states, the District of Columbia, US territories, regional income tax agencies and qualifying municipalities on the exchange of Federal Tax Information for the purposes of tax administration. The states use this information for compliance purposes generating significant tax revenues. Fiscal Year 2012: The Internal Revenue Service has written agreements with state agencies representing 50 states, the District of Columbia, US territories, regional income tax agencies and qualifying municipalities on the exchange of Federal Tax Information for the purposes of tax administration. The states use

this information for compliance purposes generating significant tax revenues.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

- Internal Revenue Manual 11.3.32, Disclosure of Official Information, Disclosure to States for Tax Administration Purposes, found at <http://www.irs.gov/irm/part11/>
- Publication 1075, Tax Information Security Guidelines, found at <http://www.irs.gov/pub/irs-pdf/p1075.pdf>.
- Tax Information Security Guidelines Title 26 Code of Federal Regulations

**Regional or Local Office:**

See Regional Agency Offices. Disclosure Manager, in all area jurisdictions, found at <http://www.irs.gov/foia/article/0,,id=120681,00.html>.

**Headquarters Office:**

Theodore Armstrong 1301 Clay Street, Oakland, California 94612 Email: Ted.Armstrong@irs.gov Phone: (415) 837-6599

**Website Address:**

<http://www.irs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**21.006 TAX COUNSELING FOR THE ELDERLY**

**FEDERAL AGENCY:**

Internal Revenue Service (IRS), Department of the Treasury

**AUTHORIZATION:**

Revenue Act of 1978, Executive Order Public Law 95-600, 92 Stat. 2810, Title 26, Part 601, Section 163, Public Law 600-95, 19 Stat. 141, 26 U.S.C 601.

**OBJECTIVES:**

To authorize the Internal Revenue Service to enter into agreements with private or public nonprofit agencies or organizations; to establish a network of trained volunteers to provide free income tax information and return preparation assistance to elderly taxpayers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding may be used for reimbursing volunteers for their out-of-pocket expenses including transportation, meals, and other expenses incurred by them in providing tax counseling assistance at locations convenient to the taxpayers.

**Applicant Eligibility:**

Tax Counseling for the Elderly sponsors must be private or public nonprofit organizations with experience in coordinating volunteer programs. Federal, State, and local governmental agencies and organizations are not eligible to sponsor a program. Applicants must be tax compliant and not debarred or suspended.

**Beneficiary Eligibility:**

Elderly taxpayers, age 60 or older.

**Credentials/Documentation:**

Applicants must provide proof of their tax exempt status. The following OMB Requirements apply to this program:

2 CFR 215 (formerly OMB Circular No. A-110), Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations;

OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations; and

2 CFR 230 (formerly OMB Circular A-122), Cost Principles for Non-Profit Organizations. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants are encouraged to submit the TCE Program Application Package, Publication 1101 either via mail or through Grants.gov. The address is: IRS Grant Program Office - TCE, 5000 Ellin Road, NCFB C4-110, Lanham, Maryland 20706. All applications submitted must be received in the Grant Program office by 4:00 pm eastern time on June 30, 2011.

**Award Procedure:**

All complete applications meeting eligibility requirements will be evaluated on technical merit, capacity to reach targeted audience, their prior performance (if returning sponsor) and how the organization plans to provide Federal tax return assistance and electronic filing service to elderly individuals in the community.

**Deadlines:**

May 23, 2011 to Jun 30, 2011

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Applicants will notify applicants of their acceptance or non-selection of their grant application, as well as those that did not qualify for the program generally by November 1 of each year. The schedule for notification will be determined based on the Congressional appropriation of funding for the TCE Program, meaning if we are operating under a Continuing Resolution, applicant notification may be delayed pending approval of TCE funds.

**Appeals:**

The selection of the grantees for this program is left to the discretion of the IRS - there is no appeals process.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cooperative Agreements expire on September 30 of each year unless an earlier date is set-forth in the Cooperative Agreement. TCE grant funds are released on an immediate need or reimbursement basis - meaning an organization should request reimbursement from the IRS as they disburse funds for TCE program activities. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

TCE Program recipients are required to submit a quarterly and year-end Federal Financial Report (FFR) Cash Transaction Report Standard Form 425 to the Payment Management System. In addition, Form 8654, Tax Counseling for the Elderly Semi-Annual/Annual Program Report is required to be submitted annually to the Grant Program Office. No cash reports are required. No cash reports are required. Form 8654, Tax Counseling for the Elderly Semi-Annual/Annual Program Report is required to be submitted annually and is prepared as cumulative, reflecting expenditures for entire program period. In addition, on-line Federal Financial reports are required through the Payment Management System on a quarterly basis to reflect expenditures that are being requested for reimbursement through the system. No performance monitoring is required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with OMB Circular



A-133, Audits of States, Local Governments, and Non-Profit Organizations, organizations that expend \$500,000 or more in a year in federal awards must have a single or program-specific audit for that year. The Federal Audit Clearinghouse operates on behalf of the Office of Management and Budget (OMB) and its primary purpose is to disseminate audit information to Federal agencies and the public. If the most recent audit showed an unfavorable finding, it will not automatically disqualify you from consideration; however, more information may be requested to ensure any deficiencies noted in the audit have been corrected.

**Records:**

Grant recipients are required to have a record keeping system in place to support all information reported. Supporting receipts and other documentation should be maintained for a minimum of 3 years following the submission of the final report.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$6,100,000; FY 11 est \$5,100,000; and FY 12 Estimate Not Available(Exp: unknown) - none.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 1,196,898 federal returns prepared with 93.1% electronically filed. Fiscal Year 2011: Fiscal Year 2011: A conservative growth rate of 5 percent is projected. Fiscal Year 2012: A conservative growth rate of 5 percent is projected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publication 1101, Application Package and Guidelines for Managing a TCE Program

**Regional or Local Office:**

None.

**Headquarters Office:**

Grant Program Office - TCE Internal Revenue Service  
5000 Ellin Road  
NCFB C4-110, Lanham, Maryland 20706 Email: tce.grant.office@irs.gov  
Phone: (404) 338-7894

**Website Address:**

<http://www.irs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Quality of Programs and Service for age 60 and over 30 points  
Geographic coverage and extent of coverage for age 60 and over 20 points  
Electronic Filing services for age 60 and over 20 points  
Prior experience in Federal Tax Return Counseling and Tax Preparation 10 points  
Quality of Cooperative Agreement Administration and Internal Accounting Procedures 10 points  
Past Performance 10 points

Grant Program Office Evaluation

The Grant Program Office evaluation involves a more in-depth review of the applicants budget information and accounting processes. The proposed geographic coverage and target audiences are also taken into consideration.

**21.008 LOW INCOME TAXPAYER CLINICS**

**FEDERAL AGENCY:**

Internal Revenue Service (IRS), Department of the Treasury

**AUTHORIZATION:**

Internal Revenue Code, as amended, 26 U.S.C 7526.

**OBJECTIVES:**

To provide matching grants to organizations providing: (1) Representation of low income taxpayers in controversies with the Internal Revenue Service (IRS), or (2) programs to inform individuals for whom English is a second language about their taxpayer rights and responsibilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards under this program are issued to provide financial assistance that enhances the awardees' ability to represent low income taxpayers in controversies with the Internal Revenue Service (IRS) or inform individuals for whom English is a second language of their taxpayer rights and responsibilities. Each awardee is required to enter into an assistance agreement that requires the awardee to comply with program goals and abide by other terms and conditions pertinent to assistance received under this program.

**Applicant Eligibility:**

Qualifying organizations that represent low income taxpayers involved in controversies with the IRS and organizations that provide education and outreach on the taxpayer rights and responsibilities of U.S. taxpayers to individuals who speak English as a second language. IRC Section 7526 requires clinics to provide services for free or for no more than a nominal fee. The term "clinic" includes, but is not limited to, a clinical program at an accredited law, business, or accounting school in which students represent low income taxpayers in controversies with the IRS, and an organization described in IRC Section 501(c) and exempt from tax under IRC Section 501(a) that either directly represents taxpayers or refers taxpayers to qualified representatives.

**Beneficiary Eligibility:**

Low-income taxpayers with incomes which do not exceed 250 percent of the Federal Poverty Guidelines published annually by the Department of Health and Human Services, or taxpayers for whom English is a second language.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each Low Income Taxpayer Clinic applicant must complete a Low Income Taxpayer Clinic Application Package. See IRS Publication 3319, Low Income Taxpayer Clinic Grant Application Package and Guidelines, which you may obtain by calling 1-800-TAX-FORM (1-800-829-3676) or by visiting [www.irs.gov](http://www.irs.gov). This program is subject to the provisions of OMB Circulars No. A-110, A-133, A-21, and A-122. Access [www.irs.gov](http://www.irs.gov) or call 1-800-TAX-FORM (1-800-829-3676) to obtain a copy of Publication 3319.

**Award Procedure:**

The IRS reviews applications and selects grant recipients.

**Deadlines:**

Jul 15, 2011 An annual notice of funds availability, published in the Federal Register, announces deadline dates for submission of applications. Deadline dates are generally 60 days subsequent to the notice publication date.

**Range of Approval/Disapproval Time:**

Grantees are generally selected 120 days after the application submission deadline.

**Appeals:**

None.

**Renewals:**

A multi-year award may be issued up to 3 years maximum.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 100%. All awards of financial assistance shall be matched by the recipient on a dollar-for-dollar basis. In general, funds from sources (other than from other federal government sources) can be counted as matching funds.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, an award may be issued up to 3 years maximum. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Each awardee will submit two reports, an interim report due approximately 30 days after the calendar mid-year and an annual report due approximately 90 days after the end of the award year. Each awardee will submit two reports, an interim report due approximately 30 days after the calendar mid-year and an annual report due approximately 90 days after the end of the award year. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Award recipients are required to maintain records to substantiate total costs incurred and to assure that all performance measures were met. Records must be retained in accordance with the provisions of OMB Circular No. A-110.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 est \$10,000,000; and FY 12 est \$10,000,000

**Range and Average of Financial Assistance:**

Range of grant: \$10,000 to \$100,000.

2011 Average: 60,606.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The LITC awarded grants to more clinics than ever before with a total of 162. Fiscal Year 2011: For 2011, we will continue to work toward ensuring that each state (plus the District of Columbia and Puerto Rico) continues to be served by at least one clinic; ensuring grant recipients demonstrate that they are serving geographic areas that have sizable populations eligible for and requiring LITC services; and expanding coverage in geographic areas that do not have both controversy representation and ESL education and outreach. Fiscal Year 2012: For 2012, we will continue to work toward ensuring that each state (plus the District of Columbia and Puerto Rico) continues to be served by at least one clinic; ensuring grant recipients demonstrate that they are serving geographic areas that have sizable populations eligible for and requiring LITC services; and expanding coverage in geographic areas that do not have both controversy representation and ESL education and outreach.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

IRS Publication 3319, Low Income Taxpayer Clinic Grant Application Package and Guidelines.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deborah L. Jones, 1111 Constitution Avenue NW, Room 1034, Washington, District of Columbia 20224 Email: Deborah.L.Jones@irs.gov Phone: (202) 622-0883 Fax: (202) 622-4318.

**Website Address:**

<http://www.irs.gov/advocate>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors include: (1) Quality of the programs offered by the clinic, including the qualifications of the clinic's administrators and representatives as well as the clinic's record in providing service to low-income or ESL taxpayers; (2) Quality of grant administration and internal accounting procedures; (3) Number of low income or ESL taxpayers in geographic area and proposed efforts to reach these taxpayers; and (4) Other factors deemed appropriate under this program.

**21.009 VOLUNTEER INCOME TAX ASSISTANCE (VITA) MATCHING GRANT PROGRAM**

**FEDERAL AGENCY:**

Department of the Treasury

**AUTHORIZATION:**

Department of the Treasury Appropriations Act, 2010, P.L. 111-117, Executive Order Consolidated Appropriations Act, 2010.

**OBJECTIVES:**

To provide direct funding that will enable VITA initiatives to extend services to underserved populations and hardest-to-reach areas, both urban and non-urban; specific objectives as they relate to the VITA Program which include: increasing the capacity to file returns electronically, heighten quality control, enhance training of volunteers, and significantly improve the accuracy rate of returns prepared by VITA sites.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds can be used to cover ordinary and necessary expenses for operating a VITA tax preparation program. Such expenses are only allowable if they are reasonable, allocable, and in accordance with the OMB Cost Principles Circulars.

**Applicant Eligibility:**

Non-profit organization or Government Entity.

**Beneficiary Eligibility:**

Providing assistance to underserved populations.

**Credentials/Documentation:**

Applicants must provide proof of their entity status (i.e. tax-exempt organization/government agency). Matching funds must also be documented. Applicants must be tax compliant and not debarred or suspended. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-102 applies to this program. 2 CFR 215 applies to this program. Applicants must provide proof of their entity status (i.e. tax-exempt organization/government agency). Matching funds must also be documented. The following OMB Requirements apply to this program: 2 CFR 215 (formerly OMB Circular No. A-110), Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-102, Grants and Cooperative Agreements With State and Local Governments; OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations; 2 CFR 220 (formerly OMB Circular A-21), Cost Principles for Educational Institutions; 2 CFR 225 (formerly OMB Circular A-87), Cost Principles for State, Local and Indian Tribal Governments; and 2 CFR 230 (formerly OMB Circular A-122), Cost Principles for Non-Profit

Organizations.

**Award Procedure:**

All complete applications meeting initial eligibility requirements will be evaluated/ranked on technical merit, capacity to reach the targeted audiences, and geographic coverage. Applicants will be notified of their acceptance or rejection of a grant award by letter sent via U.S. Postal Service.

**Deadlines:**

May 23, 2011 to Jun 30, 2011 Applicants are encouraged to submit the VITA Grant Program Application Package, as explained in Publication 4671 via Grants.gov; however, it may be submitted by mail. The address is: IRS Grant Program Office, 401 West Peachtree Street, Stop 420-D, Atlanta, Georgia 30308. All applications submitted must be received in the Grant Program office by 4:00 pm eastern time on June 30, 2011.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. The IRS will notify applicants of the acceptance or non-selection of their grant application, as well as those that did not qualify for the program by November 1 of each year.

**Appeals:**

The selection of the grantees for this program is left to the discretion of the IRS - there is no appeals process for non-selection.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 100%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grant period extends from July 1st of a given year through June 30th of the subsequent year. VITA grant funds are released on an immediate need or reimbursement basis. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: Once awarded, VITA grant funds are released on an immediate need or reimbursement basis. Funding is deposited in an account managed by the Division of Payment Management and recipients may request/receive funds electronically after account establishment.

**Reports:**

VITA Grant recipients are required to submit quarterly Federal Financial Report (FFR) Cash Transaction Report Standard Form 425 through the Payment Management System (PMS) 30 days after quarter end. A year-end FFR Financial Status Report is also required to be submitted through the PMS by September 30. No cash reports are required. Additional year-end reporting is required to be submitted by September 30. These reports as detailed in the grant agreement must be submitted to the Grant Program Office using specific forms within the Performance Progress Report family, a narrative, final listing of sites opened and budget summary. No cash reports are required. Grant recipients are also expected to prepare and submit quarterly on-line Federal Financial Reports to the Payment Management System. A report is due 45 days after the end of each quarter. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards must have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Federal Audit Clearinghouse operates on behalf of the Office of Management and Budget (OMB) and its primary purpose is to disseminate audit information

to Federal agencies and the public. If the most recent audit showed an unfavorable finding, it will not automatically disqualify you from consideration; however, more information may be requested to ensure any deficiencies noted in the audit have been corrected.

**Records:**

Grant recipients are required to have a record keeping system in place to support all information reported. Supporting receipts and other documentation should be maintained for a minimum of three years following the submission of the final report.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$12,000,000; FY 11 Estimate Not Available(Exp: unknown); and FY 12 Estimate Not Available(Exp: unknown)

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 883,087 federal tax returns prepared, with 95.4% electronically filed. Fiscal Year 2011: A conservative growth rate of 3 percent is projected for the 2012 grant period. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publication 4671, VITA Grant Program Overview and Application Package

**Regional or Local Office:**

None.

**Headquarters Office:**

Grant Program Office Grant Program Office, 401 West Peachtree Street, NW, Stop 420-D , Atlanta, Georgia 30308 Email: Grant.Program.Office@irs.gov Phone: (404) 338-7894

**Website Address:**

<http://www.irs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection of proposals is based on a two-tiered evaluation process:

1. Experience with low income and/or return preparation 40 points
2. Strength of program 40 points
3. VITA target audience and delivery 40 points
4. Ability to partner or collaborate with multiple organizations 20 points
5. Sustainability and growth strategy 10 points
6. Quality control process 40 points
7. Program measures 10

**Grant Program Office Evaluation**

The Grant Program Office evaluation involves a more in-depth review of the applicants budget information and accounting processes. The proposed geographic coverage and target audiences are also taken into consideration.

**21.010 FINANCIAL EDUCATION AND COUNSELING PILOT PROGRAM**

FEC

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

Section 1132(c) of The Housing and Economic Recovery Act of 2008 Public Law 110-289.

**OBJECTIVES:**

To provide a range of financial education and counseling services to

prospective homebuyers; to identify successful methods resulting in positive behavioral change for financial empowerment; and to establish program models for organizations to carry out effective counseling services.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The CDFI Fund awards grants to eligible organizations to provide financial education and counseling services to: (1) increase the financial knowledge and decision making capabilities of prospective homebuyers; (2) assist prospective homebuyers to develop monthly budgets, build personal savings, finance or plan for major purchases, reduce their debt, improve their financial stability, and set and reach their financial goals; (3) help prospective homebuyers to improve their credit scores by understanding the relationship between their credit histories and their credit scores; and (4) educate prospective homebuyers about the options available to build savings for short- and long-term goals. Each awardee enters into an assistance agreement that specifies the terms and conditions related to expenditures (including eligible uses) of the grant funds, requires compliance with performance goals, and requires reporting on performance outcomes.

**Applicant Eligibility:**

Applicants must be 1) certified in accordance with section 106(e)(1) of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701x(e)); or 2) certified by the Office of Financial Education of the Department of the Treasury. In addition, such organizations must be able to demonstrate that they meet minimum threshold requirements with respect to their experience and ability to provide financial education and counseling services which result in documented positive behavioral changes.

**Beneficiary Eligibility:**

Low-income, moderate-income and low-wealth individuals who are prospective homebuyers.

**Credentials/Documentation:**

An applicant must provide information necessary to establish that it is an eligible organization in order to apply for assistance. This information is included as part of the application materials. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each applicant must complete an application package. The CDFI Fund provides the application package format.

**Award Procedure:**

The CDFI Fund reviews applications and makes awards based on an established awards set forth in the Notice of Funding Availability (NOFA) and application materials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The NOFA, is published in the Federal Register, announces the deadlines for submission of applications. Application deadlines are from 30 to 60 days subsequent to the NOFA publication date. Award approval/disapproval determinations may be made within 180 days after the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awardees must use all funds within three years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Reports provide the explanation of noncompliance with a statement addressing the failure to achieve program goals. No cash reports are required. Progress Reports cover the following areas: Institutional Performance Reporting; Transactional Performance Reporting; and the utilization of the award funds for Financial and/or Technical assistance. Expenditure Reports are included in the SF-425 Expenditure of Financial Assistance Report. Performance Monitoring is accomplished with the financial review of Audited Financial Statements; and the OMB Circular A-133 Single Audit findings.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must maintain records to substantiate total costs incurred and to assure that all performance measures were met. Records must be retained in accordance with the provisions of applicable OMB guidance and the terms of the assistance agreement.

**Account Identification:**

20-1881-0-1-451.

**Obligations:**

(Project Grants) FY 10 \$2,000,000; FY 11 est \$4,150,000; and FY 12 est \$0 - The CDFI Fund does not propose to fund the FEC Program in FY 2012.

**Range and Average of Financial Assistance:**

During FY 2010, the CDFI Fund made awards to five awardees, \$400,000 each, including the FY 2009 appropriation; During FY 2011, the CDFI Fund made awards to three awardees, ranging from \$200,000 to \$400,000, totaling \$1,000,000 and one award of \$3,150,000 to an organization in Hawaii, utilizing the FY 2010 appropriation.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FEC Pilot Program NOFA; FEC Pilot Program Application. Website: [www.cdfifund.gov](http://www.cdfifund.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Jodie Harris, 601 Thirteenth Street, NW, Suite 200 South, Washington, District of Columbia 20005 Email: [harrisj@cdfi.treas.gov](mailto:harrisj@cdfi.treas.gov) Phone: (202) 622-4499 Fax: (202) 622-7754.

**Website Address:**

<http://www.cdfifund.gov>

**RELATED PROGRAMS:**

21.011 Capital Magnet Fund; 21.020 Community Development Financial Institutions Program; 21.021 Bank Enterprise Award Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated based upon: (1) the quality of their implementation strategy; (2) the proposed impacts, including potential for program replication; (3) the organizational capacity; (4) the strategy for the proposed uses of funds and (5) other factors set forth in the NOFA and

application materials.

## **21.011 CAPITAL MAGNET FUND**

CMF

### **FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

### **AUTHORIZATION:**

The Housing and Economic Recovery Act of 2008, Section 1339.

### **OBJECTIVES:**

To attract financing for and increase investment in affordable housing for low-income, very low-income, and extremely low-income people and certain related economic and community development activities.

### **TYPES OF ASSISTANCE:**

Project Grants

### **USES AND USE RESTRICTIONS:**

The CDFI Fund awards Capital Magnet Fund grants to certified Community Development Financial Institutions (CDFIs) and certain nonprofit organizations to finance: (1) the development, preservation, rehabilitation, or purchase of affordable housing for primarily extremely low-, very low-, and low-income families; and (2) economic development activities or community service facilities, such as day care centers, workforce development centers, and health care clinics, which in conjunction with affordable housing activities implement a concerted strategy to stabilize or revitalize a low-income area or underserved rural area. Each awardee enters into an assistance agreement that specifies the terms and conditions related to expenditures (including eligible uses) of the grant funds, requires compliance with performance goals, and requires reporting on performance outcomes.

### **Applicant Eligibility:**

Applicants must be (1) a Treasury certified CDFI; or (2) a nonprofit organization having as one of its principal purposes the development or management of affordable housing.

### **Beneficiary Eligibility:**

Low income, very low-income, and extremely low-income people as directed in 12 C.F.R. 1807.

### **Credentials/Documentation:**

An applicant must provide information necessary to establish that it is an eligible organization in order to apply for assistance. This information is included as part of the application materials. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each applicant must complete an application package. The CDFI Fund provides the application package format.

### **Award Procedure:**

The CDFI Fund reviews applications and makes awards based on an established awards review process, set forth in the Notice of Funds Availability (NOFA) and application materials.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

The NOFA, published in the Federal Register, announces the deadline for submission of applications. Award approval/disapproval determinations are generally made within 180 days after the application deadline. The application deadline is 30 days subsequent to the NOFA publication date.

### **Appeals:**

None.

### **Renewals:**

None.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Certain leverage requirements apply.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Awardees must commit all funds within two years; begin initial expenditure of funds within three years; and place the projects into service within five years of the award. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Program Reports provide the explanation of noncompliance with a statement addressing the failure to achieve program goals. No cash reports are required. Progress Reports cover the following areas:

Institutional Performance Reporting; Transactional Performance Reporting; and the utilization of the award funds for Financial and/or Technical assistance.

Expenditure Reports are included in the SF-425 Expenditure of Financial Assistance Report. Performance Monitoring is accomplished with the financial review of Audited Financial Statements; and the OMB Circular A-133 Single Audit findings.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Award recipients must maintain records to substantiate total costs incurred and to assure that all performance measures are met. Records must be retained in accordance with the provisions of applicable OMB guidance and the terms of the assistance agreement.

### **Account Identification:**

20-1881-0-1-451.

### **Obligations:**

(Project Grants) FY 10 \$80,000,000; FY 11 est \$0; and FY 12 est \$0 - The CDFI Fund has proposed not to fund the CMF in FY 2011 and FY 2012, but will monitor and evaluate the community development impact and performance of the FY 2010 awards.

### **Range and Average of Financial Assistance:**

The maximum allowable award is 15% of the annual available funding.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In its inaugural FY 2010 funding round, the CDFI Fund announced \$80 million in competitively Capital Magnet Fund (CMF) awarded grants to 23 CDFIs and qualified nonprofit housing organizations serving 38 states. The CDFI Fund received a total of 230 applications for the FY 2010 funding round. Fiscal Year 2011: In FY 2011, the CDFI Fund will baseline awardees' performance reporting. Awardees will be required to report annually: number of affordable housing units developed or produced; number/percentage of low-income renters/owners; number/percentage of very low-income renters/owners; number of jobs produced; leverage ratio; and development rate. In FY 2011 the FTE job creation/maintenance measures and the two administrative cycle time measures will be consolidated into CDFI Fund-wide measures reflecting the outcomes of all programs. Fiscal Year 2012: The CDFI Fund does not propose to fund the CMF Program in FY 2012.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Proposed Rule (12 CFR 1807); NOFA; CMF Application. Website: [www.cdfifund.gov](http://www.cdfifund.gov).

### **Regional or Local Office:**

None.

**Headquarters Office:**

Matthew Josephs, 601 13th Street NW - Suite 200 South, Washington, District of Columbia 20005 Email: JosephsM@cdfi.treas.gov Phone: (202) 622-9254 Fax: (202) 622-2445.

**Website Address:**

http://www.cdfifund.gov.

**RELATED PROGRAMS:**

21.020 Community Development Financial Institutions Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are evaluated based upon criteria set forth in the proposed rule, the NOFA and application materials.

**21.012 NATIVE INITIATIVES**

NI

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

Riegle Community Development and Regulatory Improvement Act of 1994, 12 U.S.C 4701 et.seq; American Recovery and Reinvestment Act of 2009, "Recovery Act", Public Law 111-5.

**OBJECTIVES:**

To promote economic revitalization and community development through financial and technical financial assistance to Native Community Development Financial Institutions (CDFIs) and a complementary series of training programs called Expanding Native Opportunities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Financial Assistance (FA) and Technical Assistance (TA) awards are provided to build the capacity of new or existing Native CDFIs serving Native Communities. The complementary capacity-building initiatives seek to foster the development of Native CDFIs through training and technical assistance. Each awardee enters into an assistance agreement that requires it to achieve performance goals and abide by other terms and conditions. No awards may be issued to Federal Government agencies, departments or instrumentality's, State governments local governments or any agency or instrumentality thereof. Under Section 1512 of OMB's Recovery Act guidance, each awardee is required to report specific data elements (including job creation information) 10 days after the end of each calendar quarter.

**Applicant Eligibility:**

An organization wishing to apply for FA only or a combination of FA and TA awards through the NACA Program must be either a certified Native CDFI or be able to be certified by the Fund at the time of application. Organizations that are Emerging Native CDFIs or Sponsoring Entities may only apply for TA awards.

**Beneficiary Eligibility:**

Targeted Populations as defined in 12 CFR 1805.

**Credentials/Documentation:**

An organization wishing to apply for FA only or a combination of FA and TA awards through the NACA Program must be either a certified Native CDFI or be able to be certified by the Fund at the time of application. Organizations that are Emerging Native CDFIs or Sponsoring Entities may only apply for TA awards. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Pursuant to 12 C.F.R. 1815. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each applicant must complete a NI Program application which includes a Comprehensive Business Plan.

**Award Procedure:**

The CDFI Fund reviews applications and makes awards based on an established awards review process, set forth in the Notice of Funds Availability (NOFA) and application materials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The NOFA published in the Federal Register, announces the deadlines for submission of applications. Application deadlines are from 60 to 90 days subsequent to the NOFA publication date. Award approval/disapproval determinations may be made within 180 days after the application deadline.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. The American Reinvestment and Recovery Act of 2009 waived the requirement that the CDFI Fund make awards to applicants in a "like form" to the matching funds secured by the awardee; thus, FY 2009, 2010 and 2011 NI Program awards are not required to be matched by non-Federal sources. The Recovery Act also waived the 3-year, \$5million cap on awards for FY 2009, 2010 and 2011. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awardees must use all funds within three years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Reports provide the explanation of noncompliance with a statement addressing the failure to achieve program goals. No cash reports are required. Progress Reports cover the following areas: Institutional Performance Reporting; Transactional Performance Reporting; and the utilization of the award funds for Financial and/or Technical assistance. Expenditure Reports are included in the SF-425-Expenditure of Financial Assistance Report. Performance Monitoring is accomplished with the financial review of Audited Financial Statements and the OMB Circular A-133 Single Audit findings.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must maintain records to substantiate total costs incurred and to assure that all performance measures are met. Records must be retained in accordance with the provisions of OMB Circular No. A-110 and the terms of the assistance agreement.

**Account Identification:**

20-1881-1-2-451 - Regular Appropriation.

**Obligations:**

(Project Grants) FY 10 \$10,300,000; FY 11 est \$12,000,000; and FY 12 est \$12,000,000

**Range and Average of Financial Assistance:**

FY 2010 Range of Financial Assistance Awards - \$458,000 - \$650,000;

FY 2010 Average Financial Assistance Awards were \$597,000 and capped at \$650,000.

FY 2010 Range of Technical Assistance Awards - \$22,000 - \$150,000;

FY 2010 Average Technical Assistance Awards were \$122,000 and capped at \$150,000.

FY 2011 Range of Financial Assistance Awards - \$279,000 - \$725,000;

FY 2011 Average Financial Assistance Awards were \$651,000 and capped at \$725,000.

FY 2011 Range Technical Assistance Awards - \$25,000 - \$150,000;

FY 2011 Average Technical Assistance Awards were \$130,000 and capped at \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, the NACA Program received 61 applications requesting a total of \$23.7 million. The CDFI Fund awarded 45 organizations a total of \$10.3 million for both FA and TA funding in FY 2010. In FY 2010 the Native Initiatives registered a 26 percent increase in the total assets of Native CDFIs. Fiscal Year 2011: In FY 2011, the total assets measure is being replaced by two new measures on the number and amount of loans originated by NACA Program awardees. These two new measures will be baselined in FY 2011. In addition, in FY 2011 the FTE job creation/maintenance measures and the two administrative cycle time measures will be consolidated into CDFI Fund-wide measures reflecting the outcomes of all programs. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

12 CFR Part 1805; Notice of Funding availability; Native Initiatives Program Application.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ruth Jaure, 601 13th Street, N.W., Suite 200 South, Washington, District of Columbia 20005 Email: jaurer@cdfi.treas.gov Phone: (202) 622-9156 Fax: (202) 622-7754.

**Website Address:**

<http://www.cdfifund.gov>

**RELATED PROGRAMS:**

21.011 Capital Magnet Fund; 21.020 Community Development Financial Institutions Program; 21.021 Bank Enterprise Award Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FY 2010 - The CDFI Fund received 61 applications and made 10 FA awards that totaled \$5,968,887 and 35 TA awards that totaled \$4,284,239. Fiscal Year 2011: FY 2011 - The CDFI Fund received 88 applications and awarded 14 FA Awards for a total of \$9,111,854 and 21 TA awards for a total of \$2,735,725. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors include: (1) financial strength and organizational capacity of applicant, (2) external resources or matching fund commitment/ability to obtain commitments, (3) community impact and (4) other factors as set forth in the NI Program regulations, NOFA and application materials.

**21.013 QUALIFYING THERAPEUTIC DISCOVERY PROJECT CREDIT**

Qualifying Therapeutic Discovery Project Credit

**FEDERAL AGENCY:**

Internal Revenue Service (IRS), Department of the Treasury

**AUTHORIZATION:**

Patient Protection and Affordable Care Act of 2010 / Section 9023 (a), Executive Order Under Section 48D of the Internal Revenue Code, Public Law 111-148.

**OBJECTIVES:**

Section 9023(e) of the Affordable Care Act provides that taxpayers may receive grants in lieu of the Qualified Therapeutic Discovery Project Credit. The credit/grant is a tax benefit targeted to therapeutic discovery projects that show a reasonable potential to: Result in new therapies to treat areas of unmet medical need or prevent, detect or treat chronic or acute diseases and

conditions; Reduce the long-term growth of health care costs in the United States; or Significantly advance the goal of curing cancer within 30 years. Allocation of the credit/grant will also take into consideration which projects show the greatest potential to create and sustain high-quality, high-paying U.S. jobs and to advance U.S. competitiveness in life, biological and medical sciences.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (Special)

**USES AND USE RESTRICTIONS:**

Grant funds can be used to cover qualified investments as defined by Section 48D(b) of the Code. An investment will be considered a qualified investment only if that investment is made in a taxable year beginning in 2009 or 2010.

**Applicant Eligibility:**

The credit/grant covers up to 50 percent of a taxpayers qualified investment.

**Beneficiary Eligibility:**

The credit/grant is only available to taxpayers with no more than 250 employees.

**Credentials/Documentation:**

Documentation will be made using IRS Form 8942, Application for Certification of Qualified Investments Eligible for Credits and Grants Under the Qualifying Therapeutic Discovery Project Program and the Department of Health and Human Services Qualifying Therapeutic Discovery Project Program Project Information Memorandum. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

All complete and eligibility applications will be evaluated by the Department of Health and Human Services and the Internal Revenue Service. Applicants will be notified of their acceptance or rejection of a grant award by letter sent via U.S. Postal Service.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A projects qualified investment will be considered to include any qualified investment made or expected to be made in a taxable year beginning in 2009 or 2010 or both. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Grant recipients are required to have a record keeping system in place to support all information reported in Form 8942 Application for Certification of

Qualified Investments Eligible for Credits and Grants Under the Qualifying Therapeutic Discovery Project Program and the related Project Information Memorandum.

**Account Identification:**

00-0000-0-0-000 - Budget Account Code Pending.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$1,000,000,000; and FY 12 est \$0 -

**Range and Average of Financial Assistance:**

The amount of the credit/grant which a taxpayer may be allocated will be limited to a maximum of \$5 million per taxpayer, and the total amount of credits available to all taxpayers is limited to \$1 billion.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Internal Revenue Service Notice 2010-45

**Regional or Local Office:**

None.

**Headquarters Office:**

Candace F. Fisher, Internal Revenue Service, 201 W. Rivercenter Blvd., ATTN: QTDP Stop 5701G, Covington, Kentucky 41011 Email: candace.f.fisher@irs.gov Phone: (651) 312-2109.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Internal Revenue Service will certify an eligible taxpayers qualified investment associated with a qualifying therapeutic discovery project under the Qualifying Therapeutic Discovery Project Program, for which an application has been submitted only if:

- (1) The Department of Health and Human Services (HHS) determines that the taxpayers project is a qualifying therapeutic discovery project;
- (2) HHS determines that the taxpayers project shows reasonable potential (a) to result in new therapies (i) to treat areas of unmet medical need, or (ii) to prevent, detect, or treat chronic or acute diseases and conditions, (b) to reduce long-term health care costs in the United States, or (c) to significantly advance the goal of curing cancer within the 30 year period beginning on May 21, 2010; and
- (3) The Internal Revenue Service determines that the taxpayers project is among those projects that have the greatest potential (a) to create and sustain (directly or indirectly) high quality, high-paying jobs in the United States, and (b) to advance United States competitiveness in the fields of life, biological, and medical sciences. The Internal Revenue Service will determine whether to certify all or a portion of a taxpayers qualified investment eligible for the therapeutic discovery project grant after the Department of Health and Human Services has completed its review of all application submitted by eligible taxpayers.

**21.020 COMMUNITY DEVELOPMENT FINANCIAL INSTITUTIONS PROGRAM**

(CDFI)

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

Riegle Community Development and Regulatory Improvement Act of 1994, 12 U.S.C 4701 et.seq.

**OBJECTIVES:**

To promote economic revitalization and community development through

investment in and assistance to Community Development Financial Institutions (CDFIs).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial Assistance (FA) awards enhance the awardee's ability to make loans and investments and to provide financial services that promote economic revitalization and community development. Each awardee enters into an assistance agreement that requires it to achieve performance goals and abide by other terms and conditions. Technical Assistance (TA) awards build the awardee's internal capacity. No awards may be issued to Federal Government agencies, departments or instrumentalities, State governments local governments or any agency or instrumentality thereof. Under Section 1512 of OMB Recovery Act guidance, each awardee is required to report specific data elements (including job creation information) 10 days after the end of each calendar quarter.

**Applicant Eligibility:**

Private nonprofit institutions/organizations, other private institutions/organizations, profit organizations. Only certified CDFIs are eligible to apply for Financial Assistance awards; entities seeking to become certified CDFIs may apply for Technical Assistance awards.

**Beneficiary Eligibility:**

Investment Areas and Targeted Populations, as defined in 12 CFR 1805.

**Credentials/Documentation:**

FA applicants must be certified CDFIs. TA applicants must provide proposed plans to become certified CDFIs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Pursuant to 12 CFR 1815. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each applicant must complete a CDFI Program Application which includes a Comprehensive Business Plan.

**Award Procedure:**

The CDFI Fund reviews applications and makes awards based on an established awards review process, set forth in the Notice of Funds Availability (NOFA) and application materials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The NOFA, published in the Federal Register, announces the deadlines for submission of applications. Application deadlines are from 60 to 90 days subsequent to the NOFA publication date. Award approval/disapproval determinations may be made within 180 days after the application deadline.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The American Reinvestment and Recovery Act of 2009 waived the requirement that the CDFI Fund make awards to applicants in a "like form" to the matching funds secured by the awardee; thus, FY 2009, 2010 and 2011 CDFI Program awards are not required to be matched by non-Federal sources. The Recovery Act also waived the 3-year, \$5 million cap on awards for FY 2009, 2010 and 2011.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awardees must use all funds within three years. Method of awarding/releasing



assistance: lump sum.

**Reports:**

Program Reports provide the explanation of noncompliance with a statement addressing the failure to achieve program goals. No cash reports are required. Progress Reports cover the following areas: Institutional Performance Reporting; Transactional Performance Reporting; and the utilization of the award funds for Financial and/or Technical assistance. Expenditure Reports are included in the SF-425 - Expenditure of Financial Assistance. Performance Monitoring is accomplished with the financial review of Audited Financial Statements and the OMB Circular A-133 Single Audit findings.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must maintain records to substantiate total costs incurred and to assure that all performance measures are met. Records must be retained in accordance with the provisions of OMB Circular No. A-110 and the terms of the assistance agreement.

**Account Identification:**

20-1881-1-2-451 - Regular Appropriation.

**Obligations:**

(Project Grants) FY 10 \$105,000,000; FY 11 est \$167,000,000; and FY 12 est \$126,000,000

**Range and Average of Financial Assistance:**

FY 2010 Range of Financial Assistance Awards \$169,000- \$750,000;  
FY 2010 Average Financial Assistance Awards were \$693,659 and capped at \$750,000.  
FY 2010 Range of Technical Assistance Awards \$46,000 - \$100,000;  
FY 2010 Average Technical Assistance Awards were \$89,561 and capped at \$100,000.  
FY 2011 Range of Financial Assistance Awards: \$150,000 - \$3,000,000;  
FY 2011 Average Financial Assistance Awards were \$1,262,721 and capped at \$3,000,000.  
FY 2011 Range of Technical Assistance Awards \$13,000 - \$100,000;  
FY 2011 Average Technical Assistance Awards were \$85,106 and capped at \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, CDFIs reported leveraging private investment in the prior year of over \$1.9 billion (based on reporting from program year 2009 results), more than triple the target of \$600 million; this success was largely due to increased CDFI Program funding which was met by private sector commitments despite the effects of the financial crisis. Fiscal Year 2011: In FY 2011, the leveraged private investment measure is being replaced by two new measures on the number and amount of loans originated by CDFI awardees. These two new measures will be baselined in FY 2011. In addition, in FY 2011 the FTE job creation/maintenance measures and the two administrative cycle time measures will be consolidated into CDFI Fund-wide measures reflecting the outcomes of all programs. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

12 CFR Part 1805, Notice of Funding Availability. Community Development Financial Institutions Program Application. Website: www.cdfifund.gov.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ruth Jaure, 601 13th Street, N.W., Suite 200 South, Washington, District of Columbia 20005 Email: jaure@cdfi.treas.gov Phone: (202) 622-9156 Fax: (202) 622-7754.

**Website Address:**

<http://www.cdfifund.gov>.

**RELATED PROGRAMS:**

21.011 Capital Magnet Fund; 21.021 Bank Enterprise Award Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FY 2010 - Processed 322 Financial Assistance (FA) applications and made 147 FA awards totaling \$102 million under the FA component of the CDFI Program; processed 86 Technical Assistance (TA) applications and made 32 TA awards totaling \$2.9 million under the TA component of the CDFI Program. Fiscal Year 2011: FY 2011 - Received 391 applications and awarded 130 FA awards that totaled \$164.2 million and 37 TA awards that totaled \$3.2 million. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors include: (1) financial strength and organizational capacity of applicant, (2) external resources or matching fund commitment/ability to obtain commitments, (3) community impact, and (4) other factors set forth in the CDFI Program regulations, NOFA and application materials.

**21.021 BANK ENTERPRISE AWARD PROGRAM**

BEA

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

12 U.S.C. 1834a; 12 U.S.C. 4713.

**OBJECTIVES:**

To encourage insured depository institutions to increase their level of community development activities in the form of loans, investments, services and technical assistance within distressed communities and to provide assistance to Community Development Financial Institutions (CDFIs) through grants, equity investments, loans, deposits and other forms of financial and technical assistance.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The CDFI Fund makes grants to selected applicants that: (1) invest in or otherwise support CDFIs; (2) increase lending and investment activities within distressed communities; and/or (3) increase the provision of certain services and technical assistance within distressed communities. An award is based upon a percentage of the increase in qualifying activities that are carried out by the applicant between an established baseline period and assessment period. This information is announced in the annual Notice of Funds Availability published in the Federal Register. Only Federal Deposit Insurance Corporation insured banks and savings associations may apply for an award under this program.

**Applicant Eligibility:**

Profit Organization and Other Private Institution/Organization in the form of FDIC insured depository institutions.

**Beneficiary Eligibility:**

Distressed communities as defined in 12 C.F.R. 1806.

**Credentials/Documentation:**

An applicant must provide its Federal Deposit Insurance Corporation certificate number. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each applicant must complete a Bank Enterprise Award Application.

**Award Procedure:**

The CDFI Fund reviews applications and makes awards based on an established

awards review process, set forth in the Notice of Funds Availability (NOFA) and application materials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The annual NOFA published in the Federal Register announces the deadlines for the submission of applications. Award approval/disapproval determinations may be made within 180 days after the application deadline. Application deadlines are from 30 to 90 days subsequent to the NOFA publication date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds must be used within one year on BEA qualified activities. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Reports are used to identify and record the utilization of the award funds. No cash reports are required. No progress reports are required. No expenditure reports are required. Performance Monitoring is accomplished with the financial review of Audited Financial Statements.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Award recipients (insured depository institutions) are excluded from coverage under OMB Circular A-133 (Revised, June 27, 2003) "Audits of States, Local Governments, and Non-Profit Organizations". Costs incurred for awards issued as part of this program are subject to audit in accordance with the award terms and conditions.

**Records:**

Award recipients must maintain records to substantiate all award costs incurred and to assure that all performance measures are met. Records must be retained in accordance with the provisions of applicable OMB guidance and the terms of the award agreement.

**Account Identification:**

20-1881-1-2-451.

**Obligations:**

(Project Grants) FY 10 \$25,000,000; FY 11 est \$22,000,000; and FY 12 est \$0 - The CDFI Fund is proposing not to fund the BEA Program in FY 2012.

**Range and Average of Financial Assistance:**

FY 2009 Range of awards \$6,000 to \$700,000; Average Award \$406,042  
FY 2010 Range of awards \$6,000 to \$600,000; Average Award \$357,249.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, the CDFI Fund received 76 applications requesting a total of \$94 million compared to 58 applications requesting approximately \$57 million in FY 2009. The CDFI Fund selected 69 FDIC-insured institutions to receive approximately \$25 million in awards. FY 2010 applicants were headquartered in 20 states and the District of Columbia. Fiscal Year 2011: FY 2011 - The CDFI Fund received 82 applications requesting \$78 million. Fiscal Year 2012: The CDFI Fund does not propose to fund the BEA Program in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Revised Interim Rule (12 CFR 1806); NOFA; and application materials.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jodie Harris, 601 Thirteenth Street, NW, Suite 200 South, Washington, District

of Columbia 20005 Email: harrisj@cdfi.treas.gov Phone: (202) 622-4499 Fax: (202) 622-7754.

**Website Address:**

www.cdfifund.gov.

**RELATED PROGRAMS:**

21.020 Community Development Financial Institutions Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In the FY 2010 funding round (based on the 2009 Assessment Period), awardees provided \$373.9 million in qualified loans or investments in distressed communities, \$53.9 million in qualified loans, deposits and technical assistance to CDFIs and \$233.3 million in qualified financial services in distressed communities. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: The CDFI Fund does not propose to fund the BEA Program in FY 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

Award recipients are selected based upon a priority ranking of qualified activities as set forth in the BEA regulations, the NOFA, and application materials. Qualified activities include, in order of importance, the following: (1) Community Development Financial Institution Related Activities; (2) Distressed Community Financing Activities; and (3) Service Activities.

**APPALACHIAN REGIONAL COMMISSION**

**23.001 APPALACHIAN REGIONAL DEVELOPMENT (SEE INDIVIDUAL APPALACHIAN PROGRAMS)**

(Appalachian Program)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Public Law 89-4, as amended, 40 U.S.C. 14101-14704.

**OBJECTIVES:**

To help the regional economy become more competitive by putting in place the building blocks for self-sustaining economic development, while continuing to provide special assistance to the Region's most distressed counties and areas. This program focuses on activities which support ARC's mission to be a strategic partner and advocate for sustainable community and economic development. Activities funded must advance ARC's strategic plan. Specific program goals are: (1) Increase job opportunities and per capita income in Appalachia to reach parity with the nation; (2) Strengthen the capacity of the people of Appalachia to compete in the global economy; (3) Develop and improve Appalachia's infrastructure to make the Region economically competitive; and (4) Build the Appalachian Development Highway System to reduce Appalachia's isolation. Specific objectives were developed for each goal. Grants are made either directly by the Commission or grants may supplement other Federal grants.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Appalachian funds enable the States and local areas to develop networks of facilities and services. Individual programs following this description illustrate the types of investments that can be made. In considering programs and projects to be given assistance under this Act, and in establishing a priority ranking of the requests for assistance presented to the Commission (ARC), the ARC follows procedures insuring consideration of the following factors: (1) The relationship of the project or class of projects to overall regional development and the reduction of economic distress; (2) the population and area to be served including the relative per capita income and the unemployment rates in the area; (3) the relative financial resources available to the State or political subdivision or instrumentalities thereof which seek to undertake the project; (4) the importance of the project or class of projects in relation to other activities which may compete for the same funds; (5) the prospects that the project for which assistance is sought will improve the opportunities for sustained employment, income growth, or socioeconomic development of the area; and (6) the degree and manner of private sector involvement. No financial assistance can be used

to assist establishments relocating from one area to another. Each State is required to file a State Appalachian development plan, appraising prospects for development in its Appalachian area and relating to them a strategic program for which Appalachian funding is requested in that year. Once an application is submitted for the individual projects and given final approval, the grant is administered either by the basic Federal agency involved in that type of program or directly by the ARC. The counties (including any political subdivision located within such area) in which investment under the Appalachian Act (40 U.S.C. 14102) can be made are: in Alabama, the counties of Bibb, Blount, Calhoun, Chambers, Cherokee, Chilton, Clay, Cleburne, Colbert, Coosa, Cullman, DeKalb, Elmore, Etowah, Fayette, Franklin, Hale, Jackson, Jefferson, Lamar, Lauderdale, Lawrence, Limestone, Macon, Madison, Marion, Marshall, Morgan, Pickens, Randolph, Saint Clair, Shelby, Talladega, Tallapoosa, Tuscaloosa, Walker, and Winston; in Georgia, the counties of Banks, Barrow, Bartow, Carroll, Catoosa, Chattooga, Cherokee, Dade, Dawson, Douglas, Elbert, Fannin, Floyd, Forsyth, Franklin, Gilmer, Gordon, Gwinnet, Habersham, Hall, Haralson, Hart, Heard, Jackson, Lumpkin, Madison, Murray, Paulding, Pickens, Polk, Rabun, Stephens, Towns, Union, Walker, White, and Whitfield; in Kentucky, the counties of Adair, Bath, Bell, Boyd, Breathitt, Carter, Casey, Clark, Clay, Clinton, Cumberland, Edmonson, Elliott, Estill, Fleming, Floyd, Garrard, Green, Greenup, Harlan, Hart, Jackson, Johnson, Knott, Knox, Laurel, Lawrence, Lee, Leslie, Letcher, Lewis, Lincoln, McCreary, Madison, Magoffin, Martin, Menifee, Metcalfe, Monroe, Montgomery, Morgan, Nicholas, Owsley, Perry, Pike, Powell, Pulaski, Robertson, Rockcastle, Rowan, Russell, Wayne, Whitley, and Wolfe; in Maryland, the counties of Allegany, Garrett, and Washington; in Mississippi, the counties of Alcorn, Benton, Calhoun, Chickasaw, Choctaw, Clay, Itawamba, Kemper, Lee, Lowndes, Marshall, Montgomery, Monroe, Noxubee, Oktibbeha, Panola, Pontotoc, Prentiss, Tippah, Tishomingo, Union, Webster, Winston, and Yalobusha; in New York, the counties of Allegany, Broome, Cattaraugus, Chautauq, Chemung, Chenango, Cortland, Delaware, Otsego, Schoharie, Schuyler, Steuben, Tioga, and Tompkins; in North Carolina, the counties of Alexander, Alleghany, Ashe, Avery, Buncombe, Burke, Caldwell, Cherokee, Clay, Davie, Forsyth, Graham, Haywood, Henderson, Jackson, McDowell, Macon, Madison, Mitchell, Polk, Rutherford, Stokes, Surry, Swain, Transylvania, Watauga, Wilkes, Yadkin, and Yancey; in Ohio, the counties of Adams, Ashtabula, Athens, Belmont, Brown, Carroll, Clermont, Columbiana, Coshocton, Gallia, Guernsey, Harrison, Highland, Hocking, Holmes, Jackson, Jefferson, Lawrence, Mahoning, Meigs, Monroe, Morgan, Muskingum, Noble, Perry, Pike, Ross, Scioto, Trumbull, Tuscarawas, Vinton, and Washington; in Pennsylvania, the counties of Allegheny, Armstrong, Beaver, Bedford, Blair, Bradford, Butler, Cambria, Cameron, Carbon, Centre, Clarion, Clearfield, Clinton, Columbia, Crawford, Elk, Erie, Fayette, Forest, Fulton, Greene, Huntingdon, Indiana, Jefferson, Juniata, Lackawanna, Lawrence, Luzerne, Lycoming, McKean, Mercer, Mifflin, Monroe, Montour, Northumberland, Perry, Pike, Potter, Schuylkill, Snyder, Somerset, Sullivan, Susquehanna, Tioga, Union, Venango, Warren, Washington, Wayne, Westmoreland, and Wyoming; in South Carolina, the counties of Anderson, Cherokee, Greenville, Oconee, Pickens, and Spartanburg; in Tennessee, the counties of Anderson, Bledsoe, Blount, Bradley, Campbell, Cannon, Carter, Claiborne, Clay, Cocke, Coffee, Cumberland, De Kalb, Fentress, Franklin, Grainger, Greene, Grundy, Hamblen, Hamilton, Hancock, Hawkins, Jackson, Jefferson, Johnson, Knox, Lawrence, Lewis, Loudon, McMinn, Macon, Marion, Meigs, Monroe, Morgan, Overton, Pickett, Polk, Putman, Rhea, Roane, Scott, Sequatchie, Sevier, Smith, Sullivan, Unicoi, Union, Van Buren, Warren, Washington, and White; in Virginia, the counties of Alleghany, Bath, Bland, Botetourt, Buchanan, Carroll, Craig, Dickenson, Floyd, Giles, Grayson, Henry, Highland, Lee, Montgomery, Patrick, Pulaski, Rockbridge, Russell, Scott, Smyth, Tazewell, Washington, Wise, and Wythe; all the counties of West Virginia.

**Applicant Eligibility:**

States, and through the States, public bodies and private nonprofit organizations. All proposed projects must meet the requirements of the State Appalachian plan and the annual State strategy statement, both of which must be approved annually by the Commission.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

(See individual Appalachian program descriptions.). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The following describes the general nature and Administration of Appalachian Regional Development Program. The Appalachian Regional Development program is a joint Federal-State partnership for the development of the Appalachian region. Responsibility for the development of plans and programs authorized under the Act is vested in the ARC, composed of the 13 State Governors (who may appoint alternates) and a Federal Co-Chairman. General policies and procedures, and the allocation of Appalachian funds among the various programs and States are established by the ARC. Application for assistance may only be made through a State member of the ARC. The State Alternate's Offices are the coordinators for the Governors for Appalachian investments. Preapplication conferences can determine within a few weeks if the project conforms to the State Appalachian Development Plan. The appropriate local development district director should be the first contact. The State Alternate's Offices will provide guidance on specific problems and technical assistance in the preparation of applications. (See individual Appalachian program descriptions.)

Only infrastructure projects require an environmental review. Please see 40 U.S.C. 14507. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications for individual projects must be submitted through and with the approval of the State Alternate to the Appalachian Regional Commission (listed in the appendix). (See individual Appalachian program description.)

**Award Procedure:**

Upon receipt of project applications approved by the State, the Federal Co-Chairman determines that the project satisfies all requirements for assistance under the Act and approves the application. If a basic Federal agency will administer the project, it is then notified and will disburse funds when appropriate. The ARC notifies Congressional offices and the office of the Governor of grant awards. (See individual Appalachian program descriptions.)

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

(See individual Appalachian program descriptions.)

**Appeals:**

There are no appeal procedures as such, project review allows for full and free interchange with applicants.

**Renewals:**

Generally renewals are not applicable except for administrative expenses, including technical services, of local development districts (23.009).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: For the Area Development program, grants are generally limited to 50% of project costs. For projects in counties designated as At Risk, this limit can be raised to 70% and in economically Distressed counties, it can be raised to 80%. For projects in counties designated as Competitive (those approaching national economic norms), funding is usually limited to 30% of project costs. Funding is usually not available for projects located in counties that have attained or exceeded national economic norms. For the Appalachian Development Highway System, funding for work is allowed at 80%, wherever the project is located. Administrative grants to Local Development Districts are generally funded at 50%. These grants may be increased to 75% upon request by a state in Districts where distressed counties are located. See the ARC Code for additional information. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

See individual Programs. See the following for information on how assistance is awarded/released: See individual Programs.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are required by the basic Federal agency and the Commission.

**Records:**

Records generally are required by the basic Federal agency, but see local development districts (23.009).

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$71,807,764; FY 11 est \$72,000,000; and FY 12 est \$72,000,000 - Sections 23.002, 23.009 and 23.011 provide a detailed break-out of these funds.

**Range and Average of Financial Assistance:**

See Individual programs.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Guidelines" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia" - a Journal devoted to the special problems of regional development; Performance and Accountability Reports, no charge.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Carolyn C. Kluck, 1666 Connecticut Avenue, NW, Suite 600, Washington, District of Columbia 20009 Email: ckluck@arc.gov Phone: (202) 884-7713.

**Website Address:**

<http://www.arc.gov>.

**RELATED PROGRAMS:**

11.300 Investments for Public Works and Economic Development Facilities;  
11.307 Economic Adjustment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**23.002 APPALACHIAN AREA DEVELOPMENT**

(Supplemental and Direct Grants)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Public Law 89-4, as amended, 40 U.S.C. 14101-14704.

**OBJECTIVES:**

To help the regional economy become more competitive by putting in place the building blocks for self-sustaining economic development, while continuing to provide special assistance to the Region's most distressed counties and areas. This program focuses on activities which support ARC's mission to be a strategic partner and advocate for sustainable community and economic development. Activities funded must advance ARC's strategic plan. Specific program goals are: (1) Increase job opportunities and per capita income in Appalachia to reach parity with the nation; (2) Strengthen the capacity of the

people of Appalachia to compete in the global economy; (3) Develop and improve Appalachia's infrastructure to make the Region economically competitive; and (4) Build the Appalachian Development Highway System to reduce Appalachia's isolation. Specific objectives were developed for each goal. Grants are made either directly by the Commission or grants may supplement other Federal grants.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grants may be used for providing supplemental funds under Federal grant-in-aid programs. To be eligible for special basic grants, projects must be of high priority in the State's Appalachian development plan and be either of critical importance to a phased investment and development program for a multicounty area, or of unusual economic benefit to such area. Refer to "General Provisions for Area Development Program" of the Appalachian Regional Commission Code and ARC Project Guidelines for additional use restrictions. Also, please see [www.arc.gov](http://www.arc.gov). The Appalachian Regional Commission awards grants and contracts from funds appropriated to the Commission annually by Congress. At least half of ARC's Area Development grant funding is directed to projects that benefit counties and areas in the Appalachian Region designated by ARC as economically distressed. Most program grants originate at the state level. Potential applicants should contact their state ARC program manager to request a preapplication package.

**Applicant Eligibility:**

States, their subdivisions and instrumentalities and private nonprofit agencies.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Any finding, report, certification, or documentation required to be submitted to the head of the department, agency, or instrumentality of the Federal Government responsible for the administration of the basic Federal grant-in-aid program shall be accepted by the Federal Co-chairman with respect to a supplemental grant for any project under such program. Projects must conform to the ARC Code, the ARD Act, the State Appalachian Plan and annual State Strategy Statement. The Appalachian State Development Plan and the annual State Strategy Statement must be submitted by the Governors and approved by the Commission. Costs will be determined in accordance with OMB Circular applicable to the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Alternate's Office is the coordinator for Appalachian investments. Preapplication conferences with the Appalachian local district director or the State Alternate's Office can determine within a few weeks if the project can be related to the State Appalachian development plan. The State Alternate's Office will provide guidance on specific problems and technical assistance in preparation of applications. An environmental impact statement may be required for this program, depending on the basic Federal grant-in-aid program being assisted. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

Only infrastructure projects require an environmental review. Please see 40 U.S.C. 14507. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted and approved by the State member of the ARC. All proposed projects must conform to the State Strategy Statement submitted annually. Guidelines and forms for funding Appalachian development projects are available from the local development district director and the State Alternate's Office. A letter of transmittal signed by the State member and an executed ARC Form 1 may be required with the submission (contact individual State Offices as appropriate).

**Award Procedure:**

Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Strategy

Statement, the Federal Co-Chairman determines that the project satisfies all Federal requirements. If a basic Federal agency will administer the project it is then notified and will disburse the grant funds when appropriate. The ARC notifies Congressional Offices and the Office of the Governor of grant awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days after the receipt of the application at the Commission.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Generally grants are limited to 50% of project costs. For projects in counties designated as At Risk, this limit can be raised to 70%, and in economically distressed counties, it can be raised to 80%. For projects in counties designated as competitive (those that are approaching national economic norms), funding is usually limited to 30% of project costs. Funding is usually not available for projects located in counties that have attained or exceeded national economic norms. If otherwise eligible for funding, projects involving construction assistance for housing under the Appalachian Regional Development Act (ARDA) (40 U.S.C. 14503) cannot exceed 10% of total project costs regardless of location. The ARC Code and "Appalachian Regional Commission Project Guidelines" furnish details.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided until completion; funds are transferred to the basic Federal agency and disbursed as appropriate. ARC reserves the right to withdraw grants for projects not under contract within 18 months of approval. See the following for information on how assistance is awarded/released: Generally, most funds are awarded on a quarterly basis. Grant monies are released in a timely fashion through coordination with the applicant.

**Reports:**

No program reports are required. No cash reports are required. Grantees of non-construction projects submit quarterly reports outlining progress throughout the award period. Grantees of non-construction projects submit quarterly expenditure reports along with their progress reports. Grantees of non-construction assess performance in their final closing report. Performance is measured against estimated projections in the initial application.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records as required by the basic Federal agency. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$71,807,764; FY 11 est \$7,200,000; and FY 12 est \$72,000,000

**Range and Average of Financial Assistance:**

Range: \$1 - \$1,500,000

Average: \$49,745.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 1) Jobs Created/Retained = 23,439

2) Private Sector Dollars Leveraged = Achieved ratio of 4:1

3) Households served Water/Wastewater = 23,959

4) Students/Workers Trained = 19,980. Fiscal Year 2011: 1) Jobs Created/Retained: Projected = 20,000

2) Private Sector Dollars Leveraged: Projected = 4:1

3) Households served Water/Wastewater: Projected = 20,000

4) Students/Workers Trained: Projected = 20,000. Fiscal Year 2012: 1) Jobs Created/Retained: Projected = 20,000

2) Private Sector Dollars Leveraged: Projected = 4:1

3) Households served Water/Wastewater: Projected = 20,000

4) Students/Workers Trained: Projected = 20,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (limited distribution); "Appalachian Regional Commission Project Guidelines" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia" - a journal devoted to the special problems of regional development; Performance and Accountability Report, no charge.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Carolyn C. Kluck, 1666 Connecticut Avenue, NW, Suite 600, Washington, District of Columbia 20009 Email: ckluck@arc.gov Phone: (202) 884-7713.

**Website Address:**

<http://www.arc.gov> .

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: ARC held a Grant Competition for Community-Based Substance Abuse Initiatives in FY2011. The winners include 30 grassroots community groups that will receive training, technical assistance, and \$5,000 grants for expanded efforts to combat substance abuse in their local communities.

An ARC-funded study conducted by the National Opinion Research Center in 2008 showed that the Appalachian Region suffers from disproportionately high rates of substance use and abuse, including increasing abuse of prescription painkillers. To address this issue, ARC launched the Competition for Community-Based Substance Abuse Initiatives, targeted at local substance abuse coalitions. Sixty community coalitions from across the Region submitted applications. A panel of experts then chose 30 groups for participation in the program.

Representatives from each group will attend a training conference to share information on, and design local projects to address, community substance abuse issues. Each group will finalize a project work plan at the conference's conclusion and will then have nine months to complete project activities. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

**23.003 APPALACHIAN DEVELOPMENT HIGHWAY SYSTEM**

(Appalachian Corridors)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Section 201, Public Law 89-4, as amended, 40 U.S.C. 14501.

**OBJECTIVES:**

To provide a highway system which, in conjunction with other federally-aided highways, will open up areas with development potential within Appalachia where commerce and communication have been inhibited by lack of adequate access.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grants may be used for preliminary engineering, right-of-way, and construction of highways meeting the objectives stated above. Total highway construction may not exceed 3,090 miles for the 13-State system. The highways must be accepted and maintained as a Federal-aid highway. Refer to general use restrictions stated in the Appalachian Regional Development program (23.001).

**Applicant Eligibility:**

State governments only are eligible for development highways within their Appalachian portions.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Segments must be approved by the ARC and projects must be processed in accordance with State Highway department and Federal Highway Administration procedures. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. The State highway department coordinates with the Federal Highway Administration, Department of Transportation (DOT), as in the case of federally aided highway construction. The District Director or State Alternate's Office will provide guidance on specific problems and technical assistance in the preparation of applications. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The ARC has established a corridor system. The Appalachian State office designated by the State Member submits an application for construction within this system to the Commission for consideration. ARC must concur in detailed highway locations and construction centerlines. Upon such approval, State highway departments may submit plans to implement projects to the State-level office of Federal Highway Administration.

**Award Procedure:**

Upon determination that the State approved project is eligible within a Commission approved Appalachian Highway Plan, the Federal Co-chairman notifies FHWA of centerline approval after determining that the project satisfies all Federal requirements. The Department of Transportation is then notified, administers the grants and disburses the funds.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Funding for work on the Appalachian Development Highway System is allowed at 80%, wherever the project is located. Please see the ARC Code for more details. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Assistance is provided as required. See the following for information on how assistance is awarded/released: Funds are distributed by formula based on the current "cost to complete" report estimate.

**Reports:**

Grantees are required to submit data in preparation for an annual status report.

Grantees are required to reconcile obligations against progress. Grantees are required to detailed construction status reports. Grantees are required to reconcile obligations against progress. Performance is measured and reported each year in accordance with the goals and strategies of ARC's Strategic Plan 2005-2010.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Federal Highway Administration, DOT, supervises audits for the Commission.

**Records:**

Records and time of record maintenance as required by the Federal Highway Administration, DOT.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$230,600,000; FY 11 est \$470,000,000; and FY 12 est \$470,000,000 - Ranges and averages vary with type of use. Allocations are within predetermined system of highways. Funding is provided from the Highway Trust Fund.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 26.8. Fiscal Year 2011: Open 25 miles of the ADHS to traffic. Fiscal Year 2012: Open 25 miles of the ADHS to traffic.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The ARC Code (available at [www.arc.gov](http://www.arc.gov)); "Appalachian Regional Commission Project Guidelines" (also available at [www.arc.gov](http://www.arc.gov)); applicable State Appalachian Plans and Guidelines; "Appalachia" a journal devoted to the special problems of regional development; Performance and Accountability Reports, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. (See Appendix IV of the Catalog.) Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Ave., NW., Washington, DC 20009. Telephone: (202) 884-7700. Use the same number for FTS.

**Headquarters Office:**

Carolyn C. Kluck, 1666 Connecticut Avenue, NW, Suite 600, Washington, District of Columbia 20009 Email: [ckluck@arc.gov](mailto:ckluck@arc.gov) Phone: (202) 884-7713.

**Website Address:**

<http://www.arc.gov> .

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

**23.009 APPALACHIAN LOCAL DEVELOPMENT DISTRICT ASSISTANCE**

(LDD)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Section 302, Public Law

89-4, as amended, 40 U.S.C. 14321.

**OBJECTIVES:**

To provide planning and development resources in multicounty areas; to help develop the technical competence essential to sound development assistance; and to meet the objectives stated under the program entitled Appalachian Regional Development (23.001).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For administrative expenses, including technical services of certified local development districts; in addition to the uses and use restrictions detailed in the Appalachian Regional Development Program (23.001), the local development district may use grant funds for the purchase of real estate and vehicles; and for space improvement and construction only with the express approval of ARC. Funds may be used only in the performance of grantees program and in accordance with the budget, and amendments thereto, as approved by the Commission. See restrictions listed under the Appalachian Regional Development Program (23.001). For administrative expenses, including technical services of certified local development districts.

**Applicant Eligibility:**

Multicounty organizations certified by the State.

**Beneficiary Eligibility:**

Multicounty organizations.

**Credentials/Documentation:**

Certificate by the Governor. State Appalachian Plan and Strategy Statement must describe the procedures for the participation of local development districts in the Appalachian development planning process. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Alternate's Office is the coordinator for the Governor for Appalachian investments. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications approved by the State Member of ARC and the Federal Co-Chair. All proposed projects must meet the requirements of the State Appalachian Plan and Strategy Statement. Strategy statements are submitted to the Commission for approval annually prior to the Fall Commission meeting. A letter of transmittal signed by the State Member and Standard Form 424 are required.

**Award Procedure:**

Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Strategy Statement, the Federal Co-chairman determines that the project satisfies all Federal requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Usually within 45 days after the receipt of the application at the Commission.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals and amended applications follow the same procedures as the original application.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Administrative grants may be funded at 50%, wherever the local development district is located, except that a state may request that ARC participation be increased to as much as 75 percent for a local

development district that includes a distressed county or counties within its service area or to as much as 70 percent for a local development district that includes an at-risk county or counties within its service area. See the ARC Code and ARC Project Guidelines for more details.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is provided annually for 12 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

A final report is required at the end of each calendar year from each local development district that includes an analysis of performance activities and financial expenditures. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Commission, the Federal Co-chairman of the Commission, and the Comptroller General of the United States shall have access for the purpose of audit and examination.

**Records:**

The grantee shall keep records for not less than 3 years which fully disclose the purpose, amount and disposition of ARC funds and other contributions.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$7,022,670; FY 11 est \$7,000,000; and FY 12 est \$7,000,000

**Range and Average of Financial Assistance:**

Range: \$354 - \$318,000

Average: \$33,061.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (available at [www.arc.gov](http://www.arc.gov)); "ARC Travel Regulations;" "ARC Section 302A Guidelines" and "Audit Guide for Grants Made Under Section 302(A)(1) of the Appalachian Regional Development Act of 1965, as amended", and applicable OMB Circulars.

**Regional or Local Office:**

See Regional Agency Offices. Refer to Appendix IV of the Catalog.

**Headquarters Office:**

Carolyn C. Kluck, 1666 Connecticut Avenue, NW, Suite 600, Washington, District of Columbia 20009 Email: [ckluck@arc.gov](mailto:ckluck@arc.gov) Phone: (202) 884-7713.

**Website Address:**

<http://www.arc.gov> .

**RELATED PROGRAMS:**

11.303 Economic Development\_Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 73 local development districts were aided. Fiscal Year 2011: 73 local development districts will be aided. Fiscal Year 2012: 73 local development districts will be aided.

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

**23.011 APPALACHIAN RESEARCH, TECHNICAL ASSISTANCE, AND DEMONSTRATION PROJECTS**

(State Research)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Section 302, Public Law 89-4, as amended; 40 U.S.C. 14321.

**OBJECTIVES:**

To expand the knowledge of the region to the fullest extent possible by means of research (including investigations, studies, technical assistance and demonstration projects) in order to assist the Commission in accomplishing the objectives of the Act, and implementation of the ARC strategic plan.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To research the feasibility of plans and programs for concerted economic and community development. Priority will be given to research and technical assistance related to job creation projects. Project activities can include investigations, research, studies, evaluations, and assessments of needs, potentials, or attainments of the people of the region. All developments resulting from such research must be made freely available to the general public. Existing research by other agencies is to be utilized as much as possible. Research projects are subject to the uses and use restrictions described under the Appalachian Regional Development program (23.001). The purpose of these funds are to research or demonstrate the feasibility of plans and programs for concerted economic and community development.

**Applicant Eligibility:**

Qualified candidates with subject matter experience who respond to Commission issued requests for proposals that are advertised on the Appalachian Regional Commission website ([www.arc.gov](http://www.arc.gov)).

**Beneficiary Eligibility:**

States and local public bodies.

**Credentials/Documentation:**

Projects must conform to the Appalachian Regional Commission Strategic Plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The Appalachian Regional Commission reviews and prioritizes research and evaluation projects necessary to further the goals of the agency's strategic plan. The Executive Director approves individual contractors. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Candidates with subject matter expertise can respond to publicly advertised requests for proposals. Requests for proposals are located on the ARC website: [www.arc.gov](http://www.arc.gov). The Commission reviews and prioritizes research projects to be completed each year.

**Award Procedure:**

Upon determination that the approved project is eligible within a Commission approved Appalachian Strategic Plan, the Executive Director determines that the project satisfies all Federal requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 60 days after the receipt of the application at the Commission.

**Appeals:**

Not Applicable.

**Renewals:**

Yes, renewals are possible. They are processed in the same manner as the original application.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. No other matching information is available.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Usually 12 months. Assistance is provided as required. See the following for information on how assistance is awarded/released: A schedule for payment is included in the contract proposal. However, ARC retains 10% of funds until the project is completed.

**Reports:**

General reports are required throughout the research period, as required by the terms of the individual contract. A cost estimate of the project is required upon initiation of the research contract. As the contract progresses, researchers are asked to update ARC on their progress. Drafts are sent to ARC for review. Expenditure updates are required for reimbursement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. As required by the Commission, in accordance with the Single Audit Act Amendments of 1996, Public Law 104-156.

**Records:**

As required by the terms of the contract.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$931,978; FY 11 est \$1,000,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Research in 2010 included:

Program Evaluation of Investments in Education and Training

Assessment of Appalachian Natural Assets: Forests & Water

Performance Measurement & Evaluation for ARC Telecom & Technology Investments

Performance Measurement and Evaluation Tools for Broadband Investments

Planning and Financing Energy-Efficient Infrastructure

Analysis of Wind and Solar Manufacturing Supply-Chain Opportunities in Appalachia

Medical Care Access and Cost Disparities in Appalachia. Fiscal Year 2011:

Current research includes:

Analysis of Oral Health Disparities and Access to Dental Services in Appalachia

Analysis of Household Wealth and Financial Security in Appalachia

Access to Capital & Credit in Appalachia. Fiscal Year 2012: Proposed research includes:

Review and analysis of 2010 Census

Economic Diversification in distressed areas of Appalachia

Assessment of Appalachian Natural Assets: land and minerals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (limited distribution);

"Appalachian Regional Commission Project Guidelines" (limited distribution);

Research Program Prospectus (limited distribution).

**Regional or Local Office:**

See Regional Agency Offices. Refer to Appendix IV of the Catalog.

**Headquarters Office:**

Carolyn C. Kluck, 1666 Connecticut Avenue, NW, Suite 600, Washington, District of Columbia 20009 Email: [ckluck@arc.gov](mailto:ckluck@arc.gov) Phone: (202) 884-7713.



**Website Address:**

<http://www.arc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Household Wealth and Financial Security in Appalachia: An analysis of recent trends in household wealth and asset poverty in Appalachia that will determine the extent to which the Region has been affected by troubled loans, bankruptcies, foreclosures, and other measures of financial distress; and examine how changes in household wealth and distribution will affect future economic growth and opportunity in the region. Fiscal Year 2011: Analysis of Oral Health Disparities and Access to Dental Services in Appalachia. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

**EQUAL EMPLOYMENT OPPORTUNITY COMMISSION****30.001 EMPLOYMENT DISCRIMINATION\_TITLE VII OF THE CIVIL RIGHTS ACT OF 1964****FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Title VII of the Civil Rights Act of 1964 (Public Law 88-352), as amended, 42 U.S.C. section 2000e et seq.

**OBJECTIVES:**

Title VII prohibits employment discrimination against applicants or employees based on race, color, religion, sex (including pregnancy), and national origin. Title VII also prohibits retaliation against applicants or employees who oppose employment practices that discriminate based on race, color, religion, sex or national origin or for filing a discrimination charge, testifying, or participating in any way in an investigation, proceeding, or litigation under Title VII.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Federal Employment; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Individuals are protected from discrimination on the basis of race, color, religion, sex (including pregnancy) and national origin by employers with 15 or more employees, including state and local governments, employment agencies, labor organizations and the federal government. The EEOC Assessment System, available at <https://egov.eeoc.gov/eas/>, enables individuals to determine whether EEOC is the appropriate agency to contact regarding discrimination, harassment or retaliation. Charges of discriminatory employment practices can be filed at the field offices by or on behalf of an individual or group of individuals claiming to be aggrieved. Mediation may be offered to the parties involved. If mediation is not used or is not successful, further investigation may ensue. If after its investigation the Commission does not find reasonable cause, the charging party is issued a right to sue letter. If the Commission determines that there is reasonable cause to believe that discrimination has occurred, it will attempt to resolve the charge informally through conciliation. If conciliation proves to be unsuccessful and the employer is not a state or local government, the Commission may bring a civil action against respondent(s) named in the charge or issue a right to sue letter to the party who filed the charge, giving him or her the right to file a civil action in federal court. If conciliation fails on a charge against a state or local government, EEOC refers the case to the Department of Justice for consideration of litigation or issuance of a right to sue letter.

A federal government applicant or employee who believes that his or her employment rights have been violated under this statute and wants to make a claim against a federal agency must file a complaint with that agency and follow the procedures set forth at 29 C.F.R. part 1614.

**Applicant Eligibility:**

Any aggrieved individual, or any individual, organization, or agency filing on behalf of an aggrieved individual, who has reason to believe that an unlawful

employment practice within the meaning of Title VII, as amended, has been committed by an employer with 15 or more employees, including a state or local government, an employment agency, labor organization, or joint labor-management committee controlling apprenticeship or other training or retraining, including on-the-job training programs.

Any aggrieved individual who believes he or she has been retaliated against for opposing employment practices that discriminate based on race, color, religion, sex (including pregnancy) or national origin or who files a charge of discrimination, testifies, or participates in any way in an investigation, proceeding, or litigation under Title VII.

**Beneficiary Eligibility:**

Applicants, current employees, or former employees of the named respondent(s) who have been subjected to employment practices based on race, color, religion, sex, or national origin by the named respondent(s), and/or who have been subjected to retaliation for opposing discrimination or participating in a Title VII investigation, proceeding, or litigation.

**Credentials/Documentation:**

A claim of unlawful employment practice(s) may be made in person, by mail or by fax. An allegation must be in writing, signed, and/or notarized when necessary to meet state or local requirements. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission. Individuals may also consult EEOC's website at <http://www.eeoc.gov/employees/howtofile.cfm> for detailed information about filing a charge.

Complaints against the federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office. Federal government applicants or employees should consult EEOC's website at [http://www.eeoc.gov/federal/fed\\_employees/complaint\\_overview.cfm](http://www.eeoc.gov/federal/fed_employees/complaint_overview.cfm) for details about filing an employment discrimination complaint against a federal agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A charge may be filed by any aggrieved individual, any individual on behalf of an aggrieved individual, or by any organization, i.e., labor union, association, legal representative, etc., either as an aggrieved entity or on behalf of an aggrieved individual. Charges may be filed in person, by mail or by fax at the nearest field office of the EEOC.

Complaints against the federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written signed statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Title VII requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state or local anti-discrimination law, or within 30 days after the receipt of notice of termination of state or local proceedings, whichever is earlier. If the evidence does not establish that discrimination occurred, charging parties will be given written notice of their right to sue. A charging party may file a lawsuit within

90 days after receiving a notice of a right to sue from EEOC, as stated above. Under Title VII, a charging party also can request a notice of right to sue from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice. When a right to sue letter is issued at the request of the charging party, EEOC usually stops its investigation.

Federal employees must generally contact the agency's EEO Counselor within 45 days from the date the discrimination occurred.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 10 \$367,303,000; FY 11 est \$366,568,000; and FY 12 Estimate Not Available - Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY10, EEOC maintained a vigorous presence in federal courts across the nation. EEOC field legal units filed 250 merits lawsuits and 21 subpoena enforcements and other actions. Of these new filings, 159 were individual suits and 92 were multiple victim suits. Legal staff resolved 285 merits lawsuits for a total monetary recovery of \$85,086, 529. ("Merits" lawsuits include direct suits and interventions alleging violations of the substantive provisions of the statutes enforced by the Commission and suits to enforce administrative settlements.) In terms of dollars recovered in direct, indirect and intervention lawsuits by statute, EEOC recovered \$76,986,043 in Title VII resolutions, \$5,288,322 in ADEA resolutions, \$2,896,780 in ADA resolutions, and \$2,915,383 in resolutions involving more than one statute. The Commission also resolved 28 subpoena enforcement and other actions during the fiscal year. At the end of FY 2010, EEOC had 457 cases on its active docket, of which 212 (46.3%) involved multiple aggrieved parties or challenges to discriminatory employment policies. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available on the EEOC web site ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact the EEOCs Publication Center at 1-800-669-3362 (voice) or 1-800-800-9902 (TTY). Regulations include: 29 CFR 1601, Procedural Regulations and Guidelines; 29 CFR 1602, Recordkeeping and Reporting Requirements under Title VII and the ADA; 29 CFR 1604, Guidelines on Discrimination Because of Sex; 29 CFR 1605, Guidelines on Discrimination Because of Religion; 29 CFR 1606, Guidelines on Discrimination Because of National Origin. Enforcement guidances and policy documents include: Unlawful Disparate Treatment of Workers with Caregiving Responsibilities; Vicarious Employer Liability for Unlawful Harassment by Supervisors; Application of EEO Laws to Contingent Workers Placed by Temporary Employment Agencies and Other Staffing

Firms; Sex Discrimination in the Compensation of Sports Coaches in Educational Institutions. Compliance Manual: Section 2: Threshold Issues; Section 3: Employee Benefits; Section 8: Retaliation; Section 10: Compensation Discrimination; Section 12: Religious Discrimination; Section 13: National Origin Discrimination; Section 15: Race and Color Discrimination.

Technical assistance documents, fact sheets, and other relevant material include: Best Practices for Eradicating Religious Discrimination in the Workplace; Commission Decision on Coverage of Contraception; Employer Best Practices for Workers with Caregiving Responsibilities; Employment Tests and Selection Procedures; The Family and Medical Leave Act, the Americans with Disabilities Act, and Title VII of the Civil Rights Act of 1964; Questions and Answers About Employer Responsibilities Concerning the Employment of Muslims, Arabs, South Asians, and Sikhs; Questions and Answers About the Workplace Rights of Muslims, Arabs, South Asians, and Sikhs Under the Equal Employment Opportunity Laws; Fact Sheet: Employment Discrimination Based on Religion, Ethnicity, or Country of Origin; Fact Sheet: National Origin Discrimination; Fact Sheet: Race/Color Discrimination; Fact Sheet: Religious Discrimination; Fact Sheet: Sexual Harassment Discrimination.

**Regional or Local Office:**

See Regional Agency Offices. See map of field offices available at <http://www.eeoc.gov/field/index.cfm>. EEOC offices are also listed in Appendix IV of the Catalog.

**Headquarters Office:**

Equal Employment Opportunity Commission 131 M Street, NE, Washington, District of Columbia 20507 Phone: 202-663-4191/202-663-4494 (TTY)

**Website Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.008 Employment Discrimination\_Age Discrimination in Employment; 30.010 Employment Discrimination Equal Pay Act; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 30.013 Employment Discrimination-Title II of the Genetic Information Nondiscrimination Act of 2008; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.005 EMPLOYMENT DISCRIMINATION\_PRIVATE BAR PROGRAM FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Civil Rights Act of 1964.

**OBJECTIVES:**

(a) To assist individuals who have filed a charge with the Commission, or on whose behalf a charge has been filed, in contacting members of the private bar; (b) to provide technical assistance to aggrieved individuals and their attorneys in Title VII, Equal Pay Act, Age Discrimination in Employment Act and Americans with Disabilities Act cases; to establish the attorney referral mechanism; and (d) to coordinate the strategies of the private bar with those of the Commission.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Upon request, provide assistance to individuals in locating lawyers who are prepared to litigate Title VII, Americans with Disabilities Act, Equal Pay Act and Age Discrimination in Employment Act issues.

**Applicant Eligibility:**

Any individual who has filed a charge with the Commission, or on whose behalf a charge has been filed.

**Beneficiary Eligibility:**

Any individual who has filed a charge with the Commission, or on whose behalf a charge has been filed.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests for assistance may be made in writing or orally to nearest EEOC District Office listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 10 Not Separately Identifiable; FY 11 est \$0; and FY 12 Not Separately Identifiable - (Salaries and expenses) not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY10, EEOC maintained a vigorous presence in federal courts across the nation. EEOC field legal units filed 250 merits lawsuits and 21 subpoena enforcement and other actions. Of these new filings, 159 were individual suits and 92 were multiple victim suits. Legal staff resolved 285 merits lawsuits for a total monetary recovery of \$85,086, 529. ("Merits" lawsuits include direct suits and interventions alleging violations of the substantive provisions of the statutes enforced by the Commission and suits to enforce administrative settlements.) In terms of dollars recovered in direct, indirect and intervention lawsuits by statute, EEOC recovered \$76,986,043 in Title VII resolutions, \$5,288,322 in ADEA resolutions, \$2,896,780 in ADA

resolutions, and \$2,915,383 in resolutions involving more than one statute. The Commission also resolved 28 subpoena enforcement and other actions during the fiscal year. At the end of FY 2010, EEOC had 457 cases on its active docket, of which 212 (46.3%) involved multiple aggrieved parties or challenges to discriminatory employment policies. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EEOC Compliance Manual, Section 81 - Private Bar Referral Program.

**Regional or Local Office:**

See Regional Agency Offices. EEOC District Offices (see Appendix IV of the Catalog for addresses).

**Headquarters Office:**

Jerome Scanlan 131 M Street, NE, Washington, District of Columbia 20507  
Phone: 202-663-4719

**Website Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964;  
30.008 Employment Discrimination Age Discrimination in Employment;  
30.010 Employment Discrimination Equal Pay Act; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 30.013 Employment Discrimination Title II of the Genetic Information Nondiscrimination Act of 2008

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.008 EMPLOYMENT DISCRIMINATION AGE DISCRIMINATION IN EMPLOYMENT****FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Age Discrimination in Employment Act of 1967 (Pub. L. 90-202), as amended, 29 U.S.C. section 621 et seq.

**OBJECTIVES:**

The Age Discrimination in Employment Act (ADEA) prohibits discrimination based on age (40 or older) with respect to any term, condition, or privilege of employment, including hiring, firing, promotion, layoff, compensation, benefits, job assignments, training and harassment. The ADEA also prohibits retaliation against an individual for opposing employment practices that discriminate based on age or for filing an age discrimination charge, testifying, or participating in any way in an investigation, proceeding, or litigation under the ADEA.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Federal Employment; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Individuals 40 years of age or older are protected from age discrimination by employers with 20 or more employees, all state and local governments, employment agencies, labor organizations and the federal government. It is unlawful for covered employers to post advertisements indicating any preference, limitation, or specification based on age. Limited exceptions apply: in situations in which age is a bona fide occupational qualification reasonably necessary to the normal operation of the business; in situations in which the differentiation is based on reasonable factors other than age; or if an otherwise prohibited practice is in observance of the terms of a bona fide seniority system or employee benefit plan (except that no such seniority system or employee benefit plan shall excuse the failure to hire, or require or permit the involuntary retirement of any covered individual). Exemptions and exceptions also apply for highly compensated employees, public officials, firefighters and law enforcement officers. The EEOC Assessment System, available at <https://egov.eeoc.gov/eas/>, enables individuals to determine whether EEOC is

the appropriate agency to contact regarding their specific claims of discrimination, harassment or retaliation. If a charge is filed, mediation may be offered to the parties involved. If mediation is not used or is not successful, further investigation may ensue. The Commission will attempt to eliminate any alleged unlawful practice by informal methods of conciliation, conference and persuasion. If conciliation fails, the charging party should be notified that he or she can file a civil action. If the Commission's proceedings with regard to a charge are terminated, the Commission will notify the complainant who shall then have the right to bring a civil action.

A federal government applicant or employee who believes that his or her employment rights have been violated under this statute and wants to make a claim against a federal agency must file a complaint with that agency and follow the procedures set forth at 29 C.F.R. part 1614.

**Applicant Eligibility:**

Any aggrieved individuals age 40 and over, or any individual, organization, or agency filing on behalf of an aggrieved individual who has reason to believe that a covered employer has committed an unlawful employment practice within the meaning of the ADEA, as amended.

**Beneficiary Eligibility:**

Applicants, current employees, or former employees of the named respondent(s) who are age 40 or older and who have been subjected to unlawful employment practices based on age by the named respondent(s), and/or who have been subjected to retaliation for opposing age discrimination or participating in an ADEA investigation, proceeding, or litigation.

**Credentials/Documentation:**

An allegation of unlawful employment practice(s) may be made in person, by mail or by fax. An allegation must be in writing, signed, and notarized when necessary to meet state or local requirements. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission. Individuals may also consult EEOCs website at <http://www.eeoc.gov/employees/howtofile.cfm> for detailed information about filing a charge.

Complaints against the federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office. Federal government applicants or employees should consult EEOCs website at [http://www.eeoc.gov/federal/fed\\_employees/complaint\\_overview.cfm](http://www.eeoc.gov/federal/fed_employees/complaint_overview.cfm) for details about filing an employment discrimination complaint against a federal agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A charge may be filed by any aggrieved individual or by any organization, i.e. labor union, association, legal representative, etc., either as an aggrieved entity or on behalf of an aggrieved individual. Charges may be filed in person, by mail or by fax at the nearest field office of the EEOC.

Complaints against the federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written signed statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The ADEA requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state anti-discrimination law and a state agency enforcing the law, or within 30 days after the receipt of notice of termination of state proceedings, whichever is earlier. A civil action may be commenced at any time 60 days after a charge has been filed with the EEOC. If the evidence does not establish that discrimination occurred, charging parties will be given written notice of their right to sue. A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from EEOC, as stated above. If the charging party files an ADEA lawsuit, EEOC usually stops its investigation.

Federal employees must generally contact the agency's EEO Counselor within 45 days from the date the discrimination occurred.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 10 \$367,303,000; FY 11 est \$366,568,000; and FY 12 Not Separately Identifiable - (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY10, EEOC maintained a vigorous presence in federal courts across the nation. EEOC field legal units filed 250 merits lawsuits and 21 subpoena enforcement and other actions. Of these new filings, 159 were individual suits and 92 were multiple victim suits. Legal staff resolved 285 merits lawsuits for a total monetary recovery of \$85,086, 529. ("Merits" lawsuits include direct suits and interventions alleging violations of the substantive provisions of the statutes enforced by the Commission and suits to enforce administrative settlements.) In terms of dollars recovered in direct, indirect and intervention lawsuits by statute, EEOC recovered \$76,986,043 in Title VII resolutions, \$5,288,322 in ADEA resolutions, \$2,896,780 in ADA resolutions, and \$2,915,383 in resolutions involving more than one statute. The Commission also resolved 28 subpoena enforcement and other actions during the fiscal year. At the end of FY 2010, EEOC had 457 cases on its active docket, of which 212 (46.3%) involved multiple aggrieved parties or challenges to discriminatory employment policies. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available for downloading on the EEOC web site ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact EEOCs Office of Communications and Legislative Affairs at (202) 663-4191 or (202) 663-4494 (TTY). Regulations: 29 C.F.R 1625, Age Discrimination in Employment Act; 29 C.F.R 1626, Procedures Age Discrimination in Employment Act; 29 C.F.R 1627, Records to be made or kept relating to age; notices to be posted; administrative exemptions. Policy

documents and fact sheets include: Compliance Manual Section 2: Threshold Issues; Compliance Manual Section 3: Employee Benefits; Compliance Manual Section 8: Retaliation; Compliance Manual Section 10: Compensation Discrimination; Fact Sheet: Age Discrimination.

**Regional or Local Office:**

See Regional Agency Offices. See map of field offices available at <http://www.eeoc.gov/field/index.cfm>. EEOC Offices are also listed in Appendix IV of the Catalog.

**Headquarters Office:**

Equal Employment Opportunity Commission 131 M Street, NE, Washington, District of Columbia 20507 Phone: 202-663-4191/202-663-4494 (TTY)

**Website Address:**

<http://www.eeoc.gov>

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.010 Employment Discrimination Equal Pay Act; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 30.013 Employment Discrimination-Title II of the Genetic Information Nondiscrimination Act of 2008; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.010 EMPLOYMENT DISCRIMINATION EQUAL PAY ACT**

**FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Equal Pay Act of 1963, (Pub. L. 88-38), as amended, 29 U.S.C. section 206(d).

**OBJECTIVES:**

The Equal Pay Act (EPA) prohibits sex discrimination in the payment of wages to men and women performing jobs that require substantially equal skill, effort and responsibility, under similar working conditions within the same establishment. The EPA also prohibits retaliation against applicants or employees who oppose compensation practices that discriminate based on sex or who file a discrimination charge, testify, or participate in any way in an investigation, proceeding, or litigation under the EPA.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Federal Employment; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Employers engaged in commerce or in the production of goods for commerce (i.e. subject to The Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 201, et seq.), including the federal government, and state and local governments, are prohibited from paying unequal wages to men and women performing jobs that require substantially equal skill, effort and responsibility, under similar working conditions within the same establishment. Labor organizations representing employees of a covered employer are prohibited from causing or attempting to cause employers to violate the Act. Exceptions are permitted only where payment is made pursuant to a seniority system, a merit system, a system that measures earnings by quantity or quality of production, or a differential based on any other factor other than sex. The EEOC Assessment System, available at <https://egov.eeoc.gov/eas/>, enables individuals to determine whether EEOC is the appropriate agency to contact regarding their specific claim of wage discrimination or retaliation. The Commission may investigate allegations of violations of the Act and may initiate and conduct litigation.

A federal government applicant or employee who believes that his or her employment rights have been violated under this statute and wants to make a claim against a federal agency must file a complaint with that agency and follow the procedures set forth at 29 C.F.R. part 1614.

**Applicant Eligibility:**

Any aggrieved individual, or any individual, organization, or agency filing on behalf of an aggrieved individual, who has reason to believe that a covered employer has committed an unlawful employment practice within the meaning of the EPA. An employee who believes he or she has been retaliated against for opposing compensation practices that discriminate based on sex or who files a discrimination charge, testifies, or participates in any way in an investigation, proceeding, or litigation under the EPA.

**Beneficiary Eligibility:**

Applicants, current employees, or former employees of the named respondent (s) who have been subjected to unlawful compensation practices based on gender by the named respondent (s), and/or who have been subjected to retaliation for opposing gender-based compensation discrimination or participating in an EPA investigation, proceeding, or litigation.

**Credentials/Documentation:**

The EPA does not require aggrieved parties to file a charge of discrimination with EEOC before filing a private lawsuit. However, since many EPA claims also raise Title VII sex discrimination issues, it may be advisable to file a charge of discrimination under both laws within the appropriate time limit (see Deadlines 095). An allegation of unlawful employment practice(s) may be made in person, by mail or by fax. An allegation must be in writing, signed, and/or notarized when necessary to meet state or local requirements. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission. Individuals may also consult EEOCs website at <http://www.eeoc.gov/employees/howtofile.cfm> for detailed information about filing a charge.

Complaints against the Federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office. Federal government applicants or employees should consult EEOCs website at [http://www.eeoc.gov/federal/fed\\_employees/complaint\\_overview.cfm](http://www.eeoc.gov/federal/fed_employees/complaint_overview.cfm) for details about filing an employment discrimination complaint against a federal agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The EPA does not require aggrieved parties to file a charge of discrimination with EEOC before filing a private lawsuit. However, since many EPA claims also raise Title VII sex discrimination issues, it may be advisable to file a charge of discrimination under both laws within the appropriate time limit (see range of approval/disapproval times). A charge may be filed by any aggrieved individual, any individual on behalf of an aggrieved individual, or by any organization, i.e., labor union, association, legal representative, etc., either as an aggrieved entity or on behalf of an aggrieved individual. Charges may be filed in person, by mail or by fax at the nearest EEOC field office.

Complaints against the federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written signed statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The EPA does not require aggrieved parties to file a charge of discrimination with EEOC before filing a private lawsuit. The time limit for filing an EPA charge with the EEOC and the time limit for going to court are the same: within two years of the alleged unlawful compensation practice or in the case of a willful violation, within three years. However, since many EPA claims also raise Title VII sex discrimination issues, it may be advisable to file a charge of discrimination under both laws within the appropriate time limit. (Title VII requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state or local anti-discrimination law, or within 30 days after the receipt of notice of termination of state or local proceedings, whichever is earlier.) A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from EEOC, as stated above. Under Title VII, a charging party also can request a notice of right to sue from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice. When a right to sue letter is issued at the request of the charging party, EEOC usually stops its investigation.

Federal employees must generally contact the agency's EEO Counselor within 45 days from the date the discrimination occurred.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 10 \$367,303,000; FY 11 est \$366,568,000; and FY 12 Not Separately Identifiable - (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY10, EEOC maintained a vigorous presence in federal courts across the nation. EEOC field legal units filed 250 merits lawsuits and 21 subpoena enforcement and other actions. Of these new filings, 159 were individual suits and 92 were multiple victim suits. Legal staff resolved 285 merits lawsuits for a total monetary recovery of \$85,086, 529. ("Merits" lawsuits include direct suits and interventions alleging violations of the substantive provisions of the statutes enforced by the Commission and suits to enforce administrative settlements.) In terms of dollars recovered in direct, indirect and intervention lawsuits by statute, EEOC recovered \$76,986,043 in Title VII resolutions, \$5,288,322 in ADEA resolutions, \$2,896,780 in ADA resolutions, and \$2,915,383 in resolutions involving more than one statute. The Commission also resolved 28 subpoena enforcement and other actions during the fiscal year. At the end of FY 2010, EEOC had 457 cases on its active docket, of which 212 (46.3%) involved multiple aggrieved parties or challenges to discriminatory employment policies. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available on the EEOC web site ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact EEOCs Publication Center at 1-800-669-3362(voice) or 1800-800-3302 (TTY). Regulations include: 29 CFR 1620, Equal Pay Act Interpretive Regulations; 29 CFR 1621, Equal Pay Act Procedural Regulations; 29 CFR 1604, Guidelines on Discrimination Because of Sex. Compliance Manual: Section 2: Threshold Issues; Section 3: Employee Benefits; Section 8: Retaliation; Section 10: Compensation Discrimination. EEOC-ESA Memorandum of Understanding Providing for Cross-Training, Referrals and Information Sharing on Compensation Discrimination Cases.

**Regional or Local Office:**

See Regional Agency Offices. See map of field offices available at <http://www.eeoc.gov/field/index.cfm>. EEOC Offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

Equal Employment Opportunity Commission 131 M Street, NW, Washington, District of Columbia 20507 Phone: 202-663-4191/663-4494 (TTY)

**Website Address:**

<http://www.eeoc.gov>

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.008 Employment Discrimination Age Discrimination in Employment; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 30.013 Employment Discrimination Title II of the Genetic Information Nondiscrimination Act of 2008; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.011 EMPLOYMENT DISCRIMINATION TITLE I OF THE AMERICANS WITH DISABILITIES ACT**

**FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Americans with Disabilities Act, Title I & V, as amended Public Law 101-336, Public Law 110-325 42, U.S.C. 12101-12117; 12201-12213d; Section 501 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 791-794a.

**OBJECTIVES:**

The Americans with Disabilities Act (ADA) prohibits employment discrimination against applicants or employees based on disability. The ADA also prohibits retaliation against an individual for opposing employment practices that discriminate based on disability or for filing a discrimination charge, testifying, or participating in any way in an investigation, proceeding, or litigation under the ADA. The Rehabilitation Act provides federal employees with the same protections.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Federal Employment; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Individuals are protected from discrimination on the basis of disability by employers with 15 or more employees, including state and local governments, employment agencies, and labor organizations. Federal employees and applicants are covered under section 501 of the Rehabilitation Act of 1973, which applies the same standards as the ADA. The EEOC Assessment System, available at <https://egov.eeoc.gov/eas/>, enables individuals to determine whether EEOC is the appropriate agency to contact regarding their specific

claims of discrimination, harassment or retaliation. Charges of discriminatory employment practices can be filed by or on behalf of an individual or group of individuals claiming to be aggrieved. Mediation may be offered to the parties involved. If mediation is not used or is not successful, further investigation may ensue. If after its investigation, the Commission does not find reasonable cause, the charging party is issued a right to sue letter. If the Commission determines that there is reasonable cause to believe that discrimination has occurred, it will attempt to resolve the charge informally through conciliation. If conciliation proves to be unsuccessful and the employer is not a state or local government, the Commission may bring a civil action against respondent(s) named in the charge or issue a right to sue letter to the party who filed the charge, giving him or her the right to file a civil action in federal court. If conciliation fails on a charge against a state or local government, EEOC refers the case to the Department of Justice for consideration of litigation or issuance of a right to sue letter.

A federal employment applicant or employee who believes that his or her employment rights have been violated.

**Applicant Eligibility:**

Any aggrieved individual, or any individual, or any organization, or agency filing on behalf of an aggrieved individual, who has reason to believe that an unlawful employment practice within the meaning of Title I of the ADA has been committed by an employer with 15 or more employees, including state or local governments, an employment agency, labor organization, or joint labor-management committee controlling apprenticeship or other training or retraining, including on-the-job training programs. Any aggrieved individual who believes he or she has been retaliated against for opposing employment practices that discriminate based on disability or who files an ADA charge, testifies, or participates in any way in an investigation, proceeding, or litigation under the ADA. Federal employees are protected from disability discrimination under section 501 of the Rehabilitation Act.

**Beneficiary Eligibility:**

Applicants, for employment, current employees, and former employees of the named respondent(s) in a charge who have been subjected to unlawful employment practices based on disability by the named respondent (s), and/or who have been subjected to retaliation for opposing disability discrimination or participation in an ADA or Rehabilitation Act investigation, proceeding, or litigation.

**Credentials/Documentation:**

A claim of unlawful employment practice(s) may be made in person, by mail or by fax. An allegation must be in writing, signed, and/or notarized when necessary to meet State or local requirements. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission. Individuals may also consult EEOCs website at <http://www.eeoc.gov/employees/howtofile.cfm> for detailed information about filing a charge. Complaints against the Federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office.

Federal government applicants or employees should consult EEOCs website at [http://www.eeoc.gov/federal/fed\\_employees/complaint\\_overview.cfm](http://www.eeoc.gov/federal/fed_employees/complaint_overview.cfm) for details about filing an employment discrimination complaint against a federal agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A charge may be filed by any aggrieved individual, any individual on behalf of an aggrieved individual, or by any organization, i.e., labor union, association, legal representative, etc., either as an entity or on behalf of an aggrieved individual. Charges may be filed in person, by mail or by fax at the nearest field office of the EEOC.

Complaints against the federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written signed statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The ADA requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state or local anti-discrimination law, or within 30 days after the receipt of notice of termination of state or local proceedings, whichever is earlier. If the evidence does not establish that discrimination occurred, charging parties will be given written notice of their right to sue. Persons can also ask for a notice of right to sue before EEOC finishes its investigation. A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from EEOC, as stated above. Under the ADA, a charging party also can request a notice of right to sue from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice. When a right to sue letter is issued at the request of the charging party, EEOC usually stops its investigation.

Federal employees must generally contact the agency's EEO Counselor within 45 days from the date the discrimination occurred.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 10 \$367,303,000; FY 11 est \$366,568,000; and FY 12 Not Separately Identifiable - (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY10, EEOC maintained a vigorous presence in federal courts across the nation. EEOC field legal units filed 250 merits lawsuits and 21 subpoena enforcement and other actions. Of these new filings, 159 were individual suits and 92 were multiple victim suits. Legal staff resolved 285 merits lawsuits for a total monetary recovery of \$85,086, 529. ("Merits" lawsuits include direct suits and interventions alleging violations of the substantive provisions of the statutes enforced by the Commission and suits to

enforce administrative settlements.) In terms of dollars recovered in direct, indirect and intervention lawsuits by statute, EEOC recovered \$76,986,043 in Title VII resolutions, \$5,288,322 in ADEA resolutions, \$2,896,780 in ADA resolutions, and \$2,915,383 in resolutions involving more than one statute. The Commission also resolved 28 subpoena enforcement and other actions during the fiscal year. At the end of FY 2010, EEOC had 457 cases on its active docket, of which 212 (46.3%) involved multiple aggrieved parties or challenges to discriminatory employment policies. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available on the EEOC web site ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact EEOCs Publication Center at 1-800-669-3362 or 1-800-800-3302 (TTY). Regulations include: 29 CFR 1601, Procedural Regulations and Guidelines; 29 CFR 1602, Recordkeeping and Reporting Requirements under Title VII and the ADA; 29 CFR 1630, Substantive Regulations; 29 CFR 1640, Coordination Regulations with the Department of Justice; 29 CFR 1641, Coordination Regulations with the Department of Labor. Enforcement guidances and policy documents include: Unlawful Disparate Treatment of Workers with Caregiving Responsibilities; Revised Enforcement Guidance: Reasonable Accommodation and Undue Hardship Under the Americans With Disabilities Act; Enforcement Guidance: Application Of The ADA To Contingent Workers Placed By Temporary Agencies And Other Staffing Firms; EEOC Policy Guidance on Executive Order 13164: Establishing Procedures to Facilitate the Provision of Reasonable Accommodation; Enforcement Guidance on Disability-Related Inquiries and Medical Examinations of Employees Under the Americans with Disabilities Act (ADA); EEOC Policy Guidance on Executive Order 13145: To Prohibit Discrimination in Federal Employment Based on Genetic Information; EEOC Enforcement Guidance on the Americans with Disabilities Act and Psychiatric Disabilities; EEOC Enforcement Guidance: Workers Compensation and the ADA; ADA Enforcement Guidance: Pre-employment Disability-Related Questions and Medical Examinations; Interim Enforcement Guidance on the Application of the Americans with Disabilities Act of 1990 to Disability-based Distinctions in Employer Provided Health Insurance; Enforcement Guidance on Application of Title VII and the Americans with Disabilities Act to Conduct Overseas and to Foreign Employers Discriminating in the United States. Compliance Manual: Section 902: Definition of the Term Disability; Section 2: Threshold Issues; Section 3: Employee Benefits; Section 8: Retaliation. Technical assistance documents, reports and fact sheets include: Questions and Answers: Promoting Employment of Individuals with Disabilities in the Federal Workforce; Applying Performance and Conduct Standards To Employees With Disabilities; Veterans with Service-Connected Disabilities in the Workplace and the ADA-A Guide for Employers; Reasonable Accommodations for Attorneys with Disabilities; The Family and Medical Leave Act, the ADA, and Title VII of the Civil Rights Act of 1964; The ADA: A Primer for Small Business; The ADA: Your Responsibilities as an Employer; The ADA: Your Employment Rights as an Individual With a Disability; Job Applicants and the ADA; Small Employers and Reasonable Accommodation; Work At Home/Telework as a Reasonable Accommodation; Obtaining and Using Employee Medical Information as Part of Emergency Evacuation Procedures; How to Comply with the Americans with Disabilities Act: A Guide for Restaurants and Other Food Service Employers; Final Report on Best Practices For the Employment of People with Disabilities In State Government; Questions and Answers about Health Care Workers and the Americans with Disabilities Act; Questions and Answers about Deafness and Hearing Impairments in the Workplace and the Americans with Disabilities Act; Questions and Answers about Blindness and Vision Impairments in the Workplace and the ADA; Questions and Answers about the Association Provision of the Americans with Disabilities Act; Questions and Answers About Diabetes in the Workplace and the Americans with Disabilities Act; Questions and Answers About Epilepsy in the Workplace and the Americans with Disabilities Act; Questions and Answers About Persons with Intellectual Disabilities in the Workplace and the Americans with Disabilities Act; Questions and Answers About Cancer in the Workplace and the Americans with Disabilities Act.

#### **Regional or Local Office:**

See Regional Agency Offices. See map of field offices available at <http://www.eeoc/field/index.cfm>. EEOC Offices are also listed in Appendix IV

of the Catalog.

#### **Headquarters Office:**

Equal Employment Opportunity Commission 131 M Street, NE, Washington, District of Columbia 20507 Phone: 202-663-4191/202-663-4494(TTY)

#### **Website Address:**

<http://www.eeoc.gov>

#### **RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination\_Title VII of the Civil Rights Act of 1964; 30.008 Employment Discrimination\_Age Discrimination in Employment; 30.010 Employment Discrimination Equal Pay Act; 30.013 Employment Discrimination-Title II of the Genetic Information Nondiscrimination Act of 2008; 93.001 Civil Rights and Privacy Rule Compliance Activities

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **30.013 EMPLOYMENT DISCRIMINATION-TITLE II OF THE GENETIC INFORMATION NONDISCRIMINATION ACT OF 2008**

GINA Title II

#### **FEDERAL AGENCY:**

Equal Employment Opportunity Commission

#### **AUTHORIZATION:**

The Genetic Information Nondiscrimination Act of 2008, Title II, Public Law 110-233, 42 U.S.C 2000ff.

#### **OBJECTIVES:**

Title II of GINA prohibits the use of genetic information in making employment decisions, restricts employers and other entities covered by Title II (employment agencies, labor organizations and joint labor-management training and apprenticeship programs) from requesting, requiring or purchasing genetic information, and strictly limits the disclosure of genetic information. Title II of GINA also prohibits retaliation against applicants or employees for filing a charge of discrimination, participating in a discrimination proceeding (such as a discrimination investigation or lawsuit), or otherwise opposing discrimination. Genetic information includes information about an individual's genetic tests and the genetic tests of an individual's family members, as well as information about the manifestation of a disease or disorder in an individual's family members (i.e. family medical history). Genetic information also includes an individual's request for, or receipt of, genetic services, or the participation in clinical research that includes genetic services by the individual or a family member of the individual, and the genetic information of a fetus carried by an individual or by a pregnant woman who is a family member of the individual and the genetic information of any embryo legally held by the individual or family member using an assisted reproductive technology.

#### **TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Federal Employment; Investigation of Complaints

#### **USES AND USE RESTRICTIONS:**

Individuals are protected from discrimination on the basis of genetic information by employers with 15 or more employees, federal agencies, employment agencies, labor organizations, and joint labor-management training and apprenticeship programs. The EEOC has an assessment tool, available at <https://egov.eeoc.gov/eas/>, to enable individuals to determine whether EEOC is the appropriate agency to contact regarding discrimination, harassment, or retaliation at the hands of a private sector employer or state or local government. Charges of discriminatory employment practices by a private sector employer or a state or local government can be filed by or on behalf of an individual or group of individuals claiming to be aggrieved. Mediation may be offered to the parties involved. If mediation is not used or is not successful, an



investigation may ensure. If, after its investigation, the Commission determines that there is reasonable cause to believe that discrimination has occurred, it will attempt to resolve the charge informally through conciliation. If conciliation proves to be unsuccessful and the employer is not a state or local government, the Commission may bring a civil action against the respondent(s) named in the charge or issue a right to sue letter to the party who filed the charge, giving him or her the right to file a civil action in federal court. If conciliation fails on a charge against a state or local government, EEOC refers the case to the Department of Justice for consideration of litigation or issuance of a right to sue letter. If the Commission does not find reasonable cause, the charging party is issued a right to sue letter.

A federal government applicant or employee who believes that his or her employment rights have been violated on the basis of genetic information and wants to make a claim against a federal agency must file a complaint with that agency and follow the procedures set forth at 29 C.F.R. part 1614.

**Applicant Eligibility:**

Any aggrieved individual, or any individual, labor union, association, legal representative, or organization filing on behalf of an aggrieved individual, who has reason to believe that an unlawful employment practice within the meaning of Title II of GINA has been committed by an employer, federal agency, an employment agency, labor organization, or joint labor-management committee controlling apprenticeship or other training or retraining, or on-the-job training programs.

Any aggrieved individual who believes that he or she has been retaliated against for opposing employment practices that discriminate on the basis of genetic information or who files a charge of discrimination, testifies, or participates in any way in an investigation, proceeding, or litigation under Title II of GINA.

**Beneficiary Eligibility:**

Applicants, current employees, or former employees of the named respondent(s) who have been subjected to employment practices based on genetic information by the named respondent(s), and/or who have been subjected to retaliation for opposing discrimination or participating in a Title II of GINA investigation, proceeding, or litigation.

**Credentials/Documentation:**

A claim of unlawful employment practice(s) may be made in person, by mail, or by fax. An allegation must be in writing, signed, and or notarized when necessary to meet state or local requirements. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from field offices of the Commission. Individuals may also consult EEOCs website at <http://www.eeoc.gov/employees/howtofile.cfm> for detailed information about filing a charge.

Federal government applicants or employees should consult EEOCs website at [http://www.eeoc.gov/federal/fed\\_employees/complaint\\_overview.cfm](http://www.eeoc.gov/federal/fed_employees/complaint_overview.cfm) for details about filing an employment discrimination complaint against a federal agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A charge may be filed by any aggrieved individual, any individual on behalf of an aggrieved individual, or by any organization, i.e., labor union, association, legal representative, etc., either as an aggrieved entity or on behalf of an aggrieved individual. Charges may be filed in person, by mail, or by fax at the nearest field office of the EEOC.

Complaints against the federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written signed statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Title II of GINA requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state or local anti-discrimination law, or within 30 days of receipt of notice of termination of state or local proceedings, whichever is earlier. If the evidence does not establish that discrimination occurred, charging parties will be given written notice of their right to sue. A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from the EEOC. Under Title II of GINA, a charging party also can request a notice of right to sue from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice. When a right to sue letter is issued at the request of the charging party, EEOC usually stops its investigation.

Federal job applicants or employees must generally contact the agency's EEO Counselor within 45 days from the date the discrimination occurred.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not Applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 10 \$367,303,000; FY 11 est \$366,568,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: \$76,460. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available on the EEOC website ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact EEOCs Publication Center at 1-800-669-3362 (voice) or 1-800-800-3302 (TTY). Regulations include 29 CFR 1635: Regulations under the Genetic Information Nondiscrimination Act of 2008 and 29 CFR 1614: Federal Sector Equal Employment Opportunity. There are no enforcement guidances or policy documents discussing Title II of GINA. Technical assistance documents include: Background Information for EEOC Final Rule on Title II of the Genetic Information Nondiscrimination Act of 2008 and Questions and

Answers for Small Businesses: Title II of the Genetic Information Nondiscrimination Act of 2008, both available at <http://www.eeoc.gov/laws/types/genetic.cfm>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Office of Communication and Legislative Affairs 131 M Street, N.E., Washington, District of Columbia 20507 Phone: 202-663-4191/202-663-4494TTY

**Website Address:**

<http://www.eeoc.gov/laws/types/genetic.cfm>

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.005 Employment Discrimination Private Bar Program; 30.008 Employment Discrimination Age Discrimination in Employment; 30.010 Employment Discrimination Equal Pay Act; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**FEDERAL MARITIME COMMISSION**

**33.001 SHIPPING DISPUTE RESOLUTION AND INVESTIGATION OF COMPLAINTS**

**FEDERAL AGENCY:**

Federal Maritime Commission

**AUTHORIZATION:**

Shipping Act of 1984, as amended, 46 U.S.C 40101; Administrative Dispute Resolution Act of 1996, 5 U.S.C 571.

**OBJECTIVES:**

To provide assistance to those engaged in international ocean shipping, including those making household goods shipments. Assistance may include helping locate missing cargo and helping resolve issues with respect to costs or service. To provide a forum for settling disputes between or among carriers, shippers, and ocean transportation intermediaries through the use of various means of alternative dispute resolution. To provide information to passengers seeking reimbursement of payments when dealing with cruise line issues.

**TYPES OF ASSISTANCE:**

Resolution of Disputes

**USES AND USE RESTRICTIONS:**

The Commission considers informal complaints and assists in the development of voluntary settlements. The Commission also may award reparations for financial injury resulting from violations of the Shipping Act of 1984.

**Applicant Eligibility:**

Any person may seek voluntary dispute resolution, and also may pursue reparations to compensate for financial losses upon proving a violation of the Shipping Act of 1984.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

A complaint alleging specific violations of the Shipping Act of 1984 or Commission regulations should be supported by facts sustaining such allegations. For household goods shipments and other cargo issues, submit bills of lading and other contractual documents. For canceled cruises, passengers need to document payments and provide identifying passenger and/or voyage information. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Informal complaints or requests for the mediation or other alternative dispute resolution (ADR) procedures may be submitted to the Commission in an e-mail to [complaints@fmc.gov](mailto:complaints@fmc.gov). To the extent available, all complaints other than cruise complaints should include the following information: Bill of lading/dock receipts/arrival notices/invoices; Description of cargo; Origin; Port of origin (may be the same as origin); Destination; Port of destination (may be the same as destination); Date of shipment or sailing; Name of individual(s) filing complaint (if you are representing a complainant, what is your name and your relationship to the complainant); Company name of complainant(s); Contact information for complainant(s) (and/or representative(s)) include telephone, fax, address including zip code, and email; Name of shipping company or party against whom the complaint is being filed; Contact information for that company or party, (including name(s) of responsible individuals, telephone and fax numbers, address including zip code and email); Description of issue and desired solution. Include as much information as you believe we will need when we contact the other party(s) to the complaint. Explain what you would like to see accomplished - getting cargo released, negotiating a monetary solution, etc. Cruise complaints should include the following information: Ticket/passenger invoice; Date of sailing; Length and nature of cruise; Port of origin; Port of destination; Did you purchase transportation from your home to the port of origin from the cruise line? Did you purchase transportation from the port of destination to your home from the cruise line? Questions regarding these matters may be directed to the Office of Consumer Affairs and Dispute Resolution Services at (202) 523-5807; 1-866-448-9586 (toll free); fax: (202) 275-0059; email: [Complaints@fmc.gov](mailto:Complaints@fmc.gov). A formal complaint, as well as a complaint requesting informal (small claims) adjudication may be submitted pursuant to Section 11 of the Shipping Act of 1984 to the Secretary, Federal Maritime Commission. (See the Commission's Rules of Practice and Procedure at 46 CFR Part 502). Questions regarding those procedures may be directed to the Office of the Secretary, at (202) 523-5725; fax: (202) 523-0014; or email: [Secretary@fmc.gov](mailto:Secretary@fmc.gov). The Federal Maritime Commission is located at: 800 North Capitol Street, N.W., Washington, DC 20573. Visit our website at [www.fmc.gov](http://www.fmc.gov).

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

65-0100-0-1-403.

**Obligations:**

(Salaries) FY 10 \$1,614,000; FY 11 est \$1,775,000; and FY 12 est \$1,940,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, the Commission responded to more than 1750 informal inquiries and complaints. Of those, 532 informal complaints required informal resolution services under the ombuds function. These included 157 complaints about cruise issues, 172 household goods matters, and 203 other matters affecting cargo shipments. In addition, a small number of small claims cases and formal complaints were received for adjudication. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR 502.401 et. seq.; brochure available from Headquarters Office.

**Regional or Local Office:**

See Regional Agency Offices. Federal Maritime Commission Area Representatives: South Florida: Andrew Margolis and Eric Mintz, P. O. Box 813609, Hollywood, FL 33081-3609. Telephone: (954) 963-5362. Fax: (954) 963-5630. E-mail: AMargolis@fmc.gov, EMintz@fmc.gov. Seattle: Michael A. Moneck, The Fabulich Center, Suite 508, 3600 Port of Tacoma Road, Tacoma, WA 98424-1044. Telephone: (253) 922-7622. Fax: (253) 922-7859. E-mail: MMoneck@fmc.gov. New Orleans: Bruce N. Johnson, Sr., P.O. Box 700, Saint Rose, LA 70087-0700. Telephone: (504) 589-6662. Fax: (504) 589-6663. E-mail: BJohnson@fmc.gov. Los Angeles: Oliver E. Clark and Nash D. Asandas, P.O. Box 230, San Pedro, CA 90733-0230. Telephone: (310) 514-4905. Fax: (310) 514-3931. E-mail: OClark@fmc.gov, NAsandas@fmc.gov. New York: Emanuel J. Mingione and Joseph A. Castellano, Bldg. No. 75, Room 205-B, JFK International Airport, Jamaica, NY 11430-1827. Telephone: (718) 553-2228, Fax: (718) 553-2229. E-mail: EMingione@fmc.gov, JCastellano@fmc.gov. Houston: Debra A. Zezima, 650 N. Sam Houston Parkway, #230, Houston, TX 77060-5908. Telephone: (281) 591-6088. Fax: (281) 591-6099. E-mail: DZezima@fmc.gov.

**Headquarters Office:**

Vern W. Hill 800 North Capitol Street, N.W., Washington, District of Columbia 20573 Email: complaints@fmc.gov Phone: 202-523-5807 Fax: 202-275-0059

**Website Address:**

<http://www.fmc.gov>

**RELATED PROGRAMS:**

20.900 Transportation\_Consumer Affairs; 36.001 Fair Competition Counseling and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## GENERAL SERVICES ADMINISTRATION

**39.002 DISPOSAL OF FEDERAL SURPLUS REAL PROPERTY****FEDERAL AGENCY:**

General Services Administration

**AUTHORIZATION:**

Executive Order Public Buildings, Property and Works, Public Law 102-517.

**OBJECTIVES:**

To assist State and local governments, and certain eligible (501(c)(3) tax-exempt status) non-profit organizations with acquiring surplus Federal real property for various public uses that benefit communities.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods

**USES AND USE RESTRICTIONS:**

Based on a determination by GSA of a property's highest and best use, surplus Federal real and related personal property may be conveyed to State and local governments and, in some cases, certain eligible non-profit organizations for various public purposes or uses as allowed by law. These conveyances are called Public Benefit Conveyances (PBC). Under the law, PBCs are completed without monetary consideration or at discounts of up to 100 percent of the fair market value; and, depending on the PBC, the use of the property is restricted for a period of up to 30 years or in perpetuity. Property may be conveyed at a discount of up to 100 percent for Homeless assistance use; if the property is conveyed by deed, it must be used for homeless assistance purposes for 30 years; if it is conveyed by lease or permit the property must be used for a period according to the terms of the lease or permit, which is generally not less than one year. Surplus Federal real property is also conveyed at discounts of up to 100 percent for public park or recreation use (restriction: perpetuity); public health or educational purposes (restriction: 30 years for both); historic monument (restriction:perpetuity); correctional (restriction: perpetuity); law enforcement (restriction: perpetuity); emergency management response use, including fire and rescue services (restriction: perpetuity); self-help housing (restriction: 30 years); port facility use (restriction: perpetuity), wildlife conservation (restriction: perpetuity); public airport (restriction: perpetuity) and public highway use (restriction: none); public airport use (restriction: perpetuity); wildlife conservation (restriction: perpetuity); correctional facility use (restriction: perpetuity), and historic monument use (restriction: perpetuity).

**Applicant Eligibility:**

State and local government agencies are eligible to apply for surplus real property for park, recreation, correctional facility, law enforcement, historic monument, public airport, health, educational, homeless, self help housing, emergency management and port facilities. Eligibility for property for wildlife conservation use, other than for migratory birds, is limited to the States. Tax-supported and nonprofit medical and educational institutions which have been held exempt from taxation under 501(c)(3) of the Internal Revenue Code are also eligible to apply for property for health, educational and homeless use.

**Beneficiary Eligibility:**

General public may apply.

**Credentials/Documentation:**

The applicant must submit an application describing the proposed program of use for the property and evidence of its ability to finance the program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for health and homeless assistance use are submitted to the Department of Health and Human Services (HHS) which requests assignment of the property from GSA; applications for educational use are submitted to the Department of Education which requests assignment of the property from GSA; applications for both park and recreation and historic monument uses are submitted to the National Park Service, Department of the Interior which requests assignment of the property from GSA; applications for correctional and law enforcement uses are submitted to the Office of Justice Programs, Bureau of Justice Assistance, Department of Justice; applications for emergency management response uses are submitted to the Federal Emergency Management Agency, Department of Homeland Security; applications for self-help housing is submitted to the Department of Housing and Urban Development; applications for port facilities are submitted to the Maritime Administration, Department of Transportation; applications for highway use are submitted to the Federal Highway Administration, Department of Transportation; for public airport use and wildlife conservation use, GSA supplies the applications, which are then submitted to the Federal Aviation Administration, Department of Transportation and the Fish and Wildlife Service, Department of the Interior, respectively.

**Award Procedure:**

Typically, the sponsoring agency responsible for reviewing and approving the application makes the award; however, for wildlife conservation and public airport uses, GSA makes the award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 1 to 3 months.

**Appeals:**

From 1 to 15 days.

**Renewals:**

From 60 to 90 days.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

47-0110-0-1-804.

**Obligations:**

(Salaries) FY 10 \$4,882,250; FY 11 est \$6,968,235; and FY 12 est \$6,990,705

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Public benefit conveyances- 26 properties having an actual value of \$22.7 million;. Fiscal Year 2011: Public benefit conveyance- 47 properties having an estimated value of \$30.3 million. Fiscal Year 2012: Public benefit conveyance- 47 properties having an estimated value of \$30.3 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Director, Office of Property Disposal, General Services Administration. Applicant's initial contact should be at the regional level. See the Office of Property Disposal for each Region listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Stinson, 1800 F Street NW, Washington, District of Columbia 20405  
Email: david.stinson@gsa.gov Phone: (202) 208-0324.

**Website Address:**

<http://propertydisposal.gsa.gov/property>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**39.003 DONATION OF FEDERAL SURPLUS PERSONAL PROPERTY**

(Donation Program)

**FEDERAL AGENCY:**

General Services Administration

**AUTHORIZATION:**

Older Americans Act of 1965, 40 U.S.C. 549; Section 213, as amended, Section 502, Public Law 100-77; E.O. 12999, April 17, 1996, Public Law 105-50.

**OBJECTIVES:**

To donate Federal personal property no longer required for Federal use to public agencies and qualifying nonprofit entities in order to maximize the use of Federal property and reduce the cost of State and local government.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods

**USES AND USE RESTRICTIONS:**

Surplus items are used by State and local public agencies for carrying out or promoting one or more public purposes, such as conservation, parks and recreation, education, public health, public safety, economic development and programs for older individuals; by certain nonprofit, tax-exempt activities for public health or educational purposes, including research for such purposes, and for use in programs for older individuals; or by public airports for airport development, operation or maintenance. Federal restrictions require that, at a minimum, all surplus property be placed into use by the donee within 1 year of acquisition and be used at least for 1 year thereafter. Other restrictions, terms and conditions are imposed by GSA and the agencies determining eligibility (shown under Applicant Eligibility, section below) for items with original acquisition value above \$5,000 and for certain commodities, such as vehicles and aircraft. There are restrictions on use during the period of conditional title. Recipients only acquire full, unrestricted title after an established period of time, 12 months, 18 months, 60 months, or in perpetuity, depending on the individual property.

**Applicant Eligibility:**

(a) State participation is contingent upon the acceptance by the General Services Administration (GSA) of a State plan of operation as being in conformance with Public Law 107-217. This State plan must establish a State agency which is responsible for the distribution of Federal surplus personal property to eligible recipients within the State on a fair and equitable basis. Eligible donee categories for the distribution of property through the State Agencies for Surplus Property are defined as: (1) Public agencies which include any (i) State or department, agency, or instrumentality thereof; (ii) political subdivision of the State, including any unit of local government or economic development district, or any department, agency or instrumentality thereof; (iii) instrumentality created by compact or other agreement between State or political subdivisions; (iv) multijurisdictional sub-State district established by or pursuant to State law; and (v) Indian tribe, band, group, pueblo, or community located on a State reservation. Eligibility for public agencies is determined by the State Agency for Surplus Property. (2) Nonprofit, tax-exempt activities such as schools, colleges, universities, public libraries, schools for the mentally challenged or physically challenged, educational radio or TV stations, child care centers, museums, medical institutions, hospitals, clinics, health centers, drug abuse treatment centers, providers of assistance to the homeless, providers of assistance to the impoverished and programs for older individuals. (b) Service educational activities as determined by the Deputy Under Secretary of Defense (L/SCI). (c) Public airports. Eligibility is determined by the Federal Aviation Administration.

**Beneficiary Eligibility:**

State and local public agencies; nonprofit educational or public health institutions or organizations, including providers of assistance to the homeless; nonprofit and public programs for the elderly; educational activities of special interest to the armed services; and public airports.

**Credentials/Documentation:**

Contact appropriate State or Federal agency shown under Applicant Eligibility section of this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact appropriate agency shown under Preapplication Coordination section of this program.

**Award Procedure:**

Upon determination of eligibility, applicant maintains contact with the appropriate agency shown under Preapplication Coordination section of this program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Applicants participating through State agencies for surplus property may appeal a determination of ineligibility through the State agency for review by GSA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Prescribed by agencies shown under Applicant Eligibility section of this program.

**Records:**

Prescribed by agencies shown under Applicant Eligibility section of this program.

**Account Identification:**

47-0110-0-1-804.

**Obligations:**

(Salaries) FY 10 \$12,814,000; FY 11 est \$12,798,000; and FY 12 est \$12,798,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: actual donated amount was \$411 million. Fiscal Year 2011: It is estimated that property with an acquisition cost of \$421 million will be donated. Fiscal Year 2012: It is estimated that property with an acquisition cost of \$421 million will be donated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

41 CFR 102-37, "Donation of Surplus Personal Property," available for purchase from Superintendent of Documents, Government Printing Office, Washington, DC 20402. Pamphlet, "The Federal Surplus Personal Property Donation Program," available from General Services Administration at no charge.

**Regional or Local Office:**

See Regional Agency Offices. Initial contacts (except Service Educational Activities) should be at regional or local level. See Appendix IV of the Catalog for addresses of GSA Federal Acquisition Service Regional Property Division serving the geographical area of interest. Individual units of Service Educational Activities national organizations such as Boy Scout or Girl Scout troops, Boys and Girls Clubs, etc., should contact their regional or national headquarters; Service Educational Activity Schools should contact their sponsoring military service.

**Headquarters Office:**

Sunny Kwa 1275 First Street, N.E., Washington, District of Columbia 20417  
Email: sunny.kwa@gsa.gov Phone: 202-501-1700 Fax: 202-501-1124

**Website Address:**

<http://www.gsa.gov/property>

**RELATED PROGRAMS:**

12.700 Donations/Loans of Obsolete DOD Property; 39.002 Disposal of Federal Surplus Real Property; 39.007 Sale of Federal Surplus Personal Property

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**39.007 SALE OF FEDERAL SURPLUS PERSONAL PROPERTY**

(Sales Program)

**FEDERAL AGENCY:**

General Services Administration

**AUTHORIZATION:**

Public Law 81-152, 63 Stat. 377, 40 U.S.C. 541 et. seq.

**OBJECTIVES:**

To sell personal property no longer needed by the Government in an expeditious, economical and efficient manner and to obtain the maximum net return from sales. General Services Administration conducts the sale of personal property for most of the civil agencies; the Department of Defense handles the sale of its own surplus property.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods

**USES AND USE RESTRICTIONS:**

This program provides individuals, business concerns, and other organizations with the opportunity to enter competitive bids for purchase of a wide variety of personal property whenever it is determined surplus to the needs of the Federal Government and available for sale. Included are vehicles, aircraft, hardware, electronic and medical equipment, furniture, office supplies and equipment, exotic gifts and collectables, and many other items. This program has been expanded offering assets available to the general public via online capabilities. GSA Auctions ([www.gsauctions.gov](http://www.gsauctions.gov)) provides the general public with an Internet website to bid electronically on a wide variety of federal personal property. The website allows GSA to offer assets located across the country to any interested buyer, regardless of location. GSA Auctions provides item descriptions and pictures of items available for sale. Successful bidders can also make payments online. Normally, there are no use restrictions on property purchased from the Government. Other laws may restrict those eligible to participate or place conditions on property.

**Applicant Eligibility:**

Competitive bid sales are open to the general public, however bidders must be at least 18 years of age. Individuals cannot successfully register to bid on items without providing a TIN. A TIN is defined as an individual's Social Security Number (SSN) or business entity's Employer Identification Number (PIN).

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

A credit card is required for all registered users in our online community. Credit

card validation assists in the prevention of fraudulent bidding activity and ensures that bidders are prepared to accept responsibility for their bidding activity and all submitted bids are valid. This card number is recorded but will not be automatically charged if a bidder is the successful bidder of an item. For security reasons and to prevent fraudulent bidding activities, all registered bidders are subject to billing address verification. No P.O. Box address will be accepted unless accompanied by a street address. By entering the credit card information, you are attesting you are an authorized user of the card. It is required that the bidder creates and secures their username and password. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Interested individuals may participate in GSA sales of Federal personal property by visiting the GSA Auctions website at [www.gsaauctions.gov](http://www.gsaauctions.gov), or may visit [www.surplussales.fss.gov](http://www.surplussales.fss.gov) for information on sales not conducted on the internet. Also, information is available at the Federal Asset Sales website at [www.govsales.gov](http://www.govsales.gov).

**Award Procedure:**

Property is awarded to that responsible bidder whose bid, conforming to the invitation, is most advantageous to the Government, price and other factors considered. For internet sales, the successful bidders will be notified by email and must make payment within 2 business days from the date & time the award email notification was sent. Bid results from other sale types may be furnished by U.S. mail notification, via telephone, fax, or at [www.surplussales.fss.gov](http://www.surplussales.fss.gov). It is the bidder's responsibility to follow-up on the status of his/her bid and to ensure that his/her email address and all registration data are kept accurate and up-to-date.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

It is the policy of GSA Auctions to monitor bids and other activity to ensure the proper use of our site. The Government reserves the right to reject any and all bids. Bids can be rejected for any reason, especially those containing inaccurate, incomplete or unverifiable information, or information which is deemed to have been given in bad faith. Indebted bidders will be ineligible for contract awards. Bidders will not be able to bid on items specified on GSA Auctions until all debts have been cleared, and will not be awarded items when participating in other methods of sale, such as sealed bid or fixed price.

**Appeals:**

Disputes, claims and/or refunds request are not a frequent issues at GSA. Contracts resulting from the sale of any offer, and particularly GSA Auctions are subject to the Contract Disputes Act of 1978 (41 U.S.C. 601-613). A claim or request for refund must be substantiated in writing to the Contracting Officer for issues regarding mis-described property, missing property and voluntary defaults.

**Renewals:**

If at any time, a participant's information changes, it is their responsibility to update the appropriate information with GSA and in GSA Auctions.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

47-4530-0-4-804.

**Obligations:**

(Salaries) FY 10 \$29,515,000; FY 11 est \$17,869,000; and FY 12 est \$26,152,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: actual proceeds was \$252 million. Fiscal Year 2011: The estimated gross proceeds is \$138 million. Fiscal Year 2012: The estimated gross proceeds is \$140 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

41 CFR 101-45, Sale, Abandonment, or Destruction of Personal Property. FMR 102-38, Sale of Personal Property. FMR 102-39, Replacement of Personal Property Pursuant to the Exchange/Sale Authority. Pamphlet "For Public Sale! Used Federal Government Personal Property."

**Regional or Local Office:**

See Regional Agency Offices. Federal Acquisition Service, General Services Administration, (select address from Appendix IV of the Catalog for the GSA Federal Acquisition Services, Office of Personal Property Management Sales Program Division which serves the geographical area of interest); or DLA Disposition Services (for Department of Defense surplus property), National Sales Office, 74 Washington Ave. North, Battle Creek, MI 49017-3092. Internet: <http://www.gsa.gov>.

**Headquarters Office:**

Sunny Kwa, 1275 First Street, N.E., Washington, District of Columbia 20417  
Email: [sunny.kwa@gsa.gov](mailto:sunny.kwa@gsa.gov) Phone: (202) 501-1700 Fax: (202) 501-1124.

**Website Address:**

<http://www.gsa.gov> ; [www.gsaauctions.gov](http://www.gsaauctions.gov); and [www.govsales.gov](http://www.govsales.gov).

**RELATED PROGRAMS:**

12.700 Donations/Loans of Obsolete DOD Property; 39.003 Donation of Federal Surplus Personal Property

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**NATIONAL AERONAUTICS AND SPACE ADMINISTRATION**

**43.001 SCIENCE**

Science

**FEDERAL AGENCY:**

National Aeronautics and Space Administration

**AUTHORIZATION:**

Aeronautics and Space Act of 1958.

**OBJECTIVES:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Science.

Science funds (Treasury Account Symbol = 80 0120-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use; Direct Payments for Specified Use (Cooperative Agreements); Project Grants; Project Grants (Capacity Building and Complaint Processing, Training); Project Grants (Cooperative Agreements); Project Grants (Discretionary); Project Grants (Fellowships); Project Grants (for collaborative design of curriculum, production of; Project

Grants (for specified projects); Project Grants (including individual awards); Project Grants (including travel grants); Training; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Science.

Science funds (Treasury Account Symbol = 80 0120) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. Basic Research, Educational Outreach, or Training Opportunities in the area of Science.

Science funds (Treasury Account Symbol = 80 0120) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. 85 Percent.

**Applicant Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Science.

Science funds (Treasury Account Symbol = 80 0120) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Beneficiary Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Science.

Science funds (Treasury Account Symbol = 80 0120) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Credentials/Documentation:**

Financial Assistance Use of Universal Identifier (DUNS) & Central Contractor Registration (CCR). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. (1) Broad Agency Announcements (Competitive) (2) Unsolicited Proposals (Non-Competitive) (3) Single-Recipient (Non-Competitive)

**Award Procedure:**

- 1) Broad Agency Announcements (Competitive)
- (2) Unsolicited Proposals (Non-Competitive)
- (3) Single-Recipient (Non-Competitive).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, up to three years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. SF-425. Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. SF-425. The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. OMB Circular No. A-133

**Records:**

No Data Available.

**Account Identification:**

80-0120-0-1-252 - Science.

**Obligations:**

(Salaries) FY 09 \$0; FY 10 est \$0; and FY 11 est \$10,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General and Special Conditions (Award Terms)  
OMB Circulars  
NASA Grant & Cooperative Agreement Handbook

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

R. Todd Lacks, 300 E Street, SW, Mail Stop: LH010, Washington, District of Columbia 20546 Email: todd.lacks@nasa.gov Phone: (202) 358-0799 Fax: (202) 358-3082.

**Website Address:**

<http://www.nasa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals for award may include: (1) cost of the project, (2) qualifications of principal investigator and institution, (3) relevance to Agency program objectives and uses, and/or (4) technical and/or scientific merit.

**43.002 AERONAUTICS**

Aeronautics

**FEDERAL AGENCY:**

National Aeronautics and Space Administration

**AUTHORIZATION:**

Aeronautics and Space Act of 1958.

**OBJECTIVES:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Aeronautics.

Aeronautics funds (Treasury Account Symbol = 80-0126-0-1-402) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Aeronautics.

Aeronautics funds (Treasury Account Symbol = 80-0126-0-1-402) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. Basic Research, Educational Outreach, or Training Opportunities in the area of Aeronautics.

Aeronautics funds (Treasury Account Symbol = 80-0126-0-1-402) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. 85 Percent.

**Applicant Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Aeronautics.

Aeronautics funds (Treasury Account Symbol = 80-0126-0-1-402) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Beneficiary Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Aeronautics.

Aeronautics funds (Treasury Account Symbol = 80-0126-0-1-402) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Credentials/Documentation:**

Financial Assistance Use of Universal Identifier (DUNS) & Central Contractor Registration (CCR). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. (1) Broad Agency Announcements (Competitive)  
(2) Unsolicited Proposals (Non-Competitive)  
(3) Single-Recipient (Non-Competitive)

**Award Procedure:**

(1) Broad Agency Announcements (Competitive)  
(2) Unsolicited Proposals (Non-Competitive)  
(3) Single-Recipient (Non-Competitive).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, up to three years. Method of awarding/releasing assistance: by letter

of credit.

**Reports:**

Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. SF-425. Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. SF-425. The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. OMB Circular No. A-133

**Records:**

No Data Available.

**Account Identification:**

80-0126-0-1-402 - Aeronautics.

**Obligations:**

(Salaries) FY 09 \$0; FY 10 est \$0; and FY 11 est \$10,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General and Special Conditions (Award Terms)  
OMB Circulars  
NASA Grant & Cooperative Agreement Handbook

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

R. Todd Lacks, 300 E Street, SW, Mail Stop: LH010, Washington, District of Columbia 20546 Email: todd.lacks@nasa.gov Phone: (202) 358-0799 Fax: (202) 358-3082.

**Website Address:**

<http://www.nasa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals for award may include: (1) cost of the project, (2) qualifications of principal investigator and institution, (3) relevance to Agency program objectives and uses, and/or (4) technical and/or scientific merit.

**43.003 EXPLORATION**

Exploration

**FEDERAL AGENCY:**

National Aeronautics and Space Administration

**AUTHORIZATION:**

Aeronautics and Space Act of 1958.

**OBJECTIVES:**



Basic Research, Educational Outreach, or Training Opportunities in the area of Exploration.

Exploration funds (Treasury Account Symbol = 80 0124) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use; Direct Payments for Specified Use (Cooperative Agreements); Dissemination of Technical Information; Project Grants; Project Grants (Cooperative Agreements or Contracts); Project Grants (Cooperative Agreements); Project Grants (Discretionary); Project Grants (Fellowships); Project Grants (for specified projects); Project Grants (including individual awards); Project Grants (including travel grants); Provision of Specialized Services; Training; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Exploration.

Exploration funds (Treasury Account Symbol = 80 0124) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. Basic Research, Educational Outreach, or Training Opportunities in the area of Exploration.

Exploration funds (Treasury Account Symbol = 80-0124-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. 85 Percent.

**Applicant Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Exploration.

Exploration funds (Treasury Account Symbol = 80 0124) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Beneficiary Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Exploration.

Exploration funds (Treasury Account Symbol = 80 0124) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Credentials/Documentation:**

Financial Assistance Use of Universal Identifier (DUNS) & Central Contractor Registration (CCR). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. (1) Broad Agency Announcements (Competitive) (2) Unsolicited Proposals (Non-Competitive) (3) Single-Recipient (Non-Competitive)

**Award Procedure:**

(1) Broad Agency Announcements (Competitive) (2) Unsolicited Proposals (Non-Competitive) (3) Single-Recipient (Non-Competitive).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, up to three years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. Standard Form (SF) 425. Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. Standard Form (SF) 425. The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

80-0124-0-1-252 - Exploration.

**Obligations:**

(Salaries) FY 09 \$0; FY 10 est \$0; and FY 11 est \$10,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General and Special Terms and Conditions (Award Terms) OMB Circulars; NASA Grant & Cooperative Agreement Handbook

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

R. Todd Lacks, 300 E Street, SW, Mail Code: LH010, Washington, District of Columbia 20546 Email: todd.lacks@nasa.gov Phone: (202) 358-0799 Fax: (202) 358-3082.

**Website Address:**

<http://www.nasa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals for award may include: (1) cost of the project, (2) qualifications of principal investigator and institution, (3) relevance to

Agency program objectives and uses, and/or (4) technical and/or scientific merit.

### **43.007 SPACE OPERATIONS**

Space Operations

#### **FEDERAL AGENCY:**

National Aeronautics and Space Administration

#### **AUTHORIZATION:**

Aeronautics and Space Act of 1958.

#### **OBJECTIVES:**

Basic Research, Educational Outreach, and Training Opportunities in the area of Space Operations.

Space Operations funds (Treasury Account Symbol = 80-0115-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements; Cooperative Agreements (Discretionary Grants); Project Grants; Project Grants (Cooperative Agreements or Contracts); Project Grants (Cooperative Agreements); Project Grants (Discretionary); Project Grants (Fellowships); Project Grants (for collaborative design of curriculum, production of; Project Grants (for specified projects); Project Grants (including individual awards); Project Grants (including travel grants)

#### **USES AND USE RESTRICTIONS:**

Basic Research, Educational Outreach, and Training Opportunities in the area of Space Operations.

Space Operations funds (Treasury Account Symbol = 80-0115-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. Financial Assistance Use of Universal Identifier (DUNS) & Central Contractor Registration (CCR). 85 Percent.

#### **Applicant Eligibility:**

Basic Research, Educational Outreach, and Training Opportunities in the area of Space Operations.

Space Operations funds (Treasury Account Symbol = 80-0115-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

#### **Beneficiary Eligibility:**

Basic Research, Educational Outreach, and Training Opportunities in the area of Space Operations.

Space Operations funds (Treasury Account Symbol = 80-0115-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. (1) Broad Agency Announcements (Competitive) (2) Unsolicited Proposals (Non-Competitive) (3) Single-Recipient (Non-Competitive)

#### **Award Procedure:**

(1) Broad Agency Announcements (Competitive)  
(2) Unsolicited Proposals (Non-Competitive)  
(3) Single-Recipient (Non-Competitive).

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

From 30 to 60 days.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Generally, up to three years. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. Standard Form (SF) 425. Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. Standard Form (SF) 425. The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

No Data Available.

#### **Account Identification:**

80-0115-0-1-252 - Space Operations.

#### **Obligations:**

(Salaries) FY 09 \$0; FY 10 est \$0; and FY 11 est \$10,000,000

#### **Range and Average of Financial Assistance:**

No Data Available.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

General and Special Conditions (Award Terms)  
OMB Circulars  
NASA Grant & Cooperative Agreement Handbook

#### **Regional or Local Office:**

See Regional Agency Offices.

#### **Headquarters Office:**

R. Todd Lacks, 300 E Street, SW, Mail Stop: LH010, Washington, District of Columbia 20546 Email: todd.lacks@nasa.gov Phone: (202) 358-0799 Fax: (202) 358-3082.

#### **Website Address:**

<http://www.nasa.gov>

#### **RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals for award may include: (1) cost of the project, (2) qualifications of principal investigator and institution, (3) relevance to Agency program objectives and uses, and/or (4) technical and/or scientific merit.

**43.008 EDUCATION**

Education

**FEDERAL AGENCY:**

National Aeronautics and Space Administration

**AUTHORIZATION:**

Aeronautics and Space Act of 1958.

**OBJECTIVES:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Education. Education funds (Treasury Account Symbol = 80-0128-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Cooperative Agreements (Discretionary Grants); Project Grants; Project Grants (Contracts); Project Grants (Cooperative Agreements or Contracts); Project Grants (Cooperative Agreements); Project Grants (Discretionary); Project Grants (Fellowships); Project Grants (for specified projects); Project Grants (including individual awards); Project Grants (including travel grants)

**USES AND USE RESTRICTIONS:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Education. Education funds (Treasury Account Symbol = 80-0128-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. Basic Research, Educational Outreach, or Training Opportunities in the area of Education. Education funds (Treasury Account Symbol = 80-0128-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. 85 Percent.

**Applicant Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Education. Education funds (Treasury Account Symbol = 80-0128-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Beneficiary Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Education. Education funds (Treasury Account Symbol = 80-0128-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Credentials/Documentation:**

Financial Assistance Use of Universal Identifier (DUNS) & Central Contractor Registration (CCR). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. (1) Broad Agency Announcements (Competitive) (2) Unsolicited Proposals (Non-Competitive) (3) Single-Recipient (Non-Competitive)

**Award Procedure:**

(1) Broad Agency Announcements (Competitive)  
(2) Unsolicited Proposals (Non-Competitive)  
(3) Single-Recipient (Non-Competitive).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, up to three years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. Standard Form (SF) 425. Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. Standard Form (SF) 425. The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

80-0128-0-1-252 - Education.

**Obligations:**

(Salaries) FY 09 \$0; FY 10 est \$0; and FY 11 est \$10,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General and Special Conditions (Award Terms)  
OMB Circulars  
NASA Grant & Cooperative Agreement Handbook

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

R. Todd Lacks, 300 E Street, SW, Mail Stop: LH010, Washington, District of Columbia 20546 Email: todd.lacks@nasa.gov Phone: (202) 358-0799 Fax: (202) 358-3082.

**Website Address:**

<http://www.nasa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals for award may include: (1) cost of the project, (2) qualifications of principal investigator and institution, (3) relevance to Agency program objectives and uses, and/or (4) technical and/or scientific merit.

**43.009 CROSS AGENCY SUPPORT**

Cross Agency Support

**FEDERAL AGENCY:**

National Aeronautics and Space Administration

**AUTHORIZATION:**

Aeronautics and Space Act of 1958.

**OBJECTIVES:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Cross Agency Support (CAS). Cross Agency Support. (CAS) funds (Treasury Account Symbol = 80-0122-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Cooperative Agreements (Discretionary Grants); Project Grants; Project Grants (Contracts); Project Grants (Cooperative Agreements or Contracts); Project Grants (Cooperative Agreements); Project Grants (Discretionary); Project Grants (Fellowships); Project Grants (for collaborative design of curriculum, production of; Project Grants (for specified projects); Project Grants (including individual awards); Project Grants (including travel grants)

**USES AND USE RESTRICTIONS:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Cross Agency Support (CAS). Cross Agency Support. (CAS) funds (Treasury Account Symbol = 80-0122-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. Basic Research, Educational Outreach, or Training Opportunities in the area of Cross Agency Support (CAS). Cross Agency Support. (CAS) funds (Treasury Account Symbol = 80-0122-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. 85 Percent.

**Applicant Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Cross Agency Support (CAS). Cross Agency Support. (CAS) funds (Treasury Account Symbol = 80-0122-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Beneficiary Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Cross Agency Support (CAS). Cross Agency Support. (CAS) funds (Treasury Account Symbol = 80-0122-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. (1) Broad Agency Announcements (Competitive) (2) Unsolicited Proposals (Non-Competitive)

(3) Single-Recipient (Non-Competitive)

**Award Procedure:**

- (1) Broad Agency Announcements (Competitive)
- (2) Unsolicited Proposals (Non-Competitive)
- (3) Single-Recipient (Non-Competitive).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, up to three years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. Standard Form (SF) 425. Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. Standard Form (SF) 425. in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

80-0122-0-1-252 - Cross Agency Support.

**Obligations:**

(Salaries) FY 09 \$0; FY 10 est \$0; and FY 11 est \$1,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General and Special Conditions (Award Terms)  
OMB Circulars  
NASA Grant & Cooperative Agreement Handbook

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

R. Todd Lacks, 300 E Street, SW, Mail Stop: LH010, Washington, District of

Columbia 20546 Email: todd.lacks@nasa.gov Phone: (202) 358-0799 Fax: (202) 358-3082.

**Website Address:**

http://www.nasa.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals for award may include: (1) cost of the project, (2) qualifications of principal investigator and institution, (3) relevance to Agency program objectives and uses, and/or (4) technical and/or scientific merit.

**43.010 CONSTRUCTION & ENVIRONMENTAL COMPLIANCE & REMEDIATION**

Construction & Environmental Compliance & Remediation

**FEDERAL AGENCY:**

National Aeronautics and Space Administration

**AUTHORIZATION:**

Aeronautics and Space Act of 1958.

**OBJECTIVES:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Construction & Environmental Compliance & Remediation.

Construction & Environmental Compliance & Remediation funds (Treasury Account Symbol = 80-0130-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Cooperative Agreements (Discretionary Grants); Project Grants; Project Grants (Contracts); Project Grants (Cooperative Agreements or Contracts); Project Grants (Cooperative Agreements); Project Grants (Discretionary); Project Grants (Fellowships); Project Grants (for collaborative design of curriculum, production of; Project Grants (for specified projects); Project Grants (including individual awards); Project Grants (including travel grants)

**USES AND USE RESTRICTIONS:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Construction & Environmental Compliance & Remediation.

Construction & Environmental Compliance & Remediation funds (Treasury Account Symbol = 80-0130-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. Basic Research, Educational Outreach, or Training Opportunities in the area of Construction & Environmental Compliance & Remediation.

Construction & Environmental Compliance & Remediation funds (Treasury Account Symbol = 80-0130-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. 85 Percent.

**Applicant Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Construction & Environmental Compliance & Remediation.

Construction & Environmental Compliance & Remediation funds (Treasury Account Symbol = 80-0130-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Beneficiary Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Construction & Environmental Compliance & Remediation.

Construction & Environmental Compliance & Remediation funds (Treasury Account Symbol = 80-0130-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Credentials/Documentation:**

Financial Assistance Use of Universal Identifier (DUNS) & Central Contractor Registration (CCR). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. (1) Broad Agency Announcements (Competitive) (2) Unsolicited Proposals (Non-Competitive) (3) Single-Recipient (Non-Competitive)

**Award Procedure:**

(1) Broad Agency Announcements (Competitive) (2) Unsolicited Proposals (Non-Competitive) (3) Single-Recipient (Non-Competitive).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, up to three years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. Standard Form (SF) 425. Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. Standard Form (SF) 425. The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

80-0130-0-1-252 - Construction & Environmental Compliance & Remediation.

**Obligations:**

(Salaries) FY 09 \$0; FY 10 est \$0; and FY 11 est \$500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General and Special Conditions (Award Terms)

OMB Circulars

NASA Grant & Cooperative Agreement Handbook

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

R. Todd Lacks, 300 E Street, SW, Mail Stop: LH010, Washington, District of Columbia 20546 Email: todd.lacks@nasa.gov Phone: (202) 358-0799 Fax: (202) 358-3082.

**Website Address:**

<http://www.nasa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals for award may include: (1) cost of the project, (2) qualifications of principal investigator and institution, (3) relevance to Agency program objectives and uses, and/or (4) technical and/or scientific merit.

**43.011 OFFICE OF INSPECTOR GENERAL**

Office of Inspector General

**FEDERAL AGENCY:**

National Aeronautics and Space Administration

**AUTHORIZATION:**

Aeronautics and Space Act of 1958.

**OBJECTIVES:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Office of Inspector General.

Office of Inspector General funds (Treasury Account Symbol = 80-0109-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Advisory Services on Compliance; Cooperative Agreements; Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use; Direct Payments for Specified Use (Cooperative Agreements); Dissemination of Technical Information; Information; Investigation of Complaints; Investigation of Complaints (Compliance Reviews); Project Grants; Project Grants (Capacity Building and Complaint Processing, Training); Project Grants (Contracts); Project Grants (Cooperative Agreements or Contracts); Project Grants (Cooperative Agreements); Project Grants (Discretionary); Project Grants (Fellowships); Project Grants (for collaborative design of curriculum, production of; Project Grants (for specified projects); Project Grants (including individual awards); Project Grants (including travel grants); Project Grants (Special); Provision of Specialized Services; Resolution of Disputes; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Office of Inspector General.

Office of Inspector General funds (Treasury Account Symbol = 80-0109-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. Basic Research, Educational Outreach, or Training Opportunities in the area of Office of Inspector General.

Office of Inspector General funds (Treasury Account Symbol = 80-0109-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities. 85 Percent.

**Applicant Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Office of Inspector General.

Office of Inspector General funds (Treasury Account Symbol = 80-0109-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Beneficiary Eligibility:**

Basic Research, Educational Outreach, or Training Opportunities in the area of Office of Inspector General.

Office of Inspector General funds (Treasury Account Symbol = 80-0109-0-1-252) will be used to fund NASA Federal Financial Assistance awards with institutions of higher education and/or other non-profit entities.

**Credentials/Documentation:**

Financial Assistance Use of Universal Identifier (DUNS) & Central Contractor Registration (CCR). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. (1) Broad Agency Announcements (Competitive) (2) Unsolicited Proposals (Non-Competitive) (3) Single-Recipient (Non-Competitive)

**Award Procedure:**

(1) Broad Agency Announcements (Competitive) (2) Unsolicited Proposals (Non-Competitive) (3) Single-Recipient (Non-Competitive).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, up to three years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. Standard Form (SF) 425. Annual Progress Reports (Summary of Annual Progress/Metrics); Quarterly Progress Reports (Summary of Quarterly

Progress/Metrics), Summary of Research/Educational Outreach Reports, and FFATA (FSRS) Reports. Standard Form (SF) 425. The requesting office is required to monitor recipient performance for an incremental period in a manner that permits evaluation and review of the effort performed. For example, measurement criteria may include: (1) Meeting specified milestones between beginning and ending dates, (2) Successful completion of significant activities or objectives identified, and/or (3) On-time delivery of reports and other required documentation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

80-0109-0-1-252 - Office of Inspector General.

**Obligations:**

(Salaries) FY 09 \$0; FY 10 est \$0; and FY 11 est \$300,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General and Special Conditions (Award Terms)  
OMB Circulars  
NASA Grant & Cooperative Agreement Handbook

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

R. Todd Lacks, 300 E Street, SW, Mail Stop: LH010, Washington, District of Columbia 20546 Email: todd.lacks@nasa.gov Phone: (202) 358-0799 Fax: (202) 358-3082.

**Website Address:**

<http://www.nasa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals for award may include: (1) cost of the project, (2) qualifications of principal investigator and institution, (3) relevance to Agency program objectives and uses, and/or (4) technical and/or scientific merit.

**FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES**

**45.201 ARTS AND ARTIFACTS INDEMNITY**

**FEDERAL AGENCY:**

Federal Council on the Arts and the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 089-209, 20 U.S.C 971 et seq.; Arts and Artifacts Indemnity Act, Public Law 094-158.

**OBJECTIVES:**

To provide for indemnification against loss or damage for eligible art works, artifacts, and objects (1) when borrowed from abroad for exhibition in the U.S.; (2) when borrowed from the U.S. for exhibition abroad, preferably when there

is an exchange exhibition from a foreign country; (3) when borrowed from the U.S. for exhibition in the U.S. as part of exhibitions from abroad which include foreign-owned objects; and 4) when borrowed from U.S. collections for exhibition in the United States.

**TYPES OF ASSISTANCE:**

INSURANCE

**USES AND USE RESTRICTIONS:**

Certificates of Indemnity will be issued for the following items insuring them against loss or damage: (1) works of art, including tapestries, paintings, sculpture, folk art, graphics, and craft arts; (2) manuscripts, rare documents, books, and other printed or published materials; (3) other artifacts or objects; and (4) photographs, motion pictures, or audio and video tape. Items must be of educational, cultural, historical or scientific value; and their exhibition, in the case of international exhibitions, must be certified by the Department of State to be in the national interest. No indemnity agreement for a single exhibition shall exceed \$1.2 billion for international exhibitions, or \$750 million for domestic exhibitions. Deductible amounts are on a sliding scale based on the value of certificate, as follows: \$15,000 deductible for valuations up to \$2 million; \$25,000 deductible for valuations from \$2 million to \$10 million; \$50,000 deductible for valuations from \$10 million to \$125 million; \$100,000 deductible for exhibitions with valuations from \$125 to \$200 million; \$200,000 deductible for valuations of \$200 million to \$300 million; \$300,000 deductible for valuations of \$300 million to \$400 million; \$400,000 for valuations of \$400 million to \$500 million; and \$500,000 for valuations above \$500 million. The total amount of indemnities that can be outstanding at any one time is \$10 billion for international exhibitions and \$5 billion for domestic exhibitions.

**Applicant Eligibility:**

Federal, State, and local government entities, and nonprofit agencies and institutions may apply.

**Beneficiary Eligibility:**

Federal, State, and local government entities, and nonprofit agencies and institutions will benefit. Audiences of indemnified exhibitions will also benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Prior to applying, potential applicants are encouraged to consult with the Indemnity Administrator, National Endowment for the Arts, Washington, DC 20506-0001. All applicants must consult the Arts and Artifacts Indemnity Guidelines available at [www.arts.gov](http://www.arts.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must obtain guidelines and application instructions from the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov), and apply through Grants.gov.

**Award Procedure:**

The Federal Council on the Arts and the Humanities makes final decisions on all awards based on recommendations from consulting panels of professionals in the field.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The length of time between application and notification is dependent on the scheduling of meetings of the Federal Council on the Arts and the Humanities; approximately 3 months.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for extensions and renewals must compete against new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The time during which Indemnity coverage is in effect varies depending on the schedule of the particular exhibition. See the following for information on how assistance is awarded/released: This program provides indemnification against loss or damage, not grant support.

**Reports:**

Reports of any loss or damage are due at the termination of the indemnity period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Final audits may be made at the discretion of the Federal Council on the Arts and the Humanities for up to 3 years after the termination of the indemnity period.

**Records:**

Applicants are responsible for complete packing, shipping, security and condition reports on all indemnified items. These should be kept for 90 days beyond the end date of the indemnity period.

**Account Identification:**

59-0100-0-1-503.

**Obligations:**

(Insurance) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - The figures in this section relate to claim payments, not obligations.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Thirty-seven certificates of indemnity were issued for 37 exhibitions. Fiscal Year 2011: Forty-two certificates of indemnity have been issued for 42 exhibitions. Fiscal Year 2012: It is anticipated that 45 certificates of indemnity will be issued for 45 exhibitions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and guidelines are available on the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Alice M. Whelihan, National Endowment for the Arts, 1100 Pennsylvania Ave, NW, Washington, District of Columbia 20506 Email: [whelihaa@arts.gov](mailto:whelihaa@arts.gov)  
Phone: (202) 682-5574.

**Website Address:**

[www.arts.gov](http://www.arts.gov).

**RELATED PROGRAMS:**

45.024 Promotion of the Arts\_Grants to Organizations and Individuals

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Indemnified exhibitions were listed on the Web site at [www.arts.gov](http://www.arts.gov). Fiscal Year 2011: Indemnified exhibitions are listed on the Web site at [www.arts.gov](http://www.arts.gov). Fiscal Year 2012: Indemnified exhibitions will be listed on the Web site at [www.arts.gov](http://www.arts.gov).

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Indemnity Administrator.

**NATIONAL ENDOWMENT FOR THE ARTS**

**45.024 PROMOTION OF THE ARTS\_GRANTS TO ORGANIZATIONS AND INDIVIDUALS**

**FEDERAL AGENCY:**

National Endowment for the Arts

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 089-209, 20 U.S.C 951 et seq.

**OBJECTIVES:**

To support the creation of art that meets the highest standards of excellence, public engagement with diverse and excellent art, lifelong learning in the arts, the strengthening of communities through the arts, and increased public knowledge and understanding about the contributions of the arts.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The NEA's grants support projects that include: opportunities for artists to create, refine, perform, and exhibit their work; the presentation of artistic works of all cultures and periods; opportunities for arts organizations and artists to expand and diversify their audiences; innovative uses of new models or technology to create work or engage audiences; the preservation of significant works of art and cultural traditions; innovative creative placemaking that contributes to community livability; opportunities for individuals to experience and participate in a wide range of art forms and activities; opportunities to enhance the effectiveness of arts organizations and artists; development, production and national distribution of innovative media projects about the arts and of media projects that can be considered art; standards-based arts education activities for K-12 students; lifelong learning in the arts for individuals of all ages; professional development for artists and arts-related educators; the recognition of artists for their contributions to our nation's artistic heritage; partnerships with other government agencies and foundations to carry out quality projects or initiatives of mutual interest including international cultural exchange; other activities that acquaint foreign artists and cultural officials with the best of American culture; research that analyzes the value and impact of the arts in the United States; and NEA initiatives intended to address special needs or opportunities.

Consult the current funding opportunities, guidelines, or program announcements for the area of interest for complete information (see [www.arts.gov](http://www.arts.gov)). Grant funds must be used for the purposes outlined in the relevant guidelines or program announcement, and in accordance with the National Endowment for the Arts General Terms and Conditions for Grants and Cooperative Agreements. All of the funds under "Promotion of the Arts - Grants to Organizations and Individuals" are discretionary.

**Applicant Eligibility:**

Tax-exempt organizations meeting the following conditions may apply: (1) No part of any earnings may benefit a private stockholder or individual, and (2) donations to the organization are allowable as charitable deductions under Section 170(c) of the Internal Revenue Code. Examples of eligible organizations are arts institutions, arts service organizations, local arts agencies, official units of state and local governments, federally recognized tribal communities and Indian tribes. Generally, an organization may submit only one application for a single project under one of the category deadlines; must have a three-year history of programming prior to the application deadline; and must have submitted acceptable final reports by the due date for all Arts Endowment grants previously received. Individuals must be U.S. citizens or permanent residents and, according to 20 U.S.C. 954 (c ), must demonstrate exceptional talent. Currently, the only individuals eligible to apply directly are published creative writers and translators. Certain master artists who have made extraordinary contributions to the arts in the United States are eligible for honorary fellowships awarded on the basis of nominations. See respective funding opportunities, guidelines, or program announcements for further information.

**Beneficiary Eligibility:**

Nonprofit organizations, state and local governments, local arts agencies, local education agencies (school districts), federally recognized tribal communities and Indian tribes, literary artists, and master artists. Through activities and services supported, beneficiaries include artists and the general public.

**Credentials/Documentation:**

Applicants should review relevant funding opportunities, guidelines, or program announcements at [www.arts.gov](http://www.arts.gov) for full requirements.



For individuals, Literature fellowship applicants must be published writers. Nominators of candidates for NEA honorary fellowships for master artists must document the candidate's significant contribution to the applicable art form.

For institutions of higher education, allowable costs will be determined according to OMB Circular No. A-21; for other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-122. For local and state governments: OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants should consult current funding opportunities, guidelines, or program announcements for the funding area under which they intend to apply. Relevant items are available on the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must obtain current Arts Endowment funding opportunities, guidelines, or program announcements (available at [www.arts.gov](http://www.arts.gov)). Applicants must adhere to instructions, and must submit their applications through [Grants.gov](http://Grants.gov).

**Award Procedure:**

Applications generally receive three independent levels of review. First, they are reviewed by independent, national panels of artists and other arts experts. Panel recommendations are forwarded to the National Council on the Arts, which then makes recommendations to the Chairman of the National Endowment for the Arts. The Chairman reviews the Council's recommendations and makes the final decision on all awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range of approval/disapproval time varies by funding category. Dependent on deadline dates and meetings of the National Council on the Arts. Details can be found in the funding opportunities, guidelines, and program announcements available at [www.arts.gov](http://www.arts.gov).

**Appeals:**

Information on requests for reconsideration may be obtained from the headquarters office.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Grant awards to organizations generally must be matched at least 1:1. Awards to individuals do not require a match. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of time the assistance is available and money awarded can be spent varies according to project or grant category. Most grants have a one-year period of support; some extend longer. See the following for information on how assistance is awarded/released: Grantees must submit a request for payment to cover immediate allowable project expenses. Generally, these requests for payment may be submitted at any time during the period of support.

**Reports:**

Most grantees must submit a Final Descriptive Report no later than 90 days following the end of the grant period. No reports are required from recipients of NEA honorary fellowships for master artists. No cash reports are required. All organizational grantees must submit a Progress Report at the point that the request for payment exceeds two-thirds of the total grant amount. All organizational grantees are required to submit a Final Federal Financial Report no later than 90 days following the end of the grant period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. No audits are required for Arts Endowment awardees who are individuals.

**Records:**

Award-related records must be retained by the grantee for 3 years following submission of the Final Federal Financial Report.

**Account Identification:**

59-0100-0-1-503.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$79,902,879; FY 11 est \$79,937,791; and FY 12 est \$69,280,500 - FY 2010 figures include \$79,630,757 for the NEA's regular grants and \$272,122 in Recovery Act funding. The FY 2011 and 2012 figures above are for regular grants only. The FY 2012 figure is based on the FY 2012 budget request. Each year's regular grant figures include funds for the Challenge America: Reaching Every Community initiative. FY 2010 figures also include funds for American Masterpieces, which was phased out for 2011. FY 2011 and 2012 figures include funds for the Our Town initiative.

**Range and Average of Financial Assistance:**

Most of the Arts Endowment's regular grants range from \$10,000 to \$100,000. Grants of \$100,000 or more are made only in rare instances, and only for projects that the Arts Endowment determines demonstrate exceptional national or regional significance and impact. In the past few years, well over half of the Agency's grants have been for amounts less than \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Arts Endowment received more than 6,000 applications and made more than 2,700 awards in all 50 States and six special jurisdictions for a broad variety of arts projects. (Eight grants were awarded using Recovery Act funds.). Fiscal Year 2011: The Arts Endowment anticipates receiving approximately 6,000 applications and making more than 2,400 awards in all 50 States and six special jurisdictions for a broad variety of arts projects. Fiscal Year 2012: The Arts Endowment anticipates receiving approximately 6,000 applications and making more than 2,000 awards in all 50 States and six special jurisdictions for a broad variety of arts projects (figures based on the FY 2012 budget request).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Visit the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov) for funding opportunities, guidelines, or program announcements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patrice Walker Powell 1100 Pennsylvania Ave, NW, Washington, District of Columbia 20506 Phone: 202-682-5441

**Website Address:**

[www.arts.gov](http://www.arts.gov).

**RELATED PROGRAMS:**

45.025 Promotion of the Arts Partnership Agreements; 45.201 Arts and Artifacts Indemnity

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Listings for 2010 are posted on [www.arts.gov](http://www.arts.gov). Examples include: 1) the creation and performance of a dance theater work; 2) a chamber music series; 3) a series of community design workshops aimed at neighborhood revitalization; 4) an after-school artist residency; 5) a curated film and video series; 6) a folk & traditional arts festival; 7) the commissioning of a new American play; and 8) a museum special exhibition and accompanying catalogue. Fiscal Year 2011: Listings for FY 2011 are posted on [www.arts.gov](http://www.arts.gov) once grants are obligated. Fiscal Year 2012: Listings for FY 2012 will be posted on [www.arts.gov](http://www.arts.gov) once grants are obligated.

## **CRITERIA FOR SELECTING PROPOSALS:**

The primary criteria by which all applications are assessed are artistic excellence and artistic merit. For additional criteria, consult respective funding opportunities, guidelines, or program announcements available at [www.arts.gov](http://www.arts.gov).

## **45.025 PROMOTION OF THE ARTS\_PARTNERSHIP AGREEMENTS**

### **FEDERAL AGENCY:**

National Endowment for the Arts

### **AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 089-209, 20 U.S.C 951 et seq.

### **OBJECTIVES:**

To develop and maintain partnerships with the state and jurisdictional arts agencies (SAAs) and their regional arts organizations (RAOs) to advance the mission of the National Endowment for the Arts.

### **TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Partnership Agreements support elements of a state or regional plan addressing state or regional priorities that: 1) enhance opportunities for the creation of art that meets the highest standards of excellence; 2) foster public engagement with excellent art; 3) provide Americans of all ages with arts learning opportunities; 4) incorporate the arts and design into strategies to improve the livability of communities; and 5) increase public knowledge and understanding of the various ways the arts contribute to positive outcomes for individuals and communities. Limited Partnership funds also are available for national services provided by membership organizations of SAAs and RAOs. Partnership Agreement funds must be used to supplement and not to supplant non-Federal funds.

### **Applicant Eligibility:**

Agencies that are officially designated as the state arts agency by its state government in each of the 50 States and six special U.S. jurisdictions, and that meet the NEA eligibility requirements for SAAs as outlined in the Partnership Agreements guidelines on the NEA's Web site; regional arts organizations that represent state arts agencies and that meet the NEA eligibility requirements for RAOs as outlined in the Partnership Agreements guidelines on the NEA's Web site; and organizations providing support services to state and regional arts agencies at a national level.

### **Beneficiary Eligibility:**

The official arts agencies of the 50 states and six U.S. jurisdictions, regional arts organizations, and organizations providing support services to SAAs and RAOs at the national level. Through activities and services supported, beneficiaries include local arts agencies, nonprofit organizations, artists, and the general public.

### **Credentials/Documentation:**

The State Partnership Agreement requires that the agency be legally designated as the official state arts agency and that it meet all NEA eligibility requirements. The Regional Partnership Agreement stipulates that the regional organization must be authorized by three or more state arts agencies to apply for funds on their behalf and that it meet all NEA eligibility requirements. An SAA can belong to only one RAO. OMB Circular No. A-122 applies to this program. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Applicants should consult the Partnership Agreements guidelines (available at [www.arts.gov](http://www.arts.gov)). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must obtain current Partnership Agreements

guidelines at [www.arts.gov](http://www.arts.gov) and adhere to instructions. Applications must be submitted through [Grants.gov](http://Grants.gov).

### **Award Procedure:**

Applications receive three independent levels of review. First, they are reviewed by an independent, national panel of individuals with expertise in the arts and the state and regional arts agency field. Panel recommendations are forwarded to the National Council on the Arts, which then makes recommendations to the Chairman of the National Endowment for the Arts. The Chairman reviews the Council's recommendations and makes the final decision on all grant awards. Partnership Agreements receive panel review on a three-year cycle -- one-third of the SAAs and RAOs are reviewed each year -- with funding subject to annual recommendation and approval by the Council and the Chairman.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

The Partnership Agreements deadline is generally in late September/early October. Applications are generally reviewed by the National Council on the Arts and approved by the NEA Chairman in late March. See the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov) for specific dates.

### **Appeals:**

Information on requests for reconsideration may be obtained from the headquarters office.

### **Renewals:**

The Arts Endowment uses staggered, multi-year review for Partnership Agreements. Funding is subject to annual review and approval.

### **Formula and Matching Requirements:**

Statutory Formula: Title National Foundation on the Arts and the Humanities Act of 1965, as amended, Part 20 USC 954, Subpart (g), Public Law 089-209. Matching Requirements: Partnership Agreement awards must be matched at least 1:1 with non-federal funds.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Each award is for the full fiscal year or as designated. Partnership Agreement awards support activities scheduled to begin on or after July 1 of the year following the application deadline. See the following for information on how assistance is awarded/released: Generally, requests for payment to cover immediate allowable project expenses may be received at any time during the grant period.

### **Reports:**

For Partnership Agreements, a Final Descriptive Report is due no later than 90 days following the end date of the period of support. No cash reports are required. Progress reports are required for all grants and must be submitted at the time the cumulative amount of grant funds requested exceeds two-thirds of the grant amount. Final Federal Financial Reports are due no later than 90 days following the end date of the period of support. No performance monitoring is required.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Grant-related records are to be retained by grantees for three years following submission of the Final Federal Financial Report.

### **Account Identification:**

59-0100-0-1-503.

### **Obligations:**

(Project Grants (with Formula Distribution)) FY 10 \$58,140,460; FY 11 est

\$52,556,300; and FY 12 est \$46,066,500 - The FY 2010 figure includes \$58,115,460 for the NEA's regular Partnership awards and \$25,000 in Recovery Act funding. The FY 2011 figure is an estimate. The FY 2012 figure is based on the FY 2012 budget request. Funds are allotted in accordance with the NEA's mandate and based on the strength of plans and accomplishments in relation to the review criteria. Funds that strengthen state support of the folk & traditional arts are awarded competitively and generally range from \$20,000 to \$45,000. See the Partnership Agreements guidelines at [www.arts.gov](http://www.arts.gov) for details.

**Range and Average of Financial Assistance:**

FY 2011 Partnership Agreements for SAAs range from \$298,300 to \$1,162,700, averaging approximately \$778,000. The range of RAO awards is \$1,137,000 to \$1,743,700, averaging \$1,467,812.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Arts Endowment made 64 Partnership awards. SAAs and RAOs used their state and federal funds to support a variety of arts projects in communities throughout the nation. Fiscal Year 2011: The Arts Endowment anticipates making 64 Partnership awards to enable SAAs and RAOs to support a variety of arts projects nationwide. Fiscal Year 2012: The Arts Endowment anticipates making 64 Partnership awards to enable SAAs and RAOs to support a variety of arts projects nationwide.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Partnership Agreements guidelines are available on the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Laura A. Scanlan 1100 Pennsylvania Ave, NW, Washington, District of Columbia 20506 Phone: 202-682-5583

**Website Address:**

[www.arts.gov](http://www.arts.gov).

**RELATED PROGRAMS:**

45.024 Promotion of the Arts\_Grants to Organizations and Individuals

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Partnership Agreement activities enable the SAAs and RAOs to support a variety of arts activities nationwide. See the Arts Endowment's Web site for grant listings. Fiscal Year 2011: Partnership Agreements with the SAAs and RAOs continue to enable the support of a variety of arts activities in communities across the nation. Grant listings are posted once grants are obligated. Fiscal Year 2012: Partnership Agreements with the SAAs and RAOs will continue to enable the support of a variety of arts activities in communities across the nation. Grant listings will be posted once grants are obligated.

**CRITERIA FOR SELECTING PROPOSALS:**

For Partnership Agreements: Quality of the planning process; quality of the plan; and quality of implementation and accomplishments in relation to the plan. For additional criteria, consult the Partnership Agreements guidelines.

**NATIONAL ENDOWMENT FOR THE HUMANITIES**

**45.129 PROMOTION OF THE HUMANITIES\_FEDERAL/STATE PARTNERSHIP**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

To promote local, statewide, and regional humanities programming through annual grants to humanities councils in each of the 50 States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Northern Mariana Islands, Guam, and American Samoa. The 56 councils conduct humanities projects and grant programs for local nonprofit organizations, institutions, and groups, and occasionally for individuals. Under the provisions of 20 U.S.C. 956(f)(8), only

one entity in each State may receive assistance from NEH as the State humanities council.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to fund local, statewide, and regional humanities projects, subject to guidelines determined by each State humanities council.

**Applicant Eligibility:**

Nonprofit citizen councils in the several States and territories which conform to the requirements of 20 U.S.C. 956(f). If the State matches a certain percentage of the Federal grant and meets other legislated requirements, the Governor may designate the existing Council as a State agency. The resulting agency becomes an eligible applicant.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government general; minority organizations; other specialized groups; and quasi-public nonprofit institutions which apply directly to the State Humanities Council.

**Credentials/Documentation:**

Submission of an annual compliance plan and a self-assessment every five years from the council. Compliance requirements are outlined in 20 U.S.C. 956(f). Costs will be determined in accordance with OMB Circular No. A-122 as amended for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Filing of a compliance plan is required from all councils annually and a self-assessment every five years

**Award Procedure:**

Compliance plans are reviewed by Federal/State Partnership staff. Self-assessments are reviewed by teams of visiting scholars and other professionals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:**

Jun 01, 2012 June 1 for annual compliance plans. Timetable for submission of self-assessment material is flexible.

**Range of Approval/Disapproval Time:**

> 180 Days. Variable: Six months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: As established by the Congressional funding formula, each State council receives \$200,000 of the definite funds appropriated to Federal/State Partnership. Of the remaining funds, 44 percent is divided equally among the States which have a population of 200,000 or more, 22 percent is allocated to each council on the basis of population, and 34 percent is awarded at the discretion of the Chairman of the agency. Total matching of the grant on a one-to-one basis is required. Source: 20 U.S.C. 956 (f)(4). This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Thirty-six months. Funds must be expended during the grant period. Funds are released as required. Method of awarding/releasing assistance: by letter of

credit.

**Reports:**

Compliance plans are required annually. A cash report is required quarterly. No progress reports are required. An expenditure report is required quarterly and a final expenditure report is due within 90 days after completion or termination of project support by NEH. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. "Audits of Institutions of Higher Education and Other Nonprofit Organizations." have been mandated for the program. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for 3 years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 10 \$49,062,322; FY 11 est \$40,370,000; and FY 12 est \$40,100,000 - FY '10 obligations include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

In FY 2010 the range of assistance was \$301,830 to \$2,080,000. Average was \$741,632.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Support for the programs and operations of 56 state humanities councils made possible high quality state and local humanities projects throughout the nation including, 18,448 reading and discussion programs; 2,543 exhibitions; 6,949 literacy programs; 4,486 speakers bureau presentations; 4,818 teacher institutes and workshops; 5,705 conferences and symposia; 2,243 Chautauqua events; 9,315 media and technology projects; 803 preservation projects; and 4,750 local history projects. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Information about the National Endowment for the Humanities and program guidelines are available online at <http://www.neh.gov/> or upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign). Addresses and phone numbers for the 56 State humanities councils are available from Federal/State Partnership, NEH, Room 603, Washington, DC 20506, and from the NEH web site, <http://www.neh.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Located in each State. Addresses available from National Endowment for the Humanities.

**Headquarters Office:**

Federal/State Partnership, National Endowment for the Humanities, 1100 Pennsylvania Avenue, Room 603, Washington, District of Columbia 20506  
Email: [fedstate@neh.gov](mailto:fedstate@neh.gov) Phone: (202) 606-8254.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.164 Promotion of the Humanities\_Public Programs; 45.168 Promotion of the Humanities\_We the People

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1 The humanities councils in Maryland, California, Washington state, and Illinois launched initiatives that focus on civic discourse and democracy including Practicing Democracy and Searching for Democracy, while the Arizona Humanities Council debuted their Project Civil Discourse focused on fostering civil discourse on difficult, yet important community and national issues.

2 The West Virginia Humanities Council launched their free online encyclopedia, e-WV, providing articles, timelines, photos, maps, and quizzes to web visitors.

3 Many state councils turned their focus to the Sesquicentennial of the Civil War, planning programs, events, and materials that deal with state, regional, and national Civil War events. The Vermont Humanities Council started a weekly e-newsletter, The Civil War Book of Days, detailing what happened during that week 150 years ago; councils such as South Carolina have supported Civil War exhibits; others have held discussions, Speakers Bureau programs, and Chautauqua events all focused on events and people of the Civil War.

4 The councils in Georgia and Illinois partnered with WGBH and the American Experience to bring film screenings and discussion programs about the documentary The Freedom Riders to towns throughout their states. Other councils also held advanced screenings of the film for their constituents.

5 Various state councils provided support to projects focused on Native American themes and issues. Minnesota launched an interactive website called the Bdote Memory Map that explores the Dakota peoples relationship to Minnesota and includes information on the Dakota language as well as places of interest around the Twin Cities area. The Oklahoma Humanities Council provided a grant for a Cherokee Humanities course that explored the tribes beliefs, practices, and behaviors, as well as a grant for an exhibit exploring the Cherokee Female Seminary.

6 The Virginia Foundation for the Humanities continued to use electronic media to initiate discussions through their Backstory with the American History Guys radio call-in show, which features three prominent historians providing perspective on events happening around us every day, and has recently expanded from a monthly to a weekly production schedule. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each State council sets its own guidelines and criteria for assessing proposals, which are widely disseminated within the State. The criteria for State council funding from NEH are established in the National Foundation on the Arts and the Humanities Act of 1965, as amended, 20 U.S.C. Section 950, 956, and by the NEH Federal/State Partnership.

**45.130 PROMOTION OF THE HUMANITIES\_CHALLENGE GRANTS FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

To support educational and cultural institutions and organizations in order to increase their financial stability and to sustain or improve the quality of humanities programs, services, or resources. Normally, institutions requesting an NEH challenge grant must raise three dollars in new donations from nonfederal sources to receive each Federal dollar A special category of challenge grants is designed to help 2-year colleges secure long-term improvements in humanities activities. Two-year colleges, along with Historically Black Colleges and Universities and Tribal Colleges and Universities, are required to raise two times the Federal award in new donations from nonfederal sources.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be applied to a variety of institutional needs which an applicant has demonstrated serve both the humanities and the institution's long-term objectives. The major purpose of an NEH Challenge Grant is to help institutions and organizations attain or sustain a high level of quality in

humanities programs or activities by building long-term capital resources. The most common expenditure of grant and matching funds is the creation or augmentation of endowments. Also possible are direct expenditures such as library acquisitions, technological enhancement, construction and renovation, and other costs clearly attributable to improvements in humanities programs and activities. Funds may not be used directly for general operating support or undergraduate scholarships and prizes or for short-term projects or projects eligible for support from other NEH programs.

**Applicant Eligibility:**

Any public or private U.S. nonprofit institution or organization working wholly or in part within the humanities may apply, including the following: two-year and four-year colleges; universities; museums; historical societies; research libraries; public libraries; advanced study centers; media organizations; university presses; professional societies; or state humanities councils. State and local governments and U.S. Territories are eligible to apply on their own behalf or on behalf of nonprofit institutions, associations or organizations within their jurisdictions. Individuals and public and private elementary and secondary schools or school districts are not eligible to apply.

**Beneficiary Eligibility:**

All applicant organizations and institutions and all users of their humanities resources, programs, or activities.

**Credentials/Documentation:**

. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None required, but preliminary discussion with Endowment staff and the submission of a draft application at least six weeks before the deadline are strongly encouraged. The standard application forms as furnished by the Endowment and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-110. Applications to NEH must be submitted via Grants.gov. Guidelines and application instructions are available online at <http://www.neh.gov/grants/grants.html>.

**Award Procedure:**

Applications are reviewed by administrators of humanities institutions, panels of scholars, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:**

May 02, 2012: Challenge Grants. May 02, 2012 for all challenge grants, except applications made for a special initiative for two-year colleges, which have a February 1, 2012 deadline. Deadlines are receipt deadlines. Write or call the NEH Office of Challenge Grants.

**Range of Approval/Disapproval Time:**

> 180 Days. Seven months (approximately 210 days) after the deadline.

**Appeals:**

None, but applicants may request written reasons for rejection and reapply at the next appropriate deadline with a revised proposal.

**Renewals:**

> 180 Days. Eligibility to apply for a subsequent award begins in the third year after the close of the previous challenge grant.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: All challenge grant funds are matching funds. Grantees must raise three nonfederal dollars for every federal dollar offered, except that Historically Black Colleges and Universities, Tribal Colleges and Universities, and two-year colleges are required to raise two times the Federal award.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

From one to five years. Funds must be expended during the grant period. Funds expended include funds deposited into an income earning account. See the following for information on how assistance is awarded/released: Federal funds up to the amount offered in any year are released as matching amounts are certified to the Endowment and minimum annual matching requirements are met.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Narrative progress reports are required biennially; reports on nonfederal contributions raised and sources of giving are required annually. Final narrative and financial reports are due within 90 days after the grant ending date. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

To be retained by the grantee for three years from the date of submission, with copies to be submitted with gift certifications, of the final narrative and financial reports. Records include financial documentation on all matching gifts and on all expenditures of Federal and matching funds.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 10 \$10,470,531; FY 11 est \$9,500,000; and FY 12 est \$8,750,000 - FY'10 obligations Include additional funding provided by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

Applicants may request up to \$1,000,000 in Federal funds over 4 years. In fiscal year 2010, the largest award offered was \$750,000, the smallest was \$250,000; and the average award was approximately \$470,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 289 applications were received and 47 grants were awarded. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> and upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Challenge Grants, Room 420, National Endowment for the Humanities, Washington, District of Columbia 20506 Email: [challenge@neh.gov](mailto:challenge@neh.gov) Phone: (202) 606-8309.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) American Antiquarian Society (Worcester, MA) \$500,000

federal funds (to match \$1.5 million in nonfederal donations) To support endowment for the Center for Historic American Visual Culture, including salary for a part-time director and a part-time graphic arts cataloger, as well as expenses for conferences, workshops, and seminars. 2) Northwest Indian College (Bellingham, WA) \$ 500,000 federal funds (to match \$ 1,500,000 nonfederal donations) : To support construction, fixtures, furniture, and equipment, as well as endowment and fundraising expenses, for the Coast Salish Institute to enable the college to continue preserving and revitalizing the endangered Coast Salish culture and language. 3) Rutgers University (Newark, NJ): \$ 250,000 federal funds (to match nonfederal donations of \$ 750,000) to support endowment and bridge funds to support two public humanities programs: City Children and Their Cultures (which brings scholars to Newark to discuss a wide range of child-centered topics) and Teachers as scholars (a professional development program for K-12 teachers). Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

To reach decisions about funding, all reviewers of Challenge Grants applications are asked to evaluate the existing and potential quality of an applicant's programs in the humanities, its needs, management, and fund-raising capability. In light of the goals of the Challenge Grants Program, reviewers assess each application in accordance with the following criteria: (1) The significance of existing and planned humanities activities. (2) The appropriateness of institutional resources and plans. (3) The impact of challenge grant funds. (4) The feasibility of fund raising. Applicants for second or subsequent awards must describe and assess the effects of their prior awards.

#### **45.149 PROMOTION OF THE HUMANITIES\_DIVISION OF PRESERVATION AND ACCESS**

##### **FEDERAL AGENCY:**

National Endowment for the Humanities

##### **AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended,, 89 Stat. 209, 20 U.S.C 951.

##### **OBJECTIVES:**

To fund projects that will promote preserving, creating, and providing intellectual access to resources held in libraries, museums, archives, historical organizations, and other collections that are important for research, education, and public programming in the humanities.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Grants support: the digitization, arrangement, description, and preservation of archival collections, still and moving images, and recorded sound collections; the documentation of collections of art and material culture; projects to produce research tools and reference works such as databases and electronic archives, bibliographies, dictionaries, and encyclopedias; professional training in preservation administration and in the care of collections; preventive conservation of humanities collections; the work of regional preservation services; general preservation assessments and special consultations for smaller cultural institutions; research and development projects to develop technical standards, best practices, and tools for preserving and creating access to humanities collections; projects to document endangered languages; and a national program for the digitization of historic U.S. newspapers. Expenses may include salaries and wages, consultant and other contract services, supplies and limited equipment purchases, travel, and per diem.

##### **Applicant Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; and other specialized groups; quasi-public nonprofit institutions.

##### **Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American

organizations; U.S. Territories; non-government-general; minority organizations; and other specialized groups; quasi-public nonprofit institutions.

##### **Credentials/Documentation:**

OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for commercial and nonprofit organizations. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via Grants.gov. Guidelines and application instructions are available online at <http://www.neh.gov/grants/grants.html>.

##### **Award Procedure:**

Applications are evaluated by scholars in the humanities, professionals with expert knowledge of preservation and access methodologies, and administrators of libraries, archives, and museums. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

##### **Deadlines:**

Jul 19, 2012: Humanities Collections and Reference Resources.

##### **Range of Approval/Disapproval Time:**

> 180 Days. Approximately 7 months.

##### **Appeals:**

None, but applicant may reapply with a revised proposal.

##### **Renewals:**

Renewal grants are processed and awarded in competition with and in the same manner as new applications.

##### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Up to 36 months. Funds must be expended during the grant period. Funds are released as required. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

No program reports are required. Cash reports are required quarterly. Progress reports are required semiannually or annually. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH. No performance monitoring is required.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

##### **Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

##### **Account Identification:**

59-0200-0-1-503.

##### **Obligations:**

(Salaries) FY 10 \$22,595,312; FY 11 est \$17,116,000; and FY 12 est

\$15,600,000 - FY'10 obligations Include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

FY 11 from \$6,000 to \$500,000; average \$69,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 749 applications were received and 245 grants awarded.

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants.html> or upon request from National Endowment for the Humanities, Washington, DC 20506. It is also available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Endowment for the Humanities, Division of Preservation and Access 1100 Pennsylvania Avenue, NW, Room 411, Washington, District of Columbia 20506 Email: [preservation@neh.gov](mailto:preservation@neh.gov) Phone: (202) 606-8570.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.164 Promotion of the Humanities\_Public Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: (1) an award to a university to digitize 100,000 pages of historic state newspapers; (2) an award to a historic house museum to explore sustainable strategies for preserving its collections of historic objects, books, and manuscripts; (3) an award to a university to train hundreds of librarians, archivists, and museum specialists in digital preservation; (4) an award to a university to develop and test best practices for preserving analog sound recordings by converting them into digital form; (5) an award to a historical society to conduct a preservation assessment and develop a long-range plan for preserving its library, archival, and material culture collections; (6) an award to a university to digitize an archive of materials on endangered languages in Mexico and Guatemala; (7) an award to university to develop an electronic resource on the Atlantic slave trade. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria used to determine funding priorities include the significance and potential impact of the project, either for creating, preserving, and establishing intellectual access to important humanities resources or for improving the infrastructure for preservation and access activities in the country's academic and cultural institutions; the soundness of the project's methodology, including its adherence to accepted professional and technical standards or practice; the viability, efficiency, and productivity of the project's plan of work; the professional training and experience of the project's staff in relation to the activity for which support is requested; and the appropriateness of the project's budget. Preference is given to projects that provide free, online access to digital materials produced with grant funds.

**45.160 PROMOTION OF THE HUMANITIES\_FELLOWSHIPS AND STIPENDS**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

. Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

Fellowships and Summer Stipends provide support for scholars to undertake full-time independent research and writing in the humanities. Grants are available for 6-to-12-month fellowships and 2 months of summer study. Awards for Faculty programs support research work conducted by faculty at Historically Black Colleges and Universities, Institutions with High Hispanic Enrollment, and Tribal Colleges and Universities for periods of 2 to 12 months.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Fellowships and Summer Stipends: Projects may contribute to scholarly knowledge or to the general public's understanding of the humanities. The proposed study or research may be completed during the grant period or it may be part of a longer project. Supported applications typically result in publication. The Awards for Faculty program assist faculty members as they engage in advanced research in the humanities. These awards are restricted to faculty members at Historically Black Colleges and Universities, Institutions with High Hispanic Enrollment, and Tribal Colleges and Universities as designated by the White House offices charged with the implementation of Executive Orders 12876, 13230, 13021. Applications for planning institutional curricula, for educational research projects, for the creation or performance of works of art, and that lack humanities content or methodology are not eligible.

**Applicant Eligibility:**

All applicants must be U.S. citizens, native residents of U.S. jurisdictions, foreign nationals who have been legal residents in the U.S. or its jurisdictions for at least the three years immediately preceding the application deadline. Fellowships: Faculty members at colleges and universities, individuals affiliated with other institutions, independent scholars, and others who work in the humanities are eligible. Applicants need not have advanced degrees, but they must have completed their formal academic training. Active candidates for degrees and persons seeking support for work leading to degrees are not eligible. Summer Stipends: University and college faculty members must be nominated by their academic institutions. Faculty members with terminating appointments, independent scholars, and nonfaculty college and university staff members are exempt from nomination and may apply directly. Awards for Faculty are offered to full-time faculty members at Historically Black Colleges and Universities, Institutions with High Hispanic Enrollment, and Tribal Colleges and Universities as designated by the White House offices charged with the implementation of Executive Orders 12876, 13230, 13021.

**Beneficiary Eligibility:**

Fellowships and Stipends: College and university faculty and staff, individuals affiliated with institutions other than colleges and universities, and scholars and writers working independently. Awards for Faculty: faculty members at Historically Black Colleges and Universities, Institutions with High Hispanic Enrollment, and Tribal Colleges and Universities.

**Credentials/Documentation:**

. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications to NEH must be submitted via [Grants.gov](http://Grants.gov). Fellowships, Summer Stipends, and Awards for Faculty application materials are available

online at <http://www.neh.gov> and from the headquarters office.

**Award Procedure:**

Applications are reviewed by panels of scholars and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice from the National Council on the Humanities.

**Deadlines:**

May 01, 2012: Fellowships. Deadlines are approximate; interested individuals should check the NEH website for deadlines. Fellowships: Annual receipt deadline of May 1, for projects beginning after January 1 of the following year. Summer Stipends: annual receipt deadline of October 1, for projects beginning after May 1 of the following year. Awards for Faculty: Annual receipt deadline of April 15 for projects beginning after January 1 of the following year.

**Range of Approval/Disapproval Time:**

> 180 Days. Five to seven months.

**Appeals:**

None, but applicant may reapply.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Fellowships are held from 6 to 12 months, with payment in quarterly installments. Summer Stipends are held for 2 consecutive months, with stipends disbursed in one payment. Awards for Faculty may support activities from 2 to 12 months, with payments in quarterly installments. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. A final report is required within 90 days after the end of the tenure period describing the results of the work done during the period of the award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants (Fellowships)) FY 10 \$6,820,220; FY 11 est \$6,240,000; and FY 12 est \$5,513,000 - FY 2010 obligations include additional funding provided by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

Fellowships and Awards for Faculty: An award of \$4,200 per month for a grant period of from 3 to 12 months. Summer Stipends: All awards are \$6,000 for a grant period of 8 weeks.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 2,502 applications were received and 221 grants were awarded. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fellowship, Awards for Faculty, and Summer Stipends guidelines are available online at <http://www.neh.gov/grants/grantsbydivision.html#research>. For assistance, contact the National Endowment for the Humanities, 1100 Pennsylvania Ave., NW., Washington, DC 20506. Available

from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$33.60 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Endowment for the Humanities, Division of Research Programs 1100 Pennsylvania Avenue, Washington, District of Columbia 20506 Email: [fellowships@neh.gov](mailto:fellowships@neh.gov) Phone: (202) 606-8200.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.161 Promotion of the Humanities\_Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Fellowships and Summer Stipends: Theodore Catton, University of Montana, received a 12-month fellowship to conduct research on the history of the fur trade along the border of the United States and Canada. Gregory Aldrete, University of Wisconsin-Green Bay, received an 11-month fellowship to write a history of riots and popular uprisings in ancient Rome; Susan Carlile, California State University-Long Beach, received a 12-month Award for Faculty at Institutions with High Hispanic Enrollment to prepare a biography of eighteenth-century British author Charlotte Lennox; Denise Low, Haskell Indian Nation University, received a 9-month Award for Faculty at Tribal Colleges and Universities to complete an online edition of two, nineteenth-century notebooks kept by seven Cheyenne men in Dodge City, Kansas; Daniel Shealy, University of North Carolina, Charlotte, received a Summer Stipend to examine the professional life of Louisa May Alcott, popular American author during the nineteenth century; and Stephen Knadler, Spelman College, received a Summer Stipend to conduct research on the role of African Americans in the establishment of public health efforts. Fiscal Year 2011: No current data available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Are the criteria based on the cost of the project, qualification of principal investigator and institution, relevance to program's objectives and uses, or merit? Is there an order of priority? If the Code of Federal Regulations is used for this section extract the salient points of interest to an applicant. Do not cite the Code verbatim.

For Fellowships, Summer Stipends: 1) The intellectual significance of the proposed project, including its value to scholars, general audiences in the humanities, or both; 2) the quality or promise of quality of the applicant's work as an interpreter of the humanities; 3) the quality of the conception, definition, organization, and description of the project and the applicant's clarity of expression; 4) the feasibility of the proposed plan of work, including, when appropriate, the soundness of the dissemination and access plans; and, 5) the likelihood that the applicant will complete the project.

Awards to Faculty at Historically Black Colleges and Universities, Institutions with High

Hispanic Enrollment, and Tribal Colleges and Universities: 1) The intellectual significance of the proposed project, including its value to scholars, students, or general audiences in the humanities; 2) the quality or promise of quality of the applicant as a humanities teacher and researcher; 3) the quality of the conception, definition, organization, and description of the project and the clarity of expression in the application; 4) the feasibility of the proposed plan of work, including, when appropriate, the soundness of the dissemination and access plans for the proposed audience or audiences; and 5) the likelihood that the applicant will complete the project.

**45.161 PROMOTION OF THE HUMANITIES\_RESEARCH  
FEDERAL AGENCY:**



National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

To strengthen the intellectual foundations of the humanities through the collaboration of scholars and the support of post-doctoral fellowship programs at independent research institutions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Collaborative Research and Scholarly Editions and Translations grants support up to three years of research. Awards support direct costs, including salaries, travel, supplies, and appropriate research assistance and consultation. Grants also support fellowships offered through independent research centers and institutions.

**Applicant Eligibility:**

For Collaborative Research and Scholarly Editions and Translations, institutions of higher education, nonprofit professional associations, scholarly societies, and other nonprofit organizations in the United States may apply, as may eligible individuals (U.S. citizens and foreign nationals who have been living in the United States or its jurisdictions for at least the three years immediately prior to the time of application). For support of fellowship programs, U.S. independent research centers, scholarly societies, and international research organizations with existing fellowship programs may apply. Individual scholar eligibility is the same as described above.

**Beneficiary Eligibility:**

U.S. citizens and residents, State and local governments, sponsored organizations, public and private nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian tribal governments, Native American organizations, U.S. territories; non-governmental-general; minority organizations, other specialized groups; and quasi-public nonprofit institutions benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-122 for nonprofit organizations and OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Prior to submitting a proposal, applicants are encouraged to contact program staff for advice on preparing the proposal, and for review of draft proposals. These draft reviews are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants have found them helpful in strengthening their applications. Program staff recommend that draft proposals be submitted no later than six weeks before the deadline. Time restraints may prevent staff from reviewing draft proposals submitted after that date. Draft proposals may be submitted by e-mail attachment to [research@neh.gov](mailto:research@neh.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via [Grants.gov](http://www.neh.gov/grants/grants.html). NEH application instructions are available online at <http://www.neh.gov/grants/grants.html>.

**Award Procedure:**

Applications are reviewed by subject area specialists, panels of scholars, and other appropriate individuals outside the agency. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:**

Dec 12, 2011: Collaborative Research, Scholarly Editions and Translations.

December 12, 2011, for Collaborative Research, Scholarly Editions and Translations; August 17, 2011, for Fellowship Programs at Independent Research Institutions.

**Range of Approval/Disapproval Time:**

> 180 Days. For Collaborative Research, Scholarly Editions and Translations, and fellowship programs offered through independent research centers and international research organizations, approximately seven months. For Fellowships at Digital Humanities Centers, approximately six months.

**Appeals:**

None, but applicant may reapply with a revised proposal.

**Renewals:**

Renewal applications are eligible; they are evaluated in competition with new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Cost sharing consists of the cash contributions made to the project by the applicant, third parties and other federal agencies, as well as third party in-kind contributions, such as donated services and goods. Cost sharing includes third party gift money that will be raised to release federal matching funds. Cost sharing is not required. NEH, however, is rarely able to support the full costs of projects approved for funding. Consult the individual program guidelines for more information. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 36 months for Collaborative Research, Scholarly Editions and Translations, and Fellowship Programs at Independent Research Institutions. See the following for information on how assistance is awarded/released: Funds are released as required and must be expended during the grant period.

**Reports:**

Program reports are not applicable. Cash reports are required quarterly. For Collaborative Research, Scholarly Editions and Translations, and Fellowship Programs at Independent Research Institutions: Progress reports are required at least annually, no more frequently than quarterly. Final progress are due within 90 days after completion or termination of project support by NEH. Final expenditure reports are due within 90 days after completion or termination of project support by NEH. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 10 \$12,527,860; FY 11 est \$10,626,000; and FY 12 est \$9,387,000 - FY 10 obligations include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

FY 10 from \$50,000 to \$515,000; \$215,000 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 264 applications were received and 69 grants awarded. Fiscal Year 2011: No current information is available. Fiscal Year 2012: No current information is available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> and upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None. Not Applicable.

**Headquarters Office:**

National Endowment for the Humanities, Division of Research Programs, 1100 Pennsylvania Avenue, NW, Room 411, Washington, District of Columbia 20506 Email: [collaborative@neh.gov](mailto:collaborative@neh.gov) Phone: (202) 606-8200.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.149 Promotion of the Humanities\_Division of Preservation and Access;  
45.160 Promotion of the Humanities\_Fellowships and Stipends

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Collaborative Research: the University of Nebraska received \$220,000 in outright funds to develop an online database and collection of essays on Washington, D.C. during the American Civil War; University of Chicago received \$250,000 for continued archaeological field work at Tell Edfu, a provincial capital in Upper Egypt; the University of California, Berkeley, received \$200,000 in outright funds and \$200,000 in federal matching funds, to support the ongoing research and publication of editions of the works of American author Mark Twain; the University of Georgia received \$90,000 in outright funds for an edition and translation of a corpus of Latin poetry written in response to the 1571 Battle of Lepanto between European forces and the Ottoman Empire; the American Institute of Indian Studies located in New Delhi received \$270,000 in outright funds to support the research of two fellows per year over three years. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Collaborative Research, the principal criteria considered by evaluators are: (1) Intellectual significance of the project, including its potential contribution to scholarship in the humanities; the likelihood that it will stimulate new research; its relationship to larger themes in the humanities; and the significance of the material on which the project is based. (2) Pertinence of the research questions being posed, the appropriateness of research methods or conference design; the appropriateness of the technology employed in the project; the feasibility of the work plan; and the appropriateness of the field work to be undertaken, the archival or source materials to be studied, and the research site. (3) Qualifications, expertise, and levels of commitment of the project director and key project staff or contributors. (4) Soundness of the dissemination and access plans, including benefit to the audience identified in the proposal and the strength of the case for employing print, digital format, or a combination of media; and in the case of archaeology projects, the likelihood that the project will produce an interpretive study. All other considerations being equal, preference will be given to projects that provide free, online access to digital materials produced with grant funds. (5) Potential for success, including the likelihood that the work proposed will be completed within the projected time frame; where appropriate, the project's previous record of success; and the reasonableness of the proposed budget in relation to anticipated results.

For Scholarly Editions and Translations, the principal criteria considered by evaluators are: (1) The intellectual significance of the proposed work, including its potential contribution to scholarship in the humanities; the likelihood that it will stimulate new research; its relationship to larger themes or issues in the humanities; and the significance of the material on which the project is based. (2) The appropriateness of the research methods, critical apparatus, and editorial policies; in the case of translation projects, the translation approaches; the appropriateness of selection criteria; the thoroughness and feasibility of the work plan; the quality of the samples, e.g., their content, accuracy; readability, and the clarity and helpfulness of annotation. (3) The qualifications, expertise, and levels of commitment of the project director and key project staff or

contributors. (4) The soundness of the dissemination and access plans, including benefit to the audience identified in the proposal; the strength of the case for producing print volumes, electronic format, or a combination of media; and the appropriateness of the technology to be used. All other considerations being equal, preference will be given to projects that provide free, online access to digital materials produced with grant funds. (5) The potential for success, including the likelihood that the proposed project will be successfully completed within the projected time frame; when appropriate, the edition or translations previous record of success; and the reasonableness of the budget in relation to its likely results.

For Fellowship Programs at Independent Research Institutions, the principal criteria considered by evaluators are: (1) How important to the advancement of the humanities is the fellowship program for which funding is requested? (2) Are fellows likely to pursue their research more successfully because of the research collections, facilities, services, and other resources provided by the applicant institution? In the case of centers with residential programs, does the application provide evidence that the fellows' projects benefit significantly from the location of the center and the intellectual exchange among the fellows? (3) How strong is the institution's previous record in offering fellowships? Have former fellows been productive? Have the scholarly contributions resulting from their FPRI fellowships been of value to scholars and general audiences in the humanities? (4) Is the fellowship selection process, including the choosing of selection committee members, expert and objective? (5) Does the application make a persuasive case for the amount of NEH support requested for fellowships? (6) How effective is the publicity for the competition for fellowships? (7) How effective is the administration of the fellowship program? Is the institution's research misconduct policy adequate? (8) Are there ways in which the fellowship program could be improved?.

**45.162 PROMOTION OF THE HUMANITIES TEACHING AND LEARNING RESOURCES AND CURRICULUM DEVELOPMENT**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

Humanities Initiatives at Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities are designed to strengthen humanities teaching and learning at these institutions. Enduring Question Course Grants support the development of new humanities courses at the undergraduate level that examine fundamental questions of the humanities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Humanities Initiatives at Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities provide funds for faculty study programs, institutional planning, and the acquisition of library and advanced technology resources that can assist institutions in enhancing humanities opportunities for their students and their communities, typically through strengthening the capacity of faculty to engage student or community beneficiaries in substantive study of the humanities. Humanities Initiatives awards are restricted to Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities (as designated by appropriate government agencies) and to faculty members at these institutions. Projects that deal solely with pedagogical theory or that are intended to improve writing, speaking, or thinking skills apart from a focus on specific humanities content are not normally supported. Enduring Questions Course Grants encourage faculty and students at the undergraduate level to grapple with the most fundamental concerns of the humanities, and to join together in deep, sustained programs of study in order to encounter influential thinkers over the centuries and into the present day; these questions include What is the good life? What is dignity? What is good government? What are the limits of scientific understanding? What are the origins of the modern world?.

**Applicant Eligibility:**

Humanities Initiatives at Presidentially Designated Colleges and Universities offer Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities, as designated by the White House offices charged with the implementation of Executive Orders 12876, 12900, 13021.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; other specialized groups; and quasi-public nonprofit institutions will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via Grants.gov. Guidelines are available online (<http://www.neh.gov>) or upon request to the headquarters office.

**Award Procedure:**

Applications are reviewed by panels of scholars, teachers, and educational administrators at all academic levels and by other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice of the National Council on the Humanities.

**Deadlines:**

Jun 30, 2012: Humanities Initiatives. Humanities Initiatives: June 30, 2012, for projects beginning after January 1, 2013. June 30, 2013, for projects beginning after January 1, 2013. Enduring Questions: September 15, 2011, for projects beginning after May 1, 2012, September 15, 2012 for projects beginning after May 1, 2013, September 15, 2013 for projects beginning after May 1, 2014.

**Range of Approval/Disapproval Time:**

> 180 Days. Approximately 4-6 months.

**Appeals:**

None, but applicant may reapply with a revised proposal.

**Renewals:**

Applications for renewal must compete against new applications. Applications for renewal must demonstrate a record of success and the potential to serve new audiences.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has no statutory formula. Source: Program Guidelines. Contact: See Headquarters Office below. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds must be expended during the grant period. Funds are released as required. For Humanities Initiatives, grants are available for projects for a maximum of 3 years. For Enduring Questions, grants are available for eighteen to twenty-four months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Final progress are due within 90 days after completion or termination of project support by NEH. Final expenditure reports are due within 90 days after completion or termination of project support by NEH. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 10 \$528,429; FY 11 est \$2,030,000; and FY 12 est \$1,762,000 - FY 10 obligations include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

Humanities Initiatives at Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities do not exceed \$100,000. Enduring Questions Course Grants do not exceed \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 161 applications for Enduring Questions were received and 15 grants were awarded. Owing to an adjustment in application deadlines, no Humanities Initiatives proposals were reviewed and no grants were awarded during FY 2010. Fiscal Year 2011: No current data available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. The publication entitled "National Endowment for the Humanities Grant Programs, 2000-2001" is available upon request from the National Endowment for the Humanities, Washington, DC 20506. It is also available online at <http://www.neh.gov>. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Endowment for the Humanities, Division of Education Programs 1100 Pennsylvania Avenue, N.W., Room 302, Washington, District of Columbia 20506 Email: [hi@neh.gov](mailto:hi@neh.gov) Phone: (202) 606-8463.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.129 Promotion of the Humanities\_Federal/State Partnership; 45.130 Promotion of the Humanities\_Challenge Grants; 45.149 Promotion of the Humanities\_Division of Preservation and Access; 45.160 Promotion of the Humanities\_Fellowships and Stipends; 45.161 Promotion of the Humanities\_Research; 45.163 Promotion of the Humanities\_Professional Development; 45.164 Promotion of the Humanities\_Public Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Humanities Initiatives:(1) A Historically Black University received a two year project to equip professors in the humanities and sciences with knowledge of narrative theory and practice to benefit students in the health care professions, particularly nursing. (2) A Tribal College received an award to support a three-year project to collect and preserve oral history narratives from elders of the community and to develop curricular resources from this material (3) An Institution with High Hispanic Enrollment enrollment received an award to conduct a two-year project to establish a new interdisciplinary minor in Latino and Latin American studies and design new courses to be included in the minor.

Enduring Questions: (1) A four-year college was awarded a grant to create a new course exploring the question What would an ideal society look like? The course will explore the question through analysis of philosophical works from ancient Greece to the present day that consider how society should be structured based on human nature, followed with a series of utopian and dystopian novels, and ending with a short look at attempts to create utopias in real life. (2) A public university was awarded a grant to fund the development of an undergraduate course on the question, Where does morality come from? The course would investigate five possible answers to the question of where morality originates: from God, from reason, from culture, from self-interest, or from emotion. The course would be divided into five units, each centered on a classic narrative work; and each unit would include shorter texts supporting or critiquing the narrative's central viewpoint. (3) A four-year college was awarded a grant to fund the development of a course exploring the enduring question: Why work? The course presents work as a double-edged sword, framing it as an opportunity for personal satisfaction and social contribution on the one hand and a practical and necessary burden on the other, and explores this question through the use of philosophical texts, and by exploring diverse disciplines including sociology, literature, philosophy and history. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are read and evaluated on whether the intellectual quality of the project is excellent; whether the project is well designed; and whether the project will have significant results. See the program guidelines for detailed criteria. For Humanities Initiatives at Historically Black Colleges and Universities, Institutions with High Hispanic Enrollment and Tribal Colleges and Universities, projects will be selected for funding on the basis of the quality of planned activities and the potential of these activities to strengthen the humanities capacity of the institution; the ability of the institution to carry out the proposed plan; the qualifications of project leaders and consultants; and the cogency of the plan to evaluate the outcomes of the project. For Enduring Questions, projects will be selected for funding based on their intellectual content, feasibility and impact on the intended academic audience.

#### **45.163 PROMOTION OF THE HUMANITIES PROFESSIONAL DEVELOPMENT**

##### **FEDERAL AGENCY:**

National Endowment for the Humanities

##### **AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C 951.

##### **OBJECTIVES:**

Seminars and Institutes promote better teaching and research in the humanities through faculty development. Landmarks of American History and Culture promote better teaching of American history and culture through intensive, rigorous faculty and staff development workshops at historical sites, colonial settlements, battlefields, artists' and writers' homes--while enabling the participants to gain experience in conveying the importance of historical places and while enhancing their teaching materials.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Grants support Summer Seminars and Institutes, Landmarks of American History and Culture Workshops, Picturing America School Collaboration Projects. Awards support direct costs, including salaries, participant stipends, selection costs, travel, and supplies. Projects should engage participants in deepening the knowledge of the subjects they teach and strengthen their capacity to engage students in substantive study of the humanities. Projects that deal solely with pedagogical theory or that are intended to improve writing, speaking, or thinking skills apart from a focus on specific humanities content are not normally supported.

##### **Applicant Eligibility:**

Distinguished scholar/teachers in the humanities may apply through a sponsoring institution to direct a seminar or institute for college teachers or school teachers. For Landmarks in American History and Culture, the following

may apply: State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; other specialized groups; and quasi-public nonprofit institutions.

##### **Beneficiary Eligibility:**

For Seminars and Institutes and Landmarks of American History and Culture--primarily K-12 or college teachers, depending on the particular project--as well as their colleagues and students. Credentials/Documentation.

##### **Credentials/Documentation:**

For educational institutions, costs will be determined in accordance with OMB Circular No. A-21 and Circular No. A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via Grants.gov. Proposal instructions are available on line (<http://www.neh.gov>) or from the headquarters office.

##### **Award Procedure:**

Applications are reviewed by subject area specialists, panels of scholars, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice from the National Council on the Humanities.

##### **Deadlines:**

Mar 01, 2012: To direct a Landmarks of American History Workshop project during the summer of the following year.

##### **Range of Approval/Disapproval Time:**

From 120 to 180 days. Approximately 4 to 5 months; 6 weeks for participants in Seminars and Institutes, Landmarks of American History and Culture Workshops, and Picturing America School Collaboration Projects.

##### **Appeals:**

None, but director/applicant may request a critique of the proposal and reapply.

##### **Renewals:**

Applications for renewal must demonstrate a record of success and the potential to serve new audiences. These applications compete against new applications.

##### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Funds must be expended during the grant period. Funds are released as required. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

Program reports are not applicable. Cash reports are due quarterly. A final narrative report and a final expenditures report are required within 90 days after completion or termination of the grant period. In addition, reports are required from the scholars participating in the seminar assessing the value of the seminar for their professional development. Expenditure reports are not applicable. No performance monitoring is required.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for 3 years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 10 \$15,451,487; FY 11 est \$13,586,000; and FY 12 est \$11,789,000 - FY 10 obligations include additional funding provided by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 256 applications were received and 98 grants were awarded. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov> or upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Endowment for the Humanities, Division of Education Programs 1100 Pennsylvania Avenue, NW, Room 302, Washington, District of Columbia 20506 Email: [sem-inst@neh.gov](mailto:sem-inst@neh.gov) Phone: (202) 606-8463.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: (1) Chaucers Canterbury Tales: A four week seminar for participants on Geoffrey Chaucers Canterbury Tales, to be held in London with additional site visits to Canterbury and Oxford (summer seminar for school teachers) (2) Oscar Wilde and His Circle: a five-week college and university faculty seminar to explore the life, work and cultural milieu of Oscar Wilde (summer seminar for college teachers) (3) Mesoamerica and the Southwest: A New History for an Ancient Land: a five-week institute to explore Mesoamerica and the Ancient Southwest (institutes for school teachers) (4) Leonardo da Vinci: Between Art and Science: a three-week institute to explore the relations between art and science in the Renaissance (summer institute for college teachers), (5) The Most Southern Place on Earth: Music, History and Culture of the Mississippi Delta: two one-week Landmarks workshops on the Mississippi Delta region, its rich history, its diverse peoples and its impact on the American imagination (Landmarks for school teachers), (6) Legacies and Landmarks of the Plains Native Americans: two one-week Landmarks workshops to study Plains Native American history and culture from the eighteenth century to the present day. (Landmarks for community college faculty). Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

In evaluating proposals, the following criteria apply: (1) Intellectual quality and significance; (2) Impact; (3) Feasibility. Applicants to Workshops, Seminars and Institutes selected to receive stipends are those who can derive the greatest benefit from participation in and who can make the greatest contribution to the program.

**45.164 PROMOTION OF THE HUMANITIES\_PUBLIC PROGRAMS**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

To provide opportunities for the American public to explore human history and culture through humanities programs in museums, historical organizations, libraries, community centers, and other gathering places, as well as on public television and radio and/or other digital media.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to support planning, development, production, and implementation costs.

**Applicant Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general, minority organizations and other specialized groups; quasi-public nonprofit institutions may apply.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general, minority organizations and other specialized groups; quasi-public nonprofit institutions will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via Grants.gov. Application forms and guidelines are available online (<http://www.neh.gov/grants/grants.html>) and upon request from the headquarters office.

**Award Procedure:**

Applications are reviewed by subject area specialists, panels of scholars, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice from the National Council on the Humanities.

**Deadlines:**

Jun 27, 2012: for Bridging Cultures through Film: International Topics. Jan 12, 2011: for planning and implementation for America's Historical and Cultural Organizations, and for development and production for America's Media Makers. Jan. 5, 2011, for Bridging Cultures through Film: International Topics.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Approximately 4 to 6 months.

**Appeals:**

None, but applicant may reapply.

**Renewals:**

Renewals may be granted and are processed as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, but usually 6 months to 3 years. Funds must be obligated during the grant period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are required at least annually but no more frequently than quarterly. Final progress reports are due within 90 days after completion or termination of the project. Expenditure reports are due within 90 days after completion or termination of the project. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for 3 years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 10 \$19,380,944; FY 11 est \$15,616,000; and FY 12 est \$13,800,000 - FY 10 obligations include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

FY 11 from \$40,000 to \$1,000,000; \$220,551.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 752 applications were received and 128 grants were awarded. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> or by request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Endowment for the Humanities, Division of Public Programs, 1100 Pennsylvania Avenue, NW, Room 426, Washington, District of Columbia 20506 Email: [publicprograms@neh.gov](mailto:publicprograms@neh.gov) Phone: (202) 606-8269.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.129 Promotion of the Humanities\_Federal/State Partnership; 45.168 Promotion of the Humanities\_We the People

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: A film production company received a grant for the production of a computer game and an accompanying website about life in a New England mill town in 1906. A research center received a grant for a traveling museum exhibition and a traveling library panel exhibition, public programs, and a website on the history and influence of the King James version of the Bible. Fiscal Year 2011: A film production company received a grant to

produce a documentary film on ancient Maya pottery and the ethics of studying and collecting objects that may have been looted A museum received a grant for a long-term exhibition and website about American identity and worldview as shaped by its whaling heritage, as well as program activities on board a historic whaling ship.

. An educational foundation received a grant for a multiplatform project on the abolitionists, the determined activists who sought the immediate end of slavery in the decades leading up to the Civil War. Fiscal Year 2012: No current examples available.

**CRITERIA FOR SELECTING PROPOSALS:**

A successful application will demonstrate national significance or impact, outreach to groups of Americans not often engaged in public humanities projects, collaboration among cultural institutions and organizations as well as other similar or different groups, and use of a broad spectrum of the most effective formats, technologies, and venues for lifelong learning in the humanities. Although every proposal will not be expected to meet all of the criteria outlined above, the Division will give priority to applications that further these objectives. As part of the We the People initiative, the division currently has two special initiatives: Family and Youth Programs in American History and America's Historic Places. See program guidelines for details.

**45.168 PROMOTION OF THE HUMANITIES\_WE THE PEOPLE  
FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty, consult the guidelines of the NEH Division of Education Programs. For the National Digital Newspaper Program, consult the guidelines of the NEH Division of Preservation and Access. For other humanities projects on United States history and culture, consult guidelines in NEH Division of Education Programs, NEH Office of Challenge Grants, NEH Office of Digital Humanities, NEH Division of Preservation and Access, NEH Division of Public Programs, and NEH Division of Research Programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty, consult the guidelines of the NEH Division of Education Programs.. For the National Digital Newspaper Program, consult the guidelines of the NEH Division of Preservation and Access.

**Applicant Eligibility:**

For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty, consult the guidelines of the NEH Division of Education Programs. For the National Digital Newspaper Program, consult the guidelines of the NEH Division of Preservation and Access.

**Beneficiary Eligibility:**

For Landmarks of American History: Workshops for School Teachers Workshops and Community College Faculty, consult the guidelines of the NEH Division of Education Programs. For the National Digital Newspaper Program, consult the guidelines of the NEH Division of Preservation and Access.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point

of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications to NEH must be submitted via Grants.gov. For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty, program guidelines are available through the NEH Division of Education Programs; and for the National Digital Newspaper Program, consult the guidelines of the NEH Division of Preservation and Access.

**Award Procedure:**

All applications for NEH grants are reviewed by knowledgeable persons outside the agency, who advise the Endowment about its merits. The NEH staff comments on matters of fact or on significant issues that otherwise be missing from these evaluations and makes recommendations to the National Council on the Humanities. The National Council meets at various times during the year to advise the NEH Chairman on grants. The Chairman takes into account the advice provided by the review process and, as prescribed by law, makes all funding decisions.

**Deadlines:**

Oct 01, 2010 to Sep 28, 2012 For Landmarks of American History and Culture, Workshops for School Teachers, and Workshops for Community College Faculty, see NEH Division of Education Program for deadlines; for the National Digital Newspaper Program, see NEH Division of Preservation and Access for deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Approximately four - seven months.

**Appeals:**

Applicant may request written reasons for rejection and reapply with revised proposal to a subsequent application deadline.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Full-time or part-time activities for periods ranging from eighteen to thirty-six months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty, consult the guidelines of the NEH Division of Education Programs. For the National Digital Newspaper Program, consult the guidelines of the NEH Division of Preservation and Access.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 10 Not Separately Identifiable; FY 11 Not Separately Identifiable; and FY 12 Not Separately Identifiable - We the People funds are awarded through other NEH program divisions.

**Range and Average of Financial Assistance:**

For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty consult the guidelines of the NEH Division of Education Programs. For the National Digital Newspaper Program, consult the guidelines of the NEH Division of

Preservation and Access.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: We the People funds are awarded through other NEH program divisions. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$33.60 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Endowment for the Humanities, We the People, 1100 Pennsylvania Avenue, Room 511, Washington, District of Columbia 20506 Email: wethepeople@neh.gov Phone: (202) 606-8337

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.129 Promotion of the Humanities\_Federal/State Partnership; 45.130 Promotion of the Humanities\_Challenge Grants; 45.149 Promotion of the Humanities\_Division of Preservation and Access; 45.162 Promotion of the Humanities\_Teaching and Learning Resources and Curriculum Development; 45.164 Promotion of the Humanities\_Public Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Landmarks of American History and Culture: Workshops for School Teachers and Workshops for Community College Faculty, consult the guidelines of the NEH Division of Education Programs. For the National Digital Newspaper Program, consult the guidelines of the NEH Division of Preservation and Access.

**45.169 PROMOTION OF THE HUMANITIES\_OFFICE OF DIGITAL HUMANITIES**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

To support innovative humanities projects that utilize or study the impact of digital technology for research, preservation, access, education, and public programming.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants support large-scale training institutes or seminars on advanced topics in the digital humanities that explore new technology-driven methodologies; innovative start-up projects that are in the first phases of planning, brainstorming, and creating prototypes that explore the use or impact of digital technology for the humanities; the broader implementation of innovative projects in the digital humanities that have moved beyond the start-up phase; projects that explore and enrich humanities materials using digital technology, thereby enhancing teaching, research, and public access. Expenses may include salaries and wages, consultant and other contract services, supplies and limited equipment purchases, travel, and per diem.

**Applicant Eligibility:**

U.S. nonprofit organizations or institutions; state and local governmental agencies and Native American tribal organizations; and U.S. citizens or foreign nationals who have been living in the United States or its jurisdictions for at

least the three years immediately prior to the time of application.

**Beneficiary Eligibility:**

U.S. nonprofit organizations or institutions; state and local governmental agencies and Native American tribal organizations; and U.S. citizens or foreign nationals who have been living in the United States or its jurisdictions for at least the three years immediately prior to the time of application.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Prior to submitting a proposal, applicants are encouraged to contact program officers who can offer advice about preparing the proposal, and review draft proposals. These comments are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants in other programs have found them helpful in strengthening their applications. Program staff recommend that draft proposals be submitted six weeks before the deadline. Time restraints may prevent staff from reviewing draft proposals submitted after that date. Draft proposals may be submitted by E-mail attachment (odh@neh.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for this program must be submitted via Grants.Gov. Before using Grants.gov for the first time, each organization must register with the Web site to create an institutional profile.

**Award Procedure:**

Knowledgeable persons outside NEH will read each application and advise the agency about its merits. The Endowment's staff comments on matters of fact or on significant issues that otherwise would be missing from these reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at various times during the year to advise the NEH chairman on grants. The chairman takes into account the advice provided by the review process and, by law, makes all funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applicants will be notified by mail within six months after the submission of the application.

**Appeals:**

Applicant may request written reasons for rejection and reapply with revised proposal to a subsequent application deadline.

**Renewals:**

Renewal grants are processed and awarded in competition with and in the same manner as new applications.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically 6 to 24 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. A Federal Cash Transactions Report will be due within 30 days of the end of each calendar quarter. A final Financial Status Report will be due within 90 days after the completion date of the award period. Final performance reports will be required. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for 3 years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 10 \$4,887,905; FY 11 est \$4,866,000; and FY 12 est \$4,250,000 - FY 10 obligations include additional funding provided by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

FY 09 from \$5000 to \$250000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 380 applications were received and 65 grants were awarded. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$33.60 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Endowment for the Humanities, Office of Digital Humanities 1100 Pennsylvania Avenue, NW Room 402, Washington, District of Columbia 20506 Email: odh@neh.gov Phone: 202-606-8400

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.149 Promotion of the Humanities\_Division of Preservation and Access

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Past recipients of Office of Digital Humanities grant awards may be found in the NEHs Funded Projects Query Form, found at: <https://securegrants.neh.gov/publicquery/main.aspx>. Fiscal Year 2011: No current data available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria used to determine funding priorities include the (1) intellectual significance of the long-term project, including its potential to enhance research, teaching, and learning in the humanities; the likelihood that it will stimulate new research or approaches to the humanities or use new digital technologies to communicate humanities scholarship to broad audiences; its relationship to larger themes in the humanities; and the significance of the material on which the project is based; (2) the appropriateness of the proposed methods; the appropriateness of the technology employed in the project; the feasibility of the work plan; (3) qualifications, expertise, and levels of commitment of the project director and key project staff or contributors; (4) promise of quality, usefulness to the targeted audience, and/or impact on scholarship of the long-term project; soundness of the dissemination plans, including benefit to the audience identified in the proposal and the strength of the case for employing print, microform, digital format, or a combination of media; (5) quality of the assessment and evaluation of the activities, and the potential contribution of this evaluation to the realization of the long-term goals; and (6) potential for success, including the likelihood that the work proposed will be completed within the projected time frame; where appropriate,



the project's previous record of success; and the reasonableness of the proposed budget in relation to anticipated results.

## NATIONAL LABOR RELATIONS BOARD

### 46.001 LABOR-MANAGEMENT RELATIONS

(NLRB)

#### FEDERAL AGENCY:

National Labor Relations Board

#### AUTHORIZATION:

Labor-Management Relations Act of 1947, as amended, Public Law 86-257, 29 U.S.C. 141 et seq.; Public Law 91-375, 39 U.S.C. 1201-1209; Public Law 93-95, 29 U.S.C. 186; Public Law 93-360, 29 U.S.C. 152, 158, 168, 169, 171, 183; Public Law 96-245, 29 U.S.C. 161 (4); Public Law 96-593; Public Law 97-375, 29 U.S.C. 153(c).

#### OBJECTIVES:

To avoid or substantially minimize industrial strife affecting interstate commerce by providing orderly and peaceful procedures to protect the rights of employers, employees, labor organizations, and the general public, and to prevent unlawful interference with these rights.

#### TYPES OF ASSISTANCE:

INVESTIGATION OF COMPLAINTS; PROVISION OF SPECIALIZED SERVICES

#### USES AND USE RESTRICTIONS:

(1) Determines and implements, through secret-ballot elections, the free democratic choice by employees as to whether they wish to be represented by a union in dealing with their employer and, if so, by which union; and (2) prevents and remedies unlawful acts, called unfair labor practices, by either employers or unions or both. NLRB may seek injunctive relief where a labor dispute results in violence, disruption of employment, or disruption of business relations, potentially in violation of the Labor Management Relations Act. The NLRB does not initiate actions or investigations on its own volition. NLRB processes start only when a covered individual, organization, or employer files an unfair labor practice charge or a petition for an election.

#### Applicant Eligibility:

Any covered employer, employee, labor organization, or other person who believes a violation of the Labor Management Relations Act has occurred, or who desires the Board to determine whether a labor organization is to be the choice of employees for purposes of representation, may receive information or assistance. The Act limits the term "employee" to exclude: agricultural laborers; domestic workers; individuals employed by spouse or parent; independent contractors; supervisors (as defined by the Act) and individuals employed by an employer subject to the Railway Labor Act or employed by any person who is not an employer as defined by the Act. The United States Government, State governments, political subdivisions of U.S. and State governments, government corporations (except the U.S. Postal Service), Federal Reserve Banks and employers subject to the Railway Labor Act are ineligible employers.

#### Beneficiary Eligibility:

The covered employer, employee, or the labor organization will benefit.

#### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Charges of unfair labor practices and petitions for determination of representatives are the two principal forms for the purpose of initiating agency action. Such charges and petitions shall be in writing and signed, and shall be sworn to and filed with the Regional Director for the region in which the unfair labor practice allegedly has occurred or in which the proposed or actual bargaining unit exists.

#### Award Procedure:

Not applicable.

#### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### Range of Approval/Disapproval Time:

Not Applicable.

#### Appeals:

Charges: If the Regional Director refuses to issue an unfair labor practice complaint, an appeal may be filed with the General Counsel in Washington, DC, within 10 days. Petitions: If the Regional Director dismisses the representation petition, an appeal may be filed with the Board in Washington, DC, within 10 days.

#### Renewals:

Not Applicable.

#### Formula and Matching Requirements:

Statutory Formula: Title 29, Chapter 1, Part 100 - 103.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

#### Length and Time Phasing of Assistance:

The NLRB does not award monetary assistance. See the following for information on how assistance is awarded/released: Not Applicable.

#### Reports:

Not Applicable.

#### Audits:

Not Applicable.

#### Records:

Not applicable.

#### Account Identification:

63-0100-0-1-505.

#### Obligations:

(Salaries) FY 10 \$283; FY 11 est \$283; and FY 12 est \$288

#### Range and Average of Financial Assistance:

No Data Available.

#### PROGRAM ACCOMPLISHMENTS:

Not Applicable.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

"The National Labor Relations Board and YOU (Unfair Labor Practices)", "The National Labor Relations Board and YOU (Representation Cases)", "Your Government Conducts an Election for You on the Job", "The National Labor Relations Board, What It Is, What It Does", "A Guide to Basic Law and Procedure Under the NLRA", NLRB Annual Reports, "Classified Index of National Labor Relations Board Decisions and Related Court Decisions."

Most documents are available through the NLRB Web site

<http://www.nlr.gov>.

Documents are available in English and Spanish and other selected languages.

To give the public and persons appearing before the NLRB a better understanding of the National Labor Relations Act and the Board policies, procedures, and services, Washington and regional office personnel participate as speakers or panel members before bar associations, labor, educational, civic, or management organizations and other groups. Requests for speakers may be made to Washington officials or to the appropriate regional director.

#### Regional or Local Office:

See Regional Agency Offices. Contact should be made directly with the appropriate regional office of the National Labor Relations Board listed in Appendix IV of the Catalog.

#### Headquarters Office:

Kym Heinzmann, 1099 14th Street NW, Washington, District of Columbia  
20570 Email: kym.heinzmann@nrlb.gov Phone: (202) 273-3887 Fax: (202)  
273-2928.

**Website Address:**

<http://www.nrlb.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## NATIONAL SCIENCE FOUNDATION

### 47.041 ENGINEERING GRANTS

(ENG)

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

**OBJECTIVES:**

NSF's Directorate for Engineering (ENG) seeks to improve the quality of life and the economic strength of the Nation by fostering innovation, creativity, and excellence in engineering education and research. Specifically, ENG enables the Nation's long-term capacity to perform by: (1) Investing in the creation of new engineering knowledge and the development of human capital within disciplines and at their interfaces; (2) making critical investments to enable an intelligent, agile and adaptable physical infrastructure for engineering education and research; (3) improving the quality and effectiveness of engineering education and research through the integration of and systemic reform of these processes; and (4) enabling knowledge transfer connections among diverse constituencies and communities. Areas of research include: tissue engineering; metabolic pathway engineering; bioinformatics; protein drug processing, fluid flow; combustion; heat transfer; fuel cells; sensors; integrated modeling of the behavior of materials and structures; civil infrastructure; structures and mechanical systems; engineering in geologic materials; reducing risks of natural and technological hazards; enterprise-level integration technologies; innovative design strategies; manufacturing processes and materials; production systems; microelectronic, nanoelectronic, micromagnetic, photonic, and electromechanical devices and their integration into circuits and microsystems; design and analysis of systems and the convergence of control, communications and computation; Engineering Research Groups; Engineering Research Centers; Industry/University Cooperative Research Centers; Engineering Education; Human Resources Development; cross cutting activities and special studies and analyses. Support is also provided for undergraduate student research, graduate research fellowships, research equipment and instrumentation, Small Business Innovation Research (SBIR), and Grant Opportunities for Academic Liaison with Industry (GOALI). ENG also provides support for Foundation-wide programs including the Faculty Early Career Development (CAREER) program and the Integrative Graduate Education and Research Training (IGERT) Program, and Small Business Technology Transfer Program (STTR).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for paying costs to conduct research, such as salaries and wages, equipment and supplies, travel, publication costs, other direct costs, and indirect costs. This program does not provide support for inventions, product development, marketing, pilot plant efforts, technical assistance, or research requiring security classifications.

**Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; for-profit organizations; State and local governments; and

unaffiliated scientists under special circumstances. See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.  
[www.nsf.gov/publications/pubsumm.jsp?odskey=gpg](http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg).

**Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities, No. A-87 for State and local governments, and A-122 for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and, in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. [www.nsf.gov/publications/pubsumm.jsp?odskey=gpg](http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg)

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientists, engineers, educators, and other appropriate persons who are specialists in the fields covered by the proposals. NSF makes awards on a competitive basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. NSF is striving to be able to advise proposers whether their proposals have been recommended or declined for funding within six months. The time interval begins on closing date of an announcement or solicitation, or the date of proposal receipt (whichever is later). The time interval ends when the cognizant NSF Division Director accepts the Program Officer's recommendation.

**Appeals:**

From 90 to 120 days. The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal or application.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least 6 months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF program officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. Inclusion of voluntary, committed

cost sharing is prohibited.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years. Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Project Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the general public must be submitted. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards and commercial organizations are exempt from A-133 audit requirements, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 10 \$775,920,000; FY 11 est \$762,710,000; and FY 12 est \$908,300,000 - FY 2010 estimate includes ARRA funding, FY 2011 Obligations estimates are the FY 2010 Enacted/Annualized FY 2011 estimate is based on the FY 2011 enacted level, FY 2012 estimate is based on the FY 2012 Congressional Request.

**Range and Average of Financial Assistance:**

\$1,000 to \$21,000,000; \$122,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, 13,230 proposals were received and 2,375 awards were made. Fiscal Year 2011: In Fiscal Year 2011, approximately 11,674 proposals will be received and 2,252 awards made. Fiscal Year 2012: In Fiscal Year 2012, approximately 16,000 proposals will be received and about 2,970 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF [www.nsf.gov](http://www.nsf.gov); CFR Chapter 25; 45 CFR Chapter VI; Grant Proposal Guide ([www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg\\_index.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg_index.jsp)); Proposal and Award Policy and Procedures Guide ([www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=papp](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Woodard 4201 Wilson Blvd, Room II-655, Arlington, Virginia 22230  
Email: [swoodard@nsf.gov](mailto:swoodard@nsf.gov) Phone: 7032927028 Fax: 7032929007

**Website Address:**

<http://www.eng.nsf.gov/>.

**RELATED PROGRAMS:**

11.609 Measurement and Engineering Research and Standards; 15.807

Earthquake Hazards Reduction Program; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.079 International Science and Engineering (OISE); 47.081 Office of Experimental Program to Stimulate Competitive Research ; 81.049 Office of Science Financial Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.); (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?, and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

Integration of Research and Education One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## 47.049 MATHEMATICAL AND PHYSICAL SCIENCES

(MPS)

### FEDERAL AGENCY:

National Science Foundation

### AUTHORIZATION:

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

### OBJECTIVES:

To promote the progress of the mathematical and physical sciences and thereby strengthen the Nation's scientific enterprise; to increase the store of scientific knowledge and enhance understanding of major problems confronting the Nation. Most of the research supported is basic in character. The program includes support of research project grants in the following disciplines: astronomical sciences, chemistry, materials research, mathematical sciences, physics, as well as support for symposia and conferences. Basic research in multidisciplinary areas related to these disciplines is especially encouraged. Support is also provided for state-of-the-art user facilities in astronomy, physics, and many areas of materials science; science and technology centers; institutes; undergraduate student research; faculty enhancement; curriculum development; instrumentation; laboratory improvement; and for research opportunities for women, minority, and disabled scientists and engineers.

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Grant funds may be used for paying costs necessary to conduct research or studies, such as salaries and wages, permanent equipment, expendable materials and supplies, travel, participant support; publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

### Applicant Eligibility:

Public and private colleges and universities; Non-profit, non-academic organizations; for-profit organizations; State and local governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements. [www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg).

### Beneficiary Eligibility:

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

### Credentials/Documentation:

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities, No. A-87 for State and local governments, and A-122 for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and, in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. [www.nsf.gov/publications/pub](http://www.nsf.gov/publications/pub)

[summ.jsp?ods key=gpg](http://summ.jsp?ods key=gpg).

### Award Procedure:

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientist, engineers, educators, and other appropriate persons who are specialists in the fields covered by the proposals. NSF makes awards on a competitive basis.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

From 120 to 180 days. NSF is striving to be able to advise proposers whether their proposals have been recommended or declined for funding within six months. The time interval begins on closing date of an announcement or solicitation, or the date of proposal receipt (whichever is later). This time interval ends when the cognizant NSF Division Director accepts the Program Officer's recommendation.

### Appeals:

From 90 to 120 days. The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal or application.

### Renewals:

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least 6 months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF program officer prior to submission.

### Formula and Matching Requirements:

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. Inclusion of voluntary, committed cost sharing is prohibited.

MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Up to 5 years. Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

### Reports:

No program reports are required. No cash reports are required. Annual Project Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Progress Report and a Project Outcomes Report for the general public must be submitted. No expenditure reports are required. No performance monitoring is required.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

### Account Identification:

49-0100-0-1-251.

### Obligations:

(Project Grants) FY 10 \$1,383,650,000; FY 11 est \$1,308,280,000; and FY 12

est \$1,432,730,000 - 1) FY 2010 Obligations are the combination of the FY 2010 Omnibus and ARRA actuals; 2) FY 2011 Obligation estimates are from the FY 2011 NSF Current Plan; 3) FY 2012 Obligations estimates are from the FY 2012 Request.

**Range and Average of Financial Assistance:**

\$10,000 to \$45,000,000; \$130,100.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, 9,421 proposals were received and 2,680 awards were made. Fiscal Year 2011: In Fiscal Year 2011, approximately 8,500 proposals will be received and 2,150 awards made. Fiscal Year 2012: In Fiscal Year 2012, approximately 9,500 proposals will be received and about 2,350 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF [www.nsf.gov](http://www.nsf.gov); CFR Chapter 25; 45 CFR Chapter VI; Grant Proposal Guide ([www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg\\_index.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg_index.jsp)); Proposals and Award Policy and Procedures Guide ([www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=papp](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Woodard 4201 Wilson Blvd., Room II-655, Arlington, Virginia 22230  
Email: [swoodard@nsf.gov](mailto:swoodard@nsf.gov) Phone: 7032927028 Fax: 7032929007

**Website Address:**

<http://www.nsf.gov/dir/index.jsp?org=MPS> .

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the

proposed activity suggest and explore creative, original, or potentially transformative concepts?; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?, and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

Integration of Research and Education One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.050 GEOSCIENCES**

(GEO)

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

National Science Foundation Act of 1950; as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

**OBJECTIVES:**

To strengthen and enhance the national scientific enterprise through the expansion of fundamental knowledge and increased understanding of the integrated Earth system through the support of basic research in the atmospheric, earth and ocean sciences. Major objectives include the discovery of new knowledge of the atmosphere from the sun to the Earth's surface over the entire spectrum of physical and chemical phenomena; a better understanding of the physical, chemical, and biological character of the Earth and the processes that govern its evolution; and increased insight into the world's oceans, their composition, structure, behavior, and tectonics. Support is also provided for science and technology centers, undergraduate Student research, facility enhancement, instrumentation, and laboratory equipment; and for research opportunities for women, minority, and disabled scientists and engineers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for paying costs necessary to conduct research or studies such as salaries and wages, permanent equipment and supplies, computer services, travel, publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

[www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg).

**Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities, No. A-87 for State and local governments, and A-122 for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and, in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. [www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg)

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientist, engineers, educators, and other appropriate persons who are specialist in the fields covered by the proposals. NSF makes awards on a competitive basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. NSF is striving to be able to advise proposers whether their proposals have been recommended or declined for funding within six months. The time interval begins on the closing date of an announcement or solicitation, or the date of proposal receipt (whichever is later). This time interval ends when the cognizant NSF Division Director accepts the Program Officer's recommendation.

**Appeals:**

From 90 to 120 days. The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal or application.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least 6 months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF program officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. Inclusion of voluntary, committed cost sharing is prohibited.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years. Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Progress Report should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the general public must be submitted. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 10 \$892,270,000; FY 11 est \$884,770,000; and FY 12 est \$979,160,000 - 1) FY 2010 Obligations are the combination of the FY 2010 Omnibus and ARRA actuals; 2) FY 2011 Obligations estimates are the FY 2011 NSF Current Plan; 3) FY 2012 Obligations estimates are the FY 2012 Congressional Request.

**Range and Average of Financial Assistance:**

\$1,300 to \$60,000,000; \$159,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, 4,819 proposals were received and 1,689 awards were made. Fiscal Year 2011: In Fiscal Year 2011, approximately 4,400 proposals will be received and 1,200 awards made. Fiscal Year 2012: In Fiscal Year 2012, approximately 5,100 proposals will be received and about 1,800 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF [www.nsf.gov](http://www.nsf.gov); CFR Chapter 25; 45 CFR Chapter VI; Grant Proposal Guide([www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg\\_index.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg_index.jsp)); Proposal and Award Policy and Procedures Guide ([www.nsf.gov/publications/pub\\_summ.jsp?ods key=papp](http://www.nsf.gov/publications/pub_summ.jsp?ods key=papp)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Woodard 4201 Wilson Blvd., Room II-655, Arlington, Virginia 22230  
Email: [swoodard@nsf.gov](mailto:swoodard@nsf.gov) Phone: 7032927028 Fax: 7032929007

**Website Address:**

NSF World Wide Web site URL: <http://nsf.gov/>. Geosciences World Wide Web site URL: <http://www.geo.nsf.gov/>.

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.430 Undersea Research; 47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

## CRITERIA FOR SELECTING PROPOSALS:

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?; and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## 47.070 COMPUTER AND INFORMATION SCIENCE AND ENGINEERING

(CISE)

### FEDERAL AGENCY:

National Science Foundation

### AUTHORIZATION:

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42

U.S.C. 1861 et seq.

### OBJECTIVES:

To support investigator-initiated research in all areas of computer science and engineering and related fields and contribute to the education and training of future generations of computing professionals, ensuring a supply of qualified technical personnel commensurate with national needs.

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Funds may be used to pay costs of conducting research, and obtaining access to advanced computing and networking capabilities, salaries and wages, equipment and supplies, travel, publication costs, other direct costs, and indirect costs. Funds may not be used for purposes other than those specified in the proposal.

### Applicant Eligibility:

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements. [www.nsf.gov/publications/pubsumm.jsp?odskey=gpg](http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg).

### Beneficiary Eligibility:

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

### Credentials/Documentation:

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities, No. A-87 for State and local governments, and A-122 for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and, in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. [www.nsf.gov/publications/pubsumm.jsp?odskey=gpg](http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg).

### Award Procedure:

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientists, engineers, educators, and other appropriate persons who are specialists in the fields covered by the proposals. NSF makes awards on a competitive basis.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

From 90 to 120 days. NSF is striving to be able to advise proposers whether their proposals have been recommended or declined for funding within six months. The time interval begins on the closing date of an announcement or solicitation, or the date of proposal receipt (whichever is later). The time

interval ends when the cognizant NSF Division Director accepts the Program Officer's recommendation.

**Appeals:**

From 90 to 120 days. The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal or application.

**Renewals:**

From 120 to 180 days. A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF program officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. Inclusion of voluntary, committed cost sharing. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years. Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Progress Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the general public must be submitted. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 10 \$618,710,000; FY 11 est \$618,830,000; and FY 12 est \$728,420,000 - 1) FY 2010 Obligations are the combination of the FY 2010 Omnibus and ARRA actuals; 2) FY 2011 Obligations estimates are the FY 2011 NSF Current Plan; 3) FY 2012 Obligations estimates are the FY 2012 Request.

**Range and Average of Financial Assistance:**

\$5,000 to \$30,000,000; \$142,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, 6,486 proposals were received and \$1,586 awards were made. Fiscal Year 2011: In Fiscal Year 2011, approximately 5,900 proposals will be received, and 1,450 awards made. Fiscal Year 2012: In Fiscal Year 2012, approximately 7,630 proposals are expected to be received and about 1,840 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF [www.nsf.gov](http://www.nsf.gov); CFR Chapter 25; 45 CFR Chapter VI; Grant Proposal Guide ([www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp)); Proposal and Award Policy and Procedures Guide

([www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=papp](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Woodard 4201 Wilson Blvd., Room II-655, Arlington, Virginia 22230  
Email: [swoodard@nsf.gov](mailto:swoodard@nsf.gov) Phone: 7032927028 Fax: 7032929007

**Website Address:**

<http://www.cise.nsf.gov/>.

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?; and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

Integration of Research and Education One of the principal strategies in support of NSF's goals is to foster integration of research and education



through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

#### **47.074 BIOLOGICAL SCIENCES**

(BIO)

##### **FEDERAL AGENCY:**

National Science Foundation

##### **AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

##### **OBJECTIVES:**

To promote the progress of the biological sciences and thereby strengthen the Nation's scientific enterprise; to increase scientific knowledge and enhance understanding of major problems confronting the Nation. Most of the research supported is basic in character. The program includes support of research project grants in the following disciplines: molecular and cellular biosciences, integrative organismal biology; environmental biology; biological infrastructure; and plant genome research. Support is also provided for the purchase of multi-user scientific equipment and instrument development, and for research workshops, symposia, and conferences. In addition, awards are made to improve the quality of doctoral dissertations in environmental biology and integrative organismal biology; for postdoctoral fellowships in biological informatics and postdoctoral fellowships to minority scientists in all areas of research supported by the biological sciences.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Grant funds may be used for paying costs necessary to conduct research or studies such as salaries and wages, permanent equipment, expendable materials and supplies, travel, publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

##### **Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements. [www.nsf.gov/publications/pubsumm.jsp?odskey=gpg](http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg).

##### **Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

##### **Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities, No. A-87 for State and local governments, and A-122 for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. [www.nsf.gov/publications/pubsumm.jsp?odskey=gpg](http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg).

##### **Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientists, engineers, educators, and other appropriate persons who are specialists in the fields covered by the proposals. NSF makes awards on a competitive basis.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 90 to 120 days. NSF is striving to be able to advise proposers whether their proposals have been recommended or declined for funding within six months. The time interval begins on the closing date of an announcement or solicitation, or the date of proposal receipt (whichever is later). The time interval ends when the cognizant NSF Division Director accepts the Program Officer's recommendation.

##### **Appeals:**

From 90 to 120 days. The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal application.

##### **Renewals:**

From 120 to 180 days. A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. Inclusion of voluntary, committed cost sharing.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Up to 5 years. Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

##### **Reports:**

No program reports are required. No cash reports are required. Annual Progress Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the general public must be submitted. No expenditure reports are required. No performance monitoring is required.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 10 \$715,120,000; FY 11 est \$711,560,000; and FY 12 est \$794,490,000 - FY 2010 estimate includes ARRA funding, FY 2011 estimate is based on the FY 2011 enacted level, FY 2012 estimate is based on the FY 2012 Congressional Request.

**Range and Average of Financial Assistance:**

\$1,000 to \$33,118,207; \$221,637.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, 8,060 proposals were received and 1,557 awards were made. Fiscal Year 2011: In Fiscal Year 2011, approximately 7,150 proposals will be received and 1,370 awards made. Fiscal Year 2012: In Fiscal Year 2012, approximately 8,580 proposals are expected to be received and about 1,557 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF [www.nsf.gov](http://www.nsf.gov); CFR Chapter 25; 45 CFR Chapter VI; Grant Proposal Guide([www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp)); Proposal and Award Policy and Procedures Guide ([www.nsf.gov/publications/pubsumm.jsp?odskey=papp](http://www.nsf.gov/publications/pubsumm.jsp?odskey=papp)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Woodard 4201 Wilson Blvd, Room II-655, Arlington, Virginia 22230  
Email: [swoodard@nsf.gov](mailto:swoodard@nsf.gov) Phone: 7032927028 Fax: 7032929007

**Website Address:**

<http://www.nsf.gov/bio/>.

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.070 Computer and Information Science and Engineering; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria

include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?, and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.075 SOCIAL, BEHAVIORAL, AND ECONOMIC SCIENCES (SBE)**

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C 1861 et seq.

**OBJECTIVES:**

To contribute to the scientific strength and welfare of the Nation through the promotion of basic research and education in the social, behavioral and economic sciences and through monitoring and understanding the resources invested in science and engineering in the United States. Supported activities include research and education in the following disciplines: Anthropological and geographic sciences; cognitive, psychological and language sciences; economics, decision risk and management sciences; sociology, political sciences; innovation and organizational change, measurement methods and statistics, law and social science and society. Other SBE grants build infrastructure, and develop methods, support science and technology centers, including climate change and science of learning centers, and fund research workshops, symposia, and conferences. Educational activities include awards to improve the quality of doctoral dissertations in the behavioral and social sciences; grants for graduate traineeships and postdoctoral fellowships; and grants to promote K-12 education in the SBE sciences. Support is also provided for junior faculty and mid-career development opportunities, undergraduate student research, and for research opportunities for women, minorities, and the differentially abled. The Directorate also funds science studies; studies of scientists and engineers, R&D funding and expenditures, and

educational attainment in science, mathematics and engineering.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Programs in social, behavioral and economic sciences and in science resources statistics provide funds that may be used for paying costs necessary to conduct research or studies, such as salaries and wages, equipment and supplies, travel, publication costs, and other direct and indirect costs. Primary responsibility for the supervision of grant activities rests with the grantee institution; the project director or principal investigator is responsible for the execution of the research activities, as well as for submitting progress and final reports on research activities. Grants are made on a competitive basis. Funds must be used for purposes specified in the proposal.

**Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements. [www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=gpg).

**Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities, No. A-87 for State and local governments, and A-122 for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. [www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=gpg).

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientists, engineers, educators, and other appropriate persons who are specialists in the fields covered by the proposals. NSF makes awards on a competitive basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. NSF is striving to be able to advise proposers whether their proposals have been recommended or declined for funding within six months. The time interval begins on the closing date of an announcement or solicitation, or the date of proposal receipt (whichever is later). The time interval ends when the cognizant NSF Division Director accepts the Program Officer's recommendation.

**Appeals:**

From 90 to 120 days. The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal application.

**Renewals:**

From 120 to 180 days. A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. Inclusion of voluntary, committed cost sharing is prohibited.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years. Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Progress Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the general public must be submitted. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 10 \$255,560,000; FY 11 est \$247,230,000; and FY 12 est \$301,130,000 - FY 2010 estimate includes ARRA funding, FY 2011 estimate is based on the FY 2011 enacted level, FY 2012 estimate is based on the FY 2012 Congressional Request.

**Range and Average of Financial Assistance:**

\$1,500 to \$6,600,000; \$115,447.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, 5,621 proposals were received and 1,259 awards were made. Fiscal Year 2011: In Fiscal Year 2011, approximately 5,000 proposals will be received, and 1,187 awards made. Fiscal Year 2012: In Fiscal Year 2012, approximately 6,242 proposals will be received and about 1,397 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF [www.nsf.gov](http://www.nsf.gov); CFR Chapter 25; 45 CFR Chapter VI; Grant Proposal Guide([www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp)); Proposal and Award Policy and Procedures Guide ([www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=papp](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Woodard 4201 Wilson Blvd, Room II-655, Arlington, Virginia 22230  
Email: swoodard@nsf.gov Phone: 7032927028 Fax: 7032929007

**Website Address:**

<http://www.nsf.gov> .

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?; and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with

the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.076 EDUCATION AND HUMAN RESOURCES**

(EHR)

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C 1861 et seq.

**OBJECTIVES:**

To provide leadership and ensure the vitality of the Nation's science, technology, engineering and mathematics (STEM) education enterprise. The Education and Human Resources (EHR) component of the National Science Foundation sponsors programs that support the development of models and strategies for providing all students with access to high-quality STEM education. The portfolio of EHR programs in STEM education is comprised of efforts spanning pre-K to 12 (with special emphasis on projects that join institutions of higher education with K-12 education units), undergraduate, graduate and post-doctoral levels, as well as informal education and life-long learning. Long-term goals include: Supporting infrastructure (especially broad-based collaborative partnerships) that will enable development of high-quality educational experiences for all students; ensuring that our educational pathways yield an adequately educated and diverse corps of individuals for both the highly technical workplace and the professional STEM community; developing a cadre of professionally educated and well-trained teachers and faculty; and providing the research necessary to inform educational practice. The strength of EHR programming resides in its ability to integrate research and education, combining the expertise of the research and education communities. Its programs include support for STEM workforce development; educational materials, including use of learning technologies, effective in increasing student achievement; research on learning and teaching that informs education practice; strategies for developing deep content knowledge and teaching skills for K-12 teachers; and informal science education. EHR programs are subject to continuous improvements based on program reviews, evaluation, dissemination of best practices, and educational research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs necessary to conduct research, educational activities or studies, including salaries and expenses, permanent equipment, expendable materials and supplies, travel, publication costs, and other direct and indirect costs. Some programs provide funds for undergraduate scholarships managed by the awardee institution. Primary responsibility for general supervision of all grant activities rests with the grantee institution. Funds may not be used for purposes other than those specified in the award. Graduate fellowships provide for stipends and allowances to be paid to the awardee through his/her institution; a fixed cost-of-education allowance is paid directly to the institution.

**Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements. [www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg).

**Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular No. A-21 for colleges and universities, No. A-87 for State and local governments, and No. A-122 for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. [www.nsf.gov/publications/pubsumm.jsp?odskey=ggp](http://www.nsf.gov/publications/pubsumm.jsp?odskey=ggp).

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientists, engineers, educators and other appropriate persons who are specialists in the fields covered by the proposals. External reviewers, who are conversant with the fields covered by the applications, review and evaluate all graduate fellowship applications. NSF makes awards on a competitive basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. NSF is striving to be able to advise proposers whether their proposals have been recommended or declined for funding within six months. The time interval begins on the closing date of an announcement or solicitation, or the date of proposal receipt (whichever is later). The time interval ends when the cognizant NSF Division Director accepts the Program Officer's recommendation.

**Appeals:**

From 90 to 120 days. The principal investigator may request, in writing, within 90 days of a declination or return, that reconsider its action in declining or returning any proposal or application.

**Renewals:**

From 120 to 180 days. A renewal proposal competes with all other proposals and must be developed fully as through the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. Inclusion of voluntary, committed cost sharing is prohibited.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 5 years. Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Progress Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the general public must be submitted. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements apply to fellowships.

**Account Identification:**

49-0106-0-1-251.

**Obligations:**

(Project Grants) FY 10 \$887,770,000; FY 11 est \$861,034,000; and FY 12 est \$911,200,000 - 1) FY 2010 Obligations include ARRA; 2) FY 2011 Obligations Enacted/Annualized FY 2011 Obligations estimates are based on the FY 2011 enacted level; 3) FY 2012 Obligations estimates are based on the FY 2012 Congressional Request.

**Range and Average of Financial Assistance:**

The FY 2010 range of financial assistance was \$1,000 - \$6,626,535. The FY 2010 average of financial assistance was \$299,955.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF [www.nsf.gov](http://www.nsf.gov); CFR Chapter 25; 4 CFR Chapter VI; Grant Proposal Guide ([www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp)); Proposal and Award Policy and Procedures Guide ([www.nsf.gov/publications/pubsumm.jsp?odskey=papp](http://www.nsf.gov/publications/pubsumm.jsp?odskey=papp)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Woodard 4201 Wilson Blvd., Room II-655, Arlington, Virginia 22230  
Email: [swoodard@nsf.gov](mailto:swoodard@nsf.gov) Phone: 7032927028 Fax: 7032929007

**Website Address:**

<http://www.nsf.gov/dir/index.jsp?org=EHR> .

**RELATED PROGRAMS:**

47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research ; 84.120 Minority Science and Engineering Improvement; 84.186 Safe and Drug-Free Schools and Communities\_State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or

persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts?; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?, and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

#### **47.078 POLAR PROGRAMS**

(OPP)

##### **FEDERAL AGENCY:**

National Science Foundation

##### **AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

##### **OBJECTIVES:**

To strengthen and enhance the national scientific enterprise through the expansion of fundamental knowledge and increased understanding of the polar regions. To encourage and support basic research in the Arctic and Antarctic focused on the solid earth, glacial and sea ice, terrestrial ecosystems, the oceans, the atmosphere and beyond. Major objectives include understanding of the natural phenomena and processes in the Antarctic and Arctic regions and their role in global systems. To provide postdoctoral fellowships for the

development and training of new investigators in polar regions research with goals to support innovative research in emerging areas, encourage interdisciplinary research, foster activities that create broader impacts for science and society, and to increase the participation of underrepresented groups. Support is also provided for science and technology centers, undergraduate student research, facility enhancement, instrumentation, laboratory equipment; and for research opportunities for women, minority, and disabled scientists and engineers.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Grant funds may be used for paying costs necessary to conduct research or studies such as salaries and wages, permanent equipment and supplies, computer services, travel, publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

##### **Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements. [www.nsf.gov/publications/pubsumm.jsp?odskey=gpg](http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg).

##### **Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

##### **Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular No. A-21 for colleges and universities, No. A-87 for State and local governments, and A-122 for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. [www.nsf.gov/publications/pubsumm.jsp?odskey=gpg](http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg).

##### **Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific reviews criteria. In most cases review are undertaken with the advice of scientist, engineers, educators and other appropriate persons who are specialist in the fields covered by the proposals. NSF makes awards on a competitive basis.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 90 to 120 days. NSF is striving to be able to advise proposers whether

their proposals have been recommended or declined for funding within six months. The time interval begins on the closing date of an announcement or solicitation, or the date of proposal receipt (whichever is later). The time interval ends when the cognizant NSF Division Director accepts the Program Officer's recommendation.

**Appeals:**

From 90 to 120 days. The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal application.

**Renewals:**

From 120 to 180 days. A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. Inclusion of voluntary, committed cost sharing is prohibited. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years. Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Progress Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the general public must be submitted. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251; 49-0551-0-1-251; 49-0100-0-1-054.

**Obligations:**

(Project Grants) FY 10 \$454,000,000; FY 11 est \$451,160,000; and FY 12 est \$477,410,000 - 1) FY 2010 Obligations are the combination of the FY 2010 Omnibus and ARRA actuals; 2) FY 2011 Obligation estimates are the FY 2011 NSF Current Plan; and 3) FY 2012 Obligations estimates are the FY 2012 Request.

**Range and Average of Financial Assistance:**

\$1,000 to \$5,000,000; \$150,422.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, 798 proposals were received and 284 awards were made. Fiscal Year 2011: In Fiscal Year 2011, approximately 1,071 proposals will be received and 310 awards will be made. Fiscal Year 2012: In Fiscal Year 2012, approximately 1,242 proposals will be received and about 376 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF [www.nsf.gov](http://www.nsf.gov); CFR Chapter 25; 45 CFR Chapter VI; Grant Proposal Guide ([www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp)); Proposal and Award Policy and Procedures Guide ([www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=papp](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Saundra Woodard 4201 Wilson Blvd, Room II-655, Arlington, Virginia 22230  
Email: [swoodard@nsf.gov](mailto:swoodard@nsf.gov) Phone: 7032927028 Fax: 7032929007

**Website Address:**

<http://www.nsf.gov/od/opp/>.

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.430 Undersea Research; 47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts?; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?, and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding

decisions:

Integration of Research and Education One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens—women and men, underrepresented minorities, and persons with disabilities—is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

#### **47.079 INTERNATIONAL SCIENCE AND ENGINEERING (OISE)**

(International)

##### **FEDERAL AGENCY:**

National Science Foundation

##### **AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

##### **OBJECTIVES:**

To enable the U.S. research community to maintain its excellence in science, engineering, and leadership within the global scientific community by strengthening international partnerships that foster the advancement of scientific discovery and thereby contribute to the continued scientific strength and welfare of the Nation; to promote research excellence through international collaboration; to develop a diverse, globally engaged U.S. science and engineering workforce by providing U.S. students and junior faculty with international research and education experience. The research supported is basic in character. The program includes support of international research and education projects that are innovative and catalytic. OISE programs are designed to complement and enhance the Foundation's research and education portfolio and to overcome barriers involved in international collaboration. Grants are made in all the disciplinary fields supported by NSF. Support is provided for international collaborative research; research workshops and planning visits; activities that will develop the next generation of U.S. scientists and engineers such as graduate traineeships, postdoctoral fellowships, special opportunities for junior faculty for research support, and dissertation enhancements; and for U.S. Government support to key multilateral organizations to enable U.S. scientists to participate in such global efforts. Support is also provided for undergraduate student international research and education experiences, and for research opportunities for women, minorities, and disabled scientists and engineers.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

International cooperative scientific activities provide funds for U.S. scientists and engineers to carry out studies abroad, to conduct research, to engage in joint research projects with foreign counterpart organizations, and to support international workshops focused on well-defined scientific opportunities in the United States and abroad; travel must be on U.S. flag carriers. In some programs, support is provided by paying costs necessary to conduct research, such as salaries, equipment, supplies, travel, publications, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the project director or principal investigator is responsible for the execution of the research activities. Grants are made on a competitive basis. For all programs, funds may not be used for purposes other than those specified in the proposal.

##### **Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

[www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=ggg](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=ggg).

##### **Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

##### **Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for colleges and universities and A-122 for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. [www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=ggg](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=ggg).

##### **Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientist, engineers, educators and other appropriate persons who are specialist in the fields covered by the proposals. NSF makes awards on a competitive basis.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 120 to 180 days. NSF is striving to be able to advise proposers whether their proposals have been recommended or declined for funding within six months. The time interval begins on the closing date of an announcement or solicitation, or the date of proposal receipt (whichever is later). The time interval ends when the cognizant NSF Division Director accepts the Program Officer's recommendation.

##### **Appeals:**

From 90 to 120 days. The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal application.

##### **Renewals:**

From 120 to 180 days. A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. Inclusion of voluntary, committed cost sharing is prohibited.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**



Up to 5 years. Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Progress Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the general public must be submitted. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 10 \$47,930,000; FY 11 est \$49,040,000; and FY 12 est \$58,030,000 - FY 2010 estimate includes ARRA funding, FY 2011 estimate is based on the FY2011 enacted level, FY 2012 estimate is based on the FY 2012 Congressional Request.

**Range and Average of Financial Assistance:**

\$600 to \$2,500,000; \$198,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, 1,043 proposals were received and 396 awards were made. Fiscal Year 2011: In Fiscal Year 2011, approximately 820 proposals will be received and 365 awards made. Fiscal Year 2012: In Fiscal Year 2012, approximately 1,050 proposals are expected to be received and 410 awards made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF [www.nsf.gov](http://www.nsf.gov); CFR Chapter 25; 45 CFR Chapter VI; Grant Proposal Guide ([www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp)); Proposal and Award Policy and Procedures Guide ([www.nsf.gov/publications/pubsumm.jsp?ods=key=papp](http://www.nsf.gov/publications/pubsumm.jsp?ods=key=papp)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Woodard 4201 Wilson Blvd., Room II-655, Arlington, Virginia 22230  
Email: [swoodard@nsf.gov](mailto:swoodard@nsf.gov) Phone: 7032927028 Fax: 7032929007

**Website Address:**

<http://www.nsf.gov> .

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator

servicing as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts?; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?, and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.080 OFFICE OF CYBERINFRASTRUCTURE**

(OCI)

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

**OBJECTIVES:**

To coordinate and support the acquisition, development and provision of state-of-the-art cyberinfrastructure resources, tools and services essential to the

conduct of frontier 21st century science and engineering research and education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to pay costs of conducting research, product development, resources, tools and services, as salaries and wages, equipment and supplies, travel, publication costs, other direct costs, and indirect costs.

**Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements.

[www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg).

**Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for educational institutions and A-122 for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov or a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. [www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg).

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientist, engineers, educators and other appropriate persons who are specialist in the fields covered by the proposals. NSF makes awards on a competitive basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. NSF is striving to be able to advise proposers whether their proposals have been recommended or declined for funding within six months. The time interval begins on the closing date of an announcement or solicitation, or the date of proposal receipt (whichever is later). The time interval ends when the cognizant NSF Division Director accepts the Program Officer's recommendation.

**Appeals:**

From 90 to 120 days. The principal Investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal application.

**Renewals:**

From 120 to 180 days. A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. Inclusion of voluntary, committed cost sharing is prohibited.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years. Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Progress Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the general public must be submitted. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 10 \$214,720,000; FY 11 est \$214,280,000; and FY 12 est \$236,020,000 - FY 2010 Obligations are the combination of the FY 2010 Omnibus and ARRA actuals; FY 2011 Obligations estimates are the FY 2011 NSF Current Plan; and FY 2012 Obligations estimates are the FY 2012 Request.

**Range and Average of Financial Assistance:**

\$10,000 to \$10,000,000; \$167,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, 826 proposals were received and 169 awards were made. Fiscal Year 2011: In Fiscal Year 2011, approximately 510 proposals will be received and 103 awards made. Fiscal Year 2012: In fiscal year 2012, approximately 700 proposals are expected to be received and 125 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF [www.nsf.gov](http://www.nsf.gov); CFR Chapter 25; 45 CFR Chapter VI; Grant Proposal Guide ([www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg-index.jsp)); Proposal and Award Policy and Procedures Guide ([www.nsf.gov/publications/pub\\_summ.jsp?ods key=papp](http://www.nsf.gov/publications/pub_summ.jsp?ods key=papp)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Woodard 4201 Wilson Blvd., Room II-655, Arlington, Virginia 22230  
Email: [swoodard@nsf.gov](mailto:swoodard@nsf.gov) Phone: 7032927028 Fax: 7032929007

**Website Address:**

<http://www.nsf.gov/oci/>.

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements.

All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?; and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all

citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.081 OFFICE OF EXPERIMENTAL PROGRAM TO STIMULATE COMPETITIVE RESEARCH**

020 (EPSCoR)

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, Public Law 107-368, 42 U.S.C. 1861 et seq.

**OBJECTIVES:**

As an investment strategy, Co-funding enables members of the research communities within EPSCoR jurisdictions not only to improve their ability to compete for National Science Foundation (NSF) program funds, but also to increase their active participation and visibility as members of the national scientific research and education enterprise. To assist those jurisdictions that has historically received lesser amounts of academic research and development funding. The NSF EPSCoR Office established the Co-funding Initiative in FY 1998 to accelerate the movement of more researchers and institutions from EPSCoR jurisdictions into the mainstream of NSF support, and thereby contribute to the NSF EPSCoR concept of a Trajectory for Sustainable Scientific Success.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to pay the costs of conducting research, product development, resources, tools and services, as salaries and wages, equipment and supplies, travel, publication costs, other direct costs, and indirect costs.

**Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated scientists under special circumstances. See the Grant Proposal Guide for a full description of eligibility requirements. [www.nsf.gov/publications/pubsumm.jsp?odskey=pgg](http://www.nsf.gov/publications/pubsumm.jsp?odskey=pgg).

**Beneficiary Eligibility:**

See the Grant Proposal Guide, Section I.E. for a full description of eligibility requirements.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 for educational institutions and A-122 for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov or a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. [www.nsf.gov/publications/pubsumm.jsp?odskey=pgg](http://www.nsf.gov/publications/pubsumm.jsp?odskey=pgg).

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientist, engineers, educators and other appropriate persons who are specialist in the fields covered by the proposals. NSF makes awards on a competitive basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. NSF is striving to be able to advise proposers whether their proposals have been recommended or declined for funding within six months. The time interval begins on the closing date of an announcement or solicitation, or the date of proposal receipt (whichever is later). The time interval ends when the cognizant NSF Division Director accepts the Program Officer's recommendation.

**Appeals:**

From 90 to 120 days. The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal application.

**Renewals:**

From 120 to 180 days. A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. Inclusion of voluntary, committed cost sharing is prohibited.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years. Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Progress Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the general public must be submitted. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 10 \$167,110,000; FY 11 est \$146,830,000; and FY 12 est \$160,530,000 - 1) FY 2010 Obligations are the combination of the FY 2010

Omnibus and ARRA actuals; 2) FY 2011 Obligation estimates are from the FY 2011 NSF Current Plan; 3) FY 2012 Obligations estimates are from the FY 2012 Request.

The EPSCoR Co-funding program is designed to provide support for efforts that were evaluated at or near the cutoff for program funding.

**Range and Average of Financial Assistance:**

\$5,000 to \$120,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF [www.nsf.gov](http://www.nsf.gov); CFR Chapter 25; 45 CFR Chapter VI; Grant Proposal Guide ([www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg\\_index.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg_index.jsp)); Proposal and Award Policy and Procedures Guide ([www.nsf.gov/publications/pubsumm.jsp?odskey=papp](http://www.nsf.gov/publications/pubsumm.jsp?odskey=papp)).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra Woodard 4201 Wilson Blvd., Room II-655, Arlington, Virginia 22230  
Email: [swoodard@nsf.gov](mailto:swoodard@nsf.gov) Phone: 7032927028 Fax: 7032929007

**Website Address:**

<http://www.nsf.gov/oia>.

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed

activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?; and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens—women and men, underrepresented minorities, and persons with disabilities—is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## **RAILROAD RETIREMENT BOARD**

### **57.001 SOCIAL INSURANCE FOR RAILROAD WORKERS**

#### **FEDERAL AGENCY:**

Railroad Retirement Board

#### **AUTHORIZATION:**

Railroad Retirement Act of 1974, Public Law 93-445, 88 Stat. 1305, 45 U.S.C. 231; American Recovery and Reinvestment Act of 2009, Title II, Part A, Section 2006, Public Law 111-005, 45 U.S.C. 352; Railroad Unemployment Insurance Act, Public Law 75-722, 52 Stat. 1094, 45 U.S.C. 351; Social Security Act of 1935, Public Law 74-271, 49 Stat. 620, 42 U.S.C. 7; Worker, Homeownership, and Business Assistance Act of 2009, Public Law 111-92, 45 U.S.C. 352; Tax Relief, Unemployment Insurance Reauthorization, and Job Creation Act of 2010, Public Law 111-312, 45 U.S.C. 352.

#### **OBJECTIVES:**

To pay rail social security level benefits (tier I), benefits based on rail service alone (tier II), vested dual benefits, supplemental annuities, annuities based on total or occupational disability, and sickness and unemployment benefits to railroad workers and, in some cases, their families to assist with expenses of daily living.

#### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

#### **USES AND USE RESTRICTIONS:**

Under the provisions of the Railroad Retirement Act and the Railroad Unemployment Insurance Act, benefits are provided for: (1) workers who retire because of age or disability, including supplemental annuities for career railroad employees; (2) eligible spouses and divorced spouses of retired employees; (3) surviving widows, widowers, divorced spouses, children, and dependent parents of deceased employees; (4) unemployed workers; and (5) workers who are sick or injured. In addition, the Railroad Retirement Board participates in the administration of the Medicare program, which covers railroad retirement beneficiaries on the same basis as other eligible persons. The American Recovery and Reinvestment Act also authorized extended unemployment benefits for certain individuals through December 31, 2009, and the Worker, Homeownership, and Business Assistance Act continued the authorization through December 31, 2010. The Tax Relief, Unemployment Insurance Reauthorization, and Job Creation Act continued the authorization through December 31, 2011.

#### **Applicant Eligibility:**

Under the Railroad Retirement Act, for employee, spouse and survivor benefits the employee must have had 10 or more years of railroad service or, for annuities beginning January 2002 or later, 5 years of railroad service rendered after 1995. For survivors to be eligible for benefits, the employee must also have been insured at death. Under the Railroad Unemployment Insurance Act, an employee must have earned at least \$3,325.00 in calendar years 2009, 2010 and 2011 (counting no more than \$1,330 in calendar years 2009, 2010 and 2011) and, if a new employee, must have worked for a railroad at least 5 months in a calendar (base) year to be a qualified employee in the applicable benefit year.

#### **Beneficiary Eligibility:**

Individuals, families, pension recipients.

#### **Credentials/Documentation:**

Proof of age must be provided for retirement benefits. For spouse and survivor benefits, proof of marriage and familial relationship is required. Medical evidence is necessary for disability and sickness benefits. Registration is required in order to receive unemployment benefits. Other proofs, such as military service, must also be submitted as required by law. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for retirement, disability, survivor, unemployment or sickness benefits should be made to any office of the Railroad Retirement Board. Individuals can call (1-877) 772-5772 for the location of the nearest office. Application for unemployment benefits can also be made on-line—see [www.rrb.gov](http://www.rrb.gov).

#### **Award Procedure:**

The Office of Programs makes awards under the Railroad Retirement Act and the Railroad Unemployment Insurance Act. After review of the application is completed, the applicant will be notified by mail.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Varies depending upon complexity of claim.

#### **Appeals:**

From 30 to 60 days. Initial appeals are made to the agency's Reconsideration Section, with subsequent appeals to the Bureau of Hearings and Appeals, the Board and the U.S. Court of Appeals.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Benefits are paid on a one-time or recurring basis as long as eligibility is maintained. The death of the recipient generally terminates payment of benefits. See the following for information on how assistance is awarded/released: Section 093 (ante) provides information on the award process, with payments released on a monthly, periodic or lump sum basis.

#### **Reports:**

Any change in address or eligibility requirements (such as the death of a recipient, work status, excess earnings, marital/family status, medical condition or school attendance) should be reported to the Railroad Retirement Board when it occurs. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

60-0111-0-1-601 - Dual Benefits Payments Account; 60-0117-0-1-603 - Railroad Unemployment Insurance Extended Benefit Payments; 60-0114-0-1-603 - Railroad Unemployment Insurance Extended Benefit Payments, Recovery Act; 60-8010-0-7-601 - Social Security Equivalent Benefit Account; 60-8051-0-7-603 - Railroad Unemployment Insurance Account; 60-8011-0-7-601 - Railroad Retirement Account.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$10,952,000,000; FY 11 est \$11,071,000,000; and FY 12 est \$11,413,000,000 - \$1 million in 2010 is attributable to RUIA portion of the Recovery Act, with \$19 million in 2010 and \$10 million in 2011 and \$4 million in 2012 attributable to the RUIA portion of the Workforce, Homeownership and Business Assistance Act, as amended by the Tax Relief, Unemployment Insurance Reauthorization, and Job Creation Act.

**Range and Average of Financial Assistance:**

(1) Employee age annuities-monthly maximum \$4,338, average \$2,228; (2) employee disability-monthly maximum \$4,287, average \$2,239; (3) employee supplemental annuities-monthly maximum \$70, average \$42; (4) married spouse benefits-monthly maximum \$2,072, average \$842; (5) widows and widowers-monthly maximum \$4,147, average \$1,349; (6) widowed mothers and fathers-monthly maximum \$3,661, average \$1,651; (7) children-monthly maximum \$2,408, average \$941; (8) unemployment and sickness-weekly maximum for benefit year 2011 to 2012 \$330, expected average \$330.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: About 582,000 individuals received benefits under the Railroad Retirement Act and some 38,000 received unemployment and sickness benefits. Fiscal Year 2011: An estimated 578,000 individuals should receive benefits under the Railroad Retirement Act and 28,000 should receive unemployment and sickness benefits. Fiscal Year 2012: An estimated 574,000 individuals should receive benefits under the Railroad Retirement Act and 28,000 should receive unemployment and sickness benefits.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Benefits paid under the Railroad Retirement Act and the Railroad Unemployment Insurance Act are covered in Chapter 20 of the Code of Federal Regulations, Parts 200 through 350. Information on benefits is also available in press releases and various publications. They can be obtained free of charge at any Railroad Retirement Board office and on the agency web site ([www.rrb.gov](http://www.rrb.gov)). Information on extended unemployment benefits is also available at the Recovery Act web site ([www.recovery.gov](http://www.recovery.gov)).

**Regional or Local Office:**

See Regional Agency Offices. The Railroad Retirement Board has 53 local offices around the country. To contact or obtain the address for the nearest office, call (1-877) 772-5772.

**Headquarters Office:**

Railroad Retirement Board 844 North Rush Street, Chicago, Illinois 60611-2092 Email: [opa@rrb.gov](mailto:opa@rrb.gov) Phone: (312) 751-4777 Fax: (312) 751-7154

**Website Address:**

<http://www.rrb.gov>.

**RELATED PROGRAMS:**

17.225 Unemployment Insurance; 57.005 Economic Recovery Payments; 93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 96.001 Social Security\_Disability Insurance; 96.002 Social Security\_Retirement Insurance; 96.004 Social Security\_Survivors Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**57.005 ECONOMIC RECOVERY PAYMENTS****FEDERAL AGENCY:**

Railroad Retirement Board

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Railroad Retirement Act of 1974, as amended, Public Law 93-445, 45 U.S.C. 231 et seq.

**OBJECTIVES:**

To make one-time payments to eligible beneficiaries of Railroad Retirement benefits, most of whom subsist on a fixed income, in order to assist with living expenses and contribute to the nations economic recovery.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

A one-time payment of \$250 will be paid to eligible recipients of benefits under the Railroad Retirement Act. There are no restrictions on the use of the payment. If an individual has a representative payee acting in a fiduciary capacity, that payee is required to use the payment for the benefit of that individual. The American Recovery and Reinvestment Act also authorized such payments for certain recipients of Social Security and Veterans benefits, but an individual may not receive more than one \$250 payment. The amount of the payment may be offset by the Department of the Treasury to collect delinquent child support and debts owed to State and Federal agencies.

**Applicant Eligibility:**

Specialized group (e.g. health professionals, students, veterans)-Income Security/Social Service/Welfare.

**Beneficiary Eligibility:**

Individual/Family,Specialized group (e.g. health professionals, students, veterans).

**Credentials/Documentation:**

In order to receive the one-time payment, an individual must have been entitled to the underlying Railroad Retirement benefit during November 2008, December 2008, or January 2009. Proof of age must be provided for retirement benefits. For spouse and survivor benefits, proof of marriage and familial relationship is required. Medical evidence is necessary for disability benefits. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary for the one-time payment. The Railroad Retirement Board will certify the individuals entitled to the one-time payment and provide the Department of the Treasury with the information needed for disbursement. Application for the underlying Railroad Retirement benefits can be made at any office of the Railroad Retirement Board. Individuals can call 1-877-772-5772 for the location of the nearest office.

**Award Procedure:**

The Department of the Treasury will make the payments to individuals certified as eligible by the Railroad Retirement Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Individuals who did not receive the payment because recurring benefits were suspended for a reason other than death receive payments as part of periodic catch-up processing runs.

**Appeals:**

Individuals who are eligible for a one-time payment but have not received it should contact the Railroad Retirement Board at 1-877-772-5772. In terms of

eligibility determinations for the underlying Railroad Retirement benefits, initial appeals are made to the agency's Reconsideration Section, with subsequent appeals to the Bureau of Hearings and Appeals, the Board and the U.S. Court of Appeals.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not Applicable.

**Account Identification:**

60-0115-0-1-601 - Economic Recovery Payments.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$388,000; FY 11 est \$41,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Eligible Railroad Retirement beneficiaries will each receive a one-time payment of \$250.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: About 1,600 individuals received payments. Fiscal Year 2011: An estimated 200 individuals will receive payments. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Code of Federal Regulations, Parts 200 through 295, covers benefits paid under the Railroad Retirement Act. Information on Railroad Retirement benefits and the one-time payment is also available in press releases, similar documents and various publications. They can be obtained free of charge at any Railroad Retirement Board office and on the agency web site ([www.rrb.gov](http://www.rrb.gov)). Information on the one-time payment is also available at the Recovery Act web site ([www.recovery.gov](http://www.recovery.gov)).

**Regional or Local Office:**

See Regional Agency Offices. The Railroad Retirement Board has 53 local offices around the country. To contact or obtain the address for the nearest office, call 1-877-772-5772.

**Headquarters Office:**

Railroad Retirement Board, 844 North Rush Street, Chicago, Illinois 60611-2092 Email: [opa@rrb.gov](mailto:opa@rrb.gov) Phone: (312) 751-4777.

**Website Address:**

<http://www.rrb.gov>

**RELATED PROGRAMS:**

57.001 Social Insurance for Railroad Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**SMALL BUSINESS ADMINISTRATION**

**59.059 CONGRESSIONAL GRANTS**

Congressional grants

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Enacted appropriations act for the Small Business Administration.

**OBJECTIVES:**

Provide funding for small business development and entrepreneurship initiatives, including programmatic and construction activities.

**TYPES OF ASSISTANCE:**

Project Grants (Capacity Building and Complaint Processing, Training); Project Grants (Discretionary); Project Grants (for specified projects); Project Grants (including individual awards)

**USES AND USE RESTRICTIONS:**

Specific grants for research, training, demonstration projects, small business assistance, construction, community and economic development, educational programs, business and infrastructure development, and/or rural development. Funding can only be used for grant projects included in the statutory language for a specific purpose.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Recipients need to submit to SBA a completed application under Grants.gov prior to receiving any type of funding. Only once application is considered complete by SBA shall any funding be disbursed. Funds are only disbursed via reimbursement of project related expenses. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. None

**Award Procedure:**

Completion of application form to satisfaction of SBA on Grants.gov. Upon satisfactory completion a notice of award is signed with applicant. This process is followed by reimbursement from SBA of expenses incurred followed by a closing of award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. None.

**Appeals:**

From 60 to 90 days. None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. This program has no matching requirements.  
This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for the current and next fiscal year following enactment of an appropriation. Money awarded must be spent within five years following enactment. See the following for information on how assistance is awarded/released: Reimbursement following receipt of a project related invoice.

**Reports:**

Standard Form PPR must be submitted quarterly. Standard Form 425 must be submitted quarterly. Standard Form PPR must be submitted quarterly. Standard

Form 425 must be submitted quarterly. Yes, SBA reviews the Standard Form PPR and Standard Form 425 and compares to goals and objectives of project pursuant to chart of milestones.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. OMB Circular No. A-133 identifies the audit procedures for the program.

**Records:**

SBA requires that the recipient maintain records for three years following final disbursement of funds.

**Account Identification:**

73-0100-0-1-376 - Salaries and Expenses for SBA.

**Obligations:**

(Project Grants) FY 10 \$56,098,000; FY 11 est \$0; and FY 12 est \$0 - None.

**Range and Average of Financial Assistance:**

Awards are in the range of \$35,000 to \$2,000,000 with an average of \$214,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

2 CFR Part 215

**Regional or Local Office:**

None.

**Headquarters Office:**

Karen Hontz 409 3rd. Street, SW, Suite 5000, Washington, District of Columbia 20416 Email: Karen.Hontz@sba.gov Phone: 202-205-6622 Fax: 202-205-6821

**Website Address:**

<http://sba.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**59.060 SMALL BUSINESS TEAMING PILOT PROGRAM**

Small Business Teaming Pilot Program

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Jobs Act of 2010, Public Law 111-240.

**OBJECTIVES:**

The purpose of this funding opportunity is to provide eligible organizations with financial assistance to fund projects to assist and guide teams of small business concerns through training, counseling, and/or mentoring activities designed to enhance their ability to compete for larger procurement contracts.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants; Project Grants (including individual awards)

**USES AND USE RESTRICTIONS:**

Financial assistance under this Section may be given for projects that respond to requirements outlined in each respective program announcement such as the provision of valuable training, counseling and/or mentoring activities to teams of small businesses or joint ventures populated by small business concerns. Types of assistance and guidance must address at a minimum: customer

relations and outreach, team relations and outreach, and performance measurement and quality assurance. Recipients of awards made under this program will be expected to help small business concerns find other firms that may be interested in teaming with them, assist small business concerns with the formation and execution of teaming arrangements, aid teams of small business concerns with identifying appropriate larger contracting opportunities, and assist teams of small business concerns with the preparation and submission of bids and offers. Funds may only be used for the establishment of small business concerns, teaming and joint venture relationships.

**Applicant Eligibility:**

Private for-profit or private not-for-profit organizations and businesses that have experience dealing with issues relating to small business on a national basis; and demonstrate that it has the capacity to provide assistance to small business concerns.

**Beneficiary Eligibility:**

Small business concerns including, 8(a) program certified firms, HubZone certified firms, service-disabled veteran owned concerns, small businesses small disadvantaged businesses, and women-owned concerns.

**Credentials/Documentation:**

Entities must submit audited financial statements as well as resumes and other documentation as required by Grants.gov and the SBA program office. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circular No. A-110 applies to this program. Application proposal submitted electronically via the [www.Grants.gov](http://www.Grants.gov) government point of entry.

**Award Procedure:**

Decisions on acceptance are made by the Office of Procurement and Grants Management based upon recommendations of the Director, Office of Government Contracting. The Grants Management Officer notifies successful applicants by Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Variable. See additional information at [www.sba.gov/teaming](http://www.sba.gov/teaming).

**Appeals:**

See additional information at [www.sba.gov](http://www.sba.gov).

**Renewals:**

Contact the Federal agency. See additional information at [www.sba.gov](http://www.sba.gov).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a maximum of 1 year with options as stated in the individual announcements. Disbursements are made within a few days of receipt of all required documents along with the request for disbursement. Disbursements are made in partial payments based on work successfully performed. See the following for information on how assistance is awarded/released: See additional information at [www.sba.gov](http://www.sba.gov). See the following for information on how assistance is awarded/released: Costs reimbursement upon presentation of proper invoice.

**Reports:**

See additional information at [www.sba.gov](http://www.sba.gov). See additional information at [www.sba.gov](http://www.sba.gov). See additional information at [www.sba.gov](http://www.sba.gov). See additional information at [www.sba.gov](http://www.sba.gov).



**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Pre-award accounting system survey. Final audit by a certified or licensed public accountant.

**Records:**

Appropriate records as needed for above requirements.

**Account Identification:**

73-0100-0-1-376 - Salaries and Expenses Account.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$0; FY 11 est \$5,000,000; and FY 12 est \$5,000,000 - Funding for FY 2011 and FY 2012 was provided in the Small Business Jobs Act.

**Range and Average of Financial Assistance:**

\$250,000 to \$500,000 with an average of \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ajoy Sinha 409 3rd. Street, S.W., Suite 8000, Washington, District of Columbia 20416 Email: Ajoy.Sinha@sba.gov Phone: 202-205-1904 Fax: 202-481-0121

**Website Address:**

<http://www.sba.gov/teaming>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See program announcement.

**59.061 STATE TRADE AND EXPORT PROMOTION PILOT GRANT PROGRAM**

State Trade and Export Promotion Pilot Grant Program

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Jobs Act of 2010, Section 1207, Public Law 111-240.

**OBJECTIVES:**

To increase the number of small businesses that are exporting and increase the value of exports for those small businesses that are currently exporting.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (Capacity Building and Complaint Processing, Training); Project Grants (Cooperative Agreements or Contracts); Project Grants (Discretionary); Project Grants (including individual awards); Project Grants (Special)

**USES AND USE RESTRICTIONS:**

Funds are restricted export promotion activities that assist eligible small business concerns. Reference STEP Pilot program announcement. Reference STEP Pilot program announcement.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Documentation must include endorsement of the State Governor or his/her designee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A state may not submit more than 1 application for a grant under the program in any 1 federal fiscal year. This program is subject to the provisions of 13 CFR 143 (Uniform Administrative Requirements for Grants and Cooperative Agreements to States and local governments); and OMB Circular A-87 (Cost Principles for State, Local, and Indian Tribal Governments). The proposal must be submitted via [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

SBA Headquarters executes cooperative agreements to approved applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Prior to the end of the Federal fiscal year (i.e., September 30th).

**Appeals:**

Varies with individual proposals.

**Renewals:**

Applicants may apply each year of the 3-year term of the pilot program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The 10 states with the highest number of exporters that are small business concerns based upon the latest data available from the Department of Commerce shall receive no more than 40 percent of the total Federal Fiscal year appropriation. The Federal Share of project cost for a State that has a high export volume will be 65%. The Federal share of project cost for a State that does not have a high export volume will be 75%. (The Associate Administrator for the SBA Office of International Trade will determine which States have the high volume of exports). The State must match the remainder of project cost. The match must be comprised of not less than 50% cash and not more than 50% of indirect costs and in-kind contributions. Matching funds may not be derived from any Federal program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements are limited to 1 year. Payments are made by cost reimbursement or in advance as specified in the Notice of Award. See the following for information on how assistance is awarded/released: Reference STEP Pilot Program Announcement; STEP Management Plan; STEP Merit-based Review Process.

**Reports:**

Reference STEP Pilot Program Announcement and notice of award document. Reference STEP Pilot Program Announcement and notice of award document. Reference STEP Pilot Program Announcement and notice of award document. Reference STEP Pilot Program Announcement and notice of award document. Reference STEP Pilot Program Announcement and notice of award document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The legislation requires SBAs Office of Inspector General (OIG) to conduct a review that determines the extent the recipients of grants are measuring the performance of activities, the results of the measurements, and the overall management and effectiveness of the program. Also, in accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local governments, and non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The SBA/Office of International Trade shall maintain detailed, complete, and accurate client activity records of sufficiency to reflect clearly the nature and variety of STEP trade promotion activities that are conducted to benefit small businesses. Financial records will be maintained until 3 years after the completion of the grant period.

**Account Identification:**

73-0100-0-1-376.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$31,250,000; and FY 12 est \$31,250,000

**Range and Average of Financial Assistance:**

No data available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Not applicable. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

STEP Pilot Program Announcement

**Regional or Local Office:**

See Regional Agency Offices. Addresses of SBA district offices are provided via [www.SBA.gov](http://www.SBA.gov).

**Headquarters Office:**

SBA Executive Secretariat 409 3rd. Street, SW, Washington, District of Columbia 20416 Email: [SBAExecSec@sba.gov](mailto:SBAExecSec@sba.gov) Phone: 1-800-827-5722

**Website Address:**

<http://www.sba.gov/STEP>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are competitive. Selection is made based on the applicants written ability to meet the criteria stated in the program announcement; and the applicants ability to match funds.

**DEPARTMENT OF VETERANS AFFAIRS**

**64.027 POST-9/11 VETERANS EDUCATIONAL ASSISTANCE**

Post 9/11 GI Bill - Chapter 33 - Veterans Benefits Administration

**FEDERAL AGENCY:**

Department of Veterans Affairs

**AUTHORIZATION:**

Post-9/11 Veterans Educational Assistance Act of 2008, 38 U.S.C Chapter 33.

**OBJECTIVES:**

To help servicepersons adjust to civilian life after separation from military service, assist in the recruitment and retention of highly qualified personnel in the active and reserve components in the Armed Forces by providing education

benefits, and to provide educational opportunities to the dependents of certain service members and veterans.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Participants may pursue approved programs of education offered by an institution of higher learning (IHL). Participants may also receive reimbursement for an approved licensing or certification test.

**Applicant Eligibility:**

What follows is not a complete list of eligibility requirements. For more information on the latest changes to the Post-9/11 GI Bill go to the VA web-site address listed below.

Individuals who entered active duty after September 10, 2001 may be eligible for the Post-9/11 GI Bill. Individuals can use the Post-9/11 GI Bill after serving 90 days on active duty (excluding entry level and skill training). Only periods of active duty under title 10 will be used to establish eligibility for the Post 9/11 GI Bill. A high school diploma or equivalency certificate is always required for eligibility. Individuals who are eligible for the Montgomery GI Bill Active Duty (chapter 30), the Montgomery GI Bill Selected Reserve (chapter 1606), or the Reserve Educational Assistance Program (REAP) will have to make an irrevocable election to relinquish eligibility under one of those benefit programs to establish eligibility under the Post-9/11 GI Bill. The dependent children of a person who died in the line of duty while serving as a member of the Armed Forces may be eligible to use benefits under the Fry Scholarship provision of the Post-9/11 GI Bill. The spouse and/or child(ren) of a veteran or service member may be eligible for the Post 9/11 GI Bill if the veteran or service member transfers entitlement to those dependents. Eligibility to transfer entitlement to dependents is determined by the Department of Defense.

**Beneficiary Eligibility:**

As stated above under Applicant Eligibility.

**Credentials/Documentation:**

Military discharge certificate (DD 214) is sometimes required; enrollment certification by institution offering training is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Service members and veterans may apply for Post-9/11 GI Bill benefits by completing and submitting the Application for VA Education Benefits (VA Form 22-1990). Dependent children may apply for Fry Scholarship provision of the Post-9/11 GI Bill benefits by completing and submitting the Dependents Application for Education Benefits (VA Form 22-5490). Dependent spouses and children may apply to use transferred benefits by completing and submitting the Application for Family Member to use Transferred Benefits (VA Form 22-1990e).

Applications may be obtained and completed online via the GI Bill website at [www.GIBill.va.gov](http://www.GIBill.va.gov). Applications are also available at all VA Regional Offices.

**Award Procedure:**

Awards are authorized at the designated VA Regional Processing Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. A least 76.97 percent of applications were processed within 90 days or less in fiscal year 2009.

**Appeals:**

From 90 to 120 days. Appeals are available through a special board; average response time was 116.9 days in 2009.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Lump sum payments for tuition and fees and the Yellow Ribbon Program are issued directly to the IHL on behalf of the student. Students generally receive monthly payments of the housing allowance and a lump sum payment of the books and supplies stipend. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

36-0137-0-1-702.

**Obligations:**

(Direct Payments for Specified Use) FY 10 Not Available; FY 11 est \$8,618,638,000; and FY 12 Not Separately Identifiable

**Range and Average of Financial Assistance:**

The amount of educational assistance an individual is entitled to varies based on the amount of time served on active duty, the amount of tuition and fees charged, and the Basic Allowance for Housing payable for an E-5 with dependents in the zip code where the student attends school. In most cases, the benefits last for 36 (48 months when combined with other VA education benefits) calendar months of full-time training. The work-study allowance is limited to the higher of the Federal minimum wage or the State minimum wage where the work is performed. Tutorial assistance may not exceed \$1200 and reimbursement for a licensing or certification test may not exceed \$2000. The rural benefit is a one-time payment of \$500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The student estimates for fiscal years 2010 and 2011 are 461,676 and 510,149, respectively. Fiscal Year 2011: The student estimates for fiscal years 2010 and 2011 are 461,676 and 510,149, respectively. Fiscal Year 2012: The student estimates for fiscal years 2010 and 2011 are 461,676 and 510,149, respectively.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 21.9500-21.9770

**Regional or Local Office:**

See Regional Agency Offices. 1-888-GI-BILL-1 (1-888-442-4551).

**Headquarters Office:**

Michelle Staton, Department of Veterans Affairs, Central Office, Washington, District of Columbia 20420 Email: michelle.staton@va.gov Phone: (202) 461-9800.

**Website Address:**

<http://www.GIBILL.va.gov>.

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.028 POST-9/11 VETERANS EDUCATIONAL ASSISTANCE**

Post-9/11 GI Bill - Chapter 33 - Veterans Benefits Administration

**FEDERAL AGENCY:**

Department of Veterans Affairs

**AUTHORIZATION:**

Supplemental Appropriations Act, 2008, Public Law 110-252, 38 U.S.C 33.

**OBJECTIVES:**

To help servicepersons adjust to civilian life after separation from military service, assist in the recruitment and retention of highly qualified personnel in the active and reserve components in the Armed Forces by providing education benefits, and to provide educational opportunities to the dependents of certain service members and veterans.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Participants may pursue approved programs of education offered by an institution of higher learning (IHL). Participants may also receive reimbursement for an approved licensing or certification test. Participants may pursue approved programs of education offered by an institution of higher learning (IHL). Participants may also receive reimbursement for an approved licensing or certification test.

**Applicant Eligibility:**

What follows is not a complete list of eligibility requirements. For more information on the latest changes to the Post-9/11 GI Bill go to the VA web-site address listed below.

Individuals who entered active duty after September 10, 2001 may be eligible for the Post-9/11 GI Bill. Individuals can use the Post-9/11 GI Bill after serving 90 days on active duty (excluding entry level and skill training). Only periods of active duty under title 10 will be used to establish eligibility for the Post 9/11 GI Bill. A high school diploma or equivalency certificate is always required for eligibility. Individuals who are eligible for the Montgomery GI Bill Active Duty (chapter 30), the Montgomery GI Bill Selected Reserve (chapter 1606), or the Reserve Educational Assistance Program (REAP) will have to make an irrevocable election to relinquish eligibility under one of those benefit programs to establish eligibility under the Post-9/11 GI Bill. The dependent children of a person who died in the line of duty while serving as a member of the Armed Forces may be eligible to use benefits under the Fry Scholarship provision of the Post-9/11 GI Bill. The spouse and/or child(ren) of a veteran or service member may be eligible for the Post 9/11 GI Bill if the veteran or service member transfers entitlement to those dependents. Eligibility to transfer entitlement to dependents is determined by the Department of Defense.

**Beneficiary Eligibility:**

As stated above under Applicant Eligibility.

**Credentials/Documentation:**

Military discharge certificate (DD 214) is sometimes required; enrollment certification by institution offering training is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Service members and veterans may apply for Post-9/11 GI Bill benefits by completing and submitting the Application for VA Education Benefits (VA Form 22-1990).

Dependent children may apply for Fry Scholarship provision of the Post-9/11 GI Bill benefits by completing and submitting the Dependents Application for Education Benefits (VA Form 22-5490). Dependent spouses and children may apply to use transferred benefits by completing and submitting the Application for Family Member to use Transferred Benefits (VA Form 22-1990e). Applications may be obtained and completed online via the GI Bill website at

www.GIBill.va.gov. Applications are also available at all VA Regional Offices.

**Award Procedure:**

Awards are authorized at the designated VA Regional Processing Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

A least 76.97 percent of applications were processed within 90 days or less in fiscal year 2009.

**Appeals:**

Appeals are available through a special board; average response time was 116.9 days in 2009.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Lump sum payments for tuition and fees and the Yellow Ribbon Program are issued directly to the IHL on behalf of the student. Students generally receive monthly payments of the housing allowance and a lump sum payment of the books and supplies stipend. See the following for information on how assistance is awarded/released: Lump sum payments for tuition and fees and the Yellow Ribbon Program are issued directly to the IHL on behalf of the student. Students generally receive monthly payments of the housing allowance and a lump sum payment of the books and supplies stipend.

**Reports:**

Educational assistance will not be paid until VA receives certification of enrollment from the IHL. Beneficiaries are required to notify the IHL and VA of any changes to enrollment. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

36-0137-0-1-702 - Post-9/11 Veterans Educational Assistance.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 10 Not Available; FY 11 est \$8,618,638,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

The amount of educational assistance an individual is entitled to varies based on the amount of time served on active duty, the amount of tuition and fees charged, and the Basic Allowance for Housing payable for an E-5 with dependents in the zip code where the student attends school. In most cases, the benefits last for 36 (48 months when combined with other VA education benefits) calendar months of full-time training. The work-study allowance is limited to the higher of the Federal minimum wage or the State minimum wage where the work is performed. Tutorial assistance may not exceed \$1200 and reimbursement for a licensing or certification test may not exceed \$2000. The rural benefit is a one-time payment of \$500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 461,676 trained. Fiscal Year 2011: 510,149 trained. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 21.9500-21.9770.

**Regional or Local Office:**

See Regional Agency Offices. 1-888-GI-BILL-1 (1-888-442-4551).

**Headquarters Office:**

Michelle Staton, 810 Vermont Ave., NW, Washington, District of Columbia 20420 Email: michelle.staton@va.gov Phone: (202) 461-9800.

**Website Address:**

http://www.GIBILL.va.gov

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 64.120 Post-Vietnam Era Veterans' Educational Assistance; 64.124 All-Volunteer Force Educational Assistance; 64.125 Vocational and Educational Counseling for Servicemembers and Veterans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.030 LIFE INSURANCE FOR VETERANS FACE AMOUNT OF NEW LIFE INSURANCE POLICIES ISSUED**

Life Insurance for Veterans Face Amount of New Life Insurance Policies Issued

**FEDERAL AGENCY:**

Department of Veterans Affairs

**AUTHORIZATION:**

The Housing and Economic Recovery Act of 2008, Public Law 110-289; The Veterans Benefits Act of 1992, Public Law 102-568; The Mortgage Protection Life Insurance Act of 1971, Public Law 92-95; The Servicemembers Indemnity and Insurance Act of 1951, Public Law 82-23, 38 U.S.C 1903-1922.

**OBJECTIVES:**

To provide life insurance protection for other than dishonorably discharged Veterans who are service-disabled separated from active duty on or after April 25, 1951, and to provide mortgage protection life insurance for Veterans and Servicemembers who have received a grant for specially adapted housing. These programs represent new contingent liabilities of VA and are reported under this CFDA program. VA Insurance also administers four other life insurance programs and supervises four additional programs for the benefit of Servicemembers, Veterans, their families and their beneficiaries. The four administered programs are closed to new issues. The supervised programs are not contingent liabilities of VA, and are therefore not reported under this CFDA.

**TYPES OF ASSISTANCE:**

Insurance

**USES AND USE RESTRICTIONS:**

Life insurance settlement is paid upon death of insured. The face amount of the policy, less any indebtedness on the policy, is payable to the designated beneficiary upon the insured's death under a regular life policy, and only to the mortgage holder under Veterans Mortgage Life Insurance coverage.

**Applicant Eligibility:**

A Veteran discharged under other than dishonorable conditions from active military duty, on or after April 25, 1951, who has been granted a service connection for a new disability, and who, if not for the disability would be otherwise insurable in accordance with the established standards of good health, applies for coverage within 2 years from the date of notice of the VA service-connected rating may be issued Service-Disabled Veterans Insurance. The time period in which to apply is limited to one year from the date of notice of the VA service-connected rating if the notice was provided before September 1, 1991. A Veteran insured under Service-Disabled Veterans Insurance who qualifies for waiver of premiums, who is under age 65, and who applies within one year from date of notice from VA that he/she qualifies for waiver of premiums, may be issued Supplemental Service-Disabled Veterans Insurance coverage. A Veteran or Servicemember who has been given a VA grant for specially adapted housing will be sent notice that he/she is automatically insured for mortgage protection unless he/she elects in writing not to be so insured, or fails to respond within 60 days after a final request for information on which premium can be based is mailed to him/her.

**Beneficiary Eligibility:**

If the Veteran is mentally incompetent, a VA-recognized fiduciary may apply on his/her behalf for Service-Disabled Veterans Insurance. Service Disabled Veterans Insurance may also be granted under certain conditions to mentally incompetent Veterans who were otherwise eligible for such insurance, but due to their incompetency, died without filing an application. Service-Disabled Veterans Insurance is issued by the Philadelphia Regional Office and Insurance Center to any Veterans meeting the requirements listed under Applicant Eligibility above. Veterans Mortgage Life Insurance is automatically issued to all Veterans and Servicemembers receiving a grant for specially adapted housing.

**Credentials/Documentation:**

A Veteran may apply for Service-Disabled Veterans Insurance by submitting the application on VA Form 29-4364 or VA Form 29-0151. A Veteran may also apply online using the VAs AutoForm application. Veterans and Servicemembers who receive a grant for specially adapted housing are automatically approved for Veterans Mortgage Life Insurance. They must submit the following mortgage documentation for VA to establish premiums for coverage: Settlement Statement; Truth-In-Lending Disclosure Statement; and current mortgage account statement. Failure to provide these documents in a timely manner will result in coverage not being issued. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Upon receipt of VAs notice of eligibility for Service-Disabled Veterans Insurance, a Veteran may apply by submitting the application on VA Form 29-4364. Upon receipt of notice from VA that he/she qualifies for waiver of premiums, an individual insured under Service-Disabled Veterans Insurance may apply for additional supplemental coverage by submitting an application on VA form 29-0190. He/she may be guided by VA Pamphlet 29-9 in selecting the type of policy. The form and pamphlet may be obtained from the nearest VA office (listed in Appendix IV of the Catalog) and submitted to the Philadelphia VA Regional Office and Insurance Center, P.O. Box 7208, Philadelphia, PA 19101. A Veteran or Servicemember eligible for Veterans Mortgage Life Insurance need only submit information and documentation to the Philadelphia VA Regional Office and Insurance Center, P.O. Box 7208, Philadelphia, PA 19101.

**Award Procedure:**

Individuals will be notified of the acceptance/issuance of their insurance policy by VA or the appropriate designated entity.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approvals/disapprovals will be issued from 1 to 3 months upon application for Service-Disabled Veterans Insurance after VAs notice of the service-connected rating. Veterans Mortgage Life Insurance is effective immediately upon approval of a specially adapted housing grant.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

36-8150-0-1-701.

**Obligations:**

(Insurance) FY 09 \$172,432,860; FY 10 est \$179,318,860; and FY 11 est \$190,429,480

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. For all States, contact the Department of Veterans Affairs, P.O. Box 42954, Philadelphia, PA 19101.

**Headquarters Office:**

Michelle Staton, P.O. Box 42954, Philadelphia, Pennsylvania 19101 Email: michelle.staton@va.gov Phone: (1-800) 669-8477.

**Website Address:**

<http://www.insurance.va.gov>

**RELATED PROGRAMS:**

64.103 Life Insurance for Veterans; 64.105 Pension to Veterans Surviving Spouses, and Children; 64.106 Specially Adapted Housing for Disabled Veterans; 64.109 Veterans Compensation for Service-Connected Disability; 96.001 Social Security\_Disability Insurance; 96.004 Social Security\_Survivors Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.031 LIFE INSURANCE FOR VETERANS - DIRECT PAYMENTS FOR INSURANCE**

Life Insurance for Veterans - Direct Payments for Insurance

**FEDERAL AGENCY:**

Department of Veterans Affairs

**AUTHORIZATION:**

War Risk Insurance Act, Public Law 65-90, 38 U.S.C 1903-1941; National Service Life Insurance Act, Public Law 76-801; Servicemen's Indemnity and Insurance Act, Public Law 82-23; World War Veterans Act, Public Law 68-242.

**OBJECTIVES:**

To provide direct insurance payments, including advance payments disbursed as loans, to Veterans and their beneficiaries for claims based on death or other qualifying circumstance. Payments may be authorized for Veterans of World War I, World War II, Korean conflict, Vietnam conflict, Gulf era conflicts and service-disabled Veterans separated from active duty on or after April 25, 1951, and for mortgage protection life insurance for those disabled Veterans who are given a VA grant to secure specially adapted housing under Chapter 21, Title 38, U.S.C.

**TYPES OF ASSISTANCE:**

Insurance

**USES AND USE RESTRICTIONS:**

Life insurance settlement is payable upon death of the insured, or the insured may personally surrender a permanent plan policy for cash. The insured may also be granted a loan for up to 94 percent of the cash surrender value of a

permanent plan policy. Interest on United States Government Life Insurance (WWI) policy loans is charged at the rate of 5 percent per annum. Interest is charged at a variable rate, which may change annually, for National Service Life (WWII), Veterans Special Life (Korean conflict), Service-Disabled Veterans (Korean Conflict and Continuing) and Veterans Reopened Insurance policies. The variable rate equals the yield on the Ten-Year Constant Maturities Index for U.S. Treasury securities for the month of June of each year rounded down to the next whole percentage. This loan rate is effective from the first day of October of each year and will not exceed 12 percent or be lower than 5 percent per annum. The face amount of the policy, less any indebtedness on the policy, is payable to the designated beneficiary upon the insured's death under a regular life policy, and only to the mortgage holder under Veterans Mortgage Life Insurance coverage. Other direct payments may include dividend cash option payments or other payments as authorized.

**Applicant Eligibility:**

Veterans who have purchased one of the named life insurance policies and their beneficiaries. Payment cannot be made if it would cause the insurance proceeds to revert back to a State (in the case where there are no heirs to pay).

**Beneficiary Eligibility:**

Payment may be made on a claim to a principal beneficiary, a contingent beneficiary, a representative of the estate, a minor or incompetent, or another designee filing for benefits. A beneficiary may assign all or a portion of his or her share of the insurance to a restricted class of the insured's relatives. Payments may also be made to the policyholder for loan or dividend amounts.

**Credentials/Documentation:**

Dependent on the beneficiary, the following documentation is required for payment of an insurance claim:

For a principal beneficiary, a photocopy of death certificate showing date and cause of death of insured, and Claim Form, VA Form 29-4125, Claim for One Sum Payment.

For a contingent beneficiary, death certificates for the insured and principal beneficiary(ies), and the Claim Form, VA Form 29-4125, Claim for One Sum Payment

For a representative of the Veterans estate, the death certificate(s), copies of letters testamentary, letters of administration, or a court order of distribution along with claims from the entitled parties, and a claim form signed by the executor or administrator of the estate.

For a minor or incompetent, death certificate(s); a claim from the next of kin, personal representative (guardian, custodian, etc.) or logical person to receive payment for the minor or incompetent; letters of guardianship, conservatorship, (if any); and the address of minor or incompetent.

If filing for VMLI benefits, the following documentation is needed: insured's death certificate, and a payoff statement from the Veterans or Servicemembers mortgage lender showing the outstanding mortgage balance owed as of the Veterans or Servicemembers death.

An insured's will can be used as evidence that he or she intended a lump sum payment, regardless of when it was executed. The will does not have to specifically mention the insurance, nor must it be probated.

A letter claiming the proceeds and showing a mailing address for the check may be used instead of a VA Claim Form (29-4125). The claimant should be sure to show the insurance file number and to sign the letter.

An insured can surrender the policy for its cash value by submitting VA Form 29-1546, page 1. An insured can request a loan against the cash value of the policy by submitting VA Form 29-1546, page 2, or by applying online. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Department of Veterans Affairs Regional Office and Insurance Center (VAROIC) manages the six insurance programs administered directly by VA (USGLI, NSLI, VSLI, VRI, S-DVI and VMLI). The Insurance Center is responsible for processing loans, and paying death and disability claims. For these programs, all death claims should be mailed or faxed to the Insurance Center in Philadelphia, PA.

**Award Procedure:**

Direct Insurance payments can be directly deposited into a claimant's account. The claimant must provide their checking or savings deposit account number as well as their social security number. Claimants must also provide the name, address, phone number, and the routing transit number for their financial institution. If the award check is to be mailed to the claimant's bank account, the account number and type of account (checking or savings) must be shown on the claim in addition to the name and address of the bank.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Most death awards are authorized by the Insurance Center within 10 days of receipt of the documents needed for payment.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

36-8132-0-1-701; 36-8150-0-1-701; 36-4010-0-1-701; 36-4012-0-1-701; 36-0120-0-1-701; 36-8455-0-1-701.

**Obligations:**

(Insurance) FY 09 \$0; FY 10 Estimate Not Available; and FY 11 Estimate Not Available - Death claims, disability claims, mature endowments, cash surrender, dividends, interest paid on dividend credits and deposits, policy liens established.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. For all States, contact the Department of Veterans Affairs, P.O. Box 42954, Philadelphia, PA 19101. This office should also be contacted about Veterans Mortgage Protection Life Insurance.

**Headquarters Office:**

Michelle Staton P.O. Box 42954, Philadelphia, Pennsylvania 19101 Email: michelle.staton@va.gov Phone: 1-800-669-8477

**Website Address:**

<http://www.insurance.va.gov>

**RELATED PROGRAMS:**

64.103 Life Insurance for Veterans; 64.105 Pension to Veterans Surviving Spouses, and Children; 64.106 Specially Adapted Housing for Disabled Veterans; 64.109 Veterans Compensation for Service-Connected Disability; 96.001 Social Security\_Disability Insurance; 96.004 Social Security\_Survivors Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.032 MONTGOMERY GI BILL SELECTED RESERVE; RESERVE EDUCATIONAL ASSISTANCE PROGRAM**

Montgomery GI Bill - Selected Reserve (MGIB-SR)  
Reserve Educational Assistance Program (REAP)

**FEDERAL AGENCY:**

Department of Veterans Affairs

**AUTHORIZATION:**

Federal Funding Accountability and Transparency Act, 10 U.S.C 1606-1607.

**OBJECTIVES:**

To encourage membership in units of the Selected Reserve of the Ready Reserve and to provide educational assistance to members of the reserve components called or ordered to active service in response to a war or national emergency declared by the President or Congress.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Participants may receive payment for pursuit of approved educational assistance programs. Participants may receive payment for pursuit of approved educational assistance programs.

**Applicant Eligibility:**

What follows is not a complete list of eligibility requirements. For more information on MGIB-SR and REAP visit <http://www.gibill.va.gov>. Generally, to qualify for benefits under MGIB-SR you must (1) Have a six-year obligation to serve in the Selected Reserve signed after June 30, 1985. If you are an officer, you must have agreed to serve six years in addition to your original obligation. For some types of training, it is necessary to have a six-year commitment that begins after September 30, 1990; (2) Complete your initial active duty for training (IADT); (3) Meet the requirement to receive a high school diploma or equivalency certificate before completing IADT. You may not use 12 hours toward a college degree to meet this requirement; and (4) Remain in good standing while serving in an active Selected Reserve unit. Generally, to qualify for benefits under REAP you must have served at least 90 consecutive days on active duty as a result of a call or order to active duty from a reserve component in response to a war or national emergency declared by the President or Congress.

**Beneficiary Eligibility:**

As stated above under Applicant Eligibility.

**Credentials/Documentation:**

Notice of Basic Eligibility (NOBE), or eligibility notification from the Department of Defense. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Reservist may apply for MGIB-SR and REAP benefits by completing and submitting the Application for VA Education Benefits (VA Form 22-1990).

Applications may be obtained and completed online via the GI Bill website at [www.GIBill.va.gov](http://www.GIBill.va.gov). Applications are also available at all VA Regional Offices.

**Award Procedure:**

Awards are authorized at the designated VA Regional Processing Office. Participants may use benefits while serving in an active selected reserve unit. MGIB-SR participants released due to disability will have 14 years from their date of eligibility to use benefits. REAP participants generally have 10 years from their release date to use education benefits.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

In fiscal year 2010, 90 percent of original applications under MGIB-SR, and 86 percent of original applications under REAP were processed within 90 days or less. In fiscal year 2010, 98 percent of supplemental applications under MGIB-SR and 97 percent of supplemental applications under REAP were processed within 90 days or less.

**Appeals:**

Appeals are available through a special board; average response time was 116.9 days for MGIB-SR and REAP in 2009.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Reservists receive monthly payments in most instances. Accelerated payments (one-time payments) equal to 60% of the cost of the course are available for certain high cost courses. Advance payment of the first 2 months of benefits for an enrollment period may be available. See the following for information on how assistance is awarded/released: Reservists receive monthly payments in most instances. Accelerated payments (one-time payments) equal to 60% of the cost of the course are available for certain high cost courses. Advance payment of the first 2 months of benefits for an enrollment period may be available.

**Reports:**

Educational assistance will not be paid until VA receives certification of enrollment from the school. Beneficiaries are required to notify the school and VA of any changes to enrollment. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

36-0137-0-1-702.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$304,249,000; FY 11 est \$321,464,000; and FY 12 Estimate Not Available - (Direct Payments) MGIB-SR: FY 09 \$163,962,000; FY10 \$195,223,000; FY 11 EST \$230,630,000  
REAP: FY 09 \$177,705,000; FY 10 \$109,026,000; FY 11 EST \$90,834,000.

**Range and Average of Financial Assistance:**

The amount of educational assistance an individual is entitled to under chapter 1606 is \$337, based on full time training for FY 2010. Assistance under chapter 1607 for FY 2010 is \$1,140.80 for consecutive service of 2 or more years, \$855.60 for one year, but less than two, and \$570.40 for 90 days but less than a year of service. Chapter 1607 rates are based on MGIB chapter 30 three year rate.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: MGIB-SR: For fiscal years 2009 and 2010, there were 63,484 and 67,381 trainees, respectively. REAP: For fiscal years 2009 and 2010, there were 3,131 and 30,281 trainees, respectively. Fiscal Year 2011: MGIB-SR: The student estimate for fiscal year 2011 is 78,666. REAP: The student estimate for fiscal year 2011 is 24,929. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 10, U.S. Code, chapters 1606 and 1607.

**Regional or Local Office:**

See Regional Agency Offices. 1-888-GI-BILL-1 (1-888-442-4551).

**Headquarters Office:**

Michelle Staton Department of Veterans Affairs, Central Office, Washington, District of Columbia 20420. Phone: (202) 461-9800.

**Website Address:**

<http://www.GIBILL.va.gov>.

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 64.120 Post-Vietnam Era Veterans' Educational Assistance; 64.124 All-Volunteer Force Educational Assistance; 64.125 Vocational and Educational Counseling for Servicemembers and Veterans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.033 VA SUPPORTIVE SERVICES FOR VETERAN FAMILIES PROGRAM**

VA Supportive Services for Veteran Families Program

**FEDERAL AGENCY:**

Department of Veterans Affairs

**AUTHORIZATION:**

Veterans Mental Health and Other Care Improvements Act of 2008, Public Law 110-387, 38 U.S.C 2044.

**OBJECTIVES:**

To provide supportive services grants to private non-profit organizations and consumer cooperatives who will coordinate or provide supportive services to very low-income Veteran families who: (i) are residing in permanent housing, (ii) are homeless and scheduled to become residents of permanent housing within a specified time period, or (iii) after exiting permanent housing within a specified time period, are seeking other housing that is responsive to such very low-income Veteran families needs and preferences.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Section 604 of the Veterans Mental Health and Other Care Improvements Act of 2008 (Public Law 110-387) established VAs Supportive Services for Veteran Families (SSVF) Program. The SSVF Program provides grants to private non-profit organizations and consumer cooperatives that will coordinate or provide supportive services to Veterans and their families who have less than 50% area median income and (i) are residing in permanent housing, (ii) are homeless and scheduled to become residents of permanent housing within a specified time period, or (iii) after exiting permanent housing within a specified time period, are seeking other housing that is responsive to such very low-income Veteran families needs and preferences. Grantees are responsible for providing outreach, case management, linkages to VA benefits, and linkages to other public benefits with the supportive services grant funds. Grantees may choose to provide temporary financial assistance on behalf of the Veteran family for certain costs. Limitations on the use of supportive services grant funds, including time and amount limitations, are described in 38 CFR Part 62.

**Applicant Eligibility:**

Applicants eligible for grants must be either a private non-profit organization or

a consumer cooperative. The SSVF Program defines a private non-profit organization as: 1. An incorporated private institution or foundation that (a) has no part of the net earnings that inure to the benefit of any member, founder, contributor, or individual; (b) has a governing board that is responsible for the operation of the supportive services; and (c) is approved by VA as to financial responsibility; 2. A for-profit limited partnership, the sole general partner of which is an organization that (a) has no part of the net earnings that inure to the benefit of any member, founder, contributor, or individual; (b) has a governing board that is responsible for the operation of the supportive services; and (c) is approved by VA as to financial responsibility; 3. A corporation wholly owned and controlled by an organization that (a) has no part of the net earnings that inure to the benefit of any member, founder, contributor, or individual; (b) has a governing board that is responsible for the operation of the supportive services; and (c) is approved by VA as to financial responsibility; or 4. A tribally designated housing entity (as defined in section 4 of the Native American Housing Assistance and Self-Determination Act of 1996 (25 U.S.C. 4103)). The SSVF Program defines a consumer cooperative as having the meaning given such term in section 202 of the Housing Act of 1959 (12 U.S.C. 1701q).

**Beneficiary Eligibility:**

Veteran families, meaning families in which the head of household or the spouse of the head of household served in the active military, naval, or air service, and who was discharged or released therefrom under conditions other than dishonorable. Eligible Veteran families must be very-low income, meaning their annual income, as determined in accordance with 24 CFR 5.609, does not exceed 50 percent of the median income for an area or community. Eligible Veteran families must also fall within one of the following categories: (i) residing in permanent housing; (ii) homeless and scheduled to become a resident of permanent housing within 90 days pending the location or development of housing suitable for permanent housing; or (iii) exited permanent housing within the previous 90 days to seek other housing that is responsive to the very low-income Veteran families needs and preferences.

**Credentials/Documentation:**

Proof of private non-profit organization or consumer cooperative status is required. This program is excluded from coverage under OMB Circular No. A-87. OMB Circular No. A-122 is applicable. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

VA Form 10-0508 is the application. Once per year if funds are available for the program, VA will publish in the Federal Register a notice of fund availability, soliciting applications for the grant program and information on applications for requesting eligibility to receive SSVF grant funds. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. VA Form 10-0508 and any other forms furnished by VA must be used for the program. Applications will only be accepted when received within the timeframe and meeting the requirements described in a notice of fund availability published in the Federal Register. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

Formal approval of the award of assistance is made by the Secretary of Veterans Affairs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines for program applications are established in the notices of fund availability.

**Appeals:**

If an application would have been selected but for a procedural error committed by VA, VA will select that application for potential funding when sufficient



funds become available, if there is no material change in the information that resulted in its selection. A new application will not be required for this purpose.

**Renewals:**

Subject to the availability of funds, grants may be renewed. Grantees would be required to submit a renewal application within the time frame established in a notice of fund availability.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of time limitations are established in the notice of fund availability. Grantees will receive payments electronically through the U.S. Department of Health and Human Services Payment Management System (HHS PMS). Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly and annual financial and performance reports are required. Grantees are required to enter data into a Homeless Management Information System (HMIS) Web-based software application. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained at least 3 years.

**Account Identification:**

36-0160-0-1-705.

**Obligations:**

(Project Grants) FY 10 Not Available(Exp: New Program beginning in 2011); FY 11 est \$50,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Range and average to be determined final grant award list awaiting concurrence.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Not applicable for 2010. Fiscal Year 2011: For FY 2011, VA received 382 applications in response to the SSVF Program NOFA published in December 2010. Applications were received from 47 states, the District of Columbia and Puerto Rico and the total amount of funds requested was more than \$240 million. VA anticipates awarding grants to selected applicants in summer FY 2011. Fiscal Year 2012: For FY 2011, VA received 382 applications in response to the SSVF Program NOFA published in December 2010. Applications were received from 47 states, the District of Columbia and Puerto Rico and the total amount of funds requested was more than \$240 million. VA anticipates awarding grants to selected applicants in summer FY 2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38 Code of Federal Regulations, Part 62 Supportive Services for Veteran Families Program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Vince Kane VA National Center on Homelessness Among Veterans, SSVF, 4100 Chester Avenue, Suite 201, Philadelphia, Pennsylvania 19104. Phone: 877-737-0111.

**Website Address:**

<http://www.va.gov/HOMELESS/SSVF.asp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As required by 38 CFR 62.23, applications are reviewed, rated, and ranked in priority order. Selection criteria include: (i) background, qualifications, experience, and past performance; (ii) program concept and supportive services plan; (iii) quality assurance and evaluation plan; (iv) financial capability and plan; and (v) area or community linkages and relations. Ranked scores of applicants are the primary basis for selection. However, in accordance with 38 CFR 62.23(d), VA will utilize the following considerations to select applicants for funding:

i. Preference applicants that provide or coordinate the provision of supportive services for very low-income Veteran families transitioning from homelessness to permanent housing; and ii. To the extent practicable, ensure that supportive services grants are equitably distributed across geographic regions, including rural communities and Tribal lands.

**64.034 VA ASSISTANCE TO UNITED STATES PARALYMPIC INTEGRATED ADAPTIVE SPORTS PROGRAM**

VA Assistance to United States Paralympic Integrated Adaptive Sports Program - VA Office of National Veterans Sports Programs and Special Events

**FEDERAL AGENCY:**

Department of Veterans Affairs

**AUTHORIZATION:**

Veterans' Benefits Improvement Act of 2008, Section 701, 702, and 703, Public Law 110-389, 38 U.S.C 521A.

**OBJECTIVES:**

To promote the lifelong health and to motivate, encourage and sustain participation and competition in adaptive sports from the local level through elite levels among disabled Veterans and members of the Armed Forces through partnerships with VA clinical personnel as well as national and community-based adaptive sports programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Sections 701, 702 and 703 of the Veterans Benefits Improvement Act of 2008 (Public law 110-389) established support for the assistance through a congressionally mandated earmark to the United States Olympic Committee, Paralympic Integrated Adaptive Sports Program. The grant program provides funding to private non-profit organizations that support the goal of increasing the participation of disabled Veterans and disabled members of the Armed Forces in sports.

The grantees are responsible for planning, developing, managing and implementing an integrated adaptive sports program for disabled Veterans and disabled members of the Armed Forces. This includes instruction, participation, and competition in adaptive sports; training and technical assistance to program administrators, coaches, recreational therapists, instructors, and other appropriate individuals; and coordination of athletes. It also includes athlete assessments, sport-specific training techniques, program development, and other activities related to the implementation and operation of the program.

Limitations on the use of administrative expenses are described in 38 U.S.C. Part I, Chapter 5, Subchapter II, Section 521A d (4) and (5).

**Applicant Eligibility:**

The Secretary may award the grants to the United States Paralympics, Inc., and its partners to plan, develop, manage, and implement an integrated adaptive sports program for disabled Veterans and disabled members of the Armed Forces. Partnerships must be developed between the United States Paralympics Inc., and organizations with significant experience in the training and support of disabled athletes and the promotion of disabled sports and local and national levels.

**Beneficiary Eligibility:**

In accordance with 38 U.S.C. Section 521A, the award will be made to the U.S. Olympic Committee, Paralympic, Inc. In addition, partnership agreements must be developed between Paralympic Inc. and organizations with significant experience in the training and support of disabled athletes. The partnership agreements must be with organizations that are able to recruit, support, equip, encourage, schedule, facilitate, supervise, and implement the participation of disabled Veterans and disabled members of the Armed Forces.

Those eligible to apply include Paralympic Sport Clubs, colleges/ universities, Veterans Service Organizations (VSOs) and community-based organizations. In addition, these organizations must also:

1. Serve disabled Veterans or disabled members of the Armed Forces or both.
2. Provide regular, frequent activity over an extended period of time (weeks or months) - one-time events will not be funded unless the event serves as a launching or focal point for ongoing Paralympic or non-Paralympic sport programming.
3. Be designed for long-term sustainability.
4. Have specific objectives and measurable outcomes for participation, community involvement, publicity, skill progress and/or other factors.

**Credentials/Documentation:**

Proof of the ability to perform the required assistance is required. Organizations must have significant experience in supporting disabled athletes, including the promotion of disabled sports at local and national levels. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The VA will publish, in the Federal Register, a notice of fund availability, soliciting applications for the grant program and information on applications for requesting eligibility to receive grant funds. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Forms furnished by VA must be used for the program. Applications will only be accepted when received within the timeframe and meeting the requirements described in a notice of fund availability published in the Federal Register.

**Award Procedure:**

Formal approval of the award of assistance is made by the Secretary of Veterans Affairs to the U.S. Olympic Committee, Paralympic, Inc. The USOC, Paralympics, Inc. manages the sub-awards program to participating entities, including Paralympic Sport Clubs, colleges/ universities, Veterans Service Organizations (VSOs) and community-based organizations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

The overarching grant is a congressionally mandated earmark to the United States Olympic Committee, Paralympic Integrated Adaptive Sports Program, and subject to compliance with accompanying guidelines. The USOC manages the sub-grant program in compliance with program directives.

**Renewals:**

The overarching grant is dependent upon renewal through the authorization process. Subject to the availability of funds, sub-grants may be renewed. Grantees would be required to submit a renewal application within the time

frame established in a notice of fund availability.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length-of-time limitations are established in the notice of fund availability. Grantees will receive payments electronically through the U.S. Department of Health and Human Services Payment Management System (HHS PMS). See the following for information on how assistance is awarded/released: Length-of-time limitations are established in the notice of fund availability. Grantees will receive payments electronically through the U.S. Department of Health and Human Services Payment Management System (HHS PMS).

**Reports:**

Quarterly and annual financial and performance reports are required. In addition, an annual report to the Secretary of the VA is required no later than 60 days after the end of the fiscal year detailing the use of the grant funds including the number of Veterans who participated in the integrated adaptive sports programs, participant demographics, and the administrative expenses of the program. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained at least 3 years after the end of the grant period.

**Account Identification:**

36-0151-0-1-710.

**Obligations:**

(Project Grants) FY 10 \$7,500,000; FY 11 est \$8,000,000; and FY 12 est \$8,000,000

**Range and Average of Financial Assistance:**

The range and average of financial assistance is to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, the VA received one application in response to the grant. Partnership agreements totaled 72 received from 67 communities nationwide. The VA awarded \$7.5 million in FY 2010 grant funds. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38 Code of Federal Regulations, Part 521A, Assistance for United States Paralympic Inc.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael F. Welch 810 Vermont Avenue NW, Suite 915K, Washington, District of Columbia 20420 Phone: 202-461-7464

**Website Address:**

<http://www.va.gov/adaptivesports>

**RELATED PROGRAMS:**

Not Applicable.

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2010: One example is an award given by the U.S. Paralympics, Inc., to the City of Sacramento, Department of Parks and Recreation, a Paralympic Sport Club. Working in partnership, the City was able to provide and enhance recreation and sporting activities for Veterans with physical and visual disabilities. Due to this partnership (between the VA, the U.S. Paralympics, Inc., and the City of Sacramento) over 50 Veterans worked out at the all-access facilities. The support has enabled the organization to expand the availability of sports programs for Veterans with physical and visual disabilities. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

The funds will be provided to the U.S. Olympic Committee (USOC), U.S. Paralympics, Inc., in accordance with 38 U.S.C. Section 521A. The application must include a description of the activities to be carried out with the grant, including information on specific measurable goals and objectives, including: a detailed description of all partnerships at the national and local levels that will be receiving grant funds and the proposed amount that will be awarded to each partner. Partnerships are agreements made between the USOC and organizations with significant experience in the training and support of disabled athletes and the promotion of disabled sports at the local and national levels.

## ENVIRONMENTAL PROTECTION AGENCY

### 66.001 AIR POLLUTION CONTROL PROGRAM SUPPORT

#### FEDERAL AGENCY:

Office of Air and Radiation, Environmental Protection Agency

#### AUTHORIZATION:

Clean Air Act of 1990, Section 105, Public Law 101-549.

#### OBJECTIVES:

The objectives of the 105 program are to assist State, Tribal, Municipal, Intermunicipal, and Interstate agencies in planning, developing, establishing, improving, and maintaining adequate programs for the continuing prevention and control of air pollution and/or in the implementation of national primary and secondary air quality standards.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

Funding Priority - Fiscal Year 2011: By nature, much of the work occurring in FY 2010, including the implementation of mobile, area and stationary source pollution controls, will continue into FY 2011. However, several new developments will alter the priorities for the program across the country in FY 2011 - the response to the new national ambient air quality standards (NAAQS) for ozone, lead, fine particulates (PM<sub>2.5</sub>), nitrogen dioxide (NO<sub>2</sub>), and sulfur dioxide (SO<sub>2</sub>). Recipients will continue to review air quality reports and take appropriate actions dealing with new violating areas with any of the NAAQS; submit re-designation requests including maintenance plans for areas with clean air quality data as appropriate; work with local area stakeholders to support innovative and local initiatives; continue to implement 8-hr ozone State Implementation Plans (SIPs); and submit any outstanding ozone SIP elements (including prior commitments). Recipients will also prepare recommendations on designations for the revised ozone, NO<sub>2</sub>, and SO<sub>2</sub> NAAQS. For PM<sub>2.5</sub>, recipients will submit any outstanding PM<sub>2.5</sub> SIP elements as needed and implement PM<sub>2.5</sub> plans designed to attain the 1997 NAAQS. They will continue SIP planning for attaining the 2006 PM<sub>2.5</sub> NAAQS standards. Some states will work with local agencies to implement woodstove change-out programs in areas where change-outs could significantly reduce ambient particle concentrations. Areas may also explore feasibility of changing out existing outdoor wood-fired boilers to significantly reduce PM<sub>2.5</sub> concentrations. Recipients will also work on monitoring and SIP planning to attain the Lead (Pb) NAAQS. As in FY 2010, for ambient monitoring, all state/local primary quality assurance organizations operate monitors and submit NAAQS pollutant data, Photochemical Assessment Monitoring Stations

(PAMS), and quality assurance (QA) data to AQS directly or indirectly through another organization according to schedule in 40 CFR Part 58. Data must also meet quality assurance requirements according to Appendix A to 40 CFR Part 58. These organizations will also submit their required annual (monitoring) network plans by July 1, 2011. They must also certify their 2009 NAAQS pollutant data in AQS and provide supporting documentation by May 1, 2011 (state/local only, unless tribal work plan requirement). Additionally monitoring organizations will report real time ozone and PM<sub>2.5</sub> data to the AirNOW system for cities required to report the Air Quality Index (AQI) (state/local only). Air quality reporting, including particle pollution forecasting, will be expanded to additional cities. States affected by the NOx SIP Call will continue to contribute a portion of their grant funds to support a centrally-administered emissions budget and trading program as part of their NOx State Implementation Plan. For regional haze, States and other stakeholders will continue to work with EPA on issues related to submitted regional haze SIPs and will continue to implement Best Available Retrofit Technology (BART) requirements. As in FY 2010, funds for air toxics purposes are provided to: expand existing air toxics monitoring networks operated by State, Tribal, and local agencies in order to better characterize air toxics risks and assess the effectiveness of control strategies. Recipients will collect data for the annual integrated criteria air pollutant (CAP) and hazardous air pollutant (HAP) emissions inventory; implement delegated or approved section 112, 111(d) and 129 standards, as appropriate, for major sources and area sources; implement delegated residual risk standards; and work with communities to develop and implement local air toxics programs that address outdoor, indoor, and mobile sources with emphasis on areas with potential environmental justice concerns. State and local air pollution control agencies work with EPA to operate the national fine particulate (PM<sub>2.5</sub>) monitoring network to accurately assess and characterize the nature and extent of fine particulates (PM<sub>2.5</sub>) across the country. This assessment is necessary to determine the air quality status of an area in relation to the national PM<sub>2.5</sub> ambient air quality standard. At least three years of quality-assured data are required in order to determine an area's attainment status. The air quality status of an area will determine the nature and complexity of its attainment plan, its associated control strategies, and its implementation schedule. The immediate goals of this multi-year program are: appropriate spatial characterization of PM<sub>2.5</sub> NAAQS; public reporting of PM<sub>2.5</sub> in the Air Quality Index; characterization of PM<sub>2.5</sub> chemical speciation data for long term trends; development and accountability of emission control programs and tracking of regional haze, and limited support of health studies; implementation of NCore CO, SO<sub>2</sub>, NO<sub>2</sub>/NOy trace-level monitoring to support characterization of PM precursors; assessment of PM<sub>2.5</sub> data quality; and procurement and testing of PM<sub>2.5</sub> filters. Grant funds are used to provide support to eligible state and local air agencies for continued operation of high value federal reference method (FRM) and speciation monitoring sites; additional investments in PM<sub>2.5</sub> mass and speciation continuous monitoring and associated data management systems for timely reporting of high quality data; and continued investments in precursor gas analyzers, data analyses, and quality assurance activities that will support better understanding of particle formation.

#### TYPES OF ASSISTANCE:

##### PROJECT GRANTS

#### USES AND USE RESTRICTIONS:

Grant funds may be used for costs specifically incurred in the conduct of a State/Local/Tribal Air Pollution Control Program in accordance with the purposes enumerated in the approved application. These include personnel costs, supplies, equipment, training of personnel, travel, and other necessary expenditures during the approved project period. Funds may not be used for construction of facilities, nor for expenses incurred other than during each approved award period. Grant funds may not be used to subsidize the costs of Title V operating permit programs or to supplant otherwise available recipient resources. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://www.epa.gov/geospatial/>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when

on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Municipal, Intermunicipal, State, Federally Recognized Indian Tribe, or Interstate or Intertribal with legal responsibility for appropriate air pollution planning, development, establishment, implementation, and maintenance of Clean Air Act air pollution control activities, including management of grant support for those activities, provided such organization furnishes funds for the current year that are equal to or in excess of its recurrent expenditures for the previous year for its approved section 105 air pollution program. The determination of expenditures is subject to decisions based on provisions of the Clean Air Act and applicable grant regulations. This program is available to each State, territory and possession of the U.S., including the District of Columbia. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Municipalities (local governments), Intermunicipalities, States, Federally Recognized Indian Tribes, and Interstate and Intertribal agencies.

**Credentials/Documentation:**

The application must supply evidence of legal authority for air pollution control including responsibility for carrying out the implementation plan requirements under 110 of the Clean Air Act; evidence of the availability of nonfederal matching funds; assurance that federal funds do not supplant available recipient funds, evidence that the Governor or his designated State agency has been given the opportunity to comment on the relationship of the program to be funded to the State plan; and a workable program officially adopted for the agency. Principles for determining allowable costs are set forth in applicable Federal management circulars described in the general grant regulations and procedures 40 CFR Part 31 of the Federal Regulations. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussion with the applicable EPA Regional Office is advised for air program grant applications. The standard application forms as furnished by the Environmental Protection Agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to the State's review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications must be submitted to the appropriate EPA Regional Grants Administration Branch. Application must meet the requirements of the grant regulations and will be reviewed to determine merit and relevancy of the proposed project particularly with regard to the most recently available national program and grant guidance. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Procedures for awards are outlined in General Grant Regulations 40 CFR Part 31. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and

criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Clean Air Act does not prescribe a specific statutory funding formula but does direct that the factors of population, the extent and severity of the air pollution problem, and financial need, be considered in the allocation of available resources by the Agency. The current allocation approach is currently under review for updating by the Agency. EPA is undertaking the review in consultation with eligible recipients. State, Interstate, and Local programs may receive up to 60 % Federal funding for the total approved program costs. The Grantee must contribute a minimum of 40% as well as meet a maintenance of effort (MOE) requirement. The amount of Federal share of grant costs should be determined by reference to the criteria set forth in Section 105 of the Clean Air Act and in 40 CFR 35.145, 40 CFR 35.146, and 40 CFR 147. Not more than 10 % of the funds available shall be granted for air pollution control programs in any one State. Not less than one-half of one % of the funds are to be made available as a minimum to a State (overall) for application. However, award of these levels of funds will be made only if the agencies within the State meet the requirements of the Act and grant regulations. For Indian Tribes establishing eligibility pursuant to Section 35.573, the Regional Administrator may provide financial assistance in an amount up to 95 % of the approved costs of planning, developing, establishing, or improving an air pollution control program, and up to 95 % of the approved costs of maintaining that program. After 2 years from the date of each Tribe's initial grant award, the Regional Administrator will reduce the maximum federal share to 90 %, as long as the Regional Administrator determines that the Tribes meet certain economic indicators that would provide an objective assessment of the tribe's ability to increase its share.

This program has MOE requirements, see funding agency for further details. This program does have a maintenance of effort (MOE) requirement which requires that a recipient's recurring expenditures must meet or exceed the level of the prior year's recurring expenditures.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of award. See the following for information on how assistance is awarded/released: Assistance agreements may be fully funded by a lump sum or funded incrementally (quarterly).

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Grant and administrative reporting requirements are also identified in the Grant Regulations Part 30 and Part 32. Programmatic reporting requirements are outlined in Part 31 and in the applicable national program manager annual guidance. Requirements for the evaluation of recipient performance are discussed in 40 CFR 35.115.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular

No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$179,732,000; FY 11 est \$179,372,000; and FY 12 est \$280,752,000

**Range and Average of Financial Assistance:**

In FY 2011 - From approximately \$71, 471 to \$6,689,317 per recipient; average approximately \$1,545,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, approximately 110 applications were received from State, Local and Tribal agencies to help support their continuing air quality programs were funded. These programs plan and implement measures to improve, protect, monitor and report air quality in their communities. The plans integrate state and local measures with federal measures - including advances in environmental technologies (e.g., cleaner fuels, vehicle and industrial technology), in addressing and reducing air pollution and in meeting National Ambient Air Quality Standards (NAAQS). The NAAQS are regularly reassessed to assure that public health and welfare is being adequately protected. The most recent designations for ozone occurred in 2004 and 82 of the original 126 ozone areas are now meeting that NAAQS based on data collected during 2007-2009. For PM, the Agency designated 86 areas, with a total population of 35.8 million people, as nonattainment for PM10 in 1992 and 45 of those areas remain in nonattainment. In April 2005, EPA designated 39 areas as nonattainment for the 1997 PM2.5 standard based on air quality data collected during 2001-2003 and 18 of those areas are now meeting the NAAQS based on data collected during 2006-2008. As the new standards for ozone, lead, NO2, SO2, and CO take effect, updates on designations and progress in air quality status will be provided. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Air Pollution Control Program Grants, EPA, 40 CFR Part 35 (revised January 9, 2001); Interim Rule published January 4, 1995 (FR V.60 No.2, pp.366-372); General Grant Regulations and Procedures, EPA, 40 CFR Part 31.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

William Houck Office of Air and Radiation, Office of Program Management Operations,  
EPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W.,  
Washington, District of Columbia 20460 Email: houck.william@epa.gov  
Phone: (202) 564-1349

**Website Address:**

<http://www.epa.gov/air/>

**RELATED PROGRAMS:**

66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Continuing program grants are provided to State, Local and Tribal air pollution control agencies for the purpose of operating programs that plan and implement activities to achieve ambient air quality standards. These programs cover: planning for attainment of updated national air quality standards including fine particulates and ozone; state implementation plan development; ambient monitoring; emission inventories; air and emissions modeling; source permitting; certain compliance and enforcement activities related to mobile and non-Title V stationary and area sources; public outreach and education activities; development and implementation of air quality regulations; implementation of market-based, early action compacts and other innovative air pollution reduction or prevention strategies; technical training; risk and data analyses; information management; and program evaluation, progress reporting and other program operation and maintenance activities.  
Fiscal Year 2011: Continuing program grants are provided to State, Local and Tribal air pollution control agencies for the purpose of operating programs that plan and implement activities to achieve ambient air quality standards. These programs cover: planning for attainment of updated national air quality standards including fine particulates and ozone; state implementation plan development; ambient monitoring; emission inventories; air and emissions modeling; source permitting; certain compliance and enforcement activities related to mobile and non-Title V stationary and area sources; public outreach and education activities; development and implementation of air quality regulations; implementation of market-based, early action compacts and other innovative air pollution reduction or prevention strategies; technical training; risk and data analyses; information management; and program evaluation, progress reporting and other program operation and maintenance activities.  
Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for awarding air pollution control program assistance grants are provided in the 1990 Clean Air Act, Section 105, and set forth in State and local assistance grant regulations (40 CFR 35). Some of the criteria considered for award include the following: 1) No grant may be awarded unless the program contained in the grant application meets the requirements of Section 35.140 (program purposes and associated regulations) and has been approved by the Regional Administrator. Sections 35.104 and 35.107 describe what an agency needs to do to prepare an adequate application. This usually includes the use of annual program technical and grant guidance from EPA and is generally done in consultation with the EPA Regional Office. 2) No grant may be awarded until the Regional Administrator has consulted with the official designated by the Governor(s) of the State(s) affected by such award pursuant to Section 105(b) of the Clean Air Act. Such consultation should consider the role of the applicant in the enforcement of any applicable implementation plan and confirm that the applicant's program will be generally compatible with the objectives of the applicable implementation plan. 3) The requirements of this Section shall not apply to Indian Tribes that have established eligibility pursuant to Section 35.573 and intertribal agencies made up of such Tribes. 4) No grant may be awarded unless the Regional Administrator has determined that the agency has adequate air pollution control authority and necessary regulations to implement such authority. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.032 STATE INDOOR RADON GRANTS (SIRG)**

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Indoor Radon Abatement Act, Section 306, 15 U.S.C 2661.

**OBJECTIVES:**

Title III of the Toxic Substances Control Act (TSCA), the Indoor Radon Abatement Act (IRAA), Section 306, authorizes EPA to assist States and Federally Recognized Indian Tribes to develop and implement programs to assess and mitigate radon-related lung cancer risk.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

Funding Priority - Fiscal Year 2011: In FY 2011 the SIRG program will emphasize radon risk reduction through increased action by consumers, home buyers and sellers, homeowners, real estate professionals, radon services professionals, homebuilders, tribes, non-governmental organizations, and Federal, state and local governments. Projects funded by SIRG should have the following results:

- Building homes to include radon-reducing features,
- Reducing radon in existing homes, and
- Building new schools to include radon-reducing features, and reducing radon in existing schools.

To achieve these outcomes and increase results, the SIRG program aims to: (1) improve the effectiveness of state-local/tribal radon programs; (2) focus on high radon potential areas, especially for new home building, building code adoption, and green and healthy homes programs; (3) encourage testing and mitigation within residential property transfers; and (4) encourage SIRG recipients to be strategic in their risk reduction efforts and results reporting, e.g., by institutionalizing risk reduction practices and policies, utilizing best practices, and developing better sources of data and information.

Funding Priority - Fiscal Year 2012: In FY 2012 the SIRG program will continue to emphasize radon risk reduction through increased action by home buyers and sellers, homeowners, real estate professionals, radon services professionals, homebuilders, tribes, non-governmental organizations, and Federal, state and local governments. Projects funded by SIRG should focus on achieving the following outcomes:

- Building homes to include radon-reducing features, especially in high-radon potential areas,
- Reducing the radon level in existing homes to below 4pCi/L, and
- Building new schools to include radon-reducing features, and reducing radon in existing schools to below 4pCi/L.

To achieve these outcomes and increase results, the SIRG program aims to: (1) improve the effectiveness of state-local/tribal radon programs; (2) focus on high radon potential areas, especially for new home building, building code adoption, and green and healthy homes programs; (3) encourage testing and mitigation within residential property transfers; and (4) encourage SIRG recipients to be strategic in their risk reduction efforts and results reporting, e.g., by institutionalizing risk reduction practices and policies, utilizing best practices, and developing better sources of data and information.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The following activities are eligible for funding under SIRG: radon surveys, public information and educational materials, radon control programs, purchase

of radon measurement equipment or devices, purchase and maintenance of analytic equipment, training, program overhead and administration, data storage and management, mitigation demonstrations, and toll-free hotlines. Funding for these eligible activities may be used to develop State radon response programs. States may, at the Governor's direction, provide assistance to local governments for public information and educational materials, radon control programs and training. **RESTRICTIONS:** The statute places the following restrictions on the use of Federal funds: 1) SIRG recipients must perform satisfactorily in the preceding budget period to be eligible to receive additional funding; 2) State expenditures for measurement equipment/devices and mitigation demonstrations cannot exceed 50 percent of the grant amount in a budget period; 3) State expenditures for general overhead and program administration cannot exceed 25 percent in a budget period; and 4) SIRG applicants may use grant funds for financial assistance to persons only to the extent that such assistance is related to approved demonstration projects or the purchase and analysis of radon measurement devices.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible entities include States (including District of Columbia (DC)), Puerto Rico, the Virgin Islands, Guam, the Canal Zone, American Samoa, the Northern Mariana Islands, Federally recognized Indian Tribes and Tribal consortia, or any other U.S. Territory or possession.

**Beneficiary Eligibility:**

State agencies: local, municipal, district, or area wide governments and organizations; U.S. territories or possessions, Federally Recognized Indian Tribes, colleges, universities, multi-state agencies, nonprofit organizations, low-income individuals, homeowners, and the general public.

**Credentials/Documentation:**

An applicant's application must: 1) describe the seriousness and extent of radon exposure; 2) identify the lead State agency with primary responsibility for the radon program that will receive the grant, with a description of the lead agency's role and responsibilities, and those of any other State agencies, and any municipal, district or area wide organizations involved in the radon program; 3) submit a work plan describing the activities and programs to be funded; 4) provide a budget specifying the Federal and applicant share of the funding for each work plan element. First time applicants must have a 3-year work plan outlining long range program goals and objectives, the tasks necessary to achieve them, the resource requirements including anticipated SIRG applicant funding levels and the desired Federal funding level. Costs are determined in accordance with OMB Circular A-87, "Cost Principles for State, Local and Tribal Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application assistance is available through Regional radon coordinators and their Regional grants specialist counterparts. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description (TSCA 10(a) only), EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Visit [www.epa.gov/iaq/whereyoulive.html](http://www.epa.gov/iaq/whereyoulive.html) for state specific information on the state radon programs and how to contact them. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency and the appropriate EPA Regional Office listed in Appendix IV of the Catalog, or through the Grants and Interagency Agreements Management Division, 3903F, Washington, DC 20460. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevancy of the project or program. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 90 days.

**Appeals:**

Disputes relating to non-competitive matters will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals of awards will be conducted in accordance with the provisions of Section 306 and the SIRG Guidance (SIRGG).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA may provide States with up to 60% of allowable costs of approved SIRG Program activities. TSCA Section 306 requires a progressive match for States and Tribes; 25% in the first year; 40% in the second year; and, 50% in the third and subsequent years of participation in the SIRG program. However, in the FY 2006 appropriation, Congress permanently reduced the recipient match requirement from a maximum of 50% to 40% for participants with two or more years in the program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards funded made under TSCA Section 306, are normally for a period of 12-36 months; EPA encourages 36-month (3-year) SIRG project periods. EPA negotiates project periods appropriate to the specific project, and encourages three-year grant periods. However, EPA project periods are limited to a maximum of five years. Grants and cooperative agreements may be fully funded or incrementally (partially) funded. See the following for information on how assistance is awarded/released: Assistance agreements are fully funded by a lump sum.

**Reports:**

Required reports from grant recipients include: performance reports, no more often than quarterly; Financial Status Reports, (Standard Form 269); Federal Cash Transactions Reports (for grants paid by letter of credit); and if applicable, Request for Advance or Reimbursement (Standard Form 270). To monitor the performance of each grant recipient, the EPA Project Officer and other Agency personnel may conduct mid-year (or more frequent) site visits to inspect program activities first hand.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program

Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$8,074,000; FY 11 est \$8,058,000; and FY 12 est \$8,074,000

**Range and Average of Financial Assistance:**

In FY 2011 Federal funding can range from \$15,000 to a maximum of \$807,400 (10% of the annual appropriation amount) per State/Tribal applicant. The average SIRG award is \$180,000. Minimum awards are \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The SIRG program awarded approximately 45 assistance agreements totaling \$8,074,000. In calendar year 2010 an estimated 60,000 existing homes were mitigated to reduce high radon levels. In calendar year 2009, approximately 58,800 new homes were built with radon-reducing features. Much of this progress resulted from the work of coalitions and partnerships comprised of local governments, national and local nonprofit organizations, industry, radon advocates and other leaders. The SIRG program continues to stress the importance of achieving and measuring results in: the number of homes, schools, and other buildings mitigated for radon; in the number of new homes built with radon-reducing features. Recipients are required to include the SIRG results measures template in their work plans, and projects with clear risk reduction benefits are to be preferred over projects projected to have lesser risk reducing results. Persons and organizations looking for ways to participate in the national radon risk-reduction effort should visit [www.RadonLeaders.org](http://www.RadonLeaders.org). Fiscal Year 2011: Accomplishments information for FY 2011 will become available in the second quarter of FY 2012. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA regulations that govern State activities under the SIRG Program are contained in the following Parts of 40 CFR: (1) Part 4, "Implementation of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1980"; (2) Part 7, "Nondiscrimination in Programs Receiving Federal Assistance from the Environmental Protection Agency"; (3) Part 29, "Intergovernmental Review of Environmental Protection Agency Programs and Activities"; (4) Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"; (5) Part 32, "Debarment and Suspension under EPA Assistance Programs", and (6) Part 35; "State and Local Assistance". Applicable OMB Circulars include (1) Circular A- 87, "Cost Principles for State and Local Governments," and (2) Circular A-102, "Uniform Requirements for Assistance to State and Local

Governments". Other materials applicable to SIRG include: (1) Administrative Guidance for the State Indoor Radon Grants Program under Section 306, Indoor Radon Abatement Act (January 2005); (2) Indoor Radon and Radon Decay Product Measurement Device Protocols (EPA 402-R-92-004); and, 3) Protocols for Radon and Radon Decay Products Measurements in Homes (EPA 420-R-93-003). Visit <http://www.epa.gov/radon/sirgprogram.html> for more information.

**Regional or Local Office:**

See Regional Agency Offices. For questions of a programmatic/technical nature, contact the appropriate Regional Radon Office representative listed in Appendix IV of the Catalog. The individual Regional radon SIRG project officers can be found at <http://www.epa.gov/radon/sirgprogram.html>.

**Headquarters Office:**

Philip Jalbert, Office of Radiation and Indoor Air, Environmental Protection Agency, 1310 L Street, NW., Mail Code 6609J, Washington, District of Columbia 20005 Email: [jalbert.philip@epa.gov](mailto:jalbert.philip@epa.gov) Phone: (202) 343-9431.

**Website Address:**

<http://www.epa.gov/radon/sirgprogram.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The State and Tribal Indoor Radon Grant (SIRG) program has awarded grants to States and Tribes to: 1) establish effective radon programs among states, territories, and federally recognized Indian tribes; 2) increase the number of homes, schools, and other buildings tested and mitigated from radon; 3) implement radon resistant construction standards in high risk areas; 4) encourage radon testing and disclosure in connection with real estate transfers; and 5) promote environmental justice through programs and outreach efforts directed at low-income and/or culturally-diverse populations. The Agency encourages recipients to partner with other public health and environmental organizations to increase program effectiveness. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The EPA will base its review of SIRG applications on whether they reflect the program's goals and promote integrity in States' use of grant funds. Pursuant to TSCA Section 306(e), if State applications exceed the funds appropriated for award in a fiscal year, EPA will prioritize State activities based on the following criteria: (1) the seriousness and extent of the radon contamination problem to be addressed; (2) the potential for the activity or project to bring about reduction in radon levels; (3) the potential for the development of innovative radon assessment techniques, mitigation measures as approved by the Administrator, or program management approaches which may be of use to other States; (4) the potential for the activity to implement EPA's model radon-resistant building standards; (5) the potential for the development of radon programs in high-risk areas; and (6) the potential for the activity to improve the effectiveness and viability of the State program. EPA may establish additional criteria related to demonstration activities or other aspects of the SIRG program. All other requirements of the SIRG program are applicable to the States and Tribes unless otherwise stated in TSCA 306.

**66.033 OZONE TRANSPORT COMMISSION**

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act of 1990, Section 106 and 111, Public Law 101-549, 42 U.S.C 1406.

**OBJECTIVES:**

To develop or recommend air quality implementation plans for air quality control regions designated pursuant to Section 106 (interstate pollution) or Section 111 (interstate ozone pollution) of the Clean Air Act of 1990.

Funding Priority - Fiscal Year 2011: The Ozone Transport Commission (OTC) will continue to provide a forum for the states within the Ozone Transport Region (New England and Middle Atlantic states) to develop and adopt air

quality implementation plans for reducing ozone pollution pursuant to Section 106 of Section 111 of the Clean Air Act of 1990.

Funding Priority - Fiscal Year 2012: The Ozone Transport Commission (OTC) will continue to provide a forum for the states within the Ozone Transport Region (New England and Middle Atlantic states) to develop and adopt air quality implementation plans for reducing ozone pollution pursuant to Section 106 of Section 111 of the Clean Air Act of 1990.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance funds may be used for costs specifically incurred in the conduct of interstate pollution projects in accordance with the purposes enumerated in the approved application. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

An agency or commission designated by the Governors of the affected States, which is capable of recommending to those Governors' plans for implementation of national primary and secondary ambient air quality standards and which includes representation from the States and the appropriate political subdivisions within the affected air quality control region. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Municipalities, intermunicipalities, States, interstate agencies or commissions, and Federally recognized Indian tribes.

**Credentials/Documentation:**

The application must supply evidence of legal authority for air pollution control; evidence of the availability of non-federal matching funds, evidence that the Governor or his designated State agency has been given the opportunity to comment on the relationship of the program to be funded to the State plan and a workable program officially adopted for the agency. Principles for determining allowable costs are set forth in applicable Federal management circulars described in the general grant regulations and procedures 40 CFR Part 30 of the Federal Regulations. Costs will be determined in accordance with OMB Circular No. A-87 for State and Local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussions or informal meetings with the Headquarters Program Office concerning program preparation are advisable. The standard application forms as furnished by the Federal Agency and required by OMB Circular No. A-102 must be used for this program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.



**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications should be submitted to the appropriate EPA Office (See Appendix IV of the Catalog). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are due 180 days prior to the beginning of the budget period.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applicant must reapply.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Upon initial designation by the Governors of the affected States, pursuant to Sections 106 or 111 of the Clean Air Act of 1990, the Administrator is authorized to pay for up to 2 years, and up to 100 percent of the air quality planning program costs of a designated commission or interstate agency. After the initial 2-year period, the Administrator is authorized to make grants to such agency or such commission in amounts up to 3/5 of its air quality management plan costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Assistance agreements are fully funded by a lump sum.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial and equipment reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0200-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$635,000; FY 11 est \$635,000; and FY 12 est \$635,000

**Range and Average of Financial Assistance:**

There is only one cooperative agreement awarded under this program. The cooperative agreement will range from \$600,00 to \$650,000/fiscal year with an average award of \$635,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Ozone Transport Commission was established by the Clean Air Act Amendments of 1990 and provides policy guidance to its member states and the District of Columbia on actions needed to reduce ozone pollution within the ozone transport region. They provide air pollution assessment, technical support and forums through which their member states can harmonize their pollution reduction strategies. This is accomplished through the development of multi-state agreements such as the NOx emissions reductions, the Clean Energy Initiative, education and outreach efforts and similar activities. OTC also participates in national forums such as the Clean Air Act advisory Committee and the Air Quality Management workgroup representing its member states. This CFDA issues one grant annually in response to the Clean Air Act Amendments to establish an Ozone Transport Commission which perform the activities stated herein annually. In FY 2010, a two year grant was awarded for \$1,270,000. Fiscal Year 2011: In addition to providing policy guidance to its member states and the District of Columbia on actions needed to reduce ozone pollution within the ozone transport region, they provide air pollution assessment, technical support and forums through which their member states can harmonize their pollution reduction strategies. OTC has also provided Testimony on EPA proposed Ozone NAAQS reconsideration and on Proposed Clean Air Amendments in 2010. In FY 2010, one grant was awarded for \$1,270,000 for a two year period. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administration Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Pat Childers, Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W. Mail Code 6102A, Washington, District of Columbia 20460 Email: [childers.pat@epa.gov](mailto:childers.pat@epa.gov) Phone: (202) 564-1082.

**Website Address:**

<http://www.otcair.org/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Operation of the Ozone Transport Commission for the past 19 years. Fiscal Year 2011: Operation of the Ozone Transport Commission for the past 20 years. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated and selected in accordance with the Agency's competition policy.

**66.034 SURVEYS, STUDIES, RESEARCH, INVESTIGATIONS, DEMONSTRATIONS, AND SPECIAL PURPOSE ACTIVITIES RELATING TO THE CLEAN AIR ACT**

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act of 1963, Section 103, Public Law 95-95, 42 U.S.C 7401; National Environmental Policy Act of 1969, Section 102(2)(F), Public Law 91-190, 42 U.S.C 4332.

**OBJECTIVES:**

To support Surveys, Studies, Research, Investigations, Demonstrations and Special Purpose assistance relating to the causes, effects (including health and welfare effects), extent, prevention, and control of air pollution to include such topics as air quality, acid deposition, climate change, global programs, indoor environments, radiation, mobile source technology and community-driven approaches to transportation and emissions reduction.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

Funding Priority - Fiscal Year 2011: (1) Indoor Environments. Activities will support surveys, studies, research, training, outreach, education, investigations or demonstrations performed by organizations that lead to effective outreach strategies to educate key audiences about indoor air pollutants, their associated health risks and encourage effective mitigation and control strategies. Currently, the Program focuses on several critical aspects of indoor air quality that pose significant risks to public health, and in particular, to children and other disproportionately impacted segments of society. Program focus includes, but is not limited to reducing the exposure of children and others with asthma to indoor triggers that worsen their condition, promoting the adoption of operation and maintenance practices in schools, homes and other buildings throughout the nation to reduce the harmful effects of poor indoor air quality on the health of the public, students and staff, promoting voluntary radon testing by homeowners to identify elevated levels and fix them when they are found, as well as working with homebuilders to incorporate radon resistant construction features into new homes, and encouraging adult smokers to protect their children from the adverse health effects of environmental exposure to secondhand smoke by making a conscious decision to smoke outside and keep their homes and cars smokefree.

(2) Radiation. Activities support technical, outreach, and educational projects relating to environmental radiation. Activities also support the national environmental radiation monitoring program. This program prepares for and responds to incidents involving nuclear or radiological material, oversees the safe disposal of radioactive waste, maintains two laboratories that perform radiological sampling and analyses, and provides standards for protecting human health and the environment from radioactive material. Program focus includes, but is not limited to the following activities: performance testing and evaluation, development of analytical procedures, purchasing of radiation laboratory equipment and support and enhancement of radiological laboratory capability and capacity across the nation to reduce the gap in analyzing environmental samples following a significant national radiological incident.

(3) Community-Scale Air Toxics Ambient Monitoring (CSATAM). The

CSATAM Grant Program results in two-year projects designed to assist state, local and tribal communities in identifying and profiling air toxics sources, characterizing the degree and extent of local air toxics problems and tracking progress of air toxics reduction activities in specific local areas without reliance on often uncertain estimates of emissions and air dispersion models. Further, projects typically allow the recipient state, local and tribal air pollution control agencies to establish or enhance hazardous air pollutant monitoring networks, thus providing long term capability to investigate and assess specific local air quality scenarios of concern. The program will continue working with grant recipients that received funding in previous years.

(4) Mobile Sources Technologies. Projects encompass studies and investigations utilizing state-of-the-art experimental techniques in advanced engine development technology, including hydraulic hybrid drive-trains, to optimize fuel economy, reduce exhaust emissions (including PM and NOx) and improve performance. In addition, projects may support studies identifying barriers to technological innovation, analyzing innovative strategies for overcoming these barriers, encouraging the development and adoption of new vehicle and fuel technologies for the control of emissions.

(5) Heavy Duty Truck Fuel Consumption and Emissions Reductions. This program studies and analyzes fuel consumption and emissions reductions associated with the use of innovative technologies for heavy duty diesel trucks. Projects involve truck fleets that operate under varying conditions in order to evaluate the effectiveness of the various technologies.

(6) National Internet-based On-Board Diagnostic (OBD) Information Exchange. This program supports activities that maintain, update and improve the Internet-based information clearinghouse to facilitate accurate and timely exchange of technical information related to on-board diagnostic (OBD) between state inspection/maintenance programs, the automotive industry and the general public.

(7) Integrated Assessment of Transportation-Related Policies on Greenhouse Gases, Land Use Change, and Other Economy-Wide Impacts (Integrated Assessment). This program is designed to improve the public data underlying well-established integrated assessment models used to analyze both climate change impacts and the linkages between renewable fuels and climate change. Additionally, projects are intended to further the public's understanding of the interaction of the economic, energy, and environmental impacts of increased renewable fuel usage in the U.S. transportation sector using a robust modeling framework.

(8) Climate Change. The Climate Change Division (CCD) supports activities relating to improving economic, technical and programmatic understanding of climate change. CCD supports technical, outreach, and education projects regarding climate change impacts, mitigation and adaptation options in order for private and public sectors may more effectively and comprehensively address their climate goals. Additionally, CCD supports projects that break down market barriers that may limit investment in technologies that reduce methane and non-CO2 greenhouse gases; address the technical issues surrounding sequestration and carbon storage; address collection and analyses of economic data relating to climate change; and the Methane to Markets program (M2M) that support climate technology transfer in developing and transition countries. The Methane to Markets Partnership is an international public-private initiative that advances cost effective, near-term methane recovery and use as a clean energy source in four sectors: agriculture, coal mines, landfills, and oil and gas systems. M2M projects reduce greenhouse gas emissions in the near term and provide a number of important environmental and economic co-benefits. Co-benefits include stimulating local economic growth, creating new sources of affordable alternative energy, improving local air and water quality with associated public health benefits and increasing industrial worker safety. CCD also supports the Greenhouse Gas Reporting program will help facilities that participate in voluntary, state-based and federal GHG reporting programs better understand the requirements of voluntary and state GHG reporting programs in comparison to the federal rule; and identify options for how data collected through state and federal reporting requirements may be used to inform state GHG programs and facility-level efforts to identify emissions-reduction opportunities.

(9) Climate Protection Partnerships. EPA funds Global climate Change programs which are voluntary government/industry partnership programs designed to capitalize on the opportunities that consumers, businesses, and organizations have for making sound investments in efficient equipment, policies and practices. The Global Climate Change program will manage a number of efforts to remove barriers in the marketplace and to deploy technology faster in the residential, commercial, and industrial sectors of the economy. Our programs work by overcoming widely acknowledged barriers to energy efficiency: lack of clear, reliable information on technology opportunities; lack of awareness of energy efficient products and services; lack of financing options to turn lifecycle energy savings into initial cost savings for consumers; low incentives to manufacturers for efficiency research and development. In addition, our Global Climate Change programs will provide technical assistance, training, information exchange and other forms of cooperation to enhance the capabilities of governments and other stakeholders to protect human health and the environment regionally and globally.

(10) Lead Airport Monitoring. In accordance with EPA's 'Final Lead Monitoring Rule', state and local air pollution control agencies (grantees) will conduct a one-year period of monitoring to determine whether airports that emit less than 1.0 tpy have the potential to cause the surrounding areas to exceed the lead NAAQS of 0.15 micrograms per cubic meter (g/m<sup>3</sup>). Information derived from the monitoring effort will inform other state and local jurisdictions across the country on additional air port monitoring and mitigation efforts that may need to be undertaken. Grantees will purchase capital equipment, to establish and implement an ambient air monitoring site for lead emissions at fifteen selected general aviation airports across the country, and to manage associated data management systems, to conduct relevant lead data analyses, and to quality assure and report essential data into a national information system such as the Air Quality System (AQS) data base.

(11) Gulf Coast Community Outreach Study for Communities Impacted by the Deepwater Horizon Oil Spill. Development and implementation of a community outreach study to help inform and empower Gulf Coast communities, focusing on the air quality impacts resulting from the Deepwater Horizon Oil Spill.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved Surveys, Studies, Research, Investigations, Demonstrations and Special Purpose plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, international organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Air and Radiation's mission. Eligibility for projects awarded or competed exclusively with State and Tribal Assistance Grant (STAG) funds is limited to air pollution control agencies, as defined in section 302(b) of the Clean Air Act that are also eligible to receive grants under section 105 of the Clean Air Act, and/or federally

recognized tribes and inter-tribal consortia, consisting of federally recognized tribe members. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: While there is no statutory or regulatory cost sharing requirement for this program, as a matter of policy the Agency may impose a cost sharing requirement in specific competitions. If the Agency decides to do this, the cost sharing terms will be stated in Section III of the competitive

announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants are generally fully funded or on an incremental funding basis. Successful applicants will be notified either via U.S. mail or electronically. Such notification is contingent upon information contained in the resulting solicitation. See the following for information on how assistance is awarded/released: Assistance agreements may be incrementally (quarterly) or fully (lump sum) funded.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-1810-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$15,000,000; FY 11 est \$15,000,000; and FY 12 est \$13,810,000

**Range and Average of Financial Assistance:**

EPA generally award grants ranging in value from \$5,000 to \$750,000 per fiscal year. The average value of each grant is \$150,000 per fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Indoor Environments - Produced effective outreach strategies to educate key audiences about indoor air pollutants and their associated health risks, convincing them to adopt effective mitigation and control strategies.

These outreach strategies focused on several critical aspects of indoor air quality that pose significant risks to public health, and in particular, to children and to other disproportionately impacted segments of society. These include: reducing the exposure of children and others with asthma to indoor triggers that worsen their condition; promoting the adoption of operation and maintenance practices in schools throughout the nation to reduce the harmful effects of poor indoor air quality on the health of students and staff; promoting voluntary radon testing by homeowners to identify elevated levels and fix them when they are found, as well as working with homebuilders to incorporate radon resistant construction features into new homes; and encouraging adult smokers to protect their children from the adverse health effects of environmental exposure to secondhand smoke by making a conscious decision to smoke outside and keep their homes and cars smokefree. Radiation - Assistance provided support and enhancement for radiological laboratory capability and capacity across the nation to reduce the gap in analyzing environmental samples following a significant national radiological incident. Key activities include audits and proficiency testing, provision of radiological instrumentation, supplies, training, and limited facilities upgrades. The USEPA's Methane to Markets Partnership Grants program began in 2006 and provides cooperative agreements to recipients around the globe to build capacity and promote international capture and use of methane. The grants have become an integral and important capacity building instrument of the Methane to Markets Partnership, a public-private partnership (of more than 33 partner governments) that reduces greenhouse gas (GHG) pollution by promoting the cost-effective, near-term recovery and use of methane, a GHG that is more than 20 times more potent than carbon dioxide. Methane capture and use projects supported by the partnership through grants and other means are currently reducing emissions by more than 27.3 million metric tons of carbon dioxide equivalent ~ annually equivalent to the annual emissions from 5 million passenger vehicles. The USEPA's Greenhouse Gas (GHG) Reporting Grants program began in 2010 and has now provided almost \$2 million for 8 grants. The purpose of the projects funded under the Greenhouse Gas Reporting program will help facilities that participate in voluntary, state-based and federal GHG reporting programs better understand the requirements of voluntary and state GHG reporting programs in comparison to the federal rule; and identify options for how data collected through state and federal reporting requirements may be used to inform state GHG programs and facility-level efforts to identify emissions-reduction opportunities. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, Studies, Research, and Investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Courtney Hyde, EPA, Office of Air and Radiation, 1200 Pennsylvania Avenue, N.W., Washington, District of Columbia 20460 Email: hyde.courtney@epa.gov Phone: (202) 564-1227.

**Website Address:**

<http://www.epa.gov/air/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of funded projects are: Conducting training courses and outreach activities for environmental health professionals on indoor air quality topics including asthma triggers, schools, radon, indoor air quality in homes, large buildings, and community outreach; Climate change tribal impacts, communications, and outreach; Assistance provided support and enhancement for radiological laboratory capability and capacity across the nation to reduce the gap in analyzing environmental samples following a significant national radiological incident. Activities that advance methane recovery and use as a clean energy source; Integrated assessment of multiple greenhouse gases, climate impacts, and pollution; National Education Association Health Information Network; Implementation of energy-efficient

standards and labeling programs in developing countries; Market transformation projects that will increase public awareness of the health benefits and cost savings associated with the use of energy efficient products and services; Projects that involve regional outreach and education benefits of renewable energy, encouraging state and local governments to make green power purchases; Demonstrating the effectiveness and viability of retrofit technologies in reducing harmful air emissions from existing diesel highway, heavy-duty vehicles and to achieve actual local emission reductions; Educating the business and consumer sectors on the benefits of improving energy performance; Market transformation projects that will increase public awareness of the health benefits and cost savings associated with the use of energy efficient products and services; Projects that involve regional outreach and education on the benefits of renewable energy, encouraging state and local governments to make green power purchases, and; Projects that reduce emissions through improved greenhouse gas management and clean energy programs. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

EPA selects proposed Surveys, Studies, Research, and Investigations projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. If EPA issues a solicitation for applications for a particular project or group of projects, the solicitation will identify specific criteria. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.035 COMMUNITY ACTION FOR A RENEWED ENVIRONMENT (CARE) PROGRAM**

##### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

##### **AUTHORIZATION:**

Clean Air Act, Section 103(b)(3); National Environmental Policy Act, Section 102(2)(F); Marine Protection, Research, and Sanctuaries Act, Section 203; Solid Waste Disposal Act, Section 8001; Toxics Substances Control Act, Section 10, Public Law 106-74; Safe Drinking Water Act, Section 1442(a)&(c)(A); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a), Public Law 106-74; Clean Water Act, Section 104(b)(3).

##### **OBJECTIVES:**

To support analyses, studies, evaluations, surveys, investigations, conferences, demonstrations and special purpose projects which empower communities to reduce risks from exposures to toxic pollutants in the air, in the water, and on the land through collaborative action at the local level.

Funding Priority - Fiscal Year 2011: The CARE program aims to: (1) Reduce exposures to toxic pollutants through collaborative action at the local level; (2) Help communities gain an understanding of all potential sources of exposure to toxic pollutants; (3) Work with communities to set priorities for risk reduction activities; and, (4) Create self sustaining, community based partnerships that will continue to improve the local environment.

The following program strategies will be used: (1) Provide information and a variety of tools to help communities understand and assess toxic risks; (2) Collaborate with community stakeholder groups to prioritize plans for risk reduction; (3) Mobilize local resources and utilize EPA voluntary programs to implement risk reduction activities; (4) Link EPA programs together to efficiently support communities; (5) Create a positive environment that encourages all members of the community including businesses and colleges and universities to join the collaborative partnership; (6) Facilitate networking among CARE communities to share experiences and lessons learned; and, (7) Build long term community capacity to continue improving the local environment.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Cooperative Agreements are available to support recipients' allowable direct costs related to approved surveys, analyses, studies, evaluations, conferences,

investigations, demonstrations and special purpose projects plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

##### **Applicant Eligibility:**

Local, Public non-profit institution/organizations, Federally Recognized Indian Tribal Government, Native American Organizations, Private nonprofit institution/organization, Quasi-public nonprofit institution/organization, local government, colleges, universities, interstate and intrastate. Proposals to renew or supplement existing projects are eligible to compete. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

##### **Beneficiary Eligibility:**

Local, Public non-profit institution/organizations, Federally Recognized Indian Tribal Government, Native American Organizations, Private nonprofit institution/organization, Quasi-public nonprofit institution/organization, local government, colleges, universities, interstate and intrastate.

##### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. For competitive awards, EPA will review and evaluate applications, proposals and/or submissions in accordance with the terms, conditions, and criteria stated in the announcement of the competitive funding opportunity. Competition will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, D.C. 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at:

[http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Requests for Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. .

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the projects to EPA's priorities, availability of funds, and Agency policy on the cooperative agreement process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: CERCLA 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the 311(b)(3) cost sharing requirement in appropriate cases. Matching requirements may be established in program guidance or the terms of competitive solicitations.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements and most CARE awards will be for 18 to 36 months. EPA limits project periods to 5 years. Any resulting cooperative agreement awards will normally be awarded on a quarterly basis. Applicants will be notified of an award in accordance with the information specified in any resulting solicitation. See the following for information on how assistance is awarded/released: Assistance agreements will be fully funded by a lump sum or partially funded yearly.

**Reports:**

EPA includes reporting requirements for cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations (Part 30 and Part 31).

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations (40 CFR Part 31). Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal

Grant Regulations (40 CFR Part 31). Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations (40 CFR Part 31). No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations (40 CFR Part 31).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profit and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in cooperative agreements available to personnel authorized to examine EPA recipients cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$2,192,000; FY 11 est \$1,595,945; and FY 12 est \$1,600,000

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance. Cooperative agreements awarded based on Level I agreements will range from \$75,000 to \$100,000 with an average Level I award of \$90,000. Level II agreements will range from \$150,000 to \$300,00 with an average Level II award of \$275,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The CARE program uses two sets of cooperative agreements. In the smaller Level I agreements, the community, working with EPA, creates a collaborative problem solving group made up of the various stakeholders in the community. That group assesses the community's toxic exposure problems and begins to identify potential solutions. In the larger Level II agreements, the community, working with EPA selects and funds projects that reduce risk and improve the environment in the community. CARE communities have implemented a variety of EPA Partnership Programs and reduced citizen's exposure to toxics including lead, diesel emissions, solid waste, indoor air, mercury, drinking water pollutants, waste water contamination, and environmental tobacco smoke. The communities have also reduced emissions of green house gases.

In FY 2010 we received 189 applications and funded 14 projects, including four previously funded Level I projects that successfully completed their project, competed for and received a Level II grant. Fiscal Year 2011: The CARE program uses two sets of cooperative agreements. In the smaller Level I agreements, the community, working with EPA, creates a collaborative problem solving group made up of the various stakeholders in the community. That group assesses the community's toxic exposure problems and begins to identify potential solutions. In the larger Level II agreements, the community, working with EPA selects and funds projects that reduce risk and improve the environment in the community. CARE communities have implemented a variety of EPA Partnership Programs and reduced citizen's exposure to toxics including lead, diesel emissions, solid waste, indoor air, mercury, drinking water pollutants, waste water contamination, and environmental tobacco smoke.

The communities have also reduced emissions of green house gases.

In FY 2011 we received 125 applications and are proposing to fund 10 projects, including three Level I projects graduating to a Level II project. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Environmental Policy and Innovation grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions and FAR Part 31 for profit makers.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Marva King, EPA Headquarters, Ariel Rios Building , 1200 Pennsylvania Avenue, N. W. , Mail Code: 6101A , Washington, District of Columbia 20460 Email: king.marva@epa.gov Phone: (202) 564-2599.

**Website Address:**

<http://www.epa.gov/care/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects funded under the CARE program include: (1) the development of an assessment of toxins and pollution sources used to educate residents about their impact on local health and the environment; (2) assisting owners of homes with lead-based paint in obtaining remediation funds and development of a neighborhood toxic education program; (3) the study of all potential local sources of toxic risk in order to develop a long-term voluntary toxics management system to reduce the generation of toxic pollutants; (4) the creation of a Community Partnership that is a multi-stakeholder group - that includes industries, communities, small business owners - to conduct a community capacity building program to identify the concerns of the communities and to discuss how to address them; and (5) a collaborative project with community agencies to address the negative environmental and public health impact that small automotive repair and body shops have on their employees and neighbors, while avoiding putting shops out of business by regulatory enforcement. Fiscal Year 2011: Projects funded under the CARE program include: (1) the development of an assessment of toxins and pollution sources used to educate residents about their impact on local health and the environment; (2) assisting owners of homes with lead-based paint in obtaining remediation funds and development of a neighborhood toxic education program; (3) the study of all potential local sources of toxic risk in order to develop a long-term voluntary toxics management system to reduce the generation of toxic pollutants; (4) the creation of a Community Partnership that is a multi-stakeholder group - that includes industries, communities, small business owners - to conduct a community capacity building program to identify the concerns of the communities and to discuss how to address them; and (5) a collaborative project with community agencies to address the negative environmental and public health impact that small automotive repair and body shops have on their employees and neighbors, while avoiding putting shops out of business by regulatory enforcement. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive applications and proposals will be selected in accordance with announced criteria. Non-competitive proposals are judged for (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives and; for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives. The evaluation

and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.037 INTERNSHIPS, TRAINING AND WORKSHOPS FOR THE OFFICE OF AIR AND RADIATION**

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F), Public Law 91-190, 42 U.S.C 4332; Clean Air Act, Section 103(b)(3), Public Law 42-7403.

**OBJECTIVES:**

To provide, Internships, Training, Workshops, and Technical Monitoring in support of the Clean Air Act. These activities aim to: (1) support the development of career-oriented personnel qualified to work in occupations involving environmental protection and air pollution abatement and control; (2) provide technical training for State, local, territorial, and Indian Tribal environmental control agencies; (3) enhance the capability of state and local agencies responsible for environmental pollution control or other agencies with similar pollution control responsibilities; (4) provide educational renewal for career oriented personnel to achieve additional knowledge through academic professional training; (5) provide both undergraduate and graduate students in science, engineering, and other relevant fields with education and training opportunities to enhance their understanding of air quality-related topics; and, (6) to increase the quality and number of people into the environmental control field.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

Funding Priority - Fiscal Year 2011: This program will continue to provide environmental education training to a wide range of audiences regarding all aspects of air quality; development of workshops and environmental education programs in air quality based on identified needs; provide technical support to ensure quality information is available to support programs; and utilize knowledge developed in training workshops to wider audience.

US-Mexico Border Environmental Education, Outreach and Support Program. Designed for students in elementary, secondary and higher education, as well as others in the community to focus on air quality impacts and environmental justice issues in the US Mexico Border region. The program also includes outreach to local communities on air quality and related environmental justice issues and the development of a website to disseminate the environmental education curriculum.

Tribal Environmental Education, Outreach and Support Program. Provides outreach, training and environmental education to American Indian students, educators and communities on a variety of air quality topics; opportunities to participate and pursue environmental careers, particularly in air quality management.

The American Indian Air Quality Training Program. Provides workshop training, internships and technical support to tribal governments to investigate, develop and establish air quality management programs for lands under their jurisdiction. The Tribal Air Monitoring Support Center is a component of this program and provides a full spectrum of technical support to tribes undertaking air quality monitoring and related activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance agreements are available to support recipients' allowable direct costs incident to approved projects for internships, training and workshops related to environmental issues plus allowable indirect costs, in accordance with established EPA policies and regulations. This requirement does not involve

geospatial information.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S., including the Federally Recognized Indian Tribal Government, District of Columbia and possessions of the U.S., international organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Air and Radiation's mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for non-profit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424, Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog or downloaded from <http://www.epa.gov/ogd/forms/forms.htm>. Applicants must submit their requests for training assistance on EPA Standard Form 424 and the fellowship assistance on EPA Standard Form 5770-2. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days after the deadline for the Request for Applications.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. All projects will be fully funded.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

If the grant is not fully funded at time of award, EPA normally funds grants on a 12-month incremental basis. Each grant is limited to a 3-year duration. See the following for information on how assistance is awarded/released:  
Assistance Agreements are typically fully funded by a lump sum.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial and equipment reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$1,545,000; FY 11 est \$1,586,196; and FY 12 est \$1,586,000



**Range and Average of Financial Assistance:**

EPA generally awards grants ranging in value from \$50,000 to \$500,000 per fiscal year. The average amount is \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Enhanced tribal air quality management programs and increasing environmental protection for areas under their jurisdiction. Increased participation of federally recognized Indian tribes in matters related to air quality policy and regulation, in order to fully implement the CAA in Indian county in a manner consistent with the legal relationship between the United States and those Indian tribes. Increased number of tribes commenting on EPA's Office of Air and Radiation policy and regulatory actions. Increased tribal representation on advisory boards, committees and workgroups advising EPA on air quality activities. Increased number of Native Americans engaged in post-secondary study of air quality and environmental management. Increased activity and representation of tribal interests in local, regional and national air quality management. Fiscal Year 2011: Enhanced tribal air quality management programs and increasing environmental protection for areas under their jurisdiction. Increased participation of federally recognized Indian tribes in matters related to air quality policy and regulation, in order to fully implement the CAA in Indian county in a manner consistent with the legal relationship between the United States and those Indian tribes. Increased number of tribes commenting on EPA's Office of Air and Radiation policy and regulatory actions. Increased tribal representation on advisory boards, committees and workgroups advising EPA on air quality activities. Increased number of Native Americans engaged in post-secondary study of air quality and environmental management. Increased activity and representation of tribal interests in local, regional and national air quality management. Implementing an environmental education program to students focusing on air quality impacts and environmental justice issues in the US Mexico Border region, and providing outreach to local communities of environmental education program. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training grants are subject to EPA's General Grant Regulations 40 CFR Part 30 and Part 31; 40 CFR Part 45; and EPA Annual Program Guidance provided to State and Local agencies.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Maureen Hingeley Office of Air and Radiation, Ariel Rios North Building, 1200 Pennsylvania Avenue, N.W., Mail Code 6101A, Washington, District of Columbia 20460 Email: hingeley.maureen@epa.gov Phone: 202-564-1306

**Website Address:**

<http://www.epa.gov/air>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects include providing comprehensive air quality policy and regulatory analysis consisting of support and national coordination activities to assist tribes in understanding, participating in and responding to US EPA's Office of Air and Radiation (OAR) policy and regulatory activities; providing American Indian students, educators, and communities are properly informed of, and provided with opportunities to participate in, and pursue environmental careers in the field of air quality management; and the American Indian Air Quality Training Program (AIAQTP), which includes workshop training, internships and technical support to tribal governments seeking to investigate, develop and establish air quality management programs for lands under their jurisdiction. Fiscal Year 2011: Projects include providing comprehensive air quality policy and regulatory analysis consisting of support and national coordination activities to assist tribes in understanding, participating in and responding to US EPA's Office of Air and Radiation (OAR) policy and regulatory activities; providing American Indian students, educators, and communities are properly informed of, and provided with opportunities to participate in, and pursue environmental careers in the field of air quality

management; and the American Indian Air Quality Training Program (AIAQTP), which includes workshop training, internships and technical support to tribal governments seeking to investigate, develop and establish air quality management programs for lands under their jurisdiction; US/Mexico Border Environmental Education Program, University of Texas, El Paso's 'Buen Ambiente, Buena Salud' program for a 3-12 environmental education curriculum, and undergraduate and graduate internships focusing on air quality and environmental justice issues in the US Mexico Border region. The program will also include outreach to local communities on air quality and related environmental justice issues and the development of a website to disseminate the environmental education curriculum. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.038 TRAINING, INVESTIGATIONS, AND SPECIAL PURPOSE ACTIVITIES OF FEDERALLY-RECOGNIZED INDIAN TRIBES CONSISTENT WITH THE CLEAN AIR ACT (CAA), TRIBAL SOVEREIGNTY AND THE PROTECTION AND MANAGEMENT OF AIR QUALITY**

(Tribal CAA 103 Project Grants)

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act of 1963, Section 103, Public Law 95-95, 42 U.S.C 7403.

**OBJECTIVES:**

To support Federally-recognized Indian Tribes' efforts to understand, assess and characterize air quality; design methods and plans to protect and improve air quality on tribal lands through surveys, studies, research, training, investigations, and special purpose activities. To ensure tribes have appropriate levels of support and opportunity to understand their air quality and take proactive measures to preserve, restore and protect air quality for their reservations and other lands over which they have jurisdiction through tribal program implementation, CAA implementation, radiation protection, mobile source controls, and voluntary programs to address outdoor and indoor air and other concerns. To ensure that all tribes have the tools they need to understand and participate in local, regional and national issues, regulatory and policy developments, and to protect their air quality from activities off the reservation that may affect or impact them. To improve the ability of tribes to understand, define, design and participate in activities that affect their air quality.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

Funding Priority-Fiscal Year 2011: EPA and Tribes, in partnership, will protect public health, the environment, and unique Tribal air resources, consistent with the CAA, its Amendments, and EPA's trust responsibilities. This program will ensure Tribes have appropriate levels of support and opportunity to understand their own air quality and take proactive measures to preserve, restore, and protect air quality for their reservations and other lands over which they have jurisdiction through CAA implementation, radiation protection, mobile source controls, and voluntary programs to address indoor and outdoor air and other concerns. Activities will ensure that all Tribes have the tools they need to understand and participate in local, regional, and national issues and to protect their air quality from changes off reservation that may impact them. Key activities include: (1) Training and Program Development - this area includes technical, administrative, and policy related training conducted in-person, on-line, and/or by any remote technological method supporting the enhancement of skills that contribute to development of tribal air quality management activities; (2) Assessment and Monitoring - activities related to assessment may include short or long term efforts to define, design, understand, and assess in a qualitative or quantitative manner (such as through an emission or source inventory) the impacts of air pollutants to human health, the

environment, and items of cultural importance. Monitoring includes numerous activities that gather data about the state of the environment and measuring the concentrations and potential effects of criteria and/or toxic air pollutants; (3) Developing capacity or a plan for eligibility under the Tribal Authority Rule - developing capacity includes activities that increase the experience and expertise of tribes to understand and assess air quality, including technical, administrative, policy, regulatory, education and outreach, communication skills, training, and building contacts, networks and experience. Capacity includes carrying-out these programs and activities, interacting with the national air program and providing input, guidance, and perspective to efforts to develop policies, regulations, and guidance at the local, regional, and national level including reading, report writing, grant writing and reporting, budgeting, public speaking, developing presentations, preparing comments, editing documents, operating and maintaining equipment, and participating in meetings. Developing a plan for eligibility under the Tribal Authority Rule (TAR) includes report reading and writing, grant writing and reporting, budgeting, public speaking, presentation development, comment preparation, document editing, equipment operation and maintenance, and meeting participation; (4) Delegation or Ongoing Capability Development - This activity includes developing technical, administrative, and management skills, knowledge, and abilities through experience, training, and education to enable activities such as reading and interpreting federal regulations, operating equipment, preparing and presenting technical information and reports, interacting with tribal communities and governments, federal bureaucrats and bureaucracy, providing outreach and education, public speaking, conducting public hearings, collecting and analyzing data, developing plans and innovative approaches to pollution control in a culturally sensitive manner; and (5) Tribal Implementation Plan development - tribes may conduct all aspects of air quality management at an advanced level, including data analysis, analyzing, interpreting and commenting on administrative and regulatory requirements and activities at local, state, regional and national levels, developing advanced technical, policy and planning document preparation, and tribal government representation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipient's allowable direct costs incident to approved Tribal air resources activities that will protect public health and the environment, plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. Executive Order 12372 does not apply to the program.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to Federally-recognized Indian Tribes and Intertribal Consortia, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Air and Radiation's mission. Tribal CAA 103 Project Grants have been determined by the Agency as exempt from competition under EPA Order 5700.5A1.

**Beneficiary Eligibility:**

Federally-recognized Indian Tribes and Intertribal Consortia.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask

applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA will review and evaluate applications, proposals, and/or submissions in accordance with EPA policies/regulations for non competitive assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds assistance agreements for Training, Investigations, and Special Purpose. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policies.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds assistance agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants and cooperative agreements are generally fully funded or on an incremental funding basis. Successful applicants will be notified either via U.S. mail or electronically. See the following for information on how assistance is awarded/released: Assistance agreements are fully funded (lump sum) or incrementally (quarterly) funded.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations found at 40 CFR Part 30 or 31, as applicable.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or

OMB Circular No.A-110. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients are subject to the retention and access requirements for records under 40 CFR Part 31.42. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients' grant and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-1810-0-1-304 - Resulting awards are funded using the following accounts: Environmental Program & Management (EPM), Science & Technology (S&T), and State & Tribal Air Grants (STAG).

**Obligations:**

(Project Grants) FY 10 \$13,300,000; FY 11 est \$13,300,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance; the maximum is \$7,750,000. The general range of the amount of assistance is \$25,000 to \$500,000. The average is \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY2010 this program provided 122 tribal governments with funding to develop capacity and conduct approved activities under the CFDA. Funded tribes are developing tribal air quality management programs, increasing environmental protection for areas under their jurisdiction, through development of programs to implement Clean Air Act and other air quality protections for Indian country, and their accomplishments include greatly increased activity and representation of tribal interests in local, regional and national air quality management, a desirable outcome. Tribes also completed a number of activities, including developing Tribal Implementation Plans, completing requests for CAA eligibility for both administrative and programmatic CAA elements. Fifteen specialized tribal training workshops have been conducted training 136 individuals from 98 tribes across the nation. This brings the cumulative total number of tribal students trained by ITEP to almost 4,000. Over 125 individuals and 11 different tribes have requested and received individualized technical support, information or assistance on a variety of air quality management topics. Out of 50 applicants and 26 host requests, eight interns were placed in air quality management offices nationwide, including at tribal government and US EPA Offices to advance their air quality management skills. Fiscal Year 2011: In FY2011 this program continues to award tribal governments with funding to develop capacity and conduct approved activities. Funded tribes are developing tribal air quality management programs, increasing environmental protection for areas under their jurisdiction, and their accomplishments include greatly increased activity and representation of tribal interests in local, regional and national air quality management. Tribes will continue to develop Tribal Implementation Plans and requests for CAA eligibility for both administrative and programmatic CAA elements. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training, Investigations, and Special Purpose grants and cooperative

agreements are subject to EPA General Grant Regulations 40 CFR Part 31. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Darrel Harmon, USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W., Mail Code: 6101A , Washington, District of Columbia 20460  
Email: harmon.darrel@epa.gov Phone: (202) 564-7416.

**Website Address:**

<http://www.epa.gov/air/tribal>

**RELATED PROGRAMS:**

66.001 Air Pollution Control Program Support; 66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: One hundred twenty two grants awarded to fund tribal air quality management program development, air quality assessments, air pollution emission inventory development, tribal air quality monitoring for ozone, particulate matter, sulfur dioxide, nitrogen oxides, acid deposition, and mercury; development and implementation of TAS authority under the Tribal Authority Rule and CAA program development and implementation of administrative and programmatic elements of the CAA; smoke management plans (Nez Perce Tribe); Tribal Implementation Plans at St. Regis Mohawk Tribe, Southern Ute, Mashantucket-Pequot Tribal Nation and the Mohegan Tribe; Air Quality Management Program development (Gila River Indian Community); Indoor Air Quality management at the Boise Fort Band of Chippewa; and, the American Indian Air Quality Training Program including the Tribal Air Monitoring Support Center, a partnership between tribes, EPA and Northern Arizona University to provide training and technical support to tribes monitoring air quality and implementing the Clean Air Act and other air quality management projects and programs; and, the Environmental Education Outreach Program at Northern Arizona University, to encourage tribal students to pursue careers in air quality, where they are significantly under-represented. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications and proposals are selected for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. Tribal CAA 103 Project Grants have been determined exempt from competition under EPA Order 5700.5A1.

**66.039 NATIONAL CLEAN DIESEL EMISSIONS REDUCTION PROGRAM**

(DERA National Program)

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Energy Policy Act of 2005, Title VII, Part G, 42 U.S.C 16131; The Diesel Emissions Reduction Act of 2010, Public Law 111-364.

**OBJECTIVES:**

Section 792 of Title VII, Subtitle G of the Energy Policy Act of 2005 (EPA Act 2005) authorizes EPA to award grants and low-cost revolving loans to eligible entities to fund the costs of a retrofit technology that significantly reduces emissions through implementation of a certified engine configuration, verified technology, or emerging technology for buses (including school buses), medium heavy-duty or heavy heavy-duty diesel trucks, marine engines, locomotives, or nonroad engines or diesel vehicles or equipment used in construction, handling of cargo (including at port or airport), agriculture, mining, or energy production. In addition, eligible entities may also use funds awarded for programs or projects to reduce long-duration idling using verified technology involving a vehicle or equipment described above, or the creation of

low-cost revolving loan programs to finance diesel emissions reduction projects. The objective of the assistance under this program is to achieve significant reductions in diesel emissions in terms of tons of pollution produced and reductions in diesel emissions exposure, particularly from fleets operating in areas designated by the Administrator as poor air quality areas.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

**Funding Priority - Fiscal Year 2011:** This program aims to work aggressively to reduce the pollution emitted from diesel engines across the country through the implementation of varied control strategies and aggressive involvement of national, state, and local partners. Priority shall be given to projects which: Maximize public health benefits; Are the most cost-effective; Serve areas with the highest population density, that are poor air quality areas (including nonattainment or maintenance of national ambient air quality standards for a criteria pollutant; Federal Class I areas; or areas with toxic air pollutant concerns); Serve areas that receive a disproportionate quantity of air pollution from diesel fleets, including truck stops, ports, rail yards, terminals, and distribution centers or that use a community-based multi-stakeholder collaborative process to reduce toxic emissions; Include a certified engine configuration, verified technology, or emerging technology that has a long expected useful life; Will maximize the useful life of any certified engine configuration, verified technology, or emerging technology used or funded by the eligible entity; Conserve diesel fuel; and Utilize ultra low sulfur diesel fuel (15 parts per million of sulfur content) ahead of EPA's mandate (for nonroad projects).

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Assistance agreements are available to support recipient's allowable costs incident to supporting projects to reduce emissions from diesel engines, plus allowable indirect costs, in accordance with established EPA policies and regulations. No grant or loan provided under this section shall be used to fund the costs of emissions reductions that are mandated under Federal, State or local law. Voluntary or elective emission reduction measures shall not be considered "mandated", regardless of whether the reductions are included in the State implementation plan of a State. Distribution of Funds: 1) not less than 50 percent of funds available for a fiscal year under the DERA National Program shall be provided to eligible entities for the benefit of public fleets; 2) not less than 90 percent of funds available for a fiscal year under the DERA National Program shall be provided to eligible entities for projects using a certified engine configuration or a verified technology; 3) not more than 10 percent of funds available for a fiscal year under the DERA National Program shall be provided to eligible entities for the development and commercialization and implementation of emerging technologies.

Recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

A regional, State, local or tribal agency or port authority with jurisdiction over transportation or air quality; and a nonprofit organization or institution that represents or provides pollution reduction or educational services to persons or organizations that own or operate diesel fleets; or has, as its principal purpose, the promotion of transportation or air quality are eligible for assistance under this program. City, county, or municipal agencies, school districts, and metropolitan planning organizations (MPOs) that have jurisdiction over transportation or air quality are all eligible entities under this program to the

extent that they fall within the definition above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Anyone/General Public.

#### **Credentials/Documentation:**

Costs will be determined in accordance with Office of Management and Budget (OMB) Circular A-87, found at 2 CFR 225, for State and local governments and Indian Tribes, OMB Circular No. A-21, found at 2 CFR 220, for educational institutions, and OMB Circular No. A-122, found at 2 CFR 230, for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. By law Section 792 includes application requirements. In addition, EPA requires final applications to be made on Standard Form 424, Application for Federal Assistance. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. Standard Form 424 is also available for download at EPA's Office of Grants and Debarment (OGD) web site, <http://www.epa.gov/ogd/AppKit/application.htm>, from [www.grants.gov](http://www.grants.gov), or from EPA Regional Collaborative assistance agreement websites. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA's Office of Air and Radiation and/or the 10 EPA Regions will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 180 days after the request for applications.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Generally, EPA fully funds assistance agreements under this program.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** There is no requirement for a matching contribution from applicants other than for certain projects (engine upgrades, idle reduction technologies, aerodynamic technologies and low rolling resistance tires, engine

repowers, vehicle/equipment replacements, and drayage vehicle replacements). Proposed projects involving engine upgrades, idle reduction technologies, aerodynamic technologies and low rolling resistance tires, engine repowers, vehicle/equipment replacements, and drayage vehicle replacements are subject to funding limitations, which are:

**Engine Upgrade** - EPA will fund up to 75% of the cost of an eligible engine upgrade.

**Idle Reduction Technologies** - EPA will fund up to 50% or 100% of the cost of an idle reduction technology, depending on the combination of technologies chosen:

\* EPA will fund up to 50% of the cost of an eligible, verified idle reduction technology.

\* EPA will fund up to 100% of the cost an eligible, verified idle reduction technology, if that technology is combined on the same vehicle with a new eligible verified exhaust control.

**Aerodynamic Technologies and Low Rolling Resistance Tires** - EPA will not fund stand-alone aerodynamic technologies or low rolling resistance tires. EPA will fund up to 50% or 100% of the cost of aerodynamic technologies or low rolling resistance tires, depending on the combination of technologies chosen, as described below:

\* If aerodynamic technologies or low rolling resistance tires are combined on the same vehicle with an eligible verified exhaust control, up to 100% funding will be provided for the entire package.

\* If aerodynamic technologies or low rolling resistance tires are combined on the same vehicle with an idle reduction technology, up to 50% funding will be provided for the entire package.

\* If aerodynamic technologies or low rolling resistance tires are combined on the same vehicle with an eligible verified exhaust control AND an Idle Reduction Technology, up to 100% funding will be provided for the entire package.

**Engine Repower** - EPA will fund up to 75% of the cost of an eligible engine repower.

**Vehicle/Equipment Replacement** - EPA will fund up to 25% of the cost of a of a newer, cleaner vehicle or piece of equipment powered by a 2010 or newer model year certified diesel engine (except for drayage vehicles; see below).

**Drayage Vehicle Replacement** - EPA will fund up to 50% of the cost of eligible drayage trucks with a 2007 model year or newer heavy duty engine, or a 2004-2006 model year heavy duty engine and equipped with a diesel particulate filter that produces at least an 85% reduction in particulate matter (or equipped with a catalyst in the case of a CNG engine). This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The assistance agreements funded under the National Clean Diesel Emissions Reduction Program typically have a two-year project period with the possibility for extension up to a five-year project period. FY 2011 is the fourth year of funding for this Program, in addition to the FY 2009 supplemental funding received under the American Recovery and Reinvestment Act (ARRA or Recovery Act). See the following for information on how assistance is awarded/released: Assistance agreements may be fully (lump sum) funded.

#### **Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations 40 CFR Part 30 and 40 CFR Part 31. In addition, Recovery Act assistance agreement reporting for the National Clean Diesel Emission Reduction Program will be performed in accordance with OMB's Agency

guidance for implementing American Recovery and Reinvestment Act of 2009, including posting Recovery Act project progress on Recovery.gov.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

In addition, Grantees of Recovery Act assistance agreements are required to submit program reports in accordance with Recovery Act requirements, OMB and Agency guidance. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

In addition, Grantees of Recovery Act assistance agreements are required to submit financial reports in accordance with Recovery Act requirements, OMB and Agency guidance. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

In addition, Grantees of Recovery Act assistance agreements are required to submit progress reports to recovery.gov and EPA in accordance with Recovery Act requirements, OMB and Agency guidance. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

In addition, Grantees of Recovery Act assistance agreements are required to comply with Recovery Act requirements, OMB and Agency guidance.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

In accordance with the American Recovery and Reinvestment Act, OMB guidance and Agency policies; EPA Office of Inspector General, EPA's program and administrative staff are committed to increased auditing and oversight of all Recovery Act assistance agreements to ensure all funds are used appropriately and accounted for.

#### **Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

#### **Account Identification:**

68-0103-0-1-304.

#### **Obligations:**

(Project Grants) FY 10 \$42,000,000; FY 11 est \$35,000,000; and FY 12 est \$0

#### **Range and Average of Financial Assistance:**

There is no minimum amount of assistance. Smaller grants typically range from \$100,000 - \$300,000 with an average award of \$125,000. Larger grants

typically range from \$500,000 - \$2 million with an average award of \$650,000.

Recovery Act Funding under the National Clean Diesel Emissions Reduction Program totaled \$205,800,000.

National Clean Diesel Emissions Reduction Program is divided into 3 competitive categories: (1) National Clean Diesel Funding Assistance Program; (2) Clean Diesel Emerging Technologies Program; (3) SmartWay Clean Diesel Finance Program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: For FY 2009/2010, \$84,000,000 was dispersed through approximately eighty-four (84) grants nationwide. For a list of awarded grants, visit [www.epa.gov/cleandiesel](http://www.epa.gov/cleandiesel) and click on "Grants and Funding.". Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Diesel Emissions Reduction program assistance agreements are subject to EPA's general grant regulations (40 CFR Part 30 and Part 31, as applicable). In addition, Recovery Act assistance agreements must comply the terms of American Recovery and Reinvestment Act of 2009, as well as OMB's Agency guidance for implementing American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or Jennifer Keller.

**Headquarters Office:**

Jennifer Keller, Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Mail Code: 6405J, Washington, District of Columbia 20460 Email: [keller.jennifer@epa.gov](mailto:keller.jennifer@epa.gov) Phone: (202) 343-9541.

**Website Address:**

<http://www.epa.gov/cleandiesel>

**RELATED PROGRAMS:**

66.040 State Clean Diesel Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Eligible projects include a variety of diesel emissions reductions solutions such as: add-on emission control retrofit technologies; idle reduction technologies; cleaner fuel use; engine repowers; engine upgrades; and/or vehicle or equipment replacement; and the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. Eligible vehicles, engines and equipment may include: buses (including school buses); medium-duty or heavy-duty trucks; marine engines; locomotives; and nonroad engines or vehicles used in: i) construction; ii) handling or cargo (including at a port or airport); iii) agriculture; iv) mining; or v) energy production (including stationary engines such as generators or pumps). Fiscal Year 2011: Projects include a variety of diesel emissions reductions solutions such as: add-on emission control retrofit technologies; idle reduction technologies; cleaner fuel use; engine repowers; engine upgrades; and/or vehicle or equipment replacement; and the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. Eligible vehicles, engines and equipment may include: buses (including school buses); medium-duty or heavy-duty trucks; marine engines; locomotives; and nonroad engines or vehicles used in: i) construction; ii) handling or cargo (including at a port or airport); iii) agriculture; iv) mining; or v) energy production (including stationary engines such as generators or pumps). Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.040 STATE CLEAN DIESEL GRANT PROGRAM**

(DERA State Program)

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

FY 2008 Interior, Environment and Related Agencies Appropriations Act;

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009; American Recovery and Reinvestment Act of 2009 (Recovery Act), Title 7; The Energy Policy Act of 2005, Public Law 109-58; The Diesel Emissions Reduction Act of 2010, Public Law 111-364.

**OBJECTIVES:**

Section 793 of the Energy Policy Act of 2005 authorizes EPA to award assistance agreements to States to develop and implement such grant and low-cost revolving loan programs in the State as are appropriate to meet State needs and goals relating to the reduction of diesel emissions.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

Funding Priority - Fiscal Year 2011: To the extent practicable, States receiving assistance under this program shall give priority to projects which: Maximize public health benefits; Are the most cost-effective; Serve areas with the highest population density, that are poor air quality areas (including nonattainment or maintenance of national ambient air quality standards for a criteria pollutant; Federal Class I areas; or areas with toxic air pollutant concerns); Serve areas that receive a disproportionate quantity of air pollution from diesel fleets, including truck stops, ports, rail yards, terminals, and distribution centers or that use a community-based multi-stakeholder collaborative process to reduce toxic emissions; May include a certified engine configuration, verified technology, or emerging technology that has a long expected useful life; Maximize the useful life of any certified engine configuration, verified technology, or emerging technology used or funded by the eligible entity; Conserve diesel fuel; and Utilize ultra low sulfur diesel fuel (15 parts per million of sulfur content) ahead of EPA's mandate (for nonroad projects).

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support the development and implementation of such grant and low-cost revolving loan programs in a State as are appropriate to meet State needs and goals relating to the reduction of diesel emissions. A grant or loan funded by the State using funds from the DERA State Program may be used for projects involving EPA-verified and/or California Air Resources Board (CARB) verified diesel emissions reduction technologies and/or EPA certified engines, or emerging diesel emissions reduction technologies or strategies. Funds received under Subtitle G of the Energy Policy Act (Diesel Emissions Reduction) may not be used to pay a matching share under this program.

Recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is available to the 50 states and the District of Columbia.

**Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Anyone/General Public.

**Credentials/Documentation:**

Costs for State governments will be determined in accordance with Office of Management and Budget (OMB) Circular A-87, found at 2 CFR 225. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to this program description, EPA will generally specify the nature of the

pre-application/pre-proposal assistance, if any, that will be available to applicants. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. EPA requires final applications to be made on Standard Form 424, Application for Federal Assistance. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. Standard Form 424 is also available for download at EPA's Office of Grants and Debarment (OGD) web site, <http://www.epa.gov/ogd/AppKit/application.htm>, from [www.grants.gov](http://www.grants.gov), or from EPA Regional Collaborative assistance agreement websites. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA's Office of Air and Radiation and/or the 10 EPA Regions will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the Federal Register Notice of Availability of Funds for this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days after the request for applications.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Permitted. Generally, EPA incrementally funds cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the projects to EPA's priorities, availability of funds, and Agency policy on the cooperative agreement process.

**Formula and Matching Requirements:**

Statutory Formula: Title Subtitle G Diesel Emissions Reduction, Section 793(c)(2). This program has a statutory allocation formula (Subtitle G - Diesel Emissions Reduction, Section 793(c)(2)). There is no match requirement for this program. However, there is an incentive match provision (Subtitle G - Diesel Emissions Reduction, Section 793(c)(3)).

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements funded under this program may have up to a seven-year project period. See the following for information on how assistance is awarded/released: Assistance agreements may be incrementally (quarterly) or fully (lump sum) funded.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 31. In addition, Recovery Act grant or cooperative agreement reporting for the State Clean Diesel Grant Program will be performed in accordance with OMB's Agency guidance for implementing American Recovery and Reinvestment Act of 2009, including posting Recovery Act project progress on Recovery.gov.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements

stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

In addition, Grantees of Recovery Act assistance agreements are required to submit program reports in accordance with Recovery Act requirements, OMB and Agency guidance. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

In addition, Grantees of Recovery Act assistance agreements are required to submit financial reports in accordance with Recovery Act requirements, OMB and Agency guidance. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

In addition, Grantees of Recovery Act assistance agreements are required to submit progress reports to [recovery.gov](http://recovery.gov) and EPA in accordance with Recovery Act requirements, OMB and Agency guidance. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

In addition, Grantees of Recovery Act assistance agreements are required to comply with Recovery Act requirements, OMB and Agency guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. In accordance with the American Recovery and Reinvestment Act, OMB guidance and Agency policies; EPA Office of Inspector General, EPA's program and administrative staff are committed to increased auditing and oversight of all Recovery Act assistance agreements to ensure all funds are used appropriately and accounted for.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 10 \$18,000,000; FY 11 est \$15,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

There is no minimum or maximum amount of assistance. The range is estimated from \$300,000 to \$3,000,000 with an average award of \$300,000, depending on the number of States participating. Recovery Act funding for the 50 states and the District of Columbia is totaled at \$88,230,000 or \$1,730,000 each. In FY 2009 and FY 2010 the base funding was \$235,294 per State for each year; the incentive for matching was \$117,647.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, all 50 States and the District of Columbia participated in the program. Each State was awarded a cooperative agreement for clean diesel activities. The majority of States matched the EPA base funds

and received the incentive funds. For a complete list of State Clean Diesel program cooperative agreements, visit [www.epa.gov/cleandiesel](http://www.epa.gov/cleandiesel) and click on "State Program.". Fiscal Year 2011: In FY 2011, all 50 States and the District of Columbia participated in the program. Each State was awarded a cooperative agreement for clean diesel activities. The majority of States matched the EPA base funds and received the incentive funds. For a complete list of State Clean Diesel program cooperative agreements, visit [www.epa.gov/cleandiesel](http://www.epa.gov/cleandiesel) and click on "State Program.". Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

State Clean Diesel Grant Program grants and cooperative agreements are subject to EPA's general grant regulations (40 CFR Part 31). Guidelines for applying for funds under this program will be published in the Federal Register. In addition, Recovery Act grants and cooperative agreements must comply the terms of American Recovery and Reinvestment Act of 2009, as well as OMB's Agency guidance for implementing American Recovery and Reinvestment Act of 2009.

#### **Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or Jennifer Keller.

#### **Headquarters Office:**

Jennifer Keller, Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Mail Code: 6405J, Washington, District of Columbia 20460 Email: [keller.jennifer@epa.gov](mailto:keller.jennifer@epa.gov) Phone: (202) 343-9541.

#### **Website Address:**

<http://www.epa.gov/cleandiesel>

#### **RELATED PROGRAMS:**

66.039 National Clean Diesel Funding Assistance Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: States may use funds under this program to develop and implement grant and loan programs that are designed to achieve significant reductions in diesel emissions and are appropriate to meet State needs and goals relating to the reduction of diesel emissions. State grant and loan programs may fund projects relating to a certified engine configuration or a verified technology for vehicles, engines and equipment, including: buses; medium-duty or heavy-duty trucks; marine engines; locomotives; and nonroad engines or vehicles used in: i) construction; ii) handling or cargo (including at a port or airport); iii) agriculture; iv) mining; or v) energy production. Projects under the State's grant program may include, but are not limited to, a variety of diesel emissions reductions solutions such as: add-on emission control retrofit technologies; idle reduction technologies; cleaner fuel use; engine repowers; engine upgrades; and/or vehicle or equipment replacement; and the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. Fiscal Year 2011: States may use funds under this program to develop and implement grant and loan programs that are designed to achieve significant reductions in diesel emissions and are appropriate to meet State needs and goals relating to the reduction of diesel emissions. State grant and loan programs may fund projects relating to a certified engine configuration or a verified technology for vehicles, engines and equipment, including: buses; medium-duty or heavy-duty trucks; marine engines; locomotives; and nonroad engines or vehicles used in: i) construction; ii) handling or cargo (including at a port or airport); iii) agriculture; iv) mining; or v) energy production. Projects under the State's grant program may include, but are not limited to, a variety of diesel emissions reductions solutions such as: add-on emission control retrofit technologies; idle reduction technologies; cleaner fuel use; engine repowers; engine upgrades; and/or vehicle or equipment replacement; and the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for awards under this CFDA description will be described in the Federal Register Notice of Availability of Funds.

#### **66.041 CLIMATE SHOWCASE COMMUNITIES GRANT PROGRAM FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

#### **AUTHORIZATION:**

FY 2009 Appropriations Act, Public Law 111-8; FY 2010 Appropriations Act, Public Law 111-117.

#### **OBJECTIVES:**

Public Law 111-8 authorizes EPA to award competitive grants to communities to develop plans and demonstrate and implement projects which reduce greenhouse gas emissions. EPA will implement this grant authority by awarding grants to local and tribal governments for Planning, Demonstrations, and Implementation Projects designed to address climate change by reducing greenhouse gas emissions. Such projects should include a plan for measuring documentable reductions in greenhouse gas emissions and exhibit the capacity for replication. Grant activities should aim to: 1) reduce emissions of greenhouse gases; 2) build capacity within local and tribal agencies to address greenhouse gas emissions within their communities; 3) create meaningful and sustainable programs and management systems to achieve ongoing reductions; 4) link climate change initiatives with broader environmental, economic, and social concerns; 5) build and leverage partnerships across multiple stakeholder groups that facilitate front-end participation by communities impacted by climate change; and 6) create models of success that can be replicated across the nation.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

Funding Priority - Fiscal Year 2011: No available funding for 'Climate Showcase Communities Grant Program' in FY 2011.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

EPA will implement this grant authority by awarding grants to local and tribal governments for Planning, Demonstrations, and Implementation Projects designed to address climate change by reducing greenhouse gas emissions. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Local governments - a county, municipality, city, town, township, local public authority (including any public and Indian housing agency) school district, special district, intrastate district, council of governments, any other regional or interstate government entity, or any agency or instrumentality of a local government. Federally recognized Indian tribal governments - the governing body or a governmental agency of any Indian tribe, band, nation, or other organized group or community (including Native villages) certified by the Secretary of the Interior as eligible for the special programs and services provided by him through the Bureau of Indian Affairs. Intertribal Consortia - a partnership between two or more Tribes that is authorized by the governing bodies of those Tribes to apply for and receive assistance under this program. Intertribal Consortia are eligible to receive grants under this program only if the Consortium demonstrates that all members of the Consortium meet the eligibility requirements for the grant and authorize the Consortium to apply for and receive assistance by submitted to EPA documentation of (1) the existence of the partnership between Indian Tribal governments, and (2) Authorization of the Consortium by all its members to apply for and receive the grant(s) for which the Consortium has applied.



For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Local Governments and Federally-recognized Indian Tribes, Intertribal Consortia, General Public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87, found in 2CFR 225, for State, Local, and Indian Tribal Governments. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog.

For competitive awards, EPA will review and evaluate applications, proposals and/or submissions in accordance with the terms, conditions, and criteria stated in the announcement of the competitive funding opportunity. Competition will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 are applicable. In addition, EPA requires final applications to be made on Standard Form 424, Application for Federal Assistance. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. Standard Form 424 is also available for download at EPA's Office of Grants and Debarment (OGD) web site, <http://www.epa.gov/ogd/AppKit/application.htm>, from [www.grants.gov](http://www.grants.gov), or from EPA Regional Collaborative assistance agreement websites. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA's Office of Air and Radiation, other Headquarters Program Offices, and/or the 10 EPA Regions will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

EPA intends to fully fund projects with the initial award, but reserves the right to incrementally fund projects as appropriate.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The match required for this program is set at 50% with the exception of tribal governments who are exempt from matching requirements. This program does not have a statutory formula, but EPA may allocate 5% of the funds to tribal governments.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grants and/or cooperative agreements funded under the Climate Showcase Communities Grant Program will have up to a five-year project period. However EPA will negotiate the project period with each applicant based on project requirements. It is anticipated that most Climate Showcase Community awards will be for 24 to 36 months. FY 2009 is the first year of funding for this Program. See the following for information on how assistance is awarded/released: Assistance agreements will be fully funded by a lump sum.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients' grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$10,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance. Awards range in value from \$100,000 to \$500,000 with an average award of \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 25 communities, including 3 tribes, from 20 states were selected for funding in FY 2010. By 2013, the combined efforts of these communities are expected to reduce GHG emissions by 170,000 metric tons annually. In addition, the projects will save over \$14 million annually, create at least 50 direct jobs, and provide additional environmental, health, and quality of life benefits. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Local Communities Climate Change Initiative grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 31) and OMB Circular No.A-102.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Andrea Denny, Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Mail Code: 6202J, Washington, District of Columbia 20460 Email: denny.andrea@epa.gov Phone: (202) 343-9268.

**Website Address:**

<http://www.epa.gov/statelocalclimate/local/showcase/index.html>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects funded in FY 2010 included: energy efficiency in residential, commercial, and public buildings; industrial packaging recycling; vehicle mile reduction programs; education and outreach programs; biofuel production; combined heat and power; and implementation of community climate action plans. Fiscal Year 2011: No projects were funded in 2011. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.042 TEMPORALLY INTEGRATED MONITORING OF ECOSYSTEMS (TIME) AND LONG-TERM MONITORING (LTM) PROGRAM**

TIME/LTM

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act, Section 103(b)(3); Clean Water Act, Section 104(b)(3); National Environmental Policy Act, Section 102(2)(F).

**OBJECTIVES:**

Clean Air Act section 103(b)(3) authorizes EPA to conduct and promote the coordination and acceleration of research, investigations, experiments, demonstrations, surveys, studies relating to the causes, effects (including health and welfare effects), extent, prevention and control of air pollution. Clean Water Act section 104(b)(3) authorizes EPA to award grants to conduct and promote the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys and studies relating to the causes, effects, extent, prevention, reduction and elimination of pollution. EPA will award cooperative agreements to study the ecological response to pollution reduction and emissions control programs. The programs will assist in understanding biogeochemical changes in sulfur, nitrogen, mercury, and carbon in streams and lakes in relation to changing pollutant emissions and deposition, as well as other factors, such as potential climate change (e.g., temperature, precipitation, timing of storm events).

Funding Priority - Fiscal Year 2011: The TIME/LTM programs will support initiatives that demonstrate the potential for tracking and understanding the ecological response to air pollution reduction programs in acid-sensitive regions

of the U.S. Funding will be available for applicants that demonstrate the ability to provide consistent, reliable, quality-assured data from lakes and streams for a variety of surface water chemistry parameters (e.g., pH, sulfate and nitrate concentrations, acid neutralizing capacity, aluminum concentrations, base cations).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

EPA will implement this grant authority by awarding cooperative agreements to state and local governments, institutions of higher education, and quasi-public and non-profit organizations that demonstrate the capability to perform the sampling, measurement, and parameter characterization of the lakes and streams in this long-term ecological system response program. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S. (including the District of Columbia); public and private universities and colleges; hospitals; laboratories; public or private nonprofit institutions; intertribal consortia; and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. An intertribal consortium must meet the definition of eligibility in the Environmental Program Grants for Tribes Final Rule, at 40 CFR 35.504 (66 FR 3782, January 16, 2001) (FRL-6929-5) and be a non-profit organization within the meaning of OMB Circular A-122. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments in acid-sensitive regions of the U.S., institutions of higher education, scientific research community, general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 are applicable. In addition, EPA requires final applications to be made on Standard Form 424, Application for Federal Assistance. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency

Agreements Management Division, 3903R, Washington, DC 20460. Standard Form 424 is also available for download at EPA's Office of Grants and Debarment (OGD) web site, <http://www.epa.gov/ogd/AppKit/application.htm>, from [www.grants.gov](http://www.grants.gov). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. While there is no statutory or regulatory cost sharing requirement for this program, as a matter of policy the Agency may impose a cost sharing requirement in specific competitions. If the Agency decides to do this, the cost sharing terms will be stated in Section III of the competitive announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds assistance agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 7 years. See the following for information on how assistance is awarded/released: Assistance agreements may be incrementally (quarterly) or fully (lump sum) funded.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31, as applicable.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30, as applicable. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30, as applicable. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30, as applicable. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30, as applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients' grants or cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-1810-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$720,000; FY 11 est \$720,000; and FY 12 est \$720,000

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance. EPA anticipates awards ranging in total value of \$640,000 to \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Pursuant to with the President's FY 2010 budget, funds for operation of the TIME/LTM programs were transferred from the Office of Research and Development (ORD) to the Clean Air Markets Division (CAMD) in the Office of Atmospheric Programs (OAP) within the Office of Air and Radiation (OAR). CAMD assumed management responsibility for the two ongoing assistance projects and has funded them through FY 2011. The two cooperators successfully fulfilled their assistance agreement project performance and financial obligations. Approximately 750 lake and stream samples from 108 TIME and LTM sites in NY and NH were collected and analyzed, thus continuing a 30-year dataset for the TIME/LTM sites. The samples provide essential chemical data for assessing and understanding the response of freshwater aquatic ecosystems to OAR and NY and NH emission reduction programs. The data will be included in the 2010 Acid Rain and Related Programs Progress Report to show changes in chemical indicators (e.g. sulfate, nitrate, acid neutralizing capacity) of ecological response to emission reductions achieved by implementation of OAR and state programs. In addition, the TIME/LTM data sets were used by program cooperators and by the broad scientific community in numerous research articles published in 2010. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

TIME/LTM assistance agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31, as applicable).

**Regional or Local Office:**

None.

**Headquarters Office:**

Richard Haeuber, Environmental Protection Agency, 1200 Pennsylvania Avenue N.W. Mail Code: 6204J, Washington, District of Columbia 20460  
Email: [haeuber.richard@epa.gov](mailto:haeuber.richard@epa.gov) Phone: (202) 343-9250.

**Website Address:**

<http://www.epa.gov/airmarkets/assessments/surfacewater.html>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects consisted of monitoring of small headwaters streams in undeveloped watersheds; monitoring of lakes smaller than four hectares with low acid neutralizing capacity levels in acid-sensitive regions; monitoring of lake and stream sulfate and nitrate concentrations in acid-sensitive regions of

the eastern U.S. Fiscal Year 2011: No Current Data Available Fiscal Year 2012:  
No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

EPA selects proposed TIME/LTM projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. If EPA issues a solicitation for applications for a particular project or group of projects, the solicitation will identify specific criteria. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.050 POTOMAC HIGHLANDS IMPLEMENTATION GRANTS**

##### **FEDERAL AGENCY:**

Region 3, Environmental Protection Agency

##### **AUTHORIZATION:**

EPA's Fiscal Year 2010 Appropriation Act ("Department of the Interior, Environment, and Related Agencies Appropriation Act, 2010")  
, Public Law 111-88.

##### **OBJECTIVES:**

To protect and restore the resources of the Potomac Highlands through implementation of conservation and restoration work. The Mid-Atlantic Highland's Action Program (HAP) is the foundation for the Potomac Highlands Implementation Grant. The Mid-Atlantic Highlands encompasses 79,000 square miles in the Central Appalachians of Maryland, Pennsylvania, Virginia, and West Virginia. The region hosts some of the most diverse and globally important resources on Earth. It is rich in natural and cultural heritage where the environment plays an important role in the quality of life. After years of resource extraction and lack of regard for natural resources, the Mid-Atlantic Highlands has become an area in need of attention. Congress recognized the uniqueness of the area and the need to perform restoration, conservation and protection projects. In 2002, Congress funded the Mid-Atlantic Highland Action Program (HAP).

HAP uses the best available science including strategic conservation, to improve the natural resources and socio-economic conditions in the Highlands. Strategic conservation aims to build networks and connections between high value ecosystems by protecting intact resources and enhancing or restoring other areas. This strategic approach provides a framework for revitalizing and connecting forested headwaters and lands through river corridors and natural stream channel design, wetlands, working lands, ridge lines, steep slopes, riparian buffers, and flood plains. HAP is working toward achieving the following program goals:

" Highlighting, protecting, and conserving special places that have ecological and cultural importance;

" Highlighting important connections between these special places;

" Revitalizing damaged ecosystems especially in key ecological corridors;

" Empowering citizens and communities to strengthen the linkages among cultural heritage, economic viability and the condition of the environment;

" Enhancing opportunities for the restoration industry in the Highlands, which will enhance lasting employment opportunities for its residents; and

" Leveraging existing resources to support all these goals.

Potomac Highlands Implementation Grant will support the HAP goals within the geographic boundaries as defined above.

Funding Priority - Fiscal Year 2011: Funding priorities include on the ground implementation work that protect high value ecosystems and restore impaired systems.

##### **TYPES OF ASSISTANCE:**

Project Grants

##### **USES AND USE RESTRICTIONS:**

Funds are used to support on-the-ground project work relating to protection of ecological resources and services to improve the Potomac Highlands ecosystem. For the purposes of the Potomac Highlands implementation grants, EPA considers the Potomac Highlands to be the Potomac Watershed west of and above the fall line plus the eight counties in the east central portion of West Virginia defined as the WV Potomac Highlands by the WV Department of Commerce. The eight counties are: Mineral, Hampshire, Grant, Tucker, Randolph, Pendleton, Pocahontas, and Hardy.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

Funds are awarded to eligible entities that best meet the selection criteria described in the Request for Proposals.

##### **Applicant Eligibility:**

Assistance under this program will be available to State and local governments, as defined in 40 CFR Part 31.3, universities and colleges and other public and private nonprofit organizations. For-profit commercial entities are not eligible. Nonprofit organizations described in Section 501 (c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

##### **Beneficiary Eligibility:**

Assistance under this program will be available to State and local governments, as defined in 40 CFR Part 31.3, universities and colleges and other public and private nonprofit organizations.

##### **Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate that they have appropriate background, academic training, experience in the field and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular Nos. A-21, A-87, and A-122 apply to this program. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. See [http://www.whitehouse.gov/omb/grants\\_spc/](http://www.whitehouse.gov/omb/grants_spc/) to find out who your contact is in your state. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application procedures will be provided in the competitive announcement issued by EPA.

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

the date of submission of final expenditures reports. If questions, such as those raised as a result of audits or litigation remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Applicants are required to provide a minimum non-federal match of 25 percent of the total cost of the project or projects.

Match may be cash or in-kind consistent with the regulation governing match requirements (40 CFR 31.24 or 40 CFR 30.23).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the assistance agreement shall be one to two years. However, EPA Region III can negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award. See the following information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: Awards are released through an electronic funds transfer method.

**Reports:**

In addition to the general reporting requirements under 40 CFR, EPA includes specific reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require financial, equipment, and invention reports. Reporting requirements are also identified in EPA's grant regulations 40 CFR Parts 30 and 31. Program reports are required. Cash reports are not applicable. Progress reports are required. Expenditure reports are required. Performance monitoring reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three (3) years from

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$1,800,000; FY 11 est \$200,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Anticipated Average Grant Award in FY11 \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY 2010 one award was made to administer the EPA Potomac Highlands Implementation Grants. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Parts 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

See Regional Agency Offices. EPA, Region 3, Mail Code 3EA00, 1650 Arch Street, Philadelphia, PA 19103

Tom DeMoss, 410-295-1356, Email: demoss.tom@epa.gov

Susan Spielberger, 215-814-5356, fax 215-814-5718

Email: spielberger.susan@epa.gov.

**Headquarters Office:**

Danielle Algazi, EPA, Region 3, Mail code 3EA00, 1650 Arch Street, Philadelphia, PA 19103, Philadelphia, Pennsylvania 19103 Email: algazi.danielle@epa.gov Phone: (215) 814-2722 Fax: (215) 814-5718.

**Website Address:**

<http://www.epa.gov/region03/grants/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Fiscal Year 2010: The American Rivers was awarded a Cooperative Agreement to develop the Potomac Highlands Implementation Program. The purpose of this agreement is to fund projects that protect and restore the Potomac Highlands ecosystem, while benefiting its human communities. Eligible projects include protection and restoration of forests, wetlands and streams such as: conservation of un-fragmented forestlands; wetlands protection and restoration; conservation easements; protection of non-impaired streams; protection of headwater streams; aquatic habitat improvements (physical and chemical); habitat management structures; watershed protection and restoration; stream and floodplain barrier removal; riparian corridor/buffer improvements; non-structural best management practices; floodplain restoration and protection; non-traditional reclamation of abandoned mine land; and traditional reclamation of abandoned mine land. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.110 HEALTHY COMMUNITIES GRANT PROGRAM

(Healthy Communities)

### FEDERAL AGENCY:

Region 1, Environmental Protection Agency

### AUTHORIZATION:

Toxic Substances Control Act, Section 10; Safe Drinking Water Act, Section 1442(a)&(c); Indian Environmental General Assistance Program Act; Marine Protection, Research, & Sanctuaries Act, Section 203; Clean Air Act, Section 103(b)(3); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Solid Waste Disposal Act, Section 8001; Clean Water Act, Section 104(b)(3).

### OBJECTIVES:

The statutory authorities for this program restrict the use of assistance agreements to support the following activities: conducting or promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, and elimination of water pollution. Demonstrations must involve new or experimental technologies, methods, or approaches, and it is encouraged that the results of these projects will be disseminated so that others can benefit from the knowledge gained. A project that is accomplished through the performance of routine, traditional, or established practices, or a project that is simply intended to carry out a task rather than transfer information or advance the state of knowledge, however worthwhile the project might be, is not considered a demonstration project. Implementation projects are not eligible for funding under this program.

Grants are awarded to support projects that meet two criteria: 1) They must be located in and directly benefit one or more Target Investment Areas (Environmental Justice Areas of Potential Concern, Places with High Risks from Toxic Air Pollution, Sensitive Populations, and/or Urban Areas); and 2) They must achieve measurable environmental and public health results in one or more of the Target Program Areas (generally defined in the annual competitive funding announcement). Funds for all projects should support activities to provide education, outreach, or training, in the Target Program Areas. The Regional Office will only accept submissions for projects that affect the States, Tribes, and Territories within the six New England States: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont. Projects that are National in scope are not eligible for funding under this Regional Program.

### Funding Priority - Fiscal Year 2011:

**Asthma:** Projects that increase the number of people with asthma who take actions to reduce their exposure to environmental triggers (improved self-management of asthma). Projects should identify, disseminate and promote the use of existing or innovative education and outreach products and services with proven effectiveness. Projects can target geographic areas and various settings (e.g., communities, schools, homes/housing, etc.) and address indoor air quality issues. Healthy homes approaches should include interventions to reduce environmental triggers such as integrated pest management and reduction of indoor air pollutants (e.g. particulate matter, dust, mold, environmental tobacco smoke, etc. Applicants are encouraged to integrate environmental trigger avoidance into comprehensive asthma management programs, as recommended by the National Asthma Education Prevention Program (NAEPP) <http://www.nhlbi.nih.gov/about/naepp/>. Applicants are further encouraged to integrate comprehensive asthma management programs into holistic "Healthy Homes" approaches to environmental diseases as well as partnerships with managed care organizations and health care payers to incorporate the environmental aspects of asthma into provider referral and reimbursement systems. Additionally, collaboration among stakeholders is encouraged if it provides a means to reduce the burden of asthma on a state or regional level. While it is appropriate to place environmental trigger avoidance into the broader context of medical management in EPA-funded activities, where non-environmental asthma management (e.g., medical management) activities are proposed, applicants must be prepared to document alternative funding sources for such activities.

**Capacity Building on Environmental and Public Health Issues:** Projects that

organize and sponsor community training events, or other forums that increase citizen involvement in understanding or addressing the causes, effects, extent, reduction, prevention and/or elimination of at least one of the following environmental and public health issues: environmental justice, indoor/ambient air quality, lead, asthma, pesticides, urban rivers/wetlands, chemical risks, recycling, energy conservation, renewable energy, and/or stormwater management; train and educate groups of community stakeholders on methods to identify, reduce, prevent or eliminate exposures to pollution in soil, air or water; train groups, community/neighborhood stakeholders, and/or residents in holistic and comprehensive approaches for promoting pollution prevention efforts in a sustainable manner that improves, protects and/or enhances the ecological health of urban natural resources; integrate environmental justice, green jobs, or green technology to support healthy communities; increase regional, state, tribal, community, and neighborhood access to information, dialogue, collection and use of data (e.g. GIS mapping, risk evaluation, risk mitigation, collecting emissions data, etc.), and/or improve methods of risk characterization; increase collaboration with businesses to improve their environmental performance (including compliance); increase collaboration among residents, businesses, and municipal governments to address community environmental issues (e.g., infrastructure, protecting community assets, etc.), and/or build new or strengthen existing coalitions to address schools, States, or regional programs and at least one or more of the environmental and public health issue(s) previously mentioned are encouraged.

**Clean Energy:** Projects that promote clean energy, through energy efficiency measures that reduce energy consumption, or through the generation of energy from renewable resources, including solar, wind, biomass, and geothermal sources are priorities for EPA. Priority sectors for energy efficiency and renewables include municipalities, schools, and colleges and universities. Municipal projects should focus on reducing energy consumption within municipal buildings, including offices, schools and wastewater treatment plants. In general, these projects should focus on more efficient use of energy, and water, as well as the potential use of renewable energy to supply electricity or heat to a facility in place of power provided by the local utility.

**Healthy Indoor/Outdoor Environments:** Projects that focus on reducing and/or preventing childhood lead poisoning, reducing asthma triggers, promoting integrated pest management; reducing childhood exposure to one or more toxins (PCBs, dioxin, mercury, lead, pesticides, etc.), promoting comprehensive healthy homes and other indoor and/or outdoor environments are encouraged. Projects that reduce indoor or ambient air toxics in a city, community or county, including those to create and implement risk management plans, conduct risk screening, build technical training capacity to help reduce community exposure to indoor and/or outdoor air toxics are also encouraged. Projects that promote pollution prevention, source reduction, energy conservation, renewable energy, and/or innovative approaches to stormwater management are also encouraged under this category.

**Healthy Schools:** Projects that train K-12 school teams to implement EPA's Indoor Air Quality Tools for Schools program (<http://www.epa.gov/iaq/schools/tookit.html>) through state-wide, regional, or local workshops; develop or support a systems approach to improving environmental conditions in schools which would include developing a school district wide IAQ management system analogous to TfS; train K-12 school teams to address asthma triggers, deploy integrated pest management techniques particularly in urban areas and/or tribal schools ([www.epa.gov/iaq/schools/asthma](http://www.epa.gov/iaq/schools/asthma)); or efforts which combine several project areas described in this grant solicitation are encouraged. For more information on creating healthy school environments, please visit [www.epa.gov/schools](http://www.epa.gov/schools).

**Narragansett Bay Watershed-Based Water Quality Management:** Projects that address priorities and recommendations identified in the draft and/or final Narragansett Bay Region Integrated Plan for the Narragansett Bay watershed, including support for water quality improvement and monitoring, watershed planning and management, and planning for coordinated approaches to address the water quality impacts of nutrients, climate change, stormwater management, invasive species, nonpoint source pollution, water efficiency, and environmental management systems.

**Pollution Prevention and Recycling:** Projects that prevent pollution at the source of production through toxic use reduction and the more efficient use of materials, energy, water, and natural resources; and projects that reduce environmental impacts by promoting recycling, composting, waste minimization, beneficial reuse, market development, and sustainable purchasing practices. Priority sectors for pollution prevention and recycling include K-12 schools, hospitals and healthcare facilities, marinas, and colleges and universities. K-12 schools projects should focus on more efficient use of energy, water, reduction of waste generation and/or natural resources including recycling, composting, and/or chemical management ([www.epa.gov/sc3](http://www.epa.gov/sc3)).

**Smart Growth:** Projects that encourage compact, mixed-use, transit-oriented, pedestrian-friendly development in urban areas. Smart growth can improve air quality by replacing some motor vehicle trips with walking, biking, and other clean forms of transportation, reducing exposure to airborne pollutants and risk of respiratory illnesses. Smart growth also can improve water quality by reducing impervious surfaces and preserving green spaces both of which can reduce exposure to waterborne pollutants. Examples of smart growth projects include development of plans on ways to reduce vehicle miles traveled, public education and outreach on smart growth.

**Urban Natural Resources:** Projects that train and educate urban community stakeholders on ways to identify, prevent, reduce, and/or eliminate toxic substances and contamination on vacant lots and open/green space; train and educate the general public or other community stakeholders on causes, effects, extent, reduction, prevention and/or elimination of pollution in urban rivers and other urban natural resources; train and educate groups of urban community stakeholders on methods to identify, reduce, prevent or eliminate exposures to pollution in soil, air or water; train groups, community/neighborhood stakeholders, and/or residents in holistic and comprehensive approaches for promoting pollution prevention efforts in a sustainable manner that improves, protects and/or enhances the ecological health of urban natural resources.

**Water Quality Monitoring or Analyses:** Projects that focus on determining the quality of a particular water body or watershed, identifying water quality problem(s), and/or determining the cause of pollution through water quality monitoring and/or analyses of water bodies. Projects should involve community groups, educational institutions, watershed groups and/or other organizations. Projects can provide and/or support educational opportunities for students, interns or citizens to learn more about the causes, effects, extent, reduction, prevention and elimination of water pollution. Projects focusing on urban and/or environmental justice areas are encouraged.

**Other Topics and Issues:** On an annual basis, the competitive announcement may identify additional funding priorities.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Assistance under this program is available to State, Local, public nonprofit institutions/organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, Federally Recognized Indian Tribal Governments, K-12 schools or school districts; and non-profit organizations (e.g. grassroots and/or community-based organizations). Funding will be considered for a college or university to support a project with

substantial community involvement. Private businesses, federal agencies, and individuals are not eligible to be grant recipients; however, they are encouraged to work in partnership with eligible applicants on projects. Applicants need not be located within the boundaries of the EPA regional office to be eligible to apply for funding but must propose projects that affect the States, Tribes, and Territories within their Region. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State, Local, Federally Recognized Indian Tribal Governments, public nonprofit institutions/organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, anyone/general public.

#### **Credentials/Documentation:**

Tribes may be asked to demonstrate that they are federally recognized. Interstate organizations may be asked to provide a citation to the statutory authority, which establishes their status. Intertribal consortia may be asked to provide documentation that they meet the requirements of 40 CFR Part 35.504. Non-profit applicants are not required to have a formal Internal Revenue Service (IRS) non-profit designation, such as 501(c)(3) or 501(c)(4); however they must present their letter of incorporation or other documentation demonstrating their non-profit or not-for-profit status. This requirement does not apply to public agencies or Federally Recognized Indian Tribes. Failure to enclose the letter of incorporation or other documentation demonstrating non-profit or not-for-profit status will render full proposal submissions incomplete and they will not be reviewed. Applicants who have an IRS 501(c)(4) designation are not eligible for grants if they engage in lobbying, no matter what the source of funding for the lobbying activities. For-profit enterprises are not eligible to receive sub-grants from eligible recipients, although they may receive contracts, subject to EPA's regulations on procurement under assistance agreements, 40 CFR 30.40 (for non-governmental recipients) and 40 CFR 31.36 (for governments). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

For competitive awards, a one page summary format is provided in the competitive announcement. Applicants invited to submit a full proposal are required to submit the SF 424, 424A, 424B, and the pre-award compliance report. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Interested applicants should review information on the Internet at: <http://www.epa.gov/eco/uep/hcgp.html>. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Healthy Communities Grant Program has a two step process for evaluating competitive applications which is described in the annual Request for Initial Proposals. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> and by mail upon request to the Grants and Interagency Agreements Management Division at (202) 564-5305. Completed applications should be submitted to the Region I Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated

in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified within 60 days of receipt of submission for funding.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

All competitive grant awards should be prepared and submitted as new projects, which will be evaluated based on criteria specified in annual competitive funding announcement. Renewals or extensions of existing projects may be available.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The grant program generally allows a match of up to 5% of the total budget but it is not required. Any exceptions will be identified in the competitive funding announcement. Award recipients can use contributions from entities other than themselves as a match. However, other Federal money cannot be used as the match for this grant program. Matching funds are considered grant funds. They must be used for the reasonable and necessary expenses of carrying out the assistance agreement work plan. Any restrictions on the use of grant funds (e.g., prohibition of land acquisition with grant funds) also apply to the matching funds.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are normally funded on a 12 (annual) or 24 month basis, at the discretion of the applicant. There is no restriction placed on the time permitted to spend the money awarded as long as the money is spent within the budget and project periods of the award specified in the workplan and the budget worksheet in the SF 424. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for cooperative agreements in the terms and conditions of the agreements. Cooperative agreements require quarterly and final progress and expenditure reports; program evaluations and other reports as detailed by the specific terms and conditions of the agreements. Progress reports are required on a quarterly basis. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result

of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$285,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$10,789 to \$35,000/fiscal year; \$27,239/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: All projects funded through the Healthy Communities Program reduce environmental risks, and protect and improve human health and the quality of life to create healthy communities and ecosystems. Specific outputs, services and results vary based on each project and Target Program Area(s) identified. Overall program accomplishments include, but are not limited to: reduction in childhood lead poisoning, increased education and outreach related to environment and public health issues, reduction in asthma emergency room visits, increased water quality data and information on urban rivers and wetlands, and increased number of school teams trained or provided technical assistance. In 2010, 73 initial submissions were received and of those 30 applicants submitted full proposals. Twelve awards were granted in fiscal year 2010. Fiscal Year 2011: It is anticipated that 10-20 awards will be granted in fiscal year 2011. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and cooperative agreements awarded under the Healthy Communities Grant Program are subject to EPA's General Grant Regulations, and Procedures (40 CFR Parts 30 and 40 CFR Parts 31). Costs will be determined on accordance with OMB Circular A-87 for State and Local governments and Indian Tribes, OMB Circular A-21 for educational institutions and OMB Circular A-122 for nonprofit institutions.

**Regional or Local Office:**

See Regional Agency Offices. Jennifer Padula, US EPA Region I, 1 Congress Street, CPT, Suite 1100, Boston, MA 02114. Phone: 617-918-1698. Toll Free: 888-372-7341. TTY: 617-918-2028. Fax: 617-918-0698. E-Mail: Padula.Jennifer@epa.gov.

**Headquarters Office:**

Jennifer Padula US EPA Region I  
1 Congress Street, CPT, Suite 1100, Boston, Massachusetts 02114 Email: Padula.Jennifer@epa.gov Phone: 617-918-1698

**Website Address:**

<http://www.epa.gov/region01/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Expamples include: Healthy Boston Schools Initiative; Reduce, Recycle, & Compost; Bridgeport Showcase Showdown with Asthma; New England Environmental Justice Forum; Barnraising & Education for Waltham Energy Lowering. Summaries of these projects and additional examples can be found at <http://www.epa.gov/ne/eco/uep/hcgp.html>. Fiscal Year 2011: Data for FY 2011 is not yet available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.113 REGION 3 ENVIRONMENTAL PRIORITY PROJECTS  
FEDERAL AGENCY:**

Region 3, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104; Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Toxic Substances



Control Act, Section 10.

**OBJECTIVES:**

Assistance agreements awarded under this program must support, surveys, studies, investigations, training, demonstrations and special purpose assistance associated with air quality, acid deposition, drinking water, water quality, hazardous waste, toxic substances, or pesticides: (a) to identify, develop, and demonstrate necessary pollution control techniques; (b) to prevent, reduce, and eliminate pollution; (c) to evaluate the economic and social consequences of alternative strategies and mechanisms for use by those in economic, social, governmental, and environmental management positions; and (d) to promote collaboration on projects and activities within the states and enable wider and more coordinated state input on national environmental issues. Awards under this program must be performed within the Region III area of Delaware, Maryland, Pennsylvania, Virginia, West Virginia and/or District of Columbia.

Funding Priority - Fiscal Year 2011: The Fiscal Year 2011 priority is to fund a co-sponsor(s) to work with the Environmental Protection Agency (EPA) in support of the 2011-2013 Mid-Atlantic Region Student Environmental Development Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance awards in the form of grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, training, demonstrations and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to state and local governments and the District of Columbia. Assistance is also available to public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions (Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.) For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applicants. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions within Region III's geographical area.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. Region III representatives may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA, Region 3 awards grants and cooperative agreements supporting surveys, studies, investigations, training, demonstrations and special purpose assistance under this program description in response to an EPA competitive solicitation. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA Region 3 requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Region 3, 1650 Arch Street, Philadelphia, PA 19103, Grants and Audit Management Branch (3PM70) Additional information on the EPA assistance package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. For competitive awards the funding announcement will specify application procedures.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. EPA can incrementally fund grants and cooperative agreements for surveys, studies, and investigations, training, demonstrations and special purpose assistance. The approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to Region 3 priorities, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally funded on a 12-month basis. However, EPA Region III can negotiate the project period with each applicant based on project requirements, consistent with legislative rules and EPA policy. See the following for information on how assistance is awarded/released: Full or partial awards may be made. Awards are released through an electronic funds transfer method.

**Reports:**

No program reports are required. In addition to the general reporting requirements under 40 CFR, EPA includes specific reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require financial, equipment, and invention reports. Reporting requirements are also identified in EPA's grant regulations 40 CFR Parts 30 and 31. Cash reports are required. Progress reports are required. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three (3) years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits or litigation remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$15,000; FY 11 est \$105,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

One award was made in FY 2010 for \$15,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: One non-competitive award was made for a seminar on evidence recognition, collection and management for state inspectors. The objective was to increase the effectiveness of inspection and enforcement actions in order to reduce the overall environmental impacts caused by improper control of air emissions and toxics, hazardous wastes, and water pollutants. The course objective was achieved in providing theoretical and practical experience training to the staff that was demonstrated by the trainees in the actual inspection and court testimony exercise. Sixty-two people attended the seminar. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Parts 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

See Regional Agency Offices. EPA, Region 3, 1650 Arch Street, Philadelphia, PA 19103, Kathleen Blinebury, 215-814-5395, fax 215-814-5271, blinebury.kathleen@epa.gov.

**Headquarters Office:**

Kathleen Blinebury EPA Region 3  
1650 Arch Street, Philadelphia, Pennsylvania 19103 Email:

blinebury.kathleen@epa.gov Phone: 215-814-5395

**Website Address:**

<http://www.epa.gov/region03/grants/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY 2010, a grant was awarded for a seminar on evidence recognition, collection and management for State inspectors. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.119 WEST COAST ESTUARIES INITIATIVE**

**FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Consolidated Appropriations Act for Fiscal Year 2008, Public Law 110-161.

**OBJECTIVES:**

The West Coast Estuaries Initiative is a focused effort that evolved from the Environmental Protection Agency's Targeted Watersheds Grants Program. The initiative is designed to promote and support the protection and restoration of high value coastal aquatic resources in geographic areas that are subject to the pressures of population and economic growth through comprehensive watershed protection and management practices at the local level.

The projects receiving assistance will support the EPA's goals for Region 10's coastal watersheds from Alaska to Oregon's southern border. These goals include:

(1) clean and safe water through the protection of water quality and (2) healthy communities and ecosystems through the restoration and protection of ecosystems.

Funding Priority - Fiscal Year 2011: No funds were appropriated for this program for FFY 2011. No new solicitations or awards are expected in FFY 2011.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Local and tribal governments are at various stages of developing and applying effective and robust watershed programs. Some need to improve the scientific understanding of their watersheds. Others understand how their watersheds work and need assistance implementing a plan. Therefore, a wide range of activities will be eligible including, but not limited to, activities that:

(1) Enhance and implement watershed protection and restoration plans, land use and transportation plans, basin plans, storm water controls and/or land development standards to maintain native vegetation and natural hydrology by protecting and restoring wetland, riparian, upland and near shore habitats and ecological processes.

(2) Implement watershed protection by enhancing local planning processes under the state's Coastal Zone Management Program through the development of watershed land use designations, development standards and other regulations or incentive programs that protect and restore coastal watersheds.

(3) Refine and implement watershed land use plans based on watershed models predicting hydrological impacts of alternative future land cover conditions, development scenarios and resulting aquatic resource conditions.

(4) Develop and carry out laws, ordinances and incentive programs to implement watershed programs such as systematic implementation of low impact development in sensitive basins, land acquisition or transfer of

development rights approaches and techniques.

More details on the restrictions for this program will be provided in the request for proposals which will be published on the Region 10 web site.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Certain projects or activities are ineligible for West Coast Estuaries funding. These include activities required or regulated under the CWA. For example, activities for the development of Total Maximum Daily Loads (TMDLs) and required activities under Phase I and II Stormwater permits will not be funded. Activities implementing the non-regulatory component of TMDLs are eligible (e.g., the elements of a watershed plan that address non-point source pollution).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Federally recognized Indian Tribal governments located within or governing territory within the coastal watersheds west of the Cascade Mountain divide of Washington and Oregon, including those watersheds entering the Columbia River below Bonneville Dam, are eligible to apply. Local governments located within or governing territory within the coastal watersheds west of the Cascade Mountain divide of Washington and Oregon, including those watersheds entering the Columbia River below Bonneville Dam, are also eligible to apply. Also eligible to apply are special purpose districts including, but not limited to, irrigation districts, conservation district and water & sewer districts located within the coastal watersheds west of the Cascade Mountain divide of Washington and Oregon, including those watersheds entering the Columbia River below Bonneville Dam. Similar entities in three specific coastal watersheds in Alaska will also be eligible to apply. Those watersheds are the Lower Susitna, Matanuska and Anchorage Borough watersheds.

State agencies, institutions of higher education and nongovernmental entities are not eligible to receive a direct award under this announcement. However, they are encouraged to work as collaborators (subrecipients or subcontractors) with eligible applicants. Federal agencies are ineligible for subaward or subcontract work under this announcement.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their respective applications and proposals. The EPA will respond to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of a proposal and requests for clarification about the request for proposals. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be

available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be required to submit a formal grant application. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants Administration Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/Region+10+Grants+Administrati on+Unit>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to reject all proposals or applications and make no awards under any RFP issued under this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The region expects that its review of the applications received will be completed within 120 to 150 days following the deadline for the submission of applications.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Under the Targeted Watershed Grants program, of which this initiative is a component, it is the Agency's policy to require applicants to demonstrate a minimum non-federal match of 25% of the total cost of the project or projects. Match may be cash or in-kind consistent with the regulation governing match requirements (40 C.F.R. 31.24 or 40 C.F.R. 30.23, as applicable). Tribes may be exempt from this match requirement if they are constrained to such an extent that fulfilling the match requirement would impose an undue economic hardship on the Tribe. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the cooperative agreement will be determined at the time the financial assistance is awarded. See the following for information on how assistance is awarded/released: The assistance would be awarded by a grant or cooperative agreement. Typically, assistance recipients draw cash on a quarterly basis to obtain reimbursement for allowable costs incurred to date.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule showing

interim milestones and the outputs that will be completed by the end of the project period will also be included. Other specific reporting requirements will be defined in the Assistance Agreement based on the statement of work described in the application. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Five awards were made under this solicitation in FFY 2009. The awards were for projects in each of Region 10's coastal states and totaled \$2,737,098. Each award is in the form of a cooperative agreement. Descriptions of the projects can be found at this web site:

<http://yosemite.epa.gov/r10/water.nsf/Office+of+Water/WEI08RFP>.

**Range and Average of Financial Assistance:**

Individual awards are expected to range in size from \$400,000 to \$600,000. If the EPA receives proposals for seven (7) approvable projects, the mean award size would be \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Each of the five funded projects in the region-wide solicitation is under way and is not yet complete. Two of the five projects have produced some interim deliverables as of this writing. These include:

City of Florence: Stormwater Design Manual, Climate Change Report, Aquifer Protection Plan.

PSRC: Pierce County completed development of Local Transfer of Development Rights (TDR) Program, Written Guidance for counties and cities to evaluate TDR program effectiveness, Adoption of rule in Washington Administrative Code (WAC) for standard interlocal TDR agreements, Comprehensive clearinghouse of TDR resources developed.. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with local governments, tribal governments and special purpose districts, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 CFR Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments."

**Regional or Local Office:**

See Regional Agency Offices. Daniel Steinborn, Puget Sound Estuary Program Financial Assistance Project Officer  
U.S. Environmental Protection Agency, Region 10

1200 Sixth Avenue, Suite 900, ETPA-086  
Seattle, WA 98101  
(206) 553-2728  
1-800 424-4EPA, extension 3-2728  
e-mail: steinborn.daniel@epa.gov.

**Headquarters Office:**

Daniel Steinborn, U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086

, Seattle, Washington 98101 Email: steinborn.daniel@epa.gov Phone: (206) 553-2728.

**Website Address:**

<http://yosemite.epa.gov/r10/water.nsf/Office+of+Water/WEI08RFP>

**RELATED PROGRAMS:**

66.439 Targeted Watersheds Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No solicitation was held in FFY 2010 because no appropriations were received for the program. Fiscal Year 2011: No appropriation was received for this program for FFY 2011. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be published in the announcement of the competitive funding opportunity (the Request for Proposals or RFP). Projects will be selected based on a competitive process which may include factors such as relevancy to the EPA's mission, technical merit, the geographic diversity represented by the array of possible projects and the likelihood of success. In making the final funding decisions, the Approving Official may also consider national and regional programmatic priorities, the Region 10 strategy and the balance of funds available. The actual selection criteria to be used will be identified in the RFP.

**66.120 PUGET SOUND WATERSHED MANAGEMENT ASSISTANCE  
FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Title III, Section 320, Public Law 106-457, 33 U.S.C 1330;  
Clean Water Act, Title III, Section 320, Public Law 94-117, 33 U.S.C 1330;  
Omnibus Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

The overall goal of the National Estuary Program is to attain and maintain water quality in designated estuaries that would assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife and allows recreational activities in and on the water.

Puget Sound has been designated as an estuary of National Significance under section 320 of the Clean Water Act. The goal of all 28 National Estuary Programs is to attain and maintain water quality in designated estuaries that would assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife and allows recreational activities in and on the water.

The goal of the Puget Sound National Estuary Program, i.e., the Puget Sound Partnership, approved Comprehensive Conservation and Management Plan (CCMP) (the 2020 Action Agenda) is to restore and maintain the Puget Sound Estuary's estuarine environment, by 2020, so that it will support balanced indigenous populations of shellfish, fish and wildlife and support the extensive list of recognized uses of Puget Sound.

In the FFY 2009 Omnibus Appropriations Act, Puget Sound restoration funds are provided to develop and implement programs that will help meet the Clean Water Act goal of improved water quality as well as improved air quality and minimization of the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint sources or habitat restoration

work. Programs and projects would promote the use of comprehensive watershed protection and management practices at the local level to achieve nonpoint source pollution reduction and protection and restoration of habitat and aquatic resources in watersheds that are subject to the pressures of development and growth.

By 2011, EPA Region 10, working with its key state, tribal and local partners have committed to attaining the following environmental outcomes for the Puget Sound Basin through 2011:

" 1,000 acres of shellfish bed growing areas, currently impacted by degraded or declining water quality, show improved water quality and corresponding lifting of harvest restrictions;

" 200 acres of prioritized contaminated sediments are remediated and upstream source controls are put in place;

" 3,500 acres of tidally or seasonally influenced estuarine wetlands are restored and protected;

In addition, by 2011, we are committed to protecting and improving water quality and minimizing the adverse impacts of rapid development in the Puget Sound Basin. These commitments include protecting the watersheds and waters of Puget Sound by protecting the fundamental watershed processes that provide and create aquatic habitats and by reducing the generation and release of toxic, nutrient and pathogen pollution.

Funding Priority - Fiscal Year 2011: The region does not plan on making any solicitations under this program in FFY 2011.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Local and tribal governments are at various stages of developing and applying effective and robust water quality watershed programs. Some need to improve their scientific understanding of their watersheds. Others understand how their watersheds work and need assistance implementing a watershed plan. Therefore, a wide range of activities will be eligible for funding under this program including, but not limited to activities that: (1) Develop, demonstrate, enhance and implement watershed protection and restoration plans, land use and transportation plans, basin plans, storm water controls and/or land development standards to maintain native vegetation and natural hydrology by protecting and restoring wetland, riparian, upland and near shore habitats and ecological processes. (2) Promote watershed protection by enhancing local planning processes authorized by the state's Coastal Zone Management Program such as the development of watershed land use designations, development of standards and other regulations or of incentive programs that protect and restore coastal watersheds. (3) Refine and implement watershed land use plans based on watershed models that predict the hydrological impacts of alternative future land cover practices and on development scenarios and their projected impacts on aquatic resources. (4) Develop, carry out and study the effectiveness of laws, ordinances and incentive programs to implement watershed programs such as systematic implementation of low-impact development in sensitive basins, land acquisition or transfer of development rights approaches and techniques.

Restrictions: All uses of these funds must be consistent with the goals and objectives of the 2020 Puget Sound Action Agenda. Activities permitted under the Clean Water Act are not eligible for funding under this program. Specifically, required activities under NPDES Phase I and II stormwater permits are not eligible for funding under this program.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when

on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Units of local government, under Washington State law, and federally recognized Indian Tribes located within the greater Puget Sound basin are eligible to apply. Also eligible to apply are special purpose districts, as defined by Washington State law at R.C.W. 36.93.020, including but not limited to, irrigation districts, and water and sewer districts that are located in or govern land and water resources within the greater Puget Sound basin. Conservation districts located in or governing land and water resources within the greater Puget Sound Basin are also eligible to apply for assistance under this program. The greater Puget Sound basin is defined as all watersheds draining to the U.S. waters of Puget Sound, southern Georgia Basin, and the Strait of Juan de Fuca.

Federal and state agencies, institutions of higher learning, watershed planning units formed under RCW 90.82.040 and RCW 90.82.060, local management boards organized under RCW 90.88.030, salmon recovery lead entities organized pursuant to RCW 77.85.050, regional fisheries enhancement groups organized pursuant to RCW 77.95.060, Marine Resource Committees organized pursuant to RCW 36.125 and nongovernmental entities are not eligible to directly receive financial assistance awards under this announcement. Business enterprises and individuals or families will also not be eligible applicants.

However, EPA strongly encourages local and tribal governments to solicit participation from these types of entities as local collaborators. All of these types of entities are eligible to apply for subawards or subcontracts from a successful award recipient.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. The specific types of eligible applicants will be identified in the individual Requests for Proposals.

#### **Beneficiary Eligibility:**

The ultimate beneficiary of the assistance offered under this program will be the general public that lives and works in the Puget Sound region.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants will be required to submit application materials as described in the Request For Proposals. The Request For Proposals will also specify the submission methods which generally include an electronic and hard copy submission option. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to reject all proposals or applications and make no awards under any RFP issued under this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The region expects that its review of the applications received in response to competitive solicitations will be completed within 120 to 150 days following the deadline for the submission of applications for each Request for Proposals issued under this program.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The Puget Sound Watershed Management Assistance program has no statutory formula for allocating the funds. All of the grants will be for implementation projects under the Puget Sound Comprehensive Conservation Management Plan (CCMP) under CWA 320(g)(2) and 320(g)(3)(ii). There is a statutory match of 50% of the total project costs for implementation project grants under CWA 320(g)(3)(ii) and CWA Section 320 allows for an aggregate match.

For the awards to be made under the competitions conducted under this program, the Puget Sound Management Conference, represented by the Puget Sound Partnership, has agreed to provide 67% of the 50% required non federal match for successful project proposals for the 2010-2011 biennium under a cooperative agreement with EPA. Accordingly, in order to meet the match requirement for the competitive solicitations issued under this program, EPA Region 10 will require that all selected recipients provide a match amount that is equal to 33% of the 50% required match. Thus, for each proposal funded under this program, the required 50% match will be met. The match may be cash or in-kind consistent with the regulation governing match requirements (40 C.F.R. 31.24 or 40 C.F.R. 30.23, as applicable). The example below illustrates how this will work.

**Match Example:**

For an applicant requesting \$600,000 in federal funds under a competition, the total match required would be \$600,000. Under the competition, the applicant will be required to provide a match of \$198,000, or 33% of the required 50% match. The remaining \$402,000 (\$600,000 - \$198,000) of the required 50% match will be met at the aggregate level by the Puget Sound Partnership.

Contact the Puget Sound Partnership office or EPA Regional Office contact identified in this program description for more information. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance will be awarded during Federal Fiscal Year 2010. Funds will be disbursed to assistance recipients in accordance with the terms specified in the assistance agreement. See the following for information on how assistance is awarded/released: Assistance will be disbursed in accordance with the terms specified in the assistance agreement. Typically, assistance recipients draw funds at either monthly or quarterly intervals based on their incurred costs.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule showing interim milestones and the outputs that will be completed by the end of the project period will also be included. Typical progress reports will discuss the progress that the assistance recipient has made on towards achieving each major goal or objective identified in the approved statement of work. The report would also discuss the progress that has been made towards each interim milestone. Progress reports will also discuss any difficulties or problems that the assistance recipient has encountered and how those problems have been or are being resolved. Other specific reporting requirements will be defined in the Assistance Agreement based on the statement of work described in the application. Expenditure reports will typically be required at the same time intervals as progress reports. The expenditure reports will document expenditures to date, including expenditures of any matching funds, in a manner that allows the user to confirm that matching requirements are being met and that all assistance payments (disbursements to the assistance recipient) are for costs that have been incurred in compliance with applicable cost principles. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$19,808,896; FY 11 est \$0; and FY 12 est \$0 - Region 10 awarded funding for 24 projects under the one solicitation that has been conducted to date. The region obligated a total of \$19,808,896 in FFY 2009 and FFY 2010 funds to these projects. All of the awards took the form of Cooperative Agreements with the assistance recipients.

The region does not anticipate conducting additional solicitations in either FFY 2011 or FFY 2012 in this program. We expect that similar projects, in the future, will be funded by the Watershed Restoration Lead Organization (the Washington Department of Ecology) selected under the solicitation completed for Puget Sound Ecosystem Restoration Lead Organizations under CFDA 66.123.

**Range and Average of Financial Assistance:**

The range for awards in Requests for Proposals issued under this CFDA listing to between \$300,000 and \$1,000,000. The average award would be approximately \$700,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Twenty four projects were funded in FFY 2010. There are too many of them to publish individual progress reports. To see an annotated list of the projects that were funded, see this web site <http://www.epa.gov/pugetsound/funding/index.html#watershed>. Fiscal Year 2011: \$0 for Y 11. Fiscal Year 2012: \$0 for FY 12.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with local governments, tribal

governments and special purpose districts, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 CFR Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments."

OMB Circular A-87 has been codified as 2 CFR Part 225. EPA's requirements under OMB Circular A-102 are codified at 40 CFR Part 31.

**Regional or Local Office:**

See Regional Agency Offices. Daniel I. Steinborn, Puget Sound Financial Assistance Project Officer  
Office of Ecosystems, Tribal and Public Affairs  
Puget Sound Team  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
Seattle, WA 98101  
(206) 553-2728 or 1-800 424-4EPA, extension 3-2728  
E-mail: steinborn.daniel@epa.gov.

**Headquarters Office:**

Daniel Steinborn, Office of Ecosystems, Tribal and Public Affairs  
Puget Sound Team  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086

, Seattle, Washington 98101 Email: steinborn.daniel@epa.gov Phone: (206) 553-2728.

**Website Address:**

<http://yosemite.epa.gov/R10/ecocomm.nsf/puget+sound/funding>

**RELATED PROGRAMS:**

66.456 National Estuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: To see an annotated list of projects that have been funded go to this web page:

<http://www.epa.gov/pugetsound/funding/index.html#watershed>. Fiscal Year 2011: \$0 for this year. Fiscal Year 2012: \$0 for Y 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be published in the announcement of the competitive funding opportunity (the Request for Proposals or RFP).

**66.121 PUGET SOUND PROTECTION AND RESTORATION: TRIBAL IMPLEMENTATION ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Title III, Section 320, Public Law 94-117, 33 U.S.C 1330; Omnibus Appropriations Act, 2009, Public Law 111-8; Clean Water Act, Title III, Section 320, Public Law 106-457, 33 U.S.C 1330.

**OBJECTIVES:**

Puget Sound has been designated an estuary of National Significance under 320 of the Clean Water Act. The goal of all 28 National Estuary Programs is to attain and maintain water quality in designated estuaries that would assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife and allows recreational activities in and on the water.

The goal of the Puget Sound National Estuary Program, i.e., the Puget Sound Partnership, approved Comprehensive Conservation and Management Plan (CCMP) (the 2020 Action Agenda) is to restore and maintain the Puget Sound Estuary's estuarine environment, by 2020, so that it will support balanced indigenous populations of shellfish, fish and wildlife and support the extensive

list of recognized uses of Puget Sound.

In the FFY 2009 Omnibus Appropriations Act, Puget Sound restoration funds are provided to develop and implement programs and projects that will help meet the Clean Water Act goal of improved water quality as well as improved air quality and minimization of the adverse impacts of rapid development in the Puget Sound basin including activities linked to nonpoint sources or habitat restoration projects.

By 2011, EPA Region 10, working with its key state, tribal and local partners, have committed to attaining the following environmental outcomes for the Puget Sound Basin through 2011:

" 1,000 acres of shellfish bed growing areas, currently impacted by degraded or declining water quality, show improved water quality and corresponding lifting of harvest restrictions;

" 200 acres of prioritized contaminated sediments are remediated and upstream source controls are put in place;

" 3,500 acres of tidally or seasonally influenced estuarine wetlands are restored and protected;

The Puget Sound Protection and Restoration: Tribal Implementation Assistance Program is aimed at assisting the Indian Tribes of the greater Puget Sound basin in their efforts to carry out work critically needed for Puget Sound protection and restoration. Work that is critically needed for Puget Sound protection and restoration includes activities identified in, or consistent with, the Puget Sound Action Agenda, which is the EPA approved Comprehensive Conservation and Management Program (CCMP) for the Puget Sound National Estuary under 320 of the Clean Water Act. These activities include, but are not limited to, work called for by established salmon recovery plans in the Puget Sound basin.

EPA has a trust responsibility to Federally recognized Indian Tribes in the region. EPA also recognizes that Federally recognized Indian Tribes in the greater Puget Sound basin have a critical role in the protection and restoration of the ecosystem and its resources. EPA seeks to provide financial assistance to these Tribes to help them finance implementation of priority strategies and actions in or consistent with the approved 320 CCMP for Puget Sound including, but not limited to, projects called for by established salmon recovery plans.

Funding Priority - Fiscal Year 2011: FFY 2011 appropriations for the Puget Sound Tribal Implementation Assistance Program will be used to incrementally fund awards made under the program from the EPA's FFY 2010 appropriation. Some of the funds will be used to incrementally fund individual Puget Sound Tribal Capacity Assistance Cooperative Agreements awarded under the FFY 2010 appropriation. Another portion of the funds will be used to incrementally fund the second "phase" of a Puget Sound Tribal Lead Organization Program being administered by the Northwest Indian Fisheries Commission. Under that program, the Commission administers a program in which it makes subawards to finance Puget Sound Tribal implementation projects. The amounts of funds being made available to each of these programs has not yet been determined by the Agency, as of the time of this writing.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This assistance may be used by Tribes to implement work that is critically needed for Puget Sound restoration and protection. Such work includes priority actions or strategies in or consistent with the approved 320 CCMP for Puget Sound including, but not limited to, projects called for by established salmon recovery plans, except where the proposed work is inconsistent with applicable Federal law, regulation or published EPA policy.

Additional information on use restrictions, if any, for the Puget Sound Protection and Restoration: Tribal Implementation Assistance Program, will be provided in each request for proposals published on the EPA Region 10 website.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

All federally recognized Indian Tribes located within the greater Puget Sound basin, and any consortium of these eligible Tribes, may apply for funding under the program. The greater Puget Sound basin is defined as all watersheds draining to the U.S. waters of Puget Sound, southern Georgia Basin, and the Strait of Juan de Fuca.

An eligible Intertribal consortium is one that demonstrates that 1) a majority of its members meets the eligibility requirements for this program; 2) all members that meet the eligibility requirements authorize the consortium to apply for and receive the grant; and 3) only members that meet the eligibility requirements will benefit directly from the grant project and the consortium agrees to a grant condition to that effect.

An Intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, Intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An Intertribal consortium resolution is not adequate documentation of the member Tribes' authorization of the consortium unless it includes a written certification from a duly authorized representative of each Tribal government.

Federal and state agencies, institutions of higher learning, units of local government, special purpose districts, conservation districts, watershed planning units organized pursuant to RCW 90.82.040 and 060, local management boards organized pursuant to RCW 90.88.030, salmon recovery lead entities organized pursuant to RCW 77.85.050, regional fisheries enhancement group organized pursuant to RCW 77.95.060 and nongovernmental entities are not eligible to directly receive financial assistance awards under this announcement. Business enterprises and individuals or families will also not be eligible applicants

However, EPA strongly encourages eligible applicants to solicit participation from these types of entities as local collaborators. All of these types of entities are eligible to apply for subawards or subcontracts from a successful award recipient.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The beneficiary of this assistance under this program would be the Federally recognized Indian Tribes or the consortia of these Tribes that receive the assistance. Ultimate beneficiaries would include the tribal members and the general public (due to the general public's interest in restoring and protecting

the resources of Puget Sound).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants will be required to submit application materials as described in the Request For Proposals. The Request For Proposals will also specify the submission methods which generally include an electronic and hard copy submission option. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to reject all applications and make no awards under any RFP issued under this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. The Region expects that its review of the applications received in response to competitive solicitations will be completed within 120 to 150 days following the deadline for the submission of applications for each Request for Proposals issued under this program.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The Puget Sound Protection and Restoration: Tribal Implementation Assistance program has no statutory formula for allocating the funds. All of the grants will be for implementation projects under the Puget Sound Comprehensive Conservation Management Plan (CCMP) under CWA 320(g)(2) and 320(g)(3)(ii). There is a statutory match of 50% of the total project costs for implementation project grants under CWA 320(g)(3)(ii) and CWA Section 320 allows for an aggregate match.

For the awards to be made under the competitions conducted under this program, the Puget Sound Management Conference, represented by the Puget



Sound Partnership, has agreed to provide all of the required non federal match for successful project proposals for the 2010-2011 biennium under a cooperative agreement with EPA. Accordingly, eligible applicants will not be required to provide any of the required non-federal match.

Contact the Puget Sound Partnership office or EPA Regional Office contact identified in this program description for more information. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance will be awarded during FFY 2010. Funds will be disbursed to assistance recipients in accordance with the terms specified in their respective assistance agreements. See the following for information on how assistance is awarded/released: Assistance will be disbursed in accordance with the terms of each assistance agreement. Typically, assistance recipients draw funds at either monthly or quarterly intervals based on their incurred costs.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule of interim milestones and the outputs that will be completed by the end of the project period will also be included. Typical progress reports will discuss the progress that has been made on each major task and on each interim milestone identified in the approved statement of work. Progress reports will also discuss any difficulties or problems that have been encountered and how they have been or are being resolved. Other specific reporting requirements will be defined in the assistance agreement based on the statement of work described in the application. Expenditure reports will typically be required at the same time intervals as progress reports. The expenditure reports will document expenditures to date, including expenditures of any matching funds, in a manner that allows the report user to confirm that matching requirements, if any, are being met and that all assistance payments (disbursements to assistance recipients) are for costs that have been incurred in compliance with applicable costs principles. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be maintained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$11,526,324; FY 11 est \$9,480,000; and FY 12 est \$0 - The Region awarded \$5,326,324 in 11 cooperative agreements with Puget Sound Tribes from FFY 2009 funds and FFY 2010 funds. An annotated list of these awards can be found on this web page:

<http://www.epa.gov/pugetsound/funding/index.html#tribal>

The Region also obligated approximately \$3.2 million in FFY 2010 funds to support Tribal implementation efforts under noncompetitive awards authorized by an exemption from competition under the EPA's Grants Competition Policy, granted on March 2, 2010. These awards were made to every Puget Sound Tribe and intertribal organization. They period of the exemption runs through

September 30, 2015.

The region expects incrementally fund each of these awards each year at the same level. Tribes that serve on the Puget Sound Ecosystem Coordination Board received \$200,000 for the first year. Other Puget Sound Tribes and the two small intertribal organizations received \$150,000 for the first year. The Northwest Indian Fisheries Commission received \$600,000 for the first 1.5 years.

Finally, under a separate solicitation, the EPA awarded \$3,000,000 in FFY 2010 funds to the Northwest Indian Fisheries Commission to serve as the Lead Organization for Puget Sound recovery tribal implementation efforts. Most of the funds were devoted to subawards to all Puget Sound Tribes and intertribal organizations for projects that support the implementation of the 2020 Action Agenda for Puget Sound. This Cooperative Agreement is structured to be incrementally funded in the anticipation of adding \$3,000,000 per year subject to the availability of funds in the EPA's annual appropriations.

\$11,526,324 was awarded in a combination of FFY 2009 and FFY 2010 funds. An additional \$9,480,000 is being awarded in FFY 2011 funds under this program to Puget Sound Tribal governments and intertribal organizations. All of the FFY 2011 funds will be incremental add ons to existing cooperative agreements with the recipients. There will be no new solicitations and no new awards. FFY 2012 is unknown.

**Range and Average of Financial Assistance:**

The range of expected awards is between \$100,000 and \$150,000 with an average of \$125,000. Noncompetitive awards to tribes and intertribal organizations under the exemption from the EPA's Grants Competition Policy granted on March 2, 2010, will be for Cooperative Agreements that the EPA expects to fund incrementally over a five year period that expires at the end of FFY 2015.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: All of the awards under this program were made late in FFY 2010 and early in FFY 2011. As of this writing no interim "deliverables" have been completed. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with tribal governments and intertribal organizations, assistance recipients must comply with 40 C.F.R. Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 C.F.R. Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments."

OMB Circular A-87 has been codified as 2 C.F.R. Part 225. EPA's requirements under OMB Circular A-102 are codified at 40 C.F.R. Part 31.

**Regional or Local Office:**

See Regional Agency Offices. Daniel I. Steinborn, Puget Sound Financial Assistance Project Officer  
Puget Sound Team  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
Seattle, WA 98101  
(206) 553-2728 or 1-800-424-4EPA, extension 3-2728  
E-Mail: [steinborn.daniel@epa.gov](mailto:steinborn.daniel@epa.gov).

**Headquarters Office:**

Daniel Steinborn, Puget Sound Team  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086

, Seattle, Washington 98101 Email: [steinborn.daniel@epa.gov](mailto:steinborn.daniel@epa.gov) Phone: (206) 553-2728.

**Website Address:**

<http://yosemite.epa.gov/R10/ecocomm.nsf/puget+sound/funding>

**RELATED PROGRAMS:**

66.456 National Estuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: A full annotated list of the 11 individual projects funded under the initial competitive solicitation can be found at this web site:

<http://www.epa.gov/pugetsound/funding/index.html#tribal>. Fiscal Year 2011: In FFY 2011, the Region completed noncompetitive assistance awards to each of the Puget Sound tribes and each intertribal organization. These capacity assistance cooperative agreements provide base level funding to each recipient to participate in the adaptive management of the 2020 Action Agenda for Puget Sound (the EPA approved Comprehensive Conservation and Management Program for the Puget Sound estuary under 320 of the Clean Water Act). Those assistance agreements were approved for \$150,000 per year through FFY 2015, dependent on the availability of sufficient funds in future appropriations. The four tribes that serve on the Puget Sound Ecosystem Coordination Board, received an additional \$50,000 per year to support their work as Board members.

Additionally the Northwest Indian Fisheries Commission received a similar capacity assistance award to finance its efforts to coordinate the activities of its member tribes in the adaptive management of the implementation of the 2020 Action Agenda and coordinate member tribes input into regular updates to the Action Agenda. Another major element of that award is focused on improving data sharing capabilities of the Commission's information systems (to allow sharing of environmental data among tribes and with state and federal agencies). This award is budgeted at approximately \$400,000 per year, again contingent on the availability of sufficient funds in future appropriations. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be published in the announcement of the competitive funding opportunity (the Request for Proposals or RFP).

**66.122 PUGET SOUND ACTION AGENDA OUTREACH, EDUCATION AND STEWARDSHIP SUPPORT PROGRAM**

**FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Omnibus Appropriations Act, 2009, Public Law 111-8; Omnibus Appropriations Act, 2, Public Law 111-88; Clean Water Act, Title 3, Section 320, Public Law 94-117; Clean Water Act, Title 3, Section 320, Public Law 106-457, 33 U.S.C 1330.

**OBJECTIVES:**

Puget Sound has been designated as an estuary of National Significance under section 320 of the Clean Water Act. The goal of all 28 National Estuary Programs is to attain and maintain water quality in designated estuaries that would assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife and allows recreational activities in and on the water.

The goal of the Puget Sound National Estuary Program approved Comprehensive Conservation and Management Plan (CCMP) (the 2020 Action Agenda) is to restore and maintain the Puget Sound Estuary's estuarine environment, by 2020, so that it will support balanced indigenous populations of shellfish, fish and wildlife and support the extensive list of recognized uses of Puget Sound.

In the FFY 2009 Omnibus Appropriations Act, Puget Sound restoration funds are provided to develop and implement programs that will help meet the Clean Water Act goal of improved water quality as well as improved air quality and minimization of the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint sources or habitat restoration work. Programs and projects would promote the use of comprehensive watershed protection and management practices at the local level to achieve

nonpoint source pollution reduction and protection and restoration of habitat and aquatic resources in watersheds that are subject to the pressures of development and growth.

In the FFY 2010 Omnibus Appropriations Act, Congress appropriated an additional \$50 million to support the Puget Sound Program.

By 2011, EPA Region 10, working with its key state, tribal and local partners have committed to attaining the following environmental outcomes for the Puget Sound Basin through 2011:

" 1,000 acres of shellfish bed growing areas, currently impacted by degraded or declining water quality, show improved water quality and corresponding lifting of harvest restrictions;

" 200 acres of prioritized contaminated sediments are remediated and upstream source controls are put in place;

" 3,500 acres of tidally or seasonally influenced estuarine wetlands are restored and protected.

In addition, by 2011, the EPA is committed to protecting and improving water quality and minimizing the adverse impacts of rapid development in the Puget Sound Basin. These commitments include protecting the watersheds and waters of Puget Sound by protecting the fundamental watershed processes that provide and create aquatic habitats and by reducing the generation and release of toxic, nutrient and pathogen pollution.

An essential element of a successful estuary conservation and management program is a well-informed citizenry that is willing and able to take individual and community action to protect and enhance the estuary. This program is aimed at building and sustaining coordinated efforts for outreach and education to increase public awareness and encourage individual stewardship to protect both local and basin-wide ecosystems.

Funding Priority - Fiscal Year 2011: The Region made one award using FFY 2010 funds under this program. Funds from the FFY 2010 appropriation were used to fund the first two years of work under this program. The region does not anticipate further funding in FFY 2011. This award was made to the Puget Sound Partnership for an incrementally funded program. Future funding using incremental awards (see below) is dependent on the availability of funds from future appropriations, the performance of the Partnership under this program, and the needs of the CCMP for Puget Sound Estuary at the time.

Funding Priority - Fiscal Year 2012: If funding is available from the Agency's appropriations for FFY 2012, then then the Agency anticipates making an incremental award under this program to the Puget Sound Partnership in FFY 2012, assuming that the Partnership submits a satisfactory work plan for the third year. has performed successfully in the first two years of the program and the CCMP for the Puget Sound Estuary has need for further work under this program.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Puget Sound restoration funds were appropriated by Congress in conjunction with the Clean Water Act for development and implementation of programs that will improve water quality, air quality, and minimize the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint sources or habitat restoration work. Any public education, outreach or stewardship project receiving assistance under this program must contribute to or support the general implementation of the 2020 Action Agenda for Puget Sound.

Additional information on use restrictions, if any, for the Puget Sound Action Agenda Education, Outreach, and Stewardship Support Program, will be provided in each Request for Proposals issued under this program.

Assistance agreement awards under this program may involve or relate to

geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the Government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible applicants for this program include:

Washington State agencies; public and private institutions of higher education; units of local government in the greater Puget Sound Basin and Nongovernmental organizations specifically including NGOs that are nonprofits within the meaning of 501(c)(3) of the Internal Revenue Code.

Also eligible to apply under this program are all Federally-recognized Indian Tribal governments located within the greater Puget Sound basin, and any consortium, of these eligible Tribes.

An Intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, Intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An Intertribal consortium resolution is not adequate documentation of the member Tribes authorization of the consortium unless it includes a written certification from a duly authorized representative of each Tribal government.

The greater Puget Sound basin is defined as all watersheds draining into the U.S. waters of Puget Sound, the southern Georgia Basin and the Strait of Juan de Fuca.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The direct beneficiary will be the entities that receive financial assistance under this program. Due to the fact that the program is designed and intended to assist in the restoration and protection of the Puget Sound estuary, the ultimate beneficiaries will be the residents of the greater Puget Sound region.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as the "Information Contact" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. Applicants will be required to submit application materials as described in the Request for Proposals that will be issued under this program. The Request for Proposals will also specify the submission methods which generally include an electronic and hard copy submission option. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Region expects that its review of the applications received will be completed within 120 to 150 calendar days following the deadline for the submission of applications for each Request for Proposals issued under this program.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Puget Sound Action Agenda Education, Outreach and Stewardship program has no statutory formula for allocating the funds. All of the grants will be for implementation projects under the Puget Sound Comprehensive Conservation Management Plan (CCMP) under CWA 320(g)(2) and 320(g)(3)(ii). There is a statutory match of 50% of the total project costs for implementation project grants under CWA 320(g)(3)(ii) and CWA Section 320 allows for an aggregate match.

For the awards to be made under the competitions conducted under this program, the Puget Sound Management Conference, represented by the Puget Sound Partnership, has agreed to provide 67% of the 50% required non federal match for successful project proposals for the 2010-2011 biennium under a cooperative agreement with EPA. Accordingly, in order to meet the match requirement for the competitive solicitations issued under this program, EPA Region 10 will require that the selected recipient provide a match amount that is equal to 33% of the 50% required non federal match. Thus, for each proposal funded under this program, the required 50% non federal match will be met. The match may be cash or in-kind consistent with the regulation governing match requirements (40 C.F.R. 31.24 or 40 C.F.R. 30.23, as applicable). The example below illustrates how this will work.

**Match Example:**

For an applicant requesting \$2,000,000 in federal funds under the competition, the total match required would be \$2,000,000. Under the competition, the applicant will be required to provide a match of \$660,000, or 33% of the required 50% match. The remaining \$1,340,000 (\$2,000,000 - \$660,000) of the required 50% match will be met at the aggregate level by the Puget Sound

Partnership.

Special Note: The EPA anticipates funding the award made under this program incrementally. Match requirements, and how they will be met, for the out-year increments (FFY 2011 and beyond) will be determined prior to awarding those increments. For a further description of incremental funding, please see the later sections on "Total allocations", "Obligations" and "Range and Average of Financial Assistance."

Contact the EPA Regional Office contact identified in this program description for more information.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance will be awarded during Federal Fiscal Year 2010. Funds will be disbursed to the assistance recipient in accordance with the terms specified in the assistance agreement. See the following for information on how assistance is awarded/released: Assistance will be disbursed in accordance with the terms of the assistance agreement. Typically, assistance recipients draw funds at either monthly or quarterly intervals based on their incurred costs.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule showing interim milestones and the outputs that will be completed by the end of the project period will also be included. Typical progress reports will discuss the progress that the assistance recipient has made on each major task and interim milestone identified in the approved statement of work. Progress reports will also discuss any difficulties or problems that the assistance recipient has encountered and how they have been or are being resolved. Other specific reporting requirements will be defined in the assistance agreement based on the statement of work described in the application. Expenditure reports will typically be required at the same intervals as progress reports. The expenditure reports will document expenditures to date, including expenditures of any matching funds, in a manner that allows the reader to confirm that matching requirements are being met and that all assistance payments (disbursements to the assistance recipient) are for costs that have been incurred in compliance with applicable cost principles. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until the expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$3,000,000; FY 11 est \$1,000,000; and FY 12 est \$1,000,000 - The region obligated \$3,000,000 from FFY 2010 funds for the initial award under this program to the Puget Sound Partnership. FY 2011 estimated obligations are \$1,000,000.

The EPA anticipates obligating an additional \$1,000,000 per year to this program and make awards in incremental funding in Federal Fiscal Years 2012, 2013 and 2014, contingent upon the availability of future appropriations, the

assistance recipient's performance and the needs of the CCMP for Puget Sound.

**Range and Average of Financial Assistance:**

The EPA expects to make an initial award of \$2,000,000 under this program. The resulting assistance agreement would include the potential for incremental funding of \$1,000,000 per year for up to four additional years beyond the initial funding period. This incremental funding is contingent upon the availability of future appropriations, the assistance recipient's performance and the needs of the CCMP for Puget Sound.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The one award under this program was made late in 2010. Consequently, there are no results to report for 2010. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with state agencies, Tribal governments and intertribal consortia, the recipient must comply with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments;" 40 CFR Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies," and OMB Circular A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments." OMB Circular A-87 has been codified at 2 CFR Part 225. EPA's requirements under OMB Circular A-102 are codified at 40 CFR Part 31. For grants and cooperative agreements with institutions of higher education and non-profit organizations, the assistance recipient must comply with 40 CFR Part 30, "Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals and other Non-Profit Organizations," 40 CFR Part 30 and OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations." OMB Circular A-110 is codified at 2 CFR Part 215. For grants and cooperative agreements with institutions of higher education, the assistance recipient must comply with OMB Circular A-21, codified at 2 CFR 220, "Cost Principles for Educational Institutions." For grants and cooperative agreements with non-profit organizations, the assistance recipient must comply with OMB Circular A-122, codified as 2 CFR Part 230, "Cost Principles for Non-Profit Organizations."

**Regional or Local Office:**

See Regional Agency Offices. Daniel I. Steinborn, Puget Sound Financial Assistance Project Officer  
Puget Sound Team  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
Seattle, WA 98101  
(206) 553-2728 or 1-800-424-4EPA, Extension 3-2728  
E-mail: steinborn.daniel@epa.gov.

**Headquarters Office:**

Daniel I. Steinborn, Puget Sound Team  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086

, Seattle, Washington 98101 Email: steinborn.daniel@epa.gov Phone: (206) 553-2728.

**Website Address:**

<http://yosemite.epa.gov/R10/ecocomm.nsf/puget+sound/funding>

**RELATED PROGRAMS:**

66.120 Puget Sound Watershed Management Assistance ; 66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program ; 66.456 National Estuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The region made one award to the Puget Sound Partnership to carry out the Outreach, Education and Stewardship program. The region does not expect to hold any further solicitations under this program in the foreseeable future.

Under the award to the Puget Sound Partnership, the PSP expects to make many subawards. As required by 40 C.F.R. Part 31, the PSP would follow state procurement procedures in making these subawards. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this program description will be published in the announcement of the competitive funding opportunity (e.g., the Request for Proposals or RFP).

#### **66.123 PUGET SOUND ACTION AGENDA: TECHNICAL INVESTIGATIONS AND IMPLEMENTATION ASSISTANCE PROGRAM**

##### **FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

##### **AUTHORIZATION:**

Clean Water Act, Title 1, Section 104(b), Public Law 106-457, 33 U.S.C 1254(b); Omnibus Appropriations Act, 2009, Public Law 111-8; Clean Water Act, Title 1, Section 104, Public Law 106-457, 33 U.S.C 1254(a); Clean Water Act, Title 3, Section 320(g)(3)(A)(ii), Public Law 94-117, 33 U.S.C 1330; Clean Water Act, Title 1, Section 104(b), Public Law 94-117, 33 U.S.C 1254(b); Clean Water Act, Title 3, Section 320(g)(3)(A)(ii), Public Law 106-457, 33 U.S.C 1330; Clean Water Act, Title 1, Section 104, Public Law 94-117, 33 U.S.C 1254(a); Department of the Interior, Environment and Related Agencies Appropriations Act of 2010, Public Law 111-88.

##### **OBJECTIVES:**

Puget Sound has been designated as an estuary of National Significance under section 320 of the Clean Water Act. The goal of all 28 National Estuary Programs is to attain and maintain water quality in designated estuaries that would assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife that allows for recreational activities in and on the water.

The goal of the Puget Sound National Estuary Program approved Comprehensive Conservation and Management Plan (CCMP) (the 2020 Action Agenda) is to restore and maintain the Puget Sound Estuary's estuarine environment, by 2020, so that it will support balanced indigenous populations of shellfish, fish and wildlife and support the extensive list of recognized uses of Puget Sound.

In both the FFY 2009 and FFY 2010 Omnibus Appropriations Acts, Puget Sound restoration funds are provided to develop and implement programs in the Puget Sound basin that will help meet the Clean Water Act goal of protecting and maintaining the physical, chemical, and biological integrity of the basin's waters and to help minimize the adverse impacts of future development and population growth. These programs are likely to address a broad scope of threats and resource protection issues, including activities linked to nonpoint source pollution, habitat, and watershed restoration and protection work.

By 2011, EPA Region 10, working with its key state, tribal and local partners, have committed to attaining the following environmental outcomes for the Puget Sound Basin:

" 1,000 acres of shellfish bed growing areas, currently impacted by degraded or declining water quality, show improved water quality and corresponding lifting of harvest restrictions;

" 200 acres of prioritized contaminated sediments are remediated and upstream source controls are put in place;

" 3,500 acres of tidally or seasonally influenced estuarine wetlands are restored and protected;

In addition, by 2011, we are committed to protecting and improving water quality and minimizing the adverse impacts of rapid development in the Puget Sound Basin. These commitments include protecting the watersheds and waters

of Puget Sound by protecting the fundamental watershed processes that provide and create aquatic habitats and by reducing the generation and release of toxic, nutrient and pathogen pollution.

This program has the following main objectives:

First, a central component of the approved CCMP for Puget Sound is its Biennial Science Workplan which identifies some of the core scientific work that must be completed in order for the Puget Sound Management Conference's implementation efforts to succeed in the recovery and protection of the Sound. A primary objective of this program is to support the technical studies and investigations that are needed to help direct implementation priorities.

Second, by 2012, EPA and the Puget Sound Partnership will need to propose new five year strategic plan outcomes and targets for Puget Sound. The Scientific Studies and Technical Investigations sought through this program will help support identification of specific environmental outcomes and also the development of tracking and evaluation approaches for implementation activities, so that together they will contribute significantly to the restoration and protection of Puget Sound by 2020.

Funding Priority - Fiscal Year 2011: The region held three solicitations in early FFY 2011 that were funded with FFY 2010 funds. The first solicitation was for scientific and technical studies and investigations. Under that solicitation the region selected approximately 16 projects for funding. Several of those projects are being conducted by other Federal agencies under Interagency Agreements. For those projects being performed by other Federal agencies, the region intends to use some of the FFY 2011 appropriation to finance the second year of work in those studies, which would be conducted in FFY 2012.

The region also held a solicitation for agencies to serve as lead organizations for implementing major elements of the approved Comprehensive Conservation and Management Plan (CCMP) to restore the Puget Sound Estuary. Under that solicitation four awards were made to agencies of the State of Washington to serve as lead organizations for different topics. Some of the FFY 2011 appropriation will be used to incrementally fund the second phase of the work for each of those lead organization programs.

Finally, in a separate competitive solicitation, the EPA selected the Puget Sound Partnership to receive a financial assistance award to manage the implementation of the 2020 Action Agenda for Puget Sound (the CCMP). That award funded the first two years of effort for this program. Therefore, no FFY 2011 funds will be committed to this program.

##### **TYPES OF ASSISTANCE:**

Project Grants

##### **USES AND USE RESTRICTIONS:**

The Puget Sound restoration funds were appropriated by Congress in conjunction with the Clean Water Act for development and implementation of programs that will improve water quality, air quality, and minimize the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint sources or habitat restoration projects.

The assistance offered can be used to finance scientific work identified in the Puget Sound Partnership's Biennial Science Work Plan or otherwise needed to effectively implement the Puget Sound Action Agenda. Assistance may be used to finance technical studies and investigations necessary to achieve environmental outputs and/or outcomes identified in the Action Agenda or by either the Puget Sound Partnership or other agencies within the Management Conference with implementation or tracking responsibilities.

Assistance may also be used to manage, monitor, oversee, or participate in the implementation of the 2020 Action Agenda for Puget Sound, including Tribal participation in the implementation and maintenance processes of the CCMP. Such assistance may also include managing and overseeing the implementation of the Agenda's Science Work Plan and any technical studies or investigations undertaken in support of implementation and/or further development of the Action Agenda.

Finally, if requested, the assistance may be used to finance general implementation of the 2020 Action Agenda for Puget Sound. This implementation work could either be funded directly or through a lead implementation entity which could then fund secondary implementation awards and manages progress and outcomes for a particular management issue or geographic area.

Additional information on use restrictions, if any, for this program, will be provided in each request for proposals published on the EPA Region 10 website.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Federal government agencies and Washington state government agencies are eligible to apply under this program.

Public and private institutions of higher education located in the United States are eligible to apply under this program.

Units of local government organized under Washington state law and located within the Greater Puget Sound basin are eligible to apply. Also eligible to apply are special purpose districts, as defined by Washington State law at R.C.W. 36.93.020, including but not limited to, irrigation districts, and water and sewer districts that are located in or govern land and water resources within the greater Puget Sound basin. Conservation districts located in or governing land and water resources within the greater Puget Sound Basin are also eligible to apply for assistance under this program.

Watershed planning units formed under RCW 90.82.040 and RCW 90.82.060, local management boards organized under RCW 90.88.030, salmon recovery lead entities organized pursuant to RCW 77.85.050, regional fisheries enhancement groups organized pursuant to RCW 77.95.060 and Marine Resource Committees organized pursuant to RCW 36.125.010 and RCW 36.125.020 are eligible to apply if they are located within or their jurisdictions include waters and/or lands with the Greater Puget Sound basin.

-Intrastate organizations such as associations of cities, counties or conservation districts in the Greater Puget Sound basin are also eligible to apply.

Nonprofit nongovernmental entities are also eligible to apply.

Intrastate organizations such as associations of cities, counties or conservation districts in the Greater Puget Sound basin are also eligible to apply.

Federally recognized Indian Tribes located within the greater Puget Sound basin and any consortium of these eligible tribes.

An Intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, Intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or

other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An Intertribal consortium resolution is not adequate documentation of the member Tribes authorization of the consortium unless it includes a written certification from a duly authorized representative of each Tribal government.

The greater Puget Sound basin is defined as all watersheds draining to the U.S. waters of Puget Sound, southern Georgia Basin, and the Strait of Juan de Fuca.

- For profit business entities, private individuals and families are not eligible to apply. However, all of these types of entities could partner with an eligible applicant as a subawardee.

- For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The direct beneficiaries would be the entities receiving the assistance. Due to the fact that the program is designed and intended to assist in the restoration and protection of the Puget Sound estuary, the ultimate beneficiaries will be the residents of the greater Puget Sound region.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For competitive awards, applicants will be required to submit application materials as described in the Request For Proposals. The Request For Proposals will also specify the submission methods which generally include an electronic and hard copy submission option. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Region expects that its review of the applications received in response to competitive solicitations will be completed within 120 to 150 calendar days following the deadline for the submission of applications for each Request for Proposals issued under this program.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in

accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Clean Water Act 104(a) and 104(b) have no statutory formula for match; that is, no match is required by the statute. Therefore, for awards under this program to be made under these authorities, the EPA will not require any non-federal match by any successful applicant.

If awards are made for general projects that implement the CCMP or that exercise management and oversight over the implementation of the CCMP, there will be a match requirement pursuant to CWA 320.

For those projects, under CWA 320(g)(2) and 320(g)(3)(ii), there is a statutory match of 50% of the total project costs for implementation project grants under CWA 320(g)(3)(ii). CWA 320 allows for an aggregate match; that is, the match requirement for federal financial assistance for national estuary program projects applies to the estuary's Management Conference as a whole. Thus, any spending of nonfederal funds by the Management Conference within a fiscal year can be used as match for federal financial assistance.

The EPA expects to structure the RFPs issued under this program so that applicants can identify expenditures of nonfederal funds on projects that implement the CCMP by themselves as well as by other Management Conference members as proposed nonfederal match for the financial assistance being requested.

Contact the EPA Regional Office contact identified in this program description for more information.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance will be awarded during FY 2010 and FY 2011. Funds will be disbursed to individual assistance recipients in accordance with the terms specified in the assistance agreement. See the following for information on how assistance is awarded/released: Assistance will be disbursed in accordance with the terms specified in the assistance agreement. Typically, assistance recipients draw funds at either monthly or quarterly intervals based on their incurred costs.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule of interim milestones and the outputs that will be completed by the end of the project period will also be included. Typical progress reports will discuss the progress that has been made on each major task and on each interim milestone identified in the approved statement of work. Progress reports will also discuss any difficulties or problems that have been encountered and how they have been or are being resolved. Other specific reporting requirements will be defined in the assistance agreement based on the statement of work described in the application. Expenditure reports will typically be required at the same time intervals as progress reports. The expenditure reports will document expenditures to date in a manner that allows the report user to confirm that all assistance payments (disbursements to assistance recipients) are for costs that have been incurred in compliance with applicable costs principles and, for assistance agreements in which a matching contribution is required, the reports will also document expenditures of that matching contribution. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records shall be maintained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$32,000,000; FY 11 est \$21,920,000; and FY 12 Estimate Not Available - EPA awarded approximately \$9.0 million for scientific studies and technical investigations in FFY 2011 from FFY 2010 funds based on one competitive solicitation. The projects are identified on an annotated list at this web page:

<http://www.epa.gov/pugetsound/funding/index.html#science>

The Region also awarded nearly \$4.0 million in FFY 2010 funds, to the University of Washington's Puget Sound Institute pursuant to Congressional direction in the FFY 2010 appropriation.

The Region awarded \$6,000,000 in FFY 2010 funds to the Puget Sound Partnership to manage the implementation of the Action Agenda, pursuant to Congressional direction in the EPA's FFY 2010 appropriation.

The region awarded approximately \$3.1 million each in four awards to three state agencies to lead Puget Sound ecosystem recovery efforts. Two of these awards were to the Washington State Department of Ecology to lead efforts for both "Toxics and Nutrients" and Watershed Protection. A third award was to the Washington State Department of Health for pathogen control. The fourth award was to the Washington State Department of Fish and Wildlife for marine and nearshore habitat protection.

The region will be awarding approximately \$5.5 million in incremental funding in FFY 2011 funds to each of these lead organizations in FFY 2011. Additional incremental awards in FFY 2012 are dependent on the appropriations the EPA receives for FFY 2012.

Approximately \$32,000,000 was awarded in FFY 2010 funds under this program. In FFY 2011, approximately \$21,920,000 is being awarded to the four state Puget Sound Lead Organizations. FFY 2012 is unknown.

**Range and Average of Financial Assistance:**

The EPA expects to make awards for scientific and technical studies in the range of \$200,000 - \$700,000. Awards for implementation assistance and for managing and monitoring the implementation of the CCMP could range from \$200,000 to \$10,000,000 each. Some of these awards may be incrementally funded with appropriations from future fiscal years.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: All of the awards for the assistance under this program were made in FFY 2011. Consequently, there are no accomplishments to report for FFY 2010. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with State agencies, units of local government (including special purpose districts), tribal governments and intertribal organizations, assistance recipients must comply with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative

Agreements to State and Local Governments", 40 CFR Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments." OMB Circular A-87 has been codified as 2 CFR Part 225. EPA's requirements under OMB Circular A-102 are codified at 40 CFR Part 31. For grants and cooperative agreements with institutions of higher education and non-profit organizations, the assistance recipient must comply with 40 CFR Part 30, "Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals and other Non-Profit Organizations," 40 CFR Part 30 and OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations." OMB Circular A-110 is codified at 2 CFR Part 215. For grants and cooperative agreements with institutions of higher education, the assistance recipient must comply with OMB Circular A-21, codified at 2 CFR 220, "Cost Principles for Educational Institutions." For grants and cooperative agreements with non-profit organizations, the assistance recipient must comply with OMB Circular A-122, codified as 2 CFR Part 230, "Cost Principles for Non-Profit Organizations." Additionally, any awards made under Clean Water Act Section 104 authorities would be subject to the EPA regulations on Research and Demonstration grants at 40 CFR Part 40.

**Regional or Local Office:**

See Regional Agency Offices. Daniel I. Steinborn, Puget Sound Financial Assistance Project Officer  
Puget Sound Team  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
Seattle, WA 98101  
(206) 553-2728 or 1-800-424-4EPA, extension 3-2728  
E-Mail: steinborn.daniel@epa.gov.

**Headquarters Office:**

Daniel I. Steinborn, Puget Sound Team  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086, Seattle, Washington 98101 Email: steinborn.daniel@epa.gov Phone: (206) 553-2728.

**Website Address:**

<http://yosemite.epa.gov/R10/ecocomm.nsf/puget+sound/funding>

**RELATED PROGRAMS:**

66.120 Puget Sound Watershed Management Assistance ; 66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program ; 66.456 National Estuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No projects were actually funded in FFY 2010. Fiscal Year 2011: Please see the discussion of obligations in section 122 for a description of all of the projects funded in FFY 2011. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA program description will be published in each announcement of a competitive funding opportunity (e.g., the Request for Proposals or RFP).

**66.124 COASTAL WETLANDS PLANNING PROTECTION AND RESTORATION ACT**

CWPPRA (The Breaux Act)

**FEDERAL AGENCY:**

Region 6, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

**OBJECTIVES:**

To assist the State, local government, college or university in planning and implementing projects that create, protect, restore and enhance wetlands in

coastal Louisiana.

Funding Priority - Fiscal Year 2011: EPA supports projects that protect, restore, and enhance coastal wetlands ecosystems through strategic "natural" reintroduction of river water, barrier island/shoreline restoration and application of innovative technologies such as pipeline deliver of new sediment.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are to be used to protect, restore and enhance coastal wetlands ecosystems through strategic "natural" reintroduction of river water, barrier island/shoreline restoration and application of innovative technologies such as pipeline delivery of new sediment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible applicants for assistance include State and local governments, including their universities and colleges.

**Beneficiary Eligibility:**

State and local governments, including their universities and colleges involved in administering coastal wetlands protection, restoration and/or management programs or programs related to or complement coastal wetlands protection programs.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for colleges and universities. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination with the appropriate office is encouraged. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Completed applications should be submitted to the appropriate EPA Regional Office contact.

**Award Procedure:**

Applications are evaluated by the appropriate EPA office and are subject to review for technical merit, soundness of design, and reasonableness of proposed costs. Approved projects are awarded by the Regional Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grant are usually approved within five months of receipt of a complete application.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.



**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: CWPPRA projects require a 15 percent match of the State or local government. Colleges or Universities awarded a grant in support of a CWPPRA project requires a 5% match.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Assistance disbursement will be determined at the time of award.

**Reports:**

No program reports are required. The recipient will be required to submit quarterly cash reports to the EPA Project Officer. The recipient will be required to submit quarterly progress reports to the EPA Project Officer. The recipient will be required to submit quarterly expenditure reports to the EPA Project Officer. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$1,460,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$100,000 to \$28,000,000. If a Phase I (E&D) project is selected for funding, the estimated amount could be from \$1-\$5 million. If it is a Phase II (construction) project, the estimate could be up to \$25 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: There were no program accomplishments during FY10 that were awarded under this CFDA. Fiscal Year 2011: There were no program accomplishments during FY11 that were awarded under this CFDA. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Sondra McDonald, Project Officer, 6WQ-AT, USEPA Region 6, 1445 Ross Avenue, Dallas, TX 75202, Office: (214) 665-7187 Fax: (214) 665-6490 Email: mcdonald.sondra@epa.gov.

**Headquarters Office:**

Sondra McDonald, USEPA Region 6, 6WQ-AT, 1445 Ross Avenue, Dallas, Texas 75202 Email: mcdonald.sondra@epa.gov Phone: (214) 665-7187.

**Website Address:**

<http://www.epa.gov/region6/water/at/sttribal.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: There were no awards during FY10. Fiscal Year 2011: Bertrandville Siphon (B-18) will demonstrate the feasibility using a 2000 CFS maximum river reintroduction via eight seventy-two siphons for the purpose of mimicking historic natural delta maintenance processes to sustain marsh. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

CWPPRA projects to be funded are selected through an annual, publicly-vetted process and ultimately approved by a multi-agency Task Force.

**66.125 LAKE PONTCHARTRAIN BASIN RESTORATION PROGRAM (PRP)**

Lake Pontchartrain Restoration Program

**FEDERAL AGENCY:**

Region 6, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 121; Lake Pontchartrain Basin Restoration Act of 2000.

**OBJECTIVES:**

The purpose of the program shall be to restore the ecological health of the Basin by developing and funding restoration projects and related scientific and public education projects.

Funding Priority - Fiscal Year 2011: The program will work to restore the ecological health of the Lake Pontchartrain Basin. In FY 2011, EPA will invest \$1,100,000 in the Lake Pontchartrain Basin Program for the following activities:

- o Completing plans and studies as identified in the Lake Pontchartrain Basin Program Comprehensive Management Plan (LPBCMP) which supports the following goals:
- o Planning and design of consolidated wastewater treatment systems which support the Agency's Sustainable Infrastructure goal;
- o Repair and replacement studies to improve existing wastewater systems; and
- o Investigation and design of storm water management systems.
- o Conducting outreach and public education projects that address the goals of the LPBCMP, such as:
- o Improving the management of animal waste lagoons by educating and assisting the agricultural community on lagoon maintenance techniques;
- o Protecting and restoring critical habitats and encouraging sustainable growth by providing information and guidance on habitat protection and green development techniques; and
- o Reducing pollution at its source.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Administrator may make grants (1) for restoration projects and studies recommended by a management conference convened for the basin under section 320, and (2) for public education projects recommended by the management conference.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

The grants for this program are awarded to the Management Conference, also known as the PRP, for restoration projects, studies and public education projects. Eligible sub-grantees for this program include the Parishes and Cities within the 16 parish area of the Lake Pontchartrain Basin Watershed and the Lake Pontchartrain Basin Foundation.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Eligible applicants for assistance include the Parishes and Cities within the Lake Pontchartrain Basin Watershed and the Lake Pontchartrain Basin Foundation.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Completed applications should be submitted to the appropriate EPA Regional Office contact. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Applications are evaluated by the appropriate EPA office and are subject to review for technical merit, soundness of design, and reasonableness of proposed costs. Approved projects are awarded by the Regional Administrator.

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within five months of receipt of a complete application.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also

be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 5%. Regional policy requires a 5% match. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Assistance disbursement will be determined at the time of award.

**Reports:**

Program report information is included in the semi-annual reports submitted to the Region 6 Project Officer. No cash reports are required. The recipient will be required to submit semi-annual progress reports to the EPA Region 6 Project Officer. The recipient will include expenditure reports in the semi-annual reports submitted to the EPA Region 6 Project Officer. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,122,800; FY 11 est \$1,388,200; and FY 12 est \$955,000

**Range and Average of Financial Assistance:**

Since the inception of the program in 2002, the funds have ranged from a high of \$4,000,000 to a low of \$950,000 in FY 2008. The award for FY 2010 was \$1,122,800 and the anticipated award for FY 11 is \$1,100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Activities funded with FY 2010 funds include: monitoring a watershed, providing assistance to communities on sewerage issues, assisting with habitat preservation/access/outreach, assisting with coastal sustainability, protect an interior shoreline marsh area, and drafting design plans and specifications to restore a functional wetland hydrology, while considering the water quality benefits of routing the Galvez outfall storm water outfall through the wetland. Fiscal Year 2011: The Pontchartrain Basin Restoration Program plans to fund 10 projects. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Sylvia Ritzky  
Project Officer, 6WQ-AT

USEPA Region 6  
1445 Ross Avenue  
Dallas, TX 75202  
214-665-8189 office  
214-665-6490 fax  
ritzky.sylvia@epa.gov.

**Headquarters Office:**

Sylvia Ritzky, USEPA Region 6, 6WQ-AT , 1445 Ross Avenue, Dallas, Texas  
75202 Email: ritzky.sylvia@epa.gov Phone: (214) 665-8189.

**Website Address:**

<http://www.epa.gov/region6/water/at/sttribal.htm>

**RELATED PROGRAMS:**

66.120 Puget Sound Watershed Management Assistance ; 66.437 Long Island Sound Program ; 66.456 National Estuary Program; 66.475 Gulf of Mexico Program; 66.481 Lake Champlain Basin Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The funded projects will focus on the reduction or elimination of sewerage related pollution and provide education and outreach to improve water quality in the Pontchartrain Basin. Projects funded with the \$1,122,800 include water quality monitoring to determine the health of the waters of the watershed; protection of an interior shoreline marsh and maintain and address the problem of migrating oil; and analysis and design of coastal shoreline protection. Fiscal Year 2011: Funds not yet awarded. We anticipate that the funds will be used to restore the ecological health of the Lake Pontchartrain Basin by using the \$1,100,000 in grant funds from EPA in the Lake Pontchartrain Basin Program for the following activities:

- o Completing plans and studies as identified in the Lake Pontchartrain Basin Program Comprehensive Management Plan (LPBCMP) which supports the following goals:

- o Planning and design of consolidated wastewater treatment systems which support the Agency's Sustainable Infrastructure goal;

- o Repair and replacement studies to improve existing wastewater systems; and

- o Investigation and design of storm water management systems.

- o Conducting outreach and public education projects that address the goals of the LPBCMP, such as:

- o Improving the management of animal waste lagoons by educating and assisting the agricultural community on lagoon maintenance techniques;

- o Protecting and restoring critical habitats and encouraging sustainable growth by providing information and guidance on habitat protection and green development techniques; and

- o Reducing pollution at its source. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

PRP projects to be funded are selected through an annual, publicly-vetted process with the selection of project made by the PRP Executive committee and ultimately approved by a internal regional EPA review.

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.126 THE SAN FRANCISCO BAY WATER QUALITY IMPROVEMENT FUND**

SF Bay Fund

**FEDERAL AGENCY:**

Region 9, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 320, 33 U.S.C 1330.

**OBJECTIVES:**

The goals of the SF Bay Fund are to protect and restore the water quality of the San Francisco Bay and its watersheds through comprehensive watershed management. Funded projects will achieve significant improvement in water quality and attainment of beneficial uses.

Funding Priority - Fiscal Year 2011: Funding priorities for FY11 are the same as previous fiscal year priorities.

- Protecting and restoring habitat including riparian corridors, floodplains, wetlands, and the Bay.

- Reducing polluted run-off from urban development and agriculture.

- Implementing TMDLs and watershed plans to restore impaired waterbodies.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Projects must demonstrate consistency with the San Francisco Estuary Partnership's Comprehensive Conservation and Management Plan (CCMP). Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible applicants: State, local government agencies, districts, and councils; regional water pollution control agencies and entities; State coastal zone management agencies; and public and private universities and colleges, public or private non-governmental, non-profit institutions are eligible to apply, unless restricted by the authorizing statutes. Non-profit organizations must have documentation of non-profit status from the U.S. Internal Revenue Service or their state of incorporation, except that non-profits organizations as defined in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying as defined in Section 3 of the Lobbying Disclosure Act 1995 or superseding legislation are ineligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The outcomes from the SF Bay Fund will ultimately benefit the urban resident and business populations of nine county San Francisco Bay Area, as well as the State of California in general.

**Credentials/Documentation:**

Non-profit organizations must have documentation of non-profit status from the U.S. Internal Revenue Service or their state of incorporation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days from receipt of final application, through selection and notification, and development and approval of work plan, to award of funds.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The San Francisco Bay language in the EPM account modifies the CWA section 320 requirement of a 50 percent match for implementation projects to a match of no less than 25 percent.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements generally fund projects for 3-4 years with a maximum project period of five years. Funds are issued electronically through automated funds transfer. Method of awarding/releasing assistance: lump sum. See the following for information on how assistance is awarded/released: Funds are issued electronically through automated funds transfer. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required in accordance with 40 CFR Part 30 and 31. Reporting frequency may be specified in the terms and conditions of the award. No cash reports are required. EPA may include reporting requirements in the terms and conditions of the assistance agreements, which may require quarterly, interim, and final performance reports, and financial, equipment, and inventory reports. Quarterly progress reports are expected to be required for large-scale projects of long duration sought by this grant fund. The Federal Financial Status Reports must be submitted to EPA in accordance with 40 CFR Part 30 and 31, and terms and conditions of the award. Expenditure Reports by the grantee are required to submit for reimbursement. Performance monitoring will be required in the form of grantee reports on outputs and outcomes of their funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must demonstrate financial management capability, keep financial

records including documentation for entries on accounting and for any changes in grant requirements, and make records available to personnel authorized to examine assistance recipients' records. Recipients must maintain all records for a minimum of three years from the date of submission of the final report and until all questions regarding the assistance agreement, such as those arising from audits, are resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$7,000,000; FY 11 est \$5,333,000; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

Projects funded from the SF Bay Fund range from a low of \$500,000 to a high of \$5 mil. The average amount of awards is approximately \$3mil.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: EPA received seven proposals and awarded 3 grants for the following amounts: \$5mil, \$3.6mil, \$1.2mil. The following are the project outputs and outcomes from the 2010 fiscal year:

**Project Element 1: Coordinated Wetlands & Watershed Restoration****Accomplishments**

- More than 150 net acres of non-native Spartina were treated in tidal wetlands.

- Consultations with landowners in Alameda, Contra Costa, and Marin counties on creekside erosion.

- Certifications for the Frost Water Conservation BMPs in Napa County. Twenty sites were certified representing 4866.02 acres total.

**Project Element 2: Climate Change: Analysis & Monitoring****Accomplishments**

- Completed "Effects of Wetland Restoration on Mercury Bioaccumulation", the waterbird egg component for the Salt Pond Restoration Project.

**Project Element 3: Green Infill for Stormwater--Low Impact Development****Accomplishments**

- The San Francisco Newcomb Ave design is at 100%.

- Completed case studies on plastic bags, polystyrene, car pollutants, universal waste, and dental amalgam.

**Project Element 4: Estuary 2100 Public Outreach Campaign****Accomplishments**

- Completed the Green Streets tour flyer and packet of outreach materials.

- Results from a green parking lot demonstration project show pollutant uptake.

- Wrote & produced podcasts on green streets-related topics. Fiscal Year 2011: In response to an October 2010 Request for Proposals, EPA received 24 proposals requesting \$24,810,412 for an available \$1.8 million of FY2010 funds. EPA is awarding three new grants under the SFBWQIF totaling \$1.8 million. With these new projects underway, the SFBWQIF will be supporting 31 projects with 40 partners, and leveraging almost \$19 million. The three new projects will collectively restore 130 acres of tidal wetlands in the South Bay, improve water quality in Coyote Creek by addressing trash hotspot sources, and restore almost a mile of the Napa River's eroding riverbank identified in its sediment Total Maximum Daily Load (TMDL) implementation plan. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients must comply with 40 CFR Part 30 for universities and nonprofit organizations and Part 31 for states, tribes, and local governments. The recipient must comply with the applicable cost principles under 2 CFR Part 225 (OMB Circular A-87) for state, tribal and local governments and 2 CFR 220 (OMB Circular A-21) for universities and 2 CFR Part 230 (OMB Circular A-122) for nonprofit organizations.

**Regional or Local Office:**

See Regional Agency Offices. Luisa Valiela  
EPA Region 9 (WTR-3)  
San Francisco, CA 94105  
415-972-3400 (ph) 415-947-3537 (fax)  
valiela.luisa@epa.gov

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EPA Region 9 (WTR-3)  
San Francisco, CA 94105  
415-972-3399 (ph) 415-947-3537 (fax)  
ziegler.sam@epa.gov.

**Headquarters Office:**

Luisa Valiela, USEPA Region 9, 75 Hawthorne Street, San Francisco, California 94105 Email: valiela.luisa@epa.gov Phone: (415) 972-3400.

**Website Address:**

<http://www.epa.gov/region9/water/watershed/SFBayWQFund.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The following project types have been funded under the San Francisco Bay Water Quality Improvement Fund (SF Bay Fund).

1) Wetland and Watershed Restoration, including removal of mercury laden sediment from the Guadalupe watershed, identification and removal of other pollutants in impaired waterbodies, restoration of creek banks to reduce stream sedimentation on privately owned lands, focused efforts on invasive plant and animal eradication, and restoration of tidal wetlands.

2) Habitat adaptation planning and implementation based on current state of knowledge on the effects of climate change.

3) Improving water quality in urban stormwater and agricultural runoff through the implementation Low Impact Development (LID) methods, especially on a regional scale. Fiscal Year 2011: South Bay Salt Pond Project- will restore a former salt pond to 130 acres of tidal wetlands in the South Bay

Coyote Creek Trash Reduction Project- will improve water quality in Coyote Creek by addressing trash hotspot sources and illegal dumping with community partners

Napa River Sediment Reduction Project- will restore almost a mile of the Napa River's eroding riverbank at the Rutherford Reach, an identified priority project in the sediment Total Maximum Daily Load (TMDL) implementation plan. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.127 SOUTHEASTERN U.S. REGIONAL TARGETED WATERSHED INITIATIVE**

**FEDERAL AGENCY:**

Region 4, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 95-217, 33 U.S.C 1251.

**OBJECTIVES:**

To support the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the

causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution.

Funding Priority - Fiscal Year 2011: Funding priorities include, but are not limited to training, surveys, studies, investigations, and demonstration projects to support water quality improvement, watershed planning and management, non-point source planning, wetlands protection, coastal and estuarine planning, treatment technologies, water efficiency, and environmental management systems. The nominations selected to receive Southeastern U.S. Regional Targeted Watersheds Initiative funding will be for studies of approaches that go beyond implementing separate, detached activities and will, instead, focus on the effectiveness of an integrated ecosystem-based approach to conservation and restoration throughout a watershed. The selected nominations will include water quality and ecosystem monitoring and evaluation to provide quantitative data to determine the effectiveness of addressing water quality issues at the watershed level. The Initiative will support studies of coalition-based strategies for activities, such as attaining water quality standards, protecting and restoring the natural and beneficial uses of flood plains, and, in general, improving water resources on a watershed level.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs in approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. The funds will support conducting and promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. EPA has chosen to declare certain projects or activities ineligible for funding. These include activities required or regulated under the CWA. For example, activities for the development of Total Maximum Daily Loads (TMDLs) and Phase II Stormwater projects will not be funded. Activities implementing the non-regulatory component of TMDLs (e.g., the elements of a watershed plan that address non-point source pollution), however, are eligible. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, Indian Tribes; public and private universities and colleges; and public or private nonprofit institutions. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, and other public and private nonprofit institutions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that

will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Regional review will typically be completed within approximately 120 - 180 days following the deadline for submissions.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Applicants are required to demonstrate a minimum non-federal match of 25 percent of the total cost of the project or projects. Match may be cash or in-kind consistent with the regulation governing match requirements (40 CFR 31.24 or 40 CFR 30.23). Tribes and tribal watershed groups may be exempt from this match requirement if they are constrained to such an extent that fulfilling the match requirement would impose undue economic hardship. This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Other.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program.

Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$227,521; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$10,000 to \$750,000/fiscal year; \$380,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and agreements with States, local governments and Indian tribal governments, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 CFR Part 35, "Environmental Program Grants-State, Interstate, and Local Governments Agencies" and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102, "Grants and Cooperative Agreements for States and Local Governments." For grants and agreements with other entities the procedures should be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Environmental Protection Agency, Region 4  
ATTN: Marjan Farzaad  
61 Forsyth Street  
Atlanta, GA 30303  
Phone (404) 562-9420.

**Headquarters Office:**

Marjan Farzaad U.S. Environmental Protection Agency, Region 4,  
61 Forsyth Street  
, Atlanta, Georgia 30303 Email: [Farzaad.Marjan@epamail.epa.gov](mailto:Farzaad.Marjan@epamail.epa.gov) Phone:  
404-562-9420.

**Website Address:**

<http://www.epa.gov/region4>

**RELATED PROGRAMS:**

66.439 Targeted Watersheds Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.202 CONGRESSIONALLY MANDATED PROJECTS**

(CONGRESSIONAL EARMARKS)

##### **FEDERAL AGENCY:**

Office of the Chief Financial Officer, Environmental Protection Agency

##### **AUTHORIZATION:**

Executive Order Executive Order 13457 "Protecting American Taxpayers from Government Spending of Wasteful Earmarks".

##### **OBJECTIVES:**

To implement special Congressionally directed projects or programs identified in EPA's annual appropriations act, committee reports incorporated by reference into the annual appropriation act, and other statutes mandating that EPA provide financial assistance agreements to designated recipients for projects or programs. These assistance agreements support special projects earmarked by Congress for specific recipients which are not requested by EPA in its annual budget request to Congress. The projects may be associated with: (1) various environmental requirements (e.g., wastewater treatment, drinking water treatment); (2) identifying, developing, and/or demonstrating necessary pollution control technologies and techniques to prevent, reduce, and eliminate pollution; or (3) evaluating the economic and social consequences of alternative environmental pollution strategies, technologies, or mechanisms for use by those in economic, social, governmental, and environmental management positions. Funding priorities are to award these assistance agreements to the designated recipients as quickly as possible within statutory and regulatory requirements.

Funding Priority - Fiscal Year 2011: There are no funding priorities for Fiscal Year 2011 since no appropriated funds were enacted for Congressionally designated projects and programs.

Funding Priority - Fiscal Year 2012: Funding priorities for Fiscal Year 2012 cannot be made until the Fiscal Year 2012 Budget is enacted and the Congressionally designated projects and programs are identified.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support specific projects or programs specified by Congress for designated recipients. Allowable direct and indirect costs are included, in accordance with established EPA policies and requirements for assistance agreements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

##### **Applicant Eligibility:**

Eligible applicants are specified in the statute authorizing the earmark. Examples of recipients that may receive assistance under this program include local, state, intrastate, interstate, U.S. territories or possessions, public or nonprofit institutions/organizations, public/private private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, institutions of higher education, Federally Recognized Indian Tribal Governments, Native American Organizations, and international organizations.

##### **Beneficiary Eligibility:**

Beneficiaries vary with the project Congress has directed EPA to fund. For example, an earmark for a wastewater treatment plant or sewer system would benefit the community in which the project is constructed. An earmark for a training project would benefit the individuals receiving the training under the assistance agreement.

##### **Credentials/Documentation:**

EPA may ask principle investigators for earmarked research projects to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to awards under this program description, EPA will generally specify the nature of any pre-application/pre-proposal assistance. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

##### **Award Procedure:**

EPA will evaluate each application to determine (a) the adequacy of the proposed project to meet the specified purpose of the Congressionally mandated project and compliance with other applicable laws. EPA's R&D Office conducts a peer review of all applications by outside experts. EPA will also review the application in relation to EPA's general grant regulations and OMB guidance.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Approximately 180 days.

##### **Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

##### **Renewals:**

None. A standard grant application should be prepared and submitted as a new application which will be reviewed in the same manner as the original application. EPA may incrementally fund grants and cooperative agreements depending on the nature of the project and the terms of the earmark.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula for distribution of Federal funds, therefore, matching requirements are defined in each Appropriations Act or other statute authorizing the earmark. This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

The terms of the assistance agreement shall be determined at time of award. The length and time phasing of the assistance agreement will be determined by the duration of the availability of appropriated funds. See the following for information on how assistance is awarded/released: The terms of the assistance agreement shall be determined at time of award. The length and time phasing of the assistance agreement will be determined by the duration of the availability of appropriated funds.

##### **Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require annual, quarterly, interim, and/or progress reports, final results reports, expenditure/financial reports, equipment reports, and invention reports. Reporting requirements are also identified in the Grant Regulations &#150; 40

CFR Part 30 and 40 CFR Part 31. EPA assistance agreements may, in the terms and conditions, require annual, quarterly, interim, and/or final program reports. No cash reports are required. EPA assistance agreements may, in the terms and conditions, require annual, quarterly, interim, and/or final progress reports. EPA assistance agreements may, in the terms and conditions, require annual, quarterly, interim, and/or final expenditure/financial reports. Performance monitoring of Congressionally mandated special project or program assistance agreements are required per EPA administrative grant orders.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits, remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; 68-0110-0-1-304; 68-0108-0-1-304; 68-0107-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$59,879,716; FY 11 est \$0; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 2010 - Range: \$25,000 - \$10,000,000; Average: \$867,822

FY 2011 - No range since no appropriated funds were enacted for Congressionally designated projects and programs.

FY 2012 - To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Congress designated 332 earmark projects in FY 2010. Examples of the accomplishments made by such funding are outlined below:

A \$220,000 grant for sewer collection system upgrades);

A \$500,000 grant for the Lawton Industrial Park Expansion for Water and Sewer Line Extensions, and;

A \$800,000 grant for water and wastewater infrastructure improvements. Fiscal Year 2011: No program accomplishments are planned in Fiscal Year 2011 since no appropriated funds were enacted for Congressionally designated projects and programs. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Congressional mandated earmarks are subject to EPA's General Grant Regulations 40 CFR Part 30 and 40 CFR Part 31. Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

See Regional Agency Offices. For program information, contact the following designated Program Office officials:

- Office of Air and Radiation - Courtney Hyde, 202-564-1227, hyde.courtney@epa.gov;

- Office of Water - Kimberley Roy-Davis, 202-564-4633, roy-davis.kimberley@epa.gov;

- Office of Wastewater Management - Barry Benroth, 202-564-0672, benroth.barry@epa.gov;

- Office of Ground Water and Drinking Water - Emmanuel Ekwo, 202-564-1547, ekwo.emmanuel@epa.gov;

- Office of Chemical Safety and Pollution Prevention - Lenee Morina, 202-564-5304, morina.lenee@epa.gov;

- Office of Solid Waste and Emergency Response - Kari Bilal, 202-566-1891, bilal.kari@epa.gov;

- Office of Enforcement and Compliance Assurance - John Warren, 202-564-2452, warren.johnm@epa.gov;

- Office of Research and Development - Dana Bruce, 202-564-3344, bruce.dana@epa.gov;

- Office of Environmental Information - Laura Palmer, 202-564-0726, palmer.laura@epa.gov;

- Office of International and Tribal Affairs - Iris Zeigler, 202-564-6614, zeigler.iris@epa.gov;

- Office of the Administrator - Stephen Ng, 202-564-0131, ng.stephen@epa.gov; and

- Office of the Inspector General - Peter Dragon, 202-566-2657; dragon.peter@epa.gov;

Addresses may be reached by mail at the following common address and fax number: USEPA Headquarters, 1200 Pennsylvania Avenue, N.W., Washington, DC, 20460, 202-564-1838 (fax).

**Headquarters Office:**

Jeff Swartz USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W. Mail Code: 2732A , Washington, District of Columbia 20460  
Email: swartz.jeff@epa.gov Phone: (202) 564-1230

**Website Address:**

<http://www.epa.gov/ocfo/budget/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Congressionally mandated special projects or programs vary greatly. General types of projects that Congress has provided to the EPA to allocate funds for include the following:

- Research studies for sewer overflow improvements and storm-water management systems;

- Funds for ecosystem and environmental policy research;

- Funding assistance for the construction or improvement of drinking water and wastewater facilities;

- Funding assistance to replace water aging water infrastructure;

- Funding for watershed restoration. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Addresses the specific purpose designated by the Congressional earmark in EPA's annual Appropriations Act or other statute. All Congressionally mandated earmarks must meet the following criteria: (a) address the specified



Congressionally directed support or action described in the annual appropriations act or committee report incorporated by reference into the appropriations act or other statutes mandating that EPA provide financial assistance agreements to designated recipients for projects or programs; and (b) have an approved workplan and processed assistance agreement before the appropriated funds expire.

### **66.203 ENVIRONMENTAL FINANCE CENTER GRANTS**

(EFC Grant Program)

#### **FEDERAL AGENCY:**

Office of the Chief Financial Officer, Environmental Protection Agency

#### **AUTHORIZATION:**

Solid Waste Disposal Act, Section 8001(a); Clean Water Act, Section 104(b)(3); Safe Drinking Water Act, Section 1442(b)(3)&1420; Marine Protection, Research and Sanctuaries Act, Section 203; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Toxics Substances Control Act, Section 10; Clean Air Act, Section 103(b)(3).

#### **OBJECTIVES:**

The Environmental Finance Center Grant Program provides funding to support Environmental Finance Centers (EFCs) that provide multi-media environmental finance expertise and outreach to the regulated communities. The EFCs work with state and tribal governments, local governments and the private sector to address the growing costs of environmental protection. The EFCs provide finance-related training, education, and analytical studies to help these regulated parties develop solutions to the difficult "how-to-pay" issues associated with meeting environmental standards.

The EFCs educate state, tribal, and local governments and businesses on lowering environmental costs, increasing environmental investments, improving financial capacity, encouraging full cost pricing, and identifying and evaluating environmental financing options. A central goal of the EFCs is to create sustainable systems. Sustainable systems have the financial, technical, and institutional resources and capabilities to operate in compliance with environmental requirements and in conformance with accepted environmental practices over the long term. EFCs focus on helping these smaller parties find ways to obtain financing for their environmental protection responsibilities.

Funding Priorities - Fiscal Year 2011: providing education, training, technical assistance, and analytic support and outreach to state, tribal and local officials and businesses on: (1) financial management software that help communities (particularly small, rural, disadvantaged, and tribal ones) to develop and maintain sustainable water systems; (2) cleaner/greener business practices and economies that lead to reductions in use and exposure to toxic chemicals, improved energy efficiencies and conservation, and cleaner power sources; (3) the environmental, financial, and land use information needed to ensure that communities can develop and implement long-term source water protection plans and strategies; (4) methods for identifying green infrastructure projects and for developing sound business cases in support of these green approaches; (5) the development and use of rate setting, capital planning, capacity assessment, asset management, and other financial analyses needed for sound environmental utility management; (6) tribal water operator certification requirements; (7) energy efficiency software, tools and information; (8) community-based environmental certification programs and activities integrating planning, sustainability, citizen participation and partnerships, green design, land use and transportation, natural resources, agricultural viability, water quality, finance, health and wellness, waste reduction and management, and many other environmental areas; (9) smart growth and green building practices; (10) climate change impacts and the decision tools and financial strategies required for communities to adapt to climate change; and (11) environmental impacts and strategies for environmentally sustainable transportation-oriented development.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to recipients to support their allowable direct costs incident to approved environmental financial technical

assistance and outreach work plus allowable indirect costs, in accordance with established EPA policies and regulations. EPA provides incremental funding for these grants or cooperative agreements on an annual basis. As part of EPA's substantial involvement, the appropriate EPA regional and/or headquarters office reviews and approves each annual project phase consistent with the scope of work for the grant or cooperative agreement.

As provided in 2 CFR Part 220, recipients of grants or cooperative agreements under this program may not charge fundraising costs to their grants or cooperative agreements. Funding for research under this program does not include research within the purview of EPA's Office of Research and Development. Under this program, EPA does not fund research, training, and technical assistance to facilitate the inventory of brownfields sites, site assessments, remediation of brownfields sites, community involvement, and site preparation. These activities are covered by the EPA grant program established at CFDA 66.814.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodat.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Assistance under this program is available to public and private non-profit universities and colleges and to nonprofit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

States, tribes, local governments, businesses and community organizations and the general public are the beneficiaries of this program.

#### **Credentials/Documentation:**

Applicants must demonstrate that they meet eligibility requirements. In addition, EPA may request applicants to demonstrate that they have the appropriate background, academic training, experience in the field, and necessary staff and equipment to carry out the project work. The Agency may also ask principal analysts named in applicants' proposals to provide curriculum vitae and other documentation of relevant experience. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. If the applicant does not know who their Single Point of Contact is, the applicant may call the appropriate EPA regional contact listed in the Information Contacts section, or call the EPA Headquarters Grant Policy Information and Training Branch at (202) 564-5325. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits

must be submitted to the U.S. Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or to the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, announcements for competitive funding opportunities will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Annually subject to the budget and project periods specified in the awards.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program does not have a regulatory formula or matching requirement. The Agency may, as a matter of policy, require cost sharing when such a requirement is specified in the announcement of the competitive funding opportunity.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. The project period for the grants or cooperative agreements may range up to seven years. EPA will provide incremental funding for the cooperative agreements each fiscal year (on a 12-month basis) over the duration of the grants or cooperative agreements. See the following for information on how assistance is awarded/released: Annual lump sum by electronic funds transfer.

**Reports:**

A final program or technical report shall be completed within 90 calendar days of the completion of the period of performance for each award. No cash reports are required. Quarterly or semiannual progress reports may be required as determined by EPA after the award. Quarterly or semiannual expenditure reports may be required as determined by EPA after the award. Quarterly or semiannual performance monitoring may be required as determined by EPA after the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) apply. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those brought up in an audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,000,000; FY 11 est \$2,000,000; and FY 12 est \$2,000,000

**Range and Average of Financial Assistance:**

Range: \$100,000 to \$190,000/fiscal year

Average: Approximately \$181,818/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: EPA made competitive Environmental Finance Center (EFC) Grants awards to ten universities in FY 2010. These ten EFCs are innovative, neutral and multi-disciplinary technical assistance and outreach agents that work at the local, state, regional and national levels. They have specialized expertise in finance, information technology transfer, and all environmental media. In FY 2010, they developed numerous successful partnerships and connections with regulated parties, regulators, other technical assistance providers, and non-profit organizations throughout the U.S. and beyond. The EFCs developed and implemented innovative financing/outreach tools and training courses, and implemented numerous successful projects in all ten EPA regions. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These grants and cooperative agreements are subject to EPA's General Grant regulations (40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education"). Costs for educational institutions will be determined in accordance with 2 CFR Part 220 (OMB Circular No. A-21). Information pertinent to the EFC program can be found at [www.epa.gov/efinpage/efcn.htm](http://www.epa.gov/efinpage/efcn.htm). Written materials on the program can be obtained by calling the EFC National Coordinator at (202) 564-5001.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog and the Headquarters program contacts listed below.

**Headquarters Office:**

Timothy McProuty, Environmental Protection Agency, Office of the Chief Financial Officer, Center for Environmental Finance, 2731R, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: [mcprouty.timothy@epa.gov](mailto:mcprouty.timothy@epa.gov) Phone: (202) 564-4996.

**Website Address:**

<http://www.epa.gov/efinpage>

**RELATED PROGRAMS:**

66.611 Environmental Policy and Innovation Grants; 66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY 2010, EPA funded ten university-based Environmental Finance Centers (EFCs) covering each of the ten EPA Regions located across the nation. Each participating university operated an EFC or EFCs that provided technical assistance and outreach services to the regulated communities (States, tribal, local governments and businesses). Fiscal Year 2011: In FY 2011, EPA funded ten university-based Environmental Finance Centers (EFCs) covering each of the ten EPA Regions located across the nation. Each participating university operated an EFC or EFCs that provided technical assistance and outreach services to the regulated communities (States, tribal, local governments and businesses). Fiscal Year 2012: No Current Data Available

## **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the announcement of the competitive funding opportunity.

### **66.305 COMPLIANCE ASSISTANCE SUPPORT FOR SERVICES TO THE REGULATED COMMUNITY AND OTHER ASSISTANCE PROVIDERS**

(Compliance Assistance Centers)

#### **FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Air Act of 1970, Section 103, Public Law 91-604, 42 U.S.C 7403; Resource Conservation and Recovery Act of 1976, Section 8001, Public Law 94-580, 42 U.S.C 6981; Clean Water Act of 1972, Section 104, Public Law 92-500, 33 U.S.C 1254.

#### **OBJECTIVES:**

The EPA has sponsored partnerships with industry, academic institutions, environmental groups, and other agencies to launch sector-specific Compliance Assistance Centers. Each Compliance Assistance Center addresses real world issues in language that is used by the regulated entities.

This program's objective is to provide financial assistance to private nonprofit institutions, universities, and public agencies to develop and maintain Compliance Assistance Centers to improve environmental compliance within an identified industrial/government sector or environmental topic.

Funding Priority - Fiscal Year 2011: Funding will support the web-based Compliance Assistance Centers. Through Internet Websites, telephone assistance lines, e-mail discussion groups and more, the Centers will help businesses, local governments, and federal facilities understand federal environmental requirements and save money through pollution prevention techniques. Additionally, the Centers will 1) support and continue to develop the State Resource Locators to provide easy access to state-specific regulations and resources for a variety of topics (e.g., universal waste, stormwater, asbestos.); and 2) develop sector-and/or topic-specific entry pages providing quick access to existing environmental assistance content. The entry pages will serve as portals to relevant information developed by the Centers and other organizations as appropriate (e.g. EPA).

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

FY 10 funds will support ongoing Center work, with an emphasis on maintaining, updating and expanding the existing Center Websites. It is expected that common communications channels used by the industry/government will continue to quickly distribute information to the targeted audience. Additionally, funds will support the development of sector-specific entry pages providing quick access to existing environmental assistance content. The sector entry pages will serve as portals to relevant information developed by the Centers and other organizations as appropriate (e.g. EPA). Individual sector entry pages will use navigation structures specific to the sector thereby providing easy access to relevant environmental content. EPA funding must be used only for activities specified in the approved scope of work; discretionary funding will not be provided.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Applicants must be nonprofit organizations as that term is defined in Section

4(6) of the Federal Financial Assistance Management Improvement Act of 1999, Public Law 96-107, 31 U.S.C. 6101 Note. Colleges, universities, and community colleges are eligible to apply. EPA will also accept applications from state, tribal and local governments. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Additionally, for certain funding opportunities under this CFDA, applicants may have to demonstrate how they meet the following factors for threshold eligibility purposes: 1) That they have an indirect cost rate that has been approved or is pending approval by a federal agency or has a cost allocation system that meets the requirements in the applicable OMB Circular; 2) That they have had a previous working relationship(s) with experts and national organizations devoted to the relevant industrial, commercial or governmental sector, or intends to partner with an organization with such expertise; 3) An understanding of the environmental needs of the relevant industrial, commercial or governmental sector through past activities, or intends to partner with an organization with such expertise; 4) That they, or a partnering organization, has familiarity with applicable federal, state and local environmental regulations and experience in developing tools (e.g., training, plain-language guides, fact-sheets, Agency contact locators, etc) to improve the audiences' understanding of their regulatory obligations; 5) previous experience (or intends to partner with an organization with experience) in developing and maintaining web-based services.

#### **Beneficiary Eligibility:**

The primary beneficiaries are small businesses, local governments and colleges/universities that are being serviced by the grantees. Other beneficiaries include state, local, general public, and the regulated business community.

#### **Credentials/Documentation:**

EPA may request that applicants document their nonprofit status. The Agency may also request that applicants demonstrate they have appropriate background, experience in the field, organizational capacity and necessary equipment to carry out projects. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 60 days from the date of submission of the final proposal.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also

be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, cooperative agreements will be awarded for a five year project period. EPA will partially fund each budget period and will consider funding the balance of budget requests contingent upon satisfactory progress as certified by the EPA Project Officer, the availability of funds, and EPA priorities.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: EPA's Appropriation Act requires that applicants submitting unsolicited research grant proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. Applicants will be advised of other matching requirements, if any, in Requests for Applications or Requests for Initial Proposals. Although EPA may not require matching funds, applicants may be encouraged to provide information regarding resources (cash/in-kind services) that they would commit to manage a Compliance Assistance Center. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA generally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Incremental funding may be available. EPA generally limits project periods to 5 years. EPA will partially fund each budget period and will consider funding the balance of budget requests contingent upon satisfactory progress as certified by the EPA Project Officer, the availability of funds, and EPA priorities. See the following for information on how assistance is awarded/released: Other.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$910,074; FY 11 est \$895,000; and FY 12 est \$1,182,000

**Range and Average of Financial Assistance:**

\$35,000/year - \$140,000/year. An approximate average of the annual financial assistance awards that will be made this current fiscal year is \$45,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, the Centers Websites were visited over 2,570,000 times by their target audiences and the public, and experienced over 4.5 million requests for web pages and compliance assistance documents. Fiscal Year 2011: FY2011 Web trend data is not yet available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Compliance Assistance Centers are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for non-profit institutions, and FAR Part 31 for profit makers. Additional information pertinent to the Centers program can be found at [www.assistancecenters.net](http://www.assistancecenters.net). Centers brochures and/or fact-sheets can be obtained by calling the EPA Compliance Assistance Centers Team Leader at (202) 564-7076.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Tracy Back, USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W. Mail Code: 2224A, Washington, District of Columbia 20460  
Email: [back.tracy@epa.gov](mailto:back.tracy@epa.gov) Phone: (202) 564-7076.

**Website Address:**

<http://epa.gov/compliance/assistance/centers/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Past projects include the development of sector-specific websites providing a wide range of compliance assistance tools and resources. Tools developed include web sites, toll-free telephone assistance services, e-mail discussion groups, other interactive technologies, video/workbooks, satellite training, compliance audit checklists and guidebooks, and compliance fact sheets assistance in implementing pollution prevention activities. The Centers have also developed a Web portal providing quick access to existing environmental content pertaining to a specific topic (e.g., beneficial reuse of industrial by-products). The existing Center websites can be accessed at [www.assistancecenters.net](http://www.assistancecenters.net) or [www.epa.gov/compliance/assistance/centers/index.html](http://www.epa.gov/compliance/assistance/centers/index.html). Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive proposals are judged for (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives.

**66.309 SURVEYS, STUDIES, INVESTIGATIONS, TRAINING AND SPECIAL PURPOSE ACTIVITIES RELATING TO ENVIRONMENTAL JUSTICE**

(EJSS)

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3); Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA), Section 311(c); Solid Waste Disposal Act, Section 8001(a); Toxic Substances Control Act, Section 10(a); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a);

Clean Air Act, Section 103(b)(3); Safe Drinking Water Act, Section 1442(c)(3); Marine Protection, Research, and Sanctuaries Act, Section 203.

**OBJECTIVES:**

The program's mission/objective is to provide funding in support of surveys, studies and investigations, and special purpose assistance programs as they relate to environmental and/or public health issues, with a particular emphasis on environmental justice.

Funding Priority-Fiscal Year 2011: Activities that support surveys, studies and investigations, and special purpose assistance for the award of grants and cooperative agreements that address environmental justice concerns. EPA defines "environmental justice" as the fair treatment and meaningful involvement of all people regardless of race, color, national origin or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. Fair treatment means that no one group of people, including racial, ethnic, or socioeconomic groups, should bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal, and commercial operations or the execution of federal, state, local, and tribal environmental programs and policies. Meaningful involvement means that: (1) potentially affected community residents have an appropriate opportunity to participate in decisions about a proposed activity that will affect their environment and/or health; (2) the public's contribution can influence the regulatory agency's decision; (3) the concerns of all participants involved will be considered in the decision-making process; and (4) the decision-makers seek out and facilitate the involvement of those potentially affected. Assistance agreements may be associated with climate change, green jobs, green development, smartgrowth and green business.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking blood or other information from humans).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States, territories, Indian Tribes, intertribal consortia, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions which submit applications proposing projects concerning environmental justice issues with significant technical merit and relevance to EPA's mission. Some of EPA's statutes may limit assistance to specific types of interested applications. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for

educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally funded on a 12-month basis (annual). Most of OEJ awarded grants and cooperative agreements have project periods ranging from one year to five years, and generally, grants and cooperative agreements are fully funded at the time of award. See the following for information on how assistance is awarded/released: Other.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require semi-annual, annual and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required.

Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; 68-0107-0-1-304; 68-0108-0-1-304; 68-8145-0-7-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$30,000; FY 11 est \$15,000; and FY 12 est \$30,000

**Range and Average of Financial Assistance:**

\$15,000 to \$150,000/fiscal year; \$15,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: First-of-its-kind youth-led summit on climate change which will directly engage hundreds of young people throughout the New York City area in a dialogue on strategies and actions to address the threats posed by climate change. Fiscal Year 2011: Grant funds supported the Sixth Annual Environmental Justice Conference. The conference focused on the health impacts of petroleum dependency on low-income communities and communities of color. The attendees were environmental justice leaders from across the state of Connecticut. They learned about health impacts in order to better educate their communities. The conference presented eight workshops under the theme of oil and the environment, with such topics as "Petroleum's Role in the Food Production Process" and "Toxic Petrochemicals in Consumer Products.". Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, Studies, and Investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Region 1 Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont: Primary Contact: Amy Braz (617) 918-1346, braz.amy@epa.gov, USEPA Region 1 (RAA), One Congress Street - Suite 1100, Boston, MA 02203-0001; Region 2 New Jersey, New York, Puerto Rico, U.S. Virgin Islands: Primary Contact: Terry Wesley (212) 637-5027, wesley.terry@epa.gov, USEPA Region 2, 290 Broadway, 26th Floor, New York, NY 10007; Secondary: Tasha Frazier (212) 637-3861, frazier.tasha@epa.gov. Region 3 Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia: Primary Contact: Reginald Harris (215) 814-2988, harris.reggie@epa.gov, USEPA Region 3 (3DA00), 1650 Arch Street, Philadelphia, PA 19103-2029. Region 4 Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee: Primary Contact: Daphne Wilson (404) 562-9890, wilson.daphne@epa.gov, USEPA Region 4 Main Office (404) 562-8407, 61 Forsyth Street, Atlanta, GA 30303-8960; Secondary: Ella McLendon (404) 562- 8316, mclendon.ella@epa.gov. Region 5 Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin: Primary Contact: Margaret Millard (312) 353-1440, millard.margaret@epa.gov, USEPA Region 5 (DM7J), 77 West Jackson Boulevard, Chicago, IL 60604-3507. Region 6 Arkansas, Louisiana, New

Mexico, Oklahoma, Texas: Primary Contact: Shirley Quinones (214) 665-2713, quinones.shirley@epa.gov, USEPA Region 6, Fountain Place, 13th Floor, 1445 Ross Avenue (RA-D), Dallas, Texas 75202-2733; Region 7 Iowa, Kansas, Missouri, Nebraska: Primary Contact: Althea Moses (913) 551-7649, moses.althea@epa.gov, USEPA Region 7, 901 North 5th Street (RGAD/ECO), Kansas City, KS 66101. Region 8 Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming: Primary Contact: Nancy Reish (303) 312-6040, reish.nancy@epa.gov, USEPA Region 8 (8ENF-EJ), 999 18th Street, Suite 300, Denver, CO 80202-2466; Secondary: Jean Belille (303) 312-6556 belille.jean@epa.gov. Region 9 Arizona, California, Hawaii, Nevada, American Samoa, Guam: Primary Contact: Sharon Lin, (919), lin.sharon@epa.gov, USEPA Region 9 CMD-1, 75 Hawthorne Street, San Francisco, CA 94105. Region 10 Alaska, Idaho, Oregon, Washington: Primary Contact: Sheryl Stohs (206) 553-, stohs.sheryl@epa.gov, USEPA Region 10 (OMP-143), 1200 Sixth Avenue, Seattle, WA 98101.

**Headquarters Office:**

Sheila Lewis, USEPA, Office of Environmental Justice, 1200 Pennsylvania Avenue, NW., Mail Code 2201A, Washington, District of Columbia 20460 Email: lewis.sheila@epa.gov Phone: (202) 564-0152

**Website Address:**

<http://www.epa.gov/environmentaljustice>

**RELATED PROGRAMS:**

66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers ; 66.604 Environmental Justice Small Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: First-of-its-kind youth-led summit on climate change which will directly engage hundreds of young people throughout the New York City area in a dialogue on strategies and actions to address the threats posed by climate change. Fiscal Year 2011: Grant funds supported the Sixth Annual Environmental Justice Conference. The conference focused on the health impacts of petroleum dependency on low-income communities and communities of color. The attendees were environmental justice leaders from across the state of Connecticut. They learned about health impacts in order to better educate their communities. The conference presented eight workshops under the theme of oil and the environment, with such topics as "Petroleum's Role in the Food Production Process" and "Toxic Petrochemicals in Consumer Products.". Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.310 CAPACITY BUILDING GRANTS AND COOPERATIVE AGREEMENTS FOR COMPLIANCE ASSURANCE AND ENFORCEMENT ACTIVITIES IN INDIAN COUNTRY AND OTHER TRIBAL AREAS**

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act, Section 103; Clean Water Act, Section 104; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Solid Waste Disposal Act, Section 8001; Marine Protection, Research and Sanctuaries Act, Section 203; National Environmental Policy Act, Section 102(2)(F); Indian Environmental General Assistance Program Act.

**OBJECTIVES:**

Providing financial resources to build and improve the compliance assurance and enforcement capacity of federally-recognized Indian tribes (tribes), inter-tribal consortia, or tribal organizations. Such capacity building efforts may include economic, social science, statistical research, development, studies, surveys, demonstrations, investigations, public education, training, and fellowships to the extent authorized under the federal environmental laws listed above. This Catalog of Federal Domestic Assistance (CFDA) number covers EPA's Environmental Programs and Management (EPM) resources targeted for

compliance assurance and enforcement in Indian country and other tribal areas, including those in Alaska.

Funding Priority - Fiscal Year 2011: In fiscal year 2011, if awards are made, EPA's Office of Enforcement and Compliance Assurance anticipates to improve understanding of environmental obligations and ensure compliance with applicable laws in Indian country through research, demonstration, training, or inspection activities. Potential areas include: ensuring compliance at drinking water systems in Indian country, ensuring compliance with energy extraction activities in Indian country, and other areas related to EPA's Enforcement Goals. Additional information is available at <http://www.epa.gov/compliance/data/planning/initiatives/goals.html>.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

The funding is for fixed or known periods associated with specific projects. Project grants can include fellowships, scholarships, research grants, training grants, traineeships, experimental and demonstration grants, evaluation grants, planning grants, technical assistance grants, survey grants, and construction grants. OECA identifies special focus areas each funding cycle (annually). Previous years have included calls for proposals focusing on conducting sanitary surveys at tribal public water systems, compliance assistance to tribal solid waste programs, and innovative enforcement and compliance assurance projects, including performance measurement, data quality, and public access to information. Consistent with existing statutory authority, the funds are used to support compliance assistance, compliance monitoring, and enforcement activities.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Tribal Organizations, Inter-tribal Consortia, Federal, and State Organizations, Colleges and Universities, and non-for-profit organizations; eligible applicants must also have enforcement and compliance assurance responsibilities in Indian country and/or other tribal areas or provide support for enforcement and compliance assurance projects in Indian country and/or other tribal areas. EPA may also limit eligibility for certain competitive funding opportunities under this CFDA to: (1) tribes and intertribal consortia located in the Region where a project is going to be performed; and/or (2) applicants that have access to Indian country or other tribal areas.

#### **Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments; Inter-tribal Consortia and Tribal Organizations; Federal, State, and Multi-jurisdictional State Organizations; colleges and universities; and non-for-profit organizations.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 60 days from the date of submission of the final proposal.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable. e resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Assistance is normally provided in one lump sum. Projects may span multiple years. There is no restriction on the time permitted to spend the money awarded, although money must be spent prior to expiration associated with the specified federal fiscal year. See the following for information on how assistance is awarded/released: Other.

#### **Reports:**

Semi-annual reports must be submitted to the Project Officer for the duration of the project period. Final reports must be submitted to the Project Officer upon completion of the project. The EPA Project Officer will determine whether additional reports are appropriate and necessary. Program reports are required. No cash reports are required. Progress reports are required. Expenditure Reports may be required under this program. Performance monitoring is required by this program.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

#### **Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

#### **Account Identification:**

68-0103-0-1-304.

#### **Obligations:**

(Project Grants) FY 10 \$299,000; FY 11 est \$300,000; and FY 12 est \$300,000 - If available and distributed, EPA's Office of Enforcement and Compliance Assurance uses these resources to enable the EPA Regions to fund projects that

are designed to improve compliance and enforcement in Indian country. In FY 2010, EPA's Office of Enforcement and Compliance Assurance did not directly award any cooperative agreements or grants using CFDA 66.310. EPA's Office of Enforcement and Compliance Assurance has not made FY 2011 funding decisions for CFDA 66.310.

**Range and Average of Financial Assistance:**

\$3000 to \$40,000/fiscal year; \$40,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, EPA's Office of Enforcement and Compliance Assurance funded activities designed to improve compliance with the Safe Drinking Water Act, address compliance issues at schools in Indian country, and the proper management and compliance of solid waste in Indian country. Fiscal Year 2011: In FY 2011, EPA's Office of Enforcement and Compliance Assurance has not made funding decisions under CFDA 66.310. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicable EPA Uniform Administrative Requirements covered in the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations (40 CFR Part 30), February 15, 1996; Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (including Indian and Tribal Governments) (40 CFR Part 31), March 11, 1988; and State and Local Assistance: Provides program-specific requirements for State, tribal, and local grants (40 CFR Part 35, Subparts A and B), October 12, 1982.

**Regional or Local Office:**

See Regional Agency Offices. For EPA Region 1 contact Kristi Rea at (617) 918-1595 or rea.kristi@epa.gov; for EPA Region 2 contact Rebecca Jamison at (212) 637-3949 or jamison.rebecca@epa.gov; for EPA Region 4 contact Serdar Ertap at (404) 562-9683 or ertap.serdar@epa.gov; for EPA Region 5 contact Andrew Anderson at (312) 353-9681 or anderson.andrew@epa.gov, for EPA Region 6 contact Connie Overbay at (214) 665-7274 or overbay.connie@epa.gov; for EPA Region 7 Wolfgang Brandner contact at (913) 551-7381 or brandner.wolfgang@epa.gov; for EPA Region 8 contact Kaye Mathews at (303) 312-6889 or rogers.liz@epa.gov; for EPA Region 9 contact Angela Baranco at (415) 947-4262 or baranco.angela@epa.gov, and for EPA Region 10 contact Donald Dossett at (206) 553-8257 or dossett.donald@epa.gov.

**Headquarters Office:**

Jonathan Binder, Office of Compliance, Environmental Protection Agency, Ariel Rios Building, 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: binder.jonathan@epa.gov Phone: (202) 564-2516.

**Website Address:**

<http://www.epa.gov/compliance/state/grants/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY 2010, EPA funded Solid Waste Compliance & Technical Assistance Projects; Drinking Water and Wastewater Compliance Assistance Projects; a Safe Drinking Water Act Compliance Support Project; Training for PWS Operators to Improve M/R Capabilities & Conduct Monitoring; a Alaska Tribal Waste Circuit Rider Compliance Assistance Project; and a Schools Circuit Rider to Address AHERA & Lead Compliance project; Alaska Schools Circuit Rider Compliance Assistance Project. Fiscal Year 2011: In FY 2011, EPA has not yet made funding decisions under CFDA 66.310. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.313 INTERNATIONAL COMPLIANCE AND ENFORCEMENT PROJECTS**

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, Public Law 92-516, 7 U.S.C 136; Marine Protection, Research and Sanctuaries Act of 1972, Section 203; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; Safe Drinking Water Act, Section 1442(a)&(c), Public Law 93-523; National Environmental Policy Act, Section 102(2)(F); Clean Air Act, Section 103, Public Law 95-95, 42 U.S.C 7401; Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; Solid Waste Disposal Act, Section 8001.

**OBJECTIVES:**

The primary purpose of the proposed capacity building projects is to protect human health and the environment while advancing U.S. national interests through international environmental collaboration on environmental compliance and enforcement. This mission is supported by these strategic objectives: 1) Reduce Exposure to Toxic Chemicals; 2) Improve Urban Air Quality; 3) Reduce Hazardous Waste and Improve Waste Management; 4) Limit Global GHG Emissions and Other Climate-Forcing Pollutants; 5) Improve access to Clean Water; and 6) Build Strong Environmental Institutions and Legal Structures. International capacity building plays a key role in protecting human health, communities and the environment by providing technical cooperation to help countries improve environmental compliance and enforcement in order to reduce air pollution, better manage air quality and global climates, manage drinking and surface water quality, and restore the land and mitigate sources of land pollution. OECA will work to transfer appropriate compliance and enforcement tools and techniques to key countries and regions as we collaborate with partners to improve compliance with domestic environmental laws in those countries. In addition, we will continue efforts to strengthen domestic, regional, and global networks on criminal and civil/administrative enforcement, build capacity in developing countries to monitor and enforce compliance with environmental laws, and raise awareness of the role of enforcement in ensuring sustainable development. OECA plays a key role in ensuring trade-related activities support environmental protection, particularly related to effective enforcement of environmental laws. Initiatives relating to environmental trade and investment are carried out bilaterally, multilaterally or in connection with multilateral institutions such as the International Network for Environmental Compliance and Enforcement (INECE) and associated regional networks, INTERPOL's Environmental Crime Program, the World Trade Organization (WTO), World Bank, European Union (EU), and others. Also, OECA will support protection of human health and the ecosystem of North America through the United States participation in the North American Agreement on Environmental Cooperation and through leadership in the Enforcement Working Group of the Commission on Environmental Cooperation (CEC), the Organization for Economic Cooperation and Development (OECD), and other international entities. OECA will provide targeted capacity building support under the environmental cooperation agreements developed parallel to U.S. free trade agreements. Funding Priority - Fiscal Year 2011: EPA expects to continue funding for ongoing activities that advance environmental compliance worldwide. Possible funding priorities include efforts to build capacity for compliance and enforcement in Africa, South America, and other parts of the world, support for international conferences on compliance and enforcement, and specific projects such as preventing the transboundary shipments of hazardous wastes and e-wastes, and addressing compliance and enforcement issues in global climate change schemes, and international studies of best practices to exchange information among enforcement practitioners and policy makers.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Discretionary funds are available for the awards under this program. Grants and cooperative agreements are available to support recipients' allowable direct cost expenditures associated with the approved project plus allocable portions of allowable indirect costs of the institution, in accordance with established EPA policy, 40 CFR parts 30 and 31. Funding awarded for international research under these projects does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following



website: <http://geodata.epa.gov>. The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking blood or other information from humans). Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Enforcement and Compliance Assurance's mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions.

**Credentials/Documentation:**

Office of Enforcement and Compliance Assurance (OECA) may require applicants to submit documentation of non-profit status. OECA may request applicants to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OECA may also ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Under EPA Order No. 5700.5A1, Policy for Competition in Assistance Agreements (9/12/02), Assistance awards to Foreign Governments and to United Nations agencies and similar International Organizations, such as the Organization of American States and Organization for Economic Cooperation and Development (OECD), may be exempted from competition at the discretion of OECA. For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated

in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For non-competitive awards, OECA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and a technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to OECA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. See the following for information on how assistance is awarded/released: Payments will be on an advance letter of credit or reimbursement basis; recipient must request the initial advance payment on SF 270, Request for Advance or Reimbursement.

**Reports:**

No program reports are required. No cash reports are required. Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Progress reports are required under this program. Expenditure Reports are required under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as

those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$1,000,000; FY 11 est \$300,000; and FY 12 est \$300,000

**Range and Average of Financial Assistance:**

Range: \$30,000 - \$2,000,000; Average: FY 2010 est. \$400,000 and FY 2011 est. \$300,000. Annual amounts fluctuate greatly because OECA usually issues a single large grants for multiple years with interim awards for other projects at much lower levels.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010: OECA awarded three grants: The first will support an international conference on environmental compliance and enforcement which will be held in June 2011. The second project is to support an international collaborative network focused on environmental compliance and enforcement. Historic outcomes from previous projects in this category include development of guidance on environmental compliance and enforcement indicators and indicators training throughout Central America, multiple deliveries of the Principles of Enforcement course in the Middle East, and maintenance and development of a website. The final project funded in FY 2010 is to support an international organization's environmental crime program. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

None. All assistance agreements issued under this CFDA will originate in the Office of Enforcement and Compliance Assurance (OECA) at EPA Headquarters.

**Headquarters Office:**

David Swack USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 2201A, Washington, District of Columbia 20460 Email:  
swack.david@epa.gov Phone: 202-564-9963.

**Website Address:**

<http://www.epa.gov/Compliance/>

**RELATED PROGRAMS:**

66.310 Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas; 66.931 International Financial Assistance Projects Sponsored by the Office of International Affairs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Fiscal Year 2010: OECA awarded three grants: The first will support an international conference on environmental compliance and enforcement. The second project is to support an international collaborative network focused on environmental compliance and enforcement. The final project funded in FY 2010 is to support an international organization's environmental crime program. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.418 CONSTRUCTION GRANTS FOR WASTEWATER TREATMENT WORKS**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 101(e)&109(b), Public Law 92-500; American Recovery and Reinvestment Act of 2009, Public Law 111-5; Clean Water Act, Section 210-212&215-219, Public Law 92-500; Clean Water Act, Section 208(d)&304(d)(3), Public Law 92-500; Clean Water Act, Section 313,319,320,501, Public Law 92-500; Clean Water Act, Section 502,511,516(b), Public Law 92-500; Clean Water Act, Section 201-205, 207, Public Law 92-500.

**OBJECTIVES:**

To assist and serve as an incentive in construction of municipal wastewater treatment works which are required to meet State and/or Federal water quality standards and improve the water quality in the waters of the United States. From fiscal year (FY) 2004 onwards, American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia may use up to four percent of the funds appropriated under Title VI for administration and closeout of their construction grant program.

Funding Priority - Fiscal Year 2011: Funds will be awarded to assist in construction of municipal wastewater treatment works which are required to meet State and/or Federal water quality standards and improve the water quality in the waters of the United States. Annual funding priorities are determined by the State in which the grantee is located. The project must be given priority by the State water pollution control agency through its project priority system and recommended for funding for approval by the EPA Regional Office. Funds were also made available to American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia for construction of municipal wastewater treatment works under the American Recovery and Reinvestment Act (Recovery Act) of 2009. A portion of the Recovery Act funding were targeted toward projects for green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For construction of municipal wastewater treatment works including privately owned individual treatment systems, if a municipality applies on behalf of a number of such systems. Such works may serve all or portions of individual communities, metropolitan areas, or regions. A project may include, but may not be limited to, treatment of industrial wastes. The grantee must require pretreatment of any industrial wastes which would otherwise be detrimental to efficient operation and maintenance, or the grantee must prevent the entry of such waste into the treatment plant. The grantee must have or initiate an acceptable system of user charges. From FY 2004 onwards, American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia may use up to four percent of the funds appropriated under Title VI for administration and closeout of their construction grant program. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Any state, local, intrastate agency, or interstate agency, or Federally-Recognized Indian tribal government, having jurisdiction over waste disposal. At present, new funding for the construction grants program exists only in American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia because they are exempt by the U.S. Congress from establishing a State Revolving Fund (SRF). Grants are

awarded to only these territories and the District of Columbia from the SRF funds (Title VI grants), which are awarded as Title II grants. Funding requests for construction of wastewater treatment facilities are now to be made to the SRF representative of the State in which the construction is proposed.

**Beneficiary Eligibility:**

Anyone/General Public. Anyone to be served by a wastewater treatment works assisted by this program.

**Credentials/Documentation:**

(1) Certified copy of authorization and assurances from the applicant's governing body. Authorization must be current, and must designate by name and title the individual who will represent the applicant; (2) current description of the project; (3) statement explaining exact nature of local, State, and any other Federal funds which may be used to finance the project; (4) applicant assurance (which is acceptable to the Regional Administrator) that any necessary discharge permit has been or will be obtained in accordance with Section 401, of Public Law 92-500, as amended; (5) conformance with requirements set forth in 40 CFR Part 35; Subpart I. Application may be made for grant assistance for building and erection of the treatment works with an allowance for planning and design costs at the time that the grant for construction is made. Costs will be determined in accordance with OMB Circular No. A-87, "Costs Principles for State, Local, and Indian Tribal Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This is an existing program which is winding down as the funding is now being provided under the Clean Water State Revolving Fund Program for construction of wastewater treatment facilities. An environmental assessment is required for this program, which may require the development of an environmental impact statement by EPA. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted through the State water pollution control agency to the appropriate EPA Regional Office. The standard application forms as furnished by the Federal agency must be used for this program. EPA requires final applications to be made on the Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Projects considered for award must be approved by the State water pollution control agency and also certified by such agency as to priority over any other eligible projects. Award is made following such certification and approval by a Regional Office of EPA. Funds authorized by the Congress are allotted to the States in accordance with The Clean Water Act, as amended. Grant awards within individual States are limited by the funds which have been allotted to such States.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 45 days, for EPA Regional Office action after certification by delegated State.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program operates under Section 202 of the Clean Water Act. The Federal grant may be for up to 55 percent for grants awarded after September 30, 1984 or for 75 percent of eligible project costs for grant assistance awarded before October 1, 1984. The States may lower these percentages with the concurrence of the Regional Administrator pursuant to Section 202(a)(1) of the Clean Water Act as amended by Public Law 100-4. For innovative or alternative treatment processes and techniques referred to in section 201(g)(5) the funding shall be 20 per centum greater than the above approved percentage, but in no event greater than 85 per centum of the cost of construction of the project being funded with the grant. The grantee must assure that they will provide funds for all remaining costs. Some States assist grantees in providing all or part of the non-Federal share. American Samoa, Guam, Northern Marianas Islands, and Virgin Islands will receive the funds allocated up to 100 percent of the cost of construction. Recovery Act funds allotted to the District of Columbia, American Samoa, Guam, Northern Mariana Islands, and Virgin Islands have no match requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Any Title VI sums that are allotted as Title II to the District of Columbia, American Samoa, Guam, Northern Mariana Islands, and Virgin Islands will be available for obligation for a period of one year after the close of the fiscal year for which the sums are authorized. The term of the grant shall be determined at the time of grant award. Grant payments are based on work completed, equipment delivered, or sometimes off-site manufacturing or services rendered. Final grant payment is made after construction is completed and satisfactory final inspection and performance evaluation are carried out. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

Annual inspection by the State agency for compliance with permit requirements including a written report concerning operation and maintenance of waste treatment facility, and certification one year after beginning operation that the works are meeting project performance standards. For Recovery Act funds, funding reports must be submitted in a prescribed format within 10 calendar days after the end of each calendar quarter, beginning October 10, 2009. These reports will include data elements as prescribed by Public Law 111-5, Section 1512 and OMB Guidance. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years after project closeout, and if questions still remain, such as those raised in a court appeal, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0102-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$40,915,000; FY 11 est \$29,652,100; and FY 12 est \$30,000,000 - Title II obligations available for construction grants to District of Columbia, American Samoa, Guam, Northern Mariana Islands, and the Virgin Islands are: FY 10 \$40,915,000; FY 11 est. \$29,652,100; and FY 12 est. \$30,000,000. Title II obligations available for Recovery Act funds to District of Columbia, American Samoa, Guam, Northern Mariana Islands, and the Virgin Islands are: FY 10 \$0; FY 11 est. \$0; and FY 12 est. \$0.

**Range and Average of Financial Assistance:**

CWA Title II grants \$100,000 to \$10,000,000/fiscal year; \$5,000,000/fiscal year. Recovery Act funds - \$100,000 to \$15,000,000/fiscal year; \$7,500,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 9 grants for \$29.6 million were awarded. Projects funded included new and expanded wastewater treatment plants, infiltration/inflow correction, new interceptors, new collector sewers, and correction of combined sewer overflows (CSO) projects. Fiscal Year 2011: In FY 2011, it is anticipated that 8 grants for \$50.6 million will be awarded. Projects to be funded include new and expanded wastewater treatment plants, infiltration/inflow correction, new interceptors, new collector sewers, and correction of CSO projects. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants for Construction of Treatment Works, Environmental Protection Agency (40 CFR Part 35, Subpart E (and Subpart I, applicable to grants awarded after May 12, 1982); General Grant Regulations and Procedures, EPA (40 CFR Part 31); "Construction Grants 1985 (Guidelines for applicants and grantees)"; and Construction Grants Handbook of Procedures (Guidelines for Project Officers)." For these and other publications, please contact EPA's Office of Wastewater Management, Municipal Support Division, MC-4204M, 1200 Pennsylvania Ave., NW, Washington, DC 20460.

**Regional or Local Office:**

See Regional Agency Offices. Information regarding appropriate waste treatment requirements and State and Federal assistance may be obtained from the State water pollution control agency. Individuals may also communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Also, contact your State agency concerning possible assistance under a State revolving fund (Title VI) of the 1987 Amendments of the Clean Water Act.

**Headquarters Office:**

Gajindar Singh, Sustainable Communities Branch (4204M), Municipal Support Division, Office of Wastewater Management, Environmental Protection Agency, EPA East, 1200 Pennsylvania Ave., N.W., Washington, District of Columbia 20460 Email: singh.gajindar@epa.gov Phone: (202) 564-0634.

**Website Address:**

<http://www.epa.gov/owm/cwfinance/index.htm>

**RELATED PROGRAMS:**

66.458 Capitalization Grants for Clean Water State Revolving Funds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: New and expanded wastewater treatment plants, infiltration-inflow correction, new interceptors, new collector sewers, and correction of CSO projects. Fiscal Year 2011: New and expanded wastewater treatment plants, infiltration-inflow correction, new interceptors, new collector sewers, and correction of CSO projects. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Annual funding priorities are determined by the State in which the grantee is located. The project must be given priority by the State water pollution control agency through its project priority system and recommended for funding for approval by the EPA Regional Office.

**66.419 WATER POLLUTION CONTROL STATE, INTERSTATE, AND TRIBAL PROGRAM SUPPORT**

(106 Grants)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 106, Public Law 95-217, 33 U.S.C 1251.

**OBJECTIVES:**

To assist States (including territories, the District of Columbia, and Indian Tribes qualified under CWA Section 518(e)), and interstate agencies in establishing and maintaining adequate measures for prevention and control of surface and ground water pollution from both point and nonpoint sources.

Funding Priority - Fiscal Year 2011: States and Tribes will continue to focus on fulfilling their basic responsibilities under the CWA and, based upon a shared understanding with EPA of the environmental progress expected, will identify program activities that will best support attaining targeted environmental improvements. State priority efforts will include: (1) implementing monitoring strategies and the statistically-valid surveys to determine water quality status and trends; (2) fostering a watershed approach, including total maximum daily loads (TMDLs) and watershed plans designed to meet water quality standards; and (3) implementing concentrated animal feeding operations (CAFOs) and storm water permitting programs. States and Tribes will work toward adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury in their water quality standards. States NPDES Programs will support EPA in: (1) developing and strengthening systems to ensure the integrity of the program; (2) achieving and measuring environmental results; and (3) incorporating efficiencies in permitting program operations. Water quality programs will also target actions to strengthen permitting and enforcement efforts. States will also conduct source water protection actions to protect both ground water and surface waters used for drinking water. Tribes will continue to conduct watershed assessments and will maintain and improve their capacity to implement water quality programs through monitoring, assessments, planning, and standards development.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Water pollution control grants are intended to provide continuing support for the prevention and abatement of surface and ground water pollution from point and nonpoint sources. Continuing and recurrent water quality management program activities funded include water quality planning and standards; monitoring and assessments; inspections and enforcement; permitting; training; advice and assistance to local agencies; and public information. Funds cannot be used for construction, operation, or maintenance of waste treatment plants, nor can they be used for costs financed by other Federal grants. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible entities include State and interstate water pollution control agencies as defined in the Federal Water Pollution Control Act, and Indian tribes qualified under CWA Section 518(e). Agencies making application for funds must annually submit their pollution-control program to the appropriate EPA Regional Administrator for approval. Requirements of the program are based on Section 106 of the Act, and 40 CFR Parts 31, 35, and 130. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and interstate water pollution control agencies and Indian tribes qualified under Section 518(e) of the Clean Water Act (CWA).

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, tribal, and local governments. State and interstate agencies and Indian tribes qualified under Section 518(e) of the Clean Water Act must show compliance with 40 CFR 35, Subpart A and Subpart B. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal meetings are held between regional office, State, territorial, and Indian tribe applicant agencies concerning program preparation. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. The grant agreement must adequately reflect the priorities identified in the State/EPA Agreement. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The grants application must be submitted to the appropriate EPA Regional Office, Grants Administration Branch (see Appendix IV of the Catalog). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Applications are reviewed by the appropriate EPA Regional Office and if approved, are signed by the Regional Administrator. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Clean Water Act, Chapter CFR 35.162.  
Matching Requirements: The regulation that implements the formula can be found at CFR 35.162. As stated in the Clean Water Act, appropriated funds are allotted among the State and Interstate Water Pollution Control Agencies on the basis of the extent of the pollution problems in the respective States. The six components in the Section 106 State allotment formula selected to reflect the

extent of the water pollution control problems in the United States are: (1) surface water area; (2) ground water use; (3) water quality impairment; (4) point sources; (5) non-point sources; and (6) population of urbanized areas. The set-aside for Interstate Water Pollution Control Agencies is 2.6 percent of the total State monies appropriated under Section 106. The interstate allotment formula consists of two parts: (1) a funding floor, and (2) a variable portion. To receive a Section 106 Water Pollution Control grant, a State or interstate agency must expend annually for recurrent Section 106 program expenditures an amount of non-federal funds at least equal to expenditures during the fiscal year ending June 30, 1971. A portion of the annual Section 106 appropriation is set-aside for eligible Indian Tribes qualified under CWA Section 518(e), and an allocation formula is used to distribute these funds to the EPA Regions. The Tribal allocation formula consists of both a base portion (which is currently equal to approximately \$65,000 times the total number of Tribes with Treatment in a manner similar to a State [TAS] approval for Section 106 grants in each EPA Region), plus a weighted variable portion. The variable portion is based upon the total tribal water area (50 percent), land area (25 percent), and reservation population (25 percent) in each EPA Region. Tribal work plan costs include the costs of planning, developing, establishing, improving, and maintaining a water pollution control program. The Regional Administrator may provide up to 95 percent of the approved work plan costs for Tribes or intertribal consortia establishing a Section 106 water pollution control program. The Regional Administrator may increase the maximum Federal share if the tribe or intertribal consortium can demonstrate in writing to the satisfaction of the Regional Administrator that fiscal circumstances within the Tribe or within each Tribe that is a member of an intertribal consortium are constrained to such an extent that fulfilling the 5 percent match requirement would impose undue hardship. Since 2005, additional funds have been allocated for the purposes of strengthening State and Territorial water quality monitoring programs. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

One year; payments are approved quarterly and disbursed monthly. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 10 \$229,264,000; FY 11 est \$238,805,000; and FY 12 est \$250,264,000

**Range and Average of Financial Assistance:**

\$10,000 to \$11,795,500/fiscal year; \$5,000,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In each fiscal year, grants are awarded to encourage and support the conduct of Water Pollution Control programs by the 50 States, 6 Territories, the District of Columbia, 6 Interstate Commissions, and Indian Tribes qualifying under CWA Section 518(e). FY 10 funds were used to continue to support State and Tribes' efforts to fulfill their basic responsibilities under the CWA and identify program activities that best support attaining targeted environmental improvements. Accomplishments included: implementing monitoring strategies and the development of statistically-valid surveys to determine water quality status and trends; fostering a watershed approach including total maximum daily loads (TMDLs) and the development of watershed plans designed to meeting water quality standards; and the implementation of concentrated animal feeding operations (CAFOs) and storm water permitting programs. At a minimum, Regional watershed based strategies give priority to: 1) fostering the development of watershed plans under State nonpoint source programs; 2) assuring that high priority permits are current; 3) tracking permitting for environmental results program integrity follow-up actions; 4) developing TMDLs for impaired waters; and 5) organizing restoration plans on a waterbody basis. Fiscal Year 2011: In each fiscal year, grants are awarded to encourage and support the conduct of Water Pollution Control programs by the 50 States, 6 Territories, the District of Columbia, 6 Interstate Commissions, and Indian Tribes qualifying under CWA Section 518(e). FY 11 funds will be used to continue to support State and Tribes' efforts to fulfill their basic responsibilities under the CWA and identify program activities that best support attaining targeted environmental improvements. States and tribes will continue working on: implementing monitoring strategies and the development of statistically-valid surveys to determine water quality status and trends; fostering a watershed approach including total maximum daily loads (TMDLs) and the development of watershed plans designed to meeting water quality standards; and the implementation of concentrated animal feeding operations (CAFOs) and storm water permitting programs. At a minimum, Regional watershed based strategies give priority to: 1) fostering the development of watershed plans under State nonpoint source programs; 2) assuring that high priority permits are current; 3) tracking permitting for environmental results program integrity follow-up actions; 4) developing TMDLs for impaired waters; and 5) organizing restoration plans on a waterbody basis. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 31); Handbook of Procedures, State and Interstate Program Grants; Environmental Protection Agency, State and Local Assistance Programs, Grants for Water Quality Planning, Management and Implementation (40 CFR Part 130 and 40 CFR Part 35 Subpart A and B); Office of Water National Program Guidance for FY 2005.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Robyn Delehanty, Office of Wastewater Management (4201M), Environmental Protection Agency, EPA East Building, 1201 Constitution Avenue, N.W., Washington, District of Columbia 20460 Email: delehanty.robyn@epa.gov Phone: (202) 564-3880

**Website Address:**

<http://www.epa.gov/owm/cwfinance/pollutioncontrol.htm>

**RELATED PROGRAMS:**

66.454 Water Quality Management Planning; 66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants are made to States, interstate agencies, and tribes qualified under CWA Section 518(e), for the administration of State and tribal programs for the prevention, reduction, and control of water pollution.

Activities funded include administration of State and tribal water quality planning programs; water quality standards programs; water quality monitoring and assessments; National Pollutant Discharge and Elimination System (NPDES) permitting programs; compliance and enforcement programs, and ground water protection programs. More specifically, adoption and implementation of new comprehensive monitoring strategies, as stated in the March 2003 Elements of a State Water Monitoring and Assessment Guidance, and the development of statistically valid monitoring networks to help target activities and determine water quality status and trends; enhancement of the quality and timeliness of state/tribal water quality standards triennial reviews so that standards are based on sound science and EPA guidance; adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury into state water quality standards; effective management of the permit program through State participation in (1) developing and strengthening systems to ensure the integrity of the program; (2) achieving and measuring environmental results; and (3) incorporating efficiencies in permitting program operations; implementation of program enhancements identified in the FY 2004 comprehensive assessment of NPDES program integrity; and State storm water and concentrated animal feeding operations (CAFO) permitting programs, wet weather issues and combined sewer overflows (CSOs). Fiscal Year 2011: Grants are made to States, interstate agencies, and tribes qualified under CWA Section 518(e), for the administration of State and tribal programs for the prevention, reduction, and control of water pollution. Activities funded include administration of State and tribal water quality planning programs; water quality standards programs; water quality monitoring and assessments; National Pollutant Discharge and Elimination System (NPDES) permitting programs; compliance and enforcement programs, and ground water protection programs. More specifically, adoption and implementation of new comprehensive monitoring strategies, as stated in the March 2003 Elements of a State Water Monitoring and Assessment Guidance, and the development of statistically valid monitoring networks to help target activities and determine water quality status and trends; enhancement of the quality and timeliness of state/tribal water quality standards triennial reviews so that standards are based on sound science and EPA guidance; adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury into state water quality standards; effective management of the permit program through State participation in (1) developing and strengthening systems to ensure the integrity of the program; (2) achieving and measuring environmental results; and (3) incorporating efficiencies in permitting program operations; implementation of program enhancements identified in the FY 2004 comprehensive assessment of NPDES program integrity; and State storm water and concentrated animal feeding operations (CAFO) permitting programs, wet weather issues and combined sewer overflows (CSOs). Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Section 106 funds are awarded to State, territory, interstate, and Indian tribal agencies in accordance with overall water quality management needs, the requirements of programs covered by these agreements, and EPA Program guidance.

**66.424 SURVEYS, STUDIES, INVESTIGATIONS, DEMONSTRATIONS, AND TRAINING GRANTS - SECTION 1442 OF THE SAFE DRINKING WATER ACT**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act , Section 1442, Public Law 104-182; National Environmental Policy Act , Section 102(2)(F).

**OBJECTIVES:**

(1) To support surveys, studies, investigations, demonstrations, and training associated with source water and drinking water; (2) To develop and expand capabilities of programs to carry out the purposes of the Safe Drinking Water Act (SDWA).

Funding Priority - Fiscal Year 2011: Funding priorities include providing assistance for the following: (1) research on the occurrence of contaminants in

drinking water; (2) source water protection and treatment methods; measures to protect water quality in the distribution system and at the tap; (3) tribal source water protection program support; tribal operator certification program support; (4) tribal capacity development program support; and (5) assistance to tribes in administration of the Drinking Water Infrastructure Grants to identify health effects associated with drinking water contaminants. Funding priorities also include providing assistance for the following training and technical assistance activities: (1) training personnel who manage or operate public water systems; (2) training personnel for occupations involving the public health aspects of providing safe drinking water; (3) training to develop and expand the capabilities of states and municipalities to carry out the SDWA; and (4) technical assistance to enable small public water systems to meet the requirements of SDWA.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

The funds will support research, investigations, studies, demonstrations, and training associated with source water and drinking water. Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S. (including the District of Columbia); public and private universities and colleges; hospitals; laboratories; public or private nonprofit institutions; and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions and individuals.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see

Appendix IV of the Catalog. This program is subject to the provisions of OMB Circulars No. A-102 and No. A-110. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at:

[http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, announcements for competitive funding opportunities will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for water surveys, studies, demonstrations, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is

required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$1,282,500; FY 11 est \$1,500,000; and FY 12 est \$1,500,000

**Range and Average of Financial Assistance:**

\$5,500 to \$562,000/fiscal year; \$256,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. Competitive announcements typically include the number of anticipated awards. Five grants were awarded in FY 10 in support of drinking water and source water initiatives associated with developing and expanding capabilities of programs to carry out the purposes of the SDWA. Fiscal Year 2011: Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. Competitive announcements typically include the number of anticipated awards. In FY 11, it is anticipated that additional support for drinking water and source water initiatives will be provided. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Training grants and cooperative agreements are subject to EPA's Regulations for Training Assistance (40 CFR Part 45).

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Joe Jackson, Environmental Protection Agency, Office of Ground Water and Drinking Water, 1200 Pennsylvania Avenue, Washington, District of Columbia 20460 Email: jackson.joe-a@epa.gov Phone: (202) 564-3817.

**Website Address:**

<http://www.epa.gov/safewater>.

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.510 Surveys,

Studies, Investigations and Special Purpose Grants within the Office of Research and Development; 66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator; 66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Assisting states in effective implementation of SDWA requirements; assistance to states in ground water protection and conservation; developing utility planning tools; capacity development support; and source water protection through prevention. Fiscal Year 2011: Assisting states in effective implementation of SDWA requirements; assistance to states in ground water protection and conservation; developing utility planning tools; capacity development support; and source water protection through prevention. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.432 STATE PUBLIC WATER SYSTEM SUPERVISION**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act of 1974, Public Law 93-523; Safe Drinking Water Act Amendments of 1996, Public Law 104-182; Safe Drinking Water Act Amendments of 1986; Public Health Service Act; Safe Drinking Water Act of 1974, Public Law 95-190; Safe Drinking Water Act of 1974, Public Law 96-502; Safe Drinking Water Act of 1974, Public Law 96-16.

**OBJECTIVES:**

The objective of these grants is to provide financial assistance to eligible States and Tribes (those that have Primary Enforcement Responsibility for the Public Water System Supervision Program, or are developing such a program), for the conduct of their Public Water Systems Supervision (PWSS) Program. In cases where a State or a Tribe do not have, or are not developing, a Primary Enforcement Responsibility program, EPA is authorized to use funds that would have otherwise been made available to the State or the Tribe to assist it in direct implementation of the PWSS program. The fundamental goal of the PWSS Program, and the grants, is to ensure that water systems comply with the National Primary Drinking Water Regulations listed in 40 CFR 141 ([http://www.access.gpo.gov/nara/cfr/waisidx\\_02/40cfr141\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/40cfr141_02.html)). States, territories, and Indian Tribes that receive PWSS grants are to use them to ensure that drinking water systems, of all types, and of all sizes: (1) that are currently in compliance with the drinking water regulations, remain in compliance, (2) that are not currently in compliance, achieve compliance, and (3) are preparing to comply with any new drinking water regulation that will be taking effect in FY 06.

Funding Priority - Fiscal Year 2011: The priority for the PWSS grants is to ensure that the population served by community water systems will receive drinking water that meets all applicable health-based drinking water standards. The primary components of a State or Tribal PWSS program are: the adoption of State drinking water regulations as stringent as the Federal regulations; the development and maintenance of an inventory of public water systems throughout the State; the development and maintenance of a database housing compliance information on public water systems; the conduct of sanitary surveys on the public water systems; the review of public water system plans and specifications; the provision of technical assistance to system managers and operators; a program to ensure that the public water systems keep their consumers informed about the quality of the water they are providing; the certification of laboratories that are allowed to perform the analysis of drinking water that will be used to determine compliance with the drinking water regulations; and the conduct of an enforcement program to ensure that the public water systems comply with all of the requirements.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**



The funds are to be used to develop and implement a public water system supervision program adequate to enforce the requirements of the Safe Drinking Water Act. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:  
<http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligibility is limited to the governments of the fifty States; the District of Columbia; the Commonwealth of Puerto Rico; the Northern Mariana Islands; the Virgin Islands; Guam; American Samoa; and federally recognized Tribes, that have either assumed primary enforcement responsibility for the PWSS Program or that want to develop a program that will allow them to seek delegation for a PWSS Program. EPA may also use funds allotted for a State or Tribal program, if the State or Tribe does not have, or is not developing, primary enforcement responsibility. Eligibility is also limited to a single agency within each State, Territory, or Tribe - an agency that has been designated by the jurisdiction's Governor or Chief Executive Officer. Primary Enforcement Responsibility for the Public Water System Supervision Program is provided for in 40 CFR 142  
([http://www.access.gpo.gov/nara/cfr/waisidx\\_02/40cfr142\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/40cfr142_02.html)).

**Beneficiary Eligibility:**

The beneficiaries are the agencies within the fifty States; the District of Columbia; the Commonwealth of Puerto Rico; the Northern Mariana Islands; the Virgin Islands; Guam; American Samoa; and federally recognized Tribes, that have been designated by the jurisdiction's Governor or Chief Executive Officer as being responsible for the supervision of water supplies within the State, Territory, or Tribe.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Tribal Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The grant application, including a Program Plan, must be submitted to the appropriate EPA Regional Administrator. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Additional information on the EPA grant package can be found at:  
[http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

**Award Procedure:**

The grant application and Program Plan are reviewed by the appropriate EPA

Regional Office, and if approved, are signed by the Regional Administrator, who then awards the funds to the recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Maximum of 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR Parts 30.63 or 40 CFR Part 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Safe Drinking Water Act of 1974, Public Law 93-523. Matching Requirements: State allotments are computed through use of a formula, as prescribed in Public Law 93-523 Section 1443 (a)(3) and (a)(4), 40 CFR 35.172. Funds appropriated each year are allotted on the basis of: (a) State, Territory, or Tribal population (20 percent) as contained in the most currently available (published) U.S. Census Bureau data; (b) State, Territory, or Tribal geographical area (10 percent) as contained in the most currently available (published) U.S. Census Bureau data; (c) the number of active community and non-transient non-community water systems being regulated by the State, Territory, or Tribe that are on record in EPA's data system (56 percent); and (d) the number of active transient non-community water systems being regulated by the State, Territory, or Tribe that are on record in EPA's data system (14 percent). All States, the District of Columbia, and Puerto Rico are eligible for a minimum of \$334,500 (which is equal to 1 percent of the FY 1989 PWSS Program appropriation). The American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands are eligible for a minimum of \$111,500 (which is equal to 1/3 percent of the FY 1989 PWSS Program appropriation). Up to seven percent of the amount appropriated for the PWSS Program is set-aside to support Public Water System Supervision programs on Indian lands (including grants to Tribes) in accordance with EPA Grant Regulations. The formula factors of population and land area are statutory. The other factors, and all of the weightings, are Agency imposed. Federal assistance is limited to 75 percent of total, eligible program costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual grants. There is no restriction placed upon the time permitted to spend the award. Awards are released through letters of credit or reimbursement. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report or until any audit exceptions have been resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 10 \$101,510,500; FY 11 est \$103,987,000; and FY 12 est \$104,195,000

**Range and Average of Financial Assistance:**

\$125,000 to \$6,589,000/fiscal year; \$1,762,482/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: During FY 10, 49 States, five territories, one Indian Tribe, and the District of Columbia were awarded grant funding under the PWSS Program. The majority of the grant funds were used for State, territorial, or Tribal governmental salaries to allow the governments to: develop and maintain State drinking water regulations; develop and maintain an inventory of public water systems throughout the State; develop and maintain a database housing compliance information on public water systems; conduct sanitary surveys on the public water systems; review public water system plans and specifications to ensure systems meet State design standards; provide technical assistance and training to water system managers and operators to ensure they are knowledgeable of the State requirements and best treatment and operation practices; conduct of a program to ensure that the public water systems keep their consumers informed about the quality of the water they are providing; inspect and certify laboratories that are allowed to perform the analysis of drinking water that will be used to determine compliance with the drinking water regulations; and conduct an enforcement program to ensure that the public water systems comply with all of the requirements. States, territories, and Tribes also use the grant funds to upgrade and maintain the data systems that are used to store and track information on public water systems. Fiscal Year 2011: In FY 11, grants will continue to focus on supporting projects to achieve the objective of protecting human health by reducing exposure to contaminants in drinking water, including protecting source waters. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial Assistance for Continuing Environmental Programs (40 CFR 35, Subpart A); General Grant Regulations and Procedures (40 CFR Part 30).

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Matthew Reed Office of Ground Water and Drinking Water (4606M), Office of Water, Environmental Protection Agency., Washington, District of Columbia 20460 Email: reed.matthew@epa.gov Phone: 202-564-4719

**Website Address:**

<http://www.epa.gov/safewater/pws/pwsgrant.html>

**RELATED PROGRAMS:**

66.433 State Underground Water Source Protection; 66.468 Capitalization Grants for Drinking Water State Revolving Funds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funding will be awarded to each of the 49 States, five territories, and one Indian Tribe that has primary enforcement responsibility for the PWSS Program. The grants will be used by these governments, primarily for governmental salaries to: develop State drinking water regulations, inventory drinking water systems, manage information on public water systems, ensure public participation regarding drinking water systems, provide technical assistance to public water systems, and enforce drinking water quality standards. Fiscal Year 2011: Funding will be awarded to each of the 49 States, five territories, and one Indian Tribe that has primary enforcement responsibility for the PWSS Program. The grants will be used by these governments, primarily for governmental salaries to: develop State drinking water regulations, inventory drinking water systems, manage information on

public water systems, ensure public participation regarding drinking water systems, provide technical assistance to public water systems, and enforce drinking water quality standards. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Adequacy of State's annual program plan for the adoption and enforcement of drinking water regulations which are no less stringent than the national primary drinking regulations. (2) Designation of a State agency to receive the grant and be responsible for conducting the public water system supervision program. (3) Compliance with requirements of 40 CFR 30 and 40 CFR 35.

**66.433 STATE UNDERGROUND WATER SOURCE PROTECTION  
FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act Amendments of 1986, Public Law 99-339; Safe Drinking Water Act Amendments of 1996, Public Law 104-182, 42 U.S.C 300; Safe Drinking Water Act of 1974, Public Law 93-523; Safe Drinking Water Act of 1974, Public Law 96-502; Safe Drinking Water Act of 1974, Public Law 96-63.

**OBJECTIVES:**

To foster development and implementation of underground injection control (UIC) programs under the Safe Drinking Water Act (SDWA). The objective of the grant program is to provide financial assistance, to eligible States and Tribes, for the implementation of their UIC Program. The fundamental goal of the program, and the grants, is to ensure that underground sources of drinking water are protected from endangering injection activities.

Funding Priority - Fiscal Year 2011: The program will fund the major components of State UIC programs which include: the development and maintenance of inventories of injection systems; the development and maintenance of databases housing compliance information on underground injection well activities; the implementation of UIC permitting activities; and the implementation of enforcement programs to ensure that underground sources of drinking water are protected from endangering injection activities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The funds are to be used to develop and implement an underground injection control program adequate to enforce the requirements of the Safe Drinking Water Act. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States and Indian Tribes that qualify as Programs that have delegated primary Enforcement Authority pursuant to SDWA amendments of 1986.

**Beneficiary Eligibility:**

States and Indian Tribes.

**Credentials/Documentation:**

. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applications are subject to State and area wide clearinghouses review pursuant to procedures in the proposed 40 CFR Part 19. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102,

must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The grant application must be submitted to the appropriate EPA Regional Administrator. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

**Award Procedure:**

Applications are reviewed by the appropriate EPA Regional Office and, if approved, the funds are awarded by the Regional Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Safe Drinking Water Act.  
Matching Requirements: This program operates under a formula which uses criteria set forth in the SDWA, Section 1443(b)(4). Except for Indian Tribes, Federal assistance is limited to 75 percent of eligible costs, not to exceed the State allotment. The statistical factors used for allocation include: (1) population of State, based on the most recent Census Bureau data; (2) State land area, based on the most recent Census Bureau data; and (3) injection practices by State, based on data reported by States and maintained by EPA as of the most recent fiscal year prior to allocation development. For Indian Tribes, Federal assistance is limited to 90 percent of eligible costs. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents which support entries on accounting records and substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report, or until any audit exceptions have been resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 10 \$10,891,000; FY 11 est \$10,869,000; and FY 12 est \$11,109,000

**Range and Average of Financial Assistance:**

\$13,000 to \$973,000/fiscal year; \$176,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This program provides funding support to states, territories, and tribes that have delegated primary enforcement authority pursuant to the SDWA amendments of 1986. In FY 10, 45 States, Territories, and Tribes had primacy for 36 full and nine partial programs. The grant funds were used by the States, Territories, and Tribes to support operation of their ongoing UIC programs including: the development and maintenance of UIC regulations; the development and maintenance of inventories of injection systems; the development and maintenance of databases housing compliance information on underground injection wells activities; the implementation of UIC permitting activities; and the implementation of enforcement programs to ensure that underground sources of drinking water are protected from endangering injection activities. Fiscal Year 2011: This program provides funding support to states, territories, and tribes that have delegated primary enforcement authority pursuant to the SDWA amendments of 1986. The grant funds are used by the States, Territories, and Tribes to support operation of their ongoing UIC programs including: the development and maintenance of UIC regulations; the development and maintenance of inventories of injection systems; the development and maintenance of databases housing compliance information on underground injection wells activities; the implementation of UIC permitting activities; and the implementation of enforcement programs to ensure that underground sources of drinking water are protected from endangering injection activities. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants for State Underground Water Source Protection Programs (40 CFR 35); General Grant Regulations and Procedures (40 CFR Part 30).

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Ann Codrington, Prevention Branch, Drinking Water Protection Division, Office of Ground Water and Drinking Water, Office of Water (4606M), Environmental Protection Agency, 1200 Pennsylvania Avenue, NW., Washington, District of Columbia 20460 Email: [codrington.ann@epa.gov](mailto:codrington.ann@epa.gov) Phone: (202) 564-4688.

**Website Address:**

<http://www.epa.gov/safewater/uic/grants.html>

**RELATED PROGRAMS:**

66.432 State Public Water System Supervision

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grant funds are used by the States for such purposes as State regulation review, program plan developments, data management, inventory of injection facilities, public participation, technical assistance and review, permit approval and enforcement, and surveillance and investigation. Fiscal Year

2011: Grant funds are used by the States for such purposes as State regulation review, program plan developments, data management, inventory of injection facilities, public participation, technical assistance and review, permit approval and enforcement, and surveillance and investigation. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Adequacy of State's annual program plan for an enforceable underground injection control program; (2) compliance with requirements of 40 CFR 30 and 35, and Executive Order No. 12367 (Revised); (3) designation of a State agency to receive the grant and be responsible for coordinating the underground water source protection program; and (4) evidence that Federal grant funds will not supplant the State's nonfederal funding committed to underground water source protection efforts. For Indian Tribes: (1) demonstration of Tribal adequacy; and (2) demonstration of the tribe's intent, adequate legal authority, and resources to implement specific program elements outlined in 40 CFR 144, 145, 146, and 148.

**66.436 SURVEYS, STUDIES, INVESTIGATIONS, DEMONSTRATIONS, AND TRAINING GRANTS AND COOPERATIVE AGREEMENTS - SECTION 104(B)(3) OF THE CLEAN WATER ACT FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 95-217, 33 U.S.C 1251; National Environmental Policy Act, Section 102(2)(F).

**OBJECTIVES:**

To support the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution.

Funding Priority - Fiscal Year 2011: Funding priorities include, but are not limited to training, surveys, studies, investigations, and demonstration projects to support water quality improvement, watershed planning and management, nonpoint source planning, wetlands protection, coastal and estuarine planning, treatment technologies, water efficiency, and environmental management systems.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs in approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. The funds will support conducting and promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S. (including

the District of Columbia); public and private universities and colleges; hospitals; laboratories; public or private nonprofit institutions; intertribal consortia; and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. An intertribal consortium must meet the definition of eligibility in the Environmental Program Grants for Tribes Final Rule, at 40 CFR 35.504 (66 FR 3782, January 16, 2001) (FRL-6929-5) and be a non-profit organization within the meaning of OMB Circular A-122. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and individuals.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting surveys, studies, and investigations based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal

Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$2,499,565; FY 11 est \$1,500,000; and FY 12 est \$1,500,000

**Range and Average of Financial Assistance:**

\$10,000 to \$580,000/fiscal year; \$295,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will typically include the number of anticipated awards. In FY 10, EPA funded 20 projects to support training, surveys, studies, investigations, and demonstrations for water quality

improvement, watershed planning and management, nonpoint source planning, wetlands protection, coastal and estuarine planning, treatment technologies, water efficiency, and environmental management systems. Fiscal Year 2011: Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will typically include the number of anticipated awards. In FY 11, EPA will continue to support training, surveys, studies, investigations, and demonstration projects that protect and improve water quality on a watershed basis. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, investigations, demonstrations, and training grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

See Regional Agency Offices. For information on grant applications and procedures, contact:

Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460. For program information contact: Office of Wetlands, Oceans and Watersheds, Connie Cahanap, Phone: (202) 566-1382; FAX: (202) 566-1147; e-mail: cahanap.concepcion@epa.gov. Office of Wastewater Management, Barry Benroth, Phone: (202) 564-0672; FAX: (202) 501-2397; e-mail: benroth.barry@epa.gov. Office of Science and Technology, Agnes Ortiz, Phone: (202) 566-1303; FAX: (202) 566-0441; e-mail: ortiz.agnes@epa.gov.

**Headquarters Office:**

Kimberley Davis Environmental Protection Agency  
Office of Water  
1200 Pennsylvania Avenue, N. W. (4101M)  
, Washington, District of Columbia 20460 Email:  
roy-davis.kimberley@epa.gov Phone: (202) 564-4633

**Website Address:**

<http://www.epa.gov/ow>

**RELATED PROGRAMS:**

66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Development of innovative watershed education tools, development of wetland protection guides for local communities, demonstration projects for watershed management, and training on environmental management systems. Fiscal Year 2011: Development of innovative watershed education tools, development of wetland protection guides for local communities, demonstration projects for watershed management, and training on environmental management systems. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Competitive applications and proposals will be selected in accordance with announced criteria.

**66.437 LONG ISLAND SOUND PROGRAM**

Long Island Sound Study (LISS)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 119(d).

**OBJECTIVES:**

To (1) implement the Long Island Sound Study (LISS) Comprehensive

Conservation and Management Plan (CCMP) and (2) assist the states of Connecticut and New York, and other public or nonprofit entities in conducting research, experiments, investigations, training, demonstration, surveys, or studies related to reducing pollution and improving the quality of the environment to sustain living resources in Long Island Sound.

Funding Priority - Fiscal Year 2011: EPA's funding priority is to award grants that support the Long Island Sound Study (LISS) National Estuary Program. Section 119(d) of the Clean Water Act as amended by the Long Island Sound Restoration Act of 2000, P.L. 106-457 authorizes the Administrator to award grants to eligible entities to implement the LISS Comprehensive Conservation and Management Plan (CCMP), with special emphasis on implementation, research and planning, enforcement, and citizen involvement and education projects. The LISS management conference, with participants from state, interstate and regional environmental agencies, local governments and other public or nonprofit private agencies, research institutions and individuals, develops programs to protect and restore Long Island Sound. The LISS program characterizes the problems in the estuary, determines relationships between pollutant loading and impacts on living resources, maintains a comprehensive plan recommending solutions to priority problems, and implements actions addressing priority problem areas. Activities in FY11 will focus on six areas identified in the plan as requiring special attention, including: the impact of hypoxia on aquatic life, effects of toxic contamination, pathogen contamination and floatable debris pollution on the living resources and environment of the Sound, the impact of habitat degradation on the health of living resources, land use and development policies and their effect on the ecology, and scientific research in support of these areas as appropriate.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to implement elements of the LISS CCMP. Special emphasis shall be give to CCMP implementation projects, research and planning, enforcement, and citizen involvement and education projects. The Administrator may give priority to a distressed community as defined in 33 USC 1269(e)(1). Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:  
<http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State, interstate, and regional water pollution control agencies, and other public or nonprofit private agencies, institutions, and organizations are eligible. Private profit-making entities, and individuals, are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Assistance under this program generally benefits state, interstate, and regional water pollution control agencies and other public or nonprofit private agencies, institutions, and organizations. The general public and Long Island Sound user groups such as swimmers, beach goers, sport and commercial fishermen, boaters, and shellfishes, benefit from the results of the program through cleaner water, restored and protected habitat, and preserved and enhanced ecosystems.

**Credentials/Documentation:**

Nonprofit private agencies, institutions and organizations may be required to provide documentation of their organizational status upon application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The EPA Long Island Sound Office (LISO) issues annual guidance on the form and content of pre-proposals. All pre-proposals or work statements should be consistent with LISO's guidance. Consultation or technical assistance may be available upon request from the LISO to aid applicants is preparing their pre-proposal. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An environmental impact statement or environmental impact assessment is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The EPA LISO annually releases a request for base program pre-proposals in the Fall. Pre-proposals are due to the LISO generally by early January or as specified in guidance. The LISS management committee reviews pre-proposals in late January to identify areas of concern and to request additional information or clarification on proposals through the LISO. The LISO coordinates review of pre-proposals among the several LISS technical work groups and teams to ensure consistency with program goals and objectives as outlined in the CCMP and other priorities as directed by the management committee. If necessary, applicants are contacted by the LISO to provide the additional information or clarification. The LISO coordinates review of the revised proposals and develops funding recommendations for the management committee's consideration in April. The management committee makes final recommendations on funding pre-proposals at that time, or as otherwise specified. Applicants are advised of the status of their request by the LISO within 30 days of the management committee's final decisions. Successful applicants are required to submit formal grant applications using the standard federal grant application forms. The deadline for submitting applications may vary by EPA Region, but is generally June 1. Applications not received by the deadline are not further considered for funding. Unallocated funds are carried over or otherwise used to further the purposes of this program at the discretion of the management committee. Federal grant application forms may be obtained on the EPA website, <http://www.epa.gov/ogd/AppKit/index.htm> or requested from either the EPA Region I or II grants management office as follows: for Connecticut, EPA Region I, Grants Management Office, 5 Post Office Square, Boston, MA 02109; for New York, EPA Region II, Grants and Contracts Management Branch, 290 Broadway, New York, NY 10007-1866. The standard federal grant application forms as required by OMB Circular No. A-102 must be used for this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The completed grant application should be submitted to the appropriate EPA Regional grants management office, with a copy to the LISO to assist with processing.

**Award Procedure:**

Each federal assistance application and final work plan will be evaluated by the LISO to determine the adequacy of the application under LISS priorities and objectives, including technical merit and relevance of the project to the implementation of the CCMP and for consistency with the pre-application proposal. Each federal assistance award application will also be subject to an administrative review by the EPA Region I or II grants management office as appropriate. Funds are awarded by the EPA Region I or II Administrator as appropriate. Grantees will receive a final assistance award package from the appropriate EPA Regional grants management office that must be accepted and signed by an authorized official of the recipient organization and returned to the GMO as specified in the EPA award document. Awards may be made on an advance or reimbursement basis. Awards that are not signed and returned by the deadline specified in the assistance award document may be subject to cancellation. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms,

conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification of action on pre-proposals is provided approximately 120 days after deadline for pre-proposal submission. Final grantees are notified of approval approximately 90 days after the submission of the application for federal assistance.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval of EPA.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Federal costs for citizen involvement and education grants shall not exceed 95 percent of the costs of such work; for all other grants and cooperative agreements, federal costs shall not exceed 50 percent of the research, studies, or work. EPA has determined that annual matching requirements for LISS grant awards shall be met in the aggregate for all funds awarded as specified in the approved annual work plan.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are generally made for a one-year period corresponding to the federal fiscal year, October-September. Awards may be made for longer periods upon justification and with the approval of EPA. Awards may be made by advance or reimbursement at the discretion of EPA. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements require semi-annual and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related

records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$7,000,000; FY 11 est \$5,222,000; and FY 12 est \$3,000,000

**Range and Average of Financial Assistance:**

\$20,000 to \$500,000/fiscal year; \$50,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Long Island Sound Office (LISO) holds competitions throughout the year based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the announcement issued. The announcement includes the number of anticipated awards. In FY 10, nine awards were made totaling \$6,467,263. In FY 10, the LIS program reduced the areal extent of the hypoxic event in Long Island Sound from a pre-TMDL 13-year average of 208 square miles to a post-TMDL 11 year average of 179 square miles; restored or protected 1,361 acres of coastal habitat; and reopened 13 river miles to anadromous fish passage. Fiscal Year 2011: The Long Island Sound Office (LISO) holds competitions throughout the year based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the announcement issued. The announcement includes the number of anticipated awards. FY 11 data is not yet available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

LISS grants and cooperative agreements are subject to EPA's General Grant Regulations, 40 CFR Part 35, 40 CFR Part 30, or 40 CFR Part 31; annual EPA Office of Water National Estuaries Program guidance; the LISS CCMP, and Long Island Sound 2003 or successor Agreement.

**Regional or Local Office:**

See Regional Agency Offices. USEPA Long Island Sound Office, Government Center, 888 Washington Boulevard, Suite 9-11, Stamford, Connecticut 06904; Telephone, (203) 977-1541; FAX, (203) 977-1546. Attention: Mark Tedesco. E-mail: tedesco.mark@epa.gov.

**Headquarters Office:**

Paul Cough USEPA Office of Water; Office of Wetlands, Oceans and Watersheds; Oceans and Coastal Protection Division; USEPA West, 1301 Pennsylvania Avenue, NW, Washington, District of Columbia 20004 Email: cough.paul@epa.gov Phone: (202) 566-1200

**Website Address:**

<http://www.epa.gov/region01/eco/lis>

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention; 10.914 Wildlife Habitat Incentive Program; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 15.608 Fish and Wildlife Management Assistance; 15.611 Wildlife Restoration; 15.614 Coastal Wetlands Planning, Protection and Restoration Act; 15.615 Cooperative Endangered Species Conservation Fund; 15.616 Clean Vessel Act; 15.630 Coastal Program; 66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.456 National Estuary Program; 66.460 Nonpoint Source Implementation Grants; 66.463 Water Quality Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants and cooperative agreements awarded to states and local governments, colleges, universities, interstate agencies and nonprofit organizations are for nonpoint source implementation, scientific research, water quality monitoring and modeling, public education and outreach, living resources management, habitat restoration and program support. Examples are listed as follows: (1) Hypoxia: sustain and accelerate efforts to meet the LISS nutrient reduction goals in the nitrogen Total Maximum Daily Load to attain water quality conditions necessary to support the living resources of the Sound; (2) Habitat Restoration: restore and protect living resources, their habitats and ecological relationships; (3) Water Quality Monitoring: collect water quality samples at monitoring stations in Long Island Sound and interpret data on Long

Island Sound and embayments. (4) Communication/Outreach: Provide communication, outreach and education components of the LISS partnership; (5) Modeling: develop, calibrate, and manage the application of linked airshed-watershed-estuarine hydrodynamic-water quality-living resources models to support the LISS for understanding the nutrient and sediment affects in the Long Island Sound estuary system and (6) Research: investigate causes and effects of eutrophication on water quality and living marine resources; study factors affecting abundance and distribution of submerged aquatic vegetation, food web dynamics, and tidal wetland loss. Fiscal Year 2011: Grants and cooperative agreements awarded to states and local governments, colleges, universities, interstate agencies and nonprofit organizations are for nonpoint source implementation, scientific research, water quality monitoring and modeling, public education and outreach, living resources management, habitat restoration and program support. Examples are listed as follows: (1) Hypoxia: sustain and accelerate efforts to meet the LISS nutrient reduction goals in the nitrogen Total Maximum Daily Load to attain water quality conditions necessary to support the living resources of the Sound; (2) Habitat Restoration: restore and protect living resources, their habitats and ecological relationships; (3) Water Quality Monitoring: collect water quality samples at monitoring stations in Long Island Sound and interpret data on Long Island Sound and embayments. (4) Communication/Outreach: Provide communication, outreach and education components of the LISS partnership; (5) Modeling: develop, calibrate, and manage the application of linked airshed-watershed-estuarine hydrodynamic-water quality-living resources models to support the LISS for understanding the nutrient and sediment affects in the Long Island Sound estuary system and (6) Research: investigate causes and effects of eutrophication on water quality and living marine resources; study factors affecting abundance and distribution of submerged aquatic vegetation, food web dynamics, and tidal wetland loss. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.439 TARGETED WATERSHEDS GRANTS**

##### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

##### **AUTHORIZATION:**

Consolidated Appropriations Act 2005, Public Law 108-447; Dept. of Interior, Environmental and Related Agencies Appropriations Act, 2006, Public Law 109-54; Continuing Appropriations Resolution 2007, Public Law 110-5; Consolidated Appropriations Act 2008, Public Law 110-161.

##### **OBJECTIVES:**

To support innovative, community-based watershed approaches aimed at preventing, reducing, or eliminating water pollution. The Targeted Watersheds Grant Program provides resources in the form of grants or cooperative agreements to support watershed organizations in their efforts to expand and improve existing water protection measures. In separate competitive announcements funds are awarded to assist watershed partnerships comprised of State, Tribal, local, and interstate agencies, and public or nonprofit organizations in developing, implementing, and demonstrating: 1) on-the-ground projects to improve or maintain water quality; and 2) organizational and technical capacity building projects to prime organizations to be in a position to implement on-the-ground watershed projects.

Funding Priority - Fiscal Year 2011: To build upon the existing activities of watershed organizations to engage communities in capacity building activities to foster an increased connection, understanding, and ownership of their waters.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

Funds are used to support both on-the-ground and educational activities relating to the prevention, reduction, and elimination of water pollution. Funds are awarded to eligible entities that best meet the selection criteria described in the Request for Proposals. Successful candidates will have a thorough knowledge of their watershed, have a watershed management plan in place, propose a

specific project to address identified problems or barriers to water quality, demonstrate broad-based support from a number of public and private entities, and have a demonstrated record of managing watershed project(s). Eligible activities should be able to show tangible outputs and outcomes within a relatively short time period of two to five years. For implementation grants, candidates must also have a specific water quality monitoring and evaluation plan demonstrating measurable environmental outputs and outcomes, and a strong peer and/or public outreach and education component. EPA has chosen to declare certain projects or activities ineligible for funding. These include activities required or regulated under the CWA. For example, activities for the development of Total Maximum Daily Loads (TMDLs) and Phase II Stormwater projects will not be funded. Activities implementing the non-regulatory component of TMDLs (e.g., the elements of a watershed plan that address non-point source pollution), however, are eligible. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

##### **Applicant Eligibility:**

States, local governments, public and private nonprofit institutions/organizations, federally recognized Indian tribal governments, U.S. territories or possessions, and interstate agencies are eligible. For-profit commercial entities and all federal agencies are ineligible. Nonprofit organizations described in Section 501 (c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

##### **Beneficiary Eligibility:**

Anyone/General Public.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be required to submit a formal grant application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the



Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Regional or Headquarters review will typically be completed within approximately 120 - 150 days following the deadline for submissions.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Applicants are required to demonstrate a minimum non-federal match of 25% of the total cost of the project or projects. Match may be cash or in-kind consistent with the regulation governing match requirements (40 CFR 31.24 or 40 CFR 30.23). Tribes and tribal watershed groups may be exempt from this match requirement if they are constrained to such an extent that fulfilling the match requirement would impose undue economic hardship. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the

final expenditure report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,827,200; FY 11 est \$883,660; and FY 12 est \$0 - National Targeted Watersheds Grants Program: FY 10 \$2,827,200; FY 11 est. \$0; and FY 12 est. \$0. Western Estuaries Initiative: FY 10 \$0; FY 11 est. \$283,660; and FY 12 est. \$0. Urban Waters Initiative: FY 11 \$600,000; and FY 12 est. \$0.

**Range and Average of Financial Assistance:**

National Targeted Watersheds Grant Program: \$400,000 to \$900,000/fiscal year; \$650,000/fiscal year.

Western Estuaries Initiative: \$90,000 to \$280,000/fiscal year; \$185,000/fiscal year.

Urban Waters Initiative: \$600,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Targeted Watersheds Grant program builds on the successes of existing partnerships that are ready to implement actions to protect critical watersheds. In the next few years, EPA will see environmental results such as the return of native fish species, clearer lakes, and increased recreational opportunities. EPA issued a competitive announcement in FY 10 to engage communities in capacity building activities to foster an increased connection, understanding, and ownership of their waters. Fiscal Year 2011: In FY 11, 1 award for \$600,000 was made to establish and manage a national-scale, competitive urban watershed subaward program and provide urban watershed technical services to subawardees. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and agreements with States, local governments and Indian tribal governments, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 CFR Part 35, "Environmental Program Grants-State, Interstate, and Local Governments Agencies" and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102, "Grants and Cooperative Agreements for States and Local Governments." For grants and agreements with other entities the procedures should be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed below. Region I: Connecticut, Maine, Massachusetts, Rhode Island, Vermont, New Hampshire; Contact: Rob Adler telephone 617-918-1396; e-mail [adler.robert@epa.gov](mailto:adler.robert@epa.gov). Region II: New Jersey, New York, Puerto Rico, U.S. Virgin Islands; Contact: Cyndy Kopitsky, telephone 212-637-3832; e-mail [kopitsky.cyndy@epa.gov](mailto:kopitsky.cyndy@epa.gov). Region III: Delaware, Maryland, Pennsylvania, Virginia, West Virginia, Washington, DC; Contact: Contact: Bob Runowski, telephone 215-814-5385, email: [runowski.bob@epa.gov](mailto:runowski.bob@epa.gov) or Ralph Spagnolo, telephone 215-814-2718; e-mail [spagnolo.ralph@epa.gov](mailto:spagnolo.ralph@epa.gov). Region IV: Alabama, Florida, Georgia, Mississippi, North Carolina, South Carolina, Kentucky, Tennessee; Contact: Christine McKay, telephone 404-562-9412; e-mail [mckay.christine@epa.gov](mailto:mckay.christine@epa.gov). Region V: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin; Contact: Paul Thomas, telephone 312-886-7742; e-mail [thomas.paul@epa.gov](mailto:thomas.paul@epa.gov). Region VI: Louisiana, Texas, Oklahoma, Arkansas, New Mexico; Contact: Brad Lamb, telephone 214-665-6683; e-mail [lamb.brad@epa.gov](mailto:lamb.brad@epa.gov). Region VII: Iowa, Kansas, Missouri, Nebraska; Contact: Mandy Whitsitt, telephone 913-551-7311; e-mail [whitsitt.mandy@epa.gov](mailto:whitsitt.mandy@epa.gov). Region VIII: Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming; Contact: Stacey Eriksen, telephone 303-312-6692, e-mail [eriksen.stacey@epa.gov](mailto:eriksen.stacey@epa.gov). Region IX: Arizona, California, Hawaii, Nevada, American Samoa, Mariana Islands, Guam; Contact: Ephraim Leon-Guererro, telephone 415-972-3444; e-mail [leon-guererro.ephraim@epa.gov](mailto:leon-guererro.ephraim@epa.gov). Region X:

Alaska, Idaho, Oregon, Washington; Contact: Bevin Horn, telephone 206-553-1566; e-mail horn.bevin@epa.gov.

**Headquarters Office:**

Felicia Palmer-Greene Office of Wetlands, Oceans, and Watersheds, U.S. EPA, Room 7410, EPA West, 1200 Pennsylvania Avenue NW., Washington, District of Columbia 20460 Email: Palmer-Greene.Felicia@epa.gov Phone: 202-564-5382

**Website Address:**

<http://www.epa.gov/twg>

**RELATED PROGRAMS:**

66.119 West Coast Estuaries Initiative; 66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants and cooperative agreements have been awarded to watershed organizations for watershed restoration and protection projects, such as implementing agricultural best practices, conducting streambank restoration, establishing pollutant credits, and demonstrating innovative nutrient management schemes. All proposals that have been funded are available at <http://www.epa.gov/twg>. Fiscal Year 2011: A cooperative agreement was awarded to a watershed organization to engage communities in capacity building activities to foster an increased connection, understanding, and ownership of their urban waters. Information is available at <http://www.epa.gov/twg>. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.440 URBAN WATERS SMALL GRANTS**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 95-217, 33 U.S.C 1251; National Environmental Policy Act, U.S.C 102(2)(F).

**OBJECTIVES:**

The objective of EPA's Urban Waters Program is to protect and restore America's urban waterways. EPA's funding priority is to achieve the goals and commitments established in the Agency's Urban Waters Strategic Framework (<http://www.epa.gov/urbanwaters/StrategicFramework.pdf>). This program has an emphasis on engaging communities with environmental justice concerns.

The objective of the Urban Waters Small Grants is to fund projects that will foster a comprehensive understanding of local urban water issues, identify and address these issues at the local level, and educate and empower the community. In particular, the Urban Waters Small Grants seek to help restore and protect urban water quality and revitalize adjacent neighborhoods by engaging communities in activities that increase their connection to, understanding of, and stewardship of local urban waterways.

Funding Priority - Fiscal Year 2011: In Fiscal Year (FY) 2011, EPA's funding priority for Urban Waters Small Grants is to fund projects that improve water quality by conducting or promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Implementation projects are not eligible for funding.

Funding Priority - Fiscal Year 2012: In FY 2012, EPA's funding priority for Urban Waters Small Grants is to fund projects that improve water quality by conducting or promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Implementation projects are not eligible for funding.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs in approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. The funds will support conducting and promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under the Urban Waters Small Grants is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S. (including the District of Columbia), public and private universities and colleges, public or private nonprofit institutions, intertribal consortia, and interstate agencies. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. An intertribal consortium must meet the definition of eligibility in the Environmental Program Grants for Tribes Final Rule, at 40 CFR 35.504 (66 FR 3782, January 16, 2001) (FRL-6929-5) and be a non-profit organization within the meaning of OMB Circular A-122. The OMB Circular A-122 is available at [http://www.whitehouse.gov/omb/circulars\\_a122\\_2004/](http://www.whitehouse.gov/omb/circulars_a122_2004/)

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Residents of urban areas adversely impacted by water pollution, State and local governments, U.S. territories and possessions, Indian Tribes, other public and private nonprofit institutions, intertribal consortia, and interstate agencies.

**Credentials/Documentation:**

EPA may request that applicants demonstrate their eligibility. Documentation of nonprofit status may be required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting surveys, studies, and investigations based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Matching requirements, if any, will be described in the competitive announcement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized

representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$1,800,000; and FY 12 est \$2,000,000 - The actual obligations will not take place until assistance is actually awarded, which is likely to be in FY 2012. Additional funds from the Agency's FY 2012 appropriation may be obligated to this program. The amount of such obligations cannot be determined until the FY 2012 appropriations law has been enacted and signed and the Agency has reviewed its plans in light of the actual appropriation received.

**Range and Average of Financial Assistance:**

Approximately \$40,000 to \$60,000/fiscal year; \$50,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This is a new program. Fiscal Year 2011: Competitions are held based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, investigations, demonstrations, and training grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes (codified at 2 CFR Part 225), OMB Circular No. A-21 for educational institutions (codified at 2 CFR Part 220), and OMB Circular No. A-122 for nonprofit institutions (codified at 2 CFR Part 230).

**Regional or Local Office:**

None.

**Headquarters Office:**

Ji-Sun Yi Office of the Assistant Administrator (Mail Code 4101M), Office of Water, U.S. Environmental Protection Agency, Washington, District of Columbia 20460 Email: [yi.ji-sun@epa.gov](mailto:yi.ji-sun@epa.gov) Phone: (202) 566-0730

**Website Address:**

<http://www.epa.gov/urbanwaters>

**RELATED PROGRAMS:**

66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Competitive applications and proposals will be selected in accordance with announced criteria.

**66.454 WATER QUALITY MANAGEMENT PLANNING**

(205(j)(2)) or 604(b)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Water Quality Act of 1987, Public Law 100-4; Clean Water Act, Section 205(j)&604(b), Public Law 97-117.

**OBJECTIVES:**

To assist States (including territories and the District of Columbia), Regional Public Comprehensive Planning Organizations (RPCPOs), and Interstate Organizations (IOs) in carrying out water quality management (WQM) planning.

Funding Priority - Fiscal Year 2011: Funds are allotted by State in accordance with Section 604(b) of the Clean Water Act. Grant funds are used to determine the nature and extent of point and non-point source water pollution and to develop water quality management plans. States are encouraged to give priority to watershed restoration planning. EPA is requesting States to emphasize a watershed approach in developing their State workplans. This will complement the Agency's overall watershed effort as stated in the Agency's Strategic Plan. Grant funds to determine the nature and extent of point and non-point source water pollution and to develop water quality management plans were also made available under the American Recovery and Reinvestment Act (Recovery Act) of 2009. EPA encouraged States to use Recovery Act funds to conduct appropriate planning activities with regard to green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Section 604(b) funds are awarded under Section 205(j)(2) to State water quality management agencies to carry out WQM planning. Pursuant to Section 205(j)(3) of the CWA, as amended, States are required to allocate at least 40 percent of funds awarded under 205(j)(2) to eligible RPCPOs and IOs. EPA may approve a State's request to pass through less than 40 percent if, after consultation with its RPCPOs and IOs, the Governor determines that pass through of at least 40 percent will not: (1) result in significant participation by RPCPOs and IOs in WQM planning; and (2) significantly assist in development and implementation of the state's WQM plan. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State Water Quality Management Agencies.

**Beneficiary Eligibility:**

State Water Quality Management Agencies.

**Credentials/Documentation:**

Compliance with 40 CFR 31. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Neither environmental impact statements nor environmental impact assessments are required for activities funded under Section 205(j) and 604(b) since these funds are used for water quality planning and not implementation. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The grant application must be submitted to the appropriate EPA Regional Administrator's Office. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office and, if approved, the funds are awarded by the Regional Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 45 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Clean Water Act. Each fiscal year, the Administrator shall reserve under Section 604(b) of the CWA for each State an amount not to exceed one percent of the amount allotted and available for obligation for Clean Water State Revolving Fund or \$100,000, whichever is greater, for the purposes of making grants to the States to carry out water quality management planning. Under Section 205(j)(3), at least 40 percent of a State's annual award under 205(j)(2) must be allocated to eligible RPCPOs and IOs, unless EPA approves a lesser amount. The program has no matching requirements. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As determined in accordance with Section 604(c)(1) of the Clean Water Act (CWA). Sums allotted to a State under this section for a fiscal year shall be available for EPA's obligation to the State during the fiscal year for which sums are authorized and during the following fiscal year. Recovery Act funds are available for EPA's obligation to the State until September 30, 2010. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. For Recovery Act funds, funding reports must be submitted in a prescribed format within 10 calendar days after the end of each calendar quarter, beginning October 10, 2009. These reports will include data elements as prescribed by Public Law 111-5, Section 1512 and OMB Guidance. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records kept for 3 years from date of submission of the annual financial status report. If questions remain, records retained until matter is completely resolved.

**Account Identification:**

68-0102-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 10 \$20,682,000; FY 11 est \$15,419,000; and FY 12 est \$15,500,000 - FY 10 \$20,682,000; FY 11 est. \$15,419,000; FY 12 est. \$15,500,000. Recovery Act funds - FY 10 \$0; FY 11 est. \$0; and FY 12 est. \$0.

**Range and Average of Financial Assistance:**

\$100,000 to \$2,200,000/fiscal year; \$369,321/fiscal year. Recovery Act funds - \$100,000 to \$4,369,100/fiscal year; \$708,786/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Section 604(b) funding provides the financial source for States and territories to pursue water quality planning under Sections 205(j) and 303(e) of the Clean Water Act. This program provides a planning framework to support watershed restoration and protection activities. In FY 10, a total of 56 grants were awarded to States and territories to support water quality planning activities. Outputs included new/updated water quality management plans, new/revised water quality standards, Total Maximum Daily Loads (TMDLs), ambient monitoring data to support water quality assessments, and integrated 304(b)/303(d) reports. Fiscal Year 2011: In FY 11, it is anticipated that 56 State and territorial grants will be awarded to support water quality planning activities. Anticipated outputs include consistency reviews of NPDES Permits, development of Watershed Management plans, river planning projects, and Total Maximum Daily Loads (TMDL) plans. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA General Grant Regulations and Procedures, 40 CFR Part 31 and 40 CFR Part 35, Subpart A.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Rebecca Roose Assessment and Watershed Protection Division (4503T), Office of Water, USEPA, 1200 Pennsylvania Avenue, NW., Washington, District of Columbia 20460 Email: roose.rebecca@epa.gov Phone: 202-566-1387

**Website Address:**

<http://www.epa.gov/owow/funding.html>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants are allocated to States for: 1) development of water quality management plans, watershed plans, and waste load allocations for impaired waterbodies; 2) reviews and revisions of water quality standards; and 3) collection and analysis of ambient monitoring data. Fiscal Year 2011: Grants are allocated to States for: 1) development of water quality management plans, watershed plans, and waste load allocations for impaired waterbodies; 2) reviews and revisions of water quality standards; and 3) collection and analysis of ambient monitoring data. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funds are awarded to State agencies in accordance with Sections 205(j) and 303(e) of the Clean Water Act, 40 CFR 130.5-6, and EPA program guidance.

**66.456 NATIONAL ESTUARY PROGRAM**

(NEP)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Title 3, Section 320, Public Law 94-117, 33 U.S.C 466; Clean Water Act, Title 3, Section 320, Public Law 106-457, 33 U.S.C 466.

**OBJECTIVES:**

The National Estuary Program (NEP) goal is to protect and restore the water quality and estuarine resources of estuaries and associated watersheds designated by the EPA Administrator as estuaries of national significance. The NEPs work to implement estuarine ecosystem-based management; for example, each NEP characterizes the priority problems in its estuary and surrounding watershed, develops a Comprehensive Conservation and Management Plan listing and describing actions to address those problems, and identifies partners, including lead entities, to implement the actions. Actions include: protecting and restoring habitat, including wetlands; supporting Total Maximum Daily Load (TMDL) plan implementation; monitoring for and assessing the extent of toxics and pathogen contamination; implementing stormwater management and reducing non-point source pollution impacts; preventing the spread of aquatic invasive species and/or managing their impacts; developing and implementing nutrient reduction strategies; developing and implementing climate change adaptation strategies and tools; and developing and implementing strategies to provide opportunities for residents of urban minority and/or under-served communities to have greater access to urban waters, participate in urban ecosystem restoration, and participate in capacity-building/educational activities.

Funding Priority - Fiscal Year 2011: EPA's funding priority is to award assistance agreements that support the 28 National Estuary Programs (NEPs) efforts to address their estuarine watersheds priority problems identified in each of the 28 long-term management plans known as Comprehensive Conservation and Management Plans (CCMPs). EPA will provide focused support for NEPs to address priority problems identified by NEP management conferences, and document accomplishments and environmental results. NEP efforts address such problems as: (1) impacts of stormwater runoff on estuarine water quality; impacts include excess nutrient loading to water bodies which can result in nutrient over-enrichment and hypoxic conditions, and excess sedimentation; (2) habitat loss/degradation; (3) impacts on water quality and living resources from toxic chemical, heavy metal, and pathogen contamination; (4) need to build the capacity of local public officials and managers in estuarine communities to implement sustainable land use, green infrastructure, and low-impact development best practices; (5) need to build local capacity to control and manage aquatic invasive species impacts on ecosystems, public health, and economic well-being; and (6) need to build Tribal, regional, and local officials capacity to address climate change impacts on estuarine watersheds and promote community resilience; activities that build capacity include vulnerability assessments of communities, and local development and implementation of climate adaptation strategies and programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Section 320 authorizes issuance of assistance agreements used to meet Section 320 requirements to develop and implement CCMPs. Annual workplans, which address priority actions in the CCMPs, lay out projects to be undertaken during the fiscal year. They are developed and approved by each management conference. Twenty-eight estuaries have been designated as estuaries of national significance, including: Long Island Sound, Puget Sound, Buzzards Bay, Narragansett Bay, New York-New Jersey Harbor, Delaware Bay, Delaware Inland Bays, Sarasota Bay, Galveston Bay, Santa Monica Bay, Albemarle-Pamlico Sounds, San Francisco Estuary, Casco Bay, Massachusetts Bays, Indian River Lagoon, Tampa Bay, Peconic Bay, San Juan Bay, Coastal Bend Bays, Tillamook Bay, the Barataria-Terrebonne Estuarine Complex, New Hampshire Estuaries, Barnegat Bay, Maryland Coastal Bays, Charlotte Harbor, Mobile Bay, Morro Bay, and Columbia River Estuary. NEPs and their partners carry out such actions as: (1) protecting and restoring habitat; (2) identifying

research needs and conducting research as needed to obtain new data to address priority problems; (3) monitoring estuarine conditions to detect changes in water quality; and (4) providing technical assistance to States and local communities to address impacts from nutrient over-enrichment, stormwater, sedimentation, toxics, pathogens, and aquatic invasive species and to develop climate change adaptation strategies and tools. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance agreements are issued only to those estuaries designated by the Administrator. The Administrator is authorized to make grants to State, interstate, and regional water pollution control agencies and entities; State coastal zone management agencies; interstate agencies; and other public and private nonprofit agencies, institutions, organizations, and individuals (Section 320(g)(1)). Profit making organizations are not eligible for grants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication assistance may be obtained from the appropriate EPA Regional Office. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. All work plans should be developed in response to the priority tasks identified in the management conference annual work plan. Work plans should also be developed in response to negotiated schedules for commitments to meet the purpose of a management conference outlined in the Act for the estuary. Each work plan will be considered by the appropriate management conference and the EPA Regional program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). The completed application, including the final proposal approved by the estuary management committee,

should be submitted to the appropriate Regional program office for processing. This program is subject to the provisions of OMB circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each application is reviewed by EPA Regional Offices to determine the adequacy of the application under grant regulations and National Estuary Program objectives, including technical merit and relevance of the project. Awards are issued by the EPA Regional Offices after approval by the appropriate Division Director. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval of the individual estuary management organization. Contact the appropriate EPA Regional office for guidance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Public Law 106-457, which amended Section 320(g) of the Water Quality Act of 1987, limits the amount of grants to 75 percent of the aggregate CCMP development project costs for each estuary program and to 50 percent of the aggregate CCMP implementation project costs for each estuary program, and requires that the nonfederal share be provided from nonfederal sources. The nonfederal share can be contributed by any of the participants in the management conference. Contact the appropriate management conference program office or EPA Regional Office for more information.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are typically funded on a 12-month basis (yearly). Project period may cover up to 36 months, with continuations possible for certain types of projects. Payments will be on a letter of credit or advance basis. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$20,541,900; FY 11 est \$27,233,000; and FY 12 est \$17,117,000

**Range and Average of Financial Assistance:**

For FY 10, each of the NEPs received base funding in the amount of \$800,000. For FY 11, each of the NEPs will receive base funding in the amount of \$598,800.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Maintaining high-quality habitat is one way of ensuring the health of the nation's estuaries. Since 2000, the NEPs and their partners have protected and restored over 1.3 million acres of habitat in the 28 NEP estuarine watersheds. The acreage protected and restored by the NEPs and their partners enhances the 28 NEPs capacity to support healthy populations of wildlife and near-coastal and marine organisms, including many commercially-valuable shellfish and finfish. That acreage also enhances the 28 estuarine watersheds capacity to support the economic and ecosystem services and aesthetic qualities provided by estuarine environments and on which coastal populations depend for their livelihoods and well-being. In FY 10, the NEPs and their partners protected and restored over 89,000 acres of estuarine habitat in their estuarine watersheds. Fiscal Year 2011: In FY 11, grants will support the NEPs CCMP implementation by funding NEP efforts that include: protecting and restoring up to 100,000 acres of estuarine habitat; conducting vulnerability assessments and/or implementing climate adaptation strategies in over 50% of NEP study areas and collaborating with other EPA programs and with agencies like the National Oceanographic and Atmospheric Administration to build Tribal, regional, and local coastal community resilience to impacts of climate change on coastal ecosystems, public health, and economies; participating in major federal - non-federal assessments of the causes of coastal wetland loss, results of which will lay a foundation for development of science-based strategies to protect wetlands; building local capacity to reach out to and involve members of urban communities who have typically not been actively engaged in urban water body protection and restoration. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR 30 and 40 CFR 31). Federal Register, Vol. 59, 61124, November 29, 1994, Technical Amendment Financial Assistance Requirements for the National Estuary Program (40 CFR Part 35). Saving Bays and Estuaries, a Primer for Establishing and Managing Estuary Projects, EPA/503/8-89-001, is available from the Oceans and Coastal Protection Division, Office of Wetlands, Oceans, and Watersheds (4504T) EPA, 1200 Pennsylvania Ave., NW., Washington, DC 20460. Forms and instructions for filing are included in an application kit available from the Grants and Interagency Agreements Management Division(3903R), Office of Grants and Debarment, EPA, 1200 Pennsylvania Ave., N.W., Washington, DC. 20460.

**Regional or Local Office:**

See Regional Agency Offices. Office of Ecosystem Protection, EPA, Region I, 1 Congress Street, Boston, MA 02114-2023; Telephone:(617) 918-1511. Division of Environmental Planning and Protection, EPA, Region II, 290 Broadway, New York, NY 10007-1866; Telephone:(212) 637-3724. Water Protection Division, EPA, Region III, 1650 Arch Street, Philadelphia, PA

191103-2029; Telephone:(215)814-2989. Water Management Division, EPA, Region IV, 61 Forsyth St., S.W., Atlanta, GA 30303; Telephone:(404) 562-9345. Water Quality Protection Division, EPA, Region VI, 1445 Ross Ave., Dallas, TX 75202-2733; Telephone:(214) 665-7101. Water Division, EPA, Region IX,75 Hawthorne Street, San Francisco, CA 94105; Telephone: (415)744-1860. Office of Ecosystems, Tribal, and Public Affairs; and Office of Water & Watersheds, EPA Region X, 1200 Sixth Ave., Seattle, WA 98101; Telephone:(206) 553-4181.

**Headquarters Office:**

Bernice L. Smith, Coastal Management Branch (4504T), Oceans and Coastal Protection Division, Office of Wetlands, Oceans, and Watersheds, EPA, Washington, District of Columbia 20460 Email: smith.bernicel@epa.gov Phone: (202) 566-1244.

**Website Address:**

<http://www.epa.gov/owow/estuaries/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.458 Capitalization Grants for Clean Water State Revolving Funds; 66.461 Regional Wetland Program Development Grants; 66.463 Water Quality Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Assistance agreements awarded to States, interstate agencies, academic institutions and other nonprofit organizations to: (1) conduct water quality monitoring and assessment, (2) protect and restore habitat, (3) develop and implement climate change adaptation strategies, (4) conduct applied research on problems like habitat loss and seasonal algal blooms, (5) implement public education and outreach programs, (6) revise CCMPs to reflect new priorities, (7) develop annual action plans, design and maintain CCMP implementation tracking and reporting systems, and (8) evaluate and report on CCMP implementation progress and environmental results. Fiscal Year 2011: Assistance agreements awarded to States, interstate agencies, academic institutions and other nonprofit organizations to: (1) conduct water quality monitoring and assessment; (2) protect and restore habitat and living resources by implementing local stormwater management programs, eradicating invasive species, removing dams that obstruct fish passage, and providing technical assistance on low-impact development practices that reduce sediment loadings to water bodies; (3) conduct climate change vulnerability assessments and develop and implement climate adaptation strategies; (4) reduce nutrient loadings to estuarine water bodies; (5) revise CCMPs to reflect new priorities; (6) develop annual work plans and design and maintain systems to track and report on priority action implementation, deliverables, and environmental results; and (7) evaluate and report on CCMP implementation progress and environmental results. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Grants are awarded to the NEPs that satisfy the requirements outlined in the application procedure section.

**66.458 CAPITALIZATION GRANTS FOR CLEAN WATER STATE REVOLVING FUNDS**

(CW State Revolving Fund)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Water Quality Act of 1987, Section 601-607,205(m), Public Law 100-4; Clean Water Act (CWA), as amended, Public Law 95-217.

**OBJECTIVES:**

To create State Revolving Funds (SRFs) through a program of capitalization grants to States which will provide a long term source of State financing for construction of wastewater treatment facilities and implementation of other water quality management activities.

Funding Priority - Fiscal Year 2011: Capitalization grants are available to each

State for the purpose of establishing a Clean Water SRF for providing assistance for: (1) construction of publicly owned wastewater treatment works; (2) implementing nonpoint source management activities included in State Plans developed pursuant to Section 319; and (3) developing and implementing an estuary comprehensive conservation and management plan under Section 320. The capitalization grant is deposited in the State's SRF, which is used to provide loans and other types of financial assistance, to local communities and intermunicipal and interstate agencies. Up to 4 percent of the grant amounts may be used by the States for the cost of administering the SRF. States determine priorities for funding within their State in accordance with the CWA. Capitalization grants to each State were also made available under the American Recovery and Reinvestment Act (Recovery Act) of 2009. A portion of the Recovery Act funding were targeted toward green infrastructure, water and energy efficiency, and environmentally innovative projects. Similar to the Recovery Act, a portion of the FY 2011 funding must be targeted toward green infrastructure, water and energy efficiency, and environmentally innovative projects. The program supports the Agency's strategic goal of ensuring Clean and Safe Water.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Capitalization grants are available to each State for the purpose of establishing a Clean Water SRF for providing assistance for: (1) construction of publicly owned wastewater treatment works; (2) implementing nonpoint source management activities included in State Plans developed pursuant to Section 319; and (3) developing and implementing an estuary conservation and management plan under Section 320. The capitalization grant is deposited in the state's SRF, which is used to provide loans and other types of financial assistance, but not grants, to local communities and intermunicipal and interstate agencies. Assistance may be provided to persons for implementing nonpoint source and estuary management activities provided for in State Plans developed under Sections 319 and 320. Up to 4 percent of the grant amounts may be used by the states for the cost of administering the SRF. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

States and Puerto Rico are eligible to receive capitalization grants under Title VI. Indian tribes are eligible to receive grants from Title VI for the construction of municipal wastewater facilities. The District of Columbia, territories, possessions of the U.S. are eligible to receive grants from Title VI for the construction of municipal wastewater facilities (see CFDA 66.418).

#### **Beneficiary Eligibility:**

For loans and other financial assistance (but not grants) for wastewater treatment facilities: local communities, intermunicipal, State, interstate agencies, and Indian tribes. For nonpoint source management programs and estuary activities in approved State Nonpoint Source Management Programs and Comprehensive Conservation and Management Plans: the public agencies listed above, individuals, and programs.

#### **Credentials/Documentation:**

To receive a capitalization grant, a State shall enter into an agreement with the EPA Regional Administrator which shall include, but not be limited to, the 10 specifications set forth in Section 602(b) of the CWA. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts with State and Local Governments" applies to State grantees. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

An applicant (State) should seek preapplication assistance from the appropriate EPA Regional Office. The State is required to prepare and provide for public comment a plan identifying the intended uses of the funds in the SRF (an intended use plan) and how those uses support the goals of the SRF. The plan is to be submitted no later than the application. An environmental impact statement is not required prior to grant award; however, a State environmental review process must be applied to all subsequent state assistance for wastewater facilities. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application for EPA non-construction grant assistance (SF424-A and B) is submitted to the appropriate EPA Regional Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The State must certify in its application that it has the legal, managerial, technical, and operational capabilities to administer the SRF program competently and that it will comply with Federal anti-discrimination laws and other applicable Federal statutes. Regulation 40 CFR Part 31 applies to the State. Establishment of the SRF is a prerequisite for a grant award.

#### **Award Procedure:**

A grant application is reviewed by the appropriate Regional Office and, if approved, the grant is awarded by the Regional Administrator under a delegation of authority from the Administrator of EPA.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approval time averages 45 days.

#### **Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

For those portions of the State program that do not change from year to year, a subsequent grant application may incorporate by reference relevant portions of the previous year's application which have not changed or an operating agreement approved by the region.

#### **Formula and Matching Requirements:**

Statutory Formula: Title Clean Water Act.

Matching Requirements: The Regional Administrator may award capitalization grants from funds appropriated for this purpose. Allotments to the States are determined by a table of decimal fractions ("formula") in Section 205(c)(3) of the CWA. The required State match is 20 percent of the amount of each Federal grant payment. For Recovery Act funds, the required State match of 20 percent of the amount of each Federal grant payment is waived. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Funds are available for EPA's obligation to the State during the fiscal year in which they are allotted and during the following year. Recovery Act funds are available for EPA's obligation to the State until September 30, 2010. The State must agree to enter into binding commitments with recipients to provide financial assistance from the SRF in an amount equal to 120 percent of each quarterly grant payment. The State is also required to agree to expend all funds in the SRF in an expeditious and timely manner. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

#### **Reports:**

Beginning the first fiscal year after receiving payments, the State shall provide an annual report to the Regional Administrator in accordance with the schedule established in the grant agreement (generally not later than 90 days after the end



of the fiscal year in which the payments were received). The annual report shall describe how the State has met the goals and objectives for the preceding fiscal year, as identified in its intended use plan, including identification of loan recipients, loan amounts, and loan terms and similar details on other forms of financial assistance provided from the SRF. For Recovery Act funds, funding reports must be submitted in a prescribed format within 10 calendar days after the end of each calendar quarter, beginning October 10, 2009. These reports will include data elements as prescribed by Public Law 111-5, Section 1512 and OMB Guidance. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A State must, at a minimum, comply with the provisions of the Single Audit Act Amendments of 1996, and the OMB Circular No. A-133 and Compliance Supplement. States are also encouraged to conduct annual independent audits. State-conducted audits may be performed in conjunction with the Single Audit Act. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

As part of the annual review conducted by the agency to assess the State's performance against activities identified in the intended use plan and annual report, and to determine compliance with the terms of the capitalization grant agreement, the State or loan recipient shall make available to EPA such records as the Regional Administrator reasonably requires to review and determine State compliance with the requirements of the CWA.

**Account Identification:**

68-0103-0-1-304; 68-0102-0-1-304.

**Obligations:**

(Formula Grants) FY 10 \$1,659,696,500; FY 11 est \$1,521,950,000; and FY 12 est \$1,550,000,000 - FY 10 \$1,659,696,500; FY 11 est. \$1,521,950,000; and FY 12 \$1,550,000,000. Recovery Act funds - FY 10 \$0; FY 11 est. \$0; and FY 12 est. \$0.

**Range and Average of Financial Assistance:**

\$6,500,000 to \$147,000,000/fiscal year; \$26,000,000/fiscal year. Recovery Act funds - \$500,000 to \$175,000,000/fiscal year; \$28,000,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Each year, 51 grants are awarded to states and Puerto Rico. The program funds an estimated 10 to 20 percent of the nation's annual wastewater capital projects. The program has provided over \$84 billion in cumulative assistance since 1988. Assistance has included funding to prevent polluted runoff, upgrade wastewater treatment plants from secondary level treatment to advanced (tertiary) treatment to reduce pollutant loads, and improve water quality on a watershed basis. In FY 10, the program provided \$10 billion in assistance. This included \$2.9 billion for secondary treatment to reduce pollutant loads, \$2.0 billion to upgrade wastewater treatment plants from secondary level treatment to advanced (tertiary) treatment, and over \$2.0 billion to prevent polluted runoff. Fiscal Year 2011: Each year, 51 grants are awarded to states and Puerto Rico. Assistance in FY 11 will include funding to prevent polluted runoff, upgrade wastewater treatment plants from secondary level treatment to advanced (tertiary) treatment to reduce pollutant loads, and improve water quality on a watershed basis. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program guidance was issued January 28, 1988. A State Revolving Fund Management Manual was distributed in November, 1988. Regulations include

40 CFR Part 31 and SRF regulations 40 CFR Part 35, Subpart K which were issued in March 1990.

**Regional or Local Office:**

See Regional Agency Offices. EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Sheila Platt, Environmental Protection Agency, State Revolving Fund Branch, Municipal Support Division, (4204M), Office of Wastewater Management, Washington, District of Columbia 20460 Email: platt.sheila@epa.gov Phone: (202) 564-0686.

**Website Address:**

<http://www.epa.gov/owm/cwfinance/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: State revolving loan fund; wastewater projects involving advanced treatment, secondary treatment, infiltration/inflow correction, replacement/upgrade of pipe and equipment and expansion of existing wastewater treatment plants; nonpoint source and estuary protection projects (for example, septic system rehabilitation, leaking underground storage tank removal, contaminated soil removal, agricultural BMPs, conservation easements, wetlands protection/rehabilitation, and prevention of agricultural runoff). Fiscal Year 2011: State revolving loan fund; wastewater projects involving advanced treatment, secondary treatment, infiltration/inflow correction, replacement/upgrade of pipe and equipment and expansion of existing wastewater treatment plants; nonpoint source and estuary protection projects (for example, septic system rehabilitation, leaking underground storage tank removal, contaminated soil removal, agricultural BMPs, conservation easements, wetlands protection/rehabilitation, and prevention of agricultural runoff). Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grants are awarded to States that satisfy the requirements outlined in the application procedure section.

**66.460 NONPOINT SOURCE IMPLEMENTATION GRANTS**

(319 Program)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Title 3, Section 319(h).

**OBJECTIVES:**

To assist States, the District of Columbia, American Samoa, Guam, Northern Marianas, Puerto Rico, Pacific Trust Territories, Virgin Islands (hereinafter referred to as States), and qualified Indian Tribes and intertribal consortia in implementing EPA-approved Section 319 nonpoint source management programs.

Funding Priority - Fiscal Year 2011: EPA's funding priority is to award grants that promote the development and implementation of watershed-based plans, focusing on watersheds with water quality impairments caused by nonpoint sources, which result in improved water quality in impaired waters. These watershed plans are a mechanism to coordinate monitoring and planning on a watershed basis and will build a foundation for effective implementation actions using federal and other funding. Nonpoint Source implementation projects include best management practice (BMP) installation for animal wastes, sediment, pesticide and fertilizer control, a variety of other structural and non-structural practices, watershed planning, monitoring, watershed coordinators, technology demonstration, and a variety of education/outreach programs, among others.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are provided to eligible applicants to carry out nonpoint source projects

and programs pursuant to Section 319 of the Clean Water Act as amended by the Water Quality Act of 1987. Requirements under Section 319(h) include: nonfederal matching funds of at least 40 percent of project cost (match is an overall grant requirement; in a few cases, the match requirement for an individual project may be waived. In-kind services may be used as match); maintenance of effort; grants may be used for financial assistance to individual persons in the case of demonstration projects only; annual reporting; and EPA determinations of adequate recipient progress before additional funding. Currently applicable EPA guidelines issued on October 23, 2003, identify the basic process and restrictions for funding. These guidelines are available on the Web at:

<http://www.epa.gov/fedrgstr/EPA-WATER/2003/October/Day-23/w26755.htm>. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Eligible entities include States and qualified Indian Tribes and intertribal consortia who have approved nonpoint source assessment and management plans. To be qualified, Tribes must have treatment in a manner similar to a state (TAS) status for the 319 Program. Grants to States are awarded by formula. The State allotment is awarded to a single agency in each State designated by the chief executive as the lead nonpoint source agency. The lead nonpoint source agency may distribute grant funds to other organizations in accordance with its work program, which is approved by EPA. Eligible Tribes are allocated a base allotment by formula; the remaining Tribal portion of the 319(h) appropriation is competed among qualified Indian Tribes and intertribal consortia. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State and local governments; interstate and intrastate agencies; federally recognized Indian tribal governments; intertribal consortia; the following US territory or possessions: the District of Columbia, American Samoa, Guam, Northern Marianas, Puerto Rico, Pacific Trust Territories, Virgin Islands; public and private nonprofit organizations and institutions. The lead nonpoint source agency may distribute grant funds to other organizations in accordance with a work program which is approved by EPA.

#### **Credentials/Documentation:**

The provisions of OMB Circular No. A-87 "Cost Principles for State, Local and Indian Tribal Governments" apply. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination with the appropriate EPA Regional Office, listed in Appendix IV of the Catalog, is recommended. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications by States must be submitted to the appropriate EPA Regional Office (refer to Appendix IV of the Catalog for a list of Regional Offices). Grant applications by subgrantees within a State (after EPA has made a grant award to the State) must be submitted to the State agency that administers Section 319 grants. The list of State nonpoint source contacts for subgrantees is available on the Web at <http://www.epa.gov/owow/nps/contacts.html>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

Grant applications must be submitted by the State to the appropriate EPA Regional Office to determine the overall adequacy of the application to meet the statutory objectives. Funds are awarded to States by formula. Award procedure by States to subgrantees varies by State. The list of State nonpoint source contacts is available on the Web at <http://www.epa.gov/owow/nps/contacts.html>. Eligible Tribes get a base grant; Tribes compete for the rest of the Tribal portion of the total 319(h) appropriation. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

EPA generally awards grants to States within 60 days after the application is submitted.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory Formula: Title Clean Water Act.

Matching Requirements: Nonfederal match of at least 40 percent of project or program costs is required except for grants to Indian Tribes, where following demonstration of financial hardship, the nonfederal match may be reduced to as low as 10 percent of project or program costs. States must also meet maintenance of effort requirements contained in statute. EPA awards grants to all eligible States and Tribes which apply for funding based on an allocation formula that the Agency developed. The allocation formula is described in current operational grant guidelines published in a Federal Register notice (68 FR 75776) issued on October 23, 2003. The guidelines can be found at <http://www.epa.gov/fedrgstr/EPA-WATER/2003/October/Day-23/w26755.htm>. This program has MOE requirements, see funding agency for further details.

#### **Length and Time Phasing of Assistance:**

As determined in accordance with Section 319 (h). See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

#### **Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require interim and final progress reports, and expenditure/financial, equipment, and invention reports. Progress reports are generally required at least semi-annually. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be kept for three years from date of submission of the annual financial status report. If questions remain, records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 10 \$194,178,500; FY 11 est \$175,455,000; and FY 12 est \$164,757,000

**Range and Average of Financial Assistance:**

States/Territories: \$521,100 to \$10,302,300; \$3,443,900. Indian Tribes: base grants \$30,000 to \$50,000; competitive grants up to \$150,000. Ranges vary year-to-year based on size of appropriation (and also varies depending on number of applicants for grants to Indian Tribes or intertribal consortia).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Grants are awarded annually to all States and selected Tribes. Grant funds were used by States and Tribes to implement portions of their NPS management programs. In FY 10, 56 grant awards were made to States and Territories. Additional information regarding selected projects is available in Section 319 Success Stories, available online at <http://www.epa.gov/owow/nps/Success319/>. An estimate of load reductions resulting from CWA Section 319(h) funded projects from the time period February 2010 - February 2011 is as follows: nitrogen - 9.7 million pounds; phosphorus - 2.6 million pounds; and sediment - 2.1 million tons. These load reduction totals are mostly from FY 10 grant funded projects. Fiscal Year 2011: Grants are awarded annually to all States and selected Tribes. Grant funds are used by States and Tribes to implement portions of their NPS management programs. Additional information regarding selected projects is available in Section 319 Success Stories, available online at <http://www.epa.gov/owow/nps/Success319/>. Data for FY 11 funded projects is not available at this time. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Current operational grant guidelines are Nonpoint Source Program and Grants Guidelines for States and Territories (Oct. 23, 2003). The guidelines can be found at <http://www.epa.gov/fedgrstr/EPA-WATER/2003/October/Day-23/w26755.htm>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog. A list of specific EPA Regional nonpoint source contacts is available on the Web at: <http://www.epa.gov/owow/nps/contacts.html>. The list of specific EPA Tribal nonpoint source contacts is available on the Web at: <http://www.epa.gov/owow/nps/tribal>.

**Headquarters Office:**

Nancy Arazan, Nonpoint Source Control Branch, Assessment and Watershed Protection Division, Office of Wetlands, Oceans and Watersheds (7313H), EPA, Ariel Rios Building, 1200 Pennsylvania Avenue N.W., Washington, District of Columbia 20460 Email: [arazan.nancy@epa.gov](mailto:arazan.nancy@epa.gov) Phone: (202) 566-0815.

**Website Address:**

<http://www.epa.gov/owow/nps>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Nonpoint Source implementation projects funded include BMP installation for animal wastes, sediment, pesticide and fertilizer control, urban runoff, and a variety of other structural and non-structural practices; watershed planning, monitoring, watershed coordinators, technology demonstration, and a variety of education/outreach programs, among others. Fiscal Year 2011: Nonpoint Source implementation projects funded include BMP installation for animal wastes, sediment, pesticide and fertilizer control, urban runoff, and a variety of other structural and non-structural practices; watershed planning, monitoring, watershed coordinators, technology demonstration, and a variety of education/outreach programs, among others. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Funds are awarded to States in accordance with Section 319 (h). For selection processes within individual States, contact the appropriate State NPS coordinators. A list of these coordinators is available at:

<http://www.epa.gov/owow/nps/contacts.html>.

**66.461 REGIONAL WETLAND PROGRAM DEVELOPMENT GRANTS****FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

**OBJECTIVES:**

To assist State, Tribal, local government (S/T/LG) agencies, and interstate/intertribal entities in building programs which protect, manage, and restore wetlands. The primary focus of the grants is to build state and tribal wetland programs. A secondary focus is to build local (e.g. county or municipal) programs.

Funding Priority - Fiscal Year 2011: Under the Regional Wetland Program Development Grant (WPDG) competition, EPA has identified the following four Core Elements for improving State/Tribe/local governments' (S/T/LGs) ability to protect and restore their wetlands: (1) Monitoring and Assessment; (2) Voluntary Restoration and Protection; (3) Regulatory Approaches Including CWA 401 Certification; and (4) Wetland-Specific Water Quality Standards. EPA will include as an appendix to each Regional Request For Proposals (RFP) a list of actions and activities under each Core Element that will develop or refine a S/T/LG's wetlands program. In addition, EPA has identified two funding Tracks. Track One is for States and Tribes that propose to develop a Wetlands Program Plan (WPP) as described at <http://water.epa.gov/type/wetlands/wpp.cfm> or carrying out projects from an EPA-approved WPPs. Track Two is for states, tribes, local governments, interstate agencies, intertribal consortia, and universities that are agencies of a state that submit proposals that are consistent with the Four Core Elements as described above. Regions may add additional Region specific priorities that are compatible and consistent with the core element(s) and action(s) in the attached Appendix of development and refinement actions.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

These grants are intended to encourage comprehensive wetlands program development by promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Projects build the capacity of States, Tribes, and local governments to effectively protect wetland and riparian resources. Projects funded under this program support the initial development of a wetlands protection, restoration, or management program or support

enhancement/refinement of an existing program. Interstate agency and intertribal consortia projects must be broad in scope and encompass more than one State, Tribe, or local government. The Regional Office will accept submissions only for projects that affect the States, Tribes, and Territories within their Region. Funds cannot be used for implementation of individual mitigation projects, mitigation banks, or in-lieu-fee mitigation programs. Additional uses and restrictions on funds will be described in detail in the competitive announcements. Projects that are national in scope are not eligible for funding under this Regional program but may be eligible for funding under EPA's National Wetland Program Development Grants program (CFDA 66.462). Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

States, Tribes, local government agencies, interstate agencies, and intertribal consortia are eligible to apply to the Regions. Past recipients include, but are not limited to, wetland regulatory agencies, water quality agencies (Section 401 water quality certification), planning offices, wild and scenic rivers agencies, departments of transportation, fish and wildlife or natural resources agencies, agriculture departments, forestry agencies, coastal zone management agencies, park and recreation agencies, non-point source or storm water agencies, and city or county and other S/T/LG governmental agencies that conduct wetland-related activities. In order to be eligible for WPDG funds, Tribes must be federally recognized, although "Treatment as a State" status is not a requirement. The term "interstate agency" is defined in CWA Section 502 as "an agency of two or more States established by or pursuant to an agreement or compact approved by the Congress, or any other agency of two or more States, having substantial powers or duties pertaining to the control of pollution as determined and approved by the Administrator." Intertribal consortia that meet the requirements of 40 CFR Part 35.504 are eligible for direct funding. Intertribal consortia projects must be broad in scope and encompass more than one State, Tribe, or local government. Universities that are agencies of State government are eligible to receive funds through these competitions. Universities must include documentation showing that they are chartered as a part of State government in their proposal. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Applicants need not be located within the boundaries of the EPA regional office to be eligible to apply for funding but must propose projects that affect the States, Tribes, and Territories within the Region.

#### **Beneficiary Eligibility:**

State, Tribal, and local governments involved in administering wetlands protection, restoration and/or management programs, or programs related to or complement wetlands protection programs.

#### **Credentials/Documentation:**

Tribes may be asked to demonstrate that they are Federally recognized. Interstate organizations may be asked to provide a citation to the statutory authority which establishes their status. Intertribal consortia may be asked to provide documentation that they meet the requirements of 40 CFR Part 35.504. Universities must include documentation showing that they are chartered as a part of State government in their proposal. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Each EPA Regional Office will set up its own competitive process for awarding WPDGs. Interested applicants should review information on the WPDG at: <http://www.epa.gov/owow/wetlands/grantguidelines/>. Regarding pre-application/pre-proposal assistance with respect to competitive funding

opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each EPA Regional Office will establish a process for awarding WPDGs. Regional Offices will accept applications only for projects selected through the competitive process that affect the States, Tribes, and Territories within their Region. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Applicants can also receive a copy of the current announcement by calling the EPA Regional Coordinator. Application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> and by mail upon request to the Grants and Interagency Agreements Management Division at (202) 564-5305. Completed applications should be submitted to the appropriate EPA Regional Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office and, if approved, the grant is awarded by the Regional Administrator. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Grants are usually approved within 4 months of receipt of completed application.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The applicant must provide a minimum of 25 percent of the total cost of the work plan to the extent allowed by 40 CFR 31.24, 35.385, and 35.615. To determine if the minimum match is met, EPA will use the following formula: amount (in dollars) of federal funds requested from EPA divided by 3 = minimum match (in dollars) or Total project costs divided by 4 = minimum match (in dollars). For example, if the applicant requests \$75,000 of federal funds or a Total project cost of \$100,000 for the three-year project period, it must be able to provide \$25,000 in matching funds or services. A reduced match may be available for Tribal grantees that place the Wetland Program Development Grant funds in a Performance Partnership Grant. (See regulations at 40 CFR 536(c).) Please contact your EPA Regional contact person listed in Section VII if you have any questions about calculating the match requirement. We encourage States and Tribes to provide a larger share of the project's cost whenever possible (i.e., in excess of the required 25 percent of total project costs). Award recipients can meet the match requirement with in-kind or monetary contributions from entities other than themselves.

However, other Federal money cannot be used as the match for this grant program unless authorized by the statute governing the award of the other Federal funds. Matching funds are considered grant funds. They must be used for the reasonable and necessary expenses of carrying out the assistance agreement work plan. Any restrictions on the use of grant funds (i.e., prohibition of land acquisition with grant funds) also apply to the matching funds.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$16,236,000; FY 11 est \$15,830,000; and FY 12 est \$14,667,000

**Range and Average of Financial Assistance:**

\$25,000 to \$500,000/fiscal year; \$253,500/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Each of the ten EPA Regional Offices issues a competitive announcement based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcements include the number of anticipated awards. In FY 10, approximately 7 to 30 proposals were received by each Region under the ten Regional competitive announcements with approximately 3 to 12 cooperative agreements or grants to be awarded under each Regional competitive announcement. No awards were made non-competitively in FY 10. In FY 10, projects were funded to support activities such as: creation of a web portal for online submission of vernal pool certification data and observations of state-listed rare wetlands wildlife by members of the public, academic researchers, and environmental professionals; development of a level 1 landscape scale analysis of wetland condition; development of an oxbow system assessment and protocol; development of Floristic Quality Index approaches for wetlands plant communities in a western state; determine how

reference wetland conditions vary throughout a state based on ecoregions and provide reference condition data; and development of a plan that will help develop a systematic approach to preserving, improving, and ultimately increasing acreage of these areas in a tribal community. Fiscal Year 2011: Each of the ten EPA Regional Offices issues a competitive announcement based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcements include the number of anticipated awards. In FY 11, ten Regional competitive announcements will be issued. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Parts 30, 31 and 35.610 through 35.615); OMB Circulars A-87 and A-122, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. REGIONAL WETLAND GRANT COORDINATORS: Region 1 - CT, ME, MA, NH, RI, VT: Jeanne Voorhees, US EPA Region 1, 1 Congress Street, MC CSP, Suite 100, Boston, MA, 02114. Phone: 617-918-1686. voorhees.jeanne@epa.gov. Region 2 - NJ, PR, VI: Kathleen Drake, US EPA Region 2, 290 Broadway, NY, NY, 10007. Phone: 212-637-3817. drake.kathleen@epa.gov. Region 3 - DE, MD, PA, VA, WV, DC: Anita Provenzano, US EPA Region 3, 1650 Arch Street, MC 3EA30, Philadelphia, PA, 19103. Phone: 215-814-5180. provenzano.anita@epa.gov. Region 4 - AL, FL, GA, KY, MS, NC, SC, TN: Morgan Jackson, US EPA Region 4, 61 Forsyth Street, SW, Atlanta, GA, 30303. Phone: 404-562-9393. jackson.morgan@epa.gov. Region 5 - IL, IN, MI, MN, OH, WI: Kristen Faulhaber, US EPA Region 5, 77 West Jackson Blvd., MC WW16J, Chicago, IL, 60604. Phone: 312-353-4378. faulhaber.kristen@epa.gov. Region 6 - AR, LA, NM, OK, TX: Sondra McDonald, US EPA Region 6, 1445 Ross Avenue, MC 6WQ-AT, Dallas, TX, 75202. Phone: 214-665-7187. mcdonald.sondra@epa.gov. Region 7 - IA, KS, MO, NE: Mandy Whitsitt, US EPA Region 7, 901 North Fifth Street, Kansas City, KS, 66101. Phone: 913-551-7311. whitsitt.mandy@epa.gov. Region 8 - CO, MT, ND, SD, UT, WY: Cynthia Gonzales, US EPA Region 8, 999 18th Street, Suite 300, Denver, CO, 80202. Phone: 303-312-6569. gonzales.cynthia@epa.gov. Region 9 - AZ, CA, HI, NV, AS, GU: Suzanne Marr, US EPA Region 9, 75 Hawthorne Street, San Francisco, CA 94105. Phone: 415-972-3468. marr.suzanne@epa.gov. Region 10 - AK, ID, OR, WA: Jayme Ballard, US EPA Region 10, 1200 Sixth Ave, MC: AWT-107, Seattle, WA, 98101. Phone: 206-553-6397. ballard.jayme@epa.gov.

**Headquarters Office:**

Myra Price, Wetlands Division (4502T), Office of Oceans, Wetlands, and Watersheds, Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: price.myra@epa.gov Phone: (202) 566-1225.

**Website Address:**

<http://www.epa.gov/owow/wetlands/initiative/#financial/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.456 National Estuary Program; 66.458 Capitalization Grants for Clean Water State Revolving Funds; 66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant; 66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The WPDG database provides project information for grants funded through this program since 2005 (<http://iaspub.epa.gov/pls/grts/f?p=101:1>). Examples of funded projects include: wetland and stream mitigation studies; development of wetland or watershed conservation plans; wetland management training workshops; developing a monitoring and assessment program; development of wetland monitoring and assessment methods and programs; training for State/Tribal/local government staff in monitoring techniques or wetland science such as delineation; wetland mapping to build 404 permit enforcement programs, wetland inventory and classification projects to determine restoration sites; and database development to track 404 permit action and compliance. Fiscal Year 2011: The WPDG database provides project information for grants funded through this program

since 2005 (<http://iaspub.epa.gov/pls/grts/f?p=101:1>). Examples of funded projects include: wetland and stream mitigation studies; development of wetland or watershed conservation plans; wetland management training workshops; developing a monitoring and assessment program; development of wetland monitoring and assessment methods and programs; training for State/Tribal/local government staff in monitoring techniques or wetland science such as delineation; wetland mapping to build 404 permit enforcement programs, wetland inventory and classification projects to determine restoration sites; and database development to track 404 permit action and compliance. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### **66.462 NATIONAL WETLAND PROGRAM DEVELOPMENT GRANTS AND FIVE-STAR RESTORATION TRAINING GRANT**

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

#### **OBJECTIVES:**

To assist State, Tribal, local government (S/T/LG) agencies, and interstate/intertribal entities in building programs which protect, manage, and restore wetlands. The primary focus of the grants is to build state and tribal wetland programs. A secondary focus is to build local (e.g. county or municipal) programs.

Funding Priority - Fiscal Year 2011: For the National WPDGs: EPA has identified the following four national priorities for this competition based on the four core elements of a Comprehensive State/Tribal Wetlands Program: 1) Monitoring and Assessment; 2) Voluntary Wetland Restoration and Protection; 3) Regulatory Approaches Including CWA 401 Certification; and 4) Wetland-Specific Water Quality Standards. Further explanation of all of the elements can be found at the following website address: <http://www.epa.gov/owow/wetlands/initiative/estp.html>. The Wetlands Program Development Grants (WPDG) program strives to develop State/Tribal/local government programs that will incorporate each of these elements.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

The National WPDGs are intended to encourage comprehensive, national wetlands program development by promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Projects build the capacity of States, Tribes, and local governments programs to effectively protect wetland and riparian resources. Activities must help S/T/LGs develop and refine wetland programs. Projects funded under this program support the initial development of a national wetlands protection, restoration or management program, or support enhancement/refinement of an existing national program. Projects must be broad in scope and include more than one EPA Region or be national in scope and cannot be limited to activities that affect such entities in only one EPA region. For example, projects and tasks can involve advancing science or collecting and making available through publications and other appropriate means, such as training on information about how various wetland programs across the nation protect, manage, and restore their wetland resources and about initiatives to improve S/T/LG wetland programs. Projects that are local or encompass only one EPA Region in scope are not eligible for funding under this program but may be eligible for funding under EPA's Regional Wetland Program Development Grants program (CFDA 66.461). Funds cannot be used for the purchase of land or conservation easements. Funds cannot be used for implementation of individual mitigation projects, mitigation banks, or in-lieu-fee mitigation programs. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. EPA's Five Star Restoration Training Grant is

anticipated to fund one cooperative agreement to an organization to manage the Five Star Restoration Training Grant subaward process that will award subgrants to achieve environmental training through voluntary, community/watershed-based wetland restoration projects. Projects funded under the subgrant process must be limited to activities that conduct or promote the coordination and acceleration of training relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Other activities under section 104(b)(3) will not be considered for funding. Funds cannot be used for the purchase of land or conservation easements. Funds cannot be used for implementation of individual mitigation projects, mitigation banks, or in-lieu-fee mitigation programs. Wetland restoration training projects cannot include wetlands constructed for the purposes of treating wastewater or stormwater only. The assistance agreement award under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Non-profit, non-governmental organizations, Interstate agencies, and Intertribal consortia which are capable of undertaking activities that advance wetland programs on a national basis are eligible to compete in this program. The term "interstate agency" is defined in CWA Section 502 as "an agency of two or more States established by or pursuant to an agreement or compact approved by the Congress, or any other agency of two or more States, having substantial powers or duties pertaining to the control of pollution as determined and approved by the Administrator." Intertribal consortia must meet the requirements of 40 CFR Part 35.504. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State, Tribal, and local governments involved in administering wetlands protection, restoration, and/or management programs or programs related to or complement wetlands protection programs.

#### **Credentials/Documentation:**

Non-profit applicants may be asked to provide documentation that they meet the definition of a non-profit organization in OMB Circular A-122. Interstate organizations may be asked to provide a citation to the statutory authority, which establishes their status. Intertribal consortia may be asked to provide documentation that they meet the requirements of 40 CFR Part 35.504. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

The standard application forms, as furnished by the Federal agency and required by OMB Circular A-102, must be used for this program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The EPA Headquarters (HQ) Office will conduct the

competitive process for awarding National Wetland Program Development Grants. Interested applicants should review information on the National Wetland Program Development Grants at: <http://www.epa.gov/owow/wetlands/grantguidelines/>. Submittal instructions can be found in the competitive announcement. The EPA Headquarters (HQ) Office will conduct the competitive process for awarding the Five-Star Restoration Training Grant. Interested applicants should review information on the Five-Star Restoration Training Grant at: <http://www.epa.gov/owow/wetlands/grantguidelines/>. Submittal instructions can be found in the competitive announcement. All applicants will be notified by the HQ Office on whether or not the applicant has been selected for funding. The notification is not an authorization to begin performance. The Grant Award document signed by the appropriate grant official in the EPA HQ Office is the authorizing document. Applicants selected for funding must submit a final workplan and grant application forms. Application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> and by mail upon request to the Grants and Interagency Agreements Management Division at (202) 564-5305. Completed applications should be submitted to HQ. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Grants are usually approved within 4 months of receipt of completed application.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The applicant must provide a minimum of 25 percent of the total cost of the workplan to the extent allowed by 40 CFR 31.24, 35.385, and 35.615. To determine if the minimum match is met, EPA will use the following formula: amount (in dollars) of federal funds requested from EPA divided by 3 = minimum match (in dollars) or Total project amount (in dollars) divided by 4 = minimum match (in dollars). For example, if the applicant requests \$75,000 of federal funds or has a total project cost of \$100,000 for a three-year project period, it must be able to provide \$25,000 in matching funds or services. A reduced match may be available for Tribal grantees that place the Wetland Program Development Grant funds in a Performance Partnership Grant. (See regulations at 40 CFR 536(c)). States and Tribes can provide a larger share of the project's cost whenever possible (i.e., in excess of the required 25 percent of total project costs). Award recipients can meet the match requirements with in-kind or monetary contributions from entities other than themselves. However, other Federal money cannot be used as the match for this grant program unless authorized by the statute governing the award of the other Federal funds. Matching funds are considered grant funds. They must be used for the reasonable and necessary expenses of carrying out the assistance agreement workplan. Any restrictions on the use of grant funds (i.e., prohibition of land acquisition with grant funds) also apply to the matching funds. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of grant award. See the

following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

#### **Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. All final reports must be accompanied by a 1-2 page summary electronic document on the project. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

#### **Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

#### **Account Identification:**

68-0103-0-1-304.

#### **Obligations:**

(Cooperative Agreements) FY 10 \$500,000; FY 11 est \$500,000; and FY 12 est \$2,000,000 - National Wetlands Program Development Grants: FY 10 \$500,000; FY 11 est. \$500,000; and FY 12 est. \$500,000. Five-Star Restoration Training Grant: FY 10 \$0; FY 11 est. \$0; and FY 12 est \$1,500,000.

#### **Range and Average of Financial Assistance:**

National Wetlands Program Development Grants: \$25,000 to \$225,000/fiscal year; \$100,000/fiscal year; Five-Star Restoration Training Grant: \$1,500,000 every six years.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, 19 proposals were received in response to the National WPDG competitive announcement and 7 proposals were selected for award. Grants have been awarded to: develop a comprehensive approach to wetland program development with state and tribes; advance state and local wetland program capacity to identify restoration and conservation efforts; develop model approaches to the watershed approach which includes wetland compensatory mitigation and restoration; improve wetland restoration permitting success; advance coordination between states, tribes, local governments, and land trusts on stewardship of compensatory mitigation sites, build capacity on the mitigation requirements for ephemeral, intermittent, and perennial streams; and testing and evaluating a study design developed to assess the success of compensatory mitigation. Fiscal Year 2011: Headquarters will conduct the FY 12 competitive process for the National WPDGs. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, 40 CFR Parts 30 and 31, 40 CFR 35.610, OMB Circular A-122, or OMB Circular A-87, as applicable.

#### **Regional or Local Office:**

None.

**Headquarters Office:**

Myra Price, Wetlands Division (4502T), Office of Oceans, Wetlands, and Watersheds, Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: price.myra@epa.gov Phone: (202) 566-1225.

**Website Address:**

<http://www.epa.gov/owow/wetlands/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.456 National Estuary Program; 66.458 Capitalization Grants for Clean Water State Revolving Funds; 66.461 Regional Wetland Program Development Grants; 66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Wetland Program Development Grant database will provide project information for the National WDPGs (<http://iaspub.epa.gov/pls/grts/f?p=101:1>). Examples of funded projects include: wetland and stream mitigation studies; development of market-based wetland protection tools; wetland management training workshops; development of wetland modeling tools; studies on the functions and values of wetland ecosystems; planning and holding national meetings on CWA Section 404 mitigation issues; and development of education information on wetlands for state/tribal/local government officials and/or the public. Fiscal Year 2011: The Wetland Program Development Grant database will provide project information for the National WDPGs (<http://iaspub.epa.gov/pls/grts/f?p=101:1>). Examples of funded projects include: wetland and stream mitigation studies; development of market-based wetland protection tools; wetland management training workshops; development of wetland modeling tools; studies on the functions and values of wetland ecosystems; planning and holding national meetings on CWA Section 404 mitigation issues; and development of education information on wetlands for state/tribal/local government officials and/or the public. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.463 WATER QUALITY COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

**OBJECTIVES:**

To assist States, Indian Tribes, interstate agencies, and other public or nonprofit organizations in developing, implementing, and demonstrating innovative approaches relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution through both permitted and non-permitted areas.

Funding Priority - Fiscal Year 2011: Funding priorities include, but are not limited to: watershed approaches for solutions to wet weather activities (i.e., combined sewer overflow, sanitary sewer overflows, storm water discharge, and animal feeding operations); pretreatment and biosolids (sludge) program activities, decentralized systems; and alternative ways to enhance or measure the effectiveness of point source programs. Trading, water efficiency, asset management, and sustainable infrastructure are also areas of consideration. No appropriation authority was provided for FY 2006 or later. However, if unobligated carryover funds are available in FY 2011, projects will be funded in accordance with the funding priorities. Any awards made with carryover funds will be in accordance with the Agency's competition policy.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

These grants are intended to encourage efforts to improve water quality by promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Projects must attain tangible results. EPA may award grants to fund internships for high school students to work at wastewater treatment plants under the Youth and the Environment sub-program in EPA Regions 1, 2, 3, 5, 6, 7, 8, 9 and 10. In the case of Regional competitions, eligible projects may be limited in geographic scope to benefit the citizens of States, Tribes, or Territories within those Regions. Other specific uses of funds will be described in Requests for Proposals for this program. EPA will not award grants to fund ongoing State, Tribal, or local program activities, construction, or to purchase land. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State water pollution control agencies, interstate agencies, Tribes, colleges and universities, individuals, and other public or nonprofit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Individuals and organizations affected by water pollution, including State Water Pollution Control Agencies, interstate agencies, Tribes, colleges and universities, and other public or nonprofit organizations.

**Credentials/Documentation:**

Nonprofit applicants may be asked to provide documentation that they meet the definition of a non-profit organization in OMB Circular A-122. Interstate organizations may be asked to provide a citation to the statutory authority which establishes their status. Intertribal consortia must meet the requirements of 40 CFR Part 35.504. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competition procedures vary by Region and Headquarters Office. EPA will generally publish a Request for Proposals (RFP), evaluate the proposals under the criteria contained in the RFP, and requests that selected applicants submit a full application. RFPs are synopsized at [www.grants.gov](http://www.grants.gov), and may be posted on Agency websites or in the Federal Register. All competitions will be conducted in accordance with EPA policy for competing assistance agreements. For Headquarters competitions, applicants submit a proposal, and EPA evaluates and scores the proposals and invites selected applicants to submit a formal application. Regional procedures may vary, in accordance with the terms of Regional Request for Proposals. Application forms and completed applications may be requested from and submitted to the appropriate EPA Headquarters or Regional Office. The



standard Federal application forms must be used for this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Regional or Headquarters review will normally be done within approximately 60 days following the deadline for submissions.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the assistance shall be determined at the time of award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable.

Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program.

Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Record keeping requirements are specified 40 CFR Parts 30 or 31 as applicable. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$26,000; FY 11 est \$1,238,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Projects have historically ranged from \$15,000 to \$270,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Competitions are held based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. In FY 2010, funding was used to continue to conduct hydrological mapping of subwatersheds, conduct a verification study of reported water quality impairments, and develop a nutrient total maximum daily load for a watershed. Fiscal Year 2011: Competitions are held based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. In FY 2011, seven awards were made to for example: provide energy assistance to wastewater treatment plants (e.g., conduct demonstration pilot projects, conduct energy audits, provide technical support) and transfer results; assess the effectiveness of the current regulatory mechanisms designed to protect water quality in a basin; pilot an innovative decision support tools; and create frameworks for watershed-based stormwater permits. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and agreements with States, local governments, and Indian tribal governments, the procedures and requirements shall be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," 40 CFR Part 35, "Environmental Program Grants-State, Interstate, and Local Governments Agencies," OMB Circular Nos. A-87 "Cost Principles for State and Local Governments," and A-102 "Grants and Cooperative Agreements for States and Local Governments." For grants and agreements with other entities the procedures shall be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and OMB Circular Nos. A-122 for Non-Profit Organizations and A-21 for Educational Institutions.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog for information on the grants administration process or the Regional WQCA Coordinator shown at [https://water.epa.gov/grants\\_funding/cwf/Water-Quality-Cooperative-Agreement-Contacts.cfm](https://water.epa.gov/grants_funding/cwf/Water-Quality-Cooperative-Agreement-Contacts.cfm).

**Headquarters Office:**

Barron Benroth, Office of Wastewater Management (4201M), EPA, Room 7126, EPA East, 1200 Pennsylvania Avenue NW, Washington, District of Columbia 20460 Email: [Benroth.Barry@epa.gov](mailto:Benroth.Barry@epa.gov) Phone: (202) 564-0672.

**Website Address:**

<http://www.epa.gov/owm/cwfinance/index.htm>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Water Quality Cooperative Agreements are competitive awards. In FY 2010, examples of projects funded include: hydrological mapping of subwatersheds, a verification study of reported water quality impairments, and development of a nutrient total maximum daily load. Fiscal Year 2011: Water Quality Cooperative Agreements are competitive awards. In FY 2011, examples of projects funded include: provide energy assistance to wastewater treatment plants (e.g., conduct demonstration pilot projects, conduct energy audits, provide technical support) and transfer results; assess the effectiveness of the current regulatory mechanisms designed to protect water quality in a basin; pilot an innovative decision support tools; and create frameworks for watershed-based stormwater permits; and improve water efficiency and take advantage of untapped economies of scale and promote

green jobs when making decisions about stormwater pollution control and local development patterns. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.466 CHESAPEAKE BAY PROGRAM**

##### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

##### **AUTHORIZATION:**

Clean Water Act, Section 117.

##### **OBJECTIVES:**

To expand and strengthen cooperative efforts to restore and protect the Chesapeake Bay. EPA's funding priority is to achieve the goals and commitments established in the Chesapeake 2000 agreement and the final coordinated strategy under Executive Order (EO) 13508. As a means to achieve the goals and commitments, assistance agreements are awarded to: nonprofit organizations, State and local governments, colleges, universities, and interstate agencies. The type of projects that are awarded range from monitoring of bay toxins to environmental education. These projects have helped support the commitments set forth in Executive Council agreements and amendments (The Chesapeake Bay Agreement of 1983 through Chesapeake 2000) and subsequent directives, adoption statements, endorsements and resolutions.

Funding Priority - Fiscal Year 2011: EPA's focus in FY 2011 is to continue to improve the rate of progress in the Chesapeake Bay watershed by meeting the President's expectations as described in Executive Order (EO) 13508, using the Agency's existing statutory authority, implementing the Chesapeake Bay Total Maximum Daily Load (TMDL), developing more rigorous regulations, providing states with the tools necessary for effective regulatory implementation, creating better tools for scientific analysis and accountability, and supporting regulatory compliance and enforcement. EPA will work toward implementing key initiatives under EO 13508, including: implementing the TMDL; developing new regulations for animal feeding operations and stormwater discharges; developing a TMDL tracking and accountability system; deploying technology to integrate discrete Bay data systems and to present the data in an accessible accountability system called ChesapeakeStat; implementing a Bay-specific enforcement and compliance initiative; and moving forward on the Bay's challenges related to toxic contaminants.

A centerpiece of EPA's FY 2011 activities is the implementation of the nation's largest and most complex TMDL for the entire Chesapeake Bay watershed. A TMDL is essentially a plan that defines how much of a particular pollutant may be discharged in to a particular waterbody while allowing the waterbody to meet its water quality standards and designated uses. EPA released the final TMDL in December 2010. Prior to that release, the Bay jurisdictions developed watershed implementation plans (WIPs) that included specific timelines for enhancing programs and implementing actions to reduce pollution, with all measures needed to reach the TMDL pollution load limits in place no later than 2025. In FY 2011 and FY 2012, the Chesapeake Bay jurisdictions will be expected to develop and implement second-generation WIPs that define how the jurisdictions' TMDL allocations will be achieved, in part, through local efforts. EPA expects that by 2017, pollution controls will be in place that should result in approximately 60 percent of the required reductions. To support the TMDL, EPA will develop and initiate a tracking and accountability system to ensure that the Bay jurisdictions are effectively implementing the TMDL.

To support accountability under the TMDL, EPA will expand the Chesapeake Bay Program's water-quality monitoring network to better track TMDL progress. The sampling sites will provide better measurements of nutrient and sediment load changes for major sources of pollution in more localities. EPA will invest in bringing more non-traditional monitoring partners, including watershed organization, permittees, and local governments - into the monitoring network, increasing the data available to assess stream and Bay health and responses to management actions. EPA will use its technical and scientific analysis capabilities to provide implementation support and guidance to the states and thousands of local governments that will be affected by the TMDL.

EPA will assist the jurisdictions in making scientifically informed determinations of the most effective ways to meet their TMDL obligations that will provide individually tailored solutions. EPA also is developing an offset program under the TMDL.

EPA also will continue the development and implementation of new regulations to protect and restore the Chesapeake Bay. EPA will continue work on rulemakings under the Clean Water Act to reduce nitrogen, phosphorus, and sediment pollution in the Bay from concentrated animal feeding operations, stormwater discharges from new and redeveloped properties, new or expanded discharges, and other pollutant discharges as necessary. To ensure that the states are able to meet EPA's expectations under the TMDL and new rulemakings, EPA will continue and in some cases expand its broad range of grant programs. EPA will direct investments toward key local governments and watershed organizations based on their ability to reduce nutrient and sediment loads via key sectors such as development and agriculture in urban and rural areas.

ChesapeakeStat is a key element in the next generation of tools EPA is developing to significantly enhance the accountability of program partners. ChesapeakeStat is a web based, geoenabled tool for performance-based interactive decision making for all Bay partners. The system allows the public to track progress and become informed and engaged in restoring the Bay. A key feature of ChesapeakeStat is the ability to target resources and activities to ensure that taxpayer dollars are used where they will do most good. ChesapeakeStat provides an interface for existing discrete systems and a newly deployed enterprise data engine for the Chesapeake Bay.

Ensuring that the regulated community complies with the appropriate regulations is an essential responsibility for achieving the goals established for the Chesapeake Bay and its watershed. In FY 2011, the Enforcement and Compliance Assurance program will target sources of pollution impairing the Bay. EPA's multi-year, multi-state strategy combines the agency's water, air and waste enforcement authorities to address violations of federal environmental laws resulting in nutrient, sediment and other pollution in the Bay.

##### **TYPES OF ASSISTANCE:**

###### **PROJECT GRANTS**

##### **USES AND USE RESTRICTIONS:**

On November 7, 2000, the President signed the Estuaries and Clean Waters Act of 2000, which includes Title II-Chesapeake Bay Restoration. This Act amends Section 117 of the Federal Water Control Act (Clean Water Act) and established new authorities for the Chesapeake Bay Program. These new legal authorities specify the type of work that can be performed with the funds appropriated for the Chesapeake Bay Program, the type of funding vehicles (e.g., assistance agreement) that can be used, and the type of organization eligible to receive funding. The purposes of these amendment authorities are: (1) to expand and strengthen cooperative efforts to restore and protect the Chesapeake Bay; and (2) to achieve the goals established in the Chesapeake Bay Agreement. The term "Chesapeake Bay Agreement" means the formal, voluntary agreements signed by the Chesapeake Executive Council and executed to achieve the goal of restoring and protecting the Chesapeake Bay ecosystem (e.g., the 1987 Chesapeake Bay Agreement, Chesapeake 2000 agreement, various Executive Council directives, etc.).

Assistance Agreements awarded under this program are:

- (1) 117(d) Technical Assistance and General Assistance Grants - These grants will be awarded competitively to nonprofit organizations, State and local governments, colleges, universities, and interstate agencies to implement the goals of the Chesapeake Bay Agreements; such as activities to support living resource protection and restoration; vital habitat protection and restoration; water quality protection and restoration; sound land use; and stewardship and community engagement. All applicants applying for grants under Section 117(d) must commit to a cost share ranging from 5 to 50 percent of the total project costs, as determined at the sole discretion of EPA. This determination will be stated in Request for Proposals (RFPs) or Agency policy
- (2) 117(e)(1)(A) and 117(d) - Chesapeake Bay Regulatory and Accountability

Grants - As a result of EO 13508, these grants will help each watershed State and the District of Columbia to develop new regulations, design TMDL watershed implementation plans, reissue and enforce permits, and provide technical and compliance assistance to local governments and regulated entities. The grants are to aid the states and DC in implementing and expanding their States' regulatory, accountability and enforcement capabilities, in support of reducing nitrogen, phosphorus and sediment loads delivered to the Bay to meet the water quality goals of the 2000 Chesapeake Bay Agreement. These grants will be awarded non-competitively. State Signatory jurisdictions applying for regulatory and accountability program grants under Section 117(e)(1)(A) must identify 50% cost share of total project costs (equal match/dollar for dollar) as required by statute. Headwater States applying for regulatory and accountability program grants under Section 117(d) must commit to a cost share of 25% of the total project costs.

(3) Section 117(e)(1)(A) - Implementation Grants - The Chesapeake Bay Implementation Grants are authorized under Section 117(e)(1)(A) to Signatory Jurisdictions. Implementation Grants are for the purpose of implementing the management mechanisms established under the Chesapeake Bay Agreement, with particular emphasis on state programs for control and abatement of non-point source nutrient and sediment pollution (including atmospheric deposition as a non-point source). In May 2009, jurisdictions adopted 2-year milestones to accelerate reductions of nutrient pollution. Grants should support implementation of milestones commitments and comparable actions that support nutrient reduction goals. If jurisdictions do not use 117(e)(1)(A) grants for projects consistent with Chesapeake 2000 Agreement goals, EPA may reallocate, condition or withhold funds. These grants can be awarded non-competitively to any signatory jurisdiction that has or signed the Chesapeake Bay Agreement. State Signatory Jurisdictions applying for implementation and monitoring grants under Section 117(e)(1)(A) must identify 50% cost share of total project costs (equal match/dollar for dollar).

(4) Section 117(e)(1)(B) Monitoring Grants - The Monitoring Grants are authorized under Section 117(e)(1)(B) for Signatory Jurisdictions. These grants support the characterization of water and habitat quality and benthic community conditions for the mainstem Chesapeake Bay and tidal tributaries, characterizing nutrient loading to Chesapeake Bay and its tidal tributaries, and provide data analysis support for water quality and living resources status and trends. The work supports the Chesapeake 2000 goal of "Achieving and maintaining the water quality necessary to support the aquatic living resources of the Bay and its tributaries and to protect human health." These grants can be awarded non-competitively to any signatory jurisdiction that has or signed the Chesapeake Bay Agreement. Signatory Jurisdictions applying for monitoring grants under Section 117(e)(1)(B) must identify 50% cost share of total project costs (equal match/dollar for dollar).

(5) Section 117(g)(2) Small Watershed Grants - The Small Watershed Grants Program was established under Section 117(g)(2), which provides that grants can be awarded under Section 117(d) to local governments, nonprofit organizations, and individuals in the Chesapeake Bay region working on a local level to protect and improve watersheds, while building citizen based resource stewardship. The purpose of the grants program is to demonstrate effective techniques and partnership-building to achieve Chesapeake Bay Program objectives at the small watershed scale. The Small Watershed Grants Program has been designed to encourage the sharing of innovative ideas among the many organizations wishing to be involved in watershed protection activities. Applicants applying for small watershed grants under Section (g)(2) must commit to a cost share of 25% of the total project cost.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or-rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal

Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Under section 117(d), funds are available for technical and general assistance grants to nonprofit organizations, State and local governments, colleges, universities, and interstate agencies; under section 117(e)(1)(A) and 117e(1)(B), respectively, funds are available for implementation, regulatory and accountability, and monitoring grants to signatory jurisdictions and headwater states; and under section 117(g)(2), funds are available for technical assistance and assistance grants under the Small Watershed Grants Program to local governments and nonprofit organizations and individuals in the Chesapeake Bay region. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Under section 117(d), funds are available for technical and general assistance grants to nonprofit organizations, State and local governments, colleges, universities, and interstate agencies; under section 117(e)(1)(A) and 117(e)(1)(B), respectively, funds are available for implementation, regulatory and accountability, and monitoring grants to signatory jurisdictions and headwater states; and under Section 117(g)(2), funds are available for technical assistance and assistance grants under the Small Watershed Grants Program to local governments and nonprofit organizations and individuals in the Chesapeake Bay region.

#### **Credentials/Documentation:**

Compliance with 40 CFR Parts 30 and 31, and with Program Grant Guidance to matching funds. Costs will be determined in accordance with OMB Circular No. A-87 for State, Local, and Indian Tribal Governments (Relocated to 2 CFR, Part 225), OMB Circular No. A-122 for nonprofit organizations (Relocated to 2 CFR, Part 230), and OMB Circular No. A-21 for educational institutions (Relocated to 2 CFR, Part 220). All OMB circulars apply to this program. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Preapplication assistance is recommended and should be obtained from the EPA Region III Grants Management Office. All proposals or work statements should be consistent with CBPO's Grant Guidance located at <http://www.epa.gov/region3/chesapeake/grants.htm>. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive Request For Proposals (RFPs) for grants/cooperative agreements are announced widely through the internet and Environmental Protection Agency's CBPO RFP e-mail and mailing database. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. RFPs are listed on the following websites: <http://www.grants.gov>; <http://www.epa.gov/region03/chesapeake/grants.htm>; <http://www.epa.gov/region03/grants/grantopp.htm>; and <http://www.chesapeakebay.net/grantsandrfps.aspx?menuitem=14892>.

Issued Chesapeake Bay Program Office (CBPO) Request For Proposals (RFPs) will seek applicant proposals that identify specific outcomes that will further goals of the Chesapeake 2000 Agreement and the Chesapeake Action Plan (CAP). The RFP will include detailed instructions for submission of proposals. Interested parties who would like to receive a copy of issued CBPO RFPs and

be added to the Environmental Protection Agency's CBPO e-mail and/or mailing database should submit their name, address, phone number, and e-mail address to Suzanne Hersh at [hersh.suzanne@epa.gov](mailto:hersh.suzanne@epa.gov) or such requests can be mailed to Suzanne Hersh, Environmental Protection Agency CBPO, 410 Severn Avenue, Suite 112, Annapolis, Maryland 21403. EPA will only accept addresses provided in writing (either by e-mail or letter); no phone calls will be accepted. Requests for application kits must be submitted to the Environmental Protection Agency, Region 3, 1650 Arch Streets, Philadelphia, PA 19103, Grants and Audit Management Branch (3PM70). Additional information on the EPA assistance package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Additional information pertaining to application requirements for EPA's CBPO grants programs can be found in the 2011 CBPO Grant Guidance at: <http://www.epa.gov/region03/chesapeake/grants.htm>.

Interested parties applying for a grant under the Innovative Nutrient and Sediment and Small Watershed Grants Programs should submit their name and address to the National Fish and Wildlife Foundation 1120 Connecticut Avenue, NW, Suite 900, Washington, DC 20026, for purpose of establishing a database to receive RFPs. National Fish and Wildlife Foundation will list the RFP on their website: [www.NFWF.org](http://www.NFWF.org).

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 7 months after deadline for application submission.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Renewals are subject to approval of EPA.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Under Section 117 (e)(1)(A) and 117(e)(1)(B), respectively, State agencies applying for implementation and monitoring grants must identify 50 percent cost share of total project costs (equal match/dollar for dollar). All applicants applying for technical and general assistance grants under Section 117 (d), must commit to a cost share ranging from 5 percent to 50 percent as determined at the sole discretion of EPA. This determination will be stated in Request For Proposals or Agency policy. EPA will promptly inform the applicant of the selected cost share requirement. Signatory Jurisdictions applying for regulatory and accountability program grants under Section 117(e)(1)(A) must identify 50% cost share of total project costs (equal match/dollar for dollar) as required by statute. Headwater States applying for regulatory and accountability program grants under Section 117(d) must commit to a cost share of 25% of the total project costs. Applicants applying for Small Watershed Grants Program under Section 117(g)(2) must commit to a cost share of 25 percent of the total project cost. State and local governments receiving assistance under any of the provisions of Section 117 must comply with 40 CFR 31.24 and all other applicants must comply with 40 CFR 30.23. In addition to the cost share requirement, applicants must adhere to the requirement in the Clean Water Act, Section 117 - Administrative Costs. This section requires a 10 percent cap for administrative costs. The cost of salaries and fringe benefits incurred in administering the grant cannot exceed 10 percent of the Federal grant amount.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Grants are normally funded on a 12-month basis. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

#### **Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

#### **Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

#### **Account Identification:**

68-0108-0-1-304.

#### **Obligations:**

(Project Grants) FY 10 \$33,345,631; FY 11 est \$35,000,000; and FY 12 est \$44,343,000

#### **Range and Average of Financial Assistance:**

\$5,000 to \$13,875,000/fiscal year; \$6,937,500/fiscal year. Ranges vary year to year based on size of appropriation.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, CBPO issued three RFPs. Based on the three RFPs issued, CBPO received eight proposals and awarded four awards. FY 10 activities included: communications, outreach, and education activities to support the staffing and operations of the Bay Program Communication Office; implementation of state tributary strategies to reduce nutrients and sediments to improve water quality; continued technical support and outreach to address water quality restoration goals and maintain public awareness of Bay restoration; investigation of the nitrogen reduction efficiency and cost effectiveness of nitrogen reducing septic systems within the mid-Atlantic region; evaluation of the impact of phosphorus species on water quality and plant growth; NPDES data synthesis and field monitoring to better estimate loadings of toxics (metals, organics) to Chesapeake Bay through storm water; and Chesapeake Bay modeling, GIS and data analyses support, water quality data analysis/integration support, and nonpoint and point source data management/analysis.

On November 9, 2009, EPA and the other agencies included in EO 13508 released a draft comprehensive strategy for the protection and restoration of the Chesapeake Bay and its watershed as called for in section 203 of the EO. Also in November 2009, EPA and other agencies released individual reports on specific challenges in the Chesapeake Bay as required under section 202 of the EO. The agencies are engaged in a significant public outreach effort to explain the strategy and reports and to hear directly from members of the public as to

their perspectives on the ideas contained in these documents.

EPA's recommended actions under the EO include:

- Development of watershed implementation plans by the six Bay watershed states and the District of Columbia;
- Requiring the states and District to develop milestones detailing near-term actions and loading reduction targets to evaluate progress toward water quality goals;
- Undertaking new rulemakings to reduce nutrient and sediment loadings to the Chesapeake Bay from concentrated animal feeding operations, stormwater, new or expanding sources of nutrient and/or sediment, and other pollutant sources as EPA deems necessary; and
- Establishing an enhanced partnership with the U.S. Department of Agriculture to accelerate the adoption of conservation practices by agricultural interests in the Bay watershed.

In November 2009, EPA provided the six states in the Chesapeake Bay watershed and the District of Columbia with rigorous expectations for jurisdictions to reduce pollution in streams, rivers and the Bay to meet water quality standards. EPA's expectations fulfill the mandate of the EO, which calls for a new accountability framework that guides federal, state, and local water quality restoration efforts. The expectations also are a component of the Chesapeake Bay TMDL, which will set pollution limits for point sources and nonpoint sources contributing nitrogen, phosphorus and sediment to the Bay and its tidal creeks, rivers, and embayments. EPA expects the six watershed states and D.C. to identify how they will reduce pollutant loads to levels necessary to meet water quality standards. EPA expects detailed schedules for implementing cleanup actions and achieving pollution reductions. Progress will be measured through benchmarks every two years.

On December 29, 2010, EPA established the Chesapeake Bay TMDL, a historic and comprehensive "pollution diet" with rigorous accountability measures to initiate sweeping actions to restore clean water in the Chesapeake Bay and the region's streams, creeks and rivers. The TMDL is required under federal law and responds to consent decrees in Virginia and D.C. dating back to the late 1990s. It is also a keystone commitment of the EO strategy. The TMDL - the largest ever developed by EPA - includes pollution limits to meet water quality standards in the Bay and its tidal rivers. The TMDL is designed to ensure that all pollution control measures to fully restore the Bay and its tidal rivers are in place by 2025, with 60 percent of the actions completed by 2017. The TMDL is supported by rigorous accountability measures to ensure cleanup commitments are met, including short-and long-term benchmarks, a tracking and accounting system for jurisdiction activities, and federal contingency actions that can be employed if necessary to spur progress

On May 12, 2010, EPA and the other agencies included in the EO released a comprehensive strategy for the protection and restoration of the Chesapeake Bay and its watershed, as called for in Section 203 of the EO. The agencies are engaged in a significant public outreach effort to explain the strategy and to hear directly from members of the public about their perspectives on the ideas contained in these documents. Fiscal Year 2011: FY 11 activities will include: communications, outreach, and education activities to support the staffing and operations of the Bay Program Communication Office; implementation of state tributary strategies to reduce nutrients and sediments to improve water quality; continued technical support and outreach to address water quality restoration goals and maintain public awareness of Bay restoration; investigation of the nitrogen reduction efficiency and cost effectiveness of nitrogen reducing septic systems within the mid-Atlantic region; evaluation of the impact of phosphorus species on water quality and plant growth; NPDES data synthesis and field monitoring to better estimate loadings of toxics (metals, organics) to Chesapeake Bay through storm water; and Chesapeake Bay modeling, GIS and data analyses support, water quality data analysis/integration support, nonpoint and point source data management/analysis; and development of new regulations, design of TMDL watershed implementation plans, reissuance and enforcement of permits, and technical and compliance assistance to local

governments and regulated entities to meet the water quality goals of the 2000 Chesapeake Bay Agreement. Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Chesapeake Bay Program Office's Annual Grant Guidance and general regulations (40 CFR Parts 30 and 31) for assistance programs available from EPA. The Chesapeake Bay Program Office's Grant Guidance is available at <http://www.epa.gov/region03/chesapeake/grants.htm>.

#### **Regional or Local Office:**

See Regional Agency Offices. Veronica Kuczynski, EPA Chesapeake Bay Program Office, 410 Severn Avenue, Suite 112, Annapolis, MD 21403. Telephone: (410) 267-5743; FAX: (410) 267-5777; e-mail: [kuczynski.veronica@epa.gov](mailto:kuczynski.veronica@epa.gov).

#### **Headquarters Office:**

Veronica Kuczynski, EPA Chesapeake Bay Program Office, 410 Severn Avenue, Suite 112, Annapolis, Maryland 21403 Email: [kuczynski.veronica@epa.gov](mailto:kuczynski.veronica@epa.gov) Phone: (410) 267-5743.

#### **Website Address:**

<http://www.epa.gov/region03/chesapeake>

#### **RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.439 Targeted Watersheds Grants; 66.454 Water Quality Management Planning; 66.460 Nonpoint Source Implementation Grants

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants and cooperative agreements awarded to States and local governments, colleges, universities interstate agencies, and nonprofit organizations are for nonpoint source implementation, water quality monitoring, education and outreach, watershed management, living resources and habitat restoration, and program support. Examples of funded projects include: (1) enhanced storm water monitoring; (2) communications, outreach, and public education efforts; (3) computer modeling of different population levels of menhaden for multi-species management and potential impact on water quality; (4) nonpoint source pollution programs; (5) Chesapeake Bay point source data management; and (6) regulatory and accountability program grants. Fiscal Year 2011: Grants and cooperative agreements awarded to States and local governments, colleges, universities interstate agencies, and nonprofit organizations are for nonpoint source implementation, water quality monitoring, education and outreach, watershed management, living resources and habitat restoration, and program support. Examples of funded projects include: (1) enhanced storm water monitoring; (2) communications, outreach, and public education efforts; (3) computer modeling of different population levels of menhaden for multi-species management and potential impact on water quality; (4) nonpoint source pollution programs; (5) Chesapeake Bay point source data management; and (6) regulatory and accountability program grants. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.467 WASTEWATER OPERATOR TRAINING GRANT PROGRAM**

(Wastewater O&M Onsite Technical Assistance Grants)

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Federal Water Pollution Control Act, Section 104(g)(1), 33 U.S.C 1251.

#### **OBJECTIVES:**

To substantially enhance the proficiency of personnel engaged in the operations and maintenance of treatment works and related activities by financing pilot programs.

Funding Priority - Fiscal Year 2011: No funds are available in FY 2011. If funds become available, the funding priority will primarily be to provide on-site technical assistance to address the unique performance limiting conditions of wastewater treatment plants. Classroom training may also be provided on a limited basis, if cost-effective, to improve the skills of wastewater treatment

plant operators.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance is available to support recipients' allowable direct costs incidental to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State agencies or the designated organizations of the States, the District of Columbia, Puerto Rico, Virgin Islands, Guam, Northern Marianas, America Samoa, the Trust Territories, and Native American Indian Tribes. Additionally, institutions of higher education and "not for profit institutions" may also apply for funding if acting as a designated organization of the State.

**Beneficiary Eligibility:**

State, Tribal, and local governments and publicly owned treatment works (POTWs). Activities which contribute to Operation and Maintenance (O&M) improvements at POTWs, including pollution prevention activities, may be funded. Legislative history supports using appropriations for onsite O&M technical assistance to the small sized POTWs of less than 5 million gallons per day (MGD) of wastewater flow, since many of these POTWs are exhibiting performance problems and do not have readily available consultant's technical assistance like those of the larger POTWs.

**Credentials/Documentation:**

Costs will be determined in accordance with applicable OMB Circular No. A-87, Cost Principles for State and local governments. Non-profit applicants may be asked to provide documentation that they meet the definition of a non-profit organization in OMB Circular A-122. Tribes may be asked to demonstrate that they are Federally recognized. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard EPA application assistance forms must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular No. A-102 Uniform Administration Requirements for Grant-in-Aid to State and Local Government. Request for application forms and completed applications must be submitted to the applicable Regional or Headquarters Grants Administration office. Applications must meet the requirements of the grant regulations and must be reviewed and approved by the appropriate Regional or Headquarters' waste management program office prior to approval by the Grants office. The review must include an administrative and technical evaluation to determine adequacy, merit, and relevance of the proposal. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

An application is reviewed by the appropriate EPA Regional Office and, if approved, is signed by the Regional Administrator or designated Division Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, 90 days after the grant application is received by EPA.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Generally 25 percent in kind service/goods or matching funds is required; however, this provision may be waived in certain cases.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants may be awarded for a project period not to exceed 3 years. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Headquarters receives semi-annual status reports, and an annual data submission of the program's progress for the current fiscal year, from all Regional Offices. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records and other records which substantiate the reasonable and allocable charges must be available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status reports. If questions arise, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$15,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

For every \$1,000,000 appropriated by the U.S. Congress, a State receives approximately \$30,000/fiscal year to provide funds to onsite technical assistance providers. The range and average of financial assistance provided is: \$12,000 to \$40,000/fiscal year; \$25,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, \$15,000 was used to provide technical assistance to facilities which needed compliance assistance and to provide training to improve the skills of wastewater treatment plant operators. Fiscal Year 2011: Not applicable as no funding will be provided in FY 11. Fiscal Year 2012: No

Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants for technical assistance should review 40 CFR Part 30, the General Grant Regulations and Procedures, and the annual guidance produced by the Headquarters wastewater program office.

#### **Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog or online for additional information.

#### **Headquarters Office:**

Gajindar Singh, Office of Wastewater Management (4204M), Office of Water, Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: [singh.gajindar@epa.gov](mailto:singh.gajindar@epa.gov) Phone: (202) 564-0634.

#### **Website Address:**

[http://water.epa.gov/learn/training/wwoperatortraining/104g\\_index.cfm](http://water.epa.gov/learn/training/wwoperatortraining/104g_index.cfm)

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of funded projects include diagnostic and energy/water use evaluations at small POTWs and providing technical assistance to achieve compliance. Fiscal Year 2011: Not applicable as no funding will be provided in FY 11. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

On-site wastewater O&M technical applications managed by the Regions are evaluated based on the Headquarters wastewater program office's annual guidance, as well as EPA's grants management-related guidance. Other pilot program proposals, with similar objectives, will be considered by the Regional and Headquarters wastewater program offices based on the merits of the proposal, and prior designation by the applicable State agency(s) to receive these funds. Project objectives and requirements for applicants for other pilot project funding will be negotiated on a case-by-case basis.

### **66.468 CAPITALIZATION GRANTS FOR DRINKING WATER STATE REVOLVING FUNDS**

(Drinking Water State Revolving Fund)

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Safe Drinking Water Act (SDWA) Amendments of 1996, Section 130, Public Law 104-182.

#### **OBJECTIVES:**

Grants are made to States and Puerto Rico to capitalize their Drinking Water State Revolving Funds (DWSRFs) which will provide a long-term source of financing for the costs of drinking water infrastructure. Grants are also made to the District of Columbia, U.S. Territories (Virgin Islands, Mariana Islands American Samoa, and Guam), and Indian Tribes.

Funding Priority - Fiscal Year 2011: The funding priority established by the SDWA are for capitalization grants to each State for infrastructure improvement projects that are needed to achieve or maintain compliance with SDWA requirements, protect public health, and assist systems with economic need. A State may use a portion of the capitalization grant funds for programs that emphasize preventing contamination problems through source water protection and enhancing water system management. States and EPA Regions determine priorities for funding in accordance with SDWA. Capitalization grants to each State were also made available under the American Recovery and Reinvestment Act (Recovery Act) of 2009. A portion of the Recovery Act funding were targeted toward projects for green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities. The program supports the Agency's strategic goal of ensuring clean and safe water.

#### **TYPES OF ASSISTANCE:**

#### **FORMULA GRANTS**

#### **USES AND USE RESTRICTIONS:**

Capitalization grants are made available to each State and Puerto Rico for the purpose of establishing a DWSRF for providing assistance to drinking water systems for infrastructure improvements. The capitalization grant is deposited in the State's DWSRF, and is used to provide loans and other types of financial assistance to eligible public water systems. A State may elect to use up to 31% of the capitalization grant for other eligible activities, including 4% for administration of the program. States may also elect to transfer up to one-third of the DWSRF capitalization grant to the Clean Water State Revolving Fund (CWSRF) or an equivalent amount from the CWSRF to the DWSRF program. Grants are also made available to Federally Recognized Indian Tribal Governments, U.S Territories, and the District of Columbia. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

States, the District of Columbia, U.S. Territories or Possessions (the Commonwealth of Puerto Rico, Virgin Islands, Mariana Islands American Samoa, and Guam), and Federally Recognized Indian Tribal Governments are eligible for grants from the program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

States, U.S. Territories or Possessions (the Commonwealth of Puerto Rico, Virgin Islands, Mariana Islands American Samoa, and Guam), Federally Recognized Indian Tribal Governments, local, and intrastate.

#### **Credentials/Documentation:**

To receive a grant, an applicant enters into an agreement with the EPA Regional Administrator which shall include, but are not limited to, the requirements set forth in Section 130 of the SDWA. Recipients must follow OMB Circular No. A-87, "Cost Principles for State, Local and Indian Tribal Governments.". OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

States are required to prepare and provide for public comment on a plan identifying the intended uses (Intended Use Plan, or IUP) of the funds in the DWSRF and how those uses support the goals of the DWSRF. The IUP is to be submitted no later than the application. An environmental impact statement is not required prior to grant award; however, a State environmental review process must be applied to all subsequent State assistance for drinking water systems. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102

must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode 3903R, Washington, DC 20460 or through the appropriate Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Grants for Tribes, U.S. Territories, and the District of Columbia are selected based on funding priorities established by EPA Regional Offices. States must certify that they have the legal authority to receive a capitalization grant and that they have the legal authority to operate the program. States must provide assurance in their applications that they have the legal, managerial, technical and operational capabilities to administer the DWSRF program competently and that they will comply with all applicable Federal cross-cutting authorities and Federal statutes. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

A grant application is reviewed by the appropriate Regional Office, and if approved, the grant is awarded by the Regional Administrator under a delegation of authority from the Administrator of EPA. EPA Headquarters retains the authority to review certain applications or parts thereof. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time averages 45 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

For those portions of the applicant's program that do not change from year to year, a subsequent grant application may incorporate by reference relevant portions of the previous year's application which have not changed.

**Formula and Matching Requirements:**

Statutory Formula: Title Safe Drinking Water Act.

Matching Requirements: The funds available for allotment to State DWSRF programs are those funds appropriated by Congress under the Safe Drinking Water Act (SDWA 1452; 40 CFR 35.3540 and 35.3585). EPA allots funds to each State based on the State's proportional share of total eligible needs reported for the most recent Drinking Water Infrastructure Needs Survey (which is conducted every four years). The minimum proportional share that each State can receive is 1% of total funds available to States. EPA reserves up to 1.5% of the funds available for allotment to the States to provide grants to the U.S. Territories (Virgin Islands, Mariana Islands American Samoa, and Guam). The SDWA also requires the Administrator to reserve 1% of the funds available for allotment to the States to provide grants to the District of Columbia. The SDWA also allows EPA to reserve funds for national set-asides that include: up to 2.0% of the national appropriation for grants to Indian Tribes as well as funding for health effects studies, small system technical assistance, and monitoring of unregulated contaminants. The required State match is 20% of the amount of the capitalization made to the State. States must also provide a match or demonstrate a credit for state funded eligible activities to receive Federal funds for certain program support activities. For Recovery Act funds, the required State match of 20% of the amount of the capitalization grant was waived. For additional information go to <http://www.epa.gov/safewater/dwsrf/allotments/index.html>. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for EPA's obligation to the State during the fiscal year in which they are allotted and during the following year. Recovery Act funds were available for EPA's obligation to the State until September 30, 2010. The term of the grant shall be determined at the time of award. States must agree to enter into binding commitments with loan recipients to provide financial assistance from the DWSRF in an amount equal to the sum of Federal assistance, less amounts used by the State for eligible set-aside purposes, and the State match. States are also required to agree to commit and expend all funds in the DWSRF as efficiently as possible, and in a timely manner. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

States shall provide biennial reports to the Regional Administrator in accordance with the schedule established in the grant agreement (generally not later than 90 days after the end of the second fiscal year during which the payments were received). The biennial report shall describe how the State has met the goals and objectives for the preceding two fiscal years as identified in its intended use plans for those periods, including identification of loan recipients, loan amounts, and loan terms and similar details on other forms of financial assistance provided from the DWSRF. For grants to Tribes and U.S. Territories, procedures for accounting, auditing, evaluating, and reviewing any program for activities in whole or in part shall be governed by regulations at 40 CFR Parts 31 and 35, "Environmental Program Grants for Tribes," with reports as required by the specific terms of the agreement. For Recovery Act funds, funding reports must be submitted in a prescribed format within 10 calendar days after the end of each calendar quarter, beginning October 10, 2009. These reports will include data elements as prescribed by Public Law 111-5, Section 1512 and OMB Guidance. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. States must comply with the provisions of the Single Audit Act Amendments of 1996, and the OMB Circular No. A-133 and Compliance Supplement. States are also encouraged to conduct annual independent audits. The audit of the fund to be prepared by the State or an independent auditor must be in accordance with the standards of the Government Accountability Office (known as the Generally Accepted Government Auditing Standards). To the extent that the set-asides are used for project purposes that must be repaid, or are directly related to the DWSRF (e.g., administration) or are revolving funds themselves, they must be part of an audited opinion(s). The audits must provide an auditor's opinion on the DWSRF financial statements, a report on internal controls and a report on compliance with laws and regulations. Those set-aside funds that are not loaned out may be audited in conjunction with audits conducted under the Single Audit Act, as described in OMB Circular No. A-133 and OMB's Compliance Supplement for Single Audits of State and Local Governments.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved. As part of the annual review conducted by the Agency to assess a State's performance against activities identified in the intended use plan and biennial report, and to determine compliance with the terms of the capitalization grant agreement, the



State or assistance recipient shall make available to EPA such records as the Regional Administrator reasonably requires to review and determine State compliance with the requirements of the SDWA.

**Account Identification:**

68-0102-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 10 \$1,387,000,000; FY 11 est \$963,070,000; and FY 12 est \$986,000,000 - FY 10 \$1,387,000,000; FY 11 \$963,070,000; and FY 12 est. \$986,000,000. Recovery Act funds - FY 10 \$0; FY 11 est. \$0; and FY 12 est. \$0.

**Range and Average of Financial Assistance:**

States: \$13,573,000 to \$126,958,000/fiscal year; \$24,105,000/fiscal year. Tribes: \$6,000 to \$2,400,000/fiscal year; \$480,000/fiscal year. Territories: \$2,057,000 to \$13,573,000/fiscal year; \$4,189,000/fiscal year. Recovery Act funds - States: \$19,500,000 to \$160,000,000/fiscal year. Territories: \$500,000 to \$2,100,000/fiscal year. Tribes: \$15,600 to \$3,200,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: All 50 States and Puerto Rico have established and are implementing DWSRF programs through receipt of a capitalization grant. In FY 10, States made 1694 loans to systems for a total of \$3.8 billion to conduct infrastructure improvement projects. Of the total number of loans, 67% of loans went to small water systems that serve 10,000 persons or fewer. States also used funds to prevent drinking water contamination through source water protection and enhanced system management. Fiscal Year 2011: All 50 States and Puerto Rico have established and are implementing DWSRF programs through receipt of a capitalization grant. In FY 11, States, Tribes, and Territories will continue to receive funding to support infrastructure improvement projects. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31) and Drinking Water State Revolving Funds (40 CFR Part 35, Subpart L). Additional program information, including contact information for state program managers, is available online at <http://www.epa.gov/safewater/dwsrf.html>.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog, or online.

**Headquarters Office:**

Peter Shanaghan, Environmental Protection Agency, Infrastructure Branch (4606M), Drinking Water Protection Division, Office of Groundwater and Drinking Water, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: [shanaghan.peter@epa.gov](mailto:shanaghan.peter@epa.gov) Phone: (202) 564-3848.

**Website Address:**

<http://www.epa.gov/safewater/dwsrf.html>

**RELATED PROGRAMS:**

66.458 Capitalization Grants for Clean Water State Revolving Funds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Drinking water projects addressing treatment, storage, source, transmission, distribution and consolidation. Some examples of projects include: construction of an ultra-violet treatment facility; construction of pumping stations; upgrades of water treatment plant; line replacement; and new wells to replace wells that have been contaminated. Fiscal Year 2011: Drinking water projects addressing treatment, storage, source, transmission, distribution and consolidation. Some examples of projects include: construction of an ultra-violet treatment facility; construction of pumping stations; upgrades of water treatment plant; line replacement; and new wells to replace wells that have been contaminated. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.469 GREAT LAKES PROGRAM**

GLNPO

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104&118, 33 U.S.C 1254; National Environmental Policy Act, Section 102(2)(F); The Department of Defense and Full-Year Continuing Appropriations Act, 2011, Public Law 112-10.

**OBJECTIVES:**

To restore and maintain the chemical, physical, and biological integrity of the Great Lakes Basin Ecosystem. USEPA leads a consortium of programs, agencies, and public and private institutions in attaining specific objectives and actions that will address the most significant Great Lakes ecosystem problems and efforts in five major focus areas: Toxic Substances and Areas of Concern; Invasive Species; Nearshore Health and Nonpoint Source Pollution; Habitat and Wildlife Protection and Restoration; Accountability, Education, Monitoring, Evaluation, Communication and Partnerships. Funded activities will advance protection and restoration of the Great Lakes ecosystem in support of (i) the Great Lakes Restoration Initiative as described in the Great Lakes Restoration Initiative Action Plan

([http://greatlakesrestoration.us/action/wp-content/uploads/glri\\_actionplan.pdf](http://greatlakesrestoration.us/action/wp-content/uploads/glri_actionplan.pdf)), (ii) as applicable: Sub-objective 4.3.3 (Improve the Health of Great Lakes Ecosystems) of EPA's 2006-2011 Strategic Plan or the Great Lakes portion of Objective 2.02 (Protect and Restore Watersheds and Aquatic Ecosystems) of EPA's 2011-2015 Strategic Plan, and/or (iii) the Great Lakes Regional Collaboration Strategy to Protect and Restore the Great Lakes <http://www.glr.us/strategy.html>.

Funding Priority - Fiscal Year 2011: The Great Lakes Restoration Initiative, guided by the Great Lakes Regional Collaboration Strategy, is a coordinated effort among EPA and the Great Lakes Federal Interagency Task Force to fund the highest priority activities in order to protect and restore the Great Lakes.

The President in 2009 announced a new Great Lakes Restoration Initiative, committing the federal government to significantly advance Great Lakes protection and restoration pursuant to that work. EPA has since then led the Interagency Task Force in development of a 2010-2014 Great Lakes Restoration Initiative Action Plan (Action Plan). The Action Plan, built upon the foundation of the GLRC Strategy and developed with stakeholder input from meetings throughout the Great Lakes, targets the most significant environmental problems in the Great Lakes ecosystem. The Action Plan is an action driver, articulating the most significant ecosystem problems and efforts to address them in five major focus areas:

(i) Toxic Substances and Areas of Concern, including pollution prevention and cleanup of the most polluted areas in the Great Lakes.

(ii) Invasive Species, including efforts to institute a "zero tolerance policy" toward new invasions.

(iii) Nearshore Health and Nonpoint Source Pollution, including a targeted geographic focus on high priority watersheds and reducing polluted runoff from urban, suburban, and agricultural lands.

(iv) Habitat and Wildlife Protection and Restoration, including bringing wetlands and other habitat back to life, and the first-ever comprehensive assessment of the entire 530,000 acres of Great Lakes coastal wetlands for the purpose of strategically targeting restoration and protection efforts in a science-based manner.

(v) Accountability, Education, Monitoring, Evaluation, Communication and Partnerships, including the implementation of goal- and results-based accountability measures, learning initiatives, outreach and strategic partnerships.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

The statutory authority for awards from 2011/2012 funding is contained in

Public Law 112-10 (the Department of Defense and Full-Year Continuing Appropriations Act, 2011, Pub. L. No. 112-10), including Section 1739 of Title VII which references Environmental Protection Agency, Administrative Provisions in division A of Public Law 111-88, authorizing grants "for planning, research, monitoring, outreach, and implementation for grants to and/or cooperative agreements with governmental entities, nonprofit organizations, institutions, and individuals in furtherance of the Great Lakes Restoration Initiative and the Great Lakes Water Quality Agreement." Great Lakes Restoration Initiative implementation, as described above, includes but is not limited to land use activities, governmental partnerships and informed public participation, technology development, investigations, experiments, training, demonstrations, surveys, and studies to the extent consistent with the Great Lakes Regional Collaboration or the Great Lakes Restoration Initiative Action Plan.

The Statutory Authority to take action to implement the U.S. responsibilities under the Great Lakes Water Quality Agreement, which these awards will support, is contained in Section 118(c) of the Clean Water Act. The principal goal of the Great Lakes Water Quality Agreement is the restoration and maintenance of the chemical, physical, and biological integrity of the Great Lakes Ecosystem. For projects with international aspects the above statutes are supplemented, as appropriate, by the National Environmental Policy Act, Section 102(2)(F).

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved activities plus allowable indirect costs, in accordance with established EPA policies and regulations. Quality System Documentation is required for projects involving measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Section 118 (c)(12) authorizes contaminated sediment remediation in Areas of Concern pursuant to eligible projects under the Great Lakes Legacy Act; however, these will be done through project cooperation agreements, rather than assistance. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Entities eligible to apply for grants include governmental entities, nonprofit organizations, institutions, and individuals. This includes state agencies; any agency or instrumentality of local government; interstate agencies; federally-recognized tribes and tribal organizations; colleges and universities that are subject to 40 CFR Part 30 or 40 CFR Part 31; non-profit organizations as described in Section 501(c)(3) of the Internal Revenue Code; and other public or non-profit private agencies, institutions, and organizations. Non-profit organization, as defined by OMB Circular A-122, located at 2 CFR Part 230, means any corporation, trust, association, cooperative, or other organization which: (1) is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (2) is not organized primarily for profit; and (3) uses its net proceeds to maintain, improve, and/or expand its operations. Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible applicants. "For profit" organizations are not eligible applicants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Beneficiaries include governmental entities, nonprofit organizations,

institutions, and individuals. This includes state agencies; any agency or instrumentality of local government; interstate agencies; federally-recognized tribes and tribal organizations; colleges and universities that are subject to 40 CFR Part 30 or 40 CFR Part 31; non-profit organizations as described in Section 501(c)(3) of the Internal Revenue Code; and other public or non-profit private agencies, institutions, and organizations. Non-profit organization, as defined by OMB Circular A-122, located at 2 CFR Part 230, means any corporation, trust, association, cooperative, or other organization which: (1) is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (2) is not organized primarily for profit; and (3) uses its net proceeds to maintain, improve, and/or expand its operations. Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible applicants. "For profit" organizations are not eligible applicants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Credentials/Documentation:**

The provisions of OMB Circular No. A-87 "Cost Principles for State, Local and Indian Tribal Governments," OMB Circular No. A-21 "Cost Principles for Educational Institutions," and of OMB Circular No. A-122 "Cost Principles for Nonprofit Organizations" apply. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Preapplication assistance is available. Requests for Initial Proposals and Proposals will be accessible on the Internet from GLNPO's home page (<http://www.epa.gov/glnpo/>) and an announcement will be mailed to organizations which have registered with GLNPO. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. As specified in applicable requests for proposals. Application kits may be requested from USEPA &#150; GLNPO (G-17J), 77 West Jackson Boulevard, Chicago, Illinois 60604-3590. Application Packages should be submitted to the same address. Standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

Proposals are evaluated by EPA reviewers to determine the adequacy of the application under Great Lakes objectives, including technical merit, relevance of the project, environmental outcomes, and cost. Administrative review is done by the Regional Assistance Branch. Funds are awarded by the Great Lakes National Program Office or Region 2, 3, or 5, as applicable. Great Lakes Restoration Initiative assistance is approved by the Great Lakes National Program Manager. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 60 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the Great Lakes National Program Office for information.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Leveraging, including an applicant's match percentage, will be considered as part of the project selection process for grants and cooperative agreements; however, the program does not expect to require any minimum match requirement. Any such requirement will be specified in the individual Request for Proposals. A minimum 35 percent matching requirement will apply to Legacy Act projects (Section 103 of the Great Lakes Legacy Act of 2002).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally 1-3 years; however, some incremental awards are made up to 5 years. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$178,627,380; FY 11 est \$108,000,000; and FY 12 est \$133,000,000 - Grants and Cooperative Agreements - FY 10 \$164,627,380; FY 11 est. \$58,000,000; and FY 12 est. \$60,000,000. Legacy Act (Project Agreements) - FY 10 \$14,000,000; FY 11 est. \$50,000,000; and FY 12 est. \$73,000,000.

**Range and Average of Financial Assistance:**

Grants and Cooperative Agreements: \$14,906 to \$7,000,000/fiscal year;

approximately \$560,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: While implementation of the Great Lakes Restoration Initiative is in an early stage and, therefore, the ecological impact from these investments is still unfolding, the partnership of agencies and stakeholders is beginning to show early results. For example:

- A temporary barrier was constructed to keep Asian carp from migrating up the Wabash River to Ohio's Maumee River watershed, when the two rivers connect during heavy rainstorms. The Indiana Department of Natural Resources (DNR) completed its work in a matter of months using \$640,00 in funding transferred from the U.S. Fish and Wildlife Service to the Indiana DNR.

- Construction of emergency barriers to keep Asian carp an invasive species that could significantly damage the Great Lakes from reaching the Chicago Area Waterway System via the adjacent Des Plaines River, using \$7.25 million. USFWS used GLRI funding to implement more than 120 on-the-ground projects, such as the Shiawassee River wetlands project in Michigan, which resulted in the conversion of 141 acres of agricultural land to wetlands. The effort was completed with the help of a vigorous partnership including Ducks Unlimited and the Saginaw Bay Watershed Initiative Network.

- Federal, state, tribal and local governments are implementing 17 EPA pollution prevention and reduction grants totaling more than \$8.6 million in GLRI funding. Expected results include a reduction in releases of:

  - o Mercury by more than 2,500 lbs/year

  - o Lead by 9,800 lbs/year

  - o Nutrients by 2.8 million lbs/year

  - o Pesticides of more than 32,000 lbs/year

  - o Pharmaceuticals, through collections totaling more than 11 million pills, and E-waste, through collections totaling 8 million pounds.

- The Sustain Our Great Lakes program is a public-private partnership between EPA, USFWS, USFS, NOAA, National Fish and Wildlife Foundation, and the ArcelorMittal steel company. Current projects are restoring more than 100 miles of stream riparian habitats and more than 1,500 acres of wetlands. One project, the Upper Manistee Riparian Corridor Restoration Project in the Lake Michigan basin, is removing 12 dams and improving a stream road crossing along the North Branch of the Manistee River and Flowing Well Creek. The project is expected to result in 14 stream miles restored for fish passage, a natural flow regime for 20 miles of stream, restoration of the native brook trout population, and restoration of native vegetation on 650 acres of wetland and upland habitats.

Descriptions of Great Lakes Restoration Initiative projects are available from: [https://restore.glnpo.net/glas\\_pub/qareports.htm](https://restore.glnpo.net/glas_pub/qareports.htm). Fiscal Year 2011: GLNPO holds competitions throughout the year based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement typically includes the number of anticipated awards. In FY 11, GLNPO issued a competitive Request for Applications in the following four areas: Toxic Substances and Areas of Concern; Invasive Species; Nearshore Health and Nonpoint Source Pollution; and Accountability, Education, Monitoring, Evaluation, Communication and Partnerships. GLNPO also issues non-competitive grants to States and Tribes for LaMP and RAP activities. Additional information is available from links at <http://www.epa.gov/grtlakes/fund/glf.html>. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Requests for Proposals, examples, and other Great Lakes funding information is available from <http://www.epa.gov/glnpo/fund/>. General regulations for EPA assistance programs are contained in 40 CFR Parts 30 through 47.

**Regional or Local Office:**

See Regional Agency Offices. Mike Russ, USEPA. Great Lakes National Program Office (G-17J), 77 West Jackson Boulevard, Chicago, Illinois 60604-3590. Telephone: (312) 886-4013; FAX: (312) 353-2018; e-mail: russ.michael@epa.gov.

**Headquarters Office:**

Mike Russ, EPA, Great Lakes National Program, Office (G-17J), 77 West Jackson Boulevard, Chicago, Illinois 60604 Email: russ.michael@epa.gov Phone: (312) 886-4013.

**Website Address:**

<http://www.epa.gov/glnpo/fund/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.454 Water Quality Management Planning; 66.460 Nonpoint Source Implementation Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants and cooperative agreements were awarded to state pollution control agencies, interstate agencies, Tribes, colleges, universities, and other public or non-profit private agencies, institutions, and organizations for planning, research, monitoring, outreach, and implementation in support of the Great Lakes Restoration Initiative. Projects were funded within the focus areas of: (i) Toxic Substances and Areas of Concern, including pollution prevention and cleanup of the most polluted areas in the Great Lakes; (ii) Invasive Species, including efforts to institute a "zero tolerance policy" toward new invasions; (iii) Nearshore Health and Nonpoint Source Pollution, including a targeted geographic focus on high priority watersheds and reducing polluted runoff from urban, suburban and, agricultural sources; (iv) Habitat and Wildlife Protection and Restoration, including bringing wetlands and other habitat back to life, and the first-ever comprehensive assessment of the entire 530,000 acres of Great Lakes coastal wetlands for the purpose of strategically targeting restoration and protection efforts in a science-based manner; and (v) Accountability, Education, Monitoring, Evaluation, Communication and Partnerships, including the implementation of goal- and results-based accountability measures, learning initiatives, outreach and strategic partnerships. Project descriptions are available from:

[https://restore.glnpo.net/glas\\_pub/qareports.htm](https://restore.glnpo.net/glas_pub/qareports.htm) . Fiscal Year 2011: Grants and cooperative agreements will be awarded to state pollution control agencies, interstate agencies, Tribes, colleges, universities, and other public or non-profit private agencies, institutions, and organizations for planning, research, monitoring, outreach, and implementation in support of the Great Lakes Restoration Initiative. Projects will be funded within the focus areas of: (i) Toxic Substances and Areas of Concern, including pollution prevention and cleanup of the most polluted areas in the Great Lakes; (ii) Invasive Species, including efforts to institute a "zero tolerance policy" toward new invasions; (iii) Nearshore Health and Nonpoint Source Pollution, including a targeted geographic focus on high priority watersheds and reducing polluted runoff from urban, suburban and, agricultural sources; and (iv) Accountability, Education, Monitoring, Evaluation, Communication and Partnerships, including the implementation of goal- and results-based accountability measures, learning initiatives, outreach and strategic partnerships. Project descriptions will be available from: [https://restore.glnpo.net/glas\\_pub/qareports.htm](https://restore.glnpo.net/glas_pub/qareports.htm) . Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Proposals are approved by EPA according to technical merit and relevance to the Great Lakes Water Quality Agreement, Section 118 of the Clean Water Act, and the criteria established in the applicable Request for Proposals.

**66.471 STATE GRANTS TO REIMBURSE OPERATORS OF SMALL WATER SYSTEMS FOR TRAINING AND CERTIFICATION COSTS**

(Operator Certification Expense Reimbursement Grants)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act (SDWA) Amendments of 1996, Section 301, Public Law 104-182.

**OBJECTIVES:**

This grant program was established as a one-time grant to states and U.S. territories to train and certify small drinking water system operators.

Funding Priority - Fiscal Year 2011: EPA's funding priority has been to provide funds to states to reimburse the costs of training, including an appropriate per diem for unsalaried operators, and certification for persons operating community and nontransient noncommunity public water systems serving 3,300 persons or fewer that are required to undergo training pursuant to EPA's operator certification guidelines. All 50 states, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds. No new funding is available for this program.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used by states to reimburse operators of community and nontransient noncommunity water systems serving 3,300 persons or fewer for the costs of training and certification needed to meet EPA guidelines. Unsalaries operators may also be reimbursed for per diem costs. States are allowed to use a portion of their grant to administer the program. If a state has reimbursed all such costs, the state may, after notice to the Administrator of EPA, use any remaining funds from the grant for any of the other purposes authorized for Drinking Water State Revolving Fund (DWSRF) capitalization grants under section 1452 of the 1996 SDWA Amendments (CFDA 66.468).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States, Puerto Rico, and U.S. Territories are eligible to receive grants.

**Beneficiary Eligibility:**

States and U.S. Territories are the primary beneficiaries. States and U.S. Territories use funds awarded to them to provide reimbursement to operators of community and nontransient noncommunity public water systems serving 3,300 persons or fewer that are publicly- or privately-owned. Indian tribes and Alaska Native Villages may be eligible to receive funding through state programs if they are subject to state operator certification program requirements.

**Credentials/Documentation:**

To receive a grant, a State or territory enters into an agreement with the EPA Regional Administrator which shall include, but not be limited to, the requirements set forth in Section 1419(d) of the 1996 SDWA Amendments. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts with State and Local Governments" applies to state grantees. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant (State and U.S. territory) should seek preapplication assistance from the appropriate EPA Regional Office as listed in Appendix IV of the Catalog. An environmental impact statement is not required prior to grant award. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application for

EPA non-construction grant assistance (EPA Form SF-424) is submitted to the appropriate Regional Office. The state must receive EPA approval of its operator certification program before it can apply for and receive a grant. The state must provide the assurance in its application that it will comply with all applicable Federal cross-cutting authorities and Federal statutes. EPA grant regulations (40 CFR Part 31) apply to states receiving grants. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

A grant application is reviewed by the appropriate Regional Office, and if approved, the grant is awarded by the Regional Administrator under a delegation of authority (Delegation of Authority 9-68) from the Administrator of EPA. EPA Headquarters retains the authority to review certain applications or parts thereof.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time averages 45 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 66 FR 19939.

Matching Requirements: The Regional Administrator may award expense reimbursement grants from funds appropriated for this purpose. Allotments to the States and U.S. territories are based on a formula, approved by the Assistant Administrator for Water, that allocates the funds based on several factors, including the number of operators of small systems within a State. The allocation methodology was published in the Federal Register on April 18, 2001 (66 FR 19939). There are no matching requirements on the initial grant award. However, if a state reimburses all eligible costs and chooses to use the remaining funds for purposes eligible under the DWSRF program (CFDA 66.468), it will be required to provide a 20 percent match on the remaining amount. The allotment of funds to the States is determined by a formula that reflects the costs to train and certify operators of system serving 3,300 persons or fewer in each state.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

During the two year reimbursement period, 54 awards were made to states for reimbursement of certification and training cost for drinking water operators of small water systems serving populations of 3,300 or less. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United

States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records and other records which substantiate the reasonable and allocable charges must be available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status reports. If questions arise, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$14,420 to \$9,642,860/fiscal year; \$4,828,640/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: All states, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds for this program to date. In FY 10, awarded funds were used to reimburse operators of community and non-transient non-community water systems serving 3,300 persons or fewer for the costs of certification (initial certification fees, certification renewal fees, exam fees) and training (training course fees and materials). Fiscal Year 2011: In FY 11, awarded funds will be used to reimburse operators of community and non-transient non-community water systems serving 3,300 persons or fewer for the costs of certification (initial certification fees, certification renewal fees, exam fees) and training (training course fees and materials). Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants for assistance should review 40 CFR Part 31, the General Grant Regulations and Procedures and guidance produced by the Headquarters drinking water program office.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog, or online.

**Headquarters Office:**

Allison Watanabe Protection Branch (4606M), Drinking Water Protection Division, Office of Groundwater and Drinking Water, U.S. Environmental Protection Agency, Washington, District of Columbia 20460 Email: [watanabe.allison@epa.gov](mailto:watanabe.allison@epa.gov) Phone: (202) 564-0128

**Website Address:**

<http://www.epa.gov/safewater/operatorcertification/>

**RELATED PROGRAMS:**

66.468 Capitalization Grants for Drinking Water State Revolving Funds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: All States, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds for this program. Funds for this grants program are being used to reimburse operators of community and nontransient noncommunity water systems serving 3,300 persons or fewer for the costs of training and certification. Examples of eligible reimbursement costs included: initial certification fees, certification renewal fees, examination fees, costs of training courses, and mileage reimbursements. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grants are awarded to States that satisfy the requirements outlined in the application procedure section.

**66.472 BEACH MONITORING AND NOTIFICATION PROGRAM IMPLEMENTATION GRANTS**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 406; Beaches Environmental Assessment and Coastal

Health Act of 2000, Public Law 106-284.

**OBJECTIVES:**

To assist Coastal and Great Lakes States and Tribes eligible under Section 518(e) of the Clean Water Act, as amended, in developing and implementing programs for monitoring and notification for coastal recreation waters adjacent to beaches or similar points of access that are used by the public.

Funding Priority - Fiscal Year 2011: EPA's funding priority is to award grants to those applicants whose proposals clearly demonstrate a State's, Tribe's, or local government's ability to monitor recreational waters; notify the public of risks; manage programs; and communicate among environmental and public health agencies and the public.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

These grants are intended to support the development and implementation of recreational water monitoring and notification programs or support enhancement of an existing program. EPA encourages grantees to use implementation grant funds to test various approaches for meeting BEACH Act program requirements. For development grants, programs must clearly demonstrate an increase in a State's, Tribe's, or local government's ability to monitor recreational waters and notify the public of risks; manage programs; and communicate among environmental and public health agencies and the public. To be eligible for implementation grants, programs must also demonstrate that they meet the program performance criteria listed in the National Beach Guidance and Required Performance Criteria for Grants (EPA-823-B-02-004). Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Coastal and Great Lakes States, territories (Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands), and Tribes eligible under Section 518(e) of the Clean Water Act, as amended. The Administrator may make a grant to a local government under this subsection for implementation of a monitoring and notification program only if, after the one-year period beginning on the date of publication of performance criteria under Section 406 (a)(1), the Administrator determines that the State is not implementing a program that meets the requirements of Section 406(a)(1), regardless of whether the State has received a grant under Section 406(a)(1). Interstate agencies and intertribal consortia are not eligible for Beach grants.

**Beneficiary Eligibility:**

States, U.S. territories, Federally recognized Indian Tribal Governments, environmental and public health agencies, and local governments involved in implementing monitoring and notification programs.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, Tribal, and local governments. Recipients must show compliance with 40 CFR Part 31. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination with the appropriate EPA Regional Office is encouraged. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official

designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms should be made to the appropriate EPA Regional Grants Management Office identified in Appendix IV of the Catalog. Completed applications should be sent to the appropriate Regional or Headquarters Contact. All proposals or work statements should be developed in response to the criteria identified in CRITERIA FOR SELECTING PROPOSALS. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office, and if approved, are awarded by the Regional Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within five months of receipt of complete application.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval by the appropriate EPA Regional or Headquarters Contact. Please contact the appropriate EPA Regional or Headquarters Contact for guidance.

**Formula and Matching Requirements:**

Statutory Formula: Title Beaches Environmental Assessment and Coastal Health Act of 2000. EPA awards grants to all eligible States and territories who apply for funding based on an allocation formula that the Agency developed for allocating BEACH Act grant funds in 2002. The allocation formula uses three factors: (1) beach season length, (2) beach miles, and (3) beach use. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Beach grants are normally funded on a 12-month basis (yearly). However, EPA may negotiate the project period, grant continuations, and grant amendments with each applicant based on project requirements. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

Recipients must submit annual performance reports and financial reports as required in 40 CFR 31.40 and 31.41. The annual performance report explains changes to the beach monitoring and notification program during the grant year. It also describes how the grant funds were used to implement the program to meet the performance criteria listed in National Beach Guidance and Required Performance Criteria for Grants (EPA 823-B-02-004). The annual performance report required under 40 CFR 31.40 is due no later than 90 days after the grant year ends. Recipients must also submit annual monitoring and notification reports required by the National Beach Guidance and Required Performance Criteria for Grants (EPA 823-B-02-004). Sections 2.2.3 and 4.3 of the document contain the performance criterion requiring an annual monitoring report, and sections 2.2.8 and 5.4 contain the performance criterion requiring an annual notification report. This document can be found at <http://www.epa.gov/waterscience/beaches/grants/>. These reports, required to be submitted to EPA under CWA section 406(b)(3)(A) and the National Beach Guidance and Required Performance Criteria for Grants, include data collected as part of a monitoring and notification program. As a condition of award of an implementation grant, EPA requires that the monitoring report and the notification report for any beach season be submitted not later than January 31 of the year following the beach season. Program reports are required under this program. Cash reports are required under this program. Progress reports are

required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 10 \$10,194,200; FY 11 est \$9,880,000; and FY 12 est \$9,900,000

**Range and Average of Financial Assistance:**

States and territories: \$ 86,000 to \$531,000/fiscal year; \$280,000/fiscal year. In FY 10, EPA made \$100,000 available to eligible Tribes. In FY 10, there were two eligible Tribes.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, EPA awarded grants to all 35 coastal and Great Lakes States and territories and two eligible Tribes that qualified for the BEACH Act Grant program. Program benefits from funding in FY 10 include: development and implementation of recreational water quality monitoring protocol (sampling design, indicator organism); decreasing swimmer exposure by improving communication outreach and education to public on swimming advisories; establishing more efficient and timely management decision process for posting swimming advisories; and constructing databases to provide government and public access to data and information. Fiscal Year 2011: In FY 11, grants will continue to support the development and implementation of recreational water quality monitoring and notification programs or support enhancement of an existing program. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Region I (Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island) Caitlyn Whittle, USEPA Region 1, 5 Post Office Square, Suite 100 (OEP06-1), Boston, MA 02109-3912; Telephone: (617) 918-1748; FAX: (617) 918-0748; e-mail: whittle.caitlyn@epa.gov

Region II (New Jersey, New York, Puerto Rico, U.S. Virgin Islands) Helen Grebe, USEPA Region 2, 2890 Woodbridge Ave. MS220, Edison, NJ 08837-3679; Telephone: (732) 321-6797; FAX: (732) 321-6616; e-mail: grebe.helen@epa.gov

Region III (Delaware, Maryland, Pennsylvania, Virginia) Denise Hakowski, USEPA Region 3, 1650 Arch Street 3WP30, Philadelphia, PA 19103-2029; Telephone: (215) 814-5726; FAX: (215) 814-2318; e-mail: hakowski.denise@epa.gov

Region IV (Alabama, Florida, Georgia, Mississippi, North Carolina, South Carolina) Joel Hansel, USEPA Region 4, 61 Forsyth St. 15th Floor, Atlanta,

GA 30303-3415; Telephone: (404) 562-9274; FAX: (404) 562-9224; e-mail: hansel.joel@epa.gov

Region V (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin);Holly Wirick, USEPA Region 5, 77 West Jackson Blvd. WT-16J, Chicago, IL 60604-3507; Telephone: (312) 353-6704; FAX: (312) 886-0168; e-mail: wirick.holiday@epa.gov

Region VI (Louisiana, Texas) Mike Schaub, USEPA Region 6, 1445 Ross Ave. 6WQ-EW, Dallas, TX 75202-2733; Telephone: (214) 665-7314; FAX: (214) 665-6689; e-mail: schaub.mike@epa.gov

Region IX (American Samoa, Commonwealth of the Northern Mariana Islands, California,Guam, Hawaii) Terry Fleming, USEPA Region 9, 75 Hawthorne St. WTR-2, San Francisco, CA 94105; Telephone: (415) 744-1939; FAX: (415) 744-1078; e-mail: fleming.terrence@epa.gov

Region X (Alaska, Oregon, Washington) Rob Pedersen, USEPA Region 10, 120 Sixth Ave. OW-134, Seattle, WA 98101; Telephone: (206) 553-1646; FAX: (206) 553-0165; e-mail: pedersen.rob@epa.gov.

**Headquarters Office:**

Richard Healy, USEPA, 1200 Pennsylvania Ave. NW, (4305T), Washington, District of Columbia 20460 Email: healy.richard@epa.gov Phone: (202) 566-0405.

**Website Address:**

<http://www.epa.gov/waterscience/beaches>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Development and implementation of beach monitoring programs; development of databases and websites; purchase of lab equipment for water quality monitoring; construction and posting of signs on beaches; and purchase of vehicles for monitoring. Fiscal Year 2011: Development and implementation of beach monitoring programs; development of databases and websites; purchase of lab equipment for water quality monitoring; construction and posting of signs on beaches; and purchase of vehicles for monitoring. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

To be eligible for program implementation grants, applicants must meet program performance criteria outlined in National Beach Guidance and Required Performance Criteria for Grants (EPA-823-B-02-004). The performance criteria set forth implementation grant requirements for monitoring and assessing recreation waters and promptly notifying the public of exceedances of water quality for pathogens. As a condition of receipt of a program Implementation Grant under Section 406(b) of the Clean Water Act, a State or local government program for monitoring and notification under this section shall identify: (1) lists of coastal recreation waters in the State, including coastal recreation waters adjacent to beaches or similar points of access that are used by the public; (2) in the case of a State program for monitoring and notification, the process by which the State may delegate to local governments responsibility for implementing the monitoring and notification program; (3) the frequency and location of monitoring and assessment of coastal recreation waters based on: (a) the periods of recreational use of the waters; (b) the nature and extent of use during certain periods; (c) the proximity of the waters to known point sources and nonpoint sources of pollution; and (d) any effect of storm events on the waters; (4)(a) the methods to be used for detecting levels of pathogens and pathogen indicators that are harmful to human health; and (b) the assessment procedures for identifying short-term increases in pathogens and pathogen indicators that are harmful to human health in coastal recreation waters (including increases in relation to storm events); (5) measures for prompt communication of the occurrence, nature, location, pollutants involved, and extent of any exceeding of, or likelihood of exceeding, applicable water quality standards for pathogens and pathogen indicators to: (a) the Administrator, in such form as the Administrator determines to be appropriate; and (b) a designated official of a local government having jurisdiction over land adjoining the coastal recreation

waters for which the failure to meet applicable standards is identified; (6) measures for the posting of signs at beaches or similar points of access, or functionally equivalent communication measures that are sufficient to give notice to the public that the coastal recreation waters are not meeting or are not expected to meet applicable water quality standards for pathogens and pathogen indicators; and (7) measures that inform the public of the potential risks associated with water contact activities in the coastal recreation waters that do not meet applicable water quality standards.

### **66.473 DIRECT IMPLEMENTATION TRIBAL COOPERATIVE AGREEMENTS**

(DITCA)

#### **FEDERAL AGENCY:**

Office of International and Tribal Affairs, Environmental Protection Agency

#### **AUTHORIZATION:**

Consolidated Appropriations Act, 2006, Public Law 109-54.

#### **OBJECTIVES:**

Direct Implementation Tribal Cooperative Agreements (DITCAs) enable EPA to award cooperative agreements to federally recognized Indian tribes and eligible intertribal consortia to help carry out the Agency's function to implement directly, Federal environmental programs required or authorized by law in the absence of an acceptable tribal program, notwithstanding the Federal Grant and Cooperative Agreement Act. DITCAs are an increasingly important avenue for EPA and the tribes to realize meaningful environmental protection in Indian Country. DITCAs enable EPA to partner with tribes help fulfill EPA's direct implementation authorities, yield environmental results, and assist the Agency in meeting its Strategic Plan goals and targets. DITCAs also provide tribes with the flexibility and opportunity by allowing tribes, through a workplan with EPA and under federal authority, to choose aspects of a program that address their tribal environmental needs and priorities, to determine the scope and pace of tribal involvement, and to build tribal capacity to implement environmental programs.

Funding Priority - Fiscal Year 2011: The program provides another avenue for tribes and EPA to partner in implementing meaningful environmental protection in Indian Country. DITCAs provide tribes with the flexibility and opportunity to develop staff capacity to manage environmental programs, to address specific tribal environmental needs and priorities that are within EPA's authority for direct implementation, and to determine the scope and pace of tribal involvement. EPA retains final decision-making authority and ultimate responsibility for the environmental programs including all regulatory activities. EPA may award DITCAs to fund activities for environmental programs that meet either one of the following criteria: 1) federal programs under environmental laws that clearly require EPA to directly implement in the Tribal context; or 2) federal programs under environmental laws that in the state context EPA is required to directly implement in the absence of an acceptable state program. Because DITCAs can address a wide range of activities, and the need for implementation of these activities in Indian Country is great, the funding priority is for any eligible activity that addresses a tribal environmental need or priority, and yields meaningful environmental results for the tribe and the Agency.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

DITCAs assist Tribes in helping EPA directly implement Federal environmental programs required or authorized by law in the absence of an acceptable Tribal program, and may only be awarded to Tribes to assist the Administrator in directly implementing Federal environmental programs for Indian Tribes required or authorized by law. EPA may award DITCAs to fund activities for environmental programs that meet either one of the following criteria: 1) federal programs under environmental laws that clearly require EPA to directly implement in the Tribal context; or 2) federal programs under environmental laws that in the state context EPA is required to directly implement in the absence of an acceptable state program. There are several limitations on DITCA awards. Among them are: (1) The statutory authority for DITCA is found in appropriations acts. In the event the appropriation authority

is extended by continuing resolution(s), the DITCA authority will also be extended. (2) The project period of the DITCA may extend beyond the period of the appropriations act under which it was created, but all funds must be awarded prior to the expiration of the appropriations act authorizing the DITCA. (3) DITCA funded personnel may not perform inherently Federal functions. (4) EPA personnel can provide assistance to DITCA representatives based on the written DITCA work plan which may include daily direction. EPA cannot treat DITCA representatives as EPA employees by participating in hiring, disciplining, or firing decisions. (5) DITCA funded personnel cannot operate vehicles which are either owned or leased by the Federal government. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

DITCAs may be awarded to: (1) Federally Recognized Indian Tribal Government, and (2) intertribal consortia consistent with applicable provisions. In order for an intertribal consortium to be eligible to receive cooperative agreements under this authority, an intertribal consortium should be consistent with the provisions in 40 C.F.R. Part 35. See Notice of Guidance Issuance: Direct Implementation Tribal Cooperative Agreements (DITCAs) Guidance, 70 Fed. Reg 1440 (2005).

#### **Beneficiary Eligibility:**

Federally Recognized Indian Tribal Government and intertribal consortia consistent with applicable provisions.

#### **Credentials/Documentation:**

The provisions of OMB Circular No. A-87 "Cost Principles for State, Local and Indian Tribal Governments" apply. In order for intertribal consortium to be eligible to receive cooperative agreements under this authority, an intertribal consortium should be consistent with the provisions in 40 CFR Part 35. For additional information see also the Notice of Guidance Issuance, 70 Fed. Reg. 1440 (2005). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. EPA will work with Tribes and Intertribal Consortia to develop work plans consistent with program guidance and any regulations that govern the implementation of the relevant Federal environmental program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The preapplication must be submitted to EPA for review. Successful applicants will be contacted by EPA and will be required to submit "Application for Federal Assistance," SF 424; "Budget Information: Non-Construction Programs," SF 424A, "Assurances-Non-Construction Programs, Certification Regarding Debarment, Suspension and Other Responsibility Matters," SF 424B; "Certification Regarding Lobbying;" "Pre-Award Compliance Review," EPA 4700-4; and other required forms to complete the application process. Eligible applicants should contact the appropriate Regional Office Contact identified in Appendix IV of the Catalog of information regarding preapplications. The forms are available at: <http://www.epa.gov/ogd/AppKit/application.htm>. Completed applications should be submitted to the appropriate Regional Office Contact identified in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

EPA will review each application to determine the adequacy of the application



in relation to EPA's grant regulations (40 CFR Part 31) and applicable program regulations and guidance. If the application is approved, EPA will award a cooperative agreement up to the reasonable and necessary cost of the approved work plan.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are generally approved and cooperative agreements awarded within 60 to 120 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally awards cooperative agreements for periods of 12 to 36 months. The term of the grant shall be determined at the time of award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA and Tribes will negotiate the frequency and content of performance and financial status reports. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 35, "Environmental Program Grants for Tribes." Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual Financial Status Report (SF-269). If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$771,800; FY 11 est \$500,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

EPA expects cooperative agreement amounts to range between \$10,000 and \$100,000/fiscal year; \$55,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The funds are used to provide regulatory oversight of Public Water Systems, to perform evaluation work, to develop products and to provide training; Source Water assessment and contingency planning; Continued development of Underground Storage Tank (UST) and Leaking Underground Storage Tank (LUST) Prevention programs. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency and applicable EPA guidance. DITCA guidance is available at <http://www.epa.gov/indian/pdfs/ditca-guidance-2004.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. EPA's Regional Indian Coordinators at <http://www.epa.gov/indian/contactinfo/regcontacts.htm>.

**Headquarters Office:**

Jeff Besougloff, American Indian Environmental Office (4104 M) EPA, Ariel Rios Building, 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: [besougloff.jeff@epa.gov](mailto:besougloff.jeff@epa.gov) Phone: (202) 564-0292.

**Website Address:**

<http://www.epa.gov/indian/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of DITCAs funded activities include: water quality standards promulgation and review; implementation of the National Pollutant Discharge Elimination System permit program under the Clean Water Act; implementation plan development and the Title V permit program under the Clean Air Act; implementation of the Public Water System Supervision program and the Underground Injection Control program under the Safe Drinking Water Act; implementation of the Underground Storage Tank program and the Subtitle C permit program under the Resource Conservation and Recovery Act; certification and training program for pesticide applicators under the Federal Insecticide, Fungicide, and Rodenticide Act; inventory of underground storage tanks; and creation and implementation of a smoke management plan under the Clean Air Act. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Cooperative agreements may be awarded to Tribes which submit applications consistent with EPA regulations and guidance. Potential applicants should work with Regional contacts listed as "Information Contacts" identified in Appendix IV of the Catalog. EPA will work with Tribes and Intertribal Consortia to develop work plans consistent with program guidance and any regulations that govern the implementation of the relevant Federal environmental program.

**66.474 WATER PROTECTION GRANTS TO THE STATES**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Consolidated Appropriations Resolution of 2003, Public Law 108-7; Consolidated Appropriations Resolution of 2004, Public Law 108-199; Department of Defense and Emergency Supplemental Appropriations for Recovery from and Response to Terrorist Attacks on the United States Act, 2002, Public Law 107-117; Safe Drinking Water Act, Section 1442.

**OBJECTIVES:**

The objective of this grant program is to assist States, Territories, and possessions of the United States with critical water infrastructure protection.

Funding Priority - Fiscal Year 2011: EPA's funding priority is to provide grant assistance to the States, Territories, and possessions of the United States to support technical assistance, training, and communication activities on critical

water infrastructure protection efforts that include work with drinking water systems as well as with Federal, State, and local agencies. States, Territories, and possessions of the United States will be able to continue their efforts to coordinate critical water infrastructure protection activities with other homeland security responsibilities. Grant awards support Goal 2, "Clean and Safe Water," of EPA's 2006-2011 Strategic Plan. Specifically, awards will enhance public health protection by securing critical infrastructure through support for counter-terrorism preparedness; communicating vision, mission, and goals of the sector specific plan and the key features of an active and effective security program; helping to ensure security best practices for small systems; promoting outreach and education at small systems; promoting mutual aid compacts development; supporting the development of system redundancy, a national laboratory system and disaster mitigation plans; and developing and overseeing emergency response and recovery plans, including those related to pandemic flu concerns. No new appropriations are available for this program in FY 2011.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funded activities include providing: (1) technical assistance, training, or distribution of tools that would lead to satisfactory vulnerability assessments of drinking water systems; (2) technical assistance, training, or distribution of tools that would lead to drinking water systems creating, amending or updating emergency response plans to meet new requirements or security threats; (3) assistance to improve communications with or between drinking water systems and other agencies or organizations involved with security or emergency response; and (4) other activities focusing on training to enhance security and improving the readiness of individuals and groups involved in first response at drinking water systems. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is available to States, Tribes, Territories, and possessions of the United States.

**Beneficiary Eligibility:**

Water programs of States, Territories, and possessions of the United States.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-application assistance is recommended and should be obtained from the Grants Management Office of the pertinent EPA Regional Office listed in Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms, furnished by EPA and required by OMB Circular No. A-102, must be used for this program. Requests for application kits may be directed to the Grants Management Office of the applicable EPA Regional Office listed in Appendix IV of the Catalog. Kits may also be obtained online at <http://www.epa.gov/ogd/AppKit/application.htm>. The completed application, including the final proposal, should be submitted to the appropriate EPA

Regional Grants Management Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Application is reviewed by the appropriate EPA Regional Office and, if approved, is signed by the Regional Administrator or designated Division Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 to 90 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title PWSS formula. As was the case in FY 02 through FY 08, for FY 09 a modification of the basic PWSS formula was chosen to allocate the funds, with each State, the District of Columbia, and Puerto Rico receiving a minimum of \$50,000 and each Territory at least \$16,700.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project/budget period on these grants may exceed one year. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 10 \$1,776,037; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Funds are awarded by each Regional Office. The range of financial assistance available to States varies according to program and fiscal year. Contact the Grants Management Office of the pertinent EPA Regional Office, listed in Appendix IV of the Catalog, to determine the amount for which applicants are eligible. The range and average of financial assistance provided is: FY 09 - \$16,700 to \$380,300/fiscal year; \$198,500/fiscal year.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, States and Territories continued to develop materials (i.e., documents, training manuals, etc.) focused on improving security and emergency response, ensuring the quality of drinking water vulnerability assessments, and associated security enhancements. Additionally, States and Territories conducted a number of trainings, workshops, and/or conferences to improve infrastructure protection, increase preparedness, promote mutual aid compacts and/or provide information to drinking water utilities. Significant action has been accomplished in helping to support and establish mutual aid compacts, including providing technical support and training exercises related to these agreements. Outcomes included changed management and operation of drinking water utilities based on training and current vulnerability assessments of the utilities; and establishment and improvement of emergency response coordination and communications. Fiscal Year 2011: In FY 11, States and Territories continued to support security activities to achieve the overall outcome of improving critical water infrastructure protection with an emphasis on smaller systems, mutual aid compacts between systems and States, and better understanding and application of an active and effective security system. During this period, the States and Territories continued to use prior allocated funding to achieve these goals, as no new funding was available. Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31, General Regulation for Assistance Programs; EPA Annual Program Guidance provided to States.

#### **Regional or Local Office:**

See Regional Agency Offices. Contact the Grants Management Office of the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

#### **Headquarters Office:**

Nancy Muzzy, Water Security Division, EPA, (Mail Code 140), 26 W. Martin Luther King Drive, Cincinnati, Ohio 45268 Email: muzzy.nancy@epa.gov Phone: (513) 569-7864.

#### **Website Address:**

<http://cfpub.epa.gov/safewater/watersecurity/financeassist.cfm>

#### **RELATED PROGRAMS:**

66.432 State Public Water System Supervision

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: EPA has supported the following types of drinking water security activities: (1) improving communications to drinking water systems by updating drinking water system contact information and utilizing a mass faxing system; (2) providing onsite assistance for small drinking water systems on security issues; (3) developing and mailing security information kits to drinking water systems; (4) maintaining a duty officer program and toll free number to enable operators to reach state drinking water agency after hours; (5) assisting in the formation of neighborhood watch programs to increase citizen awareness of drinking water security; (6) developing guidance for water utilities to use alternative water supplies; (7) incorporating security considerations into state design standards and State Revolving Fund (SRF) criteria; (8) creating websites to provide easy access to state drinking water security information; (9) designing and conducting on-line training, videos, and materials for the law enforcement community to outline water utility security basics; (10) conducting emergency response exercises and drills; (11) creating ready-to-go complete sampling kits to eliminate delays in obtaining bottles and preparing expedited sampling and transport protocols in preparation for emergency water supply collection needs; (12) assisting in preparation of state plans to implement measures for safe drinking water under emergency circumstances; and (13) facilitating mutual aid compacts in instances of emergency need, between states and water systems. Fiscal Year 2011: EPA has supported the following types of drinking water security activities: (1) improving communications to drinking water systems by updating drinking water system contact information and

utilizing a mass faxing system; (2) providing onsite assistance for small drinking water systems on security issues; (3) developing and mailing security information kits to drinking water systems; (4) maintaining a duty officer program and toll free number to enable operators to reach state drinking water agency after hours; (5) assisting in the formation of neighborhood watch programs to increase citizen awareness of drinking water security; (6) developing guidance for water utilities to use alternative water supplies; (7) incorporating security considerations into state design standards and State Revolving Fund (SRF) criteria; (8) creating websites to provide easy access to state drinking water security information; (9) designing and conducting on-line training, videos, and materials for the law enforcement community to outline water utility security basics; (10) conducting emergency response exercises and drills; (11) creating ready-to-go complete sampling kits to eliminate delays in obtaining bottles and preparing expedited sampling and transport protocols in preparation for emergency water supply collection needs; (12) assisting in preparation of state plans to implement measures for safe drinking water under emergency circumstances; and (13) facilitating mutual aid compacts in instances of emergency need, between states and water systems. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are approved by EPA according to technical merit and relevance, and availability of funds.

#### **66.475 GULF OF MEXICO PROGRAM**

(Gulf of Mexico Alliance Regional Partnership Projects)

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), 33 U.S.C 1254.

#### **OBJECTIVES:**

(1) To assist States, Indian Tribes, interstate agencies, and other public or nonprofit organizations in developing, implementing, and demonstrating innovative approaches relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution; and (2) To expand and strengthen cooperative efforts to restore and protect the health and productivity of the Gulf of Mexico in ways consistent with the economic well-being of the region.

Funding Priority - Fiscal Year 2011: Projects that will deliver significant results to achieve the environmental outcomes of improved health of the Gulf of Mexico by addressing water quality with an emphasis on the following: healthy beaches and shellfish beds; habitat conservation and restoration; increased awareness/stewardship of the Gulf of Mexico; ecosystems integration and assessment; reduced nutrient inputs to sustain productive Gulf aquatic ecosystems; and coastal community resilience. Projects must actively involve stakeholders and focus on short-term support and implementation of the actions and activities in the Gulf of Mexico Alliance Governors' Action Plan II for Healthy and Resilient Coasts and the Gulf Coast Ecosystem Restoration Strategy.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Section 104 (b)(3) of the Clean Water Act, 33 U.S.C. Section 1254 (b)(3) authorizes the awarding of assistance for programs established under the Clean Water Act. Assistance will be targeted to States, Tribes, interstate agencies, and other public or nonprofit organizations that commit to specific activities. Eligible activities should be of a relatively short time frame (6 months to 3 years) and all projects should achieve and demonstrate results. Assistance agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, research, and demonstrations plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies

that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Funds are available to State and local governments, interstate agencies, Tribes, colleges and universities, and other public or nonprofit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, interstate agencies, Tribes, colleges and universities, and other public or nonprofit organizations.

**Credentials/Documentation:**

Compliance with 40 CFR Parts 30 and 31 and with Program Funding Guidance. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-122 for nonprofit organizations, and OMB No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should follow the proposal format and instructions provided in the Funding Announcement. The proposal should be transmitted electronically to the email address and by the date and time published in the Funding Announcement. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90-180 days following the application deadline as addressed in the competitive funding announcement.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the Gulf of Mexico Program Office for information.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the assistance shall be determined at time of award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$4,722,300; FY 11 est \$2,000,000; and FY 12 est \$1,850,000

**Range and Average of Financial Assistance:**

\$36,000 to \$400,000/fiscal year; \$149,460/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, 91 proposals were received in response to a competition to support projects to accomplish short-term actions toward implementation of the Gulf of Mexico Alliance Governors' Action Plan for Healthy and Resilient Coasts and 11 assistance agreements were awarded. Accomplishments include: dissemination and evaluation of a Coastal Community Resilience Index; development of a StormSmart Coast Network and creation of a Homeowner's Handbook to prepare for natural hazards; support to further the knowledge of living marine resources status in the Gulf of Mexico and coastal observing systems; building cultural competency in experiential environmental education; providing enhanced public awareness and understanding of the Gulf Alliance priority issues through exhibitry; assessment and prioritization of Gulf ecosystems affected by alterations in freshwater inflow; development of a pilot nutrient criteria for an estuary in the Western Gulf of Mexico; sources, fate, transport and effects of nutrients on downstream ecological processes in the Galveston Bay estuary; binational training workshops on harmful algal blooms in support of HABSOS; achieving Gulf-wide data comparability through round robins; and assessment of mercury risks and selenium. Fiscal Year 2011: In FY 11, it is anticipated that 100 proposals will be received in response to a competition to continue support for projects to accomplish implementation of the Gulf of Mexico Alliance

Governors' Action Plan II and the Gulf Coast Ecosystem Restoration Strategy. It is estimated that approximately 10-50 assistance agreements will be awarded. Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For assistance agreements with States, local governments, and Indian tribal governments, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102, "Grants and Cooperative Agreements for States and Local Governments." For assistance agreements with other entities the procedures should be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

#### **Regional or Local Office:**

See Regional Agency Offices. Contact the EPA Region 4 Office listed in Appendix IV of the Catalog for information on the grants administration process. Local Office: EPA/Gulf of Mexico Program Office, Mail Code EPA/GMPO, Stennis Space Center, MS 39529, Attention: Gerry Martin. Telephone: 228-688-1281. FAX: 228-688-2709. E-Mail: martin.gerry@epa.gov.

#### **Headquarters Office:**

Gerry Martin EPA/Gulf of Mexico Program Office, Mail Code EPA/GMPO, Stennis Space Center, Mississippi 39529 Email: martin.gerry@epa.gov Phone: 228-688-1281

#### **Website Address:**

<http://www.epa.gov/gmpo/>

#### **RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support;  
66.463 Water Quality Cooperative Agreements

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Water quality modeling support, wetlands resource management baseline, harmful algal bloom information exchange, seagrass restoration, nutrient control/monitoring of eutrophication, stormwater biofilter demonstration, marshland upwelling system, point source locations, wastewater treatment feasibility study, nutrient modeling, waterbird rookery management, outreach and communications strategy targeted at high-risk consumers of shellfish, invasive species education exhibit, inventory of marine science research, assessment of introduction of nonindigenous aquatic species from ballast water, septic tank maintenance, response plan for harmful algal blooms, assessment of groundwater discharge and sewage impacts, reducing onsite sewage treatment system impacts, nutrient flux from sediments, monitoring and assessment of stormwater diversion, assessment status of invasive species, bacterial source tracking, smart growth planning, wetland inventory, acute pollution event response plan, synoptic survey of total mercury in recreational finfish, ecological assessment and calibration of water quality, mercury levels in harvested fishes, remote sensing of harmful algal blooms, shoreline protection, hydrological modifications impact study. Fiscal Year 2011: Water quality modeling support, wetlands resource management baseline, harmful algal bloom information exchange, seagrass restoration, nutrient control/monitoring of eutrophication, stormwater biofilter demonstration, marshland upwelling system, point source locations, wastewater treatment feasibility study, nutrient modeling, waterbird rookery management, outreach and communications strategy targeted at high-risk consumers of shellfish, invasive species education exhibit, inventory of marine science research, assessment of introduction of nonindigenous aquatic species from ballast water, septic tank maintenance, response plan for harmful algal blooms, assessment of groundwater discharge and sewage impacts, reducing onsite sewage treatment system impacts, nutrient flux from sediments, monitoring and assessment of stormwater diversion, assessment status of invasive species, bacterial source tracking, smart growth planning, wetland inventory, acute pollution event response plan, synoptic survey of total mercury in recreational finfish, ecological assessment and calibration of water quality, mercury levels in harvested fishes, remote sensing of harmful algal blooms, shoreline protection, hydrological modifications impact study. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Projects will be selected based on the criteria and ranking factors established in the GMPO Competitive Funding Announcement. Leveraged funds and resources will be considered during the evaluation scoring process.

#### **66.478 WATER SECURITY TRAINING AND TECHNICAL ASSISTANCE AND WATER SECURITY INITIATIVE CONTAMINATION WARNING SYSTEM PILOTS**

##### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

##### **AUTHORIZATION:**

The Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Title 4, Public Law 107-188; Safe Drinking Water Act, Section 1433&1434; Department of Defense and Emergency Supplemental Appropriations for Recovery from and Response to Terrorist Attacks on the United States Act of 2002, Public Law 107-117.

##### **OBJECTIVES:**

The objective of these grant programs are (1) for financial assistance that is awarded under SDWA Section 1433, to improve water infrastructure security through both training and technical assistance for water utilities and (2) for cooperative agreements that are awarded under SDWA Section 1434, to address the risk of intentional contamination of drinking water distribution systems.

Funding Priority - Fiscal Year 2011: For Section 1433 financial assistance, no funding is anticipated for Fiscal Year 2011. If funds become available, EPA's funding priority is to provide assistance to eligible non-profit organizations that provide training, technical support or other assistance to water utilities. Specifically, EPA is seeking to utilize the ability of non-profit organizations to provide water security technical support and training. For Section 1434 cooperative agreements, no funding is anticipated for Fiscal Year 2011. If funds become available, EPA's funding priority is to provide assistance to community water systems for drinking water contamination warning system pilot projects. Financial assistance awarded under both of these programs support Goal 2, Clean and Safe Water, of EPA's 2006 - 2011 Strategic Plan. Specifically, awards will enhance public health protection by securing critical infrastructure through support for counter-terrorism preparedness.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

Funded activities for financial assistance awarded under Section 1433 of the SDWA include: (1) training to gain competence and expertise in the process of developing or completing vulnerability assessments; (2) training to gain competence and expertise in the process of developing, amending, or updating emergency response plans; (3) training to gain competence and expertise in various security enhancements; and (4) providing competent training and technical assistance in the aforementioned areas to help states, tribes, and local authorities in their water infrastructure security efforts. Funded activities for cooperative agreements awarded under Section 1434 of the SDWA may include: (1) demonstration of contamination and warning system monitoring and surveillance components; (2) contamination warning system consequence management plan; and (3) evaluation and transfer of results. Specific uses and restrictions on funds will be described in detail in the competitive announcements for each program. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Financial assistance awarded under Section 1433 of the SDWA is available to public non-profit institutions/organizations and private non-profit institutions/organizations, capable of providing training, technical support and/or assistance to drinking water systems. Cooperative agreements awarded under Section 1434 of the SDWA will be limited to local governments or institutions (either public or private nonprofit organizations) that operate community water systems (as defined in 40 C.F.R. 141.2). Note that 501(c)(4) non-profit organizations that lobby are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

For financial assistance awarded under both Sections 1433 and 1434 of the SDWA, the beneficiaries are the drinking water systems, the water programs of the State or Tribe, and the public which will benefit from these programs through safer and more secure drinking water.

**Credentials/Documentation:**

EPA may request that applicants demonstrate their eligibility. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Section 1434 cooperative agreements are a new grant program that has not been included in the agency's list of programs subject to Intergovernmental review. However, EPA recommends that applicants for these cooperative agreements should consult the office or official designated as the single point of contact in its State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program also does not require an environmental impact statement or assessment. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit an "Application for Federal Assistance," SF 424, "Budget Information: Non-Construction Programs," SF 424A, "Assurances: Non-Construction Programs," SF 424B, "Certification Regarding Debarment, Suspension and Other Responsibility Matters," "Certification Regarding Lobbying," "Pre-Award Compliance Review Report," EPA 4700-4, and other required forms to complete the application process. Application kits should be requested from the U.S. Environmental Protection Agency, Grants and Interagency Agreements Management Division, Mail Code 3903R, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460 or the appropriate EPA Regional Office identified in Appendix IV of the Catalog. Detailed information and assistance, including an application kit, required forms, and a check list, may also be found at <http://www.epa.gov/ogd/AppKit/index.htm>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Applications should be submitted in accordance with the procedures stated in the competitive announcement.

**Award Procedure:**

Applications are reviewed by EPA, where subsequent grant awards are made to successful applicants. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 to 90 days after deadline for application submittal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Any continuation of funding will be described in the terms of the assistance agreement.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements, if any, will be described in the competitive announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0107-0-1-304 - For financial assistance awarded under Section 1433 of the SDWA, 68-0107-0-1-304 and 68-0108-0-304; S&T and EPM. For cooperative agreements awarded under Section 1434 of the SDWA, 68-0107-0-1-304; S&T.

**Obligations:**

(Cooperative Agreements) FY 10 \$7,484,803; FY 11 est \$0; and FY 12 est \$0 - For financial assistance awarded under Section 1433 of the SDWA, FY 10 \$0; FY 11 est. \$0; and FY 12 est. \$0. For cooperative agreements awarded under Section 1434 of the SDWA, FY 10 \$7,484,803; FY 11 est. \$0; and FY 12 est. \$0.

**Range and Average of Financial Assistance:**

For financial assistance awarded under Section 1433 of the SDWA, no funding was provided in FY 10 and none is anticipated for FY 11. For cooperative agreements awarded under Section 1434 of the SDWA, funding provided in FY

10 ranged from \$3,734,803 to \$3,750,000, with an average of \$3,742,402. No funding is anticipated for FY 11.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Competitions are held at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. In FY 10, for Section 1433 awards, no competitive announcements were issued and no new awards were made. For Section 1434 awards, this was a financial assistance pilot program. In FY 07, EPA issued a competitive announcement to award up to four cooperative agreements to support drinking water contamination warning system demonstration pilots. These pilots are part of the Agency's Water Security Initiative, which seeks to develop a warning system that achieves timely detection of and appropriate response to drinking water contamination incidents. The pilots include specified monitoring and surveillance components, a consequence management plan, and an evaluation plan. The anticipated outcome is that these pilots will generate information that allows community water systems nationally to practice effective techniques to detect and respond to possible contamination events. Drinking water consumers will experience a reduction in risk associated with drinking water contamination and improved water quality. Fiscal Year 2011: Competitions are held at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. Currently for FY 11, EPA has no funds available; however, should funding become available, projects that will improve the security of drinking water systems will be the focus of the awards. Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe Drinking Water Act, Sections 1433 and 1434; "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations," 40 CFR Part 30, and. "Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments," 40 CFR Part 31.

#### **Regional or Local Office:**

See Regional Agency Offices. Contact the Grants Management Office of the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

#### **Headquarters Office:**

Nancy Muzzy, EPA, Water Security Division, Mail Code 140, 26 W. Martin Luther King Drive, Cincinnati, Ohio 45268 Email: muzzy.nancy@epa.gov Phone: 513-569-7864.

#### **Website Address:**

<http://cfpub.epa.gov/safewater/watersecurity/>

#### **RELATED PROGRAMS:**

66.474 Water Protection Grants to the States

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY 10, no funding is anticipated for projects to be awarded under Section 1433 of the SDWA. For cooperative agreements awarded under Section 1434 of the SDWA, activities continue to be conducted under four contamination warning system demonstration pilots (i.e., designing, installing, and operating) that include monitoring and surveillance components of the Water Security design, a consequence management plan, and an evaluation plan. Fiscal Year 2011: In FY 11, no funding is anticipated for projects to be awarded under Section 1433 of the SDWA. For cooperative agreements awarded under Section 1434 of the SDWA, activities continue to be conducted under four contamination warning system demonstration pilots (i.e., designing, installing, and operating) that include monitoring and surveillance components of the Water Security design, a consequence management plan, and an evaluation plan. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.479 WETLAND PROGRAM GRANTS - STATE/TRIBAL ENVIRONMENTAL OUTCOME WETLAND DEMONSTRATION**

#### **PROGRAM**

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

#### **OBJECTIVES:**

To assist State and Tribal government agencies protect, manage, and restore wetlands.

Funding Priority - Fiscal Year 2011: This one-time pilot program, funded in FY 05 through FY 07, provided grants for states and tribes to implement regulatory and nonregulatory activities to assess whether financial assistance for wetland program implementation yields positive environmental outcomes. Grantees annually report the programmatic and environmental outcomes resulting from their grants. This program represents a one-time pilot effort; EPA does not plan on funding any new projects.

#### **TYPES OF ASSISTANCE:**

#### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

State/Tribal Environmental Outcome Wetland Demonstration Grants provide eligible applicants an opportunity to conduct projects that promote the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. This pilot program will demonstrate that supporting the implementation of State and Tribal wetland programs will have positive environmental results and will support the no net loss/net gain of wetland acreage goal and support increased involvement of State and Tribal protection of vulnerable waters. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

States and Tribal wetland agencies are eligible for the State/Tribal Environmental Outcome Wetland Demonstration Program competition pilot. Local agencies and non-for-profits are not eligible for participation. Tribes must be federally recognized, although "Treatment as a State" status is not a requirement. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State and tribal governments involved in administering wetlands protection, restoration, and/or management programs or programs related to or complementing wetlands protection programs.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, Tribal, and local governments. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372,

"Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Information is available on the EPA website at: <http://www.epa.gov/owow/wetlands/grantpilot/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

The EPA Headquarters (HQ) Office established criteria against which State and Tribal wetland programs were evaluated and ranked. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within 120 days of receipt of completed application.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: State and Tribal government agencies must provide a minimum of 25 percent of each award's total project costs in accordance with 40 CFR 31.24, 35.385, and 35.615. We encourage States and Tribes to provide a larger share of the project's cost whenever possible (i.e., in excess of the required 25 percent of total project costs). 40 CFR 35.536(c) (the Environmental Program Grants for Tribes Regulation), States that "the required cost share shall be five percent of the allowable cost of the work plan budget for that program" if the Tribal applicant puts the funds into a PPG. Tribal applicants can submit budgets with a 5 percent match if the Tribe is going to put the funds into a PPG. The following term and condition will be included in the assistance agreement awarded to the Tribe: If the Wetlands Program Grant Funds are not or could not be included in a PPG, then the Tribe must provide a 25 percent match. The match requirement can be met with contributions from entities other than the award recipient. Other Federal money cannot be used as the match for this grant program unless authorized by the statute governing the award of the other Federal funds. However, Indian tribes can use funds provided under the Indian Self-Determination and Education Act (25 USC 450 et seq.) to provide the required matching funds to the extent authorized by that Act and implementing regulations. Matching funds are considered grant funds. They may be used for the reasonable and necessary expenses of carrying out the work plan. Any restrictions on the use of grant funds (i.e., prohibition of land acquisition with grant funds) also apply to the use of matching funds. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly,

interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$200,000 to \$300,000/fiscal year; \$250,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Funding is for projects designed to investigate and demonstrate whether wetland program implementation results in positive environmental and programmatic outcomes. This is a one-time pilot grant program. In FY 05, EPA received 51 proposals in response to the competitive announcement released November 5, 2004. EPA awarded 26 one-time pilot grants to 22 states and one tribe. Projects include: activities to track no net loss of wetland acres in the 404 regulatory program and net gain in wetland acres and functions; monitoring and assessment; compliance inspections and enforcement of state regulatory programs; state permit reviews; inventory and mapping of wetland resources; compensatory mitigation; and development of rules, policies, and procedures to restore and protect vulnerable wetlands. At the end of each year of funding, projects report the outcomes resulting from activities funded by the pilot grants. To date, pilot grant recipients have submitted approximately thirty-eight annual reports and the final report in FY 10. The following represents a sample of results reported to date; these numbers will increase when the pilot projects are complete: -Restoration: three grantees have restored over 190 wetland acres and 1,542 stream feet;- Inventory and Mapping: eight grantees have inventoried or mapped over 7.0 million acres of wetland resources and surrounding lands;-Data Systems: Because of updated and reconfigured data tracking systems, 44 more programs, agencies, and organizations in 9 states are using wetland data systems;- Monitoring and Assessment: five grantees have monitored and/or assessed over 730,000 wetland acres; and-Regulation: eight grantees have adopted and implemented three new rules and 12 policies or procedures to better protect wetlands resources through state programs. Fiscal Year 2011: Funding is for projects designed to investigate and demonstrate whether wetland program implementation results in positive environmental and programmatic outcomes. This is a one-time pilot grant program. Projects include: activities to track no net loss of wetland acres in the 404 regulatory program and net gain in wetland acres and functions; monitoring and assessment; compliance inspections and enforcement of state regulatory programs; state permit reviews; inventory and mapping of wetland resources; compensatory mitigation; and development of



rules, policies, and procedures to restore and protect vulnerable wetlands. At the end of each year of funding, projects report the outcomes resulting from activities funded by the pilot grants. Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations, and Procedures (40 CFR Parts 31 and 35).

#### **Regional or Local Office:**

See Regional Agency Offices. Region 1 - CT, ME, MA, NH, RI, VT: Jeanne Voorhees, US EPA Region 1, 1 Congress Street, MC CSP, Suite 1100, Boston, MA, 02114. Phone: 617-918-1686. [voorhees.jeanne@epa.gov](mailto:voorhees.jeanne@epa.gov). Region 2 - NJ, NY, PR, VI: Kathleen Drake, US EPA Region 2, 290 Broadway, NY, NY, 10007. Phone: 212-637-3817. [drake.kathleen@epa.gov](mailto:drake.kathleen@epa.gov). Region 3 - DE, MD, PA, VA, WV, DC: Anita Provenzano, US EPA Region 3, 1650 Arch Street, MC 3EA30, Philadelphia, PA, 19103. Phone: 215-814-5180. [provenzano.anita@epa.gov](mailto:provenzano.anita@epa.gov). Region 4 - AL, FL, GA, KY, MS, NC, SC, TN: Morgan Jackson and Rhonda Evans, US EPA Region 4, 61 Forsyth Street, SW, Atlanta, GA, 30303. Phone: 404-562-9393 (M. Jackson); 404-562-9369 (R. Evans). [jackson.morgan@epa.gov](mailto:jackson.morgan@epa.gov); [evans.rhonda@epa.gov](mailto:evans.rhonda@epa.gov). Region 5 - IL, IN, MI, MN, OH, WI: Sue Elston, US EPA Region 5, 77 West Jackson Blvd., MC WW16J, Chicago, IL, 60604. Phone: 312-886-6115. [elston.sue@epa.gov](mailto:elston.sue@epa.gov). Region 6 - AR, LA, NM, OK, TX: Sondra McDonald, US EPA Region 6, 1445 Ross Avenue, MC 6WQ-AT, Dallas, TX, 75202. Phone: 214-665-7187. [mcdonald.sondra@epa.gov](mailto:mcdonald.sondra@epa.gov). Region 8 - CO, MT, ND, SD, UT, WY: Toney Ott, US EPA Region 8, 1595 Wynkoop Street, 8EPR-EP, Denver, CO, 80202. Phone: 303-312-6909. [ott.toney@epa.gov](mailto:ott.toney@epa.gov). Region 9 - AZ, CA, HI, NV, AS, GU: Suzanne Marr and Paul Jones, US EPA Region 9, 75 Hawthorne Street, WTR-3, San Francisco, CA 94105. Phone: 415-972-3468 (S. Marr); 415-972-3470 (P. Jones). [marr.suzanne@epa.gov](mailto:marr.suzanne@epa.gov); [jones.paul@epa.gov](mailto:jones.paul@epa.gov). Region 10 - AK, ID, OR, WA: Yvonne Vallette, US EPA Region 10, Oregon Operations Office, 811 S.W. 6th Ave, 3rd Floor, OOO, Portland, OR, 97204. Phone: 503-326-2716. [vallette.yvonne@epa.gov](mailto:vallette.yvonne@epa.gov).

#### **Headquarters Office:**

Romell Nandi, Wetlands Division (4502T), Office of Oceans, Wetlands, and Wetlands, Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: [nandi.romell@epa.gov](mailto:nandi.romell@epa.gov) Phone: (202) 566-1203.

#### **Website Address:**

<http://www.epa.gov/owow/wetlands/grantpilot/>

#### **RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.456 National Estuary Program; 66.458 Capitalization Grants for Clean Water State Revolving Funds; 66.461 Regional Wetland Program Development Grants

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: This is a one-time pilot grant program. Examples of funded projects include: monitoring/assessment for vernal wetlands, enforcement activities, state permit review, mapping, program assessments, compensatory mitigation assessment and tracking, and protection of vulnerable wetlands. Fiscal Year 2011: This is a one-time pilot grant program. Examples of funded projects include: monitoring/assessment for vernal wetlands, enforcement activities, state permit review, mapping, program assessments, compensatory mitigation assessment and tracking, and protection of vulnerable wetlands. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Decisions of which States and Tribes will receive funding under this pilot will be determined by how the State or Tribe's program rank using established criteria and factors. These criteria will be published on the HQ Office's website ([www.epa.gov/owow/wetlands/grantpilot](http://www.epa.gov/owow/wetlands/grantpilot/)). States and Tribes will be evaluated and ranked according to these criteria and factors. Funding under this pilot program will be provided to the States and Tribes that rank the highest.

#### **66.480 ASSESSMENT AND WATERSHED PROTECTION PROGRAM GRANTS**

(AWPPG)

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 104(b)(3).

#### **OBJECTIVES:**

To support the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. The two main goals of the Assessment and Watershed Protection Program Grants (AWPPGs) include supporting a watershed approach to better address water quality problems in the U.S. and building the capacity of all levels of government to develop and implement effective, comprehensive programs for watershed protection, restoration, and management.

Fiscal Year 2011: Funding under this program area may include:

Watershed/Total Maximum Daily Load (TMDL) Program - (1) Assessment and TMDL Workshops; (2) Impaired Waters Recovery and Results Analysis; (3) Tools and Products Training for the Watershed Approach; and (4) Tools, Incentives and Trainings that Foster Financing of Water Quality, Habitat Restoration/Protection on a Watershed Scale. Nonpoint Source Program - (1) National Conference and Outreach Program to Promote Clean Lakes.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incidental to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Specific uses and restrictions on funds will be described in detail in the competitive announcements.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Assistance under this program is available to States and local governments, Federally recognized Indian Tribes, territories and possessions of the U.S. (including the District of Columbia), interstate associations or intertribal consortia, public or private nonprofit, nongovernmental institutions, and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

States and local governments, Federally recognized Indian Tribes, territories and possessions of the U.S. (including the District of Columbia), interstate associations or intertribal consortia, public or private nonprofit, nongovernmental institutions, and individuals.

#### **Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. Costs will be determined in accordance with OMB Circular no. A-21 for educational institutions, OMB Circular Nos. A-122 for nonprofit organizations, and A-87 for State and local governments. OMB

Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting research, investigations, experiments, training, demonstrations, surveys, and studies and based on competitive applications submitted in response to EPA solicitations. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular Nos. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), 1200 Pennsylvania Ave., NW, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). The Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for water surveys, studies, demonstrations, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly,

interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients' grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$60,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$10,000 to \$150,000/fiscal year; \$75,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Competitions are held at Headquarters based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. No new awards were made in FY 10. Fiscal Year 2011: Competitions are held at Headquarters based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, Studies, and Investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Tim Icke, EPA Office of Wetlands, Oceans and Watersheds, Assessment and Watershed Protection Division, 1200 Pennsylvania Ave., NW (MC 4501T), Washington, District of Columbia 20460 Email: [icke.tim@epa.gov](mailto:icke.tim@epa.gov) Phone: (202) 566-1211.

**Website Address:**

<http://www.epa.gov/owow/funding.html>

**RELATED PROGRAMS:**

66,436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2010: Examples of projects funded include: workshops on innovative TMDL water quality assessment; workshops on innovative TMDL modeling techniques; training handbook(s) on low impact development; demonstration studies on new techniques to control agricultural drainage; and lake restoration outreach activities. Fiscal Year 2011: Examples of projects funded include: workshops on innovative TMDL water quality assessment; workshops on innovative TMDL modeling techniques; training handbook(s) on low impact development; demonstration studies on new techniques to control agricultural drainage; and lake restoration outreach activities. Fiscal Year 2012: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### 66.481 LAKE CHAMPLAIN BASIN PROGRAM

(Lake Champlain Program)

#### FEDERAL AGENCY:

Office of Water, Environmental Protection Agency

#### AUTHORIZATION:

Clean Water Act , Section 120, Public Law 107-303.

#### OBJECTIVES:

To implement the Lake Champlain Basin Management Plan Opportunities for Action: An Evolving Plan for the Future of the Lake Champlain Basin, and to assist the states of New York and Vermont in protecting and preserving the Lake Champlain ecosystem.

Funding Priority - Fiscal Year 2011: Efforts in Lake Champlain will continue to support the successful interstate, interagency, and international partnership undertaking the implementation of "Opportunities for Action," a plan designed to address various threats to the Lake's water quality, including phosphorus loadings, invasive species, and toxic substances. Grants under this program shall be made for assisting research, surveys, studies, modeling, technical, field, restoration, education, outreach, and other supporting work necessary for the development and implementation of the Lake Champlain Basin Management Plan. Funding priorities include phosphorus control and environmental education and outreach.

#### TYPES OF ASSISTANCE:

PROJECT GRANTS

#### USES AND USE RESTRICTIONS:

As described in Section 120 of the CWA, funds may be used to implement elements of the Lake Champlain Basin Management Plan, Opportunities for Action. Projects outside of the Lake Champlain Basin are not eligible for funding under this program. Grant awards must be made in consultation with the Lake Champlain Basin Program Steering Committee, and must support activities consistent with the goals of Opportunities for Action. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### Applicant Eligibility:

State, interstate, and regional water pollution control agencies, and public or nonprofit agencies, institutions, and organizations are eligible to receive grants from EPA through this program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### Beneficiary Eligibility:

Assistance under this program generally benefits State environmental, health, and agriculture agencies; interstate water pollution control agencies; public nonprofit institutions and organizations; sponsored organizations; Federal agencies; local agencies; intrastate agencies; public and private nonprofit institutions and organizations; private organizations; small businesses; and quasi-public nonprofit institutions.

#### Credentials/Documentation:

Nonprofit private agencies, institutions, and organizations may be required to provide documentation of their organizational status upon application. This program is excluded from coverage under OMB Circular No. A-87.

#### Preapplication Coordination:

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. A pre-application form is not required. Informal pre-application discussions or conferences with the Lake Champlain Basin Program Steering Committee, and EPA Regions 1 and 2 are required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Lake Champlain Basin Program Steering Committee, in conjunction with EPA Regions 1 and 2, develops the annual budget and task list. This budget and task list is then divided between the States of Vermont and New York and the New England Interstate Water Pollution Control Commission. From this information, these three organizations then prepare grant applications and workplans for submittal to EPA Region 2 or Region 1. The standards application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), 1200 Pennsylvania Avenue, N. W., Washington, DC 20460 or the appropriate EPA Regional Office identified in "Regional or Local Office" section for information contacts. Detailed information and assistance, including and application kit, required forms, and a checklist may also be found on the web (<http://www.epa.gov/ogd/AppKit/application.htm>). Applications must be submitted to the appropriate EPA Regional Office identified in "Regional or Local Office" section for information contacts. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### Award Procedure:

Each federal assistance application and final work plan will be evaluated by EPA Region 1 or Region 2 to determine the adequacy of the application under the established EPA grants program requirements and guidelines, including, but not limited to, the requirements set forth in 40 CFR Parts 30 and 31. Technical merit and the relevance of the project to the priorities and objectives established in Opportunities for Action will also be considered. Each application will also be subject to an administrative review by the EPA Region 1 or 2 grants management office as appropriate to determine whether all administrative requirements have been met. The workplan is submitted to the EPA Region 1 and 2 Regional Administrators for approval prior to the award of any assistance agreement. Once a Regional Office approves the annual workplan, funds are awarded by the EPA Region 1 or 2 Regional Administrator as appropriate. Grantees will receive an award package from the appropriate EPA Regional grants management office that must be accepted and signed by an authorized official of the recipient organization and returned to the grants management office within 30 days. Awards may be made on an advance or reimbursement basis. Awards that are not signed and returned by the deadline may be subject to cancellation. For competitive awards, EPA will review and evaluate

applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification of action on proposals varies depending on the timing of funds release to the EPA Regional Offices from Headquarters. Interval from submission to notification may vary from two months to eight months.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

No cost extensions and amendments may be available subject to the approval of EPA. Approval of subsequent funding is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds, and the Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has a statutory matching requirement; see CWA section 120 (f)(3). For all assistance (grants and cooperative agreements) made under this program, federal costs shall not exceed 75 percent of the total cost of the agreement. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are generally made for a multi-year period at the discretion of EPA. Start dates for assistance agreements are variable and are established at the discretion of EPA. Generally however, it is intended that start dates closely follow award dates of the assistance agreement. Awards are fully funded, recipients draw down funding as cost are incurred, typically monthly. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be

maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those that arose as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$3,970,000; FY 11 est \$2,990,000; and FY 12 est \$1,399,000

**Range and Average of Financial Assistance:**

\$35,000 to \$2,712,841/fiscal year; \$637,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Since 1991, EPA's funding of the Lake Champlain Basin Program has led protection and restoration of the Lake Champlain basin through coordination with federal, provincial, state, and municipal agencies and local citizens. The main program goals, as laid out in the Lake Champlain Management Plan Opportunities for Action, are as follows: reducing phosphorus inputs to Lake Champlain; decreasing toxic contamination; minimizing the risks to humans from water-related health hazards; and controlling the introduction, spread, and impact of nonnative nuisance species. EPA works with the Lake Champlain Basin Program Steering Committee to determine funding priorities and distributes funds accordingly. The following three entities typically receive funding on an annual basis: New England Interstate Water Pollution Control Commission (NEIWPCC), Vermont Department of Environmental Conservation, and the New York Department of Environmental Conservation. They may choose to compete all or part of the funds. Competitive announcements typically include the number of anticipated awards.

In FY 10, funds were used to support protection and restoration of the Lake Champlain Basin. Specific examples of accomplishments include: revision of the Lake Champlain Management Plan, "Opportunities for Action"; conducting water quality monitoring programs with the collection of at least 3,500 water chemistry samples; a boat inspection and education program to reduce the spread of invasive species; removal of thousands of pounds of invasive water chestnuts; and other tasks. Fiscal Year 2011: In FY 11, expected accomplishments include: further removal of invasive water chestnuts; conducting water quality monitoring programs; continued development of an adaptive management system; studies on internal recycling of phosphorus from lake sediments; synoptic monitoring for mercury and PCBs in fish tissue; and examining the impact of shoreline development on the littoral habitat. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Lake Champlain program grants and cooperative agreements are subject to EPA's general grant regulations, 40 CFR Part 30 or 40 CFR Part 31. All assistance agreements must support the goals and objectives of the Lake Champlain Management Plan, Opportunities for Action. A copy of this document is available on request from the Lake Champlain Basin Program, 54 West Shore Road, Grand Isle, VT 05458, Phone 802-372-3213 and is also available online at <http://www.lcbp.org>.

**Regional or Local Office:**

See Regional Agency Offices. Erik Beck, US EPA Region 1, 5 Post Office Square, Suite 100, Mail Code OEP 6-1, Boston, MA 02109-3912. Phone: (617) 918-1606; FAX: (617) 918-0606; e-mail: [beck.erik@epa.gov](mailto:beck.erik@epa.gov). Mario Paula, US EPA Region 2, 290 Broadway, 24th Floor, New York, NY 10007-1866. Phone: (212) 637-3819; FAX: (212) 637-3889; e-mail: [paula.mario@epa.gov](mailto:paula.mario@epa.gov).

**Headquarters Office:**

Erik Beck, EPA New England, 1 Congress Street, Suite 1100-CWN, Boston, Massachusetts 02114 Email: [beck.erik@epa.gov](mailto:beck.erik@epa.gov) Phone: (617) 918-1606.

**Website Address:**

<http://www.epa.gov/NE/eco/lakechamplain/index.html>

**RELATED PROGRAMS:**

12.100 Aquatic Plant Control; 66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section

104(b)(3) of the Clean Water Act; 66.454 Water Quality Management Planning; 66.460 Nonpoint Source Implementation Grants; 66.463 Water Quality Cooperative Agreements

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants and cooperative agreements awarded to states, interstate agencies, universities, and nonprofit organizations are for implementation of the Lake Champlain Management Plan. Grants awarded to States of Vermont and New York and NEIWPCC generally cover multiple tasks and projects per grant. Examples of work carried out by these grants include: (1) funding for the overall program coordination, and the full-time New York and Vermont Lake Champlain Basin Program coordinators employed by their respective states; (2) annual lake and tributary monitoring for phosphorus and other parameters by professional limnologists; (3) phosphorus reduction: research on phosphorus carried downstream by eroding stream banks, research on policy options for further phosphorus reduction from point and nonpoint sources, tracking implementation of best management practices on farms, geomorphic studies, and riparian restoration work; (4) removal of invasive species such as water chestnuts; (5) toxins: monitoring for cyanobacteria (blue green algae) blooms and their associated toxins in Lake Champlain. Fiscal Year 2011: Grants and cooperative agreements awarded to states, interstate agencies, universities, and nonprofit organizations are for implementation of the Lake Champlain Management Plan. Grants awarded to States of Vermont and New York and NEIWPCC generally cover multiple tasks and projects per grant. Examples of work carried out by these grants include: (1) funding for the overall program coordination, and the full-time New York and Vermont Lake Champlain Basin Program coordinators employed by their respective states; continued development of an adaptive management system; (2) annual lake and tributary monitoring for phosphorus and other parameters by professional limnologists; (3) phosphorus reduction: research on phosphorus carried downstream by eroding stream banks, research on policy options for further phosphorus reduction from point and nonpoint sources, tracking implementation of best management practices on farms, geomorphic studies, and riparian restoration work; studies on internal recycling of phosphorus from lake sediments; (4) removal of invasive species such as water chestnuts; (5) toxins: synoptic monitoring for mercury and PCBs in fish tissue; and (6) examining the impact of shoreline development on the littoral habitat. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. The Steering Committee recommends projects to EPA for funding based on the technical merit of the proposal and its relevance to the Lake Champlain Basin Management Plan. EPA approves applications after Steering Committee recommendation based on the technical merit of the application and its relevance to the Lake Champlain Basin Management Plan.

#### **66.508 SENIOR ENVIRONMENTAL EMPLOYMENT PROGRAM (SEE)**

##### **FEDERAL AGENCY:**

Office of Administration and Resources Management, Environmental Protection Agency

##### **AUTHORIZATION:**

Environmental Programs Assistance Act of 1984, Public Law 98-313, 42 U.S.C 4368a.

##### **OBJECTIVES:**

To use the talents of Americans 55 years of age or older to provide technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control to achieve the Agency's goals of Clean Air; Clean and Safe Water; Land Preservation and Restoration; Healthy Communities and Ecosystems; and Compliance and Environmental Stewardship.

Funding Priority - Fiscal Year 2011: The Environmental Programs Assistance Act of 1984 (Pub. L. 98-313) authorized the Administrator of the EPA "to make grants to, or enter into cooperative agreements with private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older

Americans Act of 1965." These cooperative agreements are to utilize the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control." "Technical assistance" may include any activity performed for the EPA in support of its projects ranging from inspections of schools for asbestos, to support for a Headquarters staff office. This allows for the coverage of all types of SEE program positions from professional to clerical. Annual funding priorities are not established at the SEE program level. Rather, Senior Resource Officials from the participating 65 program offices establish priorities requiring SEE program support.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

The SEE Act states that only nonprofit organizations which are designated by the Secretary of Labor under Title V of the Older Americans Act can participate. These cooperative agreements are to utilize the talents of older Americans in temporary full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control."

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

##### **Applicant Eligibility:**

Private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965.

##### **Beneficiary Eligibility:**

Federal, State, and local environmental agencies and individuals 55 years old or older.

##### **Credentials/Documentation:**

The Environmental Programs Assistance Act of 1984 requires a certification by the Federal, State, or local agency that is to receive the SEE workers that the grant/cooperative agreement will not displace any Federal or State workers, prevent the rehiring of any laid-off Federal/State workers, or affect existing service contracts. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Requests for application forms must be submitted to: Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460. Completed applications must be sent to the same address, and a copy of the completed application should also be sent to: Susan Street, Manager, SEE Program, Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, Program Management and Communications Staff (3600-M), Washington, DC 20460. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102. Basic steps of the application procedure are outlined in the application package containing the application forms.

##### **Award Procedure:**

Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to assistance regulations, and to program objectives.

##### **Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance covers a period of one to three years and is awarded in increments during that period. See the following for information on how assistance is awarded/released: Assistance is incrementally awarded throughout the life of the agreement to support ongoing activities.

**Reports:**

No program reports are required. Recipients must furnish quarterly reports on expenditures by cooperative agreement. Progress reports are required on a quarterly schedule. Expenditure reports are required on a quarterly schedule. Performance monitoring is required as a normal part of project officer post award monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents which support entries on accounting records and which substantiate changes to each assistance agreement must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until expiration of three years from the date of submission of the final financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$54,500,000; FY 11 est \$55,000,000; and FY 12 est \$55,000,000

**Range and Average of Financial Assistance:**

New awards and amendments: \$2,400 to \$1,697,500 for FY 2010, Average \$153,061; estimated \$3,000 to \$1,700,000; FY 2011, Average \$200,000; estimated \$4,000 - \$1,500,000; Average \$175,000 for FY 2012.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, 294 cooperative agreements/amendments were awarded. Fiscal Year 2011: To date, in Fiscal Year 2011, 120 cooperative agreements/amendments were awarded. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Assistance Administration Manual, available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; 40 CFR Part 30, General Regulation for Assistance Programs; Office of Administration and Resources Management for the Management of the Senior Environmental Employment Program.

**Regional or Local Office:**

See Regional Agency Offices. Susan Street, Manager, SEE Program, (3605 M) Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, Program Management and Communications Staff (3600A), 1200 Pennsylvania Ave., N. W., Washington, D. C. 20460. Telephone: (202) 564-0410, FAX: (202) 564-0735; e-mail: street.susan@epa.gov. Web Site: <http://epa.gov/epahrist/see/brochure>.

**Headquarters Office:**

Susan Street, SEE Program, Office of Administration and Resources Management, Office of Human Resources, Program Management and Communications Staff, (3600 M), Environmental Protection Agency, 1200 Pennsylvania Ave, N.W., Washington, District of Columbia 20460 Email: street.susan@epa.gov Phone: (202) 564-0410.

**Website Address:**

<http://epa.gov/epahrist/see/brochure>

**RELATED PROGRAMS:**

66.518 State Senior Environmental Employment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Provide funding to eligible Grantee organizations to provide senior citizens who conduct national non-agricultural pesticide surveys, provide technical assistance to tribes, provide review and monitoring support for the Import Car Program, monitor the anti-fuel switching program, conduct research, and work on other general administrative and clerical tasks. Fiscal Year 2011: Provide funding to eligible Grantee organizations to provide senior citizens who conduct national non-agricultural pesticide surveys, provide technical assistance to tribes, provide review and monitoring support for the Import Car Program, monitor the anti-fuel switching program, conduct research, and work on other general administrative and clerical tasks. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must demonstrate that the Organizations have the capability of operating nationwide; can manage the program within the prescribed administrative funding limits; and can provide a quality fringe benefit package to enrollees under the proposal (including health insurance).

**66.509 SCIENCE TO ACHIEVE RESULTS (STAR) RESEARCH PROGRAM**

**FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136r; Toxic Substances Control Act, Section 10, 15 U.S.C 2609; Clean Air Act, Section 103, 42 U.S.C 7403; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; National Environmental Policy Act of 1969, Section 102(2F); Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; Clean Water Act, Section 104, 33 U.S.C 1254.

**OBJECTIVES:**

To (1) support research to determine the environmental and human health effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) identify, develop, and demonstrate effective pollution control techniques; and (3) support research to explore and develop strategies and mechanisms for those in the social, governmental, and environmental arenas to use in environmental management decisions.

Funding Priority - Fiscal Year 2011: The STAR Program will fund the highest quality academic research in the following priority areas:

(1) Air Quality: Linking Composition and Sources of Coarse Particulate Matter to Health Effects; Dynamic Air Quality Management; Extreme Event Impacts on Air Quality and Water Quality with a Changing Global Climate; Developing the Next Generation of Air Quality Measurement Technology.

(2) Human Health: Environmental Factors in the School Environment Influencing Children's Health and Performance; Tribal Environmental Health Science; Children's Environmental Health and Disease Prevention Research

Centers: Formative Centers-Understanding Environmental Factors to Improve Children's Health in Child Care Environments.

(3) Endocrine Disruptors/Biotechnology/Computational Toxicology: Innovative Treatment Designs and Technology Approaches for Mitigating EDCs and Other Chemical Contaminants from Drinking Water and Wastewater Treatment Systems; Developing High-Throughput Assays for Predictive Modeling of Reproductive and Developmental Toxicity Modulated Through the Endocrine System or Pertinent Pathways in Humans and Species Relevant to Ecological Risk Assessment; Center for Sustainable Molecular Design.

(4) Nanotechnology: Center for Life Cycle Chemical Safety.

(5) Ecosystem Protection/Water Quality: Sustainable Chesapeake: A Collaborative Approach to Urban Stormwater Management; Environmental Impact and Mitigation of Oil Spills.

In addition to the solicitations identified above, other solicitations may be announced in the coming year. Please check the NCER website:

<http://www.epa.gov/ncer> for an updated listing of all solicitations.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

The National Center for Environmental Research (NCER) generally does not accept unsolicited proposals for the STAR program. All STAR awards are made in response to competitive requests for applications (RFAs) or requests for initial proposals (RFIPs). Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Some solicitations issued under this CFDA may allow for the submittal of Multiple Investigator applications. The applicability of Multiple Investigator applications will be described in the solicitations. For further information, please see the EPA Implementation Plan for Policy on Multiple Principal Investigators (<http://rbm.nih.gov/toolkit.htm>).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

Public nonprofit institutions/organizations (includes public institutions of higher education and hospitals) and private nonprofit institutions/organizations (includes private institutions of higher education and hospitals) located in the U.S., state and local governments, Federally Recognized Indian Tribal Governments, and U.S. territories or possessions are eligible to apply. Profit-making firms are not eligible to receive assistance agreements from the EPA under this program.

Eligible nonprofit organizations include any organizations that meet the definition of nonprofit in OMB Circular A-122, located at 2 CFR Part 230. However, nonprofit organizations described in Section 501(c) (4) of the Internal Revenue Code that lobby are not eligible to apply.

National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its assistance agreement from the EPA to an FFRDC for research personnel, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent FFRDC employees may not be provided through this mechanism.

Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on an assistance agreement, and may not receive salaries or augment their Agency's appropriations in other ways through awards made under this program.

The applicant institution may enter into an agreement with a Federal Agency to purchase or utilize unique supplies or services unavailable in the private sector to the extent authorized by law. Examples are purchase of satellite data, census data tapes, chemical reference standards, analyses, or use of instrumentation or other facilities not available elsewhere. A written justification for federal involvement must be included in the application. In addition, an appropriate form of assurance that documents the commitment, such as a letter of intent from the Federal Agency involved, should be included.

Some solicitations issued under this CFDA may propose early career projects which support investigators with outstanding promise at the Assistant Professor or equivalent level. Principal investigators from applicant institutions applying for the early career portion of the applicable solicitation must meet the following eligibility requirements:

\* Hold a doctoral degree in a field of science or engineering by the closing date of the RFA;

\* Be untenured at the closing date of the RFA;

\* By the award date, be employed in a tenure-track position (or tenure-track-equivalent position) as an assistant professor (or equivalent title) at an institution in the U.S., its territories, or possessions. Note: For a position to be considered a tenure-track-equivalent position, it must meet all of the following requirements: (1) the employing department or organization does not offer tenure; (2) the appointment is a continuing appointment; (3) the appointment has substantial educational responsibilities; and (4) the proposed project relates to the employee's career goals and job responsibilities as well as to the goals of the department/organization.

Senior researchers may collaborate in a supporting role for early career projects. Early career applications should not propose significant resources for senior researchers and may not list senior researchers as co-PIs. Applicants will be asked to verify their early career status.

See RFAs at: <http://www.epa.gov/ncer> for additional information pertaining to eligibility requirements.

#### **Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations located in the U.S.; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; Anyone/General Public, Education Professional, Student/Trainee, Graduate Student, Scientists/Researchers.

#### **Credentials/Documentation:**

The EPA may request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out the research. EPA may ask applicants to provide curriculum vitae and relevant publications. EPA may also ask the lead principal investigator/contact principal investigator for information documenting past performance. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive RFAs or RFIPs for grants/cooperative agreements are announced widely through the Internet, university and scientific organizations, among other mechanisms. Applicants must propose EPA mission relevant research based on excellent science as determined through peer review by experts drawn from the national and international scientific community. Other more specialized scientific areas may be solicited via joint RFAs with other Federal agencies. The STAR program may fund research centers that focus on long-term, multi-disciplinary research. This program is subject to the provisions of OMB Circulars No. A-102 and No. A-110. Specific details on the application process are described in the solicitations which are located at: <http://www.epa.gov/ncer>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified of award decisions within six months of the close of the RFA. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate proposal revisions. EPA Project Officers will contact the Lead Principal Investigator/Contact Principal Investigator to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreement Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are normally funded for a minimum of 2 years. Total approved project period may not exceed 5 years. Grants are generally fully funded or incrementally funded (on an annual basis). See the following for information on how assistance is awarded/released: Assistance is either fully funded (lump sum) or incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. A grant recipient must agree to provide annual progress reports, with associated summaries for posting on NCER's web site, and a final report with an executive summary for web posting. A grant recipient must agree to provide copies of any peer reviewed journal article(s) resulting from the research during the project period. The recipient also agrees to provide expenditure and invention reports as appropriate. Progress Reports are required under this program. A discussion of expenditures is required in progress reports under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$46,405,000; FY 11 est \$66,200,000; and FY 12 est \$70,800,000

**Range and Average of Financial Assistance:**

New awards range from \$250,000 to \$8,000,000 total per grant and average \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Applications received for the STAR Program - FY 10: 194. New awards for the STAR Program - FY 10: 36. Abstracts of current grant awards, and annual interim and final summary results of the research are available on the homepage: <http://www.epa.gov/ncer>. Fiscal Year 2011: Applications received for the STAR Program - FY 11 est.: 290. New awards for the STAR Program - FY 11 est.: 38. Abstracts of current grant awards, and annual interim and final summary results of the research are available on the homepage: <http://www.epa.gov/ncer>. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31); Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40). Costs will be determined in accordance with OMB Circular No. A-87 (relocated to 2 CFR Part 225) for State and local governments, OMB Circular No. A-21 (relocated to 2 CFR Part 220) for educational institutions, and OMB Circular No. A-122 (relocated to 2 CFR Part 230) for nonprofit organizations.



**Regional or Local Office:**

See Regional Agency Offices. Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contacts listed in the solicitations. Solicitations are located at: <http://www.epa.gov/ncer>.

**Headquarters Office:**

James Gentry 2777 Crystal Drive, One Potomac Yards, Arlington, Virginia 22202 Email: [gentry.james@epa.gov](mailto:gentry.james@epa.gov) Phone: 703-347-8093

**Website Address:**

<http://www.epa.gov/ncer>

**RELATED PROGRAMS:**

66.511 Office of Research and Development Consolidated Research/Training/Fellowships

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1. Understand how aquifer properties are related to the susceptibility of the aquifer to degradation from carbon dioxide in addition to developing a tool that can be used to assess the risk associated with carbon dioxide leakage into potential sources of drinking water due to geologic sequestration of carbon dioxide.

2. Determine what conditions would facilitate carbon dioxide dissolved in brine from geologic sequestration to come out of solution and adversely affect underground sources of drinking water.

3. Evaluate linkages between climate, pollen and respirable allergen occurrence, and respiratory health impacts.

4. Conduct lab and in situ research to understand how carbon dioxide from geologic sequestration may interact with microbial communities and heavy metals in an aquifer and if these interactions will adversely affect underground sources of drinking water.

5. Develop and enhance numerical and analytical models that possess a range of complexity and can complement one another in order to create a hierarchical modeling framework for assessing risks associated with geologic sequestration (GS) of carbon dioxide. Fiscal Year 2011: 1. Examine the link between specific immune indicators and ambient air pollution exposure to characterize the relationship between immune indicators and health outcomes of asthma.

2. Characterize the transformation and fate of engineered nanoparticles and any resultant by-products during biological wastewater treatment and incineration.

3. Compile and curate a database of information on biological and chemical information related to hepatotoxicity; develop predictive models based on this information; and make freely available both models and data on a web portal.

4. Extend development of an accurate indicator of methylmercury (MeHg) risk in order to provide a critical link between mercury exposure and the biological effects of fish consumption.

5. Elucidate the relative spatial distributions of key psychosocial stressors and air pollution exposures in NYC and examine the synergistic effects of community stressors and traffic-related pollution on childhood asthma exacerbation. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the web page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for the RFAs.

**66.510 SURVEYS, STUDIES, INVESTIGATIONS AND SPECIAL PURPOSE GRANTS WITHIN THE OFFICE OF RESEARCH AND DEVELOPMENT****FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

**AUTHORIZATION:**

Resource Conservation and Recovery Act of 1976, Public Law 94-580, 42 U.S.C 6981; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 92-516, 7 U.S.C 136r&136u; Comprehensive Environmental Response, Compensation, and Liability Act of 1980, Section 311; National Environmental Policy Act of 1969, Section 102(2)(F); Clean Air Act, Section 103, Public Law 95-95, 42 U.S.C 7401; Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; Safe Drinking Water Act, Section 1442, 93 U.S.C 523; Marine Protection, Research, and Sanctuaries Act, Section 203; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 94-140, 7 U.S.C 136; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 95-396, 7 U.S.C 136.

**OBJECTIVES:**

To (1) support surveys, studies and investigations and special purpose assistance to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides (2) identify, develop, and demonstrate effective pollution control techniques; and (3) fund innovative regional projects that address a stated problem or opportunity relating to sustainability and use science to inform design, planning and decision-making at the local, state and industrial levels.

Funding Priority - Fiscal Year 2011: FY 2011 priorities include conducting air pollutants research, improving the science behind risk assessment, water quality research, drinking water research, research to improve human health and the environment, and research related to Homeland Security. Surveys, studies, and investigations to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, endocrine disrupting chemicals, and pesticides will also be funded under this category. Additionally, this funding priority provides support for conferences relating to the areas above.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to performance plus allocable portions of allowable indirect costs of the institutions, in accordance with the established policies of EPA. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. These programs are available to each State, territory and possession, and Tribal nation of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals or foreign entities who have demonstrated unusually high scientific ability.

**Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; anyone/general public; education professionals; students/trainees; graduate students; scientists/researchers; hospitals; foreign entities; and individuals.

**Credentials/Documentation:**

The Agency may request that applicants demonstrate they have appropriate background, academic training experience in the field, and the necessary equipment to carry out the research. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. EPA may ask principal investigators for information documenting past performance. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive RFAs (requests for applications) for grants in these areas are announced widely through the Internet, university and scientific organizations, among other mechanisms. Although the programs identified are the formal assistance programs that ORD funds, there are periodic RFAs disseminated on other topics that are not part of the formal program. These new programs are also part of 66.510 but cannot be presently identified. Funds may be available to support activities including but not limited to experiments, surveys, studies, investigations, public education programs, and monitoring where authorized by specific statutes, in both science and engineering disciplines. Please check the Federal Register or the EPA/ORD website <http://www.epa.gov/ord/htm/grantopportunity.htm> for an updated listing of these programs. Completed applications must be submitted to the appropriate Grants Management Office at the Environmental Protection Agency or as shown in the specific RFAs, which are accessible through the EPA/ORD website at <http://www.epa.gov/ord/htm/grantopportunity.htm>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified about award decisions within six months of the solicitation deadline. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12-month basis (annual). Total approved project period may not exceed 5 years. See the following for information on how assistance is awarded/released: Assistance is either fully funded (lump sum) or incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31. Progress reports are required under this program. A discussion of expenditures is required in progress reports under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$3,539,500; FY 11 est \$3,400,000; and FY 12 est \$3,400,000

**Range and Average of Financial Assistance:**

New grants/cooperative agreements range from \$5,000 to \$500,000 and average \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: An estimated 20 grants/cooperative agreements are made each year. Data of the number of applications received and the exact number of awards made in the last three fiscal years are not available. Summary information of the funded research is available in the EPA Grant Awards Database, [http://yosemite.epa.gov/oarm/igms\\_egf.nsf/HomePage?ReadForm](http://yosemite.epa.gov/oarm/igms_egf.nsf/HomePage?ReadForm). Fiscal Year 2011: An estimated 15 grants/cooperative agreements are made each year. Data of the number of applications received and the exact number of

awards made in the last three fiscal years are not available. Summary information of the funded research is available in the EPA Grant Awards Database, [http://yosemite.epa.gov/oarm/igms\\_egf.nsf/HomePage?ReadForm](http://yosemite.epa.gov/oarm/igms_egf.nsf/HomePage?ReadForm). Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31); Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40). Costs will be determined in accordance with OMB Circular No. A-87 (relocated to 2 CFR Part 225) for State and local governments, OMB Circular No. A-21 (relocated to 2 CFR Part 220) for educational institutions, and OMB Circular No. A-122 (relocated to 2 CFR Part 230) for nonprofit organizations.

#### **Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed on the RFA.

#### **Headquarters Office:**

Bronda Harrison U.S. Environmental Protection Agency, 1200 Pennsylvania Ave., NW, MC8102R, Washington, District of Columbia 20460 Email: [Harrison.Bronda@epa.gov](mailto:Harrison.Bronda@epa.gov) Phone: 202-564-1790

#### **Website Address:**

<http://www.epa.gov/ord/htm/grantopportunity.htm>

#### **RELATED PROGRAMS:**

66.509 Science To Achieve Results (STAR) Research Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) To investigate methods to manage large floodplain rivers in ways that achieve multiple, sustained benefits by restoring hydrogeomorphic river channel processes in carefully selected locations. 2) This assistance agreement will support a meeting to foster collaborative research among researchers in different States on the effects of ozone on plants, and to find ways to reach out to the public to inform them of the results of this research. 3) This project, through distribution of Pollution Prevention and linked life cycle cost accounting tools, will enable small and medium size businesses located in greater New England to reduce their emission of toxic substances, which will in turn lead to reduced environmental health risks. 4) The goals of this project are to develop and apply a methodology for benchmarking curricula in sustainability engineering and to identify individuals active in sustainability engineering education. The information collected in this project will be available as a resource for faculty at institutions of higher education to enhance the engineering curricula with lessons focused on the environmental impacts associated with the design of products, processes, or systems. 5) This grant studies environmental sustainability issues concerning the need to balance the use of water to meet both human and environmental demands. Funding will support a decision support system (DDS) that will integrate scientific models of ecological water flow needs, water demand management, and water supply planning into a decision-oriented optimization framework that promotes preventive approaches. Fiscal Year 2011: 1) This assistance agreement will support a workshop on the subject of bioaccumulation assessment for environmental contaminants that accumulate in humans and animals, fostering an exchange of methods, models, and data and providing an opportunity to discuss the current status of the science and how to move science into the regulatory framework of various governmental institutions. 2) This cooperative agreement will place recent graduates of Association of Schools of Public Health member accredited schools in EPA for one or two year fellowships, allowing fellows to gain practice-based training experiences and perform activities under the mentorship of EPA experts in the field of environmental health. 3) This assistance agreement will support a symposium on the chemistry of drinking water treatment, providing an opportunity for researchers, waste and wastewater utility officials, government representatives, engineering consultants, and suppliers of technologies to the industry to share knowledge on the transportation of microorganisms, natural and engineered nanoparticles and the role of surface inactivation among other topics. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA

description will be described in the competitive announcement.

#### **66.511 OFFICE OF RESEARCH AND DEVELOPMENT CONSOLIDATED RESEARCH/TRAINING/FELLOWSHIPS**

#### **FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

#### **AUTHORIZATION:**

Marine Protection, Research, and Sanctuaries Act, Section 203; Clean Air Act, Section 103&104, Public Law 95-95, 42 U.S.C 7401; National Environmental Policy Act of 1969, Section 102(2)(F); Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442, Public Law 93-523; Resource Conservation and Recovery Act of 1976, Public Law 94-580, 42 U.S.C 6901; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 92-516, 7 U.S.C 136r&136u; Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Section 311, Public Law 95-510; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Public Law 99-499; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 94-140, 7 U.S.C 136, as amended by Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 95-396, 7 U.S.C 136.

#### **OBJECTIVES:**

The Office of Research and Development (ORD) supports research and development to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) identify, develop, and demonstrate effective pollution control techniques; (3) perform risk assessments to characterize the potential adverse health effects of human exposures to environmental hazards; and (4) the facilitation of training and fellowships in these areas. Investigator initiated grants/ cooperative agreements may be funded in broad areas such as environmental chemistry and physics, environmental engineering, and health and ecological effects of pollution. The ORD conducts leading-edge research to provide a solid underpinning of science and technology for the Agency. Applied research builds our understanding of how to protect and enhance the relationship between humans and the ecosystems of earth. ORD conducts a comprehensive research program to protect air, water, land, and human health and ecosystems, to improve environmental compliance and stewardship, and to conduct and promote coordination and acceleration of training for individuals relating the protection and enhancement of the relationship between humans and the ecosystems of earth as well as to improve environmental compliance and stewardship.

Funding Priority - Fiscal Year 2011: ORD's research supports EPA's five strategic goals. Brief descriptions of this research are as follows: (1) Clean air research investigates risks associated with exposure to hazardous air pollutants (HAPs) and criteria pollutants, such as particulate matter (PM). Our goal is to work with other Federal and state agencies, major universities and institutions, and the private sector to develop a better understanding of the causes and effects of air pollution, and provide the scientific underpinnings to improve air quality in the U.S. (2) ORD provides the science needed to ensure drinking water is safe and to restore and maintain oceans, watersheds, and aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife. Our water research program provides the science needed for effectively implementing the Safe Drinking Water Act (SDWA) and Amendments and the Clean Water Act (CWA). (3) Preserving land quality and remediating contaminated land is another of ORD's major goals. Left uncontrolled, hazardous and non-hazardous wastes on land can migrate to the air, ground water, and surface water, contaminating drinking water supplies, and threatening healthy ecosystems in urban, rural, and suburban areas. Efforts to preserve and restore land are supported through contaminated sediments and groundwater research. (4) ORD also continues to better understand environmental risks and develop tools and management options for improving environmental conditions. To promote healthy communities and ecosystems, ORD brings together a variety of programs, including human health research, endocrine disrupters research, computational toxicology research, global change research, pesticides and toxic substances research, and research on homeland security, as well as promoting

and facilitating training in these areas to stimulate interest among students in careers involving environmental research and to provide hands-on experience. (5) Finally, ORD has developed and evaluated tools and technologies to monitor, prevent, control, and clean up pollution throughout its history. Since the Pollution Prevention Act of 1990, the Agency has increasingly focused on preventative and sustainable approaches to health and environmental problems. ORD's domestic assistance efforts in this area support research specifically designed to address the issue of advancing sustainability goals of EPA's Science and Technology for Sustainability (STS) program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with the established policies of EPA. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. These programs are available to each State, territory and possession, and Tribal nation of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals or foreign entities who have demonstrated unusually high scientific ability.

**Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; anyone/general public; education professionals; students/trainees; graduate students; scientists/researchers; hospitals; foreign entities; and individuals.

**Credentials/Documentation:**

The EPA may request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out the research. EPA may ask applicants to provide curriculum vitae and relevant publications. EPA may also ask the lead principal investigator/contact principal investigator for information documenting past performance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or

her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive RFAs (requests for applications) for grants in these areas are announced widely through the Internet, university and scientific organizations, among other mechanisms. Although the programs identified are the formal assistance programs that ORD funds, there are periodic RFAs disseminated on other topics that are not part of the formal program. These new programs are also part of 66.511 but cannot be presently identified. Funds may be available to support activities including but not limited to experiments, surveys, studies, investigations, public education programs, and monitoring where authorized by specific statutes, in both science and engineering disciplines. Please check the Federal Register or the EPA/ORD website <http://www.epa.gov/ord/htm/grantopportunity.htm> for an updated listing of these programs. Completed applications must be submitted to the appropriate Grants Management Office at the Environmental Protection Agency or as shown in the specific RFAs, which are accessible through the EPA/ORD website at <http://www.epa.gov/ord/htm/grantopportunity.htm>. Please refer to Appendix IV for the complete mailing address(es) for the Grants Management Office(s). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified about award decisions within six months of the solicitation deadline. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants/cooperative agreements are normally funded on a 12-month basis (annual). Total approved project period may not exceed 5 years. See the following for information on how assistance is awarded/released: Assistance is either fully funded (lump sum) or incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31. A discussion of expenditures is required in progress reports under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$17,022,400; FY 11 est \$17,100,000; and FY 12 est \$17,100,000

**Range and Average of Financial Assistance:**

Awards range for new grants/cooperative agreements from \$75,000 to \$1,000,000, and average \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: An estimated 25 grants/cooperative agreements are made each year. Data of the number of applications received and the exact number of awards made in the last three fiscal years are not available. Summary information of the funded research is available in the EPA Grant Awards Database, [http://yosemite.epa.gov/oarm/igms\\_egf.nsf/HomePage?ReadForm](http://yosemite.epa.gov/oarm/igms_egf.nsf/HomePage?ReadForm).

Fiscal Year 2011: An estimated 25 grants/cooperative agreements are made each year. Data of the number of applications received and the exact number of awards made in the last three fiscal years are not available. Summary information of the funded research is available in the EPA Grant Awards Database, [http://yosemite.epa.gov/oarm/igms\\_egf.nsf/HomePage?ReadForm](http://yosemite.epa.gov/oarm/igms_egf.nsf/HomePage?ReadForm).

Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31); Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40). Costs will be determined in accordance with OMB Circular No. A-87 (relocated to 2 CFR Part 225) for State and local governments, OMB Circular No. A-21 (relocated to 2 CFR Part 220) for educational institutions, and OMB Circular No. A-122 (relocated to 2 CFR Part 230) for nonprofit organizations.

**Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed on the RFA.

**Headquarters Office:**

Bronda Harrison U.S. Environmental Protection Agency, 1200 Pennsylvania Ave., NW, MC8102R, Washington, District of Columbia 20460 Email: [harrison.bronda@epa.gov](mailto:harrison.bronda@epa.gov) Phone: 202-564-1790

**Website Address:**

<http://www.epa.gov/ord/htm/grantopportunity.htm>

**RELATED PROGRAMS:**

66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) To improve understanding of the relationship between complex mixtures of environmental air pollutants and human health through the creation and analysis of a database developed by conducting identically designed laboratory studies of a small number of highly complex atmospheres having overlapping, but different, compositions. 2) To address critical questions concerning health risks, toxic metal transformations and pathways, sampling and measurement of toxic metal emissions, predictive modeling, and related toxic metal control technologies. 3) To conduct research and development on hazardous substance waste minimization alternative treatment technologies, and techniques to enhance applications of technologies and technology transfer. 4) This research will (1) evaluate the efficacy of alternative management strategies for the control of insects, nematodes, and weeds that reduce the use of pesticides; (2) characterize the environmental fate of nitrogen and synthetic pesticides using current and alternative pest management strategies; and (3) develop decision aid models that allow utilization of precise control strategies for weeds, insects and diseases that are environmentally safe. 5) To develop a predictive map of ground level ozone concentrations in the Washington/Baltimore non-attainment area by incorporating landscape characteristics and other remote sensing data into existing predictive models for ozone impacted urban areas. 6) To provide the scientific information, understanding, analyses and methods and protocols needed by states and local governments and various regulatory and management agencies to effectively protect the aquatic and terrestrial environment, the EPA seeks to establish a long term Training Cooperative Partnership with a leading research and teaching institution capable of managing an environmental training program. The purpose of this agreement is to stimulate interest among students in careers involving environmental research and to provide hands-on experience. Fiscal Year 2011: 1) This assistance agreement will contribute to the protection of human health and the environment by linking together existing institutions and personnel to work on shared goals, including sound environmental management, improved human health risk reduction of environmental hazards, pollution prevention, and sustainable economic development. 2) To develop relationships between measures of ecological condition to the delivery of ecosystem services by freshwater systems (e.g., flowing waters, wetlands, and lakes) that can be used in conjunction with surveys of ecological condition. Methods for using indicators of and data on wetland condition to quantify the services provided by freshwater systems are vital if land managers, especially the States and Tribes, are to ensure continued benefit from those services. 3) To produce, evaluate, and summarize the cost, performance, and long-term reliability of coupling energy and water conservation technologies, modeling capabilities, and decision-support tools to reduce and optimize energy consumption in the treatment, conveyance, and use of water while utilizing water in the most efficient manner possible and in turn, increasing water supplies by virtue of reusing wastewater, stormwater, and preventing excess runoff. 4) To provide training opportunities for undergraduates, graduates and postdoctoral fellows on-site at EPA's Research Triangle Park and/or Chapel Hill, North Carolina facilities. Trainees will learn how to better determine toxicological hazards, define dose-response relationships, and estimate human exposure characteristics. 5) To produce, evaluate, and summarize performance, cost, and value data and information about innovative technologies (i.e., systems, devices, procedures) that will assist the user community to reduce the cost and improve the effectiveness of design, operation, maintenance, rehabilitation, and replacement of aging/failing wastewater/stormwater/drinking water conveyance and treatment infrastructure. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.513 GREATER RESEARCH OPPORTUNITIES (GRO) FELLOWSHIPS FOR UNDERGRADUATE ENVIRONMENTAL STUDY FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F); Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Clean Water Act, Section 104, 33 U.S.C 1254; Clean Air Act, Section 103, 42 U.S.C 7403; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136r; Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; Toxic Substances Control Act, Section 10, 15 U.S.C 2609.

**OBJECTIVES:**

The National Center for Environmental Research (NCER) offers undergraduate fellowships to students in environmentally related fields of study. This program is intended to strengthen the environmental research capacity of institutions of higher education that receive limited funding to build such capacity.

Funding Priority - Fiscal Year 2011: The Greater Research Opportunities Fellowship Program will support undergraduate fellowships in the following areas: Natural and Life Sciences (includes pollution prevention and/or control related study in Biology, Ecology, Microbiology, Molecular Sciences, etc.); Environmental Sciences and Interdisciplinary Programs (includes pollution prevention and/or control related study in Environmental Studies, Urban Sustainability and Land Use Planning, Environmental Health, Environmental Policy, Environmental Education, Native/Tribal Environmental Science, etc.); Engineering (includes pollution prevention and/or control related study in Environmental Engineering, Waste Management, Green Building Engineering, Biotechnology, etc.); Social Sciences (includes pollution prevention and/or control related study in Economics, Political Science, International Environmental Studies, Anthropology, Sociology, Psychology, Environmental Justice, Communication & Culture, etc.); Physical Sciences and Earth Sciences (includes pollution prevention and/or control related study in Atmospheric Sciences, Chemistry, Geology, Geography, Soil Science, Biogeochemistry, Water Quality, etc.); Mathematics and Computer Science (includes pollution prevention and/or control related study in Environmental Information Science, Mathematics and Statistics, Bioinformatics, etc.).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Fellowship awards are made in response to a competitive solicitation. Funds are to provide resources to allow for fellowships related to environmental issues. No matching funds are required. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

Applicants must attend a fully accredited U.S. college or university (located in the U.S. or its territories) for the fellowship period. Individuals must be citizens of the U.S. or its territories or possessions, or be lawfully admitted to the U.S. for permanent residence. Resident aliens must include their green card number in their application. You must have your green card at the time of application to be eligible for this Fellowship opportunity. EPA may verify this number with the U.S. Citizenship and Immigration Service of the Department of Homeland Security.

The GRO Undergraduate Fellowship is intended for students entering their last two years of full time study before obtaining their first bachelor's degree.

Students who have already earned one bachelor's degree and are pursuing additional degrees are not eligible. The fellowship tenure is for 2 full academic years (9 months each) with a required paid summer internship after their first year. Thus, only students who will be entering their last two years of college will be considered eligible.

In order to receive the fellowship, the student must attend a fully accredited four year U.S. institution of higher education. This school must be among those that are not highly funded for research and development capacity. For the purposes of this solicitation, EPA considers ineligible those institutions receiving more than \$35 million in annual federal research and development funding. Institutions who exceed this threshold can be identified in the National Science Foundation's publication "Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions: FY 2007," Table 12 column 2. These data can be found at: <http://www.nsf.gov/statistics/nsf09315/pdf/tab12.pdf>.

Applicants attending eligible institutions with substantial minority enrollment are particularly encouraged to apply. Examples of such schools are those that the U.S. Department of Education lists as "Accredited Postsecondary Minority Institutions" consistent with Executive Orders 13125 (Increasing Participation of Asian Americans and Pacific Islanders in Federal Programs), 13230 (President's Advisory Commission on Educational Excellence for Hispanic Americans), 13256 (White House Initiative on Historically Black Colleges and Universities), and 13270 (Executive Order on Tribal Colleges and Universities), which seek to advance the development of the Nation's full human potential, advance equal opportunity in higher education, strengthen the capacity of these institutions to provide the highest quality education, and increase opportunities for these institutions to participate in and benefit from Federal programs. Note however, that not all of these schools receive \$35 million or less annually in Federal Research and Development expenditures. For specific information regarding Federal funding to minority-serving institutions, see "Federal S&E Obligations to Three Types of Minority-Serving Institutions Decline in FY 2007," <http://www.nsf.gov/statistics/infbrief/nsf09319/nsf09319.pdf>.

Students attending two-year institutions, community colleges, and not in attendance at an institution of higher education may be eligible to apply. However, in order to receive the fellowship, students attending two-year institutions, community colleges, or not in attendance at the time of application will need to show evidence of having received their Associate's degree, will need to demonstrate that they only have two years left of undergraduate studies for completion of the Bachelor's degree, and will need to demonstrate that they have been accepted to attend an accredited eligible four year institution. This requirement is considered satisfied if the student is transferring to a four-year institution which has an Articulation Agreement with the two-year institution, thus meaning that all credits will transfer towards requirements for the Bachelor's degree. An Articulation Agreement is a signed contract between a community or technical college and a four-year college or university that guarantees that a student who earns an associate degree at a participating two-year institution can transfer all of the general education core credits to the four-year institution toward the completion of baccalaureate degree requirements. More information can usually be obtained directly from the institution's Registrar. Alternately, a student with an Associate's degree may provide a letter from the Registrar of the accredited four-year institution verifying that upon matriculation, the student will only have two remaining years of undergraduate study to complete the first Bachelor's degree.

Students must be pursuing a bachelor's degree in an environmentally related field. Students must have two (2) years remaining from the start of the Fall semester (Fall 2012) before receiving their initial bachelor's degree. Students must have at least a "B" average overall.

Acceptance of this fellowship does not necessarily preclude acceptance of another scholarship, fellowship, traineeship, or grant aid. However, this fellowship does preclude receiving other federal fellowships.

The exact term (start and end dates) of the undergraduate fellowship is negotiated with the student and covers a period of nine months for each fellowship year. Students seeking a bachelor's degree may be supported for a

maximum of two years.

Employees of the U.S. government must be able to prove separation from Federal service before accepting this fellowship.

EPA recognizes the need for scientists and engineers from diverse cultural backgrounds. Broadening opportunities for, and enabling participation of all individuals, including women, men, minorities and persons with disabilities, are essential to the health and vitality of science and in particular, the environmental research and development enterprise. For this reason, EPA strongly encourages women, minorities, and persons with disabilities to apply.

**Beneficiary Eligibility:**

Individual/Family; Student/Trainee.

**Credentials/Documentation:**

EPA may request that fellows document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, and experience in the field to carry out the fellowship. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. NCER invites applications for undergraduate fellowships in academic disciplines including engineering, environmental science, and physical science. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For regular mail, completed paper applications must be submitted to the following address: U.S. Environmental Protection Agency, Peer Review Division (8725P); Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1200 Pennsylvania Avenue, NW, Washington, DC 20460. For express mail and couriers, completed paper applications must be submitted to the following address: U.S. Environmental Protection Agency, Peer Review Division (8725P), Funding Opportunity Number: (include appropriate number as shown in the solicitation); 2777 Crystal Drive (One Potomac Yards), 6th Floor South Building, Arlington, VA 22202. Specific details on the application process are described in the solicitations which are located at: <http://www.epa.gov/ncer>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 210 days from the close of the solicitation.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the fellowship is negotiated with the student and covers a period of nine months for each fellowship year. Students seeking a bachelor's degree may be supported for a maximum of two years. If selected to receive a fellowship, the fellow will be contacted no later than seven months after the close of the solicitation and should subsequently receive official notification of award by no later than 9 months after the close of the solicitation for the fall term. Please note that this schedule may be changed without notification due to factors that were not anticipated at the time of announcement. The official notification of an award will be made by the EPA's Grants and Interagency Agreement Management Division. See the following for information on how assistance is awarded/released: Assistance is incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. EPA includes reporting requirements for fellowships in the terms and conditions of the agreements. Reporting requirements are also identified in the fellowship regulations, 40 CFR Part 46. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 46 are applicable. All records related to a fellowship agreement must be maintained for three years after the completion date inserted on the "Completion of Studies Notice" (EPA Form 5770-9). EPA, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, has the right of timely and unrestricted access to documents, papers, or other records related to a fellowship, in order to make audits, examinations, excerpts, transcripts and copies of such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$1,580,000; FY 11 est \$2,100,000; and FY 12 est \$2,100,000

**Range and Average of Financial Assistance:**

The undergraduate fellowship provides up to \$19,700 per year of academic support and \$9,500 for internship support for a combined total of up to \$48,900 over the life of the fellowship. Awards range from \$31,000 to \$48,900 total per fellowship and average \$39,000 total.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Applications received for the Greater Research Opportunities Undergraduate Fellowship Program- FY 10: 159. New awards for the Greater Research Opportunities Undergraduate Fellowship Program- FY 10: 34. Fiscal Year 2011: Applications received for the Greater Research Opportunities Undergraduate Fellowship Program- FY 11: 107. New awards for the Greater Research Opportunities Undergraduate Fellowship Program- FY 11: Information for FY 2011 is not yet available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fellowship Regulations, Environmental Protection Agency (40 CFR Part 46).

**Regional or Local Office:**

See Regional Agency Offices. Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contacts listed in the solicitations. Solicitations are located at: <http://www.epa.gov/ncer>.

**Headquarters Office:**

Georgette Boddie, USEPA, Potomac Yards, South 2777 Crystal Drive, Rm# S11948, Arlington, Virginia 22202 Email: [boddie.georgette@epa.gov](mailto:boddie.georgette@epa.gov) Phone: 703-347-8049

**Website Address:**

<http://www.epa.gov/ncer>

**RELATED PROGRAMS:**

66.514 Science To Achieve Results (STAR) Fellowship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1. Support student's education in the field of biochemistry. Student's research will focus on biofuels and bioenergy.

2. Support student's education in the field of biology. Student's research will focus on understanding the impacts of environmental changes on emerging infectious diseases.

3. Support student's education in the field of environmental engineering. Student's research interests are in solving novel problems and advancing scientific knowledge associated with natural treatment systems.

4. Support student's education in the field of geoscience. Student's research will focus on the impact agricultural practices have on groundwater quality.

5. Support student's education in the field of microbiology. Student's research interests are in exploring technologies associated with remediation and pollution reduction. Fiscal Year 2011: Information for FY 2011 is not yet available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the Web page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for the RFAs.

**66.514 SCIENCE TO ACHIEVE RESULTS (STAR) FELLOWSHIP PROGRAM**

**FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; Toxic Substances Control Act, Section 10, 15 U.S.C 2609; Clean Water Act, Section 104, 33 U.S.C 1254; Clean Air Act, Section 103, 42 U.S.C 7403; National Environmental Policy Act of 1969, Section 102(2)(F); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981.

**OBJECTIVES:**

The National Center for Environmental Research (NCER), as part of its Science to Achieve Results (STAR) program, offers graduate fellowships for master's and doctoral level students in environmentally related fields of study. The purpose of the fellowship program is to encourage promising students to obtain advanced degrees and pursue careers in environmentally related fields. This goal is consistent with the mission of EPA, which is to provide leadership in the nation's environmental science, research, education, assessment, restoration, and preservation efforts. This program will benefit both the public and private sectors which will need a steady stream of well-trained environmental specialists if society is to meet the environmental challenges of the future. These fellowships are intended to help defray costs associated with advanced environmentally-oriented study leading to a master's or doctoral degree.

Funding Priority - Fiscal Year 2011: The STAR Fellowship Program will support graduate fellowships in the following areas: Emerging Environmental Approaches & Challenges: Innovative Investigations for Oil Spill Impacts; Emerging Environmental Approaches & Challenges: Social Sciences; Emerging Environmental Approaches & Challenges: Information Science; Tribes and American Indian/Alaska Native/Pacific Islander Communities; Nanotechnology; Science & Technology for Sustainability: Environmental Entrepreneurship; Science & Technology for Sustainability: Green Engineering/Building/Chemical Products & Processes/Materials Development; Science & Technology for Sustainability: Green Energy/Natural Resources Production & Use; Global Change; Clean Air; Drinking Water; Water Quality: Hydrogeology and Surface Water; Water Quality: Coastal and Estuarine Processes; Human Health: Public Health; Human Health: Risk Assessment and Risk Management; Ecosystem Services: Aquatic Systems Ecology; Ecosystem Services: Terrestrial Systems Soil and Plant Ecology; Ecosystem Services: Terrestrial Systems Animal Ecology; Pesticides and Toxic Substances; Land Protection. All projects must describe the relationship of these topic areas to the statutorily required purpose of pollution prevention and/or control.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All STAR fellowship awards are made in response to a competitive solicitation. Funds are to provide resources to allow for fellowships related to environmental issues. No matching funds are required. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 200.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

Applicants must attend a fully accredited U.S. college or university (located in the U.S. or its territories). Individuals must be citizens of the U.S. or its territories or possessions, or be lawfully admitted to the U.S. for permanent residence. Resident aliens must include their green card number in their application. Resident alien applicants must have their green card at the time of application to be eligible for this Fellowship opportunity. EPA may verify this number with the U.S. Citizenship and Immigration Service of the Department of Homeland Security.

Applicants do not need to be enrolled in or formally accepted into a full time graduate program at the time they apply for a fellowship, but proof of enrollment or acceptance must be produced prior to the award of the fellowship. Applicants must be pursuing a master's or doctoral degree in an environmental field of specialization at a fully accredited U.S. college or university (based in the U.S. or its territories).

Applicants who are in a graduate program at the time of application and meet either of the following two criteria as of the solicitation closing date ARE NOT eligible to receive a fellowship: 1) have completed more than one year in their current master's program; or 2) have completed more than four years in their current doctoral program. However, applicants enrolled in a master's program who intend to pursue a doctoral degree beginning in the fall of 2012 may apply for a doctoral fellowship.

This fellowship does preclude receiving other federal fellowships



simultaneously. However, acceptance of this fellowship does not necessarily preclude acceptance of another private, state, regional, local, or non-profit scholarship, fellowship, traineeship, or grant aid.

Employees of the U.S. government may apply, but must be able to prove separation from Federal service before accepting this fellowship.

EPA recognizes the need for scientists and engineers from diverse cultural backgrounds. Broadening opportunities for, and enabling participation of all individuals, including women, men, minorities and persons with disabilities, are essential to the health and vitality of science and in particular, the environmental research and development enterprise. For this reason, EPA strongly encourages women, minorities, and persons with disabilities to apply.

**Beneficiary Eligibility:**

Individual/Family; Student/Trainee and Graduate Student.

**Credentials/Documentation:**

EPA may request that fellows document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, and experience in the field to carry out the fellowship. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. NCER invites applications for graduate fellowships in academic disciplines relating to environmental research including engineering, public health, and ecological sciences. An application provides the information needed for the review of its merit. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For regular mail, completed paper applications must be submitted to the following address: U.S. Environmental Protection Agency, Peer Review Division (8725P); Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1200 Pennsylvania Avenue, NW, Washington, DC 20460. For express mail and couriers, completed paper applications must be submitted to the following address: U.S. Environmental Protection Agency, Peer Review Division (8725P), Funding Opportunity Number: (include appropriate number as shown in the solicitation); 2777 Crystal Drive (One Potomac Yards), 6th Floor South Building, Arlington, VA 22202. Specific details on the application process are described in the solicitations which are located at: <http://www.epa.gov/ncer>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 210 days from the close of the solicitation.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of a graduate fellowship is negotiated with students and customarily covers a period of 9 to 12 months for each fellowship year. Students seeking a master's degree may be supported for a maximum of two years. Students seeking doctoral degrees may receive support for a maximum of three years, available over a period of four years. If selected to receive a fellowship, the fellow will be contacted no later than seven months after the close of the solicitation and should subsequently receive official notification of award by no later than 9 months after the close of the solicitation for the fall term. Please note that this schedule may be changed without notification due to factors that were not anticipated at the time of announcement. The official notification of an award will be made by the EPA's Grants and Interagency Agreement Management Division. See the following for information on how assistance is awarded/released: Assistance is incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. EPA includes reporting requirements for fellowships in the terms and conditions of the agreements. Reporting requirements are also identified in the fellowship regulations, 40 CFR Part 46. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 46 are applicable. All records related to a fellowship agreement must be maintained for three years after the completion date inserted on the "Completion of Studies Notice" (EPA Form 5770-9). EPA, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, has the right of timely and unrestricted access to documents, papers, or other records related to a fellowship, in order to make audits, examinations, excerpts, transcripts and copies of such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$8,573,800; FY 11 est \$13,600,000; and FY 12 est \$14,000,000

**Range and Average of Financial Assistance:**

A maximum of \$84,000 (\$42,000/year) will be provided for master's fellows (two years) and up to \$126,000 (three years) for doctoral fellows. Awards range from \$55,000 to \$126,000 total per fellowship and average \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Applications received for the STAR Fellowship Program: FY 10: 1363. New Awards for the STAR Fellowship Program: FY 10: 113. Fiscal Year 2011: Applications received for the STAR Fellowship Program: FY 11: 1475. New Awards for the STAR Fellowship Program: FY 11: Information not yet available. Fiscal Year 2012: No Current Data Available

## **REGULATIONS, GUIDELINES, AND LITERATURE:**

Fellowship Regulations, Environmental Protection Agency (40 CFR Part 46).

### **Regional or Local Office:**

See Regional Agency Offices. Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed in the solicitation. The solicitation is located at:

<http://www.epa.gov/ncer>.

### **Headquarters Office:**

Brandon Jones, USEPA, Potomac Yards South, 2777 Crystal Drive, Rm# S11772, Arlington, Virginia 22202 Email: [jones.brandon@epa.gov](mailto:jones.brandon@epa.gov) Phone: 703-347-8053

### **Website Address:**

<http://www.epa.gov/ncer>

## **RELATED PROGRAMS:**

66.513 Greater Research Opportunities (GRO) Fellowships For Undergraduate/Graduate Environmental Study

## **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1. Elucidate the functional dynamics of plant communities and ecosystems in response to climate change in the geologic past.

2. Elucidate the chemical species, sources, and atmospheric processes that affect oxidant production in the lungs from ambient particulate matter (PM).

3. Optimize natural processes to develop simple, sustainable, and inexpensive water disinfection processes that could be used in both the developed and developing worlds.

4. Identify whether mixtures of phthalates contribute to the development of asthma or allergy or affect lung function and inflammation in school aged children.

5. Investigate the social implications of flame retardant chemicals that are used in consumer products and may harm human health and the environment. Fiscal Year 2011: Information for FY 2011 is not yet available. Fiscal Year 2012: No Current Data Available

## **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the Web page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for this RFA.

## **66.516 P3 AWARD: NATIONAL STUDENT DESIGN COMPETITION FOR SUSTAINABILITY**

### **FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

### **AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F); Toxic Substances Control Act, Section 10, 15 U.S.C 2609; Clean Air Act, Section 103, 42 U.S.C 7403; Clean Water Act, Section 104, 33 U.S.C 1254; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136; Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981.

### **OBJECTIVES:**

EPA offers this competition to respond to the technical needs of the developed and developing world in moving towards the goal of sustainability. P3 highlights people, prosperity, and the planet - the three pillars of sustainability - as the next step beyond P2 or pollution prevention. The P3 Award program is a partnership between the public and private sectors to progress toward sustainability by achieving the mutual goals of economic prosperity, protection of the natural systems of the planet, and providing a higher quality of life for its people.

Funding Priority - Fiscal Year 2011: The United States Environmental Protection Agency (EPA) invites submissions to the P3 Award: A National

Student Design Competition for Sustainability. The P3 competition will provide grants to teams of college students to research, develop, and design solutions to challenges to sustainability.

The P3 Award Program is composed of two phases that award grants on a competitive basis. The first phase of the P3 Award Program is a competition for one-year grants of up to \$15,000 to test scientific hypotheses and principles by developing scientific or engineering designs that will promote sustainable development. Challenges from a wide range of categories will be considered. These include: Energy (e.g., reduction in air and water emissions through innovative strategies for energy production and energy distribution; energy conservation; inherently benign energy through green chemistry, green engineering, development of alternative energy sources); Built Environment (e.g., green building designs, transportation and mobility strategies, or smart growth approaches that result in environmental benefits such as air emission reductions or water quality improvements); Materials and Chemicals (e.g., materials conservation; renewable feedstocks; materials and chemicals that are inherently benign and energy-, water- and material efficient through their full life-cycles; recovery and reuse of materials through product, process, or system design; biomimicry that contributes to pollution prevention); Water (e.g., research relating to causes, effects, extent, prevention, reduction and elimination of water pollution; research on the structure and function of freshwater ecosystems for the maintenance of the chemical, physical and biological integrity of the systems; or research to ensure provision of a dependable safe supply of drinking water, including methods to treat raw water for drinking, improvements in water purification and distribution, and protection of underground water sources of public water systems); Agriculture (e.g., reduction or elimination of pesticides, minimizing fertilizer and nutrient runoff, productive use of agricultural wastes. Projects focused solely on food supply are not allowable.)

In the spring following Phase I grant awards, Phase I grantees are required to present their designs at the annual National Sustainable Design Expo on the National Mall in Washington, DC where they will have an opportunity to compete for Phase II grant awards of up to \$90,000. The Phase II grant awards are to support the demonstration and further development of the sustainability designs created in the first phase of the program. The competitors for the P3 Phase II grants will be limited to those selected to receive support as a result of the Phase I competition. Additional instructions for the Phase II proposals, which will be due approximately 8 months after the Phase I grants are awarded, will be distributed to Phase I recipients following award of the Phase I grants. Those projects identified for receipt of a Phase II grant are also recognized as "P3 Award".

## **TYPES OF ASSISTANCE:**

### **PROJECT GRANTS**

## **USES AND USE RESTRICTIONS:**

Awards are made in response to an announced competitive request for applications (RFA). Funds awarded via grant agreements are available for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

## **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition

Policy.

Public nonprofit institutions/organizations (limited to degree-granting public institutions of higher education) and private nonprofit institutions/organizations (limited to degree-granting private institutions of higher education) located in the U.S. are eligible to apply to be the recipient of a grant to support teams of undergraduate and/or graduate students. Profit-making firms are not eligible to receive assistance agreements from the EPA under this program. The students on the teams supported by the institution receiving the grant must be enrolled in the college, university, or post-secondary educational institution they will be representing at the time the proposal is submitted. Institutions are allowed to submit more than one application where each application represents a unique design concept and student team. For the purposes of grant administration, the team's faculty advisor will be designated the Principal Investigator throughout the P3 grant award and competition process. In addition to the Principal Investigator, each team selected for award will also be asked to provide contact information for a student lead.

Eligible nonprofit organizations include research institutes, corporations, or foundations that are part of a U.S. institution of higher education. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that lobby are not eligible to apply.

National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its assistance agreement from the EPA to an FFRDC for, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent FFRDC employees may not be provided through this mechanism.

Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on an assistance agreement, and may not receive salaries or augment their Agency's appropriations in other ways through awards made under this program.

The applicant institution may enter into an agreement with a Federal Agency to purchase or utilize unique supplies or services unavailable in the private sector. Examples are purchase of satellite data, census data tapes, chemical reference standards, analyses, or use of instrumentation or other facilities not available elsewhere. A written justification for federal involvement must be included in the application. In addition, an appropriate form of assurance that documents the commitment, such as a letter of intent from the Federal Agency involved, should be included.

Collaboration with colleges and universities outside the United States is permitted, but only U.S. institutions will be eligible for awards. Up to 40% of the total grant may be sub-awarded to another educational institution (domestic or foreign) as described in instructions for submitting to this RFA. If foreign work will be performed, in the process of funding the grant, EPA's Office of Research and Development is required to obtain clearance from EPA's Office of International and Tribal Affairs and the U.S. Department of State before any funded foreign work or travel is performed.

See RFA at: <http://www.epa.gov/ncer/p3/> for additional information pertaining to eligibility requirements.

**Beneficiary Eligibility:**

Public Nonprofit Institutions/Organizations, Private Nonprofit Institutions/Organizations, Anyone/General Public, Education Professional, Student/Trainee, Graduate Student, Scientists/Researchers.

**Credentials/Documentation:**

EPA may request that students document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out the research. EPA may ask principal

investigators for information documenting past performance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circular No. A-110 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular No. A-110. Specific details on the application process is described in the solicitation which is located at: <http://es.epa.gov/ncer/p3/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified of award decisions within six months of the close of the RFA. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate proposal revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreement Management Division.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

P3 Awards will be fully funded. Project period for Phase I will normally not exceed 1 year. Project period for Phase II will normally not exceed 2 years. See the following for information on how assistance is awarded/released:  
Assistance is fully funded (lump sum).

**Reports:**

No program reports are required. No cash reports are required. Phase I Report,

Phase II report, and invention reports as appropriate. Phase II awards require progress reports. No expenditure reports are required. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 are applicable. Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$1,281,000; FY 11 est \$1,275,000; and FY 12 est \$1,275,000

**Range and Average of Financial Assistance:**

Phase I Awards range from \$9,300 to \$15,000. Average awards total \$9,800. Phase II Awards range from \$74,500 to \$90,000. Average awards total \$74,750.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Applications received for the P3 Phase I Award: FY 10: 93. New awards for the P3 Phase I Award: FY 10: 55. Applications received for the P3 Phase II Award: FY 10: 40. New awards for the P3 Phase II Award: FY 10: 12. Abstracts of grant awards, and final summary results of the research will be available on the NCER P3 homepage:

<http://www.epa.gov/ncer/p3/success/index.html>. Fiscal Year 2011: Applications received for the P3 Phase I Award: FY 11: 167. New awards for the P3 Phase I Award: FY 11: Information not yet available. Applications received for the P3 Phase II Award: FY 11: 54. New awards for the P3 Phase II Award: FY 11: Information not yet available. Abstracts of grant awards, and final summary results of the research will be available on the NCER P3 homepage: <http://www.epa.gov/ncer/p3/success/index.html>. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30) and Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40).

**Regional or Local Office:**

See Regional Agency Offices. Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed on the solicitation. The solicitation may be found at: <http://www.epa.gov/ncer/p3/>.

**Headquarters Office:**

Cynthia Nolt-Helms, USEPA Potomac Yards South, 2777 Crystal Drive, Rm# S11781, Arlington, Virginia 22202 Email: [nolt-helms.cynthia@epa.gov](mailto:nolt-helms.cynthia@epa.gov) Phone: 703-347-8102

**Website Address:**

<http://www.epa.gov/ncer/p3/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1. Define the economic value and carbon tradeoff for forest management practices and determine the relationships between forest management policies and carbon sequestration.

2. Develop a low cost method and device to provide safe drinking water from naturally occurring atmospheric moisture found in the most arid regions of the world.

3. The purpose of the project is to produce biofuel more efficiently. The project will focus on the development of a novel bioreactor design to achieve two goals: a) increase algal growth and lipid accumulation; and b) sequester anthropogenic CO2 emissions to reduce greenhouse effect.

4. Demonstrate a slow sand filtration system to purify drinking water in Socorro, Guatemala.

5. Develop and optimize viable anaerobic digester technology for dairy farms with 50 or fewer cows in cold climates to produce biogas fuel. Fiscal Year 2011: Information for FY 2011 is not yet available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the Web page (<http://es.epa.gov/ncer/p3>) for additional information on the evaluative criteria for this RFA.

**66.517 REGIONAL APPLIED RESEARCH EFFORTS (RARE)**

**FEDERAL AGENCY:**

Office of Research and Development, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act, Section 103&104, Public Law 95-95, 42 U.S.C 7401; Solid Waste Disposal Act, Section 8001; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; National Environmental Policy Act of 1969, Section 102(2)(F); Safe Drinking Water Act, Section 1442, Public Law 93-523; Marine Protection, Research, and Sanctuaries Act, Section 203; Resource Conservation and Recovery Act of 1976, Public Law 94-580, 42 U.S.C 6981; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311, Public Law 95-510; Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20&23, Public Law 92-516, 7 U.S.C 136r&136u; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311, Public Law 99-499; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 94-140, 7 U.S.C 136; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 95-396, 7 U.S.C 136.

**OBJECTIVES:**

To (1) support surveys, studies and investigations and special purpose assistance to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) identify, develop, and demonstrate effective pollution control techniques; and (3) fund innovative regional projects that address a stated problem or opportunity relating to sustainability and use science to inform design, planning and decision-making at the local, state and industrial levels.

Funding Priority - Fiscal Year 2011: FY 2011 Priorities include conducting high priority air pollutants research, ecological risk assessment, water quality, watersheds and drinking water research, research to improve human health (including children's) risk assessment, pollution prevention and new technologies/Economic and Social Science research. Support surveys, studies and investigations and special purpose assistance actions to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; and identify, develop, and demonstrate effective pollution control techniques will all be funded under this category.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds awarded via grants/cooperative agreements are available for allowable

direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

These programs are available to each State, territory and possession, and Tribal nation of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals who have demonstrated unusually high scientific ability.

**Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; Scientists/Researchers, Hospitals, and Individuals.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When, applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funds may be available to support activities including but not limited to experiments, surveys, studies, investigations, public education programs, and monitoring where authorized by specific statutes, in both science and engineering disciplines. Please check the Federal Register or the EPA/ORD website <http://www.epa.gov/ord/html/grantopportunity.htm> for an updated listing of these programs. Completed applications must be submitted to the appropriate laboratory, center or office within ORD specified in the announcement. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Customarily, applicants are notified about award decisions within six months of the solicitation deadline. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Before or after award, certain applicants will be expected to provide

additional quality assurance documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals and extensions are available under the discretion of the appropriate Regional Science Liaison (RSL) to ORD.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12-month basis (annual). Total approved project period may not exceed 2 years. See the following for information on how assistance is awarded/released: Assistance is either fully funded (lump sum) or incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31. Progress reports are required under this program. A discussion of expenditures is required in progress reports under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$449,000; FY 11 est \$500,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

New grants/cooperative agreements range from \$30,000 to \$100,000 and average \$74,833.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Six grants/cooperative agreements were made in FY 2010. Contact the Regional Science Liaison of the specific region for the results of the research. Fiscal Year 2011: Information for FY 2011 is not yet available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency

(40 CFR Part 30 and 40 CFR Part 31); Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40). Costs will be determined in accordance with OMB Circular No. A-87 (relocated to 2 CFR Part 225) for State and local governments, OMB Circular No. A-21 (relocated to 2 CFR Part 220) for educational institutions, and OMB Circular No. A-122 (relocated to 2 CFR Part 230) for nonprofit organizations.

**Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate EPA Regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Andre Wade U.S. Environmental Protection Agency, 1200 Pennsylvania Ave., Washington, District of Columbia 20460 Email: Wade.Andre@epa.gov Phone: 202-564-3697

**Website Address:**

<http://www.epa.gov/ord/htm/grantopportunity.htm>

**RELATED PROGRAMS:**

66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) Metal and Osmotic Ecophysiology in Appalachian Aquatic Insects: Clarifying the Cause of Biological Impairment Downstream of Large-Scale Surface Coal Mines

2) Relationship of Airborne Manganese Exposure to Neurobehavioral and Health Status of Adults

3) Field Deployment of Prototype Deep UV Optical Sensor (DUVOS) for Fence Line Monitoring

4) Sources and Contribution of VOCs to Summertime Organic PM2.5: Expanding the scope of measurements at the CALNEX site, Arvin, CA. Fiscal Year 2011: Information for FY 2011 is not yet available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**66.518 STATE SENIOR ENVIRONMENTAL EMPLOYMENT PROGRAM**

(SEE)

**FEDERAL AGENCY:**

Office of Administration and Resources Management, Environmental Protection Agency

**AUTHORIZATION:**

Environmental Programs Assistance Act of 1984, Public Law 98-313, 42 U.S.C 4368a.

**OBJECTIVES:**

To use the talents of Americans 55 years of age or older to provide technical assistance to State environmental agencies for projects of pollution prevention, abatement, and control to achieve the Agency's goals of Clean Air; Clean and Safe Water; Land Preservation and Restoration; Healthy Communities and Ecosystems; and Compliance and Environmental Stewardship.

Funding Priority - Fiscal Year 2011: The Environmental Programs Assistance Act of 1984 (Pub. L. 98-313) authorized the Administrator of the EPA "to make grants to, or enter into cooperative agreements with private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965." These cooperative agreements are to utilize the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control." "Technical assistance" may include any activity performed for the State in support of its projects ranging from inspections of large capacity cesspools, to support for a State Environmental staff office. This allows for coverage of all types of SEE program positions from professional to clerical.

Funding Priority - Fiscal Year 2012: The Environmental Programs Assistance Act of 1984 (Pub. L. 98-313) authorized the Administrator of the EPA "to make grants to, or enter into cooperative agreements with private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965." These cooperative agreements are to utilize the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control." "Technical assistance" may include any activity performed for the State in support of its projects ranging from inspections of large capacity cesspools, to support for a State Environmental staff office. This allows for coverage of all types of SEE program positions from professional to clerical.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The SEE Act states that only nonprofit organizations which are designated by the Secretary of Labor under Title V of the Older Americans Act can participate. These cooperative agreements are to utilize the talents of older Americans in temporary full time or part time positions "providing technical assistance to Federal, State and local environmental agencies for projects of pollution prevention, abatement, and control."

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965.

**Beneficiary Eligibility:**

State environmental agencies and individuals 55 years old or older.

**Credentials/Documentation:**

The Environmental Programs Assistance Act of 1984 requires a certification by the Federal, State, or local agency that is to receive the SEE workers that the grant/cooperative agreement will not displace any Federal or State workers, prevent the rehiring of any laid-off Federal/State workers, or affect existing service contracts. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Requests for application forms must be submitted to: Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460. Completed applications must be sent to the same address, and a copy of the completed application should also be sent to: Susan Street, Manager, SEE Program, Office of Human Resources, Program Management and Communications Staff (3600M), Washington, DC 20460. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102. Basic steps of the application process are outlined in the application package.

**Award Procedure:**

Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to assistance regulations and to program objectives.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance covers a period of one to three years and is awarded in increments during that period. See the following for information on how assistance is awarded/released: Assistance is awarded throughout the life of the Agreement to support ongoing activities.

**Reports:**

No program reports are required. Recipients must furnish quarterly reports on expenditures by cooperative agreement. Cash reports are required on a quarterly schedule. Progress reports are required on a quarterly schedule. Expenditure reports are required on a quarterly schedule. Performance monitoring is required as a normal part of Project Officer Post Award Monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents which support entries on accounting records and which substantiate changes to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until expiration of three years from the date of submission of the final financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$478,500; FY 11 est \$500,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

New awards and amendments: FY 2010 range \$40,000 - \$308,000; Estimated Averages \$119,600; FY 2011, estimated range \$85,000 - \$240,000; Average \$148,200; FY 2012 estimated range \$85,000 - \$240,000; Average \$148,200.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, two cooperative agreements were continued. Fiscal Year 2011: In Fiscal Year 2011, two cooperative agreements will continue to be administered. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Assistance Administration Manual, available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; 40 CFR Part 30, General Regulation for Assistance Programs; Office of Administration and Resources Management for the Management of the Senior Environmental Employment Program.

**Regional or Local Office:**

See Regional Agency Offices. Susan Street, Manager SEE Program (3600M), Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, Program Management and Communications Staff, 1200 Pennsylvania Ave, N.W., Washington DC 20460. Telephone: (202) 564-0410 FAX: (202) 564-0735; e-mail: street.susan@epa.gov.

**Headquarters Office:**

Susan Street, SEE Program (3600M), Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, Program Management and Communications Staff, 1200 Pennsylvania Ave, N.W, Washington, District of Columbia 20460 Email: street.susan@epa.gov Phone: (202) 564-0410.

**Website Address:**

<http://epa.gov/epahrist/see/brochure> .

**RELATED PROGRAMS:**

66.508 Senior Environmental Employment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Focus is on State level programs. Similar programs conducted at the Federal level provided to senior citizens to do national non-agricultural pesticide surveys, monitor for asbestos compliance in schools, provide review and monitoring support for the Import Car Program, monitor the anti-fuel switching program, conduct research, and general administrative and clerical tasks. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must demonstrate that the Organizations have the capability of operating nationwide; can manage the program within the prescribed administrative funding limits; and can provide a quality fringe benefit package to enrollees under the proposal (including health insurance).

**66.600 ENVIRONMENTAL PROTECTION CONSOLIDATED GRANTS FOR THE INSULAR AREAS - PROGRAM SUPPORT**

(Consolidated Program Support Grants)

**FEDERAL AGENCY:**

Region 9, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act, Section 1443(a)&1443(b); Solid Waste Disposal Act, 42 U.S.C 6908; Federal Insecticide, Fungicide, and Rodenticide Act, Section 23(a)(1)&(a)(2); Omnibus Territories Act , 48 U.S.C 1469; National Environmental Policy Act, Section 102(2)(F); Clean Water Act, Section 104(b)(3)&106; Toxic Substances Control Act, Section 28(a),404(g); Pollution Prevention Act, Section 6605; Clean Water Act, Section 205(g)&205(j)2; Clean Water Act, Section 319(h); Toxic Substances Control Act, Section 306.

**OBJECTIVES:**

The consolidated program support grant is an alternative assistance delivery mechanism which allows an Insular Territory responsible for continuing pollution control programs to develop an integrated approach to pollution control. An agency eligible for assistance for two or more pollution control programs may consolidate its assistance requests into a single application and receive a single consolidated award in an effort to reduce administrative and application costs. The consolidated grants program does not represent funding in addition to grants provided under individual authorities, but merely represents the amount of consolidation taking place within the Agency's total grant appropriations.

Funding Priority - Fiscal Year 2011: To provide technical, managerial and financial support in relation to our consolidated environmental program and Drinking Water and Clean Water grants for the protection of public health and welfare in the Territories of Guam, American Samoa, and the Virgin Islands, and the Commonwealth of the Northern Mariana Islands (hereinafter referred to as "Insular Areas"). Funding priorities for the fiscal year include: 1) Clean and Safe Water: (a) Safe Drinking Water - To provide on-site technical assistance, training, and funding towards building capacity at water utilities and environmental protection agencies, and addressing funding shortages for drinking water infrastructure improvements. We will work with DOI's Office of

Insular Affairs and other federal agencies to explore ways of addressing the growing gap between available federal funding and the capital needs for sound infrastructure (b) Clean Water - To provide on-site technical assistance, training, funding, capacity building to utilities and environmental agencies for construction of wastewater treatment facilities; to assist government agencies in the development of surveillance, monitoring, and enforcement programs for streams, lakes, marine water, marine sediment, and coral reef protection through our comprehensive Watershed Management program that protects human health and the environment. 2) Preserve Land: To provide on-site technical assistance, training, and information exchange with other governments and international agencies to establish a regional recycling program that would reduce waste and the need for landfill area and eliminate possible incineration; to continue to inspections and establish training to prevent petroleum releases by working with environmental agencies, utilities, and Department of Defense by instituting comprehensive training, inspection, and on scene coordination concerning emergency responses. 3) Health Communities and Ecosystems: Reduce chemical and biological risks - To provide on-site technical assistance, training, capacity building, funding to eliminate the exposure to hazardous and nonhazardous chemicals, toxic waste, and pesticides for the protection of public health and the environment. Assist government with the removal and remediation of toxic and pesticide wastes; eliminate the illegal importation and improper use of pesticides; promote sustainable development; provide an information exchange and partnership for the utilization of international treaties regarding the transport and disposal of hazardous materials and waste. 4) Compliance and Environmental Stewardship: To provide on-site technical assistance, training, capacity building, and funding to continue to establish and develop key partnerships with territorial government agencies and federal agencies for enforcement issues concerning land based pollution, illegal toxic releases, and protection of the marine environment. As a result of EPA's continuing leadership and on-site assistance, the territorial governments look to EPA as a leader for all issues concerning environmental management and protection.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are awarded to Insular Area agencies under the above referenced authorities to provide technical and managerial support in relation to continuing environmental program grants that serve to protect the public health and welfare of the Insular Areas.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

The Territories of Guam, American Samoa, and the Virgin Islands, and the Commonwealth of the Northern Mariana Islands are eligible to receive and administer funds for more than one environmental program. For certain competitive funding opportunities under this description, the Agency may limit eligibility to a particular subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The Territories of Guam, American Samoa, the Virgin Islands, and the

Commonwealth of the Northern Mariana Islands.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication communications should be directed to the appropriate EPA Regional office. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and 40 CFR 31.10 must be used for this program. An applicant should consult the Regional office or official designated as the single point of contact for their Insular Area for more information on the process the Insular Area needs to follow when applying for assistance.

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. U.S. Insular area agencies will be notified to submit grant application packages identifying required forms including a work plan. The application package should be submitted to the appropriate EPA Regional Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

U.S. Insular area agencies will be notified of Federal assistance awards through the appropriate EPA Regional Office. For competitive awards, EPA will review and evaluate applications, proposals and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Matching requirements may be waived by the Agency pursuant to the Omnibus Territories Act. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is usually awarded for a 1-year or longer period. The Automated Standard Application for Payments (ASAP) is the preferred payment method. See the following for information on how assistance is awarded/released: Assistance is awarded as fiscal year program funds become available. Typically 2-3 awards/amendments are made per year.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly and final performance reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments - 40 CFR Part 31. Additionally, progress reporting by the Insular Area agency and performance monitoring by EPA will be the minimum



necessary for sound program management. Reporting requirements may vary with each Insular Area agency depending upon the specific agency's demonstrated management abilities. A financial status report is required within 90 days of the end of the budget period. Program Reports are required. Cash Reports are required. Progress Reports are required. Expenditure Reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

All records including documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If any litigation, claim or audit is started before the end of the 3-year period, the records must be retained until the litigations, claims or audit findings have been resolved.

**Account Identification:**

68-0108-0-1-304; 20-8145-0-7-304; 20-8153-0-7-304; 68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$43,100,000; FY 11 est \$44,000,000; and FY 12 est \$29,500,000

**Range and Average of Financial Assistance:**

In general, financial assistance has increased annually depending on program funding that is consolidated into the grant. Financial assistance has generally ranged from \$2,000,000 to \$4,000,000/territory/fiscal year for environmental program assistance. The total estimated average is \$8,500,000/fiscal year.

For FY10 and beyond, territorial Drinking Water and Clean Water SRF grant funds are being consolidated into grants for the territories of Guam, CNMI and American Samoa. For FY10 and 11, SRF financial assistance for the territories of Guam, CNMI and American Samoa has ranged from \$10M - \$14M annually per territory.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Island environmental agencies have significantly bolstered water, air, RCRA, superfund, and pesticides programs through the consolidated grants. The grants have allowed island governments to focus on environmental results without being overly burdened by administering multiple smaller grants. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 40 CFR Part 35, Subpart A, Environmental Program Grants; EPA annual Program Guidance.

**Regional or Local Office:**

See Regional Agency Offices. EPA Region 2 Contact: Victor M. Trinidad, Chief, Environmental Management Branch, EPA Region 2, Caribbean Environmental Protection Division, Centro Europa Building, Suite 417, 1492 Ponce de Leon Avenue, San Juan, Puerto Rico 00907-4127; Phone: (787) 977-5870; FAX: (787) 729-7747; EPA Region 9 Contacts: Guam: Alba Espitia, Grants Management Specialist, Grants Management Office (PMD-7), U.S. EPA Region 9, 75 Hawthorne St., San Francisco, CA 94105; Ph: 415-972-3667; Fax: 415-947-3556; E-mail: espitia.alba@epa.gov; CNMI and American Samoa: Renee Chan, Grants Management Specialist, Grants Management Office (PMD-7), U.S. EPA Region 9 75 Hawthorne St., San Francisco, CA 94105; Ph: 415-972-3675; Fax: 415-947-3556; E-mail: chan.renee@epa.gov.

**Headquarters Office:**

Alba Espitia, Grants Management Office (PMD-7), EPA Region 9, 75 Hawthorne St., San Francisco, California 94105 Email: espitia.alba@epa.gov Phone: (415) 972-3667.

**Website Address:**

<http://www.epa.gov/region9/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects have been funded which combined as few as two to several eligible programs. Environmental program grants are awarded annually to Insular Area agencies which consolidate a number of different program funds. In FY10 grants were awarded to territorial utility agencies which consolidated SRF CW and DW grant funds for construction of infrastructure projects and technical assistance. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications may be approved if: (1) funds are available; (2) if the application satisfies the requirements of 40 CFR Parts 31 and 35 and applicable statutes; and (3) if the proposed work program is feasible and compatible with the program priorities in EPA annual guidance. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.604 ENVIRONMENTAL JUSTICE SMALL GRANT PROGRAM (EJSG)**

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act, Section 1442(c)(3); Clean Water Act, Section 104(b)(3); Clean Air Act, Section 103(b)(3); Solid Waste Disposal Act, Section 8001(a); Marine Protection, Research, and Sanctuaries Act, Section 203; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a); Toxic Substances Control Act, Section 10(a); Comprehensive Environmental Response, Compensation and Liability Act, Section 311(c).

**OBJECTIVES:**

The primary purpose of proposed projects should be to develop a comprehensive understanding of environmental and public health issues, identify ways to address these issues at the local level, and educate and empower the community. The long-term goals of the program are to help build the capacity of the affected community and create self-sustaining, community-based partnerships that will continue to improve local environments in the future.

Funding Priority - Fiscal Year 2011: An estimated \$1,000,000 will be used to support non-profit organizations with activities that address environmental justice concerns, including but not limited to: (1) reducing asthma attacks; (2) reducing exposure to air toxics; (3) increasing compliance with regulations; (4) reducing the incidence of elevated blood lead levels; (5) creating green jobs; (6) and promoting energy efficiencies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, and investigations plus allowable direct costs in accordance with established EPA policies and procedures. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking

blood or other information from humans).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. An eligible applicant MUST BE: an incorporated non-profit organization; OR a Native American tribal government (Federally recognized) (AND) located within the same state, territory, commonwealth, or tribe that the proposed project will be located. In addition, an eligible applicant must be able to demonstrate that it has worked directly with the affected community. An "affected community" for the purposes of this assistance agreement program, is a community that is disproportionately impacted by environmental harms and risks and has a local environmental and public health issue that is identified in the proposal. The following entities are INELIGIBLE: colleges and universities; hospitals; state and local governments; quasi-governmental entities (e.g., water districts, utilities)\*; and national non-profit organizations that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995.

\*Generally, a quasi-governmental entity is one that: (1) has a close association with the government agency, but is not considered a part of the government agency; (2) was created by the government agency, but is exempt from certain legal and administrative requirements imposed on government agencies; or (3) was not created by the government agency but performs a public purpose and is significantly supported financially by the government agency.

**Beneficiary Eligibility:**

Non-Profit organizations and local government organizations as described in 081 above.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-122 for non-profit organizations and OMB Circular A-102 for local governments. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from and submitted to the U.S. Environmental Protection Agency, Office of Environmental Justice, Mail Code 2201A, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460 or the appropriate EPA Regional Office identified under Information Contacts.

Detailed information and assistance including an application may also be found at <http://www.epa.gov/compliance/environmentaljustice/grants/index.html>. For grant awards, Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 150 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project grant will be awarded for a 1 year project period. Activities must be completed within the timeframe of the project's budget period and all grants will be fully funded at the time of award. See the following for information on how assistance is awarded/released: Other.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require interim and final progress reports and financial reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each assistance agreement must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until the expiration of three years from the date of submission of the Financial Status Report. If questions still remain, such as those raised as the result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$1,900,000; FY 11 est \$1,000,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

\$20,000 to \$50,000/fiscal year; average \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 200 applications were received and 98 awards were granted under the basic EJ small grant solicitation.

Under a separate solicitation in response to the oil spill disaster in the Gulf of Mexico, 23 applications were received and 10 awards were granted. Fiscal Year 2011: In FY 2011, 216 applications were received and we anticipate up to 40 awards will be made. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 30.

**Regional or Local Office:**

See Regional Agency Offices. Region 1 Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont: Primary Contact: Amy Braz (617) 918-1346, USEPA Region 1 (RAA), One Congress Street - Suite 1100, Boston, MA 02203-0001; Region 2 New Jersey, New York, Puerto Rico, U.S. Virgin Islands: Primary Contact: Terry Wesley (212) 637-5027, wesley.terry@epa.gov, USEPA Region 2, 290 Broadway, 26th Floor, New York, NY 10007; Secondary: Tasha Frazier (212) 637-3861, frazier.tasha@epa.gov. Region 3 Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia: Primary Contact: Reginald Harris (215) 814-2988, harris.reggie@epa.gov, USEPA Region 3 (3DA00), 1650 Arch Street, Philadelphia, PA 19103-2029. Region 4 Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee: Primary Contact: Elvie Barlow (404)562-9650, barlow.elvie@epa.gov, USEPA Region 4 Main Office (404) 562-8407, 61 Forsyth Street, Atlanta, GA 30303-8960; Secondary: Ella McLendon (404) 562- 8316, mclendon.ella@epa.gov. Region 5 Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin: Primary Contact: Margaret Millard (312) 353-1440, millard.margaret@epa.gov, USEPA Region 5 (DM7J), 77 West Jackson Boulevard, Chicago, IL 60604-3507. Region 6 Arkansas, Louisiana, New Mexico, Oklahoma, Texas: Primary Contact: Shirley Quinones (214) 665-2713, quinones.shirley@epa.gov, USEPA Region 6, Fountain Place, 13th Floor, 1445 Ross Avenue (RA-D), Dallas, Texas 75202-2733; Secondary Contact: Nelda Perez (214) 665-2209, perez.nelda@epa.gov. Region 7 Iowa, Kansas, Missouri, Nebraska: Primary Contact: Althea Moses (913) 551-7649, mooses.althea@epa.gov, USEPA Region 7, 901 North 5th Street (RGAD/ECO), Kansas City, KS 66101; Secondary: Kimberly Jones (303)551-7280: Region 8 Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming: Primary Contact: Nancy Reish (303) 312-6040, reish.nancy@epa.gov, USEPA Region 8 (8ENF-EJ), 999 18th Street, Suite 300, Denver, CO 80202-2466; Secondary: Jean Belille (303) 312-6556 belille.jean@epa.gov. Region 9 Arizona, California, Hawaii, Nevada, American Samoa, Guam: Primary Contact: Karen Henry (415) 972-3844, henry.karen@epa.gov, USEPA Region 9 CMD-1, 75 Hawthorne Street, San Francisco, CA 94105. Region 10 Alaska, Idaho, Oregon, Washington: Primary Contact: Running Grass (206) 553-2899, grass.running@epa.gov, USEPA Region 10 (OMP-143), 1200 Sixth Avenue, Seattle, WA 98101.

**Headquarters Office:**

Sheila Lewis, Office of Environmental Justice, (2201A), Environmental Protection Agency, 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: lewis.sheila@epa.gov Phone: (202) 564-0152.

**Website Address:**

[http://www.epa.gov/compliance/environmentaljustice/grants/ej\\_smgrants.html](http://www.epa.gov/compliance/environmentaljustice/grants/ej_smgrants.html)

**RELATED PROGRAMS:**

66.309 Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Types of projects funded by the program include: (1) Protecting the health and well being of workers in small automotive repair shops and the neighborhoods in which they are located by preventing air

pollution, promoting green job growth, and connecting workers with education and health care resources - a skills training program leading to certification on repair and maintenance of hybrid vehicles; (2) Investigate the effectiveness of low-cost remediation methods for lead soil contamination. The project will involve the implementation of low-cost remediation techniques, soil science research, and GIS data mapping. Participants in lead safe landscaping program will partner with researchers from institutions of higher education to learn scientific methods and implement activities and produce written materials to aid residents and community based organizations in implementing techniques based on research findings; and (3) Measuring and mapping local air pollutants for sulfur dioxide (SO<sub>2</sub>), nitrogen dioxide (NO<sub>2</sub>) and carbon monoxide (CO) using mobile air monitoring equipment. Also, the project will collaborate with students at the high school and local middle school on a project to test tap water and local waterways for contaminants such as lead, mercury, pesticides, bacteria and nitrates. The recipient will incorporate local climate change adaptation into the project discussion to help residents understand the relationship of their environment and the implication of a changing global climate on the natural resources (such as air and water). Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.605 PERFORMANCE PARTNERSHIP GRANTS**

(PPGs)

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 1998, Public Law 105-65; Omnibus Consolidated Rescissions and Appropriations Act of 1996, Public Law 104-134.

**OBJECTIVES:**

Improving EPA's partnership with the States and Tribes is critical to accelerating environmental outcomes. Performance Partnership Grants (PPGs) are the cornerstone of the National Environmental Performance Partnership System (NEPPS) -- EPA's strategy to strengthen partnerships and build a results-based management system. PPGs are innovative grant delivery tools that allow States and Tribes to combine up to 20 eligible STAG program grants into a single grant with a single budget. PPGs can reduce administrative transaction costs, provide the flexibility to direct resources toward the highest priority environmental problems, and support cross-media approaches and initiatives. EPA's overarching goal is to optimize the leveraging power of PPGs to focus strategically on the joint priorities of EPA, States and Tribes. PPGs do not include any funding in addition to the state and tribal assistance grants provided under other statutory authorities.

Funding Priority - Fiscal Year 2011: Many state environmental agencies are experiencing severe budget cuts and will be challenged to maintain core programs. In this climate, EPA's regional offices will give priority to flexibility and opportunities to work collaboratively with States and Tribes. The Agency will continue to focus on our ongoing goals for the PPG program, which are: (1) strengthen partnerships between EPA, the States, Tribes, and interstate agencies through joint planning and priority setting to deploy resources more effectively; (2) provide States, Tribes, and interstate agencies with the flexibility to direct resources where they are needed most to address environmental and public health priorities; (3) link program activities more effectively with environmental and public health goals and environmental outcomes; (4) foster implementation of innovative approaches such as pollution prevention, ecosystem management, and community-based environmental protection strategies; and (5) provide savings by streamlining administrative requirements.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

PPGs are a type of modified block grant, where recipients may combine funds

from categorical grants to accomplish their joint and several purposes, so long as recipients meet program requirements for each categorical grant combined into the PPG. The 20 categorical grants eligible for PPGs are a mixture of continuing program grants and competitive project grants. Eligible recipients can combine two or more of the following 20 categorical grants programs identified in EPA's State and Tribal Assistance Grants (STAG) appropriation into a PPG: (1) Air Pollution Control (Clean Air Act [CAA] Section 105); (2) Water Pollution Control (Clean Water Act [CWA] Section 106); (3) Nonpoint Source Management (CWA Section 319); (4) Water Quality Cooperative Agreements (CWA Section 104(b)(3)); (5) Wetlands Program Development (CWA Section 104(b)(3)); (6) Public Water System Supervision (Safe Drinking Water Act [SDWA] Sections 1443(a) and 1451(a)(3)); (7) Underground Water Source Protection (SDWA Section 1443(b)); (8) Hazardous Waste Management (Solid Waste Disposal Act, Section 3011(a)); (9) Underground Storage Tank (Solid Waste Disposal Act, Section 2007(f)(2)); (10) Radon Assessment and Mitigation (Toxic Substances Control Act [TSCA] Section 306); (11) Lead-based Paint Activities (TSCA Section 404(g)); (12) Toxic Substances Compliance Monitoring (TSCA Section 28); (13) Pollution Prevention Incentives for States (Pollution Prevention Act [PPA] Section 6605); (14) Pesticide Cooperative Enforcement (Federal Insecticide, Fungicide, and Rodenticide Act [FIFRA] Section 23(a)(1)); (15) Pesticides Program Implementation (FIFRA Section 23(a)(1)); (16) Pesticide Applicator Certification and Training (FIFRA Section 23 (a)(2)); (17) Environmental Information Network Exchange Grants (Consolidated Appropriations Resolution for the Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies of 2003, Public Law 108-7; Consolidated Appropriations Act of 2004, Public Law 108-199); (18) Brownfields State and Tribal Response Program Grants (Comprehensive Environmental Response, Compensation, and Liability Act of 1980 [CERCLA], Section 128(a), as amended; Public Law 107-118; Small Business Liability Relief and Brownfields Revitalization Act); (19) Capacity Building Grants and Cooperative Agreements for States and Tribes (CWA, Section 104; FIFRA, Section 20; CAA, Section 103; Solid Waste Disposal Act, Section 8001; SDWA, Section 1442; TSCA, Section 10; Marine Protection, Research and Sanctuaries Act, Section 203; CERCLA, Section 311; National Environmental Policy Act [NEPA], Section 102(2)(F) [for international awards]; and (20) General Assistance Grants to Indian Tribes (Indian Environmental General Assistance Program Act of 1992) &#150; only eligible Tribes can propose to include these funds in a PPG application. Recipients may use PPGs to fund activities that are within the cumulative eligibilities of the 20 categorical grants programs listed above for which they are eligible.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

All States, interstate agencies, U.S. territories, and federally recognized Indian Tribes eligible to receive more than one of the 20 categorical grants programs referred to in "Uses and Use Restrictions" above are eligible to apply for PPGs. Any duly authorized State or tribal entity that currently receives or is eligible to receive EPA categorical program grants may request a PPG for the funds it administers. This may include agencies other than environmental agencies (for example, agricultural and health agencies), where authorized by state or tribal law. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

States, U.S. territories, federally recognized Indian tribal governments, and

interstate agencies.

#### **Credentials/Documentation:**

All recipients are agencies of state, local, tribal, or territorial governments. All documentation requirements for recipients are presented at 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 40 CFR Part 35, "State and Local Assistance." OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Applicants interested in pursuing PPGs should coordinate with their appropriate EPA regional office to develop a PPG through joint negotiations. (See Appendix IV of the Catalog.) Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for applications should be made to the appropriate EPA regional grants management office. Applicants will negotiate the content of their PPG with their EPA regional office and submit an application for the PPG based on these negotiations. Applicants for PPGs must submit an "Application for Federal Assistance: State and Local Non-Construction Programs," (Standard Form 424), including the required supporting documents. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

Grant applications are reviewed by the appropriate EPA regional office, and if approved, awarded by the Regional Administrator. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. After the applicant is chosen for the competitive award, the applicant will work with the EPA regional office to add those competitive grant funds to the PPG if requested by the state. The workplan and supporting documentation that were the basis of the competitive award also will be added to the PPG.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 60 days.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Major portions of the PPGs are by statutory formula. The allocation for a PPG consists of the cumulative allocations for the categorical grants included in the PPG. Recipients should calculate a single, composite minimum cost share (based on the match or maintenance of effort

requirements of the categorical grants included in the PPG) for each of their PPGs. To calculate the minimum cost share for a PPG, start with the amount of federal dollars from each program (source of funds) going into the PPG. The minimum required cost share for each portion is determined by identifying the cost share requirements of the relevant categorical grant program. The minimum recipient cost share for the PPG is the sum of the minimum cost shares of the contributed categorical grants. Tribal governments and intertribal consortia may be eligible for match requirement waivers based on demonstrated hardship. Such waiver eligibility will be determined by the Regional Administrator and will be based on socio-economic criteria. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the PPG shall be determined during pre-application negotiations and at the time of the award. Applicants may choose to submit either annual or multi-year work plans and project periods. Budget periods will be for 12 months with the applicant having the flexibility to select, in consultation with the Regional Administrator, the specific start and end date for the budget period. Grant awards are made after review and approval of the application. Grantees are reimbursed for actual expenses based on submissions in financial status reports. See the following for information on how assistance is awarded/released: Annually.

**Reports:**

Applicants must provide reports and conduct joint evaluations in accordance with 40 CFR Part 31 and 40 CFR Part 35, Subparts A and B. Refer to the program descriptions for the individual STAG program grants eligible for inclusion in PPGs (see section [70] for a list). Cash reports may be required. Refer to the program descriptions for the individual STAG program grants eligible for inclusion in PPGs. Progress reports may be required. Refer to the program descriptions for the individual STAG program grants eligible for inclusion in PPGs. Expenditure reports may be required. Refer to the program descriptions for the individual STAG program grants eligible for inclusion in PPGs. Performance monitoring may be required. Refer to the program descriptions for the individual STAG program grants eligible for inclusion in PPGs.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 10 \$396,400,000; FY 11 est \$395,000,000; and FY 12 est \$400,000,000 - NOTE: See General Objectives, section [50], for a description of PPGs. The amounts cited above are inclusive of, not in addition to, obligations reported under individual STAG program grants eligible for inclusion in PPGs.

**Range and Average of Financial Assistance:**

There is no low-end limit for PPG awards, which may be as small as combining two programs and thousands of dollars to Tribes, or as large as combining up to 19 categorical grants to States. PPGs totals for larger States can exceed \$10

million. In FY 2010, state PPGs generally contained six or seven categorical grants, with award amounts averaging around \$5 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: PPGs have allowed States to take advantage of administrative and program efficiencies and innovations to achieve greater environmental and program results. States and Tribes have used PPGs to address critical emergencies and unplanned events. They have used PPG flexibility to overcome periodic budget needs or high program demands in specific programs. States and Tribes have used PPGs to implement multi-program initiatives and innovations that impact many environmental programs. They also have taken advantage of streamlined administrative procedures to make grant processes more efficient. PPGs have allowed Tribes to develop and implement environmental programs in situations where it would have been more difficult using categorical grants. Nearly all PPG applicants receive a grant, since they generally fund ongoing environmental programs. The total number of PPGs in effect thus far in FY 2010 is 170, including 39 to state environmental agencies; 26 to state agricultural agencies; and 105 to tribal agencies. Fiscal Year 2011: PPGs have allowed States to take advantage of administrative and program efficiencies and innovations to achieve greater environmental and program results. States and Tribes have used PPGs to address critical emergencies and unplanned events (for example, responses to recent tornadoes and Mississippi River flooding), and have used PPG flexibility to overcome periodic budget needs or high program demands in specific programs. States and Tribes have used PPGs to implement multi-program initiatives and innovations that impact many environmental programs. They also have taken advantage of streamlined administrative procedures to make grant processes more efficient. PPGs have allowed Tribes to develop and implement environmental programs in situations where it would have been more difficult using categorical grants. Nearly all PPG applicants receive a grant, since they generally fund ongoing environmental programs. The total number of PPGs in effect thus far in FY 2010 is 170, including 39 to state environmental agencies; 26 to state agricultural agencies; and 105 to tribal agencies. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 35 Subparts A and B; 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for EPA Regional Office contacts.

**Headquarters Office:**

Michael Osinski, USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W. Mail Code: 1306A, Washington, District of Columbia 20460 Email: osinski.michael@epa.gov Phone: (202) 564-3792.

**Website Address:**

<http://www.epa.gov/ocir/nepps/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: (1) Performance Partnership Grants combine funds from up to 20 categorical grant programs to implement major operating environmental programs for clean air, clean water, drinking water, hazardous waste, and others; (2) Grants tap funding from media programs combined in the PPG to fund pollution prevention activities; (3) Grantee negotiates with the regional office to use unexpended prior year funds for special projects to meet state priorities. Fiscal Year 2011: (1) Performance Partnership Grants combine funds from up to 20 categorical grant programs to implement major operating environmental programs for clean air, clean water, drinking water, hazardous waste, and others; (2) Grants tap funding from media programs combined in the PPG to fund pollution prevention activities; (3) Grantee negotiates with the regional office to use unexpended prior year funds for special projects to meet state priorities. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants must meet selection criteria for the categorical grants to be combined in the PPG. The evaluation and selection criteria for competitive

awards under this CFDA description will be described in the competitive announcement.

## **66.608 ENVIRONMENTAL INFORMATION EXCHANGE NETWORK GRANT PROGRAM AND RELATED ASSISTANCE**

Exchange Network Grants Program

### **FEDERAL AGENCY:**

Office of Environmental Information, Environmental Protection Agency

### **AUTHORIZATION:**

Clean Air Act, Section 103; Toxic Substances Control Act, Section 10; Safe Drinking Water Act, Section 1442; National Environmental Policy Act, Section 102(2)(F); Comprehensive Environmental Response, Compensation, and Liability Act, Section 104; Marine Protection, Research and Sanctuaries Act, Section 203; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Water Act, Section 104(b)(3); Solid Waste Disposal Act, Section 8001.

### **OBJECTIVES:**

EPA, states, territories, and tribes are working together to develop the National Environmental Information Exchange Network, a secure, Internet- and standards-based way to support electronic data reporting, sharing, and integration of both regulatory and non-regulatory environmental data. States, tribes and territories exchanging data with each other or with EPA, should make the Exchange Network and the Agency's connection to it, the Central Data Exchange (CDX), the standard way they exchange data and should phase out any legacy methods they have been using. More information on the Exchange Network is available at [www.exchangenetwork.net](http://www.exchangenetwork.net). The Exchange Network Grant Program provides funding to states, territories, tribes, and inter-tribal consortia to develop the information technology and information management capabilities they need to actively participate in the Exchange Network. This program supports the exchange of data; mentoring, planning and training activities; and collaborative work within the Exchange Network. This grant program may also be used to fund the standardization, exchange and integration of geospatial information to address environmental, natural resource, and human-health challenges.

Funding Priority - Fiscal Year 2011: Projects supported by the FY 2011 Exchange Network Grant Program, which are funded through EPA's STAG account, must address at least one priority activity from one of the following tiers: tier 1 -- activities to expand data exchanges and data availability through National or regulatory systems prioritized by the Exchange Network Governance; completion of sustained flows for the Underground Injection Control Database (UIC), Air Quality System (AQS), Resource Conservation and Recovery Act Information System (RCRAInfo) and the Safe Drinking Water Information System (SDWIS) Exchange; drinking water data exchange applications that go beyond the traditional SDWIS data exchange to include compliance monitoring data (i.e. - parametric data, sample schedules and other data) must be written for multiple state/tribe participation and include activities that will enable all participating partners to share SDWA compliance monitoring data with EPA; tier 2 -- activities to expand data exchanges and data availability to Exchange Network partners; completion of sustained flows for national and priority system data exchanges, beyond those noted above and as identified in section II of Appendix A, by the end of the project's period; expansion of national and priority system data exchanges and/or exchanges, already deployed by the applicant, such as Large Aquatic Ecosystems (LAEs), to other network partners through collaborative re-use of existing tools and services; EN data access to allow EN partners and the public to integrate, link, and analyze information from sources across the Network; implement climate change/greenhouse gas emissions data exchange; and implement a Cross-Media Electronic Reporting Rule (CROMERR) system upgrade meeting all of the following criteria: previously submitted in a CROMERR application to EPA; proposed re-use of an existing, approved CROMERR solution; and will require no more than \$100,000 of the Exchange Network Grant project funding; tier 3 -- activities to expand innovative flow of environmental information; innovative projects in support of sustained non-regulatory data flows, such as emergency response data, nationally significant geospatial data sets developed under OMB circular A-16 (Coordination of Geographic Information and Related Spatial Data Activities), substance registry services flows, open dump data exchanges, surface coal mining data integration and reporting, and water quality laboratory

data reporting, that demonstrate potential applicability to multiple EN partners; geospatially enable existing national and priority system data exchanges and develop data dictionaries for state and tribal systems and load them into the EPA's Data Registry for cross-walking with existing EN data standards; establishment of new, Node 2.0-compliant nodes or node-clients; and develop or integrate Open Geospatial Consortium (OGC) standards-based software for node installations and across the network to publish data flows in formats that may include WMS, WFS, SOS, and AtomPub.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Funding is available for direct costs associated with carrying out grant-supported projects and for allocations of allowable indirect costs, in accordance with established EPA policies. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

### **Applicant Eligibility:**

Eligible applicants for the Exchange Network Grant Program include states, the District of Columbia, U.S. territories (American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands), federally recognized Indian tribes, and intertribal consortia of federally recognized tribes. An intertribal consortium is eligible to apply for assistance from the Exchange Network Grant Program by meeting the following criteria: a) the majority of the consortium members are federally recognized Indian tribes; b) all consortium federally recognized tribal members have authorized the consortium to apply for and receive assistance (if awarded) from the Exchange Network Grant Program; and c) the intertribal consortium has adequate accounting controls to manage awarded funds while ensuring that only federally recognized tribal members will benefit directly from the award. Regional air pollution control districts may apply for assistance if they are legally considered to be agencies or instrumentalities of the state under applicable state laws. The following entities are not eligible to apply for funding from the competitive Exchange Network Grant Program: state/territorial/tribal universities; city, town, county, or regional governments; nonprofit organizations, including organizations that represent the interests of co-regulators/co-implementors in executing environmental programs. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. In addition to issuing competitive awards to states/territories/tribes and intertribal consortia, EPA may use a portion of the Exchange Network Grant Program funds to issue one or more non-competitive awards for associated program support to a co-regulator/co-implementor organization. A co-regulator/co-implementor organization is one that represents the interests of governmental units (for example, state or regional governments) in executing a national or regional environmental program. The membership of such a national or regional organization is composed of officials of the co-regulator or co-implementor entities (for example, state environmental commissioners). Eligible applicants for non-competitive awards that relate to the Exchange Network and are funded through EPA's EPM account include non-profit organizations that are co-regulator/co-implementor organizations.

### **Beneficiary Eligibility:**

Federal, state, territory, city, town, county, and regional governments; federally recognized Indian tribes and intertribal consortia of federally recognized tribes; public institutions and industries subject to EPA regulatory reporting requirements; and the public.

### **Credentials/Documentation:**

Costs will be evaluated in accordance with OMB Circular No. A-87, "Cost Principles for State, Local, and Indian Tribal Governments," or OMB Circular No. A-122, "Cost Principles for Non-Profit Organizations," as appropriate. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Please contact Marla Sheppard ((202) 564-5954) for questions involving Intergovernmental Review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Per the FY 2011 Solicitation Notice for the Exchange Network Grant Program, applicants must submit application packages to EPA by November 5, 2010. EPA will accept project proposals for National Environmental Information Exchange Network grants in one of two ways: 1) hard copy through the U.S. Postal Service or an overnight mail or courier delivery service, including one original and two copies; or 2) a proposal submitted electronically through the grants.gov website. EPA will not review or fund any applications that are received from ineligible applicants. The application package included the following materials: 1. Cover letter that outlines the following information: A. Recipient information; B. Project title; C. Type of vehicle requested (grant/cooperative agreement/ Performance Partnership Grant); D. Proposed amount of grant (broken down into direct funding and in-kind assistance if relevant); E. Partners on the grant (if applicable); F. Brief project summary including a statement of project goal(s); G. contact information for the project lead; and H. Signature of executive level Authorized Organizational Representative (AOR). 2. SF-424 (can be obtained from <http://www.epa.gov/ogd/AppKit/application.htm>) 3. Project narrative including goals, outputs with dates, outcomes, and environmental results: applicants must limit the project narrative to 10 single spaced pages. The ten-page limit does not include the Exchange Network Implementation plan described in section III-B of the Solicitation Notice. EPA will not review pages beyond the first ten pages of the project narrative. The narrative must address each of the Evaluation Criteria (Section V-A) of the Solicitation Notice. The narrative should describe the major goal or goals, outputs and outcomes, and environmental results of the two-year project. A goal should reflect the purpose of the project. For instance, a proposal including both a Underground Injection Control (UIC) flow and a Water Quality Exchange (WQX) flow would have two goals. Each goal should have scheduled outputs (major work products) that lead to its implementation. Each goal and some outputs will have outcomes. An outcome is the effect or consequence of the project goal or of its major outputs. Each goal should have an environmental result. The schedule of outputs should be detailed enough to demonstrate an applicant's ability to track progress toward each goal. Applicants can find a sample narrative with goals, outputs and outcomes in Appendix D of the Solicitation Notice. 4. Programmatic Resources and Personnel: Briefly describe the programmatic resources and personnel involved in the project for the recipient and any participating partner. Highlight any expertise or past experiences that may be particularly helpful in carrying out the project. Include biographical sketches or resumes of the lead and any partner Project Manager(s). 5. Formal Project Partners Roles and Responsibilities and Distribution of Funds: If the proposed project involves formal project partners who will actively participate in implementing the project, provide a description of the roles and responsibilities of each partner in carrying out each of the project goals. Describe how the recipient would coordinate work among the partners using methods such as regular teleconferences, meetings, or written status reports. If the recipient plans to distribute funding to other partners, describe the method for doing so. Exchange Network grant projects that include one or more formal partners can have budgets up to \$350,000. Partnerships formed from within a single state, territorial, or tribal government (e.g., a "partnership" limited to the Environment and Public Health Departments within a state) are not eligible partnership and are limited to the \$200,000 maximum funding for a single-jurisdiction grant. 6. Detailed Itemized Budget: Applicants should describe both the total project

budget and the costs associated with each major goal in a detailed itemized budget. The goal-specific budget information is important, because EPA may wish to consider partially funding some projects (i.e., funding only some goals for a project but not others). The budget must include any relevant item including A. Personnel List all staff positions by title. Give the annual salary of each person, the percentage of their time devoted to the project, the amount of each person's salary funded by the grant and the total personnel cost for the budget period. B. Fringe Benefits Identify the fringe benefit rate and total amount. C. Travel Specify the mileage, per diem, estimated number of in state and out of state trips other costs for each type of travel. EPA suggests that applicants include funds for travel to national, regional and area Exchange Network conferences. D. Equipment Identify each item of equipment to be purchased which has an estimated acquisition cost of \$5,000 or more per unit and a useful lifetime of more than one year. List the quantity and unit cost per item. Items with a unit cost of less than \$5,000 are supplies. E. Supplies Supplies include all tangible personal property other than "equipment." The detailed budget should identify categories of supplies (such as laboratory supplies or office supplies). List the quantity and unit cost per item. F. Contractual Identify each proposed contract and specify its purpose and estimated cost. Applicants who request in-kind services should list them here. G. Other List each item in sufficient detail for U.S. EPA to determine whether the costs are reasonable or allowable. List any item, such as training, not covered elsewhere here. H. Indirect Charges If indirect charges are included in the budget, include the approved indirect cost rate with a copy of the Indirect Cost Rate Agreement, a description of the base used to calculate indirect costs and total cost of the base, and the total indirect charges requested. Before an applicant can incur any costs under the indirect cost category, the Indirect Cost Rate Agreement must be approved and current. If you do not have a current rate, you may submit a copy of the submitted application to the cognizant fiduciary agency. Management Fees When formulating budgets for proposals/applications, applicants must not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by the applicants cognizant audit agency, or at the rate provided for by the terms of the agreement negotiated with EPA. The term "management fees or similar charges" refers to expenses added to the direct costs in order to accumulate and reserve funds for ongoing business expenses, unforeseen liabilities, or for other similar costs that are not allowable under EPA assistance agreements. Management fees or similar charges may not be used to improve or expand the project funded under this agreement, except to the extent authorized as a direct cost of carrying out the scope of work. 7. Network Implementation Plan. All state applicants must submit a document of two to three pages explaining how the applicant plans to fully implement the Exchange Network for all regulatory and national system flows as described in Section III-B. 8. Additional information for inter-tribal consortium: An inter-tribal consortium applying for an FY 2011 Exchange Network Grant must include documentation that shows: A. a formal partnership exists among the Indian tribal governments that are members of the inter-tribal consortium, and the majority of the members are federally recognized Indian tribes; and B. the consortium's federally recognized tribal members have authorized the consortium to apply for and receive assistance from the Exchange Network Grant Program. EPA will notify applicants of its selection decisions in or around March 2011. At the time, the Agency will request additional documentation, including other official forms, from successful applicants. The notification letters will include further instructions to those applicants for submittal of additional or updated documents. Required forms in PDF format can be obtained at <http://www.epa.gov/ogd/AppKit/application.htm>. EPA plans to award all grants by July 2011. If the proposal is funded, the recipients would be required to submit a separate, tailored Quality Assurance Project Plan based on guidance in the applicable solicitation notice. EPA plans to post the solicitation notice for the FY 2012 Exchange Network Grant Program on the Web site in July 2011 (<http://www.epa.gov/exchangenetwork/grants>). Please see the solicitation notice for complete application instructions.

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated

in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

EPA will evaluate the project proposal based the evaluation criteria in section V-A of the 2010 Solicitation Notice. Please note that in evaluating applicants under this criteria, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). In making the final funding decisions from among the most highly scored proposals, the EPA selection official may also consider one or more of the following factors: A. EPA programs' ability and/or readiness to support proposed project activities; B. geographic distribution of funding; C. prioritization of data exchange and priority activities over other assistance activities; D. ensuring participation in the Exchange Network by federally recognized Indian tribes and inter-tribal consortia; and E. EPA's capacity to provide any requested in-kind services.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants whose applications are denied for funding will be notified approximately five months after the application deadline. Applicants whose applications are recommended for funding will be notified, initially to request additional documentation to finalize the application, and, later, when the assistance agreements are issued and mailed by EPA's Grants and Interagency Agreements Management Division, which is expected to be approximately eight to nine months after the application deadline.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance will be provided through grants and cooperative agreements. EPA may provide support in the form of direct funding and/or in-kind assistance, in lieu of direct funding. EPA plans to issue awards for applications that are recommended for funding approximately seven months after the application deadline. The standard period of performance for projects funded by the Exchange Network Grant Program is two years. EPA may consider requests from award recipients for project/budget period extensions; and if deemed appropriate by EPA, the Grants and Interagency Agreements Management Division may issue amendments extending the project/budget periods. See the following for information on how assistance is awarded/released: Assistance will be provided through lump sum allocations which grantees can draw down upon through programmatic invoices.

**Reports:**

Award recipients must submit semi-annual progress reports and a final project report that covers the entire project period. The semi-annual progress reports must be submitted within one month of the end of each semi-annual reporting period. The reporting periods are from October through March and April through September of each fiscal year. Award recipients must submit the final project report and a final Financial Status Report (Standard Form 269) to EPA within 90 days after the end of the project/budget period. Program reports are required. Cash reports are required. Progress reports are required. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all accounting records that substantiate the charges to each grant, must be maintained and accessible to personnel authorized to examine EPA grant accounts. If certain financial records are part of an audit investigation, then they must be retained until the matter under investigation has been completely resolved. Award recipients must retain complete records documenting their projects for a period of seven years after the close-out of the agreement. Such records include, but are not limited to, financial records, technical reports, periodic performance progress reports, project management files, correspondence with other project partners, and correspondence with EPA. Final products and deliverables that result from the project are considered to be permanent records and should be retained indefinitely.

**Account Identification:**

68-0103-0-1-304; 68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$11,000,000; FY 11 est \$10,140,000; and FY 12 est \$10,500,000 - STAG Account: FY 2010 \$10,000,000; FY 2011 \$9,980,000; and FY 2012 est \$10,000,000. EPM Account FY 2010 \$1,000,000; FY 2011 \$160,000; and FY 2012 est \$500,000. EPA will set aside approximately ten percent of appropriated funding for tribal assistance agreements to further facilitate expanded tribal participation in the Exchange Network.

**Range and Average of Financial Assistance:**

STAG Account: Award amounts will range from \$50,000 to \$350,000 for the entire two-year project period. The average award amount will be \$200,000 for the entire two-year project period. EPM Account: The average award amount will be \$200,000 for the entire two-year project period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY 2011 is the tenth year of the Exchange Network Grant Program. From FY 2002 to FY 2010, EPA has provided approximately \$154 million for state, tribal, and territorial awards and associated program support through the grant program. In a relatively short period, the Exchange Network has become a reality. As of March 2011, all 50 states, 87 tribes and five territories have participated in developing the Exchange Network at some level. Fifty states and nine tribes, and one territory have established their Exchange Network Node and have exchanged data with another partner. For detailed information on state, territorial, and tribal activities, please see the grant activities that are described at <http://www.epa.gov/exchangenetwork/grants/index.html>. For information on the progress of the data exchanges, please see <http://www.exchangenetwork.net>. EPA and its partners are currently using or planning to use the Exchange Network to exchange a broad range of data, including, but not limited to the following: Beaches (beaches water quality and closure data), Air Quality System (AQS), electronic Discharge Monitoring Reports (e-DMR), Emissions Inventory System (EIS), Facility Registry System (FRS), Integrated Compliance Information System/National Pollutant Discharge Elimination System (ICIS-NPDES), Resource Conservation and Recovery Act Information System (RCRA Info), Safe Drinking Water Information System (SDWIS), Toxics Release Inventory System (TRIS), Underground Injection Control (UIC), and Water Quality Exchange (WQX). Fiscal Year 2011: Information for FY 2011 is not yet available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Exchange Network Grant Program assistance agreements issued to state, territorial, and tribal governments are governed by EPA's regulations at 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." The assistance agreements issued to nonprofit organizations (i.e., co-regulator/co-implementor



organizations) for associated program support for the Exchange Network Grant Program or other Exchange Network activities are governed by EPA's regulations at 40 CFR Part 30, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations." General information and guidance documents regarding the Exchange Network are available at <http://www.epa.gov/exchangenetwork>. Information about the Exchange Network Grant Program and previously funded activities is available at <http://www.epa.gov/exchangenetwork/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Jonathan Jacobson, Information Exchange Partnership Branch, Office of Information Collection, Office of Environmental Information, Environmental Protection Agency, 1200 Pennsylvania Ave., NW, Mail Code (2823-T), Washington, District of Columbia 20460 Email: [Jacobson.jonathan@epa.gov](mailto:Jacobson.jonathan@epa.gov) Phone: (202) 566-1984.

**Website Address:**

<http://www.epa.gov/oei>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: A state environmental agency will move the tracking and submission of former STORET (repository for water quality, biological, and physical data) data into an improved internal data-management system, format the data for a Water Quality Exchange (WQX), and submit it to EPA via the Central Data Exchange (CDX). The grantee will geospatially reflect the regulated entities and other points of environmental interest stored in their various divisional databases in a searchable Facility Profiler system. The grantee will create a public portal to allow data providers such as contract Lab, State Lab, volunteer monitoring, and universities to upload water quality monitoring data to the state agency. The grantee will also implement a WQX data flow to flow WQX data from the internal database to EPA's STORET system and create a WQX database to manage projects, test plans, monitor results, and perform water quality assessments. This project will protect the environment by improving information availability and reducing burden and costs associated with data management and reporting from outside data partners. The proposed project will help to monitor our nation's waters as they are monitored by state, federal, and local agencies, universities, dischargers, and volunteers. Water quality data is used to characterize waters, identify trends over time, identify emerging problems, determine whether pollution control programs are working, help direct pollution control efforts to where they are most needed, and respond to emergencies such as floods and spills. Fiscal Year 2011: Information for FY 2011 is not yet available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation criteria for the FY 2011 Exchange Network Grant program were described in Section V of the FY 2011 Solicitation Notice. The evaluation criteria included such factors as expected project outputs/outcomes, the feasibility and approach of the work plan, the relevance and significance of the proposed project to the Exchange Network, the adequacy of resources and key personnel, and past performance. EPA may also consider various qualitative criteria when determining which applications to recommend for funding. Examples of such qualitative criteria may include, but are not limited to, factors such as achieving a balance among projects, distributing funds among different states/territories/ tribes, and having EPA programmatic support for the project. Applications for non-competitive awards to co-regulator/co-implementer organizations, funded by the Exchange Network Grant program through EPA's STAG appropriation, will be evaluated based on the ability of the applicant to provide the following: outreach, communications, technical assistance, and other support to states/tribes that are participating in, or may wish to participate in, the Exchange Network; and support for state participation in the Network Operations Board and related workgroups. Applications for non-competitive awards to a co-regulator/co-implementer organization, funded through EPA's EPM appropriation, will be evaluated based on the applicant's ability to support state participation in the EITLC, support for state and tribal participation in the

Exchange Network Leadership Council and tribal participation in the Network Operations Board and its workgroups, provide programmatic support to federally recognized Indian tribes and intertribal consortia of federally recognized tribes that are participating in or may wish to participate in the Exchange Network; provide outreach, communications, training/mentoring, and technical assistance to tribes to increase their knowledge about the Exchange Network, enhance their IM/IT capabilities, and encourage their development of Exchange Network nodes and data flows; and provide periodic reports to the Exchange Network governance on the status of tribal participation in the Network.

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.609 PROTECTION OF CHILDREN FROM ENVIRONMENTAL HEALTH RISKS**

Children's Environmental Health

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104; Toxic Substances Control Act, Section 10; Solid Waste Disposal Act, Section 8001; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Solid Waste Disposal Act, Section 1442; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311; Marine Protection, Research, and Sanctuaries Act, Section 203; Clean Air Act, Section 103; National Environmental Policy Act, Section 102(2)(F).

**OBJECTIVES:**

To support efforts by organizations; educational institutions; and/or State, local, and tribal governmental agencies to establish or enhance their ability to take actions that will reduce environmental risks to the health of children.

Funding Priority - Fiscal Year 2011: Support efforts to: (1) Promote healthy home, school, and child care environments; (2) Build state, local, and tribal government capacity to address environmental health risks to children; (3) Educate health practitioners on environmental risks to children; (4) Protect children from environmental hazards in local communities through civic engagement, demonstration projects, and other community capacity building activities; (5) Protect children internationally from environmental health risks; (6) Demonstrate how smart growth activities can promote healthy communities for children; (7) Educate women of childbearing age and their health care providers about preventing and reducing environmental health risks; (8) Reduce environmental health disparities; (9) Support efforts to address climate change and its effects on the health of children and older adults; (10) Support efforts to increase understanding of the relationship between the environment and children's health and development.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf

of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States or state agencies, territories, the District of Columbia, American Indian Tribes (federally recognized), and possessions of the U.S. It is also available to public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and 501(c)(3) organizations. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applications. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State agencies and local governments, U.S. territories and possessions, American Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions and organizations.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. The Office of Children's Health Protection may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, the Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to the Office of Children's Health Protection's program priorities, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA's Appropriation Act requires that applicants submitting unsolicited research grant proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. This requirement cannot be waived by EPA. In addition, CERCLA Section 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the Section 311(b)(3) cost-sharing requirement in appropriate cases. Matching funds requirements may be established in program guidance or in the terms of competitive solicitations.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, the Office of Children's Health Protection can negotiate the project period with each applicant based on project requirements. EPA limits project periods to five (5) years. Grants and cooperative agreements may be incrementally funded or fully funded. This determination is made by EPA. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports. Reporting requirements are also identified in EPA's grants regulations at 40 CFR Parts 30 and 31. Quarterly progress reports are required to be sent to the EPA Project Officer within 30 days after each reporting period. These reports will cover work status, work progress, difficulties encountered, preliminary data results and a statement of activity anticipated during the subsequent reporting period, including a description of equipment, techniques, and materials to be used or evaluated. The report shall also include any changes of key personnel concerned with the project. Quarterly progress reports are required to be sent to the EPA Project Officer within 30 days after each reporting period. A discussion of expenditures along with a comparison of the percentage of the project completed to the project schedule and an explanation of significant discrepancies shall be included in the report. The EPA Project Officer is required to conduct baseline monitoring of each active award. For awards with original project periods 18 month or less in duration, the initial baseline monitoring will take place no later than six months from the award date. For awards with original project periods greater than 18 months in duration, the initial baseline monitoring will take place no later than 1 year from the award date. After the initial baseline monitoring, all subsequent baseline monitoring will occur within 12 months of the last baseline or advanced monitoring activity.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements

are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$1,100,000; and FY 12 est \$100,000

**Range and Average of Financial Assistance:**

Range: \$10,000 to \$150,000 per grant. Average: \$100,000 per grant (2 year grants).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No projects were funded in FY 2010. Fiscal Year 2011: The projects are still undergoing competitive review. No selections have been made at this time. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and federally recognized tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

LaVonne Switzer, Office of Children's Health Protection; USEPA; Mail Code: 1107T; 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: switzer.lavonne@epa.gov Phone: (202) 564-2711.

**Website Address:**

<http://www.epa.gov/children>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No projects were funded in FY 2010. Fiscal Year 2011: Projects that build capacity to address children's environmental health in underserved, disproportionately impacted low-income communities, including minority or Tribal communities, and that demonstrate, implement or expand innovative methods and approaches to prevent and reduce exposures in homes, schools, and child care settings. Capacity-building programs eligible for funding should be multi-media (involving multiple environmental health hazards), holistic (involving multiple stakeholders and built on strong partnerships), and focused on underserved communities. Underserved communities include environmental justice communities and any other community where children are disproportionately at risk or where there are health disparities, including, but not limited to, children from minority, low income, or tribal communities. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA

description will be described in the competitive announcement.

Non-competitive proposals are judged for: (a) technical merit in terms of: (1) strengths and weaknesses of the project, (2) adequacy of overall project design, (3) competency of proposed staff, (4) suitability of applicant's available resources, (5) appropriateness of the proposed project period and budget, and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project, and (2) relationship to program objectives.

**66.610 SURVEYS, STUDIES, INVESTIGATIONS AND SPECIAL PURPOSE GRANTS WITHIN THE OFFICE OF THE ADMINISTRATOR FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act, Section 103; Comprehensive Environmental Response, Compensation, and Liability Act, Section 311; Solid Waste Disposal Act, Section 8001; National Environmental Policy Act, Section 102(2)(F); Clean Water Act, Section 104; Marine Protection, Research, and Sanctuaries Act, Section 203; Toxic Substances Control Act, Section 10; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, Public Law 106-74; Safe Drinking Water Act, Section 1442(a)&(c).

**OBJECTIVES:**

(1) To support surveys, studies, investigations, and special purpose assistance associated with air quality, acid deposition, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) to identify, develop, and demonstrate necessary pollution control techniques; (3) to prevent, reduce, and eliminate pollution; (4) to evaluate the economic and social consequences of alternative strategies and mechanisms for use by those in economic, social, governmental, and environmental management positions; and (5) to promote collaboration on projects and activities within the states and enable wider and more coordinated state input on national environmental issues.

Funding Priority - Fiscal Year 2011: Priorities continue to include support for environmental health information and analysis to state legislatures; support to build state capacity to reduce environmental hazards that may affect health and the environment; support of environmental education training; support to promote and enhance state collaboration by focusing on communication and the sharing of environmental information among states; support to detail environmental outcome oriented indicators, measures, and goals that promote innovative environmental protection; and support to increase efficiency in the state environmental protection programs that results in cost-effective, sustainable environmental protection.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to State agencies, territories, the District of Columbia, Indian Tribes, and possessions of the U.S. Assistance is also available to public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applications. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State agencies and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. Office of the Administrator may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, the Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal

Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to the Office of the Administrator's program priorities, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA's Appropriation Act requires that applicants submitting unsolicited research grant proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. This requirement cannot be waived by EPA. In addition, CERCLA Section 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost-sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the Section 311(b)(3) cost-sharing requirement in appropriate cases. Matching fund requirements may be established in program guidance or in the terms of competitive solicitations.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, the Office of the Administrator can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants and cooperative agreements may be incrementally funded or fully funded. This determination is made by the EPA. See the following for information on how assistance is awarded/released: Other.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in EPA's grant regulations 40 CFR Parts 30 and 31. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three (3) years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-1810-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$278,000; FY 11 est \$225,000; and FY 12 est \$225,000

**Range and Average of Financial Assistance:**

Range \$500 to \$500,000 per grant. Average amount of award approximately \$150,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2011 the accomplishments of ongoing grants are: (1) "Building of state capacity to improve results based management" - Specifically working on improved planning alignment between EPA and the states, continued engagement in EPA National Program Guidance process; with an eye towards better integration of multi-media approaches that achieve quantifiable environmental outcomes. (2) Mercury Abatement - Grantee developed a "Quicksilver Caucus" Action Plan with dozens of planned activities, and EPA is in cooperative agreement with them to implement the plan. Some specific actions which are underway are a continued effort to help States educate and engage key public and private sector leaders on the actions taken to reduce and manage mercury in the environment; and continue to help implement a National Voluntary Mercury Switch Removal Program. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Parts 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Anthony Raia, Environmental Protection Agency, Office of the Administrator, 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: Raia.Anthony@epamail.epa.gov Phone: (202) 564-2758.

**Website Address:**

<http://www.epa.gov/adminweb/>

**RELATED PROGRAMS:**

66.609 Protection of Children and Older Adults (Elderly) from Environmental Health Risks; 66.611 Environmental Policy and Innovation Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Burden Reduction Initiative project is an effort to address state concerns over increasing state workload accompanied by decreases in federal funding. States are working on a study to review administrative costs that states incur when implementing a delegated environmental program.

State project that focus on how to better coordinate federal and state grant management systems and reporting including economic stimulus grants to states under the American Reinvestment and Recovery Act (ARRA). Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive proposals are judged for: (a) technical merit in terms of: (1) strengths and weaknesses of the project, (2) adequacy of overall project design, (3) competency of proposed staff, (4) suitability of applicant's available resources, (5) appropriateness of the proposed project period and budget, and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project, and (2) relationship to program objectives.

**66.611 ENVIRONMENTAL POLICY AND INNOVATION GRANTS**

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act, Section 104(k)(6)&311, 42 U.S.C 9660; Clean Air Act, Section 103, 42 U.S.C 7403; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Safe Drinking Water Act, Section 1441, 42 U.S.C 300j-1; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136(r); Toxics Substances Control Act, Section 10, 15 U.S.C 2609; National Environmental Policy Act, Section 102(2)(F), 42 U.S.C 4332; Clean Water Act, Section 104, 33 U.S.C 1254; Annual Appropriations Act.

**OBJECTIVES:**

(1) To support analyses, studies, evaluations, workshops, conferences, and demonstration projects that lead to reduced pollutants generated and conservation of natural resources; (2) to improve economic information and analytic methods to support studies, surveys, analyses, evaluations, conferences, workshops, and demonstration projects on the benefits, costs, and impacts of environmental programs; and (3) to improve economic information and analytic methods to support studies, surveys, analyses, evaluations, conferences, workshops, and demonstration projects of incentive-based and voluntary environmental management strategies and mechanisms; and (4) to support research to explore and develop strategies and mechanisms for those in the economic, social, governmental, and environmental arenas to use in environmental management decisions.

Funding Priority - Fiscal Year 2011: Pending budget decisions, the funding priorities for this program may include continued support for innovative projects related to exploring, testing, or implementing smart growth policies and other environmentally preferable approaches to development. A new solicitation on environmental economics may be issued in FY2011, with the topic and amount of resources yet to be determined. Issuance of a new solicitation will primarily be driven by the outcome of a request to receive an increase in the program's base operating budget for FY2011 in the President's Budget.

For the environmental economic program, priorities include awarding funds to approved workshop and dissertation/early career research proposals selected for funding from the FY2010 competitive solicitation. Additional awards will be issued for incrementally funded existing workshops and research, selected under previous competitive solicitations administered by the office and other EPA program offices. There are no current plans to issue a new competitive solicitation on environmental economic research in FY2011.

Funding priority - Fiscal Year 2012: Pending budget decisions, the funding priorities for this program may include continued support for innovative projects related to exploring, testing, or implementing smart growth policies and other environmental preferable approaches to development. One or more new solicitations related to implementing smart growth policies and other environmentally preferable approaches may be issued.

Concerning funding priorities in the field of environmental economics and related research, pending budget decisions, topics may include: work on improvements in the valuation of environmental benefits, including human health and ecological services; measuring economic costs and impacts to society from regulations; integrating economic and natural science models for purposes of assessing environmental risks and consequences, including those associated with GHG emissions and potential consequences for climate change; and utilization of alternative regulatory management and economic incentive approaches to achieve environmental objectives.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved Environmental Policy and Innovation plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized

in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, interstate organizations, intrastate organizations, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applicants. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its grant from the EPA to an FFRDC for research personnel, supplies, equipment, and other expenses directly related to the research. Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on a grant, and may not receive salaries or augment their Agency's appropriations in other ways through grants made by this program.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, individuals, and international organizations.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the

Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For competitions involving research that are administered as part of the Economic and Decision Sciences program, OP will continue to adhere to the policies established by ORD, NCER and their Science to Achieve Results (STAR) program, which includes engaging an external technical peer review panel to evaluate the technical merits of research proposals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days for most competitive solicitations. For competitive solicitations administered under the Economic and Decision Sciences program, the time for notification is approximately 240 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA may sometimes choose to either fully or incrementally fund awarded grants and cooperative agreements for Environmental Policy and Innovation. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: CERCLA 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the 311(b)(3) cost sharing requirement in appropriate cases. Matching requirements may be established in program guidance or the terms of competitive solicitations.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants and cooperative agreements may be incrementally or fully funded. This determination will be made by the EPA. See the following for information on how assistance is awarded/released: Most assistance awarded under this CFDA will either be released as a lump sum payment, paid on a quarterly basis, or paid on a monthly basis.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations 40 CFR Parts 30 and 31.

In general, it is the policy of the Office of the Administrator to require Progress Reports from recipients on a quarterly basis. This requirement, or a different requirement when applicable, will be spelled out in solicitations issued under this CFDA, and confirmed in the Terms and Conditions section for funded assistance agreements. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-1810-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$1,483,458; FY 11 est \$1,800,000; and FY 12 est \$3,200,000 - For awards directed at smart growth issues, the total amount awarded through new awards and incremental funding is \$283,458 in FY 2010. Projected new awards and incremental funding are expected to be \$1.2 million in FY 2011 and \$2.4 million in FY 2012.

For awards directed at economic analysis and research topics, including funding provided under the Economic and Decision Sciences program, the following distributions and projections are - in FY2010 total awards through new awards and incremental funding totalled \$1.2 million; for FY 2011 new awards and incremental funding is anticipated to total \$0.6 million; and for FY2012 new awards and incremental funding is anticipated to total \$0.8 million.

**Range and Average of Financial Assistance:**

For awards related to smart growth, the range is from \$50,000 to \$400,000, with an average of \$150,000.

For recent awards in the area of economics - related to Environmental Economic Workshops: range is \$35,000 - \$95,000, with an average award of ~\$70,000. Related to Environmental Economics Dissertations and Early Career Research: range is \$35,000 - \$75,000, with an average of ~\$60,000. Related to Environmental Economic Research: range is \$75,000-\$300,000, with an average of ~\$250,000. There were no earmarks included in FY2009, FY2010 or FY2011. We do not anticipate any earmarks in FY2012.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Awards were made in FY2010 for an NCEE solicitation issued in FY2009 that invited proposals on two topics. The first was for

research on "Design of Policies for Pollution Control Using Market Mechanisms", which elicited 8 proposals, of which 3 were selected for funding. The second was on "Data Gathering for Dissertation and Early Career Research on the Pollution Control Aspects of Environmental Economics" which elicited 11 proposals, of which 6 were selected for funding. Both seek to strengthen the quality and completeness of the scientific information used in preparing economic analyses.

Examples of the type of research supported under these grants include:

- New research will construct an empirical database on observed (actual) long-term maintenance costs of a variety of stormwater BMPs. Data collected will be analyzed for general long-term operation and maintenance cost relationships for BMPs that can complement existing construction cost estimates. Additionally, data collected will allow for further understanding of: failure and retrofit rates; identification of the parties responsible for maintenance and operation of stormwater BMPs; frequency of maintenance by BMP type; and inspection requirements by BMP type.

- Recent studies have found a significant relationship between environmental regulation and job loss. New research will use administrative data from the Census Longitudinal Employer-Household Dynamics (LEHD) to explore the transitional impacts of the Clean Air Act Amendments of the 1990's. The research examines unemployment duration and long term earnings losses associated with increased air quality mandates, and see whether regulations induce job transfer within or across industries.

- Lake ecosystems in Iowa are among the most degraded in the country, primarily due to agricultural nutrients and sediment deposition. This research seeks to understand the changes in lake usage and welfare values that result from changes in water quality at some of the lakes where restoration projects have been initiated, including whether changes in visitation patterns associated with water quality changes are detectable.

- Recent initiatives and proposals for controlling carbon dioxide emissions have centered on the use of cap and trade schemes that have features designed to control excessive price volatility. This research proposal uses laboratory experiments to examine issues of auction design for hybrid cap and trade regimes, including studying the performance of safety-valve price mechanisms that allow the available supply of allowances to expand once a price trigger is passed, and the sale of forward vintages that affect auction design choices, especially in regimes with declining future caps.

- New research will estimate the damage (per ton) of NH<sub>3</sub>, NO<sub>x</sub>, PM<sub>2.5</sub>, PM<sub>10</sub> - 2.5, SO<sub>2</sub>, and VOCs and then use these estimates to develop innovative market-based environmental policies that integrate multiple pollutants into a single, efficient policy structure. The proposed research uses new data on the damages caused by emissions, consolidates multiple pollutants into one cap-and-trade program, and explores the management of pollution across different media (i.e., water and air pollution).

Examples of projects funded in support of environmentally responsible development in FY2010 included support for an annual smart growth conference and an educational website on development issues. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Environmental Policy and Innovation grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Brett Snyder, USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania

Avenue, N. W., Mail Code: 1809T, Washington, District of Columbia 20460  
Email: [snyder.brett@epa.gov](mailto:snyder.brett@epa.gov) Phone: (202) 566-2261.

**Website Address:**

<http://www.epa.gov/op>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Under 66.611, EPA has funded projects such as reviewing a city's municipal code; identifying barriers to smart growth and developing options to eliminate the specific barriers; integrating redevelopment solutions for brownfields for a particular state; and an annual conference for smart growth practitioners.

In the area of environmental economics, the program has supported a variety of projects including sponsoring economic policy or economic methodology development workshops and conferences; supporting applied dissertations in environmental economics; and supporting high priority environmental economic research topics.

Some specific topics include:

- Investigating Performance-Carbon Dioxide Allowance Auctions: Recent initiatives and proposals for controlling carbon dioxide emissions have centered on the use of cap and trade schemes that have features designed to control excessive price volatility. This research proposal uses laboratory experiments to examine issues of auction design for hybrid cap and trade regimes, including studying the performance of safety-valve price mechanisms that allow the available supply of allowances to expand once a price trigger is passed, and the sale of forward vintages that affect auction design choices, especially in regimes with declining future caps.

- Market Impacts & Distributional Consequences of Pollution Control Mechanisms: This research develops a series of complementary analyses for understanding the economic efficiency, environmental effectiveness, and distributional effects of a broad range of different policy instruments to see how they interact with one another, and how they perform in the presence of induced technological change. The research will examine the electricity generation and transportation sectors of the economy, and seek to develop an analytical model of consumer, supplier, and overall market responses to policy interventions targeted at these sectors.

More details on economic projects funded under prior solicitations can be found at the webaddress:

<http://yosemite.epa.gov/ee/epa/eed.nsf/Webpages/Grants.html>. Fiscal Year 2011: Completed competitive solicitation for new workshops and research proposals supporting student dissertations or recent graduates of programs pursuing research topics.

Examples of work supported include:

(I) Workshop on the topic of transportation and environmental economics, focusing on: (1) best practices for implementing environmentally sound and economically feasible projects that align transportation goals with environmental policies; (2) building consensus on how best to incorporate environmental goals when conducting cost-benefit analyses; and (3) understanding when the social cost of carbon valuation framework may be used to estimate benefits associated with various projects.

(II) Workshop bringing together economists, corporate managers, and environmental policy makers to critically assess the determinants, effects, and effectiveness of VPC initiatives. Expect event to enable researchers to discuss the methodological challenges in evaluating impacts of VPC initiatives and give an opportunity to PhD students and young scholars develop their research idea

into a high-quality academic product with feedback from world-class scholars and environmental policy experts acting as discussants and participants.

(III) Series of annual research workshops of 15-20 people, focused on a narrowly defined research topic of interest to the environmental economics community and of policy relevance to the environmental management organizations and departments at different levels of government. The goal of the workshops would be to explore the state-of-the-art of specific topics, bringing together the world's most prominent researchers on the topic, for intense exploration on the frontiers of environmental economic research.

Details on these and other economic workshop and research awards can be found at the web address:

<http://yosemite.epa.gov/ee/epa/eed.nsf/Webpages/Grants.htm>. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

Non-competitive proposals are judged for: (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives.

**66.612 SURVEYS, STUDIES, INVESTIGATIONS, TRAINING DEMONSTRATIONS AND EDUCATIONAL OUTREACH RELATED TO ENVIRONMENTAL INFORMATION AND THE RELEASE OF TOXIC CHEMICALS**

Support for TRI Capacity Building, Education and Outreach, and Clearinghouse  
**FEDERAL AGENCY:**

Office of Environmental Information, Environmental Protection Agency

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Water Act, Section 104; Clean Air Act, Section 103; Safe Drinking Water Act, Section 1442; Solid Waste Disposal Act, Section 8001; Toxic Substances Control Act, Section 10.

**OBJECTIVES:**

The program's objective is to provide funding in support of surveys, studies, investigations, training/demonstrations, educational outreach and special purpose assistance as they relate to environmental information and the release of toxic chemicals. The purpose of this program is to educate the public on the how to obtain access to and effectively use environmental information, including information about toxic chemical releases and other waste management activities. Through this grant program EPA intends to enhance the public understanding of environmental information generally and the potential risks and hazards of releases of toxic chemicals to their communities as they relate to facilities covered under the Toxic Release Inventory Program; support efforts to assist state, tribal and local governments improve management of environmental information; identify priorities and opportunities for the public and state, tribal and local governments to work with industry to reduce toxic chemical disposal or other releases and potential risks associated with them; and establish reduction targets and measure progress toward reduction goals.

Funding Priority - Fiscal Year 2011: Topics and activities include, but are not limited to the following: Expansion of stakeholder education and outreach. Maintenance and monitoring of the collaborative website ([www.chemicalright2know.org](http://www.chemicalright2know.org)) which will allow various stakeholders to access information about the TRI program, and post discussion topics, position papers, and original research and analyses on an array of TRI on other related topics. Identification of new technology to increase use and participation of the collaborative forum. Use of forum to promote the National Training Conference and TRI related Webinars. Training opportunities will include at least one on-line webinar focused on TRI and the preparation and execution of the Fall 2010 TRI National Training Conference, and preparation for the 2012 TRI National Training Conference. Request for proposals will be issued to award



small grant opportunities that will focus on pollution prevention efforts.

Funding Priority - Fiscal Year 2012: Topics and activities include, but are not limited to the following: Expansion of TRI stakeholder education and outreach. Maintenance and monitoring of the collaborative website ([www.chemicalright2know.org](http://www.chemicalright2know.org)) which will allow various stakeholders to access information about the TRI program, and post discussion topics, position papers, and original research and analyses on an array of TRI and other related topics. Use of forum to promote the National Training Conference and TRI related Webinars. Training opportunities will include at least one online webinar focused on TRI and the preparation and execution of the Spring 2012 TRI National Training Conference. This will also support monitoring of small grants progress.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to states, the District of Columbia, US territories (for example, American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, Puerto Rico, and the US Virgin Islands), federally recognized Indian tribes, intertribal consortia of federally recognized tribes, public and private colleges and universities, and other public or private nonprofit organizations. Nonprofit organizations exempt from taxation under Section 501(c)(4) of the Internal Revenue Code that lobby are not eligible for financial assistance. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State, territory, city, town, county, and regional governments; federally recognized Indian tribes and intertribal consortia of federally recognized tribes; public institutions and industries subject to EPA regulatory reporting requirements; and the public.

**Credentials/Documentation:**

Applicants must demonstrate that they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA will ask applicants or principle investigators to provide curricula vitae and relevant publications. EPA may ask for documentation of nonprofit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting surveys, studies and investigations, demonstrations, educational outreach and special purpose projects that consider the relevance to EPA's mission and the likelihood of the success of proposed projects. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the

Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds, and the Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. See the following for information on how assistance is awarded/released: The Agency anticipates annual incremental (for five years) for this assistance award.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and Part 31.

Quarterly progress reports and a detailed final report are required. Quarterly progress reports summarize technical progress, planned activities for next quarter and summary of expenditures. A summary of expenditures should be included in the quarterly progress reports. Annual performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements

are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Parts 30 and 31 are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$215,000; FY 11 est \$200,000; and FY 12 est \$144,848

**Range and Average of Financial Assistance:**

Estimated \$15,000 to \$350,000 with an average of \$200,000 annually.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Prepared for and executed two TRI Webinars, maintained and monitored the collaborative website, expanded stakeholder outreach to EJ Communities including awarding three small grants, and prepared for the Fall 2010 TRI National Training Conference. Fiscal Year 2011: Preparing for and executing one TRI training Webinar, maintaining and monitoring the collaborative website and utilizing it for promotion of TRI training events, expanding stakeholder outreach, preparing for and executing the Fall 2010 TRI National Training Conference and preparing for the 2012 TRI National Training Conference, and issuing a request for proposals to award small grants. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined on accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for non-profit institutions. Research and demonstration projects are subject to 40 CFR Part 40. Training grants are subject to 40 CFR Part 45.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in [http://www.epa.gov/tri/contacts\\_regional.htm](http://www.epa.gov/tri/contacts_regional.htm) or in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Christine Arcari, EPA Headquarters, EPA West, 1200 Pennsylvania Avenue, N. W. Mail Code: 2842T, Washington, District of Columbia 20460 Email: [Arcari.Christine@epa.gov](mailto:Arcari.Christine@epa.gov) Phone: (202) 566-1746.

**Website Address:**

<http://www.epa.gov/oei>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Preparing for and executing two TRI Webinars, maintaining and monitoring the collaborative website, expanding stakeholder outreach to EJ Communities, and preparing for Fall 2010 TRI National Training Conference.

Fiscal Year 2011: Preparing for and executing one TRI training Webinar, maintaining and monitoring the collaborative website and utilizing it for promotion of TRI training events, expanding stakeholder outreach, preparing for and executing the Fall 2010 TRI National Training Conference and preparing for the 2012 TRI National Training Conference, and issuing a request for proposals to award small grants. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. EPA selects proposed Surveys, Studies, and Investigations projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. If EPA issues a solicitation for applications for a particular project or group of projects, the solicitation will identify specific criteria.

**66.700 CONSOLIDATED PESTICIDE ENFORCEMENT COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 23, Public Law 92-516, 7 U.S.C 136; Federal Insecticide, Fungicide, and Rodenticide Act, Section 23, Public Law 95-396, 7 U.S.C 136; Federal Insecticide, Fungicide, and Rodenticide Act, Section 23, Public Law 94-140, 7 Stat. 136.

**OBJECTIVES:**

To: (a) Assist States, territories and possessions of the U.S., including the District of Columbia and Indian Tribes, in developing and maintaining comprehensive pesticide programs that address all aspects of pesticide enforcement, and special pesticide initiatives; (b) sponsor cooperative surveillance, monitoring and analytical procedures; and (c) encourage regulatory activities within the States. State, Territorial, and Tribal agencies participating in this cooperative agreement program receive funds to support and strengthen their pesticide compliance programs, including pesticide compliance monitoring, inspection and enforcement activities.

Funding Priority - Fiscal Year 2011: Two specific compliance monitoring and enforcement activities have been identified as major priorities for this program: reducing chemical risks and protecting the under served and vulnerable populations. Other typical program activities include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices; inspections of pesticide products at producing facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements; and initiation of appropriate enforcement action when violations are detected including civil and criminal prosecution, stop sale orders, seizures, recalls, and warning notices.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Available for costs specifically incurred in purchasing inspectional supplies and equipment; reimbursing State travel and per diem expenses associated with the performance of grant outputs; purchasing essential laboratory equipment and supplies; paying salaries for personnel performing inspectional, analytical and/or managerial functions related to grant activities, and for administrative costs associated with the performance of grant outputs. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. There are no specific restrictions on the use of this assistance.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal

Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State agencies having pesticide compliance program responsibilities in each State, territory and possession of the United States, including the District of Columbia and Indian Tribes.

**Beneficiary Eligibility:**

States, Federally Recognized Indian Tribal Governments, U.S. Territories and the District of Columbia.

**Credentials/Documentation:**

The application must supply evidence of legal authority to conduct pesticide compliance activities contemplated under the grant and a workable program officially adopted for the agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussions or informal meetings with Regional program offices concerning program preparation are advisable. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application form and completed applications should be submitted to the appropriate EPA Regional Office (see Appendix IV of the Catalog). The enforcement program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. States will be notified of Federal Assistance Awards through the Federal Assistance Awards Data System (FAADS). Applicants may use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applicants must reapply.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are normally funded for a 12-month period. Payments will be on an advance letter of credit or reimbursement basis; recipient must request the initial advance payment on SF 270, Request for Advance or Reimbursement. See the following for information on how assistance is awarded/released:  
Other.

**Reports:**

As requested in the Annual Program Guidance for inclusion in the grant award; quarterly with mid-year and year-end evaluations. Program reports are required. No cash reports are required. Progress reports are required. Expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$18,481,900; FY 11 est \$18,674,000; and FY 12 est \$19,085,000

**Range and Average of Financial Assistance:**

\$32,000 (territory) to \$800,000; average \$260,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Consolidated Pesticide Enforcement Cooperative Agreements are continuing environmental program grants. In fiscal year 2010, 75 applications for pesticide enforcement grants were received and 75 grants awarded. Agencies participating in the Federal cooperative agreement program receive funds to support and strengthen pesticide compliance monitoring, inspection, and enforcement activities. Typical program activities include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at production facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, and initiation of appropriate enforcement action when violations are detected including civil and criminal prosecution, stop sale orders, seizures, recalls, and warning notices. The States will also develop implementation plans for special pesticide initiatives. States will be responsible for dissemination of information and materials related to these pesticide initiatives. States, Territories, and Tribes that are participating in the pesticide enforcement cooperative agreements program conducted 84,103 compliance monitoring inspections in FY 2010. These inspections were conducted at agricultural establishments, pesticide producers and retailers, ports of entry, at pesticide applicators, as well as at other site where pesticides were distributed, sold, or used. As a result of these inspections, 16,727 enforcement actions were initiated in FY 2010 [civil and criminal actions, license suspensions or revocation, warning letters]. Fiscal Year 2011: No current data available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency, State and Local Assistance (40 CFR Part 35 Subpart A), October 12, 1982.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Julie Simpson Office Of Compliance, Office of Enforcement and Compliance Assurance (2225A), EPA, Washington, District of Columbia 20460 Email: [simpson.julie@epa.gov](mailto:simpson.julie@epa.gov) Phone: 202-564-0085

**Website Address:**

<http://www.epa.gov/compliance/state/grants/fifra.html>

**RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: State agencies participating in the Federal/State cooperative agreement program receive funds to support and strengthen their pesticide compliance programs, including pesticide compliance monitoring, inspection and enforcement activities as well as special pesticide initiatives activities. Typical program activities, include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at production facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, inspections and investigations at ports of entry to assess compliance with import and export requirements, and initiation of appropriate enforcement action when violations are detected, including civil and criminal prosecution, stop sale orders, seizures, recalls and notices. The special pesticide initiatives are new projects, which include the development of State management plans for the protection of groundwater and endangered species from pesticides and development of worker protection programs. Fiscal Year 2011: State agencies participating in the Federal/State cooperative agreement program receive funds to support and strengthen their pesticide compliance programs, including pesticide compliance monitoring, inspection and enforcement activities as well as special pesticide initiatives activities. Typical program activities, include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at production facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, inspections and investigations at ports of entry to assess compliance with import and export requirements, and initiation of appropriate enforcement action when violations are detected, including civil and criminal prosecution, stop sale orders, seizures, recalls and notices. The special pesticide initiatives are new projects, which include the development of State management plans for the protection of groundwater and endangered species from pesticides and development of worker protection programs. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by the Environmental Protection Agency according to the following criteria: 1) Need: The need for the development, improvement and/or maintenance of a comprehensive pesticides enforcement program within the State/Tribe that includes enforcement, new initiative programs, and programs that address existing environmental problems, potential problems, and/or existing exposed populations related to the use of pesticides. 2) State/Tribal Pesticide Activity: The relative amount of pesticide production, formulation and use in a State/Tribe, and the potential risk to human health and the environment from pesticide misuse or abuse. 3) Long-Term Impact: The potential of the cooperative agreement to have a long-term beneficial impact on human health and the environment resulting from the comprehensive pesticide program. 4) Effectiveness of program: The past level and effectiveness of the State/Tribal pesticide program. 5) Level of activity; As indicated by such factors as numbers of farms and numbers of applicators. 6) Magnitude of effort; Need to accomplish expected outputs and products; and 7) Ability to accomplish output goals.

### **66.701 TOXIC SUBSTANCES COMPLIANCE MONITORING COOPERATIVE AGREEMENTS**

#### **FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

#### **AUTHORIZATION:**

Toxic Substances Control Act (TSCA), Section 28&404(g), Public Law 102-550, 15 U.S.C 2601.

#### **OBJECTIVES:**

1) To assist States, including the District of Columbia, the Commonwealth of Puerto Rico, Guam, America Samoa, the Northern Marianas, the Trust Territories of the Pacific Islands, the Virgin Islands and Indian Tribes in developing and maintaining compliance monitoring programs to prevent or eliminate unreasonable risks to health or the environment associated with chemical substances or mixtures within the States, specifically Asbestos, PCB,

and Lead-based paint; 2) encourage regulatory activities within the States to establish their own programs for Lead-based paint and Asbestos (waiver programs); and 3) fund enforcement activities for Asbestos waiver state programs and Lead-based paint programs. EPA may provide funding for cooperative compliance monitoring grants to States and Tribes under TSCA to conduct inspections to ensure compliance with the PCB regulations, the Asbestos-in-Schools requirements (inspections at charter schools, public schools, private, non-profit schools and religious schools), the Model Accreditation Plan (MAP), TSCA section 6 Ban and Phase Out Rule, and the TSCA Asbestos Worker Protection Standards and to conduct Lead-based paint activities. Authorized States also conduct enforcement for the Lead-based program. States that have obtained an EPA waiver from the Asbestos regulation (Subpart E of Part 763) also have enforcement responsibilities.

Funding Priority - Fiscal Year 2011: Funding priorities in FY 2011 for the TSCA PCB and Asbestos programs will be: 1) existing compliance monitoring programs to ensure they continue to meet established standards; 2) activities leading to waiver status for Asbestos programs; 3) activities as necessary for meeting training requirements necessary for obtaining and keeping EPA credentials in those programs which require the use of EPA credentials (the PCB compliance monitoring programs and Asbestos programs in non-waiver states); 4) new programs that provide inspection activity where there is an identified need including, but not limited to, Environmental Justice areas; and 5) activities that further the use of new technology for conducting field inspections, e.g., use of PC Tablets and PCB inspection software to improve the efficiency of inspections. States may use funds to develop inspection software and/or purchase PC Tablets for asbestos inspections.

Funding priorities in FY 2011 for States with authorized Lead-based paint programs will focus on individuals and firms which conduct lead abatement and renovation and their continuance with the training and certification, and work practice standards requirements. States with authorized renovation notice rules will also monitor those requirements.

No new funding priorities identified for FY 2012.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Grant funds are available for costs specifically incurred by States and Tribes to develop, enhance and maintain comprehensive compliance monitoring/enforcement programs under TSCA, specifically PCBs, Asbestos, and Lead-based paint. Funded activities may include inspector training, inspection supplies, and laboratory costs, including personnel and equipment; reimbursement for salaries, travel, training, and per diem expenses for inspectors, analysts, and program managers; and other functions related to grant activities. For those programs where inspections are conducted using EPA credentials, prior to conducting inspections under the Grant, the State/Tribe must have an authorization agreement and the inspectors must complete the minimum inspector training, including health and safety training, and conduct inspections pursuant to the September 2004 Guidance for Issuing Federal EPA Inspector Credentials to Authorize Employees of State/Tribal Governments to Conduct Inspections on Behalf of EPA. They must also have a signed authorization agreement with EPA.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

For the PCB and Asbestos programs, States/Tribes should have toxic substance compliance responsibilities and be designated as the lead agency with the authority to enter into these cooperative agreements. For the Lead-based paint program, state agencies, Indian tribes, and tribal consortiums that have toxic

substance compliance responsibilities, who have the authority to enter into these cooperative agreements, and who have their own lead laws in place are eligible to apply for assistance under the TSCA Compliance Monitoring Grant.

**Beneficiary Eligibility:**

For PCB, Asbestos and the Lead-based paint programs: States, including the District of Columbia, the Commonwealth of Puerto Rico, Guam, America Samoa, the Northern Marianas, the Trust Territories of the Pacific Islands, the Virgin Islands and Indian Tribes.

**Credentials/Documentation:**

The applicant must supply evidence of legal authority to conduct toxic substance compliance program activities contemplated under the grant and a workable program officially adopted for the agency. Costs will be determined in accordance with OMB Circular No.A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussions or informal meetings with Regional program offices concerning program preparation are advisable. The standard application forms as furnished by the federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications should be submitted to the appropriate EPA Regional Office (see Appendix IV of the Catalog). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. This program is excluded from coverage under OMB Circular No.A-110.

**Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. States will be notified of Federal Assistance awards through the Federal Assistance Awards Data System (FAADS). Applicants may use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applicant must reapply.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Under TSCA Section 28, no grant may exceed 75 percent of the establishment and operation costs of such a program during the period for which the grant is made. Thus, recipients must contribute 25% of the total costs for activities conducted under Section 28 of TSCA (i.e., the PCB and Asbestos grants).

There are no cost-sharing or matching fund requirements for Lead-based Paint enforcement grants under Section 404(g).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cooperative Agreements are normally funded for a 12-month period. Payments will be on an advance letter of credit or reimbursement basis; recipients must request the initial advance payment on the form SF 270, Request for Advance or Reimbursement. See the following for information on how assistance is awarded/released: Other.

**Reports:**

As required in the annual National Program Guidance for inclusion in the grant

award, grantees must submit mid-year and year-end evaluations. For inspections conducted using credentials issued by EPA to the state or tribal employee, the inspection report must be submitted to the regional office for review pursuant to the authorization agreements. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$5,401,900; FY 11 est \$5,099,000; and FY 12 est \$5,201,000

**Range and Average of Financial Assistance:**

For PCB and Asbestos: \$19,000 to \$270,000/year; \$111,000/year average.

For Lead: \$21,000 - \$50,000; \$36,000/year average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Twenty-four Asbestos, nine PCB, and forty-one Lead cooperative agreements were awarded to States in FY 2010. A similar number are expected to be awarded in FY 11. Agencies participating in the TSCA Compliance Monitoring Cooperative Agreements program receive funds to support and enhance toxic substance compliance monitoring, assurance and enforcement activities.

Typical program activities for the Asbestos grant program include compliance inspections at facilities regulated under the AHERA program plus preparation of inspection reports. For waiver states, work includes case preparation and taking enforcement action. Non-waiver states using EPA credentials submit their inspection reports to EPA for case review and appropriate enforcement action. In FY 10, 1,050 compliance monitoring inspections were conducted. EPA expects similar inspection numbers in FY 11.

Typical program activities for the PCB grant program include compliance inspections at facilities regulated under the TSCA PCB program, and submission of inspection reports to EPA for review and enforcement action, if appropriate. In FY 10, 335 inspections were conducted. EPA expects similar inspection numbers in FY 11.

Typical program activities for the Lead-based paint grant program include compliance inspections at facilities regulated under the TSCA Lead-based paint program plus initiation of appropriate enforcement action by authorized states or referral to EPA for case review and appropriate enforcement action when violations are detected. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental

Protection Agency, State and Local Assistance (40 CFR Part 35 Subpart A), October 12, 1982; "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Julie Simpson Pesticides, Waste and Toxics Branch, Monitoring, Assistance and Media Programs Division, Office of Enforcement and Compliance Assurance, (2223A), U.S. EPA, 1200 Pennsylvania Ave. NW., Washington, District of Columbia 20460 Email: [impsjon.Julie@epa.gov](mailto:impsjon.Julie@epa.gov) Phone: 202-566-1980

**Website Address:**

<http://www.epa.gov/compliance/tsca.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: State agencies participating in the Toxic Substances Compliance Monitoring Cooperative Agreement program receive funds to support and conduct compliance monitoring (inspection) and enforcement activities, as appropriate for the specific program. Examples of program activities that may be funded include, targeting activities, inspections/investigations to evaluate compliance, follow-up inspections, initiation of appropriate enforcement action when violations are detected, equipment for inspections, development of compliance monitoring strategies/targeting approaches, development of software or e-forms capable of automating inspection data collection activities in the field, and training/workshops. The majority of the funds are used by the states to conduct compliance monitoring inspections. Those states that are authorized to enforce the Lead-based paint program or are "waiver" states under the AHERA program use the grant money to enforce the regulation, as appropriate.

In addition, EPA encourages states/tribes to purchase PC Tablets that are compatible with the PCB inspection software developed for conducting inspections and writing inspection reports. The Office of Enforcement and Compliance Assurance developed a PCB Inspection software program to make inspections more efficient and consistent by allowing the inspector to use computer hardware and software to collect data electronically. The software prints EPA notification forms; collects inspection data for opening and closing conferences, records reviews, and walkthroughs; makes available necessary reference materials; and assists in inspection report writing. States and Tribes may request the PCB inspection software and training through their regional project officer. Fiscal Year 2011: State agencies participating in the Toxic Substances Compliance Monitoring Cooperative Agreement program receive funds to support and conduct compliance monitoring (inspection) and enforcement activities, as appropriate for the specific program. Examples of program activities that may be funded include, targeting activities, inspections/investigations to evaluate compliance, follow-up inspections, initiation of appropriate enforcement action when violations are detected, equipment for inspections, development of compliance monitoring strategies/targeting approaches, development of software or e-forms capable of automating inspection data collection activities in the field, and training/workshops. The majority of the funds are used by the states to conduct compliance monitoring inspections. Those states that are authorized to enforce the Lead-based paint program or are "waiver" states under the AHERA program use the grant money to enforce the regulation, as appropriate.

In addition, EPA encourages states/tribes to purchase PC Tablets that are compatible with the PCB inspection software developed for conducting inspections and writing inspection reports. The Office of Enforcement and Compliance Assurance developed a PCB Inspection software program to make inspections more efficient and consistent by allowing the inspector to use computer hardware and software to collect data electronically. The software prints EPA notification forms; collects inspection data for opening and closing conferences, records reviews, and walkthroughs; makes available necessary

reference materials; and assists in inspection report writing. States and Tribes may request the PCB inspection software and training through their regional project officer. In FY 11, EPA provided funds to Massachusetts to develop a software package for use on Windows OS computers that collects compliance field data from an AHERA inspection to populate forms and create an inspection report. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by the Environmental Protection Agency according to criteria including the following: (1) Need: The need for the development, improvement, and/or maintenance of a comprehensive compliance monitoring/enforcement program within the State; (2) Level of Activity: The amount of regulated chemicals and facilities, and the potential risk to human health and the environment; (3) Long-Term Impact: The potential of the cooperative agreement to have a long-term beneficial impact on human health and the environment resulting from the compliance program; and (4) Effectiveness of program: The past level and effectiveness of the State regulatory program, number of inspections conducted by the state and number of trained inspectors that have completed the minimum training set forth in the September 30, 2004 "Guidance for Issuing Federal EPA Inspector Credentials to Authorize Employees of State/Tribal Governments to Conduct Inspections on Behalf of EPA."

**66.707 TSCA TITLE IV STATE LEAD GRANTS CERTIFICATION OF LEAD-BASED PAINT PROFESSIONALS**

(State Lead Certification Grants)

**FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Section 404(g).

**OBJECTIVES:**

The goal of EPA's lead-based paint program is to eliminate childhood lead poisoning. The program is comprised of four strategies designed to achieve the following goals: 1) Establish standards to define where lead hazards are present in paint, dust and soil; 2) Give the public information about lead hazards and steps to protect themselves; 3) Ensure that information about known lead-based paint hazards is disclosed to individuals buying or renting pre-1978 housing, and that owners and occupants of pre-1978 housing are provided information on lead-based paint hazards before renovation activities take place; 4) Establish lead-safe work practice standards and require lead-based paint professionals to be trained and certified. The objective of this grant program is to assist States, Tribes, and Territories in developing and carrying out authorized programs that: (a) certify contractors engaged in lead-based paint activities and accredit lead-based paint activities training programs; (b) certify contractors engaged in renovation, repair and painting activities that disturb painted surfaces in most target housing; and/or(c) require distribution of lead-hazard information prior to renovation (pre-renovation education program).

Funding Priority - Fiscal Year 2011: The priority for FY 2011 is to continue to provide assistance to authorized State, Tribal, and Territorial lead-based paint activities training and certification programs and pre-renovation education programs. As appropriate, the Agency will use grant funding to provide assistance to a State, Tribal, or Territorial program looking to develop or administer an authorized Renovation, Repair, and Painting Program.

Funding Priority - Fiscal Year 2012: The priority for FY 2012 is to continue to provide assistance to authorized State, Tribal, and Territorial lead-based paint activities training and certification programs and pre-renovation education programs. As appropriate, the Agency will use grant funding to provide assistance to a State, Tribal, or Territorial program looking to develop or administer an authorized Renovation, Repair, and Painting Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be available for activities which relate to authorization under TSCA Title IV. Supported activities must contribute or lead to the attainment or

maintenance of authorization pursuant to TSCA Title IV. Funds cannot be used for general program activities not related to the attainment or maintenance of authorized programs.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Canal Zone, American Samoa, the Northern Mariana Islands, and any other territory or possession of the United States may receive assistance under Section 404(g) of TSCA. Federally recognized Indian governing bodies are also eligible to apply for and receive assistance. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State governments, Federally recognized Indian governing bodies, U.S. Territories and possessions.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussions or informal meetings with the appropriate EPA Regional Office concerning program preparation are advisable. The standard application form as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications should be submitted to the appropriate EPA Regional Office. The following forms and certifications must be included in all final grant applications: Standard Form 424 (Application for Federal Assistance); Standard Form 424A (Budget Information & #150; Non-Construction Programs); Standard Form 424B (Assurances -- Non-Construction Programs); Certification Regarding Lobbying and SF LLL, if applicable; Certification Regarding Debarment and Suspension; EPA Form 4700-4 (Compliance Review Report Form); and Quality Assurance Narrative Statement, if applicable. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applicants must reapply for grant funding each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cooperative agreements are normally funded for a 12-month period. Payments will be on an advance letter of credit or reimbursement basis. See the following for information on how assistance is awarded/released: Grantees usually receive either a lump sum payment or draw down funds as their Agency allows.

**Reports:**

No program reports are required. No cash reports are required. Pursuant to 40 CFR 31.40, grantees shall, at a minimum, submit annual performance reports to the appropriate EPA Regional Office. These requirements were approved by the Office of Management and Budget (OMB) under OMB Control Number 2030-0020 (General Administrative Requirement for Assistance Programs). The individual Regional Offices may require that these reports be submitted on a quarterly or semiannual basis, but not more frequently than quarterly. The specific information contained within the report will include, at a minimum, a comparison of actual accomplishments to the objectives established for the period. Regional Offices may ask for the inclusion of specific data (e.g., providing to EPA specific address information associated with the abatement notifications that are received by the grantee) as part of the annual performance report from the grantees which may be useful for Agency reporting under the Government Performance and Results Act. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to cooperative agreements, must be kept available to personnel authorized to examine EPA accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report, or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$14,564,000; FY 11 est \$14,534,000; and FY 12 est \$14,549,000

**Range and Average of Financial Assistance:**

\$16,000 to \$350,000; average of \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: As of February 2010, 39 States, 3 Tribes, Puerto Rico, and

D.C. have received EPA approval to administer a lead-based paint activities training and certification program and 2 States have received authorization to administer and enforce a pre-renovation education program.

As of February 2010, 3 state have received authorization to implement the new Renovation, Repair and Painting rule. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: As of May 2011, 39 States, 3 Tribes, Puerto Rico, and D.C. have received EPA approval to administer a lead-based paint activities training and certification program.

11 States have received authorization to administer and enforce a Renovation, Repair and Painting Program.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency. "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; Order No. NTIS UB/031.

#### **Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Lead Contact Person in the appropriate EPA regional office listed in Appendix IV of the Catalog.

#### **Headquarters Office:**

Michelle Price, National Program Chemicals Division 7404T), Office of Pollution Prevention and Toxics, Environmental Protection Agency, 1200 Pennsylvania Ave. NW, Washington, District of Columbia 20460 Email: price.michelle@epa.gov Phone: (202) 566-0744.

#### **Website Address:**

<http://www.epa.gov/lead/>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Over the past thirteen years, EPA has provided financial assistance to the States, Territories and Indian Tribes aimed at the development, implementation and enforcement of approved programs under the final EPA lead-based paint activities training and certification rule (40 CFR part 745, subpart L). The following is a list of previously funded activities: (a) core lead-based paint activities and enforcement capacity development; (b) developing the appropriate infrastructure to administer and enforce a lead-based paint activities program successfully; (c) overseeing the conduct of contractors engaged in lead-based paint activities; (d) overseeing and controlling training program activities; (e) ensuring compliance with requirements for post-abatement clearance sampling; (f) monitoring compliance with the work practice standards of regulations for the conduct of abatement; (g) implementing lead-based paint compliance assistance; (h) implementing the lead-based paint activities sampling techniques; and (i) implementing lead-based paint activities tracking tips and complaints efforts.

Since FY09, EPA has also provided financial assistance to the States, Territories and Indian Tribes aimed at the development, implementation and enforcement of approved programs under the final EPA lead-based paint renovation, repair and painting rule (40 CFR part 745, subpart E). Fiscal Year 2011: Over the past fourteen years, EPA has provided financial assistance to the States, Territories and Indian Tribes aimed at the development, implementation and enforcement of approved programs under the final EPA lead-based paint activities training and certification rule (40 CFR part 745, subpart L). The following is a list of previously funded activities: (a) core lead-based paint activities and enforcement capacity development; (b) developing the appropriate infrastructure to administer and enforce a lead-based paint activities program successfully; (c) overseeing the conduct of contractors engaged in lead-based paint activities; (d) overseeing and controlling training program activities; (e) ensuring compliance with requirements for post-abatement clearance sampling; (f) monitoring compliance with the work practice standards of regulations for the conduct of abatement; (g) implementing lead-based paint compliance assistance; (h) implementing the lead-based paint activities sampling techniques; and (i) implementing lead-based paint activities tracking tips and complaints efforts.

Since FY09, EPA has also provided financial assistance to the States, Territories and Indian Tribes aimed at the development, implementation and enforcement of approved programs under the final EPA lead-based paint renovation, repair and painting rule (40 CFR part 745, subpart E). Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.708 POLLUTION PREVENTION GRANTS PROGRAM**

(P2 Grant Program)

#### **FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

#### **AUTHORIZATION:**

Pollution Prevention Act of 1990, Section 6605, Public Law 101-508.

#### **OBJECTIVES:**

This CFDA announcement supports the Pollution Prevention (P2) and the Pollution Prevention Information Network (PPIN) grant programs. Both programs were enacted under the Pollution Prevention Act of 1990. The P2 grant program funds grants/cooperative agreements that implement pollution prevention technical assistance services for businesses. The PPIN grant program funds centers that provide assistance to businesses whose lack of information may be an impediment to implementing source reduction and share P2 tools and information through a national network of centers. Under these grant programs, EPA supports projects that utilize pollution prevention techniques to reduce and/or eliminate pollution from air, water and/or land.

To help business and industry incorporate pollution prevention techniques into their day-to-day business operations as a way to reduce or eliminate harmful pollutants that may enter the air, water or land. To promote training in pollution prevention/source reduction techniques and P2 information sharing among State and local technical assistance programs to eliminate duplication of effort and promote pollution prevention practices.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Under the P2 and PPIN grant programs funding is provided by Congressional appropriation. The programs support innovative projects that address the transfer of potentially harmful pollutants across all environmental media: air, water, and land. The grant programs support the establishment and expansion of state and tribal pollution prevention programs and address various sectors of concern such as industrial toxics, agriculture, energy, transportation, etc.

Specifically, the P2 grant program is intended to support state and tribal pollution prevention approaches and methodologies. The program is focused on institutionalizing multimedia pollution prevention as an environmental management priority, establishing prevention goals, providing direct technical assistance to businesses, conducting outreach, and collecting and analyzing data.

Under the PPIN grant program, EPA supports projects that help to coordinate work among technical assistance providers in order to minimize duplication of effort in information collection and synthesis, dissemination and training for the promotion of pollution prevention technologies.

The P2 and PPIN grant programs do not support projects that focus on recycling, waste removal or any activity which alters the physical, chemical, or biological characteristics or the volume of a hazardous substance, pollutant, or contaminant through a process or activity which is not integral to and necessary for the production of a product or essential to providing a service. For more information, refer to PPA Section 6603 and 40 CFR Sections 35.343 and 35.662.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies



that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. In accordance with the Pollution Prevention Act of 1990, eligible applicants for purposes of funding under these grant programs include the fifty states, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, and any territory or possession of the United States, any state agency or instrumentality of a state including state colleges and universities, federally-recognized tribes and intertribal consortia.

Local governments, private universities, private nonprofit entities, private businesses, and individuals are not eligible to apply for funding.

**Beneficiary Eligibility:**

State applicants are encouraged to establish partnerships with business and other environmental assistance providers to deliver seamless pollution prevention assistance. The most successful applications will be those that make the most efficient use of government funding. In many cases, this has been accomplished through partnerships. As a result, those who are eligible can provide pollution prevention benefits to the following entities: states, interstate and local agencies or organizations/universities, federally-recognized tribes, intertribal consortia, public or private nonprofit organizations/institutions, private businesses, and quasi public nonprofit organizations.

**Credentials/Documentation:**

In cases where the applicants credentials are not clear, the applicant must provide proof that the applicant is indeed a state agency/organization, federally-recognized tribe, or intertribal consortium. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. If the applicant does not know who their Single Point of Contact is, they may call the appropriate EPA regional coordinator listed in the Information Contacts section, or call the EPA Headquarters Grant Policy Information and Training Branch at 202-564-5325. Federally-recognized Tribal governments are not required to comply with this procedure. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Requests for general information may be made to EPA Headquarters or to the appropriate EPA regional pollution prevention program office listed in Appendix IV of this Catalog.

Under the P2 grant program, proposals and applications must be submitted to the appropriate EPA regional pollution prevention program office in order to be considered for an award.

Under the PPIN grant program, proposals and final applications must be submitted to EPA Headquarters in order to be considered for an award.

Applications must meet the requirements of the grant regulations and will be

reviewed to determine the relevancy of the proposed project(s).

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 120 to 150 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The statutory formula for P2 and PPIN grants is authorized by the Pollution Prevention Act of 1990. Organizations receiving grant funds through the P2 and PPIN grant programs are required to match federal funds by at least 50 percent. The federal government will provide half of the total allowable cost of the project, and the state will provide the other half. Thus, a federal grant of \$100,000 would support a total allowable project cost of \$200,000, with the state providing the remaining half of \$100,000. State contributions may include: dollars, in kind goods and services, and/or third party contributions. In a detailed budget, the use of the matching funds must be documented. The match requirement may be applied at the time of award or at specified intervals during the project period. The grant applicant must document in the itemized budget plan the type of match to be applied and how it will be used. The grant project officer in the Region or Headquarters will monitor the grant recipient's compliance. If the match requirement is not met or is not applied at specified intervals during the project period, federal funding will cease and the recipient will be held liable for all incurred costs.

With concern to P2 grants only: If a tribe or intertribal consortium is selected for an award, and the tribe or intertribal consortium will include the funds from a performance partnership grant (PPG) awarded under 40 CFR Part 35, Subpart B. The required tribal match for the pollution prevention portion of the PPG will be reduced to 5% of the allowable pollution prevention project cost for the first two years of the PPG. After the first two years in which the tribe or intertribal consortium receives the PPG, the Regional Administrator must determine through objective assessment whether the Tribe or the members of the intertribal consortium meet socioeconomic indicators that demonstrate the ability of the tribe or intertribal consortium to provide a cost share greater than five percent.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are awarded for a project period not to exceed 3 years. Funds are released by a letter of credit. See the following for information on how assistance is awarded/released: Financial assistance under the P2 and PPIN grant programs is provided in the form of a grant or a cooperative agreement issued as a letter of credit by the federal government to the eligible grantee.

**Reports:**

No program reports are required. The P2 and PPIN grant programs require grantees to submit budget information to the grant project officer. The information should be included in the grantees' semi-annual progress report.

Organizations that are awarded grants will be required to submit semi-annual progress reports during the life of the project to the grant project officer. The report should summarize funds expended, tasks accomplished, and results achieved to date. A final technical report is also required at the end of the grant/cooperative agreement. The final technical report should explain the prospect for continuation, further development of the pollution prevention effort, and offer a project evaluation. The P2 and PPIN grant programs require the grantee to submit semi-annual progress reports to the grant project officer. The report should explain the work executed under the project(s), whether or not the project's milestones were achieved, and the staff and budget plan for any remaining work. Expenditure reports are required at the end of the grant/cooperative agreement. The grantee should submit this information to the grant project officer when submitting their final technical report. If the grantee proposes work that involves gathering, measuring, or tracking environmental data the grantee is required to report its environmental performance to EPA. The information should be provided in the grantees' semi-annual progress report and final technical report. The reports should be submitted to the grant project officer.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

#### **Records:**

Financial records, including all documents to support entries on accounting records to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

#### **Account Identification:**

68-0103-0-1-304.

#### **Obligations:**

(Project Grants) FY 10 \$3,248,981; FY 11 est \$4,930,000; and FY 12 est \$5,000,000

#### **Range and Average of Financial Assistance:**

Range in FY 2010: \$25,500 - \$150,000; Average in FY 2010: \$73,840.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, EPA awarded 44 P2 Grants totaling \$3,248,981. P2 Grants are made available to state institutions and federally-recognized tribes to develop projects to provide pollution prevention technical assistance. In FY 2010, EPA awarded 8 PPIN Grants totaling \$819,541. PPIN Grants are issued to promote P2 information sharing and training among state and local technical assistance programs as well as facility-based P2 information users. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 29, 30, 31, 32; and "EPA Assistance Administration Manual," available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

#### **Regional or Local Office:**

See Regional Agency Offices. U.S. EPA Region 1 (CT, ME, MA, NH, RI, VT), Mail Code: OESO4-1,

5 Post Office Square, Suite 100, Boston, MA 02109-3912,

Contact: Lee Fiske, phone: (617) 918-1847; fax: (617) 918-1810; email:

fiske.lee@epa.gov.

U.S. EPA Region 2 (NJ, NY, PR, U.S. Virgin Islands), Mail Code: SPMMB, 290 Broadway 25th Floor, New York, NY 10007-1866, Contact: Alex Peck, phone: (212) 637-3758; fax: (212) 637-3771; email: peck.alex@epa.gov.

U.S. EPA Region 3 (DE, MD, PA, VA, WV, D.C.), Mail Code: 3E100, 1650 Arch Street, Philadelphia, PA 19103-2029, Contact: Mindee Osno, phone: (215) 814-2074; fax: (215) 814-3274; email: osno.mindee@epa.gov.

U.S. EPA Region 4 (AL, FL, GA, KY, MS, NC, SC, TN), Atlanta Federal Center, 61 Forsyth Street S.W., Atlanta, GA 30303, Contact: Pamela Swingle, phone: (404) 562-8482; fax: (404) 562-9066; email: swingle.pamela@epa.gov.

U.S. EPA Region 5 (IL, IN, MI, MN, OH, WI), Mail Code: DW-8J, 77 West Jackson Blvd. Chicago, IL 60604-3590; Contact: Donna Twickler, phone: (312) 886-6184; fax: (312) 353-4788; email: twickler.donna@epa.gov.

U.S. EPA Region 6 (AR, LA, NM, OK, TX), Mail Code: 6EN-XP, 1445 Ross Ave. Suite 1200, Dallas, TX 75202, David Bond, phone: (214) 665-6431; fax: (214) 665-7446; email: bond.david@epa.gov.

U.S. EPA Region 7 (IA, KS, MO, NE), Mail Code: ARTD/TSP, 901 N. 5th Street, Kansas City, KS 66101, Contact: Marcus Rivas, phone: (913) 551-7669; fax: (913) 551-7065; email: rivas.marcus@epa.gov.

U.S. EPA Region 8 (CO, MT, ND, SD, UT, WY), Mail Code: 8P-P3T, 999 18th Street, Suite 300, Denver, CO 80202-2466, Contact: Linda Walters, phone: (303) 312-6385; fax: (303) 312-6044; email: walters.linda@epa.gov.

U.S. EPA Region 9 (AZ, CA, HI, NV, and Pacific Islands and Tribal Nations subject to U.S. law), Mail Code: WST-7, 75 Hawthorne Street, San Francisco, CA 94105, Contact: Jessica Counts-Arnold, phone: 415-972-3288; fax: (415) 947-3530; email: counts-arnold.jessica@epa.gov.

U.S. EPA Region 10 (AK, ID, OR, WA), Mail Code: AWT-128, 1200 Sixth Avenue, Suite 900, Contact: Carolyn Gangmark, phone: (206) 553-4072; fax: (206) 553-8338; email: gangmark.carolyn@epa.gov.

#### **Headquarters Office:**

Michele Amhaz, Office of Pollution Prevention and Toxics Pollution Prevention Division, Environmental Protection Agency, 1200 Pennsylvania, Ave., N.W., (MC 7409-M), Washington, District of Columbia 20460 Email: amhaz.michele@epa.gov Phone: (202) 564 8857.

#### **Website Address:**

<http://www.epa.gov/p2/pubs/grants>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The following summaries provide examples of P2 grants funded in FY 2010:

EPA Grant: \$80,000

Recipient will work to: reduce pollution and greenhouse gas emissions from hospitals through the Connecticut Hospital Environmental Roundtable; reduce pesticide and fertilizer use under the Organic Land Care Project; publish the P2 View quarterly newsletter; encourage environmental and energy conservation and protection through a green hotels project; encourage green government practices and be a model for other government agencies through its Greening Government Leadership Project; and report metrics on these initiatives. Results from these projects are aimed at encouraging source reduction and other P2 technologies across air, water, and land.

EPA grant: \$150,000

Recipient will partner with the Zero Waste Network to provide direct, phone and on-line P2 technical assistance. The assistance will include training on

basic P2 techniques, continue environmental management system training, and will promote lean and green business practices. In addition, the grant recipient will begin to focus on E3 (Economy, Energy and Environment) initiatives and look to create new opportunities in this area.

EPA grant \$71,355

The recipient will support an intern program to leverage the support and expertise of partners across Hawaii to develop a future workforce and expand the Hawaii Green Business Program. Emphasis will be placed on hotels and the Green Government Challenge, which focuses on waste reduction, P2 and resource conservation work.

EPA grant: \$92,000

The recipient will establish a statewide agricultural P2 Outreach Partnership consisting of agricultural commodity groups and organizations; provide environmental management system self-assessments and offer education and training to Montana agricultural producers and processors; document environmental impacts of adopting and applying agricultural pollution practices; and support the EcoStar P2 Recognition Program to recognize the integration and implementation of P2 in Montana agricultural practices. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description are described in the competitive announcements of the P2 and PPIN grant programs.

#### **66.709 MULTI-MEDIA CAPACITY BUILDING GRANTS FOR STATES AND TRIBES**

Sector Program

#### **FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Air Act, Section 103; Toxic Substances Control Act, Section 10; Indian Environmental General Assistance Program Act; Safe Drinking Water Act, Section 1442; Solid Waste Disposal Act, Section 8001; Clean Water Act, Section 104; Marine Protection, Research and Sanctuaries Act, Section 203; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20.

#### **OBJECTIVES:**

The general objectives of this program are to build and improve the capacity of States, multijurisdictional State organizations and federally recognized tribes by providing assistance agreements to foster environmental enforcement and compliance assurance activities and to improve compliance with environmental laws. Such capacity building efforts may include economic, social science, statistical research, development, studies, surveys, demonstrations, investigations, public education, training and fellowships to the extent authorized under the Acts listed above. These funds cannot be used for implementation of compliance monitoring and enforcement programs.

Funding Priority - Fiscal Year 2011: The Multi-Media Sector Grant was eliminated by Congress in the FY2010 Appropriations Bill. The Office of Compliance issued a Request for Proposals (RFP) on September 30, 2010, entitled, "Multi-Media State and Tribal Assistance Grants (STAG) FY2010 Solicitation.", and the closing date was November 16, 2010. The Office of Compliance will use available funds from prior year appropriations to award project proposals that are approved for funding. The general purpose is to support state and tribal efforts to obtain technical assistance to ensure and enhance the continue flow of NPDES data from states and tribes to ICIS. The funding will support: 1) clean-up and migration of data from legacy PCS to ICIS-NPDES; 2) clean-up of migrated data within ICIS-NPDES; 3) feasibility studies and/or requirements analyses for what is necessary to fully populate required data in ICIS-NPDES; 4) pilot studies or prototypes of state and tribal processes for data collection and entering of required data into ICIS-NPDES, especially for new NPDES program areas such as CAFOs; and/or 5) feasibility

studies and/or requirements analyses for state and tribal adoption of the NetDMR and/or other electronic reporting tools.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

The Office of Enforcement and Compliance Assurance identifies special focus areas each funding cycle (annually). Work under grants and agreements must address those focus areas. Previous years have included calls for proposals for innovative enforcement and compliance assurance projects including training, performance measurement, data quality, and public access to information.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

State agencies, U.S. territories, the District of Columbia, federally recognized Indian Tribes and Intertribal Consortia, local governments, and multi-jurisdictional State organizations and associations of environmental regulatory professionals, with enforcement and compliance assurance responsibilities or responsibilities that support enforcement and compliance assurance including but not limited to data management or research. In addition, public universities and colleges with expertise in compliance assurance and enforcement issues, including compliance assistance and training to tribal environmental professionals. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State agencies, U.S. territories, the District of Columbia, federally recognized tribes, and local governments.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

The Office of Enforcement and Compliance Assurance typically requests proposals and partial grant applications (424 and 424A) from applicants detailing the substantive information asked for in the solicitation. Initial decisions are made based on headquarters and regional review of the proposals. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal Agency and required by the OMB Circular No. A-102 must be used for this program. Requests for application forms and completed applications should be submitted to EPA. (See Appendix IV of the Catalog). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program

evaluation to determine merit and relevancy of the project. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to partially fund proposals/applications by funding discrete activities, portions, or phases of proposed projects. If EPA decides to partially fund a proposal/application, it will do so in a manner that does not prejudice any applicants or affect the basis upon which the proposal/application, or portion thereof, was evaluated and selected for award, and that maintains the integrity of the competition and selection process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 90 days from the date of submission of the final proposal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is normally provided in one lump sum to the applicant for projects spanning up to 3 years. It is recommended that the money be spent within 5 years of receipt. See the following for information on how assistance is awarded/released: Other.

**Reports:**

Semi-annual reports must be submitted (in pdf) to the Project Officer for the duration of the project period. Final reports (in pdf) must be submitted upon completion of the project. Final reports must contain interim outcomes and/or final outcomes achieved as a result of the funding. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$200,300; FY 11 est \$1,720,601; and FY 12 est \$0

**Range and Average of Financial Assistance:**

The range for the smallest and largest awards in the past fiscal year is \$21,600 to \$200,000. The average amount of financial assistance over the past and current fiscal years is \$156,825.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010 two states were awarded Multi-Media STAG Grant funds in the amount of \$237,500. In addition, the Office of Compliance solicited proposals in September 2010 to fund the balance (\$1.8M) of prior year appropriations. Fiscal Year 2011: In response to the 2010 Multi-Media Grant Solicitation Notice, the Office of Compliance received a total of 12 project proposals totaling \$2,000,800. Ten out of 12 proposals were selected and recommended for funding in the amount of \$1,683,000. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to and Local Governments (40 CFR Part 35 Subpart A), October 12, 1982.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lorna Washington, Office of Compliance, Environmental Protection Agency, Ariel Rios Bldg., 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: washington.lorna@epa.gov Phone: (202) 564-1386.

**Website Address:**

<http://www.epa.gov/compliance/state/grants/stag/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of projects that were funded during FY 2010: 1) Feasibility study for state use of ICIS-NPDES instead of PCS. 2) Requirements analysis to capture unreported inspection and enforcement data from the state system into the data flow to PCS, and data clean-up activity to support migration of PCS to ICIS-NPDES. Fiscal Year 2011: Examples of projects that may be funded during FY2011: 1) Permit Compliance System (PCS) Modernization and Integrated Compliance Information System for the National Pollutant Discharge Elimination System (ICIS-NPDES). Available grant funding will support: (1) clean-up and migration of data from legacy PCS to ICIS-NPDES; (2) clean-up migrated data within ICIS-NPDES; (3) feasibility studies and/or requirements analyses for what is necessary to fully populate required data in ICIS-NPDES; (4) pilot studies or prototypes of state and tribal processes for data collection and entering of required data into ICIS-NPDES, especially for new NPDES program areas such as CAFOs; and/or (5) feasibility studies and/or requirements analyses for state and Tribal adoption of the National Environmental Information Exchange Network Discharge Monitoring Report (NetDMR) and/or other electronic reporting tools. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.714 REGIONAL AGRICULTURAL IPM GRANTS**

(Regional Ag Grants)

**FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20.

**OBJECTIVES:**

The Objective is to support Integrated Pest Management (IPM) implementation and approaches that reduce the risks associated with pesticide use in agriculture

in the United States. This program is competed and the grants are awarded by EPA's Regional grant offices.

Funding Priority - Fiscal Year 2011: The Regional Agricultural IPM Grants will support the implementation of Integrated Pest Management (IPM) approaches to reduce pesticide risk in agricultural settings in the United States. Projects must address the national pesticide program stewardship priorities related to pest management needs and IPM program implementation stated in the announcement.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to fund projects that further the implementation of Integrated Pest Management (IPM) in agriculture. The type of projects that will be considered include research, monitoring, demonstration, and related activities. Projects must include efforts to implement IPM practices which lead to pest and pesticide risk reduction. There are no discretionary funds available to fund projects.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Eligible applicants include the 50 States, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, any Territory or Possession of the United States, any agency or instrumentality of a State including State Universities, and all Federally recognized Native American Tribes. Local governments, private universities, private nonprofit entities, private businesses, and individuals are not eligible. The organizations excluded from applying directly are encouraged to work with eligible applicants in developing proposals that include them as participants in the projects.

**Beneficiary Eligibility:**

Any State, U.S. Territory/Possession, Native American Organization, or other entities working in conjunction with these eligible applicants.

**Credentials/Documentation:**

Application should present a well thought out work plan with established infrastructure to execute the work plan. Key officials should have and document appropriate work experience or education to effectively carry out the proposed work plan or research. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Grants are awarded on the basis of merit. The call for proposals is announced in Grants.gov and on the EPA's Office of Pesticide Programs' website and by other established mechanisms early in the fiscal year. The proposal format is specified in the call. Proposals not using the published format will not be considered. National criteria are established in the call. Once the grant process is announced nationally, interested applicants are urged to contact the appropriate EPA Regional Office for detailed instructions. Proposals are submitted to an EPA Regional Office. All proposals received are rated using the published criteria and compete for funding against all acceptable proposals received. Consultation or assistance in filling out a project proposal is available from any of the EPA Regional Offices either by phone, mail, fax or electronic mail. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Successful applicants will be notified and invited to complete and sign a Standard Form 424, (an application form) which will be supplied upon notification. Questions about this form will be answered by the Regional representative who contacts the applicant. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a project period not to exceed 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Organizations that are awarded grant/cooperative agreement funds will be required to submit progress reports, as frequently as quarterly or at least annually, during the life of the project, to and as directed by the EPA Project Officer. Each report will summarize funds expended, tasks accomplished, and results achieved to date. A summary final report will also be required at the end of the project period. This final report should include a discussion of the prospects of continuation, further development of the effort, project evaluation and future direction. Grantees are required to submit program reports to their regional Project Officer. Grantees are required to submit financial reports to their regional Project Officer. Grantees are required to submit progress reports to their regional Project Officer. Grantees are required to submit expenditure reports. Grantees are required to perform performance monitoring as part of their requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting

records to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-2-1-304.

**Obligations:**

(Project Grants) FY 10 \$475,360; FY 11 est \$475,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

\$20,000 to \$50,500. Average: \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, ten projects were awarded with \$475,360 in funding. These projects supported Integrated Pest Management (IPM) efforts leading to pesticide risk reduction in agricultural and non-agricultural settings. Selected agricultural projects involved reducing pesticide use in greenhouse ornamentals, implementing IPM tools for cranberries, and promoting pecan IPM. Community-focused projects were awarded to improve IPM implementation in Oregon Schools, promote IPM programs in Karen Refugee Community, and improving urban IPM education in Montana. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 29, 30, 31, 32 and "EPA Assistance Administration Manual," available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No.NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. The applicant may contact the appropriate EPA Regional PESP Coordinator to obtain clarification and guidance. EPA Regional PESP Coordinators are: Region I (Connecticut, Massachusetts, Maine, New Hampshire, Rhode Island, Vermont), Andrea Szylvian, 1 Congress St Ste 1100 (SEP), Boston, MA 02114-2023. Telephone: (617) 918-1198, szylvian.andrea@epa.gov. Region II (New York, New Jersey, Puerto Rico, Virgin Islands), Audrey Moore, 2890 Woodbridge Ave (MS-500), Edison, NJ 08837-3679. Telephone: (732) 906-6809, moore.audrey@epa.gov. Region III (Delaware, Maryland, Pennsylvania, Virginia, West Virginia, District of Columbia), John Butler, 1650 Arch St (3WC32), Philadelphia, PA 19103-2029. Telephone: (215) 814-2127, butler.john@epa.gov. Region IV (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee), Patricia Livingston, 61 Forsyth St SW, Atlanta, GA 30303-8960. Telephone: (404) 562-9171, livingston.patricia@epa.gov. Region V (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin), Heather Anhalt, 77 W Jackson Blvd (DT-8J), Chicago, IL 60604-3507. Telephone: (312) 886-3572, anhalt.heather@epa.gov. Region VI (Arkansas, Louisiana, New Mexico, Oklahoma, Texas), Gregory Weiler, 1445 Ross Ave Ste 1200 (6PD-P), Dallas, TX 75202-2733. Telephone: (214) 665-7564, weiler.gregory@epa.gov. Region VII (Iowa, Kansas, Missouri, Nebraska), Heather Duncan, 901 N Fifth St. (WWPDTOPE), Kansas City, KS 66101. Telephone: (913) 551-7640, duncan.heather@epa.gov. Region VIII (Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming), Barbara Barron, 1595 Wyncoop ST.(8P-P3T), Denver, CO 80202-2466. Telephone: (303) 312-6617, barron.barbara@epa.gov. Region IX (Arizona, California, Hawaii, Nevada, American Samoa, Guam), Mary Grisier, 75 Hawthorne St (CED-1), San Francisco, CA 94105, Telephone: (415) 947-4213, grisier.mary@epa.gov. Region X (Alaska, Idaho, Oregon, Washington), Sandra Halstead, WSU-IAREC, 24106 N. Bunn Road, Prosser, WA 99350. Telephone: (509) 786-9225, halstead.sandra@epa.gov.

**Headquarters Office:**

Frank Ellis, Biopesticides and Pollution Prevention Division (7511P), Office of Pesticide Programs, Environmental Protection Agency, 1200 Pennsylvania Ave. NW, Washington, District of Columbia 20460 Email: ellis.frank@epa.gov Phone: (703) 308-8107.

**Website Address:**

<http://www.epa.gov/pestwise/grants>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) Integrated Pest Management (IPM) education programs; 2) research on safer methods for controlling agricultural pests including non-chemical control methods; 3) community IPM projects including bed bug, cockroach, and ant projects; and 4) implementation of IPM in schools. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.715 LEAD EDUCATIONAL OUTREACH AND BASELINE ASSESSMENT OF TRIBAL CHILDREN'S EXPOSURE AND RISKS ASSOCIATED WITH LEAD**

(Tribal Lead Grants)

**FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Title 10.

**OBJECTIVES:**

The Tribal Lead Grant Program for outreach and education is supported by EPA's goal to reduce childhood lead poisoning. The grant projects should support this goal by providing lead poisoning prevention education and blood-lead screening of Tribal children. Funding Priority - Fiscal Year 2011: Program was not offered in FY 2011. Funding Priority - Fiscal Year 2012: Program will not be offered in FY 2012.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be available for activities which relate to blood-lead screening of tribal children and outreach efforts to educate Indian families about the dangers of exposure to lead-based paint hazards among children.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Eligible recipients are Federally recognized Indian Tribes or Tribal consortiums (an association or partnership with one or more Federally recognized Indian Tribes) only.

**Beneficiary Eligibility:**

Federally recognized Indian Tribes.

**Credentials/Documentation:**

Tribal consortiums must submit letters of interest and support from Tribal Chair that is being represented in the proposal. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required

for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Such applications must also include standard forms as listed in the grants.gov instructions. Proposals may also be submitted to EPA via regular or overnight mail. Proposals must address all elements in the evaluation criteria listed in the Request for Proposals. Proposals submitted by mail are not required to include any standard forms as in the grants.gov submittals.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for proposal submittal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are expected to be completed within 2 years from award of grant.

Assistance is awarded in lump sum amounts. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly reports summarizing technical progress, planned activities for next quarter and summary of expenditures are required within 30 days of each quarter. No cash reports are required. Quarterly progress reports and a detailed final report will be required. Quarterly reports summarizing technical progress, planned activities for next quarter and summary of expenditures are required within 30 days of each quarter. Applicants are further required to make a commitment to share all data collected with EPA for assessment on a regional level. The Final report shall be completed within 90 calendar days of the completion of the project period. The final report should encompass a complete overview/summary of all of the activities conducted within the grant project period; including any and all data results as well as a justification for impediments. Quarterly reports summarizing expenditures are required within 30 days of each quarter. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United

States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to cooperative agreements, must be kept available to personnel authorized to examine EPA accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report, or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

The overall range for outreach awards are between \$49,000 and \$200,000 when funds are available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This program was not funded in FY10. Fiscal Year 2011:

This program was not funded in FY11. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR part 31); Environmental Protection Agency. "EPA Assistance Administration Manual," available from the National Technical Information Service (NTIS), Springfield, VA 22161 on a subscription basis; Order No. NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Darlene Watford, National Program Chemicals Division, Office of Pollution Prevention and Toxics,(7404T), Environmental Protection Agency, Ariel Rios Bldg., 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: [watford.darlene@epa.gov](mailto:watford.darlene@epa.gov) Phone: (202) 566-0516.

**Website Address:**

<http://www.epa.gov/lead/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: This program was not funded in FY10. Fiscal Year 2011:

This program was not funded in FY11. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.716 RESEARCH, DEVELOPMENT, MONITORING, PUBLIC EDUCATION, TRAINING, DEMONSTRATIONS, AND STUDIES FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Section 10, Public Law 106-74; National Environmental Policy Act, Section 102(2)(F); Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), Section 20; Toxic Substances Control Act, Section 10, Public Law 105-174.

**OBJECTIVES:**

Grants are awarded to support Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies assistance relating to the protection of public health and the environment from pesticides and potential

risk from toxic substances.

Funding Priority - Fiscal Year 2011: OPP: projects for safer use of pesticides, including worker protection, certification and training of pesticide applicators, protection of endangered species, tribal pesticide programs, integrated pest management; environmental stewardship, Pesticide Registration Renewal Act (PRIA 2) Partnership grants; Pesticide Regulatory Education Program (PREP), and Integrated Pest Management in Schools Regional grants. Types of activities: develop and implement programs to reduce pesticide risks; develop pesticide drift mitigation education program; analysis and development of pilot pesticide safety programs and materials; Water Quality and Pesticide Management Planning for Federal Recognized Tribes; Tribal Pesticide Program Council (TPPC); national Train-the-Trainer program to educate farmworkers on how to reduce risks from pesticides; develop and distribute innovative materials for integrating the National Pesticide Competency for Medical & Nursing Education into curricular of medical and nursing programs; continue the National Pesticide Information Center (NPIC); and continue the National Pesticide Medical Monitoring Program (NPMMP) - provide clinical toxicology information and laboratory service; PREP education program for states and tribes, Environmental Justice Bed Bug Project; and implement verifiable integrated pest management in schools programs.

Office of Pollution Prevention and Toxics: FY2011: Developing Product Inventories and a Pollutant Release and Transfer Register for Mercury." This project will support the implementation and follow-up action of global instruments to reduce risks to human health and the environment presented by chemicals. Provide Technical Support for Mercury Reduction in Hospitals in Other Countries. Strengthening Regional and National Capacities in Central America: PRTR activities completed as of September 2010. Mercury activities completed as of September 2010. Strengthening Regional and National Capacities in Africa by continuing to provide technical assistance to participating hospitals as they implement new procedures to reduce use of mercury and improve safe handling of mercury-containing equipment and wastes. Will conduct training workshops, as needed, on alternatives to mercury-containing equipment and materials, and will continue development of a workbook on the entire mercury reduction process for use by other hospitals.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Assistance under this program is generally available to States, U.S. territories or possession, federally recognized Indian tribal governments and Native American Organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, local governments, and individuals and international entities. For profit organizations are not eligible. Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. EPA may also limit eligibility for certain competitive funding opportunities under this CFDA to a subset of eligible applicants and/or to tribes, Alaska native villages, and intertribal consortia located in the Region where a project is going to be performed. For Tribal funding opportunities to be funded with the State and Tribal Grant (STAG) appropriation, eligibility will be limited to States, Tribes,

Alaska native villages, and intertribal consortia to support the Office of Prevention, Pesticides and Toxic Substances' Tribal Program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Also, for certain competitive opportunities offices may limit eligibility to tribes in a region.

#### **Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, federally recognized Indian tribal governments and Native American Organizations, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, general public, and other Non-Governmental Organizations.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87, 2 CFR Part 225 for State and local governments and Indian Tribes, OMB Circular No. A-21, 2 CFR Part 220 for educational institutions, and OMB Circular No. A-122, 2 CFR Part 230 for nonprofit institutions. Applicants may be requested to demonstrate that they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. Non-profits required to demonstrate non-profit status. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting research, development, monitoring, public education, training, demonstrations, and studies based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects. When making competitive awards, EPA will specify the nature of the pre-application assistance, if any, that will be available to applicants in the Requests for Initial Proposals or Requests for Applications. For this reason, we recommend that potential applicants discuss proposed projects with or submit pre-applications to staff in the appropriate EPA technical program offices. See Appendix IV of the Catalog. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from and submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, 1200 Pennsylvania Avenue, N. W., Washington, DC 20460 or the appropriate EPA Regional Office identified in Appendix IV of the Catalog. Detailed information and assistance, including and application kit, required forms, and a check list may also be found at: <http://www.epa.gov/ogd/AppKit/>. For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For



competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for research, development, monitoring, public education, training, demonstrations and studies. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds, and the Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Funds are released by a letter of credit. See the following for information on how assistance is awarded/released: OPP and OPPT: Assistance agreements will be fully funded by a lump sum or incrementally funded yearly.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and Part 31. Under OPP, grantees are required to submit program reports. Under OPPT, grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31. Under OPP, grantees are required to submit financial reports. Under OPPTS, grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31. Under OPP, grantee's are required to submit progress reports. Under OPPTS, grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31. Under OPP, grantee's are required to submit expenditure reports. Under OPPTS, grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31. Under OPP, grantee's are required to perform performance monitoring as part of their requirements. Under OPPTS, grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Parts 30 and 31 are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-2-1-304; 68-0107-2-1-304; 68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$3,426,000; FY 11 est \$4,752,500; and FY 12 est \$4,313,500 - OPP - FY 10 \$2,500,000; FY 11 est. \$3,563,500; and FY 12 \$3,563,500

The Office of Pollution Prevention and Toxics (OPPT) FY 10 \$926,000; FY 11 est. \$1,189,000; FY2012 est. 750,000.

**Range and Average of Financial Assistance:**

\$1,000 to \$1,500,000. Average: \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Office of Pesticide Programs (OPP) made 14 awards (2 for PRIA2; 5 for bedbugs; 7 for others) in 2010.

The Office of Pollution Prevention and Toxics (OPPT)- FY 2010 accomplishments: : (1) In Mexico, the pilot hospital project lead to a decision by the Mexico City government to phase out mercury devices from the city's health system. (2) In Chile, the pilot hospital completed the replacement of mercury thermometers and sphygmomanometers, and convened a conference on environmental health in the community. (3) In Brazil, a seminar on mercury elimination was convened in Rio de Janeiro, attended by about 80 health care professionals. (4) In Costa Rica, a Central American Workshop for Mercury Elimination in Hospital Environments was held. Also, developed of the draft Mercury Reduction Workbook for Hospitals, both in English and Spanish, and continue field work to advance the control of mercury in the five partnering hospitals, including training and assistance with development of hospital mercury reduction policies, inventories of mercury sources, and procurement procedures for purchasing non-mercury alternative devices. Testified before various legislatures providing information on the RRP regulation, and provided comments on several pieces of draft legislation. Negotiated project agreement with government of Uruguay for project in that country. Developed of a PRTR key features document. Develop a Mercury Management Situation Analysis and a Mercury Emissions Inventory, UNITAR agreed with Nicaragua to develop a new workplan. Formed cooperative agreement with an organization to conduct research, studies and demonstration projects and provide training to tribes, Native Alaskan Villages, and intertribal organizations. Fiscal Year 2011: FY 2011 anticipates that 15 awards (2 for PRIA2; 10 for IPM in Schools; 3 for others) will be granted to conduct projects to protect human health and the environment. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research, development, monitoring, public education, training, demonstrations and studies grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for non-profit institutions.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV

of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Sharon Clark, USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 7401M  
, Washington, District of Columbia 20460 Email: clark.sharon@epa.gov Phone:  
(202) 564- 3810.

**Website Address:**

<http://www.epa.gov/oppts.html>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development; 66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Office of Pesticide Programs (OPP) funded the following projects: developed and implemented programs to reduce pesticide risks; developed an education/outreach program targeted at aerial applicators to reduce pesticide drift incidents; developed pesticide safety programs and materials; provide a toll-free number that serves the U.S., Puerto Rico, and the Virgin Islands seeking impartial information about pesticides; Provide clinical toxicology information and laboratory services regarding pesticides; Pesticide Regulatory Education Program (PREP) education program for States and Tribes; Pesticide Registration Renewal Act (PRIA 2) Partnership Grants; develop a national program providing training to healthcare providers in the practice setting on the recognition and management of pesticide related illness; develop and distribute innovative materials as outlined in the National Pesticide Competency Guidelines for Medical and Nursing Education into the curricula of medical, nursing, physician assistant schools, and advanced nurse practitioner and residency programs; and support the Tribal Pesticide Program Council (TPPC).

Office of Pollution Prevention and Toxics (OPPT) - Funded projects.

Provided technical support for Mercury Reduction in Hospitals in Other Countries. Provided support for training, awareness raising, and capacity-building programs in Latin America which encourage environmentally sound management of mercury and other toxic waste. Provided support to States so that they can develop authorized programs to implement the Renovation, Repair and Painting (RRP) regulation. Assisted four pilot hospitals (two each in Mexico and Ecuador) in reducing use of mercury-containing products and improving management of mercury-containing wastes. Developed technical skills and capacity in the three countries so that this knowledge can be successful replicated in additional Latin American hospitals; and organized a Central American Workshop on Mercury Elimination in Hospital Environments, for information-sharing and training purposes. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.717 SOURCE REDUCTION ASSISTANCE**

**FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Section 10; Solid Waste Disposal Act, Section 8001(a); Clean Water Act, Section 104(b)(3); Safe Drinking Water Act, Section 1442(a)(1)&(c); Federal Insecticide, Fungicide, and Rodenticide Act, Section

20; Clean Air Act, Section 103(b).

**OBJECTIVES:**

Under this CFDA announcement, EPA administers two grant programs - the Source Reduction Assistance (SRA) grant program and the Regional Pollution Prevention Information Network Centers (RP2INC) grant program. The goal of the SRA program is to provide grants to support pollution prevention/source reduction and/or resource conservation activities. The goal of the RP2INC program is fund an organization which will coordinate regional pollution prevention (P2) information services and training provided by the regional centers. The coordinator provides leadership in: national P2 initiatives, collaboration among the regional centers, evaluation of P2 information products, and marketing the centers' services nationally.

For purposes of the grant programs, pollution prevention is defined as any practice which reduces or eliminates the creation of pollutants through: increased efficiency in the use of raw materials, energy, water, or other resources, or protection of natural resources by conservation activities. EPA is interested in funding projects which assist in reducing hazardous substances, pollutants, or contaminants entering waste streams or otherwise released into the environment (including fugitive emissions) prior to recycling, treatment, or disposal. Grant activities may involve, but are not limited to the following: equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of raw materials, improvements in housekeeping, maintenance, training, inventory control, etc.

Funding Priority - Fiscal Year 2011: To support source reduction, pollution prevention and resource conservation activities that comply with the statutory authorities of the Clean Air Act, Section 103(b), as amended; Clean Water Act, Section 104(b)(3), as amended; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Safe Drinking Water Act, Section 1442 (a)(1) and (c), as amended; Solid Waste Disposal Act, Section 8001(a), as amended; and the Toxic Substances Control Act, Section 10, as amended.

Projects must consist of activities within the statutory terms of these EPA grant authorities. The statutes authorize grants for the following activities: "research, investigations, experiments, training, demonstrations of new or innovative techniques, surveys and studies." These activities relate generally to the gathering or transferring of information or advancing awareness. Applicants should emphasize this "learning" concept in their proposals. All activities in the proposal must be eligible under one or more of the statutory authorities.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

EPA is interested in supporting pollution prevention, source reduction and resource conservation projects that will provide an overall benefit to the environment by preventing pollutants at the source. Source reduction projects can include but are not limited to: 1) improving facility and institutional operations that reduce pollutant use and exposure, 2) reformulating and procuring products to reduce toxic constituents, 3) providing direct technical assistance to businesses and other organizations, 4) encouraging green product design and manufacturing, 5) conducting outreach, 6) collecting and analyzing data, and 7) integrating pollution prevention concepts into state, regional and tribal environmental multimedia programs. Grant activities must be consistent with the grant guidelines of the statutory authorities listed for this program. The statutory authorities are listed in this CFDA announcement and in the applicable grant solicitations. The statutes authorize EPA to award assistance agreements to support the following activities: "research, investigations, experiments, training, demonstrations of new or innovative techniques, surveys and studies." These activities relate generally to the gathering or transferring of information or advancing the state of knowledge. Grant proposals should emphasize this "learning" concept, as opposed to "fixing" an environmental problem via a well-established method. For example, a proposal to install a more energy efficient heating system in the applicant's facility in order to conserve energy, would not, in itself fall within research, studies, demonstrations, etc. All activities in the applicant's proposal must be eligible under one or more of the statutory authorities listed.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Assistance under this program is available to the fifty States, the District of Columbia, the United States Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state controlled institutions of higher education, Federally-recognized tribal governments, non-profits other than institutions of higher education, private institutions of higher education, and community-based grassroots organizations. Nonprofit organizations must be able to demonstrate that they are eligible through documentation of nonprofit status provided the U.S. Internal Revenue Service or their state of incorporation. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

**Beneficiary Eligibility:**

Any State, Federally-recognized Tribal government, Intertribal Consortia, college/university, non-profit organization, local government or independent school district.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A 87 for State and local governments and federally recognized tribal governments, OMB Circular No. A 21 for educational institutions, OMB Circular No. A 122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Standard grant forms are required, as provided by the EPA and must be used for both grant programs. Forms may be obtained via the Internet by visiting: <http://www.epa.gov/ogd/AppKit/application.htm>.

Please consult the SRA and RPPINC program notices, posted to EPA's Pollution Prevention Grant web site at <http://www.epa.gov/p2/pubs/grants> for more information. If the applicant does not know who their Single Point of Contact is, they should contact the appropriate EPA Regional Pollution Prevention Program office listed in the Information Contacts section, or call the EPA Headquarters Grant Policy Information and Training Branch at 202-564-5325. Federally-recognized Tribal governments are not required to comply with this procedure. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This CFDA program description is designed to benefit national and regional source reduction, pollution prevention, and resource conservation activities. Grant proposals must meet the requirements outlined in

the national and regional Source Reduction Assistance solicitation notices. EPA will conduct the grant competition by posting a Request for Proposals (RFP) on-line. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Source Reduction Assistance grants and cooperative agreements are subject to the availability of funds. EPA will issue awards contingent upon the criteria specified in this CFDA program description and within the corresponding solicitations. EPA reserves the right to reject any or all proposals and issue no awards. Procedures for awards are outlined in the General Grant Regulation 40 CFR Part 30.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA requires a minimum 5% match of the total allowable project cost. For example, the Federal government will provide 95% of the total allowable cost of the project and the recipient will provide the remaining 5%. The match may be issued in the form of cash and/or in-kind contributions, e.g., donated services, charges for real property and equipment or the value of goods and services directly benefiting the EPA funded project. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are awarded for a project period not to exceed 2 years. See the following for information on how assistance is awarded/released: Grant and cooperative agreement funds issued under the SRA and RPPINC grant programs are released by letter of credit to the eligible grant recipient.

**Reports:**

No program reports are required. Budget information should be submitted to the grant project officer. This information should be included in the semi-annual progress report and the final technical report. Uniform reporting requirements for institutions of higher education and other non-profit organizations. The recipient and the Grant Project Officer will develop a process for jointly evaluating and reporting progress and accomplishments under the work plan. The work plans and reporting must be consistent with the requirements of 40 CFR part 30, subpart C. A description of the evaluation process and a reporting schedule must be included in the work plan (see sections 30.51 through 30.53). The reporting schedule requires the recipient to submit, at a minimum, annual progress reports, during the life of the project, to the Grant Project Officer. Recipients should provide discussion of accomplishments as measured against work plan commitments; a discussion of cumulative effectiveness of the work performed under all work plan components; a discussion of existing and potential problem areas; and suggestions for improvement, including where feasible, schedules for making improvements. If evaluation reveals the recipient has not made sufficient progress under the work plan, the Grant Project Officer and the recipient will negotiate a resolution. The recipient may request a review of the Grant Project Officer's decision under the dispute resolution process under (40 CFR 30.63).

Uniform reporting requirement for state, local and tribal governments. The recipient and the Grant Project Officer will develop a process for jointly evaluating and reporting progress and accomplishments under the work plan. The work plans and reporting must be consistent with the requirements of 40 CFR 31, subpart C. A description of the evaluation process and a reporting schedule must be included in the work plan (see sections 31.40 through 30.42). The reporting schedule requires the recipient to submit, at a minimum, annual progress reports, during the life of the project, to the Grant Project Officer. Recipients should provide discussion of accomplishments as measured against work plan commitments; a discussion of cumulative effectiveness of the work performed under all work plan components; a discussion of existing and potential problem areas; and suggestions for improvement, including where feasible, schedules for making improvements. If evaluation reveals the recipient has not made sufficient progress under the work plan, the Grant Project Officer and the recipient will negotiate a resolution that addresses the issues. If issues cannot be resolved through negotiation, the Grant Project Officer may take appropriate action (see sections 31.43 through 31.44.) The recipient may request a review of the Grant Project Officer's decision under the dispute resolution process under 40 CFR, Part 31, subpart F.

Semi-annual progress reports are required. Grantees should explain the work executed to date, provide environmental performance data, if available, describe the future direction of the project and describe staff and budget plans. Expenditure information should be included in the semi-annual progress report and the final technical report. Performance monitoring is required if the grantee produces environmental data. In the semi-annual progress report and in the final technical report the grantee should explain how environmental data was gathered, measured, tracked and documented.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

#### **Records:**

Financial records, including all documents to support entries on accounting records to substantiate charges to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance agreement accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

#### **Account Identification:**

68-0108-0-1-304.

#### **Obligations:**

(Project Grants) FY 10 \$896,224; FY 11 est \$1,665,000; and FY 12 est \$1,665,000 - SRA grant program: FY 2010: \$896,224; FY 2011: estimated obligation: \$1,570,000; FY 2012 estimated obligations \$1,570,000.

RP2INC (Regional P2 Information Network Coordinator) grant program FY 2010 \$0; FY 2011 \$95,000; FY 2012 \$95,000.

#### **Range and Average of Financial Assistance:**

SRA Range in FY 2010: \$18,400 - \$110,000. Average = \$38,966.

RP2INC there were no grants awarded in FY 2010.

RP2INC awarded one grant for \$95,000 in FY 2011.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: SRA program in FY 2010 awarded 23 grants totaling \$896,224.

RP2INC program in FY 2010 awarded one grant for \$115,000. Fiscal Year 2011: RP2INC grant for \$95,000 was awarded in March 2011. Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 29, 30, 31, 32; and "EPA Assistance Administration Manual," are available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

#### **Regional or Local Office:**

See Regional Agency Offices. RPPINC grant program -

U.S. EPA HQ - Mail Code 7409M: 1200 Pennsylvania Ave, NW,

Washington, DC, 20460; Contact: Beth Anderson, phone: (202)564-8833; fax: (202)564-8901; email: anderson.beth@epa.gov

SRA grant program -

U.S. EPA Region 1 (CT, ME, MA, NH, RI, VT), Mail Code: OES04-1

5 Post Office Square, Suite 100, Boston, MA 02109-3912; Contact: Lee Fiske, phone: (617) 918-1847; fax: (617) 918-1810; email: fiske.lee@epa.gov.

U.S. EPA Region 2 (NJ, NY, PR, U.S. Virgin Islands), Mail Code: SPMMB,290 Broadway 25th Floor, New York, NY 10007-1866; Contact: Alex Peck, phone: (212) 637-3758; fax: (212) 637-3771; email: peck.alex@epa.gov.

U.S. EPA Region 3 (DE, MD, PA, VA, WV, D.C.), Mail Code: 3EA40, 1650 Arch Street, Philadelphia, PA 19103-2029; Contact: Mindee Osno, phone: (215) 814-2074; fax: (215) 814-3274; email: osno.mindee@epa.gov.

U.S. EPA Region 4 (AL, FL, GA, KY, MS, NC, SC, TN), Atlanta Federal Center, 61 Forsyth Street S.W. Atlanta, GA 30303; Contact: Pamela Swingle: phone: (404) 562-8482; fax: (404) 562-9066; email: swingle.pamela@epa.gov.

U.S. EPA Region 5 (IL, IN, MI, MN, OH, WI), Mail Code: DW-8J, 77 West Jackson Blvd. Chicago, IL 60604-3590; Contact: Donna Twickler, phone: (312) 866-6184; fax: (312) 353-4788; email: twickler.donna@epa.gov.

U.S. EPA Region 6 (AR, LA, NM, OK, TX), Mail Code: 6EN-XP, 1445 Ross Ave. Suite 1200, Dallas, TX 75202; Contact: David Bond, phone: (214) 665-6431; fax: (214) 665-7446; email: bond.david@epa.gov.

U.S. EPA Region 7 (IA, KS, MO, NE), Mail Code: ARTD/TSPP, 901 N. 5th Street, Kansas City, KS 66101; Contact: Marcus Rivas, phone: (913) 551-7669; fax:(913) 551-7065; email: rivas.marcus@epa.gov.

U.S. EPA Region 8 (CO, MT, ND, SD, UT, WY), Mail Code: 8P-P3T, 999 18th Street, Suite 300,Denver, CO 80202-2466; Contact: Linda Walters, phone: (303) 312-6385; fax: (303) 312-6044; email:walters.linda@epa.gov.

U.S. EPA Region 9 (AZ, CA, HI, NV, and Pacific Islands and Tribal Nations subject to U.S. law), Mail Code: WST-7, 75 Hawthorne Street, San Francisco, CA 94105; Contact: Jessica Counts-Arnold, phone: 415-972-3288; fax: (415) 947-3530; email: counts-arnold.jessica@epa.gov.

U.S. EPA Region 10 (AK, ID, OR, WA), Mail Code: AWT-128, 1200 Sixth Avenue, Suite 900, Seattle, WA 98101; Contact: Carolyn Gangmark, phone: (206) 553-4072; fax: (206) 553-8338; email: gangmark.carolyn@epa.gov.

#### **Headquarters Office:**

Michele Amhaz, Office of Pollution Prevention and Toxics, Pollution Prevention Division, Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., (7409-M), Washington, District of Columbia 20460 Email: amhaz.michele@epa.gov Phone: (202) 564-8857.

#### **Website Address:**

<http://www.epa.gov/p2/pubs/grants>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: For the FY 2010 SRA program:

EPA grant: \$30,000

The Division will create a green lodging program for Georgia's hospitality industry as part of the "Partnership for Sustainable Georgia," (PSG) which assists businesses reach better environmental results while aiming to lower costs. The Division will tap into a renewed interest surrounding green lodging in the State of Georgia in order to provide the lodging sector with information to learn from other businesses that have had a positive impact on the environmental performance of Georgia's hospitality industry. Activities will include: 1) outreach/program evaluation; 2) development of the PSG Green Lodging Track; 3) PSG Green Lodging Track Pilot Implementation; 4) Green Lodging Launch & Workshop/Training; and, 5) reporting. The workshops and trainings will be used as a recruitment/orientation tool to bring in new lodging partners and to provide technical learning.

EPA grant: \$61,938

Recipient will enhance an existing regional internship program to select, train and place qualified advanced college students with committed host manufacturers to undertake research, study and implementation of P2 and source reduction strategies. In addition to the two county solid waste districts, the partnership will expand to include the University of Dayton, Industrial Assessment Center to improve energy efficiency assistance.

EPA grant: \$75,463

The recipient will create multilingual (English, Spanish and Chinese) training modules and materials (videos and brochures) for custodial companies and their staff to help them employ green cleaning practices and products that reduce the impact to their health and the environment. The project will also create a green business standard for janitorial companies to be used by green business recognition programs throughout EPA Region 9 and beyond. The materials will be developed via a pilot with two custodial service companies.

For the FY 2010 RP2INC Program:

EPA grant \$115,000

The recipient will coordinate and support the work of eight regional centers collectively know as "P2Rx" or the Pollution Prevention Resource Exchange. The recipient will facilitate the centers measuring and reporting outcomes, improve efficiency of collaborative efforts and assist in marketing the P2 information and services provided by the P2Rx centers. Fiscal Year 2011: For the RP2INC program in FY 2011:

One grant for \$95,000

The recipient will support the coordination and collaboration of the regional P2 information centers. Each center specializes in specific topics and expertise that is shared nationally utilizing web-based tools such as: RSS feeds, webinars and blogs in addition to more traditional conferences and training. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.718 NATIONAL COMMUNITY-BASED LEAD OUTREACH AND TRAINING GRANT PROGRAM****FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act , Section 10, Public Law 105-174; Toxic Substances Control Act , Section 10, Public Law 106-74.

**OBJECTIVES:**

This lead outreach grant program is supported by EPA's goal to reduce childhood lead poisoning. The projects support this goal by providing lead poisoning outreach to low income communities.

Funding Priority - Fiscal Year 2011: The project will (print and broadcast) raise awareness of the dangers of lead-based paint dust, especially from renovation or repair activities, and to encourage parents and caregivers to take notice of the paint conditions in their home and connect with local and national resources to ensure their home and family is safe from this potent neurotoxin.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be available for activities which relate to outreach efforts to educate communities about the dangers of children's exposure to lead hazards.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible recipients include national organizations, local governments, community-based organizations, nonprofit organizations, faith-based organizations, community action agencies, institutions of higher learning, school groups, trainers, and environmental consultants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Local,Public Nonprofit Institution/Organization,Health Professional, Education Professional, Builder/Contractor/Developer, Homeowner, Land/Property Owner, Preschool, Low Income, Rural.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The following forms must be provided if proposal is submitted via grants.gov: Standard Form 424 (Application for Federal Assistance); Standard Form 424A (Budget Information - Non-Construction Programs). No forms are required to be provided if submitting via mail to the EPA Headquarters contact.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 90 days after the deadline for the proposal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are expected to be completed within 1 year. Funds are drawn down.

See the following for information on how assistance is awarded/released:

Funds are drawn down.

**Reports:**

No program reports are required. No cash reports are required. Recipients are required to provide EPA with written progress reports within 30 days after the end of each quarter and a final report within 90 calendar days of the completion of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to cooperative agreements, must be kept available to personnel authorized to examine EPA accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report, or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$1,601,019; FY 11 est \$350,000; and FY 12 est \$350,000

**Range and Average of Financial Assistance:**

Range Range \$100,000 to \$750,000, average \$281,019.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: We issued one award for an initiative to identify low-income communities within each county to be targeted for lead hazard awareness outreach to reach families and children who are still being lead poisoned. Fiscal Year 2011: No new awards were made in FY2011. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental

Protection Agency. "EPA Assistance Administration Manual," available from the National Technical Information Service (NTIS), Springfield, VA 22161 on a subscription basis; Order No. NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Darlene Watford, National Program Chemical Division (7404T), Office of Pollution Prevention and Toxics (OPPT), Environmental Protection Agency, 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: watford.darlene@epa.gov Phone: (202) 566-0516.

**Website Address:**

<http://www.epa.gov/lead>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FY 2010.The PSA campaign targeted the parents and caregivers of children under six years old and is designed to raise awareness of the dangers of childhood lead poisoning and ways parents and caregivers can prevent exposure and protect their families. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.801 HAZARDOUS WASTE MANAGEMENT STATE PROGRAM SUPPORT**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act, Section 3011(a)&(c), Public Law 94-580, 42 U.S.C 6901.

**OBJECTIVES:**

To assist State governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, treatment, storage and disposal of hazardous wastes.

Funding Priority - Fiscal Year 2011: Assistance to State governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, treatment, storage and disposal of hazardous waste.

Funding Priority - Fiscal Year 2012: Assistance to State governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, treatment, storage and disposal of hazardous waste.

**TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Under Section 3011, funds may be used for development and implementation of authorized State hazardous waste programs.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State agencies responsible for hazardous waste management within the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and interstate agencies established by the appropriate states and approved by the EPA Administrator under Section 1005 of the Solid Waste Disposal Act are eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to a particular subset of eligible applicants consistent with the Agency's competition policy.

**Beneficiary Eligibility:**

State agencies responsible for hazardous waste management within the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and interstate agencies established by the appropriate states and approved by the EPA Administrator under Section 1005 of the Solid Waste Disposal Act.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. State work plan is to be sent to the appropriate EPA Regional Office by the date 60 days before the beginning of the budget period (typically by August 1 of each year, if the budget period is the Federal fiscal year). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications must be submitted to the appropriate EPA Regional Grants Administration Office. The hazardous waste management staff of the appropriate EPA Regional Office (listed in the address appendix of the Catalog) is available to assist in preparation of the application. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA reviews each application. They shall be subjected to administrative evaluation to determine adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevancy of the project or program. For competitive awards, EPA will review applications, proposals or submissions in accordance with the terms, conditions, and criteria in the solicitation/announcement of the competitive funding opportunity. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For applicants under Section 3011, 60 days.

**Appeals:**

As described in 40 CFR Part 31, Subpart F. Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

For applicants under Section 3011, grants and cooperative agreements are renewed annually, provided all requirements are met.

**Formula and Matching Requirements:**

Statutory Formula: Title Solid Waste Disposal Act. This program operates under a formula. Statistical factors used for allocation include: 1) State population, as determined by the most recent Census; 2) number of hazardous waste management facilities in States, based on studies conducted by EPA,

Office of Resource Conservation and Recovery; 3) number of Large Quantity Generators (LQGs), based on studies conducted by EPA, Office of Resource Conservation and Recovery; and 4) the number of facilities requiring corrective action, based on studies conducted by EPA, Office of Solid Waste. By law, all States and trust territories are eligible for funding. The formula is based on each State's population (17 percent); (LQG) number of facilities proceeding amount of waste produced (16 percent); number of hazardous waste management facilities (52 percent); and the number of facilities requiring corrective action (15 percent).

Matching Requirements: Maximum Federal share of approved costs is 75 percent; State must provide at least 25 percent of approved costs. (Regional Administrators will determine each State allotment.).

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12 month basis (Federal or State fiscal year).

The total project period varies according to program requirements. Assistance is awarded by advance payment method. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are required on an annual basis. Cash reports are required. Interim and final progress reports are required. No expenditure reports are required. Performance monitoring is conducted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial reports, including all documents to support entries on the accounting records and to substantiate charges to each grant or cooperative agreement must be kept available to personnel authorized to examine EPA grant accounts in an institution. All records must be maintained for 3 years from the date of the submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 10 \$103,161,800; FY 11 est \$103,346,000; and FY 12 est \$103,412,000

**Range and Average of Financial Assistance:**

Most fiscal years range \$250,000 to \$8,500,000; average: \$2,100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, States continued to develop and implement programs providing cradle to grave control of hazardous wastes (under Section 3011). Fiscal Year 2011: In fiscal year 2011, States continued to develop and implement programs providing cradle to grave control of hazardous wastes (under Section 3011). Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency, 40 CFR Part 31; State and Local Assistance, EPA, 40 CFR Part 35; "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis.

**Regional or Local Office:**

See Regional Agency Offices. State agencies are encouraged to communicate with the appropriate EPA Regional Administrator listed in Appendix IV of the

Catalog.

**Headquarters Office:**

Wayne Roepe, USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 5303P  
, Washington, District of Columbia 20460 Email: roepe.wayne@epa.gov  
Phone: (703) 308-8630.

**Website Address:**

<http://www.epa.gov/epawaste/>

**RELATED PROGRAMS:**

66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: State projects to develop a hazardous waste program designed to meet the substantive and procedural requirements of an "authorized" program. (Section 3006). Specific types of activities conducted by states include 1) issuance of hazardous waste management permits, 2) oversight of corrective action at hazardous waste management facilities, 3) inspections of hazardous waste management facilities, 4) inspections of hazardous waste generators, and 5) waste minimization activities. Fiscal Year 2011: State projects to develop a hazardous waste program designed to meet the substantive and procedural requirements of an "authorized" program. (Section 3006). Specific types of activities conducted by states include 1) issuance of hazardous waste management permits, 2) oversight of corrective action at hazardous waste management facilities, 3) inspections of hazardous waste management facilities, 4) inspections of hazardous waste generators, and 5) waste minimization activities. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant's annual work program provides the basis for determining whether the applicant's hazardous waste program continues to be eligible for approval and is being implemented by the applicant (Section 3011).

**66.802 SUPERFUND STATE, POLITICAL SUBDIVISION, AND INDIAN TRIBE SITE-SPECIFIC COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Section 104(d), 42 U.S.C 9604(d).

**OBJECTIVES:**

To (1) conduct site characterization activities at potential or confirmed hazardous waste sites; (2) undertake response planning and implementation actions at sites on the National Priorities List (NPL) to clean up the hazardous waste sites that are found to pose hazards to human health; and (3) effectively implement the statutory requirements of CERCLA 121(f) which mandates substantial and meaningful State involvement.

Funding Priority - Fiscal Year 2011: Funding must be used at specific hazardous waste sites to: (1) conduct non time critical removal actions; (2) perform site characterization activities such as preliminary assessments, site inspections, remedial investigations, feasibility studies, and remedial design activities at potential or confirmed hazardous waste sites; (3) conduct remedial actions (i.e., clean up) at uncontrolled hazardous waste sites as listed on the National Priorities List (40 CFR 300); (4) support CERCLA implementation activities; (5) identify Potentially Responsible Parties (PRPs); (6) conduct settlement negotiations; (7) take enforcement actions against PRPs; and (8) oversee PRP cleanups.

Funding Priority - Fiscal Year 2012: Funding must be used at specific hazardous waste sites to: (1) conduct non time critical removal actions; (2) perform site characterization activities such as preliminary assessments, site inspections, remedial investigations, feasibility studies, and remedial design activities at potential or confirmed hazardous waste sites; (3) conduct remedial

actions (i.e., clean up) at uncontrolled hazardous waste sites as listed on the National Priorities List (40 CFR 300); (4) support CERCLA implementation activities; (5) identify Potentially Responsible Parties (PRPs); (6) conduct settlement negotiations; (7) take enforcement actions against PRPs; and (8) oversee PRP cleanups.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding may be used to: (1) conduct non time critical removal actions; (2) perform site characterization activities such as preliminary assessments, site inspections, remedial investigations, feasibility studies, and remedial design activities at potential or confirmed hazardous waste sites; (3) conduct remedial actions (i.e., clean up) at uncontrolled hazardous waste sites listed on the National Priorities List (40 CFR 300); (4) support CERCLA implementation activities; (5) identify Potentially Responsible Parties (PRPs); (6) conduct settlement negotiations; (7) take enforcement actions against PRPs; and, (8) oversee PRP cleanups. Funding may not be used to conduct tasks or activities not authorized by CERCLA. Funds may not be used for non-site-specific Core Program activities (see 66.809). Funds made available by the Recovery Act are prohibited from uses relating to casinos and other gambling establishments, aquariums, zoos, golf courses, or swimming pools. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

**Beneficiary Eligibility:**

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

**Credentials/Documentation:**

Costs will be determined in accordance with 40 CFR 35, Subpart O and OMB Circular No. A 87, "Cost Principles for State, Local, and Indian Tribal Governments," and other supporting documentation provided by the Agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Consultation and preapplication conference(s) are recommended. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA regional Superfund program offices will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and technical and program evaluation to determine the merit and



relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. Final approval of application and supporting documentation and offer of award is made by the EPA Regional Administrator unless redelegated to the Regional Division Director.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately ninety (90) days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Extensions are available but not guaranteed. The original cooperative agreement is amended by using EPA Standard Form 424 and submitting it to the Regional Administrator.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: None required for pre NPL activities or for remedial planning at any site if the site was privately owned and operated at the time of disposal of hazardous wastes. Matching Requirements: 10 percent State, 90 percent Federal, for remedial action if the site is privately owned and operated at the time of disposal of hazardous wastes. Minimum 50 percent State, 50 percent Federal, of all response costs if the site was State/locally operated at time of any disposal of hazardous waste (Note: percentage may vary). CERCLA section 104(c)(3). Tribal governments are not required to share in the costs of Superfund actions.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds awarded for duration of project, subject to time constraints imposed by EPA. Money is released on a draw down or a letter of credit basis. See the following for information on how assistance is awarded/released: In order to receive payment by the letter of credit method, the recipient must comply with the requirements regarding letter of credit described in 40 CFR 31.20 (b)(7) and 31.21(b). The recipient must identify and charge costs to specific sites, activities, and operable units, as applicable, for drawdown purposes as specified in the Cooperative Agreement. If the recipient is unable to meet letter of credit requirements, EPA will pay the recipient by reimbursement. The recipient must comply with the requirements regarding reimbursement described in 40 CFR 31.21(d).

**Reports:**

Progress reports, notification of significant developments, property inventory reports, procurement reports, financial reports, and final reports are required pursuant to 40 CFR 35, Subpart O. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No. A-102. Progress reports are required. Financial status reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 31 and Part 35, Subpart O are applicable. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants,

available to personnel authorized to examine EPA recipients grants and cooperative agreements records. The recipient must maintain all records for 10 years following submission of the final Financial Status Report unless otherwise directed by the EPA award official, and must obtain written approval from the EPA award official before destroying any records. If any litigation, claim, negotiation, audit, cost recovery, or other action involving the records has been started before the expiration of the ten year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular ten year period, whichever is later.

**Account Identification:**

20-8145-0-7-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$46,000,000; FY 11 est \$40,000,000; and FY 12 est \$40,000,000

**Range and Average of Financial Assistance:**

\$188,000 to \$3,500,000. Average \$308,157.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, all 10 EPA Regional Offices awarded or continued to fund cooperative agreements to lead cleanup actions, or to support EPA-lead cleanup actions, at hazardous waste sites. Cooperative agreements were awarded to lead the evaluation of newly discovered sites, to assess and investigate sites that have been identified as needing further action, to select, in partnership with EPA, the appropriate technologies and cleanup actions for these sites, to design the selected technologies and cleanup actions, and to construct the designed remedy. Funding was used to start or continue long term remedial actions to treat ground water where remediation goals have not yet been reached. Finally, funding was provided to meaningfully and substantially participate in cleanup actions where EPA led the cleanup. Fiscal Year 2011: In fiscal year 2010, all 10 EPA Regional Offices awarded or continued to fund cooperative agreements to lead cleanup actions, or to support EPA-lead cleanup actions, at hazardous waste sites. Cooperative agreements were awarded to lead the evaluation of newly discovered sites, to assess and investigate sites that have been identified as needing further action, to select, in partnership with EPA, the appropriate technologies and cleanup actions for these sites, to design the selected technologies and cleanup actions, and to construct the designed remedy. Funding was used to start or continue long term remedial actions to treat ground water where remediation goals have not yet been reached. Finally, funding was provided to meaningfully and substantially participate in cleanup actions where EPA led the cleanup. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR 30; 40 CFR 31; 40 CFR 35, Subpart O; 25 CFR 20; and Program Guidance Documents.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrators: See Appendix IV of the Catalog.

**Headquarters Office:**

Yolanda Singer Site Assessment and Remedy Decisions Branch, Assessment and Remediation Division, Office of Superfund Remediation and Technology Innovation, Office of Solid Waste and Emergency Response, Mail Code 5204P, EPA, Washington, District of Columbia 20460 Email: singer.yolanda@epa.gov Phone: (703) 603-8837

**Website Address:**

<http://www.epa.gov/superfund>

**RELATED PROGRAMS:**

66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Preliminary Assessments/Site Inspections; Remedial Investigation; Feasibility Study; Remedial Design; Remedial Action (i.e., clean up); PRP searches; RI/FS negotiations; RD/RA Negotiations; PRP oversight; Non Time Critical Removal Actions; State participation in federal lead projects. Fiscal Year 2011: Preliminary Assessments/Site Inspections; Remedial Investigation; Feasibility Study; Remedial Design; Remedial Action (i.e., clean

up); PRP searches; RI/FS negotiations; RD/RA Negotiations; PRP oversight; Non Time Critical Removal Actions; State participation in federal lead projects. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

For fund-lead remedial action, the site must appear on the National Priorities List of the National Oil and Hazardous Substances Contingency Plan (NCP) (40 CFR 300). Removal actions require a planning period of six months or more. Each project is examined and selected on a case-by-case basis based upon site ranking, availability of matching funds from the State, availability of Trust funds, receipt of application and other criteria as determined by EPA.

#### **66.804 UNDERGROUND STORAGE TANK PREVENTION, DETECTION AND COMPLIANCE PROGRAM**

UST Prevention, Detection and Compliance Program

#### **FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

#### **AUTHORIZATION:**

Solid Waste Disposal Act (SWDA) of 1976, Section 2007; Energy Policy Act of 2005, 42 U.S.C 6916(f)(2); Superfund Reauthorization Amendments of 1986, Title I, Section 2007(f); Energy Policy Act of 2005, Title XV, Section 1521-1533, Public Law 109-58, 42 U.S.C 15801; Ethanol And Motor Fuels, Title B, Section 1521, Public Law 109-58, 42 U.S.C 15801; EPA's Annual Appropriations Act; Energy Policy Act of 2005, Title XV, Section 1521-1533, Public Law 105-276, 42 U.S.C 15801.

#### **OBJECTIVES:**

To assist States, Territories, Tribes and Intertribal Consortia that meet the requirements at 40 CFR 35.504, in the development and implementation of underground storage tank (UST) programs and for leak prevention, compliance and other activities authorized by the Energy Policy Act (EPA) of 2005 and EPA's annual appropriations acts.

Funding Priority - Fiscal Year 2011: High priority tasks include providing financial assistance: 1) to states and Tribes in implementing the UST program; 2) to states to help them meet their responsibilities authorized under the Energy Policy Act (EPA) (e.g., conducting more frequent inspections, prohibiting delivery for non-complying facilities, and requiring either secondary containment for tank systems or financial responsibility for manufacturers and installers); 3) to Tribes to conduct on-site inspections in Indian Country; 4) to states and Tribes to encourage owners and operators to properly operate and maintain their USTs; 5) to states and Tribes to ensure owners and operators routinely and correctly monitor all regulated tanks and piping in accordance with the regulations; 6) to states and Tribes to ensure UST system compatibility with emerging fuels, and 7) to states to develop State programs with sufficient authority and enforcement capabilities to operate in lieu of the Federal program. LUST prevention funds may be used by States for inspections and other release prevention and compliance assurance activities for federally-regulated underground storage tanks (USTs), as well as for enforcement activities related to release prevention. Priority will be given to providing funds to enable the States to meet their responsibilities under Title XV, Subtitle B of the Energy Policy Act of 2005. States that have entered into assistance agreements with EPA must have the authority to inspect and take other compliance and related enforcement actions to prevent releases from USTs.

Funding Priority - Fiscal Year 2012: Assistance agreements to states under Section 2007 of the Solid Waste and Disposal Act will support core program underground storage tank (UST) activities, implement their leak prevention and detection programs, as well as the 2005 Energy Policy Act (EPA) leak prevention activities. High priority tasks include providing financial assistance to states for: 1) approving specific technologies to detect leaks from tank systems; 2) ensuring that tank owners and operators are complying with notification and other requirements; 3) ensuring equipment compatibility; 4) conducting UST inspections; 5) implementing operator training; 6) prohibiting delivery for non-complying facilities; 7) seeking state program approval to operate the UST program in lieu of the Federal program; and 8) requiring secondary containment or financial responsibility for tank manufacturers and installers.

LUST Prevention assistance agreements to states and tribes, and/or intertribal consortia for activities authorized by EPA will support states with inspections and other release prevention and compliance assurance activities for Federally-regulated UST systems, as well as for enforcement activities related to release prevention. For tribes, the LUST Prevention assistance agreements will assist with all aspects of the Tribal programs, e.g., inspection capacity. High priority tasks include providing financial assistance to states and tribes for: 1) inspecting UST facilities to complete the three-year inspection requirement; 2) developing inspection capacity for Tribes; 3) assisting states in adopting measures (e.g., delivery prohibition, secondary containment, operator training, etc.), as required by EPA and EPA's grant guidelines; 4) enforcement activities related to release prevention; 5) development of leak prevention regulations, and other program infrastructure; 6) helping tribes develop the capacity to administer UST programs, such as providing funding to support training for Tribal staff and educating owners and operators in Indian Country about UST requirements. These activities are geared toward bringing all UST systems into compliance with release detection and release prevention requirements and minimizing future releases. Priority will be given to providing funds to enable the States to meet their responsibilities under Title XV, Subtitle B of the Energy Policy Act of 2005. States that have entered into assistance agreements with EPA must have the authority to inspect and take other compliance and related enforcement actions to prevent releases from USTs.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

States and Tribes may use financial assistance under this program for eligible and allowable costs incurred under assistance agreements for leak prevention, detection, and compliance, as described in the Section:50 Funding Priority. Assistance agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable indirect costs, in accordance with established EPA policies and regulations. These assistance agreements may also be used for EPA to help States, who request it, and for the Agency, to obtain SEE enrollees through a SEE assistance agreement to work on the State's underground storage tanks and to support direct UST implementation programs.

Unlike State and Tribal Assistance Grant (STAG) funding under Section 2007(f) of the Solid Waste Disposal Act (SWDA), the LUST prevention funding under Section 9011 and other applicable provisions of Subtitle I of the SWDA is not eligible for inclusion in Performance Partnership Grants under 40 CFR 35.133. EPA may award combined STAG funded UST prevention, detection, and compliance assistance agreements authorized by Section 2007(f) with LUST prevention assistance agreements authorized by Subtitle I if the combined agreement is not included in a PPG.

#### **Applicant Eligibility:**

Prevention, detection and compliance assistance agreements are only available to States and Territories and to Federally-recognized Tribes and Intertribal Consortia that must meet the requirements, as described in the Federal Register Notice, Vol. 67, No. 213, pp. 67181-67183, "Update to EPA Policy on Certain Grants to Intertribal Consortia." These assistance agreements may also be used for EPA to help States, who request it, to obtain SEE enrollees through a SEE assistance agreement to work on the State's underground storage tanks and to support direct UST implementation programs.

**Beneficiary Eligibility:**

States, Territories, Tribes and Intertribal Consortia.

**Credentials/Documentation:**

States and Territories must either submit certification indicating the State or Territory meets the applicable Energy Policy Act provisions, or submit documentation describing the State or Territory's efforts to meet the requirements, in accordance with EPA's Energy Policy Act grant guidelines ([http://www.epa.gov/oust/fedlaws/epact\\_05.htm](http://www.epa.gov/oust/fedlaws/epact_05.htm)). The EPA Regional Offices maintain the credentials/documentation for State and Territorial programs and federally-recognized Tribes and Intertribal Consortia. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Tribes and Intertribal Consortia are excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and Tribes apply for funds through EPA regional offices. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. EPA may award combined or separate assistance agreements for leak prevention.

**Award Procedure:**

These funds are awarded non-competitively. However, if EPA elects to hold competitions for Tribal and/or Intertribal Consortia assistance agreements, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

Applications will be subjected to administrative evaluation to determine the adequacy of application in relation to assistance agreement regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will advise the applicant if funding is being considered. A final work plan will be negotiated with the applicant. An assistance agreement must be signed between EPA and the State or Territory or EPA and the Tribe or Intertribal Consortia. EPA awards the assistance agreements to states through a previously established allocation process, issued under national guidance rather than through competition (see 40 CFR 35.332 and EPA Order 5700.5, Section 6(c)(1)).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, from 3 to 4 months.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the appropriate Regional Office. See <http://www.epa.gov/OUST/regions/index.htm>.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The UST prevention, detection, and compliance Solid Waste Disposal Act 2007(f) assistance agreement (STAG) program has no statutory formula or matching requirement. However, there is a 25 percent matching requirement (cost share) for States under 40 CFR 35.335. State matches (cost shares) may include in-kind contributions. Under 40 CFR 35.332, EPA regions allocate funds to states based on their programmatic needs and applicable EPA guidance. Factors include the number of active federally regulated petroleum underground storage tanks. LUST Prevention funding is

awarded under Section 9011 and other applicable provisions of Subtitle I of the Solid Waste Disposal Act subject to an allocation process developed by the Agency. The Agency distributes funds based on the number of federally-regulated petroleum USTs in a State and other indicators of State needs. States will provide a 25 percent match (cost share) for assistance agreements awarded under Section 9011 and other applicable provisions of Subtitle I. If EPA awards a State a combined UST prevention, detection, and compliance (STAG) and LUST prevention assistance agreement, the 25 percent cost share will apply to total project costs for the combined assistance agreement. There is no matching requirement (cost share) for prevention, detection and compliance assistance agreements for Tribes or Intertribal Consortia awarded pursuant under Public Law 105-276 or the Agency's annual appropriation act.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the assistance agreement shall be determined at the time of award by the specific EPA Regional Office. Assistance agreements can be awarded on a single- or multiple-year basis up to seven years. See the following for information on how assistance is awarded/released: Financial assistance is awarded in a lump sum. States use the Automated Standard Application for Payment System to request cash drawdowns based on a projected cash requirement.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA Regional Offices may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Recipients submit annual reports which include a description of the progress made towards meeting environmental goals as expressed by the environmental indicators and program measures. Recipients report program performance results semi-annually that provide updates for commitments and priorities. No cash reports are required. Progress reports are required. States must certify that they are meeting or are making progress in meeting the Energy Policy Act requirements. States are required to provide expenditure reports for overall funding for UST prevention, detection and compliance (STAG) assistance agreements. For LUST Prevention assistance agreements, States are required to submit Federal Financial Reports (SF-425) to the Las Vegas Finance Center. Annual reviews are conducted to determine recipients' progress in meeting overall program goals.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; 20-8153-0-7-304.

**Obligations:**

(Formula Grants) FY 10 \$36,930,000; FY 11 est \$36,930,000; and FY 12 est \$36,980,000 - STAG Obligations - Grants to States (for state staff oversight of UST activities identified in Section :50): FY 10 actual \$2,500,000; FY 11 estimate: \$2,500,000; and FY 12 estimate: \$2,550,000.

LUST Prevention Obligations - Assistance Agreements to State and Tribes (for state staff oversight and inspection activities related to the UST program; for Tribal staff to build capacity and provide training for prevention activities identified in Section :50): FY 10 actual \$34,430,000; FY 11 estimate \$34,430,000 and FY 12 estimate: \$34,430,000.

**Range and Average of Financial Assistance:**

Range for States and Territories: The STAG and LUST prevention financial assistance is based on states' needs.

In FY 2010, STAG funding - Range for States and Territories: \$25,000 to \$415,000; Average for States and Territories = \$132,000. In FY 2010, there was no STAG distribution for Tribes. LUST Prevention Funding - Range for States and Territories: \$98,000 to \$1,981,000; Average for States and Territories = \$622,115. Range for Tribes: \$15,000 to \$830,000; Average for Tribes = \$332,000.

In FY 2011, estimated STAG funding - Range for States and Territories: \$25,000 to \$415,000; Average for States and Territories = \$132,000. In FY 2011, there is no STAG distribution for Tribes. Previous fiscal year STAG funding was used in a competitive Tribal cooperative agreement in the amount of \$92,000 in FY 2011. Estimated LUST Prevention Funding - Range for States and Territories: \$98,000 to \$1,981,000; Average for States and Territories = \$622,115. Range for Tribes: Unknown at this time.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 15 states (including DC and Puerto Rico) and three territories submitted applications and were awarded STAG assistance agreements. For the LUST Prevention assistance agreements, 48 states (including DC and Puerto Rico) and four territories submitted applications and were awarded assistance agreements.

Prevention and Compliance Program Accomplishments for FY 2010: More than two-thirds of active USTs are complying with requirements to prevent and detect leaks (exceeding EPA's goal of 65.5 percent compliance); the compliance rate in Indian country was 67 percent which was a significant improvement over FY 2009; states increased inspection efforts and almost all states met the first three-year inspection mandate of August 2010, which was required by the Energy Policy Act of 2005. The number of new UST releases identified each year continues to decline, with just over 6,300 new leaks reported in FY 2010 (meeting EPA's goal to reduce annual releases to fewer than 9,000); this 11 percent drop in new releases reported is a dramatic decrease from FY 2009. Fiscal Year 2011: In FY 2011, it is anticipated that 15 states (including DC and Puerto Rico) will submit applications and will be awarded STAG assistance agreements; one competitively-awarded Intertribal Consortia recipient submitted an application and will be awarded a multiple appropriation (STAG and LUST) assistance agreement. For the LUST Prevention assistance agreements, it is anticipated that 48 states (including DC and Puerto Rico) and four territories will submit applications and will be awarded LUST Prevention assistance agreements.

At this time, there are no program accomplishments to report. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Parts 30 or 31, as applicable), State and Local Assistance (40 CFR Part 35.330 et. seq. for States and 40 CFR 35.730 et. seq. for Tribes and Intertribal Consortia). Costs will be determined in accordance with OMB Circular No. A-87 (2 CFR Part 225) for State and local governments and Indian Tribes and OMB Circular A-122 (2 CFR Part 230) for Intertribal Consortia that follow the assistance regulations for nonprofit organizations. Contact Regional UST Program Manager for documents.

**Regional or Local Office:**

See Regional Agency Offices. For state-specific opportunities, EPA encourages potential applications to communicate with the appropriate EPA Regional Underground Storage Tanks Regional Program Managers (see <http://www.epa.gov/swrust1/states/index.htm>).

**Headquarters Office:**

Lynn Depont, USEPA Headquarters; 1200 Pennsylvania Avenue, N. W.; Mail Code: 5401P, Washington, District of Columbia 20460 Email: [depont.lynn@epa.gov](mailto:depont.lynn@epa.gov) Phone: (703) 603-7148.

**Website Address:**

<http://www.epa.gov/OUST/cmplastic/index.htm>

**RELATED PROGRAMS:**

66.805 Leaking Underground Storage Tank Trust Fund Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: UST prevention, detection, and compliance assistance agreements' funded projects include functions necessary for the development and/or implementation of a State or Indian underground storage tank (UST) program. Those functions included the development and/or implementation of enforcement and inspection programs, outreach, and training related to the underground storage tanks program. Specific examples of funded projects in FY 2010 were state inspections, enforcement, development of regulations and other program infrastructure. These assistance agreements were also used for EPA to help states, who requested it, to obtain SEE enrollees through a SEE assistance agreement to work on the state's underground storage tanks (UST) and to support direct tribal UST implementation programs. Fiscal Year 2011: There is no information to report at this time. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This program allocates funding to States and Tribes non-competitively under the allocation system referenced in Section:101. Funding provided to states for release prevention must be expended in accordance with grant guidelines EPA issued to implement the Title XV, Subtitle B of the Energy Policy Act of 2005, [http://www.epa.gov/oust/fedlaws/epact\\_05.htm](http://www.epa.gov/oust/fedlaws/epact_05.htm).

**66.805 LEAKING UNDERGROUND STORAGE TANK TRUST FUND CORRECTIVE ACTION PROGRAM**

Leaking UST Corrective Action Program

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act of 1976 (SWDA), as amended, Section 9003(h), Public Law 105-276; American Recovery and Reinvestment Act of 2009 ; Solid Waste Disposal Act of 1976 (SWDA), as amended, Section 2007(f)(2).

**OBJECTIVES:**

To support State (including Territories that are included in the definition of "State" in the Solid Waste Disposal Act) and Tribal corrective action programs that address releases from underground storage tanks.

Funding Priority - Fiscal Year 2011: Program funds from the annual Leaking Underground Storage Tanks (LUST) Trust Fund appropriation are used to provide resources to States and Tribes for their underground storage tank (UST) programs. Eighty percent of the funds appropriated to the Agency for corrective action must be distributed to the States under cooperative agreements. Program funds are to be used to provide resources for the oversight and corrective action associated with petroleum releases from federally-regulated underground storage tanks (USTs), as well as for enforcement activities related to such corrective action. States that have entered into cooperative agreements with EPA have the authority to respond to petroleum releases from USTs using Leaking Underground Storage Tanks (LUST) Trust funds where owners and operators are unknown, unwilling or unable to take corrective actions themselves, and in certain other circumstances. States may also oversee responsible party cleanups. When the LUST Trust Fund is used, tank owners/operators are liable to the State for costs incurred and are subject to cost recovery actions.

The LUST program received funding in the FY 2009 American Recovery and Reinvestment Act (ARRA) of 2009. All of these funds were obligated; however, \$9.2 million was returned by one state and subsequently rescinded by Congress. The ARRA funds will continue to be outlaid in FY 2012. Additional details can be found at <http://www.epa.gov/recovery/> and

<http://www.recovery.gov/>.

Funding Priorities - Fiscal Year 2012: Assistance agreements to states and Tribes will support activities in making progress in cleaning up petroleum leaks by initiating and completing cleanups, and reducing the backlog of sites not yet cleaned up. In FY 2012, not less than 80 percent of LUST cleanup appropriated funds will be provided to states to carry out the LUST cleanup program. High priority tasks include better site characterization efforts, remedy selection review, other technical assistance and management, oversight and enforcement activities at unaddressed LUST sites.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

States and Tribes may use financial assistance under this program for eligible and allowable costs incurred under cooperative agreements for corrective action, as described in Section: 54 Funding Priority and Section: 180 Criteria for Selecting Proposals. This financial assistance program is not eligible for inclusion in Performance Partnership Grants under 40 CFR 35.133. EPA will award cooperative agreements for corrective action activities. The applicable provisions in OSWER Directive 9650.10A, "LUST Trust Fund Cooperative Agreement Guidelines" apply to states receiving funds under this program. See <http://www.epa.gov/swerst1/directiv/d965010a.htm>.

LUST Trust Funds for corrective action will not be used to implement any provision of the Energy Policy Act (EPAct) of 2005, Title XV, Subtitle B, that is not also a leaking underground storage tank activity authorized by Section 205 of the Superfund Amendments and Reauthorization Act. Funds made available by the Recovery Act are prohibited from uses relating to casinos and other gambling establishments, aquariums, zoos, golf courses, or swimming pools.

**Applicant Eligibility:**

Cooperative agreements are only available to States and Territories that have UST programs. Additionally, these cooperative agreements are only available to Federally-recognized Tribes and Intertribal Consortia that must meet the requirements, as described in the Federal Register Notice, Vol. 67, No. 213, pp. 67181-67183, "Update to EPA Policy on Certain Grants to Intertribal Consortia."

**Beneficiary Eligibility:**

States, Territories, Tribes and Intertribal Consortia and the communities and industries affected by leaks from underground storage tanks.

**Credentials/Documentation:**

Even though the LUST corrective action assistance agreements are only used for traditional cleanup activities under Section 9003(h), States and Territories must either submit certification indicating the State or Territory meets the applicable Energy Policy Act provisions, or submit documentation describing the State or Territory's efforts to meet the requirements, in accordance with EPA's Energy Policy Act grant guidelines ([http://www.epa.gov/oust/fedlaws/epact\\_05.htm](http://www.epa.gov/oust/fedlaws/epact_05.htm)). The EPA Regional Offices maintain the credentials/documentation for State and Territorial programs and federally-recognized Tribes and Intertribal Consortia. Costs will be determined in accordance with OMB Circular No. A-87 (2 CFR Part 225) for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Tribes and Intertribal Consortia are not required to follow intergovernmental

review procedures. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and Tribes apply for funds through EPA regional offices under this CFDA.

**Award Procedure:**

These funds are awarded non-competitively. Applications will be subjected to administrative evaluation to determine the adequacy of application in relation to assistance agreement regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will advise the applicant if funding is being considered. A final work plan will be negotiated with the applicant. A cooperative agreement must be signed between EPA and the State or Territory or EPA and the Tribe or Intertribal Consortia. EPA awards the cooperative agreement to states through a previously established allocation process, issued under national guidance rather than through competition. See EPA Order 5700.5, Section 6(c)(1).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally from 3 to 4 months.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the appropriate Regional Office. See <http://www.epa.gov/OUST/regions/index.htm>.

**Formula and Matching Requirements:**

Statutory Formula: Title Solid Waste Disposal Act. LUST corrective action funding awarded under Section 9003(h)(7) of the Solid Waste Disposal Act is subject to an allocation process developed by the Agency. By guidance, the Agency has established a process for allocating funds to states under Section 9003(h)(7) based on the cumulative numbers of confirmed UST releases, total number of existing registered petroleum UST systems, cleanups initiated, cleanups completed, the percentage of the population using groundwater for drinking water, and the number of states with approved UST programs. This program allocates funding to Tribes and Intertribal Consortia non-competitively based on their programmatic needs and national guidance.

Matching Requirements: States must provide a 10 percent cost share for cooperative agreements awarded under Section 9003(h)(7). There is no matching requirement for corrective action cooperative agreements for Tribes or Intertribal Consortia awarded pursuant to Public Law 105-276. Cooperative agreements awarded with Recovery Act funds were not subject to cost share requirements under section 9003(h)(7)(B) of the SWDA. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of the grant award by the specific EPA Regional Office.

Cooperative agreements awarded with Recovery Act funds were awarded on a two and one-half year budget and performance period. The budget and performance period may be extended on a limited basis to allow work to be performed on eligible sites.

Cooperative agreements awarded with Recovery Act funds may be awarded on a two and one-half year budget and performance period (e.g., 4/1/2009 to 9/30/2011). The budget and performance period may be extended on a limited basis to allow work to be performed on eligible sites. See the following for information on how assistance is awarded/released: LUST Trust Fund

Corrective Action assistance agreements are awarded to states annually on a multi-year cycle. Financial assistance is awarded in a lump sum. States use the Automated Standard Application for Payment System to request cash drawdowns based on a projected cash requirement.

#### **Reports:**

Recipients provide performance and financial reports as authorized by 40 CFR 31.40 and 31.41. In accordance with section 1512 of the Recovery Act, recipients of Recovery Act funding must provide quarterly reports containing information required under the Act and OMB Regulations at 2 CFR 176.50 until the assistance agreement ends. For the LUST Trust Fund Corrective Action assistance agreements, states report program performance results semi-annually and progress reports as part of the yearly review with EPA. For the LUST Trust Fund Recovery Act assistance agreements, states will report program performance results on a quarterly basis until the assistance agreements end. No cash reports are required. Progress reports are required. States are required to submit Federal Financial Reports (SF-425) to the Las Vegas Finance Center. Performance monitoring is conducted to determine states' progress towards meeting overall program goals.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

#### **Records:**

The record retention requirements of 40 CFR Part 31 (governmental units) or 40 CFR Part 30 (non-profit intertribal consortia) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

Recipients must account for Recovery Act funds separately.

#### **Account Identification:**

20-8153-0-7-304 - LUST 20-81-53-0-7-304 and for LUST Recovery Act funding 68-9/0 8196.

#### **Obligations:**

(Formula Grants) FY 10 \$63,852,000; FY 11 est \$63,192,000; and FY 12 est \$63,192,000 - LUST Obligations - Assistance Agreements to States (for state staff oversight of initiating and cleaning up contamination from leaking underground storage tanks): FY 2010 actual \$63,852,000 FY 2011 estimate \$63,192,000; FY 2012 estimate: \$63,192,000.

#### **Range and Average of Financial Assistance:**

For FY 2010, the Range for Territories and States: \$51,000 - \$3,596,000; Territory Average \$59,000; State Average: \$1,259,000. Range for Tribes and Intertribal Consortia: \$25,000 to \$275,000; Average: \$135,000.

For FY 2011, the estimated Range for Territories and States: \$50,590 - \$3,668,000; Territory Average: \$86,700; State Average: \$1,136,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 52 States (including DC and Puerto Rico) and four territories and approximately 10 Indian Tribes submitted assistance agreement applications and were awarded LUST corrective action assistance agreements. In FY 2010, of the 495,000 releases reported since the beginning of the program, states completed more than 401,000 cleanups or about 80 percent,

leaving a backlog of just over 93,000 releases remaining to be cleaned up. 11,591 (62 in Indian Country) LUST sites were cleaned up, meeting approximately 95 percent of EPA's FY 2010 goal to clean up 12,250 LUST sites. Fiscal Year 2011: There is no information to report at this time. Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations governing the award and administration of the Recovery Act Leaking Underground Storage Tanks cooperative agreements and the Leaking Underground Storage Tank corrective action cooperative agreements are the "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" set forth at 40 CFR Part 31 ([www.access.gpo.gov/nara/cfr/waisidx\\_00/40cfr31\\_00.html](http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr31_00.html)). Non-profit recipients are subject to 40 CFR Part 30.

Guidelines: Leaking Underground Storage Tanks Trust Fund. Cooperative Agreement Guidelines. Energy Policy Act of 2005 Grant Guidelines, [http://www.epa.gov/swrust1/fedlaws/epact\\_05.htm](http://www.epa.gov/swrust1/fedlaws/epact_05.htm). Guidance To Regions For Implementing The LUST Provisions Of The American Recovery And Reinvestment Act of 2009 and the Supplemental Guidance To Regions Clarifying Applicability Of Davis Bacon Act To Private Wells, <http://www.epa.gov/swrust1/eparecovery/lustproguide.htm>.

Costs will be determined in accordance with OMB Circular No. A-87 (2 CFR Part 225) for State and local governments and Indian Tribes and OMB Circular A-122 (2 CFR Part 230) for Intertribal Consortia that follow the assistance regulations for nonprofit organizations. Contact Regional LUST Program Manager for documents.

#### **Regional or Local Office:**

See Regional Agency Offices. For state-specific opportunities, EPA encourages potential applications to communicate with the appropriate EPA Regional Underground Storage Tanks Regional Program Managers (see <http://www.epa.gov/swrust1/states/index.htm>).

#### **Headquarters Office:**

Lynn Depont, USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W. Mail Code: 5401P, Washington, District of Columbia 20460  
Email: [depont.lynn@epa.gov](mailto:depont.lynn@epa.gov) Phone: (703) 603-7148

#### **Website Address:**

<http://www.epa.gov/swrust1/index.htm>

#### **RELATED PROGRAMS:**

66.804 State and Tribal Underground Storage Tanks Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY 2010, states conducted site assessment/site characterization; reviewed site characterization reports; reviewed corrective action plans; conducted enforcement actions; provided assistance to Tribes to help develop and implement the LUST program; and conducted cleanups and provided oversight of responsible party cleanups. Fiscal Year 2011: It is anticipated that in FY 2011, states will conduct site assessment/site characterization; review site characterization reports; review corrective action plans; conduct enforcement actions; provide assistance to Tribes to help develop and implement the LUST program; and conduct cleanups and provide oversight of responsible party cleanups. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

This program allocates funding to States and Tribes non-competitively under the allocation system referenced in Section :101. Guidelines for LUST corrective action cooperative agreements are found in OSWER Directive 9650-10A, and at OUST's website <http://www.epa.gov/swrust1/directiv/d965010a.htm>.

#### **66.806 SUPERFUND TECHNICAL ASSISTANCE GRANTS (TAG) FOR COMMUNITY GROUPS AT NATIONAL PRIORITY LIST (NPL) SITES**

(TAG)

#### **FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection

Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Section 117(e), Public Law 96-510; Superfund Amendments and Reauthorization Act of 1986, Public Law 99-499, 42 U.S.C 9617.

**OBJECTIVES:**

The statutory authority for this project is CERCLA 117(e) as amended by 42 USC 9617(e); it authorizes Technical Assistance Grants to be awarded to groups of individuals affected by or threatened by a release at a Superfund site so that they can obtain independent technical assistance to interpret site-related documents and share this information to the rest of the community. The objective of each TAG is to procure an independent technical advisor(s) to review and inform the community on EPA documents related to cleaning up the Superfund site that is affecting them. The goal of each TAG is that the technical advisor's information aids the community in the preparation of public comments and assists the community to more meaningfully participate in the cleanup decision-making process.

Funding Priority - Fiscal Year 2011: Only one grant is available per site, at any time. EPA does not prioritize among eligible sites. All TAG applications are given equal priority as long as the site and group are eligible. The applicant group must meet minimum administrative and management capability requirements by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to TAG management. In addition, all applications must address: plans for using a technical advisor's services, plans and ability to inform other members of the community, and the group's membership (representative of the different individuals/groups affected by the site). Funding must be used to provide resources so that community groups can obtain technical assistance to better understand technical issues related to the cleanup of the Superfund site affecting them and to provide comments on technical, cleanup-related documents. Technical issues for which groups obtain technical assistance may include: the nature of the environmental and public health hazards at the site; the various stages of health and environmental investigations; cleanup and operation and maintenance activities for a site, including exposure investigation, health study, surveillance program, health promotion activities (for example, medical monitoring and pediatric health units), remedial investigation, and feasibility study, record of decision, remedial design, selection and construction of remedial action, operation and maintenance, and removal.

Funding Priority - Fiscal Year 2012: Only one grant is available per site, at any time. EPA does not prioritize among eligible sites. All TAG applications are given equal priority as long as the site and group are eligible. The applicant group must meet minimum administrative and management capability requirements by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to TAG management. In addition, all applications must address: plans for using a technical advisor's services, plans and ability to inform other members of the community, and the group's membership (representative of the different individuals/groups affected by the site). Funding must be used to provide resources so that community groups can obtain technical assistance to better understand technical issues related to the cleanup of the Superfund site affecting them and to provide comments on technical, cleanup-related documents. Technical issues for which groups obtain technical assistance may include: the nature of the environmental and public health hazards at the site; the various stages of health and environmental investigations; cleanup and operation and maintenance activities for a site, including exposure investigation, health study, surveillance program, health promotion activities (for example, medical monitoring and pediatric health units), remedial investigation, and feasibility study, record of decision, remedial design, selection and construction of remedial action, operation and maintenance, and removal.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All or most of the Federal funds must be used, at sites listed on the National Priorities List (NPL) or proposed for listing under the National Contingency

Plan (NCP) where a response action has begun under CERCLA, to procure a technical advisor(s) to help in understanding the nature of the environmental and public health hazards at the site, the various stages of health and environmental investigations and activities, cleanup, and operation and maintenance of a site, including exposure investigation, health study, surveillance program, health promotion activities (for example, medical monitoring and pediatric health units), remedial investigation, and feasibility study, record of decision, remedial design, selection and construction of remedial action, operation and maintenance, and removal. Limitations: (a) Federal funds cannot be used to develop new primary data, such as conducting independent testing and monitoring activities at a site. (b) Under CERCLA, as amended, grant funds cannot be used for lawsuits or other legal actions, or attorney fees for services connected to any legal action or that could result in a relationship to which attorney/client privileges applies. (c) Grant funds cannot be applied towards a technical advisor's time spent assisting an attorney in preparing a legal action or preparing and serving as an expert witness at any legal proceedings. (d) Grant funds cannot be used for any activities or expenditures for recipient group members' travel. (e) Grant funds cannot be used for political activity and lobbying. (f) Grant funds cannot be used for generation of new health data through biomedical testing (for example, blood or urine testing), clinical evaluations, health studies, surveillance, registries, and/or public health investigations. (g) Grant funds cannot be used for activities that are unallowable under the cost principles stated in Office of Management and Budget (OMB) Circular No. A-122. (h) Grant funds cannot be used for tuition or other training expenses for recipient group's members. (i) Grant funds cannot be used to reopen or challenge final EPA decisions.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

A technical assistance grant (TAG) is available to any qualified group of individuals which: may be "affected" by a release or threatened release at any facility listed on the NPL or proposed for listing under the NCP where a "response action" under CERCLA has begun; meets minimum administrative and management capability requirements found in 40 CFR 30.12 by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to TAG management; and incorporates as a nonprofit for the specific purpose of the representing "affected" individuals at the site. "Affected" means subject to actual or potential health, economic or environmental threat. A group is ineligible if: (a) The group is a "potentially responsible party" (PRP), receives money or services from a PRP, or represents a PRP; (b) The group is affiliated with a national organization; (c) The group is an academic institution; (d) The group is a political subdivision; (e) The group was established or is presently sustained by any of the ineligible entities listed above; or (f) The group is not incorporated as a nonprofit organization for the specific purpose of representing affected people except as provided in 40 CFR 35.4045.

**Beneficiary Eligibility:**

This program benefits groups of individuals affected by Superfund hazardous waste sites. Groups should be representative of the community affected by the Superfund site, which may include homeowners, land/property owners, local businesses, as well as any other individuals in the general public who live near a site.

**Credentials/Documentation:**

At the time of the award, a recipient must either be incorporated or demonstrate that they have taken all necessary and appropriate actions to do so. Recipients must show proof of incorporation no later than the time of the group's first request for reimbursement for costs incurred. This program is subject to the provisions of OMB Circular No. A-122. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

1) Groups wishing to apply for a TAG must first submit to EPA a letter of intent (LOI). Groups interested in applying for a TAG are encouraged to contact their regional TAG coordinator(s), listed in Appendix IV of the Catalog). 2) If site work is already underway or scheduled to begin, EPA will publish a notice in the local newspaper to formally notify other interested parties that they may contact the first group that sent the LOI to form a coalition or they may submit a separate LOI. 3) Competing groups are encouraged to consolidate and submit a single application. 4) Prior to submitting their application to EPA (or concurrently), the applicant must submit the application package for their State's intergovernmental review process. This intergovernmental review may take up to 60 days. This program is excluded from coverage under OMB Circular No. A-102. This program is subject to the provisions of OMB Circular No. A-110. For more information regarding the procedures for submitting a LOI or for application assistance, contact the TAG coordinator(s) for your region (in Appendix IV of the Catalog) or the individuals listed under "Information Contacts." Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An applicant for a TAG must submit the following materials in accordance with 40 CFR 35.4125 of the Final Rule: 1) An original EPA Form 424, Application for Federal Assistance. The application must have the original signature of the project manager. 2) A budget showing the proposed expenditure of funds, how the funds and other resources, including the required 20 percent match, will be used to complete the project, and how the budget figures were derived. 3) A scope of work which states how the group will organize, use procured personnel, and share and disseminate information to the larger affected community. In addition, the scope of work must explain project milestones and how the group's board of directors, technical advisors(s) and "project manager" will interact with each other. 4) Assurances, certifications and other preaward paperwork as 40 CFR part 30 requires. Currently, opportunities under this CFDA are not available and electronic submissions are not accepted through [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

1) A TAG review team in the EPA Regional Office to which the application is submitted reviews the application and sends a letter containing written comments telling the applicant what, if any, changes need to be made to the application to make it complete. 2) An applicant group has 90 days from the date of the EPA letter to make the changes to their application and resubmit it to EPA. If the changes are not submitted within the 90-day period, the application will be returned unprocessed. 3) EPA determines the applicant's eligibility under 40 CFR 35.4020 and considers whether and how successfully the group meets three equally weighted criteria in 40 CFR 35.4155 (see 180, "criteria for selecting proposals," below). When multiple groups apply, EPA will rank each applicant relative to other applicants using the three equally weighted criteria. 4) If an applicant is not going to be awarded a TAG, the EPA will send a letter of rejection to the applicant. 5) If an application is approved for an award, a grant agreement document (EPA Form 5700-20A) is signed by the EPA award official. This document becomes an offer from EPA to the applicant. Award offers are mailed to the recipient five working days after the award official signs the agreement. 6) The applicant must sign and return the agreement to EPA within three weeks of the date the agreement is postmarked or request an extension. EPA will review applications in accordance to terms, conditions and criteria in the TAG regulations and EPA's policy for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 4 to 9 weeks.

#### **Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable. Before a group obtains judicial review of the dispute, they must have requested the Regional Administrator to review the dispute decision official's determination under 40 CFR 31.70(c), and if the group still has a dispute, they must request the Assistant Administrator for the Office of Solid Waste and Emergency Response to review the Regional Administrator's decision under 40 CFR 31.70(h).

#### **Renewals:**

Grant waiver requests are made at the end of the budget period and are based on the requirements of 40 CFR 35.4065, which lists criteria which must be met.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. As directed by statute (Section 117(e) of CERCLA, as amended by 42 USC 9617(e)) there may be only one grant per site, there is a \$50,000 award limit unless waived, and recipient must contribute a 20 percent match (including in-kind contributions).

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

A grant may be available from the time a site is proposed for listing under the NCP (with a response action underway) until the site is delisted from the NPL - this time span varies based on the complexity of the site cleanup; a group may submit an LOI to apply for a TAG at any eligible site at any point in the site cleanup. For each award, the grant period is determined by the time needed to complete the scope of work stated in the grant application and through negotiations with EPA (this is generally a period of three years or greater). Grants under this CFDA are reimbursement-based; a grantee may draw down funds to cover grant-related expenses they have incurred (such as a technical advisor's invoice for services/expenses). Method of awarding/releasing assistance: lump sum.

#### **Reports:**

No program reports are required. Federal Cash Transaction Reports (OMB SF272) are required of TAG grant recipients. 1) Progress reports. Each recipient shall submit quarterly progress reports to EPA for the technical assistance grant project 45 days after the end of each calendar quarter. Progress reports shall fully describe in chart or narrative format the progress achieved in relationship to the approved schedule, budget, and the technical assistance grant project milestones. Special problems encountered must be explained. 2) Financial status report. Each recipient shall submit to EPA a financial status report annually, within 90 days of the anniversary date of the start of the TAG project. These reports shall include the status of project's funds through identification of project transactions and within 90 days after the end of the TAG funding period. 3) Final report. Each recipient shall submit to EPA the final report within 90 days after the end of the project. The report shall describe project goals and objectives, activities undertaken to achieve goals and objectives, difficulties encountered, technical advisors' work products and funds spent. 4) Requests for Reimbursement or Federal Cash Transactions Reports. Depending on the method of payment, each recipient shall submit periodic requests for reimbursement as funds are needed, or shall submit to EPA a federal cash transaction report semiannually, within 15 working days following the end of the semiannual period which ends June 30 and December 31 of each year. These reports shall include the amount of funds advanced to the TAG recipient or electronically transferred to the TAG recipient's bank account, and a description of how the funds were spent. 5) Minority-Owned Business Enterprise/Women-Owned Enterprise (MBE/WBE) Utilization. Each recipient shall submit to EPA a MBE/WBE Utilization report annually, even if no contracts have been signed. Each recipient is required to disclose whether they have contracted with a MBE/WBE in the past Federal fiscal year, the value of the contract, if any, and the percentage of the total project dollars on MBE/WBEs. 6) Each recipient shall comply with any reporting requirements in the terms and conditions of the "grant agreement". 7) Each recipient shall comply with any reporting and record keeping requirements in OMB Circular A-122 and 40 CFR part 30. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit



Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

(1) Each recipient shall keep complete financial records accurately showing how the Federal funds were used and the match, whether it is in the form of cash or in-kind assistance. (2) Each recipient shall comply with any reporting and record keeping requirements of OMB Circular A-122 and 40 CFR Part 30. (3) Each recipient must keep TAG financial records for ten years from the date of the final Financial Status Report, or until any audit, litigation, cost recovery, and/or disputes initiated before the end of the ten-year retention period are settled, whichever is longer. At the ten-year mark, the TAG financial records may be disposed of after first getting written approval to do so from the EPA. Alternately, a recipient may choose to submit financial records to the EPA for safekeeping when the final Financial Status Report is submitted. (4) Each recipient must send to EPA a copy of each final written product prepared by their technical advisor as part of the TAG. EPA will send the final written products to the local Superfund site information repository(ies) where all site-related documents are available to the public.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$715,000; FY 11 est \$600,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

Initial awards for assistance agreements awarded under this CFDA number will not exceed \$50,000. After the initial award, additional funding may be awarded based on the criteria detailed under 40 CFR 35.4065, and subject to the availability of funds. The average additional award is \$40,000 (per agreement). Since 1988, 323 TAGs have been awarded. Of these, 205 grantees were awarded \$50,000 or less; 73 grantees have received awards with a cumulative value between \$51,000 and \$150,000; 40 grantees have received awards with a cumulative value ranging between \$151,000 and \$250,000; and 15 grantees have received awards whose cumulative value totals of more than \$250,000. The cumulative award value includes the initial award and any supplemental funding awards over the life of the agreement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Since the program began on March 24, 1988, 318 awards have been issued by EPA, totaling more than \$27,700,000 in TAG awards (including new awards, additional funds, waivers and deviations). In most cases, EPA receives only one application for a site and in most cases an award is made. In FY 2010, six new grants were awarded (\$292,000 total) and six established grantees were awarded additional funds (\$423,000 total). The grant includes an outreach component wherein the grantee helps to educate the broader community on issues related to the site cleanup. Under this grant, grantees have developed community newsletters, developed web sites, conducted community meetings to help other community members better understand technical information related to the site cleanup and to better respond to site-related technical documents during public comment periods. Technical comments provided to EPA under this grant assist EPA in meeting Superfund strategic targets of identifying and controlling unacceptable human exposures from site contamination; monitoring and controlling migration of contaminated ground water; and identifying a final remedy suitable for stated reuse (under Goal 3.2.2 of EPA's Strategic Plan). Fiscal Year 2011: Since the program began on March 24, 1988, 323 awards have been issued by EPA, totaling more than \$28,300,000 in TAG awards (including new awards, additional funds, waivers and deviations). In most cases, EPA receives only one application for a site and in most cases an award is made. In FY 2011, as of May 11, 2011, five new grants have been awarded (\$250,000 total) and six established grantees were awarded additional funds (\$275,000 total); EPA anticipates two new awards (\$100,000 total) by the end of the fiscal year. The

grant includes an outreach component wherein the grantee helps to educate the broader community on issues related to the site cleanup. Under this grant, grantees have developed community newsletters, developed web sites, conducted community meetings to help other community members better understand technical information related to the site cleanup and to better respond to site-related technical documents during public comment periods. Technical comments provided to EPA under this grant assist EPA in meeting Superfund strategic targets of identifying and controlling unacceptable human exposures from site contamination; monitoring and controlling migration of contaminated ground water; and identifying a final remedy suitable for stated reuse (under Goal 3.2.2 of EPA's Strategic Plan). Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR 31; 40 CFR Part 30; 40 CFR Part 35,( Subpart M); and TAG Program Guidance Documents.

**Regional or Local Office:**

See Regional Agency Offices. Freya Margand; Community Involvement and Outreach Branch, Office of Superfund Remediation & Technology Innovation, Mail code: 5204P, U.S. Environmental Protection Agency; Ariel Rios Bldg., 1200 Pennsylvania Ave.; NW, Washington, DC 20460. Telephone: (703) 603-8889. Fax: (703) 603-9102. E-mail address: margand.freya@epa.gov Questions may also be directed to the EPA Regional Office serving a particular state. All TAG paperwork should be submitted directly to the EPA Regional Office. A list of the Regions and their States, plus the name(s) and telephone number(s) for the Regional TAG contact can be found in Appendix IV of the CFDA. A list of EPA Regional TAG contacts can also be found at the web site address: <http://www.epa.gov/superfund/community/tag/contacts.htm>.

**Headquarters Office:**

Freya Margand, Community Involvement and Outreach Branch, Office of Superfund Remediation & Technology Innovation, Mail code: 5204P, Environmental Protection Agency, Ariel Rios Bldg., 1200 Pennsylvania Ave.; NW, Washington, District of Columbia 20460 Email: margand.freya@epa.gov Phone: (703) 603-8889.

**Website Address:**

<http://www.epa.gov/superfund>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: TAG allows a group to procure independent technical advisors to help in interpreting and commenting on site-related information and decisions. Examples of how a technical advisor can help a group include, but are not limited to: (a) Reviewing preliminary site assessment/site investigation data; (b) Participating in public meetings to help interpret information about site conditions, proposed remedies, and the implementation of a remedy; (c) Visiting the site vicinity periodically during cleanup, if possible, to observe progress and provide technical updates to the group; (d) Interpreting information related to redevelopment; and (e) Evaluating future land use options based on land use assumptions found in the remedial investigation/feasibility study. Fiscal Year 2011: TAG allows a group to procure independent technical advisors to help in interpreting and commenting on site-related information and decisions. Examples of how a technical advisor can help a group include, but are not limited to: (a) Reviewing preliminary site assessment/site investigation data; (b) Participating in public meetings to help interpret information about site conditions, proposed remedies, and the implementation of a remedy; (c) Visiting the site vicinity periodically during cleanup, if possible, to observe progress and provide technical updates to the group; (d) Interpreting information related to redevelopment; and (e) Evaluating future land use options based on land use assumptions found in the remedial investigation/feasibility study. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description are described in the programmatic regulations (40 CFR Part 35) as follow. In selecting a proposal: 1) EPA will determine if a group meets the following eligibility criteria: (a) The community group is a group of people who may be "affected" by a release or a threatened release at any facility listed on

the NPL or proposed for listing under the NCP where a response action is underway; and (b) The group meets the minimum administrative and management capability requirements found in 40 CFR 30.21 by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to managing the TAG. 2) EPA will also determine if there are factors which make the group ineligible. A group is ineligible if: (a) The group is a "potentially responsible party" (PRP), receives money or services from a PRP, or represent a PRP; (b) The group is "affiliated" with a national organization; (c) The group is an academic institution; (d) The group is a political subdivision; (e) The group was established or is presently sustained by any of the ineligible entities listed above; or (f) The group is not incorporated as a nonprofit organization for the specific purpose of representing affected people except as provided in 40 CFR 35.4045. 3) Once EPA determines if eligibility requirements have been met, the Agency considers whether and how successfully a group meets the following, equally weighted, criteria: (a) Representation of groups and individuals affected by the site; (b) The group's plans to use the services of a technical advisor throughout the Superfund response action; and (c) The group's ability and plan to inform others in the community of the information provided by the technical advisor. 4) Additionally, a group must incorporate as a nonprofit for the purpose of participating in decision making at the Superfund site for which the TAG was granted (for exception see 40 CFR 35.4045). Applicant groups should consult the Superfund TAG Handbooks, "Applying for a Grant" and "The Application Forms with Instructions," for detailed instructions on applying for a TAG.

#### **66.808 SOLID WASTE MANAGEMENT ASSISTANCE GRANTS FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

#### **AUTHORIZATION:**

Solid Waste Disposal Act, Section 8001; Resource Conservation and Recovery Act of 1976, Public Law 94-580, 42 U.S.C 6901.

#### **OBJECTIVES:**

To promote use of integrated solid waste management systems to solve solid waste generation and management problems at the local, regional and national levels.

Funding Priority - Fiscal Year 2011: Partnerships - Establishing and developing partnerships with states, local governments and other non profit organizations to assist them in advancing their waste management programs, including recycling and reduction of wastes, appropriate management of wastes that are generated, and developing integrated waste management plans. Education and Outreach - Developing and providing education, training, and outreach materials to educate and inform Americans about waste's impact on resource and energy use and pollution. Fostering a better understanding of the environmental ramifications of collective actions including how individual purchasing and manufacturing decisions are connected to the environment and to enable Americans to make better choices resulting in increased recycling, less waste and greater energy savings.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Available for the allowable direct cost expenditures incident to program performance plus allocable portions of allowable indirect costs of the institution, in accordance with established EPA policies. Projects can include the following types of activities: training, surveys, education materials and programs, studies, and demonstrations; assistance to such projects shall not include any element of construction, or any acquisition of land or interest in land, or any subsidy for the price of recovered resources. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when

on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

State (including the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, and Northern Mariana Islands), local, Tribal, interstate, and intrastate government agencies and instrumentalities; and non-profit organizations that are not 501(c)(4) organizations that lobby, including non-profit educational institutions and non-profit hospitals. Individuals and for-profit organizations are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Additionally, EPA may limit competition under this CFDA to Tribes and Inter-Tribal Consortia.

#### **Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, the public, and interstate agencies.

#### **Credentials/Documentation:**

Nonprofits need to provide proof of their status. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Discussion with EPA Headquarters or the appropriate EPA Regional Office is advisable. (See Appendix IV of the Catalog for list of Regional Contacts). Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application form as furnished by the Federal agency and required by OMB Circular No. A 102 must be used for this program. Requests for application forms and submission of completed applications should be directed to EPA Grants and Interagency Agreements Management Division(3903R), Washington, DC 20460, or the appropriate EPA Regional Office listed in Appendix IV of the Catalog. This program is subject to the provisions of OMB Circulars No. A 110 and No. A102. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

EPA reviews each application. They shall be subjected to administrative evaluation to determine the adequacy of the application in relation to grant regulations and program evaluation criteria to determine the merit and relevance of the project. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 180 days.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629,

3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted, which will be reviewed in the same manner as a new application.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will normally be funded on a 12 month basis (yearly). The total approved project period is generally no longer than 3 years. See the following for information on how assistance is awarded/released: Assistance under this program can be awarded in various ways, but will usually be awarded in lump sum or annually.

**Reports:**

No program reports are required. No cash reports are required. Quarterly interim and final progress, expenditure, equipment and invention reports. Progress Reports are required under this program. Generally they are quarterly or monthly. Expenditure Reports are required and usually accompany the progress reports. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised during the three year project period as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,250,000; FY 11 est \$1,100,000; and FY 12 est \$950,000

**Range and Average of Financial Assistance:**

(Fiscal year 2011) \$5,000 to \$750,000; \$248,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, 8 projects were awarded. The estimate of projects for fiscal year 2011 is about the same. Quantifiable data on the number and ratio of past applications not available. Fiscal Year 2011: In fiscal year 2011, 3 projects were awarded. The estimate of projects for fiscal year 2012 is about the same. Quantifiable data on the number and ratio of past applications not available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Parts 30, 31 and 33); "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161, on a subscription basis.

**Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Nick Vizzone, USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W. Mail Code: 5305P, Washington, District of Columbia 20460  
Email: vizzone.nick@epa.gov Phone: (703) 308-8460.

**Website Address:**

<http://www.epa.gov/epawaste/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: (1) Conduct outreach to state purchasers, educate them about the guidelines established in January 2002, and encourage them to formally adopt product stewardship purchasing criteria into their state purchasing contracts for carpet; (2) Challenge the electronics industry to design products that meet new, peer reviewed design principles and recycling strategies; (3) Develop and implement a mercury containing lamp recycling outreach program; (4) Tribal solid waste cleanup; (5) Foster information sharing among State regulatory programs with varying regulatory approaches and experiences and in differing stages of maturity. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.809 SUPERFUND STATE AND INDIAN TRIBE CORE PROGRAM COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 104(d), 42 U.S.C 9604(d).

**OBJECTIVES:**

To effectively implement the statutory requirements of CERCLA Section 121(f) for State involvement. To provide funds to conduct CERCLA activities which are not assignable to specific sites, but support a recipient's site-specific response program.

Funding Priority - Fiscal Year 2011: Funding may be used for a variety of activities that include: (1) procedures for emergency response actions and remediation of environmental and health risks; (2) provisions for satisfying all requirements and assurances; (3) development of legal authorities and enforcement support; (4) hiring and training staff; and, (5) activities that support EPA/recipient interaction.

Funding Priority - Fiscal Year 2012: Funding may be used for a variety of activities that include: (1) procedures for emergency response actions and remediation of environmental and health risks; (2) provisions for satisfying all requirements and assurances; (3) development of legal authorities and enforcement support; (4) hiring and training staff; and, (5) activities that support EPA/recipient interaction.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Core Program Cooperative Agreements are offered to ensure that each State, or Federally Recognized Indian Tribe or intertribal consortia can substantially participate in CERCLA response actions. Recipients negotiate with EPA Regions to receive funding for a variety of activities that include: (1) Procedures for emergency response actions and remediation of environmental and health risks; (2) provisions for satisfying all requirements and assurances; (3) development of legal authorities and enforcement support; (4) hiring and training staff; and (5) activities that support EPA/Recipient interaction. Recipients with Regional approval may receive awards for multi year budget

and project periods at the Region's discretion. Funding for the entire project may be made as a lump sum or incrementally over time. Recipients must demonstrate progress towards the goals stated in the Core Program Cooperative Agreement in order to be eligible for continued funding. Only one Core Program Cooperative Agreement will be awarded to each eligible State or Tribe or intertribal consortia through the Single Point of Contact. Funds must be used for non-site-specific activities as described above.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

**Beneficiary Eligibility:**

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

**Credentials/Documentation:**

.Costs will be determined in accordance with 40 CFR Part 35 Subpart O and OMB Circular No. A 87, "Cost Principles for State, Local, and Indian Tribal Governments," and other supporting documentation required by the Agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A 102 must be used for this program. Consultation and pre-application conference are recommended. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA regional Superfund program offices review the applications for cooperative agreements. Final approval of application and supporting documentation and offer of award is made by the EPA Regional Administrator unless re-delegated to the Regional Division Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately ninety (90)days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applications for additional funding need to include only the revised pages from EPA Form 424.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 10.%. As required by 40 CFR Part 35 Subpart O, State recipients of Core Program Cooperative Agreements must

provide a 10 percent cost share of the total project cost on all awards. This match may be made from either direct, non-federal funds, non-reimbursed fund, or with in kind contributions. CERCLA credits earned at other Superfund sites cannot be used to meet the 10 percent match.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is awarded as a lump sum, or may be incrementally funded. Recipients with Regional approval may receive cooperative agreement awards for multi year budget and project periods at the Region's discretion. Continued funding of tasks in subsequent years is based on an evaluation of demonstrated progress towards the goals in the Core Program Cooperative Agreement Statement of Work. See the following for information on how assistance is awarded/released: In order to receive payment by the letter of credit method, the recipient must comply with the requirements regarding letter of credit described in 40 CFR 31.20 (b)(7) and 31.21(b). The recipient must identify and charge costs to specific sites, activities, and operable units, as applicable, for drawdown purposes as specified in the Cooperative Agreement. If the recipient is unable to meet letter of credit requirements, EPA will pay the recipient by reimbursement. The recipient must comply with the requirements regarding reimbursement described in 40 CFR 31.21(d).

**Reports:**

No program reports are required. No cash reports are required. The recipients must submit progress reports no more frequently than quarterly, but at a minimum annually. The recipients must submit financial status reports annually, and a final report. Financial status reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 31 and Part 35, Subpart O are applicable. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. The recipient must maintain all records for 10 years following submission of the final Financial Status Report unless otherwise directed by the EPA award official, and must obtain written approval from the EPA award official before destroying any records. If any litigation, claim, negotiation, audit, cost recovery, or other action involving the records has been started before the expiration of the ten year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular ten-year period, whichever is later.

**Account Identification:**

68-8145-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$9,000,000; FY 11 est \$7,000,000; and FY 12 est \$7,000,000

**Range and Average of Financial Assistance:**

\$7,202 to \$552,983; average award amount: \$189,960.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, the types of activities that are permitted to be funded include: hiring staff, administrative salaries, clerical help, financial accounting, data management, program management, medical monitoring, health and safety training for field employees, computer systems purchases, training, legal assistance and legislative development. Outputs include reports, accounting and tracking systems, hired and trained staff, cost recovery

procedures and techniques, laws and regulations for hazardous waste control. Fiscal Year 2011: In Fiscal Year 2011, the types of activities that are permitted to be funded include: hiring staff, administrative salaries, clerical help, financial accounting, data management, program management, medical monitoring, health and safety training for field employees, computer systems purchases, training, legal assistance and legislative development. Outputs include reports, accounting and tracking systems, hired and trained staff, cost recovery procedures and techniques, laws and regulations for hazardous waste control. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR 31, 40 CFR Part 35, Subpart O, Program Guidance Documents.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Yolanda Singer Site Assessment and Remedy Decisions Branch, Assessment and Remediation Division, Office of Superfund Remediation and Technology Innovation, Mail Code 5204P, EPA, Washington, District of Columbia 20460  
Email: singer.yolanda@epa.gov Phone: (703) 603-8835

**Website Address:**

<http://www.epa.gov/superfund>

**RELATED PROGRAMS:**

66.802 Superfund State, Political Subdivision, and Indian Tribe Site\_Specific Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Administrative and program development, accounting systems development, legal authorities and enforcement support, hiring and training of State response staff, procedures for emergency response actions. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Core Program Cooperative Agreements, recipients must demonstrate a need for non-site specific funds to support activities not covered by other site-specific awards. Each project is examined and selected on a case-by-case basis based upon availability of funds, receipt of application, and other criteria as determined by EPA.

**66.810 CHEMICAL EMERGENCY PREPAREDNESS AND PREVENTION (CEPP) TECHNICAL ASSISTANCE GRANTS PROGRAM**

(CAA 112 and SARA Title III State Grants Program)

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act, Section 103(b)(3); Toxic Substances Control Act, Section 10(a)&28(a), Public Law 94-469, 15 U.S.C 2601.

**OBJECTIVES:**

To provide financial assistance to States, Local agencies, and Indian Tribes for chemical accident prevention activities that relate to the Risk Management Program under the Clean Air Act Section 112(r). To provide financial assistance to Tribes for chemical emergency planning, and community right-to-know programs which are established to prevent or eliminate unreasonable risk to the health and environment of communities within the State.

Anticipated Funding Priority - Fiscal Year 2011 to be similar to previous years, with focus on Capacity Building at the State, Tribe, or local level to implement and enforce the Chemical Accident Prevention provisions of the Clean Air Act Section 112(r) and to address community issues such as development of model technical assistance materials for use by States/Tribes or Local Emergency Planning Committees (LEPCs) to evaluate potential chemical risks to their communities. Additionally, funding will focus on strengthening partnerships among States/Tribes and Local Emergency Planning Committees (LEPCs), industry, emergency responders, and the general public to foster collaboration

and build credibility for chemical prevention and preparedness activities. This program will be offered in EPA's Region 7 and EPA's Region 1.

Anticipated Funding Priority - Fiscal Year 2012 to be similar to previous years, with focus on Capacity Building at the State, Tribe, or local level to implement and enforce the Chemical Accident Prevention provisions of the Clean Air Act Section 112(r) and to address community issues such as development of model technical assistance materials for use by States/Tribes or Local Emergency Planning Committees (LEPCs) to evaluate potential chemical risks to their communities. Additionally, funding will focus on strengthening partnerships among States/Tribes and Local Emergency Planning Committees (LEPCs), industry, emergency responders, and the general public to foster collaboration and build credibility for chemical prevention and preparedness activities. This program will be offered in EPA's Region 7 and EPA's Region 1.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Innovative Technical Assistance Grants are offered to improve the ability of States, Tribes and local communities to protect public health and safety and involve the development of technical assistance or similar materials that could be used directly or adapted by other States/Tribes or Local Emergency Planning Committees (LEPCs). Projects which address implementing the Risk Management Program under the Clean Air Act Section 112(r) are especially of interest. The grant money may not supplant State or Tribal funds already being spent. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States, Local agencies and Federally Recognized Indian Tribes located within EPA Regions 1 and 7. This includes for Region 1 the States of Maine, New Hampshire, Vermont, Massachusetts, Connecticut, and Rhode Island, and for Region 7 the States of Nebraska, Kansas, Iowa, and Missouri. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, Tribes, Local Emergency Planning Committees, and local emergency responders.

**Credentials/Documentation:**

OMB Circular No. A-87 is required for this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Potential applicants should contact the CEPP Regional contact listed below to determine if grants are available in a specific Region. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States, Local agencies, and Indian Tribes must submit the original completed application package and one copy to the appropriate EPA Regional Office. The Regional office will review the application package to ensure completeness. States must comply with all applicable requirements. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Grant applications will undergo the following review process: EPA Regional Office staff will evaluate each application and, based on the criteria established will select proposal(s) for funding. EPA Regional offices will be awarding the grants. The review process will concentrate on choosing the best project concepts. Once the grant is awarded to the State Emergency Response Commission (SERC), Tribal Emergency Response Commission (TERC), directly to the local agencies such as the Local Emergency Planning Committee (LEPC), or other State agency with SERC coordination as appropriate, the recipient will be notified by phone or email. EPA will monitor the work in progress and provide project guidance and oversight to the State, Local agencies, and Tribes.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. There is a 25 percent match requirement for assistance agreements awarded to States under the Toxic Substances Control Act, Section 28.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will normally be funded on a 12 to 24 month basis. Total approved project period should not exceed 2 years for a particular project. A call for letters of intent and applications will be advertised annually via the Regions notifying States, Local agencies, and Tribes. Recipients will be notified by phone call or email that their proposal will be funded. The grants may be awarded in a lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reports will be required on a quarterly basis to describe applicant's progress. Annual program reports are conducted. Final financial status report is required. Quarterly and final reports are required. Expenditure reports are part of the annual financial status report. Performance monitoring is accomplished through the quarterly progress reports, ongoing EPA involvement with recipient, and on-site reviews as needed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial reports, including all documents to support entries on the accounting records and to substantiate charges to each grant or cooperative agreement must be kept available to personnel authorized to examine EPA grant recipient accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$70,000; FY 11 est \$145,000; and FY 12 est \$145,000

**Range and Average of Financial Assistance:**

For Region 1 the amount is \$60,000 with the range from \$20,000 - \$60,000. Region 7 grant projects range from \$30,000 to \$90,000

Average financial assistance is \$37,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 1 award was issued and 3 applications were received. Goal is to conduct/complete 48 inspections reviews at regulated RMP facilities within the State of Iowa. They will also provide outreach support to the community through workshops. To date, 28 reviews conducted and 3 workshops have been completed. Fiscal Year 2011: Region 7 has an RFP Announced that closes, May 13, 2011. The Region plans to award \$70,000 in grant funds. Region 1 has not published their RFP but expects to award up to 2 awards totaling \$75,000. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Government (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Tina Wilkins, Lead EPS, R7/AWMD/IO, 901 North 5th St., Kansas City, Kansas, 66101 telephone 913-551-7964 fax 913-551-7065 email: wilkins.tina@epa.gov

Len Wallace, Environmental Scientist, R1/OES/ERFF, 5 Post Office Square, Boston, MA 02109 telephone 617-918-1835 fax 617-918-0835 email: wallace.len@epa.gov.

**Headquarters Office:**

Sherry Fielding, OSWER/OEM/POCD (5104A), EPA HQ, Ariel Rios Building, 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: fielding.sherry@epa.gov Phone: (202) 564-6174.

**Website Address:**

<http://www.epa.gov/emergencies>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: State recipient performed 48 RMP Inspections and conducted outreach workshops. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.812 HAZARDOUS WASTE MANAGEMENT GRANT PROGRAM FOR TRIBES**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriation Act, Public Law 105-276.

**OBJECTIVES:**

The purpose of the Hazardous Waste Management Grant Program for Tribes is to provide financial assistance to Tribal governments and Tribal Consortia for the development and implementation of hazardous waste programs; for building capacity to improve and maintain regulatory compliance; and for developing solutions to address hazardous waste impacting Tribal lands.

Funding Priority - Fiscal Year 2011: Develop and implement hazardous waste management programs that improve the applicant's ability to properly identify, manage, or dispose of hazardous waste. Build capacity to improve and maintain regulatory compliance and develop solutions to address hazardous waste mismanagement impacting Tribal lands. Development and institutionalization of hazardous waste program capacity for Tribal governments and the communities they serve.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This grant program will support projects designed to develop and implement hazardous waste management programs. These programs must improve the applicant's ability to properly identify, manage, or dispose of hazardous waste. All hazardous waste management activities that address the Resource Conservation and Recovery Act (RCRA) Subtitle C "cradle to grave" approach are eligible. Each of the following hazardous waste management program activities are considered central to a "cradle to grave" program: Hazardous Waste Identification; Hazardous Waste Generator Siting, Monitoring, & Compliance (Large Quantity, Small Quantity, and Conditionally Exempt Small Quantity Generators); Hazardous Waste Minimization, Recycling, Used Oil, and Universal Wastes; Hazardous Waste Transportation; Treatment, Storage, and Disposal Facility Siting, Permitting, Monitoring, Corrective Action, & Enforcement; Land Disposal Restrictions; Combustion. Assistance will be provided under this program only for activities which EPA determines are appropriate to carry out the purposes of RCRA. Assistance under this program does not include any element of municipal solid waste management, chemical emergency planning and preparedness or superfund program cleanup.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

The following are eligible to receive financial assistance: (a) an Indian tribal government; and (b) an intertribal consortium or consortia. An Indian tribal government is any tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation (as defined in or established pursuant to the Alaska Native Claims Settlement Act, 43 U.S.C. 1601, et seq.), which is recognized by the U.S. Department of the Interior as eligible for the special services provided by the United States to Indians because of their status as Indians. A consortium is a partnership between two or more Indian tribal governments authorized by the governing bodies of those tribes to apply for and receive assistance under this program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Potential applicants should consult the designated Regional Tribal hazardous waste program coordinator. It is strongly suggested that potential applicants consult with the designated Regional point of contact. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The annual competitive announcement outlines specific procedures for submitting proposals. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

In order to receive renewals, significant progress on previously awarded grant must be demonstrated.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of the grant award. See the following for information on how assistance is awarded/released:  
Assistance agreements will be fully funded by a lump sum.

**Reports:**

Annual Regional Review. Grantees must provide financial and performance activity reports according to the terms negotiated with the Regional program. Copies of the reports should also be sent to the EPA Office of Resource Conservation and Recovery headquarters representative.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB

Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Typically expenditure reports are not required. However, grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Records and accounts must be maintained to reflect the operations of the project. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$319,000; FY 11 est \$300,000; and FY 12 est \$300,000

**Range and Average of Financial Assistance:**

Range = \$18,00 to \$100,000; Average = \$56,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, the Office of Resource Conservation and Recovery (ORCR) - formerly OSW - distributed funds to Tribes and Inter-Tribal Consortia in support of activities that facilitate the development of comprehensive management programs to properly identify, manage, or dispose of hazardous waste; build capacity to improve and maintain regulatory compliance; and identify and/or implement solutions that will address hazardous waste mismanagement. In FY 2010, ORCR received 12 proposals. To assist Tribes through the FY 2010 Hazardous Waste Management Grant Program for Tribes, \$319,000 in STAG funding was distributed to Regions 9 and 10. A total of 5 awards were made through these Regions. Fiscal Year 2011: In FY 2011, it is anticipated that 4 new awards will be made through the Hazardous Waste Management Grant Program for Tribes. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Part 30), "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA. Contact designated Regional program coordinator for other documents, including the "Hazardous Waste Management Grant Program for Tribes: Guidance for Applicants."

**Regional or Local Office:**

See Regional Agency Offices. Designated Regional Tribal Hazardous Waste Management Program Contacts: Region, Address, Name, E-mail Address, Phone, Fax. Region I, U.S. EPA, 1 Congress Street, Boston, MA 02114-2023, Juiyu Hsieh, Hsieh.Juiyu@epa.gov, (617) 918-1302,(617) 918-1646. Region II, U.S. EPA, 290 Broadway, 22nd Floor, New York, NY 10007-1886, Lorraine Graves, Graves.Lorraine@epa.gov,(212) 637-4099,(212) 637-4437. Region IV,

U.S. EPA, Atlanta Federal Center, 61 Forsyth Street, Atlanta, GA 30303, Davy Simonson, Simonson.Davy@epa.gov,(404) 562-8457, (404) 562-8439. Region V, U.S. EPA, 77 W. Jackson Blvd, Chicago, IL 60604, Margaret Millard, Millard.Margaret@epa.gov, (312) 353-1440,(312) 353-6519. Region VI, U.S. EPA, 1445 Ross Avenue, Dallas, TX 75202-2733, Nick Stone (Technical), Stone.Nick@epa.gov, Terrie Wright(Grants), wright.terrie@epa.gov, (214) 665-7226, (214) 665-7216, (214) 665-8453, (214) 665-6762. Region VII, U.S. EPA, 901 N. 5th Street, Kansas City, KS 66101, Gayle Hubert, Hubert.Gayle@epa.gov, (913) 551-7439,(913) 551-9669. Region VIII, U.S. EPA, 1595 Wynkoop Street, Mail Code: 8P-HW, Denver, CO 80202-1129, Susanna Trujillo, Trujillo.Susanna@epa.gov, (303) 312-7008, (303) 312-6341. Region IX, U.S. EPA, 75 Hawthorne Street, Mail Code: WST-7, San Francisco, CA 94105, Charles Swanson, Swanson.Charles@epa.gov, (415) 947-4219,(415) 947-3530. Region X, U.S. EPA, 1200 6th Avenue, Seattle, WA 98101, Kim Farnham, Farnham.Kim@epa.gov, (206) 553-6697, (206) 553-8509.

**Headquarters Office:**

Denise Roy, Office of Resource Conservation and Recovery, Environmental Protection Agency, 1200 Pennsylvania Ave., NW., (5303P), Washington, District of Columbia 20460 Email: Roy.Denise@epa.gov Phone: (703) 308 8458.

**Website Address:**

<http://www.epa.gov/tribalmw/>

**RELATED PROGRAMS:**

66.473 Direct Implementation Tribal Cooperative Agreements; 66.605 Performance Partnership Grants; 66.701 Toxic Substances Compliance Monitoring Cooperative Agreements; 66.708 Pollution Prevention Grants Program; 66.709 Multi-Media Capacity Building Grants for States and Tribes; 66.801 Hazardous Waste Management State Program Support; 66.808 Solid Waste Management Assistance Grants; 66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program; 66.926 Indian Environmental General Assistance Program (GAP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The following activities are suggestive and do not limit the range of activities considered eligible under this grant program. These activities are eligible when they are performed in support of developing and implementing a tribal program to manage hazardous waste: Develop and implement codes, regulations, and ordinances, policies, and/or guidance to regulate hazardous waste management activities and facilities, such as generators, transporters, and treatment, storage and disposal facilities. Develop and implement hazardous waste program enforcement policies and procedures to ensure regulatory compliance, including monitoring and inspection schemes. Develop legal and administrative infrastructure adequate to implement and maintain regulatory and/or non-regulatory hazardous waste management programs. Includes support for Tribal Emergency Response Committees (TERC). Identify and assess hazardous waste generation and ongoing management of concern to the community, including: inventory active and inactive dump/disposal sites and assess contamination potential; characterize hazardous waste stream, including illegal dump-sites; and identify sensitive sites with potential or actual impacts on water bodies, soil, air, cultural/historic resources, threatened or endangered species, etc. Develop and implement tribal integrated hazardous waste management plans (including, but not limited to, source reduction/recycling, household hazardous waste collection programs, pesticide container collection, ). Implement used oil collection/re-use and other programs to reduce the mismanagement of hazardous waste in the community. Implement household hazardous waste collection events or programs that provide sustainable or long-term solutions for disposal of household hazardous waste for the community. Develop outreach/education documents and other resource materials to plan and conduct hazardous waste management seminars for tribal leaders, community members, business and civic organizations, etc. Establish qualifications for environmental management personnel relative to the tribes needs and plan for program implementation. Establish a communications plan for hazardous waste management program activities. Identify multi-jurisdictional opportunities for hazardous waste management, including feasibility for intergovernmental (Tribal, Federal, State, local) cooperative efforts. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available



## CRITERIA FOR SELECTING PROPOSALS:

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### 66.813 ALTERNATIVE OR INNOVATIVE TREATMENT TECHNOLOGY RESEARCH, DEMONSTRATION, TRAINING, AND HAZARDOUS SUBSTANCE RESEARCH GRANTS

#### FEDERAL AGENCY:

Office of Solid Waste and Emergency Response, Environmental Protection Agency

#### AUTHORIZATION:

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311(b)&(c), Public Law 95-510, 42 U.S.C 9660; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311(b)&(c), Public Law 99-499, 42 U.S.C 9660.

#### OBJECTIVES:

To support grants and cooperative agreements for (1) a program of research, evaluation, testing, development, and demonstration of alternative or innovative treatment technologies which may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment; (2) a technology transfer program including the development, collection, evaluation, coordination, and dissemination of information relating to the utilization of alternative or innovative treatment technologies for response actions; (3) a program of training and evaluation of training needs in the procedures for the handling and removal of hazardous substances for employees who handle hazardous substances and training in the management of facilities at which hazardous substances are located and in the evaluation of the hazards to human health presented by such facilities for State and local health and environmental agency personnel, and (4) a program of research with respect to the detection, assessment, and evaluation of the effects on and risks to human health of hazardous substances and detection of hazardous substances in the environment.

Funding Priority - Fiscal Year 2011: 1)To support the Removal Action Focus Group with research on resources, capabilities and successes of State removal and environmental emergency response programs to participate in Superfund large-scale emergencies. 2)To produce information that States will use to improve and enhance the practices relative to the assessment, remediation, and long-term stewardship activities conducted at Superfund sites. 3)To support work on national policy issues related to long-term state stewardship with a focus on the facilitation of renewable energy development at sites with residual contamination. Renewable energy forums, a compendium of best practices, and other related work have been proposed.

#### TYPES OF ASSISTANCE:

PROJECT GRANTS

#### USES AND USE RESTRICTIONS:

Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable indirect costs, in accordance with established EPA policies and regulations. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Types of discrete projects may include: land use controls research; health effects in construction workers; studies of above ground storage tank inspection practices; remediation technologies and strategies; and support for State forums to share information on research on hazardous substances waste remediation. Funding awarded for research under CERCLA 311(c) does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when

on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### Applicant Eligibility:

Assistance under this program is generally available to States, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and individuals. In some instances, EPA will consider applications from profit makers, proposing projects with significant technical merit and relevance to EPA's Office of Solid Waste and Emergency Response. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### Beneficiary Eligibility:

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, industry, and other public and private institutions and individuals.

#### Credentials/Documentation:

EPA may request that applicants document their nonprofit status. The Agency may also request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

#### Preapplication Coordination:

Applicants considering submitting proposals are advised to discuss proposed projects with or submit pre-applications to staff in the appropriate EPA technical program offices. When making competitive awards, EPA will specify the nature of the pre-application assistance, if any, that will be available to applicants in the Requests for Initial Proposals or Requests for Applications. For information contacts, see Appendix IV of the Catalog. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### Award Procedure:

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals,

and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

For non-competitive awards: Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable. For competitive awards: Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA's Appropriation Act requires that applicants submitting unsolicited research grant and cooperative agreement proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. This requirement cannot be waived by EPA. In addition, CERCLA 311(b)(3) requires that EPA, "to the maximum extent possible", enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the 311(b)(3) cost sharing requirement in appropriate cases.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA generally funds grants and cooperative agreements in a lump sum on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Incremental funding may be available. EPA generally limits project periods to 5 years. The Office of Congressional Liaison is notified of the award. They in turn notify the appropriate House and Senate members that the assistance agreement has been awarded. This notification period lasts 5 days. After the 5 Day Congressional notification period, the original award document will be sent to the recipient. A copy of the award document will be sent to the Project Officer and the Las Vegas Financial Management Center or the Regions Financial Management Office. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. EPA may require that for profit recipients follow 40 CFR Part 30. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

20-8145-0-7-304.

**Obligations:**

(Project Grants) FY 10 \$550,178; FY 11 est \$850,000; and FY 12 est \$850,000

**Range and Average of Financial Assistance:**

For each fiscal year it is \$20,000 - \$600,000, Average \$320,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The work in this task built on ongoing work by examining long-term stewardship, institutional controls, and site reuse. The desire to partner with recipients to facilitate the reuse of sites with residual contamination that can be reused was a priority. In FY 10 there were 3 active projects. Fiscal Year 2011: In FY 11 there are 3 active projects. The work in these projects builds on ongoing work by examining long-term stewardship, institutional controls, and site reuse. The desire to partner with recipients to facilitate the reuse of sites with residual contamination that can be reused is a priority. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Alternative or innovative treatment technology and hazardous substance research grants are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Barbara McDonough, Contracts Management Branch, Resources Management Division, Office of Superfund Remediation & Technology Innovation, USEPA (5202-P), 1200 Pennsylvania Ave., N.W., Washington, District of Columbia 20460 Email: mcdonough.barbara@epa.gov Phone: (703) 603-9042.

**Website Address:**

<http://www.epa.gov/superfund/index.htm>

**RELATED PROGRAMS:**

66.808 Solid Waste Management Assistance Grants; 66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements ; 66.815 Brownfield Job Training Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Land use controls research; estimating soil ingestion in

construction workers; study of state and territorial above ground storage tank inspection practices; State support for forums to discuss and share experiences on remediation technologies and strategies; support for State forums to share information on research on waste remediation; and work on national policy issues related to long-term state stewardship with a focus on the facilitation of renewable energy development at sites with residual contamination. Updated renewable energy forums, a compendium of best practices, and other related work were conducted. Fiscal Year 2011: Land use controls research; estimating soil ingestion in construction workers; study of state and territorial above ground storage tank inspection practices; State support for forums to discuss and share experiences on remediation technologies and strategies; support for State forums to share information on research on waste remediation; and work on national policy issues related to long-term state stewardship with a focus on the facilitation of renewable energy development at sites with residual contamination. Enhancements to renewable energy forums, a compendium of best practices, and other related work were proposed. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Competitive applications and proposals will be selected in accordance with announced criteria. Non-competitive proposals are judged for (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.814 BROWNFIELDS TRAINING, RESEARCH, AND TECHNICAL ASSISTANCE GRANTS AND COOPERATIVE AGREEMENTS**

Brownfields 104(k)(6) Grants

#### **FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

#### **AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act, Section 101(39)&104(k)(6), 42 U.S.C 9604(k)(6).

#### **OBJECTIVES:**

CERCLA 104(k)(6) provides EPA with authority for a program of training, research, and technical assistance to individuals and organizations to facilitate the inventory of brownfields properties, assessments, cleanup of brownfields properties, community involvement, or site preparation. Brownfield sites are real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant.

Funding Priority - Fiscal Year 2011: EPA may solicit proposals for training, research, and technical assistance and will incrementally fund projects with satisfactory project progress selected in previous 104(k)(6) training, research, and technical assistance competitions. The Agency gives preference to the ten statutory ranking criteria, as applicable, found at CERCLA 104(k)(5)(C) (see [180] CRITERIA FOR SELECTING PROPOSALS, below) when evaluating applications for research, training and technical assistance funding. In addition to the statutory criteria, EPA also evaluates applicants based on their ability to manage grants and other policy-based factors intended to promote effective stewardship of Federal funds. By statute, 25% of the funding for CERCLA 104(k), must be used for characterization, assessment, and remediation of Brownfields sites contaminated by petroleum or petroleum products. No more than 15% of the funding appropriated for CERCLA 104(k) grants may be used to fund training, research, and technical assistance grants authorized by CERCLA 104(k)(6). EPA expects to support brownfields training, research, and technical assistance through the Technical Assistance to Brownfields (TAB) Communities Program by awarding up to 10 cooperative agreements that will help guide communities through the cleanup and redevelopment process at brownfield properties. For certain competitive funding opportunities, the Agency may limit eligibility to a particular subset of eligible applicants. The

amount of financial assistance will vary, with the total funding amount for the TAB program not to exceed \$10 million, or up to \$500,000 per grant per year of award.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Funds awarded under Section 104(k)(6) of CERCLA must be used for training, research, and technical assistance to individuals and organizations, to facilitate the inventory of brownfields properties, site assessments, cleanup of brownfields properties, community involvement, or site preparation. Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable programmatic costs, in accordance with established EPA policies and regulations. Costs incurred under CERCLA 104(k)(6) grants or cooperative agreements may not be used for an administrative cost, penalty or fine, a Federal cost-share requirement, a response cost for which the recipient of the grant or cooperative agreement is potentially liable under CERCLA 107, or the cost of complying with a Federal law, with the exception of the costs of laws applicable to cleanup of Brownfields sites.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

A general purpose unit of local government; a land clearance authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of local government; a government entity created by a State legislature; a regional council or group of general purpose units of local government; a redevelopment agency that is chartered or otherwise sanctioned by a State; a State; an Indian Tribe other than in Alaska; an Alaska Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community. Nonprofit organizations are also eligible for training, research, and technical assistance grants. Nonprofit organizations must meet the definition of that term in Section 4(6) of the Federal Financial Assistance Management Improvement Act of 1999, Public Law 96-107, 31 U.S.C. 6101 Note: Under this definition, colleges, universities, and community colleges are eligible to apply. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State, Tribal (an Indian Tribe other than in Alaska; an Alaska Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community), and local governments, communities with Brownfields sites and their residents, community groups, universities and colleges, industry, and other public and private institutions and individuals.

#### **Credentials/Documentation:**

EPA may request that applicants document their non-profit status. The Agency may also request that applicants demonstrate they have appropriate background, academic training, and experience in the field to carry out projects. EPA may ask applicants for research projects to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional

information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. See Appendix 1 for additional information regarding SPOC's. If there is no single point of contact for the state, or the state has not selected this program for review, applicants must contact directly affected state area-wide regional and local entities prior to award. (See 40 CFR 29.7(b)). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. This is a competitive grant program. Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA is required by statute to conduct this assistance program competitively. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds. Incremental funding is subject to review and approval by the Office of Brownfields and Land Revitalization, Office of Solid Waste and Emergency Response. The funded grants and cooperative agreements are not eligible for renewal.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: For training, research and technical assistance grants, EPA will not require that applicants include a match or cost share unless required by the terms of a competitive announcement. Even if EPA decides not to require matching funds, a statutory factor in ranking applications under Section 104(k)(6) is the extent to which EPA financial assistance will stimulate the availability of other funds for environmental assessment or remediation, and subsequent reuse of Brownfields sites. Applicants may be encouraged to provide information regarding resources (cash/in-kind services) that they, or a project partner, would commit to efforts receiving EPA financial assistance. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA generally funds grants and cooperative agreements on a 12 month basis, however, EPA may fully fund the agreements at the time of award. EPA will

negotiate the project period with each applicant based on project requirements. The project period can range anywhere from two to five years. The anticipated period of performance for the TAB cooperative agreements is five years. See the following for information on how assistance is awarded/released: EPA generally funds the research, training, and technical assistance grants and cooperative agreements incrementally on a 12 month basis. However, EPA can negotiate the assistance award with each applicant based on project requirements.

**Reports:**

No program reports are required. No cash reports are required. Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Quarterly progress reports are generally required as part of the terms and conditions of the grants and cooperative agreements. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$7,316,745; FY 11 est \$3,999,664; and FY 12 est \$11,500,000 - For FY 2010 the program obligated \$7,316,745. The total funding estimated for FY 2011 is \$3,999,664 of which approximately \$2,000,000 is designated for Technical Assistance to Brownfields (TAB) cooperative agreements which will be solicited in FY 2011, and the remainder to incrementally fund existing cooperative agreements funded in previous years. At this time the total funding estimated for FY 2012 is \$11,500,000.

**Range and Average of Financial Assistance:**

Historically, the Brownfields Training, Research, and Technical Assistance cooperative agreements have ranged anywhere from \$115,000 to \$2,000,000 per cooperative agreement, depending on the specific focus area of that year's solicitation. The approximate average of financial assistance award, based on the actual awards made in the past fiscal year (FY2010) is \$215,198. Awards have not yet been made for the current fiscal year, so at this time there is no average amount awarded in FY 2011.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The new cooperative agreements awarded in FY10 included 23 pilots under the new Brownfields Area-Wide Planning program and one award for Section 128(A) State Implementation Support. EPA also provided incremental funding to projects awarded in previous years. The incrementally funded grants provided training, community education and technical assistance to support brownfields assessment and cleanup efforts by state, local and tribal governments, communities, nonprofit organizations and private sector entities. The grants also resulted in research reports, case studies, and documents

assisting communities with brownfields projects. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Brownfields training, research, and technical assistance grants are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for non-profit institutions. EPA will provide applicants with guidance on statutory prohibitions on the use of grant and cooperative agreement funds in Requests for Initial Proposals, Requests for Applications, or by other means. EPA will provide assistance regarding clarification of the grant proposal guidelines. Potential applicants may submit written requests to OBLR for clarification. Significant clarifications to the guidelines will be posted on the brownfields website <http://www.epa.gov/brownfields>. This is the only form of pre-application assistance available. EPA will not meet with applicants to discuss draft proposals or provide informal comments on proposals.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

David Lloyd, Office of Brownfields and Land Revitalization, OSWER, EPA, 1200 Pennsylvania Ave, NW, Washington, District of Columbia 20460 Email: [lloyd.davidr@epa.gov](mailto:lloyd.davidr@epa.gov) Phone: (202) 566-2777.

**Website Address:**

<http://www.epa.gov/brownfields>

**RELATED PROGRAMS:**

66.815 Brownfield Job Training Cooperative Agreements; 66.817 State and Tribal Response Program Grants; 66.818 Brownfields Assessment and Cleanup Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY10, EPA used the Brownfields (k)(6) funding for research, training and technical assistance pertaining to piloting local community approaches to brownfields area-wide planning, and to provide state implementation support of the Section 128(A) program. EPA awarded area-wide planning funds to 23 communities (via local government, tribal, regional planning commission, and non-profit organizations) in under-served and economically disadvantaged areas. These entities will facilitate community involvement in developing area-wide strategies to address their local brownfields challenges. Communities will complete the area-wide planning process by initiating development of an area-wide plan that will lead to feasible brownfields cleanup and reuse, and identify resources needed and next steps to implement the plan. The award for the state implementation support grant will promote and stimulate information exchange among State officials managing solid, hazardous and brownfields response programs and EPA officials to jointly resolve CERCLA Section 128(a) issues, and identify emerging response program issues that are of interest to states. Fiscal Year 2011: Information not yet available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This is a competitive grant program. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.815 ENVIRONMENTAL WORKFORCE DEVELOPMENT AND JOB TRAINING COOPERATIVE AGREEMENTS**

Environmental Workforce Development and Job Training Program

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, Section 101(39)&104k(6), 42 U.S.C 9604(k)(6); The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), of 1980, Section 311(b)(3)(9); Solid Waste Disposal Act, Section 8001.

**OBJECTIVES:**

The objective of the Environmental Workforce Development and Job Training Program is to recruit, train, and place unemployed and under-employed, predominantly low-income and minority, residents of solid and hazardous waste-impacted communities with the skills needed to obtain full-time, sustainable employment in site assessment, cleanup, and the environmental field at large. Furthermore, this program promotes the facilitation of activities related to assessment, cleanup, or preparation of contaminated sites for reuse, while simultaneously building a local workforce with the skills needed to perform remediation work that are supportive of environmental protection and health and safety.

Funding Priority - Fiscal Year 2011: In FY11, under the Environmental Workforce Development and Job Training Grant Application Guidelines, formerly referred to as the Brownfields Job Training Grant Application Guidelines, applicants were now provided the opportunity to deliver training outside the traditional scope of just brownfields hazardous waste training. As a result of this, applicants were now provided the opportunity to deliver additional training in areas such as: solid waste management and recycling, site preparation for renewable energy installation, emergency management and oil spill cleanup, Superfund and Federal Facility cleanup related training, innovative and alternative treatment technologies, and underground storage tank removal and leak prevention. Other types of supplemental environmental training are also eligible as this list is not exhaustive. Applicants in FY11 were also evaluated heavily on the extent to which they had partnered with employers willing to hire graduates and the extent to which they had conducted labor market assessment and employer surveying.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds awarded under Section 104(k)(6) of CERCLA must be used for training, research, and technical assistance to individuals and organizations, to facilitate the inventory of brownfields properties, site assessments, cleanup of brownfields properties, community involvement, or site preparation. Funds under Section 311(b)(3)(9) of CERCLA must be used for training in innovative and alternative treatment technologies. For Environmental Workforce Development and Job Training grants however, individuals are not eligible to apply. (See eligibility requirements in Section 080) Grants and cooperative agreements are available to eligible entities throughout the United States. Eligible applicants are allowed to design their own curriculums. However, applicants must include the following types of training in their curriculum: OSHA 29 CFR 1910.120 40-hour Hazardous Waste Operations and Emergency Response (HAZWOPER); leaking underground storage tank prevention awareness training; solid waste management or cleanup related awareness training (i.e. recycling center operator training, landfill remediation and capping, demolition and debris collection and recycling, etc.); and, innovative and alternative treatment technologies awareness related training (i.e. preparation of contaminated sites for solar installation, green remediation techniques, phytoremediation, soil amendments, advanced sampling instrument operator training, stormwater management or bioswale system site preparation, etc.) Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable programmatic costs, in accordance with established EPA policies and regulations. Costs incurred under CERCLA 104(k)(6) grant or cooperative agreements may not be used for an administrative cost, penalty or fine, a Federal cost-share requirement, a response cost for which the recipient of the grant or cooperative agreement is potentially liable under CERCLA 107, or the cost of complying with a Federal law, with the exception of the costs of laws applicable to cleanup of sites.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to

conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Proposals will be accepted from either eligible governmental entities as defined in CERCLA Section 104(k)(1) or eligible nonprofit organizations as defined in Public Law 106-107, the Federal Financial Assistance Management Improvement Act. Eligible governmental entities include a general purpose local unit of government; a land clearance authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of government; a governmental entity created by a state legislature; a regional council or group of general purpose units of local government; a redevelopment agency that is chartered or otherwise sanctioned by a state; a state; an Indian Tribe (other than in Alaska), or an Alaskan Native Regional Corporation and an Alaska Native Village Corporation as those terms are defined in the Alaska Native Claims Settlement Act (43 U.S.C. 1601 and following); and the Metlakatla Indian Community. Intertribal consortia, except consortia comprised of ineligible Alaskan tribes, are eligible to apply as well. Eligible nonprofit organizations include any corporation, trust, association, cooperative, or other organization that is operated mainly for scientific, educational, service, charitable, or similar purpose in the public interest; is not organized primarily for profit; and uses net proceeds to maintain, improve, or expand the operation of the organization. Workforce Investment Boards that meet these criteria may be eligible nonprofit organizations. Public and nonprofit private educational institutions are eligible to apply. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For-profit or proprietary training organizations or trade schools are not eligible to apply. Evidence of current nonprofit status under Federal, state or tribal law must be provided at the time the proposal is submitted. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Applicants that received a Brownfields Job Training grant from EPA in Fiscal Year 2010 are not eligible to apply in FY11 for regular appropriation funds. A list of brownfields job training grants awarded in Fiscal Year 2010 can be found on the Brownfields Website, <http://www.epa.gov/brownfields/pilot.htm#previous>. Applicants who received a Brownfields Job Training Grant under ARRA are eligible to apply in FY11. Please visit the following website for more details: [http://www.osha.gov/pls/oshaweb/owadisp.show\\_document?p\\_table=STANDARDS&p\\_id=9765](http://www.osha.gov/pls/oshaweb/owadisp.show_document?p_table=STANDARDS&p_id=9765).

**Beneficiary Eligibility:**

Environmental Workforce Development and Job Training grants will provide environmental job training and help individuals of solid and hazardous waste-impacted neighborhoods take advantage of job opportunities created as a result of the management, assessment and cleanup of contaminated properties.

**Credentials/Documentation:**

EPA requires that applicants document their nonprofit status at the time of application. The Agency may also request that applicants demonstrate that they have appropriate background, academic training, experience in fields, and necessary equipment to carry out training projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This is a competitive grant program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed Section VII as "Information Contacts." (See EPA's Federal Register Notice from November 26, 1986, to exempt hazardous waste training programs from intergovernmental review.). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. By statute, EPA must award Environmental Workforce Development and Job Training grants competitively. EPA will specify application procedures in Requests for Initial Proposals or Request for Applications. As stipulated in the Requests for Applications, successful grant applicants must provide, in addition to the SF 424, a Dun and Bradstreet Data Universal Numbering System (DUNS) number, which is now required when applying for federal grants or cooperative agreements on or after October 1, 2003. For more information go to: <http://www.grants.gov>. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Section 7 of the application guidelines. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Final approval of applications for job training grants and supporting documentation is made by EPA. Award of grant funds are made by EPA Regional Award Officials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For job training grants, the range of approval/disapproval time will be approximately ninety days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities and availability of funds. Renewals and extensions of funding are not available.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: For Environmental Workforce Development and Job Training Grants, EPA does not require that applicants include a match or cost share. However, evidence of leveraged funds is encouraged. Furthermore, a statutory factor in ranking applications under Section 104(k)(6) is the extent to which EPA financial assistance will stimulate the availability of other funds for environmental assessment or remediation, and subsequent reuse of Brownfields sites. Applicants may be encouraged to provide information regarding resources (cash/in-kind services) that they, or a project partner, would commit to efforts receiving EPA financial assistance. EPA may take these commitments into account in ranking proposals.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The performance period for job training grant funds is generally two years. Grant cooperative agreements may be amended to provide additional funding and additional time for grant recipients demonstrating significant success in training efforts depending upon the availability of funding. Proposal funding is not guaranteed at any stage of the proposal process until the Cooperative Agreement, including workplan, is completed and the final award is made. All awards are made in a lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Reporting

requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Quarterly progress reports are generally required as part of the terms and conditions of the cooperative agreements. No expenditure reports are required. Performance monitoring is in accordance with the terms and conditions of the cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,400,000; FY 11 est \$4,000,000; and FY 12 est \$4,000,000

**Range and Average of Financial Assistance:**

\$197,051 to \$200,000; average \$199,773. For job training grants awarded in FY2011, an eligible entity may be able to apply for awards up to \$300,000. The performance period for these grants is generally 2 years.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY10, 12 cooperative agreements were awarded. Fiscal Year 2011: An anticipated 14 cooperative agreements will be awarded in FY11. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For job training grants, costs must be in accordance with OMB Circulars Nos. A-87 (state, tribal and local governments), A-21 (universities) and A-122 (nonprofit organizations), depending on the recipient. Recipients must comply with 40 CFR Part 30 for universities and nonprofit organizations, and Part 31 for states, tribes, and local governments. In addition, recipients must comply with applicable provisions of EPA training grant regulations at 40 CFR Part 45. EPA will also provide applicants with guidance on statutory prohibitions on the use of grant and cooperative agreement funds in Requests for Initial Proposals, Requests for Applications, or by other means.

**Regional or Local Office:**

See Regional Agency Offices. EPA Regional Offices are listed in Section 7 in the Application Guidelines for Brownfields Job Training Grants.

**Headquarters Office:**

Joseph Bruss, Office of Brownfields and Land Revitalization, OSWER, EPA, Washington, District of Columbia 20460 Email: bruss.joseph@epa.gov Phone: (202) 566-2772.

**Website Address:**

<http://www.epa.gov/brownfields>.

**RELATED PROGRAMS:**

66.814 Brownfields Training, Research, and Technical Assistance Grants and

Cooperative Agreements ; 66.817 State and Tribal Response Program Grants; 66.818 Brownfields Assessment and Cleanup Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In Fiscal Year 2010 the EPA Brownfields Program awarded cooperative agreements to a variety of eligible entities and nonprofit organizations to provide local residents with the skills needed to gain employment in careers related to the assessment and cleanup of brownfields sites. These cooperative agreements included training and instruction in a variety of subjects, including: OSHA health and safety training, HAZWOPER and HAZMAT certification, lead and asbestos abatement, forklift operations, phytoremediation, mold remediation, site assessment, sampling, field investigation, instrumentation, and treatment technologies. Furthermore, these cooperative agreements provided brownfields job training programs the funds needed to perform recruitment and community outreach to residents in low-income and minority neighborhoods impacted by brownfields sites. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.816 HEADQUARTERS AND REGIONAL UNDERGROUND STORAGE TANKS PROGRAM**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Superfund Amendments and Reauthorization Act of 1986 , Public Law 99-499, 42 U.S.C 6991; Solid Waste Disposal Act of 1976, Section 8001(a)&(b), Public Law 98-616, U.S.C 8001; Resource Conservation and Recovery Act of 1976; EPA's Annual Appropriations Act.

**OBJECTIVES:**

To support activities that promote the prevention, compliance, and identification of underground storage tanks, and to support activities that promote corrective action, enforcement and management of releases from underground storage tank systems.

Funding Priority - Fiscal Year 2011: High priority tasks include: (1) Training Support: Provide State and tribal underground storage tanks (UST) and leaking underground storage tanks (LUST) programs and the regulated community mechanisms by which state and federal communication, assistance and training on UST/LUST program implementation can occur on both a regional and national scale; (2) Electronic Newsletter: Provide state and tribal regulators, the general public and the regulated community with technical information on underground storage tank (UST) systems; and (3) State/Federal Partnerships: Provide technical assistance and forums for information exchange to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible.

Funding Priority - Fiscal Year 2012: High priority tasks include: (1) Training Support: Provide State and tribal underground storage tanks (UST) and leaking underground storage tanks (LUST) programs and the regulated community mechanisms by which state and federal communication, assistance and training on UST/LUST program implementation can occur on both a regional and national scale; (2) Electronic Newsletter: Provide state and tribal regulators, the general public and the regulated community with technical information on underground storage tank (UST) systems; and (3) State/Federal Partnerships: Provide technical assistance and forums for information exchange to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information

may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable indirect costs, in accordance with established EPA policies and regulations. Use Restrictions are that funds awarded under Section 8001(a) and (b) of RCRA must be used for projects that may include the following types of activities: educational materials, surveys, training, studies, demonstrations, investigations, special projects and the development or use of methods to improve UST systems management and performance to reduce the actual and potential risks to human health and the environment.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

These assistance agreements are only available to public authorities (State, interstate, intrastate, agencies designated by States or Territorial Governors to receive UST notifications, federally-recognized Tribes and Intertribal Consortia, and local), public agencies and institutions; private non-profit organizations and agencies that meet the requirements of Section 8001(a) and (b) of the Solid Waste Disposal Act. Profit-making organizations and the general public are not eligible.

**Beneficiary Eligibility:**

State and local governments, territories and possessions, interstate agencies, Tribes, Intertribal Consortia, members of the regulated community and residents in areas impacted by federally regulated underground storage tanks.

**Credentials/Documentation:**

EPA may request that applicants document their nonprofit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Cost sharing is not required, unless noted in request for applications or initial proposals.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length and time phasing of the assistance agreement shall be determined prior to the award. Assistance agreements are awarded either as non-competitive or competitive, subject to EPA Order 5700.5A1. The length of the assistance agreements may be from one year to seven years. See the following for information on how assistance is awarded/released: The funding is released to the recipient according to the recipient's accounting requests, e.g., quarterly, monthly, etc.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. No cash reports are required. No progress reports are required. Recipients are required to submit Federal Financial Reports (SF-425) to the Las Vegas Financial Center. EPA conducts baseline and advanced post-award monitoring of the recipient's performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

20-8153-0-7-304; 68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$1,243,868; FY 11 est \$377,051; and FY 12 Estimate Not Available - EPM: FY 2010 actual: \$823,868; FY 2011 est. \$197,981; FY 2012 est: unknown

LUST: FY 2010 actual: \$420,000; FY 2011 est. \$179,070; FY 2012 est: unknown.



**Range and Average of Financial Assistance:**

FY 2010 Range \$384,000- \$430,000; Average \$411,000.

FY 2011 Range: \$179,000 - \$198,000; Average: \$189,000.

Assistance agreements were awarded on a multiple year basis, with incremental funding.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Four applications were received and were awarded as incremental and supplemental funding on existing assistance agreements. Recipients provided states and/or tribal staff with opportunities for training and dissemination of information to help with meeting the program's UST and LUST performance measures, as identified in the FY 2010 National Program Guidance, see [http://www.epa.gov/planandbudget/FY\\_2010\\_OSWER\\_NPM\\_Gdnce.pdf](http://www.epa.gov/planandbudget/FY_2010_OSWER_NPM_Gdnce.pdf), p. 34. Fiscal Year 2011: Not available at this time. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Part 30, 31, and 34); "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA, on a subscription basis. Costs will be determined in accordance with OMB Circular No. A-21 (2 CFR Part 220) for educational institutions, OMB Circular No. A-87 (2 CFR Part 225) for State and local governments and Indian Tribes, and OMB Circular No. A-122 (2 CFR Part 230) for non-profit institutions.

**Regional or Local Office:**

See Regional Agency Offices. For state-specific opportunities, EPA encourages potential applications to communicate with the appropriate EPA Regional Underground Storage Tanks Regional Program Managers, see <http://www.epa.gov/OUST/regions/index.htm>.

**Headquarters Office:**

Lynn Depont, 1200 Pennsylvania Avenue, NW, Mail Code 5401P, Washington, District of Columbia 20460 Email: [depont.lynn@epa.gov](mailto:depont.lynn@epa.gov) Phone: (703) 603-7148.

**Website Address:**

<http://www.epa.gov/OUST/>

**RELATED PROGRAMS:**

66.804 State and Tribal Underground Storage Tanks Program; 66.805 Leaking Underground Storage Tank Trust Fund Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) Training Support: Provide underground storage tanks (UST) and leaking underground storage tanks training activities for states and tribes, e.g., the National Tanks Conference, Tribal Conference, training on the effective implementation strategies and the tools utilized among the states with regulatory programs underway, program initiatives, compliance with UST systems, and UST releases. 2) Electronic Newsletter (LUSTLine): Provide state and tribal regulators, the general public and the regulated community with technical information on UST systems. 3) State/Federal Partnerships: Provide technical assistance, topic-oriented meetings and forums for information exchanges to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible. 4) Studies: Gather information and provide a summary on technical issues, e.g., study on the impact of using on-site measurement technologies for site assessment and contaminant conceptualization at petroleum release sites. 5) Disseminate technical information to states, tribes and Intertribal Consortia on UST/LUST program implementation. Fiscal Year 2011: 1) Training Support: Provide underground storage tanks (UST) and leaking underground storage tanks training activities for states and tribes, e.g., Tribal Conference, training on the effective implementation strategies and the tools utilized among the states with regulatory programs underway, program initiatives, compliance with UST systems, and UST releases. 2) Electronic Newsletter (LUSTLine): Provide state and tribal regulators, the general public and the regulated community with technical information on UST systems. 3) State/Federal Partnerships: Provide technical assistance, topic-oriented meetings and forums for information exchanges to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible.

4) Studies: Gather information and provide a summary on technical issues, e.g., study on the impact of using on-site measurement technologies for site assessment and contaminant conceptualization at petroleum release sites. 5) Disseminate technical information to states, tribes and Intertribal Consortia on UST/LUST program implementation. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.817 STATE AND TRIBAL RESPONSE PROGRAM GRANTS****FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Small Business Liability Relief and Brownfields Revitalization Act; Comprehensive Environmental Response, Compensation, and Liability Act, Section 128(a), Public Law 107-118.

**OBJECTIVES:**

EPA's CERCLA Section 128(a) grant program funds activities that establish or enhance state and tribal response program capacity, capitalize revolving loan funds (RLFs), and support insurance mechanisms. The goals of this funding are to provide financial support for elements of an effective state or tribal response program as specified in CERCLA Section 128 and to ensure that states and tribes maintain a public record of sites included in their programs.

Funding Priority - Fiscal Year 2011: In FY 2011, funding will be prioritized as follows: (1) Funding for program development activities to establish or enhance the four elements of a state or tribal response program and to enable states and tribes to comply with the public record requirement, including activities related to institutional controls. (States and tribes that have established one or more of the four elements will not be prejudiced in funding distributions if their work plan includes activities that enhance the four elements. States with Voluntary Cleanup Program Memorandum of Agreement will not be prejudiced in funding distributions if their work plan does not include tasks related to establishing or enhancing the four elements.) (2) Funding for program development activities to enhance the response program or the cleanup capacity of a state or tribal response program. (3) Funding for site-specific activities at eligible brownfields sites. (4) Funding for environmental insurance mechanisms. (5) Funding to capitalize brownfields cleanup RLFs.

Funding Priority - Fiscal Year 2012: In FY 2012, funding will be prioritized as follows: (1) Funding for program development activities to establish or enhance the four elements of a state or tribal response program and to enable states and tribes to comply with the public record requirement, including activities related to institutional controls. (States and tribes that have established one or more of the four elements will not be prejudiced in funding distributions if their work plan includes activities that enhance the four elements. States with Voluntary Cleanup Program Memorandum of Agreement will not be prejudiced in funding distributions if their work plan does not include tasks related to establishing or enhancing the four elements.) (2) Funding for program development activities to enhance the response program or the cleanup capacity of a state or tribal response program. (3) Funding for site-specific activities at eligible brownfields sites. (4) Funding for environmental insurance mechanisms. (5) Funding to capitalize brownfields cleanup RLFs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States and tribes can use Section 128 funding to (1) establish or enhance four statutory elements of a response program, as per CERCLA 128(a)(2), (2) capitalize a Revolving Loan Fund program for brownfields cleanup, pursuant to CERCLA 104(k)(3), (3) purchase environmental insurance or develop a risk sharing pool, an indemnity pool, or insurance mechanism to provide financing for response actions under their programs, (4) maintain and update, at least annually, a public record of sites, pursuant to CERCLA 128(b), that includes the name and location of sites at which response actions have been completed

during the previous year and the name and location of sites at which response actions are planned to be addressed in the next year; and (5) conduct limited site-specific activities. "Establish" includes activities necessary to build the foundation for the four elements of a state or tribal response program or may also include activities that keep their program at a level that meets the four elements. "Enhance" is related to activities that add to or improve a state or tribal response program or increase the number of sites at which response actions are conducted under a state or tribal response program. States and tribes may use Section 128(a) funds for activities that establish and enhance their response programs, even if their response programs address petroleum-contamination. Restrictions apply to site-specific activities, such as assessment and cleanup. Assessments and cleanups must be conducted at eligible brownfields sites, as defined in CERCLA 101(39).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States (as defined in CERCLA Section 101(27) and tribes (as defined in CERCLA Section 101(36) are eligible for funding under Section 128(a). To be eligible to receive funding under CERCLA Section 128(a), a state or tribe must demonstrate that its response program includes, or is taking reasonable steps to include, the four elements of a response program. States or tribes that are parties to voluntary response program memoranda of agreement (MOAs) are automatically eligible for Section 128(a) funding. Additionally, states and tribes, including those with MOAs, must maintain and make available to the public a record of sites at which response actions have been completed in the previous year and are planned to be addressed in the upcoming year in order to qualify for Section 128(a) funding.

**Beneficiary Eligibility:**

Beneficiaries include individuals living in recipient states', territories', and tribes' jurisdiction.

**Credentials/Documentation:**

States and tribes must provide documentation that they have met or are making reasonable progress towards meeting the four statutory elements, or have a Voluntary Cleanup Program Memorandum of Agreement with EPA, and have established and are maintaining the public record. States and tribes must define their "Section 128(a) response program", and may designate a component of the state or tribe that will be EPA's primary point of contact for negotiations on their proposed work plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Annually, states and tribes will work with the EPA regional offices to develop their work plans and funding requests for the upcoming year. Each cooperative agreement must have an annual budget period tied to an annual work plan. Annual funding guidance provides the requirements for submitting requests. No specific forms are required. Informal assistance is available through regional offices. States are subject to requirements under E.O. 12372, "Intergovernmental Review of Federal Programs" as implemented in 40 CFR Part 29. Tribes are exempt. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and tribes submit requests to EPA regional offices for funding on an annual basis by submitting a proposed work plan. Annual funding guidance provides the information that should be submitted to the regional office. Once initial requests are submitted, EPA headquarters consolidates requests and provides a final allocation based on

factors provided in the funding guidance. No specific form is required for submission of request.

**Award Procedure:**

EPA regional offices will negotiate and enter into a single cooperative agreement with interested states or tribes. States and tribes may distribute these funds among the appropriate state and tribal agencies to meet their specific needs within their state or tribal agency structures. At least annually, the regional offices must verify that a public record as described above exists for each of the state or tribal response programs that are receiving funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days are required for the application request to be approved or disapproved.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Each state and tribal cooperative agreement will be evaluated on an annual basis to ensure that the requirements to receive funding are being met. If funding is not used, it may be carried over into the next budget period.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: States and tribes are not required to provide matching funds for grants awarded under Section 128(a). However, if the state or tribe uses Section 128(a) funds to capitalize a Brownfields RLF under CERCLA 104(k)(3), a 20% cost share is required on the amount of Section 128(a) funds used to capitalize an RLF. This program has no statutory formula, but does take into account use of prior years' funding in determining future awards. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA regions will evaluate cooperative agreements annually to ensure that requirements to receive funding are being met. EPA regional offices will determine the project period for each cooperative agreement. These may be for multiple years depending on the regional office's grants policies. Each cooperative agreement must have an annual budget period tied to an annual work plan. Funds are awarded on an annual basis and may be drawn down according to regional financial processes. See the following for information on how assistance is awarded/released: This assistance is generally awarded lump sum.

**Reports:**

No program reports are required. No cash reports are required. States and tribes will provide progress reports under 40 CFR 31.40, in accordance with terms and conditions of the cooperative agreement negotiated with EPA regional offices. At a minimum, state or tribal progress reports must include both a narrative discussion and performance data relating to the state's or tribe's accomplishments with Section 128(a) funding. Depending upon the activities included in the state's or tribe's scope of work, an EPA regional office may request that a progress report include other elements as described in the Grant Funding Guidance for State and Tribal Response Programs. The regional offices may also request other information be added to the progress reports, as appropriate, to properly document activities described by the cooperative agreement work plan. Expenditure information should be provided in the progress reports. Performance monitoring is in accordance with the terms and conditions of the cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United

States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

In addition to the statutory public record requirement, states and tribes must comply with record keeping requirements of 40 CFR Part 31 and any applicable requirements under state and tribal laws. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions remain following the three-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$49,495,000; FY 11 est \$49,396,000; and FY 12 est \$49,396,000

**Range and Average of Financial Assistance:**

Most fiscal years range from \$50,000 to \$1,300,000; average approximately \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY10, 124 requests for funding were received resulting in 124 requests being funded. Fiscal Year 2011: In FY11, 139 requests for funding were received. Allocation process has not been finalized for FY11. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31; OMB Circular A-87 applies to the program. EPA anticipates that it will annually publish national Grant Funding Guidance for State and Tribal Response Programs. Fiscal Year 2008 guidance may be found at [www.epa.gov/brownfields](http://www.epa.gov/brownfields).

**Regional or Local Office:**

See Regional Agency Offices. EPA Regional Brownfields Coordinators: Region 1: Diane Kelley, Phone: 617-918-1424, Fax: 617-918-1291, [kelley.diane@epa.gov](mailto:kelley.diane@epa.gov); Region 2: Lya Theodoratos, Phone: 212-637-3230, Fax: 212-637-4360, [theodoratos.lya@epa.gov](mailto:theodoratos.lya@epa.gov); Region 3: Tom Stolle, Phone: 215-814-3129, Fax: 215-814-5518, [stolle.tom@epa.gov](mailto:stolle.tom@epa.gov); Region 4: Mike Norman, Phone: 404-562-8792, Fax: 404-562-8439, [norman.michael@epa.gov](mailto:norman.michael@epa.gov); Region 5: Deborah Orr, Phone: 312-886-7576, Fax: 312-886-7190, [orr.deborah@epa.gov](mailto:orr.deborah@epa.gov); Region 6: Monica Chapa Smith, Phone: 214-665-6780, Fax: 214-665-6660, [smith.monica@epa.gov](mailto:smith.monica@epa.gov); Region 7: Susan Klein, Phone: 913-551-7786, Fax: 913-551-8688, [klein.susan@epa.gov](mailto:klein.susan@epa.gov); Region 8: Dan Heffernan, Phone: 303-312-7074, Fax: 303-312-6955, [heffernan.daniel@epa.gov](mailto:heffernan.daniel@epa.gov); Region 9: Noemi Emeric-Ford, Phone: 213-244-1821, Fax: 213-244-1850, [emeric-ford.noemi@epa.gov](mailto:emeric-ford.noemi@epa.gov); Region 10: Susan Morales, Phone: 206-553-7299, Fax: 206-553-0124, [morales.susan@epa.gov](mailto:morales.susan@epa.gov).

**Headquarters Office:**

David R. Lloyd, Office of Brownfields and Land Revitalization, OSWER, EPA, 1200 Pennsylvania Ave, NW, Washington, District of Columbia 20460 Email: [lloyd.davidr@epa.gov](mailto:lloyd.davidr@epa.gov) Phone: (202) 566-2777.

**Website Address:**

<http://www.epa.gov/brownfields>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Program development activities to establish the four elements of a state or tribal response program, including conducting an inventory of brownfields sites; developing or enhancing oversight and enforcement mechanisms; establishing mechanisms to approve cleanup plans; and providing opportunities and resources for public involvement. Establishing and maintaining a public record of sites, including making information available on

the Internet and maintaining and monitoring institutional controls; capitalizing an RLF for brownfields cleanup; purchasing environmental insurance; developing legislation, regulations, procedures, and guidance that would establish or enhance the administrative and legal structure of their response programs; and undertaking-site specific related activities, such as conducting assessments at selected brownfields sites and auditing completed site cleanups in states that administer a licensed site professional program. Fiscal Year 2011: Information on examples not yet available for FY11. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

EPA will not fund this program through competitive grant solicitations. Section 128(a) funds will be allocated to eligible states and tribes in accordance with the national Grant Funding Guidance for State and Tribal Response Programs.

**66.818 BROWNFIELDS ASSESSMENT AND CLEANUP COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009; The Small Business Liability Relief and Brownfields Revitalization Act of 2002, Public Law 107-118; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, 42 U.S.C 9601(39)&9604k.

**OBJECTIVES:**

Brownfield sites are real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant. The objectives of the brownfield assessment, revolving loan fund and cleanup cooperative agreements (project grants) are to provide funding: (1) to inventory, characterize, assess, and conduct planning and community involvement related to brownfield sites; (2) to capitalize a revolving loan fund (RLF) and provide subgrants to carry out cleanup activities at brownfield sites; and (3) to carry out cleanup activities at brownfield sites that are owned by the grant recipient.

Funding Priority - Fiscal Year 2011: By statute, 25 percent of the funding for this program must be used for characterization, assessment, and cleanup of Brownfields sites contaminated by petroleum or petroleum products. The Agency must also give preference to statutory ranking criteria found at CERCLA 104(k)(5)(C) (see :180 CRITERIA FOR SELECTING PROPOSALS) when evaluating applications for funding.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For site specific projects, the site must meet the definition of a brownfields site found at CERCLA 101(39). As part of the application process, EPA provides guidance to assist grant applicants in determining whether sites meet this definition. (1) The brownfields grants may be used to address sites contaminated by petroleum and hazardous substances, pollutants, or contaminants (including hazardous substances co-mingled with petroleum). (2) Brownfields assessment grant funds may be used to inventory, characterize, assess, and conduct planning and community involvement related to brownfield sites. (3) An RLF project grant recipient must use at least 60 percent of the awarded funds to capitalize and implement a revolving loan fund; an RLF project grant recipient may use no more than 40 percent of the awarded funds for cleanup subgrants and may not subgrant to itself. Revolving loan fund project grants generally are used to provide no-interest or low-interest loans for brownfields cleanups. (4) An RLF project grant recipient may use its funds to award subgrants to other eligible entities, including nonprofit organizations, for brownfields cleanups on sites owned by the subgrantee; (5) Brownfields cleanup grant funds must be used to carry out cleanup activities at brownfield sites that are owned by the grant recipient. (6) Costs incurred under CERCLA 104(k) grants or cooperative agreements may not be used for an administrative cost, penalty or fine, a Federal cost-share requirement, a response cost for which the recipient of the grant or cooperative agreement is potentially liable under CERCLA 107, or the cost of complying with a Federal law, with the

exception of the costs of laws applicable to cleanup of Brownfields sites. All grants under 66.818 are awarded on a discretionary basis. For information on statutory limits on the amount of funding, see 123 Range and Average of Financial Assistance, below. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Eligibility for Assessment, Revolving Loan Fund, and Cleanup Grants: a general purpose unit of local government; a land clearance authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of local government; a government entity created by a State legislature; a regional council or group of general purpose units of local government; a redevelopment agency that is chartered or otherwise sanctioned by a State; a State; an Indian Tribe other than in Alaska; an Alaska Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community. Nonprofit organizations that own the property are also eligible for cleanup grants. Nonprofit organizations must meet the definition of that term in Section 4(6) of the Federal Financial Assistance Management Improvement Act of 1999, Public Law 96-107, 31 U.S.C. 6101 (Note: Under this definition, colleges, universities, and community colleges are eligible to apply.) However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are not eligible to apply for direct funding from EPA. However, for profit organizations may apply for loans made by eligible entities with RLF capitalization grants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Generally, those eligible entities identified above will benefit from the brownfields grant actions. Specifically, individuals and commercial organizations in brownfields grant communities will benefit from brownfields assessment, cleanup, and revitalization funding. New strategies for promoting environmental cleanup lessons from these grants will provide a growing base of information and knowledge for other communities across the country seeking partnerships with stakeholders to coordinate issues related to brownfields and leverage additional opportunities for redevelopment.

#### **Credentials/Documentation:**

EPA may require that nonprofit organizations or eligible entities other than states, tribes, or general purpose units of local government provide documentation of eligibility. EPA may also require that applicants provide site specific information to determine whether a site qualifies as a Brownfields site under CERCLA 101(39). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This is a competitive grant program. EPA guidelines for Requests for Proposals or Requests for Applications will specify application procedures. For EPA Regional Office contacts, see Appendix IV of the Catalog. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

This is a competitive grant program. EPA guidelines for Requests for Proposals or Requests for Applications will specify award procedures. For EPA Regional Office contacts, see Appendix IV of the Catalog. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For the Recovery Act funding, EPA will award separate cooperative agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 180 days.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Recipients of RLF grants may apply for additional funding on a non-competitive basis during any year after the first year the recipient receives an RLF grant. To seek additional funding, RLF grant recipients should contact their EPA Regional Office. In awarding this additional funding the Agency will consider: (I) the number of sites and number of communities that are addressed by the revolving loan fund; (II) the demand for funding by eligible entities that have not previously received an RLF grant; (III) the demonstrated ability of the eligible entity to use the revolving loan fund to enhance remediation and provide funds on a continuing basis; and (IV) Other similar factors, including the availability of funds and the recipient's performance history. Recipients of assessment and cleanup grants generally do not receive additional funding on a non-competitive basis.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula. Matching requirements are not applicable for brownfield assessment grants. Under CERCLA 104(k)(9)(B)(iii) revolving loan fund and cleanup grants require a 20 percent cost share, which may be in the form of a contribution of money, labor, material, or services, and must be for eligible and allowable costs. An RLF or cleanup grant applicant may request a waiver of the 20 percent cost share requirement based on financial hardship.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The performance period for brownfields assessment and cleanup grant funds is three years. The performance period for brownfields revolving loan fund grants is generally five years. Grants are generally announced nationally and awarded by EPA Regional Offices. The Regional Offices work with the applicants to negotiate a workplan and award the cooperative agreement. See the following for information on how assistance is awarded/released: These grants are generally awarded as a lump sum.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports, property profiles, notification of significant development, property inventory reports, procurement reports, a final report and financial reports may be required if authorized by 40 CFR Parts 30 and 31. Quarterly progress reports are generally required as part of the terms and conditions of the cooperative agreement. Expenditure information should be provided in the progress reports. Performance monitoring is in accordance with the terms and conditions of the cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Record Retention Requirements of 40 CFR Part 30 (non-profits and universities) and 40 CFR Part 31 (governmental units) are applicable, depending upon the identity of the recipient and the program funded.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$80,000,000; FY 11 est \$89,000,000; and FY 12 est \$78,200,000

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: (1) For assessment grants, an eligible entity may apply for up to \$200,000 to address sites contaminated by hazardous substances, pollutants, or contaminants (including hazardous substances co-mingled with petroleum) and up to \$200,000 to address sites contaminated by petroleum; most applicants receive this amount. Applicants may request a waiver of the \$200,000 limit up to \$350,000 for sites contaminated by hazardous substances, pollutants, or contaminants (including hazardous substances co-mingled with petroleum) and up to \$350,000 to address sites contaminated by petroleum. Waiver requests must be based on the anticipated level of contamination, size, or ownership status of the site. These limits are mandatory under CERCLA 104(k)(4)(A). A coalition of eligible entities may apply for up to \$1,000,000 to address sites contaminated by hazardous substances or petroleum on a community-wide basis. (2) For revolving loan fund grants, an eligible entity may apply for up to \$1,000,000 for an initial RLF grant. This limit is mandatory under CERCLA 104(k)(4)(A). In addition, coalitions of eligible entities may apply together under one recipient for up to \$1,000,000 per eligible entity. (3) For cleanup grants, an eligible entity may apply for up to \$200,000 per site. The \$200,000 per site limit is mandatory under CERCLA 104(k)(3)(A). Approximate average financial assistance is \$200,000 for cleanup grants, \$200,000 for assessment grants and \$1 million per entity for revolving loan fund grants.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Assessed 1289 properties; cleaned up 109 sites; leveraged 5177 jobs and \$1.4 billion; made 3627 acres made ready for reuse. Fiscal Year 2011: As of May 2011, 1110 sites have been assessed, 58 properties cleaned up, 3034 jobs leveraged, \$987 million leveraged and 2136 acres ready for reuse. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For brownfields assessment, revolving loan fund, and cleanup grants, costs will be determined in accordance with OMB Circular No. A-87 for State, tribal, and local governments or A-122 for nonprofit organizations, and OMB Circular A-21 for universities. Recipients must comply with 40 CFR Part 30 (nonprofit organizations) or 40 CFR Part 31 (governmental entities). The Agency will periodically publish guidance for brownfields grant proposals.

**Regional or Local Office:**

See Regional Agency Offices. Regional Brownfields Coordinators: EPA Region 1, New England, Diane Kelley, One Congress Street (HBT), Boston, MA 02114-2023, Phone (617) 918-1424, Fax (617) 918-1291, kelley.diane@epa.gov; EPA Region 2, Lya Theodoratos, 290 Broadway, 18th Floor, New York, NY 10007, Phone (212) 637-3260, Fax (212) 637-4360, theodoratos.lya@epa.gov; EPA Region 3, Tom Stolle, 1650 Arch Street, Philadelphia, Pennsylvania 19103, Phone (215) 814-3129, Fax (215) 814-5518, stolle.tom@epa.gov; EPA Region 4, Philip Vorsatz, Sam Nunn Atlanta Federal Center, 61 Forsyth Street, Waste Management Division, Brownfields/State Support Section, Atlanta, GA 30303, Phone (404) 562- 8789, Fax (404) 562-8628, vorsatz.philip@epa.gov; EPA Region 5, Deborah Orr, 77 West Jackson Boulevard, Chicago, Illinois 60604-3507, Phone (312) 886-7576, Fax (312) 886-7190, orr.deborah@epa.gov; EPA Region 6, Monica Chapa Smith, First Interstate Bank Tower at Fountain Place, 1445 Ross Avenue, Suite 1200 (6SF-PB), Dallas, Texas 75202-2733, Phone (214) 665-6780, Fax (214) 665-6660, smith.monica@epa.gov; EPA Region 7, Susan Klein, 901 N. 5th Street, Kansas City, Kansas 66101, Phone (913) 551-7786, Fax (913) 551-8688, klein.susan@epa.gov; EPA Region 8, Dan Heffernan, 1595 Wynkoop Street (EPR-B), Denver, Colorado 80202-1129, Phone (303) 312-7074, Fax (303) 312-6067, heffernan.daniel@epa.gov; EPA Region 9, Laurie Amaro, 75 Hawthorne St, WST-8, San Francisco, California 94105, Phone (415) 972-3364, Fax (415) 972-3364, amaro.laurie@epa.gov; EPA Region 10, Susan Morales, 1200 Sixth Avenue, Seattle, Washington 98101, Phone (206) 553-7299, Fax (206) 553-0124, morales.susan@epa.gov.

**Headquarters Office:**

David Lloyd, Office of Brownfields and Land Revitalization, OSWER, EPA, Washington, District of Columbia 20460 Email: Lloyd.DavidR@epa.gov Phone: (202) 566-2777.

**Website Address:**

<http://www.epa.gov/brownfields>.

**RELATED PROGRAMS:**

66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements ; 66.815 Brownfield Job Training Cooperative Agreements; 66.817 State and Tribal Response Program Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: This competitive grant program provides funding for three different kinds of grants: assessment grants, revolving loan fund grants, and cleanup grants. Assessment grants provide funding for a grant recipient to inventory, characterize, assess, and conduct cleanup and redevelopment planning and community involvement related to brownfield sites. Revolving Loan Fund grants provide funding for a grant recipient to capitalize a revolving loan fund and to provide subgrants to carry out cleanup activities at brownfield sites. Cleanup grants provide funding for a grant recipient to carry out cleanup activities at brownfield sites. Examples of projects include conducting Phase I and Phase II assessments, developing cleanup plans, conducting community outreach activities, and conducting cleanups. Fiscal Year 2011: Information not yet available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This is a competitive grant program. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Selection criteria will be outlined in the proposal guidelines and will be based on a system that includes the following ten statutory ranking criteria: (i) The extent to which a grant will stimulate the availability of other funds for environmental assessment or remediation, and subsequent reuse, of an area in which one or more brownfield sites are located. (ii) The potential of the proposed project or the development plan for an area in which one or more brownfield sites are located to stimulate economic development of the area on completion of the cleanup. (iii) The extent to which a grant would address or facilitate the identification and reduction of threats to human health and the environment, including threats in areas in which there is a greater-than-normal incidence of diseases or conditions (including cancer, asthma, or birth defects) that may be associated with exposure to hazardous substances, pollutants, or contaminants. (iv) The extent to which a grant would facilitate the use or reuse of existing infrastructure. (v) The extent to which a grant would facilitate the creation of, preservation of, or addition to a park, a

greenway, undeveloped property, recreational property, or other property used for nonprofit purposes. (vi) The extent to which a grant would meet the needs of a community that has an inability to draw on other sources of funding for environmental remediation and subsequent redevelopment of the area in which a brownfield site is located because of the small population or low income of the community. (vii) The extent to which the applicant is eligible for funding from other sources. (viii) The extent to which a grant will further the fair distribution of funding between urban and nonurban areas. (ix) The extent to which the grant provides for involvement of the local community in the process of making decisions relating to cleanup and future use of a brownfield site. (x) The extent to which a grant would address or facilitate the identification and reduction of threats to the health or welfare of children, pregnant women, minority or low-income communities, or other sensitive populations. In addition, applicants will be required to demonstrate that site specific activities are carried out at sites that meet the definition of a Brownfields site at CERCLA 101(39).

## **66.926 INDIAN ENVIRONMENTAL GENERAL ASSISTANCE PROGRAM (GAP)**

(GAP for Tribes)

### **FEDERAL AGENCY:**

Office of International and Tribal Affairs, Environmental Protection Agency

### **AUTHORIZATION:**

Indian Environmental General Assistance Program Act of 1992, Section 11, Public Law 102-497, 42 U.S.C 4368b.

### **OBJECTIVES:**

To provide general assistance program (GAP) grants to Indian tribal governments and intertribal consortia to build capacity to administer environmental regulatory programs on Indian lands, and provide technical assistance from EPA to Indian tribal governments and intertribal consortia in the development of multimedia programs to address environmental issues on Indian lands.

Funding Priority - Fiscal Year 2011: Funding is for the purposes of planning, developing, and establishing the administrative, technical, legal, enforcement, communications, and environmental education and outreach structure of a tribal environmental program. In FY 2011, the goal is to provide access to funding and technical assistance so that approximately 100 percent, of the federally-recognized tribal governments and intertribal consortia have at least one person working in their community to build a strong, sustainable environment for the future. The vital work performed includes locally assessing the status of a tribe's environmental condition, utilizing available federal information, building an environmental program tailored to the tribe's needs, developing environmental education programs, developing solid waste management plans, assisting in the building of tribal environmental capacity, and alerting EPA to serious conditions involving immediate public health and ecological health.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Activities eligible for funding under this program are those for planning, developing, and establishing capability to implement environmental protection programs including development of solid and hazardous waste programs. General assistance agreements offer the opportunity for a tribe to develop an integrated environmental program, develop the capability to manage specific programs and establish a core program for environmental protection. These assistance agreements provide the opportunity for the tribes to define and develop administrative and legal infrastructures; to conduct assessments, monitoring, planning, and other actions; and to undertake additional activities within a simplified administrative framework. The primary purpose of these assistance agreements is to support the development of elements of a core environmental program, such as: providing for tribal capacity-building to assure an environmental presence for identifying programs and projects, including developing proposals for environmental program grants and managing environmental work; fostering compliance with Federal environmental statutes by developing appropriate tribal environmental programs, ordinances, and

services; and establishing a communications capability to work with Federal, State, local and other tribal environmental officials. Restrictions: The principal focus of this program is on the development of general tribal environmental capability. Assistance will be provided under this program only for activities which the agency determines are appropriate to carry out the purposes of the Act. No single grant awarded under this program may be for an amount exceeding ten percent of the total annual funds appropriated under Section (h) of the Act. As with many of EPA's grants to States and Tribes, GAP grants may now be combined with one or more other EPA grants into a Performance Partnership Grant for administrative savings and, with EPA concurrence, programmatic flexibility. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

### **Applicant Eligibility:**

The following are eligible to receive financial assistance: (a) An Indian tribal government; and (b) an intertribal consortium or consortia. An Indian tribal government is any tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation (as defined in or established pursuant to the Alaska Native Claims Settlement Act, 43 U.S.C. 1601, et seq.), which is recognized by the U.S. Department of the Interior as eligible for the special services provided by the United States to Indians because of their status as Indians. A intertribal consortium is a partnership between two or more Indian tribal governments authorized by the governing bodies of those tribes to apply for and receive assistance under this program. An intertribal consortium is eligible to receive a GAP grant if the consortium demonstrates that: (1) A majority of its members meets the eligibility requirements for GAP grants; (2) all members that meet the eligibility requirements authorize the consortium to apply for and receive the grant; and (3) only members that meet the eligibility requirements will benefit directly from the grant project and the consortium agrees to a grant condition to that effect. An intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An intertribal consortium resolution is not adequate documentation of the member Tribes authorization of the consortium unless it includes a written certification from a duly authorized representative of each Tribal government.

### **Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and eligible Intertribal Consortia.

### **Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must use the "Application for Federal Assistance: State and Local Non-Construction Programs" (Standard Form 424). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Applications are reviewed by the appropriate Regional Office and, if approved, financial assistance is awarded by the Regional Administrator or his/her delegated official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

In order to receive renewals, significant progress must be demonstrated. Renewals are subject to approval of EPA. Contact the EPA Regional contact identified in Appendix IV of the Catalog for additional information.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Award amount remains available until expended in accordance with the term of the award. The term of an award may exceed one year, but may not exceed four years. The term of the grant shall be determined at the time of the grant award. See the following for information on how assistance is awarded/released:  
Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 31 and 40 CFR Part 35, "Environmental Program Grants for Tribes." Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$64,500,000; FY 11 est \$67,239,000; and FY 12 est \$70,875,000

**Range and Average of Financial Assistance:**

The minimum award for the first year of the grant is \$75,000/fiscal year, max. \$400,000/fiscal year; avg. \$110,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, GAP funding was available to allow up to 480 eligible tribal governments and intertribal consortia to continue to develop and expand their environmental management programs and the work initiated in FY 09 and prior years. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 102-497, Section 11, 42 U.S.C.4368(b), as amended by Public Law 103-155, November 24, 1993. The Agency published a notice for the Final Guidelines on the Award and Management of General Assistance Agreements for Indian Tribes at <http://www.epa.gov/indian/tgrant.htm>.

**Regional or Local Office:**

See Regional Agency Offices. EPA's Regional Indian Coordinators at <http://www.epa.gov/indian/region.htm>; George Frantz, Regional Indian Program Manager EPA Region 1 (CSP), 1 Congress Street, Suite 1100, Boston, MA 02114-2023 T: 617-918-1883/FAX: 617-918-1505/[frantz.george@epa.gov](mailto:frantz.george@epa.gov); Christine Yost, Regional Indian Program Coordinator, USEPA Region 2, 290 Broadway, New York, New York 10007-1866, T: 212-637-3564/FAX: 212-637-3772/[yost.christine@epa.gov](mailto:yost.christine@epa.gov); W. J. (Bill) Patton, Tribal Relations Program Coordinator, USEPA Region 4, Atlanta Federal Center, 61 Forsyth Street, Atlanta, Georgia 30303, T: 404-562-8632/FAX: 404-562-9961/[patton.bill@epa.gov](mailto:patton.bill@epa.gov); Luke Jones, Director, Indian Environmental Office, USEPA Region 5, 77 W. Jackson Boulevard, Chicago, IL 60604-3507, T: 312-353-2087/FAX: 312-353-9533/[jones.luke@epa.gov](mailto:jones.luke@epa.gov); Randy Gee, Acting Tribal Affairs Team Leader and Regional Indian Coordinator Office of Environmental Justice and Tribal Affairs, USEPA Region 6, 1445 Ross Ave. (6RA-DT, Dallas, TX 75202 T: 214-665-8355/FAX: 214-665-6648/[gee.randy@epa.gov](mailto:gee.randy@epa.gov); Wolfgang Brandner, Region 7 Tribal Program Coordinator, USEPA Region 7, PLMG/POIS, 901 N. 5th Street, Kansas City, KS 66101, T: 913-551-7381/FAX: 913-551-7053/[brandner.wolfgang@epa.gov](mailto:brandner.wolfgang@epa.gov); Alfreda Mitre, Tribal Assistance Program Director, EPA Region 8 Tribal Assistance Program Mail Code 8P-TA, 1595 Wynkoop Street, Denver, Colorado 80202-1129 T: 303-312-6343/FAX: 303-312-6116/[mitre.alfreda@epa.gov](mailto:mitre.alfreda@epa.gov); Jean Gamache, Tribal Program Manager, USEPA Region 9 (CMD-3), 75 Hawthorne Street, San Francisco, CA 94105, T: 415-972-3554/[gamache.jean@epa.gov](mailto:gamache.jean@epa.gov); Sally Thomas, Manager, Tribal Trust and Assistance Unit, USEPA Region 10, 1200 Sixth Ave., Seattle, WA 98101 T: 206-553-2102/FAX: 206-553-0151/[thomas.sally@epa.gov](mailto:thomas.sally@epa.gov).

**Headquarters Office:**

Rodges Ankrah, American Indian Environmental Office (4104 M), Environmental Protection Agency, Ariel Rios Building, 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: [ankrah.rodges@epa.gov](mailto:ankrah.rodges@epa.gov) Phone: (202) 564-0280.

**Website Address:**

<http://www.epa.gov/indian/contactinfo/regcontacts.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of past funded projects include: establishment of a water quality assessment program; an environmental assessment inventory; establishment of an environmental code; establishment of a multi-media program to address water quality, air quality, safe drinking water, solid waste, hazardous waste and pesticides; establishment of a management plan with emphasis on wastewater sludge reclamation and tire recovery; and establishment of a program to address underground storage tanks, SARA Title

III, and radon. Fiscal Year 2011: No Current Data Available Fiscal Year 2012:  
No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are approved by the individual EPA Regional offices according to the applicant's ability to achieve objectives outlined in Public Law 102-497, Section 11, the interim final regulation for programs implementation in the Federal Register on December 2, 1993, 40 CFR Part 35, Indian Tribes; and the Final Guidelines on the Award and Management of General Assistance Agreements for Indian Tribes. Proposals should contain schedules for progress reports that will contribute towards development of environmental management capacity building; provide for an on-going coordination and problem resolution; and show an adequate ability to meet the proposed objectives, record keeping, and reporting requirements.

**66.931 INTERNATIONAL FINANCIAL ASSISTANCE PROJECTS  
SPONSORED BY THE OFFICE OF INTERNATIONAL AND TRIBAL  
AFFAIRS**

**FEDERAL AGENCY:**

Office of International and Tribal Affairs, Environmental Protection Agency

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, Public Law 92-516, 7 U.S.C 136; Solid Waste Disposal Act, Section 8001; National Environmental Policy Act, Section 102(2)(F); Clean Air Act, Section 103, Public Law 95-95, 42 U.S.C 7401; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; Marine Protection, Research and Sanctuaries Act of 1972, Section 203; Safe Drinking Water Act, Section 1442(a)&(c), Public Law 93-523; Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601.

**OBJECTIVES:**

To protect human health and the environment while advancing U.S. national interests through international environmental collaboration. This mission is supported by these strategic objectives: 1) Reduce Exposure to Toxic Chemicals; 2) Improve Urban Air Quality; 3) Reduce Hazardous Waste and Improve Waste Management; 4) Limit Global GHG Emissions and Other Climate-Forcing Pollutants; 5) Improve access to Clean Water; and 6) Build Strong Environmental Institutions and Legal Structures.

Funding Priority - Fiscal Year 2011: EPA Safeguards air, water, and land for all Americans. International capacity-building plays a key role in protecting human health, communities and the environment by providing technical cooperation to help countries reduce air pollution, better manage air quality global climates, reduce the global use and emission of mercury, manage drinking & surface water quality, and provide technical assistance to restore the land and mitigate sources of land pollution. OITA will work to transfer appropriate air management tools and techniques to key countries and regions as we collaborate with partners to improve air quality. In addition, we will continue efforts to reduce global sources of persistent bioaccumulative toxins. Long-range and transboundary atmospheric transport and deposition of such toxics as Mercury, Persistent Organic Pollutants (POPs) such as polychlorinated biphenyls (PCBs), pesticides, dioxins, and furans continue to threaten human health and ecosystems. OITA will continue to promote the development of activities for managing drinking and surface water quality and provide technical cooperation, expertise, and assistance to help communities and countries preserve and restore the land and to mitigate sources of land pollution.

OITA plays a key role in ensuring trade-related activities sustain environmental protection. Initiatives relating to environmental trade and investment are carried out bilaterally, multilaterally or in connection with multilateral institutions such as the World Trade Organization (WTO), World Bank, European Union (EU), or Asia-Pacific Economic Cooperation Forum (APEC). Also, OITA will support protection of human health and ecosystem for North America through the United States participation in the North American Agreement on Environmental Cooperation and through leadership in the Commission on Environmental Cooperation (CEC), the Organization for Economic Cooperation and Development (OECD), and other international entities. EPA will provide targeted capacity building support under the environmental cooperation agreements developed parallel to U.S. free trade agreements.

U.S.-Mexico Border (to sustain and restore community health and preserve the ecological systems that support them) program is implemented in partnership with the ten Border States and the government of Mexico with its corresponding states and tribes. It addresses the Agency's major themes of clean air, clean water, and clean land. The key areas of focus for the Border 2012 Program include improving water quality in the region; improving availability of low sulfur diesel fuel on the border; the stabilization of abandoned hazardous waste sites; removal of used tire piles along the U.S.-Mexico Border; defining baseline and alternative scenarios for air emissions reductions along the border region; and binational emergency preparedness drills and exercises at border sister cities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Discretionary funds are available for the awards under this program. Grants and cooperative agreements are available to support recipients' allowable direct cost expenditures incident to approved project plus allocable portions of allowable indirect costs of the institution, in accordance with established EPA policy, 40 CFR parts 30 and 31. Funding awarded for international research under these projects does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of International Affairs' mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions.

**Credentials/Documentation:**

Office of International and Tribal Affairs (OITA) may require applicants to submit documentation of non-profit status. OITA may request applicants to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OITA may also ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult



the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Under EPA Order No. 5700.5A1, Policy for Competition in Assistance Agreements (9/12/02), Assistance awards to Foreign Governments and to United Nations agencies and similar International Organizations, such as the Organization of American States and Organization for Economic Cooperation and Development (OECD), may be exempted from competition at the discretion of OITA. For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For non-competitive awards, OITA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to OITA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Payments will be on an advance letter of credit or reimbursement basis; recipient must request the initial advance payment on SF 270, Request for Advance or Reimbursement. See the following for information on how assistance is awarded/released: Assistance is awarded by project.

**Reports:**

No program reports are required. No cash reports are required. Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Progress reports are required under this program. Expenditure Reports are required under this

program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$3,000,000; FY 11 est \$3,000,000; and FY 12 est \$2,500,000

**Range and Average of Financial Assistance:**

Range: \$15,000 - \$300,000; Average: FY 2009 \$250,000, FY 2010 est. \$200,000 and FY 2011 est. \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Some examples of OITA accomplishments: OITA funded several international cooperative agreement/grant projects during FY 2010, for the protection of human health and the environment in support of goal 4: 1) EPA initiated a partnership with the United Nations University through a cooperative agreement that will gather data on the global flows of electronic waste from the U.S., demonstrate sustainable recycling of used electronics in West Africa, and increase EPA's cooperation with Asia, particularly China, on management of used electronics. 2) EPA awarded a cooperative agreement to fund a project that will establish a stakeholders group to provide input for "Breathe Easy, Jakarta", a new partnership between EPA and the government of Jakarta, Indonesia to improve air quality management. Air pollution in Jakarta, an Asian mega-city with over 8 million inhabitants, affects national and regional air quality and human health, particularly for poor and vulnerable populations. 3) EPA awarded a cooperative agreement to fund a project for cooperation on environmental governance in India. Dialogue will take place concerning the establishment of environmental civil judicial and administrative authority in India and discussion on activities for implementing an effecting environmental enforcement program. 4) EPA awarded a cooperative agreement to strengthen China's capacity to improve performance in five areas of environmental management: air, water, toxic chemicals, hazardous, medical and solid waste, and environmental law implementation and enforcement. For the initial funding, the project is to pilot test one or more enforceable policies to enhance the effectiveness of a pollutant discharge free program; to track mercury fate and transport, and reduce emissions from coal-based vinyl chloride monomer production; and to identify policies that promote/enable the development of a solid waste treatment industry. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Paul Trevino Office of International Affairs, USEPA, 1200 Pennsylvania Ave., N.W., Washington, District of Columbia 20460 Email: [trevino.paul@epa.gov](mailto:trevino.paul@epa.gov)  
Phone: (202) 564-1627

**Website Address:**

<http://www.epa.gov/oia/>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.469 Great Lakes Program; 66.609 Protection of Children and Older Adults (Elderly) from Environmental Health Risks; 66.808 Solid Waste Management Assistance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of OITA awarded international projects were to assist in: 1) "Demonstrating Safer Management of Used Electronics in a West African Country"; 2) "Improving Air Quality Management in Jakarta"; 3) "Cooperation on Environmental Governance in India"; and 4) "Strengthening China's Capacity to Improve Performance in Environmental Management".  
Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.940 ENVIRONMENTAL POLICY AND STATE SUSTAINABILITY GRANTS**

State Sustainability Grants

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Toxics Substances Control Act, Section 10, 15 U.S.C 2609; Clean Water Act, Section 104(b)(3), 33 U.S.C 1254(b)(3); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136r; Clean Air Act, Section 103(b)(3), 42 U.S.C 7403(b)(3); Safe Drinking Water Act, Section 1442(a)&(c), 42 U.S.C 1(a)&(c); Comprehensive Environmental, Response, Compensation and Liability Act, Section 104(k)(6).

**OBJECTIVES:**

Competitions and assistance under this announcement would focus one or more of three topic areas: 1) supporting analyses, studies, evaluations, demonstration projects and conferences that lead to an improved understanding for states and communities of how to build greener economies, or provide improved capacity for states and through them, their communities, to implement strategies for adapting to climate change, and managing for sustainability; (2) promoting comprehensive, integrated (multi-media or cross-media) and transferable approaches to sustainable environmental protection and management; (3) promoting the adoption at state and local government levels of environmental outcome measurement and evaluation that are essential to measuring and transferring success.

Funding Priority - Fiscal Year 2011: This program is not being funded in FY 11. Historically, the theme of our solicitation has been "Innovation in Permitting", however, new priorities may focus on ways for states and other government entities to promote innovative practices to build a greener economy, address climate change adaptation and other emerging themes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved Environmental Policy and Sustainability projects plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and

Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under Part 1 and Part 2 of this program is available to States including the District of Columbia, educational and other not-for-profit institutions and foundations. The territories and possessions of the U.S. would also be considered eligible. EPA may make a separate competition available under Parts 1 and 2 of this program to federally-certified Native American Tribes. Assistance under Part 3 of this program is available to educational and other not-for-profit institutions, foundations and institutes to provide independent evaluation of projects or classes of projects that will be of use to other States, local governments, territories and Tribes in adapting approaches piloted by a state, local government, or territory for broader use. Additionally, under Section 3, EPA would provide assistance agreements to support symposia that advance the practice, theory and policy of environmental evaluation and promotes the use of evaluation and evaluation tools by the states, Tribes, territories and local governments and other practitioners as a means to improve environmental sustainability management. EPA would issue separate solicitations for Part 1, Part 2, and Part 3 of this program. Some of EPA's statutes may limit assistance to specific types of interested applicants. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Under Part 1 of this announcement, State and local governments, U.S. territories and possessions. In a separate solicitation that could be issued under Part 1, Federally-certified Native American Tribes.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program and those forms are available on the EPA web site ([http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm)). EPA

requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Requests for Initial Proposals or Requests for Applications will specify application procedures. For information on the current or prior solicitations, please see the EPA State Innovation Grants website at <http://www.epa.gov/innovation/stategrants>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for Environmental Policy and Innovation. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Most projects have been of a 1-3 year duration. For purposes of this program, EPA generally limits the project periods to 4 years although longer terms are possible under exceptional circumstances. Applicants are discouraged from proposing terms over 3 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations Part 30 and Part 31. Program reports are required. No cash reports are required. Quarterly progress reports are required. Expenditure reports are required to be submitted as a part of the project budget along with the quarterly progress reports. Performance monitoring is required as specified in the workplan for specific projects, and are included in the progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$50,000 to \$350,000 per grant. The average historically for awards under this announcement is approximately \$225,000 for a 1-4 year assistance agreement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No grants were awarded in FY 2010. Up to seven projects from previous rounds of competition were expected to be completed during FY 2010. Results reports for completed projects can be found at the program website - <http://www.epa.gov/innovation/stategrants/results>. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Environmental policy and State sustainability grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). State governments costs will be determined in accordance with OMB Circular No. A-87.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Gerald Filbin USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W., Mail Code: 1807T, Washington, District of Columbia 20460  
Email: [filbin.gerald@epa.gov](mailto:filbin.gerald@epa.gov) Phone: (202) 566-2182.

**Website Address:**

<http://www.epa.gov/innovation/stategrants>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.611 Environmental Policy and Innovation Grants; 66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No projects were funded in FY 2010. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.950 NATIONAL ENVIRONMENTAL EDUCATION TRAINING**

**PROGRAM**

(Training Program)

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Education Act, Section 5, Public Law 101-619.

**OBJECTIVES:**

To train educational professionals in the development and delivery of environmental education programs. As required by Public Law 101-619, funds are provided to universities, non-profit organizations, or a consortia of such institutions to deliver environmental education training and support for education professionals.

Funding Priority - Fiscal Year 2011: EPA awards only one cooperative agreement to a university, non-profit organization, or a consortia to operate the program on a multi-year basis. The training and support must be provided for both formal and non-formal educators, occur in both pre-service and in-service settings, and reach geographically and culturally diverse audiences across the U.S. The outputs should include: delivering in-service and pre-service educator training, promoting the national environmental education guidelines, supporting state capacity building, developing and institutionalizing a materials review process, supporting the accreditation of teachers, supporting state educator certification efforts, and supporting internet access to information and materials. The training program to be operated from October 1, 2010 through September 30, 2015 must provide training and support for both formal and non-formal educators, occur in both pre-service and in-service settings, and reach geographically and culturally diverse audiences across the U.S. The outputs should include: delivering in-service and pre-service educator training, promoting the national environmental education guidelines, supporting state capacity building, developing and institutionalizing a materials review process, supporting the accreditation of teachers, supporting state educator certification efforts, and supporting internet access to information and materials.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds shall be used to establish an education and training program which shall include, at a minimum: (1) classroom training in environmental education and studies including environmental sciences and theory, educational methods and practices, environmental career or occupational education, and topical environmental issues and problems; (2) demonstrations of the design and conduct of environmental field studies and assessments; (3) development of environmental education programs and curricula, including programs and curricula to meet the needs of diverse ethnic and cultural groups; (4) sponsorship and management of international exchanges of teachers and other educational professionals between the United States, Canada, and Mexico involved in environmental programs and issues; (5) maintenance or support of a library of environmental education materials, information, literature, and technologies, with electronic as well as hard copy accessibility; (6) evaluation and dissemination of environmental education materials, training methods, and related programs; (7) sponsorship of conferences, seminars, and related forums for the advancement and development of environmental education and training curricula and materials, including international conferences, seminars, and forums; (8) supporting effective partnerships, networks, and the use of distant learning technologies; and (9) such other activities as the Administrator determines to be consistent with the policies of the Act. No funds made available for this program shall be used for the acquisition of real property (including buildings) or the construction or substantial modification of any building. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf

of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is available to universities, non-profit organizations, or a consortia of such institutions to deliver environmental education training and support for education professionals. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Education (0-8), education (9-12), education (13+), nonprofit institutions.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. The Office of Environmental Education may ask applicants or principal investigators to provide curriculum vitae and relevant publications. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A solicitation notice is issued for this program once every five years. The notice identifies the application process. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The next solicitation notice which describes the application procedure for the next training program that will operate from 10/1/10 through 9/30/15, subject to the availability of funds, was posted on <http://www.grants.gov> in late Spring 2010. The last solicitation notice was issued March 18, 2005. The solicitation process for this program is conducted every five years. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

This program is subject to the provisions of OMB Circular No. A-110. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

It can take up to a year from time of application submission to award of an assistance agreement. The next award will be made in early summer 2011 (for the solicitation published in Spring 2010).

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of

the project to the Environmental Education Division's program priorities, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In accordance with the National Environmental Education Act (Public Law 101-619), federal funds for any project under this section shall not exceed 75 percent of the total cost of such project. The project has a 25 percent non-federal match required by statutory formula. For the purposes of this section, the non-Federal share of project costs may be provided by cash or by in-kind contributions and other non-cash support.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The training program consists of an initial one year budget and project period subject to annual supplemental funding agreements for up to five years. See the following for information on how assistance is awarded/released: This program operates on a five year basis. Funds are initially awarded for a one year project period. Subsequent supplemental funding awards on an annual basis for the next four years.

**Reports:**

No program reports are required. No cash reports are required. The grantee must submit bi-annual and final progress reports. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until the expiration of 3 years from the date of submission of the final expenditure report. If questions still remain, such as those raised as the result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,259,500; FY 11 est \$2,259,500; and FY 12 est \$2,000,000

**Range and Average of Financial Assistance:**

This is a 5-year program, one recipient is selected every 5 years. The project is funded on an annual basis and the amount of the annual funding depends on Congressional appropriation. The range and average financial assistance for the full 5-year project period is approximately \$8.5 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: (1) Trained hundreds of thousands of teachers and other education professionals in scientifically-sound and pedagogically-effective environmental education; (2) published a series of national environmental education guidelines for: what constitutes quality EE materials, what K-12 students need to know about the environment to become environmentally literate, what educators need to know to teach effectively about the environment, what constitutes effective non-formal EE programs; and what pre-school children need to learn about the environment; (3) provided leadership and strategic planning training and support to more than 25 states to ensure coordinated and effective statewide EE programs; (4) supported state EE certification efforts in several states; (5) developed four university accredited

on-line EE courses that introduce educators to EE, teach educators how to evaluate EE programs, teach natural resource education professionals about strategic planning, and help EE programs reach culturally diverse audiences; and (6) developed and maintained a state-of-the-art Internet site called "EE-Link" to enable educators to access quality information and resources about environmental education; (7) The new online Master of Science in Environmental Education and Interpretation (EE/I) program started with four students in the fall of 2010;\*(8) A total of thirty scholarships each for \$200.00 were awarded to AEEPE, FEE, and MEER, course participants for this reporting period; (9) Five of the NPPEE publications were revised and reprinted in the 2009-2010: More information on program accomplishments is available at <http://www.eetap.org>. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 30, 31, 32, 33, 45, 47; program guidance; Federal Register (Invitation for Pre-proposal, July 2, 1991); Public Law 101-619.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Javier Araujo Office of Environmental Education, (1704A), Environmental Protection Agency, 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: [araujo.javier@epa.gov](mailto:araujo.javier@epa.gov) Phone: (202) 564-2642

**Website Address:**

<http://www.epa.gov/enviroed>

**RELATED PROGRAMS:**

66.951 Environmental Education Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Environmental education activities such as training for in-service and pre-service educators; promotion of the national environmental education guidelines; support for state capacity building; the development of a materials review process; support for accreditation efforts at universities; support for state educator certification programs; and support for internet access to information and materials. More information is available at <http://www.eetap.org>. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priorities for selecting proposals are listed in Section 5 of Public Law 101-619, National Environmental Education Act. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.951 ENVIRONMENTAL EDUCATION GRANTS**

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Education Act, Section 6, Public Law 101-619.

**OBJECTIVES:**

The Environmental Education Grants Program supports projects to design, demonstrate, and/or disseminate practices, methods, or techniques related to environmental education and teacher training. As required by Public Law 101-619, this grant program provides financial support for environmental education projects implemented by schools, universities, state and local government environmental and educational agencies, tribal education agencies, and nonprofit 501 (c)(3) organizations that increase public awareness and knowledge about environmental issues and provide the skills that participants in its funded projects need to make informed environmental decisions and take responsible actions toward the environment.

Funding Priority - Fiscal Year 2011: All grant projects must address one of the following educational priorities: (1) Capacity Building: Building capacity to develop, deliver, and sustain comprehensive environmental education programs across a state or across multiple states; (2) Education Advancement: Utilizing environmental education as a catalyst to advance state or local education

improvement goals; (3) Community Projects: Addressing environmental stewardship in local context and using community-based stewardship activities as the primary teaching tool; (4) Human Health and the Environment: Educating teachers, students, community leaders, or the public about human-health threats from environmental pollution, especially as it affects children, and how to minimize human exposure to preserve good health; (5) EE Teaching Skills: Providing pre-service and in-service professional development for teachers, faculty, or non-formal educators to improve their teaching skills and/or knowledge about environmental issues and content, such as sustainability, water and air quality, chemical risks, hazardous wastes, climate change and greenhouse gas emissions; or (6) Career Development: Educating students in formal or non-formal settings about environmental issues for the purpose of encouraging interest in environmental careers. All grant projects must also address one of the following environmental priorities: 1) Taking action on climate change; 2) Improving air quality; 3) Assuring the safety of chemicals; 4) Cleaning up our communities; 5) Protecting America's waters; (6) Expanding the conversation on environmentalism and working for environmental justice; 7) Building strong state and tribal partnerships.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Grant funds shall be used to establish an education program which shall include, at a minimum: (1) design, demonstration, or dissemination of environmental curricula and materials on specific topics for which there are no existing materials; (2) design and demonstration of field methods, practices, and techniques, including review of environmental and ecological conditions and analysis of environmental and pollution problems; (3) projects to understand and evaluate a specific environmental issue or a specific environmental problem; (4) provision of training or related education for teachers, faculty, or related personnel in a specific geographic area or region; and (5) design and demonstration of projects to foster international cooperation in addressing environmental issues and problems involving the United States and Canada or Mexico. Priority will be given to those projects which will develop: (a) a new or significantly improved environmental education practice, method, or technique; (b) an environmental education method which may have wide application; (c) an environmental education method which addresses skills or scientific fields identified as a priority in the report developed by the National Environmental Education Advisory Council; and (d) an environmental education project which addresses an environmental issue which, in the judgment of the Administrator, is of a high priority. More specific priorities are listed above under Objectives and are specified in the annual Solicitation Notice. Restrictions: No funds made available for this program shall be used for technical training of environmental management professionals; for advocacy or lobbying; for acquisition of real property (including buildings); or the construction or substantial modification of any building. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Assistance under this program is generally available to local education agencies, colleges and universities, state education and environmental agencies, nonprofit organizations described in Section 501(c)(3) of the Internal Revenue Service, and noncommercial educational broadcasting entities as defined and licensed by the Federal Communications Commission. Applicant organizations must be located in the United States or territories and the majority of the educational activities must take place in the United States, Canada, or Mexico. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible

applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Education (0-8), education (9-12), education (13+), nonprofit institutions.

#### **Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants must demonstrate that they have appropriate background, academic training, and experience in the field, and may be asked to demonstrate the necessary equipment or facilities to carry out the project. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

The annual solicitation notice for proposals and grant writing tips are available on the Agency's website listed below. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are accepted for one or two solicitations on an annual grant cycle and are due at the deadline(s) stated below. Applicants submit an application package in the format required in the annual Solicitation Notice(s). Applicants submit an application package to the appropriate EPA Regional Grants Management Offices depending on where the project activities will take place. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA, or they may submit applications and attachments on paper via mail or delivery services.

#### **Award Procedure:**

Applications for assistance agreements are to be submitted to and evaluated by the appropriate EPA Regional Offices based on where the proposed project will take place. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. All awards are competed through the annual announcement(s) and no proposals are awarded non-competitively.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 180 days.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

None. Grants proposals are evaluated annually on a competitive basis. Therefore, applicants should not plan for renewals.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In accordance with the National Environmental Education Act (Public Law 101-619), federal funds for any project under this section shall not exceed 75 percent of the total cost of such project. The project has a 25 percent non-federal match required by statutory formula. For the purposes of this section, the non-federal share of project costs may be provided by cash or by in-kind contributions and other non-cash support.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The majority of the grants awarded in this program have been completed in a one-year project period. However, up to two year project periods are possible depending upon the nature and complexity of the project. Activities must be completed within the time frame of the budget period. Two or more concurrent grants to the same organization for the same project are not allowed in this program. Grants may be incrementally or fully funded. This determination is made by the EPA. See the following for information on how assistance is awarded/released: As requested by the grantee periodically.

**Reports:**

No program reports are required. No cash reports are required. Recipients of grants are expected to submit progress reports on at least a semi-annual basis. Final reports and two copies of all grants products are due within 90 days of the close of the budget period. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until the expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as the result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$3,450,882; FY 11 est \$3,400,000; and FY 12 est \$3,400,000

**Range and Average of Financial Assistance:**

Range in past years was \$5,000 to \$200,000 per grant. In FY 2011 the range is \$15,000 to \$100,000 per grant under one RFP, and about \$185,000 to \$200,000 per cooperative agreement under a separate RFP. Average financial assistance: Regional grants are anticipated to average around \$50,000 this year, and the cooperative agreements will be about \$190,000 per Region.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The solicitation closed in December 2009 and a record number of applications were received: 337 at Headquarters and over 1200 in the regions. At the end of the review process, 14 grants were awarded at Headquarters and 76 in the Regions. Thus, the percentage of applications that were awarded funding was smaller for 2010 than previous years, approximately 3 percent of applications received overall. An RFP was issued for FY 2011 and the deadline for submission of applications was May 2, 2011. An RFP for 10 regionally based cooperative agreements will be issued in the summer of 2011. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 7, 12, 30, 31, 32 Subpart F, 33, 47; Public Law 101-619, and the Office of Environmental Education annual Grant Program Solicitation Notice(s).

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office

listed in Appendix IV of the Catalog and on the website [www.epa.gov/enviroed/grants](http://www.epa.gov/enviroed/grants).

**Headquarters Office:**

Karen Scott, Environmental Education Grant Program 1704A, Environmental Protection Agency, 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: [scott.karen@epa.gov](mailto:scott.karen@epa.gov) Phone: (202) 564-2194.

**Website Address:**

<http://www.epa.gov/enviroed>

**RELATED PROGRAMS:**

66.950 Environmental Education and Training Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects funded in FY 2010 include:

A project to bring urban high school students in canoes into the large river that flows through their urban environment but which few of these students ever interact with. While on the river they will learn about water quality, stormwater runoff, and local and federal efforts to clean the river to make it safe for human consumption, recreation, and aquatic life.

A project to educate local leaders and volunteers in a city in the U.S. South West to educate their neighbors, families, and businesses about water resources and home/business landscaping practices that save water and also absorb greenhouse gas emissions and cool the urban heat island effect in their city.

A project to bring youth from a large city out to a suburban botanical garden to learn about environmentally friendly landscaping practices and careers in environmentally-friendly landscape architecture and other green jobs.

A project to educate children and their parents/community in an isolated community with expensive energy costs about alternative energy sources and how these other sources can save them money as well as clean their environment.

A project to educate children and their parents/community about hydro-fracking and how it may affect their local community's water resources and other environmental issues.

A project to get school children involved in tracking bird migration patterns, especially in areas that have been in traditional bird flyway zones, in order to learn how environmental issues like human infrastructure development and climate change are affecting migration patterns. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Basis and priorities for selecting proposals are listed in Section 6 of Public Law 101-619, National Environmental Education Act, and in the annual Solicitation Notice which can be accessed at [www.epa.gov/enviroed](http://www.epa.gov/enviroed) on the internet. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.952 NATIONAL NETWORK FOR ENVIRONMENTAL MANAGEMENT STUDIES FELLOWSHIP PROGRAM**

(NNEMS Fellowship Program)

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act, Section 103(b)(5), 42 U.S.C 7403(b)(5); Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Comprehensive Environmental Response, Compensation, and Liability Act, Section 311, 42 U.S.C 9660; Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136r; Clean Water Act, Section 104(b)(5)&(g)3B, 33 U.S.C 1254(b)(5)&g3B; National Environmental Education Act, Section 7, Public Law 101-619; Toxic Substances Control Act, Section 10, 15 U.S.C 2609.

**OBJECTIVES:**

To provide students an opportunity to participate in a research project that is

directly related to their field of study. To foster a growing interest among higher education students in environmental careers. To help defray the costs associated with the pursuit of academic programs related to the field of environmental protection, such as pollution control, science, engineering, technology, social science, and specialty areas.

Funding Priority - Fiscal Year 2011: The funding priorities for FY 2011 are to support research projects in the following categories: 1) Environmental Policy, Regulation and Law, 2) Environmental Management and Administration; 3) Environmental Science; and 4) Public Relations and Communications.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds are to provide resources to allow for training and research fellowships relating to environmental issues. No matching funds are required.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Applicant Eligibility: A NNEMS Fellowship is available to any associate, undergraduate, graduate, or advanced student who meets the general criteria listed below, as well as those identified for associate, undergraduate, graduate and advanced students. At a minimum, all applicants must be: 1) A citizen of the United States, its territories or possessions, or lawfully admitted to the United States for permanent residency. 2) Enrolled for academic credit at a college or university, or distance-learning institution accredited by a regional or national accrediting organization recognized by the United States Department of Education or the Council for Higher Education Accreditation. Associate and Undergraduate Students: Students attending 2- or 4-year institutions or distance learning institutions must meet the following requirements: 1) 3.0 cumulative grade point average (GPA) based on a scale of 4.0 at the time that the application is due. 2) Completion of at least four courses related to the field of environmental studies. Graduate and Advanced Students: Students enrolled in graduate or doctoral programs must meet the following requirements: 1) Currently enrolled in a graduate or Ph.D. program or can provide proof of acceptance and enrollment to a graduate or Ph.D. program at the time of fellowship award. 2) Completion of at least one semester of graduate or Ph.D. work, or at least four undergraduate courses related to the field of environmental studies. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629,3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Beneficiary Eligibility:**

Students.

**Credentials/Documentation:**

Students are required to submit an official transcript from each 2- or 4-year college or university, or distance learning institution attended. A student must submit verification of acceptance and/or enrollment in a graduate or Ph.D. program if the applicant is a graduating senior. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional

information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Students who are interested in applying for a NNEMS fellowship must submit three complete application packages (one original and two copies) that include: 1) A completed NNEMS application, 2) SF 424, 3) A resume, 4) A completed NNEMS reference form, 5) A completed NNEMS Disclosure and Waiver Statement, 6) Verification of acceptance and/or enrollment in a graduate or Ph.D. program if the applicant is a graduating senior, and 7) An official transcript for each 2- or 4-year college or university, or distance learning institution attended. Official transcripts should be opened and photocopied as two copies of the transcript are required for each complete application. NNEMS application forms can be obtained on our web site at: [www.epa.gov/enviroed](http://www.epa.gov/enviroed). Applicants must submit their completed application package to: NNEMS Fellowship Program, Tetra Tech EM Inc., 1881 Campus Commons Drive, Suite 200, Reston, VA 20191. Students selected for a NNEMS Fellowship must fill out a Fellowship Application (EPA Form 5770-2) and a Fellowship Facilities and Commitment Statement (5770-3). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Grants are solicited through competitions and are not renewed.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

NNEMS Fellowships are awarded for three months full-time and up to three years part-time. Students receive payment in the form of a stipend typically paid in equal monthly payments throughout the duration of the fellowship period. See the following for information on how assistance is awarded/released: Stipends are awarded according to Project Officer's disbursement plan.

**Reports:**

Reporting requirements will be stated in the Terms and Conditions of the official grant award documents. Recipients must submit original final reports to the EPA Project Officer. The final report should be submitted on the last day of the fellowship. Unless directed otherwise by the EPA Project Officer, the final report should summarize the specific project undertaken by the student and the project results. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June



27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Pursuant to 40 CFR Part 46- Fellowships, Subpart E-46.230, Closeout Procedures: NNEMS Fellows must retain all records related to the fellowship for 3 years following the completion date identified on the Completion of Studies Notice. The EPA, the Inspector General, and the Comptroller General of the United States, and any duly authorized representatives have the right of timely and unrestricted access to a student's documents, papers, or other records related to a fellowship in order to make audits, examinations, excerpts, transcripts, and copies of such documents. The rights of access in this paragraph are not limited to the required retention period but shall last as long as those records are retained.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 10 \$394,403; FY 11 est \$133,520; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Recipients of NNEMS fellowships receive a grant award in the form of a stipend, based on the student's level of education and the duration and location of the project. Grant awards range from approximately \$7,400.00 to \$12,600.00 per award for a 3-month, full-time period. The average award is for approximately \$12,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY 2010, 32 applicants received a NNEMS fellowship.  
Fiscal Year 2011: For FY 2011, 9 applicants received a NNEMS fellowship.  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 46-Fellowships and 40 CFR Part 30-General Regulations for Assistance Programs.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Ginger Potter, Office of Environmental Education MC1704A), Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: potter.ginger@epa.gov Phone: (202) 564-0453.

**Website Address:**

<http://www.epa.gov/enviroed/>

**RELATED PROGRAMS:**

66.509 Science To Achieve Results (STAR) Research Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: NNEMS fellows are placed in EPA Headquarters and Regional offices and laboratories nationwide. They work on a variety of EPA developed research projects and environmental topics relating to the following five categories: Environmental Policy, Regulation, and Law; Environmental Management and Administration; Environmental Science; Public Relations and Communications; and Computer Programming and Development. Examples of projects offered by the NNEMS fellowship program relating to the above categories are as follows:

1) Environmental Policy, Regulation and Law: Fellowships offered in this category may provide students an opportunity to review and evaluate existing policies and regulations, or perhaps conduct research related to the development of new policies. A recently funded project involved a student working with

EPA staff to research issues related to energy development and transportation infrastructure planning and implementation and the specific environmental issues related to a particular project or sector of projects. The fellow gained valuable insight into the roles of different stakeholders in the process and the impacts of these projects on communities.

2) Environmental Management and Administration: The fellowships offered in this category may focus on environmental management goals. A recently funded project involved a student working with EPA staff to: (1) review and identify electrical equipment via electrical as-built-drawings; (2) conduct research in the development of a sub-metering project; and (3) update and maintain data via an AutoCAD database. The student increased his knowledge of the software development lifecycle, software functionality, quality assurance review, AutoCAD drawings; purpose of AutoCAD layering function; facility data identification; facility data management; and energy conservation.

3) Environmental Science: Research projects in this category typically include direct participation in field studies and laboratory research. A recent project a fellow performing research on available innovative approaches for treating DNAPL contamination at sites. The fellow reviewed current treatment methods and case studies of Superfund sites where the methods have been applied.

4) Public Relations and Communications: These types of projects may include the review and analysis of public response to EPA policies and regulations, as well as general public opinion of environmental issues. These projects may also include assisting with the development of communication tools. A recently funded project involved analytical investigations of the AIRNow Web tools, which provide the public with easy access to national air quality information. In addition, the fellow researched the marketing efforts of the AIRNow program, EnviroFlash, which is a system that sends e-mails about daily air quality forecasts to subscribers. The fellow explored state-of-the-art Web analytical tools, such as Google Analytics and CrazyEgg, to gather Web usage data from the AIRNow Web site ([www.airnow.gov](http://www.airnow.gov)). For a complete listing of NNEMS 2010 project descriptions, see:<http://www.epa.gov/enviroed/NNEMS>. Fiscal Year 2011: Project: As states, local agencies, and tribes move forward to develop and implement programs to improve air quality and address climate change, it is important to have a good understanding of the interactions among global climate, air quality, and regional climate. Tropospheric ozone, black carbon, and sulfates are strongly linked to both climate and air quality. Knowledge of the linkages between climate and air quality will help develop effective programs to further improve air quality, while also addressing impacts of these programs on climate change. The fellow selected for this project will design and implement a research project involving linkages between climate and air quality and related policy issues. Relevant policy questions that may be of interest include: (1) how might air quality management strategies be adapted in a changing climate? (2) what effect will air quality programs in the United States have on the climate? (3) what opportunities are there to devise and implement strategies that improve both climate and public health? (4) how can capacity for integrated climate and air quality assessments be improved (such as air quality, economic, health, and ecological), especially in light of differences in temporal and geographic scales between greenhouse gases and traditional air pollution? (5) what are the health and climate impacts of fine particle emissions from residential cook stoves, brick kilns, and other emissions sources in developing countries? and (6) what are the impacts on Arctic warming from black carbon and ozone precursor emissions in the United States?

The fellow will meet with experts across EPA (including the Office of Air and Radiation and the Office of Research and Development), government, and in academia to gather relevant peer-reviewed data and literature and to conduct policy-relevant analysis.

Project: As part of EPA's National Air Toxics Assessment (NATA) activities, EPA conducts national-scale assessments. In early 2011, the Agency is expected to release the NATA representative of emissions for the year 2005. NATA helps evaluate potential human health risks from breathing air toxics across the United States. It is widely published and quoted as one of the premier source of air toxic concentrations and risks nationwide. The next NATA will focus on 2008 emissions and is now in the planning stages.

The fellow will work with the EPA risks assessment team in many stages of planning and development of the 2008 NATA. The fellow will research the allocation of mobile and nonpoint source emissions from a county inventory to a more refined modeling level, such as census tract, roadway segment, or other appropriate geographic scale. The fellow will review the allocation approach utilized in previous analyses and will be expected to review current databases and GIS techniques that can be used to allocate the emissions.

**Project:** The purpose of the project is to use database tools, such as Microsoft (MS) Access and MS Excel, as well as the reporting features of the Emission Inventory System (EIS), a data system which houses the National Emissions Inventory (NEI) data, to develop analyses on point source data. One area of potential analysis involves comparison of NEI facility data to data collected as part of regulation development. The data collected as part of regulation development are not included in EIS; these data are often stored in MS Access or Excel. One use of rule development data comparisons is to analyze and improve regulatory codes in the NEI. For example, the fellow may use the Boiler MACT rule development Excel database to review regulatory codes in EIS for units subject to the Boiler MACT rule.

The fellow may also conduct general data analyses of emissions data in an effort to conduct estimates from specific source categories. An example of such data analysis would be comparisons of organic compound (OC), part of fine particulate emissions, by source category to ambient OC data that has been apportioned to sources using receptor modeling studies. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Applicants must meet all of the basic eligibility requirements. Eligible applications then will be reviewed by panels comprised of EPA staff members. Applications will be evaluated based on the following criteria: 1) relevancy of classroom experience of the student as it relates to the EPA research project, 2) the student's understanding of the proposed EPA research project subject matter, 3) relevancy of work experience of the student (whether volunteer activities, internships, or paid jobs) as it relates to the EPA research project, 4) relevancy of the student's academic studies as it relates to the EPA research project, 5) leadership skills, written communication skills, and demonstrated success at working well in an office, laboratory, or field environment, as appropriate to the project, and 6) potential for success, as reflected by academic records, letters of reference, and other relevant information. Applications that are scored highly by the panels of reviewers are sent to NNEMS staff and EPA project officers for selection consideration.

### **NUCLEAR REGULATORY COMMISSION**

#### **77.006 U. S. NUCLEAR REGULATORY COMMISSION NUCLEAR EDUCATION GRANT PROGRAM**

Nuclear Education Grant Program - Curricula Development

##### **FEDERAL AGENCY:**

Nuclear Regulatory Commission

##### **AUTHORIZATION:**

The Energy Policy Act of 2005, Section 651(c)(1), Public Law 109-58, 119 Stat. 801, 42 U.S.C 2051.

##### **OBJECTIVES:**

To provide assistance to accredited colleges and universities in support of courses, studies, training, curricula, and disciplines relevant to nuclear safety, nuclear security, nuclear environmental protection, or any other field that the Commission determines to be critical to its regulatory mission.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Financial support in whole or in part may be provided for such purposes as the salaries, materials and supplies, equipment, limited travel, publication costs and services required for conducting the curricula development related activities. Restrictions on use of funds are specified in the funding opportunity

announcement or the award document. Funding is provided for the purpose of improving or supporting curricula that does not necessarily duplicate work already in process or contemplated by NRC, is not already known to NRC, or has previously unrecognized merit.

##### **Applicant Eligibility:**

Applicants must be an accredited U.S. public or private institutions of higher education.

##### **Beneficiary Eligibility:**

Accredited U.S. public and private institutions of higher education will benefit.

##### **Credentials/Documentation:**

Administration and cost will be determined in accordance with guidance in 2 CFR 215 and 2 CFR 220, respectively, for institutions of higher education. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Letters of intent may be requested in the funding opportunity announcement posted at Grants.gov. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Apply using the electronic application package required in the FOA. Responding to a FOA ensures that the correct application package is used and enables NRC to receive the application from Grants.gov.

\*NOTE: FOA is Grants.gov's terminology for what NRC refers to as Program Announcement (PA), Agency Announcement (AA) or Funding Notice (FN).

##### **Award Procedure:**

Applications are screened for relevance and then reviewed for scientific and technical merit by qualified individuals based on a set of criteria stated in the funding opportunity announcement. Recommendations for award are made by the review panel via the U. S. Nuclear Regulatory Commission Office of Human Resources, and the selected applications are forwarded to the U.S. Nuclear Regulatory Commission, Office of Administration, Division of Contracts, for grant negotiation and award.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 120 to 180 days. Contact information can be found in the Funding Opportunity Announcement (FOA).

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Matching is not required but encouraged.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

The period of performance for grants are normally up to 2 years and cannot exceed 3 years; intervals are determined at the time of award. Funds must be expended by the recipient organization within the project period of performance or as specified in the award. Method of awarding/releasing assistance: lump sum.

##### **Reports:**

No program reports are required. No cash reports are required. The semi-annual progress report (reported on SF-PPR, SF-PPR-B, and SF PPR-E) requirements will be stipulated in the terms of award in compliance with 2 CFR 215.51. The Recipient must submit a "Federal Financial Report" (SF-425) at intervals specified in the award to the Grants Officer and Program Office in compliance with 2 CFR 215.52. Performance monitoring is conducted by NRC staff as

stipulated in the terms of award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must comply with 2 CFR 215.53, "Retention and Access Requirements for Records."

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 est \$5,000,000; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

Award amounts range from \$48,000.00 to \$198,000.00 in FY 2010 with an average of \$127,000.00 for up to two years of financial assistance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 U.S.C. 2051(b); 2 CFR 215 and 220. Technical and administrative information for this program are available at <http://www.nrc.gov/about-nrc/grants.html>

**Regional or Local Office:**

None.

**Headquarters Office:**

Tanya Parwani-Jaimes 11555 Rockville Pike,  
Mail Stop: W5-A6  
, Rockville, Maryland 20852 Email: [tanya.parwani-jaimes@nrc.gov](mailto:tanya.parwani-jaimes@nrc.gov) Phone: 301-492-2308

**Website Address:**

<http://www.nrc.gov>

**RELATED PROGRAMS:**

77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria (as stated in the funding opportunity announcement) for support is based on the soundness of the proposed approach including objectives, methodology, plan of operation, timetable, expected products and results, evaluation, and dissemination plans. The applicant's capability to perform the project is assessed to the degree that the project will strengthen its teaching capacity; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

**77.007 U.S. NUCLEAR REGULATORY COMMISSION MINORITY SERVING INSTITUTIONS PROGRAM (MSIP)**

NRC Minority Supporting Institutions Program

**FEDERAL AGENCY:**

Nuclear Regulatory Commission

**AUTHORIZATION:**

Energy Policy Act of 2005, Section 651,c,4 and 622, Public Law 109-58, 42 U.S.C 2051(b); Executive Order 13256, 13270, and 13230.

**OBJECTIVES:**

To fund minority serving programs and activities, projects, symposiums, and training for the exchange and transfer of knowledge and skills relevant to nuclear safety, security, environmental protection, or any other fields the Commission deems critical to its mission. To provide assistance for minority serving programs and activities to include, but not limited to, mentoring, leadership development, training, instruction, developmental learning, research and development, program evaluation, and technical assistance. To provide assistance to include direct institutional subsidies, facilities and equipment acquisition, internships, fellowships, scholarships, and tuition and housing assistance.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial support in whole or in part may be provided for such purposes as salaries, stipends, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training and related activities. Restrictions on use of funds depend on grant provisions, the nature of assistance provided, and the purpose(s) for which the programs and activities were funded to achieve.

**Applicant Eligibility:**

Minority Serving Institutions and organizations that provide services to Minority Serving Institutions and their students and faculty.

**Beneficiary Eligibility:**

U.S. public and private Minority Serving Institutions and their students and facility will benefit.

**Credentials/Documentation:**

Cost will be determined in accordance with Office of Management and Budget Circulars and requirements in 2 CFR 215-230. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals should be submitted as specified in the funding opportunity announcement that will be posted at [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Proposals will be screened for relevance, and, where required, reviewed for scientific and technical merit by qualified individuals. Recommendations for award are made by the review panel via U.S. Nuclear Regulatory Commission Office of Small Business and Civil Rights (SBCR), and the selected proposals will be forwarded to U.S. Nuclear Regulatory Commission, Office of Administration, Division of Contracts for development and award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. Proposals for renewal are subject to review and acceptance by the Nuclear Regulatory Commission Office of Small Business and Civil Rights.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project periods for grants shall not exceed five (5) years at intervals

determined at the time of the award. Funds must be obligated within the approved project period. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. No cash reports are required. Progress report requirements will be stipulated in the terms of award in compliance with 2 CFR 215.5. Federal Financial Reports (SF-425) must be submitted to the Agency in compliance with 2 CFR 215.51 and 2 CFR 215.52, at intervals stipulated in the terms of award. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must comply with 2 CFR 215.53, "Retention and Access Requirements for Records."

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

(Direct Payments for Specified Use) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Award amounts range from \$5,400 to \$117,500 with an average of \$67,000 in FY2009.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for The Minority Supporting Institution Program is on line at <http://www.nrc.gov/about-nrc/grants/minority-serving-institutions-program.pdf>

EPA Section 651(c) (4), 42 U.S.C. 2051(b); 2 CFR 215 and 220.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ms. Tuwanda M. Smith, Esq. Two White Flint North, 11545 Rockville Pike , Rockville, Maryland 20852 Email: [EEOPrograms@nrc.gov](mailto:EEOPrograms@nrc.gov) Phone: 301-415-7394

**Website Address:**

[www.nrc.gov](http://www.nrc.gov) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Soundness of the proposed approach including objectives, methodology, plan of operation, timetable, expected products and results, evaluation and dissemination plans. The applicant's ability to perform the project is assessed relative to the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to the program objectives in the funding opportunity announcement.

**77.008 U.S. NUCLEAR REGULATORY COMMISSION SCHOLARSHIP AND FELLOWSHIP PROGRAM**

NRC Scholarship/Fellowship and Faculty Development Program

**FEDERAL AGENCY:**

Nuclear Regulatory Commission

**AUTHORIZATION:**

Energy Policy Act of 2005, Public Law 109-58, 119 Stat. 801, 42 U.S.C 2051.

**OBJECTIVES:**

This Scholarship and Fellowship program provides funding for undergraduate scholarships, graduate fellowships, trade school and community college scholarships, and faculty development grants. The program allows students to pursue an education in science, engineering, or another field of study that the Commission determines is in a critical skill area related to its regulatory mission. Scholarship and fellowship recipients need to be enrolled in a trade school or postsecondary accredited educational institution; programs accredited by an accrediting agency or state approval agency; registered apprenticeship programs; a professional degree or graduate program offered by an accredited institution of higher education in the United States.

This activity is intended to benefit the nuclear industry broadly. NRC requires scholarship and fellowship students to serve not less than 1 time and not more than 3 times the period for which the assistance was provided in nuclear-related employment. However, the NRC may establish criteria for the partial or total waiver or suspension of any obligation of service or payment incurred by a student. The employment may be with the NRC, other Federal agencies, State agencies, nuclear-related industry, or academia in the students sponsored fields of study. Recipients of scholarship and fellowships must commit to the service obligation agreement

The program also supports faculty development in the nuclear-related fields of Nuclear Engineering, Health Physics, Radiochemistry and related disciplines as determined by the NRC. The program specifically target probationary, tenure-track faculty in these academic areas during the first 6 years of their career.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program provides funding to accredited post-secondary schools and institutions of higher education to provide scholarships, fellowships, and stipends to develop a cadre of professionals, and a workforce capable of supporting the design, construction, operation, and regulation of nuclear facilities and the safe handling of nuclear materials. Faculty development grants provide support for developing applications for research, small amounts for initiating or continuing research projects in their areas of expertise, and expenses associated with an institutions faculty development plan.

Funds are managed by the awardee institution. Primary responsibility for general supervision of all grant activities rests with the grantee institution. Funds may not be used for purposes other than those specified in the award. Fellowships, scholarship and stipends are paid to the students and fellows directly through his/her institution. Scholarship and fellowship recipients are required to comply with a service obligation agreement for a period of 6 months for every year or partial year of support received.

**Applicant Eligibility:**

Applicants must be an accredited U.S. public or private institution of higher education.

**Beneficiary Eligibility:**

Undergraduate and Graduate students of accredited public or private institutions of higher education. Candidates for the Faculty Development program are targeted for probationary, tenure-track faculty in nuclear related fields during the first 6 years of their career.

**Credentials/Documentation:**

Applications using the SF-424 forms stipulated in the Funding Opportunity Announcement must be submitted through [Grants.gov](http://Grants.gov), signed electronically by an official authorized to commit the institution in business and financial affairs, and who can commit the organization on the SF-424B to certain proposal certifications. Costs will be determined in accordance with 2 CFR 220 (OMB Circular No. A-21) for colleges and universities. Recipients for scholarship and fellowship support must show evidence of ability such as academic records, and

grade point average. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. OMB Circular 2 CFR 215 applies to this program.

**Award Procedure:**

Applications are processed by the assigned staff and approved by the NRC, based on a set of criteria established by the NRC, as stated in the Funding Opportunity Announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Contact information can be found in the Funding Opportunity Announcement (FOA).

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for project grants shall be between 1 and 4 years (depending on the program); intervals are determined at the time of award. Funds must be expended within the active period of performance. Method of awarding or releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Semi-annual progress reports (reported on SF-PPR, SF-PPR-B, and SF-PPR-E) and final report requirements will be stipulated in the terms of award in compliance with 2 CFR 215.51. The recipient shall submit a "Federal Financial Report," SF-425 at intervals specified in the terms of award in compliance with 2 CFR 215.52. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees must comply with 2 CFR 215.53, "Retention and Access Requirements for Records."

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 est \$15,000,000; and FY 12 est \$0 - Funds availability are subject to annual appropriations.

**Range and Average of Financial Assistance:**

FY 10, \$15,000,000; FY 11, \$5,000,000; FY 12, Estimate not available Funds availability are subject to annual appropriations.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Reports, brochures, guidelines, and frequently asked questions are available at <http://www.nrc.gov/about-nrc/grants.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy Hebron-Isreal 11555 Rockville Pike  
Mail Stop: W5-A6, Rockville, Maryland 20852 Email:  
nancy.hebron-isreal@nrc.gov Phone: 301-492-2231

**Website Address:**

<http://www.nrc.gov>

**RELATED PROGRAMS:**

77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Capacity and ability of the institution to effectively conduct the program. Number and quality of students that will be served by the program. Justification for number of students served and amount of stipend and scholarship support. Quality and feasibility of recruitment and marketing strategies. Quality of technical programs for scholarship or fellowship programs. Type of student support, i.e. mentoring or advisor assistance feasibility and completeness of an evaluation plan that will measure the effectiveness of the scholarship or fellowship program Institutional support for the program and the extent to which the institution is committed to making the program an organizational focus. Plans for sustainability. Additional merit review considerations apply. See the selection criteria as stated in the funding opportunity announcement.

**77.009 U.S. NUCLEAR REGULATORY COMMISSION OFFICE OF RESEARCH FINANCIAL ASSISTANCE PROGRAM**

NRC OFFICE OF RESEARCH GRANT PROGRAM

**FEDERAL AGENCY:**

Nuclear Regulatory Commission

**AUTHORIZATION:**

Energy Policy Act of 2005, Title , Part , Section 651(c), Public Law 109-58, 119 Stat. 801, 42 U.S.C 2051(a)(b).

**OBJECTIVES:**

The Office of Nuclear Regulatory Research (RES) furthers the regulatory mission of the NRC by providing technical advice, technical tools and information for identifying and resolving safety issues, making regulatory decisions, and promulgating regulations and guidance. RES conducts independent experiments and analyses, develops technical bases for supporting realistic safety decisions by the agency, and prepares the agency for the future by evaluating safety issues involving current and new designs and technologies. RES develops its program with consideration of Commission direction and input from the program offices and other stakeholders.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

This program provides funding to educational institutions, nonprofit organizations, State and local governments, and professional organizations. The award recipient bears primary responsibility for general supervision of all financial assistance activities. Funds may not be used for purposes other than those specified in the award.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Costs will be determined by Office of Management and Budget Circulars and Guidance in 2 CFR 215-230. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Office of Nuclear Regulatory Research, Division of Program Management, Policy Development & Analysis Staff, 301-251-7401. Telecommunications for the hearing impaired are available at: TDD 1-800-635-4512. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The NRC will accept electronic applications only from organizations submitted as specified in the funding opportunity announcement (FOA) posted at [www.grants.gov](http://www.grants.gov). Apply using the electronic application package required in the FOA. Responding to a FOA ensures that the correct application package is used and enables NRC to receive the application from Grants.gov.

\* Note: FOA is Grants.govs terminology for what NRC refers to as Program Announcement (PA), Agency Announcement (AA), or Funding Notice (FN).

**Award Procedure:**

Applications are processed by the assigned NRC staff based on a set of criteria established by the NRC.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Please see the active Funding Opportunity Announcement for published response deadlines.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal/continuations are subject to the review and acceptance by the U.S. Nuclear Regulatory Commission Office of Nuclear Regulatory Research.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project periods for both grants and cooperative agreements shall not exceed five (5) years at intervals determined at the time of the award. See the following for information on how assistance is awarded/released: Funds dispersed annually on an incremental funding basis depending on availability of appropriated funds.

**Reports:**

Progress reports, financial reports and final report requirements will be stipulated in the terms of award in compliance with 2 CFR 215.51 and 2 CFR 215.52. Financial reports will be stipulated in the terms of award in compliance with 2 CFR 215.51 and 2 CFR 215.52. Progress reports and final report requirements will be stipulated in the terms of award in compliance with 2 CFR 215.5. The Recipient shall submit a Federal Financial Report (SF-425) as specified in the terms of award. Performance report monitoring will be conducted as stipulated in the terms of award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must comply with 2 CFR 215.53 Retention and Access Requirements for Records."

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

(Project Grants) FY 10 \$2,705,790; FY 11 est \$1,175,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Award amounts range from \$5,000 to \$200,000 per year per award.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Information about previously funded projects can be found by accessing <http://nrc.gov/about-nrc/grants.html>, "Grant Awards.". Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Reports or brochures on regulatory decisions, results of research, results of incident investigations, and other technical and administrative information are available at <http://www.nrc.gov/reading-rm/doc-collections/nuregs/>

**Regional or Local Office:**

None.

**Headquarters Office:**

Robin T. Barnes 21 Church Street, Rockville, Maryland 20853 Email: [robin.barnes1@nrc.gov](mailto:robin.barnes1@nrc.gov) Phone: 301-251-7401

**Website Address:**

<http://www.nrc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection of Research support through financial assistance methods may be made to support basic, advanced, and developmental scientific research where the purpose is to conduct or further that research at nonprofit institutions of higher education, nonprofit organizations, State and local governments, and professional organizations.

Factors generally indicating support through financial assistance methods:

- the primary purpose of the proposal is to aid or support the development of knowledge or understanding of the subject or phenomena under study;
- the exact course of the work and its outcome are not defined precisely and specific points in time for achievement of significant results may not be specified;
- the nature of the proposed work is such that the recipient will bear prime responsibility for the conduct of the research and will exercise judgment and original thought toward attaining the scientific goals within broad parameters of the research areas proposed and the related resources provided;
- meaningful technical reports can be prepared only as new findings are made; and
- simplicity and economy in execution and administration are mutually desirable.

**DEPARTMENT OF ENERGY****81.003 GRANTING OF PATENT LICENSES**

(DOE Patents Available for Licensing)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, Sections 156 and 161(g), as amended, Public Law 83- 703, 68 Stat. 919, 42 U.S.C. 2186 and 2201; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101 ; Public Law 96-517, 35 U.S.C. 207, 208, 209.

**OBJECTIVES:**

To encourage widespread utilization of inventions covered by DOE owned patents.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Nonexclusive, revocable licenses are granted by Department of Energy (DOE) to responsible applicants with plans for development and/or marketing on approximately 1,500 DOE owned United State patents. Exclusive and partially exclusive licenses may also be granted. Similar licenses on approximately 200 DOE owned foreign patents may be accorded to United State citizens and corporations, and to others under terms and conditions which depend upon particular facts. Licenses for use or sale in the United States may normally be granted only to licensees that agree to substantial manufacture in the United States. Copies of U.S. patents may be obtained from the United States Patent and Trademark Office, Department of Commerce, Washington, DC 20231, for a modest fee.

**Applicant Eligibility:**

Individuals, firms, or corporations with satisfactory plans and intentions to commercialize the invention may apply.

**Beneficiary Eligibility:**

Individuals, firms, and corporations will benefit.

**Credentials/Documentation:**

Satisfactory plans for development and/or marketing of the invention. In the case of corporations, the State of incorporation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By letter to the Assistant General Counsel for Technology Transfer and Intellectual Property, DOE, Washington, DC 20585, identifying the patent by its number, together with information as to: (1) The nature and type of the applicant's business; (2) the purpose for which the license is desired together with documentation as to the applicant's plan for development and/or marketing of the invention to achieve that purpose; (3) the geographical areas in which the applicant will practice the invention; (4) the applicant's willingness to render periodic reports on the use of the licensed subject matter; (5) the applicant's status as a small business firm, minority business, or other; and (6) remittance of a \$25 processing fee for each license requested.

**Award Procedure:**

Patent licenses are issued by the Office of the Assistant General Counsel for Technology Transfer and Intellectual Property, DOE.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Normally three months for nonexclusive licenses; somewhat longer for exclusive licenses.

**Appeals:**

Applicants denied a license and revoked licensees have the right to appeal in accordance with 10 CFR 781 by filing notice of appeal within 30 days. Appeals board is designated upon filing of notice of appeal.

**Renewals:**

Licenses may be renewed upon reapplication, contingent on satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

There are no funds obligated under this program. See the following for information on how assistance is awarded/released: There are no funds obligated under this program.

**Reports:**

No program reports are required. If license is royalty bearing, DOE has the right to inspect the books of account as necessary to determine accuracy of statement. Annual reports are required to be submitted as to the extent of utilization and royalties due, if applicable. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. If license is royalty bearing, DOE has the right to inspect the books of account as necessary to determine accuracy of statement.

**Records:**

None except where the specific license provides for payment of royalty.

**Account Identification:**

89-0228-0-1-276.

**Obligations:**

(Dissemination of Technical Information) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - There are no dollars obligated under this program.

**Range and Average of Financial Assistance:**

No dollars are obligated under this program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 2 patent license were granted. Fiscal Year 2011: It is estimated that 3 patent licenses will be granted. Fiscal Year 2012: It is estimated that 3 patent licenses will be granted.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Licensing of government owned inventions (37 CFR 404). 10 CFR 781, DOE Patent Licensing Regulations; "DOE Invention Licensing Program" describes the program and is available at <http://www.osti.gov/gencon/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

John T. Lucas, Office of the Assistant General Counsel for Technology Transfer, 1000 Independence Ave, SW, Washington, District of Columbia 20585 Phone: (202) 586-2802

**Website Address:**

<http://www.doe.gov>

**RELATED PROGRAMS:**

11.900 Patent and Trademark Technical Information Dissemination

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Nonexclusive licenses - satisfactory plan for development and/or marketing of the invention. Exclusive licenses in addition, a determination in accordance with 35 U.S.C. 209(c) that exclusivity is reasonable and necessary for commercialization.

**81.022 LABORATORY EQUIPMENT DONATION PROGRAM**

(Used Equipment Grants)  
(LEDP)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, Section 31(a) and (b), as amended, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

To assist United States institutions of higher education in equipping their science and engineering laboratories for energy-related research and/or instructional purposes.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Used energy-related laboratory equipment is granted to nonprofit educational institutions of higher learning for use in energy-oriented research or instructional programs in the life, physical, and environmental sciences and engineering. The donated equipment must remain in the United States. The donated equipment must not be sold or placed on eBay for sale.

**Applicant Eligibility:**

Nonprofit educational institutions of higher learning, such as universities, colleges, junior colleges, hospitals, and technical institutes or museums located in the United States and interested in establishing or upgrading energy oriented educational and research programs in the life, physical, and environmental sciences and engineering may apply. All LEDP program applicants are required to provide a statement that validates their capabilities to use the requested scientific equipment. The program reserves the right to deny an applicants' request if it appears that the applicants' ability to successfully use the equipment is lacking.

**Beneficiary Eligibility:**

Nonprofit institutions of higher education benefit.

**Credentials/Documentation:**

Institutions complete the on-line application. This application includes: (1) Identification of institution and school and/or department where equipment would be used; (2) the objectives to be met through use of the equipment; (3) a detailed listing of the equipment requested; (4) a brief description of energy-oriented course offerings and numbers of graduate and undergraduate students enrolled; (5) data on qualifications of faculty members to make effective use of the equipment; (6) reference to any prior grant for equipment (financial or otherwise) to the same or to a related department; (7) the name and title of the person preparing the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Representatives of eligible institutions should contact Department of Energy (DOE) Laboratory Equipment Donation Program (LEDP) web site located at <http://www.osti.gov/erle/>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The guideline and application are on the website. The application will be automatically submitted to the appropriate DOE field office via electronic mail.

**Award Procedure:**

Award is on basis of first-received, first- qualified proposal.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. From 30 days.

**Appeals:**

From 1 to 15 days. A written appeal must be submitted within 15 days after a freeze is placed on an item.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

At the end of the first year of use, institution must report on the manner in which equipment was used in establishment, expansion, or enhancement of energy research and/or energy related courses. Cash reports are not applicable. At the end of the first year of use, institution must report on the manner in which equipment was used in establishment, expansion, or enhancement of energy research and/or energy related courses. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits are performed on a selective basis.

**Records:**

None.

**Account Identification:**

89-0222-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$100; FY 11 est \$100; and FY 12 est \$100

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: \$13,804,388,00. Fiscal Year 2011: FY11-Estimated grants of donated equipment = 700  
Estimated dollar worth FY11= \$20,000,000.00. Fiscal Year 2012: 20,000,000.00.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The "Laboratory Equipment Donation Program (LEDP) Guidelines" are available via the Internet at <http://www.osti.gov/erle/>. The grantee must not sell or place DOE donated equipment on eBay for sale.

**Regional or Local Office:**

None.

**Headquarters Office:**

Vera A. O'Connor, Program Manager, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: vera.oconnor@science.doe.gov Phone: (202) 586-9742 Fax: (202) 586-0019.

**Website Address:**

<http://www.osti.gov/erle/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.036 INVENTIONS AND INNOVATIONS (I&I)****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, Public Law 95-91, 42 U.S.C 7101; Federal Nonnuclear Energy Research and Development Act of 1974, Section 14, Public Law 577-93, 88 Stat. 1894, 42 U.S.C 5913.

**OBJECTIVES:**

To encourage the development and commercialization of energy-saving inventions by providing financial and technical assistance to projects that have a potential for significant energy savings and future commercialization markets through a competitive solicitation process.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**



The assistance provides financial assistance for research and development of innovative, energy-saving ideas and invention. Inventions and Innovations support energy efficiency and renewable energy technology development in focus areas that align with the Office of Energy Efficiency and Renewable Energy programs. Further Program information can be found at <http://www.eere.energy.gov/inventions>.

**Applicant Eligibility:**

Individuals that are U.S. citizens, either native-born or naturalized, small businesses that are U.S. owned as defined in 10 CFR 600.501.

**Beneficiary Eligibility:**

Individual inventors and small businesses will benefit.

**Credentials/Documentation:**

This Program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Only proposals prepared in response to the requirements contained in the annual competitive solicitation will be accepted. The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/>.

**Award Procedure:**

Imported Data is accurate.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Unsuccessful applicants are entitled to a debriefing by DOE program officials with a clear explanation of why the proposal was not accepted for funding.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Cost sharing is not required however cost sharing is highly encouraged.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award project periods range from 1 to 2 years. See the following for information on how assistance is awarded/released: Funds awarded are subject to Congressional Appropriation.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit procedures in accordance with OMB Circular No. A-133. In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

Access to process implementation and efficiency data must be available for 10 years after project completion to measure performance against expectation and to support commercialization of the technology.

**Account Identification:**

89-0203-0-1-270.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$3,014,327; FY 11 est \$0; and FY 12

Estimate Not Available(Exp: Negative FY11 obligated funds ba)

**Range and Average of Financial Assistance:**

\$500,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 2 Awards Issued. Fiscal Year 2011: No Awards Issued. Fiscal Year 2012: No awards Planned.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: DOE Financial Assistance Regulations 10 CFR 600; <http://www.eere.energy.gov>

**Regional or Local Office:**

None. EERE Information Center (877)337-3463.

**Headquarters Office:**

LaTonya A. Poole, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: [latonya.poole@ee.doe.gov](mailto:latonya.poole@ee.doe.gov) Phone: (202) 586-3835.

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Not Applicable. Fiscal Year 2012: Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Uniqueness, technical feasibility, marketability, energy relationship (including energy savings).

**81.041 STATE ENERGY PROGRAM**

SEP

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

National Energy Conservation Policy Act of 1978, Public Law 95-619 and Public Law 101-440; Energy Policy and Conservation Act, Public Law 94-163, 42 U.S.C. 6321-6326; American Recovery and Reinvestment Act of 2009; Department of Energy Organization Act of 1977, Public Law 95-91, 42 U.S.C. 7101; Balanced Budget Down Payment Act II of 1996, Public Law 104-134.

**OBJECTIVES:**

The program provides financial and technical assistance to State governments to create and implement a variety of energy efficiency and conservation projects in order to provide leadership to maximize the benefits of energy efficiency and renewable energy through communications and outreach activities, technology deployment, and accessing new partnerships and resources across the geographic panorama of the United States and its territories. The programs objectives are:

- \* To reduce fossil fuel emissions created as a result of activities within the jurisdictions of eligible entities;
- \* To reduce the total energy use of the eligible entities; and
- \* To improve energy efficiency in the transportation, building, and other sectors.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information; Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Grants are to be used by States for the development, implementation, or modification of State plans submitted to and approved by DOE. To be eligible for Federal assistance, each State plan must contain the five program activities required by the Energy Policy and Conservation Act, Public Law 94-163; and may also include a wide range of optional activities.

A wide variety of activities are eligible for use of the grant funds including:

- \* Developing/implementing an energy efficiency and conservation strategy and retaining technical consultant services to assist in the development of such a strategy.
- \* Conducting residential and commercial building energy audits.

- \* Establishing financial incentive programs for energy efficiency improvements (e.g., loan programs, rebate programs, waive permit fees.)
- \* Providing grants to nonprofit organizations to perform energy efficiency retrofits.
- \* Developing/implementing programs to conserve energy used in transportation (e.g., flex time by employees, satellite work centers, promotion of zoning requirements that promote energy efficient development, transportation infrastructure: bike lanes/pathways, pedestrian walkways, and synchronized traffic signals).
- \* Developing and implementing building codes and inspection services to promote building energy efficiency.
- \* Implementing energy distribution technologies.
- \* Developing public education programs to increase participation and efficiency rates for recycling programs.
- \* Purchasing/implementing technologies to reduce and capture methane and other greenhouse gases generated by landfills or similar sources.
- \* Installing light emitting diodes (LEDs).
- \* Developing, implementing, and installing renewable energy technologies on or in any government building.
- \* Any other activity as determined by the Secretary of Energy in consultation with the Secretaries of Transportation and Housing and Urban Development and the Administrator of the Environmental Protection Agency. Funds cannot be used for the purchase of land, buildings or any interest therein; construction of buildings or structures; research, development or demonstration of non-commercially available technology; or subsidies of public transportation, fares, utility rate demonstrations or State tax credits for energy conservation.

**Applicant Eligibility:**

All States plus the District of Columbia, the U.S. Virgin Islands, Puerto Rico, Guam, Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

The ultimate potential beneficiaries will be the people affected by the plan each State develops. This is anticipated to be the State's population.

**Credentials/Documentation:**

Compliance with Federal, State and local environmental statutes and regulations, as required under the Energy Independence and Security Act of 2007. Only one application from each State, however a separate application is required for ARRA funds; compliance with State and local environmental statutes and regulations. Costs will be determined in accordance with 10 CFR Part 600 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. A copy of the final State plan must accompany the grant application from the State. Consultation and assistance will be available from the DOE in the preparation of the application. Applicants for sub-awards from the states should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States submit applications and plans (or amendment to plans) in response to 10 CFR 420.

Applicants must register with FedConnect to submit their application. FedConnect website: [www.fedconnect.net](http://www.fedconnect.net)

The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

Submission deadlines will be published in the funding opportunity announcement at <http://www.grants.gov>

**Award Procedure:**

Grant applications will be reviewed by DOE Office of Energy Efficiency and Renewable Energy personnel. Grant procedures are in accordance with Federal government regulations. Notification of grant awards will be issued by a DOE Procurement Office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**Appeals:**

As required under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**Renewals:**

Renewals are subject to review by the DOE Project Management Center and the headquarters program office and subject to the availability of funds. Assistance will be provided from sums appropriated for any fiscal year only upon annual application.

**Formula and Matching Requirements:**

Statutory Formula: Title 10 Vol 3, Chapter II, Part 420, Subpart B Section 420.11, Public Law Energy Policy and Conservation Act 42 USC 6321 et seq. Matching Requirements: Percent: 20%. There is a 20 percent match requirement for the SEP, however leveraging of funds on the part of the recipient is encouraged. This requirement is waived for ARRA funding. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Authorized funding is established by ECPA, NECPA, ESA and ARRA. Funds awarded annually are subject to Congressional appropriation, with no restriction on spending period, except ARRA requires all funds be spent within 36 months of award. Funds are released through the Electronic Transfer System. Annual budget periods are set by each grantee within parameters established by DOE. See the following for information on how assistance is awarded/released: See award procedures above.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress and financial status reports are required along with a final report at the end of the project. Quarterly financial status reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit procedures in accordance with OMB Circular No. A-133.

In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

In accordance with 10 CFR 600.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Formula Grants) FY 10 \$53,775,349; FY 11 est \$6,986,089; and FY 12 est \$7,000,000

**Range and Average of Financial Assistance:**

\$1-\$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Grants to State Energy Offices in all States and U.S. Territories to design and carry out their own renewable energy priorities and program funding to adopt emerging renewable energy and energy efficiency technologies. Fiscal Year 2011: Advance policies, programs, and market strategies that accelerate job creation and reduce energy bills, while achieving energy and climate security for the nation. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009 and 10CFR 420.

**Regional or Local Office:**

None. Angela Young, Division Director, NETL Project Management Center (PMC)  
(412) 386-6042; EERE Information Center, (877)337-3463.

**Headquarters Office:**

LaTonya A. Poole, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: latonya.poole@ee.doe.gov Phone: (202) 586-3835

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

81.042 Weatherization Assistance for Low-Income Persons; 81.119 State Energy Program Special Projects; 81.128 Energy Efficiency and Conservation Block Grant Program (EECBG)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: State Energy Program Strengthening Building Retrofit Markets and Stimulating Energy Efficiency Action. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009. In addition, each State energy conservation plan must contain the five program activities required by the Energy Policy and Conservation Act, Public Law 94-163, and may also contain a wide range of optional activities.

**81.042 WEATHERIZATION ASSISTANCE FOR LOW-INCOME PERSONS**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009; Title IV, Energy Conservation and Production Act; 10 CFR Part 440 ; 10 CFR Part 600; Energy Independence and Security Act of 2007; Energy Policy Act of 2005.

**OBJECTIVES:**

To improve home energy efficiency for low-income families through the most cost-effective measures possible. The programs objectives are:

- \* To reduce fossil fuel emissions created as a result of activities within the jurisdictions of eligible entities; and
- \* To reduce the total energy use of the eligible units while ensuring their health and safety.

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Improvement of the thermal efficiency and cooling of dwellings by the installation of weatherization materials such as attic insulation, caulking, weather-stripping, furnace efficiency modifications, certain mechanical measures to heating and cooling systems, and replacement furnaces, boilers, and air-conditioners. Grantees may average expenditures per dwelling unit for materials, program support and labor costs not to exceed an average per unit of

\$6,500 adjusted annually for inflation. Up to 10 percent of each grant may be spent by a Grantee and its subgrantees for administrative expenses ( in the Formula Grants a Grantee may not use more than 5 percent of the total State grant for such purposes).

**Applicant Eligibility:**

States, including the District of Columbia, and in certain instances, Native American tribal organizations. In the event a State does not apply, a unit of general purpose local government, or community action agencies and/or other nonprofit agencies within that State becomes eligible to apply.

**Beneficiary Eligibility:**

All low-income households are eligible to receive weatherization assistance. A low-income household is one whose combined income falls at or below 200 percent of the poverty level determined by the Office of Management and Budget's poverty income guidelines or the basis on which Federal, State, or local cash assistance payments have been made. A State may also elect to make all homes eligible under the HHS Low-income Home Energy Assistance Program (LIHEAP) eligible for weatherization assistance and may use either 150 percent of poverty or 60 percent of State median income.

**Credentials/Documentation:**

Compliance with Federal, State and local environmental statutes and regulations, as required under the Energy Independence and Security Act of 2007. The Department of Energy (DOE) requires that grantees meet certain statutory and administrative requirements which can be found in the Weatherization Program Rules available at 10 CFR Section 440 et al and from DOE offices. For Formula Grants, Governors or their designated agencies must apply for grants to the appropriate DOE office and submit State Plans and applications pursuant to State applications at 10 CFR part 440.12. Any household at or below 200% of poverty, per the modified statute, is considered low-income. About 15 million of all eligible households are good candidates for Weatherization. Priority service is given to the elderly, people with disabilities, and families with children. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. A copy of the final State plan must accompany the grant application from the State. Consultation and assistance will be available from the DOE in the preparation of the application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. State applications for the WAP Program must be submitted through FedConnect to be considered for award. Information on how to submit applications via FedConnect can be found at <http://www.fedconnect.net>

Application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

It is the responsibility of the applicant to verify successful transmission.

ARRA Applications will be reviewed and awarded in accordance with the final 2009 Recovery Act Formula Allocations, set forth in the Weatherization Assistance Program Notice 09-1B

**Award Procedure:**

Formula Grants: States and tribes will submit applications for available allocation. Grant applications will be reviewed by DOE Office of Energy Efficiency and Renewable Energy (EERE) personnel. Grant procedures will be in accordance with Federal government regulations. Notification of grant awards will be issued DOE Procurement Office and/or EERE personnel serving the applicant State. Project Grants: Evaluations will be conducted by an

independent merit review committee and federal employees. Final decisions to approve are made by ASEE, Program Manager and/or Designee. DOE Field Offices are then instructed to negotiate and prepare the grant award documents.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**Appeals:**

As required under 42 U.S.C. 6861 et al and 10 CFR Section 440.

**Renewals:**

Renewals are subject to review by the DOE EERE Project Management Center and the headquarters program office and subject to the availability of funds. Financial assistance will be provided from sums appropriated for any fiscal year only upon annual application.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Authorized funding is established by ECPA, NECPA and ESA. See the following for information on how assistance is awarded/released: No information was provided.

**Reports:**

No program reports are required. Cash reports are not applicable. Quarterly progress and financial status reports are required along with a final report at the end of the project. Quarterly financial reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR Part 600 and 10 CFR Part 440.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Project Grants) FY 10 \$342,316,640; FY 11 est \$132,497,151; and FY 12 est \$150,000,000 - 3 Billion in FY09 funding was appropriated under the American Recovery and Reinvestment Act of 2009.

**Range and Average of Financial Assistance:**

\$2,500 to \$6,500 per dwelling unit.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Weatherized over 300,000 Homes for Low Income Persons.  
Fiscal Year 2011: Over 500,000 Weatherized between January 2009 and February 2011. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009. Weatherization Assistance guidelines published June 1, 1977. Amendments to guidelines published January 2, 1979, August 29, 1979, February 27, 1980, June 1, 1981, March 1, 1982, January 27, 1984, January 4, 1985, December 5, 1985, March 4 1993, June 5, 1995, and December 8, 2000.

**Regional or Local Office:**

None. None. Angela Young, Division Director, NETL Project Management

Center (PMC) Division, (412) 386-6042; EERE Information Center, (877) 337-3463.

**Headquarters Office:**

Weatherization and Intergovernmental Program, EE-2K, Office of Energy Efficiency and Renewable Energy, 1000 Independence Avenue, SW, Washington, District of Columbia 20585 Phone: (1-877) 337-3463 (Toll Free).

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

81.041 State Energy Program; 81.119 State Energy Program Special Projects; 81.128 Energy Efficiency and Conservation Block Grant Program (EECBG)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Weatherization Formula Grants. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009. DOE requires that grantees meet certain statutory and administrative requirements which can be found in the Weatherization Program Guidelines at <http://apps1.eere.energy.gov/weatherization/>.

**81.049 OFFICE OF SCIENCE FINANCIAL ASSISTANCE PROGRAM**

(Advanced Scientific Computing Research, Basic Energy Sciences, Biological and Environmental Research, Fusion Energy Sciences, High Energy Physics, Nuclear Physics, and Workforce Development for Teachers and Scientists)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101 ; Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 42 U.S.C. 5817; American Recovery and Reinvestment Act of 2009, Public Law 111-5, Recovery Act); Small Business Innovation Research Program Reauthorization Act of 2000, Public Law 106-554; Small Business Technology Transfer Program Reauthorization Act of 2001, Public Law 107-50.

**OBJECTIVES:**

The mission of the Office of Science is to provide financial support for the delivery of scientific discoveries and major scientific tools to transform our understanding of nature and to advance the energy, economic, and national security of the United States.

The application deadlines will be posted at the Grants.gov web site:

<http://www.grants.gov>

or

FedConnect at: <https://www.fedconnect.net/Fedconnect/>.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, and services required for conducting research, related activities, and advanced technology projects or assessments. Restrictions on use of funds depend on grant provisions.

**Applicant Eligibility:**

Colleges and universities, nonprofit organizations, for-profit commercial organizations, State and local governments, small businesses, and unaffiliated individuals.

**Beneficiary Eligibility:**

Colleges and universities, nonprofit organizations, for-profit commercial organizations, State and local governments, small businesses, and unaffiliated individuals will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular A-21 (relocated to 2 CFR Part 220) for institutions of higher education and OMB Circular A-122 (relocated to 2 CFR Part 230) for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal communication addressed to the Headquarters Office listed below is desirable before preparing a detailed formal application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application forms must be downloaded from the specific Funding Opportunity Announcement at the Grants.gov web site: <http://www.grants.gov>.

**Award Procedure:**

Decisions to approve are made by a Headquarters program official. A DOE procurement office is then authorized to negotiate and prepare an appropriate award document.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Normally, 6 months from receipt of grant application. Maximum, 12 months.

The application deadlines will be posted at the Grants.gov web site:

<http://www.grants.gov> or FedConnect at:

<https://www.fedconnect.net/Fedconnect/>.

**Appeals:**

None.

**Renewals:**

Applications for renewal are subject to review and acceptance by the Headquarters Office of Science program offices. For ongoing grant projects, renewal applications must be submitted six months prior to the grant's project period expiration date.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Usually, cost sharing is encouraged but not required. In some cases, however, cost sharing may be required by specific Funding Opportunity Announcements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, grants are approved for three-year project periods and funded one year at a time. Depending upon specific circumstances, grant project periods may range from one year to five years, at the discretion of the program office. See the following for information on how assistance is awarded/released: No additional information is provided.

**Reports:**

No program reports are required. No cash reports are required. Typically for research projects, grantees are required to submit an annual progress report and a final report at the end of the project. The schedule of reports is arranged at the time of the negotiation. Quarterly financial status reports are required along with a final report. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Costs incurred are subject to audit throughout the grant period and/or before final payment, with the extent and frequency of audit depending on the size of the grant and on the particular grant provisions.

**Records:**

Recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

89-0224-0-1-271; 89-0222-0-1-251.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$1,259,275,840; FY 11 est \$1,289,238,765; and FY 12 est \$1,300,000,000. (Project Grants (Cooperative Agreements)) FY 10 \$218,510,749; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$10,000 to \$2,500,000; \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Office of Science research programs, which complement DOE's applied missions in energy resources, environmental quality, and national security, have been at the forefront of modern scientific advances and have expanded the frontiers of basic scientific knowledge. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research projects. Student support on basic science research projects has helped to train the future scientific talent in DOE supported science areas such as materials science, chemistry, mathematics, general life sciences, geosciences, genetics, radiation biology, ecology, nuclear medicine, and high energy and nuclear physics. Fiscal Year 2011: The mission of the Office of Science is the delivery of scientific discoveries and major scientific tools to transform the understanding of nature and to advance the energy, economic, and national security of the United States. The Office of Science accomplishes its mission by supporting:

Science for Discovery, focused on unraveling nature's mysteries from the study of subatomic particles, atoms, and molecules that make of the materials of our everyday world to DNA, proteins, cells, and entire biological systems;

Science for National Need, focused on advancing a clean energy agenda through basic research on energy production, storage, transmission, and use; and advancing our understanding of the Earth's climate through basic research in atmospheric and environmental sciences and climate change; and National Scientific User Facilities, the 21st century tools of science, engineering, and technology providing the Nations researchers with the most advanced tools of modern science including accelerators, colliders, supercomputers, light sources and neutron sources, and facilities for studying the nanoworld.

The Office of Science manages its research portfolio through six scientific program offices and a workforce development program. Fiscal Year 2012: The mission of the Office of Science is the delivery of scientific discoveries and major scientific tools to transform the understanding of nature and to advance the energy, economic, and national security of the United States. The Office of Science accomplishes its mission by supporting:

Science for Discovery, focused on unraveling nature's mysteries from the study of subatomic particles, atoms, and molecules that make of the materials of our everyday world to DNA, proteins, cells, and entire biological systems;

Science for National Need, focused on advancing a clean energy agenda through basic research on energy production, storage, transmission, and use; and advancing our understanding of the Earth's climate through basic research in atmospheric and environmental sciences and climate change; and National Scientific User Facilities, the 21st century tools of science, engineering, and technology providing the Nations researchers with the most advanced tools of modern science including accelerators, colliders, supercomputers, light sources and neutron sources, and facilities for studying the nanoworld.

The Office of Science manages its research portfolio through six scientific program offices and a workforce development program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10 CFR 605; 10 CFR 600; Application Guide for the Office of Science Financial Assistance Program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Linda H. Shariati Office of Science  
1000 Independence Avenue, Washington, District of Columbia 20585 Email:  
Linda.Shariati@science.doe.gov Phone: 301-903-7433

**Website Address:**

<http://www.sc.doe.gov/grants/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Scientific and/or technical merit of the project; appropriateness of the proposed method or approach; competency of the applicant's personnel and the adequacy of proposed resources; and reasonableness and appropriateness of the proposed budget.

**81.057 UNIVERSITY COAL RESEARCH**

University Coal Research

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Public Law 83-703; Energy Reorganization Act of 1974, Public Law 93-438; Research and Marketing Act of 1946, as amended, Public Law 85-934; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93- 577; Department of Interior and Related Agencies Appropriations for 1980, Public Law 96-126; Department of Interior and Related Agencies Appropriations for 2004, Public Law 108-108. . Executive Order Atomic Energy Act of 1954, as amended, Public Law 83-703; Energy Reorganization Act of 1974, Public Law 93-438; Research and Marketing Act of 1946, as amended, Public Law 85-934; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93- 577; Department of Interior and Related Agencies Appropriations for 1980, Public Law 96-126; Department of Interior and Related Agencies Appropriations for 2004, Public Law 108-108.

**OBJECTIVES:**

To improve scientific and technical understanding of the chemistry and physics involved in the conversion and utilization of coal. The primary objective is to fund long-term, high-risk, meritorious fundamental research for the advancement of science related to all Fossil Energy's coal-related programs. Through an annual solicitation, applications are sought with the potential to overcome barriers in technology development and accelerate the identification of solutions for energy and environmental problems. Solicited research should contemplate nearly total carbon closure by the year 2015 along with substantial increases in energy conversion efficiency for utilizing our nation's abundant coal resources.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Work must be related to program objectives. The eligibility of recipients for DOE financial assistance awards under the UCR Program is limited to U.S. universities, colleges, and university-affiliated research institutions. Projects selected for an award must have a teaching professor as Principal Investigator or a Co-Principal Investigator.

**Applicant Eligibility:**

Only US colleges and universities can apply.

**Beneficiary Eligibility:**

In accordance with 10 CFR 600.6(b), eligibility for award is restricted to U.S. colleges, universities, and university-affiliated research institutions. Grants awarded through the UCR Program are for maintaining and upgrading the educational, training and research capabilities of U.S. universities and colleges in the fields of science, environment, energy and technology related to coal. The involvement of professors and students generates fresh research ideas and

enhances the education of future scientists and engineers. To assure the program continues to support the performance of high quality fundamental research by professors and students at U.S. colleges and universities, applications may be submitted by U.S. colleges, universities and university-affiliated research institutions provided the following criteria are met: (1) Principal Investigator or a Co-Principal Investigator listed in the application is a teaching professor at the submitting university. If this condition is met, other participants, Co-Principal Investigators or research staff, who do not hold teaching positions may be included as part of the research team; (2) Applications from university-affiliated research institutions must be submitted through the college or university with which they are affiliated; and (3) At least one student registered at that university is to receive compensation for performing research.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of 10 CFR 600. Proposals should be submitted through <http://www.grants.gov>.

**Award Procedure:**

Proposals reviewed by qualified experts in accordance with the factors listed in 10 CFR Chapter II, Part 600 with specific emphasis on the scientific and technical merit of the proposed research and the factors listed in the formal solicitation for proposals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Limited university/industry collaboration is encouraged but not required. A minimum of 25% cost sharing is required for larger sized grants that support university/industry collaboration. 10-CFR-600.3. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects awarded through the UCR Program have a performance period of 36 months and usually are funded by the Electronic Transfer System. See the following for information on how assistance is awarded/released: Funding allocated by EFT.

**Reports:**

Quarterly reports and technical progress reports containing research accomplishments and information on cost status, reported per task is required. Additionally, a final technical report is due 90 days after the end of performance period. Quarterly project Financial Cash Transaction Report is required. Quarterly project technical progress and a final report are required. Topical Reports may be submitted as appropriate. Expenditure reports are required quarterly. Performance monitoring is achieved through submission of progress reports, site visits, and the Principal Investigators are required to participate in a two day Annual Contractors Review Meeting, typically held in June each year.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-110, in conjunction with OMB Circular No. A-21, "Cost Principles for Education Institutions".

**Records:**

Retention of records will be required pursuant to guidelines set forth in 10 CFR 600.

**Account Identification:**

89-0213-0-1-271.

**Obligations:**

(Project Grants) FY 10 \$2,400,000; FY 11 est \$2,400,000; and FY 12 est \$2,400,000

**Range and Average of Financial Assistance:**

Maximum funding for 36 month project is \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program continued to improve the scientific and technical understanding of the chemistry and physics involved in the conversion and utilization of coal through financial sponsorship of long-term, high-risk, meritorious fundamental research. The FY2010 UCR solicitation received 32 applications seeking to overcome barriers in technology development and accelerate the identification of solutions for energy and environmental problems. Seven (7) projects were selected to receive funding for research contemplating nearly total carbon closure along with substantial increases in energy conversion efficiency for utilizing our nation's abundant coal resources. Fiscal Year 2011: In 2011, the program continued to improve the scientific and technical understanding of the chemistry and physics involved in the conversion and utilization of coal through financial sponsorship of long-term, high-risk, meritorious fundamental research. The FY2011 UCR solicitation received 20 applications seeking to overcome barriers in technology development and accelerate the identification of solutions for energy and environmental problems. Eight (8) projects were selected to receive funding for research contemplating nearly total carbon closure along with substantial increases in energy conversion efficiency for utilizing our nation's abundant coal resources. Fiscal Year 2012: In FY2012, this process will continue and research again will be sought to improve our fundamental understanding of the chemical and physical processes that govern coal conversion and utilization, by-product utilization, and technological development for Fossil Energy's Advanced Power Systems in an environmentally acceptable manner. Subsequently, DOE anticipates making a total of 7- 8 awards through the FY2012 Funding Opportunity Announcement.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A formal competitive solicitation for proposals will be issued for the fiscal year 2012 program. Release date TBD.

**Regional or Local Office:**

See Regional Agency Offices. Project Office - National Energy Technology Laboratory, 3610 Collins Ferry Road  
P.O. Box 880, Morgantown, WV 26507-0880. Contact: Mr. Robie Lewis, Telephone 304-285-4445.

**Headquarters Office:**

Regis Conrad Department of Energy, Washington, District of Columbia 20585 Email: Regis.Conrad@hq.doe.gov Phone: (301) 903-2827 Fax: (301) 903-2713

**Website Address:**

<http://www.netl.doe.gov/technologies/coalpower/advresearch/>.

**RELATED PROGRAMS:**

81.089 Fossil Energy Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY2010 seven projects were awarded in the three Areas of Interest:

Computational Energy Sciences:

Illinois Institute of Technology, Chicago, Ill. - This research will develop a computational fluid dynamics model to perform simulations describing the

heterogeneous gas-solid absorption/regeneration and water-gas-shift reactions for a regenerative magnesium oxide-based process that removes carbon dioxide and enhances production of hydrogen in coal gasification processes. The research will support scaling-up the novel carbon capture technology by determining/optimizing several key process parameters such as sorbent particle size/porosity, the absorber diameter/height, the amount of recycled sorbent, and the location of particle feeding points and internal baffles. (DOE award: \$299,853; recipient cost share: \$129,703)

University of California, Merced, Calif. - This project will develop and/or apply models based on spectral properties of gases and solid particles (coal, ash, soot, bed material) to allow efficient high-fidelity, real-time determination of radiative fluxes and sources in two-phase coal combustion systems. The research will also develop a modular two-phase radiative transfer equation solver, which will be incorporated into NETL's MFIX and the open source OpenFOAM both state-of-the-art two-phase computational fluid dynamics/combustion models. (DOE award: \$299,931)

Material Science:

Carnegie Mellon University, Pittsburgh, Pa.- The proposed project will develop high-resolution methods, including an image-based technique, for modeling the mechanical response of metallic alloys in three dimensions. The work will provide the capability to generate synthetic digital microstructures that can accurately represent complex alloys and high resolution simulations of mechanical response that provide new insight for the design of novel refractory alloys such as those based on tungsten, niobium, molybdenum and chromium. (DOE award: \$298,191)

University of Missouri, Kansas City, Mo. - A systematic large-scale computational study of advanced alloys based on refractory metals such as molybdenum that will have acceptable mechanical properties at high temperature will be conducted. (DOE award: \$299,925)

Clemson University, Clemson, S.C. -The performances of materials with high melting temperatures, such as refractory alloys like tungsten, are often limited by properties at their grain boundaries (GB) and controlled by GB segregation. Thus, understanding and control of GB segregation in these materials is of great practical importance in developing more efficient energy systems. Research partners Clemson University and Purdue University will extend their study of GB segregation and embrittlement in tungsten for the mechanistic design of alloys to be used in coal-fired power plants. The proposed study will extend the research group's thermodynamic theory and statistical models from binary to multicomponent refractory alloys and will develop and validate multistage modeling strategies to predict GB embrittlement from GB structure and chemistry. (DOE award: \$300,000; recipient cost share: \$28,196)

Sensors and Controls:

West Virginia University, Morgan town, W.Va. - West Virginia University will collaborate with Next Materials, Ltd., to develop micro-scale, chemical sensors and sensor arrays composed of Nani-derived, metal-oxide composite materials to detect gases such as hydrogen and hydrogen sulfide within high-temperature environments (>500C). The long-term goal is to demonstrate sensor materials and processing strategies that can be used on micro-sensor arrays to monitor these and other gases (carbon dioxide, carbon monoxide, methane, and nitrogen oxides) within the harsh environments of various industrial energy applications including current and future coal-fired power plants. (DOE award: \$299,950)

University of Pittsburgh, Pittsburgh, Pa. - The objective of this Nani-engineering research is the production of functional metal oxide sensing materials integrated with high-temperature optical sensor platforms for real-time fossil fuel gas composition analysis. Rapid measurement of a wide array of fossil fuel gas species in real-time will enable automatic control over large combusted and fuel cells. (DOE award: \$298,395). Fiscal Year 2011: In 2011, eight grants were awarded. A summary of each Topic Area and the project(s) recommended for funding under each subtopic is as follows:

Area 1 Computational Energy Sciences 1A: The objective of this subtopic is to develop and implement a frictional flow model for gas-solids applications that fill the gaps where no robust model are available for handling the highly nonlinear behavior of dense granular flow at or near the quasi-static regime.

Princeton University submitted an application entitled, Implementation and Refinement of a Comprehensive Model for Dense Granular Flows. Princeton University plans to implement and validate a new rheological model for dense granular phase in MFIx and to improve more complex flow behaviors in model refinement for the three different flow regimes commonly referred to as the quasi-static, inertial, and intermediate regimes.

Computational Energy Sciences 1B: The UQ in complex multiphase computational fluid dynamics codes is required to determine the effect of uncertainty in input parameters, boundary conditions and theoretical sub-models on the numerical results provided by these codes. The application of intrusive UQ to multiphase codes for gas-solids flows, like MFIx, is prohibitive, due to the complexity of the underlying model equations and the time-dependent nature of the output.

Iowa State University submitted the application entitled, Uncertainty quantification tools for multiphase gas-solid flow simulations using MFIx. Iowa State University plans to investigate uncertainty quantification in MFIx of input parameters, boundary conditions, and theoretical sub models; through the formulation of robust non-intrusive quadrature-based UQ approach and implementation of quadrature-based procedure into MFIx.

The University of Colorado submitted the Application under this subtopic, entitled, Quantifying the Uncertainty of Kinetic-theory Predictions of Clustering. The University of Colorado seeks to determine the relative importance of the driving forces for instabilities in high-velocity, gas-solid flows, and to establish the suitability first-principles theory, with no adjustable parameters, to accurately predict the type, onset, evolution, and steady-state characteristics of such instabilities that impacts the efficiency of gasification system performance.

Area 2 Material Science: In this area, applications were sought for the development of computational tools and simulations that would reliably predict properties of materials for fossil energy systems in advance of fabrication. Reliability of performance, fabricability, and affordability were also key viability indicators for these new material concepts.

University of Wisconsin, Madison, submitted the application entitled, Multi-Scale Computational Design and Synthesis of Protective Smart for Refractory Metal Alloys. University of Wisconsin, Madison, plans to enable the full integration of a new high-temperature protective coating technology that provides both environmental and thermal protection in advanced combustion systems for fossil fuel energy generation, to provide a 200 to 400-730°C increase in material operating temperature beyond the limitation of current Ni-base superalloys.

Area 3 Sensors and Controls 3A: New materials that can function at high temperatures or device development that could enable high temperature applications of energy harvesting technology within a power plant were of interest. Proposed approaches for energy harvesting should be able to provide adequate power to a variety of sensors including temperature, pressure, gas composition, and component integrity.

The Research Foundation of SUNY submitted the application entitled, Heat Activated Plasmonic Chemical Sensors for Harsh Environments. The Research Foundation of SUNY seeks to develop cost-effective sensing technologies capable of functioning in harsh, high-temperature operating environments. Demonstration of a passive light source with sufficient energy in the selected wavelength will be sensed by a photo-detector and a chemical sensor, tailoring to emissions of interest.

The University of Washington submitted the application entitled, High Temp Thermo Electric Oxides Engineered at Multiple Length Scales for Energy

Harvesting. The University of Washington propose to develop a highly efficient thermoelectric devices for waste heat recovery in coal fired power and industrial plants by developing n type thermoelectric oxides materials to add with already well established p type thermoelectric oxides.

Area 3 Sensors and Controls 3B - This topic sought new approaches to enable sensors to be embedded into power systems that operate under extreme conditions (500-1300°C) and enable the sensor signal to be wirelessly transmitted to an external receiver. Proposed research and development efforts that included the use of novel materials, high temperature electronics, opto-electronics, and system designs to extract real time data from the sensors embedded within the harsh environment were of interest.

The University of Central Florida submitted the application entitled, Wireless, and Passive Ceramic Strain Sensors for Turbine Engine Applications. The University of Central Florida seeks to develop an accurate and robust wireless passive high-temperature strain sensor for in situ measurement of strains inside turbine engines for coal-based power generation systems for higher energy efficiency, increased reliability, and decreased pollution.

University of Utah submitted the application entitled, In-Situ Acoustic Measurements of Temperature Profile in Extreme Environments. University of Utah plans to develop a novel sensors and refractory measurement and assessment methods that can be used to improve the management of gasifier refractories for the harsh gasification environment. Benefits include improved process availability and safety, prevention of costly repairs, and controlled gasification process at the operating conditions that extend the service life of the refractory. Fiscal Year 2012: In 2012, 7-8 awards are anticipated to be awarded.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Emphasis is on the scientific and technical merit of the proposed research and the factors listed as generic goals in the formal solicitation for proposals.

#### **81.064 OFFICE OF SCIENTIFIC AND TECHNICAL INFORMATION (OSTI)**

##### **FEDERAL AGENCY:**

Department of Energy

##### **AUTHORIZATION:**

Energy Policy Act of 2005 (Public Law 109-58), Section 982, Department of Energy Organization Act of 1977 (Public Law 95-91), Energy Reorganization Act of 1974 (Public Law 93-438), Atomic Energy Acts of 1946 (Public Law 79-585) and 1954, as amended (Public Law 83-703), America COMPETES Act of 2007 (Public Law 110-69), Section 1009 and Section 3191, Public Law 109-58, 42 U.S.C 5916, 7112.

##### **OBJECTIVES:**

To advance science and sustain technological creativity by making research and development (R&D) results available, findable and useable to the Department of Energy (DOE) researchers and the public. To collect, preserve, disseminate, and leverage the scientific and technical information (STI) resources of DOE in order to provide access to national and global STI for use by DOE, the scientific research community, academia, US industry, and the public to expand the knowledge base of science and technology. To acquire domestic and international information of interest to DOE and the scientific community through partnerships with U.S. agencies and over 120 countries and international organizations.

##### **TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

##### **USES AND USE RESTRICTIONS:**

The Scientific and Technical Information (STI) produced through DOE and its predecessor agencies includes information from the broad range of science disciplines of interest to the Energy Department mission. OSTI is the sole source of specialized collections containing results of closed-out DOE R&D projects. OSTI provides information services to DOE and DOE contractor organizations and makes Energy Department information publicly available through a suite of OSTI web tools and services. Most information services are provided electronically through databases and full-text compilations at no cost.



Some collections result from partnerships with other national and international governmental agencies.

**Applicant Eligibility:**

State and local governments and universities that are DOE contractors are provided electronic access to Energy Department information in specific areas of concern. Energy information exchange agreements may be made with non-DOE affiliates, universities and other organizations involved in energy-related research. Public access to R&D documents is also available through the National Technical Information Service (NTIS) and the Government Printing Office (GPO).

**Beneficiary Eligibility:**

DOE federal employees and contractors are primary beneficiaries of DOE STI collections in their specific areas of concern. Although most web-based collections are available to the general public through official government outlets, limited-access databases contain information restricted by international exchange agreements or other access restrictions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By written or telephone inquiry to the information contacts shown below.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

89-0230-0-1-270.

**Obligations:**

(Salaries) FY 10 \$8,900,000; FY 11 est \$9,200,000; and FY 12 est \$9,300,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon Jordan, 1 Science.gov Way, Oak Ridge, Tennessee 37830 Email: jordans@osti.gov Phone: (865) 576-1194.

**Website Address:**

http://www.osti.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.065 NUCLEAR WASTE DISPOSAL SITING**

(Consultation and Cooperation Financial Assistance)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Nuclear Waste Policy Act (NWPA), Sections 116, 118, 219, 302, Public Law 97-425; Nuclear Waste Policy Amendments Act of 1987, Public Law 100-159.

**OBJECTIVES:**

For nuclear waste disposal activities to carry out the purposes of the Nuclear Waste Policy Act of 1982, Public Law 97425, as amended (NWPA); to conduct appropriate activities and participate in licensing activities in accordance with the NWPA.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Financial and technical assistance is provided by Direct Payments for Specified Uses or Project Grants (cooperative agreements) to review potential economic, social, public health and safety, and environmental impacts; develop requests for impact and mitigation assistance; engage in any monitoring, testing, or evaluation activities; provide information to the public; and request information and make comments, recommendations. Any salary or travel expense that would ordinarily be incurred by such State, political subdivision of such State, or an Indian tribe may not be considered eligible for funding under this program.

**Applicant Eligibility:**

The State of Nevada, affected units of local government, and affected Indian tribes. Designation of a unit of local government or tribe as an 'Affected Unit of Local Government' or 'Affected Tribe' is done pursuant to the NWPA.

**Beneficiary Eligibility:**

States, affected units of local government and affected American Indian tribes will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A letter of inquiry describing the proposed work and eligibility of the proposer to do the work under a project grant (cooperative agreement) is desirable before preparation of a detailed formal proposal. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Neither an environmental assessment nor an environmental impact statement is required. An environmental impact statement/assessment is required for nuclear waste siting, but is not required in connection with the receipt or expenditure of these funds. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Direct Payments require no application. Applicant may omit the letter of inquiry and submit a proposal instead.

**Award Procedure:**

The proposal may be forwarded for internal and external review and then, if approved, to a DOE procurement office for grant development.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Normally 3 to 6 months for Project Grants (cooperative agreements).

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal are subject to both internal and external evaluation.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula or matching requirements. However, cost-sharing may be appropriate under certain conditions as set forth in DOE financial assistance rules (10 CFR Part 600) governing cost-sharing.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The schedule of DOE payment is arranged at the time of grant negotiations. Length and time phasing of assistance will vary with DOE program phase and activity. See the following for information on how assistance is awarded/released: Project Grants (cooperative agreements) are awarded/released in accordance with the terms set forth in the cooperative agreement. Direct Payments are released in a lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Grantee is expected to maintain auditable records to substantiate the total costs incurred under the agreement or contract. Annual appropriation language provides, in the heading "Nuclear Waste Disposal", that notwithstanding the provisions of chapters 65 and 75 of title 31, United States Code, the Department shall have no monitoring, auditing or other oversight rights or responsibilities over amounts provided to affected units of local government in this or any previous year under this heading.

**Account Identification:**

89-5227-0-2-271.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 09 Not Available; FY 10 est \$27,000,000; and FY 11 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Guidelines for Implementing Financial Assistance Programs under Section 116 and 118 of the Nuclear Waste Policy Act of 1982, as amended. 10 CFR Part 600.

**Regional or Local Office:**

None. Candice S. Trummell, Office of Civilian Radioactive Waste Management, Communications and Outreach, Las Vegas, NV 89134. Telephone: (702) 794-1322.

**Headquarters Office:**

Candice S. Trummell, 1551 Hillshire Drive, Las Vegas, Nevada 89134 Email: candice\_trummell@ymp.gov Phone: (702) 794-1322 Fax: (702) 794-5431.

**Website Address:**

<http://ocrwm.doe.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.079 REGIONAL BIOMASS ENERGY PROGRAMS****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Department of Energy Act of 1977, Public Law 91-95; Water Development Appropriations Act, Public Law 500-99.

**OBJECTIVES:**

Help meet the President's goal of significantly increasing America's use of fuels, chemicals, materials, and power made from domestic biomass on a sustainable basis. This is a Congressionally-directed project. Funding is not available to the general public.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be used to develop and transfer any of several biomass energy technologies to the scientific and industrial communities. For regional programs, such technologies will be appropriate for the needs and resources of particular regions of the United States.

**Applicant Eligibility:**

Profit organizations; private nonprofit institutions/organizations; intrastate, interstate, State and local government agencies, and universities may apply.

**Beneficiary Eligibility:**

Profit organizations; private nonprofit institutions/organizations; intrastate, interstate, State and local government agencies, universities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This is a Congressionally-directed program. Application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement. Submission deadlines will be published in the funding opportunity announcement at <http://www.grants.gov>. It is the responsibility of the applicant to verify successful transmission.

**Award Procedure:**

Varies.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Varies.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Renewals are subject to review by the headquarters program office and subject to the availability for funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Cost sharing is not required however cost sharing is strongly encouraged.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies. See the following for information on how assistance is awarded/released: Awards are executed by DOE EERE Golden Field Office.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Project Grants) FY 10 \$4,735,988; FY 11 est \$0; and FY 12 Estimate Not Available(Exp: Negative FY11 obligation) - This is a Congressionally directed program. FY2011 budget is unconfirmed at this time however will be updated upon confirmation.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://management.energy.gov/policy\\_guidance.htm](http://management.energy.gov/policy_guidance.htm)

**Regional or Local Office:**

None. EERE Information Center, (877) 337-3463.

**Headquarters Office:**

LaTonya A. Poole, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: [latonya.poole@ee.doe.gov](mailto:latonya.poole@ee.doe.gov) Phone: (202) 586-3835.

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

This is a Congressionally-directed program. Merit of the proposal is determined by: (1) Technical relevance to program objectives; (2) potential contribution of the feedstock or conversion process to the energy needs of the region; (3) environmental and employment considerations; and (4) amount of cost-sharing by recipient.

**81.086 CONSERVATION RESEARCH AND DEVELOPMENT**

(Conservation)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Public Law 95-911 and Public Law 97-377; Department of Energy Organization Act of 1977, as amended; American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To conduct a balanced, long-term research effort in Buildings Technologies, Industrial Technologies, Vehicle Technologies, and Hydrogen and Fuel Cell Technologies. Grants will be offered on a competitive basis to develop and transfer various energy conservation technologies to the nonfederal sector. Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Assistance may be used in the form of cooperative agreements, or grants to nonprofit institutions and organizations to develop and transfer energy conservation technologies to the scientific and industrial communities, States, and local governments.

**Applicant Eligibility:**

Profit organizations, private nonprofit institutions/organizations, State and local governments may apply.

**Beneficiary Eligibility:**

Profit organizations, private nonprofit institutions/organizations, State and local governments benefit.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application forms must be downloaded from the specific funding opportunity announcement posted on the [grants.gov](http://www.grants.gov) website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation or criteria set forth in 10 CFR Part 600 for Unsolicited Proposals. Evaluations will be conducted by Energy Efficiency and Renewable Energy (EERE) program personnel at DOE Headquarters in Washington, DC. This responsibility may also be delegated to DOE Field Offices. Final decisions will be made by the EERE Assistant Secretary, Deputy Assistant Secretaries, and the Director of the Federal Energy Management Program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov> From 60 to 120 days.

**Appeals:**

None.

**Renewals:**

Grants may be modified or extended.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula, but cost sharing is encouraged.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award project periods range from 2 months to 2 years. See the following for information on how assistance is awarded/released: No additional information is provided.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress and expenditure reports, and a final report at the conclusion of the grant time period. As previously mentioned quarterly expenditure reports, and a final report at the conclusion of the grant time period are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

None.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$1,960,889,179; FY 11 est \$300,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Energy Efficient Building Systems Regional Innovation Cluster Initiative. Fiscal Year 2011: Advancements in Solid State Lighting; Vehicle Technologies Program Wide Funding Opportunity. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance/financial\\_assistance.htm](http://www.management.energy.gov/policy_guidance/financial_assistance.htm)

**Regional or Local Office:**

None. Golden Field Office  
1617 Cole Blvd  
Golden Colorado 80401  
(303) 275-4700  
Building Technologies (303) 275-4810  
Industrial Technologies (303) 275-4758 and Fuel Cells and Infrastructure (303) 275-4903.

**Headquarters Office:**

Weatherization and Intergovernmental Program, EE-2K, Office of Energy Efficiency and Renewable Energy, 1000 Independence Avenue, SW, Washington, District of Columbia 20585 Phone: (1-877) 337-3463.

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 9.5M to the State of Idaho to improve energy efficiency of local communities throughout the state. \$14.4M to the State of New Jersey to deploy programs and projects that will reduce fossil fuel emissions, decrease overall energy use, and improve energy efficiency at the state and local level. Fiscal Year 2011: 34 awards planned under the Vehicle Technologies Program Wide Funding Opportunity. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection will be based on an objective merit review, program policy factors, the availability of funds, provisions of appropriation law and reports and as otherwise specified in specific solicitation document(s).

**81.087 RENEWABLE ENERGY RESEARCH AND DEVELOPMENT**

(Renewable Energy)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Public Law 95-238, Section 207; American Recovery and Reinvestment Act of 2009; Public Law 101-218; Department of Energy Organization Act of 1977.

**OBJECTIVES:**

To conduct balanced research and development efforts in the following energy technologies: solar, biomass, hydrogen, fuel cells and infrastructure, wind and hydropower, hydrogen, and geothermal. Grants will be offered to develop and transfer to the nonfederal sector various renewable energy technologies on a competitive basis.

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Assistance may be used to develop and transfer renewable energy technologies to the scientific and industrial communities, State, and local governments.

Assistance may be used to develop and transfer renewable energy technologies to the scientific and industrial communities, State, and local governments.

**Applicant Eligibility:**

Profit organizations, private nonprofit institutions/organizations, intrastate, interstate, and local agencies and universities may apply.

**Beneficiary Eligibility:**

Profit organizations, private nonprofit institutions/organizations, intrastate, interstate, State and local agencies and universities will benefit.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application due dates will be posted in the individual funding opportunity announcements posted at <http://www.grants.gov>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation(s) or criteria set forth in 10 CFR Part 600 for Unsolicited Proposals. Evaluations will be conducted by Energy Efficiency and Renewable Energy (EERE) program personnel at DOE Headquarters in Washington, DC. This responsibility may also be delegated to DOE Field Offices. Final decisions will be made by the EERE Assistant Secretary, Deputy

Assistant Secretaries, and the Director of the Federal Energy Management Program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>  
From 60 to 180 days.

**Appeals:**

None.

**Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: This program has no statutory formula, but cost-sharing is encouraged.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award project periods range from 2 months to 1 year. See the following for information on how assistance is awarded/released: No further information is available.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress and expenditure reports, and a final report at the conclusion of the grant time period. As described above. Quarterly expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit procedures in accordance with OMB Circular No. A-133. In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

None.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$2,333,159,319; FY 11 est \$114,702,525; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Solutions for Wind Energy Workforce Development; Enhanced Short Term Wind Energy Forecasting for Increased Utility Operations. Fiscal Year 2011: Marine and Hydrokinetic Technology Readiness Advancement Initiative. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: American Recovery and Reinvestment Act of 2009; EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov>; DOE Financial Assistance Regulations(10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance/financial\\_assistance.htm](http://www.management.energy.gov/policy_guidance/financial_assistance.htm)

**Regional or Local Office:**

None. Golden Field Office, 1617 Cole Blvd, Golden Colorado, 80401, (303) 275-4700. Solar Energy Technologies, (303) 275-4953; Wind and Hydropower, (303) 275-4905; Geothermal Technologies, (303) 275-4972; Biomass, (303) 275-4771 and Fuel Cells, (303) 275-4903.

**Headquarters Office:**

LaTonya A. Poole, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: [latonya.poole@ee.doe.gov](mailto:latonya.poole@ee.doe.gov) Phone: (202) 586-3835.

**Website Address:**

<http://www.eere.doe.gov>

**RELATED PROGRAMS:**

81.079 Regional Biomass Energy Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 18 projects funded under Marine and Hydrokinetic Technology Readiness Advancement Initiative. Fiscal Year 2011: 9 projects will be funded under Marine and Hydrokinetic Technology Readiness Advancement Initiative. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection will be based on an objective merit review, program policy factors, the availability of funds, provisions of appropriation laws, reports, and as otherwise specified in specific solicitation document(s).

**81.089 FOSSIL ENERGY RESEARCH AND DEVELOPMENT**

Office of Fossil Energy, Department of Energy

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Public Law 95-91 DOE Organization Act of 1977, as amended by Public Law 109-58 Energy Policy Act 2005. Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-557; Energy Policy and Conservation Act, Public Law 94-163.

**OBJECTIVES:**

The mission of the Fossil Energy (FE) Research and Development program is to promote the development and use of environmentally and economically superior technologies for supply, conversion, delivery, utilization and reliability constraints of producing and using fossil fuels. These activities will involve cooperation with industry, DOE Laboratories, universities and States. Success in this mission will benefit the Nation through lower energy costs, reduced environmental impact, increased technology exports, and reduced dependence on insecure energy sources.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Emphasis is on applied research and technology development.

**Applicant Eligibility:**

States, local governments, universities, governmental entities, consortia, nonprofit institutions, commercial corporations, joint Federal/Industry corporations, U.S. Territories, and individuals are eligible to apply.

**Beneficiary Eligibility:**

Federal, State, local governments, universities, consortia, nonprofit institutions, commercial corporations, joint Federal/Industry corporations, and individuals will benefit.

**Credentials/Documentation:**

Prior successful research and development experience in the fossil energy field and related areas. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Any information listed above, is subject to change. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application forms must be downloaded from the

specific funding opportunity announcement posted on the Grants.gov web-site: <http://www.grants.gov>. Unsolicited Proposals (USP) should be submitted in accordance with the instructions posted at the following web site: <http://www.netl.doe.gov/business/usp/USPGuide.pdf>  
This program is subject to the provisions of 10 CFR 600 and FAR 15.6.

**Award Procedure:**

DOE solicitations sets forth award procedures. Unsolicited proposals will be evaluated by DOE personnel assigned to the specific area with peer reviews as required. This program is excluded from coverage under E.O. 12372.

**Deadlines:**

Oct 30, 2009: Deadlines are subject to change, please check with contact person(s) listed. None for USP. For others the deadline is stated in the financial assistance opportunity announcement (FOA) posted at <http://www.grants.gov>.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

None.

**Renewals:**

Awards may be amended or extended as required.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Varies with each grant/cooperative agreement.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time period for a grant or cooperative agreement is dependent upon the individual project submitted. See the following for information on how assistance is awarded/released: TBD.

**Reports:**

Program and/or financial reports may be required. No cash reports are required. Quarterly progress and financial reports are required. The final scientific/technical report is due within 90 calendar days after the grant or cooperative agreement project period ends. TBD. TBD.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Possible project audit, overhead rate audit, final closeout audit. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations." Non-federal entities that expend \$500,000 or more of federal funds within their fiscal year shall have an audit made for that year in accordance with this Circular. For commercial (for-profit) organizations, audits should be performed in accordance with 10 CFR 600.126(c) and/or 10 CFR 600.316.

**Records:**

Required by grant/assistance award document.

**Account Identification:**

89-0224-0-1-271.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,277,139,000; FY 11 est \$342,565,000; and FY 12 est \$291,000,000

**Range and Average of Financial Assistance:**

\$10,000 to \$10,000,000/Average:\$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The mission of the Fossil Energy (FE) Research and Development program is to promote the development and use of environmentally and economically superior technologies for supply, conversion, delivery, utilization and reliability constraints of producing and using fossil fuels. These activities will involve cooperation with industry, DOE Laboratories, universities and States. Success in this mission will benefit the Nation through lower energy costs, reduced environmental impact, increased technology exports, and reduced dependence on insecure energy sources. Fiscal Year 2011: The mission of the Fossil Energy (FE) Research and Development program is to promote the development and use of environmentally and economically superior technologies for supply, conversion, delivery, utilization

and reliability constraints of producing and using fossil fuels. These activities will involve cooperation with industry, DOE Laboratories, universities and States. Success in this mission will benefit the Nation through lower energy costs, reduced environmental impact, increased technology exports, and reduced dependence on insecure energy sources. Fiscal Year 2012: The mission of the Fossil Energy (FE) Research and Development program is to promote the development and use of environmentally and economically superior technologies for supply, conversion, delivery, utilization and reliability constraints of producing and using fossil fuels. These activities will involve cooperation with industry, DOE Laboratories, universities and States. Success in this mission will benefit the Nation through lower energy costs, reduced environmental impact, increased technology exports, and reduced dependence on insecure energy sources.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Assistance Regulations, 10 CFR 600; Federal Acquisition Regulation 15.6, Unsolicited Proposals; Guide to Unsolicited Proposals: <http://www.netl.doe.gov/business/usp/unsol.html>

**Regional or Local Office:**

None. National Energy Technology Laboratory, Acquisition & Assistance Division; P.O. Box 10940, Mail Stop 921-107, 626 Cochran Mill Road, Pittsburgh, PA; 15236-0940. For Unsolicited Proposals, E-mail John Augustine at [john.augustine@netl.doe.gov](mailto:john.augustine@netl.doe.gov).

**Headquarters Office:**

Maria Jones, 1000 Independence Ave., SW, Washington, District of Columbia 20623 Email: [Maria.Jones@hq.doe.gov](mailto:Maria.Jones@hq.doe.gov) Phone: (202) 586-1890.

**Website Address:**

<http://www.netl.doe.gov> and <http://www.fossil.energy.gov>

**RELATED PROGRAMS:**

81.057 University Coal Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Technical merit; (2) priority of technical work relating to proposal; (3) relevance to current program objectives; (4) cost-benefit judgment; and (5) amount of cost-sharing by potential recipient.

**81.104 OFFICE OF ENVIRONMENTAL WASTE PROCESSING**

Environmental Management

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Low-Level Radioactive Waste Policy Act, Public Law 99-240; Energy Reorganization Act of 1974, Public Law 93-438; Atomic Energy Act of 1954, Section 31, as amended, Public Law 83-703; Department of Energy Organization Act of 1977, as amended, Public Law 96-573; Hazardous Materials Transportation Uniform Safety Act of 1990, Public Law 101-615.

**OBJECTIVES:**

The Technology Development and Deployment program provides key investments in mid- and long- range research and development (R&D) projects focused on high priority issues related to cleanup of the Nations legacy from nuclear weapons production. These R&D projects are aimed at improving technical maturity for current baseline technologies, developing cost-effective transformational alternative technologies, and improving or providing next-generation technologies for insertion into the project baselines. The results of these R&D projects will address technology gaps and reduce technical risk and uncertainty in the EM projects. The Technology Development and Deployment Program is focused on a limited number of critical, high-risk and high-payback activities where step improvements can be gained. By realigning the project in this manner, the Department is ensuring that the activities support EM's primary goal of accelerating risk reduction and environmental cleanup. The highest priority needs requiring technical solutions for Tank Waste; Groundwater and Soils, Decontamination and Decommissioning (D&D), and Nuclear Materials.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance is provided in support of the program objectives. Restrictions on the use of funds depend on the provisions of the specific project agreement. Applicants must meet the guidelines established by DOE or contained in the specific Congressional authorization for a particular program being supported.

**Applicant Eligibility:**

Public, quasi-public, private industry, individuals, groups, educational institutions, organizations, and nonprofit organizations may apply including State or local level governments, federally recognized Indian tribal governments, and institutions in U.S. Territories and possessions may apply. Determinations are made by DOE EM Headquarters or EM Field Offices, or both.

**Beneficiary Eligibility:**

States, affected Indian tribes, regional organizations, (including U.S. Territories) local governments, and the public will benefit.

**Credentials/Documentation:**

Cost will also be determined in accordance with OMB Circular No. A-21 for institutions of higher education or as otherwise defined in the financial assistance instrument. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A formal proposal by the organization interested in doing the work must be submitted through an appropriate official of the corporate entity, organization, or institution. Financial assistance requests will be reviewed pursuant to the Office of Environmental Management Merit Review System (May 5, 1991) and the DOE Financial Assistance Manual, as amended.

**Award Procedure:**

Award decisions may be made by DOE Headquarters throughout the fiscal year.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The approximate approval/disapproval time is from 2 months to 1 year.

**Appeals:**

Not Applicable.

**Renewals:**

From 120 to 180 days. Proposals for renewal are subject to review and acceptance by DOE Headquarters, the field, or both.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Match requirements will be determined depending upon the award. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and time phasing of assistance will vary with the program phase and activity. The maximum term of an award is 5 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. At a minimum annual progress reports are required. Frequency of progress reports will be determined at time of award. Expenditure reports will be required. The type and frequency will be determined at time of award. Performance monitoring will be determined at time of award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Costs incurred are subject to audit throughout the contract or grant period and before final close-out. The extent and frequency of audits depend on the size of the contract/grant and the specific contract/grant provisions.

**Records:**

A grantee is expected to maintain auditable records to substantiate the total costs incurred under the grant or cooperative agreement. In addition, if cost sharing is required, the grantee is also expected to maintain auditable records for the cost sharing portion of the award.

**Account Identification:**

89-0240-0-1-053; 89-0242-0-1-053.

**Obligations:**

(Cooperative Agreements) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Complete studies on potentially new wasteforms for tank waste. Continue R&D for facility D&D and characterization and remediation of soils and groundwater at EM cleanup sites. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Justine Alchowiak, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: justine.alchowiak@em.doe.gov Phone: (202) 586-4629.

**Website Address:**

<http://www.em.doe.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Research must be beneficial to the overall accomplishment of the program objectives and consistent with the criteria of the EM Merit Review System (i.e., technically meritorious, qualified principal investigators, adequate facilities for conduct of the work, past experience and performance history).

**81.105 NATIONAL INDUSTRIAL COMPETITIVENESS THROUGH ENERGY, ENVIRONMENT, AND ECONOMICS (NICE3)****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, as amended, Public Law 95-91; Energy Policy Act of 1992, as amended, Public Law 102-486.

**OBJECTIVES:**

This program is in close-out. Financial assistance will not be provided in the future.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

Both state and local governments benefited from these grants. Commercial firms with expertise in waste reduction and pollution prevention, large and small businesses, and others in the business of preventing pollution and energy conserving technologies also benefited.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. NICE3 is in close-out mode. There is no appropriation for grant project funding.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Unsuccessful applicants from the competitive solicitation were entitled to a written debriefing by DOE program officials with a clear explanation of why the proposal was not accepted for funding.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects covered a period of up to 3 years with release of funding subject to work progress. Access to process implementation and efficiency data is to be available for 10 years after project completion to measure performance against expectation and to support commercialization of the technology. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Access to process implementation and efficiency data must be available for 10 years after project completion to measure performance against expectation and to support commercialization of the technology.

**Account Identification:**

89-0215-0-1-250.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 est \$0; and FY 12 Estimate Not Available - Funding is not available at this time.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

LaTonya A. Poole, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: latonya.poole@ee.doe.gov Phone: (202) 586-3835.

**Website Address:**

<http://www.eere.energy.gov>; <http://www1.eere.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.106 TRANSPORT OF TRANSURANIC WASTES TO THE WASTE ISOLATION PILOT PLANT: STATES AND TRIBAL CONCERNS, PROPOSED SOLUTIONS****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

National Security and Military Application of Nuclear Energy Authorization Act, Public Law 96-164; Waste Isolation Pilot Plant Land Withdrawal Act, Public Law 102-579.

**OBJECTIVES:**

To enlist cooperation among the Tribal and the Southern, Western, Northeast, and Midwest state governments along the Waste Isolation Pilot Plant (WIPP) shipping corridors in developing plans and procedures for the safe and uneventful transportation of transuranic waste from current temporary storage facilities to the WIPP.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The participating States, tribes, and the DOE will work to develop, coordinate, and implement activities in accident prevention, emergency preparedness, and public information programs to help ensure the safe transportation of transuranic waste to the WIPP site and safe disposal operations. Financial assistance is provided to support cooperation among the tribes, the Southern, Western, Northeastern, and Midwestern states along the WIPP shipping corridors, in developing plans and procedures for the safe uneventful transportation of transuranic waste from current temporary storage facilities to WIPP. Restrictions on the use of these funds depend on the specific collaborative agreement. Applicants must meet the guidelines established by DOE.

**Applicant Eligibility:**

Eligibility is restricted by action of the Western Governors' Association, Southern States Energy Board, the State of New Mexico, Council of State Governments (midwest and eastern regions), and tribal governments along WIPP transportation routes. DOE administers agreements with 10 southern State governments, two Midwest state governments, and two northeast state governments. The Western Governors' Association is the negotiating body for 12 western states on the WIPP transportation route. Each tribal government on the WIPP transportation route elected to represent themselves. Participation in this program is restricted to the above list of organizations and to the 8 affected tribal governments.

**Beneficiary Eligibility:**

Benefits from this program will go to DOE and the State and tribal governments located on the WIPP disposal phase shipping corridor.

**Credentials/Documentation:**



No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. After informal communication, a formal proposal by the applicants is submitted to the DOE Carlsbad Field Office. Note: All eligible parties are participating in the program and applications from others will not be accepted.

**Award Procedure:**

Decisions are made by DOE Carlsbad Field Office. Award documents are then prepared.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Schedule for DOE payments will be established during negotiations. See the following for information on how assistance is awarded/released: Schedule for DOE payments will be established during negotiations.

**Reports:**

A reporting schedule will be established during negotiations. No cash reports are required. A reporting schedule will be established during negotiations. A reporting schedule will be established during negotiations. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted to ensure that funding is properly used. Audits will be performed at appropriate intervals depending on the duration of the project.

**Records:**

The grantee is expected to maintain records to fulfill auditing needs.

**Account Identification:**

89-0242-0-1-053.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 Not Available; FY 11 est \$28,970,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$50,000 to \$2,150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Funds are awarded to program participants for emergency training, equipment, and public information to support the shipment of transuranic waste to WIPP. As new transportation corridors are scheduled to open, the affected States and Indian Tribes will be funded accordingly. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data

Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Rules and 10 CFR 600 applies.

**Regional or Local Office:**

None. Department of Energy, Carlsbad Field Office, P.O. Box 3090, Carlsbad, NM 88221-3090. Contact: Bill Mackie, Institutional Affairs Manager, Telephone: (575) 234-7335.

**Headquarters Office:**

Mary Bisesi, Office of Environmental Management, Office of Disposal Operations, Department of Energy, Washington, District of Columbia 20585 Phone: (301) 903-7416.

**Website Address:**

<http://www.em.doe.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The awards are restricted to the entities listed in the "Applicant Eligibility" portion of this program listing. Eligibility is restricted by action of the Western Governors' Association, Southern States Energy Board, the State of New Mexico, and tribal governments along WIPP transportation routes. DOE administers agreements with 10 southern State governments, two mid-west State governments, and zero northeast state governments (at the current time). The Western Governors' Association is the negotiating body for 12 western states on the WIPP transportation route. Each tribal government on the WIPP transportation route elected to represent themselves. Participation in this program is restricted to the above list of organizations and to the 8 affected tribal governments.

**81.108 EPIDEMIOLOGY AND OTHER HEALTH STUDIES FINANCIAL ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051;; Federal Nonnuclear Energy Research and Development Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101 ; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817.

**OBJECTIVES:**

To provide financial support for research, education, conferences, communication, and other activities relating to the health of Department of Energy workers, as well as other populations potentially exposed to health hazards associated with energy production, transmission, and use.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training, related activities, and advanced technology projects or assessments. Restrictions on use of funds depend on award provisions. Support is provided for work in such areas as the health experience of DOE and DOE contractor workers; health experience of populations living near DOE facilities; health experience of workers exposed to toxic substances; use of biomarkers to recognize exposure to toxic substances; conduct of epidemiologic and other health studies relating to energy production, transmission, and use (including electromagnetic fields) in the United States and abroad; compilation, documentation, management, use, and analysis of data for the DOE Comprehensive Epidemiologic Data Resource; and other systems or activities enhancing these areas, as well as other program areas as may be described by notice published in the Federal Register.

**Applicant Eligibility:**

Colleges and universities, businesses, and nonprofit institutions may apply.

**Beneficiary Eligibility:**

Colleges and universities, businesses, and nonprofit institutions will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A formal application by the principal investigator interested in doing the work is required. If submitted on behalf of an institution, the application should be sent through the appropriate administrative official. In the case of any competitive solicitations issued under this program, the application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web-site at <http://www.grants.gov/>.

**Award Procedure:**

Decisions to approve are made by the Headquarters Program Director. DOE procurement offices are then instructed to negotiate and prepare an appropriate award document.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Normally 6 months.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 60 to 90 days. Proposals for renewal are subject to review and acceptance by the Headquarters Office.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The schedule of DOE payments is arranged at the time of award. See the following for information on how assistance is awarded/released: Incrementally funded unless full funding is available.

**Reports:**

No program reports are required. No cash reports are required. Monthly progress/status reports detailing monthly activities are required. Monthly expenditure reports detailing accrued costs are required. Performance shall be monitored and details provided in the monthly progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is expected to maintain records required to audit or otherwise substantiate costs incurred under the grant.

**Account Identification:**

89-0224-0-1-271.

**Obligations:**

(Project Grants) FY 10 \$22,755,606; FY 11 est \$25,000,000; and FY 12 est \$25,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Results and accomplishments of basic research and training performed under these programs were reported in open scientific literature. The research and training supported by these awards help train future scientific talent in epidemiology and other health related issues. Fiscal Year 2011: Results and accomplishments of basic research and training performed under these programs were reported in open scientific literature. The research and training supported by these awards help train future scientific talent in epidemiology and other health related issues. Fiscal Year 2012: Results and accomplishments of basic research and training performed under these programs will be reported in open scientific literature. The research and training supported by these awards help train future scientific talent in epidemiology and other health related issues.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10 CFR 602. Guidelines and current program announcements are included in application kits.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ron W. Barnes, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: [ron.barnes@eh.doe.gov](mailto:ron.barnes@eh.doe.gov) Phone: (301) 903-1244.

**Website Address:**

<http://www.hss.energy.gov/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Continued to fund several cooperative agreements which were awarded for work on DOE's Former Worker Medical Screening Program, as required by the 1993 Defense Authorization Act. This program consumes the majority of any funding available for grants as described by CFDA 81.108. Fiscal Year 2011: Continued to fund several cooperative agreements which were awarded for work on DOE's Former Worker Medical Screening Program, as required by the 1993 Defense Authorization Act. This program consumes the majority of any funding available for grants as described by CFDA 81.108. Fiscal Year 2012: Will continue to fund several cooperative agreements which were awarded for work on DOE's Former Worker Medical Screening Program, as required by the 1993 Defense Authorization Act. This program consumes the majority of any funding available for grants as described by CFDA 81.108.

**CRITERIA FOR SELECTING PROPOSALS:**

The scientific and technical merit of the proposed research, appropriateness of the proposed method or approach, competency of research personnel and adequacy of proposed resources, reasonableness and appropriateness of the proposed budget, and other appropriate factors set forth in a Notice of Availability or in a specific solicitation.

**81.112 STEWARDSHIP SCIENCE GRANT PROGRAM**

(Defense Science)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title 1, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

(1) To grow the U.S. scientific community through university involvement in areas of fundamental science and technology relevant to stockpile stewardship;

(2) to promote and sustain scientific interactions between the academic community and scientists at the NNSA laboratories; (3) to train scientists in specific areas of long-term research relevant to stockpile stewardship; (4) to increase the availability of unique experimental facilities sited at NNSA's laboratories to the academic community, particularly for collaborations in areas of relevance to stockpile stewardship; and (5) to develop and maintain a long-term recruiting pipeline to NNSA's laboratories by increasing the visibility of NNSA's Defense Program's scientific activities to the U.S. faculty and student communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Financial support in whole or in part may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training, related activities, and advanced technology projects or assessments. Funding is provided for basic and applied research in the field of physical science in support of the DOE stockpile stewardship program. Restrictions on use of funds depend on grant provisions. Funding is provided for the purpose of exploring an idea that does not unnecessarily duplicate work already in progress or contemplated by DOE, is not already known to DOE, or has previously unrecognized merit. Some solicitations are open to institutions of higher education only.

**Applicant Eligibility:**

Some solicitations are open to institutions of higher education only and others include nonprofit organizations and for profit commercial organizations. See individual funding opportunity announcements for details on eligibility.

**Beneficiary Eligibility:**

Depending upon the eligibility requirements of the individual solicitation, U.S. public and private institutions of higher education and/or nonprofit organizations and for profit commercial organizations will benefit. The Federal government will also benefit from the research of these grants.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals should be submitted as specified in the funding opportunity announcement posted at <http://www.grants.gov/>.

**Award Procedure:**

Proposals will be screened for stewardship relevance and then reviewed for scientific and technical merit by qualified individuals. The review and selection process for each funding opportunity are included in the solicitation. Decisions to approve are made by a Headquarters program official within the Program Office. Selected proposals will be forwarded to the NNSA Albuquerque Complex for grant development, negotiation and award.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 90 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal are subject to review and acceptance by the Program Office.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, grants are approved for two-year or three-year project periods and funded one year at a time. Depending upon specific circumstances, grant project periods may range from one year to five years, at the discretion of the program office. Cooperative Agreements typically have five-year project periods and are funded one year at a time. See the following for information on how assistance is awarded/released: The NNSA Albuquerque Complex will make determination of method of funding release at the time of award.

**Reports:**

No program reports are required. SF425 quarterly. Progress Reports annually. No expenditure reports are required. Performance monitoring is required for Cooperative Agreements.

**Audits:**

No audits are required for this program.

**Records:**

Recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

89-0240-0-1-053.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$92,635,000; FY 11 est \$93,000,000; and FY 12 est \$98,000,000

**Range and Average of Financial Assistance:**

grants \$50,000 - \$750,000 per year  
Cooperative agreements \$1,000,000-\$63,000,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The research supported helps to increase U.S. efforts in physical science relevant to stockpile stewardship and trains future scientific talent in these areas. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research programs. Fiscal Year 2011: The research supported helps to increase U.S. efforts in physical science relevant to stockpile stewardship and trains future scientific talent in these areas. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research programs. Fiscal Year 2012: The research supported helps to increase U.S. efforts in physical science relevant to stockpile stewardship and trains future scientific talent in these areas. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10 CFR 600, Federal Statutes, OMB Circulars, and other Government-wide guidance implementing 10 CFR 600, DOE Acquisition Policy and Guidance, DOE Guide to Financial Assistance.

**Regional or Local Office:**

None.

**Headquarters Office:**

Terri Lynn Batuyong 1000 Independence Avenue, SW  
NA-113, GTN building, Washington, District of Columbia 20585-1290 Email:  
[terri.batuyong@nnsa.doe.gov](mailto:terri.batuyong@nnsa.doe.gov) Phone: (202) 586-9342 Fax: (202) 586-8005

**Website Address:**

<http://www.nnsa.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Studying Fields and Matter in HED Plasmas, Hohlräume and ICF Implosions, Using Monoenergetic Proton and Alpha Radiography and Fusion-Product Spectrometry; Radioactive Ion Beam Studies for Stewardship

Science; High Pressure Science and Technology; Experimental Study of the Equation-of-State in Dense, Strongly-Coupled Plasma; Experiments with a Lead-Lowing Down Spectrometer and Fission Neutrons ; Thermoelasticity of SSP Materials: An Integrated Acoustic and Diffraction Study at High-P and High-T. Fiscal Year 2011: Studying Fields and Matter in HED Plasmas, Hohlräume and ICF Implosions, Using Monoenergetic Proton and Alpha Radiography and Fusion-Product Spectrometry; Radioactive Ion Beam Studies for Stewardship Science; High Pressure Science and Technology; Experimental Study of the Equation-of-State in Dense, Strongly-Coupled Plasma; Experiments with a Lead-Lowing Down Spectrometer and Fission Neutrons ; Thermoelasticity of SSP Materials: An Integrated Acoustic and Diffraction Study at High-P and High-T. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

(1) Alignment with the areas of technical scope; (2) Scientific/technical merit of the project, including innovativeness and originality; (3) Expected impact on the area of technical scope addressed; (4) Consistency with the objective of this academic alliances program to focus on advanced experimental investigations; (5) Qualifications of the Applicant's personnel and adequacy of proposed resources; (6) Feasibility of plans for carrying out the proposed research, considering such factors as: appropriateness of the technical method and approach, facility compatibility, other commitments, competition and timing; (7) For projects currently receiving funding under this program, the quality and scientific impact of recent results and accomplishments; (8) Level of interaction with NNSA/DP laboratory personnel and the potential to train students in scientific areas defined by the technical scope in order to build a long-term recruiting pool for the NNSA/DP laboratory complex. Generally, a higher degree of interaction both quantitatively and qualitatively is considered desirable; (9) Leverage provided by cost sharing with other funding sources.

#### **81.113 DEFENSE NUCLEAR NONPROLIFERATION RESEARCH**

Defense Nuclear Nonproliferation Research

##### **FEDERAL AGENCY:**

Department of Energy

##### **AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 3157, Public Law 101-189, 103 Stat. 1684, 42 U.S.C. 2051 , Section 3157, 1684 Stat. 42, 2051 U.S.C ; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438; 88 Stat. 1240, 42 U.S.C. 5817, Title I, Section 107, 1240 Stat. 42, 5817 U.S.C ; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy (DOE) Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101; , 7101 U.S.C.

##### **OBJECTIVES:**

To conduct basic and applied research and development that enhances U.S. national security and reduces the global danger from the proliferation of weapons of mass destruction and special nuclear materials through needs-driven research and development. The emphasis is on developing the requisite technologies to detect and deter nuclear proliferation and to meet U.S. nuclear detonation detection goals. Research focuses on advanced detection systems and concepts to support current and future USG policies. Additionally, a separate, specific, award for the National Science and Security Consortium (NSSC) will be granted. This award will address the pressing shortfalls in trained professionals capable of supporting crucial nuclear nonproliferation missions such as nuclear forensics and international safeguards.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, materials, supplies, equipment, travel, publication costs, services required for conducting nonproliferation research and development to reduce the global danger from the proliferation of weapons of mass destruction. Construction or related costs are not allowed under these project grants. All work must comply with export control regulations. .

##### **Applicant Eligibility:**

Universities (public and private), institutions of higher education with

postdoctoral programs, whose activities benefit the general public through results which are available to the National Nuclear Security Administration (NNSA), other U.S. government agencies, and universities and institutions of higher learning may apply.

##### **Beneficiary Eligibility:**

The NNSA, other U.S. government agencies, universities and institutions of higher learning will benefit.

##### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher learning. For Non-government organizations, Costs will be determined in accordance with OMB Circular No. A-122 . This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The NNSA Service Center in Albuquerque, New Mexico issues Funding Opportunity Announcements (FOAs) under which formal applications may be submitted by a scientist or principal investigator who will conduct or lead the research team. The FOAs will be posted to Grants.gov which can be accessed at: <http://www.grants.gov>.

##### **Award Procedure:**

Evaluations will be conducted by technical staff assigned to the Office of Nonproliferation and Verification Research and Development or at the DOE national laboratories. Final decisions for approval are made by the source selection authority. DOE/NNSA Procurement is then instructed to negotiate and prepare the grant award documents. Program management responsibilities may be delegated as a whole or in part to the NNSA Service Center or NNSA Site Offices.

##### **Deadlines:**

Not Applicable.

##### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Deadlines will be provided in the individual BAAs posted at Grants.gov.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Grants will be modified and extended as required. Renewals are subject to an annual review by the Headquarters and/or NNSA Service Center.

##### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

The grant period is for up to three years depending upon available appropriations. The schedule of payments is arranged at the time of award, but it is expected that proposals will be fully funded for their three year lifecycles in one lump sum. See the following for information on how assistance is awarded/released: Depending on the program some can be awarded lump sum or incrementally funded.

##### **Reports:**

No program reports are required. Cash reports are not applicable. Quarterly Progress reports, and final reports are required. Also progress is reported annually at the University Industry Technical Interchange meeting for the life of the project. In the first year creation of a poster for project presentation is required and formal presentations are required thereafter. All projects are subject to this audit process. Expenditure reports are not applicable. Independent performance and merit reviews are required in the second year of the lifecycle. All projects are subject to this audit process.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0243-0-1-053.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$25,133,368; FY 11 est \$15,000,000; and FY 12 est \$15,000,000

**Range and Average of Financial Assistance:**

The expected range of Awards is approximately \$200k to \$750k for the lifecycle of the project.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Twenty-two, 3-year grants were awarded. Fiscal Year 2011: Seven, 3-year grants were awarded. A single grant of \$25M (\$5M/year for 5 years) was awarded for the Nuclear Science and Security Consortium. Fiscal Year 2012: We expect 10-15 grants to be awarded and fully funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See Code of Federal Regulations (CFR); 10 CFR 600 and OMB Circulars

**Regional or Local Office:**

None.

**Headquarters Office:**

Ivy D. Martin, 1000 Independence Ave SW, Washington, District of Columbia 20585 Email: ivy.martin@hq.doe.gov Phone: (202) 586-2246 Fax: (202) 586-0485.

**Website Address:**

<http://www.nnsa.doe.gov/na-20>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Development of a Thin-film Boron Phosphide Solid State Neutron Detector.. Fiscal Year 2011: Compressive Sensing & Deep Learning for Analysis of Hyperspectral Imagery". Fiscal Year 2012: Grants will be awarded to conduct research on: (1) Remote Sensing; (2) Advanced materials for radiation detection; (3) simulation, algorithms and modeling research related to nonproliferation; (4) Improvements to mass spectroscopic techniques.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process will be determined on the following criteria: 1) mission relevance; 2) overall scientific and technical merit; 3) risk assessment; 4) research duplication and 5) management approach.

**81.117 ENERGY EFFICIENCY AND RENEWABLE ENERGY INFORMATION DISSEMINATION, OUTREACH, TRAINING AND TECHNICAL ANALYSIS/ASSISTANCE****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Reorganization Act of 1974, 42 U.S.C. 5813(6)(7)(8); ARRA 2010, 42 U.S.C 5813 (6-8); Energy Policy Act 1992, 42 U.S.C 13231; Department of Energy Organization Act of 1977, 42 U.S.C 712.

**OBJECTIVES:**

The Department of Energy (DOE) seeks to provide financial assistance for information dissemination, outreach, training and related technical analysis/assistance which will: (1) stimulate increased energy efficiency in

transportation, buildings, industry and the Federal sector and encourage increased use of renewable and alternative energy; and (2) accelerate the adoption of new technologies to increase energy efficiency and the use of renewable and alternative energy through the competitive solicitation of applications.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial assistance is provided in support of the program objectives as described in a single competitive solicitation or multiple competitive solicitations. The solicitation(s) will provide funding in various program areas within the Office of Energy Efficiency and Renewable Energy: Solar, Wind and Hydropower, Geothermal, Biomass, Industrial Technologies, FreedomCAR, Building Technologies, Weatherization and Intergovernmental, Federal Energy Management Program, and the Office of the Assistant Secretary for Energy Efficiency and Renewable Energy. Restrictions on use of funds depend on the provisions of the specific project agreement.

**Applicant Eligibility:**

Profit organizations, individuals, private nonprofit institutions/organizations, public nonprofit institutions/organizations, State and local governments, Native American organizations, Alaskan Native corporations and universities may apply. DOE Laboratories are not eligible.

**Beneficiary Eligibility:**

Profit organizations, individuals, private nonprofit institutions/organizations, public nonprofit institutions/organizations, State and local governments, Native American organizations, Alaskan Native corporations and universities benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/>. A separate application must be submitted for each DOE Energy Efficiency and Renewable Energy (EERE) Program Area of Interest.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. Objective Merit Review Committees will evaluate applications based on the evaluation criteria set forth in the competitive solicitation. After the Merit Review Committee has completed its evaluations, an EERE Office Director or other Program Official will evaluate the applications against program policy factors set forth in the competitive solicitation. Final decisions will be made by the EERE Assistant Secretary, Deputy Assistant Secretaries, and the Director of the Federal Energy Management Program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. None.

**Appeals:**

None.

**Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and time phasing of assistance will vary with the program phase and activity. The maximum term of awards varies among the Program Areas of Interest and ranges from 6 months to 5 years. See the following for information on how assistance is awarded/released: Funds are released through the Electronic Transfer System. Annual budget periods are set by each grantee within parameters established by DOE.

**Reports:**

No program reports are required. No cash reports are required. Semi-annual reporting is required. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Costs incurred are subject to audit throughout the grant period and before final close-out.

**Records:**

A grantee is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Project Grants) FY 10 \$80,357,944; FY 11 est \$15,008,025; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Vary.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Launched Industrial Technologies Program Superior Energy Performance Program and Launched National Administrator of the Solar Instructor Training Initiative. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://management.energy.gov/policy\\_guidance.htm](http://management.energy.gov/policy_guidance.htm)

**Regional or Local Office:**

None. EERE Information Center (877) 337-3463.

**Headquarters Office:**

LaTonya A. Poole, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: [latonya.poole@ee.doe.gov](mailto:latonya.poole@ee.doe.gov) Phone: (202) 586-3835.

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection will be based on an objective merit review recommendation, program policy factors, the amount of funds available, provisions of appropriation law and reports and as otherwise specified in the solicitation document.

**81.119 STATE ENERGY PROGRAM SPECIAL PROJECTS**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Balanced Budget Down Payment Act II of 1996; ARRA 2009, Public Law 134-104; Energy Policy and Conservation Act; ARRA 2009, Title III, Part C, Section 361-366, Public Law 163-94, 42 U.S.C 6321-6326; Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 710; ARRA 2009, Public Law 91-95, 42 U.S.C 7101; National Energy Conservation Policy Act of 1978, Public Law 95-619; ARRA 2009, Public Law 619-95.

**OBJECTIVES:**

To allow States to submit proposals to implement specific Department of Energy (DOE) Office of Energy Efficiency and Renewable Energy deployment activities and initiatives as Special Projects under the State Energy Program. States will compete for funding to implement activities relating to a number of programmatic areas such as building codes and standards, alternative fuels, industrial efficiency, building efficiency, and solar and renewable technologies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, materials, and supplies, equipment, travel, publication costs, and services required for implementing the activities described in the application.

**Applicant Eligibility:**

All States plus the District of Columbia, the U.S. Virgin Islands, Puerto Rico, Guam, Samoa, and the Commonwealth of the Northern Mariana Islands may apply.

**Beneficiary Eligibility:**

States and their project partners will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with 10 CFR 600 for State and local Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Audit procedures in accordance with OMB Circular No. A-133. In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web-site: at <http://www.grants.gov>. Applicants for sub-awards from the states should consult the office or official designated as the single point of contact within the State for more information on the process the State requires to be followed in applying for assistance.

**Award Procedure:**

Evaluations will be conducted by staff of the Office of Energy Efficiency and Renewable Energy end-use sectors participating in the annual solicitation. Final decisions to approve are made by Assistant Secretary Office of Energy Efficiency and Renewable Energy. DOE Field Offices are then instructed to negotiate and prepare the grant award documents.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines are set forth in the solicitation.

**Appeals:**

None.

**Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. Cost sharing is not required however strongly encouraged.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Vary. See the following for information on how assistance is awarded/released:  
Funds are released through the Electronic Transfer System.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Costs will be verified and subject to audit according to standard government practice and in accordance with OMB Circular No A-102.

**Records:**

In accordance with 10 CFR 600.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Project Grants) FY 10 \$10,975,987; FY 11 est \$452,904; and FY 12 Estimate Not Available - All FY10 funds were Industrial Technology American Reinvestment and Recovery Act Funds for the Save Energy Now National Initiative.

**Range and Average of Financial Assistance:**

500,000 - 1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the American Recovery and Reinvestment Act of 2009 and Program requirements issued in Federal Register prior to actual invitation and solicitation to the States.

**Regional or Local Office:**

None.

**Headquarters Office:**

LaTonya A. Poole, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: latonya.poole@ee.doe.gov Phone: (202) 586-3835.

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

81.041 State Energy Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process will be determined by the criteria announced in the annual solicitation.

**81.121 NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION**

(NE RD&D)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 32, Public Law 83-703, 68 Stat. 919, 42 U.S.C 2051; Atomic Energy Act, Section 31, Public Law - , 42

U.S.C 2051; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, Stat. , 42 U.S.C 7101; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C 5817.

**OBJECTIVES:**

Provide financial assistance to address key issues affecting the worldwide use of nuclear energy through the research, development, and demonstration of science and technology fields related to nuclear energy and its underlying sciences.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Financial assistance, opportunities are defined in individual solicitations available on the DOE website or Grants.gov. Notices published on Grants.gov define research, development, and demonstration areas that the Department intends to support such as: advanced reactors, fuel and reactor concepts that minimize proliferation risks, nuclear fuel and fuel cycles, advanced instrumentation, controls, simulation, modeling and analyses, nuclear waste management, construction, manufacturing and fabrication technologies, and related fundamental nuclear science areas in materials, reactor physics, chemistry, radiochemistry, health physics, and thermal hydraulics and fluid dynamics. Notices published on Grants.gov define development or demonstration projects and study areas activities that the Department intends to support such as: advanced designs, technologies or techniques, new regulatory or licensing requirements, and economic analyses. For a given solicitation, financial assistance may be available in whole or in part, for the following in support of nuclear energy research and related fields in development and demonstration activities: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical activities, market analyses, financing plans and other activities necessary to achieve the objective. Restrictions on use of funds depend on solicitation and award provisions.

**Applicant Eligibility:**

Federal, State, local governments, universities, consortia, nonprofit institutions, commercial corporations, and individuals may apply.

**Beneficiary Eligibility:**

Any individual, partnership, corporation, association, joint venture, institution of higher education, or nonprofit organization will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. Costs will be determined in accordance with OMB Circular No. A-122 for non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. DOE solicitations set forth award procedures. Refer to [www.ne.doe.gov](http://www.ne.doe.gov) for additional information.

**Award Procedure:**

DOE solicitations set forth award procedures. Applications will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation. Evaluations will be coordinated by a Merit Review Chair and conducted by a review board. This responsibility will be performed by the Office of Nuclear Energy or delegated to a DOE Operations Office. Final decisions will be made by the approved Program Officer or the delegated Source Selection Official. For additional information, please refer to [www.ne.doe.gov](http://www.ne.doe.gov).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Normally 6 to 9 months.

Deadlines for submissions will be posted in the individual funding opportunities posted at <http://www.grants.gov>.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal are subject to review and acceptance by the Program Director or Source Selection Official.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: As stated in each solicitation.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The period of performance and schedule of DOE payments is arranged at the time of award. See the following for information on how assistance is awarded/released: ASAP Method of Payment.

**Reports:**

As stated in each solicitation. Cash reports are not applicable. As stated in each solicitation. Normally quarterly financial status reports will be required.

Performance monitoring is tracked and reported according to set procedures dictated in each solicitation.

**Audits:**

Not Applicable.

**Records:**

Award recipient is expected to maintain auditable records to substantiate total costs incurred under the agreement and as required by the financial assistance award.

**Account Identification:**

89-0319-0-0-000.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 09 \$213,986,585; FY 10 est \$140,516,512; and FY 11 est \$140,000,000 - \*\* OMB needs to know breakdown of these numbers (FY2008, FY2009, and FY2010 est.) \*\*.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Idaho Operations Office, 1955 Fremont Avenue, Idaho Falls, ID 83415. Nuclear Programs Support Division, Contact: Ken Osborne, Telephone: (208) 526-0805.

**Headquarters Office:**

Kenny K. Osborne, 1955 Fremont Ave, Idaho Falls, Idaho 83415 Email: [osbornkk@id.doe.gov](mailto:osbornkk@id.doe.gov) Phone: (208) 526-0805.

**Website Address:**

<http://www.ne.doe.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each proposal will be evaluated based on an objective merit review in accordance with the requirement of "DOE Financial Assistance Regulations" (10 CFR 600) and the evaluation criteria set forth in the competitive solicitations. These criteria will include: appropriateness of the proposal method

or approach, competency of research personnel and adequacy of proposed resources, reasonableness and appropriateness of the proposed budget, and other appropriate factors.

**81.122 ELECTRICITY DELIVERY AND ENERGY RELIABILITY, RESEARCH, DEVELOPMENT AND ANALYSIS**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Policy Act of 1992 (EPACT), Public Law 102-486; Energy Tax Act of 1978, Public Law 95-618; American Recovery and Reinvestment Act of 2009 (ARRA); Public Law 111-5 ; Energy Policy Act of 2005 (EPACT), Public Law 109-58; Superconductivity and Competitiveness Act of 1988, Public Law 100-697; Energy Independence and Security Act of 2007 (EISA), Public Law 110-140; Department of Energy Organization Act of 1977, as amended, Public Law 95-91; Energy Security Act of 1980, Public Law 96-294.

**OBJECTIVES:**

Through research, development, demonstration, technology transfer, and education and outreach activities, lead national efforts to modernize the electric grid; enhance security and reliability of the energy infrastructure; and mitigate the impact of, and facilitate recovery from, disruptions to the energy supply. Develop cost-effective technology that enhances the reliability, efficiency, and resiliency of the electric grid, while enabling the effective utilization of emerging and renewable generation sources and promoting the rapid deployment and integration of advanced digital "Smart Grid" technology that is needed to modernize the nations electric delivery network for enhanced operational intelligence and connectivity.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Assistance provided as cost-shared cooperative agreements or grants to nonprofit and profit institutions and organizations to develop, demonstrate and transfer technologies or information developed to utilities, energy companies, energy regulators, state and local governments and other stakeholders. ARRA funding includes the Smart Grid Investment Grant Program, Smart Grid Demonstration program, Workforce Training, and State and Local Government Assistance.

**Applicant Eligibility:**

All types of domestic entities are eligible to apply, such as profit organizations, private nonprofit institutions/organizations, universities, research organizations, and state and local governments. Not eligible are Federal agencies, Federally Funded Research and Development Center (FFRDC) Contractors, and nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995.

**Beneficiary Eligibility:**

Profit organizations, private nonprofit institutions/organizations, universities, research organizations, and state and local governments benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by DOE and required by 10 CFR Part 600 must be used to apply for financial assistance, as further specified in competitive solicitation(s). The application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web site: <http://www.grants.gov/>

**Award Procedure:**



All applications which pass an initial review will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation(s) or criteria set forth in 10 CFR Part 600 for Unsolicited Proposals. Evaluations will be conducted by the Office of Electricity Delivery and Energy Reliability personnel at DOE Headquarters in Washington, DC. This responsibility may also be delegated to DOE Operations Offices and technical experts. Final decisions will be made by the Assistant Secretary, Office of Electricity Delivery and Energy Reliability.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants and cooperative agreements may be modified or extended.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: As Specified under Section 988 of the Energy Policy Act of 2005 and EISA, with exceptions, a minimum of 20% cost share is required for research and development. A minimum of 50% is required for demonstration. Higher cost share may be requested. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for up to five years, as specified in the solicitation. See the following for information on how assistance is awarded/released: To be determined.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports required as specified in the grant or cooperative agreement. Typically these reports consist of quarterly progress and a final report at the conclusion of the grant or cooperative agreement time period. Expenditure reports required as specified in the grant or cooperative agreement. Typically these reports consist of quarterly expenditure reports and a final report at the conclusion of the grant or cooperative agreement time period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0328-0-1-999 - OE ARRA ; 89-0318-0-1-999 - OE Annual Appropriations.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$4,254,487,627; FY 11 est \$0; and FY 12 est \$0 - Recovery Act Appropriations. (Project Grants (Cooperative Agreements)) FY 10 \$44,469,176; FY 11 est \$16,900,000; and FY 12 est \$46,460,000 - Annual Appropriations.

**Range and Average of Financial Assistance:**

FY10 award obligations for annual appropriations range from \$20,000 to \$5,900,000 with the average at \$690,000. FY10 ARRA award obligations range from \$59,000 to \$200,000,000, with the average at \$15,000,000. FY11 award obligations for annual appropriations range from \$100,000 to \$3,000,000 with the average at \$680,000. FY12 award obligation ranges are expected to be similar to those in FY11. There will be no additional awards using ARRA funds in FY11 or FY12.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Over 280 awards totaling over \$4.2 billion were made from ARRA funding, and 53 awards totaling over \$44 million of annual appropriations in the areas of Smart Grid, Cyber Security and Energy Storage. Fiscal Year 2011: \$14,000,000 is scheduled to be awarded in the areas of Smart Grid, Renewables Integration and Advanced Modeling Grid Research. There will be no additional awards from Recovery Act funding. Fiscal Year 2012: \$46 million is scheduled to be awarded in the areas of Smart Grid Research and Development, Advanced Modeling Grid Research and Energy Storage, as well as the award of the Smart Grid Technology and Systems Hub.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: Office of Electricity Delivery and Reliability homepage, at <http://www.oe.energy.gov>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance.htm](http://www.management.energy.gov/policy_guidance.htm).

**Regional or Local Office:**

None. National Energy Technology Laboratory: <http://www.netl.doe.gov>.

**Headquarters Office:**

Office of Electricity Delivery and Energy Reliability, 1000 Independence Ave SW, Washington, District of Columbia 20585 Phone: (202) 586-1411.

**Website Address:**

<http://www.oe.energy.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Annual Appropriations were obligated to support awards in Smart Grid, Cyber Security and Energy Storage. Remaining ARRA funds were awarded for the Smart Grid Investment Grant Program, Smart Grid Demonstrations, Workforce Training and Local Government Energy Assurance Initiatives. Fiscal Year 2011: Annual appropriations will be awarded in the areas of Energy Storage Materials Research and System-level development and Advanced Modeling Grid Research. There will be no additional awards from Recovery Act funding. Fiscal Year 2012: Funding will be awarded in the areas of Smart Grid Research and Development, Advanced Modeling Grid Research and Energy Storage, as well as the award of the Smart Grid Technology and Systems Hub.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection is based on an objective merit review, program policy factors, the availability of funds, provisions of appropriation law and reports and as otherwise specified in specific solicitation document(s).

**81.123 NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA) MINORITY SERVING INSTITUTIONS (MSI) PROGRAM**

National Nuclear Security Administration

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 3157, Public Law 101-189; 103 Stat. 1684, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438; 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy (DOE) Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101; National Nuclear Security Administration Act, Public Law 106-65, as amended; Consolidated Appropriations Act, 2005, Public Law 108-447; Energy and Water Development Appropriations Act, 2006, Public Law 109-103; Revised Continuing Appropriations Resolution, 2007, Public Law 110-5, as amended; Executive Order 13230, President's Advisory Commission on Educational Excellence for Hispanic Americans, October 12, 2001, as amended; Executive Order 13256, White House Initiative on Historically Black Colleges and Universities, February 12, 2002, as amended; Executive Order 13270, Tribal Colleges and Universities, July 3, 2002, as amended.

**OBJECTIVES:**

The program's primary focus is to engage minority serving institutions (MSIs) in NNSA mission activities, collaborative research projects throughout the NNSA complex, and future workforce development.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, stipends, materials and supplies, equipment, travel, publication and training, and services required for conducting research, training, and related activities. Funding is provided for the purpose of exploring an idea that does not duplicate work already in progress or contemplated by DOE, is not already known to DOE, or has previously unrecognized merit. Restrictions on the use of funds depend on grant provisions.

**Applicant Eligibility:**

Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), Tribal Colleges and Universities (TCUs) and non-profit institutions serving HBCUs, HSIs and TCUs.

**Beneficiary Eligibility:**

The general public, scientists, researchers, student/trainee, graduate students, institutions of higher learning, NNSA, and other US government agencies will benefit. Middle and high school will also benefit due to the institutions of higher learning's programs supported by NNSA.

**Credentials/Documentation:**

Documentation for indirect cost rates and any other documentation required by 10CFR Part 600 and CFR Title 2. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application forms and instructions are available upon request from the Associate Administrator for Management and Administration Office (NA-60); National Nuclear Administration (NNSA) U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, D.C. 20585; phone: (202) 586-6174.

**Award Procedure:**

NNSA's technical staff conduct evaluations in accordance with the 10CFR Part 600 and 2CFR. If the proposal meets the pre-established CFR criteria, then a grant is awarded.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. The range is from 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 120 to 180 days. Grants will be modified or extended as required. Renewals are subject to an annual review by the NNSA's Headquarters and/or Operations' program offices.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 20%. According to 10CFR Part 30(2)(b), 20% matching funds for applied research are required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The grant period ranges from 1 to 5 years depending upon available appropriations. Expenditure of funds is allowed during the budget period specified in the grant document. The payment type and schedule are arranged at the time of award. Funding is provided to the grantee on a reimbursable basis unless the grant provisions specify otherwise. See the following for information

on how assistance is awarded/released: reimbursement.

**Reports:**

The DOE Federal Assistance Reporting Checklist (DOE F 4600.2) is incorporated into the grant document at the time of award. This checklist specifies the programmatic and financial reports that are required as well as the timeframe for report submission. Standard Form 425 is completed and submitted on a quarterly basis. The grantee completes the SF-425 to specify the cumulative cash receipts, disbursements and on-hand balance. Quarterly Progress reports indicative of the progress made, planned activity and estimated expenditures for the subsequent quarters are required. A quarterly expenditure report specifying expenses for the quarter, cumulative expenditures and on-hand balance. Progress reports are monitored to measure grantee's progress and expenditures are monitored to ensure that there is a correlation between work performed and expenditures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Costs incurred are subject to audit throughout the grant period and/or before final payment in accordance with grant provisions and 10CFR Part 600 and CFR Title 2.

**Records:**

The grantee is required to maintain auditable records in accordance with CFR Part 2 Subpart 215.53.

**Account Identification:**

89-0299-0-1-050.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 est \$10,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Grant awards range from \$250K to \$4.7M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010 funds will be utilized to fund existing grants. However, subject to the availability of funds, new awards will be made. Fiscal Year 2011: Budget projections for Fiscal 2011 is \$10,000,000.00. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10CFR Part 600 and CFR Part 2.

**Regional or Local Office:**

None.

**Headquarters Office:**

Malika S. Hobbs, 1000 Independence Avenue S.W., Washington, District of Columbia 20585 Email: malika.hobbs@nnsa.doe.gov Phone: (202) 586-6174 Fax: (202) 287-5737.

**Website Address:**

<http://www.nnsa.doe.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Educating engineers and scientists, scientific research, K-12 science and math initiatives, minority faculty and student summer internships. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process is based on the following criteria: 1) Potential impact and relevance of proposed work; 2) technical merit; 3) qualifications of the proposed investigators; 4) quality of the proposed research plan; 5) proposed schedule, budget and available resources.

## **81.124 PREDICTIVE SCIENCE ACADEMIC ALLIANCE PROGRAM**

Office of Advanced Simulation and Computing (ASC)

### **FEDERAL AGENCY:**

Department of Energy

### **AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title 1, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

### **OBJECTIVES:**

(1) To foster the science of building integrated, multi-scale, and multi-physics codes with the primary focus on code validation and verification to help advance the newly emergent predictive science in academia; (2) to promote and sustain scientific interactions between the academic community and scientists at the NNSA laboratories; (3) and to train scientists in specific areas of long-term research relevant to DOE stockpile stewardship.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Financial support in whole or in part may be provided for such purposes as salaries, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training, related activities, and advanced technology projects or assessments. Funding is provided for applied research in the field of computational science in support of the DOE NNSA Stockpile Stewardship program. Restrictions on use of funds depend on grant provisions. Funding is provided for the purpose of exploring a research idea that does not unnecessarily duplicate work already in progress or contemplated by DOE, is not already known to DOE, or has previously unrecognized merit. See the Minimum Requirements in the FOA.

### **Applicant Eligibility:**

Only U.S. Public and Private Education Institutions with Ph.D. granting programs can apply.

### **Beneficiary Eligibility:**

Only U.S. Public and Private Education Institutions with Ph.D. granting programs can apply.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as specified in the funding opportunity announcement posted at <http://www.grants.gov>.

### **Award Procedure:**

Proposals will be screened for ASC programmatic relevance and then reviewed for scientific and technical merit by qualified individuals. Recommendations for award are made by the ASC office, Defense Programs, NNSA, and selected proposals will be forwarded to the NNSA Service Center in Albuquerque, NM, for grant development and award.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

From 90 to 120 days. See individual opportunity announcements at <http://www.grants.gov> for deadlines for each specific announcement.

### **Appeals:**

From 90 to 120 days.

### **Renewals:**

Applications for annual renewal are subject to review and acceptance by the NNSA Office of Advanced Simulation and Computing.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 10.0%.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

The NNSA cooperative award assistance is available for total of 5 project-year time window, subject to approval of annual renewals. The annual funding should be expended within the allocated timeframe, with 10% allowed for carryover to the next fiscal year. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Annual program reports are required. Quarterly submissions of SF-272 are required. Quarterly technical progress reports are required. Cost accruals are reported quarterly. Annual technical reviews by external review panels are performed.

### **Audits:**

No audits are required for this program.

### **Records:**

Recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant.

### **Account Identification:**

89-0240-0-1-053.

### **Obligations:**

(Project Grants) FY 10 Not Available; FY 11 est \$17,500,000; and FY 12 Estimate Not Available

### **Range and Average of Financial Assistance:**

\$17M for each award for 5 project years ranging from mid-FY08 to mid-FY13, with \$3.4 M as the average annual award amount.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: (1) To foster the science of building integrated, multi-scale, and multi-physics codes with the primary focus on code validation and verification to help advance the newly emergent predictive science in academia; (2) to promote and sustain scientific interactions between the academic community and scientists at the NNSA laboratories; (3) and to train scientists in specific areas of long-term research relevant to DOE stockpile stewardship. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Thuc Hoang, 1000 Independence Ave. SW., Washington, District of Columbia 20585 Email: [thuc.hoang@nnsa.doe.gov](mailto:thuc.hoang@nnsa.doe.gov) Phone: (202) 586-7050 Fax: (202) 586-0405.

### **Website Address:**

<http://www.sandia.gov/NNSA/ASC/univ/psaap.html>

### **RELATED PROGRAMS:**

Not Applicable.

### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: See above list. Fiscal Year 2012: No Current Data Available

### **CRITERIA FOR SELECTING PROPOSALS:**

(1) Alignment with the areas of technical scope called forth in the call for application; (2) Scientific/technical merit of the project; (3) Expected impact on the proposed area of research activity; (4) Consistency with the objective of this academic alliances program to focus on advanced computational science investigations; (5) Qualifications of the Applicant's personnel and adequacy of

proposed resources; (6) Feasibility of plans for carrying out the proposed research, considering such factors as: appropriateness of the technical method and approach, facility compatibility, other commitments, competition and timing; (7) Level of interaction with NNSA/DP laboratory personnel and the potential to train students in scientific areas defined by the technical scope in order to build a long-term recruiting pool for the NNSA/DP laboratory complex; (8) Leverage provided by cost sharing by applicant and with other funding sources.

## **81.126 FEDERAL LOAN GUARANTEES FOR INNOVATIVE ENERGY TECHNOLOGIES**

Loan Guarantee Program Office (LGPO) or Advanced Technology Vehicles Manufacturing Loan Program (ATVM). Both of these are part of the Loan Programs Office (LPO).

### **FEDERAL AGENCY:**

Department of Energy

### **AUTHORIZATION:**

Energy Policy Act of 2005, PL 109-58, 119 Stat 1117-1122, Title XVII, 42 USC 15801; August 8, 2005. Energy Independence and Security Act of 2007, PL 110-140, Section 136.

### **OBJECTIVES:**

To encourage, through the use of Federal loan guarantees, early commercial use in the United States of new or significantly improved technologies in energy projects that; 1) avoid, reduce, or sequester air pollutants or anthropogenic emissions of greenhouse gases; and (2) employ new or significantly improved technologies as compared to commercial technologies in service in the United States at the time the guarantee is issued. (42 U.S.C. 16513(a)). Also, under section 1705, guarantees can be made for rapid deployment of certain renewable and electric transmission projects. For ATVM (Sec 136 of EISA2007, issue loans to automobile and part manufacturers for cost of re-equipping, expanding, or establishing manufacturing facilities in the United States to produce advanced technology vehicles or qualified components, and for engineering integration costs.

### **TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans

### **USES AND USE RESTRICTIONS:**

The assistance provides Federal loan guarantees for technologies that avoid, reduce, or sequester air pollutants or anthropogenic emissions of greenhouse gases; and employ new or significantly improved technologies as compared to commercial technologies in service in the United States at the time the guarantee is issued and which provide a reasonable assurance of repayment. Further Program information may be found at

<http://www.lgprogram.energy.gov>.

Projects that may be eligible for a loan guarantee include: Renewable energy systems including wind, photovoltaics, biomass and hydropower projects; Advanced fossil energy technology including gasification, integrated gasification combined cycle, industrial gasification, petroleum coke gasification and coal to oil liquefaction projects; Efficient end use technologies; Hydrogen fuel cell technology for residential, industrial, or transportation applications; Advanced nuclear energy facilities; Carbon capture and sequestration practices and technologies, including agricultural and forestry practices that store and sequester carbon; Efficient electrical generation, transmission, and distribution technologies; Efficient end-use energy technologies; Production facilities for fuel efficient vehicles, including hybrid and advanced diesel vehicles; Pollution control equipment; and Refineries, meaning facilities at which crude oil is refined into gasoline. For ATVM, issue loans to automobile and part manufacturers for cost of re-equipping, expanding, or establishing manufacturing facilities in the United States to produce advanced technology vehicles or qualified components, and for engineering integration costs. See above. The terms of an obligation shall require full repayment of principle and interest on the Guaranteed Obligations and other project debt over a period of up to the lesser of 30 years or 90 percent of the projected useful life of the project's major physical assets as calculated in accordance with generally accepted accounting principles and practices. The tenor of ATVM loans varies from project to project.

### **Applicant Eligibility:**

Any corporation, company, partnership, association, society, trust, joint venture, joint stock company, or governmental nonfederal entity, that has the authority to enter into, and is seeking, a loan guarantee for a loan or other debt obligation of an Eligible Project. For ATVM loans, automobile manufacturers and parts suppliers are potential recipients. See the [www.atvmloan.energy.gov](http://www.atvmloan.energy.gov) website for details.

### **Beneficiary Eligibility:**

Small businesses, profit organizations, quasi-public nonprofits, public institutions and interstate, intrastate, State and local governments will benefit from the loan guarantee program. For ATVM, DOE has promulgated regulations defining the eligibility requirements for automobile manufacturers which are available on the [www.atvmloan.energy.gov](http://www.atvmloan.energy.gov) website.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application procedures for a Department of Energy Title XVII loan guarantee are unique to each solicitation issued by the Department. Potential applicants should only apply for a loan guarantee under the specific funding opportunity announcement posted on the Federal Government website at <http://www.fedconnect.net> or <http://www.lgprogram.energy.gov>. For additional information, see final regulations, 10 CFR Part 609, Loan Guarantees for Projects That Employ Innovative Technologies; Final Rule, published on October 23, 2007. For ATVM loans, the application procedure is also detailed in each solicitation. See the <http://www.ATVMloan.energy.gov> website for details.

### **Award Procedure:**

Award Procedures are identified in the individual solicitations for both LGPO and ATVM.

Except for division C of Public Law 108-324, the Secretary shall make guarantees or loans under this or any other Act for projects on such terms and conditions as the Secretary determines, after consultation with the Secretary of the Treasury.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

The Ranges of approval/disapproval times are identified in individual solicitations.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: For the LGPO Section 1703 loan guarantees, this is a "self-pay" program. Applicants will pay the subsidy costs as determined by the credit subsidy calculation. Also, fees will be charged to recover DOE's administrative costs in managing the Loan Guarantee Program. A fee schedule has been determined and published in each solicitation. No guarantee shall be made unless: (1) an appropriation for the cost has been made; or (2) the Secretary has received from the borrower a payment in full for the cost of the obligation and deposited the payment into the Treasury. (42 U.S.C. 16512.) Section 1705 guarantees have appropriated funds for the credit subsidy but applicant's and awardees are subject to additional fees during the application process and after award. See the solicitations at <http://www.lgprogram.energy.gov> for details. For ATVM Section 136 direct

loans, there is no self pay for credit subsidy.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of an obligation shall require full repayment of principle and interest on the Guaranteed Obligations and other project debt over a period of up to the lesser of 30 years or 90 percent of the projected useful life of the project's major physical assets as calculated in accordance with generally accepted accounting principles and practices. Tenor may be less for the ATVM loans. See the following for information on how assistance is awarded/released: Except for division C of Public Law 108-324, the Secretary shall make guarantees or loans under this or any other Act for projects on such terms and conditions as the Secretary determines, after consultation with the Secretary of the Treasury.

**Reports:**

The specific reports are detailed in each solicitation and in the final closing documents for the loans or loan guarantees. In addition, any recipients of ARRA funding under the LGPO's Title XVII program must meet the ARRA Section 1512 reporting requirements. The terms and conditions for each loan or guarantee will contain a schedule of all required reports. This includes any ARRA Section 1512 reporting requirements. The terms and conditions for each loan or guarantee will contain a schedule of all required reports. The terms and conditions for each loan or guarantee will contain a schedule of all required reports and performance monitoring. In general, the monitoring will be similar to commercial practices.

**Audits:**

Not Applicable.

**Records:**

A recipient of a guarantee or loan shall keep such records and other pertinent documents as the Secretary shall prescribe by regulation, including such records as the Secretary may require to facilitate an effective audit. The Secretary and the Comptroller General of the United States, or their duly authorized representatives, shall have access, for the purpose of audit, to the records and other pertinent documents.

**Account Identification:**

89-0208-0-1-271 - Title 17, Innovative Technology Loan Guarantee Program, Recovery Act ; 89-0224-0-1-271; 89-0224-0-1-251.

**Obligations:**

(Guaranteed/Insured Loans) FY 10 Not Available; FY 11 est \$5,660,000,000; and FY 12 Estimate Not Available - In addition to our FY09 authority, the Loan Guarantee Program will also support the rapid deployment of renewable energy and electric power transmission projects, the Secretary may make loan guarantees for projects that commence construction not later than September 30, 2011", using appropriated credit subsidy cost authority.

Details on numbers above keeping in mind that obligated credit subsidy will leverage a higher number for approved loans or loan guarantees noted in parentheses. Obligations include both ATVM and LGPO and their respective administrative funds plus credit subsidy funds. The key data for potential applicants is to look at the estimated value of loans or loan guarantees issued and not the obligations. Recent and pending Congressional action will impact these numbers significantly.

ATVM

FY09

Admin: \$17.4 M  
Credit Subsidy: \$3.280 B (\$8.379 B loans)

FY10 Forecast

Admin: \$20 M  
Credit Subsidy: \$1B (\$3.333 B loans)

FY11 Forecast

Admin: \$10 M  
Credit Subsidy: 3.2 B (\$10.7 B loans)

LGPO

FY09

Admin: \$23.2 M  
Credit Subsidy: \$40.5 M (535 M loans)

FY10 Forecast

Admin: \$35 M  
Credit Subsidy: \$35 M (\$262 M Loans)

FY11 Forecast

Admin: \$50 M  
Credit Subsidy: \$2,400 M (\$16.0 B loans).

**Range and Average of Financial Assistance:**

The value of the loan or guarantee will be determined on a project by project basis.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Issued loans and loan guarantees in an expedited manner and met the negotiated high performance goals in areas such as green house gas reductions, new power generated, and jobs created. Fiscal Year 2011: Continue to issue loans and loan guarantees in an expedited manner and to meet the negotiated high performance goals in areas such as green house gas reductions, new power generated, and jobs created. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature associated with the loan guarantee program. Solicitation Number: DE-PS01-06LG00001, - Loan Guarantee Solicitation Announcement, - Federal Loan Guarantees for Projects that Employ Innovative Technologies in Support of the Advanced Energy Initiative, Available at: <http://www.lgprogram.energy.gov/Solicitationfinal.pdf> Guidelines for Proposals Submitted in Response to the first Solicitation under Title XVII of the Energy Policy Act of 2005, Available at: <http://www.lgprogram.energy.gov/FinalGuidelines.pdf>. - Final Regulations - Final regulations were published in the Federal Register, 10 CFR 609, Loan Guarantees for Projects That Employ Innovative Technologies; Final Rule, on October 23, 2007. All subsequent solicitations such as the new one for commercial manufacturing of renewable energy systems and components are also on the website identified above for LGPO and at <http://www.atvmloans.energy.gov> for ATVM.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael B. Fraser, 1000 Independence Ave, SW LP-10, Washington, District of Columbia 20585 Email: [michael.fraser@hq.doe.gov](mailto:michael.fraser@hq.doe.gov) Phone: (202) 586-1910.

**Website Address:**

<http://www.lgprogram.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to solicitation and guidelines for the criteria to be utilized. Typically, significant weight is given to the credit worthiness of the project, the technical merit, and compliance with eligibility requirements.

**81.127 ENERGY EFFICIENT APPLIANCE REBATE PROGRAM (EEARP)**

EEARP

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Policy Act of 2005, Title 1, Part B.

**OBJECTIVES:**

The program provides financial and technical assistance to States to establish residential energy star rated appliance rebate programs. The programs objectives are:

- \* To reduce fossil fuel emissions created as a result of activities within the jurisdictions of eligible entities;
- \* To improve energy efficiency in the residential sector.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Establish or continuation of State energy efficient appliance rebate program to provide rebates to residential consumers for the purchase of residential Energy Star products to replace used appliances of the same type.

**Applicant Eligibility:**

Assistance available to States and US Territories and possessions.

**Beneficiary Eligibility:**

Individuals and families are the ultimate beneficiaries.

**Credentials/Documentation:**

Compliance with State and local environmental statutes and regulations. Costs will be determined in accordance with 10 CFR Part 600 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for the Energy Efficient Appliance Rebate Program must be submitted through FedConnect to be considered for award. Information on how to submit applications via FedConnect can be found at [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf) It is the responsibility of the applicant to verify successful transmission.

**Award Procedure:**

States submit application for available allocation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the solicitation.

**Appeals:**

As required under the American Recovery and Reinvestment Act of 2009.

**Renewals:**

Renewals are subject to review by the DOE Project Management Center and the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant periods under this program will be twenty four months. All funds must be expended within this period. See the following for information on how assistance is awarded/released: No information is provided.

**Reports:**

No program reports are required. Financial status reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the project period. In accordance with the Energy Independence and Security Act of 2007, EPACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. Quarterly progress reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the project period. In accordance with the Energy Independence and Security Act of 2007, EPACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the Energy Independence and Security Act of 2007 and DOE procurement procedures.

**Account Identification:**

89-0331-2-1-272.

**Obligations:**

(Formula Grants) FY 10 \$275,993,500; FY 11 est \$0; and FY 12 Estimate Not Available(Exp: All Recovery Act Funds) - It is anticipated that all funds obligated under this program will be Recovery Act funds.

**Range and Average of Financial Assistance:**

Range: 500k-6 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: State Energy Efficient Appliance Rebate Program. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. Energy Efficiency and Renewable Energy Clearinghouse (1-877) EERE-INFO or (1-877) 337-3463 (Toll Free).

**Headquarters Office:**

Office of Energy Efficiency and Renewable Energy, 1000 Independence Avenue, SW, Washington, District of Columbia 20585 Phone: (1-877) 337-3463 (Toll Free).

**Website Address:**

<http://https://www1.eere.energy.gov/informationcenter/>

**RELATED PROGRAMS:**

81.041 State Energy Program; 81.119 State Energy Program Special Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Formula Grant allocations to supplement State Programs.

**81.128 ENERGY EFFICIENCY AND CONSERVATION BLOCK GRANT PROGRAM (EECBG)**

EECBG

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

The Energy Efficiency and Conservation Block Grant Program (EECBG) was authorized in Title V, Subtitle E of the Energy Independence and Security

Act (EISA), signed into Public Law 110-140 on December 19, 2007.

**OBJECTIVES:**

The program provides financial and technical assistance to assist State and local governments create and implement a variety of energy efficiency and conservation projects. The programs objectives are:

- \* To reduce fossil fuel emissions created as a result of activities within the jurisdictions of eligible entities;
- \* To reduce the total energy use of the eligible entities; and
- \* To improve energy efficiency in the transportation, building, and other sectors.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants (Special)

**USES AND USE RESTRICTIONS:**

A wide variety of activities are eligible for use of the grant funds including:

- \* Developing/implementing an energy efficiency and conservation strategy and retaining technical consultant services to assist in the development of such a strategy.
- \* Conducting residential and commercial building energy audits.
- \* Establishing financial incentive programs for energy efficiency improvements (e.g., loan programs, rebate programs, waive permit fees.)
- \* Providing grants to nonprofit organizations to perform energy efficiency retrofits.
- \* Developing/implementing programs to conserve energy used in transportation (e.g., flex time by employees, satellite work centers, promotion of zoning requirements that promote energy efficient development, transportation infrastructure: bike lanes/pathways, pedestrian walkways, and synchronized traffic signals).
- \* Developing and implementing building codes and inspection services to promote building energy efficiency.
- \* Implementing energy distribution technologies.
- \* Developing public education programs to increase participation and efficiency rates for recycling programs.
- \* Purchasing/implementing technologies to reduce and capture methane and other greenhouse gases generated by landfills or similar sources.
- \* Installing light emitting diodes (LEDs).
- \* Developing, implementing, and installing renewable energy technologies on or in any government building.
- \* Any other activity as determined by the Secretary of Energy in consultation with the Secretaries of Transportation and Housing and Urban Development and the Administrator of the Environmental Protection Agency.

**Applicant Eligibility:**

State and local governments including US Territories and Possessions.

**Beneficiary Eligibility:**

Individuals and families.

**Credentials/Documentation:**

Compliance with Federal, State and local environmental statutes and regulations, as required under the Energy Independence and Security Act of 2007. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

Applicants must register with FedConnect to submit their application.

FedConnect website: [www.fedconnect.net](http://www.fedconnect.net)

Submission deadlines will be published in the funding opportunity announcement at <http://www.grants.gov>

It is the responsibility of the applicant to verify successful transmission.

**Award Procedure:**

States and eligible units of local governments and Tribes will submit applications for available allocation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the Funding Opportunity Announcement.

**Appeals:**

As required under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**Renewals:**

Renewals are subject to review by the DOE Project Management Center and the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: There is no local match requirement for the EECBG, however leveraging of funds on the part of the recipient is encouraged. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant periods under this program will be eighteen months. Funds must be under contract within eighteen months. See the following for information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

No program reports are required. No cash reports are required. Quarterly project and financial status reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the contract period. In accordance with the Energy Independence and Security Act of 2007, EPACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. Quarterly project and financial status reports are required. Quarterly financial reports required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit procedures in accordance with OMB Circular No. A-133. In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

In accordance with the Energy Independence and Security Act of 2007 and DOE procurement procedures.

**Account Identification:**

89-0331-2-1-272.

**Obligations:**

(Formula Grants) FY 10 \$1,709,752,598; FY 11 est \$7,014,808; and FY 12 Estimate Not Available - All obligations under this program will be made with Recovery Act funds.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Developed programs that lower energy use, reduce carbon pollution and create green jobs locally. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. Energy Efficiency and Renewable Energy Clearinghouse (1-877) EERE-INFO or (1-877) 337-3463 (Toll Free).

**Headquarters Office:**

LaTonya A. Poole, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: latonya.poole@ee.doe.gov Phone: (202) 586-3835.

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

81.041 State Energy Program; 81.042 Weatherization Assistance for Low-Income Persons

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**81.129 ENERGY EFFICIENCY AND RENEWABLE ENERGY TECHNOLOGY DEPLOYMENT, DEMONSTRATION AND COMMERCIALIZATION****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

EPACT 1992, EPACT 2005, EISA 2007, ARRA 2009.

**OBJECTIVES:**

This program provides financial assistance for the technology deployment, demonstration, and commercialization of Energy Efficiency and Renewable Energy technologies. This includes Biomass, Building Technologies, Federal Energy Management, Geothermal Technologies, Projects involving Hydrogen, Fuel Cells and Infrastructure Technologies, Industrial Technologies, Solar Energy Technologies, Vehicle Technologies, Weatherization and Intergovernmental, and Wind and Hydropower technologies.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

No information provided.

**Applicant Eligibility:**

Anyone who meets the requirements specified in the funding opportunity announcement at <http://www.grants.gov> may apply.

**Beneficiary Eligibility:**

Beneficiaries are states and local governments and other public and private institutions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

Applicants must register with FedConnect to submit their application. FedConnect website: [www.fedconnect.net](http://www.fedconnect.net)

Submission deadlines will be published in the funding opportunity announcement at <http://www.grants.gov>

It is the responsibility of the applicant to verify successful transmission.

**Award Procedure:**

Applications which pass an initial review will receive an objective merit review. An objective Merit Review Committee will evaluate applications in accordance with the evaluation criteria set forth in the competitive solicitation.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Unsuccessful applicants from the competitive solicitation are entitled to a written debriefing by DOE program officials with a clear explanation of why the proposal was not accepted for funding.

**Renewals:**

Renewals are subject to review by the DOE Project Management Center and the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50%. Federal funds may be awarded to applicants that can match DOE Federal funds at 50 percent. Other matching requirements may be determined by specific legislation or as allowed by the Secretary of Energy.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No information provided. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Quarterly project and financial status reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the contract period. In accordance with the Energy Independence and Security Act of 2007, EPACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. No cash reports are required. Quarterly project status reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the contract period. In accordance with the Energy Independence and Security Act of 2007, EPACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit procedures in accordance with OMB Circular No. A-133. In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

In accordance with the Energy Independence and Security Act of 2007, EPACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. Access to process implementation and efficiency data may be required to be available for 10 years after project completion to measure performance against expectation and support commercialization of the technology. The grantee is expected to maintain records to fulfill auditing needs.

**Account Identification:**

89-0321-0-1-270.



**Obligations:**

(Cooperative Agreements) FY 10 \$7,217,263; FY 11 est \$999,633; and FY 12 Estimate Not Available(Exp: All Recovery Act Funds) - It is anticipated that all funds obligated under this program will be Recovery Act funds. FY2011 budget unconfirmed to date however upon confirmation will be updated accordingly.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE financial assistance Rules and 10 CFR 600 applies.

**Regional or Local Office:**

None.

**Headquarters Office:**

LaTonya A. Poole, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: latonya.poole@ee.doe.gov Phone: (202) 586-3835.

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are restricted to the entities listed in the Applicant Eligibility portion of this program listing. All election criteria will conform to EISA 2007, EPACT 1992 and 2005, and ARRA 2009 requirements as applicable to the specific project authorization.

**81.130 CARBON CAPTURE AND STORAGE-FUTUREGEN 2.0****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

H.R. 1 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

The objective of this Office of Fossil Energy (FE) Carbon Capture and Storage (CCS) program is to award \$1 billion in funding from the American Recovery and Reinvestment Act of 2009 (ARRA) to the FutureGen Industrial Alliance (Alliance), Ameren Energy Resources, Babcock & Wilcox, and Air Liquide Process & Construction, Inc., to build FutureGen 2.0, a clean coal repowering program and carbon dioxide (CO2) storage network. FutureGen 2.0 consists of two major projects: (1) repowering of an existing power plant for CO2 capture and (2) developing a CO2 transportation and storage system consisting of a pipeline and a deep saline injection reservoir.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Emphasis is on research, development and demonstration of CCS.

**Applicant Eligibility:**

Private industry, individuals, and nonprofit organizations may apply.

**Beneficiary Eligibility:**

These projects address the ARRAs objectives by:

providing substantial employment opportunities for local and regional organizations, thus ensuring a well trained energy workforce, maintaining US scientific leadership in advanced near-zero emission technologies for fossil-fuel-based power plants, reducing greenhouse gas emissions through carbon capture and geologic sequestration; and reducing dependence on foreign oil and enhancing energy security through

efficient use of abundant and secure domestic resources.

Consistent with the intent of the ARRA, in the near-term it is anticipated that these projects collectively would generate up to 750 construction jobs over a 3-4 year period and creation of 1,255 or more permanent jobs in management, operation and maintenance of the plant, pipeline and storage facility. During the projects test periods, it is estimated that a minimum of 1 million tons/year of CO2 will be delivered, transported and sequestered. Injection into the Mt. Simon formation would allow for verification of safe and permanent CO2 storage in saline formations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Decisions to approve are made by the Assistant Secretary of Fossil Energy and negotiations are conducted by the Office of Procurement in Headquarters and/or the procurement office located in the field.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be amended or extended as required.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A Department-wide cost sharing requirements is established by Section 988 of the Energy Policy Act (EPA) of 2005 for most research, development, demonstration, and commercial application activities initiated after the date of enactment of EPA 05 (August 8, 2005). The Secretary may reduce cost sharing requirements for demonstration and commercial application activities as necessary and appropriate, taking into consideration any technological risk relating to the activity. The DOE target for this program is 20 percent. See the following for information on how assistance is awarded/released: TBD.

**Reports:**

No program reports are required. No cash reports are required. A final technical report is due within 90 days after completion of the project. There will be additional reports associated with the Recovery Act requirements and included in the terms and conditions of the award document. Monthly financial reports are required. No performance monitoring is required. Quarterly financial reports will be required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be performed monthly to ensure that funds have been applied in accordance with the American Recovery and Reinvestment Act of 2009. Possible project audit, overhead rate audit, final closeout audit. For commercial (for-profit) organizations, audits

should be performed in accordance with 10 CFR 600.126(c) and/or 10 CFR 600.316.

**Records:**

Required by the agreement terms and conditions.

**Account Identification:**

89-0211-0-1-271.

**Obligations:**

(Cooperative Agreements) FY 10 \$994,985,000; FY 11 est \$0; and FY 12 est \$0 - This project was funded solely with American Recovery and Reinvestment Act (ARRA) funds. There were statutory requirements that all of the funds be obligated by the end of FY2010. No obligations will be made in FY2011 or FY2012.

**Range and Average of Financial Assistance:**

\$400M - \$590M/each.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Regulations, 10 CFR 600

**Regional or Local Office:**

See Regional Agency Offices. National Energy Technology Laboratory, Acquisition & Assistance Division; P.O. Box 10940, Mail Stop 921-107, 626 Cochran Mill Road, Pittsburgh, PA; 15236-0940. Contact: john.augustine@netl.doe.gov.

**Headquarters Office:**

Maria Jones, Department of Energy, Fossil Energy Program, 1000 Independence Avenue S.W., Mail Stop FE-3, Washington, District of Columbia 20585 Email: Maria.Jones@hq.doe.gov Phone: (202) 586-6660.

**Website Address:**

<http://www.fossil.energy.gov>

**RELATED PROGRAMS:**

81.089 Fossil Energy Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.131 EXPAND AND EXTEND CLEAN COAL POWER INITIATIVE**

Expand and Extend Clean Coal Power Initiative Round III Funding Opportunity Announcement

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

H. R. 1 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

The mission of the Office of Fossil Energy (FE) Clean Coal Power Initiative (CCPI) Round III Funding Opportunity Announcement is to gain broader carbon capture and storage experience at the commercial-scale by expanding the relevant technologies, applications, fuels and geologic formations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Emphasis is on applied research and technology development and commercial demonstration of technology. The restrictions are outlined in the FOA.

**Applicant Eligibility:**

.

**Beneficiary Eligibility:**

.

**Credentials/Documentation:**

Prior successful experience with current state of the art technologies that will

support the next stage Carbon Capture and Storage (CCS) development for coal based power generation technologies at the commercial scale. Pre-application letters are requested, but not required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant should follow the procedures listed in the specific funding opportunity announcement (FOA) posted on the Grants.gov ([www.grants.gov](http://www.grants.gov)) and FedConnect ([www.fedconnect.net](http://www.fedconnect.net)) websites.

**Award Procedure:**

Decisions to approve are made by the Assistant Secretary for Fossil Energy and negotiations are conducted by the Office of Procurement in DOE and/or the procurement office located in the field.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the FOA.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be modified or extended as required.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 50%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Yes, there is a restriction placed on the time permitted to spend the money awarded. See the following for information on how assistance is awarded/released: The length of time for financial assistance awards is dependent upon the individual project submitted.

**Reports:**

In addition, a monthly report will be required. A final technical report is due within 90 days after completion of the project. There will be additional reports associated with the Recovery Act requirements and included in the terms and conditions of the award document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Required by the agreement terms and conditions.

**Account Identification:**

89-0211-0-1-271.

**Obligations:**

(Cooperative Agreements) FY 10 \$745,598,000; FY 11 est \$0; and FY 12 est \$0 - Fiscal Year 2009: Reviews of CCPI-3 applications were completed and

projects were selected. Selection and award of Major Demonstration projects significantly expands the opportunities to demonstrate CCS at commercial scale in geologic formation. All \$796 million in Recovery Act Funding allocated for CCPI-3 was awarded to four CCPI-3 projects. These projects were awarded to Hydrogen Energy California LLC (HECA) on August 30, 2009, American Electric Power Service Corporation (AEP) and Summit Texas Clean Energy LLC (STCE) on January 20, 2010, and NRG Energy Inc. on May 7, 2010. Eighty-eight jobs have been created thus far.

Goals: Projects demonstrate advanced coal-based technologies that will capture and sequester or put to beneficial use carbon emissions. The selections demonstrate technologies that make progress toward a target CO<sub>2</sub> capture efficiency of 90%; make progress toward a capture and sequestration goal of less than 10% increase in the cost of electricity for gasification systems and less than 35% for combustion and oxycombustion systems; and capture and sequester or put to beneficial use an amount of CO<sub>2</sub> emissions in excess of the minimum of 300,000 tons per year required by CCPI.

This program was funded with American Recovery and Reinvestment Act (ARRA) funds. There were statutory requirements that all of the funds be obligated by the end of FY2010.

**Range and Average of Financial Assistance:**

Up to \$300000000 and Average \$200000000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: See Accomplishments for FY 2009. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Regulations at 10 CFR 600

**Regional or Local Office:**

None. National Energy Technology Laboratory, Acquisition & Assistance Division; P.O. Box 10940, Mail Stop 921-107, 626 Cochran Mill Road, Pittsburgh, PA; 15236-0940. Contact: john.augustine@netl.doe.gov.

**Headquarters Office:**

Maria Jones, 1000 Independence Ave., SW, Washington, District of Columbia 20623 Email: Maria.Jones@hq.doe.gov Phone: (202) 586-1890.

**Website Address:**

<http://www.netl.doe.gov>

**RELATED PROGRAMS:**

81.089 Fossil Energy Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria include:

1. Technical Merit
2. Project Organization and Project Management
3. Commercialization Potential
4. Funding Plan
5. Financial Business Plan.

**81.132 GEOLOGIC SEQUESTRATION SITE CHARACTERIZATION**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

H.R. 1 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

The mission of the Office of Fossil Energy (FE) Geologic Sequestration Site Characterization grant is to comprehensively characterize a minimum of ten geologic formations which could include saline formation, oil and gas fields, and coal seams. Utilize site characterizations to accelerate carbon capture storage in a range of geologic formations that encompass the entire United States. Leverage existing work completed by the Regional Carbon Sequestration Partnerships and State Geologic Surveys.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Emphasis is on applied research and technology development.

**Applicant Eligibility:**

.

**Beneficiary Eligibility:**

.

**Credentials/Documentation:**

Prior successful R&D experience in Geologic Sequestration and Site Characterization focusing on the characterization of geologic storage formations related to saline formations, depleted oil fields, or coal seams. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The applicant should follow the procedures listed in the specific funding opportunity announcement posted on the Grants.gov or FedConnect website. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms must be downloaded from the specific funding opportunity announcement (FOA) posted at <http://www.grants.gov> or at <https://www.fedconnect.net/FedConnect/>

**Award Procedure:**

Decisions to approve are made by the Assistant Secretary for Fossil Energy and negotiations are conducted by the Office of Procurement in Headquarters and/or the procurement office located in the field.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the FOA.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be modified or extended as required.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length and time for financial assistance awards is dependent upon the individual project submitted. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress and financial reports are required. A final technical report is due within 90 days after completion of the project. Quarterly financial reports are required. There will be additional reports associated with the Recovery Act requirements and included in the terms and conditions of the award document. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be performed monthly to ensure that funds have been applied in accordance with the American Recovery and Reinvestment Act of 2009. Possible project audit, overhead rate

audit, final closeout audit. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations." Non-federal entities that expend \$500,000 or more of federal funds within their fiscal year shall have an audit made for that year in accordance with this Circular. For commercial (for-profit) organizations, audits should be performed in accordance with 10 CFR 600.126(c) and/or 10 CFR 600.316.

**Records:**

Required by the agreement terms and conditions.

**Account Identification:**

89-0211-0-1-271.

**Obligations:**

(Cooperative Agreements) FY 10 \$48,298,250; FY 11 est \$0; and FY 12 est \$0 - This program was funded solely with American Recovery and Reinvestment Act (ARRA) funds. There were statutory requirements that all of the funds be obligated by the end of FY2010. No obligations will be made in FY2011 or FY2012.

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No current data available. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Regulations, 10 CFR 600

**Regional or Local Office:**

None. National Energy Technology Laboratory, Acquisition & Assistance Division; P.O. Box 10940, Mail Stop 921-107, 626 Cochran Mill Road, Pittsburgh, PA; 15236-0940. Contact: john.augustine@netl.doe.gov.

**Headquarters Office:**

Maria Jones 1000 Independence Avenue S.W., Mail Stop FE-3, Washington, District of Columbia 20585 Email: Maria.Jones@hq.doe.gov Phone: (202) 586-1890

**Website Address:**

<http://www.netl.doe.gov>, <http://www.fossil.energy.gov>

**RELATED PROGRAMS:**

81.089 Fossil Energy Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The merit review evaluation criteria will be published in the FOA such as: (1) Technical merit; (2) priority of technical work relating to proposal; (3) relevance to current program objectives; (4) cost-benefit judgment; and (5) amount of cost-sharing by potential recipient.

**81.133 GEOLOGIC SEQUESTRATION TRAINING AND RESEARCH GRANT PROGRAM**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

H.R. 1 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

The mission of the Fossil Energy (FE) Sequestration Training and Research Grant Program is to develop a future generation of geologists, scientists and engineers to fill the gap and provide the skills required for National-scale, large volume geologic storage projects. This program will emphasize advancing educational opportunities across a broad range of minority colleges and universities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Enhance educational opportunities across a broad range of universities, colleges, and university affiliated research institutions to develop a future generation of geologists, scientists and engineers to expand the workforce and provide the skills required for national-scale, commercial geologic storage projects. Educational and training opportunities will be developed by seeking grant applications from universities, colleges, and university affiliated research institutions to educate and train undergraduate and graduate level students through research related to CCS in geology, geophysics, geomechanics, geochemistry and reservoir engineering disciplines needed to staff a broad national CCS program targeting underground storage and monitoring of carbon dioxide (CO2) in deep geologic formations. Fundamental research is needed to advance science in: simulation and risk assessment; monitoring, verification, and accounting; geological related analytical tools; methods to interpret geophysical models; CO2 capture; well completion and integrity; and water production/clean-up/alternative use.

**Applicant Eligibility:**

TBD.

**Beneficiary Eligibility:**

TBD.

**Credentials/Documentation:**

Prior successful experience in the education and training of Carbon Capture and Storage (CCS) technologies to develop a future generation of geologists, scientists, and engineers in CCS technologies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant should follow the procedures listed in the specific funding opportunity announcement (FOA) posted on the Grants.gov ([www.grants.gov](http://www.grants.gov)) and FedConnect ([www.fedconnect.net](http://www.fedconnect.net)) websites.

**Award Procedure:**

Decisions to approve are made by the Assistant Secretary for Fossil Energy and negotiations are conducted by the Office of Procurement in Headquarters and/or the procurement office located in the field.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the FOA.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be modified or extended as required.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This information will be published in the FOA. See the following for information on how assistance is awarded/released: This information will be published in the FOA.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A final technical report is due within 90 days after completion of the project. There will be additional reports associated with the Recovery Act requirements and included in the terms and conditions of the award document. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits may be performed to ensure that funds have been applied in accordance with the American Recovery and Reinvestment Act of 2009. Possible project audit, overhead rate audit, final closeout audit.

**Records:**

Required by the agreement terms and conditions.

**Account Identification:**

89-0211-0-1-271.

**Obligations:**

(Project Grants) FY 10 \$19,691,700; FY 11 est \$0; and FY 12 est \$0 - There will be an estimated \$12.93M directed to the Universities and another \$6.9M directed to training facilities. This project was funded solely with American Recovery and Reinvestment Act (ARRA) funds. There were statutory requirements that all of the funds be obligated by the end of FY2010. No obligations will be made in FY2011 or FY2012.

**Range and Average of Financial Assistance:**

TBD.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No current data available. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Regulations, 10 CFR 600

**Regional or Local Office:**

None. National Energy Technology Laboratory, Acquisition & Assistance Division; P.O. Box 10940, Mail Stop 921-107, 626 Cochran Mill Road, Pittsburgh, PA; 15236-0940. Contact: john.augustine@netl.doe.gov.

**Headquarters Office:**

Maria Jones, 1000 Independence Ave., SW, Washington, District of Columbia 20623 Email: Maria.Jones@hq.doe.gov Phone: (202) 586-1890.

**Website Address:**

<http://www.netl.doe.gov>

**RELATED PROGRAMS:**

81.089 Fossil Energy Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The merit review evaluation criteria will be published in the FOA such as: (1) Technical merit; (2) priority of technical work relating to proposal; (3) relevance to current program objectives; (4) cost-benefit judgment; and (5) amount of cost-sharing by potential recipient.

**81.134 INDUSTRIAL CARBON CAPTURE AND STORAGE (CCS) APPLICATION**

CCS

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

H.R. 1 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

The mission of the office of Fossil Energy (FE) Industrial Carbon Capture and Storage Applications grant is to a.) demonstrate advanced technologies that capture and sequester CO2 emissions from industrial sources (e.g., cement plants, chemical plants, refineries, steel and aluminum plants, manufacturing facilities, and power plants using opportunity fuels (petroleum coke, municipal waste, etc.)) into underground formations or put to beneficial use. The large-scale CCS projects include integration of CO2 capture, transportation and

sequestration incorporating comprehensive Monitoring, Verification & Accounting (MVA), and/or b.) demonstrate innovative concepts for beneficial CO2 use, which include, but are not limited to, CO2 mineralization to carbonates directly through conversion of CO2 in flue gas or indirectly through capture of CO2 from air; use of CO2 from power plant or industrial applications to grow algae/biomass; or, conversion of the CO2 to fuels and chemicals.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Emphasis is on applied research and technology development.

**Applicant Eligibility:**

n/a.

**Beneficiary Eligibility:**

n/a.

**Credentials/Documentation:**

Prior successful R&D experience in the subject titled program field or partnering with successful industrial carbon capture and storage technology industries. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The applicant should follow the procedures listed in the specific funding opportunity announcement (FOA) posted on the Grants.gov or FedConnect websites. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms must be downloaded from the specific funding opportunity announcement posted at <http://www.grants.gov> or <https://www.fedconnect.net/Fedconnect/>

**Award Procedure:**

Decisions to approve are made by the Assistant Secretary for Fossil Energy and negotiations are conducted by the Office of Procurement in Headquarters and/or the procurement office located in the field.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the FOA.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be modified or extended as required.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Matching requirements are yet to be determined for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length and time for financial assistance awards is dependent upon the individual project submitted. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

No program reports are required. No cash reports are required. Monthly progress and financial reports are required. A final technical report is due within 90 days after completion of the project. There will be additional reports associated with the Recovery Act requirements and included in the terms and conditions of the award document. TBD. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be performed monthly to ensure that funds have been applied in accordance with the American Recovery and Reinvestment Act of 2009. Possible project audit, overhead rate audit, final closeout audit. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations." Non-federal entities that expend \$500,000 or more of federal funds within their fiscal year shall have an audit made for that year in accordance with this Circular. For commercial (for-profit) organizations, audits should be performed in accordance with 10 CFR 600.126(c) and/or 10 CFR 600.316.

**Records:**

Required by the agreement terms and conditions.

**Account Identification:**

89-0211-0-1-271.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,450,947,215; FY 11 est \$0; and FY 12 est \$0 - This program is to be funded solely with Recovery Act funds. All Recovery Act projects had to be fully obligated by the end of FY2010. No obligations will be made in FY2011 or FY2012.

**Range and Average of Financial Assistance:**

To be determined with publication of FOA.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Regulations, 10 CFR 600

**Regional or Local Office:**

None. National Energy Technology Laboratory, Acquisition & Assistance Division; P.O. Box 10940, Mail Stop 921-107, 626 Cochran Mill Road, Pittsburgh, PA; 15236-0940. Contact: john.augustine@netl.doe.gov.

**Headquarters Office:**

Maria Jones 1000 Independence Avenue S.W., Mail Stop FE-3, Washington, District of Columbia 20585 Email: Maria.Jones@hq.doe.gov Phone: (202) 586-6660

**Website Address:**

<http://www.netl.doe.gov>, <http://www.fossil.energy.gov>

**RELATED PROGRAMS:**

81.089 Fossil Energy Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The merit review evaluation criteria will be published in the FOA such as: (1) Technical merit; (2) priority of technical work relating to proposal; (3) relevance to current program objectives; (4) cost-benefit judgment; and (5) amount of cost-sharing by potential recipient.

**81.135 ADVANCED RESEARCH AND PROJECTS AGENCY ENERGY FINANCIAL ASSISTANCE PROGRAM**

ARPA-E

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

This agency was chartered and authorized in 2007 in the America COMPETES Act (Public Law 110-69), and re-authorized in the America COMPETES Reauthorization Act of 2010 (Public Law 111-358).

**OBJECTIVES:**

To support the Presidents National Objectives for the Department of Energy.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

ARPA-E will fund research and development of transformational energy related technologies.

**Applicant Eligibility:**

Any recipient other than foreign entity.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Compliance with Federal, State and local environmental statutes and regulations, as required under the Energy Independence and Security Act of 2007. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Pre-application required in the form of a Concept Paper. This program is not eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications for ARPA-E must be submitted through ARPA-E eXCHANGE to be considered for award. Information on how to submit application via ARPA-E eXCHANGE can be found at: <http://arpa-e.energy.gov/>. It is the responsibility of the applicant to verify successful transmission.

**Award Procedure:**

All eligible applications will be considered through the Departments Merit Review Process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the Funding Opportunity Announcement.

**Appeals:**

As required under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Cost Share Requirements are as follows:

- For a domestic educational institution or domestic nonprofit applying as a Standalone Applicant, the cost share is Greater than or Equal to 5% of the Total Project Cost
- For Project Teams composed exclusively of domestic educational institutions, domestic nonprofits, and/or FFRDCs, the cost share is 5% of the Total Project Cost
- For Project Teams where domestic educational institutions, domestic nonprofits, and/or FFRDCs perform 80%, but less than 100%, of the work under the funding agreement, as measured by the Total Project Cost, the cost share is 10% of the Total Project Cost
- For Technology Investment Agreements and other transactions agreements, the cost share is 50% of the Total Project Cost
- For All other projects, the cost share is 20% of the Total Project Cost

There is a requirement for cost sharing of at least 20%, a higher percentage may be required for individual Funding Opportunity Announcements. Educational institutions that are sole grantees, and teams/consortia consisting exclusively of educational institutions that receive funding may be eligible for a reduced cost share of not less than 10% of the total allowable project costs. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As required under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

In accordance with the Energy Independence and Security Act of 2007, DOE procurement procedures and the Recovery Act of 2009. Quarterly progress reports will be required along with a final report. Cash reports are not applicable. Progress reports are not applicable. Quarterly financial reports will be required along with a final report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit requirements laid out in the OMB Circulars apply to the ARPA-E Program. Circulars are available at the White House website.

**Records:**

In accordance with the Energy Independence and Security Act of 2007, DOE procurement procedures and the Recovery Act of 2009.

**Account Identification:**

89-0337-0-1-270 - Energy Transformation Acceleration Fund ;  
89-0336-0-1-270 - Energy Transformation Acceleration Fund - Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 10 \$368,000,000; FY 11 est \$0; and FY 12 Not Separately Identifiable(Exp: Recovery Act funds expended) - Energy Transformation Acceleration Fund - Recovery Act. (Cooperative Agreements) FY 10 Not Separately Identifiable; FY 11 est \$0; and FY 12 est \$250,000,000 - Energy Transformation Acceleration Fund.

**Range and Average of Financial Assistance:**

\$500,000 to \$10,000,000 (average range is \$3-\$4 million).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fund 121 transformational energy technology research and development projects. Fiscal Year 2011: Fund 50 transformational energy technology research and development projects. Fiscal Year 2012: Fund 150 transformational energy technology research and development projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the Energy Independence and Security Act of 2007, America COMPETES Act of 2007, the America ReCOMPETES Act of 2010, and the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

None.

**Headquarters Office:**

Antony DiGiovanni Department of Energy, 1000 Independence Avenue, S.W., Washington, District of Columbia 20585 Phone: (202) 287-1030

**Website Address:**

<http://www.arpa-e.energy.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As described in the Funding Opportunity Announcement.

**81.136 LONG-TERM SURVEILLANCE AND MAINTENANCE****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, as amended Public Law 96-573; Resource Conservation and Recovery Act (RCRA), Public Law 95-480; Superfund Amendments and Reauthorization Act of 1986, Public Law 99-499; Uranium Mill Tailings Radiation Control Act of 1978, Public Law 95-604; Atomic Energy Act of 1954, Section 31, as amended, Public Law 83-703; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) as amended; Executive Order 12898, Federal Actions To Address Environmental Justice in Minority Populations and Low-Income Populations.

**OBJECTIVES:**

The objectives of the Office of Legacy Management are to manage the Departments post-closure responsibilities and ensure the future protection of human health and the environment. This Office has control and custody for legacy lands, structures, and facilities and is responsible for maintaining them at levels suitable for their long-term use. This Office also provides environmental assistance to enable communities around DOE sites to address environmental issues.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Financial assistance is provided in support of the program objectives. Restrictions on the use of funds depend on the provisions of the specific project agreement. Applicants must meet the guidelines established by DOE or contained in the specific Congressional authorization for a particular program being supported.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

These determinations will be made by DOE Headquarters. An environmental impact statement may be required depending on the program and project. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. After informal communication with DOE Headquarters Office, a formal proposal by the organization interested in doing the work must be submitted through an appropriate official of the corporate entity, organization or institution. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted to the project office and include: a title, objectives, time frame, and a budget breakdown.

**Award Procedure:**

Projects are reviewed at the Office of Legacy Management and award decisions are made throughout the fiscal year.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

90 to 180 days.

**Appeals:**

None.

**Renewals:**

Awards may be modified or extended as required.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Varies with each grant/cooperative agreement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time period for a grant or cooperative agreement is dependent upon the individual project proposed. See the following for information on how assistance is awarded/released: Varies with each grant/cooperative agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A final report may be due at the end of the grant or cooperative agreement. SF 425, Federal Financial Report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

A recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant or cooperative agreement.

**Account Identification:**

89-0243-0-1-270.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$3,187,978; FY 11 est \$3,536,717; and FY 12 est \$2,915,369 - Additional Information: FY 2011 - Two applications under the 81.136 CFDA number were processed and awarded for \$379K out of the \$3.536M that was obligated under this program office. FY2012 One applicant is anticipated for award and obligation for \$20K out of \$2.915M that is anticipated to be obligated from this office. The 81.136 CFDA program belongs to the Office of Legacy Management which took over awards that transferred from a variety of program offices after the Legacy Management program was established during FY04.

**Range and Average of Financial Assistance:**

\$4,000 to \$403,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 27 Grants and 11 Cooperative Agreements. Fiscal Year 2011: 22 Grants and 12 Cooperative Agreements. Fiscal Year 2012: 22 Grants and 13 Cooperative Agreements.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance.htm](http://www.management.energy.gov/policy_guidance.htm)

**Regional or Local Office:**

None.

**Headquarters Office:**

Nicholas Keith Office of Legacy Management  
1000 Independence Ave. S.W.  
, Washington, District of Columbia 20585 Email: [nicholas.keith@hq.doe.gov](mailto:nicholas.keith@hq.doe.gov)  
Phone: 202-586-8018

**Website Address:**

<http://www.lm.doe.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on statutory eligibility and work that is beneficial to the overall accomplishment of the Office of Legacy Management goals and objectives.

Goal 1: Protect human health and the environment

Goal 2: Preserve, protect, and share records and information.

Goal 3: Meet commitments to the contractor work force

Goal 4: Optimize the use of land and assets

Goal 5: Sustain management excellence

In most cases, the criteria for award on the specific scope are associated with the site and the local entities. All grants/cooperative agreements are awarded to entities specifically associated with a respective site and regulatory agreements (i.e., State has oversight rights). Grants/cooperative agreements are almost always sole-source. Criteria may include cost of the project, applicants qualifications, and applicability to LMs mission. To manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment. Legacy Management has control and custody for legacy lands, structures, and facilities and is responsible for maintaining them at levels consistent with Departmental long-term plans.

**81.214 ENVIRONMENTAL MONITORING/CLEANUP, CULTURAL AND RESOURCE MGMT., EMERGENCY RESPONSE RESEARCH, OUTREACH, TECHNICAL ANALYSIS****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

National Historic Preservation Act of 1966 (Public Law 89-665; 16 U.S.C. 470 et seq.). Subsequent amendments to the Act include Public Laws 91-243, 93-54, 94-422, 94-458, 96-199, 96-244, 96-515, 98-483, 99-514, 100-127, 102-575, 103-437, 104-333, 106-113, 106-176, 106-208, 106-355, 109-453.

Archaeological Resources Protection Act of 1979 (Public Law 96-95; 16 U.S.C. 470aa-mm)

Native American Graves Protection And Repatriation Act of 1990 (Public Law 101-601)

Comprehensive Environmental Response, Compensation, and Liability Act (Superfund) of 1980 42 U.S.C. 9601 et seq.

Solid Waste Disposal Act of 1965, (Public Law 102-386; 42 U.S.C 6961), Section 6001

Atomic Energy Act of 1954 as amended, Public law 83-703; Stat. 9191: 42 U.S.C. 2011 et seq; Department of Energy Organization Act, 42 U.S.C. 7101 Public Law 95-91

Emergency Planning and Community Right to Know Act (42 U.S.C.

11001-11050) of 1986 (Title III of Superfund Amendments and Reauthorization Act (PL 99-499)

Energy Policy Act of 1992

Freedom of Information Act and Privacy Act, 5 U.S.C. 552 and 5 U.S.C. 552a , Executive Order White House Initiative On Historically Black Colleges and Universities, Executive Order 13532, February 26, 2010

White House Initiative On Education Excellence for Hispanics, Executive Order 13555, October 19, 2010

Federal Actions To Address Environmental Justice In Minority Populations And Low-Income Populations, Executive Order, 12898, February 11, 1994.

**OBJECTIVES:**

Provides technical and financial assistance to State and local government entities for the conduct of projects/activities to support DOE missions; requirements to manage cultural resources and commitments to provide the public assurances that implemented DOE programs are protective of human health and the environment and educational training and EMs goals to reduce legacy footprint, lifecycle cost and accelerate cleanup and offer research opportunities in science technology, engineering and mathematical (STEM) fields.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Financial assistance is provided in support of the program objectives. Restrictions on the use of funds depend on the provisions of the specific project agreement. Applicants must meet the guidelines established by DOE or contained in the specific Congressional authorization for a particular program



being supported.

**Applicant Eligibility:**

Research and Development  
Environmental Restoration.

**Beneficiary Eligibility:**

State, Local US Territory/Possession, Minority Group, Low Income.

**Credentials/Documentation:**

Costs will be determined in accordance with 10 CFR 600 for State and local Governments. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular A-102 applies to this program. OMB Circular No. A-11 applies to this program. The application forms must be downloaded from the Grants.gov website at <http://www.grants.gov>. Applicants for sub-awards from the states should consult the office of the official designated as the single point of contact within the State for more information on the process the State requires to be following in applying for assistance.

**Award Procedure:**

Evaluations will be conducted by the staff of the Office of Acquisition Management and the applicable Program Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. None.

**Appeals:**

None.

**Renewals:**

From 90 to 120 days. Renewals are subject to review by the program office and subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program has no matching requirements. Cost sharing is not required, however, strongly encouraged. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Vary. See the following for information on how assistance is awarded/released: Funds are released through the Electronic Transfer System. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly reports and technical progress reports containing accomplishments and information on cost status, reported per task is required. Additionally, a final technical report is due 90 days after the end of the performance period. Performance monitoring is achieved through submission of progress reports and site visits. Quarterly project Financial Cash Transaction Reports are required. Quarterly reports and technical progress reports containing accomplishments and information on cost status, reported per task is required. Quarterly Spend Plan  
Quarterly project Financial Cash Transaction Reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Retention of records will be required in accordance with 10 CFR 600.

**Account Identification:**

89-1191-0-1-250.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$0; FY 11 est \$300,000; and FY 12 est \$5,131,100 - Subject to funds availability. Three previous CFDA 81.520 - Miscellaneous and one CFDA 81.003 - Granting of Patent Licenses will now be placed in this category.

**Range and Average of Financial Assistance:**

\$0.00 to \$300,000.00. Subject to the availability of funds.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No awards. Fiscal Year 2011: No awards to date. It is anticipated that one application will be received and one possible award will be granted in FY2011. Subject to availability of funds. Fiscal Year 2012: Subject to the availability of funds. Three previous CFDA 81.520 - Miscellaneous and one CFDA 81.003 - Granting of Patent Licenses.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial assistance actions will be completed in accordance with 10 CFR 600, OMB Circulars A-102 and A-133, 2 CFR 180, and all applicable National Policies (Laws and Executive Orders).

**Regional or Local Office:**

See Regional Agency Offices. Department of Energy, Savannah River Operations Office, P. O. Box A, Aiken, SC 29802.

**Headquarters Office:**

Helen Belencan, P. O. Box A, Aiken, South Carolina 29802 Email: [helen.belencan@srs.gov](mailto:helen.belencan@srs.gov) Phone: (803) 952-8696 Fax: (803) 952-7710.

**Website Address:**

<http://www.srs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: None. Fiscal Year 2011: State radiological environmental monitoring  
State emergency management, preparedness and response. Fiscal Year 2012:  
State cultural and resource management  
State radiological environmental monitoring  
State emergency management, preparedness and response  
Educational opportunities in interdisciplinary, environmental and waste management education, research and technology transfer  
Geotechnical research and studies.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process will be determined by the criteria announced in the solicitation, if any.

**DEPARTMENT OF EDUCATION**

**84.002 ADULT EDUCATION - BASIC GRANTS TO STATES**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Adult Education and Family Literacy Act, (AEFLA), (Title II of the Workforce Investment Act of 1998), 20 U.S.C. 9201 et seq.

**OBJECTIVES:**

To fund local programs of adult education and literacy services, including workplace literacy services, family literacy services, and English literacy and integrated English literacy-civics education programs. Participation in these programs is limited to adults and out-of-school youths aged 16 and older who do not have a high school diploma or equivalent and who are not enrolled or required to be enrolled in a secondary school under State law. See 20 USC 9202(1).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Act lists specific performance measures on which States are assessed. These include: demonstrated improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy, problem-solving, English language acquisition and other literacy skills; placement in, retention in, or completion of postsecondary education, training, unsubsidized employment, or career advancement; receipt of a high school diploma or its equivalent; other objective, quantifiable measures, as identified by the State agency. Not more than 12.5 percent of the State allotment may be used for State leadership activities, including professional development; 82.5 percent or more of the State allotment must be used to support local programs and corrections education and other institutionalized individuals. Not more than 8.25 percent of the State allotment may be used for correctional education and other institutionalized individuals; not more than 5 percent (or \$65,000, whichever is greater) of the State allotment may be used for State administrative costs. Annual appropriations have in recent years set aside an amount that is reserved for English literacy and civics education services to immigrants and other limited English proficient populations. In FY11, the amount was \$75 million. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Formula grants are made to designated eligible State agencies that under State law are responsible for administering or supervising statewide policy for adult education and literacy, including such entities as State educational agencies (SEAs), postsecondary agencies, or workforce agencies. State agencies must provide direct and equitable access to: local educational agencies; public or private nonprofit agencies; community-based organizations of demonstrated effectiveness; institutions of higher education; volunteer literacy organizations of demonstrated effectiveness; libraries; public housing authorities; nonprofit institutions not described above that have the ability to provide literacy services to adults and families; and consortia of the entities described above.

**Beneficiary Eligibility:**

Adults and out-of-school youths who are 16 years of age and older, who are not enrolled or required to be enrolled in secondary school under State law, and who lack sufficient mastery of basic educational skills to enable them to function effectively in society or do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education, or are unable to speak, read, or write the English language.

**Credentials/Documentation:**

A 5-year State plan as provided for in Section 224 of the AEFLA, Education Department General Administrative Regulations, 34 CFR 74, 76, 77, 79, 80, 81, 82, 85, and 86 and 34 CFR Part 462. The State plan must include a certification from a State official that all provisions and amendments thereto are consistent with the Act. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The Director of Adult Education and Literacy will provide guidance on specific problems and technical assistance in the preparation of State Plans. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each eligible educational agency must submit to the Secretary of Education a 5-year State plan that sets forth the manner and procedures under which the State will carry out activities to achieve its program objectives and priorities and fulfill the purposes of the Act.

**Award Procedure:**

The Department approves the 5-year State plan and any amendment thereto and makes allocations to the State each July 1.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

States are afforded an opportunity for hearings.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Initial Allotment: Eligible outlying areas receive an initial allotment of \$100,000 and eligible states, including the District of Columbia and Puerto Rico, receive an initial allotment of \$250,000.

Matching Requirements: Generally, the remainder is allotted to all eligible agencies on the basis of the ratio of adults and youths age 16 and older who are not enrolled or required to be enrolled in secondary school under State law and who do not hold a high school diploma or equivalent. No agency may receive less than 90 percent of its allotment from the preceding fiscal year. The data source is a special tabulation by the Bureau of the Census. Matching Requirements: To receive a grant, States, the District of Columbia, and Puerto Rico must provide a nonfederal contribution in an amount equal to 25 percent of the total amount of funds expended for adult education and literacy activities in the State. To receive a grant, eligible outlying agencies must provide a nonfederal contribution in an amount equal to 12 percent of the total amount of funds expended for adult education and literacy activities. The program has a nonsupplanting requirement, and therefore the applicant must use a restricted indirect cost rate, which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer / Indirect Cost Group on 202-708-7770.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds must be obligated within 27 months of their date of availability. States draw funds as needed under the Electronic Transfer System. See the following for information on how assistance is awarded/released: Contact the program office for this information.

**Reports:**

Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR, and as approved by OMB. Cash reports are not applicable. Progress reports: Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR as approved by OMB. Expenditure reports: Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR. Performance Monitoring: Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years from the date of submission of the final Financial Status Report.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$628,221,000; FY 11 est \$596,120,370; and FY 12 est

\$584,200,000

**Range and Average of Financial Assistance:**

FY 11: \$823,770-\$89,764,038; \$11,231,361 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Go to <http://www.nrsweb.org/>. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Adult Education General Provisions and State-Administered Basic Grant Program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Anthony Corio, 400 Maryland Ave., Washington, District of Columbia 20202  
Email: [Anthony.Corio@ed.gov](mailto:Anthony.Corio@ed.gov) Phone: (202) 245-6836.

**Website Address:**

<http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/index.html>

**RELATED PROGRAMS:**

84.191 Adult Education\_National Leadership Activities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Go to <http://www.nrsweb.org/> for State-reported data and to <http://www2.ed.gov/about/offices/list/ovae/resource/index.html> to view the annual report to Congress. Fiscal Year 2011: Go to <http://www.nrsweb.org/> for State-reported data and to <http://www2.ed.gov/about/offices/list/ovae/resource/index.html> to view the annual report to Congress. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.004 CIVIL RIGHTS TRAINING AND ADVISORY SERVICES**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Civil Rights Act of 1964, Title IV, as amended.

**OBJECTIVES:**

To provide technical assistance and training services to school districts and other responsible governmental agencies to cope with educational problems occasioned by race, gender, and national origin desegregation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds support Equity Assistance Centers to provide technical assistance and training, upon request, in the areas of race, sex, and national origin to public school districts and other responsible governmental agencies to promote equitable education opportunities. The centers work in the areas of civil rights and equity. This assistance helps schools and communities ensure that equitable education opportunities are available and accessible for all children.

**Applicant Eligibility:**

Any private, nonprofit organization or any public agency (other than a State educational agency or school board) may apply.

**Beneficiary Eligibility:**

Educational personnel and elementary and secondary students in local school districts benefit.

**Credentials/Documentation:**

More detailed information may be found in the regulations. OMB Circular No. A-122 for nonprofit organizations applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should

consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

After completion of competitive peer review of applications, the Department makes the final decision on the approval and funding of applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 to 90 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Equity assistance centers receive 3-year awards if they meet the criteria for annual continuation in the regulations. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are appropriated on an annual basis. Renewals are subject to the availability of appropriations. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

In accordance with OMB Circular No. A-102 (Attachments H and I) and ED General Administrative Regulations for Direct Project Grant and Contract Programs, 34 CFR 74, 75. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$6,989,000; FY 11 est \$6,975,022; and FY 12 est \$6,989,000

**Range and Average of Financial Assistance:**

In FY 11, \$571,170-\$751,304, year 1; \$688,261 - average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department made continuation awards to the 10 grantees. Fiscal Year 2011: The Department held a competition and made 10 new awards. Fiscal Year 2012: The Department anticipates making continuation awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 270, 271, and 272 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Fran Walter Department of Education, OESE, School Support and Technology Programs, Office of Elementary and Secondary Education, 400 Maryland Ave. S.W., Washington, District of Columbia 20202 Email: fran.walter@ed.gov Phone: (202) 205-9198

**Website Address:**

<http://www.ed.gov/programs/equitycenters/index.html> or  
<http://www.ed.gov/about/contacts/gen/othersites/equity.html>

**RELATED PROGRAMS:**

84.165 Magnet Schools Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grantees help school boards and other governmental agencies address the over-representation of minorities in special education and their under-representation in gifted and talented programs, among other types of assistance. Fiscal Year 2011: Applicants addressed competitive priorities for improving the effectiveness and distribution of effective teachers or principals and/or for improving school engagement, school environment, and school safety, and improving family and community engagement. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

New equity assistance center applications are evaluated on the basis of selection criteria, in Section 272.30(a)-(g), addressing mission and strategy, organizational capability, plan of operation, quality of key personnel, budget and cost-effectiveness, evaluation plan, and adequacy of resources. The highest-ranking application for each geographical service area is selected for an award. A competition was conducted in FY11.

**84.007 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS**

(FSEOG)

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 3, 20 U.S.C. 1070b-1070b-3.

**OBJECTIVES:**

To provide need-based grant aid to eligible undergraduate postsecondary students to help meet educational expenses.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Grants are for undergraduate study, and range from \$100 to \$4,000 per academic year. However, if reasonable study abroad costs exceed the cost of attendance at the home institution, the amount of the grant may exceed the \$4,000 maximum by as much as \$400. A student is eligible to receive a FSEOG for the period of time needed to complete the first undergraduate baccalaureate course of study being pursued by that student. If it awards grants to students in that year an institution is entitled to an administrative cost allowance for an award year of 5 percent of the first \$2,750,000, expended, plus 4 percent of expenditures greater than \$2,750,000 but less than \$5,500,000, plus 3 percent of expenditures in excess of \$5,500,000.

**Applicant Eligibility:**

Higher education institutions (public, private nonprofit, postsecondary vocational, and proprietary) meeting eligibility requirements may apply.

**Beneficiary Eligibility:**

Undergraduate students enrolled or accepted for enrollment as regular students; are maintaining satisfactory academic progress in accordance with the standards and practices of the institution, have financial need, do not owe a refund on a Title IV grant, are not in default on a Title IV loan, file a statement of educational purpose, file a statement of registration compliance (Selective Service) and meet citizen/resident requirements may benefit.

**Credentials/Documentation:**

Institutions must document their eligibility and students must demonstrate financial need. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Representatives of the appropriate ED Regional Office are available for consultation (see listing of ED Regional Offices in Appendix IV). Students should contact the institution(s) they attend or wish to attend. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Participating institutions submit the Fiscal Operations Report/Application to Participate in Federal Student Financial Aid Programs (ED Form 646-1) which is mailed to institutions of postsecondary education each summer by the Federal Student Aid office. New institutions submit only the application form.

**Award Procedure:**

The Federal Student Aid office determines final awards and notifies participating institutions. Postsecondary institutions determine individual student awards.

**Deadlines:**

Oct 01, 2011 Deadlines are specified on the application (usually October 1). Contact the program office for additional information.

**Range of Approval/Disapproval Time:**

Notices of tentative awards sent by February 1, and final award notifications sent by April 1.

**Appeals:**

Not Applicable.

**Renewals:**

There are annual renewals.

**Formula and Matching Requirements:**

Statutory Formula: Title IV, Part A, Subpart 3.

Matching Requirements: Funds are allocated to institutions on the basis of the institution's base guarantee and pro rata share and then on demonstrated need for funding. Institutions award funds to students on the basis of financial need as determined by the Federal Needs Analysis Methodology specified in statute. This program requires institutional matching funds. The Federal share may not exceed 75 percent unless waived based on objective criteria established in regulations.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are awarded for use by participating institutions for one award year at a time following the year of application. See the following for information on how assistance is awarded/released: Specified in the award document.

**Reports:**

A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (ED 646-1) is submitted by each institution at the close of each award year (June 30). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions must have a nonfederal audit done on at least an annual basis at its own expense. Audits are performed at Government expense by the Department of Education's Office of the Inspector General as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:**

All records pertaining to the activities of a given fiscal year must be retained for a period of three years following the institution's submission of its Fiscal Operations Report for an award year or until resolution of an applicable audit, whichever is later.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$757,465,000; FY 11 est \$735,990,070; and FY 12 est \$757,465,000

**Range and Average of Financial Assistance:**

The average award in FY 2010 was \$716. The average award in FY 2011 is estimated to be \$716.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: It is estimated that institutions will award \$958,816,000 in aid to approximately 1,339,129 students. Fiscal Year 2011: It is estimated that institutions will award \$931,633,000 in aid to approximately 1,301,163 students. Fiscal Year 2012: It is estimated that institutions will award \$58,816,000 in aid to approximately 1,339,129 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 676, Student Guide fact sheet, no charge; Student Financial Aid Handbook, no charge; Notification to Members of Congress, list of grantees, published annually or as required, no charge; Federal Needs Analysis Methodology Booklet, no charge; Verification Handbook, no charge; training materials, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Students should contact the educational institution(s) they attend or plan to attend. Educational institutions should contact the Regional Administrator for Student Financial Assistance in the appropriate ED Regional Office (see Appendix IV of the Catalog).

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243

**Website Address:**

<http://www.ifap.ed.gov>; [www.studentaid.gov](http://www.studentaid.gov)

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 84.031 Higher Education\_Institutional Aid; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.010 TITLE I GRANTS TO LOCAL EDUCATIONAL AGENCIES**

(Title I Basic, Concentration, Targeted and Education Finance Incentive Grants)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title I, Part A, 20 U.S.C 6301.

**OBJECTIVES:**

To help local educational agencies (LEAs) improve teaching and learning in high-poverty schools in particular for children failing, or most at-risk of failing, to meet challenging State academic achievement standards.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Use of funds varies, depending on whether a school is operating a schoolwide program under Section 1114 of Title I of the ESEA or a targeted assistance program under Section 1115 of the ESEA. A school with at least a 40 percent poverty rate may choose to operate a schoolwide program under Section 1114, which allows Title I funds to be combined with other Federal, State, and local funds to upgrade the school's overall instructional program. Schoolwide program schools must receive the amount of non-Federal resources they would have received in the absence of Title I funds. All other participating schools must operate targeted assistance programs, which provide extra instruction to those children failing, or most at risk of failing, to meet challenging State academic achievement standards. Targeted assistance programs must ensure that Title I services supplement, not supplant the regular education programs normally provided with non-Federal funds by local educational agencies. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEAs) and the Secretary of the Interior. Local educational agencies (LEAs) and Indian tribal schools are subgrantees.

**Beneficiary Eligibility:**

Children in high-poverty schools who are failing, or most at risk of failing, to meet challenging State academic standards.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. SEAs apply for funds as part of Title I, Part A, State plans submitted to the Department of Education in accordance with Section 1111 of ESEA or as part of a consolidated State plan submitted under Section 9302 of ESEA. The plan remains in effect for the duration of the State's participation in Title I, Part A, but must be updated to reflect substantive changes. Participating LEA's must file an approved plan with their SEAs.

**Award Procedure:**

The Department of Education (ED) makes grants through SEAs to LEAs using statutory formulas based primarily on Census Bureau estimates of the number of children from low-income families in each LEA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

If an LEA's plan is disapproved by the SEA it may appeal to the SEA and then to the Department of Education under Section 432 of the General Education Provisions Act (GEPA).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part A. The statute includes four separate formulas for allocating Title I Grants to LEAs. Under the statute, Basic and Concentration Grants are funded approximately at the 2001 appropriation level. Basic Grants are allocated to almost all local educational agencies based on each State's per-pupil expenditure for education and the number of school-aged children from low-income families. Concentration Grants are allocated to LEAs having more than 6,500 children from low-income families or a poverty rate of more than 15 percent. In addition, funds appropriated in excess of the fiscal year 2001 level are to be allocated as Targeted Grants, which make higher

payments to LEAs with higher numbers or percentages of poor children. The law also includes a separately authorized Education Finance Incentive Grants formula, which incorporates factors designed to measure a State's commitment to provide sufficient education funding, as well as how equitably that funding is distributed across districts. Allocations from all four formulas are combined into a single award to eligible LEAs. Within LEAs, funds are targeted to schools with the greatest percentages of poor children. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details. The maintenance-of-effort requirements in sections 1125A(e) and 9521 of the ESEA apply to Title I, Part A.

**Length and Time Phasing of Assistance:**

Generally, awards to States are made from July 1 to September 30 of the following year. In addition, funds remain available to States for an additional fiscal year for obligation and expenditure under section 421(b) of GEPA, subject to the carryover limitation of section 1127 of the ESEA. See the following for information on how assistance is awarded/released: Contact program office.

**Reports:**

States submit annual performance reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR) in the Appendix to 34 CFR, Part 80, requires State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with section 443(a) of the General Education Provisions Act, States and LEAs must maintain certain program records for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$14,492,401,000; FY 11 est \$14,463,417,000; and FY 12 est \$14,792,401,000

**Range and Average of Financial Assistance:**

The estimate range of awards in FY 2010 is \$32,464,829 - \$1,726,744,093. The average award is \$275,836,865. The estimated range of awards in FY 2011 is \$32,551,783 - \$1,626,853,420. The average award is \$275,285,191. The estimated range of awards in FY 2012 is \$32,595,851 - \$1,616,651,023. The average award is \$275,836,865.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. For Title I guidance and other information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan Wilhelm, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, SW., Washington, District of Columbia 20202 Email: susan.wilhelm@ed.gov Phone: (202) 260-0984.

**Website Address:**

<http://www.ed.gov/programs/titleiparta/index.html> .

**RELATED PROGRAMS:**

84.011 Migrant Education\_State Grant Program; 84.013 Title I Program for Neglected and Delinquent Children; 84.377 School Improvement Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.011 MIGRANT EDUCATION\_STATE GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part C, 20 U.S.C 6391.

**OBJECTIVES:**

To assist States in ensuring that migratory children have the opportunity to meet the same challenging State content and performance standards that all children are expected to meet.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Program funds are used to support high-quality and comprehensive educational programs that address the needs of migratory children. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569.

**Applicant Eligibility:**

State educational agencies or consortia of State educational agencies and other appropriate entities may apply.

**Beneficiary Eligibility:**

Children, ages 0 through 21, of migratory agricultural workers or migratory fishers, including children (i.e. persons age 21 or under) who are agricultural workers or migratory fishers or who are the spouses of migratory workers or migratory fishers, who have moved across school district lines within the past 36 months to obtain temporary or seasonal employment in agriculture or fishing work.

**Credentials/Documentation:**

States are responsible for ensuring that information documenting a child's eligibility is recorded on a Certificate of Eligibility. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State educational agency works closely with local educational agencies, institutions of higher education (IHEs), and public and nonprofit private agencies that serve migratory children. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. State educational agencies submit applications to the Department of Education that meet the requirements of the Elementary and Secondary Education Act and applicable regulations.

**Award Procedure:**

The Department of Education notifies an approved State educational agency of its award through a Grant Award Notification (GAN).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part C. Sec 1303, ESEA.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are for a period of twelve months. Unspent funds may be carried over into the next fiscal year. See the following for information on how assistance is awarded/released: Electronic funds transfer.

**Reports:**

Each SEA receiving funds is required to submit an annual report that provides information on the number of children identified as eligible for the program, characteristics of children served the services provided, staff, and student performance. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, certain program records must be maintained for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$394,771,000; FY 11 est \$393,981,458; and FY 12 est \$394,771,000

**Range and Average of Financial Assistance:**

The range of awards in FY 2011 was \$69,149 - \$135,022,620.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provided services to 445,707 individuals. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200.

**Regional or Local Office:**

None.

**Headquarters Office:**

Frances Moran, Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202-6135 Email: frances.moran@ed.gov Phone: (202) 260-1164.

**Website Address:**

<http://www.ed.gov/programs/mep/index.html>.

**RELATED PROGRAMS:**

84.141 Migrant Education\_High School Equivalency Program; 84.144 Migrant Education\_Coordination Program; 84.149 Migrant Education\_College Assistance Migrant Program; 84.213 Even Start\_State Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Programs operating during the school day, extended-day school projects; and summer/intersession projects. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.013 TITLE I STATE AGENCY PROGRAM FOR NEGLECTED AND DELINQUENT CHILDREN AND YOUTH**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title I, Part D.

**OBJECTIVES:**

To help provide educational continuity for neglected and delinquent children and youth in State-run institutions for juveniles and in adult correctional institutions, so that these youth can make successful transitions to school or employment once they are released.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Title I, Part D, Subpart 1, State Agency Neglected and Delinquent program provides formula grants to SEAs that then make subgrants to state agencies. State agencies use funds for supplementary education services to help provide education continuity for children and youths in state-operated institutions for children and youths, in community day programs for neglected and delinquent children and youths, and in adult correctional institutions so that these children and youths can make successful transitions to school or employment once they are released. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEAs). State agencies responsible for providing free public education for children and youth (1) in institutions for neglected or delinquent children and youth; (2) attending community day programs for neglected or delinquent children and youth; or (3) in adult correctional institutions may apply to their SEA for subgrants.

**Beneficiary Eligibility:**

Children and youth in institutions for neglected or delinquent children and youth, in community day programs for neglected or delinquent children and youth, and adult correctional institutions.

**Credentials/Documentation:**

There are cost principles for this program. See 34 CFR 80.22, which incorporates OMB Circular A-87 (Cost Principles for State, Local and Indian Tribal Governments), now codified at 2 CFR Part 225. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An SEA may apply for State Agency Neglected and Delinquent funds as (1) part of its Title I, Part D, State plan submitted to the Department under Section 1414 of ESEA or (2) as part of a consolidated State plan under Section 14302 of ESEA. To receive funds, State agencies must apply to the SEA and provide the information and assurances required in Section 1414 of ESEA.

**Award Procedure:**

The Department of Education's Office of Elementary and Secondary Education awards grants to State educational agencies, that in turn, award subgrants to the State agencies that have submitted applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

Not Applicable.

**Renewals:**

Although State plans are effective for the duration of Title I's authorization, SEAs are required to update plans to reflect changes. State agencies must update their applications annually to receive funds.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part D, Subpart A.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Generally, awards to States are made from July 1 to September 30 of the following year. Funds remain available to the State for an additional fiscal year for obligation and expenditure. See the following for information on how assistance is awarded/released: Contact the program office.

**Reports:**

Each State agency conducting a Part D, Subpart 1 program is required to evaluate the program's impact on students served at least once every 3 years. Generally, States report annually on the number of neglected or delinquent students obtaining a secondary school diploma or its recognized equivalent while in the N and D program, the number of neglected or delinquent students earning high school course credits, and the number of long-term neglected or delinquent students who improve mathematics and reading skills as measured through State-approved assessments. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit requirements for this program are set forth in 34 CFR 80.26, which requires grantees to comply with the Single Audit Act Amendment of 1996 and OMB Circular A-133 (Audits of States, Local Governments and Non-Profit Organizations). 80.26(b) also requires grantees to determine whether subgrantees have complied with the Act and OMB Circular A-133.

**Records:**

In accordance with the General Educational Provisions Act and the Education Department General Administrative Regulations, certain project records must be maintained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$50,427,000; FY 11 est \$326,146; and FY 12 est \$50,427,000

**Range and Average of Financial Assistance:**

2010: Range: \$73,271 - \$2,957,521; Average: \$945,506.

2011: Range: \$74,343 - \$2,834,930; Average: \$943,615.

2012: Range: \$74,492 - \$2,840,611; Average: \$945,506.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

John McLaughlin, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Rm. 3C130, Washington, District of Columbia 20202 Email: john.mclaughlin@ed.gov Phone: (202) 401-0962.

**Website Address:**

<http://www.ed.gov/programs/titlepartd/index.html>.

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies; 93.645 Child Welfare Services\_State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

State agencies are eligible to receive assistance if they are providing free public education for children who are (1) in institutions for neglected or delinquent children; (2) attending community day programs for neglected or delinquent children; or (3) in adult correctional institutions.

**84.015 NATIONAL RESOURCE CENTERS PROGRAM FOR FOREIGN LANGUAGE AND AREA STUDIES OR FOREIGN LANGUAGE AND INTERNATIONAL STUDIES PROGRAM AND FOREIGN LANGUAGE AND AREA STUDIES FELLOWSHIP PROGRAM****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part A, Section 602.

**OBJECTIVES:**

Centers: To promote instruction in modern foreign languages and area and international studies that are critical to national needs by supporting the establishment, strengthening and operation of such programs at colleges and universities. Centers may focus on undergraduate training only or may be comprehensive, including undergraduate, graduate, and professional training components. Fellowships: To meet the needs of the United States for experts in modern foreign languages combined with area studies and world affairs by supporting fellowships for undergraduate and graduate study at institutions of higher education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Centers: Funds may be used for instructional costs of language and area and international studies programs, administration, lectures, conferences, library resources and staff, outreach, and travel. Fellowships: Funds may be used for academic year and summer fellowships to institutions of higher education (IHEs) in order to assist graduate students in acquiring foreign language and either area or international studies competencies. A fellowship awarded to an undergraduate student may include an allowance for educational programs in the United States or education programs abroad that meet certain criteria.

**Applicant Eligibility:**

Centers: U.S. institutions of higher education or consortia of institutions of higher education are eligible to apply. Applying institutions provide evidence of existing resources and institutional commitment to language and area and international studies through a curriculum that provides instruction dealing with a particular country or world area and its languages, or with international studies and modern foreign languages, including the international aspects of professional or other fields of study. Fellowships: Accredited U.S. institutions of higher education or consortia of institutions of higher education offering area or international studies programs combined with language study are eligible to apply for allocations of fellowships.

**Beneficiary Eligibility:**

Centers: U.S. institutions of higher education or consortia of institutions of



higher education will benefit. Fellowships: Undergraduate and graduate students enrolled in funded centers and programs will benefit. Student candidates must be U.S. citizens or nationals or permanent residents training in area or international studies and in modern foreign languages programs that have or are developing performance-based language instruction. Undergraduate students must be engaged in intermediate level study or above of a less commonly taught language. Training must be undertaken through an institution that has an allocation of Foreign Language and Area Studies (FLAS) Fellowships.

**Credentials/Documentation:**

Contact program office. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible institutions may submit proposals for the funding of centers only, fellowships only, or both when the announcement of a new competition is issued in the Federal Register. Application forms and guidelines for the submission of proposals are available from office of the International and Foreign Education at the Department of Education.

**Award Procedure:**

Centers: Final recommendations are made to the Secretary following evaluations from panels of experts that evaluate applications according to published selection criteria. Fellowships: The student should contact his/her sponsoring institution for information concerning application forms, deadlines, and related matters. Institutional proposals are approved or disapproved by the Secretary, following the same procedures as for Center applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. About 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Higher education institutions receiving funds for four year phased program support must submit annual performance reports for the second, third and fourth year for continuation of such support. Students seeking fellowships apply to their institutions for each summer or academic year award period. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Centers: Grants are awarded for project period of up to 48 months. Payments are made as stipulated in the grant. Renewals are subject to the availability of funds. Fellowships: Academic year and summer fellowship awards to student recipients are made by the institutions on a competitive basis. If summer fellowships are issued, they will be for a summer session in which the equivalent of an academic year's foreign language study is completed. Payments are made by the grantee institution. See the following for information on how assistance is awarded/released: This information is included in the award document.

**Reports:**

Centers: Centers submit interim and annual performance reports through the

International Resource Information System (IRIS). Centers submit a final performance report 90 days after the project end date. Fellowships: FLAS granting institutions report on fellowship award recipients at the beginning and end of each award period. Institutional final reports (awards lists) and budget reports are required annually. Cash reports are not applicable. Contact program office. Expenditure reports are not applicable. Contact program office.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under grant or relating to the accountability for awarded funds must be available upon request: (1) for 3 years after close of the fiscal year in which the grant expired or (2) until the grantee is notified of completion of Federal financial audit, whichever is later. Fellowships: All records bearing on the receipt and expenditure of funds under the program must be available for inspection by the Department: (1) for 3 years after the fiscal year in which grant funds are spent, (2) until audited or for 5 years after grant, or (3) until resolution of any audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$33,989,375; FY 11 est \$18,048,762; and FY 12 est \$33,759,000 - For Centers. (Project Grants) FY 10 \$35,796,000; FY 11 est \$35,398,500; and FY 12 est \$35,796,000 - For Fellowships.

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655, 656, and 657, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carla White, International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, Washington, District of Columbia 20006 Email: carla.white@ed.gov Phone: (202) 502-7631.

**Website Address:**

<http://www.ed.gov/programs/iegpsnrc/>; or  
<http://www.ed.gov/programs/iegpsflas/>.

**RELATED PROGRAMS:**

84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.220 Centers for International Business Education; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

34 CFR 655, 656, and 657 apply to the Centers and Fellowships Programs. Selection criteria for evaluating applications and selecting centers are listed in the Title VI, International Education Program Regulations in 34 CFR 655.31, 656.21 or 656.22. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. 34 CFR 657.21 gives the criteria for selection of institutional awards for fellowship allocations. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register.

**84.016 UNDERGRADUATE INTERNATIONAL STUDIES AND**

## **FOREIGN LANGUAGE PROGRAMS**

### **FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

### **AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part A, Section 604.

### **OBJECTIVES:**

The Undergraduate International Studies and Foreign Language Program supports awards to institutions of higher education and public and nonprofit private agencies and organizations. The awards assist: (1) institutions of higher education to plan, develop, and carry out a program to strengthen and improve undergraduate instruction in international studies and foreign languages; and (2) associations and organizations to develop projects that will make an especially significant contribution to strengthening and improving undergraduate instruction in international studies and foreign languages.

### **TYPES OF ASSISTANCE:**

#### **PROJECT GRANTS**

### **USES AND USE RESTRICTIONS:**

Each program assisted with Federal funds must primarily enhance the international academic program of the institution. Eligible activities may include but are not limited to: development of a global or international studies program that is interdisciplinary in design; development of a program that focuses on issues or topics, such as international business or international health; development of an area studies program and its corresponding foreign languages; creation of innovative curricula that combine the teaching of international studies with professional and preprofessional studies, such as engineering; research for and development of specialized teaching materials, including language instruction, i.e., business French; establishment of internship opportunities for faculty and students in domestic and overseas settings; and development of study abroad programs. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 377-3838.

### **Applicant Eligibility:**

Accredited colleges and universities, and public and nonprofit private agencies and organizations.

### **Beneficiary Eligibility:**

Accredited colleges and universities, and public and nonprofit private agencies and organizations will benefit.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. When funds are available for the support of new programs, announcements are issued in the Federal Register. Application forms and guidelines for submission of proposals are available from the International and Foreign Language Education at the Department of Education.

### **Award Procedure:**

Final recommendations are made to the Secretary of Education following advice from a panel of consultants in accordance with the published criteria.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approximately 120 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

Institutions of higher education and associations and organizations currently receiving funds for two- or three-year phased program support must submit performance reports for continuation funding according to instructions established by the Department. Renewals are subject to the availability of funds.

### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The non-Federal share of the cost of the programs assisted may be provided in cash from the private sector corporations or foundations in an amount equal to one-third of the total cost of the programs or may be provided as an in-cash or in-kind contribution from institutional and noninstitutional funds, including State and private sector corporation or foundation contributions, equal to one-half of the total cost of the programs assisted herein. The Secretary may waive or reduce the matching requirement for institutions that are eligible to receive assistance under part A or B of Title III or under Title V of the Higher Education Act of 1965, as amended. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Grants are awarded for 12-month periods, subject to renewals of one or two years. Payments are made as stipulated in the grant. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: The information is included in the grant award documents.

### **Reports:**

All programs must provide final reports upon completion of the program. Cash reports are not applicable. Contact program office. Expenditure reports are not applicable. Contact program office.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

### **Records:**

All records supporting claims under a grant or relating to the accountability for awarded funds must be available upon request: (1) For 3 years after close of the fiscal year in which contract was liquidated; or (2) until the grantee is notified of completion of Federal financial audit, whichever is later.

### **Account Identification:**

91-0201-0-1-502.

### **Obligations:**

(Project Grants) FY 10 \$4,634,000; FY 11 est \$1,000,791; and FY 12 est \$8,000,000

### **Range and Average of Financial Assistance:**

No Data Available.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655 and 658, and the Education Department General Administrative Regulations.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Christine Corey, International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1190 K Stret, NW,

Washington, District of Columbia 20006 Email: Christine.corey@ed.gov  
Phone: (202) 502-7629.

**Website Address:**

<http://www.ed.gov/programs/iegpsugis/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.018 Overseas Programs\_Special Bilateral Projects; 84.019 Overseas Programs - Faculty Research Abroad; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In addition to evaluation on the basis of criteria found in the Education Division General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, and 78 the Secretary will further evaluate applications for Federal support for international studies programs in accordance with the criteria published in 34 CFR 655, 658, and 45 CFR 86872.

**84.017 INTERNATIONAL RESEARCH AND STUDIES**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended (HEA), Title VI, Part A, Section 605.

**OBJECTIVES:**

To improve foreign language, area, and other international studies training through support of research, studies, development of specialized instructional materials, and the publication of specialized materials developed as a result of research conducted under this program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The program supports research and studies that may include but are not limited to: (1) Studies and surveys to determine needs for increased or improved instruction in modern foreign languages, area studies, or other international fields including the demand for foreign language, area, and other international specialists in government, education, and the private sector; (2) research on more effective methods of providing instruction and achieving competency in foreign languages, area studies, or other international fields; (3) research on applying performance tests and standards across all areas of foreign language instruction and classroom use; (4) developing and publishing specialized materials for use in foreign language, area studies, and other international fields or for training foreign language, area, and other international specialists; (5) studies and surveys to assess the use of graduates or programs supported under title VI of the HEA by governmental, educational, and private-sector organizations and other studies assessing the outcomes and effectiveness of supported programs; (6) comparative studies of the effectiveness of strategies to provide international capabilities at institutions of higher education; (7) evaluations of the extent to which programs assisted under title VI of the HEA that address national needs would not otherwise be offered; (8) studies and surveys of the use of technologies in foreign language, area studies, and international studies programs; (9) studies and evaluations of effective practices in the dissemination of international information, materials, research, teaching strategies, and testing techniques throughout the educational community, including elementary and secondary schools; (10) evaluations of the extent to which programs assisted under title VI of the HEA reflect diverse perspectives and a wide range of views and generate debate on world regions and international affairs, as described in the grantees application; (11) systematic collection, analysis, and dissemination of data that contribute to achieving the purposes of title VI, part A of the HEA; and (12) support for programs or

activities to make data collected, analyzed, or disseminated under title VI, part A publicly available and easy to understand. Funds awarded under this program may not be used for the training of students and teachers.

**Applicant Eligibility:**

Public and private agencies, organizations, institutions, and individuals may apply.

**Beneficiary Eligibility:**

Public and private agencies, organizations, institutions, and individuals will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-122 for Non-Profit Organizations, and OMB Circular No. A-21 for Educational Institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Formal applications should be prepared in response to announcements of mandatory program requirements and closing dates in the Federal Register.

**Award Procedure:**

Applications are reviewed by Department of Education officials and review panels of scholars.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From six to seven months.

**Appeals:**

Other - Not Specified.

**Renewals:**

Projects conducted under a grant may be phased, with the phases following the first phase subject to renewal on a non-competitive basis. Renewals of grants, which were not included in the original negotiations, will be considered in competition with all other new applications and are dependent on the submission of reports that demonstrate that substantial progress has been made.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Depends on project, but is generally from 12 to 36 months. Phasing of projects is determined during the negotiation process. See the following for information on how assistance is awarded/released: This information is included in the grant award document.

**Reports:**

A final report or subject data as established through negotiation. Interim progress reports and a financial report are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available on request: (1) For three years after close of the fiscal year of grant expiration or (2) until the grantee is notified of

completion of the Federal audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$7,151,631; FY 11 est \$2,422,500; and FY 12 est \$2,422,500

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are available at 34 CFR 655, 660, and the Education Department General Administrative Regulations. Contact the program office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Beth MacRae, International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, Washington, District of Columbia 20006 Email: beth.macrae@ed.gov Phone: (202) 502-7596.

**Website Address:**

<http://www.ed.gov/programs/iegpsirs/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.018 Overseas Programs\_Special Bilateral Projects; 84.019 Overseas Programs - Faculty Research Abroad; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals is stated in 34 CFR 655.31, 660.31, 660.32, and 660.33. The Secretary will evaluate applications in accordance with the published criteria. An applicant may receive as many as five or fifteen points or as few as zero points under each criterion. (20 U.S.C. 1121-1127, 3063-3065.)

**84.018 OVERSEAS PROGRAMS\_SPECIAL BILATERAL PROJECTS  
FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended, Section 102(b)(6), Public Law 87-256.

**OBJECTIVES:**

To increase mutual understanding and knowledge between the people of the United States and those in other countries by offering qualified U.S. educators opportunities to participate in short-term study seminars abroad on topics in the social sciences and the humanities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program funds provide round-trip economy airfare, room and board, tuition and fees for seminars. Actual locations may vary from year-to-year. No dependents are to accompany awardees participating in seminars.

**Applicant Eligibility:**

Applicants must (1) be U.S. citizens or have permanent resident status; (2) hold at least a bachelor's degree from an accredited college or university; (3) have at least 3 years full-time in teaching, administering or supervising in the humanities, the social sciences or social studies subjects; (4) be currently employed full-time in teaching, administering or supervising in the aforementioned areas; (5) meet any language requirements if applicable (see the application booklet for details). If selected, awardees must furnish evidence of good health and emotional maturity.

**Beneficiary Eligibility:**

(1) Undergraduate faculty members of 4 year colleges/universities and 2-year community colleges in the fields of the humanities and social sciences; (2) supervisors and secondary (grades 9 through 12) and elementary and junior high school (grades K through 8) teachers of social studies and humanities; and (3) curriculum development specialists, administrators of local and State education agencies who have direct responsibility for developing curriculum in the subject areas encompassed by the social sciences and the humanities.

**Credentials/Documentation:**

Applicants' basic data; education and professional preparation; present and previous employment; specific statement of objectives; plans to utilize the knowledge and experience gained from the seminar; involvement in educational/professional/civic groups, associations/organizations; personal traits; honors/awards/publications, etc. This program is excluded from coverage under OMB Circular No. A-87.

**Preadmission Coordination:**

International Education Graduate Programs Service, Department of Education, publishes an annual announcement of opportunities and conducts open competition to select participants. Binational commissions or foundations or other appropriate agencies receive funding to conduct the seminars. The standard application forms as furnished by the Federal agency and as required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible applicants may submit applications for a position in one of the seminars when the announcement of a new competition is made through journals, newsletters, educational associations, individuals, etc.

**Award Procedure:**

Recommendations are made to the Secretary of Education following advice from a panel of consultants. All recommended selections are subject to review and final approval by the presidentially appointed J. William Fulbright Foreign Scholarship Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants notified in March of selection for seminars.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

From 4 to 6 weeks. See the following for information on how assistance is awarded/released: The information is included in the award documents.

**Reports:**

Individual curriculum projects, outreach activities and program evaluations from participants are submitted. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Contact

program office.

**Audits:**

No audits are required for this program.

**Records:**

Retained for one year.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$2,249,221; FY 11 est \$2,466,272; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 10 projects and 144 participants. Fiscal Year 2011: 9 projects and 135 participants. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations. Program announcements and related information are available from the Program Officer for International Education, Department of Education.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carly Borgmeier International Education Programs Service, Department of Education, 1990 K St NW, Suite 6080, Washington, District of Columbia 20006 Email: carly.borgmeier@ed.gov Phone: (202) 502-7691

**Website Address:**

<http://www.ed.gov/programs/iegpsap/>

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.019 Overseas Programs - Faculty Research Abroad; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for information.

**84.019 OVERSEAS PROGRAMS - FACULTY RESEARCH ABROAD**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended, Executive Order Section 102(b)(6), Public Law 87-256.

**OBJECTIVES:**

To contribute to the development and improvement of modern foreign language and area studies in the U.S. by providing opportunities for scholars to conduct research abroad.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Generally, awards are not available for projects focusing primarily on Western Europe or on countries where the United States has no diplomatic representation. This program funds fellowships through institutions of higher education (IHEs) to faculty members who propose to conduct research abroad in modern foreign languages and area studies to improve their skill in languages and knowledge of the culture of the people of these countries. Funds support:

travel expenses to and from the residence of the fellow and the country or countries of research, a maintenance stipend for the fellow related to his or her academic year salary, and an allowance for research-related expenses overseas such as books and photocopying, tuition, affiliation fees, local travel, and other incidental expenses. Fellowships are adjusted for duplicating support.

**Applicant Eligibility:**

Institutions of higher education may apply.

**Beneficiary Eligibility:**

A faculty member is eligible to receive an award if he or she (a)(1) Is a citizen or national of the United States; or (2) Is a permanent resident of the United States; (b) Is employed by an institution of higher education; (c) Has been engaged in teaching relevant to his or her foreign language or area studies specialization for the two years immediately preceding the date of the award; (d) Proposes research relevant to his or her modern foreign language or area specialization which is not dissertation research for a doctoral degree; and (e) Possesses sufficient foreign language skills to carry out the research project.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Eligible institutions will be responsible for accepting, screening, and applying through the Department of Education's e-Application website to the International Education Programs Service (IEPS) those individual applications that meet the institution's technical and academic criteria and the program's eligibility requirements. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Faculty members may address requests for general information to the Advanced Training and Research Team (ATRT), IEPS. Completed applications should be submitted directly to the faculty member's employing institution, which will then be submitted to the Department via e-Application.

**Award Procedure:**

The IEPS will make the initial selection and recommendation of fellowship recipients with the advice of a panel of academic specialists in modern foreign language and area studies and comments by U.S. embassies and binational commissions in the proposed countries of research. The selections are subject to review and final approval by the J. William Fulbright Foreign Scholarship Board (FSB). The grants for successful scholars are made to the institutions which employ the faculty members.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

From 3 to 12 months. See the following for information on how assistance is awarded/released: This information is included in the award document.

**Reports:**

Individual faculty recipient: Pre-fellowship report is due prior to departure. A post-fellowship report must be submitted via the International Resource Information System (IRIS) no later than 90 days after the termination date of the award. Institutional grantee: A final post-fellowship report must be

submitted via IRIS no later than 90 days after the termination date of the award.

This report includes final award balances and expenditures. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

Records bearing on receipt and expenditure of grant funds must be made available for the Department inspection: (1) For 3 years after the close of the fiscal year in which expenditures are made if departmental audit has occurred by that time; (2) until audit or for 5 years following end of budget period in which grant expired, whichever is later; or (3) until resolution of outstanding audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$1,743,620; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 16 awards and 18 participants. Fiscal Year 2011: No awards made. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 663, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cynthia Dudzinski, Advanced Training and Research Team, International Education Programs Service, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, SW., Washington, District of Columbia 20202 Email: cynthia.dudzinski@ed.gov Phone: (202) 502-7589.

**Website Address:**

<http://www.ed.gov/programs/iegpsfra/>.

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars; 84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The following selection criteria for this program are from 34 CFR 663.21 and are as follows: The maximum score for all of the criteria, including the competitive preference priority is 105 points. The maximum score for each criterion is indicated in parentheses. Quality of proposed project (60 points): In determining the quality of the research project proposed by the applicant, the Secretary considers (1) The statement of the major hypotheses to be tested or questions to be examined, and the description and justification of the research methods to be used (10 points); (2) The relationship of the research to the literature on the topic and to major theoretical issues in the field, and the projects originality and importance in terms of the concerns of the discipline (10 points); (3) The preliminary research already completed or plans for research prior to going overseas, and the kinds, quality and availability of data for the research in the host country or countries (10 points); (4) The justification

for overseas field research and preparations to establish appropriate and sufficient research contacts and affiliations abroad (10 points); (5) The applicants plans to share the results of the research in progress with scholars and officials of the host country or countries and the American scholarly community (10 points); and (6) The objectives of the project regarding the sponsoring institutions plans for developing or strengthening, or both, curricula in modern foreign languages and area studies (10 points). Qualifications of the applicant (40 points): In determining the qualifications of the applicant, the Secretary considers (1) The overall strength of the applicants academic record (teaching, research, contributions, professional association activities) (10 points); (2) The applicants excellence as a teacher or researcher, or both, in his or her area or areas of specialization (10 points); (3) The applicants proficiency in one or more of the languages (other than English and the applicants native language) of the country or countries of research, and the specific measures to be taken to overcome any anticipated language barriers (15 points); and (4) The applicants ability to conduct research in a foreign cultural context, as evidenced by the applicants previous overseas experience, or documentation provided by the sponsoring institution, or both (5 points). Subject to change. Contact program officer for further information.

**84.021 OVERSEAS PROGRAMS - GROUP PROJECTS ABROAD  
FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended, Section 102(b)(6), Public Law 87-256.

**OBJECTIVES:**

To contribute to the development and improvement of the study of modern foreign languages and area studies in the United States by providing grants to support overseas projects in training, research, and curriculum development in modern foreign languages and area studies for teachers, students, and faculty engaged in a common endeavor.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grant does not provide funds for project-related expenses within the United States. The grant funds may be used in the country of study for the following: maintenance stipend; round-trip international travel; project-related local travel; artifacts; books and other teaching materials; rent for instructional facilities; and clerical and professional services. Projects must focus on the humanities, social sciences and languages, and must focus on one or more of the following areas: Africa, East Asia, South Asia, Southeast Asia and the Pacific, the Western Hemisphere (Central and South America, Mexico, and the Caribbean), East Central Europe and Eurasia, and the Near East. Applications that propose projects focused on Canada or Western Europe will not be funded.

**Applicant Eligibility:**

Institutions of higher education, State departments of education, private nonprofit educational organizations, and a consortium of institutions, departments, and organizations.

**Beneficiary Eligibility:**

A participant must be: a citizen, or permanent resident of the United States, currently employed full-time in a United States school system, institution of higher education, local education agency or state education agency (not applicable to students), and at least one of the following:

- A teacher in an elementary or secondary school (please see note below);
- A faculty member who teaches modern foreign languages or area studies;
- An experienced education administrator responsible for planning, conducting, or supervising programs in modern foreign languages or area studies at the elementary, secondary, or postsecondary levels;
- A graduate student or junior or senior in an institution of higher education, who is a prospective teacher in the areas of social sciences, humanities and foreign

languages. The

student should meet the provisions set by his or her local and state education agencies; or

For the Advanced Overseas Intensive Language Training project, the participating student,

other than those planning a teaching career, should be planning to apply their language skills

and knowledge of countries vital to the United States national security in fields outside

teaching, including government, the professions, or international development.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An institution or organization interested in the program should plan and propose a group project that would significantly improve its program in foreign language and area studies. Specific guidelines for preparation of proposals as published in the Federal Register are available upon request from the International Education Programs Service (IEPS). The institution or organization must give assurance that the individuals it nominates to undertake the projects are appropriately qualified.

**Award Procedure:**

With the advice of a panel of academic consultants and an assessment of the feasibility and suitability of each proposal by U.S. Embassies and Binational Commissions in the proposed countries of study, the IEPS will make initial selections, and preliminary recommendations of grant recipients to the Secretary. All recommended selections are subject to review and final approval by the presidentially appointed J. William Fulbright Foreign Scholarship Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For short-term seminar, curriculum development, and group research or study, projects range from 5 weeks to 12 months; projects are up to 48 months for advanced intensive language training projects. See the following for information on how assistance is awarded/released: The information is included in the grant award document.

**Reports:**

Interim progress, terminal program, and financial reports from the grantee are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit requirements as described in 34 CFR 74.26 do not pertain to this program. All fiscal records are subject to audit at any time within five years

after close of the fiscal year in which expenditures are made.

**Records:**

Documents bearing on receipt and expenditure of grant funds must be made available for inspection by the Department: (1) For three years after the close of the fiscal year in which expenditures are made if departmental audit has occurred by that time; (2) until audit or for five years following the end of budget period in which grant expired, whichever is later; or (3) until resolution of outstanding audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$5,416,456; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 51 projects and 517 participants. Fiscal Year 2011: No awards made. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 664 and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Guilfoil, International Education Programs Service, Office of Postsecondary Education, Department of Education, 1990 K St. NW, 6th Floor, Washington, District of Columbia 20006 Email: michelle.guilfoil@ed.gov Phone: (202) 502-7625.

**Website Address:**

<http://www.ed.gov/programs/iegpsgpa/>.

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.019 Overseas Programs - Faculty Research Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria for this program are from 34 CFR 664.31 and are as follows: (a) Plan of operation (20 points), (b) quality of key personnel (10 points), (c) budget and cost effectiveness (10 points), (d) evaluation plan (20 points), (e) adequacy of resources (5 points), (f) potential impact of the project on the development of the study of modern foreign languages and area studies in American education (15 points), (g) relevance to the institution's educational goals and its relationship to its program development in modern foreign languages and area studies (5 points), (h) the extent to which direct experience abroad is necessary to achieve the project's objectives and the effectiveness with which relevant host country resources will be utilized (10 points), and (i) the extent to which the proposed project addresses the competitive preference priorities (10 points). Subject to change. Contact program officer for further information.

**84.022 OVERSEAS PROGRAMS - DOCTORAL DISSERTATION RESEARCH ABROAD**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended, Section 102(b)(6), Public Law 87-256.

**OBJECTIVES:**

To provide opportunities for graduate students to engage in full-time dissertation research abroad in modern foreign language and area studies with the exception of Western Europe. This program is designed to contribute to the development and improvement of the study of modern foreign languages and area studies in the United States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds will be available to enable doctoral candidates to complete field research for their dissertations. Generally awards will not be available for projects focusing primarily on Western Europe or countries where the United States has no diplomatic representation. Financial provisions include basic stipend computed on the cost-of-living in the country where research is to be conducted; cost of international round trip jet economy air fare for fellow only; baggage allowance, dependents allowance for accompanying dependents based on cost-of-living in host country; project allowance to be utilized for the purchase of expendable materials, services, and supplies, tuition payments to foreign institutions, and local travel expenditures; funds to secure health and accident insurance.

**Applicant Eligibility:**

Institutions of higher education may apply.

**Beneficiary Eligibility:**

A candidate for Doctoral Dissertation Research Abroad Fellowship must: (1) be a (a) citizen or national of the United States; or (b) permanent resident of the United States; (2) be a graduate student in good standing at an institution of higher education who, when the fellowship period begins, has been admitted to candidacy in a doctoral degree program in modern foreign languages and area studies at that institution; (3) plan a teaching career in the United States upon graduation; (4) possess adequate skills in the foreign language(s) necessary to carry out the dissertation research project.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The institutional project director will be responsible for accepting, screening, and forwarding through the Department of Education's Application system to the Advanced Training and Research Team those individual applications which meet the institution's technical and academic criteria and the program's eligibility requirements. Candidates for dissertation research fellowships apply directly to the institutions at which they are enrolled in a Ph.D. program, not to the Department of Education. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Institutions should request application materials from the Advanced Training and Research Team. Students should address requests for application forms institutional project director at the graduate schools at which they are enrolled in a Ph.D. program.

**Award Procedure:**

The Advanced Training and Research Team will make initial selection and recommendation of fellowship recipients with the advice of a panel of specialists in foreign language and area studies and comments by U.S. embassies and binational commissions in the proposed countries of research. Selections are subject to review and final approval by the presidentially appointed J. William Fulbright Foreign Scholarship Board. The grant covering successful graduate students is made to the applicant, i.e., institutions of higher education.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made for at least 6 but not more than 12 months. See the following for information on how assistance is awarded/released: This information is included in the award document.

**Reports:**

Fellows: Pre-Fellowship reports through the grantee institution are due no later than 30 days prior to travel to begin research. Final reports through the grantee institution are due no later than 90 days after the termination date of the award. Institutions: fiscal reports. No cash reports are required. No progress reports are required. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

Records bearing on receipt and expenditure of funds to be made available for inspection by the Department for 3 years after close of fiscal year in which expenditures are made if departmental audit has occurred by that time, until audit or for five years following the end of the budget period in which the grant expired (whichever is later) or until resolution of any outstanding audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$5,877,252; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 46 awards and 164 fellows. Fiscal Year 2011: No awards made. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final regulations published in 34 CFR 662, and in the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Amy Wilson, International Education Programs Service, Office of Postsecondary Education, Department of Education, 1990 K St NW, Room 6084, Washington, District of Columbia 20006 Email: ddra@ed.gov Phone: (202) 502-7689.

**Website Address:**

<http://www.ed.gov/programs/iegpsddrap/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International



Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.019 Overseas Programs - Faculty Research Abroad; 84.021 Overseas Programs - Group Projects Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria for this program are from 34 CFR 662.21 and are listed in the following paragraphs. The maximum score for all of the criteria, including the competitive preference priority, is 105 points. The maximum score for each criterion is indicated in parentheses. Quality of proposed project (60 points): In determining the quality of the research project proposed by the applicant, the Secretary considers: (1) The statement of the major hypotheses to be tested or questions to be examined, and the description and justification of the research methods to be used (10 points); (2) the relationship of the research to the literature on the topic and to major theoretical issues in the field, and the project's originality and importance in terms of the concerns of the discipline (10 points); (3) the preliminary research already completed in the United States and overseas or plans for such research prior to going overseas, and the kinds, quality and availability of data for the research in the host country or countries (10 points); (4) the justification for overseas field research and preparations to establish appropriate and sufficient research contacts and affiliations abroad (10 points); (5) the applicant's plans to share the results of the research in progress and a copy of the dissertation with scholars and officials of the host country or countries (10 points); and (6) the guidance and supervision of the dissertation advisor or committee at all stages of the project, including guidance in developing the project, understanding research conditions abroad, and acquainting the applicant with research in the field (10 points). Qualifications of the applicant (40 points): In determining the qualifications of the applicant, the Secretary considers (1) the overall strength of the applicant's graduate academic record (10 points); (2) the extent to which the applicant's academic record demonstrates strength in area studies relevant to the proposed project (10 points); (3) the applicant's proficiency in one or more of the languages (other than English and the applicant's native language) of the country or countries of research, and the specific measures to be taken to overcome any anticipated language barriers (15 points); and (4) the applicant's ability to conduct research in a foreign cultural context, as evidenced by the applicant's references or previous overseas experience, or both (5 points). Subject to change. Contact program officer for further information.

**84.027 SPECIAL EDUCATION GRANTS TO STATES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part B, Sections 611-618, 20 U.S.C 1411-1418.

**OBJECTIVES:**

To provide grants to States to assist them in providing special education and related services to all children with disabilities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States must distribute all grant funds that the State does not reserve for administration of the program or other State-level activities to eligible local educational agencies. Funds are used by State and local educational agencies, in accordance with the IDEA, to help provide the special education and related services needed to make a free appropriate public education available to all eligible children and, in some cases, to provide early intervening services.

**Applicant Eligibility:**

State educational agencies in the 50 States, District of Columbia, Puerto Rico, American Samoa, Commonwealth of the Northern Mariana Islands, Guam and Virgin Islands, the Department of the Interior, and freely associated States. Local educational agencies apply to their State educational agency for subgrants.

**Beneficiary Eligibility:**

Children with disabilities will benefit.

**Credentials/Documentation:**

No State or jurisdiction may receive a grant unless the Secretary has approved the annual application and statement of assurances. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States are eligible to receive funds under this program if the State establishes eligibility for funds under Section 612 of Part B of the IDEA. Local education agencies establish eligibility by meeting local application eligibility requirements of Section 613 of Part B of the IDEA.

**Award Procedure:**

Once the State application has been approved, a grant award is forwarded to the State department of education. Notification of the award is made to Chief State School Officer. States make subgrants to eligible local educational agencies from their initial grant award after setting aside funds for administration and state-level activities.

**Deadlines:**

May 10, 2010: The submission date for State applications is May 10 to expedite funding, but plans or amendments are accepted throughout the fiscal year.

**Range of Approval/Disapproval Time:**

Within 90 days.

**Appeals:**

The Department must not take final action to disapprove an application until the State is provided reasonable notice and an opportunity for a hearing. The State must request a hearing no later than 30 days after it receives notice of the proposed final determination that the State is not eligible to receive its award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Statutory citation: IDEA Part B Sec. 611.

Funds are allocated among States, including the District of Columbia and Puerto Rico, in accordance with a variety of factors. First, each State is allocated an amount equal to the amount that it received for fiscal year 1999. If the total program appropriation increases over the prior year, 85 percent of the remaining funds are allocated based on the number of children in the general population, between the ages of 3 through 21, in the age range for which the States guarantee a free appropriate public education (FAPE) to children with disabilities. Fifteen percent of the remaining funds are allocated based on the number of children living in poverty, between the ages of 3 through 21, that are in the age range for which the States guarantee FAPE to children with disabilities.

The statute also includes several maximum and minimum allocation requirements when the amount available for distribution to States increases. If the amount available for allocation to States remains the same from one year to the next, States receive the same level of funding as in the prior year. If the amount available for allocation to States decreases from the prior year, any amount available for allocation to States above the 1999 level is allocated based on the relative increases in funding that the States received between 1999 and the prior year. If there is a decrease below the amount allocated for 1999, each States allocation is ratably reduced from the 1999 level.

This program has no matching requirements. However, there are non-supplanting and excess cost requirements. MOE requirements for this

program apply to both State Educational Agencies and local educational agencies. Contact the program office for further details. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are issued each fiscal year. The Federal obligation period is a 15-month period from July 1 through September 30. States and local education agencies have an additional 12-month period to obligate funds they receive. See the following for information on how assistance is awarded/released: Contact the program office for this information.

**Reports:**

State Performance Plans (SPPs) and Annual Performance Reports (APR) are submitted to the Department of Education from the State departments of education. No cash reports are required. No progress reports are required. 34 CFR 80.40. 34 CFR 80.41.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Generally, the State and its subgrantees must retain records related to grant funds and compliance for a period of 3 years from the date the grantee or subgrantee submits its final expenditure report for that funding period. 34 CFR 80.42. Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$11,505,211,000; FY 11 est \$11,482,200,578; and FY 12 est \$11,705,211,000

**Range and Average of Financial Assistance:**

In FY 2010, regular annual allotments to States, including DC and Puerto Rico, ranged from \$17 million to \$1.2 billion, with an average award of \$218 million. Grants to outlying areas ranged from \$4-5 million to \$14 million. The Department of Interior received \$92 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are at 34 CFR 300, and 34 CFR 76-77,79,80-82,84-86, and 97-99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gregg Corr Office of Special Education Programs, Department of Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: gregg.corr@ed.gov Phone: (202) 245-7309

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data

Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States and other eligible entities qualify for funding based upon applications approved under IDEA, Section 612.

**84.031 HIGHER EDUCATION\_INSTITUTIONAL AID**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended (HEA). Title III, Part A and Part F; Title V; Higher Education Act of 1965, as amended.

**OBJECTIVES:**

To help eligible colleges and universities to strengthen their management and fiscal operations and to assist such institutions to plan, develop, or implement activities including endowment building to strengthen the academic quality of their institutions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible institutions may apply under Part A, B or Part F of Title III or Title V. Part A includes Strengthening Institutions Program (SIP), the American Indian Tribally Controlled Colleges and Universities (TCCUs), Alaska Native and Native Hawaiian serving (ANNH) institutions, Asian American and Native American Pacific Islander-serving Institutions (AANAPISI), Native American-Serving Nontribal Institutions (NASNTI) and Predominantly Black Institutions (PBIs). Part B includes the Historically Black Colleges and Universities (HBCUs) program and the Historically Black Graduate Institutions (HBGIs) program. Part A provides funds to eligible institutions to plan, develop, and implement activities for development of faculty, fund, and administrative management, and improvement of academic programs, acquisition of equipment for use in strengthening academic programs and institutional management, and joint use of facilities such as libraries, laboratories, and student services. Part B provides funds to undergraduate HBCUs and graduate HBGIs. Funds may be used for purchase, rental, or lease of scientific equipment; construction, maintenance, renovation, improvement in classroom, library and other instructional facilities; support of faculty exchanges and fellowships; academic instruction in disciplines in which Blacks are underrepresented, purchase of library books, periodicals, and other educational materials; tutoring, counseling, and student services; funds and administrative management; acquisition of equipment for use in funds management; endowment funds; and joint use of facilities. Title V, Part A, Developing Hispanic Serving Institutions (HSIs) program provides funds to eligible HSIs for activities such as: faculty development; funds and administrative management; development and improvement of academic programs; endowment funds; curriculum development; scientific or laboratory equipment for teaching; construction or renovation of instructional facilities; joint use of facilities; academic tutoring; counseling programs; student support services, purchase of educational materials; articulation agreements; creating facilities for distance learning technologies; teacher education programs; K-12 community outreach programs; and the expansion of graduate and professional programs. Title V, Part B: Promoting Postbaccalaureate Opportunities for Hispanic Americans program provides funds to eligible HSIs for activities such as: purchase or rental of scientific or laboratory equipment; construction or renovation of instructional facilities; purchase of educational materials; support for low-income postbaccalaureate students; support of academic instruction and faculty and curricular development; creating facilities for distance learning technologies; and collaboration with other institutions of higher education to expand postbaccalaureate offerings. Title III, Part F, Section 371 authorizes funds for Hispanic Serving Institutions STEM and Articulation Programs to support the kinds of activities being supported under the existing Title V program, except that priority is given for applications that propose to increase the number of Hispanic and other low income students attaining degrees in

fields of science, technology, engineering, and mathematics (STEM) and to applications that propose to develop model transfer and articulation agreements between the 2-year and 4-year HSIs in such fields. Funds provided for Title III and Title V may not be used for activities other than those in an approved application, activities that are inconsistent with any applicable State plan of higher education or State plan for desegregation, a school or department of divinity or any religious worship or sectarian activity; general operating and maintenance expenses; indirect costs; or supplanting of other funds available to the institution. These programs are subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 377-3838.

**Applicant Eligibility:**

An institution of higher education that qualifies as eligible using criteria as specified in the regulations. Under Part A, specific and basic requirements as stated in the program regulations must be met. Eligible applicants include institutions that have: (1) A low average per full-time equivalent (FTE) educational and general expenditures; (2) a substantial percentage of students having Pell Grants or other Federal need-based financial aid. However, a waiver of the low educational and general expenditure requirement and the needy student enrollment requirement may be granted to institutions meeting the criteria specified in the existing regulations. Under Part B HBCUs, historically Black institutions that were established prior to 1964, whose principal mission was, and is, the education of Black Americans are eligible. A listing of those institutions is published in program regulations; these HBCUs are also eligible under the Endowment Challenge Grant Program. Institutions eligible for PBI program grants are defined in Title III Section 318(b) of the HEA. Institutions eligible for HBGI program grants are specified in Title III Section 326(e)(1) of the HEA. Under the Title V programs, an HSI is defined as an institution that has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic.

**Beneficiary Eligibility:**

Applicant institutions of higher education, including those in the territories and possessions that meet statutory eligibility requirements will benefit.

**Credentials/Documentation:**

Institutions must document that they are accredited by a nationally recognized accrediting agency or that they are making satisfactory progress toward such accreditation. A 4-year institution must have authority to award a bachelor's degree. A two-year institution must offer a program acceptable for full credit towards a bachelor's degree, or a two year program in engineering, mathematics, or the physical or biological sciences designed to prepare the student to work as a technician at a semiprofessional level. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications for funding are available from the program office. Application deadlines are published in the Federal Register.

**Award Procedure:**

Title III Part A applicants in the SIP, ANNH, AANAPISI, and NASNTI programs and Title V applications are evaluated by external reviewers who are experts in postsecondary education. The Department makes final awards based primarily on the scores assigned to the applications by the external reviewers and the recommendations submitted by the staff of the Institutional Service, Office of Postsecondary Education.

Title III applicants in the TCCUs, PBIs, HBCUs, and HBGIs programs makes final awards based on a statutory formula.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately six months.

**Appeals:**

Not Applicable.

**Renewals:**

Under the SIP, priority is given to applicants who are not already receiving a grant. Institutions that received a 5-year individual development grant are not eligible to receive an additional grant until 2 years after the date on which the 5-year terminates. After fulfilling the wait-out requirement, institutions applying for another grant under the SIP must reapply for eligibility.

**Formula and Matching Requirements:**

Statutory Formula: Funds are allocated to TCCUs, PBIs, HBCUs, and HBGIs based on a statutory formula. Title III, Part A, Section 316(d); Title III, Part B, Sections 324 and 326(f).

Matching Requirements: Under the SIP, TCCUs, HBCUs, and HSIs, institutions of higher education may use no more than 20 percent of grant funds to establish or increase an institution's endowment fund. The endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar. Under the HBGIs program, eligible institutions that have project grants over \$1,000,000 must match the entire Federal share on a dollar-for-dollar basis. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Under the SIP, TCCUs, ANNH, AANAPISI and HSIs, planning grants are for a period of up to 1 year, individual development grants are for a period of 5 years. See the following for information on how assistance is awarded/released: This information is included in the award document.

**Reports:**

As required by the Special Grant Terms and Conditions. No cash reports are required. Progress reports are required. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to a Federal audit any time during the term of the grant and within a period of 3 years after the termination of Federal support.

**Records:**

Must be retained for 5 years after the end of the fiscal year during which the expenditures were made or until the grantee is notified that the records are no longer needed.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$10,801,000; FY 11 est \$9,601,758; and FY 12 est \$10,801,000 - Strengthening PBIs. (Project Grants) FY 10 \$60,169,000; FY 11 est \$56,820,252; and FY 12 est \$60,169,000 - Strengthening TCCUs. (Project Grants) FY 10 \$3,600,000; FY 11 est \$3,198,590; and FY 12 est \$3,600,000 - Strengthening NASNTI. (Project Grants) FY 10 \$84,000,000; FY 11 est \$83,832,000; and FY 12 est \$84,000,000 - Strengthening Institutions (Part A). (Project Grants) FY 10 \$117,429,000; FY 11 est \$104,394,792; and FY 12 est \$117,429,000 - Developing Hispanic-Serving Institutions. (Project Grants) FY 10 \$61,425,000; FY 11 est \$61,302,150; and FY 12 est \$61,425,000 - Strengthening HBGIs. (Project Grants) FY 10 \$28,412,122; FY 11 est \$30,084,000; and FY 12 est \$30,084,000 - Strengthening ANNH. (Project Grants) FY 10 \$9,503,000; FY 11 est \$9,483,994; and FY 12 est \$9,503,000 - Strengthening MSEIP. (Project Grants) FY 10 \$351,586,000; FY 11 est \$321,991,068; and FY 12 est \$351,586,000 - Strengthening HBCUs. (Project Grants) FY 10 \$22,000,000; FY 11 est \$20,836,290; and FY 12 est \$22,000,000

- PPOHA. (Project Grants) FY 10 \$0; FY 11 est \$100,000,000; and FY 12 est \$100,000,000 - HSI STEM. (Project Grants) FY 10 \$3,198,590; FY 11 est \$3,600,000; and FY 12 est \$3,600,000 - Strengthening AANAPISI.

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 607, 608, 609, 628, the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Leonard Haynes Department of Education, Office of Postsecondary Education, Office of Higher Education Programs, Institutional Service, 1990 K. St., N.W., Washington, District of Columbia 20006 Email: leonard.haynes@ed.gov Phone: (202) 502-7549

**Website Address:**

<http://www.ed.gov/about/offices/list/ope/idues>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(a) Under Title III and Title V, the Department appoints review panels to provide comments and recommend ratings for the applications. The reviewers numerically rate each application assigned and provide the Secretary with comments on each. Criteria are published in the Federal Register along with the point value for each criterion. (b) Under TCCUs, HBCUs, HBGIs, and PBIs, funds are allocated based on a statute-driven formula. For Strengthening TCCUs, applicants are limited to tribal colleges and universities, including institutions qualifying for funding under the Tribally Controlled College or University Assistance Act of 1978 or the Navajo Community College Assistance Act of 1978, or cited in section 532 of the Equity in Educational Land Grant Status Act of 1994. To be eligible to receive a grant under the Strengthening HBCUs program, an institution must be designated by the Secretary of Education as a Historically Black College or University. HBGIs receiving discretionary grants are specified in the program statute. To be eligible to receive a grant under the Strengthening PBIs program, an institution must have an enrollment of undergraduate students that is at least 40 percent Black American students; that is at least 1,000 undergraduate students of which not less than 50 percent of the undergraduate students enrolled at the institution are low-income individuals or first-generation college students (as that term is defined in Section 402A(g)); and of which not less than 50 percent of the undergraduate students are enrolled in an educational program leading to a bachelors or associates degree that the institution is licensed to award by the State in which the institution is located.

**84.032 FEDERAL FAMILY EDUCATION LOANS**

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part B.

**OBJECTIVES:**

To encourage lenders such as banks, credit unions, savings and loan associations, pension funds, insurance companies, and schools to make loans to vocational, undergraduate, and graduate students enrolled at eligible postsecondary institutions to help pay for educational expenses. The loans are insured by a State or private nonprofit guaranty agency and reinsured by the Federal government.

**TYPES OF ASSISTANCE:**

**GUARANTEED/INSURED LOANS**

**USES AND USE RESTRICTIONS:**

To help defray costs of education at a participating school. Repayment on Federal Stafford Loans begins six months after the student ceases to carry at least one-half the normal full-time academic workload. Repayment of principal and interest on PLUS Loans generally begins within 60 days of disbursement of the last installment; repayment of a Consolidation loan begins within 60 days after the proceeds of the loan have been used to discharge the liability of the borrower on the loans selected for consolidation. Deferments and forbearance of payment may be granted for certain authorized periods.

**Applicant Eligibility:**

The Student Aid and Fiscal Responsibility Act eliminated authorization for this program to originate new loans after June 30, 2011. Eligibility prior to that was as follows: Under the Federal Stafford Loan Program, any U.S. citizen, national, or person in the United States for other than a temporary purpose, who is enrolled or accepted for enrollment in a degree or certificate program on at least a half-time basis as an undergraduate, graduate, or professional student at a participating postsecondary school may apply. An otherwise eligible student is eligible for loans during a single 12-month period in which the student is enrolled in a non-degree/non-certificate course of study that the school has determined is necessary in order for the student to enroll in a program leading to a degree or certificate. Under the Federal PLUS Loan program, parents may borrow for dependent students, and beginning July 1, 2006, graduate students may borrow to support their own education. Under the Federal Unsubsidized Stafford Loan program, graduate or professional students, and independent undergraduate students may apply; under certain circumstances, a dependent undergraduate student may apply for an Federal Unsubsidized Stafford Loan. Students who are enrolled at an eligible institution on at least a half time basis in a program that is required by a State for elementary or secondary teacher certification are also eligible for Federal Family Education Loan Program (FFEL) aid (Stafford, Unsubsidized Stafford and PLUS). Under the Federal Consolidation Loan program, a borrower may have his or her Stafford, Unsubsidized Stafford, PLUS, Perkins (formerly NDSL), and Health Professions Student loans consolidated, provided that the borrower is in a grace period or repayment status on all loans being consolidated, or is a delinquent or defaulted borrower who will reenter repayment through consolidation, and does not have another application for a consolidation loan pending. Only U.S. citizens or nationals may receive a loan to attend eligible foreign postsecondary schools. A student presently enrolled at a participating institution must maintain satisfactory academic progress in the course of study he/she is pursuing. Also, the borrower may not owe a refund on any Title IV grant or be in default on any Title IV loan received for attendance at any school. The borrower must also file a statement of registration compliance (Selective Service). To receive a subsidized Stafford Loan, all borrowers must undergo a financial need analysis to determine eligibility for Federal interest and special allowance benefits. Unsubsidized Federal Stafford, PLUS, or Consolidation loans are non-need based programs. A Stafford Loan applicant who is an undergraduate student who attends a school that participates in the Pell Grant program must receive a determination of his or her Pell Grant eligibility or ineligibility before the school may certify an application for a loan. If the applicant is determined to be eligible for a Pell Grant, the applicant must apply for a Pell Grant for the enrollment period before the institution may certify an application for a FFEL loan. An Unsubsidized Stafford Loan applicant must also receive a determination of need for a loan under the Stafford Loan program and, if eligible, must apply for a Stafford Loan prior to the school's certification of the Unsubsidized Stafford Loan application.

**Beneficiary Eligibility:**

Generally, for the Federal Stafford Loan, Unsubsidized Stafford Loan, and PLUS Loan programs, any U.S. citizen, national, or person in the United States for other than a temporary purpose, who is enrolled or accepted for enrollment in a degree or certificate program on at least a half-time basis as an undergraduate, graduate, professional, or vocational student at a participating postsecondary school benefits. If a student is enrolled in a non-degree/noncertificate course of study, the student may be eligible for Stafford or Unsubsidized Stafford loans for one consecutive twelve-month period, if the school determines that the course of study is necessary in order for the student to enroll in a program leading to a degree or certificate. A student

enrolled on at least a half-time basis in a program required by a State for a professional credential or certificate for employment as a teacher in an elementary or secondary school located in that State is eligible to receive aid under the Stafford Loan, Unsubsidized Stafford Loan, and PLUS Loan programs. Consolidation Loan borrowers need not be enrolled in any school to be eligible.

**Credentials/Documentation:**

For the Federal Stafford Loan, Unsubsidized Stafford Loan, and PLUS Loan programs, the student will need certification of eligibility from the school, and may be required to supply documentation to verify the accuracy of data used in the Stafford Loan need analysis. 87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Information regarding application procedures may be obtained from lenders, schools, the Department of Education, States, or guaranty agencies. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for the Federal Stafford Loan, Unsubsidized Stafford Loan, and PLUS Loan programs are obtained from a participating lender, guaranty agency, or school. FFEL Consolidation Loan applications are obtained from lenders. The borrower completes his or her portion of a Stafford, Unsubsidized Stafford, or PLUS loan application and submits it to the school. The school must certify the student meets eligibility requirements for the loan, including a certification that the student is enrolled, or accepted for enrollment as at least a half-time student, and that the student is making satisfactory progress. The school must also certify the type and amount of loan the student is eligible to receive. The lender then completes its portion of the application and forwards it to the guarantor for commitment. In some States, the guarantor issues the notice of guarantee prior to sending the application to the lender.

**Award Procedure:**

If the lender agrees to make the loan, the application is forwarded to the guarantor for insurance. The lender disburses the proceeds of a Stafford, Unsubsidized Stafford, or PLUS loan to the school or, if the student is attending a foreign school, directly to the borrower. Consolidation Loan proceeds are disbursed directly to the holders of the loans selected for consolidation. In most cases, a loan must be disbursed in more than one installment over the length of the period of enrollment for which the loan was intended, based on a disbursement schedule provided to the lender by the school on behalf of the borrower. This multiple disbursement requirement does not apply to Consolidation Loans. The borrower is required to pay an insurance premium of one percent of the principal amount of a subsidized Stafford Loan, Unsubsidized Stafford Loan, or PLUS Loan. The charging of the insurance premium and the amount is determined by the guarantor. In addition, for a Stafford, Unsubsidized Stafford, or PLUS loan, the borrower is required to pay a three percent "origination fee" (on loans disbursed on or after July 1, 1994) which is used to help defray program costs. These origination fees are normally deducted proportionately from each disbursement of the loan proceeds. Under the Higher Education Reconciliation Act (HERA) of 2005, these fees were reduced to 2 percent on July 1, 2006; 1.5 percent on July 1, 2007; 1 percent on July 1, 2008; and 0.5 percent on July 1, 2009; or Stafford and unsubsidized Stafford. The fees were eliminated as of July 1, 2010. PLUS loans retain a 3 percent origination fee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Applicants may apply for a loan for any year of school. The College Cost Reduction and Access Act (CCRAA) of 2007 authorized phased reductions to the interest rates for Subsidized Stafford loans borrowed by undergraduates with the rate cut in half to 3.4 percent on July 1, 2011. Repayment generally is made over a period of 10 years for Federal Stafford, and PLUS Loans, excluding periods of authorized deferment and forbearance, but extended repayment plans are available. The repayment period for a Consolidation Loan depends on the amount of the loan and may be up to 30 years, exclusive of periods of authorized deferment and forbearance. CCRAA created a new income-based repayment plan for those borrowers meeting a standard of "partial financial hardship" based on their annual repayment amount in relation to their adjusted gross income. Generally a borrower would not have to repay on a monthly basis more than 15 percent of their discretionary income. Any outstanding balance would be forgiven after 25 years of repayment in the income-based repayment option. See the following for information on how assistance is awarded/released: Contact the program office for information.

**Reports:**

Lenders submit quarterly reports of loans outstanding in order to receive interest benefits and special allowance payments. Guaranty agencies submit reports in order to receive reinsurance and administrative payments. Additional operational reports are required for specific purposes. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Lenders, schools (except foreign schools), and guaranty agencies are subject to examination and program review by the Department of Education. Generally, program reviews are performed on a fiscal year basis. Participating schools must have an independent audit of all Stafford Loan Program transactions at least annually. Guaranty agencies must have independent financial and compliance audits annually. Guaranty agencies must conduct annual reviews of the ten largest loan volume lenders in their areas as well as schools with default rates above 20 percent that do not have a default management plan approved by the Secretary.

**Records:**

Lenders must maintain records to support and identify loan transactions, interest billings, and/or special allowance. Guaranty agencies must maintain complete records to support and identify their activities. Federal regulations specify administrative and fiscal records required to be maintained by schools.

**Account Identification:**

91-4251-0-1-502.

**Obligations:**

(Direct Loans) FY 10 \$19,618,000,000; FY 11 est \$0; and FY 12 est \$0 - FFEL Consolidation volume: FY 10 \$79,000,000; FY 11 \$0; FY 12 \$0.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 682.

**Regional or Local Office:**

See Regional Agency Offices. See list of Regional Offices listed in Appendix IV of the Catalog. Each State with an operating guaranty agency maintains an office in its respective State. A list of guaranty agency addresses is available from the address below.

**Headquarters Office:**

Federal Student Aid Information Center, Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of

Columbia 20202 Phone: (800) 433-3243.

**Website Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 84.007 Federal Supplemental Educational Opportunity Grants; 84.033 Federal Work-Study Program; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.033 FEDERAL WORK-STUDY PROGRAM**

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part C; 42 U.S.C. 2751-2756a.

**OBJECTIVES:**

To provide part-time employment to eligible postsecondary students to help meet educational expenses and encourage students receiving program assistance to participate in community service activities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The Federal share of compensation paid to students does not exceed 75 percent for work on campus, or work in a public agency or private nonprofit organization, unless waived by the Secretary. The Federal share of compensation paid to students does not exceed 50 percent for jobs with a private-for-profit organization. No more than 25 percent of an institution's work-study allocation may be used for private-for-profit organizations. If it provides FWS employment to its students in that year, an institution is entitled to an administrative cost allowance for an award year of 5 percent of the first \$2,750,000 of its program expenditures, plus up to 4 percent for expenditures greater than \$2,750,000 but less than \$5,500,000, plus up to 3 percent of expenditures in excess of \$5,500,000. An institution is required to use at least 5 percent of its total FWS allocation to pay the Federal share of wages to students employed in community service jobs unless it receives a waiver.

**Applicant Eligibility:**

Higher education institutions (public, private nonprofit, postsecondary vocational, and proprietary) meeting eligibility requirements may apply.

**Beneficiary Eligibility:**

Undergraduate, graduate, or professional students enrolled or accepted for enrollment as regular students; are maintaining satisfactory academic progress in accordance with the standards and practices of the institution; have financial need; do not owe a refund on a Title IV grant; are not in default on a Title IV loan; file a statement of educational purpose; file a statement of registration compliance (Selective Service); and meet citizen/resident requirements may benefit.

**Credentials/Documentation:**

Institutions must document their eligibility and students must demonstrate financial need. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Representatives of the appropriate ED Regional Office are available for consultation. See listing of ED Regional Offices in Appendix IV of the Catalog. Students should contact the institution(s) they attend or plan to attend. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Participating institutions submit a Fiscal Operations Report/Application to Participate in Federal Student Financial Aid programs (ED Form 646-1) which is mailed to institutions of postsecondary education each summer by the Office of Federal Student Aid. New institutions submit only the application form.

**Award Procedure:**

The Office of Student Financial Aid determines final awards and notifies participating institutions. Postsecondary institutions determine individual student awards.

**Deadlines:**

Oct 01, 2011: Deadlines are specified on the application (usually October 1).

**Range of Approval/Disapproval Time:**

Notices of tentative awards sent by February 1 and final award notifications sent by April 1.

**Appeals:**

Not Applicable.

**Renewals:**

Annual.

**Formula and Matching Requirements:**

Statutory Formula: Title IV, Part C.

Matching Requirements: Under the funding formula, funds are distributed to institutions, first, on the basis of the institution's base guarantee plus the pro rata share received during the 1999-2000 award year under the FWS Program and, then, on the basis of the aggregate need of the eligible students in attendance. Employers of FWS recipients must contribute 25 percent of the funding, (except in the case of private, for-profit organizations, which must match 50 percent) and in the case of established criteria for which the matching requirement is waived.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are awarded for use by participating institutions for one award year at a time following the year of application. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (DE 646-1) is submitted by each institution at the close of each award year (June 30). Cash reports are not applicable. Progress reports are not applicable. A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (DE 646-1) is submitted by each institution at the close of each award year (June 30). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions must have a nonfederal audit done on at least an annual basis at its own expense. Audits may also be performed at Government expense by the Department of Education's Office of the Inspector General as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:**

All records pertaining to activities of a given fiscal year must be retained for a period of 3 years following the institution's submission of its Fiscal Operations Report for an award year or until final resolution of an applicable audit, whichever is later.

**Account Identification:**

91-0199-0-1-502; 91-0200-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$980,492,000; FY 11 est \$978,531,016; and FY 12 est \$980,492,000

**Range and Average of Financial Assistance:**

The average award in FY 2010 was \$1,642. The average award in FY 2011 is estimated at \$1,642.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Institutions are estimated to award \$1,170,845 to approximately 713,060 recipients. Fiscal Year 2011: Institutions are estimated to award \$1,168,428,000 to approximately 711,588 recipients. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 675. Notification to Members of Congress, list of grantees, published annually or as required, no charge; Student Guide, no charge; Student Financial Aid Handbook, no charge; Federal Needs Analysis Methodology, no charge; Verification Handbook, no charge; Training Materials, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Students should contact the educational institution(s) they attend or plan to attend. Public and private nonprofit organizations should contact grantee educational institutions in their own State or multi-State areas. Educational institutions should contact the Regional Administrator for Student Financial Assistance in the appropriate ED Regional Office (see Appendix IV of the Catalog).

**Headquarters Office:**

Federal Student Aid Information Center, Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243.

**Website Address:**

<http://www.ifap.ed.gov>; [www.studentaid.ed.gov](http://www.studentaid.ed.gov)

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.031 Higher Education Institutional Aid; 84.032 Federal Family Education Loans; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.037 PERKINS LOAN CANCELLATIONS**

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended,, Title IV, Part E.

**OBJECTIVES:**

To reimburse institutions for their share of loans canceled for Perkins Loan recipients who enter certain fields of public service and to restore to institutional revolving funds the full amounts of Direct and Federal Perkins Loans canceled for certain types of teaching service, Head Start service, military service in areas of hostility, law enforcement or corrections officer service, service as a nurse or medical technician, service to certain types of high risk children, and volunteer service.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

To reimburse institutions for their share of loans canceled for Perkins Loan recipients.

**Applicant Eligibility:**

Higher education institutions (public, other nonprofit, postsecondary vocational and proprietary) meeting the eligibility requirements may apply.

**Beneficiary Eligibility:**

For Federal Perkins and National Direct Loan borrowers with loans made on or after July 23, 1992, and for Federal Perkins National Direct and Defense loan borrowers with an outstanding balance as of October 7, 1998, on loans made before 7/23/92. Loan cancellation is available for service as a full-time teacher in a designated elementary or secondary school having a high enrollment of children from low-income families; as a full-time staff member in a Head Start Program; as a member of the Armed Forces (in an area of hostilities); as a volunteer in the Peace Corps or ACTION programs as a full-time law enforcement officer or corrections officer serving local, State, or Federal agencies; as a full-time special education teacher, including teachers of infants, toddlers, children, or youth with disabilities in a public or other nonprofit elementary or secondary school system, or as a full-time qualified professional provider of early intervention services in a public or other nonprofit program under public supervision; as a full-time teacher of mathematics, science, foreign languages, bilingual education, or any other field of expertise that is determined by the State education agency to have a shortage of qualified teachers; as a full-time nurse or medical technician; or as a full-time employee of a public or private nonprofit child or family service agency that is providing or supervising the provision of services to high risk children and their families from low-income communities. Cancellation provisions are different for loans made before July 23, 1992.

**Credentials/Documentation:**

Cancellation certificates require documenting public service. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In case of loans canceled under provisions of the National Defense Education Act, the institution receives funds from the Department of Education equal to the institutional contribution of the amounts canceled; for loans canceled pursuant to Title IV, Part E, of the Higher Education Act, the institution receives funds from the Department of Education to restore the full amount canceled. No application form is required.

**Award Procedure:**

Reimbursements are made annually upon acceptance of the institution's Fiscal Operations Report.

**Deadlines:**

Oct 01, 2011 Deadlines are specified on application notices (usually October 1).

**Range of Approval/Disapproval Time:**

Reimbursements are made upon acceptance of the Fiscal Operations Reports.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title IV.

Matching Requirements: Under the National Defense Education Act, as amended, payments are based on ratio of institutional matching monies to total loan amount. The payment replaces institutional funds (not less than one-tenth of loan) which were canceled for teaching and/or military service. For loans canceled pursuant to the Higher Education Act, the full amount canceled for teaching, Head Start, military, volunteer, law enforcement or corrections officer, nurse or medical technician, and child or family service agency is restored to the fund at the institution.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Reimbursement takes place upon acceptance of an annual Fiscal Operations Report. See the following for information on how assistance is awarded/released: Contact the program office for this information.

**Reports:**

A Fiscal Operations Report is submitted by each institution at the close of each award year (June 30). No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Institutions must have a nonfederal audit done on at least an annual basis at its own expense. Audits may also be performed at Government expense by the Department of Education's Office of the Inspector General as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:**

Records pertaining to the eligibility and repayment history of each loan recipient must be retained by the institutions for three years after the final repayment or cancellation occurs or until the loan is assigned. An institution must keep other records for a period of three years following the institution's submission of its Fiscal Operations Report for an award year or until final resolution of an applicable audit, whichever is later.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - No additional obligations expected for FY 2011 and 2012.

**Range and Average of Financial Assistance:**

Not Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 674; Student Guide, no charge; Student Financial Aid Handbook, no charge; notification to Members of Congress, list of grantees published annually or as required, no charge; Federal Needs Analysis Methodology Booklet, no charge; Verification Handbook, no charge; training materials, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator for Student Financial Assistance in the appropriate Regional Office. See Appendix IV of the Catalog.

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243

**Website Address:**

<http://www.ifap.ed.gov>; [www.studentaid.gov](http://www.studentaid.gov)

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 84.007 Federal Supplemental Educational Opportunity Grants; 84.031 Higher Education Institutional Aid; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.040 IMPACT AID\_FACILITIES MAINTENANCE****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title VIII, Section 8008.

**OBJECTIVES:**

To maintain school facilities used to serve federally connected military dependent students that are owned by the Department of Education and operated by local educational agencies (LEAs), and to transfer those facilities to the LEAs, where appropriate.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To maintain federally owned school facilities and restore or improve them where appropriate to enable an LEA to accept ownership. The Department directly oversees construction projects, unless the LEA has agreed to accept transfer of the facility, in which case funds may be provided to the LEA to complete the project after the transfer.

**Applicant Eligibility:**

LEAs that operate school facilities owned by the Department of Education.

**Beneficiary Eligibility:**

Public elementary and secondary school children benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. There is no application form for Section 8008 grants. Contact the program office for information.

**Award Procedure:**

The Department of Education makes final decisions to fund projects.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Contact the program office for this information.

**Appeals:**

Not Applicable.

**Renewals:**

Approved construction projects may be revised during construction, subject to appropriate approvals.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length and terms of an award will be established prior to the award. See the following for information on how assistance is awarded/released: This information is included in the award document.

**Reports:**

In accordance with OMB Circular No. A-102 (Attachments H and I) and Education Department General Administrative Regulations (EDGAR) for direct project grant and contract programs, Part 100a, Subpart F. See 34 CFR 74, Subpart H, Standards for Grantees Financial Management Systems. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal



awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with OMB Circular No. A-102 (Attachment C) and Education Department General Administrative Regulations, for direct project grant and contract programs, Part 100a, Subpart F. See 34 CFR 74, Subpart H, Standards for Grantees Financial Management Systems.

**Account Identification:**

91-0102-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$4,864,000; FY 11 est \$4,854,272; and FY 12 est \$4,864,000

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published at 34 CFR 222.

**Regional or Local Office:**

None.

**Headquarters Office:**

Alfred Lott Department of Education, OESE Impact Aid Programs, 400 Maryland Ave., S.W., Rn, 3/e105, Washington, District of Columbia 20202  
Email: impact.aid@ed.gov Phone: (202) 260-3858

**Website Address:**

<http://www.ed.gov/about/offices/list/oese/impactaid/index.html>

**RELATED PROGRAMS:**

84.041 Impact Aid

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Emergency repairs are funded as needed. Priority for more extensive projects is given to LEAs that agree to accept transfer of the school facility.

**84.041 IMPACT AID**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (OESE), as amended, Title VIII.

**OBJECTIVES:**

To provide financial assistance to local educational agencies (LEAs) where affected by Federal activities, i.e., where the tax base of a district is reduced through the Federal acquisition of real property (Section 8002, ESEA), and where the presence of certain children living on Federal property places a financial burden on the LEAs that educate them (Sections 8003 and 8007, ESEA).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Under formula awards, most assistance becomes part of the general operating fund of the LEAs. Districts usually deposit the Federal payment in the general operating funds account in accordance with State laws, together with all State and local funds available for current operating expenses and use this combined account to finance the school program in the district. Special additional payments made to LEAs related to enrollments of federally connected children with disabilities must be used for programs and projects designed to meet the special educational and related needs of these children. Payments for construction may be used for construction and renovation, debt service, or other

capital fund activities. Under discretionary construction awards, funds must be used for the project grant described in the application and grant award notification. The discretionary construction grant program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Local educational agencies that provide free public elementary or secondary education may apply. Under Section 8002, generally, assistance is provided to districts where an aggregate of 10 percent or more of the assessed valuation of all real property in the school district as of the time(s) of acquisition has been acquired by the Federal Government since 1938 and the district is not being substantially compensated by revenue from activities on the eligible Federal property. Under Section 8003, assistance is provided to districts where at least three percent or 400 of the total number of eligible federally connected children in average daily attendance (ADA) live on Federal property including Indian lands and/or have a parent who works on Federal property or is on active duty in the uniformed services. Under Section 8007(b), "heavily impacted" LEAs that enroll a high proportion (at least 40 percent) of federally connected children, or have little or no funding capacity, may be eligible for a competitive construction award.

**Beneficiary Eligibility:**

Public elementary and secondary school children benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted to the Secretary of Education and a copy is sent to the State educational agency (SEA). Applications become available on the Department's e-Grants web site annually, typically in mid November. Applications must show the membership of federally connected children on the survey date chosen by the school district within the period prescribed by the Secretary.

**Award Procedure:**

Funds are generally made available when an appropriation is made.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact the Program Office for this information.

**Appeals:**

An administrative law hearing is available for any LEA or State adversely affected by any action of the Secretary. The hearing must be requested under the time frame included under the program regulations.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title VIII, Sections 8002, 8003, and 8007(a).  
Matching Requirements: Under Section 8002, payments are determined under a statutory formula that considers the assessed valuation of the property acquired by the Federal government and the LEA's local tax rate for current expenditures. Under Section 8003, payments are determined under a statutory formula that considers the average daily attendance of federally connected students for the previous year, the per-pupil expenditure average from the third preceding year, the weight in the statute attached to certain categories of federally connected students, the total current expenditures of the LEA, and the total membership of the LEA. Under Section 8007(a), payments are determined

under a statutory formula that considers the average daily attendance of children living on Indian lands and dependents of the military living on and off base. Under Section 8007(b), payments are awarded on a competitive basis to certain eligible LEAs that receive Impact Aid.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments are made annually to eligible LEAs. See the following for information on how assistance is awarded/released: This information is included in award documents.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The program staff conducts mail-in or on-site reviews to verify application data and collect additional required information.

**Records:**

In accordance with the General Education Provision Act and program regulations, an LEA generally must retain records supporting its payment amount for 3 years after the last payment for a fiscal year.

**Account Identification:**

91-0102-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$1,204,111,000; FY 11 est \$1,201,702,778; and FY 12 est \$1,186,602 - This is specific to Section 8003 & 8007(a). (Formula Grants) FY 10 \$67,208,000; FY 11 est \$67,073,584; and FY 12 est \$67,208,000 - This is specific to Section 8002, Federal Property Payments. (Project Grants (Discretionary)) FY 10 \$0; FY 11 est \$0; and FY 12 est \$17,509,000 - This is specific to Section 8007(b).

**Range and Average of Financial Assistance:**

For FY 2012, the estimated range of awards for Basic Support payments is expected to be between \$300-\$53,000,000 with an average award of \$946,000; for Payments for Children With Disabilities, the estimated range of awards is expected to be between \$530-\$1,400,000 with an average award of \$54,000; for Payments for Federal Property, the estimated range of payments is expected to be \$150-\$5,500,000 with an average award of \$320,000. For Impact Aid Construction, the estimated range of payments is expected to be \$50,000-\$5,000,000 with an average award of approximately \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Payments made to over 1,130 applicants. Fiscal Year 2012: est. 1,400 applicants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are included in 34 CFR 222.

**Regional or Local Office:**

None.

**Headquarters Office:**

Alfred Lott Department of Education, OESE Impact Aid Programs, 400 Maryland Ave., SW, Rm. 3E105, Washington, District of Columbia 20202  
Email: impact.aid@ed.gov Phone: (202) 260-3858

**Website Address:**

<http://www.ed.gov/about/offices/list/oese/impactaid/index.html>

**RELATED PROGRAMS:**

84.040 Impact Aid\_Facilities Maintenance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Payments are computed on the basis of the statutory formula. Payments are prorated if appropriations are insufficient.

**84.042 TRIO STUDENT SUPPORT SERVICES**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402D.

**OBJECTIVES:**

To provide supportive services to disadvantaged college students to enhance their potential for successfully completing the postsecondary education program in which they are enrolled and increase their transfer rates from 2-year to 4-year institutions. To foster an institutional climate supportive of the success of disadvantaged college students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All projects must provide academic tutoring, advice on postsecondary course selection, financial aid counseling, services to improve financial and economic literacy, assistance in applying for graduate and professional programs, and activities to help students in 2-year institutions enroll in 4-year programs. Projects may also provide personal and career counseling; exposure to cultural events; mentoring; services to secure temporary housing during academic breaks for students who are homeless; activities for students with disabilities or limited English proficiency, homeless students, and students in foster care; and grant aid (not to exceed 20 percent of a project's funds).

**Applicant Eligibility:**

Institutions of higher education and combinations of institutions of higher education may apply.

**Beneficiary Eligibility:**

Low-income, first generation college students or disabled students who are enrolled or accepted for enrollment at the institution that is the recipient of the grant and who are in need of academic support in order to successfully pursue a program of postsecondary education. At least two-thirds of the project participants must be disabled or must be low-income individuals who are first generation college students. The remaining participants must be disabled, low-income individuals, or first generation college students. One-third of the disabled participants must be low-income. Required low-income criteria for participants are stated in application materials.

**Credentials/Documentation:**

Costs will be determined in accordance with Education Department General Administrative Regulations (EDGAR). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with regulations, applications, and timetables issued by the Secretary of Education; no State Plan is required. Requests for program applications should be made to the Office of Federal TRIO Programs, College and University Support Team. This program is subject to the provisions of EDGAR.

**Award Procedure:**

Selected nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 646.21 and 646.22. Grants are awarded through the Federal TRIO Programs office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

Yes. The program statute authorizes a second review of unsuccessful applications. The Department implements the second review process in accordance with the process specified in 34 CFR 646.24. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

The grant period is 5 years. Continuation awards for up to five years are approved on an annual basis; subject to the availability of funds and evidence that the grantee is meeting the conditions of the grant and making substantial progress towards meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Any grantee that uses funds for student grant aid must match the funds, in cash, from non-Federal funds, in an amount that is not less than 33 percent of the total amount of student grant aid funds, unless the grantee is eligible for a waiver to the match.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five year projects, with annual continuation awards. Continuation awards are subject to the availability of funds and satisfactory progress by the grantee. See the following for information on how assistance is awarded/released: Contact the program office.

**Reports:**

Performance reports are required on an annual basis. No cash reports are required. Progress reports are required for a project in its first year of funding. Staff monitor grant drawdown using agency financial reports. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with Education Department General Administrative Regulations, 34 CFR 75.702 and 74.61.

**Records:**

In accordance with Education Department General Administrative Regulations, 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$302,453,000; FY 11 est \$291,455,000; and FY 12 est \$300,642,000

**Range and Average of Financial Assistance:**

Awards in 2010 ranged from \$60,000 to \$1.4 million; the average award was approximately \$293,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department made 957 new awards totaling approximately \$275.8 million, and 77 NCC awards totaling approximately \$26.7 million. Fiscal Year 2011: The Department plans to make 65 new awards totaling \$21.3 million, and 964 NCC awards totaling \$270.2 million. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations, 34 CFR 646 and Education Department General Administrative Regulations (EDGAR).

**Regional or Local Office:**

None.

**Headquarters Office:**

Deborah Walsh, Department of Education, Office of Postsecondary Education, Federal TRIO Programs, 1990 K St, NW, 7th Floor, Washington, District of Columbia 20006-8510 Email: deborah.walsh@ed.gov Phone: (202) 502-7694.

**Website Address:**

<http://www.ed.gov/programs/triostudsupp/>.

**RELATED PROGRAMS:**

84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.103 TRIO Staff Training Program; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Continuation awards are made on the basis of 34 CFR 75.253. For new awards, applicants will be selected under this part on the basis of the criteria set forth in 34 CFR 646.21. Contact the program office for additional information.

**84.044 TRIO\_TALENT SEARCH****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402B, 20 U.S.C 1070a-12.

**OBJECTIVES:**

To identify qualified disadvantaged youths with potential for postsecondary education; to encourage them in completing secondary school and enrolling in programs of postsecondary education; to publicize the availability of, and facilitate the application for, student financial aid; and to increase the number of secondary and postsecondary school dropouts who reenter and complete an educational program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to institutions of higher education, public and private agencies and organizations, combinations of such entities, and secondary schools, to identify qualified disadvantaged youths with potential for postsecondary education, encourage them to complete secondary school and undertake postsecondary educational training, and publicize existing forms of student aid. Projects must provide connections to academic tutoring services, advice on and assistance in selecting secondary and college courses, assistance in preparing for college entrance exams and in completing college applications, information on student financial aid and assistance in completing financial aid applications, connections to services designed to improve financial and economic literacy, and guidance and assistance in re-entering and completing secondary school. Projects may also provide academic tutoring personal and career counseling; information on career options, exposure to college campuses, workshops and counseling for families of students served, mentoring programs involving school teachers and counselors; and services specially designed for students with disabilities or limited English proficiency, homeless children and youth, and students in foster care. A grantee may not use the project as a part of its recruitment program.

**Applicant Eligibility:**

Institutions of higher education (IHEs), public and private agencies and organizations including community-based organizations with experience in serving disadvantaged youth, combinations of such institutions, agencies and organizations, and as appropriate to the purposes of the program, secondary schools.

**Beneficiary Eligibility:**

Individuals residing in the target area or attending a target school who have potential for education at the postsecondary level and who can benefit from one or more of the services provided by the project. Two-thirds must be low-income individuals who are also potential first generation college students. Project participants must be between 11 and 27 years old (exceptions allowed). Required low-income criteria for participants are stated in application materials.

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). OMB Circular No. A-21 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with regulations, applications, and timetables issued by the Secretary of Education; no State plan is required. Requests for program applications should be made to the Federal TRIO Programs. This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 643.21 and 34 CFR 643.22. New regulations are being developed. Consult the program office for details. Grantees will be selected on the basis of satisfactory proposals and availability of funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department implements the second review process in accordance with the process specified in 34 CFR 643.24. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

Awards are for five year project periods. Continuation awards are approved on an annual basis, subject to the availability of funds and the grantee meeting the conditions of the grant and making substantial progress toward meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The statute establishes a minimum grant amount.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five year projects, annual awards. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit an annual performance report. No cash reports are required. Progress reports (form ED 524B) are required for a project in its first year of funding. Staff monitor grantees' drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR (74.26, 75.702, 75.910, 74.61.)

**Records:**

In accordance with EDGAR 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$141,647,000; FY 11 est \$138,739,000; and FY 12 est \$142,125,000

**Range and Average of Financial Assistance:**

Varies by competition. In FY 10, awards ranged from approximately \$172,000 to \$681,000; the average award was approximately \$306,000. The statutory minimum is \$200,000, unless the applicant requests a smaller amount.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department made NCC awards to 463 grantees. Fiscal Year 2011: The Department plans to award approximately \$121 million in new awards to approximately 409 grantees and \$18 million in NCC awards to 55 grantees. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 34 Code of Federal Regulations Part 643

Education Department General Administrative Regulations (EDGAR), 34 CFR Parts 74, 75, 77, 79, 82, 84, 85, and 86.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Loretta Brown, Student Service Division, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, 7th Floor, Washington, District of Columbia 20006-8510 Email: loretta.brown@ed.gov Phone: (202) 502-7539.

**Website Address:**

<http://www.ed.gov/programs/trioalent/>

**RELATED PROGRAMS:**

84.042 TRIO\_Student Support Services; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.103 TRIO\_Staff Training Program; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards, the Department will select applicants under the criteria set forth in 643.21 of the program regulations. Contact the program office for additional information.

**84.047 TRIO\_UPWARD BOUND****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Subpart 2, Title IV, Part A, Section 402C, 20 U.S.C 1070a-13.

**OBJECTIVES:**

To generate skills and motivation necessary for success in education beyond high school among low-income and potential first-generation college students and veterans. The goal of the program is to increase the academic performance and motivational levels of eligible enrollees so that such persons may complete secondary school and successfully pursue and complete a postsecondary

educational program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects must provide academic tutoring services, advice on and assistance in selecting secondary and college courses, assistance in preparing for college entrance exams and in completing college applications, information on student financial aid and assistance in completing financial aid applications, services designed to improve financial and economic literacy, and guidance and assistance in re-entering and completing secondary school. Projects may also provide exposure to cultural events, academic programs and other activities not usually available to disadvantaged youth; personal and career counseling; information on career options; summer college campus residential programs; services specially designed for students with disabilities or limited English proficiency, homeless children and youth, and students in foster care; and to pay stipends to students, not to exceed \$40 a month during the academic year and \$60 a month during the summer. A grantee may not use the project as part of its recruitment program. Separate projects provide special services for veterans and for students with a special interest in math and science.

**Applicant Eligibility:**

Institutions of higher education, public and private agencies and organizations including community-based organizations with experience in serving disadvantaged youth, combinations of such institutions, agencies and organizations, and as appropriate to the purposes of the program, secondary schools.

**Beneficiary Eligibility:**

Low-income individuals and potential first generation college students who have a need for academic support in order to successfully pursue a program of postsecondary education. Two-thirds of the participants must be low-income individuals who are also potential first generation college students. The remaining one-third must be either low-income, first-generation college students, or students who have a high risk for academic failure. Required low-income criteria are stated in application materials. Except for veterans, who can be served regardless of age, project participants must be between 13 and 19 years old and have completed the eighth grade but have not entered the twelfth grade (exceptions allowed).

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). OMB Circular No. A-21 applies to this program. OMB Circular No. A-122 applies to this program (non-profit organization). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with regulations, application and timetables issued by the Secretary of Education. No State plan is required. Requests for program applications should be made to the Federal TRIO Programs, College and University Preparation and Support Team. This program is subject to the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected nonfederal field readers who are not employees of the Federal Government evaluate new proposals on the basis of the selection criteria specified in 34 CFR 645.31 and 34 CFR 645.32. Grantees will be selected on the basis of rank order of total scores and availability of funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department is developing regulations to implement a second review process for unsuccessful applicants. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

Continuation awards for up to 5 years approved on an annual basis; subject to the availability of funds and the grantee is meeting the conditions of the grant and making substantial progress toward meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The statute establishes a minimum grant amount.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five year projects; annual awards. See the following for information on how assistance is awarded/released: Contact the program office for the information.

**Reports:**

Performance reports are required on an annual basis. No cash reports are required. Progress reports are required for a project in its first year of funding. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR 75.702, 74.61.

**Records:**

In accordance with (EDGAR) 34 CFR 75.730, 75.731, and 75.732 and 34 CFR 645.43(c).

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$362,600,000; FY 11 est \$353,555,000; and FY 12 est \$373,484,000

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department made 4 new awards totaling \$1.3 million and 1,129 awards totaling approximately \$361.3 million. Fiscal Year 2011: The Department plans to make approximately 1,034 NCC awards totaling approximately \$353.6 million. Fiscal Year 2012: The Department plans to make approximately 1,078 new awards totaling approximately \$344.7 million and 181 NCC awards totaling approximately \$28.8 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and regulations 34 CFR 645.

**Regional or Local Office:**

See Regional Agency Offices. Department of Education regional offices. See Appendix IV in the Catalog.

**Headquarters Office:**

Gaby Watts, Federal TRIO Programs, Office of Postsecondary Education, Department of Education, 1990 K St., NW, 7th Floor, Washington, District of

Columbia 20006-8510 Email: gaby.watts@ed.gov Phone: (202) 502-7545.

**Website Address:**

http://www.ed.gov/programs/trioupbound/.

**RELATED PROGRAMS:**

84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.066 TRIO\_Educational Opportunity Centers; 84.103 TRIO Staff Training Program; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards, applicants will be selected on the basis of the criteria set forth in 34 CFR 645.31. Contact the program office for additional information.

**84.048 CAREER AND TECHNICAL EDUCATION -- BASIC GRANTS TO STATES**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV), Title I, 20 U.S.C 2321.

**OBJECTIVES:**

To develop more fully the academic, career, and technical skills of secondary and postsecondary students who elect to enroll in career and technical education programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used by eligible agencies and their eligible recipients (local subgrantees), in accordance with Perkins IV, to provide career and technical education. Each State must distribute at least 85 percent of its award to local agencies to fund secondary and postsecondary institutions that provide career and technical education services, from which the State may choose to award an amount equivalent to 10 percent of its award to make awards to local agencies in rural areas, areas with high percentages of career and technical education students, and areas with high numbers of career and technical education students. Each State may keep up to 5 percent (or \$250,000, whichever is greater) of its award for State administration and up to 10 percent of its award to fund leadership activities (and from that amount, it must reserve an amount equivalent to 1 percent of its award to assist individuals in State institutions and between \$60,000 and \$150,000 to fund services to prepare individuals for non-traditional fields). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, which is referenced under 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

The Department of Education makes formula grants to State boards for career and technical education. Eligible recipients for subgrants are local educational agencies and postsecondary institutions.

**Beneficiary Eligibility:**

A wide range of individuals pursuing career and technical education and training will benefit.

**Credentials/Documentation:**

The establishment of a State Board for Career and Technical Education is required. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A 5-year State plan for career and technical education must be prepared. State plans are subject to public hearings. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should

consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible agencies submit 5-year State plans for career and technical education, and annual revisions, to the Department pursuant to section 122 of Perkins IV. However, the outlying areas, except for Palau, are eligible to submit an application for Perkins IV funding under the Consolidated Grants to Insular Areas Program. See CFDA 84.403. Eligible recipients submit local plans to the eligible agency in their States pursuant to section 134 of Perkins IV.

**Award Procedure:**

Once the Secretary approves an eligible agency's 5-year State plan or annual revisions, the Department forwards the grant award to the State official designated by the eligible agency and notifies the State director for CTE.

**Deadlines:**

Mar 30, 2010 The submission date for State plan or annual revisions is generally set in late March or early April in guidance issued annually by the Department.

**Range of Approval/Disapproval Time:**

Within 90 days.

**Appeals:**

The Secretary shall not finally disapprove a State plan, except after giving the eligible agency notice and opportunity for a hearing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Sec. 111 of the Carl D. Perkins Career and Technical Education Act of 2006. The funding formula is based on State per-capita income and population in three age cohorts (15-19,20-24, and 25-65). The formula provides for a minimum State allocation, and a "hold-harmless" provision in the formula ensures that no State's share of the appropriation is less than its share of the fiscal year 1998 appropriation. A special provision limits the increase a State with an initial allocation of the 0.5 percent minimum may receive, resulting in a number of States that receive an allocation of less than 0.5 percent of the total. If appropriations result in the amount of funds for allocation to States exceeding the amount of funds allocated to States from the FY 2006 appropriation, up to one-third of the additional funds are allotted to States with FY 2006 grants that are less than the minimum 0.5 percent grant amount and the remainder flows to the other States. In addition, the Pacific territories receive 0.13 percent of the total appropriated for State Grants to operate the same kinds of career and technical education programs as the States. Also, 1.25 percent of the total appropriation for State Grants is set aside for grants to federally recognized Indian tribes and tribal organizations, and 0.25 percent is set aside for competitive grants to organizations that primarily serve and represent Native Hawaiians. The Bureau of the Census supplies the population data; the Department of Labor supplies the per-capita income data. Matching Requirements: Section 102 of the Perkins Acts requires 50/50 matching for State administration. No match is required for American Samoa, the Northern Mariana Islands, the Virgin Islands, Guam, or the Republic of Palau.

Section 311(b) of the Perkins Act describes maintenance-of-effort requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, annual grants to eligible agencies are made from July 1 to September 30 of the following year. In addition, funds remain available to the eligible agencies for an additional fiscal year for obligation and expenditure under section 421(b) of the General Education Provisions Act, as amended (GEPA). Contact the headquarters office for information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: States draw funds as needed under the Electronic Funds Transfer System.

**Reports:**

OVAE's Consolidated Annual Report (CAR) for Perkins IV requires annual financial status reports, performance data reports, and program narrative reports. Eligible agencies must also submit Office for Civil Rights Compliance Reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State-administered programs (34 CFR 76.730-76.731). Generally, the eligible agency and its subgrantees must retain records related to grant funds and compliance for a period of 3 years from the date the grantee or subgrantee submits its final expenditure report for that funding period. 34 CFR 80.42. Also, all records supporting claims for Federal funds or relating the the accountability of the grantee for the expenditure of such funds must be accessible for administrative review. See also section 443 of GEPA.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$1,141,988,000; FY 11 est \$1,105,434,533; and FY 12 est \$983,700

**Range and Average of Financial Assistance:**

The range or awards in FY 2011 was \$577,254 to \$119,242,094, including the 50 States, the District of Columbia, Puerto Rico, and the Virgin Islands.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Provided funding to 53 states and to outlying areas. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 34 CFR 400 and 403; Education Department General Administrative Records (EDGAR) at 34 CFR Parts 74, 76-77, 79, 80-82, 84-86, and 97-99, 74, 76 (except 76.103), 77, 79, 80, 81, 82, and 85; OCR Guidelines for Vocational Education.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon Lee Miller, Department of Education, OVAE Division of High School, Postsecondary and Career Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: sharon.miller@ed.gov Phone: (202) 245-7846.

**Website Address:**

<http://www.ed.gov/about/offices/list/ovae/pi/cte/index.html>.

**RELATED PROGRAMS:**

17.201 Registered Apprenticeship and Other Training; 23.002 Appalachian Area Development; 84.002 Adult Education - Basic Grants to States; 84.051 Career and Technical Education -- National Programs; 84.101 Career and Technical Education - Indian Set-aside; 84.243 Tech-Prep Education; 84.245 Tribally Controlled Postsecondary Career and Technical Institutions ; 84.259 Native Hawaiian Career and Technical Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Eligible agencies qualify for funding based upon their State plans and annual revisions approved under Perkins IV, section 122.

**84.051 CAREER AND TECHNICAL EDUCATION -- NATIONAL PROGRAMS****FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Section 114 of the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV), 20 U.S.C 2324.

**OBJECTIVES:**

To provide support, directly or through grants, contracts or cooperative agreements, for research, development, demonstration, dissemination, evaluation, assessment, capacity building, and technical assistance activities aimed at improving the quality and effectiveness of career and technical education programs authorized under the Perkins Act.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards are made to support activities designed to improve career and technical education. Announcements of grant competitions are published in the Federal Register. Contract competitions are announced in the FedBizOps.

**Applicant Eligibility:**

Depending on the activity to be funded, eligible applicants include institutions of higher education or consortia of institutions of higher education, public or private nonprofit organizations, or consortia thereof, and State boards designated as the sole State agencies for the administration of State career and technical education (CTE), or consortia thereof.

**Beneficiary Eligibility:**

CTE sole State agencies; local educational agencies; CTE providers, CTE students; and the general public.

**Credentials/Documentation:**

Signature by authorized designated officials on the grant application or contract proposal. For State agencies, allowability of costs is determined in accordance with OMB Circular No. A-87 "Cost Principles for State, Local and Indian Tribal Governments"; For costs incurred by non-profit organizations allowability is determined in accordance with OMB Circular A-122, "Cost Principles for Non-Profit Organizations"; and for costs incurred by institutions of higher education allowability is determined in accordance with OMB Circular A-21, "Cost Principles for Educational Institutions". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-101 applies to this program. OMB Circular No. A-110 applies to this program. Applications for grants must be prepared in accordance with the regulations in 34 CFR Part 75, the Department's notices inviting applications, and any notices announcing requirements, priorities, and selection criteria that the Department may publish. Proposals for contracts must be prepared in accordance with program announcements published in the FedBizOps.

**Award Procedure:**

Applications are reviewed in accordance with section 114 of Perkins IV and with the requirements set forth for application notices and any notices announcing requirements, priorities, and selection criteria that the Department may publish in the Federal Register for a given competition and the regulations at 34 CFR Part 75.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 to 120 days.

**Appeals:**

There are no appeal rights for denial of grants funded under section 114 of Perkins IV. For contracts the Federal Procurement Regulations, 41 CFR 1, 2, 407, and 408 apply.

**Renewals:**

Continuation awards are made annually, for a maximum award period of 5 years for the National Research Center on Career and Technical Education and as specified by the Department for other activities, subject to the availability of appropriations and the grant recipient 's performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Maximum award period varies by activity. Annual continuation awards are subject to the availability of appropriations and contingent on recipient performance. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Specific contract reporting requirements are contained in the Request for Proposals and contract documents. Reporting requirements for grants are required in the regulations at 34 CFR 74 and 75. Reports are required annually. Reports are required annually. Reports are required annually. Reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Under OMB Circular A-133, recipients that are institutions of higher education, other non-profit organizations, or State and local governments, are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years after completion of the activity for which the funds are used.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$7,860,000; FY 11 est \$7,844,280; and FY 12 est \$7,860,000

**Range and Average of Financial Assistance:**

Varies by program competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Provided funding for the National Research Center on Career and Technical Education and to 6 states to establish rigorous programs of study. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and Federal Register program notices, as applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ricardo Hernandez, Department of Education, OVAE Policy, Research and Evaluation Staff, 400 Maryland Ave., S.W., Washington, District of Columbia 22202 Email: Ricardo.Hernandez@ed.gov Phone: (202) 245-7818.

**Website Address:**

<http://www2.ed.gov/about/offices/list/ovae/programs.html>

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each request for proposal and notice inviting grant applications contains either evaluation criteria or selection criteria, which are applied in the review and selection of contract or grant applications for funding. (See also 34 CFR Part 75 for the Department's selection criteria.).

**84.060 INDIAN EDUCATION\_GRANTS TO LOCAL EDUCATIONAL AGENCIES**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title VII, Part A, Subpart 1.

**OBJECTIVES:**

To address the unique education and culturally related academic needs of Indian students, including preschool children, so that these students can achieve to the same challenging state performance standards expected of all students. This program is the Department's principal vehicle for addressing the particular needs of Indian children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants supplement the regular school program, helping Indian children sharpen their academic skills, assisting students in becoming proficient in the core content areas, and providing students an opportunity to participate in enrichment programs that would otherwise be unavailable. Funds support such activities as after-school programs, tutoring, and dropout prevention. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Local educational agencies (LEAs) that enroll at least 10 Indian children or in which Indians constitute at least 25 percent of the total enrollment. These requirements do not apply to LEAs serving Indian children in Alaska, California, and Oklahoma or located on, or in proximity to, an Indian reservation. Schools that receive funding from the Department of Interior (DOI) Bureau of Indian Education (BIE) under Section 1130 of the Education Amendments of 1978, 25 U.S.C. 2001, are eligible to participate in this program. If an eligible LEA does not apply, an Indian tribe that makes up at least half of the LEAs Indian students may apply in lieu of the LEA.

**Beneficiary Eligibility:**

Eligible Indian children enrolled in eligible local educational agencies, and BIE-funded schools.

**Credentials/Documentation:**

The applicant must certify the number of eligible Indian children enrolled. The grant award is computed based on this information. An applicant must also assure that it has carried out a number of other required activities, including: holding a public hearing, establishing an Indian parent committee, and making arrangements for an evaluation of the effectiveness of the project. No grant will be made unless the applicant has the written approval of the applicant's Indian parent committee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not



required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The LEA annually submits to the Department of Education an application describing its proposed project. Application forms are available from the headquarters office.

**Award Procedure:**

Awards are issued annually directly to the LEA. Awards are made to all applicants that meet the applicable requirements of the Act and that have designed a project that the Secretary of Education determines will substantially increase the educational opportunities of the Indian children served by the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title ESEA, Title VII, Part A, Subpart 1, Section 7113. Matching Requirements: The Department calculates the amount of a grant that an LEA receives by multiplying the number of Indian children enrolled in the LEA's schools by the average per-pupil expenditure for the State in which the applicant is located, or 80 percent of the national average per pupil expenditure, whichever is greater. In setting the actual amount of a grant, an applicant's formula amount is adjusted on the basis of available appropriations.

**Maintenance-of-Effort Requirements:**

In order for an LEA to receive a grant, the appropriate State educational agency (SEA) must certify that the combined fiscal effort of that LEA and the State with respect to the provision of free public education by that LEA for the preceding fiscal year was not less than 90 percent of the combined fiscal effort for that purpose for the second preceding fiscal year. If an LEA does not meet this requirement and the Secretary does not grant a waiver for unusual circumstances, the LEA's grant award is reduced in the proportion by which the LEA failed to meet the combined fiscal effort requirement. DOI/Bureau of Indian Education grantees are exempt from the combined fiscal effort requirement. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to 60 months and funds must be spent or obligated within the project period. Payments are made by direct deposit upon request by LEAs. See the following for information on how assistance is awarded/released: Contact the program office for this information.

**Reports:**

Financial and performance reports are due within 90 days of the termination of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained 3 years after the completion of the activity for which grant funds were used.

**Account Identification:**

91-0101-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$104,331,000; FY 11 est \$104,122,338; and FY 12 est \$104,331,000

**Range and Average of Financial Assistance:**

Range of New Awards: \$3,872-\$2,688,479; Average New Award: \$82,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department awarded approximately 1,300 grants. Fiscal Year 2011: The Department awarded approximately 1,300 grants. Fiscal Year 2012: The Department would award approximately 1,300 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 74, 75, 77, 78, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bernard Garcia, Office of Indian Education, Department of Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: [bernard.garcia@ed.gov](mailto:bernard.garcia@ed.gov) Phone: (202) 260-1454.

**Website Address:**

<http://www.ed.gov/about/offices/list/oese/oie/programs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in EDGAR; contact the program office for additional information.

**84.063 FEDERAL PELL GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 1, as amended.

**OBJECTIVES:**

To provide eligible undergraduate postsecondary students who have demonstrated financial need with grant assistance to help meet educational expenses.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The student must be a U.S. citizen or eligible noncitizen who has been accepted for enrollment in, and is making satisfactory academic progress at an eligible institution of higher education. Eligible schools may be public or private nonprofit institutions of higher education, (such as colleges, universities, vocational-technical schools, hospital schools of nursing), and for-profit institutions (proprietary). Eligible males who are at least 18 years or older and born after December 31, 1959, can receive aid only if they have registered with the Selective Service. Graduate students and students who have already earned a bachelor's degree are not eligible for assistance, except those enrolled in an eligible program leading to a professional certification in teaching. Applicants must demonstrate need according to Part F of the Higher Education Act of 1965, as amended.

**Applicant Eligibility:**

Undergraduate students and students pursuing a teaching certificate enrolled as regular students in an eligible program at an eligible institution of higher

education and making satisfactory academic progress. The applicants must be U.S. citizens or eligible noncitizens and have a high school diploma, a GED, or demonstrate the ability to benefit from the program offered.

**Beneficiary Eligibility:**

Undergraduate students and students pursuing a teaching certificate that are U.S. citizens or eligible noncitizens and meet financial need criteria. Students must be: regular students in an eligible program and enrolled in institutions of higher education, making satisfactory academic progress. Incarcerated students, except those incarcerated in local penal facilities, are ineligible. Students must sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Student completes a "Free Application for Federal Student Aid" and submits it to the agency specified on the form. Students may apply using a paper application, an electronic application, or via the Internet. The Department of Education calculates the student's financial eligibility for assistance and the agency to which the student sent the application returns a notification to the student of his or her eligibility for assistance. The student submits this notification to the institution of his or her choice in order to have his or her award calculated.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends calculates and disburses the Federal Pell Grant, using a payment schedule developed by the Department of Education that determines the amount of the award based on the student's expected family contribution, cost of attendance, and enrollment status.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 30 days.

**Appeals:**

An institution, on the basis of supplemental documentation, may rule that an applicant is self-supporting, even though under the standard criteria, the applicant would normally be considered financially dependent on his or her parents. An institution may adjust on a case-by-case basis a student's data elements used to calculate his or her EFC and cost of attendance due to unusual circumstances documented by the institution.

**Renewals:**

Students who have applied in the previous award year may be eligible to complete a paper or electronic renewal application which contains preprinted student data and requires students only to update certain information. However, eligibility is still annually determined.

**Formula and Matching Requirements:**

Statutory Formula: Title IV, Part F.  
Matching Requirements: Federal Pell Grant eligibility determinations are based on Part F of the HEA, as amended. This national need analysis formula determines financial eligibility for Federal Pell grants and other Federal student aid and is applied uniformly to all applicants. This formula determines a student's "expected family contribution" (EFC). The fundamental elements of this need analysis formula are the parents' and/or the student's income and assets (excluding home), the family's household size, and the number of family members attending postsecondary institutions. The EFC is determined as the sum of: (1) A percentage assessment of net income (remaining income after

subtracting allowances for basic living expenses) and (2) a percentage assessment of net assets other than a home (remaining assets after subtracting an asset protection allowance).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Students are able to receive one Federal Pell Grant during any award year (July 1 through June 30). Funds for the Federal Pell Grant are usually disbursed at least twice during an award year. Students may only receive a Federal Pell Grant until they have received a bachelor's degree. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions will be required to furnish reports periodically on the disbursement of funds, as well as to furnish any other reports the Secretary requires. No reports are required of students. Cash reports are not applicable. Progress reports are not applicable. Institutions will be required to furnish reports periodically on the disbursement of funds, as well as to furnish any other reports the Secretary requires. No reports are required of students. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records pertaining to the eligibility of each Federal Pell Grant recipient and all fiscal management records must be maintained by the institutions for a period of 3 years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0199-0-1-502; 91-0200-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$22,795,000,000; FY 11 est \$41,945,000,000; and FY 12 est \$41,156,000,000

**Range and Average of Financial Assistance:**

For FY 2010, grants will range from \$555-\$5,550; the average grant is estimated at \$4115. For FY 2011, grants will range from \$555-\$5,550; the average grant is estimated at \$3,800.

For FY 2012, grants will range from \$555-\$5,550; the average grant is estimated at \$3,752.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Approximately 8,873,000 recipients are expected. Fiscal Year 2011: Approximately 9,467,000 recipients expected. Fiscal Year 2012: Approximately 9,614,000 recipients are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Federal Pell Grant Expected Family Contribution formula is set forth in Part F of the Higher Education Act of 1965 as amended. Regulations governing administration of the Pell Grant Program are found in 34 CFR 600, 668, and 690. The Student Guide; Free Application for Federal Student Aid (no charge); "The Expected Family Contribution Formula"; "The Student Financial Aid Handbook."

**Regional or Local Office:**

See Regional Agency Offices. Federal Student Aid Information Center. Telephone: 1-800-433-3243. Regional Director, Federal Student Aid, the Director of Student Financial Aid at the institution the student wishes to attend, high school guidance counselors, or directors of State agencies.

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243

**Website Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.037 Perkins Loan Cancellations; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Expected Family Contribution formula is set forth in Part F of the Higher Education Act of 1965, as amended.

**84.066 TRIO\_EDUCATIONAL OPPORTUNITY CENTERS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402F.

**OBJECTIVES:**

To provide information on financial and academic assistance available for qualified adults desiring to pursue a program of postsecondary education and to assist them in applying for admission to institutions of postsecondary education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to institutions of higher education, public and private agencies and organizations, and combinations of such entities for the establishment and operation of centers to collect and disseminate information concerning financial aid and academic programs available to participants seeking to pursue postsecondary education and to assist participants in preparing admission and financial aid applications. Centers may also provide, to secondary school dropouts, guidance on secondary school reentry or entry to an alternative education program. Centers may also provide tutoring, mentoring, and counseling services. A grantee may not use the center as a part of its recruitment program.

**Applicant Eligibility:**

Institutions of Higher Education, public and private agencies and organizations including community-based organizations with experience in serving disadvantaged youth, combinations of such institutions, agencies and organizations, and as appropriate to the purposes of the program; secondary schools.

**Beneficiary Eligibility:**

Persons residing in the target area who need one or more of the services provided by the project in order to pursue a program of postsecondary education and who desire to pursue or who are pursuing a program of postsecondary education. Two-thirds of the participants must be low-income individuals who are also potential first-generation college students. Project participants must be at least nineteen years old (exceptions allowed). Required low-income criteria for participants are stated in application materials.

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). OMB Circular A-21 applies. OMB Circular A-122 applies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with regulations, applications, and timetables issued by the Secretary of Education. No State plan is required. Requests for program applications should be made to the Federal TRIO Programs, College and University Preparation and Support Team. This program is subject to the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected non-Federal field readers evaluate new proposals based on the selection criteria established in program regulations 34 CFR 644.21 and 34 CFR 644.22. Grantees will be selected on the basis of satisfactory proposals and availability of funds. Grants are awarded through Federal TRIO Programs office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department implements the second review process in accordance with the process specified in 34 CFR 644.24. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

Awards are for five years. Continuation awards are approved on an annual basis, subject to the availability of funds and evidence that the grantee is meeting the conditions of the grant and making substantial progress towards meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The statute establishes a minimum grant amount.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five-year projects, annual awards. Continuation awards are subject to the availability of funds and evidence that the grantee is making satisfactory progress. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit an annual performance report. No cash reports are required. Progress reports are required for a project in its first year of funding. Expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR 74.26, 75.702, 75.910, and 74.61.

**Records:**

In accordance with Education Department General Administrative Regulations, 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$46,724,000; FY 11 est \$44,937,000; and FY 12 est \$46,904,000

**Range and Average of Financial Assistance:**

Varies by competition. In 2010, awards ranged from \$157,000 to \$1,173,000; the average award was approximately \$377,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department made 124 NCC awards totaling \$46.7 million. Fiscal Year 2011: The Department expects to make approximately 92 new awards, totaling \$32.9 million, and 32 NCC awards, totaling \$13.0 million. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and regulation 34 CFR 644. New regulations are under development. Contact the program office for additional details.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rachel Couch, Federal TRIO Programs, Office of Postsecondary Education, Department of Education, 1990 K St., NW, 7th Floor, Washington, District of Columbia 20006-8510 Email: rachel.couch@ed.gov Phone: (202) 502-7655.

**Website Address:**

<http://www.ed.gov/programs/trioeoc/>

**RELATED PROGRAMS:**

84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.103 TRIO Staff Training Program; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards the Selection Criteria in 34 CFR 644.21 are considered. Contact the program office for additional information.

**84.069 LEVERAGING EDUCATIONAL ASSISTANCE PARTNERSHIP**

LEAP-formerly SSIG

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Title IV, Part A, Subpart 4.

**OBJECTIVES:**

To provide grants to States for use in programs of financial assistance to eligible postsecondary students.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

To make grants of up to \$5,000 for full-time (reduced for less than full-time) attendance to students with substantial financial need who are enrolled at postsecondary institutions. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate that is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

The agency responsible for administering each State's need-based scholarship/grant program. U.S. Territories are also eligible to apply.

**Beneficiary Eligibility:**

Postsecondary education students with substantial financial need will benefit.

**Credentials/Documentation:**

A State application reviewed and approved annually by the Secretary of Education qualifies the State for funds. States pay administrative costs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For technical assistance for States regarding the State application, refer to ED Form 1288. Environmental impact information is not required for this program.

This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The designated State student scholarship or grant assistance agency in each State annually applies for State allotments/reallotments of funds; refer to ED Form 1288. Eligible students annually apply to their State of residence for a grant under this program, if the State has received an allotment. Student applicants must follow the application procedures as directed by each State and must demonstrate substantial financial need to receive a grant.

**Award Procedure:**

The Federal Student Aid office awards grants to State student scholarship or grant assistance agencies for making grants or providing work-study financial assistance to students.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 45 days.

**Appeals:**

Appeals of final disapprovals can be made to the Secretary and may be subject to judicial review.

**Renewals:**

New State applications are required annually.

**Formula and Matching Requirements:**

Statutory Formula: Title IV, Part A, Subpart 4.

Matching Requirements: Each State receives an allotment and possibly a reallotment of funds based upon the number of students it deems eligible to participate in the program relative to the total number of such students in all States; no State receives less than its fiscal year 1979 allotment (Section 415B(a)(1), HEA). Maintenance of effort (MOE) requirements provide that annual State-appropriated expenditures in the program must not be less than the average for the previous three fiscal years (Section 415C(b)(8), HEA). States match Federal funds on at least their MOE level, but not less than a one-to-one basis, out of resources appropriated by the State which represent additional State grant expenditures over an established base year, defined as the second year before the State entered the LEAP Program (Section 415C(b)(6), HEA). This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are awarded for use by participating States for one award year at a time following the year of application. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual fiscal performance report (ED Form 1288-1) and other reports as required by the Secretary. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records are examined by State or Federal auditors.

**Records:**

States must maintain records sufficient to identify student grants awarded in compliance with the program statute and requirements concerning the expenditure of Federal funds and matching State appropriated funds. Records must be retained for three years or until completion of Department audit, whichever is later.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Formula Grants) FY 10 \$63,852,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Maximum student award is \$5,000; Average student award is \$1,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 692 (Program Regulations) reissued July 14, 1981, amended December 1, 1986, November 27, 1987, and January 28, 1994. Directory of State Agency Official Contacts (current).

**Regional or Local Office:**

None. Program description and a List of State student scholarship or assistance agencies available in the Education Department regional offices. Program is administered from the Department's headquarters.

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243

**Website Address:**

<http://www.ifap.ed.gov>; [www.studentaid.gov](http://www.studentaid.gov).

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.063 Federal Pell Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.083 WOMEN'S EDUCATIONAL EQUITY PROGRAM**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V, Part D, Subpart 21, 20 U.S.C 7231-7238.

**OBJECTIVES:**

(1) To promote gender equity in education in the United States; (2) to promote equity in education for women and girls who suffer from multiple forms of discrimination based on sex, race, ethnic origin, limited English proficiency, disability, or age; and (3) to provide financial assistance to enable educational agencies and institutions to meet the requirements of Title IX of the Education Amendments of 1972.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Department may award two types of grants: (1) implementation grants for gender equity programs in schools, and (2) research and development grants to develop model equity programs. This program is subject to non-supplanting requirements and grantees must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Public agencies; private nonprofit agencies; organizations, institutions; student groups; community groups; and individuals may apply.

**Beneficiary Eligibility:**

Public agencies, private nonprofit agencies, institutions, organizations, student groups, community groups, and individuals will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State

and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Department publishes grant application forms and instructions in the Federal Register.

**Award Procedure:**

Applications and proposals are reviewed by a panel of experts in women's programs that represent various geographical areas, racial and ethnic groups, and levels of education. Final decisions on grants are made by the Department on the basis of the selection criteria published in the regulations and statutory considerations, and to the extent feasible, on the basis of geographical distributions. The Department may give special consideration to applications submitted by applicants that have not received assistance under this part.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately four months from receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

The project period for an award may not exceed four years. To receive continuation funding, grantees must demonstrate substantial progress toward meeting their goals and objectives. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to four years, subject to the availability of funds. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

As part of the continuation funding process, grantees must submit annual performance reports. The program office will establish a due date. A final performance report must also be submitted. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional audit requirements may be specified in grant award documents.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, as amended, grantees must maintain records for 3 years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$2,423,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$115,133 - \$216,062; \$184,965 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department funded continuation awards. All grantees applied under the competitive preference priorities for activities that support science and mathematics achievement. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Educational Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Beverly A. Farrar, Department of Education, Office of Innovation and Improvement, Improvement Programs, 400 Maryland Avenue, S.W., Rm 4W242, Washington, District of Columbia 20202 Email: beverly.a.farrar@ed.gov Phone: (202) 205-3145.

**Website Address:**

<http://www.ed.gov/programs/equity/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Continuation awards for 13 4-year awards made in FY 09. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are outlined in the Education Department General Administrative Regulations. Contact the program office for more information.

**84.101 CAREER AND TECHNICAL EDUCATION - GRANTS TO NATIVE AMERICANS AND ALASKA NATIVES**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Title I, Section 116, 20 U.S.C 2326.

**OBJECTIVES:**

To make grants, cooperative agreements, or enter into contracts with Indian tribes, tribal organizations, Alaska Native entities, and department of the Interior/Bureau of Indian Education schools (Bureau-funded schools), to plan, conduct, and administer programs or portions of programs authorized by and consistent with the Carl D. Perkins Career and Technical Education Act of 2006.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide career and technical education opportunities for Native Americans and Alaska Natives. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, in accordance with 34 CFR 76.563. For assistance with restricted indirect cost rates call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Federally recognized Indian tribes, tribal organizations, Alaska Native entities, and consortia of any of these entities may apply. Additionally, Bureau-funded schools proposing to use their award to assist secondary schools operated and supported by the U.S. Department of the Interior to carry out career and technical education programs may apply.

**Beneficiary Eligibility:**

Federally recognized Indian tribes, tribal organizations, and Alaska Natives, and Bureau-funded schools except for Bureau-funded schools proposing to use their grants to support secondary school CTE programs.

**Credentials/Documentation:**

Allowability of costs is determined in accordance with OMB Circular No. A-87 "Costs Principles for State, Local and Indian Tribal Governments" and OMB Circular No. A-21 "Cost Principles for Educational Institutions.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application notices and Application Packages are published in the Federal Register. Applications must be prepared and submitted in accordance with program announcements and Application Packages are published in the Federal Register.

**Award Procedure:**

Applications are approved using the selection criteria established in the program's notice inviting applications for new awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days after deadline for transmitting applications.

**Appeals:**

After receiving written notice that the Department of Education will not award a grant, the eligible applicant has 30 calendar days to request, in writing, a hearing to review the Department's decision. (20 U.S.C. 2326(b)(2); 25 U.S.C. 450(f)).

**Renewals:**

Continuation awards are made annually, for a maximum of 5 years, subject to the availability of appropriations and each grant recipient's performance as shown in end-of-year performance reports.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 5 years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Specific reporting requirements are contained in the notice inviting applications and in grant award documents. Reports required annually. Reports required annually. Reports required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years from the time that work carried out under the project is completed.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$14,511,000; FY 11 est \$14,045,740; and FY 12 est \$12,500,000

**Range and Average of Financial Assistance:**

Range: \$300,000-\$600,000

Average award: \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Provided funding to 30 projects. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Parts 74,75,77,80,81,82,84,85,86,97,98 and 99. EDGAR, NACTEP Federal Register notice of MARCH 23, 2007 (72 FR 13770 and Application Package.

**Regional or Local Office:**

None.

**Headquarters Office:**

Linda Mayo, Department of Education, OVAE Division of Academic and Technical Education 400 Maryland Ave., S.W., Washington, District of Columbia 20202-7241 Email: linda.mayo@ed.gov Phone: (202) 245-7792.

**Website Address:**

<http://www2.ed.gov/about/offices/list/ovae/programs.html>

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria are used in reviewing applications. Each application must address each selection criterion. Points are awarded based on the extent to which an application addressed each criterion: (a) Need for project; (b) significance; (c) quality of the project design; (d) quality of project services; (e) quality of personnel; (f) adequacy of resources; (g) quality of the management plan; and (h) quality of the project evaluation. Additional points are awarded to eligible applicants that (1) propose exemplary approaches that involve, coordinate with, or encourage tribal economic development plans; (2) are accredited or are candidates for accreditation by a nationally recognized accreditation organization as an institution of postsecondary career and technical education; and (3) operate career and technical education programs that are accredited or are candidates for accreditation by a nationally recognized accreditation organization and issue certificates for completion of career and technical education programs, (20 U.S.C. 2326(e)).

**84.103 TRIO STAFF TRAINING PROGRAM**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402G.

**OBJECTIVES:**

To provide training for staff and leadership personnel employed in, or preparing for employment in, projects funded under the Federal TRIO Programs (program numbers 84.042, 84.044, 84.047, 84.066, and 84.217.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to eligible entities to provide training for project directors and staff of funded Federal TRIO Programs projects. The grants may provide support for conferences, seminars, internships, workshops, and the publication of manuals designed to improve the operation of Federal TRIO Programs projects.

**Applicant Eligibility:**

Institutions of higher education and other public and private nonprofit institutions and organizations.

**Beneficiary Eligibility:**

Leadership personnel, full-time and part-time staff members of projects under the Federal TRIO Programs, and individuals preparing for employment as staff

or leadership personnel in projects under the Federal TRIO Special Programs will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). OMB Circular No. A-21 applies to this program. OMB Circular No. A-122 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with program regulations, applications, and timetables issued by the Department of Education. No State plan is required. Requests for program applications should be made to the Federal TRIO Program, College and University Support Team. This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 642.21 and 34 CFR 642.22. Grants are awarded through the Federal TRIO Programs Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department implements the second review process for unsuccessful applicants in accordance with 34 CFR 642.25. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

The grant period is 2 years. Grantees may receive one continuation award (for the second year of the grant), subject to the availability of funds and the grantee meeting the conditions of the grant and making substantial progress toward the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grant period is two years. Grantees may receive one continuation award approved on an annual basis subject to the availability of funds and grantee meeting the conditions of the grant and making substantial progress toward meeting the project objectives. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance reports are submitted on an annual basis. No cash reports are required. Required for a project in the first year of funding using form ED 524B. Staff monitor grants drawdown using agency financial reports. Reporting on performance measures is required as part of the submittal of the required annual performance form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR and 34 CFR 75.702, 74.61.)

**Records:**

In accordance with 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$3,641,000; FY 11 est \$3,529,000; and FY 12 est \$3,641,000

**Range and Average of Financial Assistance:**

FY 10, awards ranged from \$348,000 to \$388,000. The average award was approximately \$364,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department made 10 new awards for a total of \$3.6 million. Fiscal Year 2011: The Department expects to make 10 NCC awards totaling \$3.6 million. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and regulations 34 CFR 642.

**Regional or Local Office:**

None.

**Headquarters Office:**

Suzanne Ulmer, Federal Trio Programs, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, 7th Floor, Washington, District of Columbia 20006 Email: [suzanne.ulmer@ed.gov](mailto:suzanne.ulmer@ed.gov) Phone: (202) 502-7789.

**Website Address:**

<http://www.ed.gov/programs/triotrain/>.

**RELATED PROGRAMS:**

84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Department will select applicants to be funded for new awards under this part on the basis of criteria set forth in 34 CFR 642.21. Contact the program office for additional information.

**84.116 FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION**

(FIPSE)

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VII, Part B, 20 U.S.C. 1138.

**OBJECTIVES:**

To provide assistance for innovative programs that improve access to and the quality of postsecondary education.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The Fund provides project grants for activities sponsored by institutions and agencies that develop and demonstrate more effective approaches to the postsecondary teaching and learning. Each year, the Department establishes funding competitions and priorities. Funded projects are action-oriented, focusing on improvements in practice rather than support for basic research.

**Applicant Eligibility:**

Eligible applicants include institutions of higher education, other public and private non-profit institutions and agencies and combinations of these institutions and agencies. A range of providers of postsecondary educational services is thus eligible including but not limited to: 2 and 4-year colleges and universities, community organizations, libraries, museums, consortia, and student groups.

**Beneficiary Eligibility:**

Postsecondary educational institutions and their students will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application announcements and resources for applicants are available at the FIPSE home page: <http://www2.ed.gov/about/offices/list/ope/fipse/index.html>. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date.

**Award Procedure:**

Proposals are reviewed by field readers, by staff, and by appropriate Department officials. State Postsecondary Education Commissions must be given an opportunity to comment on projects funded in their States.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 8 months.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Fund will support multi-year projects; grants are awarded on a 1-to 4-year basis. Funds are released as required. Renewals are subject to the availability of appropriations. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual financial and progress reports must be submitted as required by grant award terms and conditions. Staff also monitor drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 5248. Cash reports are not applicable. Annual progress reports are required as a part of the submittal of form ED 5248. Annual expenditure reports are required as a part of the submittal of form ED 5248. Annual performance monitoring are required as a part of the submittal of form ED 5248.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000



or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients are required to maintain standard financial records.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$159,403,000; FY 11 est \$19,607,708; and FY 12 est \$150,000,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Current program achievements are highlighted on the following Web sites: FIPSE Grants in Action, FIPSE Award-winning Projects, and Calendar of Presentations by FIPSE Grantees. Fiscal Year 2011: Current program achievements are highlighted on the following Web sites: FIPSE Grants in Action, FIPSE Award-winning Projects, and Calendar of Presentations by FIPSE Grantees. Fiscal Year 2012: Current program achievements are highlighted on the following Web sites: FIPSE Grants in Action, FIPSE Award-winning Projects, and Calendar of Presentations by FIPSE Grantees.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Education Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 82, 84, 85, 86, 97, 98, and 99 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cassandra Courtney, Fund for the Improvement of Postsecondary Education, Office of Postsecondary Education, Department of Education, 400 Maryland Ave. S.W., Washington, District of Columbia 20202 Email: cassandra.courtney@ed.gov Phone: (202) 502-7506.

**Website Address:**

<http://www2.ed.gov/about/offices/list/ope/fipse/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of funded projects may be found using the searchable database of projects funded since 1994 on the program Website. Fiscal Year 2011: Examples of funded projects may be found using the searchable database of projects funded since 1994 on the program Website. Fiscal Year 2012: Examples of funded projects may be found using the searchable database of projects funded since 1994 on the program Website.

**CRITERIA FOR SELECTING PROPOSALS:**

Grantees are selected based on the project's significance in improving postsecondary education; feasibility; and appropriateness.

**84.120 MINORITY SCIENCE AND ENGINEERING IMPROVEMENT (MSEIP)**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title III, Part E, Subpart 1.

**OBJECTIVES:**

To (1) effect long-range improvement in science and engineering education at predominantly minority institutions and (2) increase the participation of underrepresented ethnic minorities, particularly minority women, in scientific and technological careers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program funds are generally used to implement institutional projects, special projects and cooperative grants. Institutional grants support the implementation of a comprehensive science improvement plan, which may include any combination of activities for improving the preparation of minority students for careers in science. Special project grants to minority institutions support activities that improve the quality of training in science and engineering at minority institutions. Special project grants to non-minority eligible applicants support activities that provide a needed service to a group of eligible minority institutions. Cooperative grants assist groups of non-profit accredited colleges and universities in working together to conduct a science improvement program. Grant funds may be used for a broad range of activities that address specific barriers that eliminate or reduce the entry of minorities into science and engineering fields. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 377-3838.

**Applicant Eligibility:**

Private and public nonprofit accredited (or successfully working toward accreditation) institutions of higher education that award baccalaureate degrees; and are minority institutions; public or private accredited (or successfully working toward accreditation) nonprofit institutions of higher education that award associate degrees, and are minority institutions that have a curriculum that includes science and engineering subjects; and enters into a partnership with public or private nonprofit institutions of higher education that award baccalaureate degrees in science or engineering. Applications may also be submitted by nonprofit science-oriented organizations, professional scientific societies, and institutions of higher education that award baccalaureate degrees, that provide a needed service to a group of minority institutions; or provide in-service training for project directors, scientists, and engineers from minority institutions; or consortia of organizations, that provide needed services to one or more minority institutions, the membership of which may include: institutions of higher education which have a curriculum in science or engineering; institutions of higher education that have graduate or professional programs in science or engineering; research laboratories of, or under contract with the Department of Energy; private organizations that have science or engineering facilities; or quasi-governmental entities that have a significant scientific or engineering mission.

**Beneficiary Eligibility:**

Private or public accredited (or successfully working toward accreditation) 2- and 4-year institutions of higher education whose enrollments of a single minority or a combination of minorities exceed 50 percent of the total enrollment. Minorities means American Indian; Alaskan Native; Black (not of Hispanic origin); Hispanic (including persons of Mexican, Puerto Rican, Cuban, and Central or South American origin); Pacific Islander; or other ethnic group who are underrepresented in science and engineering.

**Credentials/Documentation:**

Institutions must provide the information necessary to establish their eligibility for participation in MSEIP. The data on enrollment furnished to the Office for Civil Rights to satisfy requirements for the "Fall Enrollment and Compliance Report of Institutions of Higher Education" are acceptable. Applications must be signed by an authorized organizational official. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An eligible institution may submit a proposal for

funding of a planned project and proposed amount of the grant when announcement of a new competition appears in the Federal Register. See 34 CFR 637 and the specific program guidelines. Application forms are available from the MSEIP.

**Award Procedure:**

Panels of outside experts with knowledge of the fields covered by the application review all eligible applications. Grant awards are recommended to the Secretary by the program office, in the order of merit.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed for up to 2 years, renewals subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

One to three years. Funds are awarded annually and disbursed as required. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

The program requires interim and annual performance reports. A final performance report is required within 90 days upon completion of the project for all funded projects. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Compliance with standard Department of Education requirements.

**Records:**

Grantees are required to maintain standard programmatic and financial records. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$9,503,000; FY 11 est \$9,483,994; and FY 12 est \$9,503,000

**Range and Average of Financial Assistance:**

FY 2009: Average new award was \$176,000; Average continuation award was \$149,000. Awards ranged from approximately \$100,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 637 and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bernadette Hence, Office of Postsecondary Education, Institutional Development and Undergraduate Education Service, Department of Education, 1990 K. Street, NW, 6th Floor, Washington, District of Columbia 20006 Email: bernadette.hence@ed.gov Phone: (202) 219-7038.

**Website Address:**

<http://www.ed.gov/programs/idadesmsi/>.

**RELATED PROGRAMS:**

84.031 Higher Education\_Institutional Aid; 84.116 Fund for the Improvement of Postsecondary Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Decisions are based primarily on the scientific and educational merits of described activities and conformance with the objectives of the program. Priority is given to applicants which have not previously received funding from the MSEIP program and to previous grantees with a proven record of success, as well as to proposals that contribute to achieving balance among projects with respect to geographic region, academic discipline, and project type.

**84.126 REHABILITATION SERVICES\_VOCATIONAL REHABILITATION GRANTS TO STATES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, Title I, Part A and B, Section 100-111.

**OBJECTIVES:**

To assist States in operating comprehensive, coordinated, effective, efficient and accountable programs of vocational rehabilitation; to assess, plan, develop, and provide vocational rehabilitation services for individuals with disabilities, consistent with their strengths, resources, priorities, concerns, abilities, capabilities, and informed choice so they may prepare for and engage in competitive employment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federal and State funds are used to cover the costs of providing vocational rehabilitation services which include: assessment, counseling, vocational and other training, job placement, reader services for the blind, interpreter services for the deaf, medical and related services and prosthetic and orthotic devices, rehabilitation technology, transportation to secure vocational rehabilitation services, maintenance during rehabilitation, and other goods and services necessary for an individual with a disability to achieve an employment outcome. Services are provided to families of disabled individuals when such services will contribute substantially to the rehabilitation of such individuals who are being provided Vocational Rehabilitation services. Funds can also be used to provide Vocational Rehabilitation services for the benefit of groups of individuals with disabilities including the construction and establishment of community rehabilitation programs.

**Applicant Eligibility:**

State agencies in all States (including territories/possessions) designated as the sole State agency to administer the vocational rehabilitation program may receive funds with the submission of an approved State plan in the Rehabilitation Act of 1973, as amended.

**Beneficiary Eligibility:**

In order to be eligible for vocational rehabilitation services, an individual must have a physical and/or mental impairment, which, for such an individual, constitutes or results in a substantial impediment to employment, and requires vocational rehabilitation services to achieve an employment outcome.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies

to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State Vocational Rehabilitation agencies are required to submit a State Plan describing the manner in which they will administer the VR and Supported Employment programs in their States. The State is not required to submit any policies, procedures or descriptions related to its State Plan that have been previously approved and demonstrate that the State currently meets the requirements of the Act. However, State agencies are required to annually update and submit State Plan attachments related to: (1) the comprehensive system of personnel development; State assessments, estimates, goals and priorities, and reports of progress; (2) innovation and expansion activities; and (3) a description of the State's plans with respect to the distribution of State Supported Employment Title VI, Part B funds.

**Award Procedure:**

Grant awards are made to State VR agencies with an approved State plan. States are notified of their annual allotment under the funding formula. Grant funds are withdrawn under the Electronic Transfer System.

**Deadlines:**

Jul 01, 2011 State VR agencies must submit State Plans to the Rehabilitation Services Administration for approval by July 1 each year.

**Range of Approval/Disapproval Time:**

The State plan must be approved before the State agency can receive its allotment of funds. If a State plan is disapproved, and after reasonable effort has been made to resolve a dispute, the State agency may request a hearing. If dissatisfied with the hearing officer's initial decision, the State agency may seek the Secretary's review of the decision.

**Appeals:**

A State may appeal the Secretary's decision to disapprove the State plan by filing a petition for review with the United States Court of Appeals for the circuit in which the State is located.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part A, Subpart 110. (29 USC 730). Funds are distributed based on population weighted by per capita income. The statistical factors for fund allocation are: per capita income 3-year average by State (Bureau of Economic Analysis estimates) and U.S. total and State population (Annual Population Estimates, Bureau of the Census).  
Matching Requirements: The program's matching requirement is 78.7 percent Federal and 21.3 percent Non-Federal funds. This program has a maintenance of effort (MOE) requirement. The MOE level is based on the amount of the State's non-Federal expenditures under the VR program for the Federal fiscal year two years earlier; see funding agency for further details.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds become available for obligations for the fiscal year for which they are appropriated and may remain available for an additional year if the matching requirement is met in the year of the appropriation. Grant awards are issued biannually (1st and 4th quarter). See the following for information on how assistance is awarded/released: Electronic Transfer.

**Reports:**

Program report: Annual and quarterly reports. No cash reports are required.  
Progress report: Annual and quarterly reports. Expenditure reports: quarterly financial reports (Federal Financial Report (SF-425). Performance monitoring:

The Rehabilitation Act requires the conduct of annual reviews and periodic on-site monitoring of whether a State VR agency is complying substantially with the provisions of its State plan and with the program's performance indicators established under section 106 of the Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Conducted by ED Office of Inspector General and by site visits of regional staff. Both are periodic but no set schedule.

**Records:**

Case service records for individual consumers. Financial and programmatic records must be kept for a prescribed period of three years (34 CFR 80.42).

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$3,041,797,000; FY 11 est \$3,041,146,000; and FY 12 est \$3,103,529,000

**Range and Average of Financial Assistance:**

In FY 2010 annual allotments to States, including D.C. and Puerto Rico ranged from \$10.2 million to \$290 million, with a median award of \$42 million. Grants to outlying areas ranged from \$1.1 million to \$3.1 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Approximately 1,011,400 persons received services. Approximately 52 percent of those individuals who exited the program after receiving services achieved an employment outcome. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Vocational Rehabilitation Regulations (34 CFR part 361). Rehabilitation Services Policy Directives and Technical Assistance Circulars.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carol Dobak, Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Carol.Dobak@ed.gov Phone: (202) 245-7325.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

64.007 Blind Rehabilitation Centers; 64.013 Veterans Prosthetic Appliances; 64.116 Vocational Rehabilitation for Disabled Veterans; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.161 Rehabilitation Services\_Client Assistance Program; 84.169 Independent Living\_State Grants; 84.187 Supported Employment Services for Individuals with Significant Disabilities; 84.234 Projects with Industry; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.250 Rehabilitation Services\_American Indians with Disabilities; 84.390 Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.128 REHABILITATION SERVICES\_SERVICE PROJECTS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended., Section 304 and 305.

**OBJECTIVES:**

To provide discretionary grant funds to State vocational rehabilitation agencies and public nonprofit organizations for special projects and demonstrations which hold promise of expanding and otherwise improving services to individuals with disabilities over and above those provided by the Vocational Rehabilitation Grants to States program (84.126) administered by States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Migrant and seasonal farm workers (subsection 304 of the Rehabilitation Act) and recreational programs (subsection 305 of the Rehabilitation Act). Grants support vocational rehabilitation services to migrant and seasonal farm workers and projects that establish and operate recreational programs for individuals with disabilities.

**Applicant Eligibility:**

Recreational projects are awarded to States, public agencies and nonprofit organizations. Grants cannot be made directly to individuals. Migrant and seasonal farm worker projects are funded by grants to a State designated agency (including territories/possessions) and to nonprofit and local agencies in collaboration with the State agencies.

**Beneficiary Eligibility:**

Individuals with disabilities and individuals with significant disabilities as defined in Sections 7(20)(A) and 7(21)(A), respectively, of the Rehabilitation Act of 1973, as amended.

**Credentials/Documentation:**

Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. Applications should be submitted to the Department e-Grants Website or to the Department of Education, Application Control Center, 400 Maryland Ave. S.W., Washington, DC 20202-4725, according to instructions specified in the Notice Inviting Applications. The standard application kit as furnished by the Department of Education must be used for this program.

**Award Procedure:**

Awards are made on approval of the Commissioner of Rehabilitation Services and the Assistant Secretary, OSERS for new projects.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance. Renewals are available only through a new application process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Generally matching is required; the Migratory Worker program requires 10 percent matching. The Federal share of the costs of the Recreation program shall be 100 percent for the first year, 75 percent for the second year, and 50 percent for the third year with corresponding matching requirements for the second and third years.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project support may be available for up to 3 to 5 years depending upon satisfactory performance and availability of funds. Funds are granted on a 12-month basis. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial reports and progress reports must be submitted as prescribed by grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR Part 75) records related to grant funding, compliance and performance must be maintained for a period of five years after completion of the grant activity.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$2,239,000; FY 11 est \$1,856,280; and FY 12 est \$1,856,280 - (migrant and seasonal farm workers). (Project Grants) FY 10 \$2,474,000; FY 11 est \$0; and FY 12 est \$0 - (recreational).

**Range and Average of Financial Assistance:**

varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86; and the regulations for this program in 34 CFR 369 apply. Specific guidelines and literature may be obtained from the RSA headquarters offices.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sonja Turner, Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W, Washington, District of Columbia 20202 Email: sonja.turner@ed.gov Phone: (202) 245-7557.

**Website Address:**

<http://www.ed.gov/programs/rsamigrant/index.html>; or  
<http://www.ed.gov/programs/rsarecreation/index.html>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding priorities are announced in the Federal Register. Grants for migrant

and seasonal farmworker projects are made to a designated State agency and to nonprofit and local agencies working in collaboration with the State agencies. Applications for discretionary grants are subjected to peer review procedures leading to recommendations for approval or disapproval by Federal and nonfederal experts. Criteria for evaluating applications are published in program regulations 34 CFR 75.210.

#### **84.129 REHABILITATION LONG-TERM TRAINING**

##### **FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

##### **AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302.

##### **OBJECTIVES:**

To support projects to provide academic training in areas of personnel shortages identified by the Secretary to increase the number of personnel trained in providing vocational rehabilitation services to individuals with disabilities.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Training grants are provided in fields directly related to the vocational rehabilitation and independent living of individuals with disabilities, such as rehabilitation counseling, independent living, rehabilitation medicine, physical and occupational therapy, prosthetics-orthotics, speech-language, pathology and audiology, rehabilitation of individuals who are blind and individuals who are deaf, and rehabilitation technology. A grantee must use at least 75 percent of the total award for scholarships.

##### **Applicant Eligibility:**

Institutions of Higher Education, State vocational rehabilitation agencies (including territories), and other public or nonprofit agencies and organizations.

##### **Beneficiary Eligibility:**

Individuals preparing for employment in the field of rehabilitation of individuals with disabilities.

##### **Credentials/Documentation:**

An application should show evidence of current accreditation by or seeking of accreditation from the designated accreditation agency in the respective professional field. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for state and local governments, and OMB Circular A-122 for non-profit organizations. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. New applications are made to Department of Education, Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202-4725. Attn: 84.129.

##### **Award Procedure:**

New and continuation grants are awarded by the Rehabilitation Services Administration. New awards are made based upon the results of a peer review process and the review and approval of applications by staff in various offices within the Department.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 120 to 160 days.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 10%. The Federal share may not be more than 90 percent of the total cost of a project under this program.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Projects are generally supported for a maximum of 5 years; with budget periods of 12 months. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

##### **Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Proper records must be maintained for a period of time equal to the time required to fulfill the obligations of each grantee to determine whether a scholar has met the work-or-repay provision in 34 CFR 386.34, or until all audit questions are resolved.

##### **Account Identification:**

91-0301-0-1-506.

##### **Obligations:**

(Project Grants) FY 10 \$20,581,357; FY 11 est \$19,759,777; and FY 12 est \$19,759,777

##### **Range and Average of Financial Assistance:**

to be determined.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR Parts 385 and 386 and the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86.

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.263 Rehabilitation Training\_ Experimental and Innovative Training; 84.264 Rehabilitation Training\_ Continuing Education; 84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the purpose of the content and the training project to the administratively established mission of the public rehabilitation program and the objectives of the Rehabilitation Services Administration. The methodology to be employed in implementing the project and its feasibility for the achievement of the established educational objectives. The existence of a working relationship with the State vocational rehabilitation agency and other agencies and rehabilitation facilities providing vocational rehabilitation services. Criteria for evaluating applications are published in program regulations 34 CFR Parts 385 and 386.

**84.132 CENTERS FOR INDEPENDENT LIVING****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VII, Chapter 1, Part C.

**OBJECTIVES:**

To support a Statewide network of centers for independent living (centers or CILs) and provide financial assistance to centers that comply with the standards and assurances in section 725(b) and (c) of the Rehabilitation Act of 1973, as amended (Rehabilitation Act) consistent with the design included in the State Plan for Independent Living for establishing a statewide network of centers. Centers are consumer-controlled, community-based, cross-disability, nonresidential, private nonprofit agencies that are operated in local communities by individuals with disabilities and provide an array of IL services that are designed to enhance independence and productivity of individuals with significant disabilities and to promote their full inclusion and integration into the mainstream of American society.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Federal funds awarded under this program, the CIL program, are used for the establishment and operation of centers for independent living which offer a wide range of independent living (IL) services. Services must include independent living core services which are information and referral services, independent living skills training, peer counseling, including cross-disability peer counseling, and individual and systems advocacy. As appropriate, IL services include a combination of any other independent living services specified in the Rehabilitation Act and 34 CFR Section 364.4 of the IL program regulations. Section 721(b) of the Rehabilitation Act specifies that not less than 1.8 percent and not more than two percent of Federal funds appropriated for the CIL program must be reserved each fiscal year to provide training and technical assistance under contracts with entities who have experience in the operation of centers for independent living.

**Applicant Eligibility:**

Private non-profit organizations. An eligible agency under the CIL program is a consumer-controlled, community-based, cross-disability, nonresidential, private nonprofit agency or a state agency in states in which no eligible private non-profit organization applies for a grant. The Rehabilitation Act and regulations require the Commissioner of the Rehabilitation Services Administration to make awards based on a statutory order of priority. A States allotment for IL Part C funds is determined according to a population-based formula. To the extent funds are available, the order of priority is as follows:

existing centers that meet the standards and assurances in section 725(b) and (c) of the Act must receive the level of funding each center received in the prior year. Existing centers that meet the Acts standards and assurances then receive a cost-of-living increase consistent with section 721(c)(3) of the Act. If there are sufficient excess funds in a States allotment, and there are areas in the State that are unserved or underserved by centers, the Commissioner must fund new centers. If there are insufficient funds to fund new centers, the excess funds may be distributed to existing centers or reallocated to other States.

**Beneficiary Eligibility:**

Individuals with significant disabilities as defined in section 7 of the Rehabilitation Act and 34 CFR 364.4 of the IL program regulations. This refers to an individual with a severe physical, mental, cognitive or sensory impairment whose ability to function independently in the family or community or whose ability to obtain, maintain, or advance in employment is substantially limited and for whom the delivery of IL services will improve the ability to function, continue functioning, or move toward functioning independently in the family or community or to continue in employment.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations). If the center is operated by a State agency, OMB Circular A-87 is used to determine the allowability of costs. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80, if a state agency receives the award, apply to this program. Applications should be submitted to the Department e-Grants Website or to the Department of Education, Application Control Center, 400 Maryland Ave. S.W., Washington, DC 20202-4725, according to instructions specified in the Notice Inviting Applications. The standard application kit as furnished by the Department of Education must be used for this program.

**Award Procedure:**

New awards are made based upon the results of a competitive peer review process of applications and the review and approval of staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects may be continued based on the submission of an annual performance report (the section 704 report), and RSAs determination that the center has met the standards and assurances under section 725(b) and (c) of the Rehabilitation Act, and the availability of funds. Amounts of continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory Formula: Rehabilitation Act Section 721(c) and 722(e). This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Existing projects are approved on an annual basis with funding on a twelve month basis. New projects are funded for five years with funding approved on

a 12-month basis. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual and fiscal progress reports and self-evaluations (section 704 reports) must be submitted as prescribed by Section 725 (c)(8) of the Rehabilitation Act, and grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for non-profit recipients (34 CFR Part 74) records related to grant funding, compliance and performance must be maintained for a period of three years after completion of the grant activity and the final financial report is submitted or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$80,266,000; FY 11 est \$80,105,468; and FY 12 est \$80,105,468

**Range and Average of Financial Assistance:**

In FY 2011, the range is \$28,961 to \$1,386,708. The average award is \$217,471.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 84, 85, and 97; Program Regulations in 34 CFR Parts 364 and 366.

**Regional or Local Office:**

None.

**Headquarters Office:**

Veronica Hogan, Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: veronica.hogan@ed.gov Phone: (202) 245-7378.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

84.169 Independent Living\_State Grants; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria for this program include extent of need for the project, past performance, satisfaction of the standards and assurances set forth in Section 725, quality of key personnel, budget and cost-effectiveness, evaluation plan, plan of operation, and involvement of individuals with significant disabilities. Criteria for evaluating applications are published in program regulations at 34 CFR 366.

**84.133 NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION RESEARCH**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, Title II.

**OBJECTIVES:**

To support and coordinate research and its utilization in order to improve the lives of people of all ages with physical and mental disabilities, especially persons with severe disabilities, through: (1) identifying and eliminating causes and consequences of disability; (2) maximizing the health, physical, and emotional status of persons with disabilities and their functional ability, self-sufficiency, self-development and personal autonomy; (3) preventing or minimizing personal and family, physical, mental, social, educational, vocational, and economic effects of disability; and (4) reducing and eliminating physical, social, educational, vocational, and environmental barriers to permit access to services and assistance and to use their abilities in daily life.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants, cooperative agreements, and contracts are awarded for research, demonstration, dissemination/utilization projects of national significance, and career training projects. All applications must meet standards of excellence in research and evaluation design. Fellowships support individual investigators in pursuing research in rehabilitation.

**Applicant Eligibility:**

States, public, private, or nonprofit agencies and organizations, institutions of higher education, and Indian tribes and tribal organizations are eligible for research projects and specialized research activities related to the rehabilitation of individuals with disabilities; fellowships may be awarded to individuals.

**Beneficiary Eligibility:**

Individuals with disabilities may benefit directly or indirectly from research and other activities conducted by grantees, such as technical assistance and dissemination.

**Credentials/Documentation:**

Applicants should present written evidence of other agencies' willingness to cooperate when the project involves their acceptance or the utilization of their facilities or services. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for state and local governments, and OMB Circular A-122 for non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The NIDRR long-range research plan serves as the basis for program announcements that are published in the Federal Register and Requests for Proposals that are published in the Commerce Business Daily. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of applications by staff in various offices within the Department. Official notice of approved applications is made through issuance of a Notice of Grant Award or an official letter of fellowship award. Grants and fellowships are awarded by the Secretary, Department of Education.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Ranges from 30 to 120 days. Generally, solicited grants, fellowships, and contracts will be acted upon within 120 days.

**Appeals:**

There are no formal appeal procedures.

**Renewals:**

Grantees must submit annual progress reports in order to receive continuation funding. Awards may be renewed annually for up to five years throughout the project period of the award. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees funded under Sections 204(a) and 202(k) of the Rehabilitation Act, as amended, are required to share in the cost of projects.

The amount of cost-sharing is negotiable. Cost-sharing for other grantees is at the Secretary's option.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded in 12 month budget periods. Support beyond the first 12 month budget period is contingent upon evidence that the grantee has made substantial progress toward achieving the objectives and outcomes for a project, and availability of appropriations. Awards may be made for a maximum of five years. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Annual reports of progress and annual expenditures are required on all projects. Comprehensive final reports are due 90 days after the end of the project. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper accounting records, identifiable by grant or contract number including all receipts and expenditures, must be maintained for three years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$109,241,000; FY 11 est \$109,022,518; and FY 12 est \$109,022,000

**Range and Average of Financial Assistance:**

The range and average vary greatly according to the competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Estimated 230 new and continuation awards. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grant administrative policies for programs and fellowships may be obtained from the program office. NIDRR program regulations are contained in 34 CFR Parts 350-359.

**Regional or Local Office:**

None. Contact Headquarters Office.

**Headquarters Office:**

Lynn Medley Department of Education, OSERS National Institute on Disability and Rehabilitation Research, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: lynn.medley@ed.gov Phone: (202) 245-7338

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/nidrr/index.html>.

**RELATED PROGRAMS:**

64.007 Blind Rehabilitation Centers; 84.129 Rehabilitation Long-Term Training; 84.224 Assistive Technology

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Objectives of projects and programs must be in consonance with and should contribute to achievement of the goals and objectives of the Institute. Adequate facilities must be available or planned to carry out the specific project or program. Personnel must be trained and qualified to carry out the proposed programs, and staffing patterns must be appropriate. Demonstrations of adequate plans and procedures for ensuring the relevance to current needs in rehabilitation and the potential for project results must be effectively utilized. Commitment of available resources on the part of the applicant and evidence that the applicant has knowledge of rehabilitation issues as well as knowledge of past and present related research activities. A statement showing that the estimated cost to the government is reasonable in relation to anticipated project results. Demonstrate the ability and capacity to achieve stated goals. Demonstrate, coordinate and cooperate with regional programs, State agency programs, and private rehabilitation facilities. Specific weighted selection criteria are contained in program regulations. For fellowships, criteria are specified in program regulations, 34 CFR Part 356. These criteria include the education and experience of the individual and the quality of the fellowship proposal.

**84.141 MIGRANT EDUCATION\_HIGH SCHOOL EQUIVALENCY PROGRAM**

(HEP)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Section 418A.

**OBJECTIVES:**

To assist students who are engaged, or whose immediate family is engaged, in migrant and other seasonal farm work to obtain the equivalent of a secondary school diploma and subsequently to gain employment or be placed in an institution of higher education or other postsecondary education or training.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project funds may be used to recruit and provide academic and support services (including counseling, health services, stipends, and placement) to migrant students to obtain the equivalent of a secondary school diploma and to subsequently gain employment or be placed in an institution of higher education or other postsecondary education or training.

**Applicant Eligibility:**

Institutions of higher education or private nonprofit agencies in cooperation with institutions of higher education may apply.

**Beneficiary Eligibility:**

Persons who are engaged or whose immediate family is engaged in migrant and other seasonal farmwork or who have participated or have been eligible to participate in the Title I, MEP or the Employment and Training Administration, Department of Labor - Migrant and Seasonal Farmworker Programs. Eligible beneficiaries are age 16 and older or beyond the age of compulsory school attendance, and lacking a high school diploma or its equivalent.

**Credentials/Documentation:**

To be eligible to participate in HEP, the applicant or his or her immediate family must: (1) Have worked a minimum of 75 days during the past 24 months in migrant on seasonal farmwork, or have been eligible to participate or have participated within the past 2 years in Title I, Migrant Education Program or the Employment and Training Administration, Department of Labor - Migrant and Seasonal Farmworker Programs; (2) not have earned a secondary school diploma or its equivalent; (3) not be currently enrolled in an elementary or secondary school; (4) be 16 years of age or older, or above the age of compulsory school attendance in the State where the project is located; and (5) be determined by the grantee to need the academic and supporting services and



financial assistance provided by the project. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circulars No. A-21 for IHEs and No. A-122 for nonprofit organizations apply to this program. Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations also applies to recipients of this program. Application forms are available from the Department of Education as announced in a Notice Inviting Applications (NIA). An eligible applicant submits its application to the Department of Education no later than the date announced by the Department in the Federal Register. An application must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. Applications are reviewed and evaluated by a panel for selection and possible funding.

**Award Procedure:**

The Department reviews each application using selection criteria published in the Federal Register. The Department of Education sends a Grant Award Notification (GAN) to the successful applicants. The Department conducts a budget analysis of allowable activities and costs and recommendations for new grants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately four months.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded for up to 60 months. Continuation awards are subject to the availability of funds and recipient performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period is up to 60 months. Funds are awarded for 12-month budget periods. Continuations are subject to the availability of funds and recipient performance. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

An Annual Performance Report (APR) showing satisfactory performance is required to receive a continuation award each year and a final performance report is required 90 days after completion of a project. No cash reports are required. No progress reports are required. Expenditure summarizations are required annually by the APR annual and final instructions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (34 CFR 74, 75, and 80), grantees must maintain certain project records for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$19,948,431; FY 11 est \$19,908,535; and FY 12 est \$19,948,431

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Provided funding to 45 projects. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(a) 34 CFR 74, 75, 77, 79, 82, 84, 85, 86, 97, and 99. (b) The regulations in 34 CFR part 206. (c) The definitions in 34 CFR 200.81. (d) The regulations in 20 CFR 669.110 and 669.320.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tara Ramsey Office of Migrant Education, Office of Elementary and Secondary Education, US Department of Education, 400 Maryland Avenue, S.W., Room 3E309, Washington, District of Columbia 20202 Email: tara.ramsey@ed.gov Phone: (202) 260-2063

**Website Address:**

<http://www.ed.gov/program/hep/index.html>

**RELATED PROGRAMS:**

84.047 TRIO\_Upward Bound; 84.144 Migrant Education\_Coordination Program; 84.149 Migrant Education\_College Assistance Migrant Program; 84.214 Even Start\_Migrant Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects that help migrant individuals attain a high school equivalency degree. Fiscal Year 2011: Projects that help migrant individuals attain a high school equivalency degree. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Migrant Education High School Equivalency Program regulations (34 75.210) include the following criteria for selecting proposals: need for project (15 points); quality of management plan (20 points); quality of project design (20 points); quality of project services (15 points); quality of project personnel (10 points); adequacy of resources (10 points); quality of project evaluation (10 points). For the purpose of making grants under Part A, Section 418A of the authorizing statute, the Secretary must consider prior experience of service delivery by expiring projects that submit an application under this program and award up to a maximum of 15 additional points to an application that meets the prior experience of service delivery competitive preference priority.

**84.144 MIGRANT EDUCATION\_COORDINATION PROGRAM  
FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title I, Part C, Section 1308(d), 20 U.S.C 6398.

**OBJECTIVES:**

To provide financial incentives to State Educational Agencies (SEAs) to participate in consortia that provide high-quality project designs and services to improve the interstate or intrastate coordination of migrant education programs by addressing key needs of migratory children who have their education interrupted.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used to: implement the consortium activities to improve interstate and intrastate coordination of migrant education programs by addressing key needs of migratory children whose education is interrupted or to carry out any other activities authorized under the Migrant Education formula program (MEP). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEAs) receiving MEP Basic State Formula grants, in a consortium with another State or other appropriate entities.

**Beneficiary Eligibility:**

Migratory children of migratory agricultural workers or migratory fishers, or individuals under 21 years old who are migratory agricultural workers or migratory fishers, or spouses of such workers or fishers whose education is interrupted benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. The applications are reviewed and evaluated by a panel of peer reviewers. Awards are made on a competitive basis.

**Award Procedure:**

The Department reviews each application using selection criteria and priorities published in Federal Register notices and the application package. The U.S. Department of Education sends Grant Award Notification (GAN) to successful applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately three months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: An SEA may receive only one incentive grant award regardless of the number of consortia in which it participates. Consortium incentive grant awards are calculated on the basis of a two-tiered formula: SEAs whose MEP allocations are \$1 million or less will, in general, receive a grant award that is twice the amount of the award provided to SEAs whose MEP allocations are greater than \$1 million. Within each tier, awards will be of equal size. However, no SEA will receive an incentive grant award that exceeds the amount of its Title I, Part C, MEP formula grant or \$250,000, whichever is less.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Consortium Incentive Grants for interstate and intrastate coordination activities will be awarded for up to two years, subject to the availability of funds. See the

following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Annual performance reports are required from SEAs participating in consortium incentive grants and from other grant recipients. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administration Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, grantees must maintain certain project records for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$3,000,000; FY 11 est \$3,000,000; and FY 12 est \$3,000,000

**Range and Average of Financial Assistance:**

Range: \$66,666-\$133,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Provided funding to 33 states. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 75, 76, and 80.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Moreno Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, SW, Room 3E257, Washington, District of Columbia 20202 Email: michelle.moreno@ed.gov Phone: (202) 401-2928

**Website Address:**

<http://www.ed.gov/about/offices/list/oes/ome/index.html>.

**RELATED PROGRAMS:**

84.011 Migrant Education\_State Grant Program; 84.141 Migrant Education\_High School Equivalency Program; 84.149 Migrant Education\_College Assistance Migrant Program; 84.214 Even Start\_Migrant Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for interstate/intrastate coordination grants are consistent with 34 CFR 75.

**84.145 FEDERAL REAL PROPERTY ASSISTANCE PROGRAM  
FEDERAL AGENCY:**

Office of Human Resources and Administration, Department of Education

**AUTHORIZATION:**

Department of Education Organization Act of 1979; Federal Property and Administrative Services Act of 1949, Section 203(k), as amended.,

**OBJECTIVES:**

To convey surplus Federal Real Property for educational purposes at fair market value.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Must be used for education purposes including but not limited to higher education, elementary and secondary education, libraries, central administrative facilities, educational television and radio, rehabilitation and training, vocational education and research, correctional education centers.

**Applicant Eligibility:**

Those groups, organizations, entities, or institutions providing educational programs including: States; their political subdivisions and instrumentalities; and tax supported organizations or private nonprofit institutions held exempt from taxation under Section 501(C)(3) of the Internal Revenue Code of 1954 may apply.

**Beneficiary Eligibility:**

Program participants receiving educational opportunities will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All potentially eligible entities are notified of the availability of property including State and local officials or any known educational entity authorized to operate within the general geographical area. Upon receipt of a notice of intent to file an application, a preapplication conference is possible. An environmental impact assessment is required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application guides and deadlines for filing applications are provided on a case by case basis. All applicants must demonstrate the legal, financial, and technical ability to conduct the educational programs proposed.

**Award Procedure:**

Written notification with follow-up issuance of formal transfer of title.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Thirty to 90 days for tentative decisions, after receipt of the application, and 90 to 360 days to the formal transfer of a title.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 30 years. The fair market value (FMV) of the property is amortized over a period of time established based on the type of property acquired. Public benefit discount of the FMV is granted when public educational programs are being conducted. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

An annual written report of activities by the recipient. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. On-site audits are conducted during the period of restriction to assure operation as specified in the application and deed of transfer.

**Records:**

Record requirements will be included in award documents.

**Account Identification:**

91-0800-0-1-503.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 Not Separately Identifiable; FY 11 est \$0; and FY 12 Not Separately Identifiable

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 34 CFR 12; Pamphlet: How to Acquire Surplus Federal Real Property for Educational Purposes; Guidelines: Application outline and preparation assistance can be obtained at the zone office level.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a list of regional offices.

**Headquarters Office:**

David Hakola, Federal Real Property Assistance Program, Office of the Administrator for Management Services, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Phone: (202) 401-0500.

**Website Address:**

<http://www.ed.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications must establish eligibility of the institution and its program needs. A public benefit allowance formula, uniformly applied, determines the respective benefits of each program. Basic allowance of 50 percent is allowed to institutions meeting the following: (1) Proof of current need; (2) ability to operate and maintain; (3) suitability of facilities or adaptability for conversion; (4) requirement for utilization through period of restrictions; and (5) nondiscrimination because of race, color, sex, handicap, or national origin. Additional allowances are made for tax support, accreditation, hardship, not met needs, integrated research, public services, and training programs. For competing programs, the one showing the greatest public benefit is selected. Where property can be divided, as many compatible programs as possible are accommodated.

**84.149 MIGRANT EDUCATION\_COLLEGE ASSISTANCE MIGRANT PROGRAM**

(CAMP)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Section 418A, 20 U.S.C 1070d-2.

**OBJECTIVES:**

To assist students who are engaged, or whose immediate family is engaged, in migrant and other seasonal farmwork, are enrolled or are admitted for

enrollment on a full-time basis, at institutions of higher education and are in the first academic year at such an institution.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project funds may be used to provide supportive and instructional services, including tutoring and counseling services and assistance in obtaining student financial aid (including stipends, tuition, and room and board) to first-year college students, assist those students in obtaining financial aid for their remaining undergraduate years, and provide follow-up services, such as monitoring and reporting students' first-year and subsequent year academic progress, and referrals to counseling services, academic assistance, or financial aid.

**Applicant Eligibility:**

Institutions of higher education or private nonprofit agencies in cooperation with institutions of higher education may apply.

**Beneficiary Eligibility:**

First-year college students who are engaged, or whose immediate family is engaged, in migrant and other seasonal farmwork or who have participated or been eligible to participate in the Title I, Migrant Education Program, or the Employment and Training Administration, Department of Labor - Migrant and Seasonal Farmworker Programs.

**Credentials/Documentation:**

To be eligible to participate in a CAMP project, the applicant must: (1) be enrolled or admitted for enrollment as a full-time student at a participating institution of higher education; (2) not be beyond the first academic year of a program of study at the institution of higher education, as determined under the standards of the institution; and (3) be determined by the grantee to need the academic and supporting services and financial assistance provided by the project in order to complete an academic program of study at the institution of higher education. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms are available from the Department of Education, as announced in a Notice Inviting Applications (NIA). An eligible applicant submits its application to the Department of Education no later than the date announced by the Department in the Federal Register. An application must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. Applications are reviewed and evaluated by a panel of peer reviewers. OMB Circulars A-21 and A-122 applies to this program.

**Award Procedure:**

The Department reviews each application using selection criteria published in the Federal Register. The Department of Education, sends a Grant Award Notification (GAN) to successful applicant of its award. The Department conducts a budget analysis of allowable activities and costs and recommendations for new grants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately four months.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded up to 60 months. Continuation awards are subject to the availability of funds and recipient performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period is up to 60 months; funds are awarded for 12-month budget period. Continuations are subject to the availability of funds and recipient performance. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

An Annual Performance Report (APR) showing satisfactory performance is required to receive a continuation award each year, and a final performance report is required 90 days after completion of a project. No cash reports are required. No progress reports are required. Expenditure summarizations are required annually by the APR annual and final instructions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (34 CFR 74, 75, and 80), grantees must maintain certain project records for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$16,536,229; FY 11 est \$16,503,156; and FY 12 est \$16,536,229

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Provided funding to 40 projects. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(a) 34 CFR 74, 75, 77, 79, 82, 84, 85, 86, 97, and 99. (b) The regulations in 34 CFR part 206. (c) The definitions in 34 CFR 200.81. (d) The regulations in 20 CFR 669.110 and 669.320.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tara Ramsey Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., room 3E309, Washington, District of Columbia 20202 Email: tara.ramsey@ed.gov Phone: (202) 260-2063

**Website Address:**

<http://www.ed.gov/programs/camp/index.html>

**RELATED PROGRAMS:**

84.011 Migrant Education\_State Grant Program; 84.042 TRIO\_Student Support Services; 84.047 TRIO\_Upward Bound; 84.141 Migrant Education\_High School Equivalency Program; 84.144 Migrant Education\_Coordination Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Programs that help migrant individuals finish their first year of college. Fiscal Year 2011: Programs that help migrant individuals finish their first year of college. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Migrant Education College Assistance Program regulations (34 CFR 75.210) include the following criteria for selecting proposals: need for project (15 points); quality of management plan (20 points); quality of project design (20 points); quality of project services (15 points); quality of project personnel (10 points); adequacy of resources (10 points); quality of project evaluation (10 points). For the purpose of making grants under Part A, Section 418A of the authorizing statute, the Secretary must consider prior experience of service delivery by expiring projects that submit an application under this program and award up to a maximum of 15 additional points to an application that meets the prior experience of service delivery competitive preference priority.

**84.153 BUSINESS AND INTERNATIONAL EDUCATION PROJECTS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part B, Section 611.

**OBJECTIVES:**

To promote innovation and improvement in international business education curricula at institutions of higher education (IHEs) and promote linkages between IHEs and the business community.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Institutions eligible for discretionary grant funding must enter into an agreement with a business enterprise, trade organization or association engaged in international economic activity, or a consortium of the named entities. Eligible activities include but are not limited to: Improving the business and international education curriculum of institutions to serve the needs of the business community, including the development of new programs for mid-career or part-time students; developing programs to inform the public of increasing international economic interdependence and the role of U.S. businesses within the international economic system; internationalizing curricula at the junior and community college level and at undergraduate and graduate schools of business; developing area studies and interdisciplinary international programs; establishing export education programs; Conducting research and developing specialized teaching materials appropriate to business-oriented students; establishing student and faculty fellowships and internships or other training or research opportunities; creating opportunities for business and professional faculty to strengthen international skills; developing research programs on issues of common interest to IHEs and private sector organizations and associations engaged in or promoting international economic activity; establishing internships overseas to enable foreign language students to develop their foreign language skills and knowledge of foreign cultures and societies; establishing links overseas with IHEs and organizations that contribute to the education objectives of this program; and establishing summer institutes in international business, foreign areas, and other international studies designed to carry out the purposes of this program. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 377-3838.

**Applicant Eligibility:**

Accredited institutions of higher education may apply. Institutions must enhance their own international academic programs and provide appropriate services to the business community to expand U.S. exports abroad.

**Beneficiary Eligibility:**

Students and faculty at accredited institutions will benefit. Business community will also benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible institutions may submit proposals for funding of projects when the announcement of a new competition appears in the Federal Register. Application forms and guidelines are available from the International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Final recommendations are made to the Secretary of Education following advice from a panel of consultants, developed according to procedures in regulations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project period may last up to 24 months. Applicants submit performance reports for continuation funding according to instructions established by the Department. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The total cost of carrying out a program supported by a grant under the Business and International Education Program must be no less than 50 percent of the total cost of the project in each fiscal year. The non-Federal share of the cost may be provided either in-kind or in cash.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 12 or 24 month period. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions must provide final reports upon completion of the program. Financial reports are also required. No cash reports are required. Contact program office. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available upon request: (1) for three years after close of the fiscal year in which the grant was closed out; or (2) until the grantee is notified of the completion of a Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$4,500,442; FY 11 est \$883,708; and FY 12 est \$2,180,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655, 661, Education Department General Administrative Regulations. Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tanyelle Richardson, International and Foreign Language, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, Washington, District of Columbia 20006 Email: tanyelle.richardson@ed.gov Phone: (202) 502-7626.

**Website Address:**

<http://www.ed.gov/programs/iegpsbie/>.

**RELATED PROGRAMS:**

84.220 Centers for International Business Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 661.31. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register.

**84.160 TRAINING INTERPRETERS FOR INDIVIDUALS WHO ARE DEAF AND INDIVIDUALS WHO ARE DEAF-BLIND****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302(f).

**OBJECTIVES:**

To support projects that increase the numbers and improve the skills of manual, oral, and cued speech interpreters providing services to individuals who are deaf and individuals who are deaf-blind.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to eligible entities to provide training for manual, tactile, oral and cued speech interpreters. This training may include classroom instruction, workshops, seminars, and field placement. Curriculum may include specialty areas such as interpreting in legal, medical, or rehabilitation settings or for deaf-blind, speech-impaired or developmentally disabled persons.

**Applicant Eligibility:**

Public or private nonprofit agencies and organizations, including institutions of higher education are eligible for assistance.

**Beneficiary Eligibility:**

Individuals preparing for employment as interpreters for individuals who are deaf and individuals who are deaf-blind who are presently serving as interpreters and wish to maintain or raise the level of their skills, and the persons who will receive the services of interpreters are beneficiaries of this program.

**Credentials/Documentation:**

OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-122 for non-profit organizations applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. Application is made to Department of Education, Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202-4725.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees are required to share in the cost of projects with a portion subject to individual negotiations.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may be supported for a maximum of 5 years, with budget periods of 12 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133.

Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR Part 75) records related to grant funding, compliance and performance must be maintained for a period of five years after completion of the grant activity.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$2,096,000; FY 11 est \$2,099,977; and FY 12 est \$2,099,977

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training of Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind Regulations (34 CFR Part 385); (34 CFR Part 396); the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/students/college/aid/rehab/catinter.html>.

**RELATED PROGRAMS:**

84.129 Rehabilitation Long-Term Training; 84.263 Rehabilitation Training\_Experimental and Innovative Training; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the project to the stated objectives of the interpreter training program. The number of trainees expected to be involved; demonstrated capacity or potential for providing interpreter training, the past record of existing training programs; and the geographical area expected to be served.

**84.161 REHABILITATION SERVICES\_CLIENT ASSISTANCE PROGRAM**

(CAP)

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title I, Part B, Section 112, 29 U.S.C 732.

**OBJECTIVES:**

(1) To provide assistance in informing and advising clients and client applicants of available benefits under the Rehabilitation Act; (2) to assist and advocate for clients and client applicants in their relationships with projects, programs and services provided under this Act, including assistance and advocacy in pursuing legal, administrative and other appropriate remedies; (3) to provide information on available services under the Act and Title I of the Americans with Disabilities Act to any individual with disabilities in the State.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for services to help clients and applicants understand the rehabilitation services available under the Rehabilitation Act, and to provide information to individuals with disabilities in the State. The CAP is not allowed to bring class action suits.

**Applicant Eligibility:**

States and Territories (through the Governor) are eligible for awards. The Governor shall designate a public or private agency to conduct the State's program.

**Beneficiary Eligibility:**

Clients and client applicants receiving services or interested in seeking

assistance under the Rehabilitation Act of 1973, as amended, will benefit from CAP services.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Governor submits assurances that meet the requirements established under the Rehabilitation Act, as amended, and Federal regulations.

**Award Procedure:**

Notice of annual allotment to States, quarterly grant award notices and funds are withdrawn under the Electronic Transfer System or by Treasury check.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The State may appeal to the Office of Administrative Law Judges (34 CFR 81).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: In accordance with the Act Federal funds are distributed on the basis of the relative population of each State, except no State shall receive less than \$50,000, Territories \$30,000. When total funds available for this program exceed \$7,500,000, the minimum allotment is \$100,000 for States and \$45,000 for Territories.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded for one fiscal year. Funds that are not obligated by the end of the fiscal year may be carried over for obligation in the year succeeding the year in which the funds were awarded. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance reports are required annually. Cash reports are required quarterly. Progress reports are not applicable. Expenditure reports are required annually. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Information on clients and client applicants served as cases should be maintained.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$12,288,000; FY 11 est \$12,263,424; and FY 12 est \$12,263,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Client Assistance Program Regulations (34 CFR part 370).

**Regional or Local Office:**

None.

**Headquarters Office:**

Jim Doyle, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: jim.doyle@ed.gov Phone: (202) 245-6630.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.128 Rehabilitation Services\_Service Projects; 84.132 Centers for Independent Living; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind; 84.187 Supported Employment Services for Individuals with Significant Disabilities; 84.234 Projects with Industry; 84.240 Program of Protection and Advocacy of Individual Rights; 84.390 Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.165 MAGNET SCHOOLS ASSISTANCE**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V, Part C.

**OBJECTIVES:**

To provide grants to eligible local educational agencies (LEAs) or consortia of LEAs to establish and operate magnet schools that are operated under a court-ordered or federally approved voluntary desegregation plans. Magnet programs aim to eliminate, reduce, or prevent minority group isolation in elementary and secondary schools while strengthening students' academic achievement.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used for planning and promotional activities directly related to the development, expansion, continuation, or enhancement of academic programs offered at magnet schools; for purchasing books, materials, equipment; and for paying or subsidizing the salaries of teachers and instructional staff in magnet schools. Funds may not be used for transportation or activities that do not augment academic improvement. No more than 50 percent of the funds an applicant receives in the first year of a grant, 15 percent of the funds received for the second year may be used for planning, and no more than 10 percent in the third year may be used for planning. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.

**Applicant Eligibility:**

Local educational agencies (LEA) or consortia of LEAs that are implementing court-ordered or federally approved voluntary desegregation plans that include

magnet schools are eligible to apply.

**Beneficiary Eligibility:**

Local educational agencies and participating students will benefit.

**Credentials/Documentation:**

Applicants must submit a copy of the desegregation plan they are implementing, or will implement, if assistance is made available. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application notices are published in the Federal Register and applications must be sent to the Education Department on or before the closing date.

**Award Procedure:**

Recommendations for the approval of applications are made by the program staff on the basis of published criteria, statutory priorities, State comments received under the E.O. 12372 process, and with the advice and assistance of a panel of reviewers. In addition, no application may be approved unless the Assistant Secretary for Civil Rights determines that all required assurance will be met.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is anticipated to be 90 to 120 days from the closing date.

**Appeals:**

Not Applicable.

**Renewals:**

The project period for a Magnet School award may not exceed 36 months. To receive continuation funding, grantees must demonstrate substantial progress toward meeting their goals and objectives. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of grants will be up to 36 months, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As part of the continuation award funding process, grantees must submit performance reports annually. Final performance reports must be submitted within 90 days of the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**



Under section 443 of the General Education Provisions Act grantees must maintain records for 3 years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$100,000,000; FY 11 est \$99,800,000; and FY 12 est \$110,000,000

**Range and Average of Financial Assistance:**

Range of awards: \$350,000-\$4,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department funded 36 new awards under the MSAP program. Fiscal Year 2011: The Department funded to additional grants and provided continuation awards for 35 FY 2010 grants. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for information on regulations (34 CFR 280).

**Regional or Local Office:**

None.

**Headquarters Office:**

Rosie Kelley, Department of Education, Office of Innovation and Improvement Parental Options and Information, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: rosie.kelley@ed.gov Phone: (202) 260-0911.

**Website Address:**

<http://www.ed.gov/programs/magnet/index.html>

**RELATED PROGRAMS:**

84.004 Civil Rights Training and Advisory Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Quality criteria are used to evaluate the applicant's project services; personnel; project design; budget and resources; evaluation plan; and commitment and capacity. Competitive priority is given to applicants that demonstrate the greatest need for assistance; that carry out new or significantly revised magnet schools; that select students to attend magnet schools through methods such as lottery, rather than academic examination; and expanding capacity of choice. For funds appropriated for the program in excess of \$75 million, competitive priority is given to those applicants that did not receive funds under the program in the last fiscal year of the previous funding cycle.

**84.169 INDEPENDENT LIVING STATE GRANTS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VII, Chapter 1, Part B.

**OBJECTIVES:**

To provide financial assistance to States for expanding and improving the provision of independent living (IL) services to individuals with significant disabilities by promoting and maximizing their full integration and inclusion into the mainstream of American society.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds received under this program may be used to carry out the purposes of the Independent Living State Grants Program described in section 713 of the Rehabilitation Act and 34 CFR Section 365.1 of the IL program regulations. These purposes include to support the operation of the Statewide Independent Living Council (SILC), to provide individuals with significant disabilities the core independent living services to demonstrate ways to expand and improve

independent living services; to support the operations of centers for independent living that are in compliance with the standards and assurances in section 725 (b) and (c) of the Rehabilitation Act; to support activities to increase the capacities of public or nonprofit agencies and organizations and other entities to develop comprehensive approaches or systems for providing independent living services; to conduct studies and analyses, gather information, develop model policies and procedures, and present information, approaches, strategies, findings, conclusions, and recommendations to Federal, State, and local policymakers in order to enhance independent living services for individuals with significant disabilities; to train individuals with significant disabilities, individuals with disabilities, and individuals providing services to individuals with disabilities and other persons regarding the independent living philosophy; and to provide outreach to populations that are unserved or underserved by programs under Title VII of the Rehabilitation Act, including minority groups and urban and rural populations.

**Applicant Eligibility:**

Any designated State Unit (DSU) in a State with an approved State Plan for Independent Living (SPIL) may apply for assistance under this program. The DSU is the State agency designated as the State unit to administer the State's independent living services program. DSUs in the 50 States and the District of Columbia and the territories (Commonwealth of Puerto Rico and Virgin Islands) and the outlying areas (Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands) are eligible to apply.

**Beneficiary Eligibility:**

Individuals with significant disabilities as defined in section 7 of the Rehabilitation Act and 34 CFR 364.4 of the IL program regulations. This refers to an individual with a severe physical, mental, cognitive or sensory impairment whose ability to function independently in the family or community or whose ability to obtain, maintain, or advance in employment is substantially limited and for whom the delivery of IL services will improve the ability to function, continue functioning, or move toward functioning independently in the family or community or to continue in employment.

**Credentials/Documentation:**

The State agency must certify the availability of State funds for matching purposes. The match for this program may be cash or in-kind. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Education Department General Administrative Regulations at 34 CFR Parts 76 and 80 apply to this program. In order to be eligible for an allotment under this program, States must submit a State Plan for Independent Living (SPIL) meets requirements in section 704 of the Rehabilitation Act and 34 C.F.R. Part 364 of the IL program regulations. State applicants must submit a 3-year State plan which must be submitted not later than July 1, of the fiscal year preceding the first fiscal year of the forth coming 3-year period.

**Award Procedure:**

A notice of annual allotment to the State is issued. Initial distributions are subject to reallocation at the end of the fiscal year if the Commissioner of the Rehabilitation Services Administration determines that the State will not expend its allotment. States receive annual grant award notices and funds may be withdrawn under the Electronic Transfer System.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

34 CFR 76.703 governs the approval/disapproval time of State plans in relation to when a State may begin to obligate funds.

**Appeals:**

After reasonable effort has been made to resolve the questions involved, and the State has pursued a hearing before the Office of the Administrative Law Judge, the State may appeal to the United States Court of Appeals for the circuit in which the State is located pursuant to the IL program regulations at 34 CFR 364.12.

**Renewals:**

Awards are made on an annual basis and may be renewed for up to 2 additional years, for a total of 3 years under an approved State Plan for Independent Living.

**Formula and Matching Requirements:**

Statutory Formula: Section 711 of the Rehabilitation Act contains the formula the Department uses for the allocation of funds to each State. Federal funds are distributed based on the percentage each State's population constitutes of the total population of the United States. The source is the Annual Population Estimates, Bureau of the Census.

Matching Requirements: Under section 712(b) of the Rehabilitation Act, the States must contribute 10% of the cost of the program, in cash or in kind. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by 34 CFR Sections 80.40 and 80.41 of the Education Department General Administrative Regulations (EDGAR) performance reports and financial reports are required annually. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Education Department periodically conducts audits and site visits of designated State unit programs funded under the IL State Grants Program.

**Records:**

As required by EDGAR for State-administered programs (34 CFR 76). Generally, States and subgrantees must retain records related to grant funds and compliance for a period of 3 years.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$23,450,000; FY 11 est \$23,403,100; and FY 12 est \$23,403,100

**Range and Average of Financial Assistance:**

In FY 2011, the range is \$28,961 to \$2,075,264. The average award is \$437,152.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 76, 77, 79, 80, 81, 82, 84, 85, and 97; Program Regulations in 34 CFR Parts 364 and 365.

**Regional or Local Office:**

None. .

**Headquarters Office:**

Veronica Hogan, Office of Special Education and Rehabilitation Services Administration, Department of Education, Rehabilitation Services

Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: veronica.hogan@ed.gov Phone: (202) 245-7378.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

84.132 Centers for Independent Living; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

An approved State plan is a condition for receipt of funds under the IL State Grants program under the Rehabilitation Act. State plan requirements are contained in section 704 of the Rehabilitation Act and 34 CFR 364.

**84.170 JAVITS FELLOWSHIPS****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VII, Part A, Subpart I.

**OBJECTIVES:**

To provide fellowships for graduate study in the arts, humanities, and social sciences to individuals of superior ability selected on the basis of demonstrated achievement, financial need, and exceptional promise. Fellowships are awarded to students intending to pursue a doctoral degree and may be awarded to students pursuing a master's degree in those fields in which the master's degree is commonly accepted as the terminal degree.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A recipient is entitled to use the fellowship in a graduate program at any accredited institution of higher education in which the recipient may decide to enroll. For each fellowship awarded, the institution receives an institutional allowance determined in accordance with the statutory formula in Section 703 of the Higher Education Act of 1965, as amended. The student receives a stipend set at the level of support based on that provided by the National Science Foundation graduate fellowships. No stipend may exceed the Fellow's demonstrated level of need according to measurements of need set forth in Part F of Title IV of the Higher Education Act. An individual receives payments only during the periods that he or she maintains satisfactory progress in his or her program of study and devotes essentially full time to study or research in the field in which the fellowship was awarded.

**Applicant Eligibility:**

Eligibility is limited to U.S. citizens or nationals, permanent residents of the United States, and citizens of any one of the Freely Associated States. Applicants must be enrolled or eligible to be enrolled in a graduate program in an approved field of study at an accredited institution of higher education. Sixty percent of these new fellowships shall be awarded to applicants in the humanities, twenty percent to applicants in the social sciences, and twenty percent to applicants in the arts.

**Beneficiary Eligibility:**

Citizens and nationals of the United States, permanent residents of the United States, and citizens of any one of the Freely Associated States.

**Credentials/Documentation:**

Regulations were published in the Federal Register on January 19, 1998. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applications must be submitted in accordance with the notice of closing date published in the Federal Register.

**Award Procedure:**

The Education Department will make awards in accordance with the criteria established by the Javits Fellowship Board. Contact the program office for additional information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for continuation of support are made on an annual basis by the institution at which the fellow is pursuing graduate study, but may not exceed 48 months. Continuation awards are subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of the grant is one year, but renewable for up to a total of 48 months, subject to the availability of appropriations. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Certification from an appropriate official at an institution of higher education approved by the Secretary, stating that the fellow is making satisfactory progress and has devoted essentially full time to study or research in the field in which the fellowship was awarded. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records bearing on the receipt and expenditure of funds under this program must be available for inspection by the Education Department. Records must be held for three years after the fiscal year in which expenditures are liquidated, or five years after the grant, or until resolution of any audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$9,687,000; FY 11 est \$9,687,000; and FY 12 est \$8,083,800

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 218 fellowships. Fiscal Year 2011: 218 fellowships. Fiscal Year 2012: 180 fellowships are expected to be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 650. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carmen Gordon, Teacher and Student Development Programs Service, Office 1990 K St NW, 6th Floor, Washington, District of Columbia 20006-8524  
Email: OPE\_Javits\_Program@ed.gov Phone: (202) 219-7138.

**Website Address:**

<http://www2.ed.gov/programs/jacobjavits/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Fellowship Board. Fellowship applications are evaluated based on scholarly achievements, including Graduate Record Examination (GRE) scores on the general test only if applying in the humanities, social sciences, multi-or interdisciplinary fields of art history or creative writing; awards; honors; narratives describing personal goals; and three letters of recommendation.

**84.173 SPECIAL EDUCATION\_PRESCHOOL GRANTS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part B, Section 619; 20 U.S.C. 1419.

**OBJECTIVES:**

To provide grants to States to assist them in providing special education and related services to children with disabilities ages 3 through 5 years, and at a State's discretion, to 2- year- old children with disabilities who will reach age three during the school year.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States must distribute all grant funds that the State does not reserve for administration of the program or other State-level activities to eligible local educational agencies. Funds are used by State and local educational agencies, in accordance with the IDEA, to provide special education and related services to children with disabilities ages 3 through 5, and at the State's discretion, to 2-year -old children with disabilities who will reach age 3 during the next school year; and in some cases, early intervening services.

**Applicant Eligibility:**

State educational agencies in the 50 States, the District of Columbia, and Puerto Rico. Local educational agencies apply to their State educational agency for sub-grants.

**Beneficiary Eligibility:**

Children aged 3 through 5 with disabilities, and (at the State's option) 2-year-old children with disabilities that will reach age 3 during the school year, that require special education and related services will benefit.

**Credentials/Documentation:**

No State or jurisdiction may receive a grant unless the Secretary has approved the annual application and statement of assurances. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States are eligible to receive funds under this program if the State establishes eligibility under Section 612 of Part B of the IDEA and if the State makes a free appropriate public education available to all children ages 3 through 5 years with disabilities residing in the State. Local educational agencies establish eligibility for Preschool Grant funds by meeting local application eligibility requirements in section 613 of Part B of the IDEA.

**Award Procedure:**

Once the State application has been approved, a grant award representing the total preschool grant amount for that fiscal year is forwarded to the State's department of education. Notification of the award is made to the Chief State School Officer. States make subgrants to eligible local educational agencies from their initial grant award after setting aside funds for administration and state-level activities.

**Deadlines:**

May 10, 2010 The submission date for the State applications is May 10 to expedite funding, but plans or amendments are accepted throughout the school year.

**Range of Approval/Disapproval Time:**

Within 90 days.

**Appeals:**

The Department must not take final action to disapprove an application until the State is provided reasonable notice and an opportunity for a hearing. The State must request a hearing no later than 30 days after it receives notice of the proposed final determination that the State is not eligible to receive its award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Statutory citation: IDEA Part B Sec. 619(c)

In general, funds are distributed to eligible entities through a formula based on general population and poverty. Under the formula, each State is first allocated an amount equal to its fiscal year 1997 allocation. For any year in which the appropriation is greater than the prior year level, 85 percent of the funds above the fiscal year 1997 level are distributed based on each State's relative percentage of the total number of children aged 3 through 5 in the general population. The other 15 percent is distributed based on the relative percentage of children aged 3 through 5 in each State who are living in poverty.

The statute also includes several maximum and minimum allocation requirements when the amount available for distribution to States increases. If the amount available for allocation to States remains the same from one year to the next, States receive the same level of funding as in the prior year. If the amount available for allocation to States decreases from the prior year, any amount available for allocation to States above the 1997 level is allocated based on the relative increases in funding that the States received between 1997 and the prior year. If there is a decrease below the amount allocated for 1997, each State's allocation is ratably reduced from the 1997 level.

This program has no matching requirements. No match requirement. However, there are non-supplanting and excess cost requirements.

This program has MOE requirements, see funding agency for further details. MOE requirements for this program apply to both State Educational Agencies and local educational agencies. Contact the program office for further details.

**Length and Time Phasing of Assistance:**

Grants are issued each fiscal year. The Federal obligation period is a 15-month period from July 1 through September 30. State and local educational agencies have an additional 12-month period to obligate funds they receive. See the following for information on how assistance is awarded/released: Contact the program office for information on how assistance is awarded/released.

**Reports:**

State Performance Plans (SPPs) and Annual Performance Reports (APRs) are submitted to the Department of Education from the State Departments of Education. No cash reports are required. No progress reports are required. 34 CFR 80.41. Performance monitoring is applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Generally, the State and its subgrantees must retain records related to grant funds and compliance for a period of 3 years from the date the grantee or subgrantee submits its final expenditure report for that funding period. 34 CFR 80.42. Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$374,099,000; FY 11 est \$373,350,802; and FY 12 est \$374,099,000

**Range and Average of Financial Assistance:**

For FY 2010, regular annual allotments to States, including DC and Puerto Rico, ranged from \$240,249 to \$37,840,680, with an average award of \$7,194,212.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The number of children served in FY 10 was 732,000; the number of children served in FY 11 and FY 12 is estimated to be 732,000. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are at 34 CFR Part 300, and 34 CFR Parts 76-77, 79, 80-82, 84-86, and 97-99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gregg Corr Office of Special Education Programs, Department of Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: gregg.corr@ed.gov Phone: (202) 245-7309

**Website Address:**

<http://www.ed.gov/about/offices/list/osep/osep/programs.html>

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.181 Special Education-Grants for Infants and Families

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States and other eligible entities qualify for funding if they submit approvable applications under IDEA, section 612 and if they make a free appropriate public education available to all children with disabilities ages three through five years, residing in the State.

**84.177 REHABILITATION SERVICES\_INDEPENDENT LIVING SERVICES FOR OLDER INDIVIDUALS WHO ARE BLIND****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VII, Chapter 2.

**OBJECTIVES:**

To provide any independent living services that are described in 34 CFR Section 367.3(b) of the IL program regulations to older individuals who are blind that improve or expand services for these individuals; and conduct activities to help improve public understanding of the problems of these individuals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The designated State unit may use funds awarded under the OIB program to carry out the activities described in the program objectives section of this document. Among the independent living services that can be provided to older individuals who are blind are those services to help correct blindness, provision of eyeglasses and other visual aids, services and equipment to enhance mobility and self-sufficiency, mobility training, Braille instruction, and other services and equipment to help older persons who are blind adjust to blindness, guide services, reader services and transportation, and any other appropriate services to help an older person who is blind in coping with daily living activities, IL core services including IL skills training, information and referral, peer counseling and individual and systems advocacy; and other IL services as defined in the Rehabilitation Act and the IL program regulations.

**Applicant Eligibility:**

Any State agency in the 50 States and the District of Columbia and territories (Commonwealth of Puerto Rico and Virgin Islands) and outlying areas (Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands) designated by the State as the State agency and authorized to provide rehabilitation services to blind individuals may apply. In order to receive assistance under this program, a DSA must submit in a timely manner and obtain approval from the Department of an application containing the agreements, assurances, and information that the Department determines to be necessary to carry out this program.

**Beneficiary Eligibility:**

Older individuals who are blind, as defined in 34 C.F.R. 367.5 of the OIB program regulations are the primary beneficiaries of assistance under this program. This term means An individual aged 55 or older whose severe visual impairment makes competitive employment extremely difficult to obtain but for whom independent living goals are feasible."

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Education Department General Administrative Regulations at 34 CFR Parts 76 and 80 apply to this program. In order to be eligible for an allotment under this program, States must submit an application for a grant under the OIB program in the form and manner prescribed by the Department and the application must contain the assurances listed in 367.11 of the OIB program regulations and section 752(i) of the Rehabilitation Act, including an assurances that the DSA will seek to incorporate any new methods and approaches relating to services for older individuals who are blind into the State Plan for Independent Living.

**Award Procedure:**

A notice of annual allotment to the State is issued. Initial distributions are subject to reallocation at the end of the fiscal year if the Commissioner determines that the State will not expend its allotment. States receive annual grant award notices and funds may be withdrawn under the Electronic Transfer System.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

34 CFR 76.703 governs the approval/disapproval time of State plans in relation to when a State may begin to obligate funds.

**Appeals:**

After reasonable effort has been made to resolve the questions involved, and the State has pursued a hearing before the Office of the Administrative Law Judge,

the State may appeal to the United States Court of Appeals for the circuit in which the State is located pursuant to the 34 CFR 76.202 and 76.902.

**Renewals:**

Awards are made on an annual basis and may be renewed for up to two additional years, for a total of three years under an approved OIB application and the availability of funds.

**Formula and Matching Requirements:**

Statutory Formula: Section 752(j) of the Rehabilitation Act contains the formula the Department uses for the allocation of funds to each State. Matching Requirements: Under section 752(f) of the Rehabilitation Act, the States must contribute 10% of the cost of the program, in cash or in kind. Matching Requirements: Under section 753(f) of the Rehabilitation Act, the States must contribute \$1 for each \$9 of Federal grant funding, in cash or in kind.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis under an approved 3-year OIB application. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by 34 C.F.R. 80.40 and 80.41 of the Education Department General Administrative Regulations (EDGAR), performance reports and financial reports are required annually. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State-administered programs (34 CFR 76). Generally, States and subgrantees must retain records related to grant funds and compliance for a period of 3 years.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$34,151,000; FY 11 est \$34,082,698; and FY 12 est \$34,151,000

**Range and Average of Financial Assistance:**

For FY 2011, the range was \$40,000 to \$3,379,346 and the average award was \$602,533.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 76, 77, 79, 80, 81, 82, 84, 85, and 97; Program Regulations in 34 CFR Parts 367 and selected sections of 34 CFR 364 and 365, listed in 34 CFR 367.4.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Akinola, Office of Special Education and Rehabilitative Services, Department of Education, Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: elizabeth.akinola@ed.gov Phone: (202) 245-7303.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

84.132 Centers for Independent Living; 84.169 Independent Living\_State Grants; 84.240 Program of Protection and Advocacy of Individual Rights

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

An approved OIB application is a condition for receipt of funds under the OIB program under Chapter 2 of Title VII of the Rehabilitation Act. Application requirements are contained in section 752(i) of the Rehabilitation Act and 34 CFR 367.10 and 367.11.

**84.181 SPECIAL EDUCATION-GRANTS FOR INFANTS AND FAMILIES****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, 20 U.S.C. 1431-1444, Part C.

**OBJECTIVES:**

To provide grants to States to assist them to implement and maintain a Statewide, comprehensive, coordinated, multidisciplinary, interagency system to make available early intervention services to infants and toddlers with disabilities and their families.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used to assist States in implementing and maintaining their Statewide systems of early intervention services. Funding may also be used to provide direct services for eligible infants and toddlers with disabilities aged birth through 2 and their families that are not otherwise provided by other public or private sources, to expand and improve services for infants and toddlers with disabilities that are otherwise available and to provide a free appropriate public education, in accordance with Part B of IDEA, to children with disabilities from their third birthday to the beginning of the following school year. States also have the discretion to provide services to infants and toddlers who are at risk of having substantial developmental delays if they do not receive appropriate early intervention services. The Individuals with Disabilities Education Improvement Act of 2004 amended IDEA to allow states, at their discretion, to continue to serve children with disabilities under this program beyond age three until the children enter or are eligible to enter kindergarten or elementary school, if such children are otherwise eligible for services under the Preschool Grants Program (84.173), and previously received services under the Part C program.

**Applicant Eligibility:**

Eligible applicants are the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Secretary of the Interior and the following four outlying area jurisdictions: Guam, American Samoa, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

Infants and toddlers with disabilities aged birth through 2 and their families will benefit.

**Credentials/Documentation:**

. In general, each State or jurisdiction must submit an application, including certifications, policies and procedures, and statement of assurances to receive IDEA Part C FY 2009 funds; however no separate application were required for States to receive IDEA Part C ARRA funds. Each State lead agency is designated by the Governor of that State or jurisdiction. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Specific application procedures are provided in the application form for the program. The State lead agencies, the applicants for this program, are designated by the Governor.

**Award Procedure:**

Once the State application is approved, a grant award representing the total State allocation is forwarded to the State lead agency. This is a forward funded program, in which funds become available for obligation on July 1st of the fiscal year for which they are appropriated and remain available to States for 15 months through September of the following year and an extra twelve months.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The time for reviewing the State's application is determined by EDGAR (in 34 CFR 76.703) and ranges from 45 to 90 days.

**Appeals:**

The Department may not disapprove an application unless the Department determines, after notice and opportunity for a hearing, that the applicant has failed to meet an eligibility requirement.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Awards are based on each State applicant's proportionate share of children, aged birth through two years, in the general population, based on the most recent satisfactory data available from the United States Bureau of the Census. No State may receive less than 0.5 percent of the total funds available for all States. The Department of Interior receives 1.25 percent of the amount available to States. The Outlying Areas combined receive up to 1 percent of the funds appropriated. This program has nonsupplanting and MOE requirements. 20 USC 1443.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are issued each year. The Federal obligation period is a 15-month period from July 1 through September 30 of the following fiscal year. State and local education agencies have an additional 12-month period to obligate their funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

State lead agencies must submit an Annual Performance Report under IDEA sections 616 and 642. An annual report to the Governor and to the Secretary by the State Interagency Coordinating Council on the status of early intervention programs operated within the State as required under Section 641(e)(1)(D) of the Act, and other information that the Secretary may require, including information required under Section 618 of the Act. Annual State Performance Plans and Annual Performance Reports are submitted to the Department of Education by the lead agency on an annual basis. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by GEPA and EDGAR for State-administered programs (in 34 CFR 76.730-731), generally, the State lead agency and its contractors must retain records related to grant funds and compliance for a period of 5-years.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$439,427,000; FY 11 est \$438,548,000; and FY 12 est \$489,427,000

**Range and Average of Financial Assistance:**

For 2009, regular annual allotments to States, including DC and Puerto Rico ranged from, \$2,152,956 to \$53,559,544; with an average award of \$7,709,246.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program provided 56 formula grant awards to eligible entities, including the 50 States, DC, Puerto Rico, and the Outlying Areas, which used these funds to serve an estimated 342,000 infants and toddlers with disabilities and their families. Fiscal Year 2011: The program provided 56 formula grant awards to eligible entities, including the 50 States, DC, Puerto Rico, and the Outlying Areas, which used these funds to serve an estimated 355,000 infants and toddlers with disabilities and their families. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 303.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ruth Ryder, Office of Special Education Programs-MSIP, Department of Education, 400 Maryland Avenue, S.W, Washington, District of Columbia 20202 Email: Ruth.Ryder@ed.gov Phone: (202) 245-7629.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/programs.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

State lead agencies designated by the Governor are eligible applicants and must submit an approved application under Part C of the IDEA for regular IDEA Part C funds.

**84.184 SAFE AND DRUG-FREE SCHOOLS AND COMMUNITIES NATIONAL PROGRAMS**

**FEDERAL AGENCY:**

Office of Safe and Drug-Free Schools, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title IV, Part A, Subpart 2, Section 4121-4130.

**OBJECTIVES:**

To enhance the Nation's efforts to prevent the illegal use of drugs and violence among, and promote safety and discipline for, students at all educational levels; and to support programs to reduce alcohol abuse among secondary school students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects funded under this program support alcohol abuse reduction, drug and violence prevention and education, and school emergency preparedness activities. The Secretary may fund applications that address specific priorities and requirements published in the Federal Register. Maintenance-of-effort provisions apply to local educational agencies (LEAs); an LEA may receive a

grant only if its State educational agency finds that either the combined fiscal effort per student or the aggregate expenditures of the LEA and the State with respect to the provision of free public education by the LEA for the preceding fiscal year was not less than 90 percent of the combined fiscal effort or aggregate expenditures for the second preceding fiscal year. If applicable, all grantees must use an indirect cost rate that is consistent with the provisions in 34 CFR 75.560 through 75.564.

**Applicant Eligibility:**

Public and private organizations, and individuals.

**Beneficiary Eligibility:**

Higher education institutions, State educational agencies (SEAs), local educational agencies (LEAs), and nonprofits will benefit, as will students, teachers, and parents.

**Credentials/Documentation:**

Contact the headquarters for credential/documentation requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications or proposals must be prepared and submitted in accordance with applicable program announcements.

**Award Procedure:**

After completion of competitive peer review of applications, the Department of Education makes the final decision on the approval and funding of applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The estimated amount of time needed to approve/disapprove an application is five months following the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon the availability of funding and satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants will generally be made for a period of 12 to 48 months. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Specified reporting requirements are included in the grant, cooperative agreement or contract document. Cash reports are not applicable. Contact program office. Contact program office. Contact program office.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Auditors should use Part 7 - Guidance for Auditing Programs Not Included in the Compliance Supplement for reference when auditing this program.

**Records:**

As required by EDGAR, 34 CFR 74.53 and 75.730-732.

**Account Identification:**

91-0203-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$224,053,000; FY 11 est \$126,133,228; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, the Department made 460 awards. Fiscal Year 2011: In FY 2011, an estimated 117 awards are expected. Government Performance Results Act data available at Website address. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations applicable to this program are in the Department of Education's General Administrative Regulations (34 CFR 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, 99, and 299).

**Regional or Local Office:**

None.

**Headquarters Office:**

Bill.Modzeleski Department of Education, Office of Safe and Drug-Free Schools, Potomac Center Plaza, Room 10087, Washington, District of Columbia 20202 Email: Bill.Modzeleski@ed.gov Phone: (202) 245-7831.

**Website Address:**

<http://www2.ed.gov/about/offices/list/osdfs/programs.html>

**RELATED PROGRAMS:**

84.186 Safe and Drug-Free Schools and Communities\_State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Available at Website address. Fiscal Year 2011: Available at Website address. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria include: (1) Need for the project; (2) significance; (3) quality of project design; (4) adequacy of resources; (5) quality of the management plan; and (6) quality of project evaluation.

**84.185 BYRD HONORS SCHOLARSHIPS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 6, 20 U.S.C. 1070d-38.

**OBJECTIVES:**

To provide scholarships to support postsecondary education to outstanding high school seniors who show promise of continued academic achievement in an effort to recognize and promote student excellence and achievement.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Scholarships of \$1,500 per year of study, for a maximum of 4 years, at any eligible institution of higher education.

**Applicant Eligibility:**

The State educational agencies (SEA), which supervise public elementary and secondary schools in the States, are responsible for administering the program. For the purposes of this program, the States include the fifty States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, the Northern Mariana Islands, and Guam.

**Beneficiary Eligibility:**

A student must meet residency and citizenship requirements, be a graduate of a public or private secondary school or have been accepted for enrollment at an institution of higher education, have demonstrated outstanding academic achievement, and show promise of continued academic achievement to be eligible to receive a scholarship.

**Credentials/Documentation:**

To receive allotments for scholarships, a State must submit a participation

agreement to the Department of Education as required by Section 419E of the program statute. A State is not required to provide further application information for funding unless the State wants to modify an approved agreement. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Annual allotments are provided through grant awards to the State educational agencies for making scholarships to qualifying students. Students apply to their State of legal residence for a scholarship under this program. Student applicants must follow the application procedures as directed by each State. Each participating State awards scholarships to eligible students in accordance with selection procedures developed by the State.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

To be eligible for allotments for any year, States must enter into an agreement with the Department of Education in accordance with Section 419E of the program statute and the program requirements for the year as published in the Federal Register by the Secretary. To be eligible for renewal of scholarships, students must continue to meet residency and citizenship requirements, be enrolled as a full-time student, and maintain satisfactory academic progress. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory Formula: Formula is defined in section 419D of the program statute. Each participating State is allotted funds based on the ratio of the State's population ages five through seventeen years to the population ages five through seventeen in all participating States, except that no State shall receive less than 10 scholarships of \$1,500 each. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Contact Program Office. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

An annual performance report of the expenditure of Scholarship funds and other reports as required by the Secretary. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit requirements as described in 34 CFR 74.26 do not apply to this program.

**Records:**

Records must be maintained for 5 years after the activity for which the funds were awarded or until completion of the Department Audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.



**Obligations:**

(Formula Grants) FY 10 \$42,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range: \$60,000 - \$5,037,000; Average: \$725,732.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 654 (Program Regulations) published in the Federal Register on August 11, 1993, fact sheet, program description, and Directory of State Agency Official Contacts (current). Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Darryl Davis, Department of Education, Office of Postsecondary Education, Higher Education Programs, 1990 K Street, N.W., Washington, District of Columbia 20202 Email: darryl.davis@ed.gov Phone: (202) 502-7657.

**Website Address:**

<http://www.ed.gov/programs/idadesbyrd/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.186 SAFE AND DRUG-FREE SCHOOLS AND COMMUNITIES STATE GRANTS****FEDERAL AGENCY:**

Office of Safe and Drug-Free Schools, Department of Education

**AUTHORIZATION:**

Title IV, Part A, Subpart 1 of the Elementary and Secondary Education Act (ESEA) of 1965, as amended.

**OBJECTIVES:**

To offer a disciplined environment conducive to learning, by preventing violence in and around schools and strengthening research based programs that prevent the illegal use of alcohol, tobacco, and drugs, involve parents, and are coordinated with related Federal, State, and community efforts and resources.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Drug prevention programs must convey a clear and consistent message that the illegal use of alcohol and other drugs is wrong and harmful. Generally, funds under the program may not be used for construction, medical services, or drug treatment or rehabilitation. This program is subject to maintenance-of-effort requirements. In addition, grantees and subgrantees must use an indirect cost rate that is consistent with the provisions in 34 CFR 75.560 through 75.564.

**Applicant Eligibility:**

State Governors; State education agencies (SEAs), Guam, American Samoa, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands may apply. Organizations primarily serving and representing Native Hawaiians for the benefit of Native Hawaiians may also apply under a designated grant competition.

**Beneficiary Eligibility:**

Governors offices, SEAs, LEAs, Insular Areas, Tribal governments, and other public and private nonprofit organizations (including parent groups, community action agencies, and other community-based organizations); American Indians and Native Hawaiians; and students and teachers in public and private schools in each State.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each State must submit to the Department of Education an application covering a 5-year period which is amended as needed.

**Award Procedure:**

Applications from States are reviewed for compliance with the statute. If it is determined that the application meets the statutory requirements, the Assistant Deputy Secretary awards the State its allotment. For the Native Hawaiians program, peer reviewers review and score grantee applications based upon the quality of applications submitted.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The estimated amount of time needed to approve/disapprove a States application is approximately sixty days. For the Native Hawaiians program, approximately four months are needed to review and award grants after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

State applications are amended as needed. Awards are generally made effective July 1 of each calendar year. For the Native Hawaiians program, continuation grants are negotiated at the time of initial award and are contingent upon available funds during that year and the demonstration of satisfactory performance.

**Formula and Matching Requirements:**

Statutory Formula: The statutory formula used to determine each States allotment is authorized by Title IV, Part A, Subpart 1, Section 4111, ESEA. This program has maintenance-of-effort requirements; see funding agency for further details. From the total appropriation, 1 percent or \$4.75 million (whichever is greater) is reserved for the Outlying Areas, 1 percent or \$4.75 million (whichever is greater) is reserved for the DOI Bureau of Indian Education for programs for Indian youth, and 0.2 percent is reserved for programs for Native Hawaiians. The Department allocates the remaining funds by formula to States, half on the basis of school-aged population and half on the basis of State shares of ESEA Title I Concentration Grants funding for the previous year, provided that no State receives less than the greater of: (1) one-half of 1 percent of the total, or (2) the amount it received under the program in fiscal year 2001. Of each States allocation, the Governor may elect to administer up to 20 percent of the funds; the remainder is administered by the State educational agency (SEA). The SEA must subgrant at least 93 percent to Local Education Agencies (LEAs). LEA allocations are based 60 percent on ESEA Title I Concentration Grant funding for the preceding year and 40 percent on enrollment.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Generally, State awards are made from July 1 of one year to September 30 of the following year. In addition, funds remain available to States for an additional fiscal year for obligation and expenditure. For the Native Hawaiians program, grants are awarded for up to 60 months consisting of five project periods of 12 months each. Continuation awards after the initial 12-month

award period are contingent upon the availability of funds and the grantee demonstrating they are making substantial progress on their project. For both the State and National Hawaiians program, grantees draw down funds electronically as needed. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

A report on the programs funded by the State is required by Section 4117 of the Act. Performance reports are required in accordance with 34 CFR 76.720, 80.40, and 80.41. For Native Hawaiians programs, performance reports are required in accordance with 34 CFR 74.51, 74.52, and 75.720. required. required. required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Auditors should use Part 7 Guidance for Auditing Programs Not Included in the Compliance Supplement for reference when auditing this program.

**Records:**

In accordance with 34 CFR 76.730, grantees must maintain appropriate records related to grant funds, compliance, and project performance for three years after the completion of activity for which the grant or subgrant funds were used that are sufficient to establish fiscal accountability and to facilitate an effective audit. For the Native Hawaiians program, records retention and access requirements are in accordance with 34 CFR 74.53 and 75.730-732.

**Account Identification:**

91-0203-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - No additional funding is expected for FY 2011 or 2012.

Native Hawaiians Program Grants: FY 2010 - \$0 and FY 2011 - \$0. No new awards are anticipated.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No appropriation was received. Fiscal Year 2011: No appropriation was received. Fiscal Year 2012: No appropriation was received.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of the formula grants program is governed by statute, EDGAR (34 CFR 76, 77, 79, 80, 81, 82, 85, 98 and 99) and non-regulatory guidance. The administration of the Native Hawaiians program is governed by the Statute and EDGAR (34 CFR 74, 75, and 77).

**Regional or Local Office:**

None.

**Headquarters Office:**

Paul Kesner, Department of Education, Office of Safe and Drug-Free Schools, Potomac Center Plaza, Room 10109, Washington, District of Columbia 20202  
Email: paul.kesner@ed.gov Phone: (202) 245-7889.

**Website Address:**

<http://www.ed.gov/about/offices/list/osdfs/programs.html#state>.

**RELATED PROGRAMS:**

84.184 Safe and Drug-Free Schools and Communities\_National Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Drug and violence prevention activities such as developing instructional materials; professional development programs for school personnel; community services projects; conflict resolution, peer mediation, mentoring, and character education; establishing safe zones of passage for students to and from school; acquiring and installing metal detectors; hiring

security personnel; student instruction; parent education and involvement; student assistance programs, including counseling, identification, and referral services; and strengthening readiness and emergency management planning efforts. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States receive formula grants based upon submission of an approvable application. For Native Hawaiians program direct grant awards are made through a peer review process where applications are selected based on quality.

**84.187 SUPPORTED EMPLOYMENT SERVICES FOR INDIVIDUALS WITH THE MOST SIGNIFICANT DISABILITIES**

(Supported Employment State Grants)

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VI, Part B.

**OBJECTIVES:**

To provide grants for time limited services leading to supported employment for individuals with the most significant disabilities to enable such individuals to achieve the employment outcome of supported employment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds are used to: (1) complement services under Title I of the Rehabilitation Act of 1973, as amended; (2) provide skilled job trainers who accompany the worker for intensive on-the-job training; (3) provide systematic training; (4) provide job development; (5) provide follow-up services; (6) provide regular observation or supervision at training sites; and (7) provide other services needed to support an individual in employment. Funds may not be used to provide the required extended services once an individual transitions from the time limited services provided under Title VI-B.

**Applicant Eligibility:**

State vocational rehabilitation (VR) agencies (including territories and possessions) designated in the State plan to administer the Vocational Rehabilitation Program.

**Beneficiary Eligibility:**

Individuals with the most significant disabilities who have been determined eligible for vocational rehabilitation services under Title I of the Rehabilitation Act of 1973, as amended, and who has identified supported employment as an employment outcome.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each State agency must submit a State plan supplement as part of the State plan under Title I of the Rehabilitation Act. Vocational rehabilitation agencies submit the State Plan and supplement to RSA.

**Award Procedure:**

Grant awards are made to State VR agencies with an approved State plan. States are notified of their annual allotment under the funding formula. Grant funds are withdrawn under the Electronic Transfer System.

**Deadlines:**

Jul 01, 2011 A State plan supplement to the State plan for vocational rehabilitation services is submitted to the RSA for approval by July 1 of each year.

**Range of Approval/Disapproval Time:**

State plans must be approved within 90 days of being submitted to RSA. The State Plan and Supported Employment supplement must be approved prior to allotment of program funds to state VR agencies.

**Appeals:**

A State may appeal the Secretary's decision to disapprove the State plan by filing a petition for review with the United States Court of Appeals for the circuit in which the State is located.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Rehabilitation Act of 1973, as amended, Title VI, Part B. Federal funds are distributed based on the U.S. total populations and State population and the source is the Population Estimates Annual, Bureau of the Census. No State shall receive less than \$300,000 or one-third of one percent of the sums made available for the fiscal year, whichever is greater. The minimum allotment for Territories is 1/8 of 1 percent of the amount appropriated. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds become available for obligations for the fiscal year for which they are appropriated and may remain available for obligation for an additional year. Grant funds are withdrawn under the Electronic Transfer System. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Annual and quarterly progress reports and annual budget (Standard Form 425) are required. Cash reports are not applicable. Progress reports are not applicable. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Case records on individual consumers, fiscal records for a prescribed period for audit purposes and retention of records for three years are required.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$29,181,000; FY 11 est \$29,123,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

In FY 2011, range of awards is \$36,403 to \$2,955,242. The average State award, excluding territories is \$551,650.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Data from the RSA 911 Case Service Report show that in fiscal year 2010 about 55 percent of the individuals who had a goal of supported employment and whose service records were closed after receiving supported employment services that were, at least in part, paid for with funds under the Supported Employment State Grants program, achieved an employment outcome. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Supported Employment Services for Individuals with the Most Significant

Disabilities (34 CFR part 363).

**Regional or Local Office:**

None.

**Headquarters Office:**

Carol Dobak, Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Carol.Dobak@ed.gov Phone: (202) 245-7325.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

64.007 Blind Rehabilitation Centers; 64.013 Veterans Prosthetic Appliances; 64.116 Vocational Rehabilitation for Disabled Veterans; 84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.128 Rehabilitation Services\_Service Projects; 84.132 Centers for Independent Living; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.161 Rehabilitation Services\_Client Assistance Program; 84.169 Independent Living\_State Grants; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable (Catalog users should contact the State Vocational Rehabilitation agency for criteria).

**84.191 ADULT EDUCATION\_NATIONAL LEADERSHIP ACTIVITIES****FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Adult Education and Family Literacy Act, (AEFLA), Title II of the Workforce Investment Act of 1998, Section 243, 20 USC 9253.

**OBJECTIVES:**

To support applied research, development, demonstration, dissemination, evaluation, and related activities that contribute to the improvement of adult education and literacy activities nationally.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use; Project Grants; Project Grants (Contracts)

**USES AND USE RESTRICTIONS:**

To support activities to enhance the quality of adult education and literacy activities nationwide. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Postsecondary education institutions, public or private agencies or organizations, or consortia of these institutions, agencies, or organizations are eligible.

**Beneficiary Eligibility:**

Basic education and literacy programs for adults seeking to obtain an education at the primary or secondary levels will benefit through national evaluation, leadership and/or technical assistance efforts.

**Credentials/Documentation:**

Legal signature by a designated official on the application or proposal. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed when applying for a competitive grant. Environmental

impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be prepared and submitted to the Department of Education in accordance with program announcements and established deadlines which are published in the Federal Register.

**Award Procedure:**

Proposals or applications are reviewed in accordance with regulations for the Adult Education Act. After negotiation, a notification for award is sent to the successful recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding will usually cover a 12-18 month period. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Financial status and performance reports required by the Education Department General Administrative Regulations, 34 CFR 75.720. Specific reporting requirements are contained in the award document. Subject to the terms of the award document, cash reports, progress reports, expenditure reports and performance monitoring may or may not be applicable. No cash reports are required. No progress reports are required. No expenditure reports are required. Contact program office.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for three years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants (Contracts)) FY 10 \$11,346,000; FY 11 est \$11,323,308; and FY 12 est \$23,346,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Go to <http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/index.html> for information on investments supported by this program. Fiscal Year 2011:

AvailableGo to

<http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/index.html> for information on investments supported by this program. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are found in 34 CFR 460 and 34 CFR 75.730-75.734. EDGAR

**Regional or Local Office:**

None.

**Headquarters Office:**

Christopher Coro Department of Education, OVAE Division of Adult Education and Literacy 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: christopher.coro@ed.gov Phone: (202) 245-7717

**Website Address:**

<http://www.ed.gov/about/offices/list/ovae/pi/AdultEd/index.html>.

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Literacy Information and Communications System (LINCS), which includes a resource collection, regional professional development centers, and the development of a technology infrastructure. Fiscal Year 2011: Additional investments include those designed to improve the quality of the adult education teaching force, including investments in standards-based educational reform. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications should address each criterion: (1) Plan of operation; (2) quality of key personnel; (3) budget and cost-effectiveness; (4) evaluation plan; (5) adequacy of resources; (6) national need; and (7) adequacy of resources. Contact the program office for additional information.

**84.196 EDUCATION FOR HOMELESS CHILDREN AND YOUTH FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act, Title VII, Subtitle B.

**OBJECTIVES:**

To ensure that all homeless children and youth have equal access to the same free, appropriate public education available to other children, the Education for Homeless Children and Youth program provides assistance to States to: (1) establish or designate an Office of Coordinator for Education of Homeless Children and Youths; (2) develop and carry out a State plan for the education of homeless children; and (3) make subgrants to local educational agencies (LEAs) to support the education of those children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

State educational agencies (SEAs) may use grant funds for State-level activities (including activities of the Office of Coordinator for Education of Homeless Children and Youths) and to make subgrants to LEAs. LEAs may use subgrant funds for activities allowable under section 723(d) of the McKinney-Vento Homeless Assistance Act that facilitate the educational success of homeless children and youth. Such activities include but are not limited to: enriched supplemental instruction, transportation, health care referral services, and professional development for teachers. Services provided with these funds cannot replace the regular academic program and must expand upon or improve services provided as part of the regular academic program.

**Applicant Eligibility:**

State educational agencies in the 50 States, the District of Columbia, and Puerto Rico may apply. Funds are also reserved for the Outlying Areas and the Department of Interior/Bureau of Indian Education. LEAs are eligible for State subgrants.

**Beneficiary Eligibility:**

Homeless children and youth in elementary and secondary schools (and homeless preschool children and their parents benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A State that desires to receive a grant under this program must submit a plan to the Department that meets the requirements of section 722(g) of the McKinney-Vento Homeless Assistance Act.

**Award Procedure:**

The Department awards grants to States by formula. States then award subgrants competitively to LEAs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Statutory Formula: McKinney-Vento Homeless Assistance Act, Title VII, Subpart B, section 722(c). Each State receives an amount that bears the same ratio to the amount appropriated for this program as the amount allocated to the State under Section 1122 of the Elementary and Secondary Education Act bears to the total allocations made under Section 1122, except that no State shall receive less than the greater of \$150,000, 0.25 percent of the total program appropriation, or the amount of the State's fiscal year 2001 award. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

States receive formula grants annually. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$65,427,000; FY 11 est \$65,296,146; and FY 12 est \$65,427,000

**Range and Average of Financial Assistance:**

FY 2010 average State award: \$1,227,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2011: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2012: Interested parties should visit the website address provided below for information on program accomplishments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance for the Education for Homeless Children and Youth program may be obtained from the Headquarters Office contact below.

**Regional or Local Office:**

None.

**Headquarters Office:**

John McLaughlin, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: john.mclaughlin@ed.gov Phone: (202) 401-0962.

**Website Address:**

<http://www.ed.gov/programs/homeless/index.html>.

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 84.010 Title I Grants to Local Educational Agencies; 84.011 Migrant Education\_State Grant Program; 84.013 Title I Program for Neglected and Delinquent Children

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Interested parties should contact the Headquarters Office as listed above for information on projects funded with subgrant funds. Fiscal Year 2011: Interested parties should contact the Headquarters Office as listed above for information on projects funded with subgrant funds. Fiscal Year 2012: Interested parties should contact the Headquarters Office as listed above for information on projects funded with subgrant funds.

**CRITERIA FOR SELECTING PROPOSALS:**

States receive grants noncompetitively by formula. LEA subgrants are awarded competitively by States on the basis of need and the quality of applications.

**84.200 GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED  
FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VII, Part A, Subpart 2.

**OBJECTIVES:**

To provide fellowships through graduate academic departments, programs, and units of institutions of higher education to graduate students of superior ability who demonstrate financial need for the purpose of sustaining and enhancing the capacity for teaching and research in academic areas of national need, as designated by the Secretary.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards made to institutions under this part shall be used exclusively to provide direct fellowship aid that will include need-based stipends, based on the support level of National Science Foundation fellowships and an institutional allowance for each individual awarded a fellowship to be adjusted annually in accordance with the Department of Labor's Consumer Price Index. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at 202-708-7770.

**Applicant Eligibility:**

Academic departments and programs of IHEs that provide courses of study leading to a graduate degree may apply. Nondegree granting institutions may submit joint proposals with degree-granting IHEs.

**Beneficiary Eligibility:**

Graduate students receiving fellowships must demonstrate financial need, have excellent academic records, plan to pursue the highest degree in the field, and be a U.S. citizen or a National, or a permanent resident of the U.S., or intend to become a U.S. citizen, be a permanent resident of the Trust Territory of the Pacific Islands, or a citizen of any one of the Freely Associated States.

**Credentials/Documentation:**

A properly formatted application must be filed with the Secretary. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Instructions and forms concerning application procedures are available on the program website following publication of the Notice Inviting Application funding criteria in the Federal Register.

**Award Procedure:**

Panels of experts from outside the Government will appraise all applications. The program office will recommend funding to the Secretary, who will make the final decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately three months.

**Appeals:**

Not Applicable.

**Renewals:**

Noncompeting continuation applications must be given funding preference subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. A grantee must match the award by 25 percent. Federal funds and matching funds must be used for stipends, tuition fees, and other educational costs of students. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of the award is three years, subject to yearly appropriations. However students may receive support for up to five years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual fiscal and performance reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit requirements as described in 34 CFR 74.26 do not apply to this program.

**Records:**

None.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$31,030,000; FY 11 est \$30,967,940; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 176 awards and 703 participants. Fiscal Year 2011: 176 awards and 702 participants. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations were published in the Federal Register on December 16, 1993. The application package including forms and regulations are available on the GAANN website. See program website for further information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gary Thomas, Teacher & Student Development Programs Service, Graduate Assistance in Areas of National Need Program, Office of Postsecondary Education, Department of Education, 1900 K St, NW, 6th Floor, Washington, District of Columbia 20006 Email: ope\_gaann\_program@ed.gov Phone: (202) 502-7767.

**Website Address:**

<http://www.ed.gov/programs/gaann/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This program uses the selection criteria contained in program regulations made available in the application package. Contact the program office for additional information. See program website for further information.

**84.206 JAVITS GIFTED AND TALENTED STUDENTS EDUCATION****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V, Part D, Subpart 6.

**OBJECTIVES:**

To provide financial assistance to State and local educational agencies, institutions of higher education, and other public and private agencies and organizations, to stimulate research, development, training, and similar activities designed to build the ability of elementary and secondary schools nationwide to meet the special educational needs of gifted and talented students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used to make project grants and to establish and maintain a National Center for the Education of Gifted and Talented Children and Youth. Funds may be used for: (1) conducting research on methods and techniques for identifying and teaching gifted and talented students and for using gifted and talented programs and methods to serve all students; (2) the professional development of personnel involved in the education of gifted and talented students; (3) the establishment of exemplary programs serving gifted and talented students, including those for identifying and educating students who might not be served by a traditional program; (4) implementing innovative learning strategies; (5) technical assistance and information dissemination, including on how gifted and talented programs and methods may be adapted for use by all students; and (6) providing challenging, high-level, technology-based coursework for students in schools that would not otherwise have the resources to provide such coursework.

**Applicant Eligibility:**

State and local educational agencies, institutions of higher education, other public and private agencies and organizations (including Indian tribes and organizations, as defined by the Indian Self-Determination and Education Assistance Act, and Native Hawaiian organizations) may apply for project grants.

**Beneficiary Eligibility:**

Students (including gifted and talented students) and their teachers benefit.

**Credentials/Documentation:**

OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for private nonprofit organizations apply to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Procedures are described in an application notice published in the Federal Register. Applicants should contact the headquarters office as listed below for application packages containing the announcement, application, and other forms.

**Award Procedure:**

New project grant awards are made if funds are available and are not necessarily made each year. The selection of grantees is competitive and based on a nonfederal review of applications using selection criteria contained in 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately two to four months after the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Following an initial, competitively selected award of up to 12 months, grantees may receive additional 1-year non-competing continuation awards, for a total maximum term of 3-5 years, contingent on performance and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Following an initial, competitively selected award of up to 12 months, grantees may receive additional 1-year non-competing continuation awards for a total maximum term of 3 - 5 years, contingent on performance and availability of funds. See the following for information on how assistance is awarded/released:  
Electronic transfer.

**Reports:**

Grantees must submit an annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR 75 unless otherwise specified in the award document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Generally, records related to grant funds, compliance, and performance must be maintained for a period of 3 years after completion.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$7,463,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department of Education's General Administrative Regulations (EDGAR) 34 CFR 74, 75, 77, 78, 79, and 80.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Johnson, Department of Education, OESE, Jacob K. Javits Gifted and Talented Students Education 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: patricia.johnson@ed.gov Phone: (202) 260-7813.

**Website Address:**

<http://www.ed.gov/programs/javits/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Interested parties should visit the website address provided above for examples of funded projects. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for the approval of proposals under this program are selected from among those in 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements, and announced in an application notice published in the Federal Register.

**84.213 EVEN START\_STATE EDUCATIONAL AGENCIES****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Title I, Part B, Subpart 3.

**OBJECTIVES:**

To help break the cycle of poverty and illiteracy and improve the educational opportunities of low-income families, by integrating early childhood education, adult literacy or adult basic education, and parenting education into a unified family literacy program.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Subgrants are used for family literacy activities such as recruitment and screening of children and parents, design of programs, instruction of children and parents, support services, staff training, evaluation, and coordination with other programs. Funds may not be used for indirect costs.

**Applicant Eligibility:**

State educational agencies (SEAs).

**Beneficiary Eligibility:**

Parents eligible for participation under the Adult Education Act and their children aged birth through seven. Families must be in need of Even Start services, as indicated by a low income level and low level of adult literacy or English language proficiency, or other need-related indicators.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State educational agencies (SEAs) submit State plans to the Department of Education in accordance with requirements in the Elementary and Secondary Education Act and guidance by the Department.

**Award Procedure:**

The Department of Education awards grants to SEAs based on their relative shares of ESEA Title I, Part A funds. SEAs award subgrants giving priority to proposals that target areas designated as empowerment zones or enterprise communities or that propose to serve families in other high-poverty areas.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

Other - Not Specified.

**Renewals:**

Federal formula funds are awarded to SEAs annually. Subgrants are for up to four years with annual renewals subject to approval of the SEA and the availability of funds. After the subgrant ends, an applicant may reapply for a new subgrant.

**Formula and Matching Requirements:**

Statutory Formula: ESEA Title I, Part A.  
Matching Requirements: The Department awards grants to SEAs based on the State's relative shares of ESEA Title I, Part A funds. The Federal share of the cost of a subgrant project may not be more than 90 percent in the first year, 80 percent in the second year, 70 percent in the third year, 60 percent in the fourth year, and 50 percent in any subsequent year.  
This program has MOE requirements, see funding agency for further details. See funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula grants to SEAs are awarded on July 1. Funds are available to States for obligation and expenditure for a total of 27 months. Subgrants may not exceed 4 years in duration. See the following for information on how assistance is awarded/released: by electronic transfer.

**Reports:**

Annual performance reports are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education

Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, certain project records must be retained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$66,454,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range (FY10): \$310,387-\$7,418,938; Average: \$1,193,795.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76 (except for 76.600-76.677), 77, 80-82, and 85; Education Department General Administrative Regulations (EDGAR). For more information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Melvin Graham, Department of Education, OESE Academic Improvement and Teacher Quality, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: melvin.graham@ed.gov Phone: (202) 260-8268.

**Website Address:**

<http://www.ed.gov/programs/evenstartformula/index.html>.

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States; 84.010 Title I Grants to Local Educational Agencies; 84.011 Migrant Education\_State Grant Program; 84.258 Even Start\_Indian Tribes and Tribal Organizations; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

SEAs apply their own criteria to select subgrantees most likely to succeed in meeting the purpose of Even Start and in effectively implementing the program elements in Section 1205 and the requirements in Section 1208(a)(1) and (2), Part B, Title I of ESEA. SEAs must give priority to projects that target services to the neediest families or to projects that are located in areas designated as Empowerment Zones or Enterprise Communities under Public Law 103.66.

**84.214 EVEN START\_MIGRANT EDUCATION**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title I, Part B.

**OBJECTIVES:**

To improve the educational opportunities of migrant families through family literacy programs that integrate early childhood education, adult literacy or adult basic education, and parenting education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used for family literacy activities such as recruitment and screening



of children and parents, design of programs, instruction for children and parents, staff training, support services, evaluation, and coordination with other programs. Indirect costs are not an allowable project cost unless a waiver is obtained from the Secretary of Education.

**Applicant Eligibility:**

Any State or local government entity, institution of higher education or non-profit organization is eligible to apply. The Secretary specifically invites application from State educational agencies (SEAs) that administer migrant programs; local educational agencies (LEAs) that have a high percentage of migrant students; and nonprofit community-based organizations that work with migrant families.

**Beneficiary Eligibility:**

Parents who are migratory agricultural workers or fishers and their children, from birth through age 7, as defined in 34 CFR 200.81. Parents must also be eligible participants under the Adult Education Act or be within the State's compulsory school attendance age range. Families must be in need of Even Start services as indicated by a low income level and low level of adult literacy or English language proficiency, as well as other need indicators.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications or proposals must be prepared and submitted in accordance with applicable program announcements. Application forms are available from the Department of Education, Office of Migrant Education. Applications must be prepared and submitted in accordance with the regulations, instructions, and forms included in the application package. The applications are reviewed and evaluated by a panel of three reviewers with expertise in program components. OMB Circular No. A-133 applies to this program.

**Award Procedure:**

A panel appointed by the Secretary reviews each application and evaluates the application on the basis of selection criteria published in the Federal Register. The program office reviews financial information to ensure costs reflect required program elements, including relevant matching costs. The Secretary makes awards based on applicant scores.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days following the deadline for submitting applications.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded for four years, with annual renewals subject to satisfactory performance reports and the availability of funds. Applicants may apply for consecutive 4-year cycles, with increased requirements for local cost share.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The Federal share of the cost of a project is not more than 90 percent in the first year, 80 percent in the second, 70 percent in the third, and 60 percent in the fourth and final year.

This program has MOE requirements, see funding agency for further details. See funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants may be made for up to 48 months. Funds are awarded for a 12-month period from October 1 to September 30 of the following year. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer of funds.

**Reports:**

Semi-annual progress reports are submitted in July. Annual performance report is required 90 days after the end of each budget cycle. Cash reports are not applicable. No progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 a year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provision Act and the Education Department General Administration Regulations, certain project records must be maintained for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$2,185,430; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Average estimated award: \$280,110. Estimated range of awards: \$187,886 - \$397,719.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Parts 74, 75, 77, 80, 82, and 85 and Part 200. For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

DonnaMarie Fekete, Department of Education, OESE Office of Migrant Education, 400 Maryland Ave., SW, Room 3E313, Washington, District of Columbia 20202 Email: donnamarie.fekete@ed.gov Phone: (202) 260-2815.

**Website Address:**

<http://www.ed.gov/programs/mees/index.html>.

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States; 84.010 Title I Grants to Local Educational Agencies; 84.011 Migrant Education\_State Grant Program; 84.141 Migrant Education\_High School Equivalency Program; 84.149 Migrant Education\_College Assistance Migrant Program; 84.213 Even Start\_State Educational Agencies; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Extent of need for the project; quality of plan design; quality of project services; quality of key personnel; quality of management plan; evaluation plan.

## **84.215 FUND FOR THE IMPROVEMENT OF EDUCATION**

(FIE)

### **FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

### **AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Subpart 1 Title V, Part D, and the American History and Civics Education Act of 2004.

### **OBJECTIVES:**

FIE: To conduct nationally significant programs to improve the quality of education, assist all students to meet challenging State content standards, and contribute to the achievement of elementary and secondary students.

American History and Civics Education Act: To establish academies to improve the teaching and learning of American history and civic.

### **TYPES OF ASSISTANCE:**

Project Grants (Contracts)

### **USES AND USE RESTRICTIONS:**

Funds may be used to support a wide range of projects under the FIE general authority for programs, and additional specific program authorities. Competitions are announced in the Federal Register. Specific limitations and restrictions for each competition are provided in the Federal Register notice.

### **Applicant Eligibility:**

State educational agencies, local educational agencies, institutions of higher education, public and private organizations and institutions may apply.

### **Beneficiary Eligibility:**

State educational agencies, local educational agencies, institutions of higher education, public and private organizations and institutions will benefit.

### **Credentials/Documentation:**

OMB Circular No. A-21; OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Described in application notices published annually in the Federal Register. Contact the headquarters offices listed below for application packages containing the announcement, application, and assurance forms and for further information about the specific programs.

### **Award Procedure:**

Awards are competitively selected following review by nonfederal experts in accordance with Subpart D of Part 75 of the Education Department General Administrative Regulations (EDGAR).

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approximately 120 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant program (see 34 CFR 75.253). Generally, for multiple-year awards, continuation awards after the first budget period are made if: sufficient funds have been appropriated; the recipient has either made substantial progress in the meeting of the goals of the project or obtained approval for changes in the project; the recipient has submitted all required reports; and continuation is in the best interest of the government.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Awards are made annually. Following an initial, competitively selected award, additional non-competing continuation awards may be made. The possible length of the project is announced in the application notice in the Federal Register. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

### **Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual performance and financial reports are required. Cash reports are not applicable. Annual performance reports are required as part of the submittal of form ED 524B. Annual expenditure reports are required as part of the submittal of form ED524B. Staff also monitors grants drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED524B.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local governments are subject to the requirements in the Single Audit Act and the ED regulations implementing OMB Circular No. A-133.

### **Records:**

As required by EDGAR for direct grant programs (34 CFR part 75). Generally, records related to grant funds, compliance, and performance must be maintained for a period of 5 years after completion.

### **Account Identification:**

91-0204-0-1-501.

### **Obligations:**

(Project Grants) FY 10 \$382,632,000; FY 11 est \$12,008,934; and FY 12 est \$63,000,000

### **Range and Average of Financial Assistance:**

Varies by competition.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99. OMB Circulars A-21, A-87, A-110, A-122, and A-133.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Carol Lyons, Office of Innovation and Improvement (OII), 400 Maryland Avenue S.W., Washington, District of Columbia 20202 Email: carol.lyons@ed.gov Phone: (202) 205-4760.

### **Website Address:**

<http://www.ed.gov/programs/find/cfda/index.html?src=In>.

### **RELATED PROGRAMS:**

Not Applicable.

### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: FY 2011 funds support Full Service Community School grants, an education facilities

clearinghouse, and a data quality initiative. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria for these programs are contained in Section 75.210 of the Education Department General Administrative Regulations (EDGAR). The specific criteria to be used for particular grant competitions are announced in the application package or application notice in the Federal Register.

**84.217 TRIO\_MCN AIR POST-BACCALAUREATE ACHIEVEMENT**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1 Section 402E.

**OBJECTIVES:**

To provide grants for institutions of higher education to prepare participants for doctoral studies through involvement in research and other scholarly activities. Participants are from disadvantaged backgrounds and have demonstrated strong academic potential. Institutions work closely with participants as they complete their undergraduate requirements. Institutions encourage participants to enroll in graduate programs and then track their progress through to the successful completion of advanced degrees. The goal is to increase the attainment of Ph.D. degrees by students from underrepresented segments of society.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used by the participating institution to provide eligible participants with opportunities for research and other scholarly activities; summer internships; seminars; tutoring; academic counseling; and activities designed to help students secure admission and financial assistance for graduate study. Funds may be used for : services to improve students' financial and economic literacy, mentoring and exposure to cultural events. At least two-thirds of the project participants must be low-income individuals who are first-generation college students. The remaining participants may be from a group that is underrepresented in graduate education.

**Applicant Eligibility:**

Institutions of higher education or combinations of institutions of higher education may apply.

**Beneficiary Eligibility:**

2/3 of participants must be low-income first generation college students. The remaining participants must be students from groups underrepresented in graduate education. All participants must be enrolled in a degree program at an eligible institution of higher education.

**Credentials/Documentation:**

Costs will be determined in accordance with Education Department General Administrative Regulations and the program regulations, Section 647 of the Code of Federal Regulations. OMB Circular A-21 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with legislation, regulations, applications, and timetables issued by the Secretary of Education. No State plan is required. Requests for applications should be made to the Federal TRIO Program. This program is subject to the provisions of the Education Department General Administrative Regulations.

**Award Procedure:**

Nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 647.21. Grants are awarded by the Federal TRIO Programs office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department implements the second review process in accordance with 34 CFR 647.24. An unsuccessful applicant requesting a second review must provide evidence for the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

Awards are for 5-year project periods. Continuation awards are made annually. Generally, continuation awards are made if sufficient funds have been appropriated and the grantee is meeting the conditions of the grant and making substantial progress toward meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five year projects, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit an annual performance report. No cash reports are required. Progress reports (ED 524B) are required for a project in its first year of funding. Staff monitor grants drawdown using agency financial reports. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. States, local governments, and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. In accordance with Education Department General Administrative Regulations, 34 CFR 61, 74, 75, and 702.

**Records:**

In accordance with the Education Department General Administrative Regulations, 34 CFR 75, 730, 75.731, and 75.732 and 647.32 of the program regulations.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$47,501,000; FY 11 est \$45,905,000; and FY 12 est \$47,468,000

**Range and Average of Financial Assistance:**

Varies by competition. In FY 2010, awards ranged from approximately \$216,000 to \$368,000; the average award was approximately \$238,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department made 1 new award of approximately \$239,000. The Department made 199 NCC awards, totaling approximately \$47,262,000. Fiscal Year 2011: The Department expects to make approximately 200 NCC awards totaling approximately \$45,905,000. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 647 and Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Pinkney, Department of Education, Student Service, Federal TRIO Programs, GEAR UP and Undergraduate and Graduate Programs, Office of Postsecondary Education, 1990 K Street, NW, 7th Floor, Washington, District of Columbia 20006 Email: virginia.pinkney@ed.gov Phone: (202) 502-7735.

**Website Address:**

<http://www.ed.gov/programs/triomcnair/>.

**RELATED PROGRAMS:**

84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.103 TRIO Staff Training Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards, the Department will select applicants under the criteria set forth in 647.21 of the program regulations. Contact the program office for additional information.

**84.220 CENTERS FOR INTERNATIONAL BUSINESS EDUCATION  
FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended., Title VI, Part B, Section 612.

**OBJECTIVES:**

To provide a comprehensive university approach to improve the teaching of international business by bringing together faculty from numerous disciplines and to engage in research to promote the international competitiveness of U.S. business.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The centers funded will: be national resources for the teaching of improved business techniques, strategies, and methodologies that emphasize the international context in which business is transacted; provide instruction in critical foreign languages and international fields needed to provide an understanding of the cultures and customs of U.S. trading partners; provide research and training in the international aspects of trade, commerce, and other fields of study; provide training to students enrolled in the institution or institutions in which a center is located; serve as regional resources to local businesses by offering programs and providing research designed to meet the international training needs of such businesses; and serve other faculty, students, and institutions of higher education located within their respective regions. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-377-3838.

**Applicant Eligibility:**

Accredited public and nonprofit private institutions of higher education, or consortia of such institutions, that establish a center advisory council before the date Federal assistance is received may apply. This council will conduct extensive planning concerning the scope of the center's activities and the design of its program prior to establishing the center.

**Beneficiary Eligibility:**

Students and faculty of accredited institutions of higher education will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible institutions may submit proposals for funding of projects when the announcement of a new competition appears in the Federal Register. Application forms and guidelines are available from the International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Final recommendations are made to the Secretary of Education following advice from a panel of consultants developed according to procedures defined by the Education Department General Administrative Regulations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 150 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project period may last up to 48 months. Applicants submit performance reports for continuation funding according to instructions published by the Department. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Federal share of the cost of centers is: (a) Not more than 90 percent for the first year in which Federal funds are furnished; (b) not more than 70 percent for the second year; and (c) not more than 50 percent for the third year and succeeding years. The nonfederal share for planning, establishing and operating the center may be provided by in-cash or in-kind assistance.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a up to 48 month period, subject to the availability of funds. See the following for information on how assistance is awarded/released:  
Electronic transfer.

**Reports:**

Institutions must provide final reports upon completion of the program. Financial reports are also required. Cash reports are not applicable. Progress reports are required. Expenditure reports are required. Performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available upon request for 3 years after close of the fiscal year in which the grant was closed out or until the grantee is notified of the completion of a Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$12,757,000; FY 11 est \$5,731,864; and FY 12 est \$12,757,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Thirty-three new awards are expected to be made. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 74, 75, 77, 82, 84, 85, 86, 97, 98, and 99 (Education Department General Administrative Regulations).

**Regional or Local Office:**

None.

**Headquarters Office:**

Susanna C. Easton, International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, Washington, District of Columbia 20006 Email: Susanna.easton@ed.gov Phone: (202) 502-7628.

**Website Address:**

<http://www.ed.gov/programs/iegpscibe/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.153 Business and International Education Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 75.209 and 75.210. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. Applicants should address the selection criteria only in the context of the program requirements in Title VI, Part B, Section 612 of the Higher Education Act of 1965, as amended.

**84.224 ASSISTIVE TECHNOLOGY****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Assistive Technology Act of 1998, as amended.

**OBJECTIVES:**

To provide States with financial assistance that supports programs designed to maximize the ability of individuals of all ages with disabilities and their family members, guardians, advocates, and authorized representatives to obtain assistive technology devices and assistive technology services.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to carry out the functions authorized under the Act. States may provide assistance to Statewide community-based organizations or directly to individuals with disabilities of all ages. Technical assistance contracts support States and other entities. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

States, including the District of Columbia, Puerto Rico, and outlying areas may apply. Applicants are designated by Governors.

**Beneficiary Eligibility:**

Individuals with disabilities, States, and community-based organizations providing services to individuals with disabilities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State

and local governments and OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Education Department General Administrative Regulations at 34 CFR Parts 76 and 80 apply. Unless otherwise directed in the Federal Register Announcement, applications should be submitted to the Department of Education, Application Control Center, 400 Maryland Avenue, SW., Washington, DC 20202.

**Award Procedure:**

State plans are reviewed by Department of Education staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. States and territories are allocated a base amount that is not less than the amount they received in FY 2004. Funds appropriated in excess of the base are divided in half and distributed equally to each State, and by a State population-based formula.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual formula grants. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual reports are required. Quarterly cash reports are required. Progress reports are not applicable. Annual expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recordkeeping requirements and regulations are included in the statute.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$25,660,000; FY 11 est \$25,608,680; and FY 12 est \$25,608,680

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current

Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Robert Groenendaal, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: robert.groenendaal@ed.gov Phone: (202) 245-7393.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/nidrr/index.html>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are included in the regulations. Contact the Program Office for more information.

**84.229 LANGUAGE RESOURCE CENTERS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act, as amended, Title VI, Part A, Section 603.

**OBJECTIVES:**

To provide grants for establishing, strengthening, and operating centers that serve as resources for improving the nation's capacity for teaching and learning foreign languages through teacher training, research, materials development, and dissemination projects.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Centers funded must carry out activities to improve the teaching and learning of foreign languages. These activities must include effective dissemination efforts, whenever appropriate, and may include--(a) the conduct and dissemination of research on new and improved methods for teaching foreign languages, including the use of advanced educational technology; (b) the development and dissemination of new materials for teaching foreign languages, to reflect the results of research on effective teaching strategies; (c) the development, application, and dissemination of performance testing that is appropriate for use in an educational setting to be used as a standard and comparable measurement of skill levels in foreign languages; (d) the training of teachers in the administration and interpretation of foreign language performance tests, the use of effective teaching strategies, and the use of new technologies; (e) a significant focus on the teaching and learning needs of the less commonly taught languages, including an assessment of the strategic needs of the United States, the determination of ways to meet those needs nationally, and the publication and dissemination of instructional materials in the less commonly taught languages; (f) the development and dissemination of materials designed to serve as a resource for foreign language teachers at the elementary and secondary school levels; and (g) the operation of intensive summer language institutes to train advanced foreign language students, to provide professional development, and to improve language instruction through preservice and inservice language training for teachers. Equipment costs may not exceed 15 percent of the grant total.

**Applicant Eligibility:**

An institution of higher education or a consortia of institutions of higher education is eligible to receive an award.

**Beneficiary Eligibility:**

Institutions of higher education or combinations of such institutions and individuals will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible institutions may submit applications for funding when the announcement of a new competition is issued in the Federal Register. Application forms and guidelines for the submission of applications are available from the Advanced Training and Research Team of the International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Final recommendations are made to the Secretary following advice from a panel of consultants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Institutions of higher education selected to receive funds for the 4-year phased program must submit annual performance reports for the continuation of support. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to a 48-month period. Continuation awards are made if the grantee has made substantial progress in achieving the objectives outlined in its application and are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Funded centers must provide final reports upon completion of the 48 month program. Interim and annual progress reports are required throughout the grant's duration. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under grants or relating to the accountability for awarded funds must be available upon request: (1) For 3 years after close of the fiscal year in which the grant expired or (2) until the grantee is notified of the completion of the Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$5,022,000; FY 11 est \$2,511,000; and FY 12 est \$5,022,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655 and 669, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cynthia Dudzinski, International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, 6th Floor, Washington, District of Columbia 20006 Email: cynthia.dudzinski@ed.gov Phone: (202) 502-7589.

**Website Address:**

<http://www.ed.gov/programs/iegpplrc/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.019 Overseas Programs - Faculty Research Abroad; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.153 Business and International Education Projects; 84.220 Centers for International Business Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 655.31, 669.21, and 669.22. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register.

**84.234 PROJECTS WITH INDUSTRY**

(PWI)

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VI, Part A.

**OBJECTIVES:**

To create and expand job and career opportunities for individuals with disabilities in the competitive labor market by partnering with private industry to provide job training and placement, and career advancement services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to support projects to prepare persons with disabilities for employment in the competitive labor market.

**Applicant Eligibility:**

Projects with Industry grants are awarded to community rehabilitation program providers, designated State units, Indian tribe or tribal organizations, employers, labor unions, nonprofit organizations, trade associations, and other agencies or organizations with the capacity to create and expand job and career opportunities for individual with disabilities. Grants cannot be made directly to individuals. Only applicants that propose to serve a geographic area that is currently unserved or underserved by the PWI program can receive new awards under this program.

**Beneficiary Eligibility:**

An individual is eligible for services under this program if the individual to be served is an individual with a disability or an individual with a significant disability, as defined in Sections 7 (20)(A) and 7(21)(A), respectively, of the Rehabilitation Act of 1973, as amended. The recipient of the grant under which the services are provided, may make determinations of eligibility, to the extent

that the determination is appropriate, available, and consistent with the requirements of the Act.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. 21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations, with Appendix E to 45 CFR part 74 for hospitals or with 48 CFR part 31 for commercial for-profit organizations other than a hospital and an educational institution. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulation at 34 CFR Parts 74, 75 and 80 apply to this program. Applications should be submitted to the Departments e-Grants website or to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202 as according to instructions in the Notice Inviting Applications. The standard application kit as furnished by the Department of Education must be used for this program.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 150 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects with multi-year project periods may be continued based on making substantial progress toward meeting project objectives as documented in the annual performance report in accordance with 34 CFR 75.253, meeting the minimum performance levels of the compliance indicators, as described in 34 CFR Part 379 Subpart F, and availability of adequate funds. Renewals are available only through a new application process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20.%. The Federal share may not exceed 80 percent of total project cost.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project support may be available up to 60 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR Part 75). Annual financial reports, compliance indicator data and reports of progress must be submitted as required by the grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR Part 75). Generally, records related to grant fund, compliance, and performance must be maintained for a period of five years after completion of the grant activity.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$19,197,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range: \$118,095-\$500,000

Average: \$295,139.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: (A) Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86; and (B) the regulations for this program in 34 CFR Parts 369 and 379 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mark Snyderman Department of Education, OSERS 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: mark.snyderman@ed.gov Phone: (202) 245-6768

**Website Address:**

<http://www.ed.gov/programs/rsapwi/index.html>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.235 Rehabilitation Services Demonstration and Training Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding priorities are announced in the Federal Register. Applications for discretionary grants are subject to peer review procedures leading to recommendations for approval or disapproval by Federal and nonfederal experts. Criteria for evaluating applications are published in program and Department regulations at 34 CFR Part 379.

**84.235 REHABILITATION SERVICES DEMONSTRATION AND TRAINING PROGRAMS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 303(b)-(d).

**OBJECTIVES:**

To provide financial assistance to projects and demonstrations for expanding and improving the provision of rehabilitation and other services authorized under the Act or that further the purposes of the Act, including related research and evaluation activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Authorized activities under this program include carrying out special demonstrations for expanding and improving the provision of rehabilitation and other services authorized under this Act and that further the purposes of the Act. Projects may include demonstrations to increase client choice; technical

assistance; systems change; special studies and evaluations; demonstrations of service delivery; model demonstrations; transition services; supportive employment; services to underserved populations and/or unserved or underserved areas; services to low-incidence disabilities; transportation; and other projects designated by the Secretary. Other authorized programs include Parent Information and Training and Braille training projects.

**Applicant Eligibility:**

Eligible applicants are States and public or nonprofit organizations. Grants cannot be made directly to individuals.

**Beneficiary Eligibility:**

Individuals with disabilities.

**Credentials/Documentation:**

Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. Applications should be submitted to the Department of Education, Application Control Center. Attention: (CFDA 84-235), 400 Maryland Avenue, S.W., Washington, DC 20202. The standard application kit as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. ED No. 80-0013 must also be submitted.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of applications by staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 150 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects with multi-year periods may be continued based on annual review of accomplishments and availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to 60 months. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (34 CFR Part 75). Annual performance reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit



Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. See 34 CFR 74.26.

**Records:**

As required by EDGAR for direct grant programs (34 CFR Part 75). Generally records related to grant funds, compliance, and performance must be maintained for a period of 5 years after completion.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$6,506,000; FY 11 est \$6,459,056; and FY 12 est \$6,459,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: (A) The Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86; and (B) the regulations for this program in 34 CFR Part 373 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA/Programs/Discretionary/demotrain.html>

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States;  
84.128 Rehabilitation Services\_Service Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding priorities are published in the Federal Register. Applications for discretionary grants are subject to peer review procedures leading to recommendations for approval or disapproval by Federal and nonfederal experts. Criteria for evaluating applications are published in program and department regulations (34 CFR 369).

**84.240 PROGRAM OF PROTECTION AND ADVOCACY OF INDIVIDUAL RIGHTS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title V, Section 509.

**OBJECTIVES:**

To provide grants for States to support systems for protection and advocacy for the rights of individuals with disabilities who are ineligible for advocacy services from the other protection and advocacy programs or whose problems fall outside the scope of services available from the Client Assistance Program (CAP). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Federal funds are used to support a system in each State to protect the legal and human rights of individuals with disabilities who need services that are beyond the scope of the Client Assistance Program (CAP) under Section 112 of the Rehabilitation Act of 1973, as amended (the Act), and are ineligible for the protection and advocacy programs under Part C of the Developmental Disabilities Assistance and Bill of Rights Act of 2000 (DDA) and the Protection and Advocacy for Individuals with Mental Illness Act (PAIMI).

**Applicant Eligibility:**

Only designated protection and advocacy agencies in each State and Territory may apply. The Governor designates the protection and advocacy agency.

**Beneficiary Eligibility:**

Individuals with disabilities will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Any application for a grant must contain assurances that the eligible protection and advocacy system will: (1) have in effect a system to protect and advocate for the rights of eligible individuals with disabilities; (2) have the same general authorities as outlined in Part C of the DDA; (3) have the authority to pursue legal, administrative, and other appropriate remedies to ensure the protection of the rights of individuals with disabilities; (4) provide information and referral services to individuals with disabilities in the State; (5) develop a priorities and objectives statement each year; (6) seek public comment about their proposed priorities and objectives statement; (7) establish a grievance procedure for clients and prospective clients of the eligible protection and advocacy system; (8) use the funds available for this program to supplement nonfederal funds that would otherwise be available for this purpose; and (9) utilize, to the maximum extent possible, mediation and other alternative dispute resolution procedures before resorting to formal administrative or legal remedies.

**Award Procedure:**

Once the applications have been approved, awards are made on the basis of the relative population of each State. The minimum allotment is \$100,000 for States and \$50,000 for Territories.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The State may appeal to the Office of Administrative Law Judges.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: In accordance with the Act Federal funds are distributed on the basis of the relative population in each State, except no State shall receive less than \$100,000, Territories \$50,000.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual formula grants. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance reports are required annually. A report describing the types of services and activities being undertaken by programs funded under the program, the total number of individuals served, the types of disabilities represented by such individuals, and the types of issues being addressed on behalf of such individuals. Required quarterly. No progress reports are required. No expenditure reports are required. Performance reports are required annually.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Final records must be maintained for 3 years after the grant ends or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$18,101,000; FY 11 est \$18,064,798; and FY 12 est \$18,064,798

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations were published at 34 CFR Part 381.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jessica Smith, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: jessica.smith@ed.gov Phone: (202) 245-6493.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

84.161 Rehabilitation Services\_Client Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.243 TECH-PREP EDUCATION**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV), Title II, 20 U.S.C 2371.

**OBJECTIVES:**

This program provides assistance to States to award grants to consortia of local agencies and postsecondary education institutions for the development and operation of programs consisting of the last two years of secondary education and at least two years of postsecondary education, designed to provide tech prep education to the student leading to an associate degree or a two-year

certificate. The program also is designed to strengthen links between secondary and postsecondary schools.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States must award program funds to consortia of local agencies and postsecondary education institutions. Consortia must implement tech-prep programs that have the following elements: (1) an articulation agreement between secondary and postsecondary consortium participants; (2) a two-plus-two or a two-plus-four design with a common core of proficiency in math, science, communication, and technology; (3) a specifically developed tech-prep curriculum; (4) joint in-service training of secondary and postsecondary teachers to implement the tech-prep curriculum effectively; (5) training of counselors to recruit students and to ensure program completion and appropriate employment; (6) equal access for special populations to the full range of tech-prep programs; (7) preparatory services, and (8) coordination with activities conducted under Title I of Perkins IV. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, which is referenced under 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Costs Group on (202) 708-7770.

**Applicant Eligibility:**

The Department of Education makes formula grants to State boards for career and technical education agencies. Eligible recipients for subgrants are consortia of (1) local educational agencies, intermediate education agencies or area career and technical education schools serving secondary school students, or secondary schools funded by the Department of Interior/Bureau of Indian Education; and (2) nonprofit or proprietary institutions of higher education that offer a 2-year associate degree program, and are qualified as institutions of higher education pursuant to Section 481(a) of the Higher Education Act of 1965, including institutions receiving assistance under the Tribally Controlled Community College Assistance Act of 1978, or a two-year apprenticeship program that follows secondary instruction, if such institutions are not subject to a default management plan required by the Secretary of Education.

**Beneficiary Eligibility:**

Individuals desiring to participate in a combined secondary/postsecondary program leading to a postsecondary degree or 2-year certificate with technical preparation.

**Credentials/Documentation:**

The establishment of a State Board for career and technical education is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible agencies submit 5-year State plans for career and technical education, and annual revisions, to the Department pursuant to section 122 of Perkins IV. However, the Virgin Islands may submit an application for Perkins IV funding under the Consolidated Grants to Insular Areas authority. See CFDA 84.403. Additionally, any eligible agency may chose to consolidate its tech-prep funds with funds that it receives under the Career and Technical Education -- Basic Grants to States Programs. See CFDA 84.048.

**Award Procedure:**

Once the Secretary approves an eligible agencies 5-year State plan or annual revisions, the Department forwards the grant award to the State official designated by the eligible agency and notifies the State director for CTE.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within 90 days.

**Appeals:**

The Secretary shall not finally disapprove a State plan, except after giving the eligible agency notice and opportunity for a hearing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Sec. 111 and Sec. 201 of the Carl D. Perkins Career and Technical Education Act of 2006. The funding formula is based on State per-capita income and population in three age cohorts (15-19, 20-24, and 25-65). The formula provides for a minimum State allocation of at least 0.5 percent of the total, and a "hold-harmless" provision in the formula ensures that no State's share of the appropriation is less than its share of the fiscal year (FY) 1998 appropriation. A special provision limits the increase a State with an initial allocation of the 0.5 percent minimum may receive, resulting in a number of States that receive an allocation of less than 0.5 percent of the total. If appropriations result in the amount of funds for allocation to States exceeding the amount of funds allocated to States from the FY 2006 appropriation, up to one-third of the additional funds are allotted to States with FY 2006 grants that are less than the minimum 0.5 percent grant amount and the remainder flows to the other States. The Bureau of the Census supplies the population data; the Department of Labor supplies the per-capita income data.

Matching Requirements: See statute for maintenance of effort requirements. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Generally, annual grants to eligible agencies are made from July 1 to September 30 of the following year. In addition, funds remain available to the eligible agencies for an additional fiscal year for obligation and expenditure under section 421(b) of the General Education Provisions Act, as amended (GEPA). See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

OVAEs Consolidated Annual Report (CAR) for Perkins IV requires annual financial status reports, performance data reports, including on the tech-prep indicators in section 203(e) of Perkins IV, and program narrative reports. Eligible agencies must also submit Office for Civil Rights Annual Compliance Reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Any additional audit requirements may be included in grant documents.

**Records:**

As required by EDGAR for State-administered programs (34 CFR 76.730-76.731). Generally, the eligible agency and its subgrantees must retain records related to grant funds and compliance for a period of 3 years from the date the grantee or subgrantee submits its final expenditure report for that funding period. 34 CFR 80.42. Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review. See also section 443 of GEPA.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$102,923,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rules and regulations, Title 34 CFR 400 and 406; Education Department General Administrative Records (EDGAR) at 34 CFR Parts 74, 76-77, 79, 80-82, 84-86, and 97-99; OCR Guidelines for Vocational Education.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon Lee Miller, Department of Education, Office of Vocational and Adult Education, Division of Academic and Technical Education, 550 12th Street, SW, Washington, District of Columbia 20202 Email: sharon.miller@ed.gov Phone: (202) 245-7846.

**Website Address:**

<http://www.ed.gov/about/offices/list/ovae/pi/cte/tphome.html>.

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States; 84.051 Career and Technical Education -- National Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Consortia of local agencies and postsecondary education institutions to develop and operate career and technical education programs consisting of the last two years of secondary education and at least two years of postsecondary education, designed to provide tech prep education to the student leading to an associate degree or a two-year certificate. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Eligible agencies qualify for funding based upon their State plans and annual revisions approved under Perkins IV, section 122.

**84.245 TRIBALLY CONTROLLED POSTSECONDARY CAREER AND TECHNICAL INSTITUTIONS****FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Section 117, 20 U.S.C 2327.

**OBJECTIVES:**

To make grants to tribally controlled postsecondary career and technical institutions to provide career and technical education services and basic support for the education and training of Indian students.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used to train teachers, purchase equipment, provide instructional services, and provide institutional support. This program is subject to non-supplanting requirements. However, the statute authorizes grantee institutions not to use a restricted indirect cost rate (20 U.S.C. 2327(c)(3)). For assistance call the Office of the Chief Financial Officer/Indirect Cost Group (202) 708-7770.

**Applicant Eligibility:**

A tribally controlled postsecondary career and technical institution that: (1) Is formally controlled, or has been formally sanctioned or chartered, by the governing body of an Indian tribe or Indian tribes; (2) offers a technical degree- or certificate-granting program; (3) is governed by a board of directors or trustees, a majority of whom are Indians; (4) demonstrates adherence to stated goals, a philosophy, or a plan of operation, that fosters individual Indian economic and self-sufficient opportunity, including programs that are appropriate to stated tribal goals of developing individual entrepreneurship and self-sustaining economic infrastructures on reservations; (5) has been in operation for at least 3 years; (6) holds accreditation with or is a candidate for accreditation by a nationally recognized accrediting authority for postsecondary

vocational and technical education; (7) enrolls the full-time equivalent of not less than 100 students, of whom a majority are Indians; and (8) receives no Federal funds under the Tribally Controlled College or University Act of 1978 or the Navajo Community College Act may apply.

**Beneficiary Eligibility:**

Indian students and tribally controlled postsecondary career and technical institutions not receiving Federal funds under the Tribally Controlled College or University Act of 1978 or the Navajo Community College Act may benefit.

**Credentials/Documentation:**

Signature by authorized designated official on the application is required. Allowability of costs is determined in accordance with OMB Circular No. A-21 "Cost Principles for Educational Institutions.". This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must be prepared and submitted to the Department of Education in accordance with program announcements and established deadlines as published in the Federal Register.

**Award Procedure:**

Applications are reviewed in accordance with Federal Register program notices inviting applications and the regulations in 34 CFR Part 75.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days after deadline for transmitting applications.

**Appeals:**

The statute authorizing this program provides applicants with a statutory complaint resolution procedure for grant determinations and calculations (20 U.S.C. 23279(g)).

**Renewals:**

Continuation awards are made to grantees contingent upon the availability of appropriations and subject to grantees submitting acceptable performance reports, in accordance with 34 CFR 75.253.

**Formula and Matching Requirements:**

Statutory Formula: Title 20 U.S.C. 2327(c)(1). This program has a statutory formula that is triggered in any year in which the sums appropriated for the program are not sufficient to pay in full the total amount that approved applicants are eligible to receive. (20 U.S.C. 2327(c)(1)). This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The total project period may not exceed 5 years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit financial status, performance, and expenditure reports, as required by the Department of Education General Administrative Regulations, 34 CFR 75.720. Specific reporting requirements are discussed in the program's Federal Register program announcements and in the award document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. The Department monitors grantee performance under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years from the time that work carried out under the project is completed.

**Account Identification:**

91-0201-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$8,162,000; FY 11 est \$8,145,676; and FY 12 est \$8,162,000

**Range and Average of Financial Assistance:**

Estimated range: \$3,000,000-\$4,500,000; Estimated average: \$3,683,000; Actual range: \$3,681,695-\$4,463,981; Actual average: \$4,072,838.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provided funding for 2 tribal postsecondary institutions. Fiscal Year 2011: Provided funding for 2 tribal postsecondary institutions. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Parts 74, 75, 77, 80, 81, 82, 84, 85, 86, 97, 98 and 99 and the Tribally Controlled Postsecondary Career and Technical Institutions Program Federal Register notice inviting applications of May 15, 2007 (72 FR 27297) and Application Package.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gwen Washington Department of Education, OVAE Division of Adult and Technical Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: gwen.washington@ed.gov Phone: (202) 245-7790

**Website Address:**

<http://www2.ed.gov/about/offices/list/ovae/programs.html>

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Postsecondary career and technical education programs. Fiscal Year 2011: Postsecondary career and technical education programs. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria were published in the notice inviting applications published in the Federal Register on May 15, 2007. (72 FR 27297).

**84.246 REHABILITATION SHORT-TERM TRAINING**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302.

**OBJECTIVES:**

To support special seminars, institutes, workshops, and other short-term courses in technical matters relating to the delivery of vocational, medical, social, and psychological services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are provided in fields directly related to the vocational rehabilitation and independent living of individuals with disabilities, such as rehabilitation disciplines and program areas supported under the Rehabilitation Training program. Conferences and meetings where training is not the primary focus may not be supported under this program.

**Applicant Eligibility:**

State vocational rehabilitation agencies (including territories), and other public or nonprofit agencies and organizations, including institutions of higher education may apply.

**Beneficiary Eligibility:**

Individuals preparing for or employed in positions relating to the rehabilitation of individuals with disabilities will benefit. Projects under this program are designed to provide short-term training and technical instruction in areas of special significance to the delivery of vocational, medical, social, and psychological rehabilitation services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions, and OMB No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attention: 84.246.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of applications by staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is from 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine adequate performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are generally supported for one to five years. Funds are granted on a twelve month basis. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by the grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years.

**Records:**

As required by the Education Department General Administrative Regulations (EDGAR).

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$449,993; FY 11 est \$449,993; and FY 12 est \$200,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR Part 385 and 34 CFR Part 390.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.129 Rehabilitation Long-Term Training; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.263 Rehabilitation Training\_Experimental and Innovative Training; 84.264 Rehabilitation Training\_Continuing Education; 84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Quality of key personnel, plan of operation, budget and cost-effectiveness, adequacy of resources, evidence of need, relevance to the State/Federal rehabilitation service program, and nature and scope of training program content are included in the selection criteria.

**84.250 REHABILITATION SERVICES\_AMERICAN INDIANS WITH DISABILITIES****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, Title I, Part C, Section 121.

**OBJECTIVES:**

To provide vocational rehabilitation services to American Indians with disabilities that reside on or near Federal or State reservations, consistent with their individual strengths, resources, priorities, concerns, abilities, capabilities, and informed choice, so that they may prepare for and engage in gainful employment.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Projects provide financial assistance to the governing bodies (and consortia of such governing bodies) of Federal or State Recognized Tribes for the establishment and operation of vocational rehabilitation services projects for American Indians with disabilities residing on or near tribal reservations.

**Applicant Eligibility:**

Governing bodies of Indian tribes or consortia of those governing bodies located on or near Federal and State reservations may apply.

**Beneficiary Eligibility:**

American Indians with disabilities residing on or near a Federal or State reservation who meet the definition of an individual with a disability in Section 7 (8) (A) of the Rehabilitation Act.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80, apply to this program. Applications should be submitted to the Department e-Grants Website or to the Department of Education, Application Control Center, 400 Maryland Ave. S.W., Washington, DC 20202-4725, according to instructions specified in the Notice Inviting Applications. The standard application kit as furnished by the Department of Education must be used for this program.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of staff in various offices within the Department. In making grants, the Department gives priority consideration to applications for the continuation of programs which have been funded under the program. The Commissioner of the Rehabilitation Services Administration approves continuation awards for existing projects.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects with multi-year project periods may be continued based on review of the annual performance report and in accordance with 34 CFR Part 75-253 and the availability of adequate funds.

**Formula and Matching Requirements:**

Statutory Formula: The amount of funds available annually for this program is reserved from the amount appropriated for the State VR program in an amount not less than 1 percent and not more than 1.5 percent under section 110(c)(1) of the Rehabilitation Act.

Matching Requirements: Percent: 10.%. Projects are required to contribute ten percent of the cost of the project in cash or in-kind, unless the Commissioner of RSA waives the matching requirement under 34 CFR 371.40(b) if the applicant demonstrates that it does not have sufficient resources to contribute the non-Federal share of the cost of the program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project support is available for up to 60-months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial reports and progress reports must be submitted as prescribed by grant award terms and conditions. Cash reports are not applicable. Progress

reports: Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR Part 80.40 and 80.41. Expenditure reports are not applicable. Performance monitoring: Program performance is monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Case records are for individual program participants. Fiscal records must be kept for audit purposes. Retention of records is required for three years.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$42,899,000; FY 11 est \$43,550,000; and FY 12 est \$37,449,000

**Range and Average of Financial Assistance:**

Range of awards in FY 2011 is \$295,000 to \$1,800,000; Average award: \$451,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Data for FY 2010 show that 62 percent of the 8,395 individuals with disabilities who exited the program after receiving services achieved an employment outcome. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR) in 34 CFR 75, 77, 80, 81, 82, 84, 85, and 97. Vocational Rehabilitations Service Projects regulations 34 CFR 369 and Vocational Rehabilitations Services Projects for American Indians with Disabilities regulations 34 CFR 371.

**Regional or Local Office:**

None.

**Headquarters Office:**

Alfreda Reeves, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: [alfreda.reeves@ed.gov](mailto:alfreda.reeves@ed.gov) Phone: (202) 245-7485.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/rsa/index.html>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The availability of funds is published in the Federal Register. Applications for discretionary grants are subject to peer review procedures by Federal and nonfederal experts that lead to recommendations for approval or disapproval. The selection criteria for this competition are from 34 CFR 75.210 of EDGAR and are listed in the application package. Selection criteria include extent of need for the project, significance, quality of the project design, quality of the project services, quality of project personnel, adequacy of resources, and quality of the management plan.

**84.256 TERRITORIES AND FREELY ASSOCIATED STATES EDUCATION GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part A, Section 1121 (a), (b) and (c).

**OBJECTIVES:**

To support activities consistent with the purposes of the Elementary and Secondary Education Act, including teacher training, curriculum development, instructional materials or general school improvement and school reform, and direct educational services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for activities consistent with the purposes of the Elementary and Secondary Education Act.

**Applicant Eligibility:**

Local educational agencies (LEAs) in the Republic of Palau and in the outlying areas (American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands).

**Beneficiary Eligibility:**

LEAs in the Republic of Palau and in the outlying areas (American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Provided by the Pacific Resources for Education and Learning (PREL). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Section 1121 of Title I requires that the Department reserve up to \$5 million from Title I Grants to LEA funds each fiscal year for competitive grants to local educational agencies in the outlying areas (American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands), and the Republic of Palau. Of this amount, the Secretary may reserve not more than 5 percent to pay the administrative costs of the Pacific Resources for Education and Learning (PREL) regarding activities assisted under this program. PREL conducts the award competition and makes recommendations to the Secretary regarding the award of grants.

**Award Procedure:**

Applications for continuations are submitted to the Department of Education, Office of Elementary and Secondary Education, School Support and Technology Programs, Washington, DC. PREL conducts the competition for grants and submits recommendations of applications for funding to the Secretary of Education. The Secretary awards grants taking into consideration the recommendations of PREL.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation awards of 12 months each may be made for a total of 36 months. Continuances are contingent upon evidence of satisfactory progress toward goals and objectives and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 36 months with annual continuations. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Single Audit Act applies.

**Records:**

Records must be maintained as necessary for audit and for three years after the program ends.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$3,701,828; FY 11 est \$5,000,000; and FY 12 est \$5,000,000 - Funds are provided on a multi-year basis and, for this program, awards are made in the fiscal year following the appropriation, i.e., the FY11 appropriation is used for awards in FY12.

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Contact the PREL office.

**Headquarters Office:**

Valerie Rogers, School Support and Technology Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., LBJ Bldg, Room 3W241, Washington, District of Columbia 20202 Email: Valerie.rogers@ed.gov Phone: (202) 260-2543.

**Website Address:**

<http://www.ed.gov/programs/efasegp/index.html> .

**RELATED PROGRAMS:**

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed in accordance with criteria in the application package.

**84.258 EVEN START\_INDIAN TRIBES AND TRIBAL ORGANIZATIONS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part B, Subpart 3.

**OBJECTIVES:**

To help break the cycle of poverty and illiteracy and improve the educational opportunities of low-income families through family literacy programs that integrate early childhood education, adult basic education, and parenting education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used for family literacy activities such as recruitment and screening of children and parents, design of programs, instruction for children and parents, staff training, support services, evaluation, and coordination with other programs. Indirect costs are not an allowable project cost unless a waiver is obtained from the Secretary of Education.

**Applicant Eligibility:**

Federally recognized Indian tribes and tribal organizations as defined in the Indian Self-Determination and Education Assistance Act, Section 4, may apply.

**Beneficiary Eligibility:**

Parents eligible for participation under the Adult Education Act, and their children from birth to seven years old will benefit. Families must be in need of Even Start Services, as indicated by a low income level and a low level of adult literacy or English language proficiency, or other need-related indicators.

**Credentials/Documentation:**

This program is included under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications from Federally recognized Indian tribes and tribal organizations must be submitted in accordance with the regulations, instructions, and forms included in the grant application package.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Actual negotiation and awarding of grants is done by the Department's Grant and Contracts Service in cooperation with program staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are for up to 4 years with annual renewals subject to the approval of the Department of Education and the availability of funds. Applicants may reapply at the end of the grant period.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The Federal share of the cost of a subgrant project is not more than 90 percent in the first year, 80 percent in the second year, 70 percent in the third year, 60 percent in the fourth year, and 50 percent in any subsequent year.

This program has MOE requirements, see funding agency for further details. See funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants may not exceed 4 years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administration Regulations in 34 CFR 80, State and local Governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80. For this purpose, the term "State" includes any Indian tribe.

**Records:**

In accordance with the Education Department General Administrative Regulations (EDGAR), certain project records must be retained for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$805,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Average: \$195,690; Range: \$105,000-\$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 75, 77, 80, 82, and 85. For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Melvin Graham Department of Education, OESE Academic Improvement and Teacher Quality, 400 Maryland Ave., SW, , Washington, District of Columbia 20202 Email: melvin.graham@ed.gov Phone: (202) 260-8268

**Website Address:**

<http://www.ed.gov/programs/evenstartindian/index.html> .

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States; 84.010 Title I Grants to Local Educational Agencies; 84.011 Migrant Education\_State Grant Program; 84.213 Even Start\_State Educational Agencies; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria in the Education Department General Administrative Regulations (EDGAR), 34 CFR 75.209 and 75.210 are used to evaluate applications.

**84.259 NATIVE HAWAIIAN CAREER AND TECHNICAL EDUCATION****FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Section 116(h), 20 U.S.C 2326(h).

**OBJECTIVES:**

To make grants to organizations primarily serving and representing Native Hawaiians for programs or portions of programs authorized by, and consistent with, the Carl D. Perkins Career and Technical Education Act of 2006.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

To provide career and technical education opportunities for Native Hawaiians. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, in accordance with 34 CFR 76.563. For assistance



with restricted indirect cost rates call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

Community-based organizations primarily serving and representing Native Hawaiians may apply.

**Beneficiary Eligibility:**

Native Hawaiians individuals will benefit.

**Credentials/Documentation:**

Allowability of costs is determined in accordance with OMB Circular No. A-122 "Cost Principles for Non-Profit Organizations," which applies to nonprofit grantees. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with program announcements which are published in the Federal Register.

**Award Procedure:**

The Department reviews each application using the selection criteria in the program notice published in the Federal Register, in accordance with 34 CFR Part 75, and sends the Notification of Grant Award to each recipient selected for funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days after deadline for transmitting applications.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation awards may be made, subject to acceptable performance reports and the availability of appropriations. Maximum award period is 3 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The total project period may not exceed 3 years. Renewals are subject to the availability of funds and grantee performance. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Specific reporting requirements are contained in 34 CFR parts 74 and 75 and in the grant award documents. Reports are required annually. Reports are required annually. Reports are required annually. Reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years from the time that work carried out under the project is completed.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$2,902,000; FY 11 est \$2,809,148; and FY 12 est \$2,250,000

**Range and Average of Financial Assistance:**

Estimated range: \$250,000-\$500,000; Estimated average: \$289,827; Actual range: \$258,219-\$513,638; Actual average: \$362,220.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provided funding for 8 continuation awards. Fiscal Year 2011: Provided funding for 8 continuation awards. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Parts 74 and 75 and program Federal Register notices.

**Regional or Local Office:**

None.

**Headquarters Office:**

Linda Mayo, Department of Education, OVAE Division of Academic and Technical Education 400 Maryland Ave., S.W., Washington, District of Columbia 20202-7241 Email: linda.mayo@ed.gov Phone: (202) 245-7792.

**Website Address:**

<http://www2.ed.gov/about/offices/list/ovae/programs.html>

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Career and technical education programs for secondary, postsecondary, and adult students. Fiscal Year 2011: Career and technical education programs for secondary, postsecondary, and adult students. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria are used in reviewing applications. A segment or segments of an application should address each criterion. Points are awarded to the extent that evidence in the application satisfies each criterion: (A) Quality of project design; (B) quality of management plan; (C) quality of data collection plan; (D) quality of project personnel plan; and (E) adequacy of resources, and (F) quality of project evaluation.

**84.263 REHABILITATION TRAINING\_EXPERIMENTAL AND INNOVATIVE TRAINING**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302.

**OBJECTIVES:**

This program is designed to: (a) Develop new types of training programs for rehabilitation personnel and to demonstrate the effectiveness of these new types of training programs for rehabilitation personnel in providing rehabilitation services to individuals with disabilities; and (b) develop new and improved methods of training rehabilitation personnel so that there may be a more effective delivery of rehabilitation services by State and other rehabilitation agencies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are provided in fields directly related to the vocational and independent living rehabilitation of individuals with disabilities.

**Applicant Eligibility:**

State vocational rehabilitation agencies, including Territories and other public or nonprofit agencies and organizations (including institutions of higher education) may apply.

**Beneficiary Eligibility:**

Individuals preparing for or employed in positions relating to the rehabilitation of individuals with disabilities will benefit.

**Credentials/Documentation:**

An application should show evidence of current accreditation by or seeking of accreditation from the designated accreditation agency in the respective professional field. OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attention: 84.263.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of applications by staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Grantees are required to share in the costs of projects with the proportion subject to individual negotiation. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may generally be supported for a maximum of 5 years. Funds are granted on a 12-month basis. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once

every 2 years.

**Records:**

Proper records must be maintained as required by the Education Department General Administrative Regulations (EDGAR) or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - No additional obligations is expected for FY 2011 and 2012.

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR Parts 385 and 387.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.129 Rehabilitation Long-Term Training; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.246 Rehabilitation Short-Term Training; 84.264 Rehabilitation Training\_Continuing Education; 84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the content of the training to the mission of the public rehabilitation program and priorities for projects are in the application notice. Criteria for evaluating applications are published in program regulations 34 CFR Parts 385 and 387.

**84.264 REHABILITATION TRAINING\_CONTINUING EDUCATION FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302.

**OBJECTIVES:**

To support training centers that serve either a Federal region or another geographical area and provide for a broad integrated sequence of training activities that focus on meeting recurrent and common training needs of employed rehabilitation personnel throughout a multi-State geographical area.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are limited to support of continuing education programs for personnel such as rehabilitation counselors, administrators, independent living specialists, audiologists, rehabilitation teachers for individuals who are blind, rehabilitation technology specialists who provide vocational, independent living, and client assistance services to individuals with disabilities.

**Applicant Eligibility:**

Institutions of higher education, State vocational rehabilitation agencies (including territories), and other public or nonprofit agencies and organizations.

**Beneficiary Eligibility:**

Individuals employed in positions related to the rehabilitation of individuals with disabilities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit organizations.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attn: 84.264.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees are required to share in the cost of projects with the proportion subject to individual negotiation.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects may be supported for a maximum of 5 years, 12-month budget periods. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a

continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133.

**Records:**

Proper records must be maintained as required by the Education Department General Administrative Regulations (EDGAR) or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$8,350,927; FY 11 est \$839,244; and FY 12 est \$8,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR Parts 385 and 389.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.129 Rehabilitation Long-Term Training; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.246 Rehabilitation Short-Term Training; 84.263 Rehabilitation Training\_Experimental and Innovative Training; 84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the content of the training to the mission of the public rehabilitation program and priorities for projects in the application notice are considered. Criteria for evaluating applications are published in program regulations 34 CFR Parts 385 and 389.

**84.265 REHABILITATION TRAINING\_STATE VOCATIONAL REHABILITATION UNIT IN-SERVICE TRAINING****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title III, Section 302(g)(3).

**OBJECTIVES:**

This program is designed to support special projects for training State vocational rehabilitation unit personnel in program areas essential to the effective management of the unit's program of vocational rehabilitation services or in skill areas that enable personnel to improve their abilities to provide vocational rehabilitation services to individuals with disabilities. Projects are designed to: (1) address recruitment and retention of qualified rehabilitation professionals; (2) provide for succession planning; (3) provide for leadership

development and capacity building; and (4) provide training on the Rehabilitation Act of 1973, as amended.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants may only be made to agencies designated to administer the State vocational rehabilitation program. Fifteen percent of the funds appropriated for the Rehabilitation Services Administration Training program must be allocated for In-Service Training.

**Applicant Eligibility:**

State vocational rehabilitation agencies, including territories, may apply.

**Beneficiary Eligibility:**

Individuals employed by designated State rehabilitation agencies will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. New applications are made to the Department of Education, Application Control center, 400 Maryland Avenue, S.W., Washington, DC 20200-4725. Attn: 84.265.

**Award Procedure:**

Grants are awarded by the Rehabilitation Services Administration. New awards are made based upon the results of a peer review process and the review and approval of staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees with Basic Awards over the minimum allotment are required to match ten percent of the cost of projects. Grantees with Basic Awards at the minimum allotment must match 4%.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may generally be supported for a maximum of 5 years, with 12-month budget periods. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance

monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years.

**Records:**

As required by the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 75, 77, 79, 80, 81, 82, and 85.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$5,664,900; FY 11 est \$5,337,254; and FY 12 est \$5,337,254

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR Parts 385 and 388.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.129 Rehabilitation Long-Term Training; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.246 Rehabilitation Short-Term Training; 84.263 Rehabilitation Training\_Experimental and Innovative Training; 84.264 Rehabilitation Training\_Continuing Education; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the content of the training to the mission of the public rehabilitation program is considered. Priorities for certain projects are stated in the application notice. Criteria for evaluating applications are published in program regulations 34 CFR Parts 385 and 388.

**84.268 FEDERAL DIRECT STUDENT LOANS**

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part D.

**OBJECTIVES:**

To provide loan capital directly from the Federal government (rather than through private lenders) to vocational, undergraduate, and graduate postsecondary school students and their parents.

**TYPES OF ASSISTANCE:**

## Direct Loans

### **USES AND USE RESTRICTIONS:**

To help defray costs of education at a participating school. Repayment on Federal Stafford loans begins six months after the student ceases to carry at least one-half the normal full-time academic workload. Repayment of principal and interest on PLUS loans generally begins within 60 days of disbursement of the last installment; repayment of a Consolidation loan begins within 60 days after the proceeds of the loan have been used to discharge the liability of the borrower on the loans selected for consolidation. Deferments and forbearance of payment may be granted for certain authorized periods.

### **Applicant Eligibility:**

The applicant must be a U.S. citizen, national, or person in the United States for other than a temporary purpose. A student borrower must be enrolled or accepted for enrollment in a degree or certificate program on at least a half-time basis as an undergraduate, graduate, or professional student at a participating postsecondary school. An otherwise eligible student is eligible for loans during a single twelve-month period in which the student is enrolled in a non-degree/non-certificate course of study that the school has determined is necessary in order for the student to enroll in a program leading to a degree or certificate. Under the Direct PLUS program, parents may borrow for dependent students. Also, graduate and professional students are eligible to borrow PLUS Loans. Direct Unsubsidized and PLUS loans are non-need based programs. In order to receive a Direct Subsidized Loan, all borrowers must undergo a financial need analysis to determine eligibility for Federal interest. The Budget Control Act of 2011 eliminated the eligibility of graduate and professional students to receive Federal Direct Subsidized Loans as of July 1, 2012. A student that is presently enrolled at a participating institution must be maintaining satisfactory academic progress in the course of study that they are pursuing. The borrower may not owe a refund on any Title IV grant or be in default on any Title IV loan received for attendance at any school. The borrower must also file a Statement of Registration compliance (Selective Service). Borrowers that are unable to obtain consolidation loans from lenders under FFEL or who are unable to obtain a consolidation loan with income sensitive repayment terms acceptable to the borrower from a lender, shall be eligible for a Direct Consolidation Loan.

### **Beneficiary Eligibility:**

Vocational, undergraduate, and graduate postsecondary school students and their parents.

### **Credentials/Documentation:**

The borrower will need certification of eligibility from the school and may be required to supply documentation to verify the accuracy of data used in the Direct Subsidized loan need analysis. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for the Direct Subsidized and Unsubsidized loans are obtained from the school. Direct consolidation loan applications are obtained from the Department of Education. To obtain a Direct Subsidized or Unsubsidized loan, a student shall complete and submit a Free Application for Federal Student Aid (FAFSA). All applications (with the exception of PLUS) for Direct Loans are processed by the Central Processor System (CPS) in the initial step to determine a student's Title IV eligibility. Schools will receive official output from the CPS, and then will be able to assemble a financial aid award package. A school participating in the Direct Loan program may award Direct Loans as part of the financial aid package. If a Direct Loan is not included in the aid package, a student may contact the school to request loan information.

### **Award Procedure:**

Schools participate in the Direct Loan program either by originating loans or by using an alternative originator to originate loans. The school must certify the borrower's eligibility to receive the funds. To obtain a Direct PLUS Loan, the

parent completes an application and authorizes a credit check. If the parent does not have an adverse credit history the loan maybe disbursed. Schools may disburse funds by crediting them directly to the student's account at the school, issuing a check or cash, or by initiating an electronic fund transfer.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Not Applicable.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Applicants may apply for a loan for any year of school. The interest rate on new Stafford Loans starting July 1, 2011 is fixed at 3.4 percent. Per the College Cost Reduction and Access Act (CCRAA) of 2007, this rate becomes 6.8 percent beginning July 1, 2012. As of July 1, 2006, the interest rate for both Unsubsidized Stafford and Direct PLUS loans is fixed at 6.8 percent. There are four repayment plans that are available for Direct Loan borrowers: (1) A standard repayment plan with a fixed monthly payment amount over a period of up to 10 years; (2) an extended repayment plan with a fixed monthly payment amount paid over a period of 12 to 30 years, depending on the amount owed; (3) a graduated repayment plan with a monthly payment that will increase generally every 2 years. The repayment period varies from 12 to 30 years, depending on the amount owed; and (4) except for Direct PLUS Loan borrowers, an income contingent repayment (ICR) plan with a monthly payment that is adjusted annually based on the income of the borrower and paid over an extended period of time not to exceed 25 years. Any unpaid balance remaining after 25 years in the ICR plan is forgiven by the Secretary of Education. However, under current IRS rules, the amount written off is considered taxable income to the borrower in the year it is written off. CCRAA created a new income-based repayment plan for those borrowers meeting a standard of "partial financial hardship" based on their annual repayment amount in relation to their adjusted gross income. Generally a borrower would not have to repay on a monthly basis more than 15 percent of their discretionary income. Any outstanding balance would be forgiven after 25 years of repayment in the income-based repayment option. CCRAA also created a new loan forgiveness program for Direct Loan borrowers who work in public service during a 10-year period while they are repaying their loans. If these borrowers during repayment have an outstanding loan balance after 10 years of working in public service, the Federal Government will forgive the remaining balance on behalf of the borrower. Public service may include a variety of public disciplines such as education, health, law, military service and public safety. See the following for information on how assistance is awarded/released: Electronic transfer.

### **Reports:**

The Department will produce a variety of management information system accounting, and financial management reports. Schools must submit all reports required by 34 CFR 685 and 34 CFR 668. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Schools are subject to examination and program review by the Department of Education. Program reviews are performed on a fiscal year basis.

### **Records:**

Schools must maintain proper administrative and fiscal procedures and all necessary records as set forth in the regulations in 34 CFR 685 and 34 CFR 668. Schools must keep all records involved in any loan, claim, or expenditure questioned by a Federal audit until resolution of any audit questions. In

addition to records required by 34 CFR 668, for each Direct Loan received under 34 CFR 685 by or on behalf of this student, a school shall maintain a copy of the loan application and data electronically submitted to the Secretary.

**Account Identification:**

91-0243-0-1-502.

**Obligations:**

(Direct Loans) FY 10 \$17,079,000,000; FY 11 est \$19,538,000,000; and FY 12 est \$22,717,000,000 - Figures represent DL Gross Consolidation volume. (Direct Loans) FY 10 \$84,703,000,000; FY 11 est \$116,098,000,000; and FY 12 est \$124,318,000,000 - (Figures represent Gross Loan volume, without Consolidations).

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Student Loan Reform Act of 1993, Public Law 103-66, 34 CFR 685.

**Regional or Local Office:**

See Regional Agency Offices. See the list of Regional Offices listed in Appendix 5 of the FFEL Catalog.

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: 800-433-3243

**Website Address:**

<http://www.ifap.ed.gov/>.

**RELATED PROGRAMS:**

84.032 Federal Family Education Loans; 84.063 Federal Pell Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.269 INSTITUTE FOR INTERNATIONAL PUBLIC POLICY**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part C.

**OBJECTIVES:**

To establish an Institute for International Public Policy. This Institute shall conduct a program to enhance the international competitiveness of the United States by increasing the participation of underrepresented populations in the international service, including private international voluntary organizations and the foreign service of the United States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to support: (1) a sophomore-year summer policy institute; (2) a junior-year abroad program; (3) a junior-year summer policy institute; (4) internships--junior year, senior year, and postbaccalaureate; (5) a senior language institute; (6) an advanced degree program in international affairs; and (7) institutional grants to strengthen undergraduate international affairs programs at selected campuses.

**Applicant Eligibility:**

A consortium consisting of one or more of the following entities: An institution eligible for assistance under Part B of Title III of the Higher Education Act of 1965, as amended; an institution of higher education that serves substantial numbers of African Americans or other underrepresented minority students and an institution of higher education with programs in training foreign service

professionals.

**Beneficiary Eligibility:**

Institutions of higher education and minority students will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Technical assistance in preparing applications is available from the agency information contact listed below. An informal preapplication conference with the agency information contact is recommended.

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible consortia may submit an application for funding when a new competition is announced in the Federal Register. Application forms and guidelines for the submission of applications are available from the International Studies Team of the International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Final recommendations are made to the Secretary following advice from a panel of consultants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

The project period may last up to 60 months. Applicants must receive annual approval for renewals.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50.%. The Federal share for each fiscal year shall not exceed 50 percent of the cost of each project. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A grant is awarded for a 60 month period; subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

The Institute shall prepare a report once every two years on the activities of the Institute and shall submit it to the Secretary of Education and the Secretary of State. Interim performance reports required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit requirements as described in 34 CFR 74.26, to not apply to this program. All fiscal records will be subject to audit by the Department of Education at any time within 3 years after expiration of the grant.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available on request: (1) For 3 years after the close of the fiscal year that the grant expired; or (2) until grantee is notified that the fiscal audit has closed, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$1,945,000; FY 11 est \$1,551,890; and FY 12 est \$1,945,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are available at 34 CFR 655 and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tanyelle Richardson, International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K. Street, NW, 6th Floor, Washington, District of Columbia 20006 Email: tanyelle.richardson@ed.gov Phone: (202) 502-7626.

**Website Address:**

<http://www.ed.gov/programs/iegpsiipp/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.019 Overseas Programs - Faculty Research Abroad; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.153 Business and International Education Projects; 84.220 Centers for International Business Education; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 75.209 and 75.210. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. Applicants should address the selection criteria only in the context of the program requirements in Title VI, Part C of the Higher Education Act of 1965, as amended.

**84.274 AMERICAN OVERSEAS RESEARCH CENTERS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act, as amended, Title VI, Part A, Section 609.

**OBJECTIVES:**

To enable American overseas research centers, that are consortia of higher education institutions, to promote postgraduate research, exchanges, and area studies.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grants may be used to pay all or a portion of the cost of establishing or operating a center or program, including the cost of faculty and staff stipends

and salaries; faculty, staff, and student travel; the operation and maintenance of overseas facilities; the cost of teaching and research materials; the cost of bringing visiting scholars and faculty to a center to teach or to conduct research; the cost of organizing and managing conferences; and the cost of publishing and disseminating materials for the scholarly and general public.

**Applicant Eligibility:**

The Secretary shall only award grants to centers that: (1) receive more than 50 percent of their funding from public or private United States sources; (2) have a permanent presence in the country in which the center is located; and (3) are organizations described in Section 501(c)(3) of the Internal Revenue Code of 1986 which are exempt from taxation under Section 501(a) of the Code.

**Beneficiary Eligibility:**

Consortia of institutions of higher education that (1) receive more than 50 percent of their funding from public or private United States sources; (2) have a permanent presence in the country in which the center is located; and (3) are organizations described in Section 501(c)(3) of the Internal Revenue Code of 1986 which are exempt from taxation under Section 501(a) of the Code will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible centers may submit an application for funding when a new competition is announced in the Federal Register. Application forms and guidelines for the submission of applications are available from the Office of International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Applications are evaluated by peer review panels with area studies expertise. Funding recommendations are made to the Secretary based on the outcome of the peer review process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The approval time is approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Centers selected to receive funds for the 4-year project period must submit annual performance reports for continuation of support. Continuation grant awards are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for 12-month periods for a total project period of up to 48 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Funded centers submit annual performance reports through the International Resource Information System (IRIS). The annual performance reports provide narratives about the status of project activities, including evaluation efforts, as

well as the centers progress toward achieving the objectives for the reporting period. The annual reports also provide information about budget expenditures during the reporting period. A final performance report is due 90 days after the end date of the final budget period of the project. Financial status reports are not required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available on request: (1) for 3 years after the close of the fiscal year that the grant expired; or (2) until the grantee is notified that the fiscal audit has closed, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$1,197,000; FY 11 est \$0; and FY 12 est \$1,197,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Competition for new awards anticipated. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is governed by the authorizing legislation and the Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79 through 82, 85, 86, 97, 98, and 99. Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cheryl Gibbs, International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K Street, N.W., Washington, District of Columbia 20006 Email: Cheryl.Gibbs@ed.gov Phone: (202) 502-7634.

**Website Address:**

<http://www.ed.gov/programs/iegpsaorc/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.019 Overseas Programs - Faculty Research Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.153 Business and International Education Projects; 84.220 Centers for International Business Education; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 75.209 and 75.210. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. Applicants should address the selection criteria only in the context of the program requirements in Title VI, Part A, Section 609 of the Higher Education Act of 1965, as amended.

**84.275 REHABILITATION TRAINING\_GENERAL TRAINING**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, III U.S.C 302.

**OBJECTIVES:**

To ensure that skilled personnel are available to provide rehabilitation services to individuals with disabilities through: (1) Vocational, medical, social, and psychological rehabilitation programs; (2) supported employment programs; and (3) independent living client assistance programs. To support projects that: (1) Maintain and upgrade basic skills and knowledge of personnel employed; and (2) increase the numbers of qualified personnel trained in providing rehabilitation services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are limited to support of education programs for personnel such as rehabilitation counselors, administrators, independent living specialists, audiologists, rehabilitation teachers for individuals who are blind, rehabilitation technology specialists who provide vocational, independent living, and client assistance services to individuals with disabilities.

**Applicant Eligibility:**

State vocational rehabilitation agencies, and other public or nonprofit agencies and organizations, including institutions of higher education may apply.

**Beneficiary Eligibility:**

Individuals employed in positions related to the rehabilitation of individuals with disabilities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attention: 84.275.

**Award Procedure:**

Applications are reviewed by panels of field readers. Each panel will generally include two or more nonfederal members with experience and training in the proposed area of training.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 120 to 160 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**



This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 5 years; with 12-month budget period. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by Education Department General Administrative Regulations (EDGAR).

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$300,000; FY 11 est \$300,000; and FY 12 est \$300,000

**Range and Average of Financial Assistance:**

There's only one award each year - \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR Part 385.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.129 Rehabilitation Long-Term Training; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.246 Rehabilitation Short-Term Training; 84.263 Rehabilitation Training\_Experimental and Innovative Training; 84.264 Rehabilitation Training\_Continuing Education; 84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are included in application notices. Contact the Program Office for this information.

**84.282 CHARTER SCHOOLS**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V Part B, Subpart 1.

**OBJECTIVES:**

The program supports the planning, development, and initial implementation, and replication of charter schools and the dissemination of information on charter schools. Charter schools provide enhanced parental choice and are exempt from many statutory and regulatory requirements. In exchange for this increased flexibility, charter schools establish plans to improve student academic achievement and to stimulate the creativity and commitment of teachers, parents, and the public.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Each State educational agency (SEA) receiving a grant should award subgrants to one or more eligible applicants in its State, enabling them to plan and implement a charter school. Each eligible applicant, other than an SEA, receiving funds from the Secretary or an SEA must use the funds to plan and implement a charter school. Grantees receive up to 3 years of assistance, of which they may not use more than 18 months for planning and program design and not more than 2 years for the initial implementation of a charter school. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202)708-7770.

**Applicant Eligibility:**

State educational agencies (SEAs) with specific statutes authorizing charter schools are eligible. If an eligible SEA elects not to participate in this program or does not have an approved application, charter developers that have applied to an authorized public chartering authority to operate a charter school, and provided adequate and timely notice to that authority, may apply directly to the Secretary.

**Beneficiary Eligibility:**

School administrators, teachers, and students and their parents are beneficiaries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the program office for application information. Application notices are published in the Federal Register.

**Award Procedure:**

Contact the program office for this information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

To receive continuation funding, grantees must demonstrate substantial progress toward meeting the goals and objectives of their project. Continuation awards are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than 3 years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As part of the continuation funding process, grantees must submit performance reports annually. The programs office will establish a due date. Final performance reports must be submitted within 90 days of the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after the fiscal year in which the expenditure was made by the grantee, or until the grantee is notified of the completion of the Federal fiscal audit. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$256,031,000; FY 11 est \$255,518,938; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range of awards: \$100,000 - \$25,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department provided funding for 12 SEA grants; 14 awards to non-SEA grants, and 12 CMO grants. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Stefan Huh Department of Education, Office of Innovation and Improvement, Parental Options and Information, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: stefan.huh@ed.gov Phone: (202) 453-6384

**Website Address:**

<http://www.ed.gov/programs/charter/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in program statute. Contact the program office for more information.

**84.283 COMPREHENSIVE CENTERS****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Education Technical Assistance Act of 2002, Section 203.

**OBJECTIVES:**

This program supports 21 comprehensive centers that provide training and technical assistance, and professional development in reading, mathematics, and technology, primarily to State educational agencies. By statute, the Department is required to establish at least one center in each of the 10 geographic regions served by the Department's regional education laboratories.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

The Comprehensive Centers consist of 21 centers, including 16 regional centers and 5 content centers. Grantees are required to develop five-year plans for carrying out authorized activities that address State and regional needs. The 16 regional centers provide services primarily to State educational agencies to enable them to assist school districts, regional education agencies, and schools, especially low-performing schools. Each regional center provides training and technical assistance in the implementation and administration of programs authorized under the Elementary and Secondary Education Act and the use of scientifically valid teaching methods and assessment tools in mathematics, science, reading and language arts. The 5 content centers focus on specific areas, with one center in each of five areas: accountability, instruction, teacher quality, innovation and improvement, and high schools. These centers supply much of the research-based information and products in the specific area that regional centers use when working with States.

**Applicant Eligibility:**

Research organizations, institutions, agencies, institutions of higher education (IHEs), or partnerships among such entities, or individuals that have the expertise to provide training to States, school districts, and schools may apply.

**Beneficiary Eligibility:**

Agencies supporting or providing elementary and secondary education will benefit, including state and local educational agencies, schools, Indian tribes, community-based organizations, and other recipients of funds under ESEA.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications or proposals must be prepared and submitted in accordance with applicable program announcements.

**Award Procedure:**

After completion of competitive peer review of applications, the Department makes the final decision on the approval and funding of applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are made for up to five years, subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be awarded for up to five years subject to the availability of funds and performance by the grantee. See the following for information on how

assistance is awarded/released: Electronic transfer.

**Reports:**

Specified reporting requirements are included in the grant or cooperative agreement document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. As required by EDGAR, 34 CFR 74.

**Records:**

Records must be kept for three years after the completion of the activity that grant funds were used.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$56,313,000; FY 11 est \$51,210,000; and FY 12 est \$51,210,000

**Range and Average of Financial Assistance:**

Range of awards in FY 11: \$814,647 - \$5,721,335; Average: \$2,402,277.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 21 grantees received continuation awards. Fiscal Year 2011: 21 grantees received continuation awards. Fiscal Year 2012: The Department anticipates holding a new competition.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations applicable to this program are in the Department of Education's General Administrative Regulations (34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86).

**Regional or Local Office:**

None.

**Headquarters Office:**

Fran Walter Department of Education, OESE, School Support and Technology Programs, 400 Maryland Ave. S.W., Washington, District of Columbia 20202  
Email: fran.walter@ed.gov Phone: (202) 205-9198

**Website Address:**

<http://www.ed.gov/programs/newccp/index.html>

**RELATED PROGRAMS:**

84.004 Civil Rights Training and Advisory Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Regional centers have helped SEAs analyze approaches for establishing and implementing statewide systems of support and also analyzing options for designing teacher evaluation systems. Fiscal Year 2011: Regional centers work with SEAs to implement college- and career-ready standards with aligned assessments and instructional materials and also on enabling data-based and evidence-based decision-making. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria include: (1) Meeting the purpose of the authorizing statute; (2) extent of need for the center; (3) plan of operation; (4) quality of key personnel; (5) budget and cost-effectiveness; (6) evaluation plan; and (7) adequacy of resources.

**84.286 READY TO TEACH**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, Executive Order Title V, Part D, Subpart 8, 20 U.S.C. 7257-7257d.

**OBJECTIVES:**

To carry out a national telecommunications-based program to improve teaching, and prepare students to achieve challenging academic standards, in core curriculum areas. The Ready to Teach program also supports digital educational programming grants that enable eligible entities to develop, produce, and distribute educational and instructional video programming.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Not more than five percent of the amount received under the grant may be used for administrative costs.

**Applicant Eligibility:**

Nonprofit telecommunications entities or a partnership of those entities, as defined in section 397(12) of the Communications Act of 1934, that can demonstrate a capacity for the development and distribution of educational instructional television programming of high quality.

**Beneficiary Eligibility:**

Elementary and secondary, students and school teachers who provide instruction in core curriculum areas (in the United States).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms and instructions are available from the program office. Application deadlines and other information for applicants are published in the Federal Register.

**Award Procedure:**

Applicants are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (see 34 CFR 75.253). Generally, for multiple-year awards, continuation awards after the first budget period are made if: sufficient funds have been appropriated; the recipient has either made substantial progress in meeting the goals of the project or obtained approval for changes in the project; the recipient has submitted all required reports; and continuation is in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Digital educational programming grants awarded under ESEA Sec. 5484 require a match of not less than 100 percent from non-federal sources. Grants awarded under ESEA Sec. 5481, to carry out a national telecommunications-based program, have no formula or matching

requirements. Such matching funds may include funds provided for the transition to digital broadcasting, as well as in-kind contributions.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Following a competitively selected 12-month award, up to two additional years may be awarded. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released:

Electronic transfer.

**Reports:**

Annual performance reports are required for each budget period. Specific due dates are determined by the Department and forwarded to applicants accordingly. Final performance reports are due 90 days after expiration or termination of the award. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75) the grantee shall maintain records and other evidence pertaining to all costs incurred, revenues, or other applicable credits acquired under its award as stated in grant or contract terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - No additional obligations expected for FY 2011 and 2012.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon Harris, Department of Education, Office of Innovation and Improvement, Technology in Education Programs, 400 Maryland Ave. S.W., Room 4W216, Washington, District of Columbia 20202 Email: sharon.harris@ed.gov Phone: (202) 205-5880.

**Website Address:**

<http://www.ed.gov/programs/readyteach/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Department uses the selection criteria contained in the Education Department General Administrative Regulations (EDGAR) to evaluate applications to this program. The specific criteria to be used for a particular grant competition are selected from among these on 34 CFR 75, Section

75.210, and announced in the application package or the application notice in the Federal Register.

**84.287 TWENTY-FIRST CENTURY COMMUNITY LEARNING CENTERS**

**FEDERAL AGENCY:**

Office of Educational Research and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title IV, Part B.

**OBJECTIVES:**

To create community learning centers that provide academic enrichment opportunities for children, particularly students who attend high-poverty and low-performing schools. The program is intended to help students meet state and local student standards in core academic subjects, such as reading and math; offers students a broad array of enrichment activities that should complement their regular academic programs; and to offers literacy and other educational services to the families of participating children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Projects funded under this program must be for the purpose of meeting the needs of the residents of rural and inner-city communities, through the creation or expansion of community learning centers. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies are eligible for funds under this program.

**Beneficiary Eligibility:**

Residents of all ages within the communities served by the learning centers will benefit, with a focus on school-aged children.

**Credentials/Documentation:**

Contact program office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States must apply for funds either through a program-specific application or by including the program in a consolidated State plan authorized under Title IX of the ESEA. Contact the headquarters office listed below for more information.

**Award Procedure:**

Contact the program office for this information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are made annually. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Generally, SEAs are subject to the reporting requirements contained in Title IX of the ESEA consolidated state performance report section 9303(b). Annual progress and financial reports as required by EDGAR. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Contact Program Office.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the EDGAR, Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year.

**Records:**

As required by the provisions in EDGAR for direct grant programs. Records related to grant funds, compliance, and performance must be maintained for a period of 3 years after completion, subject to the exceptions listed in EDGAR 34 CFR 74.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$1,166,166,000; FY 11 est \$1,153,853,668; and FY 12 est \$1,266,166,000

**Range and Average of Financial Assistance:**

Range (FY 11): \$5,653,883-\$134,122,758; Average (FY 11): \$21,745,704.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations applicable to this program are in the Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Pilla Parker, Department of Education, OESE 21st-Century Community Learning Centers, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: pilla.parker@ed.gov Phone: (202) 260-3710.

**Website Address:**

<http://www.ed.gov/programs/21stcccl/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the program office for information.

**84.293 FOREIGN LANGUAGE ASSISTANCE**

**FEDERAL AGENCY:**

Office of English Language Acquisition, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V, Part D, Subpart 9.

**OBJECTIVES:**

To support innovative model programs of foreign language study in public elementary and secondary schools.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The program has two program areas: one for local educational agencies (LEAs) and one for State educational agencies (SEAs). The SEA program supports innovative model programs of foreign language study in elementary and secondary schools. The LEA program may include a professional development component and must support projects that show the promise of being continued beyond the grant period. Not less than three-fourths of the appropriation must be used for elementary-level projects. Beginning in FY08, Congress has appropriated funds specifically to award funds to partnerships of institutions of higher education (IHEs) along with LEAs to establish articulated programs of study in critical languages. Critical languages are defined as languages critical to United States national security and include Arabic, Chinese, Korean, Japanese, Russian, and languages in the Indic, Iranian, and Turkic language families.

**Applicant Eligibility:**

State and local educational agencies and partnerships of institutions of higher education with local educational agencies may apply.

**Beneficiary Eligibility:**

Elementary and secondary school children benefit.

**Credentials/Documentation:**

Contact program office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To participate, an organization must have on file with the Secretary of Education, by the designated deadline, an application that complies with the statutory requirements. Contact the program office for specific application information.

**Award Procedure:**

Applications are approved for awards by the Director, Office of English Language Acquisition, Language Enhancement, and Academic Achievement For Limited English Proficient Students, based on evaluations and recommendations of outside experts and an administrative review of the applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are based on an annual review of the performance data and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50.%. Applicants may apply for a waiver of this requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for 3 to 5 years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Financial status and performance reports, as required by EDGAR, 34 CFR 75.720. Specific reporting requirements are contained in the grant documents. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial status and performance reports, as required by EDGAR, 34 CFR 75.720. Specific reporting requirements are contained in the grant documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain appropriate records related to grant funds, as required by EDGAR.

**Account Identification:**

18-1000-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$26,928,000; FY 11 est \$26,874,144; and FY 12 est \$26,874,144

**Range and Average of Financial Assistance:**

\$50,000-\$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Funds supported 55 new and 59 continuation awards for LEA, SEA, and LEA/IHE grants. Fiscal Year 2011: Funds supported 113 continuation awards for LEA, SEA, and LEA/IHE grants. Fiscal Year 2012: Funds would support approximately 67 new LEA awards and 74 continuation awards for LEA, SEA, and LEA/IHE grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No specific regulations have been developed. EDGAR, 34 CFR 75, 77, 80, 81, 85, 86, 97, 98, 99, and 299.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rebecca Richey, Department of Education, OELA 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Rebecca.richey@ed.gov Phone: (202) 245-7133.

**Website Address:**

<http://www.ed.gov/programs/flap/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Abstracts may be accessed at: <http://www2.ed.gov/about/offices/list/oela/funding.html> . Fiscal Year 2011: Abstracts may be accessed at: <http://www2.ed.gov/about/offices/list/oela/funding.html> . Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria include: need for the project, quality of the project design, management plan, and evaluation.

**84.295 READY-TO-LEARN TELEVISION**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title II, Part D, Subpart3, 20 U.S.C. 6775 A.

**OBJECTIVES:**

To facilitate student academic achievement by developing educational programming, with accompanying educational support materials, for preschool and early elementary school children and their families.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The program makes awards to support the development and distribution of educational video programming and related outreach materials. Administrative costs are limited by the authorizing statute. Entities receiving a grant, contract, or cooperative agreement from the Secretary may not use more than five percent of the amounts received for the normal and customary expenses of administering the grant.

**Applicant Eligibility:**

To be eligible to receive a grant, contract, or cooperative agreement under Subsection (a) an entity shall be a public telecommunications entity that can demonstrate a capacity to: (1) develop and disseminate educational and instructional television programming nationwide; (2) contract with the producers of children's television programming; (3) negotiate such contracts in a manner that returns an appropriate share of ancillary income from sales of program-related products; and (4) localize programming and materials to meet specific State and local needs.

**Beneficiary Eligibility:**

Programming is to be made widely available, with support materials as appropriate, to young children, their parents, child care workers, and Head Start and Even Start providers.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This procedure is described in the application notice published annually in the Federal Register. Contact the headquarters office listed below for application packages containing the announcement, application, and forms.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the administrative regulations governing the Evaluation of Applications for Grants and Cooperative Agreements (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant program (see 34 CFR 75.253). Generally, for multiple-year awards, continuation awards after the first budget period are made if: sufficient funds have been appropriated; the recipient has either made

substantial progress in meeting the goals of the project or obtaining approval for changes in the project; the recipient has submitted all required reports; and continuation is in the best interest of the government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Following an initial award of 12 months, four additional 1-year, non-competing continuation awards may be made, for a total term of 5 years. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

The recipient must submit an annual report. At a minimum, the report must describe the program activities including: (1) Programming that has been developed directly or indirectly and the target population of the programs developed; (2) supporting materials that have been developed to accompany the programming and the method by which materials are distributed to consumers and users of the programming; (3) the means by which programming developed under this Section has been distributed, including the distinct learning technologies that have been utilized to make programming available and the geographic distribution achieved through such technologies; and (4) the initiatives undertaken to develop public or private partnerships to secure nonfederal support to develop and distribute the broadcasting of educational and instructional programming. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. See 34 CFR 74.26. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local governments are subject to the requirements in the Single Audit Act and ED regulations implementing OMB Circular No. A-133 (see 34 CFR 80).

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75). The grantee shall maintain records and other evidence pertaining to all costs incurred, revenues, or other applicable credits acquired under its award as stated or contract terms and conditions. (34 CFR 75.721). Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$27,248,000; FY 11 est \$27,245,000; and FY 12 est \$0 - Under the Administration's proposal for fiscal year 2012, continuation awards would be covered under a separate program.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations applicable to this program are in the Education Department General Administrative Regulations (EDGAR) 34 CFR, 74, 75, 77, 79, 81, 82, 84,85, 97,98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Brian Lekander Department of Education, Office of Innovation and Improvement, Technology in Education Programs 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: brian.lekander@ed.gov Phone: (202) 205-5633

**Website Address:**

<http://www.ed.gov/programs/rltvtv/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Department made three 5-year awards in 2010. Descriptions of the projects are available at <http://www2.ed.gov/programs/rltvtv/2010awards.html>. Fiscal Year 2011: See link provided for the Fiscal Year 2010 awards. No new awards will be made in 2011. Fiscal Year 2012: See link provided for the Fiscal Year 2010 awards. No new awards will be made in 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

The Department uses the selection criteria contained in the Education General Administrative Regulations (EDGAR) to evaluate applications to this program. The specific criteria to be used for a particular grant competition are selected from among these in 34 CFR 75, Section 75.210, and announced in the application package or the application notice in the Federal Register.

**84.299 INDIAN EDUCATION -- SPECIAL PROGRAMS FOR INDIAN CHILDREN**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title VII, Part A, Subpart 2.

**OBJECTIVES:**

To support projects to develop, test, and demonstrate the effectiveness of services and programs to improve educational opportunities and achievement of Indian children; to increase the number of qualified Indian individuals in teaching or other education professions that serve Indian people, to provide training to qualified Indian individuals to enable such individuals to become teachers, administrators, teacher aides, social workers, and ancillary educational personnel, and to improve the skills of qualified Indian individuals who serve in education professions.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Under the absolute priorities for this program, grants support early childhood and kindergarten projects, high school projects that aim to aid students in the transition from secondary to postsecondary education, and professional development projects that increase the number and skills of qualified Indian teachers and principals who serve Indian people.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Successful applicants are subject to the requirement of applicable OMB Circulars on grant award agreements.

**Award Procedure:**

The Department awards these grants on a competitive basis. Applications are reviewed and ranked by a panel of outside reviewers. The program office notifies successful applicants of awards and awards grants. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60-120 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a period of up to 4 years; continuations awards are contingent on performance and to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Each eligible entity receiving a grant under this program annual must submit to the Secretary a report of its operations and activities. Each annual report must include: (1) An executive summary; (2) information project status; (3) budget information; and (4) supplemental information. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits may be conducted by the Department's Office of Inspector General staff make site visits. Audits are periodic with no set schedule.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years after the end of the grant.

**Account Identification:**

91-0101-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$19,060,000; FY 11 est \$19,021,880; and FY 12 est \$19,060,000

**Range and Average of Financial Assistance:**

In FY 2009 the range of awards was \$98,587-\$399,625; the average award was \$286,744.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department awarded 18 new grants and 57 continuation grants. Fiscal Year 2011: The Department will award approximately 9 new grants and 60 continuation grants. Fiscal Year 2012: The Department would award approximately 20 new grants and 52 continuation grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See 34 CFR 263

**Regional or Local Office:**

None.

**Headquarters Office:**

Lana Shaughnessy, Office of Indian Education, Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: lana.shaughnessy@ed.gov Phone: (202) 205-2528.

**Website Address:**

<http://www.ed.gov/programs/indiandemo/index.html>;

<http://www.ed.gov/programs/indianprofdev/index.html>

**RELATED PROGRAMS:**

84.060 Indian Education\_Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in EDGAR and 34 CFR 263; contact the program office for additional information.

**84.304 CIVIC EDUCATION - WE THE PEOPLE AND THE COOPERATIVE EDUCATION EXCHANGE PROGRAM FEDERAL AGENCY:**

Office of Safe and Drug-Free Schools, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Executive Order Title II, Part C, Subpart 3 FY 2011: Department of Defense and Full-Year Continuing Appropriations Act, 2011, Division B, Title VIII, Sec. 1833 (a), P.L. 112-10.

**OBJECTIVES:**

This program supports the international Cooperative Civic Education and Economic Education Exchange Program (CCEEEEP). The CCEEEEP objectives are: (1) to make available to educators from eligible countries exemplary curricula and teacher training programs in civics and government education, and economics education; (2) to assist eligible countries in the adaptation, implementation, and institutionalization of such programs; (3) to create and implement civics, government, and economic education programs for students that draw upon the experiences of participating eligible countries; (4) to provide a means for the exchange of ideas and experiences in civics, government, and economic education among political, educational, governmental, and private sector leaders of participating eligible countries; and (5) to provide support for--(a) independent research and evaluation to determine the effects of educational programs on students' development of the knowledge, skills, and traits of character essential for the preservation and improvement of constitutional democracy; and (b) effective participation in, and the preservation and improvement of, an efficient market economy.

Civic Education also supports the domestic We the People: The Citizen and the Constitution program which has two components. The We the People program is designed (1) to continue and expand the educational activities of the program; (2) to carry out activities to enhance student attainment of challenging academic content standards in civics and government; (3) to provide a course of instruction on the basic principles of the Nations constitutional democracy and the history of the Constitution of the United States, including the Bill of Rights; (4) to provide, at the request of the participating school, school and community simulated congressional hearings following the course of instruction described in item 3; (5) to provide an annual national competition of simulated congressional hearings for secondary school students who wish to participate in such a program; (6) to provide advanced, sustained, and ongoing trainings of teachers about the Constitution and the political system of the United States; (7) to provide materials and methods of instruction, including teacher training, that utilize the latest advancements in educational technology; and (8) to provide civic education materials and services that address controversial issues. The second component entitled Project Citizen is designed; (1) to continue and



expand the educational activities; (2) to carry out activities to enhance student attainment of challenging academic content; (3) to provide a course of instruction at the middle school level on the roles of State and local governments in the Federal system established by the Constitution; (4) to provide an annual national showcase or competition; (5) to provide optional school and community simulated State legislative hearings; (6) to provide advanced, sustained, and ongoing training of teachers on the roles of State and local governments in the Federal system established by the Constitution; (7) to provide materials and methods of instruction, including teacher training, that utilize the latest advancement in educational technology; and (8) to provide civic education materials.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The education program authorized under this subsection shall be made available to public and private elementary schools and secondary schools, including Bureau of Indian Education funded schools, in the 435 congressional districts, and in the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Applicant Eligibility:**

By statute, the Center for Civic Education and the Council for Economic Education, each receive program funds through a grant or contract under the Cooperative Civic Education and Economic Education Exchange Program. In addition, a competition is held for organizations experienced in the development of curricula and programs in civics and government education and economic education for students in elementary schools and secondary schools in countries other than the United States. By statute, under We the People, the Center for Civic Education receives program funds through a grant or contract.

**Beneficiary Eligibility:**

Educational leaders in the areas of civics and government education, and economic education, including teachers, curriculum and teacher training specialists, and scholars in relevant disciplines.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Contact the Headquarters Office listed below for application packages containing the announcement, application, and assurance forms.

**Award Procedure:**

Applications are reviewed along with an annual/final performance reports, in accordance with EDGAR. The Deputy Assistant Secretary, Office of Safe and Drug-free Schools approves the recommended slate for funding for the directed earmarks, the competitive slate is referred to the Office of the Secretary.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Directed awards are made for twelve months to the Center for Civic Education and to the Council for Economic Education. In addition, one to three discretionary grants are competitively awarded for a period of up to 36 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Annual progress and performance reports are required as part of the submittal of form ED 524B. Annual expenditure reports are required as part of the submittal on form ED 524B. Staff also monitors draw downs using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. See 34 CFR 74.26. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local governments are subject to the requirements in the Single Audit Act and the ED regulations implementing OMB Circular No. A-128 (see 34 CFR 80).

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75). Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

18-0203-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$35,000,000; FY 11 est \$1,155,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Average award: \$710,131.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 12 eligible entities submitted applications with one competitive grant awarded. The program also supported 3 directed grants and one continuation award. Fiscal Year 2011: No competition was held in FY 2011, but the program provided continuation awards for two grants awarded competitive in previous fiscal years. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations applicable to this program are in the Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, 86, and 97.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rita Foy Moss, Department of Education, OSDFS, 400 Maryland Ave, S.W., PCP, Washington, District of Columbia 20202 Email: rita.foy.moss@ed.gov Phone: (202) 245-7866.

**Website Address:**

<http://www.ed.gov/programs/coopedexchange/index.html>;  
<http://www.ed.gov/programs/we the people/index.html> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funded projects have focused on improving the quality of civic and government education and on educating students about the history and principles of the Constitution of the United States, including the Bills of Rights; improving the quality of civic and government education and economic education in the United States, fostering civic competence and responsibility, and improving the quality of civic education and economic education through cooperative exchange programs with emerging democracies. Fiscal Year 2011: Funded projects focused on improving the quality of civic and government education and economic education in the United States, fostering civic competence and responsibility, and improving the quality of civic education and economic education through cooperative exchange programs with emerging democracies. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications under this program are contained in 34 CFR 700, Evaluation of Applications for Grants and Cooperative Agreements. The specific criteria to be used for a particular grant competition are selected from among those in 34 CFR 700, and announced in the application package or the application notice in the Federal Register.

**84.305 EDUCATION RESEARCH, DEVELOPMENT AND DISSEMINATION****FEDERAL AGENCY:**

Institute of Education Sciences, Department of Education

**AUTHORIZATION:**

Education Sciences Reform Act of 2002, Title I, Parts A, B and D, Sections 133 and 172.

**OBJECTIVES:**

To support the development and distribution of scientifically valid research, evaluation, and data collection that support learning and improve academic achievement.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants will support basic and applied research, development, dissemination, evaluations, and research training in education.

**Applicant Eligibility:**

Applicants that have the ability and capacity to conduct scientifically valid research are eligible to apply. Eligible applicants include, but are not limited to, non-profit and for-profit organizations and public and private agencies and institutions, such as colleges and universities.

**Beneficiary Eligibility:**

Institutions and individuals involved with education will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard Form 424, "Application for Federal Assistance," an application narrative, and required certifications must be submitted by the deadline specified in the Federal Register.

**Award Procedure:**

Applications are reviewed by panels of field readers in accordance with 34 CFR 700, "Evaluation of Applications for Grants and Cooperative Agreements."

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 210 to 240 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are based on the review of annual performance reports and the recommendation of the project officer. All renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 5 years. Funds are granted on a 12 month basis. All grantee obligations shall be liquidated within 90 days following the end of the award period. Payments may be made according to a predetermined schedule or by way of reimbursement. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, financial reports and program reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Annual progress and performance reports are required as part of the submittal of form ED 524B. Annual expenditure reports are required as part of the submittal of form ED 524B. Staff also monitor drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each grantee will keep intact, and accessible, records relating to the receipt and expenditure of Federal funds and the expenditures of the grantee's contribution to the cost of the project, if any. Records will normally be retained for 3 years after the date of the submission of the final expenditure report, or for grants that are reviewed annually, 3 years after the date of the award.

**Account Identification:**

91-1100-0-1-503.

**Obligations:**

(Project Grants) FY 10 \$154,000,000; FY 11 est \$162,549,000; and FY 12 est \$162,549,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 108 research grants awarded. Fiscal Year 2011: 90 research grants awarded. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Emily Doolittle, Institute of Education Sciences, Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: Emily.Doolittle@ed.gov Phone: (202) 219-1201.

**Website Address:**

<http://ies.ed.gov/ncer>.

**RELATED PROGRAMS:**

84.324 Research in Special Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: See the IES website for more information on funded projects (<http://ies.ed.gov/ncer/>). Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications are contained in the Request for Applications that announces the competition. The Request for Applications is posted on the Funding Opportunities home page of the Institute web site: <http://ies.ed.gov/funding/>.

**84.310 PARENTAL INFORMATION AND RESOURCE CENTERS****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title V, Part D, Subpart 16.

**OBJECTIVES:**

To provide grants to nonprofit organizations and nonprofit organizations in consortia with local educational agencies (LEAs) to assist them in establishing parental information and resource centers. These centers strive to: (1) assist parents in helping their children to meet State and local standards; (2) obtain information about the range of programs, services, and resources available nationally and locally for parents and school personnel who work with parents; (3) help parents use the technology applied in their children's education; (4) plan, implement, and fund activities for parents that coordinate the education of their children with other programs that serve their children and families; and (5) coordinate and integrate early childhood programs with school-age programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Each grantee receiving funds under this program must use at least 50 percent of the funds provided to serve areas with high concentrations of low-income families in order to serve parents who are educationally or economically disadvantaged. At least 30 percent of the funds must also be used to establish, expand, or operate a Parents As Teachers Program or a Home Instruction Program for Preschool Youngsters, or other early childhood parent education program. Other requirements include the establishment of a special advisory committee and design requirements. Grantees must serve both urban and rural areas. Finally, grantees must demonstrate that a portion of the services provided under this project is supported through nonfederal contributions.

**Applicant Eligibility:**

Nonprofit organizations and nonprofit organizations in consortia with LEAs may apply.

**Beneficiary Eligibility:**

Preschool and school-aged children and their parents will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the notice published in the Federal Register. Contact the program office for more information.

**Award Procedure:**

Applications are reviewed by panels of field readers. Points are awarded according to the selection criteria for discretionary grants contained in the Education Department General Administrative Regulations (EDGAR). Applications are ranked based on the number of points awarded and are selected for funding based on their rank order and geographic location in order to satisfy statutory provisions. Grants are distributed, to the greatest extent possible, to all geographic regions of the country.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are based on the review of annual performance reports and the recommendation of the project officer. All renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees are required to contribute, from nonfederal sources, a portion of the services provided under the project after the first year. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 5 years. Funds are granted on a 12-month basis. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual progress reports must be submitted as required by grant award terms and conditions. Annual progress reports must be submitted as required by grant award terms and conditions. Annual progress reports must be submitted as required by grant award terms and conditions. Annual progress reports must be submitted as required by grant award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administration Regulations (EDGAR), 34 CFR 74, nonprofit organizations are subject to the audit requirements in OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations."

**Records:**

As required by the Education Department General Administrative Regulations.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$39,254,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY 10 Range: \$373,064 - \$883,609; Average: \$612,967.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR). For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Monique Toussaint US Department of Education, Office of Innovation and Improvement, Parental Options and Information, 400 Maryland Ave., SW, Room 4W243, Washington, District of Columbia 20202 Email: monique.toussaint@ed.gov Phone: (202) 260-0964

**Website Address:**

<http://www.ed.gov/programs/pirc/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of funded projects are on the Department's website at: <http://www2.ed.gov/programs/pirc/awards.html>. Fiscal Year 2011: Not applicable. Fiscal Year 2012: Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in the Education Department General Administrative Regulations are used to evaluate this program. For more information contact the Program Office.

**84.315 CAPACITY BUILDING FOR TRADITIONALLY UNDERSERVED POPULATIONS**

(Capacity Building)

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Section 21.

**OBJECTIVES:**

To enhance the capacity and increase the participation of historically Black colleges and universities, Hispanic serving institutions of higher education, and other institutions of higher education where minority enrollment is at least 50 percent, in competitions for grants, contracts, and cooperative agreements under the Rehabilitation Act, as amended.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are limited to: awards to minority entities and Indian tribes to carry out activities under the programs authorized under titles II, III, VI, and VII of the Rehabilitation Act; awards to minority entities and Indian tribes to conduct research, training, technical assistance, or related activities, to improve services provided under the Rehabilitation Act, especially services provided to individuals from minority backgrounds; and awards to eligible entities to provide outreach and technical assistance to minority entities and Indian tribes to promote their participation in activities funded under the Rehabilitation Act.

**Applicant Eligibility:**

States and public and nonprofit agencies and organizations may apply.

**Beneficiary Eligibility:**

Historically Black colleges and universities; (2) Hispanics serving institutions of higher education; (3) Indian tribal colleges and universities (4) other institutions of higher education whose minority student enrollment is at least 50 percent; and (5) Indian Tribes.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process that the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult

the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

All new applications are reviewed by a panel of at least three individuals. Each panel will generally include two or more nonfederal consultants with experience and training in the proposed area of expertise. Each panel will include a person with a disability and an individual from a minority background.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 120 to 150 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 5 years, with budget periods of 12-months. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by the grant award's terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133.

**Records:**

As required by EDGAR.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$2,593,403; FY 11 est \$2,106,110; and FY 12 est \$2,106,110

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current

Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations. For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ellen Chesley, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202-2649 Email: ellen.chesley@ed.gov Phone: (202) 245-7300.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/rsa/index.html>.

**RELATED PROGRAMS:**

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in the Education Department General Administrative Regulations are used to evaluate this program.

**84.318 EDUCATIONAL TECHNOLOGY STATE GRANTS**

(Enhancing Education through Technology Program)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title II, Part D, Subparts 1 and 2.

**OBJECTIVES:**

To provide grants to State educational agencies (SEAs) on a formula basis to (a) improve student academic achievement through the use of technology in schools; (b) assist all students in becoming technologically literate by the end of eighth grade; and (c) encourage the effective integration of technology with teacher training and curriculum development to establish successful research-based instructional methods.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

At least 95 percent of awards to SEAs must be used to make subgrants to LEAs. Half of the subgrant funds (the 95 percent) must be used for formula awards to eligible local educational agencies (LEAs) that receive funds under Title I, Part A. The remaining one-half provides competitive awards to eligible local entities (see beneficiary eligibility). Beginning in the fiscal year (FY) 2006 Appropriations Act, Congress has annually included language overriding this statutory provision and providing SEAs with the flexibility to reserve up to 100 percent of their allocations for competitive awards to eligible entities. The Congress has continued to provide this flexibility in FY 2010 under Department of Education Appropriations Act, 2010. Each LEA and eligible entity receiving funds under this program must use at least 25 percent of its funds to provide professional development; the remaining funds must be used carry out other activities consistent with the purposes of the program and the district's local technology plan. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564- 76.569. For assistance call the Office of the Chief Financial Officer/ Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEA).

**Beneficiary Eligibility:**

Elementary and secondary schools, students, and teachers will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applications are distributed to the Chief State School Officer for all eligible SEAs. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States have two options for applying for funds under this program. Option 1: An SEA may submit an individual program application that includes a new or updated statewide long-range strategic educational technology plan that considers the educational technology needs of LEAs in the State, and an application that addresses the following topics: (1) strategies for improving academic achievement; (2) goals using advanced technology to improve student academic achievement, aligned with challenging State standards; (3) steps to increase accessibility to technology; (4) accountability measures; (5) innovative instruction delivery strategies; (6) an assurance that financial resources provided under the Educational Technology program will supplement, and not supplant, State and local funds; (7) professional and curricular development; (8) how the SEA will provide technical assistance to applicants seeking Educational Technology funds; (9) technology resources and systems that the State will provide; (10) strategies for financing technology; (11) strategies for parental involvement; (12) competitive grant process description; (13) integration of technology with curricula and instruction; (14) teacher incentives; and (15) a description of how public and private entities will participate in the implementation and support of the plan. Option 2: States may apply for funds through a consolidated application, as provided for in ESEA Sec. 9301. Through a consolidated application, a State will not submit all of the information required for individual Educational Technology applications, but will submit only "descriptions, information, assurances, and other materials that are absolutely necessary for the consideration of the consolidated State plan or consolidated State application" (ESEA Section 9302(b)(3)). The specific information that an SEA must include in a consolidated application that incorporates the Educational Technology program was detailed in the consolidated State application documents the Department published in the Federal Register.

**Award Procedure:**

The Department reviews all State applications and plans.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

120 days from receipt of application.

**Appeals:**

The Secretary may not disapprove a State technology plan or State application, before offering the State an opportunity to revise the plan and a hearing. (See 34 CFR 76.202.).

**Renewals:**

SEAs must report annually to the Secretary regarding progress in meeting State goals and plans. The report must include: (1) a proposal of State activities for the succeeding year; (2) a summary of the progress of the State's LEAs in meeting local goals; and (3) a plan to increase student learning. Renewals are subject to the availability of resources.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are generally made for 1 year, on an annual basis subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for State-administered programs (34 CFR part 76). Financial and

performance reports are required annually. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State-Administered programs (34 CFR part 76). Generally, States and subgrantees must retain records related to grant funds and compliance for a period of 5 years.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$100,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Enid Marshall, School Support and Technology Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: enid.marshall@ed.gov Phone: (202) 708-9499.

**Website Address:**

<http://www.ed.gov/programs/edtech/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.323 SPECIAL EDUCATION - STATE PERSONNEL DEVELOPMENT**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part D, Subpart 1, Section 651-655, 20 U.S.C 1451-1455.

**OBJECTIVES:**

To assist State educational agencies in reforming and improving their systems for personnel preparation and professional development in early intervention, educational and transition services, to improve results for children with disabilities. As used in this program, personnel means special education teachers, regular education teachers, principals, administrators, related services personnel, paraprofessionals, and early intervention personnel serving infants, toddlers, preschoolers, or children with disabilities, except where a particular category of personnel, such as related services personnel, is identified.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

The uses of funds under the State Personnel Development Grants program are described in section 654 of the IDEA (20 U.S.C. 1454). Not less than 90 percent of the grant funds for any fiscal year must be used for spent on professional development activities described in section 654(a) of IDEA (20 U.S.C. 1454(a)), including improving results for children with disabilities through the delivery of high-quality instruction and the recruitment, hiring and retention of highly qualified special education teachers. Not more than 10 percent of grant funds for any fiscal year must be spent on the other activities described in section 654(b) of IDEA (20 U.S.C. 1454(b)), such as reforming special education and regular education teacher certification (including recertification) or licensing requirements and carrying out programs that establish, expand, or improve alternative routes for State certification of special education teachers.

**Applicant Eligibility:**

State Educational Agencies.

A State educational agency of one of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, and the outlying areas (U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands) may apply.

**Beneficiary Eligibility:**

Infants and toddlers with disabilities as defined in the IDEA and their families, and children with disabilities as defined in the IDEA and their parents benefit from this program.

**Credentials/Documentation:**

Contact program office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The regulations in 34 C.F.R. Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments) implement OMB Circular A-102. The standard application forms as furnished by the Office of Special Education and Rehabilitative Services must be used for this program. Information about submitting applications for this program can be found in the Notice Inviting Applications for this program for a particular fiscal year and in the approved application package. A notice inviting applications is generally published in the Federal Register annually, depending on the availability of appropriations for a particular fiscal year. Awards are made on a competitive basis based on the availability of funds. The regulations in 34 C.F.R. Part 74 (Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations) implement OMB Circular A-110. OMB Circular A-110 is not applicable to SEAs; however, it is applicable to SEA partners, such as institutions of higher education or other non-profit organizations.

**Award Procedure:**

Applications are peer reviewed and grants are made on a competitive basis subject to the approval of the Assistant Secretary, OSERS.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

A continuation awards may be made annually for up to 5 years throughout the project period of an approved multi-year grant, depending upon the availability of appropriations and the OSERS Assistant Secretary's determination that the grantee has made substantial progress in meeting the objectives of the approved application.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years, subject to the availability of appropriations and the grantee's compliance with the requirements of the grant. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit an annual performance report (APR) as required under EDGAR (34 CFR Part 80 80.41 and 34 C.F.R. Part 75, 75.720 74.50). Final reports are made at the end of the project period. Cash reports are not applicable. Progress is monitored through the grantee's APR. Expenditure reports are not applicable. Program performance is monitored through APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its grant, as stated in award terms and conditions.

**Account Identification:**

91-0300-0-1-500.

**Obligations:**

(Project Grants) FY 10 \$48,000,000; FY 11 est \$48,846,000; and FY 12 est \$48,000,000

**Range and Average of Financial Assistance:**

For 2011, the range of awards is expected to be between \$500,000 and \$1,750,000; the average award is expected to be about \$1,000,000, excluding outlying areas.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: A total of 44 States received support for professional development activities under the SPD Grant program. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are no implementing regulations for the State Personnel Development Grants program. However, the Notice of Final Priority published in the Federal Register on May 20, 2011 at 76.F.R. 29221, sets out the regulatory requirements that are applicable to this program, and the Secretary considers only applications that conform to the absolute priority for this program set out in the FY 2011 Notice of Final Priority for this program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jennifer Coffey, Department of Education, OSERS Office of Special Education Programs, 400 Maryland Ave., SW, Washington, District of Columbia 20202  
Email: jennifer.coffey@ed.gov Phone: (202) 245-6673.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.324 RESEARCH IN SPECIAL EDUCATION****FEDERAL AGENCY:**

Institute of Education Sciences, Department of Education

**AUTHORIZATION:**

Education Sciences Reform Act of 2002, Part E.

**OBJECTIVES:**

To support scientifically rigorous research contributing to the solution of specific early intervention and education problems associated with children with disabilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for research on children with or at risk for disabilities and training in special education research.

**Applicant Eligibility:**

Applicants that have the ability and capacity to conduct scientifically valid research are eligible to apply. Eligible applicants include, but are not limited to, non-profit and for-profit organizations and public and private agencies and institutions, such as colleges and universities.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities or at risk for disabilities benefit from this research.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard Form 424, "Application for Federal Assistance," an application narrative, and required certificates must be submitted by the date specified in the Federal Register.

**Award Procedure:**

Applications will be reviewed by panels of field readers in accordance with 20 U.S.C. 9501 et seq. Education Sciences Reform Act of 2002 section 175.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

240 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are based on the review of annual performance reports and the recommendation of the project officer. All renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from 1 to 5 years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Annual progress and performance reports are required as part of the submittal of form ED 524B. Annual expenditure reports are required as part of the submittal of form ED 524B. Staff also monitor drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As stated in grant or contract terms and conditions, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under this grant.

**Account Identification:**

91-1100-0-1-500.

**Obligations:**

(Project Grants) FY 10 \$65,795,000; FY 11 est \$53,232,000; and FY 12 est \$39,983,000

**Range and Average of Financial Assistance:**

Average grant award: FY10: \$1,663,457; FY 11: \$565,905; FY12: No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program awarded 35 research grant awards. Fiscal Year 2011: The program awarded 42 research grant awards. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR 34 CFR 74, 77, 80, 81, 82, 84, 85, 86 (Part 86 applies only to IHEs), 97, 98, and 99. In addition 34 CFR 75 is applicable, except for the provisions in 34 CFR 75.100, 75.101(b), 75.102, 75.103, 75.105, 75.109(a), 75.200, 75.201, 75.209, 75.210, 75.211, 75.217, 75.219, 75.220, 75.221, 75.222, and 75.230.

**Regional or Local Office:**

None.

**Headquarters Office:**

Robert Ochsendorf, Department of Education, Institute of Education Sciences, National Center for Special Education Research, Office of the Commissioner, 400 Maryland Ave, S.W., Washington, District of Columbia 20202 Email: Robert.Ochsendorf@ed.gov Phone: (202) 219-2234.

**Website Address:**

<http://ies.ed.gov/ncser>.

**RELATED PROGRAMS:**

84.305 Education Research, Development and Dissemination

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Refer to Funding Opportunities home page of the Institute web site: <http://ies.ed.gov/funding/>. Fiscal Year 2012: Refer to Funding Opportunities home page of the Institute web site: [Http://ies.ed.gov/funding/](http://ies.ed.gov/funding/).

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications are contained in the Request for Applications that announces the competition. The Request for Applications is posted on the Funding Opportunities home page of the Institute web site: <http://ies.ed.gov/funding/>.

**84.325 SPECIAL EDUCATION - PERSONNEL DEVELOPMENT TO IMPROVE SERVICES AND RESULTS FOR CHILDREN WITH DISABILITIES****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act, Part D, Subpart 2, Section 662, 20 U.S.C 1462.

**OBJECTIVES:**

The purposes of this program are to (1) help address State-identified needs for highly qualified personnel--in special education, related services, early intervention, and regular education--to work with infants, toddlers, and children with disabilities; and (2) ensure that those personnel have the necessary skills and knowledge, derived from practices that have been determined through scientifically based research and experience, to be successful in serving those children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to prepare personnel to serve children with both low and high-incidence disabilities, leadership personnel, and for special projects. Awards are made only to eligible applicants that meet State and professionally recognized standards for the preparation of special education and related services personnel, if the purpose of the project is to assist personnel in obtaining degrees.

**Applicant Eligibility:**

State educational agencies, local education agencies, public charter schools that are LEAs under State law, institutions of higher education, other public agencies, private nonprofit organizations, outlying areas, Indian tribes or tribal organizations, and, if approved by the Secretary, for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities are the primary beneficiaries under this program.

**Credentials/Documentation:**

OMB Circulars A-21, A-122, and A-87 may apply to grantees under this program depending on the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110



applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by EDGAR, awards may be renewed annually for up to five years throughout the project period of the award, if the recipient has made substantial progress in meeting the goals of the project, subject to the availability of appropriations. (See 34 CFR 75.253).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: A recipient of a grant, contract, or cooperative agreement may be required to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A)).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.51-53. Expenditure reports are monitored through the APR. Performance reports are monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award, as stated in grant or contract terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion. (34 CFR 74.53 and 34 CFR 75.730-732).

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$90,653,000; FY 11 est \$88,465,714; and FY 12 est \$90,653,000

**Range and Average of Financial Assistance:**

The range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 304, Education Department General Administrative Regulations (EDGAR), 34 CFR 74, 75, 77.79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bonnie Jones, Department of Education, OSERS Office of Special Education Programs, Potomac Center Plaza, 550 12th Street, SW, , Washington, District of Columbia 20202 Email: bonnie.jones@ed.gov Phone: (202) 245-7395.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210, and announced in the application package or the application notice in the Federal Register.

**84.326 SPECIAL EDUCATION TECHNICAL ASSISTANCE AND DISSEMINATION TO IMPROVE SERVICES AND RESULTS FOR CHILDREN WITH DISABILITIES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part D, Subpart 2, Section 663, 20 U.S.C 1463.

**OBJECTIVES:**

The purpose of the Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities program is to promote academic achievement and to improve results for children with disabilities by providing technical assistance, supporting model demonstration projects, disseminating useful information, and implementing activities that are supported by scientifically based research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

State educational agencies (SEAs), local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes or tribal organizations, and, if approved by the Secretary, for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

OMB Circulars A-21, A-122, and A-87 may apply to grantees under this program depending on the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by EDGAR, awards may be renewed annually for up to five years throughout the project period of the award if the recipient has made substantial progress in meeting the goals of the project, depending upon the availability of appropriations. (See 34 CFR 75.253).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Department may require a recipient of a grant, contract, or cooperative agreement to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A)).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years; subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the grantee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion. (34 CFR 75.721).

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants (Capacity Building and Complaint Processing, Training)) FY 10 \$49,549,000; FY 11 est \$48,806,192; and FY 12 est \$49,549,000

**Range and Average of Financial Assistance:**

The range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: New Projects Funded: 2. Fiscal Year 2011: Est. New Projects Funded: 5. Fiscal Year 2012: Est. New Projects Funded: 5.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education General Administrative Regulations (EDGAR) 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kelly Worthington, Department of Education, OSERS Office of Special Education Programs, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: kelly.worthington@ed.gov Phone: (202) 245-7581.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: State Projects for Children & Young Adults who are Deaf-Blind; Technical Assistance Center on Response to Intervention; National Dissemination Center; Model Demonstration Projects on Early Childhood Intervention; Secondary Transition Technical Assistance Center. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210, and announced in the application package or the application notice in the Federal Register.

**84.327 SPECIAL EDUCATION TECHNOLOGY AND MEDIA SERVICES FOR INDIVIDUALS WITH DISABILITIES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part D, Subpart 3, Section 674.

**OBJECTIVES:**

The purposes of the Technology and Media Services for Individuals with Disabilities program are to: (1) improve results for children with disabilities by promoting the development, demonstration, and use of technology; (2) support educational media services activities designed to be of educational value in the classroom setting to children with disabilities; and (3) provide support for captioning and video description that are appropriate for use in the classroom setting.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

State educational agencies (SEAs), local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes or tribal organizations, and, if approved by the Secretary, for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities and their families benefit from this program.

**Credentials/Documentation:**

OMB Circulars A-21, A-122, and A-87 may apply to grantees under this program depending on the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award, depending upon the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: A recipient of a grant, contract, or cooperative agreement may be required to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A).)  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years, subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award, as stated in grant or contract terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion. (34

CFR 75.721).

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$43,973,000; FY 11 est \$28,643,598; and FY 12 est \$33,289,000

**Range and Average of Financial Assistance:**

The range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education General Administrative Regulations (EDGAR) 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

David Malouf, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: david.malouf@ed.gov Phone: (202) 245-6253

**Website Address:**

<http://www.ed.gov/about/offices/list/osep/index.html>

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210, and announced in the application package or the application notice in the Federal Register.

**84.328 SPECIAL EDUCATION\_PARENT INFORMATION CENTERS  
FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended., Part D, Subpart 3, Section 671-673, 20 U.S.C 1471-1473.

**OBJECTIVES:**

The purpose of the program is to ensure that parents of children with disabilities receive training and information to help improve results for their children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

Parent organizations, as defined in Section 671(a)(2) of the Individuals with Disabilities Education Act are eligible for parent center awards under IDEA sections 671 and 672. For section 672 funding, these parent centers must meet

additional conditions set forth in section 672. For IDEA section 673 State educational agencies (SEAs) local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes or tribal organizations, and, if the Secretary approves, for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

OMB Circulars A-21, A-122, and A-87 may apply to grantees under this program depending on the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by EDGAR, awards may be renewed annually for up to five years throughout the project period of the award, if the recipient has made substantial progress in meeting the goals of the project, depending upon the availability of appropriations (See 34 CFR 75.253).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Department may require a recipient of a grant, contract, or cooperative agreement to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A).)

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years; subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on annual basis. Final reports shall be made at the end of the project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion (34 CFR 75.721).

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$28,028,000; FY 11 est \$27,971,944; and FY 12 est \$28,028,000

**Range and Average of Financial Assistance:**

The range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gail Houle, Department of Education, OSERS Office of Special Education Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Email: gail.houle@ed.gov Phone: (202) 245-7381.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210, and announced in the application package or the application notice in the Federal Register.

**84.329 SPECIAL EDUCATION\_STUDIES AND EVALUATIONS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Section 664, 20 U.S.C 1464.

**OBJECTIVES:**

To assess the progress in implementing the Individuals with Disabilities Education Act, including State and local efforts to provide (1) Free appropriate public education to children with disabilities; and (2) early intervention services to infants and toddlers with disabilities who would be at risk of having substantial developmental delays if early intervention services were not provided.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

A State educational agency, a local educational agency, an institution of higher education, any other public agency, a private non-profit organization, an outlying area, an Indian tribe or tribal organization (as defined under section 4 of the Indian Self-Determination and Education Assistance Act), and a for-profit organization, if the Secretary finds it appropriate in light of the purposes of a particular competition for a grant, contract, or cooperative agreement. The Department may limit the entities eligible for an award to categories of these eligible entities.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities, and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications will be reviewed by a panel of experts.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award, depending upon the availability of appropriations. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash balance reports will be required annually. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As stated in grant or contract terms and conditions, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under this grant.

**Account Identification:**

91-1100-0-1-500.

**Obligations:**

(Project Grants) FY 10 \$11,460,000; FY 11 est \$11,460,000; and FY 12 est \$11,460,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program activities included support for studies of transition for youth with disabilities, school improvement status on students with disabilities, and technical assistance and dissemination programs. Fiscal Year 2011: Program activities included support for studies of transition for youth with disabilities, response to intervention strategies, the implementation of IDEA, and the Early Childhood Longitudinal Study: Kindergarten 2010. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jonathan Jacobson, Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: jonathan.jacobson@ed.gov Phone: (202) 208-3876.

**Website Address:**

<http://ies.ed.gov/ncee>

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.184 Safe and Drug-Free Schools and Communities\_National Programs; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: This program provided support for 6 multi-year contracts administered by researchers with expertise in rigorous evaluation, longitudinal data collection, and programs supporting the education of children with disabilities. Fiscal Year 2011: This program provided support for 5 multi-year contracts administered by researchers with expertise in rigorous evaluation, longitudinal data collection, and programs supporting the education of children with disabilities. Fiscal Year 2012: The Department expects to release contract solicitations for two contract activities under this program in FY 2012. The solicitations will be announced on the Federal Business Opportunities website ([www.fbo.gov](http://www.fbo.gov)).

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.330 ADVANCED PLACEMENT PROGRAM (ADVANCED PLACEMENT TEST FEE; ADVANCED PLACEMENT INCENTIVE PROGRAM GRANTS)****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title I, Part G.

**OBJECTIVES:**

To award grants to State educational agencies, local educational agencies, and national nonprofit educational organizations with expertise in advanced placement services to support State and local efforts to increase access to advanced placement classes and tests for low-income students and to award grants to State educational agencies to cover part or all of the cost of test fees for students from low-income families enrolled in advanced placement courses.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Advanced Placement (AP) Incentive program provides grants to eligible entities for activities that increase the participation of students from low-income families in both pre-advanced placement and advanced placement courses and tests, including teacher training and course development, coordination, and articulation. The AP Test Fee program provides awards to enable States to cover all or part of the cost of test fees for students from low-income families who are enrolled in advanced placement classes. The Elementary and Secondary Education Act requires the Secretary to give priority to funding the Advanced Placement Test Fee program, with remaining funds allocated to Advanced Placement Incentive Grants.

**Applicant Eligibility:**

State educational agencies, local educational agencies, and national nonprofit educational organizations with expertise in advanced placement services may apply for AP Incentive grants. State educational agencies may apply for grants under the AP Test Fee program.

**Beneficiary Eligibility:**

Students from low-income families who are enrolled in an advanced placement class and plan to take an advanced placement test and their teachers benefit.

**Credentials/Documentation:**

The AP Test Fee program is excluded from coverage under OMB Circular No. A-87. OMB Circular No. A-122 for non-profit organizations apply to the AP Incentive program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should secure grant application forms and prepare and address submissions according to directions published in the Federal Register.

**Award Procedure:**

Applications for AP Test Fee are reviewed by Department of Education staff. The selection of AP Test Fee grantees is noncompetitive. Selection of AP Incentive grantees is competitive and based on a nonfederal review of applications using selection criteria published in a notice in the Federal Register. Final decisions on grants are made by the Secretary after considering statutory and other applicable requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 120 days after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Awards under the AP Test Fee program are made for one year only. Awards

under the AP Incentive program are made for a period of up to 3 years; after the first year, grantees may receive annual continuations contingent on project performance and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: A matching requirement applies to the AP Incentive program. Matching requirements are not applicable to the AP Test Fee program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for one year for the AP Test Fee program, and for up to 3 years for the AP Incentive program, contingent on performance and availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Reporting requirements are included in the final grant documents. Grantees also may be subject to national evaluation performed by the Department of Education. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional audit requirements may be specified in the grant award documents.

**Records:**

Records are to be maintained as indicated in the grant award document.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$45,840,000; FY 11 est \$43,253,320; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY10 average AP Test Fee award: \$438,293

FY 10 average AP Incentive continuation award: \$664,024.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2011: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2012: Interested parties should visit the website address provided below for information on program accomplishments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 75, 77, 79, 80, 81, 82, 85, 86, and 99. Applicants should contact the headquarters or regional office, as appropriate for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ivonne Jaime, Department of Education, OESE Academic Improvement and Teacher Quality Programs, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: ivonne.jaime@ed.gov Phone: (202) 260-1519.

**Website Address:**

AP Test Fee program: <http://www.ed.gov/programs/apfee/index.html>, AP Incentive program: <http://www.ed.gov/programs/apincent/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Interested parties should visit the website addresses provided

above for examples of funded Advanced Placement Incentive projects. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process for AP Test Fee grants is noncompetitive; no selection criteria are used and applicants that submit applications meeting applicable requirements will receive awards.

Selection of AP Incentive grantees is competitive and based on a nonfederal review of applications using selection criteria published in a notice in the Federal Register.

**84.331 GRANTS TO STATES FOR WORKPLACE AND COMMUNITY TRANSITION TRAINING FOR INCARCERATED INDIVIDUALS**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Higher Education Act Amendments of 1998, as amended, Title VIII, Part D, 20 USC 1151.

**OBJECTIVES:**

To assist and encourage incarcerated individuals who have obtained a secondary school diploma or its recognized equivalent to acquire educational and job skills through coursework in order to prepare such individuals to pursue a postsecondary education certificate, an associates degree, or bachelors degree while in prison; and to provide them with employment counseling and other related services.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

State correctional education agencies that receive a grant use funds to assist and encourage incarcerated individuals who have obtained a secondary school diploma or its recognized equivalent to acquire educational and job skills through coursework to prepare such individuals to pursue a postsecondary education certificate, an associates degree, or bachelors degree while in prison; and to provide them with employment counseling and other related services. Educational and related services must start during the period of incarceration in prison or prerelease; the related services may continue for not more than two years after release from confinement.

**Applicant Eligibility:**

State correctional education agencies, as designated by the Governor of any of the 50 States, the Commonwealth of Puerto Rico, District of Columbia, Guam, American Samoa, the Virgin Islands, and the Northern Mariana Islands, may apply.

**Beneficiary Eligibility:**

Individuals who: (1) are incarcerated in a State prison; (2) are eligible to be released or paroled within 7 years; (3) are 35 years of age or younger; (4) were not convicted of certain crimes; and (5) have obtained a secondary school diploma or its equivalent.

**Credentials/Documentation:**

A State plan is required. The State plan must include a certification from a State official that all provisions and amendments thereto are consistent with the Act. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The Department of Education will provide guidance on specific issues and technical assistance in the preparation of State Plans. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each designated State correctional education agency must submit to the Secretary of Education a State plan, which sets forth the procedures under which the State will carry out activities to achieve its program objectives and priorities and fulfill the purposes of the Act.

**Award Procedure:**

The Secretary approves the State Plan and any amendment thereto and makes allocations to the State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range is approximately 4 weeks from the date of application receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: 20 USC 1151. From the amount appropriated, the Secretary allots to each State an amount that bears the same relationship to the amount appropriated as the total number of eligible individuals in each State bears to the total number of eligible individuals in all States.

Matching Requirements: There is no matching requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a 12-month period. Funds must be expended within 27 months of their date of availability. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual Financial and Program Performance Reports in accordance with the statutory requirements of the program and the provisions in EDGAR. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$17,186,000; FY 11 est \$0; and FY 12 est \$17,186,000

**Range and Average of Financial Assistance:**

FY 10 Range: \$24,714 - \$2,113,155; Average: \$350,735.

FY 11 Range: N/A

FY 12 Range: \$24,714 - \$2,113,155; Average: \$350,735.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The provisions of Title VIII, Part D of the Higher Education Amendments of 1998, the requirements of the General Education Provisions Act (GEPA), and the Education Department General Administrative Regulations (EDGAR), Parts 67, 77, 79, 80, 81, 82, 85, and, 86 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Linton, Department of Education, OVAE 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: john.linton@ed.gov Phone: (202) 245-6592.

**Website Address:**

<http://www.ed.gov/programs/transitiontraining/index.html>

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States; 84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Annual grantee reports provide evidence indicating that States are using program funds for innovative and effective activities. Some States have reported increased student academic and vocational skill attainment, success in job placement and retention, and reduced recidivism. Arizona's program won a 2008 Innovations in American Government Award from the Ash Institute of Democratic Governance and Innovation at Harvard's Kennedy School of Government. The program expanded to seven prisons and has become an integral part of the States Department of Corrections transition program. California reported that the recidivism rate for program participants in 2009 was 15 percent, compared to 65 percent for the overall prison population. Idaho reported increasing its vocational program offerings under this program in 2009. In addition, one construction project with Habitat for Humanity earned Leadership in Energy and Environmental Design (LEED) certification from the U.S. Green Building Council, recognizing the projects environmentally friendly building practices. In 2009, New Mexico implemented a distance learning program in cooperation with Eastern New Mexico University (Roswell) that allowed students to participate in computer-based distance learning in a closed intranet environment. Students were able to access a wide range of courses and programs based on individual needs and interests. In addition, students were able to participate in onsite postsecondary career and technical education programs, including courses on network cabling, Web design, automotive mechanics, and computer hardware and software services. Over 180 students were enrolled during 2009. Texas reported that, in 2009, program participants earned 262 Associate of Arts degrees, 65 Associate of Science degrees, 52 Associate of Applied Science degrees, 45 Associate of General Studies degrees, 3 Bachelor of Business Administration degrees, and 1 Bachelor of Science degree. In addition, 2,754 participants earned vocational certificates, in subjects ranging from Advanced Baking to Welding. Also in 2009, 5,283 program participants were released from incarceration and found employment. Texas tracked their earnings through the Texas Workforce Commission and reported that those participants earned a total of nearly \$106.3 million in 2009. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.332 COMPREHENSIVE SCHOOL REFORM DEMONSTRATION (CSR)****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title I, Part F.

**OBJECTIVES:**

The Comprehensive School Reform (CSR) program support for a clearinghouse of school reform projects.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The programs supported a clearinghouse of school reform information.

**Applicant Eligibility:**

State educational agencies (SEAs). The subgrantees are local education agencies (LEAs) applying to their SEAs in collaboration with eligible schools within the LEAs.

**Beneficiary Eligibility:**

State educational agencies, local educational agencies, and public schools.

**Credentials/Documentation:**

Applications should demonstrate the existence of a State-wide plan for

supporting research-based comprehensive school reform that describes the process and selection criteria by which competitive subgrants will be made; how the SEA will ensure that only high-quality comprehensive school reform programs are funded; how the SEA will provide information and assistance to school districts and schools; and how the SEA will evaluate results achieved in schools districts receiving assistance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Department allocates funds to any State with an approved application.

**Award Procedure:**

The Department awards a continuation grant to projects that first received funding in a previous fiscal year.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded to SEAs annually. Subgrants are for up to three years with annual renewals subject to the approval of the SEA and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds awarded to SEAs must be obligated not later than September 30, 2001. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Educational Provisions Act and the Education Department General Administrative Regulations, certain project records must be maintained for 5 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - No additional obligations expected FY 2011 or 2012.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**



34 CFR Part 76, regarding the program application package for SEAs. Contact the Program Office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Braden Goetz, Comprehensive School Reform Demonstration Program, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: braden.goetz@ed.gov Phone: (202) 260-0982.

**Website Address:**

<http://www.ed.gov/programs/compreform/index.html>.

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies; 84.215 Fund for the Improvement of Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: None. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria are contained in EDGAR. Contact the program office for additional information.

**84.333 DEMONSTRATION PROJECTS TO SUPPORT POSTSECONDARY FACULTY, STAFF, AND ADMINISTRATIONS IN EDUCATING STUDENTS WITH DISABILITIES**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended., Title VII, Part D, Subpart 1.

**OBJECTIVES:**

To support model demonstration projects to provide technical assistance or professional development for faculty, staff, and administrators in institutions of higher education, to enable such faculty, staff and administrators to provide students with disabilities a quality postsecondary education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects receiving funds must carry out one or more of the following activities: Developing innovative, effective and efficient teaching methods and strategies to provide faculty, staff, and administrators with the skills and supports necessary to teach students with disabilities and ensure the successful and smooth transition of students with disabilities from secondary school to postsecondary education; the synthesis of research and other information related to the provision of postsecondary educational services to students with disabilities; conducting of professional development and training sessions for faculty, staff, and administrators from other IHEs to enable them to meet the postsecondary needs of students with disabilities; developing innovative and effective teaching methods and strategies to provide postsecondary faculty, staff, and administrators with the ability to provide accessible distance education programs or classes that would enhance the access of students with disabilities to postsecondary education, including the use of accessible curricula and electronic communication for instruction and advising; making postsecondary education more accessible to students with disabilities through curriculum development, consistent with the principles of universal design for learning; and providing information, training, and technical assistance to faculty, staff, and administrators with respect to disability-related fields that would enable such faculty, staff, and administrators to encourage interest and participation in, enhance awareness and understanding of, provide educational opportunities in, teach practical skills related to, and offer work-based opportunities in such fields among students with disabilities and other students.

**Applicant Eligibility:**

Institutions of higher education.

**Beneficiary Eligibility:**

Faculty and administration in postsecondary education and students with disabilities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. An application package is available from the Office of Postsecondary Education. Copies will be mailed upon request.

**Award Procedure:**

Peer review panels are composed of representatives from public and private higher education, as well as, individuals with expertise in effective training strategies and knowledge of the needs of postsecondary students with disabilities, the learning characteristics of students with disabilities, and programs for students with disabilities in postsecondary education.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within 5 months of the deadline for submission of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may last for up to 3 years, subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are to be made for 3 years, subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Grant funds are awarded by electronic transfer.

**Reports:**

Annual performance reports and a final performance report are required. Reporting requirements are specified in the grant award documents. Cash reports are not applicable. Progress reports: Annual performance reports and a final performance report are required. Reporting requirements are specified in the grant award documents. Expenditure reports are not applicable. Performance monitoring: Annual performance reports and a final performance report are required. Reporting requirements are specified in the grant award documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for 5 years after

termination of the award.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$6,755,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 23 awards made. Fiscal Year 2011: No awards made. Fiscal Year 2012: No awards made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 75, published in the Federal Register on March 6, 1997.

**Regional or Local Office:**

None.

**Headquarters Office:**

Shedita Alston, Department of Education, Office of Postsecondary Education, 1990 K St NW, 6th Floor, Washington, District of Columbia 20006 Email: shedita.alston@ed.gov Phone: (202) 502-7808.

**Website Address:**

<http://www.ed.gov/programs/disabilities/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the program office for information on criteria for individual competitions.

**84.334 GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS**

(GEAR-UP)

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 2.

**OBJECTIVES:**

Provides 6-or 7-year grants to States and partnerships to provide support, and maintain a commitment, to eligible low-income students, including students with disabilities, to help the students obtain a secondary school diploma (or its recognized equivalent) and to prepare for, and succeed in, postsecondary education. GEAR UP has two major service components. All projects provide a comprehensive set of early intervention services including mentoring, tutoring, academic and career counseling, services to increase parental involvement, and other college preparation activities like exposure to college campuses and financial aid information and assistance. Some projects provide college scholarships to participating students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

(1) State Grants. States receiving funds are required (unless they receive a waiver) to provide both the early intervention services and a scholarship component, targeted to low-income students in grades K-12. At least 50 percent, but not more than 75 percent, of the grant funds must be used to provide scholarships to participating students. Conversely, at least 25 percent, but not more than 50 percent, of the funds must be used for required and permissible activities. To meet the matching requirement, States must cover at least 50 percent of the project costs with cash or in-kind contributions from non-Federal sources. (2) Partnership Grants. Eligible partnerships consist of one or more local educational agencies and one or more degree granting institutions of higher education and not less than two other community

organizations or entities such as businesses, professional organizations, State agencies, institutions, or other public or private agencies or organizations. Partnerships receiving funds are not required to provide a scholarship component. However, they are required to provide services to at least one cohort or grade level of students beginning no later than the 7th grade, in a school that has a 7th grade, and in which at least 50 percent of the students enrolled are eligible for free or reduced-price lunch, or to an entire grade level of students, not later than the 7th grade, who reside in public housing.

This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

A State, or a partnership consisting of one or more local educational agencies one or more degree granting institutions of higher education; and at least two community organizations or entities, such as businesses, professional associations, community-based organizations, philanthropic organizations, State agencies, parent groups, and/or nonprofit organizations.

**Beneficiary Eligibility:**

Low-income students and students in high-poverty schools.

**Credentials/Documentation:**

OMB Circular No. A-21 applies. OMB Circular No. A-122 applies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. An application package is available from the Office of Higher Education Programs. Copies are available on the web page and will also be mailed upon request.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education, and State, and local education agencies having expertise in elementary, secondary, and higher education.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within 4 months of the deadline for submission of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The statute requires a cash or in-kind match from non-Federal sources.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are made for up to 7 years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual performance and financial reports are required. Cash reports are not applicable. Annual performance reports are required as part of the submittal of form ED 524B. Annual expenditures reports are required as part of the submittal of form ED 524B. Staff also monitor grant drawdown using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

EDGAR for direct grant programs (34 CFR part 75). Generally, records related to grant funds, compliance and performance must be maintained for a period of 3 years after completion of the grant.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$321,501,000; FY 11 est \$302,814,000; and FY 12 est \$321,501,000

**Range and Average of Financial Assistance:**

State grants: Average award in FY 10, \$3,004,000. Partnership grants: Average award in FY 10, \$1,156,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations, EDGAR; 34 CFR 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99 and 34 CFR Part 694; OMB Circulars A-21, A-87, A-110, A-122, and A-133.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Davis, Department of Education, Office of Postsecondary Education, 1990 K Street NW, Washington, District of Columbia 20006 Email: james.davis@ed.gov Phone: (202) 502-7802.

**Website Address:**

<http://www.ed.gov/programs/gearup/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.335 CHILD CARE ACCESS MEANS PARENTS IN SCHOOL**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act, as amended, Title IV, Part A, Subpart 7.

**OBJECTIVES:**

To support the participation of low-income parents in postsecondary education through the provision of campus-based child care services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards shall be used to support or establish child care programs serving low-income students enrolled in college. Funds may be used to provide before or after school services to the extent necessary to allow students to pursue a postsecondary career. No funds from grants can be used for construction other than minor renovations to meet State or local health or safety needs.

**Applicant Eligibility:**

An institution of higher education is eligible to apply if the total amount of all Federal Pell Grant funds awarded to students enrolled at the institution of higher education for the preceding fiscal year equals or exceeds \$350,000.

**Beneficiary Eligibility:**

Benefiting are low-income student parents enrolled in postsecondary programs.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. An application package is available from the Office of Higher Education Programs. Copies will be mailed upon request.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education and child care providers having expertise in child care service are designated to review application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within 4 months of the deadline for submission of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds and if the grantee has made substantial progress in achieving the objectives outlined in its application.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The grant amount awarded to an institution shall not exceed one percent of the total amount of all Federal Pell Grant funds awarded to students enrolled at the institution of higher education for the preceding fiscal year.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants shall be awarded for a period of 4 years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for 5 years after termination of the award.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$16,034,000; FY 11 est \$16,001,932; and FY 12 est \$16,034,000

**Range and Average of Financial Assistance:**

\$10,000 - \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josephine Hamilton, Department of Education, Office of Postsecondary Education, Higher Education Programs, 1990 K Street, NW, Washington, District of Columbia 20006 Email: jospehine.hamilton@ed.gov Phone: (202) 502-7583.

**Website Address:**

<http://www.ed.gov/programs/campisp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will be selected from those in the Education Department General Administrative Regulations (EDGAR). Contact the Program Office for more information.

**84.336 TEACHER QUALITY PARTNERSHIP GRANTS**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title II, Part A.

**OBJECTIVES:**

To improve student achievement; improve the quality of new and prospective teachers by improving the preparation of prospective teachers and enhancing professional development activities for new teachers; hold teacher preparation programs at institutions of higher education (IHEs) accountable for preparing highly qualified teachers; and recruit highly qualified individuals, including minorities and individuals from other occupations, into the teaching force.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards may be used to reform teacher preparation programs through either the Pre-Baccalaureate or fifth year initial licensing Program and/or the Teaching Residency Program. Additionally, funded programs have the option of implementing a School Leadership Program as well as establishing a Partnership with a Digital Education Content Developer.

**Applicant Eligibility:**

States and partnerships that consist of at least one institution of higher education, a school, department or program of education within the partner institution, one school of arts and sciences within the partner institution, one high-need local educational agency, and a high-need school or a consortium of

high-need schools served by the high-need local educational agency. A high-need local educational agency; is an agency that serves an elementary school or secondary school located in an area containing: (1) A high percentage of individuals or families with incomes below the poverty line, (2) a high percentage of secondary teachers not teaching in the content area that they were trained to teach, or (3) a high teacher turnover rate. An accredited institution of higher education, with a teacher training program must demonstrate the following: (A) A graduate from the teacher training program exhibits strong performance on State-determined qualifying assessments for new teachers through demonstrating that 80 percent or more of the graduates of the program intending to enter the field of teaching have passed all of the applicable State qualification assessments for new teachers including an assessment of each prospective teacher's subject matter knowledge in the content area or areas in which the teacher intends to teach; (B) be ranked among the highest-performing teacher preparation programs in the State as determined by the State; (C) the teacher training program requires all the students of the program to participate in intensive clinical experience that meets high academic standards in the case of secondary candidates to successfully complete an academic major in the subject area in which the candidate intends to teach; (D) competence through a high level of performance in relevant content area; (F) successful completion of an academic major in the arts and sciences in the case of elementary school candidates, or (G) competence through a high level of performance in core academic subjects areas. (Note: Entities that may constitute a partnership are specifically listed in the Law.)

**Beneficiary Eligibility:**

Benefiting are students and school communities in high-need schools and school districts.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education, State and local educational agencies with expertise in teacher education are designated to review applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within four months of the deadline for submission of applicants.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has statutory requirements as follows: eligible partnerships are required to match 100 percent of the grant. Eligible partnerships may submit a request to waive the 100 percent match requirement for the first two years of the grant. The Secretary has the authority to grant this

waiver to eligible partnerships as authorized under section 203(c)(2) of the HEA, as amended.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a performance period of five years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual financial and progress reports must be submitted as required by grant award terms and conditions. No cash reports are required. Annual progress reports are required as part of the submittal of form ED 524B. Annual expenditure reports are required as part of the submittal of for ED 524B. Staff also monitor drawdowns using agency financial reports. Annual performance monitoring is required as part of the submittal of for ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for 5 years after termination of the awards.

**Account Identification:**

91-0204-0-1-501; 91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$43,000,000; FY 11 est \$42,914,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

An average award is \$1.5 million per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No competition for new awards was held. No Current Data Available Fiscal YearThe program provided continuation awards to 28 institutions of higher education. Fiscal Year 2011: No competition for new awards was held. The program provided continuation awards to 28 institutions of higher education. Fiscal Year 2012: The Department does not expect to hold a competition for new awards in FY 2012 and anticipates making continuation awards to 28 institutions of higher education.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Peggi Zelinko, Department of Education, Office of Innovation and Improvement, Teacher Quality Programs, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: peggi.zelinko@ed.gov Phone: (202) 260-2614.

**Website Address:**

<http://www2.ed.gov/programs/tqpartnership/index.html>

**RELATED PROGRAMS:**

84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.350 Transition to Teaching; 84.381 Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funded projects involved institutions of higher education, in partnership with high-need schools and districts, that supported either reforms of pre-baccalaureate teacher preparation or early childhood education programs,

teacher residency programs, or both. Fiscal Year 2011: Funded projects involved institutions of higher education, in partnership with high-need schools and districts, that supported either reforms of pre-baccalaureate teacher preparation or early childhood education programs, teacher residency programs, or both. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for this information.

**84.337 INTERNATIONAL EDUCATION\_TECHNOLOGICAL INNOVATION AND COOPERATION FOR FOREIGN INFORMATION ACCESS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended (HEA), Title VI, Part A, Section 606.

**OBJECTIVES:**

Grants are awarded to institutions of higher education, public or nonprofit private libraries, or partnerships between institutions and other such institutions, libraries, or non-profit educational organizations, to develop innovative techniques or programs using new electronic technologies to collect, organize, and preserve, and widely disseminate information from foreign sources on world regions and countries other than the United States that address our Nation's teaching and research needs in international education and foreign languages.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards may be used to support projects to acquire, facilitate access to, or preserve foreign information resources in print or electronic forms; develop new means of immediate, full-text document delivery for information and scholarship from abroad; develop new means of or standards for shared electronic access to international data; support collaborative projects of indexing, cataloging, and other means of bibliographic access for scholars to important research materials published or distributed outside the United States; develop methods for the wide dissemination of resources written in non-Roman language alphabets; assist teachers of less commonly taught languages in acquiring, via electronic and other means, materials suitable for classroom use; and promote collaborative technology based projects in foreign languages, area studies, and international studies among grant recipients under Title VI of the HEA; and establish linkages to facilitate carrying out program activities between(1) the institutions of higher education, libraries, and partnerships receiving grants; and (2) institutions of higher education, nonprofit educational organizations, and libraries overseas; and to carry out other activities that the Secretary determines are consistent with the purpose of the grants awarded under this program.

**Applicant Eligibility:**

Institutions of higher education, public or nonprofit private libraries or partnerships between such institutions and other such institutions, libraries, or nonprofit educational organizations.

**Beneficiary Eligibility:**

Institutions of higher education, and public or nonprofit private libraries or partnerships of such institutions or libraries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education and libraries having expertise in the utilization of technology for accessing and disseminating information on world regions other than the United States that address our Nation's teaching and research needs in international education and foreign languages.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within four months of the deadline for submission of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those of new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula to determine the amount of a grant. The grantee is required to contribute to the project an amount from nonfederal sources equal to at least 33 1/3 percent of the total cost of the project. The nonfederal contribution may be in cash or in-kind. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be made on a multi-year basis. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

A final performance report is required. Cash reports are not applicable. Contact program office. Expenditure reports are not applicable. Contact program office.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

Records supporting claims under a grant must be maintained for four years after termination of the award.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$2,108,169; FY 11 est \$0; and FY 12 est \$2,108,169

**Range and Average of Financial Assistance:**

Range: \$106,000 - \$189,999; Average: \$162,167.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Thirteen continuation awards are expected to be made in FY 2011. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is governed by the authorizing statute and the Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 82, 84, 85, 86, 97, 98 and 99. Applicable guidelines will be announced in the Federal Register. Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susanna C. Easton, International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K. Street, NW, 6th

Floor, Washington, District of Columbia 20006 Email: Susanna.easton@ed.gov  
Phone: (202) 502-7628.

**Website Address:**

<http://www.ed.gov/programs/iegpsticfia/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 75.209 and 75.210. The Secretary will weigh criteria using points indicated in the application package and in a notice published in the Federal Register. Applicants should address the selection criteria only in the context of the program requirements in Title VI, Part A, Section 606 of the Higher Education Act of 1965, as amended.

**84.343 ASSISTIVE TECHNOLOGY STATE GRANTS FOR PROTECTION AND ADVOCACY**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Section 5 of the Assistive Technology Act of 1998, as amended,.

**OBJECTIVES:**

To support protection and advocacy services through the systems established to provide protection and advocacy services under the Developmental Disabilities Assistance and Bill of Rights Act for the purpose of assisting in the acquisition, utilization, or maintenance of assistive technology or assistive technology services for individuals with disabilities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to support protection and advocacy services related to assistive technology services and devices. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate that is referenced under 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

Designated protection and advocacy agencies in States and outlying areas only.

**Beneficiary Eligibility:**

Persons with disabilities who may benefit from assistive technology services and devices.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. 34 CFR parts 74 and 80 applies to this program. The standard application forms are furnished by the Office of Special Education and Rehabilitative Services, Rehabilitation Services Administration. Contact the Program Office for more information.

**Award Procedure:**

Applications are reviewed by Department of Education staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The grantee may appeal to the Office of Administrative Law/Judges (34 CFR part 81).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Funds are distributed on a State population basis, with a minimum annual grant of \$50,000. Territories receive a minimum of \$30,000.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual formula grants. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual progress reports are required. Quarterly cash reports are required. Progress reports are not applicable. Annual expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As stated in grant or contract terms and conditions, the awardee shall mail accounts, records, and other evidence pertaining to all costs incurred, review other applicable credits acquired under this grant.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$4,300,000; FY 11 est \$4,291,400; and FY 12 est \$4,291,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for this information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jessica Smith, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: jessica.smith@ed.gov Phone: (202) 245-6493.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

84.240 Program of Protection and Advocacy of Individual Rights

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for information.

**84.345 UNDERGROUND RAILROAD EDUCATIONAL AND CULTURAL PROGRAM**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Amendments of 1998; Title VIII, Part H.

**OBJECTIVES:**

To provide grants to nonprofit educational organizations that are established to house research, display, interpret and communicate information to elementary and secondary schools, institutions of higher education, and the general public relating to the history of the Underground Railroad.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

In accordance with eligibility requirements. Organizations receiving funds must: house, display, interpret and communicate information regarding artifacts and research on the Underground Railroads history and on lessons learned from Underground Railroad history; demonstrate substantial private support through a public-private partnership; create an endowment to fund shortfalls in the costs of the on-going operations of the facility; make project efforts available, electronically and by other means, to elementary and secondary schools, institutions of higher education, other local and regional facilities that have Underground Railroad history collections and programs. In addition, grantees may establish a network of satellite centers throughout the United States to help disseminate information regarding the Underground Railroad.

**Applicant Eligibility:**

An application submitted for funding under this program must include: (1) The name, address, and web site address, if any, of the nonprofit educational institution seeking to participate, and the name, title, mailing and e-mail address, and telephone number of a contact person for the institution. (2) A description of the facility used to house, display and interpret the artifacts related to the history of the Underground Railroad, including lessons to be drawn from such history. (3) A description of the plan to display, interpret and maintain the project artifacts and materials. (4) A description of the nonprofit educational institutions project that will make the interpretive efforts available to institutions of higher education, elementary and secondary schools, and the general public that award a baccalaureate or graduate degree. (5) A description of the substantial private support for the facility through the implementation of a public private partnership between a State or local public entity and a private entity. for the support of the facility as required in section 841 (b) (2) of the Higher Education Amendments of 1998. (6) Documentation commitment of the private entity to provide matching funds for the support of the facility in an amount equal to 4 times the amount of the contribution of federal grant. (7) A description of the endowment created to fund any and all shortfalls in the costs of the on-going operations of the facility and expected sources of these funds. (8) If the nonprofit educational institution proposes to establish satellite centers, it must provide documentation showing how the satellite centers will raise 80 percent of the funds required from nonfederal public and private sources. (9) A detailed description of how the applicant intends to electronically link the facility with other local and regional facilities that have collections and programs that interpret the history of the underground railroad.

**Beneficiary Eligibility:**

Nonprofit educational organizations that are established to research, display, interpret and collect artifacts relating to the history of the Underground Railroad.

**Credentials/Documentation:**

Nonprofit certification including a description of the purpose for which the organization was established. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point

in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. All applications should clearly designate a contact person, telephone number, and the e-mail address of the contact person. Using E-Application, applicants should electronically submit the original application to the U.S. Department of Education.

**Award Procedure:**

Awards are reviewed by outside reviewers.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Dependent upon the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: An agreement documenting the commitment of the private entity to provide matching funds for the support of the facility in an amount equal to 4 times the amount of the contribution of the State or local public entity is required. An explanation of the proposed contribution of the State or local public entity and documentation showing that not more than 20 percent of the matching funds will be provided by the Federal government is also required.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to three years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

For each fiscal year for which the organization receives funding under this section, a report must be submitted to the Secretary of Education that contains a description of the programs and activities supported by the funding, the audited financial statement of the organization for the preceding fiscal year, a plan for the programs and activities to be supported in the succeeding year and an internal and an external evaluation of the programs and activities supported by the funding. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Contact program office.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26. In addition, as part of its annual report, every grantee must submit the previous fiscal years audited financial statement of its entire organization.

**Records:**

No Data Available.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$1,945,000; FY 11 est \$0; and FY 12 est \$0 - No appropriation is expected for FY 2011 and 2012 for this program.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Claire Cornell, Department of Education, Office of Postsecondary Education, 1990 K Street NW, Room 6151, Washington, District of Columbia 20006  
Email: claire.cornell@ed.gov Phone: (202) 502-7609.

**Website Address:**

<http://www.ed.gov/programs/ugroundrr/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for information.

**84.350 TRANSITION TO TEACHING**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title II, Part C, Subpart 1, Chapter B.

**OBJECTIVES:**

To recruit and retain highly qualified midcareer professionals (including highly qualified paraprofessionals) and recent graduates of institutions of higher education, as teachers in high-need schools, including recruiting teachers through alternative routes to teacher certification and licensure; and to encourage the development and expansion of alternative routes to certification and licensure under State-approved programs that enable individuals to be eligible for teacher certification and licensure within a reduced period of time, relying on the experience, expertise, and academic qualifications of an individual or other factors in lieu of traditional course work in the field of education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To develop or enhance alternative route programs to recruit, select, prepare, place, support, and retain individuals (mid-career individuals, paraprofessionals, and recent college graduates) to become certified and successful teachers in high-need subjects areas and reduce the need for teachers in high-need schools in high-need local education agencies. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies; high-need local educational agencies; for-profit and nonprofit organizations with proven records of effectively recruiting and retaining highly qualified teachers, in partnership with high-need local educational agencies or State educational agencies; institutions of higher education, in partnerships with high-need local educational agencies or State educational agencies; regional consortia of State educational agencies; and consortia of high-need local educational agencies.

**Beneficiary Eligibility:**

Eligible participants must be mid-career professionals from various fields who possess strong subject-matter skills to become teachers, including paraprofessionals with two years of classroom experience and postsecondary education or demonstrated competence in a field for which there is a significant shortage of qualified teachers; recent college graduates (who, in order to teach in secondary school will need a major or equivalent in the academic subjects that the individuals will teach). Schools in which the participants must each are high-need schools operated by high-need LEAs.



**Credentials/Documentation:**

OMB Circular No. A-87 applies to LEA and SEA grantees under the TIF program. OMB Circular No. A-21 applies to grantees that are institutions of higher education. OMB Circular No. A-122 applies to grantees that are non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must submit the following by the designated deadline: (1) The applicant must provide a written narrative which addresses the selection criteria (and the required application content) that reviewers use in evaluating their applications. This Section must be limited to no more than 50 double-spaced pages. (2) Required forms to be submitted with the application include SF-424; Sections A, B, and C of ED Form 524; Assurance - Non Construction Programs; Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Disclosure of Lobbying Activity; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions.

**Award Procedure:**

Applications are reviewed by the agency for eligibility and completeness. Applications are reviewed and scored by a panel of experts. Applications are ranked according to score by funding category; i.e., national, State, or local applicant. A funding slate is prepared and the highest-funded applications are recommended for funding. Successful and unsuccessful applicants are notified of outcome. Grant awards are prepared and mailed to successful grantees.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to 5 years. Renewals are subject to the availability of appropriations and a grantee's substantial progress. Renewals after 3 years are based on availability of appropriations and progress made based an interim evaluation each project is required to submit.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may be funded for a period of 36 months. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports must be submitted for each budget period in order to receive continuation awards. Performance reports are due 90 days after expiration or termination of the award. Annual performance reports must be submitted for each budget period in order to receive continuation awards. Performance reports are due 90 days after expiration or termination of the award. Annual performance reports must be submitted for each budget period in order to receive continuation awards. Performance reports are due 90 days after expiration or termination of the award. Annual performance reports must be submitted for each budget period in order to receive continuation awards. Performance reports are due 90 days after expiration or termination of the award. Annual performance reports must be submitted for each budget period in

order to receive continuation awards. Performance reports are due 90 days after expiration or termination of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As provided in 34 CFR 80.42, and 74.53, SEAs, LEAs and non-profit organizations must maintain program records for 3 years from the date those agencies submit to the awarding agency its single or last expenditure report for the period for which it received the funds. A longer retention period is required under specified conditions.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$43,707,000; FY 11 est \$41,124,586; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY10: Range: \$1 - \$6,125,183; Average: \$474,464.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and guidelines were published in the Federal Register on April 2004. Contact the Program Office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Beatriz Ceja Department of Education, Office of Innovation and Improvement, Teacher Quality Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: beatriz.ceja@ed.gov Phone: (202) 205-5009

**Website Address:**

<http://www.ed.gov/programs/transitionteach/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are included in the full application package and published in the Federal Register notice inviting applications. Contact the program office for more information.

**84.351 ARTS IN EDUCATION****FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Title V, Part D, Subpart 15.

**OBJECTIVES:**

To provide competitive grants that support the integration of the arts into the elementary and secondary school curriculum, with particular focus on improving the academic achievement of low-income students.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grants are awarded on a competitive basis to support the following types of

activities: (1) research on arts education; (2) development and dissemination of model school-based arts education programs; (3) development of model State arts education assessments based on State academic achievement standards; (4) development of curriculum frameworks in the arts; (5) development of model professional development programs in the arts for teachers and administrators; (6) collaborative activities with Federal agencies or institutions involved in arts education, arts educators, and organizations representing the arts; and (7) model programs to integrate arts education into the regular elementary and secondary school curriculum. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

State educational agencies; local educational agencies; institutions of higher education; museums and other cultural institutions; and any other public or private agencies, institutions, or organizations.

**Beneficiary Eligibility:**

Arts educators and administrators, and their students benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit the following by the designated deadline: Written narrative addressing the selection criteria and application content; all required forms: SF 424; A,B,C,D of Form 525; Assurances Non-Construction programs; Certification Regarding Lobbying, Debarment and Suspension; Drug-Free Workplace Requirements; Disclosure of Lobbying Activity; Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tiered Covered Transactions.

**Award Procedure:**

Applications are reviewed by the agency for eligibility and completeness; applications are reviewed and scored by a panel of experts; and applications are ranked according to raw scores. A funding slate is prepared, and the highest ranked applications are recommended for funding. Successful and unsuccessful applicants are notified of the outcome, and grant awards are prepared and mailed to successful grantees.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to three years. Continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants under this program may be awarded for up to 48 months. Continuation awards are subject to the availability of funds and substantial progress by the

grantee. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance Reports are due within six to ten months of the initial award date; these reports are used to determine whether the grantee has made substantial progress toward meeting the project objectives and should or should not receive continuation funding. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain financial records must be maintained for a period of 3 years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$40,000,000; FY 11 est \$27,446,996; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range of new awards: \$100,000 to \$350,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department funded 34 new Arts in Education Model Development and Dissemination (AEMDD) grants and provided continuation funding to 49 grantees under the AEMDD and Professional Development for Arts Educators programs. The Department also provided grants to VSA Arts and the John F. Kennedy Center for the Performing Arts. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department of Education General Administrative Regulations (EDGAR). Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Diane Austin, Arts in Education Model Development and Dissemination Grants, Department of Education, Office of Innovation and Improvement, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: diane.austin@ed.gov Phone: (202) 260-1280.

**Website Address:**

<http://www2.ed.gov/programs/artstedmodel/index.html>;  
<http://www2.ed.gov/programs/artsnational/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the Education Department General Administrative Regulations (EDGAR) 34 CFR 75.210.

**84.354 CREDIT ENHANCEMENT FOR CHARTER SCHOOL FACILITIES**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title

V, Part B, Subpart 2.

**OBJECTIVES:**

To provide grants to eligible entities to leverage funds through credit enhancement initiatives in order to assist charter schools in using private-sector capital to acquire, construct, renovate, or lease academic facilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant recipients must deposit the funds received under this program (other than funds used for administrative costs) in a reserve account established and maintained by the entity for this purpose. Amounts deposited in such an account must be used by the entity to help charter schools access private-sector capital for acquiring, renovating, or constructing facilities. Reserve accounts must be used for one or more of the following purposes: (1) Guaranteeing, insuring, and reinsuring bonds, notes, evidences of debt, loans, and interests therein; (2) Guaranteeing and insuring leases of personal and real property; (3) Facilitating financing by identifying potential lending sources and encouraging private lending and other similar activities that directly promote lending to, or are conducted for the benefit of, charter schools; and (4) Facilitating the issuance of bonds by charter schools or by public entities for the benefit of charter schools. This may be accomplished by providing technical, administrative, and other appropriate assistance, including the recruitment of bond counsel, underwriters, and potential investors and the consolidation of multiple charter school projects within a single bond issue.

**Applicant Eligibility:**

A public entity, such as a State or local government entity, a private nonprofit entity, or a consortium of such entities may apply.

**Beneficiary Eligibility:**

Public charter schools as defined in Section 5210, ESEA.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, any priorities included in the application notice, and all required assurances and signatures. "Intergovernmental Review of Federal Programs."

**Award Procedure:**

The Department of Education awards these grants on a competitive basis. The program office notifies successful applicants of awards and negotiates and awards grants. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

The General Education Provisions Act hearing procedures regarding recovery of funds are applicable to this program.

**Renewals:**

Continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds under this program are available for the Department of Education to obligate by September 30 of the fiscal year in which they are appropriated. Once these funds are obligated, they must be expended from the Federal account in five years. In addition, two years after the grantee's receipt of grant funds, the Secretary may collect any or all funds in a reserve account if the grantee has not made substantial progress or is no longer using the funds for their specified purpose. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Each eligible entity receiving a grant under this program annually must submit to the Secretary a report of its operations and activities. Each such annual report must include-- (1) a copy of the most recent financial statements, and any accompanying opinion on such statements, prepared by the independent public accountant reviewing the financial records of the eligible entity; (2) a copy of any report made on an audit of the financial records of the eligible entity that was conducted during the reporting period; (3) an evaluation by the eligible entity of the effectiveness of its use of the Federal funds in leveraging private funds; (4) a listing and description of the charter schools served during the reporting period; (5) a description of the activities carried out by the eligible entity to assist charter schools; and (6) a description of the characteristics of lenders and other financial institutions participating in the activities undertaken by the eligible entity during the reporting period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The financial records of each eligible entity receiving a grant under this subpart shall be maintained in accordance with generally accepted accounting principles and shall be subject to an annual audit by an independent public accountant.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years after the end of the grant.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$8,300,000; FY 11 est \$10,035,836; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$10,035,835.91 (one award in FY 2011).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department awarded 1 grant. Fiscal Year 2011: The Department awarded 1 grant. Fiscal Year 2012: The Administration is not requesting separate funding for this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ann Margaret Galiatsos, Department of Education, Office of Innovation and Improvement, Parental Options and Information, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: ann.galiatsos@ed.gov Phone: (202) 205-9765.

**Website Address:**

<http://www.ed.gov/programs/charterfacilities/index.html> .

**RELATED PROGRAMS:**

84.282 Charter Schools

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available  
Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. For additional information contact the program office.

**84.356 ALASKA NATIVE EDUCATIONAL PROGRAMS****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Title VII, Part C.

**OBJECTIVES:**

To support projects that recognize and address the unique educational needs of Alaska Native students and to support supplemental education programs to benefit Alaska Natives.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Allowable activities include, but are not limited to: the development of curricula and education programs that address the educational needs of Alaska Native students; the development and operation of student enrichment programs in science and mathematics; professional development activities for educators; family literacy services; and dropout prevention programs. An eligible entity may use not more than 5 percent of the funds received under this program for the administrative costs of carrying out its responsibilities under this Subpart.

**Applicant Eligibility:**

Alaska Native organizations, education entities with experience in developing or operating Alaska Native programs or programs of instruction conducted in Alaska Native languages, cultural and community-based organizations with experience in developing or operating programs to benefit Alaska Natives, and consortia of organizations may apply. A State educational agency (SEA) or local educational agency (LEA) may apply as part of a consortium involving an Alaska Native organization. The consortia may include other eligible applicants.

**Beneficiary Eligibility:**

Alaska Natives as defined in Public Law 103-382.

**Credentials/Documentation:**

This program is included under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and includes all required assurances and signatures.

**Award Procedure:**

The Department of Education awards these grants on a competitive basis. The

Program Office notifies successful applicants of awards and negotiates and awards grants. Contact the Program Office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

The General Education Provisions Act hearing procedures regarding recovery of funds are applicable to this program.

**Renewals:**

Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds under this program are available for the Department of Education to obligate by September 30 of the fiscal year for which they are appropriated. Once these funds are obligated, they must be expended from the Federal account by September 30 of the subsequent fiscal year. In addition, two years after the grantee's receipt of grant funds, the Secretary may collect any or all funds in a reserve account if the grantee has not made substantial progress or is no longer using the funds for their specified purpose. Continuation awards are subject to the availability of appropriations and adequate progress on project implementation. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Each eligible entity receiving a grant under this program annually shall submit to the Secretary a report of its operations and activities. Each annual report shall include: (1) An executive summary; (2) information on project status; (3) budget information; and (4) supplemental information. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years after the end of the grant.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$33,315,000; FY 11 est \$33,248,370; and FY 12 est \$33,315,000

**Range and Average of Financial Assistance:**

Range of new awards: \$300,000-\$700,000; Average new award: \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department awarded 2 new grants. Fiscal Year 2011: The Department will award approximately 17 new grants and 32 continuation grants. Fiscal Year 2012: The Department would award approximately 43 new grants and 22 continuation grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Almita Reed Department of Education, OESE School Improvement Programs, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: almita.reed@ed.gov Phone: (202) 260-1979

**Website Address:**

<http://www.ed.gov/programs/alaskanative/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. Contact the program office for additional information.

**84.358 RURAL EDUCATION****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Title VI, Part B.

**OBJECTIVES:**

To provide financial assistance to rural districts to carry out activities to help improve the quality of teaching and learning in their schools.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grantees under the Small, Rural School Achievement program component may use program funds to carry out activities authorized under: ESEA Title I-Part A (Grants to LEAs); Title II- Part A (Improving Teacher Quality State Grants); Title II-Part D (Educational Technology State Grants); Title III (Language Instruction for Limited English Proficient and Immigrant Students); Title IV-Part A (Safe and Drug-Free Schools and Communities State Grants); Title IV-Part B (21st Century Community Learning Centers); and Title V-Part A (State Grants for Innovative Programs). Grantees under the Rural and Low-Income School Program component may use program funds for: teacher recruitment and retention; teacher professional development; educational technology; parental involvement activities; activities authorized under ESEA Title IV-Part A (Safe and Drug-Free Schools and Communities); activities authorized under ESEA Title I-Part A (Grants to LEAs); and activities authorized under ESEA Title III (Language Instruction for Limited English Proficient and Immigrant Students). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate that is referenced under 34 CFR 75.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

For the Small, Rural School Achievement program eligible recipients are local educational agencies (LEAs) in which (1) the total number of students in average daily attendance at all of the schools served by the LEA is less than 600 or where each school in the LEA is located in a county with a total population density of less than 10 persons per square mile; and (2) all of the schools served by the LEA are designated as rural by the U.S. Department of Education's National Center for Education Statistics (NCES) using the NCES school locale methodology in place at the time of enactment of the No Child Left Behind Act or the LEA is located in an area of the State defined as a rural by a State governmental agency. For the Rural and Low-Income School program eligible recipients are State educational agencies (SEAs). SEAs then must distribute funds to local educational agencies (LEAs) on a formula or competitive basis. An LEA is eligible to receive a grant under this program only if (1) it is not eligible for funds under the Small, Rural School Achievement program; (2) at

least 20% of the school children ages 5-17 in the LEA come from families with incomes below the poverty line; and (3) all of the schools served by the LEA are designated with a School Locale Code of 6, 7, or 8 under the NCES locator system using the NCES school locale methodology in place at the time of NCLB's enactment. If an SEA chooses not to participate in the program, the Secretary uses the State's allocation to make direct grants to eligible LEAs in the State.

**Beneficiary Eligibility:**

Elementary and secondary schools, students, and teachers in rural schools will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. LEAs annually submit applications to the Department of Education. For the Small, Rural School Achievement program component, however, the Department considers the application requirement to be met if the LEA submitted an application in any prior year and has drawn down funds from the third preceeding the fiscal year award (if the LEA received an award that year (e.g., FY 2007 grantees that drew down none of those funds are required to reapply in FY 2010 to receive an award)). Application forms and instructions are available from the headquarters office. For the Rural and Low-Income School program component, an SEA must submit an application that includes specific, measurable goals and objectives for the activities to be carried out through the grant. If an SEA does not participate in the program, eligible LEAs in the State may submit an application directly to the Department.

**Award Procedure:**

For the Small, Rural School Achievement program component, awards are issued annually directly to eligible LEAs on a formula basis. Awards are made to all that apply and meet the applicable requirements of the Act. Contact the program office for more information. For the Rural and Low-Income School program component, awards are issued annually to SEAs, which make subgrants to LEAs. Awards are made to all SEAs that apply and meet the applicable requirements of the Act. If an SEA does not participate, awards are issued to eligible LEAs in the State either competitively or by formula.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title ESEA VI, Part B, Sections 6212(b) and Section 6221(a)2.

Matching Requirements: For the Small, Rural School Achievement program, the Department calculates the amount of a grant that an eligible LEA receives by multiplying the number of students in average daily attendance in excess of 50 by \$100, adding this product to \$20,000, and subtracting the amounts the LEA received the previous year for Parts A and D of Title II, Part A of Title IV, and Part A of Title V of the ESEA, as amended. The maximum award is limited to \$60,000. To make the total award amounts sum to the appropriation, a ratable increase or decrease is applied to each award. For the Rural and Low-Income School program, the Department reserves one-half of one percent of the half of the appropriation for Outlying Areas and one-half of one percent for the Bureau of Indian Education at the Department of the Interior. The

Department of the Education allocates the remaining funds to States proportionally to the sum of the average daily attendance of the eligible LEAs within the respective States.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for 1 year. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and performance reports are due within 90 days of the termination of the project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained 3 years after the completion of the activity for which grant funds were used.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$174,882,000; FY 11 est \$174,532,236; and FY 12 est \$174,882,000

**Range and Average of Financial Assistance:**

Range of new awards for the Small, Rural School Achievement program (SRSA): \$0 - \$60,000; Average new award for SRSA: \$21,000

Range of new subgrants for the Rural and Low-Income School program (RLIS): \$2,000 - \$633,000; Average new subgrants for RLIS: \$58,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department awarded approximately 4,100 SRSA grants to LEAs and 40 grants to SEAs. Fiscal Year 2011: The Department will award approximately 4,100 SRSA grants to LEAs and 43 grants to SEAs. Fiscal Year 2012: The Department would award approximately 4,100 SRSA grants to LEAs and 43 grants to SEAs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 79, 80, 81, 82, 85, 97, 98 and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eric Schulz, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: reap@ed.gov Phone: (202) 260-7349.

**Website Address:**

<http://www.ed.gov/programs/reapsrsa/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the program office for information.

**84.359 EARLY READING FIRST**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 as amended, Title I, Part B, Subpart 2.

**OBJECTIVES:**

To support local efforts to enhance the early language, literacy, and prereading development of preschool-aged children, particularly those from low-income families, through instructional strategies and professional development based on scientifically based reading research. Early Reading First programs must have a high-quality oral language and print-rich environment, and must monitor children's progress toward language, literacy, and cognitive goals using screening reading assessments and other appropriate measures.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program funds support projects designed to help early childhood centers improve their programs by creating centers of excellence that provide preschool-age children with language and cognitive skills and an early reading foundation. Funds must be used to: enhance children's language, cognitive, and early reading skills through professional development for teachers; provide early language and reading development and instructional materials as developed from scientifically based reading research; provide preschool-age children with cognitive learning opportunities in high-quality language and literature-rich environments; use screening assessments to effectively identify preschool children who may be at risk for reading failure; and improve existing early childhood programs by integrating scientifically based reading research into all aspects of the program (including instructional materials, teaching strategies, curricula, parent engagement, and professional development).

**Applicant Eligibility:**

The following entities are eligible to apply for an Early Reading First grant: (1) One or more local educational agencies that are eligible to receive a Reading First State grant subgrant; (2) One or more public or private organizations of agencies, acting on behalf of one or more programs that serve preschool age children (such as a Head Start program, a child care program, an Even Start Family literacy program, or a lab school at a university), located in a community that is eligible for a Reading First grant; (3) One or more local educational agencies described in (1), in collaboration with one or more organizations or agencies described in (2).

**Beneficiary Eligibility:**

Early childhood staff and children in early childhood programs benefit from this program.

**Credentials/Documentation:**

Contact program office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Those applicants that are invited to submit a full application must prepare and submit them in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the U.S. Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, the competitive priority included in the application notice, and includes all required assurances and signatures. Required assurances and certifications include: Assurances for Non-Construction Programs (SF 422B); Certification regarding Lobbying, Debarment; Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80-0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF-424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that

includes responses to selection criteria. Applicants are encouraged to submit (1) one original and (2) copies of their application.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the full application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

The Department may award grants with a project period of up to 6 years. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may be funded for a period of up to 6 years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports must be submitted at the end of each budget period. Performance reports must be submitted at the end of the grant period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to EDGAR, Part 80.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - No new obligations are expected in FYs 2011 or 2012.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rebecca Marek, Department of Education, OESE Academic Improvement and

Teacher Quality, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: rebecca.marek@ed.gov Phone: (202) 260-0968.

**Website Address:**

<http://www.ed.gov/programs/earlyreading/index.html>.

**RELATED PROGRAMS:**

84.213 Even Start\_State Educational Agencies; 84.371 Striving Readers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For further information, contact the program office.

**84.360 HIGH SCHOOL GRADUATION INITIATIVE**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part H.

**OBJECTIVES:**

To support effective, sustainable and coordinated dropout prevention and reentry programs in high schools with annual dropout rates that exceed their State average annual dropout rate. Middle schools that have students who continue on to these high schools are also supported.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant recipients must implement proven strategies for reducing the number of students who drop out before completing secondary school and for assisting youth to reenter school after they have dropped out. These strategies may include: (1) identifying students at risk of dropping out; (2) providing at-risk students with services designed to prevent them from dropping out; (3) identifying and encouraging youth who already have dropped out to reenter school; and (4) implementing other comprehensive reform approaches.

**Applicant Eligibility:**

State educational agencies (SEAs) and local educational agencies (LEAs) serving communities with dropout rates above the State's average annual dropout rate are eligible to apply for funding.

**Beneficiary Eligibility:**

School administrators, teachers, students, out-of-school youth, and parents are beneficiaries.

**Credentials/Documentation:**

Information to support annual dropout rate calculations is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must be prepared and submitted in accordance with the requirements in a notice published in the Federal Register.

**Award Procedure:**

Selection of grantees is competitive and based on a nonfederal review of applications using selection criteria published in a notice in the Federal Register.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 8-12 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are made for a period of not more than 5 years; after the first year, grantees may receive annual continuations contingent on project performance and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than 5 years; after the first year, grantees may receive annual continuations contingent on project performance and availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR 75 unless otherwise specified in the award document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Generally, records related to grant funds, compliance, and performance must be maintained for a period of 3 years after completion.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$50,000,000; FY 11 est \$48,902,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY 10 average new award: \$1,610,931.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2011: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2012: Interested parties should visit the website address provided below for information on program accomplishments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR, Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. Applicants should contact the headquarters or regional office, as appropriate, for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Theda Zawaiza, Department of Education, OESE, 400 Maryland Ave., S.W. Room 3E122, Washington, District of Columbia 20202 Email: theda.zawaiza@ed.gov Phone: (202) 205-3783.

**Website Address:**

<http://www.ed.gov/programs/dropout/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Interested parties should visit the website address provided above for examples of funded projects. Fiscal Year 2011: Interested parties should visit the website address provided above for examples of funded projects. Fiscal Year 2012: Interested parties should visit the website address provided above for examples of funded projects.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection of grantees is competitive and based on a nonfederal review of applications using selection criteria published in a notice in the Federal Register.

**84.361 VOLUNTARY PUBLIC SCHOOL CHOICE****FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title V, Part B, Subpart 3.

**OBJECTIVES:**

To support efforts to establish or expand intra-district, inter-district, and open enrollment public school choice programs to provide parents, particularly parents whose children attend low-performing public schools, with expanded education options and with greater choice for their children's education.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

An eligible entity that receives a grant under this subpart may use the grant funds for: (1) planning or designing a program (for not more than 1 year); (2) making tuition transfer payments to public elementary schools or secondary schools to which students transfer under the program; (3) capacity-enhancing activities that enable high-demand public elementary schools or secondary schools to accommodate transfer requests under the program; (4) carrying out public education campaigns to inform students and parents about the program; and (5) other costs reasonably necessary to implement the program. An eligible entity that receives a grant under this subpart may not use the grant funds for school construction. The eligible entity may use not more than 5 percent of the funds made available through the grant for any fiscal year for administrative expenses.

**Applicant Eligibility:**

State educational agencies (SEAs); local educational agencies (LEAs); or a partnership of either (a) one or more SEAs and (b) one or more LEAs or other public, for-profit, or nonprofit entities; or (a) one or more LEAs and (b) one or more public, for-profit, or nonprofit entities.

**Beneficiary Eligibility:**

Public school students.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and all required assurances and signatures.

**Award Procedure:**



The Department of Education awards these grants on a competitive basis. The program office notifies successful applicants of awards, negotiates final budgets, and awards grants. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

The General Education Provisions Act hearing procedures regarding recovery of funds are applicable to this program.

**Renewals:**

Continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards may be made for up to 5 years. Continuation awards are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As part of the continuation funding process, grantees must submit performance reports annually. Final performance reports must be submitted within 190 days of the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The financial records of each eligible entity receiving a grant under this subpart shall be maintained in accordance with generally accepted accounting principles and shall be subject to an annual audit by an independent public accountant.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years after the end of the grant.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$25,819,000; FY 11 est \$25,767,362; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range of awards: \$720,000-\$2,640,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department provided continuation funding to support 14 grants. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeanne Gilroy, Department of Education, Office of Innovation and Improvement Parental Options and Information 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: jeanne.gilroy@ed.gov Phone: (202) 205-5482.

**Website Address:**

<http://www.ed.gov/programs/choice/index.html>

**RELATED PROGRAMS:**

84.282 Charter Schools

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications.

**84.362 NATIVE HAWAIIAN EDUCATION**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title VII, Part B.

**OBJECTIVES:**

To develop innovative educational programs to assist Native Hawaiians and to supplement and expand programs and authorities in the area of education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program funds may be used to carry a variety of authorized activities including, but not limited to: early education and care programs, family-based education centers, beginning reading and literacy programs, activities to address the needs of gifted and talented Native Hawaiian students, professional development for educators, and activities to enable Native Hawaiian students to enter and complete postsecondary education programs. An eligible entity may use not more than 5 percent of the funds received under this program for the administrative costs of carrying out its responsibilities under this subpart.

**Applicant Eligibility:**

Eligible applicants include: Native Hawaiian educational organizations and community-based organizations; public and private nonprofit organizations, agencies, and institutions with experience in developing or operating Native Hawaiian programs or programs of instruction in the Native Hawaiian language; or consortia of the organizations, agencies, and institutions described above.

**Beneficiary Eligibility:**

Native Hawaiian children and adults.

**Credentials/Documentation:**

This program is included under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and includes all required assurances and signatures.

**Award Procedure:**

The Department of Education awards these grants on a competitive basis. Applications are reviewed and ranked by a panel of outside reviewers. The program office notifies successful applicants of awards and awards grants. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a period of up to three years; continuation awards are based on the availability of appropriations and adequate progress on project implementation. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Each eligible entity receiving a grant under this program annually must submit to the Department a report of its operations and activities. Each such annual report must include: (1) an executive summary; (2) information project status; (3) budget information; and (4) supplemental information. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The financial records of each eligible entity receiving a grant under this subpart shall be maintained in accordance with generally accepted accounting principles and shall be subject to an annual audit by an independent public accountant.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years after the end of the grant.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$34,315,000; FY 11 est \$34,246,370; and FY 12 est \$34,315,000

**Range and Average of Financial Assistance:**

Range of New Awards: \$250,000-\$950,000; Average New Award: \$425,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department awarded 8 new grants and 38 continuation grants. Fiscal Year 2011: The Department will award approximately 23 new grants and 24 continuation grants. Fiscal Year 2012: The Department would award approximately 32 new grants and 45 continuation grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Joanne Osborne, Department of Education, OESE, Academic Improvement and Teacher Quality Programs, 400 Maryland Ave., S.W., Rm. 3W215, Washington, District of Columbia 20202 Email: joanne.osborne@ed.gov Phone: (202) 260-1265.

**Website Address:**

<http://www.ed.gov/programs/nathawaiian/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. Contact the program office for additional information.

**84.363 SCHOOL LEADERSHIP**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended., Executive Order Title II, Part B, Subpart 5, Section 2151(b).

**OBJECTIVES:**

To provide support to eligible entities in the development of innovative programs that recruit, develop, prepare, and mentor principals and assistant principals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grantees under this program may use funds for the following purposes: (1) providing financial incentives to aspiring new principals; (2) providing stipends to principals who mentor new principals; (3) carrying out professional development programs in instructional leadership and management; and (4) providing incentives that are appropriate for teachers or individuals from other fields who want to become principals and that are effective in retaining new principals.

**Applicant Eligibility:**

Eligible entities include: (1) high-need local educational agencies; (2) consortia of high-need local educational agencies; and (3) partnerships of high-need local educational agencies, nonprofit organizations, and institutions of higher education.

**Beneficiary Eligibility:**

Local education agencies and school leaders.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the regulations, instructions, forms and deadlines published in the Federal Register.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Negotiation and awarding of grants will be completed by the Department of Education's Office of Innovation and Improvement staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are awarded for up to 5 years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual progress and financial reports are required in accordance with the Education Department General Administrative Regulations. Final performance reports must be submitted within 90 days following the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 a year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, certain records must be retained for three years after the end of the grant.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$29,220,000; FY 11 est \$29,162,000; and FY 12 est \$29,162,000

**Range and Average of Financial Assistance:**

FY 09 Range: \$62,361 - \$1,375,027; Average: \$660,580.  
No current data available for FY 2010 & FY 2011.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Beatriz Ceja, Department of Education, Office of Innovation and Improvement, Teacher Quality Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: beatriz.ceja@ed.gov Phone: (202) 205-5009.

**Website Address:**

<http://www.ed.gov/programs/leadership/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current

Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. Contact the program office for additional information.

**84.364 IMPROVING LITERACY THROUGH SCHOOL LIBRARIES  
FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part B, Subpart 4.

**OBJECTIVES:**

To provide students with increased access to up-to-date school library materials, a well-equipped, technologically advanced school library media center, and well-trained, professionally certified school library media specialists to improve literacy skills and achievement of students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A recipient local educational agency (LEA) receiving a grant may use program funds to: acquire school library media resources; acquire and use technology that can help to develop the information retrieval and critical thinking skills of students; facilitate Internet links and other resource-sharing networks; provide professional development and collaborative activities for school library media specialists; and provide students with access to school libraries during non-school hours. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Local educational agencies (LEAs) with a child poverty rate of at least 20 percent are eligible.

**Beneficiary Eligibility:**

School library media center specialists, teachers, students, parents and the communities are beneficiaries.

**Credentials/Documentation:**

Information to document the need for and impact of school library improvement. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and the absolute priority included in the application notice, and includes all required assurances and signatures. Required assurances and certifications include: Group Application Certification (if applicable); Assurances for Non-Construction Programs (SF 422B); Certification regarding Lobbying, Debarment; Suspension and Other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80-0013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF424); the required Budget Form (ED Form 524); an itemized budget and other budget information; proof of eligibility; a project abstract; and a program narrative that includes responses to selection criteria.

**Award Procedure:**

Applications are reviewed and ranked by a panel of outside readers. The Department of Education notifies successful applicants of awards and negotiates the final award documents.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally 60 to 120 days after the deadline for applications.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than 12 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit a final performance reports within 90 days after the end of the grant award period documenting how the funds were used and the how school library media centers were improved. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after the fiscal year in which the expenditure was made by the grantee, or until the grantee is notified of the completion of the Federal fiscal audit. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$19,145,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range of New Awards: \$30,000-\$500,000; Average New Award: \$231,849.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department awarded 50 new grants. Fiscal Year 2011: This program did not receive an appropriation. Fiscal Year 2012: The Administration is not requesting separate funding for this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. For further guidance and other information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Peter Eldridge Department of Education, OESE Academic Improvement and Teacher Quality Programs, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: peter.eldridge@ed.gov Phone: (202) 260-2514

**Website Address:**

<http://www.ed.gov/programs/lsl/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the program guidelines. Contact the program office for more information.

**84.365 ENGLISH LANGUAGE ACQUISITION GRANTS****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title III, Part A, Sections 3101-3129.

**OBJECTIVES:**

To help ensure that limited English proficient (LEP) children, including immigrant children and youth, attain English proficiency and meet the same challenging State academic content and student academic achievement standards as all children are expected to meet.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Department makes awards to States using a formula based on their share of limited English proficient (LEP) children and immigrant children and youth. States must use at least 95 percent of their allocations to award subgrants to local educational agencies to assist limited English proficient children in learning English and meeting challenging State academic content and student academic achievement standards, and may reserve up to 15% of their allocations for subgrants to local school districts that have experienced a significant increase in the number of immigrant children and youth. States may reserve up to 5 percent of their allocations for planning, evaluation and administrative costs, professional development activities, and technical assistance to subgrantees. Subgrantees must use funds to increase the English proficiency of LEP children by providing high-quality language instruction educational programs that are based on scientifically based research and effective in increasing LEP students English proficiency and achievement in the core academic subjects. Subgrantees must also provide high-quality professional development to teachers and other educational personnel that is designed to improve instruction and assessment of limited English proficient children, enhance teachers' ability to understand and use curricula, assessment measures, and instructional strategies for LEP students and of sufficient intensity and duration to have a positive and lasting impact. Funds may also be used for identifying, acquiring, and upgrading curricula, instructional materials, educational software, and assessment procedures, tutorials and academic or vocational education, and community participation programs, family literacy services and parent outreach and training activities. Subgrantees awarded funds based on a substantial increase in the number of immigrant children and youth must use the funds to provide activities that provide enhanced instructional opportunities, including tutorials, mentoring, and career counseling. This program is subject to non-supplanting requirements and grantees must use a restricted indirect cost rate, which is referenced under 34 CFR 76.564-76.569. For assistance, call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

States and outlying areas with approved State plans are eligible to receive funds.

**Beneficiary Eligibility:**

Children with limited English proficiency benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States apply for grants by submitting a plan to the Department that describes the process they will use in establishing standards and objectives for raising the level of English proficiency and academic achievement of LEP students, making sub-grants to eligible entities, and holding sub-grantees accountable for meeting annual measurable achievement objectives. Outlying area applicants may apply under the Consolidated Application Process for outlying areas through which they may combine various program funds. An application submitted under the Consolidated Application Process for outlying areas must address the purpose of the grant, priorities, goals and objectives, activities, evaluation, needs, and include a budget indicating how the funds will be used.

**Award Procedure:**

The Department allocates funds to any State or outlying area with an approved plan. States must expend at least 95 percent of their Title III allotments to award subgrants to local educational agencies and other eligible entities to meet the educational needs of LEP and immigrant children and youth.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Section 432 of the General Education Provisions Act provides local educational agencies with a right of appeal in disagreements between State and local educational agencies, including disagreements over funding decisions. Where a local educational agency alleges that the denial of funding is "a violation of State or Federal law, rules, regulations, or guidelines governing the applicable program," it may, within 30 days, request a hearing from the State educational agency. Once the hearing is held and the State educational agency issues its written ruling, the local educational agency may appeal a negative ruling to the Secretary.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: The Secretary makes grants to SEAs with an approved plan based on 80% of each States share of LEP children and 20% of each States share of immigrant children and youth. No SEA receives less than \$500,000. The total amount allotted to Puerto Rico shall not exceed 0.5% of the total amount allotted to all States in any given fiscal year.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance Funds under the State Formula Grant and the Outlying Area Grant programs are 1-year grants. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR). Specific for formula grants: States prepare and submit reports every year on the programs and activities carried out by the SEA and the effectiveness of such programs and activities in improving the education of children who are limited English proficient. Local educational agencies that receive sub-grants from SEAs must provide States with an evaluation every second year. The evaluation must include: A description of the programs and activities conducted; a description of the progress made by children in learning English and meeting challenging State academic content and achievement standards; the number and percentage of children in the programs attaining English proficiency by the end of each year; and a description of the progress made by children in meeting

State academic content and student achievement standards for each of the 2 years after such children are no longer receiving services. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Contact program office.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All grantees are subject to the provisions of the Single Audit Act.

**Records:**

All grantees must maintain and complete records as provided in EDGAR.

**Account Identification:**

91-1300-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$692,500,000; FY 11 est \$677,182,000; and FY 12 est \$696,250,000

**Range and Average of Financial Assistance:**

FY 11: \$61,000 - \$164,936,000; \$12,158,000 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: See, <http://www2.ed.gov/programs/sfgp/performance.html>. Fiscal Year 2011: AvailableSee, <http://www2.ed.gov/programs/sfgp/performance.html>. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR; 34 CFR 76. For more information contact the Program Office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Supreet Anand Elementary and Secondary Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: [supreet.anand@ed.gov](mailto:supreet.anand@ed.gov) Phone: (202) 401-9795.

**Website Address:**

<http://www2.ed.gov/programs/sfgp/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Go to, <http://www.ncela.gwu.edu/>. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: AvailableGo to, <http://www.ncela.gwu.edu/>.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.366 MATHEMATICS AND SCIENCE PARTNERSHIPS****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title II, Part B.

**OBJECTIVES:**

To improve the academic achievement of students in mathematics and science by encouraging States, institutions of higher education (IHEs), local educational agencies (LEAs), and elementary and secondary schools to participate in programs that: improve and upgrade the status and stature of mathematics and science teaching by encouraging IHEs to improve mathematics and science teacher education; focus on the education of mathematics and science teachers as a career-long process; bring mathematics and science teachers together with scientists, mathematicians, and engineers to improve those teachers' teaching skills; develop more rigorous mathematics and science curricula that are aligned with challenging state and local academic achievement standards and with the standards expected for postsecondary study in engineering, mathematics, and science; and improve and expand training of mathematics and science teachers, including by training such teachers in the effective integration of technology into curricula and instruction.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for authorized teacher education and professional development activities, including summer workshops or institutes that train teachers to use curricula based on scientific research and aligned with challenging State academic content standards; innovative distance-learning programs; and programs that bring teachers together with working scientists, mathematicians, and engineers to expand teachers subject-matter knowledge and research. Grantees may also use program funds to develop more rigorous mathematics and science curricula that are aligned with challenging State and local academic content standards and recruit individuals with mathematics, science, and engineering majors into the teaching profession through the use of signing and performance incentives, stipends, and scholarships. Funds received under this program must be used to supplement, and not supplant, funds that would otherwise be used for authorized activities.

**Applicant Eligibility:**

If the program appropriation reaches or exceeds \$100 million, as has been the case since fiscal year 2003, the Department provides grants to States by formula; States then award subgrants competitively to eligible partnerships. Eligible partnerships must include an engineering, mathematics, or science department of an IHE; and a high-need LEA. Partnerships may also include another engineering, mathematics, science, or teacher training department of an IHE; additional LEAs, public charter schools, public or private elementary or secondary schools; a business; or a nonprofit or for-profit organization of demonstrated effectiveness in improving the quality of mathematics and science teachers.

**Beneficiary Eligibility:**

University staff, school administrators, teachers, students, and parents benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Partnerships submit a subgrant application to the State if the appropriation is \$100 million or greater, as has been the case since 2003.

**Award Procedure:**

The Department awards grants to States by formula. States then award subgrants competitively to eligible partnerships.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Elementary and Secondary Education Act of 1965, section 2202(a). If the program appropriation reaches or exceeds \$100 million, as has been the case since fiscal year 2003, the Department provides grants to States by formula based on the number of children aged 5 to 17 who are from families with incomes below the poverty line.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

States receive formula grants annually. States award subgrants to eligible

partnerships for a period of not more than three years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76. State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76. State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76. State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76. State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for three years. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$180,478,000; FY 11 est \$175,127,044; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY10 Range: \$900,000-\$21,200,000; FY10 Average: \$3,207,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2011: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2012: Interested parties should visit the website address provided below for information on program accomplishments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

Applicants should contact the headquarters or regional office, as appropriate, for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia O'Connell Academic Improvement and Teacher Quality Programs, Office of Elementary and Secondary, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: patricia.oconnell@ed.gov Phone: (202) 260-7813

**Website Address:**

<http://www.ed.gov/programs/mathsci/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Interested parties should contact the Headquarters Office as listed above for information on projects funded with subgrant funds. Fiscal Year 2011: Interested parties should contact the Headquarters Office as listed above for information on projects funded with subgrant funds. Fiscal Year 2012: Interested parties should contact the Headquarters Office as listed above for information on projects funded with subgrant funds.

**CRITERIA FOR SELECTING PROPOSALS:**

States receive grants noncompetitively by formula. States establish guidelines for selecting partnerships for subgrants.

**84.367 IMPROVING TEACHER QUALITY STATE GRANTS****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Title II, Part A.

**OBJECTIVES:**

To provide grants to State educational agencies (SEAs), local educational agencies (LEAs), State agencies for higher education (SAHEs) and, though SAHEs, to eligible partnerships in order to increase student academic achievement through such strategies as improving teacher and principal quality and increasing the number of highly qualified teachers in the classroom.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

SEAs must use 95 percent of awards for subgrants to LEAs for the following purposes: to assist schools in effectively recruiting and retaining highly qualified teachers; to afford to LEAs the means of recruiting, hiring, and retaining teachers; to make available professional development activities that address subject matter knowledge; and other activities as set forth in Section 2123 of the ESEA. This program is subject to non-supplanting requirements for all but subgrants to partnerships, and all but partnerships must use a restricted indirect cost rate which is described in 34 CFR 76.563-76.569. For assistance on indirect costs call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770. SEAs retain 2.5 percent of award to conduct State-level activities and 2.5 percent is given to SAHEs for competitive projects carried out by partnerships of institutions of higher education (IHEs) and high-need LEAs. One percent of the total award for each State is divided between the SEAs and SAHE for administrative activities.

**Applicant Eligibility:**

States with approved ESEA Consolidated State Plans.

**Beneficiary Eligibility:**

Elementary and secondary schools, teachers, and paraprofessionals, principals, students, parents, and pupil services personnel will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An SEA is eligible for funding if it submits an application that includes Statewide activities based on scientifically based research and an explanation of why the activities will improve student academic achievement. The plan must: (1) assure compliance by LEAs; (2) assure that the activities are aligned with challenging State academic content, student academic achievement standards, State assessments, and State and local curricula; and (3) describe the use of the funds to improve the quality of the State's teachers and principals. The SEA makes subgrants to local educational agencies (LEAs) on a formula basis. The SAHE makes subgrants, on a competitive basis, to eligible IHE-LEA partnerships to carry out as activities with funding that is reserved for partnerships.

**Award Procedure:**

The Department awards funds to any State whose application the Secretary has approved under Section 2112(c) of the ESEA (in the Title II, Part A program statute) or under section 9302 (consolidated State applications). All SEAs and SAHEs chose to apply for, and receive funds under, criteria the Department established for consolidated applications. Unless the Department chooses to

require amendments to consolidated applications, the Department's approval is for the entire period of the ESEA's authorization.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As all consolidated State applications have been approved, appeal procedures are inapplicable, appeals regarding SAHE's denial of an application for a subgrant would go to the SAHE, as permitted under State law and procedures.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title II, Part A.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Generally, awards to States are available for obligation at the Federal level from July 1 to September 30 of the following year. In addition, funds remain available to States for an additional fiscal year for obligation and expenditure. See the following for information on how assistance is awarded/released: Electronic transfer. IHE-LEA partnerships that receive funds from a SAHE have the same period for obligation and expenditure of their awarded funds as does the SAHE.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) of State-administered programs (34 CFR part 76). Generally, SEAs are subject to the reporting requirements contained in Title IX of the ESEA, Consolidated State Performance Report Section 9303 (b). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend financial assistance less than \$500,000 in a fiscal year must keep records available for review or audit by appropriate officials of the Federal government.

**Records:**

As provided in 34 CFR 80.42, and 74.53, SEAs, SAHEs, LEAs and IHE-LEA partnerships must maintain program records for 3 years from the date those agencies submit to the awarding agency its single or last expenditure report for the period for which it received the funds. A longer retention period is required under specified conditions.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$2,947,749,000; FY 11 est \$2,468,054,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

2009: Range: \$13,986,101 - \$327,106,669; Average: \$55,599,618

2010: Range: \$14,023,601 - \$331,062,966; Average: \$55,743,849

2011: Range: \$11,562,580 - \$270,981,109; Average: \$46,278,386.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Witt, Office of Elementary and Secondary Education, Academic Improvement and Teacher Quality Programs, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: elizabeth.witt@ed.gov Phone: (202) 260-5585

**Website Address:**

<http://www.ed.gov/programs/teacherqual/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Inapplicable to SEAs and SAHes because the Department has approved consolidated State applications through the end of the authorization of the ESEA, and has no plans for requiring amendments. SAHes determine the criteria for making competitive awards to IHE-LEA partnerships. Contact the SAHE for additional information.

**84.368 GRANTS FOR ENHANCED ASSESSMENT INSTRUMENTS****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title VI, Part A, Subpart 1, Section 6112.

**OBJECTIVES:**

To enhance the quality of assessment instruments and systems used by States for measuring the achievement of all students. Funded projects must meet one or more of the following priorities: (1) improve the quality, validity, and reliability of State academic assessments; (2) measure student academic achievement using multiple measures of student academic achievement from multiple sources; (3) chart student progress over time; and (4) evaluate student academic achievement through the development of comprehensive academic assessment instruments, such as performance and technology-based academic assessments.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Successful applicants must use funds to carry out the activities described in their approved applications and in accordance with regulations.

**Applicant Eligibility:**

State educational agencies (SEAs) and/or consortia of SEAs are eligible to receive grants.

**Beneficiary Eligibility:**

State educational agencies (SEAs) and/or consortia of SEAs, local educational agencies and local schools will benefit.

**Credentials/Documentation:**

Applicants must prepare and submit applications in accordance with the application package, which includes instructions and guidance for completing and submitting an application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The applicant may work in collaboration with institutions of higher education, other research institutions or other organizations. An application from a consortium of SEAs must designate

one SEA as the fiscal agent. The designated SEA submits the application. The application package includes instructions and guidance on submitting an applications as well as a list of required documents and forms.

**Award Procedure:**

Funds are awarded on a competitive basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

No-cost extensions are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project period is up to 48 months. See the following for information on how assistance is awarded/released: Assistance is awarded through electronic transfer.

**Reports:**

Reports must be submitted in accordance with the terms of the award document. Cash reports are not applicable. Progress reports must be submitted in accordance with the terms of the award document. Expenditure reports must be submitted in accordance with the terms of the award document. Performance monitoring will be in accordance with the terms of the award document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Any additional audit requirements will be included in grant award documents.

**Records:**

Records must be maintained in accordance with EDGAR; requirements will be included in grant award documents.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$10,732,000; FY 11 est \$9,980,000; and FY 12 est \$20,000,000

**Range and Average of Financial Assistance:**

The average award is \$7,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: In 2011, funded a project to develop English language proficiency assessments. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicable regulations may be found at the Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 81, 82, 84, 85, 86, 97, 98, and 99. Other information may be found at the program website.

**Regional or Local Office:**

None.

**Headquarters Office:**

Collette Roney, Student Achievement and School Accountability Programs,



Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Collette.Roney@ed.gov Phone: (202) 401-5245.

**Website Address:**

<http://www.2.ed.gov/programs/eag/index.html>

**RELATED PROGRAMS:**

84.369 Grants for State Assessments and Related Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are included in the Notice Inviting Application, which is posted on the program website.

**84.369 GRANTS FOR STATE ASSESSMENTS AND RELATED ACTIVITIES**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title VI, Part A, Subpart I, Section 6111.

**OBJECTIVES:**

The purpose of this program is: (1) To support the development of the additional State assessments and standards required by Section 1111(b) of the Elementary and Secondary Education Act (ESEA), as amended; and (2) if a State has developed the assessments and standards required by Section 1111(b), then to support the administration of those assessments or to carry out other activities related to ensuring that the State's schools and local education agencies are held accountable for results.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

State educational agencies must use these funds to carry out the responsibilities described in Section 6111 of the ESEA. Funds may be used to support the development of the additional State assessments and standards required by Section 1111(b) of the ESEA or, if a State has developed the assessments and standards required by Section 1111(b), then to support the administration of those assessments or to carry out other activities related to ensuring that the State's schools and local educational agencies are held accountable for results.

**Applicant Eligibility:**

State educational agencies with either: (1) An approved consolidated application that includes an application for funds under Section 6111 or (2) an approved Title I Part A application that includes an application for funds under Section 6111.

**Beneficiary Eligibility:**

States and local educational agencies.

**Credentials/Documentation:**

This program is included for coverage under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States applying for Title I, Part A, funds under the consolidated application procedure must indicate Section 6111 on their list of "ESEA Programs included in the consolidated application" and must respond adequately to the single question asking them to identify how they will use Section 6111 funds. States applying for Title I, Part A, funds under an individual program application procedure must indicate Section 6111 on their cover sheet for this application and must respond adequately to the single question asking them to identify how they will use Section 6111 funds.

**Award Procedure:**

The Department will allocate funds to any State whose State application submission demonstrates that funds will be used for covered activities and that costs associated with those activities are reasonable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30-90 days.

**Appeals:**

If the Department disapproves a State's application for funds authorized by Section 6111, the State has the right to a hearing in accordance with Section 76.202 of the Education Department General Administrative Regulations (EDGAR).

**Renewals:**

States with approved applications will automatically receive grant awards for any year for which there is an appropriation for the program.

**Formula and Matching Requirements:**

Statutory Formula: Title VI, Part A, Subpart 1. Under Title VI, Part A, funds appropriated for State Assessment Grants are distributed to the States through a formula that is based on each State's relative share of the total population of children aged 5 through 17.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards of funds are available for obligation for a maximum of 27 months. They become available to the Department on July 1, and are awarded to States on or about that date. They remain available for obligation under the initial period of availability for 15 months (until September 30, of the following fiscal year). Under section 421(b) of the General Education Provisions Act, any funds that remain unobligated may be carried over for obligation for an additional 12 months. Funds for succeeding fiscal years, if appropriated, will follow a similar timeline. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR). States receive awards under this program are required to respond to any questions that the Department asks in its annual Consolidated State Performance Report survey. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All grantees must maintain and complete records in accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR).

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$400,000,000; FY 11 est \$379,970,536; and FY 12 est \$400,000,000

**Range and Average of Financial Assistance:**

FY2010 estimate: range of awards to States: \$3,338,296 - \$32,776,448; average award: \$7,615,385

FY 2011 range of awards to States: \$3,274,725-\$30,244-931; average

\$7,234,054

FY 2012 range of awards to States: \$3,274,725-\$30,244-931; average \$7,234,054.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provided funding to 52 States, the outlying areas, and the Bureau of Indian Education . Fiscal Year 2011: Provided funding to 52 States, the outlying areas, and the Bureau of Indian Education. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 76, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. 34 CFR Parts 200 and 300. Nonregulatory guidance concerning Title I, Part A assessment requirements is available at <http://www.ed.gov/admins/lead/account/saa.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carlos Martinez Office of Elementary and Secondary Education, Student Achievement and School Accountability Programs, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: [carlos.martinez@ed.gov](mailto:carlos.martinez@ed.gov) Phone: (202) 260-1440

**Website Address:**

<http://www2.ed.gov/program/gsa/index.html>

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies; 84.368 Grants for Enhances Assessment Instruments

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Development and implementation of the State assessments required under Title I of the Elementary and Secondary Education Act. Fiscal Year 2011: Development and implementation of the State assessments required under Title I of the Elementary and Secondary Education Act. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.370 DC SCHOOL CHOICE INCENTIVE PROGRAM**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Scholarships for Opportunity and Results (SOAR) Act, (Division C of Public Law 112-10, the Department of Defense and Full-Year Continuing Appropriations Act, 2011).

**OBJECTIVES:**

To provide low-income parents residing in the District of Columbia (District) with expanded options for the education of their children. This program is part of a broader school improvement effort in the District.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Department awarded one grant on a competitive basis to administer the scholarship program for new as well as current student participants. These scholarships of up to \$8,000 per student per school year for grades K-8 and \$12,000 per student per school year for grades 9-12 enable students to attend a participating nonpublic District elementary and secondary school of their choice and may be used to pay tuition and fees and transportation.

**Applicant Eligibility:**

An educational entity of the District of Columbia Government; a nonprofit organization; or a consortium of nonprofit organizations.

**Beneficiary Eligibility:**

To receive an award under this program, an applicant must ensure that a majority of the members of its voting board or governing organization are residents of the District of Columbia. The Secretary gives priority to

applications from eligible entities that will most effectively provide students and families with the widest range of educational options; to applications from eligible entities that will most effectively target resources to students and families who lack the financial resources to take advantage of available educational options; and to applications from eligible entities that will most effectively give priority to (A) eligible students who, in the school year preceding the school year in which the student would use the scholarship, attend an elementary or secondary school identified for improvement, corrective action, or restructuring under section 1116 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 6316); (B) students who have been awarded a scholarship in a preceding year under this division or the DC School Choice Incentive Act of 2003, as such Act was in effect on the day before the date of the enactment of this division, but who have not used the scholarship, including eligible students who were provided notification of selection for a scholarship for school year 2009-2010, which was later rescinded in accordance with direction from the Secretary of Education; and (C) students whose household includes a sibling or other child who is already participating in the program of the eligible entity under this division, regardless of whether such students have, in the past, been assigned as members of a control study group for the purposes of an evaluation.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to the regulations in 34 CFR Part 79. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicant must submit the following by the designated deadline: (1) The applicant must provide a written narrative, which addresses the selection criteria (and the required application content) that reviewers use in evaluating their applications. (2) Required forms to be submitted with the application include SF424; Sections A, B, and C of ED Form 524; Assurance - Non Construction Programs; Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Disclosure of Lobbying Activity; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions. (3) Applicants for grants under this program are required to submit applications electronically using the Electronic Grant Application System (e-Application) available through the Department's e-GRANTS system. Specific instructions for submitting applications electronically are included in the application notice.

**Award Procedure:**

The Department of Education awards this grant on a competitive basis. The program office notifies the successful applicant of the award, negotiates the final budget, and awards the grant. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to 12 months. Continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicants may apply for a project period of up to 12 months. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports are required for each budget period. Specific due dates are determined by the Department and forwarded to applicants accordingly. Final performance reports are due 90 days after expiration or termination of the award. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain financial records must be maintained for a period of 3 years.

**Account Identification:**

20-1817-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$13,200,000; FY 11 est \$15,469,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Average new awards: \$13,697,550.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department provided continuation funding to the grantee to support scholarships for current participants for school year 2010-2011.  
Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department will publish the Notice Inviting Applications (NIA) in the Federal Register. Contact the Program Office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeanne Gilroy Department of Education, Office of Innovation and Improvement, Parental Options and Information, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: jeanne.gilroy@ed.gov Phone: (202) 205-5482

**Website Address:**

<http://www.ed.gov/programs/dcchoice/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are contained in the NIA.

**84.371 STRIVING READERS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part E, Section 1502; FY 2010 Consolidated Appropriations Act, Public Law 111-117.

**OBJECTIVES:**

In fiscal years 2005-2009, the Striving Readers program supported competitive grants to implement and evaluate reading interventions for middle- or high-school students reading significantly below grade level. In fiscal year 2010, Congress included language in the Department of Education Appropriations Act that changed Striving Readers from an adolescent literacy program to a comprehensive literacy development and education program intended to advance the literacy skills, including pre-literacy skills, reading, and writing of students from birth through grade 12. The objective of the Striving Readers Adolescent Literacy program is to raise student achievement by improving the reading skills of middle and high school students who are reading below grade level. The objective of the Striving Readers Comprehensive Literacy program is to advance literacy skills, including pre-literacy skills, reading and writing for students from birth through grade 12, including limited-English-proficient students and students with disabilities.

**TYPES OF ASSISTANCE:**

Formula Grants; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Striving Readers Adolescent Literacy grantees must use their funds to carry out the activities described in their approved applications. Striving Readers programs include supplemental literacy intervention strategies targeted to students who are reading significantly below grade level; cross-disciplinary strategies for improving student literacy that may include professional development for subject matter teachers and use of research-based reading strategies in classrooms across subject areas; and a strong experimental evaluation component. Grant recipients, must, for example, use funds for reasonable costs needed to implement a supplemental literacy intervention, which may include additional staff time for extra periods of instruction, age-appropriate reading materials for struggling adolescent readers, assessment instruments, professional development opportunities for staff focused on literacy, and evaluation. Funds must be used in Title I-eligible public schools serving grades 6-12 with significant numbers of students reading below grade level. Striving Readers Comprehensive Literacy formula grantees must use these funds to carry out the activities described in their approved applications. Formula grant funds may be used for costs that are reasonable, necessary, and integral in creating or supporting a State Literacy Team with expertise in literacy development and education for children from birth to grade 12 to assist the state in developing a comprehensive literacy plan. Striving Readers Comprehensive Literacy competitive grantees must use these funds to create a comprehensive literacy program to advance literacy skills, including pre-literacy skills, reading and writing. These funds must be used for services and activities that have characteristics of effective literacy instruction through professional development, screening and assessment, targeted interventions for students reading below grade level and other research-based methods of improving classroom instruction and practices for all students.

**Applicant Eligibility:**

State and local educational agencies are eligible applicants.

**Beneficiary Eligibility:**

The Striving Readers Adolescent Literacy program benefits adolescent students (in grades 6-12) who are reading below grade level. The Striving Readers Comprehensive Literacy program benefits children and youth from birth through 12th grade.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must prepare and submit an application in accordance with the Application and Instructions published on the Striving Readers Comprehensive Literacy website at <http://www.ed.gov/programs/strivingreaders-literacy/index.html>. OMB required assurances and certifications include: Standard Forms 424B (Assurances for Non-Construction Programs), including the assurances relating to the legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; flood hazards; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and the general agreement to comply with all applicable Federal laws, executive orders and regulations; lobbying in Department Form 80-0013, Standard Form-LLL, Disclosure Form to Report Lobbying.

**Award Procedure:**

The Department of Education notifies successful applicants of awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the full application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to 5 years. Renewals are subject to the availability of appropriations and satisfactory progress.

**Formula and Matching Requirements:**

Statutory Formula: Applies only to the \$10 million in FY 2010 funds available for State Literacy Teams.

Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicants may apply for a project period of up to 5 years. Renewals are subject to the availability of appropriations and satisfactory progress. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual progress reports must be submitted at the end of the budget period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. No expenditure reports are required. Performance monitoring is included in the annual progress report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR) in 34 CFR 80. State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to EDGAR, Part 80.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$10,000,000; FY 11 est \$0; and FY 12 est \$0. (Project Grants) FY 10 \$180,500,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Formula grants: \$150,000 to \$841,329; Average: \$208,333  
Project (discretionary) grants: TBD.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), 34 CFR Parts 74, 74, 76, 77,79,80,81,82,85,86,97,98,and 99. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Miriam Lund, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Email: [miriam.lund@ed.gov](mailto:miriam.lund@ed.gov) Phone: (202) 401-2871.

**Website Address:**

<http://www.ed.gov/programs/strivingreaders/index.html>.

**RELATED PROGRAMS:**

84.213 Even Start\_State Educational Agencies; 84.359 Early Reading First

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria will be included in the application package. For additional information please visit the website  
<http://www.ed.gov/programs/strivingreaders-literacy/index.html>.

**84.372 STATEWIDE DATA SYSTEMS****FEDERAL AGENCY:**

Institute of Education Sciences, Department of Education

**AUTHORIZATION:**

Educational Technical Assistance Act of 2002, Title II, Section 208, Public Law 107-79.

**OBJECTIVES:**

These grants are intended to enable State educational agencies to design, develop, and implement statewide, longitudinal data systems to efficiently and accurately manage, analyze, disaggregate, and use individual student data, consistent with the Elementary and Secondary Education Act of 1965 and to facilitate analyses and research to improve student academic achievement and close achievement gaps.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may support salaries, travel, equipment, and supplies as required to carry out design and implementation efforts. Grant funds shall be used to supplement and not supplant other State or local funds used for developing State data systems.

**Applicant Eligibility:**

State educational agencies.

**Beneficiary Eligibility:**

State educational agencies, local educational agencies, non-profit and for-profit organizations, and individuals involved with education will benefit.

**Credentials/Documentation:**

Applicants for these data systems projects must present a plan and furnish evidence that the scientific competence, facilities, equipment, and supplies are appropriate to carry out the project. Applicants must ensure technical quality; provide for the generation of accurate data, and provide for the timely use of

such data needed by State and local educational agencies both to comply with the Elementary and Secondary Education Act of 1965 and to facilitate research to improve student academic achievement and close achievement gaps; and, meet voluntary standards and guidelines for linking individual student data. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must include: ED Form 424, "Application for Federal Assistance" and ED 524, "Budget Information Non-Construction Programs." Specific application and submission procedures, as well as additional information about the specific contents, page limits, and page formatting of applications, are provided in the individual Request for Applications found under "Funding Opportunities" at the Institute of Education Sciences web site: <http://ies.ed.gov/funding>.

**Award Procedure:**

All accepted applications competing for grants are reviewed for technical merit by panels of peer reviewers. Official notice of an approved application is made through issuance of a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately four to six months following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Recipients of multi-year grants must submit an annual performance report for each year funding has been approved. A review of the annual performance report is used to determine whether substantial progress has been made toward meeting the project objectives. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for one to three years. All grantee obligations shall be liquidated within 90 days following the end of the project period. Payments may be made according to a predetermined schedule or by way of reimbursement. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, financial reports and program reports must be submitted as required by grant terms and conditions. Cash reports are not applicable. Progress reports are required. Annual performance reports are required as part of the submittal of form ED 524B. Expenditure reports are required. Annual expenditure reports are required as part of the submittal of form ED 524B. Staff also monitor drawdowns using agency financial reports. Performance monitoring is required. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All expenditures by state governments will be audited by the grantee or at the grantee's direction with reasonable frequency, usually once a year but not less than once every two years. The Secretary of Education, the Director of the Institute, and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access, for the purpose of audit and examinations, to all applicable records and to any other pertinent books, documents, papers, and records of the grantee.

**Records:**

Each grantee will keep intact, and accessible, records relating to the receipt and expenditure of Federal funds and the expenditures of the grantee's contribution to the cost of the project, if any. Records will normally be retained for 3 years after the date of the submission of the final expenditure report, or for grants that are reviewed annually, 3 years after the date of the award.

**Account Identification:**

91-1100-0-1-503.

**Obligations:**

(Project Grants) FY 10 \$48,500,000; FY 11 est \$42,165,500; and FY 12 est \$100,000,000

**Range and Average of Financial Assistance:**

Estimated range of grants awarded in 2009: \$3,000,000 to \$9,000,000 for the entire grant period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 77, 80, 81, 82, 84, 85, 86 (part 86 applies only to institutions of higher education), 97, 98, and 99. In addition 34 CFR part 75 is applicable, except for the provisions in 34 CFR 75.100, 75.101(b), 75.102, 75.103, 75.105, 75.109(a), 75.200, 75.201, 75.209, 75.210, 75.211, 75.217, 75.219, 75.220, 75.221, 75.222, and 75.230. For more information, see specific Request for Applications available on Institute website <http://www.ed.gov/programs/edresearch/applicant.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tate Gould, Department of Education, IES, National Center for Education Statistics, 1990 K Street NW, Room 9023, Washington, District of Columbia 20006 Email: [tate.gould@ed.gov](mailto:tate.gould@ed.gov) Phone: (202) 219-7080.

**Website Address:**

<http://nces.ed.gov/programs/slds>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: See <http://nces.ed.gov/programs/slds/index.asp> for examples of funded projects. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications are contained in the Request for Applications that announces the competition. The Request for Applications is posted on the Funding Opportunities home page of the Institute web site: <http://ies.ed.gov/funding/>.

**84.373 SPECIAL EDUCATION TECHNICAL ASSISTANCE ON STATE DATA COLLECTION**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part B,

Sections 611(c) and 616(i), 20 U.S.C 1411.

**OBJECTIVES:**

To provide technical assistance, where needed, to improve the capacity of States to meet the data collection requirements of the IDEA.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

Public and private agencies and organizations, including for profit and non-profit agencies and organizations.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities benefit from this program.

**Credentials/Documentation:**

OMB Circulars A-21, A-122, and A-87 may apply to grantees under this program depending on the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by EDGAR, awards may be renewed annually for up to five years throughout the project period of the award if the recipient has made substantial progress in meeting the goals of the project, depending upon the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from 1 to 5 years. Renewals subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the grant award period. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the grantee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions. Generally records related to grant funds, compliance, and performance must be maintained for a period of 3 years from the date the grantee submits its final expenditure report for the funding period. 34 CFR 80.42.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$25,000,000; FY 11 est \$25,000,000; and FY 12 est \$25,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: New Projects Funded: 2. Fiscal Year 2011: Est. New Projects Funded: 0. Fiscal Year 2012: Est. New Projects Funded: 2.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 300; 34 CFR Parts 74, 75, 76, 77, 79, 80, 81, 82, 85, and 86. (EDGAR).

**Regional or Local Office:**

None.

**Headquarters Office:**

David Egnor, Department of Education, OSERS Office of Special Education Programs, 400 Maryland Ave., SW, Washington, District of Columbia 20202  
Email: david.egnor@ed.gov Phone: (202) 245-7334.

**Website Address:**

<http://http/www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Design and Development of a Dynamic Learning Maps Alternate Assessment System; National Center and State Collaborative General Supervision Enhancement Grant; Technical Assistance on State Data Collection. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.374 TEACHER INCENTIVE FUND**

(TIF)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Department of Education Appropriations Acts for Fiscal Years 2006-2010, Title V, Part D, Subpart 1.

**OBJECTIVES:**

To support programs that develop and implement performance-based compensation systems for teachers, principals, and other personnel in high-need schools. These compensation systems must consider growth in student academic achievement as well as classroom evaluations conducted multiple times during each school year, among other factors, and provide educators with incentives to take on additional responsibilities and leadership roles.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Successful applicants must use these funds to carry out the activities described in their approved applications. Grantees may use the funds to develop and implement performance-based compensation systems, including incentives to take on individual responsibilities and leadership roles. Grantees also may use these funds to develop or improve systems and tools (which may be developed and used for the entire local educational agency) that would enhance the quality and success of the compensation system, such as high-quality teacher evaluations and tools to measure growth in student achievement.

**Applicant Eligibility:**

Eligible applicants are local educational agencies (LEAs), including charter schools that are LEAs in their State, State educational agencies (SEAs), or partnerships of (1) an LEA, an SEA, or both, and (2) at least one non-profit organization.

**Beneficiary Eligibility:**

SEAs, LEAs, non-profit organizations, and students, teachers, principals, and other school personnel in an LEA's high-need schools benefit from the program.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to LEA and SEA grantees under the TIF program. OMB Circular A-122 applies to grantees that are non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must prepare and submit applications in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the U.S. Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, the competitive priority (if applicable) included in the application notice, and includes all required assurances and signatures. Required assurances and certifications include: Assurances for Non-Construction programs (SF 422B); Certification regarding Lobbying, Disbarment; Suspension and other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80-00013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF 424); the required Budget Form (ED Form 524); an itemized budget and other budget information; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit one original and two copies of the application.

**Award Procedure:**

If an applicant is successful, the Department of Education will notify the applicant's U.S. Representative and U.S. Senators and will send the successful applicant a Grant Award Notification (GAN). The Department of Education may also notify successful applicants informally.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to five years. Renewals are subject to the availability of funds and a grantee's satisfactory progress.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Contact program office.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicants may apply for a project period of up to 5 years. Renewals are subject to the availability of funds and a grantee's satisfactory progress. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports must be submitted for each budget period in order to receive continuation awards. Final performance reports and the final evaluation report must be submitted after the end of the grant period. Annual performance reports must be submitted for each budget period in order to receive continuation awards. Final performance reports and the final evaluation report must be submitted after the end of the grant period. Annual performance reports must be submitted for each budget period in order to receive continuation awards. Final performance reports and the final evaluation report must be submitted after the end of the grant period. Annual performance reports must be submitted for each budget period in order to receive continuation awards. Final performance reports and the final evaluation report must be submitted after the end of the grant period. Annual performance reports must be submitted for each budget period in order to receive continuation awards. Final performance reports and the final evaluation report must be submitted after the end of the grant period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As provided in 34 CFR 80.42, and 74.53, SEAs, LEAs and non-profit organizations must maintain program records for 3 years from the date those agencies submit to the awarding agency its single or last expenditure report for the period for which it received the funds. A longer retention period is required under specified conditions.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$400,000,000; FY 11 est \$399,200,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY 10 range: \$165,826 to \$21,269,125

FY 10 average: \$4,046,204.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 81, 82, 84, 85, 97, 98, and 99. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

April Bolton-Smith Office of Elementary and Secondary Education,  
Department of Education, 400 Maryland Ave., S.W., Washington, District of  
Columbia 20202 Email: april.bolton-smith@ed.gov Phone: (202) 260-1475

**Website Address:**

<http://www2.ed.gov/programs/teacherincentive/index.html>

**RELATED PROGRAMS:**

84.385 Teacher Incentive Fund, Recovery Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of funded projects are on the Departments  
website, at: <http://www2.ed.gov/programs/teacherincentive/apps/index.html>.  
Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current  
Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are in full application package and published in the  
Federal Register notice inviting applications. Contact the program office for  
more information.

**84.375 ACADEMIC COMPETITIVENESS GRANTS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Executive Order Title IV, Part A,  
Subpart 1, Section 401A.

**OBJECTIVES:**

To provide eligible first and second-year full-time undergraduates who have  
completed a rigorous course of study in high school with need-based grant  
assistance to help meet educational expenses.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The student must be a U.S. citizen who has been accepted for enrollment in,  
and is making satisfactory progress at an eligible institution of higher education.

Eligible schools may be public or private non-profit institutions of higher  
education (such as colleges, universities, vocational technical schools, hospital  
schools of nursing), and for-profit institutions (proprietary). Eligible males who  
are at least 18 years or older and born after December 31, 1959, can receive aid  
only if they have registered with the Selective Service. Graduate students and  
students who have already earned a bachelor's degree are not eligible for  
assistance. Recipients must demonstrate need according to Part F of the Higher  
Education Act of 1965, as amended, and must be eligible for a Federal Pell  
Grant.

**Applicant Eligibility:**

Undergraduate students enrolled as full-time regular students in an eligible  
program at an eligible institution of higher education and making satisfactory  
academic progress. Applicants must be U.S. citizens and have a high school  
diploma, a GED, or demonstrate the ability to benefit from the program of  
study offered.

**Beneficiary Eligibility:**

First- and second- year undergraduate students who are U.S citizens and are  
eligible to receive a Federal Pell Grant. Students must be full-time regular  
students in an eligible program at an eligible institution of higher education and  
making satisfactory academic progress. A first-year undergraduate must also  
be a first-time undergraduate, enrolled or accepted for enrollment in a 2- or  
4-year degree-granting institution, and have completed, after January 1, 2006, a  
rigorous secondary school program. A second-year undergraduate at such an  
institution must have completed such a rigorous program after January 1, 2005,  
and have obtained a cumulative grade-point-average (GPA) of at least 3.0 in the  
first academic year as an undergraduate. In addition, students must sign a  
statement of educational purpose, not owe a refund on a Title IV grant, and not  
be in default on a Title IV loan. Eligible males that are at least 18 years old and  
born after December 31, 1950, can receive aid only if they have registered with

the Selective Service.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from  
coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is  
not required for this program. This program is excluded from coverage under  
E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This  
program is excluded from coverage under OMB Circular No. A-110. Student  
completes a "Free Application for Federal Student Aid" and submits it to the  
agency specified on the form. Students may apply using a paper application, an  
electronic application, or via the Internet. The Department of Education  
calculates the student's eligibility for assistance and the agency to which the  
student sent the application returns a notification to the student of his or her  
eligibility for assistance. The student submits this notification to the institution  
of his or her choice in order to have his or her award calculated.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The  
institution that the student attends calculates and disburses the Academic  
Competitiveness Grants, using a payment schedule developed by the  
Department of Education that determines the amount of the award based on the  
amount of available funding and the estimated number of recipients.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

Approximately 2 to 4 weeks.

**Appeals:**

An institution, on the basis of supplemental documentation, may rule that an  
applicant is self-supporting, even though under the standard criteria, the  
applicant would normally be considered financially dependent on his or her  
parents. An institution may adjust on a case-by-case basis a student's data  
elements used to calculate his or her EFC and cost of attendance due to unusual  
circumstances documented by the institution.

**Renewals:**

Students who have applied in the previous award year may be eligible to  
complete a paper or electronic renewal application that contains preprinted  
student data and requires students only to update certain information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Students are limited to one Academic Competitiveness Grant during any award  
year (July 1 through June 30). Funds for these grants are usually disbursed at  
least twice during an award year. Students may only receive an Academic  
Competitiveness Grant until they have received a bachelor's degree. See the  
following for information on how assistance is awarded/released: Electronic  
transfer.

**Reports:**

Institutions will be required to furnish reports periodically on the disbursement  
of funds, as well as furnish any other reports the Secretary requires. No reports  
are required of students. Cash reports are not applicable. Progress reports are  
not applicable. Expenditure reports are not applicable. Performance monitoring  
is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133.  
Annual audits will be made.

**Records:**

All records pertaining to the eligibility of each Academic Competitiveness



Grant recipient and all fiscal management records must be maintained by the institution for a period of 3 years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0205-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$700,454,577; FY 11 est \$592,066,696; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Grants are up to \$750 for first-year students and up to \$1,300 for second-year students. In combination with other Federal student aid, awards may not exceed a student's cost of education. FY 10 the estimated average grant is \$697.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: Estimated 0 recipients.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Student Aid Information Center, Office of Postsecondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243.

**Website Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.037 Perkins Loan Cancellations; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership; 84.376 National Science and Mathematics Access to Retain Talent (SMART) Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.376 NATIONAL SCIENCE AND MATHEMATICS ACCESS TO RETAIN TALENT (SMART) GRANTS**

(SMART Grants)

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended., Executive Order Title IV, Part A, Subpart 1, Section 401A.

**OBJECTIVES:**

To provide eligible third- and fourth-year full-time undergraduates who major in certain designated technical fields or foreign languages with need-based grant assistance to help meet educational expenses.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The student must be a U.S. citizen who has been accepted for enrollment in, and is making satisfactory progress at an eligible institution of higher education.

Eligible schools may be public or private nonprofit institutions of higher education (such as colleges, universities, vocational technical schools, hospital schools of nursing), and for-profit institutions (proprietary). Eligible males who are at least 18 years or older and born after December 31, 1959, can receive aid

only if they have registered with the Selective Service. Graduate students and students who have already earned a bachelor's degree are not eligible for assistance. Recipients must demonstrate need according to Part F of the Higher Education Act of 1965, as amended, and must be eligible for a Federal Pell Grant.

**Applicant Eligibility:**

Undergraduate students enrolled as full-time regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. Applicants must be U.S. citizens and have a high school diploma, a GED, or demonstrate the ability to benefit from the program of study offered.

**Beneficiary Eligibility:**

Third- and fourth-year undergraduate students who are U.S. citizens and are eligible to receive a Federal Pell Grant. Students must be full-time regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. Students are required to pursue a major in physical, life, or computer sciences, mathematics, technology, engineering or a critical foreign language, and obtain a cumulative GPA of at least 3.0 in the coursework required for the major being pursued. In addition, students must sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Student completes a "Free Application for Federal Student Aid" and submits it to the agency specified on the form. Students may apply using a paper application, an electronic application, or via the Internet. The Department of Education calculates the student's eligibility for assistance and the agency to which the student sent the application returns a notification to the student of his or her eligibility for assistance. The student submits this notification to the institution of his or her choice in order to have his or her award calculated.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends calculates and disburses the SMART Grants, using a payment schedule developed by the Department of Education that determines the amount of the award based on the amount of available funding and the estimated number of recipients.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 2 to 4 weeks.

**Appeals:**

An institution, on the basis of supplemental documentation, may rule that an applicant is self-supporting, even though under the standard criteria, the applicant would normally be considered financially dependent on his or her parents. An institution may adjust on a case-by-case basis a student's data elements used to calculate his or her EFC and cost of attendance due to unusual circumstances documented by the institution.

**Renewals:**

Students who have applied in the previous award year may be eligible to complete a paper or electronic renewal application that contains preprinted student data and requires students only to update certain information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Students are limited to one SMART Grant during any award year (July 1 through June 30). Funds for these grants are usually disbursed at least twice during an award year. Students may only receive a SMART Grant until they have received a bachelor's degree. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions will be required to furnish reports periodically on the disbursement of funds, as well as furnish any other reports the Department requires. No reports are required of students. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual audits will be made.

**Records:**

All records pertaining to the eligibility of each SMART Grant recipient and all fiscal management records must be maintained by the institution for a period of 3 years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0205-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$453,230,380; FY 11 est \$481,426,867; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Grants are up to \$4,000 for third- and fourth-year students. In combination with other Federal student aid, awards may not exceed a student's cost of education. For FY 10 the estimated average grant is \$2,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: Estimated 0 recipients.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the program office for more information.

**Regional or Local Office:**

None. Federal Student Aid Information Center. Telephone: (1-800) 433-3243. Regional Director, Federal Student Aid, the Director of Financial Aid at the institution the student wishes to attend, high school guidance counselors, or directors of State agencies.

**Headquarters Office:**

Federal Student Aid Information Center, Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243.

**Website Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.037 Perkins Loan Cancellations; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership; 84.375 Academic Competitiveness Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.377 SCHOOL IMPROVEMENT GRANTS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Executive Order Section 1003(g), 115 Stat. 1442, 20 U.S.C 6303(g).

**OBJECTIVES:**

To support competitive subgrants to local educational agencies (LEAs) that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to raise substantially the achievement of students in their lowest-performing schools. In general, SEAs must give priority to LEAs with Title I-eligible schools ranked in the bottom five percent of such schools, based on student achievement and lack of progress in improving student achievement, as well as secondary schools with a graduation rate below 60 percent over a number of years. LEAs seeking funding to serve such schools must implement one of four school intervention models: turnaround model, restart model, school closure, or transformation model.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

A State educational agency (SEA) must allocate at least 95 percent of the amount of the funds it receives directly to LEAs, primarily to implement specified school intervention models in Title I-eligible schools ranked in the bottom five percent of such schools, based on student achievement and lack of progress in improving student achievement, as well as secondary schools with a graduation rate below 60 percent over a number of years. An SEA may retain up to 5 percent of the grant amount received for administration, evaluation, and technical assistance expenses. At the LEA level, these funds may be used for any reasonable costs associated with implementing required school intervention models, or with carrying out school improvement, corrective action, or restructuring activities described in Section 1116(b).

**Applicant Eligibility:**

SEAs with approved State plan amendments are eligible to receive funds.

**Beneficiary Eligibility:**

To be eligible to receive Title I School Improvement Grant funds, an LEA must have one or more schools identified for school improvement, corrective action, or restructuring under Section 1116(b) of Title I.

**Credentials/Documentation:**

OMB Circular A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Pursuant to Section 76.140 of the Education Department General Administrative Regulations, the U.S. Department of Education (ED) is requiring States to implement application. ED has issued guidance and an electronic application for this program, which may be found at <http://www2.ed.gov/programs/sif/index.html>.

**Award Procedure:**

The Department will allocate funds to any State that submits an application meeting the Department's application requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

In programs administered by ED, Section 432 of the General Education Provisions Act provides LEAs with a right of appeal when there are

disagreements between State and local educational agencies, including disagreements over funding decisions. Where an LEA alleges that the denial of funding is a violation of State or Federal law, rules, regulations, or guidelines governing the applicable program, it may, within 30 days, request a hearing from the SEA. Once the hearing is held and the SEA issues its written ruling, the LEA may appeal a negative ruling to the Secretary.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Under ESEA, ED allocates section 1003(g) School Improvement funds to States through a formula that is based on each State's proportionate share of funds received under ESEA Title I, Part A (Grants to LEAs), Part C (Migrant Education program), and Part D, Subpart 1 (State Agency Neglected and Delinquent program).

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Title I School Improvement funds are available for obligation by State and local educational agencies for 27 months after funds become available on July 1. Funds become available to the Department on July 1, and will be allocated to States on or after that date. They remain available for obligation by LEA under the initial period of availability for 15 months. Under section 421(b) of the General Education Provisions Act, any funds that remain unobligated may be carried over for obligation for an additional 12 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Grantees must submit program performance information through their annual Consolidated State Performance Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with EDGAR in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

All grantees must maintain and complete records as provided in EDGAR.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$545,633,000; FY 11 est \$534,562,000; and FY 12 est \$600,000,000

**Range and Average of Financial Assistance:**

Fiscal Year 2010: Range: \$1,216,459 - \$69,095,854. Average: \$10,394,547.

Fiscal Year 2011 (est): Range: \$1,198,080 - \$63,001,800. Average: \$10,183,641.

Fiscal Year 2012 (est): Range: \$1,351,217 - \$67,160,664. Average: \$11,427,028.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ED is in the process of issuing guidance and instructions for States to use in

applying for these funds.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carlas McCauley, 400 Maryland Avenue, SW, 3C116, Washington, District of Columbia 20202 Email: carlas.mccauley@ed.gov Phone: (202) 260-0824.

**Website Address:**

<http://www.ed.gov/oese> .

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.378 COLLEGE ACCESS CHALLENGE GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VII, Part E, Section 781, 20 U.S.C. 1141.

**OBJECTIVES:**

To foster partnerships among federal, State and local government entities and philanthropic organizations through matching challenge grants aimed at increasing the number of underrepresented students who enter and remain in postsecondary education.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States or philanthropic organizations (if a State does not meet the program's matching requirements) use funds to implement services and activities needed to achieve the goals and objectives of the program. The services and activities authorized in the statute include: providing information to students and families regarding the benefits of, opportunities for, postsecondary education. Providing information to students and families regarding planning for postsecondary education, including educating them about financing options. Providing information to students and parents regarding career preparation; assisting students in completing FAFSA; engaging outreach activities for students at risk of not enrolling in or completing postsecondary education; offering professional development for middle and secondary school guidance counselors, and college admissions counselors and financial administrators; providing need based grant aid; repaying student loans or lower interest rates; and offering tutoring/mentoring services, and other support services. A grantee may use not more than 6 percent of the total amount of the sum of the federal share provided and nonfederal share required for administrative purposes.

**Applicant Eligibility:**

An eligible applicant is the State agency with jurisdiction over higher education, or another agency designated by the Governor of the State. The Secretary may award funds to philanthropic organizations in cases where the State fails to meet program requirements.

**Beneficiary Eligibility:**

The authorized beneficiaries are underrepresented students and families.

**Credentials/Documentation:**

States or philanthropic organizations (if a State does not meet program's matching requirements) must submit an application containing a description of its capacity to administer and report on grant activities and services, a plan for using grant funds to meet program requirements, including any special efforts the grantee will undertake to benefit underrepresented students. The grantee will also describe how the nonfederal share will be provided, as well as the structure the state has in place to administer the activities and services. The governor of a state must designate in writing which State agency is authorized to administer the grant. A letter from the governor (on letterhead, signed and

dated) must be included in the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each State must submit an application covering a 2-year period to the Department of Education.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and regulatory requirements. An allotment is awarded to States or philanthropic organizations if the Assistant Secretary determines the application meets necessary requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The estimated range of time need to approve/disapprove an application is usually three months after the deadline for submission.

**Appeals:**

Not Applicable.

**Renewals:**

State applications are amended as needed.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Funds are awarded on a formula basis to States (or philanthropic organizations if a State does not meet program's requirement). Allotments are based on the relative number of persons between the ages of 5 and 17 and 15 and 44 living below the poverty line. Poverty status data for participating States will be obtained from the Census Bureau. The minimum allotment for each State for a fiscal year cannot be an amount that is less than 1 percent of the total amount appropriated for the program. The statute requires a nonfederal matching contribution of not less than 1/3 of the costs of the project activities and services. This may be provided through in-kind and/or cash contributions.

This program has MOE requirements, see funding agency for further details. In order to receive a CACG grant, States must meet the MOE requirement in Section 137 of the Higher Education Act, as amended. See funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are made for up to two years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

States or philanthropic organizations (if a State does not meet program requirements) administering the grant must submit an annual performance report. The report must include: each activity or service that was provided to students and families over the course of the year; the cost of providing each activity or service; and the total contributions from private organizations included as nonfederal share for the fiscal year. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for three years after the completion of

activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Formula Grants) FY 10 \$145,464,700; FY 11 est \$150,000,000; and FY 12 est \$150,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of the formula grant program is governed by the statute and EDGAR (34 CFR 76, 77, 79, 80, 81, 82 and 85).

**Regional or Local Office:**

None.

**Headquarters Office:**

Karmon Simms-Coates, Department of Education, Office of Postsecondary Education, College Access Challenge Grant Program, 1990 K Street, NW, 6th Floor, Washington, District of Columbia 20006-8524 Email: karmon.simms-coates@ed.gov Phone: (202) 502-7807.

**Website Address:**

<http://www.ed.gov/programs/cacg/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

State will receive funding based on the submission of an approvable application. The application must present a viable plan to achieve goals and objectives and also comply with statutory and regulatory requirements.

**84.379 TEACHER EDUCATION ASSISTANCE FOR COLLEGE AND HIGHER EDUCATION GRANTS (TEACH GRANTS)**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Subpart 9, Title VI, Part A.

**OBJECTIVES:**

To provide annual grants of up to \$4,000 to eligible undergraduate and graduate students who agree to teach specified high-need subjects at schools serving primarily disadvantaged populations for four years within eight years of graduation. For students who do not fulfill their service requirements, grants convert to Direct Unsubsidized Stafford Loans with interest accrued from the date of award.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Undergraduate and graduate students completing coursework or other requirements necessary to begin a career in teaching. Students must attend an institution of higher education that provides high-quality teacher preparation and professional development services; is financially sound; provides, or assists in the provision, of pedagogical coursework; and provides, or assists in the provision, of supervision and support services to teachers.

**Applicant Eligibility:**

Undergraduate and graduate students completing coursework or other requirements necessary to begin a career in teaching. Students must attend an institution of higher education that provides high-quality teacher preparation

and professional development services; is financially sound; provides, or assists in the provision, of pedagogical coursework; and provides, or assists in the provision, of supervision and support services to teachers.

**Beneficiary Eligibility:**

This program was created by the College Cost Reduction and Access Act of 2007, Public Law 110-84; it began operation on July 1, 2008. Students must have a grade-point-average (GPA) comparable to a 3.25 on a scale of zero to 4.0, except that, if the student is in the first year of undergraduate education, the grade point average is determined based on the student's cumulative secondary school grade point average. A student applying for a grant to obtain a graduate degree must be a teacher or a retiree from another occupation with expertise in a field in which there is a shortage of teachers; grants for graduate education may also be obtained by a student who is or was a teacher who is pursuing high-quality alternative certification. In addition, students must sign an agreement to serve as a full-time teacher for not less than four years within eight years of completing the course of study for which they received a TEACH Grant. Service must be performed at a school serving a primarily disadvantaged population and must be in one of the following fields: mathematics, science, a foreign language, bilingual education, special education, as a reading specialist, or in another field documented as high-need. Students must also agree to provide evidence of qualifying employment upon completion of each year of service. Failure to complete the service requirements results in the student's TEACH Grants being treated as Federal Direct Unsubsidized Stafford Loans, with interest accrued from the date of award. Students must also sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Students must complete a FAFSA, complete an agreement to serve and submit it to the Department of Education.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends disburses the TEACH Grants based on the enrollment status of the student.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 2 to 4 weeks.

**Appeals:**

To be determined in regulation.

**Renewals:**

Students who have applied in the previous award year must continue to meet all eligibility requirements and reaffirm their intention to fulfill the service requirements before obtaining subsequent grants.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Students are limited to one TEACH Grant during an academic year. Funds for these grants will likely be disbursed at least twice during an academic year. See the following for information on how assistance is awarded/released:

Electronic transfer.

**Reports:**

Institutions will be required to furnish reports periodically on the disbursement of funds, as well as furnish any other reports the Secretary requires. Students must affirm each year that they intend to fulfill their service requirements and submit a certification for each year of required service. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual audits will be made.

**Records:**

All records pertaining to the eligibility of each TEACH Grant recipient and all fiscal management records must be maintained by the institution for a period of three years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0206-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$107,923,000; FY 11 est \$136,951,000; and FY 12 est \$154,070,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Funding will support awards to approximately 42,000 students. Fiscal Year 2011: Funding will support awards to approximately 37,000 students. Fiscal Year 2012: Funding will support awards to approximately 47,000 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Student Aid Information Center, Federal Student Aid, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Phone: (800) 433-3243.

**Website Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.037 Perkins Loan Cancellations; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership; 84.375 Academic Competitiveness Grants; 84.376 National Science and Mathematics Access to Retain Talent (SMART) Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.380 SPECIAL EDUCATION -- OLYMPIC EDUCATION PROGRAMS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Special Olympic Sports and Empowerment Act, Section 3(a), 42 U.S.C 15001.

**OBJECTIVES:**

This program promotes the expansion of Special Olympics and the design and

implementation of Special Olympics education programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for: (1) Activities to promote the expansion of Special Olympics, including activities to increase the participation of individuals with intellectual disabilities within the United States and (2) The design and implementation of Special Olympics education programs, including character education and volunteer programs that support the purposes of this Act, that can be integrated into classroom instruction and are consistent with academic content standards.

**Applicant Eligibility:**

Special Olympics is the only eligible recipient of funds.

**Beneficiary Eligibility:**

Individuals with intellectual disabilities.

**Credentials/Documentation:**

OMB Circular No. A-122 applies. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Special Olympics shall submit an application at such time, in such manner, and containing such information as the Department may require.

**Award Procedure:**

Applications will be reviewed by the Department.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award depending on the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years subject to availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the grant award period. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions. Generally records related to grant funds, compliance, and performance must be maintained for a period of 3 years from the date the grantee submits its final expenditure report for the funding period. 34 CFR 80.42.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$8,095,000; FY 11 est \$8,078,810; and FY 12 est \$8,095,000

**Range and Average of Financial Assistance:**

One award for \$8,078,810 in FY 11.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 300; 34 CFR Parts 74, 75, 76, 77, 79, 80, 81, 82, 85, and 86. (EDGAR).

**Regional or Local Office:**

None.

**Headquarters Office:**

Terry Jackson, Department of Education, OSERS Office of Special Education Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Email: terry.jackson@ed.gov Phone: (202) 245-6039.

**Website Address:**

<http://www2.ed.gov/programs/osepoly/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Project UNIFY, a national youth sports demonstration program, is the major activity funded by this program. Approximately 150,000 individuals participated in 40 projects nationwide. Fiscal Year 2011: Project UNIFY, a national youth sports demonstration program, is the major activity funded by this program. Approximately 150,000 individuals participated in 40 projects nationwide. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.381 BACCALAUREATE DEGREES IN SCIENCE, TECHNOLOGY, ENGINEERING, MATHEMATICS, AND CRITICAL FOREIGN LANGUAGES AND MASTER'S DEGREES IN SCIENCE, TECHNOLOGY, ENGINEERING, MATHEMATICS, AND CRITICAL FOREIGN LANGUAGES**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science Act, 2007, Sections 6113 and 6114; Public Law 110-69 (America COMPETES Act of 2007), TITLE VI Education, Subtitle A Teacher Assistance, PART I Teachers For A Competitive Tomorrow.

**OBJECTIVES:**

Teachers for a Competitive Tomorrow: Programs for Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, or Critical Foreign Languages with Concurrent Teacher Certification (TCT-B): To award grants to develop and implement programs that provide courses of study in science, technology, engineering, mathematics, or critical foreign languages (STEM or CFL) that are integrated with teacher education and lead to a baccalaureate degree with concurrent teacher certification in one of the specified content fields.

Teachers for a Competitive Tomorrow: Programs for Masters Degrees in Science, Technology, Engineering, Mathematics, or Critical Foreign Language Education (TCT-M): To award grants to develop and implement programs that provide courses of study in science, technology, engineering, mathematics, or critical foreign languages (STEM or CFL) that are integrated with teacher education and lead to a masters degree for teachers in one of the specified content fields, or masters degree in teaching (that results in teacher education) for current STEM or CFL professionals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To plan, develop, and carry out allowable activities that will increase the number of teachers receiving baccalaureate or master's degrees and being certified in the areas of science, technology, engineering, mathematics and critical foreign languages.

TCT-B grants are designed to enable grantees to develop and implement programs to provide courses of study in science, technology, engineering, and mathematics (STEM) fields or critical foreign languages that are integrated with teacher education. Graduates of these programs will receive baccalaureate degrees in STEM fields or critical foreign languages, concurrent with teacher certification. There is an absolute priority for projects to focus primarily on placing graduates in high-need schools. Required uses of funds include providing students with quality clinical experiences, offering training in the use and integration of educational technology, and providing graduates with ongoing activities and services.

TCT-M projects offer a masters degree in the designated content areas to current teachers and to enable professionals in these fields to pursue a one-year masters degree that leads to teacher certification. There is an absolute priority for projects to focus primarily on placing graduates in high-need schools. Grant requirements include preparing teachers who can assume a leadership role in their schools; encouraging participation of underrepresented groups, members of the Armed Forces, and teachers teaching in high-need schools; and creating opportunities for enhanced and ongoing professional development.

**Applicant Eligibility:**

Institutions of higher education (IHEs) (as defined under section 101(a) of the Higher Education Act of 1965, as amended) that receive a grant on behalf of a department of science, technology, engineering, mathematics, or a critical foreign language, or on behalf of a department or school that offers a competency-based degree program (in science, technology, engineering, mathematics, or a critical foreign language) that includes teacher certification.

**Beneficiary Eligibility:**

Undergraduate students pursuing a baccalaureate degree in science, technology, engineering, mathematics, or critical foreign language, with concurrent teacher certification (TCT-B).;

Teachers in high-need schools pursuing a 2- or 3-year part-time masters degree program in science, technology, engineering, mathematics, or critical foreign language education (TCT-M); and

Professionals in science, technology, engineering, mathematics, or critical foreign language pursuing a masters degree in teaching that results in teacher certification (TCT-M).

**Credentials/Documentation:**

Potential grantees must electronically submit an application responding to the selection criteria for the program adhering to specific formatting requirements. Applicants must describe in detail how the grant will be administered as well as how the grant activities will produce highly qualified teachers in the specified content areas. This program is excluded from coverage under OMB Circular No. A-87. However, OMB Circular A-21 and A-110 apply to the TCT-B and TCT-M programs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each institution must submit an application covering up to five years of program implementation. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. An application package is available from the Office of Higher Education Programs. Copies are available on the TCT web page and will also be mailed upon request.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and regulatory requirements. Awards will be made in rank order to those institutions scored highest by a panel(s) of peer reviewers (composed of representatives from public and private higher education, and State, and local education agencies having expertise in elementary, secondary, and higher education).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

An applicant is notified of award status within 4 months of the deadline of submission of applications for the TCT-B and TCT-M competitions.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The TCT-B and TCT-M programs have a 50. percent (of the Federal dollar amount award)% .required match from cash and/or in-kind contributions from non-Federal sources. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be made for up to 5 years subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees are required to submit an annual performance report on or about May 15 of each fiscal year so that the Department may determine whether substantial progress was made and a continuation award is merited. A final report is required upon termination of funding. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are applicable, since the TCT grantees report annually on their line-item expenditures for a year relative to the proposed budgets. The annual expenditures and budgets are required to be reported as part of the submittal of form ED 524B. TCT staff also monitor grants drawdowns using the Department financial reports, Grants Administration and Payment System (GAPS), and G5 system. As stated in Public Law 110-69, Title VI, Subtitle A, PART I, Sec. 6113(e) Annual Report (for TCT-B grantees) and Sec. 6114(d) EVALUATION and REPORT (for TCT-M grantees), because of the annual reporting (to the Dept. of Education) reporting requirements, performance monitoring is thereby applicable to both the TCT Baccalaureate (TCT-B) and Masters (TCT-M) Degrees programs. Grantees must submit annual reports on specific performance measures, and report actual outcomes relative to pre-established targets on the given measures. These reports are reviewed by the TCT program office to determine if grantees have achieved their expected outcomes, and are progressing sufficiently with their funded grant to merit continuation of Federal funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for three years after the completion of activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$2,184,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Fiscal Year 2010: For TCT-B, the average award was \$218,400. For TCT-M, only one grant of \$1,001,227 for five years was awarded.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Department received 6 applications for funding under the TCT-M program competition and made 1 new award. Under the TCT-B program, the Department made 5 continuation awards. Fiscal Year 2011: No funds were appropriated for this program. Fiscal Year 2012: The Department does not anticipate receiving an appropriation for this program in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title VI of the America COMPETES Act governs the administration of the discretionary grant program, as well as and Education Department General Administrative Regulations (EDGAR).

34 CFR parts 74, 75, 77, 79, 80, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Davis, Department of Education, Office of Postsecondary Education, 1900 K Street NW, Room 6109, Washington, District of Columbia 20006  
Email: james.davis@ed.gov Phone: (202) 502-7802.

**Website Address:**

www.ed.gov/programs/tct.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The TCT-M FY 10 competition awarded grants to institutions of higher education to support the development and implementation of programs providing a two- or three-year masters degree program in science, technology, engineering, mathematics, or critical foreign language education for teachers in order to enhance their content knowledge and teaching skills and/or programs for professionals in science, technology, engineering, mathematics, or a critical foreign language that lead to a one-year masters degree in teaching that results in teacher certification. The TCT-B program did not hold a competition in FY 10 and provided continuation funding for 5 grants to institutions of higher education to support undergraduate programs for students pursuing baccalaureate degrees in mathematics, science, or critical foreign languages with concurrent teacher certification. Fiscal Year 2011: Program did not receive funding. Fiscal Year 2012: Department does not expect program to be funded.

**CRITERIA FOR SELECTING PROPOSALS:**

TCT-B grants: The Secretary evaluates an application on the basis of the criteria drawn from Section 6113 of the authorizing statute and from the broad criteria in 34 CFR Part 75, sections 75.209(a) and 75.210 of the Education Department General Administrative Regulations (EDGAR).

TCT-M grants: The Secretary evaluates an application on the basis of the criteria drawn from Section 6114 of the authorizing statute and from the broad

criteria in 34 CFR Part 75, sections 75.209(a) and 75.210 of the Education Department General Administrative Regulations (EDGAR).

**84.382 STRENGTHENING MINORITY-SERVING INSTITUTIONS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Title III, Part F, Section 371(b)(2)(c)(ii), 371(b)(2)(D)(iii), and 371(b)(2)(D)(iv); Title VIII, Part AA, Section 897; Higher Education Act of 1965, as amended.

**OBJECTIVES:**

To strengthen Predominantly Black Institutions (PBI); Asian American and Native American Pacific Islander-Serving Institutions (AANAPISI); and Native American-Serving Nontribal Institutions (NASNTI) that propose to carry out activities to improve and expand such institution's capacity to serve low-income and minority students. To further advance educational opportunities for African Americans, For Masters Degree Programs at Historically Black Colleges and Universities (Section 723) and Masters Degree Programs at Predominantly Black Institutions (Section 724) to specified eligible institutions to further advance educational opportunities for African-Americans.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Section 371: Applicants under the PBI program (Section 371) may use funds to carry out programs in science, technology, engineering, or mathematics (STEM); health education; internationalization or globalization; teacher preparation; or improving educational outcomes of African American males. Applicants under the AANAPISI (Section 371) and NASNTI (Section 371) programs may use funds to assist such institutions with planning, developing, undertaking and carrying out activities to improve and expand the institution's capacity to serve Asian American and Native American Pacific Islanders and Native Americans. More specifically, AANAPISI grantees may use funds to carry out activities described in section 311(c). Applicants under the AANAPISI program may use funds to improve and expand their capacity to serve Asian American and Native American Pacific Islander students and low-income individuals. Grantees may use their funds for the purchase, rental, or lease of scientific or laboratory equipment for educational purposes; renovation and improvement in classrooms, libraries, laboratories, and other instructional facilities; support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty; curriculum development and academic instruction; purchase of library books, periodicals, and other educational materials; funds and administrative management, and acquisition of equipment for use in strengthening funds management; joint use of facilities, such as laboratories and libraries; academic tutoring and counseling programs and student support services. Uses of funds are restricted to the allowable activities described in Section 311(c) of the HEA. NASNTI grantees may use funds for the purchase, rental, or lease of scientific laboratory equipment for educational purposes, including instructional and research purposes; renovation and improvement in classroom, library, laboratory, and other instructional facilities; support of faculty exchanges, faculty development, and faculty fellowships to assist faculty in attaining advanced degrees in the faculty's field of instruction; curriculum development and academic instruction; the purchase of library books, periodicals, microfilm, and other educational materials, funds and administrative management, and acquisition of equipment for use in strengthening funds management; the joint use of facilities such as laboratories and libraries; and academic tutoring and counseling programs and student support services. Uses of funds under each program are restricted to the allowable activities described in Section 371 of the HEA. Section 897: Institutions in each program may use their funds to plan, develop, and implement activities that support: purchase, rental, or lease of scientific or laboratory equipment for educational purposes; construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities; purchase of library books, periodicals, technical and other scientific journals, microfilm, microfiche, and other educational materials; scholarships, fellowships, and other financial assistance for needy graduate



students to permit the enrollment of the students in, and completion of, a masters degree in mathematics, engineering, the physical or natural sciences, computer science, information technology, nursing, allied health, or other scientific disciplines in which African Americans are underrepresented; establishment or maintenance of an institutional endowment; funds and administrative management; acquisition of real property that is adjacent to the campus in connection with the construction, renovation, or improvement of, or an addition to, campus facilities; education or financial information designed to improve the financial literacy and economic literacy of students or the students' families; tutoring, counseling, and student service programs; and faculty professional development, faculty exchanges, and faculty participation in professional conferences and meetings.

**Applicant Eligibility:**

At the time of application, PBIs must have an enrollment of undergraduate students that is at least 40 percent Black American students. AANAPISI and NASNTI applicants must have, at the time of application, an enrollment of undergraduate students not less than 10 percent Asian American and Native American Pacific Islanders and Native Americans, respectively. . Institutions eligible for Masters Degree Programs at HBCUs and PBIs are specified in Title VII Sections 723 and 724 of the HEA. An institution that is eligible for and receives an award under HEAs Title III HBGI or Title V Promoting Postbaccalaureate Opportunities for Hispanic Americans (Section 512) for a fiscal year is not eligible to apply for a grant or receive grant funding under Section 897Masters Degree Programs for HBCUs and PBIsfor the same fiscal year.

**Beneficiary Eligibility:**

The authorized beneficiaries are underrepresented; low-income; first-generation; minority; undergraduate students.

**Credentials/Documentation:**

Institutions of Higher Education must submit an application responding to the established selection criteria. Applicants must describe in detail, the need for the project and how the proposed activities will address the goals and objectives of the program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to the requirements of the regulations in 34 CFR Part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each applicant must submit an application covering a period not to exceed 24-months to the Department of Education.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and regulatory requirements. A discretionary grant is awarded to institutions of higher education if they score within funding range and contingent upon funds being available.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

An applicant is notified of award status within 30 days of the end of the competition.

**Appeals:**

Not Applicable.

**Renewals:**

Mandatory appropriations for PBIs, AANAPISIs, and NASNTIs are available

for each fiscal year until 2019. Mandatory appropriations for Masters Degree Programs at HBCUs and PBIs are available every fiscal year until 2014. Awards are generally made around June 30 of each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants under Section 371 are made for up to 60 months. Grants under Section 897 are made for 72 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions of higher education administering these grants must submit an annual performance report at the completion of the each 12-month cycle. IHEs are also required to submit final reports ninety (90) days after the end of the grant. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for 3 years after the completion of activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$5,000,000; FY 11 est \$5,000,000; and FY 12 est \$5,000,000 - AANAPISI. (Project Grants) FY 10 \$15,000,000; FY 11 est \$15,000,000; and FY 12 est \$15,000,000 - PBI. (Project Grants) FY 10 \$11,500,000; FY 11 est \$11,500,000; and FY 12 est \$11,500,000 - Master's Degree Programs at HBCUs and PBIs. (Project Grants) FY 10 \$5,000,000; FY 11 est \$5,000,000; and FY 12 est \$5,000,000 - NASNTI.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of grant programs is governed by Sections 371 and 897 of the HEA and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Leonard Haynes Department of Education, Office of Postsecondary Education, Office of Higher Education Programs, Institutional Service, 1990 K. St., N.W., Washington, District of Columbia 20006 Email: leonard.haynes@ed.gov Phone: (202) 502-7549

**Website Address:**

<http://www.ed.gov/programs/pbi/> for the Predominantly Black Institutions Program; <http://www2.ed.gov/programs/hbcumasters/contacts.html> and <http://www2.ed.gov/programs/pbimasters/index.html> for the Masters Degree Programs at HBCUs and PBIs program.

**RELATED PROGRAMS:**

84.031 Higher Education\_Institutional Aid

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria can be found in EDGAR 34 CFR Part 75.210.

**84.383 HOMELESS EDUCATION DISASTER ASSISTANCE PROGRAM****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act, Title VII, Subtitle B; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Division B, Title I, Chapter 7, Public Law 110-329.

**OBJECTIVES:**

To provide assistance to local educational agencies (LEAs) whose enrollment of homeless students has increased as a result of a natural disaster that occurred in calendar year 2008.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Activities supported with program funds must be allowable under section 723(d) of the McKinney-Vento Homeless Assistance Act. Funds may be used to assist any homeless student in the schools of the LEA, including homeless preschool students, and use is not limited to those students who became homeless as a result of a natural disaster. The LEA may use the funds to support future activities, as well as to reimburse itself for costs incurred in carrying out activities during 2008, designed to help homeless students enroll in, attend, or succeed in school.

**Applicant Eligibility:**

LEAs that have at least 50 students enrolled in one or more grades kindergarten through grade 12 who became homeless in 2008 as a result of a natural disaster that the President has declared under Title IV of the Robert T. Stafford Disaster Assistance and Emergency Assistance Act of 1974 are eligible to apply. Those disasters are listed on the web site of the Federal Emergency Management Agency (FEMA) at: <http://www.fema.gov/news/disasters.fema?year=2008>.

**Beneficiary Eligibility:**

Students identified as homeless as provided in section 725 of the McKinney-Vento Homeless Education Assistance Act, as amended, and their parents benefit. Such students include homeless preschool students, and are not limited to those students who became homeless as a result of a natural disaster.

**Credentials/Documentation:**

Contact program office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Department made one-time grant awards in 2009 directly to eligible LEAs based on a formula outlined in a notice inviting applications published in the Federal Register.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Division B, Title I, Chapter 7, Public Law 110-329.

This program has no matching requirements. The Department awarded Homeless Education Disaster Assistance program funds directly to eligible LEAs that applied using a formula based on the number of students enrolled in one or more grades kindergarten through grade twelve who became homeless as a result of a natural disaster that occurred in 2008. Specifically, the Department calculated each LEA's award amount based on the quotient obtained by dividing the number of its enrolled students in kindergarten through grade twelve who became homeless as a result of a natural disaster that occurred in 2008 by the total number of such students for all LEAs submitting an application.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Homeless Education Disaster Assistance Program funds became available for obligation upon receipt of those funds by an LEA. Funds remain available for obligation by an LEA for an initial period of availability that expires on September 30, 2009. Under section 421(b) of the General Education Provisions Act, an LEA may have carried over any funds that remained unobligated after September 30, 2009 and had an additional 12 months to obligate such funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All grantees are subject to the provisions of the Single Audit Act.

**Records:**

All grantees must maintain complete records as provided in EDGAR.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - No additional obligations expected for FY 2011 and 2012.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2011: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2012: Interested parties should visit the website address provided below for information on program accomplishments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 79, 80, 81, 82, 85, 97, 98, and 99. The Department published in the Federal Register a notice inviting applications, which provides instructions and criteria for LEAs to use in applying for these funds.

**Regional or Local Office:**

None.

**Headquarters Office:**

John McLaughlin, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia

20202 Email: John.Mclaughlin@ed.gov Phone: (202) 401-0962.

**Website Address:**

<http://www.ed.gov/programs/heda/index.html>

**RELATED PROGRAMS:**

84.196 Education for Homeless Children and Youth

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Department made grant awards to all eligible LEAs that applied using a formula that was based on the number of students enrolled in kindergarten through grade twelve who became homeless as a result of a natural disaster that occurred in 2008.

**84.385 TEACHER INCENTIVE FUND, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, Title V, Part D, Subpart 1, and the American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To support projects that develop and implement performance-based compensation systems for teachers, principals, and other personnel in high-need schools. These compensation systems must include growth in student academic achievement as well as classroom evaluations conducted multiple times during each school year, among other factors, and provide educators with incentives to take on additional responsibilities and leadership roles.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Successful applicants must use these funds to carry out the activities described in their approved applications. Grantees may use these funds to develop and implement performance-based compensation systems, including incentives to take on individual responsibilities and leadership roles.

**Applicant Eligibility:**

Eligible applicants are local educational agencies (LEAs), including charter schools that are LEAs in their State, State educational agencies (SEAs), or partnerships of (1) an LEA, an SEA, or both, and (2) at least one non-profit organization.

**Beneficiary Eligibility:**

SEAs, LEAs, non-profit organizations, and students, teachers, and principals in an LEAs high-need schools benefit from the program.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to SEA and LEA grantees under the TIF program. OMB Circular A-122 applies to grantees that are non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This was a one-time competition under the Recovery Act. For more information, see the main TIF entry, CFDA 84.374.

**Award Procedure:**

This was a one-time competition under the Recovery Act. For more information, see the main TIF entry, CFDA 84.374.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

This was a one-time competition under the Recovery Act. For more information, see the main TIF entry, CFDA 84.374.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are subject to the availability of appropriations and a grantee's satisfactory progress, and would be provided under CFDA 84.374.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This was a one-time competition under the Recovery Act. For more information, see the main TIF entry, CFDA 84.374. See the following for information on how assistance is awarded/released: Electronic Transfer.

**Reports:**

No program reports are required. No cash reports are required. Annual performance reports must be submitted during each yearly budget period in order to receive continuation awards. Final performance reports and the final evaluation report must be submitted after the end of the grant period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As provided in 34 CFR 80.42, and 74.53, SEAs, LEAs, and nonprofit organizations must maintain program records for 3 years from the date those agencies submit to the awarding agency its single or last expenditure report for the period for which it received the funds. A longer retention period is required under specified conditions.

**Account Identification:**

91-0197-0-1-501.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - No additional funding is expected for FY 2011 and 2012.

**Range and Average of Financial Assistance:**

Estimated range of awards: \$417,650 to \$20,007,590.  
Estimated average award: \$7,206,829.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 97, 98, and 99. Contact program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

April Bolton-Smith Headquarters Office: Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: april.bolton-smith@ed.gov Phone: (202) 260-1475

**Website Address:**

<http://www2.ed.gov/programs/teacherincentive/index.html>

**RELATED PROGRAMS:**

84.374 Teacher Incentive Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of funded projects are on the Departments website, at: <http://www2.ed.gov/programs/teacherincentive/apps/index.html>.  
Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria were included in the full application package and published in the Federal Register notice. Contact the program office for more information.

**84.390 REHABILITATION SERVICES-VOCATIONAL REHABILITATION GRANTS TO STATES, RECOVERY ACT**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, Title I, Parts A and B, Sections 100-111; and the American Recovery and Reinvestment Act of 2009 (ARRA).

**OBJECTIVES:**

To assist States in operating comprehensive, coordinated, effective, efficient and accountable programs of vocational rehabilitation; to assess, plan, develop, and provide vocational rehabilitation services for individuals with disabilities, consistent with their strengths, resources, priorities, concerns, abilities, and capabilities so they may prepare for and engage in competitive employment.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Federal and State funds are used to cover the costs of providing vocational rehabilitation services which include: assessment, counseling, vocational and other training, job placement, reader services for the blind, interpreter services for the deaf, medical and related services and prosthetic and orthotic devices, rehabilitation technology, transportation to secure vocational rehabilitation services, maintenance during rehabilitation, and other goods and services necessary for an individual with a disability to achieve an employment outcome. Services are provided to families of disabled individuals when such services will contribute substantially to the rehabilitation of such individuals who are being provided vocational rehabilitation services. Funds can also be used to provide Vocational Rehabilitation services for the benefit of groups of individuals with disabilities including the construction and establishment of community programs.

**Applicant Eligibility:**

State agencies in all States (including territories/possessions) designated as the sole State agency to administer the vocational rehabilitation program may receive funds.

**Beneficiary Eligibility:**

In order to be eligible for vocational rehabilitation services, an individual must have a physical and/or mental impairment, which, for such an individual, constitutes or results in a substantial impediment to employment, and requires vocational rehabilitation services to achieve an employment outcome.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. There is no separate application required for States to be eligible to receive funds under the ARRA. State Vocational Rehabilitation (VR) agencies do not need to submit a new or amended State Plan.

**Award Procedure:**

ARRA grant awards will be made to State VR agencies with an approved FY 2009 State Plan. States are notified of their allotment under the funding formula. Grant awards are issued to State VR agencies and funds are withdrawn under the Electronic Transfer System.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

There is no deadline associated with each States ARRA grant allocation for the State Vocational Rehabilitation Services program. Funds will be made available to each State agency based on the States eligibility determination for FY 2009 Vocational Rehabilitation State Grant funds. Changes to the State Plan and annual updates related to the regular appropriation must be submitted to the Rehabilitation Services Administration (RSA) by July 1 of each year.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part A, Subpart 110. Funds are distributed based on population weighted by per capita income. The statistical factors for fund allocation are: per capita income 3-year average by State (Bureau of Economic Analysis estimates) and U.S. total and State population (Annual Population Estimates, Bureau of the Census).

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are available for obligation at the Federal level to State VR agencies until September 30, 2010. State VR agencies must obligate the ARRA funds they receive by September 30, 2011. See the following for information on how assistance is awarded/released: Funds are distributed by electronic transfer.

**Reports:**

Annual and quarterly reports are required. Grantees must report on how ARRA funds under this program are spent. ARRA reporting requirements were included in grant award documents. Annual and quarterly progress reports; annual budget and case service reports; quarterly financial reports. Grantees must report on how ARRA funds under this program are spent. The Rehabilitation Act requires the conduct of annual reviews of periodic on-site monitoring of whether a State VR agency is complying substantially with the provisions of its State plan and with the program's performance indicators established under section 106 of the Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Conducted by ED Office of Inspector General and by site visits of regional staff. Both are periodic but no set schedule.

**Records:**

Case service records for individual consumers. Financial and programmatic records must be kept for a prescribed period of 3 years (34 CFR 80.42).

**Account Identification:**

91-0302-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$4,744,577; FY 11 est \$0; and FY 12 est \$0 - No additional obligations expected for FY 2011 and 2012.

**Range and Average of Financial Assistance:**

No awards in FYs 2011 and 2012.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Vocational Rehabilitation Regulations (34 CFR part 361). Rehabilitation Services Policy Directives and Technical Assistance Circulars.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carol Dobak, Department of Education, Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: carol.dobak@ed.gov Phone: (202) 245-6325.

**Website Address:**

<http://www.ed.gov/programs/rsabvrs/index.html>

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.403 CONSOLIDATED GRANT TO THE OUTLYING AREAS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Title V, Public Law 95-134, 48 U.S.C 1469a.

**OBJECTIVES:**

To make an annual consolidated grant to assist an Insular Area in carrying out one or more State-administered formula grant programs of the Department. (i.e., -ESEA, Title I, Part A-Grants to LEAs; ESEA, Title I, Section 1003(g)-School Improvement Grants; ESEA, Title I, Part B, subpart 3-Even Start Grants; ESEA, Title II, Part A-Teacher Quality Grants; ESEA, Title II, Part D-Educational Technology State Grants; ESEA, Title III, English Language Acquisition Grants; ESEA, Title IV, Part B-21st Century Community Learning Centers Grants; ESEA, Title V, Part A-State Grants for Innovative Programs; Adult Education and Family Literacy Act (AEFLA)-Section 243-Adult Education State Administered Program grants; Perkins Act, Title I-Career and Technical Education Basic State Grants; ESEA, Title VI, Part A-State Assessments; McKinney-Vento Homeless Assistance Act-Title VII-B Grants; ESEA, Title II, Part, B-Mathematics and Science Partnerships grants; ESEA, Title VI, Part B, Rural and Low-Income School Program.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

An Insular Area must use the funds it receives under a consolidated grant to carry out, in its jurisdiction, one or more of the programs included in the grant. (See above programs.). An Insular Area may only use and administer funds under the eligible programs to be consolidated described in section 76.125 (c) of Education Department General Administrative Regulations (EDGAR) during a fiscal year for which the Insular Areas is entitled to receive funds under an appropriation for that program.

**Applicant Eligibility:**

Virgin Islands, Guam, American Samoa and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

Contact Program Office.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An Insular Area applies annually for a grant consolidating two or more of the programs eligible to be consolidated in accordance with the application requirements of EDGAR 76.131-76.132.

**Award Procedure:**

The Department awards a single consolidated grant annually to each Insular Area that meets the requirements of EDGAR 76.125 through 76.137 and each program under which the grant funds are to be used and administered. The Department may decide that one or more programs cannot be included in the consolidated grant if it is determined that the Insular Area failed to meet the program objectives stated in its plan for the previous fiscal year in which it carried out the programs. The eligibility of a particular Insular Area to receive grant funds under a Federal education program is determined under the statute and regulations for that program (EDGAR 76.130 (a), (b), (d)).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approval will be granted upon determination that the application meets the requirements of EDGAR 76.131 (1) and (2).

**Appeals:**

The Department shall not disapprove a consolidated grant, before offering the Insular Area an opportunity to revise the application and a hearing. (See 34 CFR 76.202.).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards generally run for one fiscal year. See the following for information on how assistance is awarded/released: Contact the program office for the information.

**Reports:**

As required by EDGAR 76.132(5), an annual report is required to be submitted to the Secretary containing information covering the program or programs for which the grant is used and administered, including the financial and program performance information as required under 34 CFR 74.51-74.52 and 34 CFR 80.40-80.41. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR 76.132(7), the grantee keeps records, including a copy of the application document under which funds are to be spent, which show how the funds received under the consolidated grant have been spent.

**Account Identification:**

91-0400-0-1-501; 01-0200-0-1-501; 91-1300-0-1-501; 91-0203-0-1-501;  
91-1000-0-1-501; 91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$71,399,286; FY 11 est \$65,946,516; and FY 12 est \$0 - Information for FYs 2012 is not yet available. Contact the program office for more information.

**Range and Average of Financial Assistance:**

Awards range from approximately \$8 million to \$20 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 80, 81,82, and 85

**Regional or Local Office:**

None.

**Headquarters Office:**

Valerie Rogers, School Support and Technology Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., LBJ Bldg, Room 3W241, Washington, District of Columbia 20202 Email: Valerie.rogers@ed.gov Phone: (202) 260-2543.

**Website Address:**

<http://www.ed.gov/about/offices/list/oesse/sst/index.html>

**RELATED PROGRAMS:**

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.407 TRANSITION PROGRAMS FOR STUDENTS WITH INTELLECTUAL DISABILITIES INTO HIGHER EDUCATION**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended., Title VII, Part D, Section 767 and 777(b), 20 U.S.C 1140G.

**OBJECTIVES:**

To support model demonstration programs that promote the successful transition of students with intellectual disabilities into higher education.

Funds also will support a coordinating center for institutions of higher education that offer inclusive comprehensive transition and postsecondary programs for students with intellectual disabilities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

An institution of higher education (IHE) shall use grant funds to establish a model comprehensive transition and postsecondary program for students with intellectual disabilities that 1) serves students with intellectual disabilities, 2) provides individual supports and services for the academic and social inclusion of students with intellectual disabilities in academic courses, extracurricular activities, and other aspects of the IHEs regular postsecondary program, 3) provides a focus on academic enrichment, socialization, independent living skills, including self-advocacy, and integrated work experiences and career skills that lead to gainful employment, 4) integrates person-centered planning in the development of the course of study for each student with an intellectual disability participating in the model program, 5) participates with the coordinating center established under section 777(b) of the Higher Education Act, as amended, in the evaluation of the model program, 6) partners with one or more local education agencies to support students with intellectual

disabilities participating in the model program who are still eligible for special education and related services under the Individuals with Disabilities Education Act, 7) plans for the sustainability of the model program after the end of the grant period, and 8) creates and offers a meaningful credential for student with intellectual disabilities upon the completion of the model program.

The coordinating center will provide recommendations related to the development of standards, provide technical assistance and evaluations for model demonstration programs. The center will assist in the development, evaluation, funding, outreach, and continuous improvement of model transition programs.

**Applicant Eligibility:**

Institutions of Higher Education or a consortia of IHEs are eligible for awards under this program.

**Beneficiary Eligibility:**

Grant funds establish model comprehensive transition and postsecondary programs for students with intellectual disabilities. Funds also support a coordinating center that provides technical assistance, for all comprehensive transition and postsecondary programs for students with intellectual disabilities.

**Credentials/Documentation:**

Each IHE or consortia of IHEs desiring a grant under this program shall submit an application to the Department at such time, in such manner, and containing or accompanied by such information as the Department may reasonably require. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each IHE or consortia of IHEs must submit an application covering a 5-year period to the Department of Education.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and regulatory requirements, and are scored by peer reviewers based on criteria included in the application package. The Department determines which applications will be funded based on the quality of the applications and the following factors: 1) providing for an equitable geographic distribution of grants, 2) providing grant funds for model comprehensive transition and postsecondary programs for students with intellectual disabilities that will serve areas that are underserved by programs of this type, and 3) giving preference to applicants that form a partnership with any relevant agency serving students with intellectual disabilities such as a vocational rehabilitation agency, integrate students with intellectual disabilities into housing offered to nondisabled students, or involve students attending the IHE who are studying special education, general education, vocational rehabilitation, assistive technology, or related fields in the model program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The estimated range of time need to approve/disapprove an application is usually 3 months after the deadline for submission.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded for a period of 5 years, subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 25%. Grantees must provide matching funds for model transition programs, in cash or in kind, of at least 25 percent of the cost of the grant.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are made for up to 5 years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Grants funds are awarded by electronic transfer.

**Reports:**

Grantees must submit an annual performance report at such time, in such manner, and containing or accompanied by such information as the Department may reasonably require. Cash reports are not applicable. Progress report: Report requirements will be included in grant award documents. Expenditure reports: Report requirements will be included in grant award documents. Performance monitoring: Report requirements will be included in grant award documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for 3 years after the completion of activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

The administration of the discretionary grant program is governed by the statute and EDGAR (34 CFR 74, 75, 77, 79, 82, 84, 86, 97, 98, and 99).

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 10 \$11,000,000; FY 11 est \$10,978,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Not currently available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of the discretionary grant program is governed by the statute and EDGAR (34 CFR 74, 75, 77, 79, 82, 84, 86, 97, 98, and 99).

**Regional or Local Office:**

None.

**Headquarters Office:**

James Davis, Department of Education, Office of Postsecondary Education, Transition Programs for Students with Intellectual Disabilities Into Higher Education, 1990 K Street, N.W., Washington, District of Columbia 20006  
Email: james.davis@ed.gov Phone: (202) 502-7802.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

84.333 Demonstration Projects to Ensure Students with Disabilities Receive a Higher Education

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the program office for information on selection criteria.

**84.408 POSTSECONDARY EDUCATION SCHOLARSHIPS FOR VETERAN'S DEPENDENTS**

Iraq and Afghanistan Service Grant (IASG)

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, Executive Order Subpart 10, Title IV, Part A, Subpart 10, Section 420R.

**OBJECTIVES:**

To provide eligible veteran's dependent undergraduate postsecondary students with non-need based grant assistance to help meet educational expenses.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The student must be an eligible veterans dependent whose parent or guardian was a member of the Armed Forces of the United States and died as a result of performing military service in Iraq or Afghanistan after September 11, 2001. At the time of the parent or guardians death, the student was less than 24 years of age or enrolled at an institution of higher education. The student must also be a U.S. citizen or eligible noncitizen who has been accepted for enrollment in, and is making satisfactory academic progress at an eligible institution of higher education. Eligible schools may be public or private nonprofit institutions of higher education, (such as colleges, universities, vocational-technical schools, hospital schools of nursing), and for-profit institutions (proprietary). Eligible males who are at least 18 years or older and born after December 31, 1959, can receive aid only if they have registered with the Selective Service. Graduate students and students who have already earned a bachelor's degree are not eligible for assistance, except those enrolled in an eligible program leading to a professional certification in teaching.

**Applicant Eligibility:**

The student must be an eligible veterans dependent whose parent or guardian was a member of the Armed Forces of the United States and died as a result of performing military service in Iraq or Afghanistan after September 11, 2001. At the time of the parent or guardians death, the student was less than 24 years of age or enrolled at an institution of higher education. Undergraduate students and students pursuing a teaching certificate enrolled as regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. The applicants must be U.S. citizens or eligible noncitizens and have a high school diploma, a GED, or demonstrate the ability to benefit from the program offered. Applicants must apply annually using the Free Application for Federal Student Aid (FAFSA). To be eligible, the applicant must meet all IAS Grant eligibility requirements, and must not have a Federal Pell Grant eligible Expected Family Contribution (EFC).

**Beneficiary Eligibility:**

Eligible veterans dependent undergraduate students, and students pursuing a teaching certificate that are U.S. citizens or eligible noncitizens. Students must be: regular students in an eligible program and enrolled in institutions of higher education, making satisfactory academic progress. Incarcerated students, except those incarcerated in local penal facilities, are ineligible. Students must sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service. The eligible veterans dependent student cannot receive both an Iraq and Afghanistan Service Grant and Federal Pell Grant during the same award year.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Student completes a "Free Application for Federal Student Aid" and submits it to the processing agency specified on the form. Students may apply using a paper application, an electronic application, or via the Internet. The Department of Education calculates the student's financial eligibility for assistance and returns a notification to the student of his or her eligibility for assistance. The student submits this notification to the institution of his or her choice in order to have his or her award calculated.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends calculates and disburses the IASG. The Secretary shall award grants under this section in the same manner, and with the same terms and conditions, including the length of the period of eligibility, as the Secretary awards Federal Pell Grants, except that the award rules and determination of need applicable to Federal Pell Grants shall not apply to grants under IASG. The amount of the IASG award is the same as the maximum Pell Grant for the award year, adjusted for the students enrollment status and cost of attendance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

An institution may adjust on a case-by-case basis a student's FAFSA data elements used to calculate his or her EFC and cost of attendance due to unusual circumstances documented by the institution.

**Renewals:**

Eligibility is determined annually.

**Formula and Matching Requirements:**

Statutory Formula: Higher Education Opportunity Act (HEOA), Public Law 110-315; Higher Education Act of 1965, Title IV, Part A, Subpart 10, Section 420R, as amended. The Department shall award grants under this formula section in the same manner, and with the same terms and conditions, including the length of the period of eligibility, as the Department awards Federal Pell Grants, except that the award rules and determination of need applicable to Federal Pell Grants shall not apply to no match grants under IASG. The amount of the IASG award is the same as the maximum Pell Grant for the award year, adjusted for the students enrollment status and cost of attendance. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Students are limited to one Iraq and Afghanistan Service Grant during any award year (July 1 through June 30). IASG funds are disbursed by each payment period, at least twice during an award year. Students may only receive an IASG until they have received a bachelor's degree, except for those enrolled in an eligible program leading to a professional certification in teaching. Students are limited to a maximum of 18 semesters or equivalent of IASG funding to receive their bachelors degree. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. IAS Grant recipient and all fiscal management records must be maintained by the institutions for a period of 3 years or until an acceptable audit has been completed, whichever is later.

**Records:**

No Data Available.

**Account Identification:**

91-0248-0-1-502.

**Obligations:**

(Formula Grants) FY 10 \$15,000; FY 11 est \$182,000; and FY 12 est \$11,000

**Range and Average of Financial Assistance:**

For FY 2011, grants will range from \$555-\$5,550; the average grant is estimated at \$4,816 For FY 2012, grants are expected to range from \$555-\$5,550; the average grant is estimated at \$4,815.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Less than 1,000 recipients are expected. Fiscal Year 2011: Less than 1,000 recipients are expected. Fiscal Year 2012: Less than 1,000 recipients are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing administration of the IAS Grant Program are expected to be similar to the Pell Grant Program found in 34 CFR 600, 668, and 690. Funding Education Beyond High School; Free Application for Federal Student Aid; "The Student Financial Aid Handbook."

**Regional or Local Office:**

See Regional Agency Offices. Federal Student Aid Information Center. Telephone: 1-800-433-3243. Regional Director, Federal Student Aid, the Director of Student Financial Aid at the institution the student wishes to attend, high school guidance counselors, or directors of State agencies.

**Headquarters Office:**

Federal Student Aid Information Center, Federal Student Aid, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243.

**Website Address:**

<http://www.ifap.ed.gov> and [www.FederalStudentAid.ed.gov](http://www.FederalStudentAid.ed.gov)

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.032 Federal Family Education Loans; 84.033 Federal Work-Study Program; 84.037 Perkins Loan Cancellations; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers; 84.069 Leveraging Educational Assistance Partnership

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grants are awarded to postsecondary education students based on the provisions of the Higher Education Opportunity Act (HEOA), Public Law 110-315; Higher Education Act of 1965, Title IV, Part A, Subpart 10, Section 420R, as amended.

**84.409 CIVIL LEGAL ASSISTANCE ATTORNEY STUDENT LOAN REPAYMENT PROGRAM**

Civil Legal Assistance Attorney Loan Repayment Program

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part B, Section 428L.

**OBJECTIVES:**

To encourage qualified individuals to enter and continue employment as civil legal assistance attorneys.

**TYPES OF ASSISTANCE:**

Direct Loans

**USES AND USE RESTRICTIONS:**

The Civil Legal Assistance Attorney Student Loan Repayment Program provides benefits to borrowers on a first-come, first-served basis. Loan repayment commitments are limited to the amount appropriated for the program for a given fiscal year by Congress and are only available to eligible applicants until those funds are fully committed. A loan repayment commitment to a



borrower in one fiscal year does not guarantee a commitment for the remainder of the years covered by the borrowers Service Agreement or in future years. The Department cannot provide any benefits to a borrower for a year for which Congress does not appropriate funds.

**Applicant Eligibility:**

A borrower employed on a full-time basis as a civil legal assistance attorney who meets all of the criteria for student loan repayment, under the borrowers Service Agreement with the Department, may receive repayment of up to \$6,000 of the outstanding balance of the borrowers eligible student loans for each year of completed service, subject to the availability of funds for the fiscal year, under one or more Service Agreements, up to a total amount of \$40,000 per borrower. The borrower also must not be in default on a loan for repayment, be continually licensed to practice law and execute a service agreement with the Secretary.

**Beneficiary Eligibility:**

Upon an employers certification of an applicants completion of a given year of required service, the Department will send the repayment amount to the applicants loan holder to be applied to their outstanding balance of eligible student loans, not to exceed the annual maximum of \$6,000. A borrower who voluntarily ceases qualifying employment before completing the full period of service required under the agreement, or who is involuntarily separated from qualifying employment due to misconduct, will be required to repay any repayment benefit received.

**Credentials/Documentation:**

Applicants will need to provide certification of employment prior to receiving loan repayment benefits. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application/service agreement materials are available on the Departments website. Applicants may submit completed and signed application/agreements to the Department electronically, by fax, or by mail.

**Award Procedure:**

Applications/service agreements are received by the Department and reviewed for completeness and consistency with statutory eligibility requirements. Loan repayment commitments are limited to the amount appropriated for the program for a given fiscal year by the Congress and are only available to eligible applicants until those funds are fully committed. Therefore, awards are made to eligible borrowers on a first-come, first-served basis based on the receipt date of the borrowers application/service agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Successful applicants will be notified by September 30 of the year in which they apply.

**Appeals:**

Not Applicable.

**Renewals:**

A loan repayment commitment to a borrower in one fiscal year does not guarantee a commitment for the remainder of the years covered by the borrowers service agreement or in future years. Priority for student loan repayment in any fiscal year is given to borrowers who have received forgiveness benefits during the preceding fiscal year and have not yet completed the three years of service under their first service agreement and to new applicants who have practiced law for a period of five years or less and have spent not less than 90 percent of that period working as civil legal assistance attorneys. (As fiscal year 2010 is the first year of this program, these priorities will not apply for 2010 awards).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applications will be accepted and loan repayment benefits will be paid only for years in which Congress appropriates funds for the program. If no funds are appropriated, benefits will not be paid even if a borrower has a valid service agreement. See the following for information on how assistance is awarded/released: Electronically.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Schools must maintain proper administrative and fiscal procedures and all necessary records as set forth in the regulations in 34 CFR 685 and 34 CFR 668. Schools must keep all records involved in any loan, claim, or expenditure questioned by a Federal audit until resolution of any questions. In addition to records required by 34 CFR 668, for each Direct Loan received under 34 CFR 685 by or on behalf of this student, a school shall maintain a copy of the loan application and data electronically submitted to the Secretary.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Direct Loans) FY 10 \$5,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

A borrower employed as a civil legal assistance attorney who meets all of the criteria under the service agreement may receive repayment of up to \$6,000 for each year of completed service, up to a total amount of \$40,000, contingent on availability of funds.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Higher Education Act of 1965, as amended, Title IV, Part B, Section 428L.

**Regional or Local Office:**

See Regional Agency Offices. Federal Student Aid Information Center. Telephone: (1-800) 433-3243. Regional Director, Federal Student Aid, the Director of Student Financial Aid at the institution the student wishes to attend, high school guidance counselors, or directors of State agencies.

**Headquarters Office:**

Federal Student Aid Information Center, Federal Student Aid, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243.

**Website Address:**

<http://www.ifap.ed.gov> and/or [studentaid.ed.gov](http://studentaid.ed.gov)

**RELATED PROGRAMS:**

84.032 Federal Family Education Loans; 84.268 Federal Direct Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.410 EDUCATION JOBS FUND**

Ed Jobs Fund

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Title I, Public Law 111-126.

**OBJECTIVES:**

To provide funds to States to assist local educational agencies (LEAs) in saving or creating education jobs during the 2010-2011 school year.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Each State may reserve up to 2 percent of its allocation for the costs of administering the program. The State must award the remaining portion of its allocation (at least 98 percent) to LEAs. The Governor may not award funds to entities other than LEAs.

A State may not use program funds, directly or indirectly, to establish, restore, or supplement a rainy day fund, or to supplant State funds in a manner that has this effect. Furthermore, a State may not use program funds, directly or indirectly, to reduce or retire debt obligations incurred by the State or to supplant State funds in a manner that has that effect.

An LEA must use its funds only for compensation and benefits and other expenses, such as support services, necessary to retain existing employees, to recall or rehire former employees, and to hire new employees, in order to provide early childhood, elementary, or secondary educational and related services.

The statute prohibits LEAs from using Ed Jobs funds for general administrative expenses or for other support services expenditures as those terms were defined by the National Center for Education Statistics in its Common Core of Data as of the date of enactment of the Act. These prohibited expenses would include administrative expenditures related to the operation of the superintendents office or the LEAs board of education, including the salaries and benefits of LEA-level personnel. Prohibited activities would also include the payment of expenditures for fiscal services, LEA planners/researchers, and human resource services. Further, an LEA may not pay for compensation and benefits of individuals who are not employees of an LEA.

**Applicant Eligibility:**

States are eligible to receive these funds. In the event that Governors do not apply, other entities, including SEAs, are eligible to receive these funds.

**Beneficiary Eligibility:**

State and local educational agencies as well as public elementary and secondary schools, students, teachers, and parents.

**Credentials/Documentation:**

The following OMB circular(s) apply to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Department reviewed State applications on a rolling basis.

An approvable application is one that includes:

The Governors assurance that the State will comply with programmatic and fiscal requirements;

The Governors assurance that the State will submit the required maintenance-of-effort (MOE) data to the Department within 60 days of the States grant award; and

The LEA distribution method.

**Award Procedure:**

The Secretary of Education made awards to States on a formula basis upon approval of the State application.

**Deadlines:**

Sep 09, 2010 The Governor of a State must submit an approvable application within 30 days of enactment of the Act. The Department must make awards within 45 days of enactment if the Governor submits an approvable application by the submission deadline. If the Governor fails to submit an approvable application by the submission deadline, the Department may distribute the States allocation to another entity or other entities in the State.

**Range of Approval/Disapproval Time:**

Approval time will vary by State.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Sixty-one percent of State allocations were based on relative shares of individuals aged 5 to 24, and thirty-nine percent were based on relative shares of total population. The Secretary awarded up to one-half of one percent of the appropriated funds to the outlying areas and one-half of one percent to the Secretary of the Interior for schools operated or funded by the Bureau of Indian Education.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are to be used to carry out activities during the 2010-2011 school year. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

States must comply with the reporting requirements, including subrecipient reporting requirements, of section 1512 of the American Recovery and Reinvestment Act of 2009. States must also submit annual reports as specified by the Department. Cash reports are not applicable. States must comply with the reporting requirements, including subrecipient reporting requirements, of section 1512 of the American Recovery and Reinvestment Act of 2009. States must also submit annual reports as specified by the Department. States must comply with the reporting requirements, including subrecipient reporting requirements, of section 1512 of the American Recovery and Reinvestment Act of 2009. States must also submit annual reports as specified by the Department. States must comply with the reporting requirements, including subrecipient reporting requirements, of section 1512 of the American Recovery and Reinvestment Act of 2009. States must also submit annual reports as specified by the Department.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All grantees are subject to the provisions of the Single Audit Act, 31 U.S. Code 75.

**Records:**

The State and its LEAs must maintain records that separately track and account for Education Jobs funds. In accordance with the requirements of Section 443(a) of GEPA(20 U.S.C. 1232f (a)), the State and its LEAs must maintain records that that will facilitate an effective audit and substantiate that the funds were used in compliance with applicable requirements.

**Account Identification:**

91-0012-0-1-501.

**Obligations:**

(Formula Grants) FY 10 \$10,000,000,000; FY 11 est \$0; and FY 12 est \$0 - No additional funding is expected in FY 2011 and 2012.

**Range and Average of Financial Assistance:**

Awards to States varied in size from approximately \$17.5 million to \$1.2 billion. The average grant award was approximately \$190.4 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance for this program is posted at <http://www2.ed.gov/programs/educationjobsfund/applicant.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Butler, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave. SW, Washington, District of Columbia 20202  
Email: James.Butler@ed.gov Phone: (202) 401-9737.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.411 INVESTING IN INNOVATION (I3) FUND**

Investing in Innovation (i3) Fund

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Title XIV, Public Law 111-5.

**OBJECTIVES:**

To provide competitive grants to (a) local educational agencies (LEAs) or (b) partnerships between a nonprofit organization and one or more LEAs or a consortium of schools with a record of improving student achievement and attainment in order to expand the implementation of, and investment in, innovative practices that are demonstrated to have an impact on improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or increasing college enrollment and completion rates.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Department will award three types of grants: Scale-up, Validation, and Development. Funds will 1) allow eligible entities to expand and develop innovative practices that can serve as models of best practice; 2) allow eligible entities to work in partnership with the private sector and the philanthropic community; and 3) support eligible entities in identifying and documenting best practices that can be shared and taken to scale based on demonstrated success.

**Applicant Eligibility:**

(1) LEAs and (2) nonprofit organizations in partnership with (a) one or more LEAs or (b) a consortium of schools.

**Beneficiary Eligibility:**

High-need students in LEAs will benefit.

**Credentials/Documentation:**

OMB Circulars No. A-110 and A-122 apply to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Department of Education application procedures and criteria to award grants on a competitive basis. Applicants must select one of three types of grants: Scale-up, Validation, or Development and must apply to one of four absolute priorities. Applicants for all types of grants may choose to write to any of six competitive preference priorities. Applications are reviewed by panels of peer reviewers. Points are awarded on the basis of the published selection criteria, are ranked on the basis of the points awarded, and selected for funding based on the rank order.

**Award Procedure:**

To be eligible to receive an i3 grant, applicants must implement practices, strategies, or programs for high-need students. An LEA applying on its own must demonstrate that it has: (a) closed achievement gaps or improved achievement for all groups of students, and (b) achieved significant improvement in other areas. A partnership involving a non-profit organization must demonstrate that the non-profit organization has a record of significantly improving student achievement, attainment, or retention through its record of work with an LEA or schools. Applicants must also 1) address one of the absolute priorities; 2) secure matching funds from the private sector equal to 10% (Scale-up), 15% (Validation), and 20% (Development) of the award; and 3) meet the evidence requirement applicable to the type of grant for which the applicant applied.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 4 months from receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements are applicable to this program. Applicants must secure matching funds from the private sector equivalent to 10% (Scale-up), 15% (Validation), and 20% (Development) of the award.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Applicants can request awards of 3, 4, or 5 years. For FY 2011, funds for all years will be awarded in 2011. See the following for information on how assistance is awarded/released: The information will be included in the grant award documents.

**Reports:**

Annual performance reports (ED 524B). Report requirements will be included in grant award documents. Report requirements will be included in grant award documents. Report requirements will be included in grant award documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All grantees are subject to the provisions of the Single Audit Act, 31 U.S.C. 75, and OMB circular A-133.

**Records:**

Each recipient must maintain records that fully disclose the total cost of the activity for which the funds are used, the share of the cost provided from other

sources, and other such records as will facilitate an effective financial or programmatic audit. The recipient shall maintain such records for three years after the completion of the activity for which funds are used.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$149,700,000; and FY 12 est \$300,000,000

**Range and Average of Financial Assistance:**

Range: \$3,000,000-\$25,000,000; Average: \$7,727,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: A total of nearly 1700 applications were received (19 Scale-up, 355 Validation, and 1324 Development) for funds appropriated in FY 2009. 49 awards were made (4 Scale-up, 15 Validation, 30 Development). These funds were awarded under CFDA 84.396 with funds appropriated under ARRA. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Education Department General Administrative Regulations (EDGAR) in 34CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99. The notice of final priorities requirements, definitions, and selection criteria (NFP) for this program published in the Federal Register.

**Regional or Local Office:**

None.

**Headquarters Office:**

Margo Anderson 400 Maryland Ave. S.W., Washington, District of Columbia 20202 Email: Margo.Anderson@ed.gov Phone: 202-205-3010

**Website Address:**

<http://www.ed.gov/programs/innovation/index.html>

**RELATED PROGRAMS:**

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: FY 2009 funds were used to support -- Scale-up, Validation, and Development grants that addressed each of the four absolute priorities: innovations that support effective teachers and principals; innovations that improve the use of data, innovations that complement the implementation of high standards and high quality assessments; and innovations that turn around persistently low-performing schools. Project narratives of the 49 awardees available on i3 website at <http://www.ed.gov/programs/innovation/index.html>. Funding for these awards were provided by ARRA and are included under CFDA 84.396. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria will be contained in the program guidance.

**84.412 RACE TO THE TOP EARLY LEARNING CHALLENGE**

RTT-ELC

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Executive Order Division A, Title XIV, Sections 14005, 14006 and 14013, Public Law 111-5, as amended, as amended by Department of Defense and Full-Year Continuing Appropriations Act, 2011.

**OBJECTIVES:**

To improve the quality of early childhood programs and to close the achievement gap for high-need children. The RTT-ELC grant competition focuses on improving early learning and development programs for young children by supporting States' efforts to: (1) increase the number and percentage of low-income and disadvantaged children in each age group of infants, toddlers, and preschoolers who are enrolled in high-quality early learning programs; (2) design and implement an integrated system of high-quality early

learning programs and services; and (3) ensure that any use of assessments conforms with the recommendations of the National Research Council's reports on early childhood.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The RTT-ELC grants will support States efforts increase the number and percentage of low-income and disadvantaged children in each age group of infants, toddlers, and preschoolers who are enrolled in high-quality early learning programs; and to design and implement an integrated system of high-quality early learning programs and services.

**Applicant Eligibility:**

Contact the program office.

**Beneficiary Eligibility:**

Contact the program office.

**Credentials/Documentation:**

Contact the program office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A panel appointed by the Secretary reviews each application and evaluates the application on the basis of selection criteria published in the Federal Register. The program office reviews financial information to ensure costs reflect required program elements, including relevant matching costs. The Secretary makes awards based on applicant scores. This program is subject to coverage under OMB Circular No. A-102.

**Award Procedure:**

The Secretary of Education will determine which States receive Race to the Top Early Learning Challenge grants and the amount of those grants, on the basis of the States applications under section 1832(b)(1) and other criteria the Secretary determines appropriate. The Secretary will make RTT-ELC grants in FY 2011. Applications are reviewed and evaluated by outside experts and program staff, in accordance with the administrative regulations governing the Evaluation of Applications for Grants and Cooperative Agreements (34 CFR 75, Subpart D).].

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days following the deadline for submitting applications.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will be awarded by December 31, 2011. Funds are available to States for obligation and expenditure for a total of 60 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Details will be included in grant award documents. Details will be included in grant award documents. Details will be included in grant award documents. Details will be included in grant award documents.

grant award documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Generally, the State and its subgrantees must retain records related to grant funds and compliance for a period of 3 years from the date the grantee or subgrantee submits its final expenditure report for that funding period. 34 CFR 80.42. Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$500,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ED will issue guidance for this program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Beth Caron Office of the Deputy Secretary, U.S. Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: beth.caron@ed.gov Phone: 202-260-7803

**Website Address:**

<http://www.ed.gov/programs/racetothetop-earlylearningchallenge>

**RELATED PROGRAMS:**

84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.213 Even Start\_State Educational Agencies; 84.214 Even Start\_Migrant Education; 84.258 Even Start\_Indian Tribes and Tribal Organizations; 93.575 Child Care and Development Block Grant; 93.600 Head Start; 93.708 ARRA - HEAD START; 93.709 ARRA EARLY HEAD START

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

To be determined.

**CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION**

**85.101 HOMELAND SECURITY AWARD**

**FEDERAL AGENCY:**

Christopher Columbus Fellowship Foundation

**AUTHORIZATION:**

Christopher Columbus Quincentenary Coins and Fellowship Foundation, Title IV, Section 400-429, Public Law 102-281, 106 Stat. 139-145, 20 U.S.C 5701-5708.

**OBJECTIVES:**

To promote and encourage "cutting edge" innovation in the vast arena of homeland security.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

The assistance can be used to further research or as the recipient chooses.

**Applicant Eligibility:**

This is a competition NOT a grant application. Individuals/companies compete and their accomplishments are judged on how they are making measurable and constructive contributions related to basic and/or advanced research in the area of homeland security. Nominees must be involved in the field of homeland security. In public/private partnership with AgustaWestland North America, the Christopher Columbus Fellowship Foundation will present four \$25,000 Homeland Security Awards to advance research and honor individuals or companies pursuing new discoveries in the field of homeland security. One \$25,000 Homeland Security Award will be presented in 2011. Nominations are categorized in the following four fields: 1) Biological, Radiological, Nuclear, Chemical and Explosive Attacks; 2) Border and Transportation Security; 3) Cyber Security and Information Sharing; and 4) Emergency Response to Natural and Man-made Disasters. The winner may be selected from any field.

**Beneficiary Eligibility:**

U.S. citizens/companies permitted by their employer or any other relevant authority to accept a monetary award bestowed by the Christopher Columbus Fellowship Foundation, a Federal government agency. The individuals/companies will be honored for making measurable and constructive contributions related to basic and/or advanced research in the area of homeland security.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All Nominations are received online at: [www.columbusfoundationawards.org](http://www.columbusfoundationawards.org). Only Nominations that meet the eligibility requirements are accepted. Nominations are accepted from all 50 States. The deadline for Nominations is June 14, 2011.

**Award Procedure:**

The Awards are sponsored by a public-private partnership between the Christopher Columbus Fellowship Foundation and AgustaWestland North America, a global leader in designing, manufacturing and supporting the world's most technologically advanced helicopters. All Nominations are read by the Foundation Board of Trustees to select the Semifinalists. Nominators are notified of the Nominee's selection as a Semifinalist and asked to provide background material to support the Nomination. A national Evaluation Committee reviews and comments on the Semifinalist's background material. The Foundation Board of Trustees and AgustaWestland select the Award winner. The Award will be presented in Washington, D.C. on October 11, 2011.

**Deadlines:**

Mar 03, 2011 to Jun 14, 2011

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

76-8187-0-7-502.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 10 \$75,000; FY 11 est \$25,000; and FY 12 est \$25,000 - In 2010, there were four \$25,000 awards. In 2011, there will be one \$25,000 award. In 2012, there will be one \$25,000 award.

**Range and Average of Financial Assistance:**

\$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: As of 2010, 20 Homeland Security Awards have been presented. In 2010, the eighth annual Homeland Security Awards, sponsored by the public-private partnership of the Christopher Columbus Fellowship Foundation and Augusta Westland North America, were presented on October 5 in Washington, D.C.

The \$25,000 Homeland Security Award in the Biological, Radiological, Nuclear, Chemical and Explosive Attacks field is presented to Charles A. Gentile, Head, Tritium Systems Group, Princeton University - Plasma Physics Laboratory, Princeton, NJ. He is recognized for the development of the Miniature Integrated Nuclear Detection Systems (MINDS), which can identify radioactive materials used in such things as dirty bombs.

The \$25,000 Homeland Security Award in the Border and Transportation Security field is presented to Milind Tambe, Ph.D., Professor of Computer Science and Industrial & Systems Engineering, USC Viterbi School of Engineering, Los Angeles, CA. He is recognized for his research in game theoretic algorithms for use in counter-terrorism and homeland security. An example of his work is the Assistant for Randomized Monitoring Over Routes (ARMOR) system deployed at Los Angeles International Airport.

The \$25,000 Homeland Security Award in the Cyber Security and Information Sharing field is presented to the FBI Criminal Justice Information Services, Clarksburg, WV, for the development and deployment of the National Data Exchange System (N-DEX), a nationwide information sharing system to fight crime and terrorism.

The \$25,000 Homeland Security Award in the Emergency Response to Natural and Man-Made Disasters field is presented to Budhendra Bhaduri, Ph.D., Group Leader, Geographic Information Science & Technology, Oak Ridge National Laboratory, Oak Ridge, TN. Dr. Bhaduri is recognized for the development of the LandScan USA database, which can estimate the population at risk during emergency preparedness and saving lives during emergency response. Fiscal Year 2011: There will be one \$25,000 award. Fiscal Year 2012: There will be one \$25,000 award.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Judith Shellenberger, 110 Genesee Street, Suite 390, Auburn, New York 13021  
Email: JUDITHMSCOLUMBUS@CS.COM Phone: (315) 258-0090 Fax: (315) 258-0093.

**Website Address:**

<http://www.columbusfdn.org> or <http://www.ccolumbusfoundationawards.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**85.102 CHRISTOPHER COLUMBUS AWARDS****FEDERAL AGENCY:**

Christopher Columbus Fellowship Foundation

**AUTHORIZATION:**

Christopher Columbus Quincentenary Coins and Fellowship Foundation, Title IV, Section 400-429, Public Law 102-281, 106 Stat. 139-145, 20 U.S.C 5701-5708.

**OBJECTIVES:**

The Christopher Columbus Awards is a national, community-based science and technology program for middle school students. The program challenges the students to work in teams of three to four with an adult coach, to identify an issue in their community and apply the scientific method to create an innovative solution to that problem.

**TYPES OF ASSISTANCE:**

Project Grants (Special)

**USES AND USE RESTRICTIONS:**

All members of two Gold Medal winning teams are presented with U.S. Savings Bonds and one team wins the Columbus Foundation Community Grant.

The grant must be used to further develop the team's solution to the community issue they addressed in the competition. The grant team will work with a community partner on the project throughout the next year.

**Applicant Eligibility:**

Applicants are teams of three to four students in sixth through eighth grade with a coach, who identify a problem in their community and solve it using the scientific method.

**Beneficiary Eligibility:**

U.S. citizens, middle school students.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application materials may be requested by individuals who meet the eligibility requirements stated above. Entry forms and all competition information are available for download at: [www.christophercolumbusawards.com](http://www.christophercolumbusawards.com) or may be requested by calling (800) 291-6020 ext. 3154. Completed entries must be received by February 9, 2009. The program is sponsored by the Christopher Columbus Fellowship Foundation and managed by MMS Education, 105 Terry Drive, Newtown, PA 18940, Attn: Stephanie Hallman. Entries are accepted from teams of three to four students in grades six to eight from all 50 states, territories and possessions only. All team entries must include: a Christopher Columbus Awards Entry form (signed by team members and the coach), a team-written section and the visual component. To enter, mail the original and two copies of the team's community solution to: Christopher Columbus Awards, 105 Terry Drive, Suite 120, Newtown, PA 18940.

**Award Procedure:**

The Christopher Columbus Awards have three judging phases. The teams' entries are reviewed by a regional panel of judges who select 30 semifinalist teams. Another judging panel selects eight finalist teams and their coaches. The finalist teams receive an all-expense-paid trip to Florida to attend The Christopher Columbus Academy and National Championship Week, where they compete for U.S. Savings Bonds and the \$25,000 Columbus Foundation Community Grant. The finals and the Christopher Columbus Academy are held

at Walt Disney Resorts, Orlando, FL, from June 19-24, 2011.

**Deadlines:**

Feb 07, 2011 The deadline is in early February each year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

12-18 months. See the following for information on how assistance is awarded/released: U.S. Savings Bonds are presented following the awards ceremony. The grant is paid in installments upon the approval and under the direction of the Program Manager.

**Reports:**

Program reports are not applicable. No cash reports are required. Interim progress reports regarding the grant project. Final report on project. Receipts of all expenses and travel incurred regarding the grant project. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

76-8187-0-7-502.

**Obligations:**

(Project Grants (Special)) FY 10 \$247,555; FY 11 est \$265,000; and FY 12 est \$265,000

**Range and Average of Financial Assistance:**

\$2,000 U.S. Savings bonds  
\$25,000 Grant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In 2010, the \$25,000 Columbus Foundation Community Grant went to the Arthritis Magic team from Madison Middle School in Madison, MS. Highlighting the problems people with arthritis have gripping objects, making opening doors a difficult task, the team developed Arthritis Magic: a pull system designed to turn a doorknob and open a door when pulled. The team from Learning Without Limits Science Club, West Branch, IA, won gold medals and \$2,000 U.S. Savings Bonds for each team member for their Lights Out community awareness program. This outreach project highlights the benefits of retrofitting inefficient T12 lighting systems used in local business with energy efficient T8 or T5 lighting systems. The team from All Saints Catholic School from Manahawkin, NJ, won gold medals and \$2,000 U.S. Savings Bonds for each team member for their Kreepy Krawlers community outreach program. Highlighting the problems and damage caused by an increase in the local gypsy moth population, this outreach program educates the community about various ways to control the gypsy moth population. Fiscal Year 2011: In 2011, the \$25,000 Columbus Foundation Community Grant went to The River Rangers team from Ripley Aquarium, Myrtle Beach, SC. Highlighting the problems brought about by abandoned boats on rivers and the Intercoastal Waterway, the team developed a Community outreach to educate the community about the environmental problems created by abandoned boats, and creation of an alarm system to alert boaters of navigational hazards. The Pickup Patrol team from Mont Vernon Village School, Mont Vernon, NH, won gold medals and \$2,000 U.S. Savings Bonds for each team member. Highlighting the communications problems between parents and school administration when students' end-of-day travel plans change, the team developed the Pickup Patrol, an electronic system that allows parents to change

a child's after-school travel plans with the school by computer or mobile device.

The Solar Solution to Fossil Fuels team from the Mirman School, Los Angeles, CA, won gold medals and \$2,000 U.S. Savings Bonds for each team member. Highlighting the problem of the diminishing supply of fossil fuels and the pollution they cause, the team developed The Solar Solution to Fossil Fuels, a unique solar collection system that is functional anywhere in the world. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Judith Shellenberger, 110 Genesee Street, Suite 390, Auburn, New York 13021  
Email: JUDITHMSCOLUMBUS@CS.COM Phone: (315) 258-0090 Fax: (315) 258-0093.

**Website Address:**

<http://www.christophercolumbusawards.com> or <http://www.columbusfdn.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**85.104 LIFE SCIENCES AWARDS**

**FEDERAL AGENCY:**

Christopher Columbus Fellowship Foundation

**AUTHORIZATION:**

Christopher Columbus Quincentenary Coins and Fellowship Foundation, Title IV, Section 400-429, Public Law 102-281, 106 Stat. 139-145, 20 U.S.C 5701-5708.

**OBJECTIVES:**

The Life Sciences Awards are designed to encourage and promote cutting edge innovation in the field of life sciences. Monetary Awards will be presented to an adult scientist; three high school educators; and three high school students.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

No restrictions for Direct Payments for award to scientists, secondary school educators or current secondary students. Restrictions apply only to the additional \$25,000 in research funds that will be presented to the recipient of the Chairmen's Distinguished Life Sciences Award which may be used to hire a graduate student to assist with the research or the funds may be used toward the research itself. Funds for the research project will be released in increments, not to exceed two years, based on the progress of the research, with a final report on the results due upon completion.

**Applicant Eligibility:**

This is a competition NOT a grant application. Individuals compete and their accomplishments are judged on how they exemplify excellence in life sciences. Nominees must be involved in the field of life sciences research or life sciences education as follows: one adult scientist; three current high school educators; three current high school students in Biology, Chemistry or other life sciences courses.

**Beneficiary Eligibility:**

In public/private partnership with the U.S. Chamber of Commerce, the Foundation will present seven Life Sciences Awards to U.S. citizens permitted by their employer or any other relevant authority to accept a monetary award bestowed by the Christopher Columbus Fellowship Foundation, a Federal government agency. Seven monetary awards will be presented as follows: one \$25,000 award to an adult scientist with an additional \$25,000 for research; three \$10,000 awards to current high school educators; and three \$5,000 awards

to current high school students in Biology, Chemistry or other life sciences course who are judged to exemplify excellence in life sciences.

#### Chairmen's Distinguished Life Sciences Award

The \$25,000 Chairmen's Distinguished Life Sciences Award will be presented to an adult scientist who is making or has recently made a significant and positive contribution related to developing a "cutting edge" innovation in the field of life sciences. In addition, \$25,000 in research funds will be presented to be used to hire a graduate student to assist with the research or the funds may be used toward the research itself. In order to receive the research funds, a comprehensive outline on the research project must be submitted and approved by the Foundation.

#### Life Sciences Educator Awards

Three \$10,000 Life Sciences Educator Awards will be presented to current high school educators, with at least five years of teaching experience, and who are making or have recently made significant and positive contribution related to promoting the study of life sciences to students.

#### Life Sciences Student Awards

Three \$5,000 Life Sciences Student Awards will be presented to current high school students who are making or have recently made significant and positive contributions related to the study of Biology, Chemistry and other life science courses.

#### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Only Nominations that meet the eligibility requirements are accepted. Nominations will be accepted from all 50 States. All Nominations are received online at [www.ccolumbusfoundationawards.org](http://www.ccolumbusfoundationawards.org). The deadline is Tuesday, April 5, 2011.

As a part of the Nomination for the Chairmen's Distinguished Life Sciences Award, a comprehensive outline of the specific research project must accompany the initial Nomination, and will be judged as part of the overall Nomination packet submitted.

#### Award Procedure:

All Nominations are read by the Board of Trustees of the Christopher Columbus Fellowship Foundation to select the Semifinalists. Nominators are notified of the Nominees selection as a Semifinalist and asked to provide background material to support the Nomination. A national Evaluation Committee reviews and comments on the Semifinalists background material. The Foundation Board and the U.S. Chamber ultimately select the winners. The Awards were presented in Washington, D.C., on July 11, 2011.

#### Deadlines:

Feb 01, 2011 to Apr 05, 2011

#### Range of Approval/Disapproval Time:

Not Applicable.

#### Appeals:

Not Applicable.

#### Renewals:

Not Applicable.

#### Formula and Matching Requirements:

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### Length and Time Phasing of Assistance:

Not applicable for the Direct Payments with Unrestricted Use for lump sums. See the following for information on how assistance is awarded/released: Lump sums for award winners are disbursed immediately. The Foundation must approve the Research project. Research funds may be disbursed in increments for up to a two-year period, with a final report on the results due upon completion.

#### Reports:

Program reports are not applicable. Cash reports are not applicable. Progress reports are required for the research project, with a final report on the results due upon completion. Expenditure reports are not applicable. Performance monitoring is not applicable.

#### Audits:

Not Applicable.

#### Records:

Not applicable.

#### Account Identification:

76-8187-0-7-502.

#### Obligations:

(Direct Payments for Specified Use) FY 10 \$25,000; FY 11 est \$25,000; and FY 12 est \$0 - An additional \$25,000 in research funds will be presented to the recipient of the Chairmen's Distinguished Life Sciences Award to be used to hire a graduate student to assist with the research or the funds may be used toward the research itself. In order to receive the research funds, a comprehensive outline on the research project must be submitted and approved by the Foundation. (Direct Payments with Unrestricted Use) FY 10 \$65,000; FY 11 est \$95,000; and FY 12 est \$70,000 - In 2008 and 2009, Awards were presented as follows: one \$25,000 Award per year to a scientist/researcher; one \$10,000 Award per year for a high school AP Biology or AP Chemistry teacher; one \$5,000 Award per year for an AP Biology student and one \$5,000 Award per year for an AP Chemistry student.

In 2010, the number of awards was increased to seven as follows: one \$25,000 award to an adult scientist or researcher with an additional \$25,000 for research funds; three \$10,000 awards to a current high school educators; and three \$5,000 awards to current secondary high school students who are judged to exemplify excellence in the field of life sciences. Two high school student awards were presented in 2010.

#### Range and Average of Financial Assistance:

\$5,000-\$25,000.

#### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2010: Number of Awards will increase from four to seven Awards, plus an additional \$25,000 for research for the Chairmen's Distinguished Life Sciences Award.

In 2010, the third annual Life Sciences Awards, sponsored by the public-private partnership of the Christopher Columbus Fellowship Foundation, a Federal government agency, and the U.S. Chamber of Commerce were presented on July 13, 2010 in Washington, D.C. James F. Leary, Ph.D., SVM Professor of Basic Medical Sciences and Biomedical Engineering, Birk Nanotechnology Center, Purdue University, Lafayette, IN, was awarded the 2010 \$25,000 Chairmen's Distinguished Life Sciences Award. Dr. Leary's research involves designing "next-generation", advanced nanodelivery systems for drugs and genes to combat cancer and other diseases. He has invented a variety of new nanomedical devices with targeting molecules that deliver therapeutic drugs precisely to diseased cells to perform single cell "nanosurgery", which eliminate the diseased cells while trying to preserve nearby normal cells, allowing for much smaller drug doses and fewer side effects. Dr. Leary will also receive up to \$25,000 in research funds.

Derrick C. Wood, Chemistry Educator, Conestoga High School, Berwyn, PA, was awarded the 2010 \$10,000 Life Sciences Educator Award. Teaching at Conestoga High School since 2004, Derrick instills the same passion for Chemistry that he experiences - by showing his students that Chemistry is not an exercise in futility, but is extremely relevant to their lives. He authored Case-Studies for his High School Chemistry curriculum and uses them as an alternative and authentic way of integrating the lab component into Chemistry,



giving his students the opportunity to experience science in the same way it is done outside the classroom. Derrick has given presentations at NSTA and ACS National Conventions where he shared his curriculum with teachers across the country. In Derrick's opinion though, his greatest accomplishments are the students that have graduated from Conestoga with a passion for science and have pursued college majors and careers as a result of the same love for science that I embrace.

Michelle Bagley, Biology Educator, Centennial High School, Ellicott City, MD, was awarded the 2010 \$10,000 Life Sciences Educator Award. Michelle has been an educator for 30 years teaching biology and research, a passion she developed doing science fair projects during her own school years. Michelle has written curriculum for the county and the National Association of Biology Teachers and has made numerous presentations for conferences and organizations on a variety of topics. She has been at Centennial High School since 1991 and currently works with students in the Intern/Mentor Program as part of the Gifted and Talented Program. Among her students, she boasts winners in the Siemens Competition, Christopher Columbus Life Science Student Award, Intel Science Talent Search, Intel International Science and Engineering Fair, and many others. She has been honored as a Presidential Scholar Teacher, a Coca-Cola Educator of Distinction, and Intel Teacher of the Year.

Ryan Templeton, Biology Educator, Mathematics and Science High School at Clover Hill, Midlothian, VA, was awarded the 2010 \$10,000 Life Sciences Educator Award. Ryan teaches freshman biology and AP Biology at the Mathematics and Science High School at Clover Hill, where he also serves as Research Coordinator. Ryan is also Director of the Virginia Summer Governor's School for Life Sciences and Medicine at Virginia Commonwealth University. Emphasizing and encouraging student research in his classes, his students conduct independent research projects and present their findings at national and international competitions. His efforts have been recognized by the Virginia Academy of Science with an E.C.L. Miller Teaching Award, and a Virginia Presidential Award for Excellence in Mathematics and Science Teaching, as well as commendations from the Virginia Department of Education and Virginia Mathematics and Science Coalition.

Jason Gandelman, a senior at Staples High School, Westport, CT, was awarded the 2010 \$5,000 Life Sciences Student Award. Jason's high school research investigated toxic compounds called Advanced Glycation End-products (AGEs), which are known to contribute to the long-term health problems associated with diabetes, a disease his family has a long history with. Jason's study showed that yeast has evolved mechanisms to minimize the formation of toxic AGE compounds. Attempting to identify a protein that will block the human body's receptor sites from binding with AGEs, Jason believes his study will lead to new medications to prevent or cure blood vessel and kidney damage associated with diabetes. Jason aspires to continue conducting research in biological chemistry at Harvard University.

Anirudh Mohan, a senior at Thomas Jefferson High School for Science and Technology, Alexandria, VA, was awarded the 2010 \$5,000 Life Sciences Student Award. Anirudh's primary passion lies in the field of biomedical engineering, with an interest in pursuing both technical and business perspectives. During his last two years of high school, he conducted nanobiotechnology research at George Mason University. His research involved the nanoengineering of polymers to synthesize novel, smart diagnostic devices which can be utilized in lieu of conventional techniques, such as differential diagnosis. He published his results in American Chemical Society journals, earned semifinalist status in the Siemens Competition, and received multiple science fair honors at the Virginia state level. In the Fall, he will begin to pursue his studies as an Angier B. Scholar at Duke University. Fiscal Year 2011: In 2011, the Fourth Annual Life Sciences Awards, sponsored by the public-private partnership of the Christopher Columbus Fellowship Foundation, a Federal government agency, and the U. S. Chamber of Commerce were presented on July 11 in Washington, D.C. The Awards are intended to recognize, through seven monetary awards and research funds, one scientist and provide research funds; three high school educators; and three current high school students who are judged to exemplify excellence in the field of life sciences.

Melissa Knothe Tate, Ph.D., Professor of Biomedical Engineering, Case Western Reserve University, Cleveland, OH, was awarded the \$25,000 Chairmen's Distinguished Life Sciences Scientist Award. Dr. Knothe Tate is an internationally recognized leader in the fields of orthopaedic mechanobiology as well as the development and clinical translation of novel technologies and materials. Dr. Knothe Tate's work involves studying the mechanobiology of living cells and how stresses, strains and mechanical forces affect cell signaling, differentiation, etc. This expands understanding of bone healing and supports development of synthetic tissues. Dr. Knothe Tate will also receive up to \$25,000 in research funds.

Deborah Wasylik, Life Sciences Educator, Dr. Phillips High School, Orlando, FL, was awarded the \$10,000 Life Sciences Educator Award. Creating curiosity in science class is important to Deborah Wasylik. She accomplishes this when she tells her students that before she became a teacher she had climbed inside a pyramid, jumped out of an airplane and sold drugs! She was a pharmaceutical sales rep. For the last 10 years she has enjoyed teaching life sciences at Dr. Phillips High School. Deborah has been the recipient of many awards including being selected last year as a NASA Endeavor STEM Fellow and previously received the Presidential Award of Excellence in Mathematics and Science Teaching from President Bush at the White House.

Coit Hendley, Chemistry Educator, Eleanor Roosevelt High School, Greenbelt, MD, was awarded the \$10,000 Life Sciences Educator Award. Mr. Hendley has been teaching for 32 years, and currently teaches AP Chemistry and Research Practicum. The AP Chemistry program he developed has been recognized by the College Board since 2006 for having the most number of African-American students with a score of 3 or better. A National Board Certified grant writer, Coit has received many grants used to fund such projects as the Watershed Integrated Study Program, in which teams of students measure the water quality of fourteen sites in the area and use the data to study local and general water quality.

Leslie Brinson, Biology Educator, North Carolina School of Science and Mathematics (NCSSM), Durham, NC, was awarded the \$10,000 Life Sciences Educator Award. A teacher for 30 years, Leslie has been teaching at the NCSSM since 1995, and has come to believe that there is no better educational environment than NCSSM. In this residential setting, students are provided a competitive and nurturing pedagogical setting to conduct their own research and pursue a myriad of science competitions within North Carolina and beyond.

The highlight of the school year is when she leads students to Belize where they are immersed in research projects on the coral reef. Inspired by her colleagues, Leslie has also enthusiastically embraced a key mission of the school - providing outreach to biology teachers throughout the State.

Amy Chyao, Junior, Plano East Senior High School, Plano, TX, was awarded the \$5,000 Life Sciences Student Award. Amy became intrigued by science in the first grade. Inspired by Marie Curie's dedication to discoveries and scientific contributions, Amy was determined to follow her example. Amy's passion for science led her to a unique opportunity offered by the University of Texas at Dallas. She joined the 2009 Nano-Explorers summer program and stepped into the intricate world of nanotechnology. Her passion for science propelled her to work hard and to excel as she continues to work toward becoming a next generation scientist. In 2010, she was the winner of the first Gordon Moore Award at the Intel ISEF. She also had the honor to attend President Obama's 2011 State of the Union Address.

Kayla Dowell, Junior, Germann Hills Christian School, Manhattan, KS, was awarded the \$5,000 Life Sciences Student Award. In just the last three years, Kayla Dowell has become proficient in the use of near-infrared spectroscopy (NIRS) technique which measures the traits of biological materials. Kayla learned about NIRS as a student volunteer with the USDA Agricultural Research Service. In 2009, Kayla used her NIRS skills at a malaria research lab in Tanzania, Africa, conducting research on mosquitoes that transmit malaria. In 2010, at a medical clinic at an orphanage in Zimbabwe, she showed that NIRS could be used to determine artemisinin content in extracts of a local plant, *Artemisia annua*, which is used to cure malaria. This research could be used to rapidly evaluate new cultivars of this important cure for a disease that kills over 1 million people each year. Her research has prompted further studies by scientists in Tanzania, Kenya and Nigeria.

Christopher Duncan-Lewis, Senior, Winter Springs High School, Winter Springs, FL, was awarded the \$5,000 Life Sciences Student Award. From a young age, Christopher has shown interest in the medicine and health sciences.

Excelling in science courses, Christopher undertook a significant research project during his junior and senior high school years. Christopher believes his research on the harmful effects of certain compounds on the sense of smell provide evidence against the use of such compounds in the nasal passage, and have the potential to increase our understanding of the sense of smell. His research report has been accepted for publication in Comparative Medicine: a medical journal. A National Achievement Scholar, AP Scholar, and AXA Achievement Scholar, in addition to many other awards, Christopher won a second prize in medicine and health at the 2011 Intel International Science and Engineering Fair. Christopher will attend the University of Pennsylvania in the Fall, majoring in biochemistry. Fiscal Year 2012: Seven awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Judith Shellenberger, 110 Genesee Street, Suite 390, Auburn, New York 13021  
Email: JUDITHMSCOLUMBUS@CS.COM Phone: (315) 258-0090 Fax: (315) 258-0093.

**Website Address:**

<http://www.columbusfoundationawards.org> or <http://www.columbusfdn.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**85.105 AGRISCIENCE AWARDS**

Agriscience Awards

**FEDERAL AGENCY:**

Christopher Columbus Fellowship Foundation

**AUTHORIZATION:**

Christopher Columbus Quincentenary Coins and Fellowship Foundation, Title IV, Section 400-429, Public Law 102-281, 106 Stat. 139-145, 20 U.S.C 5701-5708.

**OBJECTIVES:**

To encourage and promote "cutting edge" innovation in the field of Agriscience.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

No restrictions for Direct Payments to scientists/researchers, current high school educators or current high school students. Restrictions apply to Research projects only, as described below. Research project funds only: Additional funds for the scientist/researcher project will be released in increments based on the progress of the research, not to exceed two years, with a final report on the results due upon completion.

**Applicant Eligibility:**

Nominees must be involved in the field of Agriscience research or Agriscience education in one of the following areas: adult scientists or researchers; current high school educators; or current high school students.

**Beneficiary Eligibility:**

In public/private partnership with the American Farm Bureau Federation, the Foundation will present eight Agriscience Awards to U.S. citizens permitted by their employer or any other relevant authority to accept a monetary award bestowed by the Christopher Columbus Fellowship Foundation, a Federal government agency. Eight monetary awards and research funds will be presented as follows: Two \$25,000 Distinguished Agriscience Scientist Awards will be presented to adult scientists who are making or have recently made significant and positive contributions in the field of agriscience. In addition, \$25,000 will be presented to each scientist recipient to be used to hire a

graduate student/researcher to assist with a specific research project or to be used toward the project itself. The awards will provide incentive for continuing the research. Three \$10,000 Agriscience Educator Awards will be presented to three current high school educators, with at least 5 years of teaching experience, and who emphasize concepts, principles and applications in their curriculum to promote the study of agriscience to students. Three \$5,000 Agriscience Student Awards will be presented to current high school students who are making or have recently made significant and positive contributions related to the study of agriscience.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Only Nominations that meet the eligibility requirements stated above are accepted. Nominations will be accepted from all 50 States. All Nominations are received online at [www.agriscienceawards.com](http://www.agriscienceawards.com). The deadline is Tuesday, April 5, 2011.

As a part of the Nomination for the Distinguished Agriscience Scientist Awards, a comprehensive outline of the specific research project must accompany the initial Nomination, and will be judged as part of the overall Nomination packet submitted.

**Award Procedure:**

The Awards are sponsored by a public-private partnership between the Foundation and the American Farm Bureau Federation. All Nominations are read by the Board of Trustees of the Christopher Columbus Fellowship Foundation to select the Semifinalists. Nominators are notified if a Nominee is selected as a Semifinalist and asked to provide background material to support the Nomination. A national Evaluation Committee reviews, ranks and comments on each Semifinalist. The Board of Trustees ultimately selects the winners of each award. The Award were presented in Washington, D.C., on July 12, 2011.

**Deadlines:**

Mar 15, 2011

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Direct lump sum payments to researchers, educators and students. Research projects - see below. See the following for information on how assistance is awarded/released: Research projects only - funds will be distributed for up to 2 years based on the progress of the project.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are required for the research projects only for up to 2 years of the project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

76-8187-0-7-502; 76-8187-0-7-502.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$50,000; FY 11 est \$50,000; and FY 12 est \$0 - Two research awards totalling \$50,000 for FY 2010 and FY 2011. (Direct Payments with Unrestricted Use) FY 10 \$95,000; FY 11 est \$95,000; and FY 12 est \$70,000 - Eight direct payments of unrestricted use awards totalling \$95,000 in lump sum payments in FY 2010 and FY 2011.

**Range and Average of Financial Assistance:**

\$5,000 - \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This is the inaugural year of the Awards. The Awards are intended to recognize, through eight monetary awards and research funds, two adult scientists and provide research funds; three current high school educators; and three current high school students who are judged to exemplify excellence in the field of Agriscience and to highlight the importance of agriculture in the 21st century.

Patricia Kennedy, Ph.D., Professor in the Department of Fisheries and Wildlife at Oregon State University, Eastern Oregon Agricultural Research Center, Union, OR, was awarded the \$25,000 Distinguished Agriscience Scientist Award. Dr. Kennedy has a unique faculty position; she is one of the few wildlife biology faculty at a land grant institution who is stationed at an Agricultural Experiment Station. She represents the future of these stations where research into agricultural sustainability requires both a commodity and ecological perspective. Dr. Kennedy is renowned for her practical and proactive approach to endangered species management, with research aimed at reducing the need to list wildlife as threatened or endangered. Currently, Dr. Kennedy directs a variety of collaborative investigations on management alternatives that promote sustainable livestock and crop production in the inter-mountain west. Dr. Kennedy will also receive up to \$25,000 in research funds.

Thomas J. Jackson, Ph.D., Research Hydrologist with the U.S. Department of Agriculture, Agricultural Research Service, Hydrology and Remote Sensing Lab, Beltsville, MD, was awarded the 2010 \$25,000 Distinguished Agriscience Scientist Award. Dr. Jackson's research involves the application and development of remote sensing technology in hydrology and agriculture, primarily microwave measurement of soil moisture, resulting in over 300 scientific publications. The focus of his current research is the development of the Soil Moisture Active Passive (SMAP) satellite, scheduled for 2014. He is the SMAP science team lead for calibration and validation. Dr. Jackson will also receive up to \$25,000 in research funds.

Crystal Retzlaff, Agriculture Educator and FFA Advisor, Oconto Falls High School, Oconto Falls, WI, was awarded the 2010 \$10,000 Agriscience Educator Award. Crystal has been teaching at Oconto Falls High School for seven years. She teaches Genetics, Biotechnology, Pet/Companion Animals, Exploring Agriculture, Veterinary Science, Food Science, Introduction to Career Foods, Food Processing, Wildlife/Forestry, Animal Science, Landscape/Floriculture, and Anatomy/Physiology. She also advises the local FFA consisting of over 125 members.

Lisa Konkell, Agriscience Educator and FFA Advisor, Big Foot Union High School, Walworth, WI, was awarded the \$10,000 Agriscience Educator Award. Lisa is a veteran teacher with 17 years of teaching experience. When she started at Big Foot, it was a half-time program which quickly became a full-time program after her first year and is now a two-person Agriscience Department. Curriculum transformation has occurred in the past 15 years from a primarily production agriculture focus to the balance of production and agribusiness concepts with a strong emphasis on science incorporation.

Byron L. Ernest, Department Head for Agriculture, Lebanon Community School Corporation, Lebanon, IN, was awarded the \$10,000 Agriscience Educator Award. Mr. Ernest was recruited to start Lebanon's Agriculture Department which now, in its 7th year, has four teachers and an enrollment of 584 students in grades 8-12, the largest in Indiana. Byron teaches Advanced Life Science courses in animals, plant and soil, and food science. These are dual credit courses with Purdue University College of Agriculture. In cooperation

with AgReliant Genetics, he has developed project/inquiry-based agriscience lessons where students are doing actual research, and publish their findings through the use of pod-casts and wiki sites. This transparency allows actual scientists from around the world to critique the students' work. Byron was named the 2010 Indiana Teacher of the Year, the first time an Agriculture Instructor has ever been selected for this honor.

Rosemary Chapple, Senior, Waterloo High School, Waterloo, IL, was awarded the 2010 \$5,000 Agriscience Student Award. Raised on a small Angus cattle farm in Southern Illinois, Rosemary has been a 7-year, 4-H member, showing cattle and chickens. Her three chick experiments led her to 24 different competitions including two international science fairs and three national FFA agriscience fairs. Rosemary recently won the Illinois State SAE award in Emerging Technologies featuring her experiments. A member of the Waterloo FFA, she served on the State officer team as president of 14 FFA chapters. In the Fall, Rosemary will attend the University of Illinois majoring in Aerospace Engineering.

Stephanie Hoskins, Senior, Lincoln Park Academy High School, Fort Pierce, FL, was awarded the 2010 \$5,000 Agriscience Student Award. From a young age, Stephanie was intrigued by the enigmas of natural science. In 7th grade, she began researching the use of bacteria isolates as biological control agents against plant pathogenic fungi and has developed her research over the past six years. At the conclusion of her research, she has confirmed *Paenibacillus lentimorbus* and *Burkholderia pyrrocinia* as biological control agents against 13 plant pathogenic fungi and is the first person to identify the genes responsible for the observed antimicrobial activity. Stephanie will attend Vanderbilt University in the Fall and plans to become a microbiologist.

Jake Carlson, Junior, Elk Grove High School, Elk Grove, CA, was awarded the 2010 \$5,000 Agriscience Student Award. Jake has been showing livestock since he was eight, and he currently owns 35 head of Toggenburg and Saanen dairy goats. Jake has successfully exhibited his goats in California and across the western United States. Jake also completed his Eagle Scout requirements this year by building and installing 10 wood duck nesting boxes in Deer Creek Wildlife Preserve. He will begin serving as President of the Elk Grove FFA Chapter, as well as Sacramento Section Vice President, and plans to run for a California State FFA office. After high school, Jake plans to attend Fresno State University and major in biological sciences, with a future goal of becoming a large animal veterinarian. Fiscal Year 2011: In 2011, the Second Annual Agriscience Awards, sponsored by the public-private partnership of the Christopher Columbus Fellowship Foundation, a Federal government agency, and the American Farm Bureau Federation were presented on July 12, in Washington, D.C. The Awards are intended to recognize, through eight monetary awards and research funds, two scientists and provide research funds; three high school educators; and three current high school students who are judged to exemplify excellence in the field of agriscience and to highlight the importance of agriculture in the 21st century.

Randall Prather, Ph.D., Distinguished Professor of Reproductive Biotechnology, Division of Animal Science, The University of Missouri, Columbia, MO, was awarded the \$25,000 Distinguished Agriscience Scientist Award. Dr. Prather's research has focused on the early mammalian embryo, and he cloned the first pigs and some of the first cattle, by nuclear transfer, while at the University of Wisconsin-Madison. Now at the University of Missouri, his lab has made over 495 cloned pigs representing over 25 different genetic modifications for agriculture and medicine. Dr. Prather is a co-Director of the NIH-funded National Swine Resource and Research Center. Dr. Prather will also receive up to \$25,000 in research funds.

Andrew H. Paterson, Ph.D., Distinguished Research Professor at the University of Georgia was awarded the \$25,000 Distinguished Agriscience Scientist Award. Dr. Paterson is the head of the Plant Genome Mapping Laboratory, and is jointly appointed in three Departments (Crop and Soil Science, Plant Biology, and Genetics). His research uses genomic tools and approaches to study crop improvement, plant biodiversity, and molecular evolution. His lab has contributed to knowledge of sorghum, cotton, sugarcane, peanut, *Miscanthus*, switchgrass, Bermuda grass, broccoli, cauliflower, cabbage, rice, tomato, maize and other crops, as well as several major weeds, one nitrogen-fixing bacterium (*Azospirillum*), and a group of viruses important in poultry. Dr. Paterson will also receive up to \$25,000 in research funds.

Michele Sutton, Agriscience Educator and FFA Advisor, Tompkins Seneca Tioga BOCES, Ithaca, NY, was awarded a \$10,000 Agriscience Educator Award. Michele left a ten-year career in government to pursue an education degree when she realized she wanted to work with students in the field of agriculture. During her first secondary school teaching position, she transformed an outdated, struggling program of 13 students into a program of more than 100 students in two short years. She is now a teacher of the BOCES New Visions in Life Sciences program for area high school students at Cornell University where she has taught agricultural science for the past six years.

Melissa Braun, Agriscience Educator and FFA Advisor, Gillett Secondary School, Gillett, WI, was awarded a \$10,000 Agriscience Educator Award. For the last eight years, Melissa has taught agriscience to students in grades 7-12. This Fall she begins a new venture at Shawano High School in the agriculture department. Melissa teaches a wide array of agriscience courses, but has a great interest in the areas of food science, horticulture, and greenhouse management. Her teaching includes many hands-on activities and field trips to reinforce the scientific principles throughout her lessons. She follows an agricultural education model which involves all components--classroom instruction, FFA involvement and a Supervised Agricultural Experience Project.

Paul Heasley, Agriscience Educator and FFA Advisor, State College Area School District, State College, PA, was awarded a \$10,000 Agriscience Educator Award. Mr. Heasley has taught Agricultural Sciences in grades 9-12 for 30 years. The program's courses are grouped in Career Paths including: Ag Mechanics, Animal Science, Natural Resources and Plant Sciences. A senior year option includes a "Dual Enrollment" with The Pennsylvania State University's College of Agricultural Sciences and 18 different agricultural Science courses provided on campus or through the World Campus. The program has active chapters in the FFA and Young Farmers.

Laura Lane, Senior, Aztec High School, Aztec, NM, was awarded a \$5,000 Agriscience Student Award. Laura's love of science inspired her project to tackle indicators of soil ecosystem health for oil and gas reclamation. One out of every three abandoned wellsite does not reestablish plant biodiversity, leaving thousands of acres of undesirable soil that cannot support grazing. Laura has worked with Habitat for Humanity, and last summer went to Guatemala on a build. In the Fall she plans to attend New Mexico Tech to study pre-medical; and major in biochemistry or chemical engineering. After her undergraduate studies, she wants to attend medical school and become a trauma doctor.

Bhiravi Rathinasabapathi, Senior, Eastside High School, Gainesville, FL, was awarded a \$5,000 Agriscience Student Award. Bhiravi's interests include science, service and literature. She is currently researching the biofortification of crops with iron. Biofortification is the breeding or genetic modification of plants to increase their nutrient content. Bhiravi is examining the effects of the overexpression of a ferritin gene on plants' iron content and biomasses. This research may eventually lead to an iron-biofortified crop. Such a crop would combat anemia, which affects an estimated two billion people worldwide. Stephen Bethel, Senior, Lake Brantley High School, Altamonte Springs, FL, was awarded a \$5,000 Agriscience Student Award. Stephen's research "Evaluation of Ubiquitin Promoter Express Abilities for Potential Use in Transgenic Grape Vine" (*Vitis vinifera*), explored consumer-friendly genetic alternatives to replace viral DNA currently used in genetically modified produce. Stephen met Nobel Laureate, Dr. Martin Chalfie, a biological sciences researcher who first demonstrated the value of GFP, a luminous genetic tag that Stephen used in his work. This Fall, Stephen will attend the University of Florida Honors Program in Aerospace Engineering. Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Judith Shellenberger, 110 Genesee Street, Suite 390, Auburn, New York 13021  
Email: JUDITHMSCOLUMBUS@CS.COM Phone: (315) 258-0090 Fax: (315) 258-0093.

#### **Website Address:**

<http://www.agriscienceawards.com> or <http://columbusfdn.org>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

#### **89.001 NATIONAL ARCHIVES REFERENCE SERVICES\_HISTORICAL RESEARCH**

##### **FEDERAL AGENCY:**

National Archives and Records Administration

##### **AUTHORIZATION:**

National Archives and Records Administration Act of 1984, Public Law 98-497, 98 Stat. 2280.

##### **OBJECTIVES:**

Objectives: To provide professional reference service to members of the general public and employees of the Federal government who are conducting research in Federal records or in historical materials in Presidential Libraries; provide advice and information to the public through conferences, workshops and other outreach activities on the availability and use of Federal records and publications in NARA's custody.

##### **TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

##### **USES AND USE RESTRICTIONS:**

The assistance provided by NARA is designed to assist the public in obtaining access to information contained in records which are in the custody of the National Archives. Restrictions on the use of accessioned records in the National Archives of the United States are divided into two categories: general restrictions and specific restrictions. General restrictions apply to all records regardless of origin and apply to types of information or classes of records exempt from disclosure under the Freedom of Information Act, for example, national security information. Specific restrictions are specified by the transferring agency or donor and apply only to records in a particular record group or a portion of that record group. Access to records in the records center operations within NARA's regional records services facilities; in the National Personnel Records Center; and in the Washington National Records Center is controlled by the agency which created the records. General restrictions apply to all records regardless of origin, and apply to types of information or classes of records exempt from disclosure under the Freedom of Information Act. Specific restrictions are specified by the transferring agency or donor, and apply only to records in a particular record group or a portion of that group. All procedures are included in 36 CFR 1256.

##### **Applicant Eligibility:**

Anyone (general public).

##### **Beneficiary Eligibility:**

Anyone (general public).

##### **Credentials/Documentation:**

Photographic identification. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To see records in person, NARA Form 14003, Researcher Application, is required. To obtain information or copies by mail, contact the depository; if a form is

required, applicant will be notified. The use of publications, such as microfilm publications of the U.S. Census, does not require the completion of a Researcher Application. Microfilm publications are available in regional facilities in self-service reference rooms. Request for civilian and military personnel records should be addressed to the National Personnel Records Center. Requests for court records should be addressed to the appropriate regional records services facility. Requests for records held in records center operations of the NARA regional records services facility and in the Washington National Records Center should be addressed directly to the agency having legal custody.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

88-0300-0-1-804.

**Obligations:**

(Salaries) FY 10 \$56,683,729; FY 11 est \$58,862,149; and FY 12 est \$59,690,195

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: For fiscal year 10 the National Archives provided 1,622,407 reference responses and 563,712 items to researchers. Fiscal Year 2011: For fiscal year 2011, it is estimated that the National Archives will provide 1,436,671 reference responses and 589,395 items will be provided to researchers. Fiscal Year 2012: For fiscal year 2012, it is estimated that the National Archives will provide 1,436,671 reference responses and 589,395 items will be provided to researchers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

36 CFR Chapter XII, Subchapter C. Over 200 printed publications are available as listed in General Information Leaflet No. 3, "Select List of Publications of the National Archives and Records Administration," available without charge from the Publication Services (NEPS), National Archives and Records Administration, Washington, DC 20408.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a list of addresses.

**Headquarters Office:**

Karen DeGrazia 8601 Adelphi Road, College park, Maryland 20740 Email: Karen.DeGrazia@NARA.gov Phone: 3018370577 Fax: 3018373224

**Website Address:**

<http://www.archives.gov>.

**RELATED PROGRAMS:**

89.003 National Historical Publications and Records Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**89.003 NATIONAL HISTORICAL PUBLICATIONS AND RECORDS GRANTS**

**FEDERAL AGENCY:**

National Archives and Records Administration

**AUTHORIZATION:**

National Archives and Administration Act of 1984, Public Law 108-383, 118 Stat. 2218.

**OBJECTIVES:**

To undertake a wide-range of activities related to the preservation, publication, and use of documentary sources relating to the history of the United States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for projects to strengthen the nation's archival infrastructure through collaboration with the States; to provide leadership in preserving and making accessible important documentary sources in electronic form; to improve the knowledge, performance, and professional skills of those who work with historical records; for the preservation, arrangement and description of records of historical interest; and for the publication in book, microform or electronic editions of papers and documents of national historical significance, especially in completing editions of papers on America's founding era.

**Applicant Eligibility:**

State and local governments, U.S. territorial agencies, federally and State recognized Indian tribes (see 44 U.S.C. 2504), educational and other nonprofit institutions (e.g., universities, colleges, libraries, historical societies, museums, university presses, archives, etc.) and individuals.

**Beneficiary Eligibility:**

State and local governments, U.S. territorial agencies, federally and State recognized Indian tribes, educational and other nonprofit institutions, and individuals.

**Credentials/Documentation:**

A Data Universal Number System (DUNS) must be obtained. It has been adopted by the Federal Government to help track how Federal grant money is distributed. To obtain this number, call Dun & Bradstreet hotline at 1-866-705-5711. Registration with Central Contractor Registry (CCR) is required. Visit the CCR website at <http://www.ccr.gov>. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to the NHPRC must be submitted via [www.grants.gov](http://www.grants.gov). Guidelines and application instructions are available online at [www.archives.gov/nhprc](http://www.archives.gov/nhprc).

**Award Procedure:**

Applications are reviewed by state historical records advisory boards, subject area specialists and other appropriate individuals. Grant awards are recommended by the National Historical Publications and Records Commission

at biennial meetings. Grants are formally made by the Archivist of the United States to the applicant institution by letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 6 to 8 months.

**Appeals:**

Applications may be revised and resubmitted in accordance with established procedures.

**Renewals:**

Procedures for the renewal of applications are the same as the original application procedure process.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies depending on scope of project. See the following for information on how assistance is awarded/released: Based upon the submitted material.

**Reports:**

No program reports are required. No cash reports are required. Narrative Progress reports are required for all grants. Theses reports are due 30 days after the end of each 6-month period, with the final report due within 90 days after the expiration of the grant period. Grants with a duration of 6 months or less require a final report only. Financial status reports are required for all grants. SF-425, Federal Financial Report, shall be used for all financial reports, which are due 30 days after the end of each 12-month period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

**Records:**

The grantee institution maintains records which fully disclose the amount and disposition of granted funds, the total cost of the undertaking, the portion of the cost supplied by other sources, and such other records as will facilitate an effective audit. Documentation must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

88-0301-0-1-804.

**Obligations:**

(Project Grants) FY 10 \$9,856,800; FY 11 est \$7,830,000; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

\$3,500.00 to \$300,000.00 with average of \$88,800.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY2010, 216 grant applications were reviewed and 111 were awarded. The average amount of grant awarded was \$88,800. Fiscal Year 2011: In FY2011, it is estimated that 180 grant applications will be reviewed and approximately 90 grants will be awarded. The average amount of grant awarded is estimated to be \$87,000. Fiscal Year 2012: In FY2012, it is estimated that 180 grant applications will be reviewed and approximately 70 grants will be awarded. The average amount of grant awarded is estimated to be \$71,430.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicable regulations and guidelines (2 CFR Parts 215,220,225, and 230; 36 CFR 1206-1212), as well as grant opportunity announcements are available at [www.archives.gov/nhprc](http://www.archives.gov/nhprc).

**Regional or Local Office:**

None.

**Headquarters Office:**

Christine Dunham, National Archives and Records Administration  
NHPRC

700 Pennsylvania Ave, NW

Room 114, Washington, District of Columbia 20408 Email: [nhprc@NARA.gov](mailto:nhprc@NARA.gov)

Phone: 202-357-5010

**Website Address:**

<http://www.archives.gov/nhprc>

**RELATED PROGRAMS:**

45.149 Promotion of the Humanities\_Division of Preservation and Access;  
89.005 Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See program guidelines at [www.archives.gov/nhprc](http://www.archives.gov/nhprc).

**89.005 COOPERATIVE AGREEMENTS TO SUPPORT THE PROGRAMS OF THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)**

**FEDERAL AGENCY:**

National Archives and Records Administration

**AUTHORIZATION:**

, Public Law 108-383, 118 Stat. 2218, 44 U.S.C 2119.

**OBJECTIVES:**

To undertake a wide-range of activities for the public purpose of carrying out the programs of the National Archives and Records Administration.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Cooperative agreements are entered into to support various activities for the public purpose of carrying out the programs of the National Archives and Records Administration.

**Applicant Eligibility:**

State and local governments, other public entities, educational institutions, or private nonprofit organizations (including foundations or institutes organized to support the National Archives and Records Administration or the Presidential archival depositories operated by it).

**Beneficiary Eligibility:**

State and local governments, other public entities, educational institutions, or private nonprofit organizations (including foundations or institutes organized to support the National Archives and Records Administration or the Presidential archival depositories operated by it).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit proposal for a cooperative agreement to the Office of Strategy and Communications , National Archives and Records Administration, 8601 Adelphi Road, Room 4100, College Park, MD 20740; Telephone: (301)

837-1850.

**Award Procedure:**

The Office of Strategy and Communications review and consider all proposals consistent with the statutory authority and NARA policy. Proposals are then presented to the Executive Leadership Team with a recommendation by the Office of Strategy and Communications. The Archivist and the Executive Leadership Team make the final decision with respect to all proposals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Proposals are typically reviewed and decided upon within a few weeks, although actual time frames may vary.

**Appeals:**

Not Applicable.

**Renewals:**

Procedures for renewals are the same as the original proposal process.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative Agreements are entered into on an annual basis. The phasing of assistance depends upon the particular project. See the following for information on how assistance is awarded/released: Depends upon the particular project.

**Reports:**

Depends on the particular project. Cash reports are not applicable. Depends on the particular project. Expenditure reports are not applicable. Depends on the particular project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The nonfederal entity maintains records which fully disclose the amount and disposition of funds transferred pursuant to a cooperative agreement, the total cost of the undertaking, the portion of the cost supplied by other sources, and such other records as will facilitate an effective audit.

**Account Identification:**

88-0300-0-1-804.

**Obligations:**

(Cooperative Agreements) FY 10 \$75,000; FY 11 est \$25,000; and FY 12 est \$25,000

**Range and Average of Financial Assistance:**

Up to \$25,000 per cooperative agreement, with a cap of \$75,000 per year: \$18,333 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY10 there were 3 cooperative agreements. Fiscal Year 2011: It is estimated that 1 cooperative agreement will be entered into in FY2011. Fiscal Year 2012: It is estimated that 1 cooperative agreement will be entered into in FY2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Strategy and Communications, National Archives & Records Administration 8601 Adelphi Road, Room 4100, College Park, Maryland 20740 Phone: (301) 837-1850.

**Website Address:**

<http://www.archives.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: National History Day - Purpose: NARA and National History Day (NHD) have had a productive cooperative relationship dating back to 1992. The Archivist of the United States has been an institutional member of the National History Day (NHD) Board of Trustees, and is a member of the NHD Advisory Council. In 2006, the Parties entered into a cooperative agreement to further strengthen this relationship and continue efforts to promote American history education by providing funding support to increase the reach of the NHD program, enabling it to involve more teachers and, therefore, more students of history. This cooperative agreement was renewed for fiscal year 2010 to continue this relationship.

Council on State Archives - Purpose: NARA's National Historical Publications and Records Commission entered into an agreement with the Council on State Archives to provide the means for CoSA to promote cooperative efforts among State Historical Records Coordinators.

American Association of State and Local History - Purpose: The purpose of the Agreement is to further engage the professional library and museum community, and by extension, the public, in education, exhibits and research opportunities. Through the agency's long association with the Presidential Sites and Libraries quadrennial conferences, NARA has expanded visibility for the agency and promoted scholarship, education and outreach throughout the community of presidential sites and libraries for all presidents. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must support the public purpose of carrying out programs of the National Archives and Records Administration.

**DENALI COMMISSION**

**90.100 DENALI COMMISSION PROGRAM**

Denali Commission

**FEDERAL AGENCY:**

Denali Commission

**AUTHORIZATION:**

Denali Commission Act of 1998, Public Law 150-277, 42 U.S.C 3121.

**OBJECTIVES:**

The Denali Commission is an Innovative Federal and State partnership designed to provide critical utilities and infrastructure throughout Alaska, particularly in distressed communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Infrastructure or utility needs benefiting Alaskans. HRSA funds for clinics, DOL training funds, Solid Waste funds, TAPL energy funds and RUS, high energy cost funds. Base funds.

**Applicant Eligibility:**

Awards are available to State and local governments, private, public, profit, nonprofit organizations and institutions or individuals eligible in Alaska.

**Beneficiary Eligibility:**

General public, particularly distressed communities.

**Credentials/Documentation:**

Locally prepared comprehensive development plans that are regionally supported. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Letter request coupled with comprehensive community based and approved development plans.

**Award Procedure:**

Annual Work Plan.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Negotiated on a case-by-case basis.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Determined during project evaluation. See the following for information on how assistance is awarded/released: Determined during project evaluation.

**Reports:**

No program reports are required. SF270s. Project progress reports due quarterly. Recipient audit confirmations request expenditure reports and SF270s. Project progress reporting.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Determined at the time of award, consistent with Federal and State of Alaska guidelines.

**Account Identification:**

95-6501-1-2-452 - State Funds; 95-8056-0-7-452 - TAPL Funds;  
95-1200-0-1-452 - Base Funds.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$54,201,687; FY 11 est \$40,000,000; and FY 12 est \$40,000,000

**Range and Average of Financial Assistance:**

2009 Range: \$3,000- \$7,965,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Programs include Government Coordination, Energy (Renewable, bulk fuel, and Rural Power System Upgrades), Health Facilities (Primary Care, Behavioral health, Domestic Violence, and Elder Housing), Transportation (Roads, Docks and Dust Control), Training, Economic Development, Solid Waste, Teacher Housing, and Other Community Facilities (Multi-Use Facilities and Washeterias). Fiscal Year 2011: Programs include Government Coordination, Energy (Renewable, Bulk Fuel Tanks, and Rural Power System Upgrades), Health Facilities (Primary Care, Behavioral Health, Domestic Violence, and Elder Housing), Transportation (Roads, Docks and Dust Control), and Training. Fiscal Year 2012: Programs include Government Coordination, Energy (Renewable, bulk fuel, and Rural Power System Upgrades), Health Facilities (Primary Care, Behavioral health, Domestic

Violence, and Elder Housing), Transportation (Roads, Docks and Dust Control), Training, Economic Development, Solid Waste, Teacher Housing, and Other Community Facilities (Multi-Use Facilities and Washeterias).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information is available on the website of <http://www.denali.gov>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lindsey Jolly, 510 L Street, Suite 410, Anchorage, Alaska 99501 Email: [ljolly@denali.gov](mailto:ljolly@denali.gov) Phone: (907) 271-3099 Fax: (907) -271-1415.

**Website Address:**

<http://www.denali.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: All funded projects can be found in the Project Database at [www.denali.gov](http://www.denali.gov). Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are judged based on consistency with locally developed and regionally supported infrastructure development plans, long term sustainability, relative impacts on reducing unemployment, raising the standards of living, reducing the cost of utilities, and cost-sharing by others.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES****93.004 COOPERATIVE AGREEMENTS TO IMPROVE THE HEALTH STATUS OF MINORITY POPULATIONS**

NUCA

**FEDERAL AGENCY:**

Office of Minority Health, Department of Health and Human Services

**AUTHORIZATION:**

OMH is authorized to conduct this program under 42 U.S.C. Section 300 u-6, Section 1707 of the Public Health Service Act, as amended, U.S.C.

**OBJECTIVES:**

To provide support for activities which have the potential to improve the health status and/or quality of life of racial/ethnic minorities, with the objective of reducing the excessive burden and death borne by minority and disadvantaged populations in the United States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are to be used for support of projects or activities consistent with the mission of the Office of Minority Health. Funds are not to be used for the provision of health care services, construction, augmentation of on-going Office of Minority Health (OMH) supported demonstrations, or supplementation of on-going project activities.

**Applicant Eligibility:**

Public and private nonprofit entities may apply. Faith based organizations are eligible to apply.

**Beneficiary Eligibility:**

Members of the minority and disadvantaged groups: Blacks; Hispanics; American Indians; Alaska Natives; Asian/American Pacific Islanders; or subgroups of these.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.



**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All open grant opportunities are posted on [www.grants.gov](http://www.grants.gov). Additional information and application kits may be requested by calling 240-453-8822 or writing to: Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Varies, but a project period is generally limited to 5 years or less. Within a project period, continuation applications must be submitted annually on a noncompeting basis for each year of support.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The cooperative agreements will have a project period not to exceed 5 years, with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Necessary instructions regarding payment procedure will be provided at the time the award is issued. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74.53 and 45 CFR Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 10 \$12,000,000; FY 11 est \$12,000,000; and FY 12 est \$12,000,000

**Range and Average of Financial Assistance:**

\$150,000 to 3,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Eleven National organizations were funded and they are improving access to care for targeted racial and ethnic minority populations; addressing social determinants of health to achieve health equity for targeted minority populations via projects of national significance; increasing the diversity of the health-related work force and; increasing the knowledge base and enhancing data availability for health disparities and health equity activities. Fiscal Year 2011: Eleven National organizations were funded and they are improving access to care for targeted racial and ethnic minority populations; addressing social determinants of health to achieve health equity for targeted minority populations via projects of national significance; increasing the diversity of the health-related work force and; increasing the knowledge base and enhancing data availability for health disparities and health equity activities. Fiscal Year 2012: Eleven National organizations were funded and they are improving access to care for targeted racial and ethnic minority populations; addressing social determinants of health to achieve health equity for targeted minority populations via projects of national significance; increasing the diversity of the health-related work force and; increasing the knowledge base and enhancing data availability for health disparities and health equity activities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Management Contact:  
Office of Minority Health, Division of Program Operations  
Tower Building, Suite 600, 1101 Wootton Parkway  
Rockville, MD 20852. Telephone at (240) 453-8444

Grants Management Contact:  
Office of Grants Management, 1101 Wootton Parkway, Suite 550,  
Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: [eric.west@hhs.gov](mailto:eric.west@hhs.gov) Phone: (240) 453-8822.

**Website Address:**

<http://www.OMHRC.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: (1) consistency of project's goals and objectives with the Office of Minority Health's mission; (2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; (3) strength of proposed grant organization's management capability; (4) adequacy of qualifications, experience and cultural competence of proposed personnel; and (5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.006 STATE AND TERRITORIAL AND TECHNICAL ASSISTANCE CAPACITY DEVELOPMENT MINORITY HIV/AIDS DEMONSTRATION PROGRAM**

CTA/CD

**FEDERAL AGENCY:**

Office of Minority Health, Department of Health and Human Services

**AUTHORIZATION:**

OMH is authorized to conduct this program under 42 U.S.C. Section 300 u-6, Section 1707 of the Public Health Service Act, as amended.

**OBJECTIVES:**

A collaborative effort to demonstrate that the involvement of State and Territorial Offices of Minority Health in coordinating a statewide response to the HIV/AIDS crisis in minority communities can have a greater impact on the communities' understanding of the disease, and the coordination of prevention and treatment services for minority populations, than agencies and/or organizations working independently; and to stimulate and foster the development of effective and durable service delivery capacity for HIV prevention and treatment among organizations closely linked with the minority populations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used to support minority-targeted health education and prevention strategies which will help to eliminate or reduce the risk for acquiring or transmitting HIV/AIDS and increase access to services and treatment; and to provide technical assistance and capacity development to community based minority-serving organizations to enhance their delivery capacity for HIV/AIDS prevention and treatment. Funds are not to be used for the provision of health care services, construction, augmentation of ongoing Office of Minority Health (OMH) supported demonstrations, or to supplant ongoing project activities.

**Applicant Eligibility:**

State/Territorial Offices of Minority Health or, for those states and territories that do not have established Office of Minority Health, a state or territorial minority health entity located within a State or Territorial Department of Health which functions in the capacity of an Office of Minority Health; and community based, minority-serving organizations.

**Beneficiary Eligibility:**

Members of the minority groups: American Indians or Alaska Natives; Asians; Blacks or African Americans; Hispanics or Latinos; Native Hawaiians or other Pacific Islanders; or subgroups of these populations.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission, where applicable. Documentation to verify official status as a State or Territorial Office of Minority Health signed by a State/territorial level authorizing official (e.g., Governor or designated official, Commissioner of Health or designee) or documentation to verify official status as a State or territorial minority health entity signed by the Commissioner of Health or designee in the Department of Health, as applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All open grant opportunities are posted on [www.grants.gov](http://www.grants.gov). Additional information and application kits may be requested by calling 240-453-8822 or writing to: Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

Accepted applications will be reviewed by a panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Varies, but a project period is generally limited to 3 years or less. Within a project period, continuation applications must be submitted annually on a noncompeting basis for each year of support.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The grants will have a project period not to exceed 3 years, with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Necessary instructions regarding payment procedure will be provided at the time the award is issued. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74.53 and 45 CFR Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 10 \$2,900,000; FY 11 est \$2,900,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$210,000 to \$230,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Thirteen organizations were funded through this 3 year cooperative agreement program, the grantees develop and improve the coordination and continuum of comprehensive HIV prevention, treatment and supportive services inclusive of treatment for substance abuse and mental health disorders, primary medical services, and case management services provided by organizations closely interfaced with targeted minority populations impacted by HIV/AIDS. Fiscal Year 2011: Thirteen organizations were funded through this 3 year cooperative agreement program, the grantees develop and improve the coordination and continuum of comprehensive HIV prevention, treatment and supportive services inclusive of treatment for substance abuse and mental health disorders, primary medical services, and case management services provided by

organizations closely interfaced with targeted minority populations impacted by HIV/AIDS. This program concludes with FY-11 funding. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Management Contact:  
Office of Minority Health, Division of Program Operations, 1101 Wootton Parkway, Suite 600, Rockville, MD 20852. Telephone: (240) 453-8444.  
Grants Management Contact: Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.omhrc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: (1) consistency of project's goals and objectives with the Office of Minority Health's mission; (2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; (3) strength of proposed grant organization's management capability; (4) adequacy of qualifications, experience and cultural competence of proposed personnel; and (5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.009 COMPASSION CAPITAL FUND**

CCF Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Section 1110 of the Social Security Act governing Social Services Research and Demonstration activities; the Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act of 2004. , Public Law 107-116.

**OBJECTIVES:**

To provide grants to charitable organizations to emulate model social service programs and to encourage research on the best practices of social service organizations. This is accomplished through the goal of assisting faith-based and community organizations to increase their effectiveness, enhance their ability to provide social services, expand their organizations, diversify their funding sources, and create collaborations to better serve those most in need. This is accomplished by funding experienced intermediary organizations in well-defined geographic locations with a proven track record of providing technical assistance to smaller faith-based and community organizations in their communities, providing one-time \$50,000 grants to smaller faith-based and community organizations to build their capacity, and providing grants to strengthen broad-based collaborative community that are working to reduce gang involvement, youth violence, and child abuse and neglect and to foster positive youth development.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Intermediary organizations use the CCF funds to provide two services within their communities: 1) Training assistance to faith-based and community

organizations; and 2) Financial support through sub-awards to some subset of the faith-based and community organizations in their communities. Technical assistance activities funded under CCF are to be conducted at no cost to interested faith-based and community organizations. Applicants must have demonstrated experience in the delivery of capacity-building assistance to smaller organizations in several of the following areas: strategic planning, financial management, board development, fund development, and outcome measurement. Technical assistance should be provided on a long-term, on-going basis to smaller organizations. The program goals are further accomplished through the issuance of sub-awards by the funded intermediary organizations to a diverse set of small faith-based and community organizations that seek to increase program and organizational effectiveness for a 12-month period. Sub-award recipients must adhere to the following: sub-award recipients must be chosen from fair and open competitive process; sub-award recipients must not be pre-selected; the awarding process must be fair and open competition and include outreach to both faith-based and community organizations; intermediary organizations must provide on-going technical assistance and capacity-building support to the organizations to which they issue sub-awards; and the criteria for selection must not include consideration of the religious nature of the program it offers. Priority for sub-awards is given to organizations that historically have not received grants from the Federal government. Intermediaries must not require sub-award applicants to provide matching funds even if the applicants offer matching funds in their applications. Intermediaries must not require sub-award applicants to have 501 (c) (3) status or to identify a sponsoring organization with 501 (c) (3) status; Organizations that partner with an intermediary to deliver technical assistance or provide a cost-sharing fund for the proposed project are not to be eligible for sub-awards, unless approved by the Administration for Children and Families; Sub-awards should not be used to assist organizations in differing stages of development. Sub-awards may also be provided to promising organizations to expand the reach of existing programs; Sub-awards must not be used to provide direct services, but rather improve the sub-awardee's efficiency and capacity. The Office of Community Services (OCS) will not fund any project, where the role of the applicant is primarily to serve as a conduit for funds to organizations other than the applicant. The applicant must have a substantive role in the implementation of the project for which funding is requested. This prohibition does not bar the making of sub-grants or sub-contracting for specific services or activities needed to conduct the project. CCF monies shall not be used to support inherently religious practices such as religious instruction, worship, or proselytization. Grant or sub-award recipients, therefore, may not and will not be selected based on religious criteria. Neutral, non-religious criteria that neither favor nor disfavor religion must be employed in a selection of a grantee and sub-award recipients.

**Applicant Eligibility:**

Program is no longer accepting grant applications.

**Beneficiary Eligibility:**

Program is no longer accepting grant applications.

**Credentials/Documentation:**

Program is no longer accepting grant applications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Program is no longer accepting applications. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is no longer accepting applications.

**Award Procedure:**

This program is no longer accepting applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Demonstration program award grants for one project period for 12 months. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

CCF recipients are required to submit semi-annual program progress reports. grantees are required to submit semi-annual financial status reports using the required standard form (SF-269) which is located on the Internet at: <http://forms.psc.gov/forms/sf/SF-269.pdf>. CCF recipients are required to submit semi-annual program progress reports. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

CCF complies with 74.50 Purpose of reports and records, 74.51 Monitoring and reporting program performance and 74.52 Financial reporting of the Code of Federal Regulations.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - This program did not receive funding in FY 2010 and no funding was requested in FY 2011 and 2012.

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, 0 grants were awarded. Fiscal Year 2011: In FY 11, 0 grants will be awarded. Fiscal Year 2012: In FY 12, 0 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Program Manager, Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, DC 20447. Contact: Rafael Elizalde, Telephone: (202) 401-5115 (office); (202) 401-4694 (fax); rafael.elizalde@acf.hhs.gov.

**Headquarters Office:**

Rafael J. Elizalde Division of Community Discretionary Programs, Office of Community Services, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: rafael.elizalde@acf.hhs.gov Phone: (202) 401-5115

**Website Address:**

<http://www.acf.hhs.gov/programs/ccf>

**RELATED PROGRAMS:**

93.711 ARRA STRENGTHENING COMMUNITIES FUND

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.010 COMMUNITY-BASED ABSTINENCE EDUCATION (CBAE) (CBAE)**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Title XI, Section 1110 of the Social Security Act.

**OBJECTIVES:**

To promote abstinence education, as defined by Section 510(b)(2) in Title V of the Social Security Act, for adolescents aged 12 through 18. The entire focus of these programs is to educate young people and create an environment within communities that supports teen decisions to postpone sexual activity until marriage. The CBAE program was discontinued in FY10. No new funds will be available and no new awards will be made.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Pursuant to Section 510(b)(2) of Title V of the Social Security Act, the term "abstinence education," for purposes of this program means an educational or motivational program that:

- (A) Has as its exclusive purpose, teaching the social, psychological, and health gains to be realized by abstaining from sexual activity;
- (B) Teaches abstinence from sexual activity outside marriage as the expected standard for all school age children;
- (C) Teaches that abstinence from sexual activity is the only certain way to avoid out-of-wedlock pregnancy, sexually transmitted diseases, and other associated health problems;
- (D) Teaches that a mutually faithful monogamous relationship in the context of marriage is the expected standard of human sexual activity;
- (E) Teaches that sexual activity outside of the context of marriage is likely to have harmful psychological and physical effects;
- (F) Teaches that bearing children out-of-wedlock is likely to have harmful consequences for the child, the child's parents, and society;
- (G) Teaches young people how to reject sexual advances and how alcohol and drug use increases vulnerability to sexual advances; and
- (H) Teaches the importance of attaining self-sufficiency before engaging in sexual activity.

**Applicant Eligibility:**

Public and private agencies responsible for the administration (or supervision of the administration) of projects under Section 1110 of the Social Security Act that teach abstinence, using the definitions contained in Section 510(b)(2) of the Act, to adolescents ages 12 through 18. Eligible applicants include: State governments; County governments; City or Township governments; independent school districts; private institutions of higher education; special district governments; public and State-controlled institutions of higher education; Native American Tribal governments (Federally recognized); public housing authorities/Indian housing authorities; Native American Tribal organizations (other than Federally recognized Tribal governments); non-profits having a 501(c)(3) status with the IRS, other than institutions of higher education; non-profits that do not have a 501(c)(3) status with the IRS, other than institutions of higher education; for-profit organizations other than small businesses; and, small businesses. Faith-based and community organizations that meet the statutory eligibility requirements are eligible to apply under this announcement. Sex education programs that promote the use of contraceptives are not eligible for funding under this program. The CBAE program was discontinued in FY10. No new funds will be available and no new awards will be made.

**Beneficiary Eligibility:**

Adolescents ages 12 through 18.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Specific instructions are published in a program announcement made available through [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts that assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau. Recommendations are made to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The CBAE program was discontinued in FY10. No new funds will be available and no new awards will be made.

**Appeals:**

Other - Not Specified.

**Renewals:**

From 60 to 90 days. Awards are generally made for a 5-year project period. In the first year of the project, grants will be awarded on a competitive basis. Grant applications will be considered on a noncompetitive basis for years two through five subject to availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the Federal Government. The CBAE program was discontinued in FY10. No new funds will be available and no new awards will be made.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are generally made for a 5-year project period. In the first year of the project, grants will be awarded on a competitive basis. Grant applications will be considered on a noncompetitive basis for years two through five subject to availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the Federal Government. Grants will be awarded for 12-month budget periods with a five-year project period. The CBAE program was discontinued in FY10. No new funds will be available and no new awards will be made. See the following for information on how assistance is awarded/released: All grant-funded work must be completed on or before October 29, 2010.

**Reports:**

Grantees are required to submit cash transaction reports, progress reports, and expenditure reports. Cash reports are not applicable. Grantees are required to submit program progress reports semi-annually throughout the project period. Program progress reports are due 30 days after the reporting period. Final programmatic reports are due 90 days after the close of the project period. Grantees are required to submit financial reports (SF-269) semi-annually throughout the project period. Financial reports are due 30 days after the reporting period. Final financial reports are due 90 days after the close of the project period. Performance monitoring occurs by reviewing program progress reports, conducting monitoring phone calls and conducting monitoring site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - The FY10 and FY11 budget makes no provision for the CBAE program. The proposed FY12 budget makes no provision for the CBAE program.

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Family and Youth Services Bureau central office for available literature. You may also get information on the Family and Youth Services Bureau website at the following address:

<http://www.acf.hhs.gov/programs/fysb>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Debbie Powell, 2150 Maryland Ave., SW, Washington, District of Columbia 20447 Email: [debbie.powell@acf.hhs.gov](mailto:debbie.powell@acf.hhs.gov) Phone: (202) 205-2360.

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.111 Adolescent Family Life Research Grants; 93.235 Abstinence Education Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: [http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html).

**93.011 NATIONAL ORGANIZATIONS OF STATE AND LOCAL OFFICIALS**

NOSLO

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Sections 301 and Title III Sections 330A and 330(l) of the Public Health Service (PHS) Act, as amended; and Section 711(b) of the Social Security Act as amended (42 U.S.C.912(b)).

**OBJECTIVES:**

The National Organizations of State and Local Officials (NOSLO) program has the following goals: (1) integrate primary care and public health activities and examine key issues that affect health care delivery in underserved urban and rural communities; (2) improve public health programs at the national, state, and local levels, by partnering with state and local government entities and programs that contribute to population health and health policy development, (3) incorporate indicators of primary care and public health system integration, such as establishing multi-stakeholder coalitions that align with national and

regional health and human services initiatives; (4) address a broad range of cross-cutting issues that affect state and local governments, including policy and data and environmental analyses associated with emerging health reform issues; and (5) leverage key strategic objectives at the state and local level, including safety net provider workforce development, health information technology and exchange, health equity, and safety net funding programs, such as Medicare and Medicaid.

The purpose of the National Organizations of State and Local Officials cooperative agreement is to: (1) engage national organizations, representing state and local officials, to provide training and technical assistance to promote primary care and public health initiatives for their constituencies; (2) strengthen the organizational capacities of state and local health departments, Primary Care Organizations (PCOs), small rural hospitals, State Medicaid agencies, and legislatures through information exchanges that support public and private sector initiatives at the state and local level to improve health and achieve health equity for the communities they serve; and (3) develop technical assistance materials and training activities that benefit health centers providing services to underserved communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This program will support national organizations that represent the following groups: State/Territorial Health Department Officials, Local County and City Health Department Officials, State Medicaid Directors, and State Legislatures to address cross-cutting, publicly-funded health program integration and health access issues identified by the states and local governments and entities. The NOSLO cooperative agreements are multi-faceted and include opportunities for policy information exchange and collaboration, as well as for providing training and technical assistance to health centers and other health care entities to address the needs of the underserved and targeted populations. The cooperative agreements will also address program priorities for the U.S. Department of Health and Human Services, such as the implementation of health reform activities at the state and local level, including addressing the implications of health reform provisions to achieve improved outcomes for beneficiaries and better services and value for state Medicaid programs.

**Applicant Eligibility:**

Eligible applicants include nonprofit national service organizations that can provide training and technical assistance on a national level. The applicants must have effective organizational infrastructures and capacities (i.e., systems, leadership, resources) to carry out the proposed activities. Applicants must be national in scope and have established long term relationships with the following groups: state legislatures; state government entities such as Primary Care Offices, State Rural Health Associations (SRHA) and State Offices of Rural Health (SORH); state and local health departments; state policymakers; and local county and city government entities.

**Beneficiary Eligibility:**

Eligible beneficiaries include the following entities: Federal; Interstate; Intrastate; State; Local; Public nonprofit institution/organization; Other public institution/organization; Non-Governmental General; Minority group; Specialized group (e.g., health professionals, students, veterans); Small business (less than 500 employees); Private nonprofit institution/organization; Quasi-public nonprofit institution/organization; Anyone/general public; Native American Organizations; Health professional; Black; American Indian; Spanish origin; Asian; Other non-white; Migrant; U.S. citizen; Refugee/Alien; Veteran/Service; Person/Reservist (including dependents); Women; Disabled (i.e., Deaf, Blind, Physically Disabled).

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

A Notice of Award, signed by the Grants Management Officer, is sent via e-mail to the applicant's Authorized Organization Representative.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Consult Section II of the funding opportunity announcement for the period of support. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Refer to the funding opportunity announcement for additional information. Federal Financial Report (FFR) Cash Transaction Reports must be submitted electronically via the Payment Management System within 30 days of the end of each calendar quarter. The report identifies cash expenditures against the authorized funds for the grant or cooperative agreement. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Refer to the funding opportunity announcement for additional information. The Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. Refer to the funding opportunity announcement for additional information on performance monitoring required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Refer to the funding opportunity announcement for information.

**Records:**

Grantees are required to maintain accounting records 3 years after the date they submit the FFR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$1,400,000; and FY 12 est \$1,400,000

**Range and Average of Financial Assistance:**

Range of financial assistance: \$350,000. Up to four (4) awards are expected to

be made.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Lynnette S. Araki, M.P.H.  
Office of Planning, Analysis and Evaluation  
Health Resources and Services Administration  
Parklawn Bldg., Room 10-49  
5600 Fishers Lane  
Rockville, MD 20857  
Telephone: 301-443-6204; Mobile: 301-252-6908  
FAX: 301-443-2286  
Email: LAraki@hrsa.gov.

**Headquarters Office:**

Lynnette S. Araki, 5600 Fishers Lane, Rockville, Maryland 20895 Email:  
LAraki@hrsa.gov Phone: (301) 443-6204 Fax: (301) 443-2286.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.129 Technical and Non-Financial Assistance to Health Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: National Training and Technical Assistance Cooperative Agreements (NCAs). Fiscal Year 2011: NA. Fiscal Year 2012: NA.

**CRITERIA FOR SELECTING PROPOSALS:**

Review Criteria are outlined in Section V of the funding opportunity announcement.

**93.016 POSTAL MODEL FOR MEDICAL COUNTERMEASURES DELIVERY AND DISTRIBUTION**

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 1703 (a), 42 U.S.C. Section 300u-2.

**OBJECTIVES:**

To assist metropolitan areas enhance their capabilities to respond to a large-scale aerosolized anthrax attack. The primary focus is on developing and testing collaborative arrangements whereby the United States Postal Service (USPS) and local law enforcement agencies, under the direction of the local or State public health authority, would deliver self-administrable medical countermeasures (specifically, antibiotic drugs) to every residence in the at-risk area potentially the entire community with the goal of preventing disease and death and thus avoiding a public health catastrophe.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Grant funds may be used for Postal Model for Medical Countermeasures Delivery and Distribution related activities only. Grants funds may not be used for construction and/or major rehabilitation of buildings. Grants funds may not be used for basic research (e.g. scientific or medical experiments.). When appropriated and apportioned, all funds available will be used for discretionary grant awards.

**Applicant Eligibility:**

Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education.

**Beneficiary Eligibility:**

All entities listed above.

**Credentials/Documentation:**

Applicants should review the individual Assistant Secretary for Preparedness and Response (ASPR) funding opportunity announcement (FOA) issued under this CFDA program for any proof of certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular A-122 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained through Grants.gov - FIND. Applicants should visit Grants.gov - FIND for the FOA and Grants.gov - APPLY to download application materials to complete and submit their applications in accordance with the FOA.

**Award Procedure:**

Applications that successfully proceed through initial screening (as outlined in the FOA) will be objectively reviewed based upon the review criteria specified in the FOA. Applications selected for funding will be processed and the applicant notified in writing through the issuance of a Notice of Grant Award from the Office of the Assistant Secretary for Preparedness and Response.

**Deadlines:**

Sep 30, 2011: Applicable deadlines and due dates are specified in the funding opportunity announcement.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are limited up to 12 months. Budget periods are limited up to 12 months. See the following for information on how assistance is awarded/released: Awardee is issued a Notice of Grant Award, a legal document that informs the awardee that a grant award has been made. See the following for information on how assistance is awarded/released: Awardee may draw down funds in advance of the incurrence of expenditure (up to three days) from the Payment Management System.

**Reports:**

Grantees are required to submit program reports, also known as Program Progress Reports. Recipients must report cash transaction data via the Payment Management System (PMS) using the cash transaction data elements captured on the Federal Financial Report (FFR), Standard Form (SF) 425. The FFR SF425 cash transaction report is due 30 days after the end of each calendar quarter. Grantees are required to submit Program Progress Reports at the completion of each milestone as well as a final Program Progress Report. ASPR requires financial reporting through the Federal Financial Report (FFR), Standard Form 425. Reports are due semi-annually within 30 days after the first 6 month period and within 90 days of the budget period end date. Performance monitoring of awardees is completed by ASPR program staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0140-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 Not Available; FY 11 est \$450,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$50,000 per award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments, 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, 2 CFR, and the HHS Grants Policy Statement found at <http://dhhs.gov/asfr/ogapa/grantinformation/hhsgps107.pdf>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Delaine E Black Postal Model for Medical Countermeasures Delivery and Distribution, Office of Preparedness and Emergency Operations, Office of the Assistant Secretary for Preparedness and Response, Department of Health and Human Services, 200 Independence Ave., SW, Suite 638G, Washington, District of Columbia 20201 Email: [delaine.black@hhs.gov](mailto:delaine.black@hhs.gov) Phone: 202-401-5829

**Website Address:**

<http://www.phe.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Discretionary awards are subject to objective review. Reviewers will individually evaluate and score applications based upon the review criteria specified in the funding opportunity announcement. Scored applications will be ordinarily ranked. The highest ranked applications will receive priority consideration for award within available funding.

**93.017 STRENGTHENING THE MANAGEMENT AND SERVICES OF THE WOMEN'S AND CHILDREN'S HOSPITALS IN KABUL**

Strengthening the Management and Services Abroad

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Section 103 (a) (1); Section 103 (a) (7) of Public Law 107-327; Public Health Service Act, Section 307.

**OBJECTIVES:**

The primary goal of this project is to improve the quality of care at health institutions in Afghanistan Hospital by developing effective leadership and management and improving operations. The funding will provide essential material resources within budgetary limitations for patient care, operations, facility management and for grant activities related to leadership and management development. To create equitable and high quality care through the acceptance and delivery of donated medical equipment, pharmaceuticals, and technology-related training for physicians, nurses, midwives, and other health care workers at hospitals in Kabul, Afghanistan.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to cover costs of: personnel; consultants; grant related office supplies and software; grant related travel (domestic only); educational, promotional and evaluation materials; and other grant related costs. Funds shall not be used to fund direct health care services or equipment for patients (e.g. diagnostic tests, screening equipment, treatment, etc.). Also, funds may not be used for: building alterations or renovations, construction, screening supplies or equipment, incentives and prizes, food, fund raising activities, political education and lobbying, and other activities that are not grant related.

**Applicant Eligibility:**

Applications may be submitted by non-profit entities with offices in the United States and partner country or incorporated and headquartered in the United States with offices in the United States. Additionally, organizations or consortiums of organizations, including faith-based and community based organizations, that have collective experience with accepting donated medical technology, upgrading drug formularies, training health care providers, local and international transportation, and other logistics are encouraged to apply for a grant under this announcement.

**Beneficiary Eligibility:**

Underserved women and children receiving services.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application kits may be requested by calling (240) 453-8822 or writing to: Ms. Karen Campbell, Director, Office of Assistant Secretary for Health (OASH), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with HHS policies. Applications will be evaluated by a technical review panel composed of experts and of peer reviewers. Funding decisions will be determined by the Deputy Director, Asia and Pacific Division of the Office Global Health Affairs and will take into consideration the recommendations and ratings of the review panel; program needs, stated preferences; program relevance and, availability of funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 30 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Project period is for up to 3 years with annual renewals and budget periods and are contingent upon available funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period is for up to 3 years with annual renewals and budget periods and are contingent upon available funding. Method of awarding/releasing assistance: by letter of credit.

**Reports:**



Grantees will submit quarterly an annual technical reports that include a detailed discussion of the process, impact, outcome and evaluation of the Program. Grantee must submit Cash Reports on a minimum schedule of each quarter throughout the budget period. Grantees will submit quarterly an annual technical reports that include a detailed discussion of the process, impact, outcome and evaluation of the Program. Grantee must submit an annual Financial Status Report (SF-269) in accordance with provisions of the general regulations which apply under Monitoring and Reporting Program Performance, 45 CFR parts 74 and 92. The performance monitoring report is due annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$0; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This project has concluded. It assisted Afghanistan in the development and strengthening of maternal and child health clinics and hospital systems by creating equitable and high quality obstetrical and gynecological and infant care at RBH and developing an evidence-based and culturally appropriate Obstetrical/ Gynecological residency program and continuing education program for practicing physicians. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the HHS Grants Policy Statement (DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994); 45 CFR 100 applies.

**Regional or Local Office:**

None. Office of Global Health Affairs  
U.S. Department of Health and Human Services  
200 Independence Ave., S.W., Room 639 H  
Washington, D.C. 20201  
Phone: (202) 690-6174  
Fax: (202) 690-7127.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8449.

**Website Address:**

www.globalhealth.gov/oirh.shtml .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be screened by OGHA staff for completeness and for responsiveness to the program guidance. Applicants should pay strict attention addressing these criteria, as they are the basis upon which applications will be

judged. Those applications judged to be non-responsive or incomplete will be returned to the applicant without review. Applications that are complete and responsive to the guidance will be evaluated for scientific and technical merit by an appropriate peer review group specifically convened for this solicitation and in accordance with HHS policies and procedures. As part of the initial merit review, all applications will receive a written critique. All applications recommended for approval will be discussed fully by the ad hoc peer review group and assigned a priority score for funding. Eligible applications will be assessed according to the listed criteria in the Federal Register announcement.

**93.019 TECHNICAL ASSISTANCE AND PROVISION FOR FOREIGN HOSPITALS AND HEALTH ORGANIZATIONS**

(Technical Assistance and Provision for Foreign Hospitals and Health Organizations)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

The Omnibus Appropriations Act, 2009, appropriated funds to HHS for carrying out Title III of the Public Health Service Act (PHS Act). Public Law 111-8, 123 Stat. 524, 777 (March 11, 2009).

b. Pursuant to Section 307(a)(2) of the PHS Act, 42 U.S.C. Section 2421(a)(2), HHS is authorized to participate with other countries in cooperative endeavors in biomedical research, health care services, health care research, or other related activities in furtherance of the activities, objectives or goals authorized under the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008 (PEPFAR Reauthorization Act). The purpose of the PEPFAR Reauthorization Act, 22 U.S.C. Section 7603, is to strengthen and enhance United States leadership and the effectiveness of the United States response to the HIV/AIDS, tuberculosis, and malaria pandemics and other related and preventable infectious diseases as part of the overall United States health and development agenda. , 42 U.S.C 2421(a)(2).

**OBJECTIVES:**

To provide support for a quality of care improvement project based in a partner healthcare institution around the world, to provide continuing education and refresher training to physicians and other staff at hospitals and other Health Organizations around the world, and strengthen support and relations with Ministers of Public Health (MOPH).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to cover costs of: personnel; consultants; grant related office supplies and software; grant related travel (domestic only); educational, promotional and evaluation materials; and other grant related costs.

Funds shall not be used to fund direct health care services or equipment for patients (e.g., diagnostic tests, screening equipment, treatment, etc.). Also, funds may not be used for: building alterations or renovations, construction, screening supplies or equipment, incentives and prizes, food, fund raising activities, political education and lobbying, and other activities that are not grant related.

**Applicant Eligibility:**

none.

**Beneficiary Eligibility:**

Citizens of the world.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102.

OMB Circular No. A-110 applies to this program. All grant announcements are posted on [www.grants.gov](http://www.grants.gov). Application kits for new opportunities may be requested by calling (240) 453-8822 or writing to: Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with HHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be determined by the Director, Office of Global Health Affairs and will take into consideration the recommendations and ratings of the review panel; program needs, and stated preferences.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 60 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Support is recommended for a specified project period (5 years), and is not generally considered for renewal beyond that period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies, but a project period is generally limited to 5 years or less. Within a project period, continuation applications must be submitted annually on a noncompeting basis for each year of support. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74.53 and 45 CFR Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 09 \$5,000,000; FY 10 est \$3,000,000; and FY 11 est \$3,000,000

**Range and Average of Financial Assistance:**

\$650,000.00 to \$3,000,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Measurable outcomes of the program will be in alignment with one (or more) of the following performance goals: Increase access to care and improve quality of care; Improve disease prevention and health education; Improve workforce development and retention; Improve public health infrastructure; and Improve outreach and health promotion to the community. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Management Contact: Office of Global Health Affairs, DHHS, 200 Independence Ave., S.W., Room 639 H, Washington, DC 20201. Telephone: (202) 690-6174, Fax: (202) 690-7127.

**Grants Management Contact:**

Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: [eric.west@hhs.gov](mailto:eric.west@hhs.gov) Phone: (240) 453-8822.

**Website Address:**

<http://www.globalhealth.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be screened by OGHA staff for completeness and for responsiveness to the program guidance. Applicants should pay strict attention addressing these criteria, as they are the basis upon which applications will be judged. Those applications judged to be non-responsive or incomplete will be returned to the applicant without review. Applications that are complete and responsive to the guidance will be evaluated for scientific and technical merit by an appropriate peer review group specifically convened for this solicitation and in accordance with HHS policies and procedures. As part of the initial merit review, all applications will receive a written critique. All applications recommended for approval will be discussed fully by the ad hoc peer review group and assigned a priority score for funding. Eligible applications will be assessed according the following criteria: Technical Approach 45 points; Experience and Capabilities of the Organization 45 points; and Facilities and Resources 10 points.

**93.041 SPECIAL PROGRAMS FOR THE AGING\_TITLE VII, CHAPTER 3\_PROGRAMS FOR PREVENTION OF ELDER ABUSE, NEGLECT, AND EXPLOITATION**

**FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act, Title 7, Section 721.

**OBJECTIVES:**

To support activities to develop, strengthen, and carry out programs for the prevention, detection, assessment, and treatment of, intervention in, investigation of, and response to elder abuse, neglect, and exploitation (including financial exploitation), including: (1) providing for public education and outreach to identify and prevent elder abuse, neglect, and exploitation; (2) providing for public education and outreach to promote financial literacy and prevent identity theft and financial exploitation of older individuals; (3) ensuring the coordination of services provided by area agencies on aging with

services instituted under the State adult protection service program, State and local law enforcement systems, and courts of competent jurisdiction; (4) promoting the development of information and data systems, including elder abuse reporting systems, to quantify the extent of elder abuse, neglect, and exploitation in the State; (5) conducting analyses of State information concerning elder abuse, neglect, and exploitation and identifying unmet service, enforcement, or intervention needs; (6) conducting training for individuals, professionals, and paraprofessionals, in relevant fields on the identification, prevention, and treatment of elder abuse, neglect, and exploitation, with particular focus on prevention and enhancement of self determination and autonomy; (7) providing technical assistance to programs that provide or have the potential to provide services for victims of elder abuse, neglect, and exploitation and for family members of the victims; (8) conducting special and on going training for individuals involved in serving victims of elder abuse, neglect, and exploitation, on the topics of self determination, individual rights, State and Federal requirements concerning confidentiality, and other topics determined by a State agency to be appropriate; (9) promoting the development of an elder abuse, neglect, and exploitation system; (10) examining various types of shelters serving older individuals (in this paragraph referred to as safe havens), and testing various safe haven models for establishing safe havens (at home or elsewhere), that recognize autonomy and self-determination, and fully protect the due process rights of older individuals; and (11) supporting multidisciplinary elder justice activities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to State Agencies on Aging to develop and enhance comprehensive and coordinated programs for the prevention and treatment of elder abuse, neglect, and exploitation, consistent with relevant State law and coordinated with State adult protective service activities. A State plan covering 2, 3, or 4 years, with annual revisions as necessary, must be submitted for approval to the Assistant Secretary on Aging. Funds are used to develop, strengthen, and carry out activities for prevention and treatment of elder abuse, neglect and exploitation.

**Applicant Eligibility:**

All States and U.S. Territories which have State Agencies on Aging designated by the governors.

**Beneficiary Eligibility:**

Individuals 60 years of age and older, targeting those older individuals with the greatest social needs and those with the greatest economic needs.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Consult the appropriate Regional Office for State application instructions. (See Appendix IV of the Catalog).

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula to State Agencies on Aging after review and evaluation of submitted state plans.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. States are entitled to these grants by statute. However, the grants can be terminated by the Assistant Secretary for Aging if the required State Plan is not approved, or if the required intrastate funding formula is not approved.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 1321 and Section 2112 of Title 28, U.S.C.

**Renewals:**

From 60 to 90 days. Applications are submitted for a 2-, 3-, or 4-year period and are revised as necessary.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

One year. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

Program reports are required. Submitted through the payment management system. No progress reports are required. SF-425. Through the appropriate Regional Office.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Range: \$3,128 - 501,013

Average: \$89,383.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

To assist state efforts in developing comprehensive State Plans, the U.S. Administration on Aging provided technical support funding to the National Association of State Units on Aging to develop the TASC planning zone, which includes information on elder abuse prevention programming: <http://nasua.org/tasc/>

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog).

**Headquarters Office:**

Barbara Dieker, One Massachusetts Ave., NW, Washington, District of Columbia 20001 Email: [Barbara.Dieker@aoa.hhs.gov](mailto:Barbara.Dieker@aoa.hhs.gov) Phone: (202) 357-0139 Fax: (202) 357-3459.

**Website Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.042 Special Programs for the Aging Title VII, Chapter 2 Long Term Care Ombudsman Services for Older Individuals

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.042 SPECIAL PROGRAMS FOR THE AGING\_TITLE VII,  
CHAPTER 2\_LONG TERM CARE OMBUDSMAN SERVICES FOR  
OLDER INDIVIDUALS**

(State Grants for Long Term Care Ombudsman Services)

**FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, as amended, Section 702 (a).

**OBJECTIVES:**

The principal role of this Ombudsman Program is to investigate and resolve complaints made by or on behalf of residents of nursing homes or other long-term care facilities. Ombudsmen also promote policies and practices needed to improve the quality of care and life in long-term care facilities and educate both consumers and providers about residents' rights and good care practices.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to States to develop or strengthen service systems through designated State Agencies on Aging, Area Agencies on Aging and other local entities. Funds under this Title and Chapter are included in State aging plans covering 2, 3, or 4 years, with annual revisions as necessary, submitted for approval to the Assistant Secretary for Aging. Funds are used to design and implement programs for the provision of long-term care ombudsman services for individuals living in long-term care facilities.

**Applicant Eligibility:**

All States and U.S. Territories which have State Agencies on Aging designated by the governors.

**Beneficiary Eligibility:**

Older individuals residing in institutional long-term care facilities or requiring assistance in entering or transferring from such facilities.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Consult the appropriate Regional Office for State application instructions. (See Appendix IV of the Catalog for listing).

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula to State Agencies on Aging.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

States are entitled to these grants by statute.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Applications are submitted for a 2-, 3-, or 4-year period and revised as necessary.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details. minimum funding.

**Length and Time Phasing of Assistance:**

One year. Method of awarding/releasing assistance: lump sum.

**Reports:**

as noted in the Program Announcement. SF-425. as noted in the Program Announcement. SF-425. as noted in the Program Announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$16,824,511; FY 11 est \$16,793,346; and FY 12 est \$21,825,000

**Range and Average of Financial Assistance:**

\$10,412 to \$1, 689,883; \$288,638.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog.).

**Headquarters Office:**

Louise Ryan One Massachusetts Ave, NW, Washington, District of Columbia 20001 Email: Louise.Ryan@aoa.hhs.gov Phone: 202-357-3503

**Website Address:**

<http://www.aoa.gov> .

**RELATED PROGRAMS:**

93.041 Special Programs for the Aging\_title VII, Chapter 3\_Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.043 Special Programs for the Aging\_title III, Part D\_Disease Prevention and Health Promotion Services; 93.044 Special Programs for the Aging\_title III, Part B\_Grants for Supportive Services and Senior Centers; 93.045 Special Programs for the Aging\_title III, Part C\_Nutrition Services; 93.048 Special Programs for the Aging\_title IV\_and Title II\_Discretionary Projects; 93.052 National Family Caregiver Support, Title III, Part E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are made on a non-competitive basis.

**93.043 SPECIAL PROGRAMS FOR THE AGING\_TITLE III, PART  
D\_DISEASE PREVENTION AND HEALTH PROMOTION SERVICES  
FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, Title III, Parts A and F, Public Law 89-73, as amended; Public Law 90-42, 81 Stat. 106; Public Law 91-69, 83 Stat. 108; Public Law 93-29, 87 Stat. 30; Public Law 93-351, 88 Stat. 357; Public Law 94-135, 89 Stat. 713; Public Law 95-65, 91 Stat. 269; Public Law 95-478, 92 Stat. 1513; Public Law 97- 115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100- 175, 101 Stat. 926; Section 705, Public Laws 100-628, 102-375, and 106-501, 42 U.S.C. 3022-3030(M).

**OBJECTIVES:**

To develop or strengthen preventive health service and health promotion systems through designated State Agencies on Aging and Area Agencies on Aging. Funds are provided for disease prevention and health promotion services including health risk assessments; routine health screening; nutrition screening; counseling and educational services for individuals and primary care givers; health promotion; physical fitness; home injury control and home safety screening; screening for the prevention of depression, and referral to psychiatric and psychological services; education on availability of benefits and appropriate use of preventive services; education on medication management; information concerning diagnosis, prevention, and treatment of neurological and organic brain dysfunction; gerontological counseling and counseling regarding social services and follow-up health services.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to States to develop or strengthen preventive health service and health promotion systems through designated State Agencies on Aging and area Agencies on Aging. A State plan covering 2, 3, or 4 years, with annual revisions as necessary, must be submitted to State agencies for approval. Funds are used to design and implement programs for periodic preventive health services to be provided at senior centers or alternative sites as appropriate. The preventive health services under this part may not include services eligible for reimbursement under Medicare.

**Applicant Eligibility:**

Only States and U.S. Territories which have State Agencies on Aging designated by the governors are eligible to receive these grants.

**Beneficiary Eligibility:**

Older individuals, especially those living in areas of States which are medically underserved and in which there are a large number of older individuals who have the greatest economic need for the services.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Consult the appropriate Regional Office for State application instructions.

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula to State Agencies on Aging. State agencies approve and award funds to substate level organizations, which they have designated.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. States are entitled to these grants by statute.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 1321 and Section 2112 of Title 28, U.S.C.

**Renewals:**

Applications are submitted for a 2-,3-, or 4-year period with annual revisions.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 85%. Formula grants are 85 percent Federal and 15 percent nonfederal. The nonfederal contribution may be in the form of cash or in-kind contributions, including plant, equipment, or services.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

One year. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

Annual Program Performance Report. Submitted through the payment management system. Progress reports are not applicable. SF 425 Status Report (Semi-annual). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$21,026,000; FY 11 est \$21,026,000; and FY 12 est \$21,026,000

**Range and Average of Financial Assistance:**

\$13,141 to \$2,132,032; \$375,464.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Funds were provided for disease prevention and health promotion services including health risk assessments; routine health screening; nutrition screening; counseling and educational services for individuals and primary care givers; health promotion; physical fitness; home injury control and home safety screening; screening for the prevention of depression and referral to psychiatric and psychological services; education on availability of benefits and appropriate use of preventive services; education on medication management; information concerning diagnosis, prevention, and treatment of neurological and organic brain dysfunction gerontological counseling and counseling regarding social services and follow-up health services. Fiscal Year 2011: In fiscal year 2011, 56 grants to States and related jurisdictions are anticipated. Funds are provided for disease prevention and health promotion services including health risk assessments; routine health screening; nutrition screening; counseling and educational services for individuals and primary care givers; health promotion; physical fitness; home injury control and home safety screening; screening for the prevention of depression and referral to psychiatric and psychological services; education on availability of benefits and appropriate use of preventive services; education on medication management; information concerning diagnosis, prevention, and treatment of neurological and organic brain dysfunction gerontological counseling and counseling regarding social services and follow-up health services. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog.).

**Headquarters Office:**

Danielle Nelson One Massachusetts Ave, Washington, District of Columbia 20201 Email: Danielle.Nelson@aoa.hhs.gov Phone: 202-357-3512

**Website Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.044 Special Programs for the Aging\_ Title III, Part B\_ Grants for Supportive Services and Senior Centers; 93.045 Special Programs for the Aging\_ Title III, Part C\_ Nutrition Services; 93.052 National Family Caregiver Support, Title III, Part E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are made on a non- competitive basis. State Grants are awarded upon approval of a State Plan.

**93.044 SPECIAL PROGRAMS FOR THE AGING\_ TITLE III, PART B\_ GRANTS FOR SUPPORTIVE SERVICES AND SENIOR CENTERS FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, Title III, Parts A and B, Public Law 89-73, as amended; Public Law 90-42, 81 Stat. 106; Public Law 91-69, 83 Stat. 108; Public Law 93-29, 89 Stat. 301; Public Law 93-351, 88 Stat. 357; Public Law 94-135, 89 Stat 713; Public Law 95- 65, 91 Stat. 269; Public Law 95-478, 92 Stat. 1513; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175; Section 705, Public Law 100-628; 42 U.S.C. 3022-3030d; Public Law 106-501.

**OBJECTIVES:**

To encourage State Agencies on Aging and Area Agencies on Aging to concentrate resources to develop and implement comprehensive and coordinated community-based systems of service for older individuals via Statewide planning, and area planning and provision of supportive services, including multipurpose senior centers. The objective of these services and centers is to maximize the informal support provided to older Americans to enable them to remain in their homes and communities. Providing transportation services, in-home services, and other support services, this program insures that elders receive the services they need to remain independent.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to States to develop and strengthen comprehensive and coordinated service delivery systems through designated State Agencies on Aging and Area Agencies on Aging. A State plan covering 2, 3, or 4 years, with annual amendments as necessary, must be submitted for approval to the Assistant Secretary for Aging. Area Plans also cover 2, 3, or 4 years, and are to be submitted to State agencies for approval. These funds are distributed by intrastate funding formulas to area agencies in States with planning and service areas and directly to service providers in the 13 States designated as single-planning-and-service-area States. In addition to supportive nutrition services, these funds may be used to support other services including the renovation, acquisition and alteration, and construction of multipurpose senior centers.

**Applicant Eligibility:**

Only State and U.S. Territories which have State Agencies on Aging designated by the Governors are eligible to receive these grants.

**Beneficiary Eligibility:**

Individuals age 60 and over, targeting those older individuals with the greatest

economic needs, the greatest social needs, and those residing in rural areas.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is subject only to the State Plan Consolidation Section of E.O. 12372. State plans are covered under this Section, but intergovernmental consultation review is excluded. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Consult the appropriate Regional Office for State application instructions. Also, see 45 CFR 1321.

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula to State Agencies on Aging. State agencies approve and award funds to substate level organizations, which they have designated.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. States are entitled to these grants by statute.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 1321 and Section 2112 of Title 28, U.S.C.

**Renewals:**

State Plans are submitted for a 2-, 3-, or 4-year period with annual revisions as necessary.

**Formula and Matching Requirements:**

Statutory Formula: Formula Grants are 85 percent Federal and 15 percent nonfederal funds. See funding agency for further details.

Matching Requirements: Percent: 15.%.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

One year. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

SF 425 Financial Status Report (semi-annual) and the Annual Program Performance Report. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$361,348,000; FY 11 est \$368,348,000; and FY 12 est \$416,476,000

**Range and Average of Financial Assistance:**

\$227,915 to \$36,241,336: \$6,511,866.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: not available. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Danielle Nelson One Massachusetts Ave, Washington, District of Columbia  
20201 Email: Danielle.Nelson@aoa.hhs.gov Phone: 202-357-3512

**Website Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.041 Special Programs for the Aging Title VII, Chapter 3 Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.042 Special Programs for the Aging Title VII, Chapter 2 Long Term Care Ombudsman Services for Older Individuals; 93.043 Special Programs for the Aging Title III, Part D Disease Prevention and Health Promotion Services; 93.045 Special Programs for the Aging Title III, Part C Nutrition Services; 93.048 Special Programs for the Aging Title IV and Title II Discretionary Projects; 93.052 National Family Caregiver Support, Title III, Part E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Noncompetitive. State grants awarded based on approval of State Plan, and intrastate funding formula for States with area agencies.

**93.045 SPECIAL PROGRAMS FOR THE AGING TITLE III, PART C NUTRITION SERVICES**

**FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, Parts A and C, Public law 89-73, as amended; Public law 90-42, 81 Stat. 106; Public Law 91-69, 85 Stat. 108; Public Law 92-258, 86 Stat. 88; Public Law 93-87 Stat. 301; Public law 93-351, 88 Stat. 357; Public law 94-135, 89; Stat. 713; Public Law 95-65, 91 Stat. 269; Public law 95-478, 92 Stat. 513; Public law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Title III, Part C, Public Law 100-175; public Law 100-628; 42 U.S.C. 3030e-3030g; Public Law 102-375; Public 106-501.

**OBJECTIVES:**

To provide grants to States to support nutrition services including nutritious meals, nutrition education and other appropriate nutrition services for older Americans in order to maintain health, independence and quality of life. Meals may be served in a congregate setting or delivered to the home, if the older individual is homebound.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Local projects must provide a hot or other appropriate meal which complies with the Dietary Guidelines for Americans and provides one-third of the Dietary Reference Intakes (DRI), at least once per day, 5 or more days per week, except in rural areas where a lesser frequency is determined feasible, to eligible people aged 60 and over and their spouses.

**Applicant Eligibility:**

Only States and U.S. Territories which have State Agencies on Aging designated by the governors are eligible to receive these grants.

**Beneficiary Eligibility:**

Older individuals aged 60 and over and their spouses, especially those older individuals with the greatest social need or those with the greatest economic need, and in certain cases, under age 60, if the individual is handicapped or disabled and resides with an older individual.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Consult the appropriate Regional Office or HQ for State Plan instructions.

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. States are entitled to these grants by statute.

**Appeals:**

Appeals are processed in accordance with the HHS regulations in 45 CFR Part 1321, and Section 2112 of Title 28, U.S.C.

**Renewals:**

State Plans are submitted for a 2-, 3-, or 4-year period, with annual revisions as necessary.

**Formula and Matching Requirements:**

Statutory Formula: See statute for formula description.

Matching Requirements: Percent: 15%. The nonfederal contribution may be in the form of cash or in-kind contributions, including plant, equipment, or services.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

3 years. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

Report requirements are identified in the Notice of Award. Recipients will be required to complete cash report information in the Payment Management System when requesting funds. (Semi-annual) and the annual Program Performance Report are required. SF 425 Financial Status Report are required along with the completion of the supplemental form. Site visits, meeting performance measures etc.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$658,362,000; FY 11 est \$658,362,000; and FY 12 est \$658,362,000

**Range and Average of Financial Assistance:**

Congregate Nutrition Services: FY09 \$434,269,000; FY 10 est.\$434,269,000  
Home-Delivered Nutrition Services: FY09 \$214,459,000; FY 10 est. \$214,549,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Congregate and home delivered meals improved nutritional status, decreased the risk of disease and disability, and helped maintain physical and mental functions to millions of older Americans. Fiscal Year 2011: Congregate and home delivered meals improved nutritional status, decreased the risk of disease and disability, and helped maintain physical and mental functions to millions of older Americans. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog.).

**Headquarters Office:**

Jean Lloyd Office of Home and Community-Based Services, Administration on Aging, DHHS  
One Massachusetts Avenue, NW, Washington, District of Columbia 20201  
Email: Jean.Lloyd@aoa.hhs.gov Phone: 202-357-3582

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.041 Special Programs for the Aging\_Title VII, Chapter 3\_Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.042 Special Programs for the Aging\_Title VII, Chapter 2\_Long Term Care Ombudsman Services for Older Individuals; 93.043 Special Programs for the Aging\_Title III, Part D\_Disease Prevention and Health Promotion Services; 93.044 Special Programs for the Aging\_Title III, Part B\_Grants for Supportive Services and Senior Centers; 93.048 Special Programs for the Aging\_Title IV\_and Title II\_Discretionary Projects; 93.052 National Family Caregiver Support, Title III, Part E; 93.053 Nutrition Services Incentive Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Mandatory formula awards. State grants are awarded based on approval of a State plan.

**93.047 SPECIAL PROGRAMS FOR THE AGING\_TITLE VI, PART A, GRANTS TO INDIAN TRIBES\_PART B, GRANTS TO NATIVE HAWAIIANS****FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, Title VI, Public Law 89-73, 92 Stat. 1513.

**OBJECTIVES:**

To promote the delivery of supportive services, including nutrition services, to older Indians, Alaskan Natives, and Native Hawaiians and to enable tribal organizations to provide multifaceted systems of support services to family caregivers. Services are comparable to services provided under Title III of the Older Americans Act of 1965, as amended.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are available through grants to eligible Indian Tribal Organizations for services comparable to those provided under Title III. Services must include

nutrition services and information and referral, and may include transportation and other services authorized under Title III. Funds may be used for staffing senior centers. Indian Tribes receive funds based on a formula that considers the number of eligible elder Indians sixty years of age or older represented by the tribal organizations with population ranges from 50-100, 101-200, 201-300, 301-400, 401-500, 501 to 1,500, and 1,501+. Grants also are available to private or nonprofit organizations having the capacity to provide services to older Native Hawaiians.

**Applicant Eligibility:**

Tribal organizations of Indian tribes eligible for assistance under Section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b), and public or nonprofit private organizations which serve Native Hawaiian Elders, which represent at least 50 Indians or Hawaiians 60 years of age or older. Applicants must demonstrate that they have the ability to deliver supportive and nutrition services.

**Beneficiary Eligibility:**

Indians who are 60 years of age and older, and in the case of nutrition services, their spouses. Tribes also have the authority to define Indians under 60 years of age as "older Indian" making them eligible for services.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In order to receive a grant, the eligible tribal organization, or for Native Hawaiians, the nonprofit private organization serving Native Hawaiians, must submit an application in accordance with instructions published in the Federal Register and/or Grants.gov by the Administration on Aging.

**Award Procedure:**

Notification of award will be issued to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Usually within 60 to 120 days from closing date or receipt of application.

**Appeals:**

Appeals are processed in accordance with Administration on Aging regulations in 45 CFR 1326 and 1328.

**Renewals:**

Renewals within the grant period are based on satisfactory performance during the prior year, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds for grants are awarded for no less than a 12-month period. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

A program performance and SF-425 financial report are due annually to the funding agency. No performance monitoring is required. Submitted through the Payment Management System. No progress reports are required. A financial report is due annually to the funding agency. No performance monitoring is required.



**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$26,936,716; FY 11 est \$0; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Grants to Indian Tribes, Part A range from \$72,520 to \$177,130. Grants to Native Hawaiians, Part B range from \$82,290 to \$1,505,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, grants were awarded to 244 tribal organizations and two Native Hawaiian Organizations for nutrition and supportive services to Native American, Alaskan Native and Native Hawaiian elders. A similar number of grants are expected to be awarded in fiscal year 2011. Fiscal Year 2011: In fiscal year 2011, it is expected that awards will be issued to 254 tribal organizations and two Native Hawaiian Organizations for nutrition and supportive services to Native American, Alaskan Native and Native Hawaiian elders. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1328. Guidelines are issued by the Assistant Secretary for Aging.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services Regional Offices (See Appendix IV of the Catalog).

**Headquarters Office:**

Meg Graves One Massachusetts Ave, NW, Washington, District of Columbia 20201 Email: Margaret.Graves@aoa.hhs.gov Phone: 202-357-3560

**Website Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.041 Special Programs for the Aging Title VII, Chapter 3\_Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.042 Special Programs for the Aging Title VII, Chapter 2\_Long Term Care Ombudsman Services for Older Individuals; 93.043 Special Programs for the Aging Title III, Part D\_Disease Prevention and Health Promotion Services; 93.044 Special Programs for the Aging Title III, Part B\_Grants for Supportive Services and Senior Centers; 93.045 Special Programs for the Aging Title III, Part C\_Nutrition Services; 93.052 National Family Caregiver Support, Title III, Part E

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: (1) Supportive and Nutrition Services for Older Indian Persons - Passamaquoddy Tribe, Perry, Maine; (2) Supportive and Nutrition Services to Older Indian Persons -San Carlos Apache Tribe; (3) Supportive and Nutrition Services to Older Indian Persons - Yakima Indian Nation; (4) Supportive and Nutrition Services to Older Indian Persons - St. Croix Tribal Council, Wisconsin; (5) Supportive and Nutrition Services to Older Indians - Ute Mountain Ute Tribe. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are made based upon the extent to which the project meets the requirements of the law and regulations.

**93.048 SPECIAL PROGRAMS FOR THE AGING\_TITLE IV\_AND TITLE II\_DISCRETIONARY PROJECTS****FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, Title IV, Public Law 89-73, 79 Stat. 218, as amended; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175; Public Law 100-628, 42 U.S.C. 3031-3037b; Public Law 102-375; Public Law 106-501.

**OBJECTIVES:**

To support the development and testing of innovative programs, services and systems of support that respond to the needs of the nations growing elderly population, to improve knowledge of the problems and needs of the elderly, to help ensure adequately trained personnel in the field of aging, and to demonstrate better ways of improving the quality of life for the elderly, their caregivers and people with disabilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Each year, AoA issues multiple Funding Opportunity Announcements. The specific use of funds will vary across these multiple announcements. Depending on the specific program goals and objectives cited in an individual announcement, funds may be used for any one or more, but not necessarily all, of the following: (a) to demonstrate and/or replicate new or proven methods and practices to improve the quality and effectiveness of programs and services; (b) to ensure proven programs and approaches are replicated with fidelity to the original research (c) to evaluate new or existing programs and services; (d) to conduct applied research and analysis to improve access to and delivery of services; (e) to provide training and technical assistance to professionals in the field. Funds may not be used for: (a) construction and/or major rehabilitation of buildings; (b) basic research (e.g., bio-medical experiments); (c) to substitute, supplant or expand funding for Older American Act formula funded programs, including supportive and nutritional services funded under Title III of the Older Americans Act; (d) medical care, institutional care or income maintenance; (e) projects which do not involve innovative approaches, and whose outcomes do not have the potential for national dissemination and replication; (f) equipment purchases unless the equipment is necessary to carry out a project that is otherwise fundable under Title IV.

**Applicant Eligibility:**

Grants may be made to any public or nonprofit private agency, organization, or institution. Contracts may be awarded to any agency, organization or institution. Grants and contracts are not available to individuals.

**Beneficiary Eligibility:**

Older individuals aged 60 and older, family caregivers and grandparents, and older individuals who are relative caregivers, individuals at high-risk of institutional placement, and individuals in need of assistance with or planning ahead for their long-term care needs.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The availability of competitive grant funds under Title IV is announced from time to time via program announcements that are simultaneously published on [www.grants.gov](http://www.grants.gov) and on the AoA web site at <http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx>. In addition, announcements intended for a wide audience of applicants may be published in

the Federal Register. All required forms and instructions for specific program announcements can be found on the AoA web site or by contacting the Administration on Aging, Office of Grants Management. Contract information is published in the "Commerce Business Daily."

**Award Procedure:**

Notification of award will be issued to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Grant extensions may be requested from the grantee's Program Officer.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. This program has no statutory formula. Matching requirements may be required of any grantee to the extent deemed appropriate by the Assistant Secretary for Aging and are generally set at a minimum of 25 percent of the total cost of the project. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, projects are approved for a period of 12 to 36 months. Support beyond the first year is contingent upon the availability of funds and evidence of satisfactory progress. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. SF-425. Semi-annual progress reports and final reports are required of grantees. SF-425. Performance monitoring accomplished through site visits, review of progress reports, and general interaction between the Federal Program Officer and grantee.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$71,868,448; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - The number of awards in fiscal year 2009 totaled 256. It is estimated that 260 awards will be made in fiscal year 2010. Awards in fiscal year 2009 were made to support: (1) A national program to enlist retired professional and other older volunteers in combating Medicare/Medicaid fraud and waste; (2) a national program of statewide senior legal information services, legal and related elder rights projects; (3) Performance Outcomes Measures Projects; (4) the Eldercare Locator, a national toll-free aging information and assistance telephone service; (5) projects focused on minority aging issues; (6) information and assistance resource centers for older adults and persons with disabilities; (7) evidence-based health promotion and disease prevention grants designed to translate clinical research into effective approaches delivered through community-based aging services providers; (8) community living program grants to assist individuals at risk of institutionalization and spend-down to Medicaid to maintain their independence in the community.

**Range and Average of Financial Assistance:**

\$50,000 to \$2,000,000.  
\$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: For FY10, several EB Health Prevention programs have been translated and are ready for dissemination throughout the nation. Fiscal Year 2011: For FY11, 365 ADRCs are operating throughout 51 states and territories, more than 622,000 people have received ADRC services. 16 states are strengthening partnerships with health care providers and serving people through care transitions. More than 30,000 people have completed CDSMP and have changed their health behaviors. Thusfar in FY11, 383,532 beneficiaries have been educated or served by the SMP program. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See Chapter XIII, Title 45 of the Code of Federal Regulations on AoA supported projects. Annual guidelines, program information, and application instructions are available from the Administration on Aging, Washington, DC 20201.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for addresses).

**Headquarters Office:**

Lori Gerhard, Department of Health and Human Services, Administration on Aging, One Massachusetts Ave, N.W., Washington, District of Columbia 20001 Email: Lori.Gerhard@aoa.hhs.gov Phone: (202) 357-3443

**Website Address:**

<http://www.aoa.gov>. For information on current funding opportunities and associated application forms, visit:  
<http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx>.

**RELATED PROGRAMS:**

93.041 Special Programs for the Aging Title VII, Chapter 3\_Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.042 Special Programs for the Aging Title VII, Chapter 2\_Long Term Care Ombudsman Services for Older Individuals; 93.043 Special Programs for the Aging Title III, Part D\_Disease Prevention and Health Promotion Services; 93.044 Special Programs for the Aging Title III, Part B\_Grants for Supportive Services and Senior Centers; 93.051 Alzheimer's Disease Demonstration Grants to States; 93.052 National Family Caregiver Support, Title III, Part E; 93.990 National Health Promotion

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Evidence Based Disease Prevention Programs, Development of Consumer Direction in Aging Network. Fiscal Year 2011: Care Transition Programs; Options Counseling Standards Programs. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Details for evaluating applications are published as part of each Title IV program announcement. Major emphases are: (1) documented need; (2) expected outcomes and benefits; (3) innovative approach; (4) level of effort; (5) involvement of community-based organizations in planning and implementation activities; and, (6) projects that benefit disadvantaged groups, including low-income, minority and limited English speaking populations.

**93.051 ALZHEIMER'S DISEASE DEMONSTRATION GRANTS TO STATES**

(Alzheimer's Demonstration Program)

**FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

Sec 398 of the Public Health Service Act (P.L. 78-410; 42 U.S.C. 280c-3).

**OBJECTIVES:**

To expand the availability of diagnostic and support services for persons with Alzheimer's Disease and Related Dementias (ADRD), their families, and their caregivers, as well as to improve the responsiveness of the home and

community-based care system to persons with dementia.

There are two types of ADSSP grants: Evidence-based grants require states to demonstrate how existing evidence-based interventions that help people with ADRD and their family caregivers can be translated into effective supportive service programs at the community level. Innovation grants require states and their partners to explore innovative approaches to improving the delivery of supportive services at the community-level to people with ADRD and their family caregivers.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

(1) Not less than 50 percent of the federal grant must be spent on home health care, personal care, day care, companion services, short-term care in health facilities, and other respite care to individuals with Alzheimer's disease and related disorders. (2) Grant funds cannot be used to replace existing, State, Federal, or private insurance funds. (3) Matching funds are required. (4) Not more than 10 percent of the grant will be expended for administrative expenses.

**Applicant Eligibility:**

State government agencies are eligible for grant awards; the applicant agency is encouraged to have the support and active involvement of the Single State Agency on Aging. Only one application per State will be funded, however, multiple state and local agencies are encouraged to collaborate in planning and carrying out the project.

**Beneficiary Eligibility:**

(1) Individuals with Alzheimer's disease and related disorders; (2) families of those individuals; and (3) care providers of those individuals.

**Credentials/Documentation:**

Applicants must submit: (1) A description of intended use of the grant; (2) information describing programs and activities to be supported; (3) the number of individuals receiving services and the cost of services; and (4) a plan describing coordination of such services. Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grant Application for Federal Assistance (Nonconstruction Programs) are in accordance with program announcements developed by the Administration on Aging (AoA) and will be published in Grants.gov when funding is available. As specified in the program announcement, application forms and instructions may be obtained by writing to the US Department of Health and Human Services, Administration on Aging, Grants Management Office, Washington, DC 20201.

**Award Procedure:**

After review and approval, notification of award will be issued to the grantee, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As specified in guidelines published in the Program Announcement.

**Appeals:**

Not Applicable.

**Renewals:**

As outlined in the program announcement.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 25%. Match Requirements: 25% match

(cash and/or in-kind) during the first year, 35% during the second year, and 45% during the third and subsequent years of the grant period. Waivers to these match requirements are not allowed.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are typically 3 years in duration. Length of future awards will be published in the Program Announcement and on Grants.gov. Support beyond the first year is contingent upon the availability of funds and evidence of satisfactory progress. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

As outlined in the program announcement. Semi-annual progress reports and final reports are required of grantees. Financial SF-425, Performance monitoring accomplished through site visits, review of progress reports and general interaction between the Federal Program Officer and grantee. Payment Management System reporting. See Program Announcement. SF425. Through site visits and reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Cooperative Agreements) FY 10 \$10,291,999; FY 11 est \$10,249,501; and FY 12 est \$10,249,501

**Range and Average of Financial Assistance:**

Approximately \$200,000 to \$1,000,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: not applicable. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Home Health Care and Alzheimer's Disease Amendments of 1990 (Public Law 101-557); Health Professions Education Partnerships Act of 1998 (Public Law 105-392).

**Regional or Local Office:**

None. Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for listings.).

**Headquarters Office:**

Jane Tilly One Massachusetts Ave., N.W., Washington, District of Columbia 20001 Email: Jane.Tilly@AoA.HHS.gov Phone: (202) 357-3438

**Website Address:**

<http://www.aoa.gov/aoaroot/grants/funding/index.aspx>

**RELATED PROGRAMS:**

93.052 National Family Caregiver Support, Title III, Part E

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Profiles of currently funded projects are found at <http://www.adrc-tae.org/tiki-index.php?page=adsspmap>. Fiscal Year 2011: Profiles of currently funded projects are found at <http://www.adrc-tae.org/tiki-index.php?page=adsspmap>. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As specified in the program announcement.

**93.054 NATIONAL FAMILY CAREGIVER SUPPORT, TITLE VI, PART C, GRANTS TO INDIAN TRIBES AND NATIVE HAWAIIANS**

**FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act, Public Law 106-501.

**OBJECTIVES:**

To assist Indian Tribal and Native Hawaiian Organizations in providing multifaceted systems of support services for: (1) Family caregivers; and (2) grandparents or older individuals who are relative caregivers. Services to be provided include: information to caregivers about available services; assistance to caregivers in gaining access to the services; individual counseling and caregiver training to assist the caregivers in making decisions and solving problems relating to their caregiving roles; respite care to enable caregivers to be temporarily relieved from their caregiving responsibilities; and supplemental services, on a limited basis, to complement the care provided by caregivers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This authority is for making grants to Indian Tribal and Native Hawaiian Organizations under Title VI-C to enable the provision of multifaceted systems of support services for family caregivers; and for grandparents or older individuals who are relative caregivers.

**Applicant Eligibility:**

Indian Tribal and Native Hawaiian Organizations with approved applications under Title VI, Parts A and B.

**Beneficiary Eligibility:**

Family caregivers, grandparents, and older individuals who are relative caregivers will benefit.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications are submitted in accordance with program announcements developed by the Administration on Aging (AoA) and will be published in the Federal Register and/or Grants.gov.

**Award Procedure:**

After review and approval, notification of award will be issued to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved approximately 60 to 120 days from closing date or receipt of application.

**Appeals:**

Appeals are processed in accordance with the HHS regulations in 45 CFR Part 1326 and 1328.

**Renewals:**

Renewals within the grant period are based on satisfactory performance during the prior year and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds for grants are awarded for no less than a 12-month period. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

A program performance and SF425 financial report is due annually to the funding agency. No performance monitoring is required. Submitted through the Payment Management System. No progress reports are required. SF-425 Financial status reports are required annually. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$6,373,027; FY 11 est \$7,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Grants for Title VI, Part C range from \$13,410 to \$53,660.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: not available. Fiscal Year 2011: In fiscal year 2011, it is expected that awards will be issued to 217 Tribal Organizations and 1 Native Hawaiian Organization. Fiscal Year 2012: not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Administration on Aging Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for listings.).

**Headquarters Office:**

Meg Graves One Massachusetts Ave, NW , Washington, District of Columbia 20201 Email: Margaret.Graves@aoa.hhs.gov Phone: 202-357-3502

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.047 Special Programs for the Aging Title VI, Part A, Grants to Indian Tribes Part B, Grants to Native Hawaiians

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Native American Caregiver Support Program: 1) Aroostook Band of Micmacs, ME; 2) Pueblo of Jemez, NM; 3) Hopi Tribe, AZ; 4) Alu Like, HI; 5) Fairbanks Native Association, AK. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.055 APPLIED LEADERSHIP FOR COMMUNITY HEALTH IMPROVEMENT**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Section 301(a) of the Public Health Service Act [42 U.S.C. Sections 241], as

amended.

**OBJECTIVES:**

The purpose of this program is to improve community health through applied, team-based meta-leadership development. Specifically, this program will: Establish a national health applied leadership training program to provide customized public health applied leadership training to local and state public health officials and their allies. Assemble, train and provide technical assistance to local teams of 3-5 leaders to effectively address local public health problems as part of a Community Health Improvement Project. Document and evaluate the applied public health training approach. Foster replication through train the trainer and e-learning models to increase the programs reach and impact. Document and evaluate the Community Public Health Improvement projects used by the teams and to submit the promising and effective strategies and interventions utilized to the CDC for further evaluation and potential dissemination. This program addresses the Healthy People 2020 focus area(s) of Public Health Infrastructure; activities arising from this program may address many other focus areas. Measurable outcomes of the program will be in alignment with one (or more) of the following Department of Health and Human Services and Healthy People 2020 performance goal(s) that the Office for State Tribal Local and Territorial Support undertakes: 1) Strengthen the Nations Health and Human Service Infrastructure and Workforce. 2) To ensure that Federal, State, Tribal, and local health agencies have the necessary infrastructure to effectively provide essential public health services.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restrictions are as follows:

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

Awardees may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Reimbursement of pre-award costs is not allowed. Recipients may not use funds for construction or building projects.

**Applicant Eligibility:**

Assemble, train and provide technical assistance to local teams of 3-5 leaders to effectively address local public health problems as part of a Community Health Improvement Project.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is covered under OMB Circular No. A-102. This program is covered under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants.

**Award Procedure:**

An objective review panel will evaluate complete and responsive applications

according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project periods are for 1 to 5 years with 12 month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 1 to 5 years with 12 month budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Interim and semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$1,000,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

Expected: \$1,000,000 - \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

John D. Maynard 4770 Buford Hwy, MS E85, Atlanta, Georgia 30341 Email: eoq9@cdc.gov Phone: 404.498.0394

**Website Address:**

<http://www.grants.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding will be directed to a single competitively selected grantee.

Non-governmental organizations may also be eligible for funding opportunities.

Additional criteria will be listed in individual funding opportunity announcements.

**93.056 INITIATIVE TO EDUCATE STATE AND TERRITORIAL OFFICIALS ABOUT MAINTAINING AND STRENGTHENING PUBLIC HEALTH IN A CHANGING ENVIRONMENT**

Initiative to Educate State and Territorial Officials about Maintaining and Strengthening Public Health in a Changing Environment

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Section 301(a) of the Public Health Service Act [42 U.S.C. Sections 241], as amended.

**OBJECTIVES:**

This program is intended to build the capacity of legislators and relevant legislative health committee experts through an organizational membership that represents legislatures from all 50 states and territories as part of the nations efforts to expand and sustain national investment in prevention and public health programs.

The purpose of this 1-year activity is to ensure that legislators have the knowledge, information, and other resources they need to identify, develop, and support policies that maintain essential public health services, while also facilitating the changes needed in the public health system to increase effectiveness and efficiency through better use of resources. This program addresses the Healthy People 2020 focus area of Public Health Infrastructure and the CDC Office for State, Tribal, Local and Territorial Supports mission to increase the capacity and performance of the public health system, available at <http://www.healthypeople.gov>.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restrictions are as follows: Recipients may not use funds for research. Recipients may not use funds for clinical care. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual. Awardees may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible. Reimbursement of pre-award costs is not allowed. Recipients may not use funds for construction or building projects. Applicants can obtain guidance for completing a detailed justified budget on the CDC website, at the following Internet address: <http://www.cdc.gov/od/pgo/funding/budgetguide.htm>.

**Applicant Eligibility:**

Eligible applicants that can apply for this funding opportunity are listed below: Two categories of organizations are eligible to apply for this funding opportunity:

Category 1: National non-profit organizations that consist of requisite memberships representing governors from all 50 states and territories. The applicant organizations must provided information, education, publications, and networking forums to Governors and their staff. Category 2: National non-profit organizations that work with State Legislators and relevant health committee experts and consist of requisite memberships representing

legislatures from all 50 states and territories. The applicant organizations must have provided information, education, publications, and networking forums to state legislatures, relevant legislative committees and their staff.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants must provide a project abstract, project narrative, and provide detail on the appropriate planning, training, and personnel and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is covered under OMB Circular No. A-102. This program is covered under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants.

**Award Procedure:**

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is for one year with a 12-month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Interim and semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$300,000; and FY 12 est \$0 - One year budget period.

**Range and Average of Financial Assistance:**

\$150,000 - \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

Andrea W. Wooddall 4770 Buford Hwy, MS E70  
, Atlanta, Georgia 30341 Email: ayw3@cdc.gov Phone: 4044986792

**Website Address:**

<http://www.grants.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding will be directed to one or two competitively selected grantee(s). Non-governmental organizations may also be eligible for funding opportunities. Additional criteria will be listed in individual funding opportunity announcements.

**93.061 INNOVATIONS IN APPLIED PUBLIC HEALTH RESEARCH**

Applied Public Health Research

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act , Title 42, Part 247b, Section 317(k)(2).

**OBJECTIVES:**

To foster the new knowledge necessary to develop, enhance, and disseminate effective public health services, programs, and policies that improve health and quality of life for the population.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Applied public health research provides the critical new knowledge to address the CDC priority research needs. Research is focused on improving public health practices to maximize positive health outcomes and impacts.

**Applicant Eligibility:**

Applications may be submitted by public and private nonprofit and for profit organizations and by governments and their agencies, such as: Public nonprofit organizations Private nonprofit organizations, For profit organizations, Small, minority, women-owned businesses, Universities, Colleges, Research institutions, Hospitals, Community-based organizations, Faith-based organizations, Federally Recognized Indian Tribal Governments, Indian tribes, Indian tribal organizations, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Marianna Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau), Political subdivisions of States (in consultation with States).

**Beneficiary Eligibility:**

Beneficiary will be to public and private nonprofit and for profit organizations and by governments and their agencies, such as: Public nonprofit organizations Private nonprofit organizations, For profit organizations, Small, minority, women-owned businesses, Universities, Colleges, Research institutions, Hospitals, Community-based organizations, Faith-based organizations, Federally Recognized Indian Tribal Governments, Indian tribes, Indian tribal organizations, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Marianna Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau), Political subdivisions of States (in consultation with States).

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, present their approach to meeting the objectives, and outline the methods of operation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must download the SF424 (R&R) application forms and SF424 (R&R) Application Guide located at: [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). Applicants are required to have a Dun and Bradstreet Data Universal Numbering System (DUNS) number to apply for a grant from the Federal Government. The DUNS number is a nine-digit identification number, which uniquely identifies business entities. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access [www.dunandbradstreet.com](http://www.dunandbradstreet.com) or call 1(866) 705-5711.

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 90 to 150 days.

**Appeals:**

Not Applicable.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period with project periods of up to 3 years subject to the availability of funds and satisfactory progress of the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual progress report, (PHS 2590, OMB Number 0925-0001, <http://grants.nih.gov/grants/funding/2590/2590.htm>) is due no less than 90 days before the end of the budget period. The progress report will serve as the non-competing continuation application. A final performance report is due no more than 90 days after the end of the project period. Cash reports are not applicable. Annual progress report, (PHS 2590, OMB Number 0925-0001, <http://grants.nih.gov/grants/funding/2590/2590.htm>) is due no less than 90 days before the end of the budget period. The progress report will serve as the non-competing continuation application. A final performance report is due no more than 90 days after the end of the project period. Financial status report is due no more than 90 days after the end of the budget period. A final financial report is due no more than 90 days after the end of the project period. Annual progress report, (PHS 2590, OMB Number 0925-0001, <http://grants.nih.gov/grants/funding/2590/2590.htm>) is due no less than 90 days before the end of the budget period. The progress report will serve as the non-competing continuation application. A final performance report is due no more than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, these grants are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$5,865,276; FY 11 est \$5,631,601; and FY 12 est \$5,631,601

**Range and Average of Financial Assistance:**

\$450,000 per award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92 For more information on the Code of Federal

Regulations, see the National Archives and Records Administration at the following Internet address:

<http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Juliana Cyril, 1600 Clifton Rd., Atlanta, Georgia 30333 Email: [jcyril@cdc.gov](mailto:jcyril@cdc.gov) Phone: (404) 639-4639.

**Website Address:**

<http://www.cdc.gov> or <http://www.cdc.gov/od/science/quality/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: See <http://report.nih.gov/index.aspx>. Fiscal Year 2011: See <http://report.nih.gov/index.aspx>. Fiscal Year 2012: None.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications that are complete and responsive to the FOA will be evaluated for scientific and technical merit by an appropriate peer review group in accordance with the review criteria. As part of the initial merit review, all applications may: Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score and receive a written critique.

**93.062 BIOMONITORING PROGRAMS FOR STATE PUBLIC HEALTH LABORATORIES**

Centers For Disease Control and Prevention (CDC) Department of Health and Human Services

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under Section 317 of the Public Health Service Act, (42 U.S.C. Section 247 b), as amended., 42 U.S.C 247b.

**OBJECTIVES:**

To support the development or expansion of state-based biomonitoring programs, including necessary infrastructure, that will increase the capability and capacity of state public health laboratories (1) to assess human exposure to environmental chemicals within their jurisdictions; (2) to determine which chemicals people are exposed to and the levels of those chemicals in peoples bodies; (3) to determine the prevalence of people with levels of chemicals that are above a known toxicity threshold; (4) to determine whether levels of selected chemicals are higher among minorities, children, women of childbearing age, or other potentially vulnerable groups; (5) to assess the effectiveness of state public health actions to reduce the exposure of their residents to specific chemicals of concern; (6) to compare state-generated biomonitoring data with CDC national biomonitoring data; and (7) to track trends in levels of chemicals in a states population or subgroups of that population over time.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative agreements may be made to eligible entities for the support of projects to develop or expand state-based biomonitoring programs. Funding may be used for personnel salaries (for full-time, part-time, or contractor positions), laboratory instruments and supplies, training, travel, and indirect costs. Funds may not be used for research, clinical care, furniture or office equipment, pre-award costs, or the construction of new laboratory space. In addition, the direct and primary recipient in the cooperative agreement program must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

**Applicant Eligibility:**



No additional information.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

Applicants should review the individual CDC Guidance documents issued under this CFDA program for any required proof or certifications that must be submitted with the application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications and required forms for this program can be obtained from Grants.gov or from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to find and apply for all Federal grant/cooperative agreement opportunities.

**Award Procedure:**

After review and approval of an application, a notice of award is made in writing and issued by the Grants Management Officer, Procurement and Grants Office, CDC. Appropriate notification is also made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Support is recommended for a specified project period, not to exceed 5 years, with each project period having a 12-month budget period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support is recommended for a specified project period, not to exceed 5 years. Awards are made annually and assistance is available for a twelve month budget period. There are five budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period. Annual progress reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative

agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$5,000,000; FY 11 est \$4,700,000; and FY 12 est \$4,700,000 - Range: \$1 million to \$ 3 million per award  
Approximate average award: \$2.14 million.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In 2002, CDC funded 33 states (22 individual states and 11 states that were members of several consortia) to develop plans for instituting biomonitoring programs. In 2004, CDC was able to fund only two states and one consortium of six states to implement their plans. This current FOA provides a further opportunity to work with states or consortia of states to develop or expand biomonitoring programs that will assess exposure to environmental chemicals within their jurisdictions. Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations. HHS Grants Policy Statement at:  
<http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, Atlanta, Georgia 30341-3717 Email: [ctg8@cdc.gov](mailto:ctg8@cdc.gov) Phone: (770) 488-0572.

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria can be found in the program guidance.

**93.063 CENTERS FOR GENOMICS AND PUBLIC HEALTH  
FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act.

**OBJECTIVES:**

To provide technical assistance to community, State and regional organizations by responding to identified needs and requests for information assistance and training in genomics and population health for the health workforce, with a particular focus on enhancing knowledge and awareness of genomics applications among public health workers, and support the integration of genomics into population health research, policy and practice; provide competency based training, identify opportunities to serve as a credible and

impartial provider of current information about genomics, participate in collaborative processes with other Centers, CDC and external partners and evaluate the achievements and impact of the Centers' activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may not be used to support the provision of direct patient care, for facility or capital outlay, or to conduct research involving human subjects.

**Applicant Eligibility:**

Universities, colleges, and research institutions.

**Beneficiary Eligibility:**

Targeted State and community program capacity in genomics and population health will benefit.

**Credentials/Documentation:**

1)access to, and well-defined availability of, staff or collaborators with multidisciplinary expertise (epidemiology, public health practice, genomics, clinical genetics and medicine, policy, health communications and education); 2)demonstrated ability to develop educational and practice collaborations among public, private, and academic partners, with emphasis on public health and health science institutions, State health departments and other agencies, health care organizations and community groups; 3)experience relevant to the specific objectives and activities of the program, particularly direct involvement with public health practice, improving population health, and integrating genomics into practice; and 4) expertise in needs assessment and planning and delivering technical assistance and training to public health workers or other health professionals. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341.

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 120 days from receipt of application.

**Appeals:**

Other - Not Specified.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient as documented in required reports, and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from one to four years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. See the following for information on how assistance is awarded/released: Assistance is available for a 12-month budget period within project periods ranging from one to four years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System.

**Reports:**

Program reports are not applicable. No cash reports are required. Current budget period activities objectives, current budget period financial progress, new budget period program proposed activity objectives, budget, additional requested information, measure of effectiveness, financial status report by 90 days after the end of the budget and semi-annual progress report. Current budget period activities objectives, current budget period financial progress, and new budget period program proposed activity objectives. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, support documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of three years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 Not Available; FY 11 est \$0; and FY 12 est \$0 - Funds for fiscal year 2012 are not available.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Activities associated with this project will be completed September 2011. The website for the University of Washington Center for Genomics and Public Health will continue. Participation in planning and organizing GaPPNet will continue. Fiscal Year 2011: N/A. Fiscal Year 2012: There are currently no projections for 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92. For information on the Code of Federal Regulations, see the National Archives and Records Administration at the following Internet address:  
<http://www.accessgpo.gov/nara/cfr-table-search.html>.

**Regional or Local Office:**

See Regional Agency Offices. Technical Information Management Section, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2700.

**Headquarters Office:**

Myra A. Montalbano 1600 Clifton Road NE  
mailstop E-97  
, Atlanta, Georgia 30329 Email: MMontalbano@cdc.gov Phone: 4044980081

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.064 LABORATORY TRAINING, EVALUATION, AND QUALITY ASSURANCE PROGRAMS**

(Quality Assurance in Pathology and Laboratory Medicine)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 317(k)(2), 42 U.S.C 247b(k)(2).

**OBJECTIVES:**

To improve the quality of laboratory testing practices relevant to clinical and public health settings and to determine standardized approaches to quality assurance in pathology and laboratory medicine that can be applied in multiple, diverse settings (e.g. community hospitals, academic medical centers, and independent laboratories) that demonstrate measurable and sustainable improvements over time.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding opportunities are made available to evaluate quality assurance methods for addressing the pre-analytic, analytic, and post-analytic components of laboratory testing in clinical and public health laboratory settings; and to provide technical assistance and training to public health laboratory scientists and leaders on laboratory standards and quality improvement models applicable to laboratory management services.

**Applicant Eligibility:**

Applications may be submitted by public and private nonprofit organizations and by governments and their agencies, such as: Public nonprofit organizations, private nonprofit organizations, universities, colleges, research institutions, hospitals, community and faith based organizations, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau).

**Beneficiary Eligibility:**

Applicants must have experience in the administration and evaluation of standardized quality assurance programs in multiple, diverse laboratory sites (including community hospitals and academic medical centers). This experience is required for an applicant to be able to assess the effectiveness of these quality assurance programs and to determine best practices.

**Credentials/Documentation:**

Title 2 of the United States Code section 1611 states that an organization described in section 501(c)(4) of the Internal Revenue Code that engages in lobbying activities is not eligible to receive Federal funds constituting an award, grant, or loan. For all other nonprofit grantees, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. For-profit organizations' costs are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110.

Application forms and instructions are available on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm) If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at: Telephone: (770) 488-2700. Applications must be submitted through [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applications will be evaluated for completeness and responsiveness by the agency program and CDC Procurement and Grants Office (PGO). CDC will not review incomplete and non-responsive applications. After review and approval, a notice of grant award (NoA) will be prepared and processed, along with appropriate notification to the public. Initial award provides funds for the first budget period (usually 12 months) and the NoA will indicate support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Cooperative agreement project periods are 1 to 5 years. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon satisfactory progress by the recipient (as documented in required reports) and the determination that continued funding is in the best interest of the Federal government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period within project periods ranging from one to five years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual or semiannual progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of the project period. Cash reports are not applicable. Annual or semiannual progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal governments officials.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine HHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$3,028,304; FY 11 est \$3,548,718; and FY 12 est \$3,154,859

**Range and Average of Financial Assistance:**

\$100,000 to \$500,000; \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; basic grant administration policies of DHHS and PHS are also applicable, 45 CFR 74 and 45 CFR 92; PHS Grants Policy Statement, DHHS publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None. For general questions about this announcement, contact: Technical Information Management Section, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: 770-488-2700. For program technical assistance, contact: Shirlene Beach, Centers for Disease Control and Prevention, OSELS, LSPPPO, DLSS, 1600 Clifton Road, MS G25. Telephone: (404) 498-2225, Fax: (404) 498-2210, E-mail: sle0@cdc.gov. For financial, grants management, or budget assistance, contact: Annie Curry, Grants Management Specialist, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2823, E-mail: ihs6@cdc.gov.

**Headquarters Office:**

Shirlene L. Elkins CDC/OSELS/LSPPPO/DLSS, 1600 Clifton Road, NE Mailstop G25, Atlanta, Georgia 30333 Email: sle0@cdc.gov Phone: (404) 498-2225 Fax: (404) 498-2210.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the review criteria described in the Funding Opportunity Announcements (FOAs). In general, the review and selection process of complete and responsive applications to the FOA consists of determination of the scientific and technical merit by objective or peer review, availability of funds, and relevance of program priorities and the priorities of DHHS. Refer to the FOA for additional review criteria.

**93.065 LABORATORY LEADERSHIP, WORKFORCE TRAINING AND MANAGEMENT DEVELOPMENT, IMPROVING PUBLIC HEALTH LABORATORY INFRASTRUCTURE**

APHL-CDC Partnership for Quality Lab Practice

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Section 317(k)(3) of the Public Health Service Act, [42 U.S.C. 247b (k)(3), as amended.

Sections 307 and 317(k)(2) of the Public Health Service Act, [42 U.S.C. 2421 and 247b (k)(2), as amended, Executive Order N/A, Title 42, Part 247b(k)(3), Section 317(k)(3); Funding is appropriated under Affordable Care Act (PL 111-148), Title IV, Section 4002 (Prevention and Public Health Fund) in Fiscal Year 2011 only. In addition, Under Section 5314, Fellowship Training in Public Health (Part E of title VII of the Public Health Service Act (42 U.S.C.294n et seq., as amended by as amended by section 5206, is further amended by Sec. 778), CDC is authorized to expand existing fellowship training programs in the critical areas of applied public health epidemiology, public health laboratory science and public health informatics.

**OBJECTIVES:**

This program addresses the Healthy People 2010 focus areas of: #8 Environmental Health, #10 Food Safety, #11 Health Communication, #13 HIV, #14 Immunization and Infectious Diseases, # 17 - Medical Product Safety, #20 - Occupational Safety and Health, #23 Public Health Infrastructure, #24 - Respiratory Diseases and #25 Sexually Transmitted Diseases.

Its major objective is to improve public health laboratory infrastructure, maintain a competent and trained laboratory workforce, promote laboratory leadership activities to ensure future laboratory leaders, ensure laboratory preparedness for emerging infectious diseases or other biologic and chemical public health threats, promote technology transfer to ensure up-to-date technologies for the testing laboratory, and to enhance communication linkages between state and local public health laboratories, and the clinical laboratory testing community.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The purpose of the program is to enhance the work of public health laboratories in the U.S. and abroad. The program aims to promote quality public health laboratory practice, improve public health laboratory infrastructure, strengthen the public health laboratory system, and to develop a well-trained public health laboratory workforce in the U.S. and globally. It also aims to ensure laboratory preparedness for emerging infectious diseases or other biologic and chemical public health threats, promote technology transfer to ensure up-to-date technologies for the testing laboratory, and enhance communication linkages between state and local public health laboratories and the clinical laboratory testing community Improvement of public health laboratory infrastructure, state-of-the-art training for the nation's laboratorians to be prepared in dealing with public health threats, improving laboratory leadership capabilities, enhancing inter-laboratory communications.

There are no restrictions.

Additionally, Affordable Care Act (ACA) funding will be used to expand the existing Emerging Infectious Diseases (EID) Laboratory Fellowship Program by supporting additional fellowships through the cooperative agreement between CDC and APHL in Fiscal Year 2011. This project will receive ACA funding for future Fiscal Years-Subject to availability of funds.

**Applicant Eligibility:**

Assistance will be provided only to APHL. CDC approved single eligibility of this award. This group is the appropriate and only qualified organization to address the activities described under this program announcement. Application may be submitted by the APHL consistent with the single eligibility justification that follows. State governments, specifically State public health laboratories, particularly any organization representing state public health laboratories and having an established training network.

In regards to Eligibility for Affordable Care Act (ACA) funding will be limited solely to the Association of Public Health Laboratories (APHL), the current partner in the cooperative agreement with CDC.

**Beneficiary Eligibility:**

This project represents the front line defense against health threats to the nation's public. The nation's public is the ultimate recipient of benefits from this program.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For all other nonprofit grantees, cost will be determined in accordance with HHS Regulations 45 CFR 74 Subpart Q. For-profit organizations' costs are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity use application form PHS 5161. Application forms and instructions are available on [www.grants.gov](http://www.grants.gov) and/or the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at: 770-488-2700. Application forms can be mailed to you.

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application. Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From two to three months.

**Appeals:**

Not Applicable.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period with project periods of up to five years subject to the availability of funds and satisfactory progress of the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Each funded applicant must provide CDC with an interim progress reports via [www.grants.gov](http://www.grants.gov): 1. The first interim progress report is due at mid year and will serve as the non-competing continuation application, and must contain the following elements: a. Standard Form (SF) 424S Form. b. SF-424A Budget Information-Non-Construction Programs. c. Budget Narrative. d. Indirect Cost Rate Agreement. e. Project Narrative. 2. The second report is due no later than 90 days after the end of the budget period. This report should include a detailed description of specific projects and activities conducted, measurable outcomes achieved and public health impact resulting from projects conducted during the reporting period. 3. Annual progress report, due 90 days after the end of the budget period. These reports must be submitted to the attention of the Grants Management Specialist. Cash reports are not applicable. Interim progress report, no less than 90 days before the end of the budget period. The progress report will serve as your non-competing continuation application, and must contain the following elements: current budget period activities objectives, current budget period financial progress, new budget period program proposed activity Objectives, budget, additional requested information, and measures of effectiveness. Financial status report and annual progress report, no more than 90 days after the end of the budget period; and Final financial and performance reports, no more than 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A-133 audits. Financial status report and annual progress report, no more than 90 days after the end of the budget period; and Final financial and performance reports, no more than 90 days after the end of the project period

**Records:**

Financial and personnel records including financial awards, financial status reports, interim reports, and final reports must be maintained for a period of seven years.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$24,000,000; FY 11 est \$11,000,000; and FY 12 est \$24,000,000. (Cooperative Agreements) FY 10 Not Available; FY 11 est \$1,100,000; and FY 12 est \$24,000,000 - Approximately \$1,000,000 in Affordable Care Act (ACA) funding will be made available to support additional fellowships under the Emerging Infectious Diseases (EID) Laboratory Fellowship Program thru the existing cooperative agreement with APHL .

Subject to availability of funds, ACA funds will be available to fund future years.

**Range and Average of Financial Assistance:**

Approximate Average Award: \$20 million  
Floor of Individual Award Range: \$10 million  
Ceiling of Individual Award Range: \$30 million  
Anticipated Award Date: July 1, 2010  
Budget Period Length: 12 months  
Project Period Length: 5 years.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Angela Banks, 1600 Clifton Road, Mailstop E21, Atlanta, Georgia 30333  
Email: [zvw0@cdc.gov](mailto:zvw0@cdc.gov) Phone: (404) 498-6399.

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed program, Methods, Proposal Adequacy, Evaluation, Program Personnel and Budget (not scored).

**93.066 STATE VITAL STATISTICS IMPROVEMENT PROGRAM  
FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 304 and 306.

**OBJECTIVES:**

To improve the timeliness, quality and sustainability of the de-centralized vital statistics system by adopting nationally-developed, consensus standards and guidelines; by actively working with states to re-engineer their state-owned and operated systems using these standards/guidelines; and by improving the

efficiency of business operations of state vital statistics programs. Working collaboratively between State and Federal agencies, the goal is to facilitate the development and implementation of re-engineered systems in all 57 registration areas. These will be systems that can: (1) provide quality and timely data for public health surveillance and medical research; (2) meet citizen needs for legal copies of their birth and death records, including providing paper copies of records to citizens for their immediate legal or personal use, and at citizens' request, transferring records electronically to local, State or Federal agencies to satisfy an agency's need for a record; meet Federal agencies' needs for record verification and authentication; (3) result in comparable vital registration/statistics systems in each state; (4) use national standards and guidelines, including the 2003 revision of the U.S. Standard Certificates of Birth and Death and the Report of Fetal Death, the ICD-10 classification system, the FIPS geographic coding scheme, and the standard HL-7 vital events messaging; (5) support national security and privacy requirements; (6) integrate or harmonize easily with other public health systems such as Public Health Information Network (PHIN), immunization registries, and newborn screening, and (7) use Internet technology.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restrictions, which must be taken into account while writing your budget, are as follows: Approved project plan required prior to expenditure of funds; all travel will need to be identified in the approved project plan; and purchase of computer hardware and software will require prior approval before expenditure.

**Applicant Eligibility:**

An application may be submitted by public or private nonprofit organization whose primary mission is the support of state vital statistics and vital records programs.

**Beneficiary Eligibility:**

An application may be submitted by public or private nonprofit organization whose primary mission is the support of state vital statistics and vital records programs.

**Credentials/Documentation:**

Applicant are required to provide measures of effectiveness that will demonstrate the accomplishment of the various identified objectives of the cooperative agreement. Measures must be objective and quantitative, and must measure the intended outcome. These measures of effectiveness must be submitted with the application and will be an element of evaluation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity use application form PHS 5161. Application forms and instructions are available on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm).

**Award Procedure:**

Successful applicant will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Feb 15, 2010: The program has been established for 5 years, with each option depending on the availability of funding and performance of the awardee. 4:00 p.m. Eastern Time on the deadline date.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. About 120 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of this award will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient as documented in required reports, and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from one to five years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reports about the objectives accomplished. Written reports are required at mid-term of the project year and at the end of the project year. At least quarterly meetings are required of the awardee. Financial status reports are required at the end of the project year. Updates on financial status is provided at mid-term of the project year. At mid-term of the project year, reports are required on the objectives achieved and the objectives to be achieved in the remainder of the project year. At the end of the project year, a progress report is required on the objectives achieved. Reports are provided on the amount spent within the approved budget categories. Performance monitoring is handled in four ways: 1) required quarterly meetings; 2) regular conference calls on specific issues; 3) joint projects with DVS staff; and 4) emails/telephone conversations with the staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, support documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of three years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$571,500; FY 11 est \$824,500; and FY 12 est \$571,500

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 1. Implement the new data transfer system in each of the 57 jurisdictions (target 20 states in this fiscal year).  
2. Assess the performance of the vital records offices.  
3. Conduct business process reviews of 3 states in this fiscal year and assess the status of the states that received reviews in the prior fiscal year.  
4. Conduct survey of states on the capture of veteran status information.  
5. Provide technical assistance to states to assist them in planning and implementing electronic birth and death systems.  
6. Develop 2 additional chapters for the security manual and participate on the national security panel.  
7. Update the national database on the status of state re-engineering activities.  
Fiscal Year 2011: 1. Develop web-based tool for training physicians on the

cause of death.

2. Assist states with the planning, development and implementation of web-based systems.
3. Continue to conduct business process reviews for states having difficulty delivering their vital events records to NCHS.
4. Update and maintain the national database on the re-engineering status of states.
5. Develop a web-based training strategy for enhancing the management and other skills of the leadership of the state vital statistics programs.
6. Complete the security manual and facilitate the adoption of the security procedures and best practices guidelines.
7. Continue to implement the the data transfer system and to link that system with the National Vital Statistics System to allow for the easy exchange of records between states and NCHS.
8. 9. Promote the timeliness of reporting to NCHS.
10. Develop new registrars training program.
11. Support NCHS technical assistance to and training of international countries in registration methods and practices. Fiscal Year 2012: 1. Assist states with the implementation of the Model State Vital Statistics Act and Regulations.
2. Assist states with the planning, development and implementation of web-based systems.
3. Continue to conduct business process reviews for states having difficulty delivering their vital events records to NCHS.
4. Update and maintain the national database on the re-engineering status of states.
5. Develop a web-based training strategy for enhancing the management and other skills of the leadership of the state vital statistics programs.
6. Complete the security manual and facilitate the adoption of the security procedures and best practices guidelines.
7. Continue to implement the the data transfer system and to link that system with the National Vital Statistics System to allow for the easy exchange of records between states and NCHS.
8. Promote the timeliness of reporting to NCHS.
9. Develop new registrars training program.
10. Assess state performance based on agreed upon standards.
11. Support NCHS technical assistance to and training of international countries in registration methods and practices.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

#### **Regional or Local Office:**

None. Technical Information Management Section, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2700.

#### **Headquarters Office:**

Julia L. Kowaleski 3311 Toledo Road, Rm. 7317, Hyattsville, Maryland 20782  
Email: jkowaleski@cdc.gov Phone: 3014584323 Fax: 301 458-4034

#### **Website Address:**

<http://www.cdc.gov>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **93.067 GLOBAL AIDS**

(FEDERAL AGENCY)

#### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

Sections 307 and 317(k)(2), Public Health Service Act, 42 U.S.C. 242I and 247b(k)(2) as amended; United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003, Public Law 110-293, the Tom Lantos

and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008, 22 U.S.C 7601.

#### **OBJECTIVES:**

The U.S. President's Emergency Plan for AIDS Relief (PEPFAR) is the U.S. Government initiative to help save the lives of those suffering from HIV/AIDS around the world. This historic commitment is the largest by any nation to combat a single disease internationally, and PEPFAR investments also help alleviate suffering from other diseases across the global health spectrum. PEPFAR is the cornerstone and largest component of the U.S. Presidents Global Health Initiative. With a special focus on improving the health of women, newborns and children, the Global Health Initiatives goal is to save the greatest number of lives by increasing and building upon what works and, then, supporting countries as they work to improve the health of their own people.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Reimbursement of pre-award costs is not allowed. No funds shall be used to distribute sterile needles or syringes for the hypodermic use of any illegal drug. Funds may be spent for reasonable program purposes, including personnel, travel, operating costs including supplies, fuel for transportation, utilities, staff training costs including registration fees and purchase and rental of training related equipment, renovation of clinical or lab facilities; and purchase of HIV testing reagents, test kits and laboratory equipment for HIV testing and services. Equipment may be purchased if deemed necessary to accomplish program objectives; however, prior approval by CDC officials must be requested in writing. All requests for funds contained in the budget shall be stated in U.S. dollars. Once an award is made, CDC will not compensate foreign grantees for currency exchange fluctuations through the issuance of supplemental awards. The costs that are generally allowable in grants to domestic organizations are allowable to foreign institutions and international organizations, with the following exception: With the exception of the American University, Beirut, and the World Health Organization (WHO), Indirect Costs will not be paid (either directly or through sub-award) to organizations located outside the territorial limits of the United States or to international organizations regardless of their location. The applicant may contract with other organizations under this program; however the applicant must perform a substantial portion of the activities (including program management and operations, and delivery of prevention services for which funds are required). You must obtain an annual audit of these CDC funds (program-specific audit) by a U.S. - based audit firm with international branches and current licensure/authority in-country, and in accordance with International Accounting Standards or equivalent standard(s) approved in writing by CDC. A fiscal Recipient Capability Assessment may be required, prior to or post award, in order to review the applicant's business management and fiscal capabilities regarding the handling of U.S. Federal funds. Prostitution and Related Activities The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. Any entity that receives, directly or indirectly, U.S. Government funds in connection with this document (recipient) cannot use such U.S. Government funds to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides. A recipient that is otherwise eligible to receive funds in connection with this document to prevent, treat, or monitor HIV/AIDS shall not be required to endorse or utilize a multisectoral approach to combating HIV/AIDS, or to endorse, utilize, or participate in a prevention method or treatment program to which the recipient has a religious or moral objection. Any information provided by recipients about the use of condoms as part of projects or activities that are funded in connection with this document shall be medically accurate and shall include the public health benefits and failure rates of such use. In addition, any foreign recipient must have a policy explicitly opposing, in its activities outside the United States, prostitution and sex trafficking, except that this requirement shall not apply to the Global Fund to Fight AIDS, Tuberculosis and Malaria, the

World Health Organization, the International AIDS Vaccine Initiative or to any United Nations agency, if such entity is a recipient of U.S. government funds in connection with this document.

**Applicant Eligibility:**

Competition is limited, or single eligibility by authorizing legislation.

**Beneficiary Eligibility:**

This is only for non-research and research activities supported by CDC/ATSDR. For the definition of research, please see the CDC web site at the following Internet address: <http://www.cdc.gov/od/science/quality/resources>.

**Credentials/Documentation:**

Your narrative should address activities to be conducted over the entire project period, and must include the following items in the order listed: 1) Organizational Experience; 2) Goals and Objectives; 3) Plan of Action; 4) Management plan, staffing, and infrastructure; and 5) Budget. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for funding opportunities should be submitted via the website [www.grants.gov](http://www.grants.gov). If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at; Telephone: (770) 488-2700. Application forms can be mailed to you. Submit the original and two hard copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Applications may not be submitted electronically at this time.

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Oct 01, 2011 Applications must be received in the CDC Procurement and Grants Office by 5:00 p.m. Eastern Time on the deadline date.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. Renewals are made by competitive applications and Reviews.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From one to five years. Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. As specified in the Founding Opportunity Announcement. No expenditure reports are required. As specified in the Founding Opportunity Announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Foreign recipients are subject to audit requirements specified in 45 CFR 74.26(d). A non-Federal audit is required, if during the recipients fiscal year, the recipient expended a total of \$500,000.00 or more under one or more HHS awards (as a direct recipient and/or as a subrecipient). The recipient either may have (1) A financial related audit (as defined in the Government Auditing Standards, GPO stock #020-000-00-265-4) of a particular award in accordance with Government Auditing Standards, in those case where the recipient receives awards under only one HHS program; or, if awards are received under multiple HHS programs, a financial related audit of all HHS awards in accordance with Government Auditing Standards; or (2) An audit that meets the requirements contained in OMB Circular A-133. Please forward a copy of the completed audit to the following address: Procurement and Grants Office, Centers for Disease Control and Prevention, Attn: Grants Management Officer, 2920 Brandywine Road, MS-K75, Atlanta, GA 30341. If your audit was completed in accordance with number two (2) above, in addition to the address listed above, you are required to send a copy of the audit report to: Department of Health & Human Services, National External Audit Review Center Lucas Place, Room 514, 323 West 8th Street, Kansas City, MO 64105.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,075,198,422; FY 11 est \$1,128,958,343; and FY 12 est \$1,185,406,260

**Range and Average of Financial Assistance:**

\$25,000 to \$134,000,000. Average \$2,200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92 For more information on the Code of Federal Regulations, see the National Archives and Records Administration at the following Internet address: <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>.

**Regional or Local Office:**

See Regional Agency Offices. Cheryl Maddux, Branch Chief, International Branch, (770)488-2864, 2920 Brandywine Road, Atlanta, GA 30341.

**Headquarters Office:**

Kay Lawton 1600 Clifton Road, NE, Mailstop E-84, Atlanta, Georgia 30333  
Email: [kell1@cdc.gov](mailto:kell1@cdc.gov) Phone: (404) 498-1613

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff, and for responsiveness by the Center for Global Health



(CGH). Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified that their application did not meet submission requirements. An objective review panel will evaluate complete and responsive applications.

### **93.068 CHRONIC DISEASES: RESEARCH, CONTROL, AND PREVENTION**

(Research, Control, and Prevention)

#### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title 42, Part 247b(k)(2), Section 301(a), Public Law USC-2421(a) and (b).

#### **OBJECTIVES:**

To assist State and local health agencies, health related organizations, and other public and private organizations in their efforts to prevent and control chronic diseases and disorders through research, development, capacity building, and intervention. To utilize research data to improve detection, diagnosis, treatment, and care of chronic diseases and their complications. To generate new knowledge related to chronic diseases that will improve health and quality of life and eliminate health disparities among segments of the population.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with conducting research and surveillance of chronic diseases and their complications. Funds may also be used for program planning and development, to support capacity building, and for evaluation of chronic disease prevention and control programs. CDC will have substantial involvement with the award recipient during performance of the funded activity.

#### **Applicant Eligibility:**

Applications may be submitted by State or local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau). Eligible applicants also include public and private nonprofit organizations, for profit organizations, small, minority, women-owned businesses, universities, colleges, research institutions, hospitals, community-based organizations, faith-based organizations, Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations. Foreign institutions may be eligible for some specific programs.

#### **Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

#### **Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants

Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants.

#### **Award Procedure:**

After review and approval of an application, a notice of award is prepared and processed, along with appropriate notification to the public.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 120 to 180 days. From 3 to 6 months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Project periods are for 1 to 5 years with 12-month budget periods. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

Annual or semiannual progress reports are required. Cash reports are not applicable. Annual or semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Annual or semiannual progress reports are required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

#### **Records:**

There is a 3-year record retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

#### **Account Identification:**

75-0943-0-1-550.

#### **Obligations:**

(Salaries) FY 10 Not Available; FY 11 est \$900,000; and FY 12 Estimate Not Available

#### **Range and Average of Financial Assistance:**

No Data Available.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Brenda Colley Gilbert, 1600 Clifton Rd, Atlanta, Georgia 30333 Email: bjc4@cdc.gov Phone: (770) 488-8390.

**Website Address:**

<http://www.cdc.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) Agreements between all agencies providing professional and/or supportive care, either voluntarily or for fees; (2) a description of the approach that will be used to provide prevention case management services; and (3) a description of how services will complement/expand existing agency primary and secondary services and specific criteria published in program guidance. All applications will be peer reviewed.

**93.069 PUBLIC HEALTH EMERGENCY PREPAREDNESS**

PHEP

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act , Section 319C-1, Public Law 112-10, as amended by Pandemic and All-Hazards Preparedness Act , Public Law 109-417.

**OBJECTIVES:**

The PHEP cooperative agreement is a critical source of funding, guidance, and technical assistance for state, territorial, and local public health departments. Preparedness activities funded by the PHEP cooperative agreement are targeted specifically for the development of emergency-ready public health departments that are flexible and adaptable. These efforts support the National Response Framework (NRF), which guides how the nation responds to all types of hazards including infectious disease outbreaks; natural disasters; biological, chemical, and radiological incidents; and explosions.

To help public health departments with their strategic planning, CDC identified 15 public health preparedness capabilities to serve as national public health preparedness standards. State and local jurisdictions can use CDC's Public Health Preparedness Capabilities: National Standards for State and Local Planning to better organize their work and identify the capabilities they have the resources to build or sustain. These standards help ensure that federal preparedness funds are directed to priority areas within individual jurisdictions.

The 2011 PHEP cooperative agreement guidance assists the 62 PHEP awardees in demonstrating measurable and sustainable progress toward achieving the 15 public health preparedness capabilities and other activities that promote safer and more resilient communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The purpose of the Public Health Emergency Preparedness (PHEP) cooperative agreement program is to assist state, local, and territorial/freely associated state health departments in demonstrating measurable and sustainable progress toward achieving the 15 public health preparedness capabilities and other activities that promote safer and more resilient communities. Funds can only be used for non-research activities.

**Applicant Eligibility:**

State health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the U.S. Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Beneficiary Eligibility:**

All State, County, and Local Health Departments.

**Credentials/Documentation:**

Applicants should review the individual CDC Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. CDC provides an Internet-based system for submitting applications, including narrative and budget, electronically. This system will also enable applicants to complete most required forms electronically, which can then be signed and uploaded into the system. Applicants are required to use this system in lieu of paper-based applications. Under separate cover, CDC will provide detailed instructions on obtaining a digital certificate to access the CDC web portal <https://sdn.cdc.gov> and use the electronic application system. This program is subject to the provisions of 45 CFR Parts 74 and 92, as appropriate.

**Award Procedure:**

After review and approval of an application, a notice of award is made in writing and issued by the Grants Management Officer, Procurement and Grants Office, CDC. Also, appropriate notification is made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 5 years with 12-month budget periods. Applications must be submitted in the same manner as a new application.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10%.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are made annually and assistance is available for a 12-month budget period. There are five separate budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Semiannual and year end progress reports are required. No cash reports are required. Semiannual and year end progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period. Performance monitoring is maintained by oversight of Project Officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of three years after the end of a grant period. If any litigation, claim, negotiation, audit or other act involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$698,259,211; FY 11 est \$613,610,342; and FY 12 est \$552,249,308

**Range and Average of Financial Assistance:**

FY10 Range - \$343,450 to \$41,661,534

FY10 Average - \$9,896,941.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Van A. King, 1600 Clifton Road, MS-D29, Atlanta , Georgia 30329-4018  
Email: vbk5@cdc.gov Phone: (404) 639-5276.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicants must submit their application in accordance with appropriate program guidance. Applications will be reviewed for completeness by the Procurement and Grants Office staff and for technical acceptability by the Office of Public Health Preparedness and Response and CDC subject matter experts. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified that their application did not meet submission requirements.

**93.070 ENVIRONMENTAL PUBLIC HEALTH AND EMERGENCY RESPONSE**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act Sections 301, 307, 311, 317, and 319C (42 U.S.C. Sections 241, 242, 243, 247b and 247d-3), as amended, Public Law 109-417, Public Law 109-147, U.S.C 241-2421-243.

**OBJECTIVES:**

To bring public health and epidemiologic principles together to identify, clarify, and reduce the impact of complex environmental threats, including terrorist threats and natural disasters, on populations, domestic and foreign. These programs and activities focus on safeguarding the health of people from environmental threats; providing leadership in the use of environmental health sciences-including environmental epidemiology, environmental sanitation, and

laboratory sciences-to protect public health; and responding to issues and sharing solutions to environmental health problems worldwide. To accomplish the above, the CDC: (1) conducts surveillance and investigations that increase the knowledge about the relation between human health and environmental threats; (2) uses this knowledge to develop national public health programs and policies to prevent or control public health problems; (3) plans, prepares, and responds to emergencies, including terrorist threats, technologic accidents, and natural disasters; (4) provides direct service delivery to partners engaged in environmental health services such as food, safety, rodent control, water quality, and sanitation; (5) develops and applies laboratory science to prevent disease and death caused by exposure to environmental chemicals and to improve the diagnosis, treatment, and prevention of selected chronic diseases; (6) conducts Biomonitoring to assess individual human exposure to environmental chemicals by measuring them in human specimens (e.g. blood and urine); and, (7) conducts activities on emerging environmental threats such as climate change and the built environment.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

NONE.

**Applicant Eligibility:**

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**Beneficiary Eligibility:**

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**Credentials/Documentation:**

Applicants should review the individual CDC Funding Opportunity Announcement document issued under this CFDA program for any required proof or certifications that must be submitted prior to, or simultaneous with, submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity use application form HHS-5161-1. Application forms and instructions are available on [www.grants.gov](http://www.grants.gov) and/or the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff at: (770) 488-2700. Application forms can be mailed to you.

**Award Procedure:**

Award Procedure: Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application. Unsuccessful applicants will receive notification of the results of the application review by mail. Appropriate notification is also made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 1 to 5 years with 12-month renewals. Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government. Applications must be obtained from Grants Management Officer, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2800.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Length and Time Phasing of Assistance  
Support is recommended for a specified project period, not to exceed 5 years. Awards are made annually and assistance is available for a twelve month budget period. There are five budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance  
Support is recommended for a specified project period, not to exceed 5 years. Awards are made annually and assistance is available for a 12-month budget period. There are five budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$29,796,684; FY 11 est \$21,310,166; and FY 12 est \$21,310,166

**Range and Average of Financial Assistance:**

\$10,000 to \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations. In addition, grants will be available under the authority of and administered in accordance with the HHS Grants Policy Statement available at:

<http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner 4770 Buford Hwy, NE, MS F61 , Atlanta, Georgia 30341-3717 Email: [ctg8@cdc.gov](mailto:ctg8@cdc.gov) Phone: (770) 488-0572.

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure; 93.197 Childhood Lead Poisoning Prevention Projects\_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria can be found in the program guidance.

**93.073 BIRTH DEFECTS AND DEVELOPMENTAL DISABILITIES - PREVENTION AND SURVEILLANCE**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act , Executive Order 317(k)(2), Title 42, Part 241(a), Section 301(a), 42 U.S.C 247b(k)(2).

**OBJECTIVES:**

To work with State health agencies and other public and private and nonprofit organizations in planning, development, implementation, coordination, or evaluation of programs or other activities related to improved birth outcomes, prevention of birth defects and developmental disabilities and the improvement of infant and child health and developmental outcomes . To provide a national, State or local focus for the prevention of conditions in persons with birth defects and developmental disabilities; to employ epidemiological methods to set priorities, build capacity and direct health promotion interventions for persons with birth defects or developmental disabilities; to expand public health training opportunities through fellowships to introduce geneticists, epidemiologists, and clinicians to public health practice through education, training and career-enhancing experiences.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to strengthen, to expand, to build upon or to enhance research, surveillance, health promotion, education, prevention/intervention activities that contribute to the mission and activities of the Division of Birth Defects and Developmental Disabilities. Funds may be used to improve and strengthen State and local public health infrastructure by providing technical assistance to other appropriate health agencies, organizations, special groups or coalitions. Funds may be used to support capacity building, program planning, development, implementation, evaluation, and surveillance for birth defects, developmental disabilities infant and child health and developmental outcomes, including related health promotion, education and training, prevention/intervention. Funds may also be used to coordinate the dissemination of prevention information to the general public, target populations and among state and local agencies and public and private sector organizations in the United States. Funds may not be used for direct curative or rehabilitative services.

**Applicant Eligibility:**

N/A.

**Beneficiary Eligibility:**

State; Consumer; Local; Public nonprofit institution/organization; Federally Recognized Indian Tribal Governments; Individual/Family; Private nonprofit institution/organizations and others.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandy wine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488-2700.

Funding announcements will be posted on [www.grants.gov](http://www.grants.gov). Forms and instructions are available in an interactive format on the Grants.gov web site, at the following Internet address: [www.grants.gov](http://www.grants.gov). Submit the final application using the [www.grants.gov](http://www.grants.gov) website.

**Award Procedure:**

After review and approval, a Notice of Award from the CDC Procurement and Grants Office (PGO) is prepared and signed by an authorized Grants Management Officer and mailed to the recipient officer identified in the application, along with appropriate notification to the public. The initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

Cooperative agreement awards and grants, competitive and single eligibility, are determined by an internal objective committee review process at CDC, including peer reviews for research activities. Awards will be based on evaluation criteria set forth in the respective Funding Opportunity Announcements, the availability of funds, and such other significant factors as deemed necessary and appropriate by CDC.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. Throughout project periods, CDC's commitment to continuation of awards will be conditioned on the availability of funds and evidence of satisfactory progress by recipient as documented in the required reports. If additional support is desired to continue a project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application. Projects are renewable for periods of 1 to 4 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for 12-month budget periods within project periods

ranging from 1 to 5 years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly or semiannual progress reports are required. Annual Progress reports and Financial Status Reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period. The National Center on Birth Defects and Developmental Disabilities may propose on-site meetings, off-site or other processes for the exchange of information on progress toward objectives of collaborative activities. A plan of proposed activities is required annually. The reporting format and required report content details are specified in Funding Opportunity Announcements. Final financial status and performance reports are required 90 days after the end of the project period. Cash reports are not applicable. Quarterly or semiannual progress reports are required. Annual Progress reports and Financial Status Reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period. The National Center on Birth Defects and Developmental Disabilities may propose on-site meetings, off-site or other processes for the exchange of information on progress toward objectives of collaborative activities. A plan of proposed activities is required annually. The reporting format and required report content details are specified in Funding Opportunity Announcements. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year record retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved. Property records must be retained in accordance with the HHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$65,000,000; FY 11 est \$63,000,000; and FY 12 est \$61,000,000

**Range and Average of Financial Assistance:**

FY 10 range is dependent upon funding availability. Award amounts range from \$5,000 to \$1.5M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: DD10-1001 - Population Based BD Surveillance by PH Programs  
DD10-1002 - Enhance PH Surveillance Autism Spectrum  
DD10-1005- Enhance FASD Prevention  
DD10-1007- Utilizing Existing BD Surveillance  
DD10-1006 - Reducing Risks Alcohol Exposed Pregnancy in Women. Fiscal Year 2011: DD11-1107- FASD Regional Training Centers  
DD11-1104- Surveillance of BD in Low & Middle Income Countries. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51b. Guidelines are available in the application kit. The HHS Grants Policy Statement can be found online at: <http://www.hhs.gov/asrt/og/grantinformation/hhsgps107.pdf>

**Regional or Local Office:**

None.

**Headquarters Office:**

Brenda Silverman, 1600 Clifton Road, NE, Atlanta, Georgia 30333 Email: exv9@CDC.GOV Phone: (404) 498-3911.

**Website Address:**

http://www.cdc.gov/ncbddd

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In general, applications are reviewed on the basis of scientific/technical merit, with attention given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as depth, breadth, and merit of the overall application relative to the types of projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed prevention research projects and demonstration projects, and the nation's health priorities and needs; (3) ability to generalize, translate and disseminate to State or local health departments, and other appropriate national regional, and local public health agencies and organizations; (4) reasonableness of the proposed budget in relation to the work proposed.

**93.086 HEALTHY MARRIAGE PROMOTION AND RESPONSIBLE FATHERHOOD GRANTS**

(Healthy Marriage Promotion and Responsible Fatherhood Grants)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part A, Section 403; The Claims Resolution Act of 2010 (CRA), Public Law 111-291.

**OBJECTIVES:**

Included three objectives: (1) To fund Healthy Marriage Promotion activities that will help couples, who have chosen marriage for themselves, gain greater access to marriage education services on a voluntary basis. These services will help couples acquire the skills and knowledge necessary to form and sustain a healthy marriage; (2) To fund Responsible Fatherhood promotion activities specifically designed to promote responsible fatherhood to reverse the rise in father absence and its subsequent impact on our nation's children. ACF will award these funds on a competitive basis to States, territories, Indian tribes and tribal organizations, and public and nonprofit community entities, including faith-based organizations; and (3) Award competitive based demonstration projects designed to test the effectiveness of tribal governments or tribal consortia in coordinating the provision to tribal families at risk of child abuse or neglect of child welfare services and services under tribal programs funded under this part.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Secretary may not award funds on a noncompetitive basis, and may not provide any such funds to an entity for the purpose of carrying out healthy marriage promotion activities or for the purpose of carrying out activities promoting responsible fatherhood unless the entity has submitted to the Secretary an application which describes how the programs or activities proposed in the application will address, as appropriate, issues of domestic violence; and what the applicant will do, to the extent relevant, to ensure that participation in the programs or activities is voluntary, and to inform potential participants that their participation is voluntary; and contains a commitment by the entity to not use the funds for any other purpose; and to consult with experts in domestic violence or relevant community domestic violence coalitions in developing the programs and activities.

**Applicant Eligibility:**

The Healthy Marriage and Responsible Fatherhood grants will be competitively awarded for a one (1) year budget period and three-year (3) project period. The

awards will be made final no later than September 2011 and will run for three consecutive years up through September 2014. There are no subsequent competitive awards for this program. For years two and three, awards will be made via non-competitive continuation application. Eligible organizations for Healthy Marriage Grants in general are public and private entities. This includes, but is not limited to: States; County governments; City or township governments; Special district governments; State controlled institutions of higher education; Native American tribes and tribal organizations; Nonprofit organizations; Private organizations of higher education; For-profit organizations; and faith-based and community organizations. Application Eligibility for Responsible Fatherhood Grants include: States; territories; Indian tribes and tribal organizations; and public and non-profit community entities, including Faith-based organizations. Application Eligibility for Tribal TANF Child Welfare TA Grants includes Native American Tribal governments.

**Beneficiary Eligibility:**

Families, couples, individuals in need of assistance with Healthy Marriage services, including marriage enhancement and relationship education and Responsible Fatherhood activities, including parenting education, economic stability services. In general these funds will assist in the efforts to enhance and expand the ability of States, Native American governments, local governments, for-profit organizations, non-profit community organizations and other public entities to provide family formation and responsible fatherhood services to those in need.

**Credentials/Documentation:**

Any nonprofit agency is required to provide proof of its nonprofit status through one of the following: (a) A reference to the applicant organization's listing in the Internal revenue Service's (IRS) most recent list of tax-exempt organizations described in the IRS code. (b) A copy of a currently valid IRS tax exemption certificate (c) A statement from a State taxing body, State Attorney General, or other appropriate State official certifying that the applicant organization has a nonprofit status and that none of the net earnings accrue to any private shareholders or individuals. (d) A certified copy of the organization's certificate of incorporation or similar document that clearly establishes nonprofit status. (e) Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization if it's local nonprofit affiliate. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants needed to complete all the standard forms required for making application for awards under this announcement. Applicants that requested financial assistance submitted Standard Forms 424, 424A, 424B and the associated certifications and assurances. Specific instructions were published in the official program announcement.

**Award Procedure:**

Applications received by the due date will be reviewed and scored competitively. Peer reviewers, generally persons from outside the Federal government, will use the evaluation criteria listed in Section V of the Funding Opportunity Announcement to review and score the applications. The results of the review will be a primary factor in making funding decisions. ACF may also solicit comments from other Federal agencies. ACF may consider a variety of factors in addition to the review criteria identified above, including geographic diversity/coverage and types of applicant organizations, in order to ensure that the interests of the Federal Government are met in making the final selections. The successful applicants will be notified through issuance of a Financial Assistance Award document which sets forth the amount of funds granted, the terms and conditions of the grant, the budget period for which initial support

will be given, and the total project period for which support is contemplated. In accordance with the authorizing legislation, preference will be given to those applicants that were awarded any prior Responsible Fatherhood, Healthy Marriage, or Tribal Child Welfare funds between 2005 and 2010 and that have demonstrated the ability to have successfully carried out their program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time: All grants will be approved/disapproved by no later than September 2011.

**Appeals:**

Not Applicable.

**Renewals:**

Awards will be made for a 3-year project period, funding for years 2 through 3 are not competitive and will depend upon satisfactory performance, availability of funds, and the best interest of the government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grants will be awarded for project periods of up to three years. Awards, however, will be made on a competitive basis, for a one-year budget period. Applications for continuation grants funded under these awards beyond the one-year budget period but within the three-year project period will be entertained in subsequent years on a noncompetitive basis, subject to availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the government. Method of awarding/releasing assistance: lump sum.

**Reports:**

Semi -Annual progress reports. No cash reports are required. Semi -Annual progress reports. SF-269 and SF-272. Semi -Annual progress reports, site visits and annual meetings.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1552-1-0-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$150,000,000; FY 11 est \$150,000,000; and FY 12 est \$150,000,000 - Funding for Fiscal Year 2012 and beyond is subject to the availability of funds.

**Range and Average of Financial Assistance:**

Healthy Marriage Grants range from \$300,000 to \$2,500,000 depending upon which Funding Opportunity Announcement applicant is applying for and on the scope of the project. Average award: \$450,000 - 1,250,000. Responsible Fatherhood Grants will range from \$300,000 to \$2,500,000 depending upon the Funding Opportunity Announcement applicant is applying to and on the scope of the project. Average award: \$450,000 - \$1,250,000. Tribal TANF Child Welfare Grants will range from \$125,000 to \$250,000. Average Award: \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Robin McDonald, Office of Family Assistance (OFA), 370 L'Enfant Promenade, S.W., 5th Floor East, Washington, District of Columbia 20447  
Email: Robin.McDonald@acf.hhs.gov Phone: (202) 401-5587.

**Website Address:**

<a href="http://www.acf.hhs.gov/healthymarriage" target="\_blank">http://www.acf.hhs.gov/healthymarriage</a> <a href="http://fatherhood.gov/" target="\_blank">http://fatherhood.gov/</a>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.087 ENHANCE THE SAFETY OF CHILDREN AFFECTED BY PARENTAL METHAMPHETAMINE OR OTHER SUBSTANCE ABUSE**

Targeted Grants to Increase the Well-Being of, to Improve the Permanency Outcomes for, and Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, as amended, Title IV, Part B, Section 437(f), 42 U.S.C 629g.

**OBJECTIVES:**

To provide, through interagency collaboration and integration of programs activities and services that are designed to increase the well-being of, improve permanency outcomes for, and enhance the safety of children who are in an out-of-home placement or are at risk of being placed in an out-of-home placement as a result of a parent's or caretaker's methamphetamine or other substance abuse.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are provided for services or activities that are consistent with the purpose of section 437(f) of Title IV-B of the Social Security Act and may include the following: (1) family-based comprehensive long-term substance abuse treatment services; (2) early intervention and preventative services; (3) children and family counseling; (4) mental health services; (5) parenting skills training; (6) replication of successful models for providing family-based comprehensive long-term substance abuse treatment services. Other suggested activities and services are listed in the program announcement. 100% of funds are set-aside for discretionary activities.

**Applicant Eligibility:**

State governments, County governments, Local Governments, City or township governments, Regional Organizations, U.S. Territory or Possession, Independent school districts, Public and State-controlled institutions of higher education, Indian/Native American Tribal governments (Federally recognized), Indian/Native American Tribal organizations (other than Federally recognized), Indian/Native American Tribally Designated Organizations, Public/Indian Housing Authorities, Non-profits with 501(c)(3) IRS status (other than institutions of higher education), Non-profits without 501(c)(3) IRS status (other than institutions of higher education), Private institutions of higher education, For-profit organizations (other than small businesses), Small businesses, Hispanic-Serving Institutions, Historically Black Colleges and

Universities (HBCUs), Tribally Controlled Colleges and Universities (TCCUs), Alaska Native and Native Hawaiian Serving Institutions, and Special district governments. Foreign entities are not eligible under this announcement. Applications must represent regional partnerships formed by a collaborative agreement. Applications must identify a primary applicant responsible for administering the grant. The primary applicant must be one of the regional partnership organizations listed above. The primary applicant cannot be an individual. The regional partnership must include either the State child welfare agency that is responsible for the administration of the State plan under title IV-B or title IV-E of the Social Security Act or an Indian tribe or tribal consortium but the regional partnership may not consist of only State entities.

**Beneficiary Eligibility:**

Agencies or organizations serving children and families who have experienced or are at risk of experiencing an out of home placement as a result of a parent's or caregivers methamphetamine or other substance abuse.

**Credentials/Documentation:**

Non-profit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Standard application forms as furnished by DHHS must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcement of availability of funds is posted to grants.gov. Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

Grant applications are reviewed by a panel of non-federal professionals with expertise in the fields of child welfare and substance abuse treatment. Final decisions are made by the Commissioner, Administration for Children, Youth and Families (ACYF).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

This program was announced and grants awarded in FY 2007 for 3 and 5 years. There is no additional announcement anticipated for this program in FY 2011.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Projects are awarded with a provision for non-competitive renewal during the selected award period (3 or 5 years).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The required match must increase over the course of the grant period, such that grantees must contribute 15 percent of the costs of grant-funded services and activities in FY 2007 and FY 2008, 20 percent of such costs in FY 2009 and FY 2010, and 25 percent of such costs in FY 2011. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants were available for a 36- or 60-month period. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees must select and track performance indicators that measure the extent to which grant-funded activities and services enhance the safety, permanency, and well-being of children and their families. PSC 272. Program progress reports are required semiannually with a final report at completion of the

project. Financial expenditure reports are required semiannually with a final report at completion of the project. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$22,500,000; FY 11 est \$20,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY 09 range from \$489,937 to \$750,000 with an average of \$754,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: All 53 grantees have submitted data and are providing services to more than 1700 children and families. Fiscal Year 2011: It is estimated that approximately 19,000 children and 13,000 adults, representing 11,000 families will be served by the grantees through 2011. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1340.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elaine Stedt Office on Child Abuse and Neglect, Children's Bureau, 1250 Maryland Avenue, S.W., Washington, District of Columbia 20024 Email: elaine.stedt@acf.hhs.gov Phone: (202) 205-7941.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb> .

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.600 Head Start; 93.643 Children's Justice Grants to States; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Information on the RPG program progress to date is available in the report, Targeted Grants to Increase the Well-Being of, and to Improve the Permanency Outcomes for, Children Affected by Methamphetamine or Other Substance Abuse: First Annual Report to Congress. It is available at <http://www.childwelfare.gov/responding/substance.cfm>. Fiscal Year 2011: The RPG program continues to advance cross-systems collaboration and service integration between child welfare and substance abuse treatment agencies. The preliminary indicator data and qualitative review information from the 53 grantees to date illustrate the successes and challenges in working across systems, and how these approaches can improve child well-being, permanency and safety and sustained recovery for parents. For example, children in the RPG program, in contrast to children in grantees comparison groups, had significantly better outcomes in several areas including RPG children are less likely to be removed from the home; more likely to be reunified within 12 month; and less likely to experience repeat maltreatment. Of the nine 3-year grantees, three completed their projects as of September 30, 2010 and have submitted their final reports; the other six grantees have no cost extensions to continue their work for up to one year. Fiscal Year 2012: The RPG program continues to advance cross-systems collaboration and service integration between child welfare and substance abuse treatment agencies. Analysis of the



indicator data and qualitative review information from the 53 grantees will be used to understand the successes and challenges in working across systems, and how these approaches can improve child well-being, permanency and safety and sustained recovery for parents.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the basis of the degree to which proposals meet specific objectives defined in the program announcement including, but not limited to: (1) demonstration of regional impact of methamphetamine or other substance abuse; (2) organizational capacity to collaborate with other service providers; and (3) relevance of proposed services and activities in enhancing the well-being of children in foster care or at risk of foster care due to a parent's or caretaker's substance abuse.

**93.088 ADVANCING SYSTEM IMPROVEMENTS TO SUPPORT TARGETS FOR HEALTHY PEOPLE 2010**

(ASIST2010)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

42 U.S.C. 300u-2(a), 42 U.S.C 300u-2(a).

**OBJECTIVES:**

To improve surveillance/information systems that allow tracking of program progress on HP 2010 objectives at the grantee level. To develop and implement a plan to sustain the program after OWH funding ends. To use a public health systems approach to improve performance on two or more HP 2010 objectives that target women and/or men in Focus Areas 1, Access to Quality Health Services, 3-Cancer, 5-Diabetes, 7-Educational and Community-Based Programs, and 12-Heart Disease and Stroke.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to implement evidence-based strategies to achieve the applicants and the Office on Women's Health (OWH), OWH's program objectives. Funds may not be used for construction, building alterations, equipment, printing, food, and medical treatment.

**Applicant Eligibility:**

none.

**Beneficiary Eligibility:**

Women and men across the life span.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application kits may be obtained by accessing Grants.gov at <http://www.grants.gov>.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with HHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be made by the OWH and will take into consideration the recommendations and ratings of the review panel; recommendations made based on the pre-award site visit; program needs, stated preferences; and, geographic location.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from the application deadline due date.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Project period is for 3 year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period is not to exceed 3 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-550.

**Obligations:**

(Salaries) FY 10 \$4,750,000; FY 11 est \$0; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$275,000 to \$575,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This program has concluded. ASIST2010 provided: (1) additional support to existing public health systems and collaborative partnerships that included a gender focus to HP 2010 objectives that track the health status of women and/or men, to assist in improving gender outcomes in the targeted population and/or geographic area, (2) improved surveillance/information systems that allowed tracking of program progress on HP 2010 objectives at the grantee level, and (3) grantees developed and implemented a plan to sustain the program after OWH funding ends. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

See Regional Agency Offices. Program Management Contact: Office on Women's Health, DHHS 200 Independence Avenue, SW Room 712E Washington, DC 2020

Grants Management Contact:

Office of Grants Management, 1101 Wootton Parkway, Suite 550,  
Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville,  
Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.womenshealth.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

To be considered for review, applications must be received by the Office of Public Health and Science, Office of Grants Management by 5:00 p.m. Eastern Time on the due date published in the Dates section of the FR. Applications will be screened upon receipt. Those that are judged to be in compliance will be reviewed for technical merit by a technical panel composed of experts with experience with sex and gender programs, program management, service delivery, outreach, health education, Healthy People 2000 and/or Healthy People 2010, leadership development, and program assessment in accordance with DHHS policy. The technical review of the applications will consider the following factors: Factor 1: Background and Implementation Plan (30 points). Factor 2: Strength of the Public Health System/Collaborative Partnership (Partnership Plan) (20 points). Factor 3: Management Plan (20 points). Factor 4: Evaluation Plan (20 points). Sustainability Plan (10 points) Details regarding the elements to be addressed within each Factor are available in the FR notice.

**93.089 EMERGENCY SYSTEM FOR ADVANCE REGISTRATION OF VOLUNTEER HEALTH PROFESSIONALS**

ESAR-VHP

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Title III, Section 319I, Public Health Service Act (42 U.S.C. 247d-7b), as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) of 2006, Public Law 109-417.

**OBJECTIVES:**

To establish and maintain a national interoperable network of state systems. Each system is maintained by a State or group of States for the purpose of verifying the credentials, certifications, licenses, relevant training, and hospital privileges of health care professionals who volunteer to provide health services during a public health emergency.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grant funds may be used for ESAR-VHP related activities only. Grants funds may not be used for construction and/or major rehabilitation of buildings. Grants funds may not be used for basic research (e.g. scientific or medical experiments.). When appropriated and apportioned; all funds available will be used for discretionary grant awards.

**Applicant Eligibility:**

State health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the United States Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Beneficiary Eligibility:**

All State health departments listed above, hospitals and supporting health care systems.

**Credentials/Documentation:**

Applicants should review the individual ASPR funding opportunity

announcement issued under this CFDA program for any proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular A-122 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained through Grants.gov - FIND. Applicants should visit Grants.gov - FIND for the funding opportunity announcement and Grants.gov - APPLY to download application materials to complete and submit their applications in accordance with the funding opportunity announcement (FOA).

**Award Procedure:**

Applications that successfully proceed through initial screening (as outlined in the FOA) will be objectively reviewed based upon the review criteria specified in the FOA. Applications selected for funding will be processed and the applicant notified in writing through the issuance of a Notice of Award from the Office of the Assistant Secretary for Preparedness and Response.

**Deadlines:**

Sep 30, 2010: Applicable deadlines and due dates are specified in the funding opportunity announcement.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. None.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are limited up to 36 months. Budget periods are limited up to 12 months. See the following for information on how assistance is awarded/released: Awardee is issued a Notice of Award, a legal document that informs the awardee that a grant award has been made. Awardee may draw down funds in advance of the incursion of an expenditure (up to three days) from the Payment Management System.

**Reports:**

Grantees are required to submit program reports, also know as Program Progress Reports. Recipients must report cash transaction data via the Payment Management System (PMS) using the cash transaction data elements captured on the Federal Financial Report (FFR), Standard Form (SF) 425. Recipients will utilize the Transactions section of SF425 in lieu of the SF272. The FFR SF425 cash Transaction Report is due 30 days after the end of each calendar quarter. Grantees are required to submit semi-annual Program Progress Reports as well as final Program Progress Reports. ASPR requires cumulative financial reporting through consecutive funding periods on the SF269 FSR long form. The FFR SF425 was designed to replace the Financial Status Report SF269 and the Federal Cash Transactions Report SF272 with one comprehensive financial reporting form. Until HHS fully migrates to the SF425 FFR, recipients are still required to submit the SF269 Financial Status Report (FSR) semi-annually within 30 days after the first 6 month period and within 90 days of the budget period end date. Grantees are required to submit final Financial Status Reports (SF-269). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0140-0-1-551.

**Obligations:**

(Project Grants (Discretionary)) FY 10 Not Available; FY 11 est \$3,672,000; and FY 12 est \$3,366,228

**Range and Average of Financial Assistance:**

\$58,478 to \$200,000 per award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Jennifer Hannah, National Healthcare Preparedness Programs, Office of Preparedness and Emergency Operations, Office of the Assistant Secretary for Preparedness and Response, Department of Health and Human Services, 395 E Street, S.W., Suite 1075, Washington, District of Columbia 20024 Email: jennifer.hannah@hhs.gov Phone: (202) 245-0722.

**Website Address:**

<http://www.phe.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Purpose and Need; (2) Approach, Work Plan and Activities; (3) Project Outcomes, Evaluation/Dissemination; and (4) Level of Effort.

**93.090 GUARDIANSHIP ASSISTANCE**

**GUARDIANSHIP ASSISTANCE**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part E, Section 473; as amended.

**OBJECTIVES:**

To provide Federal Financial Participation (FFP) to States, Indian Tribes, Tribal organizations and Tribal consortia (Tribes) who opt to provide guardianship assistance payments for the care of children by relatives who have assumed legal guardianship of eligible children for whom they previously cared as foster parents.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Federal assistance may be used only in support of the care of children who meet the eligibility requirements and their siblings under certain situations as specified in the statute. All relatives assuming guardianship of such children are eligible for the nonrecurring expenses associated with obtaining legal guardianship up to \$2000. States and Tribes may receive Federal Financial

Participation (FFP) only if title IV-E plans have been approved by the Secretary.

**Applicant Eligibility:**

Funds are available to States, the District of Columbia, Puerto Rico, and to Tribes with approved title IV-E plans.

**Beneficiary Eligibility:**

Beneficiaries are children who meet the following requirements: (1) the child has been eligible for title IV-E foster care maintenance payments while residing for at least six consecutive months in the home of the prospective relative guardian; and (2) the State or Tribe has determined that the permanency options of being returned home or adoption are not appropriate for the child; and (3) the child demonstrates a strong attachment to the prospective relative guardian and the prospective guardian is committed to caring permanently for the child; and (4) for children who have attained the age of 14, the child has been consulted regarding the kinship guardianship arrangement. Beneficiaries may also be siblings of eligible children placed in the same kinship guardianship arrangement. FFP is available to States and Tribes for payments made to a relative guardian in accordance with a kinship guardianship agreement that is in writing, negotiated and is binding.

**Credentials/Documentation:**

Costs are to be determined in accordance with OMB Circular No. A-87 and 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Quarterly awards are made on the basis of estimated expenditures, which are later revised to include only actual allowable expenditures. Final decisions and awards are made by the Headquarters Office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

HHS will approve/disapprove applications (title IV-E plans or amendments to them) within 45 days of receipt by HHS.

**Appeals:**

Refer to 45 CFR Part 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Statutory Formula: Funding is provided on an open-ended basis. Federal Financial Participation (FFP) is equal to the Federal Medical Assistance Percentage (FMAP) rate (as defined by sec. 1905(b) of the Social Security Act and as temporarily enhanced through Section 5001 of Public Law 111-5, the American Recovery and Reinvestment Act of 2009 (ARRA)) for the total expended for kinship guardianship assistance payments; 75% of staff training costs; and 50% of other administrative costs. Short term training provided to kinship guardians is subject to a special FFP rate that varies by fiscal year (60% FFP in FY 2010; 65% for FY 2011, 70% for FY 2012). Matching Requirements: The non-Federal share of program costs (difference between total cost and FFP) in each funding category constitutes the required match to be met by the title IV-E agency. Matching funds from State agencies must be appropriated monies raised from non-Federal revenue sources. Matching funds from Tribal agencies must also be appropriated monies, but may at the option of the Tribe include Federal funds specifically authorized by Federal statutes to be used as match for other Federal programs and, for a specified portion of administration and training costs only, in-kind expenditures (or contributions) from specified third party sources. This program does not have MOE requirements. Matching Requirements: Federal Financial Participation (FFP) for kinship

guardianship is equal to the FMAP (as defined by sec. 1905(b) of the Social Security Act) for the total expended for kinship guardianship assistance payments; 75% of staff training costs; and 50% of other administrative costs. Short term training provided to kinship guardians is subject to a special FFP rate that varies by fiscal year (60% FFP in FY 2010; 65% for FY 2011; 70% for FY 2012).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal financial participation is available to a State or Tribe operating under an approved title IV-E plan. The title IV-E agency may implement and claim allowable guardianship assistance program costs beginning on the first day of the quarter in which an approvable title IV-E plan amendment is submitted to the Administration for Children and Families (ACF) to implement the guardianship assistance program. Method of awarding/releasing assistance: quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

Other reports as may be required by the Secretary. PSC-272. No progress reports are required. A report of estimates and expenditures (form CB-496) is required 30 days after the end of the quarter; other reports as required by the Secretary. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 92.

**Records:**

States and Tribes must maintain records necessary for the proper and efficient operation of the program, including records of applications, determinations of eligibility, allocated and direct administrative and training costs, and the provision of financial assistance. See also 45 CFR 92.42.

**Account Identification:**

75-1545-0-1-609 - ARRA grants: 75-1546-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$49,000,000; FY 11 est \$32,000,000; and FY 12 est \$80,000,000

**Range and Average of Financial Assistance:**

The program became available as an option for States as of October 7, 2008 and for Tribes as of October 1, 2009, Title IV-E agencies began separate financial reporting of program costs for quarters commencing in FY 2011.. Therefore estimates on the range and average of financial assistance are not yet available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, 2 states received grant awards. Fiscal Year 2011: In FY 11, it is anticipated that 10 states will receive grant awards. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See program guidance in ACYF-CB-PI-10-01 which can found at [http://www.acf.hhs.gov/programs/cb/laws\\_policies/policy/pi/2010pi1001.htm](http://www.acf.hhs.gov/programs/cb/laws_policies/policy/pi/2010pi1001.htm). Additional program guidance can be found in ACYF-PI-10-11 at [http://www.acf.hhs.gov/programs/cb/laws\\_policies/policy/pi/2010/pi1011.htm](http://www.acf.hhs.gov/programs/cb/laws_policies/policy/pi/2010/pi1011.htm). See also the HHS Grants Policy Statement found online at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Child Welfare Program Manager, ACF, HHS in the appropriate Regional Office. (See Appendix IV of the Catalog for a list of addresses of the Regional Offices.)

**Headquarters Office:**

Gail Collins, 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: [gail.collins@acf.hhs.gov](mailto:gail.collins@acf.hhs.gov) Phone: (202) 205-8552.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

93.599 Chafee Education and Training Vouchers Program (ETV); 93.645 Child Welfare Services\_State Grants; 93.658 Foster Care\_Title IV-E; 93.659 Adoption Assistance; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.091 SOCIAL SERVICES AND INCOME MAINTENANCE BENEFITS ENROLLMENT COORDINATION GRANTS**

SSIMB Grants

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Section 1110, Public Law 111-117.

**OBJECTIVES:**

To provide funds for benefits outreach and enrollment assistance activities awarded competitively to private, nonprofit organizations to support community pilot projects in communities with a high concentration of poverty that could be sustained through other funding sources after an 12-month grant period.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

(1) Grantees receive the discretionary grant to support-on-going facilitated outreach and enrollment assistance to low-income individuals and families to access already existing Federal, State, and local benefit programs. (2) Grantees use award to initiate new benefits enrollment projects especially for the un-served. (3) Project should be sustained through other funding sources after an 12-month grant period.

**Applicant Eligibility:**

The Secretary is authorized to make grants to private-nonprofit organizations with 501(c)(3) or 501(c)(4) status. Foreign entities are not eligible. Faith-based and community organizations are eligible.

**Beneficiary Eligibility:**

Private, nonprofit organizations provide services to low-income individuals and families to support benefits outreach and enrollment assistance activities. While low income populations are the general target population, benefits eligibility for specific Federal, State, and local programs will differ for each program included in the benefits enrollment outreach and assistance pilots.

**Credentials/Documentation:**

Proof of 501 (c)(3) or (4) status is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Awards are granted on a competitive basis. Announcements concerning the availability of funds along with the application package, including all required forms, will be posted at [www.grants.gov](http://www.grants.gov). Applications to the Office of Community Services for grants under the announcement should be addressed to: OCS Operations Center 1515 Wilson Blvd., Suite 100, Arlington, Virginia 22209. Applicants are urged to inform and coordinate application submissions with State and local governments where such information and coordination is appropriate or necessary for the success of the program. This program is subject to the provisions of Title 45 CFR Part 74 (non-governmental entities). All

applications for assistance under this program must contain: (1) SF-424, Application for Federal Assistance; (2) SF-424A, Budget Information; (3) SF-424B, Assurances-Non- Construction Programs; (4) Certificate Regarding Drug Free Workplace Requirements; (5) Certification regarding environmental tobacco smoke; (6) Certification Regarding Debarment, Suspension, and Other Responsibility Matters; and (7) Certification Regarding Lobbying. These must be accompanied by a detailed budget, and a program narrative submitted in accordance with the format detailed in the program announcement.

**Award Procedure:**

Objective review will be made for all grant awards. Selection of applicants will be determined based on the review criteria outlined in the program announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made available for periods of 12 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

TBD.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$2,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$350,000 per grant for 12 month period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, 5 grants were awarded. Fiscal Year 2011: It is anticipated that 0 grants will be awarded in FY 11. Fiscal Year 2012: It is anticipated that 0 grants will be awarded in FY 12.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marsha Werner, Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, District of Columbia 20447  
Email: marsha.werner@acf.hhs.gov Phone: (202) 401-5281 Fax: (202)

401-5718 .

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each funding opportunity announcement.

**93.092 AFFORDABLE CARE ACT (ACA) PERSONAL RESPONSIBILITY EDUCATION PROGRAM**

PREP

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

The Patient Protection and Affordable Care Act, Title II Role Of Public Programs, Subtitle L, Maternal and Child Health Services , Title V, Section 2953, Public Law 111-148, 42 U.S.C 713(c)(1), as amended by The Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

The purpose of this program is to educate adolescents and young adults on both abstinence and contraception for the prevention of pregnancy and sexually transmitted infections, including HIV/AIDS. The Affordable Care Act was established and provided funding for this program through FY 2014.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

To carry out personal responsibility education programs designed to educate adolescents on both abstinence and contraception for the prevention of pregnancy and sexually transmitted infections, including HIV/AIDS. The State program component must fund teen pregnancy prevention and personal responsibility education programs that have been proven on the basis of rigorous scientific research to change behavior, which means delaying sexual activity, increasing condom or contraceptive use for sexually active youth, or reducing pregnancy among youth. State programs must teach adulthood preparation subjects including healthy relationships, adolescent development, financial literacy, parent-child communication, educational and career success, and healthy life skills. Applicants for innovative program funding should describe the research base for proposed projects, such as the rationale for substantial modifications to evidence-based models and/or developmental research that suggests an innovative model is likely to be effective with a vulnerable or underserved population. The list of evidence-based models developed by the HHS Office of Adolescent Health (OAH) is published on the OAH website at

<http://www.hhs.gov/ash/oah/prevention/research/programs/index.html>.

Additionally, the innovative practices component must implement programs to target high-risk, vulnerable, and culturally under-represented youth populations. Such programs must be either significant modifications of the above list of evidence-based models or are based upon other promising approaches with a strong research basis. All programs must agree to participate in a rigorous Federal evaluation of their project. Innovative programs must conduct their own rigorous, independent evaluations unless they are selected for the Federal evaluation. From the \$75,000,000 appropriation, \$10,000,000 (13.3%) is designated for demonstrations of innovative teen pregnancy prevention and personal responsibility education programs; \$3,250,000 (5% of the appropriation after the \$10,000,000 is removed) is set aside for Tribes and Tribal organizations; \$6,500,000 (10% of the appropriation after the \$10,000,000 is removed) is designated for program support and evaluation. The remaining \$55,250,000 (73.7% of the appropriation) is for States to implement evidence-based demonstration projects and is allotted by formula. However, beginning in 2012, funds from States that have not applied for FY10 or FY11

funding may be distributed on a discretionary basis to community-based organizations within those States.

**Applicant Eligibility:**

Funds are allotted to 59 States and Territories to enable them to carry out personal responsibility education programs. Eligible applicants include the 50 United States, the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Mariana Islands, Micronesia, the Republic of the Marshall Islands, and the Republic of Palau. If any States or Territories do not apply for funding in FY 2010 or 2011, they will no longer be eligible to apply for this program and their allotments will be made available to community-based organizations for the same State or territory.

Funds (\$10,000,000) shall be reserved to award grants to entities to implement innovative youth pregnancy prevention strategies and target services to high-risk, vulnerable, and culturally under-represented youth populations.

Funds shall be reserved for grants to Indian tribes and tribal organizations.

Funds shall be reserved for program support that may be provided directly or through a competitive award process. Program support includes research, training and technical assistance, providing consultation and resources on a broad array of teen pregnancy prevention strategies, and developing materials to support grant activities. Funds shall also be reserved to evaluate programs and activities.

**Beneficiary Eligibility:**

Personal responsibility education programs shall provide services to adolescents and young adults. Applicants are encouraged to serve youth populations that are the most high-risk or vulnerable for pregnancies or otherwise have special circumstances, including youth in and aging of out foster care, homeless youth, youth with HIV/AIDS, pregnant youth who are under 21 years of age, mothers who are under 21 years of age, and youth residing in areas with high birth rates for youth. Applicants must include the most recent pregnancy data for the State for youth ages 10 to 14 and youth ages 15-19, and the most recent birth rates among the same age groups, and trends in those rates for the most recently preceding 5-year period for which data are available.

**Credentials/Documentation:**

A signed letter from the authorized representative must accompany each application; it should include documentation establishing the authorized representatives authority to apply for and administer the Personal Responsibility Education grant program funds on behalf of the State or Territory.

For other funding available under this CFDA number, non-profit organizations applying for funding are required to submit proof of their non-profit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The PREP program includes formula and competitive grant awards to a range of entities. The OMB circulars that are relevant vary according to the funding opportunity and the kind of organization that will be implementing the grant award.

**Award Procedure:**

For funds allotted to States and Territories (States), the Administration for Children and Families (ACF) will advise States and Territories of the funding opportunity through a Federal Register notice and/or by a Request for Application (RFA). Applications will be rated Approved, Approved with Conditions, or Approval Pending by Program administrators. Applicants that receive an Approved rating will receive grant awards and will not need to send further information. States that submit applications that are Approved with Conditions" will receive grant awards with descriptions of weaknesses and subsequent conditions that must be met in order to receive Approved status. The States will be given a set period to send a response to ACF that

addresses the conditions. States that submit applications that are rated Approval Pending will receive a list of weaknesses cited by the reviewer and directions for submitting an amended application that addresses the weaknesses. The State will not receive a grant award until the State submits a satisfactory application. The States will be notified of a final due date for submission of a satisfactory application.

For funds reserved for innovative strategy grants, applications will be reviewed on a nationwide basis and in competition with other submitted applications. Eligible applications will be reviewed by an Objective Review Committee which will apply the criteria given in the Request for Application (RFA) in order to derive priority scores. The review may include both expert peer reviewers and Federal staff who will review each application that meets the responsiveness and screening criteria. Additionally, the review results may form the basis for development of the programmatic terms and conditions of the cooperative agreement. Applications will be provided to the Director of the Office of Adolescent Health and the Commissioner for the Administration on Children, Youth and Families (ACYF) in order by score and rank determined by the review panel. Final award decisions will be made collaboratively by the Director of OAH and the Commissioner of ACYF. In making the award decision, the Director and the Commissioner will take into account the score and rank order given by the Objective Review Committee, and other considerations given in the RFA.

Funds reserved for grants to Indian tribes and tribal organizations will be made in a manner determined by the Secretary, in consultation with Indian tribes and tribal organizations, to be appropriate.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Consult the RFA or contact the headquarters office, as appropriate, for application deadlines.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days.

**Formula and Matching Requirements:**

Statutory Formula: Title V.

Matching Requirements: Cost sharing or matching of non-Federal funds is not required. However, funded programs should build on but not duplicate or replace current Federal programs as well as state, local or community programs, and programs should coordinate with existing programs and resources in the community.

This program has MOE requirements, see funding agency for further details. This program has an MOE requirement for states and local entities to require that expenditure of non-federal funds for activities, programs or initiatives allowed in this program be no less than such expenditures in FY 09. The intent is to supplement and not supplant the funds expended in FY 09.

**Length and Time Phasing of Assistance:**

Funds allotted to States and Territories for a fiscal year shall remain available for expenditure by the State through the end of the second succeeding fiscal year. If a State or territory does not submit an application for fiscal year 2010 or 2011, they will no longer be eligible to submit an application to receive funds from the amounts allotted to the State for each of fiscal years 2010 through 2014. Those funds shall be used for awarding three year grants to local organizations and entities for the same purpose and in the same geographic region.

Additional information about the availability of funding will be provided in the funding opportunity announcement. Method of awarding/releasing assistance: quarterly.

**Reports:**

Each award recipient will report annual progress. Grantees must submit all required reports in a timely manner and in recommended format (to be provided). The grantees shall submit an annual Financial Status Report (FSR).

An FSR is due no later than 90 days after the end of the applicable 12 month period and failure to submit these in a timely manner could affect future funding. The report is an accounting of expenditures under the project that year. There will be data collection, performance measurement, and reporting (e.g., monitoring requirements) for the State and Innovative Practice grantees, as the Secretary determines. However, Federal oversight of the Tribal component may be subject to the outcomes of the Tribal Consultation. The recipient shall submit an annual SF-425 Financial Status Report due no later than 90 days after the end of the applicable 12 month period. The report is an accounting of expenditures under the project that year. More specific information on this reporting requirement will be included in the Notice of Grant Award. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees must comply with the relevant sections of the Code of Federal Regulations and OMB circulars to perform required audits.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Salaries) FY 10 \$56,193,000; FY 11 est \$93,769,210; and FY 12 est \$75,000,000

**Range and Average of Financial Assistance:**

Each State or Territory shall be allotted at least \$250,000 or an amount determined by a formula using the number of individuals who have attained age 10 but not attained age 20 in the State or Territory to the total number of such individuals in the entire U.S. based on the most recent Census data, whichever is greater. Applicants for which Census data are not available will be eligible for the minimum allocation of \$250,000. The range and average of financial assistance for the other grants and program activities will be described in the Request for Application.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations have been developed at this time. Governing authorities shall be the legislative language and the terms and conditions of the cooperative agreement awards as described in the Request for Application.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marc D. Clark 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Email: marc.clark@acf.hhs.gov Phone: 202-205-8496 Fax: 202-205-9535

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb/content/programs/top.htm>

**RELATED PROGRAMS:**

93.010 Community-Based Abstinence Education (CBAE) ; 93.235 Abstinence Education Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funded State programs must replicate evidence-based, effective programs or strategies that substantially incorporate elements of effective programs that have been proven on the basis of rigorous scientific research to change

behavior, which means delaying sexual activity, increasing condom or contraceptive use for sexually active youth, or reducing pregnancy among youth. The programs must include activities to educate youth who are sexually active regarding responsible sexual behavior with respect to both abstinence and the use of contraception. Such activities should teach adulthood preparation subjects including healthy relationships, adolescent development, financial literacy, parent-child communication, educational and career success, and healthy life skills. The programs must: be medically-accurate and complete; include activities to educate youth who are sexually active regarding responsible sexual behavior with respect to both abstinence and the use of contraception; place substantial emphasis on both abstinence and contraception for the prevention of pregnancy among youth and sexually transmitted infections; and must provide age-appropriate information and activities. The information and activities carried out under the program must be provided in the cultural context that is most appropriate for individuals in the particular population group to which they are directed.

**REQUIREMENTS OF INNOVATIVE STRATEGIES PROJECTS:** Proposals will be funded based on how effectively they can develop, replicate, refine, and test innovative strategies for preventing teenage pregnancy. Programs must be medically accurate, age appropriate, and target services to identified vulnerable and at-risk populations. Funded projects are expected to generate lessons learned so others can benefit from these strategies and innovative approaches and increase the capacity of communities to develop, implement, and evaluate interventions for dissemination and replication by others. Funded projects must show that the proposed intervention is: (a) based on some preliminary evidence of effectiveness; (b) a significant adaptation of an evidence-based program; or (c) is a new and innovative approach to teenage pregnancy prevention with a sound basis in research.

**REQUIREMENTS OF TRIBAL REQUIREMENTS OF TRIBAL PROJECTS:** Criteria for Tribal projects will be developed as the Secretary, in consultation with Indian Tribes and Tribal Organizations, deem appropriate.

**93.093 AFFORDABLE CARE ACT (ACA) HEALTH PROFESSION OPPORTUNITY GRANTS**

HPOG

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XX, Section 2008, Public Law 111-148, 42 U.S.C 1397.

**OBJECTIVES:**

To provide eligible individuals with the opportunity to obtain education and training for occupations in the health care field that pay well and are expected to either experience labor shortages or be in high demand. The Affordable Care Act was established and provided funding for this program through FY 2014.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The funds can be used to provide education and training to eligible individuals interested in entering the health care field. This funding must be used to provide education and training for occupations in the health care field. The occupations must pay well, either experience labor shortages or be in high demand. Eligible individuals are individuals receiving assistance under the State TANF program or other low income individuals as described by the applicant. At least three grants must be awarded to an eligible Indian Tribe, Tribal Organization or Tribal College or University. The entire \$80,000,000 will be used for discretionary grants.

**Applicant Eligibility:**

An eligible applicant is a State, an Indian tribe or tribal organization, an institution of higher education, a local workforce investment board established under section 117 of the Workforce Investment Act of 1998, a sponsor of an apprenticeship program registered under the National Apprenticeship Act or a

community-based organization.

**Beneficiary Eligibility:**

Eligible individual beneficiaries are individuals receiving assistance under the State TANF program; or other low-income individuals described by the eligible entity in its application for a grant under this section.

**Credentials/Documentation:**

Non-profit organizations applying for funding are required to submit proof of their non-profit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants must demonstrate that they have consulted with the State agency responsible for administering the State TANF program, the local workforce investment board in the area in which the project is to be conducted (unless the applicant is such board), the State workforce investment board established under section 111 of the Workforce Investment Act of 1998, and the State Apprenticeship Agency recognized under the Act of August 16, 1937 (commonly known as the National Apprenticeship Act) (or if no agency has been recognized in the State, the Office of Apprenticeship of the Department of Labor) and that the project will be carried out in coordination with such entities. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. None.

**Award Procedure:**

Grant applications are reviewed by a panel of non-federal professionals with expertise in the field.

**Deadlines:**

Jun 21, 2010 to Aug 05, 2010 The program office does not anticipate funding being available for a grant competition in FY 11 and FY 12.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. Each year following the initial competitive funding, non-competitive continuation applications will be received and processed within 60-90 days.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. None.  
This program does not have MOE requirements. None.

**Length and Time Phasing of Assistance:**

Grants are available for not less than one year and not more than five years. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds.  
Budget period: Each budget period is for one year beginning September 30. See the following for information on how assistance is awarded/released:  
Funds are drawn down by grantees on a periodic basis, typically each month.

**Reports:**

An eligible entity awarded a grant to conduct a demonstration project under this program shall submit interim reports to the Secretary on the activities carried out under the project and a final report on such activities upon the conclusion of the entities participation in the project. Such reports shall include assessments of the effectiveness of such activities with respect to improving outcomes for the eligible individuals participating in the project and with respect to addressing health professions workforce needs in the areas in which the project is conducted. The grantees shall submit an annual Financial Status Report (FSR). An FSR is due no later than 90 days after the end of the applicable 12 month period and failure to submit these timely could affect future funding.

The SF 425 FFR will be used to report Financial Status and Cash Transactions. The report is an accounting of expenditures under the project that year. An eligible entity awarded a grant to conduct a demonstration project under this program shall submit interim reports to the Secretary on the activities carried out under the project and a final report on such activities upon the conclusion of the entities participation in the project. Such reports shall include assessments of the effectiveness of such activities with respect to improving outcomes for the eligible individuals participating in the project and with respect to addressing health professions workforce needs in the areas in which the project is conducted. The grantees shall submit an annual Financial Status Report (FSR). An FSR is due no later than 90 days after the end of the applicable 12 month period and failure to submit these timely could affect future funding. The SF 425 FFR will be used to report Financial Status and Cash Transactions. The report is an accounting of expenditures under the project that year. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. This Circular is issued pursuant to the Single Audit Act of 1984, Public Law 98-502, and the Single Audit Act Amendments of 1996, Public Law 104-156. It sets forth standards for obtaining consistency and uniformity among Federal agencies for the audit of States, local governments, and non-profit organizations expending Federal awards

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1534-0-1-506.

**Obligations:**

(Salaries) FY 10 \$79,196,894; FY 11 est \$80,000,000; and FY 12 est \$80,000,000 - In FY 10, \$79,196,894 ACA funds were obligated. Estimated \$80,000,000 ACA funds will be obligated in FY11. Estimated \$80,000,000 ACA funds will be obligated in FY12. Of the \$85 million appropriated for this program, \$5 million was delegated to HRSA for the Training and Certification Program.

**Range and Average of Financial Assistance:**

The range is \$1,000,000 - \$5,000,000. The grant average is \$2,100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 32 competitive grants were awarded. Fiscal Year 2011: In FY 11, it is anticipated that 32 non-competing continuation grants will be awarded. Fiscal Year 2012: In FY 12, it is anticipated that 32 non-competing continuation grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the Funding Opportunity Announcement, the application instructions, and the HHS Grants Policy Statement. The HHS Grants Policy Statement can be found at: <http://www.hhs.gov/asrt/og/aboutog/grantsnet.html>

**Regional or Local Office:**

None.

**Headquarters Office:**

Stanley Koutstaal 901 D Street, SW, Washington, District of Columbia 20447  
Email: Stanley.Koutstaal@acf.hhs.gov Phone: 202-401-5457 Fax: 202-205-5887

**Website Address:**

<http://www.acf.hhs.gov/programs>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.



## CRITERIA FOR SELECTING PROPOSALS:

Not Applicable.

### 93.103 FOOD AND DRUG ADMINISTRATION\_RESEARCH

General Grant Funding Program 93.103

#### FEDERAL AGENCY:

Food and Drug Administration, Department of Health and Human Services

#### AUTHORIZATION:

Public Health Service Act as amended, Title III, Section 301(c), Public Law 78-410, 42 U.S.C 241 and 263; Small Business Innovation Research Program Reauthorization Act of 1992 as amended, Public Law 102-564; Radiation Control for health Safety Act of 1968, Title XVII, Public Law 90-602, 42 U.S.C 300u; Pediatric Medical Device Safety and Improvement Act of 2007, Section 305.

#### OBJECTIVES:

To assist institutions and organizations, to establish, expand, and improve research, demonstration, education and information dissemination activities; acquired immunodeficiency syndrome (AIDS), biologics, blood and blood products, therapeutics, vaccines and allergenic projects; drug hazards, human and veterinary drugs, clinical trials on drugs and devices for orphan products development; nutrition, sanitation and microbiological hazards; medical devices and diagnostic products, radiation emitting devices and materials; food safety and food additives. These programs are supported directly or indirectly by the following Centers and Offices: Center for Biologics Evaluation and Research (CBER); Center for Drug Evaluation and Research (CDER); Center for Devices and Radiological Health (CDRH); Center for Veterinary Medicine (CVM), Center for Food Safety and Applied Nutrition (CFSAN), National Center for Toxicological Research (NCTR), the Office of Orphan Products Development (OPD) and Office of Regulatory Affairs (ORA), and the Office of the Commissioner (OC). Small Business Innovation Research (SBIR) Programs: to stimulate technological innovation; to encourage the role of small business to meet Federal research and development needs; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation by minority and disadvantaged persons in technological innovation. Funding support for scientific conferences that are relevant to the FDA scientific mission and public health are available. Funds are also provided to assist with State Food Safety Task Force and Protection meetings, Innovative Food Defense Projects, and Food Protection Rapid Response Team and Program Infrastructure Improvement Prototype Projects (RRT).

#### TYPES OF ASSISTANCE:

Cooperative Agreements; Project Grants; Project Grants (for specified projects)

#### USES AND USE RESTRICTIONS:

Research grants are awarded to eligible institutions in the name of a principal investigator for a discrete project representing the investigator's interest and competence and are responsive to programmatic requirements as stated in the Funding Opportunity Announcement (FOA). Funds are to be used for costs as identified in the FOA and as directly allocable, necessary and reasonable to carry out the proposed research aims and objectives. Small Business Innovation Research (SBIR) Phase I grants are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants for this program are for the competitive continuation of the research initiated in Phase I, and are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. Conference grants provide partial support for domestic scientific conferences related to the FDA mission. Food Safety Task Force and Protection, Innovative Food Defense Projects and Rapid Response Team and Program Infrastructure Improvement Prototype project grant funds are to be used as stated in the FOA. As stated in the Funding Opportunity Announcement and Terms and Conditions of award.

#### Applicant Eligibility:

The grants are available to domestic, and may be available to foreign, public or private, for-profit or non-profit entity (including State and local units of government). Federal agencies that are not part of HHS may apply. Organizations that engage in lobbying activities, as described in section 501 (c) (4) of the Internal Revenue Code of 1968, are not eligible. Nonprofit with

501(c)(3) IRS Status (other than Institution of Higher Education); Non-domestic (non-U.S.) entity; Small Business; For-Profit Organization (other than Small Business); State Government; Regional Organization; U.S. Territory or Possession; Indian/Native American Tribal Government (Federal recognized and other than Federally recognized); Indian/Native American Tribally Designated Organization; Faith-based or community based organizations.

#### Beneficiary Eligibility:

Other eligible institutions include Private/Public and State Controlled institutions of higher education including Hispanic serving Institutions; Historically Black Colleges and Universities (HBCUs); Tribally Controlled Colleges and Universities (TCCUs); Alaska Native and Native Hawaiian Serving Institutions;.

#### Credentials/Documentation:

All grant applications must present a research or project specific plan and provide evidence of scientific competence, experimental methods and programmatic relevance, and have access to necessary the facility and resources to accomplish the proposed aims and objectives. Phase I Small Business Innovation Research applications should be an idea or concept with commercial potential; and Phase II applications should provide evidence that commercialization of the research results are plausible; for-profit organizations' with 48 CFR Subpart 31.2 of the Federal Acquisition Regulations (FAR); OMB Circular No. A-21 for educational institutions, 45 CFR 74 Appendix E for Hospitals; OMB Circular No. A-122 for nonprofit organizations and large non-profit organizations listed in Attachment C of OMB circular A-122 are subject to Federal Acquisition Regulation (FAR) 48 CFR Subpart 31.2 (A subawardee would be subject to the cost principles applicable to its type of organization). OMB Circular No. A-87 applies to this program.

#### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application forms referenced in the Funding Opportunity Announcement (FOA) and as required by 45 CFR 72 must be used for this program. The FOA may be published in the NIH Guide or Federal Register. All applications submitted for new, competing continuations or competing supplemental grants must complete the required applications forms through Grants.gov at <http://www.grants.gov>

#### Award Procedure:

Accepted research and non-research grant applications are subject to a dual review process (initial Ad Hoc Review for scientific and technical merit and a second level review by a National Advisory Council or Board) as appropriate and relevant. All approved applications compete for available funds on the basis of scientific merit and programmatic relevance.

Applications accepted under the Radiation Control for Health Safety Act of 1968, Public Law 90-602 and Small Scientific Conference grants, and the Office of Regulatory Affairs programs are evaluated under objective review procedures and not subjected to a second level review by a National Advisory Council or Board.

#### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### Range of Approval/Disapproval Time:

From 90 to 120 days. From 6 to 9 months for research grant applications. SBIR applications: Approximately 6 months. Conference applications: Approximately 3 months.

#### Appeals:

From 15 to 30 days.

#### Renewals:

From 90 to 120 days. Renewals (competing continuation applications) are permitted as indicated in the published Funding Opportunity announcements.

#### Formula and Matching Requirements:

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of support will depend on the nature of the projects, program relevance and the availability of funds. For those projects with an expected duration of more than 1 year, future recommended support for up to 5 years will depend on (1) performance during the preceeding year and (2) availability of Federal funds.

Small Business Innovation Research Phase I awards are generally for 6 months; Phase II awards are generally for 2 years.

Additional program time frames are stated in the Funding Opportunity Announcements. See the following for information on how assistance is awarded/released: Domestic and some foreign payments are made through the DHHS Payment Management System (PMS).

**Reports:**

As noted in the Funding Opportunity Announcement and the Terms and Conditions of award. Cash reports are not applicable. As noted in the Funding Opportunity Announcement and the Terms and Conditions of award. As noted in the Funding Opportunity Announcement and the Terms and Conditions of award. Reporting requirements are as noted in the FOA and in the Terms and Conditions of Award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Non-Federal entities that expend \$500,000 for fiscal years ending after December 31, 2003 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions in the most recently revised Circular A133.

**Records:**

Progress reports, financial and programmatic records, supporting documents, statistical records and all other records that are required by the terms and conditions of the grant or may be considered pertinent to a grant expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the required final financial reports for the project period. See 45 CFR 74.53 and 92.42 for exceptions and qualification to the 3 year retention requirement. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

**Account Identification:**

75-0600-0-1-554.

**Obligations:**

(Project Grants) FY 10 \$52,133,423; FY 11 est \$53,697,425; and FY 12 est \$55,308,347

**Range and Average of Financial Assistance:**

Varies by grant mechanism and program specific requirements.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 52 - Grants for Research Project; 45 CFR Part 46 - Protection of Human Subjects; 45 CFR Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations and Commercial Organizations; and certain grants and agreements with States, Local Governments and Indian Tribal Governments; 45 CFR Part 92 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; the HHS Grants Policy Statement, (Most recent revision) available at <http://dhhs.gov/asfr/ogapa/aboutog/grantsnet.html> and the Public Health

Omnibus Solicitation for Small Business Innovation Research Grant applications.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Michelle Hawley Division of Acquisition Support and Grants, Office of Acquisition and Grant Services, Food and Drug Administration, Department of Health and Human Services, HFA-500, Room 2111, 5600 Fishers Lane, Rockville, Maryland 20857 Email: [Michelle.Hawley@fda.hhs.gov](mailto:Michelle.Hawley@fda.hhs.gov) Phone: (301) 827-1991 Fax: (301) 827-7101

**Website Address:**

<http://www.fda.gov>.

**RELATED PROGRAMS:**

93.448 Food Safety and Security Monitoring Project; 93.449 Ruminant Feed Ban Support Project

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include the assessment of: (1) scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy and suitability of the available facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance to programmatic objectives as noted in the FOAs For Small Business Innovation Research applications, the major elements in evaluating Phase I grant applications include the assessment of: (1) The technical merit of the proposed research; (2) the soundness of the proposed design and methods; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the potential of the proposed research for technological innovation and commercial application; (5) the appropriateness of the budget requested; and (6) the adequacy and suitability of the facilities and research environment. In review of Phase II applications, criteria include those listed above, in addition to the following: (1) the degree in which Phase I objectives were met and the feasibility demonstrated; and (2) the adequacy of the Phase II objectives and methodology for addressing the proposed research. For conference programs, the support of scientific meetings is contingent on programmatic interests and priorities of the individual centers and programs.

**93.104 COMPREHENSIVE COMMUNITY MENTAL HEALTH SERVICES FOR CHILDREN WITH SERIOUS EMOTIONAL DISTURBANCES (SED)**

(CMHS Child Mental Health Service Initiative)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Services Act, Title V, Part E, Section 561, Public Law 102-321, 42 U.S.C.

**OBJECTIVES:**

To provide community-based systems of care for children and adolescents with a serious emotional disturbance and their families. The program will ensure that services are provided collaboratively across child-serving systems; that each child or adolescent served through the program receives an individualized service plan developed with the participation of the family (and, where appropriate, the child); that each individualized plan designates a case manager to assist the child and family; and that funding is provided for mental health services required to meet the needs of youngsters in these systems.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for salaries, wages and fringe benefits of professional

and support staff; travel directly related to carrying out service activities; supplies, communications, and rental of equipment and space; training specifically aimed at one of the following: the development of individualized service plans; the provision of therapeutic foster care, group home care; intensive home-based services, or intensive day treatment services; administration of the system; and appropriate continuing education of two days or less; contracts for performance of activities under the approved project; and other such items necessary to support project activities. Grant funds and required matching funds may not be used for: other required services; to purchase or improve real estate property; provide residential care and/or services in residential treatment centers serving more than 10 children in inpatient hospital settings; any training activities with the exception of those mentioned above; and non-mental health services including mental health medical services, educational services, vocational counseling and rehabilitation, and protection and advocacy. 100% of funds are set aside for discretionary activities.

**Applicant Eligibility:**

States, political subdivisions of a State, such as county or local governments, and Federally Recognized Indian Tribal governments.

**Beneficiary Eligibility:**

Children under age 22 with a diagnosed serious emotional disturbance, serious behavioral disorder, or serious mental disorder.

**Credentials/Documentation:**

In order for an entity to be eligible it must provide the following credentials or documentation along with an application for assistance: (1) Documentation that the State mental health agency of the applicant receives funds from the Center for Mental Health Services Community Mental Health Services Block Grant; (2) documentation that the applicant entity is qualified to deliver services under the State Medicaid Plan and has an agreement to do so, either directly or through a service provider organization; (3) documentation that the State has an approved plan for the development of a system of care for community-based services for children with a serious emotional disturbance approved by the Secretary of the U.S. Department of Health and Human Services. For the purpose of this program, an approved State Mental Health Plan for children and adolescents with serious emotional disturbance submitted in accordance with the requirements of Section 1912 of the Public Health Service Act, will be accepted as such a plan; and (4) matching requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard application forms, as furnished by the Public Health Service (PHS 5161-1, Rev. July, 2000) and required by 45 CFR Part 92 for State and local governments, must be used by applicants. Grant application kits may be obtained from: Knowledge Exchange Network (KEN) at 1 (800) 789-2647.

**Award Procedure:**

Applications submitted are reviewed in a two-tired peer review process. Grants in support of projects recommended for approval by the initial review group and the Center for Mental Health Services Advisory Council are awarded directly to the applicant organization.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 100%.

This program has MOE requirements, see funding agency for further details. A requirement contained in certain legislation, regulations, or administrative policies that a recipient must maintain a specified level of financial effort in the health area for which Federal funds will be provided in order to receive Federal grant funds. This requirement is usually given in terms of a previous base-year dollar amount.

**Length and Time Phasing of Assistance:**

Project will be funded for up to 6 years. Payments will be made under an Electronic Transfer System. See the following for information on how assistance is awarded/released: SAMHSA, awards grants projects for the twelve months budget period release and release at the time award is issued.

**Reports:**

CMHI and CH requires quarterly program reports. No cash reports are required. CMHI and CH requires quarterly program reports. The SF-425 Federal Financial Report is required by SAMHSA, Grants Management Office 90 days after the end of each budget period. SAMHSA, monitors the grants programs through monthly conference calls, site visits, continuation application and quarterly progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year record retention requirement: records shall be retained beyond the 3-year period if the final audit has not been done or findings resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$87,743,974; FY 11 est \$73,223,264; and FY 12 est \$62,455,503

**Range and Average of Financial Assistance:**

\$376,096 to \$2,000,000; \$1,329,454.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 66 awards were funded in FY 2010. Fiscal Year 2011: In FY 2011, it is estimated to fund 43 awards. Fiscal Year 2012: In FY 2012, it is estimated to fund 38 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92. Guidelines are provided along with instructions in application kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Revised April 1, 1994).

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: kathleen.sample@samhsa.hhs.gov Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The following review criteria will be used in evaluating proposals: (1) Potential significance of the proposed project; (2) appropriateness of goals and objectives; (3) adequacy and appropriateness of the proposed approach and activities; (4) evidence of the State's readiness and commitment to the proposed project; (5) commitment to family participation in system development and care of their children and adolescents; (6) degree of cultural competence demonstrated; (7) capability and experience of project director, consultants, and other key staff; (8) adequacy of available resources; (9) reasonableness of the proposed budget; (10) cooperation in the evaluation activities; and (11) evidence of activities directed at developing continued funding support. Award criteria include: (1) quality of proposed project as determined by the review process; (2) geographical distribution; and (3) availability of funds.

**93.105 BILINGUAL/BICULTURAL SERVICE DEMONSTRATION GRANTS**

(Bi/Bi) Bilingual/Bicultural

**FEDERAL AGENCY:**

Office of Minority Health, Department of Health and Human Services

**AUTHORIZATION:**

Office of Minority Health (OMH) is authorized to conduct this program under 42 U.S.C. Section 300 u-6, section 1707 of the Public Health Service Act, as amended.

**OBJECTIVES:**

To improve and expand the capacity for linguistic and cultural competence of health care professionals and paraprofessionals working with Limited-English-Proficient (LEP) minority communities and improve the accessibility and utilization of health care services among the LEP minority populations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used to support projects that provide bilingual/bicultural assistance in the delivery of health services for minority populations. Funds are not to be used for the provision of health care services, construction, augmentation of ongoing Office of Minority Health (OMH) supported demonstrations, or supplantation of on-going project activities.

**Applicant Eligibility:**

Public and private nonprofit minority community-based organizations or health care facilities serving a targeted LEP minority community may apply.

**Beneficiary Eligibility:**

Members of the minority groups whose native language is other than English: American Indians or Alaska Natives, Asians, Blacks or African Americans, Hispanics or Latinos, Native Hawaiians or other Pacific Islanders, or a subgroup of any of these groups.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All open grant opportunities are posted on [www.grants.gov](http://www.grants.gov). Additional information and application kits may be requested by calling 240-453-8822 or writing to: Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Grant projects can have a 3-year project period, with 12-month budget periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant projects can have a 3-year project period, with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash basis or under a letter of credit. Necessary instructions regarding procedures will be provided at the time the Notice of Grant Award is issued. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74.53 and 45 CFR Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 10 \$2,200,000; FY 11 est \$0; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$175,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal

Register Notice, the application instructions, and the HHS Grants Policy Statement

**Regional or Local Office:**

None. Program Management Contact:  
Office of Minority Health, Division of Program Operations,  
1101 Wootton Parkway, Suite 600, Rockville, MD 20852. Telephone: (240) 453-8444.

Grants Management Contact:  
Office of Grants Management,  
1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.omhrc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Thirteen organizations were funded through this 5 year program, the grantees supported partnerships between community-based, minority serving organizations and health care facilities and addressed: cultural and linguistic barriers to effective health care service delivery; and access to quality and comprehensive health care for limited English-proficient (LEP) populations, particularly individuals who are racial and ethnic minorities. This program has concluded. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: (1) consistency of project's goals and objectives with the Office of Minority Health's mission; (2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; (3) strength of proposed grant organization's management capability; (4) adequacy of qualifications, experience and cultural competence of proposed personnel; and (5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.107 AREA HEALTH EDUCATION CENTERS POINT OF SERVICE MAINTENANCE AND ENHANCEMENT AWARDS**

AHEC-POSME

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Sec. 751 of the Public Health Service Act (42 U.S.C. 294a), as amended by Sec. 5403 of the Patient Protection and Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

The Patient Protection and Affordable Care Act, Public Law 111-148, amended the PHS Act, Section 751, Area Health Education Centers. The required program activities in the amended legislation embrace the following goals to: (1) educate and train students to become culturally competent primary care health professionals who will provide healthcare in underserved areas and to health disparity populations; (2) increase the number and variety of primary care health professionals who provide care to underserved populations in Health Professional Shortage Areas (HPSAs) and other medically underserved areas; and (3) recruit into health careers individuals from underrepresented minority population or from disadvantaged or rural backgrounds. The Area Health Education Centers (AHEC) Point of Service Maintenance and Enhancement awards consist of cooperative agreements with accredited schools of medicine and nursing to maintain and improve the effectiveness and the capabilities of an existing AHEC program, and make other modifications to the program that are

appropriate due to changes in demographics and needs of populations served. The AHEC awardees link the academic resources of medical schools and participating health profession schools with local educational and clinical sites, and thereby establish a network of primary care oriented community-based training sites to provide educational services to health profession students, faculty-preceptors and health care providers in underserved areas, and ultimately to improve the delivery of health care in an underserved region or in an entire state. Grantees shall allocate not less than 75 percent of the award to area health education centers to coordinate community-based training and interdisciplinary/interprofessional training in underserved areas and for health disparity populations. AHEC health careers recruitment activities shall be coordinated, where practicable, with Department of Labor workforce investment boards, and shall include an emphasis on careers in public health. Interdisciplinary/interprofessional training shall involve physicians, physician assistants, nurse practitioners, nurse midwives, dentists, psychologists, pharmacists, optometrists, community health workers, public health and allied health professionals, as practicable.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds shall be used to recruit individuals from underrepresented, disadvantaged, or rural backgrounds into the health professions; establish and maintain community based placements or preceptorships with an emphasis on primary care; conduct interdisciplinary/interprofessional training involving an array of health professionals; deliver or facilitate continuing education; propose and implement outcomes measurement and evaluation strategies. Not less than 75 percent of the total amount provided to an Area Health Education Centers (AHEC) program under subsection 751(a) (2) shall be allocated to the area health education centers participating in the program. The aggregate amount of awards to schools in the State for the fiscal year under Point of Service Maintenance and Enhancement AHEC authority shall be not less than \$250,000 annually per area health education center, including program office funds. If amounts appropriated to carry out Section 751 are not sufficient to comply with the amount stated in the preceding sentence, the Secretary may reduce the per center amount as necessary.

**Applicant Eligibility:**

An entity eligible to apply for AHEC Point of Service Maintenance and Enhancement awards under section 751 (a) (2) means an entity has received funds under this section (751), is operating an area health education center program, including an area health education center or centers, and has a center or centers that are no longer eligible to receive financial assistance under subsection (a)(1).

**Beneficiary Eligibility:**

Accredited public or nonprofit schools of allopathic medicine or osteopathic medicine, the parent institution on behalf of such schools, and accredited schools of nursing, which have received funds under section 751 to operate an AHEC program. Beneficiaries include also a full range of trainees: high school students, health profession students, and practicing health professionals and faculty preceptors.

Beneficiaries include also a full range of trainees: high school students, health profession students, faculty and practitioners.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. When making final funding decisions regarding Section 751 awards, consideration will be given to the Sense of the Congress that there be an area health education center program in each state.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

3 to 4 months after the review of the application.

**Appeals:**

Not Applicable.

**Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Matching Funds: With respect to the costs of operating a program through a grant under section 751, to be eligible for assistance under section 751, an entity shall make available (directly or through contributions from State, county or municipal governments or the private sector) recurring nonfederal contributions in cash or in kind toward such costs in an amount that is equal to not less than 50 percent of such costs. At least 25 percent of the total required non-Federal contributions shall be in cash. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are available for expenditure during the appropriate budget period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A Bureau of Health Professions Performance Report must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. No cash reports are required. Not applicable. Not applicable. Not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$20,328,972; FY 11 est \$21,638,491; and FY 12 est \$22,000,000

**Range and Average of Financial Assistance:**

\$99,019 to \$1,199,508; Average Award: \$441,601.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices

Louis D. Coccodrilli, Chief, Area Health Education Centers Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Phone (301)443-6950 and E-mail at [lcoccodrilli@hrsa.gov](mailto:lcoccodrilli@hrsa.gov).

CAPT Norma Hatot, Senior Nurse Consultant, Area Health Education Centers Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857, Phone (301) 443-6950, and E-mail at [nhatot@hrsa.gov](mailto:nhatot@hrsa.gov).

Meseret Bezuneh, Project Officer, Area Health Education Centers Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857, Phone (301) 443-6950, and E-mail at [mbezuneh@hrsa.gov](mailto:mbezuneh@hrsa.gov).

Michelle Menser, Project Officer, Area Health Education Centers Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857, Phone (301) 443-6950, and E-mail at [mmenser@hrsa.gov](mailto:mmenser@hrsa.gov).

**Headquarters Office:**

Louis D. Coccodrilli, 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Email: [lcoccodrilli@hrsa.gov](mailto:lcoccodrilli@hrsa.gov) Phone: (301) 443-6950.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

93.824 Basic/Core Area Health Education Centers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

NEED - Involves the extent to which the application describes the problem(s) to be addressed and the target population(s) and geographic area(s) to be served by the AHEC(s).

RESPONSE - Involves the degree to which the proposal responds to AHEC legislative requirements.

EVALUATE MEASURES - The adequacy of the evaluation strategies to monitor and evaluate project results.

IMPACT- Involves the extent and effectiveness of meeting the primary care workforce needs of the population and geography/region identified for AHEC services and programs, and potential for replication of project activities. Involves the extent to which the project demonstrates past performance success.

**RESOURCES/CAPABILITIES** - The extent to which personnel are qualified by training and/or experience to implement and carry out the proposal. The capabilities of the applicant organization and quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project will be reviewed.

**SUPPORT REQUESTED** - Involves the reasonableness of the proposed budget and resources in relation to the objectives, scope of the project, complexity of activities, and anticipated results.

See guidance at [www.grants.gov](http://www.grants.gov) for detailed selection criteria.

### **93.110 MATERNAL AND CHILD HEALTH FEDERAL CONSOLIDATED PROGRAMS**

Special Projects of Regional and National Significance SPRANS, including the Community Integrated Service Systems CISS; Public Health Service Act - Section 399BB Programs under the Combating Autism Act of 2006; The Heritable Disorders Program and the Congenital Conditions Program.

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Social Security Act, Title V, Section 502(a)(1) and (b)(1), as amended; 42 U.S.C. 702.; Section 399BB of the Public Health Service Act; Section 1109, 1111 and 1112 of the Public Health Service Act and Section 399T of the Public Health Service Act.

#### **OBJECTIVES:**

To carry out special maternal and child health (MCH) projects of regional and national significance; to conduct training and research; to conduct genetic disease testing, counseling, and information development and dissemination programs; for grants relating to hemophilia without regard to age; and for the screening of newborns for sickle cell anemia, and other genetic disorders. and to support comprehensive hemophilia diagnostic and treatment centers. These grants are funded with a set-aside from the MCH Block grant program. SPRANS grants are funded with 15 percent of the Block Grant appropriation of up to \$600 million. When the appropriation exceeds \$600 million, 12.75 percent of the amount over \$600 million is set aside for the Community Integrated Service Systems grants. 15 percent of the balance remaining over \$600 million is also for SPRANS. The CISS program is to develop and expand the following: (1) Home visitation; (2) increased participation of obstetricians and pediatricians; (3) integrated service delivery systems; (4) maternal and child health centers for women and infants, under the direction of a not-for-profit hospital; (5) services for rural populations; and (6) community-based services for children with special health care needs in order to enhance or develop an integrated services system. In FY 2008 Congress first funded the Combating Autism Act program, which is for early detection, education and intervention activities on autism and other developmental disorders.

First funded in 2004, the Heritable Disorders Program is established to improve the ability of States to provide newborn and child screening for heritable disorders and affect the lives of all of the nations infants and children.

Newborn and child screening occur at intervals across the life span of every child. Newborn screening universally provides early identification and follow-up for treatment of infants affected by certain genetic, metabolic, hormonal and/or functional conditions. It is expected that newborn and child screening will expand as the capacity to screen for genetic and congenital conditions expands.

First funded in 2009, the Congenital Conditions program is established to provide information and support services to women and their families that have received a diagnosis for Down Syndrome, Spina Bifida, Dwarfism and other prenatally or postnatally diagnosed conditions.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Training grants are made to institutions of higher learning for training personnel

for health care and related services for mothers and children. Research grants are for the purpose of research activities which show promise of a substantial contribution to the advancement of maternal and child health services. Genetic grants are for genetic disease testing, counseling and information development and dissemination. Hemophilia grants are for the support of centers which provide hemophilia diagnostic and treatment services. Other special project grants are designed to support activities of a demonstration nature which are designed to improve services for mothers and children.

#### **Applicant Eligibility:**

Training grants may be made to public or private nonprofit institutions of higher learning. Research grants may be made to public or private nonprofit institutions of higher learning and public or private nonprofit private agencies and organizations engaged in research or in Maternal and Child Health (MCH) or Children with Special Health Care Needs (CSHCN) programs. Any public or private entity is eligible for hemophilia and genetics grants and other special project grants, including CISS. Eligible entities for the Heritable Disorders Program include a State or a political subdivision of a State; a consortium of 2 or more States of political subdivisions of States; a territory; a health facility or program operated by or pursuant to a contract with or grant from the Indian Health Service; or any other entity with appropriate expertise in newborn screening, as determined by the Secretary. Eligible entities for the Congenital Disorder Program include States or political subdivision of a State; a consortium of 2 or more States of political subdivisions of States; a territory; a health facility or program operated by or pursuant to a contract with or grant from the Indian Health Services, and or non-governmental organizations with expertise in prenatally and postnatally diagnosed conditions.

#### **Beneficiary Eligibility:**

For training grants: (1) Trainees in the health professions related to MCH; and (2) mothers and children who receive services through training programs. For research grants: public or private nonprofit agencies and organizations engaged in research in MCH or CSHCN programs. For hemophilia, sickle cell, thalassemia or genetics, and other special projects: (1) Public or private agencies, organizations and institutions; and (2) mothers and children, and persons with hemophilia (any age), who receive services through the programs. For the Congenital Disorders program: (1) parents who receive a positive diagnosis prenatally, at birth, or up to 1 year after the affected child's birth; (2) healthcare providers who provide, interpret, and inform parents of the results of positive test diagnosis for congenital conditions; (3) national and local peer-support programs.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory continuation application.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 35%. Please refer to funding opportunity announcement. Opportunities may include Matching Requirements of: 35%. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis for the duration of the grant period, and payments are made through an Electronic Transfer System or Cash Demand System. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports, annual program service reports, and special reports as required. Annual Federal Financial Report. Quarterly Federal Financial Report Cash Transaction Report. Refer to the funding opportunity announcement for further information. Refer to the funding opportunity announcement for further information. Refer to the funding opportunity announcement for further information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$141,924,134; FY 11 est \$139,066,000; and FY 12 est \$121,688,000

**Range and Average of Financial Assistance:**

\$15,000 to \$3,997,824; \$254,731.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: FY 2011 689 grants were funded. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. 42 CFR Part 51a Project Grants for Maternal Child and Health.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Associate Administrator for Maternal and Child Health, Health Resources and Services Administration, Department of Health and Human Services, Room 18-05, 5600 Fishers Lane, Rockville, MD 20857.

Telephone: (301) 443-2170.

**Headquarters Office:**

Associate Administrator for Maternal and Child Health, 5600 Fishers Lane, Room 18-05, Rockville, Maryland 20857 Phone: (301) 443-2170.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

93.234 Traumatic Brain Injury State Demonstration Grant Program; 93.251 Universal Newborn Hearing Screening; 93.365 Sickle Cell Treatment Demonstration Program; 93.926 Healthy Start Initiative; 93.994 Maternal and Child Health Services Block Grant to the States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Research and training grants in MCH, Research and training grants in Autism, Heritable Disorders cooperative agreements for regional collaborative, Grants and cooperative agreements in Oral health, epilepsy, sickle cell, first time motherhood, Doula, and children with special health needs. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria are described in Program Regulations 45 CFR 51, and specific criteria are included in the program guidance materials provided with application kits. Contact Central Office for details.

**93.111 ADOLESCENT FAMILY LIFE RESEARCH GRANTS**

AFL Research

**FEDERAL AGENCY:**

Office of Population Affairs, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order 42 USC 300u et seq., 42 U.S.C 300u et seq.

**OBJECTIVES:**

To encourage and support research projects and dissemination activities concerning the societal causes and consequences of adolescent sexual activity, contraceptive use, pregnancy and child rearing. To determine ways to alleviate, eliminate or resolve negative consequences of adolescent sexual activity, pregnancy and childbearing for parents, children and their families.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for descriptive or explanatory surveys, longitudinal studies, or limited demonstration projects for services done for the purpose of increasing knowledge and understanding of the objectives. Abortions may not be provided or encouraged. In the case of a "for-profit" grantee, no grant funds may be paid in excess of allowable direct and indirect costs.

**Applicant Eligibility:**

State and local government agencies; private organizations (nonprofit and profit); institutions of higher education.

**Beneficiary Eligibility:**

Non-pregnant adolescents, pregnant adolescents, adolescent parents, and their families will benefit.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs will be determined in accordance with the following Cost Principles: OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for state and local governments, and OMB Circular No. A-122 for non-profit organizations. Costs for-profit organizations will be determined by 48 CFR, Subpart 31.2 of the Federal Acquisition Regulation. Faith based organizations are eligible to apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.



**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application Form PHS-398 (Rev. May 1995) for Research Grants should be submitted. The standard application forms, as furnished by PHS and required by 45 CFR, Part 74, (for institutions of higher education, hospitals, and other non-profit organizations), and 45 CFR, Part 92, (for State and local governments), must be used for this program. Applications are reviewed and evaluated by a group composed primarily of nonfederal scientists. The review is conducted by a panel of experts in the specific study area proposed. This program is subject to the provisions of 45 CFR, Part 74, 45 CFR, Part 92, and OMB Circular No. A-102 (administrative guidelines and standards for states and local governments), and OMB Circular No. A-110 (administrative guidelines and standards for institutions of higher education, hospitals, and other non-profit organizations).

**Award Procedure:**

After considering the recommendation of the review group, the Deputy Assistant Secretary for Population Affairs makes the final decision on the funding of approved applications. All applicants are notified in writing of actions taken on their applications. A Notice of Grant Award is issued for those applications that are approved and funded.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 3 to 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Projects may be approved for 1 year; a project may be renewed for two additional 1-year periods based on submission of an application, including a progress report and evidence of plan compliance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may not exceed 3 years with budget periods not to exceed 12 months. Payments will be made either on a monthly cash request basis or under an Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued at the time an award is made. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Controller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts, and transcripts. In accordance with 45 CFR, Part 74.53, and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$0; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$100,000 to \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Adolescent Family Life (AFL) Program did not support any research grants this year based on the FY 2010 appropriations budget. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations, 42 CFR 52 and 52h, 45 CFR 74; 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994. Program guidance is provided in the application kit.

**Regional or Local Office:**

None. Office of Adolescent Pregnancy Programs, Office of Population Affairs, Department of Health and Human Services, 1101 Wootton Parkway, Suite 700, Rockville, MD 20852. Telephone: (240) 453-2828.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8449.

**Website Address:**

<http://www.opa.osophs.dhhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: This program has funded projects for the following purposes: (1) Adolescents at risk; and (2) adoption versus parenting. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(All applications are subject to peer review, in a system established by 42 CFR Section 52h.8, which must find a project to be of scientific merit before it can be awarded a grant.) Criteria include: (1) Scientific and technical significance and originality; (2) adequacy of methodology; (3) qualifications and experience of principal investigator staff; (4) availability of necessary resources; (5) reasonableness of budget and duration; and (6) adequacy of protection of humans, animals, and the environment.

**93.113 ENVIRONMENTAL HEALTH**

National Institute of Environmental Health Sciences

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Part A, Section 301 and Title IV, Part A, Section 401, Public Laws 78-410 and 99-158, as amended, 42 U.S.C. 241, as amended, 42 U.S.C. 288, Public Law 99-500, Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To foster understanding of human health effects of exposure to environmental agents in the hope that these studies will lead to: the identification of agents that pose a hazard and threat of disease, disorders and defects in humans; the development of effective public health or disease prevention strategies; the overall improvement of human health effects due to environmental agents; the development of products and technologies designed to better study or ameliorate the effects of environmental agents; and the successful training of research scientists in all areas of environmental health research. Supported grant programs focus on the following areas: (1) Understanding biological responses to environmental agents by determining how chemical and physical agents cause pathological changes in molecules, cells, tissues, and organs, and become manifested as respiratory disease, neurological, behavioral and developmental abnormalities, cancer, and other disorders; (2) Determining the

mechanisms of toxicity of ubiquitous agents like metals, natural and synthetic chemicals, pesticides, and materials such as nanoparticles, and natural toxic substances, and their effects of on various human organ systems, on metabolism, on the endocrine and immune systems, and on other biological functions; (3) Developing scientific information about potentially toxic and hazardous chemicals by concentrating on toxicological research, testing, test development, and validation efforts; (4) Conducting broad-scale efforts in biometry and risk estimation for determining, monitoring and predicting the probable health risks of cancer, organ system toxicities, and diseases and disorders resulting from human exposures to various environmental hazards, including the development of new statistical analytic tools and methods; (5) Conducting environmental public health research that requires communities as active participants in all stages of research, dissemination, and evaluation to advance both the science and the development of practical materials for use in communities, with a focus on translating research findings into tools, materials, and resources that can be used to prevent, reduce, or eliminate adverse health outcomes caused by environmental exposures; (6) Expanding and improving the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; (7) Expanding and improving the STTR program to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; (8) Providing support for broadly based multi-disciplinary research and training on environmental health problems in Environmental Health Sciences Core Centers. These Centers serve as national focal points and resources for research and manpower development. The Centers for Neurodegenerative Science addresses the need for integrated research efforts involving basic and clinical scientists in a quest to discover the causes of and possible treatments for neurodegenerative diseases. The Breast Cancer and the Environment Research Program (co-funded with NCI) studies the impact of prenatal to-adult environmental exposures that may predispose a woman to breast cancer. A special emphasis is on the impact of environmental factors on a girls pubertal development, a known risk factor for breast cancer. Through these programs, NIEHS expects to achieve the long range goal of developing new clinical and public health applications to improve disease prevention, diagnosis, and therapy. Additional Centers programs developed in recent years, include the Centers for Oceans and Human Health (P50)(co-funded with NSF), Children's Environmental Health Centers (P01)(co-funded with US EPA) and the Autism Centers of Excellence (co-funded with (NIMH) (U54) and the ; (9) Supporting research training programs which serve to increase the pool of trained research manpower with needed expertise in the Environmental Health Sciences through support of Individual and Institutional National Research Service Awards (NRSAs); (10) The Outstanding New Environmental Scientist Program which provides first time research grant funding to outstanding junior scientists in the formative stages of their career who are proposing to make a long term commitment to environmental health sciences research and to address the adverse effects on environmental exposures on human biology, human pathophysiology and human disease.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Research Grants and Cooperative Agreements are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and

feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I, scientific and technical merit, and commercial potential of the Phase II application. Career development awards such as Independent Scientist Awards (Supersedes former Research Career Development Award): These awards are in amounts up to \$75,000 (plus fringe benefits, eight percent indirect costs, and \$25,000 for research support) and are made to institutions to provide salary and research support for research scientists who need an additional period of sponsored research as a way to gain experience in a research area new to the candidate or in an area that would demonstrably enhance the candidate's scientific career. Supplementation from nonfederal funds is allowed. Mentored Clinical Scientist Development Awards and Mentored Patient-Oriented Research Career Development Awards (encompass the previous Physician Scientist Awards and Clinical Investigator Awards): Awards up to \$75,000 (salary), \$25,000 for research support plus eight percent indirect costs and fringe benefits, to provide for specialized study for clinically trained professionals who are committed to a career in research and have the potential to develop into independent investigators. Supplementation from nonfederal funds is allowed. Midcareer Investigator Award in Patient Oriented Research: These awards provide salary for levels of effort between 3-6 person months per year (plus fringe benefits) and \$25,000 of career development support to provide support for mid-career health professional doctorates at the mid-career level protected time to devote to patient oriented research and to act as mentors, primarily for clinical residents. The Mentored Quantitative Research Development Award: Awards up to \$75,000 salary (plus fringe) and up to \$40,000 in Career Development Expenses to junior faculty with quantitative and engineering backgrounds to allow them to refocus their research on NIH-relevant topics. Supplementation from non-federal funds is allowed. The Pathways to Independence Award provides up to five years of support consisting of two phases. The initial phase provides 1-2 years of mentored support for highly promising postdoctoral research scientists. Phase 2 consists of up to 3 years of independent research support contingent on securing an independent tenure track or equivalent research position. The total costs per year for the mentored phase should not exceed \$90,000 per year, and the total costs for the independent phase may not exceed \$249,000 per year. NIEHS Core Center grants (P30) are primarily intended to provide infrastructure support and the support of core research facilities. In addition, an appropriate indirect cost is provided as determined by negotiated agreement with the grantee's cognizant government organization. National Research Service Awards (NRSAs): Individual predoctoral and postdoctoral training awards are made for the support of fellows who engage in research training in environmental toxicology, environmental pathology, environmental mutagenesis, or environmental epidemiology/biostatistics. These training grants enable institutions to make awards to individuals selected by them, for both predoctoral and postdoctoral research training in the aforementioned areas. Each individual who receives a postdoctoral NRSA is obligated upon termination of the award to comply with certain service and payback provisions.

#### **Applicant Eligibility:**

Research Grants, Cooperative Agreements, Science Education Grants, SBIR Grants, Independent Scientist Awards, Mentored Research Scientist Development Award, Mentored Clinical Scientist Development Award, and the Academic Career Awards: A university, college, hospital, State, local or tribal governments, nonprofit research institution, or for-profit organization may submit an application and receive a grant for support of research by a named principal investigator. Candidates for Academic Career Awards and Midcareer Investigator Awards in Patient Oriented Research must have a doctoral degree and peer-reviewed, independent, research support at the time the award is made. Candidates for Mentored Clinical Scientist Development Awards and Mentored Patient Oriented Research Career Development Awards must have a clinical degree or its equivalent and must have initiated post graduate clinical training. Candidates holding a Ph.D. degree are ineligible. Candidates who have served as principal investigators on PHS-supported research projects are ineligible. A candidate for Academic Career Awards must have a clinical or research doctorate degree. Those eligible for the Development Award must be able to devote at least 75 percent effort. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is

proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. Centers: A university-based, nonprofit research institution, or for-profit organization proposing an integrated research program established to accomplish a stated mission, covering activities ranging from very basic research to the actual application of research results in the prevention and control of environmental health problems, may submit an application under the direction of a named Center Director. National Research Service Awards: (1) Nonprofit domestic organizations may apply for the Institutional NRSA; (2) Individual NRSA awardees must be nominated and sponsored by a public for-profit or nonprofit private institution having staff and facilities appropriate to the proposed research training program; (3) all awardees must be citizens or have been admitted to the United States for permanent residence; (4) to be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree).

#### **Beneficiary Eligibility:**

For Research Grants: Any nonprofit or for-profit organization, company, or institution engaged in biomedical research. For Centers and Training Grants: University-based nonprofit institutions; for-profit organizations conducting research; and individuals nominated by a private institution conducting research.

#### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Research Grants, Science Education Grants, Cooperative Agreements, SBIR Grants and Awards: Application forms and instructions for their submission are available from the Division of Extramural Outreach and Information Resources, National Institutes of Health, 6701 Rockledge Drive, MSC-7910, Bethesda, MD 20892. Small Business Technology Transfer (STTR) program uses same procedure as SBIR immediately above. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program by those applicants which are State and local units of government. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://grants.nih.gov/grants/funding/sbir.htm> on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to [grants.gov](http://grants.gov) at <http://grants.gov>. For Center grants and NRSA Training grants the standard application forms, as furnished by PHS and required by 45 CFR 92, must be used for this program by those applicants that are State or local units of government. Centers: Consultation with National Institute of Environmental Health Sciences staff is essential prior to submission of an application. National Research Service Awards (Individual): Prior to formal application, an applicant must arrange for acceptance at sponsoring institution by a sponsor who will supervise the training. Application Kits and instructions for submission are available from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National

Institutes of Health, Room 6207, 6701 Rockledge Drive, MSC-7910, Bethesda, MD 20892-7910. Specific information concerning Centers may be obtained by contacting the office indicated under Information Contacts. This program is subject to the provisions of 45 CFR, 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

#### **Award Procedure:**

Made on the basis of dual review by peer groups of all applications. The first level of reviews is by a study section for scientific merit. In addition, a national advisory council provides a secondary level of review for all applications. As required by P.L. 109-482, the NIH Health Reform Act of 2006, all research grant and cooperative agreements must undergo Advisory Council/Board review and approval prior to funding, including those \$50,000 and under in direct costs. Review of Individual NRSA applications by an Advisory Council/Board is not required. Final approval of these recommendations and decisions concerning funding are made by the Director, NIEHS. All accepted applications are evaluated first for technical merit by an appropriate scientific review group and then by a national advisory council. All accepted SBIR and STTR applications are first evaluated for scientific and technical merit by an appropriate scientific peer review panel, then by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds based on scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

> 180 Days. From 6 to 9 months. SBIR and STTR: About 7-1/2 months. Centers and Institutional National Research Service Awards: From 6 to 9 months. Individual National Research Service Awards: From 6 to 8 months.

#### **Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://www.grants.nih.gov/grants/guide/notice-files/not97-232.html>.

#### **Renewals:**

Research Grants, Cooperative Agreements, Center Grants, and Institutional Training Grants: Renewal applications are subject to same criteria as new applications. Independent Scientist Awards, Mentored Research Scientist Development Awards, Mentored Clinical Scientist Development Award, Academic Career Awards, and Individual Training grants are non-renewable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Research Grants, Cooperative Agreements, Center Grants, and NRSA Institutional grants may be awarded for up to 5 years, generally in 12-month budget periods and may be extended through a competitive renewal. Science Education Grants may be awarded for up to 5 years, in 12-month budget periods, and are not renewable. Independent Scientist Awards are awarded for 5 years in 12-month budget periods, and are non-renewable. Mentored Research Scientist Awards are for up to 5 years, 12-month budget periods, and are non-renewable. Mentored Clinical Scientist Development Awards and Academic Career Awards are for up to 5 years and are renewable. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. National Research Service Awards: Individual awards are non-renewable and may be for 1, 2, or 3 years, but no individual may receive NRSA support at the predoctoral level for more than 5 years and at the postdoctoral level for more than 3 years. See the following for information on how assistance is awarded/released: Funds are released primarily on basis of an Electronic Transfer System.

#### **Reports:**

Annual and final progress reports are required for all Grant Awards. Annual financial reports are due for a subset of grant awards. Final financial reports are due for all grant awards. Additional reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Cash reports are not applicable. Annual and final progress reports are required for all Grant Awards. Annual financial reports are due for a subset of grant awards. Final financial reports are due for all grant awards. Additional reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Expenditure reports are not applicable. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

#### **Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submit the last expenditure report for the report period.

#### **Account Identification:**

75-0862-0-1-552.

#### **Obligations:**

(Project Grants) FY 10 \$335,494,000; FY 11 est \$329,491,000; and FY 12 est \$333,486,000

#### **Range and Average of Financial Assistance:**

Range: \$2,000 to \$2,691,763

Average: \$371,114.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, 675 RPG awards (including SBIR and STTR awards), 29 Center grants, 55 Individual and 51 Institutional NRSAs were made. In Fiscal Year 2010 several FOAs were issued for new initiatives. An FOA for a new initiative titled Engineered Nanomaterials: Linking Physical and Chemical Properties to Biology (U19) was released for funding in FY 2010. The objective of this program is to understand how physical and chemical characteristics of engineered nanomaterials (ENMs) influence their molecular interactions with biological matrices and elicit biological responses. Awards made through this FOA use a multi-project cooperative agreement (U19) mechanism. Five awards were issued. The Virtual Consortium for Translational/Transdisciplinary Environmental Research (ViCTER) (R01) is a new initiative released through an FOA in FY 2010. The intent of the ViCTER program is to foster transdisciplinary collaboration and promote translational research efforts between and among basic (technology and mechanism oriented), clinical (patient-oriented) and population-based researchers and other individuals with expertise relevant to environmental health who have come together in common interest around a particular environmental stressor(s) of interest. Seven awards were issued. An FOA established The Childrens Environmental Health Formative Centers (P20) initiative that allows for the development of new research teams, connections with communities and other stakeholders, in order to obtain preliminary data on childhood diseases and disorders where the evidence of an environmental contribution has yet to be fully established or appreciated. Six awards were issued. In addition to these programs, the EHS Core Centers Program and the ONES program were re-announced for funding in FY 2010. Fiscal Year 2011: In fiscal year 2011 it is anticipated that 657 RPG awards (including SBIR and STTR awards), 29 Center grants, 55 Individual and 50 Institutional NRSAs will be made. In Fiscal Year 2011 several FOAs were issued for new initiatives. An FOA for a new program titled Validation and Field Testing of New Tools for Characterizing the Personal Environment was released for funding. The objective of this program to conduct field testing and initial validation of existing prototype tools for characterizing the personal environment including chemical exposures,

diet, physical activity, psychosocial stress and the use of addictive substance. Awards made through this FOA will use the R01 award mechanism. It is anticipated that eight to ten awards will be made. An FOA for a new initiative titled Validation and Field Testing of Novel Biomarkers of Response to Environmental Stressors was released for funding. The objective of this initiative is to conduct pilot testing of novel candidate biomarkers and technologies that measure biological responses to chemical toxicants and other environmental stressors. Awards made through this FOA will use the R01 award mechanism. It is anticipated that five to six awards will be made. An FOA for a new initiative titled Deepwater Horizon (DWH) Disaster Research Consortia: Health Impacts and Community Resiliency was released for funding. The objective of this program to create one or more consortia of university-community partnerships to: address health issues of concern to the residents of the Gulf States affected by the DWH disaster; enhance capacity to respond to potential future disasters and to prevent or minimize adverse health effects arising from them. Awards made through this FOA will use the U19 Cooperative Agreement award mechanism. It is anticipated that three to four awards will be made. An FOA for a new initiative titled Epigenomics of Human Health and Disease was released for funding. The objective of this initiative is to discover and define epigenetic marks or features and their possible interactions in cells and tissues that are representative of various human disease states, conditions or processes. Awards made through this FOA will use the R01 award mechanism. It is anticipated that ten to fifteen awards will be made. An FOA for a new initiative titled Research Consortium for 2-Year Bisphenol A Toxicity Study was released for funding. The objective of this initiative is to develop a research consortium to assess disease endpoints in a chronic BPA toxicity study. Awards made through this FOA will use the U01 Cooperative Agreement award mechanism. It is anticipated that seven to ten awards will be made. An FOA for a new initiative titled Identification of Biomarkers for Early Detection of Environmentally-Induced Mitochondrial Dysfunction was released for funding. The objective of this initiative is to develop biomarkers of mitochondrial dysfunction using animal models and other experimental models that can help to identify environmental stressors that inhibit normal mitochondrial function, improve our mechanistic understanding of the effects of mitochondrial toxicants, and develop approaches and candidate markers that will serve as the basis for developing biomarkers of early mitochondrial dysfunction in human population studies linking exposure to disease. Awards made through this FOA will use the R01 award mechanism. It is anticipated that six to eight awards will be made. An FOA for a new initiative titled Assessing and Modeling Population Vulnerability to Climate Change was released for funding in FY 2011. The objective of this initiative is to inform climate change adaptation and public health interventions to reduce current and future vulnerability of various populations to the health effects of climate change. Awards made through this FOA will use the R01 award mechanism. It is anticipated that ten to fifteen awards will be made. In addition to these programs, the EHS Core Centers Program and the ONES program were re-announced for funding in FY 2011. Fiscal Year 2012: In fiscal year 2012 it is anticipated that 645 RPG awards (including SBIR and STTR awards), 27 Center grants, 55 Individual and 50 Institutional NRSAs will be made. In Fiscal Year 2012 several FOAs may be issued for new initiatives. Initiatives that will be released or renewed for funding in FY 2012 include an FOA titled Dietary Influence on the Human Health Effects of Environmental Exposures (10 R21 awards anticipated), an FOA entitled Centers for Oceans & Human Health (4 P01 and 4 R01 awards anticipated), an FOA entitled Environmental Influences on Stem Cells in Development, Health, and Disease (2 R21 and 5 R01 awards anticipated), and the ViCTER (5 R01 Awards anticipated) and Climate Change and Health (6 R21 awards anticipated) will be reissued.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; NIH Guide to Grants and Contracts; various other publications and application kits, the Division of Extramural Outreach and Information Resources, Office of Extramural Research, NIH, Room 6207, 6701 Rockledge Drive, Bethesda, MD 20892. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. Program Contacts: Research Grants: Dr. William A Suk, Director, Center for Risk & Integrated Sciences, DERT, NIEHS, E-mail: suk@niehs.nih.gov. Telephone: (919) 541-0797; or Dr. Jerrold Heindel, Acting Chief, Cellular, Organ and Systems Pathobiology Branch, E-mail: heindelj@niehs.nih.gov. Telephone: (919) 541-0781; or Dr. Claudia Thompson, Acting Chief, Susceptibility and Population Health, E-mail: thomps14@niehs.nih.gov; Telephone: (919)541-4638. Partnerships in Environmental Public Health Grants: Dr. Claudia Thompson, Acting Chief, Susceptibility and Population Health, E-mail: thomps14@niehs.nih.gov; Telephone: (919) 541-4638. Independent Scientist Awards, Mentored Research Scientist Development Awards, Mentored Clinical Research Scientist Development Awards, Academic Career Awards: Dr. Carol Shreffler, Program Administrator, Cellular, Organ and Systems Pathobiology Branch, E-mail: shreffl1@niehs.nih.gov. Telephone:(919)541-1445. AREA, SBIR and STTR Grant Programs: Dr. Daniel Shaughnessy, Program Administrator, Susceptibility and Population Health Branch, E-mail: shaughn1@niehs.nih.gov. Telephone: (919)541-2506. P30 Core Centers Program Contact: Dr. Leslie Reinlib, Program Administrator, Susceptibility and Population Health Branch, E-mail: reinlib@niehs.nih.gov; Telephone: (919)541-4998; NRSA Program Administrator: Dr. Michael Humble, Program Administrator, Cellular, Organ and Systems Pathobiology Branch, E-mail: humble@niehs.nih.gov. Telephone: (919) 316-4621. Grants Management Contact: Ms. Dorothy Duke, Chief, Grants Management Officer, Grants Management Branch, E-mail: duke3@niehs.nih.gov. Telephone: (919) 541-2749. For each program contact, the rest of the mailing address is: Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, P.O. Box 12233, Research Triangle Park, NC 27709.

**Headquarters Office:**

Benigno Encarnacion, 111 TW Alexander Drive, Research Triangle Park, North Carolina 27709 Email: encarna1@niehs.nih.gov Phone: (919) 541-5147.

**Website Address:**

<http://www.niehs.nih.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The following are examples of projects funded in FY 2010: (1) a research project to investigate the role of DNA polymerase eta (Pol eta) structure and function in translesion synthesis using a combination of biochemical, genetic, and structural approaches to determine how Pol eta; mediates proficient and error-free replication through DNA lesions such as a UV induced cis-syn TT dimer, an 8-oxoguanine formed from oxidative damage, and a cisplatin G-G crosslink formed upon cisplatin chemotherapy; (2) a research project to investigate the factors that influence an individuals susceptibility to arsenic toxicity using a nested case-control epidemiology design that tests the hypotheses that the capacity to methylate As is influenced by As methyltransferase (AS3MT) genotypes and that AS3MT genotypes and As methylation are associated with risk for skin lesions; (3) a research project to test the hypothesis that prenatal DES exposure leads postnatally to increased susceptibility to autoimmunity and cancer by altering the positive and/or negative selection of T cells in the thymus leading to generation of skewed T cell repertoire with enhanced reactivity towards self antigens and decreased response against non-self antigens; (4) a research project by a new investigator supported through the ONES Program to understand copy number variation (CNV) as a mechanism of human disease using *Daphnia* to test the hypothesis that exposure to environmental contaminants increase the rate of mutations resulting in CNVs, which have functional consequences on gene expression; and (5) a research project funded through the BCERP that will utilize a unique existing cohort of girls followed from ages 6 and 7, who have had semiannual examinations over 3-5 years to better understand the relationships between timing of onset and pathway of puberty with menarche, interaction between endocrine disruptors and polymorphisms, and changes in body composition. Fiscal Year 2011: Actual funded projects will be reported after 2011. Fiscal Year 2012: Actual funded projects will be reported after 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The

scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to stated program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.116 PROJECT GRANTS AND COOPERATIVE AGREEMENTS FOR TUBERCULOSIS CONTROL PROGRAMS**

Tuberculosis Prevention and Control and Laboratory Program

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 317(a)317E, 42 U.S.C. 247b-b(a), as amended; Health Services and Centers Amendments of 1978, Public Law 95-626; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Preventive Health Amendments of 1984, Public Law 98-555; Public Health Service Act of 1987, as amended, Public Law 100-177; TB Prevention Amendments Act of 1990, as amended, Public Law 101-368.

**OBJECTIVES:**

To assist State and local health agencies in carrying out tuberculosis (TB) control activities designed to prevent transmission of infection and disease. Financial assistance is provided to TB programs to ensure that the program needs for the core TB prevention and control activities are met: finding all cases of active tuberculosis and ensuring completion of therapy; finding and screening persons who have had contact with TB patients, evaluating them for TB infection and disease, and ensuring completion of appropriate treatment, and conducting TB surveillance and TB public health laboratory activities that are essential to addressing these priorities. Each of these core activities (completion of therapy, contact investigation, TB surveillance, and TB laboratory activities) is essential to effective TB prevention and control, and they are mutually reinforcing. Thus, they constitute a "package" of core activities. These are the highest priority TB prevention and control activities and should be carried out by all State and local TB prevention and control programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used to support both local personnel and individuals in direct assistance (i.e., "in lieu of cash") positions under Section 317 of the Public Health Service Act and to purchase equipment, supplies and services directly related to project activities, particularly directly observed therapy, patient outreach, morbidity surveillance, outreach and program assessment.

Project funds may not be used to supplant State or local funds available for tuberculosis control, or to support construction costs or inpatient care.

**Applicant Eligibility:**

Under Section 317 of the Public Health Service Act, official public health agencies or their bona fide agents of State and local governments, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa.

**Beneficiary Eligibility:**

Official public health agencies of State and local governments, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operations, describe the evaluation procedures, and provide a budget with justification of funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. This program is subject to the requirements described in 45 CFR 92.

**Award Procedure:**

After officials review and approve applications, a Notice of Award is prepared and processed, and appropriate notification is made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

From 120 to 180 days.

**Renewals:**

From 60 to 90 days. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. This program is subject to the requirements described in 45 CFR 92.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula or matching requirements. Although there are no matching requirements, applicants must assume part of the project costs and fiscal information must be provided in the narrative portion of the application pursuant to provisions of Section 317(b)(2)317E.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: From one to five years. Budget Period: One year. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Quarterly or semiannual narrative and performance statistical reports are required of the recipient. Semiannual reports should address the recipients progress of achievement of the stated objectives. Annual financial status reports are also required of the recipient no later than 90 days after the end of each budget period. Final financial status and are required 90 days after the end of a project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$98,923,282; FY 11 est \$99,043,905; and FY 12 est \$98,923,282

**Range and Average of Financial Assistance:**

\$86,938 to \$9,931,764 with an average of \$1,454,714.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Support was provided for the 68 cooperative agreements with special emphasis on the completion of treatment, contact investigation, and targeted testing of high-risk populations. Fiscal Year 2011: It is estimated that support will continue for the 68 cooperative agreements in fiscal year 2011 with continued special emphasis on the completion of treatment, contact investigation, and targeted testing of high-risk populations. Fiscal Year 2012: It is estimated that support will continue for the 68 cooperative agreements in fiscal year 2011 with continued special emphasis on the completion of treatment, contact investigation, and targeted testing of high-risk populations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Subpart A of 42 CFR 51b is applicable, including all regulations incorporated by reference under Section 51b.105. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Terry Chorba 1600 Clifton Road, MS E-10, Atlanta, Georgia 30333 Email: tlc2@cdc.gov Phone: 404-639-0909 Fax: 404-639-8958

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.991 Preventive Health and Health Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: TB cooperative agreements were provided to 68 state, big-city, and territorial health department TB programs to intensify TB elimination and laboratory support operations. Funds supported TB outreach, directly observed therapy, contact investigation and evaluation, and contracts for direct patient services. Fiscal Year 2011: TB cooperative agreements

continues to be provided to 68 state, big-city, and territorial health department TB programs to intensify TB elimination and laboratory support operations. Funds are provided to support TB outreach, directly observed therapy, contact investigation and evaluation, and contracts for direct patient services. Fiscal Year 2012: It is anticipated that the TB cooperative agreements will continue to be provided to 68 state, big-city, and territorial health department TB programs to intensify TB elimination and laboratory support operations. Funds will be provided to support TB outreach, directly observed therapy, contact investigation and evaluation, and contracts for direct patient services.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated in 2012 on 2009 data including the total number of cases reported, the number of bacteriologically confirmed cases reported, the bacteriologically substantiated rate of disease, the number of TB cases among racial and ethnic minorities, significant TB problems among the homeless, cumulative number of TB/AIDS cases, and significant increases in TB morbidity. The number of TB cases under current supervision which have organisms resistant to one or more anti-TB drugs will also be considered in evaluating and prioritizing projects for funding. In addition, the overall potential effectiveness of the applicants plan of operation in meeting the objectives of proposed projects will be considered in evaluating and prioritizing projects.

**93.117 PREVENTIVE MEDICINE RESIDENCY PROGRAM**

Preventive Medicine Residency Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Sec. 768, 42 U.S.C. 295c, as amended by the Patient Protection and Affordable Care Act (Pub. L 111-148).

**OBJECTIVES:**

Grants are intended to promote postgraduate education in the specialty of preventive medicine. Preventive Medicine is the specialty of medical practice which focuses on the health of individuals and defined populations in order to protect, promote, and maintain health and well-being and prevent disease, disability and premature death. It is one of the 24 specialties recognized by the American Board of Medical Specialties. Preventive Medicine encompasses three areas of specialization: (1) General Preventive Medicine and Public Health, (2) Occupational Medicine, and (3) Aerospace Medicine.

An applicant must demonstrate to the Secretary that it has or will have available full-time faculty members with training and experience in the fields of preventive medicine and support from other faculty members trained in public health and other relevant specialties and disciplines.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; Training

**USES AND USE RESTRICTIONS:**

Grants are intended to assist in meeting the costs of planning and developing new preventive medicine programs; maintaining or improving existing residency training programs in preventive medicine; and providing financial assistance to medical residents enrolled in such programs. Grants may not be used for construction or for the provision of direct patient services.

Each trainee receiving stipend support must: (a) be a citizen of the United States, a non-citizen U.S. national, or a foreign national having in his or her possession a visa permitting permanent residence in the United States; (b) be a physician who has graduated from an accredited school of medicine or osteopathic medicine in the United States; or if a graduate from a foreign school, meet the criteria of the Educational Commission for Foreign Medical Graduates, for entry into the program supported by this grant; and (c) plan to complete the grant-supported program and engage in the practice and/or teaching of preventive medicine, especially in positions which meet the needs of medically underserved populations.

**Applicant Eligibility:**

Eligible applicants are: (1) an accredited school of public health or school of

medicine or osteopathic medicine; (2) an accredited public or private nonprofit hospital; (3) a State, local, or tribal health department; or (4) a consortium of 2 or more entities described in (1) through (3). An applicant must demonstrate to the Secretary that it has or will have available full-time faculty members with training and experience in the fields of preventive medicine and support from other faculty members trained in public health and other relevant specialties and disciplines.

An applicant must demonstrate to the Secretary that it has or will have available full-time faculty members with training and experience in the fields of preventive medicine and support from other faculty members trained in public health and other relevant specialties and disciplines.

**Beneficiary Eligibility:**

U.S. citizens, noncitizen nationals, and those foreign nationals who possess a visa permitting permanent residence in the United States may receive a stipend under this program.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuation applications may be submitted during the final budget period of the approved project period. Applications must be submitted in accordance with instructions and deadlines for competitive applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for up to 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual progress reports, in the form of HRSA's performance reporting system, are required. Electronic reporting requirements can be viewed at [www.HRSA.gov](http://www.HRSA.gov). Financial reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. See the funding opportunity announcement for further information. No cash reports are

required. No progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Information on the scope, frequency, and other aspects of the audits can be found on the Internet at [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars).

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$2,657,542; FY 11 est \$3,408,395; and FY 12 est \$3,719,445

**Range and Average of Financial Assistance:**

FY 10: \$118,589 to \$655,981(range) \$295,282 (average)

FY 11: \$190,000 to \$782,889 (range) \$585,424 (average).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Offices  
Wendy E Braund, MD, MPH, MSEd, Chief, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857.  
Telephone: 301-443-6867 and Email: [wbraund@hrsa.gov](mailto:wbraund@hrsa.gov).

Elsie Quinones, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: (301) 443-5244 and E-mail: [equinones@hrsa.gov](mailto:equinones@hrsa.gov).

**Headquarters Office:**

Elsie Quinones 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Email: [equinones@hrsa.gov](mailto:equinones@hrsa.gov) Phone: (301) 443-5244

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

93.412 ARRA - Preventive Medicine Residency Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by consultants who make technical merit recommendations based on the potential effectiveness of the proposed project in carrying out the training purposes of section 768 of the PHS Act. Approval of any application will be based on an analysis of the following factors: PREVENTIVE MEDICINE - purpose, need and rationale, project plan, project management, fiscal plan, trainee diversity, and project effectiveness. For applicants who are currently funded grantees or applicants who are not currently funded, but have received funding within the previous four years, reviewers will examine the progress report summary to determine the current or prior project's: impact on preventive medicine education both locally and nationally; ability to carry out grant-specific objectives and BHP performance objectives; and dissemination activities.

**93.118 ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS) ACTIVITY**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301(l).

**OBJECTIVES:**

To develop and implement HIV prevention programs of public information and education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Support for cooperative agreements for HIV activities.

**Applicant Eligibility:**

Public and private organizations, both nonprofit and for-profit (universities, colleges, research institutions and other public and private organizations); State and local governments, U.S. Territories and possessions; including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, small and minority businesses, and businesses owned by women.

**Beneficiary Eligibility:**

Official health and education agencies, as well as individuals subject to AIDS.

**Credentials/Documentation:**

Nonprofit institutions: Costs will be determined by HHS Regulations 45 CFR Part 74, Subpart Q, for nonprofit organizations. For-profit institutions: Costs will be determined by Federal Acquisition Regulations 48 CFR 31. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications are made in the form of an application, PHS-5161-1 or PHS 398, to the Centers for Disease Control and Prevention (CDC). The standard application forms, as furnished by CDC and required by 45 CFR, Parts 74 or 92, must be used for this program. This program is subject to the provisions of 45 CFR, Parts 74 or 92, as appropriate.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public. Initial award provides funds for first



budget period (12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

See FOA for details.

**Appeals:**

Applicants may resubmit application for next announcement or review.

**Renewals:**

As stated in the Terms and Conditions.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From 1 to 5 years (renewable). Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records and supporting documents must be maintained for 3 years after the end of each budget period. If questioned, records must be kept until matters are settled.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$3,181,859; FY 11 est \$3,026,758; and FY 12 est \$3,026,758

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994; Administration of Grants, DHHS; 45 CFR, Part 74; Guidelines established by CDC for AIDS cooperative agreements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on the evaluation, criteria as stated in the Program Announcements.

**93.121 ORAL DISEASES AND DISORDERS RESEARCH**

Dental and Craniofacial Research.

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Small Business Research and Development Enhancement Act of 1992; Public Health Service Act, Title IV, Section 301.

**OBJECTIVES:**

To improve oral, dental and craniofacial health through research, research training, and the dissemination of health information. The research portfolio supports basic, clinical and transitional research from molecular biology to patient-oriented and community-based clinical investigations. The Developmental Biology and Genetics Program supports research on etiology, pathogenesis, epidemiology, prevention, diagnosis, and treatment of inherited craniofacial-oral-dental diseases and disorders (e.g., ectodermal dysplasia, cleft lip and palate, amelogenesis imperfecta, dentinogenesis imperfecta, osteogenesis imperfecta, and other inherited diseases that have craniofacial-oral-dental manifestations) as well as on normal craniofacial-oral-dental development, and genome-wide association studies. 2. The Translational Genetics and Genomics program supports genetic/genomic research using epidemiologic and family-based methods, gene discovery using high throughput technologies, and gene-environment interactions. 3. The Microbiology Program supports basic and translational research on the role of oral microbes in health and disease including the etiology, pathogenesis, diagnosis, treatment, and prevention of oral infectious diseases. Areas of interest include biofilms and microbial ecology, microbial genomics and metagenomics, microbial virulence and disease pathogenesis, prevention and treatment. 4. The AIDS and Immunosuppression Program supports basic, translational and clinical research on HIV infection and AIDS to advance understanding of the underlying molecular, cellular, and genetic mechanisms that enable or prevent HIV infection and development of oral complications associated with AIDS and AIDS malignancies. 5. The Immunology and Immunotherapy Program supports basic and translational research on the immune aspects of oral diseases such as caries and periodontal diseases. The program includes host responses to microbes, immunology of biofilms, oral inflammation, systemic diseases, immunotherapy, immunopathologies, and host susceptibility to infection. 6. The Epithelial Cell Regulation and Transformation Program supports basic and translational research on the molecular mechanisms of oral epithelial cell regulation as they relate to the development and progression of diseases of the oral mucosa, including head and neck cancer. The program also supports and encourages the application of genomic, proteomic, and imaging technologies through research on the early diagnosis, prevention, and treatment of head and neck cancers. 7. The Mineralized Tissue and Salivary Gland Physiology Program supports basic and translational research on craniofacial skeletal biology and pathobiology including the physiology of tooth, bone and cartilage, and associated disorders and diseases, saliva and salivary glands, and pharmacogenetics. The goal of the program is to promote interdisciplinary and multidisciplinary approaches to advance the understanding of normal and abnormal processes underlying oral, dental and craniofacial diseases and disorders. 8. The Molecular and Cellular Neuroscience Program supports basic and translational research on orofacial pain and neuropathies, temporomandibular joint and muscle disorders, development of biomarkers for diagnostics and prognostics and development of therapeutics. 9. The Tissue Engineering and Dental and Craniofacial Regenerative Medicine Program supports basic and translational research on the reconstruction, remodeling and repair of the oral and craniofacial tissues damaged as a result of disease or injury. The goal of this scientific program is to promote interdisciplinary and multidisciplinary approaches to engineering of biocompatible oral and craniofacial tissue constructs and their functional integration into the host tissue microenvironment. The program also supports efforts that employ bioengineering approaches for restoration, remodeling and regeneration of diseased and injured native host tissues. 10. The Dental and Biomaterials Program supports basic and translational extramural research on dental

materials and devices, dental implants, biocompatibility of dental restorative materials, and biomaterials for craniofacial reconstruction. 11. The Behavioral and Social Sciences Research Program supports basic and applied BSS research to promote oral health, to prevent oral diseases and related disabilities, and to improve management of craniofacial conditions, disorders and injury. 12. The Center for Clinical Research supports clinical trials, dental practice based research networks, epidemiology research, and health disparities research. The Research Training and Career Development Program insures the future of dental and craniofacial research by developing an outstanding and diverse scientific work force through training and fellowship programs designed primarily for graduate, and post-doctoral stages of education, including dual degree (DDS, PhD) programs, as well as for continued career development of scientists and retraining of mid-career scientists. Diversity fellowships serve to expand the diversity of the scientific work force by supporting the training of predoctoral students from underrepresented groups. The Small Business Innovation Research (SBIR) program seeks to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The Small Business Technology Transfer (STTR) program seeks to stimulate and foster scientific and technological innovation and foster technology transfer through cooperative research and development carried out between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Research Grants: Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation in the oral health sciences. They are awarded to universities, colleges, medical and dental schools, hospitals, and other nonprofit and for-profit institutions. Awards include investigator-initiated project grants, exploratory and developmental grants, small grants, program project grants, center grants, and career development awards. Individual and institutional Dentist Scientist Awards provide support for research career development in both clinical and basic science areas. National Research Service Awards (NRSA) provide support directly to individuals for research training in specified biomedical areas, and can be made to institutions to enable them to accept individuals for research training. Individuals who receive NRSA may be obligated upon termination of the award to comply with service and payback provisions. SBIR Phase I grants (duration of approximately 6 months) provide support to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants support the continuation of the research initiated in Phase I to further develop the commercial products or process initiated in Phase I. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (duration of typically 1 year) support cooperative efforts between small businesses and research institutes to determine the scientific and technical merit, and commercial feasibility of a product or process with potential for commercial application. Phase II funding is based on the results of the research initiated in Phase I and the scientific and technical merit, and commercial potential of the Phase II application.

#### **Applicant Eligibility:**

Grants: Scientists at universities, medical and dental schools, hospitals, laboratories, and other public or private nonprofit and for-profit institutions. NRSA and career development awards: (1) Nonprofit domestic organizations may apply for institutional awards. (2) Individual candidates or applicants must arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. (3) All awardees must be citizens, or non-citizen nationals, of the United States or have been admitted to the United States for permanent residence, except for K99/R00 and T90/R90 grants. (4) To be eligible, postdoctoral NRSA and career development awardees must have a professional or scientific degree (M.D.,

Ph.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Institutional applicants must be able to provide the staff and facilities suitable for the proposed research training. SBIR and STTR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project for SBIR awards. For STTR awards, the small business must "partner" with a research institution in a cooperative research and development project where at least 40 percent of the project is to be performed by the small business and at least 30 percent by the research institution. In both Phase I and Phase II for both SBIR and STTR, the research must be performed in the U.S. and its possessions. To be eligible for funding grant applications must be evaluated for scientific merit and program relevance by a peer scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research.

#### **Credentials/Documentation:**

Grants: Applications for research grants must include the objectives (specific aims), research strategy, significance, innovation, methodology, and resources for the specific project, and must present the relevant background and experience of the applicant. NRSA and career development awards: (1) Individual Candidates: the applicant's academic record, research experience, citizenship, institutional sponsorship, proposed research area, and plan for training, must be included in the application. (2) Institutional Candidates: the application must include the objectives, methodology, and resources for the research training program, the research qualifications and experience of participating faculty in training students and fellows, and the criteria to be used in selecting individuals for support. Costs will be determined in accordance with OMB Circular No. A-87 for State and Local Governments. Costs for for-profit organizations are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other than State and Local Government grantees, costs will be determined by Health and Human Services (HHS) Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, the applicant organization (small business) must present an idea in the research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants: Scientists at universities, medical and dental schools, hospitals, laboratories, and other public or private nonprofit and for-profit institutions. NRSA and career development awards: (1) Nonprofit domestic organizations may apply for institutional awards. (2) Individual candidates or applicants must arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. (3) All awardees must be US citizens or non-citizen nationals of the United States or have been admitted to the United States for permanent residence, except for K99/R00 and T90/R90 grants. (4) To be eligible, postdoctoral NRSA and career development awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Institutional applicants must be able to provide the staff and facilities suitable for the proposed research training. SBIR and STTR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which the research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project for SBIR awards. For STTR awards, the small business must "partner" with a research institution in a cooperative research and

development project where at least 40 percent of the project is to be performed by the small business and at least 30 percent by the research institution. In both Phase I and Phase II for SBIR and STTR awards, the research must be performed in the U.S. or its possessions. To be eligible for funding, grant applications must be evaluated for scientific merit and program relevance by a peer scientific review group and approved by a national advisory council.

**Award Procedure:**

Grants: All accepted applications competing for research project grants, career development awards, and NSRA awards are reviewed by two advisory groups. Primary review is conducted by an initial review group composed of extramural peer scientists, and secondary review by the National Advisory Dental and Craniofacial Research Council. Secondary review of NRSA fellowship applications is conducted by NIDCR staff rather than by the Advisory Council. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate initial review group and by the Advisory Council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Oct 01, 2009: See Other Deadline Information. The deadlines for Funding Opportunity Announcements (RFAs and PAs) are as specified in the published announcements. All new, renewal, resubmission, and revision institutional NRSA (T32, T90/R90): September 25. All new research project (R01, U01) applications: February 5, June 5, and October 5. All renewal, resubmission and revision R01s: March 5, July 5, and November 5. All new career development applications: February 12, June 12, and October 12. All renewal, resubmission and revision career development applications: March 12, July 12, and November 12. New, renewal, resubmission and revision of other research grant applications (R03, R21, R34): March 16, July 16, and November 16. All renewal, resubmission and revision of small business SBIR and STTR applications: April 5, August 5, and December 5. All renewal, resubmission and revision of NSRA individual awards, fellowship series, except diversity fellowships (F30, F32, F33): April 8, August 8, and December 8. All renewal, resubmission and revision of Diversity Fellowship applications (F31): April 13, August 13, and December 13. All renewal, resubmission and revision of conference grant applications (R13/U13): April 12, August 12, and December 12. All renewal, resubmission and revision of Academic Research Enhancement Awards (R15): February 25, June 25, and October 25. All renewal, resubmission and revision of AIDS and AIDS-related applications: May 7, September 7, and January 7.

**Range of Approval/Disapproval Time:**

> 180 Days. Research Project Grants and NSRA: From 6 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

From 90 to 120 days. A Principal Investigator (PI) may question the technical or procedural aspects of the review of his/her application by communicating with the program staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page: [http://grants.nih.gov/grants/peer\\_review\\_process.htm#Appeals](http://grants.nih.gov/grants/peer_review_process.htm#Appeals) and in the Notice: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

> 180 Days. Grants: Applications for approval beyond the approved project period must be submitted at least 6 to 9 months in advance of the termination date. NRSA: Institutional Awards may be made up to 5 years. No individual may receive NIH/NRSA support at the postdoctoral level for more than 3 years, unless a specific waiver is requested and approved.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants: Approval of a project includes a determination of support for the authorized project period (generally not to exceed 5 years). Awards to support the project are made on an annual basis. At the time of initial award, the grant

provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project beyond the approved project period, an application for renewal must be submitted in accordance with the deadline dates and instructions attached to the form. SBIR Phase I awards are generally for 6 months; Phase II awards normally are for 2 years. STTR Phase I awards are generally for 1 year; Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Awards are made annually.

**Reports:**

No program reports are required. No cash reports are required. Annually. Annually. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0873-0-1-550.

**Obligations:**

(Salaries) FY 10 \$303,479,000; FY 11 est \$293,095,000; and FY 12 est \$297,877,000

**Range and Average of Financial Assistance:**

FY2009: research project grants: range \$6,000-\$3,268,000, average \$396,000; NRSA: range \$10,000-\$1,041,000, average \$45,000; SBIR/STTR: range \$97,000-\$1,328,000, average \$301,000. Career development: range \$85,000-\$181,000, average \$122,000.

FY2010: research project grants: range \$2,900-\$5,860,000, average \$417,000; NRSA: range \$15,000-\$1,055,000, average \$41,000; SBIR/STTR: range \$100,000-\$886,000, average \$330,000. Career development: range \$87,000-\$181,000, average \$123,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010: 172 competing research project grants at \$66,491,000. 449 non-competing research project grants at 195,486,000, 28 SBIR/STTR awards at \$8,921,000, 7 research centers at \$16,658,000, 63 career development awards at \$7,722,000, 345 NRSA awards at \$15,882,000, 18 other research grants at \$1,241,000. Fiscal Year 2011: 170 competing research project grants at \$65,241,000. 446 non-competing research project grants at \$191,764,000, 29 SBIR/STTR awards at \$8,928,000, 6 research centers at \$14,460,000, 59 career development awards at \$7,200,000, 291 NRSA awards at \$13,134,000, 17 other research grants at \$1,296,000. Fiscal Year 2012: 160 competing research project grants at \$71,742,000, 442 non-competing research project grants at \$186,420,000, 6 research centers at \$14,690,000, 28 SBIR/STTR awards at \$9,099,000, 63 career development awards at \$7,810,000, 313 NRSA awards at \$16,051,000, 17 other research grants at \$1,164,000. Fiscal Year 2011: 154 competing research project grants at \$60,822,000. 450 non-competing research project grants at \$194,960,000, 29 SBIR/STTR awards at \$9,100,000, 6 research centers at \$15,876,000, 71 career development awards at \$8,835,000, 350 NRSA awards at \$17,137,000, 14 grants at \$1,275,000 other research. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants: 42 CFR 66; 45 CFR 74; NIDCR Grants and Funding website (<http://www.nidcr.nih.gov/GrantsAndFunding/>), NIH Grants website (<http://grants.nih.gov/grants/oe.htm>). Grants will be available under the authority of and administered in accordance with the PHS Grants Policy

Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Alicia Dombroski, 6701 Democracy Blvd.; Room 660, MSC 4878 , Bethesda, Maryland 20892 Email: adombroski@nidcr.nih.gov Phone: (301) 594-4805 Fax: (301) 480-8303.

**Website Address:**

<http://www.hhs.gov>; <http://www.nidcr.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funded projects can be searched at <http://projectreporter.nih.gov/reporter.cfm>. Fiscal Year 2011: No data currently available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The primary criteria for evaluating grant applications include assessment of: (1) the scientific merit, significance and overall impact of the proposed study and its objectives; (2) the competency of the proposed investigator(s) to successfully pursue the project; (3) the innovation and novelty of the concepts, approaches, or methodologies; (4) the technical adequacy of the experimental design and approach; (5) the adequacy of the available proposed facilities and resources; (6) the necessity of the budget components requested in relation to the proposed project; and (7) the relevance and importance to the posted institute program objectives. Also evaluated, where applicable, but not scored are: (1) protections for human subjects; (2) inclusion of women, minorities, and children; (3) animal welfare; and (4) adequate protection of research personnel and/or the environment, biosafety, biocontainment and the security of select agents. In addition, the following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: the potential of the proposed research for commercial application. Phase II grant applications will reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the technological innovation, originality, or societal importance of the proposed research; and (4) the potential of the proposed research for commercial application.

NRSA individual fellowship applications will be evaluated for: (1) overall impact/merit; (2) suitability of the applicant; (3) qualifications of the sponsor(s)/collaborator(s); (4) scientific merit of the research training plan; (5) training potential; and (6) institutional environment and commitment to training. NRSA institutional training grants are assessed for: (1) overall impact; (2) merit of the training program and institutional environment; (3) the experience and success of the training program directors, PIs, and mentors; (4) the trainee recruitment plan and selection; and (5) the training record of the program and/or institution.

Career Development applications will be evaluated for: (1) overall impact; (2) qualifications of the candidate; (3) the career plan and career goals/objectives of the candidate; (4) scientific merit of the research plan. (5) qualifications of the mentor(s), consultant(s) and collaborator(s); and (5) institutional environment and commitment to career development.

**93.123 HEALTH PROFESSIONS PREGRADUATE SCHOLARSHIP PROGRAM FOR INDIANS**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94-437.

**OBJECTIVES:**

To provide scholarships to American Indians and Alaska Natives for the purpose of completing pre-graduate education leading to a baccalaureate degree only in the following areas: (1) Pre-Medicine: priority as follows: senior, junior, sophomore, freshman; (2) Pre-dentistry: priority as follows: senior, junior, sophomore, freshman.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Scholarship awards are limited to persons of American Indian or Alaska Native descent. Support is limited to 4 years of full-time education, or part-time equivalent for a maximum of 8 years.

**Applicant Eligibility:**

Individuals of American Indian or Alaska Native descent, who have successfully completed high school education or high school equivalency, and have been accepted for enrollment or are enrolled in an accredited pre-graduate program in a pre-medicine or pre-dentistry curriculum.

**Beneficiary Eligibility:**

Individuals of American Indian or Alaska Native descent.

**Credentials/Documentation:**

Students must submit proper documentation of Indian eligibility in order to be considered. The applicant's advisor must also provide verification that the courses to be taken are required for an undergraduate curriculum leading to a bachelor's degree in pre-medicine or pre-dentistry curriculum and represents the number of credit hours which the school requires to be full-time or at least 6 hours of part-time study. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application form OMB No. 0917-0006 and instructions are provided by the Indian Health Service and are usually available to interested individuals in February. An application form and required documentation (official transcripts, letter of acceptance by college, curriculum verification, Indian eligibility, tuition verification, faculty evaluations) are submitted to IHS Headquarters for review and approval/disapproval.

**Award Procedure:**

Grants are awarded on a competitive basis. Funding covers only Tuition and Fees. Tuition and fee payments are made to the recipient's college or university.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Management.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation applications must be submitted annually. Continued funding is subject to the availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Tuition payments are paid upon receipt of invoices from the universities. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Students are required to submit their official transcripts as they are received. Initial progress reports are required for each quarter. Notification of Academic Problem/Change is required at any time a problem or change occurs. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

The Indian Health Service Scholarship Program maintains records on all students. Records must be maintained for 4 years after the final payment has been made.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Training) FY 10 \$819,368; FY 11 est \$162,575; and FY 12 est \$195,090

**Range and Average of Financial Assistance:**

FY 2010 - \$21,506 - \$74,604; avg \$30,347

FY 2011 - \$4,078 - \$37,368; avg \$11,518.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.370-36.374. Final Rules and Regulations, the Indian Health Care Improvement Act, Public Law 96-537 (which amends Public Law 94-437, Section 103), published in the Federal Register on February 29, 1984.

**Regional or Local Office:**

None. Program Contact: Dr. Dawn Kelly, IHS Scholarship Program, Indian Health Service, 801 Thompson Avenue, TMP Suite 450A, Rockville, MD 20852. Telephone: (301) 443-6197.

Grants Management Contact: Ms. Tammy Bagley, Grants Policy Officer, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

93.971 Health Professions Preparatory Scholarship Program for Indians; 93.972 Health Professions Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.124 NURSE ANESTHETIST TRAINEESHIPS**

NAT

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII, Section 811(a)(2) of the Public Health Service (PHS) Act, (42 U.S.C. 296j(a)(2)), as amended by Section 5308 of the Patient Protection and Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

Grants are awarded to eligible institutions to provide financial support through traineeships for licensed registered nurses enrolled as full-time students in a master's or doctoral nurse anesthesia program.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

To meet the costs of traineeships that will pay all or part of the costs of tuition, books, fees, and reasonable living expenses for the program for registered nurses to become nurse anesthetists for up to a maximum of 18 months of full-time study. Restricted uses: Indirect costs and trainee travel are not allowed. The Affordable Care Act (ACA) of 2010 removed the No more than ten percent of the traineeship funds under this section may be obligated for individuals in doctoral degree programs restriction.

**Applicant Eligibility:**

Eligible applicants are collegiate schools of nursing, academic health centers, and other private or public nonprofit entities accredited by a recognized body or bodies or State agency, approved for the purpose of nursing education by the Secretary of Education, which provide registered nurses with full-time anesthetist master's or doctoral education and have evidence of accreditation from the American Association of Nurse Anesthetists (AANA) Council on Accreditation of Nurse Anesthesia Education Programs.

**Beneficiary Eligibility:**

Traineeship recipients are selected by the participating institutions. A candidate must be a citizen of the United States, non-citizen national, or foreign national who possesses a visa permitting permanent residence in the United States, be enrolled full-time in an accredited nurse anesthetist master's education program.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov and the HRSA EHBs.

**Award Procedure:**

Notification of award is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 - 8 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Applications may be submitted annually.

**Formula and Matching Requirements:**

Statutory Formula: Formula-Based Program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for (1) year. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Report. No cash reports are required. No progress reports are required.

No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Formula Grants) FY 10 \$1,250,000; FY 11 est \$1,250,000; and FY 12 est \$1,250,000

**Range and Average of Financial Assistance:**

FY 11: Range is \$1,000 - \$47,679; average \$16,447.37  
FY10: Range is \$1,711 - \$41, 983; average \$15,262.45.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: 84 applications submitted; 76 applications recommended and approved for funding. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Ms. Karen Breeden, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 9-61, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5688.

**Headquarters Office:**

Karen Breeden 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857  
Phone: (301) 443-5688

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All eligible applicants are considered in a formula for determined awards. Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study. The applicant nurse anesthetist program must be accredited by the Council on Accreditation of the American Association of Nurse Anesthetists.

**93.127 EMERGENCY MEDICAL SERVICES FOR CHILDREN**

EMS for Children

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XIX, Section 1910, (42 U.S.C. 300w-9); as amended by Section 5603 of The Patient Protection and Affordable Care Act, P.L. 111-148.

**OBJECTIVES:**

To support demonstration projects for the expansion and improvement of emergency medical services for children who need treatment for trauma or critical care.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved project in accordance with Section 1910 of the Public Health Service Act.

**Applicant Eligibility:**

State Governments and Accredited Schools of Medicine.

**Beneficiary Eligibility:**

All children will benefit from the project grants administered by this program, including children from minority groups.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made about 4 months after receipt of applications.

**Appeals:**

Applicants may reapply for support by submitting a revised application.

**Renewals:**

Renewal applications will be accepted.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually, in accordance with the project period method of awarding grants. Payments are made through a Letter of Credit or Cash Demand System. Project periods are generally for up to 3 years, but may be up

to 4 years with an optional 5th year.. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports are required. No cash reports are required. Annual Financial Reports. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$19,528,522; FY 11 est \$19,015,703; and FY 12 est \$21,454,000

**Range and Average of Financial Assistance:**

\$50,070 to \$2,204,999; \$260,514.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: It is estimated that 73 grants and cooperative agreements will be funded that include State Partnership grants (H33); Targeted Issues grants (H34); EMSC Network Development Demonstration Projects (U03); and EMSC Resource Centers (U07). Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Elizabeth A. Edgerton, M.D., M.P.H., Chief, EMSC and Injury Prevention Branch, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-38, 5600 Fishers Lane, Rockville, MD 20857.

**Headquarters Office:**

Elizabeth A. Edgerton, M.D., M.P.H. Maternal and Child Health Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 18-A38, Rockville, Maryland 20857 Phone: (301) 443-1321.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant applications will be reviewed and evaluated by a panel of reviewers experienced in the planning, implementation, and monitoring of emergency medical services and pediatric care. The reviewers will recommend a score for applications; recommend any modifications or conditions to the grant if awarded; and recommend any changes to the proposed budget.

Recommendations of the review panel are presented to the Associate Administrator for MCH. Panel recommendations are advisory only, and the Associate Administrator for MCH will be responsible for final decisions regarding awards. Reviewers will use the criteria and questions described in the section on Categories of Grants: Program Narrative and Review Criteria to evaluate proposals. Applicants are urged to address these criteria as directly as possible in the text of the program narrative.

**93.129 TECHNICAL AND NON-FINANCIAL ASSISTANCE TO HEALTH CENTERS**

State and Regional Primary Care Associations

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Services Act, as amended, Title III, Section 330(l), (42 U.S.C 254b).

**OBJECTIVES:**

To provide necessary technical and non-financial assistance to potential and existing health centers, including: 1) training and assistance in fiscal and program management (program requirements); 2) operational and administrative support (performance improvement); and 3) the provision of information regarding resources available under Section 330 and how they can best be used to meet the health needs to the communities served by potential and existing health centers (program development/analysis).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Recipients will be expected to provide certain technical and non-financial assistance to health centers and other qualified organizations.

**Applicant Eligibility:**

Eligible applicants include public, non-profit, and for-profit entities with expertise in oral health service delivery that can provide technical assistance on a national basis to community-based organizations, including tribal and faith-based organizations.

State and Regional Primary Care Associations that currently work with BPHC-supported programs or other qualified community-based providers with similar missions throughout their State or region, and National Training and Technical Assistance organizations with a focus on specific target audiences.

**Beneficiary Eligibility:**

This program will benefit medically underserved populations.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcements issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, compliance with applicable statutory and regulatory requirements, demonstrated organizational capacity to accomplish the project's goals, and a determination that continued funding would be in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Progress reporting is required. A Federal Financial Report (FFR) is required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$59,900,000; FY 11 est \$74,600,000; and FY 12 est \$66,600,000 - .

**Range and Average of Financial Assistance:**

\$300,000 to \$2,200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Bureau of Primary Health Care, HRSA, 5600 Fishers Lane, Rockville, MD 20857. Eastern Division: 301-594-4488; Central Mid-Atlantic Division; Telephone: (301) 594-4420; Western Division; Telephone: (301) 480-1130.

**Headquarters Office:**

Bureau of Primary Health Care, 5600 Fishers Lane, Room 17-105, Rockville, Maryland 20857 Phone: (301) 443-4300.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants for funding under Section 330 to provide technical and non-financial assistance to health centers will be evaluated on their ability to perform State or regional-specific assistance in the following areas: 1) training and assistance in fiscal and program management (program requirements); 2) operational and administrative support (performance improvement), and 3) program development/analysis. The application should outline specific activities under each core function. These activities must support and advance the HRSA/BPHC mission goals and focus on HRSA/BPHC supported health centers. The extent and type of activities under each core function should depend on demonstrated health centers needs and HRSA/BPHC/State/regional priorities.

**93.130 COOPERATIVE AGREEMENTS TO STATES/TERRITORIES FOR THE COORDINATION AND DEVELOPMENT OF PRIMARY CARE OFFICES**

State Primary Care Offices

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 330(k), 330(m) and 333(d).

**OBJECTIVES:**

To coordinate local, State, and Federal resources contributing to primary care service delivery and workforce issues in the State to meet the needs of medically-underserved populations through health centers and other community-based providers of comprehensive primary care and the retention, recruitment, and oversight of health professions for medically underserved populations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Recipients will be expected to perform State-wide primary care planning and resource coordination, including Medicaid, Children's Health Insurance program, State Offices of Rural Health, Ryan White Area Health Education Centers, Maternal and Child Health, etc.; support health systems development, primary care practitioners retention and recruitment, National Health Services Corps monitoring activities, as well as activities relating to other special



populations including rural populations; and conduct operational and administrative support activities.

**Applicant Eligibility:**

States or territories, political subdivisions of States, agencies of States, or other public entities that operate solely within one State. or represent multiple territories where appropriate.

**Beneficiary Eligibility:**

Medically underserved populations and areas within States will benefit from this program.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

The Division of Independent Review is responsible for managing objective reviews within Health Resources and Services Administration. Applications will receive an objective and independent review performed by a committee of experts. Applications are reviewed for merit and are recommended for approval or disapproval. Each applicant will receive written notification of the outcome of the objective review process, including summary of the expert committee's assessment of the application's merits and weaknesses, and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to conditions placed on their application before funding can proceed. Final decisions are made jointly by the Associate Administrator for Health Professions, the Associate Administrator for Primary Care, and the Associate Administrator for Clinician Recruitment and Service. Letters of notification do not provide authorization to begin performance. The Notice of Grant Award, which is signed by Grants Management Officer and is sent to the applicant's agency's Authorized Representative, is the authorizing document.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Support is recommended for a specified project period, not in excess of 5 years. After initial awards are made, projects may be renewed annually depending on the submission and approval of a satisfactory progress report. Future funding is contingent on the availability of funds for such purposes.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made annually. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Grantees are required to submit annual progress reports. Federal Financial Reports are required no later than 90 days after the end of each budget period. Final federal financial reports and final summary reports are due within 90 days after the end of a project period. See above. See above. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$10,000,000; FY 11 est \$11,000,000; and FY 12 est \$11,000,000 - \$112,000 to \$523,000;.

**Range and Average of Financial Assistance:**

\$112,000 to \$523,000; Average award per recipient \$207,547.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010 53 new awards were funded. Fiscal Year 2011: Fiscal year 2011; It is anticipated that 53 new awards will be funded in FY 11. Fiscal Year 2012: It is anticipated that 53 new awards will be funded in FY 12.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Office of Shortage Designation, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-18, Rockville, Maryland 20857. Telephone: (301) 594-0816.

**Headquarters Office:**

Office of Shortage Designation 5600 Fishers Lane, Room 9A-18, Rockville, Maryland 20874 Phone: (301) 594-0816

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

93.129 Technical and Non-Financial Assistance to Health Centers

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

Applicants will be evaluated in the following areas: (1) Ability to assess and analyze the State's health policy environment, its unmet need for preventive and primary care services, its health care marketplace and its major disparities in health outcomes; and (2) develop and implement strategies and activities to effectively assist health centers and NHSC delivery sites in their response to these State environmental conditions and needs identified.

## 93.134 GRANTS TO INCREASE ORGAN DONATIONS

### FEDERAL AGENCY:

Health Resources and Services Administration, Department of Health and Human Services

### AUTHORIZATION:

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Section 377 of the Public Health Service (PHS) Act, as amended, 42 U.S.C. Section 274f. Clinical Interventions to Increase Organ Procurement (CIOP): Section 377A of the Public Health Service (PHS) Act, as amended, 42 U.S.C. Section 274f-1(b). Social and Behavioral Interventions to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, as amended, 42 U.S.C. Section 274f-1. Public Education Efforts to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, as amended, 42 U.S.C. Section 274f-1. Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation (DTCPIOD): Public Health Service Act, Section 377A, as amended, 42 U.S.C. Section 274f-1(d).

### OBJECTIVES:

To support grants for the purpose of increasing public commitment to organ donation and the number of organs recovered and ultimately transplanted. To that end, the Division of Transplantation has cooperative agreements and grant programs with the following objectives:

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: The purpose of this program is to operate a national system to provide reimbursement of travel and subsistence expenses, and other non-medical expenses that may be authorized by the Secretary to individuals making living donations of their organs.

Clinical Interventions to Increase Organ Procurement (CIOP): This program provides support for the implementation of highly promising research in clinical management of deceased organ donors. The program supports an evaluation of model interventions for identifying appropriate Donation after Neurological Determination of Death (DNDD) and Donation after Circulatory Determination of Death (DCDD) candidates, evaluating donated organs, maintaining donor stability, and optimizing methods for organ procurement. Recent CIOP research requests have focused upon Donor Management Research primarily in DNDD candidates.

Social and Behavioral Interventions to Increase Solid Organ Donation: This program provides support for the implementation and rigorous evaluation of highly promising strategies and approaches for increasing public attitudes, practices and ultimately commitment to organ donation as well as family consent at a relative time of death. Projects may increase the knowledge of options available through living donation among patients who may need transplants and/or individuals considering serving as a living donor, but may not promote living donation.

Public Education Efforts to Increase Solid Organ Donation: The purpose of this program is to support the implementation of public education and outreach programs that show promise of increasing organ donation. Specifically, this program supports the replication of strategies demonstrated in the Divisions grant program Social and Behavioral Interventions to Increase Solid Organ Donation or through other research efforts to be effective in increasing organ donation. The program also supports the implementation of efforts to increase

organ donation that adopt and replicate strategies demonstrated in the public health literature as being effective methods for modifying other health behaviors. The program also supports the implementation of public education and outreach efforts that are based on an established framework for successful public health outreach programs. This grant program is supportive of the Divisions mission to educate the public about deceased and/or living donation and to encourage individuals to document their decision to be a donor in their statewide donor registry or by some other mechanism where a registry is unavailable. Projects may focus on increasing knowledge of opportunities for and the process, risks, advantages and disadvantages of deceased and living donation, but may not promote living donation.

Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation (DTCPIOD): This program supports in the planning of strategic development and implementation of a comprehensive group of programs and professional experiences to increase organ donation and transplantation in the United States.

### TYPES OF ASSISTANCE:

Cooperative Agreements; Project Grants

### USES AND USE RESTRICTIONS:

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Funds made available through this program may not be made available to donating individuals when payment for qualified reimbursement expenses has been made, or can reasonably be expected to be made: (1) under any State compensation program, under an insurance policy, or under any Federal or State health benefits program; (2) by an entity that provides health services on a prepaid basis; or (3) by the recipient of the organ.

Clinical Interventions to Increase Organ Procurement: Funds may not be made available to animal or living donor research, long-term transplantation outcomes research, interventions to increase tissue donation alone, practices related to pronouncement of death, and technologies that do not have sufficient benchmarking.

Social and Behavioral Interventions to Increase Solid Organ Donation Grant Program, Public Education Efforts to Increase Solid Organ Donation, and Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation: Funds under these announcements may not be used for the following purposes: to purchase or improve land, or to purchase, construct, or make permanent improvements to any building except for minor remodeling; to make payments to recipients of services, except for reimbursement of reasonable and allowable out-of-pocket expenses associated with participation in project activities; to support: (a) biomedical and clinical research; (b) the development and/or assessment of the efficacy of new or improved clinical methods of donor management, organ recovery, or organ preservation; (c) fundamental research focused on new or improved evaluation tools and methodologies; (d) fundamental research focused on the development of new behavioral theories relevant to health attitudes, practices, and decision-making; efforts to encourage people to be living organ donors; or (e) interventions inconsistent with existing Federal law; to implement efforts to promote (rather than educate about) living donation; to conduct interventions to increase tissue donation alone; to evaluate clinical outcomes of donation after cardiac death (DCD) organs; to fund staff time devoted to project activities that is being supported by other sources.

All Programs: Funds may not be used for activities that are reimbursable under Medicare. Funds must be used in a manner consistent with program policies developed by DoT and with the HHS Grants Policy Statement, January 1, 2007, available at the HRSA grants web site at <http://www.hrsa.gov/grants>.

### Applicant Eligibility:

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: As specified in Section 377 of the Public Health Service Act, as amended, eligible applicants include States, transplant centers, qualified organ procurement organizations under section 371, or other public or private entities.

Clinical Interventions to Increase Organ Procurement Grant Program (CIOP): As specified in Section 377A (b) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to public and nonprofit private

entities. If the applicant is an OPTN member, and if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members are expected to comply with the final rule governing the operation of the OPTN Section 121.11(b2).

**Social and Behavioral Interventions to Increase Solid Organ Donation Grant Program:** As specified in Section 377A(b) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to public and nonprofit private entities for the purpose of carrying out studies and demonstration projects to increase organ donation and recovery rates, including living donation. If the applicant is an OPTN member, and if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members are expected to comply with the final rule governing the operation of the OPTN Section 121.11(b2).

**Public Education Efforts to Increase Solid Organ Donation:** As specified in Section 377A(b) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to public and nonprofit private entities for the purpose of carrying out studies and demonstration projects to increase organ donation and recovery rates, including living donation. If the applicant is an OPTN member, and if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members involved in the project are expected to comply with the final rule governing the operation of the OPTN Section 121.11(b2).

**Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation:** Eligible applicants include nonprofit private or public entities eligible for funds under Section 377A(b) of the PHS Act as amended, (42 U.S.C. 274f-1[b]). Eligible applicants that are public and nonprofit private entities may include state and local governments, Indian Tribal Governments, institutions of higher education, other nonprofit organizations such as faith-based and community-based organizations and Tribal organizations.

For-profit organizations may participate in a grant project but are not eligible to apply as the applicant institution. If the applicant is an Organ Procurement and Transplant Network (OPTN) member, and/or if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members involved in the project are expected to be in compliance with the final rule governing the operation of the OPTN (42 CFR Part 121), which can be found at [http://www.optn.org/policiesAndBylaws/final\\_rule.asp](http://www.optn.org/policiesAndBylaws/final_rule.asp).

**Beneficiary Eligibility:**

**Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation:** Primary beneficiaries are low/moderate income living organ donors and recipients. All other Programs: Beneficiaries are all organ transplant recipients.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Up to 200 days from application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation Cooperative Agreement is awarded for a 12-month budget period over a four-year period.

Both Clinical Interventions Research grants and Social and Behavioral Research grants are awarded for a 12-month budget period over a three-year period.

Public Education Efforts to Increase Solid Organ Donation are awarded for a 12-month budget period over a two-year period. Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation Cooperative Agreement is awarded for a 12-month budget period over a three-year period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Two progress reports are required in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period. The grantee also submits quarterly updates to HRSA on the number and characteristics of applications received and funded by the Program.

Clinical Interventions to Increase Organ Procurement Grant Program: Two progress reports are required for all awardees in addition annual financial reports. Final progress reports and final financial status reports are due 90 days from the end of the project period.

Social and Behavioral Interventions to Increase Organ Donation Grant Program: Two progress reports are required for all awardees in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period.

Public Education Efforts to Increase Solid Organ Donation: Two progress reports are required for all awardees in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period. No expenditure reports are required. No performance monitoring is required.

Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation: Mid-year and end-of-year progress reports are required. Reports indicate progress on proposed activities and plans for the remainder of the budget period. Awardee will receive information electronically about the specific requirements and formats of the reports, and are required to submit the reports electronically. Further information will be provided in the award notice. A final report is due within 90 days after the project period ends. The final report collects program-specific goals and progress on strategies; core performance measurement data; impact of the overall project; the degree to which the awardee achieved the mission, goal and strategies outlines in the program; awardee objectives and accomplishments; barriers encountered; and responses to summary questions regarding the awardee's overall experiences

over the entire project period. The final report must be submitted on-line by awardees in the Electronic Handbooks (EHBs) at <https://grants.hrsa.gov/webexternal/home.asp>. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Salaries) FY 10 \$1,718,236; FY 11 est \$2,300,000; and FY 12 est \$2,000,000 - Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation Program (Cooperative Agreement). (Cooperative Agreements) FY 10 \$0; FY 11 est \$2,756,942; and FY 12 est \$2,997,744 - Community of Practice (Cooperative Agreement). (Project Grants) FY 10 \$1,531,334; FY 11 est \$11,504,369; and FY 12 est \$1,982,845 - Clinical Interventions to Increase Organ Procurement Grant Program (Project Grants). (Project Grants) FY 10 \$3,128,887; FY 11 est \$3,489,457; and FY 12 est \$4,150,686 - Social and Behavioral Interventions to Increase Organ Donation Grant Program (Project Grants). (Project Grants) FY 10 \$1,866,184; FY 11 est \$2,278,724; and FY 12 est \$2,162,587 - Public Education Efforts to Increase Organ Donation Program (Project Grants).

#### **Range and Average of Financial Assistance:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: one award \$2,00,000  
Clinical Interventions to Increase Organ Procurement Grant Program: \$327,806 to \$655,039; \$396,569  
Social and Behavioral Interventions to Increase Organ Donation Grant Program: \$254,543 to \$369,811; \$319,284.  
Public Education Efforts to Increase Organ Donation: \$232,600 to \$361,175; \$308,941.  
Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation: one award \$2,997,744.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation Program: HRSA, through a competitive process, renewed the cooperative agreement with the Regents of the University of Michigan for another four years on September 1, 2010. The Regents of the University of Michigan in collaboration with the American Society of Transplant Surgeons will continue to operate the Program through the National Living Donor Assistance Center (NLDAC). Through May 2011, the Program facilitated 909 living donor transplants. An additional 212 prospective living donors have been approved for reimbursement pending the organ donation procedures. The median household income for transplant recipients who received an organ facilitated by NLDAC is \$25,476. On August 2, 2011, NLDAC received its 2,000th application since the Program was launched on October 7, 2007. On July 7, 2011, ASAE awarded the 2011 Power of A Gold Award to the Program for the Power to Enrich Lives.  
Clinical Interventions to Increase Organ Procurement Grant Program: Grants funded for FY 2007-2010 demonstrated the difficulties involved in achieving kidney transplantation via Uncontrolled Donation following Circulatory Determination of Death (UDCDD). Delay in instituting the UDCDD protocol resulted from governmental (City, State and Federal) concerns regarding consent, declaration of death and possible neurological reanimation via

reinstitution of cardiopulmonary support after declaration of circulatory death. A major accomplishment of the CIOP grant program resulted in three successful donation after circulatory determination of death heart transplants from neonates born with birth asphyxia into infants with failing hearts. Publication of the results stimulated considerable academic discussions regarding the protocol and ethics of UDCDD heart transplantation.

Social and Behavioral Interventions to Increase Solid Organ Donation Grant Program: Studies funded through this grant program have resulted in the identification of several successful approaches to increase organ donor registration and family consent for donation at time of death. Many of the current organ donation best practices evolved from projects funded under this grant program, including the use of in-house organ donation coordinators in large trauma centers, the use of like-requestors, the presumptive approach to consent and various educational interventions involving both the general public and medical and other professionals that demonstrated effective approaches to increase the intent and consent to become an organ donor. Many of these best practices have been widely disseminated through a series of HHS-sponsored Breakthrough Collaboratives that began in 2003. As a result of these efforts and other efforts of HHS and the donation community, the number of deceased organ donors increased 24% from the end of 2003 to the end of 2008. In contrast, the rate of increase for the previous 5-year period was 12%. In addition to direct transfer of best practices through the Breakthrough Collaboratives, findings from grants funded through this program have been widely disseminated through presentations and publications, including more than 81 journal articles.

Public Education Efforts to Increase Solid Organ Donation: This 2-year grant program began in FY 2007 with four funded grants with 15 additional grants funded in FY 2008 through FY 2011. Preliminary findings show positive outcomes, including several projects that resulted in a significant number of new donor registrations.

Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation: Fiscal Year 2010 N/A, Fiscal Year 2011 No Current Data Available Fiscal, Year 2012 No Current Data Available. Fiscal Year 2011: No data available. Fiscal Year 2012: No data available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

#### **Regional or Local Office:**

See Regional Agency Offices. Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Mesmin Germain, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-0053.

Clinical Interventions to Increase Organ Procurement Grant Program: Bernard Kozlovsky, MD, MS, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-0565.

Social and Behavioral Interventions to Increase Organ Donation Grant Program and Public Education Efforts to Increase Solid Organ Donation: Rita Maldonado, MPH, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-3622.

Public Education Efforts to Increase Solid Organ Donation: Rita Maldonado, MPH, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06,

Rockville, MD 20857. Telephone: 301-443-3622.

Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation: Teresa Beigay, DrPH, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-5464.

**Headquarters Office:**

Division of Transplantation, 5600 Fishers Lane, Room 12-105, Rockville, Maryland 20857 Phone: (301) 443-3300.

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation Program (FY 2010 through FY 2013): HRSA awards a cooperative agreement to the Regents of the University of Michigan to continue the operations of the National Living Donor Assistance Center to provide reimbursement of travel and subsistence expenses to living organ donors who meet the program eligibility guidelines. Transplant centers screen prospective donors for program eligibility requirements and submit applications and supporting documents to the program on behalf of their prospective donors.

Clinical Interventions to Increase Organ Donation Grant Program: Fiscal Year 2010: No new grants were funded; Fiscal Year 2011: No Current Data Available; Fiscal Year 2012: No Current Data Available

Social and Behavioral Interventions to Increase Organ Donation: FY 2010 funded projects include social and behavioral interventions to promote awareness of the need for donors and commitment to organ donation through the workplace, in schools, on Native American Indian reservations, in departments of motor vehicles, and in other community settings, projects to increase the knowledge of living donation among patients waiting for an organ, family members and the public, and one project to increase donor registration among people 50 to 70 years old. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

Public Education Efforts to Increase Solid Organ Donation Grant Program: FY 2010 funded projects under this grant program include a replication in Illinois of a successful project that used trained volunteers to increase donation enrollments at DMV sites, a project creating an online game promoting organ donation, and a project improving dialysis providers ability to educate dialysis patients about living donation. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation: Fiscal Year 2011 No Current Data Available, Fiscal Year 2012 No Current Data Available. Fiscal Year 2011: No data available. Fiscal Year 2012: No data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Please refer to the Program Guidance.

**93.135 CENTERS FOR RESEARCH AND DEMONSTRATION FOR HEALTH PROMOTION AND DISEASE PREVENTION**

(Prevention Research Centers)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Part 330u-5, Section 1706.

**OBJECTIVES:**

To: (1) To establish, maintain, and operate academic-based centers for high-quality research and demonstration with respect to health promotion and disease prevention; (2) to establish linkages, where applicable, between ongoing, basic research in a wide array of fields and applied research in disease prevention and health promotion; (3) to bring the knowledge and expertise of

academic health centers to bear on practical public health problems; (4) to field test and rigorously evaluate more cost-effective methods and strategies for preventing unnecessary illness and promoting good health; and (5) to shorten the time lag between the development of new and proven effective disease prevention and health promotion techniques and their widespread application. 6) to involve the community in the development, conduct, and implementation of prevention research.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are available for costs directly attributed to the performance of research and demonstration projects pertaining to health promotion and disease prevention plus certain indirect costs of the grantee in accordance with established policies of the Public Health Service. Grantees may not award subgrants but may enter into consortia agreements or contracts as necessary to achieve the aims of the program.

**Applicant Eligibility:**

Eligible applicants are accredited schools of medicine, schools of osteopathy, and schools of public health as defined in Section 701 (4) of Public Health Service Act.

**Beneficiary Eligibility:**

Academic health centers, scientist/researchers, operational public health programs, targeted high risk groups, selected demonstration areas, and the general public.

**Credentials/Documentation:**

Costs will be determined in accordance with HHS Regulations, 45 CFR 74. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity, use application form SF 424. Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341.

**Award Procedure:**

Approved grants are funded based on priority score ranking from a scientific review, as well as availability of funds, secondary review and such other significant factors deemed necessary and appropriate by the agency. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 5152-1) indicates support recommended for remainder of project period, allocations of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From six to nine months.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal will be reviewed in the same manner as new applications and will compete for available funds with other applications.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

This program does not have MOE requirements. The Prevention Research

Centers Program does not receive allocations over \$100 million in the fiscal year.

**Length and Time Phasing of Assistance:**

From one to five years (renewable, based on competitive applications and availability of funds). See the following for information on how assistance is awarded/released: Lump sum unless there are funding restrictions due to pending issues (e.g., IRB concerns.).

**Reports:**

Interim progress (annually); final progress report (three months after end of project); and reprints and copies of resulting publications. No cash reports are required. Interim progress (annually); terminal progress report (three months after end of each budget period; and final progress report (three months after the end of the project period; and reprints and copies of resulting publications. Financial status reports (annual). Interim progress (annually).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, including documents to support entries on accounting records and substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$2,138,000; FY 11 est \$2,817,000; and FY 12 est \$2,900,000 - This fiscal information relates to the funding of salaries and benefits for the federal staff responsible for managing and monitoring the research activities of the 37 centers funded by CDC. (Cooperative Agreements) FY 10 \$28,000,000; FY 11 est \$23,000,000; and FY 12 est \$18,000,000 - The FY 2010 are actual funds awarded to Prevention Research Centers for core research awards only, no special interest project awards were included. The fiscal year 2011 estimate includes funding for only core research awards, no special interest project.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: For program accomplishments, please see the PRC program website: [www.cdc.gov/prc](http://www.cdc.gov/prc). Fiscal Year 2011: For program accomplishments please see the PRC program website: [www.cdc.gov/prc](http://www.cdc.gov/prc). Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eduardo Simoes, 4770 Buford Highway, MS K-45, Atlanta, Georgia 30341  
Email: [esimoes@cdc.gov](mailto:esimoes@cdc.gov) Phone: (770) 488-5586.

**Website Address:**

<http://www.cdc.gov/prc>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: For examples of funded projects, please see the PRC program website: [www.cdc.gov/prc](http://www.cdc.gov/prc). Fiscal Year 2011: For examples of funded projects, please see the PRC program website: [www.cdc.gov/prc](http://www.cdc.gov/prc). Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Prevention Research Center applications are reviewed on the basis of scientific/technical merit, with attention given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as depth, breadth, and scientific merit of the overall application relative to the types of research and demonstration projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed prevention research projects and demonstration projects, and the nation's health priorities and needs; (3) ability to generalize, translate and disseminate to State or local health departments, boards of education and other appropriate national regional, and local public health agencies and organizations; (4) reasonableness of the proposed budget in relation to the work proposed.

**93.136 INJURY PREVENTION AND CONTROL RESEARCH AND STATE AND COMMUNITY BASED PROGRAMS**

National Center for Injury Prevention and Control

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 317, 391, 392, 393, and 394, as amended, 42 U.S.C. 241.

**OBJECTIVES:**

RESEARCH GRANTS: (1) To support injury control research on priority issues; (2) to integrate aspects of engineering, public health, behavioral sciences, medicine, engineering, health policy, economics and other disciplines in order to prevent and control injuries more effectively; (3) to rigorously apply and evaluate current and new interventions, methods, and strategies that focus on the prevention and control of injuries; (4) to stimulate and support Injury Control Research Centers (ICRCs) in academic institutions which will develop a comprehensive and integrated approach to injury control research and training; and (5) to bring the knowledge and expertise of ICRCs to bear on the development of effective public health programs for injury control. STATE AND COMMUNITY PROGRAM GRANTS/COOPERATIVE AGREEMENTS: (1) To develop and evaluate new methods or to evaluate existing methods and techniques used in injury surveillance by public health agencies; and (2) to develop, expand, or improve injury control programs to reduce morbidity, mortality, severity, disability, and cost from injuries.

TYPES OF ASSISTANCE:

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Funds are available for costs directly attributed to the performance of research and demonstrations of surveillance or interventions/evaluations programs pertaining to injury prevention and control plus certain direct costs of the grantee in accordance with established policies of the Public Health Service. Grantees may not award subgrants but may enter into contracts as necessary to achieve the aims of the program.

**Applicant Eligibility:**

For INJURY PREVENTION AND CONTROL RESEARCH PROGRAMS, AND INJURY CONTROL RESEARCH CENTERS: Eligible applicants may include any nonprofit or for-profit organization; for STATE AND COMMUNITY PROGRAM GRANTS/COOPERATIVE AGREEMENTS: State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau) and political subdivisions of States (in consultation with States), Federally recognized or state-recognized American Indian/Alaska Native tribal governments, American Indian/Alaska native tribally designated organizations, Alaska Native health corporations, Urban Indian health

organizations, Tribal epidemiology centers; for COMMUNITY-BASED PROGRAMS: public, private, nonprofit and for-profit organizations may be eligible.

**Beneficiary Eligibility:**

FOR RESEARCH GRANTS: Academic health centers, scientist/researchers, operational public health programs, State and local governments, and public and private organizations involved in injury research. FOR STATE AND COMMUNITY-BASED GRANTS AND COOPERATIVE AGREEMENTS: State and local health departments, and community-based organizations.

**Credentials/Documentation:**

For all nonprofit grantees, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. For-profit organizations' costs are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate. Funding Opportunity Announcements for this program are posted on [www.Grants.gov](http://www.Grants.gov), the official federal agency wide e-grant Web site. Application forms and instructions specific to each announcement are posted at that site. Electronic Submission: CDC strongly encourages the applicant to submit applications electronically by utilizing the forms and instructions posted on [www.Grants.gov](http://www.Grants.gov). Registering your organization through [www.Grants.gov](http://www.Grants.gov) is the first step in submitting applications online. Registration information is located in the "Get Started" screen of [www.Grants.gov](http://www.Grants.gov) and the one-time registration process will take three to five days to complete. While application submission through [www.Grants.gov](http://www.Grants.gov) may be optional for various announcements, we strongly encourage you to use this online tool. Please visit [www.Grants.gov](http://www.Grants.gov) at least 30 days prior to filing your application to familiarize yourself with the registration and submission processes. We suggest submitting electronic applications prior to the closing date so if difficulties are encountered, you can resolve them prior to the deadline. For further assistance contact GrantsInfo, Telephone: (301) 435-0714, E-mail: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). For the hearing impaired: TTY (770) 488-2783. If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at: (770) 488-2700. DUNS Number: Applications must have a Dun and Bradstreet (D&B) Data Universal Numbering System number as the universal identifier when applying for Federal grants or cooperative agreements. The D&B number can be obtained by calling (866) 705-5711 or through the web site at <http://www.dnb.com/us/>.

**Award Procedure:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff, and for responsiveness by the National Center for Injury Prevention and Control and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application. FOR RESEARCH GRANTS: Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by NCIP in accordance with the review criteria stated below. All applications will: undergo a selection process in which only those applications deemed to have the highest scientific merit, generally the top half of applications under review, will be discussed and assigned a priority score; receive a written critique; receive a second level of review by the Board of Scientific Counselors. FOR NON-RESEARCH GRANTS/COOPERATIVE

AGREEMENTS: Applicants are required to provide measures of effectiveness that will demonstrate the accomplishment of the various identified objectives of the grant or cooperative agreement. Measures of effectiveness must relate to the performance goals stated in the "Purpose" section of the announcement. Measures must be objective and quantitative and must measure the intended outcome. The measures of effectiveness must be submitted with the application and will be an element of evaluation. An objective review panel will evaluate complete and responsive applications according to the criteria listed. The objective review process will follow the policy requirements as stated in the GPD 2.04, <http://198.102.218.46/doc/gpd204.doc>.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days. Renewals are made by competitive applications and reviews.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

From one to five years (noncompeting renewals based on availability of funds). Method of awarding/releasing assistance: lump sum.

**Reports:**

Equipment inventory (three months after end of project); invention statement (annual) and reprints and copies of resulting publications. No cash reports are required. Interim progress report (annual) and final performance report (three months after end of project). For Injury Control Research Centers, an annual progress report is also required. For Applied Methods in Surveillance, and State and Community-Based Injury Control Programs, semi-annual progress reports are also required. Financial status reports (annual). Final performance report (three months after end of project). For Injury Control Research Centers, an annual progress report is also required. For Applied Methods in Surveillance, and State and Community-Based Injury Control Programs, semi-annual progress reports are also required. Site visits performed as needed/required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$116,700,817; FY 11 est \$101,957,563; and FY 12 est \$101,957,563

**Range and Average of Financial Assistance:**

Injury Control Research Centers: \$920,000. Injury Control Research Projects:

\$200,000 to \$300,000; \$250,000. State and Community Based Injury Control Programs: \$40,000 to \$300,000; \$170,000. Youth Violence Prevention Programs: \$150,000 to \$425,000; \$275,000. Violence Against Women Community-based Demonstration Programs: \$85,000 to \$800,000; \$600,000. Applied Research for Traumatic Brain Injury: \$100,000 to \$150,000; \$125,000. Surveillance and Traumatic Brain Injury Follow-up Registry: \$16,000 to \$500,000; \$258,000. Other Unintentional Injuries: \$50,000 to \$1,050,000; \$550,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, CDC continued to provide technical assistance and grant funds to 11 ICRCs and RO1 Grantees to conduct applied research in injury prevention and control. For Community Based Grant Programs CDC continued to fund such projects as: youth violence, violence against women, child maltreatment, poison and teen dating. Fiscal Year 2011: In fiscal year 2011, CDC will again provide technical assistance and grant funds to numerous Injury Control Research Centers (ICRCs) and RO-1 Grantees. CDC will continue to provide Community-Based Grant Programs to fund projects to support youth violence; violence against women; child maltreatment; poison and teen dating. Fiscal Year 2012: Fiscal years 2012 awards are expected to support the same injury-related areas as in fiscal year 2011.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; basic grant administration policies of DHHS and PHS are also applicable, 45 CFR 74 and 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

#### **Regional or Local Office:**

None. Injury Control Research Centers: Adele Childress, Program Manager, National Center for Injury Prevention and Control, Centers for Disease Control and Prevention (F63), 4770 Buford Hwy. NE Atlanta, Georgia 30341-3724 ahc0@cdc.gov. Telephone: (770) 488-4233 FAX: (770) 488-1670. R-01 Awards: JoAnn Thierry, Program Manager, National Center for Injury Prevention and Control, Centers for Disease Control and Prevention (F63), 4770 Buford Hwy. NE Atlanta, Georgia 30341-3724 jxt4@cdc.gov. Telephone: (770) 488-1556 FAX: (770) 488-1670. Community- Based Grant Programs Robin Forbes, Public Health Advisor, Resource Management Team, National Center for Injury Prevention and Control, Centers for Disease Control and Prevention (F63), 4770 Buford Hwy. NE Atlanta, Georgia 30341-3724 rjf0@cdc.gov. Telephone: (770) 488-1324 Fax: (770) 488-1662.

#### **Headquarters Office:**

Robin J. Forbes, 4770 Buford Hwy NE, MS-F63, Atlanta, Georgia 30341-3724 Email: rjf0@cdc.gov Phone: (770) 488-1324.

#### **Website Address:**

<http://www.cdc.gov>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) Injury Control Research Centers (ICRC) have undertaken a broad range of work to address injury-related topics. (2) Funded Injury Prevention and Control Research Projects address priority research concerns with a focus on traumatic brain injuries, childhood injuries, acute injury care, suicide, and poisoning. As examples, researchers are investigating the mechanism of traumatic brain injury due to impact, other investigators are defining risk factors for intimate partner violence and another group is evaluating the effectiveness of trauma systems. (3) Surveillance programs address E- coded hospital discharge data; model surveillance systems to address nonfatal injuries resulting from intentional and unintentional injuries. (4) Community-Based Grant Programs focus on motor vehicle safety, older adult falls, youth violence, teen dating and child maltreatment prevention. Fiscal Year 2011: (1) Injury Control Research Centers (ICRC) will continue to undertake a broad range of work to address injury-related topics. (2) Funded Injury Prevention and Control Research Projects address priority research concerns with a focus on traumatic brain injuries, childhood injuries, acute injury care, suicide, and poisoning. As examples, researchers are investigating the mechanism of traumatic brain injury due to impact, other investigators are defining risk factors for intimate partner violence and another group is

evaluating the effectiveness of trauma systems. (3) Surveillance programs address E- coded hospital discharge data; model surveillance systems to address nonfatal injuries resulting from intentional and unintentional injuries. (4) Community-Based Grant Programs focus on motor vehicle safety, older adult falls, youth violence, teen dating and child maltreatment prevention. Fiscal Year 2012: No Current Data Available.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed on the basis of scientific/technical merit, with attention being given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as richness, breadth, and scientific merit of the overall application relative to the types of research, demonstrations, and special projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed activities; (3) feasibility and likelihood of producing meaningful results based on the significance of the proposed activities and relevant evaluation procedures; (4) overall match between the proposed programs and the nation's health priorities and needs; and (5) reasonableness of the proposed budget in relation to the work proposed.

#### **93.137 COMMUNITY PROGRAMS TO IMPROVE MINORITY HEALTH GRANT PROGRAM**

Community Partnership

#### **FEDERAL AGENCY:**

Office of Minority Health, Department of Health and Human Services

#### **AUTHORIZATION:**

OMH is authorized to conduct this program under 42 U.S.C. Section 300 u-6, Section 1707 of the Public Health Service Act, as amended.

#### **OBJECTIVES:**

To support minority community health coalitions to develop, implement, and conduct demonstration projects which coordinate integrated community-based screening and outreach services, and include linkages for access and treatment to minorities in high-risk, low-income communities; and to support minority community health coalitions involving non-traditional partners in carrying out projects to increase the educational understanding of HIV/AIDS, increase testing, and improve access to HIV/AIDS prevention and treatment services.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds are to be used to conduct collaborative efforts to modify the behavioral and/or environmental conditions which are implicated in the health problems of minority groups: for example, cancer; cardiovascular disease and stroke; chemical dependency; diabetes; homicide, suicide, and unintentional injuries; infant mortality; human immunodeficiency virus (HIV) infection and acquired immunodeficiency syndrome (AIDS). These projects are to address socio-cultural and linguistic barriers to care and should have the potential for replication in similar communities. Funds are not to be used for the provision of health care services, construction, augmentation of ongoing Office of Minority Health (OMH) supported demonstrations, or to supplant ongoing project activities.

#### **Applicant Eligibility:**

Eligible applicants are private nonprofit community-based minority serving organizations which will serve as the grantee organization for the coalition. Faith based organizations are eligible to apply.

#### **Beneficiary Eligibility:**

Members of minority groups: American Indians or Alaska Natives; Asians; Blacks or African Americans; Hispanics or Latinos; Native Hawaiians or other Pacific Islanders; or subgroups of these populations.

#### **Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should



consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All open grant opportunities are posted on [www.grants.gov](http://www.grants.gov). Additional information and application kits may be requested by calling 240-453-8822 or writing to: Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 90 to 120 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Grant projects can have a 3-year project period with 12-month budget periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant projects can have a 3-year project period with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash request basis or under a letter of credit. Necessary instructions regarding payment procedure will be provided at the time the notice of grant award is issued. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular

3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 10 \$2,220,000; FY 11 est \$0; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$100,000-\$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Twenty-three organizations were funded through this program, these organizations ascertained the effectiveness of collaborative community-based interventions that were implemented at the grassroots level, on reducing health disparities among racial and ethnic minority populations. They demonstrated the effectiveness of the collaborative partnership approach in developing, implementing and conducting demonstration projects in high-risk minority communities, reducing social, cultural and linguistic barriers to health care and implementing/adapting existing promising practices as model programs for targeted minority communities. This program concluded with FY-10 funding. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Management Contact: Office of Minority Health, Division of Program Operations, 1101 Wootton Parkway, Suite 600, Rockville, MD 20852. Telephone: (240) 453-8444. Grants Management Contact:, Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: [eric.west@hhs.gov](mailto:eric.west@hhs.gov) Phone: (240) 453-8822.

**Website Address:**

<http://www.omhrc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: (1) consistency of project's goals and objectives with the Office of Minority Health's mission; (2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; (3) strength of proposed grant organization's management capability; (4) adequacy of qualifications, experience and cultural competence of proposed personnel; and (5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.138 PROTECTION AND ADVOCACY FOR INDIVIDUALS WITH MENTAL ILLNESS**

PAIMI

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Protection and Advocacy for Individuals with Mental Illness Act of 1986, 42 U.S.C 10801, et seq.; Developmental Disabilities Assistance and Bill of Rights Act, as amended October 30, 2000, 42 U.S.C 6041 et seq.

**OBJECTIVES:**

To enable the expansion of the Protection and Advocacy system established in

each State to: (1) Protect and advocate the rights of individuals with mental illness; (2) investigate incidents of abuse and neglect of individuals with mental illness if the incidents are reported to the system or if there is probable cause to believe that the incidents occurred; (3) investigate incidents of serious injury and deaths in public and private care and treatment facilities and non-medical community-based facilities for children and youth; and (4) to receive reports of all serious injuries and deaths related to incidents of seclusion and restraint in public and private care and treatment facilities in the States and Territories.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to assist in meeting the costs of planning, developing, expanding, and implementing activities to support attainment of the protection and advocacy goals. Grant funds must supplement, not supplant, nonfederal funds available in the State in which the protection and advocacy system is established. Not more than 10 percent of an allotment can be used for providing technical assistance and training for staff, and a system which is a public entity cannot be required by the State to obligate more than 5 percent of the allotment for administrative expenses.

**Applicant Eligibility:**

State and local government agencies, public or private organizations designated by the Governor under Part C of the Developmental Disabilities Assistance and Bill of Rights Acts as systems to protect and advocate the rights of persons with developmental disabilities in that State.

**Beneficiary Eligibility:**

Individuals with significant mental illness or severe emotional impairment (children) who are at risk for abuse, neglect, or civil rights violations while residing in care or treatment facilities have service priority. Persons with significant mental illness and severe emotional impairment living in the community, including their own home, may be served as determined by their state protection and advocacy systems PAIMI program funded priorities and objectives and available resources includes persons who are in the process of being admitted to a facility rendering care or treatment, persons being transported to such a facility, or persons who are involuntarily confined in a municipal detention facility, jails, or prisons.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-110 for non-profit organization. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An annual application is required in accordance with 42 CFR Part 51.

**Award Procedure:**

Grants are directly awarded by the Center for Mental Health Services to the system established in the State to protect and advocate the rights of persons with developmental disabilities, as outlined in the "Developmental Disabilities Assistance and Bill of Rights Act of 2000", as amended October 30, 2000 by Public Law 106-420 (45 USC 6041 et seq.) .

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 42, Part 51, Public Law 106-420.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation over a 24-month period; payments are made through an Electronic Transfer System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for at least 3 years after the date of submission of required financial status reports.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Formula Grants) FY 10 \$35,652,400; FY 11 est \$35,581,095; and FY 12 est \$35,652,400

**Range and Average of Financial Assistance:**

\$230,300 - \$3,140,608; \$624,230.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 57 awards were made. Fiscal Year 2011: 57 awards were made. Fiscal Year 2012: It is estimated 57 awards will be made in fiscal year 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HHS Grants Policy Statement, 45 CFR 1386 Subpart B (DD regulations) and 42 CFR 51 (PAIMI regulations), Notice of Proposed Rulemaking FR 59739: 64367ff, December 14, 1994, 45 CFR 92 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 45 CFR 74 Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Simmons 1 Choke Cherry Road, 7-1091, Rockville, Maryland 20857  
Email: virginia.simmons@samhsa.hhs.gov Phone: 240-276-1422 Fax: 240-276-1430

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for allotments must fulfill statutory requirements.

**93.142 NIEHS HAZARDOUS WASTE WORKER HEALTH AND SAFETY TRAINING**

Superfund Worker Training Program

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Superfund Amendments and Reauthorization Act of 1986, as amended, Title I, Section 126, Public Law 99-499; Public Health Service Act, Section 405(b)(1)(C), as amended, Public Law 99-158.

**OBJECTIVES:**

To provide cooperative agreements and project grant support for the development and administration of model worker health and safety training programs consisting of classroom and practical health and safety training of workers and their supervisors, who are engaged in activities related to hazardous materials, hazardous waste generation, treatment, storage, disposal, removal, containment, transportation, or emergency response. To assist organizations in the development of institutional competency to provide appropriate training and education to hazardous waste workers.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Cooperative agreements and project grants are intended to support the direct costs of a project, in accordance with an approved budget, plus indirect costs at a pre-established rate. Both the award and use of funds are subject to applicable provisions of basic statutory authorities, appropriations acts, pertinent regulations, and operating policies of the National Institute of Environmental Health Sciences (NIEHS), the National Institutes of Health (NIH), and the Department of Health and Human Services (DHHS).

**Applicant Eligibility:**

A public or private nonprofit entity, including tribal governments, that provide worker health and safety education and training, may submit an application and receive a cooperative agreement or project grant for support of waste worker education and training by a named principal investigator. Recipients/grantees may use services, as appropriate, of other public or private organizations necessary to develop, administer, or evaluate proposed worker training programs, as long as the requirement for awards to nonprofit organizations is not violated. Nonprofit organizations which are incorporated under 501(c)(4) are prohibited from receiving grants.

**Beneficiary Eligibility:**

Any public or private entity providing worker safety and health education and training will benefit from this program.

**Credentials/Documentation:**

Applications must be signed by appropriate officials of the submitting institution. Costs will be determined in accordance with OMB Circular A-21 for universities, and A-122 for private nonprofit other than universities. For other recipient/grantees, costs will be determined by HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms and instructions for their submission are available from the Office of Extramural Outreach and Information, National Institutes of Health, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714; e-mail: ASKNIH@odrockml.od.nih.gov and the National Institute of Environmental Health Sciences (MD 3-01), P.O. Box 12233, 104 Alexander Drive, Research Triangle Park, NC 27709. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program by those applicants that are State and local units of government. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate.

**Award Procedure:**

As required in HHS Regulations, 42 CFR Part 65, applications will be reviewed administratively by NIEHS staff for completeness and responsiveness to the program announcement. Applications then will be reviewed on a competitive basis for technical merit by an ad hoc review committee composed primarily of non-government members with expertise in occupational safety and health

training and hazardous waste operations convened by the NIEHS. A second level of review will be conducted by the National Advisory Environmental Health Sciences Council. This second level of review will be for program relevance. The final approval of these recommendations and decisions concerning funding is made by the Director, National Institute of Environmental Health Sciences (NIEHS) or, if in conflict, by appropriate NIH staff. Formal award notices are sent to successful applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 8 to 9 months.

**Appeals:**

> 180 Days. A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

> 180 Days. Renewal awards are subject to the same criteria as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Full program cooperative agreements may be awarded for up to 5 years, generally in 12-month budget periods. Funds are released primarily on the basis of an Electronic Transfer System. The Request for Application announcement is expected to be release in the summer of 2013. See the following for information on how assistance is awarded/released: Funds are released primarily on the basis of an Electronic Transfer System.

**Reports:**

A detailed annual cooperative agreement or project grant summary report is required with the renewal application for all program recipients/grantees. Annual and final progress reports, and financial status reports are required for all awardees. Cash reports are not applicable. A detailed annual cooperative agreement or project grant summary report is required with the renewal application for all program recipients/grantees. Annual and final progress reports, and financial status reports are required for all awardees. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial and program records must be retained for 3 years from the day on which the awardee submits the final financial status report for the report period.

**Account Identification:**

75-0862-0-1-552.

**Obligations:**

(Cooperative Agreements) FY 10 \$27,131,000; FY 11 est \$27,131,000; and FY 12 est \$27,813,000 - Reimbursable funding from the oil spill are not reported.

**Range and Average of Financial Assistance:**

Range: \$80,472 to \$3,475,410  
Average: \$875,193.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; NIH Guide to Grants and Contracts; NIH Grants Policy Statement October 1, 2010. Other publications, information, and applications and kits are available from the Office of Extramural Research, Outreach and Activities Resources, National Institutes of Health, Bethesda, MD 20892, and the NIEHS (MD EC-22), P.O. Box 12233, 111 Alexander Drive, Research Triangle Park, NC 27709.

**Regional or Local Office:**

None. Headquarters Office: Program Contact: Mr. Joseph T. Hughes, Jr., Program Director, Worker Education and Training Program, National Institute of Environmental Health Sciences, National Institutes of Health, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-0217, E-mail: Hughes3@niehs.nih.gov. Grants Management Contact: Pamela B. Clark, Grants Management Specialist, Grants Management Branch, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-7629, E-mail: evans3@niehs.nih.gov.

**Headquarters Office:**

Benigno Encarnacion, 111 TW Alexander Drive, Research Triangle Park, North Carolina 27709 Email: encarna1@niehs.nih.gov Phone: (919) 541-5147.

**Website Address:**

<http://www.niehs.nih.gov/careers/hazmat/index.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: WETP developed and implemented services to Spanish-speaking workers - meeting their needs for training they can understand and implement. The WETP prepared for disasters that are certain to occur; for example, curricula and trainers are being prepared for the requirements of a long-term response to a major, chemical disaster. And the WETP continued to maintain a gold standard of safety and health training - real hands-on and classroom training that our evaluations show reduces occupational death, disease, and injury. Fiscal Year 2011: During the current year (2011), WETP will continue to develop and implement services to Spanish-speaking workers - meeting their needs for training they can understand and implement. The WETP will continue to prepare for disasters that are certain to occur; for example, curricula and trainers are being prepared for the requirements of a long-term response to a major, chemical disaster. And the WETP will continue to maintain a gold standard of safety and health training - real hands-on and classroom training that our evaluations show reduces occupational death, disease, and injury. Fiscal Year 2012: During FY 2012 WETP will continue to develop and implement services to Spanish-speaking workers - meeting their needs for training they can understand and implement. The WETP will continue to prepare for disasters that are certain to occur; for example, curricula and trainers are being prepared for the requirements of a long-term response to a major, chemical disaster. And the WETP will continue to maintain a gold standard of safety and health training - real hands-on and classroom training that our evaluations show reduces occupational death, disease, and injury.

**CRITERIA FOR SELECTING PROPOSALS:**

The following factors considered for applications for full program cooperative agreements include: (1) Methods and techniques to be used for identifying, describing, and accessing target worker populations and anticipated impact of the proposed program; (2) evidence of the organization's performance and effectiveness in planning, implementing and operating appropriate worker health and safety training and education programs; (3) adequacy of the detailed program plan for curricula development, training of instructors, distribution of course materials, and direct student training; (4) technical and professional expertise of the proposed program director, present or proposed staff, and consultants; (5) methods proposed for evaluating appropriateness, quality, and effectiveness of training; (6) availability of appropriate facilities and equipment to support the described educational and training activities including hands-on

instruction and demonstration; (7) evidence of the organization's past performance and effectiveness in planning, implementing, and operating training and education programs for workers; (8) the likelihood that the program will continue beyond the grant period; and (9) reasonableness of the proposed program activities.

**93.143 NIEHS SUPERFUND HAZARDOUS SUBSTANCES\_BASIC RESEARCH AND EDUCATION**

NIEHS Superfund Research Program

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Superfund Amendments and Reauthorization Act of 1986, Title I, Section III, and Title II, Section 209, Public Law 99- 499, as amended; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, Section 311(a), Public Law 96-510; Public Health Service Act, Section 301, Public Law 78-410, as amended; Public Law 99-500.

**OBJECTIVES:**

To establish a unique program linking biomedical research with engineering, geoscience and ecological research. The goals of the Program are to establish and support an innovative program of basic research and training consisting of multi-project, interdisciplinary efforts and individual investigator projects. Areas of research may include: (1) methods and technologies to detect hazardous substances in the environment; (2) advance techniques for the detection, assessment, and evaluation of the effects of hazardous substances on humans; (3) methods to assess the risks to human health presented by hazardous substances; and (4) and basic biological, chemical, and physical methods to reduce the amount and toxicity of hazardous substances. It is intended that advanced or graduate training be integrated into the multi-project research program to provide opportunities in biomedical and environmental health, environmental sciences, ecology, and geosciences. The Program encourages the integration of interdisciplinary training to ensure that its students are prepared to tackle the complex issues presented by hazardous waste sites.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research grants are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. Grants made under this program are for university-based programs, and the objective is to establish and maintain coordinated research efforts that link basic biomedical research with related engineering, hydrogeological and ecological studies. In addition, the Superfund Research Program supports small business research through the Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) programs. The award and use of funds are subject to applicable provisions of basic statutory authorities, appropriations acts, pertinent regulations, and operating policies of the National Institute of Environmental Health Science (NIEHS), the National Institutes of Health (NIH), and the Department of Health and Human Services (DHHS).

**Applicant Eligibility:**

An accredited institution of higher education, as defined in the Higher Education Act, 20 U.S.C. (annotated) 3381, may submit an application and receive a grant for support of research by a named principal investigator. Subcontracts may be made with public and private organizations, including: generators of hazardous wastes; persons involved in the detection, assessment, evaluation, and treatment of hazardous substances; owners and operators of facilities at which hazardous substances are located; and State, local and Tribal governments. Nonprofit organizations which are incorporated under 501(c)(4) are prohibited from receiving grants. Organizations applying for a grant under the SBIR/STTR programs must qualify as a U.S.-owned Small Business Concern (SBC).

**Beneficiary Eligibility:**

Any accredited institution of higher education engaged in biomedical research and/or engineering and ecological research. SBIR and STTR awards are restricted to small business that meet NIH's criteria for SBC. Tribal entities that meet these requirements are eligible to apply.

**Credentials/Documentation:**

Applications must be signed by appropriate officials of the submitting institution. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for universities, and A-122 for private nonprofit other than universities. For-profit organizations, costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Letter of Intent Prospective applicants are asked to submit a letter of intent. Although it is not required, is not binding, and does not enter into the review of a subsequent application, the information that it contains allows IC staff to estimate the potential review workload and plan the review. It is due one month prior to the receipt of the applications. Applications for the Superfund Research Program are accepted in response to funding opportunity announcements (FOA) which are posted on National Institute of Environmental Health Sciences website ([www.niehs.nih.gov](http://www.niehs.nih.gov)) under the tab "funding opportunities". Applications submitted in response to a multi component FOA must use the PHS 398 (version dated 6/09) paper submission. Application instructions are available at <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Applications submitted in response to an individual investigator FOA must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide. SBIR/STTR grant applications are accepted in response to the NIH Omnibus solicitation using the SF424 electronic application process (<http://www.grants.gov>). The omnibus grant solicitation is released in early spring of each year and has 3 receipt dates: April 5, August 5 and December 5.

**Award Procedure:**

Grants are awarded on the basis of a dual review by peer groups of all applications. The first level of review is by a Special Emphasis Panel of peers for scientific merit. The National Advisory Environmental Health Sciences Council provides a secondary level of review for all applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 9 to 12 months.

**Appeals:**

> 180 Days. A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

> 180 Days. Renewal requests are subject to the same criteria as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Research Grants for the multi component and individual investigator may be awarded for up to 5 years, generally in 12-month budget periods. See the following for information on how assistance is awarded/released: Funds are released primarily on the basis of an Electronic Transfer System.

**Reports:**

No program reports are required. No cash reports are required. Annual and final progress reports and financial status reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditure and other financial and program records must be retained for 3 years from the day on which the grantee submits the final financial status report for the report period.

**Account Identification:**

75-0862-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$48,181,000; FY 11 est \$48,181,000; and FY 12 est \$49,371,000

**Range and Average of Financial Assistance:**

Range: \$7,500 to \$3,272,308

Average: \$1,229,605.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, Superfund Research Investigators reported that residents of Bangladesh exposed to well water with arsenic concentrations as low as 10g/L are at potentially increased risk of death. An estimated 21% of deaths from all causes and 24% of deaths linked to chronic diseases could be attributed to drinking arsenic-contaminated well water at concentrations greater than 10g/L. These findings have important public health implications for other populations that have low-level arsenic exposure through drinking water. The current arsenic standard for drinking water is 10g/L or 10 parts per billion. Fiscal Year 2011: In FY 2011, the Superfund Research Program will continue to support research and make advances in the areas germane to its legislative mandates: to develop methods to detect hazardous substances in the environment; advance techniques for the detection, assessment, and evaluation of the effects of hazardous substances on humans; research methods to assess the risks to human health presented by hazardous substances; and develop basic biological, chemical, and physical methods to reduce the amount and toxicity of hazardous substances. Fiscal Year 2012: In FY 2012, the Superfund Research Program will continue to support research and make advances in the areas germane to its legislative mandates: to develop methods to detect hazardous substances in the environment; advance techniques for the detection, assessment, and evaluation of the effects of hazardous substances on humans; research methods to assess the risks to human health presented by hazardous substances; and develop basic biological, chemical, and physical methods to reduce the amount and toxicity of hazardous substances.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; NIH Guide to Grants and Contracts; NIH Grants Policy Statement, October 1, 2010. Other publications, information, and applications and kits are available from the Office of Extramural Research, Outreach and Activities Resources, National Institutes of Health, Bethesda, MD 20892, and the NIEHS, P.O. Box 12233, 111 Alexander Drive, Research Triangle Park, NC 27709.

**Regional or Local Office:**

None. Program Contact: Dr. William Suk, Director, Superfund Hazardous Substance Basic Research and Training Program, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, Public Health Service, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. E-mail [suk@niehs.nih.gov](mailto:suk@niehs.nih.gov), Telephone: (919) 541-0797. Grants Management Contact: Lisa A. Edwards, Grants Management Officer, Grants Management Branch, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, Department of

Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-0751; E-mail: archer@niehs.nih.gov.

**Headquarters Office:**

Benigno Encarnacion, 111 TW Alexander Drive, Research Triangle Park, North Carolina 27709 Email: encarna1@niehs.nih.gov Phone: (919) 541-5147.

**Website Address:**

<http://www-apps.niehs.nih.gov/sbrp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In Fiscal Year 2010, five awards were made. First, a newly funded a multi-project grant awarded in the amount of \$9.9 million over four years, focusing on Superfund metal mixtures, biomarkers, and neurodevelopment. The projects take advantage of geographically isolated cohorts to derive insights into developmental outcomes of metal exposures in children and funds research into the characterization of sites with soils and water contaminated with metals.

In another new multi-project grant awarded in Fiscal Year 2010 in the amount of \$9.4 million over four years, researchers are defining the relationship between exposure to Superfund-related contaminants and preterm birth. Funds are also being used to develop new technology for the discovery, transport characterization, and green remediation of Superfund and related contaminants in karstic aquifers.

A previously funded multi-project grant was renewed in Fiscal Year 2010 for five years for a total of \$12.2 million. In this grant researchers are characterizing the fate and transport of hazardous materials from Superfund sites, and are developing new technologies for thermal and bioremediation of toxic waste. A biomedical component to the grant will employ classical technologies and a rapid immunochemical and cell based analyses to evaluate sites, validate models of transport and determine human susceptibility, exposure, and effect. The grantee is also developing biomarkers to serve as biological dosimeters in exposure studies.

In another grant renewal, \$15.3 million was awarded over five years to identify routes of exposure to polychlorinated biphenyls (PCBs) to find ways to prevent exposure or reduce the effects. The investigators are working to measure sources, transport, and exposures of PCBs, their distribution, metabolism and toxicity in animals and humans, and develop novel methods of phytoremediation. This grant includes a community based participatory research component that includes low income minorities into the research process

In a third renewal, \$13.1 million was awarded over five years to study hazardous waste risk and remediation. Investigators are examining the mechanism of arsenic toxicity in target tissues and potential therapeutic approaches. The grant also investigates how arsenic and TCE/PCE can be optimally characterized for risk assessment and remediation. Additionally, Investigators will evaluate the effects of currently allowed levels of arsenic in drinking water, dust, and chlorinated solvents. Fiscal Year 2011: In Fiscal Year 2011, NIEHS renewed three new multi project grants. One grant provides \$ 12.9 million over a period of five years to enhance the broad understanding of chemical impacts on developing organisms and develop approaches for reducing these impacts. This research concentrates on a mechanistic approach: mechanisms underlying developmental perturbations, mechanisms underlying ameliorations of and adaptations to these effects, and mechanisms underlying engineered solutions for the ultimate removal of these chemicals from the environment. A major cross-cutting theme is that of potential biological "costs" of early life exposures to humans and ecosystems, and of remediation strategies.

In another grant, \$14.7 million over five years will be used to study the human health and environmental risks associated with hazardous waste sites, with the goal of more accurately assessing risks and more efficiently remediating hazardous waste sites. It will focus is research on developing biomarkers of exposure and effect for human and experimental models of environmental disease; applying new molecular and analytical tools in a systems biology

framework to understand metabolic pathways critical for environmental disease; elucidating mechanisms that associate maternal cadmium exposure with poor newborn health outcomes and identifying molecular pathways that underlie susceptibility to metal-induced toxicity; determining the genetic and metabolic factors contributing to dermal absorption and the relationship of internal dose to total systemic exposure; elucidating the modes of action for major chlorinated hydrocarbons and polycyclic aromatic hydrocarbons and examining whether modes of action hold constant over the range of likely exposures; evaluating the extent to which remediation and bioremediation practices result in measurable reductions in toxicity and genotoxicity; and developing and evaluating remediation methods in complex, field-relevant systems for their potential to reduce overall human exposures and risks. In a third grant, \$14.5 million is being directed to using state-of-the-art technology, including 'omics' and nanotechnology, to develop biological markers and apply them in human population studies, especially those involving susceptible populations such as children and pregnant women; to improve chemical detection; and facilitate and lower the cost of waste site remediation. This highly integrated research endeavor is focusing on environmental exposures currently encountered at hazardous waste sites and several contaminants of emerging human health concern. Specific aims are to develop advanced techniques for the detection, assessment, and evaluation of the effect of hazardous substances on human health and improve methods to assess the risks to human health presented by benzene, arsenic, trichloroethylene and other hazardous substances. It is using nanotechnology to develop methods to detect hazardous substances in the environment in a simple, inexpensive fashion and is developing biological, chemical, and physical methods to remediate waste sites and reduce the amount and toxicity of hazardous substances.

It is anticipated that a fourth grant will be award later in the fiscal year to addresses the synergistic interactions of combustion-generated organic pollutants and particles that increase their chemical and biological activity. Goals include understanding the relationships between the origins, mechanisms of formation, nature of emissions; biological availability; and biological activity of toxic combustion by-products. Research will focus on the origin and health impacts of four classes of pollutants: combustion generated ultra-fine particles (UFPs); persistent free radicals (PFRs); chlorinated hydrocarbons (CHQs); and brominated hydrocarbons (BHG).

In 2011, NIEHS released an RFA, Innovative Bioavailability Assays to Assess the Effectiveness of Contaminated Sediment Remediation for individual investigator project grants. Grants awarded in response to this RFA will be for three years and directed to the development of innovative assays of bioavailability that may be used to determine the effectiveness of sediment remediation in reducing risks to humans. The ultimate goals of funding grants under this solicitation are two-fold: first, to develop and introduce new tools to assess whether remediation efforts are protective of human health; and second, to increase use of bioavailability in risk assessment through providing scientifically-valid, practical, and cost-effective tools. It is anticipated that four five awards will be made in 2011.

In 2011, the Superfund Research Program funded three new Small Business Innovative Research grants for a total of \$1.2 million. The grants will be for the detection and remediation of hazardous substances. Fiscal Year 2012: No data is available for 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

Major factors considered in the evaluation of responsive applications include: (1) Scientific merit of each proposed project, including the novelty, originality, and feasibility of the approach and the adequacy of the experimental design; (2) technical merit and justification of each core unit; (3) competence of the investigators to accomplish the proposed research goals, their commitments, and the amount of time they will devote to the program; (4) scope of the overall effort in relation to the objective of the program to create unique interdisciplinary programs to eventually include, not only biomedical components, but also engineering, ecological and/or hydrogeological components; (5) adequacy of the facilities to perform the proposed research; (6) integration of the various projects and core units into an effective program and plans for interactions among investigators; (7) adequacy and commitment of institutional resources to administer an integrated, collaborative program; (8) appropriateness of the budget for the proposed program; (9) relevance of

proposed research to problems associated with hazardous waste substances; and (10) progress of program to date for completing renewal applications.

### **93.145 AIDS EDUCATION AND TRAINING CENTERS**

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Section 2692 of the Public Health Service Act (42 U.S.C. 300ff-111), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 111-87).

#### **OBJECTIVES:**

(1) To train health personnel, including practitioners in programs under this title and other community providers, in the diagnosis, treatment, and prevention of HIV disease, including the prevention of the perinatal transmission of the disease, including measures for the prevention and treatment of opportunistic infections, and including (as applicable to the type of health professional involved), prenatal and other gynecological care for women with HIV/AIDS; (2) To train the faculty of schools of, and graduate departments or programs of, medicine, nursing, osteopathic medicine, dentistry, public health, allied health, and mental health practice to teach health professions students to provide for the health care needs of individuals with HIV/AIDS; (3) To develop and disseminate curricula and resource materials relating to the care and treatment of individuals with such disease and the prevention of the disease among individuals who are at risk of contracting the disease; and (4) To develop protocols for the medical care of women with HIV/AIDS, including prenatal and other gynecological care for such women.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants will be awarded for the establishment of AIDS Education and Training Centers.

#### **Applicant Eligibility:**

Applicants must have extensive experience in the field of health professional training and adult learning, HIV disease and disease management, and program administration and monitoring.

#### **Beneficiary Eligibility:**

Primary health care personnel and organizations that employ healthcare providers/clinicians.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 6 months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Annual noncompetitive, competitive awards typically are for up to 3 or 5 years.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Grants are typically awarded for up to a 3 or 5-year project period with 12-month budget periods. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

Annual program reports, OMB-approved data reports, and special reports (if any) are required. A Financial Report is to be submitted within 90 days after the close of each budget period and a final Financial Report is required 90 days following the end of the project period. Refer to the funding opportunity announcement re: progress reporting. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Project Grants) FY 10 \$32,884,580; FY 11 est \$32,499,707; and FY 12 est \$34,819,000

#### **Range and Average of Financial Assistance:**

\$450,000 to \$4,313,615; \$2,031,232.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010: See <http://hab.hrsa.gov/about/ab/files/aetcreport200809.pdf> for most recent performance data. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose

of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Steven R. Young, M.S.P.H., Director, Division of Training and Technical Assistance, HIV/AIDS Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 7-29, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5761 or Fax: (301) 594-2835.

**Headquarters Office:**

Steven R. Young, M.S.P.H. 5600 Fishers Lane, Room 7-29, Rockville, Maryland 20857 Phone: (301) 443-5761 Fax: (301) 594-2835.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.914 HIV Emergency Relief Project Grants; 93.918 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease; 93.978 Preventive Health Services\_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Fiscal Year 2010: See <http://hab.hrsa.gov/abouthab/files/aetcreport200809.pdf> for most recent examples of funded projects. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

In making grants, the Secretary shall give preference to qualified projects which will -- (A) train, or result in the training of health professionals who will provide treatment for minority individuals with HIV/AIDS and other individuals who are at high risk of contracting such disease; (B) train, or result in the training of minority health professionals and minority allied health professions to provide treatment for individuals with such disease; and (C) train or result in the training of health professionals and allied health professionals to provide treatment for hepatitis B or C co-infected individuals. The acronym HIV stands for "human immunodeficiency virus", the etiologic agent for acquired immune deficiency syndrome (AIDS).

**93.150 PROJECTS FOR ASSISTANCE IN TRANSITION FROM HOMELESSNESS (PATH)**

(PATH)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title V, Part C, Section 521, as amended, 42 U.S.C 290cc-21 et seq; Stewart B. McKinney Homeless Assistance Amendments Act of 1990, Public Law 101-645.

**OBJECTIVES:**

To provide financial assistance to States to support services for individuals who are suffering from serious mental illness or serious mental illness and substance abuse; and are homeless or at imminent risk of becoming homeless. Programs and activities include: (1) Outreach services; (2) screening and diagnostic treatment services; (3) habilitation and rehabilitation services; (4) community mental health services; (5) alcohol or drug treatment services; (6) staff training; (7) case management services; (8) supportive and supervisory services in residential settings; (9) referrals for primary health services, job training, educational services, and relevant housing services; and (10) prescribed set of housing services.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used at the discretion of the State to achieve the described objectives except that funds cannot be used: (1) To support emergency shelters or construction of housing facilities; (2) for inpatient psychiatric or substance abuse treatment costs; or (3) to make cash payments to intended recipients of mental health or substance abuse services. Not more than 20 percent of the

payment may be expended for housing services; not more than 4 percent of the total allocation may be expended for administrative expenses. The applicants must agree that the payments will be expended solely for making grants to political subdivisions of the State, and to nonprofit private entities (including community-based veterans organizations and other community organizations) for the purpose of providing the services.

**Applicant Eligibility:**

States, District of Columbia, Guam, American Samoa, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the Virgin Islands.

**Beneficiary Eligibility:**

Individuals who have a serious mental illness or serious mental illness and substance abuse; and are homeless or are at imminent risk of becoming homeless.

**Credentials/Documentation:**

This program is subject to 45 CFR 92, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

There is no preapplication requirement. This program is not subject to the intergovernmental review requirements of E.O. 12372, as implemented through DHHS regulations at 45 CFR 100. However, individual States may require, or an applicant State mental health agency may want to implement, coordination procedures similar to those specified in E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Chief Executive Officer of a State or Territory must apply annually for an allotment. Applications include a completed application form and a set of assurances.

**Award Procedure:**

Applications are reviewed for completeness and for compliance with legislative requirements. Grant awards are issued directly by the Center for Mental Health Services (CMHS) to the designated State agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 8 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Part 92, Public Law 101-645.

Matching Requirements: The formula is cited in Section 524 of the Public Health Service Act, as amended by Public Law 101-645. The formula allots funds on the basis of the population living in urbanized areas of the State, compared to the population living in urbanized areas of the entire United States except that no State receives less than \$300,000 (\$50,000 for Territories). States must agree to make available, directly or through donations from public or private entities, nonfederal contributions equal to not less than \$1 (in cash or in kind) for each \$3 of Federal funds provided in such grant. Territories have no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation for the award period (1-year); payments are made through an Electronic Transfer System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Each State shall prepare and submit to the Secretary of Health and Human Services annual reports on its activities necessary for securing a record and a



description of the purposes for which funds received under Section 521 were spent and the recipients of such funds, and for determining whether such amounts were expended in accordance with the provisions of the legislation. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Formula Grants) FY 10 \$62,121,000; FY 11 est \$61,994,000; and FY 12 est \$61,994,000

**Range and Average of Financial Assistance:**

\$50,000 to \$9,053,000; \$1,107,036.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 56 awards were made. Fiscal Year 2011: 56 awards were made. Fiscal Year 2012: It is estimated 56 awards will be made in fiscal year 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Simmons 1 Choke Cherry Road, 7-1091, Rockville, Maryland 20857  
Email: virginia.simmons@samhsa.hhs.gov Phone: 240-276-1422 Fax: 240-276-1430

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must fulfill all statutory and regulatory requirements.

**93.153 COORDINATED SERVICES AND ACCESS TO RESEARCH FOR WOMEN, INFANTS, CHILDREN, AND YOUTH**

Ryan White Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Sections 2671 and 2693 of Title XXVI of the Public Health Service Act (42 U.S.C. 300ff-71 et seq.), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 P.L. 111-87.

**OBJECTIVES:**

The purpose of this funding is providing family-centered care involving outpatient or ambulatory care (directly or through contracts) to women, infants,

children, and youth with HIV/AIDS, and may be used to provide additional support services to patients and families through the provision of coordinated, comprehensive, culturally and linguistically competent, family-centered services. Funds will be used to support programs that provide primary medical care and : (1) Link established systems of care to coordinate service delivery and ensure that HIV-infected women, infants children, and youth have access to the existing and emerging HIV treatments that can make a difference; (2) Implement HIV care and prevention programs for pregnant woman to decrease the transmission of HIV from mother to child; (3) Educate clients about the opportunities for participation in clinical research and other research activities; and (4) Address the intensity of service needs, high costs, and other complex barriers to comprehensive care and research experienced by medically underserved and challenging populations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds granted must be expended solely for carrying out the approved project in accordance with application guidelines, the conditions of award and the applicable cost principles.

**Applicant Eligibility:**

Public and nonprofit private entities that provide primary care services, either directly or by another entity that is linked with the grantee, either through a contract, written partnership, or other formal agreement. Proof of nonprofit status is required for nonprofit organizations. Organizations may include State and local governments, their agencies, and Indian Tribes or tribal organizations with or without Federal recognition. Primary care providers must show proof of Medicaid eligibility.

**Beneficiary Eligibility:**

Women, infants, children, and youth with HIV/AIDS and their affected family members.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. All applicants are required to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may be made for up to 5-year project periods, subject to availability of

funds. After initial awards, projects may be renewed contingent upon submission and approval of a continuation progress report.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards, on a competitive basis will be for a one year budget period, although project periods may be approved for up to five years. Continued support, beyond the first year, is contingent upon satisfactory performance and the availability of Federal funds. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports, annual program service reports and special reports must be submitted as required. No cash reports are required. The grantee must also submit the annual Ryan White Services Report due the last monday in March each year, covering the just-ended Jan. 1 - Dec. 31 calendar year. Grantees must also submit an Allocations Report, 60 days after the budget start date.

Grantees must submit a Federal Financial Report on SF 245 within 90 days after the end of each budget period. Expenditures Report within 90 days after the end of the budget period, (OMB 0915-0318). Additionally, each funded program must submit a budget period renewal progress report each year prior to the end of the budget period. A final financial status report and final performance report must be submitted 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$74,014,381; FY 11 est \$72,786,856; and FY 12 est \$72,786,856

**Range and Average of Financial Assistance:**

\$228,080 to \$2,297,660; \$719,125.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Anna Huang, MD, Branch Chief, Northeastern Region, Division of Community Based Programs/HIV/AIDS Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 7A-30, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-3995.

**Headquarters Office:**

Division of Community Based Programs, 5600 Fishers Lane, Room 7-AA-30, Rockville, Maryland 20857 Phone: (301) 443-1019.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.994 Maternal and Child Health Services Block Grant to the States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are included in the program guidance materials provided with application kits. Contact the HRSA Grant Application Center for details.

**93.155 RURAL HEALTH RESEARCH CENTERS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 123 of P.L. 110-275, the Medicare Improvements for Patients and Providers Act of 2008 (MIPPA); Section 711 (b) of the Social Security Act (42 U.S.C. 912(b))as amended by section 432 of the Medicare Prescription Drug Improvement and Modernization Act of 2003.

**OBJECTIVES:**

To support the operation of rural health research centers, research dissemination, rural policy analysis, rapid response to quick data turn around requests, and rural health best practices to provide an information base, research dissemination, and policy analysis capability on the full range of rural health services issues, including financing, recruitment and retention of health professionals, access to care, health disparities and rural delivery systems.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds awarded should be expended solely for carrying out the approved projects in accordance with the provisions of Section 711 of the Social Security Act as amended by section 432 of the Medicare Prescription Drug Improvement and Modernization Act of 2003.

**Applicant Eligibility:**

Research Center eligibility is open to public, private and non-profit organizations, including faith-based and community-based organizations. Principal investigator must have authored or co-authored at least two articles about rural health research published in peer-reviewed scientific journals. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Research Dissemination award eligibility is open to all public and private nonprofit entities. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Rural Policy Analysis awards eligibility is open to public, private, and nonprofit organizations including faith-based and community organizations, State Governments and their agencies such as universities, colleges, research institutions, hospitals, and local governments or their bona fide agents. Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations are also eligible. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Rapid Response to Requests for Data Analysis eligibility is open to all public and private entities, nonprofit and for-profit, are eligible to apply. Eligible entities may include, but are not limited to, public and private institutions for higher education, public or private health research organizations, foundations and faith-based entities. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Rural Health Best Practices eligibility is open to public, private and non-profit organizations, including faith-based and community-based organizations. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Rural Training Track Technical Assistance eligibility is open to any public or private nonprofit entities, including faith-based and community-based organizations, State Governments and their agencies such as universities, colleges, research institutions, hospitals, State and local governments or their bona fide agents along with federally recognized Indian Tribal governments, Indian Tribes, and Indian Tribal organizations. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Frontier Community Care Coordination eligibility is open to current Rural Hospital Flexibility Program grantee under section 1820(g) of the Social Security Act (42 U.S.C. 1395i 4(g)) located in a State in which at least 65 percent of the counties in the State are counties that have 6 or less residents per square mile. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Frontier Community Health Integration eligibility is open to a public or non-profit private entity located in a rural area; a current Rural Hospital Flexibility Program grantee under section 1820(g) of the Social Security Act (42 U.S.C. 1395i 4(g)) and located in a State in which at least 65 percent of the counties in the State are counties that have 6 or less residents per square mile. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

**Beneficiary Eligibility:**

The entities that will benefit from this program are health care personnel, health research personnel, and the general public.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under these CFDA programs for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Research center awards may be made for up to 4-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Research Dissemination award may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Rural Policy Analysis awards may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Rapid Response to Requests for Data Analysis may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Rural Health Best Practices award may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Rural Training Track Technical Assistance may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Frontier Community Care Coordination awards may be made for 1-3 years project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Frontier Community Health Integration no renewal.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. Awards are normally made in a lump sum for the entire budget period. Payments are made through an Electronic Transfer System or Cash Demand System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Report. No cash reports are required. FSR. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$7,917,886; FY 11 est \$7,801,003; and FY 12 est \$7,801,003

**Range and Average of Financial Assistance:**

For Research Centers: FY10 \$660,000; for FY11 \$660,000, and for FY 12 \$660,000.

For Research Dissemination FY: 10 \$120,000; FY11 \$120,000 and for FY12 \$120,000.

For Rural Policy Analysis: FY10 \$225,000; FY 11 \$255,000 and for FY12 \$225,000.

For Rapid Response to Quick Data Turn Around Requests: FY09 \$350,000; FY10 \$350,000 and for FY11 \$350,000.

For Rural Health Best Practices: FY10 \$1,800,000; FY11 \$1,800,000; and for FY12 \$1,800,000.

For Rural Training Track Technical Assistance: FY10 \$450,000; FY11 \$300,000; and for FY12 \$300,000.

For Frontier Community Care Coordination: FY10 \$455,000; FY11 \$175,000; and for FY12 \$150,000.

For Frontier Community Health Integration: FY10 \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Iran Naqvi, Rural Health Research Center and Research Dissemination Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 5A-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Nicole Comeaux, Rural Policy Analysis Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 5A-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Michelle Goodman; Rapid Response to Quick Data Turn Around Requests; Frontier Community Care Coordination; and Frontier Community Health Integration Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 5A-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Karen Beckham, Rural Health Best Practices Program Coordinator, Office of

Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 5A-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Daniel Mareck, Rural Training Track Technical Assistance Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 5A-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Office of Rural Health Policy, 5600 Fishers Lane, Room 5A-05, Rockville, Maryland 20857 Phone: (301) 443-0835.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria is listed in the application guidance.

**93.156 GERIATRIC TRAINING FOR PHYSICIANS, DENTISTS AND BEHAVIORAL/MENTAL HEALTH PROFESSIONALS**

GTPD

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Sec. 753(b) of Public Health Service Act (42 U.S.C-294c), as amended by the Health Professions Education Partnerships Act of 1998 (P.L. 105-392) and the Patient Protection and Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

Grants are given for faculty training projects in geriatric medicine, dentistry, and behavioral or mental health. The purpose of this grant program is to provide support, including fellowships, for geriatric training projects to train physicians, dentists and behavioral or mental health professionals who plan to teach geriatric medicine, geriatric dentistry or geriatric behavioral or mental health.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; Training

**USES AND USE RESTRICTIONS:**

A grant may be made to meet the cost of a project which will propose: (1) a 1-year retraining program in geriatrics for: (a) physicians who are faculty in departments of internal medicine, family medicine (including osteopathic general practice), gynecology, geriatrics, and behavioral or mental health at schools of medicine and osteopathic medicine; (b) dentists who are faculty members at schools of dentistry or at hospital departments or dentistry; and (c) behavioral or mental health professionals who are faculty members in departments of behavioral or mental health; and/or (2) a 2-year internal medicine or family medicine fellowship program providing emphasis in geriatrics which shall be designed to provide training in clinical geriatrics and geriatrics research for: (a) physicians who have completed graduate medical education programs in internal medicine, family medicine (including osteopathic general practice), behavioral or mental health, neurology, gynecology, or rehabilitation medicine; (b) dentists who have demonstrated a commitment to an academic career and who have completed postdoctoral dental training, including postdoctoral dental education programs or who have relevant advanced training or experience; and (c) behavioral or mental health professionals who have completed graduate medical education programs in behavioral or mental health. Each project for which a grant is made must: (1) be staffed by full-time teaching physicians who have experience or training in geriatric medicine or geriatric behavioral or mental health; (2) be staffed, or enter into an agreement with an institution staffed by full-time or part-time teaching dentists who have experience or training in geriatric dentistry; (3) be staffed, or enter into an agreement with an institution staffed by full-time or

part-time teaching behavioral or mental health professionals who have experience or training in geriatric behavioral or mental health; (4) be based in a graduate medical education program in internal medicine or family medicine or in a department of geriatrics or behavioral or mental health; (5) provide training in geriatrics and expose fellows to the physical and mental disabilities of elderly individuals through a variety of service rotations, such as geriatric consultation services, acute care services, dental services, geriatric behavioral or mental health units, day and home care programs, rehabilitation services, extended care facilities, geriatric ambulatory care and comprehensive evaluation units, and community care programs for elderly mentally retarded individuals, and (6) provide training in geriatrics through one or both of the two training options. See above. The Patient Protection and Affordable Care Act, Public Law 111-148 expanded the definition of behavioral and mental health professionals to now include psychiatry, psychology, psychiatric nursing, social work, substance abuse disorder prevention and treatment, marriage and family counseling, or professional counseling. The expanded definition applies to the 1-year retraining option. See above.

**Applicant Eligibility:**

Grants may be made to accredited public or private nonprofit schools of medicine, schools of osteopathic medicine, teaching hospitals, or graduate medical education programs. Applicants must be located in the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, the Republic of Palau, the Republic of the Marshall Islands, or the Federated States of Micronesia.

**Beneficiary Eligibility:**

Grants may be made to accredited public or private nonprofit schools of medicine, schools of osteopathic medicine, teaching hospitals, or graduate medical education programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The Geriatric Training for Physicians, Dentists and Behavioral and Mental Health Professionals Program is not a program subject to the provisions of Executive Order 12372, as implemented by 45 CFR 100. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Four to six months following receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications

may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is up to five years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are not applicable. No cash reports are required. Annual progress reports, in the form of HRSAs performance reporting system, are required. Electronic reporting requirements can be viewed at [www.HRSA.gov](http://www.HRSA.gov).

A financial report must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. Financial reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$8,368,217; FY 11 est \$9,438,037; and FY 12 est \$9,589,376

**Range and Average of Financial Assistance:**

\$583,465, to \$1,195,843; Average: \$622,933.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. CAPT Young Song, Acting Chief, Geriatrics & Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-3353; 301-443-7762

LCDR Carol Corbie Project Officer, Geriatrics and Allied Health Branch,

Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-7762.

**Headquarters Office:**

Young Song 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-7662

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All competing applications are reviewed by objective reviewers for technical merit who make recommendations based on the potential effectiveness of the proposed project in carrying out the training purposes of section 753(b) of the Public Health Service Act. Each reviewer is screened to avoid conflict of interests and is responsible for providing an objective review based on the review criteria published in the funding opportunity. The committee provides expert advice on the merits of each application to program officials responsible for final selection for award. For fiscal year 2010, this grant program had six review criteria: Need, Response, Evaluative Measures, Impact, Resources/Capabilities, and Support Requested. The maximum number of points each application can achieve is 100.

**93.157 CENTERS OF EXCELLENCE**

Centers of Excellence (COEs)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 736, 42 U.S.C. 293, as amended by the Patient Protection and Affordable Care Act of 2010 (P.L. 111-148) Section 5401.

**OBJECTIVES:**

The goal of this program is to assist eligible schools in supporting programs of excellence in health professions education for underrepresented minority (URM) individuals. The Centers of Excellence (COE) program is a catalyst for institutionalizing a commitment to under-represented minority (URM) students/faculty and to serve as a national resource and educational center for diversity and minority health issue. Additionally, the COE program will help to strengthen the national capacity to produce a culturally competent healthcare workforce whose diversity is representative of the United States Population.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Section 736 authorizes awarding funding to health professions schools to: (1) develop a large competitive applicant pool through linkages with institutions of higher education, local school districts, and other community-based entities; and establish an education pipeline for health professions careers; (2) establish, strengthen, or expand programs to enhance the academic performance of underrepresented minority students attending the school; (3) improve the capacity of such school to train, recruit, and retain underrepresented minority faculty including the payment of stipends and fellowships as the Secretary may determine appropriate; (4) carry out activities to improve the information resources, clinical education, curricula and cultural competence of the graduates of the school as it relates to minority health issues ; (5) facilitate faculty and student research on health issues particularly affecting underrepresented minority groups, including research on issues relating to the delivery of health care; (6) carry out a program to train students of the school in providing health services to a significant number of underrepresented minority individuals through training provided to such students at community-based health facilities.

These facilities provide such health services and are located at a site remote from the main site of the teaching facilities of the school; and (7) provide stipends as the Secretary determines appropriate in the amounts the Secretary determines.

**Applicant Eligibility:**

Eligible applicants include designated Historically Black Colleges and Universities and health professions schools that are accredited schools of allopathic medicine; osteopathic medicine; dentistry; pharmacy; or a graduate program in behavioral or mental health; or other public and nonprofit health or educational entities that meet the required conditions regarding: underrepresented minorities as described in Section 736 or the Public Service Act

Eligible applicants must also have:

- (1) a significant number of under-represented minority individuals enrolled in the schools;
- (2) been effective in assisting under-represented minority students of the schools to complete the program of education and receive the degree involved;
- (3) been effective in recruiting under-represented minority individuals to enroll in and graduate from the school, including providing scholarships and other financial assistance to such individuals and encouraging under-represented minority students from all levels of the educational pipeline to pursue health professions careers; and
- (4) made significant recruitment efforts to increase the number of under-represented minority individuals serving in faculty or administrative positions at the school.

**Beneficiary Eligibility:**

Designated HBCUs and eligible health professions schools must recruit and train a significant number of underrepresented minority students in medicine, dentistry, and pharmacy; recruit, train, and retain underrepresented minority faculty recruitment, and facilitate faculty and student research activities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 4 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for up to three years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual progress reports, in the form of HRSA's performance reporting system, are required. No cash reports are required. Electronic reporting requirements can be viewed at [www.HRSA.gov](http://www.HRSA.gov). Financial reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. See the funding opportunity announcement for further information. No cash reports are required. Progress reports are not applicable. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$23,639,802; FY 11 est \$23,431,209; and FY 12 est \$18,842,000

**Range and Average of Financial Assistance:**

FY 11: \$379,677 to \$4,913,499; Average: \$1,301,734.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Violet Woo, Chief of the Diversity Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-8032, E-mail: [vwoo@hrsa.gov](mailto:vwoo@hrsa.gov).

Sadi Silcott, Chief, Diversity Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Parklawn Building, Rockville, MD 20857. Program information and assistance may be obtained by calling (301) 443-0133 or e-mailing [ssilcott@hrsa.gov](mailto:ssilcott@hrsa.gov).

**Headquarters Office:**

Violet R.H. Woo 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-8032

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The Centers of Excellence have 7 criteria:

- (1) NEED (20 points) - The extent to which a description of a) the problem, and the associated contributing factors. b) the need with respect to students, faculty development, and URM's in the health professions, and c) geographic factors, such as the size of the area that will be served, and any regional issues.
- (2) RESPONSE (40 points) The extent to which project responds to the Purpose included in the program description. This includes the clarity of the proposed goals and objectives and their relationship to the identified project and achieving the seven legislative requirements. The extent to which the activities (scientific or other) described in the application are capable of addressing the problem and attaining the project objectives.

For Centers of Excellence, the response should focus on the statutory purposes:

- a) Competitive Applicant Pool: To develop a large competitive applicant pool through linkages with institutions of higher education, local school districts, and other community-based entities and establish an educational pipeline for health professions careers;
- b) Student Performance: To establish, strengthen, or expand programs to enhance the academic performance of underrepresented minority (URM) students attending the school;
- c) Faculty Development: To improve the capacity of such schools to train, recruit, and retain URM faculty including payment of such stipends and fellowships as the Secretary may determine is appropriate;
- d) Information Resources, Clinical Education, Curricula, and Cultural Competence: To carry out activities to improve the information resources, clinical education, curricula and cultural competence of the graduates as they relate to minority health issues;
- e) Faculty/Student Research: To facilitate faculty and student research on health issues particularly affecting URM groups, including research on issues relating to the delivery of health care;
- f) Student Training in Providing Health Care Services: To carry out a program that trains students of the school and
- (g) Stipends: To provide stipends as the Secretary determines appropriate.

- (3) EVALUATIVE MEASURES (10 points) - The effectiveness of the method proposed to monitor and evaluate the project results. Evaluative measures must be able to assess to what extent the program objectives have been met and to what extent these can be attributed to the project.
- (4) IMPACT (5 points) - The extent and effectiveness of the dissemination of the project results, the extent to which the project results may be national in scope, the degree to which the project activities are replicable, the sustainability of the program beyond the Federal funding and established linkages/collaboration with key stakeholders. It may include the extent to which disseminating COE project is to the Health Professions Education community regionally or nationally.
- (5) RESOURCES /CAPABILITIES (10 points) The extent to which project personnel are qualified by training and/or experience to implement and carry out projects. This includes the capabilities of the applicant organization, and the quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project. This may include whether the health professions school has a significant number of URM individuals enrolled in the school, including individuals accepted for enrollment and successful completion in the school and the extent to which the applicant's activities influence the recruitment, training and retention of URM faculty
- (6) SUPPORT REQUESTED (10 points) - The extent to which the overall

budget, including non-trainee expenses, is a) cost effective, reasonable, and consistent with the stated objectives and proposed activities, b) expenditures are well justified, and c) in-kind contributions are documented.

(7) **CULTURAL COMPETENCE DEVELOPMENT** (5 points) The extent to which the COE application reflects the institutions commitment to developing culturally competent health professionals by establishing a system that values the importance of culture in the delivery of health care services to all segments of the population. The practices and initiatives of the applicant institution demonstrate their commitment to increasing the number of culturally competent and diverse health professionals.

### **93.161 HEALTH PROGRAM FOR TOXIC SUBSTANCES AND DISEASE REGISTRY**

#### **FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and Human Services

#### **AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Public Law 99-499, as amended; 42 U.S.C. 9604(i); Resource Conservation and Recovery Act, as amended; Public Law 98-616, 42 U.S.C. 6939a., 42 U.S.C 9604(i).

#### **OBJECTIVES:**

To work closely with State, local, and other Federal agencies to reduce or eliminate illness, disability, and death resulting from exposure of the public and workers to toxic substances at spill and waste disposal sites.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

To strengthen State and local environmental health programs. Services may include: (1) Health assessments; (2) health effects studies; (3) exposure and disease registries; (4) technical assistance; (5) consultation; (6) dissemination of technical information; (7) provision of specialized services and assistance, including responses to public health emergencies; (8) training State and other health professionals in broad areas related to environmental health; and (9) research of chemical toxicity.

#### **Applicant Eligibility:**

States or political subdivisions thereof, to include the District of Columbia, American Samoa, Guam, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, the Virgin Islands, the Federated States of Marshall Island, the Republic of Palau, National organizations, Federally-recognized Indian tribal governments, public and private non-profit universities and colleges.

#### **Beneficiary Eligibility:**

The general public and particularly individuals and families who reside around or near hazardous waste sites.

#### **Credentials/Documentation:**

For other grantees, costs will be determined by HHS regulations 45 CFR 74, Subpart Q. For-profit organization's costs will be determined in accordance with the Federal Acquisition Regulation, 48 CFR, Chapter I, Subpart 31.2, "Cost Principals for Contracts and Commercial Organizations." OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Information on the submission of applications may be obtained from the Grants Management Officer, Acquisition and Assistance Branch A, Procurement and Grants Office,

Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. This program is subject to the provisions of OMB Circular No. A-110. By formal agreement, the CDC Grants Management Branch acts on behalf of ATSDR on this matter.

#### **Award Procedure:**

The Assistant Administrator, ATSDR has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, Centers for Disease Control and Prevention (CDC), acting as agent for ATSDR, will prepare a Notice of Grant Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 60 to 90 days.

#### **Appeals:**

Other - Not Specified.

#### **Renewals:**

Awards are made for project periods of 1 to 5 years with 12-month budget period. Renewals or continuation awards, with the project period are made on the basis of satisfactory progress and availability of funds.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

It is anticipated that awards will be for a 12-month budget period with a proposed project period ranging from one to five years. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

See Funding Opportunity for details. Cash reports are not applicable. See Funding Opportunity for details. See Funding Opportunity for details. See Funding Opportunity for details.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for ten years in accordance with EPA's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

#### **Account Identification:**

75-8252-0-1-551.

#### **Obligations:**

(Salaries) FY 10 \$10,442,437; FY 11 est \$8,098,161; and FY 12 est \$8,098,161

#### **Range and Average of Financial Assistance:**

Average range: \$130,000 to \$300,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Toxicological profiles, Federal regulations for interim procedures to petition for Public Health Assessments published in August 18, 1992 issue of the 42 CFR



90, Health Assessments and Health Effects Studies of Hazardous Substances Releases and Facilities; Final Rule; Published in February 13, 1990, issue of the Status of Health Research Report; Case studies in environmental medicine; and ATSDR Annual Report. PHS Policy Statement No. (OASH) 94- 50,000, (Rev.) April 1, 1994 is available. Section 106 and subsection 118(e) of the Great Lakes Critical Programs Act of 1990 33 U.S.C. 1268(e).

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: (770) 488-0572.

**Website Address:**

<http://www.atsdr.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Relevance of the proposal to the objective of this program. (2) Demonstrated experience in evaluating human health effects from exposures to hazardous substances in the environment through multimedia exposure pathways. (3) Training and experience of staff to be assigned to and/or hired for the project. (4) Suitability of facilities and equipment available or to be purchased for the project. (5) Appropriateness of the requested budget relative to the work proposed. (6) Capability of the applicant and its consultants to carry out the tasks involved in the project. (7) Soundness and innovation of the proposed approach to the range of activities presented in the project. (8) Capability of the applicant's administrative structure to foster successful scientific and administrative management of the program or study as described in the application. (9) Adequacy of the proposed time frame for completion of programs or studies.

**93.162 NATIONAL HEALTH SERVICE CORPS LOAN REPAYMENT PROGRAM**

NHSC Loan Repayment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 338B of the Public Health Service (PHS) Act (42 United States Code Section 2541-1), as amended; Section 331(i) of the PHS Act (42 USC 254d(i)), as amended by Section 10503 of the Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

The National Health Service Corp (NHSC) Loan Repayment Programs objective is to increase the supply of primary care physicians, dentists, dental hygienists, behavioral and mental health professionals, certified nurse midwives, primary care nurse practitioners, and physician assistants and, if needed by the NHSC, other health professionals in Health Professional Shortage Areas (HPSA) within the U.S.A and its territories by assisting the repayment of qualifying educational loans in return for service to populations located in HPSAs identified by the Secretary of the Department of Health and Human Services.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Awards provide payments of up to \$60,000 towards participants' qualified government and commercial health professions undergraduate and graduate education loans during the first 2 years of full time practice or 4 years of half time practice at a selected National Health Service Corps (NHSC) Loan Repayment Service Site under a written agreement with this program. For a 3rd and 4th subsequent year, payments of up to \$40,000 a year may be made available under a written full time agreement; for a 5th subsequent year and beyond payments of up to \$30,000 a year may be made available under a

written full time agreement. For a 5th,6th, 7th, and 8th subsequent year, payments of up to \$20,000 a year may be made available under a written part time agreement; for a 9th subsequent year and beyond payments of up to \$15,000 a year may be made under a written part time agreement. Health professions given priority for selection are those identified by communities.

**Applicant Eligibility:**

Individuals are eligible to apply if they have (1) U.S. citizenship; (2) a health professions degree or are in professional practice (they must hold an unrestricted health professions license from the State in which they will be working, and be eligible for selection for a Federal civil service appointment, or hold an appointment as a commissioned officer in the Regular or Reserve Corps of the U.S. Public Health Service); (3) not had any judgment liens arising from Federal debt ; (4) not been excluded, debarred, suspended, or disqualified by a Federal agency; (5) not been in breach of a health professional service obligation to the Federal, State or local government and (6) no conflicting service obligation. Individuals must also participate or be eligible to participate as a provider in the Medicare, Medicaid, and Childrens Health Insurance Programs, as appropriate. Refer to the NHSC Loan Repayment Program Guidance for specific requirements.

**Beneficiary Eligibility:**

Primary care, oral health, and mental and behavioral health professions are eligible for the Loan Repayment Program (LRP). Specific specialties within these professions are selected for LRP awards based on community demand for health services.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. NHSC loan repayment awards are made based on the highest need as determined by descending health professional shortage area scores. Priority will be given to individuals whose training is in a health discipline or specialty determined by the Secretary for Health and Human Services to be needed by the NHSC and who the Secretary determines are committed to service in health professional shortage areas.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Contract continuations will be considered according to the availability of appropriated funds and eligibility criteria applied to the individual and the site at which that individual is employed. .

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loan repayments for 1 year of obligated service will be made no later than the end of the fiscal year in which the individual completes such year of service. See the following for information on how assistance is awarded/released: Direct Deposit in recipients accounts through Program Support Center (PSC).

**Reports:**

The employing facility must complete and send a semi-annual Employment Verification Form verifying that the participating health professional is providing service. The certification includes a signature by an appropriate official of the facility. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$79,965,554; FY 11 est \$23,853,867; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

New awards range from \$970 to \$60,000, with an average award being \$44,775.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010: 7,600 applications for new awards received, 1,335 New Awards, 701 Continuations. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 42 CFR Part 62, Subpart B of the implementing regulations.

**Regional or Local Office:**

See Regional Agency Offices. National Health Service Corps Loan Repayment Branch, Division of National Health Service Corps, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

**Headquarters Office:**

Division of Applications and Awards, 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 594-4400

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program; 93.303 Nursing Scholarship Program; 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing Student Loans; 93.908 Nursing Education Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No current data available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priority will be given to applicants who are individuals whose training is in a health or specialty profession determined by the Secretary to be needed by NHSC.

**93.164 INDIAN HEALTH SERVICE EDUCATIONAL LOAN REPAYMENT**

(IHS Loan Repayment Program)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Amendments of 1988, Section 108, Public Law 100-713.

**OBJECTIVES:**

To insure that the Indian Health Service (IHS) has an adequate supply of trained health professionals for Indian health program facilities by providing for the repayment of educational loans for participants who agree (by written contract) to serve an applicable period of time at a facility IHS has designated as a loan repayment priority site or in a designated specialty at a site with an appropriate position.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

This program will provide repayment of loans incurred for health professions educational expenses in exchange for service in a designated loan repayment priority site. Recipients must agree by written contract to serve an applicable period of time in such a site; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied. The minimum period of participation is 2 years. Maximum payment to a program participant is \$20,000 per year and an additional 20 percent of the award amount for tax liability. The minimum period of participation is 2 years. Maximum payment to a program participant is \$20,000 per year and an additional 20 percent of the award amount for tax liability.

**Applicant Eligibility:**

Eligible individuals must be enrolled: (1) In a course of study or program in an accredited institution, as determined by the Secretary, within any State and be scheduled to complete such course of study in the same year such as individual applies to participate in such program; (2) in an approved graduate training program in a health profession; (3) have a degree in health profession and a license to practice a health profession; (4) be eligible for, or hold, an appointment as a commissioned officer in the Regular or Reserve Corps of the Public Health Service (PHS); (5) be eligible for selection for civilian service in the Regular or Reserve Corps of the PHS; (6) meet the professional standards for civil service employment in the IHS; (7) be employed with an Indian health program funded under Public Law 93-638, Indian Self-Determination, Title V of Public Law 94-437 and its amendments or the Buy Indian Act (25 U.S.C. 47); (8) submit an application to participate in the IHS Loan Repayment Program; and (9) sign and submit to the Secretary for Health and Human Services at the time of such application, a written contract agreeing to accept loan repayment of health professions educational loans and to serve for an applicable period of service at loan repayment priority site as determined by the Secretary. The term "State" is defined in Section 331 (i)(4) of the PHS Act.

**Beneficiary Eligibility:**

Health professionals who have Government (Federal, State, local) and commercial unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) A transcript showing final year of study and full-time status; (2) a copy of a health professions degree; (3) a copy of health professions license; (4) a copy of transcript showing completion of graduate education; and (5) a copy of all loan documentation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants should request an application package, complete the required information, and return it to the Indian Health Service (IHS) Headquarters for review. (See Headquarters Office section below for address.) Once a completed application packet is received, it will be reviewed and the determination of award recipients will be made based upon merit. Award will be made on award dates published in the Federal

Register.

**Award Procedure:**

Upon determination of who will receive an award, that individual will be notified in writing by the program. The individual will in turn notify the program in writing of his/her acceptance. Awards will be contingent upon the score that an eligible Loan Repayment Program site receives and score is applied to the individual matched to that site. Upon arriving at his/her duty station, participant must submit proof of employment to the IHS Loan Repayment Program Office. Individuals can be matched to an IHS tribal, urban, or buy Indian site by an IHS area recruiter or the equivalent. Applicants needing to match to an IHS priority site should work with an IHS recruiter in the service area of their choice. When an award occurs, the Secretary will sign the contract and the individual will receive final notification of their award and a copy of their signed contract.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Operations.

**Appeals:**

Not Applicable.

**Renewals:**

If a program recipient satisfactorily completes his/her initial service and continues to have remaining eligible debt, he/she may extend his/her contract on a single-year basis, provided that funds are available and the participant continues to meet the eligibility requirements of the program. A recipient wishing to extend his/her contract must submit a formal request for extension and sign a new 1-year contract.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments will be made to the individuals of the program on an annual basis. See the following for information on how assistance is awarded/released: Payments will be made to the individuals of the program on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. Program participants must be certified annually as performing at an eligible site in an eligible full-time position.

**Audits:**

No audits are required for this program.

**Records:**

The IHS will maintain records of applicants and participants for 3 years after information of expenditure reports are completed.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$24,815,220; FY 11 est \$25,286,294; and FY 12 est \$25,286,294

**Range and Average of Financial Assistance:**

\$3,000 to \$51,672 for a 2-year obligation; \$44,685.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Authorization is contained in Public Law 100-713, as amended by Public Law 102-573; Indian Health Service Educational Loan Repayment Program Information Bulletin; Notice of Availability of Funds.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for IHS Area Offices.

Program Contact: Ms. Jackie Sanitago, Chief, Loan Repayment Program, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-3396. Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: (301) 443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The IHS defined "Health Profession" to mean family medicine, internal medicine, pediatrics, geriatric medicine, obstetrics and gynecology, podiatric medicine, nursing, public health nursing, dentistry, psychiatry, osteopathy, optometry, pharmacy, psychology, public health, social work, marriage and family therapy, chiropractic medicine, environmental health and engineering, and allied professions. Other factors that will be employed to determine which applicant is selected for awards include: (a) An applicant's length of current employment in the IHS, tribal or urban program; (b) availability for service earlier than other applicants (first come, first served); and (c) date the completed application was received.

**93.165 GRANTS TO STATES FOR LOAN REPAYMENT PROGRAM**

State Loan Repayment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 3381, 42 U.S.C. 254 q-1(h). Section 10503 of the Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

To increase the availability of primary health care in health professional shortage areas (HPSAs) by assisting States in operating programs for the repayment of educational loans of health professionals in return for their practice in HPSAs.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds under this grant must only be used to repay the qualifying educational loans of health professionals who have entered into State Loan Repayment Program (SLRP) contract with the States. Funds cannot be used for the following purposes: costs of administering the program, State matching funds, or any other purpose. Funds under this grant must only be used to repay the qualifying educational loans of health professionals who have entered into SLRP contract with the States.

**Applicant Eligibility:**

Eligible entities include the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, Palau, the Marshall Islands, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

Applicants for State programs must have completed a course of study required to practice independently without supervision, as one of the following health care professionals: Doctors of Allopathic Medicine or Osteopathic Medicine, General Practice Dentists (D.D.S. or D.M.D.), Pediatric Dentists, Primary Care

Certified Nurse Practitioners, Certified Nurse-Midwives, Primary Care Physician Assistants, Registered Clinical Dental Hygienists, Health Service Psychologist (formerly Clinical or Counseling Psychologists (Ph.D. or equivalent), Licensed Clinical Social Workers (masters or doctoral degree in social work), Psychiatric Nurse Specialists, Mental Health Counselors, Licensed Professional Counselors (masters or doctoral degree with a major study in counseling), Marriage and Family Therapists (masters or doctoral degree with a major study in marriage and family therapy). The primary care specialties approvable for physicians are: family medicine (and osteopathic general practice), internal medicine, including geriatricians, pediatrics, obstetrics/gynecology, and geriatrics and general psychiatry. General practitioners (physicians who have not completed residency training programs) are not eligible for funding under the SLRP. The primary care specialties approval for nurse practitioners and physician assistants are: adult, family, pediatrics, psychiatry/mental health, geriatrics, or womens health.

Participants must provide full-time clinical service for a minimum of two years in a public or non-profit entity located in a federally designated health professional shortage area (HPSA).

Refer to the NHSC State Loan Repayment Program Guidance for specific requirements.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 120 to 180 days. Subsequent funding depends upon the availability of funds and program performance. Renewals are funded through a non-competitive process each year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. Fifty-percent (50%). States must agree to make available (directly or through donations from public or private entities) non-Federal contributions in cash toward SLRP contracts in an amount not less than \$1 for each \$1 of Federal funds provided in the grant. A State may not use any Federal funds or in-kind contributions to satisfy the non-Federal match requirement. A State must verify that contributions from sources other than State appropriated funds are non-Federal. States may use non-Federal funds in excess of the \$1 for \$1 minimum match to supplement the repayment of qualifying loans of health professionals.

The Federal share must be used to repay the government and commercial loans of health professionals for tuition, educational expenses and living expenses described in Section 338B(g)(1) of the Public Health Service Act. States must assume administrative costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

A grant award is for 1 year. Applicants may propose a project period of up to 4 years. States are asked to commit the full amount of funding for their loan repayment awards to practitioners in the current fiscal year to avoid out-year commitments for additional Federal funds. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Recipient States must submit: (1) a Financial Report within 90 days of the end of each budget period; (2) Semi-Annual Field Strength Reports through the HRSA Electronic Handbooks System (EHBs); (3) non-competing continuation application(s) report through the EHBs; (4) a Final Report. All grantees are required to submit a final report within 90 days after the project period ends. No cash reports are required. See above. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$10,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY 10 Range of awards: \$72,070 to \$1,000,000; average: \$286,411.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Division of National Health Service Corps, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

**Headquarters Office:**

Division of National Health Service Corps 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 594-4400

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.364 Nursing Student Loans; 93.908 Nursing Education Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For new and competing continuation grants the following criteria will be used to evaluate State applications to determine which States are to be supported under this notice: (a) The extent of the State's need for health professionals consistent with the health professions and specialties identified later in this notice; (b) the number and type of providers the State proposes to support through this program; (c) the appropriateness of the proposed placements of State LRP recipients (e.g., consistency and coordination with State-based plans to improve access to primary health services for the underserved communities and individuals); (d) the appropriateness of the qualifications, the administrative, and managerial ability of the staff to implement the proposed project; (e) the suitability of the State's approach and the degree to which the plan of a State is coordinated with Federal, State, and other programs for meeting the State's health professional needs and resources, including mechanisms for ongoing evaluation of the program's activities; (f) the source and plans for the use of the nonfederal match (the degree to which the nonfederal match exceeds the minimum requirements or has increased over time and the amount of the match relative to the needs and resources of the State); (g) for competing continuation applicants only, the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (h) an assessment of the reasons for initial breaches by health professionals of repayment contracts; and (i) the grantee's history of compliance with reporting requirements. Noncompeting continuation applications will be evaluated on the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (j) and assessment of the reasons for initial breaches by health professionals of repayment contracts; and (k) the grantee's history of compliance with reporting requirements.

**93.173 RESEARCH RELATED TO DEAFNESS AND COMMUNICATION DISORDERS****FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 464 A-F, and 487, as amended; 42 U.S.C. 241, 285m, 285m-3, and 288; Public Law 100-553; 102 Stat. 2769; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To investigate solutions to problems directly relevant to individuals with deafness or disorders of human communication in the areas of hearing, balance, smell, taste, voice, speech, and language. The National Institute on Deafness and Other Communication Disorders (NIDCD) supports research including investigation into the etiology, pathology, detection, treatment, and prevention of disorders of hearing and other communication processes, primarily through the support of basic and applied research in anatomy, audiology, biochemistry, bioengineering, epidemiology, genetics, immunology, microbiology, molecular biology, the neurosciences, otolaryngology, psychology, pharmacology, physiology, psychophysics, speech-language pathology, and other scientific disciplines. The NIDCD supports: (1) Research into the evaluation of techniques and devices used in diagnosis, treatment, rehabilitation, and prevention of disorders of hearing and other communication processes; (2) research into prevention and early detection and diagnosis of hearing loss and speech, voice, and language disorders and research into preventing the effects of such disorders by means of appropriate referral and rehabilitation; (3) research into the detection, treatment, and prevention of disorders of hearing

and other communication processes in the elderly population and its rehabilitation to ensure continued effective communication skills; and (4) research to expand knowledge of the effects of environmental agents that influence hearing or other communication processes. Small Business Innovation Research (SBIR) program: To increase private sector commercialization of innovations derived from Federal research and development; to encourage small business participation in Federal research and development; and to foster participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Project Grants and Centers Grants may be used to provide salaries, equipment, supplies, travel, and other expenses for research. The grantee institution is obliged to expend grant funds prudently for the purposes as stated in the application and award document. Some National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical and behavioral research areas. Other training grants are made to institutions to enable them to make NRSAs to individuals selected by them. Each postdoctoral individual who receives an NRSA may be obligated, upon termination of the award, to comply with certain service and payback provisions. Mentored and unmentored career development awards are made to enhance the independent research capability of highly promising individuals during the formative stages of their careers. Small Business Innovation Research (SBIR) Program: Phase I grants (of approximately 6 months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants are for the continuation of the research efforts initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grant (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. Grant funds may be expended only for the purpose stated in the application and award document.

**Applicant Eligibility:**

Project Grants and Centers Grants: Any public, private, nonprofit, or for-profit institution is eligible to apply. For-profit institutions are not eligible for institutional National Research Service Awards. All proposals are reviewed for scientific merit, for evaluation of the qualifications of the investigators, for adequacy of the research and/or research training environment and for significance of the problem. Approved proposals compete for available funds. Awardees of almost all Research Career Development Programs must be citizens or have been admitted to the United States for permanent residence. Candidates must be nominated for the program by a nonfederal public or private nonprofit institution located in the United States, its possessions or Territories. To be eligible, postdoctoral NRSA trainees and fellows must have a professional or scientific doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the United States or its possessions. To be eligible for funding, an SBIR grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to

domestic small business concerns which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Health professionals, graduate students, health professional students, scientists, physicians, and other health and allied health professionals.

**Credentials/Documentation:**

Project Grants are awarded to an institution in the name of an individual investigator. Centers Grants are also awarded to an institution in the name of an investigator designated as the Program Director. Persons qualified to carry out research related to the NIDCD grant programs described above may apply for funds through their institution to support their investigations. Research career development must be conducted under the direction of a competent sponsor. A candidate for a Career Award must have an earned M.D., Ph.D. or equivalent degree and have had prior research experience. National Research Service Awards: (1) Individual NRSA Fellowship Awards for predoctoral and postdoctoral training: The candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. (2) Institutional Training Grants for predoctoral and postdoctoral training: The applicant institution must show the objectives, design and resources for the research training program; the qualifications and experience of directing staff and training preceptors; the criteria to be used in selecting individuals for stipend support; and a detailed, justified budget for the numbers and type of trainee positions requested. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulation. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, the applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF 424 (R&R) is used to apply for SBIR Phase I and Phase II. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number as the Universal Identifier when applying for Federal grants or cooperative agreements. The DUNS number can be obtained by calling (866) 705-5711 or through the web site at: <http://www.dunandbradstreet.com>. The NIH is converting to SF424 (R&R) Research and Related forms and electronic submission through Grants.gov for the submission of all grant applications. Visit <http://era.nih.gov/ElectronicReceipt> for information and updates on this new process and [www.nidcd.nih.gov/funding/foa](http://www.nidcd.nih.gov/funding/foa) to identify funding opportunity announcements relevant to NIDCD. Research Fellowships: Prior to formal application, a candidate must be accepted at an institution as a doctoral student or postdoctoral fellow and have a sponsor who will supervise the training. Fellows may be sponsored by a (domestic or foreign) nonprofit institution. Application forms and information concerning current areas being supported under the Research Fellowship Award Program should be obtained from the Office of Research Manpower, National Institutes of Health, Bethesda, MD 20892. Application forms for Individual or Institutional NRSA's and information concerning the areas of science being supported may be obtained from the Office of Research Manpower, Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892, and should be submitted to the same address. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments, and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business

Funding Opportunities" home page

<http://www.nih.gov/grants/funding/sbir.htm>. For further assistance in all above areas, contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

**Award Procedure:**

Research grant, career development, and research training program applications are reviewed initially by technical panels composed of scientific authorities, and by the National Deafness and Other Communication Disorders Advisory Council composed of 18 leaders in medicine, science, education, and public affairs. Approved applications will compete on a merit basis for available funds. Formal award notices are transmitted to the grantee or awardee. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

> 180 Days. Research Grants and Centers Grants: Approximately 6 to 9 months. Career Program: From 6 to 9 months. SBIR/STTR applications: About 6 to 9 months. Institutional Training Grants: From 10 to 12 months. Individual Fellowships: From 4 to 6 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>. Final decisions on unresolved appeals are made with the advice of the National Deafness and Other Communication Disorders Advisory Council.

**Renewals:**

> 180 Days. By application and review in the same manner as new applications. Research career awards are not renewable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Research Grant awards are made for a 12-month period with recommendation of up to 4 years of additional support. Center Grant awards support may be for a period not to exceed 5 years. Career development awards provide support for up to 5 years. NRSA fellowship and traineeship awards are usually for a 12-month period, with recommendation of additional support of no more than 5 years for predoctoral training and no more than 3 years for postdoctoral training. SBIR Phase I awards are generally for 6 months; Phase II awards normally may not exceed 2 years. STTR Phase I awards are generally for 1 year; Phase II awards normally may not exceed 2 years. See the following for information on how assistance is awarded/released: After the progress report is evaluated and deemed satisfactory, a notice of grant award for each grant is issued annually.

**Reports:**

Program reports are not applicable. The grantee organization submits quarterly cash 272 reports. A progress report is required yearly for each grant. A financial status report is due either annually or at the end of the project period, depending upon the type of grant. Performance monitoring is covered in the annual progress report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0890-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$336,882,000; FY 11 est \$335,655,000; and FY 12 est \$348,563,000

**Range and Average of Financial Assistance:**

Competing Grants: FY10 \$3,000-\$1,876,173; Average: \$344,673.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This year, 1,231 competing and non-competing awards were funded. The Institute supports a wide variety of basic and applied research studies concerning balance control, hearing, the senses of smell and taste, as well as speech, voice, and language. Encouraging progress has been made in each of these areas and is expected to continue. Clinical topics under investigation include vertigo; mild, moderate and profound hearing impairment; the design and efficacy of hearing aids and cochlear implants; aphasia; specific language impairment; disorders of taste and smell; stuttering, and voice disorders. Fiscal Year 2011: Grant awards are continuing at a pace similar to FY 2010. Absolute numbers are not yet available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Project Grants and Centers Grants: 42 CFR 52 or 52a; 42 CFR 66; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Debra S. Holmes 6120 Executive Boulevard  
EPS - Room 400C, Bethesda, Maryland 20892-7180 Email:  
holmesd@mail.nih.gov Phone: 3014968693 Fax: 3014026250

**Website Address:**

<http://www.nidcd.nih.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: See NIH's Research Portfolio Online Reporting tools at <http://projectreporter.nih.gov>. Fiscal Year 2011: See NIH's Research Portfolio Online Reporting tools at <http://projectreporter.nih.gov>. Fiscal Year 2012: See NIH's Research Portfolio Online Reporting tools at <http://projectreporter.nih.gov>.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed project; (5) the necessity of budget components requested in relation to the proposed project; (6) the relevance and importance to announced program objectives; (7) innovation; (8) risk to human subjects, including inclusion of minorities and children, and animal protection. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach;

(2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.178 NURSING WORKFORCE DIVERSITY**

NWD

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII, Section 821 of the Public Health Service Act (42 U.S.C. 296m), as amended by Section 5404 of the Patient Protection and Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

To increase nursing education opportunities for individuals who are from disadvantaged backgrounds (including racial and ethnic minorities under-represented among registered nurses) by providing student stipends and scholarships, stipends for diploma or associate degree nurses to enter a bridge or degree completion program, student scholarships or stipends for accelerated nursing degree programs, pre-entry preparation, advanced education preparation, and retention activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and student stipends or scholarships; and other expenses related to the project. Indirect costs are allowed for administrative costs incurred as a result of the project, limited to 8 percent of direct costs exclusive of equipment and tuition and fees. The maximum annual (12-month) amount for stipends is \$3000 per eligible student. Scholarships are limited to a maximum of \$7,000 per eligible student per year for upper division nursing students. The maximum amount that can be requested for scholarships in a grant is \$40,000 per year.

**Applicant Eligibility:**

Eligible applicants are accredited schools of nursing, nursing centers, academic health centers, State or local governments, an Indian Tribe or Tribal organization, other public or private non-profit entities including faith-based and community organizations, and for-profit entities capable of carrying out the legislative purpose. Schools of nursing providing formal degree programs must be accredited by a national nurse education accrediting agency or State approval agency recognized by the U.S. Department of Education.

**Beneficiary Eligibility:**

Accredited public and nonprofit private schools of nursing and other public or nonprofit private entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission

of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Competing continuation applications may be submitted for continuance of a grant beyond the initial project period. A competing continuation application shall be submitted during the beginning of the third year of the initial project period. The submission date is the same for new applications and competing continuation applications. These applications are reviewed in the same manner and at the same time as new competing applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for three (3) years of support. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. All Bureau of Health Professions grantees are required to submit a progress report to HRSA on an annual basis. This report has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data to measure the Bureaus progress through its grantees. A final progress report must be submitted within 90 days after the end of the project period. A Federal Financial Report (FFR) must be submitted within 90 days after the end of each budget period. A final financial report must be submitted within 90 days after the end of the project period. See above for reporting requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim,

negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$14,520,021; FY 11 est \$15,151,359; and FY 12 est \$15,151,359

**Range and Average of Financial Assistance:**

Range: \$110,880 \$515,631; Average first year award: \$324,643.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. LCDR Sidney Hairston, MSN, RN, Project Officer, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Rm. 9-61, Parklawn Bldg, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5688.

**Headquarters Office:**

Aisha K. Mix 5600 Fishers Lane, Room 9B-45, Rockville, Maryland 20857  
Phone: (301) 443-6193

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

93.417 ARRA - Nursing Workforce Diversity

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The purpose of the project must be consistent with and promote the activities identified in the law. Need must be documented, and the capability for achieving project goals must be described. In making awards of grants under this section. Review criteria will be included in funding opportunity announcements. Preference may be given to any eligible applicant with a project that will advance in designated health professional shortage areas.

**93.184 DISABILITIES PREVENTION**

(Disability and Health)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Part 241(a), Section Section 301(a) , Public Law USC-42 U.S.C. 247(b).

**OBJECTIVES:**

To (1) Provide a national focus for the prevention of secondary conditions in persons within selected disability domains including mobility, personal care, communication, and learning; (2) build State capacity to coordinate program activities and assess the magnitude of disability in States; (3) employ epidemiological methods to set priorities and direct health promotion interventions for persons with disabilities; (4) conduct research projects to



understand secondary conditions and measure the impact of the environment on the lives of persons with disabilities, and conduct studies on the effectiveness of interventions in targeted groups of persons with disabilities; (5) fund and support a national limb loss information center; (6) fund and support a national information center on physical activity for persons with disabilities; (7) fund and support a national paralysis and quality of life/health promotion information and resource center; (8) fund and support a national spina bifida information and resource center and (9) fund and support intellectual disability projects and 10) fund and support the Healthy Athletes screening program.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

CDC issued continuation awards in fiscal year 2011 for 16 State disability and health cooperative agreements. CDC issued competitive awards to four information/resource centers to address the prevention of secondary conditions and health promotion for persons with disabilities. State capacity cooperative agreements: These awards are providing financial assistance to: 1) Establish and/or sustain State offices of disability and health to promote the visibility of preventing secondary conditions as a State public health priority, and serve as a technical assistance resource and statewide focus for the prevention of secondary conditions; 2) support an advisory function to coordinate and provide policy and program direction guidance in the State; 3) develop and/or implement a State strategic plan or policy instrument for health promotion for persons with disabilities; 4) establish and implement university partnerships to support and complement State project activities; 5) maintain and refine prescribed public health surveillance or survey activities for disability domains of mobility, personal care, communications, and learning in order to implement prevention efforts and program evaluation activities; 6) provide technical assistance to communities; and 7) promote education and health promotion programs for persons with disabilities, conduct training of health professionals, and facilitate access to services for persons with disabilities. Research project grants: Financial assistance under this program is being used to: 1) Implement and evaluate programs to identify and quantify preventable secondary conditions within disability domains which include physical, medical, cognitive, emotional, and/or psychosocial conditions and their prevention; 2) determine the risk and protective factors in specified populations of persons who have a disability; 3) measure the effectiveness and costs of preventive interventions; and 4) develop measurements of the environment that can facilitate or hinder access to participation for persons with a disability. National Limb Loss Information Center: Financial assistance has been awarded to operate a national clearinghouse to provide educational materials and self-help guidance to persons with limb loss and limb difference their families, and develop a peer visitation training initiative for the conduct of education and training sessions in hospitals, rehabilitation facilities, and support groups. The National Center on Physical Activity and Disability provides multiple sources of information and references on a vast array of inquiries on exercise, fitness and health promotion activities. Christopher and Dana Reeve Foundation: Financial assistance has been awarded to operate a national resource center for persons with paralysis, their families, and their caregivers. National Spina Bifida Information and Resource Center: Financial assistance has been awarded to expand local programs for those affected by spina bifida, seed research into spina bifida, and expand information resources. Special Olympics, Inc: Financial assistance has been awarded to conduct the Healthy Athletes program. In these cases, project funds may not be used to supplant State, local, or institutional funds available for these activities, or for construction costs, or to purchase facilities or space. Grantees may enter into contracts as necessary to help achieve the objectives of their respective programs.

**Applicant Eligibility:**

Based on available funding for fiscal year 2011, CDC issued continuation awards for 16 State projects. Eligibility for the programs in the future are State health departments or other official organizational authority (agency or instrumentality) of States, including the District of Columbia, the Commonwealth of Puerto Rico, and any territory or possession of the United States. Also, four national information centers on limb loss, physical activity, paralysis, and spina bifida were funded. Eligible applicants for competing applications in fiscal year 2011 included public and private nonprofit entities,

including universities, university-affiliated systems, not-for-profit medical centers, research institutions and rehabilitation hospitals, disability service groups such as advocacy and voluntary organizations and independent living centers, and federally recognized Indian Tribal Governments. For the limb loss information center, the physical activity, paralysis and spina bifida resource center projects; continuation applications were solicited for these programs in FY 2011. New competitive applications were solicited from States in FY 2007.

**Beneficiary Eligibility:**

In addition to the eligible applicants, other groups who will receive benefits from the program include persons with disabilities and family members of persons with disabilities, persons with limb loss, minority populations, refugees, infants, children, youth, adults, senior citizens, women, all educational levels, all income levels, urban, suburban, and rural populations, health/rehabilitation professionals, scientists, educators, and researchers.

**Credentials/Documentation:**

State disability and health applicants documented in their fiscal year 2007 competitive applications the need for assistance, indicated the objectives of their projects, presented their approaches to meet set objectives, and outlined the method of operation. Current information centers requested continuation funding to meet original protocols and objectives. For nonprofit recipients, costs will be determined in accordance with HHS Regulation 45 CFR 74. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The guidelines will indicate whether or not an application is subject to Executive Order 12372. If the application is subject for review per State Executive Order 12372, please follow these instructions:

1. The SPOC should be contacted as early as possible to receive any necessary instructions on the State process. If the project serves more than one State, the department should contact the SPOC of each affected State.
2. The necessary information should be mailed to the SPOC.
3. Please provide a copy of the cover letter sent to the SPOC to Grants & Contracts along with the hard copy application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the Grants.gov web site, at the following Internet address: [www.grants.gov](http://www.grants.gov). Submit the final application using the [www.grants.gov](http://www.grants.gov) website. This program is subject to the provisions set forth in 45 CFR 92, for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

State disability and health cooperative agreement competitive awards are determined by an internal objective committee review process at CDC. Research project grant competitive awards are determined by an external peer review. At such times, awards will be based on evaluation criteria set forth in the respective Program Announcements, the availability of funds, and such other significant factors as deemed necessary and appropriate by CDC. Awards for State disability and health projects will be issued for expected project periods of 5 years. Future awards for Research project grants are not expected to be issued until fiscal year 2013 given the funding cycles for those projects. The Notices of Grant Award will indicate financial support for the first budget year, allocations of Federal funds by budget category, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Between 60 to 95 days from the deadline date for

submission of applications.

**Appeals:**

Not Applicable.

**Renewals:**

A new competition for State awards was conducted in February 2007. Competition for new or additional State projects will be based on future appropriations. The current research project grants will conclude their respective project periods during the period in September 2011. New Research grants are expected to be announced in September 2012. The National Limb Loss Information Center, the National Center on Physical Activity and Disability, and the National Spina Bifida Information and Resource Center received non-competing continuation funding in fiscal year 2011.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Sixteen State disability and health projects received financial assistance in fiscal year 2007 for five year project periods. The competitive research grants funded in fiscal year 2006 had three year project periods. Other future solicitations (when announced) will indicate the length of the project periods and program requirements for each of these programs. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual progress reports are required. Financial status reports are required no later than 90 days after the end of each specified budget period. Final financial status reports and a final program report is required 90 days after the end of the project. Cash reports are not applicable. Annual progress reports are required. Financial status reports are required no later than 90 days after the end of each specified budget period. Final financial status reports and a final program report is required 90 days after the end of the project. Financial status reports are required no later than 90 days after the end of each specified budget period. Final financial status reports and a final program report is required 90 days after the end of the project. Annual progress reports are required. Financial status reports are required no later than 90 days after the end of each specified budget period. Final financial status reports and a final program report is required 90 days after the end of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$24,931,889; FY 11 est \$23,685,294; and FY 12 est \$21,908,896 - State capacity projects: FY 07 \$4,606, 616; FY 08 \$5,209, 769; FY 09 \$5,029,769. FY . Research Projects: FY 07 \$2,299, 620; FY 08 \$2, 2922, 260 and FY09 \$2,922,620. National Limb Loss Information Center: FY 07 \$1,650,00, FY 08 \$1,650,000; and FY 09 \$1,650,000, FY 10 \$1,650,000, FY11 \$825,000. National Center on Physical Activity and Disability; FY 07 \$800,000; FY08, and FY 09 \$925,000, FY 10 \$925,000, FY 11 \$925,000; Special Olympics FY 07 \$5,500,00; FY 08 \$5,508,084 and FY 09 \$5,479, 271, FY 10 \$4,202,116 FY 11 \$3,500,000. National Spina Bifida Resource Center:

FY 07 \$1,250,000; FY 08 \$1,250,000; and FY 09 \$1,250,000 and Christopher and Dana Reeve Paralysis Resource Center, FY 08 \$5,617,350 and FY 09 \$5,254,403; FY 10 \$6,410,000 FY 11 \$5,800,000.

**Range and Average of Financial Assistance:**

The competitive awards using fiscal year 2011 funds for the State capacity projects range from \$200,000 to \$450,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jacqui Butler, MPA, CMC 1825 Century Center Boulevard Rm 4074, Atlanta, Georgia 30345 Email: jabutler@cdc.gov Phone: (404) 498-0274

**Website Address:**

<http://www.cdc.gov/ncbddd/disabilityandhealth/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

There was a recent competition for State awards in February 2007. New Research projects may be awarded in September 2013. In these cases, applications are reviewed based on evaluation criteria explicit in the respective Program Announcements. Applications must address demonstrated program need, the magnitude of the problem, the management work plan, collaborative associations, and the approach toward setting and meeting overall project objectives and time frames. These future competitive applications would also be evaluated on the capacity of the applicant to demonstrate effective collaborations with other agencies and data sources critical to preventing secondary conditions, identifying and addressing health promotion needs for persons with disabilities, denoting the capability of the project to address minority and low-income populations in the prevention of secondary conditions, promoting accessibility to all program services for persons with disabilities, and offering sound proposals toward development of surveys and surveillance for useful data bases within outlined targeted disability activities.

**93.185 IMMUNIZATION RESEARCH, DEMONSTRATION, PUBLIC INFORMATION AND EDUCATION\_TRAINING AND CLINICAL SKILLS IMPROVEMENT PROJECTS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To assist States, political subdivisions of States, and other public and private nonprofit entities to conduct research, demonstration projects, and provide public information on vaccine-preventable diseases and conditions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project funds may be used for the costs associated with organizing and conducting these projects, and in certain circumstances, for purchasing vaccine. Requests for direct assistance (i.e., "in lieu of cash") for personnel, vaccines, and other forms of direct assistance will be considered. Funds may not be used to supplant existing immunization program activities.

**Applicant Eligibility:**

Under Section 317(k) of the Public Health Service Act: States, political subdivisions of States, and other public and private nonprofit entities.

**Beneficiary Eligibility:**

Under Section 317(k) of the Public Health Service Act: States, political subdivisions of States, and other public and private nonprofit entities.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. The standard application forms must be used for this program, as furnished by CDC and required by 45 CFR 92 for State and local governmental agencies, and by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by the NCIPC in accordance with the review criteria. As part of the initial merit review, all applications may: (1) Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score; (2) receive a written critique; and (3) receive a second level review by the Science and Program Review Subcommittee (SPRS) of the Advisory Committee for Injury Prevention and Control (ACIPC). Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Oct 01, 2010 Contact Headquarters Office for application deadline.

**Range of Approval/Disapproval Time:**

From three to six months.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. Project periods are for one to five years with 12-month renewals. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2716.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period: Variable. Budget period: For 12 months. See the following for information on how assistance is awarded/released: Various avenues.

**Reports:**

Subject to OMB clearance, quarterly narrative progress reports (including appropriate statistical data) are required 30 days after the end of each quarter. Narratives should address progress or lack of progress in achieving project objectives, including methods being used to resolve problems. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 Not Available; FY 11 est \$9,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Anjella Vargas-Rosales, 1600 Clifton Road, Room 8232, Mailstop A-27, Atlanta, Georgia 30333 Email: [acv6@cdc.gov](mailto:acv6@cdc.gov) Phone: (404) 200-7465 Fax: (404) 639-8626

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.186 NATIONAL RESEARCH SERVICE AWARD IN PRIMARY CARE MEDICINE****FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 487 of the Public Health Service Act and Division D, Title II, Section 218 of the Consolidated Appropriations Act of 2010, Public Law 111-117.

**OBJECTIVES:**

The Ruth L. Kirschstein National Research Service Awards (NRSA) in Primary

Care Program is a five-year initiative that seeks to develop a diverse and highly trained primary care research workforce by supporting grantees that prepare qualified individuals for careers that will have significant impact on the nation's primary care research agenda. Within the framework of the programs' longstanding commitment to excellence and projected need for investigators in particular areas of research, attention must be given to recruiting individuals with proven experience in biomedical and behavioral sciences and health systems.

**TYPES OF ASSISTANCE:**

Project Grants (Capacity Building and Complaint Processing, Training)

**USES AND USE RESTRICTIONS:**

NRSA grants are made to approved institutions to enable them to provide up to five years of fellowship support to qualified postdoctoral individuals undertaking primary care research training. Each NRSA trainee is obligated to comply with Federal service and payback provisions. Trainees in the first 12 months of postdoctoral support incur one month of service payback obligation for each month of support. Postdoctoral trainees in the 13th and subsequent months of NRSA support do not incur any further service obligation. In addition, the 13th and subsequent months of postdoctoral training serve to discharge the NRSA payback obligation.

**Applicant Eligibility:**

Domestic public or private nonprofit organizations or institutions may apply for training grants. The applying institution must be an entity that trains primary care providers in medicine or dentistry and has received federal support as evidenced by receipt of a grant under Title VII, section 747 of the Public Health Service Act, designed to prepare the primary care health workforce. State or local governments and U.S. Territories are eligible. For-profit organizations are not eligible. All persons supported as fellows or trainees must be citizens or non-citizen nationals of the United States, or have been lawfully admitted for permanent residence.

**Beneficiary Eligibility:**

Individuals and public or private nonprofit organizations or institutions, including State or local governments and U.S. Territories.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications that must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification of award is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 2 to 3 months from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuations may be submitted during the final budget period of

the approved project period.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No individual trainee may receive more than three years of aggregate National Research Service Award support at the post-doctoral level, including any combination of support from institutional and individual awards. Institutional training grants may be awarded for project periods up to five years. Awards are made on an annual basis and it is expected that expenditures will be made within the budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee with the Department of Health and Human Services (DHHS), which may be the Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released. Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Training) FY 10 \$7,506,900; FY 11 est \$7,419,500; and FY 12 est \$7,419,500

**Range and Average of Financial Assistance:**

\$152,385 to \$400,000; \$353,310.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: The NRSA program was competed with a newly extended project period of five years. Twenty-eight applications were received and 21 were funded in 2011 for a total award amount of \$7,419,500. The funded grants will reach 96 trainees in 21 states. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Martha Evans, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-27, 5600 Fishers Lane, Maryland 20857, Telephone: (301) 443-3142 and E-mail address [mevansl@hrsa.gov](mailto:mevansl@hrsa.gov).

**Headquarters Office:**

Shari W. Campbell, 5600 Fishers Lane, Room 9A-37, Rockville, Maryland  
20857 Phone: (301) 443-6190.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: <http://bhpr.hrsa.gov/grants/medicine/index.html>. Fiscal Year 2011: <http://bhpr.hrsa.gov/grants/medicine/index.html>. Fiscal Year 2012: <http://bhpr.hrsa.gov/grants/medicine/index.html>.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal consultant(s) for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedure above to obtain a copy of the announcement.

**93.189 HEALTH EDUCATION TRAINING CENTERS CONTINUING EDUCATIONAL SUPPORT FOR HEALTH PROFESSIONALS SERVING IN UNDERSERVED COMMUNITIES**

Health Education Training Centers

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service (PHS) Act, Title VII, Section 752, as amended by the Patient Protection and Affordable Care Act, P.L. 111-148, Section 5403.

**OBJECTIVES:**

The legislative purpose of this initiative is to improve health care, increase retention, increase representation of minority faculty members, enhance the practice environment, and provide information dissemination and educational support to reduce professional isolation through the timely dissemination of research findings using relevant resources. Grantees will use a variety of educational approaches (e.g., distance learning, collaborative conferences, continuing education activities, electronic and telelearning activities) to deliver information to primary care providers located in underserved and rural areas including border areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds awarded under this section shall be used to provide innovative activities to enhance education through distance learning, continuing educational activities, collaborative conferences, and electronic and telelearning activities, with priority for primary care.

**Applicant Eligibility:**

Grant applications shall be accepted from health professions schools, academic health centers, or other appropriate public or private nonprofit entities.

**Beneficiary Eligibility:**

Same as applicant eligibility above.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuation applications may be submitted during the final budget period of the approved project.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The first project period will be up to 3 years to allow for the development and implementation of health education training centers and primary care continuing education programs. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A Uniform Progress Report (UPR) - Comprehensive Performance Management System (CPMS) Report must be submitted annually and can be submitted electronically. No cash reports are required. An annual progress report must be submitted and can be submitted electronically. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY 05, Border HETCs: \$100,000 to \$556,010; \$355,462.

FY 05, Non-Border HETCs: \$239,508 to \$326,615; \$296,069.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Louis Coccodrilli, MPH  
Chief, AHEC Branch  
Parklawn Building Room 9-36  
Rockville, Maryland 20857  
Phone: (301) 443-6950  
E-mail: [lcoccodrilli@hrsa.gov](mailto:lcoccodrilli@hrsa.gov).

**Headquarters Office:**

CAPT Norma Hatot Parklawn Building Room 9-36  
5600 Fishers Lane  
Rockville, Maryland 20857, Rockville, Maryland 20857 Email:  
[nhatoti@hrsa.gov](mailto:nhatoti@hrsa.gov) Phone: (301) 443-6950

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

NEED- Demonstrates an understanding of the purpose of the HETC program, and demonstrates an understanding of the identified need(s).

RESPONSE- The degree to which the proposed project responds to the program requirements as set forth in sections.

EVALUATE MEASURES- The adequacy of the evaluation strategies to monitor and evaluate project results.

IMPACT- The potential of the proposed HETC program to disseminate information and deliver continuing education programs to primary care providers in underserved and rural areas including border areas.

RESOURCES/CAPABILITIES- Evidence of qualifications in key personnel bio-sketches; evidence of adequate staffing plan for proposed project; evidence of ability to implement complex programs with similar requirements; evidence of institutional support.

SUPPORT REQUESTED- Evidence of a reasonable detailed budget and budget rationale to accomplish the project objectives.

**93.191 PATIENT NAVIGATOR AND CHRONIC DISEASE PREVENTION PROGRAM**

Patient Navigator and Chronic Disease Prevention Program (PN)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

GPE: as amended by the Health Professions Education Partnership Act of 1998, PL 105-392

PN: Section 340A of the Public Health Service Act (42 U.S.C. 256a), as amended by the Patient Protection and Affordable Care Act, Pub. L. 111-148.

**OBJECTIVES:**

GPE: The Graduate Psychology Education Program addresses the interrelatedness of behavior and health and the critical need for integrated health care services. Grants will be awarded to assist eligible entities in meeting the costs to plan, develop, operate, or maintain graduate psychology doctoral, doctoral internship, and doctoral residency programs accredited by the APA. These programs must foster an integrated approach to health care services and

address access for underserved populations by training psychologists to work with underserved populations including children, the elderly, victims of abuse, the chronically ill or disabled; and in areas of emerging needs.

PN: The Patient Navigator Program focuses on improving patients health outcomes through enhanced chronic disease management by using patient navigators and the implementation of PN programs to include recruitment, training, assignment, and employment of such navigators.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

GPE: Funds may be used for predoctoral and postdoctoral stipend support of students. Funds may not be used for student tuition or fees or for direct health care service delivery.

PN: Funds may be used for the recruitment, training, assignment, and employment of patient navigators to perform the following six duties: (1) Acting as contacts, including by assisting in the coordination of health care services (such as screening clinics, diagnosis centers, treatment facilities, and clinical trials) and provider referrals for individuals who are seeking prevention or early detection services for, or who following a screening or early detection service are found to have a symptom, abnormal finding, or diagnosis of cancer or other chronic disease; (2) Facilitating the involvement of community organizations in assisting individuals who are at risk for or who have cancer or other chronic diseases to receive better access to high-quality health care services (such as by creating partnerships with patient advocacy groups, charities, health care centers, community hospice centers, other health care providers, or other organizations in the targeted community); (3) Notifying individuals of clinical trials and, on request, facilitating enrollment of eligible individuals in these trials; (4) Anticipating, identifying, and helping patients to overcome barriers within the health care system to ensure prompt diagnostic and treatment resolution of an abnormal finding of cancer or other chronic disease; (5) Coordinating with relevant health care ombudsman programs to provide information to individuals who are at risk for or who have cancer or other chronic diseases about health coverage, including private insurance, health care savings accounts, and other publicly funded programs (such as Medicare, Medicaid, health programs operated by the Department of Veterans Affairs or the Department of Defense, the Children's Health Insurance Program, and any private or governmental prescription assistance programs); and (6) Conducting ongoing outreach to health disparity populations, including the uninsured, rural populations, and other medically underserved populations, in addition to assisting other individuals who are at risk for or who have cancer or other chronic diseases to seek preventative care. Funds may not be used to fund legal fees or costs, referral fees, research or other services, including the delivery of health care services other than the patient navigator duties, or facilities or real property.

**Applicant Eligibility:**

GPE: Eligible entities are accredited health profession schools, universities, and other public or private nonprofit entities. Only applicants whose training program is accredited by the American Psychological Association (APA) and who provide such documentation can be funded. The eligible entity must demonstrate that the training within an accredited psychology training program will occur in collaboration with one or more disciplines other than psychology. Disciplines include, but are not limited to, family medicine, general internal medicine, and pediatrics. Funding is available for accredited doctoral programs, internships, and post-doctoral training programs.

PN: Eligible applicants include public or non-profit private health centers (including federally qualified health centers), health facilities operated by or pursuant to a contract with the Indian Health Service, hospitals, cancer centers, rural health clinics, academic health centers, and non-profit entities that enter into a partnership or coordinate referrals with such centers, clinics, facilities or hospitals to provide navigation services.

**Beneficiary Eligibility:**

GPE: Public or private nonprofit schools, universities, or other educational entities which provide for graduate psychology education and training or other public or private nonprofit entities capable, as determined by the Secretary, of carrying out the objectives of the project.

PN: Eligible beneficiaries include health disparity populations who have or are

at risk for cancer or other chronic diseases.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

GPE: During the final budget year of the approved project period, competing continuation applications may be submitted.  
PN: Competitive continuations may be submitted during the final budget period within an approved project period.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are up to 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$3,803,975; FY 11 est \$3,955,000; and FY 12 est \$0 - Patient Navigator Program. (Salaries) FY 10 \$2,708,973; FY 11 est \$2,783,340; and FY 12 est \$2,960,493 - Graduate Psychology Education Program.

**Range and Average of Financial Assistance:**

GPE: FY 11: Range: \$75,000 to \$190,000; Average: \$114,000.  
PN: FY10: \$372,642 to \$381,735; \$380,398.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Amanda Sussex, Program Officer, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Room 9-36, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2122, and E-mail: [asussex@hrsa.gov](mailto:asussex@hrsa.gov).

PN: Alexis Bakos 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857  
Phone: (301) 443-5688.

**Headquarters Office:**

Amanda Sussex 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Email: [asussex@hrsa.gov](mailto:asussex@hrsa.gov) Phone: (301) 443-5688

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The patient navigator program has 8 review criteria which are used to review and rank applications. Applicants should pay strict attention to addressing all of these criteria, as they are the basis upon which the reviewers will evaluate applications.

Criterion 1. Need (10 points)

The applications will be reviewed on the extent to which the application describes the problem(s) and associated contributing factors to the problem(s) as follows:

- i. The application describes the health care service and chronic disease management environment in the service area and the need for Federal funds to support patient navigator services.
- ii. The project targets a health disparity population. The application describes the target population and documents their unmet chronic health care and health literacy needs and uses demographic data where appropriate.
- iii. If the applicant chooses to focus on a specific age group, a justification for this approach is provided.
- iv. The applicant describes the communities current assets and needs in regards to:
  - 1) Coordination of health care services and provider referrals for individuals who are seeking prevention services, early detection of, or care for cancer or other chronic disease.
  - 2) Involvement of community organizations in assisting individuals who are at risk for or who have cancer or other chronic diseases to receive better access to high-quality health care services.
  - 3) Notification of individuals with chronic disease of clinical trials.

- 4) Prompt diagnostic and treatment resolution of abnormal findings of cancer or other chronic disease.
- 5) Provision of health insurance information to people who are at risk for or who have cancer or other chronic diseases.
- 6) Outreach to health disparity populations, including the uninsured, rural populations, and other medically underserved populations, in addition to assisting other individuals who are at risk for or who have cancer or other chronic diseases to seek preventative care.
- v. The application explains sufficiently why the community cannot meet the chronic disease management needs of the population in the service area.
- vi. The application addresses relevant barriers in the service area that the project hopes to overcome. The following barriers are discussed in relationship to the project:
  - 1) geographic isolation
  - 2) lack of quality health care providers
  - 3) cultural and linguistic barriers,
  - 4) limited transportation services
  - 5) lack of health insurance and information about health options, and
  - 6) socioeconomic status.
- vii. A map of the service area depicting the communities to be served and relevant service providers and community organizations is included.
- viii. Currently available resources and services relevant to the service area are identified.

#### Criterion 2. Response (20 Points)

The extent to which the proposed project responds to the Purpose included in the program description. The extent to which the goals and activity plans described in the application are capable of addressing the problem and attaining the project objectives as follows:

- i. Clearly demonstrates the sites capability of initiating patient navigation services, including technological capabilities.
- ii. The application identifies the projects proposed goals which are in line with the identified community needs and program objectives outlined in the application guidance. There is clear evidence and rationale to support how health care outcomes of underserved populations who are at risk for or who have chronic diseases including cancer will be improved as a result of the project.
- iii. The application presents an outlined, effective, comprehensive, coherent strategy to carry out grant-funded activities in order to reach proposed goals.
- iv. Provides information potential project partners, including expertise and how the expertise relates to the goals of the PN program. The application explains why the project has decided not to partner with relevant providers or organizations.
- v. Discusses how the PN program will coordinate with existing authorized programs in order to facilitate access to high-quality health care services.
- vi. Identifies similar programs in the community, their role, and justifies the need for an additional program (this program) to serve this population.
- vii. Addresses the issue of how the PN program will resolve differences in executing the project and resolve turf issues should they arise.
- viii. Identifies how the PN program will strengthen health providers and relevant community organizations ability to serve the chronic disease needs of the community.
- ix. Describes how navigation efforts for the chronic diseases selected as a focus of navigation are coordinated with existing programs.
- x. Describes how the proposed project goals and objectives align with Healthy People 2010.
- xi. The applicant included a clear work plan matrix (See Attachment 7) that is reasonable, clearly articulated, and defines the goals, strategies, activities, measurable outcomes and process measures. The objectives are: specific; measurable; achievable; realistic with the proposed personnel, facilities, equipment, and community network; and doable in the stated time frame. An evaluation method is described for each objective that is effective and includes outcome measures. The work plan defines the person or organization responsible for carrying out each activity and includes an anticipated time frame. For applicants in the earlier planning stages, the applicant has identified as much of the described detail as possible and noted plans for approaching each requested steps. The work plan should include tasks for or identify plans for addressing each of the following five areas:

- 1) Recruitment of Patient Navigators:
  - a. Methodology for identifying and recruiting potential patient navigators
  - b. Plan to attract individuals with the appropriate skill mix, local knowledge, and desire to serve the target population
  - c. Proposed number and justification for the number of navigators needed or explanation of how this number will be obtained.
  - d. Evidence of an interested and eligible patient navigator applicant pool, including patient navigator candidates from underrepresented minority and disadvantaged populations with knowledge of local health disparity populations.
- 2) Training Plan
  - a. Applicants must provide assurances that patient navigators recruited, assigned, trained, or employed using grant funds meet minimum core proficiencies, as defined by the applicant. These proficiencies must be tailored for the main focus or intervention of the navigator involved.
  - b. Has defined minimum core proficiencies that are tailored for the main focus or intervention of the navigator involved.
  - c. Provides assurance that each patient navigator recruited, assigned, trained, or employed meets the core proficiencies in h above.
  - d. A description of and timeline for the proposed trainings for each project year, including justification for these trainings.
  - e. Names and roles of any academic institutions or other partners to be involved in the training activities.
  - f. Rationale for the proposed training methodologies and description of infrastructure and approvals for any distance learning.
  - g. Plans to participate in or present at local, regional, State or national conferences focused on chronic diseases, patient support, health care systems, payment education or information on SCHIP and Medicaid or other related subjects part of the ongoing training efforts.
  - h. Discussion of how the program will ensure that all training is culturally competent.
  - i. Identification of how the program will maintain flexibility to address unanticipated training needs of patient navigators in a timely manner.
- 3) Employment of Patient Navigators
  - a. Discussion of how the program will meet the requirement for hiring the navigators with direct knowledge of the community to be served.
  - b. Discussion of choice to utilize volunteer and/or employed patient navigators.
  - c. Methodology for determining salary and benefits for the navigators.
  - d. Minimum qualifications for patient navigator employment (or how the project will establish such standards) to include: education requirements, prior work experience, appropriate background checks, specified levels of expertise in health care or the community, oversight or supervision requirements by licensed professionals, and the ability to effectively communicate in a culturally sensitivities manner.
  - e. Supervision of patient navigators
  - f. Plans for utilization of clinical specialists.
  - g. If the project does not use lay health workers as navigators, a justification for the use of health professionals and discussion of how the decision impacts the recruitment and budget of the program.
- 4) Assignments of Patient Navigators
  - a. Programs plan for assigning patient navigators and for defining the roles and responsibilities of the patient navigators.
  - b. Discussion of whether every patient navigator will be trained in all chronic diseases or if they might specialize in a chronic disease.
  - c. Explanation of how decisions will be made in the geographic and demographic distribution of patient navigators.
- 5) Program Management
 

In addition to describing how the applicant will recruit, assign, train, and employ patient navigators, the work plan should describe how the PN program will:

  - a. Track and report on common data elements provided by HRSA, as well as develop site-specific measures.
  - b. Participate in technical assistance through monthly conference calls and peer-learning workshops.
  - c. Proof that the program meets or has a plan to meet requirements for local,



regional and national accreditation/approval requirements for patient care and the educational program necessary to implement the project.

d. Obtain Institutional Review Board (IRB) approval or describe the planned process for IRB review with timelines.

xii. The proposed patient navigator projects goals contribute to meeting Healthy People 2010 objective.

xiii. The application discusses potential challenges in designing and implementing the program activities and proposes logical, effective approaches to resolve such challenges.

#### Models that Work

The applicant states whether or not the project proposal is based on another program that succeeded in another community. If it is based on another program, the applicant describes the program, how it was funded, and they believe it will succeed in a new community.

#### Criterion 3. Impact (15 Points)

i. The extent to which significant community impact (stable access to care) is attainable given the proposed level of staff, resources available, proposed activities and length of the project period.

a. The extent to which the program facilitates access to financial support and services to include prescription drug access.

ii. The extent to which the project will increase communication among the local health care providers with an emphasis on reducing duplication of services and creating more efficient and cost effective care.

a. The extent to which the applicant plans to collaborate and partner with health providers in the community and proposes an inclusive process for developing a sustainability plan.

iii. The extent to which the project will meet the community's need for culturally competent patient navigators.

iv. If another similar program is or has been operational in the community, the extent to which the application should address the most pressing needs of the community.

v. Future program sustainability after grant funding expires has been considered.

a. The extent to which proposed training materials can be used as a community resource for future training of patient navigators.

vi. The extent to which the project activities are or will be established to be replicable elsewhere and the presence of plans for dissemination of project information and results.

#### Criterion 4. Evaluative Measures (20 Points)

The effectiveness of the methods and plans proposed to monitor and evaluate the project in relation to local needs. Responses must address current project plans as they relate to:

i. An outline for how the applicant organization proposes to establish baseline measures and benchmarks that meet the Secretary's requirements to evaluate program outcomes.

ii. Ongoing quality assurance/improvement strategies that will allow the early detection and modification of ineffective strategies.

iii. An understanding of how the applicant will integrate HRSA provided data measures and tools into existing evaluation systems.

iv. Proposed outcome measures (crosscutting and clinical as described above) that are site-specific, given local populations and chronic disease(s) chosen, and how analysis of those measures will contribute to evaluating the project effectiveness.

v. Methods to monitor and evaluate the project results and identifies the project evaluator if applicable.

#### Criterion 5. Resources/Capabilities (15 Points)

i. The extent to which the applicant organization is capable of successfully meeting program requirements and implementing the proposed project. The organization has quality resources available to fulfill the needs of the project.

ii. The extent to which current or proposed project personnel are qualified to implement and carry out the proposed project.

iii. The extent to which current or proposed linkages with partners, such as community agencies, including small grassroots faith-based and community-based organizations, and other relevant Federal and local partners,

enhance the capabilities for implementation of the project.

iv. The extent to which the program shows demonstrated support (financial, in-kind, and other) from community leaders, agencies, institutions and other relevant local organizations for the project and its activities.

v. The extent to which the applicant has a financial management system in place and the capability to manage the grant.

vi. If distance learning methodologies are planned, the organization has infrastructure to support this and users will have access to technology support.

vii. The extent to which the program has plans in place to ensure acceptable oversight or supervision of patient navigators.

#### Criterion 6. Support Requested (5 Points)

The fiscal plan describes a budget that demonstrates:

i. The applicant's itemized budget table or spreadsheet is clearly presented.

ii. A budget narrative (bulleted points are fine) is clearly articulated in detail for each item presented in the budget tables.

iii. The budget narrative logically documents how and why each line item request (such as personnel, travel, etc.) supports the goals and activities of the proposed grant-funded activities.

iv. The estimated cost to the government of proposed grant-funded activities appears reasonable.

v. The budget does not include request for funding for direct health care services delivery; to purchase, construct or renovate facilities or real property; or to purchase vehicles.

#### Criterion 7. Health Literacy, Diversity and Cultural Competence (5 Points)

The application needs a plan to ensure project diversity and cultural competence to include:

i. Clear documentation that the organization's strategic plan, policies, and initiatives demonstrate a commitment to serving the specific target population and familiarity with the culture and literacy level of the particular target group;

ii. Assurance that there will be navigators from underrepresented minorities and/or from other disadvantaged backgrounds consistent with local population demographics; and

iii. Convincing and clear documentation assuring that navigators will be prepared to provide culturally competent information and support.

#### Criterion 8. Proven History of Successful Patient Navigation Program (10 Points)

If applicable, the applicant has demonstrated that they have implemented a successful patient navigation program for at least six (6) months including:

i. Having recruited, assigned, trained, and employed patient navigators within their organization for at least six (6) months.

ii. Have demonstrated through qualitative and quantitative means that their PN program has been successful at reducing health disparities and improving health care outcomes.

In making awards of grants under this section, preference will be given to any qualified applicant that (A) has a high rate for placing graduates in practice settings having the principal focus of serving residents of medically underserved communities; or (B) during the 2-year period preceding the fiscal year for which such an award is sought, has achieved a significant increase in the rate of placing graduates in such settings; or (C) fulfills the requirements for new programs. Applicants should review the HRSA Guidance documents issued under this CFDA program for preference requirements.

In making awards of grants under this section, preference will be given to any qualified applicant that (A) has a high rate for placing graduates in practice settings having the principal focus of serving residents of medically underserved communities; or (B) during the 2-year period preceding the fiscal year for which such an award is sought, has achieved a significant increase in the rate of placing graduates in such settings. Applicants should review the HRSA Guidance documents issued under this CFDA program for preference requirements.

PN: The patient navigator program has 8 review criteria which are used to review and rank applications. Applicants should pay strict attention to addressing all of these criteria, as they are the basis upon which the reviewers will evaluate applications.

### **93.193 URBAN INDIAN HEALTH SERVICES**

The Indian Health Service (IHS), Office of Urban Indian Health Programs (OUIHP)

#### **FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

#### **AUTHORIZATION:**

Indian Health Care Improvement Act, Executive Order Sections 503 , Title V, Section 511, Public Law 94-437; Indian Health Care Improvement Act, Title V, Public Law 102-572.

#### **OBJECTIVES:**

To provide health-related services to Urban Indians including: (1) Alcohol and substance abuse prevention, treatment, rehabilitation, and education; (2) mental health needs assessment and services; (3) health promotion and disease prevention services; (4) immunization services.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

These grants are limited to established urban Indian health services. The recipient organization must be an urban Indian organization with whom the Secretary has entered into a contract or grant under Title V of the Indian Health Care Improvement Act (25 U.S.C. 1651 et seq). 100% funds under the Urban Indian Health Program are discretionary activities.

#### **Applicant Eligibility:**

Urban Indian organizations with whom the Secretary has entered into a contract or grant under Title V of the Indian Health Care Improvement Act.

#### **Beneficiary Eligibility:**

Urban Indians residing in the urban centers in which the organization is located.

#### **Credentials/Documentation:**

The applicant must provide documentation of: (1) Nonprofit status; and (2) that it has a current contract or grant with the Indian Health Service under Title V of the Indian Health Care Improvement Act. Costs will be determined in accordance with OMB Circular No. A-122, Nonprofit Institutions. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

#### **Award Procedure:**

Grants are awarded to all eligible organizations based on a competitive grant process. Applications are processed and grants are awarded by Indian Health Service Headquarters. Funding level available to an organization is based on specific criteria in the Act to include size of urban Indian population, accessibility to, and utilization of, other health resources available to that population and identification of need for services.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Management.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Renewal of multi-year cooperative agreements is on a year-to-year basis and requires the submission of continuation applications.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Grants will be awarded for project periods of up to 5 years. Method of awarding/releasing assistance: quarterly.

#### **Reports:**

No program reports are required. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 after the end of the project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grantees are subject to site visits and audits by the Department of Health and Human Services (DHHS) and other Federal officials.

#### **Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0390-0-1-551.

#### **Obligations:**

(Project Grants) FY 10 \$43,139,000; FY 11 est \$43,053,000; and FY 12 est \$43,053,000

#### **Range and Average of Financial Assistance:**

\$122,832 to \$626,765; \$227,856.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program guidelines, including applicable sections of Public Law 94-437, as amended; 45 CFR 74 and 92; and the HHS Grants Policy Statement, dated 1/07.

#### **Regional or Local Office:**

None. Program Contact: Ms. Danielle Steward, Health Systems Specialist, Office of Urban Indian Health Programs, Indian Health Service, 801 Thompson Avenue, Suite 200, Rockville, MD 20852. Telephone: (301) 443-4680.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

#### **Headquarters Office:**

Grants Policy Office, 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: (301) 443-5204

#### **Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed by staff of the Indian Health Service to ensure compliance with the following: (1) Size of the urban Indian population; (2) accessibility to, and utilization of, other health resources available to such population; (3) duplication of existing Indian Health Service or other Federal grants or contracts; (4) capability of the organization to adequately perform the activities required under the grant; (5) satisfactory performance standards for the organization in meeting the goals; (6) identification of need for services; and (7) proposed methodology for accomplishing the stated goals of the program.

**93.197 CHILDHOOD LEAD POISONING PREVENTION PROJECTS STATE AND LOCAL CHILDHOOD LEAD POISONING PREVENTION AND SURVEILLANCE OF BLOOD LEAD LEVELS IN CHILDREN**

(Childhood Lead Poisoning Prevention Program (CLPPP))

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order Section 317 (k)(2) and 3171 of the Public Health Service Act, [42 U.S.C. Sections 247b and 247b-10], as amended. , Title 42, Part 247b, Section 247b-10.

**OBJECTIVES:**

To (1) Develop and/or enhance a surveillance system that monitors all blood lead levels; (2) assure that children who are potentially exposed to lead receive follow up care; (3) assure awareness and action among the general public and affected professionals in relation to preventing childhood lead poisoning in high risk areas in collaboration with other government and community based organizations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards are to be used by State and local government agencies to develop, improve, and expand their capacity to address the problem of childhood lead poisoning in communities with demonstrated high-risk populations. Recipients of awards are expected to: (a) write, implement and evaluate a jurisdiction-wide childhood lead poisoning elimination plan; (b) write, implement and evaluate screening plans to target resources to children at the highest risk for lead poisoning; (c) maintain a jurisdiction-wide childhood lead surveillance program, with an analysis plan for collected data, (d) conduct primary prevention activities for pregnant women and/or families with children at high risk for lead poisoning, (e) develop an assurance plan for timely and appropriate case management of children with elevated blood lead levels, (f) demonstrate strategic partnering with community organizations and with other state/local agencies involved in environmental and child health activities, (g) coordinate with organizations and agencies involved in lead-based paint hazard reduction activities and development of protective policy; and (h) evaluate programmatic impact on childhood lead poisoning within the applicant's jurisdiction. Awards cannot supplant existing funding for childhood lead poisoning prevention programs or activities. Grant awards may not be expended for medical care and treatment, or for environmental remediation of lead sources, however, there must be an acceptable plan to ensure that these program activities are appropriately carried out. The surveillance component of this grant is intended to assist State health departments in implementing or enhancing a complete surveillance system to track all PbB levels in children. This is essential for grant recipients to target interventions to high-risk populations and to track progress toward eliminating childhood lead poisoning.

**Applicant Eligibility:**

Assistance will be provided to State health departments or their bonafide agents and the health departments of the following five local jurisdictions (or their

bonafide agents) that have the highest estimated number of children with elevated blood lead levels : New York, NY; Chicago, IL; Detroit, MI; Los Angeles County, CA, and Philadelphia, PA, or their bona fide agents. Also eligible are health departments or other official organizational authorities of the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and federally recognized Indian tribal governments. Competition is limited by authorizing legislation.

**Beneficiary Eligibility:**

In addition to the eligible applicants, others who receive benefits from the program include infants and children from six months to six years of age who are screened for lead poisoning and family members who care for lead-poisoned children. Lead poisoning potentially affects all children, but disproportionately affects minority children and children of low-income families. Since the effects of lead poisoning can be long lasting, benefits of the program can also affect youth and adults, persons at all educational and income levels, and urban, suburban, and rural populations.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, present their approach to meeting the objectives, and outline the methods of operation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms are both available from and submitted to the Grants Management Branch, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Standard application forms, as furnished by CDC and required by 45 CFR 92 must be used for this program. This program is subject to the provisions set forth in 45 CFR 92 for State and local governments.

**Award Procedure:**

Approved grants are funded based on a priority score ranking from an objective review process coordinated by the Centers for Disease Control and Prevention. CDC will give funding preference to state programs with significant estimated numbers of children with elevated blood lead levels that direct federal funds to localities with high concentrations of children at risk for childhood lead poisoning. CDC will also give funding preference to the five local jurisdictions with the highest estimated number of children with elevated blood lead levels. Awards are made based on availability of funds and other significant factors as deemed necessary and appropriate by the agency. Funds are awarded for a one-year (12 month period). A Notice of Grant Award (Form PHS 5161-1) is provided which indicates the current award as well as support recommendations for the remainder of the project period (up to three years). The Notice of Grant Award indicates allocations for Federal funds by budget categories and any special conditions, if applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From two to three months.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 90 to 120 days. Renewal requests cannot exceed a five year project period. Priority consideration will be given to noncompeting continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period (July 1 - June 30) with project periods of up to five years subject to the availability of funds and satisfactory progress of the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Progress reports. Cash reports are not applicable. Refer to the the funding opportunity announcement for details. Refer to the the funding opportunity announcement for details. Refer to the the funding opportunity announcement for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, these grants are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$26,414,041; FY 11 est \$19,755,101; and FY 12 est \$19,755,101

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for this program are published under 42 CFR 51b. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994. The basic grant administration policies of DHHS and PHS are also applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, , Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: (770) 488-0572.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the applicant's ability to identify populations and communities at high risk and the overall balance of the program's design to address the childhood lead poisoning problem. This

requires the development of specific and measurable objectives and a sound operational plan that includes screening of high risk populations, medical and environmental management, lead hazard remediation, and health education and risk reduction activities to appropriately address the problem. Applications also will be evaluated on the ability of the program to carry out childhood lead poisoning prevention program activities utilizing the core public health functions as well as establishing working relations or partnerships with other agencies, organizations or groups that have interest in the prevention of childhood lead poisoning.

**93.202 CAPACITY BUILDING AMONG AMERICAN INDIAN TRIBES  
FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and Human Services

**AUTHORIZATION:**

Section 104(i)(14)(15)and (17) of the Comprehensive Environmental Response, Compensation and Liability Act; 42 U.S.C. 9604; Sections (i)(14)(15), and (17), as amended.

**OBJECTIVES:**

To address the Tribal public health issues that result from hazardous substances in the environment by: 1) building Tribal environmental health capacity 2) addressing health issues from releases of hazardous substances into the environment, and 3) develop culturally appropriate health education materials and/or vehicles to engage Tribal community members in public health activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To enhance the Tribes ability to collaborate with Agency for Toxic Substance and Disease Registry (ATSDR) in conducting public health activities related to potential human exposures from the Hanford Nuclear Reservation.

**Applicant Eligibility:**

Federally Recognized American Indian Tribal Governments: Coeur d'Alene Tribe; Coville Confederated Tribes; Confederated Tribes of the Umatilla Indian Reservation; Kalispel Tribe; Kootenai Tribe of Idaho; Nez Perce Tribe; Spokane Tribe; Confederated Tribes of the Warm Springs Reservation of Oregon; and Yakama Indian Nation.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments, and the general public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Nos. A-87, A-21, and A-122 as applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must use application packages through [www.Grants.gov](http://www.Grants.gov) or contact CDC PGO TIMS 770-488-2700 with technical difficulties. By formal agreement, the CDC Grants Management Branch will act on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, CDC, acting as agent for ATSDR will prepare a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 60 to 90 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Awards are made for project periods of 1 to 5 years with 12-month budget periods. Renewal awards cannot be made beyond the project period without competition.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The awards will be made for 12-month budget periods within a project period of 1 to 5 years. Continuation awards within the project period are made on the basis of satisfactory progress and availability of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

See Funding Opportunity for Details. Cash reports are not applicable. See Funding Opportunity for Details. See Funding Opportunity for Details. See Funding Opportunity for Details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for 10 years in accordance with EPA's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - This program was moved to CFDA #93.161.

**Range and Average of Financial Assistance:**

Estimate range per award \$50,000 to \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing the program are set forth in 45 CFR Parts 74 and 92 and 40 CFR Part 35. Guidelines are available in the application kit and the PHS Grants Policy Statement No. 90-50-000 (Revised).

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: (770) 488-0572.

**Website Address:**

<http://www.atsdr.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be reviewed and evaluated based on the following criteria: 1) Develop and administered effective culturally competent measures to engage community members in environmental public health activities: 2) Describe how the environmental health needs assessment will be used for environmental health: 3) Outlined the activities to develop a 10-year Environmental Health Plan (EHP): 4) Described the Tribes capability (or inability) to carry out the proposed EHP: 5) Describe how the Tribe will resolve current problems of exposures: 6) and Budget justification.

**93.204 SURVEILLANCE OF HAZARDOUS SUBSTANCE EMERGENCY EVENTS**

**FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and Human Services

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended; Superfund Amendments and Reauthorization Act of 1986, Sections 104(i)(1)(E), (9), and (15), Public Law 99-499, 42 U.S.C. 9604., 42 U.S.C 9604.

**OBJECTIVES:**

To assist State health departments in developing a State-based surveillance system for monitoring hazardous substance emergency events. This surveillance system will allow the State health department to better understand the public health impact of hazardous substance emergencies by developing, implementing, and evaluating a State-based surveillance system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The participant State health agencies will use the information collected to assess the burden of adverse health effects created by these unexpected, sudden releases of hazardous substances, describe the situations and persons most likely impacted, define the risk factors for adverse health effects, and work with other agencies to implement prevention activities. Funds may be expended for reasonable program purposes, such as personnel, travel, supplies, and services. Equipment may be purchased with cooperative agreement funds; however, justification must be provided which should include a cost comparison of purchase versus lease options. All purchased equipment must be compatible with ATSDR's equipment and shall be returned to ATSDR at the completion of the project.

**Applicant Eligibility:**

Eligible applicants are the official public health departments of the States and the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, the Northern Mariana Islands, and American Samoa and federally-recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Beneficiaries include Federal, State, local, other public institutions/organizations, federally-recognized Indian tribal governments, U.S. Territories/possessions, and the general public.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applicants must use application on [www.Grants.gov](http://www.Grants.gov). By formal agreement, the CDC Grants Management Branch will act on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, CDC, acting as agent for ATSDR, will prepare a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 60 to 90 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

From 90 to 120 days. Awards are made for project periods of one to five years with 12-month budget periods. Renewal awards cannot be made beyond the project period without competition.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The awards will be made for 12-month budget periods within a project period of one to five years. Continuation awards within the project period are made on the basis of satisfactory progress and availability of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

See Funding Opportunity for guidance. Cash reports are not applicable. See Funding Opportunity for guidance. See Funding Opportunity for guidance. See Funding Opportunity for guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for ten years in accordance with EPA's "Superfund Financial Management and Record Keeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - This action was moved to CFDA #93.161.

**Range and Average of Financial Assistance:**

Estimate average range per award will be \$60,000 to \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are set forth in 45 CFR 92 and 40 CFR 35. Guidelines are available in the application kit and the PHS Grants Policy Statement No. 94-50,000 (Revised), April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, Atlanta, Georgia 30341-3717 Email: [ctg8@cdc.gov](mailto:ctg8@cdc.gov) Phone: (770) 488-0572.

**Website Address:**

<http://www.atsdr.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and evaluated according to the following criteria: (1) Appropriateness and knowledge of surveillance systems; (2) Proposed methodology; (3) Capability and coordination efforts; (4) Quality of information collection; (5) Program personnel; and (6) Program budget (not scored).

**93.209 CONTRACEPTION AND INFERTILITY RESEARCH LOAN REPAYMENT PROGRAM**

(CIR LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, 42 U.S.C. 288-2, Title IV (National Research Institutes), Part G (Awards and Training), Section 487B (Loan Repayment Program for Research with Respect to Contraception and Infertility), as amended by Public Law 105-392.

**OBJECTIVES:**

The CIR-LRP is designed to provide an incentive for health professionals to work in areas of reproductive research directly related to contraceptive development and/or infertility diagnosis and treatment by providing assistance in repaying educational loans for individuals. The CIR-LRP will pay up to \$35,000 of the principal and interest of a participant's educational loans for each year of commitment not to exceed one-half of the remaining loan balance. In addition to the loan repayments, the CIR-LRP may pay participants up to 39 percent of the amount paid to lenders as partial payments on the increased income tax liability caused by the Program's loan repayments. In return for these loan repayments, applicants must agree to commit to a period of obligated service of not less than 2 years conducting research with respect to contraception and/or infertility. The long-range objective of the CIR-LRP is to stimulate the commitment of researchers to sustaining a career focus on contraception and/or infertility research.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The assistance provided by the CIR-LRP is entirely of a financial nature in the form of loan repayments. The monies provided by this program are restricted to the repayment of pre-existing, qualified loans procured by the participant for educational expenses incurred in the pursuit of undergraduate or graduate degrees.

**Applicant Eligibility:**

Applicants must be a U.S. citizen (or U.S. national or permanent resident) and a physician, Ph.D.-level scientist, nurse, physician's assistant, graduate student, or postgraduate research fellow training in the health professions. You must commit to conduct contraception and infertility research for 50% of your time (at least 20 hours weekly based on a 40 hour week) for two years and it must be funded by a domestic nonprofit or U.S. Government (Federal, state or local) entity. Also, the research must not be prohibited by Federal law or NIH policy. Complete eligibility information is available at <http://www.lrp.nih.gov/about/lrp-contra.htm>.

**Beneficiary Eligibility:**

Assistance in the form of loan repayments will be made to qualified health

professionals (including graduate students) who are participants in the CIR-LRP.

**Credentials/Documentation:**

In order to be considered for selection into the CIR-LRP, eligible applicants must complete and submit the electronic application materials located at [www.lrp.nih.gov](http://www.lrp.nih.gov), which include: (1) a Loan Verification Form for each loan to be considered for repayment; (2) an institutional statement providing assurance that the applicant will be engaged in employment/training at an NICHD intramural laboratory or in a qualified domestic nonprofit institution (tax-exempt under 26 USC 501), for not less than two years from the anticipated effective date of the NIH Loan Repayment Program Contract between the individual and NICHD (this assurance is conducted electronically); and (3) a signed NIH Loan Repayment Program Contract by which the applicant agrees to serve the obligated minimum period of two years conducting contraception and/or infertility research at an NICHD intramural laboratory or in a qualified domestic nonprofit institution (tax-exempt under 26 USC 501). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Information regarding the CIR-LRP and the preparation of forms for application to the CIR-LRP can be obtained by contacting the CIR-LRP headquarters office at the National Institute of Child Health and Human Development, NIH, or via the World Wide Web at [www.lrp.nih.gov](http://www.lrp.nih.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Qualified individuals interested in participating in the CIR-LRP should visit the NIH Loan Repayment Program Website at [www.lrp.nih.gov](http://www.lrp.nih.gov) for all application forms and requirements. The application will be evaluated by a Review Committee, convened for this purpose by the Division of Scientific Review, NICHD, NIH, HHS. In selecting applicants for participation in the CIR-LRP, the panel will consider eligibility status, quality of the applicant, and applicant's career plan focus. All selections are subject to final approval by the Director, NICHD. The NICHD will notify the sponsoring grantee institution and the applicant of the outcome of the review.

**Award Procedure:**

Once the applicant is selected to participate in the CIR-LRP, the applicant and the Director, NICHD, as a designate of the Secretary of Health and Human Services, will sign a written binding contract stating the terms and conditions for participating in the CIR- LRP. The effective date of the contract will be the date it is signed by the Director, NICHD, or the date employment/training begins at an NICHD-funded Specialized Contraception or Infertility Research Center, whichever is later.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. The selection process takes from 6 to 8 months following receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. A CIR-LRP participant completing the initial 2-year period of obligated service conducting research with respect to contraception and/or infertility has an option to extend the obligatory period of service on an annual basis.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The CIR-LRP will pay equal quarterly payments to the lenders. Each payment will be made shortly after the end of each full quarter of satisfactory service.

Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

75-0844-0-1-552.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$1,073,251; FY 11 est \$1,080,000; and FY 12 est \$1,080,000

**Range and Average of Financial Assistance:**

In fiscal year 2010 the range of financial assistance was between \$7,394 and \$105,197. The average contract cost was \$44,607.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: \$1,073,251. Fiscal Year 2011: In fiscal year 2011, the projected funding level for the Contraception and Infertility Research LRP is \$1,080,000 with a projected total of 24 contracts. Fiscal Year 2012: In fiscal year 2012, the projected funding level for the Contraception and Infertility Research LRP is \$1,080,000 with a projected total of 24 contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Proposed Rulemaking was approved by NIH on September 19, 2001, and by the Department of Health and Human Services on December 31, 2001.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eugene G. Hayunga 6100 Executive Blvd., Room 2C01, Bethesda, Maryland 20892-7510 Email: [ehayunga@mail.nih.gov](mailto:ehayunga@mail.nih.gov) Phone: (301) 496-6856.

**Website Address:**

<http://nichd.nih.gov/> .

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers; 93.285 National Institutes of Health Pediatric Research Loan Repayment Program; 93.307 Minority Health and Health Disparities Research ; 93.923 Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP); 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Review criteria for CIR-LRP applications include: (1) Appropriateness of the applicant's previous training and experience as preparation for a career in contraception and infertility research; (2) Suitability of the applicant's proposed clinical research activities in the two-year period to foster a career in contraception and infertility research; (3) Assessment of the applicant's commitment to a research career as reflected by the personal statement of long-term career goals and the plan outlined to achieve those goals; (4) Strength of recommendations attesting to the applicant's potential for a career in contraception and/or infertility research; (5) Availability of appropriate scientific colleagues to achieve and/or enhance the applicant's research independence; and (6) Quality and appropriateness of institutional resources and facilities.

**93.210 TRIBAL SELF-GOVERNANCE PROGRAM: IHS COMPACTS/FUNDING AGREEMENTS**

(OTSG Compacts )

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act (ISDEAA), Title V, Public Law 93-638; Tribal Self-Governance Amendments of 2000, Public Law 106-260, 25 U.S.C 458aaa.

**OBJECTIVES:**

To make financial assistance awards to Indian tribes to enable them to assume programs, functions, services, and activities (PFSA) (or portion thereof) with respect to which Indian tribes or Indians are primary or significant beneficiaries, administered by the Department of Health and Human Services (DHHS) through the Indian Health Service. Such assumptions will be by compact, Funding Agreement or construction project agreement entered into under Title V of the ISDEAA.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Funds are to be spent in accordance with Pub. L. 93-638, as amended, applicable regulations and negotiated compact, funding agreement, or construction project agreement under Title V terms. Per 42 C.F.R. 137.167 and 137.168, a Self-Governance Tribe must apply the cost principles of the applicable OMB Circular, except as modified by: (a) section 106(k) of the Act (25 U.S.C. 450j-1), (b) other provisions of law, or (c) any exemptions to applicable OMB circulars subsequently granted by the OMB. No other audit or accounting standards shall be required by the Secretary. Per 42 C.F.R. 137.100, pursuant to section 508(h) of the Act 25 U.S.C. 458aaa7(h), a Self-Governance Tribe may retain and spend interest earned on any funds paid under a compact or funding agreement. Per 42 C.F.R. 137.101, a Self-Governance Tribe is under a duty to invest and manage the funds as a prudent investor would, in light of the purpose, terms, distribution requirements, and provisions in the compact or Funding Agreement and Title V. This duty requires the exercise of reasonable care, skill, and caution, and is to be applied to investments not in isolation, but in the context of the investment portfolio and as a part of an overall investment strategy that should incorporate risk and return objectives reasonably suitable to the Self-Governance Tribe. In making and implementing investment decisions, the Self-Governance Tribe has a duty to diversify the investments, unless, under the circumstances, it is prudent not to do so. In addition, the Self-Governance Tribe must: (a) Conform to fundamental fiduciary duties of loyalty and impartiality; (b) Act with prudence in deciding whether and how to delegate authority and in the selection and supervision of agents; and (c) Incur only costs that are reasonable in amount and appropriate to the investment responsibilities of the Self-Governance Tribe.

**Applicant Eligibility:**

Per 42 C.F.R. 137.18, to be eligible to participate in self-governance, any Federally-Recognized Indian tribe must have: (a) successfully completed the planning phase described in 42 C.F.R. 137.20; (b) requested participation in self-governance by resolution or other official action by the governing body of each Indian tribe to be served; and (c) demonstrated, for three fiscal years, financial stability and financial management capability. Per 42 C.F.R. 137.21, the Indian tribe provides evidence that, for the three years prior to participation in self-governance, the Indian tribe has had no uncorrected significant and material audit exceptions in the required annual audit of the Indian tribe's self-determination contracts or self-governance Funding Agreements with any Federal agency. Per 42 C.F.R. 137.26, an Indian tribe does not need to receive a planning or negotiation cooperative agreement to be eligible to participate in self-governance. An Indian tribe may use other resources to meet the planning requirement and to negotiate. For each fiscal year, an additional 50 Indian tribes that meet the eligibility criteria shall be entitled to participate in self-governance.

**Beneficiary Eligibility:**

Federally-recognized Indian tribes and tribal organizations (as defined in 25 U.S.C. 450b(l)) may benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Per 42 C.F.R. 137.18, to be eligible to participate in self-governance, any Federally-Recognized Indian tribe must have: (a) successfully completed the planning phase described in 42 C.F.R. 137.20; (b) requested participation in self-governance by resolution or other official action by the governing body of each Indian tribe to be served; and (c) demonstrated, for three fiscal years, financial stability and financial management capability. Per 42 C.F.R. 137.21, the Indian tribe provides evidence that, for the three years prior to participation in self-governance, the Indian tribe has had no uncorrected significant and material audit exceptions in the required annual audit of the Indian tribe's self-determination contracts or self-governance funding agreements with any Federal agency. Per 42 C.F.R. 137.26, an Indian tribe does not need to receive a planning or negotiation cooperative agreement to be eligible to participate in self-governance. An Indian tribe may use other resources to meet the planning requirement and to negotiate. For each fiscal year, an additional 50 Indian tribes that meet the eligibility criteria shall be entitled to participate in self-governance.

**Award Procedure:**

Funds are transferred to Indian tribes who have successfully negotiated a compact, Funding Agreement, or construction project agreement entered into under Title V.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Management.

**Appeals:**

See 42 C.F.R. 137.410-445, for regulations governing compacts, Funding Agreements, and construction project agreements entered into under Title V.

**Renewals:**

Per 42 C.F.R. 137.35, upon approval and execution of a self-governance compact, the compact remains in effect for so long as permitted by Federal law or until terminated by mutual written agreement or retrocession or reassumption of all PSFA. Per 42 C.F.R. 137.55, a Funding Agreement shall have the term mutually agreed to by the parties. Absent notification from an Indian tribe that it is withdrawing or retroceding the operation of one or more PSFA identified in the Funding Agreement, the Funding Agreement shall remain in full force and effect until a subsequent Funding Agreement is executed.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

See 42 C.F.R. 137.200-207 for reporting requirements for Self-Governance Tribes under Title V. Per 42 C.F.R. 137.200, compacts or Funding Agreements negotiated between the Secretary and a Self-Governance Tribe must include a provision that requires the Self-Governance Tribe to report on health status and services delivery. These reports may only impose minimal burdens on the Self-Governance Tribes. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that



year, except as noted in Circular No. A-133. Per 42 C.F.R. 137.165, under the provisions of section 506(c) of the Act 25 U.S.C. 458aaa5(c), Self-Governance Tribes must undertake annual audits pursuant to the Single Audit Act, 31 U.S.C. 7501 et seq. Per 42 C.F.R. 137.166, exceptions are described in 31 U.S.C. 7502 of the Single Audit Act.

**Records:**

In accordance with 42 CFR - 137.175, Tribes are required to maintain records and provide Federal agency access to those records as provided in 137.177 - 137.176, except to the extent that a Self-Governance Tribe specifies otherwise in its compact or funding agreement, the records of the Self-Governance Tribe shall not be considered Federal records for purposes of chapter 5 of title 5, U.S.C. - 137.177, after 30 days advance written notice from the Secretary, the Self-Governance Tribe must provide the Secretary with reasonable access to such records to enable the Department to meet its minimum legal recordkeeping system requirements under sections 3101 through 3106 of title 44 U.S.C. - 137.178, at the option of a Self-Governance Tribe, patient records may be stored at Federal Records Centers to the same extent and in the same manner as other Department patient records in accordance with section 105(o) of the Act 25 U.S.C. 450j(o). - 137.179, a Self-Governance Tribe may make agreements with the Federal Records Centers regarding disclosure and release of the patient records stored pursuant to 137.178. - 137.180, a Tribe must consider the potential application of Tribal, Federal and state law and regulations that may apply to requests for access to Tribal patient records, such as the provisions 42 CFR 2.1.2.67 pertaining to records regarding drug and/or alcohol treatment.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$1,419,800,596; FY 11 est \$1,430,200,000; and FY 12 est \$1,440,000,000

**Range and Average of Financial Assistance:**

Range \$71,000 to \$137,295,000; Average \$14,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Indian Self-Determination and Education Assistance Act, Tribal Self-Governance Title V, Pub. L. 93-638, as amended. Pub. L. 106-620, 25 U.S.C. 458aaa (2000) and regulations codified at 42 C.F.R. Part 137. According to Section 517 (e) of the Act, 25 U.S.C. 458aaa-16(e), unless expressly agreed to by the participating Indian tribe in the compact or funding agreement, the participating Indian tribe shall not be subject to any agency circular, policy, manual, guidance, or rule adopted by the Indian Health Service, except for the eligibility provisions of section 105(g) and regulations promulgated under section 517.

**Regional or Local Office:**

None. Program Contact: Ms. Hankie P. Ortiz, Director, Office of Tribal Self-Governance, Indian Health Service, 801 Thompson Avenue, Suite 240, Rockville, MD 20852. Phone: (301) 443-7821 Fax: (301) 443-1050.

For Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service; 801 Thompson Avenue, TMP, Suite 360; Rockville, Maryland 20852; Telephone: (301) 443-5204. Use the same numbers for FTS.

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.211 TELEHEALTH PROGRAMS**

There are three separate telehealth programs as follows:  
Telehealth Network Grant Program (TNGP)  
Telehealth Resource Center Grant Program (TRCGP)  
Licensure Portability Grant Program (LPGP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

The Telehealth Network Grant Program (TNGP) and the Telehealth Resource Center Grant Program (TRCGP) is authorized by Sec. 330I(d)(2) of Public Health Service Act (42 U.S.C. 254c-14(d)(2), as amended.

The Licensure Portability Grant Program (LPGP) is authorized by Section 330L of Public Health Service Act as amended, (42 USC 254c-18).

**OBJECTIVES:**

The Telehealth Network Grant Program (TNGP) has two provisions: Telehealth Networks (TNGP-TH) grants demonstrate how telehealth networks improve healthcare services in rural communities. Telehomecare Networks (TNGP-THC) grants fund demonstration or pilot projects for telehomecare, services that may include, but are not limited to, case management by physicians, hospitals, medical clinics, home health agencies, or other health care providers who supervise the care of patients in their homes.

The Telehealth Resource Center Grant Program (TRCGP) is designed to expand the availability of technical assistance in the development of telehealth services, leveraging the experience of mature programs with expertise in providing and implementing telehealth services.

The Licensure Portability Grant Program (LPGP) supports State professional licensing boards to carry out programs under which licensing boards of various States cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Telehealth Network Grant Program (TNGP) - Funds support the use of telehealth (electronic information and telecommunications technologies to support and promote long-distance health care and ancillary services) in two ways:

- 1) Telehealth Networks, for improving access to health care services; provide a baseline of information for a systematic evaluation of telehealth systems; purchase or lease and install equipment; and to operate and evaluate the telehealth system.
- 2) Telehomecare Networks, for improving access to health services for patients in their homes and for evaluating the cost and effectiveness through provision of clinical care and remote monitoring of patients in their own homes using telehealth technologies. Primary expenses for telehomecare shall be for personnel costs for provision of services and for evaluation. Overall, not more than 40 percent of grant funds may be expended for equipment. Not more than 15 percent of grant funds may be expended for indirect costs. Grant funds may not be used for purchasing and installing telecommunications transmission equipment (e.g., microwave towers, satellite dishes, amplifiers, digital switching equipment or laying cable or telephone lines) or to acquire real property. Construction costs are allowable only for minor renovations related to the installation of equipment.

Important: For both Telehealth and Telehomecare Networks, the Telehealth Network Grant Program (TNGP) seeks to fund non-profit or public organizations with a network of partners in place and committed to the project as of the date of application. Projects with prospective network partners not committed to the project will not be competitive. Applicants failing to submit verifiable information with respect to the commitment of network partners will not be funded. Projects selected for funding must provide clinical services for which performance measures can be developed. In addition, an applicant must

provide evidence to show that it will be ready to begin to implement the project upon grant award.

Applicants must provide an evaluation design to measure quantitative outcomes, which should be measured in the following areas: impact on quality of care; appropriateness of use of the technology; whether access was improved; whether clinical outcomes were improved; and, how the cost of service delivery was affected in terms of efficiency and effectiveness of care. Of particular interest will be programs that can clearly measure the costs of their telehealth services and measure the impact of the telehealth program on : 1) improving access to health care services for residents of communities that did not have such services locally before the program; 2) hospitalization rates and emergency room visit rates per year for patients receiving disease management services for diabetes, congestive heart failure, stroke and other chronic diseases, as well as for patients receiving home care/home monitoring services; 3) controlling blood glucose levels in diabetic patients; 4) improving the efficiency of health care; 5) reducing medical errors; and, 6) other clear outcome measures.

Telehealth Resource Center Grant Program (TRCGP) - Funds support the development of regional Telehealth Resource Centers (TRCs), which serve as a regional focus for supporting telehealth activities throughout their respective regions and one national Telehealth Resource Center. Grant funds are used for salaries, equipment, operating, travel expenses, or other costs for: providing technical assistance, training and support; disseminating information and research findings related to telehealth services; promoting effective collaboration among telehealth resource centers and HRSA; conducting evaluations to determine the best utilization of telehealth technologies to meet health care needs; promoting the integration of the technologies used in clinical information systems with other telehealth technologies; fostering the use of telehealth technologies to effectively provide healthcare information and education for health care providers and consumers; and, implementing special projects that involve collaboration among TRCs to advance the field of telehealth. Grant funds are not used for: acquiring real property; equipment costs of more than 40% of total grant funds; for equipment or transmission costs not directly related to the grant purposes; to purchase or install general purpose voice telephone systems; construction costs; and indirect costs exceeding 15% of total grant funds.

The Licensure Portability Grant Program (LPGP) - Grant funds are used for salaries, equipment, software development, operating, or other costs associated with developing legislative, administrative, and technical projects to address licensure barriers that hinder the practice of telemedicine across state lines. Grant funds may also be used for activities involving significant expansion of existing state agreements for cross-state recognition of professional licenses to other states.

#### **Applicant Eligibility:**

Telehealth Network Grant Program (TNGP) - A grantee must be a nonprofit or public entity that will provide services through a Telehealth Network (TNGP-TH) to rural communities or through a Telehomecare Network (TNGP-THC) to patients in their homes located in either urban underserved or rural communities. Telehomecare Network (TNGP-THC) grantees should have demonstrated experience in providing telehomecare services. For both Telehealth Networks (TNGP-TH) and Telehomecare Network (TNGP-THC) networks, proof of non-profit status is required. Each entity participating in the network may be a nonprofit or for-profit entity. Faith-based and community based organizations are eligible under the Telehealth Network Grant Program (TNGP).

Telehealth Resource Center Grant Program (TRCGP) - A grantee must be a public or private nonprofit organization. Faith-based and community based organizations are eligible to apply. Services may be provided to rural or urban communities.

Licensure Portability Grant Program (LPGP) - A grantee must be a State professional licensing board, or a national organization of professional licensing boards that provides services to state licensing boards. Note: American Indian and/or Alaska Native Tribal Organizations are eligible provided those

organizations meet the eligibility requirements above.

#### **Beneficiary Eligibility:**

Telehealth Network Grant Program (TNGP) - Health care providers in rural areas, in medically underserved areas, in frontier communities, and for medically underserved populations. TNGP-TH grantees include in the network at least two (2) of the following entities (at least one (1) of which shall be a community-based health care provider: (a) community or migrant health centers or other federally qualified health centers; (b) health care providers, including pharmacists, in private practice; (c) entities operating clinics, including rural health clinics; (d) local health departments; (e) nonprofit hospitals, including community (critical) access hospitals; (f) other publicly funded health or social service agencies; (g) long-term care providers; (h) providers of health care services in the home; (i) providers of outpatient mental health services and entities operating outpatient mental health facilities; (j) local or regional emergency health care providers; (k) institutions of higher education; or (l) entities operating dental clinics. TNGP-THC grantees are experienced in providing telehealth services, have a substantial caseload, are targeted to patients with chronic illnesses and senior citizens, have a history of doing evaluations and monitoring telehomecare network performance in terms of quality, cost, and effectiveness or services.

Telehealth Resource Center Grant Program (TRCGP) - Health care providers in rural areas, in medically underserved areas, in frontier communities, and medically underserved populations. The regional telehealth resource centers must support the activities of existing or developing telehealth networks in their regions to meet the health care needs of rural or other populations to be served, including the improvement of access to services and the quality of the services received by those populations. Regional TRCs should have expertise in at least seven (7) of the following areas: A wide Range of Clinical Telemedicine Services; Telecommunications Technologies; Critical or Emergency Care; Residential telehealth (home care)/chronic disease management; Nursing Home/Inpatient Care; Distance Education and Training; Telehealth Technologies both Interactive and Store-and-Forward. A Regional TRC collaborates with other TRCs or organizations to address any of the seven areas where the TRC may not be expert. The National TRC exhibits expertise in the following areas: Reimbursement (Medicare, Medicaid, private insurance); Licensure (legislative and regulatory issues); Privacy, security, and confidentiality legislation at federal and state levels; Food and Drug Administration regulation; Telecommunications legal and regulatory issues; and, Private credentialing and accreditation organizations and issues (e.g., Joint Commission on Accreditation of Health Care Organizations). Note: American Indian and/or Alaska Native Tribal Organizations are eligible beneficiaries provided those organizations meet the beneficiary requirements above.

Licensure Portability Grant Program (LPGP) - State professional licensing boards to carry out programs under which licensing boards of various States cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine. Non Competing Continuation grants will continue to focus on licensure issues for physicians and nurses. The funded projects are to build on the first year of efforts to develop national models for implementing model agreements to expedite the licensure process and eliminate redundancies associated with applying for physician licenses in multiple jurisdictions.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. Applications are generally solicited by a program announcement in the HRSA Preview.

HRSA requires applicants (for new competitions) or grantees/awardees (for continuation applications) to submit applications electronically through Grants.gov.

The program guidance contains detailed application and submission instructions, including information on the non-competitive continuation application and submission process. Grantees/awardees must submit proposals according to the program guidance which specifies required forms, and contains additional general information and instructions for grant applications, including proposal narratives, and budgets. The program guidance, when available, may be obtained by: Downloading from <http://www.grants.gov>; or, Contacting the HRSA Grants Application Center: The Legin Group, Inc., 910 Clopper Road, Suite 155 South Gaithersburg, MD 20878, Telephone: 877-477-2123, HRSAGAC@hrsa.gov. Application information may also be found by visiting <http://www.hrsa.gov/grants/default.htm>.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

For FY 2012, new competitions for the TNGP,TRCGP and LPGP will be conducted. All final funding decisions are made by the Associate Administrator, Office of Rural Health Policy, Health Resources and Services Administration, based on recommendations made by the Director, Office for the Advancement of Telehealth.

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

2 months.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals have not been determined.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Competitions are conducted every three years, with up to a 3-year project period. For projects awarded under a competition, grants are made annually each year for up to 3 years. For example, projects awarded in FY 2009 have a 3-year project period commencing September 1, 2009 and ending August 31, 2011. A new competition is being conducted in FY 2010 for a 3-year project period, commencing September 1, 2010 and ending August 31, 2012. Payments are made through an electronic transfer system or cash demand system. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Six-month Progress Reports are required. Annual progress and financial status reports are required 90 days from the end of the budget period and the final performance report and final financial status report are due 90 days from the end of the project period.

As required by the Government Performance and Review Act (1993), all

federal agencies must develop strategic plans, describing their overall goals and objectives. These "GPRA Plans" must provide annual performance reports containing quantifiable measures of each program's progress in meeting the stated goals and objectives. The performance assessment instruments developed by the Office for the Advancement of Telehealth (OAT) with its grantees fulfill GPRA requirements to report to Congress on the impact of OAT's telehealth grant programs. Moreover, OAT hopes to use the information derived from these instruments to demonstrate the "value-added" that telehealth services contribute to improving health care. OAT has incorporated these performance assessment tools into the routine reporting required as part of the "mid-year or mid-cycle" and annual reports required under each grant. Each of the programs will also get reports comparing themselves to the entire set of grantees, on these same measures. There are two data reporting periods each year; during these biannual reporting periods, data is reported for the previous six months of activity. Grantees have approximately six weeks to enter their data during each biannual reporting period. No expenditure reports are required. See above for additional information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$350,000; FY 11 est \$350,000; and FY 12 est \$700,000 - LPGP program. (Project Grants) FY 10 \$5,450,000; FY 11 est \$6,063,000; and FY 12 est \$5,450,000 - TNGP program. (Project Grants) FY 10 \$2,900,000; FY 11 est \$3,873,000; and FY 12 est \$3,873,000 - TRCGP program.

**Range and Average of Financial Assistance:**

TNGP In FY 07 through FY 11, awards each year ranged from approximately \$226,000 to \$270,000, with an average award each year of approximately \$240,000.

TRCGP In FY 10 through FY 11, the financial assistance ranged from approximately \$300,000 to \$325,000. The average award was approximately \$320,000.

LPGP From FY 09 through FY 11 one grantee received \$350,000 a year, each year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The OAT Programs are an integral component of the Improve Rural Healthcare Initiative to expand the use of telecommunications technologies that increase the access to and quality of healthcare provided to rural populations. The Telehealth Programs strengthen partnerships among rural health care providers, recruit and retain rural health care professionals, and modernize the health care infrastructure in rural areas. Fiscal Year 2011: The OAT Programs are an integral component of the Improve Rural Healthcare Initiative to expand the use of telecommunications technologies that increase the access to and quality of healthcare provided to rural populations. The Telehealth Programs strengthen partnerships among rural health care providers, recruit and retain rural health care professionals, and modernize the health care infrastructure in rural areas. Fiscal Year 2011: Twenty five TNGP grants were awarded. Nine of them were going into their second year, and 16 were going into their third year of their three-year funding cycle. Of the TNGP grantees,

17 are Telehealth grantees and nine are telehomecare grantees. In FY 11, Four competitive TRCGP grantees were funded, including a National TRC, in addition to eight continuation TRCGP grantees. This brings the number of states covered by Regional Telehealth Resource Centers up to 42. In FY 11, the LPGP grantee received continuation funds. Fiscal Year 2012: Data not available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Telehealth programs are subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

#### **Regional or Local Office:**

See Regional Agency Offices. Carlos Mena, Project Officer (TNGP and LPGP), Telephone: (301) 443-3198; Monica Cowan, Project Officer (TRCGP), Telephone: (301) 443-0076; Office for the Advancement of Telehealth, Office of Rural Health Policy, 5600 Fishers Lane, Room 5A-55, Rockville, MD 20857.

#### **Headquarters Office:**

Carlos Mena, 5600 Fishers Lane, Room 5A-55, Rockville, Maryland 20857  
Phone: (301) 443-0076.

#### **Website Address:**

<http://www.hrsa.gov/ruralhealth/about/telehealth/>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: TRCGP example - The purpose of the Georgia Partnership for Telehealth is to provide an applied approach to technical assistance services and telehealth education to health care providers, facilities, and organizations in order to streamline implementation and better utilize telehealth applications and technology, and to be a resource to promote early adoption of telehealth technology for new and developed programs. This grantee is working together with GA, FL, and SC to achieve improved access to care and health outcomes through relevant statewide telehealth programs measured by establishing a baseline level of activity then evaluating client satisfaction and the efficiency / effectiveness of services. They are also working on the development of a virtual School for Applied Telehealth in collaboration with another TRCGP located in California.

TNGP example The purpose of the University of Virginia TNGP is to improve access to high level prenatal care via our telehealth network, providing earlier access to prenatal care, improved disease control, and reduced preterm birth. Health care providers in other specialties at the University of Virginia hub site will utilize the telehealth network to provide non-obstetric health care encounters. Patient education will be provided for obstetric patients with diabetes, and preterm birth education for all. The system may also be used for staff education and program planning meetings related to this Office for the Advancement of Telehealth funded program.

LPGP example The purpose of the Federation of State Medical Boards of the United States, Inc., is to reduce the redundancies that complicate and delay the process of obtaining licensure in multiple jurisdictions, and promote the utilization and expansion of telehealth services across state lines while not compromising the level of protection for patients that is provided by state licensure. Their specific activities include reducing amount of time and paperwork required to issue a license; enhancing the online uniform application used by physicians to apply for licensure in multiple states; and increasing the utilization of the centralized credential verification process by state medical boards and physicians. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

#### **CRITERIA FOR SELECTING PROPOSALS:**

For FY 2012, the Agency is conducting competitions for the TNGP and the TRCGP for the project period commencing September 1, 2012 and ending

August 31, 2015. For the competing LPGP grant program, the project period will commence on July 1, 2012 and end on June 30, 2015.

#### **TNGP**

Applications will be funded based on the extent which documentation is provided in the following areas:

- Need, the documented need for the project and the likely demand for the proposed services;
- Response, the extent to which project objectives, activities and benefits are consistent with the objectives of the grant program and the needs for the project;
- Evaluative Measures, the extent to which the project measures success in meeting its goals and objectives;
- Impact, the level of local involvement in planning and implementing the project, level of commitment as evidenced by cost participation of applicant, other network members and/or other organizations, and long-term plans for sustainability;
- Resources/Capabilities, the ability of network members, including clinicians, to implement the project and the corresponding feasibility of the projects plan of activities;
- Support Requested, the reasonableness of the budget to proposed activities and anticipated outcomes/results; and,
- Technology/Integrating Administrative and Clinical Systems, the extent to which the applicant proposes to integrate administrative and clinical information systems and effectively deploy technology.

The TNGP will seek to select projects that have demonstrated skill in evaluation. In addition, applicants must evidence a successful track record in providing telehealth services and to demonstrate how the proposed funds will expand services to new communities and/or populations. Applicants must provide an evaluation design to measure process and outcomes. Quantitative outcomes should be measured in the following areas: impact on quality of care; appropriateness of use of the technology; whether access was improved; whether clinical outcomes were improved; and, how the cost of service delivery was affected in terms of efficiency and effectiveness of care.

Of particular interest will be programs that can clearly measure the costs of their telehealth services and measure the impact of the telehealth program on : 1) improving access to health care services for residents of communities that did not have such services locally before the program; 2) reducing hospitalization rates and emergency room visit rates per year for patients receiving disease management services for diabetes, congestive heart failure, stroke and other chronic diseases, as well as for patients receiving home care/home monitoring services; 3) controlling blood glucose levels in diabetic patients; 4) improving the efficiency of health care; 5) reducing medical errors; and, 6) other clear outcome measures. Also, of particular interest are networks that include Community Health Centers funded by the Health Resources and Services Administration (HRSA) in the network (i.e., 330 grantees).

#### **TRCGP**

- TRC applicants will be assessed on their current activities and success in addressing the following areas:
- Telecommunications, industry standards, and technology assessment;
  - Extensive experience in providing technical assistance at the local, regional, and national levels
  - Breadth of clinical services offered by their network and integration of clinical information systems;
  - Ability to overcome reimbursement and other policy challenges to achieve sustainability of their networks;
  - Comprehensive evaluation strategy (including collecting baseline data) and implementation as evidenced by publications, especially ones that address effectiveness, costs, and productivity;
  - Experience in maintaining a strong and efficient operational/management structure; and
  - Experience in developing and implementing strategic/business plans.

#### **LPGP**

The LPGP seeks projects that can clearly serve as national models and have

implications for overcoming State statutory and regulatory licensure barriers to cross-state practice of telemedicine for all the health professions, with an emphasis on projects proposed by boards or national organizations of professional licensing that have demonstrated success in pioneering creative programs to address these issues. As a result, grantees must display a clear understanding of the barriers to cross-state practice and a realistic, feasible approach to overcome legislative, regulatory, or administrative barriers to cross-state practice and the clarity of the proposed goals and objectives and their relationship to the identified project.

#### Non-Competing Continuation Funding

For FY 2012 non-competing continuation funding for Telehealth grantees will be based upon an evaluation of each of the grantees first and second years of respective performance, as applicable, the third year program design, and expenditure justifications.

### **93.212 CHIROPRACTIC DEMONSTRATION PROJECT GRANTS**

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title VII, Section 755(b)(3), 42 U.S.C. 294e(3) as amended; Health Professions Education Partnerships Act of 1998; Public Law 105-392.

#### **OBJECTIVES:**

The objective of CDP is to carry out demonstration projects in which chiropractors and physicians collaborate to identify and provide effective treatment for spinal and lower back conditions.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grant funds may be used for personnel, equipment, supplies, domestic travel, consultants and guest lecturers, rental of space, renovations, and other costs directly related to the project as described in the approved application. Program funds may not be used for construction of facilities, acquisition of land, foreign travel, or support of students, including fellowships, stipends, tuition, fees, or travel allowances. Program funds may not be used to support patient care costs.

#### **Applicant Eligibility:**

To be eligible for a Chiropractic Demonstration Project, the applicant shall be: a health professions school, an academic health center, or a public or private nonprofit accredited schools of chiropractic. Applicant organizations must be located in the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, the Republic of Palau, the Republic of the Marshall Islands, or the Federated States of Micronesia.

#### **Beneficiary Eligibility:**

Health professionals will benefit.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee.

Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 4 to 6 months from receipt of application.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Project periods are up to 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

No program reports are required. No cash reports are required. Annual progress reports, in the form of HRSA's performance reporting system, are required.

Electronic reporting requirements can be viewed at [www.HRSA.gov](http://www.HRSA.gov). Financial reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Project Grants) FY 10 \$1,945,000; FY 11 est \$1,675,134; and FY 12 est \$1,922,687

#### **Range and Average of Financial Assistance:**

\$383,375 to \$534,327; \$453,623.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. CAPT Young Song, Acting Chief, Geriatrics and Allied Health Branch, , Division of Public Health and Interdisciplinary Education, Health Resources and Services Administration, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-3353.  
Amanda Sussex, Program Officer, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1070. Email: [asussex@hrsa.gov](mailto:asussex@hrsa.gov).

**Headquarters Office:**

Yong Song 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-3353

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Need; (2) Response; (3) Evaluative Measures; (4) Impact; (5) Resources/Capabilities; and (6) Support Requested.

**93.213 RESEARCH AND TRAINING IN COMPLEMENTARY AND ALTERNATIVE MEDICINE**

National Center for Complementary and Alternative Medicine

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 485D, , Title VI, Section 601, Public Law 105-277, 112 Stat. 2681-387, 42 U.S.C 281 as amended.

**OBJECTIVES:**

To evaluate alternative, complementary, or unconventional medical treatments. The following objectives support this goal: (1) coordinate and facilitate the investigation of alternative medical practices through peer-reviewed grant solicitations; (2) interface with the Center's National Advisory Council; (3) conduct technology assessment conferences for the purpose of establishing areas of Clinical and Pre-clinical research that need to be further developed within Alternative Medicine; (4) maintain a comprehensive bibliographic data base in conjunction with the National Library of Medicine; (5) and (6) establish an intra- and extra-mural clinical research fellowship program focusing on broad areas of clinical, scientific, and administrative training in CAM.

The National Center for Complementary and Alternative Medicine (NCCAM) regularly examines and redefines its research priorities. In setting research priorities, NCCAM considers its existing research portfolio, its 5-year strategic plan, the recommendations of the National Advisory Council for Complementary and Alternative Medicine, current scientific advances, the plans of other NIH institutes and centers, and input from expert panels and stakeholders. Research constituting a rigorous evidence base for CAM practices will be developed through a range of research strategies including basic and translational research, and clinical investigation.

Current research priorities are shaped by the following considerations regarding Research Approaches, Areas of Special Interest, and Areas of Lower Program Priority.

**Research Approaches**

Basic, translational, efficacy and effectiveness research  
CAM interventions, approaches, and disciplines need to be studied across the continuum of basic, translational, efficacy, and effectiveness research. NCCAM continues to emphasize basic research that defines biological effects and mechanisms of action; clarifies scientific hypotheses; supports development of translational tools to understand biological effects and mechanisms of action. NCCAM also continues to encourage efficacy studies to determine specific clinical effects of CAM interventions under carefully controlled conditions that minimize nonspecific and contextual effects. There is also the need to strengthen translational and preliminary clinical research required to design and implement definitive clinical research and "real world" outcomes and effectiveness research that capitalizes on the reality that many CAM interventions are in widespread public use. NCCAMs support of translational research addresses the need for valid, reliable and relevant research tools, outcome measures, and innovative methodology to enhance the rigor of CAM clinical studies and to ensure that they are maximally informative. NCCAM emphasizes studies that inform the design of future trials such as those that will: develop and validate outcome measures; standardize treatment protocols or algorithms; validate treatment algorithms and/or; develop measures of quality control or treatment fidelity; assess effects of various doses or intervention durations; develop preliminary clinical evidence regarding efficacy and safety to support estimates of sample size; or establish feasibility of interventions or study designs in specific populations for future studies.

NCCAM's clinical research portfolio utilizes clinical trial, case-control, observational, cohort, qualitative, and other experimental methodologies to determine safety and estimate the efficacy of CAM approaches. The clinical research portfolio also includes effectiveness studies of the contribution to improved health and wellness made by CAM interventions as they are practiced in "real-world" settings.

In general phase III clinical trials will be supported under the cooperative agreement mechanism after careful consideration by NCCAM Staff. Investigators interested in proposing phase III studies are strongly encouraged to contact a relevant NCCAM Program Officer.

**Areas of Special Interest**

Although a wide range of research topics are of interest to NCCAM, studies focusing on CAM interventions used frequently by the American public (including the context(s) in which these interventions are used), and that are amenable to rigorous scientific inquiry are particularly encouraged. These areas include, but are not limited to, investigations of the effects of CAM modalities on chronic pain syndromes and inflammatory processes, and in disease prevention and improving health and wellness. Among all types of studies, attention to a range of endpoints meaningful to improved health, well-being, and quality of life, as well as a biological signature that provides mechanistic information, is strongly encouraged.

In addition for their use to promote health and wellness, CAM approaches are most often used to manage symptoms that may be idiopathic or associated with underlying diseases and conditions, including back pain, neck pain, arthritis, and other musculoskeletal pain. Research to understand more clearly whether and how such interventions add value to existing approaches and to identify the biological and/or behavioral mechanisms by which they exert beneficial effects will advance the science and practice of symptom management.

Newly emerging evidence suggests that CAM use may be associated with greater degrees of positive health behaviors. While causal relationships between CAM use and healthy behavior have not been established, the claims and preliminary data deserve investigation given the formidable public health challenges in motivating behavior change. Research is needed to explore, clarify, and examine the hypothesis that certain CAM approaches or practices can, in fact, be useful in encouraging better self-care, an improved personal sense of well-being, and a greater commitment to a healthy lifestyle.

**Areas of Scientific Promise**

The expanding evidence base includes a large body of intriguing albeit preliminary evidence that points towards specific opportunities to improve health care and health promotion using CAM strategies that have been divided into two groups- mind and body and natural products. Mind and Body interventions, practices and disciplines are based in mental or physical procedures or techniques administered or taught to others by a trained practitioner or teacher. Natural products include a large and diverse group of

orally or topically administered substances such as herbal medicines, botanicals and probiotics.

Examples of important clinical research opportunities and needs in the mind and body portfolio include but are not limited to the development of better, comprehensive strategies for management of chronic back pain and defining the roles of acupuncture, spinal manipulation, and massage in those strategies; exploration of the role of specific promising CAM practices or disciplines (e.g., meditation, yoga, or acupuncture) in developing better strategies for alleviating symptoms (e.g., chronic pain, stress) or in promoting healthier lifestyles; exploration of the association between well-characterized pathways of pain processing and acupuncture analgesia or the placebo response; exploration of the associations of major pathways of cognitive processing and emotion regulation by meditative practices; and studying the influence of the provider-patient/client interaction, context effects, and the placebo response on outcomes of CAM interventions

Examples of important clinical research opportunities and needs in the natural products area include but are not limited to studying the molecular targets and biological effects of potentially beneficial small molecules that are constituents of natural products or diet (e.g., quercetin, curcumin, or other polyphenols and flavonoids); defining the anti-inflammatory actions of omega-3 fatty acids; employing state-of-the-art tools and technologies to study the effects of probiotics on the human microbiome; and developing evidence regarding the safety profile of certain widely used natural products, including interactions with drugs and other herbals or dietary supplements.

#### Early Stage and New Investigators

NCCAM is strongly committed to assisting new and early stage investigators in establishing a research career. Early stage investigators are those within 10 years of completing their terminal research degree, or their medical residency, or its equivalent. New investigators are those who have yet to compete successfully for a substantial (e.g., R01) NIH research grant. Each Advisory Council round, based on available funds, NCCAM: 1) will consider early stage or new investigator status as one of the criteria for designating grant applications as being of high program priority and 2) may make additional R01 grant awards to new and early stage investigators with percentiles or scores out of payline order..

NCCAM continues to accept applications in areas not listed listed as a specific priority area via the investigator initiated funding opportunities. All investigators are urged to discuss potential applications with the relevant NCCAM Program Officer.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

#### **USES AND USE RESTRICTIONS:**

Project grants and cooperative agreements may be made to eligible institutions for the support of various projects in CAM. The grants may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals miscellaneous items, and indirect costs. For the individual post-doctoral training grant, support is for salary of the trainee, tuition and fees, self-only health insurance, research supplies, equipment, travel to scientific meetings, and related items.

#### **Applicant Eligibility:**

The awardee will be either a university, college, hospital, public agency, nonprofit research institution, or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

#### **Credentials/Documentation:**

For-profit organizations costs are determined by in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. Costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under

E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. NIH is in the process of converting to SF424 (Research and Related (R&R)) forms and electronic submission through Grants.gov. Information on this plan and on registering for electronic submission is available at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-067.html>. Updates regarding the transition process are at <http://era.nih.gov/ElectronicReceipt/>.

#### **Award Procedure:**

Award Procedure: All accepted applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score ranging from the best (10) to worst (90) compete for available funds based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Grants and Cooperation Agreement: Approximately 10 months. Training: For 9 months.

#### **Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Office. A description of the NIH Peer Review Appeal procedures is available on the NIH homepage [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

#### **Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Grants and cooperative agreements: Average 3 to 4 years, maximum of 5 years with prior approval before submission. Renewals may be awarded for additional periods of up to 5 years (with prior approval before submission) based on competitive peer review. Funds are provided through Monthly Demand Payment System or an Electronic Transfer System. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

No program reports are required. No cash reports are required. Type 5 progress reports are required. Expenditure reports on a quarterly basis are sent to the data warehouse. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

#### **Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0896-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$94,740,000; FY 11 est \$94,484,000; and FY 12 est \$95,652,000

**Range and Average of Financial Assistance:**

range from low to high: R21, \$193.2 thousand to DP2 \$2.415 million. Average of financial assistance is \$395.6 thousand.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Translational Tools - \$1.168 million  
Dietary Supplements Research Centers - \$3.441million. Fiscal Year 2011:  
Translational Tools - \$1.168 million  
Dietary Supplements Research Centers - \$3.441million. Fiscal Year 2012:  
Translational Tools - \$1.168 million  
Dietary Supplements Research Centers - \$3.441million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Martin Goldrosen, 6707 Democracy Blvd, Suite 401, Bethesda, Maryland  
20817 Email: goldrosen@mail.nih.gov Phone: (301) 594-2014.

**Website Address:**

<http://nccam.nih.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; (6) the relevance and importance to the announced program objectives; and (7) the interfacing of conventional researchers and technology with unconventional/alternative clinicians for the purpose of providing clinical and scientific collaborations when and where appropriate.

**93.217 FAMILY PLANNING SERVICES**

FP Services

**FEDERAL AGENCY:**

Office of Population Affairs, Department of Health and Human Services

**AUTHORIZATION:**

Title X Statute and Regulations: Requirements regarding the provision of family planning services under Title X can be found in the statute (Title X of the Public Health Service Act, 42 U.S.C. 300 et seq.) and in the implementing regulations which govern project grants for family planning services (42 CFR part 59, subpart A.), 42 U.S.C 300 et seq.

**OBJECTIVES:**

To provide educational, counseling, comprehensive medical and social services necessary to enable individuals to freely determine the number and spacing of their children, and by so doing helping to reduce maternal and infant mortality, promote the health of mothers, families and children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants must be used for family planning services including contraceptive services, infertility services and special services to adolescents. Family planning services include information on all medically approved methods of contraception including natural family planning methods; counseling services, physical examinations including cancer detection and laboratory tests; STD and HIV prevention education, screening and referral; contraceptive supplies, and periodic follow-up examinations. Infertility services include assessment, information, education, and arrangements for referral if necessary. Special services to adolescents include in-depth information, education including abstinence education counseling, and referral to and from other social and medical service agencies, and such ancillary services as are necessary to facilitate clinic attendance for adolescents who need contraceptive services. These family planning services must be available without coercion and with respect for the privacy, dignity, social and religious beliefs of the individuals being served. To the extent possible, entities which receive grants under this subsection shall encourage family participation in projects assisted under this subsection. Funds may not be used in programs where abortion is a method of family planning. Funds may not be used for purchase or construction of buildings; salaries of personnel paid from other Federal grant funds; and certain other miscellaneous items as specified in the regulations. Priority in the provision of services will be given to persons from low-income families. Grants must be used for family planning services including contraceptive services, infertility services and special services to adolescents. Family planning services include information on all medically approved methods of contraception including natural family planning methods; counseling services, physical examinations including cancer detection and laboratory tests; STD and HIV prevention education, screening and referral; contraceptive supplies, and periodic follow-up examinations. Infertility services include assessment, information, education, and arrangements for referral if necessary. Special services to adolescents include in-depth information, education including abstinence education counseling, and referral to and from other social and medical service agencies, and such ancillary services as are necessary to facilitate clinic attendance for adolescents who need contraceptive services. These family planning services must be available without coercion and with respect for the privacy, dignity, social and religious beliefs of the individuals being served. To the extent possible, entities which receive grants under this subsection shall encourage family participation in projects assisted under this subsection. Funds may not be used in programs where abortion is a method of family planning. Funds may not be used for purchase or construction of buildings; salaries of personnel paid from other Federal grant funds; and certain other miscellaneous items as specified in the regulations. Priority in the provision of services will be given to persons from low-income families.

**Applicant Eligibility:**

Any public (including city, county, local, regional, or State government) entity or nonprofit private entity located in a State (including the District of Columbia, Puerto Rico, Guam, the Commonwealth of the Northern Mariana Islands, American Samoa, the Virgin Islands, the Federated States of Micronesia, the Republic of Marshall Islands and the Republic of Palau) is eligible to apply for a grant. Faith based organizations are eligible to apply.

**Beneficiary Eligibility:**

Persons who desire family planning services and who would not otherwise have access to them. Priority to be given to persons from low-income families. Individuals from other than low-income families will be charged a fee in accordance with an established fee schedule although inability to pay must not be a deterrent to services.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs charged to the grant will be determined in accordance with the following cost principles: OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for state and local governments, and OMB Circular No. A-122 for non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or



her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by PHS and required by 45 CFR 74 (for institutions of higher education, hospitals, and other non-profit organizations), and 45 CFR 92 (for state and local governments) must be used for this program. All other applicants should submit completed Form OPHS-1, (Revised 6/2001), U.S. Department of Health and Human Services Public Health Service Grant Application, documenting the need for the grant and the proposed amount of the grant. The Regional Health Administrator has approval authority for the program. Contact should be made with the appropriate Regional Health Administrator (see name/address in Appendix IV) to obtain the Application Kit. This program is subject to the provisions of 45 CFR 74, 45 CFR 92, as well as OMB Circular No. A-102 (Administrative Guidelines for state and local governments) and OMB Circular No. A-110 (Administrative Guidelines for Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations).

**Award Procedure:**

Following approval by the Regional Health Administrator, the Office of Grants Management, OPHS prepares a Notice of Grant Award, secures necessary clearances and approval signatures, issues the Notice of Grant Award, enters the approved award in the grant payment process, and provides notification of grant approval to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 90 to 270 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Projects are generally given commitments of funding for 3 to 5 years. Projects must submit a continuation application each non-competitive year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Usually 1 year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Controller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53, and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year

period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$330,000,000; FY 11 est \$327,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$1.5 mil to \$3.0 mil.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: On an annual basis these funded entities have established and operated voluntary family planning services projects that provide family planning services to all persons whom desired such services, with priority for services to persons from low-income families. Family planning services include: clinical family planning and related preventive health services; information; education; and counseling related to family planning; as well as, referral services as indicated in the Title X legislation. Fiscal Year 2011: On an annual basis these funded entities have established and operated voluntary family planning services projects that provide family planning services to all persons whom desired such services, with priority for services to persons from low-income families. Family planning services include: clinical family planning and related preventive health services; information; education; and counseling related to family planning; as well as, referral services as indicated in the Title X legislation. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

See Regional Agency Offices. Regional Health Administrator, DHHS Regional Offices (See Appendix IV of the Catalog for addresses).

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8449.

**Website Address:**

<http://www.opa.osophs.dhhs.gov>.

**RELATED PROGRAMS:**

93.260 Family Planning\_Personnel Training; 93.974 Family Planning\_Service Delivery Improvement Research Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Projects include: (1) A State Health Department which subcontracts to service providers throughout an entire State; and (2) a service provider to serve multi-counties or a smaller geographic area. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated in terms of which will best promote the purposes of the authorizing legislation, taking into account: (1) the number of patients to be served, especially low-income patients; (2) local need; (3) relative need of the applicant; (4) applicant's ability to make rapid and effective use of Federal assistance; (5) adequacy of the applicant's facilities and staff; (6) availability and commitment of nonfederal resources within the community; and (7) compliance with pertinent regulations and guidelines.

**93.220 CLINICAL RESEARCH LOAN REPAYMENT PROGRAM FOR INDIVIDUALS FROM DISADVANTAGED BACKGROUNDS**

(NIH Clinical Research Loan Repayment Program; CR LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 41631, Public Law 100-43, 288-5 U.S.C.

**OBJECTIVES:**

To recruit and retain health professionals from disadvantaged backgrounds to conduct clinical research at the National Institutes of Health (NIH) by providing for the repayment of educational loans for participants with substantial amounts of educational debt relative to income, who agree by written contract to engage in clinical research as employees of the NIH for a minimum two-year period.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged, as employees of the NIH, in clinical research. Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. One-year continuation contracts are available, dependent upon the level of debt and continued involvement in clinical research. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the Program participants.

**Applicant Eligibility:**

Eligible applicants must: (1) Be a citizen, national, or permanent resident of the United States; (2) possess a M.D., Ph.D., D.O., D.D.S., D.M.D., D.V.M., D.P.M., A.D.N., B.S.N., or equivalent degree; or hold the position of Physician Assistant; (3) come from a disadvantaged background as determined by the Secretary of Health and Human Services; (4) have qualified educational debt, which results from governmental or commercial loans obtained to support their undergraduate and/or graduate education, in excess of 20 percent of their annual NIH salary on the program eligibility date; (5) be appointed under any temporary or permanent employment mechanism in the Intramural Research Program of the NIH, so long as their employment has the potential to last a minimum of 2 years; (6) are not eligible to participate in the CR-LRP if they have an existing service obligation to Federal, State, or other entities, until such obligation is discharged or unless it is deferred during the period of program service; (7) submit an application to participate in the CR-LRP; and (8) sign and submit to the Secretary of Health and Human Services, at the time of agreeing to accept repayment of educational loans, a contract agreeing to engage in clinical research as an employee of the NIH for a minimum of 2 years.

**Beneficiary Eligibility:**

Clinical researchers from disadvantaged backgrounds who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) Copies of loan applications and agreements from governmental or commercial educational loans which are being submitted for repayment; (2) copies of the standard student budget from each school attended during period when debt was incurred; (3) copies of recommendations, special skills, certifications, or other copies of loan documentation; (4) certification from the school(s) attended that the applicant qualified for participation in an educational assistance program for individuals from disadvantaged backgrounds which are sponsored by the Secretary of Health and Human Services or self-certification describing circumstances which qualify him/her under the Secretary's definition of an individual from a disadvantaged background; and (5) other documentation as may be required by law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applicants must access and submit the Loan Repayment Program application electronically via the website [www.lrp.nih.gov](http://www.lrp.nih.gov); seek qualified employment with a sponsoring Institute or Center (IC) of the NIH. Once an application has been submitted, the Loan Repayment Committee reviews it at a regularly scheduled review meeting and a determination of loan repayment recipients is made.

**Award Procedure:**

The NIH Loan Repayment Committee (LRC) will review, rank, and approve or disapprove applications recommended for program participation by each Institute or Center (IC). Applications approved for program participation by the LRC will be notified by the Program Director. The Secretary, or his designee, will sign the service contract of program participants, provide a copy to the participant, and notice of the amount of approved loan repayment.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. The approximate time for approval/disapproval is 3 months.

**Appeals:**

From 90 to 120 days. Employees of the NIH who are not approved as a result of this process may ask for reconsideration through the standard appeal procedures available to employees.

**Renewals:**

From 90 to 120 days. At the conclusion of the initial 2-year contract, participants may apply and be recommended for subsequent 1-year continuation contracts under the application and approval procedures specified above.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One-year, continuation contracts are available for individuals whose educational debt exceeds the maximum repayable amount for 2 years and whose renewal ranking scores within the funding range. Payments are made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program participants must be certified quarterly as to having satisfactorily performed their research assignments. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records

must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$251,397; FY 11 est \$361,000; and FY 12 est \$293,000

**Range and Average of Financial Assistance:**

For initial 2-year contracts, loan repayments range from \$4,000 to \$70,000, Tax reimbursements range from \$1,977 to \$34,598. The average contract cost which includes loan and tax reimbursement is \$68,454.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In 2010, five awards were granted. Fiscal Year 2011: In 2011, four awards were granted. Fiscal Year 2012: In 2012, it is projected that seven awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 103-43, Section 1631; Section 487E of Public Health Service Act (42 U.S.C. 288-5); Public Law 105-392; Federal Register, Volume 59, No. 201, October 19, 1994; 42 CFR Part 68a Federal Register, Volume 63, No. 210, October 30, 1998.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia A. Cole, PhD Office of Intramural Training and Education  
National Institutes of Health  
U.S. Department of Health and Human Services  
Building 2, Room 2E18  
2 Center Drive  
, Bethesda, Maryland 20892-0230 Email: colep@mail.nih.gov Phone:  
3014021283 Fax: 3014802942

**Website Address:**

www.lrp.nih.gov .

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing Student Loans; 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are approved for participation in the NIH Clinical Research Loan Repayment Program after the LRC determines that the applicant will conduct qualified clinical research and qualifies as being from a disadvantaged background. LRC approval, in part, is based upon the scientific merit of the research and the credentials of the applicant as they relate to performing qualified clinical research.

**93.223 DEVELOPMENT AND COORDINATION OF RURAL HEALTH SERVICES**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Section 711, as amended, (42 U.S.C. 912).

**OBJECTIVES:**

For the development and coordination of rural health services. To (1) advise the Secretary on the effects of current policies and proposed statutory, regulatory, administrative and budgetary changes in the programs established under Titles XVIII and XIX, on the financial viability of small rural hospitals and other health care providers, on the ability of rural areas (and rural hospitals in particular) to attract and retain physicians and other health professionals and on access to (and the quality of) health care in rural areas; (2) establish and maintain an information center for collecting and disseminating information on rural health care issues, research findings relating to rural health care and innovative approaches to the delivery of health care in rural areas; (3) work with States, State hospital associations, private associations, foundations and other organizations to find solutions to rural health care delivery problems.

**TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements); PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for carrying out the approved activities in accordance with the intent of the cooperative agreement as stipulated in the notice of grant award.

**Applicant Eligibility:**

Public or private entities with a service commitment to and experience with rural issues at a national level. Applicant must directly employ a project director with a professional record in national rural health and/or social services policy issues, and directly employ staff for the Information Center, with exceptions only through written agreement with ORHP.

**Beneficiary Eligibility:**

The RAC is a gateway to information on rural health and social services for residents in rural areas of the United States and for all others interested in these issues.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually for a project period of up to 5 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A Final Performance Report and a financial report (FFR) are due 90 days following the end of the project period. No cash reports are required. A progress report and a financial report are to be submitted within 90 days after the close of the budget period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$1,124,762; FY 11 est \$1,205,378; and FY 12 est \$1,258,445

**Range and Average of Financial Assistance:**

Average award is \$1,205,378.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Jennifer Change, Office of Rural Health Policy, Health Resources and Services Administration, Parklawn Building, Room 5A-29, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

The Office of Rural Health Policy, 5600 Fishers Lane, Room 5A-05, Rockville, Maryland 20857 Phone: (301) 443-0835.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.913 Grants to States for Operation of Offices of Rural Health

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and rated on the applicant's ability to address the following areas: To (1) develop and maintain a rural health and social services information clearinghouse health care; (2) track emerging and ongoing rural health issues and identify ways to solicit and distribute information for key stakeholders concerned about rural health care; (3) work collaboratively with ORHP to prioritize key issues and develop information resources to share with callers and web users; (4) gather, organize, and index information from a wide range of sources that deal with aspects of rural health care and human services; (5) make referrals, avoid duplication of services, and ensure that rural residents are directed to appropriate resources for their information needs; (6) provide support to the Improve Rural Health Care Initiative and play a key role in broadly disseminating promising practices from rural communities; and (7) experience in working with the full range of key rural interest groups, along with knowledge of rural health and social service issues and of the key individuals and organizations involved in ensuring availability of health and social services in rural areas.

**93.224 CONSOLIDATED HEALTH CENTERS (COMMUNITY HEALTH CENTERS, MIGRANT HEALTH CENTERS, HEALTH CARE FOR THE HOMELESS, PUBLIC HOUSING PRIMARY CARE, AND SCHOOL BASED HEALTH CENTERS)****FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, (42 U.S.C. 254b), Section 330(e), (g), (h), and (i).

**OBJECTIVES:**

To improve the health of the Nation's underserved communities and vulnerable populations by assuring access to comprehensive, culturally competent, quality primary health care services. Individual health center grant mechanisms include: (1) Community Health Centers; (2) Migrant Health Centers; (3) Health Care for the Homeless; and (4) Public Housing Primary Care Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Applications should be designed to improve the availability, accessibility and provision of primary health care services. Funds may not be used for inpatient services, or to make cash payments to intended recipients of services.

**Applicant Eligibility:**

Eligible applicants are public and non-profit private entities, including tribal, faith-based and community-based organizations that have the capacity to effectively administer the grant.

**Beneficiary Eligibility:**

Population groups in medically underserved areas.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

Eligible applications submitted as potential new starts, plus applications competing for the same service area, will be forwarded to an objective review committee. In addition, each application is reviewed by HRSA staff. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, compliance with applicable statutory and regulatory requirements, demonstrated organizational capacity to accomplish the project's goals, and a determination that continued funding would be in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are made annually. After Notices of Grant Award are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Uniform Data Reporting Annual reports. No cash reports are required. See funding opportunities announcement. No expenditure reports are required. Performance Monitoring Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$1,954,000; FY 11 est \$2,180,000; and FY 12 est \$2,256,000

**Range and Average of Financial Assistance:**

\$200,000 to \$11,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Primary Health Care, HRSA, 5600 Fishers Lane, Rockville, MD 20857. Northeast Division: (301) 594-4488; Central Southeast Division: (301) 594-4420; Southwest Division: (301) 480-1130; North Central Division: (301) 443-0111.

**Headquarters Office:**

Bureau of Primary Health Care, 5600 Fishers Lane, Room 17-105, Rockville, Maryland 20857 Phone: (301) 594-4110.

**Website Address:**

<http://www.hrsa.gov> .

**RELATED PROGRAMS:**

93.129 Technical and Non-Financial Assistance to Health Centers; 93.526 Affordable Care Act (ACA) Grants for Capital Development in Health Centers; 93.527 Affordable Care Act (ACA) Grants for New and Expanded Services under the Health Center Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are available in the funding opportunity guidance document. In addition, all applicants are expected to demonstrate compliance with applicable requirements including the Health Center Program Expectations. In addition to these general requirements, there are specific requirements and expectations for applicants requesting funding under each of the section 330 programs. Applicants are strongly encouraged to demonstrate compliance with these requirements and expectations in the application. Applicants requesting funding under multiple programs are expected to demonstrate compliance with the expectations and requirements of all of those programs.

**93.225 NATIONAL RESEARCH SERVICE AWARDS\_HEALTH SERVICES RESEARCH TRAINING**

**FEDERAL AGENCY:**

Agency for Healthcare Research and Quality, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, 42 U.S.C 487.

**OBJECTIVES:**

To provide predoctoral and postdoctoral training opportunities in health services research. Individual fellowships will be awarded directly to applicants for postdoctoral research training. Domestic institutions will also be awarded grants to enhance predoctoral and postdoctoral training programs and provide support to trainees selected by them. The purpose of these awards is to provide fellows and trainees with both academic training and actual experience in the application of research methods to the systematic analysis and evaluation of the organization, financing, utilization, and delivery of health care services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Fellowship support is available for full-time health services research training. An institutional allowance is provided to the sponsoring institution for each fellow. Also, research training grants are awarded to institutions to provide support to trainees selected by the training program director at the grantee institution. This support is available for predoctoral and postdoctoral trainees.

Offsets for tuition and fees are allowable for trainees, and an amount for training related expenses will be provided. Facilities and administrative costs may be requested at 8 percent of allowable direct costs (less tuition and fees), or the negotiated facilities and administrative cost rate, whichever is less.

Postdoctoral fellows and trainees in the first 12 months of postdoctoral NRSA support incur one month of payback obligation for each month of support. The thirteenth and subsequent months of postdoctoral NRSA support are considered payback service for prior postdoctoral support. Predoctoral fellows and trainees do not incur a service payback obligation.

**Applicant Eligibility:**

Domestic public or private nonprofit organizations or institutions may apply for training grants. The applicant institutions must have or expand training programs designed to develop competent investigators in the methods and techniques of conducting health services research. State or local governments and U.S. Territories are eligible. Profit-making organizations are not eligible. Individual applicants for postdoctoral fellowships must have received a clinical or research doctoral degree. All persons supported as fellows or trainees must be citizens or noncitizen nationals of the United States, or have been lawfully admitted for permanent residence.

**Beneficiary Eligibility:**

Individuals and public or private nonprofit organizations or institutions, including State or local governments and U.S. Territories, are the beneficiaries of this program.

**Credentials/Documentation:**

An individual applicant for a postdoctoral fellowship must document receipt of a doctoral degree and acceptance by an appropriate institutional sponsor. Institutional applicants for training grants must document their research and training experiences, staff, curriculum, facilities, and other resources available. Costs will be determined in accordance with HHS Regulations 45 CFR, Part 74. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Information about health services research areas being supported is available from AHRQ. Individual fellowship applicants and institutions should submit Form SF 424 R&R. For State agencies, no State Plan is required. For State and local governments, the standard forms, as furnished by PHS and required by 45 CFR, Part 92, may be used. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments.

**Award Procedure:**

Applications are reviewed for scientific merit by a committee including nonfederal consultants who are selected from appropriate scientific fields. AHRQ considers the recommendations of the review committee, program interest, and the availability of funds in the final selection of grantees. When such decisions are made, applicants are notified and a Notice of Award is issued. Before receiving support, all individual fellows and institutional postdoctoral trainees must submit required forms, including a payback agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Contact Headquarters Office for deadline dates for Institutional Training Grants. Individual applications for postdoctoral fellowships are due: April 8, August 8, and December 8.

**Appeals:**

Not Applicable.

**Renewals:**

If additional support is desired to continue a grant beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application. Generally, no individual may receive

more than 3 years of aggregate National Research Service Award support at the postdoctoral level, or 5 years at the predoctoral level, including any combination of support from institutional and individual awards.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Fellowship support at the postdoctoral level is generally limited to 3 years and at the predoctoral level to 5 years. Institutional training grants may be awarded for project periods up to 5 years. Awards are made on an annual basis and it is expected that obligations will be made within the budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee with DHHS, which may be an Electronic Transfer System or a Monthly Cash Request system. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Grantees must submit quarterly SF272 reports to PSC. Annual and final progress reports are required. For Institutional Training Grants, a final progress report is due at the close of the project period. Annual reports of activities for tracking payback provisions are required of all fellows and trainees upon termination of support. Annual and final Federal Financial Reports (FFR; SF425) are required for Institutional National Research Service Awards. Annual Federal Financial Reports must be submitted within 90 days after the end of the calendar quarter in which the budget period ends. A final FFR must be submitted within 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants records are subject to audit and inspection by Federal auditors.

**Records:**

Records must be retained for at least three years; records shall be retained beyond the three year period if audit findings have not been resolved. Records relating to individual payback obligations are retained for one year after the individual has fulfilled or has been excused from fulfilling the payback obligation.

**Account Identification:**

75-1700-0-1-552.

**Obligations:**

(Training) FY 10 \$7,827,000; FY 11 est \$7,810,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

(Individual Fellowships) \$50,000 to \$75,000; \$65,000 average. (Institutions) \$250,000 to \$500,000; \$350,000 average. These figures are total costs.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Six individual fellowships and 28 institutional training grants were awarded. Fiscal Year 2011: In fiscal year 2011 it is estimated that 6-9 individual fellowships and 28 institutional training grants will be awarded. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 42 CFR Part 66; HHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Shelley Benjamin 540 Gaither Road, Rockville, Maryland 20850 Phone: 301-427-1528

**Website Address:**

<http://www.ahrq.gov>.

**RELATED PROGRAMS:**

93.226 Research on Healthcare Costs, Quality and Outcomes

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: see: <http://www.ahrq.gov/fund/training/t32.htm>. Fiscal Year 2011: see: <http://www.ahrq.gov/fund/training/t32.htm>. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Individual fellowship applications, the following review criteria will be used: (1) The applicant's past academic and research accomplishments; (2) research goals; (3) research training proposed; (4) qualifications of the sponsor; (5) appropriateness of training environment; and (6) reference reports. For Institutional training grant applications, the following review criteria will be used: (1) goals of the proposed training and probability of achievement; (2) substantive content, including courses offered; (3) qualifications and responsibilities of program director and faculty; (4) ability to recruit trainees; (5) extent of institutional participation through provision of necessary space, curriculum time, financial support, and appropriate facilities; (6) documented cooperation of related agencies in providing research experience; (7) proposed number of students; (8) methods for monitoring and evaluating trainees; and (9) reasonableness of budget. In all cases, AHRQ will consider the recommendations of the review committee, the Council program interests, and availability of funds in making the final selection of grantees.

**93.226 RESEARCH ON HEALTHCARE COSTS, QUALITY AND OUTCOMES****FEDERAL AGENCY:**

Agency for Healthcare Research and Quality, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IX, 42 U.S.C 299 ff.

**OBJECTIVES:**

To support research and evaluations, demonstration projects, research networks, and multidisciplinary centers and to disseminate information on health care and on systems for the delivery of such care involving: (1) The quality, effectiveness, efficiency, appropriateness and value of health care services; (2) quality measurement and improvement; (3) the outcomes, cost, cost-effectiveness, and use of health care services and access to such services; (4) clinical practice, including primary care and practice-oriented research; (5) health care technologies, facilities and equipment; (6) health care costs, productivity, organization, and market forces; (7) health promotion and disease prevention, including clinical preventive services; (8) health statistics, surveys, database development, and epidemiology; and (9) medical liability. In support of this research, the Agency has a special interest in health care and its delivery in the inner city, in rural areas, and for priority populations (low-income groups, minority groups, women, children, the elderly, and individuals with special health care needs).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The research should contribute to the health services knowledge base from which empirically based information can be derived by policymakers, both immediately and over the coming decades. Grants include funds for direct costs (such as personnel, travel, equipment, or supplies) necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs (also referred to as facilities and administrative costs). Unallowable costs are indicated in the HHS Grants Policy Statement.

**Applicant Eligibility:**

Federal, State or local government agencies, federally-recognized Indian Tribal Governments, U.S. Territories, sponsored organizations, non-government organizations, minority groups, specialized groups, public or private institutions of higher education, and other public or nonprofit private agencies, institutions, or organizations. Research project grants may also be awarded to individuals.

For-profit organizations are eligible to apply for these grants only if "cooperative agreement" is the designated funding mechanism. Organizations described in section 501(c)4 of the Internal Revenue Code that engage in lobbying are not eligible.

**Beneficiary Eligibility:**

Federal, State or local government agencies, federally-recognized Indian Tribal Governments, public or private nonprofit institutions, U.S. territories, Native American organizations, sponsored organizations, consumers, students, minority groups, specialized groups, health or education professionals, individuals, scientist/researchers, and the general public.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of their nonprofit status when applying for grants. Costs will be determined in accordance with DHHS Regulations 45 CFR 74. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in response to a Funding Opportunity Announcement (FOA). All FOAs are posted on [www.Grants.gov](http://www.Grants.gov). Refer to the FOA of interest for specific requirements regarding the application procedure as AHRQ is in the process of transitioning to the new SF-424 Research and Related (R&R) grant application form and to electronic submission through [www.Grants.gov](http://www.Grants.gov) for competing awards. For FOAs for which applications have not yet been transitioned to electronic submission through [Grants.gov](http://www.Grants.gov), nongovernmental applicants should submit using Form PHS-398 (Rev. November 2007); State and local governments may submit using the standard application forms, as furnished by PHS and required by 45 CFR Part 92. For State agencies, no State Plan is required. Applications are reviewed and evaluated by a group composed primarily of nonfederal scientists. The review is conducted by a panel of experts in the specific study area proposed. This program is subject to the provisions of 45 CFR Part 92 for State and local governments.

**Award Procedure:**

Applications are reviewed for scientific merit by a committee including nonfederal consultants who are selected from appropriate scientific fields. AHRQ considers the recommendations of the review committee, program interest, and the availability of funds in the final selection of grantees. When such decisions are made, applicants are notified and a Notice of Award is issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

Not Applicable.

**Renewals:**

If additional support is desired to continue a project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be approved for project periods of up to 5 years, depending on the grant program and based on the availability of funding. Refer to the FOA of interest for information regarding the maximum duration of the project period. Awards are made on an annual basis and it is expected that obligations will be made within the budget period awarded. After awards are issued, funds are

released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Grantees must submit quarterly SF425 reports to PSC. Progress reports are required on an annual basis. Some programs also require quarterly progress reports. A final progress report must be submitted within 90 days after the end of a project. Inventions are to be reported immediately. A Final Invention Statement must be submitted within 90 days after the end of a project. An annual Federal Financial Report (FFR; SF425) must be submitted within 90 days after the end of the calendar quarter in which the budget period ends. A final FFR must be submitted within 90 days after the end of the project. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Records must be retained for at least three years; records shall be retained beyond the three year period if audit findings have not been resolved.

**Account Identification:**

75-1700-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$138,463,000; FY 11 est \$114,446,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$14,827 to \$3,807,393; \$337,009 average. These are total cost figures (direct costs plus associated facilities and administrative costs, if appropriate).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY2010 AHRQ awarded 410 grants. Fiscal Year 2011: It is estimated that approximately 360 grants will be provided to similar organizations for the support of extramural health services research and demonstration and dissemination projects. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 67, Regulations for Grants for Health Services Research, Evaluation, Demonstration, and Dissemination Projects as amended by Public Law 106-129; HHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

George Gardner 540 Gaither Road, Rockville, Maryland 20850 Phone: 301-427-1447

**Website Address:**

<http://www.ahrq.gov>.

**RELATED PROGRAMS:**

93.225 National Research Service Awards\_Health Services Research Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: AHRQ-supported grants focused on health services research in the area of patient-centered outcomes research, prevention and care management, value research, health information technology, patient safety, and quality, effectiveness and efficiency research. Fiscal Year 2011: In addition to noncompeting grant support, AHRQ will fund new grants related to patient-centered health research; prevention and care management related to the

complex patient; health information technology research as it works to improve quality, safety and effectiveness; patient safety research, including simulation; healthcare-associated infections; support for Consumer Assessment of Healthcare Providers and Systems (CAHPS); and new support for investigator-initiated health services research. Fiscal Year 2012: Based on the availability of funding, it is anticipated that AHRQ-supported grants will focus on health services research in the area of patient-centered outcomes research, prevention and care management, value research, health information technology, patient safety, and quality, effectiveness and efficiency research.

**CRITERIA FOR SELECTING PROPOSALS:**

The proposals must first be reviewed by review groups of peers and recommended for approval on the basis of scientific and technical merit. This includes consideration of the qualifications of the principal investigator and staff to conduct the research using appropriate methodology and budget. Those approved proposals which are most relevant to the identified program priority issues of the AHRQ are funded to the extent that funds are available.

**93.228 INDIAN HEALTH SERVICE\_HEALTH MANAGEMENT DEVELOPMENT PROGRAM**

(Indian Health)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Public Law 83-568, 42 U.S.C. 2001-2004a; Indian Self-Determination and Education Assistance Act, Section 104 (b), Public Law 93-638, 25 U.S.C. 450, Section 9, Public Law 98-250; Public Law 100 - 472.

**OBJECTIVES:**

To improve the quality of the health of American Indians and Alaska Natives by providing a full range of curative, preventive and rehabilitative health services; and to improve the management capability of American Indians and Alaska Natives to assume operation of all or part of an existing Indian Health Service (IHS) direct-operated health care program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The assistance is used for four types of management related projects: (1) Feasibility Studies; (2) Planning; (3) Tribal Health Management Structure Development; and (4) Evaluation. Tribal management grants may not be used to support operational programs, or to supplant existing public and private resources. This assistance is available to Federally-recognized Indian Tribes and Tribal-sanctioned Tribal organizations.

**Applicant Eligibility:**

Federally-recognized Tribes and Tribally-sanctioned Tribal organizations.

**Beneficiary Eligibility:**

Individuals who are members of an eligible applicant Tribe, band, or group or village and who may be regarded as within the scope of the Indian health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as Tribal membership, enrollment, residence on tax exempt land, ownership of restricted property, active participation in Tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

**Credentials/Documentation:**

Certification of Native Indian or Alaskan descent is required for direct services. Provisions of grants under Public Law 93-638 and its amendments require Tribal endorsement in the form of a Resolution to sanction Tribal participation. Costs will be determined in accordance with OMB Circular No. A-122 for Nonprofit Organizations as implemented through program regulations 42 CFR 36 and applicable grant administration regulations 45 CFR, Part 92, (45 CFR 74 for nonprofit organizations). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**



This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The applicant package may be found in Grants.gov. or at [http://www.ihs.gov/NonMedicalPrograms/gogp/index.cfm?module=gogp\\_funding](http://www.ihs.gov/NonMedicalPrograms/gogp/index.cfm?module=gogp_funding). Information regarding the electronic application process may be directed to Tammy Bagley, Acting Director, Division of Grants Management at (301) 443-5204. This program is subject to the provisions of 45 CFR 92 for Indian Tribes and OMB Circular No. A-110, if applicant is a nonprofit Tribal organization.

**Award Procedure:**

Grants are awarded on a competitive basis with processing and final approval by Headquarters.

**Deadlines:**

Aug 05, 2011: For FY 2012 Awards. For Public Law 93-638 grants applications must be submitted 90 days prior to the proposed project start date. Contact Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. 90 days. Grants are approved/disapproved within ninety (90) days from receipt of application/proposal in IHS Headquarters.

**Appeals:**

From 30 to 60 days. Grant appeals will follow PHS appeals procedures: 42 CFR, Part 50, Subpart D and DHHS appeals procedures: 45 CFR 16.

**Renewals:**

Renewal of grants is on a year-to-year basis and requires the submission of continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Depending on services provided, progress and financial reports will be required quarterly or semi-annually with final performance and financial status reports due 90 days after the end of the project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR 92.42, grantees are required to maintain grant records 3 years after they submit their final expenditure report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,586,000; FY 11 est \$2,586,000; and FY 12 est \$2,581,000

**Range and Average of Financial Assistance:**

\$50,000 - \$100,000 Range; \$100,000 Average.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36; 45 CFR 92 and 45 CFR 74, HHS Grants Policy Statement, (Rev.) January, 2007; Program Guidelines for Competitive Projects.

**Regional or Local Office:**

None. Program - Ms. Patricia J. Spotted Horse, Program Analyst, Tribal Management Grant Program, Indian Health Service, 801 Thompson Avenue, Suite 220, Rockville, MD 20852, Phone: (301) 443-1104;

Grants - Ms. Tammy Bagley, Acting Director, Division of Grants Management, 12300 Twinbrook Parkway, Suite 360, Rockville MD 20852, phone: (301) 443-5204.

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: [grantspolicy@ihs.gov](mailto:grantspolicy@ihs.gov) Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov/nonmedicalprograms/tmg/index.asp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.231 EPIDEMIOLOGY COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94-437, 25 U.S.C 1621m.

**OBJECTIVES:**

To develop epidemiology centers and public health infrastructure through the augmentation of existing programs with expertise in epidemiology and a history of regional support. Activities should include, but not be limited to, development of surveillance for disease conditions, epidemiological analysis, interpretation, and dissemination of surveillance data, investigation of disease outbreaks, development and implementation of epidemiological studies, development and implementation of disease control and prevention programs, and coordination of activities with other public health authorities in the region. Proposed activities which cover large population and/or geographical areas that do not necessarily correspond with current Indian Health Service (IHS) administrative areas are encouraged.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant funds may be used to develop and conduct activities to achieve at least one epidemiology programs in each of the 12 Areas of Indian country. The recipient activities will coordinate and participate in projects, investigations, or studies of national scope; and share surveillance and other data collected. IHS activities will convene workshops/meetings; provide technical assistance and consultation; provide training; conduct site visits; and coordinate all epidemiological activities on a national basis. Funds will be used to support activities that are directly related to the grant project. All indirect costs will be issued based on the indirect cost rate agreement that is negotiated by the recipient, as appropriate. 100% are discretionary funds.

**Applicant Eligibility:**

Any federally recognized Indian tribe or tribal organization, as defined in Section 4(d) and 4(e) of the Indian Health Care Improvement Act, Public Law 94-437, as amended. An inter-tribal consortium or Indian organization, if it is incorporated for the primary purpose of improving Indian health, and it is representative of the tribes or urban Indian communities in which it is located. An urban Indian organization is defined as a nonprofit corporate body situated in an urban center eligible for services under Title V of the Indian Health Care Improvement Act, Public Law 94-437, as amended.

**Beneficiary Eligibility:**

American Indians and Alaska Natives will benefit.

**Credentials/Documentation:**

The applicant must provide documentation of: (1) Nonprofit status; (2) tribal resolution(s); and (3) letters of support and collaboration with regional IHS, State, or university organizations. Costs will be determined in accordance with OMB Circular No. A-122 (nonprofit organizations), and applicable grant administration regulations 45 CFR 74 and 45 CFR 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The Contact Center is open 24 hours a day, 7 days a week (except for Federal holidays). Waivers from the electronic process must be made at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package from the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to IHS.

**Award Procedure:**

These awards are issued under a competitive grant process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will be awarded for project periods of up to 3 years. Within the project period, a continuation application must be submitted via grants.gov annually on a non-competitive basis for each year of support. Additional support is subject to availability of funds. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management

Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3 year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 10 \$6,000,000; FY 11 est \$6,000,000; and FY 12 est \$6,000,000

**Range and Average of Financial Assistance:**

\$350,000 to \$1,000,000; average award \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 94-437, Section 214(a)(1), as amended by Public Law 102-573; 45 CFR 92 and 45 CFR 74; authorizes the cooperative agreement grant awards. HHS Grants Policy Statement, January 2007.

**Regional or Local Office:**

None. Program Contact: Selina Keryte; Division of Epidemiology and Disease Prevention, Indian Health Service, Headquarters West, 5300 Homestead Road, NE; Albuquerque, New Mexico 87110; Telephone: (505) 248-4132.

For Grants Management Contact: Ms. Tammy Bagley, Grants Policy Officer, Division of Grants Manager, Indian Health Service; 801 Thompson Avenue, TMP, Suite 360; Rockville, Maryland 20852; Telephone: (301) 443-5204. (Telephone numbers are not toll-free).

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are introduction, current capacity and project objectives, approach and results and benefits, project evaluation, organization capabilities and qualifications, and budget. Consideration will be given to applicants: (1) Proposing to provide services to large regions consisting of more than a single IHS administrative area; and (2) demonstrating evidence of past and current epidemiological activities.

**93.232 LOAN REPAYMENT PROGRAM FOR GENERAL RESEARCH**

(NIH General Research Loan Repayment Program; GR-LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part VI, Section 487C, Public Law 100-43, 42 U.S.C 288-3.

**OBJECTIVES:**

To recruit and retain health professionals performing research in fields required by the NIH to carry out its mission by providing educational loan repayment for participants with substantial amounts of educational debt relative to income, who agree by written contract to engage in laboratory or clinical research as employees of the NIH for a minimum 3-year period.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged, as employees of the NIH, in laboratory or clinical research. Recipients must agree by written contract to engage in such research, initially, for a minimum of 3 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Continuation contracts for 1-year terms are available, dependent upon the level of debt and continued involvement in research that supports the research and institutional needs and the mission of the NIH. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold."

**Applicant Eligibility:**

Eligible applicants must: (1) Be a citizen, national, or permanent resident of the United States; (2) possess a M.D., Ph.D., D.O., D.D.S., D.M.D., D.V.M., D.P.M., A.D.N., B.S.N., or equivalent degree, or hold the position of Physician Assistant; (3) have qualified educational debt, which results from governmental or commercial loans obtained to support their undergraduate and/or graduate education, in excess of 20 percent of their annual NIH salary on the program eligibility date; (4) be appointed to the NIH Intramural Research Program under any temporary or permanent employment mechanism, so long as the employment has the potential to last a minimum of three years; (5) not be under any existing service obligation to Federal, State, or other entities, until such obligation is discharged or unless it is deferred during the period of program service; (6) submit an application to participate in the Loan Repayment Program for General Research; and (7) sign and submit to the Secretary of Health and Human Services, at the time of application submission, a contract agreeing to engage in research as an employee of the NIH for a minimum of 3 years.

**Beneficiary Eligibility:**

NIH researchers who possess substantial unpaid educational debt relative to income will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) Copies of loan applications and agreements from government or commercial educational loans which are being submitted for repayment; (2) copies of the standard student budget from each school attended during the period in which the debt was incurred; and (3) other documentation as may be required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must access and submit the Loan Repayment Program application electronically via the website [www.lrp.nih.gov](http://www.lrp.nih.gov); seek qualified employment with a sponsoring Institute or Center (IC) of the NIH. Once an application has

been submitted, the Loan Repayment Committee reviews it at a regularly scheduled review meeting and a determination of loan repayment recipients is made.

**Award Procedure:**

The NIH Loan Repayment Committee (LRC) will review, rank, and approve or disapprove applications recommended for program participation by each Institute or Center (IC). Applications approved for participation by the LRC will be notified by the Program Director. The Secretary, or his designee, will sign the service contract of program participants, provide a copy to the participant, and notice of the amount of approved loan repayment.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. The approximate time for approval/disapproval is 3 months.

**Appeals:**

From 90 to 120 days. Employees of the NIH who are not approved as a result of this process may ask for reconsideration through the standard appeal procedures available to NIH employees.

**Renewals:**

From 90 to 120 days. At the conclusion of the initial 3-year contract, participants may apply and be considered for subsequent 1-year continuation contracts under the application and approval procedures specified above.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 3-year period. One-year continuation contracts are available for individuals whose educational debt exceeds the maximum repayable amount for 3 years. Payments will be made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation. Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records

pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$4,805,726; FY 11 est \$5,000,000; and FY 12 est \$6,500,000

**Range and Average of Financial Assistance:**

(Loan Repayment) For initial 3-year contracts, loan repayment awards may range from \$6,000 to \$105,000; Tax reimbursements range from \$2,966 to \$51,896. The average contract cost which includes loan and tax reimbursement is \$102,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, 72 awards were made. Fiscal Year 2011: In fiscal year 2011, 79 awards were made. Fiscal Year 2012: NIH projects that 127 awards will be made in 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 103-43, Section 1631; Section 487C of the Public Health Service Act (42 U.S.C. 288-3); Public Law 105-392; and Federal Register, Volume 59, No. 201, October 19, 1994. Notice of Proposed Rulemaking is pending.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia A. Cole, PhD Office of Intramural Training and Education  
National Institutes of Health  
U.S. Department of Health and Human Services  
Building 2, Room 2E18  
2 Center Drive  
, Bethesda, Maryland 20892-0230 Email: colep@mail.nih.gov Phone:  
3014021283 Fax: 3014802942

**Website Address:**

www.lrp.nih.gov.

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.364 Nursing Student Loans; 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Please see the website, www.lrp.nih.gov. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are approved for participation in the NIH General Research Loan Repayment Program after the LRC determines that the applicant will conduct

qualified research and has qualifying educational debt. LRC approval, in part, is based upon the scientific merit of the research, its priority to the research institutes, and the credentials of the applicant.

**93.233 NATIONAL CENTER ON SLEEP DISORDERS RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

NIH Reauthorization Act of 1993, Public Health Service Act, Section 503: Subpart 2, Part C, Title IV, Section 424, 42 U.S.C. 285b et seq.

**OBJECTIVES:**

The National Center on Sleep Disorders Research (NCSDR) supports research and research training related to sleep disordered breathing, and the fundamental functions of sleep and circadian rhythms. The center also stewards several forums that facilitate the coordination of sleep research across NIH, other federal agencies and outside organizations, including the Sleep Disorders Research Advisory Board and a Trans-NIH Sleep Research Coordinating Committee. The center also participates in the translation of new sleep research findings for dissemination to health care professionals and the public. Small Business innovation Research (SBIR) program: to stimulate technological innovation; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards (NRSA) are made directly to individuals for research training in specified biomedical shortage areas. Grants may be made to institutions to enable them to make NRSA to individuals selected by them. Certain service and payback provisions apply to individuals upon termination of the award. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. . Fast-Track is an option whereby Phase I and Phase II SBIR or STTR projects are submitted and reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II. While the intent of the STIR/STTR programs is commercialization (Phase III), no SBIR/STTR funds are allowed for commercialization activities such as patents; market and sales; market research; business development/product development/market plans; legal fees, travel and other costs including labor relating to license agreements and partnerships.

**Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research, as well as

institutions or companies organized for profit, may apply for grants with the exception of NRSAs. An individual may apply for a NRSA or, in some cases, may qualify for a research grant if adequate facilities in which to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. SBIR projects must be performed at least 67% by the applicant small business in Phase I and at least 50% of the Project in Phase II. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research.

**Credentials/Documentation:**

Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. SBIR and STTR applicants must use the SF424 Research and Related (R&R) application for electronic submission through grants.gov. Electronic submission of SNAP Progress Reports (eSNAP) apply for non-competing continuations (e.g., second year of Phase II). OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications are submitted electronically. Visit the following link to obtain application information and instructions (<http://grants1.nih.gov/grants/funding/424/index.htm>)

**Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparation of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed

research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH grants information page <http://www.grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

> 180 Days. Renewal applications are reviewed in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Advisory Council may recommend funding for periods from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: The National Heart, Lung, and Blood Advisory Council may recommend funding for periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1.a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2.an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$54,488,124; FY 11 est \$54,488,124; and FY 12 est \$54,488,124 - In fiscal year 2010, 115 research grants and National Research Service Awards were made. The estimates of fiscal year 2011 are 106 research grants and 9 National Research Service awards. The estimates for fiscal year 2012 are 106 research grants and 9 National Research Service Awards. In fiscal year 2009, for new and competing renewal awards: 165 grant applications were received, and of these, 33 were awarded; 9 National Research Service Award applications were received, and of these, 3 was awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2010, 0 Phase I awards, and 2 Phase II awards were made.

**Range and Average of Financial Assistance:**

Grants: \$20,000 to \$2,444,364; \$473,810. SBIR/STTR: Phase I - \$100,000; Phase II - up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Since Sleep Disorders Research Program is now intergrated into the Cardiovascular, Lung and Blood Diseases Research Programs, all fundings related to sleep research have already been reported under the respective programs.

**Headquarters Office:**

Roy L. White, 6701 Rockledge Drive, Rm 7176, MSC7924, Bethesda, Maryland 20817 Email: whiter@nhlbi.nih.gov Phone: (301) 435-0310.

**Website Address:**

<http://www.nhlbi.nih.gov/sleep>.

**RELATED PROGRAMS:**

93.837 Cardiovascular Diseases Research; 93.838 Lung Diseases Research; 93.839 Blood Diseases and Resources Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.234 TRAUMATIC BRAIN INJURY STATE DEMONSTRATION GRANT PROGRAM**

TBI

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XII, Section 1252 (42 USC 300d-52) as amended by the Childrens Health Act of 2000, sec.1304, PL 106-310, as further amended by the Traumatic Brain Injury Act of 2008, sec. 6(a), PL 110-206.

**OBJECTIVES:**

To improve access to health and other services for individuals with Tramatic Brain Injury (TBI) and their families.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project grants to States to improve access to health and other Traumatic Brain Injury (TBI)-related services for people of all ages are established within HRSA. Any State seeking TBI grant funds is required to agree to establish or have an advisory board within the appropriate health department of the State or within another department as designated by the Chief Executive Officer of the State. The Board's composition as specified must include representatives of the involved State agencies; public and nonprofit private health related organizations; disability advisory or planning groups; members of an organization or foundation representing individuals with TBI; State and local injury control programs if they exist, and a substantial number of individuals with TBI and/or their family members. The grants are called "Implementation Partnership Grants." These grants are to be used in building a statewide system to assure access to comprehensive and coordinated TBI services. Grants can address a wide range of activities and should reflect gaps or needed system change identified through the statewide TBI needs assessment.

**Applicant Eligibility:**

Only State and Territorial governments are eligible to apply for funding under the TBI grant program. The application for Implementation Partnership funds may only come from the State agency designated as the lead for TBI services. The State maternal and child health program is expected to be involved in the program. Only one application from each State may enter the review process and be considered for an award under this program.

**Beneficiary Eligibility:**

Individuals with TBI and their families, including those in high risk groups, such as children and youth, the elderly, Native Americans and Alaska natives, military service members and veterans.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee.

Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made approximately 3 to 4 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

No renewals; grants are approved for up to four years for Implementation Grants.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. States must make available nonfederal cash or in-kind matching funds in an amount that is not less than \$1 for each \$2 of Federal funds provided under the grant.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually in accordance with the project period method of awarding grants. Payments are made through a Letter of Credit or Cash Demand System. Project periods are for 1, 2, 3, or 4 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Reports are required. Federal financial report cash transaction report. Refer to the funding opportunity announcement. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 4 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 4-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 4-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$5,204,419; FY 11 est \$5,248,134; and FY 12 est \$5,167,988

**Range and Average of Financial Assistance:**

\$10,000 to \$250,000; \$226,279.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education,

hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. LCDR Donelle McKenna, Project Director, Division of Services for Children with Special Health Care Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-18, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-9280, E-mail: DMcKenna@hrsa.gov.

**Headquarters Office:**

LCDR Donelle McKenna Room 18A-18, 5600 Fishers Lane, Rockville, Maryland 20857 Email: DMcKenna@hrsa.gov Phone: (301) 443-9280

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.127 Emergency Medical Services for Children

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed by nonfederal consultants who make recommendations to the Secretary of the Department. The Secretary will approve projects which best promote the purposes of TBI grants. Review criteria: The following review criteria apply to the State implementation grant: (1) the adequacy of the State's proposed method for linking its Statewide TBI Action Plan to the findings of the statewide needs assessment; (2) the extent to which the proposal reflects the involvement of necessary public/private organizations and agencies to assure a comprehensive approach and the necessary support to aid sustainability (3) the qualifications, experience, and commitment to the program as indicated by time that will be devoted to the program, of the designated lead person for TBI within the State; (4) the extent to which the proposed plan addresses those groups within the State that are at highest risk of sustaining a TBI, including, these groups, identified by the CDC: Children from 0-4, Adolescents from 15-19, the elderly, Native Americans, and other underserved populations. In addition, there should be a plan to assist veterans and service members and their families who request assistance. (5) reasonableness of the proposed budget, and effectiveness of the proposed plan to accomplish the goals and objectives the State has for its TBI program.

**93.235 AFFORDABLE CARE ACT (ACA) ABSTINENCE EDUCATION PROGRAM**

Abstinence Education Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Title V, Section 510 of the Social Security Act.

**OBJECTIVES:**

To enable States to provide abstinence education, and at the option of the State, where appropriate, mentoring, counseling, and adult supervision to promote abstinence from sexual activity, with a focus on those groups which are most likely to bear children out-of-wedlock. The Affordable Health Care Act (ACA) appropriated funding for this program through FY 2014.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Pursuant to Section 510(b)(2) of Title V of the Social Security Act, the term "abstinence education" means an educational or motivational program that: (A) has as its exclusive purpose, teaching the social, psychological, and health gains to be realized by abstaining from sexual activity; (B) teaches abstinence from sexual activity outside marriage as the expected standard for all school age children;

(C) teaches that abstinence from sexual activity is the only certain way to avoid out-of-wedlock pregnancy, sexually transmitted diseases, and other associated health problems;

(D) teaches that a mutually faithful monogamous relationship in the context of marriage is the expected standard of human sexual activity;

(E) teaches that sexual activity outside of the context of marriage is likely to have harmful psychological and physical effects;

(F) teaches that bearing children out-of-wedlock is likely to have harmful consequences for the child, the child's parents, and society;

(G) teaches young people how to reject sexual advances and how alcohol and drug use increases vulnerability to sexual advances; and

(H) teaches the importance of attaining self-sufficiency before engaging in sexual activity.

**Applicant Eligibility:**

Funds are allotted to 59 States and Territories to enable them to carry out abstinence education programs. Eligible applicants include the 50 United States, the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Mariana Islands, Micronesia, the republic of the Marshall Islands, and the Republic of Palau.

**Beneficiary Eligibility:**

School-age girls and boys, adolescents, at-risk populations subject to out-of-wedlock births, parents, youth serving professionals and families.

**Credentials/Documentation:**

A signed letter from the authorized representative must accompany each application; it should include documentation establishing the authorized representative's authority to apply for and administer the Abstinence Education grant program funds on behalf of the State or Territory. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application procedures will be given in the Funding Opportunity Announcement (FOA).

**Award Procedure:**

ACF will recruit and train Federal staff and contractors to review State applications. Program administrators will review observations and comments of reviewers to assure they are in compliance with guidelines and Federal law. Applications will be rated Approved, Approved with Conditions, or Approval Pending. States that submit applications that are Approved will receive grant awards and will not need to send further information. States that submit applications that are Approved with Conditions" will receive grant awards with descriptions of weaknesses and subsequent conditions that must be met in order to receive Approved status. The applicants will be given a set time period to send to ACF a response that addresses the conditions. States that submit applications that are rated Approval Pending will receive a list of weaknesses cited by the reviewer and directions for submitting an amended application that addresses the weaknesses. The State will not receive a grant award until the State submits a satisfactory application. The applicants will be notified of a final due date for submission of a satisfactory application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 75%. There is a required match of 3 nonfederal dollars for every 4 federal dollars. For example, if a states federal award is \$100,000, the State must provide a match of \$75,000, which would represent 43% of the total project cost of \$175,000 (counting both federal grant and state match). The match can be reached by use of state dollars, local government dollars, private dollars including foundation dollars, in-kind support, or any combination thereof. This program does not have MOE requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

In accordance with Section 503 of the Social Security Act, Any amount payable to a State under this title from allotments for a fiscal year which remains unobligated at the end of such year shall remain available to such State for obligation during the next fiscal year. For example, funds appropriated and allocated to the States in FY 2009 (starting October 1, 2008) are available for obligation and expenditures through September 30, 2010. Two-year budget periods are contingent upon Congressional re-authorization or the continued extension of the authorization and funding of the program. Method of awarding/releasing assistance: quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

Progress reports and financial expenditure reports are required. The SF-425 is required. Specific guidance regarding data to be reported will given in the program announcement. Program guidelines allow States to expend abstinence education funds over a two-year period. An interim Financial Status Report (SF-425) is due semi-annually, and a final fiscal report is due 90 days after the end of the project period. Performance monitoring occurs by reviewing program progress reports, conducting monitoring phone calls and conducting monitoring site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. As described in Title V, Section 506(b)(1) of the Social Security Act, each state shall, not less often than once every 2 years, audit its expenditures from amounts received under this title.

**Records:**

Records of the recipient shall be made available to the Secretary to secure an accurate description of the activities for which funds were spent in achieving the purposes of this section. States shall make available copies of reports and audits for public inspection within the State. Within 30 days following the completion of each audit report, the State shall submit a copy of that audit report to the Secretary.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$33,435,000; FY 11 est \$50,000,000; and FY 12 est \$50,000,000 - 33,435,000 ACA funds were obligated in FY10 Estimated \$50,000,000 ACA funds will be obligated in FY11 Estimated \$50,000,000 ACA funds will be obligated in FY12.

**Range and Average of Financial Assistance:**

Range: \$27,000-\$6,043,714

Average: \$847,458 (\$50 Million divided by 59 eligible States, Territories and the District of Columbia).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 30 grants were awarded. Fiscal Year 2011: In FY 2011, it is anticipated that 59 grants will be awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 59 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Family and Youth Services Bureau central office for available



literature. You may also get information on the Family and Youth Services Bureau website at the following address: <http://www.acf.hhs.gov/programs/fysb>

**Regional or Local Office:**

None.

**Headquarters Office:**

Marc D. Clark 1250 Maryland Ave, SW 8th Floor, Washington, District of Columbia 20024 Email: [marc.clark@acf.hhs.gov](mailto:marc.clark@acf.hhs.gov) Phone: 202-205-1723 Fax: 202-205-9535

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>

**RELATED PROGRAMS:**

93.010 Community-Based Abstinence Education (CBAE) ; 93.092 Personal Responsibility Education Program; 93.111 Adolescent Family Life Research Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grantees implement a wide range of program types including: in-class abstinence education, after-school abstinence education, parent education, training for abstinence educators, mentoring, counseling, adult supervision, assemblies, community retreats, conferences and other activities. Fiscal Year 2011: Grantees implement a wide range of program types including: in-class abstinence education, after-school abstinence education, parent education, training for abstinence educators, mentoring, counseling, adult supervision, assemblies, community retreats, conferences and other activities. Fiscal Year 2012: Grantees implement a wide range of program types including: in-class abstinence education, after-school abstinence education, parent education, training for abstinence educators, mentoring, counseling, adult supervision, assemblies, community retreats, conferences and other activities.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed for addressing all criteria given in the program announcement.

**93.236 GRANTS FOR DENTAL PUBLIC HEALTH RESIDENCY TRAINING**

Dental Public Health Residency Training (DPHRT) and Grants to States to Support Oral Health Workforce Activities (SSOHWa)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Part D of Title III of the Public Health Service Act as amended, Subpart X, Primary Dental Programs, Section 340 G (42 U.S.C. 256g).

**OBJECTIVES:**

States to Support Oral Health Workforce Activities (SSOHWa) assists states to develop and implement innovative programs to address the dental workforce needs of designated dental health professional shortage areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are intended to assist activities in States and support projects that address the oral health workforce needs of underserved urban and rural populations. Grants funds may not be used to take the place of current funding for the activities. Grants may not be used for construction or for providing direct patient services.

**Applicant Eligibility:**

Eligible applicants include Governor appointed State government entities. Each State is limited to only one application, and must address one or more of thirteen activities to addressing oral health workforce needs listed in the authorizing statute and program guidance. Applicants must have significant experience with addressing oral health workforce issues in underserved populations.

**Beneficiary Eligibility:**

Beneficiaries include Governor appointed State government entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities.

All qualified applications are forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification of award is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted for up to 3 years of support.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 40%. Matching Requirements: Percent: 40%. An entity that receives a grant under this program must contribute non-Federal funds to activities carried out under this grant to an amount equal to at least 40 percent of the Federal funding in support of the project. Matching funds may be a combination of in-kind contributions, fairly valued, and any other funding from State, local, community, or other organization sources. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are up to 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A progress report must be submitted for the each subsequent budget period within the approved project period for continuation funding. Financial status reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$16,588,421; FY 11 est \$16,151,897; and FY 12 est \$1,750,000 - 149,688 to \$1,257,093; \$461,483. (Salaries) FY 10 Not Separately Identifiable; FY 11 Not Separately Identifiable; and FY 12 Not Separately Identifiable

**Range and Average of Financial Assistance:**

149,688 to \$1,257,093; \$461,483.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Funded 24 non-competing continuation awards and 10 new awards. Fiscal Year 2011: 201134 non-competing continuation awards and one new award. Fiscal Year 2012: Anticipate 10 non-competing continuation awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Shane Rogers, Program Officer, Oral Health Branch, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-27, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5260 and E-mail address: [SRogers@hrsa.gov](mailto:SRogers@hrsa.gov).

**Headquarters Office:**

Shane Rogers Room 9A-27, 5600 Fishers Lane, Rockville, Maryland 20857  
Phone: 301) 443-5260

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal consultant(s) for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedure above to obtain a copy of the announcement.

**93.237 SPECIAL DIABETES PROGRAM FOR INDIANS\_DIABETES PREVENTION AND TREATMENT PROJECTS**

(Indian Health)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Balanced Budget Act of 1997, Public Law 105-33, 111 Stat. 574; Medicare Improvements for Patients and Providers Act of 2008, Public Law 110-275;

Medicare & Medicaid Extenders Act of 2010, Public Law 111-309; Public Health Service Act, 42 U.S.C 330C(c)(2)(c).

**OBJECTIVES:**

To promote improved health care among American Indians/Alaska Natives through special diabetes prevention and treatment services with objectives and priorities determined at the local level. Extension of SDPI funds for FY 2010 and FY 2011 now includes a new grant application process that directs Community-Directed Diabetes Programs to identify and implement at least one Indian Health Diabetes Best Practice with defined goals, objectives and key measures based on community assessment and results of diabetes care and outcomes audit. The funding mechanism is a competitive grant program. An additional initiative located at CFDA #: 93-442 called the SDPI Diabetes Prevention and Healthy Heart Initiatives cooperative agreements transitions the SDPI Demonstration Projects activities to determine lessons learned, tools and resources and to plan for dissemination into American Indian and Alaska Native communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

P.L. 111-309, Medicare & Medicaid Extenders Act of 2010 extends SDPI funding for (FY 2012-2013 to fund 1) competitive grant programs to implement primary, secondary, and tertiary diabetic prevention and treatment and related data collection and 2) competitive diabetes prevention and healthy heart initiative cooperative agreements to determine lessons learned, tools and resources from the previous demonstration projects and to create dissemination plans into American Indian and Alaska Native communities. The award amount will include both direct and indirect costs. Grant funds may not be used for any other purpose. Funding may not be used as matching funds for other Federal programs.

**Applicant Eligibility:**

The Public Health Service Act, as amended, states that the following groups are eligible to apply for grants: Indian Health Service (IHS) entities: Indian tribes or tribal organizations who operate an Indian Health program. This includes program under a contract, grant, cooperative agreement or compact with the IHS under the Indian Self-Determination Act; and Urban Indian organizations that operate an urban Indian Health program. This includes programs under a grant or contract with the IHS under Title V of the Indian Health Care Improvement Act.

**Beneficiary Eligibility:**

American Indians/Alaskan Natives will be the ultimate beneficiaries of the funded projects through either prevention or direct treatment services.

**Credentials/Documentation:**

Costs will be determined in accordance with Circular No. A-122, for nonprofit organizations or. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The preferred method for receipt of applications is electronic submission through [Grants.gov](http://Grants.gov). However, should any technical problems arise regarding the submission, please contact [Grants.gov](http://Grants.gov) Customer Support at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). The Contact Center is open 24 hours a day, 7 days a week (except for Federal holidays). If you require additional assistance please contact Tammy Bagley, Grants Policy Officer at (301) 443-5204 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the [Grants.gov](http://Grants.gov) website, complete it offline and then upload and submit the application via the [Grants.gov](http://Grants.gov) site. You may not e-mail an electronic copy of a grant application to us. This program is subject to the provisions of either 45 CFR 92 or 45 CFR 74, depending upon the type of applicant organization. Grant applications will be reviewed under an Objective Review process. Applications will be ranked. Grants will be awarded based on

the results of the Objective Review process.

**Award Procedure:**

After review and approval, a notice of this grant award is prepared and processed along with the appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Funds are expected to be awarded no later than 45 days after complete applications are received. Awards could be delayed for applications not meeting initial approval.

**Appeals:**

From 60 to 90 days.

**Renewals:**

The 1997 BBA Public Law 105-33 project period is currently up to 5 years with non-competitive renewals projected annually. The HR 4577 Public Law 106-554 project period is projected to be 3 years with non-competitive renewals projected annually. The SDPI Reauthorization of 2002 Public Law 107-360 project period is up to 5 years with non-competitive grants and competitive grants renewals projected annually. The 2008 Public Law 110-275 is for 2 years extension of SDPI funds for FY 2010 and FY 2011. The 2010 Public Law 111-309, Medicare and Medicaid Extenders Act extends funds for 2 years through FY 2013.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Public Law 105-33 project was limited to 5 years (total) with annual budget periods. The Public Law 106-554 project was limited to 3 years (total) with annual budget periods. The Public Law 107-360 project is limited to 5 years (total) with annual budget periods. The Public Law 110-275 project is limited to 2 years with annual budget periods (FY 2010 and FY 2011). The Public Law 111-309 project is limited to 2 years with annual budget periods (FY 2012 and FY 2013). Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance. Semi-annual Progress and Annual Reports are required from grantees.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records of the grant must be retained for 3 years after submission of the final expenditure report. If questions remain, such as those resulting from an audit, pertinent records must be kept until the matter is resolved. The Secretary, the Inspector General of the Department of Health and Human Services, and the Comptroller General of the United States or any of their authorized representatives shall have the right to access all records, reports, books, documents, papers, or other records of the grantee, contractor, or subcontractor, or of any entity pertinent to the DHHS grant in order to make audits,

examinations, excerpts, and transcripts. In accordance with 45 CFR 92 or 45 CFR 74, Subpart D, as applicable, grantees are required to maintain grant records for 3 years after they submit their final expenditures report. If any litigation, claim, negotiation, audit or other action involving the records have been started before the end of the 3-year period, the records must be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Project Grants) FY 10 \$135,273,029; FY 11 est \$135,273,029; and FY 12 est \$135,273,029

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74; HHS Grants Policy Statement (Rev.) January, 2007.

**Regional or Local Office:**

None. Program Contact: IHS Division of Diabetes Treatment and Prevention, 5300 Homestead Road NE, Albuquerque, NM 87110; e-mail: diabetesprogram@ihs.gov; telephone: 505-248-4182

Grants Contact: Ms. Tammy Bagley, Grants Policy Officer, Indian Health Service, Division of Grants Management; 801 Thompson Avenue, Ste TMP 360, Rockville, MD 20852; telephone 301-443-5204.

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

IHS Division of Diabetes Treatment and Prevention:

<http://www.diabetes.ihs.gov>; IHS Division of Grants Operations and Grants Policy:

[http://www.ihs.gov/NonMedicalPrograms/gogp/index.cfm?module=gogp\\_funding](http://www.ihs.gov/NonMedicalPrograms/gogp/index.cfm?module=gogp_funding)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For P.L. 110-275 funds (from FY 2010 & FY 2011) all grant programs reapply for new grants through competition.

**93.240 STATE CAPACITY BUILDING**

(Site Specific Activities Cooperative Agreement Program)

**FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and Human Services

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Sections 104(i)(1)(E), (4), (6), (7), (9), (14) and (15), as amended; Superfund Amendments and Reauthorization Act of 1986, 42 U.S.C. 9604; Resource Conservation and Recovery Act, Section 3109(b) and (c), as amended; Hazardous and Solid Waste Amendments of 1984, 42 U.S.C. 6939 (b) and (c).

. 42 U.S.C 6939 (b) and(c).

**OBJECTIVES:**

To fulfill the mandated objectives of the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) and the Superfund Amendments and Reauthorization Act (SARA) of 1986, as amended, in coordination with Agency for Toxic Substances and Disease Registry (ATSDR), by assisting public health agencies to build capacity to

conduct (1) Health consultations, (2) public health assessments, (3) exposure investigations, (4) community involvement, (5) health education, and (6) public health studies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The uses are to strengthen State health agency environmental health programs. Services include public health assessments, consultations, exposure investigations, health education, and follow-up health investigations/studies. Funds may be expended for reasonable program purposes, such as personnel, travel, supplies and services. Funds for contractual services may be requested. However, the awardee, as the direct and primary recipient of PHS grant funds, must perform a substantive role in carrying out project activities and not merely serve as a conduit for an award to another party or provide funds to an ineligible party. Equipment may be purchased with cooperative agreement funds; however, the equipment must meet applicable Federal requirements. These funds may not be used by the recipient to conduct activities at any Federal site where the State is a party to litigation at the site.

**Applicant Eligibility:**

Eligible applicants are the official public health agencies of States or their bona fide agents or instrumentalities, to include the District of Columbia, American Samoa, the Commonwealth of Puerto Rico, the Virgin Islands, the Federated States of Micronesia, Guam, the Northern Marina Islands, the Republic of the Marshall Islands, and the Republic of Palau, and the Federally- recognized Indian tribal governments.

**Beneficiary Eligibility:**

Beneficiaries are individuals and/or families living in communities near or in proximity of Superfund sites.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must use application Form PHS 5161-1. Application packets are available from: Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Rd., Room 3000, Mailstop K-75, Atlanta, GA 30341. By formal agreement, the CDC Procurement and Grants Office will act for and on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR, determines applications to be approved and the priorities for funding. When an application is approved for funding, the Grants Management Officer, CDC, acting as the agent for ATSDR, will prepare a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 60 to 90 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

From 90 to 120 days. Awards are made for project periods from 1 to 5 years. Renewal awards cannot be made beyond the project period without competition.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The annual awards are for a 12 month budget period within a 3 to 5 year project period. Noncompetitive continuation awards within the project period are made on the basis of satisfactory progress and availability of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

Refer to the Funding Opportunity for guidance. Cash reports are not applicable. Refer to the Funding Opportunity for guidance. Refer to the Funding Opportunity for guidance. Refer to the Funding Opportunity for guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for at least 10 years in accordance with EPS's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies". Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon request of the office of Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Salaries) FY 10 \$8,000,000; FY 11 est \$10,223,040; and FY 12 est \$10,223,040

**Range and Average of Financial Assistance:**

\$150,000 to \$350,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, , Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: (770) 488-0572.

**Website Address:**

<http://www.atsdr.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for core activities only were reviewed and evaluated based on the following criteria: (1) Proposed Program: (a) Merit scientific and technical merit of the proposed project to perform public health assessments, consultations, exposure investigations, health education and public health studies consistent with ATSDR guidance and in a timely manner. Applicant's ability to evaluate the public health impact of hazardous waste sites using health, environmental, and demographic data, and health-related concerns from the local community. (b) Requirements Applicant's understanding of the requirements, objectives, and complexities of the interactions required for a successful program. c) Collaboration Applicant's plan to collaborate with

political and private subdivisions of Federal, State, and local health and environmental agencies and community groups to obtain information needed for evaluating the public health impact of hazardous waste sites, disseminate results of findings, and prevent exposure if identified. (2) Program Personnel: The principal investigator or project director and his/her ability to devote time and effort to provide effective leadership, and the qualifications of the support staff. (3) Applicant Capability: Adequacy and commitment of institutional resources, facilities, space, and equipment necessary for conducting the project are available and sufficient. (4) Program Budget: Extent to which the budget is reasonable, clearly justified, and consistent with intended use of funds. The priority order for funding cooperative agreements was as follows: (a) Number of proposed and/or listed National Priority List (NPL) sites (Federal and nonfederal) based on the most current EPA list, (b) number of Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS) sites (Federal and nonfederal) based on the most current EPA list; (c) applicants who applied for both Core Activities and optional Activities; and (d) geographic distribution across the United States. (5) Human Subjects: Applicant's plan for adequate protection of human subjects. Applications for conducting Core Plus Optional Activities were reviewed and evaluated based on the following criteria: Proposed Program: In addition to the criteria outlined above for Core Activities, the applicant had to indicate an understanding of and capability for conducting human health studies as contained in the proposed site-specific protocol which had to include: (a) The approach, feasibility, adequacy, and rationale for the proposed study design, (b) the technical merit of the proposed study, (c) the proposed timeline, including measurable objectives, (d) proposed method for disseminating the results of the study.

### **93.241 STATE RURAL HOSPITAL FLEXIBILITY PROGRAM**

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Continuing Appropriations Act, 2011 (P.L. 111-242); Title XVIII, Section 1820 (g)(6) of the Social Security Act (42 U.S.C. 1395i-4), as amended by Sec. 4201 (a) of P.L. 105-33; and Sec. 121 of the Medicare Improvement for Patients and Providers Act of 2008, P.L. 110-275.

#### **OBJECTIVES:**

The Medicare Rural Hospital Flexibility Grant Program provides funding to state governments to spur quality and performance improvement activities; stabilize rural hospital finance; and integrate emergency medical services (EMS) into their health care systems. Flex funding encourages the development of cooperative systems of care in rural areas -- joining together Critical Access Hospitals (CAHs), EMS providers, clinics, and health practitioners to increase efficiencies and quality of care.

The Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement and Information Services to Rural Hospital Flexibility Program Grantees provide technical assistance, support, monitoring and evaluation to the State Rural Hospital Flexibility Program grantees and Critical Access Hospitals.

The Rural Veterans Health Access Program provides funding to states to develop and strengthen networks and collaborations for health care organizations to meet the needs of rural veterans targeting states with high percentages of veterans to the total population.

The Delta Health Initiative (DHI) Cooperative Agreement Program addresses longstanding unmet rural health needs (access to health care, health education, research, job training, and capital improvements) of the Delta Region in the State of Mississippi.

#### **TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements); PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for the purposes outlined in the approved projects.

#### **Applicant Eligibility:**

Flex and Rural Veterans Grants: Only States with certified Critical Access Hospitals are eligible for this Grant Program. The Governor designates the eligible applicant from each State. All other States need to submit an application to the Regional Administrator of their CMS Regional Office that expresses the State's interest in developing a Medicare Rural Hospital Flexibility Program before they can apply for grant funds.

Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement: Eligible applicants include public and private nonprofit entities. Faith-based and community organizations are eligible to apply for this cooperative agreement. Applicants must have experience in analyzing rural health issues as defined by the following: key staff for the project must have authored or co-authored at least two articles about rural health published in peer-reviewed scientific journal(s) (such as Journal of Rural Health, American Journal of Public Health, Journal of Aging and Health). Applicants that fail to show such experience will not be considered.

Information Services to Rural Hospital Flexibility Program: Any public or private entity is eligible to apply for this Federal funding opportunity. Applicant organizations that are Federally-recognized Native American Tribes or Tribal organizations are eligible to apply. Faith-based and community-based organizations are eligible to apply for this cooperative agreement.

Delta Health Initiative: To be eligible an organization must be a non-Federal, not-for-profit alliance that demonstrates the capacity to determine what programs/projects would have the greatest bearing on reducing health care disparities, along with experience in diabetes education, disease management protocols, other health education practices and wellness attainment strategies for promoting healthy communities in the MS Delta Region.

#### **Beneficiary Eligibility:**

States with at least one hospital located in a non-metropolitan statistical area or county and provides CMS with necessary assurances.

Delta Health Initiative - A not-for-profit, non-governmental organization operating in an alliance in the Delta Region of MS.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 3 to 5 months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

The Medicare Rural Hospital Flexibility Grant Program awards may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement awards may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

Information Services to Rural Hospital Flexibility Program Grantees- awards may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

The Rural Veterans Health Access Program awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

Delta Health Initiative Cooperative Agreement Program- awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. Funds are available to grantees on an as needed basis throughout the budget period and payments are made through the DHHS Payment Management System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A performance progress report is submitted with each noncompeting continuation application. A financial status report is to be submitted within 90 days after the close of the budget period. An annual data report is due within 30 days of the end of the budget period. A final program report is to be submitted within 90 days after the close of the project period. In addition, grantees are required to participate in a national program evaluation. No cash reports are required. Refer to funding opportunity announcement. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$889,976; FY 11 est \$960,861; and FY 12 est \$960,861 - These figures are for the Rural Veterans Health Access Program. (Project Grants) FY 10 \$600,000; FY 11 est \$500,000; and FY 12 est \$500,000 - These figures are for the Information Services to Rural Hospital Flexibility Program Grantees. (Project Grants) FY 10 \$1,000,000; FY 11 est \$1,000,000; and FY 12 est \$1,000,000 - These figures are for the Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement. (Project Grants) FY 10 \$33,000,000; FY 11 est \$34,000,000; and FY 12 est \$0 - These figures are for the Delta Health Initiative Cooperative Agreement Program. (Project Grants) FY 10 \$22,800,000; FY 11 est \$22,861,332; and FY 12 est \$22,861,332 - These figures are for the The Medicare Rural Hospital Flexibility Grant Program .

**Range and Average of Financial Assistance:**

The Medicare Rural Hospital Flexibility Grant Program- \$260,000 to \$750,000; \$490,000.

Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement-\$1,000,000

Information Services to Rural Hospital Flexibility Program Grantees-\$500,000  
Delta Health Initiative Cooperative Agreement Program- \$34,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. The Medicare Rural Hospital Flexibility Program Grant Contact: Michael McNeely, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 5A-05, Rockville, MD 20857. Telephone: (301) 443-0835.

Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement- Program Contact: Megan Meacham, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 5A-05, Rockville, MD 20857. Telephone: (301) 443-0835.

Information Services to Rural Hospital Flexibility Program Grantees- Program Contact: Michael McNeely, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 5A-05, Rockville, MD 20857. Telephone: (301) 443-0835.

Delta Health Initiative Cooperative Agreement Program- Program Contact: Bridget Ware, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 5A-05, Rockville, MD 20857. Telephone: (301) 443-0835.

Rural Veterans Health Access Program Program Contact: Samantha Bowman, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 5A-05, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Office of Rural Health Policy, 5600 Fishers Lane, Room 5A-05, Rockville, Maryland 20857 Phone: (301) 443-0835.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

## CRITERIA FOR SELECTING PROPOSALS:

Contact Headquarters for selection criteria.

### 93.242 MENTAL HEALTH RESEARCH GRANTS

#### FEDERAL AGENCY:

National Institutes of Health, Department of Health and Human Services

#### AUTHORIZATION:

Small Business Research and Development Enhancement Act of 2000; Public Health Service Act, Title III, Section 301, 42 U.S.C 241.

#### OBJECTIVES:

To support research and research training to understand the biological, psychological, and functional changes that are involved in the causes and course of mental illness; to hasten the translation of science advances into innovations in clinical care; to conduct studies of the risk factors for major psychiatric disorders; to conduct clinical neuroscience studies to elucidate causes and functional effects of these disorders; to conduct research on psychosocial, pharmacological, and somatic treatment development; to support research and research training with the ultimate goal of preventing and curing mental disorders that originate in childhood and adolescence; to conduct research across basic behavioral/psychological processes, environmental processes, brain development, genetics, developmental psychopathology, and therapeutic interventions; to translate knowledge from basic science to discover the developmental origins of mental disorders and effect their prevention and cure. To provide support for integration of research on neurobehavioral mechanisms of psychopathology; understanding of the trajectories of risk/illness; and the design and testing of innovative and personalized treatments. To support research in the areas of basic neuroscience, genetics, basic behavioral science, research training, resource development, technology development, drug discovery, and research dissemination; to support studies that will generate relevant basic science knowledge which can then be utilized to improve diagnosis, treatment, and prevention of mental and behavioral disorders; to support research to evaluate the effectiveness of pharmacologic, psychosocial, rehabilitative, and combination interventions on mental and behavior disorders; to evaluate interventions for children, adolescents, and adults, focusing on acute and long-term therapeutic effects; to conduct mental health services research, including studies of services organization and delivery; interventions to improve the quality and outcomes of care; and research on the dissemination and implementation of evidence-based interventions into service settings; to develop and disseminate behavioral interventions that prevent HIV/AIDS transmission; to clarify the biological, psychological, and functional mental health effects of HIV/AIDS infection and alleviate the associated consequences. Research supported by the National Institute of Mental Health may employ theoretical, laboratory, clinical, epidemiological, and field studies. Studies may involve individuals with a mental disorder diagnosis, individuals with symptom levels that do not meet diagnostic thresholds, and healthy individuals of all ages. Research also may involve animal, computational, and mathematical models appropriate to the system being investigated and the state of the field. Areas eligible for research support are: basic and clinical neuroscience; genetics; geriatrics research; adult psychopathology; experimental therapeutics; developmental, behavioral, clinical, and epidemiological research relevant to mental disorders, behavioral disorders, and HIV/AIDS, in terms of the causes, prevention, treatment, and service delivery; basic (brain and behavior), clinical, and services research on the mental health problems of women, minorities, and rural populations; and research designed to reduce and eliminate mental health disparities both within and outside the United States.

#### TYPES OF ASSISTANCE:

Cooperative Agreements; Project Grants

#### USES AND USE RESTRICTIONS:

(1) Research project grants provide support for clearly defined projects by a named investigator in an area representing his/her specific interests and competencies. (2) Exploratory/Development and Clinical Exploratory/Developmental Grants encourage the development of new research activities in categorical program areas; (3) Small Research Grants provide research support specifically limited in time and amount for studies in categorical program areas; (4) Collaborative Clinical Research Grants support

evaluations of various methods of therapy and/or prevention; (5) Program Project and Center grants support large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; and (6) Cooperative Agreements support single or a group of related research activities with greater involvement of federal staff. Standard small grants are limited to \$50,000 direct costs for a period of 2 years or less, while other small grants are for less time and funds. SBIR and STTR grants are awarded in two stages: Phase I grants are awarded to establish the technical merit and feasibility of a proposed research and development effort; only Phase I awardees are eligible to receive Phase II support.

#### Applicant Eligibility:

Public, private, profit, or nonprofit agencies (including State and local government agencies), eligible Federal agencies, universities, colleges, hospitals, and academic or research institutions may apply for research grants. SBIR grants can be awarded only to domestic small businesses, and STTR grants can be awarded only to domestic small businesses which "partner" with a research institution in cooperative research and development. For further definitions, requirements, and restrictions see the SBIR and STTR Omnibus Solicitations of the NIH, CDC, and FDA for SBIR and STTR Grant Applications.

#### Beneficiary Eligibility:

Public, private, profit, or nonprofit organizations.

#### Credentials/Documentation:

For-profit organizations' costs will be determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For all other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Instructions for electronic submission may be found with the federal SF424 (R&R) form packages that are found in the SBIR/STTR funding opportunity announcements. Instructions are provided for SBIR Phase I and Phase II awards, respectively; as well as for STTR Phase I and Phase II awards, respectively. OMB Circular No. A-87 applies to this program.

#### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Most applications must be prepared and submitted electronically. Most applicants use the SF 424 (Research & Related) for electronic submission. Information about the SF 424 form may be found on <http://grants.nih.gov/grants/funding/424/index.htm>, but application packages should be accessed through the appropriate funding opportunity announcement, found either on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>) or through the Grants.gov website (<http://www.grants.gov/>). Some institutions may submit the grant data directly (using what is called a system-to-system transfer). For further details, see [grants.gov](http://grants.gov) or eRA Commons. Application forms for SBIR and STTR grants may be obtained through the SBIR/STTR funding announcements posted on the NIH Guide to Grants and Contracts and the Grants.gov sites (see URLs listed above). All SBIR and STTR applications must be submitted electronically. The timeline for transition to electronic applications and the new forms may be found at: <http://era.nih.gov/ElectronicReceipt/>. For further assistance contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

Consultation on a proposed project may be obtained from the NIMH branch or office responsible for the research area of interest. Applications are reviewed by principally nonfederal consultants recruited nationwide from the mental health field. The amounts of the award and period of support are determined on the basis of merit of the project and the nature of the grant mechanism. Electronic applications are submitted through the Grants.gov website.

#### Award Procedure:

All applications for research grants, cooperative agreements, SBIR and STTR grants are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by the National Advisory Mental Health Council. All competitive applications compete for available funds on the basis of scientific and technical merit, program relevance, and program balance. All SBIR and STTR applications receiving a priority score compete for set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Applications: From 240 to 270 days from submission of application. SBIR/STTR applications: About 7- 1/2 months; Mental Health Education Programs and Various/Small Grants: From 5 to 6 months. AIDS-related research is determined in 180 days.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH homepage <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

Support is recommended for a specified project period, not in excess of 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a new competing request. Small grants, exploratory, and dissertation grants are for 1-3 years (depending on program) and are not renewable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, with a project periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Generally, Phase I awards are for 6 months, and Phase II awards are for 2 years. STTR: Generally, Phase I awards are for 1 year and Phase II awards are for 2 years. Information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing application for previously recommended support; (2) terminal progress report within 90 days after end of project support; (3) annual financial status report within 90 days after termination of annual grant for some programs. In addition, immediate and full reporting of any inventions is required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. Per the regulations, a for-profit (commercial) organization is subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant. For-profit organizations have two options regarding the type of audit that will satisfy the audit requirements either: (1) a financial related audit

(as defined in the Government Auditing Standards, GPO Stock #020-000-00-265-4, <http://www.gao.gov/govaud/ybk01.htm>) of the HHS awards in accordance with Government Auditing Standards, or (2) an audit that meets the requirements contained in OMB Circular No. A-133(<http://www.whitehouse.gov/OMB/circulars/a133/a133.html>).

**Records:**

Records must be retained at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-0892-0-1-552.

**Obligations:**

(Salaries) FY 10 \$1,069,363,000; FY 11 est \$1,114,134,000; and FY 12 est \$1,114,134,000

**Range and Average of Financial Assistance:**

\$3,500 to \$11,514,895; \$449,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 2,381 grants were awarded. Fiscal Year 2011: FY11 an estimated 2,291 grants will be awarded. Fiscal Year 2012: FY12 an estimated 2,291 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52. NIH Grant Policy Statement (Revised 12/2003). Grants will be available under the authority if and administered in accordance with the PHS Grants Policy Statement and federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Applications; and Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tracy Waldeck Division of Extramural Activities  
National Institute of Mental Health  
6001 Executive Blvd  
Room 6105, Bethesda, Maryland 20892 Email: [waldeckt@mail.nih.gov](mailto:waldeckt@mail.nih.gov) Phone: (301) 443-5047 Fax: (301) 443-9474

**Website Address:**

<http://www.nimh.nih.gov>.

**RELATED PROGRAMS:**

93.281 Mental Health Research Career/Scientist Development Awards; 93.282 Mental Health National Research Service Awards for Research Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Fiscal Year 2010: See NIH RePORTer tool to examine funded research grants (<http://projectreporter.nih.gov/reporter.cfm> and/or <http://report.nih.gov/rcdc/categories/>). Fiscal Year 2011: Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: Fiscal Year 2012 No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The following consideration will be used in determining projects to be funded: (1) Technical merit of the proposed project as determined by peer review; (2) Availability of funds; and (3) Relevance to program priorities.

**93.243 SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES PROJECTS OF REGIONAL AND NATIONAL SIGNIFICANCE**

(PRNS)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Children's Health Act of 2000, Section 520 A-J,581,582, Public Law 106-310; Public Health Service Act, Title V, Section 509; 516, 42 U.S.C 2900b.

**OBJECTIVES:**



Substance Abuse and Mental Health Service Administration (SAMHSA) was reauthorized by the Children's Health Act of 2000, Public law 106-310. Under this reauthorization, SAMHSA was given the authority to address priority substance abuse treatment, prevention and mental health needs of regional and national significance through assistance (grants and cooperative agreements) to States, political subdivisions of States, Indian tribes and tribal organizations, and other public or nonprofit private entities. Under these sections, CSAT, CMHS and CSAP seek to expand the availability of effective substance abuse treatment and recovery services available to Americans to improve the lives of those affected by alcohol and drug additions, and to reduce the impact of alcohol and drug abuse on individuals, families, communities and societies and to address priority mental health needs of regional and national significance and assist children in dealing with violence and traumatic events through by funding grant and cooperative agreement projects. Grants and cooperative agreements may be for (1) knowledge and development and application projects for treatment and rehabilitation and the conduct or support of evaluations of such projects; (2) training and technical assistance; (3) targeted capacity response programs (4) systems change grants including statewide family network grants and client-oriented and consumer run self-help activities and (5) programs to foster health and development of children; (6) coordination and integration of primary care services into publicly-funded community mental health centers and other community-based behavioral health settings funded under Affordable Care Act (ACA).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities that will provide immediately useful, practical knowledge that service providers need as they wrestle with the rapidly changing health care environment. Refer FY2010 SAMHSA Grants Funding Opportunities at [www.samhsa.gov](http://www.samhsa.gov). 100% of grants funds under this CFDA.

**Applicant Eligibility:**

Public organizations, such as units of State and local governments and to domestic private nonprofit organizations such as community-based organizations, universities, colleges and hospitals.

**Beneficiary Eligibility:**

other non-profits.

**Credentials/Documentation:**

Applicants must provide proof of licensure, accreditation, certification, or chartering to provide substance abuse and/or mental health services or such other credential documentation as specific for a particular topical area. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants must comply with the Executive Order (E.O.) 12372 if their state(s) participates. Review process recommendations from the state Single Point of Contact (SPOC) are due no later than 60 days after application deadline. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applicants must use application form PHS 5161-1 (rev. 7/00). Application kits containing the necessary forms and instructions may be obtained by contacting: the National Clearinghouse for Alcohol and Drug Information, PO Box 2345, Rockville, MD 20847-2345. Phone: (301) 468-26000 or 1 (800) 729-6686 or the National Mental Health Services Knowledge Exchange Network at 1 (800) 789-2647.

**Award Procedure:**

Applications for grants and cooperative agreements recommended for approval by the initial review group and concurred in by the appropriate National Advisory Council and the Center Director(s) are awarded directly by the

appropriate Center (CMHS, CSAP, CSAT) to the applicant organization.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. CMHS and CSAT, STOP DFC. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applications will be accepted for a project period of 1 to 7 years with 12 month budget periods. Annual awards will be made subject to continued availability of funds and progress achieved. See the following for information on how assistance is awarded/released: SAMHSA awards grants projects for the twelve months budget period and release at the time the award is issued.

**Reports:**

Reports are required quarterly, semi-annually, or annually depending on individual program requirements. Quarterly reports are due to the Division of Payment. See above information. The SF-425 Federal Financial Report is required by SAMHSA, Grant Management Office 90 days after the end of each budget period. Site Visits, Conference Calls, Program Progress Reports and GPRA Data Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year records retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Salaries) FY 10 \$631,125,254; FY 11 est \$482,672,463; and FY 12 est \$364,109,737 - Estimated \$20,000,000 ACA funds will be obligated in FY 2011.

**Range and Average of Financial Assistance:**

\$17,692 to \$7,099,783; \$417,410.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 1,512 awards were funded in FY 2010. Fiscal Year 2011: In FY 2011, it is estimated to fund 1,197 awards. Fiscal Year 2012: In FY 2012, it is estimated to fund 820 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92 and the HHS Grant Policy Statement, OMB Cost Principles, terms and conditions of award

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: [kathleen.sample@samhsa.hhs.gov](mailto:kathleen.sample@samhsa.hhs.gov) Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Application submitted related to merit, peer review criteria scored, and generally funded in score order.

**93.247 ADVANCED NURSING EDUCATION GRANT PROGRAM**

ANE

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII , Section 811 (a)(1) of the Public Health Service Act, (42 U.S.C. 296j(a)(1)), as amended by Section 5308 of the Patient Protection and Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

Grants are awarded to eligible institutions for projects that support the enhancement of advanced nursing education and practice including master's and doctoral programs, combined RN/ master's degree programs, post-nursing master's certificate programs, or in the case of nurse mid-wives, in certificate programs in existence on November 12, 1998, to serve as nurse practitioners, clinical nurse specialists, nurse-midwives, nurse anesthetists, nurse educators, nurse administrators, public health nurses, or in other nurse specialties determined by the Secretary to require advanced education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To meet the costs of projects that support the enhancement of advanced nursing education and practice. For salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and other expenses related to the project. Restricted uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to eight percent of direct costs. Student support through stipends, tuition, and fees is not eligible for support.

**Applicant Eligibility:**

Eligible applicants are collegiate schools of nursing, academic health centers, and other private or public nonprofit entities accredited by a recognized body or bodies or State agency, approved for the purpose of nursing education by the Secretary of Education.

**Beneficiary Eligibility:**

Accredited schools of nursing, academic health centers and other public or private entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All eligible applications will be forwarded to an

objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuations may be submitted during the final budget period of the approved project period.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods for both new and competing continuation applications are for 3 years. See the following for information on how assistance is awarded/released:

Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$42,022,944; FY 11 est \$42,372,591; and FY 12 est \$42,372,591 - (new and non-competing continuations).

**Range and Average of Financial Assistance:**

FY 2011 range = \$106,931 to \$600,931; Average = \$236,301.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy

Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Nancy V. Douglas-Kersellius, Nurse Consultant, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9-67, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5688.

**Headquarters Office:**

Nancy V. Douglas-Kersellius Room 9B-45, 5600 Fishers Lane, Rockville, MD 20857, Rockville, Maryland 20857 Phone: (301) 443-5688

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.513 Affordable Care Act (ACA) Advanced Nursing Education Expansion Initiative

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Project purposes must be consistent with and promote the purpose identified in the Law. Need must be documented, and the capability of achieving project goals must be described. In making awards of grants under this Section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State or local health departments. This preference will only be applied to applications that rank above the 20th percentile of applications recommended for approval.

**93.249 PUBLIC HEALTH TRAINING CENTERS GRANT PROGRAM  
FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Sections 765 and 766 of the Public Health Service Act (42 U.S.C. 295a), as amended by P.L. 105-392 Health Professions Education Partnerships Act of 1998 and the Patient Protection and Affordable Care Act of 2010, Public Law 111-148.

**OBJECTIVES:**

To improve the Nation's public health system by strengthening the technical, scientific, managerial and leadership competencies and capabilities of the current and future public health workforce. Emphasis is placed on developing the existing public health workforce as a foundation for improving the infrastructure of the public health system and helping achieve the Healthy People 2020 Objectives. With respect to a Public Health Training Center, applicants must agree to: (1) specifically designate a geographic area, including medically underserved populations, e.g., elderly, immigrants/refugees, disadvantaged, to be served by the Center that shall be in a location removed from the main location of the teaching facility of the school participating in the program with a Center; (2) assess the public health personnel needs of the area to be served by the Center and assist in the planning and development of training programs to meet their needs; (3) establish or strengthen field placements for students in public or nonprofit private public health agencies or organizations; and (4) involve faculty members and students in collaborative projects to enhance public health services to medically underserved communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant funds may support salaries, stipends, consultant costs, equipment, and travel as requested to develop and implement a Public Health Training Center. Grant funds may not be used for construction, patient services or student tuition. See above for additional information.

**Applicant Eligibility:**

Accredited schools of public health or other public or nonprofit private institutions accredited for the provision of graduate or specialized training in public health may apply.

**Beneficiary Eligibility:**

Accredited schools of public health or other public or nonprofit private institutions accredited for the provision of graduate or specialized training will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods for FY 2010 awards were for 5 years and new starts in FY2011 were for a 4 year project period in order to realign grantee cohorts to be the same cycle for the next competition. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual progress reports, in the form of HRSA's performance reporting system, are required. Electronic reporting requirements can be viewed at [www.HRSA.gov](http://www.HRSA.gov). No cash reports are required. Annual progress reports, in the form of HRSA's performance reporting system, are required. Electronic reporting requirements can be viewed at [www.HRSA.gov](http://www.HRSA.gov). Financial status reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end the project period. Electronic reporting requirements can be viewed at [www.HRSA.gov](http://www.HRSA.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$4,294,283; FY 11 est \$3,243,893; and FY 12 est \$3,376,520

**Range and Average of Financial Assistance:**

\$129,748 to \$650,000; \$620,343.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>. HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Wendy E Braund, MD, MPH, MEd, Chief, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6867 and E-mail address at [wbraund@hrsa.gov](mailto:wbraund@hrsa.gov).

**Headquarters Office:**

Magnus A. Azuine 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Email: [mazuine@hrsa.gov](mailto:mazuine@hrsa.gov) Phone: (301) 443-6529

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.516 Affordable Care Act (ACA) Public Health Training Centers Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Procedures for assessing the technical merit of applications have been instituted to provide for an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. Critical indicators have been developed for each review criterion to assist the applicant in presenting pertinent information related to that criterion and to provide the reviewer with a standard for evaluation. Selection criteria can be found in the program guidance at [www.grants.gov](http://www.grants.gov).

**93.250 GERIATRIC ACADEMIC CAREER AWARDS**

Geriatric Academic Career Award (GACA)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Section 753(c) of the Public Health Service Act (42 U.S.C. 294c), as amended by Section 5305(b) of the Patient Protection and Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

The purpose of Geriatric Academic Career Award is to support the career development of physicians, nurses, social workers, psychologists, dentists, pharmacists, and allied health professionals as academic geriatric specialist by requiring them to provide training in clinical geriatrics, including the training of interdisciplinary teams of health professionals. The provision of such training shall constitute at least 75 percent of the obligations of such individual under the award. In addition, the individual must provide a documented commitment from the health professions institution where he or she has a full-time faculty appointment to spend 75 percent of his or her total time on teaching and developing skills in interdisciplinary education in geriatrics.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

As provided by Section 753(c)(5) of the authorizing legislation, an individual receiving an award under this subsection shall provide training in clinical geriatrics, including the training of interdisciplinary teams of health care professionals. The provision of such training shall constitute at least 75 percent of the obligations for individuals under this award. See above.

**Applicant Eligibility:**

1. Individuals Eligible to Receive Awards

Eligible project directors are individuals who are applying to the Health Resources and Services Administration for a Geriatric Academic Career Award through the accredited health professions school of medicine, osteopathic medicine, nursing, social work, psychology, dentistry, pharmacy, or allied health where they have a junior faculty appointment.

To be eligible to receive a GACA award, an individual must be:

- A. Board certified or board eligible in internal medicine, family practice, psychiatry, or licensed dentistry, or have completed any required training in a discipline and be employed in an accredited health professions school that is approved by the Secretary;
- B. Have completed an approved fellowship program in geriatrics or have completed specialty training in geriatrics as required by the discipline and any additional geriatrics training as required by the Secretary; and
- C. Have a junior (non-tenured) faculty appointment at an accredited school of medicine, osteopathic medicine, nursing, social work, psychology, dentistry, pharmacy, or other allied health disciplines in an accredited health professions school that is approved by the Secretary.

2. Institutions Eligible to Submit Applications on Behalf of Eligible Individuals)

Institutions eligible to receive payments and to submit applications on behalf of individuals applying for a Geriatric Academic Career Award include accredited health professions schools of medicine, osteopathic medicine, nursing, social work, psychology, dentistry, pharmacy, or allied health.

**Beneficiary Eligibility:**

Junior faculty at an accredited health professions school of medicine, nursing, social work, psychology, dentistry, pharmacy, or allied health.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or

certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made within 3 to 4 months after receipt of applications. This Program will not have a new competition in FY 2012.

**Appeals:**

Not Applicable.

**Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a project period of up to five (5) years. Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

An Annual Progress Report must be submitted. Final progress and financial reports must be submitted within 90 days after the end of the project period. No cash reports are required. Final progress and financial reports must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$5,026,600; FY 11 est \$4,949,406; and FY 12 est \$4,949,406

**Range and Average of Financial Assistance:**

FY11 \$79,441/Awardee and the amount will be annually adjusted by the Consumer Price Index.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Data not available. Fiscal Year 2011: Data not available yet. Fiscal Year 2012: Data not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. CDR Young Song, Senior Program Management Consultant, Division of Nursing, Health Resources and Services Administration, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6333.

**Headquarters Office:**

CDR Young Song 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-3353

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

There are three (3) review criteria for the Geriatric Academic Career Award:

A. Career Development Plan (Maximum Value: 32 points; 4 points per each):

Extent to which the applicants career goals as identified in the career development plan meet the purpose of the Geriatric Academic Career Award to develop into an academic geriatrician who emphasizes teaching geriatrics, including teaching interprofessional teams.

1. Clear acknowledgement that the applicant will uphold the special administrative procedures of the GACA Program (please refer to pages 12-13 of the application guidance).
2. The extent to which the applicant identifies a five-year outcome that will enhance academic clinical geriatrics and the individuals own career as an academic geriatrician.
3. The specificity of objectives and plans for achieving the overall goal as an academic geriatrician.
4. The extent to which identified objectives and specific plans are likely to lead to meeting the career goal.
5. The specific and detailed interprofessional education plan to train others health professionals in clinical geriatrics.
6. The extent to which specific plans will result in educational publication opportunities and productivity in national professional societies.
7. The extent to which specific plans will result in a) meeting the statutory service requirement (75% time pursuing the goals of the GACA), b) interacting with and learning from other clinician-educators locally and nationally, c) obtaining the necessary pedagogical skills to achieve career goals, and d) addressing HRSA's cultural and linguistic competence.
8. The quality of the applicants plan for assessing his or her own progress toward meeting career goals, including his or her effectiveness as a teacher.

**B. Applicants Training and Experience (Maximum Value: 38 points):**

The purpose of the GACA is to promote the career development of junior faculty as academic geriatricians. Therefore, applicants should demonstrate that they are early in their academic career as junior faculty member. The extent to which the applicants training and experience will contribute to the achievement of the goals, objectives, and plans described in the applicants Career Development Plan.

1. Length of time as a faculty member (8 points, the longer the time in a junior faculty position, the lower number of points should be awarded).
2. New GACA applicant who never received funding as a GACA recipient (10 points)
3. Fellowship experience (4 points)
4. Clinical experience (4 points)
5. Teaching experience (4 points)
6. Evidence of commitment to geriatrics through educational publications (4 points)
7. Likelihood that after completion of the GACA training, the individual will continue as a full-time academic geriatrician whose focus is on the clinician educator role (4 points).

**C. Institutional Support (Maximum Value: 30 points; 5 points per each):**

The extent to which the commitment and expertise of the mentor and the commitment of the institution to provide a supportive environment for the achievement of the applicants career goals and willingness to meet reporting requirements are demonstrated in the following:

1. Expertise of the primary mentor (The mentor must be an academic geriatrician with a full-time faculty appointment who has a current Certificate of Added Qualification in geriatrics and must be located at the same institution where the GACA awardee spends the majority of his/her time.)
2. Adequacy of frequency of meetings with the mentor
3. Clinical assignments and opportunities provided by the institution
4. Teaching assignments and opportunities provided by the institution
5. Protected time provided to achieve the goals of the award
6. Opportunities for leadership provided.

**93.251 UNIVERSAL NEWBORN HEARING SCREENING**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 399M of the PHS Act, (42 U.S.C. 280g-1), as amended by the Early Hearing Detection and Intervention Act of 2010.

**OBJECTIVES:**

This program supports state programs for reducing the loss to follow-up of infants who have not passed a physiologic newborn hearing screening examination prior to discharge from the newborn nursery. Although more than 95% of newborns are screened for hearing loss in the first few days of life, nationally about 20-40% of infants for whom further assessment is indicated cannot be documented as having appropriate followup. This funding opportunity is to initiate new activities to significantly reduce this loss to follow-up. Support is also provided to one national technical resource center.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

This program supports state programs for reducing the loss to follow-up of infants who have not passed a physiologic newborn hearing screening examination prior to discharge from the newborn nursery. Although more than 95% of newborns are screened for hearing loss in the first few days of life, nationally about 20-40% of infants for whom further assessment is indicated cannot be documented to have appropriate follow-up. This funding opportunity is to initiate new activities to significantly reduce this loss to follow-up.

Applicants should have a relationship with both the Title V programs and the Early Intervention programs.

**Applicant Eligibility:**

Grants to States and one grant to an organization that will provide technical assistance to the States.

**Beneficiary Eligibility:**

Infants/Families will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made 2 to 3 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods for are for up to 3-5 years. The submission of a progress report and budgetary information will be requested for each continuation year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually, in accordance with the project period method of awarding grants. Payments are made through a Letter-of-Credit or Cash Demand System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Report. Federal Financial Report Cash Transaction Report. Refer to the funding opportunity announcement. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$17,041,845; FY 11 est \$16,660,152; and FY 12 est \$18,960,000

**Range and Average of Financial Assistance:**

Based on FY 10  
\$55,387 to \$1,902,562; \$284,031.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No current data available. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Irene Forsman, Integrated Services Branch, Division of Services for Children with Special Health Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-18, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-9023.

**Headquarters Office:**

Irene Forsman, 5600 Fishers Lane, Room 18A-18, Rockville, Maryland 20857  
Phone: (301) 443-9023.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The objective review of all applications includes thorough and consistent examinations of each submission by persons knowledgeable in the field for that support is requested and has no direct relationship with the organization or individual submitting the application and do not have personal or invested interest in the award of a grant to that organization or individual. Peer review is a system that uses reviewers that are the professional equals of the principal investigator or program director and will be responsible for directing or conducting the proposed project. That is a form of objective review. Reviewers may be Federal or nonfederal. Final review criteria are included in the application kit.

**93.253 POISON CENTER SUPPORT AND ENHANCEMENT GRANT PROGRAM**

Poison Control Centers (PCC)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Legislative Authority: Section 1273 of the Public Health Service Act, (42

U.S.C. 300d 73 ),

as amended by P. L. 110-377, the Poison Center Support, Enhancement, and Awareness Act of 2008, Public Law 110-337.

**OBJECTIVES:**

The objectives are (1) to support PCCs efforts to prevent and provide treatment recommendations for poisonings; (2) to comply with operational requirements needed to sustain certification and or achieve certification; and (3) to conduct an evaluation of the strategies and activities undertaken within the project application and other purposes as stated in Section 1273 (b) of Public Law 110-377.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Assistance provided under this program may be used to support PCCs efforts to prevent and provide treatment recommendations for poisonings and to conduct an evaluation of the strategies and activities undertaken within the project application; support certification efforts of non-certified centers in order to improve access to poison education, prevention, and treatment services; and encourage the development and implementation of innovations or improvements that expand the organizational capacity of PCCs by strengthening their operational infrastructure, improving their ability to increase access to high quality services and promoting poison prevention education and outreach to high-risk and underserved populations.

**Applicant Eligibility:**

U.S. accredited Poison Control Centers. Unaccredited centers are eligible for a grant waiver if such center can reasonably demonstrate that the center will obtain such accreditation within a reasonable period of time.

**Beneficiary Eligibility:**

Residents of the 50 United States, Puerto Rico, the District of Columbia, the U.S. Virgin Islands, Guam, American Samoa, and the Federated States of Micronesia.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. including documentation of maintenance of effort. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions will be made 2 to 3 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be determined by the Associate Administrator for the Healthcare Systems Bureau and extensions are requested in writing addressed to the Grants

Management Specialist.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Refer to the funding opportunities announcement. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web-based payment system for HHS awards.

**Reports:**

A final report is required. No cash reports are required. For the Support Grants, progress reports are requested as the need arises. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$25,847,882; FY 11 est \$20,011,615; and FY 12 est \$20,000,000

**Range and Average of Financial Assistance:**

Range: \$12,466 to \$2,284,240.

Average: \$377,358.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Poison Control Program- Healthcare Systems Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 10C-06, 5600 Fishers Lane, Rockville, Maryland 20857. Telephone: (301) 443-6192.

**Headquarters Office:**

Poison Control Program, 5600 Fishers Lane, Room 10-77, Rockville, Maryland 20857 Phone: (301) 594-4394

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Completeness and clarity of the project narrative; practicality and achievability of the plan to use requested grant funds to increase access to services; clarity and appropriateness of the budget and coordinated budget narrative; strength and adequacy of professional staff and subcontractors; clarity and strength of methodology; and strength of letters of support for any collaborative efforts.

**93.254 INFANT ADOPTION AWARENESS TRAINING**

IAATP

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Children's Health Act of 2000, Title XII, Subtitle A and B, Section 330F and Section 330G, Public Law 106-310.

**OBJECTIVES:**

To develop and implement programs to train designated staff of eligible health centers in providing adoption information and referrals to pregnant women on an equal basis with all other courses of action included in non-directive counseling to pregnant women.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to plan and implement: (1) approved programs directly or through grants or cooperative agreements with other adoption organizations; (2) a training curriculum, consistent with best practice guidelines; (3) reimbursement to eligible health centers for all costs in obtaining the training. Project funds may not be used for construction.

**Applicant Eligibility:**

Nonprofit private national, regional, or local organizations among whose primary purposes are adoption and are knowledgeable in all elements of the adoption process, e.g., types of adoptions, relevant State and local laws regarding relinquishment procedures and putative father involvement and medical and financial resources for birth mothers, and on providing adoption information and referrals to pregnant women.

**Beneficiary Eligibility:**

Private nonprofit organizations, health professionals, health staff of Federally funded voluntary family planning projects supported under Section 1001 of the Public Health Service Act, staff of community health centers, migrant health centers, and centers providing services to homeless individuals and centers providing services to residents of public housing supported under Section 330 of the Public Health Service Act. PHS-funded school health centers, and public health clinics, or any health professional providing option counseling to pregnant women.

**Credentials/Documentation:**

Demonstration of 501(c)(3) status or status pending with the IRS. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application procedures can be obtained via the World Wide Web at <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

Review is conducted by at least three nonfederal professionals. Final funding decisions will be made by Commissioner, ACYF.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application



deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Application deadlines can be obtained via the World Wide Web at <http://www.acf.hhs.gov/grants/index.html>.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

One to Five years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Recipients will be required to submit programmatic performance reports semi-annually. PSC-272. Progress reports are not applicable. Recipients will be required to submit financial expenditure reports semi-annually. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of 3 years from the date of submission of the final expenditure report.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$12,953,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY 09: \$738,293 to \$4,318,130 with an average of \$1,514,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In Fiscal Year 2010, six grants were awarded. Fiscal Year 2011: There is no anticipated funding in FY 2011. Fiscal Year 2012: There is no anticipated funding in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Matthew McGuire Administration on Children, Youth and Families, Children's Bureau; 1250 Maryland Avenue, SW; 8th Floor., Washington, District of Columbia 20024 Email: [matthew.mcguire@acf.hhs.gov](mailto:matthew.mcguire@acf.hhs.gov) Phone: (202) 205-7270 Fax: (202) 260-9345.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of any application will be based on an analysis of the following

factors: (1) The administrative and management capability of the applicant to carry out the proposed project in a cost-effective manner; (2) the extent of responsiveness to the project requirements, guidelines, and application requirements; and (3) the potential effectiveness of the proposed project in carrying out the training purposes of Section 330F of the Children's Health Act of 2000. Under Part B of the Health Act, approval of any application will be based on an analysis of the following factors: the administrative and management capability of the applicant to carry out the proposed project in a cost-effective manner; the extent of responsibility to the project requirements, guidelines, and application requirements; and the potential effectiveness of the proposed project in carrying out the purposes of Part B of The Children's Health Act.

**93.255 CHILDREN'S HOSPITALS GRADUATE MEDICAL EDUCATION PAYMENT**

CHGME Payment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 340E of the Public Health Service Act (42 U.S.C. 256e), as amended by the Children's Hospital GME Support Reauthorization Act of 2006.

**OBJECTIVES:**

The Children's Hospitals Graduate Medical Education (CHGME) Payment Program provides funds to children's teaching hospitals to support the training of pediatric and other residents in graduate medical education (GME) programs. Federal funding for graduate medical education (GME) is extensively provided by the Centers for Medicare and Medicaid Services (CMS). Prior to the enactment of the CHGME Payment Program, children's teaching hospitals received a disproportionately low amount of this Federal funding when compared to teaching hospitals that serve adult patients. The purpose of the CHGME Payment Program is to compensate for the disparity in the level of Federal funding for pediatric teaching hospitals versus other types of teaching hospitals. The CHGME Payment Program is administered by the Bureau of Health Professions (BHP), Health Resources and Services Administration (HRSA), Department of Health and Human Services (DHHS).

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds are restricted to eligible children's hospitals for direct expenses and the other indirect expenses associated with operating approved graduate medical residency programs. See above for additional information.

**Applicant Eligibility:**

Applicants (children's teaching hospitals) must meet the following eligibility requirements in accordance with the Federal Register Notice, Vol. 66, No. 41 published on March 1, 2001: (1) Participate in an approved graduate medical education program; (2) have a Medicare provider agreement as defined by section 340E(g)(2) of the PHS Act; (3) be excluded from the Medicare Inpatient Prospective Payment System (PPS) under Section 1886(d)(1)(B)(iii), of the Social Security Act and its accompanying regulations; and (4) be a "freestanding" children's hospital.

**Beneficiary Eligibility:**

Any public or private nonprofit and profit children's teaching hospital with an accredited residency training program which meets all eligibility requirements may apply.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under

E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA will use a two-tier submission process for the CHGME applications via Grants.gov and the HRSA EHBs.

Phase 1. Grants.gov application - Standard Form SF-424 R&R and HHS Checklist Form HHS-5161 must be submitted via <http://www.Grants.gov>

Phase 2. HRSA EHBs: registration and applications must be complete and successfully submit through HRSA EHB. Please note that applicants can only begin Phase 2 in HRSA EHBs after Phase 1 in Grants.gov has been completed by the applicable due date and HRSA has assigned the application a tracking number.

Documents for Phase 2 are available electronically via the CHGME Payment Program web site at <http://www.bhpr.hrsa.gov/childrenshospitalgme/>.

All qualified applications are reviewed by HRSA Staff. The CHGME Payment Program statute requires a yearly assessment of the full-time resident counts reported by children hospitals. Fiscal intermediaries working under contract to HRSA, assess those reported counts. Final grant payment determinations are based on the final audited numbers.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award (NGA).

Section 340E(a) requires the Secretary of DHHS to make payments for direct and indirect expenses associated with operating approved graduate medical residency training programs for each fiscal year. The two statutory formulas (direct medical education and indirect medical education) outline payments to eligible children's teaching hospitals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Hospitals can appeal the determination of FTE resident counts by CHGME fiscal intermediaries to the Provider Reimbursement Review Board (PRRB) under section 1878 of the Social Security Act.

**Renewals:**

Eligible children's hospitals must complete a CHGME Payment Program application for inclusion in the program for each fiscal year that they are applying for funds. They must also submit a reconciliation application that will reflect the Secretary determination of the Final FTE resident counts carried out by CHGME fiscal intermediaries led by the Blue Cross and Blue Shield Association (BCBSA). The BCBSA is under contract to the Bureau of Health Professions (BHPr) to conduct the assessments of residents counts reported by children's hospitals on their initial applications for funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

In accordance with the Healthcare Research and Quality Act, 1999, Public Law 106-129, the Secretary of DHHS shall determine the number of resident FTE counts before the beginning of each fiscal year that payments are made for a hospital. The amounts of the payments for direct and indirect medical education are made to each hospital in 12 equal interim installments during the Federal fiscal year. The Children's Health Act, Public Law 106-310, amends the length of the CHGME Payment Program through fiscal year 2005. Public Law 109-307 re-authorizes the program, through fiscal year 2011. See the following for information on how assistance is awarded/released: Both interim payments (prior to audits) and final payments are computed using a zero sum gain

payment model. The calculations of both direct and indirect graduate medical education payments are formula based. Once payments are determined, grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Public Law 109-307 requires children's hospitals receiving CHGME payments to submit an annual report that focuses on their GME training program. The Department required to submit a report to Congress by 2011. The children's hospitals comply with the Government Performance Result Act (GPRA) and submit performance data each fiscal year as part of their reconciliation applications for funds. No cash reports are required. No progress reports are required. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. DHHS, or any other authorized Federal agency, may conduct an audit to determine whether the applicant has complied with all governing laws and regulations in its application for funding. Any and all information submitted to DHHS by an applicant or participating hospital during or after the award of funds is subject to review in an audit. Eligible hospitals are subjected to the terms of the Full-Time Equivalent Assessment Process Guidance and Assessments which is available electronically via CHGME Payment Program web site noted in Application Procedure above.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$317,000,000; FY 11 est \$268,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$21,472.85 to \$21,727,653.99; \$5,383,166.38 in combined DME and IME payments.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Healthcare Research and Quality Act, 1999 (Public Law 106-129), Section 340E of the Public Health Service Act; The Children's Health Act, 2000 (Public Law 106-310, Title XX); Public Law 108-490; Public Law 109-307; Social Security Act, Section 1886, 42 CFR 412.105; 42 CFR 413.86; FRN Vol. 65, No. 118 published on June 19, 2000; FRN Vol. 66, No. 41 published on March 1, 2001; and FRN Vol. 66, No. 140 published on July 20, 2001, and FRN Vol. 68, No. 204, published on October 22, 2003.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Dr. Ayah Johnson, Branch Chief, Graduate Medical Education Branch, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-27, 5600 Fishers Lane, Rockville, MD 20857, Telephone: (301) 443-6190 and E-mail: [AJohnson@hrsa.gov](mailto:AJohnson@hrsa.gov).

**Headquarters Office:**

Dr. Ayah Johnson 5600 Fishers Lane, Room 9-A27, Rockville, Maryland 20857 Phone: (301) 443-6190

**Website Address:**

www.hrsa.gov; http://www.bhpr.hrsa.gov/childrenshospitalgme

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Children's teaching hospitals must meet all of the eligibility criteria before being considered for program funds and must be training residents during the year for which they are applying for funding. This is a formula-based grant payment program. Application review is conducted at HRSA and an independent assessment of residents count is conducted by fiscal intermediaries.

**93.256 STATE HEALTH ACCESS PROGRAM**

SHAP - State Health Access Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 301 of the Public Health Service Act, as amended (42 U.S.C. 241(a)); Public Law 111-8.

**OBJECTIVES:**

The purpose of the State Health Access Program is to support States that demonstrate they are ready to implement a program design which provides the uninsured with access to health insurance. The overarching program goal is to provide support to States to implement program designs already developed which provide access to affordable health care coverage to all or a segment of the uninsured citizens in a State.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The purpose of the State Health Access Program (SHAP) is to support States that are ready to implement a program design to provide the uninsured with access to affordable health care coverage. Eligible States will be required to demonstrate that they have achieved the key State and local statutory or regulatory changes required to implement the new program within twelve months of the grant start date. The types of activities that can be supported through this grant can be widely varied, including but not limited to: three share community coverage (employer, State or local government, and the individual); reinsurance plans that subsidize a certain share of carrier losses within a certain risk corridor; subsidized high risk insurance pools; health insurance premium assistance; creation of a State insurance connector authority to develop new, less expensive, portable benefit packages for small employers and part-time and seasonal workers; development of statewide or automated enrollment systems for public assistance programs; health savings accounts; and innovative strategies to insure low-income childless adults. States may choose to implement one activity or a combination of activities. Other innovative programs that expand insurance to a targeted or comprehensive uninsured population will also be considered.

The majority of awarded funds are to be spent directly on implementation activities to start up program operations that are important to the implementation of the health care coverage program. Examples could include funding the administration of a connector model, designing or expanding a management information system to enhance enrollment capacities, development and dissemination of outreach and enrollment materials, development of a comprehensive website which facilitates education of and enrollment into the program, or to pay the start up costs of providing premium subsidies to those eligible for the program.

The intention behind the funding of these types of activities is to demonstrate how a state can significantly increase the States health care coverage under an expansion program. For example, the funded activity may result in an important increase in enrollment or a measurable improvement in progress

toward attracting hard to reach target populations. Thus, an evaluation plan must be included in the application which describes the evaluation design and data collection methods to be used.

Two types of State grants are available under this program: 1) targeted grants of \$2-4 million a year for a 5 year grant period for States focusing health coverage initiatives on a limited sub population(s); and 2) grants of \$7-10 million a year for a 5 year grant period for States planning more comprehensive coverage initiatives .

**Applicant Eligibility:**

States and US Territories and Possessions.

Eligible applicants are any public State entity designated by the Governor of that State. The Governor must be the requestor of the grant and only one entity per State is permitted to apply. For purposes of this grant program, the term State refers to any of the 50 States, the District of Columbia, Guam, the Commonwealth of Puerto Rico, the Northern Mariana Islands, the Virgin Islands, American Samoa, and the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

A letter signed by an authorized individual on behalf of the lead State agency or organization designated by the Governor must be included. The letter should indicate the potential grants principal contact person, the amount of funding requested, and the names of all agencies and organizations participating in the proposed program. The project must be directed by a component of State government.

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Each of the applications will undergo an eligibility and conformance review by Federal staff at the State Health Access Program Office. Applications that meet the eligibility and conformance review criteria will be assigned to members of an Objective Review Committee (ORC) that will review them based on the evaluation criteria listed in the application guidance. The results of the ORC reviews will be shared with the Associate Administrator, Healthcare Systems Bureau, who will make the final decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The time required for the applications to be approved or disapproved is projected to be 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants responding to this announcement may request funding for a project period of up to five (5) years. Renewals will be determined by the Associate

Administrator, Healthcare Systems Bureau. Extensions must be requested in writing addressed to the Grants Management Specialist.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 20%. States shall be required to demonstrate their seriousness of intent by matching twenty (20) percent of the Federal grant through non-Federal resources, which could be a combination of State, local, and private dollars from insurers, providers, and other private organizations. Waiver of the matching requirement shall be possible if financial hardship is demonstrated. Evidence of financial hardship should be strongly supported through a letter from the States Budget or fiscal Officer with thorough justification provided. In addition, States are required to demonstrate their ability to financially sustain the health care coverage program without Federal grant funding after the five-year grant period. .  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are available to grantees on an as needed basis throughout the budget period and payments are made through the DHHS Payment Management System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Successful applicants must comply with the administrative requirements outlined in 45 CFR Part 74 (non-governmental) or 45 CFR Part 92 (governmental), as appropriate. Reports are to be provided as outlined in the grant conditions. Reports are to be provided as outlined in the grant conditions. Reports are to be provided as outlined in the grant conditions. Reports are to be provided as outlined in the grant conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$70,660,891; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range - \$2,000,000-\$10,000,000.  
Average Award - 5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Michelle Herzog, Director, State Health Access Program, Healthcare Systems Bureau, Health Resources and Service Administration, Room 10C-03, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0650. Fax: (301) 443-1221. Email: [mherzog@hrsa.gov](mailto:mherzog@hrsa.gov).

**Headquarters Office:**

Michelle Herzog 5600 Fishers Lane, Room 10C-03., Rockville, Maryland 20857 Phone: (301) 443-0650

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Please see program guidance.

**93.257 GRANTS FOR EDUCATION, PREVENTION, AND EARLY DETECTION OF RADIOGENIC CANCERS AND DISEASES**

Radiation Exposure Screening and Education Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 417C of the Public Health Service Act, 42 U.S.C. 285a-9, as amended by the Radiation Exposure Compensation Act Amendments of 2000 (P. L. 106-245).

**OBJECTIVES:**

To award grants for the purpose of enabling grantees to carry out programs for: (1) screening individuals described under section 4 (a)(1)(A)(i) or 5(a)(1)(A) of the Radiation Exposure Compensation Act (42 U.S.C. 2210 note) for cancer as a preventative health measure; (2) providing appropriate referrals for medical treatment of individuals screened under paragraph (1) and to ensure, to the extent practicable, the provision of appropriate follow-up services; (3) developing and disseminating public information and education programs for the detection, prevention, and treatment of radiogenic cancers and diseases; and facilitating applicants in the documentation of claims as described in section 5(a) of the Radiation Exposure Compensation Act (41 U.S.C. 2210 note).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to organizations that develop new or expand existing capacity to provide screening, referrals for medical treatment, education, and eligibility assistance for eligible individuals. Restrictions on the Use of Grant Funds: (1) grant funds may not be used to pay for inpatient services; (2) grant funds may not be used to make cash payments to intended recipients of primary health care services or specialty care; (3) grant funds may not be used to supplant other provider/third party coverage payments available to the patient; (4) grant funds may not be used to purchase or improve real property (other than minor remodeling of existing improvements to real property) or to purchase major medical equipment without the approval of the HRSA Grants Management Office; and, (5) not more than 10 percent of any grantee's funds shall be used for legal services to assist users in obtaining benefits under the Radiation Exposure Compensation Program.

**Applicant Eligibility:**

The following entities, (located within the approved States of Arizona, Colorado, Idaho, Nevada, New Mexico, North Dakota, Oregon, South Dakota, Texas, Utah, Washington or Wyoming) are eligible to apply for the funds: (1) National Cancer Institute-designated cancer centers; (2) Department of Veterans Affairs hospitals or medical centers; (3) Federally Qualified Health Centers; (3) agencies of any State or local government that currently provide direct health care services; (4) IHS health care facilities, including programs provided through tribal contracts, compacts, grants, or cooperative agreements with the IHS and which are determined appropriate to raising the health status

of Indians; and (5) nonprofit organizations.

**Beneficiary Eligibility:**

For purposes of the RESEP, individuals eligible for health screening, education, medical referral, and appropriate follow-up services include an individual who either: (1) was employed in a uranium mine or uranium mill (including any individual who was employed in the transport of uranium ore or vanadium-uranium ore from such mine or mill) located in Colorado, Nevada, New Mexico, Arizona, Wyoming, South Dakota, Washington, Utah, Idaho, North Dakota, Oregon, and Texas at any time during the period beginning on January 1, 1942, and ending on December 31, 1971; (2) was a miller or ore transporter who worked for at least 1 year during the period beginning on January 1, 1942, and ending on December 31, 1971; (3) was physically present in the nuclear arms testing area (which includes, in the State of Utah, the counties of Beaver, Garfield, Iron, Kane, Millard, Piute, San Juan, Sevier, Washington, and Wayne; in the State of Nevada, the counties of Eureka, Lander, Lincoln, Nye, White Pine, and that portion of Clark County that consists of townships 13 through 16 at ranges 63 through 71; and in the State of Arizona, the counties of Apache, Coconino, Gila, Navajo, and Yavapai) for a period of at least 2 years during the period beginning on January 21, 1951, and ending on October 31, 1958; (4) was physically present in the nuclear arms testing area, cited in 3. above, for the period beginning on June 30, 1962, and ending on July 31, 1962, or (5) participated onsite in a nuclear arms test involving the atmospheric detonation of a nuclear device, in either the area described in 3. above or within the official boundaries of the Pacific, Trinity, or South Atlantic Test Sites.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All applicants are required to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Radiation Exposure Screening and Education Program (RESEP) awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. After funds are issued, funds are released in accordance with payment procedures of DHHS, which may be an Electronic Transfer System or monthly cash request system. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Grantees are required to submit an annual report that describes the utilization costs of services provided under the grant, and provide such other information as the Secretary determines appropriate. No cash reports are required. Final financial status and progress reports are due 90 days after the end of a project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$1,952,000; FY 11 est \$1,952,000; and FY 12 est \$1,952,000

**Range and Average of Financial Assistance:**

\$178,894 to \$ 279,020.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: ORHP implemented a new data collection tool. Fiscal Year 2011: In FY 2011, HRSA awarded 1 new organization and continued 7 organizations through a competitive announcement with a three year project period. It is anticipated that these awards will be continued in FY 2012 and FY 2013. The award of a new organization demonstrates program growth and sustainability. Fiscal Year 2012: Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Vanessa Hooker, [vhooker@hrsa.gov](mailto:vhooker@hrsa.gov); 301-594-5105. The Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 5A-55, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Vanessa Hooker 5600 Fishers Lane, Room 5A-55, Rockville, Maryland 20857  
Phone: (301) 443-0835

**Website Address:**

<http://www.hrsa.gov/ruralhealth/about/community/resegrant.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Need and Readiness -- the extent to which the applicant can demonstrate a need for these services in their area and their readiness to provide them; (2) administration -- the extent to which the applicant demonstrates that it has the administrative experience and capacity to successfully implement this program; (3) health care services -- the extent to which the applicant has the capacity to provide or arrange for the required services; (4) collaborative arrangements -- the extent to which the applicant has developed and documented collaborative arrangements with other local providers to conduct outreach, provide services and make referrals; and, (5) appropriateness of budget -- the extent to which the applicant's budget for the scope of the proposed activities.

**93.259 RURAL ACCESS TO EMERGENCY DEVICES GRANT**

RAED

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Improvement Act Title IV Cardiac Arrest Survival, Subtitle B Rural Access to Emergency Devices, Section 413, Public Law 106-505 (42 U.S.C. 254c); Section 313 of the Public Health Service Act, (42 U.S.C. 245); P.L. 107-188 and P.L. 111-8, Section 4.

**OBJECTIVES:**

The purpose of the Rural Access to Emergency Devices (RAED) Grant Program is to (1) purchase automated external defibrillators (AEDs) that have been approved, or cleared for marketing, by the Food and Drug Administration; (2) provide defibrillator and basic life support training in automated external defibrillator usage through the American Heart Association, the American Red Cross, or other nationally recognized training courses, and (3) place the AEDs in rural communities with local organizations.

The Public Access Defibrillation Demonstration Project (PADDP) grant program supports innovative, comprehensive, community-based public access defibrillation demonstration projects that: (1) provide cardiopulmonary resuscitation and automated external defibrillation to cardiac arrest victims in unique settings; (2) provide training to community members in cardiopulmonary resuscitation and automated external defibrillation; and (3) maximize community access to automated external defibrillators (AED).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for the purposes outlined in the approved projects.

**Applicant Eligibility:**

RAED program: Awards will be made to community partnerships for purchase, placement and training for AEDs in eligible rural areas. These partnerships are defined as a consortium of first responders (e.g., EMS, law enforcement and fire departments) and local for-profit and nonprofit entities that may include but are not limited to, long-term care facilities, rural health clinics, community health centers, post offices, libraries and other civic centers, athletic facilities, senior citizen and day care facilities, faith-based organizations and schools without AEDs. An applicant must be part of a statewide, regional or multi-county consortium or rural community organization applying as a community partnership. In addition to eligible rural areas in the 50 States, applicants or members of the partnership can be located in the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Territories of the Virgin Islands, Guam, American Samoa, and the Compact

Free Association Jurisdictions of the Republic of the Marshall Islands, the Republic of Palau and the Federated States of Micronesia.

PADDP program: An applicant must be a political subdivision of a State, a federally recognized Native American Tribe, or a Tribal organization.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately six months.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually and payment is made through the DHHS Payment Management System. Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

An electronic quarterly Federal Financial Report (FFR) is due to the Division of Payment Management within 30 days of the end of each quarter. A final program report will be submitted to the Secretary, DHHS via ORHP within 90 days after the close of the budget period. This report will include a retrospective review of how the AED(s) affected response times, pre-hospital mortality rates, etc. No cash reports are required. A final FFR must be submitted to HRSA via the Electronic HandBooks (EHB) within 90 days of the end of each budget period. No expenditure reports are required. A Performance Improvement Measurement System Report will be due by August 30, 2011.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$1,277,695; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$46,408 to \$103,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Data Available. Fiscal Year 2011: No Data Available. Fiscal Year 2012: No Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. RAED Program Contact: Eileen Holloran, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 5A 05, Rockville, MD 20857. Telephone: (301) 443-7529.

PADDP Program Contact: Michele Pray Gibson, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 5A 05, Rockville, MD 20857. Telephone: (301) 443-7320.

**Headquarters Office:**

Office of Rural Health Policy, 5600 Fishers Lane, Room 5A 05, Rockville, Maryland 20857 Phone: (301) 443-0835.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For additional information, refer to the specific funding opportunities announcement.

**93.260 FAMILY PLANNING\_PERSONNEL TRAINING**

FP Training.

**FEDERAL AGENCY:**

Office of Population Affairs, Department of Health and Human Services

**AUTHORIZATION:**

Title X of the PHS Act, 42 U.S.C. 300 et seq, 42 U.S.C 300 et seq.

**OBJECTIVES:**

To provide job specific training for personnel to improve the delivery of family planning services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to provide training to Title X project staffs; to improve utilization and career development of paraprofessional and paramedical manpower in family planning services, particularly in rural areas. Funds may not be used in programs where abortion is a method of family planning. Regulations and Program Guidelines: The regulations set out at 42 CFR part 59, subpart C, govern grants to provide training for family planning service providers. Prospective applicants should refer to the regulations in their entirety. Training provided must be consistent with the requirements for providing family planning services under Title X. These requirements can be found in the Title X statute, the implementing regulations (42 CFR part 59, subpart A), and the Program Guidelines for Project Grants for Family Planning Services (Program Guidelines) (January 2001). In addition, any training regarding sterilization of clients as part of the Title X program should be consistent with 42 CFR part 50, subpart B (Sterilization of Persons in Federally Assisted Family Planning Projects). Copies of the Title X statute, applicable regulations, and Program Guidelines can be obtained by contacting the OPHS Office of Grants Management, or may be downloaded from the Office of Population Affairs (OPA) web site at <http://www.hhs.gov/opa>, and are provided in the application kit for this announcement.

**Applicant Eligibility:**

Any public entity (including city, county, local, regional, or State government) or nonprofit private entity located in a State (including the District of Columbia, Puerto Rico, the Commonwealth of the Northern Mariana Islands, Guam, American Samoa, the Virgin Islands, the Federated States of Micronesia, the Republic of the Marshall Islands and the Republic of Palau) is eligible to apply for a grant under this program. Faith based organizations are eligible to apply.

**Beneficiary Eligibility:**

Personnel delivering family planning services in Title X projects.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allow ability of costs charged to the grant will be determined in accordance with the following Cost Principles: OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for state and local governments, and OMB Circular No.A-122 for non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application kits may be requested by contacting the Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. All grant opportunities are posted on [www.grants.gov](http://www.grants.gov)

**Award Procedure:**

The Regional Health Administrator, DHHS, makes the final decision(s) to approve, hold, or reject individual applications. Applicants are notified regarding the final decision on each application. All projects funded are issued a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 90 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Projects are renewed, as required, based on submission of an application including a progress report and evidence of plan compliance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are generally approved for a project period of 3-5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53, and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$50,000,000; FY 11 est \$50,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$1.0 MIL TO \$2.0 MIL.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Each of the Ten Department of Health and Human Services (DHHS), Public Health Service (PHS) Regions has a family planning general training program that ensures all levels of personnel working in Title X family planning service projects have the knowledge, skills, and abilities necessary for the effective delivery of high quality family planning services. General training also includes specialized technical assistance, which consists of specific, specialized or highly skilled family planning training that is usually provided to a single organization based on the identified need. Additionally, the development and overall management of the general training program is handled by the awarded PHS region. Fiscal Year 2011: Each of the Ten Department of Health and Human Services (DHHS), Public Health Service (PHS) Regions has a family planning general training program that ensures all levels of personnel working in Title X family planning service projects have the knowledge, skills, and abilities necessary for the effective delivery of high quality family planning services. General training also includes specialized technical assistance, which consists of specific, specialized or highly skilled family planning training that is usually provided to a single organization based on the identified need. Additionally, the development and overall management of the general training program is handled by the awarded PHS region. Fiscal

Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

See Regional Agency Offices. Regional Health Administrator, DHHS Regional Offices. (See Appendix IV of the Catalog for addresses.).

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

http://www.opa.osophs.dhhs.gov .

**RELATED PROGRAMS:**

93.217 Family Planning\_Services; 93.974 Family Planning\_Service Delivery Improvement Research Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: (1) Short-term family planning personnel training; (2) brief workshops on specific topics; and (3) family planning/women's health specialty training continuing education course for health care practitioners. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated to determine which would best promote the purposes of the authorizing legislation, taking into account: (1) The increase in delivery of services to people, particularly low-income groups, with a high percentage of unmet need for family planning services; (2) the promise of the program to fulfill the family planning services needs of the area to be served; (3) capacity to use assistance rapidly and effectively; (4) the administrative and management capability and competence of the applicant; (5) competence of the project staff; and (6) compliance with pertinent regulations and guidelines.

**93.262 OCCUPATIONAL SAFETY AND HEALTH PROGRAM****FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Federal Mine Safety and Health Act, Section 501(a), 30 U.S.C 1(NOTE) & 951(a); Occupational Safety and Health Act of 1970, Section 20(a) and 21(a), 29 U.S.C 669(a) & 670(a); Public Health Service Act, Section 301(a) and 405, 42 U.S.C 241 and 284; Executive Order Federal Regulations 42 CFR 52 and 45, Part 74 and 92.

**OBJECTIVES:**

To (1) recognize new hazards; (2) define the magnitude of the problem; (3) follow trends in incidence; (4) target exceptional hazardous workplaces for intervention; and (5) evaluate the effectiveness of prevention efforts. The goal of this program is to increase worker safety and health. To develop specialized professional and paraprofessional personnel in the occupational safety and health field with training in occupational medicine, occupational health nursing, industrial hygiene, occupational safety, and other priority training areas. To perform medical monitoring and treatment for World Trade Center Responders and non-Responders and to create a Registry of affected workers.

**TYPES OF ASSISTANCE:**

Project Grants; Training

**USES AND USE RESTRICTIONS:**

Research grants and cooperative agreements are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. Training grants: Funds may be used for long term training programs and/or education and research centers. Support is provided for the direct costs of the program, plus certain indirect costs determined by Public Health Service policy on training programs. Amounts of stipends and other details are in accordance with Public Health Service policy. SBIR Phase I grants (of approximately 6-months duration) are to establish the technical merit



and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support.

**Applicant Eligibility:**

Eligible applicants include for-profit or non-profit organizations, public or private institutions, such as universities, colleges, hospitals, and laboratories, units of State and local governments, eligible agencies of the Federal government, domestic or foreign institutions/organizations, faith-based organizations, Indian Tribes, Tribal Government, College and/or Organizations. Racial/ethnic minority individuals, women, and persons with disabilities are encouraged to apply as Principal Investigators. Training Grants: Any public or private educational institution or agency that has demonstrated competency in occupational safety and health training at the technical, professional, or graduate level may apply. Trainees must be admissible to the grantee institution and must be enrolled in occupational safety and health training programs. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). For SBIR grants primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions.

**Beneficiary Eligibility:**

Research institutions and agencies as well as workers affected by occupational hazards.

**Credentials/Documentation:**

Applications must be signed by appropriate officials of the submitting institution. For-profit organizations' costs are determined in accordance with 48 CFR Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR Part 74, Subpart Q. For SBIR grants applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications are prepared and submitted following instructions provided in Funding Opportunity Announcements (FOAs). NIOSH publishes FOAs at <http://www.Grants.gov>, and in the NIH Guide for Grants and Contracts at <http://grants1.nih.gov/grants/guide/index.html>. Grants.gov is the portal for applications. Appropriate forms are specified in each FOA. Research and training programs utilize either the SF-424 R&R for electronic submission or the PHS 398 application form and instructions which are available on the Internet at: <http://grants1.nih.gov/grants/forms.htm>.

**Award Procedure:**

Awards are made on the basis of a two-step review of an investigator-prepared application. Applications are initially reviewed for scientific and technical merit by a scientific peer review group. The second level of review is performed by the NIOSH Secondary Review Committee for program relevance. Final approval of funding recommendations is made by the Director, NIOSH.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Research Grants and Awards: 7-9 months. Training Grants: 9-10 months. SBIR: 7-8 months.

**Appeals:**

From 120 to 180 days. A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff in the NIOSH Office of Extramural Programs.

**Renewals:**

> 180 Days. Support is recommended for a specified project period, usually not in excess of 5 years. Prior to the end of a project period, the grantee may apply for renewal of support for a new project period. Applications for renewal (competing continuation, Type 2) will be reviewed in the same manner as a new application and will compete for available funds with other applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Research and Training Grants and Cooperative Agreements may be awarded for project periods ranging from one to five years depending on the recommendations of the scientific review group and the Secondary Review Committee, and on demonstration of successful performance and the availability of funds. SBIR Grants: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Notice of Grant Award.

**Reports:**

Terminal progress report (including citations of all resulting publications) within 90 days after end of project support. Cash reports are not applicable. Interim progress reports (including citations of all resulting publications) annually as part of a non-competing continuation application for previously recommended support. Annual financial status report within 90 days after the conclusion of each budget period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of each budget period. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$97,627,472; FY 11 est \$9,230,000; and FY 12 est \$92,300,000 - Occupational Safety and Health Program.

**Range and Average of Financial Assistance:**

General Grants and Cooperative Agreements: \$15,000 to \$4,924,000. Training Grants: \$29,000 to \$1,770,000. SBIR Grants: Phase I - up to \$150,000; Phase II - up to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The number of awards made in FY2010 was 230. Fiscal Year 2011: The estimated number of awards for FY2011 is 210. Fiscal Year 2012: The estimated number of awards for FY2012 is 210.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Parts 86 and 87. 45 CFR Part 74 or 92, as applicable. OMB Circulars A-21 and A-87. The PHS Grants Policy Statement, including addenda in effect as of the beginning date of the budget period, and the NIH Grants Policy Statement. Funding opportunity announcements as published in the NIH

Guide: (<http://grants1.nih.gov/grants/guide/index.html>), the Grants.gov website ([www.grants.gov](http://www.grants.gov)), and the NIOSH OEP web site (<http://www.cdc.gov/niosh/oepp/>). Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Any additional grant program legislation and regulation cited in the Notice of Grant Award.

**Regional or Local Office:**

None. Program Contact: Office of Extramural Programs, National Institute for Occupational Safety and Health, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 1600 Clifton Road, NE., MS-E74, Atlanta, GA 30333. Telephone: (404) 498-2530. Grants Management Contact: Mr. Larry Guess, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Acquisition and Assistance Branch, Centers for Disease Control and Prevention, Department of Health and Human Services, 626 Cochran Mill Road, PO Box 18070, Pittsburgh, PA 15236. Telephone: (412) 386-6826.

**Headquarters Office:**

Stephanie L. Shack, 1600 Clifton Rd., NE, Cubicle 4201.23, Mailstop E-74, Atlanta, Georgia 30333 Email: [SShack@cdc.gov](mailto:SShack@cdc.gov) Phone: (404) 498-2530.

**Website Address:**

<http://www.cdc.gov/niosh/oepp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) the scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to stated program objectives. Training Grants: Criteria used in evaluating training proposals include: (1) Overall potential contribution of the project toward meeting program objectives; (2) the need for training in the areas outlined in the application; (3) curriculum content and design; (4) previous record of training; (5) evaluation methods; (6) experience and training of the project director and staff; (7) institutional commitment; (8) academic and physical environment; (9) past performance; and (10) appropriateness of budget. The following criteria will be used in considering the scientific and technical merit of SBIR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.264 NURSE FACULTY LOAN PROGRAM (NFLP)**

NFLP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII of the Public Health Service Act, Section 846A (42 U.S.C. 297n-1), as amended by the Patient Protection and Affordable Care Act, Public Law 111-148, Section 5311.

**OBJECTIVES:**

To increase the number of qualified nursing faculty. Schools of Nursing that receive NFLP funding must provide loans to students enrolled in eligible advanced degree nursing programs (masters or doctoral) with an education component(s) that will prepare the student to teach. NFLP loan recipients complete the education program, and following graduation, may cancel up to 85% of the NFLP loan while serving as full-time nurse faculty at an accredited school of nursing.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The school must establish an NFLP loan fund for the purpose of making NFLP loans to eligible students enrolled in advanced degree nursing programs and for the costs associated with collection of these loans. Institutions may award a maximum loan amount of \$35,500 per student for an academic year to support the cost of tuition, fees, books, and other reasonable education expenses, not to exceed five years of NFLP loan support. Upon completion of the program, an amount up to 85 percent of the loan may be cancelled by the institution as follows: upon completion of the first, second, and third year of full-time faculty employment in an accredited school of nursing, 20 percent of the principal and interest of the unpaid loan shall be cancelled for each year; upon completion of the fourth year of full-time employment as faculty in an accredited school of nursing, 25 percent of the principal and interest of the unpaid loan shall be cancelled for the fourth year. The school will establish an NFLP fund to be used only for making NFLP loans to eligible students and for the costs associated with collection of these loans. (See above for additional information.) Institutions may award a maximum loan amount of \$30,000 per student for an academic year to support the cost of tuition, fees, books, laboratory expenses and other reasonable education expenses. Upon completion of the program, an amount up to 85 percent of the loan may be cancelled by the institution as follows: upon completion of the first, second, and third year of full-time faculty employment in a school of nursing, 20 percent of the principal and interest of the unpaid loan shall be cancelled for each year; upon completion of the fourth year of full-time employment as faculty in a school of nursing, 25 percent of the principal and interest of the unpaid loan shall be made be given for the fourth year.

**Applicant Eligibility:**

Eligible applicants are accredited public or private collegiate schools of nursing that offer advanced degree nursing education programs (master's or doctoral) to that prepare advanced degree nursing students to serve as nurse faculty.

In addition, the institution must be located in the United States, the District of Columbia, or its territories.

**Beneficiary Eligibility:**

Eligible nursing students must: (1) be a citizen or national of the United States, or a lawful permanent resident of the United States, the District of Columbia or its territories; (2) be enrolled in an advanced degree program in nursing to become qualified nursing faculty; (3) not be in default on a Federal debt; and (4) maintain good academic standing.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All applicants are required to apply electronically through Grants.gov.

Grant applications and required forms for this program can be obtained at [www.grants.gov](http://www.grants.gov).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing (electronic) by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 1-3 months after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal applications must be submitted annually for additional funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Schools that participate in the loan program must contribute to the loan fund an amount equal to but not less than one-ninth of the fiscal year award.

Funding Factor: As provided under Title VIII of the Public Health Service Act, Section 846A (42 U.S.C. 297n-1), as amended by the Patient Protection and Affordable Care Act of 2010, Public Law 111-148, Section. 5311.847(f) a statutory funding priority will be awarded to School of Nursing Student Loans that support doctoral nursing students.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for one (1) year beginning July 1 through June 30. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The institution must submit the Nurse Faculty Loan Program, Annual Operating Report (AOR) annually through electronic submission at <https://grants.hrsa.gov/webexternal/login.asp>.

The NFLP Annual Operating Report (AOR) is due each year by August 15, within 45 days following the last day of the project period and should reflect the loan fund activity for the reporting period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before

the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Loans) FY 10 \$23,480,577; FY 11 est \$23,453,801; and FY 12 est \$23,453,801

**Range and Average of Financial Assistance:**

FY 11: Range is \$3,863 to \$1,442,396; Average is \$215,172.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, there were 164 schools participating in the program. The FY 2009-2010 report data in the HRSA EHBs indicates 880 NFLP loan recipients, 195 NFLP graduates and 127 NFLP graduates employed as nurse faculty for the 2009-2010 academic period. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices at <http://www.hrsa.gov/about/organization/bureaus/oro/>. Program Office: Denise Thompson, Public Health Analyst, Division of Nursing, Health Resources and Services Administration, Department of Health and Human Services 5600 Fishers Lane, Room 9B-45, Rockville, Maryland 20857, Phone: (301) 443-1399, Email: [dthompson@hrsa.gov](mailto:dthompson@hrsa.gov).

**Headquarters Office:**

Denise Thompson 5600 Fishers Lane, Room 9B-45, Rockville, Maryland 20857 Email: [dthompson@hrsa.gov](mailto:dthompson@hrsa.gov) Phone: (301) 443-1399

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funded projects establish and operate a NFLP loan fund for providing loan support to nursing students enrolled in advanced nursing education degree programs and following graduation from the program, loan recipients may cancel 85% of the NFLP loan while serving as full-time nurse faculty at a school of nursing. Fiscal Year 2011: No data available. Fiscal Year 2012: No data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness and accuracy, and to determine if applicant schools meet minimum program requirements. All eligible applicants are considered in a formula for determining awards. Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.265 COMPREHENSIVE GERIATRIC EDUCATION PROGRAM(CGEP)**

CGEP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII, Section 855 of the Public Health Service Act (42 U.S.C. 298), as amended by P.L. 107-205 and the Patient Protection and Affordable Care Act, P.L. 111-148.

**OBJECTIVES:**

To train and educate individuals in providing geriatric care for the elderly.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are used to develop and implement, in coordination with programs under section 753, programs and initiatives to train and educate individuals in providing geriatric care for the elderly. Grants may be used to: provide training to individuals who will provide geriatric care for the elderly; develop and disseminate curricula relating to the treatment of the health problems of elderly individuals; train faculty members in geriatrics; or provide continuing education to individuals who provide geriatric care; or establish traineeships for individuals who are preparing for advanced education nursing degrees in geriatric nursing, long-term care, gero-psychiatric nursing or other nursing areas that specialize in the care for the elderly population. Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential personnel travel expenses and other expenses related to the project. Restricted uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to eight percent of direct costs.

**Applicant Eligibility:**

Eligible applicants are schools of nursing, academic health centers, a health care facility, a program leading to certification as a certified nurse assistant, a partnership of such a school and facility, or a partnership of such a program and facility, other appropriate public or private nonprofit entities; and for-profit entities capable of carrying out the legislative purpose.

**Beneficiary Eligibility:**

Training is for individuals who provide, or will provide, care for the elderly and faculty members.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuations may be submitted during the final budget period of the approved project period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are up to 3 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A progress report must be submitted for the second and subsequent budget periods within an approved project period. Financial Status Reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. No cash reports are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$4,158,231; FY 11 est \$4,174,432; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

(FY 2011) \$120,000 to \$172, 000; Average: \$145,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. CAPT Young Song, Acting Chief, Geriatrics and Allied Health Branch, Division of Public Health and Interdisciplinary Education, Health Resources and Services Administration, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-3353.

LCDR Carol Corbie, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration,

Department of Health and Human Services, Parklawn Building, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-7762.

**Headquarters Office:**

Carol Corbie 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-7762

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed by a panel of peer reviewers using the following criteria: A clearly stated project purpose; a documented need for the proposed project; the potential effectiveness of the proposed project; a clearly articulated project plan including evaluation of project objectives; a plan for addressing diversity and cultural competence; a comprehensive plan for project management; the reasonableness of the budget and fiscal plan; the presence of established and/or planned linkages with relevant entities.

**93.266 RAPID EXPANSION OF ANTIRETROVIRAL THERAPY PROGRAMS FOR HIV-INFECTED PERSONS IN SELECTED COUNTRIES IN AFRICA AND THE CARIBBEAN UNDER THE PRESIDENT'S EMERGENCY PLAN FOR AIDS RELIEF**

Global AIDS

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Sections 301(a) and 307 of the Public Health Service Act (42 U.S.C. 241(a), 242l), and the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008 (Public Law 110-293).

**OBJECTIVES:**

Fund lifesaving care and treatment programs and build and strengthen health systems in countries hit hardest by HIV/AIDS through the Presidents Emergency Plan for AIDS Relief (PEPFAR). Objectives include:

- (1) Delivery of essential antiretroviral therapy for HIV infection, medications to prevent and treat common opportunistic infections such as tuberculosis, supportive care for orphans and vulnerable children, and other critical services.
- (2) Training and technical assistance to build and strengthen care programs and health systems, so that affected countries can maintain programs over time and deliver quality HIV/AIDS care; build infrastructures such as clinic monitoring, health information systems, and medical and nursing education.
- (3) Enhance models of medical, nursing and midwifery education.
- (4) Develop partnerships between experts in the U.S. and people and institutions overseas to build skills and prepare host countries so that they may better manage their own programs over the long term.

Care and Treatment Program:

Rapid Expansion of Antiretroviral Therapy Programs (Care and Treatment, Track 1.0) (Cooperative Agreement or CoAg)

Health Systems Strengthening Programs:

Global HIV/AIDS Nursing Initiative/Nursing Capacity Building Program (CoAg)

Caribbean HIV/AIDS Regional Training (CHART) Network (CoAg)

International Twinning Center (CoAg)

Quality Improvement Center (CoAg)

International AIDS Education and Training Center (CoAg)

Medical Education Partnership Initiative (4 grants)

Medical Education Partnership Initiative Coordinating Center (CoAg).

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Cooperative Agreements or grants will be awarded to organizations to organizations that execute one or more of the objectives above.

**Applicant Eligibility:**

Depending on specific program:

Applicants must have experience providing ART in 3 or more of the targeted countries. Eligible entities are those providing clinical care and anti-retroviral therapy in at least 3 of the 15 focus countries under PEPFAR.

U.S.-based public and private nonprofit entities, including nursing training institutions and nursing or other professional organizations, tribes and tribal organizations, and faith-based and community-based organizations that demonstrate expertise in nursing and midwifery workforce development in low-resource country settings.

Public and nonprofit private entities that demonstrate history of success working with Caribbean partners in the area of public health and working with local, indigenous, Caribbean-based populations, and have at least three years experience providing services and managing programs for local populations in the Caribbean region.

U.S. organizations: public and non-profit private entities, schools and academic health sciences centers, including faith-based and community based organizations that have significant experience establishing Twinning Partnerships in health programs.

Public or non-profit private entities, including schools of medicine, nursing, public health, management and public administration and academic health sciences centers, community-based organizations, and faith-based organizations that can provide capacity for Quality Improvement activities to improve the quality of HIV/AIDS care in HIV health care facilities to people with HIV/AIDS.

U.S. organizations, public and non-profit private entities, schools and academic health sciences centers, including faith-based organization that enhance skills and training capacity in the areas of prevention care and treatment of HIV disease, including the prevention of perinatal transmission of the disease, treatment of opportunistic infections, appropriate use of antiretroviral therapy and implementation of community home based care.

Foreign Public and Private Institutions of Higher Education with a Medical School based in a Sub-Saharan African country which receives PEPFAR support.

U.S.-based state controlled or private institutions of higher education that will work with their partner(s) to coordinate activities across medical educational institutions in Sub-Saharan Africa, develop an African leadership network to guide, support, and advocate for the effort, and serve as a source of technical support for all aspects of the multi-site initiative.

**Beneficiary Eligibility:**

Health care personnel and people living with AIDS.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State

for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

3-6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Projects are for one to five years with 12-month budget periods. Competitive awards every 3 to 5 years. Noncompetitive awards annually in between competitive cycles.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: From 1 to 5 years. Budget Period: For 12 months. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Quarterly or semi-annual progress reports are required. One of these reports will serve as the non-competing continuation application. Reports should provide progress on achieving objectives and modifications or new objectives. Expenditure reports may be required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$80,000,000; FY 11 est \$80,000,000; and FY 12 est \$80,000,000

**Range and Average of Financial Assistance:**

**ANNUALLY:**

are and Treatment Floor \$8,000,000; Ceiling \$120,000,000; Average \$88,000,000  
Global HIV/AIDS Nursing Initiative - Floor \$500,000; Ceiling \$20,000,000; Average \$10,000,000  
CHART Network: Floor \$1,800,000; Ceiling \$3,000,000; Average \$2,500,000  
International Twinning Center: Floor \$500,000; Ceiling \$12,000,000; Average \$6,000,000  
Quality Improvement Center: Floor \$600,000; Ceiling \$10,000,000; Average \$5,000,000  
ITECH: Floor \$1,000,000; Ceiling \$50,000,000; Average \$25,000,000  
MEPI, each of 4 grants: Floor \$1,000,000; Ceiling \$2,000,000; Average \$1,500,000  
MEPI Coordinating Center: Floor \$1,000,000; Ceiling \$3,000,000; Average \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Jose Morales, MD, Global HIV/AIDS Program, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Suite 7-05, Rockville, MD 20857. Telephone: (301) 443-3650.

**Headquarters Office:**

Jose Morales 5600 Fishers Lane, Suite 7-05, Rockville, Maryland 20857 Phone: (301) 443-3650

**Website Address:**

<http://www.hrsa.gov>. and [www.pepfar.gov](http://www.pepfar.gov)

**RELATED PROGRAMS:**

93.145 AIDS Education and Training Centers; 93.941 HIV Demonstration, Research, Public and Professional Education Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the extent to which proposed objectives are specific, measurable, time-phased, and consistent with the stated purpose of this program; the extent to which the applicant's capability is sufficient in the areas of clinical care, drug and health commodities, laboratory services, training, community mobilization and behavior, health information systems, health systems strengthening, monitoring and evaluation and sustainability; feasibility of their expansion plan; extent to which the organizational structure, management and staffing is appropriate and sound and the presentation of a reasonable budget.

**93.267 STATE GRANTS FOR PROTECTION AND ADVOCACY SERVICES**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XII, Section 1253, as amended by the Childrens Health Act of 2000, sec.1304, PL 106-310, as further amended by the Traumatic Brain Injury Act of 2008, sec. 6(b), PL 110-206.

**OBJECTIVES:**

To make grants to Protection and Advocacy systems as established in each

State for the purpose of enabling such systems to provide services to individuals with traumatic brain injury which may include: (1) information, referrals, and advice, (2) individual and family advocacy, (3) legal representation, and (4) specific assistance in self-advocacy.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to plan for, develop outreach strategies for, and carry out services for individuals with traumatic brain injury as authorized in the Section 1253 of the PHS Act. Grant funds must supplement, not supplant, nonfederal funds available in the State in which the protection and advocacy system is established.

**Applicant Eligibility:**

State and Territory-designated Protection and Advocacy Systems and the American Indian Consortium are the only eligible applicants for State PATBI funding.

**Beneficiary Eligibility:**

Individuals with traumatic brain injury.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Public Health Service Act, Chapter 1253.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period for these grants is up to 48 months. Each allotment is available for obligation over a 24-month period; payments are made through an Electronic Transfer System. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

See the funding opportunity announcement for additional information. See the

funding opportunity announcement for additional information. See the funding opportunity announcement for additional information. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 4 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 4-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 4-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Formula Grants) FY 10 \$3,272,375; FY 11 est \$3,272,375; and FY 12 est \$3,249,468

**Range and Average of Financial Assistance:**

Based on FY 10  
20,000 to \$184,111; \$57,410.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No current data available. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. LT Donelle McKenna, Program Officer, Protection and Advocacy for Traumatic Brain Injury Program, Division of Services for Children with Special Healthcare Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Room 18A-18, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: 301-443-9280; [dmckenna@hrsa.gov](mailto:dmckenna@hrsa.gov).

**Headquarters Office:**

LT Donelle McKenna, 5600 Fishers Lane, Room 18-A18, Rockville, Maryland 20857 Email: [dmckenna@hrsa.gov](mailto:dmckenna@hrsa.gov) Phone: (301) 443-9280

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.234 Traumatic Brain Injury State Demonstration Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for allotments must fulfill statutory requirements.

**93.268 IMMUNIZATION GRANTS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Section 317(j) of the Public Health Service Act (42 U.S.C. 247b(j)) reauthorized in Section 4204 of the Patient Protection and Affordable Care Act.

**OBJECTIVES:**

To assist states and communities in establishing and maintaining preventive health service programs to immunize individuals against vaccine-preventable diseases (including measles, rubella, poliomyelitis, diphtheria, pertussis, tetanus, hepatitis B, hepatitis A, varicella, mumps, haemophilus influenza type b, influenza, and pneumococcal pneumonia).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs associated with planning, organizing, and conducting immunization programs directed toward vaccine-preventable diseases and for the purchase of vaccine; and for the implementation of other program elements, such as assessment of the problem; surveillance and outbreak control; information and education; adequate notification of the risks and benefits of immunization; compliance with compulsory school immunization laws; vaccine storage, supply management, and delivery; citizen participation; and use of volunteers. Vaccine will be available "in lieu of cash" if requested by the applicants. Requests for personnel and other items "in lieu of cash" will also be considered. Vaccine purchased with grant funds may be provided to private practitioners who agree not to charge for vaccine. Grant funds may be used to supplement (not substitute for) existing immunization services and operations provided by a state or locality.

**Applicant Eligibility:**

Any U.S. state, and in consultation with state health authorities, political subdivisions of states and other public entities and U.S. territories may apply; private individuals and private nonprofit agencies are not eligible for immunization grants.

**Beneficiary Eligibility:**

Any U.S. state, political subdivision (as described above), and other public entities will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds. Costs will be determined in accordance with 2 CFR 225 (OMB Circular No. A-87) for state and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2716. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by PHS and required by 45 CFR 92 for state and local governments, must be used for this program.

**Award Procedure:**

After review and approval of an application, a Notice of Award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 3 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: Variable. Budget Period: About 12 months. See the following for information on how assistance is awarded/released: Periodic grant rounds.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$3,926,726,390; FY 11 est \$4,056,390,767; and FY 12 est \$3,942,680,307 - 317 Grants: FY 2010 \$453,215,435; FY 2011 est. \$428,828,917; and FY 2012 est. \$384,433,913. VFC Grants: FY 2010 \$3,473,510,955; FY 2011 est. \$3,627,561,850; and FY 2012 est. \$3,558,246,394.

**Range and Average of Financial Assistance:**

317 Grants: From \$252,725 to \$48,568,982; \$6,870,723 VFC Grants: From \$1,649,229 to \$368,026,903; \$52,334,322.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No current data available. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Aubrey Garner 1600 Clifton Road, NE, MS A-19, Atlanta, Georgia 30033  
Email: agarner@cdc.gov Phone: (404) 639-8086

**Website Address:**

<http://www.cdc.gov/vaccines>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.269 COMPLEX HUMANITARIAN EMERGENCY AND WAR-RELATED INJURY PUBLIC HEALTH ACTIVITIES**



**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order Sections 307 and 317(k)(2) of the Public Health Service Act, [42 U.S.C. Section 2421 and 247b(k)(2)], as amended.

**OBJECTIVES:**

To bring public health and epidemiologic principles to the aid of populations affected by complex humanitarian emergencies. Work will focus on the following main program areas: (1) Providing technical assistance including rapid health and nutrition assessments, public health surveillance, epidemic investigations, disease prevention and control, program evaluation and emergency preparedness; (2) Developing, implementing and disseminating findings from operational research projects aimed at developing more effective public health interventions; (3) Designing, implementing, and evaluating training activities to strengthen the capacity of CDC, other U.S. government agencies, international and private voluntary organizations, other governments, and public health students; (4) Developing and disseminating guidelines on public health issues and technical areas; and (5) Planning and maintaining partnerships with strategic international, bilateral, and non-governmental relief organizations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of projects related to domestic and international complex humanitarian emergencies and war-related injuries. The grants and cooperative agreements may be used for personnel, salaries, consultant costs, survey costs, training, equipment, supplies, travel, patient costs, miscellaneous items, and indirect costs.

**Applicant Eligibility:**

The general public will benefit from the objectives of this program.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants should review the individual CDC Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities.

**Award Procedure:**

After review and approval of an application, a notice of award is made in writing and issued by the Grants Management Officer, Procurement and Grants Office, CDC. Appropriate notification is also made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 2 to 3 months.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 90 to 120 days. Support is recommended for a specified project period, not to exceed 5 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support is recommended for a specified project period, not to exceed 5 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Refer to the funding opportunity announcement. Refer to the funding opportunity announcement. Refer to the funding opportunity announcement. Refer to the funding opportunity announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0943-1-1-550.

**Obligations:**

(Salaries) FY 10 \$3,027,000; FY 11 est \$3,000,000; and FY 12 est \$3,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Keicia L. Reeves 4770 Buford Highway, Mailstop F-60, Atlanta, Georgia 30341 Email: [kxs3@cdc.gov](mailto:kxs3@cdc.gov) Phone: 7704880697

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funded projects are described in IPRs from each grantee. Fiscal Year 2011: Funded projects are described in continuation applications from each grantee. Fiscal Year 2012: Funded projects are described in continuation applications from each grantee.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria can be found in the program guidance.

**93.270 ADULT VIRAL HEPATITIS PREVENTION AND CONTROL****FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

301 and 317N of the Public Health Service Act (42 U.S.C. section 241 and 274b-15), as amended.

**OBJECTIVES:**

To assist State and local health agencies, health related organizations and other governmental and nongovernmental organizations in their efforts to decrease the incidence of new infections of hepatitis A, hepatitis B and hepatitis C viruses and to decrease risks for chronic liver disease including cirrhosis and liver cancer in persons with chronic hepatitis B and hepatitis C infections.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with establishing and maintaining a hepatitis surveillance and prevention program for the management, coordination, and evaluation of activities directed towards prevention of viral hepatitis infections including the identification, counseling and referral for medical management of persons with chronic HBV or HCV infection and integration of viral hepatitis prevention services into health care and public health services for adults at risk for viral hepatitis.

**Applicant Eligibility:**

Nonprofit with 501C3 IRS status (other than institution of higher education); Nonprofit without 501C3 IRS status (other than institution of higher education); For-profit organizations (other than small business); Small, minority, and women-owned businesses; Universities; Colleges; Research institutions; Hospitals; Community-based organizations; Faith-based organizations; Federally recognized or state-recognized American Indian/Alaska Native tribal governments; American Indian/Alaska native tribally designated organizations; Alaska Native health corporations; Urban Indian health organizations; Tribal epidemiology centers; State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau); Political subdivisions of States (in consultation with States).

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74 and Part 92. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office. Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as

furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants.

**Award Procedure:**

After review and approval of an application, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support is recommended for a specified project period not to exceed 5 years.

Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual financial status reports are required no later than 90 days after the end of each budget period. Financial status reports are required 90 days after the end of a project period.

Also see FOA for additional information. Quarterly or semiannual narrative and performance report are required of the recipient. Semiannual reports should address the recipient's progress of achievement of the stated objectives. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Property records must be retained in accordance with the HHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$6,065,000; FY 11 est \$9,914,000; and FY 12 est \$9,914,000

**Range and Average of Financial Assistance:**

\$4,924,888 to \$5,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.273 ALCOHOL RESEARCH PROGRAMS**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, as amended, Sections 301 and 464H, and 42 U.S.C. 290Gb; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564, Public Law 78-410, 42 U.S.C 241.

**OBJECTIVES:**

To develop a sound fundamental knowledge base which can be applied to the development of improved methods of treatment and more effective strategies for preventing alcoholism and alcohol-related problems. The National Institute on Alcohol Abuse and Alcoholism (NIAAA) supports research in a broad range of disciplines and subject areas related to biomedical and genetic factors, psychological and environmental factors, alcohol-related problems and medical disorders, health services research, and prevention and treatment research. Small Business Innovation Research (SBIR) program: to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation and technology transfer through cooperative research and development carried out between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

(1) Research Project Grants provide support for clearly defined projects or a small group of related activities, and when appropriate, support of conferences; (2) Program Project Grants are for large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; (3) Small Grants are for small-scale exploratory and pilot studies or exploration of an unusual research opportunity; Small Grants are limited to \$50,000 for direct costs for a period of up to 2 years; and (4) Exploratory/Developmental Grants are limited for a period of up to 2 years, and a maximum of \$275,000 for direct costs for the entire 2-year period. Funds may be used only for expenses directly related to the approved research project. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or processes. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

**Applicant Eligibility:**

Public or private profit and nonprofit agencies, including State, local, or

regional government agencies, universities, colleges, hospitals, academic or research institutions may apply for research grants. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Public, profit and nonprofit private organizations.

**Credentials/Documentation:**

For-profit grantees' costs will be determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart C, Section 74.27. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by PHS, must be used by grant applicants. Application kits, containing the necessary forms and instructions, if not available at the applicant institution, may be obtained from the NIAAA. Consultation on proposed projects is also available. Preapplication consultation with NIAAA staff is required before submission of a Program Project grant application or any unsolicited new grant application requesting \$500,000 or more direct costs in any one year. Applications are reviewed by nonfederal consultants recruited nationwide. The amount of the award and period of support are determined on the basis of the merit of the project. This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Research Grants in support of projects recommended for approval by the National Advisory Council on Alcohol Abuse and Alcoholism and approved for

payment are awarded directly by the NIAAA to the applicant institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Aug 15, 2012 February 1, June 1, and October 1. SBIR: April 15, August 15, and December 15. STTR: December 1, only. AIDS related research applications January 7, May 7, and September 7. Other deadlines as specified in FOAs.

**Range of Approval/Disapproval Time:**

From 240 to 270 days from submission of application for grant support. SBIR/STTR applications about 7-1/2 months. AIDS related research applications about 6 months.

**Appeals:**

A principal investigator may appeal the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeals procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

Support is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a competing request. Small Grants and Exploratory/Developmental Grants are not renewable, but grantees may apply for research project grants on the same topics.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, but a project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Small Grants are limited to 2 years or less and are not renewable. Exploratory/Developmental Grants are limited to 3 years or less and are not renewable. Payments will be made either on a Monthly Cash Request System or under an Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Awards will be released electronically to applicant institution. Funds are released annually.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual progress reports as a part of the continuation application. A final expenditure report is required at the conclusion of the project. The NIAAA Program officers will monitor performance by evaluating the annual progress report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a

period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0894-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$349,938,000; FY 11 est \$341,756,000; and FY 12 est \$348,433,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52. Guidelines are included in application kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994. Specific program announcements are available electronically from the NIAAA World Wide Web Home Page on the Internet at <http://www.niaaa.nih.gov> or from the NIH Home Page under Institutes and Offices. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. The Headquarters Office (National Institute on Alcohol Abuse and Alcoholism) is responsible for the administration of these programs.

**Headquarters Office:**

Ranga V. Srinivas, National Institute on Alcohol Abuse and Alcoholism, National Institutes of Health, 5635 Fishers Lane Room 2085, Rockville, Maryland 20852 Email: [srinivar@mail.nih.gov](mailto:srinivar@mail.nih.gov) Phone: (301) 451-2067 Fax: (301) 443-7043.

**Website Address:**

<http://www.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations will be used in determining projects to be funded: (1) Scientific and technical merit of the proposal; (2) program balance; and (3) relevance to NIAAA priorities and public health issues. The following criteria

will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human of animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.275 SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES-ACCESS TO RECOVERY**

ATR I, ATR II

#### **FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

The Public Health Act, Section 501(d)(5), 509, Public Law 106-310, 42 U.S.C 290aad5-290bb-2.

#### **OBJECTIVES:**

To implement voucher programs for substance abuse clinical treatment and recovery support services pursuant to sections 501 (d)(5) and 509 of Public Health Service Act (42 U.S.C. sections 290aa(d)(5) and 290bb-2). This program, called Access to Recovery (ATR), is to provide client choice among substance abuse clinical treatment and recovery support service providers, expand access to a comprehensive array of clinical treatment and recovery support options (including faith-based programmatic options), and increase substance abuse treatment capacity. Monitoring outcomes, tracking costs, and preventing waste, fraud and abuse to ensure accountability and effectiveness in the use of Federal funds are also important elements of the ATR program. Through the ATR grants, States, Territories, the District of Columbia and Tribal Organizations (hereinafter collectively referred to as "States") will have flexibility in designing and implementing voucher programs to meet the needs of clients in the State. The key to successful implementation of the voucher programs supported by the ATR grants will be the relationship between the States and clients receiving services, to ensure that clients have a genuine, free, and independent choice among eligible providers. States are encouraged to support any mixture of clinical treatment and recovery support services that can be expected to achieve the program's goal of achieving cost-effective, successful outcomes for the largest number of people.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

#### **USES AND USE RESTRICTIONS:**

Funds (including direct costs and indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities. Funds may be used for 15 percent administrative cost and 85 percent voucher. Also follow the policies and procedures that applies to the eligible entity. Funds may be used for 15 percent administrative cost and 85 percent voucher.

#### **Applicant Eligibility:**

Eligibility for Access to Recovery (ATR) grants is limited to the immediate office of the Chief Executive (e.g., Governor) in the States, Territories, District of Columbia; or the head of a Tribal Organization. (A "Tribal Organization" means the recognized governing body of any Indian tribe or any legally established organization of Indians, including urban Indian health boards,

inter-tribal councils, or regional Indian health boards, which is controlled, sanctioned, or chartered by such governing body or which is democratically elected by the adult members of the Indian community to be served by such an organization.) The Chief Executive of the State, Territory, or District of Columbia, or the head of the Tribal Organization must sign the application. Eligibility is limited to the immediate office of these Chief Executives because only they have the authority to leverage funding across the State, implement the necessary policy changes, manage the fiscal responsibilities, and coordinate the range of programs necessary for successful implementation of the voucher programs to be funded through these grants. No more than one application from any one Chief Executive or head of a Tribal Organization will be funded.

#### **Beneficiary Eligibility:**

Eligibility for Access to Recovery (ATR) grants is limited to the immediate office of the Chief Executive (e.g., Governor) in the States, Territories, District of Columbia; or the head of a Tribal Organization" means the recognized governing body of any Indian tribe or any legally established organization of Indians, including urban health boards, inter-tribal councils, or regional Indian health boards, which is controlled, sanctioned, or chartered by such governing body or which is democratically elected by the adult members of the Indian community to be served by such an organization.).

#### **Credentials/Documentation:**

The Chief Executive of the State, Territory, or District of Columbia, or the head of the Tribal Organization must sign the application. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must comply with the following requirements, or they will be screened out and will not be reviewed: Use of the PHS 5161-1 application; Application submission requirements in Section IV-3 of this document; and Formatting requirements provided in Section IV-2.4 of this document. Applicants may request a complete application kit by calling SAMHSA's National Clearinghouse for Alcohol and Drug Information (NCADI) at 1 (800) 729-6686. Applicants also may download the required documents from the SAMHSA Web site at [www.samhsa.gov](http://www.samhsa.gov). Click on "grant opportunities." PHS 5161-1 (revised July 2000)-Includes the face page, budget forms, assurances, certification, and checklist. Applicants must use the PHS 5161-1. Applications not submitted on the PHS 5161-1 will be screened out and will not be reviewed. Request for Applications (RFA)-Includes instructions for the grant application. This document is the RFA.

#### **Award Procedure:**

None.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

None.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Applications will be accepted for a project period of 1 to 3 years with 12-month budget periods. Annual awards will be made subject to continued availability of funds and progress achieved. See the following for information on how

assistance is awarded/released: SAMHSA, Grants Management Office notifies grantees through a Notice of Award (NoA).

**Reports:**

Monthly program reports are required by the program officials. No cash reports are required. Quarterly progress report are required by the program officials. The SF-425 Federal Financial Report is required by SAMHSA, Grants Management Office 90 days after the end of each budget period. SAMHSA monitors the grant program through Government Performance and Result Act (GPRA Government Project Officer), conference calls, site visits, and monthly and quarterly reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year records retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$94,787,826; FY 11 est \$94,876,782; and FY 12 est \$94,899,763

**Range and Average of Financial Assistance:**

\$1,676,000 to \$3,352,000; \$3,159,594.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 30 awards were funded in FY 2010. Fiscal Year 2011: In FY 2011, it is estimated to fund 30 awards. Fiscal Year 2012: In FY 2012, it is estimated to fund 30 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cost Principles, 45 CFR Parts 74 and 92, the HHS Grant Policy Statement, OMB Cost Principles, Request for Application (RFA) and Terms and Conditions of Award.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: kathleen.sample@samhsa.hhs.gov Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.276 DRUG-FREE COMMUNITIES SUPPORT PROGRAM GRANTS**

(Drug-Free Community Grants)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Drug-Free Communities Act of 1997, Public Law 105-20; Reauthorized by Public Law 107-82.

**OBJECTIVES:**

To increase the capacity of community coalitions to reduce substance abuse, and over time, to reduce substance abuse among adults through strengthening collaboration among communities, public, and private entities. To disseminate state-of-the-art information on practices and initiatives that have proven to be effective in reducing substance abuse among youth.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Drug Free Communities Program (DFC) was created by the Drug Free Communities Act, 1997 (Public Law 105-20), reauthorized through the Drug Free Communities Reauthorization Act of 2001 (Public Law 107-82) and reauthorized again through the Office of national Drug Control Policy Reauthorization Act of 2006 (Public Law 109-469). The latest reauthorization extended the program for an additional five years until 2012.

**Applicant Eligibility:**

Community coalitions must demonstrate that the community coalition has worked together for a period of not less than 6 months on substance abuse reduction initiatives. The coalition must: meet the composition requirements; ensure that there is substantial community volunteer effort; ensure that the coalition is a nonprofit, charitable, educational organization, or unit of local government, or is affiliated with an eligible organization or entity; possess a strategy to be self-sustaining; provide a 100-150 percent cash or in-kind match; and agree to participate in an evaluation of the coalition's program.

**Beneficiary Eligibility:**

Community coalitions, children, youth, and adults, those at-risk of substance abuse, and private nonprofit, and public community agencies.

**Credentials/Documentation:**

Cost Principles that apply are A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Drug Free Community (DFC) is a collaborative initiative sponsored by Office of National Drug Control Policy (ONDCP) and Substance Abuse and Mental Health Services Administration (SAMHSA). Applications will be screened initially by ONDCP and SAMHSA to determine whether the applicant meets all the eligibility requirements. Applications submitted by eligible coalitions that meet all requirements will then be evaluated, scored, and rated by a peer review panel.

**Award Procedure:**

Upon approval by the Office of National Drug Control Policy and Substance Abuse and Mental Health Services Administration, a Notice of Award (NoA) signed by SAMHSA's Grants Management Officer is sent to the applicant agency. The NoA is the sole obligating document that allows the grantee to receive Federal funding for work on the grant project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 1 to 4 months.

**Appeals:**

None.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Drug-Free Communities Support Program grants awarded under the Drug-Free Communities Act do require a 100-150 percent cash or in-kind match depending on funding. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Under the Drug-Free Communities Act, awards will be made for one year. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Quarterly report SF272 requires by the Division of Payment Management. Under the Drug-Free Communities Support Grants biannual progress and annual financial reports are required. Expenditure reports are not applicable. classification tool survey is due each year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for 3 years.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$85,552,793; FY 11 est \$74,448,755; and FY 12 est \$65,001,265

**Range and Average of Financial Assistance:**

\$35,000 to \$125,000; \$109,053.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92; also the HHS Grant Policies.

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Simmons 1 Choke Cherry Road, 7-1091, Rockville, Maryland 20857  
Email: virginia.simmons@samhsa.hhs.gov Phone: 240-276-1422 Fax:  
240-276-1430

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged according to their consistency with the policies and program priorities established by the Drug-Free Communities Act. Specific criteria are applied that are related to the particular program areas under which projects are funded. The criteria are published in the Federal Register as part of the individual program announcements. Applications undergo a competitive peer review process as outlined in HHS.

**93.279 DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS  
FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 405, 464L, 464N, and 464P, 42 U.S.C. 241, 42 U.S.C. 284, 42 U.S.C. 295, 42 U.S.C. 2850-2, and 42 U.S.C. 2850-4; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To support biomedical, basic and clinical neuroscience, behavioral and social science, epidemiologic, health services and health disparity research to develop new knowledge and approaches related to the prevention, diagnosis, treatment, etiology, and consequences of drug abuse and addiction, including HIV/AIDS. To support research training and research scientist development. To support dissemination of research findings. Small Business Innovation Research (SBIR) program: to expand and improve the SBIR program. The legislation is intended to expand and improve the SBIR programs to emphasize and increase private sector commercialization of technology developed through Federal SBIR research and development; increase small business participation in Federal research and development; and foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in the SBIR program. The legislation intends that the Small Business Technology Transfer (STTR) program stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

(1) Research project grants provide support for clearly defined projects or a small group of related research activities, and when appropriate, support of research conferences; (2) program project and center grants support large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; (3) small grants support newer, less experienced investigators; investigators at institutions without a well developed research tradition and resources; the testing of new methods or techniques; small-scale exploratory and pilot studies, or exploration of an unusual research opportunity; small grants provide research support of up to \$50,000 direct costs per year for a period of up to 2 years; (4) research training grants including fellowships and institutional training grants, career development grants and loan repayment contracts; (5) SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of proposed research or research and development efforts to determine the quality of performance of the small business grantees. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercially viable products or processes. Only Phase I awardees are eligible to apply for Phase II support; STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application and the quality of performance of the small business concerns. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

**Applicant Eligibility:**

For research grants the following organizations/institutions are eligible to apply: Public/State Controlled Institutions of Higher Education; Private Institutions of Higher Education: Hispanic-serving Institutions, Historically Black Colleges and Universities (HBCUs), Tribally Controlled Colleges and Universities (TCCUs), and Alaska Native and Native Hawaiian Serving Institutions; Nonprofits with 501(c)(3) IRS Status (Other than Institutions of Higher Education); Nonprofits without 501(c)(3) IRS Status (Other than Institutions of Higher Education); Small Businesses; For-Profit Organizations (Other than Small Businesses); State Governments; Indian/Native American Tribal Governments (Federally Recognized); Indian/Native American Tribally Designated Organizations; County Governments; City or Township Governments; Special District Governments; Independent School Districts;

Public Housing Authorities/Indian Housing Authorities; and Other(s): Eligible Agencies of the Federal Government, Faith-based or Community-based Organizations, U.S. Territory or Possession, Indian/Native American Tribal Governments (Other than Federally Recognized), Regional Organizations, and Non-domestic (non-U.S.) Entities (Foreign Organizations). Eligible Individuals: Any individual, or individuals (multiple PDs/Pis), with the skills, knowledge, and resources necessary to carry out the proposed research as the PD/PI is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for NIH support. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research and/or development must be performed in the U.S. and its possessions. To be eligible, an SBIR grant application must be approved for scientific merit and program relevance by a scientific review group and by a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific and technical merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Public or private profit and nonprofit sponsored organizations and individuals, minority groups, small businesses, health professionals, students, trainees, scientists and general public.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The National Institutes of Health is using [www.grants.gov](http://www.grants.gov) to accept electronic submission of applications. Applications are also available from the NIH web site at [www.nih.gov](http://www.nih.gov). Information concerning NIDA and the types of research supported may be found at [www.drugabuse.gov](http://www.drugabuse.gov) or [www.nida.nih.gov](http://www.nida.nih.gov). Consultation on a proposed project may also be obtained from NIDA. Applications are reviewed by primarily nonfederal consultants recruited nationwide. The amount of the award and period of support are determined on the basis of scientific merit of the project as well as financial and programmatic consideration. SBIR and STTR Grant Solicitations and SBIR Contract Solicitations may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm>. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Phone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Grants with which the National Advisory Council on Drug Abuse has concurred with the recommendations of the Scientific Review Groups and approved by NIDA for payment are awarded directly by NIDA to the applicant institution. SBIR/STTR applications are evaluated for scientific and technical

merit by an appropriate scientific peer review panel and by the National Advisory Council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 240 to 270 days from submission of grant application. For AIDS applications the range will not exceed 180 days from cited receipt dates. SBIR/STTR applications: About 225 days.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/notice-files/not-od-11-064.html](http://www.nih.gov/grants/guide/notice-files/not-od-11-064.html) and [not-od-11-101.html](http://www.nih.gov/grants/guide/notice-files/not-od-11-101.html).

**Renewals:**

Support is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of a project period, the grantee may apply for additional support via competing continuation application unless otherwise restricted. Small and exploratory/developmental grants are limited to up to 2 years.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, but a project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis unless otherwise restricted. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Small grant support is limited to no more than 2 years. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. No cash reports are required. Interim progress reports annually as part of a non-competing application for previously recommended support. Annual financial status report within 90 days after termination of annual grant and immediate and full reporting of any inventions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-0893-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$38,314,000; FY 11 est \$38,314,000; and FY 12 est



\$38,697,000

**Range and Average of Financial Assistance:**

Range-\$44,280 to \$1,248,633; Average \$157,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 243 award were issued. Fiscal Year 2011: 243 awards are anticipated. Fiscal Year 2012: 244 awards are anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; Guidelines are included in applications kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1998. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR Part 52 and 42 CFR Part 52a; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Camilla L. Holland 6001 Executive Blvd., Rm. 4242, Bethesda, Maryland 20892 Email: chollan1@nida.nih.gov Phone: 3014351384

**Website Address:**

<http://www.nih.gov>; [www.drugabuse.gov](http://www.drugabuse.gov); <http://www.nida.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: (1) Epidemiology of drug abuse among minority populations; (2) Studies of AIDS among IV Drug Abusers; (3) Studies of Narcotic-Induced Respiratory Depression; (4) Endorphins: Metabolism, Release, and Tolerance; (5) Neurobiological and Behavior Mechanisms of Addictive and Compulsive Behavior; (6) Maternal/Paternal Effects of Drugs of Abuse; and (7) Effects of Drug Abuse on Adolescent and Development. Fiscal Year 2011: (1) Epidemiology of drug abuse among minority populations; (2) Studies of AIDS among IV Drug Abusers; (3) Studies of Narcotic-Induced Respiratory Depression; (4) Endorphins: Metabolism, Release, and Tolerance; (5) Neurobiological and Behavior Mechanisms of Addictive and Compulsive Behavior; (6) Maternal/Paternal Effects of Drugs of Abuse; and (7) Effects of Drug Abuse on Adolescent and Development. Fiscal Year 2012: (1) Epidemiology of drug abuse among minority populations; (2) Studies of AIDS among IV Drug Abusers; (3) Studies of Narcotic-Induced Respiratory Depression; (4) Endorphins: Metabolism, Release, and Tolerance; (5) Neurobiological and Behavior Mechanisms of Addictive and Compulsive Behavior; (6) Maternal/Paternal Effects of Drugs of Abuse; and (7) Effects of Drug Abuse on Adolescent and Development.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations will be used in determining projects to be funded: (1) Scientific and technical merit; (2) the feasibility of the research; (3) potential contribution to the national drug abuse problem; and (4) relevance to NIDA priorities. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technology.

**93.280 NATIONAL INSTITUTES OF HEALTH LOAN REPAYMENT**

**PROGRAM FOR CLINICAL RESEARCHERS**

(NIH LRP-CR)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-505, 42 U.S.C 288-5A.

**OBJECTIVES:**

To attract and retain health professionals to clinical research careers by offering educational loan repayment for participants who agree by written contract to engage in clinical research in a qualifying nonprofit institution for a minimum of 2 years.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged in clinical research. Your research must be supported by a domestic nonprofit foundation, university, professional association, or other nonprofit institution, or a U.S. government agency (federal, state, or local). A domestic foundation, professional association, or institution is considered to be nonprofit if exempt from federal tax under the provisions of Section 501 of the Internal Revenue Code (26 U.S.C. 501). NIH grants and university salaries are considered eligible funding. Your primary employment must be with a nonprofit institution. Any employment or income outside of the nonprofit institution must be separate from your research and cannot represent a significant amount of your total income.

Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Participants may apply for and the Secretary may grant extension contracts for one-year or two-year periods, as determined by the Secretary, if the individual continues to engage in qualifying research. Renewal applications are competitively reviewed and the submission of a renewal application does not assure the award of benefits. The maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold."

**Applicant Eligibility:**

(1) A U.S. citizen, U.S. national, or permanent resident of the United States; (2) Have a Ph.D., M.D., D.O., D.D.S., D.M.D., D.P.M., Pharm.D., D.C., N.D., or equivalent doctoral degree from an accredited institution; (3) Have total qualifying educational loan debt equal to or in excess of 20 percent of their institutional base salary on the date of program eligibility (the effective date that a loan repayment contract has been executed by the Secretary of Health and Human Services or designee); (4) Conduct qualifying research supported by a domestic nonprofit foundation, nonprofit professional association, or other nonprofit institution, or a U.S. or other government agency (State or local); (5) Engage in qualified clinical research. Clinical research is patient-oriented clinical research conducted with human subjects, or research on the causes and consequences of disease in human populations involving material of human origin (such as tissue specimens and cognitive phenomena) for which an investigator or colleague directly interacts with human subjects in an outpatient or inpatient setting to clarify a problem in human physiology, pathophysiology or disease, or epidemiologic or behavioral studies, outcomes research or health services research, or developing new technologies, therapeutic interventions, or clinical trials; (6) Engage in qualified clinical research for at least 50 percent of their time, i.e., not less than 20 hours per week based on a 40 hour week; (7) Agree to conduct research for which funding is not prohibited by Federal law, regulation, or HHS/NIH policy, and in accordance with applicable Federal, State and local law (e.g., applicable human subject protection regulations); and (8) Sign and submit to the Secretary of Health and Human Services, at the time of application submission, a contract agreeing to engage in clinical research in a qualifying institution for a minimum of 2 years. Full-time employees of Federal Government agencies are ineligible to apply for LRP benefits. Part-time

Federal employees who engage in qualifying research as part of their nonfederal duties for at least 20 hours per week based on a 40 hour week, and who are not compensated as a Federal employee for their research, are eligible to apply for loan repayment if they meet all other eligibility requirements.

**Beneficiary Eligibility:**

Health professionals who are interested in pursuing clinical research careers and who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants electronically transmit the following documents to the NIH: Applicant Information Statement, Biosketch, Personal Statement, Description of Research Activities, 3 Recommendations, Loan Information including current account statement(s) and promissory note(s) or disclosure statement(s), Assessment of Research Activities Statement (completed by the research supervisor), and Description of the Research Environment (completed by the research supervisor), Training or Mentoring Plan (completed by the research supervisor). Institutional Contacts electronically transmit a certification that: (a) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment Program Contract is executed; (b) assures that the applicant is or will be engaged in qualifying research for 50 percent of their time (or not less than 20 hours per week based on a 40 hour week); (c) certifies that the institution is nonprofit (exempt from tax under 26 USC 501), and (d) provides the applicant's institutional base salary. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must access and submit the Loan Repayment Program application via the website [www.lrp.nih.gov](http://www.lrp.nih.gov). Applications submitted to the NIH Division of Loan Repayment are first examined to determine if the basic eligibility requirements are satisfied. If these requirements are met, the application is forwarded to the NIH Center for Scientific Review for a determination regarding which NIH Institute or Center the application will be assigned to for review, scoring, and ranking.

**Award Procedure:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Loan Repayment Program for Clinical Researchers. When an Institute or Center approves an application, the NIH Office of Loan Repayment notifies individuals of their award amount, provides a repayment schedule that covers the period of participation, and a Loan Repayment Program Contract is executed by an authorized representative of the Secretary, DHHS. If the approved research assignment changes, or if the employing research institution changes, the participant must have their continued eligibility re-certified by the Institute or Center which approved their application. Contact the NIH via e-mail at [LRP@NIH.GOV](mailto:LRP@NIH.GOV) for further guidance.

**Deadlines:**

Nov 15, 2011: At 8:00 p.m. EST. Review the Loan Repayment Program website [www.lrp.nih.gov](http://www.lrp.nih.gov), or contact the Headquarters Office listed below for the application deadlines.

**Range of Approval/Disapproval Time:**

The approximate time for approval/disapproval is 6 months from the closing date of the annual application period.

**Appeals:**

Not Applicable.

**Renewals:**

At the conclusion of the initial 2-year contract, participants may apply and be considered for subsequent 1 or 2-year continuation contracts under the application and approval procedures specified above. Eligible renewal applications that score within the funding range receive continuation contracts.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One or 2-year continuation contracts are available. Payments will be made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. See the following for information on how assistance is awarded/released: check with the program office.

**Reports:**

Program participants must be periodically certified by their research supervisor to have been engaged in the qualifying research project for a minimum 50 percent effort (not less than 20 hours per week based on a 40 hour week) during the service period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

**Account Identification:**

75-4554-0-1-552.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$45,000,000; FY 11 est \$45,000,000; and FY 12 est \$45,000,000

**Range and Average of Financial Assistance:**

For initial two-year contract periods, loan repayments awards may range from \$2,298 to \$70,000; Tax reimbursements range from \$896 to \$27,300. The average cost which includes loan and tax reimbursement is \$42,457.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 934. Fiscal Year 2011: NIH projects that 932 awards will be made in fiscal year 2011. Fiscal Year 2012: NIH projects that 900 awards will be made in fiscal year 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-505, 42 USC 288-5a. The NIH LRP-CR was initially announced by publication of a Notice in the Federal Register (Vol. 66, No. 173), and updated in Federal Register (Vol. 68, No. 61).

**Regional or Local Office:**

None.

**Headquarters Office:**

Stephen J. Boehlert 6011 Executive Blvd., Suite 206, Bethesda, Maryland 20892 Email: [boehlers@od.nih.gov](mailto:boehlers@od.nih.gov) Phone: (301) 451-4465.

**Website Address:**

[www.lrp.nih.gov](http://www.lrp.nih.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.281 MENTAL HEALTH RESEARCH CAREER/SCIENTIST DEVELOPMENT AWARDS**

(Research Career/Scientist Development )

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 301, 42 U.S.C 241.

**OBJECTIVES:**

To provide support for research career development relating to causes, risk, diagnosis, genetics, development, epidemiology, prevention, treatment, and services use for mental illness, behavioral disorders, and HIV/AIDS; and relating to basic neuroscience and basic behavioral science research addressing basic and clinical research pertinent to mental disorders; in order to increase the number of individuals who are competing to advance research supported by the National Institute of Mental Health support, including women, individuals from underrepresented racial and ethnic minority groups, individuals with disabilities and individuals from disadvantaged backgrounds.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Mentored Research Scientist Development Award (K01, MRSDA), Mentored Clinical Scientist Development Award (K08, MCSDA), and Mentored Quantitative Research Career Development Award (K25) provide support for individuals with research potential who need additional mentored development and/or experience in a productive research environment. Awards are available for up to 5 years of salary support (up to \$90,000 per year) for the individual candidate, fringe benefits, and 8 percent F&A costs. Specialized training costs and limited research costs are allowable under justified circumstances. Mentored Patient-Oriented Research Career Development Award (K23) supports the career development of individuals who have made commitment to focus their research endeavors on patient-oriented research. Awards are available for three to five years up to \$90,000 per year to help offset the full time salary requirement of the candidate. The NIH Pathway to Independence (PI) Award (K99/R00) provides up to 2 years of mentored support (K99) for a postdoctoral individual followed by up to 3 years of support after the awardee transitions to research independence (R00). K99/R00 awards are awards for up to 5 years of support. During the K99 phase, awards typically provide up to \$50,000 per year for the salary of the individual candidate as well as fringe benefits, and 8 percent F&A costs. Specialized training costs and limited research costs are allowable under justified circumstances. Salary support for all mentored awards may be supplemented by the sponsoring institution from nonfederal funds. The Independent Scientist Award (K02, ISA) is for independent scientists whose careers are developing rapidly; the Mid-career Investigator Award in Patient-Oriented Research (K24) is for outstanding clinical scientists engaged in patient-oriented research. No specialized training costs are available; limited research costs for K24s and K02s in theoretical areas are available.

**Applicant Eligibility:**

All awards in these series are made to appropriate domestic research centers, medical schools, departments of psychiatry, non-medical academic departments, psychiatric hospitals or hospitals with psychiatric services, community mental health centers, and biomedical research institutes on behalf of individuals who need the opportunity to realize research potential. Except for the NIH Pathway to Independence (PI) Award (K99/R00), the individuals must be citizens or nationals of the United States or have been lawfully admitted for permanent residence. The NIH Pathway to Independence (PI) Award (K99/R00) is open to both U.S. citizens and non-U.S. citizens. Individuals must qualify by scholastic degree and previous training and/or experience.

**Beneficiary Eligibility:**

Public and private profit or nonprofit organizations will benefit.

**Credentials/Documentation:**

For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applications must be prepared and submitted electronically using the SF 424 (Research & Related). Information about the SF 424 form may be found on <http://grants.nih.gov/grants/funding/424/index.htm>, but application packages should be accessed through the appropriate funding opportunity announcement, found either on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>) or through the Grants.gov website (<http://www.grants.gov/>). For further assistance, contact GrantsInfo, Telephone (301) 435-0714, Email: [grantsInfo@nih.gov](mailto:grantsInfo@nih.gov). Information and instructions may be obtained from the program officials at the National Institute of Mental Health. Applications are reviewed by nonfederal consultants and recommended for support on the basis of merit. This program is subject to the provisions of OMB Circular No. A-21 for educational organizations and 45 CFR, Part 52.

**Award Procedure:**

All "K" Series awards are recommended for approval by the National Advisory Mental Health Council and those approved are awarded directly by NIMH to the applicant institution.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 240 to 270 days from submission of the application. Review of AIDS-related applications is expedited.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeals procedure is available on the NIH home page at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

K01, K08, K23, K25 awards are made for up to 5-year periods with no renewal. K02 and K24 awards are made for a 5-year period, renewable once (unless holder has held a previous K02 or K24 award). K99 awards are made for up to 2-year periods with no renewal.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, with a project periods ranging from 1 to 5 years. Funding commitments are made annually. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the application organization.

**Reports:**

No program reports are required. No cash reports are required. Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing application for previously recommended support; (2) terminal progress report within 90 days after end of project support; (3) annual financial status report within 90 days after termination of annual grant for some programs. In addition, immediate and full reporting of any inventions is required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. Per the regulations, a for-profit (commercial) organization is subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant. For-profit organizations have two options regarding the type of

audit that will satisfy the audit requirements either: 1. a financial related audit (as defined in the Government Auditing Standards, GPO Stock #020-000-00-265-4, <http://www.gao.gov/govaud/ybk01.htm>) of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements contained in OMB Circular No. A-133(<http://www.whitehouse.gov/OMB/circulars/a133/a133.html>).

**Records:**

Records must be retained at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-0892-0-1-552.

**Obligations:**

(Salaries) FY 10 \$62,282,000; FY 11 est \$60,833,000; and FY 12 est \$60,833,000

**Range and Average of Financial Assistance:**

\$13,045 to \$195,083; \$153,790.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY10, 396 grants were awarded. Fiscal Year 2011: In FY11, an estimated 385 grants will be awarded. Fiscal Year 2012: In FY12, an estimated 385 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52. NIH Grants Policy Statement (Revised 12/2003).

**Regional or Local Office:**

None.

**Headquarters Office:**

Tracy Waldeck Division of Extramural Activities  
National Institute of Mental Health  
6001 Executive Blvd  
Room 6105, Bethesda, Maryland 20892 Email: [waldeckt@mail.nih.gov](mailto:waldeckt@mail.nih.gov) Phone:  
(301) 443-5047 Fax: (301) 443-9474

**Website Address:**

<http://www.nimh.nih.gov>

**RELATED PROGRAMS:**

93.242 Mental Health Research Grants; 93.282 Mental Health National Research Service Awards for Research Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Fiscal Year 2010: See NIH RePORTer tool to examine funded research grants (<http://projectreporter.nih.gov/reporter.cfm> and/or <http://report.nih.gov/rcdc/categories/>). Fiscal Year 2011: Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: Fiscal Year 2011: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations are used in determining projects to be funded: (1) priority score and recommendation of the Initial Review Committee; (2) program priorities of the Institute; and (3) the availability of funds.

**93.282 MENTAL HEALTH NATIONAL RESEARCH SERVICE AWARDS FOR RESEARCH TRAINING**

(NRSA Program)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 487, 42 U.S.C 288.

**OBJECTIVES:**

To ensure a continuing and adequate supply of well-trained scientists who are able to conduct research on mental health problems. The program provides training grants to institutions and fellowships to individuals at both the predoctoral and postdoctoral levels. There are awards to medical students proposing to acquire doctoral research degrees in addition to their medical degrees. Awards are made for training in the areas of basic and clinical neuroscience, genetics, developmental, behavioral, clinical, epidemiological,

prevention, treatment and services research relevant to mental illnesses, behavioral disorders, and HIV/AIDS. These programs encourage training individuals in mental health research who are from underrepresented racial and ethnic groups, individuals with disabilities, or individuals disadvantaged because of educational or other circumstances that have inhibited their ability to pursue such a career.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Individual fellowships are made to students seeking predoctoral or postdoctoral support for full-time research training or who are enrolled in a formal M.D./Ph.D. program. An institutional allowance will be provided to the sponsoring institution for each awardee. In addition, any domestic public or nonprofit institution may apply for an institutional research training grant in a specified area of research from which a number of stipend awards will be made to individuals selected by the training program director at the institution. Support is available for both predoctoral and postdoctoral trainees and will include an amount for institutional expenses. Indirect costs may be requested at 8 percent of total direct costs, exclusive of tuition and related fees and expenditures for equipment, or actual indirect costs, whichever is less. Postdoctoral students receiving fellowships or stipend support under either individual or institutional grants for 12 months or less are obligated to pay back this support through an equivalent period of continued postdoctoral training or a period of health related research and/or teaching activities after the completion of their training. Postdoctoral individuals in their thirteenth and subsequent months of support will incur no further obligation, and such support will be considered acceptable postdoctoral payback service. Research training support may not be used for internships or other clinical training.

**Applicant Eligibility:**

For a training grant, an institution must be a domestic public or nonprofit private organization. The applicant institution must have, or be able to develop, the staff and facilities to provide the proposed research training in an environment suitable for performing high-quality research. An applicant for individual predoctoral fellowship support must be enrolled in a research doctoral degree program by the proposed activation date of the fellowship. A postdoctoral applicant must have received a Ph.D., Psy.D., M.D., D.D.S., Sc.D., D.N.S., D.O., D.S.W., or equivalent degree from an accredited institution to be eligible for an individual postdoctoral fellowship. An applicant for an M.D./Ph.D. individual fellowship must be enrolled in an M.D./Ph.D. program at an approved medical school, accepted in a related scientific program, and supervised by a mentor in the related scientific field. All individuals to be supported under the NRSA program must be citizens or noncitizen nationals of the United States, or have been lawfully admitted to the United States for permanent residence.

**Beneficiary Eligibility:**

Individuals and nonprofit organizations will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q, and 42 CFR Part 66. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must be prepared and submitted electronically using the SF 424 (Research & Related). Information about the SF 424 form may be found on <http://grants.nih.gov/grants/funding/424/index.htm>, but application packages should be accessed through the appropriate funding opportunity announcement, found either on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>) or through the Grants.gov website (<http://www.grants.gov/>). For further assistance contact GrantsInfo,

Telephone (301) 435-0714, Email: GrantsInfo@nih.gov. Information concerning current areas of science being supported is available from the National Institute of Mental Health (NIMH). Completed paper forms should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Room 1040, MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications are reviewed for scientific merit by nonfederal consultants recruited nationwide from the mental health field. Applications other than fellowships must also be reviewed by the National Advisory Mental Health Council. If an institutional training grant is recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant institution. If an individual fellowship is recommended for approval and a decision to make an award is made, a formal award notice will be sent to the designated sponsoring institution business official. Postdoctoral students to be supported must submit required appointment forms, including a payback agreement and a Statement of Non-Delinquency on Federal Debt Certification. Predoctoral trainees whose appointments began after June 10, 1993, no longer incur a payback obligation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 5 to 7 months. Review of AIDS-related applications is expedited.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

By law an individual may receive no more than 6 years of support in the aggregate at the predoctoral level and no more than 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). Any exception to these limitations requires a waiver from the Director of the awarding Institute based on review of justification from the awardee and the program director for the institutional grant.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

By law an individual may receive no more than 6 years of support in the aggregate at the predoctoral level and no more than 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). For an M.D./Ph.D. fellowship, 6 years may be requested. In practice, recommendations of review committees are generally for 2 or 3 years. Awards for institutional grants may be made for project periods of up to 5 years. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the application organization.

**Reports:**

No program reports are required. No cash reports are required. Annual progress reports are required. Annual reports of activities for tracking payback provisions are required from postdoctoral fellows and trainees upon termination of support. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-0892-0-1-552.

**Obligations:**

(Salaries) FY 10 \$43,296,000; FY 11 est \$42,407,000; and FY 12 est \$42,407,000

**Range and Average of Financial Assistance:**

Predocotrual stipends: \$21,600. Postdoctoral stipends: \$38,496 to \$53,112; \$37,571.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY10, 305 individual and 128 institutional grants were awarded. Fiscal Year 2011: In FY11, an estimated 262 individual and 123 institutional grants will be awarded. Fiscal Year 2012: In FY12, an estimated 262 individual and 123 institutional grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 66. NIH Grants Policy Statement (Revised 12/2003).

**Regional or Local Office:**

None.

**Headquarters Office:**

Tracy Waldeck Division of Extramural Activities  
National Institute of Mental Health  
6001 Executive Blvd  
Room 6105, Bethesda, Maryland 20892 Email: waldeckt@mail.nih.gov Phone: 301-443-5047 Fax: 301-443-9474

**Website Address:**

<http://www.nimh.nih.gov>

**RELATED PROGRAMS:**

93.242 Mental Health Research Grants; 93.281 Mental Health Research Career/Scientist Development Awards

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Fiscal Year 2010: See NIH RePORTer tool to examine funded research grants (<http://projectreporter.nih.gov/reporter.cfm> and/or <http://report.nih.gov/rcdc/categories/>). Fiscal Year 2011: Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations will be used in determining projects to be funded. For Training Grants: (1) quality of the proposed training program as determined by peer review; (2) availability of funds; and (3) program priority. For Fellowships: (1) overall merit of the application; (2) relevance of the application to the research priorities and mission of the institute and programs; and (3) availability of funds.

**93.283 CENTERS FOR DISEASE CONTROL AND PREVENTION INVESTIGATIONS AND TECHNICAL ASSISTANCE CDC Investigations, Technical Assistance and Affordable Care Act Projects FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Section 243, 247b(k)(2).

**OBJECTIVES:**

To assist State and local health authorities and other health related organizations in controlling communicable diseases, chronic diseases and disorders, and other preventable health conditions. Investigations and evaluation of all methods of controlling or preventing disease and disability are carried out by providing epidemic aid, surveillance, technical assistance, consultation, and program support; and by providing leadership and coordination of joint national, State, and local efforts. STEPS- To enable communities to reduce the burden of chronic disease, including: preventing diabetes among populations with pre-diabetes; increasing the likelihood that persons with undiagnosed diabetes are diagnosed; reducing complications of diabetes; preventing overweight and obesity; reducing complications of asthma. STEPS will achieve these outcomes by improving nutrition; increasing physical activity; preventing tobacco use and exposure, targeting adults who are diabetic or who live with persons with asthma; increasing tobacco cessation, targeting adults who are diabetic or who live with persons with asthma; increasing use of appropriate health care services; improving the quality of care; and increasing effective self-management of chronic diseases and associated risk factors. REACH - REACH U.S. supports community coalitions that design, implement, evaluate, and disseminate community-driven strategies to eliminate health disparities Racial and ethnic groups targeted include: African American/Black, American Indian/Alaska Native, Asian, Native Hawaiian/Other Pacific Islander, and Hispanic/Latino. Health priority areas include: breast and cervical cancer; cardiovascular disease; diabetes mellitus; adult/older adult immunization, hepatitis B, and/or tuberculosis; asthma; and infant mortality. ACA funding: Policy Education --To ensure public policy leaders have the tools and knowledge to support improvements in the public health infrastructure so that the public health system is prepared to respond to both acute and chronic threats relating to the Nation's health.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To strengthen State and local disease prevention and control programs, such as tuberculosis, childhood immunization, and sexually-transmitted diseases. To support national and local programs to combat disability related to epilepsy through education, partnership development, and enhanced communication. Services and program support: Epidemic aid; technical assistance (field studies and investigations of ongoing disease problems; occupational safety and health); consultation; dissemination of technical information; and provision of specialized services and assistance, including responses to public health emergencies. Training: Training State and local health professionals in broad areas of epidemiology, disability, and research programs such as hospital infections, hepatitis, vector-borne diseases, food-borne diseases, epilepsy, and tuberculosis, at the State or other health related organization's request.) To support capacity building, program planning, development, implementation, evaluation, and surveillance for current and emerging chronic disease conditions related to tobacco use. To achieve four Program Goals through community interventions and mobilization; counter-marketing; policy development and implementation, and surveillance and evaluation. Goals include preventing initiation to tobacco use among young people; eliminate exposure to second hand smoke; promote cessation among adults and young people who use tobacco; and identify and eliminate tobacco-related disparities among specific population groups. Lead regional efforts to prevent and reduce the use of tobacco and exposure to secondhand smoke. Conduct evaluations and implementation of culturally relevant and community competent tobacco control and prevention strategies and continue regional capacity building efforts. To address goal four of the National Tobacco Control Program (Identify and Eliminate Tobacco-Related Disparities). To eliminate health disparities among segments of the population, including differences that occur by gender, race or ethnicity, education, income, disability, geographic location, or sexual orientation. Establish a National Network consortium among six priority populations to coordinate and evaluate tobacco control and prevention initiatives through a broad national strategy to prevent and reduce tobacco use and exposure to second hand smoke and to eliminate tobacco-related disparities among priority populations. To provide funding to establish and/or enhance state-based telephone quitlines to provide tobacco cessation telephone counseling to the public at large. To fund projects that address the promotion of cessation among adults and young people who use tobacco (quitlines.) Address

at the National level the promotion of cessation among adults and young people who use tobacco (quitlines). To build state arthritis programs that exponentially expand access and use of evidence-based interventions by embedding intervention programs into existing systems, conducting surveillance and data analysis to inform decision making, and developing state-level intervention, policy, and communication focused partnerships that further program goals. To strengthen state oral health programs and public health core capacity and to reduce inequalities in the oral health of targeted populations. To improve state public health programs, including support for program leadership and staff, to monitor oral health risk factors, and for developing and evaluating prevention programs. To support evidenced- based interventions to prevent oral disease, including community water fluoridation and school-based dental sealant programs. To identify and disseminate information on best practices for state and community oral health programs. To assess state programs and provide recommendations to address gaps and weaknesses. To collaborate in development of the National Oral Health Surveillance System and to cosponsor the annual National Oral Health Conference. To develop initiatives related to oral disease prevention and chronic disease and health promotion capacity. To improve and strengthen state oral health infrastructure by providing technical assistance to state health agencies and coalitions, developing and implementing a plan to advance the Surgeon General's National Call to Action to Promote Oral Health. To coordinate the dissemination of comprehensive oral disease prevention information and health promotion programmatic expertise among state and local agencies and public and private sector organizations in the United States. To develop and promote policies to address oral disease prevention for high-risk adults. To identify modifiable barriers to optimal care across diverse managed care settings. To promote public awareness and partnership, provide interstitial cystitis (IC) education for the general public and for health care providers, and develop and enhance communication channels to allow for improved interaction and information sharing among those with IC, advocates for persons with IC and their families, those who provide care and services for persons with IC, researchers and public health scientists. To promote public awareness and partnerships, assess the impact and burden of cognitive impairment within states and nationally, describe the characteristics of expanded data on caregivers and care from a public health perspective, provide Alzheimers disease and cognitive health education for the general public and health professionals, and develop and enhance communication channels to allow for improved interaction and information sharing about cognitive impairment and Alzheimers disease.

ACA funding: Conduct policy education aimed at strengthening public health infrastructure and performance including: 1) training/education about health reform as it relates to improvement of public health infrastructure investments; 2) networking between jurisdictions to ensure peer support and intra-jurisdictional learning about the role of public health in health reform; and 3) technical assistance in policy development that supports public health goals.

**Applicant Eligibility:**

States, political subdivisions of States, local health authorities, Federally recognized or state recognized American Indian/Alaska Native tribal governments and organizations with specialized health interests may apply. Colleges, universities, private nonprofit and public nonprofit domestic organizations, research institutions, faith-based organizations, and managed care organizations for some specific programs such as Diabetes.

**Beneficiary Eligibility:**

States, political subdivisions of States, local health authorities, and individuals or organizations with specialized health interests will benefit. Colleges, universities, private non-profit and public nonprofit domestic organizations, research institutions, faith-based organizations, and managed care organizations for some specific programs such as Diabetes.

**Credentials/Documentation:**

For other grantees, costs will be determined by HHS regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should

consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). To apply for research funding opportunities, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. State and local governments may use Form 5161. An original and two copies must be submitted. This program is subject to the provisions of 45 CFR Parts 74 or 92, as appropriate.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public, initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. However, applicants are encouraged to call CDC for programmatic technical assistance prior to the development and submission of their assistance application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. About 120 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

If additional support is desired to continue a research project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application. Projects are renewable for periods of 1 to 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from 1 to 5 years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Financial status and progress reports are required annually. Upon completion of the project, final financial status and performance reports are required. Interim reporting requirements may be delineated in the FOA. Cash reports are not applicable. Progress reports are required annually. Interim reporting requirements may be delineated in the FOA. Financial status reports are required annually. Upon completion of the project, final financial status reports are required. Progress reports are required annually. Upon completion of the project, performance reports are required. Interim reporting requirements may be delineated in the FOA.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal

government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 Not Separately Identifiable; FY 11 est \$0; and FY 12 est \$0 - Please see fiscal information for years 2010, and 2011 for Racial and Ethnic Approaches to Community Health Cooperative Agreement:

FY2010

DP07-707 - 24,203,000

DP09-905 - 1,499,589

DP10-1014 - 2,077,050

FY2011

DP07-707 - 9,697,132 (additional funding received from PHPF)

DP09-905 - 750,000

DP10-1014 - 2,055,760

FY2012 - 0 (President's Budget)

Please see fiscal information for years 2009, 2010, and 2011 for the Division of Oral Health for agreements 08-802, 816, 908, 1012 and 10-1012.

FY09

08-802: \$5,071,300

816: \$437,500

908: \$300,00

FY10

08-802: \$5,070,305

816: \$420,000

908: \$376,998

10-1012: \$880,342

FY 11 (Level Funding)

08-802: \$5,071,300

816: \$420,000

908: \$370,000

10-1012: \$880,342

FY10 est \$500,000; FY est not reported - PPACA Prevention and Public Health Fund (Title IV, Section 40002). (Salaries) FY 10 Not Available; FY 11 est \$0; and FY 12 est \$0. (Salaries) FY 10 Not Available; FY 11 est \$0; and FY 12 est \$0 - PPACA Prevention and Public Health Fund (Title IV, Section 4002).

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published in the application kit and identified on the notices of award. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elijah West, 1600 Clifton Rd, Atlanta, Georgia 30333 Phone: (770) 488-5549.

**Website Address:**

<http://www.cdc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed on the basis of scientific/technical merit, with attention given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as depth, breadth, and scientific merit of the overall application relative to the types of research and demonstration projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed prevention research projects and demonstration projects, and the nation's health priorities and needs; (3) ability to generalize, translate and disseminate to State or local health departments, boards of education and other appropriate national, regional, and local public health agencies and organizations; (4) reasonableness of the proposed budget in relation to the work proposed.

**93.284 INJURY PREVENTION PROGRAM FOR AMERICAN INDIANS AND ALASKAN NATIVES\_COOPERATIVE AGREEMENTS**

Injury Prevention Program for American Indians and Alaskan Natives\_Cooperative Agreements

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301a.

**OBJECTIVES:**

To improve the quality of the health of American Indians and Alaska Natives by developing the capacity of tribes to address their injury problems.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The assistance is used for three types of injury prevention related projects: (1) Part I Basic: Build or enhance local injury prevention capacity; and (2) Part II Intervention: Implement a proven or promising injury prevention intervention. This assistance is available to federally-recognized Indian tribes, tribal organizations, and urban Indian organizations. All IHS funds are discretionary funds.

**Applicant Eligibility:**

Federally-recognized tribes, tribal organizations, non-profit organizations serving primarily American Indians and Alaska Natives, and urban Indian organizations may apply.

**Beneficiary Eligibility:**

Individuals who are members of an eligible applicant tribe, band, or group or village and who may be regarded as within the scope of the Indian health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as tribal membership, enrollment, residence on tax exempt land, ownership or restricted property, active participation in tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

**Credentials/Documentation:**

Certification of American Indian or Alaska descent is required for direct services. Provisions of cooperative agreement require tribal endorsement in the form of Resolution to sanction tribal participation. Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Indian tribal governments (and Circular No. A-122 for Nonprofit Organizations) implemented through applicable grant administration regulations 45 CFR, 92 (45 CFR, 74 for nonprofit organizations). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard application forms, as furnished by IHS and required by 45 CFR, 92, for State and local governments and 45 CFR, 74, for nonprofit organizations, must be used for this program. Injury Prevention Programs are processed and administered by IHS Headquarters. This program is subject to the provisions of 45 CFR 92 for Indian tribes and Part 74 for Nonprofit organizations.

**Award Procedure:**

Cooperative agreements are awarded on a competitive basis with processing and final approved by Indian Health Service Headquarters.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, program office.

**Appeals:**

Cooperative agreement appeals will follow PHS appeals procedures: 42 CFR, Part 50 Subpart D and DHHS appeals procedures: 45 CFR, Part 16.

**Renewals:**

Renewal of multi-year cooperative agreements is on a year-to-year basis and requires the submission of continuation applications.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

IHS Grants are usually 3 to 5 years for a project period. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, that are pertinent to the HHS grant in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, 92.42, grantees are required to maintain grant records 3 years after they submit their final expenditures report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**



75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,400,000; FY 11 est \$1,400,000; and FY 12 est \$1,400,000

**Range and Average of Financial Assistance:**

Injury Prevention: Part I Basic Core Capacity Injury Prevention up to \$75,000; Part II Injury Intervention up to \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74, HHS Grants Policy Statement dated 1/07, ; Program Guidelines for Competitive Projects.

**Regional or Local Office:**

None. See Appendix IV of the Catalog for Indian Health Service Area Offices.

Injury Prevention Program Contact: Ms. Nancy Bill, Injury Prevention Program Manager, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-1054.

For Grants Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The apparent capability of the applicant to organize and manage the proposed project successfully considering the adequacy of staff, management systems, equipment and facilities; (2) the soundness of the applicant's plan for conducting the project and for assuring effective utilization of grant funds; (3) the adequacy of the budget in relation to the scope of the project and available funds; and (4) the relative effectiveness of the applicant's plan to carry out each of the requirements as set forth in the application.

**93.286 DISCOVERY AND APPLIED RESEARCH FOR TECHNOLOGICAL INNOVATIONS TO IMPROVE HUMAN HEALTH FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 401(b)(1) &467z.

**OBJECTIVES:**

To support hypothesis, design, technology, or device-driven research relation to the discovery, design, development, validation, and application of technologies related to biomedical imaging and bioengineering. The program includes biomaterials (biomimetics, bioprocessing, organogenesis, rehabilitation, tissue engineering, implant science, material science, interface science, physics and stress engineering, technology assessment of materials/devices), biosensors/biotransducers (technology development, technology assessment, development of algorithms, telemetry), nanotechnology (nanoscience, biomimetics, drug delivery systems, drug bioavailability, microarray/combinatorial technology, genetic engineering, computer science, technology assessment), bioinformatics (computer science, information science, mathematics, biomechanics, computational modeling and simulation, remote diagnosis and therapy), imaging device development, biomedical imaging technology development, image exploitation, contrast agents, informatics and

computer sciences related to imaging, molecular and cellular imaging, bioelectrics/biomagnetics, organ and whole body imaging, screening for diseases and disorders, and imaging technology assessment and surgery (technique development and technology development).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research Grant funds may be used for salaries, consultation, equipment, travel and other usual costs, subject to Federal regulations applicable to the grant. Individual National Research Service Awards (NRSAs) are made directly to individuals for research training in specified areas related to the mission of NIBIB. Institutional NRSAs may be made to institutions to enable them to accept individuals for research training. Each individual who receives a NRSA postdoctoral fellowship or traineeship is obligated upon termination of the award to comply with certain service and payback provisions. Small Business Innovation Research (SBIR) Phase I grants are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Only Phase I awardees are eligible to apply for Phase II support. Small Business Technology Transfer (STTR) Phase I grants are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

**Applicant Eligibility:**

Any corporation, public or private institution or agency, or other legal entity, either nonprofit or for-profit, may apply for a research grant. An applicant for an individual NRSA must be a citizen of the United States or lawfully admitted for permanent residence. Those on temporary or student visas are not eligible. An eligible institution for an institutional NRSA must be capable of providing predoctoral and/or postdoctoral research training opportunities for engineers, bioengineers or other. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit; are not dominant in the field in which research is being proposed; and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the United States or its possessions. To be eligible for funding, a grant application must be reviewed for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Credentials/Documentation: Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. For an individual NRSA, the applicant's academic record, research experience, citizenship, and institutional sponsorship should be documented in the application. For an institutional NRSA, the applicant organization must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and detailed budget justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-21, Cost Principles for Educational Institutions and OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For

other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Use of SF424 (R&R) Adobe Version B series or PHS 398 (Rev. 11/2007), and associated forms are required for all applications submitted to the NIH. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application Form PHS 398 (Rev. 11/2007) is the standard form. Application kits are available on-line at <http://grants1.nih.gov/grants/oer.htm>. Completed applications should be submitted via Grants.gov (<http://www.grants.gov>) or to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. The standard application forms, as furnished by PHS and required by 45 CFR Part 92 for State and local governments, must be used for this program. The same application form will be used for all types of applications including training (NRSA), both individual and institutional, and SBIR/STTR. The training (NRSA) program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. SBIR and STTR grant applications should be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) SBIR/STTR Application Guide.

**Award Procedure:**

All applications for research or training are reviewed for scientific merit by an appropriate initial review group and then by a national advisory council. All applications favorably recommended compete for available funds on the basis of scientific merit and program emphasis. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Feb 01, 2009 Research Grants: February 1, June 1, and October 1. Renewals: March 1, July 1, and November 1. Individual NRSA's: April 5, August 5, and December 5. Institutional NRSA's: January 10, May 10 and September 10. SBIR or STTR: April 1, August 1, and December 1.

**Range of Approval/Disapproval Time:**

> 180 Days. Research Grants: From 6 to 9 months. NRSA's: From 6 to 9 months. SBIR/STTR: About 7.5 months.

**Appeals:**

From 30 to 60 days. A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

> 180 Days. Research Grant applications submitted for renewal are reviewed and selected for funding on a competitive basis. NRSA awards may be made for 1 to 5 years. No individual may receive more than 5 years of aggregate NRSA support beyond the predoctoral level, and no individual may receive NRSA support for more than 3 years of support beyond the postdoctoral level. Institutional awards may be renewed.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Research Grant awards are usually made annually with no project periods to exceed 5 years in length. NRSA Institutional awards may be made for up to 5 years, and Individual awards may be made for up to 5 years at the predoctoral level, 3 years at postdoctoral level, and 2 years at senior level. Normally SBIR and STTR Phase I awards are for 6 months and Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Normally, awards are released each fiscal year.

**Reports:**

No program reports are required. Cash reports are not applicable. Annual Progress Reports are required. Instructions are found: <http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-09-139.html>. Annual financial status reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0898-0-1-552.

**Obligations:**

(Salaries) FY 10 \$316,028,000; FY 11 est \$281,069,000; and FY 12 est \$322,106,000

**Range and Average of Financial Assistance:**

FY 10, Range: \$3000 - \$12498556 Avg.: \$381978; FY 11 est. Range: \$3,000 - \$2397199; Avg.: \$397314; FY 12 est. Range: \$3,000 - \$2378289; Avg.: \$408570.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY 10 No. of Awards made: 719. Fiscal Year 2011: FY 11 est. No. of Awards will be: 668. Fiscal Year 2012: FY 12 est. of No. of Awards will be: 671.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Program Contact: William Heetderks, MD, PhD, National Institute of Biomedical Imaging and Bioengineering, National Institutes of Health, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone Number: (301) 496-9388. Facsimile: (301) 480-4973. Business Contact: Joe Mossiman, National Institute of Biomedical Imaging and Bioengineering, National Institutes of Health, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone Number: (301) 451-4247. Facsimile: (301) 480-4530. Use the same numbers for FTS.

**Headquarters Office:**

Valery Gordon, Office of Extramural Policy National Institute of Biomedical Imaging and Bioengineering, 6707 Democracy Blvd. Suite 200, MSC-5477, Bethesda, Maryland 20892-5477 Email: [gordonv@mail.nih.gov](mailto:gordonv@mail.nih.gov) Phone: (301) 451-0161 Fax: (301) 480-4973.

**Website Address:**

<http://www.nibib.nih.gov> .

**RELATED PROGRAMS:**

93.113 Environmental Health; 93.121 Oral Diseases and Disorders Research; 93.172 Human Genome Research; 93.173 Research Related to Deafness and Communication Disorders; 93.242 Mental Health Research Grants; 93.273 Alcohol Research Programs; 93.279 Drug Abuse and Addiction Research Programs; 93.361 Nursing Research; 93.394 Cancer Detection and Diagnosis Research; 93.395 Cancer Treatment Research; 93.396 Cancer Biology Research; 93.837 Cardiovascular Diseases Research; 93.838 Lung Diseases Research; 93.839 Blood Diseases and Resources Research; 93.846 Arthritis, Musculoskeletal and Skin Diseases Research; 93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research; 93.853 Extramural Research Programs in the Neurosciences and Neurological Disorders; 93.855 Allergy, Immunology and Transplantation Research; 93.856 Microbiology and Infectious Diseases Research; 93.859 Biomedical Research and Research Training; 93.865 Child Health and Human Development Extramural Research; 93.866 Aging Research; 93.867 Vision Research; 93.879 Medical Library Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) Significance: Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge be advanced? What will be the effect of these studies on the concepts or methods that drive this field? (2) Approach: Are the conceptual framework, design, methods, and analyses adequately developed, well-integrated, and appropriate to the aims of the project? Does the applicant acknowledge potential problem areas and consider alternative tactics? (3) Innovation: Does the project employ novel concepts, approaches or method? Are the aims original and innovative? Does the project challenge existing paradigms or develop new methodologies or technologies? (4) Investigator: Is the investigator appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the principal investigator and other researchers (if any)? (5) Environment: Does the scientific environment in which the work will be done contribute to the probability of success? Do the proposed experiments take advantage of unique features of the scientific environment or employ useful collaborative arrangements? Is there evidence of institutional support? (6) the appropriateness of the proposed budget and duration in relation to the proposed research; (7) the relevance and importance to announced program objectives; (8) the adequacy of plans to include both genders, minorities and their subgroups, and children as appropriate for the scientific goals of the research. Plans for the recruitment and retention of subjects will also be evaluated; (9) the adequacy of the proposed protection for humans or the environment, to the extent they may be adversely affected by the project proposed in the application; and (10) the adequacy of the proposed plan to share data, if appropriate. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.288 NATIONAL HEALTH SERVICE CORPS SCHOLARSHIP PROGRAM**

NHSC Scholarship Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title III, Section 338A of the Public Health Service Act (42 USC 2541), as amended Sections 338C-H of the Public Health Service Act (42 USC 254m-q), as amended Section 10503 of the Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

The National Health Service Corp (NHSC) Scholarship Programs objective is to increase the supply of primary care physicians, dentists, certified nurse midwives, primary care nurse practitioners, and physician assistants and, if needed by the National Health Service Corps, other health professionals in Health Professional Shortage Areas (HPSAs) within the United States by providing service-obligated scholarships to health professions students.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Service-obligated scholarships for full-time students of allopathic (M.D.) and osteopathic (D.O.) medicine, dentistry, primary care nurse practitioner, nurse midwifery, and primary care physician assistants. Other health disciplines may be included if needed by National Health Service Corps. Scholarships pay tuition and required fees to the school, a stipend to students and a single annual payment to the student to assist with other reasonable educational expenses. Reasonable expenses may include books, supplies, equipment, uniforms, travel for the provision of clinical services, etc. The program requires 1 year of service for each year of scholarship support, with a minimum 2-year service commitment post graduation. A maximum of 4 years of support may be awarded. Service sites are selected by the scholarship recipient from the list of high priority sites in HPSAs identified by the NHSC.

Refer to the NHSC Scholarship Program Guidance for specific requirements.

**Applicant Eligibility:**

At the time of award, the applicant must be a U.S. citizen or national. The applicant must be enrolled or accepted for enrollment in an accredited school in a State, the District of Columbia, or a U.S. Territory as a full-time student in a course of study leading to a degree in medicine, osteopathic medicine, dentistry, or other health professions. The applicant must be eligible for Federal employment, be free of any Federal judgment liens or service obligation, not be excluded, debarred, suspended or disqualified by a Federal agency, and have no conflicting service obligation. The applicant must submit an application and a signed contract to the National Health Service Corps agreeing to accept payment of scholarship and provide full-time primary health services in a Health Professional Shortage Area.

**Beneficiary Eligibility:**

U.S. citizens or nationals enrolled or accepted for enrollment in a State in a course of study leading to a degree in medicine, osteopathic medicine, dentistry or other health profession.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification in writing is made to those in the final selection by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification to successful and rejected applicants is made no later than 6 months after deadline from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal applications are not necessary for students in compliance; contracts may be multi-year funded through graduation (1 to 4 years, if the applicant signs the contract through the graduation date).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each award covers up to 1 to 4 years of support, as requested. No awardees may receive more than 4 years of support. See the following for information on how assistance is awarded/released: Direct Deposit in recipients accounts through PSC.

**Reports:**

Annual reports by schools indicating average student educational expenses. The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form each semester.

The employing facility must complete and send a semi-annual Employment Verification Form verifying that the participating health professional is providing service. The certification includes a signature by an appropriate official of the facility. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$8,532,328; FY 11 est \$12,851,804; and FY 12 Estimate Not Available -

**Range and Average of Financial Assistance:**

\$31,139-\$466,286, with the average award being \$173,496.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010: 1,375 applications for new awards received; 25 new awards, 5 Continuations. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. National Health Service Corps Scholarship Program, Division of National Health Service Corps, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Services, Room 8A-55, 5600 Fishers Lane., Rockville, MD 20857. Telephone: (301) 594-4400. For 24-hour toll-free calls from outside MD: (1-800) 221-9393, use for requesting applications.

**Headquarters Office:**

Division of Applications and Awards 5600 Fishers Lane, Room 8A-55, Rockville, Maryland 20857 Phone: (301) 594-4400

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.364 Nursing Student Loans; 93.972 Health Professions Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

By statute, first priority will be given to any applicant for such assistance, who has previously received a scholarship under this section or under section 758 of the PHS Act. Second priority will be given to students who are from a "disadvantaged background." Third priority will be given to all other applicants who display characteristics that indicate the likelihood that they will continue professional practice in a Health Professional Shortage Area when they complete their service obligation.

**93.289 PRESIDENT'S COUNCIL ON FITNESS, SPORTS, AND NUTRITION**

President's Council on Fitness, Sports, and Nutrition (PCFSN)

**FEDERAL AGENCY:**

President's Council on Physical Fitness and Sports, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order Executive Order 13265, dated June 6, 2002, as amended by Executive Order 13545, dated June 22, 2010.

**OBJECTIVES:**

The objectives of the PCFSN are to expand interest in and awareness of the importance of regular physical activity, fitness, sports participation and good nutrition for Americans of all ages by encouraging the development, improvement, or enhanced coordination of programs that address physical activity and good nutrition. These objectives are accomplished by providing consultation and technical assistance, general publications and a web site, and by accessing or capitalizing on a variety of outreach opportunities. There are no Federal funds available. The PCFSN does not have authority to make Federal funds available to provide assistance. The PCFSN has no grant-making authority.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Providing public information on physical activity, fitness, sports, and nutrition programs.

**Applicant Eligibility:**

General public.

**Beneficiary Eligibility:**

General public. The PCFSN only provides public information on physical activity, fitness, sports, and nutrition programs. The PCFSN has no grant-making authority.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The PCFSN has no funds available to offer any type of financial assistance. However, requests for technical assistance and/or advisory services can be submitted to the Council in writing or orally. This program is excluded from coverage under E.O. 12372.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable. The PCFSN has no grant making authority.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 10 \$1,225,000; FY 11 est \$1,225,000; and FY 12 est \$1,235,000 - Funds are appropriated to the PCFSN to support program operations, including activities of the Council, only. The PCFSN has no authority to provide financial assistance. The PCFSN has no grant-making authority.

**Range and Average of Financial Assistance:**

Not applicable. The PCFSN has no grant-making authority.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The PCFSN will continue to serve as a catalyst for the Department to promote, encourage, and motivate the development of physical activity, fitness, sports participation, and good nutrition, particularly through the President's Challenge Physical Activity and Fitness Awards program. Fiscal Year 2011: The PCFSN promoted the Million PALA Challenge, a year-long initiative encouraging a variety of organizations to promote participation in and achievement of the President's Challenge Presidential Active Lifestyle Award. More than 150 organizations registered as president's Challenge Advocates to help promote PALA to constituents resulting in over one million individuals earning their PALA. Fiscal Year 2012: Throughout FY 2012, the PCFSN will promote, with assistance from partnering organizations, participation in PALA+, the new version of PALA that encourages and rewards individuals for regular participation in physical activity and adoption of healthy eating behaviors.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Jane D. Wargo; President's Council on Fitness,

Sports, and Nutrition; Department of Health and Human Services; 1101 Wootton Parkway; Tower Building, Suite 560; Rockville, MD 20852: Telephone: (240) 276-9847; Fax: (240) 276-9860. Email address: jane.wargo@hhs.gov.

**Headquarters Office:**

Jane D. Wargo, President's Council on Fitness, Sports, and Nutrition, Department of Health and Human Services, 1101 Wootton Parkway Tower Building, Suite 560, Rockville, Maryland 20852 Email: jane.wargo@hhs.gov Phone: (240) 276-9847 Fax: (240) 276-9860.

**Website Address:**

<http://www.fitness.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.290 NATIONAL COMMUNITY CENTERS OF EXCELLENCE IN WOMEN'S HEALTH**

(CCOE or Community Centers of Excellence)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

42 U.S.C. 300u-2(a), 42 U.S.C 300u-2(a).

**OBJECTIVES:**

To provide recognition and funding to community-based programs that unite promising approaches in women's health across the following six components: (1) Comprehensive health service delivery; (2) training for lay and professional health providers; (3) community- based research; (4) public education and outreach; 5) leadership development for women as health care consumers and providers; and (6) technical assistance to ensure the replication of promising models and strategies that coordinate and integrate women's health activities at the community level and improve health outcomes for underserved women. The focus of the CCOE initiative is to integrate, coordinate, and strengthen linkages between activities/programs that are already underway in the community in order to reduce fragmentation in women's health services and activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A majority of the funds from the CCOE award must be used to support staff and efforts aimed at coordinating and integrating the major components of the CCOE program. The Center Director, or the person responsible for the day-to-day management of the CCOE program, must devote at least a 75 percent level of effort to the program. Additionally, 25 percent of the award funding must target efforts to foster the transfer of lessons learned/successful strategies from the CCOE program (technical assistance). Funds may be used for personnel, consultants, supplies (including screening, education, and outreach supplies), and grant related travel. Items costing less than \$5,000 are considered to be supplies. Funds may not be used for construction, building alterations, medical treatment, equipment, or renovations. All budget requests must be fully justified in terms of the proposed CCOE goals and objectives and include a computational explanation of how costs were determined. Applications from academic health centers or organizations that are part of academic health centers and state, county and local health departments will not be accepted. To ensure a wide geographic distribution of the Center of Excellence in Women's Health model, applications will not be accepted from organizations in States or territories that currently have a CCOE or a CoE program. Applications will not be accepted from organizations in the following States/Territories: AZ, CA, IL, IN, LA, MA, MI, MO, MN, NM, NY, OH, PA, PR, VT, WA, and WI.

**Applicant Eligibility:**

The CCOE applicant must be public or private nonprofit community-based

hospitals, community health centers, or community-based organizations serving underserved women. Community entities/organizations, including faith-based organizations, that have alliances, partnerships, networks with, or have other affiliations with an academic health center are also eligible to apply for a CCOE grant as long as the community entity/organization has a leading management role in the activity and maintain control of all funds. Organizations that have previously submitted CCOE applications, but were not funded, are also eligible to reapply for this award.

**Beneficiary Eligibility:**

Underserved women will benefit.

**Credentials/Documentation:**

Each applicant for a cooperative agreement funded under this CCOE announcement must, at a minimum: (1) present a plan to integrate all six components of the CCOE program by the end of the first year of funding, although only four components have to be in place at the time the application is submitted; (2) develop a CCOE advisory board or ensure that their already established advisory board is included in the decision-making process for CCOE program development, identification of community-based research questions, and formulation of CCOE policies; (3) be a sustainable organization with an established network of partners capable of providing coordinated and integrated women's health services in the targeted community; (4) have an established clinical care center/facility, an operating public educational/outreach program, and a community identified as the recipient of technical assistance at the time the application is submitted; (5) demonstrate the ways in which the organization and the care that are coordinated through its partners are women-focused, women-friendly, women-relevant, and sensitive to the importance of patient/provider communication/relationships for medically underserved women of all ages; (6) detail/specify the roles and resources/services that each partner organization brings to the program, the duration and terms of agreement as confirmed by a signed agreement between the applicant organization and each partner, and describe how the partner organizations will be operated within the CCOE structure; (7) describe in detail plans for the local evaluation of the CCOE program and when and how information obtained from the evaluation will be used to enhance the CCOE program; and (8) describe in detail the planned community-based research and the research methodology/procedure. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All available grant opportunities are posted on [www.grants.gov](http://www.grants.gov). Application kits may be requested by calling 240-453-8822 or writing to: Office of Assistant Secretary for Health, Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete, arrive after the deadline, or are from states that already have a CCOE or a CoE program will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with OASH policies. Applications will be evaluated by a technical review panel composed of experts in the fields of program management, community service delivery, community service delivery, community outreach, health education, community-based research, education, training, leadership/career development, and technical assistance to other communities. Funding decisions will be determined by the Director, Division for Program Management, Office on Women's Health and will take into consideration the recommendations and ratings of the review panel; program needs, stated preferences; geographic location; and recommendations of DHHS Regional Women's Health Coordinators. Preference will be given to DHHS regions that do not have a CCOE or a CoE program and to programs proposed to be implemented in

medically underserved areas, enterprise communities, empowerment zones, and applications from Regions IV and VIII.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Project period is for 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support may be requested for a total project period not to exceed 5 years. Non-competing continuation awards of up to \$150,000 will be made subject to satisfactory performance and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 10 \$1,600,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$100,000-\$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This program concluded in FY10. This program encompassed 12 regional grantees, that in tandem with the National Centers of Excellence were able to enhance existing programs in integrating, coordinating, and strengthening linkages between activities and programs that were already underway in the community, specifically to reduce fragmentation in women's health services of the following six components: (1) Leadership development, (2) training providers, (3) public education, (4) comprehensive health service delivery, (5) community-based research, and (6) replication. Fiscal Year 2011: Program concluded. Fiscal Year 2012: Program concluded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Management Contact:

Department of Health and Human Services, Assistant Secretary for Health (OASH), Office on Women's Health, 200 Independence Ave, SW, Washington, DC 20201.

**Grants Management Contact:**

Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.4woman.gov/owh/CCOE/index.htm> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications selected for funding will be reviewed using the following criteria: (1) The implementation plan as judged by the appropriateness of the existing community resources and linkages, the appropriateness of the proposed approach, component integration, and specific activities described to address each element of the CCOE program, soundness of the evaluation plan, willingness to anticipate in the national CCOE evaluation, and willingness to contribute to the development of a comprehensive national CCOE "how-to manual." (2) The management plan which describes the applicant organization's capability to manage the project as determined by the qualifications of the proposed staff or requirements for "to be hired" staff, proposed staff level of effort, management experience of the lead agency and the experience, resources, and role of each partner organization. (3) The evaluation plan and its relationship to program goals. (4) Plans for the provision of technical assistance and the potential for replication of the CCOE model in similar populations and communities. (5) The merit of the objectives outlined by the applicant do address the CCOE program in a way relevant to the targeted community needs and available resources. (6) Adequacy of demonstrated knowledge of systems of health care for underserved women at the local level; demonstrated need within the proposed local community and target population of underserved women; demonstrated support and established linkages in place to operate a fully functional CCOE program; demonstrated access to medically underserved women; and documented past efforts/activities outcome with underserved women.

**93.291 SURPLUS PROPERTY UTILIZATION**

(Federal Property Assistance Program)

**FEDERAL AGENCY:**

Program Support Center, Department of Health and Human Services

**AUTHORIZATION:**

Federal Property and Administrative Services Act of 1949, Section 203(k), Public Law 81-152, 40 U.S.C. 484., Section 203(k), Public Law 81-152, 101 Stat. , 40 U.S.C 484; Stewart B. McKinney Homeless Assistance Act of 1987, Section 501, Public Law 100-77, 101 Stat. 509, 42 U.S.C 11301.

**OBJECTIVES:**

To convey or lease all surplus Federal real properties made available by the disposal agency which are needed and usable by eligible organizations and institutions to carry out health programs, including homeless assistance programs.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Real property must be used for eligible health purposes including research. It may consist of land with or without buildings and other improvements or buildings only. A discount of up to 100 percent based on the proposed-use program is granted. This discount applied against the fair value of the property, is earned by approved use over a prescribed period of 30 years for land with or without improvements, and a lesser time for leased facilities and improvements

which are sold without land. Allowance of less than 100 percent requires payment of the difference in cash at the time of conveyance. Property must be used for the purpose for which conveyed, and may not be sold, leased, mortgaged, or encumbered without consent of the Department. Property must be used for the approved purpose for a specific period of time (i.e., 30 years); property can not be sold, encumbered, mortgaged, etc. without prior approval of office; grantee required to submit annual utilization reports; grantee must not discriminate in its use of the property; etc.

**Applicant Eligibility:**

States, their political subdivisions and instrumentalities; tax-supported public health institutions, and nonprofit institutions which (except for institutions which lease property to assist the homeless under Title V of Public Law 100-77) have been held exempt from taxation under Section 501 (c) (3) of the 1986 Internal Revenue Code.

**Beneficiary Eligibility:**

Anyone attending, working with or for, or served by the eligible applicants. Examples of potentially eligible use programs are hospitals, public health clinics, water and sewer systems, institutions for the rehabilitation of mentally or physically handicapped, health research institutions, homeless assistance facilities, and other institutions with basic health programs.

**Credentials/Documentation:**

Applicants must demonstrate current need for properties they request and the ability to carry out the proposed program. Applicants must also provide documentation of its authority to hold title to real property and evidence of tax-exempt status. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Notice of availability of surplus real property is sent by the Division of Property Management, Program Support Center (PSC), Department of Health and Human Services (DHHS), to all known potentially interested institutions. When applying for real property, an informal preapplication conference either in person or by telephone is recommended. At that time, consultation and assistance are available to aid in the preparation of an application. Applicants are required to submit factors for consideration of potential environmental impact, in accordance with the Environmental Questionnaire furnished with the application instructions. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants interested in acquiring Federal real properties must contact the Division of Property Management, PSC, DHHS.

**Award Procedure:**

Real property is awarded to the applicant whose programs of use are determined to be in the highest public interest. Land (with or without improvements) is conveyed by quitclaim deed or lease; buildings for off-site removal are by agreement of sale.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Normally, approval or disapproval is made within 30 days after an application has been submitted for real property. For properties to assist homeless individuals under Title V of the McKinney Act, approval or disapproval is made 25 days after a complete application is received.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Deed restrictions run for a period of 30 years and Agreements of Sale are normally for 5 years, after which the transferee has clear title to the property. Restrictions on leased property run for the period of the lease. See the following for information on how assistance is awarded/released: Via deed or lease.

**Reports:**

Transferee is required to submit an annual utilization report on the operation and maintenance of the property. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department's Audit agency makes periodic audits of the headquarters operation and may make spot checks of the utilization by real property transferees.

**Records:**

Transferees of real property, who expend funds to rebuild, refurbish, or to otherwise improve property under restrictions, should maintain records of these costs in the event they wish to dispose of the property prior to termination of the restriction period.

**Account Identification:**

75-4552-0-1-551.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 10 \$673,437; FY 11 est \$782,977; and FY 12 est \$705,158

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 45, Subtitle A, Part 12, Disposal and Utilization of Surplus Real Property for Public Health Purposes. Literature: The following pamphlet is available from the Division of Property Management: "How to Acquire Federal Surplus Real Property for Public Health Purposes," at no charge.

**Regional or Local Office:**

None.

**Headquarters Office:**

Theresa M. Ritta 5600 Fishers Lane, Parklawn Building, Rockville, Maryland 20857 Email: tritta@psc.gov Phone: (301) 443-2265

**Website Address:**

<http://www.psc.gov/aos/federalprop>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications must establish eligibility of the institution, its programs, and the proposed use to meet the program needs. A public benefit allowance formula, uniformly applied, determines the respective benefits of each program. Basic allowance of 50 percent is allowed to institutions meeting the following: (1) Proof of current need; (2) ability to operate and maintain; (3) suitability of facilities or adaptability for conversion; (4) requirement for utilization through period of restrictions; and (5) nondiscrimination because of race, color, sex, age, handicap, or national origin. Additional allowances are made for tax support, accreditation, hardship, integrated research, outpatient services, public services, and training programs. For competing programs, the one showing the greatest public benefit is selected. Where property can be divided, as many

compatible programs as possible are accommodated.

**93.295 INTERGENERATIONAL APPROACHES TO HIV/AIDS PREVENTION EDUCATION WITH WOMEN ACROSS THE LIFESPAN PILOT PROGRAM**

(Intergenerational)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

42 U.S.C. 300u-2(a), 42 U.S.C 300u-2(a).

**OBJECTIVES:**

For African American, Native American/American Indian, Hispanic/Latino, and Asian/Pacific Islander women and other female members of the family 12+ years old to: know their serostatus; increase their knowledge of HIV/AIDS prevention; gain competencies in cross-generational communications about health in general and sexual health specifically; and connect with a primary healthcare physician (and navigate other systems of care).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A majority of the funds from the award must be used to support staff and efforts aimed at implementing the program. Funds may be used for supplies (including screening, education, and outreach supplies); local travel to perform duties of the funded HIV/AIDS prevention program; and out-of-town travel (required training at one national and one regional HIV/AIDS prevention conference). Funds may not be used for construction, building alterations, equipment, medical treatment, or renovations. All budget requests must be justified fully in terms of the proposed goals and objectives and include an itemized computational explanation/breakout of how costs were determined.

**Applicant Eligibility:**

The applicant must be a non-profit community-based organizations, faith-based organizations, national organizations, colleges and universities, clinics and hospitals, research institutions, State and local government agencies, tribal government agencies and tribal/urban Indian organizations.

**Beneficiary Eligibility:**

Non-profit community-based, faith-based, and women's service organizations serving women will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All open grant opportunities are posted on [www.grants.gov](http://www.grants.gov). Additional information and application kits may be requested by calling 240-453-8822 or writing to: Office of Assistant Secretary for Health (OASH), Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with HHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be determined by the Director, Division for Policy and Program Development, Office on Women's Health and will take into consideration the recommendations and ratings of the review panel; program needs, stated preferences; geographic location; and



recommendations of DHHS Regional Women's Health Coordinators.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Project period is for 1 year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period not to exceed 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with: the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 10 \$1,200,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$150,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This program concluded in FY10. The four grantees will continue their efforts fostering approaches in communication for cross generations of minority females beyond this program. In FY10 sustainability was achieved in each of these four grant programs beyond the funding period, and for them to continue to carryout constructive communication that brings about change in maintaining womens sexual health. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Management Contact: Department of Health and Human Services, Office of Assistant Secretary for Health (OASH), Office on Women's Health, 200 Independence Ave, SW, Washington, DC 20201

**Grants Management Contact:**

Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550,1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.4woman.gov/owh> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

To receive consideration, the applications must be received by the Office of Grants Management, Office of Public Health and Science (OPHS), Department of Health and Human Services (DHHS), no later than July 31, 2006. Application Review Information Criteria: The technical review of applications will consider the following (4) factors: Factor 1: Background/Understanding of the Problem (30%), Factor 2: Implementation /Approach (25%), Factor 3: Management Plan (25%), and Factor 4: Evaluation Plan (20%). For specific details see the full announcement published in the Federal Register.

**93.296 STATE PARTNERSHIP GRANT PROGRAM TO IMPROVE MINORITY HEALTH**

State Partnership Program

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, as amended, Title XVII, Section 1707 (e)(1), 42 U.S.C. 300u et seq., Title 17, Section 1707, 42 U.S.C 300u et seq.

**OBJECTIVES:**

To facilitate the improvement of minority health and eliminate health disparities (adult/child immunization, asthma, cancer, diabetes, heart disease and stroke, HIV, infant mortality, and mental health) through the development of partnerships with state and territorial offices of minority health.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used to support the development and implementation of minority-targeted strategies which will facilitate improvement in minority health and address health disparities and gaps. Funds are not to be used for the provision of health care treatment, for construction, or to supplant ongoing project activities.

**Applicant Eligibility:**

State/Territorial Offices of Minority Health (established through legislation, executive order, or a directive process) are eligible to apply.

**Beneficiary Eligibility:**

Members of minority groups: Alaskan Natives; American Indians; Asians; Blacks/African Americans; Hispanics/Latinos; Native Hawaiians and other Pacific Islanders; or subgroups of these.

**Credentials/Documentation:**

Documentation to verify official status as a State or Territorial Office of Minority Health (e.g., copy of Executive Order, statute, or administrative directive) and a signed statement from an authorizing official (e.g., Commissioner of Health or designee in the state/territorial Department of Health). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Application kits for this Program may be obtained by accessing Grants.gov at <http://www.grants.gov> or the GrantSolutions system at <http://www.grantsolutions.gov>. To obtain a hard copy of the application kit for this grant program, contact OASH Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852; or by phone at 2404538822. Applications are screened upon receipt for completeness, responsiveness and conformance to the program announcement. Those applications judged to be unacceptable based on this initial screening will be returned. Applications may only be submitted electronically via the electronic submission mechanisms specified in the program announcement. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the Grants.gov Web Site Portal is encouraged. Information about this system is available on the Grants.gov Web Site.

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 90 to 120 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days. Approximately 90 to 120 days from the application deadline date.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants can have a project period not to exceed 5 years, with 12 month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash request basis or under a letter of credit. Necessary instructions regarding payment procedure will be provided at the time the Notice of Grant Award is issued. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Progress reports are required semi-annually. Cash reports are required for each cash withdrawal or transfer. Progress reports are required for each budget period. Financial Status Reports are due at the end of each budget period, and a final Financial Status Report report is due 90 days following the end of the project period. Grantees are required to use the PDS evaluation system. In addition to the required semi-annual progress reports, a final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For State and local governments,

audits are to be carried out in accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," or Federal laws and regulations of the programs in which they participate.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 10 \$6,105,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

120,000 to 175,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Forty-four state offices of minority health are currently funded through this program that work in concert with the National Office of Minority Health. The State Partnership Program has continued to improve the health of minorities through the development of partnerships on the local, state, and regional level which has aided in removing some barriers of health disparities. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Headquarters Office: Office of Minority Health, Assistant Secretary for Health (OASH), Office of the Secretary, Tower Building, Suite 600, 1101 Wootton Parkway, Rockville, Maryland 20852. Telephone: (240) 453-2882.

Program Contact: Ms. Sonsiere Cobb-Souza, Acting Director, Division of Program Operations, Office of Minority Health, Office of Public Health and Science, Office of the Secretary, Tower Building, Suite 600, 1101 Wootton Parkway, Rockville, Maryland 20852. Telephone: (240) 453-8444.

Grants Management Contact: Office of Grants Management, Office of Public Health and Science, Office of the Secretary, Tower Building, Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852. Telephone: (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: [eric.west@hhs.gov](mailto:eric.west@hhs.gov) Phone: (240) 453-8822.

**Website Address:**

<http://www.omhrc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: 1) consistency of project's objectives relevant to the Program purpose and the federal Office of Minority Health's mission; 2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; 3) strength of proposed grant organization's management capability; 4) adequacy of qualifications and experience of proposed personnel; and 5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.300 NATIONAL CENTER FOR HEALTH WORKFORCE ANALYSIS  
NCHWA**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII; Section 761; 42 U.S.C. 294n, as amended; Health Professions Education Partnerships Act of 1998; Public Law 105-392.

**OBJECTIVES:**

To support health workforce data collection and analysis and the development of information describing the health professions workforce and the analysis of workforce-related issues in order to provide necessary information for decision-making regarding future directions in health professions and nursing programs in response to societal and professional needs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds can be used to provide for targeted information collection and analysis activities related to health workforce, research on high priority workforce questions, the development of a nonfederal analytic and research infrastructure related to health workforce-related issues, and to conduct program evaluation and assessment.

**Applicant Eligibility:**

Those eligible to apply are: state or local governments, health professions schools, schools of nursing, academic health centers, community-based health facilities, and other appropriate public or private nonprofit entities, including faith based and community based organizations.

**Beneficiary Eligibility:**

Those who will ultimately benefit from these grants are the local, rural, State, and Federal legislators and policy makers who will receive the information needed with which to make health workforce decisions.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period awardees may submit a competing continuation application for an up to 5 years of support.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Some cooperative agreements may require a

matching requirement for State and local studies. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available up to 5 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A Progress Report must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. A Progress Report must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$750,000; FY 11 est \$500,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

\$500,000 to 1,000,000; \$687,500.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Margaret Glos, Management Analyst, National Center for Health Workforce Analysis, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Department of Health and Human Services, 5600 Fishers Lane, Room 9-49, Rockville, MD 20857. Telephone: (301) 443-3579.

**Headquarters Office:**

Margaret Glos 5600 Fishers Lane, Room 9-A18, Rockville, Maryland 20857  
Phone: (301) 443-3579

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

(1) The degree to which an applicant specializes in health workforce research. An applicant will be considered as specializing in health workforce research through identification of its mission, health workforce research accomplishments, and dedicated staff to health workforce research. (2) The degree to which the applicant demonstrates State and National experience and accomplishments in health workforce issues and research directly supporting the BHP priorities, health workforce distribution, racial/ethnic diversity of the health workforce, geriatrics, and genetics. Experience and accomplishments could be demonstrated through past or currently funded research. (3) The degree to which the applicant has health workforce research experience relevant to the proposed research project. For example, for a proposed research project that focuses on a given geographic area such as the US-Mexico border, the applicant should demonstrate experience in conducting US-Mexico border health workforce research. In terms of workforce discipline-specific studies, the applicant should demonstrate experience in conducting research on the given discipline. (4) The degree to which the applicant's proposed research includes: a well-developed background statement, clearly stated research objectives, clearly stated project activities and methodology, and a well-developed, reasonable management plan that will enable the successful completion of the project.

#### **93.301 SMALL RURAL HOSPITAL IMPROVEMENT GRANT PROGRAM**

##### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

##### **AUTHORIZATION:**

Section 1820(g)(3) of Social Security Act (42 U.S.C. 1395i-4 (g) (3)), as amended by Section 3129 of the Patient Protection and Affordable Care Act (PPACA).

##### **OBJECTIVES:**

To help hospitals: 1) pay for costs related to implementation of prospective payment systems (PPS) such as updating chargemasters or providing training in billing and coding, 2) pay for the costs related to delivery system changes as outlined in the ACA such as value-based purchasing (VBP), accountable care organizations (ACO) and payment bundling.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for carrying out the approved projects.

##### **Applicant Eligibility:**

All small rural hospitals located in the 50 States and Territories.

##### **Beneficiary Eligibility:**

Eligible small rural hospitals are non-Federal, short-term general acute care facilities that are located in a rural area of the US and the territories, including faith-based hospitals. For the purpose of this program, 1) small is defined as 49 staffed beds or less and 2) rural is defined as either located outside of a Metropolitan Statistical Area (MSA) or located within a rural census tract of a MSA, as determined under the Goldsmith Modification or the Rural Urban Commuting Areas (RUCAs). Hospitals may be for-profit or not-for-profit. Tribally operated hospitals under Titles I and V of P.L. 93-638 are eligible to the extent that such hospitals meet the above criteria. Regardless of geographic location, all designated Critical Access Hospitals (CAHs) are eligible. To determine eligibility and to request a hospital application, hospitals should contact their State Office of Rural Health (SORH).

##### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB

Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

##### **Award Procedure:**

Notification is made in writing by a Notice of Award.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Up to six months.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

SHIP awards may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Awards are made annually and payment is made through the DHHS Payment Management System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

##### **Reports:**

No program reports are required. No cash reports are required. A final financial report (FFR) is due within 90 days after end of the project period. No expenditure reports are required. No performance monitoring is required.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

##### **Account Identification:**

75-0350-0-1-550.

##### **Obligations:**

(Project Grants) FY 10 \$14,648,000; FY 11 est \$14,646,154; and FY 12 est \$0

##### **Range and Average of Financial Assistance:**

\$17,656 to \$ 988,736; \$318,394.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Jeanene Meyers, Office of Rural Health Policy, Parklawn Building, Room 5A-05 , 5600 Fishers Lane, Rockville, MD, 20857, 301-443-0835.

**Headquarters Office:**

Office of Rural Health Policy 5600 Fishers Lane, Room 5A-05 , Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated based on: (1) extent to which applicant is responsive to the requirements and purposes of this program; and (2) extent to which application describes need, strategies and investment to address those needs.

**93.303 NURSING SCHOLARSHIP PROGRAM**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 846, as amended, Nurse Reinvestment Act of 2002, Public Law 107-205.

**OBJECTIVES:**

To increase the supply of registered nurses (RN) in approved health care facilities with a critical shortage of nurses by providing service-obligated scholarships to nursing students.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Service-obligated scholarships are awarded to full-time and part-time students of nursing. Scholarships pay tuition and required fees to the school, a monthly stipend to students and a single annual payment to the student to assist with other reasonable educational expenses that include books, supplies, instruments, and uniforms. The program requires 1 year of service for each year of scholarship support, with a minimum 2-year service commitment post graduation. A maximum of four years of educational support may be awarded. Service obligation must be fulfilled at a health care facility with a critical shortage of nurses.

Refer to the Nursing Scholarship Program Guidance for specific requirements.

**Applicant Eligibility:**

The applicant must be a U.S. citizen or national, enrolled or accepted for enrollment in a fully accredited academic institution with a graduate, baccalaureate, associate degree or diploma nursing program located in a State,

the District of Columbia, or a U.S. Territory. The applicant must be free of any Federal judgment liens or service obligation, not have breached a prior service obligation, is not excluded, debarred, suspended, or disqualified by a Federal agency, and have no conflicting service obligations. Financial need is also reviewed as part of the eligibility determination. The applicant must submit an application and a signed contract, agreeing to accept payment of scholarship funds and provide health care services in a health care facility with a critical shortage of nurses for a minimum of two years.

**Beneficiary Eligibility:**

United States citizens or nationals enrolled or accepted for enrollment in a fully accredited graduate, baccalaureate, associate degree or diploma nursing program.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants are required to apply electronically. Applicants submit their applications through <https://programportal.hrsa.gov>.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification in writing is made to those in the final selection by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification is made within 4-5 months after deadline for receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal applications are not necessary for students in compliance. Contracts may be multi-year funded through graduation (up to one to four years) if the applicant signs the contract through the graduation date.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each award covers up to one to four years of educational support, as requested. No awardees may receive more than four years of support. See the following for information on how assistance is awarded/released: Direct Deposit in recipients accounts through PSC.

**Reports:**

Annual reports by schools indicating average student educational expenses. The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form each semester.

The employing critical shortage facility must complete and send a semi-annual Employment Certification Form verifying that the participating nurse is providing full-time or part-time continuous service as an RN. The certification includes a signature by an appropriate official of the facility. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not

applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$26,609,073; FY 11 est \$27,057,461; and FY 12 est \$27,700,000

**Range and Average of Financial Assistance:**

\$11,465 - \$209,011; \$57,079.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 3,812 Applications Received, 458 New Awards, 18 Continuations. Fiscal Year 2011: No Data Available. Fiscal Year 2012: No Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. Nursing Scholarship Program, Division of Nursing and Public Health, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Services, Room 8-37, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4829. The HRSA Call Center at [www.hrsa.gov](http://www.hrsa.gov). or 1 (877) 464-4772, Monday through Friday (except Federal Holidays).

**Headquarters Office:**

Nursing Scholarship Program, Division of Applications and Awards, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Service Room 8A-55, 5600 Fishers Lane, Rockville, Maryland 20857 Phone: (301) 443-4829

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program; 93.972 Health Professions Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As provided in the amendment in section 846(e) of the Public Health Service (PHS) Act, a funding preference is given to eligible applicants with the greatest financial need. NSP will use the Department of Education's Student Aid Report (SAR) from the Free Application for Federal Student Aid (FAFSA) to evaluate financial need.

**93.307 MINORITY HEALTH AND HEALTH DISPARITIES RESEARCH FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III and IV, Part A and Part E, Sections 485E, 485F, 485G; Public Law 99-158 and Public Law 106-525; 42 U.S.C. 287c-31, 42 U.S.C. 287c-32, 42 U.S.C. 287c-33, 42 U.S.C. 241 and 285; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564. , Title III, Part A & E, Section 485E 485F 485G, Public Law 99-158, 106 Stat. 525, 42 U.S.C 287c-31.

**OBJECTIVES:**

To support basic, clinical, social, and behavioral research, promote research infrastructure and training; foster emerging programs; disseminate information; and reach out to minority and other health disparity communities. The National Institute on Minority Health and Health Disparities (NIMHD) has established

programs to pursue these goals: (1) The NIMHD Centers of Excellence Program promotes research to improve minority health, and/or reduce and eliminate health disparities, build research capacity for minority health and health disparities research in minority-serving and other institutions; encourages the participation of health disparity groups and communities in biomedical and behavioral research and prevention and intervention activities; and brings together investigators from relevant disciplines in a manner that will enhance and extend the effectiveness of their research; (2) NIMHD Research Endowment Program: builds research capacity and infrastructure at eligible NIMHD Centers of Excellence OR eligible Section 736 health professions schools (42 U.S.C. 293) to facilitate minority health and other health disparities research to close the disparity gap in the burden of illness and death experienced by racial and ethnic minority Americans and other health disparity populations; promotes a diverse and strong scientific, technological and engineering workforce; and emphasizes the recruitment and retention of underrepresented minorities and other socio-economically disadvantaged populations in the fields of biomedical, and behavioral research and other areas of the scientific workforce; (3) Building Research Infrastructure and Capacity (BRIC) Program, formerly Research Infrastructure in Minority Institutions (RIMI): assists non-doctoral degree institutions in developing their research infrastructure primarily through collaborations with research-intensive universities thereby enabling the institutions to develop and enhance their capacity and competitiveness to conduct biomedical or behavioral research; (4) Minority Health and Health Disparities International Research Training Program (MHIRT), awards enable U.S. institutions to tailor short-term basic science, biomedical and behavioral mentored student international research training opportunities to address global issues related to understanding, reducing, and eliminating health disparities; (5) Community-Based Participatory Research (CBPR) program: this program supports the development, implementation and evaluation of intervention research using the community-based participatory research (CBPR) principles and methods in targeting diseases of major public health importance in health disparity communities. CBPR awards promote participatory research collaboration between scientific researchers and their community partners. This initiative starts with a three-year research planning grant followed by a competitive five-year intervention research grant and concludes with a three-year research dissemination grant. The CBPR initiative engages the community in all phases of the research process and is directed to specific diseases/health conditions in a particular health disparity population. (6) Small Business Innovation Research (SBIR) Program: increases private sector commercialization of innovations derived from Federal research and development; encourages small business participation in Federal research and development; and fosters and encourages participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; (7) Small Business Technology Transfer (STTR) Program: to stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; fosters technology transfer between small business concerns and research institutions; increases private sector commercialization of innovations derived from Federal research and development; and fosters and encourages participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. (8) Research Project Grants (RPG): supports investigators whose current research focuses on diseases/conditions that disproportionately affect racial/ethnic minorities and other underserved populations.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Grants are intended to support the direct costs of a project in accordance with an approved budget, plus appropriate amount for indirect costs. Grantees must agree to administer the grant in accordance with the regulations and policies governing the research grants program of the Public Health Service. Endowment grants: Some qualifying institutions may use income earned from a research endowment corpus to support institutions in their effort to expand and add teaching programs in the biomedical and behavioral sciences and related areas, to improve facilities, to enhance student and faculty recruitment and retention, to develop instructional delivery systems and information technology in areas that will enhance minority health and other health disparities research

activities, and to establish endowed chairs and programs. Other qualifying institutions must use income earned from a research endowment corpus to increase the institutions' investments in the recruitment and retention of underrepresented minority students and students from other health disparity populations that matriculate at such institutions. This includes activities such as increasing student recruitment and retention, creating merit-based and need-based scholarships, establishing or enhancing tutoring, providing counseling, and designing student service programs to improve academic success, and faculty recruitment and retention. SBIR grants: SBIR Phase I grants are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants are for the continuation of the research initiated in Phase I and are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR grants: STTR Phase I grants are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. STTR Phase II grants are based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. See Program Announcements: PA-11-096 and PA-11-097. As specified in each of the program announcements.

**Applicant Eligibility:**

Individuals and public and private institutions, both non-profit and for-profit, who propose to establish, expand, and conduct research, promote or engage in research training, and outreach activities that contribute to improving minority health and/or eliminating health disparities. Endowment grants: Only NIMHD Centers of Excellence OR Section 736 health professional schools (see 42 U.S.C. 293) with net endowment assets less than or equal to 50 percent of the national median of endowment funds at institutions that conduct similar biomedical research or training of health professionals are eligible for the research endowment awards. All applicants must have an NIMHD Center of Excellence Award or HRSA Centers of Excellence Award at the time of award of an NIMHD Research Endowment Grant. SBIR grants: Domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which the research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. Small business concerns must be at least 51 percent US owned by individuals and independently operated and/or at least 51 percent owned and controlled by another (one) for-profit business concern that is at least 51 percent owned and controlled by one or more individuals. The research must be performed in the U.S. or its possessions. STTR grants: Domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which the research is proposed, and have no more than 500 employees) that "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution.

**Beneficiary Eligibility:**

Any non-profit or for-profit organization, company, or institution engaged in biomedical and behavioral research. Endowment grants: NIMHD Centers of Excellence or Section 736 institutions.

**Credentials/Documentation:**

Applicants must present a research plan and furnish evidence required for research grant applications, PHS 398, (Rev. 05/01) as specified in the application form. Costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q and OMB Circular No. A-21 for Educational Institutions and OMB Circular No. A-87 for state and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. Endowment grants: Requirements for the endowment application are specified in the application form (SF424 R&R). SBIR and STTR grants: Applicant organizations (small business concerns) must present a research plan that includes an idea that has the potential for commercialization, and furnish evidence that the scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. To apply for SBIR Phase I and Phase II Grants, applicants must complete SF424 (R&R) Application for Electronic Submission. For general information on SF424 (R&R) Application and

Electronic Submission, see these Web sites: SF424 (R&R) Application and Electronic Submission Information: <http://grants.nih.gov/grants/funding/424/index.htm>. General information on Electronic Submission of Grant Applications: <http://era.nih.gov/ElectronicReceipt/>. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for the various programs should be submitted to the NIH office that is responsible for the receipt of applications, and in such form and manner as the application prescribes. (All information pertaining to grants hereinafter, also apply to Endowment Grants unless otherwise noted). Research Grants: Applications must be prepared either electronically through Grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-Related) or on paper using the PHS 398 research grant application instructions and forms (Revised 9/2004, Interim Revision 4/2006). The PHS 398 is available at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. The format is interactive. For NIH planned transition dates of mechanisms for electronic submission, see: [http://era.nih.gov/ElectronicReceipt/files/Electronic\\_receipt\\_timeline\\_Ext.pdf](http://era.nih.gov/ElectronicReceipt/files/Electronic_receipt_timeline_Ext.pdf). For further assistance contact Grants Info, Telephone (301) 435- 0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). NRSAs (Individual): Individuals must submit the application form, PHS Individual National Research Service Award (PHS 416-1, rev. 10/05), and include at least three letters of reference. If the applicant has been lawfully admitted to the United States for permanent residence, the appropriate item should be checked on the Face Page of the application. Applicants who have applied for and have not yet been granted admission as a permanent resident should check the Permanent resident block on the Face Page of the PHS 416-1 application, and also write in the word "pending." A notarized statement documenting legal admission for permanent residence must be submitted prior to the issuance of an award. SBIR and STTR: The SF 424 (Research and Research-Related) application forms and the SF 424 SBIR/STTR Application Guide are used to apply for both SBIR and STTR grants, Phase I and Phase II. Application must be made electronically through grants.gov (<http://www.grants.gov>). For further assistance contact Grants Info, Telephone: (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

**Award Procedure:**

Each application will be forwarded to an initial scientific review committee or Special Emphasis Panel (SEP) of non-NIH scientists and the National Advisory Council on Minority Health and Health Disparities (NACMHD) will conduct the secondary review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Approximately 6 to 9 months. SBIR and STTR grants: Approximately 7 to 8 months.

**Appeals:**

A principal investigator or applicant may question the substantive or procedural aspects of the review of his/her application by communicating with NIMHD staff. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

Renewal of grant awards beyond the initial project period of support is contingent upon successful competition by the applicant and upon the appropriation of funds for this purpose.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

All awards have a project period of one to five years. Non-competitive grant awards in successive years (year 2 up to year 5) are awarded based on the applicant's annual performance and the availability of funds. Endowment Grants: Awards have a project period of one to five years. Non-competitive years (year 2 up to year 5) are awarded based on the applicant's annual performance and the availability of funds. SBIR grants: Generally, Phase I awards are for six months, and Phase II awards are for two years. STTR grants: Generally, Phase I awards are for one year, and Phase II awards are for two years. All funds for any award must be obligated within five years from the date of the award. See the following for information on how assistance is awarded/released: See above for information about each program.

**Reports:**

Annual progress and selected financial status reports for continuing projects and final reports on all projects upon conclusion are required. Endowment Grants: The NIMHD will exercise extended monitoring of a participant's annual progress towards meeting the objectives as outlined in the participant's five-year strategic plan for prioritizing the use of endowment income. These reports will extend five years beyond the last year of a participant's project period. Cash reports are not applicable. . . .

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained three years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$155,446,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - 1) Centers of Excellence (COE) grants: FY 10 \$67,891,000; FY 11 and FY 12 est not reported. (2) NIMHD Research Endowment grants: FY 10 \$25,798,000; FY 11 and FY 12 est not reported. (3) Building Research Infrastructure and Capacity (BRIC) grants, formerly Research Infrastructure in Minority Institutions (RIMI) grants: FY 10 \$18,190,000; FY 11 and FY 12 est not reported. (4) Minority Health and Health Disparities International Research Training (MHIRT) grants: FY 10 \$4,472,000; FY 11 and FY 12 est not reported. (5) Community-Based Participatory Research grants (CBPR): FY 10 \$20,831,000; FY 11 and FY 12 est not reported. (6) Small Business Innovation Research (SBIR) and (7) Small Business Technology Transfer Grant Applications (STTR): FY 10 \$5,673,000; FY 11 and FY 12 est not reported. (8) Research Project Grants (RPG): FY 10 \$12,591,000; FY 11 and FY 12 est not reported.

**Range and Average of Financial Assistance:**

(1) Centers of Excellence (COE) grants: total awards made by the NIMHD ranged from \$56,962 to \$1,646,812; average \$1,150,698. (2) Endowment grants: total awards made by the NIMHD ranged from \$2,134,375 to \$5,000,000; average \$4,299,631. (3) Building Research Infrastructure and Capacity (BRIC) grants, formerly Research Infrastructure in Minority Institutions (RIMI) grants: total awards made by the NIMHD ranged from \$475,872 to \$1,039,021; average \$790,882. (4) Minority Health and Health Disparities Research International Research Training (MHIRT) grants: total awards made by the NIMHD ranged from \$53,752 to \$242,920; average \$203,261. (5) Community-Based Participatory Research (CBPR) grants: total awards made by the NIMHD ranged from \$29,342 to \$657,554; average

\$495,986. (6) Small Business Innovation Research (SBIR) grants and (7) Small Business Technology Transfer (STTR) Grant Application: total awards made by the NIMHD ranged from \$37,775 to \$679,418. Typically, Phase I awards normally may not exceed \$100,000 total (direct costs, indirect costs and profit/fee) and Phase II awards normally may not exceed \$750,000. However, these award levels for time and amounts are statutory guidelines, not ceilings. (8) Research Project Grants (RPG): total awards made by the NIMHD ranged from \$170,335 to \$465,719; average \$322,837.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: NIMHD program accomplishments are as follows: (1) Centers of Excellence (COE) grants: total of 46 awarded grants; (2) Endowment grants: total of 6 awarded grants; (3) Building Research Infrastructure and Capacity (BRIC) grants, formerly Research Infrastructure in Minority Institutions (RIMI) grants: total of 24 awarded grants; (4) Minority Health and Health Disparities Research International Research Training (MHIRT) grants: 22 awarded grants; (5) Community-Based Participatory Research (CBPR) grants: 45 awarded grants; (6) Small Business Innovation Research (SBIR) grants/ (7) Small Business Technology Transfer (STTR) grants: total of 24 awarded grants; (8) Research Project Grants (RPG): total of 27 awarded grants. Fiscal Year 2011: Not available. Fiscal Year 2012: Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in 42 USC 271c-31 et. Seq.; 42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; NIH Extramural Programs brochure; and miscellaneous program literature from the Headquarters Office. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241. Additional loan repayment information can be obtained at [www.lrp.nih.gov](http://www.lrp.nih.gov). SBIR and STTR information can also be obtained from the Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications; and the Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Francisco S. Sy, MD, DrPH NIH/NIMHD, 6707 Democracy Blvd. Suite 800, Bethesda, Maryland 20892-5465 Email: [syf@mail.nih.gov](mailto:syf@mail.nih.gov) Phone: (301) 402-1366 Fax: 301-480-4049

**Website Address:**

<http://www.nimhd.nih.gov>. <http://www.nih.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating all new grant and renewal grant applications include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; and the necessity of the budget components requested in relation to the proposed project, and the relevance and importance to the announced program objectives. SBIR and STTR grants: For Phase I grant applications, the criteria used are: the soundness and technical merit of the proposed approach; the qualifications of the proposed principal investigator, supporting staff, and consultants; the technological innovation of the proposed research; the potential of the proposed suitability of the facilities and research environment; and where applicable, the adequacy of assurances detailing the proposed means for safeguarding human or animal subjects and/or protecting against or minimizing any adverse effect on the environment. For Phase II grant applications, the criteria used are: the degree to which the Phase I objectives were met and feasibility demonstrated; the scientific and technical merit of the proposed approach for achieving the phase II objectives; the qualifications of the proposed principal investigator, supporting staff and consultants; the



technological innovation, originality, or societal importance of the proposed research; the potential of the proposed research for commercial application; the reasonableness of the budget requested for the work proposed; the adequacy and suitability of the facilities and research environment; and where applicable, the adequacy of assurances detailing the proposed means for safeguarding human or animal subjects and/or protecting against or minimizing any adverse effect on the environment. All persons interested in any of the DHHS/NIH/NIMHD grant and/or contract program initiatives are strongly encouraged to carefully read the Request for Applications as they are announced annually in order to understand what is required for each unique program as well as meet each deadline in a timely manner.

### **93.308 NATIONAL INSTITUTE ON MINORITY HEALTH AND HEALTH DISPARITIES (NIMHD) EXTRAMURAL LOAN REPAYMENT PROGRAMS**

NIMHD Loan Repayment Programs

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act; Title IV, Subtitle D, Part G, Section 487E, as amended; Public Law 106-554; 42 U.S.C. 288-5, Title IV, Part G, Section 487E, Public Law 106-554, 42 U.S.C 288-5.

#### **OBJECTIVES:**

The mission of the National Institute on Minority Health and Health Disparities (NIMHD) is to lead scientific research to improve minority health and eliminate health disparities. To accomplish this, NIMHD 1) Plans, reviews, coordinates, and evaluates all minority health and health disparities research and activities of the National Institutes of Health; 2) Conducts and supports research in minority health and health disparities; 3) Promotes and supports the training of a diverse research workforce; 4) Translates and disseminates research information; 5) Fosters innovative collaborations and partnerships.

There are two separate types of loan repayment within NIMHD's Loan Repayment Program: (1) Health Disparities Research Loan Repayment Program (LRP-HDR): recruits and retains highly qualified health professionals to research careers that focus on minority health disparities research or other health disparities research and the (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB), recruits and retains highly qualified health professionals from disadvantaged backgrounds to conduct clinical research.

The objective of these extramural loan repayment programs are to recruit and retain qualified health professionals including those from health disparity populations and those from disadvantaged backgrounds to conduct minority health disparities research and clinical research.

(1) Health Disparities Research may pertain to basic, clinical, or behavioral research on a health disparity population (including individual members and communities of such populations), including the causes of health disparities and methods to prevent, diagnose, and treat such disparities.

(2) Clinical research consists of patient-oriented clinical research conducted with human subjects, or research on the causes and consequences of disease in human populations involving material of human origin (such as tissue specimens and cognitive phenomena) for which the investigator or colleague directly interacts with human subjects in an outpatient or inpatient setting to clarify a problem in human physiology, pathophysiology or disease, or epidemiologic or behavioral studies, outcomes research or health services research, or developing new technologies, therapeutic interventions, or clinical trials.

#### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

#### **USES AND USE RESTRICTIONS:**

To provide repayment of existing educational loan debt incurred by health professionals including those from health disparity populations and those from disadvantaged backgrounds to conduct minority health disparities research and

clinical research. Recipients must execute a written contract agreeing to engage in such research for a minimum of two years. The Secretary of the Department of Health and Human Services, or the Secretary's designee, may grant extension contracts for a one-year or two-year period after the completion of the initial two-year contract, provided that the participant applies for an extension, continues to engage in qualified research, and there is sufficient repayable debt remaining. The maximum program benefit is \$35,000 per year in loan repayment.

Program payments are made directly to the participants' lenders following each quarter and a verification of satisfactory research service, unless otherwise agreed upon by the participant and the Director, NIMHD.

#### **Applicant Eligibility:**

The following eligibility requirements applies to both: (1) Health Disparities Research Loan Repayment Program (LRP-HDR): and (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB)

An applicant must: (1) be a United States citizen, national, or permanent resident; (2) have an M.D., Ph.D., Pharm.D., D.D.S., D.M.D., D.C., N.D., or equivalent doctoral degree from an accredited institution; (3) conduct research that is supported by a non-profit institution, foundation, professional society or U.S. government entity, (4) commit 50 percent or more of his/her time to clinical research; (5) have total qualifying educational debt greater than or equal to 20 percent of his/her institutional base salary at the time of award; (6) conduct research in accordance with applicable Federal, state and local law; (7) not be under any existing service obligations to Federal, State, or other entities, unless and until the existing service obligation is discharged or deferred during the period of program service; (8) not have Federal judgment liens against their property arising from a Federal debt from receiving Federal funds until all judgments have been paid in full or otherwise satisfied; (9) not be a full-time employee of a Federal government agency. Part-time Federal employees who engage in qualifying research as part of their non-Federal duties are eligible to apply for loan repayment if they meet all other eligibility requirements; and (10) have the institution provide an assurance that the applicant will be provided research support for two years, that the applicant will engage in qualified clinical research for 50 percent of his/her time, that the funding foundation, professional society, or institution is considered to be non-profit pursuant to Section 501 of the Internal Revenue Code or is a U.S. government entity, and certify the applicant's annual institutional base salary.

There are additional requirements for the Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB). Eligible applicants must come from an disadvantaged background and adhere to the following guidelines relating to the definition of a disadvantaged background:

An Individual from disadvantaged background means an individual who: (1) Comes from an environment that inhibited the individual from obtaining the knowledge, skill and ability required to enroll in and graduate from a health professions school; or

(2) Comes from a family with an annual income below a level based on low-income thresholds according to family size published by the U.S. Bureau of the Census, adjusted annually for changes in the Consumer Price Index, and adjusted by the Secretary for use in all health professions programs. The Secretary periodically publishes these income levels in the Federal Register.

#### **Beneficiary Eligibility:**

(1) Health Disparities Research Loan Repayment Program (LRP-HDR): and (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB) contracts: Qualified health professionals who conduct minority health or other health disparities research or highly qualified health professionals from disadvantaged backgrounds who will conduct clinical research and who possess substantial unpaid educational debt relative to income.

#### **Credentials/Documentation:**

An applicant to either NIMHD extramural LRP program must submit the

following documentation electronically: (1) Applicant Information Statement; (2) Biosketch; (3) Personal Statement, which includes a discussion of career goals and academic objectives; (4) Description of Research Activities; (5) Contact Information of Three Recommenders; (6) Contact Information of Institution Official able to serve as the Institutional Contact; (7) On-line Certification; (8) Loan Information; (9) Notice of Grant/Award (or PHS 2271 for T32 recipients), if applying based on NIH support; and in addition for those applying to the Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB) applicants must submit a Certification of Disadvantaged Background [see Federal Register: April 24, 2009 (Volume 74, Number 78)].

The Research supervisor or mentor of applicants to both NIMHD extramural LRP programs must electronically submit the following: (1) Recommendation; (2) Biosketch; (3) Assessment of the Research Activities Statement submitted by the applicant; (4) Description of the Research Environment; and (5) Training or Mentoring Plan. Recommenders must submit their recommendations electronically. Institutional Contacts must electronically submit a certification that: (1) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment Program Contract is executed; (2) assures that the applicant is or will be engaged in qualifying research for 50 percent of his/her time, i.e., not less than 20 hours per week; (3) certifies that the funding foundation, professional society, or institution is considered to be non-profit as provided under Section 501 of the Internal Revenue Code (26 U.S.C. 501) or is a U.S. government entity (Federal, state or local); and (4) provides the applicant's institutional base salary. Requirements for the loan repayment application, OMB Approval No. 0925-0361, are specified in the electronic application form located at [www.lrp.nih.gov](http://www.lrp.nih.gov). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application for participation in the program can be obtained from [www.lrp.nih.gov](http://www.lrp.nih.gov) and should be submitted to the NIH office, which is responsible for the receipt of applications, in such form and manner as the Secretary or the authorized designee may prescribe.

**Award Procedure:**

All eligible and completed applications will be forwarded to the Special Emphasis Panel (SEP) for review. Awards will be made to those applications approved by the SEP, subject to the receipt of an appropriation and/or allocation of funds from the United States Congress, the NIH and/or NIMHD. All selections are subject to final approval by the Secretary or the authorized designee, the Director of NIMHD.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. The approximate time for approval/disapproval is 6-8 months.

**Appeals:**

Not Applicable.

**Renewals:**

(1) Health Disparities Research Loan Repayment Program (LRP-HDR): and (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB) contracts: Prior to the expiration of a participant's current award, the participant may apply for a one- or two-year extension provided the participant continues to engage in qualified clinical research or minority health or other health disparities research and has outstanding repayable debt remaining. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts renewal applications are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has no statutory formula or matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

An initial contract provides assistance for a two-year period, and an extension contract provides assistance for a one-year or two-year period. Program payments will be made directly to lenders following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary or authorized designee. Method of awarding/releasing assistance: quarterly.

**Reports:**

Standard annual report from the NIH Division of Loan Repayment. Cash reports are not applicable. Participants must be periodically certified to have satisfactorily performed the duties of their positions. No expenditure reports are required. Participants must be periodically certified to have satisfactorily performed the duties of their positions.

**Audits:**

Not Applicable.

**Records:**

The NIMHD will retain applicant records for three years after rejection and participant records for six years after completion of final service obligation.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$13,311,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - (1) Health Disparities Loan Repayment Program (LRP-HDR) contracts: FY 10 \$11,847,000; FY 11 and FY 12 estimates not reported. (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB) contracts: FY 10 \$1,464,000; FY 11 and FY 12 estimates not reported.

**Range and Average of Financial Assistance:**

(1) Health Disparities Loan Repayment Program (LRP-HDR) contracts: total awards made by the NIMHD ranged from \$4,312 to \$103,138; average \$45,046. (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB) contracts: total awards made by the NIMHD ranged from \$4,516 to \$103,138; average \$45,045.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: (1) Health Disparities Loan Repayment Program (LRP-HDR): A total of 419 new applications were received and out of those, 126 were awarded; with a success rate of 30%. A total of 211 renewal applications were received and out of those, 136 were awarded; with a success rate of 64%.

(2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB): A total of 37 new applications were received and out of those, 14 were awarded; with a success rate of 38%. A total of 18 renewal applications were received and out of those, 16 were awarded; with a success rate of 89%. Fiscal Year 2011: Estimate not available. Fiscal Year 2012: Estimate not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 106-554; Section 487E of the Public Health Service Act (42 U.S.C. 288-5).

**Regional or Local Office:**

None.

**Headquarters Office:**

Francisco S. Sy, MD, DrPH NIH/NIMHD, 6707 Democracy Blvd. Suite 800, Bethesda, Maryland 20892-5465 Email: [syf@mail.nih.gov](mailto:syf@mail.nih.gov) Phone: (301) 402-1366 Fax: 301-480-4049

**Website Address:**

<http://www.nimhd.nih.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.209 Contraception and Infertility Research Loan Repayment Program; 93.923 Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP); 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Determinants for Disparate Outcomes in Type II Diabetes; Waist Circumference to Screen for Cardiovascular Disease Risk Factors in a Racially Diverse Adolescent Population; and Using Social Epidemiology to Understand the Links Among Risk and Protective Factors and Adolescent Substance Use. Fiscal Year 2011: Not available. Fiscal Year 2012: Not available.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications/proposals include the assessment of the following: (1) personal statement; (2) proposed research project and its scientific merit (priority will be given to biomedical and behavioral researchers); (3) training plan and environment (which includes the research program, the facilities/environment, the mentor/advisor's training, the applicant's training); (4) loan debt ratio and any associated impediments that may affect the applicant's decision to pursue a research career; and (5) references.

**93.338 FOREIGN PUBLIC HEALTH CONSTRUCTION****FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act (PHSA), Section 307(b)(10), 42 U.S.C. 242l, as amended., Title PHS, Section 307b10.

**OBJECTIVES:**

PHSA Section 307(b)(10) authorizes the award of grants or cooperative agreements to public or nonprofit private institutions or agencies in foreign countries to acquire, lease, construct, alter, or renovate facilities in their country in furtherance of activities authorized under Public Health Service Act Section 307(a), which includes: (1) biomedical research, health care technology, and the health services research and statistical analysis authorized under 42 U.S.C. Section 242k and 42 U.S.C. Subchapter VII; and (2) biomedical research, health care services, health care research, or other related activities in furtherance of the activities, objectives or goals authorized under the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008, 22 U.S.C. 7601. Awards are limited to real property projects, and can not include any other CDC assistance program activities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Support for Construction Projects, Modernization Projects, and Minor Alteration and Renovation Projects only. Construction Projects include construction of a new building of any dollar value, alteration and renovation of any dollar value that changes the footprint of an existing building, acquisition of an existing building of any dollar value, and permanently-installed trailers and modular units. Modernization Projects are limited to alteration and renovation that does not change the footprint of an existing building, and is limited to a single project in excess of \$500,000 or an aggregate of multiple projects for a single facility that total in excess of \$500,000. Minor Alteration and Renovation Projects are limited to alteration and renovation that does not change the footprint of an existing building, and is limited to a single project of \$500,000 or less or an aggregate of multiple projects for a single facility that total \$500,000 or less. All projects are subject to requirements for recipient responsibilities, project manager duties, property title and insurance, project signage, fixed equipment, budget, international use of funds, construction assurance statement, and public policy. Prior approval of individual project design and specifications, contracts, and phases is required. Funding is

accompanied by a liability disclaimer. Technical assistance may be provided. Construction and Modernization Projects are subject to additional requirements for notice of federal interest, leased facilities, mortgages, construction insurance, allowable costs, completion, post-completion facility usage, property disposal, and real property status reporting.

**Applicant Eligibility:**

An eligible applicant must: (1) Be a public or nonprofit private institution or agency in a foreign country; and (2) Be located in the same foreign country as the Project. An eligible project must: (1) Be located in the same foreign country as the Recipient; (2) Be limited to approved Construction, Modernization, and Minor Alteration and Renovation activities; and (3) Result upon completion is a facility that is for use by recipient personnel only, and not for use by any U.S. Government personnel; and (4) Fulfill a purpose of Public Health Service Act Section 307(a). Sub-recipients are not authorized.

**Beneficiary Eligibility:**

An eligible applicant must: (1) Be a public or nonprofit private institution or agency in a foreign country; and (2) Be located in the same foreign country as the Project. An eligible project must: (1) Be located in the same foreign country as the Recipient; (2) Be limited to approved Construction, Modernization, and Minor Alteration and Renovation activities; and (3) Result upon completion is a facility that is for use by recipient personnel only, and not for use by any U.S. Government personnel; and (4) Fulfill a purpose of Public Health Service Act Section 307(a). Sub-recipients are not authorized.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). Applicants that do not have access to the Internet or have difficulty accessing the forms on-line should contact the CDC Procurement and Grants Office, Technical Information Management Section (PGO-TIMS), Telephone (770)488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

Applicants must be responsive to the specific requirements in the funding opportunity announcement. Application forms available at [www.Grants.gov](http://www.Grants.gov) include the SF 424 (Application for Federal Assistance); the SF 424-C (Budget Information - Construction Programs); the SF 424-D (Assurances - Construction Programs); the GG Lobbying Form (Certification Regarding Lobbying for applications over \$100,000); the SF-LLL Disclosure of Lobbying Activities (for applications over \$100,000, if required); the Project Narrative Attachment; and the Budget Narrative Attachment. OMB Circular No. A-102 does not apply.

**Award Procedure:**

Applications that are complete and responsive will be evaluated for technical merit and receive support. CDC will not review incomplete or non-responsive applications. Applications that are complete and responsive will undergo an objective review process, receive a written critique, and be scored according to the published review criteria. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Applications are due by the date established in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program has no statutory formula. This program has no matching requirement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Individual projects will be incrementally funded in phases with lump sum awards. The initial project period will not exceed five years. Payments are made on an advance or reimbursement basis, as specified in the award. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are required as part of the review and approval process for individual project phases. For completed Construction and Modernization Projects, an annual Real Property Status Report is required for the duration of federal interest in the project. Financial Status Reports on expenditures for each budget period and for the overall project period are required. A quarterly Cash Transaction Report is required. A quarterly Cash Transaction Report is required. As noted in the Funding Opportunity Announcement.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with HHS policy, foreign recipients are subject to the same audit requirement as commercial organizations specified in 45 CFR 74.26(d).

**Records:**

Record retention and access requirements for records are specified in 45 CFR 74.53.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$2,000,000; FY 11 est \$200,000,000; and FY 12 est \$5,000,000 - FY10 - \$2,000,000 Est. to fund one award (Haiti); FY11 - \$200,000,000 Est. for multiple awards.

**Range and Average of Financial Assistance:**

New program with no awards to date.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74. HHS Grants Policy Statement (<http://www.ahrq.gov/fund/hhspolicy.htm>).

**Regional or Local Office:**

None.

**Headquarters Office:**

Valerie Naglich 1600 Clifton Rd NE (Mailstop D69), Atlanta, Georgia 30333  
Email: VNaglich@cdc.gov Phone: (404) 639-6481

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on the criteria cited in the funding opportunity announcements.

**93.339 PUBLIC HEALTH CONFERENCE SUPPORT**

Centers for Disease Control and Prevention (CDC)

National Center for HIV, Viral Hepatitis, Sexually Transmitted Disease and Tuberculosis Prevention (NCHHSTP) Public Health Conference Support

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under the Public Health Service Act, section 301(a), 42 U.S.C. 241(a), as amended and section 317(a), 42 U.S.C. 247b (a), as amended.

**OBJECTIVES:**

Program activities under this funding will allow state and local governments, their Bona Fide Agents, non-governmental organizations and the general public to request funds for partial support for public health conferences related to the health promotion, education and prevention of HIV, Viral Hepatitis, STD, and TB Prevention.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with reasonable program planning, including personnel, travel, supplies, and services such as contractual. Project funds may not be used for research, clinical care, or generally for the purchase of furniture or equipment. Reimbursement of pre-award costs is not allowed.

**Applicant Eligibility:**

N/A.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

Allowable costs will be determined in accordance with OMB Circular No. A-87 for State, Local, and Indian Tribal governments. OMB Circular A102 is applicable. Allowable cost will be applicable to; A-21 Educational Institutions, A-122 Non-Profit Organizations and A-110. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer and emailed to the program director and a hard copy mailed to the recipient fiscal officer identified in the application.

Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Cash reports are not applicable. Final financial status and progress reports are due no later than 90 days after the end of the project period. Financial Status Reports (SF 269) are required no more than 90 days after the end of the budget period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 10 \$0; FY 11 est \$750,000; and FY 12 est \$750,000

**Range and Average of Financial Assistance:**

Awards will range from approximately \$25,000 to \$125,000 with an average of approximately \$30,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This is a new program. It is anticipated in FY2011 that up to 11 applications will be awarded. Fiscal Year 2011: This is a new program. It is anticipated in FY2011 that up to 11 applications will be awarded. Fiscal Year 2012: This is a new program. It is anticipated in FY2011 that up to 11 applications will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hhspolicy.htm>

**Regional or Local Office:**

See Regional Agency Offices. Debra Byrd  
Public Health Advisor  
Centers for Disease Control and Prevention  
1600 Clifton Road NE, MS E-07  
Atlanta, GA 30333  
404 718-8518  
Email: [dbyrd1@cdc.gov](mailto:dbyrd1@cdc.gov).

**Headquarters Office:**

Megan B. Copeland, 1600 Clifton Road, MS E-07, Atlanta, Georgia 30096  
Email: [mzf3@cdc.gov](mailto:mzf3@cdc.gov) Phone: (404) 639-8864.

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by NCHHSTP/OD and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application and Submission Information, subsection Evaluation Criteria within the individual funding announcement. Applicants will be notified if their application did not meet program requirements.

**93.342 HEALTH PROFESSIONS STUDENT LOANS, INCLUDING PRIMARY CARE LOANS/LOANS FOR DISADVANTAGED STUDENTS HPSSL/PCL/LDS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Part C, Section 721-735, 42 U.S.C. 292q-292y; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To increase educational opportunities by providing long-term, low-interest loans to students in need of financial assistance and in pursuit of a course of study in an approved health discipline.

**TYPES OF ASSISTANCE:**

Project Grants (to capitalize loan funds)

**USES AND USE RESTRICTIONS:**

Funds on deposit can only be used for loans to eligible students pursuing a full-time course of study. The maximum amount a student may borrow is the cost of attendance (including tuition, other reasonable educational expenses and reasonable living expenses). Third and fourth year medical and osteopathic medicine students may be eligible for additional funding to repay earlier higher-interest educational loans. The interest rate is 5 percent.

Effective July 1, 1993, to be eligible for a Primary Care Loan (PCL), students of allopathic medicine and osteopathic medicine must meet financial need criteria and agree to enter and complete a residency training program in primary health care not later than 4 years after the date on which the student graduates from such school. The PCL borrower must also practice primary health care for 10 years (including the years spent in residency training) or through the date in which the loan is repaid in full, whichever occurs first.

To be eligible for Loans for Disadvantaged Students (LDS) students must meet the Health Professions Student Loans (HPSSL) criteria and also be from a disadvantaged background as defined by the Secretary. A school must be carrying out a program for recruiting and retaining students from disadvantaged backgrounds, including racial and ethnic minorities and carrying out a program for recruiting and retaining minority faculty to be eligible for LDS funds. In addition, the school must agree to ensure that adequate instruction regarding minority health issues is in the curricula of the school. Health clinics must provide services to a significant number of individuals who are from disadvantaged backgrounds, including members of minority groups and enter into arrangements with one or more such clinics for the purpose of providing students of the school with experience in clinical services to such individuals. Secondary educational institutions and undergraduate institutions of higher education must enter into arrangements with one or more such institutions for the purpose of carrying out programs regarding the educational preparation of disadvantaged students, including minority students, to enter the health professions and recruit such individuals into the health professions. These institutions should also establish a mentor program for assisting disadvantaged students, including minority students, toward completion of the educational requirements for degrees from the school. .

**Applicant Eligibility:**

Any accredited public or other nonprofit private school of medicine, dentistry, osteopathic medicine, optometry, podiatry, pharmacy, or veterinary medicine which provides a course of study leading to a degree of Doctor of Medicine or Doctor of Osteopathic Medicine for PCL borrowers, Doctor of Dentistry (or an equivalent degree), Doctor of Optometry (or an equivalent degree), Doctor of Podiatric Medicine (or an equivalent degree), Bachelor of Science in Pharmacy (or an equivalent degree), Doctor of Pharmacy (or an equivalent degree), or Doctor of Veterinary Medicine (or an equivalent degree) for HPSL and LDS borrowers. Additionally, the school must be located in the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, American Samoa, the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, or the Federated State of Micronesia.

**Beneficiary Eligibility:**

Student applicants must display financial need and be enrolled or accepted for enrollment in a health professions or nursing school to pursue a full-time course of study leading to a degree as specified above. Students must also be citizens, nationals or lawful permanent residents of the United States, the District of Columbia, the Commonwealths of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, American Samoa, the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, or the Federated State of Micronesia.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Students should apply at financial aid office of school of their choice for assistance in applying for a loan. The school then tabulates requests for financial aid and award loans based on needs of students and available funds.

New applications for this program can be acquired from the Division of Student Loans and Scholarships by calling (301) 443-1173. Annual operating reports serve as the renewal application for current loan recipient institutions.

**Award Procedure:**

Notification is made in writing by a Notice of Award. When Federal Capital Contribution funds are available for re-distribution, a Notice of Award is sent to the School's Contact Person notifying the school of the amount of Federal funds allocated for loans within program and discipline prior to the beginning of the academic year in which the award is to be utilized. Students are notified by the schools financial aid office of approval or disapproval of loans at times determined by schools.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Applications are required only for new schools. Annual operating reports are required for renewal.

**Formula and Matching Requirements:**

Statutory Formula: Allotment of funds based on statutory formula which takes into account the ratio each school's enrollment bears to the enrollments of all

schools making application for funds but never in excess of request of school. Under the Federal Capital Contribution method, a school must match Federal Capital Contribution with an amount equal to one-ninth of the funds drawn down.

Matching Requirements: 11% Matching Requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time required by a student to complete the necessary course of study leading to a degree and subject to the availability of funds. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Operating Report (AOR) through electronic submission at <http://grants.hrsa.gov>. AOR must be submitted 45 days after the end of each budget period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

Financial records must be kept until such time as agreed upon with the Secretary as specified in 42 CFR 57.215.

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants (to capitalize loan funds)) FY 10 \$20,171,302; FY 11 est \$8,934,069; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$1,375 to \$4,170,623 for FY 10;; Average: \$234,550 per institution for FY 10.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Program Contact: Jim Essel (PCL), Lesa Bandy (LDS), or Cynthia Johnson (HPSL), Division of Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9-105, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4776. Use the same number for FTS.

**Headquarters Office:**

Jim Essel (PCL), Lesa Bandy (LDS), or Cynthia Johnson (HPSL) 5600 Fishers Lane, Room 9-105, Rockville, Maryland 20857 Phone: (301) 443-4776

**Website Address:**

<http://bhpr.hrsa.gov/scholarshipsloans/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness, accuracy, and to determine if applicant schools meet minimum program requirements.

**93.358 ADVANCED NURSING EDUCATION TRAINEESHIPS**

ANET

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII, Section 811 (a)(2) of the Public Health Service Act, (42 U.S.C. 296j(a)(2)), as amended by Section 5308 of the Patient Protection and Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

Grants are awarded to eligible institutions to provide financial support through traineeships for registered nurses enrolled in advanced education nursing programs to prepare nurse practitioners, clinical nurse specialists, nurse-midwives, nurse anesthetists, nurse administrators, nurse educators, public health nurses and nurses in other specialties determined by the Secretary to require advanced education.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds can only be used to pay all or part of the costs of tuition, books, and fees of the program of advanced nurse education, and reasonable living expenses of the individual during the period for which the traineeship is provided.

Indirect costs and trainee travel are not allowed. Maximum period of support is limited to 36 months of full or part-time study for each graduate student.

**Applicant Eligibility:**

Eligible applicants are collegiate schools of nursing, academic health centers, and other private or public nonprofit entities accredited by a recognized body or bodies or State agency, approved for the purpose of nursing education by the Secretary of Education.

**Beneficiary Eligibility:**

The participating institutions select traineeship recipients. A candidate must be enrolled in an advanced education nursing program for preparation as a nurse practitioner, nurse-midwife, nurse anesthetist, clinical nurse specialist, public health nurse, nurse administrator, nurse educator, or other nurse specialty determined by the Secretary to require advanced education. The candidate must be pursuing a master's or doctoral degree, a combined RN to master's degree, nurse-midwifery certificate in existence on November 12, 1998, or a post-nursing master's certificate. The candidate must be a citizen of the United States, non-citizen national, or foreign national who possesses a visa permitting permanent residence in the United States. The candidate must be eligible to sit for national nursing certification in the nursing specialty or field of study (as applicable) following graduation.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under

E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov and the HRSA EHBs.

**Award Procedure:**

Notification of award is made in writing through a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6-8 months after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Applications must be submitted annually.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for (1) year. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Reporting Requirements have changed. The annual FSR is not required. No expenditure reports are required. Program performance will be reported as part of the next competing application.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-551.

**Obligations:**

(Formula Grants) FY 10 \$16,000,000; FY 11 est \$16,000,000; and FY 12 est \$16,000,000

**Range and Average of Financial Assistance:**

Range \$1,445 - \$337,319 average \$45,845.27.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Data Available. Fiscal Year 2011: Fiscal Year 2011: 364 applications submitted; 349 applications recommended for approval and funded. Fiscal Year 2012: No Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as

applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Office: Karen Breeden, AENT Project Officer, Department of Health and Human Services, Health Resources and Services Administration, Bureau of Health Professions, Division of Nursing, 5600 Fishers Lane, Room 9-61, Parklawn Building, Rockville, MD 20857. Telephone: 301- 443-5688.

**Headquarters Office:**

Karen Breeden 5600 Fishers Lane, Room 9B-45, Rockville, Maryland 20857  
Phone: (301) 443-5688

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All eligible applicants are considered in a formula for calculating awards. Eligible applicants be accredited and must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.359 NURSE EDUCATION, PRACTICE AND RETENTION GRANTS**

NEPQR and Faculty Development: ITNEP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII, Section 831 and 831A of the Public Health Service Act (42 U.S.C. 296p and 42 U.S.C. 296p-1), as amended by section 5309 of the Patient Protection and Affordable Care Act, P.L. 111-148.

**OBJECTIVES:**

Nurse Education, Practice, Quality, and Retention Program (NEPQR) Grants are awarded to eligible applicant organizations for projects to strengthen and enhance the capacity for nurse education, practice, quality, and retention to address the nursing shortage. There are three major priority areas (Education, Practice and Retention) and eight purposes associated with the three priority areas. Applicants must select and focus on one of these eight purposes in the grant application.

The education priority areas are: Purpose E1) expanding enrollment in baccalaureate nursing programs; Purpose E2) providing education in new technology, including distance learning methodologies.; The practice priority areas are: Purpose P1) establishing or expanding nursing practice arrangements in non-institutional settings to demonstrate methods to improve access to primary health care in medically underserved communities; Purpose P2) providing care for underserved populations and other high-risk groups such as the elderly, individuals with HIV/AIDS, substance abusers, the homeless, and victims of domestic violence; Purpose P3) providing quality coordinated care and other skills needed to practice in existing and emerging organized health care systems; Purpose P4) developing cultural competencies among nurses. The retention priority areas are: Purpose R1) career ladder bridge programs which promote career advancement for nursing personnel and registered nurses to become baccalaureate prepared or advanced education nurses; Purpose R2) developing and implementing internship and residency programs in collaboration with an accredited school of nursing to encourage mentoring and the development of specialties; Purpose R3) career ladder programs to assist with entering into and advancing within the nursing profession; and Purpose R4) enhancing patient care delivery systems that is directly related to nursing

activities by enhancing collaboration and communication among nurses and other health care professionals, and by promoting nurse involvement in the organizational and clinical decision-making processes of a health care facility.

Faculty Development: Integrated Technology into Nursing Education and Practice Initiative (Faculty Development: ITNEP).

The purpose of this initiative is to provide support to nursing collaboratives for faculty development in the use of information and other technologies in order to expand the capacity of collegiate schools of nursing to educate students for 21st century health care practice. Nursing collaboratives will use healthcare information systems to enhance nursing education and practice, optimize patient safety, and drive improvements in health care quality.

For this initiative, use of information and other technologies in nursing education and practice, includes, but is not limited to, informatics, telehealth, mannequin-based and patient simulators, computer-based instructions, virtual simulation, interactive simulated case studies, advanced 3D graphics, e-Learning technology, and other simulated or virtual methods to enhance nursing education and practice. Since no institution or organization currently offers the full spectrum of information and other technologies necessary to carry out this initiative, the nursing collaboratives must develop linkages and partnerships to undertake this initiative.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and student stipends or scholarships; and other expenses related to the project. Restricted Uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to 8 percent of direct costs exclusive of equipment and tuition and fees.

**Applicant Eligibility:**

Eligible applicants are: accredited schools of nursing, health care facilities, a partnership of such a school and a health care facility, nursing centers, academic health centers, State or local governments, and other public or private non-profit entities determined appropriate by the Secretary. The term health care facility means as Indian Health Service health center, a Native Hawaiian health center, a hospital, a Federally qualified health center, a rural health center, a nursing home, a home health agency, a hospice program, a public health clinic, a State or local department of public health, a skilled nursing facility, an ambulatory surgical center, or any other facility designated by the Secretary. The eligible applicant must be capable of carrying out the legislative purpose of the NEPQR program.

Schools of nursing providing undergraduate education and formal degree programs must be accredited by a national nurse education accrediting agency or State approval agency recognized by the Secretary of the U.S. Department of Education. Newly established programs should consult with the U.S. Department of Education and provide appropriate documentation.

**Beneficiary Eligibility:**

Accredited public and nonprofit private schools of nursing and other public or nonprofit private entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.



All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

NEPQR

Competing continuation applications may be submitted for continuance of a grant beyond the initial project period. A competing continuation application shall be submitted during the beginning of the last year of the initial project period. The submission date is the same for new applications and competing continuation applications. These applications are reviewed in the same manner and at the same time as new competing applications.

Faculty Development: ITNEP applications for the ITNEP program may only be submitted for new grant awards. This program does not accept competing applications beyond the initial five year project period.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

NEPQR

Competing and competing continuation grant applications are submitted for up to three (3) years of support, except for the following two legislative purposes: (1) establishing or expanding nurse practice arrangements and (2) enhancing patient care delivery systems which are for up to five years of support.

Faculty Development: ITNEP.

Cooperative agreements are submitted for up to five years of support. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A Financial Financial Report (FFR) must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. No expenditure reports are required. A Uniform Progress Report (UPR) and Comprehensive Performance Management System (CPMS) Report must be submitted annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,562,807; FY 11 est \$1,969,674; and FY 12 est \$1,372,379. (Project Grants) FY 10 \$35,600,241; FY 11 est \$35,600,241; and FY 12 est \$35,600,241

**Range and Average of Financial Assistance:**

NEPQR: \$65,477 - \$584,837; \$250,000

ITNEP: \$238,142 - \$300,000; \$269,071.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data. Fiscal Year 2011: No Current Data. Fiscal Year 2012: No Current Data.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. NEPQR Dr. Janice Young, CDR Daniel Reed, and Ms. Renata Thompson, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-61, Rockville, MD 20857. Telephone: (301) 443-5688.

ITNEP: Nancy Douglas-Kersellius, Nurse Consultant, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane Room 9-61, Rockville, MD 20857, 301-443-5688, Fax: 301-443-0791.

**Headquarters Office:**

Division of Nursing 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857 Phone: (301) 443-5688

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The purpose of the project must be consistent with and promote the activities identified in the law. Need must be documented, and the capability for achieving project goals must be described. In making awards of grants under this section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State in local health departments. This preference will only be applied to applications that rank above the 20th percentile of applications recommended for approval.

**93.360 BIOMEDICAL ADVANCED RESEARCH AND DEVELOPMENT AUTHORITY (BARDA), BIODEFENSE MEDICAL COUNTERMEASURE DEVELOPMENT**

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 319L; Consolidated Appropriations Act, 2010, Division DDepartments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act, 2010.

**OBJECTIVES:**

The purpose of this program is to coordinate the acceleration of countermeasure and product advanced research and development by (A) facilitating collaboration between the Department of Health and Human Services and other Federal agencies, relevant industries, academia, and other persons, with respect to such advanced research and development; (B) promoting countermeasure and product advanced research and development; (C) facilitating contacts between interested persons and the offices or employees authorized by the Secretary to advise such persons regarding requirements under the Federal Food, Drug, and Cosmetic Act and under section 351 of the Public Health Service Act; and (D) promoting innovation to reduce the time and cost of countermeasure and product advanced research and development. The Public Health Service Act at 42 U.S.C. 247d-6a defines a qualified countermeasure as a drug (as that term is defined by section 321(g)(1) of title 21), biological product (as that term is defined by section 262(i) of this title), or device (as that term is defined by section 321(h) of title 21), that the Secretary determines to be a priority (consistent with sections 182(2) and 184(a) of title 6) to - (i) diagnose, mitigate, prevent, or treat harm from any biological agent (including organisms that cause an infectious disease) or toxin, chemical, radiological, or nuclear agent that may cause a public health emergency affecting national security; or (ii) diagnose, mitigate, prevent, or treat harm from a condition that may result in adverse health consequences or death and may be caused by administering a drug, biological product, or device that is used as described in this subparagraph.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Support international in-country advanced development and industrialization of human pandemic influenza vaccine. Support activities related to the mitigation of the global shortage of influenza vaccines through awards and sub-awards to developing countries with the potential and capacity to manufacture various influenza vaccines. Basic research (e.g. scientific or medical experiments) is not allowable. 100% of funds are for discretionary activities.

**Applicant Eligibility:**

All types of entities are eligible, including highly qualified foreign nationals outside the United States either alone or in collaboration with American participants when such transactions may inure to the benefit of the American people. Applicants should review the individual funding opportunity announcements issued under this CFDA program.

**Beneficiary Eligibility:**

All individuals including at-risk individuals such as children, pregnant women, elderly, and others at-risk who may be given special priority.

**Credentials/Documentation:**

Applicants should review the individual funding opportunity announcements issued under this CFDA program for any credentials or certifications that must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained through Grants.gov FIND, <http://www.grants.gov/>. Applicants should visit Grants.gov - FIND for the funding opportunity announcement and Grants.gov - APPLY to download application materials to complete and submit their applications in accordance with the funding opportunity announcement (FOA).

**Award Procedure:**

Applications that successfully proceed through initial screening (as outlined in the funding opportunity announcement) will be objectively reviewed based upon the review criteria specified in the FOA. Applications selected for funding will be processed and the applicant notified in writing through the issuance of a Notice of Award from the Office of the Assistant Secretary for Preparedness and Response.

**Deadlines:**

Sep 30, 2010: Applicable deadlines and due dates are specified in each funding opportunity announcement.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are limited up to 60 months. Budget periods are limited up to 12 months. See the following for information on how assistance is awarded/released: Awardee is issued a Notice of Award, a legal document that informs the awardee that a grant award has been made. Awardee may draw down funds in advance of the incurrence of an expenditure (up to three days) from the Payment Management System.

**Reports:**

Program reports are not applicable. Recipients must report cash transaction data via the Payment Management System (PMS) using the cash transaction data elements captured on the Federal Financial Report (FFR), Standard Form (SF) 425. Recipients will utilize the Transactions section of SF425 in lieu of the SF272. The FFR SF425 cash Transaction Report is due 30 days after the end of each calendar quarter. Grantees are required to submit semi-annual Program Progress Reports as well as final Program Progress Reports. Report formats and submission requirements are outlined in the funding opportunity announcement. ASPR requires cumulative financial reporting through consecutive funding periods on the SF269 FSR long form. The FFR SF425 was designed to replace the Financial Status Report SF269 and the Federal Cash Transactions Report SF272 with one comprehensive financial reporting form. Until HHS fully migrates to the SF425 FFR, recipients are still required to submit the SF269 Financial Status Report (FSR) semi-annually within 30 days after the first 6 month period and within 90 days of the budget period end date. Grantees are required to submit final Financial Status Reports (SF-269). Performance monitoring of awardees is completed by BARDA program staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0140-0-1-551.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$10,500,000; FY 11 est \$11,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$250,000 to \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 109-417, 45 CFR 92, 45 CFR 74, 45 CFR 46, 2 CFR, HHS Grants Policy Statement found at <http://www.hhs.gov/asrt/og/grantinformation/hhsgps107.pdf>

**Regional or Local Office:**

None.

**Headquarters Office:**

Rick A. Bright Biomedical Advanced Research and Development Authority, 330 Independence Ave SW, Room G-640, Washington, District of Columbia 20201 Email: Rick.Bright@hhs.gov Phone: 202-260-8535

**Website Address:**

<http://www.medicalcountermeasures.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Discretionary awards are subject to objective review. Reviewers will individually evaluate and score applications based upon the review criteria specified in the funding opportunity announcement. Scored applications will be ordinarily ranked. The highest ranked applications will receive priority consideration for award within available funding.

**93.361 NURSING RESEARCH****FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 464, 487, 42 U.S.C 285q; Public Health Service Act, Public Law 102-564; Public Health Service Act, Public Law 99-158.

**OBJECTIVES:**

The National Institute of Nursing Research (NINR) supports clinical and basic research to build the scientific foundation for clinical practice, prevent disease and disability, manage and eliminate symptoms caused by illness, and enhance end-of-life and palliative care. NINR seeks to extend nursing science by integrating the biological and behavioral sciences, employing new technologies to research questions, improving research methods, and developing the scientists of the future. NINR accomplishes its mission through research on preventing, delaying the onset, and slowing the progression of disease and disability. This includes (a) finding effective approaches to achieving and sustaining a healthy lifestyle and preventing diseases and disability; (b) improving the quality of life for patients, families, and informal caregivers by enhancing the individual's role in managing disease and disability, relieving symptoms, and improving outcomes; (c) eliminating health disparities, including disparities based on race/ethnicity, gender, socio-economic status, geography, cultural factors, and disability, and (d) addressing issues at the end of life, improving palliative care, enhancing the quality of life for the dying patient, and supporting family and informal caregivers. These efforts are crucial in translating scientific advances into cost-effective health care that does not compromise quality. NINR accomplishes its mission by supporting grants to universities and other research organizations as well as by conducting research intramural at laboratories in Bethesda, Maryland. The research fosters interdisciplinary collaborations to ensure a comprehensive approach to research on illness and disabling conditions. This approach is especially relevant in research aimed at developing interventions that address the needs of diverse populations across the life span, adapting and generating new technologies, integrating biological and behavioral science, improving methods for future scientific discoveries. In addition, the Institute supports comprehensive research training programs to prepare individuals with requisite interdisciplinary skills to conduct nursing research. Small Business Innovation Research (SBIR) program: NINR seeks to expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: Through this program, NINR seeks to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research

institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Centers Program: To promote interdisciplinary research, offer an environment for research training and career development, and concentrate research through Centers for Nursing Research.

Program areas are as follows: Chronic conditions and infectious diseases, including health issues of individuals with arthritis, diabetes, urinary incontinence, digestive disorders, and musculoskeletal disorders; Health behavior and minority health, including studies of health disparities, women's health, men's health, and health and risk behaviors research; Cardiopulmonary and critical care science, including research on responses to acute cardiovascular events, chronic management of cardiovascular disease, and responses to acute and chronic pulmonary conditions such as COPD, asthma, and other non-infection-caused conditions; Neuroscience, including research on symptom management and/or prevention of cognitive deficits, neurological conditions, and informal caregiving for persons with these conditions; HIV/AIDS and oncology, including symptom management, self-management, and caregiving of patients with cancer, HIV/AIDS, and immune disorders; Reproductive, child, and family health, including reproduction and child bearing issues, infant development and illness, child and adolescent health promotion and risk reduction, and family health; End of life and long term care, including clinical management of physical and psychological symptoms, communication, ethics and clinical decision-making, caregiver support, and care delivery issues at the end of life.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research Grants: Funds may be used for salaries, consultation, equipment, travel and other usual costs, subject to Federal regulations applicable to the grant. National Research Service Awards (NRSAs) (Individual): Individual awards are made to institutions on behalf of the individual for research training in specified areas related to the mission of NINR. NRSAs (Institutional): Grants may be made to institutions to enable them to accept individuals for research training. Each individual who receives a NRSA postdoctoral fellowship on an NRSA award must comply with all applicable service and payback provisions. SBIR Phase I grants: (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

**Applicant Eligibility:**

Research Grants: Any corporation, public or private institution or agency, or other legal entity, either nonprofit or for-profit, may apply. NRSAs (Individual): An applicant must be a registered professional nurse with either a baccalaureate and/or a master's degree in nursing or a related field and must be a citizen of the United States or lawfully admitted for permanent residence. Those on temporary or student visas are not eligible. NRSAs (Institutional): An eligible institution must be capable of providing predoctoral and/or postdoctoral research training opportunities for nurses. SBIR grants: can be awarded only to domestic small businesses (entities that are independently owned and operated for profit; are not dominant in the field in which research is being proposed; and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the United States or its possessions. To be eligible for funding, a grant application must be reviewed for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500

employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Individuals and public or private institutions.

**Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. NRSAs (Individual): The applicant's academic record, research experience, citizenship, licensure as a registered nurse, and institutional sponsorship should be documented in the application. NRSAs (Institutional): The applicant organization must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and detailed budget justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular A-21, Cost Principles for Educational Institutions. For-profit organizations' costs are determined in accordance with 48 CFR Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. The SF 424 (Research and Research-Related) application forms and the SF 424 SBIR/STTR Application Guide are used to apply for both SBIR and STTR, Phase I and Phase II. Application is made electronically through Grants.gov (<http://www.grants.gov>). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research Grants: Applications must be prepared either electronically through Grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-Related) or on paper using the PHS 398 research grant application instructions and forms (rev. 4/2006). The PHS 398 is available at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. The format is interactive. For assistance contact GrantsInfo, Telephone (301) 435- 0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). NRSAs (Individual): Individuals must submit the application form, PHS Individual National Research Service Award (PHS 416-1, rev. 10/05), and include at least three letters of reference. If the applicant has been lawfully admitted to the United States for permanent residence, the appropriate item should be checked on the Face Page of the application. Applicants who have applied for and have not yet been granted admission as a permanent resident should check the Permanent resident block on the Face Page of the PHS 416-1 application, and also write in the word "pending." A notarized statement documenting legal admission for permanent residence must be submitted prior to the issuance of an award. SBIR and STTR: The SF 424 (Research and Research-Related) application forms and the SF 424 SBIR/STTR Application Guide are used to apply for both SBIR and STTR grants, Phase I and Phase II. Application must be made electronically through grants.gov (<http://www.grants.gov>). For further assistance contact GrantsInfo, Telephone: (301) 435-0714, E-mail: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

**Award Procedure:**

Research Grants and NRSAs (Institutional): All accepted applications are reviewed for scientific merit by an appropriate initial review group and then by a national advisory council. (Individual NRSA applications are not reviewed by council.) All applications favorably recommended compete for available funds on the basis of scientific merit and mission/program relevance. All accepted

SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, mission/program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Research Grants: From 6 to 9 months. NRSAs: From 6 to 9 months. SBIR/STTR: About 7-1/2 months. AIDS Grants: About 6 months.

**Appeals:**

Research Grants: A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the NINR.

**Renewals:**

Research Grants: Renewal applications are accepted. NRSAs: Awards may be made for 1 to 5 years. No individual may receive more than 5 years of aggregate NRSA support beyond the predoctoral level, and no individual may receive NRSA support for more than 3 years of support beyond the postdoctoral level. Institutional awards may be renewed.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Research Grants: Awards are usually made annually with no project periods to exceed 5 years in length. NRSAs: Institutional awards may be made for up to 5 years, and Individual awards may be made for up to 5 years at the predoctoral level, 3 years at postdoctoral level, and 2 years at senior level. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Grant awards are made annually.

**Reports:**

Final reports including the financial status report on all projects are required within 90 days after their conclusion. No cash reports are required. Progress reports where applicable are required annually for continuing projects. Financial status reports where applicable are required annually for continuing projects. Progress reports where applicable are required annually for continuing projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records

must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0889-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$112,362,000; FY 11 est \$112,268; and FY 12 est \$113,066,000 - Research Grants. (Training) FY 10 \$8,754,000; FY 11 est \$8,937,000; and FY 12 est \$9,295,000 - National Research Service Awards (NRSA).

**Range and Average of Financial Assistance:**

(Research Grants) \$10,792 to \$911,785; \$358,000 avg. cost. (NRSAs) Individual Awards \$4,662 to \$54,747; \$32,000 avg. cost of FTTP/Awd.; Institutional Awards \$12,515 to \$510,022; \$44,000 average cost of FTTP.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 282 research grants, 78 NRSA Individual FTTPs, 136 NRSA Institutional FTTPs were awarded for 2010. Fiscal Year 2011: 282 research grants, 78 NRSA Individual FTTPs, 136 NRSA Institutional FTTPs are projected to be awarded for 2011. Fiscal Year 2012: 282 research grants, 78 NRSA Individual FTTPs, 136 NRSA Institutional FTTPs are projected to be awarded for 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research Grants: Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Denise Russo 31 Center Drive, Bethesda, Maryland 20892 Email: denise.russo@nih.hhs.gov Phone: 301-402-7889

**Website Address:**

<http://www.ninr.nih.gov/>

**RELATED PROGRAMS:**

93.226 Research on Healthcare Costs, Quality and Outcomes; 93.242 Mental Health Research Grants; 93.359 Nurse Education, Practice and Retention Grants; 93.399 Cancer Control; 93.866 Aging Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: (1) The Caregiving Trajectory for Community-Dwelling Mexican-American Elders; (2) Home ECG Monitoring to Detect Allograft Rejection Following Heart Transplantation(3) Culture, behavioral change and HIV-risk reduction among young migrants in China; (4) Fatigue Self-Management in Primary Care: Efficacy, Credibility, and Economics; (5) Predicting Children's Response to Distraction from Pain: Tailored Intervention; (5) Health Benefits and Cost of Human Milk Feedings for Very Low Birthweight Infants; (6) Improving Continence & Pain Control in LTC: The M-TRAIN Intervention; (7) Promoting Physical Activity in Older Adults with Co-morbidity ; (8) Estrogen and Testosterone in Experimental Stroke; (9) Nurse Delivered Cell-Phone HIV Adherence Intervention; (10) Improving patient outcomes in end-of-life care provided by physicians and nurses; (11) Effects of

Therapeutic Horseback Riding on Children and Adolescents with Autism; (12) Genetics, Environment and Weight Gain Post-transplant. Fiscal Year 2011: Please see 2010 for a representation of the general science areas covered. Fiscal Year 2012: Please see 2010 for a representation of the general science areas covered.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) Significance: Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge or clinical practice be advanced? What will be the effect of these studies on the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field? (2) Approach: Are the conceptual framework, design, methods, and analyses adequately developed, well-integrated, well-reasoned, and appropriate to the aims of the project? Does the applicant acknowledge potential problem areas and consider alternative tactics? For applications designating multiple PIs, is the leadership approach, including the designated roles and responsibilities, governance, and organizational structure, consistent with and justified by the aims of the project and the expertise of each of the PIs? (3) Innovation: Is the project original and innovative? Does the project challenge existing paradigms or clinical practice; address an innovative hypothesis or critical barrier to progress in the field? Does the project develop or employ novel concepts, approaches or methodologies, tools, or technologies for this area? (4) Investigators: Are the PD/PIs and other key personnel appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level(s) of the principal investigator(s) and other researchers? Do the PD/PIs and investigative team bring complementary and integrated expertise to the project (if applicable)? (5) Environment: Do(es) the scientific environment(s) in which the work will be done contribute to the probability of success? Do the proposed studies benefit from unique features of the scientific environment(s), or subject populations, or employ useful collaborative arrangements? Is there evidence of institutional support? In addition to the above criteria, the following items will continue to be considered in the determination of scientific merit and the priority score: Resubmission Applications (formerly revised/amended applications): Are the responses to comments from the previous scientific review group adequate? Are the improvements in the resubmission application appropriate? Protection of Human Subjects from Research Risk: The involvement of human subjects and protections from research risk relating to their participation in the proposed research will be assessed. Inclusion of Women, Minorities and Children in Research: The adequacy of plans to include subjects from both genders, all racial and ethnic groups (and subgroups), and children as appropriate for the scientific goals of the research will be assessed. Plans for the recruitment and retention of subjects will also be evaluated. Care and Use of Vertebrate Animals in Research: If vertebrate animals are to be used in the project, the adequacy of the plans for care and use of vertebrate animals to be used in the project will be assessed. Biohazards: If materials or procedures are proposed that are potentially hazardous to research personnel and/or the environment, determine if the proposed protection is adequate. Applications compete for available funds with all other recommended applications. The following will be considered in making funding decisions: Scientific merit of the proposed project as determined by peer review; Availability of funds; Relevance of program priorities. The following criteria will be used in considering the scientific and technical merit of all SBIR/STTR grant applications: Significance: Does the proposed project have commercial potential to lead to a marketable product, process or service? Does this study address an important problem? What may be the anticipated commercial and societal benefits that may be derived from the proposed research? If the aims of the application are achieved, how will scientific knowledge or clinical practice be advanced? What will be the effect of these studies on the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field? Does the application lead to enabling technologies (e.g., instrumentation, software) for further discoveries? Will the technology have a competitive advantage over existing/alternate technologies that can meet the market needs? Approach: Are the conceptual or clinical framework, design, methods, and analyses adequately developed, well-integrated, well-reasoned, and appropriate to the aims of the project? Is the proposed plan a sound approach for establishing technical and commercial feasibility? Are the milestones and evaluation procedures appropriate? Does the applicant acknowledge potential problem areas and

consider alternative tactics? For applications designating multiple PDs/PIs, is the leadership approach, including the designated roles and responsibilities, governance, and organizational structure, consistent with and justified by the aims of the project and the expertise of each of the PDs/PIs? Innovation: Is the project original and innovative? For example: Does the project challenge existing paradigms or clinical practice; address an innovative hypothesis or critical barrier to progress in the field? Does the project develop or employ novel concepts, approaches, methodologies, tools, or technologies for this area? Investigator(s): Are the PD/PI(s) and other key personnel appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the PD/PI(s) and other researchers, including consultants and subcontractors (if any)? Do the PD/PIs and investigative team bring complementary and integrated expertise to the project (if applicable)? Are the relationships of the key personnel to the small business and to other institutions appropriate for the work proposed? Environment: Do(es) the scientific and technological environment in which the work will be done contribute to the probability of success? Do the proposed studies benefit from unique features of the scientific environment, or subject populations, or employ useful collaborative arrangements? Is there evidence of institutional support? Is there sufficient access to resources (e.g., equipment, facilities)? In addition to the above criteria, Phase II grant applications will be reviewed based upon the following criteria: 1. How well did the applicant demonstrate progress toward meeting the Phase I objectives, demonstrating feasibility, and providing a solid foundation for the proposed Phase II activity? 2. Did the applicant submit a concise Commercialization Plan that adequately addresses the specific areas described in the SF424 (R&R) SBIR/STTR Application Guide and the SBIR/STTR Information component? 3. Does the project carry a high degree of commercial potential, as described in the Commercialization Plan? In addition to the above criteria, the following items will continue to be considered in the determination of scientific merit and the priority score: Resubmission Applications: Are the responses to comments from the previous scientific review group adequate? Are the improvements in the resubmission application appropriate? Protection of Human Subjects from Research Risk: The involvement of human subjects and protections from research risk relating to their participation in the proposed research will be assessed. Inclusion of Women, Minorities and Children in Research: The adequacy of plans to include subjects from both genders, all racial and ethnic groups (and subgroups), and children as appropriate for the scientific goals of the research will be assessed. Plans for the recruitment and retention of subjects will also be evaluated. Care and Use of Vertebrate Animals in Research: If vertebrate animals are to be used in the project, the adequacy of the plans for their care and use will be assessed. Biohazards: If materials or procedures are proposed that are potentially hazardous to research personnel and/or the environment, determine if the proposed protection is adequate. SBIR/STTR applications compete for available funds with all other recommended SBIR/STTR applications. The following will be considered in making funding decisions: Scientific and technical merit of the proposed project as determined by peer review; Availability of funds; Relevance of the proposed project to program priorities.

### **93.364 NURSING STUDENT LOANS**

NSL

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 835-842, 42 U.S.C. 297a-i, as amended; Health Professions Education Partnership Act of 1998, Public Law 105-392.

#### **OBJECTIVES:**

To increase educational opportunities by providing long-term, low-interest loans to students in need of financial assistance and in pursuit of a course of study in an approved nursing program.

#### **TYPES OF ASSISTANCE:**

DIRECT LOANS

#### **USES AND USE RESTRICTIONS:**

The maximum amount a student may borrow is \$3,300 for an academic year for

each of the first two years, \$5,200 for each of the final 2 years, or the amount of the student's financial need, whichever is less. The total is limited to \$17,000 maximum. Loans will be made to full and half-time nursing students enrolled after June 30, 2000 who are citizens, nationals, lawful permanent residents of the United States, the District of Columbia, the Commonwealths of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, the American Samoa, the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, and the Federated States of Micronesia. Funds are made to schools of nursing to capitalize loan. The maximum amount a student may borrow is \$3,300 for an academic year for each of the first two years, \$5,200 for each of the final 2 years, or the amount of the student's financial need, whichever is less. The total is limited to \$17,000 maximum. Loans to full and half-time nursing students enrolled after June 30, 2000 who are citizens, nationals, lawful permanent residents of the United States, the District of Columbia, the Commonwealths of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, the American Samoa, the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, and the Federated States of Micronesia. Funds are made to schools of nursing to capitalize loan.

#### **Applicant Eligibility:**

All accredited public and nonprofit private schools of nursing that prepare students for practice as registered or graduate nurses, and that do not discriminate against students because of race, color, origin, sex, or handicapping conditions, are eligible to apply for funds to be disbursed to qualified nursing students.

#### **Beneficiary Eligibility:**

The Nursing Student Loan Program provides financial assistance to nursing students who are citizens, nationals or lawful permanent residents of the United States or the District of Columbia, the Commonwealths of Puerto Rico or the Mariana Islands, the Virgin Islands, Guam, the American Samoa or the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, and the Federated State of Micronesia.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. New applications for this program can be acquired from the Division of Student Loans and Scholarships by calling (301) 443-1173.

Annual operating reports serve as the new year application for current NSL recipient institutions

#### **Award Procedure:**

The Notice of Award is sent to the School's Contact Person notifying the school of the amount of Federal funds allocated for loans prior to the beginning of the academic year in which the award is to be utilized. Student is notified by student aid office of approval or disapproval at times determined by schools.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 6 months.

#### **Appeals:**

Not Applicable.

**Renewals:**

Applications are required for new schools. Annual operating reports are required for renewals.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching Requirements: Percent: 11%. Schools participating in loan programs must match the Federal contribution with an amount not less than one-ninth of the Federal allotment.

MOE requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and time of assistance depends upon the time required by the student to complete the necessary course of study leading to a degree and is subject to availability of funds. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Operating Report (AOR) through electronic submission at <http://grants.hrsa.gov>. AOR must be submitted 45 days after the end of each budget period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Loans) FY 10 \$1,073,242; FY 11 est \$1,354,127; and FY 12 est \$1,354,237

**Range and Average of Financial Assistance:**

\$1,341 to \$191,586 (FY 2010).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Christine Brazell, Division of Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9-95, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0992. Use same number for FTS.

**Headquarters Office:**

Christine Brazell 5600 Fishers Lane, Room 9-95, Rockville, Maryland 20857  
Phone: (301) 443-0992

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

84.063 Federal Pell Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness and accuracy, and to determine if applicant schools meet minimum program requirements.

**93.365 SICKLE CELL TREATMENT DEMONSTRATION PROGRAM  
SCTDP**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 712(c) of the American Jobs Creation Act of 2004, P.L. 108-357.

**OBJECTIVES:**

To support demonstration projects for the development and establishment of systemic mechanisms and partnerships to improve the prevention and treatment of sickle cell disease (SCD) through coordination of service delivery, genetic counseling and testing, bundling of technical services, training of health professionals, patient and provider education and identifying and establishing other efforts related to the expansion and coordination of education, treatment and continuity of care programs for individuals living with sickle cell disease.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved projects in accordance with Section 712 of the Public Law 103-357.

**Applicant Eligibility:**

Eligible entities include, Federally-qualified health center, as defined in section 1905(10)(2)(B) of the Social Security Act (42 U.S.C. 1396d(10)(2)(B)), nonprofit hospital or clinic, or university health center that provides primary health care, that: (1) has a collaborative agreement with a community-based Sickle Cell Disease organization or a nonprofit entity with experience in working with individuals who have Sickle Cell Disease; and (2) demonstrates that either the Federally-qualified health center, the nonprofit hospital or clinic, the university health center, the community-based Sickle Cell Disease organization or the Sickle Cell Disease experts who serve as consultants to the project have at least 5 years of experience in working with individuals who have Sickle Cell Disease.

**Beneficiary Eligibility:**

Projects will benefit individuals with Sickle Cell Disease and health professionals who provide care for individuals with Sickle Cell Disease.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made approximately 2-3 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory continuation application.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis for the duration of the grant period, and payments are made through an Electronic Transfer System or Cash Demand System. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Reports. Refer to funding opportunities announcement. Refer to funding opportunities announcement. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$3,501,221; FY 11 est \$3,472,583; and FY 12 est \$3,472,583

**Range and Average of Financial Assistance:**

Based on FY 2011  
\$379,590 to \$390,000; \$385,843.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Office: R. Lorriane Brown, RN, BS, CPHP, Genetic Services Branch, Division of Services for Children with Special Health Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-19, 5600 Fishers Lane, Rockville, MD 20857; Telephone: (301) 443-9775.

**Headquarters Office:**

R. Lorriane Brown, RN, BS, CPHP 5600 Fishers Lane, Room 18-A19, Rockville, Maryland 20857 Phone: (301) 443-9775

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria are described in Program Regulations 45 CFR 51, and specific criteria are included in the funding opportunity announcement materials provided with application kits.

**93.389 NATIONAL CENTER FOR RESEARCH RESOURCES**

(DBT, DCRR, DCM, DRI)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 479-480 487, Public Law 99-158; Public Health Service Act, Title III, Section 301, Public Law 78-410, U.S.C 341, 287-288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

The National Center for Research Resources (NCRR) provides laboratory scientists and clinical researchers with the environments and tools they need to understand, detect, treat, and prevent a wide range of diseases. This support enables discoveries that begin at a molecular and cellular level, move to animal-based studies, and then are translated to patient-oriented clinical research, resulting in cures and treatments for both common and rare diseases. NCRR connects researchers with one another and with patients and communities across the nation to harness the power of shared resources and research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Division of Biomedical Technology supports research, development and access to sophisticated technologies at resource centers nationwide which assist academic, nonprofit organizations in the development, use, and dissemination of innovative technologies useful for the advancement of biomedical science. Awards are provided under a variety of funding mechanisms composed of Biomedical Technology Resource(BTR) grants, Research Project Grants, Shared Instrumentation Grants (SIG), High End Instrumentation (HEI) Program and other mechanisms, such as Exploratory Grants to develop new technologies for biomedical research, Small Business Innovation Research (SBIR) grants, and Small Business Technology Transfer (STTR) grants. The Division for Clinical Research Resources makes it possible to apply knowledge gained through basic research to the development of lifesaving drugs, devices, and



therapies that protect the health of our nation's citizens by providing research infrastructure for clinical investigators. These specialized institutional resources are equipped to be flexible and responsive to changing scientific and economic environments and to unforeseen research challenges. The Division for Clinical Research Resources helps translate scientific knowledge into effective patient care through General Clinical Research Centers (GCRC), Research Career Development (K23, K24), Clinical Research Curriculum Award (CRCA, K30), Clinical Research-related activities, Small Business Innovation Research (SBIR) grants and Small Business Technology Transfer (STTR) grants; and improves pre-college science education and the public's understanding of science through the Science Education Partnership Award (SEPA) Program. Additionally, a new consortium, funded through Clinical and Translational Science Awards (CTSAs), will transform how clinical and translational research is conducted, ultimately enabling researchers to provide new treatments more efficiently and quickly to patients. The Division of Comparative Medicine supports research and resource projects, as well as centers that enable biomedical scientists to use high quality, disease-free animals effectively in research on human health problems. Support is also available for the development of a wide range of other research models, particularly marine invertebrates and lower vertebrates, and access to an array of important biological materials. These objectives are accomplished through activities of National Primate Research Centers (NPRC), Laboratory Animal Science (LAS), and Biological Models and Materials Research (BMMR). The Division of Research Infrastructure addresses the under representation of minority investigators; enhances the research environment at minority colleges and universities in the health sciences; broadens the geographic distribution of research grant funding to states with historically low NIH success rates; and improves biomedical research facilities through matching grants for construction and renovation. These objectives are accomplished through activities of the Research Centers in Minority Institutions (RCMI) program, the RCMI Clinical Research Infrastructure Initiative (RCRII), and the Institutional Developmental Award (IDeA). The Office of Construction supports the Research Facilities Improvement Program (RFIP) and the Animal Facilities Improvement Program.

**Applicant Eligibility:**

BTR Grants: Nonprofit health professional schools; other academic institutions; hospitals; State and local health agencies; and research organizations with programs in biomedical technology research located in the United States and its territories. SIG and HEI awards will be made to institutions only, not to individuals. GCRC and CTSA grants: schools, research hospitals, and other institutions capable of carrying out well-designed studies in any preclinical or clinical science involving human beings as research subjects in conjunction with investigators funded through the National Institutes of Health (NIH) and other Federal agencies. Research Career Development: Applications may be submitted on behalf of candidates by domestic, nonfederal organizations, public or private institutions of higher education. Clinical Research Scholar Program Award: Applications will be accepted from domestic, nonprofit organizations, public and private institutions of higher education that have strong, well-established clinical research and training program. SEPA: Public and private for-profit and nonprofit institutions and museums. DCM: Institutions of higher education, hospitals, and other institutions and organizations, both nonprofit and for-profit, seeking to establish, continue, or enlarge programs consistent with the objectives of the program. Applicants for NRSA must be citizens of the United States or be admitted to the United States for permanent residency. Applicants must be nominated and sponsored by a public or private nonprofit institution with staff and facilities suitable for the proposed research training. Nonprofit domestic organizations may apply for the institutional NRSA. RCMI: Institutions with more than 50 percent minority enrollment that award an M.D., D.D.S., D.V.M., or other doctoral degree in the health professions and/or a Ph.D. in the health-related sciences. This program is open only to institutions within the United States and its territories. RCRII: RCMI eligible institutions affiliated with medical schools. IDeA: Domestic public and private for profit and nonprofit institutions in States in which the success rate for applications to the NIH has been historically low. RFIP and Animal Facilities Improvement: Except where otherwise prohibited by law, any nonprofit organization competent to carry out biomedical research.

**Beneficiary Eligibility:**

Biomedical investigators at any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

SIG, HEI: A major user group of three or more investigators should be identified. Each major user must have NIH peer-reviewed research support at the time of the award. The application must show a clear need for the instrumentation by projects supported by multiple NIH research awards and demonstrate that these projects will require at least 75 percent of the total usage of the instrument. Applications for NRSA must be citizens of the United States or be admitted to the United States for permanent residency. Applicants must be nominated and sponsored by a public or private nonprofit institution with staff and facilities suitable for the proposed research training. Nonprofit domestic organizations may apply for the institution NRSA. RCMI, RCRII, and CCRE: Applicants must certify eligibility (see Applicant Eligibility requirements). IDeA, and Animal Facilities Improvement: None. RFIP: Application should include a complete research program description (with staff curricula vitae), space requirements for projected program, an environmental summary of the impact of the proposed facility as detailed in Public Law 90-190, The National Environmental Policy Act, and listing of all relevant licenses, permits or other approvals required by State and local authorities. Costs will be determined in accordance with OMB Circular Nos. A-122, "Cost Principles for Nonprofit Organizations," and in the case of SIG & HEI No. A-87 for State and local governments or A-21 for Educational Institutions, and HHS Regulations 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms may be obtained from the Division of Extramural Outreach and Information, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910. Telephone (301) 435-0714, e-mail: ASKNIH@odrockml.od.nih.gov. Completed applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, MSC 7710, Bethesda, MD 20892-7710. The standard application forms PHS 398, (Rev. November 1998), as furnished by PHS and required by 45 CFR, Part 92, and OMB Circular No. A-110 must be used for all programs. For filing NRSA individual fellowship award applications, Form 416-1 (Rev. October 1991) is needed. CTSA: Special instructions for preparing applications should be requested from the Division for Clinical Research Resources, One Democracy Plaza, 6701 Democracy Blvd., National Center for Research Resources, National Institutes of Health, Bethesda, MD 20892-4874. RFIP: Construction applications are to be submitted on a Standard Form 424, Application for Federal Assistance.

**Award Procedure:**

The initial review of applications from eligible investigators and institutions is reviewed by committees comprised of authorities in various fields of biomedical research and science education, as appropriate. Each application is given a peer evaluation for merit, and recommendations are forwarded to the National Advisory Research Resources Council for final review and recommendation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of their application by communicating with the NCRR staff. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

K23, K24, SIG, HEI, Animal Facilities Improvement, and RFIP: None. All

others may be renewed upon successful reapplication.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

All programs except for RFIP: 1 to 5 years. An Electronic Transfer System is used for transferring funds. RFIP: Construction must be completed within the time specified in grant award. The initial budget period is usually 2 years in length, although extensions may be requested. All funds must be obligated within 5 years from the date of award. See the following for information on how assistance is awarded/released: All programs except for RFIP: 1 to 5 years. An Electronic Transfer System is used for transferring funds. RFIP: Construction must be completed within the time specified in grant award. The initial budget period is usually 2 years in length, although extensions may be requested. All funds must be obligated within 5 years from the date of award.

**Reports:**

No program reports are required. No cash reports are required. Annual progress and financial status reports are required for all grants. Final performance and financial reports are required 90 days following the end of the project period. Reports are required after termination of NRSA to ascertain compliance with the service and payback provisions. RFIP: The grantee is responsible for performance of the contractor. The contractor must be covered by performance and payment bonds. Annual progress and financial status reports are required for all grants. Final performance and financial reports are required 90 days following the end of the project period. Reports are required after termination of NRSA to ascertain compliance with the service and payback provisions. RFIP: The grantee is responsible for performance of the contractor. The contractor must be covered by performance and payment bonds. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost

proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0848-1-1-552.

**Obligations:**

(Project Grants) FY 10 \$59,313,000; FY 11 est \$59,016,000; and FY 12 est \$59,581,000 - Research Centers in Minority Institutions Centers. (Project Grants) FY 10 \$425,722,000; FY 11 est \$425,731,000; and FY 12 est \$435,341,000 - General Clinical Research Centers/Clinical and Translational Science Awards Centers. (Project Grants) FY 10 \$34,474,000; FY 11 est \$33,051,000; and FY 12 est \$32,017,000 - Research Project Grants. (Project Grants) FY 10 \$228,862,000; FY 11 est \$228,862,000; and FY 12 est \$230,598,000 - Special Comprehensive Centers. (Project Grants) FY 10 \$82,518,000; FY 11 est \$82,280,000; and FY 12 est \$83,139,000 - Biomedical Technology Research Centers. (Project Grants) FY 10 \$130,013,000; FY 11 est \$130,959,000; and FY 12 est \$132,268,000 - Comparative Medicine Centers. (Project Grants) FY 10 \$175,465,000; FY 11 est \$175,356,000; and FY 12 est \$176,150,000 - Other Research. (Project Grants (Capacity Building and Complaint Processing, Training)) FY 10 \$6,253,000; FY 11 est \$6,255,000; and FY 12 est \$6,456,000 - Research Training. (Project Grants (Contracts)) FY 10 \$54,680,000; FY 11 est \$53,512,000; and FY 12 est \$68,876,000 - Research & Development Contracts.

**Range and Average of Financial Assistance:**

In fiscal year 2010, there were 129 Research Project Grants; In FY 2011, it is estimated that there will be 125 and in FY 2012, 121. There were 13 General Clinical Research Centers in FY 2010 and it is estimated that there will be 3 in FY 2011 and 0 in FY 2012. There were 55 Clinical and Translational Science Awards Centers in FY 2010 and it is estimated that there will be 60 in FY 2011 and FY 2012. There were 50 Biomedical Technology Resource Centers in FY 2010 and it is estimated there will be 53 in FY 2011 and FY 2012. There were 97 Specialized Comprehensive Centers in FY 2010 and it is estimated that there will be 97 in FY 2011 and 98 in FY 2012. There were 50 Comparative Medicine Centers in FY 2010. It is estimated that there will be 46 in FY 2011 and FY 2012. There were 23 Research Centers in Minority Institutions in FY 2010 and it is estimated that there will be 22 in FY 2011 and FY 2012. There were 358 Other Research Grants in FY 2010. It is estimated that there will be 369 in FY 2011 and 355 in FY 2012. There were 139 Full Time Training positions in FY 2010. It is estimated that there will be 134 in FY 2011 and FY 2012. There were 91 Research and Development Contracts in FY 2010. It is estimated that there will be 92 in FY 2011 and FY 2012.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BT: OMB Circular No. A-21, "Cost Principles for Educational Institutions." Reference: 44 FR 12368, March 6, 1979; Rev. No. 1, 47 FR 33658, August 3, 1982; Rev. No. 2, 51 FR 20908, June 9, 1986. OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations." Reference: 41 FR 32016, July 30, 1976. OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations." OMB Circular No. A-128, "Audits of State and Local Governments"; Reference: Public Law 98-502, the Single Audit Act of 1984. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts with State and Local Governments"; Reference: 34 CFR 255. 45 CFR 92. Reference: 42 FR 45828. OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations." Reference: 45 FR 46022, July 8, 1980. 45 CFR 74; 42 CFR 52h. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal Regulations at 42 CFR 52 and 42 USC

241. Department Staff Manual "Grants Administration"; Indirect Cost Register, DHHS; PHS Grants Policy Statement, DHHS Publications No. (OASH) 94-50,000, (Rev.) April 1, 1994; "NIH Grants Policy Guide," Office for Protection from Research Risks, NIH; "A Guide to Grant and Award Programs of the NIH"; and miscellaneous program literature from Headquarters Office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Newman, 6701 Democracy Boulevard, Room 994-MSC4874, Bethesda, Maryland 20892-4874 Email: pnewman@mail.nih.gov Phone: (301) 435-0864.

**Website Address:**

<http://www.ncrr.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. RFIP: Factors considered in making awards include the merit of the proposal, the needs of the institution, with special consideration for institutions designated as centers of excellence, the commitment of the institution, the availability of funds, and the overall program priorities.

**93.393 CANCER CAUSE AND PREVENTION RESEARCH**

Cancer Cause and Prevention Research

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 410 and 411, Public Law 78-410, as amended, 42 U.S.C. 241; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To identify those factors that cause cancer in man, and to discover and develop mechanisms for cancer prevention in man. Research programs include: (1) epidemiology; (2) chemical, physical and molecular carcinogenesis; (3) nutrition and bioactive food components; (4) immunology and vaccines; (5) field studies and statistics; (6) chemoprevention; (7) agent development; and (8) organ site studies. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation on socially and economically disadvantaged small business concern and women-owned small business concern in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development and economically disadvantage small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may

be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concern (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant applicant must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research on cancer.

**Credentials/Documentation:**

For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan and idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF424(R&R) (Rev. January 2010) is used to apply for SBIR Phase I and Phase II and STTR Phase I and Phase II. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Depending on the grant mechanism, either form PHS-398 (Rev. June 2009) or form SF424(R&R) (Rev. January 2010) is the standard application form. Both forms can be obtained online at <http://grants.nih.gov/grants/forms.htm>. The standard application forms, as furnished by DHHS and required by 45 CFR Part 92 for State and local governments, must be used for this program. This program is subject to

the provisions of 45 CFR Part 92 for State and local governments. SBIR and STTR Grant Solicitations and SBIR Contract Solicitations may be obtained electronically through the NIH's Small Business Funding Opportunities home page at <http://www.nih.gov/grants/funding/sbir.htm>. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. All competing SBIR and STTR grant applications must be submitted electronically to the NIH via Grants.gov (<http://www.grants.gov/>).

**Award Procedure:**

Grants and cooperative agreements are funded based on scientific merit, program relevance and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533-2) indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

(Grants) Approximately 10 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available online through the NIH home page at <http://www.grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Applications submitted for renewal must be reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and Cooperative Agreements: Average 3 to 4 years, maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or Letter of Credit. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. Annual financial status report is required 90 days after end of budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of a project. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the

day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Causation Research.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$695,159,000; FY 11 est \$736,535,000; and FY 12 est \$778,322,000 - (Grants) For RPG: FY2010 \$695,159,000; FY2011 est \$736,535,000; and FY2012 est \$778,322,000. For SBIR/STTR: FY2010 \$10,054,000; FY2011 est \$4,348,000; and FY2012 est \$4,519,000.

**Range and Average of Financial Assistance:**

Range: \$4,530 to \$5,377,011.  
Average: \$444,475.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Competing FY2010 RPG act. 386 awards which were 17.9% of applications received  
Competing FY2010 RPG act. 11 awards which were 14.1% of applications received. Fiscal Year 2011: FY 2011 est. 1510 total awards. Fiscal Year 2012: FY 2012 est. 1539 total awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 74; 45 CFR 92; NIH Grants Policy Statement (10/1/10); Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Catherine M. Battistone 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: [battistc@mail.nih.gov](mailto:battistc@mail.nih.gov) Phone: 3015941088

**Website Address:**

<http://www.nih.gov/>; <http://cancer.gov/>; <http://cancercontrol.cancer.gov/>; <http://prevention.cancer.gov/>.

**RELATED PROGRAMS:**

93.394 Cancer Detection and Diagnosis Research; 93.395 Cancer Treatment Research; 93.396 Cancer Biology Research; 93.399 Cancer Control

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.394 CANCER DETECTION AND DIAGNOSIS RESEARCH**

Cancer Detection and Diagnosis Research

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 410, and 411, Public Law 78-410, as amended, 42 U.S.C. 241; Public Law 100-607, 42 U.S.C. 285 and 285a; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To improve screening and early detection strategies and to develop accurate diagnostic techniques and methods for predicting the course of disease in cancer patients. Screening and Early Detection research includes development of strategies to decrease cancer mortality by finding tumors early when they are more amenable to treatment. Diagnosis research focuses on methods to determine the presence of a specific type of cancer; to predict its course and response to therapy, both a particular therapy or a class of agents; and to monitor the effect of the therapy and the appearance of disease recurrence.

These methods include diagnostic imaging and direct analyses of specimens from tumor or other tissues. Support is also provided for establishing and maintaining resources of human tissue to facilitate research. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultants costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

#### **Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or organization, unit of tribal government, or a for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

#### **Credentials/Documentation:**

For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF424 is used to apply for SBIR Phase I and Phase II, respectively. Grant form SF424 is also used to apply for STTR Phase I and Phase II, respectively. See the website for more information on electronic submission of grants. <http://grants.nih.gov/grants/funding/424/index.htm>. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The NIH is in the process of a transition to fully electronic grant submission through Grants.gov (see <http://era.nih.gov/ElectronicReceipt> for details). Depending on the grant mechanism, either form PHS-398 (Rev. June 2009) or form SF424(R&R) (January 2010) is the standard form. Both can be obtained at <http://grants.nih.gov/grants/forms.htm>. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. All competing SBIR and STTR grant applications must be submitted electronically via Grants.gov. The following is a website address for NIH electronic submission of grant application information: <http://era.nih.gov/ElectronicReceipt/index.htm>.

#### **Award Procedure:**

Approved grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

(Regular Grants) Approximately 10 months. SBIR/STTR: About 7-1/2 months. See website: <http://grants1.nih.gov/grants/funding/submissionschedule.htm>.

#### **Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

#### **Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula or matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements: Average 3 to 4 years and a maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. Annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of the project. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Detection and Diagnosis Research.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$262,502,000; FY 11 est \$273,184,000; and FY 12 est \$295,237,000 - (Grants) (RPG) FY 10 \$262,502,000; FY11 est \$273,184,000; and FY12 est \$295,237,000. For SBIR/STTR: FY10 \$37,775,000; FY11 est \$30,882,000 and FY12 est \$31,184,000.

**Range and Average of Financial Assistance:**

Range: \$16,607 to \$9,041,302

Average: \$405,096.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Competing FY10 RPG act. 218 awards which were 15.0% of applications received.

Competing FY10 SBIR/STTR act. 40 awards which were 11.5% of applications received. Fiscal Year 2011: Competing FY11 est. 698 awards. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94- 50,000, (Rev.) April 1, 1994. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institute of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Catherine M. Battistone, 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: battistic@mail.nih.gov Phone: (301) 594-1088 Fax: (301)

402-0275.

**Website Address:**

<http://www.prevention.cancer.gov/programs-resources/groups/ed> and <http://prevention.cancer.gov/programs-resources/groups/cb>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.395 CANCER TREATMENT RESEARCH**

Cancer Treatment Research

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 410, and 411, Public Law 78-410, 42 U.S.C. 241, as amended, Public Law 100-607, 42 U.S.C 285(a); Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To develop the means to cure as many cancer patients as possible and to control the disease in those patients who are not cured. Cancer Treatment Research includes the development and evaluation of improved methods of cancer treatment through the support and performance of both fundamental and applied laboratory and clinical research. Research is supported in the discovery, development, and clinical testing of all modes of therapy including: surgery, radiotherapy, chemotherapy, and biological therapy including molecularly targeted therapies, both individually and in combination. In addition, research is carried out in areas of nutritional support, stem cell and bone marrow transplantation, image guided therapies and studies to reduce toxicity of cytotoxic therapies, and other methods of supportive care that may supplement and enhance primary treatment. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. SBIR Phase I grants (of approximately 6-months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of

SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution, or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned, and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

For-profit organizations' cost are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF424 is used to apply for SBIR Phase I and Phase II, respectively. Grant form SF424 is also used to apply for STTR Phase I and Phase II, respectively. See the website for more information on electronic submission of grants. <http://grants.nih.gov/grants/funding/424/index.htm>. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application form PHS-398 is the standard form which may be obtained electronically from: <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. The standard application forms required by 45 CFR, Part 92 for State and local governments, must be used for this program. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm> on the Web. Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040-MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Approved grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice

of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and if they are recommended for further consideration, by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 10 months. SBIR Applications: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements: Average 3 to 4 years, maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funds are provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. An Annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by the DHHS. Terminal reports are required 6 months after the end of the project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Treatment Research.

**Obligations:**

(Salaries) FY 10 \$511,271,000; FY 11 est \$543,370,000; and FY 12 est \$520,367,000 - (Grants) For RPG: FY2010 \$511,271,000; FY2011 est \$543,370,000; and FY2012 est \$520,367,000. For SBIR/STTR: FY2010 \$28,875,000; FY2011 est \$38,312,000; and FY2012 est \$40,742,000.

**Range and Average of Financial Assistance:**

Range: \$5,228 to \$4,660,100  
Average: \$439,614.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Competing FY2010 RPG act. 307 awards which were 16.5% of applications received.

Competing FY2010 SBIR/STTR act. 67 awards which were 11.9% of applications received. Fiscal Year 2011: It is estimated that 1,284 total awards will be made in FY 2011. Fiscal Year 2012: It is estimated that 1,307 total awards will be made in FY 2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Catherine M. Battistone, 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: battistic@mail.nih.gov Phone: (301) 594-1088.

**Website Address:**

<http://www.nci.nih.gov>.

**RELATED PROGRAMS:**

93.393 Cancer Cause and Prevention Research; 93.394 Cancer Detection and Diagnosis Research; 93.396 Cancer Biology Research; 93.399 Cancer Control

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.396 CANCER BIOLOGY RESEARCH**

Cancer Biology Research

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 410, and 411, Public Law 78-410, 42

U.S.C. 241, as amended; Public Law 100-607, 42 U.S.C. 285 and 285a; Small Business Research and Development Enhancement, Act of 1992, as amended, Public Law 102-564.

**OBJECTIVES:**

To provide fundamental information on the cause and nature of cancer in people, with the expectation that this will result in better methods of prevention, detection and diagnosis, and treatment of neoplastic diseases. Cancer Biology Research includes the following research programs: cancer cell biology, cancer etiology, structural biology and molecular applications, DNA and chromosomal aberrations, tumor biology and metastasis, and immunology and hematology.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and Facilities and Administrative Costs (formerly known as indirect costs).

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization that submits an application and receives a grant for support of research by a named principal investigator. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q. See the website for more information on the electronic submission of grants. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The NIH is in the process of a transition to fully electronic grant submission through Grants.gov (see <http://era.nih.gov/ElectronicReceipt> for details). Depending on the grant mechanism, either form PHS-398 (Rev. June 2009) or form SF424(R&R) (January 2010) is the standard form. Both can be obtained at <http://grants1.nih.gov/grants/forms>. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments. The following is a website address for NIH electronic submission of grant application information: <http://era.nih.gov/ElectronicReceipt/index.htm>.

**Award Procedure:**

Grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. The initial grant award provides funds for the first budget period (usually 12 months) and letter Notice of Award indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories and special conditions, if any.

**Deadlines:**

Aug 05, 2012 All Grants including renewals and supplements: April 5, August 5, December 5. Cooperative Agreements and contracts are usually submitted in response to a Request for Applications (RFA) or a Request for Proposals (RFP). The receipt date is stipulated in the RFA or RFP.

**Range of Approval/Disapproval Time:**



Regular Grants: Approximately 10 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/notice-files/not97-232.html](http://www.nih.gov/grants/guide/notice-files/not97-232.html).

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants and Cooperative Agreements: Average 3 to 4 years, and a maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or an Electronic Transfer System. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. Annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by DHHS.

Terminal reports are required 6 months after the end of a project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Biology Research.

**Obligations:**

(Salaries) FY 10 \$530,378,000; FY 11 est \$564,152,000; and FY 12 est \$568,772,000 - (Grants) RPG: FY2010 \$530,378,000; FY2011 est \$564,152,000; and FY2012 est \$568,772,000. SBIR/STTR: FY2010 \$8,964,000; FY2011 est \$11,118,000; and FY2012 est \$10,715,000.

**Range and Average of Financial Assistance:**

Range: \$12,500 to \$4,743,330

Average: \$354,531.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Competing FY2010 RPG act. 342 awards which were 18.3% of applications received.

Competing FY2010 SBIR/STTR act. 16 awards which were 8.3% of applications received. Fiscal Year 2011: It is estimated that 1,567 total awards will be made in FY2011. Fiscal Year 2012: It is estimated that 1,516 total awards will be made in FY2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology

Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine M. Battistone, 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: [battistc@mail.nih.gov](mailto:battistc@mail.nih.gov) Phone: (301) 594-1088 Fax: (301) 402-0275.

**Website Address:**

<http://www.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.397 CANCER CENTERS SUPPORT GRANTS**

Cancer Centers Support Grants

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 305(a), 410, 411, and 414, Public Law 78-410, 42 U.S.C. 241, as amended; Public Law 100-607, 42 U.S.C. 285, 285a and 285a-3; Public Law 99-500.

**OBJECTIVES:**

To provide an organizational focus and stimulus for the highest quality cancer research that effectively promotes interdisciplinary cancer research aimed toward the ultimate goal of reducing cancer incidence, mortality and morbidity. The Cancer Center Support Grant (CCSG) provides the resources and infrastructure to facilitate the coordination of interdisciplinary programs across a broad spectrum of research from basic laboratory research to clinical investigation to population science. The CCSG supports salaries for scientific leadership of the Center, shared resources for funded center investigators, certain administrative costs, planning and evaluation, and developmental funds for new recruitments and feasibility studies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

In general, CCSGs do not support research projects directly but are used to enhance the ongoing cancer research and to strengthen the existing research base according to the "Policies and Guidelines Relating to the Cancer Center Support Grant."

**Applicant Eligibility:**

Any nonprofit institution within the United States with a peer-reviewed cancer research base of 4.0 million dollars in direct costs may apply for a Cancer Center Support Grant.

**Beneficiary Eligibility:**

University, college, public agency or research institution in the U.S.

**Credentials/Documentation:**

The application requests documentation concerning the qualifications of the principal investigators and associates, pertinent budget information and justification for the support of this proposed grant. Methods to be utilized are outlined in the application materials. Costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q, and for State and local governments in accordance with OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Method of Application: Form PHS-398 (Rev. June 2009) can be obtained from the [grant.nih.gov/grants/forms.htm](http://grant.nih.gov/grants/forms.htm) website (click on PHS-398). In addition, supplemental instructions for applications are contained in the Cancer Center Support Grant Guidelines which can be obtained by writing to the Office of Cancer Centers, 6116 Executive Boulevard, Suite 700, MSC 8345, Bethesda, MD 20892-8345 (301-496-8531 or [http://cancercenters.cancer.gov/grants\\_funding/index.html](http://cancercenters.cancer.gov/grants_funding/index.html)). Generally, the potential applicant should send a letter of intent to the National Cancer Institute, Office of Cancer Centers, submitting a CCSG application to the same address for review (see Guidelines for CCSGs). Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Bethesda, MD 20892. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Grants are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories and special conditions, if any.

**Deadlines:**

May 25, 2011 Cancer Center Support Grant Applications (P30 mechanism): Renewals, New and Supplemental: January 25, May 25, and September 25. Cancer Center Planning Grant Applications (P20 mechanism): No new applications are accepted.

**Range of Approval/Disapproval Time:**

Core Grants: Approximately 10 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Same procedure as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years of support may be requested. Grants may be awarded up to 5 years based on competitive peer review. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. An annual financial status report is requested 90 days after the end of the budget period. Special reports may be requested by DHHS. Terminal reports are required 90 days after the end of a project. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Center Support Grants532273000.

**Obligations:**

(Salaries) FY 10 \$584,187,000; FY 11 est \$543,308,000; and FY 12 est \$544,124,000 - (Grants) (Total Research Centers) FY2010 \$584,187,000; FY2011 est \$543,308,000; and FY2012 est \$544,124,000.

**Range and Average of Financial Assistance:**

Range: \$20,357 to \$13,879,526  
Average: \$2,485,902.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal year 2010 funded 235 total Centers which included 66 COREs, 63 SPOREs and 102 Specialized Centers. Fiscal Year 2011: Fiscal year 2011 will fund an estimated 230 total Centers which will include 66 COREs, 63 SPOREs and 102 Specialized Centers. Fiscal Year 2012: Fiscal year 2012 will fund an estimated 229 total Centers which will include 66 COREs, 63 SPOREs and 102 Specialized Centers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 90- 50,000, (Rev.) October 1, 1990.

**Regional or Local Office:**

None. None.

**Headquarters Office:**

Catherine M. Battistone, 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: [battistc@mail.nih.gov](mailto:battistc@mail.nih.gov) Phone: (301) 594-1088.

**Website Address:**

<http://cancercenters.cancer.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications include the following: (1) An adequate base of established programs of high quality in laboratory and clinical cancer research; (2) research activity in a variety of disciplines, and evidence of high degree of interdisciplinary coordination, interaction and cooperation among center members; (3) appropriate and adequate organization and facilities for the conduct and evaluation of center activities; (4) a qualified director with adequate authority; and (5) an adequate commitment of the parent institution or institutions to the cancer center. The center should be recognized as a major element within the organizational structure.

**93.398 CANCER RESEARCH MANPOWER**

Cancer Research Manpower

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 413 and 487, as amended, Public Law 100-607, 42 U.S.C. 285a, 42 U.S.C. 288.

**OBJECTIVES:**

To make available support to nonprofit and for-profit institutions interested in providing biomedical training opportunities for individuals interested in careers in basic, clinical, and prevention research important to the National Cancer Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Research Manpower program provides support for research training in all scientific fields related to cancer. The Ruth L. Kirschstein National Research Service Awards (NRSA) for Individual Fellows, are made directly to individuals for research training in biomedical sciences areas. In addition, the National Institutes of Health (NIH) will award the Ruth L. Kirschstein NRSA

Institutional Research Training grants to institutions, to enable them to make NRSA awards to individuals selected by them. Each individual who receives a postdoctoral NRSA is obligated, upon termination of the award, to comply with certain service and payback provisions. Cancer Education Grants are designed to promote education programs carried out by organizations engaged in health-related education, research, or training, located in the United States, its possessions, or territories. Various Career awards are designed to sponsor the development of independent scientists. Individual short-term support for students is available under the Cancer Education Program.

**Applicant Eligibility:**

University, college, hospital, public agency, or nonprofit research institution for institutional grants and individuals for fellowships. The applicant institution must be able to provide the staff and facilities and be responsible for the selection of trainees and overall direction of the training. Selected awardees must be citizens of the United States or be admitted to the United States for permanent residency. Career and Cancer Education awards may be given to for-profit institutions.

**Beneficiary Eligibility:**

University, college, hospital, public agency, nonprofit research institution or for-profit institution.

**Credentials/Documentation:**

(1) Individual Ruth L. Kirschstein NRSA: The applicant's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. (2) Institutional Ruth L. Kirschstein NRSA: Applicants must show the objectives, methodology, and resources for the training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award and a detailed budget and justification for the amount of grant funds requested. (3) Institutional Cancer Education Grants: Applicants must describe the organization and administration of the proposed program, list and define institutional objectives, methodology, resources and techniques of evaluation, as well as a justification of proposed expenditures. (4) For Career awards, the applicant must provide documentation on the candidate, sponsor, career development plan, research proposed, and institutional commitment. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications for the Individual Ruth L. Kirschstein NRSAs must be prepared using the PHS 416-1 application form and instructions for Individual National Research Service Award Fellowships (rev. 10/05). The PHS 416-1 is available at <http://grants.nih.gov/grants/funding/416/phs416.htm>. For further assistance, direct inquiries may be made to [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov) or (301) 435-0714. Applications for the Institutional Ruth L. Kirschstein NRSAs must be prepared using the PHS 398 Form (Revised 9/2004). Refer to Section IV of the instructions titled Instructions For Preparing An NRSA Application. The PHS 398 Form (Revised June 2009) is available at <http://grants.nih.gov/grants/forms.html>. Applications for Cancer Education and Career grants must be prepared using the PHS 398 Form. Refer to Section III of the instructions, Preparing An Individual CDA Application. Applicants are advised to consult the "Submitting an Application" section of the Program Announcement, since each award has distinct application criteria. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Room 1040, Bethesda, Maryland 20892-7710 (Bethesda, MD 20817 for express/courier service).

**Award Procedure:**

Applications are reviewed for scientific merit by an appropriate study section, committee, or advisory council. If recommended for approval and a decision to make award is made, a formal award notice will be sent to the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Approximately 10 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available under the Review Criteria section of the NIH Office of Extramural Research website at [http://grants2.nih.gov/grants/policy/nihgps\\_2003/NIHGPs\\_Part3.htm](http://grants2.nih.gov/grants/policy/nihgps_2003/NIHGPs_Part3.htm).

**Renewals:**

Cancer Education Grants may be made for periods of up to 5 years and renewals may be submitted when appropriate. Research training grants may be renewed for additional project periods of 5 years. Only the following Career awards are renewable: K05 and K24 only a one-time renewal after a 5-year project period, and the K12 up to 5 years (Trainees 2-7 years).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. An annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by the grantor. Terminal reports are required 6 months after the end of a project. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Manpower Research.

**Obligations:**

(Salaries) FY 10 \$177,924,000; FY 11 est \$177,802,000; and FY 12 est \$180,532,000 - (Grants/Manpower) FY2010 \$177,924,000; FY2011 est \$177,802,000; and FY2012 est \$180,532,000.

**Range and Average of Financial Assistance:**

Range: \$6,001 to \$1,121,174  
Average: \$192,976.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY2010 individual FTTP awards, 211 (Full Time Training Positions; of the 211, 89 were competing awards totaling \$4,025,000; FY2010 institutional FTTP 168 FTTP/Awards with 1,446 FTTPs of the 168, 31 were competing awards totaling \$10,102,000; FY2010 Career Awards - 452 awards totaling \$74,914,000; FY2010 Career Education Awards - 91 awards totaling \$35,445,000. Fiscal Year 2011: In FY 2011, it is estimated that 912 Manpower awards will be made. Fiscal Year 2012: In FY 2012, it is estimated that 915 Manpower awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 6; 42 CFR 66; 45 CFR 74; Application kit, National Institutes of

Health; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

See Regional Agency Offices. None.

**Headquarters Office:**

Catherine M. Battistone, 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: battistc@mail.nih.gov Phone: (301) 594-1088.

**Website Address:**

<http://www.cancer.gov/researchandfunding/training>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include the assessment of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives.

**93.399 CANCER CONTROL**

Cancer Control

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 410 and 412, Public Law 78-410, as amended, 42 U.S.C. 241; Public Law 100-607; 42 U.S.C. 285a-1; Public Law 99-500.

**OBJECTIVES:**

To reduce cancer incidence, morbidity, and mortality through an orderly sequence from research on interventions and their impact in defined populations to the broad, systematic application of the research results through dissemination and diffusion strategies. Primary emphasis is on the inclusion of a cancer prevention and control intervention in any proposed study. Cancer Prevention and Cancer Control research studies are classified into one of five phases that represent the orderly progression noted in the definition: (1) Hypothesis development; (2) methods development and testing; (3) controlled intervention trials to establish cause-and-effect relationships; (4) research in defined populations; and (5) demonstration and implementation studies. Primary interests are in research on cancer control interventions in Phases 2 through 5, and on cancer prevention research in all phases. Cancer Prevention and Control programs include those in the following areas: (1) chemoprevention; (2) cancer communications; (3) nutrition, diet, and physical activity; (4) screening and early detection, including biomarker discovery, development and validation; (5) biobehavioral mechanisms; (6) tobacco control; (7) health disparities research; (8) supportive care and survivorship; (9) health services and outcomes research; and (10) surveillance research. Both Cancer Prevention and Cancer Control use the Small Business Innovation Research (SBIR) and the Small Business Technology Transfer (STTR) programs to encourage research participation by the small business community. The goals of each program are as follows. SBIR: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. STTR: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and

development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. Restrictions are imposed against the use of funds for entertainment, foreign travel (unless specifically authorized), office equipment, and other items not normally necessary for the effective prosecution of such research. SBIR Phase I grants (of approximately 6- months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

University, college, hospital, public agency, nonprofit research institutions or for-profit organizations will benefit.

**Credentials/Documentation:**

For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF424(R&R) (Rev. January 2010) is used to apply for SBIR Phase I and Phase II and STTR Phase I and Phase II. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Depending on the grant mechanism, either Form PHS-398 (Rev. June 2009) or Form SF424(R&R) (Rev. January 2010) is the standard application form. Both forms can be obtained online at <http://grants.nih.gov/grants/forms.htm>. The standard application forms, as furnished by DHHS and required by 45 CFR Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate. SBIR and STTR Grant Solicitations and SBIR Contract Solicitations may be obtained electronically through the NIH Small Business Funding Opportunities home page at <http://www.nih.gov/grants/funding/sbir.htm>. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. All competing SBIR and STTR grant applications should be submitted electronically to the NIH via Grants.gov (<http://www.grants.gov/>).

**Award Procedure:**

Grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Regular Grants: Approximately 10 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available online through the NIH home page at <http://www.grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements average from 3 to 4 years, up to a maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. Annual financial status report is required 90 days after the end of a budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of a project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Control.

**Obligations:**

(Salaries) FY 10 \$34,696,000; FY 11 est \$29,602,000; and FY 12 est \$28,388,000 - (Grants) FY2010 \$34,696,000; FY2011 est \$29,602,000; and FY2012 est \$28,388,000.

**Range and Average of Financial Assistance:**

Average: \$2,168,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY2010, 16 competing and non competing awards were funded. Fiscal Year 2011: It is estimated that 17 total awards will be made in FY2011. Fiscal Year 2012: It is estimated that 18 total awards will be made in FY2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants: 42 CFR 52; 45 CFR 74 and NIH Grants Policy Statement (10/1/2010).

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine M. Battistone, 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: [battistc@mail.nih.gov](mailto:battistc@mail.nih.gov) Phone: (301) 594-1088 Fax: (301) 402-0275.

**Website Address:**

<http://www.nih.gov>; <http://cancer.gov>; <http://cancercontrol.cancer.gov>; <http://prevention.cancer.gov>.

**RELATED PROGRAMS:**

93.393 Cancer Cause and Prevention Research; 93.394 Cancer Detection and Diagnosis Research; 93.395 Cancer Treatment Research; 93.396 Cancer Biology Research; 93.398 Cancer Research Manpower

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives.

**93.400 NATIONAL HEALTH SERVICE CORPS SCHOLARSHIP PROGRAM**

ARRA - National Health Service Corps Scholarship Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Title II, Public Law 111-5. , Title II, Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the National Health Service Corps (NHSC) Scholarship Programs objective is to increase the supply of primary care physicians, dentists, certified nurse midwives, primary care nurse practitioners, and physician assistants and , if needed by the National Health Service Corps, other health professionals in Health Professional Shortage Areas (HPSAs) within the U.S. by providing service-obligated scholarships to health professions students.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Service-obligated scholarships for full-time students of allopathic (M.D.) and osteopathic (D.O.) medicine, dentistry, primary care nurse practitioner, nurse midwifery, and primary care physician assistants. Other health disciplines may be included if needed by National Health Service Corps. Scholarships pay tuition and required fees to the school, a stipend to students and a single annual payment to the student to assist with other reasonable educational expenses. Reasonable expenses may include books, supplies, equipment, uniforms, travel for the provision of clinical services, etc. Program requires 1 year of service for each year of scholarship support with a minimum 2-year service commitment post graduation. A maximum of 4 years of support may be awarded. Service sites are selected by the scholarship recipient from the list of high priority sites in HPSAs identified by the NHSC.

Refer to the NHSC Scholarship Program Guidance for specific requirements. Each year of support incurs 1 year of service with a 2 year minimum service commitment requirement post graduation.

**Applicant Eligibility:**

At the time of award, the applicant must be a U.S. citizen or national. The applicant must be enrolled or accepted for enrollment in an accredited school in a State, the District of Columbia, or a U.S. Territory as a full-time student in a course of study leading to a degree in medicine, osteopathic medicine, dentistry, or other health professions. The applicant must be eligible for Federal employment, be free of any Federal judgment liens or service obligation, not be excluded, debarred, suspended or disqualified by a Federal agency, and have no conflicting service obligation. The applicant must submit an application and a signed contract to the National Health Service Corps agreeing to accept payment of scholarship and provide full-time primary health services in a Health Professional Shortage Area.

**Beneficiary Eligibility:**

U.S. citizens or nationals enrolled or accepted for enrollment in a State in a course of study leading to a degree in medicine, osteopathic medicine, dentistry or other health profession.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants are required to submit their applications electronically through <https://programportal.hrsa.gov>.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding

decisions.

Notification is made in writing to those in the final selection by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification to successful and rejected applicants is made no later than 6 months after deadline from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal applications are not necessary for students in compliance; contracts may be multi-year funded through graduation (up to 1 to 4 years, if the applicant signs the contract through the graduation date).

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each award covers up to 1 to 4 years of support, as requested. No awardees may receive more than 4 years of support. See the following for information on how assistance is awarded/released: Direct Deposit in recipients accounts through PSC.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual reports by schools indicating average student educational expenses. The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form each semester.

The employing facility must complete and send a semi-annual Employment Verification Form verifying that the participating health professional is providing service. The certification includes a signature by an appropriate official of the facility. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

75-0351-0-1-550 - NA.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$28,202,137; FY 11 Estimate Not Available(Exp: ARRA); and FY 12 Estimate Not Available(Exp: ARRA)

**Range and Average of Financial Assistance:**

\$31,139-\$466,286, with the average award being \$173,496.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 1,375 applications for new awards received; 185 New Awards. Fiscal Year 2011: No program offered. Fiscal Year 2012: No program offered.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 42 CFR Part 62, Subpart A of the implementing regulations.

**Regional or Local Office:**

See Regional Agency Offices. National Health Service Corps Scholarship Program, Division of National Health Service Corps, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Services, Room 8-3637, 5600 Fishers Lane, Rockville, Maryland 20857. Phone: (301) 594-4400. For

24-hour toll-free calls from outside MD: 1-800-221-9393, use for requesting applications.

**Headquarters Office:**

National Health Service Corps Scholarship Program 5600 Fishers Lane, Rockville, Maryland 20857 Phone: (301) 594-4400.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.165 Grants to States for Loan Repayment Program; 93.288 National Health Service Corps Scholarship Program; 93.303 Nursing Scholarship Program; 93.972 Health Professions Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

By statute, first priority will be given to any applicant for such assistance, who has previously received a scholarship under this section or under section 758 of the PHS Act. Second priority will be given to students who are from a "disadvantaged background Who have HPSA retention characteristics. Third priority will be given to all other applicants who display characteristics that indicate the likelihood that they will continue professional practice in a Health Professional Shortage Area when they complete their service obligation.

**93.401 ARRA - NATIONAL HEALTH SERVICE CORPS LOAN REPAYMENT**

ARRA - NHSC Loan Repayment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5. , Public Law 111-5.

**OBJECTIVES:**

The National Health Service Corp (NHSC) Loan Repayment Programs objective is to increase the supply of primary care physicians, dentists, dental hygienists, behavioral and mental health professionals, certified nurse midwives, primary care nurse practitioners, certified family nurse practitioners, and physician assistants and, if needed by the NHSC, other health professionals in Health Professional Shortage Areas (HPSAs) within the U.S.A and its territories by assisting the repayment of qualifying educational loans in return for service to populations located in HPSAs identified by the Secretary of the Department of Health and Human Services.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Awards provide an initial payment of up to \$60,000 towards participants' qualified government and commercial health professions undergraduate and graduate education loans during the first 2 years of full time practice or 4 years of half time practice at a selected National Health Service Corps (NHSC) Loan Repayment Service Site under a written agreement with this program. For a 3rd and 4th subsequent year, payments of up to \$40,000 a year may be made available under a written full time agreement; for a 5th subsequent year and beyond payments of up to \$30,000 a year may be made available under a written full time agreement. For a 5th,6th, 7th, and 8th subsequent year, payments of up to \$20,000 a year may be made available under a written part time agreement; for a 9th subsequent year and beyond payments of up to \$15,000 a year may be made under a written part time agreement. Health professions given priority for selection are those identified by communities.

**Applicant Eligibility:**

Individuals are eligible to apply if they have (1) U.S. citizenship; (2) a health professions degree or are in professional practice (they must hold an unrestricted health professions license from the State in which they will be working, and be eligible for selection for a Federal civil service appointment, or

hold an appointment as a commissioned officer in the Regular or Reserve Corps of the U.S. Public Health Service); (3) not had any judgment liens arising from Federal debt ; (4) not been excluded, debarred, suspended, or disqualified by a Federal agency; (5) not been in breach of a health professional service obligation to the Federal, State or local government and (6) no conflicting service obligation. Individuals must also participate or be eligible to participate as a provider in the Medicare, Medicaid, and Childrens Health Insurance Programs, as appropriate.

Refer to the NHSC Loan Repayment Program Guidance for specific requirements.

**Beneficiary Eligibility:**

Primary care, oral health, and mental and behavioral health professions are eligible for the Loan Repayment Program (LRP). Specific specialties within these professions are selected for LRP awards based on community demand for health services.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants are required to submit their applications electronically through <https://programportal.hrsa.gov>.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. NHSC loan repayment awards are made based on the highest need as determined by descending health professional shortage area scores. Priority will be given to individuals whose training is in a health discipline or specialty determined by the Secretary for Health and Human Services to be needed by the NHSC and who the Secretary determines are committed to service in health professional shortage areas.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. National Health Service Corps Loan Repayment Branch, Division of Applications and Awards, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

**Appeals:**

Not Applicable.

**Renewals:**

Contract amendments will be considered according to the availability of appropriated funds and eligibility criteria applied to the individual and the site at which that individual is employed.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loan repayments for 1 year of obligated service will be made no later than the end of the fiscal year in which the individual completes such year of service. See the following for information on how assistance is awarded/released: Direct Deposit in recipients accounts through Program Support Center (PSC).

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. The employing facility must complete and send a semi-annual Employment Verification Form verifying that the participating health professional is providing service. The certification includes a signature by an appropriate official of the facility. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. All recipients must submit a payment history to the Division of Applications and Awards, Bureau of Clinician and Recruitment Service within 45 days of making payments for qualifying educational loans. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

**Audits:**

Not Applicable.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$99,410,136; FY 11 est \$56,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

New awards range from \$970 to \$60,000, with an average award being \$44,775.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 42 CFR Part 62, Subpart B of the implementing regulations.

**Regional or Local Office:**

See Regional Agency Offices. National Health Service Corps Loan Repayment Branch, Division of Applications and Awards, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

**Headquarters Office:**

Division of National Health Service Corps Division of National Health Service Corps  
Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, Room 8-37, 5600 Fishers Lane., Rockville, MD 20857. Telephone: (301) 594-4400. For 24-hour toll-free calls from outside MD: (1-800) 221-9393, use for requesting applications.  
, Rockville, Maryland 20857 Phone: (301) 594-4400

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.165 Grants to States for Loan Repayment Program; 93.288 National Health Service

Corps Scholarship Program; 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing Student Loans; 93.908 Nursing Education Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Priority will be given to applicants who are individuals whose training is in a health profession or specialty determined by the Secretary to be needed by NHSC.

**93.402 ARRA - STATE LOAN REPAYMENT PROGRAM**

ARRA - State Loan Repayment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) Public Law 111-5. , Public Law 111-5.

**OBJECTIVES:**

For medically underserved populations, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA). To increase the availability of primary health care in health professional shortage areas (HPSAs) by assisting States in operating programs for the repayment of educational loans of health professionals in return for their practice in HPSAs.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants

**USES AND USE RESTRICTIONS:**

Funds under this grant must only be used to repay the qualifying educational loans of health professionals who have entered into State Loan Repayment Program (SLRP) contract with the States. Funds cannot be used for the following purposes: costs of administering the program, State matching funds, or any other purpose.

**Applicant Eligibility:**

Eligible entities include the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, Palau, the Marshall Islands, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

Applicants for State programs must have completed a course of study required to practice independently without supervision, as one of the following health care professionals: Doctors of Allopathic Medicine or Osteopathic Medicine, General Practice Dentists (D.D.S. or D.M.D.), Pediatric Dentists, Primary Care Certified Nurse Practitioners, Certified Nurse-Midwives, Primary Care Physician Assistants, Registered Clinical Dental Hygienists, Health Service Psychologist (formerly Clinical or Counseling Psychologists (Ph.D. or equivalent), Licensed Clinical Social Workers (masters or doctoral degree in social work), Psychiatric Nurse Specialists, Mental Health Counselors, Licensed Professional Counselors (masters or doctoral degree with a major study in counseling), Marriage and Family Therapists (masters or doctoral degree with a major study in marriage and family therapy). The primary care specialties approvable for physicians are: family medicine (and osteopathic general practice), internal medicine, including geriatricians, pediatrics, obstetrics/gynecology, and geriatrics and general psychiatry. General practitioners (physicians who have not completed residency training programs) are not eligible for funding under the SLRP. The primary care specialties approval for nurse practitioners and physician assistants are: adult, family, pediatrics, psychiatry/mental health, geriatrics, or womens health.

Participants must provide full-time clinical service for a minimum of two years in a public or non-profit entity located in a federally designated health professional shortage area (HPSA).

Refer to the NHSC State Loan Repayment Program Guidance for specific requirements.



**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 120 - 180 days. Subsequent funding depends upon the availability of funds and program performance. Renewals are funded through a non-competitive process each year. It is anticipated that there will be no ongoing support of SLRP grant activities after the end of the two-year project period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50%. Matching Requirement: Fifty-percent (50%). States must agree to make available (directly or through donations from public or private entities) non-Federal contributions in cash toward SLRP contracts in an amount not less than \$1 for each \$1 of Federal funds provided in the grant. A State may not use any Federal funds or in-kind contributions to satisfy the non-Federal match requirement. A State must verify that contributions from sources other than State appropriated funds are non-Federal. States may use non-Federal funds in excess of the \$1 for \$1 minimum match to supplement the repayment of qualifying loans of health professionals.

The Federal share must be used to repay the government and commercial loans of health professionals for tuition, educational expenses and living expenses described in Section 338B(g)(1) of the Public Health Service Act. States must assume administrative costs.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A grant award is for 1 year. Applicants may propose a project period of up to 2 years. States are asked to commit the full amount of funding for their loan repayment awards to practitioners in the current fiscal year to avoid out-year commitments for additional Federal funds. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

Recipient States must submit: (1) a Financial Report within 90 days of the end of each budget period; (2) Semi-Annual Field Strength Reports through the

HRSA Electronic Handbooks System (EHBs); (3) non-competing continuation application(s) report through the EHBs; (4) a Final Report along with an annual financial report in the format approved under OMB Circular 0915 0004. All BHP grantees are required to submit a final report within 90 days after the project period ends. Cash reports are not applicable. See above. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Salaries) FY 10 \$10,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY 10 Range of awards: \$100,000 to \$2,000,000; average: \$351,231.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010: 13 awards. Fiscal Year 2011: No program offered in FY 11. Fiscal Year 2012: No program offered in FY12.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Division of National Health Service Corps, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

**Headquarters Office:**

Division of National Health Service Corps 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 594-4400

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For new and competing continuation grants the following criteria will be used to evaluate State applications to determine which States are to be supported under this notice: (a) The extent of the State's need for health professionals consistent with the health professions and specialties identified later in this notice; (b) the extent to which special consideration will be extended to federally designated HPSAs with large minority populations; (c) the number

and type of providers the State proposes to support through this program; (d) the appropriateness of the proposed placements of State LRP recipients (e.g., consistency and coordination with State-based plans to improve access to primary health services for the underserved communities and individuals); (e) the appropriateness of the qualifications, the administrative, and managerial ability of the staff to implement the proposed project; (f) the suitability of the State's approach and the degree to which the plan of a State is coordinated with Federal, State, and other programs for meeting the State's health professional needs and resources, including mechanisms for ongoing evaluation of the program's activities; (g) the source and plans for the use of the nonfederal match (the degree to which the nonfederal match exceeds the minimum requirements or has increased over time and the amount of the match relative to the needs and resources of the State); (h) for competing continuation applicants only, the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (i) an assessment of the reasons for initial breaches by health professionals of repayment contracts; and (j) the grantee's history of compliance with reporting requirements. Noncompeting continuation applications will be evaluated on the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs: (i) and assessment of the reasons for initial breaches by health professionals of repayment contracts; and (ii) the grantee's history of compliance with reporting requirements.

### **93.403 ARRA GRANTS FOR TRAINING IN PRIMARY CARE MEDICINE AND DENTISTRY TRAINING AND ENHANCEMENT**

Primary Care Medicine Training

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Title VII, Section 747, Public Health Service Act, as amended by the Patient Protection and Affordable Care Act of 2010 (Pub. L. 111-148), and The American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5), Public Law 111-5.

#### **OBJECTIVES:**

Grants are awarded for the following purposes: (1) Academic Administrative Units in Primary Care-- to establish, maintain, or improve academic administrative units (which may be departments, divisions, or other entities) to provide clinical instruction in family medicine, general internal medicine, and/or general pediatrics; (2) Predoctoral Training in Primary Care-- to plan, develop, and operate or participate in programs (including provision of financial assistance to students) that teach medical students primary care skills through experiences in family medicine, general internal medicine, and/or general pediatrics; (3) Residency Training in Primary Care-- to plan, develop, and operate or participate (including provision of financial assistance to residents) in approved residency programs in family medicine, general internal medicine and/or general pediatrics; (4) Physician Faculty Development in Primary Care-- to plan, develop, and operate programs (including provision of financial assistance to trainees) that prepare of physicians who teach or plan to teach in family medicine, general internal medicine and/or general pediatrics training programs; (5) Physician Assistant Training in Primary Care-- to plan, develop, and operate programs (including provision of financial assistance to students) that train physician assistant students and that train individuals who will teach physician assistant students; (6) Interdisciplinary and Interprofessional Graduate Joint Degree -- to plan, develop, and operate joint degree programs to provide interdisciplinary and interprofessional graduate training in public health and other health professions and that teach environmental health, infectious disease control, disease prevention and health promotion, epidemiological studies and/or injury control.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Grants may not be used for new construction or patient services.

#### **Applicant Eligibility:**

The applicant organization must meet the eligibility requirements as indicated for each program area: Residency Training in Primary Care, Physician Faculty Development in Primary Care, Physician Assistant Training in Primary Care, Interdisciplinary and Interprofessional Graduate Joint Degree: Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, or public or private nonprofit entities are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply. Joint Degree applicants must be able to confer a degree; i.e., a college, university, or medical school. The joint degree program must support the development of primary care training programs.

Predoctoral Training in Primary Care, Academic Administrative Units in Primary Care: Accredited public or nonprofit private schools of allopathic or osteopathic medicine are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply.

#### **Beneficiary Eligibility:**

For the following programs: Residency Training in Primary Care, Physician Faculty Development in Primary Care, Physician Assistant Training in Primary Care, Interdisciplinary and Interprofessional Graduate Joint Degree: Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, or public or private nonprofit entities are eligible to apply.

Predoctoral Training in Primary Care, Academic Administrative Units in Primary Care: Accredited public or nonprofit private schools of allopathic or osteopathic medicine are eligible to apply.

#### **Credentials/Documentation:**

Each program has its own funding opportunity announcement issued under this CFDA program that applicants should review to identify any required proof or certifications that must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. All applicants are required to apply electronically through Grants.gov.

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Grant Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

#### **Length and Time Phasing of Assistance:**

Project periods are for up to 5 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based

payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

**Status Reports**

1. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A financial report that identifies cash expenditures against the authorized funds for the grant must be submitted via the Payment Management System within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information.

2. Submit a Financial Report. A financial report is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year.

3. Submit a Progress Report(s).

All Bureau of Health Professions grantees are required to submit a progress report to HRSA on an annual basis. This report entitled, BHP Pr Progress Report, has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data to measure the Bureaus progress through its grantees in: (1) improving the distribution, diversity, quantity, and quality of the healthcare workforce, (2) improving the educational infrastructure, and (3) increasing students selection of primary care education.

Progress reports are generally due in June each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

4. Submit a Performance Report(s).

All Bureau of Health Professions grantees are required to submit a performance report to HRSA on an annual basis.

Performance reports are generally due in August each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

5. Submit a Final Report.

All BHP Pr grantees are required to submit a final report within 90 days after the project period ends. The final report collects program-specific goals, core performance measurement data, grantee objectives and accomplishments, barriers encountered, and responses to summary questions regarding the grantees overall experiences over the entire project period. The final report must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. Refer to the funding opportunity announcement for additional information. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Expenditure reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim,

negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$40,592,164; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Varies by program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 48 new awards were made in 2010, worth \$40, 592,164. 8 Academic Administrative Units in Primary Care awards, 7 Predoctoral Training in Primary Care awards, 8 Residency Training in Primary Care awards, 13 Physician Faculty Development in Primary Care awards, 3 Interdisciplinary and Interprofessional Joint Degree awards, and 9 Physician Assistant Training in Primary Care awards. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications that must be submitted prior to or simultaneous with submission of an application package.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Shannon K. Bolon, MD, MPH. Chief, Primary Care Medical Education Branch, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-27, 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857, Telephone: (301) 443-4469 and E-mail: [SBolon@hrsa.gov](mailto:SBolon@hrsa.gov).

**Headquarters Office:**

Division of Medicine and Dentistry, 5600 Fishers Lane, Room 9-A27, Rockville, Maryland 20857 Phone: (301) 443-6190

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.884 Grants for Training in Primary Care Medicine and Dentistry

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: <http://bhpr.hrsa.gov/grants/medicine.index.html>. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal review panels for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedures in the application guidance. HRSA is placing an emphasis on evaluation and prefers to fund applicants with processes in place to assess the impact and outcome of their grant funded activities.

**93.404 ARRA DENTAL PUBLIC HEALTH RESIDENCY TRAINING GRANTS**

ARRA Dental Public Health Residency Training Grants

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) Public Law 111-5, Public Law 111-5.

**OBJECTIVES:**

To plan and develop new residency training programs and to maintain or

improve existing residency training programs in dental public health; and to provide financial assistance to residency trainees enrolled in such programs, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants are intended to assist in meeting the costs to plan, develop (including develop curricula), operate or participate in new dental public health residency training programs in prevention or public health dentistry, and provide financial assistance to trainees enrolled in the programs. Grants may not be used for construction or for providing direct patient services.

**Applicant Eligibility:**

An entity that offers a Dental Public Health Training Program accredited by the American Dental Association Commission on Dental Accreditation, such as a School of Public Health or Dentistry, is eligible to apply.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA is requiring applicants to apply electronically through Grants.gov. All qualified applications will be forwarded to an objective review committee which will make funding recommendations to the Associate Administrator for the Bureau of Health Professions. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted for up to 3 years of support.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Additionally, a

progress report must be submitted for the second or subsequent budget period within the approved project period for continuation funding. A final progress report and financial status report must be submitted within 90 days after the end of the project period. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Additionally, a progress report must be submitted for the second or subsequent budget period within the approved project period for continuation funding. A final progress report and financial status report must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Financial status reports are required within 90 days after the end of each budget period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Additionally, a progress report must be submitted for the second or subsequent budget period within the approved project period for continuation funding. Financial status reports are required within 90 days after the end of each budget period. A final progress report and financial status report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$215,321 to \$300,000; \$270,308.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Thomas Vallin, MPH, Program Officer, Oral Health Branch, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-27, 5600 Fishers Lane, Rockville, Maryland 20857, Telephone: (301) 443-1307, and E-mail: TVallin@hrsa.gov.

**Headquarters Office:**

Division of Medicine and Dentistry 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857 Phone: (301) 443-6190

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.236 Grants for Dental Public Health Residency Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal reviewers for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedure above to obtain a copy of the application, and the respective factors delineated in the application.

**93.405 ARRA - PUBLIC HEALTH TRAINEESHIP PROGRAM**

ARRA - Public Health Traineeship Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5 and Public Health Service Act, Title VII, section 767, 42 U.S.C. 294; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To support students pursuing a graduate degree in fields with a severe shortage of health professionals, such as epidemiology, environmental health, toxicology, nutrition, biostatistics, and maternal and child health through the provision of tuition, fees, stipends and allowances.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Grant funds may be used only to support students enrolled in grant-eligible graduate programs for severe shortage public health professions. Students pursuing joint degrees such as the MPH/MD, MPH/MSN, MPH/MSA, etc., are eligible for traineeship support for completion of their public health degree only. Funding may not be sought for courses or other expenses related to their non-public health degree curriculum. Funding may not be used to support residency requirements. Traineeship expenditures are limited to payment of stipends, tuition and fees in accordance with the institutions established rates, and a transportation allowance on an individual trainee basis when prior approval has been obtained from the Grants Management Officer. Grantees may not spend grant funds for sectarian instruction or for any religious purpose. Use of traineeship funds for indirect cost (overhead) of the trainee institution is not authorized.

**Applicant Eligibility:**

Eligibility for this funding opportunity is limited to the current grantees/awardees receiving funds under this activity code. Eligible applicants must be any school of public health, and/or other public or nonprofit private entities, including faith-based and community-based organizations, accredited by the Council on Education for Public Health (CEPH), and other public or nonprofit private institutions accredited by a body recognized for the purpose of providing specialized training in public health by the Secretary of the Department of Education.

**Beneficiary Eligibility:**

Eligibility for this funding opportunity is limited to the current grantees/awardees receiving funds under this activity code. Eligible applicants must be any school of public health, and/or other public or nonprofit private entities, including faith-based and community-based organizations, accredited by the Council on Education for Public Health (CEPH), and other public or nonprofit private institutions accredited by a body recognized for the purpose of providing specialized training in public health by the Secretary of the Department of Education.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA is requiring all applicants applying for funding opportunities to apply electronically through Grants.gov. This is a formula-based award. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Applications will be reviewed by program staff. The awards will be determined by a formula. The HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for 1 year. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Uniform Progress Report must be submitted via on-line for the current reporting period via the Bureau of Health Profession's web page [www.bhpr.hrsa.gov/grants](http://www.bhpr.hrsa.gov/grants), click on Grantee Reports. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. Cash reports are not applicable. See prior. See prior. See prior.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$4,808 to \$399,090; \$99,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Wendy E Braund, MD, MPH, MEd, Chief, Public Health Branch, Division of Public Health Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: (301) 443-6867 and Email: [wbraund@hrsa.gov](mailto:wbraund@hrsa.gov).

Marian Ladipo, Public Health Analyst, Division of Public Health Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: (301) 443-7756 and Email: [mladipo@hrsa.gov](mailto:mladipo@hrsa.gov).

**Headquarters Office:**

Wendy Braund, MD, MPH, MEd Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, Maryland 20857 Email: [wbraund@hrsa.gov](mailto:wbraund@hrsa.gov) Phone: (301) 443-6867

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.964 Public Health Traineeships

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

After staff review, funds are awarded on a formula basis among the eligible applicant schools of public health and other accredited public or private nonprofit institutions based on the number of students preparing to enter occupations for which there exist severe shortages.

**93.406 NURSING EDUCATION LOAN REPAYMENT PROGRAM (NELRP)**

ARRA - Nursing Education Loan Repayment Program (NELRP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5. , Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the objective of the Nurse Education Loan Repayment Program (NELRP) is to assist in the recruitment and retention of professional registered nurses (RN) in approved critical shortage areas to increase access to quality health care by offering loan repayment in return for full-time service at an eligible health care facility with a critical shortage of nurses.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The program offers RNs substantial economic assistance to repay their qualifying educational loans in exchange for full-time service at a health care

facility with a critical shortage of nurses. NELRP participants enter into a contract agreeing to provide full-time service at an approved Critical Shortage Facility (CSF) for two years. In return, NELRP will pay 30 percent of the Participant's total qualifying loan balance each year (total of 60 percent). A participant may be eligible to continue his/her two-year NELRP contract to serve for a third (optional) year at a CSF. If a participant works full-time for a third year in a CSF, the NELRP will pay an additional 25 percent of the participant's original qualifying loan balance, bringing the total up to 85 percent of eligible loan balances. Loan repayments for 2 years of obligated service will be made no later than the end of the Federal fiscal year in which the individual completes such year of service. For specific service-obligated educational loan repayment. Loan repayments for 2 years of obligated service will be made no later than the end of the Federal fiscal year in which the individual completes such year of service.

**Applicant Eligibility:**

Individuals who satisfy the following criteria are eligible to apply: (1) have received a baccalaureate or associate degree in nursing (or an equivalent degree), a diploma in nursing or a graduate degree in nursing; (2) have unpaid qualifying loans obtained for nursing education; (3) a U.S. citizen, national or a permanent legal resident of the United States; (4) employed full-time (32 hours or more per week) at a critical shortage facility (CSF); (5) have a current unrestricted license in the State in which they intend to practice or be authorized to practice in the State under the Nurse Licensure Compact; and (6) submit a complete application, including a signed contract to work full-time as a registered or advanced practice nurse for 2 years at an eligible health care facility with a critical shortage of nurses.

**Beneficiary Eligibility:**

Beneficiaries include registered nurses who have received a diploma, an associate degree, a baccalaureate degree or a graduate degree in nursing from an accredited school of nursing.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are generally solicited by a program announcement and application details can be found at [www.hrsa.gov](http://www.hrsa.gov). Individuals applying for this funding opportunity are required to submit an application electronically.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals for the third year of service will be considered based on the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Loan repayments for 1 year of obligated service will be made no later than the end of the Federal fiscal year in which the individual completes such year of service. See the following for information on how assistance is awarded/released: Direct Deposit into recipients account through PSC.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

The employing CSF must complete and send to the NELRP a semi-annual certification that the participating nurse has engaged in a year of full-time continuous service as a registered nurse. The certification includes an endorsement by an appropriate official of the facility. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - ARRA program, program funded initially in FY2009.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Nursing Education Loan Repayment Program, Division of Nursing and Public Health, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4130.

**Headquarters Office:**

Nursing Education Loan Repayment Program, 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 594-4130.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding preference is defined as the funding of a specific category of group of approved applicants ahead of other categories or groups of approved applicants. As provided in section 846(e) of the PHS Act, as amended, a funding preference is given to eligible applicants with the greatest financial need. Awards are made to the highest ranked applicants until funds are expended. Please review the HRSA Preview or BCRS website at [www.hrsa.gov](http://www.hrsa.gov) for important information regarding funding preferences.

**93.407 ARRA - SCHOLARSHIPS FOR DISADVANTAGED STUDENTS**

ARRA - Scholarships for Disadvantaged Students

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and

Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

**OBJECTIVES:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) promotes diversity among health professions students and practitioners by providing scholarships for students from disadvantaged backgrounds. Eligible health professions and nursing schools apply for funds to provide scholarships to students from disadvantaged backgrounds who have financial need and are enrolled, or accepted for enrollment, as full-time students at the schools.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

SDS ARRA funds awarded to schools must be used to award full or partial scholarships to eligible students enrolled in health professions programs on a full-time basis.

Scholarships may only be expended for tuition expenses, other reasonable educational expenses, and reasonable living expenses incurred while in attendance for the year. The Secretary is required to make available at least 16 percent of the funds to schools that will provide scholarships only for nursing students. Schools are required to agree that, in providing scholarships under this program, preference shall be given to students from disadvantaged backgrounds for whom the costs of attending the school would constitute a severe financial hardship and disadvantaged students. The Secretary may not make a grant to a school unless the school is carrying out a program for recruiting and retaining students from disadvantaged backgrounds and have met the eligibility criteria of demonstrating the success of outcome measures.

SDS ARRA funds must be kept separate from regularly appropriated SDS funds and should not be comingled for tracking and reporting purposes. No one student may receive both SDS-ARRA funds and annual SDS appropriated funds in the same budget/project period.

**Applicant Eligibility:**

- 1) At least 10 percent of the total enrollment (full-time enrolled) of a program during the specified academic year must be students from disadvantaged backgrounds; and
- 2) At least 10 percent of the total graduates (who were full-time students) of a program during the specified academic year must have been from disadvantaged backgrounds; and
- 3) A school must have at least one full-time economically disadvantaged student enrolled and graduated during the specified academic year.

**Beneficiary Eligibility:**

Students from disadvantaged backgrounds enrolled full-time in health professions or nursing schools who are citizens, nationals, or lawful permanent residents of the United States or the District of Columbia, the Commonwealths of Puerto Rico or the Mariana Islands, the Virgin Islands, Guam, the American Samoa or the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, the Federated States of Micronesia.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification of Award is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Annual applications are required for all schools.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each scholarship award is made for 1 year. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

The Scholarships for Disadvantaged Students Performance Report (SDSPR) must be submitted 45 days after the end of the budget period through electronic submission, at <http://www.grants.hrsa.gov/webexternal/home.asp>. In addition, a Federal Financial Report (SF-425 is required within 90 days of the end of the budget period. Cash reports are not applicable. see prior. see prior. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$20,457,570; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

For FY10: \$1,000 to \$650,000. Average award amount per discipline in FY10: \$39,878.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010: awards were made to 273 institutions including 513 health professions and nursing schools. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and

tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Hai Le, Division of Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Park lawn Building, Room 9-105, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1541. Use the same numbers for FTS.

**Headquarters Office:**

Hai Le 5600 Fishers Lane, Room 9-105, Rockville, Maryland 20857 Phone: (301) 443-1541

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program; 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing Student Loans; 93.908 Nursing Education Loan Repayment Program ; 93.925 Scholarships for Health Professions Students from Disadvantaged Backgrounds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Not Applicable. Fiscal Year 2012: Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness, accuracy, and to determine if applicant schools meet minimum program requirements.

**93.408 ARRA - NURSE FACULTY LOAN PROGRAM**

ARRA-NFLP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 846A, 42 U.S.C. 297n-1 and the American Recovery and Reinvestment Act of 2009, Public Law 111-5, as amended by the Affordable Care Act of 2010, Public Law 111-148, Section 5311.

**OBJECTIVES:**

The purpose of the Nurse Faculty Loan Program (NFLP) as supported through the American Recovery and Reinvestment Act (ARRA) is to increase the number of qualified nursing faculty and direct resources to address health professions workforce shortages. The ARRA funding was made available in FY 09-10 to augment the regularly appropriated NFLP funding level for the purpose of directing emergency resources to increase the number of qualified nursing faculty. These funds are dedicated to strengthening the nurse educator workforce in order to (1) meet the demand for nurse faculty and (2) remove a major barrier to accepting as many as qualified nursing students as possible thus helping to alleviate the Nations nursing shortage.

Schools of Nursing that receive ARRA-NFLP funds must use funds to provide loans to students enrolled in eligible advanced degree nursing programs (masters or doctoral) with an education component(s) that will prepare the student to teach. NFLP loan recipients complete the education program, and following graduation, may cancel up to 85% of the NFLP loan while serving as full-time nurse faculty at an accredited school of nursing.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The school must establish an ARRA-NFLP fund for the purpose of making NFLP loans to eligible students and for the costs associated with collection of these loans. Institutions may award a maximum loan amount of \$35,500 per



student for an academic year to support the cost of tuition, fees, books, and other reasonable education expenses - not to exceed five years of NFLP loan support. Upon completion of the program, an amount up to 85 percent of the loan may be cancelled by the institution as follows: upon completion of the first, second, and third year of full-time faculty employment in an accredited school of nursing, 20 percent of the principal and interest of the unpaid loan shall be cancelled for each year; upon completion of the fourth year of full-time employment as faculty in an accredited school of nursing, 25 percent of the principal and interest of the unpaid loan shall be cancelled for the fourth year.

ARRA-NFLP funds must be kept separate from regularly appropriated NFLP funds and should not be commingled for tracking and reporting purposes. No one student may receive both ARRA-NFLP funds and regularly appropriated 1 NFLP funds in the same budget/project period.

**Applicant Eligibility:**

Eligible applicants include all accredited public or private collegiate schools of nursing that offer an advanced degree nursing education program (masters or doctoral) to prepare advanced degree nursing students to serve as faculty.

In addition, the school must be located in a State in the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa or the Trust Territory of the Pacific.

**Beneficiary Eligibility:**

Eligible nursing students must: (1) be a citizen or national of the United States, or a lawful permanent resident of the United States, the Commonwealths of Puerto Rico, the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa or the Trust Territory of the Pacific Islands; (2) be enrolled in an advanced degree program in nursing to become qualified nursing faculty; and (3) not be in default on a Federal debt; and (4) maintain good academic standing.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov Web site at [www.grants.gov](http://www.grants.gov). Applications are generally solicited by a program announcement on the HRSA web site at <http://www.bhpr.hrsa.gov/grants/>. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing (electronically) by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 1-3 months after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal applications must be submitted annually for new funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

**Matching Requirements:** Schools that participate in the loan program must contribute to the loan fund an amount equal but to not less than one-ninth of the fiscal year award.

**Funding Factor:** As provided under Title VIII of the Public Health Service Act, Section 846A (42 U.S.C. 297n-1), as amended by the Patient Protection and Affordable Care Act of 2010, Public Law 111-148, Section 5311 847(f) and the American Recovery and Reinvestment Act of 2009, Public Law 111-5, a statutory funding priority will be awarded to School of Nursing Student Loans that support doctoral nursing students.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 1 year beginning July 1 through June 30. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. The institution must submit the Nurse Faculty Loan Program, Annual Operating Report (AOR) annually through electronic submission at <https://grants.hrsa.gov/webexternal/home.asp>. The NFLP Annual Operating Report (AOR) is due each year within 45 days following the last day of the project period and should reflect the loan fund activity for the reporting period. Institutions must comply with ARRA reporting requirements. Additional ARRA reporting requirements are as mandated by Section 1512 of the Recovery Act and OMB guidance made available at [www.recovery.gov](http://www.recovery.gov) for required reporting information. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Cash reports are not applicable. see prior. see prior. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$6,611,660; FY 11 est \$0; and FY 12 est \$0 -

**Range and Average of Financial Assistance:**

FY 10 Range is \$6,495 to \$451,792; Average is \$81,974.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, there were 83 participating ARRA-NFLP funded institutions. The FY 2009-2010 report data in the HRSA EHBs indicates 428 ARRA-NFLP loan recipients, 39 NFLP graduates and 4 NFLP graduates employed as nurse faculty for the 2009-2010 academic period. Fiscal Year 2011: Not available. Fiscal Year 2012: Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices at <http://www.hrsa.gov/about/organization/bureaus/oro/>.

Program Office: Denise Thompson, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857, Phone: (301) 443-1399, Email: [dthompson@hrsa.gov](mailto:dthompson@hrsa.gov).

**Headquarters Office:**

Denise Thompson, 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857  
Phone: (301) 443-1399

**Website Address:**

<http://www.hrsa.gov/>

**RELATED PROGRAMS:**

93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Funded projects establish and operate a NFLP loan fund for providing loan support to nursing students enrolled in advanced nursing education degree programs and following graduation from the program, loan recipients may cancel 85% of the NFLP loan while serving as full-time nurse faculty at a school of nursing. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness and accuracy, and to determine if applicant schools meet minimum program requirements. All eligible applicants are considered in a formula for determining awards. Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.409 FACULTY LOAN REPAYMENT PROGRAMS**

ARRA - Faculty Loan Repayment Programs (FLRP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) Public Law 111-5, Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the Faculty Loan Repayment Program (FLRP) provides a financial incentive for degree-trained health professionals from disadvantaged backgrounds to pursue academic careers in the following disciplines: allopathic, osteopathic, podiatric or veterinary medicine; dentistry, pharmacy, optometry, nursing (RN or higher), physician assistants, allied health or graduate programs in public health or behavioral and mental health for a minimum of 2 years.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Direct Payments for Specified Use. Funds will be used to repay eligible health professions educational loans incurred by the applicant in return for serving a minimum of 2 years as a full-time faculty member at an accredited health professions college or university, in one of the following disciplines: allopathic, osteopathic, podiatric or veterinary medicine; dentistry, pharmacy, optometry, nursing (RN or higher), physician assistants, allied health or at a school offering graduate programs in public health or behavioral and mental health. Recipients of a FLRP award will receive a contract signed by the Secretary of HHS or his/her designee. The Faculty Loan Repayment Program will pay up to \$20,000 a year in return for a two year service obligation, based on the participants outstanding balance of qualifying educational loans (the maximum amount is

\$40,000 for 2 years).

**Applicant Eligibility:**

Individuals from disadvantaged backgrounds who:  
(1) are U.S. citizens (either U.S. born or naturalized), U.S. nationals or Lawful Permanent Residents; 2) have a degree in one of the following disciplines: allopathic, osteopathic, podiatric or veterinary medicine; dentistry, pharmacy, optometry, nursing (RN or higher), physician assistants, allied health or graduate programs in public health or behavioral and mental health; or are enrolled in an approved graduate training program in one of the health professions listed above, or are enrolled as full-time students (in the disciplines listed above) at an accredited health professions institution and are in the final course of study or program leading to a degree from that institution; (3) have a minimum 2-year employment commitment from an eligible college or university for a full-time faculty position; (4) have an agreement with the eligible college or university for equivalent loan repayment; and (5) be currently repaying qualifying educational loans.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FLRP applications are generally solicited by a program announcement posted on the HRSA Web site at [www.HRSA.gov](http://www.HRSA.gov)

**Award Procedure:**

The Faculty Loan Repayment Program will pay up to \$20,000 a year in return for a two year service obligation, based on the participants outstanding balance of qualifying educational loans (the maximum amount is \$40,000 for 2 years). Recipients of a FLRP award will receive a contract signed by Secretary of HHS or his/her designee.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for 2 years and the time is specified in the contract. See the following for information on how assistance is awarded/released: : Direct Deposit into recipients account through PSC.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - ARRA funded program in FY2009.

**Range and Average of Financial Assistance:**

\$52,273 (average award for FY09 including funds for award tax liability).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Faculty Loan Repayment Program, Division of Nursing and Public Health, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4130.

**Headquarters Office:**

Faculty Loan Repayment Program, 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: 301-594-4130

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.410 ARRA LICENSURE PORTABILITY GRANT PROGRAM**

ARRA - Licensure Portability Grant Program (LPGP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5, Public Law 111-5.

**OBJECTIVES:**

Provide support for State professional licensing boards to carry out programs under which licensing boards of various States cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

LPGP - Grant funds are used for salaries, equipment, software development, operating, or other costs associated with developing legislative, administrative, and technical projects to address licensure barriers that hinder the practice of telemedicine across state lines. Grant funds may also be used for activities involving significant expansion of existing state agreements for cross-state recognition of professional licenses to other states.

**Applicant Eligibility:**

Eligible applicants include State professional licensing boards, including national organizations of professional licensing boards that provide services to State licensing boards.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Refer to the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Two-year project period. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual progress and financial reports are required 90 days from the end of the budget period and the final performance report and final financial reports are due 90 days from the end of the project period. Progress reports are to be submitted every 6 months. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$350,000; FY 11 est \$350,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

ARRA LPGP Average award approximately \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Carlos Mena, MS, Public Health Analyst, Office for the Advancement of Telehealth, Office of Health Information Technology, Health Resources and Services Administration (HRSA), Parklawn Bldg., 5600 Fishers Ln, RM 10B-11 Rockville, MD 20857, Tel: (301) 443-3198.

**Headquarters Office:**

Carlos Mena, 5600 Fishers Lane, Room 10B-11, Rockville, Maryland 20857 Phone: (301) 443-3198.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.211 Telehealth Network Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For non-competing continuation funding for Telehealth grantees will be based upon an evaluation of each of the grantees first two years of performance, the third year program design, and expenditure justifications. For FY 2010, the Agency developed program guidance to facilitate a competition for the 3-year FY 2010 through FY 2012 project period.

**93.411 ARRA EQUIPMENT TO ENHANCE TRAINING FOR HEALTH PROFESSIONALS**

ARRA - Equipment for Training of Health Professionals (ETHP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 768 (42 U.S.C. 295c), and the American Recovery and Reinvestment Act of 2009, Pub.L. 111-5, Public Law 111-5.

**OBJECTIVES:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) supports the purchase of equipment through a grant program that will enhance infrastructure supporting health professions training programs. The Equipment to Enhance Training for Health Professionals (EETHP) program provides funding to purchase training equipment for health professions training programs. The goals of the program include: (1) investing in the educational infrastructure, through

the purchase of equipment, to enhance the quality of health professions education; (2) strengthening the National capacity for health professions education through the purchase of health professions training equipment; and (3) increasing the number of highly skilled health workforce professionals in the United States or its territories through the availability and use of training equipment.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Applications must request the purchase of equipment that will be used to expand and improve the quality of the training program. The EETHP equipment purchases should enhance a structured clinical learning experience within a health professions training program. Funding to support the operations of the equipment (such as staffing, software, maintenance and supplies) is prohibited under the EETHP program, unless it is part of an equipment purchase package.

**Applicant Eligibility:**

A health professions training program as defined by this program is one of 21 programs authorized under Titles III, VII and VIII of the PHS Act which focus all or in part on the training of health professionals. Refer to the funding opportunity announcement for more specifics.

**Beneficiary Eligibility:**

Training programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are generally solicited by a program announcement in [www.hrsa.gov/grant](http://www.hrsa.gov/grant). Application information may be downloaded from [www.grants.gov](http://www.grants.gov). All applications are required to be submitted electronically through [Grants.gov](http://Grants.gov).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification of award is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards will be made in FY 2010 for up to a two-year project period. After Notices of Grant Award are issued, funds are released in accordance with DHHS payment procedures. See the following for information on how

assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A progress report must be submitted annually within the approved project period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. No cash reports are required. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$50,000,000; FY 11 est \$0; and FY 12 est \$0 -

**Range and Average of Financial Assistance:**

\$5,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations. The National Environmental Policy Act (NEPA), 42 U. S. C. 4321-4370d also applies. HRSA grant awards are also subject to the requirements of the HHS Grants Policy Statement (HHS GPS, found at <http://www.hrsa.gov/grants/>), that are applicable to the grant based on recipient type and purpose of award. ARRA-funded awards are also subject to the HHS ARRA Standard Terms and Conditions.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gail Lipton, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, 5600 Fishers Lane, Room 9-05, Rockville, Maryland 20857 Email: [glipton@hrsa.gov](mailto:glipton@hrsa.gov) Phone: (301) 443-6509.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting applications are available in the funding opportunity guidance document, in the following broad categories: (1) the extent to which the application describes its needs and links the purchase of the equipment to the enhancements of health professions programs; (2) the extent to which the application describes the proposed goals and objectives and their relationship to the purchase of equipment; (3) the extent to which the applicant describes the expected impact of the equipment on the training program; and (4) the budget justification logically documents how and why each equipment purchase supports the goals and activities of the training program.

**93.412 ARRA - PREVENTIVE MEDICINE RESIDENCY PROGRAM**

ARRA - Preventive Medicine Residency Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5.

**OBJECTIVES:**

To promote the post-graduate education of physicians in preventive medicine and public health as funded under the American Recovery and Reinvestment Act of 2009 (ARRA). Preventive Medicine includes the specialties of preventive medicine and public health, occupational medicine and aerospace medicine.

**TYPES OF ASSISTANCE:**

Project Grants; Training

**USES AND USE RESTRICTIONS:**

Grants are intended to assist in meeting the costs of planning and developing new preventive medicine programs; maintaining or improving existing residency training programs in preventive medicine; and providing financial assistance to residents enrolled in such programs. Grants may not be used for construction or for the provision of direct patient services. See guidance at [www.grants.gov](http://www.grants.gov) for additional restrictions, including trainee stipends.

**Applicant Eligibility:**

Eligible applicants are: (1) an accredited school of public health or school of medicine or osteopathic medicine; (2) an accredited public or private nonprofit hospital; (3) a State, local, or tribal health department; or (4) a consortium of 2 or more entities described in (1) through (3). An applicant must demonstrate to the Secretary that it has or will have available full-time faculty members with training and experience in the fields of preventive medicine and support from other faculty members trained in public health and other relevant specialties and disciplines.

**Beneficiary Eligibility:**

U.S. citizens, noncitizen nationals, and those foreign nationals who possess a visa permitting permanent residence in the United States may receive a stipend under this program.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA is requiring applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee.

Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is available for up to 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

Grant recipients must submit periodic progress reports. A final progress report and final financial status report must be submitted within 90 days after the end of the project period.

All BHPr grantees are required to submit a final report within 90 days after the project period ends. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Salaries) FY 10 \$5,982,807; FY 11 est \$0; and FY 12 est \$0 -

**Range and Average of Financial Assistance:**

FY 10-13 \$331,001 to \$1,424,450.; \$747,851 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and

tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Wendy E Braund, MD, MPH, MEd, Chief, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-6867 and Email: [wbraund@hrsa.gov](mailto:wbraund@hrsa.gov).

Elsie Quinones, Geriatrics and Public Health Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-5244 and Email: [equinones@hrsa.gov](mailto:equinones@hrsa.gov).

**Headquarters Office:**

Elsie Quinones 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Email: [equinones@hrsa.gov](mailto:equinones@hrsa.gov) Phone: (301) 443-5244

**Website Address:**

<http://www.HRSA.gov>

**RELATED PROGRAMS:**

93.117 Grants for Preventive Medicine

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by consultants who make technical merit recommendations based on the potential effectiveness of the proposed project in carrying out the training purposes of section 768 of the PHS Act. Approval of any application is based on an analysis of the following factors: PREVENTIVE MEDICINE - purpose, need and rationale, project plan, project management, fiscal plan, trainee diversity, and project effectiveness. For applicants who are currently funded grantees or applicants who are not currently funded, but have received funding within the previous four years, reviewers will examine the progress report summary to determine the current or prior project's: impact on preventive medicine education both locally and nationally; ability to carry out grant-specific objectives and BHP performance objectives; and dissemination activities.

See grant guidance at [www.grants.gov](http://www.grants.gov) for detailed selection criteria.

**93.414 ARRA - STATE PRIMARY CARE OFFICES**

ARRA - PCOs

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act). Public Law 111-5. , Public Law 111-5.

**OBJECTIVES:**

To coordinate local, State, and Federal resources contributing to primary care service delivery and workforce issues in the State to meet the needs of medically underserved populations through health centers and other community-based providers of comprehensive primary care and the retention, recruitment, and oversight of health professions for medically underserved populations, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Recipients will be expected to perform State-wide primary care planning and

resource coordination, including Medicaid, Children's Health Insurance program, State Offices of Rural Health, Ryan White Area Health Education Centers, Maternal and Child Health, etc.; support health systems development, primary care practitioners retention and recruitment, National Health Services Corps monitoring activities, as well as activities relating to other special populations including rural populations; and conduct operational and administrative support activities.

**Applicant Eligibility:**

States or territories, political subdivisions of States, agencies of States, or other public entities that operate solely within one State.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA is requiring applicants to apply electronically through Grants.gov. All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from DGPWaivers@hrsa.gov, and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made annually. After awards are issued, funds are released in accordance with HHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Semi-annual program reports, financial status reports, and special reports are required as requested. Federal Financial Reports are required as requested. Cash reports are not applicable. All projects funded with ARRA funds are subject to special

quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Semi-annual program reports and special reports are required as requested. Federal Financial Reports are required as requested. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Financial status reports are required as requested. Federal Financial Reports are required as requested. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Semi-annual program reports and special reports are required as requested. Federal Financial Reports are required as requested.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,000,000; FY 11 est \$9,357,651; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$42,000 to \$689,000

Average award per recipient \$217,620.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Office of Shortage Designation, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-18, Rockville, Maryland 20857. Telephone: (301) 594-0816.

**Headquarters Office:**

Office of Shortage Designation 5600 Fishers Lane, Room 9A-18, Rockville, Maryland 20857 Phone: (301) 594-0816.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices; 93.162 National Health Service Corps Loan Repayment Program; 93.288 National Health Service Corps Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated in the following areas: (1) Ability to assess and

analyze the State's health policy environment, its unmet need for preventive and primary care services, its health care marketplace and its major disparities in health outcomes; and (2) develop and implement strategies and activities to effectively assist health centers and NHSC delivery sites in their response to these State environmental conditions.

### **93.415 ARRA - CENTERS OF EXCELLENCE**

ARRA - COEs

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

#### **OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the Centers of Excellence program assists eligible schools in supporting programs of excellence in health professions education for underrepresented minority(URM) individuals.. The COE program is a catalyst for institutionalizing a commitment to URM students/faculty and to serve as a national resource and educational center for diversity and minority health issue. Additionally, the COE program will help to strengthen the national capacity to produce a culturally competent healthcare workforce whose diversity is representative of the United States Population.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Grant funds must be used by health professions schools to: (1) develop a large competitive applicant pool through linkages with institutions of higher education, local school districts, and other community-based entities; and establish an education pipeline for health professions careers; (2) establish, strengthen, or expand programs to enhance the academic performance of underrepresented minority students attending the school; (3) improve the capacity of such school to train, recruit, and retain underrepresented minority faculty including the payment of stipends and fellowships as the Secretary may determine appropriate; (4) carry out activities to improve the information resources, clinical education, curricula and cultural competence of the graduates of the school as it relates to minority health issues; (5) facilitate faculty and student research on health issues particularly affecting underrepresented minority groups, including research on issues relating to the delivery of health care; (6) carry out a program to train students of the school in providing health services to a significant number of underrepresented minority individuals through training provided to such students at community-based health facilities. These facilities provide such health services and are located at a site remote from the main site of the teaching facilities of the school; and (7) provide stipends as the Secretary determines appropriate in the amounts the Secretary determines.

#### **Applicant Eligibility:**

Eligible applicants include designated Historically Black Colleges and Universities and health professions schools that are accredited schools of allopathic medicine, osteopathic medicine, dentistry, pharmacy, graduate programs in behavioral or mental health, or other public and nonprofit health or educational entities that meet the required conditions regarding underrepresented minorities as described in Section 736(c) of the Public Service Act:

Eligible applicants must also have: (1) a significant number of underrepresented minority individuals enrolled in the schools; (2) been effective in assisting underrepresented minority students of the schools to complete the program of education and receive the degree involved; (3) been effective in recruiting underrepresented minority individuals to enroll in and graduate from the school, including providing scholarships and other financial assistance to such individuals and encouraging under-represented minority students from all levels of the educational pipeline to pursue health professions careers; and (4) made significant recruitment efforts to increase the number of under-represented minority individuals serving in faculty or administrative

positions at the school.

#### **Beneficiary Eligibility:**

Designated HBCUs and eligible health professions schools must recruit and train a significant number of under-represented minority students in medicine, dentistry, and pharmacy; faculty recruitment, training and retention; and faculty and student research activities.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA is requiring applicants to apply electronically through Grants.gov. All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from [dgpwaivers@hrsa.gov](mailto:dgpwaivers@hrsa.gov) and provide details as to why they are technologically unable to submit electronically though the Grants.gov portal. Application information may be found by visiting [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Grant Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Project periods are for approximately 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A uniform progress report must be submitted annually within the approved project period. A final progress report and final financial report must be submitted within 90 days after the end of the project period. Financial Reports are required within 90 days after the end of each budget period. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

#### **Audits:**



In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$2,131,256 to \$2,768,183 with an average award of \$2,449,719.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Violet Woo, Chief, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. (301) 443-8032.

Sadie Silcott, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-0133 E-mail: [ssilcott@hrsa.gov](mailto:ssilcott@hrsa.gov).

**Headquarters Office:**

Violet Woo 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-8032

**Website Address:**

<http://bhpr.hrsa.gov/grants/diversity.htm>

**RELATED PROGRAMS:**

93.157 Centers of Excellence

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The Centers of Excellence have 7 criteria:

(1) NEED (20 points) - The extent to which a description of a) the problem, and the associated contributing factors, b) the need with respect to students, faculty development, and URMs in the health professions, and c) geographic factors, such as the size of the area that will be served, and any regional issues.

(2) RESPONSE (40 points) The extent to which project responds to the Purpose included in the program description. This includes the clarity of the proposed goals and objectives and their relationship to the identified project and achieving the seven legislative requirements. The extent to which the activities

(scientific or other) described in the application are capable of addressing the problem and attaining the project objectives.

For Centers of Excellence, the response should focus on the statutory purposes:

a) Competitive Applicant Pool: To develop a large competitive applicant pool through linkages with institutions of higher education, local school districts, and other community-based entities and establish an educational pipeline for health professions careers; b) Student Performance: To establish, strengthen, or expand programs to enhance the academic performance of underrepresented minority (URM) students attending the school; c) Faculty Development: To improve the capacity of such schools to train, recruit, and retain URM faculty including payment of such stipends and fellowships as the Secretary may determine is appropriate; d) Information Resources, Clinical Education, Curricula, and Cultural Competence: To carry out activities to improve the information resources, clinical education, curricula and cultural competence of the graduates as they relate to minority health issues; e) Faculty/Student Research: To facilitate faculty and student research on health issues particularly affecting URM groups, including research on issues relating to the delivery of health care; and f) Student Training in Providing Health Care Services: To carry out a program that trains students of the school in providing health care services to a significant number of URMs at community-based health facilities that provide such health care services and are located at a site away from the main teaching facilities of the school; and g) Stipends: To provide stipends as the Secretary determines.

(3) EVALUATIVE MEASURES (10 points) - The effectiveness of the method proposed to monitor and evaluate the project results. Evaluative measures must be able to assess to what extent: 1) the program objectives have been met; and 2) these can be attributed to the project.

(4) IMPACT (5 points) - The extent and effectiveness of the dissemination of the project results, the extent to which the project results may be national in scope, the degree to which the project activities are replicable, and the sustainability of the program beyond the Federal funding, and established linkages/collaboration with key stakeholders. It may include the extent to which disseminating COE project is to the Health Professions Education community regionally or nationally.

(5) RESOURCES /CAPABILITIES (10 points) The extent to which project personnel are qualified by training and/or experience to implement and carry out projects. This includes the capabilities of the applicant organization, and the quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project. This may include whether the health professions school has a significant number of URM individuals enrolled in the school, including individuals accepted for enrollment and successful completion in the school, and the extent to which the applicants activities influence the recruitment, training and retention of URM faculty.

(6) SUPPORT REQUESTED (10 points) - The extent to which the overall budget, including non-trainee expenses, is a) cost effective, reasonable, and consistent with the stated objectives and proposed activities, b) expenditures are well justified, and c) in-kind contributions are documented.

(7) CULTURAL COMPETENCE DEVELOPMENT (5 points) The extent to which the application reflects the institutions commitment to developing culturally competent health professionals by establishing a system that values the importance of culture in the delivery of health care services to all segments of the population. The practices and initiatives of the applicant institution their commitment to increasing culturally competent and diverse health professionals.

**93.416 ARRA - HEALTH CAREERS OPPORTUNITY PROGRAM**

ARRA - HCOP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the HCOP program strives to develop a more competitive applicant pool to build diversity in the health professions. The program's goal is to provide students from economically and educationally disadvantaged backgrounds an opportunity to develop the skills needed to successfully compete to enter and graduate from health professions schools, allied health professions schools, graduate programs in behavioral and mental health, and programs for the training of physician assistants.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Section 739 provides for assisting individuals from disadvantaged backgrounds to undertake education to enter a health or allied health profession. Grant funds may be used for: (1) recruitment; (2) facilitating entry; (3) counseling, mentoring and other services; (4) preliminary education and health research training; (5) financial aid/information dissemination; (6) primary care exposure activities; (7) development of a more competitive applicant pool; and (8) stipends. Funds under this Section may not be used for: (1) Direct compensation of payment to parents who participate in HCOP activities; (2) Training expenses for faculty or staff; (3) Tuition of fees for students, including test taking fees for health professions schools; (4) Dependency allowances; (5) Construction of facilities, acquisition of land, or fund raising; (6) Interview trips to health and allied health professions schools; (7) Support of courses that are offered as part of the regular academic curriculum; (8) Sectarian instruction or for any religious purpose; (9) Job placement activities; (10) Activities for health professionals (e.g. internships, externships, residencies); (11) Remedial courses; (12) Faculty support for full-time course work during the academic year; (13) Pilot projects, planning projects, feasibility studies, or activities of a similar nature; (14) Entertainment activities (including meals, beverages, lodging, and transportation).

**Applicant Eligibility:**

Grants may be made to accredited schools of medicine, osteopathic medicine, public health, dentistry, veterinary medicine, optometry, pharmacy, allied health, chiropractic, podiatric medicine, public or nonprofit private schools that offer graduate programs in behavioral and mental health, programs for the training of physician assistants, and other public or private nonprofit health or educational entities.

**Beneficiary Eligibility:**

Students who meet the definition of either educationally or economically disadvantaged, and who express an interest in pursuing a health degree program are eligible for participation in an HCOP program during their primary, secondary pre-professional, and professional education. Students must be U.S. citizens, non-citizen nationals, or foreign nationals who possess a visa permitting permanent residence in the United States. An individual will be determined to be disadvantaged if he or she comes from a background that has inhibited the individual from obtaining the knowledge, skills, and abilities required to enroll in and graduate from a health professions school or program providing education or training in an allied health profession; or comes from a family with an annual income below a level based on low income thresholds according to family size published by the Bureau of the Census, adjusted annually for changes in the Consumer Price Index, and adjusted by the Secretary for use in health professions programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA is requiring applicants

to apply electronically through Grants.gov. All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from [dgpwaivers@hrsa.gov](mailto:dgpwaivers@hrsa.gov) and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal. Application information may be found by visiting [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period is approximately 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Uniform Progress Report must be submitted for a second or subsequent budget period within a previously approved project period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Uniform Progress Report must be submitted for a second or subsequent budget period within a previously approved project period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$976,747 to \$1,527,351, with an average award of \$1,252,049.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments; and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Violet R. H. Woo, Chief, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane Rm. 9-36, Rockville, MD 20857, by telephone at 301-443-8032 and E-mail at [vwoo@hrsa.gov](mailto:vwoo@hrsa.gov).

Kyle Peplinski, Public Health Analyst, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane Rm. 9-36, Rockville, MD 20857, by telephone at 301-443-7758 and E-mail at [kpeplinski@hrsa.gov](mailto:kpeplinski@hrsa.gov).

**Headquarters Office:**

Kyle Peplinski 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Email: [kpeplinski@hrsa.gov](mailto:kpeplinski@hrsa.gov) Phone: (301) 443-3043.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.822 Health Careers Opportunity Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Overview: (1) The applicant's record in developing, training, and strengthening the academic performance of disadvantaged students throughout the educational pipeline, including health professions schools; (2) the needs assessment study; (3) the established relationship between the program's stated needs, objectives, and outcomes; (4) the project's plan for developing and expanding the pool of competitive health professions school applicants; (5) the qualifications and experience of the faculty and staff to implement and manage an HCOP program, as well as the experience of the faculty and staff in working with the proposed target group; (6) evidence that formal linkages have been established in order to create a more comprehensive HCOP program; (7) the project activities and their reasonability given the proposed level of staff effort, length of project period and budget requested, resources available, and linkages established; (8) the proposed methods for evaluating the project (including data collection, analysis and reporting procedures, quality control methods and type of personnel involved; (9) the demonstrated knowledge and expertise the applicant possess for coordinating activities with school districts and other community based entities, as well as identifying and leveraging resources from private, philanthropic, business and other government entities; and (10) the budget demonstrates effective use of grant funds and is reasonable, based on: (a) a detailed justification for each line item, (b) the level of in-kind support and other sources of funds, both Federal and non-Federal, the applicant proposes to utilize for carrying out the program, (c) the applicant's proposed plan for continuation of the proposed project beyond the federally-funded project period.

REVIEW CRITERIA. All competitive applications will be reviewed and ranked on the basis of 7 review criteria are used to review and rank applications.

1. **RESOURCES/ CAPABILITIES:** a) the applicant demonstrates a commitment to disadvantaged students and/or underserved communities; b) the applicant provides documentation of evidence utilizing institutional resources and activities aimed at developing, training and strengthening the academic performance and cultural competence of disadvantaged students throughout the educational pipeline, including health professions schools; c) the applicant demonstrates a commitment to disadvantaged students and/or underserved communities; d) the applicant provides documentation of evidence utilizing institutional resources and activities aimed at developing, training and strengthening the academic performance and cultural competence of disadvantaged students throughout the educational pipeline, including health professions schools; e) project personnel are qualified by training and/or experience to implement and carry out the project; and f) the capabilities of the applicant organization, and quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project.

2. **IMPACT:** a) the applicant clearly describes the plan for disseminating and implementing HCOP project results to the education and/or health professions community, regionally and/or nationally; b) the applicant clearly delineates specific venues, media, timelines, etc.; c) the applicant describes the extent to which the project activities are replicable; and d) the applicant describes the probability of the program, or significant components of the program, being maintained beyond HCOP funding.

3. **NEED:** a) the extent to which the application describes the problem and associated contributing factors to the problem, with support data provided; b) the targeted disciplines mirror the health professions workforce needs of the geographic area to be served; and c) support data includes information on the academic performance and social needs of students in the targeted area and demographics for health professionals in the geographic area.

4. **RESPONSE:** a) an effective, well-delineated plan for carrying out all seven (7) of the HCOP program purposes. The plan explicitly identifies the targeted health disciplines and includes measurable objectives that are clearly written with corresponding methodology, evaluation and budget sections that describe in detail how they will be carried out, evaluated and supported by HCOP grant dollars and/or other sources; b) the extent to which the proposed project responds to the Purpose included in the program description; c) the clarity of the proposed goals and objectives and their relationship to the identified project; d) the extent to which the activities described in the application are capable of addressing the problem and attaining the project objectives; and e) the extent to which the projects objectives are appropriate, measurable, logical, time-framed, and provide baseline data.

5. **CULTURAL COMPETENCE DEVELOPMENT:** a) the proposed project must clearly define goals and objectives for teaching cultural competence, including educational and training activities for each educational level; and b). the objectives must be measurable and attainable.

6. **SUPPORT REQUESTED:** a) the overall proposed budget, including non-trainee expenses, should be cost effective, reasonable and consistent in relation to the objectives, the proposed activities and the anticipated results; and b) expenditures should be justified and in-kind contributions documented.

7. **PROGRESS SUMMARY OF EVALUATIVE MEASURES (FOR COMPETING CONTINUATIONS):** a) the progress summary reveals that the applicant was able to successfully manage the grant and met the objectives of the current HCOP grant; b) lists the original grant objectives and provides outcomes for each objective in measurable terms; and c) provides an evaluation of the outcomes and lists corrective actions taken to remedy objectives that were not met.

**93.417 ARRA - NURSING WORKFORCE DIVERSITY**

ARRA-NWD

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), these funds will be used to increase nursing education opportunities for individuals who are from disadvantaged backgrounds (including racial and ethnic minorities under-represented among registered nurses) by providing student stipends and scholarships, pre-entry preparation and retention activities. To support projects focused on creating registered nurses.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and student stipends or scholarships; and other expenses related to the project.

Restricted Uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to 8 percent of direct costs exclusive of equipment and tuition and fees. Stipends are \$250 per month to qualifying students who participate full time in structured project activities. The maximum annual (12-month) amount for stipends is \$3000 per student. Scholarships are limited to a maximum of \$7,000 per student per year for qualifying full or part time nursing majors. The maximum amount that can be requested for scholarships in a grant is \$40,000 per year.

**Applicant Eligibility:**

See funding opportunity announcement.

**Beneficiary Eligibility:**

See funding opportunity announcement.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA is requiring applicants to apply electronically through Grants.gov. All applicants must submit in this manner unless the applicant is granted a written exemption from this requirement in advance by the Director of HRSA's Division of Grants Policy. Grantees must request an exemption in writing from DGPWaivers@hrsa.gov, and provide details as to why they are technologically unable to submit electronically through the Grants.gov portal.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. LCDR Aisha K. Mix, MPH, MSN, RN, CCM, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 8C-26, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6193.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for three (3) years of support. Budget periods are for 1 year. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Bureau of Health Professions Progress Report must be submitted annually. Final progress and financial reports must be submitted within 90 days after the end of the project period. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Bureau of Health Professions Progress Report must be submitted annually. Final progress and financial reports must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Financial Status Report (FSR) must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education,

hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. LCDR Sidney Hairston, MSN, RN, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Rm. 9-61, Parklawn Bldg, 5600 Fishers Lane, Rockville, MD 20857. Telephone: 301-443-5688.

**Headquarters Office:**

LCDR Sidney Hairston, MSN, RN, 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857 Phone: (301) 443-5688

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.178 Nursing Workforce Diversity

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The purpose of the project must be consistent with and promote the activities identified in the law. Need must be documented, and the capability for achieving project goals must be described. In making awards of grants under this section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State in local health departments. This preference will only be applied to applications that rank above the 20th percentile of applications recommended for approval.

**93.418 ARRA - EMERGENCY MEDICAL SERVICES FOR CHILDREN**

ARRA - EMS for Children

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009; P.L. 111-5 Public Health Service Act, Title XIX, Section 1910, Public Law 111-5.

**OBJECTIVES:**

To support demonstration projects for the expansion and improvement of emergency medical services for children who need treatment for trauma or critical care, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved project in accordance with Section 1910 of the Public Health Service Act.

**Applicant Eligibility:**

Applications may be submitted only by accredited schools of medicine that are current activity code U03 grantees (EMSC-Network Development Demonstration Project whose cooperative agreements collectively form PECARN).

**Beneficiary Eligibility:**

All children will benefit from the project grants administered by this program, including children from minority groups.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB

Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA is requiring applicants to apply electronically through Grants.gov ([www.grants.gov](http://www.grants.gov)).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Annual basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made annually, in accordance with the project period method of awarding grants. Payments are made through a Letter of Credit or Cash Demand System. Project periods are generally for up to 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports, program service reports, and special reports must be submitted as required. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Please visit the following Web site for further information on ARRA reporting requirements. <http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>. Cash reports are not applicable. Annual program reports, financial status reports, program service reports, and special reports must be submitted as required. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Please visit the following Web site for further information on ARRA reporting requirements. <http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>. Annual program reports, financial status reports, program service reports, and special reports must be submitted as required. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Please visit the following Web site for further information on ARRA reporting requirements. <http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>. Annual program reports, financial status reports, program service reports, and special reports must be submitted as required. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Please visit the following Web site for further information on ARRA reporting requirements.

<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$3,498,012; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Daniel Kavanaugh, EMSC Senior Program Manager, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-38, 5600 Fishers Lane, Rockville, MD 20857, 301-443-1321.

**Headquarters Office:**

Daniel Kavanaugh Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-38, 5600 Fishers Lane, Rockville, MD 20857., Rockville, Maryland 20857  
Email: [dkavanaugh@hrsa.gov](mailto:dkavanaugh@hrsa.gov) Phone: 301-443-1321

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

20.600 State and Community Highway Safety; 93.110 Maternal and Child Health Federal Consolidated Programs; 93.127 Emergency Medical Services for Children

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant applications will be reviewed and evaluated by a panel of reviewers experienced in the planning, implementation, and monitoring of emergency medical services and pediatric care. The reviewers will recommend a score for applications; recommend any modifications or conditions to the grant if awarded; and recommend any changes to the proposed budget. Recommendations of the review panel are presented to the Associate Administrator, MCHB. Panel recommendations are advisory only, and the Associate Administrator, MCHB will be responsible for final decisions regarding awards. Reviewers will use the criteria and questions described in the section on Categories of Grants: Program Narrative and Review Criteria to

evaluate proposals. Applicants are urged to address these criteria as directly as possible in the text of the program narrative.

**93.419 ARRA - MATERNAL AND CHILD HEALTH (MCH) PEDIATRIC RESEARCH NETWORK PROGRAM**

ARRA - MCH Pediatric Research Network Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009, P.L. 111-5 and Title V of the Social Security Act of 1935, Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), to carry out special maternal and child health (MCH) projects of regional and national significance; to conduct training and research; to conduct genetic disease testing, counseling, and information development and dissemination programs; for grants relating to hemophilia without regard to age; and for the screening of newborns for sickle cell anemia, and other genetic disorders and to support comprehensive hemophilia diagnostic and treatment centers.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Training grants are made to institutions of higher learning for training personnel for health care and related services for mothers and children. Research grants are for the purpose of research activities which show promise of a substantial contribution to the advancement of maternal and child health services. Genetic grants are for genetic disease testing, counseling and information development and dissemination. Hemophilia grants are for the support of centers which provide hemophilia diagnostic and treatment services. Other special project grants are designed to support activities of a demonstration nature which are designed to improve services for mothers and children.

**Applicant Eligibility:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), to carry out special maternal and child health (MCH) projects of regional and national significance.

**Beneficiary Eligibility:**

For research grants: public or private nonprofit agencies and organizations engaged in research in MCH or CSHCN programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All applicants are required to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Annual basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis for the duration of the grant period, and payments are made through an Electronic Transfer System or Cash Demand System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual program reports, annual program service reports and special reports as required. Cash reports are not applicable. All projects funded with ARRA funds are subject to reporting requirements as outlined in Section 1512 of the Recovery Act. All projects funded with ARRA funds are subject to reporting requirements as outlined in Section 1512 of the Recovery Act. All projects funded with ARRA funds are subject to reporting requirements as outlined in Section 1512 of the Recovery Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$3,499,979; FY 11 est \$0; and FY 12 est \$0 - ARRA funding for FY2010 only.

**Range and Average of Financial Assistance:**

3,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Benjamin Margolis, PhD, MPH, Maternal and Child Health Bureau, Health Resources and Services Administration,

Department of Health and Human Services, Room 18A-55, 5600 Fishers Lane, Rockville, MD 20857, Rockville, Maryland 20857 Email: [bmargolis@hrsa.gov](mailto:bmargolis@hrsa.gov) Phone: (301) 443-3146.

**Headquarters Office:**

Benjamin Margolis, PhD, MPH Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-55, 5600 Fishers Lane., Rockville, Maryland 20857 Email: [bmargolis@hrsa.gov](mailto:bmargolis@hrsa.gov) Phone: (301) 443-3146

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.234 Traumatic Brain Injury State Demonstration Grant Program; 93.300 National Center for Health Workforce Analysis; 93.926 Healthy Start Initiative; 93.994 Maternal and Child Health Services Block Grant to the States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria are described in Program Regulations 45 CFR 51, and specific criteria are included in the program guidance materials provided with application kits. Contact Central Office for details.

**93.420 ARRA - COMMUNITY HEALTH APPLIED RESEARCH NETWORK**

Includes the following two programs:

Community Health Applied Research Network (CHARN);  
CHARN Central Data Management and Coordinating Center (CDMCC)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Pub.L. 111-5 and Section 301 of the Public Health Service Act., Public Law 111-5.

**OBJECTIVES:**

To provide infrastructure support for consortia of safety net\* providers and academic institutions to develop the capacity to undertake community-based comparative effectiveness research (CER). It is anticipated that by the end of the grant period, the funded consortia would be able to conduct high quality observational and interventional studies on priority comparative effectiveness topics.

\*The term Safety-Net Provider means a provider that by mandate or mission organizes and delivers a significant level of healthcare and other health-related services to the uninsured, Medicaid, and other vulnerable populations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Funds are to support CER Data Infrastructure activities or investments that develop, build, or maintain data, information systems, or tools to support CER research and analysis. These investments could also include data linkages to administrative databases and registries, operational and administrative support, including scientific and technical personnel. None of the funds appropriated or otherwise made available in ARRA may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604)

Grantees are not permitted to issue subgrants. ARRA-funded awards are also subject to the HHS Standard Terms and Conditions as described in Appendix D on the web at:

<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>.

**Applicant Eligibility:**

CHARN: Health Center Consortia, such as a health center as defined and funded under Section 330 of the Public Health Service (PHS) Act, as amended (42 U.S.C. 254b), applying on behalf of a managed care Network or plan, that has received Federal grants under subsection 330(e)(1)(A) for at least the two consecutive preceding years; or a health center as defined and funded under Section 330 of the Public Health Service (PHS) Act, as amended (42 U.S.C. 254b), applying on behalf of a Practice Management Network. Applicants must have a formal relationship with an academic research institution, through mechanisms such as MOU, MOA, etc. The United States institution/organization must be located in the 50 states, territories and possessions of the U.S., Commonwealth of Puerto Rico, Trust Territory of the Pacific Islands, or District of Columbia.

CHARN CDMCC: Academic research institutions, such as public or nonprofit universities, laboratories, hospitals, and other public or private institutions.

**Beneficiary Eligibility:**

The beneficiaries of this support are going to be the funded entities themselves, such as the health center consortia or health center controlled networks; the collaborating institutions that are the Affiliates of the funded entities, such as academic institutions and other research organizations; and, ultimately, the patient populations that are served by the funded entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Jun 09, 2010

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Applicants can locate funding opportunities along with deadline information at <http://www.hrsa.gov/grants/default.htm> and [www.grants.gov](http://www.grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance is available for no more than 3 years. ARRA restrictions require that money awarded must be spent by the end of the third year of the project, no later than September 30, 2013. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Progress Reports are required with information on grantee progress on

program-specific goals. A financial report is required within 90 days of the end of each year. The report is an accounting of expenditures under the project. Quarterly reports must be compliant with the provisions set in the Recovery Act. Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), [http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=111\\_cong\\_bills&docid=f:h1enr.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=111_cong_bills&docid=f:h1enr.pdf), including reporting requirements outlined in Section 1512 of the Act.

All CHARN grantees are required to submit a final report within 90 days after the project period ends. All information required by Section 1512 of the Recovery Act must be submitted through [FederalReporting.gov](http://FederalReporting.gov). Submit a quarterly electronic PSC-272 via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. All CHARN grantees are required to submit a final report within 90 days after the project period ends. All information required by Section 1512 of the Recovery Act must be submitted through [FederalReporting.gov](http://FederalReporting.gov). Grantees are required to submit a quarterly electronic PSC-272 via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. Grantees will be required to participate, where appropriate, in an on-site performance review of their HRSA funded program(s). Grantees will be required to participate, where appropriate, in an on-site performance review of their HRSA funded program(s) by a review team from HRSA's Office of Regional Operations (ORO).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Successful applicants must comply with audit requirements of OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. Recipients agree to separately identify the expenditures for each grant award funded under ARRA on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC).

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550 - CHARN CDMCC; 75-0351-0-1-550 - CHARN.

**Obligations:**

(Salaries) FY 10 \$10,000,000; FY 11 est \$0; and FY 12 est \$0 - The American Recovery and Reinvestment Act of 2009 (ARRA or Recovery Act) provides funds for the Office of the Secretary for comparative effectiveness research (CER) activities.

**Range and Average of Financial Assistance:**

Approximately \$10,000,000 will be awarded to five applicants for a period of three years per applicant, for average total costs of \$666,667 per year per applicant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Executive Committee has developed a draft work plan for the remaining 2 years of the projects.

Governance structure for the research network established and approved by steering committee.

Data Sharing Subcommittee has developed the preliminary data structure for a cross-site patient registry.

Publications and Presentations Subcommittee have created a draft policy document for the development of research proposals and publications within the CHARN. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**



This program is subject to the provisions of 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. Any identifiable patient health information collected by grantees under this award will also be obtained and managed in accordance with 45 CFR Parts 160 and 164. Information on these requirements can be found at <http://hhs.gov/ocr/hipaa>. Federal regulations at 45 CFR Part 46 require that research involving human subjects must be evaluated in accordance with those regulations. For guidelines on compliance with 45 CFR 46 see <http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm>.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Robert Mills, 5600 Fishers Lane, Room 7-90, Rockville, Maryland 20857 Email: [rmills@hrsa.gov](mailto:rmills@hrsa.gov) Phone: (301) 443-3899.

**Headquarters Office:**

Robert Mills, 5600 Fishers Lane, Room 7-90, Rockville, Maryland 20857 Email: [rmills@hrsa.gov](mailto:rmills@hrsa.gov) Phone: (301) 443-3899.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications were evaluated by an Objective Review Committee. Please refer to the funding opportunity announcements for specific information on review criteria.

**93.440 NATIONAL PROJECT MANAGEMENT OF THE HEALTHCARE COMMUNITIES KNOWLEDGE GATEWAY**

Knowledge Gateway

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Sections 330(l), 340B, and 377 of the Public Health Service Act (42U.S.C. 254b).

**OBJECTIVES:**

The objectives of this collaborative agreement is to provide technical assistance to HRSA grantees and other providers of healthcare services by supporting the Healthcare Communities Knowledge Gateway, a robust knowledge and content management system portal, and related quality improvement efforts that bridge healthcare, public health, local and state based community organizations in improvement efforts across the United States. Healthcare Communities Knowledge Gateway provides support to the following: (a) Patient Safety and Clinical Pharmacy Services Collaborative (PSPC) participant organizations and related community based activities; (b) the Donation and Transplantation Community of Practice (DTCP) continued growth and success in saving lives and increasing awareness of the need for additional donors; and (c) information resources for the State Health Access program.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The cooperative agreement recipient operates and manages the Healthcare Communities Knowledge Gateway main portal and resources center, results-sharing site, and help desk or create an equivalent system without disruption of service to the current users such as eligible organizations and a variety of HRSA grantees including but not limited to: health centers, Counties and States, transplant hospitals and centers, qualified organ procurement organizations, educational institutions, state and local health departments, public health and other private entities. Refer to the funding opportunity

announcement for specific terms of the cooperative agreement.

**Applicant Eligibility:**

Public, private, for profit and not-for-profit entities are eligible to apply. The applicant must have the ability to provide technical support and development; national project management of community based improvements, results sharing with automated analysis, and associated resources; and improve community resources including payer and health information technology systems.

**Beneficiary Eligibility:**

Beneficiaries include current users such as eligible organizations and a variety of HRSA grantees including but not limited to: health centers, Counties and States, transplant hospitals and centers, qualified organ procurement organizations, educational institutions, state and local health departments, public health and other private entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 3 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

This cooperative agreement will provide funding for up to 3 years. Approximately \$1,000,000 is expected to be available annually to fund one cooperative agreement. Applicants may request up to \$1,000,000 per year. Funding beyond the first year is dependent on the availability of appropriated funds in subsequent fiscal years, awardee satisfactory performance, and a decision that continued funding is in the best interest of the Federal government.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This cooperative agreement will provide funding for up to 3 years. Approximately \$1,000,000 is expected to be available annually to fund one cooperative agreement. Applicants may request up to \$1,000,000 per year. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The awardee must submit a progress report to HRSA on a quarterly basis. Sample text describing the report: This report has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data including performance measurement data to measure the progress and impact of the project. Further information will be provided in the award notice. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the award. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. See above. See above. See above.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FFR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$998,772; FY 11 est \$1,148,672; and FY 12 est \$1,148,672

**Range and Average of Financial Assistance:**

Approximately \$1,000,000 is expected to be available annually to fund one cooperative agreement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Healthcare Communities Knowledge Gateway (HCKG) portal is serving 5 communities of practice and 12,688 individual members, operating over 99.9% of the time. Users accessed the various functionalities 1.4 million times during the past year. Functional enhancements included making the members area searchable, adding logs to track the approval/rejection of members to the communities of practice areas, allowing members to tag a document to more than one folder, creation of a registration functionality to allow users to register for events/calls/webinars right from the HC portal, the 340B ID, a complete redesign and re-categorization of the Resource Center. Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Fred Butler Jr., Public Health Analyst, Office of Pharmacy Affairs, HRSA Healthcare Systems Bureau, Parklawn Building, Room 10C-03, 5600 Fishers Lane, Rockville, MD 20857  
Telephone: (301) 594-4483, Fax: (301) 594-4982, Email: [fbutler@hrsa.gov](mailto:fbutler@hrsa.gov).

**Headquarters Office:**

Fred Butler Jr., 5600 Fishers Lane, Room 10C-03, Rockville, Maryland 20874  
Email: [fbutler@hrsa.gov](mailto:fbutler@hrsa.gov) Phone: (301) 594-4982.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.107 Model State-Supported Area Health Education Centers; 93.134 Grants to Increase Organ Donations

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the funding opportunities announcement for further information.

**93.441 INDIAN SELF-DETERMINATION**

(Indian Self-Determination 638 Contracts)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Title 1, Section 102, Public Law 93-638.

**OBJECTIVES:**

To enable Indian tribes to assume the management and operation of programs, functions, services, and activities (PFSA) for the delivery of health care to Indian people. To enter into a self-determination contract or contracts with Indian tribes or tribal organizations (T/TO) interested in transferring the responsibility for the administration and provision of health services from the government to tribal leadership.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds are for the tribes to provide the PFSA transferred from the Indian Health Service (IHS). The funds are not available for construction unless specifically authorized by Congress. Tribes can reallocate funds within their budget from one line item to another without contract modifications. Tribes also receive administrative funds for the contracted programs.

**Applicant Eligibility:**

Any federally-recognized tribe that formally requests, through a governing body action, a resolution, to enter into a self-determination contract or contracts for the purpose of planning, conducting, and administering programs, or portions thereof, including construction programs, provided that the T/TO submits a contract proposal that conforms to the requirements contained in 25 CFR 900.8 may apply.

**Beneficiary Eligibility:**

Indian tribes will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The Agency shall, within 30 days of receipt of a notice of intent to contract, provide the tribe pre-proposal technical assistance, if requested to do so. The Agency will also notify the tribe of the amount of funds available to contract, under 106(a) of the ISDA, and begin planning for the transfer of responsibilities and funding to the tribe. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A tribe or tribal organization may submit a proposal for a self-determination contract or a proposal to amend or renew an existing contract. Unless there is a declination issue the Secretary shall within 90 days after receiving the proposal, approve the proposal and award a contract to the tribe. Declination issues are: (A) The service to be rendered to the Indian beneficiaries of the particular program or function to be contracted will not be satisfactory; (B) adequate protection of trust resources is not assured; (C) the proposed project or function to be contracted for cannot be properly completed or maintained by the proposed contract; (D) the amount of funds proposed under the contract is in excess of the applicable funding level for the contract as determined under Section 106(a); or (E) the program, function, service, or activity (or portion thereof) that

is the subject of the proposal is beyond the scope of programs, functions, services, or activities covered under paragraph (1) because the proposal includes activities that cannot lawfully be carried out by the contractor.

**Award Procedure:**

The agency negotiation team and the representatives of the tribe shall develop the agenda for the contract negotiation session(s). The agency negotiation team should assure that any issues identified during the proposal review stage, together with any agency recommendations for overcoming these issues, are raised at the negotiations. Title I contracts are generally awarded at the area office level. They are awarded for a definite period of time (1 to 3 years) or may be designated as "mature" and awarded for a definite or indefinite period of time.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Section 102 of the ISDA and Subpart L of the regulations are the basic sections covering the appeal procedures. Section 900.150 of 25 CFR lists the decisions a T/TO can appeal under Subpart L (25 CFR 900.150-169). The procedures here apply to those appeals. Also, 25 CFR Section 900.151 of the regulations describes appeals that are covered under Subpart N of the regulations and other appeals. The T/TO has three options in appealing a decision under 25 CFR 900-150. The T/TO can request an informal conference and/or can file a formal appeal. The T/TO also has the option of going directly to the Federal court at any time.

**Renewals:**

Annual funding agreements are renegotiated and renewed annually. Title I contracts may be designated as "mature" and awarded for a definite or indefinite period of time.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: A T/TO may use funds provided under a Title I contract to meet matching or close participation requirements under other Federal and nonfederal programs. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

n/a. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Section 5(f) of the ISDA requires a T/TO to submit an annual "Single Audit Act" as required by Chapter 75 of Title 31 U.S.C. OMB Circular No. A-133, Audits of States, Local Governments and Nonprofit Organizations, revised June 24, 1997, rescinded circular No. A-128 and superseded the Prior version of A-133. Revised circular No. A-133 now applies to T/TO.

**Records:**

Department of Health and Human Services (DHHS) and the Comptroller General of the United States or any of their authorized representatives, shall have the right to access any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS award, in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain accounting records 3 years after the end of the budget period of the award. If any litigation, claim, negotiation, audit or other action involving the records shall be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular

3-year period, whichever is later.

**Account Identification:**

75-0391-0-1-551.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$509,600,000; FY 11 est \$509,600,000; and FY 12 est \$509,600,000

**Range and Average of Financial Assistance:**

\$31,963 to \$25,950,652; \$1,722,872.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 93-638, as amended, Internal Agency Procedures Manual for Contracting Under Title I of the Indian Self-Determination and Education Assistance Act; Indian Health Circular No. 2000-01, "Contract Support Costs apply."

**Regional or Local Office:**

See Regional Agency Offices. Aberdeen Area IHS, Alaska Area IHS, Albuquerque Area IHS, Bemidji Area IHS, Billings Area IHS, California Area IHS, Nashville Area IHS, Navajo Area IHS, Oklahoma City Area IHS, Phoenix Area IHS, Portland Area IHS, and Tucson Area IHS.

**Headquarters Office:**

Grants Policy Office, 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: (301) 443-5204.

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants who meet the requirements of Section 102 of Public Law 93-638, as amended, and provide a proposal in accordance with 25 CFR 900 will be funded.

**93.442 SPECIAL DIABETES PROGRAM FOR INDIANS (SDPI) COMPETITIVE GRANT PROGRAM**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Balanced Budget Act of 1997, Public Law 105-33; Medicare Improvements for Patients and Providers Act of 2008, Public Law 110-275; Reauthorization of SDPI 2002, Public Law 107-360; Medicare, Medicaid, and SCHIP Extension Act of 2007, Public Law 110-173; Consolidated Appropriations Act of 2001, Public Law 106-554.

**OBJECTIVES:**

The Indian Health Service (IHS) announces a new initiative under the Special Diabetes Program for Indians (SDPI). This funding mechanism is a competitive cooperative agreement program that will provide funding to selected SDPI grantees for a demonstration project to implement and evaluate defined activities in one of two areas (primary prevention of diabetes or prevention of cardiovascular disease in people with diabetes).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and allowable indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities that will support the implementation and evaluation of demonstration projects under this competitive grant program.

**Applicant Eligibility:**

Applicants eligible to receive an award under this announcement are SDPI

grant recipients. The applicant must be one of the following entities: IHS hospital or clinic, federally recognized Tribes, Title V Urban Indian Health Programs or consortia of any of the above. A SDPI grant recipient can apply only once as a single entity or as part of consortium. An application submitted by consortium of SDPI grant recipients must be submitted by one of the SDPI grant recipients sanctioned as the principal applicant. A letter of support must be included in the application from each SDPI grantee the principle applicant is representing. The letter must specifically state that the principal applicant is officially representing that SDPI grantee in this application. Applicants for consortium who do not submit these letters of support at the time of the application receipt date will not be reviewed and are ineligible for the award. Smaller applicants are encouraged to apply as part of consortium, especially their diabetes registry is less than 250. Applicants are strongly encouraged to establish eligibility of their proposed applications prior to submission. Inquires about eligibility should be addressed to Gordon Quam, SDPI Demonstration Projects Grant Project Officer, IHS Division of Diabetes Treatment and Prevention at 505-248-4182; email to diabetesprogram@ihs.gov. Applicants that are not SDPI grant recipients are not eligible. Non-profit tribal organizations or national/area health boards are not eligible, consistent with recent tribal consultation on this issue. Applications that do not meet these eligibility requirements will be returned to the applicant without further review.

**Beneficiary Eligibility:**

American Indians and Alaska Natives will be the ultimate beneficiaries of the funded demonstration projects through either prevention or direct treatment services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Circular No. A-122, "Cost Principles for Non-Profit Organizations.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications can be found at <http://www.grants.gov>. Applications will also be available on request from the IHS Division of Diabetes Treatment and Prevention at the following address: 5300 Homestead Road, NE, Albuquerque, NM 87110. Telephone: (505) 248-4182, fax 505-248-4188, email address: diabetesprogram@ihs.gov. The application will be posted on the IHS Division of Diabetes Treatment and Prevention web site at [www.diabetes.ihs.gov](http://www.diabetes.ihs.gov) and on the HHS Grants web site at <http://www.grants.gov>. Applicants may submit one application for one or both demonstration projects. A separate application is required for each demonstration project. Applicants will be funded for only one project (primary prevention of diabetes or prevention of cardiovascular disease in people with diabetes).

Tribal Approval of Application/Letter of Support: It is the policy of the IHS that all projects involving AIAN tribes be approved by the Tribal governments with jurisdiction. Therefore, the following documentation is required as part of this application: 1) For federally recognized Indian tribe - a resolution of support from the Tribal government must be a part of the application. Applications that involve more than one Indian tribe must include resolutions of support from all participating tribes. 2) For an eligible consortium of tribes - a resolution of support from each tribe of the consortium must be included. 3) For Title V Urban Indian Health Programs - a letter of support from the program's board must be included. 4) For IHS hospitals or clinics - a letter of support from the Service Unit Director or Chief Executive Officer must be included. 5) For all applicants - letters of support from all partners and collaborating entities.

The preferred method for receipt of applications is electronic submission through [Grants.gov](http://www.Grants.gov). However, should any technical problems arise regarding the submission, please contact [Grants.gov](http://www.Grants.gov) Customer Support at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). The Contact Center is open 24 hours a day, 7 days a week (except Federal holidays). If you require additional assistance please

contact Tammy Bagley, Grants Policy Officer; Telephone: (301) 443-5204 at least ten days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the [Grants.gov](http://www.Grants.gov) website, complete it offline and then upload and submit the application via the [Grants.gov](http://www.Grants.gov) site. You may not e-mail an electronic copy of a grant application to us. Upon receipt, IHS will administratively review applications by completeness and responsiveness. Applications that are incomplete, non-responsive to this RFA, do not meet eligibility criteria or do not follow the guidelines of the SF 424 will be returned to the applicant without further consideration. Applications will be evaluated for technical merit by appropriate peer review groups convened by the IHS National Diabetes Program in accordance with established criteria.

**Award Procedure:**

Applicants will only be eligible to receive one award for funding in one area (i.e. primary prevention of diabetes or prevention of cardiovascular disease in people with diabetes. Priorities for funding will be based on the technical merit of the application, the assessed potential of the applicant and the likelihood of the applicant to successfully implement the defined interventions. Awards will be made only to organizations with financial management systems and management capabilities that are acceptable under PHS Policy. Awards will be administered under the PHS Grants Policy Statement. Awards will be subject to the availability of funds and grants will be administered in accordance with applicable Office of Management and Budget (OMB) Circulars, Department of Health and Human Services grant regulations at 45 CFR Parts 74 and 92, the Public Health Service Grants Policy Statement and other applicable IHS policies and procedures such as the regulations governing protection of human subjects at 45 CFR Part 46. Grants Management will not award a grant without an approved application in conformance with regulatory and policy requirements and which describes the purpose and scope of the project to be funded. When the application is approved for funding, the Grants Management Office will prepare a Notice of Grant Award with special terms and conditions binding upon the award and refer to all general terms applicable to the award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The anticipated date for the announcement of selectees is 60 days after the application due date.

**Appeals:**

Not Applicable.

**Renewals:**

This funding will be awarded as a cooperative agreement, renewable annually for up to one additional year (FY 2011). The IHS will determine if cooperative agreements are renewable after these 2 years depending on funding levels and congressional actions.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available during the stated Project Periods. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

All records of the grant must be retained for 3 years after submission of the final expenditure report. If questions remain, such as those resulting from an audit, pertinent records must be kept until the matter is resolved. The Secretary, the Inspector General of the Department of the Health and Human Services, and the Comptroller General of the United States or any of their authorized representatives shall have the right to access all records, report, books, document, papers or other records of the grantee, contractor, or subcontractor or of any entity pertinent to the DHHS grant in order to make audits, examinations, excerpts and transcripts.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 10 \$23,182,200; FY 11 est \$23,182,200; and FY 12 est \$23,182,200

**Range and Average of Financial Assistance:**

\$137,500 - \$397,000; average award is \$340,915.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Gordon Quam, RN, Division of Diabetes Treatment and Prevention, 5300 Homestead Road, NE., Albuquerque, New Mexico 87110. Telephone: (505) 248-4129. Fax: (505) 248-4188.

Grant Management contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204. Fax: (301) 443- 9602.

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

IHS Division of Diabetes Treatment and Prevention:  
<http://www.diabetes.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.443 HEALTH PROMOTION/DISEASE PREVENTION PROGRAM FOR AMERICAN INDIANS AND ALASKA NATIVES**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Authorized by 25 U.S.C. 13, Synder Act, Public Law 83-568, Transfer Act, 42 U.S.C. 2001.

**OBJECTIVES:**

To create healthier American Indian/Alaska Native (AI/AN) communities by

developing, implementing, and coordinating innovative and effective community and clinic-based interventions programs designed to promote health and prevent chronic disease and disability.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Establishing and operating programs designed to recruit American Indians and Alaska Natives into health and allied health professional schools.

**Applicant Eligibility:**

Federally-recognized tribes, tribal organizations, nonprofit organizations primarily American Indians and Alaska Natives, and urban Indian organizations may apply.

**Beneficiary Eligibility:**

Individuals who are members of an eligible applicant tribe, band, or group or village and who may be regarded as within the scope of the Indian Health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as tribal membership, enrollment, residence on tax exempt land, ownership or restricted property, active participation in tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

**Credentials/Documentation:**

Certification of American Indian or Alaska descent is required for direct services. Costs will be determined in accordance with Circular No. A-122 for Tribal nonprofit organizations codified through applicable grant administration regulations 45 CFR Part 92 and as applicable 45 CFR Part 74. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The Contact Center is open 24 hours a day, 7 days a week (except for Federal holidays). If you require additional assistance please contact Tammy Bagley, Grants Policy Officer at (301) 443-5204 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us. Health Promotion/Disease Prevention program are processed and administered by IHS Headquarters. This program is subject to the provisions of 45 CFR Part 92 for Indian tribes and Part 74 for Nonprofit organizations, and OMB Circulars No. A-110, A-122, A-87, and A-102.

**Award Procedure:**

Grants are awarded on a competitive basis with processing and final approval by Indian Health Service Headquarters.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Operation.

**Appeals:**

Other - Not Specified.

**Renewals:**

Project periods are for 3 years with 12-month budget periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for project periods up to 3 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management Management for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grantees are subject to site visits and audits by the Department of Health and Human Services (DHHS) and other Federal officials.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audit, examinations, excerpts, and transcripts. In accordance with 45 CFR Parts 74 and 92, grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 10 \$1,300,000; FY 11 est \$1,300,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under the provisions of 45 CFR Part 92 and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Contact: Ms. Alberta Becenti, Division of Clinical & Preventive Services, Indian Health Service, 5300 Homestead Rd NE, Albuquerque, New Mexico 87110, Phone: (301) 443-4305.

Grants Contact - Ms. Tammy Bagley, Acting Director, Division of Grants Management, 12300 Twinbrook Parkway, Suite 360, Rockville MD 20852, phone: (301) 443-5204.

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.444 TRIBAL SELF-GOVERNANCE PROGRAM: PLANNING AND NEGOTIATION COOPERATIVE AGREEMENT**

(Tribal Self Governance)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act (ISDEAA), Title V, Public Law 93-638, as amended by Tribal Self-Governance Amendments of 2000, Public Law 106-260, 25 U.S.C 458aaa.

**OBJECTIVES:**

To make financial assistance awards to Indian tribes to enable them to assume programs, functions, services, and activities (PFSA) (or portions thereof) with respect to which Indian tribes or Indians are primary or significant beneficiaries, administered by the Department of Health and Human Services (HHS) through the Indian Health Service (IHS). In preparation for additional tribes each fiscal year, the IHS will make Planning and Negotiation Cooperative Agreements available. The Planning Cooperative Agreements allow Tribes to gather information to determine the current types and extent of PFSA and funding levels available within its service areas and to plan for the types and extent of PFSA and funding to be made available to the tribe under a compact. The Negotiation Cooperative Agreements provide tribes with additional funding to negotiate Self-Governance compacts pursuant to Title V of the ISDEAA.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Establishing and operating programs to provide planning and negotiation resources to tribes interested in participating in the Tribal Self-Governance Program (TSGP) or expanding current Self Governance activity.

**Applicant Eligibility:**

For Planning Cooperative Agreements, any Federally-recognized tribe which (1) formally requests, through a governing body action, a Planning Cooperative Agreement for the purpose of preparing to enter the TSGP and (2) has furnished organization-wide single audit reports as prescribed by Public Law 96-502, the Single Audit Act of 1984, as amended, for the previous 3 years that contain no uncorrected significant and material audit exceptions. See OMB Circular No. A-133 (June 27, 2003 and June 26, 2007). For Negotiation Cooperative Agreements, in addition to the two criteria listed above, applicants must have successfully completed the planning phase as described at 42 C.F.R. 137.20.

**Beneficiary Eligibility:**

Federally-recognized Indian tribes and tribal organizations (as defined in 25 U.S.C. 450b(1)) may benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The preferred method for receipt of applications is electronic submission through <http://www.Grants.gov>. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support by telephone at (800) 518-4726 or by electronic mail at support@grants.gov.

Customer Support is available 24 hours a day, 7 days a week (except for Federal Holidays). If you require additional assistance please contact Ms. Tammy Bagley, Grants Policy Officer at (301) 443-5204 at least fifteen days prior to the application deadline. To submit an application electronically, please use the Internet Website located at <http://www.Grants.gov>. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. An electronic copy of a grant application submitted by electronic mail to the IHS will not be accepted.

**Award Procedure:**

Cooperative agreements are made directly by the IHS to the Indian tribal applicants, based on results of a competitive review process.

**Deadlines:**

Jul 29, 2011 Contact the Headquarters Office listed below for deadline dates.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Within 45 days of IHS deadline.

**Appeals:**

From 30 to 60 days. Per 42 C.F.R. 137.416, decisions relating to the award of Cooperative Agreements may be appealed under 45 C.F.R. Part 5.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required to be submitted semi-annually and within 30 days after the budget period ends. A final report must be submitted within 90 days of expiration of the budget/ project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Please refer to the DPM website (<http://www.dpm.psc.dov/>) for additional guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States, or any of their authorized representatives, shall have the right to access any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS award, in order to make audits, examinations, excerpts and transcripts. Grantees are required to maintain accounting records 3 years after the end of the budget period of the award. If any litigation, claim, negotiation, audit or other action involving the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 10 \$284,717; FY 11 est \$840,000; and FY 12 est \$840,000

**Range and Average of Financial Assistance:**

Range \$30,000 to \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: IHS awarded 3 Planning awards and 2 Negotiation awards.

Fiscal Year 2011: IHS estimates it will award approximately 16 (8 planning and 8 negotiation) awards, subject to the availability of funds. Fiscal Year 2012: IHS estimates it will award approximately 16 (8 planning and 8 negotiation) awards, subject to the availability of funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Indian Self-Determination and Education Assistance Act, Tribal Self-Governance Title V, Pub. L. 93-638, as amended. Pub. L. 106-260, 25 U.S.C. 458aaa (2000) and regulations codified at 42 C.F.R. Part 137.

**Regional or Local Office:**

None. Charles Sockey, Program Analyst, Office of Tribal Self-Governance, Indian Health Service, 801 Thompson Avenue Suite 240, Rockville, Maryland 20852. Email: [charles.sockey@ihs.gov](mailto:charles.sockey@ihs.gov) Phone: (301) 443-7821 Fax: (301) 443-1050.

Grants Management Contact: Ms. Tammy Bagley, Grants Policy Officer, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, TMP Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: [grantspolicy@ihs.gov](mailto:grantspolicy@ihs.gov) Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For Planning Cooperative Agreements, the criteria are: Goals/Objectives; Methodology; Management of Health Program(s); Organizational Capabilities and Qualifications; and Budget Justification. For Negotiation Cooperative Agreements, the criteria are: Demonstration of Previous Planning Activities; Thoroughness of Approach, Project Outcome; and Administrative Capabilities.

**93.445 INDIAN HEALTH SERVICE SANITATION FACILITIES CONSTRUCTION PROGRAM**

IHS SFC Program

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

25 U.S.C. 13 Snyder Act, Public Law 83-568, Transfer Act, 42 U.S.C. 2001, Public Law 86-121, Indian Sanitation Facilities Act; and Title III of Public Law 94-437, Indian Health Care Improvement Act, as amended.

**OBJECTIVES:**

To provide essential sanitation facilities, such as safe drinking water and adequate waste disposal systems, for Indian homes and communities. The IHS Sanitation Facilities Construction Program, an integral component of the IHS disease prevention activity, has carried out those authorities since 1960 using funds appropriated for Sanitation Facilities Construction to provide potable water and waste disposal facilities for AI/AN people. As a result, the rates for infant mortality, the mortality rate for gastroenteritis and other environmentally related diseases have been dramatically reduced, by about 80 percent since 1973. The IHS physicians and health professionals credit many of these health status improvements to IHS' provision of water supplies, sewage disposal facilities, development of solid waste sites, and provision of technical assistance to Indian water and sewer utility organizations. The provision of Indian sanitation facilities is a very important component of the overall effort required to achieve a reduction in infant mortality, a goal highlighted in Healthy People 2010 "The Year 2010 Objectives for the Nation. Safe drinking water supplies and adequate waste disposal facilities are essential preconditions for most health promotion and disease prevention efforts, as well as being a major factor in the quality of life of Indian people.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

Sanitation Facilities Construction (SFC) program provides essential sanitation facilities including water supply, sewage and solid waste disposal facilities to American Indian and Alaska Native (AI/AN) homes and communities. The SFC budget supports Indian Health Service (IHS) health priorities by providing water supply, sewage, and solid waste disposal facilities to AI/AN homes and communities. These services will implement strategies/activities to address the health disparities that exist in these areas. The funds must be expended for the specific purpose outlined in the Public Law 86-121 Arrangements. The funds must be expended for the specific purpose outlined in the Public Law 86-121 Arrangements.

**Applicant Eligibility:**

Not Applicable.

**Beneficiary Eligibility:**

Not Applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Projects are selected from a priority list.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funds are not recurring.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Average project length is 4 years. Funds are non-recurring. Obligated funds are disbursed upon receipt of approved invoices. See the following for information on how assistance is awarded/released: Funds are disbursed upon receipt and approval of invoices for work completed.

**Reports:**

No program reports are required. The Director of the SFC Program, sends a list to IHS Finance Office, which allots the specified amounts to Area Finance offices. Each Area SFC Program creates obligations for projects selected. The mechanism for allocating, allotting, obligating, invoicing, and paying is the Department's Unified Financial Management System (UFMS) which provides reports as required to those who have access to the system. IHS Finance provides weekly reports to the Department. Quarterly. No expenditure reports are required. Yes, by the appropriate IHS staff for the performance and financial reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Public Law 86-121 projects are subject to inspection and audits by HHS and other Federal government officials as required by applicable law or regulation.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a recipient, subrecipient, contractor, or subcontractor, that are pertinent to the project in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR 92.42, recipients are required to maintain project records 3 years after they submit their final expenditures report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0391-0-1-551.

**Obligations:**

(Provision of Specialized Services) FY 10 \$95,000,000; FY 11 est \$95,000,000; and FY 12 est \$95,000,000

**Range and Average of Financial Assistance:**

\$7,000 to \$2,800,000. Average project cost was about \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Indian Health Manual Part 5 Chapter 2; Internal Agency Procedures-- Memorandum of Agreement Guidelines Working Draft June 2003 Version 1.01; Criteria for the Sanitation Facilities Construction Program Version 1.01; Sanitation Deficiency System Working Draft May 2003; Environmental Review Manual for Indian Health Service Indian Health Manual Part 5 Chapter 2; Internal Agency Procedures-- Memorandum of Agreement Guidelines Working Draft June 2003 Version 1.01; Criteria for the Sanitation Facilities Construction Program Version 1.01; Sanitation Deficiency System Working Draft May 2003; Environmental Review Manual for Indian Health Service Programs January 2007.

**Regional or Local Office:**

See Regional Agency Offices. see <http://www.ihs.gov/index.cfm?module=AreaOffices>.

**Headquarters Office:**

Division of Sanitation Facilities Construction, 12300 Twinbrook Parkway, Suite 610, Rockville, Maryland 20852 Phone: (301) 443-1046

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are selected from a priority list mandated by Public Law 94-437, as amended, in consultation with the applicable Tribe. Contact the appropriate IHS Area Office referenced above or in Appendix IV for additional information.

**93.448 FOOD SAFETY AND SECURITY MONITORING PROJECT**

FERN Grant Program

**FEDERAL AGENCY:**

Food and Drug Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Security and Bioterrorism Preparedness and Response Act of



2002, Public Law 107-188.

**OBJECTIVES:**

To complement, develop and improve State, Indian Tribal, and local food safety and security testing programs through the provision of supplies, personnel, facility upgrades, training in current food testing methodologies and participation in proficiency testing to establish additional reliable laboratory sample analysis capacity and analysis of surveillance samples. New programs will be included to complement, develop and improve State, Indian Tribal, and local food safety and security analyses of foods and food products related to radiological terrorism or other emergency situations through the provision of supplies, personnel, facility upgrades, training in current food testing methodologies, participation in proficiency testing to establish additional reliable laboratory sample analysis capacity, participation in method enhancement activities to extend analysis capability, and analysis of surveillance samples in the event of a large-scale radiological terrorism event affecting foods or food products.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The grants and cooperative agreements are intended to expand participation in networks to enhance Federal, State, local and tribal food safety and security efforts and continue the promotion of a continuing, reliable capability and capacity for laboratory sample analyses of foods and food products for the rapid detection and identification of toxic chemicals, toxins or radiological terrorism affecting foods or food products. These funds cannot be used to fund or conduct food inspections for food safety regulatory agencies. They may not be used for new building construction, however remodeling of existing facilities is allowed, provided that remodeling costs do not exceed 25% of the grant. Funding restrictions are noted in the Funding Opportunity Announcement and the Terms and Conditions of Award.

**Applicant Eligibility:**

These cooperative agreement and grants programs are only available to State, Local and Tribal government Food Emergency Response (FERN) laboratories.

**Beneficiary Eligibility:**

Successful programs will benefit the general population as more rapid and reliable food testing to enhance food safety efforts is developed. The FERN laboratory network will also benefit from better testing methods, equipment and training.

**Credentials/Documentation:**

Applications must present a project plan and provide evidence that their facilities, personnel and equipment are appropriate to carry out the plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The required application forms as referenced in the Funding Opportunity Announcement (FOA) and required by 45 CFR 72, and as posted in Grants.gov must be used for this program. The FOA may be published in the NIH Guide or Federal Register. All applications submitted for new, competing continuations or competing supplemental grants must complete the required applications forms through Grants.gov at <http://www.grants.gov>.

**Award Procedure:**

All accepted applications receive a programmatic and Ad Hoc technical merit review. All approved and recommended applications will be scored and compete for available funds on the basis of score, programmatic/scientific merit and program relevance. Geographic distribution will be a consideration in the

award selection process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. 90-120 days.

**Appeals:**

From 15 to 30 days.

**Renewals:**

From 90 to 120 days. The Funding Opportunity Announcement will indicate if "Renewals" are accepted. Procedures are the same as for new applications.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of support will depend on the nature of the project, program relevance and the availability of funds. For those projects with an expected duration of more than 1 year, future recommended support, up to five years will depend on: 1) performance during the preceding year and, 2) the availability of Federal funds. See the following for information on how assistance is awarded/released: Recommended and approved projects will receive Notice of Grant Award electronically or in hard copy.

Funds are made available through the Payment Management System (PMS).

**Reports:**

Program reports are required as stated in the Funding Opportunity Announcement and the Terms and Conditions of Award. Cash reports are not applicable. Progress Reports are required as stated in the Funding Opportunity Announcement and the Terms and Conditions of Award. Expenditure reports are required as stated in the Funding Opportunity Announcement and the Terms and Conditions of Award. Performance monitoring is required as stated in the Funding Opportunity Announcement and the Terms and Conditions of Award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Progress reports, financial and programmatic records, supporting documents, statistical records and all other records that are required in the terms and conditions of the grant, or may be considered pertinent to grant expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the required final financial reports for the project period. See 45 CFR 74.53 and 92.42 for exceptions and qualification to the 3 year retention requirement. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

**Account Identification:**

75-0600-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 10 \$6,681,769; FY 11 est \$10,789,311; and FY 12 est \$10,489,311

**Range and Average of Financial Assistance:**

An average of \$350,000 - \$500,000 total cost per award per year (for direct and indirect costs and supplemental funds as necessary, reasonable and allocable) for up to five years as referenced in the Funding Opportunity Announcement or available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 52-Grants for Research Projects; 45 CFR Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospital, Other Nonprofit Organizations and Commercial Organizations; and certain grants and agreements with States, Local Governments and Indian Tribal Governments; 45 CFR Part 92-Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; the HHS Grants Policy Statement (most recent update) available at <http://dhhs.gov/asfr/ogapa/grantinformation/hhsgps107.pdf> ; Executive Order 12372, Intergovernmental Review of Federal Programs as implemented through 45 CFR Part 100-Intergovernmental Review of Department of Health and Human Services Programs and Activities.

**Regional or Local Office:**

See Regional Agency Offices. See Headquarters Office below.

**Headquarters Office:**

William J. Foust 12420 Parklawn Drive, Room 3017, Rockville, Maryland 20857 Email: [william.foust@fda.hhs.gov](mailto:william.foust@fda.hhs.gov) Phone: 301-796-3470

**Website Address:**

<http://www.fda.gov/ForFederalStateandLocalOfficials/CooperativeAgreementsCRADAsGrants/default.htm>

**RELATED PROGRAMS:**

93.103 Food and Drug Administration\_Research; 93.449 Ruminant Feed Ban Support Project

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be reviewed for completeness by the Grants Management staff and responsiveness by the Office of Regulatory Affairs (ORA). To be responsive, the application must be submitted in accordance with the program guidelines as published in the Funding Opportunity Announcement in the Federal Register Notice and/or NIH Guide. All responsive applications will undergo a programmatic/scientific review and an Ad Hoc Review. Applications may be scored and ranked based on the following criteria: a) adequacy of facilities, expertise of project staff, equipment, support services, commitment to analyze surveillance samples, and quality management practices needed for the project; b) expertise in the use of gas chromatography/mass spectrometry for the analysis of foods or animal tissues; c) expertise in the use of liquid chromatography/mass spectrometry for the analysis of foods or animal tissues; d) expertise in the use of inductively coupled plasma/mass spectrometry for the analysis of foods or animal tissues; e) expertise in the use of ELISA and other antibody based analyses for the identification of toxins in foods or animal tissues; f) current food or animal tissue analysis programs; g) the rationale and design to meet the goals of the cooperative agreement; h) quality control and quality assurance procedures and practices; i) abilities and procedures in place to recall personnel, establish extended work-weeks. All funding decisions will be made by the Commissioner of Food and Drug Administration or his designee.

**93.449 RUMINANT FEED BAN SUPPORT PROJECT**

BSE Grant Program

**FEDERAL AGENCY:**

Food and Drug Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188.

**OBJECTIVES:**

To assist in an increased surveillance presence throughout the commercial feed channels to prevent the introduction or amplification of Bovine Spongiform Encephalopathy (BSE) in the United States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are used for location and visitation of firms involved in the manufacture, distribution and transportation of animal feed, and operations feeding ruminant animals in their jurisdiction, to verify compliance with the ruminant feed ban. Visitations could include annual inspections of renderers, protein blenders and feed mills that manufacture animal feeds and feed ingredients utilizing materials prohibited under the ruminant feed ban that are not covered under existing FDA contracts and other agreements. Funds can be used for inspections of salvagers of food and feed, and transporters of animal feed and feed ingredients, supplies, training, laboratory equipment for feed sample testing, and as a supplement to the annual State program appropriations. Funds may not be used to replace annual State program funds for these purposes. Specific funding restrictions are as noted in the Funding Opportunity Announcement (FOA) and the Notice of Grant Award.

**Applicant Eligibility:**

This cooperative agreement grant program is only available to State and Tribal Feed/BSE regulatory programs.

**Beneficiary Eligibility:**

The general public, State and Tribal Feed/BSE regulatory programs.

**Credentials/Documentation:**

Applications must present a project plan and furnish evidence that facilities, personnel and equipment are appropriate to carry out the project specific objectives as stated in the Funding Opportunity Announcement (FOA) as published in the Federal Register or NIH Guide. These awards are subject to Executive Order 12372, as it applies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms referenced in the Funding Opportunity Announcement (FOA) as required by 45 CFR 72 must be used for this program. The FOA may be published in the NIH Guide or Federal Register. All applications submitted for new, competing continuations or competing supplemental grants must complete the required applications forms through [Grants.gov](http://www.grants.gov) at <http://www.grants.gov>.

**Award Procedure:**

All accepted applications receive a programmatic and Ad Hoc Review Group review for technical merit and responsiveness to the Funding Opportunity funding criteria. All approved, recommended and scored applications compete for available funds on the basis of score, scientific/technical merit as well as programmatic relevance. Geographic distribution will be a consideration in the award selection process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

From 15 to 30 days.

**Renewals:**

Renewals are available if allowed in the most recently published Funding Opportunity Announcement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of support will depend on the nature of the projects, program relevance and the availability of funds. For those projects with an expected duration of more than 1 year, future recommended support for up to 5 years will depend on (1) performance during the preceeding year and (2) availability of Federal funds. See the following for information on how assistance is awarded/released: Notice of Award will be provided electronically or in hard copy.

**Reports:**

Program Reports are required as noted in the FOA and the Terms and Conditions of Award. Cash reports are not applicable. Progress Reports are required as stated in the FOA and the Terms and Conditions of Award. Expenditure Reports are required as stated in the FOA and the Terms and Conditions of Award. Performance Monitoring is required as stated in the FOA and the Terms and Conditions of Award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Awarded grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Progress reports, financial and programmatic records, supporting documents, statistical records and all other records that are required by the terms and conditions of the grant or may be considered pertinent to a grant expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the required final financial reports for the project period. See 45 CFR 74.53 and 92.42 for exceptions and qualification to the 3 year retention requirement. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

**Account Identification:**

75-0600-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,644,527; FY 11 est \$2,766,282; and FY 12 est \$2,766,282

**Range and Average of Financial Assistance:**

An average of \$250,000 to \$350,000 total cost per award/per year (for direct, indirect cost and supplemental funds as available) for up to five years as determined necessary, reasonable and allocable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 52-Grants for Research Projects; 45 CFR Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospital, Other Nonprofit Organizations and Commercial Organizations; and certain grants and agreements with States, Local Governments and Indian Tribal Governments; 45 CFR Part 92-Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; the HHS Grants Policy Statement (most recent revision); Executive Order 12372, Intergovernmental Review of Federal Programs as implemented through 45 CFR Part 100--Intergovernmental Review of Department of Health and Human Services Programs and Activities.

**Regional or Local Office:**

See Regional Agency Offices. See item 152 Headquarters Office below.

**Headquarters Office:**

Wendy Campbell 12420 Parklawn Drive; Room 3026, Rockville, Maryland 20857 Email: wendy.campbell@fda.hhs.gov Phone: 615-310-0483

**Website Address:**

<http://www.fda.gov/ForFederalStateandLocalOfficials/CooperativeAgreements/CRADAsGrants/ucm234348.htm>

**RELATED PROGRAMS:**

93.103 Food and Drug Administration\_Research; 93.448 Food Safety and Security Monitoring Project

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be reviewed for responsiveness by the Grants Management Staff and the Office of Regulatory Affairs (ORA). To be responsive, the application must be submitted in accordance with the requirements of the FOA as published in the NIH Guide or the Federal Register. All responsive applications will be reviewed by an Ad Hoc Review committee. Each application will be scored and ranked based on the following criteria 1) availability of adequately trained staff; 2) detailed description of current feed regulatory program; 3) properly detailed budget that is intended to supplement State or Tribal appropriations; 4) accurate count of all feed facilities, etc., in the State or Tribal nation; 5) detailed description of how inspections are to be performed; 6) detailed descriptions of how current, non-inspected facilities will be identified and added to the State's inspection responsibilities; 7) ability to satisfy the reporting requirements; 8) provision of current funding level certification; 9) detailed methodology for program improvement; 10) justification for hiring new staff; and 11) detailed description of the enforcement of violative facilities; under the cooperative agreement all funding will be made by the Commissioner of the Food and Drug Administration or his designee.

**93.500 PREGNANCY ASSISTANCE FUND PROGRAM**

Support for Pregnant and Parenting Teens and Women

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Patient Protection and Affordable Care Act PL: 111-148 SEC. 10212 - 10214.

**OBJECTIVES:**

Competitive Grants to States to assist pregnant and parenting teens and women.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

A State may use amounts received under a grant to make funding available to eligible high schools (grades 7-12), community service center, and institutions of higher education to establish, maintain or operate pregnant and parenting students. Funds may be used to supplement, not supplant, existing funding for such services. A State may also make funds available to its Attorney General to assist in providing services for eligible pregnant women who are victims of domestic violence, sexual violence, sexual assault, or stalking, or to provide technical assistance to other organizations. States may also use funds for public awareness and education concerning services available to pregnant and parenting teens and women, in keeping with the intent of the Fund.

**Applicant Eligibility:**

A State may apply for a grant. The term State includes the District of Columbia, any commonwealth, possession, or other territory of the United States, any Indian tribe or reservation.

**Beneficiary Eligibility:**

Pregnant and Parenting Teens and Women.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs charged to the grant will be determined in accordance with the following Cost Principles: OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations. Faith based organizations are eligible to apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The Governor(s) of the State(s) in which the project is to be located is to be given 60 days in which to review and comment on applications for funding under this authority. An applicant should consult the office or official

designated as the single point of contact in the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is subject to the Public Health Systems Reporting Requirements. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The announcement for this grant opportunity may be found on [www.Grants.gov](http://www.Grants.gov) the application forms and guidelines are available for online submission or for downloading and submitting on paper (hardcopy). If assistance is needed, please contact the OPHS Office of Grants Management, Grant Application Center: Telephone: (240) 453-8822(OGM) or 1-888-203-6161(GAC). Submitted Applications are screened upon receipt for completeness, responsiveness and conformance to the program announcement. Those applications judged to be unacceptable based on this initial screening will be returned. Applications may only be submitted electronically via the electronic submission mechanisms specified in the announcement ([Grants.gov](http://Grants.gov)).

Any application submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the [Grants.gov](http://Grants.gov) website portal or the OPHS Grant Solutions system is encouraged.

**Award Procedure:**

All applications and proposals are read by a panel of independent experts who make recommendations for action to the Office of Adolescent Health. After considering the recommendation of this panel, the Director of the Office of Adolescent Health makes the final decision on the funding of applications. All applicants are notified in writing of actions taken on their applications. A Notice of Grant Award is issued for those applications that are approved and funded.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal awards may be approved pending availability of funding, and evidence of satisfactory progress and compliance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. An eligible institution of higher education that receives funding shall contribute an amount from non-Federal funds equal to 25 percent of the amount of the funding provided. The non-Federal share may be in cash or in-kind, fairly evaluated, including services, facilities, supplies or equipment. The non-Federal contribution does not apply to eligible high schools and community service organizations. This program has MOE requirements, see funding agency for further details. See program announcement for details.

**Length and Time Phasing of Assistance:**

Grants may not exceed 5 years (subject to the availability of funds). Payments will be made either on a monthly cash request basis or under the Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued at the time an award is made. Method of awarding/releasing assistance: quarterly.

**Reports:**

Please see Notice of Grant Award for detailed requirements. Quarterly Cash Reports are required to be filed with the Division of Payment Management. Progress reports are required for each budget period. Financial status reports are

due at the end of each budget period, and a final status report is due 90 days following the end of the project period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

HHS and the Comptroller General of the United States or any of their designated authorized officials shall have the right of access to any books, documents, papers, or other records of a grantee, sub-grantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 10 \$25,000,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Range: \$50,000-\$500,000; average \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HHS Grants Policy Statement is available online:  
<http://www.hhs.gov/asrt/og/aboutog/grantsnet.html>

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Department of Health and Human Services, Office of Public Health and Science, Office of Adolescent Health; Ms. Evelyn Kappeler; 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-2800. Grants Management Contact: Department of Health and Human Services, Office of Public Health and Science, Office of Grants Management 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: [eric.west@hhs.gov](mailto:eric.west@hhs.gov) Phone: (240) 453-8449.

**Website Address:**

<http://www.hhs.gov/oah>

**RELATED PROGRAMS:**

93.297 Teenage Pregnancy Prevention Program; 93.995 Adolescent Family Life\_Demonstration Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must contain prevention services requirements specified in the statute. Priority will be given to applicants who: (1) Serve an area (a) where there is a high incidence of adolescent pregnancy, (b) where the incidence of low-income families is high, and (c) where the availability of programs for

adolescents as specified in this act is low; (2) show evidence (a) for care services, of ability to deliver wide range of required services on single-site or network basis, or (b) for prevention services, ability to provide services targeted to population; (3) will utilize to maximum extent possible (a) existing programs and facilities, and (b) other sources of funding; (4) can demonstrate community commitment to the project; (5) have involved community in developing the project; (6) will demonstrate replication and innovative programs; and (7) demonstrate the reasonableness of the estimated cost considering the anticipated results.

### **93.501 AFFORDABLE CARE ACT (ACA) GRANTS FOR SCHOOL-BASED HEALTH CENTER CAPITAL EXPENDITURES SBHCC**

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Patient Protection and Affordable Care Act of 2010, Title IV, Section 4101, Public Law 111-148.

#### **OBJECTIVES:**

The goal of the program is to award funds made available by the Patient Protection and Affordable Care Act (Health Reform) that will support school-based health center efforts to expand capacity to provide primary healthcare services to school-aged children. This competitive funding opportunity will be available to new and existing school-based health centers to address significant and pressing capital improvement needs, including: construction, repair, renovation, and the purchase of equipment.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

An eligible entity shall use funds provided under an awarded grant only for expenditures for facilities (including the acquisition or improvement of land, or the acquisition, construction, expansion, replacement, or other improvement of any building or other facility), equipment, or similar expenditures. No funds provided shall be used for expenditures for personnel or to provide health services. See above and funding opportunity announcement.

#### **Applicant Eligibility:**

To be eligible for a grant under this subsection, an entity shall be a school-based health center or a sponsoring facility of a school-based health center as defined in section 2110(c)(9) of the Social Security Act (42 USC 1397jj(c)(9)).

A school-based health center is defined as a health clinic that:

1. Is located in or near a school facility of a school district or board of an Indian tribe or tribal organization;
2. Is organized through school, community, and health provider relationships;
3. Is administered by a sponsoring facility;
4. Provides through health professionals primary health services to children in accordance with State and local law, including laws relating to licensure and certification; and
5. Satisfies such other requirements as a State may establish for the operation of such a clinic.

A sponsoring facility includes any of the following:

1. A hospital
2. A public health department
3. A community health center
4. A non-profit health care agency
5. A school or school system
6. A program administered by the Indian Health Service or the Bureau of Indian Affairs or operated by an Indian tribe or a tribal organization.

#### **Beneficiary Eligibility:**

School-based health centers or a sponsoring facility of a school-based health

center.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. 4321 (Public Law 91-190, Section 2, January 1, 1970, 83 Stat., 852), including Public Disclosure, Section 102 of NEPA, and E.O. 11514, requires Federal agencies to assess the environmental impacts of major Federal actions, including construction projects supported in whole or in part through Federal contracts, grants, subsidies, loans, or other forms of funding assistance. HRSA requires that applicants provide information on anticipated environmental impact as part of their applications. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines are included in the Funding Opportunity Announcement. You may also contact the headquarters for application deadlines or [www.hrsa.gov](http://www.hrsa.gov).

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Project periods are for 2 years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web-based payment system for HHS awards.

#### **Reports:**

A progress report must be submitted quarterly. A final progress report and final Federal Financial Report (FFR) must be submitted within 90 days after the end of the project period. No cash reports are required. A progress report must be submitted quarterly. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

07-0352-0-1-035 - TAFS number 75-0352/x.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$95,000,000; and FY 12 est \$17,000,000

**Range and Average of Financial Assistance:**

\$25,000 to \$3500,000. \$3; \$250,000 average award..

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Matthew Kozar, Office of Policy and Program Development, Bureau of Primary Health Care, Health Resources and Services Administration, Room 17C-26, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857  
Email: [mkozar@hrsa.gov](mailto:mkozar@hrsa.gov) Phone: (301) 443-1034

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant addresses the Review Criteria outlined in Section V of the funding opportunity announcement.

**93.502 AFFORDABLE CARE ACT (ACA) INFRASTRUCTURE TO EXPAND ACCESS TO CARE**

IEAC - Infrastructure to Expand Access to Care

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title X, Section 10502 of the Patient Protection and Affordable Care Act of 2010 (Public Law 111-148).

**OBJECTIVES:**

Grants are awarded to meet the cost of projects for debt service on, or direct construction or renovation of a health care facility that provides research, inpatient tertiary care, or outpatient clinical services. The facility must be affiliated with an academic health center at a public research university that contains a States sole public academic medical and dental school. The

Governor must certify that: (1) the new health center is critical for the greater access to care in the State; (2) the new health center is essential for the continued viability of the medical and dental school and its academic health center; (3) the Federal support is up to 40 percent of the total cost of the project; and (4) the State has an established funding mechanism to provide the remaining funds to complete the project.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds must be used for debt service on or the construction or renovation of a health care facility that provides research, inpatient tertiary care, or outpatient clinical services. The facility must be affiliated with an academic health center at a public research university that contains a States sole public academic medical and dental school. See answer provided above under item 70. Funding is available for debt service on, or direct construction or renovation of a health care facility. The Federal support is up to 40 percent of the total cost of the project and the State must have an established funding mechanism to provide the remaining funds to complete the project.

**Applicant Eligibility:**

Institutions of Higher Education. Eligible applicants must have a project that requires debt service on, or direct construction or renovation of a health care facility that provides research, inpatient tertiary care, or outpatient clinical services. The project must be affiliated with an academic health center at a public research university that contains a States sole public academic medical and dental school.

**Beneficiary Eligibility:**

Institutions of Higher Education, General Public.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. The Governor must certify that: (1) the new health center is critical for the greater access to care in the State; (2) the new health center is essential for the continued viability of the medical and dental school and its academic health center; (3) the Federal support is up to 40 percent of the total cost of the project; and (4) the State has an established funding mechanism to provide the remaining funds to complete the project. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. 4321 (Public Law 91-190, Section 2, January 1, 1970, 83 Stat. 852), including Public Disclosure, Section 102 of NEPA, and E.O. 11514, requires Federal agencies to assess the environment impacts of major Federal actions, including construction projects supported in whole or in part through Federal contracts, grants, subsidies, loans, or other forms of funding assistance.

HRSA requires that applicants provide information on anticipated environmental impact as part of their applications. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 60%. 40 percent Federal support and 60 percent State funding mechanism to provide remaining funds to complete the project.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grantee will be given 5 years to complete the project and drawdown the funds from the Payment Management System (PMS). See the following for information on how assistance is awarded/released: Grantee will drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Grantee must submit quarterly progress and financial reports on the status of the project. No cash reports are required. Grantee must submit quarterly progress and financial reports on the status of the project. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FFR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$99,900,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

One award will be made (\$100,000,000).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at: <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. David Colwander, Chief, Facilities Monitoring Branch, Division of Facilities Compliance and Recovery, Healthcare Systems Bureau, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 10-105, Rockville, MD, 301 443-5656.

**Headquarters Office:**

David Colwander, 5600 Fishers Lane, Room 10-105, Rockville, Maryland 20857 Phone: (301) 443-5656.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No data available. Fiscal Year 2011: Funds will support the construction of a nineteen story medical tower, Cancer Hospital and Research Institute and a Radiation Oncology Facility. This 1,510,347 square foot project is located on a University campus. Fiscal Year 2012: No data available.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant documents the following, such as: (1) the project is for debt service on, or direct construction or renovation of a health care facility that provides research, inpatient tertiary care, or outpatient clinical services; (2) the facility is affiliated with an academic health center at a public research university that contains a States sole public academic medical and dental school; (3) the Governor certifying that: (a) the new health center is critical for the greater access to care in the State; (b) the new health center is essential for the continued viability of the medical and dental school and its academic health center; (c) the Federal support is up to 40 percent of the total cost of the project; and (d) the State has an established funding mechanism to provide the remaining funds to complete the project.

**93.503 AFFORDABLE CARE ACT (ACA) NURSING AND HOME HEALTH AIDES TRAINING PROGRAM**

NAHHA

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 831, 42 U.S.C. 296p, as amended by the Patient Protection and Affordable Care Act (P. L. 111-148); Conference Report, H. Rept. 111-366, Division D, Title II at 997 (referencing S. Rept. 111-66), accompanying the Consolidated Appropriations Act, 2010, P.L. 111-117.

**OBJECTIVES:**

To train nursing assistants and home health aides to provide care in complex health care environments. These training programs could be offered on-campus, at alternate sites, and through distance education methodologies and could enable the aides to receive college credits for future advancement opportunities. The program would ensure that we have competent nursing and home health aides with acquired skills that would be transportable to any job market in the Nation.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Infrastructure training grants are awarded to eligible applicant organizations for project to strengthen and enhance the capacity of nursing and home health aide training programs. This will enable individuals to enter into a nursing or home health aide position and gain entry into the nursing career ladder. Funds may be used for the development, testing, and demonstration of training programs for nursing home aides and home health aides on-campus, at alternate sites, and through distance education methodologies. Restricted Uses: Indirect costs

under training grants to organizations other than state, local or Indian tribal governments will be budgeted and reimbursed at 8 percent of modified total direct costs rather than on the basis of a negotiated rate agreement, and are not subject to upward or downward adjustment.

**Applicant Eligibility:**

Grants may be made to colleges or community-based training programs.

**Beneficiary Eligibility:**

Beneficiary Eligibility: Students, the general public, etc.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applicants are required to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Competing continuation applications may be submitted for continuance of a grant beyond the initial project period. A competing continuation application shall be submitted during the beginning of the last year of the initial project period. The submission date is the same for new applications and competing continuation applications. These applications are reviewed in the same manner and at the same time as new competing applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for three (3) years of support. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Status Reports

1. Submit a Financial Report. A financial report is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year.

2. Submit Progress Report(s).

All Bureau of Health Professions grantees are required to submit a progress report to HRSA on an annual basis. This report entitled, BHP Progress Report, has two parts. The first part demonstrates grantee progress on

program-specific goals. The second part collects core performance measurement data to measure the Bureaus progress through its grantees in: (1) improving the distribution, diversity, and quality of the healthcare workforce, (2) improving the educational environment infrastructure, and (3) increasing students selection of primary care education.

Progress reports are generally due in August each year and must be submitted on-line by grantees in the Electronic Handbooks (EHBs) system at <https://grants.hrsa.gov/webexternal/home.asp>.

3. Submit a Final Report.

All BHP grantees are required to submit a final report within 90 days after the project period ends. The final report collects program-specific goals, core performance measurement data, grantee objectives and accomplishments, barriers encountered, and responses to summary questions regarding the grantees overall experiences over the entire project period. The final report must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. See above for additional information. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System (PMS). The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. See above for additional information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0321-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$2,605,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 10 awards:  
Range: \$186,623.00 (min) - \$250,000 (max)  
Average: \$241,196.00.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Renata Thompson, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-61, Rockville, MD 20857. Telephone: (301) 443-5688.



**Headquarters Office:**

Renata Thompson, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857 Phone: (301) 443-5688

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Review in the funding opportunity announcement. In making awards of grants under this section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State in local health departments.

**93.504 AFFORDABLE CARE ACT (ACA) FAMILY TO FAMILY HEALTH INFORMATION CENTERS**

F2F HICs

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title V, Section 501(c)(1)(A)(iii), codified at 42 U.S.C. 701(c), as amended by the Patient Protection and Affordable Care Act of 2010, Section 5507(b) (P.L. 111-148).

**OBJECTIVES:**

To carry out special maternal and child health (MCH) projects of regional and national significance for the development and support of Family to Family Health Information Centers. The Family to Family Health Information Centers (A) assist families of children with disabilities or special health care needs to make informed choices about health care in order to promote good treatment decisions, cost-effectiveness, and improved health outcomes for such children; (B) provide information regarding the health care needs of, and resources available for, such children; (C) identify successful health delivery models for such children; (D) develop with representatives of health care providers, managed care organizations, health care purchasers, and appropriate State agencies, a model for collaboration between families of such children and health professionals; (E) provide training and guidance regarding caring for such children; (F) conduct outreach activities to the families of such children, health professionals, schools, and other appropriate entities and individuals; and (G) are staffed by such families who have expertise in Federal and State public and private health care systems; and by health professionals.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved project in accordance with Section 501(c)(A) of the Social Security Act.

**Applicant Eligibility:**

Eligible applicants include public and private entities, including an Indian tribe or tribal organization (as those terms are defined at 25 U.S.C. 450b), faith-based organizations, and community-based organizations. The law limits the site of eligible organizations to the 50 States and the District of Columbia. Although Tribes and tribal organizations may apply, they must meet all applicable requirements, including targeting of all CSHCN across the State for services. Applicants must have experience related to the purpose of the program, must have a focus on health for children and youth with special health care needs (CYSHCN) (as defined by the MCH Bureau), and the effort must be family-staffed/run. If an applicant is a family organization with a history of funding that is condition specific or related to education, mental health or developmental disabilities, as with any applicant, evidence of health for the

broad CYSHCN population must be evident in their application. Applicants MUST demonstrate that they have EXISTING and effective fiduciary, administrative and management systems.

**Beneficiary Eligibility:**

Projects will benefit (1) public or private agencies, organizations and institutions engaged in activities for CYSHCN; (2) family members and children who receive services through the program; and (3) professionals and trainees who provide services to CYSHCN.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from [Grants.gov](http://Grants.gov). HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory continuation application.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for three (3) years of support. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports, annual program service reports, and special reports as required. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access grant funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Annual financial reports and annual narrative progress reports. Submit a Financial Status Report (FSR or SF-269) directly to HRSA. The report identifies cash expenditures against the authorized funds for the grant. The Financial Status Report must be filed semi-annually or annually depending on the terms and conditions of award. Failure to submit the report may result in the inability to access grant funds. No

performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$4,710,856; FY 11 est \$4,862,442; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

Awards range from \$90,000 to \$95,700. Average award amount is \$95,354.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 50 projects funded for activities supported under this CFDA.

The evidence indicates a strong rationale for this type of program. Studies indicate that: parent to parent support increased parents confidence and problem-solving capacity (1) ; family-to-family support can also have beneficial effects on the mental health status of mothers of children with chronic illness (2) ; and that family participation and family-centered providers are associated with improved transition, less unmet needs, better community based systems, and fewer problems with specialty referrals.(3)

In FY 2011, 51 centers are collecting data on the issues facing families regarding services and financing of those services while working with Medicaid, Education, Title V, and other agencies to inform them of families needs. Centers are also disseminating information on the implementation of ACA and encouraging family leaders to be involved in the planning within their states such as planning for health insurance Exchanges and Navigator Programs. Other information disseminated through fact sheets, newsletters and listservs are helping families understand the new provisions and how they impact individual access to coverage, such as the extension of Federal dependant coverage to age 26. In addition, many are working with Bureau of Primary Health Cares Federally Qualified Health Centers to implement medical/health homes through training, and providing materials. Some of the centers are also working with the Administration on Aging and Disability Resource Centers on a wrong door approach for sharing resource information across the life span for people with disabilities. 50 centers reported an unduplicated count of 121,476 families served in FY 2010. Additionally, In FY 2010, 81% of families served by 50 centers said that the centers were somewhat useful, very useful or extremely useful in helping them to be better able to partner in decision making at any level.

**Footnotes:**

- (1) Singer GHS, Marquis J, Powers LK, et al A multi-site evaluation of parent to parent programs for parents of children with disabilities. J Early Intervent. 1999; 22:217-229[ISI]; Ainbinder JG, Blanchard LW, Singer GH, et al
- (2) Ireys H, Chernoff R, DeVet KA, Kim Y. Maternal outcomes of a randomized controlled trial of a community-based support program for families of children with chronic illness. Arch Pediatr Adolesc Med. 2001; 155:771-777
- (3) Ngui, 2006; Scale, 2005; Helsiin, 2006; Baruffi, 2005; Smaldone, 2005; Young, 2005. Fiscal Year 2011: 51 projects funded for activities supported under this CFDA. Fiscal Year 2012: 51 projects funded for activities supported under this CFDA.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments or 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Associate Administrator for Maternal and Child Health, Health Resources and Services Administration, Department of Health and Human Services, Room 18-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2170.

**Headquarters Office:**

LaQuanta Smalley 5600 Fishers Lane, Room 18-05 , Rockville, Maryland 20857 Email: LSmalley@HRSA.gov Phone: (301) 443-2372

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.127 Emergency Medical Services for Children; 93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth; 93.234 Traumatic Brain Injury State Demonstration Grant Program; 93.251 Universal Newborn Hearing Screening; 93.365 Sickle Cell Treatment Demonstration Program; 93.418 ARRA - Emergency Medical Services for Children; 93.419 ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program; 93.926 Healthy Start Initiative; 93.994 Maternal and Child Health Services Block Grant to the States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in Section V--Application Review in the funding opportunity announcement.

**93.505 AFFORDABLE CARE ACT (ACA) MATERNAL, INFANT, AND EARLY CHILDHOOD HOME VISITING PROGRAM**

ACA Home Visiting Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title V, Section 511 (42 U.S.C. 711), as amended by Section 2951 of the Patient Protection and Affordable Care Act of 2010 (P.L. 111-148).

**OBJECTIVES:**

The Maternal, Infant, and Early Childhood Home Visiting Program is designed : (1) to strengthen and improve the programs and activities carried out under Title V; (2) to improve coordination of services for at risk communities; and (3) to identify and provide evidence-based home visiting programs to improve outcomes for families who reside in at risk communities.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Assistance can potentially be used for conducting State needs assessments, developing State Plans for home visiting programs and systems, and enhancing States infrastructure for improving coordination of services for at-risk communities and identifying and providing comprehensive services to improve outcomes for families who reside in at-risk communities, as well as for implementing State home visiting service programs. A portion of the funding may not be drawn down until the Needs Assessment and Updated State Plan are submitted and approved. 100%.

**Applicant Eligibility:**

Eligibility for funding is limited to a single application from each State, the

District of Columbia, Puerto Rico, Guam, the Virgin Islands, the Northern Mariana Islands, and American Samoa. The Governor has the responsibility and authority to designate which entity or group of entities will apply for and administer home visiting program funds on behalf of the State or US Territories.

Regardless of the entity or entities designated by the Governor, this application must contain the concurrence and signatures of the:

Director of the States Title V agency;  
Director of the States agency for Title II of the Child Abuse Prevention and Treatment Act (CAPTA);  
The States child welfare agency (Title IV-E and IV-B), if this agency is not also administering Title II of CAPTA;  
Director of the States Single State Agency for Substance Abuse Services;  
The States Child Care and Development Fund (CCDF) Administrator;  
Director of the States Head Start State Collaboration Office, and  
The States Advisory Council on Early Childhood Education and Care authorized by 642B(b)(1)(A)(i) of the Head Start Act.

**Beneficiary Eligibility:**

Eligible families residing in communities in need of such services, as identified in a State needs assessment  
Low-income eligible families  
Eligible families who are pregnant women under age 21  
Eligible families with a history of child abuse or neglect or have had interactions with child welfare services  
Eligible families with a history of substance abuse or need substance abuse treatment  
Eligible families that have users of tobacco products in the home  
Eligible families that are or have children with low student achievement  
Eligible families with children with developmental delays or disabilities  
Eligible families who, or that include individuals serving or formerly serving in the Armed Forces, including those with members who have had multiple deployments outside the US

Eligible family:

- o A woman who is pregnant, and the father of the child if available, or
- o A parent or primary caregiver of the child, including grandparents or other relatives and foster parents serving as the child's primary caregiver from birth until kindergarten entry, including a noncustodial parent with an ongoing relationship with, and at times provides physical care for the child.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

Formula Grants: All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Competitive Grants: All qualified applications will be forwarded to an independent objective review committee. Based on the advice of the independent objective review committee, the HRSA program official with

delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Contact the Headquarters or Regional Office as appropriate for application deadlines or view the specific funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Competing continuation applications may be submitted for continuance of a grant beyond the initial project period.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds awarded to an eligible entity for a fiscal year remain available for expenditure through the end of the second succeeding fiscal year after award. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

Additional information about the availability of funding will be provided in the funding opportunity announcement.

**Reports:**

Grantees are required to submit progress and financial reports on the status of the project using the Electronic Handbooks System (<https://grants.hrsa.gov/webexternal/home.asp>). Refer to the specific funding opportunity announcement for further information. Submit a quarterly electronic Federal Financial Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Successful applicants receiving funding will be required, within 90 days from the end of the project period, to electronically complete the program specific data forms. The requirement includes providing expenditure data for the final year of the project period, the project abstract and award summary data as well as final indicators/scores for the performance measures. A Financial Report is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year. It must be submitted on-line by grantees in the HRSA Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. More specific information will be included in the award notice. It must be submitted on-line by grantees in the HRSA Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until

the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0321-0-1-550.

**Obligations:**

(Salaries) FY 10 \$88,000,000; FY 11 est \$227,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Formula (2011):

\$1,000,000 - \$11,510,679

Competitive (2011):

A Expansion - \$6,600,000 \$9,430,000

B Development - \$2,750,000 \$3,300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Audrey M. Yowell, PhD, MSSS; Health Resources and Services Administration; Maternal and Child Health Bureau; 5600 Fishers Lane, 10-64; Rockville MD 20857; (301) 443-4292; [ayowell@hrsa.gov](mailto:ayowell@hrsa.gov).

**Headquarters Office:**

Audrey M. Yowell, 5600 Fishers Lane, 10-64, Rockville, Maryland 20857  
Email: [ayowell@hrsa.gov](mailto:ayowell@hrsa.gov) Phone: (301) 443-4292.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In FY2011, awards will be made on both a formula and competitive basis. All formula applications will be reviewed internally by grants management officials (business and financial review) and program staff (technical review) for eligibility, completeness, accuracy, and compliance with the requirements outlined in this announcement. The program review will include the States response to the Program Narrative section of the funding opportunity announcement. Of particular concern will be:

- o The capacity and commitment of the entity designated by the Governor to administer an evidence-based home visiting program under the Maternal, Infant, and Early Childhood Home Visiting Program.
- o The clarity and feasibility of the States approach to conducting and submitting the needs assessment and the degree to which this approach complies with the specific requirements for an application under this FOA, as outlined above and in accordance with section 511(b) of Title V, as amended by the PPACA.
- o The clarity of the States plan for ensuring coordination and collaboration among entities and stakeholders.
- o The clarity of the States description of anticipated technical assistance needs.

All competitive applications will be reviewed internally by grants management officials (business and financial review) and program staff (technical review)

for eligibility, completeness, accuracy, and compliance with the requirements outlined in this announcement. All qualified applications will be forwarded to an independent objective review committee. Based on the advice of the independent objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. The program review will include the States response to the Program Narrative section of the funding opportunity announcement. Of particular concern will be:

- o The capacity and commitment of the entity designated by the Governor to administer an evidence-based home visiting program under the Maternal, Infant, and Early Childhood Home Visiting Program.
- o The clarity and feasibility of the States approach to implementing their Updated State Plan based on the needs assessment and the degree to which this approach complies with the specific requirements for an application under this FOA, as outlined above and in accordance with section 511(b) of Title V, as amended by the PPACA.
- o The clarity and feasibility of the States approach to implementing the selected Home Visiting Program Priority Elements.
- o The clarity of the States plan for ensuring coordination and collaboration among entities and stakeholders.
- o The clarity of the States description of anticipated technical assistance needs.

**93.506 ACA NATIONWIDE PROGRAM FOR NATIONAL AND STATE BACKGROUND CHECKS FOR DIRECT PATIENT ACCESS EMPLOYEES OF LONG TERM CARE FACILITIES AND PROVIDERS FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

The Affordable Care Act, Title VI, Part III, Section 6201, Public Law 111-148.

**OBJECTIVES:**

The program is intended to establish a nationwide program to identify efficient, effective, and economical procedures for long term care facilities and providers to conduct background checks on a statewide basis on all prospective direct patient access employees.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

CMS is conducting a nationwide program that will identify efficient, effective and economical procedures for long term care facilities and providers to conduct background checks on prospective direct patient/resident access employees. In order to participate in this nationwide program, a State must guarantee that it will make available non-Federal funds to cover a portion of the cost to be incurred by the State to carry out the program in their State.

**Applicant Eligibility:**

CMS is inviting proposals from all States and U.S. territories to be considered for inclusion in this National Background Check Program which will be in effect through 2012. Federal matching funds are available to all States and U.S. territories.

**Beneficiary Eligibility:**

Beneficiary Eligibility: These facilities and providers include skilled nursing facilities, nursing facilities, home health agencies, hospice care providers, long-term care hospitals, personal care service providers, adult day care providers, residential care providers, assisted living facilities, intermediate care facilities for the mentally retarded (ICFs/MR) and other entities that provide long-term care services, as specified by each participating State.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Participating States must guarantee non-Federal funds to cover a portion of the cost to conduct the program in their State. CMS will provide a three-to-one match for these funds to each grantee up to a maximum of \$3 million for newly applying states and \$1.5 million for states that previously participated in the pilot program. The participating State must require fingerprint checks as part of the criminal background check for all direct patient access employees. The participating State must have a plan to implement the program (a) statewide and (b) in all long term care entities specified in Section 6201 of the ACA, although the State may phase-in the program over a multi-year period, and the phase-in may be accomplished by geographical location, provider type, or other factors determined by the State.

**Award Procedure:**

This is not a competitive grant. All applying States that provide an application that is scored by the Federal technical panel at 69.5 points or greater shall receive a grant. Applications that score below 69.5 points will not be included as grantees.

Funding for this program shall become effective upon CMS approval application. Grants will be awarded to every State that meets the qualifications and terms of agreement described in this solicitation. This includes providing a satisfactory application that meets all provisions of the Law and scores at least 69.5 points or greater (out of 100) from the Federal technical panel review. Grantees may expect to begin receiving funds within 30 days from the Notice of Grant Award.

**Deadlines:**

Jun 01, 2010 to Jun 30, 2011: Deadline to apply under this solicitation is June 30, 2011. Grant applications are due to CMS by June 30, 2011.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Matching requirements as specified in Section 6201 (a) (5) of the Affordable Care Act:

**(A) NEWLY PARTICIPATING STATES.**

(i) IN GENERAL. As part of the application submitted by a State under paragraph (1)(A)(iii), the State shall guarantee, with respect to the costs to be incurred by the State in carrying out the nationwide program, that the State will make available (directly or through donations from public or private entities) a particular amount of non-Federal contributions, as a condition of receiving the Federal match under clause (ii).

(ii) FEDERAL MATCH. The payment amount to each State that the Secretary enters into an agreement with under paragraph (1)(A) shall be 3 times the amount that the State guarantees to make available under clause (i), except that in no case may the payment amount exceed \$3,000,000.

**(B) PREVIOUSLY PARTICIPATING STATES. R. 3590607**

(i) IN GENERAL. As part of the application submitted by a State under paragraph (1)(B)(iii), the State shall guarantee, with respect to the costs to be incurred by the State in carrying out the nationwide program, that the State will make available (directly or through donations from public or private entities) a particular amount of non-Federal contributions, as a condition of receiving the Federal match under clause (ii).

(ii) FEDERAL MATCH. The payment amount to each State that the Secretary enters into an agreement with under paragraph (1)(B) shall be 3 times the

amount that the State guarantees to make available under clause (i), except that in no case may the payment amount exceed \$1,500,000.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 36 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees must also agree to respond to requests that are necessary for the evaluation of the National Background Check Program grant efforts to satisfy the statutory requirements for the Federal evaluation enumerated in Section 6201 of the ACA and provide data on key elements of their Background Check Program grant activities. This will include detailed information on the number of background checks requested by various providers, information gathered in the course of background checks, employment decisions made based on this information and their rationale, whether prospective employees challenge the results of adverse decisions and the outcomes of these challenges. It will also include cost accounting information of sufficient quality to allow reliable calculation of the costs of the various components of the background checks programs. Grantees must agree to fully cooperate with any Federal evaluation of the program and provide quarterly or semi-annually any required program progress and financial reports in a form prescribed by CMS (including the SF-269a, Financial Status Report forms). These reports will be designed to outline how grant funds were used and to describe program progress, as well as barriers and measurable outcomes. CMS will provide a format for reporting. Progress reports are not applicable. Expenditure reports are not applicable. Following the awarding of the grants, grantees must submit an operational protocol. The operational protocol must describe in detail the policies and procedures that the State will follow during the program period. The operational protocol should detail the responsibilities of the providers included in the program; the State government personnel and any additional responsible parties (e.g., contractors) involved in the program. Those who receive grant awards will be provided further detail as to the expected contents of the operational protocol prior to or during the first grantee meeting.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

75-0509-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$14,000,000; FY 11 est \$66,000,000; and FY 12 est \$28,000,000 - \$108 million expected to be obligated for the 36 month period.

**Range and Average of Financial Assistance:**

\$1.5 to \$3 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92, Cost Principles, the HHS Grant Policy Statement, OMB Cost Principles, Request for Application (RFA) and Terms and Conditions of Award.

**Regional or Local Office:**

See Regional Agency Offices. Debra Spears CMCS/SCG/DNH.

**Headquarters Office:**

Debra Spears 7500 Security Blvd., Baltimore, Maryland 21244 Email: Debra.Spears@cms.hhs.gov Phone: 410-786-7506

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria are as specified in Section 6201 (a) (1) of the Affordable Care Act:

(1) AGREEMENTS. H. R. 3590604

(A) NEWLY PARTICIPATING STATES. The Secretary shall enter into agreements with each State

(i) that the Secretary has not entered into an agreement with under subsection

(c)(1) of such section 307;

(ii) that agrees to conduct background checks under the nationwide program on a Statewide basis; and

(iii) that submits an application to the Secretary containing such information and at such time as the Secretary may specify.

(B) CERTAIN PREVIOUSLY PARTICIPATING STATES. The Secretary shall enter into agreements with each State

(i) that the Secretary has entered into an agreement with under such subsection (c)(1), but only in the case where such agreement did not require the State to conduct background checks under the program established under subsection (a) of such section 307 on a Statewide basis;

(ii) that agrees to conduct background checks under the nationwide program on a Statewide basis; and

(iii) that submits an application to the Secretary containing such information and at such time as the Secretary may specify .

**93.507 STRENGTHENING PUBLIC HEALTH INFRASTRUCTURE FOR IMPROVED HEALTH OUTCOMES****FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Act, Section 301 and 317, 42 U.S.C 241 and 247b ; Patient Protection and Affordable Care Act, Title IV, Section 4002, Public Law 111-148.

**OBJECTIVES:**

This funding was appropriated under the Patient Protection and Affordable Care Act (ACA) (Public Law 111-148). The Prevention and Public Health Fund (Title IV, Section 4002) was established under this legislation to provide for expanded and sustained national investment in prevention and public health programs to improve health and help restrain the rate of growth in private and public sector health care costs. This program will help State, Tribal, Local and U.S. Territories sustain and build a strong core public health infrastructure that is prepared for responding to both acute and chronic threats relating to the Nations health such as emerging infections, disparities in health status, increase in chronic disease and injury rates. This program has two components; Graduated Based Funding for Public Health Transformation (Component I) and Enhanced Funding for Public Health Transformation (Component II). This funding is to advance any or all of the key areas for infrastructure investment and will help ensure successful implementation of ACA, specifically by:

Improving the public health workforce (e.g., e-learning, other training, and fellowship programs); vital statistics system (electronic birth and death registration); food and water borne disease identification and prevention, prevention of hospital acquired infections, electronic health record/IT systems, communications systems and processes (e.g. information syndication and social media capacity), laboratory and epidemiologic capacity.

Developing information systems to support adoption, implementation, enforcement, and/or evaluation of public health legislation, codes, rules, regulations, ordinances, and other policies.

Improving public health system development/redevelopment by building or reengineering of infrastructure to improve networking, coordination, standardization, and centralization of public health services to effectively and efficiently address priority health indicators.

Implementing best healthcare practices and impact evaluation

Improving information and data system capacity through policy/communication for standardized data collection and analysis systems, information management technology, information dissemination, and meaningful data use and translation

Improving organizational capacity to effectively and efficiently use resources such as fiscal agents, and intermediaries.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, organizing, and the implementation of other program elements to strengthen State, Tribal, Local, and Territorial public health core infrastructure. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

**Applicant Eligibility:**

Eligible applicants include all 50 states, Washington, D.C., 9 large local health departments supporting cities with populations of 1 million or more inhabitants (Chicago, Illinois; Dallas, Texas; Houston Texas; Los Angeles, California; New York City, New York; Philadelphia, Pennsylvania; Phoenix, Arizona; San Antonio, Texas; San Diego, California), 5 U.S. Territories 3 U.S. Affiliated Pacific Islands, and up to 7 federally-recognized tribes with an established public health departments structure (or their equivalent) that provide public health services to their tribal members or their bona fide agents.

**Beneficiary Eligibility:**

State health departments, large local health departments supporting cities with populations of 1 million or more inhabitants, the District of Columbia, U.S. Territories, tribal health organizations and the general public.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov).

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov)

**Award Procedure:**

Applications that are complete and responsive will be evaluated for scientific and technical merit and receive support. CDC will not review incomplete and non-responsive applications. Applications that are complete and responsive will undergo an objective review process, receive a written critique and be scored according to the published review criteria. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer. Initial award provides funds for the first budget period (usually 12 months) and the NOA will indicate support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon availability of funding under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period within project periods ranging from one to five years. Method of awarding/releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Each funded applicant must provide an interim and annual progress report. The interim progress report is due no less than 90 days before the end of the specified budget period. The Interim Progress Report will serve as the non-competing continuation application. Semi-annual progress reports are also required. Financial Status Reports (SF 269) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are required, no more than 90 days after the end of the project period. No later than 10 days after the end of each calendar quarter, starting with the quarter ending December 31, 2010 and reporting by January 10, 2010 the recipients must submit a calendar quarter cash transaction report (SF-272 or top portion of the SF-425 Financial Report Form) to the Payment Management System (PMS). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 10 \$42,500,000; FY 11 est \$33,568,532; and FY 12 est \$33,568,532

**Range and Average of Financial Assistance:**

Component I: This amount is based on population and will continue for each year of the cooperative agreement:

Below 1.5 million = \$100,000  
1.5 million - 5 million = \$200,000  
5 million - 8 million = \$300,000  
Above 8 million = \$400,000.

Component II: \$1M - \$2.95M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Component I: 75 awards made  
Component II: 19 awards made. Fiscal Year 2011: No Current Data Available

Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hhspolicy.htm>

**Regional or Local Office:**

See Regional Agency Offices. Local Office - Program Contact: Kristin Brusuelas, Branch Chief, Government Relations Branch, Office for State, Tribal, Local and Territorial Support, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE, Mailstop K86, Atlanta, GA 30333. Telephone: (770) 488-1624. Fax: (770) 488-1600. E-mail: [KMB0@cdc.gov](mailto:KMB0@cdc.gov); Grants Management Contact: Annie Camacho- Harrison, Procurement and Grants Office, Center for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Room 1126, Atlanta, GA 30341. Telephone: (770) 488-2098.

**Headquarters Office:**

Rickenya L. Hodge, 2500 Century Pkwy, Atlanta, Georgia 30329 Email: [rid9@cdc.gov](mailto:rid9@cdc.gov) Phone: (404) 498-2292.

**Website Address:**

<http://www.cdc.gov>; [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) clearly provide a plan that include quantitative process and outcome measures (2) provide adequate and clear information to enable the reviewer to gain a reasonable understanding of the applicants recent and current efforts to address the issues and (3) provide a realistic plan with activities that can be achieved in year one and subsequent years. Other criteria will be listed in the individual funding opportunity announcement.

**93.508 AFFORDABLE CARE ACT (ACA) TRIBAL MATERNAL, INFANT, AND EARLY CHILDHOOD HOME VISITING PROGRAM**

Tribal Home Visiting (HV) Program and Tribal Research Center on Early Childhood (TRCEC)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title V, Section 511(h)(2)(A); Head Start Act as Amended by Improving Head Start for School Readiness Act, Section 648, 42 U.S.C 9843-9844; Social Security Act, Title V, Section 511(h)(3) & (j).

**OBJECTIVES:**

The Tribal Maternal, Infant, and Early Childhood Home Visiting Program (TMIECHV) is being administered by The Administration for Children and Families (ACF), Office of Child Care (OCC), in collaboration with the Health Resources and Services Administration (HRSA) and is supported by Affordable Care Act (ACA). Assistance is available to eligible Tribes (or consortia of Tribes), Tribal Organizations, and Urban Indian Organizations, to strengthen and improve maternal and child health programs, improve service coordination for at-risk communities, and identify and provide comprehensive evidence-based home visiting services to families who reside in at-risk communities.

The ACF, Office of Planning, Research and Evaluation (OPRE), in collaboration with HRSA, is administering the Tribal Research Center for Early Childhood (TRCEC), which will provide leadership and support to promote excellence in community-based participatory research and evaluation of ACF early childhood initiatives that serve Tribal communities (i.e., Home Visiting, Head Start, Early Head Start). The TRCEC is expected to engage in a variety of activities that are designed to identify and develop effective practices and

systems for home visiting, Head Start, and Early Head Start programs in Tribal communities; to establish the culturally meaningful processes and outcomes of those programs; to build research capacity within Tribal communities; and to build the capacity of researchers to conduct research and evaluation in partnership with Tribal communities. TRCEC will provide leadership and support to promote excellence in community-based research and evaluation of Tribal MIECHV, Head Start, and EHS initiatives that serve AI/AN children and families. TRCEC is expected to engage in activities that support the identification and development of effective practices and systems for integrated services for Tribal MIECHV, Head Start, and EHS in tribal communities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Assistance for the Tribal HV Program will be used to: conduct a needs assessment that considers community characteristics and the quality and capacity of existing home visiting programs and other supportive services; is coordinated with other relevant needs assessments; and involves community stakeholders as appropriate; collaborative planning efforts to address identified needs by developing capacity and infrastructure; providing high-quality, evidence-based home visiting services to pregnant women and families with young children aged birth to kindergarten entry; and conducting rigorous local evaluations that may include examining effectiveness of home visiting models in serving Tribal populations, adaptations of home visiting models for Tribal communities, or questions regarding implementation of infrastructure necessary to support evidence-based home visitation models in Tribal communities.

Consistent with statutory authority, Home Visiting funds for the TRCEC will be used for: (a) activities to promote excellence in research and evaluation of Tribal MIECHV programs in tribal communities; and (b) measurement development activities that will expand the evidence base around home visiting programs for AI/AN populations. Consistent with the relevant statutory authority, Head Start funds for the TRCEC will be used for research and evaluation activities to: (a) foster continuous improvement in the quality of the Head Start programs and in their effectiveness in enabling participating AI/AN children and their families to succeed in school and otherwise; and (b) develop, test, and disseminate new ideas based on existing scientifically valid research, for addressing the needs of AI/AN children and their families and communities. Costs of organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions, are unallowable.

Grant awards will not allow reimbursement of pre-award costs.

Construction and purchase of real property are not allowable activities or expenditures under this grant award.

The statute requires that grantees supplement and not supplant funds from other HV initiatives.

Awards issued under this announcement are subject to the uniform administrative requirements and cost principles of 45 CFR Part 74 (Awards and Subawards to Institutions of Higher Education, Hospitals, Other Non-Profit Organizations, and Commercial Organizations), or 45 CFR Part 92 (Grants and Cooperative Agreements to State, Local, and Tribal Governments).

An application funded with the release of Federal funds through a grant award, does not constitute, or imply, compliance with Federal regulations. Funded organizations are responsible for ensuring that their activities comply with all applicable Federal regulations.

Grantees are subject to the limitations set forth in 45 CFR Part 74.81 (Prohibition against profit), which states that, "... no HHS funds may be paid as profit to any recipient even if the recipient is a commercial organization. Profit is any amount in excess of allowable direct and indirect costs."

Grantees are also subject to the requirements of 45 CFR Part 87, Equal Treatment for Faith-Based Organizations: "Direct Federal grants, sub-award funds, or contracts under this ACF program shall not be used to support

inherently religious activities such as religious instruction, worship, or proselytization. Therefore, organizations must take steps to separate, in time or location, their inherently religious activities from the services funded under this program. Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which includes the prohibition against Federal funding of inherently religious activities, can be found at the HHS web site at: <http://www.hhs.gov/fbc/waisgate21.pdf>.

A faith-based organization receiving HHS funds retains its independence from Federal, State, and local governments, and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs. For example, a faith-based organization may use space in its facilities to provide secular programs or services funded with Federal funds without removing religious art, icons, scriptures, or other religious symbols. In addition, a faith-based organization that receives Federal funds retains its authority over its internal governance, and it may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents in accordance with all program requirements, statutes, and other applicable requirements governing the conduct of HHS funded activities." Additional information on "Understanding the Regulations Related to the Faith-Based and Community Initiative" can be found at: <http://www.hhs.gov/fbc/regulations/index.html>.

The Code of Federal Regulations (CFR) is available at <http://www.gpoaccess.gov/CFR/>.

Awards issued under this announcement are subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to [http://www.acf.hhs.gov/grants/award\\_term.html](http://www.acf.hhs.gov/grants/award_term.html).

TRCEC awards are subject to the availability of Federal funds. Please note that funds for MIECHV are not currently appropriated for the full length of the identified project period.

The Federal share of TRCEC project costs shall not exceed \$600,000 for any of the 12-month budget periods, inclusive of indirect costs (\$250,000 will be from the Tribal HV Program and \$350,000 will be from Head Start research funds).

Funds and their associated activities/costs supported by funds from MIECHV Tribal Home Visiting and OHS for the TRCEC must be tracked separately; and must be accounted for on an ongoing basis and expenditures attributed to either Tribal HV or Head Start portions of the project. All funds are discretionary under these programs.

**Applicant Eligibility:**

Only Tribes (or a consortium of Indian Tribes), Tribal Organizations, or Urban Indian Organizations, as defined by Section 4 of the Indian Health Care Improvement Act, Public Law 94-437, are eligible applicants for the Tribal HV Grant Program.

For the TRCEC, only the following are eligible applicants: a) public and State controlled institutions of higher education; b) nonprofits having a 501(3)(3) status with the IRS, other than institutions of higher education; c) nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education; d) private institutions of higher education; e) for profit organizations other than small businesses; and f) small businesses.

**Beneficiary Eligibility:**

For the Tribal HV program:

- Eligible families residing in at-risk American Indian/Alaskan Native communities in need of such services, as identified in a needs assessment;
- Low-income eligible families;
- Eligible families who are pregnant women under age 21;
- Eligible families with a history of child abuse or neglect or have had interactions with child welfare services;
- Eligible families with a history of substance abuse or need substance abuse treatment;
- Eligible families that have users of tobacco products in the home;



Eligible families that are or have children with low student achievement;  
Eligible families with children with developmental delays or disabilities; and  
Eligible families who, or that include individuals serving or formerly serving  
in the Armed Forces, including those with members who have had multiple  
deployments outside the US.

**Eligible family:**

A woman who is pregnant, and the father of the child if available, or  
A parent or primary caregiver of the child, including grandparents or other  
relatives and foster parents serving as the child's primary caregiver from birth  
until kindergarten entry, including a noncustodial parent with an ongoing  
relationship with, and at times provides physical care for the child.

**Credentials/Documentation:**

Applicants should review each of the individual funding opportunity  
announcements issued under this CFDA program for any required proof or  
certifications, which must be submitted prior to or simultaneous with  
submission of an application package. OMB Circular No. A-87 applies to this  
program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact  
information is not required for this program. This program is excluded from  
coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110  
applies to this program. Applicants should review each of the individual  
funding opportunity announcements issued under this CFDA program for any  
additional application procedures, which must be followed when submitting an  
application package.

**Award Procedure:**

For the Tribal HV program: each application will be screened to determine  
whether it was received by the closing date and time and whether the requested  
amount exceeds the award ceiling. Applications that are designated as late or  
those with requests that exceed the award ceiling will be returned to the  
applicant with a notation that they were deemed non-responsive and will not be  
reviewed.

Applications competing for financial assistance will be reviewed and evaluated  
by objective review panels using the criteria described in the funding  
opportunity announcement. Each panel is made up of experts with knowledge  
and experience in the area under review. Generally, review panels are  
composed of three reviewers and one chairperson.

Results of the competitive objective review are taken into consideration by  
ACF in the selection of projects for funding; however, objective review scores  
and rankings are not binding and are one element of the decision-making  
process.

ACF may elect to not fund applicants with management or financial problems  
that would indicate an inability to successfully complete the proposed project.  
Applications may be funded in whole or in part. Successful applicants may be  
funded at an amount lower than that requested. ACF reserves the right to  
consider a preference to fund organizations serving emerging, unserved, or  
under-served populations, including those located in pockets of poverty, and to  
consider the geographic distribution of Federal funds in its funding decisions.

ACF may refuse funding for projects with what it regards as unreasonably high  
start-up costs for facilities or equipment, or for projects with unreasonably high  
operating costs. In addition, federal staff will conduct an administrative review  
of the applications and the results of the competitive review and will make  
recommendations for funding to the Director, Office of Child Care (OCC)  
With the results of the competitive review and information from federal staff,  
the Director of OCC, in consultation with Deputy Assistant Secretary and  
Inter-Departmental Liaison for Early Childhood Development, will make the  
final funding decisions.

For the TRCEC, grant awards are subject to the availability of Federal funds.  
Note that funds for the Tribal MIECHV are not appropriated for the full length

of the specified project period.

The Federal share of project costs shall not exceed \$600,000 for any of the  
12-month budget periods, inclusive of indirect costs (\$250,000 will be from the  
Tribal MIECHV Program and \$350,000 will be from Head Start research  
funds). Consistent with statutory authority, Home Visiting funds will be used  
for: (a) activities to promote excellence in research and evaluation of Tribal  
MIECHV programs in tribal communities; and (b) measurement development  
activities that will expand the evidence base around home visiting programs for  
AI/AN populations. Consistent with the relevant statutory authority, Head Start  
funds will be used for research and evaluation activities to: (a) foster continuous  
improvement in the quality of the Head Start programs and in their  
effectiveness in enabling participating AI/AN children and their families to  
succeed in school and otherwise; and (b) develop, test, and disseminate new  
ideas based on existing scientifically valid research, for addressing the needs of  
AI/AN children and their families and communities.

No grant award will be made under this announcement on the basis of an  
incomplete application. No grant award will be made to an applicant or  
sub-recipient that does not have active CCR registration ([www.ccr.gov](http://www.ccr.gov) or  
1-866-606-8220).

Each application will be screened to determine whether it was received by the  
closing date and time and whether the requested amount exceeds the award  
ceiling. Applications that are designated as late, or those with requests that  
exceed the award ceiling, will receive a screen-out letter noting that the  
application was deemed non-responsive and will not be considered for  
competitive review or funding. For those applications that have been deemed  
disqualified under the initial ACF screening, notice will be given of such  
determination by postal mail.

Applications competing for financial assistance will be reviewed and evaluated  
by objective review panels using the criteria described in the funding  
opportunity announcement. Each panel is made up of experts with knowledge  
and experience in the area under review. Generally, review panels are  
composed of three reviewers and one chairperson.

Results of the competitive objective review are taken into consideration by  
ACF in the selection of projects for funding; however, objective review scores  
and rankings are not binding. They are one element in the decision-making  
process.

Applications recommended for approval that were not funded under the  
competition because of the lack of available funds, may be held over by ACF  
and re-considered in a subsequent review cycle if a future competition under the  
program area is planned. These applications will be held over for a period of up  
to one year and will be re-competed for funding with all other competing  
applications in the next available review cycle. For those applications that have  
been deemed as approved but unfunded, notice will be given of such  
determination by postal mail.

Announcement of awards and the disposition of applications will be provided to  
applicants at a later date.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. For the TRCEC, successful applicants will be notified  
through the issuance of a Financial Assistance Award (FAA) document that sets  
forth the amount of funds granted, the terms and conditions of the grant, the  
effective date of the grant, the budget period for which initial support will be  
given, the non-Federal share to be provided (if applicable), and the total project  
period for which support is contemplated. The FAA will be signed by the  
Grants Officer and transmitted via postal mail. Following the finalization of  
funding decisions, organizations whose applications will not be funded will be  
notified by letter, signed by the Program Office head.

Other correspondence announcing to a Principal Investigator or Project Director

that an application was selected is not an authorization to begin performance. Costs incurred before receipt of a FAA are at the recipient's risk and may be reimbursed only to extent considered allowable as approved pre-award costs.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For the Tribal HV, grants (cooperative agreements) are generally awarded for a 5-year project period. In the first year of the project, grants will be awarded on a competitive basis. Pending successful completion of Year 1 activities, submission of a plan that meets requirements, and approval of this plan, applications will be considered on a noncompetitive continuation basis for Years 2-5 subject to availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the Federal Government. Grants will be awarded for 12-month budget periods with a 5-year project period.

Funds awarded to grantees under this program will be made available for expenditure through the end of the second succeeding fiscal year after award.

For the TRCEC, grants (cooperative agreements) are generally awarded with a project period of up to five years. The initial award will be for the first 12-month budget period. Budget requests for the second through fifth year of funding within the project period should be identified in the current application (on SF-424A), but such requests will be considered in subsequent years on a noncompetitive basis, subject to the applicant's eligibility status, the availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the Federal Government. Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees under this announcement will be required to submit performance progress and financial reports periodically throughout the project period.

The frequency of required reporting is described in each funding opportunity announcement. Final reports may be submitted in hard copy to the Grants Management Office Contact identifiable post-award. Instructions on submission of reports electronically will be provided with award documents.

ACF grantees are required to submit the SF-PPR Cover Page. ACF Programs that utilize reporting forms or formats in addition to, or instead of, the SF-PPR have listed the reporting requirements.

Grant award documents will inform grantees of the appropriate performance progress report form or format to use. Grantees should consult their award documents to determine the appropriate performance progress report format required under their award. Performance progress reports are due 30 days after the end of the reporting period.

Final program performance reports are due 90 days after the close of the project period. The SF-PPR may be found at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html).

Further instructions will be provided, as necessary, with award terms and conditions that will address specific reporting periods and due dates on an award-by-award basis. Additional information on frequency of reporting is available on the ACF Funding Opportunities web site at [http://www.acf.hhs.gov/grants/msg\\_sf425.html](http://www.acf.hhs.gov/grants/msg_sf425.html). Federal Financial Report (FFR) - Federal Cash Transaction Report. Progress reports are not applicable. As of February 1, 2011, the Department of Health and Human Services (HHS) began the transition from use of the SF-269, Financial Status Report (Short Form or Long Form) to the use of the SF-425 Federal Financial Report for expenditure

reporting. SF-269s will no longer be accepted for expenditure reports due after that date. If an SF-269 is submitted, the ACF will return it and require the recipient to complete the SF-425.

The transition strategy is allowing individual HHS Operating Divisions to select--from a limited number of options--the approach that best fits their programs and business process. This transition does not affect completion or submission of the cash reporting to the HHS Division of Payment Management's Payment Management System (PMS). The primary features of this transition for recipients are that OPDIVs that previously required electronic submission of the SF-269 will receive the SF-425 expenditure reports electronically and, until further notice, OPDIVs that have been receiving expenditure reports in hard copy will continue to do so.

All expenditure reports will be due on one of the standard due dates by which cash reporting is required to be submitted to PMS OR at the end of a calendar quarter as determined by the Operating Division. As a result, a recipient that receives awards from more than one OPDIV may be subject to more than one approach, but will not be required to change its current means of submission or be subjected to more than eight standard due dates.

Beginning with budget periods which end from January 1 - March 31, 2011, and for all budget periods thereafter, all affected ACF grantees will be required to submit an SF-425 report as frequently as is required in the terms and conditions of their award using due dates for reports to PMS.

Fillable versions of the SF-425 form in Adobe PDF and MS-Excel formats, along with instructions, are available at [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms), [www.forms.gov](http://www.forms.gov), and on the ACF Funding Opportunity website Forms page.

Further instructions will be provided, as necessary, with award terms and conditions that will address specific reporting periods and due dates on an award-by-award basis. Additional information on frequency of reporting is available on the ACF Funding Opportunities web site at [http://www.acf.hhs.gov/grants/msg\\_sf425.html](http://www.acf.hhs.gov/grants/msg_sf425.html).

Awards issued as a result of this funding opportunity may be subject to the Transparency Act subaward and executive compensation reporting requirements of 2 C.F.R. Part 170. See ACF's Award Term for Federal Financial Accountability and Transparency Act (FFATA) Subaward and Executive Compensation Reporting Requirement implementing this requirement and additional award applicability information. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. None.

**Records:**

Awards issued under this program are subject to the uniform administrative requirements of 45 CFR Part 74 (Awards And Subawards To Institutions Of Higher Education, Hospitals, Other Nonprofit Organizations, And Commercial Organizations) or 45 CFR Part 92 (Grants And Cooperative Agreements To State, Local, And Tribal Governments).

**Account Identification:**

75-0321-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$3,000,000; FY 11 est \$7,500,000; and FY 12 est \$10,500,000 - ACA Funding Data for the Tribal HV: Three percent of annual appropriations under Section 511(h)(2)(A) of Title V of the Social Security Act, as amended by Section 2951 of the Affordable Care Act (ACA) (Public Law 111-148) shall be reserved for purposes of making grants to eligible entities that are Indian Tribes (or a consortium of Indian Tribes), Tribal organizations, or

Urban Indian Organizations. Tribes (or a consortium of Indian Tribes), Tribal Organizations, or Urban Indian Organizations are those defined by Section 4 of the Indian Health Care Improvement Act, Public Law 94-437.

\$3,000,000 ACA funds were obligated in FY10;  
Estimated \$7,500,000 ACA funds will be obligated in FY11,  
Estimated \$10,500,000 ACA funds will be obligated in FY12.

**Range and Average of Financial Assistance:**

For the Tribal HV, the range of funding is \$100,000-\$500,000 per budget period.

For the TRCEC, the range of funding is up to \$600,000 per budget period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 13 Tribal HV grants were awarded in FY 2010.

The TRCEC was not available in FY 2010. Fiscal Year 2011: 18 Tribal HV grants will be awarded in FY 2011.

For the TRCEC, one grant will be awarded in FY 2011. Fiscal Year 2012:

Approximately 21 - 25 Tribal HV grants will be awarded in FY 2012.

For the TRCEC, one grant will be awarded in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carol Gage Child Care Bureau, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W. , Washington, District of Columbia 20447 Email: carol.gage@acf.hhs.gov Phone: 202-690-6243 Fax: 202-690-5600

**Website Address:**

<http://www.acf.hhs.gov/programs>

**RELATED PROGRAMS:**

93.505 Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in each funding opportunity announcement.

**93.509 AFFORDABLE CARE ACT (ACA) STATE HEALTH CARE WORKFORCE DEVELOPMENT GRANTS**

ACA State Health Care Workforce Development Grants

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 5102 of the Affordable Care Act; and section 4002 of the Patient Protection and Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

The primary focus of this program is to address health workforce shortages within each State and nationally. Of secondary importance but essential in order to develop viable Statewide plans and identify key shortage areas, is the need to support the development of uniform data collection across States on licensed health professionals. This uniform data collection will be used to develop baseline numbers on the current supply of the health care workforce in order to evaluate the impact and success of this program. Efforts to develop and implement State health care workforce plans across State and Federal organizations (including the Departments of Health and Human Services, Labor, and Education) should result in increases in the number of health care providers available to address the nations health care needs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may only be used for the purposes of enabling (1) State partnerships to complete comprehensive health care workforce development planning and (2) to implement those plans or carry out activities as defined by the State application in order to address current and projected workforce demands within the State. Applicants may not receive both a planning and an implementation award. 100% of the funds are to be competitively awarded in the form of discretionary grants.

**Applicant Eligibility:**

Planning Grant Eligibility -- To be eligible to receive a planning grant, a State must have an eligible partnership. An eligible partnership is a State Workforce Investment Board, that includes or modifies the members to include at least one representative from each of the following: health care employer, labor organization, a public 2-year institution of higher education, a public 4-year institution of higher education, the recognized State federation of labor, the State public secondary education agency, the State P16 or P20 Council (statewide assemblies of education, business, and community leaders charged with developing strategies to better coordinate, integrate, and improve education for preschool through college students), if such a council exists, and a philanthropic organization that is actively engaged in providing learning, mentoring, and work opportunities to recruit, educate, and train individuals for, and retain individuals in, careers in health care and related industries.

Implementation Grants Eligibility. To be eligible for an implementation grant, a State partnership (including the members stated above) shall have (1) received a planning grant as specified under subsection (c) of Section 5102, P.L. 111-148 and completed all requirements of such grant; or (2) completed a satisfactory application, including a plan to coordinate with required partners and complete the required activities during the two year period of the implementation grant.

**Beneficiary Eligibility:**

Those who will ultimately benefit from these grants are the local, rural, State, and Federal legislators and policy makers who will receive the information needed with which to make health workforce decisions.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** Planning Grants Match -- Each State partnership receiving a planning grant shall provide an amount, in cash or in kind, that is not less than 15 percent of the amount of the grant, to carry out the activities supported by the grant. The matching requirement may be provided from funds available under other Federal, State, local or private sources to carry out the activities.

**Implementation Grants Match** -- Each State partnership receiving an implementation grant shall provide an amount, in cash or in kind that is not less than 25 percent of the amount of the grant, to carry out the activities supported by the grant. The matching funds may be provided from funds available from other Federal, State, local, or private sources to carry out such activities. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Planning grants will be awarded for a period of one year. Implementation grants will be awarded for a period of two years, except in those cases where the Health Resources and Services Administration (HRSA) determines that the grantee is high performing and the activities supported by the grant warrant up to 1 additional year of funding. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All grantees must participate in HRSA's evaluation and reporting activities. A Progress Report must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. A Progress Report must be submitted annually. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Refer to funding opportunity announcement for information on performance monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-055.

**Obligations:**

(Project Grants) FY 10 \$5,750,000; FY 11 est \$0; and FY 12 est \$51,000,000

**Range and Average of Financial Assistance:**

Planning Grant: \$150,000 maximum per award. One-year project period.  
Implementation Grant: \$2,500,000 average per award. Two-year project period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Aisha Fields, 5600 Fishers Lane, Room 9A-55, Rockville, Maryland 20857  
Phone: (301) 443-3656.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Review in the funding opportunity announcement.

**93.510 AFFORDABLE CARE ACT (ACA) PRIMARY CARE RESIDENCY EXPANSION PROGRAM**

ACA PCRE

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 747, as amended by the Patient Protection and Affordable Care Act (Public Law 111-148); and the Public Health Prevention Act Section 4002, Conference Report, H. Rept. 111-366, Division D (referencing S. Rept. 111-66), accompanying the Consolidated Appropriations Act, 2010, Public Law 111-117.

**OBJECTIVES:**

The Primary Care Residency Expansion program is a five-year initiative to increase the number of physicians trained in family medicine, general internal medicine, and general pediatrics residencies. Grantees are primary care residencies that commit to increasing their number of training positions by one to four new post-graduate year one positions for five consecutive years. Awards facilitate this expansion by providing \$80,000 per expanded position per year.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Awards may only be used to fund an accredited family medicine, general internal medicine, or general pediatric residency program. Applicants may request support for only one residency program (discipline).

The PCRE Program has one funding preference for applicants that have a community health center as a major training site and one funding priority for applicants that have significant community-based clinical rotation(s).

Approved uses of Primary Care Residency Expansion grant funds are resident salary including fringe benefits and indirect costs, training expenses, and resident physician travel. Personnel, staffing, consultant cost, equipment, supplies, subcontracts and other items are strictly prohibited under this grant award.

**Applicant Eligibility:**

Eligible applicants include public or nonprofit private hospitals, schools of medicine or osteopathic medicine or a public or private nonprofit entity of

which the Secretary has determined is capable of carrying out such grants. Applicants may request support for only one residency program (discipline).

**Beneficiary Eligibility:**

Primary care residency training programs

Project participants (residents) must be U.S. Citizens, non-citizen nationals, or foreign nationals who possess visas permitting permanent residence in the United States. Individuals on temporary student visas are not eligible.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications that must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details. Total allocations will be over \$100 million. Refer to the funding opportunity announcement for specific award amounts. There are no additional requirements.

**Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for up to five (5) years of support. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Status Reports

1. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A financial report that identifies cash expenditures against the authorized funds for the grant must be submitted via the Payment Management System within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information.

2. Submit a Financial Report. A financial report is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year.

3. Submit a Progress Report(s).

All Bureau of Health Professions grantees are required to submit a progress report to HRSA on an annual basis. This report entitled, BHP Progress Report, has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data to measure the Bureau's progress through its grantees in: (1) improving the distribution, diversity, quantity, and quality of the healthcare workforce, (2) improving the educational infrastructure, and (3) increasing students selection of primary care education.

Progress reports are generally due in June each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

4. Submit a Performance Report(s).

All Bureau of Health Professions grantees are required to submit a performance report to HRSA on an annual basis.

Performance reports are generally due in August each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

5. Submit a Final Report.

All BHP grantees are required to submit a final report within 90 days after the project period ends. The final report collects program-specific goals, core performance measurement data, grantee objectives and accomplishments, barriers encountered, and responses to summary questions regarding the grantees overall experiences over the entire project period. The final report must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Refer to funding opportunity announcement. Refer to the funding opportunity announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$168,000,000; FY 11 est \$36,372,375; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Total award amounts range from \$960,000 to \$3,840,000 per grantee. The average total award is \$1,440,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 157 applications were received and 82 were funded. All funding was provided in the first year. Fiscal Year 2011: 81 of the 82 originally funded programs successfully filled all expanded residency positions in the 2011 Match. The 81 remaining grantees will enroll 874 additional primary care resident physicians from 2011 to 2015 in 29 states. Fiscal Year 2012: Data Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Bobbie Strickland, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-27, 5600 Fishers Lane, Rockville, Maryland 20857, Telephone: (301) 443-1070, and Email: [bstrickland1@hrsa.gov](mailto:bstrickland1@hrsa.gov).

**Headquarters Office:**

Division of Medicine and Dentistry, 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857 Phone: (301) 443-6190

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: N/A. Fiscal Year 2011: <http://bhpr.hrsa.gov/grants/medicine/index.html>. Fiscal Year 2012: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Review in the funding opportunity announcement. The program has a funding preference for those programs with a community health center as a major participating site and it has a funding priority for programs with significant community-based clinical rotation(s). HRSA is placing an emphasis on program evaluation and prefers to fund applicants with processes in place to assess the impact and outcome of the program.

**93.511 AFFORDABLE CARE ACT (ACA) GRANTS TO STATES FOR HEALTH INSURANCE PREMIUM REVIEW**

Premium Review Grants

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Patient Protection and Affordability Care Act, Section 1003.

**OBJECTIVES:**

A program to assist States in a) in reviewing and, if appropriate under State law, approving premium increases for health insurance coverage, and b) in providing information and certain data requirements to the HHS Secretary on premium increase patterns c) grant funds may also be used to establish data centers that will compile and publish fee schedule information.

Refer to funding opportunity announcement for additional information.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds are to be used as outlined in Section 1003 of the Affordable Care Act (ACA). Grant funds that are not fully obligated under this, or subsequent grant programs authorized under Section 1003 of the ACA, by FY 2014 can

remain available to the Secretary for grants to States for planning and implementing the insurance reforms and consumer protections outlined in Section 1003 of the ACA.

**Applicant Eligibility:**

Grants to States' (including the District of Columbia) Department of Insurance for premium review.

**Beneficiary Eligibility:**

Grants to States' Department of Insurance for premium review.

**Credentials/Documentation:**

Applicants should review the OCIIO funding opportunity announcement documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from [Grants.gov](http://Grants.gov). The Office of Consumer Information and Insurance Oversight requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the OCIIO program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Section 1003 of the ACA provides for a 5-year program of grants to states for premium review; subsequent grants under Section 1003 will be awarded on an annual basis.

Refer to funding opportunity announcement for additional information on subsequent grants awarded for premium review authorized under Section 1003 of ACA.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grant funding for this funding opportunity announcement will be available for the remainder of FY 2010 and FY 2011. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports, annual program service reports, and special data reports as required in the funding opportunity announcement. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access grant funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Annual financial reports and

annual narrative progress reports are required. Submit a Financial Status Report (FSR or SF-269) directly to OS. The report identifies cash expenditures against the authorized funds for the grant. The Financial Status Report must be filed semi-annually or annually depending on the terms and conditions of award. Failure to submit the report may result in the inability to access grant funds. As described in the funding opportunity announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the final Federal Financial Report. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0112-0-1-551.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 est \$51,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments or 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

OCIIO awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://dhhs.gov/asfr/ogapa/grantinformation/hhsgps107.pdf>

**Regional or Local Office:**

None.

**Headquarters Office:**

Jacqueline R. Roche, Department of Health and Human Services, 200 Independence Avenue, SW, Hubert H. Humphrey Building, Washington DC, District of Columbia 20201 Email: [jacqueline.roche@hhs.gov](mailto:jacqueline.roche@hhs.gov) Phone: (202) 260-6094.

**Website Address:**

<http://www.hhs.gov/ociio>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in Section V--Application Review in the funding opportunity announcement.

**93.512 AFFORDABLE CARE ACT (ACA) PERSONAL AND HOME CARE AIDE STATE TRAINING PROGRAM (PHCAST)**

ACA PHCAST

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and

Human Services

**AUTHORIZATION:**

Section 2008 (b) of the Social Security Act, as added by section 5507 (b) of the Affordable Care Act; and section 4002 of the Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

To train personal and home care aides to provide care in complex health care environments such as home healthcare services, residential care facilities, and private households. Grants will be made to State entities to conduct demonstration projects for purposes of developing core training competencies and certification programs for personal and home care aides. The program would ensure that we have competent personal and home care aides with acquired skills that would be transportable to any job market in the Nation, thus strengthening the direct-care worker workforce.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Infrastructure training grants are awarded to eligible applicant organizations for projects to strengthen and enhance the capacity of personal and home care aide training programs. This will enable individuals to enter into a personal and/or home care aide position. Funds may be used for the development, evaluation, and demonstration of training programs for personal and/or home care aides on-campus, at alternate sites, and through distance education methodologies. Restricted Uses: Indirect costs under training grants to organizations other than state, local or Indian tribal governments will be budgeted and reimbursed at 8 percent of modified total direct costs rather than on the basis of a negotiated rate agreement, and are not subject to upward or downward adjustment.

**Applicant Eligibility:**

Eligible entities are States, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, Northern Mariana Islands, and American Samoa, as well as Federally recognized Indian Tribal governments.

**Beneficiary Eligibility:**

Project participants, or students in the demonstration program, must be U.S. Citizens, non-citizen nationals, or foreign nationals who possess visas permitting permanent residence in the United States. Individuals on temporary student visas are not eligible. Participating States would be responsible for the recruitment of a minimum number of eligible health and long-term care providers to participate in the project.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for three (3) years of support. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

1. Submit a Financial Report. A financial report is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year.

2. Submit a Progress Report(s).

All Bureau of Health Professions grantees are required to submit a progress report to HRSA on an annual basis. This report entitled, BHP Progress Report, has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data to measure the Bureaus progress through its grantees in: (1) improving the distribution, diversity, and quality of the healthcare workforce, (2) improving the educational environment infrastructure, and (3) increasing students selection of primary care education.

Progress reports are generally due in August each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

3. Submit a Final Report.

All BHP grantees are required to submit a final report within 90 days after the project period ends. The final report collects program-specific goals, core performance measurement data, grantee objectives and accomplishments, barriers encountered, and responses to summary questions regarding the grantees overall experiences over the entire project period. The final report must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. See above. A financial report is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year. See above for additional information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until

completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$5,000,000; FY 11 est \$5,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

FY10 awards: Range: \$578,745.00 (min) - \$749,960.00 (max)

Average: \$702,240.00.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Renata Thompson, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-61, Rockville, MD 20857. Telephone: (301) 443-1542, [Rthompson1@hrsa.gov](mailto:Rthompson1@hrsa.gov).

**Headquarters Office:**

Renata Thompson, 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20895  
Email: [Rthompson1@hrsa.gov](mailto:Rthompson1@hrsa.gov) Phone: (301) 443-1542

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal review panels for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Review in the application guidance.

**93.513 AFFORDABLE CARE ACT (ACA) ADVANCED NURSING EDUCATION EXPANSION INITIATIVE**

ACA ANEE

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 811 of the Public Health Service Act (42 U.S.C. 296j), as amended by the Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

The purpose of the Advanced Nursing Education Expansion (ANEE) Initiative is to 1) increase the number of students enrolled full time in accredited primary care Nurse Practitioner and Nurse Midwifery programs, and 2) accelerate the graduation of part time student in such programs by encouraging full time enrollment.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The grantee is responsible for the disbursement of grant funds to eligible students. Stipend grant funds may be used as follows:



- 1) ANEE grant funds may be used to support stipends awarded under the terms of the Notice of Grant Award (NGA).
- 2) Stipends for students cannot exceed \$22,000 per year.
- 3) Full tuition and fees, reasonable living expenses and other educational costs are allowable costs.
- 4) Trainee travel (including daily commuting costs) is not an allowable expense.
- 5) Indirect Costs (Facilities and Administrative - F&A Costs) are applicable to the ANEE Program.

**Applicant Eligibility:**

Eligible applicants are collegiate schools of nursing, academic health centers, and other private or public entities accredited by a national nursing accrediting agency recognized by the Secretary of the U.S. Department of Education that offers and has students enrolled in primary care nurse practitioner programs and/or a nurse-midwifery program. The nurse midwifery program must be accredited by the Accreditation Commission on Midwifery Education.

**Beneficiary Eligibility:**

Project participants (students) must be U.S. Citizens, non-citizen nationals, or foreign nationals who possess visas permitting permanent residence in the United States. Individuals on temporary student visas are not eligible.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or accreditation which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant application and required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The duration of the project period is for up to 5 years and the total of the five budget period are to be awarded in the first year of support. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

1. Submit a Financial Report. A financial report is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year.

2. Submit a Progress Report(s).

All Bureau of Health Professions grantees are required to submit a progress report to HRSA on an annual basis. This report entitled, BHPPr Progress Report, has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data to measure the Bureaus progress through its grantees in: (1) improving the distribution, diversity, and quality of the healthcare workforce, (2) improving the educational environment infrastructure, and (3) increasing students selection of primary care education.

Progress reports are generally due in August each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

3. Submit a Final Report.

All BHPPr grantees are required to submit a final report within 90 days after the project period ends. The final report collects program-specific goals, core performance measurement data, grantee objectives and accomplishments, barriers encountered, and responses to summary questions regarding the grantees overall experiences over the entire project period. The final report must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>

4. The applicant must report on graduates employment each year for five years after graduation. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. All Bureau of Health Professions grantees are required to submit a progress report to HRSA on an annual basis. This report entitled, BHPPr Progress Report, has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data to measure the Bureaus progress through its grantees in: (1) improving the distribution, diversity, and quality of the healthcare workforce, (2) improving the educational environment infrastructure, and (3) increasing students selection of primary care education.

Progress reports are generally due in August each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. Refer to the funding opportunity announcement for additional information. Refer to the funding opportunity announcement for additional information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$31,044,256; FY 11 Estimate Not Available; and FY 12

Estimate Not Available

**Range and Average of Financial Assistance:**

Up to \$22,000 per award for each year of the two year project period per student. FY 2010 range: \$704,000 to \$1,425,600; average: \$1,194,009.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Dr. George Zangaro, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9B-45, Rockville, MD 20857. Telephone: (301) 443-5688.

**Headquarters Office:**

Dr. George Zangaro 5600 Fishers Lane, Room 9B-45, Rockville, Maryland 20857 Phone: (301) 443-5688

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on analysis of the factors set forth in the application. See the section on Application Review in the funding opportunity announcement. In making awards of grants under this Section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State or local health departments.

**93.514 AFFORDABLE CARE ACT (ACA) EXPANSION OF PHYSICIAN ASSISTANT TRAINING PROGRAM**

ACA EPAT

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 747, as amended by the Patient Protection and Affordable Care Act (Public Law 111-148); and the Public Health Prevention Act Section 4002, Conference Report, H. Rept. 111-366, Division D (referencing S. Rept. 111-66), accompanying the Consolidated Appropriations Act, 2010, Public Law 111-117.

**OBJECTIVES:**

The Expansion of Physician Assistant Training Program is a five-year initiative to increase the number of physician assistants in the primary care workforce. Grantees are physician assistant training programs that commit to sustaining an increased number of students for five consecutive years. Awards facilitate this expansion by supporting higher enrollment by funding new student stipends, educational expenses, reasonable living expenses, and indirect costs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds are to be distributed, through a competitive application process, to accredited physician assistant training programs and may only be used to provide stipends, educational expenses, reasonable living expenses, and indirect

costs to physician assistant students. Personnel, staffing, fringe benefits, consultant cost, travel, equipment, supplies, subcontracts and other items are strictly prohibited under this grant award. Restricted Uses: Applicants may request support for only one physician assistant training program.

Program funding may only be used to support the cost of physician assistant stipends, educational expenses, reasonable living expenses, and indirect costs.

**Applicant Eligibility:**

Eligible applicants include public or nonprofit academically affiliated physician assistant training programs whose purpose is to educate individuals that will be qualified to provide primary care medical services under the supervision of a physician.

**Beneficiary Eligibility:**

Physician assistant students in training.

Project participants (students) must be U.S. Citizens, non-citizen nationals, or foreign nationals who possess visas permitting permanent residence in the United States. Individuals on temporary student visas are not eligible.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications that must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification of Award is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Competing grant applications are submitted for up to five (5) years of support. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Status Reports

1. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report

All projects funded with ARRA funds are subject to special quarterly reporting

requirements as outlined in Section 1512 of the Recovery Act. A financial report that identifies cash expenditures against the authorized funds for the grant must be submitted via the Payment Management System within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. 2. Submit a Financial Report. A financial report is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year. 3. Submit a Progress Report(s). All Bureau of Health Professions grantees are required to submit a progress report to HRSA on an annual basis. This report entitled, BHP Progress Report, has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data to measure the Bureau's progress through its grantees in: (1) improving the distribution, diversity, quantity, and quality of the healthcare workforce, (2) improving the educational infrastructure, and (3) increasing students selection of primary care education.

Progress reports are generally due in June each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. Refer to funding opportunity announcement. 4. Submit a Performance Report(s).

All Bureau of Health Professions grantees are required to submit a performance report to HRSA on an annual basis.

Performance reports are generally due in August each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

#### 5. Submit a Final Report.

All BHP grantees are required to submit a final report within 90 days after the project period ends. The final report collects program-specific goals, core performance measurement data, grantee objectives and accomplishments, barriers encountered, and responses to summary questions regarding the grantees overall experiences over the entire project period. The final report must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### Records:

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### Account Identification:

75-0350-0-1-550.

#### Obligations:

(Project Grants) FY 10 \$3,936,942; FY 11 est \$6,252,764; and FY 12 Estimate Not Available

#### Range and Average of Financial Assistance:

The range of total awards is \$641,520 to \$2,117,808. The average total award for the 5 year project period is \$738,144.

#### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2010: Thirty-two applications were received and 28 were funded in 2010 at \$32 million over a 5 year project period. The average award was \$116,875 for the first budget period in 2010. All funding was provided in the first year, at \$22,000 per additional student. The funded grants will reach 733 trainees in 17 states. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

#### Regional or Local Office:

See Regional Agency Offices. Cindy Eugene, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-27, 5600 Fishers Lane, Rockville, MD 20857, Telephone: (301) 443-3870 and Email: [CEugene@hrsa.gov](mailto:CEugene@hrsa.gov).

#### Headquarters Office:

Division of Medicine and Dentistry, Bureau of Health Professions, 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857 Phone: (301) 443-6190

#### Website Address:

<http://www.hrsa.gov>

#### RELATED PROGRAMS:

Not Applicable.

#### EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2010: <http://bhpr.hrsa.gov/grants/medicine/index.html>. Fiscal Year 2011: Data not Available. Fiscal Year 2012: Data not Available.

#### CRITERIA FOR SELECTING PROPOSALS:

Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Review in the funding opportunity announcement. This funding opportunity has no funding preferences or priorities. HRSA is placing an emphasis on program evaluation and prefers to fund applicants with processes in place to assess the impact and outcome of their grant funded activities.

#### 93.515 AFFORDABLE CARE ACT (ACA) NURSE-MANAGED HEALTH CLINICS

ACA NMHC

#### FEDERAL AGENCY:

Health Resources and Services Administration, Department of Health and Human Services

#### AUTHORIZATION:

Section 330A-1 of the Public Health Service Act (42 U.S.C. 254b et seq.) as added by Section 5208 of the Patient Protection and Affordable Care Act, Public Law 111-148; and Section 4002 of the Patient Protection and Affordable Care Act, Public Law 111-148.

#### OBJECTIVES:

To provide federal funding to support the development and operation of Nurse-Managed Health Clinics (NMHC) to: 1) improve access to primary health care, disease prevention and health promotion in medically underserved areas (including enhancements of outreach strategies); 2) enhance nursing practice by increasing the number of structured clinical teaching sites for undergraduate and graduate nursing students; and 3) enhance electronic processes for establishing effective patient and workforce data collection systems. Under this program, the focus would support the training and practice development site for nurse practitioners to build the capacity of primary care provider workforce.

#### TYPES OF ASSISTANCE:

Project Grants

#### USES AND USE RESTRICTIONS:

Awards may be used to support the operation of nurse managed centers, implement new technologies, training programs for nurse practitioner students and other students of other health related disciplines, and enhancement of patient care and accessibility.

#### Applicant Eligibility:

Eligible applicants must be nurse-practice arrangements managed by advanced practice nurses, that provide primary care or wellness services to underserved or vulnerable populations and is associated with a school, college, university, or department of nursing, federally qualified health center or independent nonprofit health or social services agency.

**Beneficiary Eligibility:**

Beneficiaries include the following: individual/family; specialized group; health professionals; education profession; student/trainee; graduate student.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

Any Nurse Managed Clinic that will have undergraduate or graduate nursing students receiving clinical education or experiences during this grant period MUST provide a Memorandum of Agreement with the school(s) of nursing for clinical placement arrangement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. All applicants are required to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Competing grant applications are submitted for an up to 3-year grant period. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Status Reports

1. Submit a Financial Report. A financial report is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year.

2. Submit a Progress Report(s).

All Bureau of Health Professions grantees are required to submit a progress report to HRSA on an annual basis. This report entitled, BHPPr Progress Report, has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data to measure the Bureaus progress through its grantees in: (1)

improving the distribution, diversity, and quality of the healthcare workforce, (2) improving the educational environment infrastructure, and (3) increasing students selection of primary care education.

Progress reports are generally due in August each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

3. Submit a Final Report.

All BHPPr grantees are required to submit a final report within 90 days after the project period ends. The final report collects program-specific goals, core performance measurement data, grantee objectives and accomplishments, barriers encountered, and responses to summary questions regarding the grantees overall experiences over the entire project period. The final report must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Submit a Progress Report(s).

All Bureau of Health Professions grantees are required to submit a progress report to HRSA on an annual basis. This report entitled, BHPPr Progress Report, has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data to measure the Bureaus progress through its grantees in: (1) improving the distribution, diversity, and quality of the healthcare workforce, (2) improving the educational environment infrastructure, and (3) increasing students selection of primary care education.

Progress reports are generally due in August each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

Submit a Final Report.

All BHPPr grantees are required to submit a final report within 90 days after the project period ends. The final report collects program-specific goals, core performance measurement data, grantee objectives and accomplishments, barriers encountered, and responses to summary questions regarding the grantees overall experiences over the entire project period. The final report must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Refer to funding opportunity announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$15,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range: \$1,400,998.00 (min) - \$1,500,000.00 (max)

Average: \$1,484,809.00.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Renata Thompson, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-61, Rockville, MD. Telephone: (301) 443-5688.

**Headquarters Office:**

Renata Thompson 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857  
Phone: (301) 443-5688

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on analysis of the factors set forth in the applicants proposal. See the section on Application Review in the funding opportunity announcement. The program has a funding preference shall be granted to applicants with projects that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State or local health departments.

**93.516 AFFORDABLE CARE ACT (ACA) PUBLIC HEALTH TRAINING CENTERS PROGRAM**

ACA PHTC Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Sections 765 and 766 of the Public Health Service Act (42 U.S.C. 295a), as amended by Public Law 105-392 Health Professions Education Partnerships Act of 1998 and the Patient Protection and Affordable Care Act of 2010, Public Law 111-148.

**OBJECTIVES:**

To improve the Nation's public health system by strengthening the technical, scientific, managerial and leadership competencies and capabilities of the current and future public health workforce. Emphasis is placed on developing the existing public health workforce as a foundation for improving the infrastructure of the public health system and helping achieve the Healthy People 2020 Objectives. With respect to a public health training center, applicants must agree to: (1) specifically designate a geographic area, including medically underserved populations, e.g., elderly, immigrants/refugees, disadvantaged, to be served by the Center that shall be in a location removed from the main location of the teaching facility of the school participating in the program with a Center; (2) assess the public health personnel needs of the area to be served by the Center and assist in the planning and development of training programs to meet their needs; (3) establish or strengthen field placements for students in public or nonprofit private public health agencies or

organizations; and (4) involve faculty members and students in collaborative projects to enhance public health services to medically underserved communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant funds may support salaries, stipends, consultant costs, equipment, and travel as requested to develop and implement a Public Health Training Center. Grant funds may not be used for construction, patient services or student tuition.

**Applicant Eligibility:**

Accredited schools of public health or other public or nonprofit private institutions accredited for the provision of graduate or specialized training in public health may apply.

**Beneficiary Eligibility:**

Accredited schools of public health or other public or nonprofit private institutions accredited for the provision of graduate or specialized training will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods for FY 2011 awards are for up to 5 years and new starts in FY2011 are for an up to 4 year project period in order to realign grantee cohorts to the same cycle for the next grant competition. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the

centralized web based payment system for HHS awards.

**Reports:**

**Status Reports**

1. Submit a Financial Report. A financial report is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year.

2. Submit a Progress Report(s).

All Bureau of Health Professions grantees are required to submit a progress report to HRSA on an annual basis. This report entitled, BHPPr Progress Report, has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data to measure the Bureaus progress through its grantees in: (1) improving the distribution, diversity, and quality of the healthcare workforce, (2) improving the educational environment infrastructure, and (3) increasing students selection of primary care education.

Progress reports are generally due in August each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

3. Submit a Final Report.

All BHPPr grantees are required to submit a final report within 90 days after the project period ends. The final report collects program-specific goals, core performance measurement data, grantee objectives and accomplishments, barriers encountered, and responses to summary questions regarding the grantees overall experiences over the entire project period. The final report must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. See above. A Financial Status Report (FSR) is required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end the project period. Refer to funding opportunity announcement for additional information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Financial Status Report (FSR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$14,829,234; FY 11 est \$19,965,094; and FY 12 est \$19,897,500

**Range and Average of Financial Assistance:**

(FY 2011) \$129,748 to \$650,000; \$620,343 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: For FY 2011, 27 non-competing continuation and 4 competing awards are anticipated. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Wendy Braund, MD, MPH, MEd, Chief of the Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Phone: (301) 443-6867. E-mail: [wbraund@hrsa.gov](mailto:wbraund@hrsa.gov).

Magnus A. Azuine, PhD, MSc, MPH, CHAS, Public Health Analyst, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6529 and E-mail address at [mazuine@hrsa.gov](mailto:mazuine@hrsa.gov).

**Headquarters Office:**

Wendy Braund, MD, MPH, MEd Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, Maryland 20857 Email: [wbraund@hrsa.gov](mailto:wbraund@hrsa.gov) Phone: (301) 443-6867

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.249 Public Health Training Centers Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

See guidance at: [www.grants.gov](http://www.grants.gov).

**93.519 AFFORDABLE CARE ACT (ACA) CONSUMER ASSISTANCE PROGRAM GRANTS**

Consumer Assistance Program Grants

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

The Public Health Service Act Section 2793, as amended by Section 1002 of the ACA.

**OBJECTIVES:**

To assist consumers with filing complaints and appeals, assist consumers with enrollment into health coverage, and educate consumers on their rights and responsibilities. In addition, by law they will collect data on consumer inquires and complaints to help the Secretary identify problems in the marketplace and strengthen enforcement. Starting in 2014, programs must also help resolve problems with premium credits for Exchange coverage.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants Funds are to be used as outlined in Section 1002 of the Affordable Care Act (ACA). Section 1002 also includes specific restrictions for these grant funds. Grant funds are to be used as outlined in Section 1002 of the Affordable Care Act (ACA).

**Applicant Eligibility:**

Consumer Assistance program grants are grants to States.

**Beneficiary Eligibility:**

Projects will benefit (1) Consumer Assistance Program.

**Credentials/Documentation:**

Applicants should review the funding opportunity announcement documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. OCIO requires all applicants to apply electronically through Grants.gov

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the OCIO program with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Refer to funding opportunity announcement for applicable appeals procedures.

**Renewals:**

Section 1002 of the ACA provides for appropriated funds FY 2010; such sums are authorized but not appropriated for FY 2011 and thereafter.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Section 1002 of the ACA states that grants shall main available without fiscal year limitation. Method of awarding/releasing assistance: lump sum.

**Reports:**

As required under Public Health Service Act (PHSA) Section 2793(d), awardees are expected to submit an initial data collection report to HHS with six (6) months from the date of award. After the data collection report submission, quarterly data collection reports will be required. Quarterly data collection reports will be due 30 days after the end of each quarter. Awardees must also agree to respond to request and provide data on consumer assistance activities as needed by the Secretary. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access grant funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Refer to funding opportunity announcement for required reports. Submit a Financial Status Report (FSR or SF-269) directly to OS. The report identifies cash expenditures against the authorized funds for the grant. The Financial Status Report must be filed annually. Failure to submit the report may result in the inability to access subsequent grant funds. Performance monitoring may include training, technical assistance, conference calls, and seminars.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records and progress reports 3 years after the date they submit the final Federal Financial Report. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0111-0-1-551.

**Obligations:**

(Salaries) FY 10 Not Available; FY 11 est \$29,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Minimum is \$120,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: To provide assistance to consumers in navigating the health insurance markets. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments or 45 CFR Part 74 for institutions of higher education, hospitals, other non profit organizations and commercial organizations, as applicable.

OCIO awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://dhhs.gov/asfr/ogapa/aboutog/ogpoe.html>

**Regional or Local Office:**

See Regional Agency Offices. Eliza Navarro Bangit, Office of Insurance Oversight, Office of Consumer Information and Insurance Oversight, Department of Health and Human Services, HHH Building, 200 Independence Ave., S.W., Washington D.C. 20201.

**Headquarters Office:**

Michelle T. Feagins, 200 Independence Ave., SW, Washington, District of Columbia 20201 Email: [michelle.feagins@hhs.gov](mailto:michelle.feagins@hhs.gov) Phone: (202) 260-6121.

**Website Address:**

<http://http://www.hhs.gov/ociio/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in Section V--Application Review in the funding opportunity announcement.

**93.520 CENTERS FOR DISEASE CONTROL AND PREVENTION AFFORDABLE CARE ACT (ACA) COMMUNITIES PUTTING PREVENTION TO WORK**

Centers for Disease Control and Prevention Affordable Care Act (ACA) Communities Putting Prevention to Work

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under section 301(a) and 317(k)(2) Health Care and

Education Affordability Reconciliation Act of 2010, Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2311.

**OBJECTIVES:**

This funding was appropriated under the Health Care and Education Affordability Reconciliation Act of (Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) (2) to reduce Chronic Disease risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions. This initiative will address the following: Increased levels of physical activity Improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats); Decreased smoking prevalence and decreased teen smoking initiation; and Decreased exposure to secondhand smoke.

Communities funded under this announcement will accomplish this by implementing population-based approaches such as policy, systems, and environmental changes across 5 evidence-based strategies access, media, point of decision information, social support services, and price in both schools and communities. Both components are necessary to achieve behavior change in youth that sustain from school settings into family and community settings, and supports sustaining healthy behavior into adulthood. Communities funded by this announcement will receive a menu of evidence-based interventions along with support and tools from the Centers for Disease Control and Prevention (CDC) to strengthen and develop effective strategies tailored to their needs.

The cooperative agreements will address the Healthy People 2010 focus areas of obesity, cardiovascular disease, tobacco, and educational and community-based programs; the Health Protection Goals of Healthy People in Every Stage of Life which states that all people, and especially those at greater risk of health disparities, will achieve their optimal lifespan with the best quality of health in every stage of life, and Healthy People in Healthy Places which states that the places where people live, work, learn, and play will protect and promote their health and safety, especially those at greater risk of health disparities..

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Of the \$34 million dollars will be used to support intensive community approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows:

Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions in the following areas; to increased levels of physical activity, improved nutrition (e.g. increased fruit/vegetable consumption, reduced

salt and trans fats); decreased smoking prevalence and decreased teen smoking initiation; and to decreased exposure to secondhand smoke.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Recipients may not spend more than 10% of the total award on nicotine replacement therapy.

**Applicant Eligibility:**

Eligible applicants that can apply for this funding opportunity are listed below:

All grant applications not funded under DP09-912ARRA consisting of Federally recognized Tribal Governments, Regional Area Indian Health Boards, Urban Indian organizations, and Inter-Tribal Councils as designated by the Principal Tribal elected official or chief executive officer County/City Health Departments

The official state health department (or its bona fide agent), or its equivalent, as designated by the Governor, is to serve as the lead/fiduciary agency for Small City and Rural Community applications. For this announcement, the term State includes the 50 states, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American

Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.

The official local health department (or its bona fide agent), or its equivalent, as designated by the mayor, county executive, or other equivalent governmental official.

All grantees funded under funding opportunity announcement CDC-RFA-DP09-901 and CDC-RFA-DPPO-902 which are all official state health departments (or its bona fide agent) of the 50 states, the District of Columbia, Puerto Rico and the U.S. Virgin Islands, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.

**Beneficiary Eligibility:**

Any State, local health department (as described above), and other public entities will benefit.

**Credentials/Documentation:**

Applicants will be required to provide the following information: Demonstrate that they have a coalition in place with experience in promoting health promotion or prevention of chronic disease outcomes or experience that relates to improving chronic disease outcomes, including the capacity to influence policy, system and/or environmental changes in the community. Demonstrate that they have an existing community action plan in place related to improving behaviors that lead to chronic diseases through changing policy, systems and/or environment. Provide documentation that they have received a grant of sufficient size to indicate the ability to adhere to Federal requirements and to expend a large amount of funds in the project period outlined by the Communities Putting Prevention to Work Initiative. Ensure that at least 50% of the total award is spent extramurally. Provide letters of support from school districts indicating support for implementing the YRBS survey for baseline and follow-up data.

Successful applicants will also be required to meet quarterly benchmarks for the Communities Putting Prevention to Work Initiative. At the end of each quarter, the grantee will receive a score card that indicates the percentage of benchmarks being met (100%-70% of benchmarks = green; 70%-50% of benchmarks = yellow; less than 50% of benchmarks = red). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the SF424 application forms through Grants.gov/Apply. Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: PGOTIM@cdc.gov. HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

**Award Procedure:**

All applications that were complete and responsive under FOA DP09-912ARRA to this competitive funding opportunity announcement were evaluated for programmatic and technical merit. Applications were reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the National Center for Chronic Disease Prevention and Health Promotion and PGO. Incomplete applications and applications that were non-responsive to the eligibility criteria did not advance through the review process. Applicants were notified the application did not meet submission requirements.



The panel was comprised of a primary, secondary, and tertiary reviewer that will score the applications and document their strengths and weaknesses. The applications were scored against the criteria not against one another. Successful applicants received a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

A technical review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcements D09-901 and DP09-902.

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding under the Affordable Care Act (ACA).

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: Until April 30, 2012. Method of awarding/releasing assistance: lump sum.

**Reports:**

Recipients of Federal awards from funds authorized under Health Care and Education Affordability Reconciliation of Act of 2010 must comply with all requirements specified in: (a) The amount of unobligated award balances; (b) A detailed list of all projects or activities for which Health Care Reform Act funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment; (c) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient. (d) Recipients must account for each Health Care Reform Act award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down Health Care Reform Act funds on an award-specific basis. Pooling of Health Care Reform Act award funds with other funds for drawdown or other purposes is not permitted. (e) Recipients must account for each Health Care Reform Act award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. No cash reports are required. Recipients of Federal awards from funds authorized under Health Care and Education Affordability Reconciliation of Act of 2010 must comply with all requirements specified in: (a) The amount of unobligated award balances; (b) A detailed list of all projects or activities for which Health Care Reform Act funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment; (c) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient. (d) Recipients must account for each Health Care Reform Act award and

sub-award (sub-grant and sub-contract) separately. Recipients will draw down Health Care Reform Act funds on an award-specific basis. Pooling of Health Care Reform Act award funds with other funds for drawdown or other purposes is not permitted. (e) Recipients must account for each Health Care Reform Act award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$34,000,000; FY 11 est \$4,923,529; and FY 12 est \$0 - Estimate for FY11 to support ACA Quitline program. 1 year budget/project period.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Accomplishments will be identified at the end of the 2 year budget/project period. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

MEMORANDUM FOR THE HEADS OF DEPARTMENTS AND AGENCIES: Updated Implementing Guidance for the American Recovery and Reinvestment Act of 2009  
Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

Mike Waller, 4770 Buford Hwy, NE, Mailstop K45, Atlanta, Georgia 30341  
Email: MNW1@cdc.gov Phone: (770) 488-5264.

**Website Address:**

<http://www.cdc.gov/>; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding would be specifically directed to state and local health departments for Evidenced-Based Clinical and Community-Based Prevention and Wellness activities. CDC will require state applicants to specifically address in their applications state plans for sustaining the impact of Health Care Reform Act investments beyond the federal funding provided in the next two years. Specifically, states will need to demonstrate a continued plan for progress toward meeting HHS Action Plan prevention targets as demonstrated through reporting metrics outlined in the Plan. Other criteria will be listed in individual funding opportunity announcements.

**93.521 THE AFFORDABLE CARE ACT: BUILDING EPIDEMIOLOGY, LABORATORY, AND HEALTH INFORMATION SYSTEMS CAPACITY IN THE EPIDEMIOLOGY AND LABORATORY CAPACITY FOR INFECTIOUS DISEASE (ELC) AND EMERGING INFECTIONS PROGRAM (EIP) COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Patient Protection and Affordable Care Act (Public Law 111-148), Title IV, Section 4002; Public Health Service Act (PHS Act), Section 301 and 317, 42 U.S.C 241 and 247b.

**OBJECTIVES:**

Funding was appropriated under regular CDC appropriations, HHS/CDC H1N1 appropriations, and the Patient Protection and Affordable Care Act (the Affordable Care Act) (Public Law 111-148). The Prevention and Public Health Fund (Title IV, Section 4002) was established under PPACA to provide for expanded and sustained national investment in prevention and public health programs to improve health and help restrain the rate of growth in private and public sector health care costs. The Epidemiology and Laboratory Capacity for Infectious Diseases (ELC) and Emerging Infections Program (EIP) cooperative agreements were formed in 1995 as key components of CDC's national strategy to address and reduce emerging infectious disease (EID) threats. The programs play a critical role in strengthening national infectious disease infrastructure by serving as collaborative platforms for state and local health departments, CDC programs, and academic and various other public health partners to improve the ability to detect and respond to EIDs and other public health threats. Specifically, the programs build epidemiology, laboratory, and information systems capacity, integrate epidemiology and laboratory practice, implement active surveillance, and conduct targeted research aimed at improving methods and informing national surveillance and response activities. Overall, additional funds from multiple sources including PPACA will allow ELC and EIP partner agencies to substantially address gaps in EID epidemiology and laboratory capacity (e.g. number and training level of epi and lab staff, efficient/functional information systems, etc).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, organizing, and the implementation of other program elements to build public health epidemiology, laboratory, and health information systems capacity. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual. Funds may not be used for clinical care.

**Applicant Eligibility:**

Eligible applicants include the current ELC and EIP grantees which consists of all 50 states, Washington, D.C., 5 largest local health departments (Chicago, Illinois; Houston Texas; Los Angeles, California; New York City, New York; Philadelphia, Pennsylvania;), Puerto Rico, and the Republic of Palau or their bona fide agents.

**Beneficiary Eligibility:**

State health departments, large local health departments, the District of Columbia, U.S. Territories, and the general public.

**Credentials/Documentation:**

Credentials and or documentation are required. OMB Circular No. A-87 applies

to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov).

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

**Award Procedure:**

Applications that are complete and responsive will be evaluated for scientific and technical merit and receive support. CDC will not review incomplete and non-responsive applications. Applications that are complete and responsive will undergo an objective review process (ELC) or a peer review process (EIP), receive a written critique and be scored according to the published review criteria. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer. Initial award provides funds for the first budget period (usually 12 months) and the NOA will indicate support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. About 120 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon availability of funding under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period within project periods ranging from one to five years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. No later than 10 days after the end of each calendar quarter, starting with the quarter ending December 31, 2010 and reporting by January 10, 2010 the recipients must submit a calendar quarter cash transaction report (SF-272 or top portion of the SF-425 Financial Report Form) to the Payment Management System (PMS). Each funded applicant must provide an interim and annual progress report. The interim progress report is due no less than 90 days before the end of the specified budget period. The Interim Progress Report will serve as the non-competing continuation application. Financial Status Reports (SF 269) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are required, no more than 90 days after the end of the project period. All reports must be submitted to the Grants Management Specialist indicated in the NOA.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$31,740,054; FY 11 est \$54,209,916; and FY 12 est \$50,000,000 - FY2010: \$31,740,054 was awarded. This consists of \$19,200,000 Affordable Care Act funding and approximately \$12,540,054 other FY11 funding.

FY2011: Approximately \$54,209,916 in new FY11 cooperative agreement funding will be made available. This consists of approximately \$50,306,140 Affordable Care Act funding and approximately \$3,903,776 other FY11 funding.

FY2012: Approximately \$50,000,000 in cooperative agreement funding will be made available.

**Range and Average of Financial Assistance:**

ELC: Awards in FY2011 will range from approximately \$120,000 to \$2,500,000 with an average of approximately \$935,000.

EIP: Awards in FY2011 will range from approximately \$350,000 to \$750,000 with an average of approximately \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 58 applications were received and funded under the ELC cooperative agreement.

10 applications were received and funded under the EIP cooperative agreement.

Fiscal Year 2011: It is anticipated that FY2011 continuation funding will be provided for all 68 grantees (58 ELC + 10 EIP) funded in FY2010. Fiscal Year 2012: FY2012 will be a competitive year so the number of awards is unknown at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b.

Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hhsolicy.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Greg J. Jones, Acting Branch Chief, Scientific and Program Services Branch, Division of Preparedness and Emerging Infections (proposed), National Center for Emerging and Zoonotic Diseases (proposed), Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE

Mailstop C10, Atlanta, Georgia 30333 Email: GJJ1@cdc.gov Phone: (404) 639-4180 Fax: (404) 639-3106.

**Website Address:**

<http://www.cdc.gov>; [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) clearly provide a plan that includes quantitative process and outcome measures (2) provide adequate and clear information to enable the reviewer to gain a reasonable understanding of the applicants recent and current efforts to address the issues and (3) provide a realistic plan with activities that can be achieved in year one and subsequent years. Other criteria will be listed in the individual funding opportunity announcement.

**93.522 AFFORDABLE CARE ACT (ACA) PREVENTION CENTER FOR HEALTHY WEIGHT**

Prevention Center

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title V, Section 501(a)(2) Social Security Act (42 U.S.C. 701) and Section 4002 of the Patient Protection and Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

The Department of Health and Human Services (DHHS), Health Resources and Services Administration (HRSA), Office of Planning, Analysis and Evaluation (OPAE) announced the availability of funding for a cooperative agreement in Fiscal Year (FY) 2010 to support the Prevention Center for Healthy Weight (PC) to plan, implement and manage a Healthy Weight Collaborative (HWC) as well as recruit and support at least 50 community teams participating in the HWC. The authority for this program is Title V, Section 501(a)(2) Social Security Act (42 U.S.C. 701) and Section 4002 of the Patient Protection and Affordable Care Act (P.L. 111-148).

Aligning with Administration and Departmental activities related to Healthy Weight and HRSA's strategic plan, the mission of the HWC is to discover, develop, and disseminate evidence-based community-based and promising clinical interventions to prevent and treat obesity for children and families. The cooperative agreement awardee will do the following:

Plan, implement, and manage the HWC;

Provide technical assistance to community teams to improve approaches to prevent and treat overweight and obesity in their respective communities;

Improve quality of care to prevent and treat overweight and obesity through understanding of quality improvement concepts, tools, and techniques;

Support teams participating in the HWC; and

Demonstrate a commitment to long-term sustainability of the project after the Federal period of support.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The awardee will engage at least 50 multi-sector, place-based teams from all over the country. At a minimum, these teams will represent primary care, public health, and those from other relevant sectors (e.g., schools, parks, housing, transportation, business). Teams will engage in a variety of activities and interventions to help local communities, states and other interested groups develop practical approaches that link public health and primary care to prevent and treat obesity for children and families. Using established quality improvement techniques, the Prevention Center will provide training and support to teams and track team progress on standardized measures.

The Collaborative will build on the Breakthrough Series methodology, a proven quality improvement approach for rapidly spreading successful changes pioneered by the Institute for Healthcare Improvement. A web portal will facilitate communication within and between teams, as well as provide a vehicle to report and share data about progress. Teams will meet together, either face-to-face or virtually, three times each year, and will receive technical assistance from faculty with expertise in prevention and treatment of obesity and improvement science. Areas of the web site will be accessible to the general public, with information, tools and resources to help communities and

families maintain or achieve a healthy weight. The Collaborative will proceed in two phases. In phase one, 10 teams with previous experience in cross-sector collaboration will participate in both in-person and virtual Learning Sessions. In phase two, at least 40 additional teams will participate in an entirely virtual Collaborative. Funds may not be used to support the following: the delivery of health care services, construction, alteration or renovation.

**Applicant Eligibility:**

Any public or private entity, including an Indian tribe or tribal organization (as those terms are defined at 25 USC 450(b)) is eligible to apply.

**Beneficiary Eligibility:**

See above for additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applicants are required to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 3 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Applicants responding to this announcement may request funding for a project and budget period of up to 30 months. See the following for information on how assistance is awarded/released: Awardees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Status Reports:

- 1) Submit a Financial Report. A financial report is required within 90 days of the end of each budget period. It is submitted electronically through the HRSA EHBs. The report is an accounting of expenditures under the project that year. More specific information will be included in the award notice.
- 2) Submit a Progress Report(s). Further information will be provided in the award notice.
- 3) Submit a Final Report.  
A final report is due within 90 days after the project period ends. The final report collects program-specific goals, core performance measurement data, awardee objectives and accomplishments, barriers encountered, and responses to summary questions regarding the awardees overall experiences over the entire project period. The final report must be submitted on-line by awardees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. Submit a quarterly electronic

Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the cooperative agreement. The FFR Cash Transaction Reports must be filed within 30 days of the end of the quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Further information will be provided in the award notice. A financial report is required within 90 days of the end of each budget period. It is submitted electronically through the HRSA EHBs. The report is an accounting of expenditures under the project that year. More specific information will be included in the award notice. Further information will be provided in the award notice.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients are required to maintain cooperative agreement accounting records 3 years after the date they submit the final Federal Financial Report. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$5,000,000; FY 11 est \$0; and FY 12 est \$5,000,000

**Range and Average of Financial Assistance:**

One Cooperative Agreement will be funded for \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Natasha Coulouris  
5600 Fishers Lane, 14-57  
Rockville, MD 20857  
(301) 443-0177.

**Headquarters Office:**

Rachel Clement 5600 Fishers Lane, 14-57  
, Rockville, Maryland 20857 Phone: (301) 443-8747

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal objective review panels for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See Section V - Application Review Information in the funding opportunity announcement.

### **93.523 THE AFFORDABLE CARE ACT: HUMAN IMMUNODEFICIENCY VIRUS (HIV) PREVENTION AND PUBLIC HEALTH FUND ACTIVITIES**

The Affordable Care Act: Human Immunodeficiency Virus (HIV) Prevention and Public Health Fund Activities

#### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Executive Order This program is authorized under Sections 317, 317(k)(2), 318 and 318B of the Public Health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended, 42 U.S.C. 247b, 247b(k)(2); Patient Protection and Affordable Care Act, Executive Order This program is authorized under the Patient Protection and Affordable Care Act (Public Law 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs, Title IV, Section 4002, Public Law 111-148, Stat. 124-1025, 42 U.S.C.

#### **OBJECTIVES:**

Program activities under this funding will allow for CDC partnership with state and local health departments and other agencies to substantially reduce HIV risk and incidence. Specifically, the program activities may include but are not limited to:

1. Expanded and improved surveillance activities, including a laboratory reporting supplement to the current surveillance program to enable state and local health departments to improve the reporting of HIV laboratory data with special emphasis on CD4 and VL test results.
2. Increased HIV testing and linkage to care services.
3. Comprehensive HIV prevention activities, including the implementation of a structured, evidence-based collection of HIV prevention interventions in a limited number of jurisdictions with the most cases of AIDS. Interventions will include HIV testing, linkage and retention in care, Prevention with Positives including antiretroviral therapy and behavioral interventions, prioritized behavioral interventions for people at highest risk of HIV infection, condom distribution, and enhanced policy, systems, and environmental approaches.
4. Activities to support the above efforts, including program monitoring and evaluation, capacity building, and technical assistance.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, data collection, organizing, and the implementation of program elements to build HIV prevention and public health capacity. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

#### **Applicant Eligibility:**

Eligible applicants include state and local governments or their Bona Fide Agents.

#### **Beneficiary Eligibility:**

State and local health departments, U.S. Territories, and the general public will benefit.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov)

#### **Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer and emailed to the program director and a hard copy mailed to the recipient fiscal officer identified in the application.

Unsuccessful applicants will receive notification of the results of the application review by mail.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days. About 120 days from receipt of application.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Renewals will be based upon the conditions in the funding announcement and are subject to the availability of funds under the Patient Protection and Affordable Care Act.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period. See the following for information on how assistance is awarded/released: xxx.

#### **Reports:**

The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports (SF 269) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports (SF 269) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure

that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-1043-0-1-550.

**Obligations:**

(Salaries) FY 10 \$21,600,000; FY 11 est \$0; and FY 12 est \$11,600,000

**Range and Average of Financial Assistance:**

Awards will range from approximately \$85,000 to \$1,700,000 with an average of approximately \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hhspolicy.htm>

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: [rdc2@cdc.gov](mailto:rdc2@cdc.gov) Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>; [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by Division of HIV/AIDS Prevention (DHAP), NCHHSTP and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application and Submission Information, subsection Evaluation Criteria within the individual funding announcement. Applicants will be notified if their application did not meet program requirements.

**93.524 THE AFFORDABLE CARE ACT (ACA): CAPACITY BUILDING ASSISTANCE TO STRENGTHEN PUBLIC HEALTH INFRASTRUCTURE AND PERFORMANCE**

CBA to Strengthen Public Health Infrastructure and Performance

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under sections 301 and 317 of the Public Health Service Act (PHS Act), 42 U.S.C. 241 and 247b as amended, and the Patient Protection and Affordable Care Act (Public Law 111-148), Title IV, Section 4002 (Prevention and Public Health Fund), Title IV, Section 4002.

**OBJECTIVES:**

This funding was appropriated under the Patient Protection and Affordable Care Act (PPACA) (PL 111-148). The Prevention and Public Health Fund (Title IV, Section 4002) was established under this legislation to provide for expanded and sustained national investment in prevention and public health programs to improve health and help restrain the rate of growth in private and public sector health care costs.

This program will help state, tribal, local and U.S. territorial health departments by making available to them capacity building assistance (including technical consultation, skills building/training, information, and technology transfer assistance) that will improve: 1) the planning, coordination, and implementation of public health infrastructure investments, and 2) the evaluation (including dissemination of best practices) of public health infrastructure investments.

The overall goal of capacity building assistance is to ensure improvements in the public health infrastructure so that it is prepared for responding to both acute and chronic threats relating to the Nations health such as emerging infections, disparities in health status, and increases in chronic disease and injury rates.

This supplement for capacity building assistance will be focused on the provision of technical consultation, skills building/training, information, and technology transfer assistance to ensure successful planning, implementation, coordination and evaluation of the key areas for public health infrastructure investments. This expert assistance will prepare states, tribal, local and territorial health departments to successfully implement PPACA. Some of the capacity building needs are in the following areas:

Improving the public health workforce (e.g., e-learning, other training, and fellowship programs); vital statistics system (electronic birth and death registration); food and water borne disease identification and prevention, prevention of hospital acquired infections, electronic health record/IT systems, communications systems and processes (e.g. information syndication and social media capacity), laboratory and epidemiologic capacity.

Developing information systems to support adoption, implementation, enforcement, and/or evaluation of public health legislation, codes, rules, regulations, ordinances, and other policies.

Improving public health system development/redevelopment by building or reengineering of infrastructure to improve networking, coordination, standardization, and centralization of public health services to effectively and efficiently address priority health indicators.

Implementing best health care practices and impact evaluation

Improving information and data system capacity through policy/communication for standardized data collection and analysis systems, information management technology, information dissemination, and meaningful data use and translation

Improving organizational capacity to effectively and efficiently use resources such as fiscal agents, and intermediaries, and

Improving technical and program guidance and evaluation of preventive services to expand coverage for community and clinical preventive services. This includes technical consultation and promotion on the adoption and utilization of the recommendations from the Guide for Community Preventive Services.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with providing capacity building assistance to strengthen State, Tribal, Local, and Territorial public health infrastructure investments. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies (including training materials), and services, such as contractual.

Applicants will be required to participate, comply, and cooperate with CDC for any reporting requirements stipulated by, or mandated for, the receipt of PPACA funding. PPACA funding is intended to be used only in support of PPACA programs and projects.

**Applicant Eligibility:**

Eligible applicants are limited to national, non-profit, public health professional organizations funded through the competitive funding opportunity

announcement HM08-805. These organizations include: the Association of State and Territorial Health Officials (ASTHO), the National Association of County and City Health Officials (NACCHO), the American Public Health Association (APHA), the Council of State and Territorial Epidemiologists (CSTE), the Public Health Foundation (PHF), the Public Health Accreditation Board (PHAB), The National Network of Public Health Institutes (NNPHI), the Task Force for Global Health/Public Health Informatics Institute (TFGH/PHII), the National Association of Local Boards of Health (NALBOH), the Public Health Data Standards Consortium (PHDSC), and the Association of Maternal and Child Health Programs (AMCHP).

**Beneficiary Eligibility:**

State health departments, large local health departments supporting cities with populations of 1 million or more inhabitants, the District of Columbia, U.S. Territories, tribal health organizations and the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Allowable costs will be determined in accordance with OMB Circular No. A-87 for non-profit non-governmental organizations.

Pre-application coordination is not required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

Applicants must download supplemental application forms from [www.Grants.gov](http://www.Grants.gov). Supplemental applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov).

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov)

**Award Procedure:**

Supplemental applications that are complete and responsive will be evaluated for scientific and technical merit and receive support. CDC will not review incomplete and non-responsive applications. Applications that are complete and responsive will undergo and objective review process, receive a written critique and be scored according to the published review criteria. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer. Initial award provides funds for the first budget period (usually 12 months) and the NOA will indicate support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon availability of funding under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period within project periods ranging from one to three years. Method of awarding/releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

Each funded applicant must provide an interim and annual progress report. The interim progress report is due no less than 90 days before the end of the specified budget period. The Interim Progress Report will serve as the non-competing continuation application. The annual progress report is due no less than 90 days after the end of the budget year (05/31). No later than 10 days after the end of each calendar quarter, starting with the quarter ending December 31, 2010 and reporting by January 10, 2011, the recipients must submit a calendar quarter cash transaction report (SF-272 or top portion of the SF-425 Financial Report Form) to the Payment Management System (PMS). Each funded applicant must provide an interim and annual progress report. The interim progress report is due no less than 90 days before the end of the specified budget period. The Interim Progress Report will serve as the non-competing continuation application. The annual progress report is due no less than 90 days after the end of the budget year (05/31). Financial Status Reports (SF 269) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are required, no more than 90 days after the end of the project period. Applicants selected for these competitive supplemental awards will be monitored by project officers to ensure accomplishment of approved objectives and activities (including development and dissemination of deliverables, and number of training and technical assistance episodes delivered), and for capacity building outcomes such as adoption of best practices by state, tribal, local and territorial health departments and increases in the implementation and evaluation of public health infrastructure investments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 10 \$6,782,000; FY 11 est \$7,880,949; and FY 12 est \$7,880,949 - The projection that was originally entered for FY 2010 was predicated on dollars projected from the administering center for this CoAg. Ultimately, additional centers in CDC also awarded funds, bringing the initial \$4M estimate up to the actual FY10 amount of \$6,782,000.

**Range and Average of Financial Assistance:**

The range is between \$.5M and \$4M, and the average would be \$660,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hhspolicy.htm>

**Regional or Local Office:**

None.

**Headquarters Office:**

Samuel Taveras 1600 Clifton Road, MS-E70, Atlanta, Georgia 30333 Email: [syt2@cdc.gov](mailto:syt2@cdc.gov) Phone: (404) 498-1126 Fax: (404) 498-1112.

**Website Address:**

<http://www.cdc.gov>; [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.507 Strengthening Public Health Infrastructure for Improved Health Outcomes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) demonstrated track record of providing technical consultation, skills building/training, information, or technology transfer assistance to state, tribal, local and territorial health departments, (2) understanding of the capacity building infrastructure development needs of state, tribal, local, and territorial health departments, (3) a clear plan of action with objectives achievable in one year and subsequent years, and (4) a clear assessment strategy (plan) to measure the effectiveness of capacity building assistance in improving the planning, implementation, coordination, evaluation (including dissemination of best practices) of public health infrastructure investments. Other criteria will be listed in the individual funding opportunity announcement.

**93.525 STATE PLANNING AND ESTABLISHMENT GRANTS FOR THE AFFORDABLE CARE ACT (ACA)S EXCHANGES****FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Sections 1311 and 1323 of the Patient Protection and Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

To provide assistance for activities related to establishing an Exchange that facilitates the purchase of qualified health plans, provides for the establishment of a Small Business Health Options Program (SHOP Exchange), and meets the requirements set forth by the Secretary and the Affordable Care Act.

Refer to specific Exchange program funding opportunity announcement (FOA) for additional information on objectives.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant and cooperative agreement funds are to be used for activities related to setting up a health insurance Exchange. Please see the specific funding opportunity announcement for more information on how funds can be used.

**Applicant Eligibility:**

Eligible applicants for the FOA "State Planning and Establishments Grants for the Affordable Care Acts Exchanges" include the 50 States and the District of Columbia.

Eligible applicants for the FOA "Limited Competition for State Planning and Establishment Grants for the Affordable Care Act's Exchanges" include States which did not receive an award under the prior FOA "State Planning and

Establishment Grants for the Affordable Care Act's Exchanges" (i.e. Alaska and Minnesota).

Eligible applicants for the FOA "Territory Cooperative Agreements for the Affordable Care Act's Exchanges" include Territories, i.e. American Samoa, Guam, Northern Mariana Islands, Puerto Rico, and the United States Virgin Islands.

Eligible applicants for the FOA "Cooperative Agreements to Support Innovative Exchange Information Technology Systems" include the 50 States, the District of Columbia, and consortia of States.

Eligible applicants for the FOA "Cooperative Agreement to Support Establishment of State-Operated Health Insurance Exchanges" include States, the District of Columbia, and consortia of States, previously awarded funding under the FOA "State Planning and Establishment Grants for the Affordable Care Acts Exchanges."

**Beneficiary Eligibility:**

Projects will benefit States and Territories or entities authorized by the State or Territory that will set up Exchanges in States or Territories.

**Credentials/Documentation:**

Applicants should review the specific funding opportunity announcement documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications and required forms for each program can be obtained from [Grants.gov](http://Grants.gov). The Center for Consumer Information and Insurance Oversight (CCIIO) requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the CCIIO program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal Fiscal Year 2010: Grants awarded to 48 States and DC for a one year project period to conduct planning activities related to establishment of their Exchanges.

Federal Fiscal Year 2011: Grant funding for four funding opportunity announcements will be awarded in Federal Fiscal Year 2011 ranging from an up to one year project period to up to a four year project period, beginning on the date of award and up through December 31, 2014.

Federal Fiscal Year 2012: Establishment cooperative agreement funds will be awarded in 2011 and 2012 and may also extend through December 31, 2014.



Federal Fiscal Years 2013 and 2014: Establishment cooperative agreement funds awarded in 2011 or 2012 may extend through December 31, 2014. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. Submit a quarterly electronic Federal Financial Report (FFR) via the Payment Management System. The report identifies cash transactions against the authorized funds for the grant or cooperative agreement. The FFR must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access grant funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Quarterly Progress Reports- includes information on project status, implementation activities initiated, accomplishments, barriers, and lessons learned in order to ensure that funds are used for authorized purposes and instances of fraud, waste, error, and abuse are mitigated. Also includes changes in work plan components and progress on milestones, goals, objectives, and activities. Progress will be evaluated by the Project Officers and determinations regarding the approval of drawdowns will be based on the recipient's progress. Final project reports are also required.

Public Report - Recipients post information about the grants/cooperative agreements on their respective websites. Please see the specific FOA to determine if this is applicable.

Work Plan Updates - As necessary, recipients will provide CMS with documentation of substantive approved changes to their work plans. Please see the specific FOA to determine if this is applicable.

Periodic Gate Review - as described in the applicable funding opportunity announcement. On an annual basis, the Federal Financial Report (FFR) must also include information on expenditures. Failure to submit the report may result in the inability to access grant funds. Performance Review - as described in the applicable funding opportunity announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain grant accounting records 3 years after the date they submit the final Federal Financial Report. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0115-0-1-551.

**Obligations:**

(Project Grants) FY 10 \$48,790,077; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No floor or ceiling for award. Amounts are provided based on the wide range and complexity of applications.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: On September 30, 2010, \$48,790,077 was obligated to 48 States and DC for planning activities related to establishing an Exchange that facilitates the purchase of qualified health plans, provides for the establishment of a Small Business Health Options Program (SHOP Exchange), and meets the requirements set forth by the Secretary and the Affordable Care Act. Fiscal Year 2011: On February 16, 2011, \$241,550,522 was awarded through two-year grants to six States and one consortia of States that had ambitious yet achievable proposals that can yield IT models and best practices that will benefit all States.

\$1M was awarded to Minnesota under Limited Competition for State Planning and Establishment Grants for the Affordable Care Acts Exchanges Funding Opportunity Announcement on February 25, 2011. Limited Competition Grants awarded up to \$1M available for Exchange planning, open only to States that did not receive a Planning Grant in a previous funding cycle.

On March 22, 2011, \$3,917,205 was awarded in cooperative agreements of up to \$1M to each of four Territories, to begin preliminary Exchange establishment through Territory Cooperative Agreements for the Affordable Care Acts Exchanges.

The Cooperative Agreement to Support Establishment of State-Operated Health Insurance Exchanges funding opportunity was announced January 20, 2011 and provides States multiple opportunities to apply for funding as they progress through the Exchange establishment process, which accommodates their progress toward the establishment of an Exchange. Eligibility is limited to States, DC, and consortia of states previously awarded funding under the State Planning and Establishment Grants for the Affordable Care Act's Exchanges. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments. CCIIO awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://dhhs.gov/asfr/ogapa/aboutog/ogpoe.html>.

**Regional or Local Office:**

See Regional Agency Offices. Michelle T. Feagins, Office of Acquisition and Grants Management, Centers for Medicare and Medicaid Services, Department of Health and Human Services, 200 Independence Ave, SW, Washington DC 20201.

**Headquarters Office:**

Michelle T. Feagins, 200 Independence Ave., SW. , Washington, District of Columbia 20201 Email: [michelle.feagins@hhs.gov](mailto:michelle.feagins@hhs.gov) Phone: (301) 492-4312.

**Website Address:**

<http://www.cciio.cms.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in Section V -Application Review and Selection Information - of the specific funding opportunity announcement.

**93.526 AFFORDABLE CARE ACT (ACA) GRANTS FOR CAPITAL DEVELOPMENT IN HEALTH CENTERS**

ACA Capital Development Grants

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Patient Protection and Affordable Care Act of 2010, Section 10503, P.L. 111-148, Title IV, Section 4101.

**OBJECTIVES:**

To award grants to Health Center Programs for Capital Development Grants for: 1) immediate facility improvements or 2) building capacity.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds will be used 1) to address immediate and pressing capital needs or 2) to support the costs of alteration/renovation or construction of a facility that is consistent with the Health Center Programs mission to provide comprehensive, culturally competent, quality primary healthcare services to

medically underserved communities and vulnerable populations.

**Applicant Eligibility:**

Eligibility is limited to currently-funded health centers (see funding opportunity for additional eligibility information).

**Beneficiary Eligibility:**

Populations in medically underserved areas.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcements issued under the relevant program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligibility is limited to currently-funded grantees under the Health Center Program.

HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the specific funding opportunity announcements issued for additional information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grant funds will be awarded for up to two or three year budget/project periods. See the following for information on how assistance is awarded/released: Refer to the relevant funding opportunity announcement for additional information. After Notices of Award are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System.

**Reports:**

Refer to the relevant funding opportunity announcements for additional information. Refer to the relevant funding opportunity announcements for additional information. Refer to the relevant funding opportunity announcements for additional information. Refer to the relevant funding opportunity announcements for additional information. Refer to the relevant funding opportunity announcements for additional information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$732,000,000; and FY 12 est \$700,000

**Range and Average of Financial Assistance:**

Varies. See specific Funding Opportunity Announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Matthew Kozar Bureau of Primary Health Care, Health Resources and Services Administration, 5600 Fishers Lane, Room 17C-26, Rockville, Maryland 20857  
Phone: (301) 443-1034

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.703 ARRA Health Center Integrated Services Development Initiative[g1]

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the funding opportunity announcement issued under this CFDA program for specific information on the review criteria used in evaluating all applications.

**93.527 AFFORDABLE CARE ACT (ACA) GRANTS FOR NEW AND EXPANDED SERVICES UNDER THE HEALTH CENTER PROGRAM**

ACA Grants for New and Expanded Services under the Health Center Program  
**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title III, Section 330 of the Public Health Service Act as amended (42 U.S.C. 254b), as amended by Section 10503 of The Patient Protection and Affordable Care Act (P.L. 111-148), Public Law 111-148.

**OBJECTIVES:**

To provide for expanded and sustained national investment in community health centers funded under section 330 of the Public Health Service Act.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Applications should be designed to improve the availability, accessibility and provision of primary health care services. Funds should not be used for inpatient services, or to make cash payments to intended recipients of services. Refer to the funding opportunity announcement under this CFDA number for additional information.

**Applicant Eligibility:**

Eligible applicants for funding new access points are public and private non-profit entities, including faith-based and community-based organizations that have the capacity to effectively administer the grant. Eligible applicants for funding expanded services are grantees currently funded as Health Centers under section 330 of the Public Health Service Act. Refer to the funding opportunity announcement under this CFDA number for additional information.

**Beneficiary Eligibility:**

Population groups in medically underserved areas.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award (NoA).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the funding opportunity announcement under this CFDA program for specific information.

**Appeals:**

Not Applicable.

**Renewals:**

Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, compliance with applicable statutory and regulatory requirements, demonstrated organizational capacity to accomplish the projects goals, and a determination that continued funding would be in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are made annually. After Notices of Grant Award (NoGA) are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Refer to the specific funding opportunity announcement under this CFDA program for additional information. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Refer to the funding opportunity announcement under this CFDA program for additional information. Refer to the funding opportunity announcement under this CFDA program for additional information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$28,800,000; and FY 12 est \$200,000,000

**Range and Average of Financial Assistance:**

No current information.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is subject to the provision of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 75 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations. HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Northeast Division: (301) 594-4488; Central Southeast Division: (301) 594-4420; Southwest Division: (301) 480-1130; North Central Division: (301) 443-0111.

**Headquarters Office:**

Bureau of Primary Health Care, HRSA, 5600 Fishers Lane, Rockville, Maryland 20857 Phone: (301) 594-4110.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are available in the funding opportunity announcement under this CFDA program. In addition, all applicants are expected to demonstrate compliance with applicable requirements including the Health Center Program Expectations. In addition to these general requirements,

there are specific requirements and expectations for applicants requesting funding under each of the section 330 programs. Applicants are strongly encouraged to demonstrate compliance with these requirements and expectations in the application. Applicants requesting funding under multiple programs are expected to demonstrate compliance with the expectations and requirements of all of those programs.

### **93.528 NATIONAL FORUM FOR STATE AND TERRITORIAL CHIEF EXECUTIVES**

National Forum

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Section 301 of the Public Health Service Act, as amended.

#### **OBJECTIVES:**

The National Forum program assists governors and their key policy staff in the development and implementation of innovative solutions to health policy challenges in their States and Territories, including promising and/or evidence-based practices relating to health promotion and disease prevention, healthcare workforce development, health and social services delivery, and other emerging issues. Program goals include: (1) encourage the integration of HRSA's various primary care and public health activities, including supporting quality improvement methods and initiatives to drive the integration of public health practice, primary care delivery and the infrastructure which support these activities; (2) partner with, and seek alignment of projects with State and local government entities and programs that contribute towards population health and health policy development including health surveillance, health promotion, and prevention of disease and injury; (3) incorporate indicators of primary care and public health system integration such as establishing multi-stakeholder coalitions, aligning with national and regional health and human services initiatives; and (4) leverage and promote partnerships across different regions, disciplines, funding sources, and sectors. The National Forum will address cross-cutting publicly-funded health program integration and health access issues identified by the governors and their representatives including: addressing the needs of uninsured, underinsured and special needs populations; addressing implications of health reform provisions to achieve improved outcomes for beneficiaries and better services and value of state Medicaid programs; oral health; border health; and health information technology to improve access to quality health care and services, strengthen the health workforce, improve the health of individuals and populations, and improve health equity.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Develop and maintain an information clearinghouse for use by governors and their staff on issues that relate to health care access for underserved and vulnerable populations, to include the prevention, early detection, and control of disease, and strengthening the public health infrastructure and safety net systems in the States and Territories. Develop, print, and distribute issue briefs, articles, reports, or other documents relating to health care access, unmet population needs, provider capacity, the uses of existing data systems within States to address health care needs of the population, and the complexity of private sector initiatives for use by governors and their staff. Prepare issue briefs or convene regional or national meetings of State and Territorial executive branch employees and others, as appropriate, for discussion of public and private sector strategies and best practices in HRSA and DHHS priority issues. Address cross-cutting publicly funded health program integration and health access issues identified by the governors and high-ranking State and Territorial decision makers, including utilizing promising practices for integration of HRSA services and programs to support an improved health care system. Provide consultation to HRSA as key policy stakeholders from States and Territories in implementing an agency strategic approach for coordinating resources to support the integration of public health with effective, sustainable and accountable primary care services systems. Provide technical assistance to strengthen the ability of primary care systems, including the ability to detect,

educate, and manage communicable diseases and chronic disease conditions and co-morbidities, and to develop appropriate practice standards and procedures for disease prevention and management, and create emphasis on personal responsibility and health promotion for the achievement of a better quality of life. Promote and enhance the sharing of information and human expertise to strengthen the existing primary care and public health programs by strengthening collaborations with other governmental and nongovernmental entities and providing mechanisms to address gaps in services and resources. Provide assistance to HRSA, HRSA grantees, and the Department of Health and Human Services (DHHS) to address issues regarding the implementation of health reform provisions to achieve improved outcomes for beneficiaries. The full amount will be used to cover the activities described in the funding opportunity announcement.

#### **Applicant Eligibility:**

The National Forum must be a nonprofit, bi-partisan or nonpartisan organization that represents the governors and their staff of the 50 U.S. States, the commonwealths of the Northern Mariana Islands and Puerto Rico, the U.S. flag territories of American Samoa, Guam, and the Virgin Islands.

#### **Beneficiary Eligibility:**

See eligible beneficiaries listed above.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Funding beyond the first year is dependent on the availability of appropriated funds for the National Forum in subsequent fiscal years, awardee satisfactory performance, and a decision that continued funding is in the best interest of the Federal government.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

The project period is for up to three years. See the following for information on how assistance is awarded/released: Awardees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards. Electronic Federal Financial Report (FFR) Cash Transaction Reports must be submitted electronically via the Payment Management System within 30 days of the end of each calendar quarter. Failure to submit the report may result in the inability to access award

funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information.

**Reports:**

Refer to the HRSA funding opportunity announcement for additional information. Federal Financial Report (FFR) Cash Transaction Reports must be submitted electronically via the Payment Management System within 30 days of the end of each calendar quarter. The report identifies cash expenditures against the authorized funds for the grant or cooperative agreement. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. The awardee must submit a progress report to HRSA on an annual basis. For multi-year awards: Submission and HRSA approval of the Progress Report(s) triggers the budget period renewal and release of subsequent year funds. The progress report typically has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data including performance measurement data to measure the progress and impact of the project. An annual Federal Financial Report is required. The report is an accounting of expenditures under the project that year. More specific information will be included in the Notice of Award. Refer to the HRSA funding opportunity announcement for the roles and responsibilities of the Federal government and the recipient.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$1,160,000; and FY 12 est \$160,000

**Range and Average of Financial Assistance:**

This program will provide funding for Federal fiscal years 2012-2014. Approximately \$160,000 is expected to be available annually to fund one (1) recipient. Funding beyond the first year is dependent on the availability of appropriated funds for the National Forum in subsequent fiscal years, recipient satisfactory performance, and a decision that continued funding is in the best interest of the Federal government.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lynnette S. Araki, 5600 Fishers Lane, Rockville, Maryland 20857 Email: [Laraki@hrsa.gov](mailto:Laraki@hrsa.gov) Phone: (301) 443-6204. Fax: (301) 443-2286.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.011 National Organizations of State and Local Officials; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health

Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Review Criteria are outlined in Section V of the HRSA funding opportunity announcement.

**93.529 PRE-EXISTING CONDITION INSURANCE PROGRAM (PCIP)  
FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Patient Protection and Affordability Care Act, Section 1101.

**OBJECTIVES:**

The Patient Protection and Affordability Care Act, was enacted on March 23, 2010. The Health Care and Education Reconciliation Act Public Law 111-152, was enacted on March 30, 2010. Collectively, these laws are known as the "Affordable Care Act." Section 1101 of the Affordable Care Act requires that the Secretary of the Department of Health and Human Services (HHS) establish, either directly or through contracts with States or nonprofit private entities, a temporary high risk health insurance program to provide access to coverage for uninsured Americans with pre-existing conditions. (Hereafter, we generally refer to this program as the Pre-Existing Condition Insurance Plan program, or PCIP program, to avoid confusion with the existing State high risk pool programs, which will continue to operate separately.) The PCIP program is intended to remain in place from the time of its establishment until the Exchanges established under sections 1311 or 1321 of the Act go into effect on January 1, 2014.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Please see State PCIP Model Contract. Please see State PCIP Model Contract [www.hhs.gov/cciio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/cciio/Documents/state_hrp_model_contact.pdf) Under the state-run PCIP contracts, HHS shall exercise each of the option years described in paragraph A.2 according to the model contract by giving a preliminary notice of its intent at least 90 days prior to the end of each performance period and a written notice of exercise at least 60 days prior to the end of each performance period to the Contractor. The 90-day notice will state HHS's intent to exercise the option, but does not commit HHS to exercising the option.

**Applicant Eligibility:**

The applicants must meet the terms and conditions outlined in the model contract. See the State PCIP Model contract at [www.hhs.gov/cciio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/cciio/Documents/state_hrp_model_contact.pdf).

**Beneficiary Eligibility:**

Eligibility and enrollment rules for the Federal and state-operated PCIP programs can be found at [www.healthcare.gov](http://www.healthcare.gov) or below as set forth in text from our Interim Final Regulation (IFR).

B. Eligibility and Enrollment (Subpart C, Sec. 152.14 Through Sec. 152.15 of the PCIP IFR (45 CFR Part 152).

Section 1101(d) of the Affordable Care Act provides the basic eligibility criteria for the PCIP program, which are set forth under Sec. 152.14. In addition, consistent with the Secretary's general authority under section 1101(c)(2)(D) of the Act to establish requirements for a PCIP, we set forth enrollment and disenrollment requirements in Sec. 152.15.

In general, under section 1101(d) of the Affordable Care Act and subparagraphs (1), (2) and (3) of Sec. 152.14(a) of this interim final rule, an individual is eligible to enroll in a PCIP if he or she: (1) Is a citizen or national of the United States or is lawfully present in the United States as determined in accordance with section 1411 of the

Affordable Care Act; (2) has not been covered under creditable coverage, as defined in section 2701(c)(1) of the Public Health Service Act as of the date of enactment, during the 6-month period prior to the date on which he or she is applying for coverage through the PCIP; and (3) has a pre-existing condition, as determined in a manner consistent with guidance issued by the Secretary. We further provide in Sec. 152.14(a)(4) that an individual must be a resident of a State that falls within the service area of a PCIP. Additional detail found in the IFR.

**Credentials/Documentation:**

Applicants should review the OCIO state model contract issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

In order to be awarded a state contract to run the Pre-existing Condition Program in an individual state, a state must have submitted a notice of intent to apply, a proposal and model contract criteria approved by HHS.

**Deadlines:**

Jul 01, 2010

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details. Yes, see State Solicitation at [www.hhs.gov/ccio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/ccio/Documents/state_hrp_model_contact.pdf).

**Length and Time Phasing of Assistance:**

States have options years through 2013. The funding is proposed to carry the program to 2014, with the last option year of the contract exercised in 2013. See State Model Contract for details. See the following for information on how assistance is awarded/released: Funding is distributed through the Payment Management System to pay for administrative costs and medical claims, monitored by monthly cost-reporting. Please see the State Model Contract for more detail.

**Reports:**

Please see State Model Contract [www.hhs.gov/ccio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/ccio/Documents/state_hrp_model_contact.pdf). Please see State Model Contract [www.hhs.gov/ccio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/ccio/Documents/state_hrp_model_contact.pdf). Please see State Model Contract [www.hhs.gov/ccio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/ccio/Documents/state_hrp_model_contact.pdf). Please see State Model Contract [www.hhs.gov/ccio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/ccio/Documents/state_hrp_model_contact.pdf). Please see State Model Contract [www.hhs.gov/ccio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/ccio/Documents/state_hrp_model_contact.pdf).

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. .

**Records:**

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**Account Identification:**

01-2345-6-7-890.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$123,266,088; FY 11 est \$419,148,758; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found at: 45 CFR Part 152, Pre-Existing Condition Insurance Plan, Program; Interim Final Rule.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle T. Feagins, 200 Independence Ave., SW, Washington, District of Columbia 20201 Email: [michelle.feagins@hhs.gov](mailto:michelle.feagins@hhs.gov) Phone: 301-492-4312

**Website Address:**

<http://www.healthcare.gov> and [www.pcip.com](http://www.pcip.com)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See state model contract requirements.

**93.530 AFFORDABLE CARE ACT - TEACHING HEALTH CENTER GRADUATE MEDICAL EDUCATION PAYMENTS PROGRAM**

THC GME Payment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 340H of the Public Health Service Act, as added by Section 5508 of the Patient Protection and Affordable Care Act of 2010 (Pub. L. 111-148).

**OBJECTIVES:**

Expansion of primary care and dental residency training programs in community based settings.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Payments are for direct and indirect expenses for expansion of existing or establishment of new residency training programs in qualified teaching health centers. Eligible residencies include family medicine, internal medicine, pediatrics, med-peds, ob/gyn, psychiatry, general and pediatric dentistry, geriatrics. Funding can only be used for the costs of new residents in a newly-established Teaching Health Center (THC) or an expanded number of residents in a pre-existing THC. THCGME (Teaching Health Center Graduate Medical Education Program) payments cannot duplicate payments from other GME funding such as Childrens Hospital GME and payments from the Centers for Medicare and Medicaid Services. Funding can only be used for the costs of new residents in a newly-established THC or an expanded number of residents in a pre-existing THC. Payments made under the THCGME program will be coordinated with other payments for residency training, including payments for Childrens Hospital GME and payments from the Centers for Medicare and Medicaid Services for other hospital-based GME.

**Applicant Eligibility:**

Eligible entities include community-based ambulatory patient care centers that operate a primary care residency program. Specific examples of eligible entities include, but are not limited to: Federally qualified health centers, as defined in section 1905(l)(2)(B) of the Social Security Act

Community mental health centers, as defined in section 1861(ff)(3)(B) of the Social Security Act

Rural health clinics, as defined in section 1861(aa) of the Social Security Act  
Health centers operated by the Indian Health service, an Indian tribe, or tribal organization, or an urban Indian organization, as defined in section 4 of the Indian Health Care Improvement Act

An entity receiving funds under Title X of the Public Health Service Act.

In addition, the eligible entity must be listed as the institutional sponsor by the relevant accrediting body, including the Accreditation Council for Graduate Medical Education (ACGME), American Osteopathic Association (AOA), or the American Dental Association (ADA).

**Beneficiary Eligibility:**

The program supports high-quality primary care residency training in community based settings.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

Each THC GME Payment Program application will be reviewed for eligibility including accreditation status, program approval, qualifications of the Project Director, completeness, accuracy and compliance with the requirements outlined in the funding opportunity announcement. Based on this review, the HRSA program official with delegated authority is responsible for final selection and formula-based funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the funding opportunity announcement for additional information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to five years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Refer to the funding opportunity announcement for additional information on program reports required. Refer to the funding opportunity announcement for additional information on cash reports required. Refer to the funding opportunity announcement for additional information on progress report required. Refer to the funding opportunity announcement for additional information on expenditure reports required. Refer to the funding opportunity announcement for additional information on performance monitoring required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. DHHS, or any other authorized Federal agency, may conduct an audit to determine whether the applicant has complied with all governing laws and regulations in its application for funding. Any and all information submitted to DHHS by an applicant or participating THC during or after the award of funds is subject to review in an audit. The THCGME statute provides for a reconciliation process at the end of each Fiscal Year, through which overpayments may be recouped and underpayments may be adjusted. (See section 340H (f) of the Public Health Service Act.) The reconciliation process is based on the number of residents reported by the THC for the Federal Fiscal Year to determine the final amount payable to the THC for the Federal Fiscal Year.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the final FFR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Formula Grants) FY 10 \$0; FY 11 est \$2,350,125; and FY 12 est \$0 - Formula grants and direct payments for a specific use.

**Range and Average of Financial Assistance:**

In FY 2011, an interim payment of up to \$150,000 per resident per year will be paid to eligible entities for: 1. Direct expenses (DME) associated with sponsoring an approved graduate medical residency training program; and 2. Indirect expenses (IME) associated with the additional costs related to teaching residents in such training programs. The Secretary will determine GME payments based on DME, by applying a formula that includes using the National Per Resident Amount, among other parameters. The IME payment covers additional residency training costs not considered by the DME formula.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Songhai Barclift, MD, Chief, Community Based Training Branch Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-27, 5600 Fishers Lane, Rockville, Maryland, Telephone: (301) 443-8681; Fax: 301 443-1945; and E-mail: [SBarclift@hrsa.gov](mailto:SBarclift@hrsa.gov).

**Headquarters Office:**

Kathleen Klink, MD 5600 Fishers Lane, Room 9A-57, Rockville, Maryland 20857. Phone: (301) 443-1467.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Formula grants to all eligible entities.

**93.531 THE PATIENT PROTECTION AND AFFORDABLE CARE ACT OF 2010 (AFFORDABLE CARE ACT) AUTHORIZES COMMUNITY**

## **TRANSFORMATION GRANTS AND NATIONAL DISSEMINATION AND SUPPORT FOR COMMUNITY TRANSFORMATION GRANTS**

Community Transformation Grants and National Dissemination and Support for Community Transformation Grants

### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

### **AUTHORIZATION:**

This program is authorized under section 301(a) and 317(k) (2) Patient Protection and Affordable Care Act of 2010, Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2311, sec 4201.

### **OBJECTIVES:**

Community Transformation Grants - To reduce death and disability from the five leading causes of death through the prevention and control these conditions and their risk factors. Recipients will select from a menu of interventions across the health and wellness spectrum, each of which can prevent or control chronic conditions. Each recipient will choose interventions that will help to achieve health equity, eliminate disparities, and improve the health of all groups. More specific goals within these broad goal areas will be provided in funding announcements

National Dissemination and Support for Community Transformation Grants - To support the efforts of the CTG program by funding national non-governmental organizations with a network of community based organizations.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Both programs - Funds may be used to support intensive approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease. Recipients may not use funds for research. Recipients may not use funds for clinical care. Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease. Recipients may not use funds for research. Recipients may not use funds for clinical care. Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

### **Applicant Eligibility:**

Applications may be submitted by State or local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Marianna Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau). Eligible applicants also include public and private nonprofit organizations, for profit organizations, small, minority, women-owned businesses, universities, colleges, research institutions, hospitals, community-based organizations, faith-based organizations, Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations. Additional guidance may be provided in individual program announcements.

### **Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

### **Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the

project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Executive Order 12372 may apply to the Community Transformation Grants, but does not apply to the National Dissemination Support for Community Transformation Grants. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

### **Award Procedure:**

Applicable to both programs - An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 120 to 180 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

> 180 Days. Both programs will be subject to satisfactory performance as documented through semi-annual progress reports, Project Officer oversight documentation and availability of funds.

### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Community Transformation Grants are for 1 to 5 years with 12-month budget periods.  
National Dissemination and Support for Community Transformation Grants are for 1-4 years with 12 month budget periods. See the following for information on how assistance is awarded/released: Notice of Award.

### **Reports:**

Applicable to both programs - Annual and semiannual progress reports are required. No cash reports are required. Applicable to both programs - Annual or semiannual progress reports are required. Applicable to both programs - Final financial status and performance reports are required 90 days after the end of a budget period. Programmatic performance monitoring is a requirement of these cooperative agreements.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review



by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0094-3-1-550.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$107,600,000; and FY 12 est \$0 - Community Transformation Grants \$102,600,000 and National Dissemination and Support for Community Transformation Grants \$5,000,000.

**Range and Average of Financial Assistance:**

Community Transformation Grants Expected: \$50,000 - \$500,000  
National Dissemination and Support for Community Transformation Grants Expected - \$350,000 - 3,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92 and 74

**Regional or Local Office:**

None.

**Headquarters Office:**

John R. Lehnerr, 4770 Buford Highway, NE., Mailstop K40 , Atlanta, Georgia 30333 Email: jrl5@cdc.gov Phone: (770) 488-5402 Fax: (770) 488-5971.

**Website Address:**

: <http://www.cdc.gov/> ; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.533 PREVENTION AND PUBLIC HEALTH FUND (AFFORDABLE CARE ACT): ENHANCED SURVEILLANCE FOR NEW VACCINE PREVENTABLE DISEASE**

Prevention and Public Health Fund Affordable Care Act - Enhanced Surveillance for New Vaccine Preventable Disease (NVSND)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under Sections 317, 317(k)(2), 318 and 318B of the Public Health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs.

**OBJECTIVES:**

The purpose of the program is to support a network of sites that provide surveillance and data collection on new vaccine use, the impact of new and upcoming vaccines and other immunoprophylaxis, new vaccine policies / policies under consideration, through enhanced inpatient and Emergency Department(ED) surveillance, applied epidemiologic research, and investigator-initiated investigations. Measurable outcomes of the program will be in alignment with the following performance goal for NCIRD. Outcomes:  
1) To evaluate the impact of new or upcoming vaccines and other immunoprophylaxis, and new vaccine policies on disease in site populations.  
2) To evaluate the impact of new vaccines and new vaccine policies / policies

under consideration on administration of vaccines. 3) To understand the burden of vaccine preventable diseases (VPDs) or potentially VPDs in the population.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, data collection, organizing, and the implementation of program elements. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

**Applicant Eligibility:**

Applicant Eligibility: Higher Education Institutions: Public/State Controlled Institutions of Higher Education Private Institutions of Higher Education

The following types of Higher Education Institutions are always encouraged to apply for CDC support as Public or Private Institutions of Higher Education:

Hispanic-serving Institutions  
Historically Black Colleges and Universities (HBCUs)  
Tribally Controlled Colleges and Universities (TCCUs)  
Alaska Native and Native Hawaiian Serving Institutions

Nonprofits Other Than Institutions of Higher Education  
Nonprofits (Other than Institutions of Higher Education)

Governments  
State Governments  
County Governments  
City or Township Governments  
Special District Governments  
Indian/Native American Tribal Governments (Federally Recognized)  
Indian/Native American Tribal Governments (Other than Federally Recognized)  
Eligible Agencies of the Federal Government  
U.S. Territory or Possession

Other  
Independent School Districts  
Public Housing Authorities/Indian Housing Authorities  
Native American tribal organizations (other than Federally recognized tribal governments)  
Faith-based or Community-based Organizations  
Regional Organizations  
Bona Fide Agents

Entities must be States (or bona fide agents of States), political subdivision of States, or other public or non-profit private entities.

**Beneficiary Eligibility:**

Any U.S. state, political subdivision and U.S. territories (as described above), and other public entities will benefit.

**Credentials/Documentation:**

Allowable costs will be determined in accordance with OMB Circular No. A-87 for State, Local, and Indian Tribal governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email:

PGOTIM@cdc.gov.

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer and emailed to the program director and a hard copy mailed to the recipient fiscal officer identified in the application.

Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Contact the headquarters, as appropriate, or the funding opportunity announcement for application deadlines.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement and are subject to the availability of funds under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula. This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial Assistances is available for a 12-month budget period. Method of awarding/releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports (SF 425) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. No cash reports are required. The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports (SF 425) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports (SF 425) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Salaries) FY 10 Not Available; FY 11 Not Separately Identifiable; and FY 12 Estimate Not Available - (Cooperative Agreements) FY10 Not Available; FY11 \$1,656,000; FY12 Estimate Not Available- Approximately \$1,656,000 for FY 2011 in cooperative agreement funding will be made available. Future year funding is subject to the availability of funds.

**Range and Average of Financial Assistance:**

Awards will range from approximately \$450,000 to \$550,000 with an average of approximately \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hhspolicy.htm>

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Terry C Maricle 1600 Clifton Road, NE, MS A-47, Atlanta, Georgia 30333  
Email: [tcm1@cdc.gov](mailto:tcm1@cdc.gov) Phone: 4046392102

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.185 Immunization Research, Demonstration, Public Information and Education\_Training and Clinical Skills Improvement Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the Extramural Research Program Office (ERPO), NCHHSTP and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application and Submission Information, subsection Evaluation Criteria within the individual funding announcement. Applicants will be notified if their application did not meet program requirements.

**93.534 AFFORDABLE CARE ACT PROGRAM FOR EARLY DETECTION OF CERTAIN MEDICAL CONDITIONS RELATED TO ENVIRONMENTAL HEALTH HAZARDS**

Agency for Toxic Disease Registry, Division of Health Studies

**FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and Human Services

**AUTHORIZATION:**

Patient Protection and Affordable Care Act (ACA) Section 10323(b) amends

Title XX of the Social Security Act (42 U.S.C. 1397 et seq.) to establish a Program for Early Detection of Certain Medical Conditions Related to Environmental Health Hazards. (Section 2009 of the Social Security Act, as amended)(42 U.S.C.1397h). Patient Protection and Affordable Care Act (ACA), section 10323 (b) (Section 2009 of the Social Security Act, as amended)(42 U.S.C. 1397h).

**OBJECTIVES:**

The overall goals of this program are for Early Detection of Certain Medical Conditions Related to Environmental Health Hazards.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

This program provides screening, health education, and outreach services for residents of a geographic area subject to declared public health emergencies under the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA).

**Applicant Eligibility:**

- Eligibility as defined by the authorizing legislation.
- A hospital or community health center.
- A Federally qualified health center.
- A facility of the Indian Health Service.
- A National Cancer Institute-designated cancer center.
- An agency of any State or local government.
- A nonprofit organization.

**Beneficiary Eligibility:**

- Eligibility as defined by the authorizing legislation.
- A hospital or community health center.
- A Federally qualified health center.
- A facility of the Indian Health Service.
- A National Cancer Institute-designated cancer center.
- An agency of any State or local government.
- A nonprofit organization.

**Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Institutions of Higher Education, Other non-profits and Community Organizations and Hospitals also 45 CFR part 92, State, Local and Tribal Governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and ATSDR. The NOA will be signed by an authorized Grants Management Officer, Centers for Disease Control and Prevention (CDC), acting as agent for ATSDR.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days. Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project periods are for 1 to 5 years with 12 month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, acting as agent for ATSDR. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 1 to 5 years with 12-month budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

May be requested on a quarterly basis. May be requested on a quarterly basis. May be requested on a quarterly basis. May be requested on a quarterly basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for ten years in accordance with HHS "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General. Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 10 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0944-0-1-551.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$2,500,000; and FY 12 est \$2,500,000

**Range and Average of Financial Assistance:**

Expected: \$2,000,000 3,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 74 and 45 CFR Part 92.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: (770) 488-0572.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Additional criteria will be listed in individual funding opportunity announcements.

**93.535 AFFORDABLE CARE ACT (ACA) CHILDHOOD OBESITY RESEARCH DEMONSTRATION**

Childhood Obesity Research Demonstration

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under section 401(a) of the Children's Health Insurance Program Reauthorization Act of 2009 (CHIPRA, Public Law 111-3), added new section 1139A, to the Social Security Act (the Act). Subsection 1139A(e) of the Social Security Act requires the Secretary of Health and Human Services (HHS) to conduct a Childhood Obesity Demonstration Project ([http://www.ssa.gov/OP\\_Home/ssact/title11/1139A.htm](http://www.ssa.gov/OP_Home/ssact/title11/1139A.htm)). In 2010, the Patient Protection and Affordability Act (ACA) appropriated funding for the Project in section 4306, section 301(a) and 317(k).

**OBJECTIVES:**

The overall goals of this program are to determine whether an integrated model of primary care and public health approaches in the community, such as policy, systems, and environmental supports for nutrition and physical activity, can improve underserved children's risk factors for obesity. More specific goals will be provided in funding announcement.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to develop, implement, and evaluate multi-sectoral (i.e., childcare, school, community, health care), multi-level (i.e., child, family, organization, community, policy) intervention demonstration projects for underserved children ages 2-12 years and their families, utilizing the Obesity Chronic Care Model and other similar models, as described in subsection 1139A(e) of the Social Security Act and section 301(a) and 317(k) of the ACA above. The use of and use restrictions are as follows: Recipients may only expend funds to implement and evaluate evidence-based policies, systems and environmental interventions, including personnel, travel, supplies, and services, such as contractual to reduce risk factors and prevent childhood obesity. Recipients may not use funds for clinical care. Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible. The use of and use restrictions are as follows: Recipients may only expend funds to implement and evaluate evidence-based policies, systems and environmental interventions, including personnel, travel, supplies, and services, such as contractual to reduce risk factors and prevent childhood obesity. Recipients may not use funds for clinical care. Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

**Applicant Eligibility:**

Applications may be submitted by State or local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau). Eligible applicants also include public and private nonprofit organizations, for profit organizations, universities, colleges, research institutions, hospitals, community-based organizations, faith-based organizations, Federally

recognized Indian tribal governments, Indian tribes, and Indian tribal organizations, Federally qualified health centers, health care providers, and an established consortium or partnership of entities. Additional guidance may be provided in the funding opportunity announcement.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program, with a specific focus on low income children eligible for services under titles XIX and XXI of the Social Security Act; children and their families living at least 150% or higher federal poverty level; or catchment areas where 50% of students are in schools eligible for the National School Lunch Program.

**Credentials/Documentation:**

Applicants must document their reach into the eligible pool of children for this FOA, identify a catchment area and specify a rigorous pre-post design that include at least 1500 children: (1) low income children eligible for services under titles XIX and XXI of the Social Security Act; (2) children and their families living at least 150% or higher federal poverty level; or (3) catchment areas where 50% of students are in schools eligible for the National School Lunch Program. Applicants must state the research aims, the scientific knowledge to be obtained, specify the research methods to be used to test intervention strategies, and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-application coordination is not required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is covered under OMB Circular No. A-102. This program is covered under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants.

**Award Procedure:**

A scientific merit review will be conducted, followed by pre-decisional site visits, and a secondary review, to evaluate the scientific merit, responsiveness, readiness, and feasibility of applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 200-220 days (approximately 7 months).

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Renewals will be based upon the availability of funding and satisfactory programmatic progress. The Project Periods is 4 years with four 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770)

488-2700).

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Project Periods is for 4 years, with four 12-month budget periods. See the following for information on how assistance is awarded/released: The Project Periods is for 4 years, with four 12-month budget periods. Based on availability of funds and performance. Assistance is awarded on an annual basis.

**Reports:**

An interim progress report, financial status reports, and a final report are required. The final financial status and final report are due within 90 days after the end of a Project Period. Cash reports are not applicable. An interim progress report, financial status reports, and a final report are required. The final financial status and final report are due within 90 days after the end of a Project Period. Annual Financial Status Reports are required 90 days after the end of each budget period. An interim progress report, financial status reports, and a final report are required. The final financial status and final report are due within 90 days after the end of a Project Period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 09 \$0; FY 10 est \$0; and FY 11 est \$6,250,000 - FY 2011 est. \$5.25 million for Component A (Demonstration Projects) and \$1.0 million for Component B (third-part Evaluation Center); FY2012 est. \$5.25 million for Component A and \$1.0 million for Component B.

**Range and Average of Financial Assistance:**

Expected: Average award of \$1.75 million (3 awards) for Component A and \$1.0 million for Component B. (1 award).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92.

**Regional or Local Office:**

None. Headquarters Office: Michael E. Dalmat, Dr.P.H., Extramural Research Program Office, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Department of Health and Human Services, 4770 Buford Highway, NE., Mailstop K-92, Atlanta, Georgia, 30341 Email: med1@cdc.gov , Phone: 770-488-6423, Fax: 770-488-8046.

**Headquarters Office:**

Michael Dalmat, 4770 Buford Highway, NE., Mailstop K-92, Atlanta, Georgia 30341 Email: med1@cdc.gov Phone: (770) 488-6423 Fax: (770) 488-8046.

**Website Address:**

: <http://www.cdc.gov/> ; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

: Funding will be directed to tribal, territorial, large county, and state and local health departments for evidenced-based policies, systems, and environmental programmatic activities. Non-governmental organizations may also be eligible for the funding opportunity. Additional criteria will be listed in the funding opportunity announcement.

**93.536 THE AFFORDABLE CARE ACT MEDICAID INCENTIVES FOR PREVENTION OF CHRONIC DISEASE DEMONSTRATION PROJECT MIPCD Program**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Affordable Care Act (Public Law 111-148) Section 4108.

**OBJECTIVES:**

Section 4108(a)(1)(A)The Secretary shall award grants to States to carry out initiatives to provide incentives to Medicaid beneficiaries who (i) successfully participate in a program described in paragraph (3); and (ii) upon completion of such participation, demonstrate changes in health risk and outcomes, including the adoption and maintenance of healthy behaviors by meeting specific targets (as described in subsection (c)(2)). (a)(1)(B) The purpose of the initiatives under this section is to test approaches that may encourage behavior modification and determine scalable solutions. (a)(3)(A)The Secretary shall award grants to States to carry out initiatives to provide incentives to Medicaid beneficiaries who successfully participate in a comprehensive, evidence-based, widely available, and easily accessible program, proposed by the State and approved by the Secretary, that is designed and uniquely suited to address the needs of Medicaid beneficiaries and has demonstrated success in helping individuals achieve ceasing use of tobacco, controlling their weight, lowering cholesterol, lowering blood pressure, and avoiding onset of diabetes. (a)(3)(B) A program under this section may also address co-morbidities (including depression) that are related to any of the conditions described in subparagraph (A). (a)(3)(C) WAIVER AUTHORITY- The Secretary may waive the requirements of section 1902(a)(1) (relating to statewideness) of the Social Security Act for a State awarded a grant to conduct an initiative under this section and shall ensure that a State makes any program described in subparagraph (A) available and accessible to Medicaid beneficiaries. (a)(4)(D) FLEXIBILITY IN IMPLEMENTATION- A State may enter into arrangements with providers participating in Medicaid, community-based organizations, faith-based organizations, public-private partnerships, Indian tribes, or similar entities or organizations to carry out programs described in subparagraph (A). (d)(2) A State awarded a grant to conduct an initiative under this section shall develop and implement a system to(1) track Medicaid beneficiary participation in the program and validate changes in health risk and outcomes with clinical data, including the adoption and maintenance of health behaviors by such beneficiaries; (2) to the extent practicable, establish standards and health status targets for Medicaid beneficiaries participating in the program and measure the degree to which such standards and targets are met; (3) evaluate the effectiveness of the program and provide the Secretary with such evaluations; (4) report to the Secretary on processes that have been developed and lessons learned from the program; and (5) report on preventive services as part of reporting on quality measures for Medicaid managed care programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funding under this program will be used according to the ACA section 4108 statute. States will be reimbursed for approved expenditures through the grant

with 100 percent Federal funds. Approvable expenditures will include direct cash incentives, or alternative forms of inducement such as free goods, transportation support, reduced Medicaid program fees, provision of alternative preventive services not normally reimbursable through Medicaid, or payments to family members, friends or community agencies that provide support and facilitation of a participants preventive program attendance and meeting goals of tobacco cessation, controlling or reducing weight, lowering cholesterol, lowering blood pressure, and avoiding the onset of diabetes or improving the management of the condition. Also reimbursement of 100 percent of approved expenditures for the administrative operation of the MIPCD Program is available through the grant. Examples of eligible reimbursable items are: key personnel; MIPCD travel, training, outreach and marketing; IT infrastructure to accommodate the MIPCD reporting requirements; and completing the satisfaction survey requirements. Applicants should review the individual funding opportunity announcement issued under this CFDA program for prohibited uses of grant funding.

**Applicant Eligibility:**

Applicants should review the eligibility information of the individual funding opportunity announcement issued under this CFDA program.

**Beneficiary Eligibility:**

Applicants should review the funding opportunity description of the funding opportunity announcement issued under this CFDA program for information on participant eligibility requirements.

Sec 4108(e) No Effect on Eligibility For, or Amount of, Medicaid or Other Benefits Any incentives provided to a Medicaid beneficiary participating in a program described in subsection (a)(3) shall not be taken into account for purposes of determining the beneficiary's eligibility for, or amount of, benefits under the Medicaid program or any program funded in whole or in part with Federal funds.

**Credentials/Documentation:**

Applicants should review the individual funding opportunity announcement issued under this CFDA program for any required proof of certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Sec 4108(4) APPLICATION- Following the development of program criteria by the Secretary, a State may submit an application, in such manner and containing such information as the Secretary may require, that shall include a proposal for programs described in paragraph (3)(A) and a plan to make Medicaid beneficiaries and providers participating in Medicaid who reside in the State aware and informed about such programs. The standard application form SF-424 and related forms, as furnished by CMS, must be used for this program.

Applicants are encouraged to submit a non-binding Notice of Intent to Apply. Notices of Intent to Apply are not required and a states submission or failure to submit a notice has no bearing on the scoring of proposals received. Notices of Intent to Apply are due no later than February 3, 2011. Applications are due March 1, 2011. Applicants should review the application and submission information in the funding opportunity announcement for specific instructions to apply for this grant program.

**Award Procedure:**

Successful applicants will receive a Notice of Award. Unsuccessful applicants will be notified by letter. Applicants should review the award administration information of the funding opportunity announcement issued under this CFDA program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants should review the award information of the individual funding opportunity announcement issued under this CFDA program for applicable approval/disapproval time range.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to approval, the grant funding will be renewed annually.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirements.

This program does not have MOE requirements. This program has no MOE requirements.

**Length and Time Phasing of Assistance:**

Section 4108(f) Funding- Out of any funds in the Treasury not otherwise appropriated, there are appropriated for the 5-year period beginning on January 1, 2011, \$100,000,000 to the Secretary to carry out this section. The funds in this section may be obligated within the 5-year period beginning 1/1/2011. Method of awarding/releasing assistance: quarterly.

**Reports:**

Applicants should review the individual funding opportunity announcement for information on programmatic and evaluation reporting required. Section 4108(2) STATE REPORTING- A State awarded a grant to carry out initiatives under this section shall submit reports to the Secretary, on a semi-annual basis, regarding the programs that are supported by the grant funds. Such report shall include information, as specified by the Secretary, regarding--(A) the specific uses of the grant funds; (B) an assessment of program implementation and lessons learned from the programs; (C) an assessment of quality improvements and clinical outcomes under such programs; and (D) estimates of cost savings resulting from such programs. Applicants should review the individual funding opportunity announcement for information on financial reporting requirements. Applicants should review the individual funding opportunity announcement for information on programmatic and evaluation reporting requirements. Applicants should review the individual funding opportunity announcement for information on financial reporting requirements. Applicants should review the individual funding opportunity announcement for information on programmatic and evaluation reporting requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper accounting records, identifiable by project number including all receipts and expenditures must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$17,500,000; and FY 12 est \$29,438,000

**Range and Average of Financial Assistance:**

Estimate 8-10 states, \$1.7-2.1 million/per state in annual grant money and the full 12-month obligation to be made in the FY.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants should refer to the funding opportunity announcement for applicable regulations, guidelines and literature.

**Regional or Local Office:**

See Regional Agency Offices. Applicants should refer to the agency contact information of the funding opportunity announcement under this CFDA program for contact information.

**Headquarters Office:**

Ed Hutton, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: Grant@cms.hhs.gov Phone: (410) 786-6616.

**Website Address:**

http://www.grants.gov http://www.cfda.gov

**RELATED PROGRAMS:**

93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant should refer to the funding opportunity announcement under this CFDA program for specific criteria requirements on proposal selection.

**93.537 AFFORDABLE CARE ACT MEDICAID EMERGENCY PSYCHIATRIC DEMONSTRATION**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Affordable Care Act (Public Law 111-148) Section 2707.

**OBJECTIVES:**

Section 2707(a)The purpose of this program is for the Secretary of Health and Human Services (in this section referred to as the Secretary) to establish a demonstration project under which an eligible State (as described in subsection (c)) shall provide payment under the State Medicaid plan under title XIX of the Social Security Act to an institution for mental diseases that is not publicly owned or operated and that is subject to the requirements of section 1867 of the Social Security Act (42 U.S.C. 1395dd)or the provision of medical assistance available under such plan to individuals who(1) have attained age 21, but have not attained age 65; (2) are eligible for medical assistance under such plan; and (3) require such medical assistance to stabilize an emergency medical condition. To conduct a 3-year Medicaid demonstration project. Participating States would be allowed to provide payment to private institutions for mental disease (IMDs) of 17 or more beds for services provided to Medicaid beneficiaries between the ages of 21 and 65 who are in need of medical assistance to stabilize an emergency psychiatric condition.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The statutes permits States selected to participate in the demonstration to provide payment to private institutions for mental disease (IMDs) of 17 or more beds for services provided to Medicaid beneficiaries between the ages of 21 and 65 who are in need of medical assistance to stabilize an emergency psychiatric condition. States will receive only federal matching funds for Medicaid payments made under the demonstration. Funds shall be allocated to eligible States on the basis of criteria, including a States application and the availability of funds, as determined by the Secretary. Funding under the demonstration is intended to be used only for Medicaid payment for services specified under Section 2707. In addition, In no case may the aggregate amount of payments made by the Secretary to eligible States under this section exceed \$75,000,000; or payments be provided by the Secretary under this section after December 31, 2015.

**Applicant Eligibility:**

State Medicaid Agencies.

**Beneficiary Eligibility:**

Enrolled Medicaid beneficiaries between the ages of 21 and 65 who are in need of medical assistance to stabilize an emergency psychiatric condition.

**Credentials/Documentation:**

Yes, applicants should review the solicitation mailed directly to the State

Medicaid Directors for any required proof of certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. b) STABILIZATION REVIEW.A State shall specify in its application described in subsection (c)(1) establish a mechanism for how it will ensure that institutions participating in the demonstration will determine whether or not such individuals have been stabilized (as defined in subsection (h)(5)). This mechanism shall commence before the third day of the inpatient stay. States participating in the demonstration project may manage the provision of services for the stabilization of medical emergency conditions through utilization review, authorization, or management practices, or the application of medical necessity and appropriateness criteria applicable to behavioral health. States will be given 60 days to respond with their application.

Applications will be reviewed by a panel of experts and panel results forwarded to the Administrator for final selection.

**Award Procedure:**

Applications will be reviewed and the results forwarded to the CMS Administrator for final selection. The selected States will be notified of approval status.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximate range of approval/disapproval is 60 days from the application deadline.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Section 2707(e)(5) of the ACA stipulates that, The Secretary shall pay to each eligible State, from its allocation under paragraph (4), an amount each quarter equal to the Federal medical assistance percentage of expenditures in the quarter for medical assistance provided under the demonstration. In accordance with this provision, CMS will make payments of the federal Medicaid matching share quarterly based on the quarterly submission of State Medicaid expenditures. However, as part of the terms and agreements for participating in the demonstration, State Medicaid Agencies will be advised that once the federal funding limit is reached, States will not receive payment of the federal share of any outstanding Medicaid expenditures. This program does not have MOE requirements. Not applicable.

**Length and Time Phasing of Assistance:**

\$75 million is appropriated for fiscal year 2011 and shall remain available for obligation through December 31, 2015. Method of awarding/releasing assistance: quarterly.

**Reports:**

Section 2707 (5) As a condition of receiving payment, a State shall collect and report information, as determined necessary by the Secretary, for the purposes of providing Federal oversight and conducting an evaluation under subsection (f)(1). No cash reports are required. Applicants should review the solicitation notice for additional information on progress reports required. States are required to submit quarterly expenditure reports. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. .

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$750,000; and FY 12 est \$22,605,000

**Range and Average of Financial Assistance:**

Funds shall be allocated to eligible States on the basis of criteria, including a States application and the availability of funds, as determined by the Secretary.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants should refer to the SMD letter for applicable regulations, guidelines and literature. Applications will be available in the announcement and a downloadable application will be available on the specified demonstration webpage.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Armen Thoumaian, Ph.D 7500 Security Boulevard, Baltimore, Maryland 21244  
Email: armen.thoumaian@cms.hhs.gov Phone: 410-786-6672

**Website Address:**

<http://www.cms.hhs.gov/contracts>; [www.cfd.gov](http://www.cfd.gov)

**RELATED PROGRAMS:**

93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Section 2707(c)(3) A State shall be determined eligible for the demonstration by the Secretary on a competitive basis among States with applications meeting the requirements of paragraph (1). In selecting State applications for the demonstration project, the Secretary shall seek to achieve an appropriate national balance in the geographic distribution of such projects.

The CMS review process of the State applications will be conducted by a panel of experts. The CMS project officer will coordinate the panels review.

Applicant should refer to the solicitation under this CFDA program or contact the CMS project officer for more information regarding the selection process.

**93.538 AFFORDABLE CARE ACT - NATIONAL ENVIRONMENTAL PUBLIC HEALTH TRACKING PROGRAM-NETWORK IMPLEMENTATION**

National Center for Environmental Health, Division of Environmental Hazards and Health Effects, Environmental Health Tracking Branch

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 317(k)(2)(42 U.S.C. 247b), Patient Protection and Affordable Care Act (ACA), section 4002(42 U.S.C. 300u-11).

**OBJECTIVES:**

The purpose of this program is to establish and maintain a nationwide tracking network to obtain integrated health and environmental data and use it to provide information in support of actions that improve the health of communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This program provides funding to the states to establish their tracking network.

**Applicant Eligibility:**

Consistent with appropriation legislative history which began the Tracking initiative in FY 2002, states and local government health departments or their Bona Fide Agents.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-application coordination is not required. This program is eligible for coverage under Executive Order 12372, Intergovernmental Review of Federal Programs.. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. This program is covered under OMB Circular No. A-102. It is subject to the provisions of 45 CFR, Part 92 for State and local governments. The standard application forms must be used for this program. Applicants must register their organizations through [www.Grants.gov](http://www.Grants.gov), the official agency-wide E-grant website, at least 30 days prior to submitting their applications. Registration information is located on the Get Registered screen of [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). Electronic applications will be considered as having met the deadline if the application has been successfully made available to CDC for processing from [www.Grants.gov](http://www.Grants.gov) on the deadline date. The application package can be downloaded from [www.Grants.gov](http://www.Grants.gov). Applicants can complete the application package off-line, and then upload and submit the application via the [Grants.gov](http://Grants.gov) Web site. The applicant must submit all application attachments using a PDF file format when submitting via [Grants.gov](http://Grants.gov). Directions for creating PDF files can be found on the [Grants.gov](http://Grants.gov) Web site. Use of file formats other than PDF may result in the file being unreadable by staff.

**Award Procedure:**

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer, CDC.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project period is for 3 years with 12-month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is for 3 years with 12-month budget periods. See the following for information on how assistance is awarded/released: Terms are with in the Notice of Award which is a binding agreement between the grantee and the



funding agency and comes from the Procurement and Grants Office.

**Reports:**

Semi-annual and annual progress reports are required. Final Financial Status and performance reports are required 90 days after the end of a project period. Site visits to ensure program integrity may also be conducted by CDC. Cash reports are not applicable. Semi-annual and annual progress reports are required. Final Financial Status and performance reports are required 90 days after the end of a project period. Site visits to ensure program integrity may also be conducted by CDC. Semi-annual and annual progress reports are required. Final Financial Status and performance reports are required 90 days after the end of a project period. Site visits to ensure program integrity may also be conducted by CDC. Semi-annual and annual progress reports are required. Final Financial Status and performance reports are required 90 days after the end of a project period. Site visits to ensure program integrity may also be conducted by CDC.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal Awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations.

**Records:**

Records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$24,214,478; and FY 12 est \$24,214,478

**Range and Average of Financial Assistance:**

Approximate Average Award is \$700,000. This amount is for the first 12-month budget period, and includes both direct and indirect costs. Floor of Individual Award Range is \$ 500,000. Ceiling of Individual Award Range is \$900,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, Atlanta, Georgia 30341-3717 Phone: (770) 488-0572.

**Website Address:**

<http://www.cdc.gov/ephtracking>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: National Environmental Public Health Tracking Program; Funding Opportunity Announcement CDC-RFA-EH09-907. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selection of applicants are listed in the funding opportunity announcement.

**93.539 PREVENTION AND PUBLIC HEALTH FUND (AFFORDABLE CARE ACT) - CAPACITY BUILDING ASSISTANCE TO STRENGTHEN PUBLIC HEALTH IMMUNIZATION INFRASTRUCTURE AND**

**PERFORMANCE**

Prevention and Public Health Fund (Affordable Care Act) - Immunization Program

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under Section 317 of the Public Health Service Act (42 U.S.C. Sections 247b), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs.

**OBJECTIVES:**

Program activities under this funding will support efforts to transition immunization programs supported by Section 317 funding to the healthcare environment being transformed by the Affordable Care Act (ACA). Section 317 grantees manage the public health force that implements and supports immunization practices in the public and private sectors. Additionally, the importance of monitoring the effectiveness and impact of vaccines is critical for maintaining an immunization program that is scientifically and programmatically sound. The specific objectives may include but are not limited to: 1. Enhance interoperability between electronic health records and immunization information systems and reception of Health Level 7 (HL7) standard messages into IIS. 2. Develop a vaccine ordering module in an immunization information system that interfaces with CDC's VTrckS vaccine ordering and management system. 3. Develop and/or implement strategic plans for billing for immunization services in health department clinics to enable programs to increase program revenue, reach additional populations, provide recommended vaccines that are not currently offered, and address under-vaccinated populations. 4. Plan and implement adult immunization programs to improve adult immunization rates by establishing collaborations with employers and pharmacies and other healthcare entities to expand adult vaccination activities. 5. Enhance the sustainability of school-located vaccination (SLV) to make SLV programs successful, efficient, and sustainable through new technologies and innovative systems and third-party payer billing to recover program costs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, organizing, conducting, and supporting immunization programs directed toward vaccine-preventable diseases, and for the implementation of other program elements as described in Section 050 above and through CDC allowable and unallowable expenses. See above.

**Applicant Eligibility:**

Eligibility is limited to existing grantees under the Immunization Program (CFDA 93.268) which includes all 50 U.S. states, the District of Columbia, local health departments (Chicago, Houston, New York City, Philadelphia, San Antonio) and U.S. territories (Commonwealth of Puerto Rico, Virgin Islands, Commonwealth of the Northern Mariana Islands, American Samoa, Guam, Federated States of Micronesia, Republic of the Marshall Islands, Republic of Palau). Private individuals, private nonprofit agencies, and Indian tribes are not eligible.

**Beneficiary Eligibility:**

Any U.S. state, political subdivision and U.S. territories (as described above), and other public entities will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds. Costs will be determined in accordance with 2 CFR 225 (OMB Circular No. A-87) for state and local governments. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Pre-application coordination is not required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372 Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the process the state requires to be followed in applying for assistance, if the state has selected the program for review.

This program is excluded from coverage under OMB Circular No. A-110. Allowable costs will be determined in accordance with OMB Circular No. A-87 for non-profit, non-governmental organizations. Applicants must download supplemental application forms from [www.Grants.gov](http://www.Grants.gov). Supplemental applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov).

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office, Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone: 770-488-2700, email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov). HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

**Award Procedure:**

All applications that are complete and responsive to competitive supplemental grant and cooperative agreement announcements will undergo an objective review process, receive a written critique and be scored according to published review criteria. Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized CDC Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement and are subject to the availability of funds under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period and 24-month project period. Method of awarding/releasing assistance: lump sum.

**Reports:**

The reporting schedule will be based on the requirements listed in the funding opportunity announcement. No cash reports are required. Funded applicants must provide a Monthly Progress Report within 30 days after the award and monthly thereafter. An Annual Progress Report is due 90 days after the end of the budget period. Financial Status Reports (SF 269) and Final Progress Report are due 90 days after the end of the budget period. Financial Status Reports (SF 269) are due 90 days after the end of the budget period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 10 Not Available; FY 11 est \$38,867,335; and FY 12 est \$0 - Approximately \$38,867,335 for FY2011 in cooperative agreement funding will be made available. Future year funding is subject to the availability of funds. At this time, there is no FY 2012 funding planned.

**Range and Average of Financial Assistance:**

Awards will range from approximately \$100,000 to \$3,000,000 with an average of approximately \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available for 45 CFR 92 and HHS Grants Policy statement at <http://www.ahrq.gov/fund/hhspolicy.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Aaron Borrelli, 1600 Clifton Road, NE, MS A-19, Atlanta, Georgia 30033. Phone: 404-639-8715.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.268 Immunization Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the National Center for Immunization and Respiratory Diseases and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified if the application did not meet submission requirements. CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application Review Information within the individual funding announcement. Applicants will be notified if their application did not meet program requirements.

**93.540 AFFORDABLE CARE ACT STREAMLINED SURVEILLANCE FOR VENTILATOR-ASSOCIATED PNEUMONIA: REDUCING BURDEN AND DEMONSTRATING PREVENTABILITY**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under Sections 317, 317(k)(2), 318 and 318B of the Public Health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as

amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs, IV U.S.C 4002.

**OBJECTIVES:**

Ventilator-associated pneumonia (VAP) is one of the most common and deadly healthcare-associated infections (HAIs). Program activities under this funding will facilitate a study to demonstrate the utility and relevance of sVAP and promote acceptance of sVAP within the critical care community. Implementation of a new, reliable, valid, clinically credible and potentially automatable VAP surveillance definition will provide the foundation for national surveillance and prevention efforts and for pay-for-reporting and pay-for-performance programs, leading to improved patient safety and fewer complications for patients needing mechanical ventilation. Specifically, the objectives of this project are to: 1. Implement prospective sVAP surveillance in 9 acute-care hospitals currently conducting VAP surveillance using existing National Healthcare Safety Network (NHSN) definitions; 2. Compare the total sVAP surveillance burden to the total burden associated with use of existing NHSN VAP definitions; and 3. Implement an evidence-based VAP prevention initiative and evaluate sVAP preventability by assessing the association between sVAP rates and prevention measure compliance rates. Nine hospitals currently engaged in NHSN VAP surveillance will be recruited.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, data collection, organizing, and the implementation of program elements to build HAI prevention and public health capacity. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

**Applicant Eligibility:**

Eligible applicants include recipients funded under the CDC Prevention Epicenters Program (CI11-001):

- a. Chicago Prevention Epicenter
- b. Duke University Prevention Epicenter
- c. Harvard/Irvine Prevention Epicenter
- d. University of Pennsylvania Prevention Epicenter
- e. Washington University Prevention Epicenter.

**Beneficiary Eligibility:**

State and local health departments, U.S. Territories, and the general public.

**Credentials/Documentation:**

Allowable costs will be determined in accordance with OMB Circular No. A-87 for State, Local, and Indian Tribal governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer and emailed to the program

director and a hard copy mailed to the recipient fiscal officer identified in the application.

Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement and are subject to the availability of funds under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirements.

This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 18-month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. No cash reports are required. The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$1,544,309; and FY 12 est \$0 -

**Range and Average of Financial Assistance:**

Approximately \$1,544,309 in FY 2011 is anticipated to fund 1 application. The award period is 18 months. An applicant may request a project period up to 18 months for a total of \$1,544,309 including direct and indirect costs.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Tiffanee L. Woodard CDC, 1600 Clifton Rd., MS-A31  
, Atlanta, Georgia 30333. Phone: 404-639-7093. Fax: 406-639-4046.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by Division of Healthcare Quality Promotion (DHQP), NCEZID and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application and Submission Information, subsection Evaluation Criteria within the individual funding announcement. Applicants will be notified if their application did not meet program requirements.

**93.541 THE PATIENT PROTECTION AND AFFORDABLE CARE ACT OF 2010 (ACA)**

Racial and Ethnic Approaches to Community Health (REACH)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under section 301(a) and 317(k)(2) Patient Protection and Affordable Care Act of 2010, Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2311, sec 4201.

**OBJECTIVES:**

The overall goals of this program are to reduce death and disability from leading causes of death through the prevention and control of these conditions and their risk factors. Racial and ethnic groups targeted include: African American/Black, American Indian/Alaska Native, Asian, Native Hawaiian/Other Pacific Islander, and Hispanic/Latino. Health priority areas include: breast and cervical cancer; cardiovascular disease; diabetes mellitus; adult/older adult immunization, hepatitis B, and/or tuberculosis; asthma; and infant mortality. REACH and Community Health program recipients will design, implement, evaluate, and disseminate community-driven strategies to eliminate health disparities as well as provide capacity-building to increase effectiveness of chronic disease prevention and health promotion programs at the state, territorial and local level through professional development and workforce training, identification, communication and use of effective evidence-based interventions. More specific goals within these broad goal areas will be provided in funding announcements.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to support intensive approaches to chronic disease prevention and control described in Section 0.50 above. Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Recipients may not use funds for construction.

**Applicant Eligibility:**

Applications may be submitted by State or local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau). Eligible applicants also include public and private nonprofit organizations, for profit organizations, small, minority, women-owned businesses, universities, colleges, research institutions, hospitals, community-based organizations, faith-based organizations, Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations. Additional guidance may be provided in individual program announcements.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

Additionally, colleges, universities, private non-profit and public nonprofit domestic organizations, research institutions, and faith-based organization, states, political subdivisions of states, local health authorities, and individuals or organizations with specialized health interests will benefit.

**Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is covered under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

An technical review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding and satisfactory

programmatic progress. Project periods is for one year with a 12 month budget period. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods is for one year with a 12 month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual or semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Cash reports are not applicable. Annual or semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Annual or semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0094-3-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$24,501,000; and FY 12 est \$0 - 07-707 (REACH) - 21,761,848  
09-905 - (REACH NMO) \$500,000  
10-1014 - (REACH Core) \$2,239,152.

**Range and Average of Financial Assistance:**

07-707 (REACH) \$400,000 to 850,000;  
09-905 \$250,000 (REACH NMO)  
10-1014 \$200,000 to \$250,000. (REACH Core).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 74.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra L Coulberson 4770 Buford Highway, NE, Mailstop K30  
, Atlanta, Georgia 30341 Email: axc1@cdc.gov Phone: 770-488-5332 Fax:  
770-488-5974.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding will be directed to tribal, territorial, large county, and state and local health departments for evidenced-based policies, systems, and environmental programmatic activities. Non-governmental organizations are also eligible for funding opportunities. Additional criteria will be listed in individual funding opportunity announcements.

**93.542 HEALTH PROMOTION AND DISEASE PREVENTION RESEARCH CENTERS: AFFORDABLE CARE ACT PROJECTS**

Prevention Research Centers

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order This program is authorized under Section 4002 of the ACA, Prevention and Public Health Fund, Section 1706 of the PHS Act, 42 U.S.C. 300u-5, and Section 317(k)(2) of the PHS Act, 42 U.S.C. 247b(k)(2).

**OBJECTIVES:**

To: (1) To maintain, and operate academic-based centers for high-quality research and demonstration with respect to health promotion and disease prevention; (2) to establish linkages, where applicable, between ongoing, basic research in a wide array of fields and applied research in disease prevention and health promotion; (3) to bring the knowledge and expertise of academic health centers to bear on practical public health problems; (4) to field test and rigorously evaluate more cost-effective methods and strategies for preventing unnecessary illness and promoting good health; (5) to shorten the time lag between the development of new and proven effective disease prevention and health promotion techniques and their widespread application, and; (6) to involve the community in the development, conduct, and implementation of prevention research. Prevention Research Centers will: (1) focus on the major causes of death and disability, with an emphasis on underserved and vulnerable populations (2) improve public health practice through community-based participatory research, and (3) design, test, disseminate, or translate effective public health programs at the state and community level. Funding will support key elements of (1) infrastructure and administration, (2) community engagement and partnerships, (3) communication and dissemination, (4) training and education, (5) evaluation, (6) a community-based participatory core research project, and -- for some Prevention Research Centers, 7) special interest projects (SIPS).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for cost associated with planning, data collection, organizing, and the implementation of program elements related to the objectives identified in 050 above. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual. Recipients may not use funds for clinical care. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible to apply for funding.

**Applicant Eligibility:**

Only applicants who have applied for and have been selected as Prevention Research Centers under CDC Program Announcement DP-09-001 are eligible

to apply for the annual continuation funding. Funding is limited to Prevention Research Centers under CDC Program Announcement PA DP-09-001 because they are uniquely positioned to perform, oversee, and coordinate community-based participatory research that promotes the field of prevention research due to their established relationships with community partners.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants must have applied for and been selected as Prevention Research Centers under CDC Program Announcement DP-09-001. Applicants must document the need for assistance, state the objectives of the proposed project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application Procedure: The CDC Procurement and Grants Office (PGO) will provide a Prevention Research Center (PRC) Program Guidance document to eligibility applicants entitled How to Prepare the PRC Non-Competing Continuation Application and Progress Report. Applicants must manually submit an annual continuation application to PGO by the deadline provided in the Program Guidance document. If the applicant has difficulty, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: PGOTIM@cdc.gov.

**Award Procedure:**

CDC will not review incomplete and non-responsive continuation applications. Applications that are complete and responsive will be evaluated for scientific and technical merit by the CDC Scientific Collaborator for the project, the CDC Project Officer for the Prevention Research Center, and a Scientific Program Official within the CDC Extramural Research Program Office. Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer. The award will provide funds for the budget period of 12 months and the NGA will indicate allocation of Federal funds by budget categories and special conditions, if any. The project period for continuation funding is 12 months.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. None.

**Appeals:**

Not Applicable.

**Renewals:**

No renewals; the project period is 12 months.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. The program has no statutory formula. The program has no matching requirement. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period is 12 months with one budget period of 12 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

An interim progress report, financial status reports, and a final progress report are required. The final financial status and final report are due within 90 days

after the end of a Project Period. Cash reports are not applicable. An interim progress report, financial status reports, and a final progress report are required.

The final financial status and final report are due within 90 days after the end of a Project Period. An interim progress report, financial status reports, and a final progress report are required. The final financial status and final report are due within 90 days after the end of a Project Period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0094-3-1-550.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$10,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range from \$300,000 to \$625,000 per award for an average award of \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92 at <http://www.hhs.gov/opa/grants/toolsdocs/45cfr92.html>. HHS/CDC grants policies as described in the HHS Grants Policy Statement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Joyner Sims University Office Park  
Davidson Building, Room 1093  
2858 Woodcock Blvd., Atlanta, Georgia 30341. Phone: 770-488-3043. Fax: 770-488-8046.

**Website Address:**

<http://www.cdc.gov/> ; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

CDC will complete a review to evaluate responsive applications according to criteria provided in Section V of the Application Review Information of the Funding Opportunity Announcement (FOA). Applicants will be notified of the evaluation results.

**93.544 THE PATIENT PROTECTION AND AFFORDABLE CARE ACT OF 2010 (AFFORDABLE CARE ACT) AUTHORIZES COORDINATED**

## **CHRONIC DISEASE PREVENTION AND HEALTH PROMOTION PROGRAM**

Coordinated Chronic Disease Prevention and Health Promotion Program

### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

### **AUTHORIZATION:**

This program is authorized under section 301(a) and 317(k) of the Public Health Service Act, 42 U.S.C. 241(a) and 247b.

### **OBJECTIVES:**

Coordinated Chronic Disease Prevention and Health Promotion Program - The purpose of the program is to establish or strengthen Chronic Disease Prevention Programs within State and Territory Health Departments, to provide leadership and coordination, and support development, implementation and evaluation of CDC funded programs, including those addressing nutrition, physical activity and obesity, diabetes, heart disease and stroke, arthritis, cancer prevention and control, and diabetes. These inter-related conditions share risk factors and intervention strategies that would benefit from coordinated, collaborative implementation with consolidated leadership and oversight to ensure achievement of outcomes, efficient use of resources, implementation of evidence-based interventions, and dissemination of best practices across programs. The award recipients will be expected to establish or strengthen a Chronic disease Prevention Unit that provides leadership for chronic disease prevention and control, establishes cross cutting policy, communications, epidemiology and evaluation activities with the Chronic Disease Prevention Unit to support an array of categorical programs, foster collaboration and efficient use of resources across existing or new categorical programs addressing chronic diseases and their associated risk factors, best position programs and resources to achieve population level change in proposed chronic disease health and risk factor outcomes, and to identify specific population subgroups that suffer disproportionately from the conditions or risk factors being addressed and narrow the gaps in health status between these population subgroups and the population as a whole.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Funds may be used to support intensive approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows:

Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible. The use of and use restrictions are as follows:

Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

### **Applicant Eligibility:**

Eligible applicants that can apply for this funding opportunity are listed below: Grantees currently funded under D09-901 Collaborative Chronic Disease, Health Promotion, and Surveillance Program Announcement and DP09-902 Affiliated Pacific Island Collaborative Performance Agreement: Healthy

Communities, Tobacco Control, Diabetes Prevention and Control, and Behavioral Risk Factor Surveillance System, National Center for Chronic Disease Prevention and Health Promotion.

### **Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

### **Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

### **Award Procedure:**

All eligible applications will be initially reviewed for completeness by the Procurement and Grants Office (PGO) staff. Incomplete applications will not advance through the review process. Applicants will be notified the application did not meet eligibility and/or published submission requirements.

### **Selection**

All approved applications will be funded based on the formula provided in appendix A.

Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 120 to 180 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

> 180 Days. Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project periods are for 1 to 3 years with 12 month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 1 to 3 years with 12-month budget periods. See the following for information on how assistance is awarded/released: Notice of Award.

**Reports:**

Annual and semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a budget period. Cash reports are not applicable. Annual and semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a budget period. Final financial status and performance reports are required 90 days after the end of a budget period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0094-3-1-550.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$44,370,000; and FY 12 est \$138,000,000

**Range and Average of Financial Assistance:**

\$200,000 to 1,800,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

John R. Lehnerr, 4770 Buford Highway, NE., Mailstop K40, Atlanta, Georgia 30333 Email: jrl5@cdc.gov Phone: (770) 488-5402 Fax: (770) 488-5971.

**Website Address:**

<http://www.cdc.gov/>; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.545 CONSUMER OPERATED AND ORIENTED PLAN [CO-OP] PROGRAM**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Affordable Care Act Section 1322.

**OBJECTIVES:**

To provide assistance to applicants for activities related to establishing a consumer operated and oriented, nonprofit health insurance issuer. Please refer to the Funding Opportunity Announcement (FOA) for additional information.

**TYPES OF ASSISTANCE:**

Direct Loans

**USES AND USE RESTRICTIONS:**

Start-up Loans: Start-up Loans are intended to assist applicants with the start-up costs associated with establishing a new health insurance issuer, such as: renting or developing administrative and clinical information technology systems; renting or developing provider networks; hiring counsel and consultants to assist with State licensure requirements; hiring actuaries and management staff; conducting community and prospective member education; developing strategic plans to build enrollment; developing plans for quality improvement, member and provider services, and grievances and appeals systems with feedback loops to improve operations; establishing and participating in a private purchasing council; and other start-up costs. Solvency Loans: Solvency Loans are intended to assist eligible entities with meeting the solvency and reserve requirements of States in which the applicant seeks to be licensed to issue CO-OP qualified health plans. Loan recipients must use the loans awarded under the CO-OP program to fund the activities proposed and approved in the loan recipients application consistent with the terms of the organizations loan agreement with CMS. Loan recipients are prohibited from using the loans awarded under the CO-OP program to conduct marketing or carry on propaganda and other activities attempting to influence legislation. Start-up Loans: Start-up Loans are required to be repaid five years after each drawdown of funds. Solvency Loans: Solvency Loans are required to be repaid 15 years after each drawdown of funds. Please refer to the FOA for this program for more detail on each type of loan and the requirements for each type of loans use and repayment.

**Applicant Eligibility:**

Please refer to the FOA for more information.

**Beneficiary Eligibility:**

\*Please refer to the FOA for more information.

**Credentials/Documentation:**

Applicants must provide proof that they have formed a nonprofit member organization and are not prohibited from program participation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

All qualified applications will be forwarded to objective external reviewers. The CMS program official with delegated authority is responsible for final selection and funding decisions. In making these decisions, the program official will take into consideration: recommendations of the external reviewers; reviews for programmatic and grants management compliance; the reasonableness of the size of the loan request and anticipated results of funding the application; ability to repay the loan; and the likelihood that the proposed project will result in the benefits expected. CMS reserves the right to conduct pre-award Budget Negotiations with potential loan recipients. Notification is



made in writing by a Notice of Award.

**Deadlines:**

Oct 17, 2011: First Round. First Round Loans Grants.gov application due date: October 17, 2011;

Anticipated loan award date: January 12, 2012. Subsequent Loans

After the first round application due date (October 17, 2011), applications will be accepted on a quarterly basis until December 31, 2012.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Loan awards or a response to the application will be provided approximately 75 days after each applicant receives notice that its application is complete.

**Appeals:**

An applicant may request reconsideration of a loan application determination. Any determination made by CMS with respect to that loan application as a result of reconsideration is final and is not subject to reconsideration, appeals, or other administrative or judicial review related to that specific loan application. However, an applicant is not prohibited from submitting an entirely new loan application.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Start-up Loans must be repaid within 5 years of the date of each drawdown and Solvency Loans must be repaid within 15 years of the date of each drawdown. See the following for information on how assistance is awarded/released: The FOA will outline how assistance is awarded/released.

**Reports:**

Start-up and Solvency Loan Recipients. All successful applicants under this announcement must comply with the following reporting and review activities.

- a. Semi-Annual Progress Report. Loan recipients must provide the Project Officer information such as, but not limited to: Progress on the goals, objectives, milestones, and activities identified in its Business Plan and the Loan Agreement; Accomplishments, barriers, and lessons learned; Data on the loan recipients responsiveness to member grievance, maintenance of consumer control, and quality of care; Any changes in the Business Plan; and Updated financial reports and pro forma reports. More details of the semi-annual progress report will be outlined in the Loan Agreement and loan recipients will be provided with a reporting template.
- b. Annual Program Report; In addition to the semi-annual progress report, each loan recipient will be required to submit a program report annually, such as, but not limited to: Updated financial reports and pro forma reports; Certification of compliance with all applicable state insurance regulation or an explanation of any deficiencies or adverse actions or determinations by state insurance regulators and a timeline for resolving all issues with state insurance regulators; An updated Business Plan. More details of the annual report will be outlined in the Loan Agreement and loan recipients will be provided with a reporting template.
- c. Corrective Action Plan (CAP) If CMS concludes that a loan recipient has not complied with the requirements set forth in Section 1322 of the Affordable Care Act, 45 CFR part 156 subpart F, or in its Loan Agreement, CMS may require the loan recipient, via a notice of violation, to submit a CAP and implement the CAP as approved by CMS.
1. The loan recipient must submit, for CMS approval, a CAP by the deadline indicated on the notice of violation.
2. The CAP must specify the actions that the loan recipient will take to ensure that the loan recipient, its members, its providers and suppliers, and contracted entities performing services or functions on its behalf, will correct any deficiencies and remain in compliance with program requirements.
3. CMS will monitor the loan recipients performance during the CAP process.
4. Failure to submit, obtain approval for, or implement a CAP may result in termination of the loan agreement, as may failure to demonstrate improved performance upon completion of the CAP.
- d. Enhanced Oversight Plan CMS may place a loan recipient in an enhanced oversight plan if the loan recipient consistently

underperforms or repeatedly has difficulty in meeting program milestones and benchmarks, as identified in its loan agreement. Under an enhanced oversight plan, CMS will conduct stronger and more frequent review of the loan recipients operations and financial status. CMS may require the loan recipient to develop and implement a corrective action plan (CAP). In addition, CMS may provide technical assistance if CMS determines that doing so would improve the performance of the loan recipient and increase the likelihood of loan repayment.

e. Transparency Act Reporting Requirements New awards issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252 and implemented by 2 CFR Part 170. Recipients must report information for each first-tier sub award of \$25,000 or more in Federal funds and executive total compensation for the recipients and sub recipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (available online at www.frs.gov). Each loan recipient must submit a quarterly electronic SF 425 via the Payment Management System. The report identifies cash transactions and expenditures against the authorized funds for the loan. Please refer to the description provided in Reports (111) a. of this template for information on the semi-annual progress report. Each loan recipient must submit a quarterly electronic SF 425 via the Payment Management System. The report identifies cash transactions and expenditures against the authorized funds for the loan. Please refer to the FOA.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Each loan recipient must submit an audited annual financial report.

**Records:**

A loan recipient must comply with the requirements contained in the Funding Opportunity Announcement and its loan agreement. Specifically: (a) Right to audit. The loan recipient must agree, and must require its providers, suppliers, and contracted entities performing services or functions on behalf of the loan recipient to agree, that HHS, the Comptroller General, the OIG or their designees have the right to audit, inspect, and evaluate any books, contracts, records, documents, and other evidence of the loan recipient, and its providers and suppliers, and contracted entities that pertain to (1) The loan recipients compliance with program requirements; and (2) The ability of the loan recipient to repay loan funds to CMS. (b) Maintenance of records. A loan recipient must agree and must require its providers, suppliers, and contracted entities performing functions or services on behalf of the loan recipient to agree to the following: (1) To maintain and give HHS, the Comptroller General, OIG, or their designees access to all books, contracts, records, documents, and other evidence sufficient to enable the audit, evaluation, and inspection of the loan recipients compliance with program requirements; (2) To maintain such books, contracts, records, documents, and other evidence for a period of 10 years from the final date of the repayment period or from the date of completion of any audit, evaluation, or inspections, whichever is later, unless (i) CMS determines there is a special need to retain a particular record or group of records for a longer period and notifies the loan recipient at least 30 days before the normal disposition date; (ii) There has been a termination, dispute, or allegation of fraud or similar fault by the loan recipient, its providers, suppliers, or contracted entities that perform functions or services on its behalf, in which case the loan recipient must retain records for an additional 6 years from the date of any resulting final resolution of the termination, dispute, or allegation of fraud or similar fault; (iii) There is a reasonable possibility of fraud or similar fault by the loan recipient or its providers and suppliers, or contracted entities performing services or functions on behalf of the loan recipient, in which case CMS may inspect, evaluate, and audit the loan recipient at any time while the loan funds are in repayment; and (3) Notwithstanding any arrangements between or among a loan recipient and its members, providers and suppliers, and contracted entities performing functions or services on its behalf, the loan recipient must have ultimate responsibility for adhering to and otherwise fully

complying with all terms and conditions of its loan agreement with CMS, including the requirements set forth in this section.

**Account Identification:**

75-0118-0-1-551.

**Obligations:**

(Direct Loans) FY 10 Not Available; FY 11 est \$0; and FY 12 est \$3,800,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants should refer to the FOA for applicable regulations, guidance, and/or literature.

**Regional or Local Office:**

See Regional Agency Offices. Health and Human Services, Hubert H. Humphrey Building, Room 737F, 200 Independence Ave., SW, Washington, D.C. 20201.

**Headquarters Office:**

Michelle T. Feagins 200 Independence Ave., SW, Room 737F, Washington, District of Columbia 20201. Phone: 301-492-4312.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In awarding loans, CMS will evaluate applications (based upon type of loan) using factors identified in the FOA. Please refer to the FOA for additional evaluation criteria.

**93.546 EARLY RETIREE REINSURANCE PROGRAM**

Early Retiree Reinsurance Program

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Patient Protection and Affordability Act, Section 1102.

**OBJECTIVES:**

The program provides reimbursement to sponsors of participating employment-based plans for a portion of the cost of health benefits for early retirees and their spouses, surviving spouses, and dependents. The purpose of the reimbursement is to make health benefits more affordable for plan participants and sponsors so that health benefits are accessible to more Americans than they would otherwise be without this program.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

ERRP regulation specifies that the sponsor must use the proceeds under this program only for the following purposes: (1) To reduce the sponsors health benefit premiums or health benefit costs, or (2) To reduce health benefit premium contributions, copayments, deductibles, coinsurance, or other out-of-pocket costs, or any combination of these costs, for plan participants, or (3) To reduce any combination of the costs in (1) and (2) Proceeds under this program must not be used as general revenue for the sponsor. (See the ERRP regulation at 45 C.F.R. 149.200). The restrictions include using the funds in a manner other than as follows: (1) To reduce the sponsors health benefit premiums or health benefit costs, or (2) To reduce health benefit premium contributions, copayments, deductibles, coinsurance, or other out-of-pocket costs, or any combination of these costs, for plan participants, or (3) To reduce

any combination of the costs in (1) and (2) Proceeds under this program must not be used as general revenue for the sponsor. (See the ERRP regulation at 45 C.F.R. 149.200).

**Applicant Eligibility:**

In order to be eligible for the ERRP, a plan sponsor must complete and submit an ERRP application to the ERRP Center on or before May 5, 2011. In summary, the plan sponsor must be an organization that provides health benefits to Early Retirees, have programs and procedures in place that generate cost savings with respect to participants with chronic and high-cost conditions, use reimbursements appropriately, ensure that policies and procedures are in place to protect against fraud, waste and abuse under ERRP, and agree to the Plan Sponsor Agreement included in the ERRP application. The application will be reviewed and either approved or not approved for acceptance in to the program.

**Beneficiary Eligibility:**

In order to be eligible to receive reimbursements under the ERRP, a plan sponsor must complete and submit an ERRP application to the ERRP Center on or before May 5, 2011. If approved, both the sponsor, and early retirees and their spouses, surviving spouses and their dependents are direct or indirect beneficiaries of the program. In summary, the sponsor must be an organization that provides health benefits to Early Retirees, have programs and procedures in place that generate (or have the potential to generate) cost savings with respect to participants with chronic and high-cost conditions, use reimbursements appropriately, ensure that policies and procedures are in place to protect against fraud, waste and abuse under ERRP, and agree to the Plan Sponsor Agreement included in the ERRP application. The application will be reviewed and either approved or not approved for acceptance in to the program.

**Credentials/Documentation:**

A sponsor must submit an application for the program to the ERRP Center on or before May 5, 2011. After approval into the program, a sponsor must provide the ERRP Center with a list of the Early Retirees and the cost and claims data for which it is requesting in reimbursement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Sponsors must complete and submit an application to the ERRP Center on or before May 5, 2011. The application must be approved. An Account Manager and Authorized Representative must then successfully register in the ERRP secure website. Once registration is complete, a sponsor must provide its banking information in the secure website. A sponsor must then provide a list of the Early Retirees and the cost and claims data supporting its reimbursement request. The Authorized Representative is also required to affirm that the sponsor is complying with the program rules. After completing these steps, a sponsor may then actually submit a reimbursement request. The ERRP Center will make a determination of whether the reimbursement is approved or denied. If approved, the reimbursement will be deposited in the bank account chosen by the sponsor. Sponsors may request reimbursement one time, each calendar year quarter, for each plan year.

**Deadlines:**

May 05, 2011 The ERRP program started accepting applications June 30, 2010 and the program ends January 1, 2014, or when there are no more funds available for disbursement. Sponsors wishing to apply to the ERRP must submit an application to the ERRP Center on or before May 5, 2011.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. Applications are generally processed within 2 weeks. If additional information is required, then the ERRP Center will send communication to the sponsor.

**Appeals:**

Sponsors may not appeal an application determination, but may appeal an adverse reimbursement determination.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Patient Protection and Affordability Care Act, Part 1102, Subpart c. The statute at section 1102(c) of the Affordable Care Act requires the Secretary, upon receipt of a valid claim for health benefits, to make reimbursement in an amount of 80 percent of the portion of the health benefit costs (net of negotiated price concessions) attributable to the claims that exceed \$15,000, but are below \$90,000, during a plan year for a given early retiree or early retirees spouse, surviving spouse, or dependent. The payment thresholds may be adjusted in the future, based on changes in the medical care component of the Consumer Price Index.

Matching Requirements: This program has maintenance of contribution requirements, to ensure that the prohibition against using ERRP funds as general revenue, is complied with. A sponsor may demonstrate that it is maintaining its level of contribution in a number of ways: using aggregate spending trends, per-capita spending trends, or other methods subject to Secretarial approval. These options are set forth in a publicly posted Common Question.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The reimbursement will be available until January 01, 2014 or until the program no longer has funds available for disbursement. ERRP reimbursement may be requested once per calendar year quarter per each plan year. See the following for information on how assistance is awarded/released: After (1) the Account Manager and Authorized Representative successfully register via the ERRP secure website; (2) the sponsor provides banking information in the website; and (3) the sponsor provides a list of Early Retirees and the cost and claims data supporting reimbursement requests, the sponsor may submit a reimbursement request (after the authorized representative also affirms sponsor is complying with program rules). The ERRP Center will make a determination of whether the reimbursement is approved or denied. If approved, the reimbursement will be deposited in the bank account chosen by the sponsor. Sponsors may request reimbursement one time, each calendar year quarter, for each plan year.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits of sponsors will be conducted to ensure sponsors are in compliance with ERRP requirements.

**Records:**

The ERRP does not require specific progress, expenditure, cash reports, or performance monitoring at set intervals. However, the sponsors must comply with record maintenance requirements and provide records upon request in connection with audit or other ERRP integrity related activities. The Sponsors must maintain records for 6 years after the expiration of the plan year in which the costs were incurred, or longer if otherwise required by law. The records that must be retained are as follows (1) All documentation, data, and other information related to the regulations, and (2) Any other records specified by the Secretary. The Secretary may issue additional guidance addressing recordkeeping requirements, including (but not limited to) the use of electronic media. The sponsor must require its health insurance issuer or employment based plan, as applicable, to maintain and produce records upon request.

**Account Identification:**

75-0114-0-1-551.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$5,000,000,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - There is appropriated to the Secretary, out of any moneys in the Treasury not otherwise appropriated, \$5,000,000,000 to carry out the program under this section. Such funds shall be available without fiscal year limitation. Program ends January 1, 2014, or when there are no more funds available for disbursement.

**Range and Average of Financial Assistance:**

Smallest: \$165.58; Largest: \$64,993,651.44; Average: \$1,446,135.05 (All data as of 1/9/11).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are available at 45 CFR Part 149. Guidance, Common Questions, and additional literature is posted on the ERRP website: [www.errp.gov](http://www.errp.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Feagins 200 Independence Avenue, SW  
, Washington, District of Columbia 20201. Email: [michelle.feagins@hhs.gov](mailto:michelle.feagins@hhs.gov)  
Phone: 301-492-4312.

**Website Address:**

<http://www.healthcare.gov> and [www.errp.gov](http://www.errp.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.547 AFFORDABLE CARE ACT NATIONAL HEALTH SERVICE CORPS**

ACA - NHSC

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 338B of the Public Health Service (PHS) Act (42 United States Code Section 2541-1), as amended by P.L. 111-148, Affordable Care Act.

**OBJECTIVES:**

The National Health Service Corps (NHSC) assists Health Professional Shortage Areas (HPSAs) in every State, Territory, and Possession of the United States to meet their primary care, oral, and mental and behavioral health service needs by increasing the supply of clinicians through the following programs: National Health Service Corps Loan Repayment Program (LRP), National Health Service Corps Scholarship Program (SP), and State Loan Repayment Program (SLRP). The NHSC Loan Repayment Program offers fully trained primary care clinicians the opportunity to receive assistance to pay off qualifying educational loans in exchange for service in a HPSA. The NHSC Scholarship Program awards scholarships to health professions students committed to a career in primary care and service in underserved communities of greatest need. The NHSC State Loan Repayment Program provides matching funds in a form of a grant to States to operate their own repayment programs in HPSAs.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants

**USES AND USE RESTRICTIONS:**

NHSC Loan Repayment Awards provide payments of up to \$60,000 towards participants' qualified government and commercial health professions undergraduate and graduate education loans during the first 2 years of full time practice or 4 years of half time practice at a selected NHSC Loan Repayment Service Site under a written agreement with this program. NHSC Scholarships pay tuition and required fees to the school, a stipend to students and a single annual payment to the student to assist with other reasonable educational expenses. State Loan Repayment Funds under this grant must only be used to repay the qualifying educational loans of health professionals who have entered into SLRP contract with the States. Funds cannot be used for the following purposes: costs of administering the program, State matching funds, or any other purpose. Refer to each of the program funding opportunity

announcements that contain specific requirements for the NHSC Loan Repayment, NHSC Scholarship and State Loan Repayment Programs. 25%.

**Applicant Eligibility:**

Training.

**Beneficiary Eligibility:**

Health professional

U.S. citizen

Education (13+).

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires SLRP applicants to apply electronically through Grants.gov.

**Award Procedure:**

NHSC LRP awards are made based on the highest need as determined by descending health professional shortage area scores. Priority will be given to individuals whose training is in a health discipline or specialty determined by the Secretary for Health and Human Services to be needed by the NHSC and who the Secretary determines are committed to service in health professional shortage areas. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. NHSC SP awards are very competitive; the Program anticipates more applicants for scholarship awards than there are funds available. The applications of individuals who meet the eligibility criteria are scored numerically. For SLRP awards, all qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. For NHSC LRP and SLRP, approximately 120 days. For NHSC SP, notification to successful and rejected applicants is made no later than 6 months after deadline from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

For NHSC LRP, Contract amendments will be considered according to the availability of appropriated funds and eligibility criteria applied to the individual and the site at which that individual is employed. For NHSC SP, Renewal applications are not necessary for students in compliance; contracts may be multi-year funded through graduation (1 to 4 years, if the applicant signs the contract through the graduation date).

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. NHSC LRP and SP do not have matching requirements. SLRP Matching Requirements: Percent: 50%.

Fifty-percent (50%). States must agree to make available (directly or through donations from public or private entities) non-Federal contributions in cash toward SLRP contracts in an amount not less than \$1 for each \$1 of Federal funds provided in the grant. A State may not use any Federal funds or in-kind contributions to satisfy the non-Federal match requirement. A State must verify

that contributions from sources other than State appropriated funds are non-Federal. States may use non-Federal funds in excess of the \$1 for \$1 minimum match to supplement the repayment of qualifying loans of health professionals. The Federal share must be used to repay the government and commercial loans of health professionals for tuition, educational expenses and living expenses described in Section 338B(g)(1) of the Public Health Service Act. States must assume administrative costs. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

NHSC LRP - Loan repayments for 1 year of obligated service will be made no later than the end of the fiscal year in which the individual completes such year of service. NHSC SP - Each award covers 1 to 4 years of support, as requested. No awardees may receive more than 4 years of support. SLRP - A grant award is for 1 year. Applicants may propose a project period of up to 4 years. States are asked to commit the full amount of funding for their loan repayment awards to practitioners in the current fiscal year to avoid out-year commitments for additional Federal funds. See the following for information on how assistance is awarded/released: NHSC LRP and SLRP: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards. NHSC SP: Direct Deposit in recipients accounts through PSC.

**Reports:**

NHSC SP - Annual reports by schools indicating average student educational expenses. The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form each semester as a full-time student pursuing the program for which the scholarship was awarded. The employing facility must complete and send a semi-annual Employment Certification Form verifying that the participating health professional is providing full-time. The certification includes a signature by an appropriate official of the facility.

SLRP - Recipient States must submit: (1) a Financial Report within 90 days of the end of each budget period; (2) Semi-Annual Field Strength Reports through the HRSA Electronic Handbooks System (EHBs); (3) non-competing continuation application(s) report through the EHBs; (4) a Final Report. All grantees are required to submit a final report within 90 days after the project period ends. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. OMB Circular A-133 applies only to the SLRP program.

**Records:**

None for LRP and SP. For SLRP, Grantees are required to maintain grant accounting records 3 years after the date they submit the final Federal Financial Report. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 10 Not Available; FY 11 Not Separately Identifiable; and FY 12 Estimate Not Available - NHSC LRP - (Direct Payments for Specified Use) FY 11 \$172,536,100; NHSC SP - (Direct Payments for Specified Use) FY 11 \$45,580,000; SLRP - (Project Grants) FY 11 \$9,783,900.

**Range and Average of Financial Assistance:**

NHSC LRP - New awards range from \$970 - \$60,000, with an average award being \$44,775; NHSC SP - New awards range from \$31,139 - \$466,286, with

an average award being \$173,496; SLRP - Competing awards range from \$72,070 - \$1,000,000, with an average award being \$286,411.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

SLRP: This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Division of National Health Service Corps Health Resources and Services Administration, Department of Health and Human Services, Room 8-37, 5600 Fishers Lane., Rockville, MD 20857. Telephone: (301) 594-4400. For 24-hour toll-free calls from outside MD: (1-800) 221-9393, use for requesting applications.

**Headquarters Office:**

Bureau of Clinician Recruitment and Service (BCRS) Health Resources and Services Administration, Room 8-37, 5600 Fishers Lane, Rockville, Maryland 20857 Phone: (301) 594-4400. For 24-hour toll

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.288 National Health Service Corps Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

NHSC LRP - Priority will be given to applicants who are individuals whose training is in a health or specialty profession determined by the Secretary to be needed by NHSC. NHSC SP - By statute, first priority will be given to any applicant for such assistance, who has previously received a scholarship under this section or under section 758 of the PHS Act. Priority for consideration will be given to all students who have characteristics which increase the probability they will continue professional practice in a Health Professional Shortage Area when they complete their service obligation. Third priority will be given to students who are from a "disadvantaged background. SLRP - (a) The extent of the State's need for health professionals consistent with the health professions and specialties identified later in this notice; (b) the number and type of providers the State proposes to support through this program; (c) the appropriateness of the proposed placements of State LRP recipients (e.g., consistency and coordination with State-based plans to improve access to primary health services for the underserved communities and individuals); (d) the appropriateness of the qualifications, the administrative, and managerial ability of the staff to implement the proposed project; (e) the suitability of the State's approach and the degree to which the plan of a State is coordinated with Federal, State, and other programs for meeting the State's health professional needs and resources, including mechanisms for ongoing evaluation of the program's activities; (f) the source and plans for the use of the nonfederal match (the degree to which the nonfederal match exceeds the minimum requirements or has increased over time and the amount of the match relative to the needs and resources of the State); (g) for competing continuation applicants only, the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (h) an assessment of the reasons for initial breaches by health professionals of repayment contracts; and (i) the grantee's history of compliance with reporting requirements. Noncompeting continuation applications will be evaluated on the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (j) and assessment of the reasons for initial breaches by health professionals of repayment contracts; and (k) the grantee's history of compliance with reporting

requirements.

**93.548 THE PATIENT PROTECTION AND AFFORDABLE CARE ACT OF 2020 (2010)NUTRITION, PHYSICAL ACTIVITY AND OBESITY PROGRAM**

Nutrition, Physical Activity and Obesity Program

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Section 243, 247b(k)(2); and the Patient Protection and Affordable Care Act, Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2311, section 4201.

**OBJECTIVES:**

To assist State and local health authorities and other health related organizations in controlling communicable diseases, chronic diseases and disorders, and other preventable health conditions. Investigations and evaluation of all methods of controlling or preventing disease and disability are carried out by providing epidemic aid, surveillance, technical assistance, consultation, and program support; and by providing leadership and coordination of joint national, State, and local efforts. Nutrition, Physical Activity and Obesity Program is to improve healthful eating and physical activity to prevent and control obesity and other chronic diseases by building and sustaining statewide capacity, and implementing population based strategies and interventions. ACA funding: Policy Education -- To ensure public policy leaders have the tools and knowledge to support improvements in the public health infrastructure so that the public health system is prepared to respond to both acute and chronic threats relating to the Nation's health.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To support capacity building, program planning, development, implementation, evaluation, and surveillance for current and emerging chronic disease conditions related to preventing obesity and other chronic diseases. To achieve the program goals of increasing health related physical activity through population based approaches; improve those aspects of dietary quality most related to population burden of chronic disease and unhealthy child development and decreasing prevalence of obesity through prevention of excess weight gain and maintenance of healthy weight loss.

**Applicant Eligibility:**

Eligibility is limited to state and territorial health departments because they are uniquely qualified to develop and implement statewide surveillance systems to define and monitor nutrition and physical activity risk factors and the burden of obesity and other chronic diseases throughout the state, to develop and implement a comprehensive statewide nutrition, physical activity, and obesity plan (state plan), to provide overall state coordination of nutrition and physical activity promotion and obesity control activities among partners, to direct and oversee statewide interventions within overarching state policies, and to monitor critical aspects of obesity and the evaluation of the state plan. ACA funding: Conduct policy education aimed at strengthening public health infrastructure and performance including: 1) training/education about health reform as it relates to improvement of public health infrastructure investments; 2) networking between jurisdictions to ensure peer support and intra-jurisdictional learning about the role of public health in health reform; and 3) technical assistance in policy development that supports public health goals.

**Beneficiary Eligibility:**

States, political subdivisions of States, local health authorities, and individuals or organizations with specialized health interests will benefit. Colleges, universities, private non-profit and public nonprofit domestic organizations, research institutions, faith-based organizations, and managed care organizations for some specific programs such as Diabetes.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). HHS/CDC grants policies as described in the HHS Grants Policy Statement will apply to the applications submitted and awards made in response to this Funding Opportunity Announcement (FOA). If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public, initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. However, applicants are encouraged to call CDC for programmatic technical assistance prior to the development and submission of their assistance application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. If additional support is desired to continue a project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application. Projects are renewable for periods of 1 to 3 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Cost sharing is required from state sources in an amount not less than \$1 for each \$5 of Federal funds awarded. Applicants must provide evidence of cost sharing targeting nutrition or physical activity promotion and disease prevention of at least 17 percent of the total approved budget. A cost sharing requirement may not be met by costs borne by another federal grant.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from 1 to 5 years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. Method of awarding/releasing assistance: lump sum. See the following for information on how assistance is awarded/released: Notice of Award.

**Reports:**

No program reports are required. Cash reports are not applicable. Interim reporting requirements may be delineated in the FOA. Progress reports are required annually. Interim reporting requirements may be delineated in the FOA. Financial status reports are required annually. Progress reports are required annually. Upon completion of the project, performance reports are required. Interim reporting requirements may be delineated in the FOA. Financial status and progress reports are required annually. Upon completion of the project, final financial status and performance reports are required. Upon

completion of the project, final financial status reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$10,000,000; and FY 12 est \$0 - DP08-805 - 10,000,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published in the application kit and identified on the notices of award. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994. Code of Federal Regulations 45 CFR Part 74.

**Regional or Local Office:**

None.

**Headquarters Office:**

Clair Heiser 4773 Buford Highway, MS K103  
. Atlanta, Georgia 30341 Email: [CHeiser@cdc.gov](mailto:CHeiser@cdc.gov) Phone: 770-488-5284

**Website Address:**

<http://www.cdc.gov>; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed on the basis of scientific/technical merit, with attention given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as depth, breadth, and scientific merit of the overall application relative to the types of research and demonstration projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed prevention research projects and demonstration projects, and the nation's health priorities and needs; (3) ability to generalize,

translate and disseminate to State or local health departments, boards of education and other appropriate national regional, and local public health agencies and organizations; (4) reasonableness of the proposed budget in relation to the work proposed. Additional criteria will be listed in individual funding opportunity announcements.

### **93.549 AFFORDABLE CARE ACT (ACA) THE PRIMARY CARE SERVICES RESOURCE COORDINATION AND DEVELOPMENT PROGRAM**

State Primary Care Offices

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act as amended, Title 3, Sections 330 and 333, and the Patient Protection and Affordable Care Act of 2010, Public Law 111-148.

#### **OBJECTIVES:**

The Primary Care Services Resources Coordination and Development program is intended to support the States and territories in addressing the following overarching goals: 1. Organizational Effectiveness/Fostering Collaboration; 2. Technical Assistance to organizations/communities wishing to expand access; to primary care for underserved populations; 3. Needs Assessment/Data Sharing;

4. Workforce Development for the NHSC and Safety Net/Health Center Network;

and 5. Shortage Designation.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

The Primary Care Services Resources Coordination and Development program is intended to facilitate the coordination of activities within a State that relate to the delivery of primary care services and the recruitment and retention of critical health care providers. This includes working with other agencies within the State government, as well as organizations outside of the State government, whose policies affect the health care services. This program does not support the direct delivery of services. TBD.

#### **Applicant Eligibility:**

Eligible applicants include any State or territory, State agency, or other statewide public or nonprofit entity that operates solely within one State or territory.

#### **Beneficiary Eligibility:**

Eligible entities include States or territories, State agencies, or other statewide public or nonprofit organizations that operate solely within one State or territory. These entities must provide statewide coverage for primary health care issues and represent or have relationships with the broad range of primary health care delivery systems and programs in the State.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants for this program are required to apply electronically through Grants.gov.

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding

decisions.

Notification of award is made in writing by a Notice of Grant Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Two - four months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The Primary Care Services Resource Coordination and Development Program will provide funding during Fiscal Years 2009-2013. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

Refer to funding opportunity announcement for program reporting requirements. No cash reports are required. Refer to funding opportunity announcement for progress reporting requirements. Expenditure reports are not applicable. Refer to funding opportunity announcement for performance monitoring requirements.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Salaries) FY 10 \$2,000,000; FY 11 est \$2,000,000; and FY 12 est \$2,000,000

#### **Range and Average of Financial Assistance:**

The amount of the awards may range from approximately \$10,000 to \$37,000. Funding beyond the first year is dependent on appropriated funds from the HRSA's National Health Service Corps (NHSC) and Health Center Programs in subsequent fiscal years, grantee satisfactory performance, and a determination that continued funding is in the best interest of the government.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 53 new awards were funded. Fiscal Year 2011: 53 new awards were funded. Fiscal Year 2012: It is anticipated that 53 new awards will be funded in FY 12.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

#### **Regional or Local Office:**

See Regional Agency Offices. Rebecca Wilson  
Health Resources and Services Administration  
Bureau of Health Professions/Office of Shortage Designation  
5600 Fishers Lane Mailroom 9A-18  
301-594-4466.

**Headquarters Office:**

Bureau of Health Professions/Office of Shortage Designation 5600 Fishers  
Lane Mailroom 9A-18, Rockville, Maryland 20857 Phone: 301-594-4466

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.130 Cooperative Agreements to States/Territories for the Coordination and  
Development of Primary Care Offices

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Procedures for assessing the technical merit of grant applications have been instituted to provide for an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. Critical indicators have been developed for each review criterion to assist the applicant in presenting pertinent information related to that criterion and to provide the reviewer with a standard for evaluation. Review Criteria are used to review and rank applications. The Primary Care Services Resource Coordination and Development Program have six (6) review criteria: I: NEED - The applicant must clearly identify the purpose and state needs for grant support for this project. The need for the project is fully described and documented with relevant data. II: RESPONSE - The objectives for the project should relate to the identified problems/needs as related to the program goals and objectives. The work plan should clearly articulate and address the specific program expectations outlined in the program narrative section; organizational effectiveness, technical assistance, assessment of need/data sharing, workforce development, and shortage area designations. It is critical that the applicant demonstrate it addresses the broad array of primary care issues, services and organizations throughout the State. Objectives are measurable, realistic, and have specific outcomes indicated with timeframes stated. Outcome measures which are attainable within the states time frame are included.

III: EVALUATIVE MEASURES - Each application will be reviewed on the extent to which the proposal: 1) includes a clear, practical, and viable work plan including timeframes and proposed outcomes; and 2) clearly links project activities to the project objectives and outcomes. IV: IMPACT - Activities described clearly contribute to the accomplishment of each objective. Proposed activities are reasonable given the level and experience of staff, resources available, and length of the project period to carry out the proposed expectations.

V: RESOURCES/CAPABILITIES - Evidence is provided of the programs commitment, personnel experience, and success in working with State policies and resources addressing primary care for the underserved. VI: SUPPORT REQUESTED - A fiscal plan assuring effective use of grant funds and resources to carry out the project is provided. The proposed budget is reasonable and reflects effective use of funds to carry out the proposed activities. A detailed justification for each overarching goal and line item is provided. Funding plan by years is provided.

**93.550 TRANSITIONAL LIVING FOR HOMELESS YOUTH**

(TLP) Transitional Living for Homeless Youth and (MGH) Maternity Group Homes

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 1974; The Runaway and Homeless Youth Act, Title III, Part B, Section 321, Public Law 110-378, 42 U.S.C 5701-5752.

**OBJECTIVES:**

The overall purpose of the Transitional Living Program (TLP) for Homeless Youth and the Maternity Group Homes (MGH) is to establish and operate transitional living projects for homeless youth, including pregnant and parenting youth. This program is structured to help older homeless youth achieve self-sufficiency and avoid long-term dependency on social services. Transitional living projects provide shelter, skills training, and support services to homeless youth, including pregnant and parenting youth, ages 16 to less than 22. This extends the residential stay for homeless youth to 635 days or 21 months. MGHs provide the same services as the TLP in addition to providing parenting instructions and child care. Other services that are offered include, but are not limited to, transportation, family planning, and pregnancy prevention services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Transitional Living Programs are required to provide youth with stable, safe living accommodations and services that help them develop the skills necessary to move to independence. Living accommodations may be host family homes, group homes, Maternity Group Homes, or "supervised apartments." (Supervised apartments are either agency-owned apartment buildings or "scattered site" apartments, which are single-occupancy apartments rented directly by young people with support from the agency.) Eligible applicants include States, localities, private entities, and coordinated networks of such entities unless they are part of the law enforcement structure or the juvenile justice system. Federally recognized Indian organizations are also eligible to apply for grants as private, nonprofit agencies. Indian Tribes that are not federally recognized and urban Indian organizations are also eligible to apply for grants as private, nonprofit agencies. Faith-based organizations and small community-based organizations are eligible to apply for Transitional Living Program grants.

**Applicant Eligibility:**

States, localities, private entities, and coordinated networks of such entities are eligible to apply for a Transitional Living Program grant unless they are part of the law enforcement structure or the juvenile justice system. Federally recognized Indian organizations are also eligible to apply for grants as private, nonprofit agencies. Faith-based organizations and small community-based organizations are eligible to apply.

**Beneficiary Eligibility:**

Homeless youth (ages 16 to 21).

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administration procedures will be determined in accordance with Parts 74 and 92 or Title 45, Code of Federal Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts, which assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau, who makes recommendations to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**



Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Awards are made for 5-year project periods; funding after the first year is dependent upon satisfactory performance, availability of funds and determination that continued funding would be in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 10.0%.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded competitively for project periods of 5 years. Funded applicants receive their full award amount each year of the five year funding cycle. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Quarterly using the SF-272 Federal Cash Transaction Report through the payment management system. Funded applicants are required to submit semi-annual program narrative reports, SF-425 financial reports as well as RHYMIS raw data client service reports. A final narrative and SF-425 financial report is due at the completion of the five year funding cycle. Semi-annually using the SF-PPR- Performance Progress Report. Semi-annually using the SF-425 Financial Status Report. An onsite review by federal staff is performed at least once during a project period using the Runaway and Homeless Youth Monitoring Protocol.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$43,990,000; FY 11 est \$43,902,000; and FY 12 est \$43,990,000

**Range and Average of Financial Assistance:**

Range of grant is \$100,000 to \$200,000; the average grant is \$190,088.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 216 grants were funded in FY 10 and 1,200,000 in contracts. Fiscal Year 2011: 216 grants are expected to be funded in FY 11 and \$1,200,000 in contracts. Fiscal Year 2012: 216 grants are expected to be funded in FY 12 and \$1,700,000 in contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address <http://www.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link. Information is also available through the National Clearinghouse on Families and Youth, P.O. Box 13505, Silver Spring, MD 20911-3505. Telephone: (301) 608-8098. Fax: (301) 608-8721. The National Clearinghouse on Families and Youth website address is [www.ncfy.com](http://www.ncfy.com).

**Regional or Local Office:**

See Regional Agency Offices. Contact: Administration for Children and Families, Family and Youth Services Bureau (See Appendix IV of this Catalog for the addresses of the Regional Offices.).

**Headquarters Office:**

Curtis Porter 1250 Maryland Avenue, SW, Washington, District of Columbia 20447 Email: [curtis.porter@acf.hhs.gov](mailto:curtis.porter@acf.hhs.gov) Phone: 202-205-8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth; 93.623 Basic Center Grant; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: [http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html).

**93.551 ABANDONED INFANTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Abandoned Infants Assistance Act of 1988, Section 104, Public Law 100-505, as amended; Abandoned Infants Assistance Act of 1988; Section 104, Public Law, as amended; Section 101, The Child Abuse Prevention and Treatment Act (CAPTA), as amended by Public Law 111-320, the CAPTA Reauthorization Act of 2010., Section 302, 42 U.S.C 670.

**OBJECTIVES:**

Section 50 - To develop, implement and operate projects to demonstrate methods to: (1) prevent the abandonment of infants and young children, including the provision of services to members of the natural family for any condition that increases the probability of abandonment of an infant or young child; (2) identify and address the needs of abandoned infants and young children; (3) assist abandoned infants and young children to reside with their natural families or in foster care, as appropriate; (4) recruit, train and retain foster families for abandoned infants and young children; (5) carry out residential care programs for abandoned infants and young children, who are unable to reside with their natural families, to be placed in foster care; (6) carry out programs of respite care for families and foster families of infants and young children described in subsection (b); (7) recruit and train health and social services personnel to work with natural families, foster care families and residential care programs for abandoned infants and young children; and (8) prevent the abandonment of infants and young children, and to care for the infants and young children who have been abandoned, through model programs providing health, educational, and social services at a single site in a geographic area in which a significant number of infants and young children described in subsection (b) reside (with special consideration given to applications from entities that will provide the services of the project through community-based organizations). This program also funds technical assistance, including training, with respect to the planning, development and operation of the projects.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to accomplish any of the stated program objectives.

**Applicant Eligibility:**

State or local governments; federally- recognized Indian Tribal governments; U.S. Territories and possessions; and nonprofit organizations and universities.

**Beneficiary Eligibility:**

Infants and children impacted by HIV/AIDS and or substance abuse, their parents, families, and other caretakers.

**Credentials/Documentation:**

Requirements will be specified in pertinent Federal Register Announcements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application procedure can be obtained at: <http://www.acf.hhs.gov/grants/index.html> or by contacting Headquarters Office, listed below, for application information.

**Award Procedure:**

Review is conducted by at least three non-federal professionals. Final funding decision will be made by Commissioner, ACYF.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 180 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10%. Matching requirements are described in each Funding Opportunity Announcement. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will be made for a period up to 48 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program progress reports are required semi-annually; a final report is required no later than 90 days after the completion of the project. Financial reports are required semi-annually, a final expenditure report must be submitted no later than 90 days after the completion of the project. Program progress reports are required semi-annually; a final report is required no later than 90 days after the completion of the project. Financial reports are required semi-annually, a final expenditure report must be submitted no later than 90 days after the completion of the project. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be maintained for 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$11,600,000; FY 11 est \$11,605,000; and FY 12 est \$11,575,000

**Range and Average of Financial Assistance:**

Awards range from \$218,996 to \$850,000 with the average award being \$491,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, 19 grants were awarded. Fiscal Year 2011: In fiscal year 2011, it is estimated that 19 grants will be awarded. Fiscal Year 2012: In fiscal year 2012, it is estimated that 19 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Campiglia, 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: [patricia.campiglia@acf.hhs.gov](mailto:patricia.campiglia@acf.hhs.gov) Phone: (202) 205-8060.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Demonstration projects designed to prevent the abandonment of drug-affected and HIV positive infants and young children; to maintain family stability and to reunify and strengthen families impacted by substance abuse and HIV/AIDS; service demonstration projects designed to provide comprehensive, coordinated and community-based social support services to clients in a location accessible to the target population; to provide support for family caregivers, and provide therapeutic services in a recreational setting for HIV-infected or affected children and young people. Fiscal Year 2011: Demonstration projects designed to prevent the abandonment of drug-affected and HIV positive infants and young children; to maintain family stability and to reunify and strengthen families impacted by substance abuse and HIV/AIDS; service demonstration projects designed to provide comprehensive, coordinated and community-based social support services to clients in a location accessible to the target population; to provide support for family caregivers, and provide therapeutic services in a recreational setting for HIV-infected or affected children and young people. Fiscal Year 2012: Demonstration projects designed to prevent the abandonment of drug-affected and HIV positive infants and young children; to maintain family stability and to reunify and strengthen families impacted by substance abuse and HIV/AIDS; service demonstration projects designed to provide comprehensive, coordinated and community-based social support services to clients in a location accessible to the target population; to provide support for family caregivers, and provide therapeutic services in a recreational setting for HIV-infected or affected children and young people.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact Headquarters Office for specific criteria.

**93.556 PROMOTING SAFE AND STABLE FAMILIES****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, as amended, Title IV, Part B, Section Subpart 2.

**OBJECTIVES:**

To prevent the unnecessary separation of children from their families, improve the quality of care and services to children and their families, and ensure permanency for children by reuniting them with their parents, by adoption or by another permanent living arrangement. This is accomplished through issuance of grants to State child welfare agencies and eligible Indian Tribes to serve families at risk or in crisis, including provision of the following services: reunification and adoption services, preplacement/preventive services, follow-up services after return of a child from foster care, respite care, services designed to improve parenting skills; and infant safe haven programs; to fund community-based family support services that promote the safety and

well-being of children and families, to afford children a safe, stable and supportive family environment, to strengthen parental relationships and promote healthy marriages, and otherwise to enhance child development; time-limited family reunification services to facilitate the reunification of the child safely and appropriately within a timely fashion; and adoption promotion and support services designed to encourage more adoptions out of the foster care system, when adoption, promotes the best interests of the child. In addition, a portion of funds also is reserved in FY 2008 - FY 2011 for a separate formula grant for States and territories to support monthly caseworker visits with children who are in foster care. A small proportion of appropriated funds are reserved for research, evaluation and technical assistance, which may be awarded competitively through contracts or discretionary grants.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For the main Promoting Safe and Stable Families Formula Grants, a significant portion of funds must be spent on each of the service categories of family preservation, family support services, time-limited family reunification services and adoption promotion and support services. State grantees must limit administrative costs to 10 percent of the total expenditures required to draw their allotment. Caseworker visit formula grants: States and territories are required to spend funds to support monthly caseworker visits with children in foster care with a primary emphasis on activities designed to improve caseworker retention, recruitment, training and ability to access the benefits of technology. Discretionary Grants: Grants are awarded for research, evaluation and technical assistance activities relating to family support, family preservation, time-limited family reunification and adoption promotion support.

**Applicant Eligibility:**

(1) Formula Grants: States, territories and certain Indian Tribes are eligible applicants. For caseworker visit funds, only States and territories are eligible applicants. (2) Discretionary Grants: States, local governments, tribes, public agencies or private agencies or organizations (or combinations of such agencies or organizations) with expertise in providing, evaluating and/or providing technical assistance related to family preservation, family support, time-limited family reunification and adoption promotion and support.

**Beneficiary Eligibility:**

Families and children who need services to assist them to stabilize their lives, strengthen family functioning, prevent out-of-home placement of children, enhance child development and increase competence in parenting abilities, facilitate timely reunification of the child, and promote appropriate adoptions.

**Credentials/Documentation:**

Formula Grants: The State agency which administers the social services program under Title XX of the Social Security Act (Social Services Block Grant) must also be the agency which administers the Title IV-B programs. Discretionary Grants: Nonprofit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discretionary grants under this program are eligible for coverage under E.O. 12372, however, formula grants are not. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application Procedure (1) Formula Grants: A 5-year agency plan must be submitted. A full plan (every five years) or a plan update is due for submission by June 30th of each year. The plan must be jointly developed by the Secretary and the State or Indian Tribe and written after consultation by the agency with appropriate public and non-profit private agencies and community-based organizations. The plan must coordinate the provision of services under Title IV-B with services under other

Federal or federally-assisted programs serving the same populations. (2) Discretionary Grants: Announcement of availability of funds is published in the Federal Register. Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

(1) Formula Grants: Funds will be approved after the agency plan, or annual update is submitted and approved.(2) Discretionary Grants: Grant applications are reviewed by a panel of nonfederal professionals with expertise in child and family services, evaluation and related fields. Final decisions are made by the Commissioner, Administration for Children, Youth, and Families (ACYF). Contract proposals are reviewed by a panel of Federal Staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time (1) Formula Grants: The agency plan or its annual update is due June 30 of each year. Approval/disapproval is due September 30 of each year. (2) Discretionary Grants: From 3 to 6 months.

**Appeals:**

Appeals are processed in accordance with Departmental regulations at 45 CFR 16.

**Renewals:**

Discretionary Grants: Grants are generally available for a 12-, 24-, or 36- month period. Some may be renewed for up to a total of 5 years. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 25.%. Statutory Formula: (1) Formula Grants: State allotments are computed based on the number of children receiving food stamps over a three year rolling average. Allotments to Indian Tribes, including Tribal consortia are based on a percent set aside of the total appropriation in each fiscal year and computed based on the number of children in the tribe compared to the total number of children in eligible Indian Tribes. However, grants will not be made to Indian Tribes whose allotment is less than \$10,000. Allotments to Territories are based on the formula in subpart 1 of Title IV-B. Matching Requirements: FFP is available up to the full allotment at the rate of 75 percent for allowable program expenditures made by the grantee. Grantees must provide a 25 percent match for these expenditures. (2) Discretionary Grants: The funding formula and matching requirements are described in each program announcement.

This program has MOE requirements, see funding agency for further details. A MOE requirement is applicable to the formula grants to States. Specifically, States may not use the Federal funds under title IV-B, subpart 2, to supplant Federal or non-Federal funds for existing family preservation and family support services as of 1992 (base year). The discretionary grants component of this program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

(1) Formula Grants: Grants are available for obligation and liquidation in the FY granted and in the subsequent FY. Grant awards will be made quarterly on a fiscal year basis through a letter of credit. The Electronic Transfer System will be used for monthly cash draws from Federal Reserve Banks. (2) Discretionary Grants: Grants are generally available for a 12-, 24-, or 36- month period. Some may be renewed for up to a total of 5 years. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds. Method of awarding/releasing assistance: quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

(1) Formula Grants: After the end of each of the first four fiscal years, the States, Territories, and Indian Tribes must submit an interim review of progress toward accomplishment of the goals in the State or tribal plan. After the end of the fifth fiscal year, the States and Indian Tribes must perform a final review of progress toward accomplishment of the goals. An SF-425 financial status report must be submitted for the funds awarded in each Federal fiscal year (FFY) within three months after the close of the FFY in which the funds were granted (interim report) and again within three months after the close of the

subsequent FFY (final report). Performance monitoring is conducted through the Children and Family Services Review (CFSR) process in accordance with 45 CFR 1355.31 - 1355.37. (2) Discretionary Grants: Financial and program reports are required semiannually with a final report at completion of the project. PSC-272 and annually, SF-425. PSC-272. (1) Formula Grants: After the end of each of the first four fiscal years, the States, Territories, and Indian Tribes must submit an interim review of progress toward accomplishment of the goals in the State or tribal plan. After the end of the fifth fiscal year, the States and Indian Tribes must perform a final review of progress toward accomplishment of the goals. (2) Discretionary Grants: Financial and program reports are required semiannually with a final report at completion of the project. Annually, SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirement of 45 CFR Part 92.

**Records:**

(1) Formula Grants: Grantees must develop and maintain records which permit review of expenditures in accordance with the provisions of 45 CFR Part 92.20 and 92.42. (2) Discretionary Grants: All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$376,221,737; FY 11 est \$376,221,737; and FY 12 est \$376,221,737

**Range and Average of Financial Assistance:**

States and Territories: \$178,909 to 35,724,261 with an average of \$6,216,651. START Tribes: \$10,503 to \$1,634,595, with an average of \$87,693. Discretionary grant awards range from \$100,000 to 1,040,000 with the average award being \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 291 grants were issued. Fiscal Year 2011: In FY 2011, it is anticipated that 291 grants will be issued. Fiscal Year 2012: In FY 2012, it is anticipated that 291 grants will be issued.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355 and 45 CFR 1357.

**Regional or Local Office:**

See Regional Agency Offices. Consult Regional Administrators, Administration for Children and Families. (See Appendix IV of the Catalog for listing).

**Headquarters Office:**

Eileen West, 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: eileen.west@acf.hhs.gov Phone: (202) 205-8438.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.087 Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse; 93.586 State Court Improvement Program; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.659 Adoption Assistance; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.557 EDUCATION AND PREVENTION GRANTS TO REDUCE SEXUAL ABUSE OF RUNAWAY, HOMELESS AND STREET YOUTH**

(SOP) Street Outreach Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Reconnecting Homeless Youth Act of 2008, Public Law 110-378 Part E.

**OBJECTIVES:**

The Street Outreach Program (SOP) makes grants available to nonprofit agencies for the purpose of providing street-based services to runaway, homeless and street youth who have been subjected to, or are at risk of being subjected to, sexual abuse, prostitution, or sexual exploitation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provide education and prevention services, directly or through collaboration with other agencies, to runaway, homeless and street youth that have been subjected to or are at risk of sexual exploitation or abuse. The goal and design of these efforts is to help young people leave the streets to build positive relationships.

**Applicant Eligibility:**

Any private, nonprofit agency is eligible to apply. Nonfederally recognized Indian Tribes and urban Indian organizations are eligible to apply for grants as private, nonprofit agencies: (Note: Public agencies are not eligible).

**Beneficiary Eligibility:**

Runaway and homeless street youth will benefit.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with 45 CFR 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Consultation or assistance is available from the Family and Youth Services (FYSB), Administration for Children and Families, Department of Health and Human Services. The standard application forms furnished by DHHS and required by OMB Circular No. A-102 must be used for this program. An applicant should consult the office or official designated as the Single Point of Contact (SPOC) in his or her State for more information on the process. (NOTE: State/territory participation in the intergovernmental review process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts that assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau. Recommendations are made to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are generally made for 3-year project periods; funding for the second and third year is dependent upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantee must provide a nonfederal share or match of at least 10 percent of the Federal funds awarded. The nonfederal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a period of 36 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

Progress and fiscal reports must be submitted semi-annually. A final program and expenditure report must be submitted within 90 days after the completion of the project period. Fiscal reports (SF-425) must be submitted semi-annually. A final program and expenditure report must be submitted within 90 days after the completion of the project period. \*See program reports (narratives). \*See cash reports (SF-425). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$17,971,000; FY 11 est \$17,935,000; and FY 12 est \$17,971,000 -

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000 per budget period; Average award is \$100,885.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 160 grants were funded in FY 10 and \$1,200,000 in contracts. Fiscal Year 2011: It is anticipated that 160 grants will be awarded in FY 11 and \$1,600,000 in contracts. Fiscal Year 2012: It is anticipated that 160 grants will be awarded in FY 12 and \$1,600,000 in contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services website at the following address <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link. Information is also available through the National Clearinghouse on Families and Youth, 5515 Security Lane Suite 800 North Bethesda, MD 20852. Telephone: (301) 608-8098. Fax: (301) 608- 8721. The National Clearinghouse on Families and Youth website address is <http://www.http://ncfy.acf.hhs.gov> and general email address is [info@ncfy.com](mailto:info@ncfy.com).

**Regional or Local Office:**

See Regional Agency Offices. Contact: Administration for Children and Family, Family and Youth Services Bureau, Division of Youth Services. (See

Appendix IV of this Catalog for the addresses of the Regional Offices.).

**Headquarters Office:**

Curtis Porter 1250 Maryland Avenue, S.W., Washington, District of Columbia 20447 Phone: 202.205.8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.550 Transitional Living for Homeless Youth; 93.623 Basic Center Grant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY10, 160 grants were awarded for street-based education and outreach, emergency shelter, survival aid, individual assessment, treatment and counseling prevention and education activities, information and referral, crisis intervention, and follow-up support. Fiscal Year 2011: In FY 11, 160 grants are expected to be awarded for street-based education and outreach, emergency shelter, survival aid, individual assessment, treatment and counseling prevention and education activities, information and referral, crisis intervention, and follow-up support. Fiscal Year 2012: In FY 12, 160 grants are expected to be awarded for street-based education and outreach, emergency shelter, survival aid, individual assessment, treatment and counseling prevention and education activities, information and referral, crisis intervention, and follow-up support.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: [http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html). Organizations with experience in providing services to homeless youth are given priority.

**93.558 TEMPORARY ASSISTANCE FOR NEEDY FAMILIES**

(TANF)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part A, 42 U.S.C 601 et seq.

**OBJECTIVES:**

To provide grants to States, Territories, the District of Columbia, and Federally-recognized Indian Tribes operating their own Tribal TANF programs to assist needy families with children so that children can be cared for in their own homes; to reduce dependency by promoting job preparation, work, and marriage; to reduce and prevent out-of-wedlock pregnancies; and to encourage the formation and maintenance of two-parent families.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States, Territories, the District of Columbia, and Federally-recognized Indian Tribes operating their own TANF programs have broad flexibility to use the grant funds in any manner that meets the purposes of the program (including providing low-income households with assistance in meeting home heating and cooling costs) and in ways that States and Territories were authorized to use funds received under the predecessor Aid to Families with Dependent Children (AFDC), Job Opportunities and Basic Skills Training (JOBS), and Emergency Assistance (EA) programs. States and Territories may also transfer a limited portion of their assistance grant funds to the Child Care and Development Block Grant (CCDBG) and Social Services Block Grant (SSBG) Programs. Not more than 15 percent of any State grant may be spent on administrative costs, exclusive of certain computerization and information technology expenses. Cash grants, work opportunities, and other services are made directly to needy families with children. For Tribal programs, ACF will negotiate a limitation on administrative costs for the first year of the program's operation not to exceed 35 percent, for the second year of the program's operation not to exceed 30 percent, and then for the third and subsequent years of the program's operation not to exceed 25 percent. For the TANF program, there are certain prohibitions, restrictions, and limitations on the provision of assistance. For example, families may only receive Federally-funded assistance for five years. In

addition, Federal funds may not be used to provide medical services, unless they are pre-pregnancy family planning services (Tribes, however, may use Federal funds for medical services if they are job-related).

**Applicant Eligibility:**

In general, all States, Territories, the District of Columbia, and all Federally-recognized Tribes in the lower 48 States and 13 specified entities in Alaska are eligible. State and local agencies and Tribes that operate TANF programs must do so under plans determined to be complete (or for Tribes approved) by the Department of Health and Human Services (DHHS). For Contingency Funds, all States and the District of Columbia are eligible if they are determined to be a "needy State" by satisfying either an unemployment trigger or a food stamp trigger. Territories and Tribes are not eligible for Contingency Funds.

**Beneficiary Eligibility:**

Needy families with children, as determined eligible by the State, Territory, or Tribe in accordance with the State or Tribal plan submitted to the Department of Health and Human Services (HHS).

**Credentials/Documentation:**

Federal funds go to the State, Territory, or Tribal agency certified by the Chief Executive Officer. Needy families must meet State or Tribal eligibility requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each State, Territory, and the District of Columbia must develop a State plan and include the certifications signed by the Executive Officer (Governor). Applicants must consult with local governments and private organizations and provide them 45 days to comment on the plan. The State plan and certifications must be submitted to the Secretary of HHS. Tribes may apply to the Secretary to receive funds and to administer the TANF block grant. Tribes would submit a 3-year family assistance plan. The Secretary, in consultation with the Tribe, would set program requirements and time-limits for receipt of welfare-related services, consistent with the purposes of the program and economic conditions/resources of each Tribe. Tribes should contact the OFA Regional TANF Program Manager for further Tribal plan submittal procedures. For Contingency Funds, each State must request these funds monthly for each month they meet either the unemployment or food stamp triggers. For Supplemental Grants, there is no application. Supplemental Grants are awarded annually and issued quarterly to the States (in number 17) with exceptionally high population growth in the early 1990s, historic (1994) welfare grants per poor person lower than 35 percent of the national average, or a combination of above average population growth and below average historic welfare grants per poor person.

**Award Procedure:**

Once a plan is determined complete, or in the case of a Tribe the plan is approved, by the DHHS, Family Assistance Grants are awarded in quarterly payments. Supplemental Grants are also awarded in quarterly payments. Contingency Fund awards will be made monthly.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

States, Territories, the District of Columbia, and Tribes implement their assistance programs according to their State and Tribal plans. The Secretary does not have authority to approve or disapprove a State plan, only to determine its completeness. Tribal plans are subject to approval by the Secretary. For Contingency Funds, approval/disapproval will be from 30 to 60 days after receipt of the request for funds.

**Appeals:**

States, Territories, the District of Columbia, and Tribes facing an adverse action by the Secretary may appeal under both administrative and judicial procedures.

In addition, States, Territories, the District of Columbia, and Tribes must provide opportunities for recipients who have been adversely affected to be heard in a State or Tribal administrative or appeal process.

**Renewals:**

States, Territories, and the District of Columbia must periodically (every 2 or 3 years) renew their funding status by submitting their TANF plan. Tribes must renew their funding status every 3 years. For Contingency Funds, requests for additional funding must be made monthly.

**Formula and Matching Requirements:**

Statutory Formula: Title 45 CFR, Chapter 2, Part 260; 286.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

States, Territories, the District of Columbia, and Tribes are awarded their assistance grants in quarterly payments. They may reserve grant moneys, without fiscal year limitation, to provide any allowable benefits and services that are consistent with the purposes of the TANF program. With certain exceptions, most families are limited to no more than 5 years of assistance under the Federal grant. Tribes have the flexibility to establish time limits on receipt of assistance. For Contingency Funds, grant awards are issued monthly to States meeting the eligibility criteria stipulated under Section 101. Method of awarding/releasing assistance: quarterly.

**Reports:**

States, Territories, the District of Columbia, and Tribes operating their own Tribal TANF programs are required to collect and report to the Secretary on a quarterly basis case record information on the families receiving assistance. They are also required to report administrative costs and overhead expenditures on programs for needy families, participation by noncustodial parents in work activities, and transitional services provided to former recipients. They may be required to report child poverty information annually in accordance with the methodology the Secretary has established by regulation. No cash reports are required. No progress reports are required. Quarterly financial reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits shall be conducted by the Inspector General under Chapter 75 of Title 31, United States Code. If a State or Territory is found to have used funds from the State Family Assistance Grant in violation of the statute, the Secretary shall reduce the grant payable to them for the immediately succeeding fiscal year by that same amount. For Tribes, the Secretary will have the ability to maintain program funding accountability consistent with generally accepted accounting principles and the requirements of the Single Audit Act of 1984 and OMB Circular A-133.

**Records:**

States, Territories, the District of Columbia, and Tribes must maintain records containing information the Secretary may require by regulation.

**Account Identification:**

75-1552-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$0; FY 11 est \$211,000,000; and FY 12 est \$319,450,000 - (Supplemental Grants for Population Increases). (Formula Grants) FY 10 \$77,701,268; FY 11 est \$77,875,000; and FY 12 est \$77,875,000 - (Territory Assistance Grants and Matching Grants). (Formula Grants) FY 10 \$16,453,660,849; FY 11 est \$16,488,667,000; and FY 12 est \$16,488,667,000 - (State and Tribal Family Assistance Grants). (Formula Grants) FY 10 \$212,396,740; FY 11 est \$334,000,000; and FY 12 est \$612,000,000 - (Contingency Funds--estimated ending balance).

**Range and Average of Financial Assistance:**

State and Tribal Family Assistance grants are estimated from \$77,195 to

\$3,659,482,790 with an average of \$149,896,973.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, grants were made to 50 States, the District of Columbia, three Territories, and 64 Tribes. Fiscal Year 2011: In FY 2011, grants will be made to 50 States, the District of Columbia, three Territories, and 65 Tribes. Fiscal Year 2012: In FY 2012, it is anticipated that grants will be made to 50 States, the District of Columbia, three Territories, and a projected 75 Tribes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Temporary Assistance for Needy Families (TANF) Final Rule was originally published in the Federal Register on April 12, 1999 (Vol. 64, No. 69). Publication of the Deficit Reduction Act of 2005 was published in the Federal Register on February 5, 2008 (Vol. 73, No. 24) to incorporate changes resulting from reauthorization of the TANF program. Program rules for State programs can be found at 45 CFR Parts 260 through 265. The Tribal Temporary Assistance for Needy Families (TANF) Final Rule was published in the Federal Register on February 18, 2000 (Vol. 65, No. 34). Tribal rules can be found at 45 CFR Part 286.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Carol Monteiro, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Boston Regional Office, JFK Building, Rm. 2000, Boston, MA 02203. Telephone: (617) 565-2462.

Region II (NJ, NY):

Joanne Krudys, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 127.

Region III (DC, DE, MD, PA, VA, WV):

Eileen Friedman, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4058.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Eric Blanchette, Acting Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Atlanta Regional Office, 61 Forsyth Street, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2782.

Region V (IL, IN, MI, MN, OH, WI):

Steven Krasner, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-3265.

Region VI (AR, LA, NM, OK, TX):

Larry Brendel, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Dallas Regional Office, 1301 Young Street, Room 945, Dallas, TX 75202. Telephone: (214) 767-6236.

Region VII (IA, KS, MO, NE):

Gary Allen, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Kansas City Regional Office, Rm. 276, 601 E 12 St., Kansas City, MO 64106. Telephone: (816) 426-2236.

Region VIII (CO, MT, ND, SD, UT, WY)

Felicia Gaither, Regional Program Manager, Administration for Children and

Families, Office of Family Assistance, Denver Regional Office, 999 18th Street, South Terrace, Suite 499, Denver, CO 80202. Telephone: (303) 844-1483.

Region IX (AZ, CA, HI, NV):

Julie Fong and Rick Wever, Acting Regional Program Managers, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-7579, (415) 437-8460.

Region X (AK, ID, OR, WA):

Frank Shields, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Seattle Regional Office, 2201 Sixth Avenue, M/S 74, Seattle, WA 98121. Telephone (206) 615-2569.

**Headquarters Office:**

Robert M. Shelbourne Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, SW., Washington, District of Columbia 20447 Email: rshelbourne@acf.hhs.gov Phone: (202) 401-5150 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/>

**RELATED PROGRAMS:**

93.594 Tribal Work Grants; 93.595 Welfare Reform Research, Evaluations and National Studies; 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.560 FAMILY SUPPORT PAYMENTS TO STATES\_ASSISTANCE PAYMENTS**

(Adult Programs in the Territories)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XVI, 42 U.S.C 1351.

**OBJECTIVES:**

To provide aid to the aged, blind, and the permanently and totally disabled in Guam, Puerto Rico, and the Virgin Islands.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Cash payments are made to eligible needy aged, blind, or disabled persons in Guam, Puerto Rico, and the Virgin Islands. These payments are to cover costs for food, shelter, clothing, and other daily living needs recognized as necessary by each Territory's program. In addition, an individual must be at least age 65 to receive assistance for the aged; must be determined blind to receive aid to the blind; or must be at least 18 years of age and totally disabled to receive aid to the permanently and totally disabled.

**Applicant Eligibility:**

Agencies must operate under Department of Health and Human Services (HHS) approved plans and agreements, which must comply with all Federal statutory and regulatory requirements governing these programs. The applicant must be needy -- i.e., meet specific income and resource requirements. In addition, the individual must be at least age 65 to receive assistance for the aged; must be determined blind to receive aid to the blind; or must be at least 18 years of age and totally disabled to receive aid to the permanently and totally disabled.

**Beneficiary Eligibility:**

The beneficiary must be needy -- i.e., meet specific income and resource requirements. In addition, the individual must be at least age 65 to receive assistance for the aged; must be determined blind to receive aid to the blind; or must be at least 18 years of age and totally disabled to receive aid to the permanently and totally disabled. These programs also have specific unearned and earned income disregards that are applied in determining the amount of assistance payable.

**Credentials/Documentation:**

Federal funds must go to a certified Territorial welfare agency. Individuals must meet all eligibility requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible individuals should apply directly to their Territorial or local welfare agency. The Territories should contact the Regional Temporary Assistance for Needy Families (TANF) program managers for application forms. (See Appendix IV of the Catalog for addresses.) Territories contact the Regional TANF program manager for applications for administrative funds. OFA/Regional TANF program managers have authority to approve applications and amendments; disapproval authority is held by the Director of the Office of Family Assistance, in the Administration for Children and Families.

**Award Procedure:**

Once an application is approved, Territories are awarded funds quarterly based on ACF-approved estimates of maintenance assistance and administrative costs. Notification of awards must be made to the designated Territorial agency. Eligible individuals receive monthly subsistence checks from Territorial welfare agencies.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Welfare agencies must have a time standard for notifying applicants of approval/disapproval; not over 45 days after application, except 60 days for aid to the disabled.

**Appeals:**

From 90 to 120 days. Individuals denied assistance must be given a fair hearing on appeal (45 CFR, Chapter 2, Section 205.10). Territorial agencies may request a hearing before the Assistant Secretary for Family Support regarding adverse decisions (45 CFR, Chapter 2, Section 201.14; 45 CFR, Part 16).

**Renewals:**

> 180 Days. The agency must conduct periodic reviews to determine whether conditions justifying eligibility still exist.

**Formula and Matching Requirements:**

Statutory Formula: Title XVI.

Matching Requirements: Program funds are provided based on a formula linked to the number of recipients receiving benefits each month.

Administrative costs are matched at 50%.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Individuals receive support from the Territorial or local welfare agency until they no longer meet the eligibility requirements. See the following for information on how assistance is awarded/released: Payments to eligible individuals are paid monthly.

**Reports:**

No program reports are required. Cash reports are not applicable. No progress reports are required. Territorial claims must be submitted quarterly to receive Federal matching funds. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Territories must maintain records which substantiate eligibility determination and grants that are made.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$32,808,286; FY 11 est \$33,000,000; and FY 12 est \$33,000,000

**Range and Average of Financial Assistance:**

The range for these three Territories is \$707,436 and \$30,880,328, with an average of \$10,936,095.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ACF regulations are published in the Federal Register, 45 CFR 200 et seq.

**Regional or Local Office:**

See Regional Agency Offices. Region II (Puerto Rico, Virgin Islands)

Joanne Krudys, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 127.

Region IX (Guam)

Julie Fong and Rick Wever, Acting Regional Program Managers, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-7579, (415) 437-8460.

**Headquarters Office:**

Robert M. Shelbourne Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, SW., Washington, District of Columbia 20447 Email: rshelbourne@acf.hhs.gov Phone: (202) 401-5150 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/>

**RELATED PROGRAMS:**

93.778 Medical Assistance Program; 96.001 Social Security\_Disability Insurance; 96.006 Supplemental Security Income

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.563 CHILD SUPPORT ENFORCEMENT**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security, Title IV, Part D, 42 U.S.C 1673-6103-6.

**OBJECTIVES:**

To enforce the support obligations owed by absent parents to their children, locate absent parents, establish paternity, and obtain child, spousal and medical support.



**TYPES OF ASSISTANCE:****FORMULA GRANTS****USES AND USE RESTRICTIONS:**

States and some Tribes provide support enforcement services directly to individuals who are receiving federally-funded Foster Care Maintenance Payments, Medicaid, Temporary Assistance to Needy Families (TANF) (or those who cease to receive TANF), and to individuals not otherwise eligible for such services. TANF, Medicaid, and certain federally-funded Foster Care applicants or recipients must have assigned support rights to the State.

Non-TANF individuals other than those who cease to receive TANF and/or who provide authorization to the IV-D agency to continue support enforcement services, must have signed a written application for support enforcement services. The State must provide services to locate absent parents, establish paternity and enforce support obligations.

**Applicant Eligibility:**

All States, the District of Columbia, Puerto Rico, Virgin Islands, and Guam. Each of these jurisdictions is required to establish or designate a single and separate State Child Support Enforcement Agency. Tribes are eligible and we currently have seventeen tribal child support programs and 23 in the start-up phase.

**Beneficiary Eligibility:**

The State must provide support enforcement services to: (1) All applicants for, or recipients of TANF, Foster Care Maintenance Payments, and Medicaid, for whom an assignment to the State of support rights has been made and who are in need of such services; (2) all individuals who cease to receive TANF; (3) individuals who provide authorization to the IV-D agency to continue support enforcement services; and (4) any other individual who is in need of such services and who has applied for them.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

State officials prepare and review state plans and amendments. Regional Office staff are available for consultation or assistance in preparation of State plans and amendments. The standard application forms, as furnished by Department of Health and Human Services (DHHS) and required by OMB Circular No. A-102, must be used for this program. High level State officials review State Plans and amendments before they are submitted. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications are made in the form of a State Plan, prepared in the format provided by the Office of Child Support Enforcement.

**Award Procedure:**

States are awarded funds quarterly based on their estimates of funds needed to provide support enforcement services to individuals eligible under an approved Title IV-D State plan.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. State Plans and amendments submitted as new State Plans, and Plan amendments may require up to 90 days for approval.

**Appeals:**

From 30 to 60 days. The State may request reconsideration of plan disapproval or plan amendment disapproval within 60 days after that disapproval.

**Renewals:**

Once approved, State IV-D plans remain in effect until amended or revised.

**Formula and Matching Requirements:**

Statutory Formula: Title IV-D, Public Law 94-46,94-88,94,365,95-30,95-59,95-171,95-598,96-178,96-265,96-272,96-611, 97-35,97-248,98-369,98-378,100-485,101-508.

Matching Requirements: States receive a 66 percent Federal Financial Participation (FFP). Tribes receive 90 percent FFP during the first three years of operation of a Title IV-D program and then 80 percent FFP for each subsequent year of operation.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal funds are awarded quarterly on a fiscal year basis. The Electronic Transfer System is used for monthly cash draw from Federal Reserve Banks based on quarterly awards. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Periodic audits are made as part of recipient's systems of financial management and internal control in accordance with Public Law 98-502, the single Act of 1984. Cash reports are done on Form 269A. Periodic reports are required on the progress of the programs. Quarterly financial reports of administrative expenditures and child support collections and annual program reports including caseload data are required by OCSE. Periodic audits are conducted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS Inspector general and State Audit (private groups) and other Federal government officials. OCSE conducts data reliability of variables used to compute performance measures. These audits were mandated by The Child Support Performance and Incentive Act of 1998 (CSPIA).

**Records:**

The IV-D agency must maintain records necessary for the proper and efficient administration of the State IV-D plan.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$4,489,417,000; FY 11 est \$3,917,817,000; and FY 12 est \$3,158,035,000

**Range and Average of Financial Assistance:**

FY10, from \$3,745,573 to \$614,737,004; \$91,397,991; FY11, from 3,330,699 to 546,646,307; \$81,274,389; FY 12, from \$2,986,321 to \$490,125,776; \$72,871,019.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 54 grants were awarded to States. Tribal programs received \$35.79 million. Child support collections were \$26.93 billion in FY 2010.

Fiscal Year 2011: 54 grants are expected to be awarded to States. Tribal programs are estimated to receive \$42 million. Child support collections are estimated to be \$26.57 billion in FY 2011. Fiscal Year 2012: 54 grants are expected to be awarded to States. Tribal programs are estimated to receive \$42 million. Child support collections are estimated to be \$26.63 billion in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR, Chapter III, 45 CFR 16, 45 CFR 74, 45 CFR 95, 45 CFR 213, 45 CFR 232.

**Regional or Local Office:**

See Regional Agency Offices. Regional Representative, Department of Health and Human Services. (See Appendix IV of the Catalog for addresses and telephone numbers.).

**Headquarters Office:**

Renee R. Jackson-Hebron 901 D, St. SW, Washington, District of Columbia  
20447 Email: rjackson@acf.hhs.gov Phone: 2024015101

**Website Address:**

<http://www.acf.dhhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.597 Grants to States for Access and Visitation Programs; 93.658 Foster Care\_Title IV-E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.564 CHILD SUPPORT ENFORCEMENT RESEARCH****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security, Title IV, Part D, Section 1115, 42 U.S.C 1315.

**OBJECTIVES:**

To discover, test, demonstrate, and promote utilization of new concepts which will increase cost effectiveness, reduce welfare dependency, and increase child support collections from absent parents.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded for innovative research and demonstrations of regional and national significance that are responsive to program priorities in Child Support Enforcement, and for coordination, administration and provision of services to target populations. All applications must meet standards of excellence in research and evaluation design.

Funds authorized under Section 1115 of the Social Security Act are limited to State agencies administering the Child Support Enforcement Program or their umbrella agencies.

All applications must outline explicitly the information sought about the administration, or effects of the proposed research and how the activity will be evaluated. Funds may not be used for construction. A Section 1115 waiver of any of the State Plan requirements under Title IV-D of the Social Security Act may be granted in connection with any experimental pilot or demonstration project that will assist in promoting the objectives of the Child Support Enforcement program and meets certain conditions.

**Applicant Eligibility:**

Section 1115 grants may be made only to State Child Support Enforcement agencies or their umbrella agencies.

**Beneficiary Eligibility:**

State agencies, local governments, nonprofit organizations, and for-profit organizations.

**Credentials/Documentation:**

When appropriate, applicants should present written evidence of other agencies' willingness to cooperate when the project involves their cooperation or the utilization of their facilities or service. Costs will be determined in accordance with 2 CFR 225 for State governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by DHHS

and required by OMB Circular No. A-102, must be used for this program. Application kits which contain the prescribed application forms and supplemental descriptive information on the priority projects are available from: Administration for Children and Families, Office of Grants Management, Director, Division of Discretionary Grants, 6th Floor East, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 401-4577. Contact: Daphne Weeden, Director, Division of Discretionary Grants. Eligible interested parties are encouraged to submit applications on grants.gov. To be considered for a grant award, all applications must be submitted on the prescribed application forms and submitted to the Division of Grants Management. The application shall be executed by an individual authorized to act for the applicant agency or organization and to assume for the agency or organization the obligations imposed by the terms and conditions of the grant. As part of the project title (page 1 of the application form, Form SF-424) the applicant must clearly indicate whether the application submitted is in response to a priority project identified in a program announcement and must reference the unique project identifier (e.g., HHS-2010 - ACF - OCSE-FD-0113) for which the application is to compete. Applications are initially screened for relevance to program interests of the Office of Child Support Enforcement (OCSE). Ineligible applications will be returned to the applicant. Eligible applications are reviewed and evaluated by a review panel of not fewer than three knowledgeable people. A limited number of projects may be approved pending available funds and will compete with other nonpriority projects. Written assessment of each application is made.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Grant Award. This provides the amount of funds awarded, the purpose of the award, the term and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 days. Generally, solicited grants will be acted upon within 90 days.

**Appeals:**

There are no formal appeals procedures. If an application for a grant is disapproved, the reasons for disapproval will be fully stated, applicants may request the reasons for disapproval. In the case of unsolicited proposals, applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval in the future.

**Renewals:**

Extensions and continuations of grants with 1-year project periods are generally not available except under extreme circumstances. If an application is recommended for approval for 2 or more years, the grantee must submit a formal request for continuation each year accompanied by a progress report which will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements, but may require an administratively imposed non-federal match.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are typically three years in length. For multi-year projects, support beyond the first year is contingent upon acceptable evidence of satisfactory progress and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly narrative reports are required for all grant projects. Semi-annual expenditure reports are required. Quarterly reports are required. Semi-annual expenditure reports are required. Periodic monitoring is conducted by the Federal Project Officer when progress reports are reviewed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant number act number and including all receipts and expenditures must be maintained for 3 years in accordance with 45 CFR Part 92. Subsequent to audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Project Grants) FY 10 \$530,000; FY 11 est \$580,000; and FY 12 Estimate Not Available - OCSE and the Centers for Medicare and Medicaid Services (CMS) share equally of the total \$4,000,000 in Section 1115 funds. These funds cover new and continued grants.

**Range and Average of Financial Assistance:**

FY 10 \$60,000 to \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, OCSE awarded 10 grants. Fiscal Year 2011: In FY 2011, OCSE expects to award 10 new grants. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The pamphlets "Research Grants in Social Security," "Grants Administration Policies," and application kits may be obtained from the ACF, Office of Grants Management, Division of Discretionary Grants, 4th Floor, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrators. (See Appendix IV of the Catalog for Regional Offices).

**Headquarters Office:**

Shirley Decker 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: shirley.decker@acf.hhs.gov Phone: 202 401-5291

**Website Address:**

<http://www.acf.hhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.563 Child Support Enforcement; 93.597 Grants to States for Access and Visitation Programs; 93.601 Child Support Enforcement Demonstrations and Special Projects; 93.647 Social Services Research and Demonstration; 93.779 Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY 2010, asset building for parents; assisting active duty military members. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Objectives and need for assistance; (2) approach; (3) competence of staff; (4) independent evaluation; and (5) reasonableness of budget.

**93.566 REFUGEE AND ENTRANT ASSISTANCE\_STATE ADMINISTERED PROGRAMS**

Refugee Cash and Medical Assistance Program and Refugee Social Services Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human

Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522; Refugee Education Assistance Act of 1980, Title V, Section 501(a), Public Law 96-422, 94 Stat. 1799, 8 U.S.C 1522 note, as amended by Defense Authorization Act of 2010, Public Law 111-118, 123 Stat. 3409; Victims of Trafficking and Violence Protection Act of 2000, Public Law 106-386; William Wilberforce Trafficking Victims Protection Reauthorization Act of 2008, Section 212-235, Public Law 110-457.

**OBJECTIVES:**

The Refugee Cash and Medical Assistance program reimburses grantees for the cost of cash and medical assistance provided to refugees, certain Amerasians from Viet Nam, Cuban and Haitian entrants, asylees, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants during the first eight months after their arrival in this country or grant of asylum. Reimbursement is also provided for care of unaccompanied refugee minors and grantee administrative costs. Social Services formula funding may be used for employment and other social services for same population for five years after their date of arrival or grant of asylum.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Assistance is limited to refugees, certain Amerasians from Viet Nam, Cuban and Haitian entrants, asylees, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants.

**Applicant Eligibility:**

State agencies, State Replacement Designees, and Wilson/Fish Alternative projects are eligible to apply for these funds.

**Beneficiary Eligibility:**

Refugees, certain Amerasians from Viet Nam, Cuban and Haitian entrants, asylees, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants are eligible for benefits and services.

**Credentials/Documentation:**

Assistance is authorized for refugees, certain Amerasians from Viet Nam, asylees, Cuban and Haitian entrants, asylees, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants with documentation on their immigration status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submittal, and approval of, State plans, annual service plans, and annual State Cash and Medical Assistance estimates.

**Award Procedure:**

Cash and Medical Assistance grants are made to State agencies and State Replacement designees following submittal of approved State plans and annual State expenditure estimates (ORR-1). For Social Services grants, State agencies, State Replacement designees, and Wilson/Fish Alternative projects must submit annual service plans.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Annual submission of Cash and Medical Assistance program expenditure estimates and, for Social Services grants, submission of annual service plans.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded on a quarterly basis. Funds for Cash and Medical Assistance and administrative costs must be obligated within the fiscal year of appropriation and liquidated within the next fiscal year. Funds for services for unaccompanied refugee minors may be obligated and expended in the year of award and in the subsequent year. Funds for social services must be obligated by end of the fiscal year after the fiscal year of appropriation and liquidated within the following fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

State agencies submit program performance reports (ORR-6) three times a year. Cash reports are not applicable. No progress reports are required. Grantees submit Federal Financial Reports (SF-425) four times a year. ORR regularly monitors State-administered programs, including cash and medical assistance, social services, and the unaccompanied refugee minors program. The ORR monitoring team reviews with State staff the eligibility and documentation requirements of beneficiaries and verifies the maintenance of accurate and up-to-date client files. ORR also monitors State financial and aggregate and case-level assistance reports and reviews State Plans and State Plan amendments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee must maintain financial and program records for three years after the grantee submits the last expenditure report for the funding period.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$299,039,000; FY 11 est \$335,792,000; and FY 12 est \$376,684,000

**Range and Average of Financial Assistance:**

In FY 2010, grants for the Refugee Cash and Medical Assistance program ranged from \$15,000 to \$52,069,086; the average was \$4,761,157. Grants for the Refugee Social Services program ranged from \$75,000 to \$19,066,810; the average was \$1,695,742. It is anticipated that this pattern will continue in FY 2011 and FY 2012.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 400, Subparts A-I.

**Regional or Local Office:**

None.

**Headquarters Office:**

Pamela Green-Smith, 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20447 Email: pamela.greensmith@acf.hhs.gov Phone: (202) 401-4531 Fax: (202) 401-0981.

**Website Address:**

<http://www.acf.hhs.gov/programs/orr> .

**RELATED PROGRAMS:**

93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.598 Services to Victims of a Severe

Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.567 REFUGEE AND ENTRANT ASSISTANCE\_VOLUNTARY AGENCY PROGRAMS**

Matching Grant Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522; Consolidated Appropriations Act, 2008, Public Law 110-161; FY 2009 Omnibus Appropriations Bill, Public Law 111-08; Victims of Trafficking and Violence Protection Act of 2000, Public Law 106-386; Defense Authorization Act of 2008, Public Law 110-181.

**OBJECTIVES:**

The Matching Grant program assists refugees in becoming self-supporting and independent members of American society by providing grant funds to private nonprofit organizations to support case management, transitional assistance, and social services for new arrivals.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Federal funds of up to \$2,200 per refugee are provided on a matching basis of \$2.20 of Federal funds matched by \$1.10 of private funds and in-kind contributions. Required services include case management, job development, and maintenance assistance for four to six months. Funds may also be used for English language training concurrent with employment services, job training, and cash allowance.

**Applicant Eligibility:**

Grant awards are limited to States and private, nonprofit organizations that have a Reception and Placement Cooperative Agreement with the Department of State or Department of Homeland Security.

**Beneficiary Eligibility:**

Refugees must be enrolled within 31 days of arrival. Entrants/asylees must be enrolled within 31 days of granting of parole or asylum.

**Credentials/Documentation:**

Newly arriving refugees, certain Amerasians, Cuban or Haitian Entrants, asylees, and Iraqi or Afghan Special Immigrants, as evidenced in the documentation from the United States Citizenship and Immigration Services (USCIS) and victims of trafficking with certification documents issued by HHS. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Eligible applicants submit an application to HHS. This document includes a detailed program proposal and budget. Subsequent to review by an independent panel and consideration of past performance, the Director of the Office of Refugee Resettlement makes final funding decisions and grant awards are issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are established in the notice of funds availability, which is published on grants.gov and the ORR website at [www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr).

**Appeals:**

Not Applicable.

**Renewals:**

Continuation funding is contingent on funds availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 50%. Grants are awarded on a basis of \$2.20 in Federal funds for each \$1.10 of private funds up to a maximum of \$2,200 per refugee. Up to 80 percent of the nonfederal share may be through in-kind donations, with a minimum required cash match of 20 percent.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded with a 3-year project period and incremental 1-year budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program progress reports are required every four months; and Federal Financial Reports are required semi-annually. An interim final financial status report is due 90 days after the program period has ended; and a final financial status report is due 210 days after the project period. Cash reports are not applicable. No progress reports are required. SF-425 Federal Financial Reports are required semi-annually. The program has an annual monitoring schedule to conduct site visits to approximately 5-10 percent of all local affiliates. On monitoring visits to local affiliate, the team selects a representative caseload for review and evaluates eligibility for the program, self-sufficiency plan, case notes, and employment outcomes. The team also conducts interviews with staff to assess their knowledge of the program requirements. The team will also interview selected clients and visit local employers of refugee clients to assess local agency-employer-client relations. Also, Matching Grant program guidelines include the requirement that national volunteers must monitor their affiliates and report back to ORR on an annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain financial and program records for three years following the end of the project period.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Cooperative Agreements) FY 10 \$65,309,000; FY 11 est \$65,309,000; and FY 12 est \$65,309,000

**Range and Average of Financial Assistance:**

In FY 2010, grants ranged from \$1,564,200 to \$18,959,600. The average of the grants was \$7,256,578.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The nine voluntary agencies continued to serve eligible refugee populations in FY 2010. Fiscal Year 2011: The nine voluntary agencies are expected to continue to serve eligible refugee populations in FY 2011. Fiscal Year 2012: The nine voluntary agencies are expected to continue to serve eligible refugee populations in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ronald Munia 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20447 Email: [ronald.munia@acf.hhs.gov](mailto:ronald.munia@acf.hhs.gov) Phone: (202) 401-4559 Fax: (202) 401-0981.

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Matching grant awards are made on the basis of the evaluation criteria in the notice of funding availability.

**93.568 LOW-INCOME HOME ENERGY ASSISTANCE**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Low Income Home Energy Assistance Act of 1981, as amended.; The Omnibus Budget Reconciliation Act of 1981; Energy Policy Act of 2005, Public Law 109-58.

**OBJECTIVES:**

To make Low Income Home Energy Assistance Program (LIHEAP) grants available to States and other jurisdictions to assist eligible households to meet the costs of home energy. Supplemental Leveraging Incentive Funds may be awarded to reward States and other jurisdictions that provide additional benefits and services to LIHEAP-eligible households beyond what could be provided with Federal funds. Up to 25 percent of the leveraging incentive funds may be set aside for LIHEAP grantees that provide services through community-based nonprofit organizations to help LIHEAP-eligible households reduce their energy vulnerability under the Residential Energy Assistance Challenge Program (REACH). Training and Technical Assistance: To provide training and technical assistance to States and other jurisdictions administering the LIHEAP block grant program.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Energy Assistance Block Grants: Funds are awarded to States and other jurisdictions, which then make payments directly to an eligible low-income household or, on behalf of such household, to an energy supplier to assist in meeting the cost of home energy. Up to 10 percent of these funds may be used for State and local planning and administration. Up to 15 percent may be used for low-cost residential weatherization. Grantees may request that HHS grant a waiver for the fiscal year that increases from 15 percent to 25 percent funds that can be allotted for residential weatherization. Depending upon specific appropriations, HHS may allocate supplemental LIHEAP leveraging incentive funds to grantees that have acquired nonfederal leveraged resources in order to provide additional benefits and services to LIHEAP-eligible households to help them meet their home heating and cooling needs. Up to 25 percent of leveraging incentive funds may be allocated by HHS to LIHEAP grantees that provide services through community-based nonprofit organizations to LIHEAP-eligible households to reduce their energy vulnerability, under the Residential Energy Assistance Challenge Program (REACH). Up to \$600,000,000 is authorized as emergency contingency funds to be used to meet additional needs arising from a natural disaster or other emergency. Such funds will be made available only after submission to Congress of a formal budget request for all or part of the funds by the President that designates the amount of the request as an emergency under the Balanced Budget and Emergency Deficit Control Act of 1985. Training and Technical Assistance: the Secretary

has authority to set aside up to \$300,000 from each year's appropriation for training and technical assistance relating to the Low-Income Home Energy Assistance Program. These T/TA activities are accomplished through: grants, contracts, or jointly financed cooperative or interagency agreements with States, Indian tribes, tribal organizations, public agencies or private nonprofit organizations; through interagency agreements, including with Federal agencies, or through on-site compliance reviews of LIHEAP grantees. The nature of and amount awarded for training and technical assistance vary from year to year.

**Applicant Eligibility:**

Energy Assistance Block Grants: All States, the District of Columbia, federally- and State-recognized Indian Tribal governments which request direct funding, and specified Territories may receive direct grants. The prospective grantee must submit an annual application. Grantees desiring leveraging incentive funds and REACH funds must submit special applications each year. Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: States, Indian tribes or tribal organizations, Territories, public agencies, and private nonprofit organizations may apply. Nothing in the statute precludes a business concern that applies jointly with a private nonprofit organization from receiving a training and technical assistance grant.

**Beneficiary Eligibility:**

Energy Assistance Block Grants: All States, the District of Columbia, federally- and State-recognized Indian Tribal governments that request direct funding, and specified Territories may provide assistance to households with incomes up to the greater of 150 percent of the poverty level or 60 percent of the State median income. Grantees may establish lower income eligibility levels, but they may not set the limit below 110 percent of the poverty level. Training and Technical Assistance: States, Indian tribes or tribal organizations, Territories, public agencies, and private nonprofit organizations may apply. Nothing in the Statute precludes a business concern that applies jointly with a private nonprofit organization from receiving a training and technical assistance grant.

**Credentials/Documentation:**

Energy Assistance Block Grants: The chief executive officer of the State, Tribe or Territory or his designee must certify to 16 assurances required by law. Households must meet beneficiary eligibility requirements. Grantees desiring leveraging incentive funds or REACH funds must submit annual applications. Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: Requirements vary and are at [www.grants.gov](http://www.grants.gov) or [www.fedbizopps.gov](http://www.fedbizopps.gov). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Energy Assistance Block Grants: Applications are submitted by the chief executive officer of a State, Indian Tribe (recognized by the Federal government or a State government), tribal organization, or Territory, or his designee. Applications contain assurances prescribed by law and a plan describing how certain assurances will be carried out, and other information specified by law. Separate applications are required to qualify for leveraging incentive funds and REACH funds. Instructions will be issued if emergency contingency funds are released. Households wishing to apply for benefits should contact the local welfare agency or community action agency for information regarding the agency administering the program in their jurisdiction. Training and Technical Assistance: Requirements that apply to each request for proposals vary and are at [www.grants.gov](http://www.grants.gov) or [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Award Procedure:**

Energy Assistance Block Grants: Grants are made upon receipt of a complete application by the Office of Community Services Headquarters Office. Leveraging incentive funds and REACH funds will be awarded based on applications submitted by grantees. Instructions will be issued if emergency

contingency funds are released. Training and Technical Assistance: Procedures that apply to each request for proposals vary and are at [www.grants.gov](http://www.grants.gov) or [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Deadlines:**

Sep 01, 2010 Energy Assistance Block Grants: States and Territories must submit their applications by September 1, prior to the fiscal year for which funds are sought, unless the Department agrees to a later date. Tribal applications must also be submitted by September 1, prior to the fiscal year for which the funds are sought, unless the State in which a tribe is located agrees to a later date. All applications must be completed by December 15, of the fiscal year for which funds are sought, unless the Department (in the case of States and Territories) or the State (in the case of tribal grantees) agrees to a later date. Leveraging incentive fund reports are due by November 30 of each year. Reach applications are due by March 30 of each year. Contact Headquarters Office listed below for further information. [www.grants.gov](http://www.grants.gov) or [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Range of Approval/Disapproval Time:**

Energy Assistance Block Grants: The Department reviews plans for completeness and will act on the plans submitted as quickly as possible. Leveraging incentive and REACH applications will be reviewed and acted upon as quickly as possible. Training and Technical Assistance: Range of time varies, depending upon the nature and complexity of a request for proposals.

**Appeals:**

Energy Assistance Block Grants: Grantees may request a hearing regarding repayment of funds or withholding of funds under Section 2608 of the authorization. Training and Technical Assistance: Not applicable for unsuccessful applicants for grants or cooperative agreements. For contracts, prospective applicants may object to a contract award by filing a protest with the contracting officer or higher authority. The notification issued by the contracting office to unsuccessful bidders contains the procedures and time frame for filing a protest.

**Renewals:**

Energy Assistance Block Grants: Annual applications are required. Separate annual applications are also required for leveraging incentive funds and REACH funds. Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: Award periods may vary and are at [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Formula and Matching Requirements:**

Statutory Formula: Section 2604 of the LIHEAP statute addresses this issue. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Energy Assistance Block Grants: Grant awards are made to grantees with complete applications for carrying out the program within the fiscal year. Up to 10 percent of a fiscal year's grant may be held available for obligation in the subsequent fiscal year. For leveraging incentive funds and REACH funds, obligation must occur by the end of the fiscal year following the year in which the funds are appropriated, without regard to the 10 percent carryover limit. See the following for information on how assistance is awarded/released: Section 2607 of the Low Income Home Energy Assistance Program, as amended.

**Reports:**

Energy Assistance Block Grants: Grants: Grantees must submit an annual report within 90 days of the end of the fiscal year on the amount of funds obligated during the fiscal year and the last date of obligations of funds. A report is required annually on the number and income levels of households served during the previous year, on those households that are served that have members who are elderly, disabled, or young children, and on the number and income levels of all households that apply for assistance whether or not they are served. This report must be included as part of the annual plan before funds are released. A report on the amount of funds that the grantee desires to carry over for obligations in the succeeding fiscal year, the reasons any such funds will not be used during the first fiscal year, the types of assistance to be provided with funds carried over and the amount of funds, if any, to be subject to reallocation must be submitted by August 1 annually. Grant awards for the following fiscal year will not be released until this report is received. No cash reports are required. Training and Technical Assistance: Grantees are required to submit

quarterly financial reports and a final progress report. For contracts, contractors are required to submit quarterly financial reports form HHS-646, Financial Report of Individual Project (Contact). A report is required from those grantees expending up to 5 percent of funds under section 2605(b)(16) for services that encourage and enable households to reduce their home energy needs. A report is due by November 30 of each year for those grantees that which to receive leveraging incentive funds, reporting the amount value of leveraged resources they added to the program in the previous fiscal year. For Reach a financial status report is due 90 days after the end of the program year and a final evaluation is due six months after the end of the program year. Performance monitoring is required for leveraging incentive funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. (As discussed in Appendix I of this Supplement, Federal Programs Excluded from the A-102 Common Rule, LIHEAP is exempt from the provisions of the OMB cost principles circulars. However, according to 45 CFR 96.31(a), LIHEAP grantees and sub-grantees are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133, Audits of State, Local Governments, and Non-Profit Organizations. An independent auditor in accordance with generally accepted Government auditing standards covering financial audits shall make the audits. State cost principals requirements apply to LIHEAP.

**Records:**

Grant accounting records must be maintained in accordance with section 2605(b)(10).

**Account Identification:**

75-1502-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$4,509,679,000; FY 11 est \$4,500,653,000; and FY 12 est \$1,980,000,000 - Contingency Fund: FY10 \$590,678,000; FY11 \$200,000,000. FY12 est. \$589,551,000.

**Range and Average of Financial Assistance:**

FY10 \$4,599,791 to \$475,115,603; Average is \$86,841,142.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 243 grants were awarded. Fiscal Year 2011: In FY 2011, 243 grants will be awarded. Fiscal Year 2012: It is anticipated that 243 grants will be awarded in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96

**Regional or Local Office:**

None.

**Headquarters Office:**

Nick St. Angelo Division of Energy Assistance, Office of Community Services, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W, Washington, District of Columbia 20447 Email: nick.stangelo@acf.hhs.gov Phone: (202) 401-9351 Fax: (202) 401-5661

**Website Address:**

<http://www.acf.hhs.gov/programs/liheap>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria pertinent to each request for training and technical assistance proposals are published in the Federal Register or Federal Business Opportunities

([www.febbizopps.gov](http://www.febbizopps.gov)).

**93.569 COMMUNITY SERVICES BLOCK GRANT**

CSBG Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Community Services Block Grant (CSBG) Act.

**OBJECTIVES:**

To provide assistance to States and local communities, working through a network of community action agencies and other neighborhood-based organizations, for the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act) and (1) To provide services and activities having a measurable and potential major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem; (2) to provide activities designed to assist low-income participants, including the elderly poor, to: (a) secure and retain meaningful employment; (b) attain an adequate education; (c) make better use of available income; (d) obtain and maintain adequate housing and a suitable living environment; (e) obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including health services, nutritious food, housing, and employment-related assistance; (f) remove obstacles and solve problems which block the achievement of self-sufficiency; (g) achieve greater participation in the affairs of the community; and (h) make more effective use of other related programs; (3) to provide on an emergency basis for the provision of such supplies and services, nutritious foodstuffs, and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor; and (4) to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

(1) States receive block grants to ameliorate the causes of poverty in communities. The block grant approach gives the States flexibility to tailor their programs to the particular services needs in their communities. (2) States are required to use at least 90 percent of their allocations for grants to "eligible entities" as defined in the Community Services Block Grant (CSBG) Act, as amended; this includes primarily locally-based community action agencies and/or organizations that serve seasonal or migrant farm workers. (2) No more than the greater of \$55,000 or 5 percent of each State's allocation may be used for administrative expenses at the State level.

**Applicant Eligibility:**

The Secretary is authorized to make grants to States. This includes each of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, the Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Secretary also provides assistance directly to the governing body of an Indian Tribe or Tribal organization upon application by the tribe. Only State-recognized tribes, as evidenced by a statement to that effect by the Governor, or tribes formally recognized by the Secretary of the Interior, under the procedure for such recognition in 25 CFR 54, are eligible to receive direct grants.

**Beneficiary Eligibility:**

States make grants to qualified locally-based nonprofit community antipoverty agencies and other eligible entities which provide services to low-income individuals and families. The official poverty line, as established by the Secretary of Health and Human Services, is used as a criterion of eligibility in the Community Services Block Grant program. When a State determines that it serves the objectives of the block grant, it may revise the income limit, not to exceed 125 percent of the official poverty line.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each State desiring to receive an allotment for a fiscal year is required to submit an application to the Secretary of Health and Human Services (HHS). Each application must contain assurances by the appropriate State designee that the State will comply with Section 676 of the Community Services Block Grant Act and also meet conditions enumerated in Sections 678(B-D). The State is required to hold at least one legislative hearing every three years in conjunction with the development of the State Plan (Section 676(a)(3)). States are also required to conduct public hearings on the proposed use and distribution of funds to be provided under the Act. The latter sets forth the general purpose for which funds will be used, restrictions on administrative expenses, eligible recipients, board requirements for community action agencies and other nonprofit organizations, fiscal control, monitoring, and Federal investigation provisions, coordination between antipoverty programs in each community and certain prohibitions on political activities. The Chief Executive Officer of each State is also required to designate a lead agency to prepare and submit a plan to the Secretary of HHS describing how the State will carry out the assurances in Section 676. This program is excluded from coverage under 45 CFR, Part 1050.

**Award Procedure:**

HHS determines the amount of funds to be allocated as block grants to each State in accordance with the formula set forth in the Community Services Block Grant Act. The Office of Management and Budget (OMB) has the authority to apportion to the HHS through the course of a year the Congressional appropriation for block grants. Consistent with OMB's apportionment of funds, HHS will assign allotments to the States through individual awards or a series of awards, normally on a quarterly basis.

**Deadlines:**

Sep 01, 2009 The application deadline for States and Indian Tribes and Tribal Organizations is September 1 of each fiscal year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Funds may be withheld from any State which does not utilize its allotment substantially in accordance with the provisions of the Community Services Block Grant Act and the assurances provided in its application. This may be done only after adequate notice and an opportunity for a hearing is conducted within the affected State.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Chapter 96.71, Part 96, Subpart G, Public Law 97-35. Section 674 of the CSBG Act authorizes the Secretary to use one and one-half of one percent of the amount appropriated to be reserved for corrective action activities, training, technical assistance, planning, evaluation, and data collection activities related to programs or projects carried under this subtitle. Such activities may be carried out through grants, contracts, or cooperative agreements with eligible entities or with organizations or associations whose membership is composed of eligible entities or agencies that administer programs for eligible entities. One-half of one percent of the amount appropriated is apportioned on the basis of need among Guam, American Samoa, the Virgin Islands, the Northern and Mariana Islands. Of the remaining amount, each state, (excluding the above, but including the District of Columbia and the Commonwealth of Puerto Rico) is allotted an amount which bears the same ratio as the amount received by the state for fiscal year 1981 under Section 221 of the Economic Opportunity Act of 1964 bore to the total amount received by all states for fiscal year 1981 under Section 221. However, if the

appropriation exceeds \$345,000,000 after the amount necessary for purposes of discretionary funding under Section 680 and the one-half of one percent set-aside for territories and insular areas under Section 675(A) are determined, no state receives less than one-half of one percent of the amount appropriated. This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Entitlement amounts are for a specific fiscal year and the grant funds allotted to the State will be awarded in accordance with apportionment of funds from the Office of Management and Budget. Amounts unobligated by the State at the end of a fiscal year remain available for obligation during the succeeding fiscal year. See the following for information on how assistance is awarded/released: Each fiscal year.

**Reports:**

All funded grantees and sub-grantees must submit SF- 269 annually, as required by the Code of Federal regulation 45 CFR 96. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to keep records sufficient to permit preparation of the required reports and to permit tracing of funds to a level of expenditure adequate to insure that funds have not been spent unlawfully.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$699,999,000; FY 11 est \$678,640,000; and FY 12 est \$350,000,000

**Range and Average of Financial Assistance:**

\$1,019 to \$55,942,793; average \$5,242,585.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 229 grants were awarded in FY 2010. Fiscal Year 2011: It is anticipated that 126 grants will be awarded in FY 2011. Fiscal Year 2012: It is anticipated that 123 awards will be awarded in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 16, 45 CFR 74 and 45 CFR 96.

**Regional or Local Office:**

None.

**Headquarters Office:**

Seth Hassett 901 D Street, S.W., 5th Floor - Room 5A165, Washington, District of Columbia 20447 Email: seth.hassett@acf.hhs.gov Phone: 202-401-2333

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs>.

**RELATED PROGRAMS:**

93.045 Special Programs for the Aging Title III, Part C Nutrition Services; 93.568 Low-Income Home Energy Assistance; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.570 COMMUNITY SERVICES BLOCK GRANT\_DISCRETIONARY AWARDS**

Community Economic Development & Rural Community Facilities Programs



**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Community Services Block Grant (CSBG) Act.

**OBJECTIVES:**

To support program activities to alleviate the causes of poverty in distressed communities which: (1) assist businesses in creating jobs for low-income individuals, i.e., develop employment and business development opportunities for low-income individuals; (2) a better standard of living for rural low-income individuals in terms of water and waste water treatment.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds awarded under the Secretary's Discretionary Authority may be used for activities that: improve the quality of the economic and social environment of low-income residents by providing resources to eligible applicants, by arresting tendencies toward dependency, chronic unemployment and community deterioration in urban and rural areas; and by addressing needs of water and wastewater treatment in Rural Communities. Community Economic Development grants are awarded to cover project costs for (1) startup or expansion of business, physical improvements, or commercial activities. (2) Capital expenditures such as the purchase of equipment or real property; (3) allowable operating expenses; and (4) loans or equity investments.

Expenditures must result in the creation of employment or business opportunities for low-income individuals. Generally, the project must be completed within 36 months for non-construction projects and 60 months for construction projects. Projects must document public/private partnership mobilizing cash and/or in-kind contributions; and be located in areas characterized by poverty and other indicators of socioeconomic distress, such as high levels of unemployment, or high levels of violence, gang activity, crime, drug use and/or low-income individuals or designation as an Empowerment Zone or Enterprise Community (EZ/EC). Rural Community Facilities grants are awarded to provide training and technical assistance to small, rural communities concerning their water and waste water treatment needs. RF grants focus on the development and upgrading of small water and wastewater systems in low-income rural areas. Types of services provided included training of persons responsible for community water and wastewater facilities; assisting communities with problem-solving and planning for facilities; producing and disseminating publications, newsletters, videos, and training manuals about rural waste and wastewater systems; and assisting rural communities in leveraging Federal, State, local, and private sector financing for facilities.

**Applicant Eligibility:**

For Community Economic Development projects, eligibility is restricted to private, locally initiated, nonprofit community development corporations (or affiliates of such corporations) governed by a board consisting of residents of the community and business and civic leaders. This includes faith based community development corporations. For Rural Community Development Activity projects, which is referred to as Rural Community Facilities projects, eligibility is restricted to multi-state, regional private, non-profit organizations that can provide training and technical assistance to small, rural communities interested in safe water and waste water treatment needs.

**Beneficiary Eligibility:**

A project must be targeted to address the needs of a specific segment of low-income individuals or families. The official poverty line established by the Director of the Office of Management and Budget, published annually by the Department of Health and Human Services is used as a criterion of eligibility in the Community Economic Development Discretionary Grant program.

**Credentials/Documentation:**

Costs will be determined in accordance with the provisions of Title 45 CFR 74. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Awards are granted on a competitive basis. Announcements concerning the availability of funds, requests for applications, along with application form and assurance documents, are at [www.grants.gov](http://www.grants.gov). Applications to the Office of Community Services for grants under the announcement should be addressed to: OCS Operations Center 1515 Wilson Blvd., Suite 100, Arlington, Virginia 22209. Applicants are urged to inform and coordinate application submissions with State and local governments where such information and coordination is appropriate or necessary for the success of the program. This program is subject to the provisions of Title 45 CFR Part 74 (non-governmental entities). All applications for assistance under this program must contain: (1) SF-424, Application for Federal Assistance; (2) SF-424A, Budget Information; (3) SF-424B, Assurances-Non- Construction Programs; (4) Certificate Regarding Drug Free Workplace Requirements; (5) Certification regarding environmental tobacco smoke; (6) Certification Regarding Debarment, Suspension, and Other Responsibility Matters; and (7) Certification Regarding Lobbying. These must be accompanied by a detailed budget, and a program narrative submitted in accordance with the format detailed in the program announcement.

**Award Procedure:**

The Director, Office of Community Services, Administration for Children and Families (ACF), will make the final decision on all grant awards. Selection of applicants will be determined based on the review criteria outlined in the program announcement.

**Deadlines:**

Sep 01, 2009 All information and application forms required to prepare a grant are at [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Generally, solicited grants will be acted upon within 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days. Rural Community Development Activity projects (also referred to as Rural Community Facilities Projects), are awarded for a five year project period with 12 month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, Community Economic Development financial assistance awards are made available for periods of 36 to 60 months; Rural Community Facilities financial assistance awards are awarded for 12-month budget periods with a five year project period. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. No cash reports are required. Semi-annual progress reports, semi-annual financial reports and a final report summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are required by OCS. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients are required to keep all financial, business and program reports necessary for program review and audit to insure that funds have been expended in accordance with the regulations, grant terms and conditions of this program. Audits and supporting records must be kept on file for at least 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$36,000,000; FY 11 est \$17,964,000; and FY 12 est \$20,000,000. (Project Grants (Discretionary)) FY 10 \$10,000,000; FY 11 est \$4,990,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Up to \$800,000 for Community Economic Development and \$1,344,581 for Rural Community Development Activities.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 44 grants were awarded for CED and 10 grants were awarded for RCF in FY 2010. Fiscal Year 2011: It is anticipated that 19 grants will be awarded for CED, and 9 grants will be awarded for RCF in FY 2011. Fiscal Year 2012: It is anticipated that 20 grants will be awarded for CED. However, the FY 2012 request does not include funding for the RCF program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program announcements are posted on the web.

**Regional or Local Office:**

None. OCS Liaisons, stationed in - ACF.

**Headquarters Office:**

Thom Campbell, Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, District of Columbia 20447  
Email: thom.campbell@acf.hhs.gov Phone: (202) 401-5483 Fax: (202) 401-4719 .

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs>.

**RELATED PROGRAMS:**

93.593 Job Opportunities for Low-Income Individuals

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement.

**93.575 CHILD CARE AND DEVELOPMENT BLOCK GRANT**

Child Care and Development Block Grant (CCDBG)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Care and Development Block Grant Act of 1990, as amended, 42 U.S.C 9858; Consolidated Appropriations Act of 2010, Public Law 111-117.

**OBJECTIVES:**

The Child Care and Development Block Grant (CCDBG or Discretionary Funds) is a part of the Child Care and Development Fund (CCDF) program, along with the Child Care Mandatory and Matching Funds (see CFDA 93.596). To make grants to States, Territories, Tribes, and tribal organizations serving federally-recognized tribes (public institutions of higher education and hospitals are not eligible applicants) for child care assistance for low-income families and to: (1) allow each State maximum flexibility in developing child care programs and policies that best suit the needs of children and parents within such State; (2) promote parental choice to empower working parents to make their own decisions on the child care that best suits their family's needs; (3) encourage States to provide consumer education information to help parents make informed choices about child care; (4) assist States to provide child care to parents trying to achieve independence from public assistance; and (5) assist

States in implementing the health, safety, licensing, and registration standards established in State regulations. Current priorities include: making systemic investments in quality child care to promote child development and learning; and creating a system that is child focused, family friendly, and fair to providers.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

In the Fiscal Year 2011 Full-Year Continuing Appropriations Act, Congress directs that funds appropriated for the Child Care and Development Block Grant (CCDBG or Discretionary Funds) must be used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. Lead Agencies must use Discretionary Funds for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, and other activities that realize the goals of the CCDBG. Certain amounts of Discretionary Funds must be used for specific purposes: quality expansion; infant and toddler quality improvement; and child care resource and referral, including a national toll-free hotline; and school-age child care activities. A portion of the Discretionary Funds is also designated for the U.S. Department of Health & Human Services to carry-out research, demonstration, and evaluation projects. Not more than five percent of the aggregate amount of CCDF Funds expended by the State or Territory (15 percent for Tribes or tribal organizations) may be expended for administrative costs incurred by the State or Territory to carry-out all of its functions and duties. The term "administrative costs" does not include the costs of providing direct services. A State or Territory shall use not less than four percent of the CCDF Funds to improve child care quality and availability including comprehensive consumer education, activities to increase parental choice, and other activities such as resource and referral services, provider grants and loans, monitoring and enforcement of requirements, training and technical assistance, and improved compensation for child care staff. Except for approved construction of child care facilities by tribal grantees, no Discretionary Funds may be used for the purchase or improvement of land, or for the purchase, construction, or permanent improvement of any building or facility (other than for minor remodeling and for upgrading facilities to meet State and local child care standards). No Discretionary Funds provided directly to child care providers through grants or contracts may be expended for any sectarian purpose or activity, including sectarian worship or instruction. However, Grantees must give parents the option of receiving vouchers or certificates to allow parents the choice of faith-based or community child care providers. No Discretionary Funds may be provided for any services provided to students enrolled in grades 1 through 12 during the regular school day; for any services for which such students receive academic credit toward graduation; or for any instructional services which supplant or duplicate the academic program of any public or private school. Lead Agencies shall assure that a substantial portion of the Discretionary Funds will be used to provide assistance to low-income working families who are not receiving assistance under the Temporary Assistance for Needy Families program, attempting through work activities to transition off of temporary assistance programs, nor at risk of becoming dependent on temporary assistance programs.

**Applicant Eligibility:**

Eligibility: All 50 States, the District of Columbia, the Virgin Islands, Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and Federally recognized Tribal Governments, including Alaskan Native Corporations.

**Beneficiary Eligibility:**

Children under age 13 (or, at the option of the grantee, up to age 19, if physically or mentally incapable of self-care or under court supervision), who reside with a family whose income does not exceed 85 percent of the State median income for a family of the same size, and who reside with a parent (or parents) who is working or attending job training or educational program; or are in need of, or are receiving protective services.

**Credentials/Documentation:**

Lead Agencies must operate under a CCDF plan approved by the Administration for Children and Families, and must provide assurances that the Grantee will comply with the requirements of the CCDBG Act and all

applicable Federal law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Each Grantee must designate a Lead Agency to which grants are awarded and that is accountable for the use of the Discretionary Funds provided, the duties of which shall include developing a CCDF plan. In conjunction with the development of the CCDF plan, the Lead Agency must hold at least one public hearing no earlier than nine months before the CCDF plan becomes effective and after at least 20 days of statewide public notice, to provide the public an opportunity to comment on the provision of child care services under the plan. In advance of the hearing, the Lead Agency must make the content of the plan available to the public. The Lead Agency must also coordinate the provision of services under the program with other Federal, State, and local child care and early childhood development programs. Also, the Lead Agency must consult with appropriate representatives of local governments. Tribal Lead Agencies submitting applications for construction must submit an environmental impact assessment. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Lead Agency desiring to receive an allotment for a fiscal year is required to submit a two-year CCDF plan to the Administration for Children and Families, as well as, financial and other information necessary for the grants process. Each CCDF plan must contain certifications and assurances by the Lead Agency that it will comply with the requirements of the Child Care and Development Block Grant Act (CCDBG). The plan must also include: the designation of a Lead Agency; the provision of assurances regarding policies and procedures as stated in Section 658E(c)(2) of the CCDBG; an outline of the intended use of block grant funds in compliance with Section 658E(c)(3) of the CCDBG; the provision of certification regarding payment rates as stated in Section 658E(c)(4) of the CCDBG; and the establishment of a sliding fee scale. Additional requirements are specified by 45 CFR Parts 98 and 99.

**Award Procedure:**

Grants are awarded after the receipt and approval of the CCDF plan by the Administration for Children and Families.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Administration for Children and Families will review the CCDF plans for approval and will act on the plans within 90 days.

**Appeals:**

Guidelines for appealing the disapproval of CCDF plans are specified in regulations (45 CFR Part 99).

**Renewals:**

CCDF plans must be submitted every two years.

**Formula and Matching Requirements:**

Statutory Formula: Title 45 CFR, Part 98.53.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made to Lead Agencies with approved CCDF plans. Grantees must obligate all Discretionary Funds in the fiscal year in which they are granted or in the succeeding fiscal year. Those funds must be liquidated no later than the end of the third fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

As specified in 45 CFR Part 98, States must report to ACF annually aggregate data on families, children in care, providers, payment methods, and consumer education. Quarterly case-level reports are required to provide data on families, children, and providers, and payment information. Tribes must also provide an annual count of children and families served through CCDF; average hours of service per child by type of care; average monthly payment and co-payments

per child; number of children served by income; and supplemental narratives. No cash reports are required. No progress reports are required. States must also submit quarterly expenditure reports. Territories are required to report estimates and expenditures for the Discretionary Fund only on a quarterly basis. States, DC, and Puerto Rico are required to measure, calculate, and report improper authorizations for payments as well as identify strategies for reducing future improper authorizations for payments. One-third of the 50 States, DC, and Puerto Rico must report annually on a three-year cycle. Tribes report expenditures for the Tribal Mandatory, Discretionary, and Construction/Renovation funds. Monitoring is in accordance with 45 CFR 98.90.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional auditing may be necessary.

**Records:**

Proper grant accounting records must be maintained.

**Account Identification:**

75-1515-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$2,126,757,000; FY 11 est \$2,222,627,000; and FY 12 est \$2,926,757,000 - Above obligations include contracts and grants. These figures do not include CCDF Mandatory Funds and Matching Funds under CFDA 93.596. Also excluded are CCDF Discretionary Funds provided by the American Recovery and Reinvestment Act (see CFDA 93.713).

**Range and Average of Financial Assistance:**

For States, including DC and Puerto Rico, the range of grants in FY 2011 is: \$8,589,421 to \$540,407,421; average grant is \$94,477,761. For 258 Tribal grantees, the range of grants in FY 2011 is: \$23,221 to \$12,252,154; average grant is \$391,014. For the four Territories, the range of grants in FY 2011 is \$1,858,431 to \$4,190,681; average grant is \$2,228,281. These figures are inclusive of funds received through CFDA 93.575 and 93.596.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 314. Fiscal Year 2011: It is anticipated that 314 grants will be awarded. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These funds are subject to the Child Care and Development Fund regulations at 45 CFR Parts 98 and 99.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Child Care Bureau Regional Program Managers (RPM). A list of the RPM's and their contact information is available at [www.acf.hhs.gov/programs/ccb/ta/raaddr/program\\_managers.htm](http://www.acf.hhs.gov/programs/ccb/ta/raaddr/program_managers.htm). You may also contact the Office of Child Care, Administration for Children and Families at (202) 690-6782 or by Fax at (202) 690-5600.

**Headquarters Office:**

Kenneth Akwuole, Office of Child Care, Administration for Children and Families, Department of Health and Human Services, 901 D St. S.W., 5th Floor East, Washington, District of Columbia 20447 Email: [kenneth.akwuole@acf.hhs.gov](mailto:kenneth.akwuole@acf.hhs.gov) Phone: (202) 205-8531 Fax: (202) 690-5600.

**Website Address:**

<http://www.acf.hhs.gov/programs/ccb>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Anticipated results are the same as FY 2010. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.576 REFUGEE AND ENTRANT ASSISTANCE\_DISCRETIONARY GRANTS****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522; Refugee Education Assistance Act of 1980, Title V, Public Law 96-422, 94 Stat. 1809, 8 U.S.C 1522.

**OBJECTIVES:**

The objectives of the discretionary grant programs include: (1) decreasing the numbers of refugees on public assistance and the length of time refugees require such assistance; (2) encouraging the placement of refugees in locations with good job opportunities and lower costs of living; (3) enhancing services to disadvantaged refugee groups; (4) promoting older refugees' access to aging services; (5) assisting low-income refugees with matching funds for individual development accounts and with financial literacy classes; (6) providing micro-credit to refugees interested in starting new businesses but unable to access commercial sources of capital; (7) providing services to refugees in rural areas; (8) providing preventive health services; and (9) providing school impact assistance.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used only for the purposes set forth in the notice of funds availability and in the grant award.

**Applicant Eligibility:**

Public and private nonprofit agencies may apply for these grants.

**Beneficiary Eligibility:**

Refugees, Cuban and Haitian entrants, asylees, certain Amerasians, certified victims of a severe form of trafficking, and special immigrants from Iraq and Afghanistan.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Agencies submit applications which are reviewed and evaluated in accordance with criteria specified in the notice of funds availability. Notices of funds availability may be accessed at Grants.gov or at the Office of Refugee Resettlement website at [www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr). Application kits can also be accessed at the ORR website.

**Award Procedure:**

Eligible applicants submit an application to HHS. This document includes a detailed program proposal and budget. After review by an independent panel and consideration of past performance, the Director of the Office of Refugee Resettlement makes final funding decisions and grant awards are issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon funding availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds made available under this program are for project periods ranging from 17 months to 5 years. Funds are awarded annually during the project period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Performance Reports are required, usually on a quarterly or semi-annual basis. Final program reports summarizing the activities and accomplishments of the project in relation to the original approved goals and objectives are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. Federal Financial Reports (SF-425) are required, usually on a quarterly or semi-annual basis. Final Federal Financial Reports are required 90 days after the end of the project period. Performance monitoring activities include on-site and desk monitoring of projects. On site, the ORR team interviews agency staff and clients and reviews case files and financial documents. In addition to program monitoring, program performance reports and Federal Financial Reports (SF-425) are reviewed to ensure that agencies are spending funds appropriately and are performing in a manner consistent with the approved application and grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits are made as part of the system of financial management and internal control to meet terms and conditions of grants and other agreements. Nonprofit organizations receiving less than \$25,000 a year in Federal awards are exempt from Federal audit requirements, but records must be available for review by appropriate officials of the Federal grantor agency or subgranting entity.

**Records:**

Grant recipients are required to keep all financial, business, and program reports necessary for program review and audit for the project period and for three years after the end of the project period.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Project Grants) FY 10 \$74,934,000; FY 11 est \$74,870,000; and FY 12 est \$99,870,000 - The estimate for FY 2012 includes an additional \$25,000,000 for discretionary grants that will provide intensive case management and other services to meet the emergency needs of refugees facing hardship as a result of persistent unemployment, including homelessness, eviction, and long-term unemployment.

**Range and Average of Financial Assistance:**

The amounts of grants range from a minimum of \$50,000 to a maximum of \$19,000,000 based on the type of funding and services to be provided.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notices of funds availability are posted on the ACF and ORR website and can also be accessed through Grants.gov. Inquiries may be directed to the Information Contact listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ronald Munia 370 L'Enfant Promenade SW, Eighth Floor West, Washington, District of Columbia 20447 Email: ronald.munia@acf.hhs.gov Phone: (202) 401-4559 Fax: (202) 401-0981

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for awarding funds are published in the notice of funds availability.

**93.579 U.S. REPATRIATION**

Repatriation Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Section 1113, 24 U.S.C 9.

**OBJECTIVES:**

The US Repatriate program provides temporary assistance, care, and treatment to eligible US citizens and their dependents who return to the United States from travel in a foreign country due to physical or mental illness, destitution, war, threat of war, or a similar crisis and who are without resources.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program provides temporary assistance such as cash assistance, medical care, admission into a nursing home or hospital, settling with family or friends, moving into permanent housing, foster care placement, transportation, overnight lodging, food, provision for escort services, clothing, and other goods and services necessary for the health or welfare of individuals to U.S. citizens and their dependents who are without available resources in the U.S. upon their arrival from abroad. This temporary assistance is given in the form of a loan and must be repaid to the U.S. Government. Repatriates sign repayment agreements in which they agree to repay all repatriation costs to the federal government.

**Applicant Eligibility:**

Social service organizations with expertise in mental health, child welfare, the criminal justice system, and emergency assistance.

**Beneficiary Eligibility:**

U.S. citizens and their dependents who return to the U.S. from abroad due to physical or mental illness, destitution, war, threat of war, or a similar crisis and who are without resources.

**Credentials/Documentation:**

Proof of U.S. Citizenship. If applying due to mental condition, a certificate as to mental status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Grants are awarded through the Administration for Children and Families discretionary grants procedures.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for five years with one year budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a five-year project period with annual budget periods.

See the following for information on how assistance is awarded/released:

Grantees draw down funds, as required, for reimbursement of expenditures from the HHS Payment Management System.

**Reports:**

Program reports are required quarterly; a final report is required 90 days after the end of the project period. No cash reports are required. Progress reports are required quarterly. The progress reports include updates on individual cases and the status of payments and collections. The Federal Financial Report (SF-425) is required. There is ongoing desk monitoring of the grantee and yearly on-site monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee must maintain records for three years after the conclusion of the project period.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Cooperative Agreements) FY 10 \$7,815,000; FY 11 est \$1,000,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

One grant of approximately \$1,000,000 is awarded each year of the project period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Russell Office of Refugee Resettlement  
Eighth Floor  
370 L'Enfant Promenade SW

, Washington, District of Columbia 20447 Email:

Elizabeth.Russell@acf.hhs.gov Phone: (202) 401-4845 Fax: (202) 401-0981

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria are included in the grant announcement.

**93.581 IMPROVING THE CAPABILITY OF INDIAN TRIBAL GOVERNMENTS TO REGULATE ENVIRONMENTAL QUALITY  
FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under Sec. 803(d) of the Native American Programs Act of 1974 (NAPA), 42 U.S.C. 2991b(d), Public Law 101-408; This program is authorized under Sec. 803(d) of the Native American Programs Act of 1974 (NAPA), 42 U.S.C. 2991b(d), Public Law 93-644, 42 U.S.C 2991b.

**OBJECTIVES:**

The Environmental program provides funding for projects that support the development, enforcement, and monitoring of tribal environmental quality and regulatory programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for planning, developing and implementing tribal environmental regulatory projects through competitive grants. Types of allowable activities are: to regulate and enforce environmental activities on Indian lands; to develop regulations, ordinances and laws to protect the environment; to develop the technical and program capacity to carry out a comprehensive tribal environmental program and perform essential environmental program functions; to promote training and education of tribal employees; to develop technical and program capability to meet tribal and Federal regulatory requirements; to develop technical and program capability to monitor compliance and enforcement of tribal environmental regulations, ordinances, and laws; to establish a baseline condition for regulatory purposes; and to ensure the tribal court system enforcement requirements are developed in concert with and support the tribe's comprehensive environmental program.

**Applicant Eligibility:**

Federally-recognized Indian tribes; consortia of Indian tribes; incorporated nonfederally and state-recognized Tribes; Alaska Native villages as defined in the Alaska Native Claims Settlement Act (ANCSA) and/or nonprofit village consortia; and tribal governing bodies (IRA or traditional councils) as recognized by the Bureau of Indian Affairs. These include: Tribal Government Environmental Department programs, other Environmental programs, and Native American/Alaska Native Organizations, including Indian groups, cooperatives, corporations, partnerships, and associations.

**Beneficiary Eligibility:**

American Indians and Alaska Natives.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of the Code of Federal Regulations, which implement the requirements of applicable OMB Circular Nos. A-87, A-21, and A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Information regarding the availability for grant funds will be published from time to time in the Federal Register as Program Announcements, which will provide details on program objectives for which applications are being solicited and other application requirements. The Administration for Native Americans will provide each applicant with the appropriate forms for the application for Federal Assistance and instructions for applying for grants from Administration for Native Americans programs. Applications should be submitted to Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Award Procedure:**

All funds are awarded directly to the grantees.

**Deadlines:**

Mar 09, 2011: by 4:30 pm EST. Each program announcement specifies the due dates for submission of applications.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applicants will receive notice of approval/disapproval approximately 120 days after receipt of application.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20.%. This program has no statutory formula for distribution of funds. A matching share of 20 percent of the total approved project cost is required unless waived in accordance with criteria which are also published in 45 CFR 1336.50. This program has maintenance of effort requirements; see funding agency for further details. Waiver requirements are contained in 45 CFR, Part 1336.50.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grantees may apply for competitive continuation support within a project period of 1 to 3 years. Method of awarding/releasing assistance: lump sum per budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Program reports are not applicable. Cash reports are not applicable. Objective Progress Reports (OPR) are required quarterly using the OPR form which follows closely the Project Objective Work Plan (OWP). Financial Status reports are required quarterly. By statute one third of the grant portfolio must receive on-site impact evaluation. - . - .

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of 3-year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$2,398,385; FY 11 est \$2,135,245; and FY 12 est \$2,200,000

**Range and Average of Financial Assistance:**

\$50,000 - \$300,000

Average = \$125,000 per budget period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 17 new and continuation Environmental grants were awarded. Fiscal Year 2011: In FY 2011, it is anticipated that 14 new and continuation grants will be awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 14 new and continuation grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in 45 CFR 1336.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia E. McDonald Administration for Native Americans  
Administration for Children and Families  
Department of Health and Human Services  
Aerospace Building, 2nd Floor West  
370 L'Enfant Promenade  
, Washington , District of Columbia 20447 Email:  
patricia.mcdonald@acf.hhs.gov Phone: (877) 922-9262

**Website Address:**

<http://www.acf.hhs.gov/programs/ana/>.

**RELATED PROGRAMS:**

66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement. In general, proposals are judged on the basis of relevance to program objectives as stated in the program announcement, project viability, community support, reasonable cost estimates, and qualifications of applicant organization and personnel.

**93.583 REFUGEE AND ENTRANT ASSISTANCE\_WILSON/FISH PROGRAM**

Wilson/Fish Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522; Refugee Education Assistance Act of 1982, Title V, Public Law 96-422, 94 Stat. 1809, 8 U.S.C 1522; Victims of Trafficking and Violence Protection Act of 2000 , Public Law 106-386; Defense Authorization Act, 2008, Public Law 110-181, 122 Stat. 398; Consolidated Appropriations Act, 2008, Public Law 110-161, 121 Stat. 2212.

**OBJECTIVES:**

To develop alternative projects which promote early employment of refugees, certain Amerasians from Viet Nam, Cuban and Haitian entrants, asylees, certified victims of a severe form of trafficking, and special immigrants from Iraq and Afghanistan. States, voluntary resettlement agencies, and other resettlement organizations may develop innovative approaches for the provision of refugee cash and medical assistance, otherwise available through the State-administered program. The purpose of the Wilson-Fish program is to provide integrated services that include cash assistance, medical assistance and other related services described above in order to increase refugees' prospects for early employment and self-sufficiency, reduce their level of welfare dependence, and promote coordination among voluntary resettlement agencies and services providers. In addition, the WF program allows ORR to ensure that refugee assistance programs exist in every State where refugees are resettled. Projects must serve all eligible refugees in a community. Wilson/Fish projects comprise two types of projects. (1) Nine projects currently establish or maintain a refugee program in a State where the State is not participating in the

refugee program or has withdrawn from the refugee program or a portion of the program. (Alabama, Alaska, Idaho, Kentucky, Louisiana, Nevada, North Dakota, South Dakota, and Tennessee). (2) Four projects currently provide an alternative to the existing system of assistance and services to refugees (Colorado, Massachusetts, Vermont and San Diego).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used only for the purposes set forth in the grant award. Assistance is limited to refugees, asylees, Cuban and Haitian entrants, certain Amerasian immigrants, certified trafficking victims, and special immigrants from Iraq and Afghanistan, as defined in the authorizing Acts. The refugee must document his immigration status in order to be eligible for assistance. The scope of services available to refugees from Wilson/Fish grantees is similar to that of the State-Administered Refugee Resettlement Programs, which in turn is similar to regular domestic public assistance programs.

**Applicant Eligibility:**

States, voluntary resettlement agencies, and other nonprofit refugee resettlement organizations may apply to initiate an alternative program. No separate funding is appropriated for Wilson/Fish demonstration projects. Funds are drawn instead from funds earmarked for refugee cash and medical assistance grants and social services allocations for the State-administered program (93.566) according to ORR projections.

**Beneficiary Eligibility:**

Refugees, certain Amerasian immigrants, Cuban/Haitian entrants, asylees, victims of a severe of trafficking, and Iraqi and Afghan Special Immigrants are eligible for services and assistance through funded projects in a community. Cash assistance is transitional for up to 8 months; services may be provided for up to five years.

**Credentials/Documentation:**

Proof of immigration status in the form of an I-94 card or final grant of asylum letter from the U.S. Citizenship and Immigration Services (USCIS), formerly the Immigration and Naturalization Service (INS). For victims of a severe form of trafficking, clients must have a certification or eligibility letter issued by HHS/ORR. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Awards are granted on a competitive basis, as specified in the program announcements. Each agency desiring to respond to a program announcement is required to submit an application. Applications are reviewed and evaluated pursuant to criteria specified in the program announcement.

**Award Procedure:**

Eligible applicants submit an application to HHS. Subsequent to review by an independent panel, the Director of ORR makes the funding decision on all grant awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon funding availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are made available for this program for one-year budget period. The project period is up to four years. Funds are awarded all at once at the beginning of each budget period (lump sum). If refugee arrivals and refugee cash and medical assistance recipients exceed those that were estimated at the time of application, a grantee can submit a request for supplemental funding to meet the unanticipated need for refugee cash and medical assistance. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Performance reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are required every four months. Cash reports are not applicable. No progress reports are required. Financial reports are required on a quarterly basis. During the monitoring visits, a representative collection of case files are reviewed to ensure clients are receiving appropriate services. Specifically, the ORR WF team reviews client, legal, financial, categorical and time eligibility, the Family self-sufficiency plan, receipt of cash assistance, case management and employment service and outcomes. Also the ORR WF team interviews agency staff and clients to ensure that information gleaned from the case-file, agency staff and clients corroborates with one another. In addition to program monitoring quarterly performance reports, Federal Financial Reports (SF-425) and Annual goal plans are reviewed to ensure WF agencies that agencies are spending funds appropriately and are performing in a manner consistent with the approved application and cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits are made a part of the system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

Grant recipients are required to keep all financial, business and program reports necessary for program review and audit for the project period and for 3 years following the end of the project period to ensure that funds have been expended in accordance with the regulations, grant terms, and conditions of the program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Cooperative Agreements) FY 10 \$32,000,000; FY 11 est \$32,000,000; and FY 12 est \$32,000,000

**Range and Average of Financial Assistance:**

Awards range from \$478,120 to \$7,046,812.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, approximately 31,618 refugees and others eligible for refugee benefits received assistance and services under the Wilson/Fish program. Fiscal Year 2011: In FY 2011, it is anticipated that approximately 32,000 refugees and others eligible for refugee benefits will receive assistance and services under the Wilson/Fish program. Fiscal Year 2012: In FY 2012, it is anticipated that approximately 32,000 refugees and others eligible for refugee benefits will receive assistance and services under the Wilson/Fish program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Wilson/Fish Program announcement can be found on the ORR website. All inquiries should be directed to the Information Contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carl Rubenstein, 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20447 Email: carl.rubenstein@acf.hhs.gov Phone: (202) 205-5933 Fax: (202) 205-5888.

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Examples of funded projects may be found on the ORR website at [www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr). Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.584 REFUGEE AND ENTRANT ASSISTANCE\_TARGETED ASSISTANCE GRANTS**

Targeted Assistance Grants Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522, as amended by Refugee Assistance Extension Act of 1986, Public Law 99-605, 100 Stat. 3449, 8 U.S.C 1522(c); Refugee Education Assistance Act of 1980, Public Law 96-422, 8 U.S.C 1522 note; Defense Authorization Act of 2008, Public Law 110-181; Consolidated Appropriations Act of 2008, Public Law 110-161; Victims of Trafficking Violence and Protection Act of 2000, Public Law 106-386; Department of Defense Appropriations Act of 2010, 123 Stat. 3409.

**OBJECTIVES:**

The Targeted Assistance Grant program provides funding for employment-related and other social services for refugees, certain Amerasians, Cuban and Haitian Entrants, asylees, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants in areas with large refugee populations and high refugee concentrations. An arrival must be within five years of arriving in this country to be eligible for services under these grants.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be used for employment-related and other social services for refugees, certain Amerasians, Cuban and Haitian entrants, asylees, victims of a severe form of trafficking, and Afghan and Iraqi Special Immigrants.

**Applicant Eligibility:**

State agencies, State Replacement Designees, and Wilson/Fish Alternative projects are eligible to receive funding for assistance to counties and Targeted Assistance Areas in States where, because of factors such as large refugee populations and high refugee concentrations in relation to the overall county population, there exists a need for supplementation of available resources for services to refugees.

**Beneficiary Eligibility:**

Refugees, certain Amerasians, Cuban and Haitian Entrants, asylees, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants. Potential beneficiaries must be within five years of arrival in this country to be eligible for services.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**



Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. States with qualifying counties must submit an application for funding in accordance with application requirements described in the annual notice of availability of formula allocation funding for targeted assistance grants.

**Award Procedure:**

Grants are made to State agencies on behalf of qualified counties. Counties are requalified for Targeted Assistance grants every three years based on the number of arrivals and the concentration of arrivals in a county.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Subject to approval of application.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are for a three-year project period with annual budget periods. A new three-year project period begins in FY 2011 when ORR will re-qualify counties and Targeted Assistance Areas for assistance. Counties and Targeted Assistance Areas that qualify in FY 2011 will continue to qualify for Targeted Assistance grants through FY 2013.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Chapter IV, Part 400.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded on a yearly basis and must be obligated by the end of the fiscal year following the year of award. Method of awarding/releasing assistance: lump sum.

**Reports:**

Trimesterly program performance reports (ORR-6). Cash reports are not applicable. No progress reports are required. Quarterly expenditure reports (SF-425) are required. ORR on-site monitoring teams review with grantee staff the eligibility and documentation requirements for this program and verify the maintenance of accurate and up-to-date client files. ORR staff also monitor State financial, aggregate services, and case level reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee must maintain financial and program records for three years after the grantee submits the last expenditure report for the funding period.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$43,731,000; FY 11 est \$43,731,000; and FY 12 est \$43,731,000

**Range and Average of Financial Assistance:**

In FY 2010, awards ranged from \$163,942 to \$12,640,578. The average award was \$1,457,700.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Subpart L - 400.310 to 400.319.

**Regional or Local Office:**

None.

**Headquarters Office:**

Pamela Green-Smith, 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20447 Email: pamelagreen@acf.hhs.gov Phone: (202) 401-4531 Fax: (202) 401-0981.

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.586 STATE COURT IMPROVEMENT PROGRAM**

State Court Improvement Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV-B, Part subpart 2, Section 438.

**OBJECTIVES:**

To assist State courts in performing their role in the continuum of care provided for families and children at risk. It provides State courts with the flexibility to design assessments which identify barriers to timely and effective decision-making, highlight practices which are not fully successful, examine areas they find to be in need of correction or added attention, and then implement reforms which address the State courts specific needs. New objectives added in 2005 focus on court-agency collaboration and, direct courts to 1) improve case tracking and analysis and 2) increase training of court personnel, including cross-training with agency staff. In 2006 an objective was added to require assessment and improvement of State courts handling of the interstate placement of children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants under the State Court Improvement Program may be used for assessment and improvement activities, broadly defined, of the child welfare functions of a court system; for improved case tracking and analysis of child welfare cases; and for training of legal and judicial personnel in child welfare cases, including cross-training with child welfare agency staff and contractors.

**Applicant Eligibility:**

The highest State courts in each of the 50 States, the District of Columbia and Puerto Rico are eligible to apply for funding. The term "highest State court" means the judicial tribunal which is the ultimate court of appeals in the State.

**Beneficiary Eligibility:**

State courts are eligible.

**Credentials/Documentation:**

All State courts which submit applications as per instructions released by the Children's Bureau, Administration on Children, Youth, and Families (ACYF) are eligible to receive Court Improvement Program grant funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Program instructions can be obtained from the Children's Bureau, ACYF and the appropriate HHS Regional Offices.

**Award Procedure:**

Awards to approved applicants will be made from the Administration for Children and Families, Office of Administration, Office of Grants Management.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Federal approval time will be between 30 and 120 days.

**Appeals:**

Appeals are processed in accordance with HHS Departmental regulations at 45 CFR Part 16.

**Renewals:**

Applications will be requested and accepted annually, based on guidance to State courts by the Children's Bureau.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 25%. Each State court with an approved application is allotted \$85,000 for fiscal year 2007-2011. In addition to this base amount, the remainder of the amount appropriated for all State courts (i.e. \$12,089,272 for fiscal year 2008) will be divided among those courts with approved applications according to each State's proportionate share of children under the age of 21. If any State courts do not apply for their share of these funds, the unclaimed amount will be reallocated each year to all other State courts with approved applications. Nonfederal share (or match) is required at the rate of 25 percent of the total budget. The same formula and match requirements apply to funds appropriated for case tracking/analysis and training for fiscal years 2006 through 2010 (\$20,000,000).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Treasury will provide funds for this program. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Both fiscal and program reports are required annually and are due 90 days after the close of the grant year. Both fiscal and program reports are required annually and are due 90 days after the close of the grant year. No progress reports are required. Both fiscal and program reports are required annually and are due 90 days after the close of the grant year. No progress reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained at least 3 years. Records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$32,085,084; FY 11 est \$32,085,084; and FY 12 est \$32,085,084

**Range and Average of Financial Assistance:**

Grants ranged from \$98,480 to \$1,071,920 with the average award being \$237,044.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 51 grants were awarded in fiscal year 2010. Fiscal Year 2011: It is estimated that 51 grants will be awarded in fiscal year 2011. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ACYF-CB-PI-06-05 issued June 15, 2006, and ACYF-CB-PI-07-09 issued June 4, 2007. The Court Improvement Program is not regulated.

**Regional or Local Office:**

See Regional Agency Offices. Please contact the ACF branch of the appropriate Regional Office. (See Appendix IV of the Catalog.)

**Headquarters Office:**

David Kelly 1250 Maryland Avenue, SW; 8th Floor, Washington, District of Columbia 20024 Email: david.kelly@acf.hhs.gov Phone: (202) 205-8709.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.643 Children's Justice Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.587 PROMOTE THE SURVIVAL AND CONTINUING VITALITY OF NATIVE AMERICAN LANGUAGES**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under Section 803(a) and 803C of the Native American Programs Act of 1974, 42 U.S.C. 2991b and 2991b-3, as amended by the Esther Martinez Native American Languages Preservation Act of 2006, Public Law 109-394., Public Law 93-644, 42 U.S.C 2991b; This program is authorized under Section 803(a) and 803C of the Native American Programs Act of 1974, 42 U.S.C. 2991b and 2991b-3, as amended by the Esther Martinez Native American Languages Preservation Act of 2006, Public Law 109-394., Public Law 102-524.

**OBJECTIVES:**

To provide financial assistance to eligible applicants for the purpose of promoting the survival and continued vitality of native languages. This program area is divided into two categories: (1) Native Language Preservation and Maintenance and (2) Esther Martinez Initiative. The Language Preservation and Maintenance Grants are 12, 24 or 36-month projects that enable communities to conduct assessments of native languages, plan language programs and implement language projects that support the communities long-term language preservation goals. The Esther Martinez Initiative Grants are 36-month projects that will be awarded to applicants that meet the statutory requirements for immersion projects with language nests, restoration programs or language survival schools in accordance with P.L. 109-394.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for language preservation, enhancement and immersion including language nests. This is a discretionary grant program.

**Applicant Eligibility:**

Public and private nonprofit agencies, including but not limited to, Federally-recognized Indian Tribes (as listed by the Bureau of Indian Affairs in an October 21, 1993 Federal Register notice); Incorporated Non-Federally recognized Indian Tribes; Alaska Native villages as defined in the Alaska Native Claims Settlement Act (ANSCA) and/or nonprofit village consortia;

Nonprofit Alaska Native Regional Associations with village specific projects; Nonprofit Native organizations in Alaska with village specific projects; Incorporated nonprofit multi-purpose community-based Indian organizations; Urban Indian Centers; Public and nonprofit private agencies serving Native Hawaiians; National or regional incorporated nonprofit Native American organizations with Native American community-specific objectives; Public and nonprofit private agencies serving native peoples from Guam, American Samoa, or the Commonwealth of the Northern Mariana Islands; and Tribally Controlled Community Colleges, Tribally Controlled Post Secondary Vocational Institutions, and colleges and universities located in Hawaii, Guam, American Samoa, or the Commonwealth of the Northern Mariana Islands which serves Native American Pacific Islanders.

**Beneficiary Eligibility:**

American Indians, Alaska Natives, Native Hawaiians, and Native American Pacific Islanders will benefit.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of the Code of Federal Regulations, which implement the requirements of applicable OMB Circular Nos. A-87, A-21, and A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information regarding the availability of grant funds will be posted in Grants.gov and the ACF Funding Opportunities websites as Funding Opportunity Announcements, which will provide details on program objectives for which applications are being solicited and other application requirements. Hard copy applications should be submitted to Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, Aerospace Building 6th Floor East, 370 L'Enfant Promenade, SW, Washington, DC 20447. Electronic submissions are submitted through Grants.gov.

**Award Procedure:**

All funds are awarded directly to the grantees.

**Deadlines:**

Mar 09, 2011: by 4:30 pm EST. Each program announcement specifies the due date for submission of applications.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applicants will receive notice of approval/Disapproval approximately 120 days after receipt of application.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20%. This program has no statutory formula for distribution of funds. A matching share of 20 percent of the total approved project cost is required unless waived in accordance with criteria which are also published in 45 CFR 1336.50. This program has maintenance of effort requirements; see funding agency for further details. Waiver requirements are contained in 45 CFR, Part 1336.50. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grantees may apply for competitive continuation support within a project period. Preservation and Maintenance projects can be 12, 24 or 36 months and Esther Martinez projects are 36-month grants. Method of awarding/releasing assistance: lump sum per budget period.

. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. No program reports are required. Cash reports are not applicable. Objective Progress Reports (OPR) are required quarterly using the OPR form which follows closely the Project Objective Work Plan (OWP). Financial Status reports are required quarterly. By statute, one third of the grant portfolio must receive on-site impact evaluation. As indicated above - Financial Status reports are required quarterly. By statute one third of the grant portfolio must receive on-site impact evaluation.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of 3-year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$12,207,827; FY 11 est \$13,515,822; and FY 12 est \$12,200,000

**Range and Average of Financial Assistance:**

Language Preservation and Maintenance - \$50,000 - 200,000; Average = \$100,000 per budget period  
Esther Martinez Initiative - \$50,000 - \$300,000; Average = \$150,000 per budget period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 71 new and continuation Language grants were awarded. Fiscal Year 2011: In FY 2011, It is estimated that 63 language grants will be awarded. Fiscal Year 2012: In FY 2012, It is estimated that 70 language grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in 45 CFR 1336.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia E. McDonald Administration for Native Americans  
Administration for Children and Families  
Department of Health and Human Services  
370 L'Enfant Promenade  
Aerospace Building, 2nd Floor West, Washington, District of Columbia 20447  
Email: patricia.mcdonald@acf.hhs.gov Phone: (877) 922-9262

**Website Address:**

<http://www.acf.hhs.gov/programs/ana>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement. In general, proposals are judged on the basis of relevance to program objectives as stated in the program announcement, project viability, community support, reasonable cost estimates, and qualifications of applicant organization and personnel.

**93.590 COMMUNITY-BASED CHILD ABUSE PREVENTION GRANTS  
FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse Prevention and Treatment Act (CAPTA), as amended by P.L.111-320, enacted on December 20, 2010., 42 U.S.C 5116 et.seq.

**OBJECTIVES:**

(1) to support community-based efforts to develop, operate, expand, and enhance, and coordinate initiatives, programs, and activities to prevent child abuse and neglect and to support the coordination of resources and activities to better strengthen and support families to reduce the likelihood of child abuse and neglect; and (2) to foster understanding, appreciation and knowledge of diverse populations in order to effectively prevent and treat child abuse and neglect.

**TYPES OF ASSISTANCE:****FORMULA GRANTS****USES AND USE RESTRICTIONS:**

Funds are used to develop, operate, expand, and enhance community-based, prevention focused programs and activities designed to strengthen and support families to prevent child abuse and neglect. One percent is set aside for discretionary grants to migrant and tribal populations and an additional amount to fund a national resource center to provide training and technical assistance to State lead agencies. To receive funds, States must meet eligibility requirements stated in the authorizing legislation.

**Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

There are no eligibility requirements. Beneficiaries, which include children and their families, and organizations dealing with community-based, prevention focused programs and activities designed to prevent child abuse and neglect.

**Credentials/Documentation:**

Applications require certification and/or documentation that the State meets the eligibility requirements described in the Act requiring that: (1) the Governor of the State has designated a lead entity to administer funds under this title for the purposes identified under the authority of this Title; (2) the Governor of the State has provided assurances that the lead entity will provide or be responsible for providing community-based, prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect composed of local, collaborative, public-private partnerships directed by interdisciplinary structures with balanced representation from public and private sector members, parents, and public and private nonprofit service providers, individuals and organizations experienced working in partnership with families with children with disabilities; and (3) the Governor of the State has provided additional assurances that the lead entity has demonstrated certain capacities that ensure the States ability to meet the purposes of this authority. Applicable costs and administrative procedures will be determined in accordance with 45 CFR 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication is not required. Advice and technical assistance are available from the Children's Bureau, OCAN to State applicants. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and Territories respond to Annual Program Instruction which announces availability of funds. Application must include assurance and information required in Program Instruction, as well as completed forms from Program Instruction.

**Award Procedure:**

Applications are reviewed against all eligibility requirements at the Headquarters level. Approval/disapproval is decided by the Commissioner, ACYF.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines will be provided in the annual Program Instruction. Contact Headquarters Office listed below for future deadlines.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, part 16.

**Renewals:**

Grants are made annually. A new application is required each year.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: States that meet all of the eligibility requirements will be awarded funds based on the following statutory formula: (a) 70 percent of the total amount appropriated is allotted among the States based on the number of children under the age of 18 in each such State, except that each State shall receive not less than \$175,000; and (b) the remaining 30 percent of the total amount appropriated is allotted in an amount that bears the same proportion to such amount appropriated as the amount leveraged by the State from private, State, or other nonfederal sources and directed through the State lead agency in the preceding fiscal year bears to the aggregate of the amount leveraged by all States from private, State, or other nonfederal sources and directed through the lead agency of such States in the preceding fiscal year.

There is also a required 20 percent State match.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded by the Secretary to the State on an annual basis, as described by the formula information Section. Method of awarding/releasing assistance: lump sum.

**Reports:**

Financial and program progress reporting requirements are described in Program Instructions.

A State receiving a grant under this title, through reports provided to the Secretary should include the following:

- 1) Community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect (through networks where appropriate) composed of local, collaborative, public-private partnerships directed by interdisciplinary structures with balanced representation from private and public sector members, parents, adult former victims of child abuse and neglect, and public and private nonprofit service providers and individuals and organizations experienced in working in partnership with families with children with disabilities; (section 202(2)(A))
- 2) Direction to an interdisciplinary, collaborative, public-private structure with balanced representation from private and public sector members, parents, adult former victims of child abuse and neglect, public sector and private nonprofit sector service providers, and parents with disabilities; and (section 202(2)(B))
- 3) Direction and oversight through identified goals and objectives, clear lines of communication and accountability, the provision of leveraged or combined funding from Federal, State and private sources, centralized assessment and planning activities, the provision of training, technical assistance, evaluation assistance and reporting and evaluation functions; (section 202(2)(C))
- 4) A demonstrated commitment to parental participation in the development, operation, and oversight of the community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect; (section 202(3)(A))
- 5) A comprehensive strategy to provide a continuum of preventive, family-centered, comprehensive services for children and families, especially to young parents, to parents with young children and to parents who are adult former victims of domestic violence or child abuse and neglect through public and private partnerships; (section 202(3)(B))
- 6) Operational support (both financial and programmatic) and training,

technical assistance and evaluation assistance to community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect, through innovative, interagency funding and inter-disciplinary service delivery mechanisms; (section 202(3)(C)) and

7) Integration of its efforts with individuals and organizations experienced in working in partnership with families with children with disabilities, parents with disabilities and with the child abuse and neglect prevention activities of the State, and a financial commitment to those activities; (section 202(3)(D)). PSC-272. Program progress reporting requirements are described in Program Instructions. Financial reporting requirements are described in Program Instructions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records are to be kept in accordance with 45 CFR Parts 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$41,689,000; FY 11 est \$41,606,000; and FY 12 est \$41,689,000

**Range and Average of Financial Assistance:**

In FY 2010, the range of financial assistance was from a low of \$200,000 to a high of \$3,610,768.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 60 grants were awarded. Fiscal Year 2011: In FY 2011, it is anticipated that 60 grants will be awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 60 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All pertinent instructions are contained in the annual Program Instruction.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rosie Gomez 1250 Maryland Avenue, SW; 8th Floor, Washington, District of Columbia 20024 Email: rosie.gomez@acf.hhs.gov Phone: 202-205-7403

**Website Address:**

<http://www.friendsnrc.org>

**RELATED PROGRAMS:**

93.505 Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Puerto Rico

Centro Margarita, Inc.

Project Primavera

Project offers services to families in the prevention of child abuse and neglect, and family violence. Offers effective communication and parenting skills to low income families with children with disabilities 0-6 years, and home visitation.

Maryland

Family Support Center Network

Supports and coordinates the operation of 23 statewide Family Support Centers that serve approximately 2800 families each year who are raising infants and

toddlers while facing barriers to success, such as poverty, limited education, single parenting, and domestic violence.

Washington

Yakima Valley Farm Workers Clinic

Implementing the Spanish-Language Parenting Education Program using the Los Ninos Bien Educados curriculum, targeting low-income, Spanish-speaking migrant families in east Yakima. In addition, the program builds community capacity to provide parent-led support groups. The parenting education is culturally specific to meet the needs of Spanish speaking migrant families.

. Fiscal Year 2011: No information is available for future funding years. Fiscal Year 2012: No information is available for future funding years.

**CRITERIA FOR SELECTING PROPOSALS:**

States which meet all eligibility requirements will receive funds under this program.

**93.591 FAMILY VIOLENCE PREVENTION AND SERVICES/GRANTS FOR BATTERED WOMEN'S SHELTERS \_GRANTS TO STATE DOMESTIC VIOLENCE COALITIONS**

Family Violence Prevention and Services Act Grants to State Domestic Violence Coalitions

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Family Violence Prevention and Services Act as amended by Section 201 of the CAPTA Reauthorization Act of 2010, Pub. L. 111-320., Public Law 111-320, U.S.C 310.

**OBJECTIVES:**

To further the purposes family violence, domestic violence and dating violence intervention and prevention through coordination, training, and collaboration with systems that affect both adult and youth victims of family violence, domestic violence and dating violence; to provide services, community education and technical assistance to such programs to establish and maintain shelter and supportive services for victims of family violence, domestic violence, dating violence and their dependents.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

State domestic violence coalitions may use funds under the Act to support a range of activities, including but not limited to working with local family violence, domestic violence, and dating violence programs and providers of direct services to encourage appropriate responses to domestic violence within the State/Territory; working with judicial and law enforcement agencies to encourage appropriate and comprehensive responses to family violence, domestic violence, and dating violence cases and examine legal issues; working with family law judges, criminal court judges, Child Protective Services agencies, and children's advocates to develop appropriate responses to child custody and visitation issues in family violence, domestic violence, or dating violence cases as well as cases where domestic violence and child abuse are both present and in cases of child exposure to family violence, domestic violence, or dating violence; providing information to the public about prevention of family violence, domestic violence, and dating violence, including information targeted to underserved communities collaborating with Indian tribes and tribal organization (and corresponding Native Hawaiian groups or communities to address the needs of Indian (including Alaska Native) and native Hawaiian victims of family violence, domestic violence, or dating violence, as applicable in the State/Territory; conducting State/Territory needs assessments; and participating in planning and monitoring the distribution of grants and grant funds within the State/Territory under Section 307(a) of the Act. (See CFDA 93.671, Family Violence Prevention and Services: Grants to State and Indian Tribes.).

**Applicant Eligibility:**

To be eligible for a grant under this Section, an entity shall be a statewide nongovernmental nonprofit private domestic violence organization organized

under section 501 (c)(3) of the Internal Revenue Code that has a membership that includes a majority of the primary-purpose domestic violence service providers in the State and which shall carry out the prescribed activities in the Act.

**Beneficiary Eligibility:**

This program will benefit victims of family violence, domestic violence, dating violence, their children and other dependents, their families, other persons affected by such violence including friends, relatives, and the general public. The program will also benefit communities, including the State and business and nonprofit sectors.

**Credentials/Documentation:**

Applications must be submitted for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR 74. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted to the Administration on Children, Youth and Families. No standard application forms are required. Specific instructions are published via the Internet under the Form section at the following website: <http://www.acf.hhs.gov/grants>. Contact Headquarters Office listed below for further information.

**Award Procedure:**

Funds are awarded directly to State Domestic Violence Coalitions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

See 45 CFR 16, Procedures of the Department Appeals Board.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Part 1370, Subpart H. No less than 10 percent of the amount available to grants will be made available to the State Domestic Violence Coalition in each of the 50 States, Puerto Rico, the District of Columbia, Guam, the Northern Mariana Islands, American Samoa, and the U.S. Virgin Islands shall receive not less than 1/56 of appropriated funds in each fiscal year.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The annual grant award must be expended by each State Domestic Violence Coalition by the end of the fiscal year following the fiscal year for which funds are awarded. Payments are made through the Electronic Transfer System. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Recipients submit an annual Performance Progress Report by December 29 of each year. Recipients submit quarterly and annual Federal Financial Reports (FFR). Performance progress reports are required and selected grantees may be identified for site visits by federal program officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State Coalitions are required to maintain financial and program records necessary for program review and audit to ensure that funds have been expended in accordance with the statute, regulations, grant conditions, and administrative terms of the project funded. Requirements are found in 45 CFR Part 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$13,003,200; FY 11 est \$12,979,200; and FY 12 est \$13,505,200

**Range and Average of Financial Assistance:**

In FY11 each state and territorial coalition received \$232,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 54 Statewide Domestic Violence Coalitions were funded. Fiscal Year 2011: In FY 2011, 55 Statewide Domestic Violence Coalitions will be funded. Fiscal Year 2012: In FY 2012, it is estimated that 56 Statewide Domestic Violence Coalitions will be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations codified in 45 CFR 1300. Final Rulemaking was published February 22, 1996 at 45 CFR 1370.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kenneth E. Noyes, Esq. 1250 Maryland Avenue SW, Washington, District of Columbia 20024 Email: [kenneth.noyes@acf.hhs.gov](mailto:kenneth.noyes@acf.hhs.gov) Phone: 202-205-7891 Fax: 202-401-7038

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants; 93.994 Maternal and Child Health Services Block Grant to the States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each State Domestic Violence Coalition will receive its respective share of funds if the application submitted meets the necessary requirements.

**93.592 FAMILY VIOLENCE PREVENTION AND SERVICES/GRANTS FOR BATTERED WOMEN'S SHELTERS\_DISCRETIONARY GRANTS**

Family Violence Prevention and Services Act Discretionary Grants

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Section 310 of the Family Violence Prevention and Services Act, as amended by Section 201 of the CAPTA Reauthorization Act of 2010, Pub. L. 111-320., Public Law 111-117, 42 U.S.C 10401-10421.

**OBJECTIVES:**

To fund a wide range of discretionary activities for the purpose of providing resource information, training and technical assistance to improve the capacity of individuals, organizations, government entities, and communities to prevent family violence, domestic violence, and dating violence and to provide effective intervention services; improving the design, delivery, and coordination of services to address family violence, domestic violence and dating violence; gathering information on the incidence and prevalence of family violence,

domestic violence and dating violence; and, increasing knowledge and understanding of the issues through research, demonstration, and evaluation projects. Specific sections in the Act authorize funding for such discretionary projects as a National Resource Center on Domestic Violence and a National Indian Resource Center Addressing Domestic Violence and Safety for Indian Women ; State Resource Centers to Reduce Tribal Disparities; a National Domestic Violence Hotline; Specialized Services for Abused Parents and Their Children; public education and information activities; and research into the most effective programs for the prevention, identification, and treatment of family violence, domestic violence and dating violence.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Discretionary grants may be made to public and private entities and may take the form of a competitive grant, a cooperative agreement, or a contract, depending on the statutory requirements. Applicants must meet the program and administrative requirements specified in the appropriate Federal Register or Commerce Business Daily announcement.

**Applicant Eligibility:**

Depending on the purpose of the project and the statutory requirements, an applicant may be a public agency, a private organization (nonprofit), a federally-recognized Indian tribe, an Alaska Native Village, or a nonprofit Alaska Native Regional Corporation.

**Beneficiary Eligibility:**

These discretionary grants will benefit victims of family violence, their dependents, families, other interested persons, the general public, and communities and government entities.

**Credentials/Documentation:**

Applicants must submit an application for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR Parts 74 for private nonprofit organizations; and in accordance with 45 CFR Part 92 for State, local, and Indian Tribal governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Awards are granted on a competitive basis. All applications must contain standard forms 424 and 424A and all required certifications. Specific instructions are published via the Internet under the Forms section at the following website: <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

The Commissioner, Administration on Children, Youth and Families, will make the final decision on all awards. Selection of applicants will be determined based on the review criteria published on the following website: [http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html). Funds are awarded directly to grantees.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals (continuations), if authorized under the terms of the award, are awarded based on satisfactory performance and availability of funding.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Dependent upon priority

application request.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects may vary from a 12-month project period to a 5-year project period depending on statutory and programmatic requirements. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-Annual Performance Progress Reports (PPR) are required. Quarterly Federal Financial Reports (FFR) are required. Performance progress reports are required and selected grantees may be identified for site visits by federal program officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92 and OMB Circular No. A-133.

**Records:**

Recipients are required to keep financial and program records necessary for program review and audit to ensure that funds have been expended in accordance with the statute, regulations, grant conditions, and administrative terms of the project funded.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$13,798,000; FY 11 est \$12,996,000; and FY 12 est \$14,903,000 - Cooperative Agreements (Discretionary Grants) FY10 \$ \$13,798,000 including \$3,209,000 for the National Domestic Violence Hotline; FY11 \$12,996,000 including \$3,203,000 for the National Domestic Violence Hotline; FY12 est \$14,903,000, including \$4,500,000 for the National Domestic Violence Hotline. (Contracts) FY10: \$906,000, FY11: \$1,333,000; FY12 est \$1,246,000.

**Range and Average of Financial Assistance:**

\$141,509 to \$3,209,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 20 discretionary grants were awarded and 3 contracts funded. Fiscal Year 2011: In FY 2011, 16 discretionary grants were awarded and 3 contracts funded. Fiscal Year 2012: It is anticipated that 16 discretionary grants will be awarded and 2 contracts will be funded in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations codified in 45 CFR 1300. You may also get information on the Family and Youth Services Bureau website at <http://www.acf.hhs.gov/programs/fysb>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marylouise Kelley Family and Youth Services Bureau  
1250 Maryland Ave., SW, Washington, District of Columbia 20024 Email: [marylouise.kelley@acf.hhs.gov](mailto:marylouise.kelley@acf.hhs.gov) Phone: 202-401-5756 Fax: 202-401-7038

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.612 Native American Programs; 93.645 Child Welfare Services\_State Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: One National Resource Center on Domestic Violence and

four Special Issue Resource Centers, the National Domestic Violence Hotline, public information and education campaigns, and outreach activities to underserved and diverse populations. Fiscal Year 2011: One National Resource Center on Domestic Violence, one National Indian Resource Center Addressing Domestic Violence and Safety for Indian Women, four Special Issue Resource Centers, three Culturally Specific Special Issue Resource Centers serving racial and ethnic minority groups, the National Domestic Violence Hotline, one grant for Expanding Leadership Opportunities Within the Domestic Violence Field for Members of Underrepresented Groups, four grants and one technical assistance grant for Expanding Services to Children and Youth, public information and education campaigns, and outreach activities to underserved and diverse populations. Fiscal Year 2012: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on the criteria published in the Funding Opportunity Announcement located on the following website:  
<http://www.acf.hhs.gov/grants> or Commerce Business Daily program announcement.

**93.593 JOB OPPORTUNITIES FOR LOW-INCOME INDIVIDUALS**

(JOLI Program)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Family Support Act of 1988, Section 505, Public Law 100-485, 42 U.S.C 1926; as amended, Personal Responsibility and Work Opportunity Reconciliation Act of 1996, Section 112, Public Law 104-193.

**OBJECTIVES:**

The purpose of the JOLI program is to create new jobs to be filled by low-income individuals. JOLI grantees create jobs through business plans and the provision of technical and/or financial assistance to private employers in the community. Accordingly, JOLI grantees assist in creating new employment and business opportunities for individuals receiving Temporary Assistance for Needy Families (TANF) and for other low-income individuals. Funded projects focus on one of three program strategies to create new job and employment opportunities: (1) new business ventures, (2) business expansion, and (3) self-employment/micro-enterprise.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funded projects must: (1) create new employment and/or business opportunities for TANF recipients and other low-income individuals; (2) enter into a cooperative agreement with the local TANF agency involving client referrals to the applicant project and supportive services for clients, and applicants are encouraged to establish a formal partnership with the local Child Support Enforcement (CSE) agency involving referrals of non-custodial parents to the applicant; (3) develop a comprehensive project design that describes: the work program and strategy; the participant training design; supportive services and counseling; technical assistance and financial assistance plan; access to business capital; and, follow-up participant support services; and, (4) include an independent, methodologically sound evaluation of the effectiveness of the activities in creating new jobs and/or business opportunities. Funds awarded under this program cannot be used for 1) new construction, 2) the purchase of real property, 3) fundraising, 4) reimbursement of pre-award costs, 5) any project where the role of the applicant is primarily to serve as a conduit for funds to organizations other than the applicant, or 6) a previously funded grantee to carry out the same project in the same geographic area. A minimum of 20 percent of the funds must be used for the provision of loans or other financial assistance to program participants. Grantee's applicable costs and administrative procedures will be determined in accordance with 45 CFR Part 74.

**Applicant Eligibility:**

Only nonprofit organizations (including community development corporations, faith based, charitable, and tribal organizations) that are tax-exempt under section 501(a) of the Internal Revenue Code of 1986, by reason of paragraph

(3) or (4) of section 501(c) of such Code are eligible to apply.

**Beneficiary Eligibility:**

Only recipients of Temporary Assistance for Needy Families (TANF) benefits and any other individual, whose income level does not exceed 100 percent of the official poverty guidelines, as published by the U.S. Department of Health and Human Services, can be served under this program. Emphasis is placed on serving individuals who are TANF recipients, homeless, unemployed, non-custodial parents, reside in public housing or receive housing assistance.

**Credentials/Documentation:**

Applicants must include with the application written evidence of the local TANF agency's willingness to enter a cooperative agreement. Applicants are strongly encouraged to include with the application written evidence of a partnership with the local CSE agency. All non-profit organizations (including community development corporations, faith based, charitable, and tribal organizations) must include with the application written proof of tax-exempt status under 501(c) (3) or (4) of Internal Revenue Code of 1986. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All information and forms required to prepare a grant are published in the Federal Register and [www.grants.gov](http://www.grants.gov) website.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Financial Assistance Award. Official notice of an accepted application proposal is made through award of a grant.

**Deadlines:**

Sep 01, 2009 All information and application forms required to prepare a application are at [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Generally, solicited grants will be acted upon within 90-120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are approved for up to a 3-year budget and project period. The maximum grant for the full project and budget period is \$311,000. See the following for information on how assistance is awarded/released: Grant awards are approved for up to a 3-year budget and project period. The maximum grant for the full project and budget period is \$311,000.

**Reports:**

Semi annual progress and expenditure reports are required. Cash reports are not applicable. See above. Expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit



conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial and other records of the grant are to be kept 3 years after the termination of the grant or until audited, whichever comes first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$2,644,000; FY 11 est \$1,641,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY10 est average award \$225,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 7 grants were awarded in FY 2010. Fiscal Year 2011: It is anticipated that 4 grants will be awarded in FY 2011. Fiscal Year 2012: The FY 2012 request does not include funding for the JOLI program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The JOLI Program Announcement information is available at: [www.grants.gov](http://www.grants.gov); and the Poverty Guidelines is available at: <http://aspe.os.dhhs.gov/poverty/index.shtml>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thom Campbell, Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, District of Columbia 20447  
Email: [thom.campbell@acf.hhs.gov](mailto:thom.campbell@acf.hhs.gov) Phone: (202) 401-5483 Fax: (202) 401-4719 .

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/index.html>

**RELATED PROGRAMS:**

93.570 Community Services Block Grant\_Discretionary Awards; 93.601 Child Support Enforcement Demonstrations and Special Projects; 93.645 Child Welfare Services\_State Grants; 93.647 Social Services Research and Demonstration

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement.

**93.594 TRIBAL WORK GRANTS**

(Native Employment Works; NEW)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part A, Section 412.

**OBJECTIVES:**

To allow eligible Indian Tribes and Alaska Native organizations to operate a program to make work activities available.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Tribes have broad flexibility to use the grant for the purpose of making work activities available.

**Applicant Eligibility:**

An Indian Tribe or Alaska Native organization that conducted a Tribal JOBS (Job Opportunities and Basic Skills Training) Program in fiscal year 1995.

**Beneficiary Eligibility:**

Service areas and populations as designated by the eligible Indian Tribe or Alaska Native organization.

**Credentials/Documentation:**

The grantee's chief executive officer must sign the application for assistance (the grantee's Native Employment Works plan), documenting the Tribe's official support for, and approval of, the application/plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each eligible Indian Tribe or Alaska Native organization must submit a NEW plan to the Secretary for approval.

**Award Procedure:**

The Administration for Children and Families (ACF) will issue grant awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 45 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are issued annually. Effective for NEW funds awarded on or after July 1, 1999, grantees may carry forward (carry over) unobligated NEW fund balances for use in subsequent fiscal years, without fiscal year limitation. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The annual program report includes a narrative report in which grantees summarize their activities, achievements, and barriers during the report period, and a statistical report in which grantees reports on clients they served during the report period. Cash reports are not applicable. (Please see the description above of the program report. These are annual program progress reports.) Grantees must submit SF 425 (Federal Financial Report) annually. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Secretary will have the ability to maintain program funding accountability consistent with generally accepted accounting principles and the requirements of the Single Audit Act of 1984 and OMB Circular A-133.

**Records:**

Indian Tribes and Alaska Native organizations must maintain records containing information the Secretary may require.

**Account Identification:**

75-1552-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$7,558,000; FY 11 est \$7,633,000; and FY 12 est

\$7,633,000

**Range and Average of Financial Assistance:**

From \$5,187 to \$1,752,666; \$96,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 79 grants were awarded. Fiscal Year 2011: In FY 2011, it is anticipated that 79 grants will be awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 79 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for the Native Employment Works (NEW) program were published on February 18, 2000, and became effective June 19, 2000.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Carol Monteiro, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Boston Regional Office, JFK Building, Rm. 2000, Boston, MA 02203. Telephone: (617) 565-2462.

Region II (NJ, NY):

Joanne Krudys, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 127.

Region III (DC, DE, MD, PA, VA, WV):

Eileen Friedman, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4058.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Eric Blanchette, Acting Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Atlanta Regional Office, 61 Forsyth Street, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2782.

Region V (IL, IN, MI, MN, OH, WI):

Steven Krasner, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-3265.

Region VI (AR, LA, NM, OK, TX):

Larry Brendel, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Dallas Regional Office, 1301 Young Street, Room 945, Dallas, TX 75202. Telephone: (214) 767-6236.

Region VII (IA, KS, MO, NE):

Gary Allen, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Kansas City Regional Office, Rm. 276, 601 E 12 St., Kansas City, MO 64106. Telephone: (816) 426-2236.

Region VIII (CO, MT, ND, SD, UT, WY)

Felicia Gaither, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Denver Regional Office, 999 18th Street, South Terrace, Suite 499, Denver, CO 80202. Telephone: (303) 844-1483.

Region IX (AZ, CA, HI, NV):

Julie Fong and Rick Wever, Acting Regional Program Managers, Administration for Children and Families, Office of Family Assistance, San

Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-7579, (415) 437-8460.

Region X (AK, ID, OR, WA):

Frank Shields, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Seattle Regional Office, 2201 Sixth Avenue, M/S 74, Seattle, WA 98121. Telephone (206) 615-2569.

**Headquarters Office:**

Ann Bowker Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: ann.bowker@acf.hhs.gov Phone: (202) 401-5308 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/dts/>

**RELATED PROGRAMS:**

17.265 Native American Employment and Training; 93.558 Temporary Assistance for Needy Families

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 79 NEW grantees operated work activity programs using FY 2010 funds. Fiscal Year 2011: It is anticipated that 79 NEW grantees will continue to operate work activity programs using FY 2011 funds. Fiscal Year 2012: It is anticipated that 79 NEW grantees will continue to operate work activity programs using FY 2012 funds.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.595 WELFARE REFORM RESEARCH, EVALUATIONS AND NATIONAL STUDIES**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Deficit Reduction Act of 2005, Public Law 109-171, 42 U.S.C 613 and 710.

**OBJECTIVES:**

To support research on the benefits, effects, and costs of operating different State welfare programs, including studies on the effects of different programs and the operation of such programs on welfare dependency, employment rates, child well-being, family formation and healthy marriage, illegitimacy, teen pregnancy, and others; to assist States in developing and evaluating innovative approaches for reducing welfare dependency and increasing the well-being of minor children living at home.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants, cooperative agreements, and contracts are awarded for innovative research, demonstrations, and evaluations that are responsive to the Administration for Children and Families (ACF) program priorities. All applications must meet standards of excellence in research, demonstration, or evaluation design. Construction or the purchase of real estate are not allowable under these grants or contracts. Further, these funds may not be used to supplement the cost of program operations otherwise capped under the law. Organizations may not use funds under these grants or contracts to engage in inherently religious activities, such as worship, religious instruction, or proselytizing. In addition, an organization receiving ACF funds shall not, in providing ACF-funded services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which include the prohibition against Federal funding of inherently religious activities, as well as provisions related to nondiscrimination against religious organizations and the ability of religious organizations to maintain their religious character, can be found at either 45 CFR 87.1 or the HHS web site at <http://www.os.dhhs.gov/fbc/waisgate21.pdf>. Through grants, contracts, or

interagency agreements, may fund research on the benefits, effects, and costs of operating different State programs funded under the Temporary Assistance for Needy Families Program and evaluations of innovative approaches to reducing welfare dependency and increasing child well-being. All funding is discretionary.

**Applicant Eligibility:**

Grants and cooperative agreements may be made to or with governmental entities, colleges, universities, nonprofit and for-profit organizations (if fee is waived), and faith- and community-based organizations. Grants or cooperative agreements cannot be made directly to individuals. Contracts may be awarded to non-profit or for-profit organizations.

**Beneficiary Eligibility:**

Children, youth, and families, especially low-income families, will benefit.

**Credentials/Documentation:**

Applicants must present written evidence of other agencies' willingness to cooperate when the project involves the use of other agencies, facilities, or services. Nonprofit organizations which have not previously received ACF program support must submit proof of nonprofit status. For State and local governments, costs will be determined in accordance with 45 CFR 92 and other grantees, applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be able to find a synopsis of grant or cooperative agreement opportunities and apply electronically for opportunities via: [www.grants.gov](http://www.grants.gov). Applicants will also be able to find the complete text of grant announcements on the ACF web site located at: <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Financial Assistance Award (FAA). This provides the amount of funds awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation. Official notice of an accepted contract proposal is made through award of a contract.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 365 days. Generally, solicited grants, cooperative agreements, and contracts will be acted upon within 120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Grant extensions and continuations are available if formally applied for and approved. If an application is recommended for approval for 2 or more years, the grantee must submit a formal request for a non-competitive continuation application each year accompanied by a progress report which will be evaluated prior to a recommendation of continuation. This process is not applicable to contracts.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Grantees are often required to share in the cost of projects. Cost sharing may range up to 25 percent of the total approved project cost for grants or cooperative agreements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are granted on a 1- to 5-year basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. See the following for information on how assistance is awarded/released: Post award, our Division of Payment Management will establish an account from which a grantee may draw down awards. For additional information on this process see: [http://www.dpm.psc.gov/grant\\_recipient/new\\_grantee\\_information/hhs\\_grantee\\_info.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/new_grantee_information/hhs_grantee_info.aspx?explorer.event=true).

**Reports:**

No program reports are required. No cash reports are required. Grantees are required to submit performance progress reports (ACF-OGM-SF-PPR) throughout the project period. Performance progress reports are due 30 days after the reporting period. Final programmatic reports are due 90 days after the close of the project period. Reporting forms are available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). Grantees are required to submit program financial expenditure reports throughout the project period. Financial reports are due 30 days after the reporting period. Final financial reports are due 90 days after the close of the project period. Grantees will use the Financial Status Report (FSR) SF-269 (long form) for required financial reporting. Reporting forms are available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR Part 92. Subsequent to audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1553-0-1-609.

**Obligations:**

(Project Grants) FY 10 \$20,987,000; FY 11 est \$21,000,000; and FY 12 est \$21,000,000 - Two funding streams, Welfare Research and the Child Welfare Study, are focused on child welfare, welfare reform, employment strategies, and family formation. With regard to Welfare Research, FY 10 \$14,993,000 FY 11 \$15,000,000, and FY 12 est \$15,000,000. With regard to the Child Welfare Study, FY10 \$5,994,000, FY 11 \$6,000,000, and \$6,000,000 in FY12.

**Range and Average of Financial Assistance:**

\$15,000 to \$3,300,000; \$953,955.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: We awarded 1 grant and 21 contracts related to welfare reform, employment strategies and family strengthening in FY 2010. Fiscal Year 2011: We anticipate funding 1 grant and 20 contracts in FY 2011. Fiscal Year 2012: We anticipate funding 1 grant and 20 contracts in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A variety of guidance on grants can be found at [www.grants.gov](http://www.grants.gov). Helpful information on contracts is available at [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate ACF Regional Administrator. (See Appendix IV of the Catalog for ACF Regional Offices.).

**Headquarters Office:**

Karl J. Koerper, Office of Planning, Research and Evaluation, Administration

for Children and Families, 370 L'Enfant Promenade, SW Floor, West, Washington, District of Columbia 20447 Email: Karl.Koerper@acf.hhs.gov Phone: (202) 4014535.

**Website Address:**

<http://www.acf.hhs.gov/programs/opre>.

**RELATED PROGRAMS:**

93.009 Compassion Capital Fund ; 93.558 Temporary Assistance for Needy Families; 93.647 Social Services Research and Demonstration; 93.648 Child Welfare Services Training Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In fiscal year 2010, we funded projects to test promising strategies to promote employment and self-sufficiency and reduce welfare utilization, to examine the overlap of individuals with disabilities in the Temporary Assistance for Needy Families and Supplemental Security Income programs and pilot-test innovations for engaging individuals with disabilities in employment-related activities, research on strengthening families and a study of children who are at risk of abuse or neglect or are in the child welfare system. More information describing research and evaluation projects we have funded can be found at <http://www.acf.hhs.gov/programs/opre/>. Fiscal Year 2011: We anticipate funding similar types of projects in fiscal year 2011. Fiscal Year 2012: We anticipate funding similar types of projects in fiscal year 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications may be funded in whole or in part depending on: (1) the ranked order of applicants resulting from competitive review; (2) staff review and consultations; (3) the combination of projects that best meet the information needs of the program; (4) the funds available; and (5) other relevant considerations. Typical criteria include project cost and budget justification, the qualification of the principal investigator and organization, the quality of approach and methodologies employed, and results and the programs objectives and results and benefits expected. Specific criteria for selecting recipients under individual funding announcements under this program are published in [www.Grants.gov](http://www.Grants.gov) for grant announcement and in the solicitation for requests for proposals published in [www.fedbizopps.gov](http://www.fedbizopps.gov) for contracts.

**93.596 CHILD CARE MANDATORY AND MATCHING FUNDS OF THE CHILD CARE AND DEVELOPMENT FUND**

The Child Care Mandatory and Matching Funds of the Child Care and Development Fund (CCDF)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Section 418, 42 U.S.C 618; Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Public Law 104-193); Child Care and Development Block Grant Act of 1990, as amended (Public Law 101-508, 42 USC 9858, et seq); Balanced Budget Act of 1997 (Public Law 105-33); and the Deficit Reduction Act of 2005 (Public Law 105-171).

**OBJECTIVES:**

The Child Care Mandatory and Matching Funds are a part of the Child Care and Development Fund (CCDF) program, along with the Child Care and Development Block Grant (CCDBG) or Discretionary Funds (see CFDA 93.575). To make grants to States, Tribes, and tribal organizations for child care assistance for low-income families and to: (1) allow each State maximum flexibility in developing child care programs and policies that best suit the needs of children and parents within such State including systemic investments in quality child care to promote child development and learning, and to create a system that is child focused, family friendly, and fair to providers; (2) promote parental choice to empower working parents to make their own decisions on the child care that best suits their family's needs; (3) encourage States to provide consumer education information to help parents make informed choices about child care; (4) assist States to provide child care to parents trying to achieve independence from public assistance; and (5) assist States in implementing the health, safety, licensing, and registration standards established in State regulations. Current priorities include: making systemic investments in quality

child care to promote child development and learning; and creating a system that is child focused, family friendly, and fair to providers.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Title IV of the Social Security Act appropriates funds (Mandatory and Matching Funds) for the purpose of providing child care assistance. Lead Agencies must use Mandatory and Matching Funds for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, and other activities that realize the goals of the CCDBG Act. Lead Agencies must ensure that not less than 70 percent of the total amount of Mandatory and Matching Funds are used to provide child care assistance to families who are receiving assistance under the Temporary Assistance for Needy Families program, families who are attempting through work activities to transition off of temporary assistance programs, and families who are at risk of becoming dependent on temporary assistance programs. Not more than five percent of the aggregate amount of CCDF Funds expended by the State (15 percent for Tribes or tribal organizations) may be expended for administrative costs incurred by the State to carry-out all of its functions and duties. The term "administrative costs" does not include the costs of providing direct services. A State shall use not less than four percent of the CCDF Funds to improve child care quality and availability including comprehensive consumer education, activities to increase parental choice, and other activities such as resource and referral services, provider grants and loans, monitoring and enforcement of requirements, training and technical assistance, and improved compensation for child care staff. Except for approved construction of child care facilities by tribal grantees, no Mandatory or Matching Funds may be used for the purchase or improvement of land, or for the purchase, construction, or permanent improvement of any building or facility (other than for minor remodeling and for upgrading of facilities to meet State and local child care standards.) No Mandatory or Matching Funds provided directly to child care providers through grants or contracts may be expended for any sectarian purpose or activity, including sectarian worship or instruction. However, Grantees must give parents the option of receiving vouchers or certificates to allow parents the choice of faith-based or community child care providers. No Mandatory or Matching Funds may be provided for any services provided to students enrolled in grades 1 through 12 during the regular school day; for any services for which such students receive academic credit toward graduation; or for any instructional services which supplant or duplicate the academic program of any public or private school.

**Applicant Eligibility:**

Eligibility: All 50 States, the District of Columbia, the Virgin Islands, Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and Federally recognized Tribal Governments, including Alaskan Native Corporations.

**Beneficiary Eligibility:**

Children under age 13 (or, at the option of the grantee, up to age 19, if physically or mentally incapable of self-care or under court supervision), who reside with a family whose income does not exceed 85 percent of the State median income for a family of the same size, and who reside with a parent (or parents) who is working or attending job training or educational program, or are in need of, or are receiving protective services.

**Credentials/Documentation:**

Lead Agencies must operate under a CCDF plan approved by the Administration for Children and Families, and must provide assurances that the grantee will comply with the requirements of the CCDBG Act and all applicable Federal law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Each Grantee must designate a Lead Agency to which grants are awarded and that is accountable for the use of the Mandatory and Matching Funds provided, the duties of which shall include developing a CCDF plan. In conjunction with the development of the CCDF plan, the Lead Agency must hold at least one public hearing no earlier than nine months before the CCDF plan becomes effective and after at least 20 days of statewide public notice, to provide the public an opportunity to comment on the provision of child care services under

the plan. In advance of the hearing, the Lead Agency must make the content of the plan available to the public. The Lead Agency must also coordinate the provision of services under the program with other Federal, State, and local child care and early childhood development programs. Also, the Lead Agency must consult with appropriate representatives of local governments. Tribal Lead Agencies submitting applications for construction must submit an environmental impact assessment. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Lead Agency desiring to receive an allotment for a fiscal year is required to submit a two-year CCDF plan to the Administration for Children and Families, as well as, financial and other information necessary for the grants process. Each plan must contain certifications and assurances by the Lead Agency that it will comply with the requirements of the Child Care and Development Block Grant Act (CCDBG). The plan must also include: the designation of a Lead Agency; the provision of assurances regarding policies and procedures as stated in Section 658E(c)(2) of the amended CCDBG; an outline of the proposed use of block grant funds in compliance with Section 658E(c)(3) of the CCDBG; the provision of certification regarding payment rates as stated in Section 658E(c)(4) of the CCDBG; and the establishment of a sliding fee scale. Additional requirements are specified by 45 CFR Parts 98 and 99.

**Award Procedure:**

Grants are awarded after the receipt and approval of an application and plan by the Administration for Children and Families.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Administration for Children and Families will review the CCDF plans for approval and will act on the plans within 90 days.

**Appeals:**

Guidelines for appealing disapprovals of CCDF plans are specified in regulations at 45 CFR Part 99.

**Renewals:**

CCDF plans must be submitted every two years.

**Formula and Matching Requirements:**

Statutory Formula: Title 45 CFR, Part 98.53.  
Matching Requirements: Allocations of the Mandatory Funds are based on a State's Federal share of the expenditures for the now-repealed AFDC-linked child care programs (AFDC/JOBS Child Care, Transitional Child Care, and At-Risk Child Care) in 1994 or 1995, or the average of 1992 through 1994, whichever was greater. A State is not required to expend any State funds in order to receive its share of the Mandatory Funds. The remaining funds are Matching Funds and are distributed based on the number of children under age 13 in a State compared with the national total of children under age 13. To access Matching Funds, a State must obligate all of its Mandatory Funds allotted in a fiscal year and maintain 100 percent of the State's share of expenditures for the former programs in fiscal year 1994 or fiscal year 1995, whichever is greater. Matching Funds must be matched at the applicable FMAP rate, which is the Medicaid Program matching rate. Not less than one percent, but not more than two percent of the total Mandatory and Matching Funds are reserved for Tribes and tribal organizations based on the number of children living on or near tribal reservations or other appropriate area served by the tribal grantee. Tribes and tribal organizations are not required to provide matching funds. The District of Columbia is treated as a State for purposes of receiving its share of Mandatory and Matching Funds. Territories are not eligible to receive Mandatory or Matching Funds. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grant awards are made to Lead Agencies with approved CCDF plans. If Matching Funds are requested, Mandatory Funds must be obligated by the end of the first fiscal year. There is no time limit on liquidation of Mandatory Funds

and no time limit on obligation of Mandatory Funds if no Matching Funds are requested. Matching Funds must be obligated by the end of the first fiscal year and liquidated by the second fiscal year. State funds expended toward the Maintenance of Effort requirement must be both obligated and expended by the end of the first fiscal year. Mandatory and Matching Funds awarded to Tribes and tribal organizations must be obligated by the end of the second fiscal year and liquidated by the end of the third fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

As specified in 45 CFR Part 98, States must report to the Administration on Children and Families on an annual basis aggregate data on families, children in care, providers, payment methods, and consumer education. Quarterly case-level reports are required to provide data on families, children, and providers, and payment information. Tribes must also provide an annual count of children and families served through CCDF; average hours of service per child by type of care; average monthly payment and co-payments per child; number of children served by income; and supplemental narratives. No cash reports are required. No progress reports are required. States must also submit quarterly expenditure reports. Territories are required to report estimates and expenditures for the Discretionary Fund only on a quarterly basis. States, DC, and Puerto Rico are required to measure, calculate, and report improper authorizations for payments as well as identify strategies for reducing future improper authorizations for payments. One-third of the 50 States, DC, and Puerto Rico must report annually on a three-year cycle. Tribes report expenditures for the Tribal Mandatory, Discretionary, and Construction/Renovation funds. Monitoring is in accordance with 45 CFR 98.90.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional auditing may be necessary.

**Records:**

Proper grant accounting records must be maintained.

**Account Identification:**

75-1550-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$2,917,000,000; FY 11 est \$2,917,000,000; and FY 12 est \$2,917,000,000 - These figures do not include CCDF Discretionary Funds under CFDA 93.575.

**Range and Average of Financial Assistance:**

For States, and including DC and Puerto Rico, the range of grants in FY 2011 is: \$8,589,143 to \$540,407,421; average grant is \$93,447,761. For 258 Tribal grantees, the range of grants in FY 2011 is: \$23,211 to \$8,264,695; average grant is \$391,014. For the four Territories, the range of grants in FY 2011 is \$1,858,431 to \$4,190,681; average grant is \$2,778,284. These figures are inclusive of funds received through CFDA 93.575 and 93.596.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, 294 grants were awarded. Fiscal Year 2011: In FY 11, it is anticipated 294 grants will be awarded. Fiscal Year 2012: In FY 12, it is anticipated 294 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These funds are subject to the Child Care and Development Fund regulations at 45 CFR Parts 98 and 99.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Office of Child Care Regional Program Managers (RPM). A list of the RPM's and their contact information is available at [www.acf.hhs.gov/programs/ccb/ta/raaddr/program\\_managers.htm](http://www.acf.hhs.gov/programs/ccb/ta/raaddr/program_managers.htm). You may also contact the Office of Child Care, Administration for Children and Families

at (202) 690-6782 or by Fax at (202) 690-5600.

**Headquarters Office:**

Kenneth Akwuole, Office of Child Care, Administration for Children and Families, Department of Health and Human Services, 901 D St. S.W., 5th Floor East, Washington, District of Columbia 20447 Email: kenneth.akwuole@acf.hhs.gov Phone: (202) 205-8531 Fax: (202) 690-5600.

**Website Address:**

<http://www.acf.hhs.gov/programs/ccb>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.575 Child Care and Development Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Mandatory and Matching Funds are awarded to States via a block grant, which, through their appointed Lead Agencies, make many of the decisions about priorities, policies, and expenditures in achieving goals related to improved family access to quality child care. States are required to commit at least four percent of their CCDF Funds to activities such as consumer education, resource and referral services, provider training, and caregiver recruitment designed to improve child care availability and quality. Fiscal Year 2011: Anticipated results are the same as FY 2010. Fiscal Year 2012: Anticipated results are same as FY 2011.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.597 GRANTS TO STATES FOR ACCESS AND VISITATION PROGRAMS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part D, Section 469B, Public Law 104-193.

**OBJECTIVES:**

To enable States to create programs which support and facilitate access and visitation by non-custodial parents with their children. Activities may include mediation, counseling, education, development of parenting plans, visitation enforcement and development of guidelines for visitation and alternative custody arrangements.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

A State to which a grant is made under this section may not use the grant to supplant expenditures by the State for allowable activities, but shall use the grant to supplement such expenditures at a level at least equal to the level of such expenditures for fiscal year 1995.

**Applicant Eligibility:**

All States, the District of Columbia, Puerto Rico, Virgin Islands and Guam.

**Beneficiary Eligibility:**

Custodial and non-custodial parents.

**Credentials/Documentation:**

The Governors have designated a single State agency to represent the State in carrying out this responsibility. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are submitted biannually using the standard application form, as furnished by the Department of Health and Human Services. Application kits which contain the prescribed application

forms and supplemental descriptive information on the access and visitation grant program are available from: The Office of Child Support Enforcement, Administration for Children and Families, 4th Floor, 370 L'Enfant Promenade, SW., Washington DC 20447.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Grant Award. This provides the amount of funds awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period, and the total grantee participation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

Governed by 45 CFR Part 16 - "Procedures of the Department Grant Appeals Board".

**Renewals:**

Extensions and continuations of grants are not available.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 10%. 10 percent of the total award. The award amount is based on the number of children in a State living with one biological parent as determined by the Census Bureau.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded for a two-year project period. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual reports are required. Reports are required. Annual progress reports are required. Annual expenditure reports are required by Section 303.109. Monitoring is done when the progress reports are reviewed for accuracy and completeness.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$10,000,000; FY 11 est \$10,000,000; and FY 12 est \$10,000,000 - States have until September 30, 2011 to obligate FY 2010 funds.

**Range and Average of Financial Assistance:**

The amount of funding provided to each grantee is based on an allocation formula with a designated minimum amount provided in statute.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 54 grants were awarded. Fiscal Year 2011: In FY 2011, 54 grants were awarded. Fiscal Year 2012: It is anticipated that all 54 States and jurisdictions will receive their grants in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration Policies and Application kits may be obtained from:

Office of Child Support Enforcement, Administration for Children and Families, 4th Floor, 370 L'Enfant Promenade, S.W., Washington DC 20447.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for ACF Regional Offices.

**Headquarters Office:**

Debra Pontisso 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: debra.pontisso@acf.hhs.gov Phone: 202 401-4548

**Website Address:**

<http://www.acf.dhhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.563 Child Support Enforcement

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.598 SERVICES TO VICTIMS OF A SEVERE FORM OF TRAFFICKING**

Anti-Trafficking in Persons Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Trafficking Victims Protection Act of 2000, as amended, Public Law 106-386, 114 Stat. 1464, 20 U.S.C 7105(b)(1)(A).

**OBJECTIVES:**

To provide outreach to, identification of, and service referral to individuals who may be victims of a severe form of trafficking. To enhance anti-trafficking efforts in the U.S. by building regional capacity, developing regional coalitions, conducting public awareness, and providing training and technical assistance on human trafficking issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Office of Refugee Resettlement (ORR) provides funding for outreach to, and identification of, human trafficking victims, in particular among vulnerable populations. Funds are also provided to conduct public awareness and to build and maintain the Rescue and Restore Regional Programs that serve as the focal points for regional public awareness campaign activities and intensification of local outreach to identify victims of human trafficking. Funds may be used only for the purposes set forth in the grant award. Rescue and Restore Regional Program grantees must sub-award 60 percent of grant funds.

**Applicant Eligibility:**

State and local governments and private organizations.

**Beneficiary Eligibility:**

Under the Victims of Trafficking and Violence Protection Act of 2000 (VTPA), and the Trafficking Victims Protection Act of 2003 (TVPRA), "trafficking victims are eligible for benefits and services to the same extent as refugees. Beneficiaries are adult victims of a severe form of trafficking who have been certified by HHS/ORR. Children under 18 years of age subjected to a severe form of trafficking who have received letters of eligibility from HHS/ORR are considered eligible for services. Certain family members of victims of a severe form of trafficking are eligible for federally funded or administered benefits and services to the same extent as refugees. Holders of the "Derivative T Visas" (T-2, T-3, T-4, or T-5 visa) are eligible for services. Potential victims of trafficking are also eligible for services.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each application submitted under this program announcement will undergo a pre-review to determine if (1) the application was received by the closing date and submitted in accordance with the instructions in this announcement and (2) the applicant is eligible for funding.

**Award Procedure:**

Applications that pass the initial Administration for Children and Families (ACF) screening will be evaluated and rated by an independent review panel on the basis of specific criteria that are included in the Notice of Funds Availability. The evaluation criteria are designed to assess the quality of a proposed project and to determine the likelihood of its success.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are generally made available for 2 to 3-year project periods with funding on an annual basis. Funds are available to reimburse costs, up to the amount of the award, incurred during the year for which the funds are awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are required, usually on a quarterly or semi-annual basis. Final program reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are also required 90 days after the end of the project period. Cash reports are not applicable. No progress reports are required. SF-425 Federal Financial Reports are due on a semi-annual basis. Final financial reports are also required 90 days after the end of the project period. On-site and desk monitoring is done on an ongoing basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

Grant recipients are required to keep all financial, business, and program reports necessary for program review and audit during the project period and for 3 years thereafter to insure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Project Grants) FY 10 \$4,121,000; FY 11 est \$8,093,000; and FY 12 est

\$8,074,000

**Range and Average of Financial Assistance:**

In FY 2010, grant amounts ranged from \$100,000 to \$800,000. The average grant amount was \$216,912.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 549 victims of trafficking received certification or eligibility letters. Fiscal Year 2011: In FY 2011, it is estimated that 1,000 victims of trafficking will receive certification or eligibility letters. Fiscal Year 2012: It is estimated that the number of victims of trafficking who receive eligibility or certification letters in FY 2012 will be approximately the same number as in FY 2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Maggie Wynne 370 L'Enfant Promenade, S.W., 8th Floor West, Washington, District of Columbia 20447 Email: Maggie.Wynne@acf.hhs.gov Phone: (202) 401-4664 Fax: (202) 401-5487.

**Website Address:**

<http://www.acf.hhs.gov/trafficking>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.676 Unaccompanied Alien Children Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In FY 2010, funded projects included (1) Rescue and Restore Victims of Human Trafficking Regional Program; and (2) National Human Trafficking Hotline, Training, and Technical Assistance. Fiscal Year 2011: In FY 2011, funded projects include (1) Services to Victims of Severe Forms of Trafficking in Persons; (2) Public Awareness and Outreach to Victims; (3) National Human Trafficking Hotline, Training, and Technical Assistance. Fiscal Year 2012: No data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Information on evaluation criteria for awarding funds can be found in the Notices of Funds Availability.

**93.599 CHAFEE EDUCATION AND TRAINING VOUCHERS PROGRAM (ETV)**

Chafee Education and Training Vouchers (ETV)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part E, Section 477(h); as amended.

**OBJECTIVES:**

To provide resources to States and eligible Indian Tribes to make available vouchers for postsecondary training and education, to youths who have aged out of foster care or who have been adopted or left for kinship guardianship from the public foster care system after age 16.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to provide vouchers for postsecondary education and training to youth otherwise eligible for services under the State's or Tribe's Chafee Foster Care Independence Program. Vouchers may also be provided to youth who leave foster care for adoption or kinship guardianship after age 16. Vouchers can be provided to youth up to the age of 23, as long as they are participating in the program at age 21 and are making satisfactory progress

toward completing their course of study or training. Vouchers provided to individuals may be available for the cost of attending an institution of higher education (as defined in section 472 of the Higher Education Act) and shall not exceed the lesser of \$5,000 per grant year or the total cost of attendance as defined in section 472 of the Higher Education Act.

**Applicant Eligibility:**

State governments, including the 50 States, the District of Columbia and Puerto Rico (hereafter "States"), and eligible Indian Tribes, Indian Tribal organizations, or Indian Tribal consortia (hereafter "Tribes").

**Beneficiary Eligibility:**

Youth otherwise eligible for services under a State's or Tribe's Chafee Foster Care Independence Program. (This includes youth who have left foster care because they attained 18 years of age, and have not yet attained 21 years of age; youth likely to remain in foster care until 18 years of age, commensurate with the State's or Tribe's criteria used to determine eligibility for the program; and former foster care recipients, age 21 and younger.) Vouchers may also be provided to youth who are adopted from foster care or exit foster care to kinship guardianship after attaining age 16 and to youth up to the age of 23, as long as they are participating in the voucher program at age 21 and are making satisfactory progress toward completing their course of study or training.

**Credentials/Documentation:**

Costs will be determined in accordance with 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applications must include the information and assurances required from the States or Tribes. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A 5-year State or Tribal plan must be submitted with annual updates. The plan must coordinate the provision of services under the State's or Tribe's Education and Training Voucher Program with services under other Federal or Federally-assisted programs serving the same population. Plans are submitted to the appropriate Regional Child Welfare Program Manager in the appropriate ACF Regional Office.

**Award Procedure:**

Quarterly awards are made up to the amount of one-fourth of the State's or Tribe's annual allotment.

**Deadlines:**

Jun 30, 2010

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The plan or its annual update is due June 30 of each year. Approval/disapproval is due September 30 of each year.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, Part 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: States: Each State is allocated an amount of funds which bears the same ratio as the number of children in foster care in that State bears to the total number of children in foster care in all States in the most recent fiscal year for which such information is available. Date submitted by States into the Adoption and Foster Care Analysis and Reporting System (AFCARS) national database will be used to calculate State allotments.

Tribes: Each Tribe with an approved plan is allocated an amount equal to the number of children in foster care under the responsibility of the Tribe (either directly or under supervision of the State) in the most recent fiscal year for which such information is available to the sum of the total number of children in foster care under the responsibility of all Indian Tribes in the State, that have an approved plan.

Matching Requirements: Percent: 20%. The Federal government will pay 80 percent of the total amount of funds expended by the grantee up to the amount



of funds allocated for the Educational and Training Vouchers program. The grantee must provide matching contributions to cover the additional 20% of the costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made quarterly on a fiscal year basis. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual updates to the State's or Tribe's plan. An SF-425 financial status report must be submitted for the funds awarded in each Federal fiscal year (FFY) within three months after the close of the FFY in which the funds were granted (interim report) and again within three months after the close of the subsequent FFY (final report). Progress reports are not applicable. Submitted to Administration for Children and Families, Office of Administration. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Grantees must develop and maintain records which permit review of expenditures in accordance with the provisions of 45 CFR Part 92.20 and 92.42.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$45,351,000; FY 11 est \$45,351,000; and FY 12 est \$45,351,000

**Range and Average of Financial Assistance:**

FY 2011: \$3,353 to \$6,332,808, with an average of \$810,571..

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 56 grants were awarded. Fiscal Year 2011: In FY 2011, it is estimated that 56 grants will be awarded. Fiscal Year 2012: In FY 2012, it is estimated that 56 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Instructions (PI): PI-ACYF-CB-PI-10-08, issued April 20, 2010; PI-ACYF-CB-PI-10-09, issued April 20, 2010; PI-ACYF-CB-PI-10-10, issued April 20, 2010; Program Instructions (PI): PI-ACYF-CB-PI-11-04, issued March 23, 2011; PI-ACYF-CB-PI-11-06, issued April 28, 2011.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional Administrator for Children and Families.

**Headquarters Office:**

Catherine Heath 1250 Maryland Ave, SW; 8th Floor, Washington, District of Columbia 20024 Email: Catherine.Heath@acf.hhs.gov Phone: 202-690-7888

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

93.550 Transitional Living for Homeless Youth; 93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.658 Foster Care\_Title IV-E; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.600 HEAD START**

Head Start

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Head Start Act, as amended by the Improving Head Start for School Readiness Act of 2007  
, Public Law 110-134, 42 U.S.C 9801.

**OBJECTIVES:**

To promote school readiness by enhancing the social and cognitive development of low-income children, including children on federally recognized reservations and children of migratory farm workers, through the provision of comprehensive health, educational, nutritional, social and other services; and to involve parents in their children's learning and to help parents make progress toward their educational, literacy and employment goals. Head Start also emphasizes the significant involvement of parents in the administration of their local Head Start programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

At least 90 percent of the enrollees in a program must be income eligible; i.e. from families whose income is below the poverty line, from families receiving public assistance, from homeless families or children in foster care. Programs may serve an additional 35 percent of participants with incomes up to 130 percent of poverty if they can demonstrate that they already are meeting the needs of children below the poverty line in the area served. American Indian and Alaska Native programs may enroll additional over-income children if they enroll all children in their service area that are income eligible and predominantly serve children meeting the low income criteria. Training and technical assistance grants are available to Head Start programs.

**Applicant Eligibility:**

Any government, federally-recognized Indian tribe, or public or private nonprofit or for profit agency which meets the requirements may apply for a grant. However, applications will be considered only when submitted in response to a specific announcement, published via the Internet at the following website address: [http://www.acf.hhs.gov/grants/grants\\_hsb.html](http://www.acf.hhs.gov/grants/grants_hsb.html), which solicits proposals to establish new Head Start Programs. Grantee agencies may subcontract with other child-serving agencies to provide services to Head Start children.

**Beneficiary Eligibility:**

Head Start/Early Head Start programs are for children from birth up to the age when the child enters the school system; however, Head Start programs only serve pre-school age children while Early Head Start programs serve children from birth through age three. No less than 10 percent of each Head Start program's enrollment shall be for children with disabilities.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Part 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Office of Head Start will provide each applicant agency with a completed check list form showing exactly which items must be completed by each applicant and delegate agency.

**Award Procedure:**

All funds are awarded directly to the grantees. Funds for local Head Start/Early Head Start programs, including a portion of training and technical assistance funds, are awarded by the Office of Head Start's Regional Offices. Funds for the following are awarded by the Central Office of Head Start: American Indian and Alaskan Native programs; Migrant programs; research, demonstration and evaluation efforts and some training and technical assistance efforts.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. This, depending on the nature of the proposal, can vary considerably from 90 days to as much as several months.

**Appeals:**

Grantees who are denied refunding may appeal adverse decisions to the HHS Departmental Appeals Board. There is no appeal for new grants denials.

**Renewals:**

From 90 to 120 days. OHS Headquarters or Regional Offices will inform grantees of the application procedures for renewal.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 20%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for a 12-month budget period. Funds are released by monthly allowance on an Electronic Transfer System or by monthly check.  
Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual information on the types of children served and the services provided. No cash reports are required. No progress reports are required. Semi-annual spending reports. At least once every three years every agency is monitored. New grantees are monitored after their first year in operation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR, Parts 74 and 92.

**Records:**

Grantee must maintain an accounting system adequate to meet the purposes of the grant. Requirements for records are found in 45 CFR, Part 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$7,235,513,000; FY 11 est \$8,223,958,000; and FY 12 est \$8,099,783,000

**Range and Average of Financial Assistance:**

136,000-200,351,000; 4,300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, comprehensive early childhood services were provided to 904,118 children and families. Fiscal Year 2011: In FY 2011, comprehensive early childhood services will be provided to 906,992 children and families. Fiscal Year 2012: In FY 2012, it is anticipated that comprehensive early childhood services will be provided to 967,653 children and families.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chapter XIII of Title 45 Code of Federal Regulations, including 45 CFR 1301 - 1311. These are available on request at no charge.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Louise Eldridge, Regional Program Manager, Administration for Children and Families, Office of Head Start, Boston Regional Office, JFK Building, Rm. 2000, 15 New Sudbury Street, Boston, MA 02203. Telephone: (617) 565-1150.

Region II (NJ, NY, PI, VI):

Iran Rodriguez, Regional Program Manager, Administration for Children and Families, Office of Head Start, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 173.

Region III (DC, DE, MD, PA, VA, WV):

Nancy Elmore, Regional Program Manager, Administration for Children and Families, Office of Head Start, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4048.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Marsha Lawrence, Regional Program Manager, Administration for Children and Families, Office of Head Start, Atlanta Regional Office, Atlanta Federal Center, 61- Forsyth Street, SW, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2841.

Region V (IL, IN, MI, MN, OH, WI):

Kay Willmoth, Regional Program Manager, Administration for Children and Families, Office of Head Start, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-7562.

Region VI (AR, LA, NM, OK, TX):

Susan Johnston, Regional Program Manager, Administration for Children and Families, Office of Head Start, Dallas Regional Office, 1301 Young Street, Room 914, Dallas, TX 75202. Telephone: (214) 767-8844.

Region VII (IA, KS, MO, NE):

Lynda Bitner, Regional Program Manager, Administration for Children and Families, Office of Head Start, Kansas City Regional Office, 601 East 12th Street, Rm. 276, Kansas City, MO 64106. Telephone: (816) 426-2275.

Region VIII (CO, MT, ND, SD, UT, WY):

Ross Weaver, Regional Program Manager, Administration for Children and Families, Office of Head Start, Denver Regional Office, 1961 Stout Street, Suite 924, Denver, CO 80294. Telephone: (303) 844-1106.

Region IX (AZ, CA, HI, NV):

Jan Len, Regional Program Manager, Administration for Children and Families, Office of Head Start, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8447.

Region X (AK, ID, OR, WA):

Nancy Hutchins, Regional Program Manager, Administration for Children and Families, Office of Head Start, Seattle Regional Office, 2201 Sixth Avenue, room 610 - M/S RX-70, Seattle, WA 98121. Telephone: (206) 615-3661.

**Headquarters Office:**

Colleen Rathgeb 1250 Maryland Avenue, S.W., Washington, District of Columbia 20024 Email: colleen.rathgeb@acf.hhs.gov Phone: 202-205-7378

**Website Address:**

<http://www2.acf.dhhs.gov/programs/hsb>

**RELATED PROGRAMS:**

93.708 ARRA - HEAD START; 93.709 ARRA EARLY HEAD START

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.601 CHILD SUPPORT ENFORCEMENT DEMONSTRATIONS AND SPECIAL PROJECTS****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security, Title IV, Part D, Section 452(j), Public Law 104-193, 42 U.S.C 652j.

**OBJECTIVES:**

To design and carry out special projects of regional and national significance relating to the improvement of the Child Support Enforcement Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded for innovative special improvement projects and demonstrations that improve the effectiveness of the Child Support Enforcement (CSE) program on the regional and national levels. These activities must be consistent with the goals of the national child support mission to ensure all children receive financial and medical support from both parents and strengthen the ability of the nation's child support programs to collect support on behalf of children and families. Non-child support applicants are required to partner with a State/local or Tribal CSE agency.

**Applicant Eligibility:**

Eligibility for Special Improvement Project grants is open to all types of domestic applicants other than individuals (including sole proprietorships).

**Beneficiary Eligibility:**

State/local agencies, Tribal governments, nonprofit organizations and other organizations involved in child support enforcement may apply.

**Credentials/Documentation:**

When appropriate, applicants should present written evidence of other agencies' willingness to cooperate when the project involves their cooperation or the utilization of their facilities or service. For other grantees, costs will be determined in accordance with 2 CFR 220 for educational institutions, 2 CFR 230 for nonprofit organizations, and any amendments to the aforementioned. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application forms and supplemental descriptive information on the priority projects are available from: Administration for Children and Families, Child Support Enforcement Program, 4th floor, 370 L'Enfant Promenade, SW., Washington, DC 20447. Applications may be submitted to this address or via grants.gov. See the actual program announcement for details. The application shall be executed by an individual authorized to act for the applicant agency or organization and to assume for the agency or organization the obligations imposed by the terms and conditions of the grant. The application must clearly indicate whether the application submitted is in response to a program announcement (e.g. CFDA 93.601) and must reference the announcement number for which the application is to compete. Applications are reviewed and evaluated by a review panel of not less than three knowledgeable people. Written assessment of each application is made.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Grant Award. This provides the amount of funds awarded, the purpose of the award, the term and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 days. Generally, solicited grants will be acted upon within 90 days.

**Appeals:**

There are no formal appeals procedures. If an application for a grant is disapproved, the reasons for disapproval will be fully stated, applicants may request the reasons for disapproval. In the case of unsolicited proposals, applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval in the future. If an applicant is not awarded a grant, the applicant can request a written response that will address: (1) Weak and deficient areas of the proposal; (2) impact of weaknesses or deficiencies in not being selected; and (3) factors that were the basis of the selection of the successful grantee.

**Renewals:**

Generally, project and budget periods vary according to priority area (up to 3 years). Projects of a longer duration will be considered if unique circumstances warrant. If projects are approved for a period longer than 12 months, funding will be provided in discrete 12-month increments, or "budget periods." Funding beyond the first 12-month budget period is not guaranteed. Future funding will depend on the grantee's satisfactory performance and the availability of future appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, project and budget periods vary according to the priority area (up to 3 years). For multi-year projects, support beyond the first year is contingent upon acceptable evidence of satisfactory progress and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly program narrative reports are required. Semi-annual expenditure reports are required. Quarterly narrative progress reports are required. Semi-annual reports of expenditures are required. Periodic monitoring is conducted by the Federal Project Officer when progress reports are reviewed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR 74 or 92. Subsequent to an audit they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1553-0-1-609.

**Obligations:**

(Project Grants) FY 10 \$283,330; FY 11 est \$300,000; and FY 12 Estimate Not

Available - These funds are allocated for new grants.

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 3 grants were awarded. Fiscal Year 2011: In FY 2011, OCSE expects to award 3 new grants. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Grants Administration Policies," and application kits may be obtained from the ACF, Office of Child Support Enforcement, 4th Floor, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional Administrators. (See Appendix IV of the Catalog for Regional Offices).

**Headquarters Office:**

Shirley Decker 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: shirley.decker@acf.hhs.gov Phone: 202 401-5291

**Website Address:**

<http://www.acf.dhhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.563 Child Support Enforcement; 93.564 Child Support Enforcement Research; 93.597 Grants to States for Access and Visitation Programs; 93.647 Social Services Research and Demonstration

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Family Centered Services. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Objectives and need for assistance; (2) approach; (project management and staffing plan); (3) evaluation and how success will be measured; and (4) reasonableness of project costs.

**93.602 ASSETS FOR INDEPENDENCE DEMONSTRATION PROGRAM**

AFI Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Assets for Independence Act.

**OBJECTIVES:**

The purpose of the Assets for Independence program is to demonstrate and evaluate the effectiveness of asset-building projects that assist low-income people in becoming economically self-sufficient by teaching them about economic and consumer issues and enabling them to establish matched savings accounts called individual development accounts (IDAs). The program is demonstrating and evaluating the effects of AFI projects and IDAs in terms of increasing the economic self-sufficiency of low-income families; promoting savings for home ownership, post-secondary education, and small business or micro-enterprise development; and stabilizing families and communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants for five-year project and budget periods. Grantees must allocate at least 85% of the grant funds for matching participants' IDA savings and 2% of the grant funds for data collection and evaluation. Grantees may use the remaining 13% to support other project activities. Grantees are required to provide or secure non-federal cash contributions equal to or greater than the grant amount.

**Applicant Eligibility:**

This program supports innovative projects administered by national, State-wide, regional and community-based organizations. Eligible applicants are: (1)

Private nonprofit organizations that are tax exempt under Section 501(c)(3) of the Internal Revenue Code; (2) State or local governments or agencies or Tribal governments submitting applications jointly with tax exempt organizations; (3) credit unions designated as low-income credit unions by the National Credit Union Administration; or an organization designated as a Community Development Financial Institution by the Secretary of the Treasury.

**Beneficiary Eligibility:**

Eligible project participants are individuals that are members of households eligible for assistance under Temporary Assistance for Needy Families (TANF) or of households whose annual adjusted gross income does not exceed 200 percent of the poverty income guidelines. The net worth of the household at the end of the calendar year preceding the determination of eligibility must not exceed \$10,000 excluding the primary dwelling unit and one motor vehicle owned by a member of the household. Grantees may restrict eligibility to people with lower incomes and net worth.

**Credentials/Documentation:**

Low Income Credit Unions must submit official documentation that the National Credit Union Administration has designated the organization as such. Community Development Financial Institutions must submit documentation that the Department of the Treasury has designated the organization as such. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive applications must be submitted on Standard Forms 424, 424A, and 424B, and include a project narrative as described in the program announcement issued by the Office of Community Services and published on the [www.grants.gov](http://www.grants.gov) website. Required forms are attached to the published announcement. No State plan is required.

**Award Procedure:**

The Director, Office of Community Services makes funding decisions based on recommendations of a panel of experts who review funding proposals. The panel review is based on criteria set forth in the program announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applications will normally be approved/disapproved and grant awards made within 90 days of application receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 100%. The matching requirement is for a non-federal cash contribution. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

These grants have 5-year budget and project periods. Grantees may access grant funds throughout the period to the extent that they provide proof that they have the required non federal cash support on hand. See the following for information on how assistance is awarded/released: Grantees may access federal grant funds to the extent that they provide proof of the required non-federal cash contribution.

**Reports:**

Program reports are not applicable. Standard Financial Report. Narrative

Program Progress Report. Expenditure reports are not applicable. Performance and Outcome Indicator Report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Program records, financial records, and all other records pertinent to the award shall be retained for a period of three years from the date of submission of the final expenditure report.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$23,904,000; FY 11 est \$23,977,000; and FY 12 est \$23,907,000

**Range and Average of Financial Assistance:**

The Office of Community Services (OCS) awards grants for this program ranging up to \$1,000,000. The average grant is approximately \$350,000. Eligible entities may apply for new grants up to the statutory limit of \$1,000,000 for 5-year project periods.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 55 grants were awarded. Fiscal Year 2011: It is anticipated that 50 grants will be awarded in FY 2011. Fiscal Year 2012: It is anticipated that 50 grants will be awarded in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following regulations: Title 45 of the Code of Federal Regulations, Part 16 - DHHS Grant Appeals Process, Part 74 - Administration of Grants (grants with sub grants to entities), Part 75 - Informal Grant Appeal Procedures, Part 76 - Debarment and Suspension from Eligibility For Financial Assistance, Sub part F - Drug Free Workplace Requirements, Part 80 - Non-discrimination Under Programs Receiving Federal Assistance through Department of Health and Human Services Effectuation of Title VI of the Civil Rights Act of 1964, Part 81 - Practice and Procedures for Hearings Under Part 80 of this Title, Part 83 - Regulation for the Administration and Enforcement of Sections 799A and 845 of the Public Health Service Act, Part 84 - Non-discrimination on the Basis of Handicap in Programs and Activities Receiving Federal Financial Assistance, Part 85 - Enforcement of Non-discrimination on the Basis of Handicap in Programs or Activities Conducted by Department of Health and Human Services, Part 86 - Non-discrimination on the Basis of Sex in Education Programs and Activities Receiving or Benefiting from Federal Financial Assistance, Part 91 - Non-discrimination on the Basis of Age in Health and Human Services Programs or Activities Receiving Federal Financial Assistance, Part 92 - Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments (Federal Register, March 11, 1988), Part 93 - New Restrictions on Lobbying, Part 1000 - Individual Development Accounts.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Gatz, 370 L'Enfant Promenade, SW, Suite 500 West, Washington, District of Columbia 20447 Email: afiprogram@acf.hhs.gov Phone: 1-866-778-6037 Fax: (202) 401-5648.

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/afi>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Organization experience and administrative capability; (2) Sufficiency of the project, design and plan: The degree to which the project described in the application appears likely to aid project participants in achieving economic self-sufficiency through activities requiring one or more of the qualified expenses (home purchase, post secondary education or training, or business capitalization); (3) Adequacy of plan for providing information for evaluation; (4) Commitment of non-federal funds and additional resources; (5) Results or benefits expected; and (6) Significant and beneficial impacts.

**93.603 ADOPTION INCENTIVE PAYMENTS**

Adoption Incentive Payments

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part E, Section 473A; as amended.

**OBJECTIVES:**

To provide incentives to States to increase annually the number of foster child adoptions, special needs adoptions, and older child adoptions.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

A State shall not expend an amount paid to the State under this grant except to provide to children of families any activity or service (including post-adoption services) that may be provided under Part B or E of Title IV of the Social Security Act. Amounts expended by a State in accordance with the preceding sentence shall be disregarded in determining State expenditures for purposes of Federal matching payments under Sections 423, 434, and 474 of the Social Security Act.

**Applicant Eligibility:**

Applications are not required. The States, including Puerto Rico and the District of Columbia, may receive payments. The Children's Bureau shall determine the numbers of foster child adoptions, the special needs adoptions, and the older child adoption in a State on the basis of AFCARS data as reported by each State and accepted by the Children's Bureau no later than May 15 of the fiscal year subsequent to the fiscal year in which the adoptions were finalized (i.e., the "earning year").

**Beneficiary Eligibility:**

Beneficiaries are those children and families eligible under Title IV-B and Title IV-E of the Social Security Act, as amended.

**Credentials/Documentation:**

The Children's bureau shall determine the numbers of foster child adoptions, the special needs adoptions, and the older child adoptions, as well as the highest ever foster child adoption rate in a State on the basis of data reported by each State to the Adoption and Foster Care Analysis and Reporting System (AFCARS) data and accepted by the Children's Bureau no later than May 15 of the fiscal year subsequent to the fiscal year in which the adoptions were finalized (i.e., the "earning year"). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States are automatic applicants.

**Award Procedure:**

Incentive payments will be issued annually, in the fiscal year subsequent to the earning year. Payment will be based on AFCARS data submitted no later than May 15 of the fiscal year following the earning year. AFCARS data must be accepted and approved by the Children's Bureau.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

AFCARS reports must be received no later than May 15 of subsequent fiscal years in order to be considered for incentive payments.

**Appeals:**

Not Applicable.

**Renewals:**

Each "earning year" (fiscal years 2008 - 2012), State adoption data received through AFCARS will be considered on its own merit.

**Formula and Matching Requirements:**

Statutory Formula: The adoption incentive payment payable to a State for a fiscal year shall be equal to the sum of (a) \$4,000, multiplied by the number of foster child adoptions in the State during the fiscal year which exceeds the base number of foster child adoptions for the State for the fiscal year; (b) \$8,000 multiplied by the number of foster child adoptions of children age 9 or older in the State during the fiscal year in which exceeds the base number of foster child adoption of children age 9 or older for the State for the fiscal year; and (c) \$4,000, multiplied by the number of special needs adoptions of children under age nine in the State during the fiscal year which exceeds the base number of special needs adoptions of children under age 9 for the State for the fiscal year, if the state receives a bonus under (a) or (b). Awards are pro-rated if insufficient funds are available to make the full awards. In addition, if funds remain available after making the above awards, a State is eligible to earn an additional incentive award by exceeding the highest ever foster child adoption rate in the State between FY 2002 and the immediately preceding fiscal year. The incentive is calculated by multiplying the State's highest ever foster child adoption rate times the number of children in foster care on the last day of the preceding fiscal year and subtracting that number from the number of foster child adoptions in the State in that fiscal year. That number is rounded to the nearest whole number and then multiplied by \$1,000. If a State does not qualify for an incentive payment under (a) or (b), the State may still receive an award for (c) if the State exceeds the highest ever adoption rate. There are no matching requirements for these funds.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments to a State in a fiscal year shall remain available for use by the State through the end of the succeeding fiscal year. Method of awarding/releasing assistance: lump sum.

**Reports:**

States must identify in the Child and Family Services Plan (CFSP) or Annual Progress and Services Report (APSR) as applicable (due June 30 of each year), the services they have provided to children and families as a result of the expenditure of adoption incentive payments. Should more than one fiscal year's incentive funds be expended during a given reporting period, the report should reflect the services provided and identify the fiscal year's funds expended. Actual expenditures of incentive funds must be reported annually on SF-425, Financial Status Report. No progress reports are required. Actual expenditures of incentive funds must be reported annually on SF- 425, Financial Status Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with 45 CFR 92.

**Records:**

None.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$39,500,000; FY 11 est \$39,500,000; and FY 12 est

\$49,875,000

**Range and Average of Financial Assistance:**

FY 2010: For FY 2009 earning year, 40 States earned incentive payments totaling \$39.5 million. The awards ranged from \$14,172 to \$7,468,475 with an average award amount of \$987,500 for qualifying States.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 40 grants were awarded. Fiscal Year 2011: Number of States to receive incentive awards is yet to be determined. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ACYF-CB-IM-03, issued September 1, 2009.

**Regional or Local Office:**

See Regional Agency Offices. ACF Children's Bureau Regional Child Welfare Program Managers.

**Headquarters Office:**

Gail Collins 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Email: gail.collins@acf.hhs.gov Phone: 202-205-8552

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.658 Foster Care\_Title IV-E; 93.659 Adoption Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All State Agencies are considered if the number of adoptions exceed the baseline number of adoptions.

**93.604 ASSISTANCE FOR TORTURE VICTIMS**

Services for Survivors of Torture

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Torture Victims Relief Act of 1998, Public Law 105-320.

**OBJECTIVES:**

The Office of Refugee Resettlement (ORR) provides a comprehensive program of support for domestic centers and programs for survivors of torture. The Services for Survivors of Torture Program assists persons who have suffered torture in their home countries to regain their health and independence and build productive lives in the U.S.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Allowable activities include treatment of the physical and psychological effects of torture, social and legal services, and provision of research and training to health care providers to enable them to treat the physical and psychological effects of torture.

**Applicant Eligibility:**

Eligible applicants are public or private non-profit agencies.

**Beneficiary Eligibility:**

Individuals and families, regardless of immigration status, who have suffered torture.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible applicants submit an application to the Administration for Children and Families in accordance with the requirements described in the notice of funding availability.

**Award Procedure:**

Applications are reviewed by a panel of independent experts in accordance with the evaluation criteria included in the notice of funding availability. Funding decisions are made by the Director of ORR based on the review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a three-year project period with one-year budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Performance Reports are required on a semi-annual basis. Final Program Performance Reports summarizing the activities and accomplishments of the project over the entire project period are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. SF-425 Federal Financial Reports are required semi-annually. A final SF-425 Federal Financial Report is required 90 days after the end of the project period. Staff of the Office of Refugee Resettlement make site visits to grantees to review the financial and programmatic aspects of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits are made as part of the system of financial management and internal control to meet terms and conditions of grants and other agreements. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients are required to keep all financial and program reports necessary for program review and audit for the project period and for 3 years after the end of the project period to insure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Project Grants) FY 10 \$10,913,000; FY 11 est \$10,916,000; and FY 12 est \$10,916,000

**Range and Average of Financial Assistance:**

Grant awards range from about \$250,000 to over \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Over 4,000 survivors of torture received services under this program in FY 2010. Fiscal Year 2011: It is expected that over 4,000 survivors of torture will receive services from this program in FY 2011. Fiscal Year 2012: It is expected that over 4,000 survivors of torture will receive services from this program in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ronald Munia 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20447 Email: ronald.munia@acf.hhs.gov Phone: (202) 401-4559 Fax: (202) 401-0981.

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are included in the notice of funds availability.

**93.605 FAMILY CONNECTION GRANTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part B, subpart 1, Section 427.

**OBJECTIVES:**

To provide matching grants to State, local or tribal child welfare agencies and private nonprofit organizations that have experience in working with foster children or children in kinship care arrangements for the purpose of helping children who are in, or at risk of entering, foster care to reconnect with family members.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are provided for services or activities that are consistent with the purpose of section 102, Public Law 110-351, and may include the following: (1) a kinship navigator program to assist kinship caregivers in learning about, finding and using programs and services to meet the needs of the children they are raising and their own needs, and to promote effective partnerships among public and private agencies to ensure kinship caregiver families are served; (2) intensive family-finding efforts that utilize search technology to find biological family members for children in the child welfare system; (3) family group decision-making meetings for children in the child welfare system that enable families to make decisions and develop plans that nurture children and protect them from abuse and neglect; and (4) residential family treatment program that enable parent and their children to live in a safe environment for a period of not less than 6 months. 100% of funds are used for discretionary activities.

**Applicant Eligibility:**

State, local or tribal child welfare agencies and private nonprofit organizations that have experience in working with foster children or children in kinship care arrangements.

**Beneficiary Eligibility:**

Public or private nonprofit agencies or organizations or tribal child welfare agencies, working with foster children, children in kinship care arrangements or children at risk of entering foster care, that help the children reconnect with family members.

**Credentials/Documentation:**

Nonprofit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Standard application forms as furnished by HHS must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcement of availability of funds is posted to [www.Grants.gov](http://www.Grants.gov). Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

Grant applications are reviewed by a panel of non-federal professionals with expertise in the field of child welfare, particularly foster and kinship care.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 6 months. The deadline for the receipt of applications is stated in the Program Announcement.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Projects are awarded with a provision for non-competitive renewal during the approved award period (one to three years).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The required match must increase over the course of the grant period, such that grantees must contribute 25 percent of the program costs for the first and second year of the grant and 50 percent of the program costs for the third year of the three year grant. (Section 427(d) of the Social Security Act). No more than 50 percent of the non-federal share may be in kind, as required by Section 427(e) of the Act. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are available for 36-month project period with three 12-month budget periods. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grants must select and track performance indicators that measure the extent to which grant-funded activities and services enhance the safety, permanency and well-being of children and their families. PSC-272. Program progress reports are required semiannually with a final report at completion of the project. Financial reports are required semiannually with a final report at completion of the project. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1512-0-1-609.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$15,000,000; FY 11 est \$15,000,000; and FY 12 est \$15,000,000 - Of the \$15,000,000 appropriated each year, the authorizing legislation requires 3% of the funds to be set aside for evaluation and allows an additional 2% of funds to be set aside for technical assistance, each fiscal year.

**Range and Average of Financial Assistance:**

Awards will range from a floor of \$450,000 to a ceiling of \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 34 grants were awarded. Fiscal Year 2011: In FY 2011, it is anticipated that 24 grants will be continued and 6 new grants will be awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 6 grants will be continued and up to 24 new grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the Funding Opportunity Announcement, the application instructions, and the HHS Grants Policy Statement. The HHS Grants Policy Statement can be found at: <http://www.hhs.gov/grantsnet/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cathy Overbagh 1250 Maryland Avenue, S.W., 8th Floor, Washington, District of Columbia 20024 Email: [cathy.overbagh@acf.hhs.gov](mailto:cathy.overbagh@acf.hhs.gov) Phone: (202)205-7273

**Website Address:**

<http://www.acf.hhs.gov/programs/cb> .

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.652 Adoption Opportunities; 93.669 Child Abuse and Neglect State Grants; 93.670 Child Abuse and Neglect Discretionary Activities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Descriptions of the 24 grants awarded 9/30/2009 may be found at: <http://www3.nrcpfc.org/grantees.html>. Fiscal Year 2011: Current data not available. Fiscal Year 2012: Current data not available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the basis of the degree to which proposals meet specific objectives defined in the program announcement including, but not limited to: (1) organizational capacity to collaborate with other service providers; (2) relevance of proposed services and activities in enhancing the well-being of children in foster care, in kinship care arrangements, or at risk of foster care and in helping the children reconnect with family members; and (3) demonstrated ability to conduct a kinship navigator program; provide intensive family-finding efforts that utilize search technology; conduct family group-decision making efforts and provide residential family treatment programs.

**93.606 AFFORDABLE CARE ACT - PREPAREDNESS AND EMERGENCY RESPONSE LEARNING CENTERS**

Preparedness and Emergency Response Learning Centers (PERLC)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 319F(d), 42 U.S.C 247d-6(d); Patient Protection and Affordable Care Act, Title IV, Section 4002, Public Law 111-148.

**OBJECTIVES:**

The purpose of this program is to address legislative requirements, as stated in section 319F(d) of the Public Health Service (PHS) Act (42 USC 247d-6(d)), as part of a plan to improve the nations public health and medical preparedness and response capabilities for emergencies, whether deliberate,



accidental, or natural. Accredited schools of public health will collaborate, develop and deliver core competency-based training and education that respond to the public health preparedness and response needs of state, local and tribal public health authorities, and emphasize essential public health security capabilities. The intent of this program is to meet the preparedness and response training and educational needs of the U.S. public health workforce by providing assistance to U.S. states, localities and tribal public health authorities within defined service areas.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to support public health approaches to public health preparedness and response described in Section 0.50 above. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable public health preparedness and response activities, and program purposes, including personnel, travel, supplies, and services, such as contractual arrangements with educational partners or consultants. Recipients may not use funds for research. Recipients may not use funds for clinical care. Recipients may not generally use funding for construction or the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

Reimbursement of pre-award costs is not allowed. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

**Applicant Eligibility:**

Eligible applicants for this project are accredited Schools of Public Health, as required by section 319F-2(d) of the Public Health Service Act. Only schools accredited by the Council on Education for Public Health are eligible.

**Beneficiary Eligibility:**

The general public, and federal state, local, and tribal public health preparedness programs that protect the public from all-hazards will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants must provide documentation of current accreditation by the Council on Education for Public Health to confirm eligibility. Applicants must document how the proposed research would address stated objectives of the program, outline the research methods to be followed, and provide a budget justification for funds. OMB Circular A-21 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Information on the submission of applications was obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms were used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-21 for educational institutions.

**Award Procedure:**

All applications that are complete and responsive to the FOA will undergo an objective review process in accordance with the review criteria stated in the FOA. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer. Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project period is for 5 years with 12 month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is for 5 years with 12-month budget periods. See the following for information on how assistance is awarded/released: Notice of Award.

Method of awarding/releasing assistance: lump sum.

**Reports:**

Final financial status and performance reports are required 90 days after the end of a project period. No cash reports are required. Annual and semiannual progress reports are required. Financial status reports are required 90 days after the end of each budget period. Performance monitoring is maintained by oversight of Project Officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$13,127,198; FY 11 est \$8,750,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY 2011 Expected: \$625,000 to \$625,000 Avg - \$625,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 74 for higher education, hospitals, or other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Van A. King 1600 Clifton Road  
MS D-29  
, Atlanta, Georgia 30029-4018 Email: vbk5@cdc.gov Phone: 4046395276

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by OPHPR and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements. CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section VI. Application Review Information, subsection Evaluation Criteria within the individual funding opportunity announcement. Applicants will be notified if their application did not meet program requirements.

**93.607 AFFORDABLE CARE ACT - PREPAREDNESS AND EMERGENCY RESPONSE RESEARCH CENTERS: A PUBLIC HEALTH SYSTEMS APPROACH**

Preparedness and Emergency Response Research Centers (PERRC)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 319F(d)(7) , 42 U.S.C 247d-6(d)(7) ; Patient Protection and Affordable Care Act, Title IV, Section 4002, Public Law 111-148.

**OBJECTIVES:**

The overall goal of this program is to support research to improve federal, state, local, and tribal public health preparedness and response capabilities. Recipients use a multidisciplinary public health systems research approach to examine the structure, capabilities, and performance of public health systems preparing for and responding to any and all potential threats and hazards. Research addresses one of the four research priority recommendations identified in an Institute of Medicine (IOM) Letter Report to yield results that achieve near-term impact on public health preparedness and response systems.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used to support public health system research approaches to public health preparedness and response described in Section 0.50 above. The use of and use restrictions are as follows:

Recipients may only expend funds for reasonable public health preparedness and response research activities, and program purposes, including personnel, travel, supplies, and services, such as contractual arrangements with research partners or consultants. Recipients may not use funds for clinical care.

Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

**Applicant Eligibility:**

Eligible applicants for this project are accredited Schools of Public Health, as required by section 319F-2(d) of the Public Health Service Act. Only schools accredited by the Council on Education for Public Health are eligible.

**Beneficiary Eligibility:**

The general public, and federal state, local, and tribal public health preparedness programs that protect the public from all-hazards will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants must provide documentation of current accreditation by the Council on Education for Public Health to confirm eligibility. Applicants must document how the proposed research would address stated objectives of the program, outline the research methods to be followed, and provide a budget justification for funds. OMB Circular A-21 applies to this program. This

program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Information on the submission of applications was obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms were used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-21 for educational institutions.

**Award Procedure:**

Applications that were complete and responsive to the Funding Opportunity Announcement (FOA) were evaluated for scientific and technical merit by an appropriate external peer review group convened by OPHPR in accordance with the review criteria stated in the FOA.

Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal will be based upon the availability of funding and satisfactory programmatic progress. Project period is for 5 years with 12 month budget periods. Applications were obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is for 5 years with 12-month budget periods. See the following for information on how assistance is awarded/released: Notice of Award. Method of awarding/releasing assistance: lump sum.

**Reports:**

Final financial status and performance reports are required 90 days after the end of a project period. No cash reports are required. Annual and semiannual progress reports are required. Financial status reports are required 90 days after the end of each budget period. Performance monitoring is maintained by oversight of Project Officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to

an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$13,863,003; FY 11 est \$9,267,811; and FY 12 est \$0

**Range and Average of Financial Assistance:**

FY 2011 Expected: \$800,000 to \$1,160,000 FY 2011 Avg - \$1,030,000-.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 74 for higher education, hospitals, or other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Van A. King 1600 Clifton Road  
Mailstop D-29  
, Atlanta, Georgia 30333 Email: vbk5@cdc.gov Phone: 404-639-5276

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria were considered in making funding decisions:

Scientific merit of the proposed program project as determined by peer review

Availability of funds

Relevance of program priorities and the priorities of the U.S. Department of Health and Human Services

Preference for funding research program projects that address one or more federal, state, local, or tribal public health preparedness priority themes as determined by COTPER.

Preference for funding to achieve coverage of a range of priority themes for public health preparedness and emergency response systems research.

Preference for funding meritorious applications that leverage expertise from a broad range of disciplines to address a theme for public health preparedness and emergency response systems research.

Preference for funding to achieve a geographical or regional distribution of awarded programs.

Preference for funding to achieve a balance for addressing preparedness and emergency response research needs in both urban and rural communities.

**93.612 NATIVE AMERICAN PROGRAMS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Indian Reorganization Act Amendments, Section 215, Public Law 100-581; This program is authorized under Section 803(a) of the Native American Programs Act of 1974 (NAPA), 42 U.S.C. 2991b and 2991b-3., Title VIII, Public Law 102-375, 42 U.S.C 2991; This program is authorized under Section 803(a) of the Native American Programs Act of 1974 (NAPA), 42 U.S.C. 2991b and 2991b-3., Public Law 93-644; Older Americans Act Amendments of 1987, Title V, Public Law 100-175.

**OBJECTIVES:**

To promote economic and social self-sufficiency for American Indians, Alaska Natives, Native Hawaiians, and other Native American Pacific Islanders from

American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands. The SEDS program provides funding for projects to support the interests of children and families and to help strengthen communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funding may be used for such purposes as: (1) Governance projects to increase tribal and village governments ability to exercise local control and decision-making over their resources; (2) Economic Development projects, which promote the long term mobilization and management of economic resources necessary to achieve a diversified economy; (3) Strengthening Families projects which incorporate culturally relevant strategies to strengthen families, foster child well-being, and promote responsible fatherhood to nourish and sustain healthy families and (4) Social Development projects which invest in human and social capital to advance the needs of Native Americans while incorporating culturally appropriate activities to enhance tribal, Native community, and Alaska Native village goals.

**Applicant Eligibility:**

Public and private nonprofit agencies, including but not limited to, Federally-recognized Indian Tribes (as listed by the Bureau of Indian Affairs in an October 21, 1993 Federal Register notice); Incorporated Non-Federally recognized Indian Tribes; Alaska Native Villages as defined in the Alaska Native Claims Settlement Act (ANSCA) and/or nonprofit village consortia; Nonprofit Alaska Native Regional Associations with village specific projects; Nonprofit Native organizations in Alaska with village specific projects; Incorporated nonprofit multi-purpose community-based Indian organizations; Urban Indian Centers; Public and nonprofit private agencies serving Native Hawaiians; National or regional incorporated nonprofit Native American organizations with Native American community-specific objectives; Public and nonprofit private agencies serving native peoples from Guam, American Samoa, or the Commonwealth of the Northern Mariana Islands; and Tribally Controlled Community Colleges, Tribally Controlled Post Secondary Vocational Institutions, and colleges and universities located in Hawaii, Guam, American Samoa, or the Commonwealth of the Northern Mariana Islands which serves Native American Pacific Islanders.

**Beneficiary Eligibility:**

American Indians, Alaska Natives, Native Hawaiians, and Native American Pacific Islanders will benefit.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of the Code of Federal Regulations, which implement the requirements of applicable OMB Circular Nos. A-21, and A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Information regarding the availability of grant funds will be posted on Grants.gov and the ACF Funding Opportunities websites as funding opportunity announcements. Funding opportunity announcements will provide details on program objectives for which applications are being solicited and other application requirements. Hard copy applications should be submitted to U. S. Department of Health and Human Services, Administration for Children and Families, Office of Grants Management, Mail Stop Aerospace Center 6th Floor-East, 370 L'Enfant Promenade, SW., Washington, DC 20447. Electronic submissions are submitted through Grants.gov.

**Award Procedure:**

All funds are awarded directly to the grantees.

**Deadlines:**

Mar 23, 2011: by 4:30 pm EST. Each program announcement specifies the due

date for submission of applications.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applicants will receive notice of approval/disapproval approximately 120 days after receipt of application.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20%. This program has no statutory formula for distribution of funds. A matching share of 20 percent of the total approved project cost is required unless waived in accordance with criteria which are also published in 45 CFR 1336.50. This program has maintenance of effort requirements; see funding agency for further details. Waiver requirements are contained in 45 CFR, Part 1336.50.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grantees may apply for competitive continuation support within a project period of 1 to 3 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Cash reports are not applicable. No program reports are required. Cash reports are not applicable. Objective Progress Reports (OPR) are required quarterly using the OPR form which follows closely the Project Objective Work Plan (OWP). Financial Status reports are required quarterly. By statute, one third of the grant portfolio must receive on-site impact evaluation. As indicated above - Financial Status reports are required quarterly. By statute one third of the grant portfolio must receive on-site impact evaluation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of the 3-year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$27,313,237; FY 11 est \$23,319,841; and FY 12 est \$27,200,000

**Range and Average of Financial Assistance:**

\$25,000 to \$500,000

Average = \$250,000 per budget period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 120 new and continuations SEDS received funding. Fiscal Year 2011: In FY 2011, it is estimated that 111 new and continuation SEDS grants will receive funding. Fiscal Year 2012: In FY 2012, it is estimated that 120 new and continuation SEDS grants will receive funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in 45 CFR 1336.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia E. McDonald Administration for Native Americans

Administration for Children and Families

Department of Health and Human Services

370 L'Enfant Promenade

Aerospace Building, 2nd Floor West, Washington , District of Columbia 20447

Email: patricia.mcdonald@acf.hhs.gov Phone: (877) 922-9262

**Website Address:**

<http://www.acf.hhs.gov/programs/ana>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Social Development: Youth Development; Cultural Preservation Activities; Education Development; Foster Parent Training; Supporting Elders; Supporting People with Disabilities, Tourism, Economic Stability Fatherhood.

Economic Development: Business Development; Community Strategic Planning; Organizational Capacity Building; Subsistence Project; Emergency Response Activities; Transportation for Elders and Disabled; Transportation for Workforce Development; International Tourism and Trade; Job Training

Governance: Tribal Government Program Enhancement; Management and Leadership Development; Information Management Systems; Codes and Ordinances; Constitutional Reform; Operational Planning; Tribal Court Systems. Fiscal Year 2011: We anticipate funding similar types of projects in fiscal year 2011. Fiscal Year 2012: We anticipate funding similar types of projects in fiscal year 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement. In general, proposals are judged on the basis of relevance to program objectives as stated in the program announcement, project viability, community support, reasonable cost estimates, and qualifications of applicant organization and personnel.

**93.613 PRESIDENT'S COMMITTEE FOR PEOPLE WITH INTELLECTUAL DISABILITIES (PCPID)**

PCPID

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order 13511 as Amended on October 1, 2009.

**OBJECTIVES:**

The Presidents Committee for People with Intellectual Disabilities (Committee) provides advice to the President and to the Secretary of Health and Human Services (Secretary) through the Commissioner of the Administration on Developmental Disabilities concerning a broad range of topics relating to people with intellectual and developmental disabilities.

**TYPES OF ASSISTANCE:**

Information

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

General public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. None.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

NOT APPLICABLE.

**Appeals:**

NOT APPLICABLE.

**Renewals:**

NOT APPLICABLE.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

NOT APPLICABLE. See the following for information on how assistance is awarded/released: NOT APPLICABLE.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Salaries) FY 10 \$348,946; FY 11 est \$437,088; and FY 12 est \$568,214 - 4 Federal Staff on board: (1) GS 14; (2) GS 12; (1) GS 11. (Salaries) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Advisory Committee Act of 11972 as amended, Executive Order 13511 as amended on October 1, 2009, the HHS Charter as amended on May 11, 2011. "The New Freedom Initiative".

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon Lewis HHH Building 200 Independence Avenue S.W. - 4th Floor, Room 405D  
, Washington, District of Columbia 20201 Email: Sharon.Lewis@acf.hhs.gov  
Phone: 202-690-6590 Fax: 202-205-9519

**Website Address:**

<http://www.acf.hhs.gov/programs/pcpid>

**RELATED PROGRAMS:**

27.005 Federal Employment for Individuals With Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.616 MENTORING CHILDREN OF PRISONERS**

(MCP) Mentoring Children of Prisoners

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Section 439 of the Social Security Act as amended by the Child and Family Services Improvement Act of 2006 (<http://www.acf.hhs.gov/programs/fysb/content/aboutfysb/documents>), Public Law 109-288.

**OBJECTIVES:**

To provide competitive grants to applicants in areas with significant numbers of children of prisoners to support the establishment and operation of programs using a network of public and private entities and to provide mentoring services for these children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provide mentoring and support services to urban and/or suburban populations with substantial numbers of children with incarcerated parents.

**Applicant Eligibility:**

Those eligible to apply for funding under this grant competition include applicants in areas where there are substantial numbers of children of prisoners. Applicants must establish or expand and operate programs using a network of public and private entities to provide this mentoring. This includes any State or local government unit, Tribe and Tribal organization, private nonprofit, community and faith based groups.

**Beneficiary Eligibility:**

Children of prisoners ages 4 through 18 will benefit.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Public Law 107-133. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Consultation or assistance is available from the Family and Youth Services Bureau (FYSB), Administration for Children and Families, Department of Health and Human Services. The standard application forms furnished by DHHS and required by OMB Circular No. A-102 must be used for this program. (NOTE: State/territory participation in the intergovernmental review process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applicants are reviewed by a panel of nonfederal experts which assigns scores according to published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau, who makes the recommendations to the ACYF Commissioner, who makes the final funding decision.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

The initial grant award is for a 12-month budget period. A non-competitive application is required for a 12-month continuation grant to be awarded in each of two subsequent years subject to the availability of funds, satisfactory progress on the part of the grantee, and a determination that continued funding would be in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Grantee must provide a nonfederal share or match of at least 25 percent of the total project budget in the first and second years of the project. In the third year, the grantee must provide a nonfederal share or match of at least 50 percent of the total project budget. The nonfederal share may be met by cash or in-kind contributions although applicants are encouraged to meet their Federal match requirements through cash contributions. There is no match requirement for the Mentoring Children of Prisoners Voucher Program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a period of 36 months with 12 month budget periods. Method of awarding/releasing assistance: quarterly.

**Reports:**

Applicants must submit quarterly performance reports, semi-annual financial reports, and agree to submit other required program and financial reports, as instructed by FYSB. Financial SF-425 reports are due semi-annually. Performance reports are due quarterly. Financial SF-425 reports are due semi-annually. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$49,314,000; FY 11 est \$0; and FY 12 est \$25,000,000 - The FY 11 budget makes no provision for the MCP program.

**Range and Average of Financial Assistance:**

Grants range from \$200,000 to \$1,500,000 depending on the scope of the project.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, 150 grants were awarded and \$2,500,000 in contracts. Fiscal Year 2011: The FY11 budget does not make any provisions for this program. Fiscal Year 2012: In FY 12, 85 grants are projected to be awarded and \$850,000 in contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link.

**Regional or Local Office:**

See Regional Agency Offices. Acting Associate Commissioner, Family and

Youth Services Bureau, Administration for Children and Families, Department of Health and Human Services, 1250 Maryland Avenue, S.W., Washington, DC 20447. Contact: Debbie Powell. Telephone: (202) 205-8102. FTS is not available.

**Headquarters Office:**

Curtis Porter 1250 Maryland Ave, SW, Washington, District of Columbia 20447 Email: [curtis.porter@acf.hhs.gov](mailto:curtis.porter@acf.hhs.gov) Phone: 202.205.8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: [http://www.acf.hhs.gov/grants\\_fysb.html](http://www.acf.hhs.gov/grants_fysb.html).

**93.617 VOTING ACCESS FOR INDIVIDUALS WITH DISABILITIES\_ GRANTS TO STATES**

(Election Assistance for Individuals with Disabilities (EAID))

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Help America Vote Act, Title II, Part 2, Section 261, Public Law 107-252.

**OBJECTIVES:**

Section 261 of HAVA provides that funds be made available to States to: (1) make polling places, including the path of travel, entrances, exits, and voting areas of each polling facility, accessible to individuals with the full-range of disabilities (e.g., visual impairments, including blindness; hearing impairments, including deafness; the full-range of mobility impairments, including gross and fine motor impairments, emotional impairments, and intellectual impairments); (2) provide the same opportunity for access and participation (including privacy and independence) to individuals with the full-range of disabilities; (3) provide training for election officials, poll workers, and election volunteers on how best to promote the access and participation of individuals with the full-range of disabilities in election for Federal office; and (4) provide individuals with the full-range of disabilities with information about the accessibility of polling places.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

To assist States to provide greater accessibility to individuals with full-range of disabilities as it relates for the four (4) areas of funding. Grant funds are only available for five years after the appropriation year, as required by 31 U.S.C. Section 1552.

**Applicant Eligibility:**

States (including the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, and the Virgin Islands).

**Beneficiary Eligibility:**

Individuals with full-range of disabilities.

**Credentials/Documentation:**

Applicant eligibility: Secretary of State/Chief Election Official of States including the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, and the U.S. Virgin Islands. Beneficiary Eligibility: States and Units of Local Government. Cost will be determined in accordance with 45 CFR Parts 74 and 92. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The reporting requirements information collection for the application and annual report are approved under OMB control number 0970-0327, expiration date 11/30/2010.

**Award Procedure:**

Funds will be awarded annually.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

None. Awards are generally made for a 12-month project period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded annually. The statistical factor used to fund distribution is the population age 18 and over in each State. No State will receive less than \$100,000. There is no matching requirement. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual narrative report that describes how any funds authorized were used. Report due no later than December 31st of each year. No cash reports are required. Annual progress report. Expenditures are to be reported using a Financial Status Report Short Form (SF-269A). Submission of annual financial reports are due 90 days after the end of each 12-month period (October 1-September 30). Annual progress and financial status report are used as the primary monitoring tools.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements of 45 CFR Parts 74 and 92.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if all findings have not been resolved.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$12,054,000; FY 11 est \$12,129,692; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Not less than \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, 54 grants were awarded. No dollar amount was reported for Guam in FY2010. Fiscal Year 2011: It is anticipated that 55 grants will be awarded in FY 2011. Fiscal Year 2012: It is anticipated that 0 grants will be awarded in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92, Grant Administrative Requirements.

**Regional or Local Office:**

None. Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, DC 20201. Contact: Melvenia Wright. Telephone: (202) 690-5557.

**Headquarters Office:**

Melvenia Wright Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, District of Columbia 20201 Email: mwright@acf.hhs.gov Phone: (202) 690-5557.

**Website Address:**

<http://www.acf.hhs.gov/programs.add>

**RELATED PROGRAMS:**

93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.618 VOTING ACCESS FOR INDIVIDUALS WITH DISABILITIES-GRANTS FOR PROTECTION AND ADVOCACY SYSTEMS**

Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Help America Vote Act, Title II, Part 5, Section 291, Public Law 107-252.

**OBJECTIVES:**

Section 291 of HAVA provides that funds be made available to Protection and Advocacy Systems to: (1) ensure full participation in the electoral process for individuals with disabilities; (2) provide education, training and assistance to individuals with disabilities that will promote their participation in the electoral process; (3) participate in advocacy and education efforts revolving around HAVA implementation efforts in their State or Territory; (4) training and education of election officials, poll workers, and election volunteers regarding the rights of the voters with disabilities and best practices in working with individuals with disabilities; (5) assist individuals with disabilities in filing complaints under the State-based administrative grievance procedure required by HAVA and represent individuals with disabilities in any hearing that may be held regarding the complaint; (6) provide assistance to States and other governmental entities regarding the physical accessibility of polling places; and (7) obtain training and technical assistance on voting issues, including education regarding accessible voting equipment and systems. Once educated, the information may be used to inform others of the availability of accessible voting equipment and its use.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

To assist Protection and Advocacy Systems to ensure full participation in the electoral process of individuals with a full-range of disabilities. Grant funds are only available for five years after the appropriation year, as required by 31 U.S.C. Section 1552.

**Applicant Eligibility:**

States and Territories who have a Protection and Advocacy System in place in accordance with the Developmental Disabilities Assistance and Bill of Rights Act of 2000.

**Beneficiary Eligibility:**

Individuals with full-range of disabilities.

**Credentials/Documentation:**

Cost will be determined in accordance with 45 CFR Parts 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Protection and Advocacy Systems (P&As) for each territory and state must submit an application by the requested deadline as indicated in the Program Instruction. The application may be in the format of its choice addressing the seven areas in emphasis which the Help America Vote Act (HAVA) funds should be used. Funds requested by the P&As are used to provide education, training and assistance to individuals with disabilities that will promote their participation in the electoral process in seven different areas. The application is faxed, emailed and mailed to the Administration on Developmental Disabilities (ADD) for furthering review and processing. The application is reviewed thoroughly in accordance with the eligibility criteria as outlined in the program instruction and processed approved by the program office.

**Award Procedure:**

Funds will be awarded annually.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

None. Awards are generally made for a 12-month project period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded annually. The Protection and Advocacy System in each State including the District of Columbia or the Commonwealth of Puerto Rico shall receive less than \$70,000 and no Territory will receive less than \$35,000. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual narrative report that describes how any funds authorized are due no later than December 31st of each year. No cash reports are required. Annual program and annual financial status reports required. Expenditures are to be reported using a Financial Status Report Short Form (SF-269A) submission of annual financial reports are due 90 days after the end of each 12-month period (October 1 - September 30). Monitoring is performed through the review of annual program and financial status reports required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in

accordance with the requirements of 45 CFR Parts 74 and 92.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if all findings have not been resolved.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$4,888,080; FY 11 est \$4,878,304; and FY 12 est \$0 - T&TA P&A set-aside FY 2010 \$368,000; FY 20011 \$368,000; and FY 2012 estimate \$0.

**Range and Average of Financial Assistance:**

The awards range from \$35,00 to \$323,000. The average award amount is approximately \$144,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY2010, 55 grants were awarded to P&As and 2 grants for T&TA set-aside for a total of 5 year grant awards. Fiscal Year 2011: FY 2011, 55 grants to were awarded to P&As and 2 grants for T&TA set-aside for a total of 5 year grant awards. Fiscal Year 2012: In FY2012, 0 grants; program may be discontinued.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92, Grant Administrative Requirements.

**Regional or Local Office:**

None. Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, DC 20201. Contact: Melvenia Wright. Telephone: (202) 690-5557.

**Headquarters Office:**

Melvenia Wright, Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, District of Columbia 20201 Email: mwright@acf.hhs.gov Phone: (202) 690-5557.

**Website Address:**

<http://www.acf.hhs.gov/programs.add>

**RELATED PROGRAMS:**

93.617 Voting Access for Individuals with Disabilities\_Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.623 BASIC CENTER GRANT**

(BCP) Basic Center Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Reconnecting Homeless Youth Act, Public Law 110-378 A.

**OBJECTIVES:**

The purpose of Part A of the RHY Act (Runaway and Homeless Youth Grant Program) is to establish or strengthen locally controlled community-based programs that address the immediate needs of runaway and homeless youth and their families. Services must be delivered outside of the law enforcement, child welfare, mental health and juvenile justice systems. The goals and objectives of the Basic Center Program are to: 1) Alleviate problems of runaway and homeless youth; 2) reunite youth with their families and encourage the resolution of intra-family problems through counseling and other services; 3) strengthen family relationships and encourage stable living conditions for youth; and 4) help youth decide upon constructive courses of action.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**



Each Basic Center program is required to provide outreach to runaway and homeless youth; temporary shelter for up to twenty one (21) days; food; clothing; individual, group and family counseling; aftercare and referrals, as appropriate. Basic Center programs are required to provide their services in residential settings for at no more than twenty (20) youth unless a state or local law or regulation requires a higher maximum to comply with licensure requirements for facilities serving child and youth. Some programs also provide part or all of their shelter services through host homes (usually private homes under contract to the centers), with counseling and referrals being provided from a central location. Basic Center programs offer shelter to youth who are less than 18 years of age and who are at risk of separation from their family.

**Applicant Eligibility:**

States, localities, private entities, and coordinated networks of such entities are eligible to apply for a Basic Center Program grant unless they are part of the law enforcement structure or the juvenile justice system. Federally recognized Indian organizations are also eligible to apply for grants as private, non-profit agencies.

**Beneficiary Eligibility:**

Runaway and homeless youth and their families are the beneficiaries. Services can be provided to youth up to the age of 18.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts which assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau, who makes recommendations to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are generally made for 3-year project periods; funding for the second and third year is dependent upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.0%. Federal share of grant is up to 90 percent. The nonfederal share may be in cash or in-kind contributions. The statute contains a formula for allocation of funds by State. It is based on the population of each State under age 18 as a proportion of the current national population under age 18.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded competitively for project periods of up to 3 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program performance reports are due semi-annually. A final report is due 90 days after conclusion of project period. SF-425 Financial reports are due semi-annually. A final report is due 90 days after conclusion of project period. Program performance reports are due semi-annually. A final report is due 90 days after conclusion of project period. SF-425 reports are submitted semi-annually. These are performed semi-annually as Program Performance Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$53,744,000; FY 11 est \$53,636,512; and FY 12 est \$58,744,000 - The budget requests an additional \$5,000,000 to make grants to address domestic sex trafficking in the runaway and homeless youth population. The funds will be used to support RHY grantees with staff training to include training on the behavioral and emotional effects of sexual abuse and assault, training on youth who are showing effects of sexual abuse and assault, and training on agency-wide strategies for working with runaway and home less youth who have been sexually victimized. Funds may also support partnerships with law enforcement, attorneys, and judges to train these individuals on how to recognize sex trafficking among youth involved in the judicial or penal systems.

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000 per budget period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY10, 364 grants were funded and \$2,600,000 in contracts. Fiscal Year 2011: It is projected that 364 grants will be funded in FY 11 and \$3,100,000 in contracts. Fiscal Year 2012: It is projected that 364 grants will be funded in FY 12 and \$3,100,000 in contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link. Information is also available through the National Clearinghouse on Families and Youth, P.O. Box 13505, Silver Spring, MD 20911-3505. Telephone: (301) 608-8098. Fax: (301) 608-8721. The National Clearinghouse on Families and Youth website address is [www.ncfy.com](http://www.ncfy.com).

**Regional or Local Office:**

See Regional Agency Offices. Contact: Administration for Children and Families, Regional Offices, Family and Youth Services Bureau (See Appendix IV of this Catalog for the addresses of the Regional Offices.).

**Headquarters Office:**

Curtis O. Porter 1250 Maryland Avenue, S.W, 8th Fl., Washington, District of Columbia 20024 Phone: 202.205.8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.550 Transitional Living for Homeless Youth; 93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

An assessment is made on the basis of the degree to which: (1) The likelihood that the proposal will provide necessary services including shelter, counseling, and aftercare to runaway and other homeless youth and their families; (2) reasonableness of cost of these services; and (3) qualifications of staff. Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: <http://www.acf.hhs.gov/grants>.

**93.630 DEVELOPMENTAL DISABILITIES BASIC SUPPORT AND ADVOCACY GRANTS**

(State Councils on Developmental Disabilities and Protection and Advocacy Systems)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Developmental Disabilities Assistance and Bill of Rights Act of 2000, Title I, Section 121, Public Law 106-402, 42 U.S.C 15021-15045.

**OBJECTIVES:**

Developmental Disabilities Basic Support and Advocacy Grants: To enable individuals with developmental disabilities to become independent, productive, integrated and included into their communities. Funding under these programs is to assist States in the development of a plan for a comprehensive and coordinated system of services and other activities to enhance the lives of individuals with developmental disabilities and their families to their maximum potential, and to support a system which protects the legal and human rights of individuals with developmental disabilities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Developmental Disabilities Basic Support and Advocacy Grants: (1) Allotments under the basic developmental disabilities formula grant program may be used by States for priority area and other activities, including administrative costs, to build capacity, to refocus existing services, and to advocate to better meet the needs of individuals with developmental disabilities. The designated State agency in each State receives, accounts for and disburses funds, and provides for required assurances and other administrative support services on behalf of the State Developmental Disabilities Council, which carries out the priority area activity and other activities under an approved five year State Plan. This plan and corresponding budget is developed and administered by the State Developmental Disabilities Council. Federal funds may be expended for up to half the cost of the functions of the designated State agency under this program, but may not exceed five percent of a State's allotment or \$50,000, whichever is less. (2) Allotments under the protection and advocacy program may be used to assist States in supporting a system which will have authority to pursue legal and other remedies to protect the rights of individuals with developmental disabilities within the State.

**Applicant Eligibility:**

State grant agencies are the designated State agencies of the respective States, the District of Columbia, Puerto Rico, Virgin Islands, Guam, Northern Mariana Islands, American Samoa. Under the basic developmental disabilities program, the designated State agency must not provide or pay for services to individuals with developmental disabilities, unless it has held such designation on the date of the enactment of the Developmental Disabilities Assistance and Bill of Rights Act Amendments of 1994, and the Governor of the State (or the legislature, where appropriate and in accordance with State law) determines prior to June 30, 1994, not to change the designation of such agency. The State can only receive funding under the basic developmental disabilities program if it is also participating in the protection and advocacy program. The agency

designated to implement the State system under the protection and advocacy program cannot provide or pay for services to individuals with developmental disabilities, and that agency must have authority to obtain access to records of individuals with developmental disabilities.

**Beneficiary Eligibility:**

To be eligible for a grant, an agency must be designated to administer the program on behalf of the State. The Basic Program benefits individuals with developmental disabilities through systems change. The Protection and Advocacy system benefits individuals with developmental disabilities. Developmental disability is defined here as a severe chronic disability of an individual that is attributable to mental, physical, or a combination of impairments, is manifested before age 22, that is likely to continue indefinitely, that results in substantial functional limitations in three or more of the following major life activities (self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, and economic self-sufficiency), and that reflects an individual's lifelong need for services. Infants and children from birth to age 9, inclusive, are included if they have a developmental delay or condition with a high probability of resulting in developmental disabilities if services are not provided.

**Credentials/Documentation:**

Costs will be determined in accordance with 45 CFR 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Basic Support: Requests for allotments are submitted in the form of a State plan, which must be submitted not less than every 5 years, and must address all of the requirements of the Statute. Protection and Advocacy: Application is made by the State's submission of a description of the Protection and Advocacy system in the State and appropriate assurances as required by law, and by annual submission statement on the goals and priorities.

**Award Procedure:**

Formula awards are processed through a payment management system to the State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, Part 16.

**Renewals:**

Automatic, under approved application.

**Formula and Matching Requirements:**

Statutory Formula: Title I Programs for Individuals with Developmental Disabilities, Public Law 106-402.  
Matching Requirements: Percent: 25%. Match is only for the Councils. No match is required for Protection and Advocacy allotments. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds provided under allotments must be obligated by states by the end of the fiscal year following the fiscal year for which appropriations were received. Such obligation must be liquidated by the end of the following fiscal year. Payments are made through Electronic Transfer System or, when such is not practicable, on basis of payment requests from the State to meet current needs. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if all findings have not been resolved.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$75,066,000; FY 11 est \$74,915,868; and FY 12 est \$75,066,000

**Range and Average of Financial Assistance:**

Basic Support: \$450,000; Protection and Advocacy: \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 112 grants were awarded included P&A (55 State Council & 57 P&A). Fiscal Year 2011: In FY2011, 110 are projected to be awarded. Fiscal Year 2012: In FY 2012, 110 grants projected to be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92, Grant Administrative Requirements; and Program Regulations in Chapter XIII of Title 45 of the Code of Regulations, Parts 1385 and 1386.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog for list of addresses.).

**Headquarters Office:**

Jennifer Johnson, Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade SW, Washington, District of Columbia 20447 Email: [jjohnson@acf.hhs.gov](mailto:jjohnson@acf.hhs.gov) Phone: (202) 690-5982.

**Website Address:**

<http://www.acf.dhhs.gov/programs/add>.

**RELATED PROGRAMS:**

93.631 Developmental Disabilities Projects of National Significance; 93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.631 DEVELOPMENTAL DISABILITIES PROJECTS OF NATIONAL SIGNIFICANCE**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Developmental Disabilities Assistance and Bill of Rights Act of 2000, Title I, Section 161, Public Law 106-402, 42 U.S.C 15081-15083.

**OBJECTIVES:**

To provide for grants, contracts and cooperative agreements for projects of national significance that create opportunities for individuals with developmental disabilities to directly and fully contribute to, and participate in, all facets of community life; and support the development of national and State policies that reinforce, promote the self-determination, independence, productivity, and integration and inclusion of individuals with developmental

disabilities in all facets of community life.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

PNS Uses and Restrictions: Project grants, contracts, and cooperative agreements are approved for personnel, equipment, travel, supplies, etc. Duplicative Federal assistance is precluded. Uses include: (1) Family support activities; (2) Projects that educate policy makers; (3) projects that conduct data collection and analysis; (4) projects that provide technical assistance for developing information and referral systems; (5) Federal interagency initiatives; (6) technical assistance to self-advocacy organizations of individuals with developmental disabilities; (7) projects that enhance opportunities for individuals with developmental disabilities who are from racial and ethnic minority backgrounds; (8) projects that address the needs of aging individuals with developmental disabilities and caregivers of adults with developmental disabilities; (9) projects concerning the transition of youth with developmental disabilities from school to work and to adult life; and (10) other projects of national significance. Funds are not awarded solely for direct service delivery, construction, or for the continuation or expansion of existing projects, but rather for projects which are considered innovative and likely to have significant national impact.

**Applicant Eligibility:**

In general, any State, local, public or private nonprofit organization or agency may apply.

**Beneficiary Eligibility:**

In general, any State, local, public or private nonprofit organization or agency may apply.

**Credentials/Documentation:**

Proof of community need and consistency with developmental disabilities State Plans. Proof of nonprofit status. Compliance with statutes, regulations, and approval of State agency and DHHS/ACF Regional Offices. Costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Forms and instructions for project grants are available from HHS Central Office and the appropriate DHHS-ACF Regional Office. Forms and instructions for projects of national significance grants are available at [www.grants.gov](http://www.grants.gov). One signed original and two copies of the grant application are required, including all attachments, and must be submitted to the address specified in the application kit. Three additional copies would be useful to facilitate processing. In addition, concurrently, one (1) copy of the application should be submitted to the applicant's DD State Council and two (2) copies to the appropriate State Single Point of Contact (SPOC) for review and comment as per Executive Order 12372, "Intergovernmental Review of Federal Programs." (Addresses for State Developmental Disabilities Councils and SPOCs are included in the application kit.) The application must be signed by an individual authorized to act for the applicant agency and to assume for the agency the obligations imposed by the terms and conditions of the grant award including the regulations for the Projects of National Significance Grants Program.

**Award Procedure:**

Applications are reviewed and recommendations made by the Central Office, Administration on Developmental Disabilities. Successful applicants are notified through the issuance of a Financial Assistance Award which sets forth in writing the amount of funds granted, the purpose of the grant, the terms and conditions of the grant award, the effective date of the award, the budget period

for which support is given and the total grantee participation. The initial award, when applicable, also specifies the project period for which support is contemplated.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 180 days according to the type of program being requested.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements are specified in each published program announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods for grants are specified in each published program announcement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required for each budget period. Final progress report is required 90 days after the end of project period. Expenditure reports are required for each budget period. Performance monitoring includes review of reports and site visits as required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be maintained for 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$14,136,000; FY 11 est \$14,134,000; and FY 12 est \$8,333,000

**Range and Average of Financial Assistance:**

The range is \$50,000 to \$300,000; The average is \$184,566.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 34 grants were awarded. Fiscal Year 2011: In FY 2011, it is estimated that 52 grants will be awarded. Fiscal Year 2012: In FY 2012, it is estimated that 28 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in Chapter XIII of Title 45 of the Code of Federal Regulations, Part 1387.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, Administration for Children and Families, HHS Regional Offices (See Appendix IV of the Catalog.).

**Headquarters Office:**

Ophelia McLain, Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services; 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: omclain@acf.hhs.gov Phone: (202) 690-7025.

**Website Address:**

<http://www.acf.dhhs.gov/programs/add>.

**RELATED PROGRAMS:**

93.630 Developmental Disabilities Basic Support and Advocacy Grants; 93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In addition to evaluating the work of the Councils, P&As, and UCEDDs, a national autism research and information center was established, and additional work was conducted relating to data collection and analysis. Fiscal Year 2011: Projects that demonstrate a collaborative approach to creating employment systems change at the State level on behalf of youth and young adults with developmental disabilities. Additionally, training and technical assistance provision for the previously mentioned projects. Fiscal Year 2012: Evaluation of ADD's employment systems change efforts.

**CRITERIA FOR SELECTING PROPOSALS:**

No application can be approved unless it shows/provides evidence of its non-profit status and the State in which the applicant's project will be conducted has an approved DD State plan under this Act. Applications are also to be reviewed by the State Developmental Disabilities Council for the State in which it is to be conducted. Project's proposed design is complete and feasible, and includes measurable objectives and an evaluation component. Project does not supplant activities that are funded under other Federal programs. Competing grant applications will be reviewed and evaluated against criteria that are specified in each published program announcement.

**93.632 UNIVERSITY CENTERS FOR EXCELLENCE IN DEVELOPMENTAL DISABILITIES EDUCATION, RESEARCH, AND SERVICE**

(University Centers (UCEDD))

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Developmental Disabilities Assistance and Bill of Rights Act of 2000, Title I, Section 151, Public Law 106-402, 42 U.S.C 15061-15066.

**OBJECTIVES:**

To pay the Federal share of the cost of administration and operation of interdisciplinary centers that: (1) Provide interdisciplinary training for personnel concerned with developmental disabilities; (2) provide community service activities that include training and technical assistance and may include direct services, e.g., family support, individual support, educational, vocational, clinical, health and prevention; (3) conduct research (basic and applied), evaluation and analysis of public policy in areas affecting individuals with developmental disabilities; and (4) disseminate information as a national and international resource.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Salaries for administrators, coordinators, and others needed to operate the Center and expenses required to start up new programs, and faculty for training programs who will meet critical manpower shortages and are not eligible for support from other sources.

**Applicant Eligibility:**

A public or nonprofit entity which is associated with, or is an integral part of a college or university and which provides at least: interdisciplinary training; demonstration of exemplary services, technical assistance, research and dissemination of findings.

**Beneficiary Eligibility:**

Individuals of all ages with developmental disabilities attributable to a mental and/or physical impairment, their families, and personnel and trainees providing services to them.

**Credentials/Documentation:**

Assurance of maintenance of effort; statement of financial resources, especially

other federally-assisted programs; identification of personnel needs and resources as found in developmental disabilities State Plans for the applicant's service area; evaluation of present training programs and utilization of space in the facility; and capability of informing researchers and others in development of services related research. Memorandum of Understanding with the University. Eligible candidate designated in the previous fiscal year as a Center. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

No preapplication form is required. Consultation and assistance in preparing application is available at the DHHS Central Office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms are available from the DHHS Central Office. Completed application forms and narrative should be sent to the State Developmental Disabilities Council, Designated State Agency and Protection and Advocacy agency for review and comment. The standard application forms, as furnished by DHHS must be used for this program.

**Award Procedure:**

Applications are evaluated by outside peer reviews and grants are awarded at the DHHS ADD Central Office. Recommendations for funding are made by the Headquarters Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 45 to 90 days.

**Appeals:**

Appeals are processed in accordance with regulations in 45 CFR, Part 16.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Subpart D, Public Law 106-402.  
Matching Requirements: Percent: 75%. If project activities or products target individuals with developmental disabilities who live in an urban or rural poverty area, the Federal share may not exceed 90 percent of the project's necessary costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

University Centers awards are made for 5 years with a 12-month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

An annual progress report is required. Final progress report is required upon project completion. Fiscal reports are required as prescribed by grant applications. An annual progress report is required. A Final progress report is required upon project completion. Fiscal reports are required as prescribed by grant specifications. Grantees receive technical assistance through on-site compliance reviews and other supports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be maintained for 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$38,943,000; FY 11 est \$38,865,000; and FY 12 est \$38,943,000

**Range and Average of Financial Assistance:**

The range is between \$500,000 and \$549,000. The average is \$520,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY2010, 71 grants awarded. Fiscal Year 2011: In FY 2011, it is anticipated that 71 grants will be awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 71 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in Chapter XIII of Title 45 of the Code of Federal Regulations, Part 1388.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jennifer Johnson, Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade SW, Washington, District of Columbia 20447 Email: jennifer.johnson@acf.hhs.gov Phone: (202) 690-5982.

**Website Address:**

<http://www.acf.dhhs.gov/programs/add>.

**RELATED PROGRAMS:**

93.630 Developmental Disabilities Basic Support and Advocacy Grants; 93.631 Developmental Disabilities Projects of National Significance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants are funded to assist in the operation of public or nonprofit facilities which are associated with a college or university and provide training programs and delivery of services for persons with developmental disabilities. In addition, tied to the level of funds appropriated, training grants may be awarded to the University Centers. Fiscal Year 2011: Grants are funded to assist in the operation of public or nonprofit facilities which are associated with a college or university and provide training programs and delivery of services for persons with developmental disabilities. In addition, tied to the level of funds appropriated, training grants may be awarded to the University Centers. Fiscal Year 2012: Grants are funded to assist in the operation of public or nonprofit facilities which are associated with a college or university and provide training programs and delivery of services for persons with developmental disabilities. In addition, tied to the level of funds appropriated, training grants may be awarded to the University Centers.

**CRITERIA FOR SELECTING PROPOSALS:**

University Centers must address the provisions of the Act and regulations. Geographic dispersion. University Affiliation.

**93.643 CHILDREN'S JUSTICE GRANTS TO STATES**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse and Treatment Act (CAPTA), Section 107, 42 U.S.C 5106 et. seq.

**OBJECTIVES:**

To encourage States to enact reforms which are designed to improve (1) the assessment and investigation of suspected child abuse and neglect cases, including cases of suspected child sexual abuse and exploitation, in a manner that limits additional trauma to the child and the child's family; (2) the assessment and investigation of cases of suspected child abuse-related fatalities and suspected child neglect-related fatalities; (3) the investigation and prosecution of cases of child abuse and neglect, including child sexual abuse and exploitation; and (4) the assessment and investigation of cases involving children with disabilities or serious health-related problems who are suspected victims of child abuse or neglect.

**TYPES OF ASSISTANCE:**

## FORMULA GRANTS

### USES AND USE RESTRICTIONS:

Funds are to be used (a) investigative, administrative, and judicial handling of cases of child abuse and neglect, including child sexual abuse and exploitation, as well as cases involving suspected child maltreatment related fatalities and cases involving a potential combination of jurisdictions, such as interstate, Federal-State, and State-Tribal, in a manner which reduces the additional trauma to the child victim and the victim's family and which also ensures procedural fairness to the accused; (b) experimental, model, and demonstration programs for testing innovative approaches and techniques which may improve the prompt and successful resolution of civil and criminal court proceedings or enhance the effectiveness of judicial and administrative action in child abuse and neglect cases, particularly child sexual abuse and exploitation cases, including the enhancement of performance of court-appointed attorneys and guardians ad litem for children, and which also ensure procedural fairness to the accused; and (c) reform of State laws, ordinances, regulations, protocols and procedures to provide comprehensive protection for children from abuse, including sexual abuse and exploitation, while ensuring fairness to all affected persons. To receive funds, States must meet eligibility requirements stated in authorizing statute. To receive funds, States must meet eligibility requirements stated in the authorizing statute.

### Applicant Eligibility:

States, Puerto Rico, District of Columbia, Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Marianas.

### Beneficiary Eligibility:

Beneficiaries include State governments and victims of child abuse and neglect, particularly child sexual abuse and exploitation.

### Credentials/Documentation:

Applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92. Applications require certification and/or documentation that the State meets eligibility requirements described in the Act. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

No preapplication is required. Advice and technical assistance to State applicants are available from the Children's Bureau, Office on Child Abuse and Neglect within the Administration on Children, Youth and Families. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No Federal forms are required, but certain assurances and information described in the Annual Program Instruction must be included.

### Award Procedure:

Applications will be reviewed against all eligibility requirements contained in the authorizing legislation. All eligible State and territorial governments will receive funding.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

From 90 to 120 days. Deadlines will be contained in the Program Instruction sent to each State and other eligible entities announcing the availability of funds under this program.

### Appeals:

Appeals are processed in accordance with HHS regulations in 45 CFR, Part 16.

### Renewals:

Grants are made annually. A new application is required each year.

### Formula and Matching Requirements:

### Statutory Formula:

Matching Requirements: There is no matching requirement. Each State receives a base amount of \$50,000 with an additional amount based on the population of children under age 18 in each State. This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

Grant funds may be expended for a period of 2 years after the end of the fiscal year in which the funds are awarded. Method of awarding/releasing assistance: lump sum.

### Reports:

Program reports are not applicable. PSC-272. Program progress reporting requirements are described in the Program Instructions. Financial reporting requirements are described in the Program Instructions. Performance monitoring is not applicable.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

### Records:

Records must be kept in accordance with 45 CFR, Parts 74 and 92.

### Account Identification:

15-5041-0-2-754.

### Obligations:

(Formula Grants) FY 10 \$17,000,000; FY 11 est \$17,000,000; and FY 12 est \$17,000,000

### Range and Average of Financial Assistance:

\$53,033 to \$1,895,847 with an average grant of \$346,939.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2010: In FY 2010, grants were made to 49 States (PA did not apply), the District of Columbia, and five territorial governments. Fiscal Year 2011: In FY 2011, grants are expected to be made to 50 States, the District of Columbia, and five territorial governments. Fiscal Year 2012: In FY 2012, grants are expected to be made to 50 States, the District of Columbia, and five territorial governments.

### REGULATIONS, GUIDELINES, AND LITERATURE:

All pertinent instructions are contained in the annual Program Instruction.

### Regional or Local Office:

None.

### Headquarters Office:

Catherine Luby Office on Child Abuse and Neglect, 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Email: catherine.luby@acf.hhs.gov Phone: (202) 205-8879

### Website Address:

<http://www.acf.dhhs.gov/programs/cb>.

### RELATED PROGRAMS:

93.645 Child Welfare Services\_State Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants; 93.670 Child Abuse and Neglect Discretionary Activities; 93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Grants to States and Indian Tribes

### EXAMPLES OF FUNDED PROJECTS:

Not Applicable.

### CRITERIA FOR SELECTING PROPOSALS:

States which meet all eligibility requirements and propose projects which meet the required uses of these funds will receive grants.

### **93.645 STEPHANIE TUBBS JONES CHILD WELFARE SERVICES PROGRAM**

#### **FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

#### **AUTHORIZATION:**

Social Security Act, Title IV-B, Part Subpart 1; as amended.

#### **OBJECTIVES:**

The purpose of the Stephanie Tubbs Jones Child Welfare Services program is to promote State and Tribal flexibility in the development and expansion of a coordinated child and family services program that utilizes community-based agencies and ensures all children are raised in safe, loving families.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds may be used for the following purposes: (a) protecting and promoting the welfare of all children; (b) preventing the abuse, neglect, or exploitation of children; (c) supporting at-risk families through services that allow children to remain with their families or return to their families in a timely manner; (d) promoting the safety, permanence, and well-being of children in foster care and adoptive families; and (e) providing training, professional development, and support to ensure a well-qualified workforce. State and Tribal grantees must limit administrative costs to 10 percent of the total expenditures required to draw their allotment. States may also not spend (or use as required matching funds) more title IV-B, subpart 1, funds for child care, foster care maintenance and adoption assistance payments in FY 2010 than the State expended for those purposes in FY 2005.

#### **Applicant Eligibility:**

States, the District of Columbia, Indian Tribes, Puerto Rico, the Northern Marianas, the Virgin Islands, Guam, and American Samoa.

#### **Beneficiary Eligibility:**

Families and children in need of child welfare services will benefit.

#### **Credentials/Documentation:**

For States, the department which administers the services program under Title XX must be the designated single State agency to administer child welfare services. Costs will be determined in accordance with 45 CFR Part 92.

See Circular No. A-87 (2 CFR Part 225). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Environmental impact information is not required for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A 5-year plan must be submitted. A full plan (every five years) or a plan update is due for submission by June 30th of each year. The plan must be jointly developed by the Secretary and the State or Indian Tribe and written after consultation with appropriate public and nonprofit private agencies and community-based organizations. The plan must coordinate the provision of services under Title IV-B with services under other Federal or federally-assisted programs serving the same populations.

#### **Award Procedure:**

Funds will be awarded after the plan, or annual update, is submitted and approved.

#### **Deadlines:**

Jun 30, 2009 States, Territories and Indian Tribes are encouraged to submit application in accordance with Department requirements. The Plan or update submitted is due by June 30 of each year.

#### **Range of Approval/Disapproval Time:**

The Plan or update that is due on June 30 of each year. Approval/disapproval is due September 30 of each year.

#### **Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 25%. Statutory Formula: Each State (including territories) receives a base allotment amount of \$70,000. The Stephanie Tubbs Jones Federal Child Welfare Services appropriation is further allotted on a variable formula which takes into account the child population under 21 and the complement of the State per capita income compared to the U.S. per capita income. The statistical factors used to fund allocations are: (1) the population of children under 21 years of age by State and the source is "Current Population Reports", P-25 Bureau of the Census; and (2) 3-year average per capita income by State and the source is the Bureau of Economic Analysis, Department of Commerce. Each eligible Tribes allotment is derived from the allotment for the State in which the Tribe is located and is based on the State population under 21, the number of Indian children in the Tribal population, and the multiplication factor determined by the Secretary in accordance with 45 CFR 1357.40(d)(6). Matching Requirements: Federal financial participation is available up to the full allotment at the rate of 75 percent for allowable program expenditures made by the grantee. Grantees must provide a 25 percent match for these expenditures. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Grants are available for obligation and liquidation in the FY granted and in the subsequent FY. Grant awards are made quarterly on a fiscal year basis through a letter of credit. The Electronic Transfer System will be used for monthly cash draw-downs from Federal Reserve Banks. Method of awarding/releasing assistance: quarterly.

#### **Reports:**

At the end of the fifth fiscal year, a final review of progress toward accomplishment of goals is due. Interim reviews of progress toward accomplishment of the goals of the plan are due at the end of each of the first four fiscal years. An SF-425 financial status report must be submitted for the funds awarded in each Federal fiscal year (FFY) within three months after the close of the FFY in which the funds were granted (interim report) and again within three months after the close of the subsequent FFY (final report). Performance monitoring is conducted through the Children and Family Services Review (CFSR) process in accordance with 45 CFR 1355.31 - 1355.37. Quarterly PSC-272. Interim review of progress toward accomplishment of the goals of the plan are due at the end of each of the first four fiscal years. Annual SF-425. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR Part 92.

#### **Records:**

Grantees must develop and maintain records which permit review of expenditures in accordance with the provisions of 45 CFR Part 92.20 and 92.42.

#### **Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$281,744,000; FY 11 est \$281,744,000; and FY 12 est \$281,744,000

**Range and Average of Financial Assistance:**

States and Territories FY 11: \$147,885 to \$32,500,912 with an average of \$4,910,553;

Tribes: \$644 to \$417,267 with an average of \$36,196.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 213 grants were awarded. Fiscal Year 2011: In FY 2011, it is anticipated that 213 grants will be awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 213 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355 and 45 CFR 1357.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Contact Regional Child Welfare Program Managers, ACF. (See Appendix IV of the Catalog for a list of addresses of the Regional offices.).

**Headquarters Office:**

Eileen West 1250 Maryland Ave, SW, Washington, District of Columbia 20024

Email: eileen.west@acf.hhs.gov Phone: 202-205-8438

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

93.090 Guardianship Assistance; 93.556 Promoting Safe and Stable Families; 93.600 Head Start; 93.648 Child Welfare Services Training Grants; 93.658 Foster Care Title IV-E; 93.659 Adoption Assistance; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.647 SOCIAL SERVICES RESEARCH AND DEMONSTRATION FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XI, Section 1110, 42 U.S.C 1310.

**OBJECTIVES:**

To promote research and demonstrations related to the prevention and reduction of dependency or the administration and effectiveness of programs related to that purpose.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants, cooperative agreements, and contracts are awarded for innovative research, demonstrations, and evaluations that are responsive to the Administration for Children and Families' (ACF) program priorities. All applications must meet standards of excellence in research, demonstration, or evaluation design. Construction or the purchase of real estate are not allowable under these grants or contracts. Further, these funds may not be used to supplement the cost of program operations otherwise capped under the law. Organizations may not use funds under these grants or contracts to engage in inherently religious activities, such as worship, religious instructions, or proselytizing. In addition, an organization receiving ACF funds shall not, in providing ACF-funded services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which include the prohibition against Federal funding of inherently religious activities, as well as provisions related to nondiscrimination against religious organizations and the ability of religious organizations to maintain their religious character, can be found at either 45 CFR 87.1 or the HHS Web site at

<http://www.os.dhhs.gov/fbci/waisgate21.pdf>. Discretionary funding may be used for contracts or grants, including cooperative agreements, for the cost of research or demonstration projects, or which will aid in effecting coordination and planning between private and public welfare agencies or which will improve the effectiveness of programs carried on or assisted under the Social Security Act or related programs.

**Applicant Eligibility:**

Grants and cooperative agreements may be made to or with governmental entities, colleges, universities, nonprofit and for-profit organizations (if fee is waived), and faith-based and community organizations. Grants or cooperative agreements cannot be made directly to individuals. Contracts may be awarded to nonprofit or for-profit organizations.

**Beneficiary Eligibility:**

Children, youth, and families, especially low-income families, will benefit.

**Credentials/Documentation:**

Applicants must present written evidence of other agencies' willingness to cooperate when the project involves the use of other agencies, facilities, or services. Nonprofit organizations which have not previously received ACF program support must submit proof of nonprofit status. For State and local governments, costs will be determined in accordance with 45 CFR Part 92 and OMB Circular No. A-87. For other grantees, applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be able to find a synopsis of grant or cooperative agreement opportunities and apply electronically for opportunities via: [www.Grants.gov](http://www.Grants.gov). Applicants will also be able to find the complete text of grant announcements on the ACF web site located at: <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Financial Assistance Award (FAA). This provides the amount awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation. Official notice of an accepted contract proposal is made through award of a contract.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 365 days. Generally, solicited grants, cooperative agreements, and contracts will be acted upon within 120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Grant extensions and continuations are available if formally applied for and approved. If an application is recommended for approval for 2 or more years, the grantee must submit a formal request for a non-competitive continuation application each year accompanied by a progress report which will be evaluated prior to a recommendation of continuation. This process is not applicable to contracts.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.



**Length and Time Phasing of Assistance:**

Funds are granted on a 1- to 5-year basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. See the following for information on how assistance is awarded/released: Post award, our Division of Payment Management will establish an account from which a grantee may draw down awards. For additional information on this process see: [http://www.dpm.psc.gov/grant\\_recipient/new\\_grantee\\_information/hhs\\_grantee\\_info.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/new_grantee_information/hhs_grantee_info.aspx?explorer.event=true).

**Reports:**

No program reports are required. No cash reports are required. Grantees are required to submit performance progress reports (ACF-OGM-SF-PPR) throughout the project period. Performance progress reports are due 30 days after the reporting period. Final reports are due 90 days after the close of the project period. Reporting forms are available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). Grantees will be required to submit financial expenditure reports throughout the project period. Financial reports are due 30 days after the reporting period. Final financial reports are due 90 days after the close of the project period. Grantees use the Financial Status Report (FSR) SF-269 (long form) for required financial reporting. Reporting forms are available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR Part 92. Subsequent to audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$25,364,000; FY 11 est \$5,762,000; and FY 12 est \$8,762,000 - The Social Services Research and Demonstration funds (\$5.762M in FY10, FY11 and FY12) are focused on child well-being, welfare reform, employment strategies, and family formation. In addition, we funded \$17,610,000 in grants for one-time congressional projects under the Consolidated Appropriations Act, 2010 (Public Law 110-161). We anticipate funding \$0 for this purpose in FY 2011 and \$3M in FY 2012.

**Range and Average of Financial Assistance:**

\$2,500 to \$710,000; \$305.590.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, 69 grants and 14 contracts were awarded. Fiscal Year 2011: It is anticipated that funding for 2 grants and 14 contracts will be awarded in FY 2011. Fiscal Year 2012: It is anticipated that funding for 2 grants and 15 contracts will be awarded in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A variety of guidance on grants can be found at [www.Grants.gov](http://www.Grants.gov). Helpful information on contracts is available at [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Regional or Local Office:**

See Regional Agency Offices. Appropriate ACF Regional Administrator. (See Appendix IV of the Catalog for ACF Regional Offices.).

**Headquarters Office:**

Karl J. Koerper, Office of Planning, Research and Evaluation, Administration for Children and Families, 370 L'Enfant Promenade, SW, 7th Floor, West, Washington, District of Columbia 20447 Email: [Karl.Koerper@acf.hhs.gov](mailto:Karl.Koerper@acf.hhs.gov)

Phone: (202) 4014535.

**Website Address:**

<http://www.acf.hhs.gov/programs/opre>

**RELATED PROGRAMS:**

93.009 Compassion Capital Fund ; 93.558 Temporary Assistance for Needy Families; 93.595 Welfare Reform Research, Evaluations and National Studies; 93.648 Child Welfare Services Training Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: In fiscal year 2010 funding was provided to projects related to prevention or reduction of dependency or the administration of and effectiveness of programs related to that purpose. We also funded projects earmarked by Congress under the Omnibus Appropriations Act, 2010 (Public Law 111-117). Fiscal Year 2011: In fiscal year 2011 we anticipate continuing to fund projects related to prevention or reduction of dependency or the administration of and effectiveness of programs related to that purpose. Fiscal Year 2012: In fiscal year 2012 we anticipate continuing to projects related to prevention or reduction of dependency or the administration of and effectiveness of programs related to that purpose.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications may be funded in whole or in part depending on: (1) the ranked order of applicants resulting from competitive review; (2) staff review and consultations; (3) the combination of projects that best meet the information needs of the program; (4) the funds available; and (5) other relevant considerations. Typical criteria include project cost and budget justification, the qualification of the principal investigator and organization, the quality of approach and methodologies employed, and results and the programs objectives and results and benefits expected. Specific criteria for selecting recipients under individual funding announcements under this program are published in [www.Grants.gov](http://www.Grants.gov) for grant announcement and in the solicitation for requests for proposals published in [www.fedbizopps.gov](http://www.fedbizopps.gov) for contracts.

**93.648 CHILD WELFARE RESEARCH TRAINING OR DEMONSTRATION****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Section 426, 42 U.S.C. 626, as amended including, Section 429, 42 U.S.C 628b.

**OBJECTIVES:**

To support research and demonstration projects which are of national or regional significance and special projects for the demonstration of new methods which show promise of substantial contribution to the advancement of child welfare. To demonstrate the utilization of research in the field of child welfare to encourage experimental and special types of child welfare services. To provide professional education opportunities to prospective and current child welfare agency staff and to develop competency-based training curricula and special projects for training child welfare personnel in specific areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to accredited public or other nonprofit institutions of higher learning, public or other nonprofit agencies and/or organizations and to State or local child welfare agencies for specific projects for training prospective and current personnel for work in the field of child welfare, including trainee-ships with stipends; child welfare demonstration projects of national or regional significance; and for utilization of child welfare research to encourage experimental and special types of welfare services.

**Applicant Eligibility:**

Child Welfare research or demonstration projects of national or regional significance. Utilization of child welfare research to encourage experimental and special types of welfare services.

**Beneficiary Eligibility:**

Grants are made to accredited public or other nonprofit institutions of higher learning, public or other nonprofit agencies and/or organizations and to State or local child welfare agencies for specific projects for training prospective and current personnel for work in the field of child welfare, including trainee-ships with stipends; child welfare demonstration projects of national or regional significance; and for utilization of child welfare research to encourage experimental and special types of welfare services.

**Credentials/Documentation:**

Grants to educational institutions are made only to accredited institutions. Costs are determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. Nonprofit organizations must provide proof of nonprofit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Standard application forms, as furnished by HHS must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications made in the format provided by and at the time specified in the annual Funding Opportunity Announcements of the availability of funds.

**Award Procedure:**

Grants are awarded after review by a panel of mostly nonfederal persons, with final decision by the Commissioner, ACYF in the Headquarters office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 90 to 120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, 16.

**Renewals:**

Renewals and extensions are available through formal submission of progress reports and continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Duration is specified in announcement. See the following for information on how assistance is awarded/released: The manner of the assistance awarded and/or released is specified in the announcement.

**Reports:**

Program reports are not applicable. Submitted biannually: PSC - 272. Submitted biannually: SF - PPR. Submitted biannually: SF - 269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are required in accordance with the requirement in 45 CFR 74 and 92.

**Records:**

Financial and other records of the grant are to be kept 3 years after the termination of the grant or until audited, whichever comes first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$27,205,261; FY 11 est \$27,152,586; and FY 12 est \$27,207,000

**Range and Average of Financial Assistance:**

Grants ranged from \$250,000 to \$3,000,000 with the average award being \$1,939,470.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 13 grants were awarded. Fiscal Year 2011: It is estimated that 13 grants will be awarded. Fiscal Year 2012: It is estimated that 13 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, ACF.

**Headquarters Office:**

Randi Walters 1250 Maryland Avenue; 8th Floor, Washington, District of Columbia 20024 Email: randi.walters@acf.hhs.gov Phone: 202-205-5588

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.645 Child Welfare Services\_State Grants; 93.670 Child Abuse and Neglect Discretionary Activities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects of national and regional significance for the demonstration of new methods which show promise of substantial contribution to the advancement of child welfare. Specifically, six projects are implementing innovative intervention strategies, informed by relevant literature to reduce long-term stays in foster care and improve child outcomes. These projects are also rigorously evaluating these efforts to provide substantial information about the effectiveness of the programs, interventions, and practices implemented in reducing long-term foster care. Fiscal Year 2011: Data not available. Fiscal Year 2012: Data not available.

**CRITERIA FOR SELECTING PROPOSALS:**

An assessment is made of: (1) The degree to which the proposal shows promise of meeting specific objectives defined in the annual program announcement; (2) reasonableness of cost; and (3) qualifications of the applicant organization and staff, and (4) quality of the methodology.

**93.652 ADOPTION OPPORTUNITIES**

Adoption Opportunities

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Title II, Section 205; Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, as amended, Section II, Public Law 111-320, The CAPTA Reauthorization Act of 2010., Public Law 111-8, 42 U.S.C 5111 et. seq.

**OBJECTIVES:**

To eliminate of barriers, including geographic barriers, to adoption and to provide permanent, loving home environments for children who would benefit from adoption, particularly children with special needs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To award grants and contracts to: (1) conduct an education and training program on adoption and prepare, publish and disseminate information and education and training materials regarding adoption, adoption assistance and post-legal adoption services; (2) conduct extensive recruitment efforts on a national level to promote the adoption of children with special needs and develop a national public awareness effort to unite children in need of adoption with appropriate adoptive parents; (3) to operate a national adoption information exchange system; (4) provide technical assistance to programs

related to the adoption of special needs children and promote professional leadership training of minorities in the adoption field; (5) encourage corporations and small businesses to establish adoption benefit programs for employees who adopt children; (6) support placement of children in kinship care arrangements, preadoptive or adoptive homes; (7) increase the effective use of public or private agencies for the recruitment of potential adoptive and foster families and to provide assistance in the placement of children for adoption, especially special needs children; (8) consult with other appropriate Federal departments and agencies to promote the maximum coordination of services relating to adoption; (9) maintain a National Resource Center for Special Needs Adoption; (10) provide programs to increase the numbers of minority children placed in adoptive families with a special emphasis on recruitment of minority families; and (11) provide programs to increase the number of older children placed in adoptive families.

**Applicant Eligibility:**

Grants or Contracts: State, local government entities, public or private licensed child welfare or adoption agencies or community based other organizations, or adoptive family groups, minority groups, sectarian institutions.

**Beneficiary Eligibility:**

Children who are in foster care with the goal of adoption, especially children with special needs, that is, children who are older, minority children and infants and toddlers with disabilities who have a life-threatening condition.

**Credentials/Documentation:**

Nonprofit organizations which have not previously had Office of Management Services or ACF support must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined by 45 CFR 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Limited consultation available at Headquarters Office. The standard application forms as furnished by DHHS must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted to the Administration on Children, Youth and Families' (ACYF) Operations Center listed in the program announcement.

**Award Procedure:**

After review and recommendation by a nonfederal panel, the Commissioner, ACYF, makes final decision.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Determined annually and specified in the annual program announcement which is posted to Grants.gov.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Renewals are available for multi-year grants through formal submission of progress reports and continuation applications. Funding for multi-year grants is provided on an annual basis.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula or matching requirements; however, administratively-required matching is described in the annual program announcement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may extend from 3 to 5 years. Average duration is expected to be 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. PSC-272. Semi-annual progress reports. Final progress report due 90 days after completion of grant. Semi-annual financial reports. Final financial report due 90 days after completion of grant. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Grantees are required to keep financial and other grant records for 3 years after the completion of the grant or completion of audit whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$26,379,000; FY 11 est \$39,253,000; and FY 12 est \$39,332,000

**Range and Average of Financial Assistance:**

\$250,000 to \$1,800,000 with an average of \$475,655.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, 28 grants were awarded. Fiscal Year 2011: It is anticipated that 42 grants will be awarded in FY 2011. Fiscal Year 2012: It is anticipated that 42 grants will be awarded in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Priority statements, application information and submission deadline available at no charge.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jan Shafer 1250 Maryland Avenue, SW; 8th Floor, Washington, District of Columbia 20024 Email: jan.shafer@acf.hhs.gov Phone: 202-205-8172 Fax: 202-260-9345

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

An assessment is made of: (1) The degree to which proposal shows promise of meeting specific objectives defined in a program announcement; (2) innovation and advancement of the field, (3) reasonableness of cost; and (4) qualification of staff.

**93.658 FOSTER CARE\_TITLE IV-E**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV-E, Section 470, et seq.; as amended.

**OBJECTIVES:**

The Title IV-E Foster Care program helps States, Indian Tribes, Tribal organizations and Tribal consortia (Tribes) to provide safe and stable out-of-home care for children under the jurisdiction of the State or Tribal child welfare agency until the children are returned home safely; placed with adoptive families, or placed in other planned arrangements for permanency.

The program provides funds to assist with the costs of foster care maintenance for eligible children; administrative costs to manage the program; and training for public agency staff, foster parents and certain private agency staff. In addition, \$3 million is reserved for technical assistance and plan development/implementation grants to eligible Tribes beginning in FY 09.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Formula grant funds may be used by the State or local (under State supervision) child welfare agency or by the Tribal child welfare agency for FFP in foster care maintenance payments on behalf of eligible children; for administrative and training costs; and for costs related to design, implement and operate a statewide data collection system. Funds may not be used for costs of social services such as those that provide counseling or treatment to ameliorate or remedy personal problem, behaviors, or home conditions for a child, the child's family, or the child's foster family. Plan development/implementation grants to Tribes are one-time grants for projects lasting up to 24 months that are to be used to develop a plan to operate a Title IV-E program for foster care, adoption assistance and kinship guardianship as specified under section 479B of Title IV-E. The Tribe must submit a plan for the Title IV-E program within 24 months of receiving the plan development grant or must repay the grant funds, unless the HHS Secretary waives the requirements under section 471 to carry out a program under section 479B. There is \$3 million reserved for technical assistance and plan development/implementation grants to eligible Tribes beginning in FY 09.

**Applicant Eligibility:**

States, the District of Columbia, and Puerto Rico, and Indian Tribes.

**Beneficiary Eligibility:**

Eligible children whose removal and placement in foster care are in accordance with a voluntary placement agreement or judicial determinations to the effect that continuation in the home would be contrary to the child's welfare and that reasonable efforts were made to prevent the removal (or that such efforts were not necessary), and whose placement and care are the responsibility of the State or Tribal agency administering the title IV-E program.

**Credentials/Documentation:**

Formula Grants: Costs are to be determined in accordance with OMB Circular No. A-87 and 45 CFR Part 92. Plan Development/Implementation Grants: Non-profit agencies must submit proof of non-profit status. Applicable costs and administrative procedures will be determined in accordance with 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Formula Grants: Consultation is available to States and Tribes from Regional Administration for Children and Families (ACF) offices. Plan Development/Implementation Grants: Standard application forms as furnished by HHS must be used. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Formula Grants: Applications (title IV-E plans) must be submitted to the ACF Regional Child Welfare Program Manager for approval using the standard application forms as furnished by HHS. Plan Development/Implementation Grants: Announcement of availability of funds for these grants is published on grants.gov and the ACF website, [www.acf.hhs.gov/grants/open](http://www.acf.hhs.gov/grants/open). Eligible applicants must submit applications by specified deadlines.

**Award Procedure:**

Formula Grants: Quarterly awards are made on the basis of estimated expenditures that are later revised accordingly to include only actual allowable expenditures. Estimates are due July 30, October 30, January 30, and April 30. Final decisions and awards are made by the Headquarters Office. Letter-of-credit is issued by the HHS Payment Management System (PMS). Plan Development/Implementation Grants: Applications are reviewed by professional Federal staff with expertise in child and family services, evaluation and related fields. Final decisions are made by the Commissioner,

Administration on Children, Youth and Families (ACYF).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Formula Grants: HHS approves or disapproves title IV-E plans within 45 days of receipt by HHS. Plan Development/Implementation Grants: HHS approves or disapproves within 3 to 6 months.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Awards remain effective without renewal but title IV-E plans may be amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: Statutory Formula: Funding is provided on an open-ended basis. FFP for foster care maintenance payments incurred by a title IV-E State agency is equal to the Federal medical assistance percentage (FMAP) rate for that State, i.e., the Federal share of payments is from 50 percent to 83 percent, depending on the State (Section 474(a)(1) and 1905(b) of the Social Security Act). FMAP rates are also temporarily enhanced by at least 6.2 percentage points through Section 5001 of Public Law 111-5, the American Recovery and Reinvestment Act of 2009 (ARRA). For Tribes, the applicable FMAP rate is the highest of either a separate FMAP rate calculated based on the Tribe's service population or the FMAP rate for any State in which the Tribe is located. Training of agency staff and other administrative expenditures are matched at 75 and 50 percent Federal share, respectively (Sec. 474(a) of the Social Security Act). Short term training provided to specified professional partners is subject to a special FFP rate that varies by fiscal year (60% FFP in FY 2010; 65% for FY 2011, 70% for FY 2012).

Plan Development/Implementation grants are available up to a maximum of \$300,000.

Matching Requirements: Formula Grants: The non-Federal share of program costs (difference between total cost and FFP) in each funding category constitutes the required match to be met by the title IV-E agency. Matching funds from State agencies must be appropriated monies raised from non-Federal revenue sources. Matching funds from Tribal agencies must also be appropriated monies, but may at the option of the Tribe include Federal funds specifically authorized by Federal statutes to be used as match for other Federal programs and, for a specified portion of administration and training costs only, in-kind expenditures (or contributions) from specified third party sources.

Plan Development/Implementation Grants: There is no matching requirement. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Formula Grants: Funds are paid quarterly through a letter of credit. Plan Development/Implementation Grants: Are provided on a one-time basis for generally 12 - 24 month project periods. Renewal funding for multiple year grants is dependent upon grantee performance and availability of funds. See the following for information on how assistance is awarded/released: See above.

**Reports:**

Plan Development/Implementation Grants: Financial and program reports are required in accordance with the program announcement. PSC-272. Progress reports are not applicable. Formula Grants: A report of expenditures and estimates (form CB-496) must be submitted 30 days after the end of each quarter. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 92.

**Records:**

Formula Grants: States and Tribes must maintain all financial and programmatic records that substantiate established eligibility, allocated indirect and direct costs, and awarded grants in accordance with requirements in HHS regulations at 45 CFR 92.42 and written guidance from ACF. Plan Development/Implementation Grants: All financial records are to be maintained for 3 years after termination of the project or until a required audit is completed, whichever comes first.

**Account Identification:**

75-1545-0-1-609 - ARRA grants: 75-1546-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$4,487,979,054; FY 11 est \$3,920,000,000; and FY 12 est \$4,288,000,000 - Additional ARRA grants: FY 2009 \$162,051,000; FY 2010 \$193,020,946; FY 2011 \$56,000,000.

**Range and Average of Financial Assistance:**

Formula Grants: FY 10: \$2,391,799 to \$1,203,442,674, with an average of \$88,851,711. Plan Development/Implementation Grants: Estimated as ranging from \$50,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: It is estimated that 52 grants will be made to states serving approximately 174,700 children. An additional 8 grants were made for tribal and other purposes. Fiscal Year 2011: It is estimated that 52 grants will be made to states serving approximately 168,200 children. An additional 11 grants will be made for tribal and other purposes. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355-1356.

**Regional or Local Office:**

See Regional Agency Offices. Consult Children's Bureau Regional Child Welfare Program Manager.(See Appendix IV of the Catalog for a list of addresses of the Regional Offices.).

**Headquarters Office:**

Jennifer Butler-Hembree 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Email: jennifer.butler-hembree@acf.hhs.gov Phone: 225-654-2527

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.560 Family Support Payments to States\_Assistance Payments; 93.599 Chafee Education and Training Vouchers Program (ETV); 93.645 Child Welfare Services\_State Grants; 93.659 Adoption Assistance; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.659 ADOPTION ASSISTANCE**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV-E, Section 470 et seq; as amended.

**OBJECTIVES:**

To provide Federal Financial Participation (FFP) to States, Indian Tribes, Tribal organizations and Tribal consortia (Tribes) in adoption subsidy costs for the adoption of children with special needs and who meet certain eligibility tests.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

All parents adopting special needs children are eligible for the nonrecurring

cost of adoption. Federal subsidy may be used only in support of the adoption of children who meet the definition of special needs as specified in the Statute. States and Tribes may receive Federal Financial Participation (FFP) only if title IV-E plans have been approved by the Secretary.

**Applicant Eligibility:**

Funds are available to States, the District of Columbia, and Puerto Rico, and to Tribes with approved title IV-E plans.

**Beneficiary Eligibility:**

Beneficiaries are children who are: (1) in Title IV-E foster care, eligible for AFDC (as in effect July 16, 1996) although this requirement is being phased out between 2010 and 2018, SSI recipients, the minor child living with his/her parent who is in title IV-E Foster Care; or was previously adopted and eligible for adoption assistance but the adoption dissolved or the adoptive parents died and (2) have been determined by the State or Tribe to be special needs, e.g., a special factor or condition which makes it reasonable to conclude that they cannot be adopted without adoption assistance; a State or Tribe determination that the child cannot or should not be returned home; and a reasonable effort has been made to place the child without providing financial or medical assistance. FFP is available from the time of placement for adoption in accordance with State, local or Tribal law or final adoption decree to age 18 (21 if the State/Tribe finds that a disability means aid should continue) as long as the parent supports the child. No child adopted prior to the approval of the State or Tribal Title IV-E plan is eligible for FFP. No means test applies to adopting parents, but the amount of subsidy is agreed to by agency and parents and may be readjusted by joint agreement.

**Credentials/Documentation:**

The State or Tribe must submit an application for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Consultation to States and Tribes is available from Regional Offices of ACF, HHS. The standard application forms as furnished by HHS must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications (title IV-E plans) are submitted to the Regional Office (RO) of ACF.

**Award Procedure:**

Quarterly awards are made on the basis of estimated expenditures, which are later revised to include only actual allowable expenditures. Estimates are due July 30, October 30, January 30, and April 30. Final decisions and awards are made by the Headquarters Office. Letter-of-credit is issued by the HHS Payment Management System (PMS).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. HHS will approve/disapprove applications (State plans or amendments to them) within 45 days of receipt by HHS.

**Appeals:**

Refer to 45 CFR Part 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: FFP for adoption assistance is equal to the Federal medical assistance percentage (as defined in section 1905(b) of the Social Security Act and as temporarily enhanced through Section 5001 of Public Law 111-5, the American Recovery and Reinvestment Act of 2009 (ARRA) for the total expended for adoption assistance payments, 75 percent of training costs, and 50 percent of other administrative costs. Short term training provided to specified professional partners is subject to a special FFP rate that varies by

fiscal year (60% FFP in FY 2010; 65% for FY 2011, 70% for FY 2012).

**Matching Requirement:** The non-Federal Share of program costs (difference between total cost and FFP) in each funding category constitutes the required match to be met by the title IV-E agency. Matching funds from State agencies must be appropriated monies raised from non-Federal revenue sources. Matching funds from Tribal agencies must also be appropriated monies, but may at the option of the Tribe include Federal funds specifically authorized by Federal statutes to be used as match for other Federal programs and, for specified portion of administration and training costs only, in-kind expenditures (or contributions) from specified third party sources. FFP for adoption assistance is equal to the Federal medical assistance percentage (as defined in section 1905(b) of the Social Security Act) of the total expended for adoption assistance payments, 75 percent of training costs, and 50 percent of other administrative costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal financial participation is available to a State or Tribe operating under an approved title IV-E plan. Method of awarding/releasing assistance: quarterly.

**Reports:**

Other reports due as required by the Secretary. PSC-272. Progress reports are not applicable. A quarterly report of estimates and expenditures (form CB-496) is required 30 days after the end of the quarter. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 92.

**Records:**

States and Tribes must maintain records necessary for the proper and efficient operation of the program, including records of applications, determinations of eligibility, allocated and direct administrative and training costs, and the provision of financial assistance.

**Account Identification:**

75-1545-0-1-609 - ARRA grants: 75-1546-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$2,462,000,000; FY 11 est \$2,480,000,000; and FY 12 est \$2,495,000,000 - ARRA grants in FY 2011 are estimated at \$63,000,000.

**Range and Average of Financial Assistance:**

FY 10: \$988,114 to \$441,830,538 with an average of \$47,852,937.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 54 grants were awarded with an estimated 434,300 children per month assisted. Fiscal Year 2011: It is estimated that 57 grants will be made in fiscal year 2011 with an estimated 445,700 children per month assisted. Fiscal Year 2012: It is estimated that 61 grants will be made in fiscal year 2012 with an estimated 445,700 children per month assisted.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355-1356.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, ACF, HHS in the appropriate Regional Office. (See Appendix IV of the Catalog for a list of addresses of the Regional Offices.).

**Headquarters Office:**

Eileen West 1250 Maryland Ave, SW; 8th Floor, Washington, District of Columbia 20024 Email: eileen.west@acf.hhs.gov Phone: 202-205-8438

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.652 Adoption Opportunities; 93.658 Foster Care\_Title IV-E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.667 SOCIAL SERVICES BLOCK GRANT**

SSBG Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XX, as amended; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Jobs Training Bill, Public Law 98-8 and 473; Medicaid and Medicare Patient and Program Act of 1987; Omnibus Budget Reconciliation Act of 1987, Public Law 100-203; Family Support Act of 1998, Public Law 100-485; Omnibus Budget Reconciliation Act of 1993, Public Law 106-66, 42 U.S.C 1397 ET seq.

**OBJECTIVES:**

To enable each State to furnish social services best suited to the needs of the individuals residing in the State. Federal block grant funds may be used to provide services directed toward one of the following five goals specified in the law: (1) To prevent, reduce, or eliminate dependency; (2) to achieve or maintain self-sufficiency; (3) to prevent neglect, abuse, or exploitation of children and adults; (4) to prevent or reduce inappropriate institutional care; and (5) to secure admission or referral for institutional care when other forms of care are not appropriate. In addition, special funding was provided to some states in fiscal year 1995 and 1996 for supplemental SSBG grants in support comprehensive of community revitalization projects in 104 federally designated Empowerment Zones (EZs) and Enterprise Communities (ECs). The supplemental funding is called "EZ/EC SSBG." The States, through the designated localities, may use the EZ/EC SSBG funds for activities included in each locality's strategic plan for comprehensive revitalization and directed toward goals 1,2 or 3 listed above. These funds will remain available until December 21, 2004. Information about this component of the SSBG is included below as appropriate.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds may be used by States for the proper and efficient operation of social service programs. Except for items (1) and (4) below, for which a waiver from the Secretary may be requested, Federal funds cannot be used for the following: (1) The purchase or improvement of land, or the purchase, construction, or permanent improvement of any building or other facility; (2) the provision of cash payments for costs of subsistence or the provision of room and board (other than costs of subsistence during rehabilitation, room and board provided for a short term as an integral but subordinate part of a social service, or temporary shelter provided as a protective service); (3) the payment of wages to any individual as a social service (other than payment of wages to welfare recipients employed in the provision of child day care services); (4) the provision of medical care (other than family planning services, rehabilitation services or initial detoxification of an alcoholic or drug dependent individual) unless it is an integral but subordinate part of a social service for which grants may be used; (5) social services (except services to an alcoholic or drug dependent individual or rehabilitation services) provided in and by employees of any hospital, skilled nursing facility, intermediate care facility, or prison, to any individual living in such institution; (6) the provision of any educational service which the State makes generally available to its residents without cost and without regard to their income; (7) any child day care service unless such service meets applicable standards of State and local law; (8) the provision of cash payments as a service; or (9) for payment for any item or service (other than an emergency item or service) furnished by an individual or entity during the period when such individual or entity is excluded pursuant to Section 1128 or Section 1128(A) of the Social Security Act from participation in this

program; or at the medical direction or on the prescription of a physician during the period when the physician is excluded based on Section 1128 or 1128(A) from participation in the program and when the person furnishing such item or service knew or had reason to know of the exclusion (after a reasonable time period after reasonable notice has been furnished to the person). A State may transfer up to 10 percent of its allotment for any fiscal year to the preventive health and health services, alcohol and drug abuse, mental health services, maternal and child health services, and low-income home energy assistance block grants.

**Applicant Eligibility:**

The 50 States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, and American Samoa.

**Beneficiary Eligibility:**

Under Title XX, each eligible jurisdiction determines the services that will be provided and the individuals that will be eligible to receive services.

**Credentials/Documentation:**

Prior to expenditure of funds, the State must report on the intended use of the payments the State is to receive, including information on the types of activities to be supported and the categories or characteristics of individuals to be served. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of a pre-expenditure report application is required.

**Award Procedure:**

States are awarded funds quarterly.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

See 45 CFR, Part 16, Procedures of the Departmental Appeals Board.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Chapter 96.71, Part 96, Subpart G, Public Law 97-35. Provides the requirements for the statutory formula and administrative rule.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded quarterly on a fiscal year basis. The Electronic Transfer System will be used based on quarterly grant awards for monthly cash draws from Federal Reserve Banks. The funds will remain available for projects and programs in the designated localities until December 21, 2004. Method of awarding/releasing assistance: quarterly.

**Reports:**

An annual report is required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to maintain records documenting the purposes for which expenditures were made.

**Account Identification:**

75-1534-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$1,700,000,000; FY 11 est \$1,700,000,000; and FY 12 est \$1,700,000,000

**Range and Average of Financial Assistance:**

\$48,518 to \$206,071,998 ; \$29,824,563.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 57 grants were awarded in FY 2010. Fiscal Year 2011: It is anticipated that 57 grants will be awarded in FY 2011. Fiscal Year 2012: It is anticipated that 57 grants will be awarded in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96.

**Regional or Local Office:**

See Regional Agency Offices. Local Office: Not applicable. Regional Office: Office of Community Services Regional Liaisons in the Office of the Regional Administrator. (See Appendix IV of the Catalog for Regional Offices.)

**Headquarters Office:**

Seth Hassett 901 D Street, S.W., 5th Floor - Room 5A165, Washington, District of Columbia 20447 Email: seth.hassett@acf.hhs.gov Phone: 202-401-2333

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/ssbg>.

**RELATED PROGRAMS:**

93.044 Special Programs for the Aging Title III, Part B Grants for Supportive Services and Senior Centers; 93.045 Special Programs for the Aging Title III, Part C Nutrition Services; 93.600 Head Start; 93.630 Developmental Disabilities Basic Support and Advocacy Grants; 93.645 Child Welfare Services State Grants; 93.647 Social Services Research and Demonstration; 93.658 Foster Care Title IV-E; 93.669 Child Abuse and Neglect State Grants; 93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters Grants to States and Indian Tribes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All States, the District of Columbia, and the five other jurisdictions will receive their share of funds if they submit a pre-expenditure report that meets the requirements.

**93.669 CHILD ABUSE AND NEGLECT STATE GRANTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse Prevention and Treatment Act (CAPTA), as amended, Section 106, 42 U.S.C 5101 et seq.

**OBJECTIVES:**

To assist States in the support and improvement of their child protective services systems.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The CAPTA Basic State Grant is a formula grant to States only, to be used for improving child protective services systems.

States can choose from a wide variety of activities as outlined in the legislation.

Each State must submit a new State plan for the fiscal year (FY) 2011 grant funds specifying which of the 14 program areas described in section 106(a) of the CAPTA. Examples include the intake, assessment, screening, and

investigation of reports of abuse and neglect; creating and improving the use of multidisciplinary teams and interagency protocols to enhance investigations; improving legal preparation and representation, case management; developing, improving, and implementing risk and safety assessment tools and protocols; developing and updating systems of technology; training regarding research-based strategies to promote collaboration with the families, legal duties of such individuals and personal safety training for case workers; improving the skills, qualifications, and availability of individuals providing services to children and families, and the supervisors of such individuals; developing and delivering information to improve public education relating to the role and responsibilities of the child protection system and the nature and basis for reporting suspected incidents of child abuse and neglect; supporting and enhancing interagency collaboration between the child protection system and the juvenile justice system for improved delivery of services and treatment; supporting and enhancing collaboration among public health agencies, the child protection system, and private community-based programs to provide child abuse and neglect prevention and treatment services (including linkages with education systems) and to address the health needs, including mental health needs, of children identified as abused or neglected, including supporting prompt, comprehensive health and developmental evaluations for children who are the subject of substantiated child maltreatment reports, or developing and implementing procedures for collaboration among child protective services, domestic violence services, and other agencies in investigations, interventions, and the delivery of services and treatment provided to children and families, including the use of differential response, where appropriate and the provision of services that assist children exposed to domestic violence, and that also support the caregiving role of their non-abusing parents.

**Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands, American Samoa, the Republic of Palau, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

There are no eligibility requirements attached to the beneficiaries of these funds (abused and neglected children and their families).

**Credentials/Documentation:**

State plans require certification of the State's eligibility under Section 106(b) of the authorizing legislation. Applicable costs and administrative procedure will be determined in accordance with 45 CFR 74 and 92.

In order to be eligible for the Basic State Grant under CAPTA, there are a variety of assurances that the governor must provide in the form of a certification that the State has in effect and is enforcing a State law, or has in effect and is operating a statewide program.

To the extent practicable, States are encouraged to participate in submitting data to the National Child Abuse and Neglect Data System (NCANDS) project. The Children's Bureau (CB) produces an annual national data report, the most recent of which is entitled Child Maltreatment 2009.

Assurances include provisions or procedures on reporting child abuse and neglect; the intake, assessment, screening, and investigation of reports of abuse and neglect; an appeals process; policies and procedures (including appropriate referrals to child protection service systems and for other appropriate services) to address the needs of substance exposed newborns; provisions for immunity for individuals making good faith reports; confidentiality of all records to protect the rights of the child and of the child's parents or guardians; disclosure provisions including those which allow for public disclosure of the findings or information about the case of child abuse or neglect which has resulted in a child fatality or near fatality; procedures to promptly expunge unsubstantiated records; provisions for appointment of a guardian ad litem or Court appointed special advocates (CASA) to represent the child in judicial proceedings; expedited termination of parental rights in the case of any infant determined to be abandoned under State law; provisions and procedures for improving the training, retention, and supervision of caseworkers; processes for referral of a child under the age of 3 who is involved in a substantiated case of child abuse or neglect to early intervention services funded under part C of the Individuals with Disabilities Education Act; provisions for requiring criminal background

checks for prospective foster and adoptive parents and other adult relatives and non-relatives residing in the household; procedures for responding to medical neglect; prevention efforts, caseworker training, community education, and the establishment of Citizen Review Panels. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Technical assistance is available at the regional level to assist States in meeting conditions specified in the Act. The State plan application and approval process under CAPTA is consolidated with the comprehensive Child and Family Services Plan under Title IV-B of the Social Security Act. The State plan may be submitted in a format best suited to a State's need and must be accompanied by the information, certifications, assurances, and documentation required by the annual program instruction. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State plans and updates must be submitted to the Regional Offices. Complete information is furnished annually to the appropriate State office regarding format and timing of State plan applications and updates.

**Award Procedure:**

State plans and updates are reviewed at the Regional level; Children's Bureau Associate Commissioner has approval/disapproval authority for these grants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 2 to 3 months.

**Appeals:**

Other - Not Specified.

**Renewals:**

Grants are made annually. States submit a plan and annual updates are required each year.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded annually. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Financial data and annual reporting requirements are describe in the annual Program Instructions.. No progress reports are required. Funds under CAPTA must be expended within five years of the end of the FY in which granted. States are required to submit the SF-425 fiscal report for CAPTA at the end of each 12 months (October 1 through September 30) of the the five-year expenditure period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be kept in accordance with 45 CFR Parts 74 and 92.



**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$23,353,000; FY 11 est \$26,482,000; and FY 12 est \$26,535,000

**Range and Average of Financial Assistance:**

In FY 2010, grants ranged from \$55,608 to \$3,011,330 with an average award of \$472,892.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 56 grants were awarded. Fiscal Year 2011: It is anticipated that 56 grants will be awarded in FY 2011. Fiscal Year 2012: It is anticipated that 56 grants will be awarded in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulation 45 CFR 1340; annual Program Instruction.

**Regional or Local Office:**

See Regional Agency Offices. Children's Bureau Regional Program Managers.

**Headquarters Office:**

Gail Collins 1250 Maryland Avenue, SW; 8th Floor, Washington, District of Columbia 20024 Email: gail.collins@acf.hhs.gov Phone: 202-205-8552

**Website Address:**

<http://www.acf.dhhs.gov/programs/cb>

**RELATED PROGRAMS:**

93.600 Head Start; 93.643 Children's Justice Grants to States; 93.645 Child Welfare Services\_State Grants; 93.667 Social Services Block Grant; 93.670 Child Abuse and Neglect Discretionary Activities; 93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Grants to States and Indian Tribes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

States which submit State plans and updates in accordance with the annual updates and statutory requirements.

**93.670 CHILD ABUSE AND NEGLECT DISCRETIONARY ACTIVITIES  
FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse Prevention and Treatment Act of 1978, Title I, as amended, Public Law 111-320, The CAPTA Reauthorization Act of 2010., 42 U.S.C 5101 et seq.

**OBJECTIVES:**

To improve the national, State, community and family activities for the prevention, assessment, identification, and treatment of child abuse and neglect through research, demonstration, service improvement, evaluation of best practices, dissemination of information, and technical assistance.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To award grants and contracts to : (1) Provide technical assistance to public and private nonprofit agencies; (2) conduct research and service demonstration projects to identify, assess, prevent and treat child abuse and neglect, which may include the nature and scope of effective practices relating to differential response, child abuse and neglect issues facing Native American, Alaskan Native and Native Hawaiians, the impact of child abuse and neglect on the incidence and the progression of disabilities; effective approaches to interagency collaboration between child protection , juvenile justice and domestic violence providers; (3)research into the incidence, consequences and prevalence of child abuse and neglect, and (4) disseminate information on the incidence, causes, prevention and treatment of child abuse and neglect which may include the dissemination of best practices to meet the needs of special populations.

**Applicant Eligibility:**

Grants: States, local governments, tribes, public agencies or private agencies or organizations (or combinations of such agencies or organizations)engaged in activities related to the prevention, identification, and treatment of child abuse and neglect. Contracts: Public and private agencies.

**Beneficiary Eligibility:**

Abused and neglected children and their families.

**Credentials/Documentation:**

Nonprofit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Standard application forms as furnished by the U.S. Department of Health and Human Services (HHS) must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcement of availability of funds is published on [grants.gov](http://grants.gov) and the ACF web-site, [www.acf.hhs.gov/grants/open](http://www.acf.hhs.gov/grants/open). Eligible applicants must submit applications by specified deadlines.

**Award Procedure:**

Grant applications are reviewed by a panel of nonfederal professionals with expertise in the child abuse and neglect field. Final decisions are made by the Commissioner, Administration for Children, Youth and Families (ACYF). Contract proposals are reviewed by a panel of Federal staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines change from year to year. Each program announcement provides specific deadline information. Contact Headquarters Office for details.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Some projects are awarded with a provision for non-competitive renewal. Most grants are one-time awards. Renewals may be subject to a competitive process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements are described in each program announcement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are generally available for a 12, 24, 36 or 60-month period. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are required semiannually with a final report at completion of the project. PSC-272. No progress reports are required. Financial reports are required semiannually with a final report at completion of the project. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$25,439,419; FY 11 est \$25,793,000; and FY 12 est \$29,020,000 - The Fiscal Year 2011 estimate does not include Congressional Earmarks, which may be appropriated annually.

**Range and Average of Financial Assistance:**

\$199,991 to \$2,000,000 with an average award of \$847,981.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 30 grants were awarded. Fiscal Year 2011: It is estimated that 45 grants will be awarded in FY 2011. Fiscal Year 2012: It is estimated that 53 grants will be awarded in FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1340.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jan Shafer Research and Innovation Division, Children's Bureau, 1250 Maryland Ave, SW; 8th Floor, Washington, District of Columbia 20024 Email: jan.shafer@acf.hhs.gov Phone: (202) 205-8172.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.600 Head Start; 93.643 Children's Justice Grants to States; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the basis of the degree to which proposals meet specific objectives defined in the annual program announcement including, but not limited to: (1) Reasonableness of cost; (2) qualifications of staff; and (3) relevance to stated areas of interest.

**93.671 FAMILY VIOLENCE PREVENTION AND SERVICES/GRANTS FOR BATTERED WOMEN'S SHELTERS\_ GRANTS TO STATES AND INDIAN TRIBES**

Family Violence Prevention and Services Act Formula Grants for States and Indian Tribes

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Section 310 of the Family Violence Prevention and Services Act, as amended by Section 201 of the CAPTA Reauthorization Act of 2010, Pub. L. 111-320., Public Law 111-320, 42 U.S.C 10401-10421.

**OBJECTIVES:**

To assist States and Indian Tribes in efforts to increase public awareness about, and primary and secondary prevention of, family violence, domestic violence, and dating violence; and assist States and Indian Tribes in efforts to provide immediate shelter and supportive services for victims of family violence, domestic violence, or dating violence, and their dependents.

**TYPES OF ASSISTANCE:**

**FORMULA GRANTS**

**USES AND USE RESTRICTIONS:**

Federal funds are used by States for grants to local public agencies and nonprofit private organizations to: prevent incidents of family violence, domestic violence, and dating violence; to provide immediate shelter, supportive services, and access to community-based programs for victims of family violence, domestic violence, or dating violence, and their dependents; and, to provide specialized services for children exposed to family violence, domestic violence, or dating violence, underserved populations, and victims who are members of racial and ethnic minority populations. Tribal funds are used to prevent incidents of family violence, domestic violence, and dating violence and to provide immediate shelter and supportive services to victims of family violence, domestic violence and dating violence. Grants to tribes are also used for specialized services for children exposed to domestic violence and access to community-based programs for victims of family violence, domestic violence, or dating violence. States must give special emphasis to the support of community-based projects of demonstrated effectiveness carried out by nonprofit private organizations, particularly those projects where the primary purpose is to operate shelters for victims of family violence, domestic violence, and dating violence, and their dependents, or those which provide counseling, advocacy, and self-help services to victims of family violence, domestic violence, and dating violence and their dependents. States and Indian Tribes may not impose an income eligibility standard on individuals receiving services supported by funds appropriated under this Act and Federal funds may not be used as direct payment to any victim of family violence, domestic violence, or dating violence. The receipt of supportive services under this title shall be voluntary. No condition may be applied for the receipt of emergency shelter as described in subsection (b)(1)(A) of this title. No less than 70 percent of the funds distributed must be used for immediate shelter and supportive services, and no less than 25 percent for supportive services.

**Applicant Eligibility:**

The 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, and federally recognized Indian Tribes.

**Beneficiary Eligibility:**

This program will benefit victims of family violence, domestic violence, and dating violence, and their dependents.

**Credentials/Documentation:**

The Chief Executive Officers of the States and Tribally Designated Officials of Indian Tribes must submit an application for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR, Parts 74 and 92. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applications must be submitted to the Administration on Children, Youth and Families. No standard application forms are required. Specific instructions are published via the Internet at the following website:  
<http://www.acf.hhs.gov/grants>.

**Award Procedure:**

Formula grants are awarded directly to States, U.S. territories and insular areas, and eligible Indian Tribes.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

See 45 CFR, Part 16, Procedures of the Department Appeals Board.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Part 1370, Subpart H. (1) Each State shall be allotted for payment in a grant authorized under section 303(a), \$600,000, with the remaining funds to be allotted to each State in an amount that bears the same ratio to such remaining funds as the population of such State bears to the population of all States; (2) Guam, American Samoa, the United States Virgin Islands, and the Commonwealth of the Northern Mariana Islands shall be allotted not less than one eighth of 1 percent of the amounts available for grants under section 303 (a) for the fiscal year for which the allotment is made; and (3) to carry out section 303 (b) the Secretary shall make available not less than 10 percent of such amounts to make grants to Indian Tribes, tribal organizations and nonprofit private organizations approved by an Indian Tribe. No grant may be made to any entity other than a State or an Indian Tribe unless the entity agrees that, with respect to costs to be incurred by the entity in carrying out the program or project for which the grant is awarded, the entity will make available non-Federal contributions in an amount that is not less than \$1 for every \$5 of Federal funds provided under the grant. The non-Federal share may be cash or in-kind, but may not include any Federal Funds other than provided under this title.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

State allocations must be (expended) by States and Indian tribes by the end of the fiscal year following the fiscal year in which the grant was received.

Method of awarding/releasing assistance: lump sum.

**Reports:**

The Administration for Children and Families is required to submit a biennial Family Violence Prevention and Services Program Report to Congress. Cash reports are not applicable. Grantees are required to submit an annual Performance Progress Report within 90 days following the end of the fiscal year. Grantees must submit annual Financial Status Reports. Performance progress reports are required and selected grantees may be identified for site visits by federal program officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Grantees are required to maintain records documenting the purposes for which expenditures were made. Requirements are found in 45 CFR 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$104,041,600; FY 11 est \$104,021,600; and FY 12 est \$10,703,120 - FY10 \$12,978,608 (Tribal) and \$89,180,988 (States); FY11 \$12,979,190 (Tribal) and \$90,854,327 (States); and, in FY12 est \$13,505,200 (Tribal) and \$94,536,400 (States).

**Range and Average of Financial Assistance:**

States FY10: \$719,696 to \$7,681,641; Indian Tribes FY10: \$26,232 to \$2,295,289.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 255 grants were awarded. Fiscal Year 2011: In FY 2011, 251 grants will be awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 251 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations codified in 45 CFR 1300. Final Rulemaking was published February 22, 1996, at 45 CFR 1370.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marylouise Kelley 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: marylouise.kelly@acf.hhs.gov Phone: 202-401-5756

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.044 Special Programs for the Aging Title III, Part B Grants for Supportive Services and Senior Centers; 93.556 Promoting Safe and Stable Families; 93.612 Native American Programs; 93.645 Child Welfare Services State Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each State and eligible jurisdiction, including eligible federally-recognized Indian Tribes, will receive its respective share of funds if the application submitted meets the necessary requirements.

**93.674 CHAFEE FOSTER CARE INDEPENDENCE PROGRAM (CFCIP)****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part E, Section 477; 103-66, 106-169 and 110-351; as amended.

**OBJECTIVES:**

To assist States and eligible Indian Tribes in establishing and carrying out programs designed to assist foster youth likely to remain in foster care until 18 years of age, youth who leave foster care for adoption or kinship guardianship after attaining age 16, and youth who have left foster care because they attained 18 years of age and have not yet attained 21 years of age, to make the transition from foster care to self-sufficiency.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to assist youth: to make the transition to self-sufficiency; to receive education, training and related services; to prepare for and obtain employment; to prepare for and enter postsecondary training and educational institutions; to provide personal and emotional support to youth through mentors and the promotion of interactions with dedicated adults; and to provide financial, housing, counseling, employment, education, other appropriate support and services to current and former foster care recipients up to the age of 21.

**Applicant Eligibility:**

State governments, including the 50 States, the District of Columbia and Puerto Rico (hereafter "States"), and eligible Indian Tribes, Indian Tribal organizations or Indian Tribal consortia (hereafter "Tribes").

**Beneficiary Eligibility:**

Children and youth who are likely to remain in foster care until age 18, youth who left foster care to adoption or kinship guardianship after attaining age 16, and former foster care recipients up to age 21.

**Credentials/Documentation:**

Costs will be determined in accordance with 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A five-year State or Tribal plan must be submitted with annual updates. The plan must coordinate the provision of services under the State's or Tribe's Chafee Foster Care Independence Program with services under other Federal or Federally-assisted programs serving the same population. Plans are submitted to the appropriate Regional Child Welfare Program Manager in the appropriate ACF Regional Office.

**Award Procedure:**

Quarterly awards are made up to the amount of one-fourth of the State's annual allotment.

**Deadlines:**

Jun 30, 2010

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The plan or its annual update is due June 30 of each year. Approval/Disapproval is due September 30 of each year.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: States: Each State is allotted an amount of funds which bears the same ratio as the number of children in foster care in that State bears to the total number of children in foster care in all States in the most recent fiscal year for which such information is available. Data submitted by States into the Adoption and Foster Care Analysis and Reporting System's (AFCARS) national database will be used to calculate State allotments. The minimum payable amount to a State is \$500,000. See Section 477(c) of the Social Security Act.

Tribes: Tribes with an approved title IV-E plan to directly operate a title IV-E program or Tribes that have a title IV-E Tribal/State cooperative agreement or contract have the option to apply to receive CFCIP funds directly from the Secretary. Each Tribe with an approved plan is allocated an amount equal to the number of children in foster care under the responsibility of the Tribe (either directly or under supervision of the State) in the most recent fiscal year for which such information is available to the sum of the total number of children in foster care under the responsibility of the State within which the Tribe is located and the total number of children in foster care under the responsibility of all Indian Tribes in the State, that have an approved plan. Matching Requirements: Percent: 20%. The Federal government will pay 80 percent of the total amount of funds expended by the grantee up to the amount of Chafee Foster Care Independence Program funds allocated. The grantee must provide matching contributions to cover the additional 20 percent of the costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made quarterly on a fiscal year basis. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual updates to the State's or Tribe's plan. An SF-425 financial status report must be submitted for the funds awarded in each Federal fiscal year (FFY) within three months after the close of the FFY in which the funds were granted (interim report) and again within three months after the close of the subsequent FFY (final report). Cash reports are not applicable. Progress reports are not applicable. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Grantees must develop and maintain records which permit review of expenditures in accordance with the provisions of 45 CFR Part 92.20 and 92.42.

**Account Identification:**

75-1545-0-1-609.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$140,000,000; FY 11 est \$140,000,000; and FY 12 est \$140,000,000

**Range and Average of Financial Assistance:**

FY 2011 States: \$500,000 to \$18,990,900 with an average award of \$2,649,949.

FY 2011 Tribes: \$7,512 to \$61,126 with an average award of \$25,657.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 57 grants were awarded. Fiscal Year 2011: In FY 2011 it is anticipated that 57 grants and Training and Technical Assistance of approximately \$2.1 million. Fiscal Year 2012: In FY 2012 it is anticipated that 53 grants and Training and Technical Assistance of approximately \$2.1 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Instruction (PI): PI-ACYF-CB-PI-05-06, issued October 12, 2005; PI-ACYF-CB-10-08, issued April 20, 2010; PI-ACYF-CB-PI-10-09, issued April 20, 2010; PI-ACYF-CB-PI-10-10, issued June 7, 2010. PI-ACYF-CB-11-04, issued March 23, 2011; PI-ACYF-CB-PI-11-06, issued April 28, 2011.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional Administration for Children and Families. (See Appendix IV of the Catalog for addresses.).

**Headquarters Office:**

Catherine Heath 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Email: catherine.heath@acf.hhs.gov Phone: 202-690-7888

**Website Address:**

<http://www.acf.dhhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.550 Transitional Living for Homeless Youth; 93.556 Promoting Safe and Stable Families; 93.599 Chafee Education and Training Vouchers Program (ETV); 93.645 Child Welfare Services\_State Grants; 93.658 Foster Care\_Title IV-E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

States meeting requirements for entitlement funds will receive grants.

**93.676 UNACCOMPANIED ALIEN CHILDREN PROGRAM**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

William Wilberforce Trafficking Victims Protection Reauthorization Act of 2008, Section 235, Public Law 110-457, 122 Stat. 5074-5082, 8 U.S.C 1232; Homeland Security Act of 2002, Section 462, Public Law 107-296, 116 Stat. 2202-2205, 6 U.S.C 279.

**OBJECTIVES:**

The Unaccompanied Alien Children's program is designed to provide for the care and placement of unaccompanied alien minors who are apprehended in the U.S. by Homeland Security agents, Border patrol officers, or other law enforcement agencies and are taken into care pending resolution of their claims for relief under U.S. immigration law or release to adult family members or

responsible adult guardians. Resolution of their claims may result in release, granting of an immigration status (such as special immigrant juvenile or asylum), voluntary departure, or removal.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Funds may be used only for the purposes set forth in the grant and/or contract. Services may be provided only to unaccompanied alien children who are apprehended by agents of the Department of Homeland Security or referred by other federal agencies or departments.

**Applicant Eligibility:**

State and local governments, private non-profit organizations, and private for-profit organizations.

**Beneficiary Eligibility:**

Beneficiaries are unaccompanied alien children who are in Federal custody by reason of their immigration status.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications submitted in response to program announcements under this program will undergo a pre-review to determine if applicant is eligible for funding.

**Award Procedure:**

Applications found to be eligible for funding will undergo an evaluation by an independent review panel. In the case of emergency, staff will review on the basis of specific evaluation criteria to determine applicant qualification based upon published review criteria, quality of services to be rendered, and the likelihood of the program success.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The ORR Director may invite applications, if necessary, due to unusual and compelling urgency of unaccompanied alien children apprehended by law enforcement agents at the Department of Homeland Security or referred by other federal agencies or departments. Deadlines for applications are noted in notices of funds of availability. It is anticipated that the approval/disapproval time will not exceed 30 days in urgent situations and will not exceed 90 days in normal application situations.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon appropriations, grantee performance, and whether continuation of funding is in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made on an as needed basis and on an annual budget basis. Method of awarding/releasing assistance: lump sum.

**Reports:**

Final program reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are required. No cash reports are required. Monthly progress reports of placements are required.

Additional progress reports are required, usually on a quarterly or semi-annual basis, but sometimes more frequently. Federal Financial Reports (SF-425) are required, usually on a quarterly or semi-annual basis. Final financial status reports are also required at the end of the project period. ORR conducts programmatic and financial on-site monitoring of grantees for the purpose of ensuring that the grantee's service delivery program and financial management system meet the requirements and standards of the program. All grantees are visited at least once a year by Project Officer Staff, who regularly make site visits, monitor the care provider grantees, and make recommendations for non-compliance or improvements. ORR regularly requires reports on a daily, weekly, monthly, semi-annual, and annual basis for a variety of functions. In the event deficiencies or needs for improvement are indicated, the items are documented through monitoring reports and corrective action plans are required from the grantee.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits are made as part of the system of financial management and internal control to meet terms and conditions of grants, contracts, and other agreements. Nonprofit organizations receiving less than \$25,000 a year in Federal awards are exempt from federal audit requirements, but records must be available for review by appropriate officials of the Federal grantor agency or sub-granting entity.

**Records:**

Grant and contract recipients are required to keep all financial and program reports necessary for program review and audit during the project period and for three years after the end of the project period to ensure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-506.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$69,262,000; FY 11 est \$105,337,000; and FY 12 est \$132,870,000 - In addition to the current year funding levels for FY 2010 and FY 2011, ORR also obligated approximately \$52,000,000 of carryover funding in FY 2010 and \$21,000,000 of carryover funding in FY 2011 for grants.

**Range and Average of Financial Assistance:**

In FY 2010, award amounts ranged from \$400,000 to \$28,547,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 37 grants were awarded. The program served 8,984 children, including Haitian orphans displaced by the earthquake in Haiti. Fiscal Year 2011: In FY 2011, it is anticipated that 34 grants will be awarded. The program expects to serve approximately 8,200 children. Fiscal Year 2012: In FY 2012, it is anticipated that 31 grants will be awarded. The program expects to serve approximately 8,200 children.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program announcements can be found at <http://www.acf.hhs.gov/programs/orr>. All inquiries should be directed to the information contact listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jalyn Sualog 370 L'Enfant Promenade SW, 7th Floor East, Washington, District of Columbia 20447 Email: [Jalyn.Sualog@acf.hhs.gov](mailto:Jalyn.Sualog@acf.hhs.gov) Phone: (202) 401-4997 Fax: (202) 401-1022.

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.576

Refugee and Entrant Assistance\_Discretionary Grants; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The types of care provided included: shelter care facilities, staff-secure facilities, secure detention for children with criminal backgrounds, therapeutic group homes, group homes, residential treatment centers for children with severe and acute mental illness, short-term foster care, and long-term foster care. Fiscal Year 2011: Expected types of care include: shelter, staff-secure facilities, secure juvenile detention for children with criminal backgrounds, therapeutic staff-secure, group homes, residential treatment centers for children with severe and acute mental illness, short-term foster care, and long-term foster care. The program also funds post release services to provide referrals to community services and resources. Fiscal Year 2012: Expected types of care include: shelter, staff-secure facilities, secure juvenile detention for children with criminal backgrounds, therapeutic staff-secure, group homes, residential treatment centers for children with severe and acute mental illness, short-term foster care, and long-term foster care. The program also funds post release services to provide referrals to community services and resources.

**CRITERIA FOR SELECTING PROPOSALS:**

Notice of evaluation criteria for program funds can be found at <http://www.acf.hhs.gov/programs/orr>. Please refer to the Contact section for additional information.

**93.703 ARRA GRANTS TO HEALTH CENTER PROGRAMS**

ARRA Grants to Health Center Programs

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5., Public Law 111-5.

**OBJECTIVES:**

The American Recovery and Reinvestment Act of 2009 (ARRA) provided funds to support grants for the following purposes: (1) to establish new access points that will increase the number of underserved and uninsured persons with access to comprehensive primary and preventive health care (new access point); (2) to enable health centers to increase services at existing sites and to address spikes in demand to serve uninsured persons (increased demand for services); (3) to enable health centers to carry out alteration/repair/renovation projects; construction projects; health information technology and other equipment purchases (capital improvement projects); and (4) to support selected competitively-reviewed applications submitted by health centers to address significant and pressing capital improvement needs, including modernization, renovation and construction (facility improvement projects).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may not be used to make cash payments to intended recipients of services. Specific restrictions were applicable to specific opportunities and were specified in applicable award notices. See above.

**Applicant Eligibility:**

Eligible applicants for new access point funding were public and private non-profit entities, including tribal, faith-based and community based organizations that demonstrate the capability to effectively administer the grant. Eligibility for other opportunities were limited to currently-funded health centers (93.224).

**Beneficiary Eligibility:**

Population groups in medically underserved areas.

**Credentials/Documentation:**

Individual HRSA funding opportunity announcements issued under this CFDA program specified any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB

Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination was required for the new access points opportunity. An applicant under the new access opportunity was advised to consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Preapplication coordination was not required for the other opportunities. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are generally solicited by a program announcement in [www.hrsa.gov/grant](http://www.hrsa.gov/grant). Application were required electronically through [www.grants.gov](http://www.grants.gov).

Application and review procedures varied with the opportunity. Applications for new access points are subject to open competition. All currently-funded health centers were permitted to submit applications for increased demand for services and for capital improvement projects at funding levels targeted to each grantee based on that grantees current patient load.

**Award Procedure:**

All qualified applications were forwarded to an objective review committee if applicable to the opportunity. Based on the advice of the objective review committee, the HRSA program official with delegated authority was responsible for final selection and funding decisions. Notification was made in writing by a Notice of Award.

Applicants who were selected for funding may be required to respond in a satisfactory manner to conditions placed on their application before funding may proceed. Letters of notification do not provide authorization to begin performance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

After Notices of Grant Award are issued, funds are released after any applicable special conditions of the award are resolved to the satisfaction of the HRSA. After all conditions applicable to a project are resolved, funds are released in accordance with DHHS payment procedure. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Progress reports must be submitted quarterly for each applicable funded ARRA opportunity. Final Federal Financial Reports are due 90 days after the end of each applicable two-year budget/project period. Other reports/documentations/verifications that must be submitted based on the requirements of a specific opportunity are noted in the application grant award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$520,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range of assistance varies with the opportunity. Range in each case is for two year periods. Awards for new access points range from \$500,000 to \$1.3 million. Awards for increased demand for services range from \$101,000 to \$2.1 million. Awards for capital improvement projects range from \$250,000 to \$2,500,000. Awards for facility improvement projects range from \$800,000 to \$12,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: Program accomplishments are updated quarterly and made available on Recovery.gov. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Bureau of Primary Health Care 5600 Fishers Lane, Room 17-105, Rockville, Maryland 20857 Phone: 301-594-4110

**Website Address:**

<http://www.grants.gov>.

**RELATED PROGRAMS:**

93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Two of the four opportunities were assessed by objective review committees; the scoring criteria for these New Access Point and Facility Improvement Project applications were announced in advance in the funding opportunity announcement.

**93.706 AGING NUTRITION SERVICES FOR NATIVE AMERICANS**

Aging Nutrition Services for Native Americans

**FEDERAL AGENCY:**

Administration on Aging, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, as amended.; American Recovery and Reinvestment Act of 2009 , Public Law 111-5.

**OBJECTIVES:**

Under the American Recovery and Reinvestment Act of 2009 to provide grants to Native American Tribal Organizations and Native Hawaiian Organizations who are current grantees under Title VI of the Older Americans Act, as amended, to support nutrition services including nutritious meals, nutrition education and other appropriate nutrition services to maintain health, independence and quality of life. Meals may be served in a congregate setting or delivered to the home, if the older individual is homebound.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds are available through grants to eligible Indian Tribal Organizations and Native Hawaiian Organizations for services comparable to those provided under Title III. Services must include nutrition services, information and referral. Indian Tribes receive funds based on a formula that considers the number of eligible elder Indians sixty years of age or older represented by the tribal organizations with population ranges from 50-100, 101-200, 201-300, 301-400, 401-500, 501 to 1,500, and 1,501+. Indian Tribes receive funds based on a formula that considers the number of eligible elder Indians sixty years of age or older represented by the tribal organizations with population ranges from 50-100, 101-200, 201-300, 301-400, 401-500, 501 to 1,500, and 1,501+.

**Applicant Eligibility:**

Current Title VI Part A/B grantees eligible to apply for ARRA assistance to provide and expand nutrition services and create or retain jobs.

**Beneficiary Eligibility:**

Applicants must be current Title VI grantees.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations.

Applicant Eligibility: Tribal organizations of Indian tribes eligible for assistance under Section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b), which represent at least 50 Indians or Hawaiians 60 years of age or older. Applicants must demonstrate that they have the ability to deliver supportive and nutrition services.

Beneficiary Eligibility: Indians and Native Hawaiian elders who are 60 years of age and older, and in the case of nutrition services, their spouses. Tribes also have the authority to define Indians under 60 years of age as "older Indian" making them eligible for services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. No application is required. Current grant recipients under Title VI of the Older Americans Act will be awarded a grant to provide Nutrition Services. Awards will be made base upon the formula established.

**Award Procedure:**

Notification of award will be issued to the grantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeals are processed in accordance with Administration on Aging regulations in 45 CFR 1326 and 1328.

**Renewals:**

PROGRAM UNDER RECOVERY ACT NOT BEING RENEWED.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds for grants awarded will remain available until September 30, 2010. See the following for information on how assistance is awarded/released: payment management system.

**Reports:**

No program reports are required. Cash reports are not applicable. Required final SF425 and Performance Output Report. Reporting as required under ARRA (Public Law 111-5), M-09-10, and the OAA as amended. Reporting as required under ARRA (Public Law 111-5), M-09-10, the OAA as amended, quarterly Program Performance Report, quarterly SF 269 Financial Status Report, and any additional reports as cited in the Notice of Award. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Range from \$8,000 to \$22,000;

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: not available. Fiscal Year 2011: not available. Fiscal Year 2012: not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92, 45 CFR 1326, Public Law 111-5, M-09-10, NoA.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services Regional Offices.

**Headquarters Office:**

Meg Graves One Massachusetts Ave, NW , Washington, District of Columbia 20201 Email: Margaret.Graves@aoa.hhs.gov Phone: 202-357-3502

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.047 Special Programs for the Aging Title VI, Part A, Grants to Indian Tribes Part B, Grants to Native Hawaiians

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.708 ARRA - HEAD START**

HS, Recovery Act

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Head Start Act, as amended by the Improving Head Start for School Readiness Act of 2007, Public Law 110-134; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the school readiness of low-income children. The objective of the Head Start program is to enhance the cognitive, social and emotional development of low-income children through the provision of comprehensive health, educational, nutritional, social and other services and to involve parents in their childrens learning and to help parents make progress toward their educational, literacy and employment goals. Head Start also emphasizes the significant involvement of parents in the administration of their local Head Start programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

At least 90 percent of the enrollees in a program must be income eligible, i.e., from families whose income is below the poverty line, from families receiving public assistance, from homeless families or children in foster care. Programs can serve an additional 35 percent of participants with incomes up to 130 percent of poverty if they can demonstrate that they already are meeting the needs of children below the poverty line in the area served. American Indian and Alaska Native programs may enroll additional over-income children if they enroll all children in their service area that are income eligible and predominantly serve children meeting the low-income criteria. Training and technical assistance grants are available to Head Start programs. The State Advisory Council funds will be awarded as one-time startup grants of not less than \$500,000 to those states that submit an acceptable application, consistent with the requirements of Section 642B of the Head Start Act. See above.

**Applicant Eligibility:**

Program is no longer accepting grant applications.

**Beneficiary Eligibility:**

Program is no longer accepting grant applications.

**Credentials/Documentation:**

Program is no longer accepting grant applications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is no longer accepting applications. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is no longer accepting applications.

**Award Procedure:**

This program is no longer accepting applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Head Start grantees are required to



provide 20 percent of the total cost of the program, although this may be waived wholly or in part if certain conditions pertain. Matching share may be in cash or in-kind fairly evaluated. The Federal share of the cost of State Advisory Councils activities conducted under section 642B of the Head Start Act shall be 30 percent and the state must provide the non-Federal share of 70 percent.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds awarded under the authority of ARRA are available for obligation through September 30, 2010. Funds are released by monthly allowance on an Electronic Transfer System or by monthly check. Semiannual financial and annual program reports are required. See the following for information on how assistance is awarded/released: State Advisory Council grants will be awarded to the Governors office and awarded centrally by the Office of Head Start.

**Reports:**

Semiannual financial and annual program reports are required. Funded grantees must submit quarterly reports required by Section 1512 of the Recovery Act. No cash reports are required. No progress reports are required. Expenditure data is included as part of the quarterly reporting requirements of Section 1512 of the Recovery Act. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR, Parts 74 and 92.

**Records:**

Recipient must maintain information on children and families served, including income data to determine eligibility and data on services provided. Data should be kept for three years.

**Account Identification:**

75-1537-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$430,468,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$100,000-\$5,000,000; \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Recovery funds provided support services to an additional 13,000 children, which is the same as FY 2009. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chapter XIII of Title 45 Code of Federal Regulations, including 45 CFR 1301 1311. These are available electronically at the following ACF website: <http://eclkc.ohs.acf.hhs.gov/hslc/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements>

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Louise Eldridge, Regional Program Manager, Administration for Children and Families, Office of Head Start, Boston Regional Office, JFK Building, Rm. 2000, 15 New Sudbury Street, Boston, MA 02203. Telephone: (617) 565-1150.

Region II (NJ, NY, PI, VI):

Iran Rodriquez, Regional Program Manager, Administration for Children and Families, Office of Head Start, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 173.

Region III (DC, DE, MD, PA, VA, WV):

Nancy Elmore, Regional Program Manager, Administration for Children and

Families, Office of Head Start, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4048.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Marsha Lawrence, Regional Program Manager, Administration for Children and Families, Office of Head Start, Atlanta Regional Office, Atlanta Federal Center, 61- Forsyth Street, SW, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2841.

Region V (IL, IN, MI, MN, OH, WI):

Kay Willmoth, Regional Program Manager, Administration for Children and Families, Office of Head Start, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-7562.

Region VI (AR, LA, NM, OK, TX):

Susan Johnston, Regional Program Manager, Administration for Children and Families, Office of Head Start, Dallas Regional Office, 1301 Young Street, Room 914, Dallas, TX 75202. Telephone: (214) 767-8844.

Region VII (IA, KS, MO, NE):

Lynda Bitner, Regional Program Manager, Administration for Children and Families, Office of Head Start, Kansas City Regional Office, 601 East 12th Street, Rm. 276, Kansas City, MO 64106. Telephone: (816) 426-2275.

Region VIII (CO, MT, ND, SD, UT, WY)

Ross Weaver, Regional Program Manager, Administration for Children and Families, Office of Head Start, Denver Regional Office, 1961 Stout Street, Suite 924, Denver, CO 80294. Telephone: (303) 844-1106.

Region IX (AZ, CA, HI, NV):

Jan Len, Regional Program Manager, Administration for Children and Families, Office of Head Start, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8447.

Region X (AK, ID, OR, WA):

Nancy Hutchins, Regional Program Manager, Administration for Children and Families, Office of Head Start, Seattle Regional Office, 2201 Sixth Avenue, room 610 - M/S RX-70, Seattle, WA 98121. Telephone: (206) 615-3661.

**Headquarters Office:**

Colleen Rathgeb, 1250 Maryland Avenue, S.W., Washington, District of Columbia 20024 Email: [colleen.rathgeb@acf.hhs.gov](mailto:colleen.rathgeb@acf.hhs.gov) Phone: (202) 205-7378.

**Website Address:**

<http://www2.acf.dhhs.gov/programs/hsb>.

**RELATED PROGRAMS:**

93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: 1) Full-Year and Full-Day Head Start Programs; (2) Full-Year and Part-Day Head Start Programs; and (3) Part-Year and Part-Day Head Start Programs. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

The degree to which the proposed project will meet the Head Start Program Performance Standards located on the ACF website: <http://eclkc.ohs.acf.hhs.gov/hslc/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements> and other program objectives as specified in the program announcement.

**93.709 ARRA - EARLY HEAD START**

EHS, Recovery Act

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Head Start Act, as amended by the Improving Head Start for School Readiness Act of 2007, Public Law 110-134.

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the development of infant and toddler age children. The objective of the Early Head Start program is to enhance the cognitive, social and emotional development of low-income children, including children on federally recognized reservations and children of migratory farm workers, through the provision of comprehensive health, educational, nutritional, social and other services and to involve parents in their children's learning and to help parents make progress toward their educational, literacy and employment goals. Early Head Start also emphasizes the significant involvement of parents in the administration of their local Early Head Start programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

At least 90 percent of the enrollees in a program must be income eligible, i.e., from families whose income is below the poverty line, from families receiving public assistance, from homeless families or children in foster care. Programs may serve an additional 35 percent of participants with incomes up to 130 percent of poverty if they can demonstrate that they already are meeting the needs of children below the poverty line in the area served. American Indian and Alaska Native programs may enroll additional over-income children if they enroll all children in their services area that are income eligible and predominantly serve children meeting the low income criteria. Up to 10 percent of the funding is for training and technical assistance grants and up to 3 percent is for monitoring the program. See above.

**Applicant Eligibility:**

Program is no longer accepting applications.

**Beneficiary Eligibility:**

Program is no longer accepting applications.

**Credentials/Documentation:**

Program is no longer accepting applications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is no longer accepting applications. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is no longer accepting applications.

**Award Procedure:**

This program is no longer accepting applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 20%. Head Start grantees are required to provide 20 percent of the total cost of the program, although this may be

waived wholly or in part if certain conditions pertain. Matching share may be in cash or in-kind fairly evaluated.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds awarded under the authority of ARRA are available for obligation through September 30, 2010. Funds are released by monthly allowance on an Electronic Transfer System or by monthly check. Semiannual financial and annual program reports are required. See the following for information on how assistance is awarded/released: Funds are released by monthly allowance on an Electronic Transfer System or by monthly check. Semiannual financial and annual program reports are required.

**Reports:**

Semiannual financial and annual program reports are required. Funded grantees must submit quarterly reports required by Section 1512 of the Recovery Act. No cash reports are required. No progress reports are required. Expenditure data is included in the quarterly reports required by Section 1512 of the Recovery Act. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR, Parts 74 and 92.

**Records:**

Grantee must maintain an accounting system adequate to meet the purposes of the grant. Requirements for records are found in 45 CFR, Part 74 and 92.

**Account Identification:**

75-1537-0-1-506.

**Obligations:**

(Project Grants) FY 10 \$1,091,800,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$100,000-\$5,000,000; \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Early Head Start expansion funds provided through the American Recovery and Reinvestment Act support services to an additional 48,000 children and families. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chapter XIII of Title 45 Code of Federal Regulations, including 45 CFR 1301 1311. These are electronically at the following ACF website: <http://eclkc.ohs.acf.hhs.gov/hslc/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirement>

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Louise Eldridge, Regional Program Manager, Administration for Children and Families, Office of Head Start, Boston Regional Office, JFK Building, Rm. 2000, 15 New Sudbury Street, Boston, MA 02203. Telephone: (617) 565-1150.

Region II (NJ, NY, PI, VI):

Iran Rodriguez, Regional Program Manager, Administration for Children and Families, Office of Head Start, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 173.

Region III (DC, DE, MD, PA, VA, WV):

Nancy Elmore, Regional Program Manager, Administration for Children and Families, Office of Head Start, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4048.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Marsha Lawrence, Regional Program Manager, Administration for Children and Families, Office of Head Start, Atlanta Regional Office, Atlanta Federal Center, 61- Forsyth Street, SW, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2841.

Region V (IL, IN, MI, MN, OH, WI):

Kay Willmoth, Regional Program Manager, Administration for Children and Families, Office of Head Start, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-7562.

Region VI (AR, LA, NM, OK, TX):

Susan Johnston, Regional Program Manager, Administration for Children and Families, Office of Head Start, Dallas Regional Office, 1301 Young Street, Room 914, Dallas, TX 75202. Telephone: (214) 767-8844.

Region VII (IA, KS, MO, NE):

Lynda Bitner, Regional Program Manager, Administration for Children and Families, Office of Head Start, Kansas City Regional Office, 601 East 12th Street, Rm. 276, Kansas City, MO 64106. Telephone: (816) 426-2275.

Region VIII (CO, MT, ND, SD, UT, WY)

Ross Weaver, Regional Program Manager, Administration for Children and Families, Office of Head Start, Denver Regional Office, 1961 Stout Street, Suite 924, Denver, CO 80294. Telephone: (303) 844-1106.

Region IX (AZ, CA, HI, NV):

Jan Len, Regional Program Manager, Administration for Children and Families, Office of Head Start, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8447.

Region X (AK, ID, OR, WA):

Nancy Hutchins, Regional Program Manager, Administration for Children and Families, Office of Head Start, Seattle Regional Office, 2201 Sixth Avenue, room 610 - M/S RX-70, Seattle, WA 98121. Telephone: (206) 615-3661.

**Headquarters Office:**

Colleen Rathgeb, 1250 Maryland Avenue, S.W., Washington, District of Columbia 20024 Email: colleen.rathgeb@acf.hhs.gov Phone: (202) 205-7378.

**Website Address:**

<http://www2.acf.dhhs.gov/programs/hsb>.

**RELATED PROGRAMS:**

93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: (1) Full-Year and Full-Day Head Start Programs; (2) Full-Year and Part-Day Head Start Programs; and (3) Part-Year and Part-Day Head Start Programs. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

The degree to which the proposed project will meet the Head Start Program Performance Standards located on the ACF website: <http://eclkc.ohs.acf.hhs.gov/hslc/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements> and other program objectives as specified in the program announcement.

**93.710 ARRA - COMMUNITY SERVICES BLOCK GRANT**

CSBG, Recovery Act.

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Community Services Block Grant Act (CSBG Act), as amended by the Community Opportunities, Accountability, Training, and Educational Services Act of 1998, Public Law 105-285; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the economic and social well-being of children, youth, families and communities. Objectives are to provide assistance to States and local communities, working through a network of community action agencies and other neighborhood-based organizations, for the reduction of poverty, revitalization of low-income communities, and empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off a State program carried out under part A of Title IV of the Social Security Act). Additional objectives are (1) to provide services and activities having a measurable and potential major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem; (2) to provide activities designed to assist low-income participants, including the elderly poor, to: (a) secure and retain meaningful employment; (b) attain an adequate education; (c) make better use of available income; (d) obtain and maintain adequate housing and a suitable living environment; (e) obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including health services, nutritious food, housing, and employment-related assistance; (f) remove obstacles and solve problems which block the achievement of self-sufficiency; (g) achieve greater participation in the affairs of the community; and (h) make more effective use of other related programs; (3) to provide on an emergency basis for the provision of such supplies and services, nutritious food, and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor; and (4) to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Uses and restrictions for CSBG Recovery Act funds differ from the uses and restrictions that apply to allotments to States from regular CSBG annual appropriations with regard to use and percentage of funds retained by the States. As with regular CSBG grants, States receive CSBG Recovery Act funds to ameliorate the causes of poverty in communities. The block grant approach gives the States flexibility to tailor their programs to the particular services needs in their communities. States are required to pass through 99 percent of their Recovery Act allocations for grants to eligible entities, as defined in the CSBG Act and use the remaining one percent of funds for benefits enrollment coordination activities relating to the identification and enrollment of eligible individuals and families. See Above.

**Applicant Eligibility:**

The Secretary is authorized to make grants to States. This includes each of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, the Virgin Island, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Secretary also provides assistance directly to the governing body of an Indian Tribe or Tribal organization upon application by the tribe. Only State-recognized tribes, as evidenced by a statement to that effect by the Governor, or tribes formally recognized by the Secretary of the Interior, under the procedure for such recognition in 25 CFR 54, are eligible to receive direct grants.

**Beneficiary Eligibility:**

States make grants to qualified locally-based nonprofit community anti-poverty agencies and other eligible entities which provide services to low-income individuals and families. The official poverty line, as established by the Secretary of Health and Human Services, is used as a criterion of eligibility in the Community Services Block Grant program. When a State determines that it serves the objectives of the block grant, it may revise the income limit, not to exceed 200 percent of the official poverty line.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies

to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Under the regularly-funded CSBG Program, each State desiring to receive an allotment for a fiscal year is required to submit an application to the Secretary of HHS. For Recovery Act funds, States will receive a separate allotment of funds based on the statutory formula. Within 30 days of receiving new grant allotments, each State must submit an application amendment outlining the intended use of Recovery Act funds, to include how the State will carry out the assurances in Section 676(b) of the CSBG Act. The application amendment must be a separate document from the original application and must contain assurances by the Chief Executive Officer of the State that the State will comply with the allowable uses of funds under Section 675C of the CSBG Act, with modifications to allowable uses specified in the Recovery Act. The application amendment must set forth the general purposes for which funds will be used, including a description of the State intended use for benefits enrollment coordination activities relating to the identification and enrollment of eligible individuals and families in Federal, State, and local benefit programs. The State also must describe how it will incorporate monitoring of Recovery Act funds into its regular monitoring of CSBG eligible entities. This includes descriptions of how the State will monitor restrictions on administrative expenses, eligible recipients, board requirements for community action agencies and other nonprofit organizations, fiscal control, monitoring, and Federal investigation provisions, coordination between antipoverty programs in each community and certain prohibitions on political activities. States also must include a description of how they plan to track CSBG funds from ARRA separately from CSBG funds provided through the regular FY 2009 and 2010 appropriations process. In addition, States must indicate how they plan to evaluate the effectiveness of ARRA CSBG funds, including tracking the number of jobs created. This program is excluded from coverage under 45 CFR Part 1050.

**Award Procedure:**

HHS determines the amount of funds to be allocated as block grants to each State in accordance with the formula set forth in the CSBG Act. The Office of Management and Budget (OMB) has the authority to apportion to HHS through the course of a year the Congressional appropriation for block grants. Consistent with OMB's apportionment of funds, HHS will assign allotments to the States through individual awards or a series of awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Funds may be withheld from any State which does not utilize its allotment substantially in accordance with the provisions of the CSBG Act, the American Recovery and Reinvestment Act, and the assurances provided in its application. This may be done only after adequate notice and an opportunity for a hearing conducted within the affected State.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Chapter 96.71, Part 96, Subpart G, Public Law 97-35. States are required to pass through 99 percent of their Recovery Act allocations for grants to eligible entities, as defined in the CSBG Act and use the remaining one percent of funds for benefits enrollment coordination activities relating to the identification and enrollment of eligible individuals and families.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Formula grant awards will be made in FY 2009. Grant funds allotted to the State will be awarded in accordance with apportionment of funds from OMB. Amounts unobligated by the State at the end of a fiscal year remain available for obligation during the succeeding fiscal year. See the following for information on how assistance is awarded/released: Formula grant awards will be made in FY 2009.

**Reports:**

Funded grantees must submit quarterly reports required by Section 1512 of the Recovery Act. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. States must conduct financial and compliance audits of block grant funds annually in accordance with Section 678D of the CSBG Act.

**Records:**

States are required to keep records sufficient to permit preparation of the required reports and to permit tracking of funds to a level of expenditure adequate to ensure that funds have not been spent unlawfully.

**Account Identification:**

75-1537-0-1-506 - TAFS: 75-0910-1537.

**Obligations:**

(Formula Grants) FY 10 \$8,362,715; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

TBD based on statutory formula.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 18 grants were awarded. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 16, 45 CFR Part 74 and 45 CFR Part 96. All ARRA Standard Terms and Conditions will be applicable to the grantee. Also reference the HHS Grants Policy Statement available online at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>

**Regional or Local Office:**

None.

**Headquarters Office:**

Seth Hassett 901 D Street, S.W., 5th Floor - Room 5A165, Washington, District of Columbia 20447 Email: [seth.hassett@acf.hhs.gov](mailto:seth.hassett@acf.hhs.gov) Phone: 202-401-2333

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/csbg/>

**RELATED PROGRAMS:**

93.045 Special Programs for the Aging Title III, Part C Nutrition Services; 93.048 Special Programs for the Aging Title IV and Title II Discretionary Projects; 93.568 Low-Income Home Energy Assistance; 93.570 Community Services Block Grant Discretionary Awards; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.711 ARRA STRENGTHENING COMMUNITIES FUND**

SCF, Recovery Act.

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 , Public Law 111-5.

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the economic and social well-being of children, youth, families, and communities.

The objectives of the Strengthening Communities Fund (SCF) are to (1) fund entities to provide training, technical assistance, and financial assistance to local faith-based and community organizations enabling them to more fully participate in economic recovery and (2) build the capacity of State, Local, and Tribal governments to provide outreach to faith-based and community-based organizations. The funding is used to build capacity of government and nonprofit organizations to partner with local faith-based and community-based organizations, with a focus on expanding economic recovery efforts, increasing community access to public benefits (including ARRA benefits), and helping low- and moderate-income people secure and retain employment.

SCF is composed of two programs:

**(1) SCF Nonprofit Capacity Building Program**

The focus of the SCF Nonprofit Capacity Building Program is to fund organizations that provide training, technical assistance, and competitive financial assistance to faith-based and community-based nonprofit organizations to help them address the broad economic recovery issues present in their communities, including helping low-income individuals secure and retain employment, earn higher wages, obtain better-quality jobs, and increase access to State and Federal benefits and tax credits.

**(2) SCF Government Capacity Building Program**

The focus of the SCF State, Local, and Tribal Government Capacity Building Program is to build the sustainability and effectiveness of the government entities that provide outreach to faith-based and community-based organizations. Ultimately, these partnerships will enable local nonprofit organizations to better serve those in need and to increase nonprofit organizations' involvement in the economic recovery. Government entities or their designees will use program funds to develop their capacity to serve as a resource to nonprofit organizations and other government agencies regarding ARRA funding/benefits to ensure that disadvantaged and hard-to-serve populations are aware of and understand how to access the benefits and services described in the ARRA. Grantees also will use program funds to offer free capacity building services to nonprofit organizations to improve awareness of and access to ARRA efforts/benefits, improve nonprofits organizational capacities to be active participants in ARRA efforts, and facilitate partnerships between and among nonprofits and other government agencies. For example, grantees could establish a beneficiary benefits clearinghouse for individuals and a funding opportunities clearinghouse for nonprofit organizations, provide outreach and education, and deliver training and technical assistance.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Under the SCF Nonprofit Capacity Building Program, lead organizations assist nonprofit project partners in distressed communities with capacity building activities in four critical areas: (1) organizational development, (2) program development, (3) collaboration and community engagement (4) leadership development and (5) evaluating their effectiveness. Capacity building activities are designed to increase an organization's sustainability and effectiveness, enhance its ability to provide social services, and create collaborations to better serve those in need. Lead organizations use the award funds to provide two services within their communities: (1) training and technical assistance to nonprofit organizations; and (2) competitive financial assistance to some subset of the nonprofit organizations receiving training and technical assistance. Training and technical assistance activities are conducted at no cost to interested nonprofit organizations. Each organization will also provide subawards to local non-profits to help these organizations build the capacity to expand and strengthen programs and services related to helping low-income

individuals secure and retain employment, earn higher wages, and obtain better-quality jobs. Examples of these capacity building activities include staff training, technical assistance, and materials and equipment to enhance efficiency or enable the ability to provide a new service. Funds also help organizations build capacity to expand and strengthen programs aimed at increasing low- and moderate-income individuals access to the state and Federal benefits and tax credits for which individuals are eligible. Examples include developing organizational capacity to offer a counselor-assisted centralized electronic screening and application tool, establishing procedures to assess eligibility of prospective and current clients for benefits and tax credits, developing referral protocols with other local service providers, developing a guide/clearinghouse of benefits and tax credits, and developing the capacity to offer free tax preparation assistance.

Under the SCF State, Local, and Tribal Government Capacity Building Program, funds are awarded to State, city, county and tribal government offices (e.g., offices responsible for outreach to faith-based and community organizations or those offices interested in initiating such an effort) or their designees for the purpose of building the sustainability and effectiveness of the government entities, other government agencies and ultimately local nonprofits to better serve those in need. Specifically, funds are used to build the capacity of organizations that are contributing to the economic recovery and help Federal, State, and local governments ensure that the information and services described in the ARRA reach disadvantaged and hard-to-serve populations. Grantees use program funds to provide free capacity building services to nonprofit organizations, such as developing a funding opportunities clearinghouse and/or training and technical assistance to improve access to ARRA funding/benefits and to improve organizational capacity to be competitive applicants for ARRA funding/benefits. Grantees also will use program funds to build their own capacity to provide these services to nonprofits. Priority for awards will be given to State and Indian/Native American Tribal governments and such governments designees. Grantees must also use funds to measure their own effectiveness and help non-profit organizations develop ways to measure their effectiveness. Costs of organized fund raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions, are unallowable under this program. Awards will not allow reimbursement of pre-award costs. Construction is not an allowable activity or expenditure under this program. Purchase of real property is not an allowable activity or expenditure under this program. The SCF grantees and project partners (including subawardees) may not use funds for direct social service provisions. Funds are intended to help grantees and their partners build and strengthen their capacity to provide services. The cost of the augmentation or supplanting of direct services is unallowable. Direct Federal grants, financial assistance funds, or contracts under the Department of Health and Human Services shall not be used to support inherently religious activities such as religious instruction, worship, or proselytization. Organizations that receive HHS funds may not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services funded with HHS funds. An organization receiving a SCF award shall not, in providing Federally-funded services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. SCF program funding may not pay for capacity building activities that support medical and/or health care related activities or items such as medical equipment or supplies or medically-oriented trainings, certifications, or licensures. SCF Nonprofit Capacity Building Program lead organizations may not provide competitive financial assistance to a health care organization. A grantee is not to use award funds to provide a contract to organizations that provide the grantee with a cost share match..

**Applicant Eligibility:**

(SCF Nonprofit Capacity Building Cooperative Agreements): state governments; county governments; city or township governments; special district governments; public and state-controlled institutions of higher education; Indian/Native American Tribal governments (Federally recognized); nonprofits with 501(c)(3) IRS status (other than institutions of higher education); nonprofits without 501(c)(3) IRS status (other than institutions of higher education); private institutions of higher education; for profit organizations (other than small businesses); small businesses; and faith-based

and community organizations that meet the statutory eligibility requirements. Application Eligibility (SCF State, Local, and Tribal Government Capacity Building Grants): state governments; county governments; city or township governments; Indian/Native American Tribal governments (federally recognized); nonprofits with or without 501(c)(3) IRS status (other than institutions of higher education), if designated as Authorized Entities by the government entity.

**Beneficiary Eligibility:**

Funds are used to build the capacity of organizations that are contributing to the economic recovery and help Federal, State, and local governments ensure that the information and services described in the ARRA reach disadvantaged and hard-to-serve populations. Funds help organizations build the capacity to expand and strengthen programs and services related to helping low-income individuals secure and retain employment, earn higher wages, and obtain better-quality jobs. Funds also help organizations build the capacity to expand and strengthen programs that increase low- and moderate-income individuals access to the state and federal benefits and tax credits for which individuals are eligible, such as by offering counselor-assisted use of a centralized electronic eligibility screening tool that simplifies the benefit application process. A nonprofit organization receiving training, technical or financial assistance under this program could operate a one-stop center where individuals can obtain free, customized benefits information, tax information, information on ARRA, and/or apply for benefits and file tax returns.

**Credentials/Documentation:**

The ARRA SCF Funding Opportunity Announcements will specify the required documentation that must be submitted with the applications and by time of the award. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the process the state requires to be followed in applying for assistance, if the state has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Prepare and submit applications according to the instructions provided in the applicable ARRA SCF Funding Opportunity Announcement which can be found online at Grants.gov or on the ACF website: <http://www.acf.hhs.gov/grants/>.

**Award Procedure:**

This program is no longer issuing new awards.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20%. Awardees must provide at least 20percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF (Federal) share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Awardees will be held accountable for commitments of non-Federal resources even if they exceed the amount of the required match. Failure to provide the required amount will result in the disallowance of federal funds. A lack of supporting documentation at the time of application will not

exclude the application from competitive review. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

SCF grants and cooperative agreements are for project/budget periods of 24 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Funded organizations must submit quarterly reports required by Section 1512 of the Recovery Act. In addition, funded grantees are required to submit Performance Progress Reports, and semi-annual financial status reports using the required standard form (SF-269) which is located on the Internet at: <http://forms.psc.gov/forms/sf/SF-269.pdf>. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

SCF complies with 74.50 Purpose of reports and records, 74.51 Monitoring and reporting program performance and 74.52 Financial reporting of Title 45 of the Code of Federal Regulations.

**Account Identification:**

75-1537-0-1-506 - TAFS: 75-0910-1537.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,669,411; FY 11 est \$0; and FY 12 est \$0 - No funding requested.

**Range and Average of Financial Assistance:**

\$1,000,000 for 24 months for SCF Nonprofit Capacity Building Program; \$250,000 for 24 months for SCF State, Local, and Tribal Government Capacity Building Program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Manager, Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, DC 20447. Contact: Thom Campbell, Telephone: (202) 401-5483 (office); (202) 401-4719 (fax); [thom.campbell@acf.hhs.gov](mailto:thom.campbell@acf.hhs.gov).

**Headquarters Office:**

Rafael J. Elizalde Division of Community Discretionary Programs, Office of Community Services, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W, Washington, District of Columbia 20447 Email: [rafael.elizalde@acf.hhs.gov](mailto:rafael.elizalde@acf.hhs.gov) Phone: (202) 401-5115 Fax: (202) 401-4719

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant organizations are evaluated on the following criteria: Project Abstract, Objectives and Need for Assistance, Approach, Organizational Profiles, Evaluation and Budget and Budget Justification. Applicants will be evaluated under the budget and budget justification criteria on the extent to

which they include a budget that is clear, easy to understand, and provides a detailed justification for the amount requested.

### **93.712 ARRA - IMMUNIZATION**

Immunization Program

#### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Health Service Act Section 301, 42 U.S.C. 241, and Section 317, 42 U.S.C. 247b, as amended; Health Services and Centers Amendments of 1978, Public Law 95-626; Omnibus Budget Reconciliation Act of 1981.

#### **OBJECTIVES:**

The American Recovery and Reinvestment Act (ARRA) appropriated \$300 million to the Section 317 Immunization program (Section 317) which funds 64 immunization programs that include all 50 states, Washington DC, 5 urban areas, the U.S. Territories, and selected Pacific Island nations. Funding supports states and communities in establishing and maintaining preventive health service programs to immunize individuals against vaccine-preventable diseases.

This investment will expand access to vaccines and vaccination services by augmenting current Section 317 activities. Specifically by:

Provision of financial support to state and local immunization programs

Making recommended vaccines available in all states through the existing network of private and public immunization providers and supporting and expanding the network of providers as needed

Expanding access to influenza, zoster, and childhood vaccines through school-associated immunization programs and through innovative vaccine delivery activities in the community

Providing grants to immunization programs to conduct needs assessments and develop plans that will enable health departments to bill private insurance for immunization services provided to insurance plan members

Increasing national public awareness and knowledge about the benefits and risks of vaccines and vaccine-preventable diseases

Enhancing assessments of vaccine coverage, vaccine impact, vaccine effectiveness and vaccine adverse events.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, organizing, conducting and supporting immunization programs directed toward vaccine-preventable diseases, and for the implementation of other program elements as described in Section :050: above and through CDC allowable and unallowable expenses.

#### **Applicant Eligibility:**

See Index.

#### **Beneficiary Eligibility:**

See Index.

#### **Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the SF424 (R&R) application forms and SF424 (R&R) Application Guide for this requirement through [Grants.gov/Apply](http://Grants.gov/Apply). Only the forms package directly attached to a specific Funding Opportunity

Announcement (FOA) can be used. Applicants will not be able to use any other SF424 (R&R) forms (e.g., sample forms, forms from another FOA) although some of the "Attachment" files may be useable for more than one FOA.

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

The standard application forms must be used for this program, as furnished by CDC and required by 45 CFR 92 for State and local governmental agencies, and by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

#### **Award Procedure:**

All applications that are complete and responsive to non-competitive supplemental grant announcements will be evaluated for scientific and technical merit and receive support. Support will be need based and may be formula driven. Applications that are complete and responsive to competitive supplemental grant and cooperative agreement announcements will undergo an objective review process, receive a written critique and be scored according to published review criteria. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Renewals will be based upon availability of funding under the American Recovery and Reinvestment Act.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Project Period: until 12/31/2010. Budget Period: 24 months. See the following for information on how assistance is awarded/released: Through a grant and or cooperative agreement via Notice of Award.

#### **Reports:**

No program reports are required. Cash reports are not applicable. Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below.

Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will posted to [Recovery.gov](http://Recovery.gov), containing the following information:

- a. The total amount of ARRA funds under this award;
- b. The amount of ARRA funds received under this award that were obligated and expended to projects or activities;
- c. The amount of unobligated award balances;
- d. A detailed list of all projects or activities for which ARRA funds under this

award were obligated and expended, including

The name of the project or activity;

A description of the project or activity;

An evaluation of the completion status of the project or activity;

An estimate of the number of jobs created and the number of jobs retained by the project or activity; and

For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment.

e. Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282).

For any sub-award equal to or larger than \$25,000, the following information:

The name of the entity receiving the sub-award;

The amount of the sub-award;

The transaction type;

The North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number;

Program source;

An award title descriptive of the purpose of each funding action;

The location of the entity receiving the award;

The primary location of performance under the award, including the city, State, congressional district, and country; and

A unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity.

f. All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS.

g. Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted.

h. Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award.

Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in award notices.

Final financial status and performance reports are required 90 days after the end of the project period. Expenditure reports are not applicable. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The audit must be completed along with a data collection form, and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditors report(s), or 9 months after the end of the audit period. The audit report must be sent to: Federal Audit Clearing House, Bureau of the Census, 1201 East 10th Street, Jeffersonville, IN 47132. Should you have questions regarding the submission or processing of your Single Audit Package, contact the Federal Audit Clearinghouse at: (301) 763-1551, (800) 253-0696 or email: govts.fac@census.gov The grantee is to ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grant funds received exceed \$500,000). The grantee must also ensure that appropriate corrective action is taken within 6 months after receipt of the sub-recipient audit report in instances of non-compliance with Federal law and regulations. The grantee is to consider whether sub-recipient audits necessitate adjustment of the grantees own accounting records. If a sub-recipient is not required to have a program-specific audit, the Grantee is still required to perform adequate monitoring of sub-recipient activities. The grantee is to require each

sub-recipient to permit independent auditors to have access to the sub-recipients records and financial statements. The grantee should include this requirement in all sub-recipient contracts.

#### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

#### **Account Identification:**

75-0942-0-1-550.

#### **Obligations:**

(Salaries) FY 10 Not Available; FY 11 est \$0; and FY 12 est \$0 - 2011 and 2012 No ARRA funds available.

#### **Range and Average of Financial Assistance:**

From \$30,000 to \$7,500,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: N/A. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55 b. Guidelines are available. 45 CFR 92, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

#### **Regional or Local Office:**

See Regional Agency Offices. Program Contact: Mr. Michael Detmer, Management Officer, National Center for Immunization and Respiratory Diseases, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop E-05, Atlanta, GA 30333. Telephone: (404) 639-8900. Fax: (404) 639-8626. E-mail: MMD4@cdc.gov.; Grants Management Contact: Sharron Orum, Procurement and Grants Office, Centers for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Room 3618, Atlanta, GA 30341. Telephone: (770) 488-2716.

#### **Headquarters Office:**

Joni Young National Center for Preparedness, Detection, and Control of Infectious Diseases, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop A07, Atlanta, Georgia 30333 Email: JYoung@cdc.gov Phone: (404) 639-4025 Fax: (404) 639-4043

#### **Website Address:**

<http://www.cdc.gov/>; [www.Grants.gov](http://www.Grants.gov)

#### **RELATED PROGRAMS:**

93.217 Family Planning\_Services; 93.268 Immunization Grants

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) The extent of the problem; (2) the establishment of specific and measurable objectives to address the problem; and (3) the development of a sound operational plan which will ensure the implementation of each program element and appropriate use of ARRA funds. In determining awarded amounts, population characteristics including breakdown of population by age category, poverty status, percentage who are non-English speaking, residence (percentage living in rural versus urban/suburban areas) and immunization coverage levels may be considered. Other criteria will be listed in individual funding opportunity announcements.

#### **93.713 ARRA CHILD CARE AND DEVELOPMENT BLOCK GRANT**

Child Care and Development Block Grant (CCDBG), Recovery Act Funds.

#### **FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services



**AUTHORIZATION:**

Child Care and Development Block Grant Act of 1990, Public Law 101-508, 42 U.S.C 9858; American Recovery and Reinvestment Act of 2009, Public Law 111-5, 42 U.S.C 9858.

**OBJECTIVES:**

The ARRA - CCDBG is a part of the Child Care and Development Fund (CCDF) program, along with Child Care Discretionary Funds (CFDA number 93.575) the Child Care Mandatory and Matching Funds (CFDA number 93.596). This supplemental FY 2009 CCDBG funding was appropriated under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5). This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the economic and social well being of children, youth, families, and communities. Objectives under the CCDBG Act are: To make grants to States, Territories, Tribes, and tribal organizations for child care assistance for low-income families and to: (1) allow each State maximum flexibility in developing child care programs and policies that best suit the needs of children and parents within such State; (2) promote parental choice to empower working parents to make their own decisions on the child care that best suits their family's needs; (3) encourage States to provide consumer education information to help parents make informed choices about child care; (4) assist States to provide child care to parents trying to achieve independence from public assistance; and (5) assist States in implementing the health, safety, licensing, and registration standards established in State regulations.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Congress directs that Recovery Act funds appropriated for the CCDBG must be used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. Lead Agencies must use CCDBG Recovery Act Funds for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, and other activities that realize the goals of the CCDBG Act. Not more than 5 percent of the aggregate amount of CCDF Funds, including CCDBG Recovery Act Funds, expended by the State or Territory (15 percent for Tribes or tribal organizations) may be expended for administrative costs incurred by the State or Territory to carryout all of its functions and duties. The term "administrative costs" does not include the costs of providing direct services. A State or Territory shall use not less than 4 percent of the aggregate CCDF Funds, including CCDBG Recovery Act Funds, to improve child care quality and availability including comprehensive consumer education, activities to increase parental choice, and other activities such as resource and referral services, provider grants and loans, monitoring and enforcement of requirements, training and technical assistance, and improved compensation for child care staff. In addition to the minimum four percent quality expenditures, \$255,186,000 of the CCDBG Recovery Act Funds shall be reserved by the States for quality improvement activities, of which \$93,587,000 shall be for activities that improve the quality of infant and toddler care. Except for approved construction of child care facilities by Tribal Grantees, no CCDBG Recovery Act Funds may be used for the purchase or improvement of land, or for the purchase, construction, or permanent improvement of any building or facility (other than for minor remodeling and for upgrading facilities to meet State and local child care standards). No CCDBG Recovery Act Funds provided directly to child care providers through grants or contracts may be expended for any sectarian purpose or activity, including sectarian worship or instruction; however, Grantees must give parents the option of receiving vouchers or certificates to allow parents the choice of faith-based or community child care providers. No CCDBG Recovery Act Funds may be provided for any services provided to students enrolled in grades 1 through 12 during the regular school day; for any services for which such students receive academic credit toward graduation; or for any instructional services which supplant or duplicate the academic program of any public or private school. Lead Agencies shall assure that a substantial portion of the total CCDBG (CCDF Discretionary) Funds will be used to provide assistance to low-income working families who are not receiving assistance under the Temporary Assistance for Needy Families program, attempting through work activities to transition off of temporary assistance programs, nor at risk of becoming dependent on temporary assistance programs.

**Applicant Eligibility:**

Eligibility: All 50 States, the District of Columbia, the Virgin Islands, Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and Federally recognized Tribal Governments, including Alaskan Native Corporations.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Grantees must operate under a CCDF plan approved by the Administration for Children and Families (ACF), and must provide assurances that the Grantee will comply with the requirements of the CCDBG and the Recovery Act and all applicable Federal law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

State, Tribal, and Territorial Lead Agencies already receiving FY2009 funds under the CCDBG program (i.e., Discretionary Funds) have received CCDBG Recovery Act Funds. Separate applications for the CCDBG Recovery Act Funds are not required. To receive funds under the CCDBG Act (CFDA number 93.575), each Grantee must designate a Lead Agency to which grants are awarded and that is accountable for the use of the Discretionary Funds provided, the duties of which shall include developing a CCDF plan. In conjunction with the development of the CCDF plan, the Lead Agency must hold at least one public hearing no earlier than nine months before the CCDF plan becomes effective and after at least 20 days of statewide public notice, to provide the public an opportunity to comment on the provision of child care services under the plan. In advance of the hearing, the Lead Agency must make the content of the plan available to the public. The Lead Agency must also coordinate the provision of services under the program with other Federal, State, and local child care and early childhood development programs. Also, the Lead Agency must consult with appropriate representatives of local governments. Tribal Lead Agencies submitting applications for construction must submit an environmental impact assessment. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. State, Tribal, and Territorial Lead Agencies already receiving FY 2009 funds under the CCDBG Act (i.e., Discretionary Funds) will receive CCDBG Recovery Act Funds. Separate applications for the CCDBG Recovery Act Funds are not required. However, should a Grantee decide to make a substantial change to its approved CCDF plan in FY 2009 as a result of the availability of CCDBG Recovery Act Funds, the Lead Agency must submit an amendment to its existing approved FY 2008-2009 CCDF plan within 60 days of making the change. A decision on the approval of the amendment will be made by ACF within 90 days from the date the amendment is received. (An extension of the time period may be made by a written agreement.)

To receive funds under the CCDBG Act, a Lead Agency desiring to receive an allotment for a fiscal year is required to submit a two-year CCDF plan to ACF, as well as, financial and other information necessary for the grants process. Each plan must contain certifications and assurances by the Lead Agency that it will comply with the requirements of the CCDBG Act. The plan must also include: the designation of a Lead Agency; the provision of assurances regarding policies and procedures as stated in Section 658E(c)(2) of the CCDBG Act; an outline of the intended use of block grant funds in compliance with Section 658E(c)(3) of the CCDBG Act; the provision of certification regarding payment rates as stated in Section 658E(c)(4) of the CCDBG Act; and the establishment of a sliding fee scale. Additional requirements are specified by 45 CFR Parts 98 and 99.

**Award Procedure:**

In April 2009, ACF awarded CCDBG Recovery Act Funds to all State, Tribe, and Territory Lead Agencies that were currently receiving FY 2009 funds under the CCDBG Act.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

ACF will review for approval any amendments to approved FY 2008-2009 CCDF plans submitted by Lead Agencies within 90 days after receipt of the amendment. To receive CCDBG Act Funds, CCDF plans must be submitted for approval every two years. FY 2010-2011 CCDF plans will be approved by ACF within 90 days after the due date.

**Appeals:**

Guidelines for appeals of disapprovals of CCDF plans or plan amendments are specified in regulations (45 CFR Part 99).

**Renewals:**

To receive CCDBG Act Funds, CCDF plans must be submitted to ACF for approval every two years.

**Formula and Matching Requirements:**

Statutory Formula: Title 42, Chapter 105, Part II-B, Subpart 9858m, Public Law 101-508.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

CCDBG Recovery Act Funds were made available to Lead Agencies with approved FY 2008-2009 CCDF plans. Grantees must obligate all CCDBG Recovery Act Funds in the fiscal year in which they are granted or in the succeeding fiscal year. Those funds must be liquidated by the third year.

Method of awarding/releasing assistance: lump sum.

**Reports:**

Funded grantees must submit quarterly programmatic reports. In addition, as specified in 45 CFR Part 98, States must report to ACF annually aggregate data on families, children in care, providers, payment methods, and consumer education. Quarterly case-level reports are required to provide data on families, children, and providers, and payment information. No cash reports are required. No progress reports are required. Funded grantees must submit quarterly financial reports. Monitoring is in accordance with 45 CFR 98.90.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper grant accounting records must be maintained. State, Territorial and Tribal Lead Agencies must separately track and report on expenditures of CCDBG Recovery Act Funds.

**Account Identification:**

75-1516-0-1-609.

**Obligations:**

(Formula Grants) FY 10 \$10,000,000; FY 11 est \$0; and FY 12 est \$0 - One-fourth of 1 percent of these supplemental CCDBG funds is reserved to provide technical assistance to Grantees via contracts. FY 2010 amounts reflect contract obligations for technical assistance activities.

**Range and Average of Financial Assistance:**

For States, including the District of Columbia and Puerto Rico, the range of CCDBG Recovery Act Funds in FY 2009 was approximately \$2.5 million to \$220 million; the average award was approximately \$38 million. For 260 Tribal Grantees, the approximate range of CCDBG Recovery Act Funds in FY 2009 was: \$3,000 to \$5 million; the average was approximately \$154,000. For the four Territories, the range of CCDBG Recovery Act Funds in FY 2009 was approximately \$1.8 million to \$4 million; the average grant was \$2.5 million (These figures do not include other FY 2009 CCDF funds received through CCDF Mandatory and Matching Funds (93.575) and CCDF Discretionary Funds (93.596)). These funds were not available in Fiscal Year 2008. One-fourth of 1 percent of these supplemental CCDBG funds is reserved to provide technical assistance to Grantees via contracts.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Over 1.6 million children receive a child care subsidy from the Child Care and Development Fund (CCDF) each month. In addition, CCDF helps leverage child care investments from the Temporary Assistance for Families (TANF) program and other funding streams, resulting in financial support to make child care more affordable for at total of 2.5 million children each month. Building on the existing \$5 billion annual Federal funding for CCDF, the American Recovery and Reinvestment Act (ARRA) provided an additional \$2 billion for CCDF, and the ARRA funds supported child care services for an estimated 220,000 children. States used ARRA funds to: shorten, eliminate, or avoid wait lists for services; reduce family co-payments; increase eligibility limits, and add or extend eligibility during periods of job search for parents who lost their jobs. The following are few examples of program accomplishments.

Illinois used part of the CCDF ARRA funds to decrease parent co-pays by 15 percent and to increase job search time from 30 to 90 days.

In Tennessee, the Child Care Recovery Scholarship program helped low-income families who are working or enrolled in school full time pay for child care services offered by licensed providers and Boys and Girls Clubs across the State. Tennessee expects the program to serve 2,450 more children, bringing the total to 7,000 in 2010.

In Yakama Nation (in Washington), 93 families continued to receive child care financial assistance through CCDF ARRA funding, enabling 118 parents to stay in the workforce. The San Carlos Apache Tribe in Arizona was able to hire four additional staff for its new child center in the Bylas District of the reservation.

On the family level, a parent from Iowa (Angi) summed up the impact of CCDF programs and ARRA as follows:

When our second son, Jack, was born, my husband and I decided that I would return to work when Jack was two months old. We wanted to send Jack to the same quality child care center that our older son, Robby, attended for the last two years. We knew the staff at the center and it was very important to us to keep both boys together at the same facility. However, it was soon apparent that we were not going to be able to afford the cost of infant child care. My husband is self-employed and the economic downturn has seriously affected our income. After crunching the numbers, it was obvious that my income was only covering child care, health insurance premiums and co-payments for medical care and prescriptions, and car payments and gas. It was clear that I was only working because I loved my job. I had a tough decision ahead of me, whether to continue working or to stay home with my boys. Then, I learned about the child care program supported through ARRA funds. We qualified for Jack to receive child care through the ARRA program. Because of this assistance, Jack is still at the child care center that we love and I continue to work at a job I love. If it weren't for this assistance, I would have had to quit my job and apply for public assistance. Words cannot express how grateful I am for this program supported through ARRA funds and the people behind it. Its hard enough to raise a family with good values in today's world, no matter whether you are labeled as poor or wealthy, financially speaking. Fiscal Year 2011: No new grants will be awarded. Fiscal Year 2012: No new grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These funds are subject to the Child Care and Development Fund regulations at 45 CFR Parts 98 and 99.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Office of Child Care (OCC) Regional Program Managers (RPM). Contact information for the RPMs is available at [http://www.acf.hhs.gov/programs/ccb/ta/raaddr/program\\_managers.htm](http://www.acf.hhs.gov/programs/ccb/ta/raaddr/program_managers.htm).

**Headquarters Office:**

Kenneth Akwuole, Office of Child Care, Administration for Children and Families, Department of Health and Human Services, 901 D St. S.W., 5th Floor East, Washington, District of Columbia 20447 Email: [kenneth.akwuole@acf.hhs.gov](mailto:kenneth.akwuole@acf.hhs.gov) Phone: (202) 205-8531 Fax: (202) 690-5600.

**Website Address:**

<http://www.acf.hhs.gov/programs/ccb>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.575 Child Care and Development Block Grant; 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Increased CCDF funding under the American Recovery and Reinvestment Act provided an opportunity for many States, Territories and Tribes to expand their quality improvement efforts. States invested in systemic infrastructure--which includes health and safety standards, quality improvement systems, and professional development systems--that improves quality and child outcomes for all children in child care, not just those receiving child care subsidies. 25 States have established Quality Rating and Improvement Systems (QRIS) to set standards of excellence for child care providers and to provide a pathway to help programs continually improve to meet the higher standards. QRIS represent a systemic approach to assess, improve, and communicate the level of quality in early and school-age care and education settings. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.714 ARRA EMERGENCY CONTINGENCY FUND FOR TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) STATE PROGRAM**

TANF Emergency Fund, Recovery Act

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

TANF Emergency Fund, Recovery Act, Title IV, Part A, Section 2101, Public Law 111-5, 42 U.S.C 603(c).

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the economic and social well being of children, youth, families, and communities. The objective of the program is to provide up to \$5 billion for jurisdictions (States, Territories, and Tribes) in fiscal year (FY) 2009 and FY 2010 that have an increase in assistance caseloads and/or certain types of expenditures. This Emergency Fund is in addition to the TANF Contingency Fund in section 403(b) of the Act that currently gives money to qualifying States (but not Territories or Tribes) during an economic downturn.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Emergency Fund grants are Federal TANF funds. Jurisdictions must use these funds in accordance with section 404 of the Act. This does not include authority to transfer emergency funds to either the Social Services Block Grant (SSBG) or the Child Care and Development Block Grant (CCDBG) because that transfer authority is limited to grants made under section 403(a) of the Act. Emergency funds are available until expended.

Jurisdictions may carry over emergency funds for use in a succeeding fiscal year as authorized under section 404(e) of the Act, i.e., the funds are available until expended. Section 403(c)(5) of the Act imposes a cumulative cap on the amount of emergency funding that a jurisdiction can receive for the two-year period. The capped amount consists of the cumulative combined grants from the existing Contingency Fund (section 403(b)) and the Emergency Fund (section 403(c)) and the total of the two cannot exceed 50 percent of the jurisdictions annual Federal TANF family assistance grant.

The same financial and programmatic rules pertaining to the appropriate use of the jurisdictions Federal TANF block grant funds also apply when using the emergency funds. This also means that all TANF requirements, including work participation requirements and time limits, apply to families receiving assistance with emergency funds exactly as they do to families receiving other

Federal TANF-funded assistance. See above.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Federal funds go to the State, Territory, or Tribal TANF agencies. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Funding was available in fiscal years 2009 and 2010 for jurisdictions that were eligible by having an increase in assistance caseloads or certain types of expenditures. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Jurisdictions had to submit applications by September 1, 2010.

**Award Procedure:**

Requests for emergency funds approved by HHS were distributed quarterly.

**Deadlines:**

Sep 01, 2010 Initial requests were submitted by September 1, 2010, for qualifying expenditures made in fiscal years 2009 and 2010, with updates to data allowed until June 30, 2011.

**Range of Approval/Disapproval Time:**

Review and evaluation of applications has been a priority and we acted upon them within an as soon as possible timeframe.

**Appeals:**

Jurisdictions facing an adverse action by the Secretary of HHS may appeal under both administrative and judicial procedures.

**Renewals:**

Funding for the program ended September 30, 2010.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Jurisdictions were awarded their emergency fund grants as applications were approved. They may reserve grant moneys, without fiscal year limitation.

Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Jurisdictions have to submit information on caseloads and expenditures. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits shall be conducted by the Inspector General and the jurisdictions under Chapter 75 of Title 31, United States Code.

**Records:**

Jurisdictions must maintain records containing information the Secretary may require by regulation. Information submitted in support of a request for Emergency Funds will be tested for reliability and accuracy. Accordingly, jurisdictions are expected, as required by the federal regulations at 45 CFR 92.20 and 45 CFR 92.42, to maintain pertinent documentation related to caseload and expenditure data used to support the request for funds, be able to link the information to the relevant reporting and accounting system, and make

such information available in a clear and understandable form that can be validated by an auditor.

**Account Identification:**

75-1523-0-1-506 - TAFS: 75-0910-1523.

**Obligations:**

(Formula Grants) FY 10 \$4,375,243,421; FY 11 est \$0; and FY 12 est \$0 - Up to \$5 billion was available in FY 2009 and 2010.

**Range and Average of Financial Assistance:**

The range for ARRA actual allocations was \$20,374 and \$837,950,135 with an average of \$58,444,898.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program rules for State programs can be found at 45 CFR Parts 260 through 265. Tribal rules can be found at 45 CFR Part 286. Guidance for the submittal of applications for the Emergency Fund, was accomplished through issuance of a Policy Announcement and Program Instruction, including reporting forms approved under the Paperwork Reduction Act.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Carol Monteiro, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Boston Regional Office, JFK Building, Rm. 2000, Boston, MA 02203. Telephone: (617) 565-2462.

Region II (NJ, NY, PR, VI):

Joanne Krudys, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 127.

Region III (DC, DE, MD, PA, VA, WV):

Eileen Friedman, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4058.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Eric Blanchette, Acting Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Atlanta Regional Office, 61 Forsyth Street, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2782.

Region V (IL, IN, MI, MN, OH, WI):

Steven Krasner, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-3265.

Region VI (AR, LA, NM, OK, TX):

Larry Brendel, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Dallas Regional Office, 1301 Young Street, Room 945, Dallas, TX 75202. Telephone: (214) 767-6236.

Region VII (IA, KS, MO, NE):

Gary Allen, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Kansas City Regional Office, Rm. 276, 601 E 12 St., Kansas City, MO 64106. Telephone: (816) 426-2236.

Region VIII (CO, MT, ND, SD, UT, WY)

Felicia Gaither, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Denver Regional Office, 999 18th Street, South Terrace, Suite 499, Denver, CO 80202. Telephone: (303) 844-1483.

Region IX (AZ, CA, GU, HI, NV):

Julie Fong and Rick Wever, Acting Regional Program Managers, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-7579, (415) 437-8460.

Region X (AK, ID, OR, WA):

Frank Shields, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Seattle Regional Office, 2201 Sixth Avenue, M/S 74, Seattle, WA 98121. Telephone (206) 615-2569.

**Headquarters Office:**

Robert M. Shelbourne Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, SW., Washington, District of Columbia 20447 Email: rshelbourne@acf.hhs.gov Phone: (202) 401-5150 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.594 Tribal Work Grants; 93.595 Welfare Reform Research, Evaluations and National Studies; 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.715 RECOVERY ACT COMPARATIVE EFFECTIVENESS RESEARCH - AHRQ**

Recovery Act Comparative Effectiveness Research - AHRQ

**FEDERAL AGENCY:**

Agency for Healthcare Research and Quality, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XI, Part A, Public Law 74-271, 42 U.S.C 1301-1320; Medicare Prescription Drug, Improvement, and Modernization Act of 2003, Title IX, Section 1013, Public Law 108-173, 42 U.S.C 1305; American Recovery and Reinvestment Act of 2009, Title 8, Public Law 111-5; Public Health Service Act, Title IX, 42 U.S.C 299 et seq.

**OBJECTIVES:**

To improve health outcomes by providing evidence to enhance medical decisions made by patients and their medical providers. This goal is pursued by generating research comparing different interventions and strategies to prevent, diagnose, treat and monitor health conditions. Funds are available under the American Recovery and Reinvestment Act of 2009 to support research and evaluations, demonstration projects, research networks and multidisciplinary centers, predoctoral and postdoctoral training opportunities, individual fellowships, and to disseminate rigorous evaluations of the impact of different options that are available for treating a given medical condition for a particular set of patients.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The research will contribute to the health services and clinical knowledge base in comparative effectiveness of different treatment and practices from which empirically based information can be derived by patients, providers,

policymakers, and other stakeholders, both immediately and over the coming decades. Grant funds will be available in FYs 2009 and 2010 for costs necessary to carry out an approved project. Unallowable costs, as well as those for which prior written approval is required, are indicated in the HHS Grants Policy Statement. Grantees must comply with all Recovery Act reporting requirements. Approximately 66% of the \$300,000,000 in Recovery Act funds provided to AHRQ for CER research was awarded for discretionary grants.

**Applicant Eligibility:**

Award recipients include a combination of academic institutions, States, community-based organizations, and private or non-profit national organizations.

**Beneficiary Eligibility:**

Funds will be spent to research and provide information on the relative strengths and weaknesses of various medical interventions. Such research will give clinicians and patients valid information with which to make decisions that will improve the performance of the U.S. health care system.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of their nonprofit status when applying for grants. Costs will be determined in accordance with HHS Regulations 45 CFR 74 or 45 CFR 92 as appropriate. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. No new grants will be awarded by AHRQ under the Recovery Act in FY2011 or FY2012, therefore applications are no longer being accepted.

**Award Procedure:**

Following review for scientific merit by a group composed primarily of nonfederal scientists, grant applications may be reviewed by the National Advisory Council for Healthcare Research and Quality, after which AHRQ makes final decisions to support recommended applications. When such decisions are made, applicants are notified directly by AHRQ staff and all required steps are taken to issue the Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants may be approved for project periods up to 4 years. Funds will be awarded for the total project in fiscal year 2009 or 2010. Costs budgeted beyond the initial 12 months of funding will be restricted pending satisfactory progress. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees must submit quarterly reports in compliance with the American Recovery and Reinvestment Act of 2009. Inventions are to be reported immediately. A final progress report must be submitted within 90 days after the

end of the project. Grantees must submit quarterly SF425 reports to HHS' Program Support Center (PSC). Progress reports are required to be submitted to AHRQ on an annual basis and will be based on the PHS 2590 Non-Competing Continuation Progress Report. A Federal Financial Report (FFR; SF425) must be submitted within 90 days after the end of the calendar quarter of each 12 month increment of time. A final FFR must be submitted within 90 days after the project period end date. Quarterly performance monitoring in accordance with the requirements of the Recovery Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Records must be retained for at least three years; records shall be retained beyond the three year period if audit findings have not been resolved.

**Account Identification:**

75-0910-1-7-010.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$310,969,115; FY 11 est \$0; and FY 12 est \$0 - The \$310,969,115 in Recovery Act funds awarded by AHRQ in FY2010 represent AHRQ ARRA grants (\$199,463,507) and AHRQ OS ARRA grants (\$111,505,608). No new grants will be awarded by AHRQ in FY2011 or FY2012 under the Recovery Act.

**Range and Average of Financial Assistance:**

AHRQ ARRA grants: \$563,672 to \$9,898,332; \$3,693,769 average. AHRQ OS ARRA grants: \$361,109 to \$11,881,843; \$2,027,375 average. These are total cost figures.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 54 AHRQ ARRA grants were awarded. 55 AHRQ OS ARRA grants were awarded. Fiscal Year 2011: No new grants will be awarded by AHRQ under the Recovery Act. Fiscal Year 2012: No new grants will be awarded by AHRQ under the Recovery Act.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

American Recovery and Reinvestment Act of 2009; 42 CFR 67, Regulations for Health Services Research, Evaluation, Demonstration, and Dissemination Projects as amended by Public Law 106-129; HHS Grants Policy Statement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jean Slutsky, Agency for Healthcare Research and Quality, Department of Health and Human Services, 540 Gaither Road, Rockville, Maryland 20850  
Email: Jean.Slutsky@AHRQ.HHS.gov Phone: (301) 427-1600.

**Website Address:**

<http://effectivehealthcare.ahrq.gov>

**RELATED PROGRAMS:**

93.225 National Research Service Awards\_Health Services Research Training;  
93.226 Research on Healthcare Costs, Quality and Outcomes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The proposals must first be reviewed by review groups and recommended for funding on the basis of scientific and technical merit. This includes consideration of the qualifications of the principal investigator and staff to conduct the research using appropriate methodology and budget. Applications may be reviewed for program relevance by the National Advisory Council for Healthcare Research and Quality. Those recommended proposals which are

most relevant to comparative effectiveness and promote the goals of the ARRA will be funded to the extent that funds are available.

### **93.716 ARRA TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) SUPPLEMENTAL GRANTS**

Supplemental Grants for Population Increases in Certain States, Recovery Act

#### **FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

#### **AUTHORIZATION:**

Supplemental Grants for Population Increases in Certain States, Recovery Act, Title IV, Part A, Section 2102, Public Law 111-5, 42 U.S.C 603(a)(3).

#### **OBJECTIVES:**

These funds will help promote the economic and social well being of children, youth, families, and communities. The objective of the program is to provide supplemental TANF funds for States with exceptionally high population growth in the early 1990s, historic (1994) welfare grants per poor person lower than 35 percent of the national average, or a combination of above average population growth and below average historic welfare grants per poor person.

#### **TYPES OF ASSISTANCE:**

Formula Grants

#### **USES AND USE RESTRICTIONS:**

The Federal TANF Supplemental Grants are in addition to the States annual Federal TANF block fund. Thus, these funds are subject to the same uses and restrictions as the States annual Federal TANF block grant (see CFDA 93.558 Temporary Assistance for Needy Families), and repeated below.

Each State designs and operates its own TANF program, and establishes the specific eligibility criteria that must be met to receive financial assistance payments or other types of benefits and services. Each State has broad flexibility to use the grant funds in any manner that is reasonably calculated to accomplish a purpose of the TANF program (including providing low-income households with assistance in meeting home heating and cooling costs). The purposes of the TANF program are to assist needy families to care for their children in their own homes; reduce dependency of needy parents by promoting job preparation, work and marriage; prevent and reduce the incidence of out-of-wedlock pregnancies; and encourage the formation and maintenance of two-parent families. A State may also use the funds in ways that had been authorized and allowable under its former approved Aid to Families with Dependent Children (AFDC), Job Opportunities and Basic Skills Training (JOBS), and Emergency Assistance (EA) plans. A State may also transfer a limited portion of its Federal TANF funds to the Child Care and Development Block Grant (CCDBG) and Social Services Block Grant (SSBG) Programs. No State may spend more than 15 percent of its Federal TANF funds on administrative costs, exclusive of certain computerization and information technology expenses. See above.

#### **Applicant Eligibility:**

None.

#### **Beneficiary Eligibility:**

None.

#### **Credentials/Documentation:**

Federal funds go to the State (the grantee). States decide the objective eligibility criteria and verification required to determine eligibility and payment of TANF benefits. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

#### **Award Procedure:**

Supplemental Grants, like the annual Federal TANF block grant, are awarded in quarterly payments.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

Varies by State (usually within 45 days).

#### **Appeals:**

States must provide opportunities for recipients who have been adversely affected to be heard in a State administrative or appeal process.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 75%. The TANF program, which includes the standard TANF block grant and the additional Supplemental Grants for 17 States, has an annual cost-sharing requirement known as maintenance-of-effort (MOE). This means that every fiscal year, each State receiving Federal TANF funds must spend an applicable percentage of its own money to help eligible families in ways that are consistent with the purposes of the TANF program. The applicable percentage depends on whether the State meets the minimum work participation rate requirements for that fiscal year. If the State does not meet the work participation rates, then it must spend 80 percent of the amount it spent for fiscal year 1994 on AFDC and AFDC-related programs. If the State meets the work participation rates, then the applicable percentage is 75 percent of the amount it spent for fiscal year 1994 on AFDC and AFDC-related programs. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

States are awarded Supplemental Grants in quarterly payments. Once awarded, the funds are available to the State until expended. See the following for information on how assistance is awarded/released: No information provided.

#### **Reports:**

States receiving the TANF block grant and Supplemental Grants must submit quarterly data reports on families receiving assistance. States must also report expenditures of grant funds on a quarterly basis. Expenditure data related to Supplemental Grants will be reported in a separate category on the quarterly TANF expenditure report for FY 2011. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The TANF program (including the additional TANF supplemental grants) is subject to the Single Audit Act under Chapter 75 of Title 31, United States Code.

#### **Records:**

States are subject to the uniform administrative requirements in 45 CFR Part 92. In particular, the regulations at 45 CFR 92.20 require that all grantees have a financial management system that can adequately trace expenditures to ensure that the funds have been used appropriately, and not in violation of any programmatic restrictions and prohibitions; and require that accounting records are supported by source documentation to support all expenditures. Also, the regulations at 45 CFR 92.42 and TANF Program Instruction TANF-ACF-PI-2003-1, dated January 28, 2003 (<http://www.acf.hhs.gov/programs/ofa/policy/pi-ofa/2003/pi2003-1.PDF>), address record retention and access requirements applicable to all financial and programmatic records, supporting documents, statistical records, and other records of grantees or subgrantees.

#### **Account Identification:**

75-1558-0-1-506.

**Obligations:**

(Formula Grants) FY 10 \$319,450,226; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

State Supplemental Grants are from \$1,132,701 to \$60,405,668, with an average of \$18,791,190.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, 17 grants were awarded. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Temporary Assistance for Needy Families (TANF) Final Rule was originally published in the Federal Register on April 12, 1999 (Vol. 64. No. 69). The TANF final rule implementing the statutory changes pursuant to Deficit Reduction Act of 2005 (Public Law 109-171), which reauthorized the TANF program through FY 2010, were published in the Federal Register on February 5, 2008 (Vol. 73, No. 24). The TANF regulations applicable to State TANF Programs are found in 45 CFR Parts 260 through 265.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Carol Monteiro, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Boston Regional Office, JFK Building, Rm. 2000, Boston, MA 02203. Telephone: (617) 565-2462.

Region II (NJ, NY):

Joanne Krudys, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 127.

Region III (DC, DE, MD, PA, VA, WV):

Eileen Friedman, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4058.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Eric Blanchette, Acting Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Atlanta Regional Office, 61 Forsyth Street, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2782.

Region V (IL, IN, MI, MN, OH, WI):

Steven Krasner, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-3265.

Region VI (AR, LA, NM, OK, TX):

Larry Brendel, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Dallas Regional Office, 1301 Young Street, Room 945, Dallas, TX 75202. Telephone: (214) 767-6236.

Region VII (IA, KS, MO, NE):

Gary Allen, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Kansas City Regional Office, Rm. 276, 601 E 12 St., Kansas City, MO 64106. Telephone: (816) 426-2236.

Region VIII (CO, MT, ND, SD, UT, WY)

Felicia Gaither, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Denver Regional Office, 999 18th

Street, South Terrace, Suite 499, Denver, CO 80202. Telephone: (303) 844-1483.

Region IX (AZ, CA, HI, NV):

Julie Fong and Rick Wever, Acting Regional Program Managers, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-7579, (415) 437-8460.

Region X (AK, ID, OR, WA):

Frank Shields, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Seattle Regional Office, 2201 Sixth Avenue, M/S 74, Seattle, WA 98121. Telephone (206) 615-2569.

**Headquarters Office:**

Robert M. Shelbourne Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, SW., Washington, District of Columbia 20447 Email: rshelbourne@acf.hhs.gov Phone: (202) 401-5150 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/tanf/index.html>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.594 Tribal Work Grants; 93.595 Welfare Reform Research, Evaluations and National Studies; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.717 ARRA - PREVENTING HEALTHCARE-ASSOCIATED INFECTIONS**

ARRA Preventing Healthcare-Associated Infections

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Health Service Act Sections 301(a)[42 U.S.C. 241(a)] American Recovery and Reinvestment Act of 2009, Public Law 111-5, 42 U.S.C 241(a).

**OBJECTIVES:**

This funding was appropriated under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5). The ARRA funds are intended to reduce preventable healthcare-associated infections through State health department efforts to prevent HAIs including leveraging the National Health Care Safety Network to support the dissemination of HHS evidence-based practices within hospitals (\$40 million). Specific goals include: (1) progress towards prevention targets (e.g., 50-70% reduction in bloodstream infections); (2) use of the metrics and supporting systems to assess progress towards meeting the targets; (3) broad implementation of current evidence-based prevention guideline recommendations; (4) develop and implement state public health-healthcare HAI prevention collaboratives to implement prioritized HAI prevention recommendations using CDC's NHSN as the measurement system; (5) enhance and expand participation by hospitals and other healthcare facilities in the NHSN to facilitate reporting of appropriate HAI metrics and progress toward five-year prevention targets to state health departments and CDC, HHS, and other HHS OPDIVs; (6) build a public health workforce in health departments who can coordinate state-wide initiatives to ensure progress towards five-year national prevention targets; (7) assist States in the development and submission of state HAI prevention plans; (8) quickly expand its infrastructure to address a broader array of HAI epidemiology; (9) provide additional training for EIP state staff on HAI epidemiology and surveillance; (10) develop and implement enhanced surveillance tools and methods, and add staff for targeted two year projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

CDC will provide 99.5 percent of the funds to eligible states using the following existing Cooperative Agreements: the Epidemiology and Laboratory Capacity for Infectious Disease program, and the Emerging Infections Program.

Project funds may be used for costs associated with planning, organizing, conducting and supporting programs directed toward preventing healthcare associated infections, and for the implementation of other program elements as described in Section :050: above. These funds may be used for the preservation of jobs necessary to build capacity in state and local health departments related to healthcare associated infection prevention. See above.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, describe plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next two years and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the SF424 (R&R) application forms and SF424 (R&R) Application Guide for this requirement through Grants.gov/Apply. Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. Applicants will not be able to use any other SF424 (R&R) forms (e.g., sample forms, forms from another FOA) although some of the "Attachment" files may be useable for more than one FOA.

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TMS: Telephone (770) 488-2700, Email: PGOTIM@cdc.gov.

HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

The standard application forms must be used for this program, as furnished by CDC and required by 45 CFR 92 for State and local governmental agencies, and by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

All applications that are complete and responsive to non-competitive supplemental grant announcements will be evaluated for scientific and technical merit and receive support. Support will be need based and may be formula driven. Applications that are complete and responsive to competitive supplemental grant and cooperative agreement announcements will undergo an objective review process, receive a written critique and be scored according to published review criteria. Successful applicants will receive a Notice of Award

(NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon availability of funding under the American Recovery and Reinvestment Act.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: until December 29, 2011. Budget Period: variable. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below. Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will be posted to Recovery.gov, containing the following information:

- (a) The total amount of ARRA funds under this award;
- (b) The amount of ARRA funds received under this award that were obligated and expended to projects or activities;
- (c) The amount of unobligated award balances;
- (d) A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) an estimate of the number of jobs created and the number of jobs retained by the project or activity; and (5) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment.
- (e) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). For any sub-award equal to or larger than \$25,000, the following information will be required: (1) the name of the entity receiving the sub-award; (2) the amount of the sub-award; (3) the transaction type; (4) the North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number; (5) program source; (6) an award title descriptive of the purpose of each funding action; (7) the location of the entity receiving the award; (8) the primary location of performance under the award, including the city, State, congressional district, and country; and (9) a unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity.
- (f) All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS.
- (g) Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted.
- (h) Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in award notices. Final financial



status and performance reports are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0144-0-1-550 - TAFS 75 9/10 0144.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - N/A no additional data or dollar figures associated with this CFDA number.

**Range and Average of Financial Assistance:**

From \$100,000 to \$1,600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: N/A No additional data or dollars figures for this CFDA number. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55 b. 45 CFR 92, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Joni Young, National Center for Preparedness, Detection, and Control of Infectious Diseases, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop A07, Atlanta, Georgia 30333 Email: JYoung@cdc.gov Phone: (404) 639-4025 Fax: (404) 639-4043.

**Website Address:**

<http://www.cdc.gov/>; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding would be specifically directed to state health departments for HAI activities and would not be available for other non-related infectious disease activities. For state applicants to be eligible they will have to outline a plan for reporting progress toward HHS Action Plan Prevention Targets using specified metrics, either by participating in NHSN or by using NHSN definitions and surveillance methods in systems compatible with NHSN. CDC will require state applicants to specifically address in their applications state plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next 2 years. Specifically, states will need to demonstrate a continued plan for progress toward meeting HHS Action Plan prevention targets as demonstrated through reporting metrics outlined in the Plan. Other criteria will be listed in individual funding opportunity announcements. This Program requires Congressional Notification. Not Approved.

**93.718 HEALTH INFORMATION TECHNOLOGY REGIONAL EXTENSION CENTERS PROGRAM**

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Section 3012(c) of the Public Health Service Act (PHSA), as added by Section 13301 within Title XIII in Division A of the American Recovery and Reinvestment Act of 2009, Public Law 111-5 (ARRA).

**OBJECTIVES:**

Establish Health Information Technology Regional Extension Centers to identify and disseminate best practices and provide technical assistance supporting the adoption and meaningful use of health IT to improve care quality while protecting patient privacy. The statutory objective of the regional centers is to enhance and promote the adoption of health information technology through means specified in PHSA 3012(c)(3).

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Funds may be used for the initial and operating expenses incurred in establishing and operating a regional center that provides technical assistance services to providers seeking to adopt, implement, and/or meaningfully use certified electronic health records (EHR) technology. The assistance supported under this health information technology extension program, and carried out by regional centers, is technical assistance and consulting service to providers, and does not include funding to the providers.

None of the funds appropriated or otherwise made available in ARRA may be used by an state or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604).

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications are solicited by a program announcement. The availability of this announcement will be broadly published, including by posting on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected by the Secretary of HHS (or designee) for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: PHSA 3012(c)(5) states that the Secretary may not provide more than 50 percent of the capital and annual operating and maintenance funds required to create and maintain such a center, except in an instance of national economic conditions which would render this cost-share requirement detrimental to the program and upon notification to Congress as to the justification to waive the cost-share requirements.

The Secretary has determined that there are national economic conditions which would render the 50 percent cost share requirement to be detrimental to the program and has provided such notification to Congress. Instead, the Secretary has structured a funding partnership between HHS and recipients, as indicated in the Program Announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

PHSA 3012(c)(5), as added by ARRA, specifies that the Secretary may provide financial support to any regional center created under PHSA 3012(c) for a period not to exceed 4 years. Awards are expected to be for one, 4-year budget period and a four year project period, with a 90/10 matching requirement across all 4 years. See the following for information on how assistance is awarded/released. Subject to meeting performance requirements. See the following for information on how assistance is awarded/released: Subject to meeting performance requirements:.

**Reports:**

Program report requirements, if applicable, will be identified in the Program Announcement. The Federal Cash Transaction Report (formerly the PSC-272) is due after the end of each quarter (January 30, April 30, July 30, and October 30). Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. ARRA reports will be required quarterly. For purposes of reporting, ARRA recipients must also report on ARRA sub-recipient (sub-grantees and sub-contractors under the cooperative agreement) activities. Reporting requirements will be detailed in the program announcement and included in award notices.

The frequency of interim progress reports and financial status reports will be identified in the program announcement and will be submitted no later than 30 days following the end of the reporting period to which they pertain. The Federal Financial Report (FFR-425) is due within 90 days after the end of the applicable 12-month period (January 30). ARRA reporting and agency programmatic reporting provisions will require awardees to evaluate performance in view of stated objectives.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$676,637,438; FY 11 est \$44,296,529; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Awards for regional centers are expected to average \$8.5M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: As of May 2011, the RECs had signed up more than 70,000 providers to participate in the program, and are averaging more than 6,000 enrollees per month. ONC is working closely with federal partners, such as IHS and HRSA to connect providers to RECs. As part of this effort, RECs had enrolled more than 13,000 providers at FQHCs, and nearly 1,000 providers at tribal practices as of May 2011 and continue to focus on further enrollment and adoption among these practice types. Four RECs, in MA, SC, MD and MS, have already exceeded their original enrollment targets. Approximately 16% of small practice providers enrolled with RECs are in rural areas, 45% are in metro (suburban and exurban) areas, and 39% are in urban areas. Among the more than 10,000 small practices enrolled in REC programs as of May, 2011, the average size is 2 providers per practice. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR part 74 and the HHS Grants Policy Statement located at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>. There are no program regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mat Kendall 330 C Street, SW, Suite 1100, Washington, District of Columbia 20201 Email: [regional-center-applications@hhs.gov](mailto:regional-center-applications@hhs.gov) Phone: (202)690-7151

**Website Address:**

<http://healthit.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: There are 62 funded RECs that cover 100 percent of the US population. Below are examples of funded projects:

- \$8.4 million to the Arkansas Foundation for Medical Care to create a Regional Extension Center to help 1,280 health care providers in Arkansas become meaningful users of electronic health records (EHRs)
  - \$6.9 million to the University of Kentucky Research Foundation to create a Regional Extension Center to help 1,000 health care providers in Kentucky become meaningful EHRs.
  - \$7.8 million to HealthInsight to create a Regional Extension Center to help 1,463 health care providers in Utah and Nevada become meaningful EHRs.
- Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining merit of applications will be made available in the program announcement(s) for this program. In general, all applicants are required to demonstrate capability to achieve the goals, purposes, and objectives of the program consistent with applicable statutory provisions.

**93.719 ARRA - STATE GRANTS TO PROMOTE HEALTH INFORMATION TECHNOLOGY**

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act (ARRA) of 2009, Division A, Title XIII, HITECH Act, Section 3013.

**OBJECTIVES:**

Promote the electronic movement and use of health information among organizations using nationally recognized interoperability standards. Enable providers to qualify for Medicare and Medicaid financial incentives, authorized by ARRA, by providing health information exchange that meets meaningful use requirements. Improve health care quality and efficiency. A subset of grantees received additional funding to focus on breakthrough innovations for health

information exchange that can be leveraged widely to support nationwide health information exchange and interoperability.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

This state-based program is targeted specifically towards developing widespread and sustainable health information exchange (HIE) capacity in support of the meaningful use definition that qualifies providers for the Medicare and Medicaid incentive payments. This program also supports state public health programs to ensure that public health stakeholders prepare for HIE and mobilizes clinical data needed for consumer engagement across all states. Grantees working on breakthrough innovations are focused on: achieving health goals through health information exchange, improving long-term and post-acute care transitions, consumer-mediated information exchange, enabling enhanced query for patient care and fostering distributed population-level analytics.

None of the funds appropriated or otherwise made available in ARRA may be used by an state or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604).

**Applicant Eligibility:**

Either a State or State Designated Entity may apply.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

State governments and Qualified State-Designated Entities are eligible to apply. The program will require a letter from the Governor establishing the Qualified State Designated Entity, if applicable. Documentation must be provided in accordance with the requirements of all applicable OMB Circulars. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are solicited by a program announcement. The availability of this announcement will be broadly published, including by posting on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected by the Secretary of HHS (or designee) for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: In FY 2010, there is no match required. Beginning with fiscal year 2011, the HITECH Act, Section 3013, requires awardees to make available non-Federal contributions (which may include in-kind contributions) toward the costs of a grant awarded in an amount equal to not

less than \$1 for each \$10 of federal funds provided under this grant in fiscal year 2011, not less than \$1 for each \$7 of federal funds provided under this grant in fiscal year 2012 and not less than \$1 for each \$3 of federal funds provided under this grant for all subsequent fiscal years. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are expected to be for a four year period. See the following for information on how assistance is awarded/released: Subject to meeting performance requirements.

**Reports:**

Grantees are required to submit bi-annual progress reports outlining their work in advancing the development of widespread and sustainable health information exchange capacity in support of the meaningful use. Programmatic reporting requirements will be identified in the Program Announcement. Federal Case Transaction Report (formerly PSC-272) is due 30 days after the end of each quarter (January 30, April 30, July 30, and October 30). Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must also report on ARRA sub-recipient (sub-grantee and sub-contractor) activities. Reports required by ARRA will be required quarterly.

Additional reporting requirements, including the frequency thereof, will be detailed in Funding Opportunity Announcements and included in award notices. Federal Financial Report (FFR 425) is due within 90 days after the end of the applicable 12-month period (January 30). ARRA reporting and programmatic reporting will require awardees to evaluate performance in view of stated objectives.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$547,703,438; FY 11 est \$16,296,562; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Average of each award is estimated at \$10.25M.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chris Muir 300 C Street, SW, Suite 1100  
, Washington, District of Columbia 20201 Email: [christopher.muir@hhs.gov](mailto:christopher.muir@hhs.gov)  
Phone: (202) 205-0470

**Website Address:**

http://healthit.hhs.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining merit of applications will be made available in the funding opportunity guidance document(s) for this program. In general, all applicants are required to demonstrate capability to achieve the goals, purposes, and objectives of the program consistent with applicable statutory provisions.

**93.720 ARRA - SURVEY AND CERTIFICATION AMBULATORY SURGICAL CENTER HEALTHCARE-ASSOCIATED INFECTION (ASC-HAI) PREVENTION INITIATIVE**

ASC-HAI Initiative - Recovery Act

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Section 1864 of the Social Security Act.

**OBJECTIVES:**

- (a) Improve State Agency inspection capability and frequency for onsite surveys of Ambulatory Surgical Centers nationwide;
- (b) Use a new infection control survey tool developed by the Centers for Disease Control and Prevention and CMS;
- (c) Improve the survey process through the use of a CMS tracer methodology; and
- (d) Use multi-person teams for ASCs over a certain size or complexity.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

States will use the funding to conduct additional ASC surveys, save and/or create jobs directly within the State Agency; contract with experienced surveyors who will be trained in the new ASC survey process, enlist the services of State physicians or certified infection control specialists who will accompany surveyors on several of their initial surveys conducted under the new survey process. Funding may not be used to offset costs that are funded through CMS regular survey and certification budget.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any questions about the Recovery Act ASC HAI Initiative or the application process should be directed to Angela Mason-Elbert at 410-786-8279.

Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Memorandum S&C-09-43 outlined the Recovery Act ASC-HAI initiative application process. States must submit projected plans and costs eligible for Recovery Act funding. The plans must include the following:

- Identifying information
- Staffing plan

Capability Expansion and Hiring Plan

Training Plan

Survey Plan

Barriers and Prospective Solutions

Budget Estimate

**Award Procedure:**

All plans must meet the minimum requirements. Plans will be reviewed and grants awarded based on the amount of funding available.

**Deadlines:**

Jun 30, 2009 to Aug 30, 2009 Submission of Plan for FY 2009 funding: June 30, 2009

Selection of States for FY 2009 Implementation: July 2009

Notice to States of FY 2009 Approval & Funding Levels: July 2009

Start Implementation in FY 2009 for Volunteer States: July 2009

Submission of Plan for FY 2010 funding: August 30, 2009

Notice to States of FY 2010 Approval & Funding Levels: September 2009.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. There is no match requirement for States for the Recovery Act ASC-HAI Initiative. Additionally, cost-sharing does not apply insofar as it pertains to the add-ons to the survey process that are occasioned by the Recovery Act.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is available over two years. Method of awarding/releasing assistance: lump sum.

**Reports:**

All State Agencies must be able to track and report ASC-HAI project activities, program participant data, and spending separate from other survey and certification activities. Reporting requirements include quarterly reports, annual reporting, and close-out reporting. State Agencies are responsible for furnishing data on the number of jobs created or saved.

CMS will produce quarterly reports on what work has been completed, including milestones such as training, outreach efforts, and allotments to State Agencies. CMS will also issue an evaluative report on the new ASC survey process. This report will include State Agency input on the value from the enhanced survey infection control tool and other important aspects of the new survey process. No cash reports are required. No progress reports are required. No expenditure reports are required. Based on State agency input into Survey and Certification databases CMS will capture output and outcome measures such as training of surveyors and an increase of ASC surveys performed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients must follow the Administrative requirements for record keeping as listed in A-102.

**Account Identification:**

75-0518-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$9,000,000; FY 11 est \$0; and FY

12 est \$0

**Range and Average of Financial Assistance:**

FY 09: (12 States participating in pilot program); Range for 12 States is from \$11,500-\$125,000; and an average of \$61,163; FY 10: Range of 43 States participating \$17,262 - \$1,365,979; and an average of \$190,715.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: States were able to complete over 1,500 surveys in FY2010. Additionally, since States performed more efficiently than originally anticipated, they are continuing to use funds in 2011 to continue using the enhanced process for more surveys of ASCs. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) and application kits may be obtained from the Office of Acquisition and Grants Management, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850.

The HHS Grants Policy Statement can be found at:

[http://www.hhs.gov/grantsnet/docs/HHSGPS\\_107.doc](http://www.hhs.gov/grantsnet/docs/HHSGPS_107.doc)

The ARRA Award Terms and Conditions can be found at:

<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>

**Regional or Local Office:**

See Regional Agency Offices. Angela Mason-Elbert, [angela.mason-elbert@cms.hhs.gov](mailto:angela.mason-elbert@cms.hhs.gov) - (410) 786-8279  
Marilyn Dahl, [Marilyn.dahl@cms.hhs.gov](mailto:Marilyn.dahl@cms.hhs.gov) - (410) 786-8665.

**Headquarters Office:**

Angela Mason-Elbert, 7500 Security Boulevard, Baltimore, Maryland 21207  
Email: [angela.mason-elbert@cms.hhs.gov](mailto:angela.mason-elbert@cms.hhs.gov) Phone: (410) 786-8279.

**Website Address:**

<http://www.cms.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All acceptable proposals will be funded. To the extent that proposals exceed available funds, the funds will be pro-rated downward, beginning with those States that propose to survey more than 33% of non-deemed ASCs.

**93.721 ARRA - HEALTH INFORMATION TECHNOLOGY PROFESSIONALS IN HEALTH CARE**

Health Information Technology Education (HITE)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Section 3016 of the Public Health Service Act (PHSA), as added by Section 13301 within Title XIII in Division A of the American Recovery and Reinvestment Act (ARRA) of 2009, Public Law 111-5.

**OBJECTIVES:**

PHSA 3016, as added by the Recovery Act, directs the Secretary to provide assistance to institutions of higher education (or consortia thereof) to establish or expand health informatics education programs, including certification, undergraduate, and masters degree programs, for both health care and information technology students to ensure the rapid and effective utilization and development of health information technologies (in the United States health care infrastructure).

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Activities for which assistance may be provided include the following:

- (1) Developing and revising curricula in medical health informatics and related disciplines.
- (2) Recruiting and retaining students to the program involved.
- (3) Acquiring equipment necessary for student instruction in these programs, including the installation of testbed networks for student use.
- (4) Establishing or enhancing bridge programs in the health informatics fields between community colleges and universities.

None of the funds appropriated or otherwise made available in ARRA may be used by a state or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604).

**Applicant Eligibility:**

Financial assistance to institutions of higher education, or consortia thereof, to rapidly develop a health information technology workforce.

**Beneficiary Eligibility:**

Financial assistance to institutions of higher education, or consortia thereof, to rapidly develop a health information technology workforce.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application procedures will be specified in individual funding opportunity announcements. Applicants may consult with the office or official designated as the contact in the funding opportunity announcement for additional information on the application procedures.

**Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

**Deadlines:**

Jan 25, 2010: Program of Assistance for University-Based Training.  
Application deadlines for each program were established in the funding opportunity announcement for each American Recovery and Reinvestment Act: Information Technology Professionals in Health Care program, as follows:  
Curriculum Development Centers January 14, 2010  
Community College Consortia to Educate Health Information Technology Professionals January 22, 2010  
Competency Examination Program January 25, 2010  
Program of Assistance for University-Based Training January 25, 2010.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards were made for program periods ranging from 2 to 4 years. Individual programs' funding opportunity announcements should be consulted for specific

information. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports, if required, will be identified in individual funding opportunity announcements. A Federal Cash Transaction Report (formerly the PSC-272) is due 30 days after the end of each quarter (January 30, April 30, July 30, and October 30). Progress and financial reporting requirements will be identified in individual funding opportunity announcements. In addition, recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. ARRA reports will be required quarterly. The Federal Financial Report (FFR-425) is due within 90 days after the end of the applicable 12-month period (January 30). Performance monitoring, if required, will be identified in individual funding opportunity announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Project Grants (Discretionary)) FY 10 \$83,725,590; FY 11 est \$33,538,632; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Awards range from approximately \$1,000,000 - \$11,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR part 74 and the HHS Grants Policy Statement located at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm> and ARRA terms and conditions: <http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>

**Regional or Local Office:**

None.

**Headquarters Office:**

Chitra Mohla 200 Independence Avenue, SW  
Suite 729D, Washington, District of Columbia 20201 Email:  
HealthTEducation@hhs.gov Phone: 202-205-0690

**Website Address:**

<http://healthit.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining the merit of applications are available in the program-specific funding opportunity announcements for this program. In general, all applicants were required to demonstrate capability to achieve the

goals, purposes, and objectives of the program consistent with applicable statutory provisions.

**93.722 ARRA - IHS TRIBAL AGREEMENTS**

ARRA IHS Tribal Agreements

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5; Indian Self-Determination and Education Assistance Act, Title 1, Section 102, Public Law 93-638, Title 1, Section 102, Public Law 93-638.

**OBJECTIVES:**

\$500 Million in Recovery Act Funds to Improve Health Care and Boost Economy in Indian Country. These funds will be obligated both through tribal agreements and under contracts subject to the Federal Acquisition Regulation, as summarized in the Agency implementation plans.

The Recovery Act health facility construction funds will be used to complete the construction of the new IHS Eagle Butte Health Center in Eagle Butte, South Dakota and the Norton Sound Regional Hospital in Nome, Alaska. The Eagle Butte Health Center will serve approximately 9,300 American Indians residing on the Cheyenne River Reservation. The facility will replace the existing Eagle Butte IHS Hospital which, at approximately one-third the size of the new facility, is stressed to meet the needs of the entire service population. The new Norton Sound facility replaces a 61-year-old hospital that is stretched to serve an estimated 10,000 users. The project will create a substantial number of new jobs in construction, transportation, and other professions and help fight unemployment in Nome.

Sanitation facilities funds will be used to complete 169 sanitation facilities projects constructed in 24 states. These projects will provide potable water, waste water disposal and solid waste systems to American Indian and Alaska Native homes and communities. An estimated 16,000 homes will be served by these projects, which will also help foster economic growth and create jobs.

The ARRA will also fund 302 maintenance and improvement projects. Many IHS and tribal facilities require structural renovations, additional space, and design updates to accommodate modern health care delivery practices. These projects will help maintain and improve facilities, which will improve patient care. These projects will also result in enhanced energy conservation and provide local jobs and economic stimulus.

Finally, Recovery Act funds will be used to purchase over 200 pieces of medical equipment, including 35 ambulances and 10 Computed Tomography (CT) scanners, all of which will contribute substantially to patient care. Other equipment to be purchased includes cardiac monitoring equipment, equipment for integration of electronic patient records, blood chemistry analyzers, dental equipment, emergency defibrillators, x-ray systems, among other items. The equipment will be distributed across 24 states.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts)

**USES AND USE RESTRICTIONS:**

ARRA funds must be expended for the specific purpose outlined in the ARRA Agreement. The recipient understands it is not authorized to rebudget, redesign, reallocate, or reprogram ARRA funds without written authorization from the Awarding Agency. All IHS Funds are discretionary funds.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Contract agreements are submitted to the Office of Tribal Self Governance and approved by the Director and then forwarded to the Area Offices for payment.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The parties agree that the Awarding Agency's authority to obligate funds related to this contract expires on September 30, 2010 and that any contractual conditions placed on receipt of payments under this addendum/contract must be met to ensure obligation by that date at the latest or earlier as agreed to in this contract/addendum or in the associated contractual documents. Delay or failure to meet conditions placed on receipt of funds (e.g., completion of specific stage of construction) may place the project or activity at risk of losing ARRA funds. The ARRA funds provided for in this agreement are one-time only, non-recurring funds. By providing ARRA funds, the Awarding Agency is not obligated to provide funding for this project or activity from future appropriations. Method of awarding/releasing assistance: quarterly.

**Reports:**

Pursuant to section 1512(c) of ARRA, the Contractor shall provide a report on a Quarterly Basis, not later than 10 days after the end of each calendar quarter. The information referenced in this section will be posted by the Contractor online at <http://FederalReporting.gov>. The Contractor shall use the reporting instructions and data elements that will be provided on this website and ensure that any information that is pre-filled is corrected or updated as needed. The information referenced in this section may also be posted by the Awarding Agency to [Recovery.gov](http://Recovery.gov). The total amount of ARRA funds received from the Awarding Agency. The amount of ARRA funds received that were expended or obligated to projects or activities. A detailed list of all projects or activities for which ARRA funds were expended or obligated, including: a. the name of the project or activity; b. a description of the project or activity; c. an evaluation of the completion status of the project or activity; and d. an estimate of the number of jobs created and the number of jobs retained by the project or activity. The total amount of ARRA funds received from the Awarding Agency.

The amount of ARRA funds received that were expended or obligated to projects or activities. Detailed information on any subcontracts awarded by the Tribe to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director, Office of Management and Budget.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3 year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later.

**Account Identification:**

75-0392-2-0-099 - 75-0389 20092010.

**Obligations:**

(Project Grants (Contracts)) FY 10 \$420,000,000; FY 11 est \$0; and FY 12 est \$0 - The IHS's authority to obligate funds related to ARRA contracts expires on September 30, 2010 and any contractual conditions placed on receipt of payments under the ARRA addendum/contract must be met to ensure obligation by that date at the latest or earlier as agreed to in this contract/addendum or in the associated contractual documents.

**Range and Average of Financial Assistance:**

\$0 - \$80 Million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ARRA, Public Law 111-5, ARRA OMB Guidance ; Public Law 93-638, as amended, Public Law 106-206; Internal Agency Procedures Manual for Contracting Under Title I of the Indian Self Determination and Education Assistance Act; Indian Health Circular No. 2000-01; 25 CFR 900; 42 CFR 36; and the terms and conditions on the HHS website at: <http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

: CAPT Randall J.F. Gardner, P.E., USPHS 12300 Twinbrook Parkway, Suite 600A, Rockville, Maryland 20852 Email: [Randall.Gardner@ihs.gov](mailto:Randall.Gardner@ihs.gov) Phone: (301) 443-1247.

**Website Address:**

<http://www.hhs.gov/recovery/> or <http://www.recovery.gov/>

**RELATED PROGRAMS:**

15.024 Indian Self-Determination Contract Support; 15.025 Services to Indian Children, Elderly and Families; 15.241 Indian Self-Determination Act Contracts, Grants and Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.723 ARRA - PREVENTION AND WELLNESS-STATE, TERRITORIES AND PACIFIC ISLANDS**

Centers for Disease Control and Prevention - ARRA Prevention and Wellness - State, Territories and Pacific Islands Supplemental

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under sections 301(a), 307, 310, 3111 and 317(k) (2) American Recovery and Reinvestment Act of 2009 (ARRA) [Public Law 111.5], Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2, and the Comprehensive Smoking Education Act of 1984, Comprehensive Smokeless Tobacco Health Education Act of 1986.

**OBJECTIVES:**

This funding was appropriated under the American Recovery and Reinvestment Act of 2009 (Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2). The ARRA funds are intended to reduce Chronic Disease risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions. There will be two program components included in the supplemental award announcement; Nutrition, Physical Activity, and Tobacco Control (component 1) and National Network of Tobacco Quitlines (component 2). This initiative will address the following areas in component 1: Increased levels of physical activity Improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats); decreased smoking prevalence and decreased teen smoking initiation; and Decreased exposure to secondhand smoke. and Component 2 Expand National Network of Tobacco Quitlines. States, Territories, Pacific Islands and the District of Columbia funded under this announcement will accomplish this by planning and implementing interventions and establishing evidence-based policies to support and institutionalize healthy behaviors related to nutrition, physical activity and tobacco prevention among state/territory residents. These strategies will ultimately help change social norms and make healthier choices easier and more affordable to residents. Programs will focus on policy and environmental changes that both improve state- and territory-wide policies and support community efforts for chronic disease prevention and control.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Of the \$650 million, \$128.1 million will support States and Territories in promoting wellness and preventing chronic disease through state-wide and local policy and environmental change for chronic disease prevention and to expand tobacco quit lines and tobacco counter advertising. This program will support evidence-based policies and interventions at the state and local levels which ultimately help change social norms and make healthier choices easier and more affordable. Programs will focus on policy and environmental changes that both improve statewide policies and support community efforts for chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual to support policy and system changes to reduce chronic disease risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions in the following areas; to increased levels of physical activity, improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats); decreased smoking prevalence and decreased teen smoking initiation; and to decreased exposure to secondhand smoke. To support a core infrastructure for the delivery of quitline services which include proactive counseling and promotion/outreach. Proactive quitlines exist when a trained counselor telephones the smokers to provide support in initiating a quit attempt and maintaining prolonged abstinence. Funds may be used to expand and promote proactive counseling capacity, enhance and expand integration of online and other electronic information support technologies, expand media and marketing efforts, extend hours of service, expand outreach to specific populations, provide multiple language services, increase collaborations with healthcare systems and providers, and for evaluation. Purchase of Nicotine Replacement Therapy medications is authorized with these funds. FDA-approved Nicotine Replacement Therapy (e.g., nicotine patch, gum, nasal spray, inhaler, and lozenge) is proven effective in helping people quit smoking. Recipients may not use funds for research. Recipients may not use funds for clinical care. Recipients may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible. Recipients may not spend more than 10 percent of the total award on nicotine replacement therapy.

**Applicant Eligibility:**

Only applicants currently funded under Funding Opportunity Announcement DP09-901 and DP09-902 are eligible to apply for these supplemental funds.

**Beneficiary Eligibility:**

Only applicants currently funded under Funding Opportunity Announcement

DP09-901 and DP09-902 are eligible to apply for these supplemental funds.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, describe plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next two years and provide a budget with justification of funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the SF424 application forms through Grants.gov/Apply. Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: PGOTIM@cdc.gov. HHS/CDC Telecommunications for the hearing impaired: TTY (770) 488-2783.

**Award Procedure:**

All applications that are complete and responsive to non-competitive supplemental grant announcements will be evaluated for scientific and technical merit and receive support. Support will be need and formula based and demonstrated capacity to accomplish the activities listed in the supplemental announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: until October 30, 2012. Method of awarding/releasing assistance: lump sum.

**Reports:**

Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below. Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will be posted to Recovery.gov, containing the following information: (a) The total amount of ARRA funds under this award; (b) The amount of ARRA funds received under this award that were obligated and expended to projects or activities; (c) The amount of unobligated award balances; (d) A detailed list



of all projects or activities for which ARRA funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) an estimate of the number of jobs created and the number of jobs retained by the project or activity; and (5) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment; (e) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). For any sub-award equal to or larger than \$25,000, the following information will be required: (1) the name of the entity receiving the sub-award; (2) the amount of the sub-award; (3) the transaction type; (4) the North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number; (5) program source; (6) an award title descriptive of the purpose of each funding action; (7) the location of the entity receiving the award; (8) the primary location of performance under the award, including the city, State, congressional district, and country; and (9) a unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity. (f) All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS.

(g) Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted. (h) Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

#### **Account Identification:**

75-0942-0-1-550.

#### **Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$120,555,527; FY 11 est \$0; and FY 12 est \$0 - Funding for ARRA awards were budgeted for a 2-year budget/project period, and funding was obligated in FY10.

#### **Range and Average of Financial Assistance:**

Component 1 (State Chronic Disease Policy and System Change - \$300,000 to 3.9 million

Component 2 (Tobacco Quitline) - \$100,000 to 3.2 million.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Accomplishment will be identified and the end of the project period. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Kevin Collins, 1600 Clifton Road, NE., Mailstop K45, Atlanta, Georgia 30333  
Email: KTCollins@cdc.gov Phone: (770) 488-1218 Fax: (770) 488-1220.

#### **Website Address:**

No Data Available

#### **RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Funding would be specifically directed to state and local health departments for Evidenced-Based Clinical and Community-Based Prevention and Wellness activities. CDC will require state applicants to specifically address in their applications state plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next 2 years. Specifically, states will need to demonstrate a continued plan for progress toward meeting HHS Action Plan prevention targets as demonstrated through reporting metrics outlined in the Plan. Other criteria will be listed in individual funding opportunity announcements.

#### **93.724 ARRA - PREVENTION AND WELLNESS COMMUNITIES PUTTING PREVENTION TO WORK FUNDING OPPORTUNITIES ANNOUNCEMENT (FOA)**

Centers for Disease Control and Prevention ARRA Prevention and Wellness Communities Putting Prevention to Work

#### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

This program is authorized under section 301(a) and 317(k) 2) American Recovery and Reinvestment Act of 2009, Public Health Service Act, 42 U.S.C. 241(a) and 247b (k) 2311.

#### **OBJECTIVES:**

This funding was appropriated under the American Recovery and Reinvestment Act of 2009 (Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2) to reduce Chronic Disease risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions. This initiative will address the following:

- Increased levels of physical activity
- Improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats);
- Decreased smoking prevalence and decreased teen smoking initiation; and
- Decreased exposure to secondhand smoke.

Communities funded under this announcement will accomplish this by implementing population-based approaches such as policy, systems, and environmental changes across 5 evidence-based strategies access, media, point of decision information, social support services, and price in both schools and communities. Both components are necessary to achieve behavior change in youth that sustain from school settings into family and community settings, and supports sustaining healthy behavior into adulthood. Communities funded by this announcement will receive a menu of evidence-based interventions along with support and tools from the Centers for Disease Control and Prevention (CDC) to strengthen and develop effective strategies tailored to their needs.

The cooperative agreements will address the Healthy People 2010 focus areas of obesity, cardiovascular disease, tobacco, and educational and

community-based programs; the Health Protection Goals of Healthy People in Every Stage of Life which states that all people, and especially those at greater risk of health disparities, will achieve their optimal lifespan with the best quality of health in every stage of life, and Healthy People in Healthy Places which states that the places where people live, work, learn, and play will protect and promote their health and safety, especially those at greater risk of health disparities..

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Of the \$650 million, \$409.9 million will support intensive community approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions in the following areas; to increased levels of physical activity, improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats); decreased smoking prevalence and decreased teen smoking initiation; and to decreased exposure to secondhand smoke.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Recipients may not spend more than 10% of the total award on nicotine replacement therapy.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

Applicants will be required to provide the following information:

Demonstrate that they have a coalition in place with experience in promoting health promotion or prevention of chronic disease outcomes or experience that relates to improving chronic disease outcomes, including the capacity to influence policy, system and/or environmental changes in the community.

Demonstrate that they have an existing community action plan in place related to improving behaviors that lead to chronic diseases through changing policy, systems and/or environment.

Provide documentation that they have received a grant of sufficient size to indicate the ability to adhere to Federal ARRA requirements and to expend a large amount of funds in the project period outlined by the Communities Putting Prevention to Work Initiative.

Ensure that at least 50% of the total award is spent extramurally.

Provide letters of support from school districts indicating support for implementing the YRBS survey for baseline and follow-up data. Successful applicants will also be required to meet quarterly benchmarks for the Communities Putting Prevention to Work Initiative. At the end of each quarter, the grantee will receive a score card that indicates the percentage of benchmarks being met (100%-70% of benchmarks = green; 70%-50% of benchmarks = yellow; less than 50% of benchmarks = red). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the SF424 application forms through [Grants.gov/Apply](http://Grants.gov/Apply).

Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used.

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

**Award Procedure:**

All applications that are complete and responsive to this competitive funding opportunity announcement will be evaluated for programmatic and technical merit. Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the National Center for Chronic Disease Prevention and Health Promotion and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements.

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in the funding opportunity announcement. The panel will be comprised of a primary, secondary, and tertiary reviewer that will score the applications and document their strengths and weaknesses. The applications will be scored against the criteria not against one another. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirement.

This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: until April 30, 2012. Method of awarding/releasing assistance: lump sum.

**Reports:**

Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below. Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will be posted to [Recovery.gov](http://Recovery.gov), containing the following information:

- (a) The total amount of ARRA funds under this award;
- (b) The amount of ARRA funds received under this award that were obligated and expended to projects or activities;
- (c) The amount of unobligated award balances;
- (d) A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) an estimate of the number of jobs created and the number of jobs retained by the project or activity; and (5) for

infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment; (e) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). For any sub-award equal to or larger than \$25,000, the following information will be required: (1) the name of the entity receiving the sub-award; (2) the amount of the sub-award; (3) the transaction type; (4) the North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number; (5) program source; (6) an award title descriptive of the purpose of each funding action; (7) the location of the entity receiving the award; (8) the primary location of performance under the award, including the city, State, congressional district, and country; and (9) a unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity.

(f) All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS.

(g) Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted. (h) Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0942-0-1-550.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$402,212,500; FY 11 est \$0; and FY 12 est \$0 - Funding for ARRA awards were budgeted for a 2-year budget/project period, and funding was obligated in FY10. Funding reflects - DP09-912- 372,812,500 and Additional Approved but unfunded award 29,400,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Accomplishments will be addressed at the end of the project period for this program. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

Mike Waller, 1600 Clifton Rd, Atlanta, Georgia 30333 Email: MNW1@cdc.gov Phone: (770) 488-5264.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding would be specifically directed to state and local health departments for Evidenced-Based Clinical and Community-Based Prevention and Wellness activities. CDC will require state applicants to specifically address in their applications state plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next 2 years. Specifically, states will need to demonstrate a continued plan for progress toward meeting HHS Action Plan prevention targets as demonstrated through reporting metrics outlined in the Plan. Other criteria will be listed in individual funding opportunity announcements.

**93.726 ARRA ACCELERATING ADOPTION OF COMPARATIVE EFFECTIVENESS RESEARCH (CER)**

CER

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act (ARRA), Public Law 111-5; Public Health Services Act, Title 42, Section 301.

**OBJECTIVES:**

Comparative effectiveness research is the conduct and synthesis of research comparing the benefits and harms of different interventions and strategies to prevent, diagnose, treat and monitor health conditions in real world settings. The purpose of this research is to improve health outcomes by developing and disseminating evidence-based information to patients, clinicians, and other decision-makers, responding to their expressed needs, about which interventions are most effective for which patients under specific circumstances.

The purpose of this program is to develop and test strategies to improve the dissemination of CER information and the resultant translation of this evidence into practice in the non-profit and private sector. Doing so effectively would demonstrate a return on the CER investment, and, more importantly, improve the health of the patients served by a given organization. Funds will be used to support organizations that 1) develop evidence-informed, yet innovative dissemination and translation strategies; 2) develop proposals that study the implementation of dissemination and translation strategies within their organization.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

This program is subject to the provisions of 45 CFR 74, and 45 CFR 92 as well as OMB Circular No. A-102 (Administrative Guidelines for States and Local Governments), and OMB Circular A-110 (Administrative Guidelines for Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations). Funds may not be used for construction or renovation of buildings.

**Applicant Eligibility:**

Types of institutions or organizations that can apply include integrated health care systems, integrated provider systems, academic medical centers, provider consortia, community health center networks, private payers, other non-governmental organizations that administer or directly provide health care

services, and organizations that serve health care consumers. Additional eligible applicants include University-based schools (e.g. School of Public Policy or Public Health) and private research institutes.

Projects must meet the definition of CER in the Federal Coordinating Council Report: <http://www.hhs.gov/recovery/programs/cer/cerannualrpt.pdf>.

**Beneficiary Eligibility:**

Expected beneficiaries include patients, health care providers, policymakers, and healthcare systems.

**Credentials/Documentation:**

Nonprofit organizations must provide evidence of tax-exempt status. When projects involve the collaborative efforts of more than one organization or require the use of services or facilities not under the direct control of the applicant, written assurances of specific support or agreements must be submitted by the affected parties. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are submitted in response to specific funding opportunity announcements via Grants.gov. Each announcement provides specific additional instructions regarding the contents of the narrative description of the project, budget justification, forms and other required information.

**Award Procedure:**

After the peer review of the application is completed, the Principal Investigator will be able to access his or her Summary Statement (written critique) via the eRA Commons. A formal notification in the form of a Notice of Award (NOA) will be provided to the applicant organization. Once all administrative and programmatic issues have been resolved, the Notice of Award will be generated from the awarding component to the grantee business official. The NOA signed by the grants management officer is the authorizing document.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions to the project period may be made if deemed appropriate by the Assistant Secretary for Planning and Evaluation.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program is funded by ARRA and has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are generally funded on a 12-month basis. Support beyond the first year is contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and the availability of funds. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. No cash reports are required. When multiple years are involved, grantees will be required to submit the Non-Competing Grant Progress Report (PHS 2590) annually. The annual progress reports must include Sections a through f as described in the general PHS form 2590 instructions, as well as sections g through j as described in Section IV of the 2590 instructions. For details regarding progress report submission, refer to <http://www.ahrq.gov/fund/noncomp.htm>. If instructions on the ASPE website are different from the PHS form 2590 instructions, follow the instructions on

the ASPE website. The Progress Report is to include descriptive and evaluative comments on both completed activities and plans for the remainder of that year, including any changes foreseen in the future. At a minimum, the reports will include descriptive comments on: progress to date measured against project aims; methodological changes implemented; key preliminary findings; significant problems and resolutions; inclusion of priority populations; and project related publications, presentations, and dissemination activities. ASPE will provide the timetable for these progress reports. A final Progress Report and Financial Status Report are required when an award ends. For further details regarding grant closeout requirements, refer to <http://www.ahrq.gov/fund/closeout.htm>. Financial Status Reports (FSRs; SF 269) are required annually by ASPE for ALL grant programs as described in the HHS Grants Policy Statement (see <http://www.ahrq.gov/fund/hhsolicy.htm>). This report must be submitted for each budget period no later than 90 days after the close of the budget period. A hard copy of the report should be submitted to the assigned grants management specialist.

A final Progress Report and Financial Status Report are required when an award ends. For further details regarding grant closeout requirements, refer to <http://www.ahrq.gov/fund/closeout.htm>. In addition to the standard ASPE terms of award, all funding provided under the Recovery Act will be subject to the HHS Standard Terms and Conditions for American Recovery and Reinvestment Act of 2009 (ARRA). The full text of these terms approved for ASPE awards can be found in the following document: Standard Terms and Conditions for ARRA Awards. Recovery Act-related reporting requirements will be incorporated as a special term of award. A final Progress Report and Financial Status Report are required when an award ends. For further details regarding grant closeout requirements, refer to <http://www.ahrq.gov/fund/closeout.htm>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable as Federal financial assistance are subject to audit by the HHS audit agency and the Office of the Assistant Secretary for Planning and Evaluation and NIH conducts audits.

**Records:**

In accordance with 45 CFR Part 74.53 and 45 CFR Part 92, grantees are to maintain accounting records for a minimum of 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0910-1-7-010.

**Obligations:**

(Project Grants) FY 10 \$20,315,993; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

ASPE has designated \$300,000 to \$3,000,000 in FY 2010 to fund 5-10 grants, contingent upon the submission of a sufficient number of scientifically meritorious applications.

Budget proposals are limited to \$1,000,000 in total costs per year for a total of \$3,000,000 in costs over 3 years. Facilities and administrative (F&A) costs requested by applicants are included in the total cost limitation. Applications with project periods that exceed 3 years or budgets that exceed \$1,000,000 total costs per year will not be reviewed.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Thirty seven applications were received and 7 awards were made. Fiscal Year 2011: All projects are successfully underway with no unanticipated problems. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grant administration policies (45 CFR 74 and 92) and application kits may be obtained from the ASPE Grants Management Specialist, LTS, National Institute of Allergy and Infectious Diseases, NIH, DEA, DHHS, 6700B Rockledge Drive, Room 3220, Bethesda, MD 20892-7614. Additional information about the mission and activities of the Office of the Assistant Secretary for Planning and Evaluation is available on its website at <http://aspe.hhs.gov>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Katherine H Goodrich 200 Independence Avenue SW, Room 447-D, Washington, District of Columbia 20201 Email: [kate.goodrich@hhs.gov](mailto:kate.goodrich@hhs.gov) Phone: 2026907213

**Website Address:**

<http://aspe.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The rating criteria will be included in the FOA that requests grant proposals. The criteria typically include such concerns as the significance and usefulness of the project; the appropriateness of the intervention/measurement methodology and design; the qualifications of personnel and the sponsoring organization; and the likelihood that the work plan and budget will produce the intended results.

**93.727 ARRA - HEALTH INFORMATION TECHNOLOGY - BEACON COMMUNITIES**

Beacon Community Program

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act (ARRA) of 2009, Division A, Title XIII, Part HITECH Act, Section 3011, Public Law 111-5.

**OBJECTIVES:**

The Beacon Community Program will provide funding to communities to build and strengthen their health information technology (health IT) infrastructure and exchange capabilities to demonstrate the vision of the future where hospitals, clinicians and patients are meaningful users of health IT, and together the community achieves measurable improvements in health care quality, safety, efficiency, and population health.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Awarded communities must use the funding provided under this program to support health IT and information exchange infrastructure and implement performance measurement, quality improvement, and care coordination programs to achieve improvements in health care quality, safety, efficiency, and population health. Funding can build and strengthen existing health IT and information exchange infrastructure and support 1) the use of health information technology by public health departments, 2) adoption of certified electronic health records (by providers not currently eligible for HIT incentive payments or regional HIT extension center assistance), 3) training on and dissemination of information on best practices to integrate health information technology into providers delivery of care, 4) infrastructure and tools for the promotion of telemedicine, 5) community-wide quality reporting repositories and registries, and 6) the protection of health information by all holders of individually identifiable health information. None of the funds appropriated or otherwise made available in ARRA may be used by any state or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604).

**Applicant Eligibility:**

The lead applicant which submits a Beacon Community application on behalf of their community must be a US-based non-profit organization or state, local, tribal or territorial government entity, but may represent a consortium of organizations and providers. Private providers and insurers will be encouraged to participate in the consortia.

**Beneficiary Eligibility:**

The identification and dissemination of best practices and lessons learned will directly benefit organizations and communities advancing health information technology and exchange. The knowledge attained by these awarded communities will, in turn, benefit the nations communities as a whole.

**Credentials/Documentation:**

If an applicant is a US-based non-profit entity it must provide documentation of its 501C (3) status or IRS determination letter, IRS tax exemption certificate, or letter from state taxing body verifying tax-exempt status. If the proposal is on behalf of a consortium, there must be letters of commitment from all members of the consortium which include their tax status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is excluded from Executive Order 12372.

Applications are solicited by a program announcement. The availability of this announcement will be broadly published, including by posting on [www.grants.gov](http://www.grants.gov).

All timely applications from eligible entities that conform to the requirements of the program announcement will be forwarded to an objective review committee which will make funding recommendations, based on the merits of the applications. The selection of awardees will be made by the Secretary of HHS, or designee.

**Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected by the Secretary of HHS (or designee) for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. There is no match required for this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards will be made for a 36 month project period with one 36 month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program report requirements, if applicable, will be identified in the Program Announcement. The Federal Cash Transaction Report (formerly the PSC-272) is due 30 days after the end of each quarter (January 30, April 30, July 30, and

October 30). Progress report requirements, if applicable, will be identified in the Program Announcement. Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. ARRA reports will be required quarterly. Reporting requirements for ARRA programs can be found at: <http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>. The Federal Financial Report (FFR-425) is also due within 90 days after the end of the applicable 12-month period (January 30). Applicants will submit annual progress reports as outlined in the Program Announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3- year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3 year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Salaries) FY 10 \$259,345,828; FY 11 est \$5,886,580; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Awards may range from a minimum of \$10,000,000 to a maximum of \$20,000,000. Average award amount is anticipated to be \$15,000,000. 17 awards were granted in Fiscal Year 2010.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 74, 45 CFR Part 92, and the HHS Grants Policy Statement located at: <http://www.hhs.gov/asrt/og/grantinformation/hhsgps107.pdf>. There are no program regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of the National Coordinator for Health Information Technology 200 Independence Avenue, SW, Suite 729D  
, Washington, District of Columbia 20201 Email:  
BeaconCommunityGrants@hhs.gov Phone: 202-690-7151

**Website Address:**

<http://healthit.hhs.gov>

**RELATED PROGRAMS:**

93.718 Health Information Technology Regional Extension Centers Program;  
93.719 ARRA - State Grants to Promote Health Information Technology

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining the merit of applications will be made available in the program announcements for this program. In general, all applicants are required to demonstrate capability to achieve specific and measurable health outcomes and health care efficiency objectives consistent with health IT enabled performance monitoring, feedback, practice redesign, and care coordination.

**93.728 ARRA - STRATEGIC HEALTH IT ADVANCED RESEARCH PROJECTS (SHARP)**

SHARP

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Public Law 111-5) (Recovery Act), Title XIII, Part A, Section 3011.

**OBJECTIVES:**

To competitively-awarded cooperative agreements to establish Strategic Health IT Advanced Research Projects (SHARP). The awardees will conduct research focusing on where breakthrough advances are needed to address well-documented problems that have impeded adoption of health IT and to accelerate progress towards achieving nationwide meaningful use of health IT in support of a high-performing, learning health care system.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

ONC expects to award four cooperative agreements to support establishment of Strategic Health IT Advanced Research Projects (SHARP) sites for a project period of four years. Each such research site will have a two-part mission:

- (1) to implement a collaborative, interdisciplinary program of research addressing a specific focus area from the list provided below, addressing short-term as well as long-term challenges; and
- (2) to develop and implement a cooperative program between researchers, patient groups, health care providers, and other health IT sector stakeholders to transition the results of research into practice.

Each site will focus on areas where breakthrough improvements are needed to address well-documented problems that have impeded adoption of health IT and thereby accelerate progress on the pathway towards achieving the goals outlined in the strategic plan for health IT developed by the National Coordinator pursuant to PHSA Section 3001(c)(3) as added by the Recovery Act, specifically including the nationwide achievement of meaningful use of health IT to achieve transformational improvement of the health care system.

Each site will implement a collaborative, inter-disciplinary research program addressing one of the specific focus area(s) listed below. An eligible entity may, apply for funding in separate applications to establish more than one site, and thus it is possible a single eligible entity (institution) may receive more than one award under this program. Regardless of the total number of institutions funded to establish sites under this program, it is expected that the all of the awardees will collaborate with each other, as there will be numerous points of intersection among the sites' agendas.

Within its focus (listed below) area, each site will carry out at least the following set of activities:

- Initially define and subsequently update or redefine on a yearly basis, the key issues and research challenges within their respective area(s) of focus. The research areas identified will be those that significantly address barriers and solutions to achieving widespread adoption and meaningful use of health IT. Projects to address the identified issues will be mapped to either a short-term (< 2 years) or long-term (4 years) timeframe. Because this is a cooperative agreement, recipients shall plan and allow for collaboration with ONC and other federal staff with relevant expertise as identified or approved by ONC in establishing and updating the definition of key issues and research challenges in the sites focus area;
- Conduct ambitious research addressing these key issues and challenges. This work will draw on the scientific methods and expertise of researchers and practitioners in diverse fields;
- Collect specific, uniform data about the research activities and track progress toward milestones;
- Facilitate practical and efficient processes that enable translation of research into health care and public health innovations, facilitating the transition of multidisciplinary research outcomes into new healthcare products and services

both the short- and long-term;

Partner with industry to rapidly transfer short term results of this research into health IT products;

Publish and otherwise disseminate these research findings, preferably in open source journals that maximize the accessibility of this knowledge to the entire health IT community

Participate in an external evaluation; and

Select desired, measurable outcomes specific to the chosen research issue and methods for attaining results.

#### Research focus areas

In no particular order, the four foci for research identified below will be addressed by this program. The areas have been assigned numbers for ease of reference. Appendix B provides further detail about each of these areas.

1. **Security of Health Information Technology** This research area addresses the challenges of developing security and risk mitigation policies and the technologies necessary to build and preserve the public trust as health IT systems become ubiquitous.

This research area is responsive to paragraphs (1), (4), (5), and (6) of the PHSA 3011(a), as added by the Recovery Act, through the following activities:

Promoting the development and implementation of health information technology solutions that will support the electronic exchange and use of health information in a secure, private manner;

Promoting the development and implementation of technologies and best practices that enhance the protection of health information by all holders of individually identifiable health information;

Enhancing the capabilities and functionalities of tools to support privacy and security of individually identifiable health information as it is exchanged and used; and,

Supporting and enhancing the assurance of privacy needed providers and patients widespread acceptance of telemedicine and robust participation in clinical data repositories and registries.

2. **Patient-Centered Cognitive Support** This research area addresses the challenge of harnessing the power of health IT so that it integrates with, enhances and supports clinicians reasoning and decision making, rather than forcing them into a mode of thinking that is natural to machines but not to people.

PHSA 3011(a), as added by the Recovery Act, directs the support of health IT architecture that will support the use of health information in an accurate manner. Additionally, paragraphs (3) and (5) of the same subsection of the statute authorize use of funding appropriated under PHSA Section 3018, as added by the Recovery Act, to disseminate training and information on best practices to integrate health IT into a providers delivery of care, and to promote the use of clinical data repositories and registries. All of these paragraphs ((1), (3), and (5) of PHSA 3011(a) as added by the Recovery Act) point to longstanding challenges that require new and creative research related to the accurate and effective use of electronic health information to enhance the safety, quality, efficacy, and thus the overall value of care.

3. **Healthcare Application and Network Platform Architectures** This research area focuses on the development of architectures that are necessary to achieve electronic exchange and use of health information in a secure, private and accurate manner.

PHSA 3011(a)(1), as added by the Recovery Act, authorizes support of health IT architecture that will support the nationwide electronic exchange and use of health information in a secure, private, and accurate manner. This research focus specifically supports the development of new and improved architectures and technology infrastructure needed to achieve the goals outlined in the plan for health IT by the National Coordinator in support of PHSA 3001(c)(3), as added by the Recovery Act, and to support measures for determination of meaningful use of health IT by providers over time (required by Social Security Act (SSA) Sections 1848(o) and 1866(n), as added by Title IV in Division B of the Recovery Act).

4. **Secondary Use of EHR Data** This research area focuses on strategies to enhance the use of health IT in improving the overall quality of health care.

PHSA 3011(a), as added by the Recovery Act, states that the Secretary shall invest in the infrastructure necessary to allow for and promote the electronic exchange and use of health information for each individual in the United States consistent with the goals outlined in the strategic plan developed by the National Coordinator. PHSA 3001(c)(3), as added by the Recovery Act, directs that the National Coordinator shall, in consultation with other appropriate Federal agencies (including the National Institute of Standards and Technology), update the Federal Health IT Strategic Plan (developed as of June 3, 2008) to include specific objectives, milestones, and metrics with respect to a specific set of topic areas. The current Federal Health IT Strategic Plan (developed as of June 3, 2008), as referenced in the statute, advances secondary use as a key mode of information technology use to transform health care. This is consistent with, and will be updated and expanded upon pursuant to the direction of PHSA 3001(c)(3)(i), (vii) and (viii), as added by the Recovery Act, to add to the updated strategic plan such objectives, milestones, and metrics with respect to:

(Reference: PHSA 3001(c)(3)(i)) the electronic exchange and use of health information and the enterprise integration of such information.

(Reference: PHSA 3001(c)(3)(vii)) strategies to enhance the use of health IT in improving the quality of health care, reducing medical errors, reducing health disparities improving public health, increasing prevention and coordination with community resources, and improving the continuity of care among health care settings.

(Reference: PHSA 3001(c)(3)(viii)) the specific plans for ensuring that populations with unique needs, such as children, are appropriately addressed in the technology design, as appropriate.

#### **Applicant Eligibility:**

Any entity submitting an application for this award must be a U.S.-based:

public or private institution of higher education; or  
other public or private institution or organization with a research mission.

#### **Beneficiary Eligibility:**

This Funding Opportunity Announcement (FOA) will result in new competitively-awarded cooperative agreements to establish Strategic Health IT Advanced Research Projects (SHARP). The awardees will conduct research focusing on where breakthrough advances are needed to address well-documented problems that have impeded adoption of health IT and to accelerate progress towards achieving nationwide meaningful use of health IT in support of a high-performing, learning health care system.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application procedures will be specified in individual program announcements. Applicants should consult with the office or official designated as the contact for additional information on the application procedures.

#### **Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected by the Secretary of HHS (or designee) for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

#### **Deadlines:**

Jan 25, 2010

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days.

#### **Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

ONC expects to award four cooperative agreements to support establishment of Strategic Health IT Advance Research Projects (SHARP) for a project period of four years. See the following for information on how assistance is awarded/released: PHSA 3012(c)(5), as added by ARRA, specifies that the Secretary may provide financial support to any regional center created under PHSA 3012(c) for a period not to exceed 4 years. Awards are expected to be for two, 2-year budget periods and a four year project period. The Funding Opportunity Announcement provides additional details on how assistance is awarded/released.

**Reports:**

Reporting and Registration Requirements under Section 1512 of the Recovery Act:

(a) This award requires the recipient to complete projects or activities which are funded under the Recovery Act and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.

(b) The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.

(c) Recipients and their first-tier recipients must maintain current registrations in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number ([www.dnb.com](http://www.dnb.com)) is one of the requirements for registration in the Central Contractor Registration.

(d) The recipient shall report the information described in Section 1512(c) using the reporting instructions and data elements that will be provided online at [www.FederalReporting.gov](http://www.FederalReporting.gov) and ensure that any information that is pre-filled is corrected or updated as needed.

The frequency of interim progress reports and financial status reports will be identified in the program announcement and will be submitted no later than 30 days following the end of the reporting period to which they pertain. The final progress report and final financial status report are due no later than 90 days after the end of the project period. ARRA reporting and agency programmatic reporting provisions will require awardees to evaluate performance in view of stated objectives. No cash reports are required. The awardee shall submit annual progress reports related to their projects and overall site performance. A specific Performance Report format will be finalized between the awardee and ONC following the award date.

In accepting an ONC award, the recipient assumes legal, financial, administrative, and programmatic responsibility for administering the award in accordance with the terms and conditions of the award, as well as applicable laws, rules, regulations, and Executive Orders governing HHS assistance awards, all of which are incorporated into this award by reference. Failing to comply with these requirements may result in suspension or termination of the award and/or ONC's recovery of award funds.

Quarterly Financial and Programmatic Reporting: Consistent with the Recovery Acts emphasis on accountability and transparency, reporting requirements under Recovery Act programs will differ from and expand upon HHS standard reporting requirements for grants and cooperative agreements. In

particular, Section 1512(c) of the Recovery Act sets out detailed requirements for quarterly reports that must be submitted within 10 days of the end of each calendar quarter.

Recovery Act-Required Performance Measures - To assist in fulfilling the accountability objectives of the Recovery Act, as well as the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this program must provide data that measure the results of their work. Expenditure reports are not applicable. The awardee shall submit annual progress reports related to their projects and overall Center performance. A specific Performance Report format will be finalized between the awardee and ONC following the award date.

In accepting an ONC award, the recipient assumes legal, financial, administrative, and programmatic responsibility for administering the award in accordance with the terms and conditions of the award, as well as applicable laws, rules, regulations, and Executive Orders governing HHS assistance awards, all of which are incorporated into this award by reference. Failing to comply with these requirements may result in suspension or termination of the award and/or ONC's recovery of award funds.

Quarterly Financial and Programmatic Reporting: Consistent with the Recovery Acts emphasis on accountability and transparency, reporting requirements under Recovery Act programs will differ from and expand upon HHS standard reporting requirements for grants and cooperative agreements. In particular, Section 1512(c) of the Recovery Act sets out detailed requirements for quarterly reports that must be submitted within 10 days of the end of each calendar quarter.

Recovery Act-Required Performance Measures - To assist in fulfilling the accountability objectives of the Recovery Act, as well as the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this program must provide data that measure the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The recipient shall comply with audit requirements of OMB Circular A-133. Information on the scope, frequency, and other aspects of the audits can be found on the Internet at [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars);

**Records:**

Grantees are required to maintain grant records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$60,000,000; FY 11 est \$0; and FY 12 est \$0 - Awards will be in the form of a cooperative agreement with a 4-year project period. Under this type of award, ONC will work collaboratively with each site to accomplish the goals of the award. Each cooperative agreement will anticipate a total budget of between \$10 million and \$18 million over the full 4-year project period.

**Range and Average of Financial Assistance:**

Awards may range from \$10,000,000 - \$18,000,000. Four awards each \$15,000,000 were awarded in FY 2010.



**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 60000000. Fiscal Year 2011: No Current Data Available  
 Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 74 and the HHS Grants Policy Statement located at:  
<http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>. There are no program regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wil Yu, 200 Independence, SW, Washington, District of Columbia 22209  
 Email: wil.yu@hhs.gov Phone: (202) 690-5920.

**Website Address:**

<http://healthit.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining the merit of applications will be made available in the program announcements for this program. In general, all applicants are required to demonstrate capability to achieve the goals, purposes, and objectives of the program consistent with applicable statutory provisions.

**93.767 CHILDREN'S HEALTH INSURANCE PROGRAM**

The Children Health Insurance Program (CHIP)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Title XXI of the Social Security Act as amended by the Children's Health Insurance Program Reauthorization Act of 2009 (CHIPRA; Public Law 111-003) and the Affordable Care Act (ACA; Public Law 111-148 taken together with Public Law 111-152).

**OBJECTIVES:**

To provide funds to States to enable them to maintain and expand child health assistance to uninsured, low-income children, and at a state option, low-income pregnant women and legal immigrants, primarily by three methods: (1) obtain health insurance coverage that meets the requirements in Section 2103 relating to the amount, duration, and scope of benefits; (2) expand eligibility for children under the State's Medicaid program; or (3) a combination of the two.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

No State is eligible for payments for child health assistance for coverage provided prior to October 1, 1997. Standards used to determine eligibility may include those related to geographic areas to be served by the plan. Age, income and resources, residency, disability status (as long as the standard does not restrict eligibility), access to or coverage under other health coverage, and duration of eligibility are factors. Standards may not discriminate on the basis of diagnosis. Eligibility standards must not cover higher-income children without covering lower-income children, and must not deny eligibility based on a child having a pre-existing medical condition. The State must ensure that only targeted low-income children are furnished child health assistance under the plan. Children found through screening to be eligible for Medicaid are to be enrolled in Medicaid. The insurance provided using Federal funds under the State plan does may not substitute for coverage under group health plans. Coordination with other public and private programs providing creditable coverage for low-income children should occur. Child Health Assistance (other than Medicaid), must consist of any of the following: Benchmark coverage;

benchmark equivalent coverage (which can be FEHBP-equivalent coverage); State employee coverage or coverage offered through the HMO with the largest insured commercial non-Medicaid enrollment in the State; existing comprehensive State-based coverage; or Secretary-approved coverage. A State child health plan must include a description of the amount (if any) of cost-sharing and must be in accordance with a public schedule. Cost-sharing may be varied in a way that does not favor higher-income children over lower-income children. No cost-sharing is permitted for well-baby and well-child care, including age-appropriate immunizations. Cost-sharing for children at 150 percent of poverty must be consistent with Medicaid; Cost-sharing for children at 150 percent of poverty and above must be based on an income-related sliding scale. The aggregate cost sharing for all children in a family cannot exceed 5 percent of the family's income. The State child health plan may not impose pre-existing condition exclusions for covered benefits. States that provide for benefits through a group health plan or group health insurance coverage may permit pre-existing condition exclusions as allowed under the applicable Section of the Employee Retirement Income Security Act (ERISA) and the Health Insurance Portability and Accountability Act (HIPAA). Funds provided to a State under this Title may only be used to carry out the purposes of this Title. Health insurance coverage provided may include coverage of abortion only if necessary to save the life of the mother or if the pregnancy is the result of an act of rape or incest. States may spend up to 10 percent of their total CHIP expenditures (Federal and State) on non-benefit activities, including: outreach conducted to identify and enroll eligible children in CHIP; administration costs; health services initiatives; and other child health assistance. These expenditures are matched at the enhanced CHIP matching rate and counted against both the 10 percent limit and the allotment. Monetary amounts provided by the Federal government or services assisted or subsidized to any extent by the Federal government, may not be included in determining the amount of nonfederal contributions required for State matching purposes.

**Applicant Eligibility:**

All States and Territories may apply.

**Beneficiary Eligibility:**

Targeted low-income children will benefit. These children are defined (for the purposes of Title XXI) as children who have been determined eligible by the State for child health assistance under their State plan; are low-income children; or are children whose family income exceeds the Medicaid applicable income level but does not exceed 50 percentage points above the Medicaid applicable income level; and are not found to be eligible for medical assistance under Title XIX or covered under a group health plan or under health insurance coverage.

**Credentials/Documentation:**

States and Territories must submit and have approved by the Secretary of DHHS, a State Child Health Plan. Individuals must meet State requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Title XXI plans and amendments are submitted by the State Governor, or designee, to the CMS Center for Medicaid and State Operations; Families and Children Health Program Group (CMSO/FCHPG). The Title XXI plan should be a stand alone document that fully addresses each relevant Section of the statutory requirements.

**Award Procedure:**

The CMS Administrator exercises delegated authority to approve Title XXI plans and amendments. Letters of approval will be signed by the CMS Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section 2106 of the Law, specifies that a State plan is considered approved

unless the Secretary notifies the State in writing, within 90 days after receipt of the plan, that the plan is disapproved (and the reasons for disapproval) or that specific additional information is needed. Informal clarification and discussion between the State and the DHHS review team is permitted and encouraged during the review period. This does not stop the "90-day clock." The 90-day review period may be stopped by formal written requests for additional information and clarification. The 90-day review period may be stopped as many times as necessary to obtain completed information necessary to disapprove or approve the plan. The 90-day period will resume when the finalized additional information is received by CMS.

**Appeals:**

If a State wishes to appeal a disapproval, it may petition for a reconsideration of this decision within 60 days after the date of receipt of the disapproval letter, by submitting a written request for reconsideration to the project officer and the regional office. States also have the option to submit a new application following the disapproval, starting a new 90-day review clock.

**Renewals:**

An approved State child health plan shall continue in effect unless the State amends that plan or the Secretary finds substantial noncompliance of the plan in accordance with the requirements of Title XXI.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Section 2105(b), Title XXI, provides for an "enhanced Federal Matching Assistance Percentage (EFMAP)" for child health assistance provided under Title XXI that is equal to the current FMAP for the fiscal year (FY) in the Medicaid Title XIX program, increased by 30 percent of the difference between 100 and the current FMAP for that fiscal year. For fiscal years 2013 and prior, the EFMAP may not exceed 85 percent. As a result of the implementation of the Affordable Care Act (ACA), states shall receive a 23 percentage point increase in their respective EFMAPs for fiscal years 2016-2019 for most CHIP expenditures; however the EFMAP for a state may not exceed 100 percent. In FY 2009, the CHIPRA implemented a limitation on matching rates for states that propose to cover children with effective family income that exceeds 300 percent of the poverty line to FMAP rather than EFMAP, unless a waiver or State Plan Amendment or state law was in place to cover this population before the enactment of CHIPRA.

Section 2104(a) of the Social Security Act as amended by section 10203 of the ACA provide appropriations through September 30, 2015 for the purpose of providing annual allotments to the states to fund their CHIP programs. Only States with approved State Plans by the end of the fiscal year will be included in the final allotment calculation.

In general, in FY 2010, the states annual allotments were calculated as the sum of the following four amounts, multiplied by the applicable growth factor for the year.

--the FY 2009 CHIP allotments;

--FY 2006 unspent allotments redistributed to and spent by shortfall states in FY 2009;

--spending of funds provided to shortfall states in the first half of FY 2009; and  
--spending of Contingency Fund payments in FY 2009, although there were no Contingency Fund payments made in FY 2009.

Note: States may also qualify to receive an increase in their FY 2010, FY 2012, or FY 2014 allotments if they meet the criteria described in section 2104(m)(6) and 2107(m)(7) of the Social Security Act (the Act) as previously amended by section 102 of CHIPRA and further amended by sections 2102(a)(1)(B) 10203 of the ACA.

For FY 2011, FY 2013, and FY 2015 the allotments will be rebased on prior year spending. This will be done by multiplying the states growth factor for the year by the new base, which will be the prior years federal CHIP spending (including any contingency fund payments or redistribution amounts). For FY 2012 and FY 2014, the allotment for a state will be calculated as the previous fiscal years allotment amount and any previous fiscal years contingency fund spending, multiplied by the states growth factor for the year. The ACA extended the availability of the Child Enrollment Contingency Fund which may

be available for states that meet the criteria provided in section 2104(n) of the Act through FY 2015.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Enrolled children receive medical services as necessary. Federal funds are obligated to the States by issuing Title XXI grant awards. To ensure that all of the appropriated funds are available to States, CMS will issue grant awards to all States with Title XXI State plans approved by the end of the fiscal year equaling the national amount available for allotment to the 50 States, the District of Columbia, and the Commonwealths and Territories for that fiscal year. Grant awards must be issued by the time the CMS/HHS accounting system closes with respect to that fiscal year. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Section 2108 of the Law specifies that States must develop annual reports assessing the operation of their State Plan for each fiscal year, including the progress made in reducing the number of uncovered low-income children and report to the Secretary by January 1, of the following year the results of the assessment. By March 31, 2000, each State with a child health plan must submit to the Secretary an evaluation that includes an assessment of the effectiveness of the State Plan in increasing the number of children with creditable health coverage, in increasing the availability of affordable quality individual and family health insurance for children, and in coordinating recommendations for improving the program under this Title. By December 31, 2001, the Secretary must submit to Congress and make available to the public, a report based on the evaluations submitted by the States recommendations and conclusions. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A State child health plan under Title XXI must include an assurance that the State will afford the Secretary access to any records or information relating to the plan for the purposes of review or audit.

**Records:**

A State child health plan must include an assurance that the State will collect the data, maintain the records, and furnish the report to the Secretary at the times and in standardized format (as the Secretary requires), in order to enable the Secretary to monitor State program administration and compliance and to evaluate and compare the effectiveness of State Plans under this Title.

**Account Identification:**

75-0515-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$7,887,143,000; FY 11 est \$13,459,000,000; and FY 12 est \$14,982,000,000

**Range and Average of Financial Assistance:**

For FY 2011, the range is from \$861,000 (Northern Mariana Islands) to \$1,254,895,000(California).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and guidance issued related to the Children's Health Insurance Program may be accessed through the World Wide Web at: [www.cms.hhs.gov/chip](http://www.cms.hhs.gov/chip).

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, Centers for Medicare and Medicaid Services. (See Appendix IV of the Catalog for addresses and telephone numbers).

**Headquarters Office:**

Center for Medicaid, CHIP, and Survey & Certification, 7500 Security Boulevard, Baltimore, Maryland 21244 Phone: (410) 786-3870.

**Website Address:**

<http://www.cms.gov>

**RELATED PROGRAMS:**

93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.768 MEDICAID INFRASTRUCTURE GRANTS TO SUPPORT THE COMPETITIVE EMPLOYMENT OF PEOPLE WITH DISABILITIES**

(Ticket To Work Infrastructure Grants)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Ticket to Work and Work Incentives Improvement Act of 1999, Section 203, Public Law 106-170.

**OBJECTIVES:**

To support State efforts to enhance employment options for people with disabilities by building Medicaid infrastructure. Funding may be used to develop a Medicaid buy-in, increase availability of Personal Assistance Services, or for State-to-State technical assistance. In addition, States may use funding to develop a comprehensive approach to bridge Medicaid services with other key supports and programs used by employed people with disabilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

While the proposals submitted by the States may vary, States participating in this grant program will use the funds to remove the barriers to employment of persons with disabilities, by creating health systems change through the Medicaid program. The development or enhancement of certain core Medicaid components in each State would enable people with disabilities not only to work, but to sustain adequate health coverage if they find they need to relocate to another State for employment purposes. An adequate personal assistance services benefit and a Medicaid buy-in for employed people with disabilities are significant components of the Ticket to Work and Work Incentives Improvement Act. The infrastructure grants program provides money to the States to develop these core elements. In addition, States may use funding to develop a comprehensive approach to bridge Medicaid services with other key supports and programs used by employed people with disabilities. Funds may not be used for the direct provision of services to people with disabilities except on a one-time, last resort, emergency basis for the purpose of sustaining the individual's competitive employment.

**Applicant Eligibility:**

Either of the following may apply: (a) the single state medicaid agency; or (b) any other agency or instrumentality of a state(as determined under State law) in partnership, agreement and active participation with the single state medicaid agency, the State Legislature, or the office of the Governor.

**Beneficiary Eligibility:**

There are two groups of potentially eligible beneficiaries, as defined by the Ticket to Work and Work Incentives Improvement Act of 1999. The first group consists of persons with disabilities between the ages of 16 and 65 years old, employed, and who meet income, asset, and resource standards established by the State. The second group of potential beneficiaries consists of persons between the ages of 16 and 65 years old, employed, and who cease to be eligible for Medical Assistance because of medical improvements determined at the time of a regularly scheduled disability review, but who also continue to have a severe medically determinable impairment.

**Credentials/Documentation:**

Federal funds must go to a designated State Medicaid Agency or its partner

agencies or instrumentality's. Individuals must meet State requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application form SF-424 and related forms, as furnished by CMS, must be used for this program. Application forms are submitted to the Acquisition and Grants Group, CMS, C2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850.

**Award Procedure:**

Official notice of approved applications is made through the issuance of a grant award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is from 100 to 150 days.

**Appeals:**

There are no formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated.

**Renewals:**

Extensions and continuations of projects are available if formally applied for and approved. If a grant application is recommended for approval for 2 or more years, the awardee must annually submit a formal request for continuation accompanied by a progress report that will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

CMS announced the first round of infrastructure grant awards in October 2000. This grant program is authorized for 11 years beginning in fiscal year 2001. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress and expenditure reports are required on all projects. Progress and expenditure reports are required on all projects. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$82,077,000; FY 11 est \$70,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$500,000 to \$2,750,000; \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) and application kits may be obtained from the Office of Acquisition and Grants Group, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. Grant applications forms are also available on the CMS website at <http://www.cms.hhs.gov/twwiia/424forms.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate CMS Regional Administrator. (See Appendix IV for Regional Offices.).

**Headquarters Office:**

Adrienne Delozier, 7500 Security Boulevard, Baltimore, Maryland 21244  
Email: [Adrienne.Delozier@cms.hhs.gov](mailto:Adrienne.Delozier@cms.hhs.gov) Phone: (410) 786-0278.

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include: understanding the barriers that impede competitive employment of people with disabilities; the extent to which the proposed infrastructure development will offer enduring and significant improvement in the ability of the system to provide adequate health coverage for people with disabilities and are competitively employed; providing needed personal assistance and other supports, and/or removing other significant employment barriers; the appropriateness of the methods, work plan, budget, and timetable; the qualifications of key staff; and the State's plan for using its grant experiences to identify different or better ways to improve its buy-in or Medicaid services that support the competitive employment efforts of people with disabilities.

**93.770 MEDICARE\_PRESCRIPTION DRUG COVERAGE**

(Medicare Part D)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Authorized under the Medicare Prescription Drug, Improvement and Modernization Act of 2003, Public Law 108-173, as Section 1860D of the Social Security Act.

**OBJECTIVES:**

To provide prescription drugs to Medicare beneficiaries through their voluntary participation in prescription drug plans, with an additional subsidy provided to lower-income beneficiaries.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Payments will be made to participating prescription drug plans.

**Applicant Eligibility:**

A non-governmental entity organized and licensed under State law as a risk-bearing entity eligible to offer health insurance in each State in which it is to offer a plan, meeting the requirements in 42 CFR 423.504 and 42 CFR 423.505. The entity may offer prescription drug coverage in conjunction with a

Medicare Advantage plan or as a separate stand alone benefit.

**Beneficiary Eligibility:**

Eligible beneficiaries include individuals who are entitled to Medicare benefits under Part A or enrolled in Part B and who reside in the plan's service area. Individuals in a Medicare Advantage Plan with Part D coverage may not be separately enrolled in a stand alone prescription drug plan.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Potential sponsors apply to CMS to become an approved prescription drug plan. Generally, individuals enroll directly with the prescription drug program sponsor. The sponsor forwards the enrollment and eligibility information to CMS, which verifies eligibility for the drug benefit. Some individuals who are entitled to both Medicare and Medicaid have been enrolled automatically. Low income beneficiaries may complete a subsidy application at any Social Security office or through their State Medicaid office.

**Award Procedure:**

Payment will be made by CMS to the prescription drug plan sponsors.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to six months for plan sponsors.

**Appeals:**

Sponsors whose applications to become a prescription drug plan sponsor are rejected have the right to a reconsideration and appeal process. Beneficiaries have the right to a reconsideration and appeal process for adverse coverage determinations.

**Renewals:**

Contracts with sponsors may be renewed annually. Beneficiaries may enroll and disenroll from plans according to the timeframes established in 42 CFR 423.30-423.46.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Indefinite. See the following for information on how assistance is awarded/released: Monthly payments to Prescription Drug Plan sponsors combined with an annual reconciliation adjustment.

**Reports:**

Plans must provide periodic reports to CMS, enrollees and the general public on cost; utilization; availability, accessibility and acceptability of services; fiscal soundness and other information required by CMS. Plans must provide an annual report of business transactions and combined financial statements. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Periodic audits of plans by HHS, the Comptroller General or their designees. Periodic audits by CMS and the HHS Office of Inspector General (OIG) of plan cost reporting. Audit by CMS of financial records of at least one-third of participating plans every year.

**Records:**

None.

**Account Identification:**

75-8308-0-7-571.

**Obligations:**

(Insurance) FY 10 \$59,298,000,000; FY 11 est \$65,516,000,000; and FY 12 est \$62,258,000,000

**Range and Average of Financial Assistance:**

Determined by plan offerings, number of enrollees, and utilization.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program were authorized under Section 1860D of the Social Security Act, as enacted under Public Law 108-173, and were published on January 21, 2005.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marla Kilbourne, 7500 Security Boulevard, Baltimore, Maine 21244 Email: Marla.Kilbourne@cms.hhs.gov Phone: (410) 786-7622.

**Website Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.773 MEDICARE\_HOSPITAL INSURANCE**

(Medicare Part A)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5, Title XVIII of the Social Security Act; Affordable Care Act (Public Law 111-148).

**OBJECTIVES:**

To provide hospital insurance protection for covered services to persons age 65 or above, to certain disabled persons and to individuals with chronic renal disease.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Hospital insurance benefits are paid to participating hospitals, inpatient rehabilitation facilities, skilled nursing facilities, home health agencies, and hospice agencies. Payments are made in order to cover the prospective payment amount or reasonable cost of medically necessary services furnished to individuals entitled under this program. In limited circumstances, Medicare will also pay for certain aspects of receiving care in an inpatient religious non-medical health care setting.

**Applicant Eligibility:**

Persons age 65 or over and certain disabled persons are eligible to receive hospital insurance benefits. Nearly all individuals who had reached the age of 65 before 1968 are eligible for Part A, including people not eligible for cash Social Security benefits. A person reaching the age of 65 from 1968 to the present, and who is not eligible for social security benefits, needs to have accumulated work credits (amount dependent on age) to qualify for hospital insurance benefits.

Hospital insurance (Medicare Part A) is also available to persons aged 65 and over through payment of a monthly premium, which is currently \$450 per

month, effective January 1, 2011. A reduced Part A premium of \$248 per month is applied to persons with 30 or more quarters in which they have paid into the social security system. This reduced Part A premium applies to their spouse, surviving spouse or divorced spouse as well.

Federal employees began contributing toward Medicare hospital insurance coverage in 1983. Employees who have worked in the federal government prior to this year are still eligible to receive credit for prior non-contributory quarters of Federal employment. State and local government employees not already in Social Security-covered positions and who were hired on or after April 1, 1986 also contribute toward Medicare hospital insurance coverage. Although states may request agreements to cover individuals employed prior to April 1, 1986, no credit is given toward establishing Medicare entitlement for prior employment. Persons under the age of 65 who have been entitled to Social Security or Railroad Retirement disability benefits for at least 29 months are also eligible to receive hospital insurance benefits, as are any individuals who have been diagnosed with End Stage Renal Disease (ESRD).

**Beneficiary Eligibility:**

Persons age 65 or over and qualified disabled persons.

**Credentials/Documentation:**

Proof of age or disability. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Telephone or visit the local Social Security Office. Individuals entitled to Social Security or railroad retirement are enrolled without application.

**Award Procedure:**

The individual will be notified by mail of enrollment, whether automatic or applied for.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Telephone or visit the local Social Security Office or Medicare payment organization responsible for the initial determination. The appeal process ranges from reviews of the initial determinations to formal hearings and, in cases meeting certain criteria, reviews by Federal Courts.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:

Claims-based payment to providers or monthly capitation payments to Medicare Advantage plans.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

20-8005-0-7-571.

**Obligations:**

(Insurance) FY 10 \$245,305,000,000; FY 11 est \$258,735,000,000; and FY 12 est \$259,916,000,000 - These figures represent benefit outlays. (not including QIO).

**Range and Average of Financial Assistance:**

Benefits may be paid based on the prospective payment amount or the reasonable costs of covered inpatient hospital services and based on the reasonable costs of covered post-hospital extended care services which are incurred during a benefit period. For benefit periods beginning in calendar year 2011 the beneficiary is responsible for \$1,132 inpatient hospital deductible, a \$283 per day coinsurance amount for 61 through 90 days of inpatient hospital care, a \$566 per day coinsurance amount for inpatient hospital care during the 60 lifetime reserve days, and a \$141.50 per day coinsurance amount for days 21 through 100 of care in a skilled nursing facility. Home health services are paid in full.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, the number of persons protected is estimated to be 46,753,000. Fiscal Year 2011: In fiscal year 2011, the number of persons protected is estimated to be 48,533,000. Fiscal Year 2012: In fiscal year 2012, the number of persons protected is estimated to be 50,122,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 401, 405 and 422; Title 42, Parts 400, 401, 405, 406, 409, 412, 417, and 418. " Medicare and You," SSA-79-10050, and other publications are available from any Social Security Office without charge.

**Regional or Local Office:**

See Regional Agency Offices. Consult Appendix IV of the Catalog for a listing of Regional Offices.

**Headquarters Office:**

Rob Ludwig 7500 Security Boulevard, Baltimore, Maryland 21244 Email: Robert.Ludwig@cms.hhs.gov Phone: (410) 786-5407

**Website Address:**

<http://www.medicare.gov> or <http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

57.001 Social Insurance for Railroad Workers; 93.770 Medicare\_Prescription Drug Coverage; 93.774 Medicare\_Supplementary Medical Insurance; 96.001 Social Security\_Disability Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.774 MEDICARE SUPPLEMENTARY MEDICAL INSURANCE**

(Medicare Part B)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act Title XVIII, Section 1831.

**OBJECTIVES:**

To provide medical insurance protection for covered services to persons age 65 or over, to certain disabled persons and to individuals with end-stage renal disease. Enrollment in Part B is voluntary.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Managed care benefits are paid on the basis of Medicare capitation rates. Fee-for-service benefits are paid on the basis of fee schedules or other approved amounts for services furnished by physicians and other suppliers of medical services to aged or disabled enrollees. Benefits are paid on the basis of prospective payment systems for certain covered services furnished by participating providers such as hospitals, skilled nursing facilities and home

health agencies.

**Applicant Eligibility:**

All persons who are eligible for premium-free hospital insurance benefits (see 93.773), and persons age 65 and older who reside in the United States and are either citizens or aliens lawfully admitted for permanent residence who have resided in the United States continuously during the five years immediately preceding the month in which the application for enrollment is filed, may voluntarily enroll for Part B supplementary medical insurance (SMI). The beneficiary pays a monthly premium and an annual deductible. Beginning in calendar year 2008, the Part B premiums have been set based upon beneficiary income. The calendar year 2011 premiums range from \$115.40 to \$369.10 per month, though most beneficiaries in 2011 pay \$96.40. The annual deductible is \$162.00. Some States and other third parties may pay the SMI PART B premium on behalf of qualifying individuals.

**Beneficiary Eligibility:**

All persons who qualify for hospital insurance, and those who do not qualify for hospital insurance but meet eligibility requirements and choose to purchase Part "B".

**Credentials/Documentation:**

Proof of age, disability or lawful admission status. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Telephone or visit the local Social Security Office. Most persons entitled to hospital insurance and already receiving benefits from Social Security or the Railroad Retirement Board are enrolled automatically for supplementary medical insurance. Since the program is voluntary, you may decline coverage. Persons not entitled to hospital insurance must file an application.

**Award Procedure:**

After review of the application is completed, the applicant will be notified by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Telephone or visit the local Social Security Office or the Medicare payment organization responsible for the initial determination. The appeal process ranges from reviews, of the initial determinations to formal hearings and, in cases meeting certain criteria, reviews by Federal courts.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: Claims-based payments to providers and suppliers or monthly capitation payments to MA plans.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133.

Providers, suppliers, and Medicare Advantage plans are subject to audit requirements.

**Records:**

None.

**Account Identification:**

20-8004-0-7-571.

**Obligations:**

(Insurance) FY 10 \$209,761,000,000; FY 11 est \$234,229,000,000; and FY 12 est \$221,873,000,000 - The source for obligation amounts is the FY 2012 President's budget.

**Range and Average of Financial Assistance:**

Generally, with exceptions of certain services, the beneficiary is responsible for meeting the annual \$162 deductible before you may begin. Thereafter, Medicare pays a percent of the approved amount of the covered service. For many services, this percentage is 80 percent. For other covered services, the percentage that Medicare pays will vary from 100 percent to 50 percent depending upon the category of service.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, the number of enrollees was 43,461,000. Fiscal Year 2011: In fiscal year 2011, the number of enrollees is estimated to be 48,533,000. Fiscal Year 2012: In fiscal year 2012, the number of enrollees is estimated to be 50,122,000. The source for the number of Medicare beneficiaries is the FY 2012 President's budget.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 401, 405, and 422; Title 42, Parts 401, 405, 407, 408, 410, 413, 416, and 417. "Your Medicare Handbook," and other publications are available from any Social Security Office without charge.

**Regional or Local Office:**

See Regional Agency Offices. Consult Appendix IV of the Catalog for listing of Regional Offices.

**Headquarters Office:**

Inga Feldmanayte, 7500 Security Boulevard, Baltimore, Maryland 21207  
Email: Inga.Feldmanayte@cms.hhs.gov Phone: (410) 786-5995.

**Website Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

57.001 Social Insurance for Railroad Workers; 64.012 Veterans Prescription Service; 64.013 Veterans Prosthetic Appliances; 93.770 Medicare\_Prescription Drug Coverage; 93.773 Medicare\_Hospital Insurance; 93.778 Medical Assistance Program; 96.001 Social Security\_Disability Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.775 STATE MEDICAID FRAUD CONTROL UNITS**

(SMFCU's)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act (The Act), as amended, Title XIX, Section 1902(a)(61), as amended by Social Security Act (The Act), as amended, Title XIX, Section 1903(a)(6), as amended by Social Security Act (The Act), as amended, Title XIX, Section 1903(q), as amended by Social Security Act (The Act), as amended, Title XIX, Section 1903(b)(3).

**OBJECTIVES:**

To eliminate fraud and patient abuse in the State Medicaid Programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The statute authorizes 90 percent matching funds for 12 quarters, and 75 percent matching funds thereafter for investigation and prosecution of fraud and patient abuse in the State Medicaid Programs. A unit must be separate and distinct from the single State Medicaid agency. A unit must also employ sufficient professional, administrative and support staff to carry out its duties and responsibilities in an effective and efficient manner.

**Applicant Eligibility:**

An established State Medicaid Fraud Control Unit must be a single identifiable entity of the State government which the Secretary certifies (and the Office of Inspector General annually re-certifies) as complying with the requirements of 1903(q) of the Social Security Act (42 CFR 1007) regarding location, function and procedure. Applicants must also comply with section 1902 (a)(61) of the Act as amended by the Omnibus Budget Reconciliation Act of 1993. Tribes (American Indian/Alaskan Native/Native American) are not eligible to apply.

**Beneficiary Eligibility:**

The State governments will benefit from this program.

**Credentials/Documentation:**

Units must submit applications containing proposed organization, administration, agreements, detailed budgets and procedures for certification of eligibility (see 42 CFR 1007). Costs will be determined in accordance with OMB Circular No. A-87 and 45 CFR 92. Governors in States applying for Federal assistance must approve the application pursuant to 42 CFR 1007.15(a). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms (SF 424, SF 424A, and SF 424B), as furnished by OIG and required by OMB Circular No. A-102 for State and local governments, must be used for the application. The Inspector General's staff is available to assist with technical development of programs, plans, and budget amendments and revisions.

**Award Procedure:**

States are awarded funds based on a detailed description of estimated expenditures needed to support the program. Award funds are distributed quarterly on a fiscal year basis as follows: October 1, January 1, April 1, and July 1.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The time required to process an application may take up to 90 days.

**Appeals:**

From 60 to 90 days. If the application is not approved, the State may submit an amended application at any time.

**Renewals:**

From 60 to 90 days. The application for the annual re-certification must be submitted 60 days prior to the end of each certification period.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: States are awarded, through the issuance of a grant award, for 90 percent of their costs for the first 12 quarters, and 75 percent thereafter, computed against a quarterly maximum allowable of the higher of \$125,000, or one-fourth of 1 percent of the sums expended by the Federal, State, or local government in carrying out the State plan under Title XIX of the Social Security Act.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant periods are 1 year in length and funds are awarded quarterly based on an approved annual budget and limitations on entitlement. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual Reports are required and must be submitted 60 days prior to the expiration of the MFCU's certification period. Federal Financial Reports (SF-425) to report cash transactions are required on a quarterly basis to PMS. An Annual Report to report the MFCUs progress is required. Expenditure reports on the SF-425 are required and are due 30 days following each quarter and a final expenditure report is required and is due 90 days after the close of the grant year. Performance monitoring is required through the submission of annual reports by the MFCUs to HHS/OIG and through site visits to the MFCUs that are conducted by the HHS/OIG.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. OIG performs periodic audits of the State program, as appropriate, as well as an annual re-certification review of each SMFCU.

**Records:**

All records are to be retained for 3 years, in accordance with 45 CFR 92.

**Account Identification:**

75-0512-0-1-551.

**Obligations:**

(Salaries) FY 10 \$149,876,000; FY 11 est \$215,319,000; and FY 12 est \$226,085,000 - These Obligation amounts are for salaries and expenses.

**Range and Average of Financial Assistance:**

FY 2011: Range \$291,000 to \$41,588,000; Average \$4,034,466.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 1007, 45 CFR 92, OMB Circular No. A-87, and Performance Standards issued September 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Richard B. Stern 330 Independence Ave., S.W., Cohen Building, Washington, District of Columbia 20201 Email: richard.stern@oig.hhs.gov Phone: (202) 619-0480

**Website Address:**

<http://www.oig.hhs.gov>

**RELATED PROGRAMS:**

93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.777 STATE SURVEY AND CERTIFICATION OF HEALTH CARE PROVIDERS AND SUPPLIERS (TITLE XVIII) MEDICARE****FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Sections 1863, 1864, 1865, 1902, 1903, and 1919, Title XVIII.

**OBJECTIVES:**

To provide financial assistance to any State which is able and willing to determine through its State health agency or other appropriate State agency that providers and suppliers of health care services are in compliance with Federal

regulatory health and safety standards and conditions of participation.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are made available to States for the purpose of inspecting providers and suppliers of health care services, to ensure mandatory adherence to Medicare/Medicaid health and safety standards and conditions. Funds made available under these programs are used to support or reimburse State staff for performing survey activities and for State administration of the program.

**Applicant Eligibility:**

Under Title XVIII, States enter into Section 1864 agreements with the Secretary of Health and Human Services whereby the designated agency of the State will be supported or reimbursed for on-site inspection of health care providers and suppliers. The designated State agency is usually that unit performing licensure activities within the State health department.

**Beneficiary Eligibility:**

NA.

**Credentials/Documentation:**

A signed 1864 Agreement for Title XVIII in order to carry out the survey function. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Sign an 1864 Agreement for support of Medicare/Medicaid survey and certification activities.

**Award Procedure:**

States are provided a quarterly award based on an approved annual budget under Title XVIII and quarterly formula grants under Title XIX. States are reimbursed for Title XVIII and Title XIX survey activities under Electronic Funds Transfer System procedures. States draw funds through the Department's Payment Management System (PMS).

**Deadlines:**

Aug 15, 2010 Annual budget proposals for Title XVIII are requested from the appropriate State agency as negotiated with Regional Office.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. This timeline is for initial approval or disapproval.

**Appeals:**

Title XVIII appeals are reviewed by the Armed Services Contracts Appeal Board.

**Renewals:**

Ongoing renewals are awarded to States that are willing and able to conduct required survey activities in compliance with statutory mandate.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants/cooperative agreements are generally funded on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are required. Cash reports are required. Progress reports are required. Expenditure reports are required. States operate under 1864 Agreement (Title XVIII). Quarterly expenditure reports are required 30 days after the close of each quarter and monitoring is carried out by the Department of Health and Human Services. Performance monitoring is required.



Comprehensive final reports are due no later than 90 days after termination projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. DHHS Office of Inspector General staff or designated representatives make periodic audits of State survey agencies. In addition, under the Single State Audit Act, States may elect to conduct their own nonpartisan audits and certify the results to the Secretary of Health and Human Services.

**Records:**

States must maintain surveyor time records, line item and expenditure documentation, which substantiate the costs relating to survey activities.

**Account Identification:**

75-0511-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$346,900,000; FY 11 est \$362,000,000; and FY 12 est \$400,282,750

**Range and Average of Financial Assistance:**

(State distributed Title XVIII funds) FY09 range is from \$534,383 to \$32,844,353 and an average of \$5,362,115; FY10 range is from \$526,987 to \$37,734,359 and an average of \$5,962,506; FY11 range is from \$573,885 to \$39,537,895 and an average of \$6,072,034.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title XVIII, Social Security Act as amended Sections 1863, 1864 and 1865.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator for Centers for Medicare and Medicaid Services. (See Appendix IV of the Catalog for listing of Regional Offices).

**Headquarters Office:**

Thomas Hamilton, 7500 Security Boulevard, Baltimore, Maryland 21244  
Email: thomas.hamilton@cms.hhs.gov Phone: (410) 786-9493.

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selecting criteria for Federal funding of State certification proposals are available to State survey agencies upon request.

**93.778 MEDICAL ASSISTANCE PROGRAM**

(Medicaid; Title XIX)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XIX, as amended; Public Laws 89-97, 90-248, and 91-56; 42 U.S.C. 1396 et seq., as amended; Public Law 92-223; Public Law 92-603; Public Law 93-66; Public Law 93-233; Public Law 96-499; Public Law 97-35; Public Law 97-248; Public Law 98-369; Public Law 99-272; Public Law 99-509; Public Law 100-93; Public Law 100-202; Public Law 100-203; Public Law 100-360; Public Law 100-436; Public Law 100-485; Public Law 100-647;

Public Law 101-166; Public Law 101-234; Public Law 101-239; Public Law 101-508; Public Law 101-517; Public Law 102-234; Public Law 102-170; Public Law 102-394; Public Law 103-66; Public Law 103-112; Public Law 103-333; Public Law 104-91; Public Law 104-191; Public Law 104-193; Public Law 104-208,104-134; Balanced Budget Act of 1997, Public Law 105-33; Public Law 106-113; Public Law 106-554; Public Law 108-27; Public Law 108-173; Public Law 109-91; Public Law 109-171; Public Law 109-432; Public Law 110-28; Public Law 110-161; Public Law 111-3; Public Law 111-5; Public Law 111-8; Public Law 111-31; Public Law 111-68; Public Law 111-88; Public Law 111-117; Public Law 111-118; Public Law 111-148; Public Law 111-150; Public Law 111-150; Public Law 111-152; Public Law 111-309, Public Law 112-10.

**OBJECTIVES:**

To provide financial assistance to States for payments of medical assistance on behalf of cash assistance recipients, children, pregnant women, and the aged who meet income and resource requirements, and other categorically-eligible groups. In certain States that elect to provide such coverage, medically-needy persons, who, except for income and resources, would be eligible for cash assistance, may be eligible for medical assistance payments under this program. Financial assistance is provided to States to pay for Medicare premiums, copayments and deductibles of qualified Medicare beneficiaries meeting certain income requirements. More limited financial assistance is available for certain Medicare beneficiaries with higher incomes.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

For the categorically needy, States must provide in and out-patient hospital services; rural health clinic services; federally-qualified health center services; other laboratory and x-ray services; nursing facility services, home health services for persons over age 21; family planning services; physicians' services; early and periodic screening, diagnosis, and treatment for individuals under age 21; pediatric or family nurse practitioner services; and services furnished by a nurse-midwife as licensed by the States. For the medically needy, States are required to provide a minimum mix of services for which Federal financial participation is available (see section 1902(a)(10)(C)(iv) of the Social Security Act).

**Applicant Eligibility:**

State and local welfare agencies must operate under an HHS-approved Medicaid State Plan and comply with all Federal regulations governing aid and medical assistance to the needy.

**Beneficiary Eligibility:**

Low-income persons who are over age 65, blind or disabled, members of families with dependent children, low-income children and pregnant women, certain Medicare beneficiaries and, in many States, medically-needy individuals may apply to a State or local welfare agency for medical assistance. Eligibility is determined by the State in accordance with Federal regulations.

**Credentials/Documentation:**

Federal funds must go to a designated State Medicaid Agency. Individuals must meet State requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Individuals needing medical assistance should apply directly to the State or local welfare agency. States should contact the Regional Administrator, CMS for application forms. (See Appendix IV of the Catalog for agency Regional Office addresses.)

**Award Procedure:**

States are awarded funds quarterly based on their estimates of funds needed to provide medical assistance to the needy. Awards are made quarterly on a fiscal year basis as follows: October 1, January 1, April 1, and July 1. Individuals receive medical care from providers of medical care who are participating in the

Medicaid program.

**Deadlines:**

Aug 15, 2011 An individual needing medical assistance may apply to the State at any time. States must submit quarterly estimates of funds needed no later than August 15, November 15, February 15, and May 15, in order to receive a timely quarterly grant award for the following quarter.

**Range of Approval/Disapproval Time:**

Up to 60 days. The States usually provide needy individuals with immediate medical assistance.

**Appeals:**

Individuals denied medical assistance by the State or local welfare agency must be given a fair hearing on appeal (see 42 CFR, Subchapter C, Part 431, Subpart E). States have 60 days to resubmit revised applications.

**Renewals:**

Recipients receive assistance as long as they are qualified under State requirements.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Federal funds are available to match State expenditures for medical care. Under the Act, the Federal share for medical services may range from 50 percent to 83 percent. The statistical factors used for fund allocation are: (1) Medical assistance expenditures by State; and (2) per capita income by State based on a 3-year average (source, "Personal Income," Department of Commerce, Bureau of Economic Analysis). Statistical factors for eligibility do not apply to this program. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The needy receive medical assistance as necessary. States receive funds quarterly. The Electronic Transfer System will be used by States for monthly cash draws on the Federal Reserve Bank. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. States must submit fiscal and statistical reports, as required, to the Centers for Medicare and Medicaid Services, Department of Health and Human Services. A Treasury Report TUS-5401 is required monthly. States must submit certified expenditure reports within 30 days after the end of each quarter. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States must maintain records which substantiate direct and indirect costs charged to the grant award activity.

**Account Identification:**

75-0512-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$290,461,260,000; FY 11 est \$281,236,844,000; and FY 12 est \$268,054,206,000

**Range and Average of Financial Assistance:**

\$9,750,000 TO \$34,743,073,000. Average assistance is \$5,531,683,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: It is estimated that there will be 52,918,000 Medicaid enrollees in fiscal year 2010. Fiscal Year 2011: It is estimated that there will be 55,052,000 Medicaid enrollees in fiscal year 2011. Fiscal Year 2012: It is

estimated that there will be 56,044,000 Medicaid enrollees in fiscal year 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR, Subchapter C.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Associate Regional Administrator, Division of Medicaid, Center for Medicaid, CHIP and Survey & Certification. (See Appendix IV of the Catalog for addresses and telephone numbers.).

**Headquarters Office:**

Division of Medicaid, 7500 Security Boulevard, Baltimore, Maryland 21244  
Phone: (410) 786-3870.

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

64.012 Veterans Prescription Service; 64.013 Veterans Prosthetic Appliances; 93.110 Maternal and Child Health Federal Consolidated Programs; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.560 Family Support Payments to States\_Assistance Payments; 93.767 State Children's Insurance Program; 93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.775 State Medicaid Fraud Control Units; 93.777 State Survey and Certification of Health Care Providers and Suppliers; 96.006 Supplemental Security Income

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.779 CENTERS FOR MEDICARE AND MEDICAID SERVICES (CMS) RESEARCH, DEMONSTRATIONS AND EVALUATIONS**

(CMS Research)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XI, Sections 1110 and 1115; 42 U.S.C. 1310 and 1315(a); Title XVIII, Section 1875; 42 U.S.C. 1395 and 42 U.S.C. 1881 (f); Section 402, Public Law 90-248, as amended; Section 222, Public Law 92-603.

**OBJECTIVES:**

The Centers for Medicare & Medicaid Services (CMS) conducts research, demonstrations, and evaluations in support of CMS' key role as a beneficiary-centered purchaser of high-quality health care at a reasonable cost. These grants are awarded in the form of research grants and cooperative agreements; Hispanic health services grants; historically black colleges and university grants. For fiscal years 2010 and 2011, CMS research, demonstrations and evaluations will focus on expanding agency efforts to improve the efficiency of payment, delivery, access and quality of our health care programs that serve millions of beneficiaries.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Under all authorizations, all applications must meet standards of excellence in research or evaluation design. Funds may not be used for construction or renovation of buildings. Funds authorized by Section 1115 of the Social Security Act are limited to State agencies administering the Medicaid program.

The research issues and/or hypotheses identified by a project should be clearly stated and realistic and should reflect the issues of interest to CMS and, where appropriate, HHS, Federal Government, and the broader health services research community.

The research design should clearly identify the measures that will be collected and analyzed to address the issues and/or hypotheses. These proposed

measures should reflect concepts and variables that are consistent with the stated issues and hypotheses.

The research design should also address the reliability of measures i.e., a measurement should not change when the concept being measured remains constant in value. A common reliability concern is the level of inter-rater reliability of an instrument, determined by the extent to which two or more persons measuring the same characteristic would assign the same score.

The research design should address the validity of proposed measures i.e., the extent to which differences in scores on variable or the measuring instrument represent true differences in the characteristic we are trying to measure, rather than constant or random errors or the influence of other factors.

**Applicant Eligibility:**

Grants or cooperative agreements may be made to private, or public agencies or organizations, including State agencies that administer the Medicaid program. Private profit organizations may apply.

**Beneficiary Eligibility:**

All Medicare and Medicaid beneficiaries are eligible.

**Credentials/Documentation:**

Applicants should present written evidence of other agencies' willingness to cooperate when the project involves collaborative efforts or the utilization of non-CMS facilities or services. Costs will be determined in accordance with OMB Circular No. A-102 for State and local governments. The standard forms, as furnished by DHHS and required by OMB Circular No. A-102, must be used. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

CMS research and demonstration projects are solicited by publication in grants.gov as well. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application forms are submitted to the Acquisition and Grants Group, CMS, 2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. A letter of intent to file an application is necessary 30 days prior to the closing date of each solicitation cycle.

**Award Procedure:**

Official notice of approved applications is made through issuance of a Notice of Cooperative Agreement or Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range from 150 to 180 days.

**Appeals:**

No formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated. Applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval. In the case of solicited proposals, extensions may be allowed to prepare revisions which clarify various aspects of projects.

**Renewals:**

Extensions and continuations of projects are available if formally applied for and approved. If a grant/cooperative agreement application is recommended for approval for 2 or more years, the awardee must annually submit a formal request for continuation accompanied by a progress report which will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Awardees are required to share in the cost of projects. Normally, the minimum cost-sharing requirement is 5 percent of total project costs. This program has no statutory formula, except in Section 1115 projects, where the statutory formula is the same as that established for the Medicaid Program, both administrative and operational.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants/cooperative agreements are generally funded on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reports of progress and expenditures are required on all projects. Comprehensive final reports are due no later than 90 days after termination of projects. Cash reports are not applicable. Reports of progress are required on all projects. Reports on expenditures are required on all projects. Reports on performance is required on all projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0511-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$35,600,000; FY 11 est \$35,528,800; and FY 12 est \$31,200,000

**Range and Average of Financial Assistance:**

Not determined at this time.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 38 contracts/cooperative agreements and 10 grants. Fiscal Year 2011: 36 contracts/cooperative agreements and 12 grants. Fiscal Year 2012: Estimated 22 contracts/cooperative agreements and 16 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) and application kits may be obtained from the Office of Acquisition and Grants Management, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate CMS Regional Administrator. (See Appendix IV for Regional Offices.).

**Headquarters Office:**

Office of Research, 7500 Security Boulevard, Baltimore, Maryland 21244  
Email: research@cms.hhs.gov Phone: (1-800) 633-4277.

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The review process for grants/cooperative agreements consists of initially screening applications for completeness and relevancy to CMS priority areas. If the application is not relevant to CMS priority areas, it will be returned to the applicant. If accepted as submitted it will be reviewed and evaluated. The

review will be conducted by a panel of not less than three experts. CMS Project Officer will coordinate the panel's review, but will not vote. This individual will also prepare the panel's recommendation to the Director, Office of Research, Development, and Information (ORDI). The panel's recommendations will contain numerical ratings, rankings of applications, and a written assessment of each application. The recommendations will be based on published criteria as stated in the Federal Register. The review process for applications is also stated in the Federal Register Announcement.

### **93.780 GRANTS TO STATES FOR OPERATION OF QUALIFIED HIGH-RISK POOLS**

#### **FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

#### **AUTHORIZATION:**

Trade Act of 2002; Public Law 107-210; Deficit Reduction Act of 2005; Public Law 109-171; Public Law 109-172,, Executive Order State High Risk Pool Funding Extension Act of 2006, Public Law 109-171.

#### **OBJECTIVES:**

To assist States in the operation of a qualified high-risk health insurance pool by providing Federal funding (for up to appropriate funding levels) of losses incurred by the pool for a given State fiscal year.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

A State must have a qualified high-risk pool (as defined in section 2744(c)(2) of the Public Health Service Act) that has incurred a loss in order to be eligible for a grant.

#### **Applicant Eligibility:**

A State must meet all of the following requirements to be eligible for a grant: 1) the State is operating a qualified high-risk pool as defined in section 2744(c)(2) of the Public Health Service Act; 2) the pool restricts premium charged under the pool to no more than 200 percent for applicable standard risk rates for the State; 3) the pool offers a choice of two or more coverage options through the pool; 4) the pool has in effect a mechanism reasonably designed to ensure continued funding of losses incurred by the State; and 5) the FY 2011 amount of \$54.890 million will be awarded to the 31 federally qualified States currently receiving a HRP Grant award as a supplemental (extension) award to their 2008 Operational Losses.

#### **Beneficiary Eligibility:**

State Agency.

#### **Credentials/Documentation:**

Federal funds must go to a designated State Agency or its partner agencies. Individuals must meet State requirements. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application form SF-424 and related forms, as furnished by CMS, must be used for this program. These forms may be downloaded from the following Web site, [www.cms.hhs.gov/researchers/priorities/grants.asp](http://www.cms.hhs.gov/researchers/priorities/grants.asp). In addition to the standard forms some additional information regarding the history and description of the qualified high-risk pool, accounting of risk pool losses, and contact person information is also required. Please refer to the following Web site for additional information: [www.cms.hhs.gov/HighriskPools](http://www.cms.hhs.gov/HighriskPools). Applicants are required to submit an original and two copies of the application to the Acquisition and Grants Group, CMS, Mailstop C2-21-15, 7500 Security Boulevard, Baltimore, MD 21244-1850. Facsimile (fax) transmissions will not be accepted.

#### **Award Procedure:**

The Centers for Medicare and Medicaid Services (CMS) will make a decision for each application received. Each applicant will receive written notification of CMS's decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

60 to 120 days.

#### **Appeals:**

If an application is disapproved, the reasons for disapproval will be fully stated.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Under the original legislation, a total of \$80,000,000 has been made available for the qualified high-risk pool operation grant program. \$40,000,000 was made available for obligation from FY 2003-FY 2004 and another \$40,000,000 was made available for obligation from FY 2004-FY 2005. Under the provisions of section 6202 of the Deficit reduction Act, \$75,000,000 was made available in FY 2006 for this activity. The Consolidated Appropriations Act of 2008 made available \$49,126,500. The Omnibus Appropriations Act of 2009 made available \$75,000,000. The Consolidated Appropriations Act of 2010 made available \$55,000,000. Sections 1119 and 1818 of the Full-Year Continuing Appropriations Act, 2011 authorized \$54,890,000.

Method of awarding/releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Grant awardees may be required to submit quarterly progress and financial reports to CMS. At a maximum, a grantee would have to complete 8 reports per year if requested. It is anticipated that grantees may only need to file semi-annually, thus 4 reports per year. Refer to 45 CFR part 92. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by DHHS audit agency.

#### **Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

#### **Account Identification:**

75-0511-0-1-551.

#### **Obligations:**

(Formula Grants (Apportionments)) FY 10 \$55,000,000; FY 11 est \$54,890,000; and FY 12 Estimate Not Available(Exp: To be determined)

#### **Range and Average of Financial Assistance:**

None.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) application kits may be obtained from the Acquisition and Grants Group, CMS, Mailstop C2-21-15, 7500 Security Boulevard, Baltimore, MD 21244-1850. The grant application kit may be downloaded from the following web site, [www.cms.hhs.gov/researchers/priorities/grants.asp](http://www.cms.hhs.gov/researchers/priorities/grants.asp).

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate CMS Regional Administrator. (See appendix IV for Regional Offices).

**Headquarters Office:**

Barbara Dailey, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [Barbara.Dailey@cms.hhs.gov](mailto:Barbara.Dailey@cms.hhs.gov) Phone: (410) 786-9012.

**Website Address:**

<http://www.cms.hhs.gov/HighRiskPools/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed to ensure it meets the eligibility criteria (as stated above). If eligible, the State will be awarded the lesser 50 percent of losses incurred by its qualified risk pool for the fiscal year in question or its allotment under the formula for the grants.

**93.784 FEDERAL REIMBURSEMENT OF EMERGENCY HEALTH SERVICES FURNISHED TO UNDOCUMENTED ALIENS**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Medicare Prescription Drug, Improvement, and Modernization Act of 2003, Public Law 108-73, Section 1011; Medicare Modernization Act (MMA).

**OBJECTIVES:**

To reimburse eligible providers for their otherwise un-reimbursed costs associated with furnishing emergency health services to undocumented and certain other aliens.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Sections 1866(a)(1)(I), 1866 (a)(1)(N), and 1867 of the Social Security Act (the Act) impose specific obligations on Medicare-participating hospitals that offer emergency services. These obligations concern individuals who come to a hospital emergency department and request examination or treatment for medical conditions, and apply to all of these individuals, regardless of whether or not they are beneficiaries of any program under the Act. Section 1867 of the Act sets forth requirements for medical screening examinations of medical conditions, as well as necessary stabilizing treatment or appropriate transfer. In addition, section 1867(h) of the Act specifically prohibits a delay in providing required screening or stabilization services in order to inquire about the individual's payment method or insurance status.

**Applicant Eligibility:**

From the allotments made for a State, the Secretary of Health and Human Services shall pay an amount (subject to the total amount available from such allotments) directly to eligible providers located in the State where emergency services were incurred to the extent that the eligible provider was not otherwise reimbursed. An eligible provider defined under the statute is a hospital, physician, or provider of ambulance services including an Indian Health Service (IHS) facility whether operated by the IHS or by an Indian tribal or tribal organization).

**Beneficiary Eligibility:**

The amounts of money set aside for each State will be paid directly to hospitals, certain physicians, and ambulance providers for the costs of providing emergency health care required under EMTALA and related hospital inpatient,

outpatient, and ambulance services (including those operated by the Indian Health Service and Indian tribes and Tribal organizations) furnished to undocumented aliens, aliens paroled into the United States at a United States port of entry for the purposes of receiving such services, and Mexican citizens permitted temporary entry to the United States with a laser visa.

**Credentials/Documentation:**

Final policy guidance was released on May 9, 2005 regarding the implementation of section 1011 of the MMA. This notice establishes the general framework and procedural rules for submitting an enrollment application and payment requests, establishes general statements of policy, and provides CMS' interpretation of section 1011. It is posted in the "downloads" section of the following web address:

[http://www.cms.hhs.gov/UndocAliens/02\\_policy.asp#TopOfPage](http://www.cms.hhs.gov/UndocAliens/02_policy.asp#TopOfPage). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Not applicable

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This project is authorized beginning in FY 2005 until all appropriated funds have been exhausted. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. The Centers for Medicare & Medicaid Services (CMS) has designated Highmark Medicare Services as the national contractor for Section 1011 and Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens.

Highmark Medicare Services will enroll eligible providers, assist providers with enrollment and billing questions, calculate provider payment amounts, and serve as the compliance contractor.

Highmark Medicare Services will send CMS periodic reports on the payments and they can also found be on their website at [www.highmarkmedicare.com/section1011/index.html](http://www.highmarkmedicare.com/section1011/index.html). Periodic reports are due to CMS in accordance with the timeframes established by CMS. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for a period consistent with the information contained in the final payment methodology.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$99,500,000; FY 11 est \$70,000,000; and FY 12 est \$51,900,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This information can be found in the Final Policy Notice at the following link:

[www.cms.gov/UndocAliens.02.policy.asp](http://www.cms.gov/UndocAliens.02.policy.asp)

**Regional or Local Office:**

None.

**Headquarters Office:**

Lorraine Zicha, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: Lorraine.Zicha@cms.hhs.gov Phone: (410) 786-0048.

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.789 ALTERNATIVES TO PSYCHIATRIC RESIDENTIAL TREATMENT FACILITIES FOR CHILDREN**

(Demonstration Projects Regarding Home and Community-Based Alternatives to Psychiatric Residential Treatment Facilities for Children)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Section 6063, Deficit Reduction Act of 2005, Public Law 109-171.

**OBJECTIVES:**

Over the last decade, Psychiatric Residential Treatment Facilities (PRTFs) have become the primary provider for youth with serious emotional disturbances requiring an institutional level of care. However, since they are not recognized as hospitals, nursing facilities or intermediate care facilities for the mentally retarded, many States have been unable to use the 1915(c) waiver authority to provide home and community-based alternatives to care, which would keep the youth in their homes and with their families. Section 6063 of the Deficit Reduction Act of 2005 addresses this issue by providing up to \$218 million to up to 10 States to develop demonstration programs that provide home and community-based services to youth as alternatives to PRTFs. CMS anticipates awarding each successful applicant between \$5 and \$60 million. The PRTF Demonstration is authorized for up to 5 years. Payments may not be made to States after fiscal year 2011. CMS will review and approve each State's Implementation Plan prior to allowing States to access funds for Federal reimbursement of services under this grant. Section 6063 also provides \$1 million for a National Demonstration Evaluation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Budget Neutrality: In conducting these demonstration projects, The Secretary of Health and Human Services shall ensure that the aggregate payments made by the Secretary under title XIX of the Social Security Act (42 U.S.C. 1396 et seq.) do not exceed the amount which the Secretary estimates would have been paid under the title, if the demonstration projects under Section 6063 had not

been implemented. Any funding allocated for the Federal match for home and community-based services provided under the demonstration for the first year of this grant that remain unspent will be carried over to the next year of the Grant. Indirect Costs: The provisions of the OMB Circular A-87 govern reimbursement of indirect costs under this solicitation. A copy of OMB Circular A-87 is available online at: <http://www.whitehouse.gov/omb/circulars/a087/a087.html>.

**Applicant Eligibility:**

Any single State Medicaid Agency, State Mental Health Agency, or instrumentality of the State may apply for this Demonstration Grant. Only one application can be submitted for a given State. By "State" we refer to the definition provided under 45 CFR 74.2 as "any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments." By "territory or possession" we mean Guam, the U.S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

The level of care for Medicaid eligible individuals for this demonstration at a minimum must be under the age of 21 and require the need for a PRTF as defined in the State's Medicaid State Plan. For the purposes of this demonstration, youth are defined as "any child, adolescent or young adult under the age of 21". States shall ensure that each participant under the demonstration meets this level of care criterion to participate in the demonstration. Further, States may elect to add additional criteria to carve out or target a specific sub-population to receive home and community-based services under this demonstration. As a part of the application process, States shall submit a copy of the level of care assessment used to assess eligibility for participation in this demonstration. PRTFs are defined as any non-hospital facility with a provider agreement with a State Medicaid Agency to provide the inpatient services benefit to Medicaid- eligible individuals under the age of 21 (CFR 42 441.150 - 441.182). The facility must be accredited by the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) or any other accrediting organization with comparable standards recognized by the State. Additionally PRTFs must comply with Conditions of Participation on the use of restraint and seclusion (CFR 483.350 - 483.376).

**Credentials/Documentation:**

Each application for this Demonstration Grant must include a letter of endorsement from the Director of the Mental Health Authority and the State Medicaid Director, if the applicant is not the single State Medicaid Agency/State Agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit their applications electronically through <http://www.grants.gov>. Please note when submitting your application electronically, you are required, additionally, to mail a signed SF 424 to Nicole Nicholson, Centers for Medicare & Medicaid Services, Office of Operations Management, Acquisition and Grants Group, C2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. The mailed SF 424 form may be received at the Centers for Medicare & Medicaid Services within 2 business days of the application closing date.

**Award Procedure:**

How the Merit of Applications Will Be Determined: CMS will employ a multiphase review process to determine the applications that will be reviewed and the merit of the applications that are reviewed. The multiphase review process includes the following: "Applications will be screened by Federal staff to determine eligibility for further review using the criteria detailed in the "Eligibility Information" section of the solicitation. Applications that are received late or fail to meet the eligibility requirements as detailed in the "Applicant Eligibility" section of this solicitation will not be reviewed."

Applications will be objectively reviewed by a panel of experts, the exact number and composition of which will be determined by CMS at its discretion, but may include private sector subject matter experts, beneficiaries of Medicaid supports, and Federal and Applicant policy staff. The review panels will utilize the objective criteria described in the "Application Review Criteria Information" section of the solicitation to establish an overall numeric score for each application. The results of the objective review of applications will be used to advise the approving CMS official. Additionally, CMS staff will make final recommendations to the approving official after ranking applications using the scores and comments from the review panel and weighing other factors as described below. Factors Other than Merit that May be Used in Selecting Applications for Award: CMS may assure reasonable balance among the grants to be awarded in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the "Award Information" section of the solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Successful applicants will receive a Financial Assistance Award (FAA) signed and dated by the CMS Grants Management Officer. The FAA is the document authorizing the grant award and will be sent through the U.S. Postal Service to the applicant organization as listed on its SF 424. Any communication between CMS and applicants prior to issuance of the FAA is not an authorization to begin performance of a project.

**Appeals:**

Appeals are governed by Title 45--Public Welfare. SUBTITLE A--DEPARTMENT OF HEALTH AND HUMAN SERVICES PART 16--PROCEDURES OF THE DEPARTMENTAL GRANT APPEALS BOARD.

**Renewals:**

Any funding allocated for the Federal match for home and community-based services provided under the demonstration for the first year of this grant that remain unspent will be carried over to the next year of the Grant. Funding for years 2008 - 2011 will be awarded on a Continuation Grant to each State based on their approved Financial Neutrality Formula and updated Implementation Plan. Any funding allocated for the Federal match for home and community-based services provided under the demonstration that remains unspent will be carried over to the next year of the Grant.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The demonstration period is five years. Budget Period: The budget period is from FY 2007 through FY 2011. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Financial Status Report, form (SF-269), will be required to be submitted semi-annually. This financial status report will account for all uses of grant monies during each reporting period. During the pre-implementation period, CMS will work with the grantees to determine if additional reporting requirements imposed. At the end of each demonstration grant year, States will be required to produce documentation that they have not exceeded the determined budget ceiling and meet all CMS financial requirements. The format of this financial report will be determined during the IP phase of the Demonstration Semi- Annual Progress Reports: Web-based reports in a pre-determined format will be required to be submitted semi-annually. The submission of the finalized IP will be due no later than 9 months after receipt of the Notice of Financial Assistance Award. The IP will be considered the First report due under this demonstration. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Required to follow 45 CFR 74.53.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$28,106,000; FY 11 est \$60,074,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Floor: \$21 million; Ceiling \$21 million for FY 07; \$37 million for FY 08.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(CFR 42, 441.150 - 441.182) PRTFs are defined as any non-hospital facility with a provider agreement with a State Medicaid Agency to provide the inpatient services benefit to Medicaid-eligible individuals under the age of 21. The facility must be accredited by the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) or any other accrediting organization with comparable standards recognized by the State. (CFR 483.350 - 483.376) Conditions of Participation on the use of restraint and seclusion). Under this demonstration States are granted the same waiver provisions provided to States who operate a section 1915 (c) waiver program. The three waiver provisions of Title XIX of the Social Security Act (the Act) are as follows: 1902 (a)(10)(B) (Comparability) The waiver of this provision of the Act permits a State to limit the provision of waiver services to Medicaid beneficiaries who require the level of care in an institutional setting, are in the target group(s) specified in the waiver, and offer services to waiver participants that are not provided to other Medicaid beneficiaries. 1902(a) (1) (State- wideness). The Secretary may grant a waiver of this provision of the Act in order to permit a State to limit the operation of a waiver to specified geographic areas of the State; and 1902(a) (10) (C) (i) (III) (Income and Resources for the Medically Needy). A State may request a waiver of this provision in order to apply institutional income and resources rules for the medically needy to persons in the community who otherwise qualify for waiver services. Additionally, States program design under this demonstration shall comply with existing Medicaid statutory and regulatory requirements governing the administration and operation of a section 1915 (c) waiver program, especially the six statutory assurances that are located in 42 CFR 441.302. HCBS waiver application for more detailed guidance on this subject found at: [http://www.cms.hhs.gov/HCBS/02\\_QualityToolkit.asp#TopOfPage](http://www.cms.hhs.gov/HCBS/02_QualityToolkit.asp#TopOfPage). By "State" we refer to the definition provided under 45 CFR 74.2 as "any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. By "territory or possession" we mean Guam, the U. S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. CMS will reimburse States for home and community-based services provided under the demonstration on a quarterly basis at a rate equal to the State's Federal Medical Assistance Percentage (FMAP). (See Attachment 6 in the solicitation materials, for a list of home and community-based service categories). Administrative costs will be reimbursed according to the requirements of CFR 42, 433.15. A complete electronic application package, including all required forms, for this demonstration grant is available at [https://apply.grants.gov/forms\\_apps\\_idx.html](https://apply.grants.gov/forms_apps_idx.html) Standard application forms and related instructions are available online at <http://gsa.gov/forms>. Standard forms are available as detailed in, Section V.A, Address to Request Application Package. The following standard forms must be completed with an original signature and enclosed as part of the proposal: SF 424: Official Application for Federal Assistance (see Note below\*) SF 424A: Budget Information SF 424B:

Assurances Non-Construction Programs SF LLL: Disclosure of Lobbying Activities PHS-5161-1 (7/00) Additional Certifications - can be found at the following website:  
[http://apply.grants.gov/forms/sample/SSA\\_additionalassurances\\_VI.0.pdf](http://apply.grants.gov/forms/sample/SSA_additionalassurances_VI.0.pdf)  
Usual Requirements that must be adhered to by law and regulation: A. Specific administrative and policy requirements of grantees as outlined in 45 CFR 74 and 45 CFR 92, apply to this grant opportunity. B. All grantees receiving awards under these grant programs must meet the requirements of: Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, The Age Discrimination Act of 1975, Hill-Burton Community Service nondiscrimination provisions, and Title II Subtitle A of the Americans with Disabilities Act of 1990.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ronald Hendler, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [Ronald.Hendler1@cms.hhs.gov](mailto:Ronald.Hendler1@cms.hhs.gov) Phone: (410) 786-2267.

**Website Address:**

<http://www.cms.hhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Application submission will include a systems assessment, demonstration design and Financial Neutrality Form, following the application instructions in Section IV of the solicitation. Through a competitive process, 10 applications will receive awards. The 10 States receiving awards will be required to submit an Implementation Plan. States receiving an award under this solicitation will have nine months to complete the Implementation Plan for Centers for Medicare & Medicaid Services (CMS) review and approval. CMS will employ a multiphase review process to determine the applications that will be reviewed and the merit of the applications that are reviewed. The multiphase review process includes the following: Applications will be screened by Federal staff to determine eligibility for further review using the criteria detailed in the Eligibility Information section of this solicitation. Applications that are received late or fail to meet the eligibility requirements as detailed in the Applicant Eligibility section of this solicitation will not be reviewed. Applications will be objectively reviewed by a panel of experts, the exact number and composition of which will be determined by CMS at its discretion, but may include private sector subject matter experts, beneficiaries of Medicaid supports, and Federal and Applicant policy staff. The review panels will utilize the objective criteria described in the Application Review Criteria Information section of this solicitation to establish an overall numeric score for each application. The results of the objective review of applications will be used to advise the approving CMS official. Additionally, CMS staff will make final recommendations to the approving official after ranking applications using the scores and comments from the review panel and weighing other factors as described below. Factors Other than Merit that May be Used in Selecting Applications for Award: CMS may assure reasonable balance among the grants to be awarded in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the Award Information section of this solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

**93.790 ALTERNATE NON-EMERGENCY SERVICE PROVIDERS OR NETWORKS**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Section 6043, Emergency Room Co-payments for Non-Emergency Care, Deficit Reduction Act of 2005, Public Law 109-171, enacted February 8, 2006.

**OBJECTIVES:**

To provide Federal payments to States for the establishment of alternate non-emergency service providers, or networks of such providers to provide non-emergency care.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds from this program may be used for the establishment of alternate non-emergency service providers, or networks of such providers to provide non-emergency care. States may not use funds as the State's share of the Medicaid program costs or as supplemental Disproportionate Share Hospital (DSH) payments.

**Applicant Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Beneficiary Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Credentials/Documentation:**

Federal funds will be directed to the State Medicaid Agency with the grant award amount identified in the award approval letter. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A State may submit only one application. Applications must be submitted electronically to CMS via E-mail: [Matransgrant@cms.hhs.gov](mailto:Matransgrant@cms.hhs.gov) .

**Award Procedure:**

CMS will make a decision for each application received. Each applicant will receive written notification of CMS' decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: Under this legislation, a total of \$50,000,000 over 4 years (FY 2006-2009) has been made available for the establishment of alternate non-emergency service providers or networks of such providers to provide non-emergency care. CMS will have two separate competitive grant solicitations as follows: 1st FFY 2006 and 2007; 2nd FFY 2008 and 2009. Budget Period: FY 2006, 2007, 2008, and 2009. Method of awarding/releasing assistance: lump sum.

**Reports:**

States will be required to submit quarterly reports to CMS related to program status and financial reports as identified in the terms and conditions post award. States will be required to submit quarterly reports to CMS related to program



status and financial reports as identified in the terms and conditions post award. States will be required to submit quarterly reports to CMS related to program status and financial reports as identified in the terms and conditions post award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents and progress/annual reports and all other records pertinent to this program shall be retained three years.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Outlays are still ongoing.

**Range and Average of Financial Assistance:**

Grant funds will be allocated based on the number of States that apply and meet grant criteria.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CMS will provide application guidance in the form of a State Medicaid Director letter. The letter may be located at [www.cms.hhs.gov/GrantsAlternaNonEmergServ/](http://www.cms.hhs.gov/GrantsAlternaNonEmergServ/).

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara Dailey, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [Barbara.Dailey@cms.hhs.gov](mailto:Barbara.Dailey@cms.hhs.gov) Phone: (410) 786-9012.

**Website Address:**

[www.cms.hhs.gov/GrantsAlternaNonEmergServ/](http://www.cms.hhs.gov/GrantsAlternaNonEmergServ/) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by a team of CMS staff. The applicant selection criteria will consist of the following but will not be limited to only these factors: the project abstract, project narrative and budget.

**93.791 MONEY FOLLOWS THE PERSON REBALANCING DEMONSTRATION**

(Money Follows the Person Demonstration)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Section 6071, Public Law Deficit Reduction Act of 2005, Public Law 109-171.

**OBJECTIVES:**

The Money Follows the Person (MFP) Rebalancing Demonstration, authorized by section 6071 of the Deficit Reduction Act of 2005 (P.L. 109-171), was designed to assist States to balance their long-term care systems and help Medicaid enrollees transition from institutions to the community. Congress initially authorized up to \$1.75 billion in Federal funds through Fiscal Year (FFY) 2011. With the subsequent passage of the Patient Protection and Affordable Care Act (P.L. 111-148) in 2010, Section 2403 extended the

program through September 30, 2016. An additional \$2.25 billion in Federal funds was appropriated through FFY 2016. The MFP Demonstration supports State efforts to rebalance their long-term support system so that individuals have a choice of where they live and receive services. Transition individuals from institutions who want to live in the community. Promote a strategic approach to implement a system that provides person centered services and a quality management strategy that ensures the provision of, and improvement of such services in both home and community-based settings and institutions. The demonstration provides for enhanced Federal Medical Assistance Percentage (FMAP) for 12 months for qualified home and community-based services for each person transitioned from an institution to the community during the demonstration period. Eligibility for transition is dependent upon residence in a qualified institution for more than 90 consecutive days. However, days that an individual was residing in the institution for the sole purpose of receiving short-term rehabilitation services that are reimbursed under Medicare are excluded and will not be counted toward the 90-day requirement. The State must continue to provide community-based services after the 12-month period for as long as the person needs community services and is Medicaid eligible. Demonstration grants will be awarded to States through March 31, 2016. CMS will accept one proposal from each State interested in participating in the demonstration program. The State Medicaid Agency must be the lead applicant. States must propose a demonstration period of no less than two consecutive fiscal years but no greater than five years. The State will indicate in its application the targeted group(s) and number of individuals it intends to transition during the demonstration period. The number of demonstration projects approved by CMS depends largely on the scope (i.e., proposed enrollment and breadth of services) and quality of the proposed projects. Under the demonstration, the State must propose a system of Medicaid home and community-based care that will be sustained after the demonstration period and is deemed qualified by the Secretary. Specifically, the program must be conducted in conjunction with a "qualified HCBS program" which is a program that is in operation (or approved) in the State for such individuals in a manner that assures continuity of Medicaid coverage of services in the qualified HCBS program for eligible individuals. States may also propose to enhance the services they will provide during the demonstration period to achieve greater success with transition. States will be required to participate in a national qualitative and quantitative evaluation conducted by CMS. Data collected on a national level will help evaluate the core objectives of the statute.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Indirect Costs: The provisions of the 2 CFR 225 (formerly OMB Circular A-87) govern reimbursement of indirect costs under this solicitation. A copy of OMB Cost Principles for State, Local, and Indian Tribal Governments is available online at [http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105\\_a87.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a87.pdf).

**Applicant Eligibility:**

Applicants for this Demonstration Grant must be any single State Medicaid Agency, State Mental Health Agency, or instrumentality of the State. Only one application can be submitted for a given State. By "State" we refer to the definition provided under 45 CFR 74.2 as "any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments." By "territory or possession", we mean Guam, the U. S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

As defined in Section 6071(b)(2) of the DRA and amended by Section 2403 of the Affordable Care Act, the term eligible individual means an individual in the State who, immediately before beginning participation in the MFP demonstration project: (i) resides (and has resided, for a period of not less than 90 consecutive days in an inpatient facility; (ii) is receiving Medicaid benefits for inpatient services furnished by such inpatient facility; and (iii) with respect to whom a determination has been made that, but for the provision of home and community-based long-term care services, the individual would continue to require the level of care provided in an inpatient facility and, in any case in

which the State applies a more stringent level of care standard as a result of implementing the State plan option permitted under section 1915 (i) of the Social Security Act, the individual must continue to require at least the level of care which had resulted in admission to the institution.

**Credentials/Documentation:**

Applications can only be submitted by the single State Medicaid agency. A cover letter must accompany the application. The cover letter must be signed by the State Medicaid Director, and must indicate the title of the project, the principal contact person, the amount of funding requested, and the names of the major partners actively collaborating in the project. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit their applications electronically through <http://www.grants.gov>.

**Award Procedure:**

An independent review of all applications will be conducted by a panel of experts including members of the disability community, advocates, providers and staff from State and Federal agencies including CMS. The review panel will assess each application to determine the merits of the proposal and the extent to which it furthers the purposes of the demonstration program. The panel will evaluate each application for further review by CMS. CMS reserves the right to request that States revise or otherwise modify certain sections of their proposals based on the recommendations of the panel and the budget. A low score in one or two areas, even if offset by high scores in other areas, may result in a rejection of the proposal. Final approval of demonstration projects will be made by the Administrator of CMS after consideration of the comments and recommendations of the review panelists, program office recommendations, and the availability of funds. CMS reserves the right to approve or deny any or all proposals for funding. CMS seeks to achieve reasonable balance among the grants to be awarded in a particular category in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the "Award Information" section of this solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

**Deadlines:**

Nov 01, 2009 January 7, 2011 The deadline for applications is January 7, 2011, (11:59pm Eastern Standard Time).

**Range of Approval/Disapproval Time:**

Successful applicants will receive a Financial Assistance Award (FAA) signed and dated by the CMS Grants Management Officer. The FAA is the document authorizing the grant award and will be sent through the U.S. Postal Service to the applicant organization as listed on its SF 424. Any communication between CMS and applicants prior to issuance of the FAA is not an authorization to begin performance of a project. Unsuccessful applicants will be notified by letter, sent through the U.S. Postal Service to the applicant organization as listed on its SF 424.

**Appeals:**

Appeals are governed by the Code of Federal Regulations, Title 45--Public Welfare, Subtitle A Department of Health and Human Services, Part 16 Procedures of the Departmental Grant Appeals Board.

**Renewals:**

Any funding allocated for the Federal match for home and community-based

services provided under the demonstration for the first year of this grant that remain unspent will be carried over to the next year of the Grant.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: A State receiving an award under this solicitation will receive reimbursement for home and community-based services provided under the demonstration on a quarterly basis at the following Federal Medical Assistance Percentage (FMAP) rates: The FMAP rate will be adjusted to reflect the increased FMAP available to States through the American Recovery and Reinvestment Act of 2009 each quarter from October 1, 2008 and extended by passage of Education, Jobs and Medicaid Assistance Act (P.L. 111-226) of 2010 through June 30, 2011 (increased rate). The funding for the increased FMAP will be provided from Money Follows the Person grant demonstration appropriations. The enhanced FMAP provided by the DRA of 2005 (Enhanced Rate increased up to 50% of the State Match capped at 90%) will be applied to the Recovery Act increased quarterly FMAP. Service Category Match rate for a 12-month demonstration period for "Qualified HCB program" services and HCB Demonstration services are at the Increased and Enhanced Match Rate. Supplemental Demonstration services will be provided at the Increased Rate only for the Recovery Act period. Administrative costs will be reimbursed according to the requirements of CFR 42, 433.15. At the end of the Recovery Act period, the yearly-published FMAP Rate in the Federal Register will be used to determine the Enhanced Rate and the State match requirements for the prior quarters to the Recovery Act period and subsequent quarters until the end of the demonstration. This program has MOE requirements, see funding agency for further details. Total expenditures under the State Medicaid program for home and community-based long-term care services will not be less for any fiscal year during the MFP demonstration project than for the greater of such expenditures for fiscal year 2005 or any succeeding fiscal year before the first of the year of the MFP demonstration project. This program has MOE requirements, see funding agency for further details. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The demonstration period is ten years. The project period is from January 1, 2007 through March 31, 2016. The budget period is from January 1, 2007 through March 31, 2016. Method of awarding / releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Financial Status Report, form (SF-425), will be required to be submitted semi-annually. This financial status report will account for all uses of grant monies during each reporting period. During the pre-implementation period, CMS will work with the grantees to determine if additional reporting requirements are required. At the end of each demonstration grant year, States will be required to produce documentation that they have not exceeded the determined budget ceiling and meet all CMS financial requirements. The format of this financial report will be determined during the program development phase of the Demonstration Semi-Annual Progress Reports. The submission of the finalized Operational Protocol (OP) will be due no later than 9 months after receipt of the Notice of Financial Assistance Award. The OP will be considered the First report due under this demonstration. No performance monitoring is required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 26, 2007), "Audits of States, Local Governments, and Non-Profit Organizations Non-Federal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Non-Federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to follow 45 CFR 74.53: Code of Federal Regulations, Title 45--Public Welfare, Subtitle A--Department of Health and Human Services, Section--74.53 Retention and access requirements for records.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$120,466,000; FY 11 est \$176,100,000; and FY 12 est \$251,100,000

**Range and Average of Financial Assistance:**

There is not a prescribed or predetermined maximum floor or ceiling grant award. Each State is unique in the number of individuals that will be projected for transition under the demonstration grant. In addition, the costs of individuals transitioning to community settings may vary, by targeted population. Applicants are advised to request a grant award that is sufficient in the amount needed to transition the projected individuals into community settings. CMS reserves the right to reduce the requested grant award, based on the number and size of additional grant awards given under this demonstration, as well as because of concerns contained within a State's application (i.e., concerns with the number of costs of individuals projected for transition by the individual State.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

To promote effective outcomes from the demonstration, the statute provides waiver authority for four provisions of title XIX of the Social Security Act, to the extent necessary to enable a State initiative to meet the requirements and accomplish the purposes of the demonstration. These provisions are: (1) Statewide (Section 1902(a)(1) of the Social Security Act) - in order to permit implementation of a State initiative in a selected area or areas of the State; (2) Comparability (Section 1902(a)(10)(B) - in order to permit a State initiative to assist a selected category or categories of individuals enrolled in the demonstration; (3) Income and Resource Eligibility (Section 1902(a)(10)(C)(i)(III) - in order to permit a State to apply institutional eligibility rules to individuals transitioning to community-based care; and (4) Provider agreement (Section 1902(a)(27)) - in order to permit a State to implement self-direction services in a cost-effective manner for purposes of this demonstration program. By "State" we refer to the definition provided under 45 CFR 74.2 as any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. By "territory or possession", we mean Guam, the U. S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. CMS will reimburse States for home and community-based services provided under the demonstration on a quarterly basis at a rate equal to the State's Federal Medical Assistance Percentage (FMAP) or the State's Enhanced FMAP, as specified in the solicitation. Administrative costs will be reimbursed according to the requirements of 42 CFR 433.15. A complete electronic application package, including all required forms, for this demonstration grant is available at [https://apply.grants.gov/forms\\_apps\\_idx.html](https://apply.grants.gov/forms_apps_idx.html) Standard application forms and related instructions are available online at <http://gsa.gov/forms>. Standard forms are available as detailed in, Section V.A, Address to Request Application Package. The following standard forms must be completed with an original signature and enclosed as part of the proposal: SF 424: Official Application for Federal Assistance (see Note below\*) SF 424A: Budget Information SF 424B: Assurances - Non-Construction Programs SF LLL: Disclosure of Lobbying Activities PHS-5161-1 (7/00) Additional Certifications - can be found at the following website: [http://apply.grants.gov/forms/sample/SSA\\_additionalassurances\\_VI.0.pdf](http://apply.grants.gov/forms/sample/SSA_additionalassurances_VI.0.pdf) Usual Requirements that must be adhered to by law and regulation: Specific administrative and policy requirements of grantees as outlined in 45 CFR 74 and 45 CFR 92, apply to this grant opportunity. All grantees receiving awards under these grant programs must meet the requirements of: Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, The Age Discrimination Act of 1975, Hill-Burton Community Service nondiscrimination provisions, and Title II Subtitle A of the Americans with Disabilities Act of 1990.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cathy M. Cope, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [cathy.cope@cms.hhs.gov](mailto:cathy.cope@cms.hhs.gov) Phone: (410) 786-8287

**Website Address:**

[https://www.cms.gov/CommunityServices/20\\_MFP.asp](https://www.cms.gov/CommunityServices/20_MFP.asp)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.793 MEDICAID TRANSFORMATION GRANTS**

(Medicaid Transformation Grants)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Deficit Reduction Act of 2005, Public Law 109-171, enacted February 8, 2006, Section 6081, Medicaid Transformation Grants.

**OBJECTIVES:**

To provide Federal payments to States for the adoption of innovative methods to improve the effectiveness and efficiency in providing Medical Assistance.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds from the program may be used to fund the following examples of innovative methods to improve the effectiveness and efficiency in providing Medical Assistance and are not limited to: (1) methods for reducing patient error rates through the implementation and use of electronic health record, electronic clinical decision support tool, or e-prescribing programs, (2) methods for improving rates of collection from estates of amounts owed under Medicaid, (3) methods to reduce waste, fraud and abuse under Medicaid, such as reducing improper payment rates as measured by annual error rate measurement (PERM), (4) implementation of medication risk management program as part of a drug use review program under section 1927(g), (5) methods for reducing, in clinically appropriate ways Medicaid expenditures for covered outpatient drugs, particularly in the categories of greatest drug utilization, by increasing the utilization of generic drugs through the use of education programs and other incentives to promote greater use of generic drugs, and (6) methods of improving access to primary and specialty physician care for the uninsured using integrated university-based hospital and clinic systems. RESTRICTIONS -- States may not use funds as the State's share of the Medicaid program costs or as supplemental Disproportionate Share Hospital (DSH) payments.

**Applicant Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Beneficiary Eligibility:**

State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Credentials/Documentation:**

Federal funds will be directed to the State Medicaid Agency with the grant award amount identified in the award approval letter. Permissible administrative costs will be determined in accordance with Office of Management and Budget (OMB), Circular No. 87, "Cost Principals for States and Local Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A State may submit only one application. More than one program concept proposal and budget may be included in the application. Applications must be submitted electronically to CMS via E-mail: [Matransgrant@cms.hhs.gov](mailto:Matransgrant@cms.hhs.gov).

**Award Procedure:**

CMS will make a decision for each application received. Each applicant will receive written notification of CMS' decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

There were no new obligations or appropriations for FY09 or FY10 but the program should remain in the system due to continued outlays. Method of awarding/releasing assistance: lump sum.

**Reports:**

States are required to submit an annual report to CMS related to the programs supported by this award and the report shall include at a minimum: (1) the specific uses of the funds (2) an assessment of quality improvements and clinical outcomes under this program and (3) estimates of cost savings resulting from this program. In addition, States are required to submit financial reports as required by CMS. No cash reports are required. Progress Reports: see above. Expenditure Reports: see above. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents and progress/annual reports and all other records pertinent to this program shall be retained 3 years.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - There were no new obligations or appropriations for FY09 or FY10 but the program should remain in the system due to continued outlays.

**Range and Average of Financial Assistance:**

Grant funds were allocated based on the number of States that applied and met the grant criteria.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CMS provided application guidance in the form of a State Medicaid Director letter. The letter is located at [www.cms.gov/MedicaidTransGrants/](http://www.cms.gov/MedicaidTransGrants/).

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara Dailey, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [Barbara.Dailey@cms.hhs.gov](mailto:Barbara.Dailey@cms.hhs.gov) Phone: (410) 786-9012.

**Website Address:**

<http://www.cms.hhs.gov/MedicaidTransGrants/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by a team of CMS staff. The applicant selection criteria will consist of the following but will not be limited to only these factors: the project abstract, project narrative and budget.

**93.796 STATE SURVEY CERTIFICATION OF HEALTH CARE PROVIDERS AND SUPPLIERS (TITLE XIX) MEDICAID****FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Sections 1863, 1864, 1865, 1902, 1903 and 1919, Title XIX.

**OBJECTIVES:**

To provide (Medicaid) financial assistance to any State which is able and willing to determine through its State health agency or other appropriate State agency that providers and suppliers of health care services are in compliance with Federal regulatory health and safety standards and conditions of participation.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds are made available to States for the purpose of inspecting providers and suppliers of health care services, to ensure mandatory adherence to Medicaid health and safety standards and conditions. Funds made available under this program are used to support or reimburse State Staff for performing survey activities and for State administration of the program.

**Applicant Eligibility:**

The Federal government reimburses States for the Federal Financial Participation share for costs of inspection. Such participation is dependent on an approved State activity plan.

**Beneficiary Eligibility:**

NA.

**Credentials/Documentation:**

State must have an approved State Plan for Title XIX. A signed 1864 Agreement for Title XIX in order to carry out the survey function. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States submit an acceptable State Plan for support of Medicaid survey and certification activities. Budget proposals and estimated expenditures must comply with OMB Circular No. A-87 cost principles and regulatory guidelines.

**Award Procedure:**

States are provided a quarterly award based on an approved annual budget. States are reimbursed for survey activities under Electronic Funds Transfer System procedures. States draw funds through Department's Payment Management System.

**Deadlines:**

Oct 01, 2010 to Aug 15, 2011 Annual budget proposals are requested from the appropriate State agency as negotiated with Regional Office.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Appeals are reviewed by the Department Grants Appeal Board.

**Renewals:**

Ongoing renewals are awarded to State agencies that are willing and able to conduct required survey activities in compliance with statutory mandate.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. Formula Grants. This program does have a matching requirement (75% Fed/25% State). This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding authority is provided for a full year to State agencies performing survey and certification activities pertaining to Medicaid survey activities. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State must maintain surveyor time records, line item and expenditure documentation, which substantiate the costs relating to survey activities.

**Account Identification:**

75-0512-0-1-550.

**Obligations:**

(Formula Grants) FY 10 \$190,108,356; FY 11 est \$234,567,000; and FY 12 est \$228,000,000

**Range and Average of Financial Assistance:**

FY09 range is from \$311,219 to \$23,966,575 and an average of \$3,824,966. FY10 range is from \$398,202 to \$23,148,410 and an average of \$3,728,729. FY11 information is unavailable at this time.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title XIX, Social Security Act as amended Sections 1863, 1864 and 1865.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Thomas Hamilton, 7500 Security Boulevard, Baltimore, Maryland 21244  
Email: thomas.hamilton@cms.hhs.gov Phone: (410) 786-9493.

**Website Address:**

<http://www.cms.hhs.gov/contracts>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.822 HEALTH CAREERS OPPORTUNITY PROGRAM**

HCOP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 739 of the Public Health Service Act (42 USC 293c), (Educational Assistance in the Health Professions Regarding Individuals from Disadvantaged Backgrounds) as amended by Section 5402 of the Patient Protection and Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

The Health Careers Opportunity Program (HCOP) program strives to develop a more competitive applicant pool to build diversity in the health professions. The program's goal is to provide students from economically and educationally disadvantaged backgrounds an opportunity to develop the skills needed to successfully compete for, enter into and graduate from health professions schools, allied health professions schools, graduate programs in behavioral and mental health, and programs for the training of physician assistants.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Section 739 provides for assisting individuals from disadvantaged backgrounds to undertake education to enter a health or allied health profession. Grant funds may be used for: (1) recruitment; (2) facilitating entry; (3) counseling, mentoring and other services; (4) preliminary education and health research training; (5) financial aid/information dissemination; (6) primary care exposure activities; (7) development of a more competitive applicant pool; and (8) stipends.

**Applicant Eligibility:**

Eligible applicants include accredited schools of medicine, osteopathic medicine, public health, dentistry, veterinary medicine, optometry, pharmacy, allied health, chiropractic, podiatric medicine, public and nonprofit private schools that offer graduate programs in behavioral and mental health, programs for the training of physician assistants, and other public or private nonprofit health or educational entities. HCOP grant programs may only operate in the fifty (50) states, the District of Columbia, Commonwealth of Puerto Rico, Commonwealth of Northern Mariana Islands, the U.S. Virgin Islands, Guam, American Samoa, the Republic of Palau, Republic of the Marshall Islands, and the Federated States of Micronesia.

**Beneficiary Eligibility:**

Students who meet the definition of either educationally or economically disadvantaged, and who express an interest in pursuing a health degree program are eligible for participation in an HCOP program during their primary, secondary, pre-professional, and professional education. Students must be U.S. citizens, non-citizen nationals, or foreign nationals who possess a visa permitting permanent residence in the United States. An individual will be determined to be disadvantaged if he or she comes from a background that has inhibited the individual from obtaining the knowledge, skills, and abilities required to enroll in and graduate from a health professions school or program providing education or training in an allied health profession; or comes from a family with an annual income below a level based on low income thresholds according to family size published by the Bureau of the Census, adjusted annually for changes in the Consumer Price Index, and adjusted by the Secretary for use in health professions programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 4 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects periods are up to 3 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Annual progress reports, in the form of HRSA's performance reporting system, are required. Electronic reporting requirements can be viewed at [www.HRSA.gov](http://www.HRSA.gov). Financial reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. See the funding opportunity announcement for further information. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$21,130,487; FY 11 est \$20,961,727; and FY 12 est \$22,133,000

**Range and Average of Financial Assistance:**

FY 10: \$199,271 to \$1,516,342; \$631,737.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Violet Woo, Chief of the Diversity Branch, Division of Public Health and Interdisciplinary Education, Parklawn Building Room 9-36, 5600 Fishers Lane, Rockville, Maryland 20857. Phone: 301-443-8032. E-mail: [vwoo@hrsa.gov](mailto:vwoo@hrsa.gov).

Kyle Peplinski, Project Officer, Diversity Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857.

**Headquarters Office:**

Violet Woo 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-8032

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Overview: (1) The applicant's record in developing, training, and strengthening the academic performance of disadvantaged students throughout the educational pipeline, including health professions schools; (2) the needs assessment study; (3) the established relationship between the program's stated needs, objectives, and outcomes; (4) the project's plan for developing and expanding the pool of competitive health professions school applicants; (5) the qualifications and experience of the faculty and staff to implement and manage an HCOP program, as well as the experience of the faculty and staff in working with the proposed target group; (6) evidence that formal linkages have been established in order to create a more comprehensive HCOP program; (7) the project activities and their reasonability given the proposed level of staff effort, length of project period and budget requested, resources available, and linkages established; (8) the proposed methods for evaluating the project (including data collection, analysis and reporting procedures, quality control methods and type of personnel involved); (9) the demonstrated knowledge and expertise the applicant possess for coordinating activities with school districts and other community based entities, as well as identifying and leveraging resources from private, philanthropic, business and other government entities; and (10) the budget demonstrates effective use of grant funds and is reasonable, based on: (a) a detailed justification for each line item, (b) the level of in-kind support and other sources of funds, both Federal and non-Federal, the applicant proposes to utilize for carrying out the program, and (c) the applicant's proposed plan for continuation of the proposed project beyond the federally-funded project period.

REVIEW CRITERIA. All competitive applications will be reviewed and ranked on the basis of review criteria that is used to review and rank applications.

See guidance at [www.grants.gov](http://www.grants.gov) for detailed review criteria.

### **93.824 AREA HEALTH EDUCATION CENTERS INFRASTRUCTURE DEVELOPMENT AWARDS**

AHEC-ID

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act (42 U.S.C. 294a), Title VII, Section 751(a) (1), as amended by the Patient Protection and Affordable Care Act of 2010, Public Law 111-148, Section 5403.

#### **OBJECTIVES:**

The Patient Protection and Affordable Care Act, Public Law 111-148, amended the PHS Act, Section 751, Area Health Education Centers. The required program activities in the amended legislation embrace the following goals to: (1) educate and train students to become culturally competent primary care health professionals who will provide healthcare in underserved areas and to health disparity populations; (2) increase the number and variety of primary care health professionals who provide care to underserved populations in Health Professional Shortage Areas (HPSAs) and other medically underserved areas; and (3) recruit into health careers individuals from underrepresented minority population or from disadvantaged or rural backgrounds. The AHEC Infrastructure Development awards consist of cooperative agreements with accredited schools of medicine and nursing, to assist the schools to improve the distribution, diversity, supply, and quality of health personnel in the health services delivery system, and to attract and retain health personnel in underserved areas. The AHEC awardees link the academic resources of medical schools and participating health profession schools with local educational and clinical sites, and thereby establish a network of primary care oriented community-based training sites to provide educational services to health profession students, faculty-preceptors and health care providers in underserved areas, and ultimately to improve the delivery of health care in an underserved region or in an entire state. Grantees shall allocate not less than 75 percent of the award to area health education centers to coordinate community-based training and interdisciplinary/interprofessional training in underserved areas and for health disparity populations. AHEC health careers recruitment activities shall be coordinated, where practicable, with Department of Labor workforce investment boards, and shall include an emphasis on careers in public health. Interdisciplinary/interprofessional training shall involve physicians, physician assistants, nurse practitioners, nurse midwives, dentists, psychologists, pharmacists, optometrists, community health workers, public health and allied health professionals, as practicable.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Funds shall be used to recruit individuals from underrepresented, disadvantaged, or rural backgrounds into the health professions; establish and maintain community based placements or preceptorships with an emphasis on primary care; conduct interdisciplinary/interprofessional training involving an array of health professionals; deliver or facilitate continuing education; propose and implement outcomes measurement and evaluation strategies. Not less than 75 percent of the total amount provided to an AHEC program under subsection 751(a) (2) shall be allocated to the area health education centers participating in the program.

The aggregate amount of awards to schools in the State for the fiscal year under Infrastructure Development AHEC authority shall be a maximum of \$250,000 per area health education center, including program office funds. If amounts appropriated to carry out Section 751 are not sufficient to comply with the amount stated in the preceding sentence, the Secretary may reduce the per center amount as necessary.

#### **Applicant Eligibility:**

Eligible applicants for Area Health Education Centers (AHEC) Program cooperative agreements under Section 751(a)(1) include public or private nonprofit accredited schools of medicine and osteopathic medicine and

incorporated consortia made up of such schools, or the parent institutions of such schools. Also, in States in which no AHEC program is in operation, an accredited school of nursing is an eligible applicant.

#### **Beneficiary Eligibility:**

Accredited public or nonprofit schools of allopathic medicine or osteopathic medicine, the parent institution on behalf of such schools, and accredited schools of nursing in States in which no AHEC program is in operation.

Beneficiaries include also a full range of trainees: high school students, health profession students, faculty and practitioners.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. When making final funding decisions regarding Section 751 awards, consideration will be given to the Sense of the Congress that there be an area health education center program in each state.

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 3 to 4 months after the review of the application.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

#### **Formula and Matching Requirements:**

Statutory Formula: Title Section 751(a)(1), Public Law PHS Act.  
Matching Requirements: Percent: 50%. Matching Funds: With respect to the costs of operating a program through a grant under section 751, to be eligible for assistance under section 751, an entity shall make available (directly or through contributions from State, county or municipal governments or the private sector) recurring nonfederal contributions in cash or in kind toward such costs in an amount that is equal to not less than 50 percent of such costs. At least 25 percent of the total required non-Federal contributions shall be in cash. The Secretary may grant a waiver for up to 75 percent of the amount required in the first 3 years in which an awardee receives funds under this section: Section 751 (a) (1) of the PHS Act, as amended.

This program has MOE requirements, see funding agency for further details.

#### **Length and Time Phasing of Assistance:**

Funds are available for expenditure during appropriate budget period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS).

PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A Bureau of Health Professions Performance Report must be submitted annually. A financial status report must be submitted within 90 days after the end of each budget period. Final progress and financial reports must be submitted within 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$10,786,511; FY 11 est \$9,274,701; and FY 12 est \$9,000,000

**Range and Average of Financial Assistance:**

FY 10: \$254,329 to \$1,516,424 ; Average award amount \$843,097.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Lou Coccodrilli, M.P.H, Chief, AHEC Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: 301-443-6950. E-mail: [lcoccodrilli@hrsa.gov](mailto:lcoccodrilli@hrsa.gov).

CAPT Norma Hatot, Senior Nurse Consultant, Area Health Education Centers Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857, Phone 301-443-6950, and E-mail at [nhatot@hrsa.gov](mailto:nhatot@hrsa.gov).

Meseret Bezuneh, Project Officer, Area Health Education Centers Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857, Phone 301-443-6950, and E-mail at [mbezuneh@hrsa.gov](mailto:mbezuneh@hrsa.gov).

Michelle Menser, Project Officer, Area Health Education Centers Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD

20857, Phone 301-443-6950, and E-mail at [mmenser@hrsa.gov](mailto:mmenser@hrsa.gov).

**Headquarters Office:**

Louis D. Coccodrilli 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Phone: (301) 443-6950.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

93.107 Model State-Supported Area Health Education Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

**NEED-** Involves the extent to which the application describes the problem(s) to be addressed and the target population(s) and geographic area(s) to be served by the AHEC(s).

**RESPONSE-** Involves the degree to which the proposal responds to AHEC legislative requirements.

**EVALUATE MEASURES-** The adequacy of the evaluation strategies to monitor and evaluate project results.

**IMPACT-** Involves the extent and effectiveness of meeting the primary care workforce needs of the population and geography/region identified for AHEC services and programs, and potential for replication of project activities. Involves the extent to which the project demonstrates past performance success.

**RESOURCES/CAPABILITIES-** The extent to which personnel are qualified by training and/or experience to implement and carry out the proposal. The capabilities of the applicant organization and quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project will be reviewed.

**SUPPORT REQUESTED-** Involves the reasonableness of the proposed budget and resources in relation to the objectives, scope of the project, complexity of activities, and anticipated results.

See guidance at [www.grants.gov](http://www.grants.gov) for detailed review criteria.

**93.837 CARDIOVASCULAR DISEASES RESEARCH  
FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 422 and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 42 U.S.C. 285, and 42 U.S.C. 288, as amended; Small Business Reauthorization Act of 2000, Public Law 106-554.

**OBJECTIVES:**

To foster research and prevention, education, and control activities related to heart and vascular diseases and to develop young scientist investigators in these areas. Small Business Innovation Research (SBIR) program: To increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**



## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. Individual Predoctoral and Postdoctoral National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical shortage areas. Institutional NRSA awards may be made to eligible institutions to enable them to appoint individuals selected by the institution. Certain service and payback provisions may apply to postdoctoral individuals upon termination of the award or termination of the appointment. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of research initiated in Phase I that is likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. These awards are made to small businesses working in collaboration with academic institutions. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. Fast-Track is an option whereby Phase I and Phase II SBIR or STTR projects are submitted and reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II. While the intent of the STIR/STTR programs is commercialization (Phase III), no SBIR/STTR funds are allowed for commercialization activities such as patents; market and sales; market research; business development/product development/market plans; legal fees, travel and other costs including labor relating to license agreements and partnerships.

### Applicant Eligibility:

Any nonprofit organization engaged in biomedical research and institutions or companies organized for profit may apply for almost any kind of grant. Only domestic, non-profit, private or public institutions may apply for NRSA Institutional Research Training Grants. An individual may apply for an NRSA or, in some cases, for a research grant if adequate facilities to perform the research are available. SBIR grants can be awarded only to United States small business concerns (entities that are independently owned and operated for profit, or owned by another small business that itself is independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees including affiliates). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. SBIR projects must be performed at least 67% by the applicant small business in Phase I and at least 50% of the Project in Phase II. STTR grants can be awarded only to United States small business concerns (entities that are independently owned and operated for profit and have no more than 500 employees) that formally collaborate with a university or other non-profit research institution in cooperative research and development. The principle investigator may be employed with the small business concern or collaborating non-profit research institution as long as s/he has a formal appointment with or commitment to the applicant small business concern. At least 40% of the project is to be performed by the small business concern and at least 30% by the non-profit research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions.

### Beneficiary Eligibility:

Any nonprofit or for-profit organization, company or institution engaged in biomedical research. Only domestic for-profit small business firms may apply for SBIR and STTR programs.

### Credentials/Documentation:

Individual NRSAs and Institutional NRSA trainees must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or

equivalent domestic or foreign degree); and must possess a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organization costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with DHHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present a research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. SBIR and STTR applicants must use the SF424 Research and Related (R&R) application for electronic submission through grants.gov. Electronic submission of SNAP Progress Reports (eSNAP) apply for non-competing continuations (e.g., second year of Phase II). OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications are submitted electronically. Visit the following link to obtain application information and instructions (<http://grants1.nih.gov/grants/funding/424/index.htm>)

### Award Procedure:

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff inform applicants of the results of the review. If support is contemplated, staff initiate preparation of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

> 180 Days. Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 to 9 months.

### Appeals:

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the National Heart, Lung, and Blood Institute.

### Renewals:

> 180 Days. Renewal applications are reviewed in the same manner as new applications.

### Formula and Matching Requirements:

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

The National Heart, Lung, and Blood Advisory Council may recommend funding for periods ranging from 1 to 5 years. Funding commitments are made annually. The National Heart, Lung, and Blood Advisory Council may recommend funding for periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Award length

may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization. See the following for information on how assistance is awarded/released: Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual reports on progress and expenditures are required. Final reports are required within 120 days of termination. Reports are required after termination of NRSAs to ascertain compliance with the service and payback provisions. Annual reports on progress and expenditures are required. Final reports are required within 120 days of termination. Reports are required after termination of NRSAs to ascertain compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$1,410,144,671; FY 11 est \$1,410,144,671; and FY 12 est \$1,410,144,671 - In fiscal year 2010, 3,201 research grants and National Research Service Awards were made. The estimates of fiscal year 2011 are 2,890 research grants and 311 National Research Service awards. The estimates for fiscal year 2012 are 2,890 research grants and 311 National Research Service Awards. In fiscal year 2010, for new and competing renewal awards: 4,380 grant applications were received, and of these, 876 were awarded; 480 National Research Service Award applications were received, and of these, 160

were awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2010, 42 Phase I awards, and 15 Phase II awards were made.

**Range and Average of Financial Assistance:**

Grants: \$5,000 to \$10,036,869; \$464,167. SBIR/STTR: Phase I - \$100,000; Phase II - up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; "NIH Guide for Grants and Contracts, and Supplements"; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications; Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Roy L. White, 6701 Rockledge Drive, Rm 7176, MSC7924, Bethesda, Maryland 20817 Email: whiter@nhlbi.nih.gov Phone: (301) 435-0310.

**Website Address:**

<http://www.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the importance of the problem the proposed research will address; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation of the proposed research; (5) the potential of the proposed research for commercial application; (6) the appropriateness of the budget requested; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.838 LUNG DISEASES RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 422 and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 42 U.S.C. 285, and 42 U.S.C. 288, as amended; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### **OBJECTIVES:**

To use available knowledge and technology to solve specific disease problems of the lungs; to promote further studies on the structure and function of the lung; and to achieve improvement in the prevention and treatment of lung diseases. Small Business Innovation Research (SBIR) program: to stimulate technological innovation; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical shortage areas. Grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Certain service and payback provisions apply to individuals upon termination of the award. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. Fast-Track is an option whereby Phase I and Phase II SBIR or STTR projects are submitted and reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II. While the intent of the STTR/STTR programs is commercialization (Phase III), no SBIR/STTR funds are allowed for commercialization activities such as patents; market and sales; market research; business development/product development/market plans; legal fees, travel and other costs including labor relating to license agreements and partnerships.

#### **Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research, as well as institutions or companies organized for profit, may apply for grants with the exception of NRSAs. An individual may apply for a NRSA or, in some cases, may qualify for a research grant if adequate facilities in which to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. SBIR

projects must be performed at least 67% by the applicant small business in Phase I and at least 50% of the Project in Phase II. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research. Only domestic for-profit small business firms may apply for SBIR and STTR programs.

#### **Credentials/Documentation:**

Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. SBIR and STTR applicants must use the SF424 Research and Related (R&R) application for electronic submission through grants.gov. Electronic submission of SNAP Progress Reports (eSNAP) apply for non-competing continuations (e.g., second year of Phase II). OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications are submitted electronically. Visit the following link to obtain application information and instructions (<http://grants1.nih.gov/grants/funding/424/index.htm>)

#### **Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparation of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

> 180 Days. Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 months.

#### **Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of

the Institute.

**Renewals:**

> 180 Days. Renewal applications are reviewed in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The National Heart, Lung, and Blood Advisory Council may recommend funding for periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$527,890,137; FY 11 est \$527,890,137; and FY 12 est \$527,890,137 - In fiscal year 2010, 1,208 research grants and National Research Service Awards were made. The estimates of fiscal year 2011 are 1,090 research grants and 118 National Research Service awards. The estimates for fiscal year 2012 are 1,090 research grants and 118 National Research Service Awards. In fiscal year 2010, for new and competing renewal awards: 1,295 grant applications were received, and of these, 259 were awarded; 105 National Research Service Award applications were received, and of these, 35 were awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2010, 14 Phase I awards, and 14 Phase II awards were made.

**Range and Average of Financial Assistance:**

Grants: \$2,782 to \$7,835,519; \$374,550. SBIR/STTR: Phase I - \$100,000; Phase II - up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Roy L. White 6701 Rockledge Drive, Rm 7176, MSC7924, Bethesda, Maryland 20817 Email: whiter@nhlbi.nih.gov Phone: 3014350310

**Website Address:**

<http://www.nhlbi.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.839 BLOOD DISEASES AND RESOURCES RESEARCH  
FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 422, and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 42 U.S.C. 285 and 42 U.S.C. 288, as amended; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To foster research and research training on the pathophysiology, diagnosis, treatment, and prevention of non-malignant blood diseases, including anemias, sickle cell disease, thalassemia; leukocyte biology, pre-malignant processes such as myelodysplasia and myeloproliferative disorders; hemophilia and other abnormalities of hemostasis and thrombosis; and immune dysfunction. Funding encompasses a broad spectrum of hematologic inquiry, ranging from stem cell biology to medical management of blood diseases and to assuring the adequacy and safety of the nation's blood supply. Programs also support the development of novel cell-based therapies to bring the expertise of transfusion medicine and stem cell technology to the repair and regeneration of human tissues and organs. Small Business Innovation Research (SBIR) program: To stimulate technological innovation; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research

institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards (NRSAs) are made directly to individuals for research training. Grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Certain service and payback provisions apply to individuals upon termination of the award. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. These awards are made to small businesses working in collaboration with academic institutions. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. Fast-Track is an option whereby Phase I and Phase II SBIR or STTR projects are submitted and reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II. While the intent of the SBIR/STTR programs is commercialization (Phase III), no SBIR/STTR funds are allowed for commercialization activities such as patents; market and sales; market research; business development/product development/market plans; legal fees, travel and other costs including labor relating to license agreements and partnerships.

**Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research and institutions (or companies) organized for profit may apply for grants, with the exception of NRSAs. An individual may apply for a NRSA or, in some cases, may qualify for a research grant if adequate facilities in which to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, or owned by another small business that itself is independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees including affiliates). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. SBIR projects must be performed at least 67% by the applicant small business in Phase I and at least 50% of the project in Phase II. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research. Only domestic for-profit small business firms may apply

for SBIR and STTR programs.

**Credentials/Documentation:**

Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D, D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present a research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. SBIR and STTR applicants must use the SF424 Research and Related (R&R) application for electronic submission through Grants.gov. Electronic submission of SNAP Progress Reports (eSNAP) apply for non-competing continuations (e.g., second year of Phase II). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications are submitted electronically. Visit the following link to obtain application information and instructions (<http://grants1.nih.gov/grants/funding/424/index.htm>).

**Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparations of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute.

**Renewals:**

> 180 Days. Renewals require application and review in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The National Heart, Lung, and Blood Advisory Council may recommend funding for periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year;

normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual reports from grantees are required on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Annual reports from grantees are required on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$359,035,145; FY 11 est \$359,035,145; and FY 12 est \$359,035,145 - In fiscal year 2010, 809 research grants and National Research Service Awards were made. The estimates of fiscal year 2011 are 710 research grants and 97 National Research Service awards. The estimates for fiscal year 2012 are 710 research grants and 97 National Research Service Awards. In fiscal year 2010, for new and competing renewal awards: 915 grant applications were received, and of these, 183 were awarded; 52 National Research Service Award applications were received, and of these, 19 were awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2010, 16 Phase I awards, and 5 Phase II awards were

made.

**Range and Average of Financial Assistance:**

Grants: \$5,000 to \$6,158,928; \$410,474. SBIR/STTR: Phase I - \$100,000; Phase II - up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Roy L. White, 6701 Rockledge Drive, Rm 7176, MSC7924, Bethesda, Maryland 20817 Email: whiter@nhlbi.nih.gov Phone: (301) 435-0310.

**Website Address:**

<http://www.nhlbi.nih.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.846 ARTHRITIS, MUSCULOSKELETAL AND SKIN DISEASES RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 437, 487, Public Law 78-410, 42 U.S.C 241.

**OBJECTIVES:**

To support research relevant to arthritis, musculoskeletal and skin diseases, the National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS) supports research training and basic and clinical investigations including epidemiology and clinical trials in the areas of skin and rheumatic diseases and musculoskeletal diseases. The Division of Skin and Rheumatic Diseases promotes and supports basic, epidemiological, and clinical studies of skin and rheumatic and related diseases. Studies range from determining the underlying basis and mechanisms of disease (including large genetic studies), to translational and clinical research aimed at the diagnosis, treatment, prediction, and/or prevention of disease. The skin program supports research in normal and diseased skin including keratinocyte biology and wound healing, and disorders such as psoriasis, atopic dermatitis and other chronic inflammatory skin disorders; the vesiculobullous diseases such as pemphigus, bullous pemphigoid, and epidermolysis bullosa; acne, alopecia areata, vitiligo, and skin neoplasia. The rheumatic disease program supports research in the systemic autoimmune diseases and arthritides, including systemic lupus erythematosus (SLE), systemic scleroderma, autoimmune myositis, rheumatoid arthritis, juvenile idiopathic arthritis, spondyloarthropathies, vasculitis, gout, Sjogren's syndrome, and fibromyalgia syndrome. In addition, the Division supports studies on the extracellular matrix, including research on Marfan syndrome, keloid formation, and pseudoxanthoma elasticum. The Division also supports biopsychosocial research related to rheumatic, musculoskeletal, or skin diseases. Topics include behavioral interventions, pain mechanisms, neuroendocrine and neuroimmune mechanisms, behavioral and social research, and epidemiology. The Division of Musculoskeletal Diseases supports studies of the skeleton and associated connective tissues. Broad areas of interest include skeletal development, metabolism, mechanical properties, and responses to injury. Among these diseases and skeletal disorders are osteoporosis; osteogenesis imperfecta; Paget's disease of bone; vitamin D refractory diseases; and rickets and osteochondrodysplasias. Other areas of interest include treatment of acute and chronic injuries, including carpal tunnel syndrome, repetitive stress injury, low back pain and clinical and epidemiological studies of osteoarthritis. The Division supports development of

new technologies with the potential to improve treatment of skeletal disorders and facilitate the repair of trauma in the normal skeleton. These include drugs and nutritional interventions, joint replacement, bone and cartilage transplantation, biomarkers and gene therapy. In addition, bioengineering, sports medicine and musculoskeletal fitness are areas of special research emphasis. This Division also encourages and supports research on skeletal muscle, its diseases and disorders, and its central role in human physiology and exercise. Topics include the molecular structure of muscle and the molecular mechanisms that produce force and motion. Muscle biophysics, cell biology, muscle biology, muscle disorders and therapies, musculoskeletal development, tissue reengineering, and regenerative medicine are encompassed in this area as well. The Division also supports research into the biology of cartilage, tendons, ligaments, menisci, and intervertebral discs, including pre-clinical studies on injury and disease conditions affecting these tissues. NIAMS participates in the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs. The SBIR program is intended to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The STTR program is intended to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. Individual National Research Service Awards (NRSAs) are made to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Each individual who receives a NRSA is obligated upon termination of the award to comply with certain service and payback provisions. Small Business Innovation Research Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

#### **Applicant Eligibility:**

Research Grants: Individuals and public and private institutions, both nonprofit and for-profit, who propose to establish, expand, and improve research activities in health sciences and related fields. National Research Service Awards: Individuals must be nominated and sponsored by a public or private, for-profit or nonprofit institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). Nonprofit domestic organizations may apply for the Institutional National Research Service grant. Small Business Innovation Research grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be

with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Research Grants: Although no degree of education is either specified or required, nearly all successful applicants have doctoral degrees in one of the sciences or professions. National Research Service Awards: Predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree.

#### **Credentials/Documentation:**

Requirements are specified in the application form. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research grants: Applications must be prepared either electronically through grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-Related) or on paper using the PHS 398 research grant application instructions and forms (Rev. 11/2007). Individual funding opportunity announcements will indicate the appropriate application format to be used. A listing of NIAMS and other funding opportunities can be found through the NIAMS web site ([http://www.niams.nih.gov/Funding/Funding\\_Opportunities/filter.asp](http://www.niams.nih.gov/Funding/Funding_Opportunities/filter.asp)), through the Grants.gov web site (<http://www.grants.gov/>), or on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>). For applications that require the PHS 398, the most recent version of the form and instructions are available at <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Electronic applications are submitted through the Grants.gov website. Completed PHS 398 applications should be submitted to the National Institutes of Health, Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). For assistance contact GrantsInfo, Telephone: (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). National Research Services Awards: Completed application forms should be submitted to the Office of Research Manpower, Center for Scientific Review, Grants, National Institutes of Health, Bethesda, MD 20892. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Research Funding Opportunities" web page at <http://grants1.nih.gov/grants/funding/sbir.htm>. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385;

Fax: (301) 206-9722; E-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710. Application forms for SBIR and STTR grants may be obtained through the SBIR/STTR funding announcements posted on the Grants.gov sites and the NIH Guide to Grants and Contracts (see URLs listed above). All SBIR and STTR applications must be submitted electronically. Electronic applications are submitted through the Grants.gov website. Completed PHS 398 applications should be submitted to the National Institutes of Health, Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). This program is subject to the provisions of 45 CFR Part 92 for State and local governments, OMB Circular No. A-110 for nonprofit organizations, cost principles of A-21 for educational institutions, and 42 CFR Part 42.

#### **Award Procedure:**

Following review by the appropriate study section and council, the successful applicant is notified by the National Institute of Arthritis and Musculoskeletal and Skin Diseases through a Notice of Grant Award. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 120 to 180 days. Research grants: From 6 to 9 months. National Research Service Awards: From 6 to 9 months. SBIR/STTR applications: About 7-1/2 months.

#### **Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page

<http://grants.nih.gov/grants/guide/notice-files/not97-232.html> and at <http://grants.nih.gov/grants/guide/notice-files/not-od-11-064.html>.

#### **Renewals:**

Research grants: renewals by competitive application and review. Extension by request and administrative action. National Research Service Awards: individual awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Research grants: Awards may be recommended for up to 5 years. Awards usually are made for 12-month budget periods. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

#### **Reports:**

No reports are required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

#### **Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

#### **Account Identification:**

75-0888-0-1-552.

#### **Obligations:**

(Project Grants) FY 10 \$414,854,000; FY 11 est \$413,927,000; and FY 12 est \$419,354,000 - Research Grants: FY 10 \$414,854,000 ; FY 11 \$413,927,000 ; FY 12 \$419,354,000. National Research Service Awards (NRSA): FY 10 \$15,554,000; FY 11 \$15,834,000; FY 12 \$16,404,000.

#### **Range and Average of Financial Assistance:**

Research Grants: \$1,084 to \$1,803,789; \$328,988. National Research Service Awards: \$17,385 to \$514,445; \$129,613. SBIR/STTR: Phase I awards -- approximately \$100,000 ; Phase II awards --up to \$750,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Research Grants: In fiscal year 2010, a total of 1,261 noncompeting and competing research grants were funded, including 37 SBIR and STTR awards. National Research Service Awards (NRSA): In fiscal year 2010, 312 trainees were funded. Fiscal Year 2011: Research Grants: The fiscal year 2011 estimate is 1,279 research grant awards, including 37 SBIR and STTR awards. National Research Service Awards (NRSA): the estimate for 2011 is 312 trainees. Fiscal Year 2012: Research Grants: The fiscal year 2012 estimate is 1,248 grants, including 37 SBIR and STTR awards. National Research Service Awards (NRSA): the estimate for 2012 is 312 trainees.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**



Research Grants: 42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Laura K. Moen, 6701 Democracy Boulevard, Ste 800, Bethesda, Maryland 20892 Email: moenl@mail.nih.gov Phone: (301) 451-6515.

**Website Address:**

<http://www.hhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.847 DIABETES, DIGESTIVE, AND KIDNEY DISEASES  
EXTRAMURAL RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 405, 428, 431, 487, 491, 493, 495, and 498, as amended; Public Laws 78-410, 99-158, 100-607, 106-554, and 107-360; 42 U.S.C. 241, as amended; 42 U.S.C. 285c-2, 42 U.S.C. 285c-5, 42 U.S.C. 288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

(1) To promote extramural basic and clinical biomedical research that improves the understanding of the mechanisms underlying disease and leads to improved preventions, diagnosis, and treatment of diabetes, digestive, and kidney diseases. Programmatic areas within the National Institute of Diabetes and

Digestive and Kidney Diseases include diabetes, digestive, endocrine, hematologic, liver, metabolic, nephrologic, nutrition, obesity, and urologic diseases.

Specific programs areas of interest include the following:

(a) For diabetes, endocrine, and metabolic diseases areas: Fundamental and clinical studies including the etiology, pathogenesis, prevention, diagnosis, treatment and cure of diabetes mellitus and its complications; Normal and abnormal function of the pituitary, thyroid, parathyroid, adrenal, and other hormone secreting glands; Hormonal regulation of bone, adipose tissue, and liver; on fundamental aspects of signal transduction, including the action of hormones, coregulators, and chromatin remodeling proteins; Hormone biosynthesis, secretion, metabolism, and binding; and on hormonal regulation of gene expression and the role(s) of selective receptor modulators as partial agonists or antagonists of hormone action; and Fundamental studies relevant to metabolic disorders including membrane structure, function, and transport phenomena and enzyme biosynthesis; and basic and clinical studies on the etiology, pathogenesis, prevention, and treatment of inherited metabolic disorders (such as cystic fibrosis).

(b) For digestive disease and nutrition areas: Genetics and genomics of the GI tract and its diseases; Genetics and genomics of liver/pancreas and diseases; Genetics and genomics of nutrition; genetics and genomics of obesity; Bariatric surgery; Clinical nutrition research; Clinical obesity research; Complications of chronic liver disease; Fatty liver disease; Genetic liver disease; HIV and liver; Cell injury, repair, fibrosis and inflammation in the liver; Liver cancer; Liver transplantation; Pediatric liver disease; Viral hepatitis and infectious diseases; Gastrointestinal and nutrition effects of AIDS; Gastrointestinal mucosal and immunology; Gastrointestinal motility; Basic neurogastroenterology; Gastrointestinal development; Gastrointestinal epithelial biology; Gastrointestinal inflammation; Digestive diseases epidemiology and data systems; Nutritional epidemiology and data systems; Autoimmune liver disease; Bile, Bilirubin and cholestasis; Bioengineering and biotechnology related to digestive diseases, liver, nutrition and obesity; Cell and molecular biology of the liver; Developmental biology and regeneration; Drug-induced liver disease; Gallbladder disease and biliary diseases; Exocrine pancreas biology and diseases; Gastrointestinal neuroendocrinology; Gastrointestinal transport and absorption; Nutrient metabolism; Pediatric clinical obesity; Clinical trials in digestive diseases; Liver clinical trials; Obesity prevention and treatment; and Obesity and eating disorders.

(c) For kidney, urologic and hematologic diseases areas: Studies of the development, physiology, and cell biology of the kidney; Pathophysiology of the kidney; Genetics of kidney disorders; Immune mechanisms of kidney disease; Kidney disease as a complication of diabetes; Effects of drugs, nephrotoxins and environmental toxins on the kidney; Mechanisms of kidney injury repair; Improved diagnosis, prevention and treatment of chronic kidney disease and end-stage renal disease; Improved approaches to maintenance dialysis therapies; Basic studies of lower urinary tract cell biology, development, physiology, and pathophysiology; Clinical studies of bladder dysfunction, incontinence, pyelonephritis, interstitial cystitis, benign prostatic hyperplasia, urolithiasis, and vesicoureteral reflux; Development of novel diagnostic tools and improved therapies, including tissue engineering strategies, for urologic disorders; Research on hematopoietic cell differentiation; metabolism of iron overload and deficiency; Structure, biosynthesis and genetic regulation of hemoglobin; as well as Research on the etiology, pathogenesis, and therapeutic modalities for the anemia of inflammation and chronic diseases.

(2) To encourage basic and clinical research training and career development of scientists during the early stages of their careers. The Ruth L. Kirschstein National Research Service Award (NRSA) funds basic and clinical research training, support for career development, and the transition from postdoctoral biomedical research training to independent research related to diabetes, digestive, endocrine, hematologic, liver, metabolic, nephrologic, nutrition, obesity, and urologic diseases.

(3) To expand and improve the Small Business Innovation Research (SBIR) program. The SBIR Program aims to increase and facilitate private sector commercialization of innovations derived from Federal research and development; to enhance small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

(4) To utilize the Small Business Technology Transfer (STTR) program. The STTR Program intends to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Project Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. NRSAs are made directly to individuals for research training in specified biomedical shortage areas, or, to institutions to enable them to make NRSAs to individuals selected by them. Each individual who receives a NRSA is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

#### **Applicant Eligibility:**

Project Grants: Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions, both non-profit and for-profit, and individuals who propose to establish, expand, and improve research activities in health sciences and related fields. NRSAs: Support is provided for academic and research training only, in health and health-related areas that are periodically specified by the National Institutes of Health. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Individuals must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. Nonprofit domestic organizations may apply for the Institutional NRSA. SBIR and STTR grants can be awarded only to domestic small businesses that meet the following criteria: 1) Is independently owned and operated, is not dominant in the field of operation in which it is proposing, has a place of business in the United States and operates primarily within the United States or makes a significant contribution to the US economy, and is organized for profit; 2) Is (a) at least 51% owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States, or (b) for SBIR only, it must be a for-profit business concern that is at least 51% owned and controlled by another for-profit business concern that is at least 51% owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States. 3) Has, including its affiliates, an average number of employees for the preceding 12 months not exceeding 500, and meets the other regulatory requirements found in 13 C.F.R. Part 121. Business concerns are generally considered to be affiliates of one another when either directly or indirectly, (a) one concern controls or has the power to control the other; or (b) a third-party/parties controls or has the power to control both. STTR grants which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Health professionals, graduate students, health professional students, scientists, and researchers, any nonprofit or for-profit organization, company, or institution engaged in biomedical research. Project Grants: Although no degree of education is either specified or required, nearly all successful applicants have doctoral degrees in one of the sciences or professions. NRSAs: Predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree.

#### **Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Individual NRSA applications for postdoctoral training must include the candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training. Institutional Training grant applications for predoctoral and postdoctoral training must show the objectives, methodology and resources for the research training program; the qualifications and experience of directing staff; the criteria to be used in selecting individuals for stipend support; and a detailed budget and justification for the amount of grant funds requested. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form PHS 398 is used to apply for SBIR and STTR Phase I Phase II and Phase I/Phase II Fast Track. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Project Grants: Applications for Federal assistance must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide. Applications may not be submitted in paper format. A registration process through Grants.gov is necessary before submission and applicants are highly encouraged to start the process at least four weeks prior to the grant submission date. Two steps are required for on time submission: (1) The application must be successfully received by Grants.gov no later than 5:00 p.m. local time (of the applicant institution/organization) on the submission/receipt date. (2) Applicants must complete a verification step in the eRA Commons within two business days of notification from NIH. Note: Since email can be unreliable, it is the responsibility of the applicant to periodically check on their application status in the Commons. The standard application forms, as furnished by PHS and required by 45 CFR Part 92, must be used for this program by those applicants that are State or local units of government. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms.

#### **Award Procedure:**

Research Grant and Training Program applications are reviewed initially for scientific merit by an appropriate review panel, composed of scientific authorities, and by the National Diabetes and Digestive and Kidney Diseases Advisory Council composed of leaders in medical science, education, and public affairs. Approved applications will compete on a merit basis for available funds. The successful applicant is sent a Notice of Grant Award. All accepted SBIR/STTR applications are evaluated for scientific and technical

merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Project Grants: From 6 to 9 months. National Research Service Awards: From 6 to 9 months. SBIR/STTR applications: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page

<http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Project Grants: Renewals are determined by competitive application and review. Extensions considered upon request. Individual NRSAs: Awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Grants: Awards are usually made for a 12-month period with recommendation of up to 4 years of additional support. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released:

The Notice of Award (NoA) is the legal document issued to notify the grantee that an award has been made and that funds may be requested from the designated HHS payment system or office. An NoA is issued for the initial budget period. If subsequent budget periods are also approved, the NoA will include a reference to those budgetary commitments. Funding for subsequent budget periods are generally provided in annual increments following the annual assessment of progress. This funding is also contingent on the availability of funds. The NoA includes all applicable terms of award either by reference or specific statements. It provides contact information for the assigned program officer and grants management specialist. The grantee accepts an NIH award and its associated terms and conditions by drawing or requesting funds from the Payment Management System, or upon the endorsement of a check from the US Treasury for foreign awardees.

**Reports:**

Project Grants: Expenditures and other financial records, including documents supporting accounting records and substantive charges to each grant, must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period. NRSAs: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel and must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period. Reports are required after termination of NRSAs to ascertain compliance with service and payback provisions. Cash reports are not applicable. Annual and terminal progress reports, annual reports of inventions, and annual certification with respect to research involving human subjects are required. Reports of expenditures are required. NRSAs: Reports are required after termination of NRSAs to ascertain compliance with service and payback provisions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0884-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$1,423,272,000; FY 11 est \$1,492,141,000; and FY 12 est \$1,511,445,000 - NRSAs: FY 2010 Actual: \$56,539,000; FY 2011 Estimate: \$57,425,000; FY 2012 Estimate: \$59,240,000  
SBIRs: FY 2010 Actual: \$48,610,000; FY 2011 Estimate: \$46,755,000; FY 2012 Estimate: \$48,242,000.

**Range and Average of Financial Assistance:**

Project Grants: Range of \$1,000 to \$17,425,000; \$399,683 average  
NRSAs: Range of \$4,000 to \$641,000; \$122,644 average  
SBIR: Range of \$97,000 to \$1,471,000; \$376,822 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Project Grants: In FY 2010, 3,561 awards were made. NRSAs: In FY 2010, 461 awards were made and 1,169 trainees were funded. SBIR: In FY 2010, 129 awards were made. Fiscal Year 2011: Project Grants: In Fiscal Year 2011, 3,620 awards are estimated. NRSAs: In Fiscal Year 2011, 468 awards and 1,173 trainees are estimated. SBIR Awards: In Fiscal Year 2011, 125 awards are estimated. Fiscal Year 2012: Project Grants: In FY 2012, 3,046 awards are estimated. NRSA: In FY 2012, 483 awards and 1,169 trainees are estimated. In FY 2012, SBIR Awards: 129 awards are estimated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Project Grants: 42 CFR 52; 42 CFR 66; 42 CFR 74; 45 CFR 74; 45 CFR 92.

Administration Policy Directive No. 65 01 (47 Fed. Reg. 52966 et seq. (1982), as amended by Policy Directive No. 65 01.1 (48 Fed. Reg. 38794 et seq. (1983)). Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement, [http://grants.nih.gov/grants/policy/nihgps\\_2003/](http://grants.nih.gov/grants/policy/nihgps_2003/); Omnibus Solicitation of the Public Health Service for SBIR Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for STTR Grant Applications.

**Regional or Local Office:**

None. Project Grants: Dr. Judith Fradkin, Director, Division of Diabetes, Endocrinology, and Metabolic Diseases, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 689, 6707 Democracy Blvd., Bethesda, MD 20892-2560. Telephone: (301) 496-7349; Dr. Stephen James, Director, Division of Digestive Diseases and Nutrition, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 675, 6707 Democracy Blvd., Telephone: (301) 594-7680; Dr. Robert Star, Director, Division of Kidney, Urologic and Hematologic Diseases, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 625, 6707 Democracy Blvd., Bethesda, MD 20892-2560. Telephone: (301) 594-7717. Small Business Innovation Research Grants Contact: Mrs. Helen Ling, Senior Grants Management Specialist, Grants Management Branch, Division of Extramural Activities, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 732, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone: (301) 594-8857. Grants Management Contact: Mr. Robert Pike, Chief Grants Management Officer, Grants Management Branch, Division of Extramural Activities, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 731, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone: (301) 594-8854. Use the same numbers for FTS.

**Headquarters Office:**

Terra L. Robinson, DEM II, MSC 5460, Bethesda, Maryland 20892 Email: [robinste@niddk.nih.gov](mailto:robinste@niddk.nih.gov) Phone: (301) 496-9488.

**Website Address:**

<http://www2.niddk.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The types of projects funded by NIDDK are available at <http://report.nih.gov/rcdc/categories/default.aspx>. Please enter a research area of interest. Fiscal Year 2011: The types of projects funded by NIDDK are available at <http://report.nih.gov/rcdc/categories/default.aspx>. Please enter a research area of interest. Fiscal Year 2012: The types of projects funded by NIDDK are available at <http://report.nih.gov/rcdc/categories/default.aspx>. Please enter a research area of interest.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated;

(2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.853 EXTRAMURAL RESEARCH PROGRAMS IN THE NEUROSCIENCES AND NEUROLOGICAL DISORDERS FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 405, 408, 457, 458, 459, and 487, Public Law 78-410, 42 U.S.C 241-285L-2; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

(1) To support extramural research funded by the National Institute of Neurological Disorders and Stroke (NINDS) including: basic research that explores the fundamental structure and function of the brain and the nervous system; research to understand the causes and origins of pathological conditions of the nervous system with the goal of preventing these disorders; research on the natural course of neurological disorders; research on mechanisms associated with stroke and other cerebrovascular disorders, effects of trauma to the nervous system, neuroplasticity and regeneration, and tumors of neural and sensory tissues; improved methods of disease prevention; new methods of diagnosis and treatment; clinical trials; drug development; development of neural prostheses for stroke and paraplegia; epidemiological research; and research training in clinical neuroscience. The Institute supports research on topics including but not limited to stroke; traumatic injury to the brain, spinal cord and peripheral nervous system; neurodegenerative disorders, including Parkinson's disease and Alzheimer's disease; brain tumors; development of artificial prosthetic devices to restore function to the damaged nervous system; convulsive disorders, including epilepsy; infectious disorders of the brain and nervous system, including AIDS; immune disorders of the brain and nervous system, including multiple sclerosis; disorders related to sleep; and pain. Programmatic areas also include neurodevelopment, repair and plasticity, channels synapses and circuits, neurogenetics, neurodegeneration, neural environment, and systems and cognitive neuroscience. Extramural research is also supported by the Office of Minority Health and Research, the Office of Translational Research, and the Office of Clinical Research. (2) To expand and improve the Small Business Innovation Research (SBIR) program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. (3) To utilize the Small Business Technology Transfer (STTR) program; to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The NINDS also participates in the Academic Research Enhancement Award (AREA) Program, which is intended to provide research support to institutions currently having little support from the National Institutes of Health (NIH) support.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

PROJECT GRANTS

#### Uses and Use Restrictions (070):

Research grants may be used to provide salaries, equipment, supplies, travel and other expenses for research. The grantee institution is obliged to expend grant funds prudently for the purposes stated in the application and award document. National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical shortage areas, or to institutions, to enable them to make NRSAs to individuals selected by them. Each individual who receives a NRSA may be obligated upon termination of the award to comply with service and payback provisions. Career Development Awards such as the Independent Scientist Awards (K02) provide support for newly independent scientists with health related degrees who can demonstrate the need for a period of intensive research focus as a means of enhancing their research careers and facilitating their ability to obtain major NIH research awards. Mentored Clinical Research Scientist Development Awards (K08) provide support for clinically trained health professionals who need an additional period of sponsored research experience as a way to gain expertise in a research area new to the candidate or in an area that would demonstrably enhance the candidate's scientific career. The Mentored Research Scientist Development Award (K01) is used to promote diversity in neuroscience research support, an intensive, supervised research career development experience for underrepresented, disabled or disadvantaged career neuroscientists. The Mentored Patient-Oriented Research Career Development Award (K23) provide support for a period of supervised study and research for clinically trained professionals who have the potential to develop into productive clinical investigators. The Mid-career Investigator Award in Patient-Oriented Research (K24) provides support for clinicians to allow them protected time to devote to patient-oriented research and to act as mentors for beginning clinical investigators. SBIR Phase I grants (of approximately 6-months to 2 years in duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research efforts initiated in Phase I that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1 to 3 years in duration) are to determine the scientific, technical, and commercial merit and feasibility of proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. Grant funds may be expended only for the purpose stated in the application and award document. The NINDS participates in the NIH SBIR/STTR "fast track" initiative.

#### Applicant Eligibility:

Research Grants: Any public, private, nonprofit, or for-profit institution is eligible to apply. For-profit institutions are not eligible for Institutional National Research Service Awards but are eligible for Individual NRSAs. All proposals are reviewed for scientific merit, for evaluation of the qualifications of the investigators, for adequacy of the research environment, and for significance of the problem. Approved proposals compete for available funds. All Career Development Program awardees, with the exception of awardees of the Pathway to Independence Award, must be citizens or have been admitted to the United States for permanent residence. Candidates must be nominated for the program by a nonfederal public or private nonprofit institution located in the United States, its possessions or territories. To be eligible, postdoctoral NRSA trainees or fellows must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the entire research must be performed in the United States. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business

concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### Beneficiary Eligibility:

Health professionals, graduate students, health professional students, scientists, and researchers.

#### Credentials/Documentation:

Research grants are awarded to an institution in the name of an individual investigator. Persons qualified to carry out research related to the extramural programs described above may apply for funds to support their investigations. Mentored Career Program training must be conducted under the direction of a competent sponsor. National Research Service Awards: Individual NRSA Fellowships for postdoctoral training: the candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. Institutional Training Grants for predoctoral and postdoctoral training: The applicant institution must show the objectives, methodology and resources for the research training program; the qualifications and experience of directing staff; the criteria to be used in selecting individuals for stipend support; and a detailed budget and justification for the amount of grant funds requested. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74 and 92, Subpart Q. For SBIR and STTR grants, the applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

#### Preapplication Coordination:

Research grant applications that request \$500,000 or more in direct costs in any yearly budget period will not be accepted unless the NINDS has agreed to accept the application prior to submission (see <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-004.html>). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. NIH has transitioned to the SF424 family of forms and electronic submission through Grants.gov for most research programs and funding mechanisms. All applications must be submitted in response to a specific funding opportunity announcement (FOA). The FOA will specify which forms should be used for submission.

#### Award Procedure:

Research Grant and Training Program applications are reviewed initially by technical panels, composed of scientific authorities, and by the National Advisory Neurological Disorders and Stroke Council composed of 18 leaders in medical science, education, and public affairs. Approved applications will compete on a merit basis for available funds. Formal award notices are transmitted to the grantee or awardee. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### Range of Approval/Disapproval Time:

Research grants: Approximately 6 to 9 months. Career program: From 7 to 8

months. SBIR/STTR applications: About 7-1/2 months. Institutional Training Grants: From 6 to 12 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute, and subsequently, the P.I. and applicant institution may appeal to the NINDS appeals officer. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

By application and review in same manner as new applications. Research Career Awards may not be renewed.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Research grant awards are made for a 12-month period with recommendation of up to 4 years of additional support. Career Program awards provide support for 3 to 5 years. Training Program awards are usually for a 12-month period with recommendation of additional support of up to a total of 5 years for predoctoral training and no more than 3 years for postdoctoral training. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Research Grants: Annual and final progress reports, including a description of results, positive and negative, and a list of any publications. Career Program: Awardee submits annual progress report. Termination notice, PHS 416-7, must be submitted upon completion of NRSA training. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. A Financial Status Report must be submitted within 90 days after the close of each budget period for which an award has been issued. No cash reports are required. Research Grants: Annual and final progress reports, including a description of results, positive and negative, and a list of any publications. Career Program: Awardee submits annual progress report. Termination notice, PHS 416-7, must be submitted upon completion of NRSA training. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. A Financial Status Report must be submitted within 90 days after the close of each budget period for which an award has been issued. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement:

1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or
2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0886-0-1-552 - Extramural Research.

**Obligations:**

(Project Grants) FY 10 \$1,149,206,000; FY 11 est \$1,158,193,000; and FY 12 est \$1,171,946,000. (Project Grants (Contracts)) FY 10 \$83,753,000; FY 11 est \$90,221,000; and FY 12 est \$89,086,000

**Range and Average of Financial Assistance:**

Research grants: \$50,000 to \$10,887,994; \$443,000. National Research Service Awards: Institutional \$15,412 to 459,127; \$44,079. Individual: \$2,006 to \$59,402; \$37,678. SBIR: Phase I approximately \$150,000; Phase II not to exceed \$750,000. STTR: Phase I approximately \$100,000; Phase II not to exceed \$500,000. (The SBIR and STTR dollars are guidelines, not limits). FY11 and FY12 are not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal year 2010, 691 competing research awards were made. Fiscal Year 2011: In fiscal year 2011, there will be 699 competing research applications awards made. Fiscal Year 2012: Information not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. National Institute of Neurological Disorders and Stroke (NINDS), Division of Extramural Research (DER), National Institutes of Health, Department of Health and Human Services, Neuroscience Center, 6001 Executive Boulevard, Bethesda, MD 20892. Director DER: Dr. Robert Finkelstein, Suite 3309, Telephone: (301) 496-9248. The address above (include suite #'s below) should be used for each Program Contact: Dr. Ramona Hicks, Repair and Plasticity, Suite 2206, Telephone: (301) 496-1447; Dr. May Wong, Neural Environment, Suite 2113, Telephone: (301) 496-1431; Dr. Margaret Sutherland, Neurodegeneration, Suite 2203, Telephone: (301) 496-5680; Dr. Daofen Chen, Systems & Cognitive Neuroscience, Suite 2176, telephone: (301) 496-9964; Dr. Shai Silberberg, Channels, Synapses & Circuits, Suite 2131, Telephone: (301) 496-1917; Dr. Robert Riddle, Neurogenetics,

Suite 2156, Telephone: (301) 496-5745; Dr. Yuan Liu, Office of International Activities, Suite 2187, Telephone: 301-496-0012; Dr. Deborah Hirtz, Clinical Trials, Suite 2212, Telephone: (301) 496-9135; Dr. Jill Heemskerk, Technology Development, Suite 2229, Telephone: (301) 496-1779; Grants Management Branch: Ms. Tijuana DeCoster, Grants Management Officer, Suite 3258, Telephone: (301) 496-9231; Contracts Management Branch: Mr. Kirk Davis, Contracts Management Officer, Suite 3280, Telephone: (301) 496-1813; Dr. Alfred Gordon, Office of Minority Health and Research, Suite 2151, Telephone: (301) 496-3102; Dr. Stephen Korn, Training and Career Development Officer, Suite 2186, Telephone: (301) 496-4188.

**Headquarters Office:**

Robert F. Finkelstein, 6001 Executive Boulevard, Suite 3309, Rockville, Maryland 20892 Email: finkelsR@nih.gov Phone: (301) 496-9248 Fax: (301) 402-4370.

**Website Address:**

<http://www.ninds.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Descriptions of all funded projects can be viewed at <http://report.nih.gov>. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) the scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) the soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) the degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and 8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.855 ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 301; Small Business Research and Development Enhancement Act of 1992, 42 U.S.C 241.

**OBJECTIVES:**

To assist public and private nonprofit institutions and individuals to establish, expand, and improve biomedical research and research training in allergic and immunologic diseases and related areas to assist public, private, and commercial institutions to conduct developmental research; to produce and test

research materials; and to provide research services as required by the agency for research progress in allergic and immunologic diseases. NIAID's Allergy, Immunology and Transplantation Research concerns the immune system as it functions in the maintenance of health and as it malfunctions in the production of diseases. Because of this dual focus, the program encompasses both basic research and clinical research. Small Business Innovation Research (SBIR) program expands and improves private sector participation in biomedical research. The SBIR Program intends to increase and facilitate private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The Small Business Technology Transfer (STTR) program stimulates and fosters scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Research Career Development Awards support the development of scientists during the formative stages of their careers. Individual National Research Service Awards (NRSAs) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, Institutional National Research Service Awards are made to enable institutions to select and make awards to individuals to receive training under the aegis of their institutional program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Beginning with fiscal year 1998, the direct costs awarded in the first year to a research project grant resulting from a competing renewal application will be limited to no more than a 20 percent increase over the direct costs awarded in the last non-competing year of that grant. Research grants provide funds for salaries, equipment, supplies, and travel. They also afford the collateral benefits of enriching the training experience of research workers. Grantees are expected to be judicious in using these funds. The application for a research grant sets forth specific terms and conditions and requires the signatures of the principal investigator and an official authorized to sign for the institution. Scientists and institutions are under an obligation to expend grant funds prudently for the purposes stated in the application and award document. For Research Career Development Awards (RCDAs) the scientists must demonstrate an outstanding research potential for independent research in the sciences related to transplantation, immunology, allergies, and immunological diseases. For National Research Service Awards (NRSAs), each individual who receives NRSA support is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

**Applicant Eligibility:**

Universities, colleges, hospitals, laboratories, and other public or private nonprofit domestic institutions, including State and local units of government, and individuals are eligible to make application for grant support of research by a named principal investigator or a research career development candidate. For-profit organizations are also eligible, with the exception of NRSA. Individual NRSA awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All NRSA awardees must be citizens or have been admitted to the United States for permanent residence. To be

eligible, predoctoral candidates must have completed the baccalaureate degree, and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is being proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which researches proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Research grant applicants must define the objectives, methodology, and facilities for the program, and must present the program director's competence and scientific interest. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. Applicants for individual NRSA's must include their academic record, research experience, citizenship, institute sponsorship, and the proposed area and plan of training in their applications. The applicant for an institution must specify the objectives, methodology, and resources for the research training program, the qualifications experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget justification for the amount of grant funds requested. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Use Form PHS-398 (Rev. May 1995) to apply for new, renewal, and supplemental research grants. Application forms and information concerning current areas of science being supported are available from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714. Fax: (301) 480-0525. E-mail: asknih@od.nih.gov. The standard application forms, as furnished by PHS and required by 45 CFR Part 92, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" homepage at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: telephone: (301) 206-9385; fax: (301) 206-9722; E-mail:

[a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

All accepted applications are reviewed for scientific merit by an appropriate initial review group and a national advisory council. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant and applicant institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

New Non-AIDS research applications: February 1, June 1 and October 1. For Renewal and Supplemental Non-AIDS research grant applications: March 1, July 1, and November 1. For all AIDS research grant applications: January 2, May 1, September 1. Research Career Development Award programs: February 1, June 1, October 1. Individual NRSA's: April 5, August 5, and December 5. Institutional NRSA: September 10. SBIR/STTR: April 1, August 1 and December 1.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. Final decisions on unresolved appeals are made with the advice of the National Advisory Allergy and Infectious Diseases Council.

**Renewals:**

Renewals of research grant support are by competitive application and review. The competitive application may request support for a segmental period of up to 5 years.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. no matching requirements. This program has MOE requirements, see funding agency for further details. MOE requirements apply with allocations over \$100 million.

**Length and Time Phasing of Assistance:**

Research grant project periods average 4 years; they may not be extended beyond 7 years. (Project periods are generally composed of 1-year budget periods.) SBIR Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Research grant project periods average 4 years; they may not be extended beyond 7 years. (Project periods are generally composed of 1-year budget periods.) SBIR Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Program reports are not applicable. require quarterly expenditure reports and yearly or grant period reports of expenditures. At the end of the project we expect final expenditure reports. annual progress reports with information on inventions and expenditures are required. require quarterly expenditure reports and yearly or grant period reports of expenditures. At the end of the project we expect final expenditure reports. yearly and final progress reports are monitored.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000



or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0885-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$607,576,000; FY 11 est \$615,892,000; and FY 12 est \$621,277,000

**Range and Average of Financial Assistance:**

from \$2,500 to \$6,395,901 and the average \$426,165.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Donna C. Perry 6610 Rockledge Drive  
Suite 2100, Bethesda, Maryland 20892 Email: dp94y@nih.gov Phone:  
301-451-3197

**Website Address:**

<http://www.niaid.nih.gov>.

**RELATED PROGRAMS:**

93.856 Microbiology and Infectious Diseases Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.859 BIOMEDICAL RESEARCH AND RESEARCH TRAINING**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Section 301 and Title IV of the Public Health Service Act, as amended.

**OBJECTIVES:**

The National Institute of General Medical Sciences supports research that increases understanding of life processes and lays the foundation for advances in disease diagnosis, treatment and prevention. NIGMS-funded researchers seek to answer important scientific questions in fields such as cell biology, biophysics, genetics, developmental biology, pharmacology, physiology, biological chemistry, bioinformatics, computational biology, selected aspects of the behavioral sciences and specific cross-cutting clinical areas that affect multiple organ systems. NIGMS also provides leadership in training the next generation of scientists and increasing the diversity of the scientific workforce to assure the vitality and continued productivity of the research enterprise.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

NIGMS is organized into divisions and a center that support research and research training in a range of scientific fields. One division has the specific mission of increasing the number of biomedical and behavioral scientists who are members of underrepresented groups.

Major areas in which these units fund research are listed below their names.

Division of Cell Biology and Biophysics:

analytical and separation techniques  
biophysical properties of proteins and nucleic acids  
cell organization, motility and division  
cellular imaging  
membrane structure and function  
molecular biophysics  
single-molecule biophysics and nanoscience  
spectroscopic techniques  
structural biology

structural genomics and proteomics

**Division of Genetics and Developmental Biology:**

chromosome organization and mechanics  
developmental biology and genetics  
DNA replication, recombination and repair  
epigenetics  
extrachromosomal inheritance  
mechanisms of mutagenesis  
neurogenetics and the genetics of behavior  
population genetics, evolution and the genetics of complex traits  
protein synthesis  
regulation of cell growth, cell division, cell death and differentiation  
RNA transcription and processing  
stem cell biology

**Division of Pharmacology, Physiology, and Biological Chemistry:**

anesthesiology  
biochemistry  
bioenergetics and mitochondrial physiology  
bio-organic and bio-inorganic chemistry  
biotechnology and metabolic engineering  
drug absorption, distribution, metabolism, excretion and predictive toxicology  
enzymology  
glycochemistry and glycobiology  
molecular immunobiology  
pharmacogenomics  
pharmacology and clinical pharmacology  
physiology  
synthetic and medicinal chemistry  
trauma and burn injury  
wound healing

**Division of Minority Opportunities in Research:**

undergraduate student training and development  
post-baccalaureate research education  
predoctoral research  
postdoctoral research and teaching skill development  
faculty development  
faculty research  
efficacy of interventions research

**Center for Bioinformatics and Computational Biology:**

biomedical software development  
cell and molecular modeling and simulation  
computational genomics  
database design and enhancement  
high-throughput data analysis  
systems biology.

**Applicant Eligibility:**

NIGMS trainees must be U.S. citizens, non-citizen nationals or permanent residents.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research.

**Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment and supplies are appropriate to carry out the plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102.

OMB Circular No. A-110 applies to this program. NIH announces availability of funds for grant programs by issuing funding opportunity announcements in the NIH Guide for Grants and Contracts (<http://grants.nih.gov/grants/guide/index.html>) and on Grants.gov (<http://www.grants.gov>). Application packages must be downloaded from Grants.gov and the majority must be submitted through Grants.gov. This program is subject to the provisions of 45 CFR, Part 92 for state and local governments and 45 CFR, Part 72 for other organizations, as appropriate.

**Award Procedure:**

All accepted applications are reviewed for scientific merit by an appropriate initial review group and by a national advisory council. National Research Service Award (NRSA) applications for the support of individual fellows and other applications requesting less than \$50,000 direct costs per year are not reviewed by the council. All approved applications compete for available funds on the basis of scientific merit and program emphasis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Project Grants: about 9 months. NRSA: (institutional) 9-12 months, (individual) 6 months. Small Business Innovation Research (SBIR)/Small Business Technology Transfer Research (STTR): about 7-1/2 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH Web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Renewal grants are generally made prior to the expiration of any current award.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Almost all awards are made for at least 1 year, with additional support (up to 4 more years) depending on the recommendation of the scientific review group, the national advisory council, successful annual performance and availability of funds. See the following for information on how assistance is awarded/released: varies by program, always on an annual basis.

**Reports:**

varies by program, always on an annual basis. varies by program, always on an annual basis. varies by program, always on an annual basis. varies by program, always on an annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits of profit making organizations are addressed in 45 CFR Part 72 (Subpart C, Section 74.26). In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$1,956,139,000; FY 11 est \$1,935,242,000; and FY 12

est \$1,986,899,000

**Range and Average of Financial Assistance:**

\$20,000 to \$10,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: For information on program accomplishments, visit <http://www.nigms.nih.gov>. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 16 Procedures of the Departmental Grant Appeals Board; 45 CFR 74; 45 CFR 92; NIH Extramural Programs brochure; miscellaneous program literature from Headquarters Office. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan J. Athey 45 Center Drive MSC6200, Bethesda, Maryland 20892 Email: [athesj@nigms.nih.gov](mailto:athesj@nigms.nih.gov) Phone: (301) 496-7301 Fax: (301) 402-0224.

**Website Address:**

<http://www.nigms.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For an overview of NIGMS grant application and review, including funding policy, see <http://www.nigms.nih.gov/Research/Application/GrantAppRev.html>. For more information about NIGMS, visit <http://www.nigms.nih.gov>.

**93.865 CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH**

NICHD Eunice Kennedy Shriver National Institute of Child Health and Human Development

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 448 and 487, as amended, Public Laws 78-410 and 99-158, as amended, 42 U.S.C. 241; 42 U.S.C. 285g; 42 U.S.C. 288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To conduct and support laboratory research, clinical trials, and studies with people that explore health processes. NICHD researchers examine growth and development, biologic and reproductive functions, behavior patterns, and population dynamics to protect and maintain the health of all people. To examine the impact of disabilities, diseases, and defects on the lives of individuals. With this information, the NICHD hopes to restore, increase, and maximize the capabilities of people affected by disease and injury. To sponsor training programs for scientists, doctors, and researchers to ensure that NICHD research can continue. By training these professionals in the latest research methods and technologies, the NICHD will be able to conduct its research and make health research progress until all children, adults, families, and populations enjoy good health.

The mission of the NICHD is to ensure that every person is born healthy and wanted, that women suffer no harmful effects from reproductive processes, and that all children have the chance to achieve their full potential for healthy and

productive lives, free from disease or disability, and to ensure the health, productivity, independence, and well-being of all people through optimal rehabilitation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grantee agrees to administer the grant in accordance with the regulations and policies governing the research grant programs of the Public Health Service as stated in the terms and conditions on the application for the grant. National Research Service Awards: Awarded to individuals for full-time research training in specified behavioral and biomedical shortage areas. Awardees may utilize some of their time in academic and clinical duties if such work is closely related to their research training. Awards may be made to institutions to enable them to make NRS awards to individuals selected by them. Each individual awardee is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1- year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

**Applicant Eligibility:**

Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions, both nonprofit and for-profit, and individuals. National Research Service Award: Support is provided for academic and research training only, in health and health-related areas that are periodically specified by the National Institutes of Health. Individuals with a professional or scientific degree are eligible (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Predoctoral research training grants to institutions are also supported. Proposed study must result in biomedical or behavioral research training in a specified shortage area and which may offer opportunity to research health scientists, research clinicians, etc., to broaden their scientific background or to extend their potential for research in health-related areas. Applicants must be citizens of the United States or be admitted to the United States for permanent residency; they also must be nominated and sponsored by a public or private institution having staff and facilities suitable to the proposed research training. Domestic nonprofit organizations may apply for the institutional NRS grant. SBIR: SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical or biobehavioral research.

**Credentials/Documentation:**

Applicants should submit the most recent revision of research grant application form to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892, using either PHS Form 398 or electronic submission via Grants.gov as directed in the relevant NIH Funding Opportunity Announcement. NIH is in the process of converting to electronic submission of grant applications through Grants.gov, using the SF-424 (Research and Related (R&R)) family of forms. Information on the transition plan and on registering for electronic submission is available at <http://grants.nih.gov/grants/gide/notice-files/NOT-OD-05-067.html>. Updates regarding the transition process may be viewed at <http://era.nih.gov/ElectronicReceipt/>. All required forms specified in the application kit are to be completed by the applicant and submitted with the application package. National Research Service Award: Individual Award: The applicant's academic record, research experience, citizenship, and institution sponsorship should be documented in the application. Institutional Award: the applicant organization must show the objectives, methodology, and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and a detailed budget and justification for the amount of grant funds requested. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations, 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program. National Research Service Award: Prior to formal application, an individual must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Individuals must be sponsored by a domestic or foreign institution. SBIR/STTR: Same as for grants (above). NRSA applications, may be obtained at <http://www.grants.nih.gov/grants/funding/416/phs416.htm>; e-mail: [grantsinfo@nih.gov](mailto:grantsinfo@nih.gov). Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Bethesda, MD 20892-7710, or electronically via Grants.gov. The SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitation includes application forms, which, upon completion, should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Small Business Technology Transfer (STTR) program uses same procedure as SBIR immediately above.

**Award Procedure:**

Each application receives a dual scientific review by non-NIH scientists. Awards are issued by the Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD). National Research Service Awards: Applications are reviewed for scientific merit by an appropriate study section committee or by an institute review committee. If recommended for approval and a decision is made to make an award, a formal award notice will be sent to the applicant and sponsor. Institutional Awards are issued by the Eunice Kenney Shriver National Institute of Child Health and Human Development (NICHD). All accepted SBIR/STTR applications are evaluated for scientific

and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for the available SBIR/STTR set-aside funds on the basis of scientific and technical merit and the commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 6 to 9 months: National Research Service Awards: From 6 to 9 months. SBIR/STTR: approximately 6 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

> 180 Days. Renewal applications are accepted, except for small grants. National Research Service Awards: awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years. Institutional Awards may be renewed.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are usually made annually with no project period to exceed 5 years in length. National Research Service Awards: From 1 to 3 years. SBIR: Phase I awards are generally for 6 months; Phase II awards normally may not exceed 2 years. STTR Phase I awards are generally for 1 year; Phase II awards normally may not exceed 2 years. See the following for information on how assistance is awarded/released: Each year, submitted progress reports for awarded grants are reviewed, and if satisfactory progress is demonstrated, a Notice of Grant Award is issued.

**Reports:**

Program reports are not applicable. The grantee institution is required to submit a SF 272 - Federal Cash Transactions Report - on a quarterly basis. The grantee institution is required to submit a progress report on an annual basis for each grant award. A Financial Status Report (FSR) is due either annually or at the end of the project period, depending on the type of grant. The grantee institution is required to submit a progress report on an annual basis for each grant award, which includes monitoring of performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0844-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$933,979,000; FY 11 est \$922,646,000; and FY 12 est \$945,609,000 - Total Research Grants not including Individual Training and Institutional Training: FY 2010 \$898,130,000; FY 2011 est \$884,828,000; FY

2012 est \$907,804,000. SBIR/STTR: FY 2010 \$30,462,000; FY 2011 est \$30,094,000; FY 2012 est \$30,774,000.

**Range and Average of Financial Assistance:**

For research project grants, fiscal year 2011, range is \$50,000 to \$5,000,000; average is \$425,250. Individual research fellowship awards: Basic stipend (first year beyond the doctoral degree) of \$41,400. The sponsoring institution will be provided, on application, with an allowance of up to \$8,850 per year to help defray the cost of training. No dependency allowances. SBIR: Average Phase I awards are for approximately \$100,000; Phase II awards may be made for amounts up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal year 2010 competing and noncompeting research project grants estimates were 1,680. Of this number, 80 were expected to be SBIR/STTR awards. Exactly 53 research centers were awarded. 520 other research grants were awarded. Exactly 709 institutional training grants were awarded in fiscal year 2010. 86 individual training grants were awarded. Fiscal Year 2011: Fiscal year 2011 competing and noncompeting research project grants estimates are 1,711. Of this number, 80 are expected to be SBIR/STTR awards. Approximately 45 research centers will be awarded. 527 other research grants are anticipated to be awarded. Projected institutional training awards are 663 in fiscal year 2011. The individual training award are projected for fiscal year 2011 to be 100. Fiscal Year 2012: Fiscal year 2012 competing and noncompeting research project grants estimates are 1,759. Of this number, 80 are expected to be SBIR/STTR awards. Approximately 45 research centers will be awarded. 476 other research grants are anticipated to be awarded. Projected institutional training awards are 762 in fiscal year 2012. The individual training award are projected for fiscal year 2012 to be 88.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; NIH Grants Policy Statement, (Rev.) March 1, 2001, available on the NIH website at [http://grants.nih.gov/grants/policy/nihgps\\_2001/](http://grants.nih.gov/grants/policy/nihgps_2001/); NIH Guide to Grants and Contracts, available on the NIH website at <http://grants.nih.gov/grants/guide/>. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eugene G. Hayunga, 6100 Executive Blvd., Room 2C01, Bethesda, Maryland 20892-7510 Email: [ehayunga@mail.nih.gov](mailto:ehayunga@mail.nih.gov) Phone: (301) 496-6856.

**Website Address:**

<http://www.nichd.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The NICHD, in collaboration with NIAID, NIDA, NIMH, NHLBI, NIDCD and NIH Office of AIDS Research funded research project grant applications for the Pediatric HIV/AIDS Cohort Study (PHACS) network, supported by the NICHD Pediatric, Adolescent, and Maternal AIDS (PAMA) Branch. This initiative was established in 2005 to address two critical pediatric HIV research questions:

What is the long-term safety of fetal and infant exposure to prophylactic antiretroviral chemotherapy?

What are the effects of perinatally acquired HIV infection in adolescents. The goals of this network are to:

Create a body of data to promote better understanding of effect of HIV on sexual maturation, pubertal development, and socialization of perinatally HIV-infected pre-adolescents and adolescents; Acquire more definitive information regarding long-term safety of antiretroviral agents when used

during pregnancy and in newborns; Ensure that a mechanism is in place to estimate the upper bounds of risk to children associated with the use of antiretrovirals by their HIV-infected pregnant mothers as recommended in the Public Health Service Guidelines to prevent perinatal HIV transmission; and Ensure that the follow-up of these populations continues.

The PHACS network consists of two protocols: the Adolescent Master Protocol (AMP); and the Surveillance Monitoring for ART Toxicities (SMARTT) Study. Both these protocols are structured to accommodate focused sub-studies in future years. Fiscal Year 2011: The NICHD will invest wisely in the strongest science, ensuring that our priorities fill critical knowledge gaps and exploit emerging opportunities, while addressing urgent public health needs. A planned NICHD initiative, utilizing the newest high-throughput genomic technologies, will leverage the research resources developed by the NIH Roadmap to support additional studies in developmental epigenetics. Epigenetic actions on gene expression may critically influence early development from before birth and at key stages throughout childhood, serving as a mediator between genetics and the environment. Thus epigenetic research will lead to a better understanding of birth defects, developmental disabilities, obesity, and other conditions.

To translate scientific knowledge into new and better treatments, the NICHD will continue to examine how medication during pregnancy and delivery affects the mother and the fetus. Researchers will examine why children respond differently than adults to certain drug therapies, and apply this knowledge to improve safety, efficacy, and dosage in children. Such studies will include cutting-edge research in pharmacogenomics, linking different pharmacological outcomes to genetic differences in individuals and laying the foundation for future research in personalized medicine.

NICHD will take strategic advantage of existing resources and infrastructure to ensure that scientific research improves health care. Scientists will assess the newest treatment approaches, but researchers will also evaluate the safety and efficacy of more established treatments for which safety and efficacy data are currently inadequate. The NICHD will invest in the development of new medical devices specifically for fragile infants in neonatal intensive care units, rather than relying on miniaturized versions of instruments designed for adults. NICHD researchers will work to identify the earliest developmental paths leading to obesity. We will address the understudied area of maternal obesity and its immediate and long-term impact on women and their children. Rehabilitation research priorities include better understanding of the immediate and long-term outcomes of critical care treatment of children and of autonomic dysreflexia, a grave and little-studied complication of spinal cord injury that often occurs unexpectedly.

The NICHD will continue efforts to promote women's and children's health around the globe, including studies to improve birth outcomes, to reduce maternal-fetal transmission of HIV, and to address interactions between iron deficiency and malaria.

Reinvigorating the U.S. biomedical research community will be essential in the next decade. NICHD will build on successful training and career development programs to recruit and mentor the next generation of scientists. The Institutes focus on developmental processes, in both the child and the adult, will continue to provide the basic scientific and clinical insights needed to improve care for a wide range of conditions affecting many populations. Fiscal Year 2012: Institute Mission - The NICHD mission is to ensure that every child is born healthy and wanted; that women suffer no harmful effects from reproductive processes; that all children can achieve their full potential for healthy and productive lives, free from disease or disability; and that medical rehabilitation can optimize the health, productivity, and independence of all people. Scientifically, the NICHD supports a broad research portfolio, uniquely focused on understanding human health and development from before birth until adulthood. The NICHD provides a home to targeted research in women's health and reproductive sciences research, pediatric research, the science of early childhood learning, demographic and behavioral research on child and family well-being and medical rehabilitation. Thus, NICHD research spans from that needed to understand the molecular substrates of early health to research needed to understand the health impacts of economic and demographic

changes on families.

**Recent Progress** - A central goal for the NICHD is to develop the basic knowledge needed to prevent diseases at the earliest possible stage. For example, NICHD-supported researchers pioneered a sophisticated technique with the potential to prevent a class of more than 40 hereditary disorders, known as mitochondrial diseases, from being passed from mother to child. Other researchers discovered how the prion protein causes cellular damage in mad cow disease and related neurological illnesses, and tested new ways to manipulate the protein to prevent such damage. With findings that have implications for treating such diseases as leukemia, researchers deciphered key developmental events governing whether the stem cells that produce red and white blood cells remain anchored to the bone marrow, or migrate into the circulatory system. The NICHD also co-funded researchers who developed an innovative treatment in a canine version of Duchenne muscular dystrophy, a paralyzing and ultimately fatal muscle disease. The treatment involves a molecular patch, comprised of DNA-like molecules, which is used to cover up mutant regions in a specific gene. Exciting new advances in the reproductive sciences also offer hope for parents. Researchers completed a critical first step in a procedure that would enable women with cancer to preserve their eggs so that they can choose to have children in the future.

**Future Directions** - The NICHD will invest wisely in the strongest science, ensuring that our priorities fill critical knowledge gaps and exploit emerging opportunities, while addressing urgent public health needs. A planned NICHD initiative, utilizing the newest high-throughput genomic technologies, will leverage the research resources developed by the NIH Roadmap to support additional studies in developmental epigenetics. Epigenetic actions on gene expression may critically influence early development from before birth and at key stages throughout childhood, serving as a mediator between genetics and the environment. Thus epigenetic research will lead to a better understanding of birth defects, developmental disabilities, obesity, and other conditions.

To translate scientific knowledge into new and better treatments, the NICHD will continue to examine how medication during pregnancy and delivery affects the mother and the fetus. Researchers will examine why children respond differently than adults to certain drug therapies, and apply this knowledge to improve safety, efficacy, and dosage in children. Such studies will include cutting-edge research in pharmacogenomics, linking different pharmacological outcomes to genetic differences in individuals and laying the foundation for future research in personalized medicine.

The NICHD will take strategic advantage of existing resources and infrastructure to ensure that scientific research improves health care. Scientists will assess the newest treatment approaches, but researchers will also evaluate the safety and efficacy of more established treatments for which safety and efficacy data are currently inadequate. The NICHD will invest in the development of new medical devices specifically for fragile infants in neonatal intensive care units, rather than relying on miniaturized versions of instruments designed for adults. NICHD researchers will work to identify the earliest developmental paths leading to obesity. We will address the understudied area of maternal obesity and its immediate and long-term impact on women and their children. Rehabilitation research priorities include better understanding of the immediate and long-term outcomes of critical care treatment of children and of autonomic dysreflexia, a grave and little-studied complication of spinal cord injury that often occurs unexpectedly.

The NICHD will continue efforts to promote women's and children's health around the globe, including studies to improve birth outcomes, to reduce maternal-fetal transmission of HIV, and to address interactions between iron deficiency and malaria.

Reinvigorating the U.S. biomedical research community will be essential in the next decade. The NICHD will build on successful training and career development programs to recruit and mentor the next generation of scientists. The Institutes focus on developmental processes, in both the child and the adult, will continue to provide the basic scientific and clinical insights needed to improve care for a wide range of conditions affecting many populations.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of the significance of the proposed research; approach; innovation; investigators; and environment. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

#### **93.866 AGING RESEARCH**

Aging

##### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

##### **AUTHORIZATION:**

Public Health Service Act, Title IV, Part F, Section 487, Public Law 100-607, 42 U.S.C 288; Public Health Service Act, Title IV, Part C, Section 444,445,445 A-F, Public Law 99-158, 42 U.S.C 285; Public Health Service Act, Title III, Part A, Section 301, Public Law 78-410, 42 U.S.C 241; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

##### **OBJECTIVES:**

To encourage biomedical, social, and behavioral research and research training directed toward greater understanding of the aging process and the diseases, special problems, and needs of people as they age. The National Institute on Aging has established programs to pursue these goals. The Division of Aging Biology emphasizes understanding the basic biological processes of aging. The Division of Geriatrics and Clinical Gerontology supports research to improve the abilities of health care practitioners to respond to the diseases and other clinical problems of older people. The Division of Behavioral and Social Research supports research that will lead to greater understanding of the social, cultural, economic and psychological factors that affect both the process of growing old and the place of older people in society. The Division of Neuroscience fosters research concerned with the age-related changes in the nervous system as well as the related sensory, perceptual, and cognitive processes associated with aging and has a special emphasis on Alzheimer's disease. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

## **USES AND USE RESTRICTIONS:**

Research grants are intended to support the direct costs of a project in accordance with an approved budget, plus an appropriate amount for facilities and administrative costs. Grantees must agree to administer the grant in accordance with the regulations and policies governing the research grants program of the Public Health Service. National Research Service Awards (NRSA) (Individual) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, National Research Service Awards (Institutional) may be made to institutions to enable them to make NRSA to individuals selected by them. Each individual who receives a postdoctoral NRSA is obligated, upon termination of the award, to comply with certain service and payback provisions. Regulations are published in the Code of Federal Regulations and 42 CFR, Part 66. SBIR Phase I grants (of approximately 6 months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1- year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

### **Applicant Eligibility:**

Grants: Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions (both for-profit and nonprofit), and individuals. National Research Service Award: Individual NRSA may be made for postdoctoral training to applicants who hold a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree) or for predoctoral training to applicants registered for doctoral research training. Institutional NRSA may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have a baccalaureate degree. Applicants must be citizens of the United States or admitted for permanent residency. Individual NRSA awardees must be nominated and sponsored by a public or private nonprofit institution having staff and facilities suitable to the proposed research training. Nonprofit domestic organizations may apply for the Institutional NRSA. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application other than a fellowship must be assessed for scientific merit by a scientific review group and receive approval from a national advisory council.

### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

### **Credentials/Documentation:**

The grants application submission process is currently in transition from a paper-based to an electronic format. A current transition-to-electronic-submission timeline for all grant mechanisms in the National Institutes of Health (NIH) Extramural Research Program timeline can be obtained from this site: <http://grants1.nih.gov/grants/funding/submissionschedule.htm>. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. For grant programs still requiring submission of paper applications, the standard application forms, as furnished by the Public Health Service (PHS) and required by 45 CFR Part 92 for State and local governments, must be used. Consultation from institute staff is available for all grant programs. Applicants are encouraged to visit the Internet Web sites of the 27 institutes and centers at the NIH to obtain contact information for program staff. Applicants for multi-project awards are strongly encouraged to consult program staff before applying. Applicants may obtain forms and instructions for application preparation and submission at the following Internet Web site: <http://grants.nih.gov/grants/forms.htm>. When completed these applications should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD. Applications are reviewed for scientific merit, evaluation of applicant qualifications, adequacy of the research environment, and significance of the proposed problem to be studied. The application form and instructions for the preparation and submission of applications to the National Research Service Awards Research Training Grants and Fellowships (NRSA) Program, PHS Form 416-1, can be obtained from the following URL (<http://grants.nih.gov/grants/funding/416/phs416.htm>). Prior to making formal application to the NRSA programs, individual NRSA applicants must be nominated and sponsored by a Federal, public or nonprofit institution having staff and facilities appropriate to the proposed research training program. Information concerning current areas of science being supported by those institutes participating in the NRSA Program at the NIH is available on the individual institute Web sites. A complete list of institutes at NIH is available at: <http://www.nih.gov/icd>. In addition, information about each institute's NRSA research topics and information about the NRSA Program can be obtained from the Division of Extramural Outreach and Information Resources, (see address above). The NRSA program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. The annual NIH Small Business Innovation Research (SBIR)-Small Business Technology Transfer (STTR) Omnibus Solicitation and SBIR-STTR Contract Solicitation may be obtained electronically by accessing the following URL: <http://grants1.nih.gov/grants/funding/sbir.htm>. The solicitations include application preparation and submission guidelines and instructions, information about review considerations, and Internet hyperlinks to the SBIR-STTR application and/or contract proposal forms. Applications to NIH's SBIR-STTR Programs must be submitted electronically through the U.S. Federal Government's Internet Web site, Grants.gov: [www.grants.gov](http://www.grants.gov). Submission of SBIR-STTR applications through Grants.gov requires pre-registration, which typically takes 2-4 weeks to complete. Information about registration to submit applications through Grants.gov can be found at: <http://era.nih.gov/ElectronicReceipt/preparing.htm>. Applicants are encouraged to read and refer to the extensive information on electronic submission of grant applications on the NIH Electronic Submission of Grants Applications Internet Web site at: <http://era.nih.gov/ElectronicReceipt>.

### **Award Procedure:**

Grants and Institutional NRSA: Each application receives an initial scientific review by non-NIH scientists and a secondary review by the National Advisory Council on Aging. Individual NRSA do not receive a secondary review by the National Advisory Council on Aging. Awards are issued by the NIA to the grantee institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Grants: From 6 to 9 months. National Research Service Awards: From 6 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

From 30 to 60 days. A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A formal appeal requires the signature of the appropriate institutional official.

**Renewals:**

> 180 Days. Grants: Renewal applications are accepted for most programs. Most individual NIH postdoctoral fellowship support is for no more than 3 years. Most individual predoctoral support is for no more than five years. Exploratory/developmental grant awards and Small Grant awards may not be renewed.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. None.  
This program does not have MOE requirements. None.

**Length and Time Phasing of Assistance:**

Grant Awards are usually made annually and usually with project periods not to exceed 5 years in length. National Research Service Awards: Institutional awards may be made for up to 5 years, and individual awards may be made for as many as 3 years. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Grants: Annual progress reports and reports of expenditures are required. National Research Service Awards: Institutional awards require that a statement of appointment for each trainee selected by the Program Director be submitted to the NIA for each year of training. Reports are required after termination of the awards to ascertain compliance with the service and payback provisions for each institutionally selected trainee. Individual awards require reports upon award expiration to determine compliance with the service and payback provisions. Grants: Annual progress reports and reports of expenditures are required. National Research Service Awards: Institutional awards require that a statement of appointment for each trainee selected by the Program Director be submitted to the NIA for each year of training. Reports are required after termination of the awards to ascertain compliance with the service and payback provisions for each institutionally selected trainee. Individual awards require reports upon award expiration to determine compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a

period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0843-0-1-552.

**Obligations:**

(Salaries) FY 10 \$142,531,000; FY 11 est \$159,171,000; and FY 12 est \$162,780,000 - Amounts shown are actual/estimated amounts available for competing awards. (Salaries) FY 10 \$871,462,000; FY 11 est \$881,632,000; and FY 12 est \$878,219,000 - Amounts shown are total (non-training) dollars available for competing and noncompeting awards.

**Range and Average of Financial Assistance:**

Awards vary in range depending on the particular activity codes. Individual fellowships range from \$38,000 to \$51,000 and average about \$42,000. Research grants have much larger ranges - from \$75,000 to several million dollars. Average costs of research grants are around \$400,000. All costs are shown on a single year basis. Awards may be for up to five years.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Robin A. Barr, Division of Extramural Activities, National Institute on Aging, 7201 Wisconsin Avenue, Room 2C218, Bethesda, Maryland 20892 Email: rb42h@nih.gov Phone: (301) 496-9322 Fax: (301) 402-2945.

**Website Address:**

<http://www.nia.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.



The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.867 VISION RESEARCH**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, as amended, Title III, Part A, Section 301; Health Research Extension Act of 1985, Public Law 99-158, 42 U.S.C. 241; Title IV, Part B, Section 405; 42 U.S.C. 284; Part C, Section 455; 42 U.S.C. 285i; Health Omnibus Programs Extension Act of 1988, Section 487(d); Public Law 100-607, 42 U.S.C. 288(d); Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### **OBJECTIVES:**

To support eye and vision research projects that address the leading causes of blindness and impaired vision in the U.S. These include retinal diseases; corneal diseases; cataract; glaucoma and optic neuropathies; strabismus; amblyopia; and low vision and blindness rehabilitation. To increase understanding of the normal development and function of the visual system in order to better prevent, diagnose, and treat sight-threatening conditions; and, to enhance the rehabilitation, training, and quality of life of individuals who are partially-sighted or blind. To support a broad program of basic vision research through grants and cooperative agreements; to encourage high quality clinical research, including clinical trials, other epidemiological studies, and health services research; to encourage research training and career development in the sciences related to vision; and to sponsor scientific workshops in high priority research areas to encourage exchange of information among scientists. Small Business Innovation Research (SBIR) program: To increase private sector commercialization of innovations derived from Federal research and development; to encourage small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Research grants and cooperative agreements provide funds for salaries, consultant costs, equipment, supplies, travel, patient costs, alterations and renovations, other expenses, and consortium/contractual costs. The scientists

and institutions are under an obligation to expend grant funds prudently for the purposes as stated in the application and award document. The Conference Cooperative Agreement supports scientific meetings and workshops in high priority research areas to encourage exchange of information among scientists. The Center Core Grant is intended to enhance an institution's environment and capability to conduct vision research, to facilitate collaborative studies of the visual system and its disorders, and to attract scientists of diverse disciplines to research on the visual system. Career development awards include the Mentored Clinical Scientist Development Award, Mentored Patient-Oriented Research Career Development Award, Institutional Clinical Scientist Development Program, and the NIH Pathway to Independence Award. The Clinical Study Planning Grant is designed to support the development of an applied clinical research plan. NEI Research Grants for Secondary Data Analysis provide limited support for meritorious research projects that involve secondary analysis of research data generated from clinical trials, population research and other applied clinical vision research projects supported by the Institute. Bioengineering Research Grants (BRG) support basic bioengineering research whose outcomes are likely to advance health or health-related vision research. BRGs may propose to apply basic bioengineering design-directed or hypothesis-drive research to an important vision research area. Bioengineering Research Partnership grants support multidisciplinary research teams applying an integrative, systems approach to develop knowledge and/or methods to prevent, detect, diagnose, or treat diseases of the eye and visual system. NEI Translational Research Program on Therapy for Visual Disorders grants provide support to collaborative, multidisciplinary research focused on the development of novel therapies to restore or prevent the loss of function due to visual diseases and disorders. Small Business Innovation Research Phase I grants are awarded to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I that is likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. Small Business Technology Transfer Research, Phase I grants are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. National Research Service Awards (NRSA), both individual and institutional, support training in vision research. Some individuals who receive an NRSA may be obligated upon termination of the award to comply with certain service and payback provisions. The NIH Extramural Loan Repayment Programs provides payback of a portion of eligible student loan debt of qualified health professionals who agree to conduct clinical research.

#### **Applicant Eligibility:**

Public/State-controlled institutions of higher education, private institutions of higher education, Hispanic-serving institutions, Historically Black Colleges and Universities, tribally-controlled colleges and universities, Alaska Native- and Native Hawaiian-serving Institutions, nonprofits with or without 501(c)(3) IRS status, Small Businesses, for-profit organizations, federal institutions, and State and local units of government are eligible to make application for research grants, cooperative agreements, and career development awards. Foreign institutions may apply for research grants and cooperative agreements only. The grantee institution must agree to administer the grant in accordance with prevailing regulations and policies. Candidates for the Mentored Clinical Scientist Development and Mentored-Patient Oriented Research Career Awards are restricted to those holding health professional degrees in the clinical sciences (M.D., O.D., D.D.S., D.V.M., or equivalent). NRSA are provided for predoctoral and postdoctoral research training. Individual NRSA may be made for applicants who hold a professional or scientific degree (M.D., Ph.D., O.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent degree). Institutional NRSA may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have completed the baccalaureate degree. All awardees must be citizens of the United States, or have been admitted to the U.S. for permanent residence prior to award. Individual NRSA awardees must be nominated and sponsored by a Federal, public or private nonprofit institution having staff and facilities suitable to the proposed research training. Federal and for-profit organizations, and State and local governments may not apply for an institutional NRSA. Refer to the NIH Program Guidelines on NRSA for

further information. The Small Business Innovation grants: SBIRs can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have not more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of the award and during the conduct of the proposed project. The research during both Phase I and Phase II must be performed in the U.S. or its possessions. Only Phase I awardees are eligible to receive Phase II support. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. Individuals applying for the NIH Loan Repayment Programs must be engaged in patient oriented research and be trained in a medical subspecialty as defined under Section 206 of Public Law 106-505. These individuals must be U.S. citizens, U.S. citizen nationals, or lawfully admitted for permanent residence in the U.S.; have a student loan debt which equals or exceeds 20 percent of their university compensation; have no Federal judgment lien against their property arising from a Federal debt; and owe no obligation of health professional service to the Federal government, a State, or other entity unless deferrals are granted during the length of their Loan Repayment Program service obligation.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

(1) Research grants and cooperative agreements: Applications for research involving the use of human subjects must include documentation that all key personnel have received training in human subject protection. Applicants may provide additional documentation to establish the scientific and technical merit and the programmatic relevance of the application. (2) Individual NRSA applications: The applicant's academic record, research experience, institutional sponsorship, and the proposed area and plan of training must be included. (3) Institutional NRSA application: The applicant institution must discuss the objectives, methodology and resources for the research training program; the qualifications and experience of staff; the criteria to be used in selecting individuals for an appointment; and a budget and justification for the grant funds requested. Costs will be determined in accordance with the appropriate OMB Circular or with HHS Regulations 45 CFR, Part 74, Subpart Q. (4) For SBIR and STTR grants, the small business concern must present a research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Loan Repayment Program applicants must provide certification of loan status, loan data verification, and an institutional supporting statement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants for core grants, clinical study planning grants, cooperative agreements, clinical vision research development awards, small research grants for data analyses, and bioengineering research partnerships should seek preapplication coordination through contact with the National Eye Institute staff. All staff may be contacted at (301) 451-2020. Applicants for planning to submit a research project grant application requesting \$500,000 or more in direct costs for any year are required to discuss their eligibility with the NEI staff, at (301) 451-2020. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard application forms, as required by 45 CFR, Part 74 and 92, must be used for this program. Information regarding the application process, access to forms, and information regarding the <http://www.Grants.Gov> site are available on the NEI web site at <http://www.nei.nih.gov>. Prior to making formal application to the NRSA programs, individual NRSA applicants must be nominated and sponsored by a

federal, public, or nonprofit institution having staff and facilities appropriate to the proposed research program. NEI specific instructions for preparing applications for Core Grants, Clinical Study Planning Grants, and cooperative agreements for clinical studies are specified in the Funding Opportunity Announcements, links to which are available at <http://www.nei.nih.gov/>. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm>.

**Award Procedure:**

Applications are reviewed initially for scientific and technical merit. A second level review of the programmatic relevance of applications is provided by the National Advisory Eye Council. Second level review of NRSA fellowship applications is performed by a committee of senior staff of the National Eye Institute. Final approval is made by the Director, National Eye Institute. Formal award notices are transmitted to the appropriate institutional official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately six to nine months for Research Grants, Mentored Clinical Scientist Development Awards, Clinical Study Planning Grants, cooperative clinical studies or conferences, Core Grants, and NRSA Institutional applications; from six to seven months for NRSA individual applications; and for SBIR, about eight months.

**Appeals:**

A principal investigator may communicate to the staff of the National Eye Institute any concerns regarding the substantive or procedural aspects of the review of an application.

**Renewals:**

Renewals of research grant or cooperative agreement support are by competitive application and review. Mentored Clinical Scientist Development Awards, Clinical Study Planning Grants, NEI Translational Research Program on Therapy for Visual Disorders, and NEI Research Grants for Secondary Data Analysis are non-renewable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to five years for research grants and cooperative agreements, Mentored Clinical Scientist Development Awards, Core Grants, and Institutional NRSAs. Up to three years for Academic Research Enhancement Awards and NRSA Individual postdoctoral awards. Clinical Study Planning Grants: one year. Awards to individuals made through an institutional NRSA may total eight years (five years predoctoral and an additional three years postdoctoral). SBIR: Normally, Phase I awards are for six months; normally, Phase II awards are for two years. STTR: Normally, Phase I awards are for one year; normally, Phase II awards are for two years. Loan Repayment Program Awards are for two years with the opportunity for renewal. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Grant Award (NoGA) will be provided to the applicant organization.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditures and other financial records must be retained for three years from the day on which the grantee submits the last expenditure report for the report

period.

**Account Identification:**

75-0887-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$565,353,000; FY 11 est \$562,528,000; and FY 12 est \$568,248,000

**Range and Average of Financial Assistance:**

Grants and Cooperative agreements: \$26,298 to \$5,057,448; \$392,655. NRSA (Institutional): \$26,298 to \$560,041; \$217,314. NRSA (Individual): \$14,476 to \$62,002; \$45,355. SBIR Phase I: \$99,231 to \$570,438; \$130,023. SBIR Phase II: \$71,484 to \$953,134; \$431,300. STTR Phase I: \$105,906 to \$310,645; \$188,551. STTR Phase II: \$310,719 to \$408,108; \$346,016.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This program supported 1,411 research grants, including 51 SBIR and STTR awards, and 254 NRSA positions. The program received 923 competing applications of which 248 were funded resulting in a success rate of 26.9%. Fiscal Year 2011: The program anticipates supporting 1,403 research grants, including 51 SBIR and STTR awards, and 254 NRSA positions. A report by the NEI, "National Plan for Eye and Vision Research" provides a comprehensive summary of the program's goals, objectives, accomplishments, and program and management policies, as well as statistical information on the incidence and prevalence of visual disorders. Copies of this document are available on the Internet at <http://www.nei.nih.gov>. Fiscal Year 2012: It is projected that this program will support 1,385 research grants, including 51 SBIR and STTR awards, and 254 NRSA positions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92. PHS Grants Policy Statement DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994, and Addendum effective February 15, 1995; "NIH Guide for Grants and Contacts and Supplements." National Eye Institute Guidelines are available on the internet at <http://www.nei.nih.gov> Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ellen S. Liberman, Ph.D. National Eye Institute, National Institutes of Health, Department of Health and Human Services, Room 1300, 5635 Fishers Lane, Bethesda, MD 20892-9300. Grants Management Officer Contact: Mr. William W. Darby, Chief, Grants Management Branch, National Eye Institute, National Institutes of Health, Department of Health and Human Services, Room 1300, 5635 Fishers Lane, Bethesda, MD 20892-9300. Telephone: (301) 451-2020. Use the same numbers for FTS. The National Eye Institute encourages applicants to visit its internet site at [www.nei.nih.gov/](http://www.nei.nih.gov/). Among the many recent additions to the site is an expanded "Research Funding" section which contains all National Eye Institute application guidelines and internet links to relevant NIH information., Bethesda, Maryland 20892-9300 Email: [esl@nei.nih.gov](mailto:esl@nei.nih.gov) Phone: (301) 451-2020 Fax: (301) 402-0528.

**Website Address:**

<http://www.nei.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in the initial scientific and technical review of most applications include an assessment of significance, approach, innovation, investigator training and experience, and the scientific environment. In addition

to these criteria, in accordance with NIH policy, all applications will also be reviewed with respect to the following: the adequacy of plans to include both genders, minorities, and their subgroups as appropriate for the scientific goals of the research; the reasonableness of the proposed budget and duration in relation to the proposed research; and, the adequacy of the proposed protection for humans, animals or the environment, to the extent they may be adversely affected by the project proposed in the application. A second level review of the programmatic relevance of most applications is provided by the National Advisory Eye Council. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.879 MEDICAL LIBRARY ASSISTANCE**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part D, Subpart 2, Section 472-476; Public Health Service Act, Title III, Part A, Section 301.

**OBJECTIVES:**

To improve health information services by providing funds to train professional personnel; to conduct research in biomedical informatics, bioinformatics and related computer and information sciences; to facilitate management of electronic health science information; to plan, develop and test feasibility of advanced information tools; to prepare certain kinds of biomedical publications; to advance biocomputing and bioinformatics through participation in Federal initiatives relating to biomedical informatics, bioinformatics and biomedical computing; to stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions, through Small Business Research Innovation (SBIR) and Small Business Technology Transfer (STTR) grants.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

**RESEARCH GRANT PROGRAMS:** Research Grants are available for fundamental and applied research in biomedical informatics and bioinformatics. Areas of research interest include: representation, organization and retrieval of biomedical and biological knowledge, data and images; enhancement of human intellectual capacities through virtual reality, dynamic modeling, artificial intelligence, and machine learning; medical decision-making; linguistic analyses for natural language processing and understanding; informatics topics relevant to public health and informatics for disaster management. Research Project Grants (R01) are available for rigorous scientific research studies and experiments. NLMs latest offering, the Advanced Informatics for Health Grants (R01), aims to support exceptionally innovative informatics research that will have an unusually high impact on a problem in health or biomedical research. The specific focus may change from year to year. Exploratory/Developmental Grants (R21) support early, conceptual work and feasibility tests. Other research grants include Informatics Conference Grants

(R13) and a number of NIH-wide grant programs on high priority topics such as health literacy, behavioral research, health disparity, women's health, climate change, and detection of gene environment interactions for complex human diseases. Further information on research grants is available at <http://www.nlm.nih.gov/ep/Grants.html#research>.

**TRAINING GRANT PROGRAMS:** NLM's University Biomedical Informatics Research Training Programs (T15) promote the training of talented individuals who seek research careers in biomedical informatics, bioinformatics, clinical translational informatics, and public health informatics. A competition for these institution-based training grants is announced every five years.

University-based training support may be at the pre- or post-doctoral level. Training sites recruit and choose their trainees, and are expected to have well-established computer facilities, strong informatics research and education programs, experienced faculty and staff committed to research in the field of biomedical computing and/or biomedical informatics, and available courses or experience in computer science, information science, and cognitive sciences. Institutional training grants provide trainee stipends, tuition and fees, travel, and certain institutional support costs. Further information on training grants is available at <http://www.nlm.nih.gov/ep/Grants.html#training>.

**CAREER DEVELOPMENT GRANT PROGRAMS:** NLM offers an Independent Career Development award (K22) to help informatics trainees make the transition to a successful independent research career. NIH Pathway to Independence Career Development awards (K99/R00) are reserved for investigators who are making the transition to their first research positions. These grants can last up to five years. They include a mentored period, followed by an unmentored period, and provide both salary and a research fund. Research supplement awards are also offered to promote diversity in health-related informatics research, and to promote re-entry into informatics careers. Diversity and re-entry awards are issued as supplements to existing research grants funded by NLM. Further information on career development grants is available at <http://www.nlm.nih.gov/ep/Grants.html#career>.

**RESOURCE GRANT PROGRAMS:** NLM Applied Informatics Grants (G08) support implementation projects that bring useful, usable health information to those who need it. The specific focus may change from year to year. NLM offers Grants for Scholarly Works (G13) to support preparation of books in the history and philosophy of biomedicine, bioethics, and public policy areas of importance to health professionals and biomedical scientists. Typically, these programs issue one FOA per year. The purpose, restrictions, funding periods and award limits vary for these grant programs and are described in the FOAs. Further information on resource grants is available at <http://www.nlm.nih.gov/ep/Grants.html#resource>.

**SMALL BUSINESS RESEARCH & DEVELOPMENT GRANT PROGRAMS:** Small Business Innovation Research (SBIR) and Small Business Technology Transfer Research (STTR) grants are made to U.S. small businesses that seek to undertake informatics research and development leading to commercialization. The STTR program requires a small business applicant organization to formally collaborate with a research institution in Phase I and Phase II. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. Further information on SBIR/STTR grants is available at <http://www.nlm.nih.gov/ep/Grants.html#small>.

#### **Applicant Eligibility:**

Any individual(s) with the skills, knowledge, and resources necessary to carry out the proposed research as the project director/principal investigator (PD/PI) is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for NIH support. See Beneficiary Eligibility below for further details.

#### **Beneficiary Eligibility:**

Research Grants are available to public or private, domestic or foreign, for

profit or not-for-profit institutions or organizations with research capabilities in biomedical informatics, bioinformatics, computer sciences, information sciences and related disciplines. Training Grants may be made to nonfederal public and nonprofit private institutions. With the exception of NIH Pathway to Independence awards, trainees must be citizens or non-citizen nationals of the United States or have been lawfully admitted to the United States for permanent residence. Resource grants (Information Resource, Scholarly Works) are open to any U.S. public or private nonprofit institution or organization. SBIR and STTR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Credentials/Documentation:**

Cost allowability will be determined in accordance with OMB Circular A-87 for State, Local, and Indian Tribal Governments, OMB Circular A-21 for Educational Institutions and for For-profit organizations, costs will be determined in accordance with 48 CFR Subpart 31.2 Federal Acquisition Regulation (FAR). Nonprofit institutions cost principles are outlined under OMB Circular A-122 and for Hospitals, 45 CFR Part 74, Appendix E. These cost principles are codified under 45 CFR 74.27 and 92.22. Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations are outlined in OMB Circular A-110. Documentation providing NIH grants policy and guidance can be found at <http://grants.nih.gov/grants/policy/policy.htm>. The Division of Extramural Programs, NLM provides program specific grant information at <http://www.nlm.nih.gov/ep>. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Only electronic applications are accepted for all types of Research Grants, SBIR and STTR grants, and Resource Grants. Electronic grant submission of the SF424 (R&R) form is via <http://www.grants.gov>. For instructions on submitting grants electronically, see <http://era.nih.gov/ElectronicReceipt/>. These programs are subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. Updates on NLM application deadlines and links to available forms can also be found at <http://www.nlm.nih.gov/ep/>.

#### **Award Procedure:**

Applications are evaluated for merit by a committee of scientific experts and for program relevance by the Board of Regents (BOR) of the National Library of Medicine (NLM). If favorably recommended, the application is considered for funding. An award notice is prepared when it is determined that a grant is to be paid. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

> 180 Days. From 9-10 months after the application deadline.

#### **Appeals:**

NIH policy allows a principal investigator (PI) to appeal the outcome of a review if procedural errors or factual errors entered into the review of the application. A description of the NIH Peer Review Appeal procedures is available at

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>. However, differences of scientific opinion that often occur between investigators and reviewers may not be contested through these procedures. In addition, communications from investigators consisting of additional information that was not available to the reviewers are not considered to be appeals. The NIH policy on unsuccessful applicant resubmissions of grant proposals can be found at: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-080.html>.

**Renewals:**

> 180 Days. Competing renewal applications follow same review procedures and deadlines as new applications; dates for submission are at <http://www.nlm.nih.gov/ep/Deadlines.html>. NIH also permits the resubmission of an application that has been revised following merit review. Deadlines for resubmissions are listed with other deadlines. Applicants should consult the program announcement to find out if renewals are allowed for that grant program.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of a grant award varies by the type of grant. R01 research grants generally last three or four years. Resource grants, Exploratory/Developmental grants, and NIH Pathway to Independence awards have defined maximum periods that are provided in the funding opportunity announcement. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual grant progress reports covering progress by specific aims and Federal Financial Reports must be submitted as required. A mid year progress report may be requested at the program officers discretion. At the end of a grant, the awardee must file a final progress report, final Federal Financial Report and final statement of invention. see above description for Progress Reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with 45 CFR 74 Subpart C Section 74.26(d) for-profit organizations that expend more than \$500,000 in DHHS awards in a year shall have an audit of the DHHS awards in accordance with the "Government Auditing Standards" (Yellow Book) or an audit that meets the requirements of OMB Circular A-133. Award recipients that do not meet the \$500,000 threshold are exempt from Federal audit requirements for that year, except as noted in Circular A-133. In addition, grants and cooperative agreements are subject to review or audit by appropriate officials of the Federal (funding) agency, pass-through entity and the Government Accountability Office (GAO). Foreign organizations must use the for-profit audit requirements for DHHS supported awards. The NIH/DHHS Loan Repayment Program (LRP) is not subject to Federal auditing requirements. For OMB policy statements on grants, see [http://www.whitehouse.gov/omb/grants/grants\\_docs.html](http://www.whitehouse.gov/omb/grants/grants_docs.html). Government Auditing Standards is available on the GAO Web site at <http://www.gao.gov/govaud/ybk01.htm>.

**Records:**

Financial and programmatic grant records must be retained for 3 years from the day on which the grantee submits the last (annual) Federal Financial Report (FFR). Streamlined Noncompeting Application Process (SNAP) awardees beginning date for record retention purposes is the date of the FFR submission for the entire competitive segment of the grant.

**Account Identification:**

75-0807-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$62,166,000; FY 11 est \$56,463,000; and FY 12 est \$56,463,000

**Range and Average of Financial Assistance:**

\$15,795 to \$956,625 (range)  
\$381,402 - total average cost for Basic Research Grant (R01)  
\$141,056 - total average cost for Information Resource Grant (G08)  
\$47,635 - total average cost for Scholarly Works Grant (G13).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY2010, EP awarded 100 non-competing grants totaling \$35,028,418, and 45 competing grants for \$10,420,294. Fiscal Year 2011: In FY2011, it is anticipated that approximately 190 awards will be issued in fiscal year 2011. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Library of Medicine Grant Programs are awarded under the Public Health Service Act and the Medical Library Assistance Act. Grants and funding awards are made available under the authority of the Acts as codified under 45 CFR 74 (Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations; and Certain Grants and Agreements with States, Local Governments, and Indian Tribal Governments and 45 CFR 92 (Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments); the NIH Grants Policy Statement is available to grantees as a single document governing the NIH/DHHS policy requirements and terms and conditions of NIH/DHHS grant awards. Additional regulations and guidelines are provided in the Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR - R43, R44) Grant and Cooperative Agreement Applications including the Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR - R41, R42) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Extramural Programs, National Library of Medicine Extramural Programs, National Library of Medicine, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20894. Telephone: (301) 496-4621. Program Contacts: Telephone: (301) 594-4882. Grants Management Contact: Grants Management Officer: Telephone: (301) 496-4221. Grant Review Contact: Scientific Review Administrator. Telephone: (301) 496-4253. Use the same numbers for FTS. Website: <http://www.nlm.nih.gov/ep>, Bethesda, Maryland 20892 Phone: (301) 496-4621

**Website Address:**

<http://www.nlm.nih.gov/ep>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: As awards are made, they are added to the lists of awards made since 1997, in each active grant program, which are available on the agency's web site at <http://www.nlm.nih.gov/ep/funded.html>. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The standard NIH review criteria, significance, investigator, innovation, approach, environment are used as the basis of merit review. Considerations for final award decisions include level of innovation, program priority, portfolio balance, and availability of funds. For NLM resource grants, review criteria include considerations as to relevance to program objectives; impact on the management and transmission of biomedical knowledge; institutional readiness and resources available to project; expertise of project director and key personnel; scientific or technical merit of project; sustainability of what is deployed, and appropriateness of budget. For Career awards, review criteria include issues pertaining to the suitability of the candidates and their career development plan, research plan, mentors/consultants/collaborators, as well as

the environment and institutional commitment to the candidates. For Training awards, review criteria include evidence of soundness in the areas of: Training Program and Environment, Training Program Principal Investigator(s), Preceptors and Mentors, Trainees, and Training Record. Comparative priorities on the above criteria are based on collective judgment of peer reviewers. The following criteria are used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the scientific, technical, or technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications are reviewed based upon the similar criteria, and on the degree to which the Phase I objectives were met and feasibility demonstrated. General Services Administration Office of Governmentwide Policy Office of Acquisition Policy Regulatory and Federal Assistance Publication Division (MVA).

### **93.884 GRANTS FOR TRAINING IN PRIMARY CARE MEDICINE AND DENTISTRY**

Primary Care Training

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Title VII, Section 747(b), Public Health Service Act, as amended by the Affordable Care Act (P. L. 111-148).

#### **OBJECTIVES:**

Grants are awarded for the following purposes: (1) Academic Administrative Units in Primary Care-- to establish, maintain, or improve academic administrative units (which may be departments, divisions, or other entities) to provide clinical instruction in family medicine, general internal medicine, general pediatrics, and/or combined internal medicine-pediatrics; (2) Predoctoral Training in Primary Care-- to plan, develop, and operate or participate in programs that teach medical students primary care skills through experiences in family medicine, general internal medicine, general pediatrics, and/or combined internal medicine-pediatrics; (3) Residency Training in Primary Care-- to plan, develop, and operate or participate in approved residency programs in family medicine, general internal medicine, general pediatrics, and/or combine internal medicine-pediatrics; (4) Physician Faculty Development in Primary Care-- to plan, develop, and operate programs (including provision of financial assistance to trainees) that prepare physicians who teach or plan to teach in family medicine, general internal medicine, general pediatrics, and/or combined internal medicine-pediatrics training programs; (5) Physician Assistant Training in Primary Care-- to meet the costs of projects to plan, develop, and operate or maintain programs that teach physician assistant students and that train individuals who will teach physician assistant students.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants may not be used for new construction, patient services. Grants may not be used for new construction, patient services.

#### **Applicant Eligibility:**

The applicant organization must meet the eligibility requirements as indicated for each program area: Residency Training in Primary Care, Physician Faculty Development in Primary Care, Physician Assistant Training in Primary Care: Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, or public or private nonprofit entities are eligible to apply.

Predoctoral Training in Primary Care, Academic Administrative Units in Primary Care: Accredited public or nonprofit private schools of allopathic or

osteopathic medicine are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply.

#### **Beneficiary Eligibility:**

For the following programs: Residency Training in Primary Care, Physician Faculty Development in Primary Care, Physician Assistant Training in Primary Care: Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, or public or private nonprofit entities are eligible to apply..

Predoctoral Training in Primary Care, Academic Administrative Units in Primary Care: Accredited public or nonprofit private schools of allopathic or osteopathic medicine are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply.

#### **Credentials/Documentation:**

Each program has its own funding opportunity announcement issued under this CFDA program, that applicants should review to identify any required proof or certifications that must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification of award is made in writing by a Notice of Grant Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 2 to 3 months after receipt of application.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

During the last budget period of the project period, competing continuation applications may be submitted for up to five (5) years of support.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Project periods are for up to five years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

Status Reports

1. Submit a Financial Report. A financial report is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year.

2. Submit a Progress Report(s).

All Bureau of Health Professions grantees are required to submit a progress report to HRSA on an annual basis. This report entitled, BHP Progress

Report, has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data to measure the Bureau's progress through its grantees in: (1) improving the distribution, diversity, quantity, and quality of the healthcare workforce, (2) improving the educational infrastructure, and (3) increasing students' selection of primary care education.

Progress reports are generally due in June each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

**3. Submit a Performance Report(s).**

All Bureau of Health Professions grantees are required to submit a performance report to HRSA on an annual basis.

Performance reports are generally due in August each year and must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

**4. Submit a Final Report.**

All BHP grantees are required to submit a final report within 90 days after the project period ends. The final report collects program-specific goals, core performance measurement data, grantee objectives and accomplishments, barriers encountered, and responses to summary questions regarding the grantees' overall experiences over the entire project period. The final report must be submitted on-line by grantees in the Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. No cash reports are required. See prior. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records three years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the three-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$36,732,181; FY 11 est \$51,181,110; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

The average award for FY 2010 was \$179,181 (range of \$137,360 to \$520,564).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 64 new awards were made in 2010, worth \$37,732,181. 4 Academic Administrative Units in Primary Care awards, 18 Predoctoral Training in Primary Care awards, 23 Residency Training in Primary Care awards, and 7 Physician Faculty Development in Primary Care awards. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy

Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Shannon K. Bolon, MD, MPH, Chief, Primary Care Medical Education Branch, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9A-27, 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857, Telephone: (301) 443-4469 and E-mail: [SBolon@hrsa.gov](mailto:SBolon@hrsa.gov).

**Headquarters Office:**

Division of Medicine and Dentistry 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857 Phone: (301) 443-6190

**Website Address:**

<http://bhpr.hrsa.gov/grants/medicine.index.html>

**RELATED PROGRAMS:**

93.403 ARRA - Training in Primary Care Medicine and Dentistry

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: <http://bhpr.hrsa.gov/grants/medicine.index.html>. Fiscal Year 2011: N/A. Fiscal Year 2012: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal review panels for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedures in the application guidance. HRSA is placing an emphasis on evaluation and prefers to fund applicants with processes in place to assess the impact and outcome of their grant funded activities.

**93.887 HEALTH CARE AND OTHER FACILITIES**

Renovation or Construction Projects

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010 (P. L. 111-117).

**OBJECTIVES:**

To construct, renovate, expand, equip, or modernize health care facilities and other health care related facilities.

**TYPES OF ASSISTANCE:**

Project Grants (for specified projects)

**USES AND USE RESTRICTIONS:**

All funds awarded should be expended solely for carrying out the approved projects in accordance with the provisions of the fiscal year.

**Applicant Eligibility:**

Eligible applicants include State and local governments, including their universities and colleges, quasi- governmental agencies, private universities and colleges, and private profit and nonprofit organizations. Organizations must be specifically earmarked in the Congressional Appropriation Bill.

**Beneficiary Eligibility:**

Public or other entities will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application materials are provided to organizations that

were specifically earmarked in the Appropriation Bill or Conference Report, based upon information in HRSA's annual appropriation.

**Award Procedure:**

Only Congressional-directed funded organizations may receive an award.

All applicants are required to apply electronically through Grants.gov.

Awards are made subsequent to proposal evaluations carried out by HRSA staff.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are usually issued for a 3-year project period. Funds must be expended in 5 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

At the conclusion of the project, recipients must submit a final report on project costs (424C) and a list of equipment purchased with funds. No cash reports are required. Final Financial Report. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$260,476,910; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Grants were awarded for 573 projects in Fiscal Year 2010.

Fiscal Year 2011: No Current Data Available for Fiscal Year 2011. Fiscal Year

2012: No Current Data Available for Fiscal Year 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Program Contact: Mr. David Colwander, Chief, Facilities Monitoring Branch, Division of Facilities Compliance and Recovery, Healthcare Systems Bureau, 5600 Fishers Lane, Room 10-105, Rockville, Maryland 20857 Phone: (301) 443-5656.

**Headquarters Office:**

David Colwander 5600 Fishers Lane, Room 11A-16, Rockville, Maryland 20857 Phone: (301) 443-5906

**Website Address:**

<http://www.hrsa.gov/hcofconstruction/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Construction of a new Health Clinic in Seattle, WA, Renovations of a Community Health Center in New Orleans, LA, Purchase a MRI in Owenton, KY.. Fiscal Year 2011: No Data Available. Fiscal Year 2012: No Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.888 SPECIALLY SELECTED HEALTH PROJECTS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

The Consolidated Appropriations Act of 2010 (Public Law 111-117).

**OBJECTIVES:**

To carry out programs that have been selected by the U.S. Congress as being needed for improved health care.

**TYPES OF ASSISTANCE:**

Project Grants (for specified projects)

**USES AND USE RESTRICTIONS:**

All funds awarded should be expended solely for carrying out the approved projects in accordance with the provisions of the Consolidated Appropriations Act of 2010 (Public Law 111-117).

**Applicant Eligibility:**

State and local governments, including their universities and colleges, quasi-governmental agencies, private universities and colleges, and private profit and nonprofit organizations. Organizations must be specifically earmarked in the Congressional Appropriation Bill.

**Beneficiary Eligibility:**

Public or other entities will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110



applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

Only Congressionally identified organizations may receive an award. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 3 to 6 months.

**Appeals:**

Not specified.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are usually issued a one-year project period. Grant funds must be expended in 5 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. At the conclusion of the project, grantees must submit a final Federal Financial Report (FFR), a final report on project costs, and a list of equipment purchased with grant funds. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$41,344,380; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No data available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: : No Current Data Available. Fiscal Year 2011: No current data available. Fiscal Year 2012: : No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education,

hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Lilly Smetana, The Office of Rural Health Policy Room 5A-55 , 5600 Fishers Lane, Rockville, MD 2085, (301) 443-0835.

**Headquarters Office:**

The Office of Rural Health Policy, 5600 Fishers Lane, Room 5A-55 , Rockville, Maryland 20857 Phone: (301) 443-0835.

**Website Address:**

<http://www.rurahealth.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.889 NATIONAL BIOTERRORISM HOSPITAL PREPAREDNESS PROGRAM**

HPP

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Section 319C-2 of the Public Health Service (PHS) Act, as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) of 2006, Public Law 109-417.

**OBJECTIVES:**

To ready hospitals and other healthcare systems, in collaboration with other partners, to deliver coordinated and effective care to victims of terrorism and other public health emergencies.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The distribution of funds will be to the health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the United States Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands. The statute specifies appropriate use of funds.

**Applicant Eligibility:**

State health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the United States Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Beneficiary Eligibility:**

All State health departments listed above, hospitals and supporting health care systems.

**Credentials/Documentation:**

Applicants should review the individual ASPR Hospital Preparedness Program Funding Opportunity Announcement documents issued under this CFDA for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All qualified applications from eligible applicants will be reviewed and final funding award recommendations forwarded to ASPR.

**Award Procedure:**

Notification is made in writing through a Notice of Grant Award issued from the program's Grants Management Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Section 319C-2 of the Public Health Service (PHS) Act, as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) of 2006, Public Law 109-417.

Matching Requirements: Percent: 10.%.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Project periods are limited up to 3 years. Budget periods are limited up to 12 months. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: Awardee is issued a Notice of Award, a legal document that informs the awardee that a grant award has been made. Awardee may draw down funds in advance of the incursion of an expenditure (up to three days) from the Payment Management System.

**Reports:**

Program reports are not applicable. Recipients must report cash transaction data via the Payment Management System (PMS) using the cash transaction data elements captured on the Federal Financial Report (FFR), Standard Form (SF) 425. Recipients will utilize the Transactions section of SF425 in lieu of the SF272. The FFR SF425 cash Transaction Report is due 30 days after the end of each calendar quarter. Semi-annual and year end progress reports are required. ASPR requires cumulative financial reporting through consecutive funding periods on the SF269 FSR long form. The FFR SF425 was designed to replace the Financial Status Report SF269 and the Federal Cash Transactions Report SF272 with one comprehensive financial reporting form. Until HHS fully migrates to the SF425 FFR, recipients are still required to submit the SF269 Financial Status Report (FSR) semi-annually within 30 days after the first 6 month period and within 90 days of the budget period end date. Grantees are required to submit final Financial Status Reports (SF-269). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit

or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements are provided in Title 45, CFR Part 92.

**Account Identification:**

75-0140-0-1-551.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 10 Not Available; FY 11 est \$390,500,000; and FY 12 est \$352,000,000

**Range and Average of Financial Assistance:**

\$300,000 to \$35,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Robert Scott Dugas , Hospital Preparedness Program, U.S. Department of Health and Human Services, Assistant Secretary for Preparedness and Response, 395 E Street, SW, 10th Floor, Suite 1075, Room 13, Washington, District of Columbia 20024 Email: Robert.Dugas@hhs.gov Phone: (202) 245-0732

**Website Address:**

<http://www.phe.gov>

**RELATED PROGRAMS:**

93.003 Public Health and Social Services Emergency Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

This is a formula grant program. The applicants must submit their application in accordance with fiscal year Funding Opportunity Announcement. The applications are reviewed and approved applications are processed immediately. Applications approved with conditions, require the applicant to resubmit supporting information within a prescribed time frame. Upon review and approval, the revised application can then be submitted to Grants Management for processing and issuing a notice of grant award.

**93.908 NURSING EDUCATION LOAN REPAYMENT PROGRAM**

Nursing Education Loan Repayment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act (42 United States Code 297(n)(a)), Section 846(a), as amended by, Patient Protection and Affordable Care Act of 2010, Public Law 111-148 Sec. 5310(a).

**OBJECTIVES:**

To assist in the recruitment and retention of professional registered nurses (RN) in: 1) approved critical shortage areas to increase access to quality health care by offering loan repayment in return for full-time service at an eligible health care facility with a critical shortage of nurses; and 2) nurses dedicated to serving as full-time faculty members at eligible schools of nursing.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The program offers Registered Nurses (RN) substantial economic assistance to repay their qualifying educational loans in exchange for full-time service at a

health care facility with a critical shortage of nurses. Nursing Education Loan Repayment Program (NELRP) participants enter into a contract agreeing to provide full-time service at an approved Critical Shortage Facility (CSF) for two years. In return, NELRP will pay 30 percent of the participant's total qualifying loan balance each year (total of 60 percent). A participant may be eligible to continue his/her two-year NELRP contract to serve for a third (optional) year at a CSF. If a participant works full-time for a third year in a CSF, the NELRP will pay an additional 25 percent of the participant's original qualifying loan balance, bringing the total to 85 percent of eligible loan balances.

**Applicant Eligibility:**

Individuals who satisfy the following criteria are eligible to apply: (1) have received a baccalaureate or associate degree in nursing (or an equivalent degree), a diploma in nursing or a graduate degree in nursing; (2) have outstanding qualifying educational loans leading to a degree or diploma in nursing; (3) a U.S. citizen, national or a permanent legal resident of the United States; (4) employed full-time (32 hours or more per week) at a critical shortage facility (CSF) or employed as a full-time nurse faculty member at a public or private nonprofit school of nursing; (5) have completed the nursing education program for which the loan balance applies; (6) have a current unrestricted license in the State in which they intend to practice or be authorized to practice in the State under the Nurse Licensure Compact; and (7) submit a complete application, including a signed contract to work full-time as a registered or advanced practice nurse for 2 years at an eligible health care facility with a critical shortage of nurses.

**Beneficiary Eligibility:**

Beneficiaries include registered nurses who have received a diploma, an associate degree, a baccalaureate degree or a graduate degree in nursing from an accredited school of nursing.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are generally solicited by a program announcement and application details can be found at [www.hrsa.gov](http://www.hrsa.gov). HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals for the third year of service will be considered based on the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loan repayments for 1 year of obligated service will be made no later than the end of the Federal fiscal year in which the individual completes such year of service. See the following for information on how assistance is awarded/released: Direct Deposit into recipients account through PSC.

**Reports:**

The employing CSF must complete and send to the NELRP a semi-annual certification that the participating nurse has engaged in a year of full-time continuous service as a registered nurse. The certification includes an endorsement by an appropriate official of the facility. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$56,961,802; FY 11 est \$55,001,340; and FY 12 est \$56,260,000

**Range and Average of Financial Assistance:**

\$2,206 to \$295,210, with an average award being \$46,905.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010: 6,813 applications received, 1,139 new awards, 135 continuations. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

Refer to the Nursing Education Loan Repayment Program Guidance.

**Regional or Local Office:**

See Regional Agency Offices. Nursing Education Loan Repayment Program, Division of Nursing and Public Health, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4130.

**Headquarters Office:**

Division of Applications and Awards 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 594-4130

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding preference is defined as the funding of a specific category of group of approved applicants ahead of other categories or groups of approved applicants. As provided in section 846(e) of the PHS Act, as amended, a funding preference is given to eligible applicants with the greatest financial need. Awards are made to the highest ranked applicants until funds are expended. Please review the HRSA Preview or BCRS website at [www.hrsa.gov](http://www.hrsa.gov) for important information regarding funding preferences.

### **93.910 FAMILY AND COMMUNITY VIOLENCE PREVENTION PROGRAM**

(Family Life Centers)

#### **FEDERAL AGENCY:**

Office of Minority Health, Department of Health and Human Services

#### **AUTHORIZATION:**

OMH is authorized to conduct this program under 42 U.S.C. Section 300 u-6, Section 1707 of the Public Health Service Act, as amended.

#### **OBJECTIVES:**

To establish Family Life Centers on the campuses of 24 minority institutions of higher education to: (1) assess local community resources for violence prevention projects; (2) coordinate activities with existing violence prevention projects; (3) design and implement educational interventions addressing interpersonal family violence; and (4) design and implement a project to identify students from dysfunctional families and support them with coping strategies.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds will be used to support a cooperative agreement for a family and community violence program to prevent minority related violence and improve health and human services to minorities. Funds are not to be used for the provision of health care services, construction, augmentation of ongoing Office of Minority Health (OMH) supported demonstrations, or supplantation of ongoing project activities.

#### **Applicant Eligibility:**

Eligible Applicants: An institute of higher education representing 4-year undergraduate institutions and a 2 year tribal college historically identified as providing education primarily to minority students, or having a majority enrollment of minority students.

#### **Beneficiary Eligibility:**

Minority families and communities will benefit.

#### **Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All open grant opportunities are posted on [www.grants.gov](http://www.grants.gov). Additional information and application kits may be requested by calling 240-453-8822 or writing to: Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852

#### **Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel. The Deputy Assistant Secretary for Minority Health makes final decisions to approve, hold, or reject individual grants or contracts. Applicants are notified regarding the final decision on each application and are furnished with a Notice of Grant Award for all projects approved.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days. About 60 days.

#### **Appeals:**

none.

#### **Renewals:**

> 180 Days. The cooperative agreement will have a 4-year project period with 12-month budget periods.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

The cooperative agreement will have a 4-year project period with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash request basis or under a letter of credit. Necessary instructions regarding payment procedure will be provided at the time the notice of grant award is issued. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74.53 and 45 CFR Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0120-0-1-551.

#### **Obligations:**

(Salaries) FY 10 \$1,000,000; FY 11 est \$1,000,000; and FY 12 Estimate Not Available

#### **Range and Average of Financial Assistance:**

\$100,000 to \$250,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This program has (1) assessed local community resources for violence prevention projects; (2) coordinated activities with existing violence prevention projects; (3) designed and implemented educational interventions addressing interpersonal family violence; and (4) designed and implemented a project to identify students from dysfunctional families and supported them with coping strategies. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

#### **Regional or Local Office:**

None. Program Management Contact:

Office of Minority Health, Division of Program Operations,  
1101 Wootton Parkway, Suite 600, Rockville, MD 20852. Telephone: (240)  
453-8444.

Grants Management Contact:  
Office of Grants Management,  
1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240)  
453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville,  
Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.fcvp.org> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: The following are examples of projects funded under the cooperative agreement: (1) A database and resource directory was developed on viable violence and substance abuse services and resources; (2) A variety of education experiences were provided to youth and families to assist them in making positive life style choices and facilitating their educational pursuits; and (3) Community outreach services were provided to neighborhoods. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: (1) consistency of project's goals and objectives with the Office of Minority Health's mission; (2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; (3) strength of proposed grant organization's management capability; (4) adequacy of qualifications, experience and cultural competence of proposed personnel; and (5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.912 RURAL HEALTH CARE SERVICES OUTREACH, RURAL HEALTH NETWORK DEVELOPMENT AND SMALL HEALTH CARE PROVIDER QUALITY IMPROVEMENT PROGRAM**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 330A (f) of the Public Health Service Act, 42 U.S.C. 254(c) (e) (f), as amended by section 201, P.L. 107-251 of the Health Care Safety Net Amendments of 2002.

**OBJECTIVES:**

To expand delivery of health care services in rural areas, for the planning and implementation of integrated health care networks in rural areas, and for planning and implementation of small health care provider quality improvement activities.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for carrying out the approved projects.

**Applicant Eligibility:**

Rural Health Care Services Outreach, Rural Health Network Development and Rural Health Network Development Planning Programs: Rural public or nonprofit private entities that include three or more health care providers that provide or support the delivery of health care services. The administrative headquarters of the organization must be located in a rural county or a rural zip code of an urban county; or an organization is constituted exclusively to provide services to migrant and seasonal farmworkers in rural areas and

supported under Section 330G of the Public Health Service Act; or the applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area.

Rural Health Workforce Development Program: Rural public or nonprofit private entities that include three or more health care providers and at least one accredited health care workforce training organization that provide or support the delivery of health care services. The administrative headquarters of the organization must be located in a rural county or a rural zip code of an urban county; or an organization is constituted exclusively to provide services to migrant and seasonal farmworkers in rural areas and supported under Section 330G of the Public Health Service Act; or the applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area

Small Health Care Provider Quality Improvement Program: This program is available to support rural public, rural non-profit, or other providers of healthcare services, such as a critical access hospital or rural health clinic. (1) The applicant must be located in a rural area, as determined by eligible rural county or census tracts, and all services must be provided in a rural county or census tract. (2) The applicant exists exclusively to provide services to migrant and seasonal farmworkers in rural areas and is supported under Section 330G of the Public Health Service Act. (3) The applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area (documentation of status as a Federally-recognized Native American Tribe must be included).

Delta States Rural Development Network Grant Program: rural, nonprofit or public entities that represent a consortium of three or more diverse organizations that deliver health care services in eligible rural Delta counties/parishes.

Frontier Extended Stay Cooperative Agreement Program: Rural public or nonprofit private entities that include three or more health care providers that provide or support the delivery of health care services. The administrative headquarters of the organization must be located in a rural county or a rural zip code of an urban county; or an organization is constituted exclusively to provide services to migrant and seasonal farmworkers in rural areas and supported under Section 330G of the Public Health Service Act; or the applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area.

To ascertain rural eligibility, please refer to <http://datawarehouse.hrsa.gov/RuralAdvisor/>. This website can be searched by eligibility by county and by address.

**Beneficiary Eligibility:**

Medically underserved populations in rural areas will receive expanded services in rural communities where they did not previously exist.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee.

Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 6-9 months.

**Appeals:**

Not Applicable.

**Renewals:**

Rural Health Care Services Outreach and Rural Health Network Development awards may be made for up to 3-year project periods. After initial awards, projects may be renewed non-competitively contingent upon approval of an application, availability of appropriated funds, and awardees satisfactory performance.

Rural Health Workforce Development Program awards may be made for up to 3-year project periods. After initial awards, projects may be renewed non-competitively contingent upon approval of application, availability of appropriated funds, and awardees satisfactory performance.

Rural Health Network Planning Awards are available for one year project periods.

The Small Health Care Provider Quality Improvement awards may be up to three year project periods. After initial awards, projects may be renewed non-competitively contingent upon availability approval of an application, availability of appropriated funds, and awardees satisfactory performance.

The Delta States Rural Development Network awards may be up to three year project periods After initial awards, projects may be renewed non-competitively contingent upon availability approval of an application, availability of appropriated funds, and awardees satisfactory performance. The Frontier Extended Stay Clinic award may be up to four year project period. Subject to availability of funds, after initial awards, may be renewed non-competitively contingent upon submission and availability of appropriated funds.

The Frontier Extended Stay Clinic awards are available for one year project periods. Subject to availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. N/A.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually and funds are available to grantees on an as needed basis throughout the budget period. Payments are made through the Payment Management System (PMS) which is the centralized web based payment system for HHS awards. As necessary, grantees can draw down funds from PMS. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. An electronic Federal Financial Report (FFR) is due to the PMS within 30 days of the end of each quarter. An FFR is due to HRSA within 90 days after the close of each budget period via Electronic HandBook (EHB) submission. A performance progress report is submitted with each non-competing continuation application. Grantees will be required to submit a Performance Improvement Measurement System (PIMS) report through the EHB once a year throughout their project period. A final Program report must be submitted to HRSA within 90 after the close of the project period. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$56,000,000; FY 11 est \$56,025,000; and FY 12 est \$56,025,000

**Range and Average of Financial Assistance:**

A maximum of \$150,000 for the first year of funding for the Rural Health Care Services Outreach Grant; A maximum of \$180,000 for the first year of funding for the Rural Health Network Development Grant; A maximum of \$85,000 for funding for the Rural Health Network Development Planning Grant; A maximum of \$200,000 for the first year of funding for the Rural Health Workforce Development Grant; A maximum of \$100,000 for the first year of funding for the Small Health Care Provider Quality Improvement Grant; A maximum of \$510,000 for the Delta States Rural Development Network Grant; A maximum of \$1,500,000 for the Frontier Extended Stay Clinic demonstration.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: ORHP collected data through the PIMS. Fiscal Year 2011: Health Resources and Services Administrations Office of Rural Health Policy is continuing to collecting data through the Performance Improvement Measurement System (PIMS). Through the Outreach grants in FY 2011, approximately 385,000 people were directly served. Fiscal Year 2012: No Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Contacts:

Ms. Kathryn Umali, Rural Health Care Services Outreach Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Leticia Manning, Rural Health Network Development Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05 Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-8335.

Ms. Eileen Holloran, Rural Health Network Development Planning Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05 Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Christina Villalobos, Rural Health Workforce Development Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services

Administration, Room 5A-55, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Ann Ferrero, Small Health Care Provider Quality Improvement Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Valerie Darden Delta States Rural Development Network Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Mr. Aaron Fischbach, Frontier Extended Stay Clinic Demonstration, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05, Parklawn Building, 5600 Fishers Lane, Rockville, MD 29857. Telephone: (301) 443-0835.

**Headquarters Office:**

Office of Rural Health Policy 5600 Fishers Lane, Room 5A-55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

<http://www.hrsa.gov/ruralhealth/>

**RELATED PROGRAMS:**

93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are based on the need of the project, innovation, realistic and measurable goals and objectives, clearly defined roles of each network member, strength of applicant's management plan, community involvement, level of local commitment, costs, and program evaluation plan. Specific criteria will be included in the guidance for each program.

**93.913 GRANTS TO STATES FOR OPERATION OF OFFICES OF RURAL HEALTH**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 338J; 42 U.S.C. 254r, as amended by sec. 301 P.L. 105-392.

**OBJECTIVES:**

The purpose of the State Offices of Rural Health (SORH) grant program is to assist States in strengthening rural health care delivery systems by maintaining a focal point for rural health within each State. The program provides funding for an institutional framework that links small rural communities with State and Federal resources to help develop long-term solutions to rural health problems.

Cooperative Agreement: The purpose of the State Rural Health Coordination and Development Cooperative Agreement (SRHCD-CA) is to enhance the rural health infrastructure in each State by providing guidance and technical assistance to State Offices of Rural Health (SORHs) as well as their partners and to identify and promote best practices. The goals of the SRHCD-CA are 1) to assist in the coordination of health care delivery through the development of State level rural health leadership; and 2) to facilitate partnerships and collaboration at the national and State levels to improve the exchange of information and engage in collaborative activities for supporting rural health.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

This is a matching grant program with States to support the establishment and

ongoing operation of Offices of Rural Health. While a wide range of activities can be conducted to address unique State needs, each State Office of Rural Health must (1) Establish an information clearinghouse, (2) coordinate State and Federal rural health programs throughout the State, (3) provide technical assistance that will improve participation in State and Federal programs, and (4) work to improve availability of health professionals in rural areas.

**Applicant Eligibility:**

Grants: All fifty States may apply. Each State can only submit one application.

Cooperative Agreement: An organization that is national in scope with experience providing coordination and development to enhance the rural health infrastructure in each of the 50 States.

**Beneficiary Eligibility:**

Underserved populations in rural areas; facilities and services in rural areas.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Grantees may request funding beyond an initial project period by submitting a competing continuation application during a regular competing application cycle. All competitive cycles are contingent upon availability of funds for such purposes.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. States must match at least \$1 for each \$3 of Federal funds for the first fiscal year of payments.

For any second fiscal year of payments, States must match at least \$1 for each \$1 of Federal funds.

For any third fiscal year of payments, States must match not less than \$3 for each \$1 of Federal funds provided in the grant.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant applications should be submitted for up to a 5-year project period.

Awards are normally made in a lump sum for an entire 12-month budget period. Payments are made annually either through a letter of credit or cash demand

system. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A financial report (FFR) is required to be submitted to Grants Management within 90 days of the end of the budget period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$450,000; FY 11 est \$450,000; and FY 12 est \$500,000. (Project Grants) FY 10 \$8,200,000; FY 11 est \$8,900,000; and FY 12 est \$8,900,000

**Range and Average of Financial Assistance:**

\$165,000 - \$108,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Contacts: Keith Midberry, Program Coordinator, State Office of Rural Health Grant Program, Office of Rural Health Policy, Health Resources and Services Administration, Public Health Service, Parklawn Building, Room 5A-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2669; E-mail: [kmidberry@hrsa.gov](mailto:kmidberry@hrsa.gov).

**Headquarters Office:**

The Office of Rural Health Policy 5600 Fishers Lane, Room 5A-05, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(Grants) Grant applications will be evaluated on the basis of the following

criteria: (1) The extent to which the application is responsive to the requirements and purposes of the program; (2) the extent to which the applicant has developed measurable goals, objectives, and an evaluation plan for the required, and any discretionary, activities; (3) the extent to which the Office is coordinated with, and has the cooperation of, other health entities and activities within the State; (4) the strength of the applicant's plans for administrative and financial management of the Office; (5) the reasonableness of the budget proposed for the Office; and (6) the likelihood that the Office will be continued after Federal grant support is completed.

(Cooperative Agreement) Applications will be reviewed and rated on the applicant's ability to address the following areas: (1) Developing and disseminating knowledge through the solicitation, review, selection, compilation, and circulation of manuscripts derived from relevant research conducted on rural health issues; (2) organizing, publicizing, and managing meetings to enhance the dissemination of information on rural health care issues, including minority rural health, rural health clinics, and recruitment and retention of health care professionals in rural areas; (3) providing technical and other nonfinancial assistance to State offices of rural health to increase their capability to serve rural residents; (4) developing a network to promote recruitment and retention of health professionals in rural areas; and (5) providing updated information to the public about rural health clinics.

**93.914 HIV EMERGENCY RELIEF PROJECT GRANTS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part A, as amended, Public Law 109-415; Ryan White HIV/AIDS Treatment Extension Act of 2009.

**OBJECTIVES:**

To provide direct financial assistance to eligible metropolitan areas (EMAs) and Transitional Grant Areas (TGAs) that have been the most severely affected by the Human Immunodeficiency Virus (HIV) epidemic to develop, organize and operate programs that provide an effective, appropriate and cost efficient continuum of health care and support services for the individuals and families with HIV disease.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds received under a grant are to be used to fund 75 percent core medical services and 25 percent support services. Core medical services include: outpatient and ambulatory health services, AIDS Drug Assistance Program, AIDS pharmaceutical assistance, oral health care, early intervention services, health insurance premium and cost-sharing for low-income individuals, home health care, medical nutritional therapy, hospice services, home and community-based health services as defined under Section 2614 (c), mental health services, substance abuse outpatient care, and medical case management, including treatment adherence services. Support services that are for individuals with HIV/AIDS to achieve medical outcomes (such as respite care for persons caring for individuals with HIV/AIDS, outreach services, medical transportation, linguistic services and referral for health care and support services). A percentage of the grant, determined by the percentage of women, infants, and children in the area with Acquired Immune Deficiency Syndrome, will be used to provide health and support services to infants, children, and women with HIV disease, including treatment measures to prevent the perinatal transmission of HIV. No more than 10 percent of amounts received under a grant may be used to fund the grantees grant administration and monitoring activities, program support activities and all activities associated with grantee contract award procedures. In addition, sub-grantee/provider level administrative expenses may not exceed 10 percent of aggregate expenditures (without regard to whether particular entities expend more than 10 percent for such administrative expenses). Grantees may use up to 5 percent of funds or \$3 million, whichever is less, for clinical quality management activities to assess the extent to which HIV health services provided to patients under the grant are consistent with the most recent



Department of Health and Human Services guidelines for the treatment of HIV/AIDS. Funds may not be used to supplant or replace the resources of such institutional providers that are already devoted to the support of personnel providing HIV-related services. Funds may not be used to purchase or improve land, or to purchase, construct or make permanent improvement to any building except for minor remodeling. Funds may not be used to make payments to recipients of services.

**Applicant Eligibility:**

Eligible metropolitan areas (EMA) with a population of 50,000 or more individuals for which the Centers for Disease Control and Prevention has reported a cumulative total of more than 2,000 HIV/AIDS cases for the most recent period of 5 calendar years period. EMAs include: Atlanta, Georgia; Baltimore, Maryland; Boston, Massachusetts; Chicago, Illinois; Dallas, Texas; Detroit, Michigan, Ft. Lauderdale, Florida; Houston, Texas; Los Angeles, California; Miami, Florida; New Orleans, Louisiana; New York, New York; Newark, New Jersey; Orlando, Florida; Philadelphia, Pennsylvania; Phoenix, Arizona; San Diego, California; San Francisco, California; San Juan, Puerto Rico; Tampa-St. Petersburg, Florida; Washington, DC; and West Palm Beach, Florida. Transitional Grant areas (TGA) with a population of 50,000 or more individuals for which the Centers for Disease Control and Prevention has reported a cumulative total of at least 1,000, but not more than 1,999 HIV/AIDS cases for the more recent five year period. TGAs include: Austin, Texas; Bergen-Passaic, NJ; ; Cleveland, Ohio; Denver, Colorado; Fort Worth, Texas; Hartford, Connecticut; Jacksonville, Florida; Jersey City, New Jersey; Kansas City, Missouri; Las Vegas, Nevada; Middlesex, New Jersey; Minneapolis, Minnesota; Nassau/Suffolk Counties, New York; New Haven, Connecticut; Norfolk, Virginia; Oakland, California; Orange County, California; Ponce, Puerto Rico; Portland, Oregon; Riverside-San Bernardino, California; Sacramento, California; St. Louis, Missouri; San Antonio, Texas; San Jose, California; and Seattle, Washington.

**Beneficiary Eligibility:**

Individuals and families with HIV disease will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

Two-thirds of the funds available are disbursed on a formula basis as required by the legislation, subject to a completeness review of required information specified in the HRSA funding opportunity issued under this CFDA program. The remaining one-third of available funds are disbursed as a competitive, supplemental grant, based on criteria specified by the legislation. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. In addition, Minority AIDS Initiative (MAI) funds available under Section 2693 are disbursed on a formula basis together with the Formula and Supplemental awards as required by the legislation.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: The formula portion of the grant is determined by the number of living cases of HIV/AIDS in each eligible area as reported to and confirmed by the Centers for Disease Control and Prevention by December 31 for the most recent calendar year for which data is available. However, the legislation permits code-based reporting to HRSA through fiscal year 2012. MAI formula funds are based on the number of reported and confirmed living minority cases of HIV/AIDS for the most recent calendar year and code-based HIV data submitted to HRSA.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details. The legislation requires grantees to maintain, as a Condition of Award, political subdivision expenditures within the eligible area for HIV-related Core Medical Services and Support Services at a level equal to the 1-year period preceding the fiscal year for which the grantee is applying to receive a grant.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 12-month budget period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Annual progress and annual financial reports are required. Annual reports are to be submitted within 90 days after the end of each budget period. The final performance report and final financial status reports are due 90 days from the end of the project period. Reports documenting services and costs will also be required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$679,074; FY 11 est \$679,074; and FY 12 est \$679,074

**Range and Average of Financial Assistance:**

For 2011, \$1,842,887 to \$120,862,018; average = \$12,290,000 (including Formula, Supplemental, and Minority AIDS Initiative funding).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Barbara Aranda-Naranjo, Director, Division of Service Systems, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 7A-55, Rockville, MD 20857. Telephone: (301) 443-6745.

**Headquarters Office:**

Division of Service Systems, 5600 Fishers Lane, Room 7-A55, Rockville, Maryland 20857 Phone: (301) 443-6745.

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

93.917 HIV Care Formula Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for supplemental funds must meet nine criteria set forth in the enacting legislation: (1) Contain a report concerning the dissemination of emergency relief funds and the plan for utilization of such funds; (2) demonstrate need in such area for supplemental financial assistance to combat the HIV epidemic; (3) demonstrate the existing commitment of local resources of the area, both financial and in-kind, to combat the HIV epidemic; (4) demonstrate the ability of the area to utilize such supplemental financial resources in a manner that is immediately responsive and cost-effective; (5) demonstrate that resources will be allocated in accordance with the local demographic incidence of AIDS including appropriate allocations for services for infants, children, women, and families with HIV disease; (6) demonstrate the inclusiveness of the planning council membership, with particular emphasis on affected communities and individuals with HIV disease; (7) demonstrate the manner in which proposed services are consistent with the local needs assessment and the statewide coordinated statement of need; (8) demonstrate the ability of the applicant to expend funds efficiently by not having had, for the most recent Part A formula grant year for which data is available, more than 5 percent of grant funds unobligated at the end of the year, even if a request for carryover was granted; and (9) demonstrate success in identifying individuals with HIV and AIDS, who are unaware of their HIV/AIDS status, and provides a description of the Strategy, Plan, and Data associated with the early identification of these individuals.

**93.917 HIV CARE FORMULA GRANTS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part B, as amended, Public Law 106-415, Ryan White HIV/AIDS Treatment Extension Act of 2009.

**OBJECTIVES:**

To enable States to improve the quality, availability, and organization of health care and support services for individuals and families with Human Immunodeficiency Virus (HIV) disease.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds received under a grant are to be used to fund 75 percent core medical services and 25 percent support services. Core medical services include: outpatient and ambulatory health services, AIDS Drug Assistance Program, AIDS, pharmaceutical assistance, oral health care, health insurance premium, and cost-sharing for low-income individuals, home health care; home and community-based health services, hospice services, early intervention services,

medical nutritional therapy, substance abuse outpatient care, mental health services, and medical case management, including treatment and adherence services. Support services that are for individuals with HIV/AIDS to achieve medical outcomes (such as respite care for persons caring for individuals with HIV/AIDS, outreach services, medical transportation, linguistic services and referral for health care and support services). Funds may be used to establish and operate HIV Care Consortia within areas most affected by HIV disease that shall be designed to provide a comprehensive continuum of care to individuals and families with HIV disease; provide home and community-based care services for individuals with HIV disease; provide assistance to assure the continuity of health insurance coverage for individuals with HIV disease; and provide therapeutics to treat HIV disease to individuals with HIV disease. A State shall use a percentage of the grant, determined by the percentage of infants, children, and women with acquired immune deficiency syndrome in the State, to provide health and support services to infants, children, and women with HIV disease, including treatment measures to prevent the perinatal transmission of HIV. Funds may not be used to purchase or improve land, or to purchase, construct or make permanent improvement to any building except for minor remodeling. Funds may not be used to make payments to recipients of services. A State may not use more than 10 percent of amounts received under this grant for administration, planning and evaluation activities. In addition, sub-grantee/provider level administrative expenses may not exceed 10 percent of aggregate expenditures (without regard to whether particular entities expend more than 10 percent for such administrative expenses). Grantees may use up to 5 percent of funds or \$3 million, whichever is less, for clinical quality management activities to assess the extent to which HIV health services provided to patients under the grant are consistent with the most recent Department of Health and Human Services guidelines for the treatment of HIV/AIDS. If a State receives the minimum allotment, it may not use more than the amount required to support one full-time equivalent employee for these activities. Seventy-five (75) percent of grant funds must be obligated within 120 days of the budget period start date.

**Applicant Eligibility:**

All 50 States of the United States, and the District of Columbia and U.S. Territories (and possessions) of the United States, the Commonwealths of Puerto Rico, Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa and the Republic of the Marshall Islands, Federated States of Micronesia, the Republic of Palau.

**Beneficiary Eligibility:**

Individuals and families with HIV disease.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

Funding is available through several forms: the formula grant funds (Part B Base Formula funds, AIDS Drug Assistance Program (ADAP) earmark and Emerging Communities funds) are disbursed based on legislatively mandated formulas. Supplemental ADAP grants are awarded to states demonstrating severe need for medications. In addition, Minority AIDS Initiative (MAI) funds available under Section 2693 are disbursed on a formula basis together with the formula grant funds as required by the legislation. In a separate, competitive application process, Part B Supplemental funds are disbursed based on criteria specified by the legislation; and all qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Yes.

**Formula and Matching Requirements:**

Statutory Formula: Statutory Formula: The Base Formula, ADAP earmark and Emerging Communities awards are based on the number of reported living cases of HIV/AIDS cases in the State or Territory in the most recent calendar year as confirmed by the Centers for Disease Control and Prevention (CDC). However, the legislation permits HIV code based reporting to HRSA through fiscal year 2012. MAI formula awards are based on the number of reported and confirmed living minority cases of HIV/AIDS for the most recent calendar year and code-based HIV data submitted to HRSA.

Matching Requirements: Varies.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 12-month budget period. Following issuance of the Notice of Grant Awards by HRSA, grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Semiannual progress reports are required. The Financial Status Report is due 90 days following the end of each budget period. A final progress report and financial status report are due 90 days following the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Formula Grants) FY 10 \$1,203,976,183; FY 11 est \$1,283,791,000; and FY 12 est \$0 - FY 10 awards for the Part B program (CFDA 93.917) provided in the above total does not include the ADAP RFI amount of \$24,999,313.

**Range and Average of Financial Assistance:**

For FY 2011, \$50,000 to \$161,769,977 in FY 2011 ; average = \$20,379,488 (including Part B Formula Base, ADAP earmark, Emerging Communities, ADAP Supplemental and Minority AIDS Initiative funding).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current

Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Barbara Aranda-Naranjo, Director, Division of Service Systems, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 7A-55, Parklawn Building, Rockville, MD 20857. Telephone: (301) 443-6745.

**Headquarters Office:**

Division of Service Systems, 5600 Fishers Lane, Room 7-A55, Rockville, Maryland 20857 Phone: (301) 443-6745.

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

93.914 HIV Emergency Relief Project Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grants will be awarded to applicants that submit: (1) An acceptable detailed description of the HIV-related services provided in the State to individuals and families with HIV disease during the year preceding the year for which the grant is requested, and the number of individuals and families receiving such services; (2) a comprehensive plan for the organization and delivery of HIV health care and support services to be funded with assistance received under this part that shall include a description of the purposes for which the State intends to use such assistance; (3) an assurance that the public health agency administering the grant for the State will periodically convene a meeting of individuals with HIV, representatives of grantees receiving both HIV Emergency Relief and HIV CARE Grants, providers, and public agency representatives to develop a statewide coordinated statement of need; and (4) an assurance by the State that: (A) the public health agency that is administering the grant for the State will conduct public hearings concerning the proposed use and distribution of the assistance to be received; and (B) the State will (a) to the maximum extent practicable, ensure that HIV-related health care and support services delivered pursuant to a program established with assistance provided under this part will be provided without regard to the ability of the individual to pay for such services and without regard to the current or past health condition of the individual with HIV disease; (b) ensure that such services will be provided in a setting that is accessible to low-income individuals with HIV disease; (c) provide outreach to low-income individuals with HIV disease to inform such individuals of the services available; (d) for continuum of health insurance coverage, submit a plan to the Secretary that demonstrates that the State has established a program that assures that (d.1) such amounts will be targeted to individuals who would not otherwise be able to afford health insurance coverage; and (2) income, asset, and medical expense criteria will be established and applied by the State to identify those individuals who qualify for assistance under such program, and information concerning such criteria shall be made available to the public; (e) provide for periodic independent peer review to assess that quality and appropriateness of health and support services provided by entities that receive funds from the State; (f) permit and cooperate with any Federal investigations undertaken regarding programs; (g) maintain HIV-related activities at a level that is equal to not less than the level of such expenditures by the State for the 1-year period preceding the fiscal year for which the State is applying to receive a grant; and (h) ensure that grant funds are not utilized to make payments for any item or service to the extent that payment has been made.

## **93.918 GRANTS TO PROVIDE OUTPATIENT EARLY INTERVENTION SERVICES WITH RESPECT TO HIV DISEASE**

### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

### **AUTHORIZATION:**

Sections 2651 and 2693 et seq., of the Public Health Service Act, as amended (42 USC 300ff -51), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (P.L. 111-87).

### **OBJECTIVES:**

To increase the capacity of entities that provide comprehensive primary care services to persons with Human Immunodeficiency Virus (HIV) infection, or who are at-risk of infection, and to offer more early intervention services. The services will include increased counseling and testing, partner involvement in risk reduction, transmission prevention, appropriate primary care diagnostic and treatment services, and, as needed, case-management to ensure that individual service needs are met. A capacity development program provides assistance to organizations wishing to develop an expanded HIV program, particularly in rural and underserved areas and communities of color.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Applications should be designed to improve the availability, accessibility and organization of ambulatory health services to persons infected with HIV or who are at high risk. Funds may not be used for acquiring property, used for inpatient or residential care, and no more than 10 percent of the Federal funds may be used for administrative costs.

### **Applicant Eligibility:**

Eligible applicants are public and private nonprofit entities that are: federally qualified health centers under Section 1905(1)(2)(B) of the Social Security Act; grantees under Section 1001 (regarding family planning ) other than States; comprehensive hemophilia diagnostic and treatment centers; rural health clinics; health facilities operated by or pursuant to a contract with the Indian Health Service; community based organizations, clinics, hospitals and other health facilities that provide early intervention services to those persons infected with HIV/AIDS through intravenous drug use; or nonprofit private entities that provide comprehensive primary care services to populations at-risk of HIV/AIDS, including faith-based and community-based organizations. Capacity development grants require that applicants be public or private non-profit organizations that are or intend to become HIV Primary Care Providers.

### **Beneficiary Eligibility:**

Persons infected with HIV or who are at high risk of HIV infection.

### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

### **Award Procedure:**

All applicants must apply electronically through Grants.gov. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 120 to 180 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula for the amount of the grant. The amount is negotiated based on costs of the proposed grant activities. Grantees are not required to match Federal funds under the grant; however, the level of nonfederal expenditures for early intervention services must be maintained at the level for the year prior to the grant award.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Early Intervention Services grants may be made for up to 5-year project periods. Continued support, beyond the first year, is contingent upon satisfactory performance and the availability of Federal funds. Capacity development grants may be funded at up to \$150,000 for up to 3 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

### **Reports:**

The grantee must submit the annual Ryan White Services Report due the last Monday in March each year, covering the just-ended Jan. 1 - Dec. 31 calendar year. Grantees must also submit an Allocations Report, 60 days after the start of the budget period, and an Expenditures Report due 90 days after the end of the budget period (OMB 0915-0318). No cash reports are required. Grantees must submit a Federal Financial Report on SF 245 within 90 days after the end of the budget period. Additionally, each funded program must submit a budget period renewal progress report each year prior to the end of the budget period. A final financial status report and final performance report must be submitted 90 days after the end of the project period. Expenditure reports are not applicable. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

### **Account Identification:**

75-0350-0-1-550.

### **Obligations:**

(Project Grants) FY 10 \$193,006,485; FY 11 est \$190,576,035; and FY 12 est \$190,576,035 - Project Grants EIS. (Project Grants) FY 10 \$1,842,596; FY 11

est \$1,000,000; and FY 12 est \$1,000,000 - Project Grants - Capacity.

**Range and Average of Financial Assistance:**

\$97,500 to \$1,169,001; \$548,821.

Planning grants are limited to \$50,000

Capacity Development grants are limited to \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. For Early Intervention Services Grants: Robert Settles, Division of Community Based Programs, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 7A-30, Rockville, MD 20857. Telephone: (301) 443-1049. For Capacity Development Grants: Dora Ober at (301) 443-0759 or at the same address as above.

**Headquarters Office:**

Division of Community Based Programs 5600 Fishers Lane, Room 7-A30, Rockville, Maryland 20857 Phone: (301) 443-0493

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluations will be based on (1) Applicant's assessment of community need for additional preventive and primary care services to those with, and at risk for, HIV infection; (2) applicant's ability to describe its role in addressing unmet needs; (3) appropriateness of the proposed budget; (4) comprehensiveness of existing and proposed services; (5) collaboration with other local city, county, State HIV-prevention and treatment activities; and (6) adequacy and completeness of applicant's program evaluation plan.

**93.919 COOPERATIVE AGREEMENTS FOR STATE-BASED COMPREHENSIVE BREAST AND CERVICAL CANCER EARLY DETECTION PROGRAMS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Breast and Cervical Cancer Mortality Prevention Act of 1990, Section 301(a), Section 317(k)(3), and Section 1501, Public Law 101-354; 42 U.S.C.241a, 42 U.S.C. 247b(k)(3), and 42 U.S.C. 300K; Public Law 103-183, . Public Law 101-354, 42 U.S.C 241,247,300.

**OBJECTIVES:**

To work with official State and territorial health agencies or their designees, and tribal health agencies in developing comprehensive breast and cervical cancer early detection programs. To the extent possible, increase screening and follow-up among all groups of women in the State, tribe or territory, with special to reach those women who are of low income, uninsured, underinsured and minority, and Native Americans.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative agreements funds may be used to assure screening of women for breast and cervical cancer as an early detection preventive measure; assure appropriate referrals for follow-up services for women with abnormal screening tests and routine rescreening; develop and disseminate public education and outreach programs for the early detection and control of breast and cervical cancers; improve the education, training and skills of health professionals (including allied health professionals) in the early detection and control of breast and cervical cancers; establish mechanisms through which the States, tribes and territories can monitor the quality of breast and cervical cancer screening procedures in the State, including the interpretation of such procedures; and evaluate program activities through appropriate surveillance and monitoring. Cooperative agreement funds may not be expended for screening and follow-up services to the extent that payment has been made, or can reasonably be expected to be made, with respect to such items or services: (1) under any State compensation program, under any insurance policy or under any Federal or State health benefits program; or (2) by any entity that provides health services on a prepaid basis. Cooperative agreement funds shall not be used for treatment or treatment services. States, tribes and territories are required to make available nonfederal contributions in cash or in-kind toward such cost in an amount equal to not less than \$1 for each \$3 of Federal funds provided. Such contributions may be made directly or through donations from public or private entities. The payment for treatment services or the donation of treatment service may not be used for nonfederal contributions. States, tribes and territories may include only nonfederal contributions in excess of the average amount of nonfederal contributions made by the State, tribe or territory for the two year period preceding the first fiscal year for which the State, tribe or territory is applying to receive a cooperative agreement for a comprehensive breast and cervical cancer early detection program. In making a determination of the amount of nonfederal contributions for purposes of matching fund requirements, applicants may include any nonfederal amounts expended pursuant to Title XIX of the Social Security Act for the purpose of screening and follow-up for women at-risk for breast and cervical cancers. Can not be used for treatment.

**Applicant Eligibility:**

Eligible applicants are the official State health agencies of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, American Samoa, American Indian and Alaska Native tribes and tribal organizations as defined in Section 4 of the Indian Self-Determination and Education Assistance Act.

**Beneficiary Eligibility:**

Official State and Territorial health agencies, women especially low-income women.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe evaluation procedures, identify and describe nonfederal contributions, and provide a budget with justification for funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from Mr. Hector Buitrago in the Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Atlanta, Georgia 30341. Telephone: (770) 488-2921. This program is subject to the provisions of 45 CFR 92 for State and local

governments. The standard application forms, as furnished by PHS and required by 45 CFR 92 must be used for this program.

**Award Procedure:**

In the competitive year one and after objective review and approval, a notice of award is prepared and processed, along with appropriate notification to the public. For non-competitive continuation years, after review and approval on the Interim Progress Report (IPR), a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 3 to 4 months.

**Appeals:**

None.

**Renewals:**

Information on renewals may be obtained from Sylvia Dawson, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Atlanta, GA 30341; Telephone: (770) 488-2777.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 35%. Public Law 101-354 requires States, tribes and territories to make available nonfederal contributions (cash or in-kind) toward such costs in an amount equal to not less than \$1 of matching for every \$3 of Federal dollars provided in this cooperative agreement. Such contributions may be made directly or through donations from public or private entities. Payment for treatment services or the donation of treatment services may not be used for nonfederal contributions. States, tribes and territories may include only nonfederal contribution in excess of the average amount of nonfederal contributions made by the State, tribe or territory for the two year period preceding the first fiscal year for which the State, tribe or territory is applying to receive a cooperative agreement for a comprehensive Breast and cervical cancer early detection program.

This program has MOE requirements, see funding agency for further details. The average amount of non-Federal contributions toward breast and cervical cancer programs and activities for the two year period preceding the first Federal fiscal year of funding for NBCCEDP is referred to as Maintenance of Effort (MOE). Only those non-Federal contributions in excess of the MOE amount may be considered matching funds. Supplanting, or replacing, existing program efforts currently paid with Federal or non-Federal sources is not allowable.

**Length and Time Phasing of Assistance:**

From 1 to 5 years. Budget period is 12 months. Assistance is awarded through the Payment Management System (PMS). Method of awarding/releasing assistance: lump sum.

**Reports:**

Interim Progress Reports (IPR) are due on or about January 30 of each year and Annual Progress Report are due 90 days after the end of the budget period. Grantees must address fiscal progress in the IPR & Annual Reports. Financial status reports (FSRs) are due 90 days after the end of the budget period. Interim Progress Reports (IPR) are due on or about January 30 of each year and Annual Progress Report are due 90 days after the end of the budget period. Final performance and FSRs are due no more than 90 days after the end of the project period. Final performance and FSRs are due no more than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative

agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$161,275,085; FY 11 est \$157,004,000; and FY 12 est \$155,725,000

**Range and Average of Financial Assistance:**

\$233,558 to \$8,303,092; \$2,350,379.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In fiscal 2010, the Centers for Disease Control and Prevention (CDC) completed the 20th year of the National Breast and Cervical Cancer early Detection Program (NBCCEDP). This landmark Program brings critical breast and cervical cancer screening services to underserved women, including older women, women with low income, and women of racial and ethnic minority groups. CDC plans to continue support of programs in all 50 states, 5 US territories, the District of Columbia, and 12 Tribes/Tribal Organizations. Fiscal Year 2011: In fiscal 2011, the Centers for Disease Control and Prevention (CDC) will enter into the 21st year of the National Breast and Cervical Cancer early Detection Program (NBCCEDP). This landmark Program brings critical breast and cervical cancer screening services to underserved women, including older women, women with low income, and women of racial and ethnic minority groups. CDC plans to continue support of programs in all 50 states, US territories, the District of Columbia, and Tribes/Tribal Organizations. Fiscal Year 2012: In fiscal 2012, the Centers for Disease Control and Prevention (CDC) will enter into the 22nd year of the National Breast and Cervical Cancer early Detection Program (NBCCEDP). This landmark Program brings critical breast and cervical cancer screening services to underserved women, including older women, women with low income, and women of racial and ethnic minority groups. CDC plans to continue support of programs in all 50 states, US territories, the District of Columbia, and Tribes/Tribal Organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are no regulations, but guidelines are available. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, applies to cooperative agreements. Public Law 101-354 (August 10, 1994) places specific requirements on monies from this law which are to be used for funding State-based breast and cervical cancer early detection programs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Faye L Wong, 4770 Buford Highway, Mailstop K57, Atlanta, Georgia 30341  
Email: FWong@cdc.gov Phone: (770) 488-4880 Fax: (770) 488-3230.

**Website Address:**

<http://www.cdc.gov/cancer>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grantees provided screening and follow-up for low income women. State health agencies will incorporate into their health care system: (1) Public Education: (a) population targeted for screening and follow-up services; (b) for women (other than low income) requiring periodic screening and follow up services; (2) Professional Education: (a) practitioners providing screening and follow-up services for targeted low income women; (b) for all practitioners who will provide or refer women (other than low income) for required periodic screening and follow-up services (3) quality assurance: (a) mammography; (b) cervical cytology; (4) surveillance: (a) breast and cervical cancer incidence

registry; (b) tracking and follow-up system; (5) evaluation: (a) implementation of all program components; (b) effectiveness of all program components; and (6) breast and cervical cancer control plan and coalition. Fiscal Year 2011: In addition to providing screening and follow-up for low income women, State health agencies incorporate into their health care system: (1) Public Education: (a) population targeted for screening and follow-up services; (b) for women (other than low income) requiring periodic screening and follow up services; (2) Professional Education: (a) practitioners providing screening and follow-up services for targeted low income women; (b) for all practitioners who will provide or refer women (other than low income) for required periodic screening and follow-up services (3) quality assurance: (a) mammography; (b) cervical cytology; (4) surveillance: (a) breast and cervical cancer incidence registry; (b) tracking and follow-up system; (5) evaluation: (a) implementation of all program components; (b) effectiveness of all program components; and (6) breast and cervical cancer control plan and coalition. Fiscal Year 2012: At this time, it is assumed that grantees will continue to provide screening and follow-up for low income women, State health agencies will incorporate into their health care system: (1) Public Education: (a) population targeted for screening and follow-up services; (b) for women (other than low income) requiring periodic screening and follow up services; (2) Professional Education: (a) practitioners providing screening and follow-up services for targeted low income women; (b) for all practitioners who will provide or refer women (other than low income) for required periodic screening and follow-up services (3) quality assurance: (a) mammography; (b) cervical cytology; (4) surveillance: (a) breast and cervical cancer incidence registry; (b) tracking and follow-up system; (5) evaluation: (a) implementation of all program components; (b) effectiveness of all program components; and (6) breast and cervical cancer control plan and coalition.

#### **CRITERIA FOR SELECTING PROPOSALS:**

(1) Extent of disease burden and need; (2) feasibility and appropriateness of operational plan to meet the purpose of the cooperative agreement; (3) the extent of collaboration and community involvement; (4) the extent to which the applicant appears likely to succeed in implementing proposed objectives; (5) the appropriateness of nonfederal contributions; and (6) the extent to which the budget is reasonable, consistent with the intended use of cooperative agreement funds, and includes evidence of the State's commitment to the program application of financial and/or in-kind contributions from nonfederal sources to activities of the proposed program.

#### **93.923 DISADVANTAGED HEALTH PROFESSIONS FACULTY LOAN REPAYMENT (FLRP) AND MINORITY FACULTY FELLOWSHIP PROGRAM (MFFP)**

FLRP/MFF

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Title VII, Section 738(b) of the Public Health Service Act (42 U.S.C. 738 [293b]), as amended by P.L. 105-392.

#### **OBJECTIVES:**

The purpose of the Minority Faculty Fellowship Program is to assist eligible entities in increasing the number of under-represented minority faculty at health professions schools. The applicant school shall demonstrate its ability to: (1) identify, recruit, and select under-represented minority individuals who have potential for teaching, administration, or conducting research at health professions schools; (2) provide such individuals with the skills necessary to enable them to: (a) secure a tenured faculty position, or its equivalent, according to the policies of the school; (b) learn pedagogical skills and program administration; (c) design and conduct research; (d) write grants; and (e) prepare articles suitable for publication in peer reviewed journals; (3) provide services designed to assist such individuals in their preparation for an academic career, including provision of counselors; and 4) enable the fellow to provide health services to rural and/or medically underserved populations.

#### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Faculty Loan Repayment Program (FLRP) - Funds will be used to repay qualifying health professions educational loans consisting of principal and interest on loans incurred by the applicant while enrolled in a school in return for serving a minimum of least 2 years as a full-time or part-time faculty member at one of the following accredited health profession schools: medicine, nursing, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, public health, or a school that offers a graduate program in clinical psychology, and certain allied health programs.

Minority Faculty Fellowship Program (MFFP) - To be able to receive an MFFP grant under section 738 (b) of the Public Health Service Act, an entity should provide an assurance in the application that each fellowship awarded will include: (1) a stipend in an amount not exceeding 50 percent of the regular salary of a faculty member not to exceed 3 years of training; and (2) an allowance for other expenses such as travel to professional meetings and costs related to specialized training.

#### **Applicant Eligibility:**

FLRP - Individuals who are from disadvantaged backgrounds.

MFFP - Eligible applicants are accredited health professions schools of allopathic and osteopathic medicine, nursing, dentistry, veterinary medicine, optometry, allied health, public health, podiatric medicine, pharmacy, and schools offering graduate programs in behavioral and mental health. To be eligible to receive the grant the applicant shall: (1) provide assurance that such applicant will make available (directly through cash donations) \$1 for every \$1 of Federal funds received under section 738 of the Public Health Service Act; (2) provide an assurance that institutional support will be provided for the individual for the second and third year at a level that is equal to the total amount of institutional funds provided in the year in which the grant or contract was awarded; (3) provide an assurance that the individual that will receive the fellowship will be a member of the faculty of the applicant school; and (4) provide an assurance that the individual that will receive the fellowship will have, at a minimum, appropriate advanced preparation (such as a master's or doctoral degree) and special skills necessary to enable such individuals to teach and practice.

#### **Beneficiary Eligibility:**

FLRP - Individuals who are from disadvantaged backgrounds.

MFFP - Fellowship recipients must meet the following conditions: (1) must fall under the definition of underrepresented minority individuals' (URM). URM is defined as racial and ethnic populations who are under-represented in the designated health profession discipline relative to the number of individuals who are members of the population involved. This definition would include Black or African American, American Indian or Alaska Native, Native Hawaiian or Other Pacific Islander, Hispanic or Latino, and any Asian other than Chinese, Filipino, Japanese, Korean, Asian Indian or Thai; and (2) must be a U.S. citizen, non-citizen national, or foreign national who possesses a visa permitting permanent residence in the United States, except in the case of programs specifically designed for support of foreign nationals. Individuals on temporary or student visas are not eligible to receive PHS fellowship or training grant support.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

#### **Award Procedure:**

FLRP - FLRP awards are based on a percentage of the eligible applicant's total

debt. Payments are made to individuals via electronic direct deposit.  
MFFP - Based upon the availability of funds, Notice of Grant awards are issued to the eligible schools which in turn distribute the awards to the fellow(s).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Four to six months following receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 50%. Percent: 50% FLRP - The employing institution is required for each year of service to make payments in an amount equal to the amount of principal and interest payments made by the Secretary. These payments must be in addition to the recipients salary the individuals otherwise would receive. However, the Secretary may waive this requirement if it is determined that it would impose an undue financial hardship on the institution involved. A consideration for waiver will be based on required documentation submitted by the institution which must include financial statements to support hardship.

MFFP: Applicants must: (1) provide assurance that such applicant will make available (directly through cash donations) \$1 for every \$1 of Federal funds received under section 738 of the Public Health Service Act; (2) provide an assurance that institutional support will be provided for the individual for the second and third year at a level that is equal to the total amount of institutional funds provided in the year in which the grant or contract was awarded; (3) provide an assurance that the individual who will receive the fellowship will be a member of the faculty of the applicant school; and (4) provide an assurance that the individual who will receive the fellowship will have, at a minimum, appropriate advanced preparation (such as a master's or doctoral degree) and special skills necessary to enable such individuals to teach and practice. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

FLRP - Assistance is available during the time specified in the contract.

MFFP support is limited to a 3-year project period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

FLRP - Awards are based on a percentage of the eligible applicant's total debt. Payments are made to individuals via electronic direct deposit.

**Reports:**

FLRP recipients are required to annually provide documentation demonstrating that funds were used to repay educational loans. No cash reports are required. Grantees are required to submit a Uniformed Progress Report annually to the Division of Diversity and Interdisciplinary Education, Bureau of Health Professions. No expenditure reports are required. Limited performance monitoring is required. No cash reports are required. FLRP recipients are required to annually provide documentation demonstrating that funds were used to repay educational loans. No cash reports are required. Grantees are required to submit a Uniformed Progress Report annually to the Division of Diversity and Interdisciplinary Education, Bureau of Health Professions. No expenditure reports are required. Limited performance monitoring is required. No expenditure reports are required. FLRP recipients are required to annually

provide documentation demonstrating that funds were used to repay educational loans. No cash reports are required. Grantees are required to submit a Uniformed Progress Report annually to the Division of Diversity and Interdisciplinary Education, Bureau of Health Professions. No expenditure reports are required. Limited performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - FLRP. (Project Grants) FY 10 \$56,825; FY 11 est \$0; and FY 12 est \$0 - MFFP.

**Range and Average of Financial Assistance:**

FLRP - \$5,548 to \$63,400; \$36,281 (average award for FY 06 including funds for award tax liability); \$17,530 to \$55,600; \$49,767.49 (average award for FY 07 including funds for award tax liability); \$49,297.43 (average award for FY08 including funds for award tax liability).

One MFFP award was made in FY 2010 for \$56,825. No awards were made in FY 2011. It is estimated that there will be no awards in FY 2012.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact for the Faculty Loan Repayment Program: Chrissy Herald, National Health Service Corps Loan Repayment Branch, Division of Applications and Awards, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Parklawn Building, Room 8-37, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (800) 221-9393 or (301) 443-4419.

**Headquarters Office:**

Violet Woo, 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857  
Phone: (301) 443-8032.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**



FLRP - The applicant will be rated on the extent to which the individual meets the intent of the program to expand disadvantaged representation in health professions faculty positions.

**MFFP:**

Overview: The health professions school should provide information that adequately documents the need and data relative to the school's experience and ability to identify, recruit, select and train underrepresented minority faculty. In addition to teaching, acquiring administrative skills and conducting research, the fellow must also provide health care services, especially as a means of meeting community needs for reducing barriers to health care services to rural or underserved populations. The application should also include a discussion of how the development of underrepresented minority faculty, through use of the fellowship program, will enhance the participant's academic career potential and community service abilities.

Review Criteria are used to review and rank applications. The Minority Faculty Fellowship Program has 6 review criteria:

(1) Need: This includes the extent to which the application describes the problem (e.g. lack of Minority Faculty), and associated factors contributing to this problem.

(2) Response: (a) Faculty Recruitment: This includes the extent to which the school demonstrates that it has the commitment and ability to identify, recruit, and select underrepresented minority individuals who have the potential for teaching, administration, and/or conducting research at a health professions institution; and (b) Faculty Development: This includes the extent to which the schools faculty training program will provide the fellow with the preparation, training, and skills needed to secure a tenured faculty position. The Faculty Development Plan should include the provision of counselors and protected time for research and faculty development. Training may include: pedagogical skills, including teaching experience; program administration; grant writing; research methods and design; and preparation of articles suitable for publication in peer reviewed journals.

(3) Impact: Faculty Training in Providing Health Service - This includes the extent to which the Fellow is available to provide health services to rural or medically underserved populations.

(4) Resources/Capabilities: This includes the extent to which project personnel are qualified by training and/or experience to implement and carry out projects. This includes the capabilities of the applicant organization; and the quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project.

(5) Support Requested: This includes the extent to which the overall budget, including non-trainee expenses, is cost effective, reasonable, and consistent with the stated objectives and proposed activities. Expenditures are well justified and in-kind contributions are documented.

(6) Evaluative Measures: This includes the methodology that will be used to monitor and evaluate the project results. Evaluative measures must be able to assess to what extent the program objectives have been met.

**93.924 RYAN WHITE HIV/AIDS DENTAL REIMBURSEMENTS  
COMMUNITY BASED DENTAL PARTNERSHIP**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title XXVI of the Public Health Service Act, Section 2692(b) (42 U.S.C. 300ff-111); as amended by P.L. 111-87, the Ryan White HIV/AIDS Treatment Extension Act of 2009.

**OBJECTIVES:**

Dental Reimbursement compensate dental schools, postdoctoral dental education programs, and dental hygiene education programs for unreimbursed costs they have incurred in providing oral health services to patients with

Human Immunodeficiency Virus or Acquired Immune Deficiency Syndrome (HIV/AIDS). Reimbursement will be made for documenting the number of patients with HIV/AIDS treated and uncompensated costs incurred providing oral health services to them. Community Based Dental Partnership aims to increase access to oral health care services for HIV positive individuals, while at the same time providing education and clinical training for dental and hygiene providers, located in community-based settings. This is achieved through multi-partner collaborations between dental and dental hygiene education programs and community-based dentist and dental clinics, marked by shared expertise and resources.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants (with Formula Distribution)

**USES AND USE RESTRICTIONS:**

Funds are restricted to dental schools, postdoctoral dental education programs, and dental hygiene education programs which submit an application documenting unreimbursed costs of oral health care provided to patients with HIV/AIDS.

**Applicant Eligibility:**

Applicants are limited to dental schools and programs, that were described in 777(b)(4)(B) Public Health Service Act as such section was in effect on the day before the date of the enactment of the Health Professions Partnerships Education Act of 1998 (Public Law 105-392) [postdoctoral dental education program means a program sponsored by a school of dentistry, a hospital, or a public or private institution that offers postdoctoral training in the specialties of dentistry, advanced education in general dentistry, or a dental general practice residency]. In addition, dental hygiene programs that are accredited by the Commission on Dental Accreditation are also eligible.

Applicants must be located in the 50 United States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa or the Federated States of Micronesia, the Republic of the Marshall Islands and the Republic of Palau.

**Beneficiary Eligibility:**

Persons living with HIV/AIDS infection.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Reimbursement of uncompensated costs incurred in the prior year.  
Community-Based Dental Partnership grants may be made for up to five-year project periods. Continued support beyond the first year is contingent upon satisfactory performance and the availability of Federal funds. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$9,222,208; FY 11 est \$9,641,803; and FY 12 est \$9,641,803 - Dental Reimbursement Program. (Project Grants (with Formula Distribution)) FY 10 \$3,790,119; FY 11 est \$3,158,427; and FY 12 est \$3,790,119 - Community Based Dental Partnership Program.

**Range and Average of Financial Assistance:**

Dental Reimbursement: \$76 to \$1,003,417; \$172,175.  
Community-Based Dental Partnership grants: \$184,748 to \$403,042; \$277,713.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Dora Ober, Division of Community Based Programs, HIV/AIDS Bureau, Health Resources and Services Administration, Parklawn Building, Room 7A-30, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0759.

**Headquarters Office:**

Mahyar Mofidi 5600 Fishers Lane, Room 7-A30, Rockville, Maryland 20857  
Phone: (301) 443-2075

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Those dental schools, postdoctoral dental education programs and dental hygiene education programs, that submit applications documenting unreimbursed costs of oral health care provided to patients with HIV/AIDS and show evidence of efforts to establish working relations with HIV care consortia and planning councils, AIDS Education and Training Centers, Title I, Title II, III, IV, Community-Based Dental Partnership, and Special Projects of National Significance programs authorized under Public Law 109-415. Applicants for the Community Based Dental Partnership are reviewed by an objective review committee based on the following criteria: Need, Response, Evaluative Measures, Impact, Resources/Capabilities, and Support Requested.

**93.925 SCHOLARSHIPS FOR HEALTH PROFESSIONS STUDENTS FROM DISADVANTAGED BACKGROUNDS**

Scholarships for Disadvantaged Students (SDS)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Section 737 of the Public Health Service Act (42 U.S.C. 293a), as amended by the Patient Protection and Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

Promotes diversity among health professions students and practitioners by providing grants to eligible health professions and nursing schools for use in awarding scholarships. Eligible health professions and nursing schools apply for funds to provide scholarships to students from disadvantaged and underrepresented racial and ethnic backgrounds who have financial need for scholarships and are enrolled, or accepted for enrollment, as full-time students at the schools. The purpose is to provide entrance into a career as a health professional to help diversify the health workforce and ensure culturally effective care and reduce health disparities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

SDS funds awarded to schools must be used to award full or partial scholarships to eligible students enrolled in health professions programs on a full-time basis. Scholarships may only be expended for tuition expenses, other reasonable educational expenses, and reasonable living expenses incurred while in attendance for the year. The Secretary is required to make available at least 16 percent of the funds to schools that will provide scholarships only for nursing students. Schools are required to agree that, in providing scholarships under this program, preference shall be given to students from disadvantaged backgrounds for whom the costs of attending the school would constitute a severe financial hardship and disadvantaged students. The Secretary may not make a grant to a school unless the school is carrying out a program for recruiting and retaining students from disadvantaged backgrounds and have met the eligibility criteria of demonstrating the success of outcome measures.

**Applicant Eligibility:**

Accredited public or private nonprofit schools of allopathic medicine, nursing, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, chiropractic, allied health, or schools offering graduate programs in public health, behavioral and mental health or physician assistants.

- 1) At least 10 percent of the total enrollment (full-time enrolled) of a program during the specified academic year must be students from disadvantaged backgrounds; and
- 2) At least 10 percent of the total graduates (who were full-time students) of a program during the specified academic year must have been from disadvantaged backgrounds; and
- 3) A school must have at least one full-time economically disadvantaged student enrolled and graduated during the specified academic year.

**Beneficiary Eligibility:**

Students who are citizens, nationals, or lawful permanent residents of the United States or the District of Columbia, the Commonwealths of Puerto Rico or the Mariana Islands, the Virgin Islands, Guam, the American Samoa or the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, the Federated States of Micronesia; and enrolled full-time in health professions or nursing schools.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Annual applications are required for all schools.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each scholarship award is made for 1 year. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. The Scholarships for Disadvantaged Students Performance Report (SDSPR) must be submitted 45 days after the end of the budget period through electronic submission, at <http://www.grants.hrsa.gov/webexternal/home.asp>. In addition, a financial status report must be submitted 90 days after the end of each budget period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$45,742,573; FY 11 est \$45,228,069; and FY 12 est \$45,228,069

**Range and Average of Financial Assistance:**

\$1,000 to \$650,000 Average \$ 133,416.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: For Fiscal Year 2010, awards were made to 308 health professions and nursing schools. For FY 2011, awards were made to 339 health professions and nursing schools. Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Andrea Stampone, Division of Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Parklawn Building, Room 9-105, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-4776. Use the same numbers for FTS.

**Headquarters Office:**

Andrea Stampone 5600 Fishers Lane, Room 9-105, Rockville, Maryland 20857 Phone: (301) 443-4776

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program; 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing Student Loans; 93.407 ARRA - Scholarships for Disadvantaged Students; 93.908 Nursing Education Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness, accuracy, and to determine if applicant schools meet minimum program requirements.

**93.926 HEALTHY START INITIATIVE**

Healthy Start

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title III, Part D, Section 330H of the Public Health Service Act, (42 U.S.C.254c-8).

**OBJECTIVES:**

To eliminate disparities in perinatal infant and maternal health by: enhancing a community's health care infrastructure and service system and a State's infrastructure; and directing resources and interventions to improve access to,

utilization of, and full participation in comprehensive perinatal and women's health services, particularly for women and infants at higher risk for poor health outcomes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Every Healthy Start project implements community-driven approaches to address infant mortality rates by reducing maternal behavioral and medical risk factors and promoting healthy outcomes for women and their families. Beginning with prenatal care and continuing through the infant's second year of life, each community awarded funds assures the availability of a core set of services and activities for the perinatal population in their project area. These services include case management, home visiting and links to health care and other needed services for mothers and their infants; direct outreach and peer mentoring by trained community members; screening and referral for perinatal/postpartum depression; and strong coordination with and access to substance abuse, domestic violence, mental health, early intervention, parenting and other critical services for high-risk women and families. In addition, each Healthy Start project is required to have a community-based consortium composed of individuals and organizations and that includes women and families served by their project, to collaborate with their State Title V (MCH) Agency, and to implement a local health system action plan to improve the quality, cultural competence of and access to services and/or to address other problems in the local system of care. Funds may not be used to supplant currently funded activities/services.

**Applicant Eligibility:**

Urban and rural communities with significant disparities in perinatal health, and States with need to build their infrastructure/capacity to address and support those communities trying to achieve the goals of the Healthy Start program. Eligible applicants are any public or private entity, including an Indian Tribe or tribal organization (as those terms are defined at 25 U.S.C. 450b). Community-based organizations, including faith-based organizations are eligible to apply.

**Beneficiary Eligibility:**

Service area residents, particularly women and infants in areas with significant perinatal health disparities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made approximately 166 days after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory progress report .

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods vary depending on specific grant announcement with non-competing continuation awards made on an annual basis for up to 5 years depending on satisfactory progress and subject to the availability of funds. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Reports. No cash reports are required. Federal Financial Report (FFR). No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$99,337,149; FY 11 est \$98,110,756; and FY 12 est \$98,110,000

**Range and Average of Financial Assistance:**

Based on FY10: \$48,000-2,350,000; \$906,065.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In contrast to the total national infant mortality rate in 2009 of 6.42 per 1000 live births, Healthy Start participants infant mortality rate was 6.0 per 1000 live births. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Director, Division of Healthy Start and Perinatal Services, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18-12, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0543.

**Headquarters Office:**

Director, Division of Healthy Start and Perinatal Services 5600 Fishers Lane, Room 18-12, Rockville, Maryland 20857 Phone: (301) 443-0543

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

See the funding opportunity announcement to obtain specific program grant guidance.

**93.928 SPECIAL PROJECTS OF NATIONAL SIGNIFICANCE**

SPNS

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XXVI, Part F, as amended, Public Law 109-415; Ryan White HIV/AIDS Treatment Modernization Act of 2006.

**OBJECTIVES:**

To quickly respond to emergency needs of individuals receiving assistance under the Ryan White program; and to fund special programs to develop a standard electronic client information data system to improve the ability of grantees under the Ryan White program to report client-level data the Secretary.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Special Projects of National Significance (SPNS) is a component of the Ryan White program, funded as Part F of the Ryan White HIV/AIDS Treatment Extension Act of 2009 (P.L. 111-87) and administered through the Health Resources and Services Administration, HIV/AIDS Bureau, (HAB) Division of Science and Policy. SPNS legislative mandate is to quickly respond to the emerging needs of individuals receiving assistance under the Ryan White programs by supporting the development of innovative delivery models of HIV care and services. SPNS evaluates the effectiveness of these models, and promotes the replication of successful models. Areas of evaluation include design, implementation, utilization, costs, and health related outcomes of effective models. The SPNS Program also supports special programs to develop standard electronic client information data systems to enable Ryan White Program grantees to report client level data. Proposals are expected to adequately define and justify the needs, innovative nature, and evaluation methodology of the proposed model of services. Funds shall be used to create and/or evaluate innovative models of HIV care that would likely not exist nor be evaluated without SPNS Program support, or that would extend the care model to previously underserved or uninsured populations. Funds under the SPNS Program cannot be used for: charges that are billable to third party payers (e.g., private health insurance, prepaid health plans, Medicaid, Medicare); construction of new facilities or capital improvements to existing facilities; to purchase or improve land; cash payments to intended service recipients, as opposed to various incentives to encourage participation in evaluation activities.

**Applicant Eligibility:**

Academic institutions, non-profit organizations including faith-based organizations, and those eligible for funding under Parts A-D authorized by Title XXVI of the Public Health Service (PHS) Act as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (Ryan White Program). Additionally, the District of Columbia, the Commonwealth of Puerto Rico, the Territories of the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of Palau, the Federated States of Micronesia, and the Republic of the Marshall Islands are also eligible to apply

for these funds.

**Beneficiary Eligibility:**

Adults, women, children and families with HIV disease.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will generally be awarded with 60-month project periods and five 12-month budget periods; some grants may have more limited 12, 24 or 36 month project periods. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A final progress report is due 90 days after the end of the project period. In addition, a Financial Report is due within 90 days after the close of each budget period and after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$25,000,000; FY 11 est \$25,000,000; and FY 12 est \$25,000,000

**Range and Average of Financial Assistance:**

\$25,000 to \$550,000; \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010: there were 45 continuation grants and 43 new grant awards. Fiscal Year 2011: FY11 there will be 38 continuation grants and 37 new grant awards. Fiscal Year 2012: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Adan Cajina, Chief, Demonstration and Evaluation Branch, Division of Science and Policy, HIV/AIDS Bureau, Health Resources and Service Administration, 5600 Fishers Lane, Room 7C-07, Rockville, MD 20857. Telephone Number: (301) 443-3180.

**Headquarters Office:**

Demonstration and Evaluation Branch 5600 Fishers Lane, Room 7-C07, Rockville, Maryland 20857 Phone: (301) 443-3180

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.917 HIV Care Formula Grants; 93.918 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The Special Projects of National Significance Hepatitis C Treatment Expansion Initiative awarded funds to implement and evaluate successful HCV treatment modalities within Ryan White-funded HIV medical care settings. Funds will be available for up to two years to support organizations funded under the Ryan White Program to implement and evaluate interventions designed to provide Hepatitis C (HCV) treatment in the context of Ryan White-funded HIV primary care. HCV treatment is currently underutilized due to both resource and capacity issues. In order to expand HCV treatment, successful applicants must incorporate HAB identified clinical treatment settings and program components in their interventions. A national Evaluation and Technical Assistance Center (ETAC) will be funded to provide clinical and technical support to the demonstration sites. Fiscal Year 2011: The Special Projects of National Significance Health Information Technology Capacity Building Initiative for Ryan White HIV/AIDS Program AIDS Drug Assistance Program (ADAP) grantees will support Ryan White Part B grantees in building capacity in their Health Information Technology (HIT) systems to report client level data for recipients of AIDS Drug Assistance Program (ADAP) services. ADAP provides medications for the treatment of HIV disease, and ADAP funds may also be used to purchase health insurance for eligible clients and for services that enhance access to, adherence to, and monitoring of drug treatments. The program is funded through Part B of the Ryan White HIV/AIDS Treatment Extension Act of 2009 which provides grants to States and Territories. ADAP grants are awarded to all 50 States, the District of Columbia, Puerto Rico, Guam, the U.S. Virgin Islands, and the

Pacific Jurisdictions. Fiscal Year 2012: The Special Projects of National Significance program intends to announce the availability of funding for three initiatives: Integrated HIV Care, Mental Health and Substance Abuse Treatment for HIV-positive Homeless Populations; Enhancing Access to and Retention in Quality HIV Care for Transgender Women of Color; and Health Information Technology Capacity Building Initiative for Ryan White HIV/AIDS Program Providers.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation criteria vary and are based on the grant initiative. However, evaluation criteria generally include some or all of the following: Factor 1: Adequacy of demonstrated knowledge of the local HIV service delivery system and the adequacy of the justification of need for the proposed model within the community and target population to be served by the project. Factor 2: Extent of the feasibility and clarity of the description, appropriateness, innovative quality, and potential for evaluation, replication, and dissemination of the proposed model. Factor 3: Comprehensiveness of the program plan as described in clearly stated goals, time-limited and measurable objectives for each goal, activities directly related to each objective, and a timeline that shows the schedule of activities and production of materials that corresponds to milestones stated in the objectives and program evaluation. Factor 4: Thoroughness, feasibility and appropriateness of the project's evaluation design from a methodological and statistical perspective. Factor 5: Extent to which the applicant demonstrates past involvement with disseminating information about HIV service delivery by describing dissemination activities to date (e.g., presenting and publishing findings through reports and papers, training, or technical assistance). Factor 6: Competency of the applicant organization in terms of fiscal, program management, and evaluation.

**93.932 NATIVE HAWAIIAN HEALTH SYSTEMS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Native Hawaiian Health Care Improvement Act (42 USC 11705 and 11706), Public Law 102-396, as amended by P.L. 111-148, Section 10221.

**OBJECTIVES:**

To raise the health status of Native Hawaiians living in Hawaii to the highest possible level through the provision of comprehensive health promotion and disease prevention services, as well as primary health services, and to provide existing Native Hawaiian health care programs with all resources necessary to effectuate this policy.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The services of this program include outreach, health promotion, disease prevention, and primary health care services. These services will attempt to integrate traditional health concepts with western medicine so that existing barriers to health care can be removed. It is anticipated that the various components will be integrated into one comprehensive system of care and that the existing health resources of the community will be used to the greatest extent possible.

**Applicant Eligibility:**

Eligible entities include Papa Ola Lokahi and the "Native Hawaiian Health Care Systems." The term Native Hawaiian health care system is defined as an entity: (1) which is organized under the laws of the State of Hawaii; (2) which provides or arranges for health care services through practitioners licensed by the State of Hawaii, where licensure requirements are applicable; (3) which is a public or nonprofit private entity; (4) in which Native Hawaiian health practitioners significantly participate in the planning, management, monitoring, and evaluation of health care services; and (5) which is recognized by Papa Ola Lokahi (a consortium of Hawaiian and Native Hawaiian organizations) for the purpose of planning, conducting, or administering programs or portions of programs, authorized by this act for the benefit of Native Hawaiians, and is certified by Papa Ola Lokahi as having the qualifications and the capacity to provide the services and meet the requirements of this Act for the benefit of

Native Hawaiians.

**Beneficiary Eligibility:**

Hawaiian Natives will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. Applicants are required to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Same as application procedure.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Grants may not be awarded unless the entity agrees that it will make available, directly or through donations to the entity, nonfederal matching funds in an amount not less than \$1 for every \$5 of Federal funds provided. Nonfederal contributions may be in cash or in kind, fairly evaluated, including plant, equipment, or services. Amounts provided by Federal government or services assisted or subsidized to any significant extent by the Federal Government may not be included in determining the amount of such nonfederal contributions. The match requirements may be waived if the Secretary determines, in consultation with Papa Ola Lokahi, that it is not feasible for the entity to comply with the requirement. Grant funds may not be used to pay for (1) inpatient services; (2) cash payments to intended recipients of health services; or (3) purchasing or improving real property (other than minor remodeling of existing improvements to real property) or to purchase major medical equipment. The entity may not expend more than 10 percent of amounts received under the grant for administering the grant. Other requirements and limitations are set forth in Public Law 102-396. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Budget periods are for one year. Project periods are for one year. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

For each budget period during which an entity receives or expends funds pursuant to a grant under this program, such entity shall submit to the Secretary and Papa Ola Lokahi a report on: (1) Activities conducted by the entity under

the grant; (2) the amounts and purposes for which Federal funds were expended, including a Federal Financial Report; and (3) such other information as the Secretary may request. The records and reports of any entity which concern any grant or contract under this program shall be subject to audit by the Secretary, the Inspector General of Health and Human Services, and to the Comptroller General of the United States. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$12,750,000; FY 11 est \$12,970,000; and FY 12 est \$12,970,000

**Range and Average of Financial Assistance:**

\$1,300,000 to \$3,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Southwest Division, Bureau of Primary Health Care, Health Resources and Services Administration, 5600 Fishers Lane, Room 16C-26, Rockville, MD 20857. Telephone: (301) 480-1130.

**Headquarters Office:**

Health Care Systems Branch 5600 Fishers Lane Room 16C-26, Rockville, Maryland 20857 Phone: (301) 480-1130

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

An objective review of applications for grant support considers the adequacy of the following with reference to the provisions of the Native Hawaiian Health Care Improvement Act: assessment of community needs; program of proposed services; management and staffing plan; and evaluation plan. Priority

consideration is given to those applications whose health promotion and disease prevention services are provided through Native Hawaiian Health Care Systems.

### **93.933 DEMONSTRATION PROJECTS FOR INDIAN HEALTH**

Demonstration Projects for Indian Health

#### **FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Section 103 (B)(1), Public Law 93-638; Public Health Service Act.

#### **OBJECTIVES:**

To promote improved health care among American Indians and Alaska Natives through research studies and demonstration projects, addressing such issues as, but not limited to Elder Care, Women's Health Care, Children & Youth Initiative, Native American Research Centers for Health (NARCH), National Indian Health Advocacy Program, Tribal Dental Clinical and Preventive Support Centers and Institute for Health Improvement.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

#### **USES AND USE RESTRICTIONS:**

Federal assistance is to be used for the following purposes: (1) Research, analysis, and investigation of a broad range of issues affecting the health of American Indians and Alaska Natives; and (2) demonstration projects and studies that provide American Indians/Alaska Natives with impetus and involvement in their health care and that promote improved health care to Indian people. All IHS Grants Funds are for discretionary grant activities.

#### **Applicant Eligibility:**

Federally recognized Indian tribes; tribal organizations; nonprofit inter-tribal organizations; nonprofit urban Indian organizations contracting with the Indian Health Service under Title V of the Indian Health Care Improvement Act; public or private nonprofit health and education entities; and State and local government health agencies.

#### **Beneficiary Eligibility:**

American Indians/Alaska Natives will be the ultimate beneficiaries of the funded projects either directly or indirectly depending upon the nature of the project. For example, those individuals who participate in research studies and receive services will be direct beneficiaries while those impacted by policy changes resulting from analyses of Indian health care issues will be indirect beneficiaries.

#### **Credentials/Documentation:**

Costs will be determined in accordance with the applicable OMB Circular: OMB Circular No. A-87 (State, local, and Indian tribal governments); OMB Circular No. A-21 (institutions of higher education); and OMB Circular No. A-122 (nonprofit organizations). Depending upon the nature of the project, letters of support or tribal resolutions may be required. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of either 45 CFR, Part 92 or OMB Circular No. A-110 depending upon the type of applicant organization. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at (1-800) 518-4726 or support@grants.gov. The Contact Center is open 24 hours a day, 7 days a week, except Federal holidays, or contact the IHS Grants Policy Office on (301) 443-5204 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then

upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to IHS.

#### **Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days.

#### **Appeals:**

From 30 to 60 days. Grant appeals will follow PHS appeals procedures: 42 CFR, Part 50, Subpart D and DHHS appeals procedures: 45 CFR 16.

#### **Renewals:**

Initial project period of up to 5 years, usually 3 years, with competitive renewals for periods not to exceed a total project period of 5 years.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The project period is limited to 5 years or less. Within the project period, a continuation application must be submitted annually on a noncompetitive basis for each year of support. Method of awarding/releasing assistance: quarterly.

#### **Reports:**

No program reports are required. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress Reports are due 90 days after the end of each budget period, or more frequently if stated in the terms and conditions of the IHS grant award. Reports should be sent to the attention of the Grants Management Specialist at the Division of Grants Operations. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. All IHS grant awards are monitored for financial compliance by the Division of Grants Management and for Programmatic Compliance by the IHS Program Staff.

NIHA - other reports as required and specified in the program announcement.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

#### **Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, paper, or other records of the grantee, contractor, or subcontractor, which are pertinent to the DHHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 92.42 or 45 CFR Part 74, Subpart D, as applicable, grantees are required to maintain grant records 3 years after they submit their final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the end of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0390-0-1-551.

#### **Obligations:**

(Cooperative Agreements) FY 10 \$824,000; FY 11 est \$824,000; and FY 12 est



\$824,000 - Obligations for Cooperative Agreements. (Project Grants) FY 10 \$6,331,053; FY 11 est \$6,331,053; and FY 12 est \$6,331,053 - Obligations for Native American Research Centers for Health. (Project Grants) FY 10 \$1,200,000; FY 11 est \$1,200,000; and FY 12 est \$1,200,000 - Obligations for Public Health Nursing. (Project Grants) FY 10 \$600,000; FY 11 est \$600,000; and FY 12 est \$600,000 - Obligations for Indian Women's Demonstration project. (Project Grants) FY 10 \$960,000; FY 11 est \$960,000; and FY 12 est \$960,000 - Obligation for Dental Preventive and Clinical Support Centers Program. (Project Grants) FY 10 \$1,488,745; FY 11 est \$1,500,000; and FY 12 est \$1,500,000 - Obligations for Methamphetamine and Suicide Prevention Initiative. (Project Grants) FY 10 \$885,856; FY 11 est \$885,856; and FY 12 est \$885,856 - Obligations for Children & Youth Initiative. (Project Grants) FY 10 \$420,000; FY 11 est \$222,500; and FY 12 est \$0 - Obligations for OCPS-HIV program. (Project Grants) FY 10 \$916,150; FY 11 est \$916,150; and FY 12 est \$916,150 - Obligations for Elder Health Care Initiatives.

**Range and Average of Financial Assistance:**

\$27,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74, Health and Human Services Grants Policy Statement, January 2007.

**Regional or Local Office:**

None. Program Contact: For Methamphetamine and Suicide Prevention Initiative contact: Danny Ukestine, Public Health Advisor, 801 Thompson Ave, Ste RB 300, Rockville, MD 20852, Telephone: (301) 443-4754.

For Elders Health Program contact: Dr. Bruce Finke, Nashville Area Elder Health Consultant, 45 Vernon Street, Northampton, MA 01060. Telephone: (413) 584-0790.

For Indian Women's Health Demonstration Program Contact: Ms. Carolyn Aoyama, Nurse Consultant, Division of Nursing Services, 801 Thompson Avenue, Suite 300, Rockville, MD 20852. Telephone: (301) 443-1840.

For Children & Youth Initiative Program contact: Ms. Tina Tah, Program Specialist, Office of Clinical and Preventive Services, 801 Thompson Avenue, Suite 300, Rockville, MD 20852. Telephone: (301) 443-0038.

For Public Health Nursing Program contact: Ms. Tina Tah, Program Specialist, Office of Clinical and Preventive Services, 801 Thompson Avenue, Suite 300, Rockville, MD 20852. Telephone: (301) 443-0038.

For National Indian Health Advocacy Program, contact: Mr. Ronald B. Demaray, Acting Director, Office of Direct Service and Contracting Tribes, 801 Thompson Avenue, Suite 220, Rockville, MD 20852. Telephone: (301) 443-1104.

For Office of Clinical and Preventive Services, National HIV Program, contact: Lisa C. Neel, MPH; e-mail [lisa.neel@ihs.gov](mailto:lisa.neel@ihs.gov); telephone: (301) 443-4305.

For Clinical and Preventive Dental Support Centers contact: Dr. Patrick Blahut, IHS HQ, 801 Thompson Ave, Rockville, MD 20852. Telephone 301-443-4323.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360 Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: [grantspolicy@ihs.gov](mailto:grantspolicy@ihs.gov) Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are: Statement of problem(s) requiring solution; need for assistance; results or benefits expected from the project; approach or soundness of the applicant's plan for conducting the project; key personnel and their capability to carry out the project; and adequacy of management controls. Consideration will be given to the demonstrative aspects of the project and the compatibility of the project with the overall goals and objectives of the Indian Health Service.

**93.936 NATIONAL INSTITUTES OF HEALTH ACQUIRED IMMUNODEFICIENCY SYNDROME RESEARCH LOAN REPAYMENT PROGRAM**

(NIH AIDS Research Loan Repayment Program; AIDS LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VI, Part 68, Section 487A, Public Law 100-607, 288-1 U.S.C.

**OBJECTIVES:**

To help assure an adequate supply of trained researchers (physicians, registered nurses and scientists) with respect to acquired immunodeficiency syndrome (AIDS) at the National Institutes of Health (NIH) by providing for the repayment of educational loans for participants who agree, by written contract, to primarily engage in AIDS research as employees of the NIH.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program will provide partial repayment of educational loans incurred by physicians, registered nurses and scientists engaged, as employees of the NIH, in AIDS research. Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Continuation contracts are available, dependent upon the level of debt and continued involvement in AIDS research, and are issued for one-year periods. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual NIH salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the Program participants.

**Applicant Eligibility:**

Eligible applicants must: (1) Be a citizen, national, or permanent resident of the United States; (2) possess a M.D., Ph.D., D.O., D.D.S., D.M.D., D.V.M., D.P.M., A.D.N., B.S.N., or equivalent degree, or hold the position of Physician Assistant; (3) have educational debt, which results from governmental or commercial loans obtained to support their undergraduate and/or graduate education in excess of 20 percent of their annual NIH salary (exclusive of special allowances of any kind) on the program eligibility date; (4) be appointed under any temporary or permanent employment mechanism in the Intramural Research Program of the NIH, so long as their employment has the potential to last a minimum of 2 years; (5) not have an existing service obligation to Federal, State, or other entities, unless deferred during period of program service; (6) submit an application to participate in the Loan Repayment Program; and (7) submit to the Secretary for Health and Human Services, at the time of application, a signed contract agreeing to engage in AIDS research at the NIH for a minimum of 2 years.

**Beneficiary Eligibility:**

AIDS researchers who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: 1) Copies of loan applications and agreements from governmental or commercial educational loans that are being considered for repayment; 2) copies of the standard student budget from schools attended during period when debt was incurred; and 3) other documentation as required by law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must access and submit the Loan Repayment Program application electronically via the website [www.lrp.nih.gov](http://www.lrp.nih.gov); seek qualified employment with a sponsoring Institute or Center (IC) of the NIH. Once an application has been submitted, the Loan Repayment Committee reviews it at a regularly scheduled review meeting and a determination of loan repayment recipients is made.

**Award Procedure:**

The NIH Loan Repayment Committee (LRC) will review, rank, and approve or disapprove applications recommended for program participation by each IC. Applications approved for program participation by the LRC will be notified by the Program Director. The Secretary, or her/his designee, will sign the service contract of program participants, provide a copy to the participant, and notice of the amount of approved loan repayment.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The approximate time for approval/disapproval is three months.

**Appeals:**

From 90 to 120 days. Employees of the NIH who are not approved as a result of this process may ask for reconsideration through the standard appeal procedures available to NIH employees.

**Renewals:**

From 60 to 90 days. At the conclusion of the initial two-year contract, participants may apply and be recommended for subsequent one-year continuation contracts under the application and approval procedures specified above.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One-year, continuation contracts are available for individuals whose educational debt exceeds that maximum repayable amount for 2-years. Payments are made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. Method of awarding/releasing assistance: quarterly.

**Reports:**

A year-end summary is provided for inclusion in the OITE annual report. Program participants must be certified quarterly as to having satisfactorily performed their research assignments. No cash reports are required. Program participants must be certified quarterly as to having satisfactorily performed their research assignments. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities

that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation. Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Project Grants) FY 10 \$285,309; FY 11 est \$360,000; and FY 12 est \$329,000

**Range and Average of Financial Assistance:**

For initial 2-year contracts, loan repayment awards may range from \$4,000 to \$70,000; tax reimbursements range from \$1,977 to \$34,598. The average contract cost which includes loan and tax reimbursement is \$53,162. There were no new awards in 2009. There 4 renewal awards.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In 2010, there were seven AIDS research awards. Fiscal Year 2011: The NIH projects that there will be eight awards in 2011. Fiscal Year 2012: The NIH projects that there will be seven awards in 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 100-607, Public Law 103-43, Public Law 105-392; Federal Register, Volume 54, No. 215, November 8, 1989; NIH Guide for Grants and Contracts, Volume 23, No. 24, June 24, 1994; Federal Register, Volume 56, No. 150, August 5, 1991; Section 487A of Public Health Service Act (42 U.S.C. 288-1). Notice of Proposed Rulemaking is

pending.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia A. Cole, PhD Office of Intramural Training and Education, National Institutes of Health, Department of Health and Human Services Building 2, Room 2E18, 2 Center Drive, Bethesda, Maryland 20892-0230 Email: colep@mail.nih.gov Phone: (301) 402-1283 Fax: (301) 480-4942.

**Website Address:**

<http://www.lrp.nih.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.232 Loan Repayment Program for General Research; 93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: Please see the website, [www.lrp.nih.gov](http://www.lrp.nih.gov). Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are approved for participation in the NIH Loan Repayment Program for AIDS Research after the LRC determines that the applicant will conduct qualified AIDS research. LRC approval, in part, is based upon the appropriateness of the research assignment to qualified AIDS research, the scientific merit of the research, and the credentials of the applicant as they relate to performing qualified AIDS research.

**93.938 COOPERATIVE AGREEMENTS TO SUPPORT COMPREHENSIVE SCHOOL HEALTH PROGRAMS TO PREVENT THE SPREAD OF HIV AND OTHER IMPORTANT HEALTH PROBLEMS**

(SHEPSA)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, 42 U.S.C 241(a) & 243(b).

**OBJECTIVES:**

To improve the health and well-being of youth and prepare them to be healthy adults.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may be used to support personnel, purchase equipment, supplies, services, and travel directly related to the program activities and consistent with the scope of this program. Cooperative agreement funds are used to help schools prevent sexual risk behaviors that result in HIV infection, especially among youth who are at highest risk. For example, cooperative agreement recipients implement and integrate effective policies and educational strategies to reduce risk behaviors that lead to HIV infection among youth; implement strategies to reduce disparities among sub-populations of youth disproportionately affected by HIV infection and other health problems related to sexual risk behaviors; evaluate the implementation and effectiveness of strategies to reduce risks for HIV infection among youth in schools for the purposes of programmatic improvement and long-range planning. CDC believes that the specific scope and content of HIV education programs in schools should be locally determined and should be consistent with parental and community values. CDC supports local decision-making by providing sound scientific information to grantees who work directly with schools, communities, and parents. Funds may be expended for written materials, pictorials, audiovisuals, questionnaires or survey instruments, and educational group sessions related to HIV education for youth, school, and college populations if

approved in accordance with the document "Content of AIDS-Related Written Materials, Pictorials, Audiovisuals, Questionnaires, Survey Instruments, and Educational Sessions in Centers for Disease Control Assistance Programs." Cooperative agreement funds are also used to build state education and state health agency partnership and capacity to implement and coordinate school health programs across agencies and within schools. The expected outcome of this effort is to help schools reduce chronic disease risk factors, including tobacco use, poor nutrition, and physical inactivity. For example, cooperative agreement recipients implement and integrate effective policies, environmental changes, and educational strategies to reduce unhealthy behaviors; leverage resources to avoid duplication at the state and local levels; evaluate school health capacity-building efforts while implementing effective strategies to reduce priority health risks. Funds may not be used to conduct research projects, provide direct delivery of patient care or treatment services, and purchase or disseminate condoms. Although public health may have an assurance role in clinical testing and screening, funds are not to be used to provide clinical testing or screening services. Funds may not be used for purchasing computer equipment, office equipment or furnishing, renting or leasing office space, or to support construction or renovation unless specifically approved.

**Applicant Eligibility:**

Eligible applicants are official States (including the District of Columbia, the Commonwealth of Puerto Rico, American Samoa, Commonwealth of the Northern Mariana Islands, Federated States of Micronesia, Guam, the Republic of the Marshall Islands, the Republic of Palau, and the U.S. Virgin Islands), Tribal Governments, large urban school districts (with the highest number of reported AIDS cases, high levels of poverty, and student enrollment greater than 75,000 students), and national non-governmental organizations.

**Beneficiary Eligibility:**

Official State education agencies in states and territories in the United States (including the District of Columbia, the Commonwealth of Puerto Rico, American Samoa, Commonwealth of the Northern Mariana Islands, Federated States of Micronesia, Guam, the Republic of the Marshall Islands, the Republic of Palau, and the U.S. Virgin Islands); local education agencies; national private sector organizations and their constituents; universities and colleges; school-age youth, including minority youth, youth in high-risk situations, and youth with special education needs; college-age youth; and school personnel, including teachers, school nurses, paraprofessionals, and school administrators.

**Credentials/Documentation:**

Costs will be determined by 45 CFR Part 74, Subpart Q for nonprofit organizations and in accordance with OMB Circular A-87, "Cost Principles for State and Local Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR Part 92 and 45 CFR Part 74. The standard application forms, as furnished by PHS and required by 45 CFR Part 92 for State and local governments and 45 CFR Part 74 for nonprofit organizations must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Information on renewals may be obtained from Mildred Garner, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 2306, Atlanta, GA 30341.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period can be up to 5 years. Budget periods are for 12 months. Payment under this program is made available through HHS Payment Management System (PMS). Method of awarding/releasing assistance: lump sum.

**Reports:**

An annual progress report is due within 90 days after the end of the budget period and a final performance report is due 90 days after the end of the project period. This report describes the extent to which program objectives and activities were carried out, reasons for not achieving objectives or carrying out activities as planned, and other information relevant to the program. This report also describes data generated and includes reports of evaluations of program activities conducted during the budget period. Cash reports are not applicable.

An annual progress report is due within 90 days after the end of the budget period and a final performance report is due 90 days after the end of the project period. This report describes the extent to which program objectives and activities were carried out, reasons for not achieving objectives or carrying out activities as planned, and other information relevant to the program. This report also describes data generated and includes reports of evaluations of program activities conducted during the budget period. An annual financial status report is due within 90 days after the end of the budget period and a final financial status report is due within 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreements program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$35,593,000; FY 11 est \$35,593,000; and FY 12 est \$35,593,000

**Range and Average of Financial Assistance:**

\$10,000 to \$650,000; \$299,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: CDC's Division of Adolescent and School Health supports state, territorial, and local education and health agencies and tribal governments to help build and strengthen their capacity to improve child and adolescent

health. These agencies apply for and receive funding in one or more of the following areas: asthma management, coordinated school health: physical activity, nutrition, and tobacco (CSH-PANT); HIV, STD, and unintended pregnancy prevention; Youth Risk Behavior Survey (YRBS); and professional development. Fiscal Year 2011: CDC's Division of Adolescent and School Health supports state, territorial, and local education and health agencies and tribal governments to help build and strengthen their capacity to improve child and adolescent health. These agencies apply for and receive funding in one or more of the following areas: asthma management, coordinated school health: physical activity, nutrition, and tobacco (CSH-PANT); HIV, STD, and unintended pregnancy prevention; Youth Risk Behavior Survey (YRBS); and professional development. Fiscal Year 2012: CDC's Division of Adolescent and School Health supports state, territorial, and local education and health agencies and tribal governments to help build and strengthen their capacity to improve child and adolescent health. These agencies apply for and receive funding in one or more of the following areas: asthma management, coordinated school health: physical activity, nutrition, and tobacco (CSH-PANT); HIV, STD, and unintended pregnancy prevention; Youth Risk Behavior Survey (YRBS); and professional development.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Subject to regulations outlined in 45 CFR Part 74 and 45 CFR Part 92. Program guidelines are available from the Grants Management Contact.

**Regional or Local Office:**

None. Program Contact: John C. Canfield, Program Development and Services Branch, Division of Adolescent and School Health, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 4770 Buford Highway, Mailstop K-31, Atlanta, GA 30341. Telephone: (770) 488-6141. Grants Management Contact: Mildred Garner, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2745.

**Headquarters Office:**

John Canfield, 4770 Buford Highway, NE, MS-K31, Atlanta, Georgia 30341  
Email: qzcc6@cdc.gov Phone: (770) 488-6141.

**Website Address:**

<http://www.cdc.gov/healthyyouth> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: CDC's Division of Adolescent and School Health supports state, territorial, and local education and health agencies and tribal governments to help build and strengthen their capacity to improve child and adolescent health. Fiscal Year 2011: CDC's Division of Adolescent and School Health supports state, territorial, and local education and health agencies and tribal governments to help build and strengthen their capacity to improve child and adolescent health. Fiscal Year 2012: CDC's Division of Adolescent and School Health supports state, territorial, and local education and health agencies and tribal governments to help build and strengthen their capacity to improve child and adolescent health.

**CRITERIA FOR SELECTING PROPOSALS:**

Continuation awards are made on the basis of the following criteria: (1) the accomplishments of the current budget period show that the applicant is meeting its objectives and carrying out activities as planned; (2) the capacity of the recipient and staff responsible for managing and coordinating activities; (3) current collaboration with HIV prevention programs of State and local health agencies and with other relevant organizations; (4) the objectives for the new budget period are realistic, specific, and measurable; (5) a description of the methods of operation and activities that will be used to accomplish the stated objectives; (6) a plan of evaluation; (7) evidence of support from relevant organizations; (8) plans to share information about the program, including copies of HIV education curricula, program descriptions, progress reports, and educational materials with other agencies interested in HIV education for youth; (9) a budget request that is clearly explained, adequately justified, reasonable, and consistent with the intended use of cooperative agreement funds.

**93.939 HIV PREVENTION ACTIVITIES\_NON-GOVERNMENTAL ORGANIZATION BASED**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301(a).

**OBJECTIVES:**

To provide assistance to local, regional and, national nonprofit organizations to: (a) develop and implement effective community-based Human Immunodeficiency Virus (HIV) prevention programs related to achieving national goals; (b) promote coordination for primary and secondary HIV prevention efforts among community organizations, HIV education/prevention service agencies, and public organizations including local and State health departments and substance abuse agencies; and (c) evaluate the HIV prevention programs for which support is provided.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project funds may be used to promote coordination for primary and secondary HIV prevention efforts among community-based organizations, HIV education/prevention service agencies, and nonprofit national and regional organizations.

**Applicant Eligibility:**

Nongovernmental public and nonprofit private entities are eligible, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries..

**Beneficiary Eligibility:**

Public and nonprofit private entities.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office. Centers for Disease Control and Prevention. Telephone: (770) 488-2720. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organization.

**Award Procedure:**

After review and approval of an application, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2722.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As Stated in the Terms and Conditions. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

There is a 3-year record retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$78,012,904; FY 11 est \$80,084,205; and FY 12 est \$80,084,205

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51b. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs; 93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention; 93.947 Tuberculosis Demonstration, Research, Public and Professional Education; 93.977 Preventive Health Services\_Sexually Transmitted Diseases Control Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) Agreements between all agencies providing professional and/or supportive care, either voluntarily or for fees; (2) a description of the approach that will be used to provide prevention case management services; and (3) a description of how services will complement/expand existing agency primary and secondary services and specific criteria published in program guidance.

**93.940 HIV PREVENTION ACTIVITIES\_HEALTH DEPARTMENT BASED**

(HIV Prevention Program)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 317, Public Law 100-436.

**OBJECTIVES:**

To assist States and political subdivisions of States in meeting the cost of establishing and maintaining Human Immunodeficiency Virus (HIV) prevention programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project funds may be used to support, develop, implement and evaluate primary and secondary HIV prevention programs implemented by State and local health departments.

**Applicant Eligibility:**

States, and in consultation with State health authorities, political subdivisions of States including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and U.S. territories and possessions.

**Beneficiary Eligibility:**

States, State health authorities, political subdivisions of States including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and U.S. territories and possessions.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2722. The standard application forms, as furnished by CDC, must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From three to six months.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for one to five years with 12-month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project period on these grants is one to five years and the budget period is 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. Cash reports are not applicable. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$363,871,735; FY 11 est \$314,635,619; and FY 12 est \$359,177,561 - Note: 93.940 includes funds appropriated by congress for HIV testing. 93.940 - This CFDA category includes CDC-RFA-PS10-10138 - Expanded Human Immunodeficiency Virus (HIV) Testing for Disproportionately Affected Populations - which will be funded for less than 12 months in FY 2011. Testing funds that were not allocated to this announcement in FY 2011 were redistributed to other testing projects with Dr. Frieden's approval. In addition, in FY 2010 this announcement included supplemental Prevention and Public Health Funds (PPHF) and emergency dollars, which were not continued in FY 2011.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94- 50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.991 Preventive Health and Health Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on (1) satisfactory progress in meeting project objectives; (2) the extent to which the objectives for the new budget period are specific; (3) measurable, time phased, realistic, and consistent with National HIV Prevention Goals; (3) the extent to which proposed changes in methods of operation are appropriate and likely to improve prevention efforts; (4) evaluation plans which enhance the success of the project; (5) the availability of funds.

**93.941 HIV DEMONSTRATION, RESEARCH, PUBLIC AND PROFESSIONAL EDUCATION PROJECTS****FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301(a).

**OBJECTIVES:**

To develop, test, and disseminate improved HIV prevention strategies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To assist States, political subdivisions of States, and other public and nonprofit entities with research on the prevention of HIV infection at the community level. Funds may be used to develop, implement and evaluate new intervention, including those targeting people who are infected with HIV. Applicants are encouraged to have research groups participate in the program.

**Applicant Eligibility:**

States, political subdivisions of States, other public including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and nonprofit private entities.

**Beneficiary Eligibility:**

States, political subdivisions of States, other public including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and nonprofit private entities.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From three to six months.

**Appeals:**

As stated in the Terms and Conditions.

**Renewals:**

Projects are for one to five years with 12-month budget periods. Application forms must be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention: Telephone: (770) 488-2720.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: From one to five years. Budget Period: For 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$8,306,457; FY 11 est \$10,678,224; and FY 12 est \$10,678,224

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51b. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94- 50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: [rdc2@cdc.gov](mailto:rdc2@cdc.gov) Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.978 Preventive Health Services\_Sexually Transmitted

Diseases Research, Demonstrations, and Public Information and Education Grants; 93.991 Preventive Health and Health Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the extent to which proposed objectives are specific, measurable, time-phased, and consistent with the stated purpose of this program; the extent to which the applicant's proposed plan will identify and reach appropriate hard-to-reach individuals at risk for HIV, and the quality and scope of the applicant's past and current activities to provide education about HIV prevention and AIDS to high risk individuals; the quality of the applicant's proposed interventions and strategies to motivate and reinforce risk reduction behavior change among hard-to-reach individuals; the quality of the applicant's proposed plan to promote changes in community norms regarding HIV prevention and risk reduction behavior, and to generate support, cooperation, and collaboration with community based organizations serving individuals at high risk for HIV; the extent to which the applicant's proposed plan will determine, monitor, and measure changes in the prevalence of specific knowledge, attitudes, beliefs and self-reported behaviors among hard-to-reach individuals; the quality of the applicant's plan, including proposed methods and instruments of measurement to evaluate effectiveness of the strategies used to motivate and reinforce behavior change among groups targeted by the interventions, and the impact of the programmatic efforts on community norms; the extent to which the applicant's proposed plan will enable it to respond to and redirect programmatic efforts based on new information, changes in behavior, and changes in HIV sero prevalence.

**93.942 RESEARCH, TREATMENT AND EDUCATION PROGRAMS ON LYME DISEASE IN THE UNITED STATES**

(Lyme Disease)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 42 U.S.C 241(a).

**OBJECTIVES:**

To develop, implement and evaluate practical and effective measures for the primary and secondary prevention of Lyme disease in the United States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Funding opportunities are made available to develop disease surveillance, conduct ecological and epidemiological studies, develop prevention and control activities, develop better diagnostic tests, and develop and disseminate educational materials and programs. Grants include funds for direct costs, i.e., personnel, travel, equipment, supplies, necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs. Unallowable costs, such as reimbursement of pre-award costs, as well as those for which prior written approval is required, are indicated in the Public Health Service (PHS) Grants Policy Statement (<http://www.hhs.gov/grantsnet.gps/>).

**Applicant Eligibility:**

Public and nonprofit organizations able to provide services to geographical areas where Lyme disease is endemic or found to be newly emerging in the continental United States. Thus, universities, colleges, research institutions, State and local health departments, and private nonprofit organizations are eligible.

**Beneficiary Eligibility:**

States, political subdivisions of states, and other public and nonprofit private entities and the general public who may be exposed to the threat of Lyme disease in certain geographical areas.

**Credentials/Documentation:**

Nonprofit organizations are corporations or associations no part of whose net earnings may lawfully inure to the benefit of any private shareholder or

individual. Proof of nonprofit status must be submitted by private nonprofit organizations with the application or, if previously filed with PHS, the applicant must state where and when the proof was submitted. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program has no preapplication requirements. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply to published funding opportunity, applications must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide. Detailed application instructions are included in the Funding Opportunity Announcements (FOAs) for federal assistance. Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management System, (Add FOA number here), CDC Procurement and Grants Office, U.S. Department of Health and Human Services, 2920 Brandywine Road, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Upon receipt, applications will be evaluated for completeness and responsiveness by the agency program and HHS/CDC Procurement and Grants Office (PGO). HHS/CDC will not review incomplete and non-responsive applications. After review and approval, a notice of grant award (NoA) is prepared and processed, along with appropriate notification to the public. Initial award provides funds for first budget period (usually 12 months) and NoA indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Cooperative agreement project periods are for 3 to 4 years. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon satisfactory progress by the recipient (as documented in required reports) and the determination that continued funding is in the best interest of the Federal government.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from 3 to 4 years. See the following for information on how assistance is awarded/released: After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. An original and two hard-copies of the Non-Competing Grant Progress Report (PHS 2590) are due no less than 120 days prior to the end of each budget period within the project period. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status reports are required no



more than 90 days after the end of the project period. Final performance reports are required no more than 90 days after the end of the project period. All reports must be submitted to the Grants Management Specialist indicated in the NoA.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,089,473; FY 11 est \$2,016,874; and FY 12 est \$1,750,000 - Obligations exclude federal assistance provided to the States through the Epidemiology and Laboratory Capacity (ELC) and Emerging Infections Program (EIP) cooperative agreements, and contracts less than \$100,000.

**Range and Average of Financial Assistance:**

\$250,000 to \$300,000; Average award depends on funding opportunity announcement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Aside from the non-competitive continuation awards in FY 2010, the new, competitive awards were made in September 2010 for a grant and two cooperative agreements, as previously described. Fiscal Year 2011: A final year, non-competitive continuation award was made for the evaluation of reservoir-targeted vaccine formulations to prevent enzootic transmission of *Borrelia burgdorferi* (Lyme Borreliosis).

One non-competing continuation research grant award was made for the long-term complications of Lyme disease study, and two non-competing continuation research cooperative agreement awards were made for the improved diagnostics project.

A new funding opportunity announcement in FY 2011 will support one cooperative agreement award for community-based Lyme disease prevention and control programs in the highest endemic areas of the United States to begin to evaluate and implement selected interventions to reduce Lyme disease. A second award for this FOA is subject to availability of FY 2012 funding. Fiscal Year 2012: A one year, non-competitive low-cost extension award will be considered for the evaluation of reservoir-targeted vaccine formulations to prevent enzootic transmission of *Borrelia burgdorferi* (Lyme Borreliosis) pending availability of funds.

The non-competing continuation research grant award for the long-term complications of Lyme disease study, and two non-competing continuation research cooperative agreement awards for the improved diagnostics project are anticipated to be funded.

The new funding opportunity announcement in FY 2011 for community-based Lyme disease prevention and control programs in the highest endemic areas of the United States to begin to evaluate and implement selected interventions to reduce Lyme disease is expected to be continued non-competitively with a second, new award under this FOA to be made subject to availability of funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994. Pertinent information may be obtained by contacting the Headquarters Office.

**Regional or Local Office:**

See Regional Agency Offices. Bacterial Diseases Branch, Division of Vector Borne Diseases, National Center for Emerging and Zoonotic Infectious Diseases, Office of Infectious Diseases, Centers for Disease Control and Prevention, 3150 Rampart Road, Fort Collins, CO 80521. Branch Extramural Activities Contacts: Ms. Diane Hamm - Telephone: (970) 221-6414 and Dr. Charles B. (Ben) Beard - Telephone: (970) 221- 6418. Division Extramural Activities Contacts: Ms. Mary Ellen (Mel) Fernandez - Telephone: (970) 221-6426. Dr. Lyle R. Petersen - Telephone: (970) 221-6428.

**Headquarters Office:**

Trudy Messmer, Centers for Disease Control and Prevention, OID Extramural Programs, MS E60, 1600 Clifton Road, N.E., Atlanta, Georgia 30333 Email: TMessmer@cdc.gov Phone: (404) 498-2271.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the review criteria described in the Funding Opportunity Announcements (FOAs). In general, the review and selection process of complete and responsive applications to the FOA consists of determination of the scientific merit by peer review, availability of funds, and relevance of program priorities and the priorities of DHHS. Refer to the FOA for additional review criteria.

**93.943 EPIDEMIOLOGIC RESEARCH STUDIES OF ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS) AND HUMAN IMMUNODEFICIENCY VIRUS (HIV) INFECTION IN SELECTED POPULATION GROUPS**

(Epidemiologic Research Studies of AIDS and HIV)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Act, Section 301.

**OBJECTIVES:**

To support research of important HIV-related epidemiologic issues concerning risks of transmission, the natural history and transmission of the disease in certain populations and development and evaluation of behavioral recommendations for reducing AIDS and HIV infection. Of special interest are programs that examine these research issues as they affect minority populations (defined as one of the four federally-recognized groups: African-Americans; Asian/Pacific Islanders; Latinos/Hispanics; and Native Americans).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance is provided to support cooperative agreements that examine important epidemiologic research issues concerning AIDS and HIV infection. The research should contribute to the health services knowledge base from which empirically based information can be derived by policy makers, both immediately and over the coming decades. Grants include funds for direct costs (such as personnel, travel, equipment, or supplies) necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs. Unallowable costs, as well as those for which prior written approval is required, are indicated in the PHS Grants Policy Statement.

**Applicant Eligibility:**

Eligible applicants include States, political subdivisions of States or their agents or instrumentalities, private research organizations, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, other public and private nonprofit organizations, and for-profit organizations.

**Beneficiary Eligibility:**

State and local health agencies; private research organizations, public and private nonprofit organizations, for profit organizations; minority groups; including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, and persons physically afflicted with AIDS/HIV infection.

**Credentials/Documentation:**

Costs will be determined by HHS Regulations 45 CFR Part 74, Subpart Q for nonprofit organizations and in accordance with OMB Circular No. A-87, "Cost Principles for State and Local Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A signed original and five copies of the application Form 398 must be sent to the Centers for Disease Control and Prevention (CDC). State and local governments may use Form 5161. An original and two copies must be submitted. This program is subject to the provisions of 45 CFR 92 for State and Local Governments and 45 CFR 74 for nonprofit organizations, as appropriate.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public, initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. However, applicants are encouraged to call CDC for programmatic technical assistance prior to the development and submission of their assistance application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. About 120 days from receipt of application.

**Appeals:**

As stated in the Terms and Conditions.

**Renewals:**

If additional support is desired to continue a research project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from one to three years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative

agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$2,199,540; FY 11 est \$2,078,920; and FY 12 est \$3,330,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and evaluated based on the evidence submitted which specifically describes the applicant's abilities to meet the following criteria: (1) the plans to develop and implement the study describing how study participants will be identified, enrolled, tested and followed; (2) the ability to enroll and follow an adequate number of eligible study participants to assure proper conduct of the study. This includes both demonstration of the availability of HIV-infected potential study participants and the experience of the investigator in enrolling and following such persons; (3) the applicant's current activities in AIDS and HIV research and how they will be applied to achieving the objectives of the study; letters of support from cooperating organizations that demonstrate that nature and extent of such cooperation should be included; (4) the applicant's understanding of the research study objectives and, their ability, willingness and/or need to collaborate with CDC and researchers from other study sites in study design and analysis, including use of common forms, and sharing of specimens and data; (5) the plan to protect the rights and confidentiality of all participants and ensure adequate participation; (6) the size, qualifications and time allocation of the proposed staff and the availability of facilities to be used during the research study; (7) how the project will be administered to assure the proper management of the daily activities of the program; (8) the proposed schedule for accomplishing the activities of the research; including time frames; and (9) the quality of an evaluation plan which specifies methods and instruments to be used to evaluate the progress made in attaining research objectives.

**93.944 HUMAN IMMUNODEFICIENCY VIRUS (HIV)/ACQUIRED IMMUNODEFICIENCY VIRUS SYNDROME (AIDS) SURVEILLANCE (HIV/AIDS Surveillance)****FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301(a).

**OBJECTIVES:**

To continue and strengthen effective human immunodeficiency virus (HIV) and acquired immunodeficiency syndrome (AIDS) surveillance programs and to effect, maintain, measure and evaluate the extent of HIV/AIDS incidence and prevalence throughout the United States and its territories, providing information for targeting and implementing HIV prevention activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for salaries of staff conducting HIV/AIDS surveillance and sero surveillance activities, travel related to carrying out project activities and participating in national planning and implementation meetings, necessary supplies, computer software and hardware, and laboratory, data collection, and analysis costs. Grant funds are to be additive to replace existing resources.

**Applicant Eligibility:**

The governments, or their agents or instrumentalities, of any of the States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, territories or possessions of United States, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, and local governments who are current recipients of HIV/AIDS surveillance cooperative agreements.

**Beneficiary Eligibility:**

Official health agencies will benefit.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are made in the form of an application PHS-5161-1, to the Centers for Disease Control and Prevention. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments must be used for this program. This program is subject to the provisions of 45 CFR Part 92 for State and local governments.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public. Initial award provides funds for first budget period (usually 12 months) and Notice of Award (Form 5152-1) indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. About 120 days after application submission.

**Appeals:**

As stated in the Terms and Conditions.

**Renewals:**

Renewals may be approved for 1 to 5 years.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From one to five years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of three years after the end of each budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$80,162,041; FY 11 est \$91,009,282; and FY 12 est \$91,009,282

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994; Administration of Grants, DHHS, 45 CFR 92; Application Instructions and Information and Program Guidance established by CDC for HIV/AIDS cooperative agreements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Official health agencies which are current recipients of funds for HIV/AIDS surveillance activities; (2) need and background; and (3) a willingness to comply with applicable CDC sero surveillance protocols.

**93.945 ASSISTANCE PROGRAMS FOR CHRONIC DISEASE PREVENTION AND CONTROL**

(State Cardiovascular Health Programs (CVH); and Racial and Ethnic Approaches to Community Health (REACH))

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act., Title 42, Section 301(a) and 317.

**OBJECTIVES:**

To work with State health agencies and other public and private nonprofit organizations in planning, developing, integrating, coordinating, or evaluating programs to prevent and control chronic diseases; assist in monitoring the major behavioral risks associated with the 10 leading causes of premature death and disability in the United States including cardiovascular diseases; and, establish new chronic disease prevention programs like Racial and Ethnic Approaches to Community Health (REACH).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs associated with planning, implementing, and evaluating chronic disease prevention and control programs. Cooperative agreement funds may not be used for direct curative or rehabilitative services.

**Applicant Eligibility:**

Eligible applicants are the official State and territorial health agencies of the United States, the District of Columbia, tribal organizations, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa. Other public and private nonprofit community based organizations are also eligible (see REACH).

**Beneficiary Eligibility:**

State health agencies and community based organizations will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, State the objectives of the project, outline the method of operation, describe evaluation procedures, and provide a budget with justification for funds requested. Costs will be determined in accordance with OMB Circular No. A-21 for Educational Institutions, and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92 and 74. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for these programs.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From three to four months.

**Appeals:**

Not Applicable.

**Renewals:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: From 3 three to 5 five years. Budget period: Usually 12 months.  
Method of awarding/releasing assistance: lump sum.

**Reports:**

Progress reports are required on a semi-annual basis. An annual Financial Status Report (FSR) is required. Financial status reports are required no later than 90 days after the end of each specified funding period. Final financial status and progress reports are required 90 days after the end of a project. Cash reports are not applicable. Progress reports are required on a semi-annual basis. An annual Financial Status Report (FSR) is required. Financial status reports are required no later than 90 days after the end of each specified funding period. Final financial status and progress reports are required 90 days after the end of a project. Progress reports are required on a semi-annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are program regulations under 42 CFR 51b, Project Grants for Preventive Health Services. Guidelines are also available from PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, applies to grants and cooperative agreements.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV.

**Headquarters Office:**

Mike Waller, 1600 Clifton Rd, Atlanta, Georgia 30333 Phone: (770) 488-5269.

**Website Address:**

<http://www.cdc.gov/nccdphp>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.988 Cooperative Agreements for State-Based

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on the evaluation criteria as published in the program and/or Federal Register Announcement.

**93.946 COOPERATIVE AGREEMENTS TO SUPPORT STATE-BASED SAFE MOTHERHOOD AND INFANT HEALTH INITIATIVE PROGRAMS**

(Infant Health and pre-term delivery Initiative; PRAMS; MCHEP; ART; Maternal Health Research)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Section 301(a), 317K., Public Law USC-241(a); 241(a);.

**OBJECTIVES:**

To work with official public health agencies of States to: (1) establish and maintain State-specific, population-based surveillance of selected maternal behaviors that occur during pregnancy and the child's early infancy; and (2) generate State-specific data for planning and assessing perinatal health programs. Additionally, work with official public health agencies of States and localities to develop a multidisciplinary team of individuals dedicated to building the recipient's analytic capacity to use epidemiologic and surveillance data to address the health problems that affect its women, infants, and children. Prevention research activities related to women's health related to pregnancy, in vitro fertilization, pre-term delivery, and other reproductive health complications.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

PRAMS: Cooperative Agreement funds may be used to develop a surveillance system that will identify behavioral risk factors during pregnancy and early infancy, and will identify problems in health care delivery. Funds may be used to support the following activities: (1) Obtaining a commitment of participation from the Maternal and Child Health, Vital Statistics, and Data Processing units; (2) assuring that the State PRAMS program will have access to needed vital records information; (3) forming a Steering Committee to promote user involvement; (4) developing a surveillance protocol; (5) preparing a questionnaire, including State-specific questions; (6) obtaining Institutional Review Board review and approval; (7) implementing surveillance operations, such as sampling, data collection, data management, database development, and data analysis; and (8) planning for data dissemination and use. MCHEP: Cooperative agreement funds may be used by grantees to build their analytic capacity to use epidemiologic and surveillance data to address health problems affecting women, infants and children. Grantees in States, D.C., cities, and U.S. territories will develop a multidisciplinary team to identify populations at increased risk of infant mortality and to help direct programs to reduce this risk. Funds may be used to: (1) Establish a risk-oriented approach to the reduction of infant mortality; (2) substantially build State and local surveillance and epidemiologic capabilities; (3) enhance capacity in States to use surveillance and epidemiologic findings in program and policy development, implementation, and evaluation; (4) disseminate such analytic capabilities to other States by providing information, direct technical assistance, and a pool of knowledgeable and experienced individuals for collaboration; (5) coordinate State programs in database development and intervention research; and (6) develop stronger interactive partnerships among State, territorial, and Federal. To carry out other types of surveillance, prevention research, and demonstrations projects as authorized under the Safe Motherhood authorization.

**Applicant Eligibility:**

Official State and Territorial public health agencies. City of New York public health agency and District of Columbia. Applications may be submitted by public and private nonprofit and for-profit organizations and by governments

and their agencies; that is, universities, colleges, research institutions, hospitals, other public and private nonprofit and for-profit organizations, State and local governments or their bona fide agents, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau, federally recognized Indian tribal governments, Indian tribes, or Indian tribal organizations, and small, minority, women-owned businesses.

**Beneficiary Eligibility:**

Official State and Territorial public health agencies. City of New York public health agency and District of Columbia. Applications may be submitted by public and private nonprofit and for-profit organizations and by governments and their agencies; that is, universities, colleges, research institutions, hospitals, other public and private nonprofit and for-profit organizations, State and local governments or their bona fide agents, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau, federally recognized Indian tribal governments, Indian tribes, or Indian tribal organizations, and small, minority, women-owned businesses.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe evaluation procedures, and provide a budget with justification for funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by CDC and required by 45 CFR 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From three to four months.

**Appeals:**

Not Applicable.

**Renewals:**

Information on renewals may be obtained from the Grants Management Officer, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by CDC and required by 45 CFR 92 for State and local governments, must be used for this program.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: up to five years. Budget Period: All programs: For 12 months. Assistance is awarded through the SMARTLINK II System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Progress reports are required annually. Cash reports are not applicable. Progress reports are required annually. Annual financial reports are required at the end of each budget period. A final financial status report is due 90 days after the project period ends. Progress reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreements program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$6,064,305; FY 11 est \$5,840,217; and FY 12 est \$5,840,217

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, applies to cooperative agreements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dee Wetterhall 1600 Clifton Rd , Atlanta, Georgia 30333 Phone: (770) 488-5200.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All programs: (1) The extent to which the application describes and presents appropriate data indicating an understanding of the problem, the program for which assistance is requested, and the purpose of the cooperative agreement; (2) the degree to which the workplan addresses the stated needs, is likely to achieve the purposes of the cooperative agreement, and describes the specific roles and responsibilities of participating personnel; (3) the degree to which the application provides a complete and achievable timetable of appropriate events; (4) the adequacy of the plan to monitor progress toward the stated objectives; (5) the extent to which the budget is reasonable, consistent with the problems identified and the scope of the program proposed to address these problems, and the intended use of cooperative agreement funds, and clearly reflects the applicant's intent to commit nonfederal resources to support the operational costs of these programs. PRAMS only: The degree to which the application describes the process for registering births in the State.

**93.947 TUBERCULOSIS DEMONSTRATION, RESEARCH, PUBLIC AND PROFESSIONAL EDUCATION**

Tuberculosis Demonstration, Research, Public and Professional Educational Programs

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 317(e), 42 U.S.C. 247(b), as amended.

**OBJECTIVES:**

To assist States, political subdivisions of States, and other public and nonprofit private entities in conducting research into prevention and control of tuberculosis nationally and internationally, especially in conducting demonstration projects for the prevention and control of tuberculosis; in providing public information and education programs for prevention and control of tuberculosis; and in developing education, training, and clinical skills improvement activities in the prevention and control of tuberculosis for health professionals, including allied health personnel.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Requests for direct assistance (i.e., "in lieu of cash") for personnel, equipment, and supplies directly related to project activities, particularly directly observed therapy, patient outreach, and program assessment will be considered. Project funds may not be used to supplant State or local funds available for tuberculosis control or to support construction costs or inpatient care.

**Applicant Eligibility:**

States, political subdivisions of States, and other public and nonprofit private entities.

**Beneficiary Eligibility:**

States, political subdivisions of States, other public and nonprofit private entities, serving persons with TB infection and disease.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. For nonprofit recipients, costs will be determined in accordance with DHHS Regulations 45 CFR Part 74 Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. The standard application forms 5161 must be used for the program as furnished by CDC and required by 45 CFR 92 for state and local governments and by 45 CFR 74 for nongovernmental applicants.

**Award Procedure:**

Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by the NCHHSTP in accordance with the review criteria listed above.

As part of the initial merit review, all applications may: (1) Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score; (2) receive a written critique; and (3) receive a second level review by the Science and Program Review Subcommittee (SPRS). Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

From 120 to 180 days.

**Renewals:**

From 60 to 90 days. Project periods are for 3 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula or matching requirements. Although there are no statutory requirements, applicants must assume part of the project cost and fiscal information must be provided in the narrative portion of the application pursuant to provisions of Section 317(e).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From three to five years. Budget Period: For 12 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Either quarterly or semi-annual narrative and statistical progress reports are required. Progress reports are required 90 days after the end of a project period. Report should address the recipients progress of achievement of the stated objectives. Annual financial status reports are required no later than 90 days after the end of each budget period. Final financial status reports are required 90 days after the end of a project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,180,374; FY 11 est \$1,505,782; and FY 12 est \$1,505,785

**Range and Average of Financial Assistance:**

\$20,000 to \$230,000 with an average of \$120,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: An award was made during fiscal year 2010 to an international organization to conduct joint conferences, to develop teaching materials and jointly conduct courses in TB epidemiology in developing countries and to conduct demonstration projects of TB control programs in countries of strategic interest to the United States. Another award was made to an international organization to expand efforts and strategies to prevent and control TB and TB/HIV and to implement activities to assist national governments, regional authorities, non-governmental organizations, private and public health care systems, donors and other interested partners to develop, establish, and coordinate systems and procedures to strengthen TB and TB/HIV treatment and control efforts worldwide. An award was made during fiscal year 2010 to a domestic organization to maintain effective communication capacity among the nation's Tuberculosis Control officials (TB Controllers) and TB nursing professionals. During 2010, an award is also expected to an organization to travel laboratory staff to a national meeting and also to perform a laboratory survey. Six awards were made in fiscal year 2010. Fiscal Year 2011: An award is expected during fiscal year 2011 to an international organization to conduct joint conferences, to develop teaching materials and jointly conduct courses in TB epidemiology in developing countries and to conduct demonstration projects of TB control programs in countries of strategic interest to the United States. Another award is expected to an international organization to expand efforts and strategies to prevent and control TB and TB/HIV and to implement activities to assist national governments, regional authorities, non-governmental organizations, private and public health care systems, donors and other interested partners to develop, establish, and coordinate systems and procedures to strengthen TB and TB/HIV treatment and control efforts worldwide. An award is also expected during fiscal year 2011 to a domestic organization to maintain effective communication capacity among the nation's Tuberculosis Control officials (TB Controllers) and TB nursing professionals. During 2011, an award is also expected to an organization to travel laboratory staff to a national meeting and also to perform a laboratory survey. It is estimated that up to six awards will be made in fiscal year 2011. Fiscal Year 2012: An award is expected during fiscal year 2012 to an international organization to conduct joint conferences, to develop teaching materials and jointly conduct courses in TB epidemiology in developing countries and to conduct demonstration projects of TB control programs in countries of strategic interest to the United States. Another award is expected to an international organization to expand efforts and strategies to prevent and control TB and TB/HIV and to implement activities to assist national governments, regional authorities, non-governmental organizations, private and public health care systems, donors and other interested partners to develop, establish, and coordinate systems and procedures to strengthen TB and TB/HIV treatment and control efforts worldwide. An award is also expected during fiscal year 2012 to a domestic organization to maintain effective communication capacity among the nation's Tuberculosis Control officials (TB Controllers) and TB nursing professionals. During 2012, an award is also expected to an organization to travel laboratory staff to a national meeting and also to perform a laboratory survey. It is estimated that up to six awards will be made in fiscal year 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 51b. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathryn Koski 1600 Clifton Road, MS E-10, Atlanta, Georgia 30333 Email: kak4@cdc.gov Phone: 404-639-5259 Fax: 404-639-8604

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.978 Preventive Health Services\_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants; 93.991 Preventive Health and Health Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Awards were made to advance the goals toward TB elimination and a project to conduct conferences to assist in teaching targeted TB control programs about TB epidemiology. Fiscal Year 2011: Awards will be made to advance the goals toward TB elimination and a project to conduct conferences to assist in teaching targeted TB control programs about TB epidemiology. Fiscal Year 2012: Awards will be made to advance the goals toward TB elimination and a project to conduct conferences to assist in teaching targeted TB control programs about TB epidemiology.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the extent of the tuberculosis problem; the establishment of specific and measurable objectives; and the development of a sound operational plan that will ensure the implementation of each program's elements.

**93.954 TRIBAL RECRUITMENT AND RETENTION OF HEALTH PROFESSIONALS INTO INDIAN HEALTH PROGRAMS**

Tribal Recruitment and Retention of Health Professionals into Indian Health Programs

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Section 110, Public Law 94-437.

**OBJECTIVES:**

To make financial assistance awards to Indian tribes and tribal and Indian health organizations to enable them to recruit, place, and retain health professionals to fill critical vacancies and to meet the staffing needs of Indian health programs and facilities including those administered by the Indian Health Service (IHS).

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Establishing and operating programs designed to recruit and retain health professionals into Indian health programs and facilities. All IHS funds are discretionary funds.

**Applicant Eligibility:**

Any federally-recognized Indian tribe or tribal or Indian health organization is eligible to apply.

**Beneficiary Eligibility:**

Preference is given to those applicants who propose to recruit for health programs and facilities that IHS has designated as high priority for the IHS Loan Repayment Program for physicians, nurses, and other health professions.

**Credentials/Documentation:**

Costs for other institutions will be determined by HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at (1-800) 518-4726 or support@grants.gov. The Contact Center is open 24 hours a day, 7 days a week (except for Federal holidays). If you require additional assistance please contact the Grants Policy Office at (301) 443-5204 at least 15 days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us.

**Award Procedure:**

Grants are made directly by the Indian Health Service to applicant agency, based on results of competitive review process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Within 90 days of IHS deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation applications must be submitted via grants.gov annually. Continuation funding is subject to availability of funds, satisfactory performance, and continuing need of the IHS for the program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Payments of grant funds are made through the DHHS Payment Management System or DHHS Electronic Transfer System. Information will be forwarded to new grantees regarding the process of obtaining funds. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. Grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Training) FY 10 \$100,000; FY 11 est \$100,000; and FY 12 est \$100,000

**Range and Average of Financial Assistance:**

\$60,000 to \$100,000; \$82,900.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Indian Health Care Improvement Act, Public Law 94-437, amended by



Public Law 100-713, enacted November 23, 1988; HHS Grants Policy Statement dated 1/07.

**Regional or Local Office:**

None. For program information, contact Mr. Carmen Clelland, Chief Recruitment, Office of Public Health Support, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-5710.

For grants management information, contact Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Need - Is the need for the project justified? If a project targets urban Indian health programs, is there justification and documentation for conducting activities at that site? Do proposed efforts complement and expand past recruitment efforts? Approach - Are the objectives well stated? Is the applicant's work plan for conducting the project sound and effective? Is the approach innovative? Are the activities proposed cost effective and will they lead to effective recruitment, placement, and retention? Adequacy of Management Controls - Is the applicant capable of successfully conducting the project both from a technical and business standpoint? Is the proposed interaction with IHS staff adequate for an application for recruitment of Federal staff? Is the budget sound in relation to the work plan and does it assure effective utilization of grant funds? Are the facilities and equipment adequate? Key Personnel - Regarding the position descriptions, are the qualifications of key personnel appropriate and adequate to carry out the project? If a resume is provided, are the individual's qualifications and experiences consistent with the position description and conduct of the project?.

**93.958 BLOCK GRANTS FOR COMMUNITY MENTAL HEALTH SERVICES**

(CMHS Block Grant)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

as amended, Public Law 106-310, 42 U.S.C 300X; Public Health Service Act, Title XIX, Part B, Subpart I.

**OBJECTIVES:**

To provide financial assistance to States and Territories to enable them to carry out the State's plan for providing comprehensive community mental health services to adults with a serious mental illness and to children with a serious emotional disturbance; monitor the progress in implementing a comprehensive community based mental health system; provide technical assistance to States and the Mental Health Planning Council that will assist the States in planning and implementing a comprehensive community based mental health system.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used at the discretion of the State to achieve the described objectives except for certain requirements. State plans must meet prescribed criteria. Services under the plan will be provided only through appropriate, qualified community programs (which may include community mental health

centers, child mental-health programs, psychosocial rehabilitation programs, mental health peer-support programs and mental-health primary consumer-directed programs). Services under the plan will be provided through community mental health centers only if the centers meet prescribed criteria. Up to 5 percent of grant funds may be used for administering the funds. Funds may not be used to provide inpatient services; to make cash payments to intended recipients of health services; to purchase or improve land, purchase, construct, or permanently improve (other than minor remodeling) any building or other facility, or purchase major medical equipment; to satisfy any requirement for the expenditure of nonfederal funds as a condition for the receipt of Federal funds; or to provide financial assistance to any entity other than a public or nonprofit private entity.

**Applicant Eligibility:**

State and U.S. Territory Governments.

**Beneficiary Eligibility:**

Recipients of State and U.S. Territory Governments.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Chief Executive Officer of the State or Territory must apply annually for an allotment. States are required to submit an application which contains a State Plan that describes comprehensive community mental health services for adults with a serious mental illness and children with a serious emotional disturbance, an Implementation Report that describes State progress in implementing the plan for the preceding year, recommendations from the State Mental Health Planning Council, a report on expenditure of the preceding fiscal year's block grant funds, a maintenance of effort report and agreements signed by the Chief Executive Officer of the State.

**Award Procedure:**

Grant Awards are issued directly by The Center for Mental Health Services, Substance Abuse and Mental Health Services Administration (SAMHSA) to the designated State agency.

**Deadlines:**

Sep 01, 2011 The application is due no later than September 1 of the fiscal year prior to the fiscal year for which CMHS Block Grant funding is being requested. The Implementation report is due December 1.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title PHS Act, Title XIX, Part B, Subpart I, Public Law 106-310.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details. Under section 1915(b) of the Public Health Service Act, States are required to maintain aggregate State expenditures for authorized activities at a level that is not less than the average level of such expenditures maintained by the State for the 2-year period preceding the fiscal year for which the State is applying for the grant.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation and expenditure during the fiscal year in which it was allotted through the end of the subsequent fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

As part of the application, each State must submit an Implementation Report that describes the State's progress in implementing the State's Comprehensive Community Mental Health Services Plan for the preceding fiscal year and a report of the purposes for which the grant received for the preceding fiscal year were expended, including a description of the activities of the State under the program and the recipients of the funds. No cash reports are required. No progress reports are required. Final Financial Status/Federal Financial report is due 90 days after the end of the project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each State must maintain records which are consistent with their State laws and requirements.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Formula Grants) FY 10 \$399,735,000; FY 11 est \$398,935,530; and FY 12 est \$398,935,530

**Range and Average of Financial Assistance:**

\$50,000 to \$53,096,425, \$6,761,619.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 59 awards were made. Fiscal Year 2011: 59 awards were made. Fiscal Year 2012: It is estimated that 59 awards will be made in fiscal year 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 96.

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Simmons 1 Choke Cherry Road, Rockville, Maryland 20857 Email: virginia.simmons@samhsa.hhs.gov Phone: 240-276-1422 Fax: 240-276-1430

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must fulfill statutory and regulatory requirements. For information regarding statutory and regulatory requirements, contact Dr. Joyce Berry, State Planning and Systems Development Branch, Center for Mental Health Services, SAMHSA, PHS, 1 Choke Cherry Road, Room 2-1093 Rockville, MD 20850. Telephone: (240) 276-1736.

**93.959 BLOCK GRANTS FOR PREVENTION AND TREATMENT OF SUBSTANCE ABUSE**

(Substance Abuse Prevention and Treatment (SAPT) Block Grant)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

as amended, Public Law 106-310, Public Law 106-310, 42 U.S.C 300x; Public Health Service Act, Title XIX, Part B, Supart II.

**OBJECTIVES:**

To provide financial assistance to States and Territories to support projects for the development and implementation of prevention, treatment and rehabilitation activities directed to the diseases of alcohol and drug abuse.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds may be used at the discretion of the States to achieve the statutory objectives, including the fulfillment of certain requirements. Not less than 20 percent of the funds shall be spent for programs for individuals who do not require treatment for substance abuse, but to educate and counsel such individuals and to provide for activities to reduce the risk of such abuse by the individuals by developing community-based strategies for prevention of such abuse, including the use of alcoholic beverages and tobacco products by individuals to whom it is unlawful to sell or distribute such beverages or products. States shall expend not less than 5 percent of the grant to increase (relative to fiscal year 1994) the availability of treatment services designed for pregnant women and women with dependent children (either by establishing new programs or expanding the capacity of existing programs). In addition, a State that has a rate of acquired immune deficiency syndrome in excess of the rate stipulated at 42 USC 300A-24(b) must expend the portion of its block grant specified by 300A-24(b) for HIV early intervention services as defined by the PHS Act. States must require programs of treatment for intravenous drug abuse to admit individuals into treatment within 14 days after making such a request or 120 days of such a request, if interim services are made available within 48 hours. States will provide, directly or through arrangements with other public or nonprofit entities, tuberculosis services such as counseling, testing, treatment, and early intervention services for substance abusers at risk for the human immunodeficiency virus (HIV) disease. Other statutory requirements also apply.

**Applicant Eligibility:**

State and U.S. Territory Governments; or Tribal Organizations. NOTE: Only the Red Lake Band of Chippewa Indians is eligible for direct award of SAPT Block Grant Funds, per the PHS Act.

**Beneficiary Eligibility:**

Recipients of State and U.S. Territory Governments; or Tribal Organizations. NOTE: Only the Red Lake Band of Chippewa Indians is eligible for direct award of SAPT Block Grant Funds, per the PHS Act.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Chief Executive Officer of the State, Territory, or Tribal Organization (limited to the Red Lake Band of the Chippewa) must apply annually for an allotment.

**Award Procedure:**

Grant awards are issued directly by the Center for Substance Abuse Treatment to the designated State Agency, Territory, or Tribal organization (limited to the Red Lake Band of the Chippewa).

**Deadlines:**

Oct 01, 2011 The application is due no later than October 1 of the fiscal year for which SAPT Block Grant funding is being requested.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Synar Report is due by December 31, 2011.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title XIX, Part B, Subpart II, Public Law 106-310.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details. Under section 1930 Public Health Service Act, States expenditure for authorized activities at a level that is not less than the average level of such expenditures maintained by the State for the 2-year period preceding the fiscal year for which the State is applying for the grant.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation and expenditure during the fiscal year it was allotted through the end of the subsequent fiscal year for which the State is applying for the grant. Method of awarding/releasing assistance: quarterly.

**Reports:**

Synar report is due on December 31. No cash reports are required. Progress reports are not applicable. Final Federal Financial Report is due 90 days after the end of the budget period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, 45 CFR 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

The State's law and practices will govern, subject to guidance and regulations as may be promulgated by the Center for Substance Abuse Treatment, in accordance with the statutory requirements.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Formula Grants) FY 10 \$1,708,661,450; FY 11 est \$1,693,519,655; and FY 12 est \$1,693,519,655

**Range and Average of Financial Assistance:**

\$115,856 to \$249,428,956; \$28,225,328.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: It is estimated that 60 awards will be made in fiscal year 2011. Fiscal Year 2011: 60 awards were made. Fiscal Year 2012: It is estimated that 60 awards will be made in fiscal year 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96.

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Simmons 1 Choke Cherry Road, 7-1097, Rockville, Maryland 20857  
Email: virginia.simmons@samhsa.hhs.gov Phone: 240-276-1422 Fax:  
240-276-1430

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must fulfill statutory and Federal regulations and regulatory requirements. For information on statutory and Federal regulations requirements contact John J. Campbell, Division of State and Community Assistance, Center for Substance Abuse Treatment, SAMHSA, 1 Choke Cherry Road, Room 5-1069 Rockville, MD 20857.

**93.964 PUBLIC HEALTH TRAINEESHIPS**

Public Health Traineeships

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 767, as amended (42 U.S.C. 295b).

**OBJECTIVES:**

To support students pursuing a graduate degree in fields with a severe shortage of health professionals, such as epidemiology, environmental health, toxicology, nutrition, biostatistics, and maternal and child health through the provision of tuition, fees, stipends and allowances.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used only to support students enrolled in grant-eligible graduate programs for severe shortage public health professions. Students pursuing joint degrees such as the MPH/MD, MPH/MSN, MPH/MSA, etc., are eligible for traineeship support for completion of their public health degree only. Funding may not be sought for courses or other expenses related to their non-public health degree curriculum. Funding may not be used to support residency requirements. Traineeship expenditures are limited to payment of stipends, tuition and fees in accordance with the institution's established rates, and a transportation allowance on an individual trainee basis when prior approval has been obtained from the Grants Management Officer. Grantees may not spend grant funds for sectarian instruction or for any religious purpose. Use of traineeship funds for indirect cost (overhead) of the trainee institution is not authorized.

**Applicant Eligibility:**

Eligible applicants are schools of public health accredited by the Council on Education for Public Health (CEPH), and other public or nonprofit private institutions accredited by a body recognized for the purpose of providing specialized training in public health by the Secretary of the U.S. Department of Education.

**Beneficiary Eligibility:**

(1) Trainees must be United States Citizens or non-citizen nationals and foreign nationals who possess a visa permitting permanent residence in the United States. (2) Trainees must be pursuing a graduate degree in an accredited school of public health or other eligible institution. (3) For grants awarded on the basis of a formula, all trainees must meet the admission requirements specified in the approved grant application and those of the institution.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA is requiring all applicants applying for funding opportunities to apply electronically through Grants.gov. This is a formula-based award. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

All applications will be reviewed by program staff. Funding will be determined by a formula. The HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 5 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

Statutory Formula: Available funds are provided to schools of public health and other eligible accredited applicants on the basis of a formula which considers comparative enrollment of trainees in the applicant's proposal. This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for up to three years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Annual progress reports, in the form of HRSA's performance reporting system, are required. Electronic reporting requirements can be viewed at [www.HRSA.gov](http://www.HRSA.gov). A financial status report must be submitted within 90 days after the end of each budget period. A final progress report and final financial report must be submitted within 90 days after the end of the project period. Refer to the funding opportunity announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$1,436,417; FY 11 est \$1,436,405; and FY 12 est \$1,631,000

**Range and Average of Financial Assistance:**

Range: \$2,313 to \$204,541. Average: \$47,880.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose

of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Wendy Braund, MD, MPH, MEd, Chief, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Phone: (301) 443-6867. E-mail: [wbraund@hrsa.gov](mailto:wbraund@hrsa.gov).

Marian Ladipo, Public Health Analyst, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857. Telephone: (301) 443-7756 and Email: [mladipo@hrsa.gov](mailto:mladipo@hrsa.gov).

**Headquarters Office:**

Wendy Braund, MD, MPH, MEd, Room 9-36, 5600 Fishers Lane, Rockville, Maryland 20857 Phone: (301) 443-6867

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.405 ARRA - Public Health Traineeship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

After staff review, funds are awarded on a formula basis among the eligible applicant schools of public health and other accredited public or private nonprofit institutions based on the number of students preparing to enter occupations for which there exist severe shortages.

**93.965 COAL MINERS RESPIRATORY IMPAIRMENT TREATMENT CLINICS AND SERVICES**

Black Lung Clinics

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Federal Mine Safety and Health Act, Section 427(a); Black Lung Benefits Act; Public Law 95-239 as amended.

**OBJECTIVES:**

(1) To develop high quality, patient-oriented, integrated systems of care which assure access to and continuity of appropriate primary, secondary and tertiary care with maximum use of existing resources; (2) to minimize the effects of respiratory and pulmonary impairments in coal miners and others with occupational related respiratory diseases; and (3) to emphasize patient and family member education to maximize the patient's ability for self-care.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

USES: Grants may be used for the cost of providing diagnostic and treatment procedures required in the management of black lung and other respiratory impairments in coal miners and others with occupational related respiratory diseases, and costs of equipment and facilities renovation when these costs are demonstrated to be necessary to enable the implementation of services.

RESTRICTIONS: Support is available only in areas where it can be demonstrated that there are significant numbers of active and/or inactive coal miners.

**Applicant Eligibility:**

Any State and/or public or private entity. Federally recognized tribes and tribal organizations are eligible to apply.

**Beneficiary Eligibility:**

Coal workers with respiratory and pulmonary impairments and their families.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance will cover operational costs and grantees will generally be expected to begin to deliver services immediately. However, at the discretion of the awarding office, up to 6 months may be allowed for planning and program development. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Grantees are required to submit an annual report that describes the utilization costs of services provided under the grant, and provide such other information as the Secretary determines appropriate. The Black Lung Clinics Program Database report is due annually according to specific instructions from the Program Office. No cash reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and progress reports are due 90 days after the end of a project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 10 \$7,200,000; FY 11 est \$7,200,000; and FY 12 est \$7,200,000

**Range and Average of Financial Assistance:**

Range of awards is \$148,641 to \$1,502,561. The average award is \$437,269.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Nadia Ibrahim, [nibrahim@hrsa.gov](mailto:nibrahim@hrsa.gov); 301-443-5490, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane Room, 5A-05 Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Office of Rural Health Policy 5600 Fishers Lane, Room 5A-55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

<http://www.hrsa.gov/ruralhealth/>

**RELATED PROGRAMS:**

17.307 Coal Mine Workers' Compensation; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects will be funded based on the number of miners to be served and their needs as well as the quality and breadth of services to be provided. Projects must: (1) Describe the target population, the need for services, and the services to be provided; (2) Serve a significant number of coal workers with pulmonary impairment without regard for their ability to pay; (3) Provide the following for active and inactive miners: primary care services; patient and family education and counseling, outreach, patient care coordination (including individual patient care plans for all patients), smoking cessation information, and other symptomatic treatments; (4) Provide medical services in consultation a physician with special training or experience in the diagnosis and treatment of respiratory diseases; (5) Meet all criteria for approval and designation by the Department of Labor (under 20 CFR part 725) to perform disability examinations and provide treatment.

**93.969 GERIATRIC EDUCATION CENTERS**

GECs

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 753(a), Health Professions Education Partnerships Act of 1998, Public Law 105-392 as amended by the Patient Protection and Affordable Care Act of 2010, Public Law 111-148.

**OBJECTIVES:**

Grants are awarded to establish or operate Geriatric Education Centers. to provide interdisciplinary training of health professional faculty, students, and practitioners in the diagnosis, treatment and prevention of disease, disability, and other health problems of the elderly. Health professionals include allopathic physicians, osteopathic physicians, dentists, optometrists, podiatrists, pharmacists, nurse practitioners, physician assistants, chiropractors, clinical psychologists, health administrators, and other allied health professionals. Projects supported under these grants must offer training involving four or more health professions, one of which must be allopathic or osteopathic medicine, and must address all of the following statutory purposes: (a) improve the training of health professionals in geriatrics; (b) develop and disseminate curricula relating to the treatment of the health problems of elderly individuals; (c) support training and retraining of faculty to provide instruction in geriatrics; (d) support continuing education of health professionals who provide geriatric care; and (e) provide students with clinical training in geriatrics in nursing homes, chronic and acute disease hospitals, ambulatory care centers, and senior centers.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance can be used to establish and operate a Geriatric Education Center (GEC). Funds may not be used for trainee costs, the constructions of buildings or the acquisition of land.

**Applicant Eligibility:**

Grants may be made to accredited health professions schools as defined by Section 799B(1) of the Public Health Service Act, or programs for the training of physicians assistants as defined by Section 799B(3), or schools of allied health as defined in Section 799B(4), or schools of nursing as defined by Section 801(2).

**Beneficiary Eligibility:**

Accredited health professions schools.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded as cooperative agreements for a project period of up to five (5) years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual progress reports, in the form of HRSA's performance reporting system, are required. Electronic reporting requirements can be viewed at [www.HRSA.gov](http://www.HRSA.gov). No cash reports are required. Annual progress reports, in the form of HRSA's performance reporting system, are required. Electronic reporting requirements can be viewed at [www.HRSA.gov](http://www.HRSA.gov). Financial reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. See the funding opportunity announcement for further information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$17,226,774; FY 11 est \$17,670,864; and FY 12 est \$17,500,000

**Range and Average of Financial Assistance:**

FY 11: Range: \$216,000 - \$432,000. Average Award: \$408,200.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose

of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. CAPT Young Song, Acting Chief, Geriatrics and Allied Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857; telephone 301 443 3353 and E-mail [ysong@hrsa.gov](mailto:ysong@hrsa.gov).

Cynthia Arno, Public Health Analyst, Geriatrics and Allied Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857; telephone 301 443 3594 and E-mail [carno@hrsa.gov](mailto:carno@hrsa.gov).

**Headquarters Office:**

CAPT Young Song 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Email: [ysong@hrsa.gov](mailto:ysong@hrsa.gov) Phone: 301 443 3353

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by and Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Need; (2) Response; (3) Evaluative Measures; (4) Impact; (5) Resources/Capabilities; (6) Support Requested; and Interdisciplinary Collaboration, Education, and Training.

See GEC program guidance at [www.grants.gov](http://www.grants.gov).

**93.970 HEALTH PROFESSIONS RECRUITMENT PROGRAM FOR INDIANS**

(Recruitment Program)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Title I, Sections 202, 112, 114, and 122, Public Law 94-437, as amended, Public Laws 96-537, 100-713, and 102-573.

**OBJECTIVES:**

(1) To identify American Indians and Alaska Natives with a potential for education or training in the health professions, and to encourage and assist them to enroll in health or allied health professional schools; (2) to increase the number of nurses, nurse midwives, nurse practitioners and nurse anesthetists who deliver health care services to American Indians and Alaska Natives; and (3) to place health professional residents for short-term assignments at Indian Health Service (IHS) facilities as a recruitment aid.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Establishing and operating programs designed to recruit American Indians and Alaska Natives into health and allied health professional schools.

**Applicant Eligibility:**

Public or private nonprofit health or educational entities or Indian tribes or tribal organizations as specifically provided in legislative authority.

**Beneficiary Eligibility:**

Preference is given to applicants in the following order of priority: (1) Indian tribes; (2) tribal organizations; (3) urban Indian organizations and other Indian health organizations; or (4) other public or nonprofit health or educational entities.

**Credentials/Documentation:**

Costs for other institutions will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at (1-800) 518-4726 or [support@grants.gov](mailto:support@grants.gov). The Contact Center is open 24 hours a day, 7 days a week, closed on Federal holidays. If you require additional assistance please contact the Grants Policy Office at (301) 443-5204 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments.

**Award Procedure:**

Grants are made directly by the Indian Health Service to applicant agency, based on results of competitive review process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Within 90 days of IHS deadline.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 30 to 60 days. Continuation applications must be submitted annually. Continued funding is subject to availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments of grant funds are made through the DHHS Payment Management System (PMS) or DHHS Electronic Transfer System. Information will be forwarded to new grantees regarding the process of obtaining funds. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as

noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. Grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 10 \$1,068,250; FY 11 est \$1,068,250; and FY 12 est \$1,068,250 - for American Indians into Medicine (InMed). (Cooperative Agreements (Discretionary Grants)) FY 10 \$757,386; FY 11 est \$757,386; and FY 12 est \$757,386 - for American Indians into Psychology (InPsych). (Project Grants) FY 10 \$1,681,203; FY 11 est \$1,677,840; and FY 12 est \$1,677,840 - for Indians into Nursing, section 112.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.310 - 36.319. Final rules and regulations, the Indian Health Care Improvement Act, Public Law 94-437, amended by Public Law 100-713, enacted November 23, 1988; and Public Law 102-573, enacted October 29, 1992; HHS Grants Policy Statement revised January, 2007.

**Regional or Local Office:**

None. Grants Contact - Ms. Tammy Bagley, Acting Director, Division of Grants Management, 12300 Twinbrook Parkway, Suite 360, Rockville MD 20852, phone: (301) 443-5204.

**Headquarters Office:**

Grants Policy Office 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Potential effectiveness of the proposed project in carrying out such purposes, (2) the demonstrated capability of the applicants to successfully conduct this type of project, (3) accessibility of the applicant to the target population, (4) relationship of project objectives and known or anticipated Indian health manpower objectives, (5) soundness of the fiscal plan, (6) cost reasonableness, and (7) completeness of the application.

**93.971 HEALTH PROFESSIONS PREPARATORY SCHOLARSHIP PROGRAM FOR INDIANS**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94-437.

**OBJECTIVES:**

To make scholarships to American Indians and Alaska Natives for the purpose of completing compensatory pre-professional education to enable the recipient to qualify for enrollment or re-enrollment in a health professions school or

curriculum.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Scholarship awards are limited to persons of American Indian or Alaska Native descent. Awards are limited to a maximum of 2 years of full-time scholarship support under this section of the Indian Health Care Improvement Act.

**Applicant Eligibility:**

Scholarship awards are made to individuals of American Indian or Alaska Native descent, who have successfully completed high school education or high school equivalency and who have been accepted for enrollment in a compensatory, pre-professional general education course or curriculum.

**Beneficiary Eligibility:**

Individuals of American Indian or Alaska Native descent.

**Credentials/Documentation:**

Students must submit proper documentation of Indian eligibility verification from the college advisor that the courses or curriculum to be taken are required to meet the applicant's deficiency and compensatory needs at the professional level and represent the number of credit hours which the school considers as full-time or at least 6 credit hours per semester for part-time. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms and instructions are provided by the Indian Health Service (IHS) Scholarship Program acting through the IHS Area Program Offices. Application forms and required documentation (official transcripts, letter of acceptance by college, curriculum verification, Indian eligibility, tuition verification, faculty evaluations) should be submitted to IHS Headquarters for review and approval/disapproval.

**Award Procedure:**

Tuition payments and fees are made to the college or university, upon receipt of an invoice.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation applications must be submitted annually. Continued funding subject to availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Tuition payments are paid upon receipt of invoices from the universities. See the following for information on how assistance is awarded/released: Tuition payments are paid upon receipt of invoices from the universities.

**Reports:**

No program reports are required. No cash reports are required. Students are required to submit their official transcripts as they are received. In addition, recipients must submit initial progress reports on forms supplied by IHS and notifications of problems/changes. No expenditure reports are required. No performance monitoring is required.



**Audits:**

Not Applicable.

**Records:**

Indian Health Service Scholarship Branch, IHS, maintains records on all students. Records are maintained for 4 years after the final award payment has been made.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Training) FY 10 \$666,946; FY 11 est \$131,980; and FY 12 est \$158,376

**Range and Average of Financial Assistance:**

FY 2010 - \$21,791 - \$50,347; avg \$28,998

FY 2011 - \$4,983 - \$32,002; avg \$14,030.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.320 - 36.324. Final Rules and Regulations, the Indian Health Care Improvement Act, Public Law 94-437, published in the Federal Register on November 18, 1977.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Indian Health Service Area Offices.

Program Contact: Dr. Dawn Kelly, Scholarship Branch, Division of Health Professions Support, 801 Thompson Avenue, Suite 450A, Rockville, MD 20852. Telephone: (301) 443-6197.

Grants Contact: Ms. Tammy Bagley, Grants Policy Officer, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Headquarters Office:**

Grants Policy Office, 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: (301) 443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant must be American Indian or Alaska Native. Other elements considered are: (1) Academic performance; (2) faculty recommendation; (3) stated reasons for asking for the scholarship; (4) goals of the individual; and (5) the relative needs of the IHS and Indian health organizations for persons in specific health professions are taken under consideration.

**93.972 HEALTH PROFESSIONS SCHOLARSHIP PROGRAM****FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94-437.

**OBJECTIVES:**

To provide scholarships to American Indians and Alaska Natives at health professions schools in order to obtain health professionals to serve Indians. Upon completion, scholarship recipients are obligated to serve in the Indian Health Service or an Indian health organization for each year of support with a minimum of 2 years.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Scholarships support students who pursue full-time or part-time courses of study in health professions needed by the Indian Health Service (IHS). Disciplines have included allopathic and osteopathic medicine, dentistry, nursing (baccalaureate and graduate), public health nutrition (graduate), medical social work (graduate), speech pathology/audiology (graduate), optometry, pharmacology and health care administration. Not all disciplines participate each year. Scholarships may not be awarded to students who have conflicting service obligations after graduation or who are not enrolled members of Federally-recognized tribes. Recipients are required to perform 1 year of obligated service for each year of scholarship support, with a minimum obligation of 2 years in the Indian Health Service, or in a program conducted under a contract entered into under the Indian Self-Determination Act; or in an Indian health organization assisted under Title V of the Indian Health Care Improvement Act; or in private practice in a Health Manpower Shortage Area which addresses the health care needs of a substantial number of Indians. Deferment for internship, residency, or other advanced clinical training for medical, osteopathy, and dental students is generally not to exceed 3 years, consistent with the specialty needs of the IHS. Currently, 4-year deferments may be granted for obstetrics- gynecology and psychiatry residencies.

**Applicant Eligibility:**

Individuals of American Indian or Alaska Native who are enrolled members of a Federally-recognized tribe are eligible. Applicants for new awards: (1) must be accepted by an accredited U.S. educational institution for a full-time or part-time course of study leading to a degree in medicine, osteopathy, dentistry, or other participating health profession which is deemed necessary by the Indian Health Service; (2) be eligible for or hold an appointment as a Commissioned Officer in the Regular or Reserve Corps of the Public Health Service; or (3) be eligible for civil service in the Indian Health Service.

**Beneficiary Eligibility:**

Individuals of American Indian or Alaska Native who are enrolled members of Federally-recognized tribe; full-time students of medicine or other health professions; prospective or currently Commissioned Officers in the Regular or Reserve Corps of the Public Health Service; and eligible civilians of the Indian Health Service.

**Credentials/Documentation:**

Students claiming Indian priority must submit proper certification and documentation as specified in the application. All applicants must provide transcripts of their latest academic work. All incoming freshmen are to provide copies of acceptance letters for enrollment in school. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms and instructions are provided by the Indian Health Service Scholarship Program, acting through the IHS Area offices.

**Award Procedure:**

Priority will be given to applicants who are prior recipients. Special consideration is given to junior and senior level students whose specialty plans are in primary care fields. Criteria which determine competitive ranking awards may include: (1) work experience, preferably health-related in communities of health care need; (2) personal background from a community of health care need; (3) career goals of primary care practice in service to Indians; and, (4) academic performance. Student financial need does not affect selection.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation applications must be submitted annually. Continued funding subject to availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Maximum length of funding is a total of 4 years. See the following for information on how assistance is awarded/released: Tuition payments and fees are paid upon receipt of invoices from the universities. Stipend payments are paid monthly for the 12-month academic period. An amount for books and other necessary expenses is provided to the student.

**Reports:**

No program reports are required. Annual reports are required from schools indicating average student educational expense. Students are required to submit their official transcripts as they are received. In addition, recipients must submit initial and mid-term progress reports on forms supplied by IHS. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

The Indian Health Service Scholarship Program maintains records for 7 years following completion of obligated service or other disposition of the scholarship obligation.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Training) FY 10 \$12,696,585; FY 11 est \$11,002,393; and FY 12 est \$13,202,972

**Range and Average of Financial Assistance:**

FY 2010 - \$13,270 - \$109,312; avg \$47,626  
FY 2011 - \$10,710 - \$106,110; avg \$43,603.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Dr. Dawn Kelly, IHS Scholarship Program, Division of Health Professions Support, Indian Health Service, 801 Thompson Avenue, Suite 450A, Rockville, MD 20852. Telephone: (301) 443-6197.

Grants Management Contact: Ms. Tammy Bagley, Grants Policy Officer, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360, Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

See Appendix IV of the Catalog for Indian Health Service Area Program Offices.

**Headquarters Office:**

Grants Policy Office, 12300 Twinbrook Parkway, Suite 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: (301) 443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Academic performance; (2) faculty recommendations; (3) stated reasons for asking for the scholarship; (4) goals of the individual; and (5) the relative needs of the IHS and Indian health organizations for persons in specific health professions.

**93.974 FAMILY PLANNING\_SERVICE DELIVERY IMPROVEMENT RESEARCH GRANTS**

(SDI)

**FEDERAL AGENCY:**

Office of Population Affairs, Department of Health and Human Services

**AUTHORIZATION:**

Title X of the Public Health Service Act, as amended, Section 1005, as applicable, 42 CFR 59, Public Law 91-572.

**OBJECTIVES:**

To promote service delivery improvement through research studies and application of knowledge.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to develop research studies for the improvement of family planning services delivery of projects funded under Title X, Section 1001 of the Public Health Service Act. Funds may not be used in programs where abortion is a method of family planning.

**Applicant Eligibility:**

Any public entity (city, county, local, regional, or State government) or private nonprofit entity located in a State (including the District of Columbia, Puerto Rico, the Commonwealth of the Northern Marianas Islands, Guam, American Samoa, the Virgin Islands, the Federated States of Micronesia, the Republic of Marshall Islands and the Republic of Palau) is eligible to apply for a grant under this subpart.

**Beneficiary Eligibility:**

All levels of government and nonprofit entities responsible for the efficient and effective delivery of family planning services; providers and recipients of family planning services; and the general public.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs charged to the grant will be determined in accordance with the following cost principles: OMB Circular No. A-21, for educational institutions, OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-122 for nonprofit organizations. Faith based organizations are eligible to apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application Form PHS-398 (Rev. May 1995) for research grants should be submitted. The standard application forms, as furnished by PHS and required by 45 CFR, Part 74, (for institutions of higher education, hospitals and other non-profit organizations), and 45 CFR, Part 92 (for state and local governments), must be used for this program. This program is subject to the provisions of 45 CFR, Part 74, and 45 CFR, Part 92, as well as OMB Circular No. A-102 (administrative guidelines and standards for states and local governments), and OMB Circular No. A-110 (administrative guidelines and standards for institutions of higher education, hospitals, and other non-profit organizations).

**Award Procedure:**

The Deputy Assistant Secretary for Population Affairs makes final decisions to approve, hold, or reject individual grants or contracts. Applicants are notified regarding the final decision on each application and are furnished statements of

award for all projects approved.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 150 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Projects are renewed, as required, based on submission of an application, including a progress report and evidence of plan compliance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be approved for a budget period not to exceed 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53, and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 10 \$6,900,000; FY 11 est \$6,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$150,000 to \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Thirty organizations are funded through this multi-year cooperative agreement program, the grantees obtain data or research-based information that is used to help improve the delivery of family planning services. They conduct data analysis and related research, and evaluation on issues of interest to the family planning field. By closing the observed gaps that exist in the array of data and analysis, this has been useful to family planning administrators and providers, researchers and officials of local, State and the Federal government, including OPA, in order to improve the delivery of family planning services to persons needing and desiring such services. The need for such data is likely to increase and these projects have increased the availability of data and research-based information. Fiscal Year 2011: Thirty organizations

are funded through this multi-year cooperative agreement program, the grantees obtain data or research-based information that is used to help improve the delivery of family planning services. They conduct data analysis and related research, and evaluation on issues of interest to the family planning field. By closing the observed gaps that exist in the array of data and analysis, this has been useful to family planning administrators and providers, researchers and officials of local, State and the Federal government, including OPA, in order to improve the delivery of family planning services to persons needing and desiring such services. The need for such data is likely to increase and these projects have increased the availability of data and research-based information. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. OPHS-Office of Population Affairs, Office of Family Planning Tower Building, 1101 Wootton Pkwy Suite 700 Rockville, MD 20852. Phone 240-453-2828

OPHS-Office of Grants Management

Tower Building 1101 Wootton Parkway, Suite 550 Rockville, MD 20852. Phone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.opa.gov>

**RELATED PROGRAMS:**

93.217 Family Planning\_Services; 93.260 Family Planning\_Personnel Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: (1) Studies of factors influencing women to discontinue attending family planning clinics; (2) studies of particular family planning needs of underserved subgroups of low income women; and (3) studies to tailor family planning services to the needs of teens. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Scientific merit and significance; competency of project staff; feasibility, reasonableness of proposed budget period relative to proposed research; adequacy of applicant's resources; amount of support required; adequacy of methodology; adequacy of the means for protecting against adverse effects upon humans, animals, or the environment (when applicable).

**93.975 NATIONAL ALL SCHEDULES PRESCRIPTION ELECTRONIC REPORTING GRANT**

NASPER

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 3, Part P, Public Law 109-60, 42 U.S.C 280g-3.

**OBJECTIVES:**

To foster the establishment of State-administered controlled substance monitoring programs (PMP) in order to ensure that health care providers have access to the accurate, timely prescription history information that they may use as a tool for the early identification of patients at risk for addiction in order to initiate appropriate medical interventions and avert the tragic personal, family, and community consequences of untreated addiction.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and indirect costs) are to be used for expense

clearly related and necessary to carry out the establishment and implementation of a State PMP or to make improvements to an existing State PMP.

**Applicant Eligibility:**

State and District of Columbia.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. All applicants must use application HHS-5161-1. States, including the District of Columbia, must apply annually for an allotment, and are required to submit an application which contains a State response to how it would meet the requirements set forth in the Request for Application (RFA).

**Award Procedure:**

Application for grants recommended for approval by the review group and concurred by the Center Director (CSAT) are awarded directly by CSAT to the applicant organization.

**Deadlines:**

Aug 10, 2010 A hard copy application is due by 5:00 PM (EST). An electronic application is due by 11:59 PM (EST).

**Range of Approval/Disapproval Time:**

From 15 to 30 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title PHS Act Title III, Part P, Public Law 109-60; 42 USC 280g-3.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation and expenditure during the fiscal year it was allotted. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Quarterly report SF272 required by the Division of Payment Management. Quarterly. quarterly reports for SF 425 required to be submitted to the Division of Payment Management. Yearly financial status reports are due 90 days after the end of the project period to OPDIV. Performance monitoring will be done through progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year records retention requirement. If any litigation, claim, negotiation, audit or other actions involving the records, records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Formula Grants) FY 10 \$2,000,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$52,922 to \$454,587; \$153,846.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and 92 and the HHS Grant Policy Statement found at <http://www.hhs.gov/asrt/og/grantinformation/hhsgps107.pdf>

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Simmons 1 Choke Cherry Road, 7-1091, Rockville, Maryland 20857  
Email: [virginia.simmons@samhsa.hhs.gov](mailto:virginia.simmons@samhsa.hhs.gov) Phone: 240-276-1422 Fax: 240-276-1430

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Eligible applicants who submit an application for improving a State PMP must include a budget cost estimate and a plan for ensuring that the State controlled substance monitoring program is in compliance to the following criteria and penalty requirements: criteria for security information handling and for the database maintained by the State; an agreement to adopt interoperability standards, including health vocabulary and messaging standards, set by SAMHSA; criteria for meeting the uniform electronic format set by SAMHSA; criteria for availability of information and limitation on access to program personnel; criteria for access to the database and procedures to ensure that information in the database is accurate; criteria for the use and disclosure of information including the description of the certification process to be applied to requests for information; penalties for the unauthorized use and disclosure of information maintained in the monitoring program in violation of applicable State law or regulation. A plan is also needed to enable the State PMP to achieve interoperability with at least one other State PMP. Assurances of compliance must be made; however, if compliance is not feasible or is contrary to the best interests of public health in that state, a statement describing why must be submitted. In addition to the criteria mentioned above, applications for establishing and implementing a State PMP must also include information on the relevant State laws, policies, and procedures regarding purging of information from the database; and assurances of compliance with all requirements for this program.

**93.977 PREVENTIVE HEALTH SERVICES SEXUALLY TRANSMITTED DISEASES CONTROL GRANTS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Public Law 100-202.

**OBJECTIVES:**

To reduce morbidity and mortality by preventing cases and complications of sexually transmitted diseases (STD). Project grants under Section 318c awarded to State and local health departments emphasize the development and implementation of nationally uniform prevention and control programs which focus on disease intervention activities designed to reduce the incidence of these diseases, with applied research, demonstration, and public and professional education activities supporting these basic program activities authorized under Section 318b of the Public Health Service Act.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Grant funds may be used for: (1) Sexually-transmitted disease (STD) surveillance activities, including reporting, screening, and follow-up of diagnostic tests for, and diagnosed cases of, STD; (2) STD case finding and case follow-up activities, including notification of sex partners to infectious cases of STD and follow-up systems; (3) interstate epidemiological referral and follow-up activities; (4) program-specific professional (including appropriate allied health personnel) STD education, training, and clinical skills improvement activities as authorized under section 318(b) of the PHS Act; (5) program-specific STD education and information activities as authorized under Section 318b of the PHS Act; (6) special studies or demonstrations to evaluate or test STD prevention activities; and (7) control strategies and activities as may be prescribed by the Secretary. Grant funds may not be used for: (1) Supplanting funds supporting existing STD control services provided by a State or locality; or (2) unless specifically approved for that purpose, grant funds shall not be used for performing diagnostic tests (other than gonorrhea screening tests), maintaining central registries, providing diagnostic and treatment facilities and services, or purchasing automated data processing equipment.

**Applicant Eligibility:**

Any State, and, in consultation with the appropriate State Health Authority, any political subdivision of a State, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Beneficiary Eligibility:**

Any State or authorized subdivision including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Telephone: (770) 488-2720. This program is subject to the provisions of 45 CFR, 92. The standard application forms, as furnished by PHS and required by 45 CFR, 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval, a Notice of Grant Award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 3 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period: From one to five years; budget period: 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Bi-Annual and Annual performance reports. Financial status reports no later than 90 days after the end of each specified period. No expenditure reports are required. Bi-Annual and Annual.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$102,099,256; FY 11 est \$103,677,139; and FY 12 est \$102,671,776

**Range and Average of Financial Assistance:**

\$43,522 to \$6,776,893; Average- \$1,382,362.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for this program are published under 42 CFR 51b. Guidelines are available. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov/std/>

**RELATED PROGRAMS:**

93.217 Family Planning\_Services; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.260 Family Planning\_Personnel Training; 93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.855 Allergy, Immunology and Transplantation Research; 93.856 Microbiology and Infectious Diseases Research; 93.865 Child Health and Human Development Extramural Research; 93.978 Preventive Health Services\_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the magnitude of the problem, the establishment of specific and measurable objectives to address the problem, and the development of a sound operational plan which will ensure the implementation of each program element.

**93.978 PREVENTIVE HEALTH SERVICES SEXUALLY TRANSMITTED DISEASES RESEARCH, DEMONSTRATIONS, AND PUBLIC INFORMATION AND EDUCATION GRANTS****FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 318b, Public Law 100-202.

**OBJECTIVES:**

To develop, improve, apply, and evaluate methods for the prevention and control of gonorrhea, chlamydia, syphilis, and other sexually-transmitted diseases (STD) through demonstrations and applied research; to develop, improve, apply, and evaluate methods and strategies for public information and education about syphilis, gonorrhea, chlamydia and other STD, and to support professional (including appropriate allied health personnel) STD education, training, and clinical skills improvement activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for: (1) The costs associated with planning, organizing, and conducting applied research, demonstrations, and education programs; (2) professional (including appropriate allied health personnel) STD education, training, and clinical skills improvement activities; and (3) to reimburse individuals asked to be participants in the applied research. Such reimbursements must be submitted for specific approval. Grant funds may not be used for supplanting funds supporting existing STD control services provided by a State or locality. Proposals for applied research involving human subjects must follow current Public Health Service (PHS) and Centers for Disease Control and Prevention (CDC) guidelines on human experimentation.

**Applicant Eligibility:**

Any State, political subdivisions of States, and any other public or private nonprofit institutions including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Beneficiary Eligibility:**

Any State, political subdivisions of States, and any other public or private nonprofit institutions including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Credentials/Documentation:**

Applicants should document the need for assistance, describe the evaluation procedures, and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical

Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. The standard application forms 5161 must be used for the program as furnished by CDC and required by 45 CFR 92 for state and local governments and by 45 CFR 74 for nongovernmental applicants. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate.

**Award Procedure:**

Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by the NCIPC in accordance with the review criteria listed above. As part of the initial merit review, all applications may: 1) Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score; 2) receive a written critique; and 3) receive a second level review by the Science and Program Review Subcommittee (SPRS) of the Advisory Committee for Injury Prevention and Control (ACIPC). Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 3 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Same as in Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period: From 1 to 5 years; budget period: 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$4,873,432; FY 11 est \$0; and FY 12 est \$0 - 93.978 is not being used for the current PTC FOA. 2011 & 2012 funds are now being funded under 93.941.

**Range and Average of Financial Assistance:**

\$242,921 to \$610,912; Average - \$358,572.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 51b. Guidelines are available. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov/std/>.

**RELATED PROGRAMS:**

93.217 Family Planning\_Services; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.260 Family Planning\_Personnel Training; 93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.855 Allergy, Immunology and Transplantation Research; 93.856 Microbiology and Infectious Diseases Research; 93.865 Child Health and Human Development Extramural Research; 93.977 Preventive Health Services\_Sexually Transmitted Diseases Control Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the need for the proposal and its potential benefit(s) to STD control; possible effects upon local STD control programs; consistency with national program goals; specific and measurable objectives; a workable and meaningful plan for evaluation; and a sound operational plan that ensures the proposal can be carried out to reach stated objectives.

**93.982 MENTAL HEALTH DISASTER ASSISTANCE AND EMERGENCY MENTAL HEALTH**

(Mental Health Disaster Assistance)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act., Section 416, Public Law 100-707.

**OBJECTIVES:**

To provide supplemental emergency mental health counseling to individuals affected by major disasters, including the training of workers to provide such counseling.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides funds for staff, travel, consultants and other expenses incident to the provision of mental health counseling to and referral of individuals in a disaster area. Funds may not be used for long-term treatment.

**Applicant Eligibility:**

Applicants may be State or local nonprofit agencies as recommended by the State Governor and accepted by the Secretary.

**Beneficiary Eligibility:**

Individuals who were victims of major disasters.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. Application form (PHS 5161-1) is submitted by the State Coordinating Officer to the Regional Director, Federal Emergency Management Agency, no later than 60 days following declaration of a disaster. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications are reviewed by an objective review committee and recommended for approval or disapproval. Final determination for an award is made by Federal Emergency Management Agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. 30 to 60 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance may be for 9 months with a possible extension of up to 90 days as approved by FEMA Regional Director. See the following for information on how assistance is awarded/released: SAMHSA Grants Management Office notifies grantees through a Notice of Award (NoA).

**Reports:**

A final program report is due 90 days after the end of the budget/project period. The SF-425 Federal Financial Report is required by SAMHSA, Grants Management Office 90 days after the end of the budget Period. No cash reports are required. A final progress report is due 90 days after the end of the budget/project period. The project officer requires a quarterly budget expenditure report to determine the supplemental funding. The project officers monitors grantees progress through frequent site visits and request for budget changes, etc.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, 45 CFR 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**Account Identification:**

75-1362-0-1-550.

**Obligations:**

(Project Grants (Special)) FY 10 \$6,525,498; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$694,600 to \$2,134,752; \$1,305,100.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 5 awards were funded in FY 2010. Fiscal Year 2011: None. Fiscal Year 2012: None.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See 44 CFR 205. Guidelines available in application kit. Disaster Assistance and Emergency Mental Health, DHHS Publication No. (ADM) 76-327. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Director, Federal Emergency Management Agency in the appropriate regional office. (See Appendix IV of the Catalog.).

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: kathleen.sample@samhsa.hhs.gov Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Presidential declaration of the disaster area. Justified need for supplementary services.

**93.988 COOPERATIVE AGREEMENTS FOR STATE-BASED DIABETES CONTROL PROGRAMS AND EVALUATION OF SURVEILLANCE SYSTEMS**

(DPCPs)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Section 301(a) 317(k)(3), Public Law USC-95-626.

**OBJECTIVES:**

Diabetes Prevention and Control Programs (DPCPs) are funded by the CDC's Division of Diabetes Translation to address the following national level goals:

- 1) Prevent diabetes.
- 2) Prevent the complications, disabilities, and burden associated with diabetes.
- 3) Eliminate diabetes-related health disparities.
- 4) Maximize organizational capacity to achieve the National Diabetes Program goals.

DPCPs aim to achieve system and population-level change and, ultimately, to improve health outcomes by coordinating and leveraging the efforts of the statewide diabetes community. They are responsible for establishing partnerships with key partner groups/organizations in support of the national goals, and for implementing and evaluating evidence-based interventions in three main focus areas (1. social, environmental, and policy approaches; 2. health communication; and 3. health care systems) to improve A1C, blood pressure, and cholesterol/lipid control in populations with the greatest diabetes burden/risk.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may be used for costs associated with planning, implementing, and evaluating State based diabetes control programs. Cooperative Agreement funds may not be used for direct curative or rehabilitative services.

**Applicant Eligibility:**

Eligible applicants are the official State and territorial health agencies of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa.

**Beneficiary Eligibility:**

State health agencies will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe evaluation procedures, and provide a budget with justification for funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. Matching funds are required from non-federal sources in the amount of not less than \$1 for each \$4 federal funds awarded to grantees. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period: 5 years. Budget period: Approximately 12 months. All funds awarded should be spent by the end of the project period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Progress reports are required annually. A plan of action is required annually. Cash reports are not applicable. Progress reports are required annually. A plan of action is required annually. Financial status reports are required no later than 90 days after the end of each specified funding period. Final financial status and progress reports are required 90 days after the end of a project. Progress reports are required annually. A plan of action is required annually.



**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 10 \$27,433,958; FY 11 est \$24,626,941; and FY 12 est \$24,626,941

**Range and Average of Financial Assistance:**

FY 09 range is \$202,000 to \$1,043,922.

FY 10 range is \$202,000 to \$1,043,922.

FY 11 range is \$181,800 to \$939,530.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Barbara Park, Program Evaluation Branch, Division of Diabetes Translation, National Center for Chronic Disease Prevention and Health Promotion, Centers for Health and Human Services, 1600 Clifton Road, NE., Atlanta, GA 30333. Telephone: (770) 488-1094. Grants Management Contact: Mildred Garner, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488- 2745.

**Headquarters Office:**

Barbara Z Park, 2877 Brandywine Road  
Williams Building, Atlanta, Georgia 30341 Email: BPark@cdc.gov Phone: (770) 488-1094 Fax: (770) 488-5966.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Background and Need - the extent to which the applicant justifies the need for this program, including whether sufficient information is provided to describe the diabetes burden in the state, the state's environment, anticipated barriers to reducing the burden of diabetes, and plans to overcome barriers.

Project Work Plan 1) Administration, Management, and Leadership - the extent to which the applicant describes plans to address recipient activities in the following categories that are realistic and feasible given the time and resources allocated: a) Five-year Strategic Plan, b) Leadership and Collaboration/Partnership, c) Training, Technical Assistance, and Consultation, d) Coordination of Efforts among Chronic Disease Prevention and Health Promotion Programs, e) Information Exchange, f) Sustainability, and g) Program Management, including the extent to which the staffing number and qualifications will support the objectives and activities of the program. 2)

Surveillance, Analyses, and Evaluation - the extent to which the applicant describes plans to address recipient activities in these three categories that are realistic and feasible given the time and resources allocated.

Accomplishments - the extent to which the applicant describes the program accomplishments within the past five and a half years, including the program's contributions to improving the current national objectives.

Proven Capacity - the extent to which the applicant's narrative description of its past performance demonstrates its ability to manage fiscal resources, implement an effective management plan, and maintain and develop adequate leadership and staffing capacity to carry out the program objectives/activities.

**93.989 INTERNATIONAL RESEARCH AND RESEARCH TRAINING**

Global Health Research and Research Training

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301 and 405, as amended; 42 U.S.C. 241 and 284.

**OBJECTIVES:**

The John E. Fogarty International Center (FIC) supports research and research training to reduce disparities in global health and to foster partnerships between U.S. scientists and their counterparts abroad. FIC supports basic biological, behavioral, and social science research, as well as related research training. The research portfolio is divided into several programs that support a wide variety of funding mechanisms to meet programmatic objectives.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

Research and Research Training Grants provide funds for salaries, equipment, supplies, travel, tuition, and other expenses associated with research training and scientific investigation concerning global health issues. These grants are awarded to universities; colleges; medical, nursing and dental schools; hospitals; and other non-profit and for-profit institutions. Awards include grants, cooperative agreements, international research training grants, and career development awards.

**Applicant Eligibility:**

In general, universities, colleges, hospitals, laboratories, Federal institutions and other public or private non-profit and for-profit domestic and foreign institutions, and State and local units of government are eligible to submit applications for research grants, research training grants, cooperative agreements, and career development awards. The grantee institution must agree to administer the grant in accordance with prevailing regulations and policies. The eligibility requirements may differ amongst FIC programs, based on the eligibility section found in our Requests For Applications (RFAs) and Program Announcements (PAs) at: <http://www.fic.nih.gov/Pages/Default.aspx>.

**Beneficiary Eligibility:**

Usually any non-profit or for-profit organization, company or institution engaged in health and biomedical research.

**Credentials/Documentation:**

Applications for research grants must present the objectives, methodology, and resources for the specific research project, and must demonstrate the applicant's competence and interest. For training grants, the applicant's academic record, research experience, and the proposed area and plan of training must be included in the application. The applicant institution must present the objectives, training program, and resources for the research-training program, the research qualifications and experience of directing staff in training students (the criteria to be used in selecting individuals for awards), a detailed budget, and justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular A-21 - Cost Principles for Educational Institutions, Circular A-110 - Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, OMB Circular A-122 for Nonprofit Organizations, Circular A-102 - Grants and Cooperative Agreements with State and Local Governments, and Circular A-87, Cost Principles for State, Local and Indian Tribal Governments. For-profit organizations' costs are determined in accordance with Subpart 31.2

of the Federal Acquisition Regulations. For other than State and local government grantees, costs will be determined by Health and Human Services (HHS) Regulations 45 CFR, Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard application forms, as required by 45 CFR, Part 74 and 92, must be used for this program. Detailed instructions for submitting applications to our programs are provided in our Requests For Applications (RFAs) and Program Announcements (PAs) at: <http://www.fic.nih.gov/Funding/Pages/Fogarty-Funding-Opps.aspx>.

**Award Procedure:**

Applications are reviewed initially for scientific and technical merit. This is followed by a second level review by the Fogarty International Center's Advisory Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants: From six to nine months.

**Appeals:**

A Principal Investigator (PI) may question the substantive or procedural aspects of the initial scientific review of his or her application by communicating with FIC staff.

**Renewals:**

Non-competing renewal applications may be made for all multi-year awards. Applicants must submit their request on form PHS 2590 approximately two months before the end of the last budget period. Competing renewal applications may be submitted only if allowed in the RFA or PA.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Approval of a project includes determination of support for the authorized project period (not to exceed five years). Awards to support the project are usually made on an annual basis. At the time of initial award, the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project beyond the approved initial project period. Funds are disbursed via the PMS Electronic Transfer System for domestic grantees, and by U.S. Treasury Check or Direct Deposit for foreign grantees. Loan Repayment Program Awards are for two years with the opportunity for renewal. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. Cash reports are not applicable. The grantee is responsible for annual progress reports. These reports are required for program analysis as part of all continuation applications. In addition, a final report must be filed within 90 days of the termination of the grant. The final report includes an account of progress made toward achievement of the originally stated aims; a list of the significant results; and a list of publications resulting from the projects. For most projects, Fellow Financial Reports (FFR), Form SF425, must be filed 90 days after each competitive segment is completed. Reports must be provided to FIC staff in accordance with the CFR Title 42 Part 52 - Grants for Research Projects and the CFR Title 45 Part 74 - Uniform Administrative Requirements for grants and cooperative agreements. Annually for training grants, research grants, direct foreign awards not under SNAP. SNAP grantees guidelines requires a final projects report at the end of the project period. Performance is monitored annually by the NIH/Fogarty Center program staff.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement:

1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or
2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FFR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FFR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FFR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FFR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0819-0-1-552.

**Obligations:**

(Salaries) FY 10 \$69,956,971; FY 11 est \$70,051,000; and FY 12 est \$71,328,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: AIDS International Training and Research Program: 5 Awards

Brain Disorders in the Developing World: 16 awards

Ecology of Infectious Diseases Program: 2 awards

Fogarty International Research Collaboration Award - Basic Biomedical: 18

awards

Fogarty International Research Collaboration Award - Behavioral and Social Sciences: 7 awards

Global Health Research Initiative Program for New Foreign Investigators: 8 awards

International Clinical, Operational and Health Services Research and Training Award for HIV/AIDS and Tuberculosis: 6 awards

International Malaria Clinical, Operational and Health Services Research Training Program Planning Grants: 1 award

International Research Scientist Development Award: 2 awards

Millennium Promise Awards: Non-communicable Chronic Diseases Research Training Program: 4 awards. Fiscal Year 2011: Examples of funded projects for FY 2011 will focus on projects which provides important support to the following goals in the Fogarty International Center's Strategic Plan for 2008-2012. " Goal I: Mobilize the scientific community to address the shifting global burden of disease and disability. Goal II: Bridge the training gap in implementation research. Goal III: Develop human capital to meet global health challenges. Goal IV: Foster a sustainable research environment in low- and middle-income countries. and Goal V: Build strategic alliances and partnerships in global health research and training.. Fiscal Year 2012: Examples of funded projects for FY 2012 will focus on projects which provides important support to the following goals in the Fogarty International Center's Strategic Plan for 2008-2012. " Goal I: Mobilize the scientific community to address the shifting global burden of disease and disability. Goal II: Bridge the training gap in implementation research. Goal III: Develop human capital to meet global health challenges. Goal IV: Foster a sustainable research environment in low- and middle-income countries. and Goal V: Build strategic alliances and partnerships in global health research and training..

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Human Services

#### **AUTHORIZATION:**

Title III of the U.S. Public Health Service Act: 42 U.S.C. Section 301, also Section 1110 of the Social Security Act (42 U.S.C. 1310), along with funds appropriated under 42 U.S.C. 300U-6, Section 1707 of the Public Health Service Act, as amended., 42 U.S.C 300u-6.

#### **OBJECTIVES:**

To engage national membership organizations from various sectors as a means of expanding and coordinating health promotion efforts. To promote the development, implementation and coordination of programs that promote good health habits and programs that are designed to prevent disease and disability. These objectives are consistent with the General Authorities set forth in Sections 1701(a) and 301 of the Public Health Service Act

Additionally this program includes a cooperative agreement project entitled Disease Prevention and Health Promotion Scholarship Program. This project supports several focus areas of Healthy People 2010 specifically: Access to Quality Health Services; Educational and Community-Based Programs; Health Communication; and Public Health Infrastructure.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Assistance must be provided to satisfy program needs of the National Health Promotion Program, including but not limited to: (1) identifying or developing materials for health promotion programs for use by schools, medical treatment sites, worksites, and community health promotion programs; (2) adding to the scientific data base, especially to fill gaps identified in the "Healthy People 2010: National Health Promotion and Disease Prevention Objectives"; and (3) identifying the needs of special population groups, such as Blacks, Hispanics, Asian/Pacific Islanders, American Indians/Alaska Natives, those with disabilities or special health care needs, and elderly Americans.

#### **Applicant Eligibility:**

Public or private nonprofit organizations. Faith based organizations are eligible to apply.

#### **Beneficiary Eligibility:**

General public.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All grant announcements are posted on [www.grants.gov](http://www.grants.gov). Application kits for new opportunities may be requested by calling (240) 453-8822 or writing to: Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

#### **Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Health, will make a final decision on funding projects and a notice of grant award will be issued.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Support is recommended for a specified project period (5 years), and is not generally considered for renewal beyond that period.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies, but a project period is generally limited to 5 years or less. Within a project period, continuation applications must be submitted annually on a noncompeting basis for each year of support. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 10 \$1,800,000; FY 11 est \$2,000,000; and FY 12 est \$2,000,000

**Range and Average of Financial Assistance:**

\$500,000 to \$900,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: This project has provided disease prevention and health promotion educational and training opportunities for medical and public health students; preventive medicine and primary care residents; and practicing physicians and public health professionals. Fiscal Year 2011: This project is providing disease prevention and health promotion educational and training opportunities for medical and public health students; preventive medicine and primary care residents; and practicing physicians and public health professionals. Fiscal Year 2012: This project will continue to provide disease prevention and health promotion educational and training opportunities for medical and public health students; preventive medicine and primary care residents; and practicing physicians and public health professionals.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

"Healthy People 2010," 2 vols., Government Printing Office, Stock No. 017-001-00547-9 (\$70.00/set); "Healthy People 2010: Understanding and Improving Health," Government Printing Office, Stock No. 017-001-00550-9 (\$10.00); "Tracking Healthy People 2010," Government Printing Office, Stock No. 017-001-00548-7 (\$67.00); "Healthy People 2010 CD-Rom," Government Printing Office, Stock No. 017-001-00549-5 (\$19.00).

**Regional or Local Office:**

None. Program Management Contact: Office of Disease Prevention and Health Promotion, 1101 Wootton Parkway, Suite LL 100, Rockville, MD 20852, Telephone (240) 453-8280.

Grants Management Contact:

Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building, Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.health.gov/healthypeople> .

**RELATED PROGRAMS:**

93.226 Research on Healthcare Costs, Quality and Outcomes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be assessed according to ability to show: organizational goals consistent with the National Health Promotion Program; access to a nationwide network of local affiliates through which health information and health promotion resources can be decentralized; administrative capability and staff expertise to contribute to satisfaction of program need; detailed proposal including cost proposal in response to program announcement.

**93.991 PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT**

(PHHS Block Grants)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, as amended; Omnibus Budget Reconciliation Act of 1981, Title XIX, Section 1905, Public Law 97-35, as amended; Preventive Health Amendments of 1984, Public Law 98-555; Health Omnibus Programs Extension Act of 1988, Public Law 100-607; Preventive Health Amendments of 1992, Public Law 102-531.

**OBJECTIVES:**

To provide States with the resources to improve the health status of the population of each grantee by: (A) conducting activities leading to the accomplishment of the year 2010 objectives for the nation; (B) rapidly responding to emerging health threats; (C) providing emergency medical services excluding most equipment purchases; (D) providing services for sex offense victims including prevention activities; and (E) coordinating related administration, education, monitoring and evaluation activities.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Except as described below, Block Grant funds may be used for preventive health service programs for: (A) Activities to achieve improvements in the health status of populations through achievement of the year 2000/2010 health objectives for the nation; (B) preventive health service programs for the control of rodents and for community and school-based fluoridation programs; (C) feasibility studies and planning for emergency medical services systems and the establishment, expansion, and improvement of such systems; Funds may not be used to operate emergency medical services systems or to purchase more than

50 percent of the cost of communications equipment for such systems.(D) providing services to victims of sex offenses and prevention of sex offenses; (E) the establishment, operation, and coordination of effective and cost-efficient systems to reduce the prevalence of asthma and asthma related illnesses, especially among children; (F) related planning, administration, and educational activities; and (G) monitoring and evaluation activities related to (A) through (F).

**Applicant Eligibility:**

Only State and U.S. Pacific Territorial governments, the District of Columbia, the Kickapoo Tribe of Kansas and the Sante Sioux Tribe of Nebraska are eligible for Preventive Health and Health Services Block Grants.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program with special attention to disparately affected populations.

**Credentials/Documentation:**

Applications shall contain certification by the CEO of the State that the State has complied with provisions of and will meet the requirements of PHS Act, Title XIX, Section 1905, and Title XVII, Chapter 2 of the Omnibus Reconciliation Act of 1981. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each State shall submit an application to the funding agency. Specific format is required, and forms are provided.

**Award Procedure:**

Applications are reviewed for completeness and for compliance with legislative requirements. Award is made to the applicant by the Centers for Disease Control and Prevention.

**Deadlines:**

Oct 01, 2009 Applications will be accepted beginning on October 1 of the eligible fiscal year.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. About 3 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligations over a 24-month period; payments are made through the Electronic Transfer System. See the following for information on how assistance is awarded/released: Each allotment is available for obligations over a 24-month period; payments are made through the Electronic Transfer System.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each State must maintain records which are consistent with their State laws and requirements.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Formula Grants) FY 10 \$94,856,415; FY 11 est \$72,994,506; and FY 12 est \$0 - Program recommended for elimination in President's FY 2012 budget.

**Range and Average of Financial Assistance:**

\$21,258 to \$7,026,219; \$1,572,013. (Note: A formula based on fiscal year 1981 allocations to States is used for the annual basic grant allocation.)

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Worked with states and other partners to finalize a core set of performance measures to help states be more accountable for the use of PHHS Block Grant funds. Fiscal Year 2011: Piloting of performance measures for the PHHS Block Grant designed to hold grantees more accountable for use of funds. Fiscal Year 2012: Program recommended for elimination in FY 2012 budget.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 Code of Federal Regulations, Part 96 (Published in the Federal Register on July 6, 1982 and revised in the Federal Register, October 13, 1987).

**Regional or Local Office:**

None.

**Headquarters Office:**

Takeena Smith, 3005 Chamblee Tucker Road  
Mailstop K51, Chamblee, Georgia 30341 Email: szs4@cdc.gov Phone: (770) 488-5464 Fax: (770) 488-5974.

**Website Address:**

<http://www.cdc.gov/nccdphp/blockgrant>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.994 MATERNAL AND CHILD HEALTH SERVICES BLOCK GRANT TO THE STATES**

MCH Block Grants

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title V, Section 501(a) (1), as amended.

**OBJECTIVES:**

To enable States to maintain and strengthen their leadership in planning, promoting, coordinating and evaluating health care for pregnant women, mothers, infants, and children, children with special health care needs (CSHCN) and families in providing health services for maternal and child health populations who do not have access to adequate health care.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States may use funds to develop systems of care for the provision of health services and related activities, including planning, administration, education and evaluation consistent with the State's annual application. Funds may not be used for (1) Inpatient services other than those provided to children with special health care needs or to high-risk pregnant women and infants and such other inpatient services as the Secretary may approve; (2) cash payments to intended recipients for health services; (3) purchase and improvement of land, construction or permanent improvement of buildings or purchase of major

medical equipment; (4) matching other Federal grants; or (5) providing funds for research or training to any entity other than a public or private nonprofit entity. Beginning in FY 1991, States must use at least 30 percent of their Federal allotment for preventive and primary care services for children, and at least 30 percent for services for children with special health care needs. In addition, each State must establish and maintain a toll-free information number for parents on maternal and child health (MCH) and Medicaid providers. No more than 10 percent of each State's allotment may be used for administration.

**Applicant Eligibility:**

Title V MCH Block Grants are limited to States and insular areas.

**Beneficiary Eligibility:**

Mothers, infants, children, including CSHCN, and their families, particularly those of low-income.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The level of preapplication coordination between a State Maternal and Child Health Agency and other State and local entities within the State is at the discretion of the State. States are required to have mechanisms in place for obtaining public input and feedback on the development of their Title V Maternal and Child Health Block Grant applications and Title V supported programs. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Jul 15, 2011: Applications are due to HRSA by COB on July 15 of each year. [www.hrsa.gov](http://www.hrsa.gov).

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Funds will be made available annually to any State submitting an acceptable application.

**Formula and Matching Requirements:**

Statutory Formula: Title Title V Section 502(c), Public Law Social Security Act. Subject to 45 CFR Part 96.

Matching Requirements: Percent: 75.%.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are awarded each fiscal year in quarterly installments and remain available for expenditure for the current and subsequent fiscal year. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Reports which document the States progress towards the achievement of National Performance and Outcome Measures, State Performance Measures,

Health Systems Capacity Indicators and Health Status Indicators. . In the Annual Report, States submit a breakdown of expenditures by funding source (e.g., Federal, State, and local), by individuals served (e.g., women, infants, children and CSHCN) and by Maternal and Child Health service level (i.e., direct health care services, enabling services, population-based services and infrastructure building services.). Federal Financial Report (FFR). See funding opportunity announcement for additional information. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Formula Grants) FY 10 \$552,642,164; FY 11 est \$546,791,548; and FY 12 est \$558,101,804

**Range and Average of Financial Assistance:**

(FY 2011 Awards) \$147,634 to \$42,300,762; \$9,267,653.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 96 as applicable and individual State Regulations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Division of State and Community Health, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18-31, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2204.

**Headquarters Office:**

Division of State and Community Health, 5600 Fishers Lane, Room 18-31, Rockville, Maryland 20857 Phone: (301) 443-2204.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.995 ADOLESCENT FAMILY LIFE DEMONSTRATION PROJECTS**

AFL CARE & Prevention

**FEDERAL AGENCY:**

Office of Population Affairs, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order 42 U.S.C. 300z et seq., 42 U.S.C 300z et seq.

**OBJECTIVES:**

To establish innovative, comprehensive, and integrated approaches to the delivery of care services for pregnant and parenting adolescents with primary emphasis on adolescents who are under 17 years of age. To promote abstinence from sexual relations through provision of age-appropriate education on sexuality and decision-making skills as the most effective method of preventing adolescent pregnancy and avoiding sexually transmitted diseases, including HIV/AIDS.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds for services under this program can only be used to: (1) Provide care services, prevention services, or both care and prevention services to eligible persons; (2) coordinate integrate and provide linkages among providers of care, prevention, and other services for eligible persons; (3) provide supplemental services to eligible persons in the community when existing services are not adequate or not available and are essential to the care of pregnant adolescents and/or to the prevention of adolescent sexual activity and adolescent pregnancy; (4) plan for the administration, evaluation, and coordination of pregnancy prevention services and programs of care for pregnant adolescents and adolescent parents to further the objectives of this legislation; and (5) fulfill assurances required for grant approval. Funded projects may not provide or subcontract for the provision of abortions or abortion counseling or referral (with exceptions).

**Applicant Eligibility:**

Public (including city, county, regional, and State government) organizations; and private nonprofit organizations.

**Beneficiary Eligibility:**

For prevention services: non-pregnant adolescents and their families. For care services: pregnant adolescents, infants, adolescent parents, and their families. Primary emphasis should be given to unmarried adolescents 17 years of age and under.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs charged to the grant will be determined in accordance with the following Cost Principles: OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-122 for nonprofit organizations. Faith based organizations are eligible to apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application kits may be requested by contacting Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

All applications and proposals are read by a panel of independent experts who make recommendations for action to the Office of Adolescent Pregnancy Programs. After considering the recommendation of this panel, the Deputy Assistant Secretary for Population Affairs makes the final decision on the funding of applications. All applicants are notified in writing of actions taken on their applications. A Notice of Grant Award is issued for those applications that are approved and funded.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 3 to 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Renewal awards may be approved pending availability of funding, and evidence of satisfactory progress and compliance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: 40% match for year 1

50% match for year 2

60% match for year 3

See Notice of Grant Award for more details.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may not exceed 5 years (subject to the availability of funds). Payments will be made either on a monthly cash request basis or under the Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued at the time an award is made. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-550.

**Obligations:**

(Salaries) FY 10 \$11,000,000; FY 11 est \$11,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$400,000.00 to \$600,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Adolescent Family Life (AFL) Program funded 27 AFL Care demonstration grants. Through a funding opportunity announcement, 31 applications were received and 10 were awarded. These new care projects are testing multi-site programs with pregnant adolescents and one of their support systems (teen dad/father/male partner, grandparents or the family) until the child's first birthday to determine program effectiveness. Fiscal Year 2011: A new Adolescent Family Life Care demonstration funding announcement is expected spring 2011. It is anticipated that 40 applications will be received and

8 awards will be issued by September 2011. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

See Regional Agency Offices. OPHS-OPA-Office of Adolescent Pregnancy Programs

Tower Building, 1101 Wootton Pkwy Suite 700  
Rockville, MD 20852. Phone 240-453-2828

OPHS-Office of Grants Management

Tower Building 1101 Wootton Parkway, Suite 550  
Rockville, MD 20852. Phone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.opa.gov>

**RELATED PROGRAMS:**

93.111 Adolescent Family Life Research Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Projects to provide care services, prevention services, or both care and prevention services to eligible persons; projects to coordinate, integrate, and provide linkages among providers of care, prevention, and other services for eligible persons; projects to provide supplemental services where these services are not adequate or not available to eligible persons and which are essential to the care of pregnant adolescents and to the prevention of adolescent sexual relations and adolescent pregnancy; and projects which test new approaches to providing care and prevention services which are national in scope. Fiscal Year 2011: Projects to provide care services, prevention services, or both care and prevention services to eligible persons; projects to coordinate, integrate, and provide linkages among providers of care, prevention, and other services for eligible persons; projects to provide supplemental services where these services are not adequate or not available to eligible persons and which are essential to the care of pregnant adolescents and to the prevention of adolescent sexual relations and adolescent pregnancy; and projects which test new approaches to providing care and prevention services which are national in scope. Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must contain care and/or prevention services requirements specified in the statute. Priority will be given to applicants who: (1) Serve an area (a) where there is a high incidence of adolescent pregnancy, (b) where the incidence of low-income families is high, and (c) where the availability of programs for adolescents as specified in this act is low; (2) show evidence (a) for care services, of ability to deliver wide range of required services on single-site or network basis, or (b) for prevention services, ability to provide services targeted to population; (3) will utilize to maximum extent possible (a) existing programs and facilities, and (b) other sources of funding; (4) can demonstrate community commitment to the project; (5) have involved community in developing the project; (6) will demonstrate innovative approaches; and (7) demonstrate the reasonableness of the estimated cost considering the anticipated results.

**DEPARTMENT OF HOMELAND SECURITY**

**97.005 STATE AND LOCAL HOMELAND SECURITY NATIONAL TRAINING PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Public Law 110-329.

**OBJECTIVES:**

Cooperative agreements are awarded to eligible applicants to design, develop, and deliver training content and support for Federal, State, local, and tribal jurisdictions in accordance with FEMA doctrine and approved Homeland Security Strategies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides funding through cooperative and inter-agency agreements to the National Domestic Preparedness Consortium, Rural Domestic Preparedness Consortium, and Continuing Training Grants program training providers for the purposes of the development and delivery of all-hazards training for Federal, State, local, and tribal emergency responders. Refer to program guidance for specific information on eligibility.

**Applicant Eligibility:**

This is a closed solicitation, available only to eligible organizations. There are two categories funded: 1) Non-Federal members that make up the National Domestic Preparedness Consortium (NDPC) and the Rural Domestic Preparedness Consortium (RDPC) and consist of the following institutions: Louisiana State University, Texas A&M, New Mexico Institute of Mining and Technology, University of Hawaii, Transportation Technology Center Incorporated and Eastern Kentucky University; and 2) Continuing Training Grant programs. These programs meet the continuing training needs of emergency responder communities and have received previous funding through a competitive process e.g., Competitive Training Grant Program (CTGP) or national associations that represent key stakeholders.

**Beneficiary Eligibility:**

State and local units of government.

**Credentials/Documentation:**

See program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the guidance and application kit.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Potential continuation or extensions of some awards.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Draw down of funds.



**Reports:**

Semi-annual report. Semi-annual report. Semi-annual report. Semi-annual report. Grantees are required to submit quarterly Financial Status Reports (FSR). The FSRs are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final FSR report is due 90 days after the expiration or termination of grant award, whichever occurs first. Categorical Assistance Progress Reports (CAPR) are required semi-annually and due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Final CAPR report is due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 10 \$126,920,000; FY 11 est \$112,106,000; and FY 12 Estimate Not Available - Includes non-Federal National Domestic Preparedness Consortium (NDPC) members, Continuing Training Grants, and other congressionally identified organizations.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 156,055 course completions  
131,818 Instructor Led completions  
24,237 Web-Based completions  
1,726,647 total contact hours. Fiscal Year 2011: 162,994 course completions  
143,731 Instructor Led completions  
19,263 Web-Based completions  
1,980,573 total contact hours. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitations may be developed to solicit proposals for new activities.

**Regional or Local Office:**

None.

**Headquarters Office:**

FEMA, Techworld, Control Desk, 4th Floor, Room 427, 500 C Street SW, Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

97.007 Homeland Security Preparedness Technical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Training courses for public officials and first responders to

include fire fighters, law enforcement, emergency medical services, emergency management, public works, and public health. Training courses are divided into three categories: awareness level, performance level, and planning and management level. Fiscal Year 2011: Training courses for public officials and first responders to include fire fighters, law enforcement, emergency medical services, emergency management, public works, public health, cyber security and State and Local Fusion Centers. Training courses are divided into three categories: awareness level, performance level, and planning and management level. Fiscal Year 2012: Training courses for public officials and first responders to include fire fighters, law enforcement, emergency medical services, emergency management, public works, public health, cyber security, and State and Local Fusion Centers. Training courses are divided into three categories: awareness level, performance level, and planning and management level.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.007 HOMELAND SECURITY PREPAREDNESS TECHNICAL ASSISTANCE PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Public Law 110-329.

**OBJECTIVES:**

To provide direct assistance to State, regional, Local, and Tribal jurisdictions as well as other homeland security organizations, to improve their ability to prevent, protect against, respond to, recover from, and mitigate major events, including threats or acts or terrorism.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Uses: For costs associated with developing and delivering technical assistance services to State and local homeland security personnel to address / support the full spectrum of mission areas, national priorities, and target capabilities as outlined in the National Preparedness Guidelines, National Priorities, and national strategies and doctrine related to homeland security. Refer to program guidance for complete information.

Restrictions: There are restrictions regarding usage of funds, compliance with program requirements, copyrights, patents, and other restrictions. Refer to program guidance for complete information. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

Under this solicitation, The Governors Homeland Security Advisory Council (GHSAC) via its overarching parent organization, The National Governors Association (NGA), Center for Best Practices, is the only eligible applicant.

**Beneficiary Eligibility:**

State and local units of government.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. The application submitted through Grants.gov must include the HSPTAP Program Narrative, Budget, and Budget Narrative. Incomplete applications will not be accepted. Refer to program guidance for additional information regarding application procedures and deadlines.

**Award Procedure:**

FEMA will review applications for completeness and soundness of proposed methodologies and pricing. An applicants approach to implementing and completing the projects outlined in the program guidance must be consistent with existing DHS / FEMA policy. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued. Refer to program guidance for additional information regarding award procedures.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

none.

**Renewals:**

none.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Announcement of award approval is made through the electronic Grants Management System (GMS). Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. Refer to program guidance for additional information. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action

and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 10 \$3,145,000; FY 11 est \$275,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Promoted planning and overall preparedness activities at the State and local level; supported accreditation and assessment activities; supported the Homeland Security Consortium and related activities. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the program guidance.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/Techworld, Control Desk, 4th Floor, Room 427 500 C St., SW Centralized Scheduling and Information Desk (CSID) CSID is open from 8:00 am to 7:00 pm., Eastern Standard Time, Monday through Friday, Washington, District of Columbia 20472 Email: [askcsid@dhs.gov](mailto:askcsid@dhs.gov) Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

97.067 Homeland Security Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.008 NON-PROFIT SECURITY PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security Disaster Assistance, and Continuing Appropriations Act of 2009 (Public Law 110-329); Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53.

**OBJECTIVES:**

To support the unique multi-discipline planning, operations, equipment, training, and exercise needs of high threat, high density Urban Areas, and to assist them in building and sustaining capabilities to prevent, protect against, respond to, and recover from threats or acts of terrorism.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds provided under this grant are designed to address the unique needs of large urban areas and mass transit authorities. Funds can be used for equipment, training, exercises and planning. Urban Areas must utilize their Urban Area Homeland Security Strategy and the State's Program and Capability Enhancement Plan as the basis for requesting funds. There must be a clear correlation between the goals, objectives, and priorities identified in the Urban Area Homeland Security Strategy and UASI program activities. In addition, the Urban Area Homeland Security Strategy must also be consistent with and

supportive of the State Homeland Security Strategy and the Program and Capability Enhancement Plan submitted by the State as part of the HSGP application. The Nonprofit Security Grant Program (NSGP) provides funds to support security enhancements to property owned or leased by nonprofit organizations at high risk of attack from terrorist organizations in cities identified in the Urban Area Security Strategy Initiative (UASI) grant program. Refer to program guidance.

**Applicant Eligibility:**

Selected city or combined entities identified within the current year Homeland Security Grant Program guidance and application kit. States that contain the selected cities will be notified of their eligibility to apply for this grant. The State agency with overall responsibility for developing the State Homeland Security Strategy and administering homeland security grant programs will be responsible for the administration of this program. In addition, Nonprofit, 501(c)(3) organizations that are at deemed high risk of a potential terrorist attack and are located within one of the specific UASI-eligible urban areas are eligible to submit applications through their State Administrative Agency (SAA) for (NSGP) funds.

**Beneficiary Eligibility:**

Local governments.

**Credentials/Documentation:**

Prior to, or along with, an application for assistance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by the State Administrative Agent and DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the FY 2011 NSGP Guidance and Application Kit.

**Appeals:**

Refer to the FY 2011 NSGP Guidance and Application Kit.

**Renewals:**

Refer to the FY 2011 NSGP Guidance and Application Kit.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to the FY 2011 NSGP Guidance and Application Kit. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on program need.

**Reports:**

Refer to program guidance document. Refer to the FY 2011 NSGP Guidance and Application Kit. Refer to program guidance document. Financial Status Reports. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-754.

**Obligations:**

(Formula Grants) FY 10 \$19,000,000; FY 11 est \$18,962,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 270 NSGP applications were awarded at the total of \$19,000,000. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the UASI section of the 2011 NSGP Guidance and Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Department of Homeland Security/Techworld, Control Desk, 4th Floor, Room 427 500 C. St., SW, The Centralized Scheduling and Information Desk (CSID)  
CSID is open from 8:00 a.m to 7:00pm., Eastern Standard Time, Monday through Friday., Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (1-800) 368-6498.

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.042 Emergency Management Performance Grants; 97.053 Citizen Corps; 97.071 Metropolitan Medical Response System; 97.073 State Homeland Security Program (SHSP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the FY 2011 NSGP Guidance and application kit program guidance for information on criteria for selecting proposals.

**97.009 CUBAN/HAITIAN ENTRANT PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Economy Act of 1932, 31 U.S.C 1535; Refugee Education Assistance Act of 1980, Executive Order Executive Order 12341, January 21, 1982, Public Law 96-422.

**OBJECTIVES:**

(1) To provide primary resettlement services to Cubans and Haitians, paroled into the United States by the Department of Homeland Security (DHS) for humanitarian reasons and; (2) to provide secondary resettlement assistance to Cuban and Haitian entrants living in south Florida whose initial resettlement did not lead to their achievement of economic self-sufficiency.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance is limited to Cuban and Haitian entrants as defined in the authorizing Act. Federal policy governs further eligibility factors. The scope of services for which funds are available to grantees, or cooperative agreement recipients, are defined in program announcements published in the Federal Register dated March 9, 1981, January 5, 1983, July 5, 1985, April 12, 1988, June 26, 1989, and January 5, 1995. see program announcement published in Federal Register dated March 9, 1981, January 5, 1983, July 5, 1985, April 12, 1988, June 26, 1989, January 5, 1995.

**Applicant Eligibility:**

Public or Private, nonprofit organizations or agencies, and under certain conditions for-profit organizations, agencies, or institutions.

**Beneficiary Eligibility:**

Cuban and Haitian nationals who meet the definition of entrant set forth in Title V, Section 501(e) of Public Law 96-422.

**Credentials/Documentation:**

Persons for whom assistance is authorized through resettlement programs are limited to Cuban and Haitian nationals who possess documentation as described in Title V of the Refugee Education Assistance Act of 1980 (Public Law 96-422). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

A grant or cooperative agreement may be amended in order to extend the program and budgetary period if funds are available and the proposed amendment does not represent a substantive deviation from previous services or costs. Applications may also be renewed through the competitive process after the end of the program period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

Refer to program guidance document. Cash reports are not applicable. Refer to program guidance document. Refer to program guidance document. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0504-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 10 \$7,000,000; FY 11 est \$7,900,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program served 11,263 Cuban and Haitian entrants. Fiscal Year 2011: It is estimated that over 11,000 Cuban and Haitian entrants will be served. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Several regulations apply to the resettlement grants. Until further notice, these include but are not limited to: 28 CFR Part 42, Sub-parts C, G, H and OMB Circular Nos. A-110, A-122, A-133, and Federal Acquisition Regulation (FAR), Sub-part 32.1.

**Regional or Local Office:**

See Regional Agency Offices. DHS/USCIS/IO/HAB/Miami CHEP Office  
99 SE 5th Street  
Miami, FL 33131.

**Headquarters Office:**

DHS/USCIS/IO/HAB 20 Massachusetts Ave. N.W., Washington, District of Columbia 20529 Phone: (202) 447-5589

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

## **CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals. The applicant provides for effective program structure and accountability as demonstrated by administrative and programmatic controls, as well as program and client records and reports. (10 POINTS) F. The adequacy of the program evaluation plan, including the methodology and criteria for evaluating effective of the program in resettling the clients. (10 POINTS). Programmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program. (5 POINTS). Programmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program. (5 POINTS) Programmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program (5 POINTS).the applicant provides for effective program structure and accountability as demonstrated by administrative and programmatic controls, as well as program and client records and reports. (10 POINTS) F. The adequacy of the program evaluation plan, including the methodology and criteria for evaluating effective of the program in resettling the clients. (10 POINTS). Programmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program. (5 POINTS). Programmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program. (5 POINTS) Programmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client

service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program. (5 POINTS) Programmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program. (5 POINTS).

## **97.010 CITIZENSHIP EDUCATION AND TRAINING**

### **FEDERAL AGENCY:**

Department of Homeland Security

### **AUTHORIZATION:**

Immigration and Nationality Act of 1952, Public Law 82-414, 8 U.S.C 1003-1443b; Consolidated Appropriations Act, 2008, Title IV.

### **OBJECTIVES:**

To promote instruction and training in citizenship responsibilities for persons interested in becoming naturalized citizens of the United States and to initiate and further efforts on their part to learn the English language and acquire the knowledge of U.S. history and government needed to qualify for naturalization.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants (Contracts)

### **USES AND USE RESTRICTIONS:**

United States Citizenship and Immigration Services (USCIS) has prepared federal publications and educational tools on citizenship at various reading levels for use in acquiring or expanding a knowledge of U.S. history and government. Restrictions on use of funds will be identified in the announcement/program guidance and award provisions. See program guidance.

### **Applicant Eligibility:**

Community- and faith-based organizations, public libraries, as well as adult educators conducting citizenship education classes for aliens, are eligible as described in the section above.

### **Beneficiary Eligibility:**

Immigrant Service Providers; Refugee/Alien.

### **Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Immigrant service providers may register for a free copy of educational materials at [www.citizenship toolkit.gov](http://www.citizenship toolkit.gov); For projects other than dissemination of technical information: Application deadline and other information are contained in the application/program guidance.

### **Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued. Not applicable for dissemination of technical information projects.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

One copy available per eligible organization per year. Requests for additional copies are available for purchase through the Government Printing Office at <http://bookstore.gpo.gov/collections/cis-toolkit.jsp>. For other projects, refer to the announcement or application guidance for further information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable for dissemination of technical information projects. For projects involving monetary assistance, refer to program guidance. Monetary awards may be subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. None for dissemination of technical information projects. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

None for dissemination of technical information projects. For other projects, grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0300-0-1-751.

**Obligations:**

(Project Grants (Contracts)) FY 10 \$7,832,500; FY 11 est \$8,500,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable for dissemination of technical information projects.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 10, 53 awards were made to organizations providing instruction and training for the objectives of this program. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

8 CFR 332 b. Literature. For other than dissemination of technical information projects, OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.

**Regional or Local Office:**

See Regional Agency Offices. For more information, visit: [www.citizenshiptoolkit.gov](http://www.citizenshiptoolkit.gov).

**Headquarters Office:**

DHS/Grants & Assistance Division/Office of Procurement Operations 245 Murray Lane, S.W., Building 410; Mail Stop 0115, Washington, District of Columbia 20528 Phone: (202) 447-5589

**Website Address:**

[www.citizenshiptoolkit.gov](http://www.citizenshiptoolkit.gov). and [www.dhs.gov](http://www.dhs.gov).

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.012 BOATING SAFETY FINANCIAL ASSISTANCE****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Sport Fish Restoration and Boating Act of 2005/State Boating Safety Financial Assistance, 46 U.S.C 13101-13109.

**OBJECTIVES:**

To encourage greater State participation and uniformity in boating safety, permit the States to assume the greater share of boating safety education, assistance, and enforcement activities, and to assist the States in developing, carrying out and financing their recreational boating safety programs. Awards are also made available to national nonprofit public service organizations to support national recreational boating safety activities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Acquisition, maintenance and operating costs of State boating safety program facilities, equipment, and supplies; personnel salaries and reimbursable expenses; costs of training personnel; public boating safety education; cost of acquiring, constructing and repairing public access sites; costs of administering the program; national boating safety activities of national nonprofit public service organizations; and other expenses which the Secretary considers appropriate. National nonprofit public service organizations may apply and receive a combined total of up to 5 percent of the funds available in any 1 year. States (includes Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Marianas, and the District of Columbia) are eligible applicants.

**Applicant Eligibility:**

States (including Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Marianas, and the District of Columbia) having a Coast Guard-approved boating safety program may apply for financial assistance. States may not receive more than one-half of the total costs incurred for their boating safety program. States must have a boating safety program as described in 46 U.S.C. 13102(c) to be eligible for a full share of the funds. National nonprofit public service organizations may apply and receive a combined total of up to 5 percent of the funds available in any 1 year.

**Beneficiary Eligibility:**

Nation's boating public.

**Credentials/Documentation:**

Applicant Eligibility: States (including Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Marianas, and the District of Columbia) having a Coast Guard-approved boating safety program may apply for financial assistance. States may not receive more than one-half of the total costs incurred for their boating safety program. States must have a boating safety program as described in 46 U.S.C. 13102 (c) to be eligible for a full share of the funds. National nonprofit public service organizations may apply and receive a combined total of up to 5 percent of the funds available in any 1 year.

Cost of State programs will be determined in accordance with 46 U.S.C. 13107(b) and OMB Circular No. A-87. The Federal cost principles contained in OMB Circular No. A-122 shall be used in determining costs applicable to national nonprofit public service organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the State application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Will be considered.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Sport Fish Restoration and Boating Act of 2005, Chapter 46, Part 13101-13109.

Matching Requirements: Percent: 50%. One-third of the funds available to the States shall be divided equally among eligible States; one-third shall be divided among eligible States based on the ration of vessels numbered under approved State numbering systems; the remaining one-third shall be divided among eligible States based on the ratio of State funds spent for State boating safety programs in the previous fiscal year. The Federal share of funds expended on boating safety may not exceed 50 percent of total cost of a State Program. Funds remain available for obligation by the State for 3 years following date of allocation. Not more than 5 percent of the appropriation may be allocated to national nonprofit public service organizations. There is no matching requirement for grants to nonprofit organizations. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: allocation; request and receipt; lump sum.

**Reports:**

Refer to program guidance document. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse,

not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years following grant closeout or final audit, whichever is later. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-8149-0-7-403.

**Obligations:**

(Project Grants) FY 10 \$128,938,086; FY 11 est \$117,699,203; and FY 12 est \$120,752,198

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The Coast Guard entered into contractual obligations with 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, Guam, Northern Mariana Islands, and 32 national nonprofit public service organizations. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Part 13 (States) and 49 CFR Part 19 (nonprofit organizations); Office of Management and Budget Circular Nos. A-87; A-102; A-110; A-122; A-133; "Grant Management Manual for the National Nonprofit Organization Recreational Boating Safety Grant Program (COMINST M16755.4);" and the State Recreational Boating Safety Program State Guide (COMDTPUB P16755.3).

**Regional or Local Office:**

None.

**Headquarters Office:**

Pavlo Oborski, Grants Management Branch Chief 2100 Second Street, SW., Stop 7581, Washington, District of Columbia 20593 Phone: (202) 372-1055

**Website Address:**

<http://www.uscgboating.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance document.

**97.013 STATE ACCESS TO THE OIL SPILL LIABILITY TRUST FUND FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Oil Pollution Act of 1990, Public Law 101-380.

**OBJECTIVES:**

To encourage greater State participation in response to actual or threatened discharges of oil.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used for immediate removal action costs that are directly related to a specific incident which occurs after August 18, 1990. Removal costs must generally be incurred at the site or in support of site removal activities (e.g., salary costs for State officials actually engaged in the removal actions,

transportation costs for transporting persons and materials to the site, costs of equipment usage and consumable, contract costs, and administrative costs for preparing reports and documenting actions which occurred at the site). Limited to \$250,000 per incident. Removal actions must be consistent with the National Contingency Plan (40 CFR 300) and must be approved by the cognizant Coast Guard or Environmental Protection Agency (EPA) Federal On-Scene Coordinator (FOSC). Remedial actions and restorations are ineligible. Funds are to be used for immediate removal action costs that are directly related to a specific incident which occurs after August 18, 1990. Removal costs must generally be incurred at the site or in support of site removal activities (e.g., salary costs for State officials actually engaged in the removal actions, transportation costs for transporting persons and materials to the site, costs of equipment usage and consumable, contract costs, and administrative costs for preparing reports and documenting actions which occurred at the site). Limited to \$250,000 per incident. Removal actions must be consistent with the National Contingency Plan (40 CFR 300) and must be approved by the cognizant Coast Guard or Environmental Protection Agency (EPA) Federal On-Scene Coordinator (FOSC). Remedial actions and restorations are ineligible.

**Applicant Eligibility:**

The Governor (or his or her designated State official) of any State including Puerto Rico, Guam, American Samoa, U.S. Virgin Islands, Northern Marianas, and any other U.S. territory or possession may apply for financial assistance.

**Beneficiary Eligibility:**

State Governors.

**Credentials/Documentation:**

Applicant must either be the Governor of a State or have on file at the NPFC a letter signed by the Governor designating the applicant to be a State official authorized to make a request. The application must establish: (1) the incident is eligible for immediate removal under the Clean Water Act, as amended by OPA 90, (2) the substance discharged or threatening discharge is oil, (3) the incident occurred after August 18, 1990, (4) the aggregate amount of the request is equal to or less than \$250,000, (5) the proposed removal actions are consistent with the NCP (including 40 CFR 300,305(c)'s requirement that a reasonable effort is made to have the discharger voluntarily and promptly perform removal actions), (6) the proposed level of response, proposed actions, and money requested are appropriate for the circumstances, and (7) the State has the means to complete the immediate removal. Detailed application requirements are included in publication entitled Technical Operating Procedures for State Access under Section 1012(d) of OPA 90 (NPFCINST 16451.1). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is initiated when the Governor or his or her designated State official contacts the cognizant Federal On-Scene Coordinator (FOSC) and requests State access to the Oil Spill Liability Trust Fund (OSLTF, or "the Fund") under 33 CFR 133. This initial request may be made verbally. If the FOSC agrees that the incident is eligible for State Access funding and that State access to the Fund is the best method for addressing the incident, the FOSC will seek obligation of the Fund from the National Pollution Funds Center (NPFC). Since the approval of a request establishes a Cooperative Agreement between the Coast Guard and the State, the provisions of 49 CFR 18 apply to the State Access process.

**Award Procedure:**

The National Pollution Funds Center will notify the State via telephone and hard copy of the award approval and amount.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Due to the emergency nature of oil discharge incidents, an approval or disapproval decision will be made and communicated to the State as expeditiously as possible (considering the nature and scope of the incident and other operations) following receipt of the request.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Funds are used for immediate removal action costs that are directly related to a specific incident.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Due to the need to recover removal costs from responsible parties and the possibility of protracted litigation that may be associated with specific oil discharge removal incidents, State records must be kept for 10 years following submission of the final documents to the Coast Guard, or until the completion of litigation for a specific case, whichever is longer.

**Account Identification:**

70-8185-0-7-403.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

\$250,000 maximum per oil discharge incident.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

33 CFR 133, 40 CFR 300, 49 CFR 18, 20, 29, and 90, and Technical Operating Procedures for State Access to OSLTF (NPFCINST 16451.1).

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS Coast Guard 245 Murray Lane, Washington, District of Columbia 20528  
Phone: (202) 494-9118

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**



Proposed immediate removal actions must be eligible under the Oil Pollution Act of 1990 (Public Law 101-380), consistent with the National Contingency Plan (40 CFR 300), appropriate for the amount requested, and within the capability of the State to perform.

#### **97.016 REIMBURSEMENT FOR FIREFIGHTING ON FEDERAL PROPERTY**

##### **FEDERAL AGENCY:**

Department of Homeland Security

##### **AUTHORIZATION:**

Federal Fire Prevention and Control Act of 1974 as amended, 15 U.S.C 2201 et seq.

##### **OBJECTIVES:**

To provide that each fire service organization which engages in firefighting operations on Federal property may be reimbursed for their direct expenses and direct losses (those losses and expenses that are not considered normal operating expenses) incurred in firefighting.

##### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

##### **USES AND USE RESTRICTIONS:**

Reimbursement is provided only for direct costs and losses over and above normal operating costs.

##### **Applicant Eligibility:**

Fire Departments, (volunteer and paid) of the States, District of Columbia, Commonwealths, Territories and Possessions of the United States, and Indian lands that the U.S. holds technical legal title to, are eligible to apply.

##### **Beneficiary Eligibility:**

Fire departments.

##### **Credentials/Documentation:**

See 44 CFR 151 for requirements. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. See 44 CFR 151 for details.

##### **Award Procedure:**

None.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Approximately 90 days.

##### **Appeals:**

30 days after receiving an initial notification of decision.

##### **Renewals:**

None.

##### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

See Program Guidance. See the following for information on how assistance is awarded/released: See Program Guidance.

##### **Reports:**

No reports are required.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

##### **Records:**

Records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

##### **Account Identification:**

70-0700-0-1-999.

##### **Obligations:**

(Direct Payments for Specified Use) FY 10 \$0; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

##### **Range and Average of Financial Assistance:**

From a few dollars to \$500,000 (no stated limit).

##### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 11 of the Federal Fire Prevention and Control Act of 1974; Public Law 93-498; 44 CFR 151.11.

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Headquarters: Dept of Homeland Security, Federal Emergency Management Agency (FEMA), 245 Murray Lane, Bldg 410, Washington, District of Columbia 20523 Phone: (1-866) 927-5646

##### **Website Address:**

<http://www.dhs.gov>.

##### **RELATED PROGRAMS:**

Not Applicable.

##### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

##### **CRITERIA FOR SELECTING PROPOSALS:**

Fire departments which fight fires on Federal property for which they are not otherwise reimbursed may be reimbursed under this program for direct losses and direct expenses over and above normal operating expenses. The amount of reimbursement is subject to availability of funds (see 44 CFR 151.12). All claims must be accompanied by sufficient supporting data to prove expenses and losses incurred in the amount claimed.

#### **97.018 NATIONAL FIRE ACADEMY TRAINING ASSISTANCE**

Student Stipend Reimbursement Program

##### **FEDERAL AGENCY:**

Department of Homeland Security

##### **AUTHORIZATION:**

the Federal Fire Prevention and Control Act of 1974, Section 21, Public Law 93-498; U.S.A. Patriot Act of 2001, Public Law 107-56; Homeland Security Act of 2002, Public Law 107-296; Federal Emergency Management Agency, Executive Order 12127, 44FR 19367, 3CFR, 1979 Comp P 376.

**OBJECTIVES:**

To provide travel stipends to students attending Academy courses.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Presently, the program covers reimbursement for the cost of a 21-day pre-purchase, nonrefundable ticket for round-trip transportation by common carrier, or privately owned vehicle mileage reimbursement not to exceed the cost of the airline ticket and when appropriate baggage cost for one bag; for National Fire Academy Sponsored on-campus program courses at the National Fire Academy; and a limited stipend for various National Fire Academy Sponsored off-campus delivery courses throughout the nation. For National Fire Academy Sponsored on-campus courses, students are required to pay the cost of meals daily. For National Fire Academy off-campus courses, a limited stipend of up to \$100 for a one-week course and up to \$200 for a two-week course is provided to help offset students' transportation and lodging. Reimbursements are not made to Federal employees who are attending on behalf of their employer, employees from private industry, or foreign students. See Program Guidance. See Program Guidance.

**Applicant Eligibility:**

Any student who is a member of a fire department or has significant responsibility for fire prevention and control and has been accepted into an eligible course at the National Fire Academy may apply for stipend reimbursement. Federal or private industry employees or foreign students may be accepted into National Fire Academy courses but are not eligible for stipend reimbursement.

**Beneficiary Eligibility:**

Student or sponsoring organization.

**Credentials/Documentation:**

Student Stipend Agreement (FEMA Form 75-3) and Student Stipend Agreement (Amendment) (FEMA Form 75-3a) accompanied by a copy of the required supporting documentation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application is made to the National Emergency Training Center Admission's Office using the Student Stipend Agreement (FEMA Form 75-3) and Student Stipend Agreement (Amendment) (FEMA Form 75-3a) after acceptance into the course. The Student Stipend Agreement must be accompanied by the required supporting documentation. The completed agreement package will be processed immediately.

**Award Procedure:**

The completed agreement package will be processed immediately. A U.S. Department of the Treasury payment schedule will be prepared and a reimbursement check issued directly to the beneficiary.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the National Fire Academy, or his designee.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: See Program Guidance.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

None.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Salaries) FY 10 \$1,597,554; FY 11 est \$1,600,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The National Fire Academy trained 108,288 fire and emergency services personnel through NFA Sponsored 2/6/10 day on- and off-courses, State sponsored 2/6 day course, and NFAOnline distance learning courses. Fiscal Year 2011: It is anticipated that the National Fire Academy will train an estimated 100,000 fire and emergency services personnel through NFA Sponsored 2/6/10 day on- and off-courses, State sponsored 2/6 day course, and NFAOnline distance learning courses. Fiscal Year 2012: It is anticipated that the National Fire Academy will train an estimated 100,000 fire and emergency services personnel through NFA Sponsored 2/6/10 day on- and off-courses, State sponsored 2/6 day course, and NFAOnline distance learning courses.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Fire Academy Course Catalog, course schedules.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Department of Security, Federal Emergency Management Agency, C/O 500 C Street, S.W., Washington, District of Columbia 20472  
Email: NETC-Admissions@dhs.gov Phone: (1-800) 238-3828

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

97.019 National Fire Academy Educational Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selection.

**97.019 NATIONAL FIRE ACADEMY FELLOWSHIP**

NFAF

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Federal Emergency Management Agency, Executive Order Executive Order

12127 44FR 19367 3 CFR 1979 Comp P 376; Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; The Federal Fire Prevention and Control Act of 1974, Section 21, Public Law 93-498.

**OBJECTIVES:**

To provide professional development experience for fire service authorities who have demonstrated significant leadership accomplishment.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Uses: To fund fellowships for senior fire executives to attend and participate in the three-week Senior Executives in State & Local Government Program course that is held twice each year at the Kennedy School of Government-Harvard University in Cambridge, Massachusetts. Restrictions: Use of grant funds must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other federal grants / cooperative agreements, lobbying, or intervention in federal regulatory or adjudicatory proceedings. Federal employees may not receive funds under this award and are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program.

**Applicant Eligibility:**

This funding opportunity is restricted to Harvard University, Kennedy School of Government. There is no cost sharing or match funding requirement associated with this opportunity.

**Beneficiary Eligibility:**

Eligible beneficiaries are fire service authorities of State and Local governments.

**Credentials/Documentation:**

The individual will be required to provide documentation related to their roles and responsibilities. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. Applications must include all forms and submissions as stipulated in the program announcement / guidance. Incomplete applications will not be accepted. For comprehensive application / submission information, refer to program guidance.

**Award Procedure:**

The application will be reviewed and recommended for funding by the DHS/FEMA/USFA/NFA based on the program criteria identified in the announcement / program guidance. Notification of award approval is made through the electronic ND Grants System.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Announcement of award approval is made through the electronic ND Grants System. For complete information regarding length and time phasing of assistance, refer to program guidance. See the following for information on how assistance is awarded/released: See Program Guidance.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133.

**Records:**

Refer to program guidance.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Training) FY 10 \$22,400; FY 11 est \$22,400; and FY 12 est \$22,400

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Eight senior fire officials selected for the 19-day program brings together state and local government leaders from across the nation to focus on exploring the interrelationships between citizens and government, analyzing policy options, and examining the ethical and professional responsibilities of leadership. Fiscal Year 2011: Six senior fire officials selected for the 19-day program includes other State and local government leaders from across the country and focuses on exploring the interrelationships between citizens and government, analyzing policy options, and examining the ethical and professional responsibilities of leadership. Fiscal Year 2012: Anticipated six senior fire officials will be selected for the 19-day program which includes other State and local government leaders from across the country and focuses on exploring the interrelationships between citizens and government, analyzing policy options, and examining the ethical and professional responsibilities of leadership.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Fire Academy Course Catalog.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency, C/O 500 C Street, S.W., Washington, District of Columbia 20472 Email: FEMA-NIMS@dhs.gov Phone: (1-800) 621-FEMA

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Tuition costs for two individuals for Program for Senior Executives in State and Local Government, Kennedy School of Government. Fiscal Year 2011: Tuition costs for two individuals for Program for Senior Executives in State and Local Government, Kennedy School of Government. Fiscal Year 2012: Anticipate tuition costs for two individuals for Program for Senior Executives in State and Local Government, Kennedy School of Government.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selection.

## **97.022 FLOOD INSURANCE**

### **FEDERAL AGENCY:**

Department of Homeland Security

### **AUTHORIZATION:**

The National Flood Insurance Act of 1968, 42 U.S.C. 4001 et seq. authorized the National Flood Insurance Program (NFIP).

### **OBJECTIVES:**

To enable personal and business property owners and renters to purchase flood insurance coverage for buildings and/or contents in low-to-moderate flood risk areas, as well as in high-risk flood zones to reduce taxpayer provided federal disaster assistance and to promote wise floodplain management practices in the Nation's high-risk flood zones.

### **TYPES OF ASSISTANCE:**

INSURANCE

### **USES AND USE RESTRICTIONS:**

The maximum limits of flood insurance coverage for a building and/or personal property, eligible building types, and more detailed additional flood insurance information is contained in the Flood Insurance Manual available online at <http://www.fema.gov/business/nfip/manual.shtm>. In a Regular Program Community the residential building limit is \$250,000 and non-residential building limit is \$500,000. The residential contents limit is \$100,000 and the non-residential contents limit is \$500,000. Lower limits apply to a limited number of Emergency Program buildings and buildings in Alaska, Guam, Hawaii and U.S. Virgin Islands and are listed in the Flood Insurance Manual. The Flood Disaster Protection Act of 1973, as amended by the Flood Insurance Reform Act of 1994, requires flood insurance purchased as a condition of any form of Federal or federally-related financial assistance, including Federal grants, disaster assistance, SBA low-interest disaster assistance loans, and mortgage loans from federally regulated lending institutions and FHA, Farm Credit Administration, VA or guaranteed mortgages secured by buildings in high-risk flood zones, which are called the Special Flood Hazard Areas (SFHAs). Communities having one or more identified SFHAs must enter into the NFIP within 1 year of the official identification of the SFHAs or be denied Federal financial assistance for acquisition or construction purposes within those areas. Federally regulated conventional sources (i.e., banks, savings and loan associations, or similar lending institutions) are permitted to make conventional loans secured by improved real estate or Manufactured Housing located or to be located in SFHAs of a nonparticipating community which has been formally identified as flood-prone for more than 1 year, but Federal disaster assistance for acquisition or construction purposes will not be available in the event of flood or flood-related property damage. The conventional lender is statutorily required to notify the borrower, before making a loan in such an area, that Federal flood insurance and disaster assistance will not be available to the property. The Coastal Barrier Improvement Act of 1990 amended the Coastal Barrier Resources Act of 1982 by greatly enlarging the acreage included in the designated coastal barrier resources system unit. The 1990 Act also added "otherwise protected areas." "Otherwise protected areas" are defined as an undeveloped coastal barrier within the boundaries of an area established under Federal, State, or local law, or held by a qualified organization, primarily for wildlife refuge, sanctuary, recreational or natural resource conservation purposes. The 1982 Act prohibits the sale of new flood insurance on or after October 1, 1983 for new construction or substantial improvements of structures located on any coastal barrier with the Coastal Barrier Resources System designated by this Act. The 1990 Act prohibits the sale of new flood insurance on or after November 16, 1990 for new construction or substantial improvements of structures located on any new coastal barrier within the Coastal Barrier Resources System designated or modified by this Act. It also prohibits the sale of new flood insurance on or after November 16, 1991 for new construction or substantial improvements of structures located in an otherwise protected area that are not used in a manner consistent with the purpose of the otherwise protected area. Subsequent pieces of legislation have added or deleted areas. Also, the Secretary of the Interior is authorized to make technical revisions and modifications to the boundaries of such units as may be necessary.

### **Applicant Eligibility:**

Federal flood insurance can be made available in any community (a State or

political subdivision thereof with authority to adopt and enforce floodplain management measures for the areas within its jurisdiction) that adopts and enforces floodplain management measures consistent with the National Flood Insurance Program regulations.

### **Beneficiary Eligibility:**

Residential and business property owners, renters and state owned property.

### **Credentials/Documentation:**

Same as Applicant Eligibility. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Community officials must submit an NFIP eligibility application form, which is available from the FEMA, together with: copies of adopted floodplain management measures meeting the minimum standards of 44 CFR Section 60.3(a), 60.3(b), 60.3(c), 60.3(d), and/or 60.3(e), as appropriate for the type of flood hazards identified; a list of any incorporated communities within the applicant's boundaries; and estimates of population and, by kind, of buildings situated in the known flood-prone areas of the community. Such Applications should be submitted to the Mitigation Directorate, FEMA, Washington, DC 20472.

### **Award Procedure:**

FEMA reviews the application and if complete, designates the community as participating. The community is informed of its admission, and notice is published in the Federal Register. Residents and property owners may then purchase flood insurance through any property insurance agent or broker.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

For complete applications, a maximum of 10 working days is allowed for review and notification.

Communities with one or more identified special flood hazard areas must enter the program within 1 year after the identification of those areas or else prohibitions against Federally related financial assistance for acquisition or construction purposes in identified special flood hazard areas take force. Once the community does qualify, after the prescribed date, these prohibitions are removed. Adequate floodplain management measures must be in effect within 6 months of the date that the special flood hazard area is identified and within 6 months of the date flood water surface elevations are provided.

### **Appeals:**

Communities are allowed to appeal flood-prone identification and are also given an opportunity to appeal proposed flood elevation determinations for new construction and substantial improvement of existing structures in the special flood hazard areas. Notice of the proposed elevations is published in the Federal Register and is sent directly to the local governments. Following notification to the local government, the notice of proposed flood elevation determinations is published twice during a 10-day period in a prominent newspaper. The local community and its individual residents then have 90 days following the second newspaper notice to submit any scientific or technical data that tend to negate or contradict FEMA's findings. If a conflict in data exists and cannot be resolved at the community level, the community consolidates all individual appeals for review by FEMA. FEMA shall resolve the appeals by consultation with officials of the local government, or by submission of conflicting data to an independent scientific body, or by administrative hearings.

### **Renewals:**

None.

### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Every two years to FEMA on progress of the floodplain management program. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Specific elevation information on proposed new construction or substantial improvements in the area of special flood hazard. Backup data for biennial report.

**Account Identification:**

70-4236-0-4-453.

**Obligations:**

(Insurance) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Claims paid: \$1 to \$1,900,000; \$21,582.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulation 44 CFR 59 et seq. Publication, "Answers to Questions About the National Flood Insurance Program," "Mandatory Purchase of Flood Insurance Guidelines," "Elevated Residential Structures," "Guide To Flood Insurance Rate Maps," "Flood Insurance Manual" (agents manual), "National Flood Insurance Program. Application Forms," "Manufactured Home Installation in Flood Hazard Areas," "Coastal Construction Manual," "Alluvial Fans: Hazards and Management," "Floodplain Management in the United States: An Assessment Report," "Design Guidelines for Flood Damage Reduction" and "Repairing Your Flooded Home," "Technical Bulletin Series (FIA-TB)" "Answers to Questions About Substantially Damaged Buildings," "Reducing Losses in High Risk Flood Hazard Areas," "Design Manual for Retrofitting Flood- Prone Residential Structures" and "Flood Proofing Non-Residential Structures."

**Regional or Local Office:**

See Regional Agency Offices. NFIP Regional Offices are listed online at: [http://www.fema.gov/business/nfip/nfip\\_regions.shtm](http://www.fema.gov/business/nfip/nfip_regions.shtm) Contact the appropriate FEMA regional office, or the State office responsible for coordinating the NFIP activities.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) Mitigation Directorate, 1800 South Bell Street, Arlington, Virginia 20598-3010 Phone: (800) 621-FEMA (3363)

**Website Address:**

<http://www.fema.gov/business/nfip>

**RELATED PROGRAMS:**

10.450 Crop Insurance; 59.008 Disaster Assistance Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.023 COMMUNITY ASSISTANCE PROGRAM STATE SUPPORT SERVICES ELEMENT (CAP-SSSE)**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Flood Disaster Protection Act of 1973, as amended, 42 U.S.C 4002 et seq; National Flood Insurance Act of 1968, as amended and 44 CFR Parts 59 and 60, 42 U.S.C 4001 et seq.

**OBJECTIVES:**

To provide, through a State grant mechanism, a means to ensure that communities participating in the National Flood Insurance Program (NFIP) are achieving flood loss reduction goals of the NFIP. CAP-SSSE funds are to be used by States to provide technical assistance to NFIP communities, to evaluate community implementation/performance of NFIP floodplain management activities, and to build State and community floodplain management expertise and capacity.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Uses: CAP-SSSE funds are used for activities that support the NFIP. Such activities include the fostering of effective floodplain management programs in participating communities and assisting non-participating communities in enrolling in the NFIP. Restrictions: CAP-SSSE funds cannot be used for conducting floodplain studies or developing floodplain maps. Further, if a State does not have the necessary expertise and capability to conduct CAP-SSSE activities, the Region and State must develop a remedial plan. If the necessary expertise and capability does not develop in accordance with the remedial plan, the following year's CAP-SSSE funding may be reduced or withheld. For complete information on Uses and Restrictions, refer to program guidance. Applicants must be a qualified State that intends to provide technical assistance to NFIP communities. Refer to program guidance for complete information on applicant eligibility.

**Applicant Eligibility:**

FEMA's ten Regional Offices will provide each State Governor's Office with the grant application package. The CAP-SSSE is administered through the Mitigation Division of each FEMA Regional Office. FEMA's Regional Offices will contact eligible States to negotiate a mutually acceptable grant agreement. Funding is made available when the grant agreement is negotiated and agreed upon. Continued participation in the CAP-SSSE is dependent upon completing activities described in the grant agreement. The SSSE is designed to utilize the floodplain management capabilities of individual States in a cost effective cooperative agreement with FEMA. A State's participation in the SSSE is voluntary and is contingent upon need and skill level capability.

**Beneficiary Eligibility:**

The direct beneficiary of the CAP-SSSE is the individual State receiving financial assistance. In addition, participating NFIP communities and local governments which receive flood plain management and flood loss reduction assistance provided by the State are also (indirect) beneficiaries as a consequence of the services they receive.

**Credentials/Documentation:**

A State's participation in the CAP-SSSE is voluntary and is contingent upon need and skill level capability as determined by FEMA. In addition, applicant states are required to provide any relevant documentation contained in the grant agreement package provided by FEMA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

FEMA's ten Regional Offices will provide each State Governor's Office with the grant application package. The CAP-SSSE is administered through the Mitigation Division of each FEMA Regional Office. FEMA's Regional Offices will contact eligible States to negotiate a mutually acceptable grant agreement. Funding is made available when the grant agreement is negotiated and agreed upon. Continued participation in the CAP-SSSE is dependent upon completing activities described in the grant agreement. The CAP-SSSE is designed to utilize the floodplain management capabilities of individual States in a cost

effective cooperative agreement with FEMA. A State's participation in the CAP-SSSE is voluntary and contingent upon need and skill level capability. Need and skill level will be determined through consultation with States and FEMA Regional Office Mitigation Division points of contact. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Appeals can be made to the appropriate FEMA Regional Office.

**Renewals:**

Participation in the CAP-SSSE can be renewed each year contingent upon meeting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. Funding is provided on a 75 percent maximum Federal, 25 percent minimum State cost-sharing basis. Both cash and in-kind resources may meet the 25 percent cost-share. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to Program Guidance.

**Reports:**

States must report at least semi-annually to the Regions to demonstrate progress in meeting agreed upon performance measures (as outlined in the State's Five-Year Plan). Some Regions may require quarterly reporting to satisfy Regional grants management requirements. States are expected to cooperate with Regions by submitting documentation or other evidence that demonstrates completion of approved activities. States must provide a final status report on meeting their performance measures to the Region by December 30th of each year in which the state was granted CAP-SSSE funds. For complete reporting requirement information, refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular

3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-4236-0-4-453.

**Obligations:**

(Project Grants) FY 10 \$8,600,000; FY 11 est \$10,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Funding of State FTEs to provide technical assistance and training to local officials. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Refer to program guidance.

**Regional or Local Office:**

See Regional Agency Offices. FEMA Regional office information is available on the Internet at <http://www.fema.gov/about/structure>. Information may also be obtained by contacting the State office responsible for coordinating CAP-SSSE activities.

**Headquarters Office:**

Department of Homeland Security/FEMA, 500 C St., SW, Washington, District of Columbia 20472 Phone: (1-800) 621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.022 Flood Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.024 EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Stewart B. McKinney Homeless Assistance Act of 1987, as amended, Title 3, Section 301-322, Public Law 100-77, 42 U.S.C 11331-11352.

**OBJECTIVES:**

To supplement and expand ongoing efforts to provide shelter, food, and supportive services for needy families and individuals. To strengthen efforts to create more effective and innovative local programs by providing supplemental funding for them.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Food and related expenses (such as transporting food/food preparation and serving equipment); mass shelter; other shelter (such as hotels and motels); and rent/mortgage and/or utility assistance limited to one month. For a complete listing on eligible and ineligible costs under this program, refer to the current Phase (fiscal year): Responsibilities and Requirements document, issued by the Emergency Food and Shelter Program National Board. Emergency Food and Shelter (EFS) National Board Program (EFSP) funds cannot be used for: rental security, deposits of any kind, cash payments of any kind, lobbying efforts, salaries (except as administrative allowance and limited to that total allowance of 2 percent of total award), purchases or improvements of an individual's private property, telephone costs, repairs to government-owned or

profit-making facilities and any payments for services not incurred. For a complete listing on eligible and ineligible costs under this program, refer to the current Phase (fiscal year): Responsibilities and Requirements, issued by the Emergency Food and Shelter Program National Board.

**Applicant Eligibility:**

Since funds are initially distributed to jurisdictions based on either a National Board formula or recommendations from State Set-Aside Committees, there is no application process for jurisdictions. All jurisdictions are considered within the National Board formula and all jurisdictions in an individual State may be considered by the State Set-Aside Committee for either initial or additional (if the jurisdiction had previously been selected by the National Board) funding.

**Beneficiary Eligibility:**

The law directs that the Local Boards, which manage the program at the local level, shall "determine which private nonprofit organizations or public organizations of the local government in the individual locality shall receive grants to act as service providers." The range of participant groups on the Local Boards include the affiliates of the National Board membership which consists of American Red Cross, Catholic Charities USA, National Council of Churches of Christ in the U.S.A., The Jewish Federations of North America, The Salvation Army, and United Way Worldwide, with a local government representative replacing FEMA. Also participating are thousands of independent nonprofits (such as Community Action Agencies and Food Banks and food pantries) which provide food and/or shelter services. Due to the broad category of people in need of such emergency services, the providers can include specialized groups such as domestic violence shelters, Native American organizations, and organizations providing food or shelter to: AIDS patients, handicapped individuals, the elderly, homeless veterans, non-wards of the State teenage runaways, and many other groups with emergency food and shelter needs. As noted earlier, the decisions on selections are made through the consensus of the Local Board as they have assessed their community's most urgent needs. It is important that such agencies use these funds to supplement, not replace, their current efforts. This program is intended to supplement ongoing programs and allow them to extend and expand upon their existing services.

**Credentials/Documentation:**

The program employs a Local Recipient Organization Certification Form. This form certifies an applicant's status (i.e., that it is a nonprofit or government agency capable of delivering eligible services) and that it will abide by the program guidelines (both on eligible spending and reporting requests), and comply with other fiscal and program rules so stipulated. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

At the local level, following award notification, a Local Board is formed. That board then advertises the availability of the funds to local nonprofit agencies and governments. The Local Board must conduct a local application process for agencies to apply for funding prior to submission of their Local Board Plan to the National Board. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There is no application process for local jurisdictions since the award notification to local jurisdictions is based on either a National Board formula or recommendations from State Set-Aside Committees.

**Award Procedure:**

Applications or plans are submitted to the National Board and reviewed by the National Board program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Refer to the Emergency Food and Shelter National Board Program, "Phase 28:

Responsibilities and Requirements" document for information on the appeal process. Those cases that cannot be handled locally should be referred to the National Board giving details on action that has been taken up to that point. Any allegations regarding fraud or the misuse of funds should be referred directly to the DHS Office of Inspector General.

**Renewals:**

Each phase (fiscal year) is a new program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

See program guidance. See program guidance. See program guidance. See program guidance. See program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Local Boards are required to remain in operation until all program and audit requirements of the National Board have been satisfied. Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0707-0-1-605.

**Obligations:**

(Project Grants) FY 10 \$200,000,000; FY 11 est \$120,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: An estimated 93,032,145 meals provided; 6,326,048 nights of lodging provided; 149,412 rent/mortgage payments made; and, 311,133 utility payments made. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Food and Shelter National Board Program, "Phase 28: Responsibilities and Requirements" document.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for list of addresses for FEMA Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 500 C Street, S.W., Room 614, Washington, District of Columbia

20472 Email: poc@dhs.gov Phone: (800) 621-FEMA (3363)

**Website Address:**

http://www.fema.gov.

**RELATED PROGRAMS:**

10.568 Emergency Food Assistance Program (Administrative Costs); 14.231 Emergency Shelter Grants Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.025 NATIONAL URBAN SEARCH AND RESCUE (US&R) RESPONSE SYSTEM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Defense Against Weapons of mass Destruction Act of 1966; National Defense Authorization Act of FY 1997; Earthquake Hazard Reduction Act of 1977; Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

Develop, maintain, deploy, coordinate, and support National Urban Search and Rescue resources on-scene to locate, provide initial medical treatment, and extricate victims of incidents requiring specialized search and rescue operations while simultaneously enhancing the US&R response capabilities of State and local governments.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

State and local emergency management agencies may jointly develop one or more US&R Task Force(s), as defined in the National US&R Response System Operation Manual. Use of cooperative agreement funding is restricted to program management/administration, training, equipment acquisition, and storage and maintenance of equipment, to meet task force position criteria, and conduct and participate in meetings determined to benefit the National US&R Response System. Equipment acquisitions are limited to those included in FEMA's approved equipment cache list, including equipment for management/administration and other items approved by the FEMA US&R Program Office. Training requirements as included in the Operation Manual and including Grants Management and Financial Training. See Guidance. Refer to Program Guidance. Refer to Program Guidance. Refer to Program Guidance.

**Applicant Eligibility:**

Only the 28 sponsoring jurisdictions who are currently designated by FEMA as members of the National Urban Search and Rescue Response System are eligible for readiness and response cooperative agreements.

**Beneficiary Eligibility:**

Only the 28 State and local government sponsoring organizations formally accepted by FEMA for participation in the National US&R Response System.

**Credentials/Documentation:**

State and/or local government applicants must verify that all personnel recommended for a task force meet the personnel qualifications as listed in the National US&R Response System Operation Manual, Guidance and Directives. In addition, equipment needs must be verified as being on the approved equipment cache list or as approved by the Program Office. Grant awards/administration will be in accordance with the following: The Grantee shall comply with all applicable laws and regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded

from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the yearly application/program guidance.

**Award Procedure:**

Applications and budget plans are reviewed by DHS US&R Program Office and Grants Management Office. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Appeals must be made in writing and submitted within thirty (30) days from the date of disapproval. The appeal will be submitted to the DHS US&R Program Office and Grants Management Office. Within thirty days following the receipt of an appeal, the US&R Branch Chief will provide the applicant, in writing, a determination on the appeal.

**Renewals:**

Annual applications must be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Refer to Program Guidance. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on Program need.

**Reports:**

Refer to Program Guidance. Refer to Program Guidance. Semi-annual Progress Reports. Quarterly Financial Status Reports. Refer to Program Guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$30,163,588; FY 11 est \$31,080,684; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Developed, maintained, deployed, coordinated, and supported National Urban Search and Rescue Response System resources on-scene to locate, provide initial medical treatment, and extricate victims of



incidents requiring specialized search and rescue operations while simultaneously enhancing the US&R response capabilities of State and local governments. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Federal Rule 44 CFR Part 208, guidelines outlined in the annual statement of work for task force preparedness cooperative agreements. In addition, the requirements for establishing a standardized US&R Task Force are contained in the National US&R Response System Sponsoring Organization Capability Criteria manual, as amended by FEMA. The Grantee shall comply with all applicable laws and regulations. In addition a non-exclusive list of regulations commonly applicable to DHS grants are listed below: Administrative Requirements OMB Circular A-102, State and Local Governments (10/07/94, amended 08/29/97) (44 CFR Part 13) OMB Circular A-110, Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations (11/19/93, amended 09/30/99) (2 CFR Part 215) Cost Principles, 2 CFR Part 225, (OMB Circular A-87), State and Local Governments 2 CFR Part 205, (OMB Circular A-21), Educational Institutions, 2 CFR Part 230, (OMB Circular A-122), Nonprofit Organizations Audit Requirements. OMB Circular A-133, States, Local Governments, and Nonprofit Organizations (06/24/97, includes revisions published in the Federal Register 06/27/03).

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Department of Homeland Security, Federal Emergency Management Agency (FEMA), Grant Programs Directorate, 500 C Street, SW Attn: Tech World/Room 411, Washington, District of Columbia 20472 Phone: (202) 786-9458

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Program Management to ensure day to day operations of the US&R Taskforces. Acquisition of tools and equipment identified in the current US&R equipment cache list, office equipment to management the program, i.e., computers, desks, chairs, file cabinets, etc. Development and delivery of training needed to fulfill task force Missions. Grants and Financial training necessary for the financial management of the cooperative agreements. Lease of or modifications to existing buildings (not to change the building existing footprint) cache storage space. Fiscal Year 2011: To continue to provide funding for equipment, training, and related activities for the 28 grantees comprising the National US&R Response System in order to assist them in achieving full operational readiness, as determined by FEMA. Fiscal Year 2012: To continue to provide funding for equipment, training, and related activities for the 28 grantees comprising the National US&R Response System in order to assist them in achieving full operational readiness, as determined by FEMA.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.026 EMERGENCY MANAGEMENT INSTITUTE\_TRAINING ASSISTANCE**

(Student Stipend Reimbursement Program (SEP))

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5121 et seq; Defense Production Act of 1950, as amended, 50 U.S.C App. 2061; National Security Act of 1947, 50 U.S.C 401 et seq.; Earthquake Hazards Reduction Act of 1977, as amended, 42 U.S.C 7701 et seq.

**OBJECTIVES:**

To defray travel and per diem expenses of State, local and tribal emergency

management personnel who attend training courses conducted by the Emergency Management Institute, at the Emmitsburg, Maryland facility; Noble Training Center at the Center for Domestic Preparedness in Anniston, Alabama; and selected off-site locations. Its purpose is to improve emergency management practices among State, local and tribal government managers, in response to emergencies and disasters. Programs embody the Comprehensive Emergency Management System by unifying the elements of management common to all emergencies: planning, preparedness, mitigation, response, and recovery.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

State (includes territories), local, and tribal emergency management officials, who have been accepted for emergency management training by the Emergency Management Institute, Emmitsburg, Maryland. Reimbursement may be made for a portion of student's travel, but attendees are required to pay for meals. Refer to program guidance document or contact administering program office for additional information.

**Applicant Eligibility:**

Individuals who are assigned to an emergency management position in State, local or tribal government are eligible. Some restrictions apply, refer to program guidance document or contact administering program office for additional information.

**Beneficiary Eligibility:**

Specialized Group.

**Credentials/Documentation:**

Individuals must first be accepted/approved by EMI, to attend the training course. Student Stipend Agreement (FEMA 75-3) accompanied by required supporting documentation. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applications for admission to training course, are processed/ coordinated through county, State, tribal, and regional emergency management entities. This program is excluded from coverage under 44 CFR Part 13 and E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is made to the Admissions Office, Management Operations and Support Services Division at the National Emergency Training Center using the Student Stipend Agreement after acceptance into the course. The Student Stipend Agreement must be accompanied by the required supporting documentation. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The completed agreement will be processed immediately. If reimbursement is to be made, a U.S. Department of Treasury payment schedule is prepared and a reimbursement check is issued directly to the beneficiary within 60 days.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the Emergency Management Institute.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Refer to program guidance document or contact

administering program office for additional information. Certain match requirements (payment of meals by attendees) apply to all participants. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance document. See the following for information on how assistance is awarded/released: Refer to program guidance document.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not Applicable.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$1,636,065; FY 11 est \$1,468,177; and FY 12 est \$1,399,990

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In the prior fiscal year, 24,183 students attended courses, and 3,642 of those students received a stipend by the Emergency Management Institute Resident Program. Approximately the same level of activity is estimated for the current fiscal year. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Management Institute Course Catalog.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for FEMA Regional Offices.

**Headquarters Office:**

Emergency Management Institute 16825 South Seton Avenue, Emmitsburg, Maryland 21727 Phone: (301) 447-1286

**Website Address:**

<http://www.training.fema.gov>

**RELATED PROGRAMS:**

97.027 Emergency Management Institute (EMI)\_Independent Study Program;  
97.028 Emergency Management Institute (EMI)\_Resident Educational Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selection.

**97.027 EMERGENCY MANAGEMENT INSTITUTE (EMI)\_INDEPENDENT STUDY PROGRAM**

EMI

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5121 et seq; Earthquake Hazards Reduction Act of 1977, as amended, 42 U.S.C 7701 et seq; National Security Act of 1947, 50 U.S.C 401 et seq; Defense Production Act of 1950 as amended, 50 U.S.C 2061.

**OBJECTIVES:**

The program currently consists of 84 courses available to participants, with the objective of enhancing public and selected audience knowledge of emergency management practices among officials of Federal, State, local and tribal governments and voluntary organizations in response to emergencies and disasters.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Refer to program guidance.

**Applicant Eligibility:**

State, local, Federally-recognized Tribal Government, U. S. Territory or possession; specialized group and general public. Refer to program guidance document or contact administering program office for course-specific eligibility requirements.

**Beneficiary Eligibility:**

Refer to announcement or application guidance for further information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Course enrollment may be obtained by writing to the FEMA Independent Study Program, Administrative Office, Emergency Management Institute, 16825 South Seton Avenue, Emmitsburg, Maryland 21727 or electronic enrollment may be processed via the internet at <http://www.training.fema.gov/IS>.

**Award Procedure:**

Independent study courses furnished directly to applicants meeting course-specific requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

An annual appropriation is anticipated for this program. See the following for information on how assistance is awarded/released: Refer to program guidance document.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Training) FY 10 \$922,875; FY 11 est \$923,057; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In the preceding fiscal year there were 1,964,066 individuals completing independent study courses.

Approximately 2,000,000 independent study course completions are anticipated by the end of the current fiscal year. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Management Institute Course Catalog or Independent Study Program Brochure found on the web at <http://www.training.fema.gov/IS/crslist.asp>.

**Regional or Local Office:**

See Regional Agency Offices. See EMI Catalog for listing of FEMA Regional Offices.

**Headquarters Office:**

Emergency Management Institute (EMI) 16825 South Seton Avenue, Emmitsburg, Maryland 21727 Phone: (301) 447-1200

**Website Address:**

<http://www.training.fema.gov/IS>

**RELATED PROGRAMS:**

97.026 Emergency Management Institute\_Training Assistance; 97.028 Emergency Management Institute (EMI)\_Resident Educational Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.028 EMERGENCY MANAGEMENT INSTITUTE (EMI)\_RESIDENT EDUCATIONAL PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Earthquake Hazards Reduction of 1977, 42 U.S.C 7701 et seq; Defense Production Act of 1950, as amended., 50 U.S.C App 2061 et; Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5121 et seq; National Security Act of 1947, 50 U.S.C 401 et seq.

**OBJECTIVES:**

To improve emergency management practices among State, local and tribal government managers, and Federal officials as well, in response to emergencies and disasters. Programs embody the Comprehensive Emergency Management System by unifying the elements of management common to all emergencies: planning, preparedness, mitigation, response, and recovery.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Courses are not open to the general public. The primary audience is State, local and tribal government officials. Acceptance into specific courses is based on a need to know the information and how it will be used for the benefit of the community. Courses are not open to the general public. Acceptance into specific courses is based on a need to know the information and how it will be used for the benefit of the community.

**Applicant Eligibility:**

Individuals assigned to an emergency management position in State, local, or tribal government are eligible. Restrictions apply, however; refer to program guidance document or contact administering program office for additional information.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Applicants may be asked to verify their emergency management responsibilities. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to acceptance into the course.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the Emergency Management Institute.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Indefinite. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. There may be an evaluation following completion of most courses to determine the application of the information and the benefit derived by the community.

**Records:**

Not applicable.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Training) FY 10 \$6,239,214; FY 11 est \$6,000,000; and FY 12 est \$6,000,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 18,059 individuals participated in the EMI resident program.

The same level of participation is anticipated for the current and future fiscal year(s). Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Management Institute Course Catalog.

#### **Regional or Local Office:**

See Regional Agency Offices. See EMI Catalog for listing of FEMA Regional Offices.

#### **Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), Emergency Management Institute, 16825 South Seton Avenue, Emmitsburg, Maryland 21727 Phone: (301) 447-1286

#### **Website Address:**

www.training.fema.gov

#### **RELATED PROGRAMS:**

97.026 Emergency Management Institute\_Training Assistance; 97.027 Emergency Management Institute (EMI)\_Independent Study Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on selection criteria.

### **97.029 FLOOD MITIGATION ASSISTANCE**

FMA

#### **FEDERAL AGENCY:**

Department of Homeland Security

#### **AUTHORIZATION:**

The FMA program is authorized by Section 1366 of the National Flood Insurance Act of 1968, as amended (NFIA), Public Law 108-264, 42 U.S.C 4104c.

#### **OBJECTIVES:**

To assist States, Indian tribal governments, and communities to reduce or eliminate the long-term risk of flood damage to structures insured under the National Flood Insurance Program (NFIP).

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

States, Territories, local and Federally-recognized Indian tribal governments may apply for FMA funding to reduce or eliminate the long-term risk of flood damage to properties insured under the National Flood Insurance Program (NFIP). Eligible activities under this program include: acquisition and relocation of at-risk structures and the conversion of property to open space; elevation of existing structures to the Base Flood Elevation (BFE) or an ABFE Advisory Base Flood Elevation (ABFE) or higher; minor physical localized flood control projects; and dry-flood proofing (historic properties only). Projects must meet all eligibility criteria including cost-effectiveness; compliance with environmental and historic preservation laws and regulations and other program requirements.

#### **Applicant Eligibility:**

Entities eligible to apply for HMA grants include the emergency management agency or a similar office of the 50 States, the District of Columbia, American Samoa, Guam, the U.S. Virgin Islands, Puerto Rico, the Northern Mariana Islands, and Indian Tribal governments. Each State, Territory, Commonwealth, or Indian Tribal government shall designate one agency to serve as the Applicant for each HMA program. Please see the HMA program guidance for more detailed information.

#### **Beneficiary Eligibility:**

State agencies, Indian Tribal governments, and local governments and communities are eligible to apply as subapplicants for assistance under the FMA program. All interested subapplicants must apply to the Applicant. Please see the HMA program guidance for detailed information.

#### **Credentials/Documentation:**

Please see the HMA Program Guidance. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the headquarters or regional office, as appropriate, for application deadlines

#### **Award Procedure:**

Applications are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Refer to HMA program guidance document.

#### **Appeals:**

Refer to HMA program guidance document.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory Formula: 44 CFR Part 79.

Matching Requirements: Refer to HMA program guidance for additional information.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

#### **Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and

performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0701-0-1-453.

**Obligations:**

(Project Grants) FY 10 \$17,051,000; FY 11 est \$40,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Identified and implemented program improvements to increase the effectiveness of the FMA program. Continued to provide opportunities for transparency and partnership with states, territories, and tribal and local governments through the HMA Summit, the External Stakeholders Workgroup, focus groups, and training courses. Provided up to \$40 million in grant funds for mitigation activities. Continued to realize cost savings in the National Review process and the HMA guidance development. Fiscal Year 2011: Implement pilot to enhance state and local communities ability to meet their cost-share responsibility. Implement cost-effectiveness enhancements to simplify the process for achieving the discount rate for state, tribal, and local communities. Continue to further align the programmatic requirements and implementation of all five of the HMA mitigation programs. Clarify programmatic requirements, and align them with system requirements, for project-specific activities that will streamline and simplify the preparation and submission of applications, making it easier for state and local communities to develop eligible applications. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Severe Repetitive Loss (SRL) and Flood Mitigation Assistance ( FMA) Program Regulations at 44 CFR Part 79; the DHS FEMA Real Property Acquisition Regulations at 44 CFR Part 80, and the HMA program guidance.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses of FEMA's Regional Offices.

**Headquarters Office:**

Lloyd Hake - FEMA 1800 South Bell Street, Arlington, Virginia 20595-3015  
Email: Lloyd.Hake@dhs.gov Phone: (202) 646-3428

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

97.039 Hazard Mitigation Grant; 97.047 Pre-Disaster Mitigation; 97.092 Repetitive Flood Claims; 97.110 Severe Loss Repetitive Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Property Acquisition and Structure Demolition The

voluntary acquisition of an existing at-risk structure and, typically, the underlying land, and conversion of the land to open space through the demolition of the structure. Property Acquisition and Structure Relocation The voluntary physical relocation of an existing structure to an area outside of a hazard-prone area, such as the Special Flood Hazard Area (SFHA) or a regulatory erosion zone and, typically, the acquisition of the underlying land. Structure Elevation Physically raising an existing structure to the Base Flood Elevation (BFE) or higher if required by FEMA or local ordinance. Minor Localized Flood Reduction Projects to lessen the frequency or severity of flooding and decrease predicted flood damages. Fiscal Year 2011: Property Acquisition and Structure Demolition The voluntary acquisition of an existing at-risk structure and, typically, the underlying land, and conversion of the land to open space through the demolition of the structure. Property Acquisition and Structure Relocation The voluntary physical relocation of an existing structure to an area outside of a hazard-prone area, such as the Special Flood Hazard Area (SFHA) or a regulatory erosion zone and, typically, the acquisition of the underlying land. Structure Elevation Physically raising an existing structure to the Base Flood Elevation (BFE) or higher if required by FEMA or local ordinance. Minor Localized Flood Reduction Projects to lessen the frequency or severity of flooding and decrease predicted flood damages. Fiscal Year 2012: Property Acquisition and Structure Demolition The voluntary acquisition of an existing at-risk structure and, typically, the underlying land, and conversion of the land to open space through the demolition of the structure. Property Acquisition and Structure Relocation The voluntary physical relocation of an existing structure to an area outside of a hazard-prone area, such as the Special Flood Hazard Area (SFHA) or a regulatory erosion zone and, typically, the acquisition of the underlying land. Structure Elevation Physically raising an existing structure to the Base Flood Elevation (BFE) or higher if required by FEMA or local ordinance. Minor Localized Flood Reduction Projects to lessen the frequency or severity of flooding and decrease predicted flood damages.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the HMA program guidance for information on criteria for selecting proposals.

**97.030 COMMUNITY DISASTER LOANS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 417, 42 U.S.C 5184.

**OBJECTIVES:**

To provide loans subject to Congressional loan authority, to any local government that has suffered substantial loss of revenues in an area in which the President designates a major disaster exists. The funds can only be used to maintain existing functions of a municipal operating character and the local government must demonstrate a need for financial assistance.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Loans are made only to local governments or other political subdivisions of the State, and are based on need. The funds cannot be used to meet the non federal share of any Federal program, finance capital improvements, or repair or restore public facilities. Applicants must be in a designated major disaster area and must demonstrate that they meet the specific conditions of FEMA Disaster Assistance Regulations 44 CFR Part 206, Subpart K, Community Disaster Loans. To be eligible, the applicant must demonstrate: 1) a substantial loss of revenues as a result of a major disaster; 2) a need for financial assistance to

perform its governmental functions. The amount of the loan is based on the demonstrated need. The interest rate is the U.S. Treasury rate for 5-year maturities on the date the Promissory Note is executed, adjusted to the nearest 1/8th. When applicable, if an applicant can demonstrate unusual circumstances involving financial hardship, the Assistance Administrator of the Disaster Assistance Directorate may approve a rate equal to the 5-year maturity rate plus 1 per centum, adjusted to the nearest 1/8th, and further reduced by one-half. The term of the loan is usually 5 years, but may be extended. Interest accrues on the funds as they are disbursed. When applicable, the Assistance Administrator of the Disaster Assistance Directorate may cancel repayment of all or part of the loan if the revenues of the applicant in the 3 fiscal years following the financial year of the disaster are insufficient to meet the operating budget because of disaster related revenue losses and un-reimbursed disaster related operating expenses.

**Applicant Eligibility:**

Applicants must be in a designated major disaster area and must demonstrate that they meet the specific conditions of FEMA Disaster Assistance Regulations 44 CFR Part 206, Subpart K, Community Disaster Loans. To be eligible the applicant must demonstrate: 1) a substantial loss of revenues as a result of a major disaster; 2) a need for financial assistance to perform its governmental functions.

**Beneficiary Eligibility:**

Local governments in a designated disaster area.

**Credentials/Documentation:**

The loan application is developed from financial information contained in the local government's published financial reports and current annual operating budget. Loan awards will be determined in accordance with OMB Circulars No. A-102 and No. A-87 for State and local governments. Awards made to Institutions of Higher Education, Hospitals and Other Non-Profit Organizations will be required to follow the requirements of OMB Circulars No. A-110 and No. A-21. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of a major disaster through the FEMA Regional Director. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Upon declaration of a major disaster, application for a Community Disaster Loan is made through the Governor's Authorized Representative to the Regional Director of FEMA in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206.364. The Assistant Administrator of the Disaster Assistance Directorate approves or disapproves the loan. The Designated Loan Officer will execute a Promissory Note with the applicant. The promissory note must be co-signed by the State, or if the State cannot legally co-sign the note, the local government must pledge collateral security.

**Award Procedure:**

Funds are disbursed to the local government when requested in accordance with the Schedule of Loan Increments in the Promissory Note. Funds awarded to Institutions of Education, Hospitals and Other Non-Profit Organizations will follow requirements of OMB Circulars No. A-110, No. A-21 and No. A-133.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 6 months. The loan must be approved in the fiscal year of the disaster or the financial year immediately following.

**Appeals:**

If a loan application is disapproved, in whole or in part, a revised application may be resubmitted by the local government within 60 days of the date of the

disapproval.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of the loan is generally 5 years, but may be extended. Funds are disbursed per the Schedule of Payments in the Promissory Note. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

The applicant must demonstrate a financial need prior to any incremental disbursement by submitting a copy of its most recent financial report as well as data on anticipated and actual revenues. The applicant annually must submit copies of its annual financial reports. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Annual Operating Budgets including revenue and expense and balance sheets must be retained for the duration of the loan. Additional record requirements are detailed in the Federal Disaster Assistance Regulations, 44 CFR 206, Subpart K.

**Account Identification:**

70-0703-0-1-453.

**Obligations:**

(Direct Loans) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR Part 206, Subpart K.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

John Wilmot, 500 C Street, SW, Washington, District of Columbia 20742  
Email: John.Wilmot@dhs.gov Phone: (202) 646-2544

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.031 CORA BROWN FUND**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 U.S.C. 5121 et seq.

**OBJECTIVES:**

To use funds made possible by a bequest of funds from the late Cora C. Brown of Kansas City, Missouri, who left a portion of her estate to the United States for the purpose of helping victims of natural disasters not caused by or attributed to war.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

To provide for disaster-related needs that have not been, or will not be met by government agencies or any other organizations which have programs to address such needs; however, the fund is not intended to replace or supersede these programs. The fund may not be used in a way that is inconsistent with other federally mandated disaster assistance or insurance programs. Money from the fund will not duplicate assistance for which a person is eligible from other sources.

**Applicant Eligibility:**

Individuals, families, and groups in need of (1) Disaster-related home repair and rebuilding; (2) disaster-related unmet needs; and (3) other services which alleviate human suffering and promote the well being of disaster victims.

**Beneficiary Eligibility:**

Individuals, families, and groups in need.

**Credentials/Documentation:**

Recommendation from Regional Director or his/her designee. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Disaster victims do not apply for assistance from the fund; instead, they are identified and recommended by the Regional Director or his/her representatives, with assistance from other governmental agencies and voluntary disaster agencies.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-8244-0-7-453.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$35,501; FY 11 est \$53,838; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.181; DOM Chapter 17; Cora Brown Fund Program.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Emergency Preparedness and Response, Federal Emergency Management Agency (FEMA) 500 C Street SW, Washington, District of Columbia 20472 Phone: (202) 212-1000

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.032 CRISIS COUNSELING**

CCP

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Crisis Counseling Assistance and Training Act, Public Law 100-707; Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 416, Public Law 93-288.

**OBJECTIVES:**

To provide short-term crisis counseling services to people affected by a Presidentially-declared major disaster. The purpose of the program is to help relieve any grieving, stress, or mental health problems caused or aggravated by the disaster or its aftermath. Assistance is short-term in nature and provided at no cost to the disaster survivor.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

The Crisis Counseling Assistance and Training Program (CCP) provides supplemental funding to States, U.S. Territories and Federally recognized tribes for technical assistance and training as well as short-term crisis counseling services to individuals impacted by a Presidentially-declared major disaster that includes Individual Assistance. CCP services involve the counseling goals of assisting disaster survivors in understanding their current situations and reactions, mitigating additional stress, assisting survivors in reviewing their options, promoting the use or development of coping strategies, providing emotional support and encouraging linkages with other individuals and agencies who may help survivors recover to their pre-disaster level of functioning. The CCP is comprised of the Immediate Services Program (ISP) and the Regular Services Program (RSP). The Immediate Services Program enables the State or local agency to respond to the immediate mental health needs of people affected by the disaster. The Regular Services Program grant provides up to nine months of crisis counseling, outreach, consultation and education services to people affected by a disaster. Funding for the ISP and RSP programs is considered separate and distinct as these are two different grants.

### Applicant Eligibility:

States are eligible for grants. If the Governor determines, during an assessment of the need for crisis counseling services, that because of unusual circumstances or serious conditions within the State or local mental health network, the State cannot carry out the crisis counseling program, he/she may identify a public or private mental health agency or organization to carry out the program or request the Department of Homeland Security's Federal Emergency Management Agency (FEMA) Regional Director to identify, with assistance of the Secretary of the Department of Health and Human Services (DHHS), such an agency or organization.

### Beneficiary Eligibility:

In order to be eligible for services under this program, an individual must be a resident of the designated disaster area or must have been in the designated area at the time the disaster occurred.

### Credentials/Documentation:

Grant awards will be determined in accordance with OMB Circulars A-102 for State and local governments. States are eligible for grants. If the Governor determines, during an assessment of the need for crisis counseling services, that because of unusual circumstances or serious conditions within the State or local mental health network, the State cannot carry out the crisis counseling program, he/she may identify a public or private mental health agency or organization to carry out the program or request the Department of Homeland Security's Federal Emergency Management Agency (FEMA) Regional Administrator to identify, with assistance of the Secretary of the Department of Health and Human Services (DHHS), such an agency or organization. In order to be eligible for services under this program, an individual must be a resident of the designated disaster area or must have been in the designated area at the time the disaster occurred. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is required. Consultation and technical assistance are available from FEMA and the Department of Health and Human Services Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Mental Health Services (CMHS). Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application for Federal assistance for the Immediate Services Program must be submitted by the State to FEMA no later than 14 days after the Presidential declaration. Application for Federal assistance for the Regular Services Program must be submitted by the State to FEMA, along with a copy to SAMHSA CMHS, no later than 60 days after the Presidential declaration.

### Award Procedure:

Immediate Services Program applications are reviewed by FEMA program staff in consultation with SAMHSA CMHS. Grant award is provided by FEMA to the State Emergency Management Agency. Regular Services Program applications are reviewed by FEMA with formal recommendation from SAMHSA CMHS. Grant funds are provided by FEMA to SAMHSA CMHS for award to the State's mental health agency.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Refer to announcement or application guidance for further information.

### Appeals:

Immediate Services Program - The State may appeal the Regional Administrator's decision in writing within 60 days of the date of notification of the application decision. The State may further appeal the Regional Administrator's decision to the Assistant Administrator, Recovery, within 60 days of the date of the Regional Administrator's notification of the application decision. Regular Services Program - The State may appeal FEMA's decision in writing within 60 days of the date of notification of the decision.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

### Reports:

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Final financial and program reports are due 90 days after the end of the grant's period of performance. Refer to CCP program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

### Records:

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

### Account Identification:

70-0702-0-1-453.

### Obligations:

(Project Grants) FY 10 \$12,381,921; FY 11 est \$40,000,000; and FY 12 Estimate Not Available

### Range and Average of Financial Assistance:



Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: During FY 2010, the Crisis Counseling Program implemented, funded and supported 11 new programs. This included the continuation of funding and support of several large scale disasters declared in FY2009. In addition an annual Crisis Counseling grant training and a Train the Trainer Course specific to the mandatory trainings of the CCP was held for State Mental Health Authorities. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR 206.171, CCP Program Guidance.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Federal Emergency Management Agency (FEMA), Individual Assistance 500 C Street, SW, Sixth Floor, Washington, District of Columbia 20472-3100  
Phone: 202-212-1117

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

93.982 Mental Health Disaster Assistance and Emergency Mental Health

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.033 DISASTER LEGAL SERVICES**

DLS

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 415, Public Law 93-288, 42 U.S.C 5182.

**OBJECTIVES:**

To provide legal assistance to low-income individuals affected by a Presidentially-declared major disaster.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The Disaster Legal Services program provides free legal advice for individuals impacted by a Presidentially-declared major disaster that includes Individual Assistance. Legal advice is limited to cases that do not produce a fee. This free legal advice includes assistance with insurance claims; counseling on landlord/tenant problems; assistance with home repair contracts; assistance in consumer protection matters; counseling on mortgage foreclosure problems; replacement of wills and other important legal documents; drafting powers of attorney; estate administration; preparation of guardianships and conservatorships; and referrals to local and State agencies for additional assistance.

**Applicant Eligibility:**

FEMA enters into a contract with the American Bar Association Young Lawyers Division to cover the administrative costs of implementing and managing the Disaster Legal Services program.

**Beneficiary Eligibility:**

Service provision is geared toward low-income individuals who, prior to or because of the disaster, are unable to secure legal services adequate to meet their disaster-related needs.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FEMA makes a formal request to the National Director of the Disaster Legal Services (DLS) program indicating the intent to implement the DLS program.

**Award Procedure:**

Administrative funds are made available through a contractual agreement as outlined in the Memorandum of Agreement between FEMA and the American Bar Association on behalf of its Young Lawyers Division.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of the program is generally tied to the need for services and varies with each disaster. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Volunteer attorneys submit reports on services and/or advice given to clients. Refer to Program guidance. Refer to Program guidance. Refer to Program guidance.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Provision of Specialized Services) FY 10 \$95,058; FY 11 est \$100,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: During FY 2010, the Disaster Legal Services program implemented and funded 17 new programs. An annual training was held for attorneys that volunteer to serve as Disaster Legal Services State District Representatives. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.164; and Disaster Legal Services Handbook.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Federal Emergency Management Agency (FEMA) Disaster Assistance Directorate 500 C Street, SW, Sixth Floor  
, Washington, District of Columbia 20472-3100 Phone: (202) 212-1117

**Website Address:**

http://www.fema.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.034 DISASTER UNEMPLOYMENT ASSISTANCE (DUA)****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 410, Public Law 93-288; FEMA has delegated to the Secretary of Labor the responsibility of administering Section 410.

**OBJECTIVES:**

To provide Federally-funded weekly benefits and re-employment assistance to workers and self-employed individuals who are unemployed as a direct result of a Presidentially-declared major disaster, and who are not eligible for any other State or Federal Regular Unemployment Insurance benefits.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The Disaster Unemployment Assistance (DUA) program provides weekly benefits and re-employment assistance services to individuals unemployed as a direct result of a Presidentially-declared major disaster that includes Individual Assistance. Funds are used for benefit payments to individuals and project administrative costs to States. DUA weekly benefits and re-employment assistance require proof of employment eligibility, proof of employment or self-employment to assist in determining a Weekly Benefit Amount (WBA). Aliens must prove they are "qualified aliens" (as determined by the Immigration and Naturalization Service) in order to be eligible to receive a federal public benefit.

**Applicant Eligibility:**

The State Workforce Agency (SWA) applies for Disaster Unemployment Assistance funds to provide to eligible beneficiaries.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations 44 CFR Part 206.141 and the DOL Regulations at 20 CFR Part 625. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of a major disaster through the appropriate FEMA Regional Administrator having jurisdiction over the State. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206. An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The State Workforce Agency (SWA) performs a needs assessment relating to potential eligible individual applicants for DUA. The State forwards this assessment to the Regional Department of Labor Administrator, which provides its recommendation to FEMA.

**Award Procedure:**

FEMA provides funding to the Department of Labor, which administers the DUA program on FEMA's behalf. Individual applicants for DUA assistance must apply through their local SWA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

In general, individual applications are approved or denied within 1 to 2 weeks. Generally, applications for DUA must be filed within 30 days after the date of the SWA announcement regarding availability of DUA. When applicants have good cause, they may file claims after the 30-day deadline. However, no initial application will be considered if filed after the 26th week following the declaration date.

**Appeals:**

Appeals must be filed in accordance with DOL Regulation 20 CFR Part 625.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

DUA may be paid from the period beginning with the first week (as defined in State law) following the date the major disaster began, and extending up through, but no longer than, the 26th week following the Presidential major disaster declaration date. See the following for information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

The SWA submits reports when requesting additional funding and at the close of the DUA program. Closeout reports must include the ETA 9130 and a narrative. Refer to Department of Labor DUA Handbook. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Record retention in accordance with DOL Regulation 20 CFR Part 625.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$4,959,163; FY 11 est \$20,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: During FY 2010, the Disaster Unemployment Assistance program implemented and funded 19 new programs while providing supplemental funds to eight DUA programs declared in FY 2009. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FEMA Regulations at 44 CFR 206.8, 44 CFR 206.141, and DOL Regulations at 20 CFR Part 625.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 500 C Street, SW, Sixth Floor, Washington, District of Columbia 20472-3100 Phone: (202) 212-1117

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.036 DISASTER GRANTS - PUBLIC ASSISTANCE (PRESIDENTIALLY DECLARED DISASTERS)****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 U.S.C. 5121-5206.

**OBJECTIVES:**

To assist State and local governments in responding to and recovering from the devastating effects of disasters by providing assistance for debris removal, emergency protective measures and the repair, restoration, reconstruction or replacement of public facilities or infrastructure damaged or destroyed.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disasters or emergencies, such as an earthquake, hurricane, tornado, or wildfire. Program activates only after issuance of a presidential declaration. Public Assistance is awarded in the form of cost-shared grants to States, local governments, other political subdivisions such as special districts, federally recognized Indian tribal governments and Alaska Native villages or organizations, and certain eligible Private Non-Profit organizations. A State is defined as any State of the United States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Northern Mariana Islands, the Marshall Islands and Micronesia. Following a Presidential declaration, grants may be made for: removal of wreckage and debris from private and public lands; performance of emergency protective measures; emergency transportation assistance; emergency communications; and permanent restoration of eligible facilities.

**Applicant Eligibility:**

State and local governments, other political subdivisions such as a special districts, federally recognized Indian tribal governments, Alaska Native villages or organizations, but not Alaska Native Corporations, and certain Private Non-Profit organizations in designated emergency or major disaster areas.

**Beneficiary Eligibility:**

Eligible work must be required as a result of the disasters; be located in a designated emergency or major disaster area; and be the legal responsibility of the applicant.

**Credentials/Documentation:**

Cost will be determined in accordance with FEMA Disaster Assistance Regulations, 44 CFR Part 206 and Part 13, and the FEMA Schedule of Equipment Rates. Grant awards will be determined in accordance with OMB Circulars No. A-102 and No. A-87 for States, local governments and Indian Tribes. Awards made to Institutions of Higher Education, Hospitals and other Non-Profit Organizations will be required to follow the requirements of OMB Circulars No. A-110 and No. A-21. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of an emergency or a major disaster through the FEMA Regional Director. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206.36, except as provided in Part 206.35(d) for emergency declarations involving primarily Federal responsibility. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Presidential Disaster or Emergency Declaration must be issued, which is then followed by an application for Public Assistance through the Governor's Authorized Representative to the Regional Director of FEMA.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster area. The FEMA Regional Director approves grants from this allocation on the basis of project applications for eligible applicants. States are responsible for distributing funds to applicants. As a condition of receiving assistance under the Stafford Act, applicants are encouraged to take mitigation measures to reduce future losses from natural hazards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 day to 6 weeks. A Request for Assistance must be submitted by the applicant at the Applicants' Briefing or within 30 days of designation of an emergency declaration or major disaster declaration for the Public Assistance Program.

**Appeals:**

Any determination made under the Public Assistance Program may be appealed. All appeals must be made through the State and the appropriate FEMA Regional Office listed in Appendix IV of the Catalog. The appeal deadlines are: 60 days from receipt of notification of the action being appealed.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Robert T. Stafford Disaster Relief and Emergency Assistance Act, Chapter 42, Part 5121-5206, Public Law 93-288.

Matching Requirements: Percent: 25.%. The Federal share of the grant is not less than 75 percent with the State and local governments responsible for the remainder.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of the assistance period varies depending on the type of work or service. Reimbursement for small projects under \$60,900 is made based on the Federal estimate of costs. For projects over the \$63,200, reimbursement of actual eligible costs is made as the costs are incurred. The \$63,200 limit is adjusted annually to reflect the Consumer Price Index. When purchase of insurance is required, the applicant is obliged to maintain the policy for the economic and useful life of the repairs or of the insured property, whichever is the lesser. Also, applicants must comply with Floodplain Management, Hazard Mitigation, Environmental, and Historic Preservation considerations. See the following for information on how assistance is awarded/released: Payment based on Project need. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Progress status reports are required quarterly. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditure records and related documents must be retained for 3 years from the date the applicant's project application is closed.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR Part 205 for disasters and emergencies declared prior to November 23, 1988; Federal Disaster Assistance Regulations, 44 CFR Part 206 for disasters declared on or after November 23, 1988; "Public Assistance Guide," FEMA 322 (formerly FEMA 286); "Public Assistance Policy Digest," FEMA 321; "Public Assistance Applicant Handbook," FEMA 323. See Public Assistance web page at <http://www.fema.gov/government/grant/pa/index.shtm>.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), Disaster Assistance Directorate, Public Assistance Division 500 C Street, S.W., Washington, District of Columbia 20472 Phone: 1-800-621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 12.102 Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works; 12.103 Emergency Operations Flood Response and Post Flood Response; 97.034 Disaster Unemployment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.039 HAZARD MITIGATION GRANT**

(HMGP)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 404, 42 U.S.C 5170c.

**OBJECTIVES:**

To provide funding support to states, tribes, territories, communities, and other eligible applicants to implement mitigation planning and hazard mitigation measures that are cost effective and which substantially reduce the risk of future damage, hardship, loss or suffering in any area affected by a major disaster.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Assistance can be used for eligible activities including structural hazard controls or protection projects; construction activities that will result in reduction of hazards; retrofitting of facilities; acquisition of real property; relocation, demolition of structures; elevation of residential structures; minor flood reduction projects; structural retrofitting of existing structures; safe room construction; initial implementation of vegetation management programs; elevation or dry flood-proofing of non-residential structures; initial training of building officials and other professionals to facilitate the implementation of newly adopted State or local mitigation standards and codes, and mitigation planning actions. Projects must meet all eligibility criteria including cost-effectiveness; compliance with environmental and historic preservation laws and regulations and other program requirements.

**Applicant Eligibility:**

Entities eligible to apply for HMGP grants include State and local governments; Private, non-profit organizations that own or operate a private, non-profit public facility; certain qualified conservation organizations may apply for acquisition or relocation for open space projects; Indian tribes or authorized tribal organizations and Alaska Native villages or organizations, but not Alaska native corporations with ownership vested in private individuals. Please see the HMA program guidance for more detailed information. Grantees that meet planning requirements published as a result of the Disaster Mitigation Act of 2000 may receive an increased percentage (20 percent of the value of all other disaster assistance grants) of HMGP funds if, at the time of the declaration of a major disaster they have in effect an approved Enhanced State Mitigation Plan. Grantees that have a current, approved Standard Mitigation Plan are eligible to receive up to 15% of the value of all other disaster assistance grants.

**Beneficiary Eligibility:**

States and communities.

**Credentials/Documentation:**

Refer to HMA program guidance document. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Rather than require applicants to submit a separate preapplication in order for FEMA and the State to identify the need for assistance, FEMA will employ the administrative and Mitigation plans in this manner. When States submit plans for review and indicate their intention to apply for assistance to implement one or more projects described in it, FEMA will use the plan to identify a need for funding assistance, and to discourage applications that are unlikely to be funded. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the headquarters or regional office, as appropriate, for application deadlines

**Award Procedure:**

Applications or plans are reviewed by DHS/FEMA program, technical and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to HMA program guidance document.

**Appeals:**

An eligible applicant, subgrantee, or State may appeal any determination previously made related to an application for or the provision of Federal assistance according to procedures set forth in 44CFR Section 206.440.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: 44 CFR Subpart N Hazard Mitigation Grant Program Sections 206.430-206.440.

Matching Requirements: FEMA can fund up to 75 percent of the eligible costs of projects submitted under each declaration. The State or project applicant must provide a 25 percent match. The 25 percent nonfederal share can be a combination of cash, in-kind services, or materials.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due quarterly and a final financial report is due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due quarterly and a final financial report is due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due quarterly and a final financial report is due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due quarterly and a final financial report is due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due quarterly and a final financial report is due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0700-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$687,981,389; FY 11 est \$0; and FY 12 est \$0 - Fiscal Year 2011 and 2012 estimate not reported.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provided opportunities for transparency and partnership with States, Territories, Tribal and local governments through multiple workgroups, courses and activities;

Utilized and improved an enhanced Benefit cost Analysis tool to streamline and modify benefit cost analysis reviews to assist State and local communities as they meet the requirements of the Mitigation grant programs and Office of Management and Budget Circular A-94.

Utilized and refined an improved portfolio approach to assist States, Territories, Tribal and local governments in the management of pre-qualified mitigation proposals that are: consistent with State and local mitigation plans and priorities; determined technically feasible to reduce losses to the identified hazard(s); cost effective and facilitate more expeditious awarding of grants. Clarified technical requirements for project specific activities that streamlined and simplified requirements for State and local communities to develop eligible applications and document program needs.

Developed strategies to process efficiencies to award funds more expeditiously, thereby increasing obligation rates. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Subpart N Hazard Mitigation Grant Program Sections 206.430-206.440; Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended; Hazard Mitigation Assistance Unified Guidance; Hazard Mitigation Grant Program Desk Reference FEMA 345 October 1999, Hazard Mitigation Grant Program, L-169, February 1996. Property acquisition handbook, FEMA-317.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of FEMA's Regional Offices.

**Headquarters Office:**

Lloyd Hake - FEMA 1800 South Bell Street, Arlington, Virginia 20595-3015  
Email: Lloyd.Hake@dhs.gov Phone: (202) 646-3428

**Website Address:**

<http://www.fema.gov/government/mitigation.shtm>

**RELATED PROGRAMS:**

97.029 Flood Mitigation Assistance; 97.047 Pre-Disaster Mitigation; 97.092 Repetitive Flood Claims; 97.110 Severe Loss Repetitive Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants for mitigation projects vary and include activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures. Fiscal Year 2011: Grants for mitigation projects vary and include activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures. Fiscal Year 2012: Grants for mitigation projects vary and include activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the HMA program guidance for information on criteria for selecting proposals.

**97.040 CHEMICAL STOCKPILE EMERGENCY PREPAREDNESS PROGRAM**

(CSEPP)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Defense Authorization Act of 1986, Title 14, Part B, Section 1412, Public Law 99-145, 50 U.S.C 1521.

**OBJECTIVES:**

To enhance emergency preparedness capabilities of the States, local, and tribal communities at each of the six chemical agent stockpile storage facilities. The purpose of the program is to assist States and local communities in efforts to improve their capacity to plan for and respond to accidents associated with the storage and ultimate disposal of chemical warfare materials.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Applications are accepted from the States of Alabama, Arkansas, Colorado, Kentucky, Oregon, Utah, Washington, and the Confederated Tribes of the Umatilla Indian Reservation. The eligible States house the U.S. Army stockpiles unitary chemical warfare agent as bulk chemicals and munitions. Local governments are eligible to participate as subgrantees under their State's application. In keeping with the intent of the Congressional appropriations, CSEPP funds are to be utilized for effective emergency management capabilities in the seven affected States, local, and tribal communities surrounding the six Army stockpile locations. CSEPP funds may not be used as a substitute for other mandated, unfunded programs required for existing needs or by other laws. CSEPP funds may not be used to supplant other forms of emergency management funding. CSEPP funds may not be commingled with other, non-CSEPP funds. In keeping with the intent of the Congressional appropriations, CSEPP funds are to be utilized for effective emergency management capabilities in the seven affected States, local, and tribal communities surrounding the six Army stockpile locations. CSEPP funds may not be used as a substitute for other mandated, unfunded programs required for existing needs or by other laws. CSEPP funds may not be used to supplant other forms of emergency management funding. CSEPP funds may not be commingled with other, non-CSEPP funds.

**Applicant Eligibility:**

Applications are accepted from the States of Alabama, Arkansas, Colorado, Illinois, Indiana, Kentucky, Oregon, Utah, Washington, and the Confederated Tribes of the Umatilla Indian Reservation. The eligible States house the U.S. Army stockpiles unitary chemical warfare agent as bulk chemicals and munitions. Local governments are eligible to participate as subgrantees under their State's application.

**Beneficiary Eligibility:**

State, local and tribal governments, and general public.

**Credentials/Documentation:**

The budget worksheets used for CSEPP must be included in the official application package. These worksheets will be used for budget analysis by FEMA. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A preapplication meeting between the FEMA Regional Offices and their respective States usually occurs to discuss the application and draft work plan. Technical assistance is available for application preparation from the FEMA Regional Office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS/FEMA program staff. Any issues or concerns noted in the application will be negotiated with the State prior to the

award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to CSEPP CA Annual Program Guidance document.

**Appeals:**

Appeals may be submitted in writing by the authorized State official to the FEMA Regional Administrator.

**Renewals:**

A new application is required for each Federal fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-999 - also 70 9 10 0715; 70 9 11 0715.

**Obligations:**

(Project Grants) FY 10 \$55,000,000; FY 11 est \$76,048,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR 13 and 14; Chemical Stockpile Emergency Preparedness Program Planning Guidance and CSEPP Policy Papers. All available, relevant guidance is routinely provided to all eligible State participants. State and local

organizations desiring information about this program should contact their State Emergency Management Agencies or Departments.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for FEMA Regional Offices. State and local government officials and the public are encouraged to contact their State and Local Emergency Management Agencies or Departments.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency, National Preparedness Directorate, Technological Hazards Division, Chemical Stockpile Emergency Preparedness Program 1800 South Bell Street, Crystal City, Virginia 22202 Phone: (703) 605-1370

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.041 NATIONAL DAM SAFETY PROGRAM**

Dam Safety State Assistance Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Dam Safety Act of 2006, Public Law 109-460 Dec. 2006.

**OBJECTIVES:**

To support State governments and the Commonwealth of Puerto Rico in the development and maintenance of dam safety programs. To enable States and the Commonwealth of Puerto Rico to take precautions that ensure the safety of the dams, such as the development of regulatory authority for the design, construction, operation, and maintenance of dams, the undertaking of dam inspections, and development of Emergency Action Plans (EAPs) for dams.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For costs associated with the Establishment and maintenance of effective State/Commonwealth dam safety programs. Restrictions: Funds may only be used for the purposes set forth in the grant and must be consistent with the statutory authority for the award. Funds may not be used for matching funds for other Federal grants or cooperative agreements. Funds may not be used for lobbying, or intervention in federal regulatory or adjudicatory proceedings. Note that the FY 2010 grant funds may NOT be used to purchase equipment. In addition, funds may not be used to sue the Federal government or any other government entity. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. Federal funds may not be comingled with State/Commonwealth funds. Pre-award costs are allowable only with the written consent of DHS and such costs must be reflected in the award agreement. For complete information on Uses and Restrictions, refer to program guidance. Eligible applicants are 49 States (excludes the State of Alabama) and the Commonwealth of Puerto Rico (PR). The states and PR must be working toward and/or developing a State dam safety program that is 1) authorized and budgeted by State or Commonwealth legislation and 2) includes, at a minimum, the 10 specified criteria and budgeting requirements outlined in the program guidance. For complete information regarding applicant eligibility and the 10 specified criteria and budgeting requirements refer to program guidance.

**Applicant Eligibility:**

All States are eligible for the National Dam Safety Program Assistance for State Dam Safety Programs including the territory of Puerto Rico.

**Beneficiary Eligibility:**

The State Dam Safety Program Office of eligible States.

**Credentials/Documentation:**

The State/Commonwealth must be working toward and/or developing a dam safety program that 1) is authorized and budgeted by State/Commonwealth legislation and 2) includes, at a minimum, the 10 specified criteria and budgeting requirements outlined in the program guidance. For complete information, refer to program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

FEMA makes the award to the State Dam Safety Program Office. Applications or plans are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Each subsequent fiscal year a State dam safety office must apply for financial assistance incentives. The amount of funding is contingent upon acceptability of the work plan in the application and the amounts made available for primary assistance to be allocated to the States using the one-third/two-third formula in Public Law 109-460, Section 8.

**Formula and Matching Requirements:**

Statutory Formula: Title Dam Safety Act of 2006, Public Law 109-460.

This program has no matching requirements. Refer to program guidance.

This program has MOE requirements, see funding agency for further details. Refer to program guidance.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Generally, final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-453.

**Obligations:**

(Project Grants) FY 10 \$7,399,100; FY 11 est \$7,340,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In accordance with the National Dam Safety Act of 2006 funds provided, improved and enhanced national state dams in forty-nine (49) states and Puerto Rico. Maintaining state dams helps to ensure the safety and negate the possibility of flooding to towns and/or urban populated areas upstream or downstream of state dams. Funds have also allowed FEMA to support a strong, collaborative training program for dam safety professionals and dam owners. With NDSP training funds, FEMA has been able to expand existing training programs, begin new initiatives to keep pace with evolving technology, and enhance the sharing of expertise between the federal and state sectors. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FEMA Performance Office of Partnership Agreement and Cooperative Agreement guidance, Office of Financial Management Modular Instruction, FEMA's National Dam Safety Program Implementation Plan (September 97).

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for list of addresses of Federal Emergency Management Agency Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) Techworld Control Desk 4th Floor, Room 427, 500 C St. SW, Washington, District of Columbia 20472 Phone: (800) 621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

97.023 Community Assistance Program State Support Services Element (CAP-SSSE)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.042 EMERGENCY MANAGEMENT PERFORMANCE GRANTS (EMPG)****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53); the Department of Homeland Security Appropriations Act, 2010 (Public Law 111-83); the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA) (Public Law 109295); and the Robert T. Stafford Disaster Relief and Emergency Assistance Act, (Public Law 93-288), as amended, 42 U.S.C. 5121-5207.

**OBJECTIVES:**

To provide resources to assist State and local governments to sustain and enhance all-hazards emergency management capabilities. All hazards approach to emergency response, including the development of a comprehensive program, planning, training, exercises, sets the stage for an effective and consistent response to any threatened or actual disaster or emergency, regardless of the cause. States have the opportunity to use EMPG funds to further strengthen their ability to support emergency management activities while simultaneously addressing issues of national concern as identified in the National Priorities of National Preparedness Guidelines.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Each state shall obligate 100% of the total grant program amount to the designated state-level EMA. For more detailed guidance on the EMPG grant program please refer to the current Fiscal Year solicitation guidance.

**Applicant Eligibility:**

As defined in the Homeland Security Act of 2002 (Public Law 107-296), the term "State" means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States" 6 U.S.C. 101 (14). as defined in the Homeland Security Act of 2002, refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." Either the State Administrative Agency (SAA) or the States Emergency Management Agency (EMA) are eligible to apply directly to FEMA for EMPG funds on behalf of State and local emergency management agencies, however only one application will be accepted from each State or territory.

State Administration Agency (SAA) is the only agency eligible to apply for EMPG funds...All 56 States and territories, as well as the Republic of the Marshall Islands and the Federated States of Micronesia, are eligible to apply for FY 2011 EMPG funds. Pursuant to Article X of the Federal Programs and Services Agreement of the Compact of Free Association authorized by Public Law 108-188, funds are available for the Federated States of Micronesia and for the Republic of the Marshall Islands.

**Beneficiary Eligibility:**

Funding under this program is ultimately used by emergency management organizations and programs of States, the District of Columbia, territories and possessions of the United States, local, and Indian Tribal governments.

**Credentials/Documentation:**

Grantees must maintain and expand any necessary capabilities to sustain an effective emergency management program. These capabilities must be able to address all-hazards emergencies. To help assess these capabilities, all EMPG award recipients should be a part of the application. Provide a brief description of the State emergency management priorities and initiatives that will be addressed with FY 2011 EMPG funds as they relate to expenditures outlined in the SF 424A. In addition, the narrative must address, if applicable, the following:

- Overview of the States risk profile (natural, technological, man-made)
- Areas of need identified through assessment processes
- Baseline inventory of where States are now relative to goals and objectives identified in relevant strategic plans
- State emergency management priorities and planning focus for FY 2011

Additionally, all EMPG award recipients are required to submit a budget and budget narrative.

as defined in the Homeland Security Act of 2002, (Public Law 107-296), the term "State" means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States" 6 U.S.C. 101 (14). refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands,



Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. Either the State Administrative Agency (SAA) or the States Emergency Management Agency (EMA) are eligible to apply directly to FEMA for EMPG funds on behalf of State and local emergency management agencies, however only one application will be accepted from each State or territory. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Technical assistance is available for application preparation from the FEMA Regional Offices. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to FY 2011 EMPG Guidance and Application Kit program guidance.

**Appeals:**

None.

**Renewals:**

A new application is required for each Federal fiscal year.

**Formula and Matching Requirements:**

Statutory Formula: Title Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329.

Matching Requirements: Pursuant to the Compact of Free Association, \$50,000 each may be available for the Federated States of Micronesia and the Republic of the Marshall Islands. In FY 2010, EMPG has a 50 percent Federal and 50 percent State cost share, cash- or in-kind, match requirement, as authorized by the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288), as amended, 42 U.S.C. 5121-5207. Specifically, Title VI, sections 611(j) and 614. Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Refer to the FY 2011 EMPG Guidance and Application Kit. Awards are subject to the Cash Management Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Semi-Annual Progress Report (SAPR) and Biannual Strategy Implementation Reports (BSIR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days after the end of each quarter: January 30, April 30, July 30 and October 30. Final financial, SAPR and BSIR reports are due 90 days after the expiration or termination of grant award. Refer to the FY 2011 Emergency Management Performance Grants Program Guidance and Application Kit. Refer to FY 2011 EMPG Guidance and Application Kit program guidance. Refer to FY 2011 EMPG Guidance and Application Kit program guidance. Refer to FY 2011 EMPG Guidance and Application Kit program guidance. Refer to FY 2011 EMPG Guidance and Application Kit program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0519-0-1-999.

**Obligations:**

(Formula Grants) FY 10 \$315,000,000; FY 11 est \$329,799,991; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program funds were used to develop plans, conduct training and exercises to validate plans, procure equipment, and hire personnel to help in managing and administering the grant funds. Fiscal Year 2011: Program funds will be used to develop plans, conduct training and exercises to validate plans, procure equipment, and hire personnel to help in managing and administering the grant funds. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FY 2011 Emergency Management Performance Grants Program Guidance and Application Kit.

**Regional or Local Office:**

See Regional Agency Offices. The Centralized Scheduling and Information Desk (CSID); Telephone: 1 (800)368-6498 or askcsid@dhs.gov. CSID hours of operation are from 8:00 a.m.7:00 p.m. (EST), Monday - Friday.

**Headquarters Office:**

FEMA Techworld Control Desk, 4th Floor, Room 427, 500 C Street SW, Washington, District of Columbia 20472 Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.053 Citizen Corps; 97.067 Homeland Security Grant Program; 97.071 Metropolitan Medical Response System; 97.073 State Homeland Security Program (SHSP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the FY 2010 Grants Program Guidance and Application Kit.

**97.043 STATE FIRE TRAINING SYSTEMS GRANTS**

National Fire Academy State Fire Training Grants

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Federal Emergency Management Agency, Executive Order 12127; Federal Fire Prevention and Control Act of 1974, Title 21, Public Law 93-498; U.S.A. Patriot Act of 2001, Public Law 107-56; Homeland Security Act of 2002,

Public Law 107-296.

**OBJECTIVES:**

To provide financial assistance to State Fire Training Systems for the delivery of a variety of National Fire Academy (NFA) courses/programs, administrative costs, and electronic student feedback.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Uses: Grant funds are to be used within each State to deliver NFA training courses/programs and for marketing, administrative costs, and electronic feedback of student data. Each State Fire Training System (State) will receive a total of \$26,000 with \$21,000 earmarked for delivery of NFA training programs and \$5,000 for marketing, administrative costs, and electronic feedback of student data.

Restrictions: DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other federal grants / cooperative agreements, or for lobbying or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. States must use funds for the purpose of delivering NFA- developed courses. Funds unused by a State may be reallocated to other States. Pre-award costs are allowable only with the written consent of DHS and such costs must be reflected in the award agreement. See program guidance for information on eligibility. Applicant eligibility is restricted to the 50 State Fire Training Systems.

**Applicant Eligibility:**

Representatives from the 50 State Fire Training Systems.

**Beneficiary Eligibility:**

Specialized Group; fire and emergency response personnel.

**Credentials/Documentation:**

Credentials: Applicants must provide a work plan that includes a narrative project description along with the proposed costs for the project. (Allowable costs are determined by reference to OMB Circular No. A-87). The work plan will be used as a guide by the program office to approve / disapprove payment requests, therefore, the plan must be specific and must align with the amount of funding requested / received for the project description.

Documentation: All beneficiaries / students must submit the standard FEMA Form 75-5 (long form) to the State or sponsoring host organization prior to the start of the class. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. Only applications made through [www.grants.gov](http://www.grants.gov) will be accepted. The on-line application requires (among other documentation), the Standard Forms 424, Project Narrative, and Budget. For complete information on all required forms, attachments, submission instructions / requirements, deadlines, and other procedural information, refer to program guidance

**Award Procedure:**

The application will be reviewed and recommended for funding by the DHS/FEMA/USFA/NFA Project Officer based on the program criteria identified in the announcement / guidance. Notification of award is made through the electronic Non Disaster Grant System (NDGrants). Once an award has been approved, a notice is sent to the authorized grantee official. Awards

are subject to certain administrative, national policy, and cost principle requirements delineated in both 2 CFR and 44 CFR. For complete information on the award procedure, and CFR (and other) requirements, refer to program guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Quarterly progress reports. Quarterly Financial Status Reports Audits (112): In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 10 \$1,400,000; FY 11 est \$1,300,000; and FY 12 est \$1,000,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Delivered National Fire Academy 2/6 day off campus

courses, State sponsored courses, Endorsement Program courses, and the Chief Officer training curriculum in State and local areas of the Nation to 42,326 students. Fiscal Year 2011: Anticipated to deliver National Fire Academy 2/6 day off campus courses, State sponsored courses, Endorsement Program courses, and the Chief Officer training curriculum in State and local areas of the Nation to an estimated 43,000 students. Fiscal Year 2012: Anticipated to deliver National Fire Academy 2/6 day off campus courses, State sponsored courses, Endorsement Program courses, and the Chief Officer training curriculum in State and local areas of the Nation to an estimated 43,000 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. FEMA regional offices.

**Headquarters Office:**

FEMA Emergency Management Agency Federal Emergency Management Agency, 500 C Street, SW, Washington, District of Columbia 20472 Phone: (1-800) 621-3362

**Website Address:**

<http://www.usfa.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to program guidance.

**97.044 ASSISTANCE TO FIREFIGHTERS GRANT**

(Fire Grants)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Federal Fire Prevention and Control Act of 1974, 15 U.S.C 2229 et seq.

**OBJECTIVES:**

To provide funding directly to fire departments and emergency medical services (EMS) organizations of a State for the purpose of enhancing departments abilities to protect the health and safety of the public, as well as that of firefighting personnel, facing fire and fire-related hazards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Competitive grants for the AFG program are awarded to support firefighting and EMS operations and safety, vehicle acquisition, regional projects. Specific activities funded include professional training, wellness and fitness programs, equipment, personal protective equipment, modifications to facilities for first responder safety, other equipment and supplies that support firefighting and EMS operations and safety; firefighting vehicles, and emergency vehicles. Grants also are awarded for the Fire Prevention and Safety program are awarded to support activities to protect the public from fire and fire-Related hazards. Specific activities funded include general public education and awareness; code enforcement and awareness; fire and arson investigation; national, state, and regional programs and studies; and firefighter safety and research and development. Grants for the Staffing for Adequate Fire and Emergency Response (SAFER) grant program are awarded to help fire departments and volunteer firefighter interest organizations to increase the number of frontline firefighters in their community and to enhance the capabilities of local fire departments to comply with staffing, response, and operational standards established by the NFPA and OSHA (NFPA 1710 and/or NFPA 1720 and OSHA 1910.134). Yes. Grantees must adhere to the restrictions stated in the guidance and application kit for the program and fiscal year in which they receive the award. Furthermore, as a condition of receiving an award, grantees also must agree to adhere to the award articles of agreement that require grantees to use the funds for the purpose stated in the awarded grant

applications, and to meet the special conditions specified in the articles of agreement.

**Applicant Eligibility:**

Eligible applicants for AFG are limited to fire departments and nonaffiliated EMS organizations. Fire departments or nonaffiliated EMS organizations operating in any of the 50 States plus the District of Columbia, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, and Puerto Rico are eligible for funding. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression to a population within a fixed geographical area on a first-due basis. A "nonaffiliated EMS organization" is defined as a public or private nonprofit emergency medical services organization that provides direct emergency medical services, including medical transport, to a specific geographic area on a first-due basis but is not affiliated with a hospital and does not serve a geographic area where emergency medical services are adequately provided by a fire department.

**Beneficiary Eligibility:**

The ultimate beneficiaries of this program are the local or tribal communities serviced by the fire department, including, but not limited to, local businesses, homeowners and property owners. Additionally, children under 16 years of age, senior citizens, and firefighters would be the beneficiaries since these groups are the targeted "risk groups" for the fire prevention program.

**Credentials/Documentation:**

Each applicant must certify: 1) that they are an eligible applicant, i.e., a fire department, as defined above; 2) as to the characteristics of their community, i.e., urban, suburban, or rural; 3) to the population size of the community served; and, 4) to their department type, i.e., volunteer, combination, or career. Eligible applicants for the AFG program are limited to fire departments and nonaffiliated EMS organizations operating in any of the 50 States plus the District of Columbia, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, and Puerto Rico. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression to a population within a fixed geographical area on a first-due basis. A "nonaffiliated EMS organization" is defined as a public or private nonprofit emergency medical services organization that provides direct emergency medical services, including medical transport, to a specific geographic area on a first-due basis but is not affiliated with a hospital and does not serve a geographic area where emergency medical services are adequately provided by a fire department. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

There is no preapplication form required under this grant program. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application deadline and other relevant information are contained in the application and in the program-specific guidance and application kits.

**Award Procedure:**

Submitted applications are reviewed by peer review panelists and then by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the program guidance and application kit document.

**Appeals:**

Applicants whose grant requests are not recommended for funding after the peer review panel evaluation may request a reconsideration of that decision. Such a request may be successful if it is determined that the rating criteria were not appropriately applied, or there was a flaw in the competitive process that unfairly disadvantaged the applicant, or there was human error in the processing of the grant application. Requests for reconsideration must be submitted in writing within 30 days of the date of the notification of denial.

**Renewals:**

The AFG award period of performance is 1 year. Grantees may request an extension if they are unable to fulfill their grant obligations before the end of the 1-year period. Such requests will be considered and approved based on the written justification.

**Formula and Matching Requirements:**

Statutory Formula: 44 CFR 152.

Matching Requirements: Applicants who protect a population of over 50,000 are required to provide a nonfederal cost-share of not less than 20 percent of the total award. Applicants who protect a population between 20,000 and 50,000 are required to provide a nonfederal cost-share of not less than 10 percent of the total award. Applicants who protect a population of less than 20,000 are required to provide a nonfederal cost-share of not less than 5 percent of the total award. No waivers of this requirement will be granted except for fire departments of Insular Areas as provided for in 48 U.S.C. 1469a.

This program has MOE requirements, see funding agency for further details.

This program also has a Maintenance of Effort (MOE) in that grantees are required to maintain operating expenditures during the grants period of performance in the areas funded by a grant at a level equal to or greater than the average of their operating expenditures in the 2 years preceding the year in which the grant is received. This requirement is intended to ensure that the Federal funds are used to supplement, not supplant, existing resources. In addition, this program will allocate more than \$100 million in grants during the current fiscal year.

**Length and Time Phasing of Assistance:**

Grants are available during the period of performance, which is 1 year. Refer to the program guidance and application kit for specific details. See the following for information on how assistance is awarded/released: Electronic funds transfer.

**Reports:**

Grantees are required to submit semiannual financial and performance reports. The "Progress Reports" must include a narrative statement that details the progress of each award. Reports are due 30 days after the end of the sixth month of the performance period. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees must adhere to the requirements of OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, in which grantees who expend \$500,000 or more in Federal funds during the year they were awarded (from all Federal sources) must have a single audit performed in accordance with the Circular.

Grantees are required to maintain and retain backup documentation such as bids, quotes, and cost/price analyses on file for Federal auditors. The required documentation for federally funded purchases should include specifications, solicitations, purchase orders, invoices, cancelled checks, copies of competitive quotes or proposals, and basis for selection.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action

and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0561-0-1-999.

**Obligations:**

(Project Grants) FY 10 Not Available(Exp: Final data not available.); FY 11 est \$420,000,000; and FY 12 est \$420,000,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Final data not available. To date, 2,878 grants have been awarded that total more than \$367,399,663. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Federal Fire Prevention and Control Act of 1974, 15 U.S.C. 2229 et seq. In addition, the program guidance and application kit, the FAQs, an applicant tutorial, and other program information can be found on the program's website at [www.fema.gov/firegrants](http://www.fema.gov/firegrants).

**Regional or Local Office:**

See Regional Agency Offices. The Assistance to Firefighters Grants are administered by FEMA. FEMA has 10 regional offices which employ Fire Program Specialists who may be contacted for information on the program.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate, Assistance to Firefighters Grant Program, TechWorld Bldg - South Tower, 5th Floor, 500 C Street, SW , Washington, District of Columbia 20472 Email: [firegrants@dhs.gov](mailto:firegrants@dhs.gov) Phone: (866) 274-0960

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

15.031 Indian Community Fire Protection; 15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance; 97.018 National Fire Academy Training Assistance; 97.043 State Fire Training Systems Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

44 CFR 152. Refer to the current fiscal year AFG guidance and application kit for specific eligibility and award criteria.

**97.045 COOPERATING TECHNICAL PARTNERS**

(CTP)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

and National Flood Insurance Reform Act of 1994; The Flood Disaster Protection Act of 1973, as amended; the Housing and Urban Development Act of 1969; Housing and Urban Development Act of 1968, also known as National Flood Insurance Act of 1968, as amended

, 42 U.S.C 4101.

**OBJECTIVES:**

To increase local involvement in, and ownership of, the production development and maintenance of Digital Flood Insurance Rate Maps (DFIRMS) flood hazard maps produced for for the National Flood Insurance Program (NFIP). To build and maintain partner capabilities, continue to increase local ownership of data and processes, establish sound performance criteria for current Cooperating Technical Partners (CTPs), and to define a career path for potential CTPs to join the program. .

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Uses: For costs associated with Program Management and Technical Mapping Activities as delineated in Tables 2 and 3 of the FY 2010 program guidance. Allowable costs are determined by reference to OMB Circulars A-122, A-21, and A-87. Use of funds must be consistent with the statutory authority for the award. Restrictions: The funds are authorized to supplement, not supplant, ongoing flood hazard mapping efforts by the recipient. The recipient must have in-house staff capabilities in the appropriate technical area for the activity approved in the award. If the work for any portion of a mapping activity is contracted, the recipient of the award must have in-house staff with the technical capability to monitor the contractor(s) and approve the product(s) developed by the contractor(s). Applicants must meet the six (6) eligibility criteria outlined in Part III, Section A of the FY 2010 program guidance. This criteria includes (but is not limited to) the requirement that potential partners have existing processes and / or systems in place to support mapping or data collection activities that contribute to flood hazard identification and that potential partners have the demonstrated capability and capacity to implement, or contract the activities for which funding is being sought.

**Applicant Eligibility:**

All States and Commonwealths (including the District of Columbia and territories and possessions of the United States), regional agencies, and communities may apply. Applicants must be communities participating and in good standing in the NFIP or service participating NFIP communities.

**Beneficiary Eligibility:**

State, local, specialized group, small business, general public.

**Credentials/Documentation:**

Credentials: Potential partners / applicants must meet the criteria outlined in section 2.3.1 of the FY 2009 program guidance and Applicants must be communities participating and in good standing in the NFIP. Documentation: Allowable costs are determined by reference to OMB Circulars A-122, A-21, and A-87. For complete information on credentials and documentation, please refer to program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All applicants should consult with the FEMA Regional office for application information and technical assistance. Non-profits should consult with FEMA HQ for application information and technical assistance. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. For complete information on all required forms, attachments, submission instructions / requirements, deadlines, and other

procedural information, please refer to program guidance.

**Award Procedure:**

DHS/FEMA staff will review the submitted applications and make determinations about the potential applicant's capability, capacity, and experience with earned value management systems. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program has no matching requirements unless otherwise stated in Congressional Appropriations language. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Announcement of award approval is made through the electronic Grants Management System (GMS). Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. For complete information regarding length and time phasing of assistance, refer to program guidance. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Progress Reports and Financial Status Reports (FSRs) must be submitted quarterly. These reports are due on January 30, April 30, July 30, and October 30. Progress Reports must include the progress of each sub-grant award. Semi-annual reports are required twice within a year and the due dates are established by the FEMA Regional office. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Reports must be submitted to the FEMA Regional CTP Grant Officers. For complete information regarding report submission requirements, refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-5464-0-2-453.

**Obligations:**

(Project Grants) FY 10 \$76,000,000; FY 11 est \$66,000,000; and FY 12

Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: National Flood Insurance Program (NFIP) mapping products were created as a result of the awards under this grant program. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual program guidance is available to all CTP initiative participants and the general public on through the funding opportunity on [www.grants.gov](http://www.grants.gov)

**Regional or Local Office:**

See Regional Agency Offices. FEMA Regional Offices will manage all Regional program activities under the CTP Program and HQ will manage all HQ activities. See Appendix IV of the Catalog for a listing of FEMA Regional Offices and refer to Part VII (FEMA Contacts) of the program guidance.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 245 Murray Lane, Bldg 410, Washington, District of Columbia 20523  
Email: [askcsid@dhs.gov](mailto:askcsid@dhs.gov) Phone: (1-800) 368-6498

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.046 FIRE MANAGEMENT ASSISTANCE GRANT**

FMAG

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Act, Section 420, Public Law 93-288, 42 U.S.C 5187.

**OBJECTIVES:**

To provide grants to States, Indian tribal governments and local governments for the mitigation, management and control of any fire burning on publicly (nonfederal) or privately owned forest or grassland that threatens such destruction as would constitute a major disaster.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Fire Management Assistance Grants are made in the form of cost-sharing grants for the mitigation, management, and control of any fire on publicly (nonfederal) or privately owned forestland or grassland that threatens such destruction as would constitute a major disaster. The Fire Management Assistance Grant Program, authorized by the Stafford Act and amended by the Disaster Mitigation Act of 2000, provides for the mitigation, management and control of fires that threaten such destruction as would constitute a major disaster.

**Applicant Eligibility:**

State governments and Indian tribal governments are eligible for fire management assistance grants. The State or Indian tribal government may be the Grantee. The Grantee is the government to which a grant is awarded, and is accountable for the use of funds provided.

**Beneficiary Eligibility:**

The State Government and/or Indian tribal government, acting as the Grantee, is the government to which the grant is awarded and which is accountable for the use of the funds provided. Other State entities, Indian tribal governments

and local governments are eligible to apply for subgrants.

**Credentials/Documentation:**

Costs will be determined in accordance with FEMA Regulations, 44 CFR Part 204. Federal funds will be awarded to subgrantees in accordance with State law and procedure and in compliance with 44 CFR Part 13 and 204. Grant awards will be determined in accordance with OMB Circulars No. A-87 and No. A-102 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A FEMA-State Agreement and/or Indian tribal Agreement for the Fire Management Assistance Grant Program (the agreement) is signed by the Governor/Indian tribal government and the Regional Administrator at the beginning of the calendar year or after a State's first fire management assistance grant declaration in a calendar year. The agreement is amended for subsequent approvals of assistance for the remainder of the year. This agreement outlines the level of fire management assistance to be provided for all fires declared during the calendar year, and contains the necessary terms and conditions for requesting and receiving assistance. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A State Governor, or Governor's Authorized Representative, may request a fire management assistance declaration through the FEMA Regional Administrator. To expedite the request, the State may submit a telephone request to the Regional Administrator, promptly followed by a confirming message or letter. The FEMA Regional Administrator will render a decision on the State's request and notify the State and FEMA Headquarters of this decision. This decision may be relayed by telephone, to be followed by a written determination.

**Award Procedure:**

Requests for fire management assistance declarations must be submitted while a fire is burning uncontrolled and threatens such destruction as would constitute a major disaster. The State should submit its grant application within nine (9) months of the declaration. Upon receipt of a written request from the State, the Regional Administrator may grant an extension for up to three (3) months.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 hour to 72 hours.

**Appeals:**

States have the recourse to two types of appeals under the Fire Management Assistance Grant Program. Under the first type of appeal, a Governor, Governor's Authorized Representative, may appeal a denial of its request for a fire management assistance declaration. The State should submit this one-time request for reconsideration in writing, with additional information, to the Deputy Associate Administrator of the Response and Recovery Directorate through the Regional Administrator. The appeal must be submitted within 30 days of the date of the letter denying the State's request. The Deputy Associate Administrator will render the final determination on this type of appeal within 90 days of receipt of the appeal or receipt of the additional information requested. The Deputy Associate Administrator may extend the 30-day period provided that the Governor, or the Governor's Authorized Representative, submits a written request for a time extension within the 30-day period. The Deputy Associate Administrator will evaluate the need for an extension based on the reasons cited in the request and either approve or deny the request for an extension. Under the second type of appeal, an applicant or subgrantee may appeal any determination FEMA makes under an approved fire management assistance declaration through a two level appeal process. Appellants must file appeals within 60 days after receipt of a notice of the action that is being appealed. The Grantee will review and forward appeals from an applicant or subgrantee, with a written recommendation, to the Regional Administrator within 60 days of receipt. The Regional Administrator will render a determination on first appeals for fire management assistance grant-related

decisions within 90 days following receipt of the appeal or requested additional information. In the event the Regional Administrator denies the appeal, the applicant may submit a second-level appeal to the Assistant Administrator of the Disaster Assistance Directorate. Within 90 days following receipt of a second appeal, the Assistant Administrator, will notify the grantee in writing of the disposition of the appeal or of the need for additional information. If the decision is to grant the appeal, the Regional Administrator will take appropriate implementing action. The decision of the Assistant Administrator at the second appeal level shall be the final administrative decision of FEMA.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Fire Management Assistance Grants may be available to States on a 75 percent Federal/25 percent nonfederal cost-sharing basis when we determine that the State's application demonstrates either of the following: total eligible costs for the declared fire meet or exceed the individual fire cost threshold or total costs of all declared and non-declared fires in a given calendar year meet the cumulative fire cost threshold. The individual fire cost threshold for a State for FY 2010 is the greater of \$100,000 or five percent x \$1.29 x state population. The cumulative fire cost threshold for a State FY 2010 is the greater of \$500,000 or three times the five percent x \$1.29 x State population. Both formulas are adjusted annually for inflation using the Consumer Price Index for All Urban Consumers published annually by the Department of Labor.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time interval during which a declared fire occurs is the incident period. Generally costs must be incurred during the incident period to be considered eligible. Pre-positioning of resources may be approved for Federal funding up to a maximum of 21 days before a declared fire. Mobilization and demobilization also occur outside the incident period and are eligible for Federal funding. Temporary repair work must be completed within 30 days of the close of the incident period for the declared fire. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Within 90 days of the Performance Period expiration date, the State must submit a Financial Status Report (FEMA Form 425 ) which reports all costs incurred within the incident period and all administrative costs incurred within the performance period. The performance period, defined on the SF-424, may be 9 months from the close of the incident period and may be extended for an additional 3 months by the Regional Administrator. During the performance period the Grantee will submit the subgrants, which document eligible costs; FEMA will review the eligibility of costs, and process, obligate, and close-out the grant. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or

sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 10 \$4,465,878; FY 11 est \$400,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provided federal fiscal resources to State and local governments to control wildfires which minimized loss of natural resources, as well as loss to public and private property from FMAGP declared fires. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance, Fire Management Assistance Grant Program Regulations, 44 CFR Part 204. See the Fire Management Assistance Grant Program page at: <http://www.fema.gov/government/grant/fmagp/index.shtm>.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security / FEMA / Public Assistance Division, Control Desk 4th Floor, Room 427, 500 C St. SW, Washington, District of Columbia 20472 Phone: (800) 621-FEMA (3363)

**Website Address:**

[www.fema.gov](http://www.fema.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.047 PRE-DISASTER MITIGATION**

PDM

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 203, 42 U.S.C 5133.

**OBJECTIVES:**

To provide funding support to states, tribes, territories, communities, and public colleges and universities for pre-disaster mitigation planning and projects primarily addressing natural hazards. This program promotes implementation of activities designed to reduce injuries, loss of life, and damage and destruction to property from natural hazards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Mitigation Planning: Planning activities that develop state, Indian tribal, local, and university hazard mitigation plans that meet planning criteria outlined in 44 CFR Part 201 are eligible for the PDM program. Hazard mitigation planning activities must primarily focus on natural hazards but may also address hazards caused by manmade events. Either single or multi-jurisdictional hazard mitigation plans may be submitted for funding. Mitigation Projects: Proposed multi-hazard mitigation projects must primarily focus on natural hazards. Funding is restricted to a maximum of \$3 million Federal share per project subapplication. Hazard mitigation is any sustained action taken to reduce or eliminate long-term risk to people and property from natural hazards and their effects. Projects must meet all eligibility criteria including cost-effectiveness;

compliance with environmental and historic preservation laws and regulations and other program requirements.

**Applicant Eligibility:**

Entities eligible to apply for HMA grants include the emergency management agency or a similar office of the 50 States, the District of Columbia, American Samoa, Guam, the U.S. Virgin Islands, Puerto Rico, the Northern Mariana Islands, and Indian Tribal governments. Each State, Territory, Commonwealth, or Indian Tribal government shall designate one agency to serve as the Applicant for each HMA program. Please see the HMA program guidance for more detailed information.

**Beneficiary Eligibility:**

State agencies, Indian Tribal governments, and local governments and communities are eligible to apply as subapplicants for assistance under the PDM program. All interested subapplicants must apply to the Applicant. Please see the HMA program guidance for detailed information.

**Credentials/Documentation:**

Please see the HMA program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the headquarters or regional office, as appropriate, for application deadlines.

**Award Procedure:**

Applications are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to HMA program guidance document.

**Appeals:**

Refer to HMA program guidance document.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Robert T. Stafford Disaster Relief and Emergency Assistance Act, Chapter 42, Part 5133, Public Law 100-707.

Matching Requirements: Refer to HMA program guidance for additional information.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to HMA program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must

include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0508-0-1-402.

**Obligations:**

(Project Grants) FY 10 \$24,288,207; FY 11 est \$50,000,000; and FY 12 est \$0 - No Data Available for FY 2012.

**Range and Average of Financial Assistance:**

Refer to HMA program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provided opportunities for transparency and partnership with States, Territories, Tribal and local governments through multiple workgroups, courses and activities; Utilized an enhanced Benefit-Cost Analysis Ratio tool to streamline and modify benefit cost analysis reviews to assist State and local communities as they meet the requirements of the Mitigation grant programs and Office of Management and Budget Circular A-94. Utilized an improved portfolio approach to assist States, Territories, Tribal and local governments in the management of pre-qualified mitigation proposals that are : consistent with State and local mitigation plans and priorities; determined technically feasible to reduce losses to the identified hazard(s); cost effective and facilitate more expeditious awarding of grants. Clarified technical requirements for project specific activities that streamlined and simplified requirements for State and local communities to develop eligible applications and document program needs. Developed strategies to process efficiencies to award funds more expeditiously, thereby increasing obligation rates. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**



Awards will be governed by Section 203 of the Stafford Act; the DHS FEMA Real Property Acquisition Regulations at 44 CFR Part 80; and the Hazard Mitigation Assistance Unified grant program guidance.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the list of addresses of Federal Emergency Management Agency Regional Offices. A list of FEMA regional offices also is available on the Internet at <http://www.fema.gov/about/contact/regions.shtm>.

**Headquarters Office:**

Lloyd Hake - FEMA 1800 South Bell Street, Arlington, Virginia 20598-3015  
Email: [Lloyd.Hake@dhs.gov](mailto:Lloyd.Hake@dhs.gov) Phone: (202) 646-3428 Fax: (202) 646-3104

**Website Address:**

<http://www.fema.gov/government/grant/pdm/index.shtm>

**RELATED PROGRAMS:**

97.029 Flood Mitigation Assistance; 97.039 Hazard Mitigation Grant; 97.092 Repetitive Flood Claims; 97.110 Severe Loss Repetitive Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Grants for mitigation projects vary and include activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures. Fiscal Year 2011: Grants for mitigation projects vary and include activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures. Fiscal Year 2012: Grants for mitigation projects vary and include activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the HMA program guidance for information on criteria for selecting proposals.

**97.048 FEDERAL DISASTER ASSISTANCE TO INDIVIDUALS AND HOUSEHOLDS IN PRESIDENTIAL DECLARED DISASTER AREAS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390.

**OBJECTIVES:**

To provide financial assistance and, if necessary, direct assistance to individuals and households affected as a direct result of a Presidentially declared major disaster or emergency, who have uninsured or under-insured, necessary expenses and serious needs and are unable to meet such expenses or needs through other means.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disasters or emergencies, such as an earthquake, hurricane, tornado, wildfire, or flood, etc. Program activates only after issuance of a presidential declaration. Housing Assistance, either Financial or Direct, may be provided for the following: (1) Temporary Housing, (2) Home Repair, (3) Home Replacement and (4) Permanent Housing Construction. Assistance not used for the specified purpose will be required to be returned. Other Needs Assistance may be provided for: (1) Medical, (2) Dental, (3) Funeral, (4) Personal Property, (5) Transportation, and (6) Other Miscellaneous Expenses. Assistance not used for the specified purpose will be required to be returned. If the State is providing for other needs under Section 408(f) of the Stafford Act, please refer to CFDA 97.050.

**Applicant Eligibility:**

Individuals and households, in areas declared an emergency or major disaster

by the President, whose primary residence has been damaged or destroyed and whose losses are not covered by insurance, are eligible to apply for this program. All needs must be caused by the disaster. The individual or a member of the household must be a citizen of the United States, a non-citizen national, or a qualified alien. Housing Assistance: 1) Temporary Housing Assistance - proof of primary residence; disaster caused displacement, and/or paid receipts for Rent or Lodging Expenses; 2) Repair - primary residence, proof of residency and ownership; disaster related home damage; 3) Replacement - primary residence, proof of residency and ownership; home destroyed by the disaster; 4) Permanent Housing Construction - primary residence, proof of residency and ownership; disaster related home damage, home is located in an insular area outside the continental United States or in other remote locations. Alternative housing resources are unavailable, infeasible, or not cost-effective. Other Needs Assistance: 1) Medical-disaster caused expenses, and/or paid receipts (bills) for medical treatment; 2) Dental-disaster caused expenses, and/or paid receipts (bills) for treatment; 3) Funeral - disaster caused expenses, and/or paid receipts (bills) for services; 4) Personal Property proof of ownership; disaster related personal property damage; 5) Transportation, proof of ownership; vehicle complies with State laws, disaster caused vehicle damage; 6) Other Necessary Expenses and Serious Needs Identified, the expense or need must be caused by the disaster and approved by FEMA.

**Beneficiary Eligibility:**

Individual/Family; Homeowner (located within an area which has been designated as a disaster area, by Presidential declaration).

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations at 44 CFR Part 206.110-120. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Based on damage assessments and an agreement to commit state funds and resources to the long-term recovery, the State Governor makes a request (through the FEMA regional Director) for a Presidential Declaration for an emergency or major disaster. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Presidential Disaster or Emergency Declaration must be issued, before individuals and households can register an application for assistance with FEMA via a toll-free number or FEMA's Internet Application or by visiting a Disaster Recovery Center. Applications will not be accepted from individuals residing outside of the area declared as a disaster.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster. Households receive assistance directly from FEMA or through disaster aid programs of other participating federal or state agencies.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies, in general 7-21 days. Generally, individual and household applications for disaster assistance must be filed within 60 days of the disaster declaration.

**Appeals:**

Appeals of program decisions must be submitted in writing within 60 days of the date of the notification letter.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 25.%. Housing - not applicable. Other Needs - FEMA or the State may administer the Other Needs Assistance Program. State provides 25 percent of the funds for the total number of grants disbursed for the designated disaster. Federal Government provides the remaining 75 percent of the costs for grant awards as well as the regulations, policies, and procedures that govern the program. States may also receive up to 5 percent of the Federal share of the program for administrative costs. The Governor may request a loan of the State's 25 percent share.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, one time grant assistance with a total assistance period not exceeding 18 months. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditure records (receipts) and related documents must be retained by the recipient for 3 years from the date of payment.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 10 \$650,028,234; FY 11 est \$480,455,937; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

For FY 10 assistance ranges from \$50 - \$29,900.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In previous fiscal years, this program provided assistance to individuals and households affected by disasters such as hurricanes, tornadoes, wildfires, or flooding etc. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Emergency Assistance Regulations, 44 CFR 206.110-120.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 500 C Street, SW, Washington, District of Columbia 20523 Phone: (202) 212-1000

**Website Address:**

www.FEMA.gov.

**RELATED PROGRAMS:**

97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households; 97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.049 PRESIDENTIAL DECLARED DISASTER ASSISTANCE - DISASTER HOUSING OPERATIONS FOR INDIVIDUALS AND HOUSEHOLDS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390.

**OBJECTIVES:**

To address disaster-related housing needs of individuals and households suffering hardship within an area which, by Presidential declaration, has been designated as a disaster area.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disaster or emergencies such as an earthquake, hurricane, tornado, floods, or wildfire, etc. Program activates only after issuance of a presidential declaration. Direct assistance under this program is used for temporarily housing disaster victims who lack available housing resources and would be unable to make use of potential financial assistance to rent an alternative place to live. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

Individuals and households, in areas which have received a Presidential emergency or major disaster declaration, whose primary residence has been damaged or destroyed and whose losses are not covered by insurance are eligible to apply for this program. The individual or household member must be a citizen of the United States, a non-citizen national, or a qualified alien. Direct Assistance - proof of residency, displacement must be caused by the disaster; and financial assistance to rent an alternative place to live is determined not to be a feasible option by the Federal Emergency Management Agency (FEMA).

**Beneficiary Eligibility:**

Individual/Family (located within a Presidentially - declared emergency or disaster area).

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations at 44 CFR Part 206. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of an emergency or a major disaster through the FEMA Regional Director. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Presidential disaster or emergency declaration must first be issued. Afterwards, individuals and households within an area which has received a Presidential disaster or emergency declaration, may register an application for assistance with FEMA via a toll-free number, FEMA's online application, or by visiting a Disaster Recovery Center.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster area. Households receive assistance directly from FEMA or State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Generally, individual and household applications for disaster assistance must be filed within 60 days of the disaster.

**Appeals:**

Appeals of program decisions must be submitted in writing within 60 days of the date of the notification letter.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, limited to an assistance period not exceeding 18 months. See the following for information on how assistance is awarded/released: Based on program need.

**Reports:**

Quarterly and final financial reports are required. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditure records (receipts) and related documents must be retained by the recipient for 3 years from the date of payment.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Direct Payments for Specified Use) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.101.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 245 Murray Lane - Bldg #410, Washington, District of Columbia 20523 Phone: (202) 646-3943

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.048 Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas ; 97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**97.050 PRESIDENTIAL DECLARED DISASTER ASSISTANCE TO INDIVIDUALS AND HOUSEHOLDS - OTHER NEEDS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended , Public Law 106-390.

**OBJECTIVES:**

To provide assistance to individuals and households affected by a disaster or emergency declared by the President, and enable them to address necessary expenses and serious needs, which cannot be met through other forms of disaster assistance or through other means such as insurance.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disasters or emergencies, such as an earthquake, hurricane, tornado, wildfire, or flood, etc. The Other Needs Assistance provision of the Individuals and Households Program activates only after issuance of a presidential declaration. "Other Needs Assistance" may be provided for the following: 1) Medical, 2) Dental, 3) Funeral, 4) Personal Property, 5) Transportation, and 6) Other Miscellaneous Expenses. Assistance not used for the specified purpose will be required to be returned. If the State is providing for other needs under Section 408(f) of the Stafford Act, please refer to CFDA 97.050.

**Applicant Eligibility:**

Applicant Eligibility for individuals and households affected by a Presidential-declared disaster or emergency: 1) Medical disaster caused expenses, and/or paid receipts (bills) for medical treatment; 2) Dental disaster caused expenses, and/or paid receipts (bills) for treatment; 3) Funeral disaster caused expenses, and/or paid receipts (bills) for services; 4) Personal Property proof of ownership; disaster caused personal damage; 5) Transportation proof of ownership; vehicle complies with State laws, disaster caused vehicle damage; and 6) Other Necessary Expenses and Serious Needs Identified the expense or need must be caused by the disaster and approved by FEMA.

**Beneficiary Eligibility:**

Individual and family located within an area which, by Presidential declaration, has been designated as a disaster area.

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations at 44 CFR Part 206. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Based on damage assessments and an agreement to commit state funds and resources to the long-term recovery, the State Governor makes a request (through the FEMA Regional Director) for a Presidential Declaration for an emergency or major disaster. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility. If the State has selected the program for Review, an applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Presidential Disaster or Emergency Declaration must first be issued. To receive the grant, the state must make an annual submission of the OMB form 010-1-11 (formerly 90-153).

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster. Households receive assistance directly from FEMA or through disaster aid programs of other participating federal or state agencies.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

7-21 days. Generally, individual and household applications for disaster assistance must be filed within 60 days of the disaster declaration.

**Appeals:**

Appeals of program decisions must be submitted in writing within 60 days of the date of the notification letter.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 25%. The State provides 25 percent of the funds for the total number of grants disbursed for the designated disaster. The Federal Government provides the remaining 75 percent of the costs for grant awards as well as the regulations, policies, and procedures that govern the provision. States may also receive up to 5 percent of the Federal share of the provision for administrative costs. The Governor may request a loan of the State's 25 percent share.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, a one time assistance payment, with a total assistance period of no longer than 18 months. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Quarterly and final financial reports are required. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Internal program audits are conducted.

**Records:**

Expenditure records (receipts) and related documents must be retained by the recipient for 3 years from the date of payment.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$4,017,375; FY 11 est \$377,255,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Currently ranges from \$50.00 to \$29,900.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In previous fiscal years, this program provided assistance to individuals and households affected by disasters such as hurricanes, tornadoes, or flooding, etc. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Assistance Regulations, 44 CFR 206.110-120.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 500 C Street, SW, Washington, District of Columbia 20472 Phone: (202) 212-1000

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

97.048 Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas ; 97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.052 EMERGENCY OPERATIONS CENTER**

(EOC)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Funds for the FY 2011 EOC Grant Program are appropriated under the Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10), Public Law 112-10; The EOC Grant Program is authorized by section 614 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act ( 42 U.S.C. 5196c) as amended by section 202 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53), Public Law 110-53.

**OBJECTIVES:**

The purpose of the Emergency Operations Center (EOC) Grant Program is to improve emergency management and preparedness capabilities by supporting flexible, sustainable, secure, strategically located and fully interoperable EOCs with a focus on addressing identified deficiencies and needs. This program provides funding for construction or renovation of a State, local or Tribal government's principal EOC. Fully capable emergency operations facilities at the State and local levels are an essential element of a comprehensive national emergency management system and are necessary to ensure continuity of operations and continuity of government in major disasters cause by any hazard.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The EOC grant program supports EOC construction and renovation. Funds must be spent in compliance with rules and regulations noted in the EOC Grant Program Guidance and Application Kit.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and in the EOC Grant Program Guidance and Application Kit.

**Beneficiary Eligibility:**

Funding under this program is ultimately to benefit State and local governments.

**Credentials/Documentation:**

Specific Information on applicant eligibility is identified in the funding opportunity announcement and in the EOC Grant Program Guidance and Application Kit . OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or

her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to in the EOC Grant Program Guidance and Application Kit .

**Appeals:**

None.

**Renewals:**

Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25.%. The program will require a 75 percent Federal and 25 percent grantee cost share cash or in-kind match requirement. Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to the EOC Grant Program Guidance and Application Kit. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly Federal Financial Reports (FFR) (SF-425) and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due within 30 days of the end of each calendar quarter : January 30, April 30, July 30, and October 30. Semi-Annual Assistance Progress Reports (SAPR). Following an award, the awardees will be responsible for providing updated obligation expenditure information on a semi-annual basis. The SAPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31).

Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to in the EOC Grant Program Guidance and Application Kit. Refer to in the EOC Grant Program Guidance and Application Kit. Refer to in the EOC Grant Program Guidance and Application Kit. Refer to in the EOC Grant Program Guidance and Application Kit.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of

the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-000.

**Obligations:**

(Project Grants) FY 10 \$34,002,500; FY 11 est \$15,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to in the EOC Grant Program Guidance and Application Kit.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The purpose of the Emergency Operations Center (EOC) Grant Program is to improve emergency management and preparedness capabilities by supporting flexible, sustainable, secure, strategically located and fully interoperable EOCs with a focus on addressing identified deficiencies and needs. This program provides funding for construction or renovation of a State, local or tribal government's principal EOC. Fully capable emergency operations facilities at the State and local levels are an essential element of a comprehensive national emergency management system and are necessary to ensure continuity of operations and continuity of government in major disasters cause by any hazard.

Funded 22 competitive EOC projects totaling \$12,357,500 & \$21,645,000 for 33 non-competitive projects. Fiscal Year 2011: Funded 20 competitive EOC projects totaling \$10,157,500 & 83 non-competitive EOC projects for \$47,442,500. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the solicitation guidance and application kit.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for FEMA regional offices.

**Headquarters Office:**

Department of Homeland Security /FEMA Grant Programs Directorate 500 C street S.W., Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.042 Emergency Management Performance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.053 CITIZEN CORPS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007 and the Department of Homeland Security Appropriation Act, 2008, Public Law 110-53; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329.

**OBJECTIVES:**

To bring together government and community leaders and involve citizens in all-hazards emergency preparedness and resilience. Citizen Corp strives to harness the power of every individual through education, training, and volunteer service to make communities safer, stronger, and better prepared to respond to threats of terrorism, crime, public health issues, and disasters of all

kinds. As a means of building law enforcement and community collaboration, Citizen Corp works closely with numerous partner organizations devoted to crime awareness and response, including the Department of Justice, the International Association of Chiefs of Police, the Volunteers in Police Service (VIPS) program, the National Sheriffs Association, and Neighborhood Watch programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For costs associated with assisting The International Association of Chiefs of Police (IACP) in developing a national strategy to improve the public's response to witnessing suspicious behavior. The IACP will develop a strategy by (among other things) communicating and coordinating with the ongoing national Suspicious Activity Reporting Initiative (National Security Initiative) and appropriate representatives from the DHS Office of Intelligence and Analysis (I&A), the Department of Justice Bureau of Justice Assistance (BJA), and the Office of the Program Manager for the Information Sharing Environment (PM\_ISE). The intent of the strategy is to increase individual responsibility, vigilance, and police-community partnerships. Refer to program guidance.

**Applicant Eligibility:**

States are eligible to apply for the assistance under this program. For purposes of this program and consistent with the Stafford Act, 42 U.S.C. 5122(4), "State" means any State of the United States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. Local governments may receive assistance as subgrantees to the States in which they are located. The term "local government" as used in this program has the meaning set forth in the Stafford Act, 42 U.S.C. 5122(6), and includes any county, city, village, town, district, or other political subdivision of any State, any Indian tribe or authorized tribal organization, or Alaska Native village or organization, including any rural community or unincorporated town or village or any other public entity for which an application for assistance is made by a State or political subdivision thereof.

**Beneficiary Eligibility:**

State and local units of government.

**Credentials/Documentation:**

**Credentials:** The applicant must clearly demonstrate the ability to conduct the necessary research, facilitate at least three focus group sessions, organize and manage the collection of information, evaluate information, and systematically develop a vetted strategy that can be utilized in communities across the nation. **Documentation:** Applicants or grantees may be required to supply documentation certifying that a reduction in non-Federal resources occurred for reasons other than the receipt of expected receipt of Federal funds (non-supplanting requirement). Allowable costs must be documented and are determined by reference to OMB Circular No. A-87. Refer to program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For preapplication information, refer to program guidance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications for this supplemental funding must be submitted using the Office of Justice Programs Grants Management System (GMS). To access GMS, go to <https://grants.ojp.usdoj.gov/>. For complete information on all required forms, attachments, submission instructions / requirements, deadlines, and other procedural information, please refer to program guidance.

**Award Procedure:**

Applications are assessed for anticipated effectiveness using a peer review process and reviewed by DHS/FEMA program and administrative staff. FEMA will verify compliance with all administrative and eligibility criteria identified in the grant announcement/program guidance. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the

award being issued. Notification of award approval is made through the Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized grantee official. For complete information regarding the award procedure, refer to program guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

A new application is required for each Federal fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. None.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Notification of award approval is made through the electronic Grants Management System (GMS). Once an award has been approved, a notice is sent to the authorized grantee official. The period of performance of this grant is twelve (12) months. Any unobligated funds will be de-obligated at the end of the 90 day close-out period. Extensions to the period of performance will be considered only through formal requests to FEMA and will only be granted for specific and compelling reasons. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

For complete information on report submission requirements, refer to program guidance. Refer to program guidance. Obligations and expenditures must be reported on a quarterly basis via the Financial Status Report (FSR). FSRs These reports are due on 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Semi-annual progress report (SAPR) and Bi annual Strategy Implementation Reports (BSIR) are required semi-annually. SAPR. The SAPR is due January 30 and July 30. Final FSR and financial, SAPR and BSIR reports are due 90 days after the expiration or termination of the grant award. Categorical Assistance Progress Reports (CAPR) and Biannual Strategy Implementation Reports (BSIR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial, CAPR and BSIR reports are due 90 days after the expiration or termination of the grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, no later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other

documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$200,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program funds were used to develop plans, conduct training and exercises to validate plans, procure equipment, and hire personnel to help in managing and administering the grant funds. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All available, relevant guidance is provided to the designated points of contact of all eligible State participants.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA 500 C St SW, Techworld Control Desk  
4th Floor, Room 427, Washington, District of Columbia 20472 Phone: (202) 646-3640

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.025 National Urban Search and Rescue (US&R) Response System; 97.042 Emergency Management Performance Grants; 97.044 Assistance to Firefighters Grant; 97.052 Emergency Operations Centers; 97.071 Metropolitan Medical Response System; 97.073 State Homeland Security Program (SHSP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.055 INTEROPERABLE EMERGENCY COMMUNICATIONS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53)., Public Law 110-53.

**OBJECTIVES:**

To provide governance, planning, training and exercise funding to States, territories, and local and tribal governments to carry out initiatives to improve interoperable emergency communications, including communications in collective response to natural disasters, acts of terrorism, and other man-made disasters. All activities proposed under the program must be integral to interoperable emergency communications and must be aligned with the goals, objectives, and/or initiatives identified in the grantees approved Statewide Communication Interoperability Plan (SCIP). The Program provides the flexibility to purchase interoperable communications equipment.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Refer to program guidance document. Refer to program guidance document.

**Applicant Eligibility:**

Applicant Eligibility - All 56 states and territories.

**Beneficiary Eligibility:**

Beneficiary Eligibility: States, territories, and local and tribal governments.

**Credentials/Documentation:**

Prior to, or along with, an application for assistance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 25.%. Grant awards will require a 25 percent nonfederal cost share on all equipment purchases. The source of the match funds must be identified in the grant application. The match does not need to be a cash match. In-kind contributions are permitted and must be activities in direct support of and eligible under the project. The nonfederal share may not be funded by other federal funds unless permitted by Federal statute.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Refer to program guidance document. Refer to program guidance document. Quarterly progress reports. Refer to program guidance document. Quarterly Federal Financial Reports (FFR), Semi-Annual Assistance Progress Report (SAPR), and Biannual Strategy Implementation Reports (BSIR). Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action

and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

58-0101-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$48,000,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - Program not funded for FY2011.

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, IECGP provided governance, planning, training and exercise funding to states, territories, and local and tribal governments to carry out initiatives to improve interoperable emergency communications, including communications in collective response to natural disasters, acts of terrorism, and other man-made disasters. If a State Administrative Agent (SAA) and Statewide Interoperability Coordinator (SWIC) / SCIP point of contact certify that its state or territory has fulfilled such governance, planning, training and exercise objectives, the Program provides the flexibility to purchase interoperable communications equipment with any remaining IECGP funds. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Refer to program guidance.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 500 C Street, SW, Washington, District of Columbia 20523 Phone: (202) 646-2500 Fax: (202) 646-3061

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.056 PORT SECURITY GRANT PROGRAM**

(Port Security Grants)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Maritime Transportation Security Act of 2002 as amended, 46 U.S.C 70107.

**OBJECTIVES:**

To provide funds to port areas, including ferry systems within those port areas, for the protection of critical port infrastructure from terrorism. To assist ports enhancing maritime domain awareness, improving risk management capabilities to prevent, detect, respond to and recover from attacks involving improvised explosive devices (IEDs) and other non-conventional weapons, as well as training and exercises and TWIC implementation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

All entities covered by an Area Maritime Security Plan (AMSP) may submit an application for consideration of funding. However, Congress has also

specifically directed DHS to apply these funds to the highest risk ports within the United States. In support of this, a total of 102 critical port areas, representing approximately 95 percent of the foreign waterborne commerce of the United States, have been specifically identified. In a number of cases, these port areas have also been grouped together to reflect geographic proximity, shared risk and a common waterway. The following three entities are specifically encouraged to apply: (1) owners/operators of federally regulated terminals, facilities, or U.S. inspected passenger vessels as defined in the Maritime Transportation Security Act (MTSA) 33 CFR Parts 101, 104, 105, and 106; (2) port authorities or other State and local agencies that provide layered security protection to federally regulated facilities in accordance with an AMSP or a facility or vessel security plan; and (3) consortia composed of local stakeholder groups (e.g., river groups, ports, and terminal associations) representing federally regulated ports, terminals, U.S. inspected passenger vessels, or ferries that provide layered security protection to federally regulated facilities in accordance with an AMSP or a facility or vessel security plan. Please refer to the program guidance and application kit for more details regarding applicant eligibility. Funds may be used for costs associated with maritime domain awareness; IED prevention, protection, response, and recovery capabilities; training and exercises; and management administration. The program guidance outlines uses and restrictions in detail. Refer to program guidance.

**Applicant Eligibility:**

All entities covered by an Area Maritime Security Plan (AMSP) may submit an application for consideration of funding. However, Congress has also specifically directed DHS to apply these funds to the highest risk ports within the United States. In support of this, a total of 102 critical port areas, representing approximately 95 percent of the foreign waterborne commerce of the United States, have been specifically identified. In a number of cases, these port areas have also been grouped together to reflect geographic proximity, shared risk and a common waterway. The following three entities are specifically encouraged to apply: 1) owners/operators of federally regulated terminals, facilities, or U.S. inspected passenger vessels as defined in the Maritime Transportation Security Act (MTSA) 33 CFR Parts 101, 104, 105, and 106; 2) port authorities or other State and local agencies that provide layered security protection to federally regulated facilities in accordance with an AMSP or a facility or vessel security plan; and 3) consortia composed of local stakeholder groups (e.g., river groups, ports, and terminal associations) representing federally regulated ports, terminals, U.S. inspected passenger vessels, or ferries that provide layered security protection to federally regulated facilities in accordance with an AMSP or a facility or vessel security plan. Please refer to the program guidance and application kit for more details regarding applicant eligibility.

**Beneficiary Eligibility:**

Critical national seaports and terminals.

**Credentials/Documentation:**

Prior to, or along with, an application for assistance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not required for all participants. Applicants applying directly through the Fiduciary Agent process must be affirmed prior to submitting applications. See guidance documents for details. Environmental Historical Preservation information is required for post award for projects funding through this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**



Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance document.

**Renewals:**

Refer to program guidance document.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula. There is a matching requirement of 25 percent of total project costs for public sector entities and 50 percent for private sector entities with the exception of grants under 25k, in which there is no match requirement. As of FY2009, the match may be cash or in-kind, with the exception of construction activities, in which the match must be cash.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Refer to program guidance document. Refer to program guidance document. Semi-annual reports. Quarterly Financial Status Reports. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-402.

**Obligations:**

(Cooperative Agreements) FY 10 \$388,600,000; FY 11 est \$235,029,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FEMA Staff, in close coordination with the USCG HQ and Sector Staff conducted large scale, on-site outreach visits to port areas via identified Area Maritime Security Committee (AMSC) venues. In FY 2010, the PSGP received a total of 360 applications from Tier I and Tier II agencies for a total dollar amount of \$405,886,700. After an extensive review of these applications by both FEMA and USCG, DHS made 144 awards for a total of \$288,000,000. These awards have helped to strengthen and enhance the Nations critical transportation infrastructure. Fiscal Year 2011: FEMA Staff, in close coordination with USCG HQ and Sector Staff conducted multiple

nationally available outreach conference calls accommodating time zone differences for all port areas with identified Area Maritime Security Committee (AMSC) venues. In FY 2011, the PSGP received a total of 237 applications for a total dollar amount of \$298,553,199, including targeted allocations among Group 1 and 2 port areas. DHS has extensively reviewed these applications and recommended 122 applications for a total of \$235,029,000 in awards. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the program guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA echworld, control desk, 4th floor Room 427 TechWorld - 800 K Street NW, Washington, District of Columbia 20472-3615 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.057 Intercity Bus Security Grants; 97.075 Rail and Transit Security Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.057 INTERCITY BUS SECURITY GRANTS**

Intercity Bus Security

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Consolidated Security, Disaster Assistance, and Continuing Appropriations Act 2009, Public Law 110-329; 1532 of the Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53.

**OBJECTIVES:**

To create a sustainable program for the protection of intercity bus systems and the traveling public from terrorism. To assist operators of fixed-route intercity and charter bus services in obtaining the resources required to support security measures such as enhanced planning, facility security upgrades, exercises, improved communication capabilities, and vehicle and driver protection.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for vehicle security enhancements; emergency communication technology; coordinating with local police and emergency responders; facility security enhancements; training and exercises; improvement of ticket identification and further implementation of passenger and baggage screening enhancements; and driver security enhancements. The program guidance outlines uses and restrictions in detail.

**Applicant Eligibility:**

This program is limited to applicants meeting one or both of the following criteria: (1) own/operate a fixed-route intercity bus service using over-the-road buses and providing services to a defined Urban Area Security Initiative (UASI) jurisdiction; or (2) own/operate a charter bus service using over-the-road buses providing a minimum of 50 trips annually to a defined UASI jurisdiction.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

This program is limited to applicants meeting one or both of the following

criteria: (1) own/operate a fixed-route intercity bus service using over-the-road buses and providing services to a defined Urban Area Security Initiative (UASI) jurisdiction; or (2) own/operate a charter bus service using over-the-road buses providing a minimum of 50 trips annually to a defined UASI jurisdiction. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 25%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and

program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-402.

**Obligations:**

(Project Grants) FY 10 \$11,658,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - Starting in FY 2011, the Intercity Bus Security Grant Program at Congressional direction became a component (carve-out) of the Transit Security Grant Program not separately appropriated.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, the IBSGP received a total of 94 applications from Tier I and Tier II agencies for a total dollar amount of \$20,879,717. After an extensive review of these applications by both FEMA and TSA, DHS made 69 awards for a total of \$11,520,000. These awards have helped to strengthen and enhance the Nations critical transportation infrastructure. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For information on requirements and guidance please refer to the current FY Intercity Bus Security Grants Program Guide and Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA Techworld, Control Desk TechWorld  
800 K Street NW, Washington, District of Columbia 20472-3615 Email:  
askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.056 Port Security Grant Program ; 97.075 Rail and Transit Security Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.058 OPERATION SAFE COMMERCE (OSC) COOPERATIVE AGREEMENT PROGRAM**

(Operation Safe Commerce)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

DHS Appropriations Act for Fiscal Year 2005, Public Law 108-334.

**OBJECTIVES:**

To explore commercially viable options to enhance cargo security, including business processes and technology prototypes, which support containerized cargo supply chain security management while facilitating the flow of trade.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Allowable costs are detailed in the Request for Applications (RFA). Cost principles applicable to the awards are OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, with OMB Circular No. A-122 for nonprofit organizations, and with 48 CFR Part 31 for commercial organizations. In general, funds may be used for equipment, supplies, services or consultants, travel, audits, other direct costs, facilities and administrative costs (i.e., indirect costs), and other costs

related to meeting the program objectives. Funds shall not be used for personnel. Refer to program guidance document.

**Applicant Eligibility:**

Applicants eligible for the most recent competition were Load Centers, defined as the Ports of Los Angeles/Long Beach, Seattle/Tacoma, and the Port Authority of New York/New Jersey.

**Beneficiary Eligibility:**

Immediate beneficiaries include applicable stakeholders in the supply chain. Applicable ports will benefit as designated in successful proposals.

**Credentials/Documentation:**

Stakeholder participation must be demonstrated through letter(s) of commitment. A copy of the applicant's Federally approved indirect cost rate agreement should be submitted. In addition, National Environmental Policy Act (NEPA) information is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance document.

**Renewals:**

Refer to program guidance document.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Refer to program guidance document. Refer to program guidance document. Refer to program guidance document. Financial Status Reports. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient

submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-402.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Program received no appropriations in FY 2010, and FY 2011. This CFDA will remain open until closeout of all grants.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Transportation (DOT) grant related regulations include 49 CFR Parts 17-21, 26, 29, and 32. DOT regulations may be superseded by corresponding or applicable new regulations issued by the Department of Homeland Security for this program. Cost principles applicable to the awards are OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, with OMB Circular No. A-122 for nonprofit organizations, and with 48 CFR Part 31 for commercial organizations. In addition, the U.S. Customs Service operates related initiatives called the Customs-Trade Partnership Against Terrorism (C-TPAT) and the Container Security Initiative (CSI). See <http://www.customs.treas.gov/> for further information on those programs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters Office: Department of Homeland Security/Techworld, control desk, 4th floor, Rm 427 500 C St., SW, Washington, District of Columbia 20472 Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

97.056 Port Security Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.059 TRUCK SECURITY PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Consolidated Security Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329.

**OBJECTIVES:**

In FY 2009 the focus is on the adoption and implementation of the Transportation Security Administration's (TSA) voluntary security action items for transporting Tier I Security Sensitive materials; development of plans to improve effectiveness of transportation and distribution of supplies and commodities during catastrophic events; and the development of a system for DHS to monitor, collect, and analyze tractor trailer tracking information.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

In FY 2009 to implement security improvement measures and policies deemed valuable by DHS as indicated in the Security Action Items publication of June 26, 2008. These items are primarily focused on the purchase and installation or enhancement of equipment and systems related to tractor and trailer tracking systems. Funding will also be provided to develop a system for DHS to monitor, collect, and analyze tracking information, and to develop plans to improve the effectiveness of transportation and distribution of supplies and commodities during catastrophic events. See the appropriate year's program guidance for a detailed description of allowable uses and restrictions. Refer to program guidance.

**Applicant Eligibility:**

Have a current security plan and transport Tier 1 Commodities as defined by TSA for the Truck Security Action Item Initiative; no restrictions for the Monitoring, Analysis and Planning area..

**Beneficiary Eligibility:**

Interstate, Intrastate, State, and local.

**Credentials/Documentation:**

In FY 2009 eligibility for funding under the Truck Security Action Item Implementation Initiative is limited to applicants meeting the following criteria: Have a current security plan subject to Title 49 CFR 172.800 Transport Tier I commodities as defined by TSA through the issuance of Highway Security-Sensitive Materials (HSSM) Security Action Items. There are no restrictions on who may apply for funding under the Monitoring and Analysis and Planning Priorities. Stakeholder participation must be demonstrated through letter(s) of commitment. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information may be required for this program, depending on the nature and scope of the approved projects. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula. This program has matching requirements ranging from 25% to 50% for the Truck Security Action Item Implementation Initiative.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually

and are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Program received no appropriations in FY 2010, and FY 2011. Program will remain active in CFDA until all awards are closed.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the program guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security /FEMA Techworld, Control Desk, 4th Floor, Room: 427 500 C St. SW, Washington, District of Columbia 20427 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

www.fema.gov.

**RELATED PROGRAMS:**

97.056 Port Security Grant Program ; 97.057 Intercity Bus Security Grants; 97.075 Rail and Transit Security Grant Program; 97.078 Buffer Zone Protection Program (BZPP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.061 CENTERS FOR HOMELAND SECURITY**

Centers of Excellence

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Section 1205, Public Law 107-296, 6 U.S.C 188(b).

**OBJECTIVES:**

Sponsored by the DHS Office of University Programs, the Centers of Excellence perform research and development activities to provide critical homeland security tools, technologies, training, and talent. The Centers of Excellence (COE) network is an extended consortium of hundreds of universities generating ground-breaking ideas for new technologies and critical knowledge. All Centers of Excellence work closely with academia, industry, DHS components and first-responders to develop customer-driven research solutions to on the ground challenges as well as provide essential training to the next generation of homeland security experts. The research portfolio is a mix of basic and applied research addressing both short and long-term needs. The COE extended network is also available for rapid response efforts.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Proposals must be submitted by an accredited U.S. institution of higher education that, along with its chosen partners, has the ability and capacity to conduct the required research. An accredited public and private institution of higher education in the United States must be identified as the official lead for proposal submission and subsequent negotiations.

COEs may partner with other academic institutions, historically black colleges and universities (HBCUs) and/or other MSIs and institutions in states that are part of the Experimental Program to Stimulate Competitive Research (EPSCoR), public or private sector, and non-profit organizations, including any organizations that meet the definition of nonprofit in OMB Circular A-122, relocated to 2 CFR Part 230. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

Partnering entities will generally be funded through subawards from the lead institutions. National laboratories funded by Federal agencies may not apply. Refer to Program Guidance.

**Applicant Eligibility:**

Eligible applicants are accredited U.S. institutions of higher education.

**Beneficiary Eligibility:**

Public and private colleges and universities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff for eligibility and responsiveness. Applications will undergo merit review by a panel of subject matter experts which may include federal and non-federal reviewers. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or program guidance document.

**Appeals:**

None.

**Renewals:**

Renewals of grant awards are based on performance, program plan, and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to announcement/program guidance or the award document.

**Reports:**

Refer to program guidance. Required to submit a Cash Transaction Report (SF 272) to the Department of Health and Human Services Division of Payment Management with a copy of the SF 272 to the DHS Grants Officer. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Salaries) FY 10 \$35,506,500; FY 11 est \$29,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Awarded continuation applications for 7 COEs (C2I, Borders, Explosives, CHC, MIREES, START, NTSOE)

Awarded 3 recompleted COEs (PACER, NCFPD and ZADD)

Competed 1 COE (CREATE). Note: award made in FY2011. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, University Programs 245 Murray Lane, Building 410, Mail Stop 0217, Washington, District of Columbia 20523 Email:

universityprograms@dhs.gov Phone: (202) 254-5695

**Website Address:**

<http://www.hsuniversityprograms.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.062 SCIENTIFIC LEADERSHIP AWARDS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Section 1205, Public Law 107-296, 6 U.S.C 188(b).

**OBJECTIVES:**

The objectives of this program are: (1) increase the intellectual capacity, skills and talents, especially those of U.S. citizens in areas of relevance to homeland security; (2) to attract undergraduate and graduate students to obtain advanced degrees in disciplines of importance to homeland security; (3) provide advanced professional and research development opportunities for fellows, scholars and faculty in targeted areas; and (4) to increase the diversity of and highly talented cadre of new and emerging science and technology expertise working in areas of importance and need to homeland security.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; Project Grants

**USES AND USE RESTRICTIONS:**

Support is provided to Minority Serving Institutions (MSIs) to develop capacity in HS-STEM and provide financial support and career guidance to students. Refer to program announcement.

**Applicant Eligibility:**

US accredited MSIs are eligible to apply. Student recipients must be U.S. citizens studying in one of the following areas including: computer science, engineering, life sciences, math, physical sciences, psychology, social sciences. Students must have career and employment goals aligned with the mission and objectives of the U.S. Department of Homeland Security.

**Beneficiary Eligibility:**

Undergraduate Student, Graduate Student, and Minority Serving Institution Faculty.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications are reviewed by subject matter experts (SMEs). Awards are made based on agency priorities and available funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Refer to program guidance. Refer to program guidance. Yearly progress reports and a final report are required. Refer to program guidance. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$3,348,500; FY 11 est \$3,197,700; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, University Programs 245 Murray Lane, Building 410, Mail Stop 0217, Washington, District of Columbia 20523 Email: [universityprograms@dhs.gov](mailto:universityprograms@dhs.gov) Phone: (202) 254-5695

**Website Address:**

<http://www.hsuniversityprograms.org>

**RELATED PROGRAMS:**

97.104 Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.065 HOMELAND SECURITY ADVANCED RESEARCH PROJECTS AGENCY**

(HSARPA)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Title 3, Section 307, Public Law 107-296.

**OBJECTIVES:**

To fund research and technology development in support of Homeland Security.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

HSARPA funds only project grants resulting from scientific and technical proposals for basic research, applied research and technology development in areas of science and technology to support homeland security research. These projects will promote revolutionary changes in technologies which would promote homeland security; advance the development, testing, and evaluation, and deployment of critical homeland security technologies; and accelerate the prototyping and deployment of technologies that would address homeland security vulnerabilities. All awards made under the affiliated Small Business Innovation Research Program will be restricted as required by law and regulation. Funds provided for any other purpose will be specified explicitly in the award document.

**Applicant Eligibility:**

HSARPA performs its functions in part by awarding contracts, grants, cooperative agreements, or other transactions for prototypes or research to: public or private entities, public or private nonprofit institutions/organizations, businesses, profit organizations, Federally funded research and development centers, universities, individuals, specialized groups, and other private institutions/organizations.

**Beneficiary Eligibility:**

Beneficiaries are small and large businesses; public and private educational institutions, and profit and non-profit entities.

**Credentials/Documentation:**

One condition of HSARPA assistance will be acceptable professional qualifications and documented experience necessary to properly conduct the research solicited in the manner proposed. Another condition of assistance may be the ability of applicants to possess specified security clearances, processes and procedures. Applicants must not appear on the non-procurement suspended or debarred list. In addition, the provisions of OMB Circulars Nos. A-21, A-87, A-88, A-110, A-122, and A-133 must be met, as applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Renewals of grant awards are based on performance, program plan, and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As required by solicitation. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

See program announcement. See program announcement. See program announcement. Refer to the program guidance or the award document for frequency of reporting.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Homeland Security Act of 2002, Title III, Sec. 307 and 831, Public Law 107-296, and information contained at <http://www.dhs.gov>, <http://www.fedbizopps.gov>, and <http://www.baa.st.dhs.gov>. FAR, OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.

**Regional or Local Office:**

None.

**Headquarters Office:**

S&T/RDP/PPP/SBIR 245 Murray Lane SW, Washington, District of Columbia 20528 Phone: (202) 254-5309

**Website Address:**

<http://www.dhs.gov>; <http://www.baa.st.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.066 HOMELAND SECURITY INFORMATION TECHNOLOGY RESEARCH, TESTING, EVALUATION AND DEMONSTRATION PROGRAM**

Homeland Security Information Technology Research and Demonstration Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

To foster and identify novel uses of existing "state-of-the-art" information technology that will remove barriers and/or improve information sharing and integration of State and local public safety interoperability.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Allowable costs and any funding restrictions will be identified in the Program Announcement. No construction will be eligible for funding. This funding may only be used to supplement existing funding and not be used to supplant funding. Refer to program guidance.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State, U.S. Territories and local governments.

**Credentials/Documentation:**

The applicant must complete a proposal as outlined in the funding opportunity announcement. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the funding opportunity announcement/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Extensions are at the discretion of DHS. Refer to the funding opportunity announcement or application guidance for information concerning renewals.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 10 \$3,500,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Expanded the use of CapWIN among emergency management centers and under-served (have-not) agencies in Virginia, the District of Columbia and the Federal government, and among relevant non-governmental organizations.

Exhibited CapWIN at local, state, and national conferences.

Provided access to data sources that are not currently accessible to agencies throughout the three jurisdictions and the Federal government.

Developed a model, the Community Cyber Security Maturity Model, which has been used by States and communities as a yardstick to measure their current level of preparedness and as a roadmap to chart their path toward a more secure cyber infrastructure.

Successfully used the model and its associated tools, to improve information sharing and heighten awareness of cyber security issues and their impacts to State and local IT assets.

CIAS team worked with the State and local communities to establish Voice Over IP training and prepared and facilitated Cyber exercises that engaged various levels of management and IT professionals in both State and local government and private industry.

CIAS now engaged with two new State and local communities and one previous community to enhance their position in the Community Cyber Security Maturity Model. Exercises are followed up with After Action Conferences that lead to improvements in processes, information sharing, and establish partnerships for better incident response capabilities. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.



**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Office of Grants and Financial Assistance  
Division 245 Murray Lane, SW Mail Stop Code 0115, Building 410,  
Washington, District of Columbia 20528 Phone: (202) 447-5589

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.067 HOMELAND SECURITY GRANT PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009 (Public law 110 - 329); Implementing Recommendations of 9/11 Commission Act of 2007, Public Law 110-53.

**OBJECTIVES:**

To enhance the ability of the State, local and tribal governments to prepare, prevent, respond to, and recover from terrorist attacks and other disasters. The Homeland Security Grant Program is the primary funding mechanism for building and sustaining national preparedness capabilities. HSGP is comprised of four separate grant programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Fiscal Year (FY) 2011 Homeland Security Grant Program (HSGP) provides a primary funding mechanism for building and sustaining national preparedness capabilities. HSGP is comprised of five interconnected grant programs:

State Homeland Security Program (SHSP)  
Urban Areas Security Initiative (UASI)  
Operation Stonegarden (OPSG)  
Metropolitan Medical Response System (MMRS)  
Citizen Corps Program (CCP)

Together, these grant programs fund a range of preparedness activities, including planning, organization, equipment purchase, training, exercises, and management and administration. Funds will be administered by the respective State Administrative Agency (SAA). Each SAA shall make no less than 80 percent of the total grant program amount available to local units of government within 45 days of the receipt of funds. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

States, as defined in the Homeland Security Act of 2002, refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and designated recipients. Local units of government, as defined in the Department of Homeland Security Appropriations Act of 2005, refer to "any county, city, village, town, district, borough, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized tribal organization, Alaska Native village, independent authority,

special district, or other political subdivision of any State."

**Beneficiary Eligibility:**

State and local governments.

**Credentials/Documentation:**

States, as defined in the Homeland Security Act of 2002, refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and designated recipients. Local units of government, as defined in the Department of Homeland Security Appropriations Act of 2005, refer to "any county, city, village, town, district, borough, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State." OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For specific application instructions, please refer to current program guidance.

**Award Procedure:**

Applications are assessed for anticipated effectiveness using a peer review process and plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: For more detailed formula and matching requirements on each of the individual grant programs, please refer to the current HSGP solicitation guidance.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Grantees are required to submit an Initial Strategy Implementation Plan (ISIP) within 60 days of the grant award date. SAPR Semi-annual progress report (SAPR) and Bi annual Strategy Implementation Reports (BSIR) are required semi-annually. The SAPR and BSIR are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter

on January 30, April 30, July 30, and October 30. Final SAPR, BSIR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Formula Grants) FY 10 \$1,786,359,956; FY 11 est \$1,289,296,132; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: A core mission of the Department of Homeland Security (DHS) is to enhance the ability of state, territorial, tribal and local governments to prepare for, prevent, respond to and recover from potential terrorist attacks and other hazards. The HSGP is a primary funding mechanism for building and sustaining national preparedness capabilities. The HSGP is comprised of five interconnected grant programs: the State Homeland Security Program (SHSP), the Urban Areas Security Initiative (UASI), Operation Stonegarden (OPSG), the Metropolitan Medical Response System (MMRS), and the Citizen Corps Program (CCP). Together, these grants fund a range of preparedness activities, including planning, organization, equipment purchase, training, exercises and management and administration. Per the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53) (9/11 Act) and the Homeland Security Appropriations Act, 2010 (Public Law 110-83), states are also required to ensure that at least 25 percent of their SHSP and UASI award funds are dedicated towards law enforcement terrorism prevention activities. Fiscal Year 2011: The purpose of the FY 2011 HSGP is to provide a primary funding mechanism for building and sustaining national preparedness capabilities. HSGP is comprised of five interconnected grant programs: the State Homeland Security Program (SHSP), the Urban Areas Security Initiative (UASI), Operation Stonegarden (OPSG), the Metropolitan Medical Response System (MMRS), and the Citizen Corps Program (CCP). Together, these grant programs fund a range of preparedness activities, including planning, organization, equipment purchase, training, exercises, and management and administration.

As part of the FY 2011 HSGP, DHS-FEMA identified three overarching priorities for SHSP and UASI:

**Advancing Whole Community Security and Emergency Management:** Whole Community fosters a national emergency management approach and considers all aspects of a community to effectively prepare for, protect against, respond to, recover from, and mitigate against any terrorist attack or natural disaster.

**Building Prevention and Protection Capabilities:** As terrorist threats have evolved, DHS has sought to detect and mitigate threats, such as home grown terrorism and foreign terrorist groups. DHS encourages the use of SHSP and

UASI funds to support programs and initiatives such as the development and implementation of Fusion Liaison Officer Programs, the Nationwide Suspicious Activity Reporting (SAR) Initiative (NSI), and the If You See Something, Say Something campaign. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the solicitation guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security /FEMA Techworld Control Desk 4th Floor Room 427. 500 C St. SW, Centralized Scheduling and Information Desk (CSID) , Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (800) 368-6498

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.042 Emergency Management Performance Grants; 97.053 Citizen Corps; 97.071 Metropolitan Medical Response System; 97.073 State Homeland Security Program (SHSP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.069 AVIATION RESEARCH GRANTS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 188(b)(1)(c).

**OBJECTIVES:**

To encourage and support innovative, advanced, and applied research and development in areas of potential benefit to the long-term growth of civil aviation security.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants (Contracts); USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

The grants may be used to support research and development projects at colleges, universities, nonprofit and for-profit institutions in the area of System Security Technology. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions. Refer to program guidance.

**Applicant Eligibility:**

Public and private nonprofit institutions/organizations, colleges and universities, State, local and Indian Tribal Governments and for-profit organizations are eligible to benefit.

**Beneficiary Eligibility:**

Public and private nonprofit institutions/organizations (colleges and universities), State, local and Indian Tribal Governments and for-profit organizations are eligible to benefit.

**Credentials/Documentation:**

May be required by U.S. Statute, regulation or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The applicant is notified of funding availability by electronic posting on <http://www.grants.gov>. The applicant will be advised on how to apply for the funding through the funding opportunity announcement and program guidance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Multi-year grants or cooperative agreements are available; extensions are possible. No-cost extensions available upon request by the recipient and approval by the Grants Office.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Refer to program guidance. No cash reports are required. Frequency of interim reporting will be identified in the funding opportunity/program guidance document. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantee fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$714,053; FY 11 est \$1,527,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Developed and demonstrated integration/interoperability capability of checkpoint technologies so that data and imagery from

stand-alone, stove-pipe systems are now displayed on a common interface (platform) as a decision making tool for TSOs in the screening of passengers.

Established requirements for integration capabilities (plug and play) for all transportation security equipment. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-21, Cost Principles for Educational Institutions (relocated to 2 CFR, Part 220); A-87, Cost Principles for State, Local and Indian Tribal Governments (relocated to 2 CFR, Part 225); A-102, Grants and Cooperative Agreements with State and Local Governments; A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations (relocated to 2 CFR, Part 215); A-122, Cost Principles for Nonprofit Organizations (relocated to 2 CFR, Part 230); and A-133, Audits of States, Local Governments and Nonprofit Organizations. In addition to the OMB criteria, program regulations, guidelines, DHS policy and procedures will also apply.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Sue McLaughlin W. J. Hughes Technical Center, Bldg 315, International Airport, Atlantic City, New Jersey 08405 Phone: (609) 813-2700 Fax: (609) 383-1973

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.071 METROPOLITAN MEDICAL RESPONSE SYSTEM**

(MMRS)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Appropriations, Section 635 a, b, and c, Metropolitan Medical Response System Grant Program, Public Law 109-295; Ongoing Congressional appropriations have funded contracts with 124 MMRS jurisdictions.

**OBJECTIVES:**

The MMRS program supports the integration of emergency management, health, and medical systems into a coordinated response to mass casualty incidents caused by any hazard. Successful MMRS grantees reduce the consequences of a mass casualty incident during the initial period of a response by having augmented existing local operational response systems before the incident occurs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Refer to the HSGP Guidance and Application Kit document for specific use and use restriction information.

**Applicant Eligibility:**

States, as defined in the Homeland Security Act of 2002, refer to means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and designated recipients.

Local units of government, as defined in the Department of Homeland Security Appropriations Act of 2005, refer to "any county, city, village, town, district, borough, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State."

**Beneficiary Eligibility:**

Local jurisdictions.

**Credentials/Documentation:**

Eligible States, as defined in the Homeland Security Act of 2002, refer to "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and designated recipients. Local units of government, as defined in the Department of Homeland Security Appropriations Act of 2005, refer to "any county, city, village, town, district, borough, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State." OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications are assessed for anticipated effectiveness using a peer review process and plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Semi-annual progress report (SAPR) and Biannual Strategy Implementation Reports (BSIR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days

after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial, SAPR and BSIR reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$39,359,956; FY 11 est \$34,929,932; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For more requirements and guidance, please refer to the MMRS section of the HSGP solicitation guidelines and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, FEMA Office of Grant Programs 500 C Street SW, Centralized Scheduling and Information Desk (CSID), Washington, District of Columbia 20472-3625 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.053 Citizen Corps; 97.073 State Homeland Security Program (SHSP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.072 NATIONAL EXPLOSIVES DETECTION CANINE TEAM PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; Federal Aviation Reauthorization Act of 1996, Public Law 104-264; Aviation and

Transportation Security Act.

**OBJECTIVES:**

The National Explosives Detection Canine Program exists to deter and detect the introduction of explosives devices into the transportation system. In addition, bomb threats cause disruption of air, land and sea commerce and pose an unacceptable danger to the traveling public and should be resolved quickly. Explosives detection canine teams are a proven reliable resource to detect explosives and are a key component in a balanced counter-sabotage program. The use of highly trained explosives detection canine teams is also a proven deterrent to terrorism directed towards transportation systems and provides a timely and mobile response to support facilities, rail stations, airports, passenger terminals, seaports and surface carriers. Canine teams consist of a dog and a handler. There is a 3 team minimum.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Allowable costs are detailed in the terms and conditions of each Reimbursable Agreement award. Allowable costs are detailed in the terms and conditions of each Reimbursable Agreement award.

**Applicant Eligibility:**

Designated Airport Authority or State and local law enforcement agencies having responsibility for ensuring passenger, cargo, and commerce security.

**Beneficiary Eligibility:**

Airports, Airlines, mass transit, passenger rail system passengers, airlines, and the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. TSA will contact potential participants of the program based upon established criteria for the specific mode of transportation. Proposals are not sought. No unsolicited applications are accepted. All applicants are pre-selected by TSA.

**Award Procedure:**

Recipients are pre-selected based on airport/mass transit-passenger rail security needs. Negotiations determine the scope of the award and a reimbursable agreement is awarded.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

See Program Guidance.

**Appeals:**

None.

**Renewals:**

Every five years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the

following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Refer to program guidance. Refer to program guidance. Quarterly progress reports. Quarterly financial reports. Refer to program guidance.

**Audits:**

No audits are required for this program.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0550-0-1-400.

**Obligations:**

(Cooperative Agreements) FY 10 \$26,895,905; FY 11 est \$28,828,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: NEDCTP continued to expand the partnerships within the Maritime Arena and expanded into the Multi Modal arena with the addition of NFTA and PPD. Fiscal Year 2011: Projected to continue the expansion into the Multi Modal arena. Fiscal Year 2012: It is projected that for FY12 there will be a per team stipend increase for the Aviation sector.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Reimbursable Agreement and attachments, Standard Operating Practices and Procedures, Applicable TSA Security Directives/Emergency Amendments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Acting Chief, Inga Dawson 1900 Oracle Way, Suite 8000, Reston, Virginia 20598 Email: Inga.dawson@dhs.gov Phone: (571) 227-4929

**Website Address:**

<http://www.tsa.gov> (click Security and Law Enforcement then Canine and Explosives Program).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.073 STATE HOMELAND SECURITY PROGRAM (SHSP)**

SHSP

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S.A Patriot Act of 2001 , Public Law 107-56; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009 , Public Law 110-329.

**OBJECTIVES:**

To build capabilities to prevent, deter, respond to, and recover from incidents of terrorism at the State and local levels through planning, equipment, training, and exercise activities and support the implementation of State homeland security strategies and key elements of the national preparedness architecture,

including the National Preparedness Goal, the National Incident Management System and the National Response Plan.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for planning, organization, equipment, training and exercises as related to the program objectives above, and will be administered by the respective State Administrative Agency (SAA). Each SAA shall make no less than 80 percent of the total grant program amount available to local units of government within 60 days of the receipt of funds. Refer to program guidance document.

**Applicant Eligibility:**

States, which includes any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. The State Administering Agency (SAA), designated by the Governor to administer DHS grant funds, is the only agency eligible to apply for these funds and is responsible for obligating the funds to local units of government and other designated recipients. Local units of government and other designated recipients, as defined in the Conference Report accompanying the Department of Homeland Security Appropriations Act of 2006, refers to "any county, city, village, town, district, borough, parish, port authority, transit authority, intercity rail provider, commuter rail system, freight rail provider, water district, regional planning commission, council of government, Indian tribe with jurisdiction over Indian country, authorized Tribal organization, Alaska Native village, independent authority, special district, or other political subdivision of any State."

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Refer to program guidance document. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications are assessed for anticipated effectiveness using a peer review process and plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance document.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

Statutory Formula: Title Homeland Security Act of 2002 as amended by the 9/11 Act.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Refer to program guidance document. Refer to program guidance document. Refer to program guidance document. Grantees are required to submit an Initial Strategy Implementation Plan (ISIP) within 60 days of the grant award date. Semi-annual progress report (SAPR) and Bi annual Strategy Implementation Reports (BSIR) are required semi-annually. The SAPR and BSIR are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final SAPR, BSIR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Formula Grants) FY 10 \$842,000,000; FY 11 est \$526,874,100; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Current Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: SHSP supported the implementation of State Homeland Security Strategies to address the identified planning, organization, equipment, training, and exercise needs to prevent, protect against, respond to, and recover from acts of terrorism and other catastrophic events. In addition, SHSP supported the implementation of the National Preparedness Guidelines, the National Incident Management System (NIMS), and the National Response Framework (NRF). Fiscal Year 2011: The FY 2011 SHSP provides funding to support the implementation of State Homeland Security Strategies to address the identified planning, organization, equipment, training, and exercise needs at the state and local levels to prevent, protect against, respond to, and recover from acts of terrorism and other catastrophic events. SHSP also provides funding to implement initiatives in the State Preparedness Report. Consistent with the Implementing Recommendations of the 9/11 Act of 2007 (Public Law 110-53) (hereafter 9/11 Act), states are required to ensure that at least 25 percent (25%) of SHSP appropriated funds are dedicated towards law enforcement terrorism prevention-oriented planning, organization, training, exercise, and equipment activities, including those activities which support the development and operation of fusion centers. Fiscal Year 2012: No

Current Data Available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the SHSP section of the HSGP solicitation guidance and application kit.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Department of Homeland Security, Office of Grant Programs, 245 Murray Lane, Bldg. #410, The Centralized Scheduling and Information Desk (CSID). CSID hours of operation are from 8:00 a.m. to 7:00 p.m. (Eastern Time), Monday through Friday., Washington, District of Columbia 20528 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

#### **Website Address:**

<http://www.dhs.gov>.

#### **RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.042 Emergency Management Performance Grants; 97.053 Citizen Corps; 97.071 Metropolitan Medical Response System

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

#### **97.075 RAIL AND TRANSIT SECURITY GRANT PROGRAM**

##### **FEDERAL AGENCY:**

Department of Homeland Security

##### **AUTHORIZATION:**

The U.S. Troop Readiness, Veterans Care, Katrina Recovery, and Iraq Accountability Appropriations Act of 2007, Public Law 110-28; Emergency Wartime Supplemental Appropriations Act of 2003, Public Law 108-11; Implementing Recommendations of the 9/11 Commission Act of 2007, Section 1406, Public Law 110-53; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act 2009, Public Law 110-329.

##### **OBJECTIVES:**

To create sustainable programs for the protection of critical bus, rail, and ferry system infrastructure from terrorism, with special emphasis on the use of explosives and non-conventional threats which would result in major loss of life and severe disruption.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Programs included under the CFDA number are: the Transit Security Grant Program (TSGP), the TSGP Intercity Passenger Rail, and the TSGP Freight Rail Security Grant Program (FRSGP) Funds may be used for planning, organizational activities, equipment acquisitions, training, exercises, management and administrative activities, and other costs the Secretary deems appropriate to support the objectives of the program. The program guidance outlines uses and restrictions in detail.

##### **Applicant Eligibility:**

Starting in FY2009 awards are made directly to the transit agencies. The SAA is no longer the grantee. For FY2009 TSGP, the applicant is the transit system itself. Eligible agencies were determined by the UASI urban areas list and National Transit Database based on unlinked passenger trips: Tier I transit agencies in the eight highest risk urban areas, and Tier II all other eligible transit agencies. The TSGP guidance contains a list of eligible urban areas and respective transit agencies. The National Passenger Railroad Corporation (Amtrak) is the only entity eligible to apply for funding under the TSGP Intercity Passenger Rail Security Supplemental. Agencies eligible for the TSGP Ferry System Security Supplemental were identified using comprehensive, empirically grounded risk analysis modeling. The risk methodology for the IPP programs is consistent across the modes and is linked to the risk methodology

used to determine eligibility for the core Department of Homeland Security State and local grant programs. The program guidance identifies the agencies eligible for funding.

##### **Beneficiary Eligibility:**

Specialized group; general public.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Agencies eligible were identified using comprehensive, empirically grounded risk analysis modeling. The risk methodology for the Infrastructure Protection Activities is consistent across the modes and is linked to the risk methodology used to determine eligibility for the core Department of Homeland Security State and local grant programs. The program guidance identifies the agencies eligible for funding. Each designated transit system is the only agency eligible to apply for transit mode (rail and bus transit and ferry service) funds and is responsible for obligating transit mode funds. The National Passenger Railroad Corporation (Amtrak) is the only entity eligible to apply for funding under the TSGP Intercity Passenger Rail. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

##### **Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Refer to program guidance document.

##### **Appeals:**

None.

##### **Renewals:**

None.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

##### **Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance. Refer to program guidance. Refer to program guidance.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$288,600,000; FY 11 est \$235,079,000; and FY 12 Estimate Not Available - Per Congressional direction, for FY 2011, Intercity Bus Security Grant Program funding was included (as a carve-out) in the Transit Security Grant appropriation.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: In FY 2010, the TSGP received a total of 104 applications from Tier I and Tier II agencies for a total dollar amount of \$457,406,712. After an extensive review of these applications by both FEMA and TSA, DHS made 73 awards for a total of \$288,000,000. These awards have helped to strengthen and enhance the Nations critical transportation infrastructure. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the program guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Transportation Infrastructure Support Branch TechWorld - 800 K Street NW, Washington, District of Columbia 20472-3615 Email: askscid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

97.056 Port Security Grant Program ; 97.057 Intercity Bus Security Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.076 NATIONAL CENTER FOR MISSING AND EXPLOITED CHILDREN (NCMEC)**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act.

**OBJECTIVES:**

To support investigative and forensics support activities related to investigations of missing and exploited children, promote awareness of the child pornography tip line and Project Alert; and, in conjunction with other Federal law enforcement agencies, support the establishment and maintenance of a national resource center and clearinghouse dedicated to missing and exploited children issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The NCMEC award is designated for a private, nonprofit organization (NPO) which meets Congress's objectives and programmatic criteria for preventing the abduction, abuse, and sexual exploitation of children; and/or assisting law enforcement agencies in the investigation and recovery of those children. Refer to program guidance.

**Applicant Eligibility:**

Designated private nonprofit institution/organization.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

Refer to program guidance. Cash reports are not applicable. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June



27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0400-0-1-751.

**Obligations:**

(Project Grants) FY 10 \$6,305,000; FY 11 est \$6,293,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Amount may vary.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The NCMEC toll-free hotline has received more than 221,626 calls for service during the 15 month grant period that began on April 1, 2010 through the present from parents, law enforcement, prosecutors and citizens seeking assistance or asking for information regarding missing children issues. NCMEC has also disseminated thousands of publications and provided training to approximately 289,876 law enforcement officers and prosecutors regarding online crime against children and child protection issues. NCMEC's Cyber Tip Line has received over 311,681 reports of child pornography and child sexual exploitation during the grant period since April 1, 2010. NCMEC recorded that 752 child victims of pornography have been identified by law enforcement and rescued. During the 15 month grant period NCMEC assisted in the recovery of 15,015 children. NCMEC continues to receive hundreds of hits on their web page daily and approximately over 30,000 quarterly.

In FY 10 Project ALERT and CyberTipline were combined into one Grant. This Grant assists with the cost of the Project ALERT manager and benefits, travel to assist law enforcement with their investigations, AD Council agreement, and indirect costs. Project ALERT focuses in long-term missing children cases and had over 700 assignments over the past 12-month period. Their efforts have been on securing biometric/identifying data for NamUs records. The CyberTipline hotline is staffed 24/7 and provides a means of reporting crimes committed against children to include: child pornography; online enticement; prostitution of children; child sex tourism; extra familial child sexual molestation; unsolicited obscene material sent to a child; and misleading names, words or images. NCMEC was able to provide almost 178,700 CyberTipline reports to federal law enforcement during the past 15-month period. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For additional information on program requirements and guidance, please contact the headquarters office at the address listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Baucum 245 Murray Lane, SW, Bldg. T-5, Washington, District of Columbia 20223 Email: Michael.Baucum@uss.s.dhs.gov Phone: (202) 406-5926

**Website Address:**

www.dhs.gov

**RELATED PROGRAMS:**

16.543 Missing Children's Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Application is reviewed by the U. S. Secret Service and subject-matter experts. Application is evaluated according to the program objectives and goals established by Congress.

**97.077 HOMELAND SECURITY RESEARCH TESTING, EVALUATION, AND DEMONSTRATION OF TECHNOLOGIES RELATED TO NUCLEAR DETECTION**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

To provide funding and/or property for the purpose of conducting research, testing, evaluation, and demonstration of homeland security technologies related to nuclear detection intended to identify, counter, or respond to terrorist threats.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; DISSEMINATION OF TECHNICAL INFORMATION; SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions. Refer to program guidance.

**Applicant Eligibility:**

States, local governments, private, public, profit or nonprofit organizations, Indian Tribal governments, or individuals specified by U.S. Appropriation Statute.

**Beneficiary Eligibility:**

Federal, State, and local governments, private, public, profit or nonprofit organizations, Indian tribal governments, and individuals.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment is determined based on projects need.

**Reports:**

Refer to program guidance. Refer to program guidance. Grantees are required to submit semi-annual financial and performance reports. "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each six months. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0860-0-1-999.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 10 \$12,729,417; FY 11 est \$13,756,908; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Ten awards were made to State and local governments. Two remain active. Equipment has been tested and the program has progressed successfully. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Domestic Nuclear Detection Office 245 Murray Lane, SW, DNDO Stop 0550, Washington, District of Columbia 20528-0550 Phone: (202) 254-7629

**Website Address:**

<http://www.dhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.078 BUFFER ZONE PROTECTION PROGRAM (BZPP)**  
(BZPP)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act, 2010 (Public Law 111-83) and the Homeland Security Act of 2002 (6 U.S.C. Section 101 et seq.).

**OBJECTIVES:**

The FY 2010 Buffer Zone Protection Program (BZPP), provides funds to increase the preparedness capabilities of jurisdictions responsible for the safety and security of communities surrounding high-priority Critical Infrastructure and Key Resource (CIKR) assets through planning and equipment acquisition.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

BZPP grant awards will be administered by the respective State Administrative Agency (SAA) and may be used for planning, equipment, and management of protective actions relating to the program objectives. The SAA will allocate program funds to the jurisdiction(s) responsible for the safety and security of the communities in which CI/KR sites are located. For additional information concerning BZPP grant award uses and restrictions, please refer to the program solicitation guidance. All BZPP sites have been selected prior to the grant announcement based on the risk of the individual sites themselves. Therefore, FY 2010 BZPP funding allocated to any given state or territory is entirely a function of the number, type and character of pre-identified higher-risk sites within their respective jurisdictions; there are no discretionary sites. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

States, as defined in the Homeland Security Act of 2002, means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The State's SAA is the only agency eligible to apply for BZPP grant funds and is responsible for obligating BZPP grant awards to the responsible jurisdiction(s) that have authority over the identified CIKR sites. The term "responsible jurisdiction" as used in the BZPP program guidance and application kit, refers to the primary agency (i.e. State, local, or tribal entity or unit of government), that has authority over the DHS identified CIKR facility and its buffer zone surrounding the facility.

**Beneficiary Eligibility:**

State and local governmental jurisdiction(s) responsible for the CI/KR sites.

**Credentials/Documentation:**

States, as defined in the Homeland Security Act of 2002, means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

none.

**Renewals:**

Funding is subject to reallocation each year, and may be consolidated with other programs.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. Based on project need.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Federal Financial Reports (FFR) are required quarterly, which is due within 30 days of the end of each calendar quarter and Semi-Annual Assistance Progress Reports (SAPR) is due on a semi-annual basis. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$48,000,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - Program is not funded for FY2011.

**Range and Average of Financial Assistance:**

Depending upon the assessment by DHS of the needs of identified CIKR facility; \$200,000 to \$5,200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The BZPP provided funding to increase the preparedness capabilities of jurisdictions responsible for the safety and security of communities surrounding high-priority pre-designated Tier 1 and Tier 2 critical infrastructure and key resource (CIKR) assets, including chemical facilities, financial institutions, nuclear and electric power plants, dams, stadiums, and other high-risk/high-consequence facilities, through allowable planning and equipment acquisition. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For additional information on program requirements and guidance, please refer to the BZPP Program Guidelines and Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Grant Programs Directorate 500 C Street, SW, Washington, District of Columbia 20472-3625 Email: askcsid@dhs.gov Phone: (800) 368-6498

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.073 State Homeland Security Program (SHSP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.080 INFORMATION ANALYSIS INFRASTRUCTURE PROTECTION (IAIP) AND CRITICAL INFRASTRUCTURE MONITORING AND PROTECTION**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Act., Public Law 107-296; FY2008 Consolidated Appropriations Act, Public Law 110-161; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act 2009, Public Law 110-329.

**OBJECTIVES:**

To provide financial or non-financial support to explore the feasibility and viability of commercially available protective measure technology to nonfederal entities, through pilot or demonstration projects, or as directed by Congress, to support monitoring of critical infrastructure, initiatives, programs and projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restricted to pilot or demonstration projects of commercially available protective measures technologies, or as directed by Congress, to support infrastructure monitoring. Additional information concerning uses and restrictions is contained in the program guidance document or can be obtained from the administering program office identified in this announcement. Financial and non-financial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding

opportunity announcement and award provisions. See program guidance.

**Applicant Eligibility:**

Funds are restricted to State, local government, private, public, profit or non-profit organization, Indian Tribal government or individuals specified by DHS program or Appropriation Statute, or guidance.

**Beneficiary Eligibility:**

State, local government, private, public, profit or nonprofit organization, Indian Tribal government or individual specified by DHS Appropriation Statute.

**Credentials/Documentation:**

Please refer to the pertinent program announcement or solicitation guidance document. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The funding opportunity announcement will identify if the program is subject to Executive Order 12372. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Contingent upon future appropriations. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Will vary by project. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Refer to program guidance. Refer to program guidance. Financial and progress reports must be submitted in compliance with OMB Circular A-102 or A110. The frequency of the reports will be identified in the terms and conditions of the award. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal Agency submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-5609-1-1-000; 70-0565-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 10 \$1,000,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

As specified in the program announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars, A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with Stat, and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS/ Grants and Assistance Division, Office of Procurement Operations 245 Murray Lane, S.W., Building 410, Mailstop 0612, Washington, District of Columbia 20525-0612 Phone: (202) 447-5589

**Website Address:**

<http://www.dhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Earmark or as identified in the program guidance document.

**97.082 EARTHQUAKE CONSORTIUM**

Earthquake Consortium and State Assistance

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Earthquake Hazards Reduction Act of 1977, as amended (42 U.S.C. 7701 et seq.), 42 U.S.C 7701; The National Earthquake Hazards Reduction Act of 2004, as amended by Public Law 108-360, Public Law 95-124; The Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

The purpose of this funding opportunity is to support the Central U.S. Earthquake Consortium (CUSEC), Northeast States Emergency Consortium (NESEC), Western States Seismic Policy Council (WSSPC), Cascadia Region Earthquake Workgroup (CREW), Earthquake Engineering Research Institute (EERI), Federal Alliance for Safe Homes (FLASH), any state and locals, including the District of Columbia, the US Virgin Islands, the Commonwealth of Puerto Rico, Guam, American Samoa, the Trust Territories of the Pacific Islands, the Mariana Islands, and Indian tribal governments in: 1) delivering and increasing awareness and education ; 2) developing policies, tools, and products; and 3) implementing programs or projects to support risk reduction and resilience activities from earthquake and other hazards.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Uses: For costs associated with providing guidance, technology transfer, and assistance to States and local communities with earthquake mitigation activities.

Restrictions: This program is a cooperative agreement, non-competitive, and restricted to certain specialized/qualified organizations designated by FEMA. Funding may only be used for the purpose set forth in the cooperative agreement and must be consistent with the statutory authority for the award. Cooperative agreement funds may not be used for matching funds for other federal grants / cooperative agreements, or for lobbying or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity. Pre-award costs are allowable only with the written consent of DHS/FEMA and such costs must be reflected in the award agreement. All financial and progress reports must be current at the time of application. Refer to program guidance.

**Applicant Eligibility:**

Nonprofit Organizations designated by FEMA. The program is currently restricted to the following entities and organizations: CUSEC, NESEC, WSSPC, CREW, EERI, FLASH, any state and locals, including the District of Columbia, the US Virgin Islands, the Commonwealth of Puerto Rico, Guam, American Samoa, the Trust Territories of the Pacific Islands, the Mariana Islands, Indian tribal governments, and other eligible earthquake organizations as determined by the program office.

**Beneficiary Eligibility:**

States, locals, tribes, U.S. Territories, and general public.

**Credentials/Documentation:**

Credentials: This funding opportunity program is restricted to the following non-profit organizations: CUSEC, NESEC, WSSPC, CREW, EERI, FLASH, any state and locals, including the District of Columbia, the US Virgin Islands, the Commonwealth of Puerto Rico, Guam, American Samoa, the Trust Territories of the Pacific Islands, the Mariana Islands, and Indian tribal governments.

Documentation: FEMA grants and cooperative agreements with educational and other non-profit organizations are governed by 2 CFR part 215. The allowability of costs incurred by non-profit organizations is determined in accordance with the provisions of 2 CFR part 230 and the Cost Principles for Non-Profit Organizations (OMB Circular A122).

FEMA grants and cooperative agreements with States and Local governments are governed by 44 CFR part 13. The allowability of costs incurred by State, local or federally-recognized Indian tribal governments is determined in accordance with the provisions of 2 CFR part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A87).

For complete information on credentials and documentation, please refer to program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Refer to program guidance document. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. 2 CFR part 215 is the governing regulatory administrative requirement for educational and other non-profit organizations applying for FEMA grants and cooperative agreements. 44 CFR part 13 is the governing regulatory administrative requirement for local, State, and tribal governments. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. Applications must include all forms and submissions as stipulated in the program announcement / guidance. Refer to program guidance

for complete information on application procedures.

**Award Procedure:**

Applications will be reviewed by both the program office located in the FEMA Building Science Branch of the Risk Reduction Division within the FEMA Federal Insurance and Mitigation Administration (DHS/FEMA/FIMA/RR/BS) and the Grants Program Directorate (GPD/OPS) for consistency with the goals and objectives stated in the guidance. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued. All financial and progress reports must be current at the time of application. Refer to program guidance for complete information regarding award procedures.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document or contact the headquarters or regional office, as appropriate, for application deadlines.

**Appeals:**

Refer to program guidance document.

**Renewals:**

Refer to program guidance document.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Refer to program guidance document. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Notification of award approval is made through the electronic Grants Management System (GMS). A successful applicant will receive notification detailing award specifics within 60-90 days of application. Once an award has been approved, notice is sent to the authorized grantee official. The period of performance shall be a maximum of twelve (12) months from date of award. Extensions to the period of performance will be considered only through formal requests to FEMA and will only be granted for specific and compelling reasons. All extension requests must be submitted to FEMA at least sixty (60) days prior to the expiration of the grant period of performance. Any unobligated funds will be de-obligated at the end of the 90 day close-out period. Awards may be subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: For additional information, refer to program guidance. See the following for information on how assistance is awarded/released: Refer to program guidance document.

**Reports:**

Grantees are required to submit semi-annual (quarterly if applicable) financial and performance reports. Semi-annual (Quarterly if applicable) Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each semi-annual or quarterly period: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year. For additional information regarding audit requirements, refer to program guidance.

**Records:**

Cooperative Agreement records shall be retained for a period of 3 years from

the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-453.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 10 \$3,580,000; FY 11 est \$3,080,000; and FY 12 est \$3,080,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fiscal Year 2010 resulted in the award of 34 cooperative agreements with State governments and 5 cooperative agreements with non-profit organizations. These agreements allowed States and organizations to develop and update seismic mitigation plans, prepare inventories and conduct seismic safety inspections of critical structures and lifelines, and increase earthquake awareness and education. Further, these agreements allowed earthquake consortia to develop seismic policies and share information intended to reduce earthquake related losses through outreach and education to local governments and the business community. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 C.F.R. Part 361, National Earthquake Hazards Reduction Assistance to State and Local Governments, 44 C.F.R. Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, 2 C.F.R. Part 215 Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations, and annual memorandum guidance issued by DHS-FEMA FIMA.

**Regional or Local Office:**

None. Claudette Fetterman  
Senior Program Specialist  
National Earthquake Hazards Reduction Program  
Building Science Branch, Risk Reduction Division  
DHS/FEMA Federal Insurance and Mitigation Administration (FIMA)  
1800 South Bell St. Arlington, VA 20598  
Phone: (202) 646-4344

Wendy Phillips  
Program Specialist  
National Earthquake Hazards Reduction Program  
Building Science Branch, Risk Reduction Division  
DHS/FEMA Federal Insurance and Mitigation Administration (FIMA)  
1800 South Bell St. Arlington, VA 20598  
Phone: (202) 646-2810.

**Headquarters Office:**

Claudette Fetterman 1800 South Bell Street, Arlington, Virginia 20598 Phone: (202) 646-4344

**Website Address:**

www.FEMA.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.083 STAFFING FOR ADEQUATE FIRE AND EMERGENCY**

**RESPONSE (SAFER)**

(SAFER ACT)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Federal Fire Prevention and Control Act of 1974, 15 U.S.C 2201 et seq.

**OBJECTIVES:**

To increase the number of firefighters in local communities and to help them meet industry minimum standards and attain 24/7 staffing for adequate protection against fire and fire-related hazards, and fulfill related roles associated with fire departments.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Not all fire departments will be eligible to apply. Training, equipment, over-time, and administrative expenses are not eligible. Individuals seeking personal assistance are not eligible. This program is intended to assist fire departments and recognized organizations as identified in the program guidance document and application package; and only those fire departments and organizations as specified in the program guidance, are eligible. Funds may be used to recruit, hire, and retain firefighters, but cannot supplant (replace) the applicants funds budgeted for that purpose. Recipients of funds for hiring of new firefighters must commit to maintaining their pre-existing (pre-grant) staffing level, and retaining personnel hired with grant funds, for at least one (1) year beyond the end of the four (4)-year grant period. Thus, recipients must maintain pre-existing staffing levels and retain grant funded personnel throughout the five year period of performance. Federal funds provided are limited for each position. From FY 05 through FY 08, the funds were provided on a sliding scale, recipients must initially match 10 percent of the Federal share the first year. Recipient match increases by certain percentages in the second, third, and fourth years, culminating in 100 percent of personnel costs (per position), in the fifth year and beyond. In FY 09 and FY 10, there was no cap on the federal funds provided for each position and there was no matching requirement. Refer to the program guidance for further information. This program is restricted to the jurisdictions/organizations described in the program guidance. For specific information, refer to the program guidance. In summary, for the purpose of this program, "State" is defined as the fifty States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Alaska Village Initiative, a nonprofit organization incorporated in the State of Alaska, shall also be considered eligible for purposes of receiving assistance under this program on behalf of Alaska Native villages. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression on a first-due basis to a population within a fixed geographical area. Fire departments may be comprised of members who are all volunteer, combination volunteer/career, or all career.

**Applicant Eligibility:**

This program is restricted to the jurisdictions/organizations described in the program guidance. For specific information, refer to the program guidance. In summary, for the purpose of this program, "State" is defined as the fifty States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Alaska Village Initiative, a nonprofit organization incorporated in the State of Alaska, shall also be considered eligible for purposes of receiving assistance under this program on behalf of Alaska Native villages. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression on a first-due basis to a population within a fixed geographical area. Fire departments may be comprised of members who are all volunteer, combination volunteer/career, or all career.

**Beneficiary Eligibility:**

Local or tribal communities serviced by the fire department including, local

businesses, homeowners and property owners.

**Credentials/Documentation:**

Applicant must certify that they are an eligible applicant, i.e., a fire department, as described in the program guidance. Refer to program guidance document for specific information. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are peer reviewed and subsequently also reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Applicants that receive an adverse decision or denial, can request reconsideration of the decision. Request for reconsideration must be submitted in writing, to the address contained on the program's website within 30 days of the notification of denial by the administering program office.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Refer to program guidance document. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The hiring grants have a four year performance period. The recruitment and retention grants are made in one-year increments up to a possible four-year period of performance. Refer to program guidance for further details. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Refer to program guidance document. Refer to program guidance document. Quarterly progress reports. Quarterly Financial Status Reports. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit,

or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0561-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$420,000,000; FY 11 Estimate Not Available; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program office is still in the process of awarding 2010 SAFER awards and to date has awarded 429 grants totaling approximately \$385 million. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S.C. 2201 et seq.; Fire Prevention and Control Act of 1974.

**Regional or Local Office:**

See Regional Agency Offices. SAFER grants are directed from the FEMA Headquarters Office. There are 10 regional offices in FEMA who provide monitoring and oversight of FEMA grantees.

**Headquarters Office:**

Department of Homeland Security/FEMA Techworld, 500 C St., SW, Control Desk, 4th Floor Rm 427, Washington, District of Columbia 20472 Email: firegrants@dhs.gov Phone: (866) 274-0960

**Website Address:**

<http://www.fema.gov/firegrants/index.shtm>.

**RELATED PROGRAMS:**

15.031 Indian Community Fire Protection; 15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance; 97.018 National Fire Academy Training Assistance; 97.043 State Fire Training Systems Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.084 HURRICANE KATRINA CASE MANAGEMENT INITIATIVE PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, as amended, Title 1, Section 102; Robert T. Stafford Disaster Relief and Emergency Assistance Act as amended by Public Law 106-390, including Section 701(b); Title 44 Code of Federal Regulations.

**OBJECTIVES:**

To provide case management services for displaced persons from Presidentially-declared disaster areas affected by Hurricane Katrina.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This award is designated for a private, nonprofit organization (NPO) which meets FEMA's national programmatic criteria to act as a lead agency for 6-12 designated private nonprofit organizations, to provide leadership and management of a National Case Management Consortium (NCMC). This consortium will provide case management services to the affected population

from Presidentially declared disaster areas affected by Hurricane Katrina.

**Applicant Eligibility:**

Unsolicited applications will not be accepted. Only the national-scope private nonprofit organization designated by FEMA to manage the NCMC is eligible.

**Beneficiary Eligibility:**

Displaced persons from Presidentially-declared disaster areas affected by Hurricane Katrina.

**Credentials/Documentation:**

Unsolicited applications will not be accepted. Only the national-scope private nonprofit organization designated by FEMA to manage the NCMC is eligible. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. FEMA will accept an application from the designated Private Nonprofit Organization to fund and establish a National Case Management Consortium (NCMC) with execution of FEMA Form 20-16 and a grant proposal.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of

the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-8244-0-7-453.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - This CFDA will remain open until closeout of all grants.

**Range and Average of Financial Assistance:**

66,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Coordinating Officer, DHS/FEMA 500 C Street, SW, Washington, District of Columbia 20472 Phone: (202) 646-3642 Fax: (202) 646-2730

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.086 HOMELAND SECURITY OUTREACH, EDUCATION, AND TECHNICAL ASSISTANCE**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 101 et. seq.

**OBJECTIVES:**

To provide funding for outreach, education, and technical assistance in order to raise public awareness of homeland security issues and to work with communities to help them forge partnerships across agencies and disciplines to address preparedness and response. Outreach and technical assistance may take several forms, such as the provision of written information, person-to-person exchange, seminars, workshops or training sessions.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. DHS grant funds may only be used for the purpose set forth in the cooperative agreement, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity. Refer to program guidance document.

**Applicant Eligibility:**

In general, States, local governments, institutions of high education, private,



public, profit or nonprofit organizations, Indian Tribal governments, or individuals specified by U.S. Appropriation Statute. Specific applicant eligibility will be identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Federal, State, and local governments, private, public, profit or nonprofit organizations, Indian tribal governments, and individuals.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Refer to program guidance document.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

"Earmarked" or one-time funding amounts and any match requirements are specified in the Program or Appropriation Statute, regulation or program guidance, and are identified in the funding opportunity announcement.

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: The recipient shall be paid in advance by electronic payments through the U.S. Department of Health and Human Services (HHS) Payment Management System (SMARTLINK), provided it maintains or demonstrates the willingness and ability to minimize the time elapsing between the transfer of funds and disbursement of expenditures. When these requirements are not met, the recipient will be required to use the reimbursement method of payment processing.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Salaries) FY 10 Not Available; FY 11 est \$0; and FY 12 Estimate Not Available - No funding allocated for FY11 and no funding anticipated for FY12.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS Grants & Assistance Division/OPO 425 Murray Drive, Washington, District of Columbia 20528 Phone: (202) 447-5589

**Website Address:**

www.dhs.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.088 DISASTER ASSISTANCE PROJECTS**

(Earmarked Projects or Limited Scope Disaster Projects. Restricted to entities designated by DHS or congressional statute.)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288; Public Health Bioterrorism and Public Health Emergencies Act of 2002, Public Law 107-188; Homeland Security Act, Public Law 107-296.

**OBJECTIVES:**

This category is not for unsolicited proposals. Provides funding that has been designated by Congressionally appropriated authorization, generally for a specified project, or to provide unique or limited scope funding for certain Disaster Assistance Projects identified by congress or a DHS program office.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is restricted to nonfederal entities invited to apply by DHS or specified in DHS Appropriation Statute.

**Applicant Eligibility:**

Funds are restricted to nonfederal entities, e.g. State, local government, private, public, profit or nonprofit organization, Indian Tribal government or individual specified by DHS or U.S. Appropriation Statute.

**Beneficiary Eligibility:**

State, local government, private, public, profit or nonprofit organization, Indian Tribal government or individual specified by U.S. Appropriation Statute.

**Credentials/Documentation:**

Credentials or other documentation may be required by the U.S. Appropriation Statute or other statute by project.

Funds are restricted to nonfederal entities, e.g. State, local government, private, public, profit or nonprofit organization, Indian Tribal government or individual specified by DHS or U.S. Appropriation Statute. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The applicant is notified of funding availability through letter or electronic mail communication. The applicant will be advised on how to apply for the funding through this notification. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An application (SF 424, budget, program or project narrative and assurances) or plan must be submitted that outlines the implementation of the project and expenditure of funds in response to the project identified by the U.S. Appropriation Statute.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff, concerns negotiated with the applicant and award processed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval time depends on the type of project to be funded.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Funding amounts and match requirements are specified in the program guidance document.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Mandated in the appropriation or identified in the application or plan submission. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Financial and progress reports must be submitted in compliance with OMB Circular A-102 or A-110. The frequency of the reports will be identified in the "Terms and Conditions" of the award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documentation and all other records to validate the performance of the grant or cooperative agreement must be retained for three years from the date the final financial status report is submitted to the DHS.

**Account Identification:**

70-0702-0-1-760.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Each "earmark" or project funding is designated by the appropriation statute or identified by the program office.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FEMA is funding a disaster case management pilot program with the State of Louisiana to provide disaster case management services to clients impacted by Hurricanes Katrina and Rita through March 31, 2010.

FEMA is funding a disaster case management pilot program with the Mississippi Commission for Volunteer Services (MCVS) to provide disaster case management services to clients residing in Mississippi impacted by Hurricanes Katrina and Rita that are residing in Mississippi. The program will continue to deliver services through August 30, 2010.

FEMA is funding a disaster case management pilot program with the Texas Health and Human Services Commission to provide disaster case management services to clients in Texas who were impacted by Hurricane Ike. The program will continue to deliver services through September 30, 2010. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars, A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with Stat, and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Department of Homeland Security/FEMA Techworld, Control Desk, 4th floor Room 427, 500 C St., SW. The Centralized Scheduling and Information Desk (CSID). CSID is open from 8:00am to 7:00pm., Eastern Standard Time, Monday through Friday., Washington, District of Columbia 20472 Email: askesid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.089 DRIVER'S LICENSE SECURITY GRANT PROGRAM**

Driver's License Security Grant Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Public Law 111-83, Department of Homeland Security Appropriations Act, 2010 (Title III Protection, Preparedness, Response, and Recovery); Public Law 110-53, Implementing Recommendations of the 9/11 Commission Act of 2007; and Public Law 109-13, Real ID Act of 2005.

**OBJECTIVES:**

This program provides funding to prevent terrorism, reduce fraud and improve the reliability and accuracy of personal identification documents that states and territories issue. The program is intended to address a key recommendation of the 9/11 Commission to improve the integrity and security of State-issued drivers licenses (DL) and identification cards (IC).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to State Drivers License Agencies (DLA), also known as State Departments of Motor Vehicles (DMV) or Motor Vehicle Administrations (MVA) that are responsible for issuing driver's licenses. Other eligible applicants include State Public Safety Agencies or Departments, which may apply on behalf of the State DMV/MVA.

Funds may be used in accordance with uses defined in the program guidance document/application kit. Allowable funding categories include: management and administration, planning, equipment, and maintenance and sustainment.

**Applicant Eligibility:**

The issuing authority for motor vehicle licenses in each State or territory, as identified by the DHS, is the only agency eligible to apply for the Driver's License Security Grant Program.

**Beneficiary Eligibility:**

State, U.S. Territory and local governments, intrastate, interstate, small business, general public, other public institution/organizations.

**Credentials/Documentation:**

If required, will be identified in the program guidance/solicitation. The issuing authority for motor vehicle licenses in each State or territory, as identified by the DHS, is the only agency eligible to apply for the Driver's License Security Grant Program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Unsolicited applications from entities other than those listed in the "Applicant Eligibility" above, will not be accepted. Eligible applicants must apply on-line using Grants.gov. The Driver's License Security Grant Program application process will require: Narrative to include a description of current resource management capabilities to develop, implement, and manage the programmatic requirements associated with the Driver's License Security Grant Program funding; a proposed work plan; a budget and budget narrative addressing the Driver's License Security Grant Program project related costs and expenses. Applications submitted online must contain information and meet the requirements outlined in the Driver's License Security Grant Program solicitation and program guidance.

**Award Procedure:**

Applications are reviewed by DHS policy and grant management staff, concerns negotiated with the applicant, and award processed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The program and administrative office will evaluate applications and award funds within 60 days of receipt of applications.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for DLSGP grants is 36 months. See the following for information on how assistance is awarded/released: Payment based on project need. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Progress Reports are due semi-annually within 30 days after the end of the reporting periods. Reports are due: July 30 and January 30. The Final Progress Report is due 90 days after the expiration date of the award period. These reports should consist of a brief narrative discussing achievements to date, and progress towards annual goals, and any issues which may need to be addressed. Required Financial Status Reports (SF 269A) are due quarterly after the end of the reporting period. Reports are due: April 30, July 30, October 30, and January 30. The Final Financial Report is due 90 days after the expiration date of the award period. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency no later than 9 months after the end of the grantees fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of at least 3 years after the grant has been closed or until an audit has been conducted that does not show any questionable costs.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Salaries) FY 10 \$50,000,000; FY 11 est \$50,000,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Will be identified in the solicitation/program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Program funds are used to develop plans, conduct training and exercises to validate plans, procure equipment, and hire personnel to help in managing and administering the grant funds. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, FEMA Grant Programs Directorate 800 K Street, NW, Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

http://www.fema.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Will be identified in the solicitation/program guidance.

**97.090 LAW ENFORCEMENT OFFICER REIMBURSEMENT AGREEMENT PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

6 U.S.C. 203; 49 U.S.C. 106(m) and 114(m); 49 U.S.C. 114(g), 44901(g), 44903(e) and 44922(f).

**OBJECTIVES:**

To support deployment of local law enforcement officers at airport screening checkpoints in accordance with CFR 1542.215 and 217.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Airports are partially reimbursed for the costs of local law enforcement officers deployed to airport passenger screening checkpoints. Refer to program guidance document or contact the administering program office for specific information. Restricted to state, local, or other public institution/organizations responsible for commercial airport operations within their jurisdiction. Refer to program guidance document or contact the administering program office for specific information.

**Applicant Eligibility:**

State, local, or other public institution/organizations responsible for commercial airport operations within their jurisdiction, as specified in U.S. statute or TSA program guidance document and regulations.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The airport operator contacts the Federal Security Director (FSD) responsible for their airport to request a cooperative agreement. The FSD gathers information from the airport, and local law enforcement agencies, regarding passenger checkpoint staffing, flexible response time, checkpoint hours, number and size of checkpoints, current hourly rate of officers, existing resources, and other factors that could help determine the need for financial assistance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

None.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0550-0-1-402.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$61,937,559; FY 11 est \$62,190,588; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Varies by airport category, checkpoint operation hours, geographical location, and other factors.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Executed over 325 Cooperative Agreements. Fiscal Year 2011: Execute over 325 Cooperative Agreements. Fiscal Year 2012: Execute over 330 Cooperative Agreements.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cooperative Agreement, Standard Operating Practices and Procedures, Applicable TSA Security Directives/Emergency Amendments.

**Regional or Local Office:**

None.

**Headquarters Office:**

LEO Reimbursement Program 601 S. 12th Street, Arlington, Virginia 22203 Phone: (571) 227-1532

**Website Address:**

www.tsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.091 HOMELAND SECURITY BLOWWATCH PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 308(b)(1)(c).

**OBJECTIVES:**

To provide funding and/or property for the conduct of operations and other related activities intended to identify, counter, or respond to biological and chemical threats.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement, program guidance, and award provisions. See program announcement.

**Applicant Eligibility:**

Generally, State and local governments or as specified by U.S. Appropriation Statute. Specific applicant eligibility will be identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State and local governments.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application (SF-424, Budget, program or project narrative and assurances) must be submitted that outlines the implementation of the project and expenditure of funds in response to the project identified through the announcement.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff, concerns negotiated with the applicant, and award processed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval depends on the type of project to be funded.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Specified in the funding opportunity announcement. See the following for information on how assistance is awarded/released: See program announcement.

**Reports:**

Program and progress reports must be submitted and are identified in the Terms and Conditions of the award. Financial reports submission are identified in the Terms and Conditions of the award. Program and progress reports must be submitted and are identified in the Terms and Conditions of the award. Financial reports submission are identified in the Terms and Conditions of the award. Requirements are identified in the Terms and Conditions of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documentation and all other records to validate the performance of the grant or cooperative agreement must be retained for 3 years from the date the final financial status report is submitted to the DHS.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Salaries) FY 10 \$24,600,000; FY 11 est \$27,600,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Specified in the announcement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: One award made to enhance disease surveillance. Funded 27 jurisdictions to support Bio Watch Field Operations. Bio Watch support to :  
o The 2010 Rose Bowl Parade and Rose Bowl Game  
o The 2010 Super Bowl  
o 2011 Major League Baseball All-Star Game  
o Completed optimization in 8 jurisdictions. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS Grants and Assistance Division/OPO Early Detection Division, Office of Health Affairs, Department of Homeland Security, Washington, District of Columbia 20528 Phone: (202) 447-5589

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Earmark or as identified in the funding opportunity announcement or program guidance.

**97.092 REPETITIVE FLOOD CLAIMS**

RFC

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The RFC program is authorized by Section 1323 of the NFIA , 42 U.S.C 4030.

**OBJECTIVES:**

To assist States, Indian tribal governments, and communities to reduce or eliminate the long-term risk of flood damage to structures insured under the National Flood Insurance Program (NFIP) that have had one or more claims for flood damages through mitigation activities that are in the best interest of the National Flood Insurance Fund (NFIF).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

States, Indian tribal governments, and communities may apply for RFC project grants for activities that reduce or eliminate the long - term risk of flood damage to structures, insured under the National Flood Insurance Program (NFIP), that have had one or more claims for flood damages. This may include the acquisition of insured structures for the purpose of converting flood-prone land back to open space use; elevation of existing structures; dry floodproofing; and minor localized flood reduction projects. Projects must meet all eligibility criteria including cost-effectiveness; compliance with environmental and historic preservation laws and regulations and other program requirements.

**Applicant Eligibility:**

Entities eligible to apply for HMA grants include the emergency management agency or a similar office of the 50 States, the District of Columbia, American Samoa, Guam, the U.S. Virgin Islands, Puerto Rico, the Northern Mariana Islands, and Indian Tribal governments. Each State, Territory, Commonwealth, or Indian Tribal government shall designate one agency to serve as the Applicant for each HMA program. Please see the HMA program guidance for more detailed information.

**Beneficiary Eligibility:**

State agencies, Indian Tribal governments, and local governments and communities are eligible to apply as subapplicants for assistance under the RFC program. All interested subapplicants must apply to the Applicant. Please see the HMA program guidance for detailed information.

**Credentials/Documentation:**

Please see the HMA Program Guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the headquarters or regional office, as appropriate, for application deadlines

**Award Procedure:**

Applications are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to HMA program guidance document.

**Appeals:**

Refer to HMA program guidance document.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Refer to HMA program guidance for additional information.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to HMA program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-4236-0-3-453.

**Obligations:**

(Project Grants) FY 10 \$10,000,000; FY 11 est \$10,000,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Refer to HMA program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provided opportunities for transparency and partnership with States, territories, and tribal and local governments through the HMA Summit, the External Stakeholders Workgroup, focus groups and training courses. Provided up to \$10 million in grant funds for mitigation activities affecting approximately 40 properties. These measures are expected to provide a savings to the National Flood Insurance Program of approximately \$20 million in reduced claims payments.

Reviewed 40 RFC applications totaling \$21.3 million Federal share during the National Review. Fiscal Year 2011: Identify and implement program improvements to increase the effectiveness of the RFC program.

Provide up to \$10 million in grant funds for mitigation activities affecting approximately 40 properties. Fiscal Year 2012: Implement pilot to enhance state and local communities ability to meet their cost-share responsibility.

Apply cost-effectiveness enhancements to simplify the process for achieving the discount rate for state, tribal, and local communities.

Continue to further align the programmatic requirements and implementation of all five of the HMA mitigation grant programs.

Clarify programmatic requirements, and align them with system requirements, for project-specific activities that will streamline and simplify the preparation and submission of applications making it easier for state and local communities to develop eligible applications.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Hazard Mitigation Assistance Unified grant program guidance, the DHS FEMA Real Property Acquisition Regulations at 44 CFR Part 80, which is available to the public on the FEMA internet site.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses of FEMA's Regional Offices.

<http://www.fema.gov/government/mitigation.shtm>.

**Headquarters Office:**

Lloyd Hake - FEMA 1800 South Bell Street, Arlington, Virginia 20595-3015

Email: [Lloyd.Hake@dhs.gov](mailto:Lloyd.Hake@dhs.gov) Phone: (202) 646-3428

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

97.029 Flood Mitigation Assistance; 97.039 Hazard Mitigation Grant; 97.047 Pre-Disaster Mitigation; 97.110 Severe Loss Repetitive Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Property Acquisition and Structure Demolition The voluntary acquisition of an existing at-risk structure and, typically, the underlying land, and conversion of the land to open space through the demolition of the structure. Property Acquisition and Structure Relocation The voluntary physical relocation of an existing structure to an area outside of a hazard-prone area, such as the Special Flood Hazard Area (SFHA) or a regulatory erosion zone and, typically, the acquisition of the underlying land. Structure Elevation Physically raising an existing structure to the Base Flood Elevation (BFE) or higher if required by FEMA or local ordinance. Minor Localized Flood Reduction Projects to lessen the frequency or severity of flooding and decrease predicted flood damages. Fiscal Year 2011: Property Acquisition and Structure Demolition The voluntary acquisition of an existing at-risk structure and, typically, the underlying land, and conversion of the land to open space through the demolition of the structure. Property Acquisition and Structure Relocation The voluntary physical relocation of an existing structure to an area outside of a hazard-prone area, such as the Special Flood Hazard Area (SFHA) or a regulatory erosion zone and, typically, the acquisition of the underlying land. Structure Elevation Physically raising an existing structure to the Base Flood Elevation (BFE) or higher if required by FEMA or

local ordinance. Minor Localized Flood Reduction Projects to lessen the frequency or severity of flooding and decrease predicted flood damages. Fiscal Year 2012: Property Acquisition and Structure Demolition The voluntary acquisition of an existing at-risk structure and, typically, the underlying land, and conversion of the land to open space through the demolition of the structure. Property Acquisition and Structure Relocation The voluntary physical relocation of an existing structure to an area outside of a hazard-prone area, such as the Special Flood Hazard Area (SFHA) or a regulatory erosion zone and, typically, the acquisition of the underlying land. Structure Elevation Physically raising an existing structure to the Base Flood Elevation (BFE) or higher if required by FEMA or local ordinance. Minor Localized Flood Reduction Projects to lessen the frequency or severity of flooding and decrease predicted flood damages.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the HMA program guidance for information on criteria for selecting proposals.

**97.093 FIRE SERVICE HAZARDOUS MATERIALS PREPAREDNESS AND RESPONSE****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56; Homeland Security Act of 2002, Public Law 107-296; Federal Fire Prevention and Control Act of 1974, Section 21, Public Law 93-498; Federal Emergency Management Agency, Executive Order 12127, , Executive Order 44FR 19367, 3CFR, 1979 Com P 376.

**OBJECTIVES:**

Provide information to the fire and emergency services community, emergency managers, and other local government officials concerning issues related to the planning, mitigation, prevention, and response to hazardous materials incidents which includes acts of terrorism.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to recipient designated by Congressional Statute or DHS, and limited in scope to the project description for the purpose of information sharing related to Hazardous Materials and acts of terrorism. Refer to project description or administering program office for specific information. Unsolicited applications for this program will not be accepted. Restricted to recipient designated by Congressional statute or DHS, and limited in scope to the project description for the purpose of information sharing related to Hazardous Materials and acts of terrorism. Refer to project description or administering program office for specific information. Unsolicited applications for this program will not be accepted.

**Applicant Eligibility:**

Designated Private nonprofit institution/organization.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff.

Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Refer to program guidance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Refer to program guidance. Refer to program guidance. Quarterly progress reports. Quarterly Financial Status Reports. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 10 \$50,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: A clearinghouse of information is maintained by the designated non-profit organization regarding hazardous materials (HAZMAT)/terrorism preparedness and response issues. This information is provided to local first responders to support and assist in planning, training, exercises, and sustaining emergency response capabilities. A Homeland Protection & Security Weekly publication, detailing HAZMAT and Terrorism-related incidents and information is distributed to fire/emergency services, local officials, Federal and state agencies, and the public. Support is also provided to defray participant's attendance costs to Hazardous Materials Conferences. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Funds Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS/Fire Administration 500 C Street, S.W., Washington, District of Columbia 20472 Phone: (800) 238-3358

**Website Address:**

<http://www.usfa.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.094 PREVENTION ADVOCACY RESOURCES AND DATA EXCHANGE PROGRAM**

(PARADE)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56; The Federal Fire Prevention and Control Act of 1974, Public Law 93-498; Homeland Security Act of 2002, Public Law 107-296; Federal Emergency Management Agency, Executive Order 12127.

**OBJECTIVES:**

To assist State and local fire marshals to implement prevention programs and conduct other networking activities with their counterparts. Provide financial assistance to the Prevention Advocacy Resources and Data Exchange (PARADE) regional networks to support exchange and sharing of fire prevention/protection related materials, risk analysis, hazard reduction, best practices, trend analysis, and related information.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to the 10 PARADE Regions to support the exchange and sharing of fire prevention/protection materials and information. Refer to program guidance document or administering program office for specific information.

**Applicant Eligibility:**

A State or metropolitan fire department fire marshal or appointed International Fire Marshal's Association (IFMA) representative in each of the regions served by the program.

**Beneficiary Eligibility:**

State and local; general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**



OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Requests for extension to the grant award must be supported by adequate justification, and can only be authorized in writing by the DHS/U.S. Fire Administration Procurement Officer with the concurrence of the U.S. Fire Administration Program Office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: See Program Guidance.

**Reports:**

See Program Guidance. See Program Guidance. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of the each quarter; January 30, April 30, July 30, October 30. Final financial and performance reports are due 90 days after the expiration or termination of the grant award. See Program Guidance. See Program Guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 10 \$24,000; FY 11 est \$30,000; and FY 12 est \$30,000

**Range and Average of Financial Assistance:**

Refer to Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Fostered the exchange of fire prevention/protection information among Federal, State, and local levels of government. Fiscal Year 2011: No Current Data Available Fiscal Year 2011. Fiscal Year 2012: No Current Data Available Fiscal Year 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Funds Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate Assistance to Firefighters Grant Program, Tech World Bldg - South Tower 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: firegrants@dhs.gov Phone: (800) 238-3358

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals. Only a single proposal from each of the 10 regions will be accepted for review.

**97.095 SAFE KIDS WORLDWIDE**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; the Federal Fire Prevention and Control Act of 1974, Public Law 100-476; Federal Emergency Management Agency, Executive Order 12127; U.S.A. Patriot Act of 2001, Public Law 107-56.

**OBJECTIVES:**

Provide financial assistance to reduce fire deaths and injuries among children under the age 14 by educating them in fire safety awareness, fire safety techniques, and providing fire safety equipment.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used to support local coalitions and their high-risk communities and to develop fire and burn education and prevention materials targeting high-risk populations.

**Applicant Eligibility:**

Qualified nonprofit organization designated by DHS, statutes, and regulations. Unsolicited applications will not be accepted.

**Beneficiary Eligibility:**

Individual/family; minority group.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Requests for modifications to the grant award can only be authorized in writing by the DHS Assistance Officer with the concurrence of the administering program office. Requests for modifications must be supported by adequate justification.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to Program Guidance.

**Reports:**

See Program Guidance. See Program Guidance. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. See Program Guidance. See Program Guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Salaries) FY 10 \$200,000; FY 11 est \$185,000; and FY 12 est \$0 - Estimate not available for FY 2012.

**Range and Average of Financial Assistance:**

Refer to Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Continued to educate parents, caregivers, and children about the high risk of fire deaths and injuries for children, and possible prevention by behavior modification. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Funds Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate, Assistance to Firefighters Grant Program, Tech World Bldg - South Tower, 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: firegrants@dhs.gov Phone: (866) 274-0960

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.097 TRAINING RESOURCE AND DATA EXCHANGE**

(TRADE)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56; Homeland Security Act of 2002, Public Law 107-296; Executive Order 12127; The Federal Fire Prevention and Control Act of 1974, Section 21, Public Law 93-498.

**OBJECTIVES:**

To support the national exchange and sharing of fire/emergency service training related materials and information.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds are to be used within the TRADE regions to support the exchange and sharing of training related materials and information. Refer to program guidance document or administering program office for specific information. Eligibility is restricted to TRADE network participants consisting of the directors of the 50 State fire service training systems and senior executive training officers from the Nation's largest fire departments.

**Applicant Eligibility:**

Specialized group; TRADE network participants consisting of the directors of the 50 State fire service training systems and senior executive training officers from the Nation's largest fire departments.

**Beneficiary Eligibility:**

State and local; general public.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

The application will be reviewed and recommended for funding by the DHS/FEMA/USFA/NFA Project Officer based on the program criteria identified in the announcement / guidance. Notification of award is made through the electronic Non Disaster Grant System (NDGrants). Once an award has been approved, a notice is sent to the authorized grantee official. Awards are subject to certain administrative, national policy, and cost principle requirements delineated in both 2 CFR and 44 CFR. For complete information on the award procedure, and CFR (and other) requirements, refer to program guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

See program guidance. See program guidance. Quarterly progress reports. Quarterly Financial Status Reports. See program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 10 \$93,000; FY 11 est \$93,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

\$5,340 to \$17,255 per Region.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Various regional training classes and seminars were sponsored for fire/emergency service personnel within each of the 10 TRADE regions. This program supported a national conference as well as development of regional training catalogues and materials, and non-copyrighted

fire-service-related information sharing activities which included the virtual TRADING Post and TRADENET system. Fiscal Year 2011: Various regional training classes and seminars will be sponsored for fire/emergency service personnel within each of the 10 TRADE regions. This program supports a national conference as well as development of regional training catalogues and materials, and non-copyrighted fire-service-related information sharing activities which included the virtual TRADING Post and TRADENET system. Fiscal Year 2012: It is anticipated that various regional training classes and seminars will be sponsored for fire/emergency service personnel within each of the 10 TRADE regions. The program will support a national conference as well as development of regional training catalogues and materials, and non-copyrighted fire-service-related information sharing activities which included the virtual TRADING Post and TRADENET system.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Fund Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate, 500 C Street, SW, Washington, District of Columbia 20472 Email: firegrants@dhs.gov Phone: (866) 274-0960

**Website Address:**

<http://www.usfa.fema.gov/training/nfa/trade/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Identified in program guidance.

**97.098 DISASTER DONATIONS MANAGEMENT PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Homeland Security Act of 2002, 6 U.S.C 111 et seq.; Federal Program Information Act, 31 U.S.C 6101-6104; Federal Financial Assistance Management Improvement Act of 1999, Public Law 106-107, 31 U.S.C 6101.

**OBJECTIVES:**

To distribute a web-based technology solution to State governments and Private Voluntary Organizations (PVOs) in order to ensure that in the event of a disaster the State has a resource in place that it can rapidly activate to allow the general public including the private sector to make offers of donated goods, volunteer services, and financial contributions to PVOs. The expectation is that the resource will help manage the information of large numbers of offers, and help lessen the flow of uncoordinated donated goods and volunteer services into the disaster area.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Program is restricted to government and voluntary/nonprofit agencies described in the announcement/program guidance document. The program will: enable potential donors to offer their donations on line; PVOs to view these offers and if interested in them, to contact the donor; PVOs to express what specific disaster relief resources they may need; the potential donor to donate based on verified operational needs; and the State to oversee the process. It will greatly lessen the number of shipments of goods and services into the disaster area without any prior coordination, -- a potentially serious interference with disaster

response operations. The program will enable the matching of donated resources and PVO needs, thus adding value to the overall relief efforts. The program will enable government and voluntary agencies to create visibility and establish logistical tracking resources/source locations for donated items, services, and volunteers; and facilitate a match between those resources and needed assistance. Program is restricted to government and voluntary/nonprofit agencies described in the announcement/program guidance document. Refer to announcement or program guidance for further information.

**Applicant Eligibility:**

Refer to announcement or program guidance for further information.

**Beneficiary Eligibility:**

State and local governments and Private Voluntary.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Unsolicited applications will not be accepted. Refer to announcement and/or program guidance for further information.

**Award Procedure:**

Application is reviewed by FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance.

**Appeals:**

Refer to program guidance.

**Renewals:**

Refer to program guidance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for the total dollar amount, but the release of the funds is on an as needed basis. The initial performance period shall not exceed 12 months. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. Refer to program guidance for further information. See the following for information on how assistance is awarded/released: Payment is based on Project need.

**Reports:**

Refer to program guidance. Refer to program guidance. Quarterly progress reports. Quarterly financial reports. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records include financial and programmatic records, supporting documents, statistical records, and other records of recipient which are required to be maintained by 44 CFR Part 13.42, program regulations or the grant agreement. Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

70-0700-0-1-453.

**Obligations:**

(Cooperative Agreements) FY 10 \$515,425; FY 11 est \$500,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Total states that have signed up to receive the web-based tool and received training on the use, 40. Held regional exercises on the use of the NDMN with 9 of 10 regions. Held ongoing informational calls with various stakeholders including States, Non-profits, Private Sector. 6 States used the NDMN during major disaster operations. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security 245 Murray Drive, SW., Bldg # 410 , Washington, District of Columbia 20528 Phone: (202) 212-1074

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.099 RESIDENTIAL FIRE SAFETY & FIRE SPRINKLER INITIATIVES**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56; Federal Emergency Management Agency, Executive Order 12127; Homeland Security Act of 2002, Public Law 107-296; Federal Fire Prevention and Control Act of 1974.

**OBJECTIVES:**

To support residential fire safety initiatives such as: promoting public awareness of fire protection systems e.g., smoke alarms, and automatic sprinklers; supporting consumer awareness of residential fire sprinkler systems through provision of educational materials, public service announcement (PSA) kits, and newsletters/media releases to the public, home building, and fire protection industry.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding is restricted to nonfederal entities invited to apply by DHS or specified in DHS Appropriation Statute. Refer to program guidance or announcement for further information. See Program Guidance.

**Applicant Eligibility:**

Unsolicited applications will not be accepted. Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard Forms 424 (Application for Federal Assistance) and 424A (Budget Information: Non-Construction Programs) must be completed and returned by the recipient. In addition, the following forms must be completed: SF1199A (Direct Deposit Sign-up Form); FEMA Form 20-16 (Summary Sheet for Assurances and Certifications); FEMA Form 20-16A and 16A (Back) (Assurances for Non-Construction Program); FEMA Form 20-16C (Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters); and Drug-Free Workplace Requirements, and SFLLL (Disclosure of Lobbying Activities).

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for modifications to the grant award can only be authorized in writing by the DHS Assistance Officer with the concurrence of the administering program office. Requests for modifications must be supported by adequate justification.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: reimbursement and/or draw down.

**Reports:**

See program guidance. See program guidance. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. See program guidance. See program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 10 \$170,000; FY 11 est \$130,000; and FY 12 est \$0 - Estimate not available for FY 2012.

**Range and Average of Financial Assistance:**

See program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Increased consumer awareness and education about the benefits of residential fire sprinkler systems. Random inspections completed of hotels and motels on the National Master List. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Funds Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate Assistance to Firefighters Grant Program, Tech World Bldg - South Tower, 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: firegrants@dhs.gov Phone: (866) 274-0960

**Website Address:**

<http://www.fema.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Identified in the program guidance.

**97.101 NATIONAL FALLEN FIREFIGHTERS MEMORIAL**

NFFM

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, Public Law 107-296, as amended by The Federal Fire Prevention and Control Act of 1974, Public Law 93-498, Section 21 (a and b) as amended, 15 U.S.C. 2201 et seq., Public Law 93-498, 15 U.S.C 2201 et seq., as amended by Federal Emergency Management Agency, as amended by U.S.A. Patriot Act of 2001. Public Law 107-56, Public Law 107-56.

**OBJECTIVES:**

To provide funding for the planning, directing and managing of the activities of the annual National Fallen Firefighters Memorial Program and identify, investigate, and report on all on-duty firefighter fatalities during 2010.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other federal grants/cooperative agreements, lobbying, or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity. Pre-award costs are allowable only with the written consent of DHS and included in the award agreement. United States Fire Administration funding appropriation is discretionary.

**Applicant Eligibility:**

Specialized group, National Fallen Firefighter Foundation.

**Beneficiary Eligibility:**

Please refer to program guidance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the award date. Notification of award approval is made through the Non Disaster Grants (NDGrants.gov) system. Once an award has been approved, a notice is sent to the authorized grantee official. The authorized grantee official should carefully read the award and special condition documents. If you do not receive a notification, please contact your Program Analyst for your award number. Once you have the award number, contact the NDGrants Help Desk at NDGrants@dhs.gov or (202) 786-9484.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

14 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

12 months from date of award. See the following for information on how assistance is awarded/released: DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to Recipients. To enroll in the DD/EFT, the Recipient must complete a Standard Form 1199A, Direct Deposit Form.

**Reports:**

Quarterly Performance Reports a. The recipient shall submit quarterly performance reports within 30 days after the end of each period. Reports are

due on July 30, October 30, January 30 and April 30. b. The report shall consist of a comparison of actual accomplishments to the approved project objectives.

c. Copies of Performance Reports shall be submitted to the Grants Management Specialist and the PO listed under VII. Department of Homeland Security Contacts.

d. The final performance report should provide a narrative on what the Recipient accomplished with the grant funds and any benefits derived. Recipients of FEMA grants awarded after October 1, 2009 will be required to submit a quarterly Federal Financial Report (FFR) in order to account for obligations and expenditures. The FFR, to be submitted using Standard Form (SF)-425, will be due on a quarterly basis within 30 days of the end of each calendar quarter. A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The SF-425 is intended to provide Federal agencies and grant recipients with a standard format and consistent reporting requirements throughout the government. Please refer to program guidance. No expenditure reports are required. Quarterly Performance Reports a. The recipient shall submit quarterly performance reports within 30 days after the end of each period. Reports are due on July 30, October 30, January 30 and April 30. b. The report shall consist of a comparison of actual accomplishments to the approved project objectives.

c. Copies of Performance Reports shall be submitted to the Grants Management Specialist and the PO listed under VII. Department of Homeland Security Contacts.

d. The final performance report should provide a narrative on what the Recipient accomplished with the grant funds and any benefits derived.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Please refer to program guidance.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$387,000; FY 11 est \$387,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 2010 387000; FY 2011 est. 387000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Fund Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

See Regional Agency Offices. DHS/FEMA/Grant Programs Directorate  
Email: firegrants@dhs.gov  
Phone: 866-274-0960  
Address: 500 C Street, SW  
Washington, DC 20472.

**Headquarters Office:**

National Fallen Firefighters Memorial 500 C Street, SW, Washington, District of Columbia 20472. Phone: 866-274-0960.

**Website Address:**

http://www.fema.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The application will be reviewed and recommended for funding by the DHS/FEMA/USFA and is restricted to the National Fallen Firefighters Foundation (NFFF).

**97.103 DEGREES AT A DISTANCE PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Federal Fire Prevention and Control Act of 1974, Section 21, Public Law 93-498; Executive Order 12127; U.S.A. Patriot Act of 2001, Public Law 107-56; Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

To support curriculum development, regional meeting support, program marketing, course material printing and publications and initiation of institutional agreements with local two-year college degree programs and colleges/universities, designated by the National Fire Academy, to participate in the Degrees at a Distance Program (DDP). To provide an alternative means for fire service personnel to earn a bachelor's degree or to pursue college-level learning in a fire related course concentration without the requirement of having to attend on-campus classes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to colleges/universities designated by the U.S. Fire Administrations National Fire Academy, to support curriculum development, regional meeting support, program marketing, course material printing and publications; and initiation of institutional agreements with local two-year colleges.

**Applicant Eligibility:**

Only colleges/universities designated by U. S. Fire Administrations National Fire Academy are eligible, unsolicited applications will not be accepted. Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State, local and the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

The application will be reviewed and recommended for funding by the DHS/FEMA/USFA/NFA Project Officer based on the program criteria identified in the announcement / guidance. Notification of award is made through the electronic Non Disaster Grant System (NDGrants). Once an award has been approved, a notice is sent to the authorized grantee official. Awards are subject to certain administrative, national policy, and cost principle requirements delineated in both 2 CFR and 44 CFR. For complete information on the award procedure, and CFR (and other) requirements, refer to program guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for extensions must be supported by adequate justification, and can only be authorized in writing by the DHS/FEMA Grants Management Specialist/Grants Management Division with the concurrence of the administering program office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Quarterly progress reports. Quarterly Financial Status Reports. Refer to program guidance. Quarterly progress reports. Quarterly Financial Status Reports. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 10 \$70,000; FY 11 est \$70,000; and FY 12 est \$0 - No funding is available for FY 2012.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Two-hundred and sixty-two students enrolled in the Degrees at a Distance Program and completed with bachelor's degrees in fire administration and fire prevention technology. The 13-course upper-level independent study curriculum was converted from a printed format to a web-based format so that future courses will be available via the internet. Fiscal Year 2011: It is anticipated that over 200 new students will enroll and complete the Degrees at a Distance Program for bachelor's degrees in fire administration and fire prevention technology. Fiscal Year 2012: No funding is available for FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Emergency Management Agency 500 C Street, SW, Washington, District of Columbia 20472 Phone: (800) 621-FEMA

**Website Address:**

<http://www.usfa.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.104 HOMELAND SECURITY-RELATED SCIENCE, TECHNOLOGY, ENGINEERING AND MATHEMATICS (HS STEM) CAREER DEVELOPMENT PROGRAM**

(HS-STEM Career Development Program)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Section 1205, Public Law 107-296, 6 U.S.C 188(b).

**OBJECTIVES:**

To provide funding to assist with the development of future HS-STEM professionals and practitioners.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Support is provided to colleges and universities who, in turn, provide financial support and career guidance to students interested in HS-STEM careers. Refer to the program guidance document for additional information.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Other Public Institution/Organizations; Other Private Institution/Organizations; (Colleges and Universities).

**Credentials/Documentation:**

Refer to program guidance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications are reviewed by subject matter experts (SMEs). Award are based on Agency priorities and available funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Grantees are required to submit annual financial and performance reports. Annual Progress Reports must include the progress of each sub-grant award. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Financial Status Reports. Refer to program guidance.

**Audits:**

No audits are required for this program.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$2,500,000; FY 11 est \$1,650,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 34 CDG awards from FY 07 to FY 10. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization., A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, University Programs 245 Murray Lane, SW., Building 410, Washington, District of Columbia 20523 Phone: (202) 254-5695

**Website Address:**

<http://www.hsuniversityprograms.org>

**RELATED PROGRAMS:**

97.062 Scholars and Fellows, and Educational Programs

**EXAMPLES OF FUNDED PROJECTS:**



Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.105 FIREFIGHTER HEALTH AND SAFETY**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Federal Fire Prevention and Control Act of 1974; Executive Order 12127; Homeland Security Act of 2002,, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56.

**OBJECTIVES:**

To support firefighter and emergency medical service (EMS) health and safety issues outreach efforts.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Support educational outreach, technology transfer, information dissemination, and technical assistance to the fire service/EMS concerning emergency/first responder health and safety issues.

**Applicant Eligibility:**

Unsolicited applications will not be accepted. Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Specialized group; General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for modifications to the grant award can only be authorized in writing by the DHS Assistance Officer with the concurrence of the administering program office. Requests for modifications must be supported by adequate justification.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 10 \$540,000; FY 11 est \$325,000; and FY 12 est \$250,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Development of advanced technology and systems that will permit nationwide sharing of lessons learned among transportation, public safety, and emergency personnel enabling them to effectively respond to roadway incidents more effectively and safer. Updates to Traffic Incident Management Systems (TIMS) Manual and the EMS Safety Manual. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rules and Procedures for Funds Transfers, 31 CFR 205; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate Tech World Bldg - South Tower 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: firegrants@dhs.gov Phone: (866) 274-0960

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.106 SECURING THE CITIES****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 112-10.

**OBJECTIVES:**

The Securing the Cities Program seeks to design and implement a structure that allows partners to reduce risk of a rad/nuc attack on a metropolitan area by enhancing State, local and tribal capabilities to detect, identify and interdict rad/nuc materials that are out of regulatory control and may be used as a weapon within a high-risk metropolitan area.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; DISSEMINATION OF TECHNICAL INFORMATION; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Financial and non-financial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions, if any, will be identified in the announcement, program guidance and award provisions. See Program Guidance.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance, or as specified by U.S. Appropriation Statute.

**Beneficiary Eligibility:**

Federal, State, and local governments, Interstate or intrastate governmental organizations, and Indian tribal governments.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The deadline for submission of application is 60 days following the FOA posting.

**Appeals:**

None.

**Renewals:**

Contingent upon future Congressional funding. Extensions to the Performance

Period may be awarded, but are not guaranteed and might not include increased funding. Extension approvals will be based on the availability of funds within the award and acceptable performance and at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. See Program Guidance.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: See Program Guidance.

**Reports:**

See Program Guidance. Quarterly Federal Financial Reports (Cash Transaction). The Recipient shall submit the FFR (SF425) Federal Cash Transaction Report to the Department of Health and Human Services, Payment Management System, Smartlink. See Program Guidance. See Program Guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0862-0-1-999.

**Obligations:**

(Salaries) FY 10 \$18,500,000; FY 11 est \$16,500,000; and FY 12 est \$0 - FY 2012 Estimate not available.

**Range and Average of Financial Assistance:**

See Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: 1 Application received; 1 award was granted. Fiscal Year 2011: 1 Application anticipated; 1 award is anticipated. Fiscal Year 2012: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, 44 CFR 13. OMB Circular A-87, Cost Principles for State, Local, and Tribal Governments, Relocated to 2 CFR Part 225; OMB Circular A-110, relocated to 2 CFR Part 215. Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. OMB Circular A-122, relocated to 2 CFR Part 230. Cost Principles for NonProfit Organizations. OMB Circular A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christopher Magrino 245 Murray Lane, Mail stop 0550  
, Washington, District of Columbia 20528-0550 Email:  
Christopher.Magrino@dhs.gov Phone: (202) 254-7443

**Website Address:**

http://www.dhs.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.107 NATIONAL INCIDENT MANAGEMENT SYSTEM (NIMS)****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; Department of Homeland Security Appropriations Act of 2007, Public Law 109-295; Homeland Security Presidential Directive HSPD-5.

**OBJECTIVES:**

To support the development, integration, and deployment of incident management systems. This includes operational, technical and programmatic standards in support of nationwide implementation of the NIMS model; establish a unified approach to incident management as well as standard command and management structures.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding will support implementation of the National Incident Management System (NIMS) which includes incident management standards, related projects, and program support. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State, local, Public Nonprofit Institution/Organization, Federal Recognized Indian Tribal Government, U.S. Territory/Possession, Private Organization, Other Public Institution/Organization.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed and approved for award by DHS program and administrative staff in accordance with program guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance.

**Renewals:**

Annual.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 31, April 30, July 31, and October 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award. See program guidance. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 31, April 30, July 31, and October 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 31, April 30, July 31, and Oct. 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 31, April 30, July 31, and October 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0700-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 10 \$2,535,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Inter and intra state mutual aid systems between fire departments, the establishment of mutual-aid systems between tribes, identify Emergency Management Assistance Compact Mission Ready packages, quick response Go-Teams established and deployed for major disasters. Fiscal Year 2011: Establish more Go Teams for assistance to local fire and emergency services agencies, finalize the Emergency Management Assistance Compact Mission Ready packages and resource type them for use in the NIMS, finalize inter and intra state fire department mutual aid assistance programs and finalize mutual aid systems amongst tribes. Fiscal Year 2012: Maintain the Go Teams to better assistance to local fire and emergency services agencies, finalize inter and intra state fire department mutual aid assistance programs and finalize mutual aid systems amongst tribes, establish a mutual aid response system utilizing resource typing as the basis.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See program guidance.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Integration Center, Federal Emergency Management Agency, C/O 999 E Street, NW, Room 300, Washington, District of Columbia 20472-3300  
Email: FEMA-NIMS@dhs.gov Phone: 202-646-3850

**Website Address:**

<http://www.fema.gov/emergency/nims/index.shtm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: The establishment of mutual aid compacts for fire departments throughout the United States. Fiscal Year 2011: The establishment of the Go-Teams, which were deployed to disasters throughout the United States. Fiscal Year 2012: The Emergency Management Compact Ready Packages were established and are to be finalized within a year.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance.

**97.108 HOMELAND SECURITY, RESEARCH, TESTING, EVALUATION, AND DEMONSTRATION OF TECHNOLOGIES**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 308(b)(1)(c); Implementing Recommendation of the 9/11 Commission Act of 2007, Section 1901, Public Law 110-53.

**OBJECTIVES:**

To provide funding and/or property for the purpose of conducting research, testing, evaluation, and demonstration of homeland security technologies intended to identify, counter, or respond to terrorist threats.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions. Refer to program guidance.

**Applicant Eligibility:**

States, local governments, private, public, profit or nonprofit organizations, Indian Tribal governments, or individuals specified by U.S. Appropriation Statute, including U. S. and international institutions of higher education and educational laboratories.

**Beneficiary Eligibility:**

Federal, State, and local governments, private, public, profit or nonprofit organizations, Indian tribal governments, and individuals.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: "Earmarked" or one-time funding amounts and any match requirements are specified in the Program or Appropriation Statute, regulation or program guidance, and are identified in the announcement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Salaries) FY 10 \$11,238,681; FY 11 est \$4,659,318; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Five awards were issued in FY10 and five awards were issued in FY11. This program has been extremely successful in terms of research and application with international collaboration.

Report on case studies examining impacts of specific countermeasures against violent extremism.

Report on structured comparison of violent and non-violent far-right extremist groups.

Report of patterns of governmental intervention in federal terrorism cases.

Report on geospatial distribution of terrorist activity.

Updated and revised data on US terrorists groups.

Final module on attitudes towards terrorism and counterterrorism for potential inclusion in general Social Survey (GSS).

Report on candidate public health, civil society, and public trust variables for inclusion in the Quantitative Psychosocial Impacts Inces (to be delivered by end of FY11).

Six publications issued under awards in this program. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos. A-21, Cost Principles for Educational Institutions, A-87, Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Cooperative Program Office 245 Murray Lane, S.W., Washington, District of Columbia 20548 Phone: (202) 254-6876 or (202) 447-5594

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.109 DISASTER HOUSING ASSISTANCE GRANT**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act, Title 6, Section 112, Public Law 107-296, 6 U.S.C 102; Robert T. Stafford Disaster Relief and Emergency Assistance Act (The Stafford Act); Sections 408(b)(1); and 306(a), Title 42, Section 5149, 5189; Economy Act, Title 31, Section 1535.

**OBJECTIVES:**

To provide resources for rental assistance, security and utility deposits, and case management services for families who were displaced by Hurricanes Katrina, Rita, Gustav and Ike. The Disaster Housing Assistance Program (DHAP) would be implemented in the form of a rental assistance program that would continue providing housing subsidies for families determined to be eligible for

the program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Housing and Urban Development's (HUD) Public Housing Agencies (PHAs) will use the assistance to provide eligible families who were displaced by Hurricanes Katrina, Rita, Gustav and Ike with monthly rent subsidies. Families are either receiving or are eligible to receive rental assistance administered by FEMA. PHAs will administer the DHAP to families that have been determined eligible by FEMA through HUD's web-based Disaster Information System. The assistance must be used by PHAs to provide rental assistance to families determined eligible by FEMA. In addition to rental assistance, grant funds shall be used to provide case management services to eligible families and to pay for costs associated with PHA administration of the program.

**Applicant Eligibility:**

Individuals and families determined eligible for FEMA housing assistance. Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Individuals and families.

**Credentials/Documentation:**

All Public Housing Agencies with jurisdiction over areas where eligible families reside that administer the Housing Choice Voucher Program are invited to apply provided they have the administrative capacity to assume responsibility for the DHAP.

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Both quarterly reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 10 \$54,521,336; FY 11 est \$42,354,121; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: FY 2010 Approximately 8,821 households received DHAP Katrina/Rita/Ike/Gustav housing assistance. Fiscal Year 2011: 5463  
Approximate number of household served under DHAP. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fair Housing Act, Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973; Title II of the Americans with Disabilities Act; 24 CFR 982.352; 982.401; 982.555; PIH Notice 2007-26. Full text may be obtained at the following website:  
<http://www.hud.gov/offices/pih/publications/hurricane.cfm>.

**Regional or Local Office:**

See Regional Agency Offices. Federal Emergency Management Agency-Individual Assistance 500 C St S.W., Washington DC 20472.

**Headquarters Office:**

Department of Homeland Security, FEMA 245 Murray Lane, Building 410, Washington, District of Columbia 20472 Phone: (202) 212-1000

**Website Address:**

[www.fema.gov](http://www.fema.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.110 SEVERE REPETITIVE LOSS PROGRAM**

SRL

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The SRL program is authorized by Section 1361A of the NFIA , Public Law 108-264, 42 U.S.C 4102a.

**OBJECTIVES:**

To assist States and local governments in supporting actions that reduce or eliminate the long-term risk of flood damage to residential properties insured under the National Flood Insurance Program (NFIP) that meet the definition of severe repetitive loss property, and to reduce losses to the National Flood Insurance Fund (NFIF) by funding projects that result in the greatest savings to the NFIF in the shortest time period.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

States, Territories, local and Federally - recognized Indian tribal governments may apply for SRL funding to reduce or eliminate the long-term risk of flood damage to residential properties insured under the NFIP that meet severe repetitive loss property eligibility criteria. Eligible activities under this program include: acquisition and relocation of at-risk structures and the conversion of property to open space; elevation of existing structures to the Base Flood Elevation (BFE) or an ABFE Advisory Base Flood Elevation (ABFE) or higher (for the SRL program Mitigation Reconstruction is only permitted when traditional elevation cannot be implemented); minor physical localized flood control projects; and dry-flood proofing (historic properties only). Projects must meet all eligibility criteria including cost-effectiveness; compliance with environmental and historic preservation laws and regulations and other program requirements.

**Applicant Eligibility:**

Entities eligible to apply for HMA grants include the emergency management agency or a similar office of the 50 States, the District of Columbia, American Samoa, Guam, the U.S. Virgin Islands, Puerto Rico, the Northern Mariana Islands, and Indian Tribal governments. Each State, Territory, Commonwealth, or Indian Tribal government shall designate one agency to serve as the Applicant for each HMA program. Please see the HMA program guidance for more detailed information.

**Beneficiary Eligibility:**

State agencies, Indian Tribal governments, and local governments and communities are eligible to apply as subapplicants for assistance under the SRL program. All interested subapplicants must apply to the Applicant. Please see the HMA program guidance for detailed information.

**Credentials/Documentation:**

Please see the HMA Program Guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the headquarters or regional office, as appropriate, for application deadlines

**Award Procedure:**

Applications are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to HMA program guidance document.

**Appeals:**

Property owners who refuse an SRL mitigation offer may become subject to increases of their NFIP insurance premium rates, and have the right to appeal such rate increases. Refer to HMA program guidance or the administering program office for further information.

**Renewals:**

Refer to HMA program guidance document.

**Formula and Matching Requirements:**

Statutory Formula: 44 CFR Part 79.

Matching Requirements: Refer to HMA program guidance for additional information.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to HMA program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress

reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-4236-0-3-453.

**Obligations:**

(Project Grants) FY 10 \$39,599,000; FY 11 est \$50,399,000; and FY 12 est \$50,399,000

**Range and Average of Financial Assistance:**

Refer to HMA program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Provided opportunities for transparency and partnership with States, territories, and tribal and local governments through the HMA Summit, the External Stakeholders Workgroup, focus groups and training courses. Provided up to \$39.5 million in grant funds for mitigation activities affecting approximately 300 properties. These measures are expected to provide a savings to the National Flood Insurance Program of approximately \$90 million in reduced claims payments.

Refine and apply an enhanced cost-effectiveness approach based on past insurance losses to make it easier for State and local communities to demonstrate the cost effectiveness requirements of the mitigation grant programs. Fiscal Year 2011: Evaluate the enhanced cost-effectiveness approach based on past insurance losses to determine its value to the SRL program and other flood grant programs.

Continue to refine and apply an enhanced cost-effectiveness approach based on past insurance losses to make it easier for state and local communities to demonstrate the cost-effectiveness requirements of the mitigation grant programs.

Refine and apply the pilot to enhance state and local communities capability to meet the cost-share responsibility. Fiscal Year 2012: Implement cost-effectiveness enhancements to simplify the process for achieving the discount rate for state, tribal, and local communities.

Continue to further align the programmatic requirements and implementation of all five of the HMA mitigation programs.

Clarify programmatic requirements, and align them with system requirements, for project-specific activities that will streamline and simplify the preparation and submission of applications, making it easier for state and local communities to develop eligible applications.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The SRL and FMA Program Regulations at 44 CFR Part 79; the DHS FEMA Real Property Acquisition Regulations at 44 CFR Part 80, and the HMA program guidance.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for listing of addresses of the DHS FEMA Regional Offices.

**Headquarters Office:**

Lloyd Hake - FEMA 1800 South Bell Street, Arlington, Virginia 20595-3015  
Email: lloyd.hake@dhs.gov Phone: (202) 646-3428

**Website Address:**

<http://www.fema.gov/government/mitigation.shtm>

**RELATED PROGRAMS:**

97.029 Flood Mitigation Assistance; 97.039 Hazard Mitigation Grant; 97.047 Pre-Disaster Mitigation; 97.092 Repetitive Flood Claims

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Property Acquisition and Structure Demolition The voluntary acquisition of an existing at-risk structure and, typically, the underlying land, and conversion of the land to open space through the demolition of the structure. Property Acquisition and Structure Relocation The voluntary physical relocation of an existing structure to an area outside of a hazard-prone area, such as the Special Flood Hazard Area (SFHA) or a regulatory erosion zone and, typically, the acquisition of the underlying land. Structure Elevation Physically raising an existing structure to the Base Flood Elevation (BFE) or higher if required by FEMA or local ordinance. Minor Localized Flood Reduction Projects to lessen the frequency or severity of

flooding and decrease predicted flood damages. Mitigation Reconstruction  
The construction of an improved, elevated building on the same site where an existing building and/or foundation has been partially or completely demolished or destroyed. Fiscal Year 2011: Property Acquisition and Structure Demolition

The voluntary acquisition of an existing at-risk structure and, typically, the underlying land, and conversion of the land to open space through the demolition of the structure. Property Acquisition and Structure Relocation  
The voluntary physical relocation of an existing structure to an area outside of a hazard-prone area, such as the Special Flood Hazard Area (SFHA) or a regulatory erosion zone and, typically, the acquisition of the underlying land.

Structure Elevation Physically raising an existing structure to the Base Flood Elevation (BFE) or higher if required by FEMA or local ordinance. Minor Localized Flood Reduction Projects to lessen the frequency or severity of flooding and decrease predicted flood damages. Mitigation Reconstruction  
The construction of an improved, elevated building on the same site where an existing building and/or foundation has been partially or completely demolished or destroyed. Fiscal Year 2012: Property Acquisition and Structure Demolition

The voluntary acquisition of an existing at-risk structure and, typically, the underlying land, and conversion of the land to open space through the demolition of the structure. Property Acquisition and Structure Relocation  
The voluntary physical relocation of an existing structure to an area outside of a hazard-prone area, such as the Special Flood Hazard Area (SFHA) or a regulatory erosion zone and, typically, the acquisition of the underlying land.

Structure Elevation Physically raising an existing structure to the Base Flood Elevation (BFE) or higher if required by FEMA or local ordinance. Minor Localized Flood Reduction Projects to lessen the frequency or severity of flooding and decrease predicted flood damages. Mitigation Reconstruction  
The construction of an improved, elevated building on the same site where an existing building and/or foundation has been partially or completely demolished or destroyed.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Refer to the HMA program guidance for information on criteria for selecting proposals.

#### **97.111 REGIONAL CATASTROPHIC PREPAREDNESS GRANT PROGRAM (RCPGP)**

(RCPGP)

#### **FEDERAL AGENCY:**

Department of Homeland Security

#### **AUTHORIZATION:**

U.S. Troop Readiness, Veterans' Care, Katrina Recovery, and Iraq Accountability Appropriations Act of 2007, Public Law 110-28; Consolidated Appropriations Act of 2008, Public Law 110-161; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Public Law 110-329; Department of Defense and Full-Year Continuing Appropriations Act, 2011, Public Law 112-10.

#### **OBJECTIVES:**

The goal of RCPGP is to support an integrated planning system that provides for regional all-hazard planning for catastrophic events and the development of necessary plans, protocols, and procedures to manage a catastrophic event. Objectives include, creating regional planning processes and planning communities through the establishment of a Regional Catastrophic Planning Team; Identifying and assessing priority areas of concern using both capabilities-based and scenario-based planning models; Developing enhanced regional plans and addressing shortcomings in jurisdiction plans to support both the management of a catastrophic incident and to enable enduring government; and linking planning efforts to resource allocations.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

The RCPGP is comprised of funding for fiscal years 2007, 2008, 2009, 2010, and 2011. Funds will be allocated to designated Regional Catastrophic Planning Teams and their associated RCPGP sites.

#### **Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding

opportunity announcement and program guidance.

#### **Beneficiary Eligibility:**

State and local governments.

#### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

#### **Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Refer to program guidance document.

#### **Appeals:**

None.

#### **Renewals:**

An annual appropriation is anticipated for this program.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 25%. The program will require a soft match of non-Federal funds totaling 25 per cent.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

#### **Reports:**

Quarterly reports. Quarterly reports. Quarterly reports. Quarterly reports. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

#### **Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action



and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Salaries) FY 10 \$35,000,000; FY 11 est \$14,970,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The program has served to enhance planning for catastrophic events which may occur within the jurisdictions of the participants. Fiscal Year 2011: It is anticipated that 10 applications will be received and 10 awards will be granted in the current fiscal year. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the solicitation guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

FEMA National Preparedness Directorate 500 C Street SW, Washington, District of Columbia 20472 Email: NPD-Planning@fema.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov/government/grant/index/shtm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2010: Evacuation and Sheltering Planning  
Regional Disaster Housing Planning  
Regional Commodity Distribution Planning  
Regional Recovery Planning  
Private Sector Integration Planning. Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.112 BORDER INFRASTRUCTURE IMPROVEMENT PROJECTS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, as amended, Public Law 107-296.

**OBJECTIVES:**

The U.S. Department of Homeland Security will be implementing border security infrastructure improvement projects and initiatives by providing funding, technical assistance and other resources to border communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Use and restrictions will be identified in the funding opportunity announcements and program guidance.

**Applicant Eligibility:**

Applicant eligibility will be identified in the funding opportunity announcements and program guidance.

**Beneficiary Eligibility:**

States, local governments, territories, nonprofits and private organizations.

**Credentials/Documentation:**

Applicant eligibility will be identified in the funding opportunity announcements and program guidance. Specific information will be identified in the funding opportunity announcements and program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Will be addressed depending on geographic location of the projects in response to E.O. 12372. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information will be identified in the funding opportunity announcements and program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Issues or concerns will be negotiated with the successful applicant prior to the award execution.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Application deadlines and other information will be identified in the funding opportunity announcements and program guidance. Approval/Disapproval Time information will be identified in the funding opportunity announcements and program guidance.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Specific information is identified in the funding opportunity announcements and program guidance. See the following for information on how assistance is awarded/released: Specific information is identified in the funding opportunity announcements and program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0533-0-1-751.

**Obligations:**

(Cooperative Agreements) FY 10 Not Available; FY 11 est \$0; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Specific information is identified in the funding opportunity announcement and program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tiffany Hixson, 245 Murray Lane, Building # 410, Washington, District of Columbia 20528 Email: Tiffany.Hixson@dhs.gov Phone: (571) 468-7100

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific information will be identified in the funding opportunity announcement and program guidance.

**97.113 RAIL AND TRANSIT SECURITY GRANT PROGRAM (ARRA)**

Transit Security Grant Program (American Recovery and Reinvestment Act of 2009)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007, sections 1406 and 1513 (P.L. 110-53; 6 USC 1135 and 1136); P.L. 111-5, American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To create sustainable programs for the protection of critical bus and infrastructure from terrorism, with special emphasis on construction projects which address the most significant risks and can also be completed in a timely fashion.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Programs included under the CFDA number are: the ARRA Transit Security Grant Program (TSGP), Consistent with sections 1406 and 1513 of the

Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53; 6 U.S.C. 1135 and 1163, funds may be used for planning, organizational activities, equipment acquisition, training, management and administrative activities, and other costs the Secretary deems appropriate to support the objectives of the program. Priority will be given to operational packages and capital projects which address the most significant risks and can also be completed in a timely fashion.

**Applicant Eligibility:**

Pursuant to PL 110-53, in order for a transit agency to be eligible for the ARRA TSGP, they must have either undergone a security assessment conducted by DHS (such as the Baseline Assessment for Security Enhancement (BASE) program security assessment performed by TSA Transportation Security InspectorsSurface, or developed and/or updated their own security plan within the past three years. A list of eligible transit agencies is included in the ARRA TSGP guidance.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

P.L. 111-5 American Recovery and Reinvestment Act of 2009, Section 1511 Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

(1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including-- (A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity; and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment. (4) Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Financial Status Reports. Progress Reports. Financial Status Reports

Recovery Act funding reports. Subrecipient monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0563-0-1-999 - TAFS: 70 0563.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - The ARRA TSGP was only available in FY 2009.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA Techworld Building - 800 K Street, NW, Washington, District of Columbia 20472-3615 Email: askcsid@dhs.gov Phone: 1-800-368-6498

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.114 EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM (ARRA)**

ARRA Emergency Food and Shelter National Board Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Stewart B. McKinney Homeless Assistance Act of 1987, as amended, Title III, Sections 301-316, Public Law 100-77, as amended, 42 U.S.C. 11331-11346; Public Law 111-5 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To supplement and expand ongoing efforts to provide shelter, food, and supportive services for needy families and individuals. To strengthen efforts to create more effective and innovative local programs by providing supplemental funding for them. To conduct minimum rehabilitation of existing mass shelter or mass feeding facilities, but only to the extent necessary to make facilities safe, sanitary and bring them into compliance with local building codes.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Food and related expenses (such as transporting food/food preparation and serving equipment); mass shelter; other shelter (such as hotels and motels); and rent/mortgage and/or utility assistance limited to one (1) month; and limited repairs to feeding and sheltering facilities. Emergency Food and Shelter National Board Program funds cannot be used for: rental security, deposits of any kind, cash payments of any kind, lobbying efforts, salaries (except as administrative allowance and limited to that total allowance of 2 percent of total award), purchases or improvements of an individual's private property, telephone costs, repairs to government-owned or profit-making facilities and any payments for services not incurred. For a complete listing on eligible and ineligible costs under this program, refer to the current Phase (fiscal year) manual: Responsibilities and Requirements, issued by the Emergency Food and Shelter Program National Board.

**Applicant Eligibility:**

Refer to program guidance.

**Beneficiary Eligibility:**

The law directs that the Local Boards, which manage the program at the local level, shall "determine which private nonprofit organizations or public organizations of the local government in the individual locality shall receive grants to act as service providers." The range of participant groups on the Local Boards include the affiliates of the National Board membership which consists of American Red Cross, Catholic Charities USA, National Council of Churches of Christ in the U.S.A., The Jewish Federations of North America, The Salvation Army, and United Way Worldwide, with a local government representative replacing FEMA. Also participating are independent nonprofits (such as Community Action Agencies and Food Banks and food pantries) which provide food and/or shelter services. Due to the broad category of people in need of such emergency services, the providers can include specialized groups such as domestic violence shelters, Native American organizations, and organizations providing food or shelter to: AIDS patients, handicapped individuals, the elderly, homeless veterans, non-wards of the State teenage runaways, and many other groups with emergency food and shelter needs. As noted earlier, the decisions on selections are made through the consensus of the Local Board as they have assessed their community's most urgent needs. It is important that such agencies use these funds to supplement, not replace, their current efforts. This program is intended to supplement ongoing programs and allow them to extend and expand upon their existing services.

**Credentials/Documentation:**

The program employs a Local Recipient Organization Certification Form. This

form certifies an applicant's status (i.e., that it is a nonprofit or government agency capable of delivering eligible services) that it will abide by the program guidelines (both on eligible spending and reporting requests), and comply with other fiscal and program rules so stipulated. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There is no application process for local jurisdictions since the award notifications to local jurisdictions are based on either a National Board formula or recommendations from State Set-Aside Committees.

**Award Procedure:**

Local Board plans are submitted to the National Board and reviewed by the National Board program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Refer to the Emergency Food and Shelter National Board Program, "Phase 27: Responsibilities and Requirements" document for information on the appeal process. Those cases that cannot be handled locally should be referred to the National Board giving details on action that has been taken up to that point. Any allegations regarding fraud or the misuse of funds should be referred directly to the DHS Office of Inspector General.

**Renewals:**

Each phase (fiscal year) is a new program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Local Boards are expected to monitor the expenditure of funds in their respective jurisdictions. It is for that reason that requests for second checks (all awards are divided into two payments) must be authorized by the Local Boards. Along with the request for the second payment, the National Board receives an interim report on eligible spending during that phase. A Final Report also must be filed by each LRO with its Local Board. The Local Board then compiles all the Final Reports within its jurisdiction and submits them (along with any requested documentation) to the National Board. Failure of an LRO to file a Final Report will result in its award being held in escrow the succeeding year. Recovery funding reports will be submitted in the prescribed format within 10 days after the end of each calendar quarter, beginning July 10, 2009. These reports will include the following data elements, as prescribed by the Public Law 111-5, Section 1512 and OMB Memorandum M-09-10: (1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also included unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including--(A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or

activity (Not Applicable to Emergency Food and Shelter); and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment (Not Applicable to Emergency Food and Shelter). (4) Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Local Boards are required to remain in operation until all program and audit requirements of the National Board have been satisfied. Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0708-0-1-605 - TAFS: 70 0708.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 est \$0; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EFS National Board Program, "Phase 27: Responsibilities and Requirements" manual. OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for list of addresses for FEMA Regional Offices.

**Headquarters Office:**

Federal Emergency Management Agency (FEMA), 500 C Street, SW, Room 619., Washington, District of Columbia 20472 Email: poc@dhs.gov Phone: (800) 621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.115 ASSISTANCE TO FIREFIGHTERS GRANT (ARRA)**

ARRA Fire Station Construction

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Public Law 111-5 American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide financial assistance directly to fire departments to enhance their capabilities with respect to fire and fire-related hazards. To provide financial assistance in the construction, upgrading or rehabilitation of fire stations.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Fire station construction. (Public Law 111-5 American Recovery and Reinvestment Act of 2009, Section 1511); Eligible Uses: new station construction, existing station upgrading or rehabilitation; up to 5 percent shall be for program administration and no grant shall exceed \$15,000,000. Restrictions: certification as cited below in 083 Credentials/Documentation; funded only under Public Law 111-5.

**Applicant Eligibility:**

Refer to program guidance.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

Each applicant must certify: (1) that they are an eligible applicant, i.e., a fire department as defined above; (2) as to the characteristics of their community, i.e., Urban, Suburban, or Rural; (3) to the population size of the community served; and (4) to the type of department, i.e., volunteer/combination or career. Public Law 111-5 American Recovery and Reinvestment Act of 2009, Section 1511 Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are peer reviewed, and reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

From 15 to 30 days. Applicants that were denied grants can request a reconsideration of the decision. Such a request may be successful if it is

determined that the rating criteria were not appropriately applied, or there was a flaw in the competitive process that unfairly disadvantaged the applicant, or there was human error in the processing of the grant application. Requests for reconsideration must be submitted in writing within 30 days of the date of the notification of denial.

**Renewals:**

> 180 Days. Grant period is 36 months for this program. In the event that the grantees are unable to fulfill their grant obligations within the 36-month grant period, they may request an extension of the performance period. Such requests will be considered and approved based on the written justification.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit Progress Reports which will include a narrative statement that details the progress of each award. Recovery funding reports will be submitted in the prescribed format within 10 days after the end of each calendar quarter, beginning July 10, 2009. These reports will include the following data elements, as prescribed by the Public Law 111-5, Section 1512 and OMB Memorandum M-09-10: (1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including-- (A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity; and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment. (4) Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0567-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0 - Funded in FY 09 only.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: No Current Data Available. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Federal Fire Prevention and Control Act of 1974, 15 U.S.C. 2229 et seq. In addition, the program guidance, the FAQs, an applicant tutorial, and other program information can be found on the programs website at [www.firegrantsupport.com](http://www.firegrantsupport.com). OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. The Assistance to Firefighters Grants are administered from the FEMA Headquarters Office. FEMA also has 10 regional offices which house Fire Program Specialists who may be contacted for information on the program.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate, Assistance to Firefighters Grant Program, TechWorld Bldg - South Tower 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: [firegrants@dhs.gov](mailto:firegrants@dhs.gov) Phone: (866) 274-0960

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

15.031 Indian Community Fire Protection; 15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance; 97.018 National Fire Academy Training Assistance; 97.043 State Fire Training Systems Grants; 97.044 Assistance to Firefighters Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.116 PORT SECURITY GRANT PROGRAM (ARRA)**

ARRA Port Security Grant Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Maritime Transportation Security Act (46 U.S.C. Section 70107); Public Law 111-5, American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To create a sustainable program for the protection of regulated ports from terrorism, with one priority on construction projects which address the most significant risks and can also be completed in a timely fashion.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with maritime domain awareness; IED prevention, protection, response, and recovery capabilities; and management and administration. The program guidance outlines uses and restrictions in detail. One of the priorities for the American Recovery and Reinvestment Act (ARRA) Port Security Grant Program (PSGP) is construction projects which address the most significant risks and can also be completed in a timely fashion.

**Applicant Eligibility:**

Refer to program guidance.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

Public Law 111-5, American Recovery and Reinvestment Act of 2009, Section 1511 Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not required for all participants. Applicants within designated states are required to coordinate with state designated authorities. See guidance documents for details. Environmental Historical Preservation information is required post award for projects funded through this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

(1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also included unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including--(A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity; and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the

infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment. Financial Status Reports. Program Progress Reports. Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Subrecipient monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0563-0-1-402 - TAFS: 70 0563.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - The ARRA Port Security Grant Program was only available for FY 2009.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA TechWorld 800 K Street NW, Washington, District of Columbia 20472-3615 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.117 TSA AIRPORT CHECKED BAGGAGE INSPECTION SYSTEM PROGRAM (ARRA)**

ARRA TSA Checked Baggage Inspection System Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Public Law 111-5; Aviation and Transportation Security Act of 2001 (Public Law 107-71). 49 U.S.C Section 114(m)(1) and 106(l)(6), Public Law 107-71.

**OBJECTIVES:**

The TSA Electronic Baggage System Program (EBSP) is responsible for the deployment and installation of Explosive Detection Systems (EDS) at airports across the nation. EBSP provides support to U.S. commercial airports in implementing and maintaining security compliance requirements and capabilities for Checked Baggage Detection Inspection Screening Systems at airports as mandated by the Aviation and Transportation Security Act of 2001 (Public Law 107-71) to provide 100 percent screening of checked baggage.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

TSA funding is restricted to those airport facility and baggage handling system modifications/ reconfigurations required for the installation of TSA EDS equipment to screen checked baggage. TSA provides, installs and tests the EDS equipment in addition to providing project funding towards required airport facility and baggage handling system modifications. DUNS/CCR - Recipients must either obtain a DUNS number (or update the existing DUNS record), as well as register with the Central Contractor Registration (CCR).

**Applicant Eligibility:**

See Uses and Use Restrictions.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

Public Law 111-5 American Recovery and Reinvestment Act of 2009, Section 1511 Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Airports are required to submit a complete application package.

**Award Procedure:**

Airports will be selected to mitigate the risk in the aviation system and consistent with the intent of the law to fund projects most ready for execution. TSA evaluates airport applications against a model incorporating risk and readiness of the airport to start the project. Awards are in the form of an Other Transaction Agreement (OTA). TSA funding and the terms and conditions of the OTA are negotiated between the TSA and the Airport.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications submitted by airports for TSA funding are being reviewed. Range of approval/disapproval time varies.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: TSA utilizes a cost sharing scenario based on the cost share ratio defined in the annual appropriation legislation. TSA provides funding for a specific share of the project costs and the airport contributes the remaining share of the funding.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The funding provided by TSA is obligated in the current TSA fiscal year and is available for expenditure to the airport within five years. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated allotment balances to facilitate reconciliations. A detailed list of all projects or activities for which recovery funds were obligated and expended, including--(a) The name of the project or activity; (b) A description of the project or activity. Financial Status Reports. Progress Reports. For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment. Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. An estimate of the number of jobs created and the number of jobs retained by the project or activity.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Records shall be retained for a period of three years from the day the recipient submits its final invoice. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three-year period, whichever is later. Records include financial and program/progress reports, support documents, statistical records and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0556-0-1-402 - Treasury Account Symbol for the Recovery Act is 70 9/0 0556.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Will vary by airport project and airport category and hub size. Per Congressional legislation, funding is allocated among a wide variety of airports. The financial assistance provided by TSA is effectuated through Other Transactional Authority agreements as the method of providing funding for airport baggage screening projects.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

\* OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009. \* Office of Management and Budget Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. \* Single Audit reports as required by the Single Audit Act Amendments of 1996 \* TSA Planning Guidelines and Design Standards available at <http://www.tsa.gov/research/asac/index.shtm>. \* TSA White Paper on Checked Baggage Reimbursable and Non-Reimbursable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jenel Cline 601 South 12th Street, Arlington, Virginia 20598-6016 Email: Jenel.Cline@DHS.gov Phone: (571) 227-3650

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

TSA utilizes an airport prioritization model for airport baggage screening projects based on a risk assessment that identifies operational risks. This overall approach is used to determine the impact of risk and cost analysis to address predicted airport growth rates, numbers of bags and the total project costs to include TSA capital investment in EDS equipment and the TSA costs associated with installation, integration, testing the EDS equipment within the airport facility modification.

**97.118 ADVANCED SURVEILLANCE PROGRAM (ASP)**

ARRA TSA OST Advanced Surveillance Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Public Law 111-5); Aviation and Transportation Security Act of 2001 (Public Law 107-71). 49 U.S.C. Sections 114(m)(l) and 106(l)(6) .

**OBJECTIVES:**

To provide enhanced remote security and surveillance capability at airports where people or objects are screened and perimeter security is improved. The ASP partners with airport authorities to enable Transportation Security Officers access to real time and recorded camera views of critical activities. ASP provides the additional equipment necessary to achieve the TSA-mandated security recordation requirements of Checkpoint, Checked Baggage and Airport Perimeter, in turn enhancing the Airport Authoritys current/existing system. The ASP Program increases the local Airport Authoritys capability to remotely monitor, detect and assess all types of threats, including explosive threats and their resolution. Remote monitoring has the potential to detect and prevent the placement or transport of explosives/devices and other threats by increasing situational awareness in the areas of Checkpoint, Checked Baggage and Airport Perimeter. Activities performed under ASP are authorized and mandated by the Aviation and Transportation Security Act of 2001 (Public Law 107-71).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Transportation Security Administration (TSA) funding is restricted to the purchase and installation of Checkpoint, Checked Baggage and Airport Perimeter surveillance threat detection systems, including explosive detection at the Airport Authoritys facilities. The Checkpoint surveillance area is defined as the area in which TSA employees screen people, carry-on baggage, and other items at security checkpoints. The Checked Baggage Surveillance area is defined as the area in which TSA employees screen baggage requiring threat resolution in the Baggage Handling System (BHS) operation following an



alarm alert. The use of funding for Airport Perimeter Surveillance is restricted to address airport-identified perimeter security vulnerabilities that can be mitigated through the use of applied security technologies. DUNS/CCR - Recipients must obtain a DUNS number (or update the existing DUNS record), as well as register with the Central Contractor Registration (CCR).

**Applicant Eligibility:**

Refer to program guidance.

**Beneficiary Eligibility:**

See Uses and Use Restrictions.

**Credentials/Documentation:**

Section 1511 of Public Law 111-5 American Recovery and Reinvestment Act of 2009, Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted.. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Airports are required to submit a complete application package.

**Award Procedure:**

Airports will be selected to mitigate the risk in the aviation system and consistent with the intent of the law to fund projects most ready for execution. TSA evaluates airport participation requests against a prioritization matrix incorporating risk and the readiness of the airport to start the project. TSA funding and the terms and conditions of the award are negotiated between the TSA and the Airport.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The funding provided by TSA is obligated in the current TSA fiscal year and is available for expenditure by the airport within five years. See the following for information on how assistance is awarded/released: Information not provided.

**Reports:**

(1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also included unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including--(A) The name

of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity; and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment. (4) Detailed information on any subcontracts or sub grants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Financial Status Reports. Progress Reports. Financial Status Reports. Project Reports. Financial Status Reports. Progress Reports. Financial Status Reports. Project Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The airport is also subject to the Office of Management Budget, A-133 Audits of States, Local Governments, and Nonprofit Organizations, Reporting requirement.

**Records:**

Records shall be retained for a period of 3 years from the day the recipient submits its final invoice. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the three-year period , whichever is alter. Records include financial and program/progress reports, support documents, statistical records and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0556-0-1-402 - Treasury Account Symbol for the Recovery Act is 70 9/0 0556.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Will vary by airport project, airport category and hub size. According to congressional legislation, funding is allocated across a wide variety of airports. The financial assistance provided by TSA is effectuated through Other Transactional Authority agreements as the method of providing funding for airport baggage screening projects.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

- \* OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.
- \* Office of Management and Budget Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.
- \* Single Audit reports as required by the Single Audit Act Amendments of 1996
- \* TSA Planning Guidelines and Design Standards available at <http://www.tsa.gov/research/asac/index.shtml>
- \* TSA White Paper on Checked Baggage Reimbursable and Non-Reimbursable

**Regional or Local Office:**

None.

**Headquarters Office:**

Lynn Sciascia 601 South 12th Street, Arlington, Virginia 20598-6016 Email: Lynn.Sciascia@dhs.gov Phone: (571) 227-1165

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

TSA utilizes an airport prioritization model for airport baggage screening projects based on a risk assessment that identifies operational risks. The overall approach balances an analysis of total project cost with the impact of risk, while factoring in the predicted airport growth rate, (e.g., Numbers of people and bags). Total project costs include TSA capital investment in EDS equipment and the TSA costs associated with installation, integration, and testing of the EDS equipment within the airport facility modification.

**97.119 2010 OLYMPICS FIRST RESPONDER TRAINING****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009 , Public Law 110-329.

**OBJECTIVES:**

This program will provide funding for training activities for Washington State and local Whatcom County, Washington first responders in preparation for the 2010 Winter Olympics. Efforts funded by the grant will be coordinated with Department of Homeland Security (DHS) U.S. Customs and Border Protection (CBP) Security Training and Exercise Support for the 2010 Olympics.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Eligible activities include training for: Volunteer and Reserve Medical Services; Maritime Interdiction Training; Explosive Breaching Training; Advanced Law Enforcement Rapid Response Training; Advanced Hostage Negotiations; Coordination Center Joint Training/National Incident Management System (NIMS) courses.

**Applicant Eligibility:**

Refer to program guidance.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications for an extension.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. see above. see above.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines please refer to the solicitation guidance and application kit.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

FEMA Grant Programs Directorate 500 C Street SW, Washington, District of Columbia 20472 Email: askscid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov/grants>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to program guidance for information on criteria for selecting proposals.

**97.120 BORDER INTEROPERABILITY DEMONSTRATION PROJECT**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007, Title III, Section 302 (Public Law 110-53), 6 U.S.C. 580, Title , Public Law 110-53.

**OBJECTIVES:**

To identify solutions that facilitate emergency communications along and across the border and ensure emergency response providers can communicate during natural disasters, acts of terrorism and other man-made disasters.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

A minimum of six communities (at least three located on the U.S.-Canadian border and at least three located on the U.S.-Mexican border) will be selected for participation in the demonstration project and funded through the State in which each community is located. Refer to program guidance for further information. Competitive grant program.

**Applicant Eligibility:**

A minimum of six communities (at least three located on the U.S.-Canadian border and at least three located on the U.S.-Mexican border) will be selected for participation in the demonstration project and funded through the State in which each community is located.

**Beneficiary Eligibility:**

Refer to program guidance for further information.

**Credentials/Documentation:**

Refer to program guidance for further information. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance for further information.

**Appeals:**

Refer to program guidance for further information.

**Renewals:**

Refer to program guidance for further information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. States are responsible for reporting on the status of the funding distribution to the Department of Homeland Security no later than 90 days after an award is made to a State. In addition, projects selected for funding are required to report on and share lessons learned. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues that arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0565-0-1-999.

**Obligations:**

(Salaries) FY 10 \$25,500,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Interoperability communication demonstration project involving select communities along Northern and Southern U. S. Borders; new program. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 Code of Federal Regulations (CFR) 13 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; OMB Circular A-87, relocated to 2 CFR Part 225. Cost Principles for State, Local, and Tribal Governments; OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

DHS/Grants and Assistance Division/Office of Procurement Operations 425 Murray Lane SW, Washington, District of Columbia 20528 Email: oec@dhs.gov Phone: (202) 447-5589

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to program guidance.

**97.121 RADIOLOGICAL/NUCLEAR DETECTION PILOT EVALUATIONS PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; as amended, the SAFE Port Act, Title V, Section 501 (a), Public Law 109-347., Title V, Section 501, Public Law 109-347.

**OBJECTIVES:**

Pilot evaluations of equipment and Concepts of Operations (CONOPs) for use to address the overall risk of illicit radiological/nuclear materials entering our Nation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Dissemination of Technical Information; Project Grants (Contracts); Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions. Refer to program guidance for further information. Refer to program guidance for further information.

**Applicant Eligibility:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions.

**Beneficiary Eligibility:**

Refer to program guidance for further information.

**Credentials/Documentation:**

Refer to program guidance for further information. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance for further information.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details. See program guidance.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each fiscal quarter, January 30, April 30, July 30 and October 30. See above. See above. See above. See above.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0860-0-1-999.

**Obligations:**

(Salaries) FY 10 \$776,222; FY 11 Estimate Not Available; and FY 12 Estimate Not Available - Equipment, in the amount of \$1.2M, on loan to the recipient of the initial award under this program will be transferred to the recipient at the end of that award.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: Baseline detection equipment purchased and personnel trained. Regional CONOPS developed and instituted. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

2 CFR 215 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations and OMB Circular No. A-102, Grants and Cooperative Agreements with State and Local Governments; 44 CFR part 13 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local governments; 2 CFR 225 Cost Principles for State, Local and Indian Tribal Governments; 2 CFR 230 Cost Principles for Non-Profit Organizations; 2 CFR 220 Cost Principles for

Institutions of Higher Education; 45 CFR 74 Principles for Determining Costs applicable to Research and Development under Grants and Contracts with Hospitals; and OMB Circular A-133 Audit of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Domestic Nuclear Detection Office 245 Murray Lane, SW, Washington, District of Columbia 20528-0550 Phone: (202)254-7629

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.122 BIO-PREPAREDNESS COLLABORATORY**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act of 2010, Title III, Office of Health Affairs, 123 Stat. 2157, Title III, Public Law 111-83, 2157 Stat.

**OBJECTIVES:**

This is a demonstration project that would support the development of a comprehensive, statewide system to analyze public health trends and detect incidents that may threaten homeland security.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restricted to a demonstration project that would support the development of a comprehensive, statewide system to analyze public health trends and detect incidents that may threaten homeland security. Additional information concerning uses and restrictions is contained in the program guidance document or can be obtained from the administering program office identified in this announcement. Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. See program guidance. Refer to the program guidance for further information. Refer to the program guidance for further information.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Refer to the program guidance for further information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to future appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0117-0-1-453.

**Obligations:**

(Salaries) FY 10 \$5,000,000; FY 11 est \$699,790; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: One award has been issued. Progress is being made regarding the development and application of a system. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(Refer to section #140 in CFDA reference manual. OMB Circulars No. A-102,

Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions, A-122, Cost Principles for Non-Profit Organizations, and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Office of Health Affairs 245 Murray Lane, S.W., Mail Stop 0115, Washington, District of Columbia 20528 Phone: (202) 254-6479

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.124 INTEROPERABLE COMMUNICATIONS AND TRAINING PROJECT**

(ICAT)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act of 2010 , Public Law 111-83, 2156 Stat.

**OBJECTIVES:**

The Interoperable Communications and Training (ICAT) Project will create a pilot training program tailored to the first responder and emergency management community in the primary areas of public safety project management, emergency communications and interoperability, and broadband technology use.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: personnel costs, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. DHS grant funds may only be used for the purpose set forth in the cooperative agreement, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity. Refer to program guidance document. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

Refer to program guidance.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Refer to funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to future appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to funding opportunity announcement. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. Method of awarding/releasing assistance: quarterly.

**Reports:**

Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0565-0-1-999.

**Obligations:**

(Salaries) FY 10 \$1,000,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: The National Institute for Emergency Communications (NIEC) has made numerous accomplishments that have directly benefited first responders in the areas of interoperability, project management and communications. In 2011, NIEC developed and provided introductory courses in project management and interoperability. Public Safety Project Management Success Factors is a more advanced course that is also offered which directly

relates the project management discipline to the public safety arena. NIEC also has developed and provided Introduction to Broadband which has proven to be very popular as the technology and opportunities have evolved. Through the use of pilot courses and stakeholder review the curriculum and offerings have been refined to provide the most benefit to an audience of public safety personnel.

Continued support of developing communications units has also been a key focus of NIEC. Through course material already developed, NIEC has been able to facilitate Communications Unit Leader (COML) training for first responders of all disciplines. The Communications Technical (COMT) training is another extremely popular offering that NIEC has been able to successfully facilitate. Through training and the development of a Communication Unit (COMU) best practices document, NIEC has been able to provide the resources necessary for the development and expansion of many communications units. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, A-87, Cost Principles for State, Local and Indian Tribal Governments (2 CFR Part 225), A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations (2 CFR Part 215), A-21, Cost Principles for Educational Institutions (2 CFR Part 220), A-122, Cost Principles for Non-Profit Organizations (iii. 2 CFR Part 230), and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Mike Dame 245 Murray Lane, SW, Mail Stop # 0614, Washington, District of Columbia 20528 Email: Michael.Dame@dhs.gov Phone: (202) 343-1663

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.125 VIRGINIA OPERATIONAL INTEGRATION CYBER CENTER OF EXCELLENCE**

(VOICCE)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act of 2010, Title III.

**OBJECTIVES:**

To support the creation of a Municipal Cyber Lab. The Lab will focus on raising awareness of cybersecurity issues among local government officials, and incorporating cybersecurity planning into the mainstream of emergency operations at the local level. The concept encourages the development of capabilities, processes and procedures that will better equip local officials to cope with a cyber incident.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Restricted to supporting the activities of the Virginia Operational Integration Cyber Center of Excellence (VOICCE), involving incorporating cybersecurity planning into the mainstream of emergency operations at the local level. Additional information concerning uses and restrictions is contained in the funding opportunity announcement or can be obtained from the administering

program office identified in this announcement. Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. See the funding opportunity announcement. Refer to program guidance for further information. Refer to program guidance for further information.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement.

**Beneficiary Eligibility:**

Beneficiary Eligibility: State Governments, local government, territorial governments, and tribal governments. Refer to program guidance for further information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the funding opportunity announcement.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to future appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to the funding opportunity announcement. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit semiannual financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days of the reporting period: Jan. 30, July 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0565-0-1-999.

**Obligations:**

(Salaries) FY 10 \$500,000; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to the funding opportunity announcement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2010: VOICCE is reaching out to underserved mid-level and small municipalities that are still at a far more embryonic stage in cyber security than most states and large cities. VOICCE officials are in the process of creating an open source model of a mid-to small sized municipality in OpenFISMA, so local governments can document processes in their IT environment in a manner similar to FISMA, but at far less expense (free) than any commercial offering. Also, they are building an open source Security Operations Center (SOC) which will be provided free to any city that wants it. Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, A-87, Cost Principles for State, Local and Indian Tribal Governments (2 CFR Part 225), A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations (2 CFR Part 215), A-21, Cost Principles for Educational Institutions (2 CFR Part 220), A-122, Cost Principles for Non-Profit Organizations (iii. 2 CFR Part 230), and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kelvin Coleman 245 Murray Lane, SW, Mail Stop 0115, Washington, District of Columbia 20528 Email: Kelvin.Coleman@dhs.gov Phone: (703) 235-2871

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.126 NATIONAL SPECIAL SECURITY EVENT**

NSSE

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Title VI, Section 1653 of the Department of Defense and Full-Year Continuing Appropriations Act of 2011 (Public Law 112-10), Public Law 112-10.

**OBJECTIVES:**

National Special Security Event (NSSE) Grant Program is to provide supplemental federal assistance to State, Tribal and local governments for certain actual costs of providing emergency management, public safety, and security during the preparation and conduct of an NSSE.

The Secretary of the U.S. Department of Homeland Security designates events of national significance as National Special Security Events (NSSE) based on factors including, but not limited to: anticipated attendance by U.S. officials and foreign dignitaries; the size of the event; and, the significance of the event. By statute, the United States Secret Service (USSS) is designated as the lead federal agency for planning, coordinating, and implementing security operations at NSSE.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funding provided may be used to reimburse certain actual costs incurred by State, local, and Tribal governments for providing emergency management, public safety, and security directly related to the presence of a specific NSSE as outlined in the program guidance. Allowable costs must directly support the NSSE. Costs must be reasonable and necessary to accomplish the work; be compliant with federal, State, and local requirements for procurement; and be incurred in support of Operational Security Plans developed in collaboration with the interagency NSSE Executive Steering Committee. Management and Administrative activities

Equipment

Hiring of permanent personnel

Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc.), general-use computers and related equipment (other than for those associated with preparedness or response functions), general-use vehicles, licensing fees, weapons systems and ammunition

Costs incurred as a result of normal agency activities (e.g. salaries incurred during normal hours for security-related operations that do not require overtime or to backfill a position)

Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package

Construction and renovation.

**Applicant Eligibility:**

Applications shall be based on Operational Security Plans developed in coordination with the interagency NSSE Executive Steering Committee.

Any locality hosting an NSSE that also receives reimbursement for the NSSE from other Federal funds, including the State Departments protection of Foreign Missions and Officials account is not eligible to be reimbursed with NSSE Grant funds.

**Beneficiary Eligibility:**

States and territories that host an NSSE as determined by the Secretary of the Department of Homeland Security.

**Credentials/Documentation:**

Applicants are States and territories that host an NSSE as determined by the Secretary of the Department of Homeland Security. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Specific information on application procedures documentation required is identified in the funding opportunity and program guidance.

**Award Procedure:**

FEMA will evaluate applications based on significant unreimbursed costs and lack of alternate funding sources.

**Deadlines:**



Sep 30, 2011 Applications can be submitted after September 30, 2011. Applicants must indicate their intention to apply for an award prior to the NSSE but no later than 11:59pm Eastern, June 30, 2012. Complete applications must be received no later than 120 days after the NSSE or 30 days before the end of the fiscal year, whichever date occurs first.

**Range of Approval/Disapproval Time:**

FEMA intends to make awards within 90 days of receiving a complete application, and no later than September 30, 2012.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The NSSE Grant Program is a cost-reimbursement program; requests for reimbursement must be submitted to FEMA no later than 120 days after the NSSE or 30 days before the end of the fiscal year, whichever date occurs first.

An applicant must submit documentation to account for all incurred costs to the grantee. The grantee is responsible for ensuring that all incurred costs are associated with the approved scope of work and for certifying that work has been completed in accordance with FEMA standards and policies. See the following for information on how assistance is awarded/released: FEMA will notify the grantee that the federal funds are available but reside in a Federal account until the grantee is ready to award grants to the appropriate sub-grantees.

**Reports:**

No program reports are required. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Final financial and performance reports are due 90 days after the expiration or termination of grant award. FEMA will conduct desk reviews of awards and where a need is indicated conduct a site review.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-453.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$7,485,000; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 2011 funding for one year not to exceed \$7,485,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title VI, Section 1653 of the Department of Defense and Full-Year Continuing Appropriations Act of 2011 (P.L. 112-10).

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Department of Homeland Security /FEMA Grant Programs Directorate 500 C Street S.W., Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.grants.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Secretary of the U.S. Department of Homeland Security designates events of national significance as National Special Security Events (NSSE) based on factors including, but not limited to: anticipated attendance by U.S. officials and foreign dignitaries; the size of the event; and, the significance of the event.

**97.127 CYBERSECURITY EDUCATION AND TRAINING ASSISTANCE PROGRAM (CETAP)**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act of 2010 (P.L. 111-83; 123 Stat. 2156), Public Law 111-83, 2156 Stat.

**OBJECTIVES:**

This program would promote cybersecurity education; support a coordinated effort to engage students early in their academic careers with a cybersecurity research group; provide a mechanism whereby cybersecurity education is available not only in the form of the formal education of students, but in the training of their teachers; and, develop at an early stage students' interest in the cybersecurity field.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Restricted to supporting the activities of the Upstate New York Cyber Initiative located at Clarkson University and the Cyber Innovation Center (CIC) located in Bossier City, Louisiana, in developing cyber-related training programs to engage students early in their careers by a coordinated effort. Additional information concerning uses and restrictions is contained in the funding opportunity announcements. Financial and non financial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. See the funding opportunity announcement.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcements.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the funding opportunity announcements.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in an application will be negotiated with the successful applicants prior to an award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to future appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to the funding opportunity announcements. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: annually.

**Reports:**

Refer to program guidance. Cash reports are not applicable. Quarterly Progress Reports must include the progress of each sub-grant award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0565-0-1-999.

**Obligations:**

(Salaries) FY 10 \$0; FY 11 est \$400,000; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Refer to the funding opportunity announcements.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, A-87, Cost Principles for State, Local and Indian Tribal Governments (2 CFR Part 225), A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations (2 CFR Part 215), A-21, Cost Principles for Educational Institutions (2 CFR Part 220), A-122, Cost Principles for Non-Profit Organizations (2 CFR Part 230), and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Daniel Stein 245 Murray Ln., SW, Bldg 410, Stop 0640, Washington, District of Columbia 20528-0640 Email: CETAP-Info@dhs.gov Phone: 703-235-3664.

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the funding opportunity announcements for information on criteria for selecting proposals.

**97.128 NATIONAL CYBER SECURITY AWARENESS****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 121, as amended by Homeland Security Presidential Directive 23, Cybersecurity Policy, January 2008.

**OBJECTIVES:**

To provide funding for outreach, education, and technical assistance in order to raise public awareness of cybersecurity awareness nationally. To empower and support citizens to use the Internet securely and safely, protecting themselves and the cyber infrastructure. To educate key stakeholder communities about cybersecurity issues as well as provide tools and resources to enhance cybersecurity awareness. Outreach and technical assistance may take several forms, such as: the provision of written information; maintaining a website; development of cybersecurity awareness collateral; establishment and maintenance of metrics to measure effectiveness of awareness efforts; and development of seminars, workshops or training sessions.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. DHS grant funds may only be used for the purpose set forth in the cooperative agreement, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity. Refer to funding opportunity announcement. See above.

**Applicant Eligibility:**

See above.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to the funding opportunity announcement. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. Method of awarding/releasing assistance: quarterly.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Cash reports are not applicable. See above. Expenditure reports are not applicable. See above.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0565-0-1-999.

**Obligations:**

(Salaries) FY 10 \$1,500,000; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Refer to the funding opportunity announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.)

**Regional or Local Office:**

None.

**Headquarters Office:**

Kristina Dorville 245 Murray Ln., SW, Stop 0640  
, Arlington, Virginia 20598-0640 Email: kristina.dorville@dhs.gov Phone:  
(703) 235-3666

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the funding opportunity announcement for information on criteria for selecting proposals.

**97.129 SECURING CRITICAL UNDERGROUND INFRASTRUCTURE PILOT PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act of 2009 , Public Law 110-329, 122 Stat. 3668.

**OBJECTIVES:**

This program would support the installation of devices designed to secure critical underground infrastructure in real-world situations, and monitor their effectiveness and drawbacks.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Restricted to the evaluation of the effectiveness and drawbacks of devices or systems designed to protect critical underground infrastructure. Additional information concerning uses and restrictions is contained in the funding opportunity announcement or can be obtained from the administering program office identified in this announcement. Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. See the funding opportunity announcement. See program guidance.

**Applicant Eligibility:**

See program guidance.

**Beneficiary Eligibility:**

See program guidance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to future appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to the funding opportunity announcement. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: See program guidance.

**Reports:**

Grantees are required to submit semiannual performance reports. Semiannual Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each reporting period: Jan. 30, and July 30. Final performance reports are due 90 days after the expiration or termination of grant award. No cash reports are required. Progress reports are not applicable. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0565-0-1-999.

**Obligations:**

(Project Grants) FY 10 \$0; FY 11 est \$0; and FY 12 est \$0

**Range and Average of Financial Assistance:**

Refer to the funding opportunity announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; A-87, Cost Principles for State, Local and Indian Tribal Governments (2 CFR Part 225); A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations (2 CFR Part 215); A-21, Cost Principles for Educational Institutions (2 CFR Part 220); A-122, Cost Principles for Non-Profit Organizations (2 CFR Part 230); and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Michael Dailey, 245 Murray Lane., SW, Stop 0612, Arlington, Virginia 20598-0612 Phone: (703) 235-9387.

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

# Appendix I: Programs Requiring Executive Order 12372 Review

This appendix lists programs requiring Executive Order 12372 review. Executive Order 12372 "Intergovernmental Review of Federal Programs," structures the Federal government's system of consultation with State and local governments on its decisions involving grants, other forms of financial assistance, and direct development. Under E.O. 12372, States, in consultation with their local governments, design their own review processes and select those Federal financial assistance and direct development activities they wish to review.

Since October 1, 1983 most States have acted to establish a review and comment system in response to E.O. 12372. In such cases, applicants for grants will need to meet the requirements of the intergovernmental consultation process established by a particular State and its local governments before Federal agencies take action on an application.

For more information on the process a particular State requires to be followed, an applicant should contact the office or official designated as the single point of contact in his or her State. Consult the individual program description in the Catalog to determine whether the programs under which he/she plans to apply is subject to E.O. 12372. Consult the Federal agency's application package for instructions on State notification.

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## DEPARTMENT OF AGRICULTURE

10.025 Plant and Animal Disease, Pest Control, and Animal Care (B)  
10.028 Wildlife Services (B)  
10.156 Federal-State Marketing Improvement Program (B)  
10.164 Wholesale Farmers and Alternative Market Development (K,M)  
10.168 Farmers' Market Promotion Program (B)  
10.253 Food Assistance and Nutrition Research Programs (FANRP) (L)  
10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans (E)  
10.415 Rural Rental Housing Loans (B,E)  
10.420 Rural Self-Help Housing Technical Assistance (B)  
10.427 Rural Rental Assistance Payments (C)  
10.433 Rural Housing Preservation Grants (B)  
10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)  
10.553 School Breakfast Program (A)  
10.555 National School Lunch Program (A)  
10.556 Special Milk Program for Children (A)  
10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)  
10.558 Child and Adult Care Food Program (A)  
10.559 Summer Food Service Program for Children (A)  
10.560 State Administrative Expenses for Child Nutrition (A)  
10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)  
10.565 Commodity Supplemental Food Program (A,H)  
10.566 Nutrition Assistance For Puerto Rico (C)  
10.567 Food Distribution Program on Indian Reservations (B,H)  
10.568 Emergency Food Assistance Program (Administrative Costs) (A,B)  
10.569 Emergency Food Assistance Program (Food Commodities) (A)  
10.664 Cooperative Forestry Assistance (A,B)  
10.680 Forest Health Protection (A,B)  
10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)  
10.763 Emergency Community Water Assistance Grants (B)  
10.766 Community Facilities Loans and Grants (B,E,F)  
10.767 Intermediary Relending Program (E)  
10.768 Business and Industry Loans (F)  
10.769 Rural Business Enterprise Grants (B)  
10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)  
10.771 Rural Cooperative Development Grants (B)  
10.773 Rural Business Opportunity Grants (B)  
10.780 Community Facilities Loans and Grants (B,E)  
10.781 Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)  
10.783 Rural Business Enterprise Grants - ARRA (B)  
10.787 Broadband Initiatives Program (B,E)

10.855 Distance Learning and Telemedicine Loans and Grants (B,E)  
10.865 Biorefinery Assistance (F)  
10.901 Resource Conservation and Development (K)  
10.904 Watershed Protection and Flood Prevention (K)  
10.916 Watershed Rehabilitation Program (K)

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## DEPARTMENT OF DEFENSE

12.101 Beach Erosion Control Projects (J)  
12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J)  
12.106 Flood Control Projects (J)  
12.107 Navigation Projects (J)  
12.108 Snagging and Clearing for Flood Control (J)  
12.110 Planning Assistance to States (J)  
12.360 Research on Chemical and Biological Defense (B)  
12.600 Community Economic Adjustment (B,J,L)  
12.750 Uniformed Services University Medical Research Projects (B)

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## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

14.005 Choice Neighborhoods Planning Grants (B)  
14.123 Mortgage Insurance\_Housing in Older, Declining Areas (F)  
14.126 Mortgage Insurance\_Cooperative Projects (F)  
14.127 Mortgage Insurance\_Manufactured Home Parks (F)  
14.128 Mortgage Insurance\_Hospitals (F)  
14.129 Mortgage Insurance\_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)  
14.134 Mortgage Insurance\_Rental Housing (F)  
14.135 Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)  
14.138 Mortgage Insurance\_Rental Housing for the Elderly (F)  
14.139 Mortgage Insurance\_Rental Housing in Urban Renewal Areas (F)  
14.151 Supplemental Loan Insurance\_Multifamily Rental Housing (F)  
14.157 Supportive Housing for the Elderly (C)  
14.181 Supportive Housing for Persons with Disabilities (C)  
14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)  
14.188 Housing Finance Agencies (HFA) Risk Sharing (F)  
14.218 Community Development Block Grants/Entitlement Grants (A)  
14.246 Community Development Block Grants/Brownfields Economic Development Initiative (B)  
14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects (B)  
14.850 Public and Indian Housing (C)  
14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)  
14.872 Public Housing Capital Fund (A)  
14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)

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14.889 Choice Neighborhoods (B)

## DEPARTMENT OF THE INTERIOR

15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)  
15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)  
15.253 Not-for-Profit AMD Reclamation (B)  
15.506 Water Desalination Research and Development Program (B)  
15.509 Colorado River Basin Salinity Control Program (B)  
15.512 Central Valley Project Improvement Act, Title XXXIV (B)  
15.514 Reclamation States Emergency Drought Relief (B,J,K)  
15.521 Lower Rio Grande Valley Water Resources Conservation and Improvement (B)  
15.524 Recreation Resources Management (B)  
15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)  
15.538 Lower Colorado River Multi-Species Conservation Program. (B)  
15.548 Reclamation Rural Water Supply Program (B)  
15.605 Sport Fish Restoration Program (A)  
15.611 Wildlife Restoration and Basic Hunter Education (A)  
15.614 Coastal Wetlands Planning, Protection and Restoration Act (B)  
15.615 Cooperative Endangered Species Conservation Fund (B)  
15.616 Clean Vessel Act (B)  
15.622 Sportfishing and Boating Safety Act (B)  
15.625 Wildlife Conservation and Restoration (A)  
15.626 Enhanced Hunter Education and Safety Program (A)  
15.628 Multistate Conservation Grant Program (B)  
15.636 Alaska Subsistence Management (B)  
15.654 Visitor Facility Enhancements - Refuges and Wildlife (B)  
15.668 Coastal Impact Assistance Program (A)  
15.904 Historic Preservation Fund Grants-In-Aid (A,B)  
15.916 Outdoor Recreation\_Acquisition, Development and Planning (B)  
15.923 National Center for Preservation Technology and Training (B)  
15.926 American Battlefield Protection (B)  
15.928 Civil War Battlefield Land Acquisition Grants (B)  
15.930 Chesapeake Bay Gateways Network (B)  
15.936 Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (C)  
15.940 New Bedford Whaling National Historic Park Cooperative Management (C)  
15.941 Mississippi National River and Recreation Area State and Local Assistance (B)  
15.942 Environmental Education and Conservation - North Cascades Bioregion (C,J)

## DEPARTMENT OF JUSTICE

16.013 Violence Against Women Act Court Training and Improvement Grants (B)  
16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B)  
16.016 Culturally and Linguistically Specific Services Program (B)  
16.017 Sexual Assault Services Formula Program (A,B)  
16.018 Services to Advocate for and Respond to Youth (B)  
16.019 Tribal Registry (B)  
16.020 Children and Youth Exposed (B)  
16.524 Legal Assistance for Victims (B)  
16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)  
16.526 OVW Technical Assistance Initiative (B)  
16.527 Supervised Visitation, Safe Havens for Children (B)  
16.528 Enhanced Training and Services to End Violence and Abuse of

Women Later in Life (B)

16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)  
16.556 State Domestic Violence and Sexual Assault Coalitions (A)  
16.557 Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (B)  
16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments (B)  
16.588 Violence Against Women Formula Grants (A)  
16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)  
16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program (B)  
16.684 Supporting Teens through Education and Protection Act of 2005 (STEP Act) (B)  
16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)  
16.805 Recovery Act Transitional Housing (B)  
16.806 Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments (B)

## DEPARTMENT OF LABOR

17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)  
17.235 Senior Community Service Employment Program (A,B)  
17.258 WIA Adult Program (A)  
17.259 WIA Youth Activities (A)  
17.260 WIA Dislocated Workers (A,B)  
17.264 National Farmworker Jobs Program (A)  
17.271 Work Opportunity Tax Credit Program (WOTC) (A)  
17.278 WIA Dislocated Worker Formula Grants (A)  
17.600 Mine Health and Safety Grants (B)  
17.801 Disabled Veterans' Outreach Program (DVOP) (A)  
17.802 Veterans' Employment Program (B)  
17.804 Local Veterans' Employment Representative Program (A)  
17.807 Transition Assistance Program (B)

## DEPARTMENT OF TRANSPORTATION

20.106 Airport Improvement Program (B,K)  
20.108 Aviation Research Grants (B,I)  
20.109 Air Transportation Centers of Excellence (B,I,J)  
20.205 Highway Planning and Construction (A,B)  
20.219 Recreational Trails Program (A)  
20.231 Performance and Registration Information Systems Management (B)  
20.235 Commercial Motor Vehicle Operator Training Grants (B)  
20.237 Commercial Vehicle Information Systems and Networks (B)  
20.316 Railroad Rehabilitation and Improvement Financing Program (E,F)  
20.318 Maglev Project Selection Program - SAFETEA-LU (B)  
20.500 Federal Transit\_Capital Investment Grants (A,B)  
20.505 Metropolitan Transportation Planning (A)  
20.507 Federal Transit\_Formula Grants (A)  
20.509 Formula Grants for Other Than Urbanized Areas (A)  
20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)  
20.514 Public Transportation Research (B,L,M)  
20.515 State Planning and Research (A)  
20.516 Job Access\_Reverse Commute (B)  
20.520 Paul S. Sarbanes Transit in the Parks (B)  
20.521 New Freedom Program (A)  
20.523 Capital Assistance Program for Reducing Energy Consumption and Greenhouse Gas Emissions (B)  
20.600 State and Community Highway Safety (A)

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20.601	Alcohol Impaired Driving Countermeasures Incentive Grants I (B)	66.305	Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)
20.602	Occupant Protection Incentive Grants (B)	66.309	Surveys, Studies, Investigations, Training and Special Purpose Activities Relating to Environmental Justice (B)
20.608	Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)	66.313	International Compliance and Enforcement Projects (B)
20.610	State Traffic Safety Information System Improvement Grants (B)	66.418	Construction Grants for Wastewater Treatment Works (B)
20.611	Incentive Grant Program to Prohibit Racial Profiling (A)	66.419	Water Pollution Control State, Interstate, and Tribal Program Support (A)
20.612	Incentive Grant Program to Increase Motorcyclist Safety (A)	66.424	Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)
20.613	Child Safety and Child Booster Seats Incentive Grants (B)	66.432	State Public Water System Supervision (A)
20.700	Pipeline Safety Program Base Grants (A)	66.433	State Underground Water Source Protection (A)
20.703	Interagency Hazardous Materials Public Sector Training and Planning Grants (B)	66.436	Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)
20.721	PHMSA Pipeline Safety Program One Call Grant (B)	66.437	Long Island Sound Program (B)
20.723	PHMSA Pipeline Safety Research and Development Other Transaction Agreements (B)	66.439	Targeted Watersheds Grants (B)
20.816	Americas Marine Highway Grants (B)	66.440	Urban Waters Small Grants (B)
20.932	Surface Transportation _ Discretionary Grants for Capital Investment. (B)	66.454	Water Quality Management Planning (A)
20.933	National Infrastructure Investments (B)	66.456	National Estuary Program (B)
<b>NATIONAL ENDOWMENT FOR THE ARTS</b>			
45.025	Promotion of the Arts_Partnership Agreements (B,K)	66.458	Capitalization Grants for Clean Water State Revolving Funds (A)
<b>NATIONAL ENDOWMENT FOR THE HUMANITIES</b>			
45.168	Promotion of the Humanities_We the People (B)	66.460	Nonpoint Source Implementation Grants (A)
<b>NATIONAL SCIENCE FOUNDATION</b>			
47.041	Engineering Grants (B)	66.461	Regional Wetland Program Development Grants (B)
47.049	Mathematical and Physical Sciences (B)	66.462	National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)
47.050	Geosciences (B)	66.463	Water Quality Cooperative Agreements (B)
47.070	Computer and Information Science and Engineering (B)	66.466	Chesapeake Bay Program (B)
47.074	Biological Sciences (B)	66.467	Wastewater Operator Training Grant Program (B)
47.075	Social, Behavioral, and Economic Sciences (B)	66.468	Capitalization Grants for Drinking Water State Revolving Funds (A)
47.076	Education and Human Resources (B)	66.469	Great Lakes Program (B,LL)
47.078	Polar Programs (B)	66.471	State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)
47.079	International Science and Engineering (OISE) (B)	66.472	Beach Monitoring and Notification Program Implementation Grants (A)
47.080	Office of Cyberinfrastructure (B)	66.474	Water Protection Grants to the States (A)
47.081	Office of Experimental Program to Stimulate Competitive Research (B)	66.475	Gulf of Mexico Program (B)
<b>ENVIRONMENTAL PROTECTION AGENCY</b>			
66.001	Air Pollution Control Program Support (B)	66.479	Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)
66.032	State Indoor Radon Grants (B)	66.480	Assessment and Watershed Protection Program Grants (B)
66.033	Ozone Transport Commission (B)	66.481	Lake Champlain Basin Program (B)
66.034	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)	66.509	Science To Achieve Results (STAR) Research Program (B)
66.035	Community Action for a Renewed Environment (CARE) Program (B)	66.510	Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)
66.039	National Clean Diesel Emissions Reduction Program (B)	66.511	Office of Research and Development Consolidated Research/Training/Fellowships (B)
66.040	State Clean Diesel Grant Program (A)	66.516	P3 Award: National Student Design Competition for Sustainability (B)
66.041	Climate Showcase Communities Grant Program (B)	66.517	Regional Applied Research Efforts (RARE) (B)
66.042	Temporally Integrated Monitoring of Ecosystems (TIME) and Long-Term Monitoring (LTM) Program (B)	66.604	Environmental Justice Small Grant Program (B)
66.050	Potomac Highlands Implementation Grants (B)	66.605	Performance Partnership Grants (A,B)
66.110	Healthy Communities Grant Program (B)	66.609	Protection of Children from Environmental Health Risks (B)
66.113	Region 3 Environmental Priority Projects (B)	66.610	Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)
66.119	West Coast Estuaries Initiative (B)	66.611	Environmental Policy and Innovation Grants (B)
66.124	Coastal Wetlands Planning Protection and Restoration Act (B)	66.612	Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B)
66.125	Lake Pontchartrain Basin Restoration Program (PRP) (B)	66.707	TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)
66.126	The San Francisco Bay Water Quality Improvement Fund (B)	66.708	Pollution Prevention Grants Program (B)
66.127	Southeastern U.S. Regional Targeted Watershed Initiative (B)	66.709	Multi-Media Capacity Building Grants for States and Tribes (B)
66.202	Congressionally Mandated Projects (B)		
66.203	Environmental Finance Center Grants (B)		

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66.715	Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)	84.126	Rehabilitation Services_Vocational Rehabilitation Grants to States (A)
66.716	Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)	84.128	Rehabilitation Services_Service Projects (B)
66.717	Source Reduction Assistance (B)	84.129	Rehabilitation Long-Term Training (B)
66.801	Hazardous Waste Management State Program Support (A)	84.132	Centers for Independent Living (B)
66.802	Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)	84.141	Migrant Education_High School Equivalency Program (B)
66.804	Underground Storage Tank Prevention, Detection and Compliance Program (A)	84.144	Migrant Education_Coordination Program (B)
66.805	Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)	84.145	Federal Real Property Assistance Program (H)
66.806	Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)	84.149	Migrant Education_College Assistance Migrant Program (B)
66.808	Solid Waste Management Assistance Grants (B)	84.153	Business and International Education Projects (B)
66.809	Superfund State and Indian Tribe Core Program Cooperative Agreements (B)	84.160	Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)
66.810	Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)	84.161	Rehabilitation Services_Client Assistance Program (A)
66.812	Hazardous Waste Management Grant Program for Tribes (B)	84.165	Magnet Schools Assistance (B)
66.813	Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)	84.169	Independent Living_State Grants (A)
66.814	Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)	84.173	Special Education_Preschool Grants (A)
66.816	Headquarters and Regional Underground Storage Tanks Program (B)	84.177	Rehabilitation Services_Independent Living Services for Older Individuals Who are Blind (B)
66.817	State and Tribal Response Program Grants (A)	84.181	Special Education-Grants for Infants and Families (A)
66.818	Brownfields Assessment and Cleanup Cooperative Agreements (B)	84.184	Safe and Drug-Free Schools and Communities_National Programs (B)
66.931	International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs (B)	84.186	Safe and Drug-Free Schools and Communities_State Grants (A)
66.940	Environmental Policy and State Sustainability Grants (B)	84.187	Supported Employment Services for Individuals with the Most Significant Disabilities (A)
<b>DEPARTMENT OF ENERGY</b>		84.191	Adult Education_National Leadership Activities (B,C)
81.041	State Energy Program (A,B,L)	84.196	Education for Homeless Children and Youth (A)
81.042	Weatherization Assistance for Low-Income Persons (A,B)	84.200	Graduate Assistance in Areas of National Need (B)
81.127	Energy Efficient Appliance Rebate Program (EEARP) (A)	84.206	Javits Gifted and Talented Students Education (B)
81.128	Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)	84.214	Even Start_Migrant Education (B)
81.131	Expand and Extend Clean Coal Power Initiative (B)	84.217	TRIO_McNair Post-Baccalaureate Achievement (B)
<b>DEPARTMENT OF EDUCATION</b>		84.220	Centers for International Business Education (B)
84.002	Adult Education - Basic Grants to States (A)	84.224	Assistive Technology (A)
84.004	Civil Rights Training and Advisory Services (B)	84.234	Projects with Industry (B)
84.011	Migrant Education_State Grant Program (A)	84.235	Rehabilitation Services Demonstration and Training Programs (B)
84.015	National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B)	84.240	Program of Protection and Advocacy of Individual Rights (A)
84.016	Undergraduate International Studies and Foreign Language Programs (B)	84.243	Tech-Prep Education (A)
84.027	Special Education_Grants to States (A)	84.246	Rehabilitation Short-Term Training (B)
84.031	Higher Education_Institutional Aid (B)	84.263	Rehabilitation Training_Experimental and Innovative Training (B)
84.042	TRIO_Student Support Services (B)	84.264	Rehabilitation Training_Continuing Education (B)
84.044	TRIO_Talent Search (B)	84.265	Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (B)
84.047	TRIO_Upward Bound (B)	84.269	Institute for International Public Policy (B)
84.048	Career and Technical Education -- Basic Grants to States (A)	84.274	American Overseas Research Centers (B)
84.060	Indian Education_Grants to Local Educational Agencies (A)	84.275	Rehabilitation Training_General Training (B)
84.066	TRIO_Educational Opportunity Centers (B)	84.286	Ready to Teach (B)
84.083	Women's Educational Equity Program (B)	84.287	Twenty-First Century Community Learning Centers (A)
84.103	TRIO Staff Training Program (B)	84.293	Foreign Language Assistance (B)
84.116	Fund for the Improvement of Postsecondary Education (B)	84.295	Ready-To-Learn Television (B)
84.120	Minority Science and Engineering Improvement (B)	84.299	Indian Education -- Special Programs for Indian Children (B)
		84.304	Civic Education - We the People and the Cooperative Education Exchange Program (B)
		84.310	Parental Information and Resource Centers (B)
		84.315	Capacity Building for Traditionally Underserved Populations (B)
		84.323	Special Education - State Personnel Development (B)
		84.324	Research in Special Education (B)
		84.325	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)
		84.326	Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)
		84.327	Special Education_Technology and Media Services for Individuals with Disabilities (B)



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84.328	Special Education_Parent Information Centers (B)	People 2010 (B)
84.329	Special Education_Studies and Evaluations (B)	93.093 Affordable Care Act (ACA) Health Profession Opportunity Grants (B)
84.330	Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)	93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)
84.333	Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (B)	93.105 Bilingual/Bicultural Service Demonstration Grants (B)
84.334	Gaining Early Awareness and Readiness for Undergraduate Programs (B)	93.107 Area Health Education Centers Point of Service Maintenance and Enhancement Awards (B)
84.335	Child Care Access Means Parents in School (B)	93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)
84.336	Teacher Quality Partnership Grants (B)	93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)
84.337	International Education_Technological Innovation and Cooperation for Foreign Information Access (B)	93.129 Technical and Non-Financial Assistance to Health Centers (B)
84.343	Assistive Technology_State Grants for Protection and Advocacy (A)	93.134 Grants to Increase Organ Donations (B)
84.350	Transition to Teaching (B)	93.137 Community Programs to Improve Minority Health Grant Program (B)
84.351	Arts in Education (B)	93.145 AIDS Education and Training Centers (B)
84.354	Credit Enhancement for Charter School Facilities (B)	93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)
84.356	Alaska Native Educational Programs (B)	93.155 Rural Health Research Centers (B)
84.359	Early Reading First (B)	93.161 Health Program for Toxic Substances and Disease Registry (B)
84.360	High School Graduation Initiative (B)	93.184 Disabilities Prevention (B)
84.361	Voluntary Public School Choice (B)	93.185 Immunization Research, Demonstration, Public Information and Education_Training and Clinical Skills Improvement Projects (B)
84.362	Native Hawaiian Education (B)	93.186 National Research Service Award in Primary Care Medicine (B)
84.363	School Leadership (B)	93.197 Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)
84.364	Improving Literacy Through School Libraries (B)	93.204 Surveillance of Hazardous Substance Emergency Events (B)
84.370	DC School Choice Incentive Program (B)	93.211 Telehealth Programs (B)
84.371	Striving Readers (A,B)	93.217 Family Planning_Services (B)
84.373	Special Education_Technical Assistance on State Data Collection (B)	93.223 Development and Coordination of Rural Health Services (A,B)
84.374	Teacher Incentive Fund (B)	93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)
84.378	College Access Challenge Grant Program (A)	93.234 Traumatic Brain Injury State Demonstration Grant Program (B)
84.381	Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B)	93.240 State Capacity Building (B)
84.382	Strengthening Minority-Serving Institutions (B)	93.243 Substance Abuse and Mental Health Services_Projects of Regional and National Significance (B)
84.385	Teacher Incentive Fund, Recovery Act (B)	93.257 Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)
84.390	Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act (A)	93.260 Family Planning_Personnel Training (B)
84.407	Transition Programs for Students with Intellectual Disabilities into Higher Education (B)	93.266 Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (B)
<b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</b>		
89.003	National Historical Publications and Records Grants (B)	93.268 Immunization Grants (B)
<b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>		
93.010	Community-Based Abstinence Education (CBAE) (B)	93.269 Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)
93.042	Special Programs for the Aging_Title VII, Chapter 2_Long Term Care Ombudsman Services for Older Individuals (A)	93.270 Adult Viral Hepatitis Prevention and Control (B)
93.043	Special Programs for the Aging_Title III, Part D_Disease Prevention and Health Promotion Services (A)	93.276 Drug-Free Communities Support Program Grants (B)
93.044	Special Programs for the Aging_Title III, Part B_Grants for Supportive Services and Senior Centers (A)	93.283 Centers for Disease Control and Prevention_Investigations and Technical Assistance (B)
93.045	Special Programs for the Aging_Title III, Part C_Nutrition Services (A)	93.290 National Community Centers of Excellence in Women's Health (B)
93.062	Biomonitoring Programs for State Public Health Laboratories (B)	93.295 Intergenerational Approaches to HIV/AIDS Prevention Education with Women across The Lifespan Pilot Program (B)
93.063	Centers for Genomics and Public Health (B)	93.296 State Partnership Grant Program to Improve Minority Health (B)
93.068	Chronic Diseases: Research, Control, and Prevention (B)	93.389 National Center for Research Resources (B)
93.069	Public Health Emergency Preparedness (B)	93.418 ARRA - Emergency Medical Services for Children (B)
93.070	Environmental Public Health and Emergency Response (B)	93.448 Food Safety and Security Monitoring Project (B)
93.086	Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)	93.449 Ruminant Feed Ban Support Project (B)
93.087	Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (B)	93.500 Pregnancy Assistance Fund Program (B)
93.088	Advancing System Improvements to Support Targets for Healthy	93.505 Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program (A,B)



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- 97.072 National Explosives Detection Canine Team Program (B)
- 97.073 State Homeland Security Program (SHSP) (A)
- 97.075 Rail and Transit Security Grant Program (B)
- 97.078 Buffer Zone Protection Program (BZPP) (B)
- 97.080 Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (B)
- 97.083 Staffing for Adequate Fire and Emergency Response (SAFER) (B)
- 97.086 Homeland Security Outreach, Education, and Technical Assistance (B,L)
- 97.089 Driver's License Security Grant Program (B)
- 97.092 Repetitive Flood Claims (B)
- 97.106 Securing the Cities (B,I,L)
- 97.107 National Incident Management System (NIMS) (B)
- 97.110 Severe Repetitive Loss Program (B)
- 97.111 Regional Catastrophic Preparedness Grant Program (RCPGP) (B)
- 97.112 Border Infrastructure Improvement Projects (B)
- 97.113 Rail and Transit Security Grant Program (ARRA) (B)
- 97.116 Port Security Grant Program (ARRA) (B)
- 97.119 2010 Olympics First Responder Training (B)
- 97.120 Border Interoperability Demonstration Project (B)
- 97.121 Radiological/Nuclear Detection Pilot Evaluations Program (B,I,L)

## Appendix II: Authorization Appendix

### Acts and Executive Orders

#### A

- AEECA-- 19.123
- AIDS Housing Opportunity Act, 42 U.S.C. 12901 et seq.-- 14.241
- Abandoned Infants Assistance Act of 1988, Section 104, Public Law 100-505, as amended-- 93.551
- Abandoned Infants Assistance Act of 1988; Section 104, Public Law, as amended; Section 101, The Child Abuse Prevention and Treatment Act (CAPTA), as amended by Public Law 111-320, the CAPTA Reauthorization Act of 2010.-- 93.551
- Accountable Pipeline Safety and Partnership Act.-- 20.723
- Act of August 13, 1968-- 10.053
- Administrative Dispute Resolution Act of 1996-- 33.001
- Adult Education and Family Literacy Act-- 17.267
- Adult Education and Family Literacy Act, (AEFLA), (Title II of the Workforce Investment Act of 1998), 20 U.S.C. 9201 et seq.-- 84.002
- Adult Education and Family Literacy Act, (AEFLA), Title II of the Workforce Investment Act of 1998, Section 243, 20 USC 9253-- 84.191
- Aeronautics and Space Act of 1958-- 43.001, 43.002, 43.003, 43.007, 43.008, 43.009, 43.010, 43.011
- Affordable Care Act (Public Law 111-148)-- 93.773
- Affordable Care Act (Public Law 111-148) Section 2707-- 93.537
- Affordable Care Act (Public Law 111-148) Section 4108-- 93.536
- Affordable Care Act Section 1322-- 93.545
- African Elephant Conservation Act, Title II Section 2001 et seq., Public Law 100-478, 102 Stat. 2315 et seq., 16 U.S.C. 201 et seq., 4211 et seq., 4221 et seq., 4241 et seq., and 1538.-- 15.620
- Age Discrimination in Employment Act of 1967,(Pub. L. 90-202), as amended, 29 U.S.C. section 621 et seq-- 30.008
- Agricultural Adjustment Act of 1938-- 10.167
- Agricultural Credit Act of 1978-- 10.054
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- Authority for the Tribal Colleges Education Equity Grants (TCEG) program is contained in the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note) as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7601 note). Appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements.-- 10.221
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Boston Harbor Islands National Recreational Area 16 U.S.C. 460kkk(d); Boston

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Boston Harbor islands National Recreation Area was established as a unit of the

national park system by the Omnibus Parks and Public Lands Management Act

of 1996 (P.L. 104-333), as amended. 16 U.S.C. 460 kkk (e)(2): Federal

Operating Committee Established at Boston Harbor Islands - The Omnibus

Parks and Public Lands Management Act of 1996 (P.L. 104-333), as amended.

16 U.S.C. 460 kkk (d): Cooperative Management of Lands Within Boston

Harbor Islands National Recreation Area - The omnibus Public land

Management Act of 2009 (P.L. 111-11) amends 16 U.S.C. 460kkk(d) NPS

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Collaboration between Department of Energy (DOE) and Department of

Agriculture (USDA) on a Biomass Research and Development Initiative is

directed under various statutory authorities, primarily the Food, Conservation,

and Energy Act of 2008 (FCEA) (Public Law 110-426) and the Energy Policy

Act of 2005 (EPAct 2005)(Public Law 109-58; Section 941). USDAs

authorization appears in Section 9008 of the Food, Conservation, and Energy

Act of 2008 (FCEA) (Public Law 110-426) which replaced section 9008 of the

Farm Security, and Rural Investment Act of 2002 (FSRIA) (Public Law

107-171) [7 U.S.C. 8108]; thereby amending section 307 of the Biomass

Research and Development Act of 2000 (BRDA) (7 U.S.C. 7624 note, and 7

U.S.C. 8101 note; Public Law 106224). Pursuant to Executive Order 13134,

BRDA can be found at (7 U.S.C. 8601 et seq). BRDA authorizes the Biomass

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Housing Act of 1954, Public Law 83-560, 12 U.S.C. 1715(b), 1715(k)-- 14.122  
Housing Act of 1959 (12 U.S.C. 1701q) as amended by Section 801 of the Cranston-Gonzalez National Affordable Housing Act (Public Law 101-625 approved November 28, 1990); The Housing and Community Development Act of 1992 (Public Law 102-550 approved October 28, 1992); The Rescissions Act (Public Law 104-19 enacted on July 27, 1995); The American Homeownership and Economic Opportunity Act of 2000 (Public Law 106-569 approved December 27, 2000); and The Consolidated Appropriations Act of 2008 (Public Law 110-161 approved December 26, 2007)-- 14.157  
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Housing Opportunity Extension Act of 1996, Section 11, as amended-- 14.247  
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Housing and Community Development Act of 1992, Section 542(c), Public Law 102-550, 12 U.S.C. 1707. HUD's fiscal year 2001 Appropriations Bill amended Section 235 of the Housing and Community Development Act of 1992 to extend the 542 Risk Sharing Program to a permanent multifamily mortgage insurance program-- 14.188  
Housing and Urban Development Act of 1965, Public Law 89-117, 12 U.S.C. 1701(s)-- 14.149  
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Hunger Prevention Act of 1988, Public Law 100-435, 102 Stat. 1647; Public Law 101-624, 104 Stat. 3359; Public Law 104-193, 110 Stat. 2105; Public Law 104-127, 110 Stat. 1029; Public Law 107-171, 116 Stat. 330; Public Law 110-246, 122 Stat. 1882; American Recovery Act and Reinvestment Act of 2009, Public Law 111-5-- 10.569

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Implementing Recommendations of the 9/11 Commission Act of 2007, Title III, Section 302 (Public Law 110-53), 6 U.S.C. 580-- 97.120

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Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450-- 15.048

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Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq., Public Law 103-413, Title II Tribal Self-Governance Act, Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001; Tribally Controlled Schools Act, Public Law 100-297, and 25 U.S.C. 2501.-- 15.047

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; American Indian Trust Fund Management Reform Act of 1994, Public Law 103-412, 25 U.S.C. 4001 et seq.-- 15.147

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Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.-- 15.042, 15.044, 15.046, 15.151

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.; The No Child Left Behind Act of 2001, Public Law 107-110, 20 U.S.C. 7401 et seq.-- 15.149

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Law Enforcement Reform Act, Public Law 101-379, 25 U.S.C. 2801.-- 15.030

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Public Law 103-413, Title II Tribal Self-Governance Act; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.-- 15.150

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Snyder Act of 1921, 25 U.S.C. 13.-- 15.025

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Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; 42 U.S.C. 4321, et seq.; National Environmental Policy Act; Solid Waste Disposal Act, 42 U.S.C. 6901-6992k; Resource Conservation and Recovery Act, Public Law 94-580; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, 42 U.S.C. 9601- 9675; 16 U.S.C. 470; National Historic Preservation Act.-- 15.041

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, 25 U.S.C. 13, Public Law 67-85, 42 Stat. 208.-- 15.037

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Endangered Species Act, Public Law 93-205.-- 15.051

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Minerals Development Act, Public Law 97-382, 98 Stat. 1938, 25 U.S.C. 2101 et seq.; Umatilla Basin Project Act, Public Law 101-557, 16 U.S.C. 1271 et seq.-- 15.038

Indian Self-Determination and Education Assistance Act, Title 1, Section 102, Public Law 93-638-- 93.722

Indian Self-Determination and Education Assistance Act, Title IV, Public Law 93-638, as amended, 25 U.S.C. 458 aa et seq.-- 15.022

Indian Self-Determination and Education Assistance Act; Public Law 93-638; as amended, 25 U.S.C. 450 et seq.-- 15.021

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Individuals with Disabilities Education Act (IDEA), as amended-- 84.323, 84.327, 84.329

Individuals with Disabilities Education Act (IDEA), as amended, 20 U.S.C. 1431-1444-- 84.181

Individuals with Disabilities Education Act (IDEA), as amended, Part B, Section 619; 20 U.S.C. 1419.-- 84.173

Individuals with Disabilities Education Act (IDEA), as amended, Part B, Sections 611(c) and 616(i), 20 U.S.C 1411.-- 84.373

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Internal Revenue Code-- 21.004  
Internal Revenue Code of 1986, as amended, Section 51-- 17.271  
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International Carriage of Perishable Foodstuff Act of 1982-- 10.167  
International Forestry Cooperation Act of 1990, Act of November 4, 1990,  
Public Law 101-513, Title VI; 104 Stat. 2070; 16 U.S.C 4501 (note), 4501-4503,  
4503a-d, 4504-4505.-- 10.684

### J

Jobs Training Bill-- 93.667  
Jobs for Veterans Act; Title 38, Part III, Chapter 41, Section 4103A; as  
amended by Public Law (P.L.) 107-288, P.L. 109-461, and P.L. 111-275.--  
17.801  
Jobs for Veterans Act; Title 38, Part III, Chapter 41, Section 4104; as amended  
by Public Law (P.L.) 107-288, P.L. 109-461, and P.L. 111-275.-- 17.804  
Johnson-O'Malley Act of April 16, 1934; as amended, 25 U.S.C. 452; Indian  
Self Determination and Education and Assistance Act, Public Law 93-638; 25  
U.S.C. 455-457.-- 15.130  
Junior Duck Stamp Conservation and Design Program Act of 1994, Public Law  
103-340, 108 Stat. 3119-3120, 16 U.S.C. 719; Reauthorization of the Junior  
Duck Stamp Conservation and Design Program Act of 1994, Public Law  
106-316, 114 Stat. 1276, 16 U.S.C. 719, Fish and Wildlife Act of 1956.-- 15.644  
Juvenile Justice and Delinquency Prevention Act of 1974-- 93.550  
Juvenile Justice and Delinquency Prevention Act of 1974, Public Law 93-415,  
18 U.S.C. 4351-4353, as amended.-- 16.603  
Juvenile Justice and Delinquency Prevention Act of 1974, as amended; Public  
Law 93-415, 18 U.S.C. 4351-4353-- 16.602  
Juvenile Justice and Delinquency Prevention Act of 1974, as amended; Public  
Law 93-415, 18 U.S.C 4351-4353-- 16.601

### K

Keweenaw NHPs Enabling Legislation  
16 U.S.C. 410yy Specifically:  
- 410yy-6 Cooperative Agreements: The Secretary, after consultation with  
the Commission, may enter into cooperative agreements with owners of property  
within the park of nationally significant historic or other cultural resources in  
order to provide for interpretive exhibits or programs.  
- 410yy-7(a) Financial and Technical Assistance: The Secretary may provide  
to any owner of property within the park containing nationally significant  
historic or cultural resources, in accordance with cooperative agreements or  
grant agreements, as appropriate, such financial and technical assistance to mark,  
interpret, and restore non-Federal properties within the park as the Secretary  
determines  
appropriate to carry out the purposes of this subchapter.  
- 410yy-8(a)(7) Keweenaw NHP Advisory Commission Establishment and  
Duties: The Commission shall be authorized to carry out historical, educational,  
or cultural programs which encourage or enhance appreciation of the historic  
resources in the park, surrounding areas, and on the Keweenaw Peninsula.--  
15.407

### L

Labor-Management Relations Act of 1947, as amended, Public Law 86-257, 29  
U.S.C. 141 et seq.; Public Law 91-375, 39 U.S.C. 1201-1209; Public Law 93-95,  
29 U.S.C. 186; Public Law 93-360, 29 U.S.C. 152, 158, 168, 169, 171, 183;  
Public Law 96-245, 29 U.S.C. 161 (4); Public Law 96-593; Public Law 97-375,  
29 U.S.C. 153(c)-- 46.001  
Lake Pontchartrain Basin Restoration Act of 2000-- 66.125  
Lake Tahoe Restoration Act, Public Law 106-506, as amended by Department of  
the Interior and Related Agencies Appropriations Act for Fiscal Year 2004,  
Public Law 108-108. New legislation has been introduced in Congress for

LTRA reauthorization and revision, but it has not yet been adopted. Adoption of  
the new updated LTRA would aid in continuation of funding.-- 10.690  
Land and Water Conservation Fund Act of 1965-- 15.660  
Legislative Authority: Section 1273 of the Public Health Service Act, (42 U.S.C.  
300d 73 ),  
as amended by P. L. 110-377, the Poison Center Support, Enhancement, and  
Awareness Act of 2008-- 93.253  
Legislative authority based on U. S. Fish and Wildlife Coordination Act of 1958,  
16 U.S.C. 661-666; Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a;  
Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; and/or specific  
Congressional action, generally through the annual Appropriations Act, i.e., The  
Department of the Interior, Environment, and Related Agencies Appropriations  
Act, that cites new or relevant environmental and/or conservation statutes and  
activities for a defined purpose consistent with the mission, expertise, and goals  
of the Agency.-- 15.664

Legislative authority for this program is contained in section 1417 of the  
National Agricultural Research, Extension and Teaching Policy Act of 1977  
(NARETPA) (99 Stat. 1548; 7 U.S.C. 3152). USDA/NIFA administers this  
federal assistance grant program to support food and agricultural sciences  
baccalaureate and Doctor of Veterinary Medicine (D.V.M.) degree training of  
the next generation of scientists, policy makers, and educators in the Food and  
Agricultural Sciences. USDA initiated the Higher Education Multicultural  
Scholars Program in FY 1994. This program, functioning collaboratively with  
eligible higher education institutions, is developing intellectual capital to secure  
the preeminence of U.S. food and agricultural systems.-- 10.220  
Longshore and Harbor Workers' Compensation Act as extended-- 17.302  
Low Income Home Energy Assistance Act of 1981, as amended.-- 93.568  
Low-Level Radioactive Waste Policy Act-- 81.104  
Lower Rio Grande Valley Water Resources Conservation and Improvement Act  
of 2000, Public Law 106-576, as amended; Lower Rio Grande Valley Water  
Resources Conservation and Improvement Act of 2002, Public Law 107-351.--  
15.521

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Maine Turtle Conservation Act of 2004-- 15.645  
Manufactured Housing Construction and Safety Standards Act-- 14.171  
Marine Mammal Protection Act of 1972, as amended-- 15.656  
Marine Protection, Research and Sanctuaries Act-- 66.203, 66.310, 66.608,  
66.709  
Marine Protection, Research and Sanctuaries Act of 1972-- 66.313, 66.931  
Marine Protection, Research, & Sanctuaries Act-- 66.110  
Marine Protection, Research, and Sanctuaries Act-- 66.035, 66.309, 66.510,  
66.511, 66.517, 66.604, 66.609, 66.610  
Maritime Education and Training Act-- 20.806, 20.807  
Maritime Transportation Security Act (46 U.S.C .Section 70107); Public Law  
111-5, American Recovery and Reinvestment Act of 2009-- 97.116  
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14.249  
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McKinney-Vento Homeless Assistance Act, Title VII, Subtitle B; Consolidated  
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Medicare & Medicaid Extenders Act of 2010-- 93.237

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Medicare Prescription Drug, Improvement, and Modernization Act of 2003--  
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Medicare Prescription Drug, Improvement, and Modernization Act of 2003,  
Public Law 108-73, Section 1011; Medicare Modernization Act (MMA)--  
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Medicare, Medicaid, and SCHIP Extension Act of 2007-- 93.442

Merchant Marine Act of 1936-- 20.803, 20.808, 20.812

Migration and Refugee Assistance Act of 1962, as amended-- 19.515

Migratory Bird Treaty Act of 1918, as amended (16 U.S.C 703-712)-- 15.670

Mine Improvement and New Emergency Response Act of 2006 (MINER Act)--  
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85-88, as amended; Taylor Grazing Act, 43 U.S.C. 315i and 315m, Section 15;  
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96-514, 94 Stat. 2964; Outer Continental Shelf Lands Act, 43 U.S.C. 1337, 67  
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2744; Southern Nevada Public Land Management Act of 1998, 31 U.S.C. 6901,  
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391, 32 Stat. 388; Chapter 139, 18 Stat. 474; 58 Stat. 745; 65 Stat. 252;  
Department of the Interior and Related Agencies Appropriations Act of 1993,  
Title I, Public Law 102-381, 106 Stat. 1378; Federal Land Transaction  
Facilitation Act, Title II, Public Law 106-248, 106 Stat. 613; Public Law 85-569,  
7 U.S.C. 1012, 72 Stat. 348; Federal Land Policy and Management Act of 1976,  
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National Affordable Housing Act, Section 808, Public Law 101-625, as

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105-185-- 10.207

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National Agriculture Research, Extension, and Teaching Policy Act of 1977,  
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National Archives and Records Administration Act of 1984-- 89.001

National Climate Program Act-- 11.432

National Defense Authorization Act-- 12.335

National Defense Authorization Act of FY 1997-- 97.025

National Energy Conservation Policy Act of 1978, Public Law 95-619 and  
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National Energy Conservation Policy Act of 1978, Public Law 95-619; ARRA  
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Public Health Service Act, Title VII, Sec. 768, 42 U.S.C. 295c, as amended by the Patient Protection and Affordable Care Act (Pub. L 111-148).-- 93.117

Public Health Service Act, Title VII, Section 736, 42 U.S.C. 293, as amended by the Patient Protection and Affordable Care Act of 2010 (P.L. 111-148) Section 5401.-- 93.157

Public Health Service Act, Title VII, Section 747, as amended by the Patient Protection and Affordable Care Act (Public Law 111-148); and the Public Health Prevention Act Section 4002, Conference Report, H. Rept. 111-366, Division D (referencing S. Rept. 111-66), accompanying the Consolidated Appropriations Act, 2010, Public Law 111-117-- 93.510

Public Health Service Act, Title VII, Section 747, as amended by the Patient Protection and Affordable Care Act (Public Law 111-148); and the Public Health Prevention Act Section 4002, Conference Report, H. Rept. 111-366, Division D (referencing S. Rept. 111-66), accompanying the Consolidated Appropriations Act, 2010, Public Law 111-117.-- 93.514

Public Health Service Act, Title VII, Section 753(a), Health Professions Education Partnerships Act of 1998, Public Law 105-392 as amended by the Patient Protection and Affordable Care Act of 2010, Public Law 111-148.-- 93.969

Public Health Service Act, Title VII, Section 755(b)(3), 42 U.S.C. 294e(3)as amended; Health Professions Education Partnerships Act of 1998; Public Law 105-392.-- 93.212

Public Health Service Act, Title VII, Section 767, as amended (42 U.S.C. 295b).-- 93.964

Public Health Service Act, Title VII, Section 768 (42 U.S.C. 295c), and the American Recovery and Reinvestment Act of 2009, Pub.L. 111-5-- 93.411

Public Health Service Act, Title VII; Section 761; 42 U.S.C. 294n, as amended; Health Professions Education Partnerships Act of 1998; Public Law 105-392-- 93.300

Public Health Service Act, Title VIII, Section 831, 42 U.S.C. 296p, as amended by the Patient Protection and Affordable Care Act (P. L. 111-148); Conference Report, H. Rept. 111-366, Division D, Title II at 997 (referencing S. Rept. 111-66), accompanying the Consolidated Appropriations Act, 2010, P.L. 111-117-- 93.503

Public Health Service Act, Title VIII, Section 835-842, 42 U.S.C. 297a-i, as amended; Health Professions Education Partnership Act of 1998, Public Law 105-392-- 93.364

Public Health Service Act, Title VIII, Section 846A, 42 U.S.C. 297n-1 and the American Recovery and Reinvestment Act of 2009, Public Law 111-5, as amended by the Affordable Care Act of 2010, Public Law 111-148, Section 5311.-- 93.408

Public Health Service Act, Title XII, Section 1252 (42 USC 300d-52) as amended by the Childrens Health Act of 2000, sec.1304, PL 106-310, as further amended by the Traumatic Brain Injury Act of 2008, sec. 6(a), PL 110-206-- 93.234

Public Health Service Act, Title XII, Section 1253, as amended by the Childrens Health Act of 2000, sec.1304, PL 106-310, as further amended by the Traumatic Brain Injury Act of 2008, sec. 6(b), PL 110-206-- 93.267

Public Health Service Act, Title XIX, Section 1910, (42 U.S.C. 300w-9); as amended by Section 5603 of The Patient Protection and Affordable Care Act, P.L. 111-148-- 93.127

Public Health Service Act, Title XXVI, Part A, as amended, Public Law 109-415; Ryan White HIV/AIDS Treatment Extension Act of 2009-- 93.914

Public Health Service Act, Title XXVI, Part B, as amended, Public Law 106-415, Ryan White HIV/AIDS Treatment Extension Act of 2009.-- 93.917

Public Health Service Act, Title XXVI, Part F, as amended, Public Law 109-415; Ryan White HIV/AIDS Treatment Modernization Act of 2006.-- 93.928

Public Health Service Act, as amended, Sections 301 and 464H, and 42 U.S.C. 290Gb; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564-- 93.273

Public Health Service Act, as amended, Title III, Part A, Section 301; Health Research Extension Act of 1985, Public Law 99-158, 42 U.S.C. 241; Title IV, Part B, Section 405; 42 U.S.C. 284; Part C, Section 455; 42 U.S.C. 285i; Health Omnibus Programs Extension Act of 1988, Section 487(d); Public Law 100-607, 42 U.S.C. 288(d); Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.-- 93.867

Public Health Service Act, as amended, Title XVII, Section 1707 (e)(1), 42 U.S.C. 300u et seq.-- 93.296

Public Health Service Act, as amended; Omnibus Budget Reconciliation Act of 1981, Title XIX, Section 1905, Public Law 97-35, as amended; Preventive Health Amendments of 1984, Public Law 98-555; Health Omnibus Programs Extension Act of 1988, Public Law 100-607; Preventive Health Amendments of 1992, Public Law 102-531.-- 93.991

Public Health Service Act; Title IV, Subtitle D, Part G, Section 487E, as amended; Public Law 106-554; 42 U.S.C. 288-5.-- 93.308

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Public Law 100-370, Section 1(g)(3), 1023 Stat. 846, 10 U.S.C. 2368(a); Public Law 100-456, Division A, Title II, Section 204; 84 Stat. 908, 10 U.S.C. 2358(b)(1), (c); 95 Stat. 1404, 1405, 10 U.S.C. 2361; Includes but not limited to American Recovery and Reinvestment Act (ARRA) funds-- 12.800

Public Law 101-218-- 81.087

Public Law 103-399; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450; Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Indian Lands Open Dump Cleanup Act of 1994, 108 Stat. 4164.-- 15.052

Public Law 105-277, Div. A, Section 101(e) Title III, Section 343, 112 Stat. 2681-231, 2681-297; Cooperative Forestry Assistance Act of 1978, as amended, 16 USC 2101 et. seq.; Forest and Rangeland Renewable Resources Act of 1978, as amended, 6 USC 1600-1614-- 10.681

Public Law 105-277, Section 323 as amended by Public Law 109-54 Section 434. This program has been permanently authorized, Public Law 111-11.-- 10.693

Public Law 106-181-- 20.930

Public Law 109-432, 120 STAT 3000.-- 15.435

Public Law 110-161, Organic Act 1879, 43 U.S.C. 31-- 15.815

Public Law 110-69 (America COMPETES Act of 2007), TITLE VI Education, Subtitle A Teacher Assistance, PART I Teachers For A Competitive Tomorrow-- 84.381

Public Law 110 234, Food, Conservation, and Energy Act of 2008, Rural Revitalization Technologies (7 U.S.C. 6601)-- 10.674

Public Law 111-5 American Recovery and Reinvestment Act of 2009-- 97.115

Public Law 111-83, Department of Homeland Security Appropriations Act, 2010 (Title III Protection, Preparedness, Response, and Recovery); Public Law 110-53, Implementing Recommendations of the 9/11 Commission Act of 2007; and Public Law 109-13, Real ID Act of 2005-- 97.089

Public Law 66-259; 29 U.S.C. 11-16-- 17.700

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Public Law 87-778 (76 Stat. 806, 16 U.S.C. 582a, et seq.) signed into law on October 10, 1962 is also known as the McIntire-Stennis Cooperative Forestry Research Act.-- 10.202

Public Law 93-320, 59 Stat. 1219, 43 U.S.C. 1571-1573 and U.S.C. 1592(c), as amended; Sec. 2, Public Law 104-20, 43 U.S.C. 1592; Title III, Subtitle D, Chapter 4, Public Law 104-127, 110 Stat. 1006; Public Law 106-459, 114 Stat. 1987; and American Reinvestment Act of 2009, Public Law 111-5.-- 15.509

Public Law 95-238, Section 207-- 81.087

Public Law 95-600, 92 Stat. 2810-- 21.006

Public Law 95-91 DOE Organization Act of 1977, as amended by Public Law 109-58 Energy Policy Act 2005. Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-557; Energy Policy and Conservation Act, Public Law 94-163.-- 81.089

Public Law 95-911 and Public Law 97-377-- 81.086

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Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96- 487, 94 Stat. 2371, 16 U.S.C. 3101; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat. 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Public Law 103-399; Indian Lands Open Dump Cleanup Act of 1994, 108 Stat. 4164.-- 15.053

Public Law 97-394, 96 Stat. 1976, 28 U.S.C. 2415; Indian Claims Limitation Act of 1982; Public Law 98-250; Public Law 96-487, 94 Stat. 2371, 16 U.S.C.

3101 et seq.; Alaska National Interest Lands Conservation Act; Public Law 92-203, 106 Stat 2112-2125, 43 U.S.C. 1601; Alaska Native Claims Settlement Act; Public Law 103-399, 108 Stat. 4164; Indian Lands Open Dump Cleanup Act of 1994; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.-- 15.036

Public Laws 54-249, 62-426, 71-537, 76-77, and 94- 206, 29 U.S.C. 1, 29 U.S.C. 2b.-- 17.004

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Public Laws 62-426, 71-537, 91-596 and 94-206, 29 U.S.C. 1-2; 29 U.S.C. 2b; 29 U.S.C. 4; 5 U.S.C. 5305; 29 U.S.C. 651; 29 U.S.C. 673.-- 17.005

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Reclamation Rural Water Supply Act of December 22, 2006 (Pub. L. 109-451, Title I, 120 Stat. 3346, 43 U.S.C. 2401, et seq.)-- 15.548

Reclamation States Emergency Drought Relief Act of 1991, Title II, Public Law 102-250, 43 U.S.C. Section 2201-2214, as amended; Hawaii Water Resources Act of 2000, Title II, Public Law 106-566.-- 15.514

Reclamation Wastewater and Groundwater Study and Facilities Act, Title XVI, Public Law 102-575, as amended; Reclamation Recycling and Water Conservation Act of 1996, Public Law 104-266; Oregon Public Lands Transfer and Protection Act of 1998, Public Law 105-321; Consolidated Appropriation Act of 2000, Public Law 106-544; Hawaii Water Resources Act of 2000, Public Law 106-566; Lakehaven Utilities District, WA, Project, 2002, Public Law 107-344; Consolidated Appropriations Resolution, 2003, Public Law 108-7; San Diego Creek Watershed, CA, Project, 2004, Public Law 108-233; Williamson County, TX, Project, Public Law 108-316; Hawaii Water Resources Act of 2005, Public Law 109-70.-- 15.504

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Rehabilitation Act of 1973, as amended,-- 84.128

Rehabilitation Act of 1973, as amended, Title VII, Chapter 1, Part B-- 84.169

Rehabilitation Act of 1973, as amended, Title VII, Chapter 1, Part C-- 84.132

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Reimbursement of Travel and Subsistence Expenses toward Living Organ

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Donation: Section 377 of the Public Health Service (PHS) Act, as amended, 42 U.S.C. Section 274f. Clinical Interventions to Increase Organ Procurement (CIOP): Section 377A of the Public Health Service (PHS) Act, as amended, 42 U.S.C. Section 274f-1(b). Social and Behavioral Interventions to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, as amended, 42 U.S.C. Section 274f-1. Public Education Efforts to Increase Solid Organ Donation: Section 377A of the Public Health Service (PHS) Act, as amended, 42 U.S.C. Section 274f-1. Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation (DTCPIOD): Public Health Service Act, Section 377A, as amended, 42 U.S.C. Section 274f-1(d)-- 93.134 Requires Annual Department of the Interior, Environment, and Related Agencies Appropriations direction to implement.-- 10.672

Research and Training for Eastern Europe and the Independent States of the Former Soviet Union Act of 1983, Public Law 90-164, Title VIII, 97 Stat. 1948, as amended by Public Law 103-199.-- 19.300

Residential Lead-Based Paint Hazard Reduction Act of 1992-- 14.900, 14.905

Resource Conservation and Recovery Act (RCRA), Public Law 95-480-- 81.136

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Rhinoceros and Tiger Conservation Act of 1994, Public Law 103-391, 108 Stat. 4094 et seq., 16 U.S.C. 5301 et seq., as amended by the Rhino and Tiger Product Labeling Act of 1998, Public Law 105-312, 112 Stat. 2956 et seq., 16 U.S.C. 5301 et seq.-- 15.619

Richard B. Russell National School Lunch Act-- 10.585

Richard B. Russell National School Lunch Act, Sections 9, 13 and 14, as amended, 42 U.S.C. 1758, 1761 and 1762a.-- 10.559

Richard B. Russell National School Lunch Act, as amended, 42 U.S.C. 1751 1760, 1779;-- 10.555

Richard B. Russell National School Lunch Act, as amended, 42 U.S.C. 1751, 1758, 1759a, 1761, 1765, 1766, 1769, 1772, 1773, 1779; School Breakfast Program (SBP); Child Nutrition Act of 1966, as amended, Public Laws 108-265, 104-193, 100-435, 99-661, 97-35; Special Milk Program (SMP); Child Nutrition Act of 1966, as amended; Child and Adult Care Food Program (CACFP); 89 Stat. 522-525, Summer Food Service Program (SFSF); American Recovery Act and Reinvestment Act of 2009, Public Law 111-5. The 2010 Agriculture Appropriations Act (Public Law 111-80).-- 10.579

Richard B. Russell National School Lunch Act, as amended, Sections 9, 11, 14, 16 and 17, as amended, 89 Stat. 522-525, 42 U.S.C. 1758, 1759a, 1762a, 1765 and 1766.-- 10.558

Riegle Community Development and Regulatory Improvement Act of 1994-- 21.012, 21.020

River and Harbor Act of 1960, Section 107, as amended, Public Law 86-645, 33 U.S.C. 577.-- 12.107

River and Harbor Act of 1962, Section 103, as amended, Public Law 87-874, 33 U.S.C. 426g-- 12.101

Robert T. Stafford Disaster Relief and Emergency Act-- 97.046

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Robert T. Stafford Disaster Relief and Emergency Assistance Act (The Stafford Act); Sections 408(b)(1); and 306(a)-- 97.109

Robert T. Stafford Disaster Relief and Emergency Assistance Act as amended by Public Law 106-390, including Section 701(b); Title 44 Code of Federal Regulations.-- 97.084

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 U.S.C. 5121 et seq.-- 97.031

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 U.S.C. 5121-5206.-- 97.036

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended-- 97.050

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390.-- 97.048, 97.049

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Rural Electrification Act of 1936, as amended, 7 U.S.C. 901-950.-- 10.850

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.-- 10.857, 10.858, 10.859

Rural Electrification Act of 1936, as amended, Title III, 7 U.S.C. 930-940c.-- 10.854

Rural Electrification Act of 1936, as amended, Title VI; 7 U.S.C. 950bb-- 10.886

Rural Electrification Act of 1936, as amended, Titles II and III, 7 U.S.C. 921, 922-924, and 930-940.-- 10.851

### S

SMART Defense Education Program-- 12.631

#### SPECIAL NOTES:

- (1) Numerous Programs are funded under CFDA 10.500.
- (2) Listed below are several programs, which are indicative of the types of projects currently funded under CFDA 10.500. However, the listing is not exhaustive.

#### 1. SMITH-LEVER 3(b) & (c):

(a) Cooperative Extension Programs at 1862 Land-Grant Institutions (aka 3b & c Formula Funds) (FORMULA)

Sections 3(b) and 3(c) of the Smith-Lever Act provide funding for agricultural extension programs at 1862 Land-grant universities.

(b) Cooperative Extension Programs at 1862 Land-Grant Institutions (Special Needs) aka ESPN Special Needs (FORMULA)

Sections 3(b)(1) and 8 of the Smith-Lever Act provide the basis of funding special needs agricultural extension programs at 1862 Land-grant institutions.

(c) Smith-Lever Special Needs Program (aka ESPN Special Needs Projects) Section 7129 of the Food, Conservation, and Energy Act of 2008 (FCEA), re-authorizes Section 3(b) & (c) of the Smith-Lever Act, allowing the Secretary of Agriculture, acting through the Director of the National Institute of Food and Agriculture (NIFA), to conduct competitive grant programs to State Extension Services at 1862 Land-Grant Institutions to support innovative, education-based approaches to addressing emergency preparedness and specific responses related to natural and man-made disasters.

(d) CSRS Retirement Contributions Program (aka ERET CSRS Retirement) (FORMULA)

Funds available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.

(e) FERS Retirement Contributions Program (aka ERET FERS Retirement) (FORMULA)

Federal funds are available for distribution under the Smith-Lever Act, Section 3(b) and (c), statutory formula.

(f) District of Columbia Public Postsecondary Education Reorganization Act Program (Cooperative Extension Programs) aka EUDC

Sections 208 of the District of Columbia Public Postsecondary Education Reorganization Act provides, in pertinent part, that In the administration of the Act of August 30, 1890 (7 U.S.C. 321-326, 328) (known as the Second Morrill Act), the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301-305, 307, 308) (known as the First Morrill Act); and the term "State", is used in the laws and provisions of law listed in the preceding paragraphs of this section shall include the District of Columbia. In the administration of the Act of May 8, 1914 (7 U.S.C. 341-346, 347a-349) (known as the Smith-Lever Act) the University [of the District of Columbia] shall be considered to be a university established for the benefit of agriculture and the mechanic arts in accordance with the provisions of the Act of July 2, 1862 (7 U.S.C. 301- 305, 307,308); and the term "State" as used in such Act of May 8, 1949, shall include the District of Columbia, except that the District of Columbia shall not be eligible to receive



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any sums appropriated under section 3 of such Act. In lieu of an authorization of appropriations for the District of Columbia under section 3 of such Act of May 8, 1914, there is authorized to be appropriated such sums as may be necessary to provide cooperative agricultural extension work in the District of Columbia under such Act. Any reference in such Act (other than section 3 thereof) to funds appropriated under such Act shall in the case of the District of Columbia be considered a reference to funds appropriated under this subsection.

Therefore, this grant funds the development of practical applications of research knowledge and giving of instruction and practical demonstrations of existing or improved practices or technologies in agriculture, uses of solar energy with respect to agriculture, home economics, and rural energy, and subjects relating thereto to persons not attending the University of the District of Columbia, and imparting information on those subjects through demonstrations, publications, and otherwise and for the necessary printing and distribution of information in connection with the subjects.

Section 7417 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-234) amended section 208 of the District of Columbia Public Postsecondary Education Reorganization Act to eliminate any matching requirement for the extension formula funds provided to the University of the District of Columbia, effective October 1, 2008.

2. Agricultural Extension at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University (Section 1444) (FORMULA)

Section 1444 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), enacted as Title XIV of Public Law 95-113 (The Food and Agriculture Act of 1977) on Sept. 29, 1977, is also known as the Section 1444 Program. This law provides the basis for Federal funding for agricultural extension activities at 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University.

3. SMITH-LEVER 3(d):

(a) Expanded Food and Nutrition (EFNEP) (ENUT Nutrition Education) (FORMULA)

Section 3(d) of the Smith-Lever Act provides that the Secretary of Agriculture may fund extension work in the several States, Territories, and possessions. Section 1425 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (as amended) (7 U.S.C. 3175) provides the statutory formula for the Expanded Food and Nutrition Education Program (EFNEP). This program supports Federal funding for extension activities associated with disseminating the results of food and nutrition research performed or funded by the U.S. Department of Agriculture to enable low-income individuals and families to engage in nutritionally sound food purchase and preparation practices. Funding extends to EFNEP at State land-grant colleges established under the Morrill Act of July 2, 1862, as amended, and the Morrill Act of August 30, 1890, as amended, including Tuskegee University and West Virginia State University. Section 7116 of the Food, Conservation, and Energy Act of 2008 (FCEA) amended Section 1425 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3175) to accomplish various goals as indicated in Part I.A. of the Formula Grant Opportunity (FGO).

(b) Youth at Risk

Pertinent details will be provided at a future date.

(c) Improve Rural Quality of Life Represents a new program; pertinent details will be provided at a future date.

(d) Farm Safety

Pertinent details will be provided at a future date.

(e) New Technologies at Ag Extension

Pertinent details will be provided at a future date.

(f) Pest Management

Pertinent details will be provided at a future date.

(g) Sustainable Agriculture (SARE-PD)

Pertinent details will be provided at a future date.

(h) Federally Recognized Tribes

Pertinent details will be provided at a future date.

(i) Youth Farm Safety Education & Certification

Pertinent details will be provided at a future date.

(j) EIPM Support

Pertinent details will be provided at a future date.

(k) EIPM Coordination

Pertinent details will be provided at a future date.

4. OTHER EXTENSION ACTIVITIES:

(a) Renewable Resources Extension Act (FORMULA)

The Renewable Resources Extension Act of 1978 (P.L. 95-306, 92 Stat. 349, 16 U.S.C. 1671 et seq.) provides for an expanded and comprehensive extension program for forest and rangeland renewable resources. The majority of the appropriated funds are distributed to eligible institutions based on a formula that considers the geographic extent, ecosystem productivity, economic contribution, and population for each state.

Since FY 2002, a small amount of these funds have been used to fund National Focus Fund Projects which have served to expand comprehensive extension programs for forest and rangeland renewable resources on a national, regional, or multi-institutional scale through better program coordination, innovative technologies, and extension models that can be easily duplicated.

(b) Rural Health and Safety

The authority for this program is under Section 502 (i) of Title V of the Rural Development Act of 1972, as amended (7 U.S.C. 2662). The Omnibus Appropriations Act, 2009 (Pub. L. 111-8) appropriates funds under Division A, Title I. The Rural Health and Safety Education Competitive Program addresses the Individual and Family Health Education component of the authorization.

(c) Extension Services at the 1994 Institutions

This program is authorized under Section 534(b) of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 201 note), as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7601). This section amends Section 3 of the Act of May 8, 1914 (Smith-Lever Act) (7 U.S.C. 341 et seq.), as amended. Under this authority, appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 institutions) for Extension work and funds are to be distributed on the basis of a competitive application process.

(d) Grants to Youth Serving Institutions

Title IV of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7630) authorized the Secretary of Agriculture to make grants to the Girl Scouts of the United States of America (GSUSA), the Boy Scouts of America (BSA), the National 4-H Council (4-H Council), and the National FFA Organization (FFA). Section 7309 of the Food, Conservation, and Energy Act (FCEA) of 2008 reauthorized 7 U.S.C. 7630, which was also amended to provide additional flexibility in content delivery to each organization receiving funds and to allow recipients to redistribute all or part of the funds to individual councils or local chapters without further need of approval from the Secretary. In FY 2009, Terms and Conditions of these awards should facilitate the redistribution without further need of approval. The Omnibus Appropriations Act, 2009 (Pub. L. 111-8) appropriates funds under Division A, Title I for grants to youth organizations pursuant to 7 U.S.C. 7630.

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(e) Food Animal Residue Avoidance Database Program (FARAD)  
Title VI Section 604 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7642) states that -The Secretary of Agriculture shall continue operation of the Food Animal Residue Avoidance Database program (referred to in this section as the FARAD program) through contracts, grants, or cooperative agreements with appropriate colleges or universities.

(f) Federal Administration  
DIRECT APPROPRIATION

Pertinent details will be provided at a future date.

(g) 1890 Facilities (Section 1447) (FORMULA)

Pursuant to the authority contained in Section 1447 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) [7 U.S.C. 3222b], and reauthorized by Section 7123 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246) grants will be awarded under the Facilities Grants Program to the 1890 land-grant institutions, including Tuskegee University and West Virginia State University. The Omnibus Appropriations Act, 2009 appropriates funds under Division A, Title I.-- 10.500

Safe Drinking Water Act-- 66.035, 66.110, 66.113, 66.203, 66.309, 66.310, 66.313, 66.424, 66.474, 66.478, 66.509, 66.510, 66.511, 66.513, 66.514, 66.516, 66.517, 66.600, 66.604, 66.608, 66.610, 66.611, 66.612, 66.709, 66.717, 66.931, 66.940, 66.952

Safe Drinking Water Act (SDWA) Amendments of 1996-- 66.468, 66.471

Safe Drinking Water Act Amendments of 1986-- 66.432, 66.433

Safe Drinking Water Act Amendments of 1996-- 66.432, 66.433

Safe Drinking Water Act of 1974-- 66.432, 66.433

Safe, Accountable, Efficient, Flexible Transportation Equity Act: A legacy for Users (SAFETEA-LU)-- 20.521

Safe, Accountable, Flexible, Efficient & Transportation Equity Act: A Legacy for users (SAFETEA-LU)-- 20.516

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users-- 20.513

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-- 20.200, 20.215, 20.232, 20.235, 20.240, 20.320, 20.505, 20.514, 20.515, 20.519, 20.522

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-- 20.205, 20.219

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU); Consolidated, Security, Disaster Assistance and Continuing Appropriations Act 2009-- 20.314

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA LU)-- 20.237

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA\_LU)-- 20.762

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2004-- 20.701

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA- LU)-- 20.761

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-- 20.518

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2004, Section 2007-- 20.601

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005-- 20.602, 20.610, 20.931

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 1906-- 20.611

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for

Users (SAFETEA-LU) of 2005, Section 2010-- 20.612

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2011-- 20.613

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 406-- 20.609

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA-LU)-- 20.764

Safe, Accountable, Flexible, and Efficient Transportation Act: A Legacy of Users (SAFETEA-LU)-- 20.231

San Gabriel Basin Restoration Project, Appendix D, Division B, Title I, Section 110, Public Law 106-554, as amended; Energy and Water Development Appropriations Act, 2002, Title II, Section 202, Public Law 107-66; and Section 2 of Reorganization Plan Number 3 of 1950, 64 Stat. 1262, as amended.-- 15.526  
San Luis Unit, Central Valley Project Act of June 3, 1960, Public Law 86-488, 74 Stat. 156, Section 5.-- 15.527

Scholarships for Opportunity and Results (SOAR) Act, (Division C of Public Law 112-10, the Department of Defense and Full-Year Continuing Appropriations Act, 2011)-- 84.370

Sec 398 of the Public Health Service Act (P.L. 78-410; 42 U.S.C. 280c-3-- 93.051

Section 1003(g)-- 84.377

Section 102(b)(6)-- 84.019

Section 103 (a) (1); Section 103 (a) (7) of Public Law 107-327; Public Health Service Act, Section 307.-- 93.017

Section 104(i)(14)(15)and (17) of the Comprehensive Environmental Response, Compensation and Liability Act; 42 U.S.C. 9604; Sections (i)(14)(15), and (17), as amended.-- 93.202

Section 105 of the Rail Safety Improvement Act of 2008-- 20.321

Section 1110 of the Social Security Act governing Social Services Research and Demonstration activities; the Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act of 2004.-- 93.009

Section 1132(c) of The Housing and Economic Recovery Act of 2008 Public Law 110-289-- 21.010

Section 114 of the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV)-- 84.051

Section 123 of P.L. 110-275, the Medicare Improvements for Patients and Providers Act of 2008 (MIPPA); Section 711 (b) of the Social Security Act (42 U.S.C. 912(b))as amended by section 432 of the Medicare Prescription Drug Improvement and Modernization Act of 2003-- 93.155

Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act (NARETPA) of 1977, as amended (7 U.S.C. 3121).-- 10.314

Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended (7 U.S.C. 3121), designates the U. S. Department of Agriculture (USDA) as the lead Federal Agency for agricultural research, extension, and teaching in the food and agricultural sciences. Authority for this program is contained in the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note), as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7601 note). In accordance with the statutory authority, subject to the availability of funds, the Secretary of Agriculture may award competitive grants, as defined in section 536 of the Equity in Educational Land Grant Status Act of 1994 (7 U.S.C. 301 note), to assist the 1994 Land-Grant Institutions in conducting agricultural research that addresses high priority concerns of tribal, national or multi-state significance.-- 10.227

Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, (7 U.S.C. 3121) designates the U.S.

Department of Agriculture (USDA) as the lead Federal agency for agriculture research, extension and teaching in the food and agricultural sciences. Section 7109 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) amends the authority for this program contained in section 1417(j) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended

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(7 U.S.C. 3152(j))-- 10.226

Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, (7 U.S.C. 3121) designates the U.S. Department of Agriculture (USDA) as the lead Federal agency for agriculture research, extension and teaching in the food and agricultural sciences. Section 7109 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) amends the authority for this program contained in section 1417(j) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3152(j)). In accordance with the statutory authority, subject to the availability of funds, the Secretary of Agriculture (USDA), who has delegated the authority to the Director of the National Institute of Food and Agriculture (NIFA), will award grants to: (a) promote and strengthen secondary and 2-year postsecondary agriscience and agribusiness education, and Agriculture in the K-12 Classroom, in order to help ensure the existence in the United States of a qualified workforce to serve the food and agricultural sciences system; and (b) promote complementary and synergistic linkages among secondary, 2-year postsecondary, and higher education programs in the food and agricultural sciences in order to attain excellence in education and to encourage more young Americans to pursue and complete a baccalaureate or higher degree in the food and agricultural sciences.-- 10.226

Section 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), enacted as Title XIV of Public Law 95-113 (The Food and Agriculture Act of 1977) on Sept. 29, 1977 is also known as the Evans-Allen Research Program. This law provides the basis for Federal funding for agricultural research activities at 1890 Land-Grant Institutions under the Act of August 30, 1890 (26 Stat. 417419, as amended; 7 U.S.C. 321326 and 328), including Tuskegee University and West Virginia State University. Amended by Public Law 95-547, Public Law 97-98, Public Law 99-198, Public Law 101-624, Public Law 104-127 and Public Law 105-185.-- 10.205

Section 1497-- 14.264

Section 1619-1624 of the Food, Agriculture, Conservation and Trade Act of 1990 (FACTA), Public Law 101-624 (7 U.S.C. 5801)-- 10.215

Section 1622 of FACTA (7 U.S.C. 5812), and for selected national projects-- 10.215

Section 1672D of the Food, Agriculture, Conservation and Trade Act of 1990 (7 U.S.C. 5925f)-- 10.319

Section 1820(g)(3) of Social Security Act (42 U.S.C. 1395i-4 (g) (3)), as amended by Section 3129 of the Patient Protection and Affordable Care Act (PPACA)-- 93.301

Section 2 (c), Public Law 89-106, 7 U.S.C. 450i(c), as amended-- 10.200

Section 2(b)(2) of Public Law 98-244-- 10.683

Section 2(c)(1)(B) of Public Law 89106, as amended.-- 10.303

Section 2008 (b) of the Social Security Act, as added by section 5507 (b) of the Affordable Care Act; and section 4002 of the Affordable Care Act, Public Law 111-148-- 93.512

Section 202b of Title II of the Housing Act of 1959, 12 U.S.C. 1701q-2 and Consolidated Appropriations Act, 2010 (Public Law 111-117)-- 14.315

Section 202b of the Housing Act of 1959, as amended and the Consolidated Appropriations Act, 2010 (Public Law 111-117)-- 14.314

Section 216 of the Flood Control Act of 1950-- 10.923

Section 229 of the Agricultural Research, Extension and Education Reform Act of 1998 (AREERA) amended Section 1459 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. Section 3292b) to authorize the Secretary of Agriculture to make competitive grants to colleges and universities in order to strengthen United States economic competitiveness and to promote international market development.

Section 7141 of the Food, Conservation, and Energy Act of 2008 (7 U.S.C. 8701 note) authorized the International Science and Education Competitive Grants Program (ISE)-- 10.305

Section 25 of the Food Stamp Act of 1977 (7 U.S.C. 2034), as amended by the Food and Nutrition Act of 2008 and Section 4402 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Public Law 110-246), Section (h) (9) (A)--

10.316

Section 2692 of the Public Health Service Act (42 U.S.C. 300ff-111), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 111-87)-- 93.145

Section 29 of the State Department Basic Authorization Act-- 19.024

Section 301 and Title IV of the Public Health Service Act, as amended.-- 93.859

Section 301 of the Public Health Service Act, as amended (42 U.S.C. 241(a)); Public Law 111-8-- 93.256

Section 301 of the Public Health Service Act, as amended.-- 93.528

Section 301(a) of the Public Health Service Act [42 U.S.C. Sections 241], as amended-- 93.056

Section 301(a) of the Public Health Service Act [42 U.S.C. Sections 241], as amended-- 93.055

Section 3012(c) of the Public Health Service Act (PHSA), as added by Section 13301 within Title XIII in Division A of the American Recovery and Reinvestment Act of 2009, Public Law 111-5 (ARRA)-- 93.718

Section 3016 of the Public Health Service Act (PHSA), as added by Section 13301 within Title XIII in Division A of the American Recovery and Reinvestment Act (ARRA) of 2009, Public Law 111-5-- 93.721

Section 3021 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act A Legacy for Users (SAFETEA-LU) enacted August 10, 2005 [Public Law 109-59], established a new program called the Alternative Transportation in Parks and Public Lands program. The name of the program was changed to the Paul S. Sarbanes Transit in the Parks under the SAFETEA-LU Technical Corrections Act, 2008.-- 20.520

Section 310 of the Family Violence Prevention and Services Act, as amended by Section 201 of the CAPTA Reauthorization Act of 2010, Pub. L. 111-320-- 93.592, 93.671

Section 317 (k)(2) and 3171 of the Public Health Service Act, [42 U.S.C. Sections 247b and 247b-10], as amended.-- 93.197

Section 317(j) of the Public Health Service Act (42 U.S.C. 247b(j)) reauthorized in Section 4204 of the Patient Protection and Affordable Care Act-- 93.268

Section 317(k)(3) of the Public Health Service Act, [42 U.S.C. 247b (k)(3), as amended.

Sections 307 and 317(k)(2) of the Public Health Service Act, [42 U.S.C. 2421 and 247b (k)(2), as amended-- 93.065

Section 319C-2 of the Public Health Service (PHS) Act, as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) of 2006, Public Law 109-417-- 93.889

Section 32 of the Agricultural Adjustment Act of August 24, 1935-- 10.103, 10.104

Section 330A (f) of the Public Health Service Act, 42 U.S.C. 254(c) (e) (f), as amended by section 201, P.L. 107-251 of the Health Care Safety Net Amendments of 2002.-- 93.912

Section 330A-1 of the Public Health Service Act (42 U.S.C. 254b et seq.) as added by Section 5208 of the Patient Protection and Affordable Care Act, Public Law 111-148; and Section 4002 of the Patient Protection and Affordable Care Act, Public Law 111-148-- 93.515

Section 338B of the Public Health Service (PHS) Act (42 United States Code Section 2541-1), as amended by P.L. 111-148, Affordable Care Act.-- 93.547

Section 338B of the Public Health Service (PHS) Act (42 United States Code Section 2541-1), as amended; Section 331(i) of the PHS Act (42 USC 254d(i)), as amended by Section 10503 of the Affordable Care Act (P.L. 111-148)-- 93.162

Section 340E of the Public Health Service Act (42 U.S.C. 256e), as amended by the Childrens Hospital GME Support Reauthorization Act of 2006-- 93.255

Section 340H of the Public Health Service Act, as added by Section 5508 of the Patient Protection and Affordable Care Act of 2010 (Pub. L. 111-148)-- 93.530

Section 3508 National Defense Authorization Act-- 20.814

Section 399M of the PHS Act, (42 U.S.C. 280g-1), as amended by the Early Hearing Detection and Intervention Act of 2010-- 93.251

Section 406 of the Agricultural Research, Extension, and Education Reform Act

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of 1998 (AREERA) (7 U.S.C. 7626), as reauthorized by Section 7306 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246), authorized the Secretary of Agriculture to establish a competitive grants program that provides funding for integrated, multifunctional agricultural research, extension, and education activities. Subject to the availability of appropriations to carry out this program, the Secretary may award grants to colleges and universities [as defined by section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. 3103)], as amended, on a competitive basis for projects that address priorities in United States agriculture and involve integrated research, education, and extension activities, as determined by the Secretary in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB). Section 7129 of the FCEA amended section 406(b) of AREERA (7 U.S.C. 7626(b)), adding Hispanic-serving agricultural colleges and universities (HSACUs) as eligible entities for competitive funds awarded under this authority (see Part III.B. of RFA for more information).-- 10.303

Section 4128 of the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) Public Law 109-59, 119 Stat. 1144 (2005), as amended.-- 20.234

Section 417C of the Public Health Service Act, 42 U.S.C. 285a-9, as amended by the Radiation Exposure Compensation Act Amendments of 2000 (P. L. 106-245)-- 93.257

Section 439 of the Social Security Act as amended by the Child and Family Services Improvement Act of 2006 (<http://www.acf.hhs.gov/programs/fysb/content/aboutfysb/documents>)-- 93.616

Section 487 of the Public Health Service Act and Division D, Title II, Section 218 of the Consolidated Appropriations Act of 2010, Public Law 111-117-- 93.186

Section 5 of the Assistive Technology Act of 1998, as amended.-- 84.343

Section 5 of the Farmer-to-Consumer Direct Marketing Act of 1976, Public Law 94-463, as amended by Section 10605 of the Farm Security and Rural Investment Act of 2002, Public Law 107-171.-- 10.168

Section 5 of the Pipeline Inspection, Protection, Enforcement, and Safety Act of 2006-- 20.710

Section 5102 of the Affordable Care Act; and section 4002 of the Patient Protection and Affordable Care Act, Public Law 111-148-- 93.509

Section 514 of the Multifamily Assisted Housing Reform and Affordability Act of 1997 (MAHRA)-- 14.322

Section 522(d) of the Agricultural Risk Protection Act of 2000; 7 U.S.C. 1501 section 522(d)-- 10.456

Section 6043, Emergency Room Co-payments for Non-Emergency Care, Deficit Reduction Act of 2005, Public Law 109-171, enacted February 8, 2006.-- 93.790

Section 6063, Deficit Reduction Act of 2005, Public Law 109-171.-- 93.789

Section 6071, Public Law Deficit Reduction Act of 2005, Public Law 109-171.-- 93.791

Section 611 of the Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today Act of 2003 (PROTECT Act), Public Law 108-21, 42 U.S.C. 13975, as amended;-- 16.736, 16.805

Section 632(a) of the Foreign Assistance Act of 1961 (22 U.S.C. 2151)-- 10.324

Section 634 of the Foreign Assistance Act of 1961, as amended-- 19.124, 19.600

Section 7 (k) of the Department of Housing and Urban Development-- 14.529

Section 7106 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Public Law 110-246) amends the legislative authority for this program contained in Section 1417 of the National Agricultural Research, Extension and Teaching Policy Act of 1977 (NARETPA) (99 Stat. 1548; 7 U.S.C. 3152) to include the University of the District of Columbia as an eligible applicant.-- 10.210

Section 712(c) of the American Jobs Creation Act of 2004, P.L. 108-357-- 93.365

Section 7204 of the Food Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246) amends section 1672 of the Food, Agriculture, Conservation and Trade Act of 1990 (FACT) (7 U.S.C. 5925) to authorize the Secretary of

Agriculture to make competitive grants to support research and extension activities. The Secretary shall make these grants in consultation with the National Agricultural Research, Extension, and Education, and Economics Advisory Board.-- 10.318

Section 7206 of the Food, Conservation, and Energy Act of 2008 (FCEA) amended section 1672B of the Food, Agriculture, Conservation, and Trade (FACT) Act of 1990 (7 U.S.C. 5925b) amending and re-authorizing the Organic Agriculture Research and Extension Initiative (OREI). The FACT Act, as amended, authorizes the Secretary of Agriculture, in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB), to make competitive grants to support research and extension activities regarding organically grown and processed agricultural commodities for eight legislatively-defined goals. See RFA Part I.B. for further general information and specific details.-- 10.307

Section 739 of the Public Health Service Act (42 USC 293c), (Educational Assistance in the Health Professions Regarding Individuals from Disadvantaged Backgrounds) as amended by Section 5402 of the Patient Protection and Affordable Care Act (P.L. 111-148)-- 93.822

Section 7405 of the Farm Security and Rural Investment Act of 2002, [7 U.S.C. 3319f]-- 10.311

Section 8 (x) of the United States Housing Act of 1937; Omnibus Appropriations Act 2009-- 14.880

Section 811 of the Public Health Service Act (42 U.S.C. 296j), as amended by the Affordable Care Act, Public Law 111-148.-- 93.513

Section 9006 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-246), amended the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) to re-establish the Biodiesel Fuel Education Program which requires that the Secretary make competitive grants to eligible entities to educate governmental and private entities that operate vehicle fleets, other interested entities (as determined by the Secretary), and the public about the benefits of biodiesel fuel use. The Secretary delegated this authority to the Chief Economist, who in turn delegated this authority to the Director of the Office of Energy Policy and New Uses (OEPNU). OEPNU has joined with NIFA for assistance in administering Biodiesel Education under the authorities found in the Economy Act (31 U.S.C. 1535) and Section 1472 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3318). Specific Biodiesel Education administrative provisions are found in 7 CFR 2903.-- 10.306

Section 9504 of the Omnibus Lands Management Act of 2009, P.L. 111-11; Fish and Wildlife Coordination Act, Pub. L. 85-624, 75 Stat. 563, 16 U.S.C. 661 et seq. (through Secretarial delegation at 255 DM 14); and the Reclamation Projects Authorization and Adjustment Act of 1992, Title XXXIV-Central Valley Project Improvement Act, Pub. L. 102-575-- 15.530

Section, 17a(1), Food and Nutrition Act of 2008, 7 U.S.C. 2026(a)(a); Section 17(b)(1), 7 U.S.C. 2026(b)(1); Farm Security and Rural Investment Act of 2002, Public Law 107-171; Public Law 110-246-- 10.580

Sections 1311 and 1323 of the Patient Protection and Affordable Care Act (P.L. 111-148)-- 93.525

Sections 2651 and 2693 et seq., of the Public Health Service Act, as amended (42 USC 300ff -51), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (P.L. 111-87)-- 93.918

Sections 2671 and 2693 of Title XXVI of the Public Health Service Act (42 U.S.C. 300ff-71 et seq.), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 P.L. 111-87-- 93.153

Sections 301 and Title III Sections 330A and 330(I) of the Public Health Service (PHS) Act, as amended; and Section 711(b) of the Social Security Act as amended (42 U.S.C.912(b))-- 93.011

Sections 301(a) and 307 of the Public Health Service Act (42 U.S.C. 241(a), 242I), and the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008 (Public Law 110-293).-- 93.266

Sections 307 and 317(k)(2) of the Public Health Service Act, [42 U.S.C. Section 242I and 247b(k)(2)], as amended.-- 93.269

Sections 307 and 317(k)(2), Public Health Service Act, 42 U.S.C. 242I and

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247b(k)(2) as amended; United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003, Public Law 110-293, the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008, 22 U.S.C 7601-- 93.067 Sections 330(l), 340B, and 377 of the Public Health Service Act (42U.S.C. 254b)-- 93.440  
Sections 503-- 93.193  
Secure Rural Schools and Community Self Determination Act of 2000 (16 U.S.C. 500). Public Law 106-393 and amended by 110-343 sec. 601 (Titles I, II and III)-- 10.665  
Secure Rural Schools and Community Self-Determination Act of 2000, Public Law 106-393, Title II, as reauthorized by the Emergency Economic Stabilization Act of 2008, Public Law 110-343.-- 15.234  
Secure Rural Schools and Community Self-Determination Act of 2000, Title VI-Community Forest Restoration, Public Law 106-393, Section 605, Establishment of Program-- 10.679  
Servicemen's Indemnity and Insurance Act-- 64.031  
Shipping Act of 1984, as amended-- 33.001  
Sikes Act of 1974, as amended-- 15.656  
Small Business Innovation Research Program Reauthorization Act of 1992 as amended-- 93.103  
Small Business Innovation Research Program Reauthorization Act of 2000, Public Law 106-554-- 81.049  
Small Business Jobs Act of 2010-- 59.060, 59.061  
Small Business Liability Relief and Brownfields Revitalization Act-- 66.817  
Small Business Research and Development Enhancement Act of 1992-- 93.121, 93.389, 93.853, 93.855, 93.866  
Small Business Research and Development Enhancement Act of 2000-- 93.242  
Small Business Technology Transfer Program Reauthorization Act of 2001, Public Law 107-50-- 81.049  
Snyder Act of 1921 Public Law 67-85, 25 U.S.C. 13.-- 15.058  
Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13.-- 15.059  
Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended; Public Law 103-413, Title II Tribal Self-Governance Act.-- 15.026  
Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956, Public Law 84-959, 70 Stat. 986, as amended; Public Law 88-230, 77 Stat. 471, 25 U.S.C. 309.-- 15.146  
Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Reorganization Act of 1934, Section 10, Public Law 73-383, 48 Stat. 986, 25 U.S.C. 470; Public Law 93-262, 88 Stat. 77 through 83, 25 U.S.C. 1451; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.-- 15.124  
Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended; Public Law 103-413, Title II Tribal Self-Governance Act.-- 15.114  
Snyder Act of 1921, Public Law 67-85; 42 Stat. 208; 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956; Public Law 84-959; 70 Stat. 986, as amended; Public Law 88-230; 77 Stat. 471; 25 U.S.C. 309; Indian Self-Determination and Education Assistance Act; Public Law 93-638; as amended; 25 U.S.C. 450.-- 15.061  
Soboba Band of Luiseno Indians Settlement Act, P.L. 111-85-- 15.547  
Social Security-- 93.563, 93.564, 93.601  
Social Security Act-- 93.086, 93.090, 93.091, 93.093, 93.508, 93.558, 93.560, 93.586, 93.594, 93.596, 93.597, 93.599, 93.603, 93.605, 93.645, 93.647, 93.658, 93.659, 93.674, 93.715  
Social Security Act (The Act), as amended-- 93.775  
Social Security Act (Titles III, IX, XI, XII) 42 USC 501-504; 1101-1110; 1320b-7; 1321-1324-- 17.225  
Social Security Act Title XVIII, Section 1831.-- 93.774  
Social Security Act of 1935-- 57.001  
Social Security Act, Section 1113-- 93.579  
Social Security Act, Section 426, 42 U.S.C. 626, as amended including-- 93.648  
Social Security Act, Section 711, as amended, (42 U.S.C. 912).-- 93.223  
Social Security Act, Sections 1863, 1864, 1865, 1902, 1903 and 1919, Title XIX-- 93.796  
Social Security Act, Sections 1863, 1864, 1865, 1902, 1903, and 1919, Title XVIII-- 93.777  
Social Security Act, Title V, Section 501(a) (1), as amended.-- 93.994  
Social Security Act, Title V, Section 501(c)(1)(A)(iii), codified at 42 U.S.C. 701(c), as amended by the Patient Protection and Affordable Care Act of 2010, Section 5507(b) (P.L. 111-148)-- 93.504  
Social Security Act, Title V, Section 502(a)(1) and (b)(1), as amended; 42 U.S.C. 702.; Section 399BB of the Public Health service Act; Section 1109, 1111 and 1112 of the Public Health Service Act and Section 399T of the Public Health Service Act.-- 93.110  
Social Security Act, Title V, Section 511 (42 U.S.C. 711), as amended by Section 2951 of the Patient Protection and Affordable Care Act of 2010 (P.L. 111-148).-- 93.505  
Social Security Act, Title XI, Sections 1110 and 1115; 42 U.S.C. 1310 and 1315(a); Title XVIII, Section 1875; 42 U.S.C. 1395 and 42 U.S.C. 1881 (f); Section 402, Public Law 90-248, as amended; Section 222, Public Law 92-603.-- 93.779  
Social Security Act, Title XIX, as amended; Public Laws 89-97, 90-248, and 91-56; 42 U.S.C. 1396 et seq., as amended; Public Law 92-223; Public Law 92-603; Public Law 93-66; Public Law 93-233; Public Law 96-499; Public Law 97-35; Public Law 97-248; Public Law 98-369; Public Law 99-272; Public Law 99-509; Public Law 100-93; Public Law 100-202; Public Law 100-203; Public Law 100-360; Public Law 100-436; Public Law 100-485; Public Law 100-647; Public Law 101-166; Public Law 101-234; Public Law 101-239; Public Law 101-508; Public Law 101-517; Public Law 102-234; Public Law 102-170; Public Law 102-394; Public Law 103-66; Public Law 103-112; Public Law 103-333; Public Law 104-91; Public Law 104-191; Public Law 104-193; Public Law 104-208,104-134; Balanced Budget Act of 1997, Public Law 105-33; Public Law 106-113; Public Law 106-554; Public Law 108-27; Public Law 108-173; Public Law 109-91; Public Law 109-171; Public Law 109-432; Public Law 110-28; Public Law 110-161; Public Law 111-3; Public Law 111-5; Public Law 111-8; Public Law 111-31; Public Law 111-68; Public Law 111-88; Public Law 111-117; Public Law 111-118; Public Law 111-148; Public Law 111-150; Public Law 111-150; Public Law 111-152; Public Law 111-309, Public Law 112-10.-- 93.778  
Social Security Act, Title XX, as amended; Omnibus Budget Reconciliation Act of 1981, as amended-- 93.667  
Social Security Act, as amended-- 93.087, 93.556  
Soil Conservation and Domestic Allotment Act-- 10.902, 10.903, 10.905, 10.907  
Soil Moisture Conservation Act of 1935-- 15.540  
Solid Waste Disposal Act-- 66.035, 66.110, 66.113, 66.203, 66.309, 66.310, 66.313, 66.509, 66.510, 66.511, 66.513, 66.514, 66.516, 66.517, 66.600, 66.604, 66.608, 66.609, 66.610, 66.611, 66.612, 66.709, 66.717, 66.801, 66.808, 66.815, 66.931, 66.940, 66.952  
Solid Waste Disposal Act (SWDA) of 1976-- 66.804  
Solid Waste Disposal Act of 1976-- 66.816  
Solid Waste Disposal Act of 1976 (SWDA), as amended-- 66.805  
Southern Nevada Public Land Management Act of 1998, 31 U.S.C. 6901 Public Law 105-263, as amended; Clark County Conservation of Public Land and National Resources Act of 2002, 16 U.S.C. 460qqq, Public Law 107-282; Department of the Interior and Related Agencies Appropriation Act of 2004, Public Law 108-108, Section 147, Title I, Section 146; Lincoln County Conservation, Recreation and Development Act of 2004, 16 U.S.C. 1241, Public Law 108-424, Tax Relief and Heathy Care Act of 2006, Public Law 109--432, Title III, Subtitle H, Sec. 382, Amendments to the Southern Nevada Public Land Management Act of 1998, Omnibus Public Land Management Act of 2009, Public Law 111-11, Title II, Subtitle G, Sec. 2601(g) Availability of Funds,

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Section 4(e) of the Southern Nevada Public Land Management Act of 1998; Federal Land Policy Management Act (FLPMA) of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended, and; Federal Noxious Weed Act of 1974, 7 USC 2814, Public Law 93-629, as amended by Public Law 101-624 Section 2814.-- 15.235

Southwest Forest Health and Wildfire Prevention Act-- 10.694

Special Olympic Sports and Empowerment Act-- 84.380

Specialty Crops Competitiveness Act of 2004, Section 101, 7 U.S.C. 1621 note; Food, Conservation, and Energy Act of 2008 (Public Law 110-246).-- 10.170

Sport Fish Restoration and Boating Act of 2005/State Boating Safety Financial Assistance-- 97.012

Sportfishing and Boating Safety Act, Title VII, Subtitle D, Section 7404, Public Law 105-178, 16 U.S.C. 777g-1, and the Safe, Accountable, Flexible, Efficient Transportation Equity Act, Public Law 109-059.-- 15.622

State High Risk Pool Funding Extension Act of 2006, Public Law 109-171-- 93.780

Stewart B. McKinney Homeless Assistance Act of 1987-- 93.291

Stewart B. McKinney Homeless Assistance Act of 1987, as amended-- 97.024

Stewart B. McKinney Homeless Assistance Act of 1987, as amended, Title III, Sections 301-316, Public Law 100-77, as amended, 42 U.S.C. 11331-11346; Public Law 111-5 American Recovery and Reinvestment Act of 2009.-- 97.114

Stewart B. McKinney Homeless Assistance Act of 1987; Title II, Part C; Public Law 100-77, as amended; Public Laws 100- 628, 101-645, 102-590, 104-275, 105-41; 105-114, 07-95, and 111-275; 42 U.S.C. 1447-1450; 38 U.S.C., 4111.-- 17.805

Stewart B. McKinney Homeless Assistance Amendments Act of 1990-- 93.150

Subpart 10-- 84.408

Subtitle C of Title 1 of the Trade Adjustment Assistance Reform Act of 2002 (Public Law 107-210), amended the Trade Act of 1974 (Public Law 93-618) establishing the Trade Adjustment Assistance for Farmers (TAAF) program. The American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) reauthorizes and amends the TAAF Program to provide both technical assistance and cash benefits to eligible producers of raw agricultural commodities and fishermen impacted by increased imports contributing to a specific decrease in the national average price, or quantity of production, or value of production of, or cash receipts for the agricultural commodity or fishery products compared to the average of the three (3) preceding marketing years. ARRA amendments to the TAAF program add certain classes of fisherman, increase the reporting requirements and overall transparency of the program, clarify eligibility determinations and associated processes, and clarify the roles and responsibilities of the applicants and the Federal partners.-- 10.315

Subtitle F of Title IV of the McKinney-Vento Homeless Assistance Act of 1987 as amended, 42 U.S.C.11403-- 14.238

Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977-- 10.314

Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319e).-- 10.317

Superconductivity and Competitiveness Act of 1988, Public Law 100-697-- 81.122

Superfund Amendments and Reauthorization Act of 1986-- 66.806, 66.816

Superfund Amendments and Reauthorization Act of 1986, Public Law 99-499-- 81.136

Superfund Amendments and Reauthorization Act of 1986, Title I, Section III, and Title II, Section 209, Public Law 99- 499, as amended; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, Section 311(a), Public Law 96-510; Public Health Service Act, Section 301, Public Law 78-410, as amended; Public Law 99-500.-- 93.143

Superfund Amendments and Reauthorization Act of 1986, as amended, Title I, Section 126, Public Law 99-499; Public Health Service Act, Section 405(b)(1)(C), as amended, Public Law 99-158.-- 93.142

Superfund Reauthorization Amendments of 1986-- 66.804

Supplemental Appropriations Act of 2008, P.L. 110-252 as amended P.L.

110-449, 111-5, 111-92, 111-118, 111-144, 111-157, 111-205, 111-312.-- 17.225

Supplemental Appropriations Act, 2008-- 64.028

Supplemental Appropriations Act, 2010-- 10.087

Supplemental Grants for Population Increases in Certain States, Recovery Act-- 93.716

Surface Mining Control and Reclamation Act of 1977 (SMCRA), Public Law 95-87; Public Law 95-224.-- 15.255

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.-- 15.250, 15.252, 15.253

Surface Mining Control and Reclamation Act of 1977; Public Law 95-87; 91 Stat. 445-532.-- 15.254

Surface Transportation Assistance Act of 1982-- 20.218, 20.239

### T

TANF Emergency Fund, Recovery Act-- 93.714

TIFIA Infrastructure Finance and Innovation Act of 1998-- 20.223

TITLE 16 CONSERVATION; CHAPTER 79 - NATIONAL PARK SERVICE MANAGEMENT; SUBCHAPTER II National Park System Resource Inventory and Management; Sections 5932, Research Mandate; Sec. 5933, Cooperative Agreements, (a) Cooperative Study Units; and Sec. 5935, Availability for Scientific Study; NPS Challenge Cost Share 16 U.S.C. 1f; Research and Training 16 U.S.C. 1a-2j; Funding of Research Agreements (43 U.S.C. 1471f); Cooperative Agreements, 16 U.S.C. 1g, Title II of the 1998 NPS Omnibus Act (P.L. 105-391)-- 15.945

TPIA Delegation Agreement between the Department of the Interior and the Bureau of Reclamation dated September 22, 2008-- 15.550

Take Pride in America (TPIA) Public Law 101-628 (16 U.S.C. 4601 et seq.)-- 15.550

Tax Relief, Unemployment Insurance Reauthorization, and Job Creation Act of 2010-- 57.001

The Affordable Care Act-- 93.092, 93.506

The Agricultural Credit Act of 1978-- 10.923

The Agricultural Management Assistance Cost Share Program is authorized under Section 1524 of the Federal Crop Insurance Act (FCIA), as amended.-- 10.171

The American Battlefield Protection Act (ABPA) of 1996, as reauthorized by the Omnibus Public Land Management Act of 2009-- 15.928

The American Battlefield Protection Act (ABPA) of 1996, as reauthorized by the Omnibus Public Land Management Act of 2009, Public Law 111-11-- 15.926

The American Recovery and Reinvestment Act (ARRA)-- 20.523

The American Recovery and Reinvestment Act of 2009-- 10.787, 17.260, 17.271

The American Recovery and Reinvestment Act of 2009 (ARRA)-- 10.090, 10.092

The American Recovery and Reinvestment Act of 2009 (Recovery Act), Title XII Transportation and Housing and Urban Development, and Related Agencies, Department of Transportation, Office of the Secretary, Supplemental Discretionary Grants for a National Surface Transportation System.-- 20.932

The American Recovery and Reinvestment Act of 2009, P.L. 111-5 and Title V of the Social Security Act of 1935-- 93.419

The American Recovery and Reinvestment Act of 2009; P.L. 111-5 Public Health Service Act, Title XIX, Section 1910-- 93.418

The Claims Resolution Act of 2010 (CRA)-- 93.086

The Community Food Projects Competitive Grants Program (CFPCGP) legislative authority is located in Section 25 of the Food Stamp Act of 1977 (7 U.S.C. 2034), as amended by the Food and Nutrition Act of 2008 and Section 4402 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Pub. L.

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- 110-246), which authorizes a program of federal grants to establish and carry out Community Food Projects.-- 10.225
- The Community Renewal Tax Relief Act of 2000-- 17.271
- The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended-- 66.815
- The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), of 1980-- 66.815
- The Consolidated Security, Disaster Assistance, and Continuing Appropriations Act 2009-- 97.057
- The Consolidated Appropriations Act 2008-- 14.870, 14.877
- The Consolidated Appropriations Act 2010-- 14.324
- The Consolidated Appropriations Act of 2010 (Public Law 111-117)-- 93.888
- The Consolidated Appropriations Act of 2010 and Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users-- 20.233
- The Consolidated Appropriations Act of 2010, Division A, Department of the Interior, Environment and Related Agencies Appropriations Act of 2010, Department-Wide Programs, Wildland Fire Management, Public Law 111-88. This program was first implemented in the Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291.-- 15.242
- The Consolidated Appropriations Act of 2010, Division A, Department of the Interior, Environment and Related Agencies Appropriations Act, Department-wide Programs, Wildland Fire Management, Public Law 111-88, Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291.-- 15.228
- The Consolidated Appropriations Act, 2001-- 17.720
- The Consolidated Appropriations Act, 2010-- 20.523
- The Consolidated Appropriations Act, 2010 (Public Law 111-117, approved December 16, 2009), 123 Stat. 3084.-- 14.705
- The Consolidated Appropriations Act, 2010.-- 14.263
- The Consolidated Farm and Rural Development Act-- 10.099
- The Consolidated Security Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329-- 97.059
- The Department of Defense and Full-Year Continuing Appropriations Act, 2011-- 14.703, 66.469
- The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10, enacted April 15, 2011) (Appropriations Act), provided a total of \$100,000,000 to HUD for a Sustainable Communities Initiative to improve regional planning efforts that integrate housing and transportation decisions, and increase the capacity of communities to modernize land use and zoning plans. Of that total, \$70,000,000 is available for the Sustainable Communities Regional Planning Grant Program, and \$30,000,000 is available for the Challenge Planning Grant Program.-- 14.703
- The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10, approved April 15, 2011) (Appropriations Act), provided a total of \$100,000,000 to HUD for a Sustainable Communities Initiative to improve regional planning efforts that integrate housing and transportation decisions, and increase the capacity to improve land use and zoning. Of that total, \$70,000,000 is available for the Sustainable Communities Regional Planning Grant Program, and \$30,000,000 is available for the Community Challenge Planning Grant Program.-- 14.704
- The Diesel Emissions Reduction Act of 2010-- 66.039, 66.040
- The EOC Grant Program is authorized by section 614 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act ( 42 U.S.C. 5196c) as amended by section 202 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53)-- 97.052
- The Energy Efficiency and Conservation Block Grant Program (EECBG) was authorized in Title V, Subtitle E of the Energy Independence and Security Act (EISA), signed into Public Law 110-140 on December 19, 2007.-- 81.128
- The Energy Policy Act of 2005-- 66.040, 77.006
- The FMA program is authorized by Section 1366 of the National Flood Insurance Act of 1968, as amended (NFIA)-- 97.029
- The Fair Housing Act 42 U.S.C. 3600 et seq.-- 14.401
- The Fair Housing Act, 42 U.S.C. 3600 et seq.-- 14.400
- The Farm Security and Rural Investment Act of 2002-- 10.055, 10.087, 10.925
- The Federal Agriculture Improvement and Reform Act of 1996-- 10.925
- The Federal Energy Policy Act of 2005, Section 351, Public Law 109-58.-- 15.814
- The Federal Fire Prevention and Control Act of 1974-- 97.018, 97.019, 97.044, 97.094, 97.095, 97.097, 97.103, 97.105
- The Federal Fire Prevention and Control Act of 1974, Public Law 93-498, Section 21 (a and b) as amended, 15 U.S.C. 2201 et seq.-- 97.101
- The Fish and Wildlife Act of 1956 (16 U.S.C. 742a-742j, not including 742 d-1; Stat. 1119), as amended-- 15.669, 15.670
- The Flood Disaster Protection Act of 1973, as amended-- 97.045
- The Food Conservation and Energy Act of 2008-- 10.089
- The Food Security Act of 1985-- 10.093, 10.912, 10.925, 10.926
- The Food Stamp Act of 2008-- 10.588
- The Food, Conservation and Energy Act, Public Law 110-234 (Farm Bill) amended Section 306(a)(2) of the Consolidated Farm and Rural Development Act (CONACT) (7 U.S.C. 1926 (a)(2)).-- 10.759
- The Food, Conservation, and Energy Act of 2008-- 10.072, 10.087, 10.090, 10.912, 10.913, 10.914, 10.917, 10.920, 10.922, 10.924, 10.926
- The Food, Conservation, and Energy Act of 2008 (2008 Farm Bill)-- 10.095
- The Food, Conservation, and Energy Act of 2008 (The Farm Bill)-- 10.090
- The Food, Conservation, and Energy Act of 2008; Public Law 110-246-- 10.088
- The Foreign Assistance Act of 1961 as amended.-- 19.023
- The Fulbright-Hays Act of 1961-- 19.009, 19.010, 19.011, 19.012, 19.014, 19.015, 19.400, 19.401, 19.402, 19.408, 19.415, 19.421, 19.432
- The Genetic Information Nondiscrimination Act of 2008-- 30.013
- The Guam Organic Act, 48 U.S.C. 1421 et. seq., Act of February 20, 1929, 48 U.S.C. 1661; Executive Order 10264; Public Law 83-517, 48 U.S.C. et. seq.; Public Law 94-241, Public Law 104-134, Public Law 108-188, and Public Law 99-658.-- 15.875
- The Homeland Security Act of 2002-- 97.082, 97.098
- The Housing and Economic Recovery Act of 2008-- 21.011, 64.030
- The Housing and Urban Development Act of 1969-- 97.045
- The Job Creation and Worker Assistance Act of 2002-- 17.271
- The Katrina Emergency Tax Relief Act of 2005-- 17.271
- The Maritime Security Act of 2003-- 20.813
- The Maritime Transportation Security Act of 2002 as amended-- 97.056
- The Mortgage Protection Life Insurance Act of 1971-- 64.030
- The National Cost Share Program is authorized under 7 U.S.C. 6523, as amended by section 10301 of the Food, Conservation and Energy Act of 2008.-- 10.171
- The National Earthquake Hazards Reduction Act of 2004, as amended by Public Law 108-360-- 97.082
- The National Flood Insurance Act of 1968, 42 U.S.C. 4001 et seq. authorized the National Flood Insurance Program (NFIP)-- 97.022
- The National Trails System Act-- 15.935
- The National Wildlife Refuge System Improvement Act of 1997 (P.L. 105-57)-- 15.670
- The National Wildlife Refuge System Improvement Act of 1997 (P.L. 105-57)-- 15.669
- The Omnibus Appropriations Act, 2009, appropriated funds to HHS for carrying out Title III of the Public Health Service Act (PHS Act). Public Law 111-8, 123 Stat. 524, 777 (March 11, 2009).
- b. Pursuant to Section 307(a)(2) of the PHS Act, 42 U.S.C. Section 242i(a)(2), HHS is authorized to participate with other countries in cooperative endeavors in biomedical research, health care services, health care research, or other related activities in furtherance of the activities, objectives or goals authorized under the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008 (PEPFAR

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Reauthorization Act). The purpose of the PEPFAR Reauthorization Act, 22 U.S.C. Section 7603, is to strengthen and enhance United States leadership and the effectiveness of the United States response to the HIV/AIDS, tuberculosis, and malaria pandemics and other related and preventable infectious diseases as part of the overall United States health and development agenda.-- 93.019

The Omnibus Budget Reconciliation Act of 1981-- 93.568

The Passenger Rail Investment and Improvement Act of 2008 (PRIIA)-- 20.319

The Patient Protection and Affordable Care Act, Title II Role Of Public Programs, Subtitle L, Maternal and Child Health Services-- 93.092

The Public Health Act-- 93.275

The Public Health Security and Bioterrorism Preparedness and Response Act of 2002-- 66.478

The Public Health Service Act Section 2793, as amended by Section 1002 of the ACA-- 93.519

The RFC program is authorized by Section 1323 of the NFIA-- 97.092

The Runaway and Homeless Youth Act-- 93.550

The SRL program is authorized by Section 1361A of the NFIA-- 97.110

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-- 20.238, 20.318

The Servicemens Indemnity and Insurance Act of 1951-- 64.030

The Shenandoah Valley Battlefields Foundation's land and easement acquisition efforts concentrate on the battlefields named by Congress in the Shenandoah Valley Battlefields National Historic District and Commission Act of 1996. These battlefields, listed in the table below, include more than 21,000 acres of core battlefield that retain historic integrity, largely because they are still in active farm and forest uses. Less than ten percent of this essential resource is protected from development that would destroy its historic value., Section 606, Public Law 104-333.-- 15.936

The Small Business Act and the Small Business Investment Act of 1958-- 20.910

The Small Business Job Protection Act of 1996-- 17.271

The Small Business Liability Relief and Brownfields Revitalization Act of 2002-- 66.818

The Small Business and Work Opportunity Tax Act of 2007-- 17.271

The Social Security Protection Act of 2004 (P.L. 108-203)-- 17.271

The Soil Information Assistance for Community Planning and Resource Development Act of 1966-- 10.903

The Specialty Crop Research Initiative (SCRI) is authorized by Section 7311 of the Food, Conservation, and Energy Act of 2008, which added section 412 to the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA). Section 412 of AREERA establishes a specialty crop research and extension initiative to address the critical needs of the specialty crop industry by developing and disseminating science-based tools to address needs of specific crops and their regions.-- 10.309

The Sun Grant Program, was originally established in section 778 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2004 (Public Law 108-199), which amended the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) adding section 9011, entitled the Sun Grant Research Initiative Act of 2003. Section 7526 of the Food, Conservation, and Energy Act of 2008 (7 U.S.C. 8114) establishes the Sun Grant Program, replacing the Sun Grant Research Initiative Act of 2003. Authority for the Sun Grant Program is delegated to the National Institute of Food and Agriculture in title 7 Part 2.66 subpart (a) section (153) of the Code of Federal Regulations.-- 10.320

The Tax Relief and Health Care Act of 2006-- 17.271

The Tax Relief, Unemployment Insurance Reauthorization and Job Creation Act of 2010-- 17.271

The Tax and Trade Relief Extension Act of 1998, Part of the Omnibus Consolidated and Emergency Supplemental Appropriations Act of 1999-- 17.271

The Taxpayer Relief Act of 1997-- 17.271

The Telehealth Network Grant Program (TNGP) and the Telehealth Resource

Center Grant Program (TRCGP) is authorized by Sec. 330I(d)(2) of Public Health Service Act (42 U.S.C. 254c-14(d)(2), as amended.

The Licensure Portability Grant Program (LPGP) is authorized by Section 330L of Public Health Service Act as amended, (42 USC 254c-18)-- 93.211

The Ticket to Work and Work Incentives Improvement Act of 1999-- 17.271

The Trade Act of 1974-- 10.090, 10.091

The U.S. Troop Readiness, Veterans Care, Katrina Recovery, and Iraq Accountability Appropriations Act of 2007-- 97.075

The US Information and Educational Exchange Act of 1948, also called the Smith-Mundt Act-- 19.440

The Veterans Benefits Act of 1992-- 64.030

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 304, Public Law 109-162, 42 U.S.C. 14045b.-- 16.525

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IX, Section 906, Public Law 109-162, 42 U.S.C. 3796gg-10 and Section 3(b), Public Law 109-271, 42 U.S.C. 14043g.-- 16.587

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title IX, Section 906, Public Law 109-162, 42 U.S.C. 3796gg-10. Funding was provided by the American Recovery and Reinvestment Act of 2009 (Recovery Act).-- 16.806

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title VI, Section 602, Public Law 109-162.-- 16.736, 16.805

The Wildlife and Sport Fish Restoration Programs Improvement Act of 2000, Public Law 106-408, as amended; the Dingell-Johnson Sport Fish Restoration Act, 64 Stat. 430 as amended, 16 U.S.C. 777m and the Pittman-Robertson Wildlife Restoration Act, 50 Stat. 917 as amended, 16 U.S.C. 669h-2.-- 15.628

The Working Families Tax Relief Act of 2005;-- 17.271

The legislative authority for the Cochran Fellowship Program is provided in Section 1543 of the Agriculture Development and Trade Act of 1990 (7 U.S.Code 3293) as amended in 1996.-- 10.962

These grants will be awarded under authority provided by the Food, Conservation, and Energy Act of 2008, Section 4405, 7 U.S.C. 8701. This section allows the Secretary of Agriculture to award grants to meet the hunger free communities goals described in the H. Con. Res. 302 (102nd Congress)-- 10.583

This agency was chartered and authorized in 2007 in the America COMPETES Act (Public Law 110-69), and re-authorized in the America COMPETES Reauthorization Act of 2010 (Public Law 111-358).-- 81.135

This program is authorized under Section 317 of the Public Health Service Act (42 U.S.C. Sections 247b), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs.-- 93.539

This program is authorized under Sections 317, 317(k)(2), 318 and 318B of the Public health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended-- 93.523

This program is authorized under Sections 317, 317(k)(2), 318 and 318B of the Public health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs-- 93.540

This program is authorized under Sections 317, 317(k)(2), 318 and 318B of the Public health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs.-- 93.533

This program is authorized under the Patient Protection and Affordable Care Act (Public Law 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs.-- 93.523

This program is administered under the provisions of section 1455 of the



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National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (NARETPA)

(7 U.S.C. 3241) pursuant to section 815 of Public Law 104-127 and Public Law 110-246. Section 1455 of NARETPA, as reauthorized by section 7128 of Public Law 110-246, provides the Secretary of Agriculture with the authority to make competitive grants (or grants without regard to any requirement for competition) to Hispanic-Serving Institutions for the purpose of promoting and strengthening the ability of Hispanic-Serving Institutions to carry out education, applied research, and related community development programs.-- 10.223

This program is administered under the provisions of section 759 of Public Law 106-78 (7 U.S.C. 3242) which was amended and redesignated as section 1419B of the National Agricultural Research, Extension, and Teaching Policy Act (NARETPA) of 1977 (7 U.S.C. 3155). As legislatively reauthorized in the Public Law 110-246, the purpose of this program continues to promote and strengthen the ability of eligible Alaska Native-Serving Institutions and Native Hawaiian-Serving Institutions to carry out education, applied research, and related community development programs within a broadly defined area of food and agricultural sciences and related disciplines. In FY 2009, the Secretary will make competitive grant awards to individual eligible institutions or consortia of eligible institutions in Alaska and in Hawaii, with funds awarded equally to each of the states of Alaska and Hawaii.-- 10.228

This program is administered under the provisions of the Farm Security and Rural Investment Act of 2002 (Section 7501 of Public Law 107-171) as reauthorized in Section 7143 of Public Law 110-246, which amended the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3101 et seq.) by providing for a program of resident instruction grants for insular areas (7 U.S.C. 3363). Funds are available for a program of competitive grants, with funds to be awarded to one or more individual, eligible institutions of higher education in Insular Areas (Insular Area Institutions) or consortia of such eligible institutions, to carry out teaching and education programs in the food and agricultural sciences.-- 10.308

This program is authorized under Sec. 803(d) of the Native American Programs Act of 1974 (NAPA), 42 U.S.C. 2991b(d).-- 93.581

This program is authorized under Section 317 of the Public Health Service Act, (42 U.S.C. Section 247 b), as amended.-- 93.062

This program is authorized under Section 4002 of the ACA, Prevention and Public Health Fund, Section 1706 of the PHS Act, 42 U.S.C. 300u-5, and Section 317(k)(2) of the PHS Act, 42 U.S.C. 247b(k)(2).-- 93.542

This program is authorized under Section 803(a) and 803C of the Native American Programs Act of 1974, 42 U.S.C. 2991b and 2991b-3, as amended by the Esther Martinez Native American Languages Preservation Act of 2006, Public Law 109-394.-- 93.587

This program is authorized under Section 803(a) of the Native American Programs Act of 1974 (NAPA), 42 U.S.C. 2991b and 2991b-3.-- 93.612

This program is authorized under section 301(a) and 317(k)

(2) Patient Protection and Affordable Care Act of 2010, Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2311, sec 4201.-- 93.531

This program is authorized under section 301(a) and 317(k) 2) American Recovery and Reinvestment Act of 2009, Public Health Service Act, 42 U.S.C. 241(a) and 247b (k) 2311.-- 93.724

This program is authorized under section 301(a) and 317(k) of the Public Health Service Act, 42 U.S.C. 241(a) and 247b.-- 93.544

This program is authorized under section 301(a) and 317(k)(2) Health Care and Education Affordability Reconciliation Act of 2010, Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2311.-- 93.520

This program is authorized under section 301(a) and 317(k)(2) Patient Protection and Affordable Care Act of 2010, Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2311, sec 4201.-- 93.541

This program is authorized under section 401(a) of the Childrens Health Insurance Program Reauthorization Act of 2009 (CHIPRA, Public Law 111-3), added new section 1139A, to the Social Security Act (the Act). Subsection 1139A(e) of the Social Security Act requires the Secretary of Health and Human Services (HHS) to conduct a Childhood Obesity Demonstration Project

([http://www.ssa.gov/OP\\_Home/ssact/title11/1139A.htm](http://www.ssa.gov/OP_Home/ssact/title11/1139A.htm)). In 2010, the Patient Protection and Affordability Act (ACA) appropriated funding for the Project in section 4306.section 301(a) and 317(k).-- 93.535

This program is authorized under sections 301 and 317 of the Public Health Service Act (PHS Act), 42 U.S.C. 241 and 247b as amended, and the Patient Protection and Affordable Care Act (Public Law 111-148), Title IV, Section 4002 (Prevention and Public Health Fund).-- 93.524

This program is authorized under sections 301(a), 307, 310, 3111 and 317(k) (2) American Recovery and Reinvestment Act of 2009 (ARRA) [Public Law 111.5], Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2, and the Comprehensive Smoking Education Act of 1984, Comprehensive Smokeless Tobacco Health Education Act of 1986.-- 93.723

This program is authorized under the Public Health Service Act, section 301(a), 42 U.S.C. 241(a), as amended and section 317(a), 42 U.S.C. 247b (a), as amended.-- 93.339

This program solicitation is issued pursuant to the Small Business Innovation Development Act of 1982, Public Law 97-219, as amended (15 U.S.C. 638) and Section 630 of the Act making appropriations for Agriculture, Rural Development and Related Agencies programs for fiscal year ending September 30, 1987, and for other purposes, as made applicable by Section 101(a) of Public Law 99-591, 100 Stat. 3341.-- 10.212

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Title III of the U.S. Public Health Service Act: 42 U.S.C. Section 301, also Section 1110 of the Social Security Act (42 U.S.C. 1310), along with funds appropriated under 42 U.S.C. 300U-6, Section 1707 of the Public Health Service Act, as amended.-- 93.990

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Federal Actions To Address Environmental Justice In Minority Populations And Low-Income Populations, Executive Order, 12898, February 11, 1994-- 81.214

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13506 Establishing a White House Council on Women and Girls, Dated March 11, 2009-- 20.907

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16 U.S.C. 1g provides that the National Park Service may enter into cooperative agreements that involve the transfer of National Park Service appropriated funds to State, local and tribal governments, other public entities, educational institutions, and private nonprofit organizations for the public purpose of carrying out National Park Service programs pursuant to 31 U.S.C. 6305 to carry out public purposes of National Park Service programs.

The Outdoor Recreation Act, as amended, 16 U.S.C., 4601-1(f), (1988), states that the Secretary is authorized to sponsor, engage in, and assist in research, undertake studies through cooperative agreements, and cooperate with educational institutions in establishing educational programs and activities relating to outdoor recreation.

The North Cascades Environmental Learning Center (NCELC) is a residential education facility located on the shore of Diablo Lake in North Cascades National Park. The Learning Center is one of the central elements of the 1995 federal relicensing of Seattle City Light's Skagit River dams. This project and others are designed to mitigate the impact of hydroelectric projects on the Skagit River environment.

Seattle City Light, the National Park Service and North Cascades Institute each have unique responsibilities in this partnership:

- Seattle City Light funded the design and the construction of the facility, own the buildings, and are leasing them to North Cascades Institute.

- The National Park Service dedicated land for the Learning Center within the Ross Lake National Recreation Area of North Cascades National Park Service Complex. The National Park Service also provides services such as water, sewer, fire management and educational support.

- North Cascades Institute is a non-profit organization based in Sedro-Woolley, Washington. It operates the Learning Center and provide environmental education programs for all ages and backgrounds.-- 15.942

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24 CFR 291.500-565, final rule published in Federal Register, October 31, 2006, effective December 1, 2006, following publication in the Federal Register of a proposed rule on September 8, 2005.-- 14.198

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25 U.S.C. 13 Snyder Act, Public Law 83-568, Transfer Act, 42 U.S.C. 2001, Public Law 86-121, Indian Sanitation Facilities Act; and Title III of Public Law 94-437, Indian Health Care Improvement Act, as amended.-- 93.445

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40 U.S.C. 550(b), (e), and (h), Public Law 107-217, originally under the Federal Property and Administrative Services Act of 1949, Section 203(k), 63 Stat. 385 as amended, 40 U.S.C. 484, Public Law 91-485; Federal Lands for Parks and Recreation, 16 U.S.C. 4601-5.-- 15.918

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43 U.S.C. 1345 (e); 43 U.S.C. 1346 Section 20.-- 15.422

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5 U.S.C. 301, 552, 5946; 7 U.S.C. 450b, 450i, 2201, 2202, 2204, 2206, 2244, 2264, 2265, and 3318.-- 10.700

5 U.S.C. 3109; 7 U.S.C. 411, 411a, 411b, 427, 471, 475, 476, 501, 951, 953, 955-957; 7 U.S.C. 1621-1623, 1623a, 1624-1627; 7 U.S.C. 2201, 2202, 2204g, 2225, 2248, 3103, 3311, 3504; 13 U.S.C. 142a, 142b; 18 U.S.C. 1902, 1905, 2072; 42 U.S.C. 1891-1893; 44 U.S.C. 3501-3511; 50 U.S.C. 2061 et seq, 2251 et seq.-- 10.950

6 U.S.C. 203; 49 U.S.C. 106(m) and 114(m); 49 U.S.C. 114(g), 44901(g), 44903(e) and 44922(f)-- 97.090

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7 U.S.C. Section 3318, 7 CFR Section 2.29.-- 10.290

7 USC 3291-- 10.614, 10.961

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# Appendix III: Budget Functional Code Appendix

## FINANCIAL INFORMATION

Account Identification - This 11-digit budget code identifies the account from which a program is funded as expressed in the Appendix to the Federal Budget. For identification code 75-0350-0-1-551, the first two digits represent the Federal agency code, and the third through sixth digits identify the appropriation (or fund) basic account symbol assigned by the Treasury Department. Where two or more accounts with different Treasury basic account symbols are included in a consolidated program, 99 will be the third and fourth digits, the fifth digit will be the fund type and the sixth digit will reflect the sequence of consolidated programs for that fund type within the agency. The seventh digit identifies the timing of transmittal of budget estimates:

- 0: Regular budget schedules
- 1: Supplemental appropriation
- 2: Legislative proposal, not subject to PAYGO
- 3: Appropriations language to be transmitted later
- 4: Legislative proposal, subject to PAYGO
- 5: Recission proposal
- 6: Adjustments to 1996 continuing resolution levels

The eighth digit identifies the type of government fund involved:

1: General fund - General Fund Appropriation Accounts - Accounts established to record amounts appropriated by law to be expended for the general support of the Government.

General Fund Receipt Accounts - Accounts credited with all receipts that are not earmarked by law for a specific purpose.

2: Special fund - Special Fund Appropriation Accounts - Accounts established to record appropriated amounts of special fund receipts to be expended for special programs in accordance with specific provisions of law. Special Fund Receipt Accounts - Accounts credited with receipts from specific sources that are earmarked by law for a specific purpose.

3: Public Enterprise Fund Accounts - Funds authorized by Congress to be credited with receipts primarily from the public, that are generated by, and earmarked to finance, a continuing cycle of business-type operations.

4: Intragovernmental Revolving or Management Fund Intragovernmental Fund Accounts - Accounts established to facilitate financing transactions within and between Federal agencies. These funds may be classified as intragovernmental revolving funds or management funds. Intragovernmental Revolving Fund Accounts - Funds authorized by law to carry out a cycle of intragovernmental business-type operations. These funds are credited with offsetting collections from other agencies and accounts.

7: Trust Fund (non-revolving) - Trust funds are established to account for the receipt and expenditure of monies by the Government for carrying out specific purposes and programs in accordance with the terms of a statute that designates the fund as a trust fund (such as the Highway Trust Fund) or for carrying out the stipulations of a trust agreement (such as any of several trust funds for gifts and donations for specific purposes). In a trust non-revolving fund, the receipts designated for the trust fund are in a separate account.

8: Trust Fund (revolving) - In a trust revolving fund, the fund is credited with collections earmarked by law to carry out a cycle of business-type operations.

9: For use when account consolidations cross fund types. The last three digits represent the functional classification (code) used in the latest Federal Budget document, unless noted otherwise by the Office of Management and Budget. In cases where a program is split between two or more subfunctions: (a) if all subfunctions are in the same major function, the code is the same as for the major function; or (b) if two or more major functions are involved the digits '999' are used. (Example: 75-1361-0-1-550)

Listed below are major functions and subfunctions as used in the budget document to show allocations of budget authority and outlays according to end purposes without regard to agency jurisdiction. The central nature of each major function is identified and defined. Catalog programs are listed following each applicable subfunction (or major function). Note that some subfunctions are not applicable to Catalog programs.

The alphabet(s) in parentheses following the program title, shows the type(s) of assistance available through that program. The alphabet codes with accompanying types of assistance are as follows:

- A: Formula Grants
- B: Project Grants
- C: Direct Payments for Specified Use
- D: Direct Payments with Unrestricted Use
- E: Direct Loans
- F: Guaranteed/Insured Loans
- G: Insurance
- H: Sale, Exchange, or Donation of Property and Goods
- I: Use of Property, Facilities, and Equipment
- J: Provision of Specialized Services
- K: Advisory Services and Counseling
- L: Dissemination of Technical Information
- M: Training
- N: Investigation of Complaints
- O: Federal Employment

# Appendix III: Budget Functional Code Appendix

## **(050) NATIONAL DEFENSE**

This function includes those programs directly related to the common defense and security of the United States. It includes the raising, equipping, and maintaining of armed forces (including civilian supporting activities), development and utilization of weapons systems (including nuclear weapons), and related programs. National defense includes direct compensation and benefits paid to active military and civilian personnel; contributions to their retirement, health, and life insurance funds; the conduct of defense research, development, testing, and evaluation; and procurement, construction, stockpiling, and other activities undertaken with the direct object of fostering our national security. Excluded from national defense are benefits or compensation to veterans and their dependents (veterans benefits are generally available to personnel who served the country in national emergencies; benefits for career military personnel are generally charged as a cost to the national defense function) and military retired pay, which is included in the income security function. Also excluded from national defense is the peaceful conduct of foreign relations; foreign military, economic, and humanitarian assistance; subsidies to business by civilian agencies (such as maritime subsidies) that may be partially justified as promoting national security; and research and operations of agencies (such as space research) whose program mission is not directly designed to promote national defense but which could result in some significant benefits to our national security.

81.123 National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (B)

## **(051) Department of Defense - Military**

The entire agency is included in this subfunction. Because of the method of funding and accounting in the Defense Department no further subdivisions on a program basis are available in terms of outlays.

12.330 Science, Technology, Engineering & Mathematics (STEM) for K-12 & Institutions of Higher Learning- NAVY (B)  
12.335 Navy Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (B)  
12.360 Research on Chemical and Biological Defense (B)  
12.431 Basic Scientific Research (B)  
12.550 The Language Flagship Grants to Institutions of Higher Education (B)  
12.551 National Security Education Program David L. Boren Scholarships (B)  
12.552 National Security Education Program David L. Boren Fellowships (B)  
12.553 The Language Flagship Fellowships (B)  
12.555 English for Heritage Language Speakers Scholarships (B)  
12.600 Community Economic Adjustment (B,J,L)  
12.800 Air Force Defense Research Sciences Program (B)  
12.901 Mathematical Sciences Grants Program (B)  
12.902 Information Security Grant Program (B)

## **(053) Atomic Energy Defense Activities**

Those programs of the Department of Energy devoted to national defense activities, such as naval ship reactors and nuclear weapons.

17.310 Energy Employees Occupational Illness Compensation (D)  
81.104 Office of Environmental Waste Processing (B)  
81.106 Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions (B)  
81.112 Stewardship Science Grant Program (B)  
81.113 Defense Nuclear Nonproliferation Research (B)  
81.124 Predictive Science Academic Alliance Program (B)

## **(054) Defense-Related Activities**

Miscellaneous defense activities such as the expenses connected with selective service and civil defense activities in the Federal Emergency Management Agency.

12.369 Marine Corps Systems Command Federal Assistance Program (B)  
20.813 Maritime Security Fleet Program (C)

47.078 Polar Programs (B)

## **(150) INTERNATIONAL AFFAIRS**

This function is concerned with the maintenance of peaceful relations, commerce, and travel between the United States and the remainder of the world, and with the promotion of international security and economic development abroad. It includes the conduct of foreign affairs; cost of membership in international organizations; foreign information and exchange activities; foreign military, economic, and humanitarian assistance programs; and loan programs designed to foster U.S. exports. Excluded from international affairs are outlays from domestic programs that may tangentially affect foreign relations or citizens of other nations.

19.221 Near East Regional Democracy (B)

19.300 Program for Study of Eastern Europe and the Independent States of the Former Soviet Union (B)

19.500 Middle East Partnership Initiative (MEPI) (B)

## **(151) International Development and Humanitarian Assistance**

This includes humanitarian assistance, development assistance, security supporting assistance, grants to and investments in international financial and development institutions, and the costs associated with concessionary agricultural exports.

19.515 Contributions to International Organizations for Overseas Assistance (B,C)

## **(152) International Security Assistance**

This includes all of international security assistance. It involves the transfer of defense articles and services to foreign governments through grants, credit sales, and training.

## **(153) Conduct of Foreign Affairs**

This includes the diplomatic and consular operations of the Department of State and closely-related activities in other agencies (such as the Arms Control and Disarmament Agency).

## **(154) Foreign Information and Exchange Activities**

This includes student and cultural exchange programs and foreign library, radio, or other media information activities designed to promote mutual understanding between the people of the United States and other Nations.

19.009 Academic Exchange Programs - Undergraduate Programs (B)  
19.010 Academic Exchange Programs - Humphrey Fellowship Program (B)  
19.011 Academic Exchange Programs - Special Academic Exchange Programs (B)  
19.012 Professional and Cultural Exchange Programs - Special Professional and Cultural Programs (B)  
19.014 One-Time International Exchange Grant Program (B)  
19.015 Cultural, Technical and Educational Centers (B)  
19.400 Academic Exchange Programs - Graduate Students (B)  
19.401 Academic Exchange Programs - Scholars (B)  
19.402 Professional and Cultural Exchange Programs - International Visitor Leadership Program (B)  
19.408 Academic Exchange Programs - Teachers (B)  
19.415 Professional and Cultural Exchange Programs - Citizen Exchanges (B)  
19.421 Academic Exchange Programs - English Language Programs (B)  
19.432 Academic Exchange Programs - Educational Advising and Student Services (B)  
19.440 IIP Individual Grants (B)  
19.450 ECA Individual Grants (B)

## **(155) International Financial Programs**

This includes export credit, the military sales trust fund, international commodity agreements, international monetary programs, and other programs designed to improve the functioning of the international financial system.

# Appendix III: Budget Functional Code Appendix

## **(250) GENERAL SCIENCE, SPACE AND TECHNOLOGY**

This function shows budget resources allocated to science and research activities of the Federal Government to meet the national need to advance knowledge in this area. In addition, research and technology programs that have diverse goals and cannot readily be classified into one specific function are also placed here to avoid detailed splitting of accounts. Included in this function are general scientific research and civilian space programs that are not an integral part of the programs conducted under any other function. This includes the research conducted by the National Aeronautics and Space Administration, and general science research supported by the Department of Energy. As is noted above, research programs that are an integral part of the achievement of other major functions – e.g., health, national defense, energy – are excluded from this function. Only if a research program cannot readily be included in other functions is it classified in this function.

- 81.105 National Industrial Competitiveness through Energy, Environment, and Economics (B)
- 81.214 Environmental Monitoring/Cleanup, Cultural and Resource Mgmt., Emergency Response Research, Outreach, Technical Analysis (B)

## **(251) General Science and Basic Research**

This includes the expenses of conducting the National Science Foundation programs and the general science activities of the Department of Energy.

- 47.041 Engineering Grants (B)
- 47.049 Mathematical and Physical Sciences (B)
- 47.050 Geosciences (B)
- 47.070 Computer and Information Science and Engineering (B)
- 47.074 Biological Sciences (B)
- 47.075 Social, Behavioral, and Economic Sciences (B)
- 47.076 Education and Human Resources (B)
- 47.078 Polar Programs (B)
- 47.079 International Science and Engineering (OISE) (B)
- 47.080 Office of Cyberinfrastructure (B)
- 47.081 Office of Experimental Program to Stimulate Competitive Research (B)
- 81.049 Office of Science Financial Assistance Program (B)
- 81.126 Federal Loan Guarantees for Innovative Energy Technologies (E,F)

## **(252) Space Flight, Research, and Supporting Activities**

This subfunction is devoted to the development and operation of space transportation systems, basic scientific research connected with outer space, research and demonstrations designed to provide terrestrial applications of technology developed through space research, and development of new space technologies for future missions. Also included are the costs of tracking and data relay support for NASA space science and applications for flight missions.

- 43.001 Science (B,C,I,M)
- 43.003 Exploration (B,C,I,J,L,M)
- 43.007 Space Operations (B)
- 43.008 Education (B)
- 43.009 Cross Agency Support (B)
- 43.010 Construction & Environmental Compliance & Remediation (B)
- 43.011 Office of Inspector General (B,C,I,J,K,L,N)

## **(270) ENERGY**

The energy function includes those programs designed to promote an adequate supply and appropriate use of energy to serve the needs of the economy. It includes most of those programs operated by the Department of Energy and its predecessor agencies except for atomic energy defense activities and for general science research not closely related to energy.

- 81.036 Inventions and Innovations (B,K,L)
- 81.041 State Energy Program (A,B,L)
- 81.042 Weatherization Assistance for Low-Income Persons (A,B)
- 81.064 Office of Scientific and Technical Information (L)

- 81.079 Regional Biomass Energy Programs (B)
- 81.086 Conservation Research and Development (B)
- 81.087 Renewable Energy Research and Development (B)
- 81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B)
- 81.119 State Energy Program Special Projects (B)
- 81.129 Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization (B)
- 81.135 Advanced Research and Projects Agency Energy Financial Assistance Program (B)
- 81.136 Long-Term Surveillance and Maintenance (B)

## **(271) Energy Supply**

This includes those programs designed to increase the supply of energy through the development of domestic resources and systems capable of using them. Included in energy supply are the costs of research and demonstration of supply systems.

- 10.850 Rural Electrification Loans and Loan Guarantees (E,F)
- 10.851 Rural Telephone Loans and Loan Guarantees (E,F)
- 10.854 Rural Economic Development Loans and Grants (B,E)
- 81.049 Office of Science Financial Assistance Program (B)
- 81.057 University Coal Research (B)
- 81.065 Nuclear Waste Disposal Siting (B,C)
- 81.089 Fossil Energy Research and Development (B)
- 81.108 Epidemiology and Other Health Studies Financial Assistance Program (B)
- 81.126 Federal Loan Guarantees for Innovative Energy Technologies (E,F)
- 81.130 Carbon Capture and Storage-FutureGen 2.0 (B)
- 81.131 Expand and Extend Clean Coal Power Initiative (B)
- 81.132 Geologic Sequestration Site Characterization (B)
- 81.133 Geologic Sequestration Training and Research Grant Program (B)
- 81.134 Industrial Carbon Capture and Storage (CCS) Application (B)

## **(272) Energy Conservation**

Programs in this subfunction are designed to encourage the prudent use of energy resources.

- 14.319 Multifamily Energy Innovation Fund (B)
- 81.127 Energy Efficient Appliance Rebate Program (EEARP) (A)
- 81.128 Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)

## **(274) Emergency Energy Preparedness**

This includes the programs associated with developing and maintaining a stockpile of energy resources (currently confined to petroleum) to meet emergency needs and associated contingency planning activities.

## **(276) Energy Information, Policy, and Regulation**

This includes the unallocable overhead activities of the Department of Energy plus the costs of energy information and regulation activities.

- 77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)
- 77.007 U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (B,C)
- 77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)
- 77.009 U.S. Nuclear Regulatory Commission Office of Research Financial Assistance Program (B)
- 81.003 Granting of Patent Licenses (L)

## **(300) NATURAL RESOURCES AND ENVIRONMENT**

This function includes those programs whose primary purpose is to develop, manage, and maintain the Nation's natural resources and environment. It encompasses development and management of water resources; protection and

## Appendix III: Budget Functional Code Appendix

enhancement of environmental quality; development and maintenance of recreational resources; promotion of the prudent use of forest and mineral resources; the fostering of conservation practices on both public and private lands; marine, earth, and atmospheric -related research, and the management of the public domain. Excluded from this function are the outlays for community water supply programs, basic sewer system, and waste treatment plants, which are part of a community or regional development (rather than an environmental enhancement) program or are part of the cost of operating a Federal facility (such as a military installation).

- 15.532 Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (B)
- 15.536 Deschutes River Conservancy (DRC) (B)
- 15.549 Integrated Regional Water Plan for the Central Valley of California (B)
- 15.550 Increasing Public Awareness of Recreational Opportunities at Reclamation Reservoirs for Physically Challenged and Disadvantaged Children (B)

### **(301) Water Resources**

This includes water protection, conservation, irrigation, and related activities including the total costs of multipurpose water projects where it is not feasible to separate out the transportation (navigation) or energy (power) segments of these projects.

- 10.904 Watershed Protection and Flood Prevention (K)
- 10.916 Watershed Rehabilitation Program (K)
- 10.923 Emergency Watershed Protection Program (B)
- 12.101 Beach Erosion Control Projects (J)
- 12.105 Protection of Essential Highways, Highway Bridge Approaches, and Public Works (J)
- 12.106 Flood Control Projects (J)
- 12.107 Navigation Projects (J)
- 12.108 Snagging and Clearing for Flood Control (J)
- 12.110 Planning Assistance to States (J)
- 15.504 Water Reclamation and Reuse Program (A)
- 15.506 Water Desalination Research and Development Program (B)
- 15.507 WaterSMART (Sustaining and Manage America's Resources for Tomorrow) (B)
- 15.508 Providing Water to At-Risk Natural Desert Terminal Lakes (B)
- 15.509 Colorado River Basin Salinity Control Program (B)
- 15.510 Colorado Ute Indian Water Rights Settlement Act (B,C)
- 15.511 Cultural Resources Management (B)
- 15.512 Central Valley Project Improvement Act, Title XXXIV (B)
- 15.513 Dutch John Federal Property and Disposition Assistance Act (B)
- 15.514 Reclamation States Emergency Drought Relief (B,J,K)
- 15.516 Fort Peck Reservation Rural Water System (B)
- 15.517 Fish and Wildlife Coordination Act (B)
- 15.518 Garrison Diversion Unit (B)
- 15.519 Indian Tribal Water Resources Development, Management, and Protection (B)
- 15.520 Lewis and Clark Rural Water System (B)
- 15.521 Lower Rio Grande Valley Water Resources Conservation and Improvement (B)
- 15.522 Mni Wiconi Rural Water Supply Project (B)
- 15.523 Perkins County Rural Water System (B)
- 15.524 Recreation Resources Management (B)
- 15.525 Rocky Boy's/North Central Montana Regional Water System (B)
- 15.526 San Gabriel Basin Restoration Project (B)
- 15.527 San Luis Unit, Central Valley Project (B)
- 15.528 St. Mary Storage Unit Facilities Rehabilitation Project (B)
- 15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)
- 15.530 Water Conservation Field Services Program (WCFSP) (B)

- 15.531 Yakima River Basin Water Enhancement Project (YRBWEP) (B)
- 15.533 California Water Security and Environmental Enhancement (B)
- 15.534 Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)
- 15.535 Upper Colorado River Basin Fish and Wildlife Mitigation Program. (B)
- 15.537 Middle Rio Grande Endangered Species Collaborative Program (B)
- 15.538 Lower Colorado River Multi-Species Conservation Program. (B)
- 15.539 Equus Beds Division Aquifer Storage Recharge Project (B)
- 15.540 Lake Mead/Las Vegas Wash Program (B)
- 15.541 Colorado River Basin Projects Act of 1968 (B)
- 15.542 Arizona Water Settlement Act of 2004 (B)
- 15.543 Lake Tahoe Regional Wetlands Development Program (B)
- 15.544 Platte River Recovery Implementation Program (B)
- 15.545 Bunker Hill Groundwater Basin, Riverside-Corona Feeder Project (B)
- 15.546 Youth Conservation Program (B)
- 15.547 San Jacinto Basin Restoration Fund (B)
- 15.548 Reclamation Rural Water Supply Program (B)
- 15.551 Madera Water Supply Enhancement Project (B)

### **(302) Conservation and Land Management**

This includes the costs of operating the public domain (including national forests), payments to encourage private land conservation activities, and surface mining reclamation efforts.

- 10.069 Conservation Reserve Program (C)
- 10.072 Wetlands Reserve Program (C)
- 10.652 Forestry Research (B)
- 10.664 Cooperative Forestry Assistance (A,B)
- 10.672 Rural Development, Forestry, and Communities (B)
- 10.674 Forest Products Lab: Technology Marketing Unit (TMU) (B)
- 10.675 Urban and Community Forestry Program (B)
- 10.676 Forest Legacy Program (B)
- 10.678 Forest Stewardship Program (B)
- 10.679 Collaborative Forest Restoration (B)
- 10.680 Forest Health Protection (A,B)
- 10.681 Wood Education and Resource Center (WERC) (B)
- 10.682 National Forest Foundation (C)
- 10.683 National Fish and Wildlife Foundation (C)
- 10.684 International Forestry Programs (B)
- 10.685 Community Wood Energy Program (B)
- 10.687 Recovery Act of 2009: Capital Improvement and Maintenance (B)
- 10.688 Recovery Act of 2009: Wildland Fire Management (B)
- 10.689 Community Forest and Open Space Conservation Program (CFP) (B)
- 10.690 Lake Tahoe Erosion Control Grant Program (B)
- 10.691 Good Neighbor Authority (B)
- 10.693 Watershed Restoration and Enhancement Agreement Authority (B)
- 10.694 Southwest Forest Health and Wildfire Prevention (C)
- 10.901 Resource Conservation and Development (K)
- 10.902 Soil and Water Conservation (K)
- 10.903 Soil Survey (L)
- 10.905 Plant Materials for Conservation (J)
- 10.907 Snow Survey and Water Supply Forecasting (L)
- 10.912 Environmental Quality Incentives Program (C)
- 10.913 Farm and Ranch Lands Protection Program (C)
- 10.914 Wildlife Habitat Incentive Program (C)
- 10.917 Agricultural Management Assistance (C)
- 10.920 Grassland Reserve Program (C)
- 10.921 Conservation Security Program (C)
- 10.922 Healthy Forests Reserve Program (HFRP) (C)



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15.934	Abandoned Mine Hazard Mitigation (B,C)	66.310	Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)
15.935	National Trails System Projects (B)	66.313	International Compliance and Enforcement Projects (B)
15.936	Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (C)	66.418	Construction Grants for Wastewater Treatment Works (B)
15.937	Redwood National Park Cooperative Management with the State of California (B,H,I,K,L,M)	66.419	Water Pollution Control State, Interstate, and Tribal Program Support (A)
15.939	National Heritage Area Federal Financial Assistance (C)	66.424	Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)
15.941	Mississippi National River and Recreation Area State and Local Assistance (B)	66.432	State Public Water System Supervision (A)
15.942	Environmental Education and Conservation - North Cascades Bioregion (C,J)	66.433	State Underground Water Source Protection (A)
15.943	Challenge Cost Share (C)	66.436	Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)
15.944	Natural Resource Stewardship (B,C)	66.437	Long Island Sound Program (B)
15.945	Cooperative Research and Training Programs Resources of the National Park System (B,C,I,L,M)	66.439	Targeted Watersheds Grants (B)
15.946	Cultural Resources Management (B,C)	66.440	Urban Waters Small Grants (B)
15.947	Boston Harbor Islands Partnership (B)	66.454	Water Quality Management Planning (A)
<b>(304) Pollution Control and Abatement</b>			
This includes outlays for controlling and reducing air, water, and land pollution or that are specifically funded as an environmental enhancement program. It excludes water resources programs, water treatment plants, and similar programs that are not funded as part of an environmental enhancement activity.			
66.001	Air Pollution Control Program Support (B)	66.456	National Estuary Program (B)
66.032	State Indoor Radon Grants (B)	66.458	Capitalization Grants for Clean Water State Revolving Funds (A)
66.033	Ozone Transport Commission (B)	66.460	Nonpoint Source Implementation Grants (A)
66.034	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)	66.461	Regional Wetland Program Development Grants (B)
66.035	Community Action for a Renewed Environment (CARE) Program (B)	66.462	National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)
66.037	Internships, Training and Workshops for the Office of Air and Radiation (B)	66.463	Water Quality Cooperative Agreements (B)
66.038	Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B)	66.466	Chesapeake Bay Program (B)
66.039	National Clean Diesel Emissions Reduction Program (B)	66.467	Wastewater Operator Training Grant Program (B)
66.040	State Clean Diesel Grant Program (A)	66.468	Capitalization Grants for Drinking Water State Revolving Funds (A)
66.041	Climate Showcase Communities Grant Program (B)	66.469	Great Lakes Program (B,I,L)
66.042	Temporally Integrated Monitoring of Ecosystems (TIME) and Long-Term Monitoring (LTM) Program (B)	66.471	State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)
66.050	Potomac Highlands Implementation Grants (B)	66.472	Beach Monitoring and Notification Program Implementation Grants (A)
66.110	Healthy Communities Grant Program (B)	66.473	Direct Implementation Tribal Cooperative Agreements (B)
66.113	Region 3 Environmental Priority Projects (B)	66.474	Water Protection Grants to the States (A)
66.119	West Coast Estuaries Initiative (B)	66.475	Gulf of Mexico Program (B)
66.120	Puget Sound Watershed Management Assistance (B)	66.478	Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)
66.121	Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (B)	66.479	Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)
66.122	Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (B)	66.480	Assessment and Watershed Protection Program Grants (B)
66.123	Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (B)	66.481	Lake Champlain Basin Program (B)
66.124	Coastal Wetlands Planning Protection and Restoration Act (B)	66.508	Senior Environmental Employment Program (B)
66.125	Lake Pontchartrain Basin Restoration Program (PRP) (B)	66.509	Science To Achieve Results (STAR) Research Program (B)
66.126	The San Francisco Bay Water Quality Improvement Fund (B)	66.510	Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)
66.127	Southeastern U.S. Regional Targeted Watershed Initiative (B)	66.511	Office of Research and Development Consolidated Research/Training/Fellowships (B)
66.202	Congressionally Mandated Projects (B)	66.513	Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (B)
66.203	Environmental Finance Center Grants (B)	66.514	Science To Achieve Results (STAR) Fellowship Program (B)
66.305	Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)	66.516	P3 Award: National Student Design Competition for Sustainability (B)
66.309	Surveys, Studies, Investigations, Training and Special Purpose Activities Relating to Environmental Justice (B)	66.517	Regional Applied Research Efforts (RARE) (B)
		66.518	State Senior Environmental Employment Program (B)
		66.600	Environmental Protection Consolidated Grants for the Insular Areas - Program Support (A)
		66.604	Environmental Justice Small Grant Program (B)
		66.605	Performance Partnership Grants (A,B)
		66.608	Environmental Information Exchange Network Grant Program and Related Assistance (B)

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- 66.609 Protection of Children from Environmental Health Risks (B)  
66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)  
66.611 Environmental Policy and Innovation Grants (B)  
66.612 Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B)  
66.700 Consolidated Pesticide Enforcement Cooperative Agreements (B)  
66.701 Toxic Substances Compliance Monitoring Cooperative Agreements (B)  
66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)  
66.708 Pollution Prevention Grants Program (B)  
66.709 Multi-Media Capacity Building Grants for States and Tribes (B)  
66.714 Regional Agricultural IPM Grants (B)  
66.715 Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)  
66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)  
66.717 Source Reduction Assistance (B)  
66.718 National Community-Based Lead Outreach and Training Grant Program (B)  
66.801 Hazardous Waste Management State Program Support (A)  
66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)  
66.804 Underground Storage Tank Prevention, Detection and Compliance Program (A)  
66.805 Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)  
66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)  
66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements (B)  
66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)  
66.812 Hazardous Waste Management Grant Program for Tribes (B)  
66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)  
66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)  
66.815 Environmental Workforce Development and Job Training Cooperative Agreements (B)  
66.816 Headquarters and Regional Underground Storage Tanks Program (B)  
66.817 State and Tribal Response Program Grants (A)  
66.818 Brownfields Assessment and Cleanup Cooperative Agreements (B)  
66.926 Indian Environmental General Assistance Program (GAP) (B)  
66.931 International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs (B)  
66.940 Environmental Policy and State Sustainability Grants (B)  
66.950 National Environmental Education Training Program (B)  
66.951 Environmental Education Grants (B)  
66.952 National Network for Environmental Management Studies Fellowship Program (B)
- 15.240 Helium Resource Management (B)  
15.426 Coastal Impact Assistance Program (CIAP) (A)  
15.668 Coastal Impact Assistance Program (A)  
15.805 Assistance to State Water Resources Research Institutes (A,B)  
15.807 Earthquake Hazards Reduction Program (B)  
15.808 U.S. Geological Survey\_ Research and Data Collection (B)  
15.809 National Spatial Data Infrastructure Cooperative Agreements Program (B)  
15.810 National Cooperative Geologic Mapping Program (B)  
15.811 Gap Analysis Program (B)  
15.812 Cooperative Research Units Program (B)  
15.813 Cooperative Research Units Training Program (B)  
15.814 National Geological and Geophysical Data Preservation Program (B)  
15.815 National Land Remote Sensing\_ Education Outreach and Research (B)  
15.816 Minerals Resources External Research Program (B)  
15.817 National Geospatial Program: Building The National Map (B)  
15.818 Volcano Hazards Program Research and Monitoring. (B)  
15.819 Energy Cooperatives to Support the National Coal Resources Data System (NCRDS) (B)  
15.820 National Climate Change and Wildlife Science Center (B)  
15.978 Upper Mississippi River System Long Term Resource Monitoring Program (B)  
19.666 EUR/ACE National Endowment for Democracy Small Grants (B)

### **(350) AGRICULTURE**

This function includes those programs that promote the economic stability of agriculture and the Nation's capability to maintain and increase agricultural production. These objectives are accomplished through farm income stabilization programs, research and educational activities, programs that maintain agricultural markets, regulation of agricultural markets and practices, and maintenance of an adequate stockpile of agricultural commodities. This function does not include programs which, though related to rural development, are not directly related to agriculture, such as rural environmental and conservation programs that are classified in the natural resources function. In addition, it excludes the costs connected with concessionary food export sales or food donations whether overseas or for domestic income support purposes.

- 10.443 Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (B)  
10.465 Farmworker Training Grant Program (B)

### **(351) Farm Income Stabilization**

Loans, subsidies, and other payments for purposes of stabilizing agricultural prices at an equitable level. This includes the cost of acquisition and storage of agricultural commodity stockpiles but does not include the cost of foreign agricultural export losses (which are classified in the international affairs function) or domestic donations of food (which are part of an income support, rather than a farm price support, program).

- 10.051 Commodity Loans and Loan Deficiency Payments (D,E)  
10.053 Dairy Indemnity Program (D)  
10.055 Direct and Counter-cyclical Payments Program (C)  
10.056 Farm Storage Facility Loans (E)  
10.085 Tobacco Transition Payment Program (D)  
10.086 Aquaculture Grants Program (AGP) (A)  
10.087 Biomass Crop Assistance Program (D)  
10.088 Livestock Indemnity Program (C)  
10.089 Livestock Forage Disaster Program (C)  
10.090 Supplemental Revenue Assistance Program (C)  
10.091 Emergency Assistance for Livestock, Honeybees, and Farm-Raised Fish Program (C)  
10.092 Tree Assistance Program (D)  
10.095 Durum Wheat Quality Program (D)

### **(306) Other Natural Resources**

This includes miscellaneous natural resources programs not classified in other subfunctions, such as marine, earth, and atmosphere-related research, and the cost of geological surveys and mapping.

- 11.432 National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes (B)

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- 10.099 Conservation Loans (E,F)
- 10.103 2009 Aquaculture Grant Program (A)
- 10.104 Poultry Loss Contract Grant Assistance Program (A)
- 10.404 Emergency Loans (E)
- 10.406 Farm Operating Loans (E,F)
- 10.407 Farm Ownership Loans (E,F)
- 10.421 Indian Tribes and Tribal Corporation Loans (E)
- 10.435 State Mediation Grants (B)
- 10.437 Interest Assistance Program (F)
- 10.449 Boll Weevil Eradication Loan Program (E)
- 10.450 Crop Insurance (G)
- 10.451 Noninsured Assistance (D)
- 10.455 Community Outreach and Assistance Partnership Program (L,M)
- 10.456 Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (B)
- 10.458 Crop Insurance Education in Targeted States (B)
- 10.459 Commodity Partnerships for Small Agricultural Risk Management Education Sessions (B)
- 10.255 Research Innovation and Development Grants in Economic (RIDGE) (L)
- 10.256 Consumer Data and Information Program (L)
- 10.290 Agricultural Market and Economic Research (B)
- 10.303 Integrated Programs (B)
- 10.304 Homeland Security\_Agricultural (B)
- 10.305 International Science and Education Grants (B)
- 10.306 Biodiesel (B)
- 10.307 Organic Agriculture Research and Extension Initiative (B)
- 10.308 Resident Instruction Grants for Insular Area Activities (B)
- 10.309 Specialty Crop Research Initiative (B)
- 10.310 Agriculture and Food Research Initiative (AFRI) (B)
- 10.311 Beginning Farmer and Rancher Development Program (B)
- 10.312 Biomass Research and Development Initiative Competitive Grants Program (BRDI) (B)
- 10.313 Veterinary Medicine Loan Repayment Program (C)
- 10.314 New ERA Rural Technology Competitive Grants Program (B)
- 10.315 Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF) (B)

### **(352) Agricultural Research and Services**

This includes all other costs of agricultural programs including expenses for programs such as agricultural research and extension services.

- 10.001 Agricultural Research\_Basic and Applied Research (B)
- 10.025 Plant and Animal Disease, Pest Control, and Animal Care (B)
- 10.028 Wildlife Services (B)
- 10.153 Market News (L)
- 10.156 Federal-State Marketing Improvement Program (B)
- 10.162 Inspection Grading and Standardization (J)
- 10.163 Market Protection and Promotion (J,K,M)
- 10.164 Wholesale Farmers and Alternative Market Development (K,M)
- 10.165 Perishable Agricultural Commodities Act (N)
- 10.167 Transportation Services (K,M)
- 10.168 Farmers' Market Promotion Program (B)
- 10.170 Specialty Crop Block Grant Program - Farm Bill (B)
- 10.200 Grants for Agricultural Research, Special Research Grants (B)
- 10.202 Cooperative Forestry Research (A)
- 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act (A)
- 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University (A)
- 10.207 Animal Health and Disease Research (A)
- 10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)
- 10.212 Small Business Innovation Research (B)
- 10.215 Sustainable Agriculture Research and Education (B)
- 10.216 1890 Institution Capacity Building Grants (B)
- 10.217 Higher Education Challenge Grants (B)
- 10.219 Biotechnology Risk Assessment Research (B)
- 10.220 Higher Education Multicultural Scholars Program (B)
- 10.221 Tribal Colleges Education Equity Grants (B)
- 10.222 Tribal Colleges Endowment Program (A)
- 10.223 Hispanic Serving Institutions Education Grants (B)
- 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (B)
- 10.227 1994 Institutions Research Program (B)
- 10.228 Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (B)
- 10.250 Agricultural and Rural Economic Research (L)
- 10.253 Food Assistance and Nutrition Research Programs (FANRP) (L)
- 10.254 Program of Research on the Economic of Invasive Species Management (PREISM) (L)
- 10.316 Healthy Urban Food Enterprise Development Center (HUFED) (B)
- 10.317 Food Aid Nutrition Enhancement Program (B)
- 10.318 Women and Minorities in Science, Technology, Engineering, and (B)
- 10.319 Farm Business Management and Benchmarking Competitive Grants Program (B)
- 10.320 Sun Grant Program (B)
- 10.322 Distance Education Grants for Institutions of Higher Education in Insular Areas (B)
- 10.324 Afghanistan Agricultural Extension Project (AAEP) (B)
- 10.325 Peoples Garden Grant Program (B)
- 10.500 Cooperative Extension Service (A,B)
- 10.613 Faculty Exchange Program (C)
- 10.614 Scientific Cooperation Exchange Program with China (B,C)
- 10.700 National Agricultural Library (L)
- 10.777 Norman E. Borlaug International Agricultural Science and Technology Fellowship (C)
- 10.950 Agricultural Statistics Reports (L)
- 10.961 Scientific Cooperation and Research (B,C)
- 10.962 Cochran Fellowship Program-International Training-Foreign Participant (C)
- 10.998 Long Term Standing Agreements for Storage, Transportation, and Lease (C)

### **(370) COMMERCE AND HOUSING CREDIT**

This function includes the promotion and regulation of commerce and the housing and thrift insurance industries. Commerce includes the collection and dissemination of social and economic data unless they are an integral part of another function (such as health). This function includes general purpose loans and subsidies to business and to the housing industry. In general, credit and insurance programs are included in this function; however, if such programs are a means of achieving the basic objectives of another function and are an integral part of the programs of that function they are classified in the other function.

- 19.600 Bureau of Near Eastern Affairs (NEA) (B)

### **(371) Mortgage Credit**

Includes homeownership and related loan and insurance programs.

- 10.405 Farm Labor Housing Loans and Grants (B,F)
- 10.410 Very Low to Moderate Income Housing Loans (E,F)
- 10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans (E)
- 10.415 Rural Rental Housing Loans (B,E)
- 10.417 Very Low-Income Housing Repair Loans and Grants (B,E)



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- 10.444 Direct Housing\_Natural Disaster Loans and Grants (B,E)
- 10.446 Rural Community Development Initiative (B)
- 10.447 The Rural Development (RD) Multi-Family Housing Revitalization Demonstration Program (MPR) (B)
- 10.788 Very Low to Moderate Income Housing Loans - Direct (E,F)
- 10.789 Very Low to Moderate Income Housing Loans - Guaranteed (E,F)
- 14.108 Rehabilitation Mortgage Insurance (F)
- 14.110 Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (F)
- 14.117 Mortgage Insurance\_Homes (F)
- 14.119 Mortgage Insurance\_Homes for Disaster Victims (F)
- 14.122 Mortgage Insurance\_Homes in Urban Renewal Areas (F)
- 14.123 Mortgage Insurance\_Housing in Older, Declining Areas (F)
- 14.126 Mortgage Insurance\_Cooperative Projects (F)
- 14.127 Mortgage Insurance\_Manufactured Home Parks (F)
- 14.128 Mortgage Insurance\_Hospitals (F)
- 14.129 Mortgage Insurance\_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)
- 14.133 Mortgage Insurance\_Purchase of Units in Condominiums (F)
- 14.134 Mortgage Insurance\_Rental Housing (F)
- 14.135 Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)
- 14.138 Mortgage Insurance\_Rental Housing for the Elderly (F)
- 14.139 Mortgage Insurance\_Rental Housing in Urban Renewal Areas (F)
- 14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)
- 14.151 Supplemental Loan Insurance\_Multifamily Rental Housing (F)
- 14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)
- 14.157 Supportive Housing for the Elderly (C)
- 14.159 Section 245 Graduated Payment Mortgage Program (F)
- 14.162 Mortgage Insurance\_Combination and Manufactured Home Lot Loans (F)
- 14.163 Mortgage Insurance\_Single Family Cooperative Housing (F)
- 14.167 Mortgage Insurance\_Two Year Operating Loss Loans, Section 223(d) (F)
- 14.172 Mortgage Insurance\_Growing Equity Mortgages (F)
- 14.175 Adjustable Rate Mortgages (F)
- 14.181 Supportive Housing for Persons with Disabilities (C)
- 14.183 Home Equity Conversion Mortgages (F)
- 14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)
- 14.188 Housing Finance Agencies (HFA) Risk Sharing (F)
- 14.189 Qualified Participating Entities (QPE) Risk Sharing (F)
- 14.198 Good Neighbor Next Door Sales Program (H)
- 14.311 Single Family Property Disposition (H)
- 14.313 Dollar Home Sales (H)
- 14.323 Emergency Homeowners Loan Program (E)
- 14.324 FHA PowerSaver Home Energy Improvement Pilot Program (F)
- 14.865 Public and Indian Housing\_Indian Loan Guarantee Program (F)
- 14.874 Loan Guarantees for Native Hawaiian Housing (F)
- 19.124 U.S. Department of State (B)

## **(372) Postal Service**

Any net outlays of the postal service included in the budget (or off-budget).

## **(373) Deposit Insurance**

Includes insurance programs protecting depository thrift institutions.

## **(376) Other Advancement of Commerce**

This includes loan programs designed to aid specialized forms of business (such as small business) that are not included elsewhere in the functional structure. It

also includes the costs of collection and dissemination of economic and demographic statistics (such as census data) and of regulation of business.

14.171 Manufactured Home Dispute Resolution (J)

59.059 Congressional Grants (B)

59.060 Small Business Teaming Pilot Program (B)

59.061 State Trade and Export Promotion Pilot Grant Program (B)

## **(400) TRANSPORTATION**

This function includes all programs with the primary aim of providing for the transportation of the general public and/or their property, regardless of whether local or national and regardless of the particular mode of transportation. It includes the construction of facilities; purchase of equipment; research, testing, and evaluation; provision of communications directly related to transportation (for example, air traffic control by the FAA); and operating subsidies for transportation facilities (such as mass transit) and industries (such as railroads). Transportation includes regulatory activities directed toward transportation. Excluded from this function are the costs of moving personnel or equipment as part of the operation of other government services; the provision of foreign economic assistance which may take the course of assisting transportation facilities or programs abroad; the construction of roads, trails, etc., as an integral part of the operation of public lands, parks, forests, or military reservations, unless they are specifically funded as a part of a broader transportation program; the construction of roads or other transportation facilities as an integral part of a broad community facility or regional development program where the clear intent of the program is regional development and the provisions of transportation facilities is only an incidental by-product or means to attain the objective of regional development. Also excluded from transportation are research and technology activities devoted to space research, except for aeronautical technology, even though this research may eventually redound to the advantage of general transportation.

97.072 National Explosives Detection Canine Team Program (B)

## **(401) Ground Transportation**

Outlays to aid and/or regulate the various modes of ground transportation, such as roads and highways, railroads, and urban mass transit.

20.200 Highway Research and Development Program (B)

20.205 Highway Planning and Construction (A,B)

20.215 Highway Training and Education (B,M)

20.218 National Motor Carrier Safety (A)

20.219 Recreational Trails Program (A)

20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)

20.231 Performance and Registration Information Systems Management (B)

20.232 Commercial Driver's License Program Improvement Grant (B)

20.233 Border Enforcement Grants (B)

20.234 Safety Data Improvement Program (B)

20.235 Commercial Motor Vehicle Operator Training Grants (B)

20.237 Commercial Vehicle Information Systems and Networks (B)

20.238 Commercial Drivers License Information System (CDLIS) Modernization Grant (B)

20.239 Motor Carrier Research and Technology Programs (B)

20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)

20.301 Railroad Safety (B)

20.313 Railroad Research and Development (B)

20.314 Railroad Development (B)

20.315 National Railroad Passenger Corporation Grants (B)

20.316 Railroad Rehabilitation and Improvement Financing Program (E,F)

20.317 Capital Assistance to States - Intercity Passenger Rail Service (B)

20.318 Maglev Project Selection Program - SAFETEA-LU (B)

20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants (B)

20.320 Rail Line Relocation and Improvement (B)

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- 20.321 RAILROAD SAFETY TECHNOLOGY GRANTS (B)
- 20.500 Federal Transit\_Capital Investment Grants (A,B)
- 20.505 Metropolitan Transportation Planning (A)
- 20.507 Federal Transit\_Formula Grants (A)
- 20.509 Formula Grants for Other Than Urbanized Areas (A)
- 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)
- 20.514 Public Transportation Research (B,L,M)
- 20.515 State Planning and Research (A)
- 20.516 Job Access\_Reverse Commute (B)
- 20.518 Capital and Training Assistance Program for Over-the-Road Bus Accessibility (B)
- 20.519 Clean Fuels (B)
- 20.521 New Freedom Program (A)
- 20.522 Alternatives Analysis (B)
- 20.523 Capital Assistance Program for Reducing Energy Consumption and Greenhouse Gas Emissions (B)
- 20.600 State and Community Highway Safety (A)
- 20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)
- 20.602 Occupant Protection Incentive Grants (B)
- 20.607 Alcohol Open Container Requirements (B)
- 20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)
- 20.609 Safety Belt Performance Grants (B)
- 20.610 State Traffic Safety Information System Improvement Grants (B)
- 20.611 Incentive Grant Program to Prohibit Racial Profiling (A)
- 20.612 Incentive Grant Program to Increase Motorcyclist Safety (A)
- 20.613 Child Safety and Child Booster Seats Incentive Grants (B)
- 20.614 National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants (B)
- 20.701 University Transportation Centers Program (B)
- 20.761 Biobased Transportation Research (B)
- 20.762 Research Grants (B)

## **(402) Air Transportation**

Outlays to aid and/or regulate air transportation, including aeronautical research conducted by the National Aeronautics and Space Administration.

- 20.106 Airport Improvement Program (B,K)
- 20.108 Aviation Research Grants (B,I)
- 20.109 Air Transportation Centers of Excellence (B,I,J)
- 20.901 Payments for Essential Air Services (C)
- 20.930 Payments for Small Community Air Service Development (B)
- 43.002 Aeronautics (L)
- 97.047 Pre-Disaster Mitigation (B)
- 97.056 Port Security Grant Program (B)
- 97.057 Intercity Bus Security Grants (B)
- 97.058 Operation Safe Commerce (OSC) Cooperative Agreement Program (B)
- 97.090 Law Enforcement Officer Reimbursement Agreement Program (C)
- 97.116 Port Security Grant Program (ARRA) (B)
- 97.117 TSA Airport Checked Baggage Inspection System Program (ARRA) (B)
- 97.118 Advanced Surveillance Program (ASP) (B)

## **(403) Water Transportation**

Outlays to aid and/or regulate maritime commerce. (To the extent that the data can readily be segregated, this should extend to include inland and deep draft navigation facilities of water resources projects.)

- 20.802 Federal Ship Financing Guarantees (F)
- 20.803 Maritime War Risk Insurance (G)

- 20.806 State Maritime Schools (C,I)
- 20.807 U.S. Merchant Marine Academy (M)
- 20.808 Capital Construction Fund (C)
- 20.812 Construction Reserve Fund (C)
- 20.816 Americas Marine Highway Grants (B)
- 33.001 Shipping\_Dispute Resolution and Investigation of Complaints (N)
- 97.012 Boating Safety Financial Assistance (A)
- 97.013 State Access to the Oil Spill Liability Trust Fund (B)

## **(407) Other Transportation**

Outlays for general transportation programs and overhead not readily allocable into any of the preceding subfunctions.

- 20.520 Paul S. Sarbanes Transit in the Parks (B)
- 20.700 Pipeline Safety Program Base Grants (A)
- 20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)
- 20.710 Technical Assistance Grants (B)
- 20.720 State Damage Prevention Program Grants (B)
- 20.721 PHMSA Pipeline Safety Program One Call Grant (B)
- 20.723 PHMSA Pipeline Safety Research and Development Other Transaction Agreements (B)
- 20.764 Hydrogen Storage Research and Development (B)
- 20.900 Transportation\_Consumer Affairs (N)
- 20.905 Disadvantaged Business Enterprises\_Short Term Lending Program (F)
- 20.907 Entrepreneurial Training and Technical Assistance Women and Girls Program (B)
- 20.910 Assistance to small and disadvantaged businesses (B)
- 20.931 Transportation Planning, Research and Education (B)
- 20.932 Surface Transportation \_ Discretionary Grants for Capital Investment. (B)
- 20.933 National Infrastructure Investments (B)

## **(450) COMMUNITY AND REGIONAL DEVELOPMENT**

This function consists of broad-based community, regional, urban and rural renewal and development programs. It includes grants and loans for water supply and sewer systems (except those specifically funded as environmental protection programs), urban community and economic development programs, regional economic development programs, broad-based public facility construction programs, and relief and rehabilitation of private and public facilities in the event of natural disasters. Aids to businesses such as loans, loan guarantees, and subsidies are not normally included in this function unless such aids are a means of economic development to aid restricted (generally depressed) areas and are not designed to promote particular lines of business for their own sake. Transportation facilities developed as an integral part of a community development (rather than transportation) program are also included in this function. As a normal rule, human development and services programs are excluded from this function (and included in the education, training, employment, and social services function). This function is confined to development of physical facilities or financial infrastructures designed to promote viable community economies.

## **(451) Community Development**

This subfunction includes grants and related programs designed to aid community (largely urban) development. It includes community development block grants and predecessor activities such as the urban renewal and model cities programs. Community development programs are generally carried out by the Department of Housing and Urban Development.

- 10.866 Repowering Assistance (C)
- 10.867 BIOENERGY PROGRAM FOR ADVANCED BIOFUELS (D)
- 10.868 Rural Energy for America Program (F)
- 14.191 Multifamily Housing Service Coordinators (B)
- 14.218 Community Development Block Grants/Entitlement Grants (A)

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14.225	Community Development Block Grants/Special Purpose Grants/Insular Areas (B)	10.773	Rural Business Opportunity Grants (B)
14.228	Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)	10.778	Research on the Economic Impact of Cooperatives (C)
14.246	Community Development Block Grants/Brownfields Economic Development Initiative (B)	10.780	Community Facilities Loans and Grants (B,E)
14.248	Community Development Block Grants_Section 108 Loan Guarantees (F)	10.781	Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)
14.251	Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants (B)	10.783	Rural Business Enterprise Grants - ARRA (B)
14.252	Section 4 Capacity Building for Community Development and Affordable Housing (B)	10.787	Broadband Initiatives Program (B,E)
14.259	CPD's Transformation Initiative Technical Assistance (B)	10.854	Rural Economic Development Loans and Grants (B,E)
14.263	Rural Innovation Fund (B)	10.855	Distance Learning and Telemedicine Loans and Grants (B,E)
14.264	Neighborhood Stabilization Program (B)	10.856	1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (C)
14.321	FHA Technical Assistance Training Transformation Initiative (M)	10.857	State Bulk Fuel Revolving Fund Grants (B)
14.506	General Research and Technology Activity (J)	10.858	Denali Commission Grants and Loans (B,E)
14.516	Doctoral Dissertation Research Grants (B)	10.859	Assistance to High Energy Cost Rural Communities (B,E)
14.523	Transformation Initiative Research Grants: Sustainable Community Research Grant Program (B)	10.861	Public Television Station Digital Transition Grant Program (B)
14.524	Transformation Initiative Research Grants: Natural Experiments (B)	10.862	Household Water Well System Grant Program (B)
14.525	Transformation Initiative Research Grants: Demonstration and Related Small Grants (B)	10.863	Community Connect Grant Program (B)
14.529	Fellowship Placement Pilot Program (M)	10.864	Grant Program to Establish a Fund for Financing Water and Wastewater Projects (B)
14.703	Sustainable Communities Regional Planning Grant Program (B)	10.865	Biorefinery Assistance (F)
14.704	Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants (B)	10.874	Delta Health Care Services Grant Program (B)
14.705	Capacity Building for Sustainable Communities (B)	10.886	Rural Broadband Access Loans and Loan Guarantees (E,F)
14.862	Indian Community Development Block Grant Program (B)	14.703	Sustainable Communities Regional Planning Grant Program (B)
14.900	Lead-Based Paint Hazard Control in Privately-Owned Housing (B)	14.704	Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants (B)
14.902	Lead Technical Studies Grants (B)	14.705	Capacity Building for Sustainable Communities (B)
14.905	Lead Hazard Reduction Demonstration Grant Program (B)	15.020	Aid To Tribal Governments (C)
14.906	Healthy Homes Technical Studies Grants (B)	15.021	Consolidated Tribal Government Program (C)
14.913	Healthy Homes Production Grant Program (B)	15.022	Tribal Self-Governance (C)
14.914	Asthma Interventions in Public and Assisted Multifamily Housing (B)	15.024	Indian Self-Determination Contract Support (C)
21.010	Financial Education and Counseling Pilot Program (B)	15.025	Services to Indian Children, Elderly and Families (C)
21.011	Capital Magnet Fund (B)	15.029	Tribal Courts (C)
21.012	Native Initiatives (B)	15.030	Indian Law Enforcement (C)
21.020	Community Development Financial Institutions Program (B)	15.033	Road Maintenance_Indian Roads (C)
21.021	Bank Enterprise Award Program (B)	15.036	Indian Rights Protection (C)
		15.040	Real Estate Programs_Indian Lands (C)
		15.041	Environmental Management_Indian Programs (C)
		15.052	Litigation Support for Indian Rights (C)
		15.053	Attorney Fees_Indian Rights (C)
		15.061	Indian Job Placement_United Sioux Tribes Development Corporation (D,K)
		15.062	Replacement and Repair of Indian Schools (C)
		15.124	Indian Loans_Economic Development (F)
		15.141	Indian Housing Assistance (B,L)
		15.144	Indian Child Welfare Act_Title II Grants (B)
		15.146	Ironworker Training Program (B)
		15.147	Tribal Courts_Trust Reform Initiative (B)
		23.001	Appalachian Regional Development (See individual Appalachian Programs) (B)
		23.002	Appalachian Area Development (B)
		23.003	Appalachian Development Highway System (B)
		23.009	Appalachian Local Development District Assistance (B)
		23.011	Appalachian Research, Technical Assistance, and Demonstration Projects (B)
		90.100	Denali Commission Program (B)

### **(452) Area and Regional Development**

Grants, loans, subsidies, and related aids to economic development or depressed areas that are generally either primarily for rural areas or else are more regional in nature or purpose than the community development programs. Area and regional development programs are generally carried out by agencies other than the Department of Housing and Urban Development, such as the Departments of Agriculture, Commerce, and Interior.

10.350	Technical Assistance to Cooperatives (J,K,L,M)
10.352	Value-Added Producer Grants (B)
10.760	Water and Waste Disposal Systems for Rural Communities (B,E,F)
10.761	Technical Assistance and Training Grants (B)
10.762	Solid Waste Management Grants (B)
10.763	Emergency Community Water Assistance Grants (B)
10.766	Community Facilities Loans and Grants (B,E,F)
10.767	Intermediary Relending Program (E)
10.768	Business and Industry Loans (F)
10.769	Rural Business Enterprise Grants (B)
10.770	Water and Waste Disposal Loans and Grants (Section 306C) (B,E)
10.771	Rural Cooperative Development Grants (B)

### **(453) Disaster Relief and Insurance**

This subfunction includes those Federal programs uniquely devoted to assist communities to recover from natural disasters and assist families on an emergency basis when they are adversely affected by such disasters.

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10.054 Emergency Conservation Program (C)  
 97.022 Flood Insurance (G)  
 97.023 Community Assistance Program State Support Services Element (CAP-SSSE) (B)  
 97.029 Flood Mitigation Assistance (B)  
 97.030 Community Disaster Loans (E)  
 97.031 Cora Brown Fund (C)  
 97.032 Crisis Counseling (B)  
 97.033 Disaster Legal Services (C)  
 97.034 Disaster Unemployment Assistance (C,J)  
 97.036 Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)  
 97.041 National Dam Safety Program (B)  
 97.045 Cooperating Technical Partners (B)  
 97.046 Fire Management Assistance Grant (B,J)  
 97.048 Federal Disaster Assistance to Individuals and Households in Presidential Declared Disaster Areas (B,C)  
 97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C)  
 97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)  
 97.082 Earthquake Consortium (B)  
 97.084 Hurricane Katrina Case Management Initiative Program (B)  
 97.092 Repetitive Flood Claims (B)  
 97.098 Disaster Donations Management Program (B)  
 97.109 Disaster Housing Assistance Grant (B)  
 97.110 Severe Repetitive Loss Program (B)  
 97.122 Bio-Preparedness Collaboratory (B)  
 97.126 National Special Security Event (B)

### **(500) EDUCATION, TRAINING, EMPLOYMENT, AND SOCIAL SERVICES**

This function includes those outlays designed to promote the general extension of knowledge and skills, to provide public services to needy individuals, and/or to assist individuals to become self-supporting members of society. It includes the provision of education or training child care services, employment counselling, vocational rehabilitation, and other social services provided to individuals and families. It also includes cash payments (scholarships, loans, or stipends) to persons when such payments are provided to enable a person to participate in education or training programs; it includes programs designed to provide services to the poor (such as community services) that are not an integral part of some other function, and also includes the costs of research directly related to the programs in this function. This function excludes education or training undertaken as an integral part of the achievement of another functional end (such as training of military personnel; veterans education, training, and rehabilitation; or training of health workers in a health program) and also excludes general purpose scientific research. Nutrition or food service programs that are funded separately from social services or education shall be included as income security rather than being included in this function.

84.323 Special Education - State Personnel Development (B)  
 84.324 Research in Special Education (B)  
 84.329 Special Education\_Studies and Evaluations (B)

### **(501) Elementary, Secondary, and Vocational Education**

This includes pre-school, elementary, secondary and vocational education programs.

15.026 Indian Adult Education (C)  
 15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)  
 15.028 Tribally Controlled Community College Endowments (B)  
 15.042 Indian School Equalization Program (C)

15.043 Indian Child and Family Education (B,M)  
 15.044 Indian Schools\_Student Transportation (C)  
 15.045 Assistance for Indian Children with Severe Disabilities (C)  
 15.046 Administrative Cost Grants for Indian Schools (B)  
 15.047 Indian Education Facilities, Operations, and Maintenance (C)  
 15.048 Bureau of Indian Affairs Facilities\_Operations and Maintenance (C)  
 15.058 Indian Post Secondary Schools (M)  
 15.059 Indian Graduate Student Scholarships (B)  
 15.114 Indian Education\_Higher Education Grant Program (B)  
 15.130 Indian Education\_Assistance to Schools (C)  
 15.149 FOCUS on Student Achievement Project (B)  
 15.150 Juvenile Detention Education (B)  
 15.151 Education Program Enhancements (B)  
 81.022 Laboratory Equipment Donation Program (B)  
 84.002 Adult Education - Basic Grants to States (A)  
 84.004 Civil Rights Training and Advisory Services (B)  
 84.010 Title I Grants to Local Educational Agencies (A)  
 84.011 Migrant Education\_State Grant Program (A)  
 84.013 Title I State Agency Program for Neglected and Delinquent Children and Youth (A)  
 84.027 Special Education\_Grants to States (A)  
 84.040 Impact Aid\_Facilities Maintenance (B)  
 84.041 Impact Aid (A,B)  
 84.048 Career and Technical Education -- Basic Grants to States (A)  
 84.051 Career and Technical Education -- National Programs (B)  
 84.060 Indian Education\_Grants to Local Educational Agencies (A)  
 84.083 Women's Educational Equity Program (B)  
 84.101 Career and Technical Education - Grants to Native Americans and Alaska Natives (B)  
 84.141 Migrant Education\_High School Equivalency Program (B)  
 84.144 Migrant Education\_Coordination Program (B)  
 84.149 Migrant Education\_College Assistance Migrant Program (B)  
 84.165 Magnet Schools Assistance (B)  
 84.173 Special Education\_Preschool Grants (A)  
 84.181 Special Education-Grants for Infants and Families (A)  
 84.184 Safe and Drug-Free Schools and Communities\_National Programs (B)  
 84.186 Safe and Drug-Free Schools and Communities\_State Grants (A)  
 84.191 Adult Education\_National Leadership Activities (B,C)  
 84.196 Education for Homeless Children and Youth (A)  
 84.206 Javits Gifted and Talented Students Education (B)  
 84.213 Even Start\_State Educational Agencies (A)  
 84.214 Even Start\_Migrant Education (B)  
 84.215 Fund for the Improvement of Education (B)  
 84.243 Tech-Prep Education (A)  
 84.245 Tribally Controlled Postsecondary Career and Technical Institutions (B)  
 84.256 Territories and Freely Associated States Education Grant Program (B)  
 84.258 Even Start\_Indian Tribes and Tribal Organizations (B)  
 84.259 Native Hawaiian Career and Technical Education (B)  
 84.282 Charter Schools (B)  
 84.283 Comprehensive Centers (B)  
 84.286 Ready to Teach (B)  
 84.287 Twenty-First Century Community Learning Centers (A)  
 84.293 Foreign Language Assistance (B)  
 84.295 Ready-To-Learn Television (B)  
 84.299 Indian Education -- Special Programs for Indian Children (B)  
 84.304 Civic Education - We the People and the Cooperative Education Exchange Program (B)  
 84.310 Parental Information and Resource Centers (B)

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84.318	Educational Technology State Grants (A)	84.037	Perkins Loan Cancellations (C,D)
84.325	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)	84.042	TRIO_Student Support Services (B)
84.326	Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)	84.044	TRIO_Talent Search (B)
84.327	Special Education_Technology and Media Services for Individuals with Disabilities (B)	84.047	TRIO_Upward Bound (B)
84.328	Special Education_Parent Information Centers (B)	84.063	Federal Pell Grant Program (C)
84.330	Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)	84.066	TRIO_Educational Opportunity Centers (B)
84.331	Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (A)	84.069	Leveraging Educational Assistance Partnership (A)
84.332	Comprehensive School Reform Demonstration (B)	84.103	TRIO Staff Training Program (B)
84.336	Teacher Quality Partnership Grants (B)	84.116	Fund for the Improvement of Postsecondary Education (B)
84.350	Transition to Teaching (B)	84.120	Minority Science and Engineering Improvement (B)
84.351	Arts in Education (B)	84.153	Business and International Education Projects (B)
84.354	Credit Enhancement for Charter School Facilities (B)	84.170	Javits Fellowships (B)
84.356	Alaska Native Educational Programs (B)	84.185	Byrd Honors Scholarships (A)
84.358	Rural Education (A)	84.200	Graduate Assistance in Areas of National Need (B)
84.359	Early Reading First (B)	84.217	TRIO_McNair Post-Baccalaureate Achievement (B)
84.360	High School Graduation Initiative (B)	84.220	Centers for International Business Education (B)
84.361	Voluntary Public School Choice (B)	84.229	Language Resource Centers (B)
84.362	Native Hawaiian Education (B)	84.268	Federal Direct Student Loans (E)
84.363	School Leadership (B)	84.269	Institute for International Public Policy (B)
84.364	Improving Literacy Through School Libraries (B)	84.274	American Overseas Research Centers (B)
84.365	English Language Acquisition Grants (A)	84.333	Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (B)
84.366	Mathematics and Science Partnerships (A)	84.334	Gaining Early Awareness and Readiness for Undergraduate Programs (B)
84.367	Improving Teacher Quality State Grants (A)	84.335	Child Care Access Means Parents in School (B)
84.368	Grants for Enhanced Assessment Instruments (B)	84.336	Teacher Quality Partnership Grants (B)
84.369	Grants for State Assessments and Related Activities (A)	84.337	International Education_Technological Innovation and Cooperation for Foreign Information Access (B)
84.370	DC School Choice Incentive Program (B)	84.345	Underground Railroad Educational and Cultural Program (B)
84.371	Striving Readers (A,B)	84.375	Academic Competitiveness Grants (C)
84.373	Special Education_Technical Assistance on State Data Collection (B)	84.376	National Science and Mathematics Access to Retain Talent (SMART) Grants (C)
84.374	Teacher Incentive Fund (B)	84.378	College Access Challenge Grant Program (A)
84.377	School Improvement Grants (A)	84.379	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)
84.380	Special Education -- Olympic Education Programs (B)	84.381	Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (B)
84.383	Homeless Education Disaster Assistance Program (A)	84.382	Strengthening Minority-Serving Institutions (B)
84.385	Teacher Incentive Fund, Recovery Act (B)	84.407	Transition Programs for Students with Intellectual Disabilities into Higher Education (B)
84.403	Consolidated Grant to the Outlying Areas (A)	84.408	Postsecondary Education Scholarships for Veteran's Dependents (C)
84.410	Education Jobs Fund (A)	84.409	Civil Legal Assistance Attorney Student Loan Repayment Program (E)
84.411	Investing in Innovation (i3) Fund (B)	85.101	Homeland Security Award (D)
84.412	Race to the Top Early Learning Challenge (B)	85.102	Christopher Columbus Awards (B)
<b>(502) Higher Education</b>		85.104	Life Sciences Awards (C,D)
This includes postsecondary, college level and graduate school education programs.		85.105	Agriscience Awards (C,D)
84.007	Federal Supplemental Educational Opportunity Grants (C)	<b>(503) Research and General Education Aids</b>	
84.015	National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B)	This includes assistance for the arts, the humanities, educational radio and television, public libraries, and museums.	
84.016	Undergraduate International Studies and Foreign Language Programs (B)	45.024	Promotion of the Arts_Grants to Organizations and Individuals (B)
84.017	International Research and Studies (B)	45.025	Promotion of the Arts_Partnership Agreements (B,K)
84.018	Overseas Programs_Special Bilateral Projects (B)	45.129	Promotion of the Humanities_Federal/State Partnership (A)
84.019	Overseas Programs - Faculty Research Abroad (B)	45.130	Promotion of the Humanities_Challenge Grants (B)
84.021	Overseas Programs - Group Projects Abroad (B)	45.149	Promotion of the Humanities_Division of Preservation and Access (B)
84.022	Overseas Programs - Doctoral Dissertation Research Abroad (B)	45.160	Promotion of the Humanities_Fellowships and Stipends (B)
84.031	Higher Education_Institutional Aid (B)	45.161	Promotion of the Humanities_Research (B)
84.032	Federal Family Education Loans (F)	45.162	Promotion of the Humanities_Teaching and Learning Resources and
84.033	Federal Work-Study Program (C)		

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Curriculum Development (B)  
45.163 Promotion of the Humanities\_Professional Development (B)  
45.164 Promotion of the Humanities\_Public Programs (B)  
45.168 Promotion of the Humanities\_We the People (B)  
45.169 Promotion of the Humanities\_Office of Digital Humanities (B)  
45.201 Arts and Artifacts Indemnity (G)  
84.145 Federal Real Property Assistance Program (H)  
84.305 Education Research, Development and Dissemination (B)  
84.372 Statewide Data Systems (B)

## **(504) Training and Employment**

This includes programs of job or skill training, employment services and placement, and payments to employers to subsidize employment of marginal, unemployed, or low income workers.

17.201 Registered Apprenticeship and Other Training (B,L,M)  
17.235 Senior Community Service Employment Program (A,B)  
17.258 WIA Adult Program (A)  
17.259 WIA Youth Activities (A)  
17.260 WIA Dislocated Workers (A,B)  
17.261 WIA Pilots, Demonstrations, and Research Projects (B)  
17.264 National Farmworker Jobs Program (A)  
17.265 Native American Employment and Training (A)  
17.267 Incentive Grants - WIA Section 503 (B)  
17.268 H-1B Job Training Grants (B)  
17.270 Reintegration of Ex-Offenders (B)  
17.274 Youthbuild (B)  
17.275 Program of Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors (B)  
17.276 Health Care Tax Credit (HCTC) National Emergency Grants (NEGs) (B)  
17.277 Workforce Investment Act (WIA) National Emergency Grants (B)  
17.278 WIA Dislocated Worker Formula Grants (A)  
17.279 Green Jobs Innovation Fund Grants (B)  
17.280 Workforce Investment Act (WIA) Dislocated Worker National Reserve Demonstration Grants (B)  
17.281 Workforce Investment Act (WIA) Dislocated Worker National Reserve Technical Assistance and Training (B)  
17.282 Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants (B)  
17.283 Workforce Innovation Fund (B)  
17.802 Veterans' Employment Program (B)

## **(505) Other Labor Services**

This includes aids to or regulation of the labor market (including gathering labor statistics and mediation and conciliation services) other than employment and training programs, and other than occupational safety and health programs.

17.002 Labor Force Statistics (B,L)  
17.003 Prices and Cost of Living Data (L)  
17.004 Productivity and Technology Data (L)  
17.005 Compensation and Working Conditions (B,L)  
17.700 Women's Bureau (K)  
17.720 Disability Employment Policy Development (B)  
46.001 Labor-Management Relations (J,N)

## **(506) Social Services**

This is composed of two forms of activities: (a) programs involving the provision of a broad range of services to individuals to assist them to improve their vocational capabilities (vocational rehabilitation) or family status, and (b) provision of services to the poor and elderly that are not primarily for income support and that are not an integral part of some other function (for example, community action programs).

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States (A)  
84.128 Rehabilitation Services\_Service Projects (B)  
84.129 Rehabilitation Long-Term Training (B)  
84.132 Centers for Independent Living (B)  
84.133 National Institute on Disability and Rehabilitation Research (B)  
84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)  
84.161 Rehabilitation Services\_Client Assistance Program (A)  
84.169 Independent Living\_State Grants (A)  
84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind (B)  
84.187 Supported Employment Services for Individuals with the Most Significant Disabilities (A)  
84.224 Assistive Technology (A)  
84.234 Projects with Industry (B)  
84.235 Rehabilitation Services Demonstration and Training Programs (B)  
84.240 Program of Protection and Advocacy of Individual Rights (A)  
84.246 Rehabilitation Short-Term Training (B)  
84.250 Rehabilitation Services\_American Indians with Disabilities (B)  
84.263 Rehabilitation Training\_Experimental and Innovative Training (B)  
84.264 Rehabilitation Training\_Continuing Education (B)  
84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training (B)  
84.275 Rehabilitation Training\_General Training (B)  
84.315 Capacity Building for Traditionally Underserved Populations (B)  
84.343 Assistive Technology\_State Grants for Protection and Advocacy (A)  
84.390 Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act (A)  
93.009 Compassion Capital Fund (B)  
93.010 Community-Based Abstinence Education (CBAE) (B)  
93.041 Special Programs for the Aging\_Title VII, Chapter 3\_Programs for Prevention of Elder Abuse, Neglect, and Exploitation (A)  
93.042 Special Programs for the Aging\_Title VII, Chapter 2\_Long Term Care Ombudsman Services for Older Individuals (A)  
93.043 Special Programs for the Aging\_Title III, Part D\_Disease Prevention and Health Promotion Services (A)  
93.044 Special Programs for the Aging\_Title III, Part B\_Grants for Supportive Services and Senior Centers (A)  
93.045 Special Programs for the Aging\_Title III, Part C\_Nutrition Services (A)  
93.047 Special Programs for the Aging\_Title VI, Part A, Grants to Indian Tribes\_Part B, Grants to Native Hawaiians (B)  
93.048 Special Programs for the Aging\_Title IV\_and Title II\_Discretionary Projects (B)  
93.051 Alzheimer's Disease Demonstration Grants to States (B)  
93.054 National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (B)  
93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)  
93.087 Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (B)  
93.091 Social Services and Income Maintenance Benefits Enrollment Coordination Grants (B)  
93.092 Affordable Care Act (ACA) Personal Responsibility Education Program (A,B)  
93.093 Affordable Care Act (ACA) Health Profession Opportunity Grants (B)  
93.235 Affordable Care Act (ACA) Abstinence Education Program (A)  
93.254 Infant Adoption Awareness Training (B)  
93.508 Affordable Care Act (ACA) Tribal Maternal, Infant, and Early Childhood Home Visiting Program (B)  
93.550 Transitional Living for Homeless Youth (B)

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- 93.551 Abandoned Infants (B)
- 93.556 Promoting Safe and Stable Families (A,B)
- 93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B)
- 93.569 Community Services Block Grant (A)
- 93.570 Community Services Block Grant\_Discretionary Awards (B)
- 93.581 Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)
- 93.586 State Court Improvement Program (A)
- 93.587 Promote the Survival and Continuing Vitality of Native American Languages (B)
- 93.590 Community-Based Child Abuse Prevention Grants (A)
- 93.591 Family Violence Prevention and Services/Grants For Battered Women's Shelters\_Grants to State Domestic Violence Coalitions (A)
- 93.592 Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Discretionary Grants (B)
- 93.593 Job Opportunities for Low-Income Individuals (B)
- 93.599 Chafee Education and Training Vouchers Program (ETV) (A)
- 93.600 Head Start (B)
- 93.602 Assets for Independence Demonstration Program (B)
- 93.603 Adoption Incentive Payments (A)
- 93.612 Native American Programs (B)
- 93.613 President's Committee for People with Intellectual Disabilities (PCPID) (L)
- 93.616 Mentoring Children of Prisoners (B)
- 93.617 Voting Access for Individuals with Disabilities\_Grants to States (A)
- 93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A)
- 93.623 Basic Center Grant (B)
- 93.630 Developmental Disabilities Basic Support and Advocacy Grants (A)
- 93.631 Developmental Disabilities Projects of National Significance (B)
- 93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)
- 93.645 Stephanie Tubbs Jones Child Welfare Services Program (A)
- 93.647 Social Services Research and Demonstration (B)
- 93.648 Child Welfare Research Training or Demonstration (B)
- 93.652 Adoption Opportunities (B)
- 93.667 Social Services Block Grant (A)
- 93.669 Child Abuse and Neglect State Grants (A)
- 93.670 Child Abuse and Neglect Discretionary Activities (B)
- 93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Grants to States and Indian Tribes (A)
- 93.676 Unaccompanied Alien Children Program (B)
- 93.706 Aging Nutrition Services for Native Americans (B)
- 93.708 ARRA - Head Start (B)
- 93.709 ARRA - Early Head Start (B)
- 93.710 ARRA - Community Services Block Grant (A)
- 93.711 ARRA Strengthening Communities Fund (B)
- 93.714 ARRA Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Program (A)
- 93.716 ARRA Temporary Assistance for Needy Families (TANF) Supplemental Grants (A)

### **(550) HEALTH**

This function includes those programs that have as their basic purpose the promotion of the physical and mental health of the nation's population, including the prevention of illness and accidents. It includes planning, financing, and provision of medical care; research into the causes and cure of disease; the financing of specialized programs for training of health workers and researchers; and promotion of consumer and occupational health and safety. Excluded from

the health function are Federal health care costs that are an integral part of another function, such as medicare and medical care for military personnel and for veterans. General scientific research that has medical applications (such as that conducted by the National Science Foundation) and health programs financed through foreign assistance programs are also excluded from the health function.

- 93.011 National Organizations of State and Local Officials (B)
- 93.055 Applied Leadership for Community Health Improvement (B)
- 93.056 Initiative to Educate State and Territorial Officials about Maintaining and Strengthening Public Health in a Changing Environment (B)
- 93.061 Innovations in Applied Public Health Research (B)
- 93.062 Biomonitoring Programs for State Public Health Laboratories (B)
- 93.063 Centers for Genomics and Public Health (B)
- 93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (B)
- 93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (B)
- 93.066 State Vital Statistics Improvement Program (B)
- 93.067 Global AIDS (B)
- 93.068 Chronic Diseases: Research, Control, and Prevention (B)
- 93.069 Public Health Emergency Preparedness (B)
- 93.070 Environmental Public Health and Emergency Response (B)
- 93.073 Birth Defects and Developmental Disabilities - Prevention and Surveillance (B)
- 93.088 Advancing System Improvements to Support Targets for Healthy People 2010 (B)
- 93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)
- 93.107 Area Health Education Centers Point of Service Maintenance and Enhancement Awards (B)
- 93.110 Maternal and Child Health Federal Consolidated Programs (B)
- 93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)
- 93.117 Preventive Medicine Residency Program (B,M)
- 93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)
- 93.121 Oral Diseases and Disorders Research (B)
- 93.124 Nurse Anesthetist Traineeships (A)
- 93.127 Emergency Medical Services for Children (B)
- 93.129 Technical and Non-Financial Assistance to Health Centers (B)
- 93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (B)
- 93.134 Grants to Increase Organ Donations (B)
- 93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention (B)
- 93.136 Injury Prevention and Control Research and State and Community Based Programs (B)
- 93.138 Protection and Advocacy for Individuals with Mental Illness (A)
- 93.145 AIDS Education and Training Centers (B)
- 93.150 Projects for Assistance in Transition from Homelessness (PATH) (A)
- 93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)
- 93.155 Rural Health Research Centers (B)
- 93.156 Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (B,M)
- 93.157 Centers of Excellence (B)
- 93.162 National Health Service Corps Loan Repayment Program (C)
- 93.165 Grants to States for Loan Repayment Program (B,C)
- 93.178 Nursing Workforce Diversity (B)
- 93.184 Disabilities Prevention (B)
- 93.185 Immunization Research, Demonstration, Public Information and Education\_Training and Clinical Skills Improvement Projects (B)

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93.186	National Research Service Award in Primary Care Medicine (B)	93.397	Cancer Centers Support Grants (B)
93.189	Health Education Training Centers Continuing Educational Support for Health Professionals Serving in Underserved Communities (B)	93.398	Cancer Research Manpower (B)
93.191	Patient Navigator and Chronic Disease Prevention Program (B)	93.399	Cancer Control (B)
93.197	Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)	93.400	National Health Service Corps Scholarship Program (C)
93.211	Telehealth Programs (B)	93.401	ARRA - National Health Service Corps Loan Repayment (C)
93.212	Chiropractic Demonstration Project Grants (B)	93.402	ARRA - State Loan Repayment Program (B,C)
93.217	Family Planning_Services (B)	93.403	ARRA Grants for Training in Primary Care Medicine and Dentistry Training and Enhancement (B)
93.223	Development and Coordination of Rural Health Services (A,B)	93.404	ARRA Dental Public Health Residency Training Grants (B)
93.224	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)	93.405	ARRA - Public Health Traineeship Program (A)
93.234	Traumatic Brain Injury State Demonstration Grant Program (B)	93.406	Nursing Education Loan Repayment Program (NELRP) (C)
93.236	Grants for Dental Public Health Residency Training (B)	93.407	ARRA - Scholarships for Disadvantaged Students (B)
93.241	State Rural Hospital Flexibility Program (A,B)	93.408	ARRA - Nurse Faculty Loan Program (B)
93.243	Substance Abuse and Mental Health Services_Projects of Regional and National Significance (B)	93.409	Faculty Loan Repayment Programs (C)
93.247	Advanced Nursing Education Grant Program (B)	93.410	ARRA Licensure Portability Grant Program (B)
93.249	Public Health Training Centers Grant Program (B)	93.411	ARRA Equipment to Enhance Training for Health Professionals (B)
93.250	Geriatric Academic Career Awards (B)	93.412	ARRA - Preventive Medicine Residency Program (B,M)
93.251	Universal Newborn Hearing Screening (B)	93.414	ARRA - State Primary Care Offices (B)
93.253	Poison Center Support and Enhancement Grant Program (A,B)	93.415	ARRA - Centers of Excellence (B)
93.255	Children's Hospitals Graduate Medical Education Payment (A)	93.416	ARRA - Health Careers Opportunity Program (B)
93.256	State Health Access Program (B)	93.417	ARRA - Nursing Workforce Diversity (B)
93.257	Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)	93.418	ARRA - Emergency Medical Services for Children (B)
93.259	Rural Access to Emergency Devices Grant (B)	93.419	ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program (B)
93.260	Family Planning_Personnel Training (B)	93.420	ARRA - Community Health Applied Research Network (B,C)
93.262	Occupational Safety and Health Program (B,M)	93.440	National Project Management of the Healthcare Communities Knowledge Gateway (B)
93.264	Nurse Faculty Loan Program (NFLP) (A)	93.502	Affordable Care Act (ACA) Infrastructure to Expand Access to Care (B)
93.265	Comprehensive Geriatric Education Program(CGEP) (B)	93.503	Affordable Care Act (ACA) Nursing and Home Health Aides Training Program (B)
93.266	Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (B)	93.504	Affordable Care Act (ACA) Family to Family Health Information Centers (B)
93.267	State Grants for Protection and Advocacy Services (A)	93.505	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program (A,B)
93.268	Immunization Grants (B)	93.506	ACA Nationwide Program for National and State Background Checks for Direct Patient Access Employees of Long Term Care Facilities and Providers (B)
93.269	Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)	93.510	Affordable Care Act (ACA) Primary Care Residency Expansion Program (B)
93.270	Adult Viral Hepatitis Prevention and Control (B)	93.512	Affordable Care Act (ACA) Personal and Home Care Aide State Training Program (PHCAST) (B)
93.275	Substance Abuse and Mental Health Services-Access to Recovery (B)	93.513	Affordable Care Act (ACA) Advanced Nursing Education Expansion Initiative (B)
93.283	Centers for Disease Control and Prevention_Investigations and Technical Assistance (B)	93.514	Affordable Care Act (ACA) Expansion of Physician Assistant Training Program (B)
93.288	National Health Service Corps Scholarship Program (C)	93.515	Affordable Care Act (ACA) Nurse-Managed Health Clinics (B)
93.300	National Center for Health Workforce Analysis (B)	93.516	Affordable Care Act (ACA) Public Health Training Centers Program (B)
93.301	Small Rural Hospital Improvement Grant Program (B)	93.520	Centers for Disease Control and Prevention Affordable Care Act (ACA) Communities Putting Prevention to Work (B)
93.303	Nursing Scholarship Program (C)	93.521	The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements (B)
93.338	Foreign Public Health Construction (B)	93.522	Affordable Care Act (ACA) Prevention Center for Healthy Weight (B)
93.339	Public Health Conference Support (B)	93.523	The Affordable Care Act: Human Immunodeficiency Virus (HIV) Prevention and Public Health Fund Activities (B)
93.342	Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (B)	93.526	Affordable Care Act (ACA) Grants for Capital Development in Health Centers (B)
93.359	Nurse Education, Practice and Retention Grants (B)		
93.364	Nursing Student Loans (E)		
93.365	Sickle Cell Treatment Demonstration Program (B)		
93.393	Cancer Cause and Prevention Research (B)		
93.394	Cancer Detection and Diagnosis Research (B)		
93.395	Cancer Treatment Research (B)		
93.396	Cancer Biology Research (B)		







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## Training (M)

- 93.286 Discovery and Applied Research for Technological Innovations to Improve Human Health (B)
- 93.307 Minority Health and Health Disparities Research (B)
- 93.308 National Institute on Minority Health and Health Disparities (NIMHD) Extramural Loan Repayment Programs (C)
- 93.361 Nursing Research (B)
- 93.389 National Center for Research Resources (B)
- 93.837 Cardiovascular Diseases Research (B)
- 93.838 Lung Diseases Research (B)
- 93.839 Blood Diseases and Resources Research (B)
- 93.846 Arthritis, Musculoskeletal and Skin Diseases Research (B)
- 93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research (B)
- 93.853 Extramural Research Programs in the Neurosciences and Neurological Disorders (B)
- 93.855 Allergy, Immunology and Transplantation Research (B)
- 93.859 Biomedical Research and Research Training (B)
- 93.865 Child Health and Human Development Extramural Research (B)
- 93.866 Aging Research (B)
- 93.867 Vision Research (B)
- 93.879 Medical Library Assistance (B)
- 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (B)
- 93.989 International Research and Research Training (B,M)

## **(554) Consumer and Occupational Health and Safety**

This includes such programs as meat and poultry inspection, food and drug inspection, consumer product safety, and occupational safety.

- 10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)
- 10.477 Meat, Poultry, and Egg Products Inspection (J)
- 10.479 Food Safety Cooperative Agreements (B)
- 17.502 Occupational Safety and Health\_Susan Harwood Training Grants (B)
- 17.503 Occupational Safety and Health\_State Program (B)
- 17.504 Consultation Agreements (B)
- 17.505 OSHA Data Initiative (B)
- 17.600 Mine Health and Safety Grants (B)
- 17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)
- 17.602 Mine Health and Safety Education and Training (M)
- 17.603 Brookwood-Sago Grant (B)
- 17.604 Safety and Health Grants (B)
- 93.103 Food and Drug Administration\_Research (B)
- 93.448 Food Safety and Security Monitoring Project (B)
- 93.449 Ruminant Feed Ban Support Project (B)

## **(570) MEDICARE**

### **(571) Medicare**

Medicare is composed of the Federal Hospital Insurance and Federal Supplementary Medical Insurance trust funds. This includes all off-setting collections to these two funds, except for employers share and employee retirement (subfunction\_951) and net interest (interest received by on\_budget trust funds\_902). Also includes trust funds and general funds payments to those funds.

- 93.770 Medicare\_Prescription Drug Coverage (C)
- 93.773 Medicare\_Hospital Insurance (C)
- 93.774 Medicare\_Supplementary Medical Insurance (C)

### **(600) INCOME SECURITY**

This function includes payments for or to persons for which no current service is rendered. It includes military and civilian retirement, disability, unemployment,

and welfare payments and the associated administrative costs. Also included in income security are the food stamp, special milk, and child nutrition programs (whether the benefits are in cash or kind); both Federal and trust fund unemployment compensation and workmen's compensation; public assistance cash payments; benefits to coal miners; and low and moderate-income housing aids. Excluded from this function are social security, financial assistance for educational purposes, provision or reimbursement for child care services and stipends, medical care (whether in cash or kind), and subsidies to businesses (such as farm price supports) even though they may end up as income to persons. Also excluded are income security programs restricted to veterans and their dependents.

### **(601) General Retirement and Disability Insurance (excluding Social Security)**

This includes non-needs-tested retirement and disability programs except for those specifically restricted to Federal employees and social security. Most programs in this subfunction are financed through trust fund mechanisms but it includes some Federal funds programs such as payments to coal miners. The subfunction is composed mainly of the railroad retirement fund and special benefits for coal miners.

- 17.302 Longshore and Harbor Workers' Compensation (D)
- 17.307 Coal Mine Workers' Compensation (D)
- 57.001 Social Insurance for Railroad Workers (D)
- 57.005 Economic Recovery Payments (D)

### **(602) Federal Employee Retirement and Disability**

Includes all funded retirement and disability programs restricted to Federal employees. In those cases where there are no retirement funds (such as the Coast Guard retired pay) the case benefits are included in the function where the employees were employed (in this case transportation).

### **(603) Unemployment Compensation**

Benefits for unemployed workers that are not conditioned by needs tests. This subfunction does not include other benefits (such as food stamps) that an unemployed person might be eligible for under any other program.

- 17.225 Unemployment Insurance (A,D)
- 57.001 Social Insurance for Railroad Workers (D)

### **(604) Housing Assistance**

Federal income support and related expenses that are specifically for and limited to financing or providing housing for individuals and families.

- 10.405 Farm Labor Housing Loans and Grants (B,F)
- 10.417 Very Low-Income Housing Repair Loans and Grants (B,E)
- 10.420 Rural Self-Help Housing Technical Assistance (B)
- 10.427 Rural Rental Assistance Payments (C)
- 10.433 Rural Housing Preservation Grants (B)
- 10.438 Section 538 Rural Rental Housing Guaranteed Loans (F)
- 14.005 Choice Neighborhoods Planning Grants (B)
- 14.103 Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families (C,F)
- 14.149 Rent Supplements\_Rental Housing for Lower Income Families (C)
- 14.169 Housing Counseling Assistance Program (B)
- 14.191 Multifamily Housing Service Coordinators (B)
- 14.195 Section 8 Housing Assistance Payments Program (C)
- 14.231 Emergency Shelter Grants Program (A)
- 14.235 Supportive Housing Program (B,C)
- 14.238 Shelter Plus Care (B)
- 14.239 Home Investment Partnerships Program (A)
- 14.241 Housing Opportunities for Persons with AIDS (A,B)
- 14.247 Self-Help Homeownership Opportunity Program (B)
- 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy (B)
- 14.252 Section 4 Capacity Building for Community Development and Affordable Housing (B)

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- 14.261 Homeless Management Information Systems Technical Assistance (B)
- 14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects (B)
- 14.315 Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (B)
- 14.316 Housing Counseling Training Program (B)
- 14.322 Tenant Resource Network Program (B)
- 14.400 Equal Opportunity in Housing (N)
- 14.850 Public and Indian Housing (C)
- 14.856 Lower Income Housing Assistance Program\_Section 8 Moderate Rehabilitation (C)
- 14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)
- 14.867 Indian Housing Block Grants (A)
- 14.869 Title VI Federal Guarantees for Financing Tribal Housing Activities (F)
- 14.870 Resident Opportunity and Supportive Services - Service Coordinators (B)
- 14.871 Section 8 Housing Choice Vouchers (C)
- 14.872 Public Housing Capital Fund (A)
- 14.873 Native Hawaiian Housing Block Grants (B)
- 14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (B)
- 14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)
- 14.879 Mainstream Vouchers (C)
- 14.880 Family Unification Program (FUP) (C)
- 14.881 Moving to Work Demonstration Program (A)
- 14.887 Native American Housing Block Grants (Competitive) Recovery Act Funded (B)
- 14.889 Choice Neighborhoods (B)
- 14.891 Public and Indian Housing Transformation Initiative (TI) Technical Assistance (TA) (J)

### **(605) Food and Nutrition Assistance**

Federal income support and related expenses that are specifically for and limited to financing or providing food or nutritional assistance to individuals and families.

- 10.155 Marketing Agreements and Orders (J,K)
- 10.225 Community Food Projects (B)
- 10.551 Supplemental Nutrition Assistance Program (C)
- 10.553 School Breakfast Program (A)
- 10.555 National School Lunch Program (A)
- 10.556 Special Milk Program for Children (A)
- 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)
- 10.558 Child and Adult Care Food Program (A)
- 10.559 Summer Food Service Program for Children (A)
- 10.560 State Administrative Expenses for Child Nutrition (A)
- 10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)
- 10.565 Commodity Supplemental Food Program (A,H)
- 10.566 Nutrition Assistance For Puerto Rico (C)
- 10.567 Food Distribution Program on Indian Reservations (B,H)
- 10.568 Emergency Food Assistance Program (Administrative Costs) (A,B)
- 10.569 Emergency Food Assistance Program (Food Commodities) (A)
- 10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)
- 10.574 Team Nutrition Grants (B)
- 10.576 Senior Farmers Market Nutrition Program (B)
- 10.578 WIC Grants To States (WGS) (B)

- 10.579 Child Nutrition Discretionary Grants Limited Availability (B)
- 10.580 Supplemental Nutrition Assistance Program, Outreach/Participation Program (B)
- 10.582 Fresh Fruit and Vegetable Program (B)
- 10.583 Hunger Free Communities (B)
- 10.585 FNS Food Safety Grants (B)
- 10.586 Office of Research and Analysis (ORA) Grants/Cooperative Agreements to Meet Food, Nutrition and Health Needs of Program Eligible Participants (B)
- 10.588 Assessment of Alternatives to Face-to-Face Interviews in SNAP (B)
- 97.024 Emergency Food and Shelter National Board Program (B)
- 97.114 Emergency Food and Shelter National Board Program (ARRA) (B)

### **(609) Other income security**

Income security programs that are not included in any other subfunction. This is composed primarily of either direct payments or grants-in-aid to finance direct payments that constitute cash income to low-income individuals and families, but it also includes refugee assistance and both administrative expenses and offsetting collections in the income security function that are not part of any other subfunction.

- 93.090 Guardianship Assistance (A)
- 93.558 Temporary Assistance for Needy Families (A)
- 93.560 Family Support Payments to States\_Assistance Payments (A)
- 93.563 Child Support Enforcement (A)
- 93.564 Child Support Enforcement Research (B)
- 93.566 Refugee and Entrant Assistance\_State Administered Programs (A)
- 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs (B)
- 93.568 Low-Income Home Energy Assistance (A)
- 93.575 Child Care and Development Block Grant (A)
- 93.576 Refugee and Entrant Assistance\_Discretionary Grants (B)
- 93.579 U.S. Repatriation (B)
- 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program (B)
- 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants (A)
- 93.594 Tribal Work Grants (A)
- 93.595 Welfare Reform Research, Evaluations and National Studies (B)
- 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund (A)
- 93.597 Grants to States for Access and Visitation Programs (B)
- 93.598 Services to Victims of a Severe Form of Trafficking (B)
- 93.601 Child Support Enforcement Demonstrations and Special Projects (B)
- 93.604 Assistance for Torture Victims (B)
- 93.605 Family Connection Grants (B)
- 93.658 Foster Care\_Title IV-E (A,B)
- 93.659 Adoption Assistance (A)
- 93.674 Chafee Foster Care Independence Program (A)
- 93.713 ARRA Child Care and Development Block Grant (A)

### **(650) SOCIAL SECURITY**

Social Security is composed of the Federal Old\_Age and Survivors Insurance and Federal Disability Insurance trust funds and general funds payments to those funds, all offsetting receipts by those trust funds, except those classified in subfunction 903 - interest received by off-budget trust funds.

#### **(651) Social Security**

This includes the Old Age and Survivors Insurance (OASI) and Disability Insurance (DI) trust funds and related intergovernmental payments and off\_setting collections.

### **(700) VETERANS BENEFITS AND SERVICES**

This function consists of programs providing benefits and services, the eligibility for which is related to prior military service but the financing of which is not an integral part of the costs of national defense. It includes veterans

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service-connected compensation; veterans non-service connected pensions; and veterans readjustment benefits, housing, and medical care programs. As a normal rule, the outlays in this function are similar to those in the broader general purpose functions (such as income security or health) but are restricted to veterans, their dependents, and their survivors. Earned rights of career military personnel that are a cost of the defense budget (such as military retired pay or medical care) are excluded from this function. The subfunctions of this function are so structured that they are readily additive to analogous major functions for the general population.

## **(701) Income Security for Veterans**

Includes veterans compensation, pensions, burial benefits and life insurance.

64.030 Life Insurance for Veterans Face Amount of New Life Insurance Policies Issued (G)

64.031 Life Insurance for Veterans - Direct Payments for Insurance (G)

## **(702) Veterans Education, Training, and Rehabilitation**

Composed primarily of the "GI bill" readjustment benefits.

17.801 Disabled Veterans' Outreach Program (DVOP) (A)

17.804 Local Veterans' Employment Representative Program (A)

17.805 Homeless Veterans Reintegration Project (B)

17.807 Transition Assistance Program (B)

64.027 Post-9/11 Veterans Educational Assistance (C)

64.028 Post-9/11 Veterans Educational Assistance (C)

64.032 Montgomery GI Bill Selected Reserve; Reserve Educational Assistance Program (C)

## **(703) Hospital and Medical Care for Veterans**

Composed of medical care and research financed by the Veterans Administration.

## **(704) Veterans Housing**

Composed of housing loan and guarantee programs for, and restricted to, veterans and dependents.

## **(705) Other Veterans Benefits and Services**

Mainly the administrative expenses of the Veterans Administration.

64.033 VA Supportive Services for Veteran Families Program (B)

## **(750) ADMINISTRATION OF JUSTICE**

This function includes those programs designed to provide judicial services, police protection, law enforcement (including civil rights), rehabilitation, and incarceration of criminals, and promotion of the general maintenance of domestic order. It includes the provision of court appointed counsel or other legal services to individuals. This function excludes the costs of the legislative branch, the narrow-purpose police or guard activities providing protection to Federal property, or activities which are an integral part of a broader function (such as postal inspectors, tax collection agents, and Park Service Rangers). The costs of National Guard personnel who are called upon occasionally to provide general public safety protection and military police costs are included under the national defense function rather than in this function.

## **(751) Federal Law Enforcement Activities**

Includes Customs, the Immigration and Naturalization Service, the Drug Enforcement Administration, and police and crime prevention activities in other programs. This subfunction also includes the readily identifiable enforcement costs of civil rights activities.

14.400 Equal Opportunity in Housing (N)

14.401 Fair Housing Assistance Program\_State and Local (B)

14.408 Fair Housing Initiatives Program (B)

14.416 Education and Outreach Initiatives (B)

14.417 Fair Housing Organization Initiatives (B)

14.418 Private Enforcement Initiatives (B)

14.420 Fair Housing Initiatives Program Enforcement Testing Technical

Assistance (B)

14.421 Limited English Proficiency Initiative (B)

16.012 Alcohol, Tobacco, and Firearms\_Training Assistance (M)

16.300 Law Enforcement Assistance\_FBI Advanced Police Training (M)

16.301 Law Enforcement Assistance\_FBI Crime Laboratory Support (J,M)

16.302 Law Enforcement Assistance\_FBI Field Police Training (M)

16.303 Law Enforcement Assistance\_FBI Fingerprint Identification (J)

16.304 Law Enforcement Assistance\_National Crime Information Center (J)

16.305 Law Enforcement Assistance\_Uniform Crime Reports (L)

16.307 Combined DNA Index System (B)

16.309 Law Enforcement Assistance\_National Instant Criminal Background Check System (J)

30.001 Employment Discrimination\_Title VII of the Civil Rights Act of 1964 (K,N,O)

30.005 Employment Discrimination\_Private Bar Program (J)

30.008 Employment Discrimination\_Age Discrimination in Employment (K,N,O)

30.010 Employment Discrimination Equal Pay Act (K,N,O)

30.011 Employment Discrimination\_Title I of The Americans with Disabilities Act (K,N,O)

30.013 Employment Discrimination-Title II of the Genetic Information Nondiscrimination Act of 2008 (K,N,O)

97.010 Citizenship Education and Training (B)

97.076 National Center for Missing and Exploited Children (NCMEC) (B)

97.112 Border Infrastructure Improvement Projects (B)

## **(752) Federal Litigative and Judicial Activities**

Includes the cost of the judiciary, the cost of prosecution and Federal expenses connected with financing legal defense activities.

## **(753) Federal Correctional Activities**

Covers the cost of incarceration, supervision, parole, and rehabilitation of Federal prisoners.

## **(754) Criminal Justice Assistance**

Includes the cost of grants to State and local governments to assist them in operating and improving their law enforcement and justice system.

16.013 Violence Against Women Act Court Training and Improvement Grants (B)

16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (B)

16.016 Culturally and Linguistically Specific Services Program (B)

16.017 Sexual Assault Services Formula Program (A,B)

16.018 Services to Advocate for and Respond to Youth (B)

16.019 Tribal Registry (B)

16.020 Children and Youth Exposed (B)

16.524 Legal Assistance for Victims (B)

16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)

16.526 OVW Technical Assistance Initiative (B)

16.527 Supervised Visitation, Safe Havens for Children (B)

16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)

16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)

16.556 State Domestic Violence and Sexual Assault Coalitions (A)

16.557 Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (B)

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments (B)

16.588 Violence Against Women Formula Grants (A)

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- 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)
- 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program (B)
- 16.601 Corrections\_Training and Staff Development (B,J,L,M)
- 16.602 Corrections\_Research and Evaluation and Policy Formulation (B,J,L)
- 16.603 Corrections\_Technical Assistance/Clearinghouse (B,J,L)
- 16.684 Supporting Teens through Education and Protection Act of 2005 (STEP Act) (B)
- 16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)
- 16.805 Recovery Act Transitional Housing (B)
- 16.806 Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments (B)
- 93.276 Drug-Free Communities Support Program Grants (B)
- 93.643 Children's Justice Grants to States (A)
- 97.008 Non-Profit Security Program (B)

## **(800) GENERAL GOVERNMENT**

This function includes the general overhead costs of the Federal Government, including legislative and executive activities; provision of central fiscal, personnel, and property activities; and the provision of services that cannot reasonably be classified in any other major function. As a normal rule, all activities reasonably or closely associated with other functions shall be included in those functions rather than listed as a part of general government.

- 97.018 National Fire Academy Training Assistance (C)
- 97.019 National Fire Academy Fellowship (M)
- 97.043 State Fire Training Systems Grants (B)
- 97.093 Fire Service Hazardous Materials Preparedness and Response (B)
- 97.094 Prevention Advocacy Resources and Data Exchange Program (B)
- 97.095 Safe Kids Worldwide (B)
- 97.097 Training Resource and Data Exchange (B)
- 97.099 Residential Fire Safety & Fire Sprinkler Initiatives (B)
- 97.101 National Fallen Firefighters Memorial (C)
- 97.103 Degrees at a Distance Program (B)
- 97.105 Firefighter Health and Safety (B)

## **(801) Legislative Functions**

Includes most of the costs of the legislative branch except for the Tax Court, the Library of Congress, and the Government Printing Office revolving fund.

## **(802) Executive Direction and Management**

Includes the Executive Office of the President (unless some major grants or operating programs are included in the EOP); occasionally some closely related spending outside the EOP is also included in this subfunction.

## **(803) Central Fiscal Operations**

Includes the general tax collection and fiscal operations of the Treasury Department.

- 21.003 Taxpayer Service (K)
- 21.004 Exchange of Federal Tax Information With State Tax Agencies (J)
- 21.006 Tax Counseling for the Elderly (B)
- 21.008 Low Income Taxpayer Clinics (B)
- 21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program (B)

## **(804) General Property and Records Management**

Includes most of the operations of the General Services Administration (net of reimbursements from other agencies for services rendered).

- 39.002 Disposal of Federal Surplus Real Property (H)
- 39.003 Donation of Federal Surplus Personal Property (H)
- 39.007 Sale of Federal Surplus Personal Property (H)

- 89.001 National Archives Reference Services\_Historical Research (I,K,L)
- 89.003 National Historical Publications and Records Grants (B)
- 89.005 Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (C)

## **(805) Central Personnel Management**

Includes most of the operating costs of the Office of Personnel Management (formerly the Civil Service Commission) and related agencies (net of reimbursements from other agencies for services rendered).

## **(806) General Purpose Fiscal Assistance**

Includes Federal aid to State, local, and territorial governments that is available for general fiscal support. It includes payments in lieu of taxes, grants from Forest Service and Interior Department rents, payments to territories and Puerto Rico, and the Federal payment to the District of Columbia.

- 10.665 Schools and Roads - Grants to States (A)
- 10.666 Schools and Roads - Grants to Counties (A)
- 15.659 National Wildlife Refuge Fund (D)
- 15.667 Highlands Conservation Program (B)
- 15.875 Economic, Social, and Political Development of the Territories (B,D)

## **(808) Other General Government**

Includes miscellaneous other costs such as Federal costs of territorial governments.

## **(999) MULTIPLE FUNCTIONS**

This function code is used where two or more accounts with different Treasury basic account symbols are included in a consolidated program.

- 10.444 Direct Housing\_Natural Disaster Loans and Grants (B,E)
- 10.605 Quality Samples Program (C)
- 12.112 Payments to States in Lieu of Real Estate Taxes (A)
- 12.116 Department of Defense Appropriation Act of 2003 (J)
- 14.103 Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families (C,F)
- 15.227 Distribution of Receipts to State and Local Governments (C,D)
- 15.253 Not-for-Profit AMD Reclamation (B)
- 15.254 Summer Intern and Year-Long OSM/VISTA Watershed Support (C)
- 17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)
- 17.225 Unemployment Insurance (A,D)
- 17.245 Trade Adjustment Assistance (A)
- 17.271 Work Opportunity Tax Credit Program (WOTC) (A)
- 17.272 Permanent Labor Certification for Foreign Workers (J)
- 17.273 Temporary Labor Certification for Foreign Workers (A,J,O)
- 66.808 Solid Waste Management Assistance Grants (B)
- 81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)
- 97.005 State and Local Homeland Security National Training Program (B)
- 97.007 Homeland Security Preparedness Technical Assistance Program (B)
- 97.009 Cuban/Haitian Entrant Program (B)
- 97.016 Reimbursement for Firefighting on Federal Property (C)
- 97.025 National Urban Search and Rescue (US&R) Response System (B)
- 97.026 Emergency Management Institute\_Training Assistance (C)
- 97.027 Emergency Management Institute (EMI)\_Independent Study Program (M)
- 97.028 Emergency Management Institute (EMI)\_Resident Educational Program (M)
- 97.039 Hazard Mitigation Grant (B)
- 97.040 Chemical Stockpile Emergency Preparedness Program (B)
- 97.042 Emergency Management Performance Grants (A)
- 97.044 Assistance to Firefighters Grant (B)
- 97.053 Citizen Corps (B)
- 97.055 Interoperable Emergency Communications (B)

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- 97.059 Truck Security Program (B)
- 97.061 Centers for Homeland Security (B)
- 97.062 Scientific Leadership Awards (B,C)
- 97.065 Homeland Security Advanced Research Projects Agency (B)
- 97.066 Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)
- 97.067 Homeland Security Grant Program (A)
- 97.069 Aviation Research Grants (B,I)
- 97.071 Metropolitan Medical Response System (B)
- 97.073 State Homeland Security Program (SHSP) (A)
- 97.075 Rail and Transit Security Grant Program (B)
- 97.077 Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (B,H,I,L)
- 97.078 Buffer Zone Protection Program (BZPP) (B)
- 97.080 Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (B)
- 97.083 Staffing for Adequate Fire and Emergency Response (SAFER) (B)
- 97.086 Homeland Security Outreach, Education, and Technical Assistance (B,L)
- 97.089 Driver's License Security Grant Program (B)
- 97.091 Homeland Security Biowatch Program (B,I)
- 97.104 Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (B)
- 97.106 Securing the Cities (B,I,L)
- 97.107 National Incident Management System (NIMS) (B)
- 97.108 Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)
- 97.111 Regional Catastrophic Preparedness Grant Program (RCPGP) (B)
- 97.113 Rail and Transit Security Grant Program (ARRA) (B)
- 97.115 Assistance to Firefighters Grant (ARRA) (B)
- 97.119 2010 Olympics First Responder Training (B)
- 97.120 Border Interoperability Demonstration Project (B)
- 97.121 Radiological/Nuclear Detection Pilot Evaluations Program (B,I,L)
- 97.124 Interoperable Communications and Training Project (B)
- 97.125 Virginia Operational Integration Cyber Center of Excellence (B)
- 97.127 Cybersecurity Education and Training Assistance Program (CETAP) (B)
- 97.128 National Cyber Security Awareness (B)
- 97.129 Securing Critical Underground Infrastructure Pilot Program (B)





# Appendix IV: Agency Regional and Local Office Addresses

## DEPARTMENT OF AGRICULTURE

### AGRICULTURAL MARKETING SERVICE

#### COTTON DIVISION

##### Tennessee

(Grading, Marketing Services including Market News)

Nationwide: Alabama, Arizona, Arkansas, California, Georgia, Kansas, Louisiana, Mississippi, Missouri, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia)

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# Appendix IV: Agency Regional and Local Office Addresses

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## Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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Delta States Research Center  
P.O. Box 225  
Stoneville, MS 38776  
FTS (601) 686-5345

### Midwest Area

Area Budget and Fiscal Officer  
Northern Regional Research Center  
1815 North University Street  
Peoria, IL 61604  
FTS (700) 360-4618

### North Atlantic Area

Procurement Assistance Officer  
Eastern Regional Research Center  
600 E. Mermaid Lane  
Philadelphia, PA 19118  
FTS (215) 233-6551

### Northern Plains Area

Procurement Assistance Officer  
1201 Oakridge Drive, Suite 150  
Fort Collins, CO 80525-5526  
FTS (303) 229-5513

### Pacific West Area

Procurement Assistance Officer  
Western Regional Research Center  
800 Buchanan Street  
Albany, CA 94710  
FTS (510) 559-6016

### South Atlantic Area

Area Administrative Officer  
Richard B. Russell Research Center  
College Station Road  
P.O. Box 5677  
Athens, GA 30604-5677  
FTS (706) 546-3532

### Southern Plains Area

Procurement Assistance Officer  
7607 Eastmark Drive, Suite 230  
College Station, TX 77840  
FTS (979) 960-9444

### Virginia

Headquarters, Extramural Agreements Division  
Director  
5601 Sunnyside Avenue, Room 3-2172C  
Mail Stop 5110  
Beltsville, MD 20705-5110  
(301) 504-1147

## ANIMAL AND PLANT HEALTH INSPECTION SERVICE

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### REGIONAL OFFICES

#### Central Region

(Texas, Oklahoma, Louisiana, Arkansas, Missouri,  
Kansas, Iowa, Nebraska, North Dakota, South  
Dakota)  
Vacant  
3505 Boca Chica Boulevard, Suite 360  
Brownsville, TX 78521-4065  
(956) 504-4150

(Arkansas, Iowa, Kansas, Louisiana, Missouri,  
Nebraska, North Dakota, Oklahoma, South  
Dakota, Texas)  
Dr. R. Harrington, Jr., Regional Director  
100 West Pioneer Parkway, Suite 100  
Arlington, TX 76010  
(817) 276-2201

#### Eastern Region

(Alabama, Arkansas, Connecticut, Delaware,  
District of Columbia, Florida, Georgia, Illinois,  
Indiana, Iowa, Louisiana, Kentucky, Maine,  
Maryland, Massachusetts, Minnesota, Michigan,  
Mississippi, Missouri, New Hampshire, New  
Jersey, New York, North Carolina, Ohio,  
Pennsylvania, Puerto Rico, Rhode Island, South  
Carolina, Tennessee, Vermont, Virginia, Virgin  
Islands, West Virginia, Wisconsin)  
Gary E. Larson, Regional Director  
3322 West End Avenue, Suite 301  
Nashville, TN 37203  
(615) 736-2007

(Connecticut, Maine, Massachusetts, New  
Hampshire, New Jersey, Rhode Island, Vermont,  
New York, Delaware, Pennsylvania, Wisconsin,  
Minnesota, Illinois, Indiana, Ohio, Michigan,  
District of Columbia, Maryland, Virginia, West  
Virginia)  
Jerry L. Fowler, Regional Director  
Blason II, Second Floor  
505 South Lenola Road  
Moorestown, NJ 08057-1549  
(609) 968-4970

#### Northern Region

Illinois, Indiana, Maryland, Massachusetts,  
Michigan, Minnesota, New Jersey, New York,  
Ohio, Pennsylvania, Virginia, West Virginia,

# Appendix IV: Agency Regional and Local Office Addresses

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Wisconsin)

Thomas Holt, Acting Regional Director  
1 Winner's Circle, Suite 100  
Albany, NY 12205  
(518) 453-0103

## **Southeastern Region**

(Florida, Georgia, Alabama, Kentucky, Mississippi, Tennessee, North Carolina, South Carolina, Puerto Rico, and Virgin Islands)  
Jerry L. Fowler, Regional Director  
3505 25th Avenue  
Building 1  
Gulfport, MS 39501  
(601) 863-1813

Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee)  
Harold McCoy, Assistant Regional Director  
500 E. Zack Street, Suite 410  
Tampa, FL 33602-3945  
(813) 228-2952

## **Western Region**

(Arizona, Alaska, California, Colorado, Hawaii, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming)  
W.W. Buisch, Acting Regional Director  
384 Inverness Drive South, Suite 150  
Englewood, CO 80112  
(303) 784-6202

(Alaska, Arizona, California, Colorado, Guam, Hawaii, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, Wyoming)  
Michael Worthen, Regional Director  
12345 West Alameda Parkway, Suite 204  
Lakewood, CO 80228  
(303) 969-6560

(Hawaii, Washington, Oregon, California, Alaska, Arizona, Colorado, Guam, Idaho, Montana, Nevada, New Mexico, Utah, Wyoming)  
James R. Reynolds, Regional Director  
9580 Micron Avenue, Suite I  
Sacramento, CA 95827  
(916) 857-6065

National Wildlife Research Center  
Richard Curnow  
1201 Oakridge Drive  
Ft. Collins, CO 80525  
(970) 223-1588

## **FARM SERVICE AGENCY**

SERVICE CENTER

### **Alabama**

Daniel Robinson  
Alabama State FSA Office  
For letter mail: P.O. Box 235013  
4121 Carmichael Road, Suite 600  
Montgomery, AL 36106-5013  
(334) 279-3500

### **Alaska**

Karen Olson  
Alaska State FSA Office  
800 West Evergreen, Suite 216  
Palmer, AK 99645-6389  
(907) 745-7982

### **Arizona**

George Arrendondo  
Arizona State FSA Office  
77 East Thomas Road, Suite 240  
Phoenix, AZ 85012-3318  
(602) 640-5200

### **Arkansas**

Mike Dunaway  
Arkansas State FSA Office  
Federal Building, Room 5416  
700 West Capitol Avenue  
Little Rock, AR 72201-3225  
(501) 301-3000

### **California**

Valente Dolcini, Acting  
California State FSA Office  
430 G Street, Suite 4161  
Davis, CA 95616-4161  
(530) 792-5538

### **Colorado**

Robert Eisenach  
Colorado State FSA Office  
655 Parfet Street  
Suite E 305  
Lakewood, CO 80215-5517  
(303) 236-2866

### **Connecticut**

Harvey Polinsky  
Connecticut State FSA Office  
88 Day Hill Road  
Windsor, CT 06095  
(860) 285-8483

### **Delaware**

William Donald Clifton II  
Delaware State FSA Office  
1201 College Park Drive, Suite 101  
Dover, DE 19904-8713  
(302) 678-2547

### **Florida**

Kevin L. Kelley  
Florida State FSA Office  
440 N.W. 25th Place, Suite 1  
Gainesville, FL 32606  
(352) 379-4500

### **Georgia**

Hanson Carter  
Georgia State FSA Office  
For letter mail: P.O. Box 1907  
Federal Building, Room 102  
355 East Hancock Avenue  
Athens, GA 30603-1907

(706) 546-2266

### **Hawaii**

Jo-Anna Nakata  
Hawaii State FSA Office  
300 Ala Moana Boulevard, Room 5106  
For letter mail: P.O. Box 50008  
Honolulu, HI 96850  
(808) 541-2644

### **Idaho**

Richard R. Rush  
Idaho State FSA Office  
9173 W. Barners, Suite B  
Boise, ID 83705-1511  
(208) 378-5650

### **Illinois**

Stephen Scates  
Illinois State FSA Office  
For letter mail: P.O. Box 19273  
3500 W Avenue  
Springfield, IL 62794-9273  
(217) 241-6600

### **Indiana**

Robert D. Peacock  
Indiana State FSA Office  
5981 Lakeside Boulevard  
Indianapolis, IN 46278  
(317) 290-3030, Ext. 317

### **Iowa**

Robert Soukup  
Iowa State FSA Office  
10500 Buena Vista Court  
Des Moines, IA 50322  
(515) 254-1540, Ext. 600

### **Kansas**

Adrian J. Polansky  
Kansas State FSA Office  
3600 Anderson Avenue  
Manhattan, KS 66502-2511  
(785) 539-3531

### **Kentucky**

Hampton (Hoppy) Henton  
Kentucky State FSA Office  
771 Corporate Drive, Suite 100  
Lexington, KY 40503-5478  
(606) 224-7601

### **Louisiana**

Willie F. Cooper  
Louisiana State FSA Office  
3737 Government Street  
Alexandria, LA 71302-3395  
(318) 473-7721

### **Maine**

G.Arnold Roach  
Maine State FSA Office  
444 Stillwater Avenue, Suite 1  
P.O. Box 406  
Bangor, ME 04402-0406

# Appendix IV: Agency Regional and Local Office Addresses

(207) 990-9140

## **Maryland**

James M. Voss  
Maryland State FSA Office  
River Center  
8335 Guilford Road, Suite E  
Columbia, MD 21046  
(410) 381-4550

## **Massachusetts**

Charles A. Costa  
Massachusetts State FSA Office  
445 West Street  
Amherst, MA 01002-2957  
(413) 256-0232  
Use the same number for FTS

## **Michigan**

Chris White  
Michigan State FSA Office  
3001 Coolidge Road, Suite 100  
East Lansing, MI 48823-6321  
(517) 337-6659, Ext. 1201

## **Minnesota**

Linda Hennen, Acting  
Minnesota State FSA Office  
400 Farm Credit Service Building  
375 Jackson Street  
St. Paul, MN 55101-1852  
(612) 602-7700

## **Mississippi**

David Warrington  
Mississippi State FSA Office  
P.O. Box 14995  
6310 I-55 North  
Jackson, MS 39211  
(601) 965-4300

## **Missouri**

Brad Epperson  
Missouri State FSA Office  
601 Business Loop 70 West  
Suite 225, Parkade Plaza  
Columbia, MO 65203  
(573) 876-0925

## **Montana**

Bruce E. Nelson  
Montana State FSA Office  
For letter mail: P.O. Box 670  
10 East Babcock Street, Room 557  
Bozeman, MT 59715  
(406) 587-6872

## **Nebraska**

Mark Bowen  
Nebraska State FSA Office  
For letter mail: P.O. Box 57975  
7131 A Street  
Lincoln, NE 68510-7975  
(402) 437-5581

## **Nevada**

Wendell K. Newman  
Nevada State FSA Office  
1755 East Plumb Lane, Suite 202  
Reno, NV 89502-3207  
(775) 784-5411

## **New Hampshire**

James McConaha  
USDA-New Hampshire State FSA Office  
22 Bridge Street, 4th Floor  
P.O. Box 1388  
Concord, NH 03302-1338  
(603) 224-7941

## **New Jersey**

Debbie Borie Holtz  
New Jersey State FSA Office  
Mastoris Professional Plaza  
163 Route 130  
Building 2, Suite E  
Bordentown, NJ 08505-2249  
(609) 298-3446  
Use the same number for FTS

## **New Mexico**

Larry Burnett  
New Mexico State FSA Office  
6200 Jefferson Street, N.E.  
Albuquerque, NM 87109  
(505) 761-4900

## **New York**

Marc A. Smith  
New York State FSA Office  
441 South Salina Street, Suite 356, 5th Floor  
Syracuse, NY 13202-2455  
(315) 477-6303

## **North Carolina**

Phillip Farland  
North Carolina State FSA Office  
4407 Bland Road, Suite 175  
Raleigh, NC 27609-6296  
(919) 875-4800

## **North Dakota**

Scott Stofferahn  
North Dakota State FSA Office  
1025 28th Street, SW  
For letter mail:  
P. O. Box 3046  
Fargo, ND 58108  
(701) 239-5205

## **Ohio**

Steve Maurer  
Ohio State FSA Office  
Federal Building, Room 540  
200 North High Street  
Columbus, OH 43215  
(614) 469-6735

## **Oklahoma**

Terry L. Peach  
Oklahoma State FSA Office  
100 USDA, Suite 102

Farm Road & McFarland Street  
Stillwater, OK 74074-2653  
(405) 742-1130

## **Oregon**

Jack L. Sainsbury  
Oregon State FSA Office  
7620 SW Mohawk  
For Letter Mail: P.O. Box 1300  
Tualatin, OR 97062-8121  
(503) 692-6830

## **Pennsylvania**

William H. Baumgartner  
Pennsylvania State FSA Office  
One Credit Union Place, Suite 320  
Harrisburg, PA 17110-2994  
(717) 237-2113

## **Puerto Rico**

Heriberto J. Martinez  
P.O. Box 11188  
Fernandez Junzos Station  
Suite 309, Cobian's Plaza  
1607 Ponce DeLeon Avenue  
Santurce, PR 00909-0001  
(809) 729-6872

## **Rhode Island**

Paul E. Brule  
Rhode Island State FSA Office  
60 Quaker Lane  
West Bay Office Complex, Room 40  
Warwick, RI 02886-0111  
(401) 828-8232

## **South Carolina**

Laurie C. Lawson  
South Carolina State FSA Office  
1927 Thurmond Mall, Suite 100  
Columbia, SC 29201-2375  
(803) 806-3830

## **South Dakota**

Michael O'Connor  
South Dakota State FSA Office  
200 Fourth Street, S.W., Room 308  
Federal Building  
Huron, SD 57350-2478  
(605) 352-1160

## **Tennessee**

David McDole  
Tennessee State FSA Office  
579 U.S. Courthouse  
801 Broadway  
Nashville, TN 37203-3816  
(615) 736-5555

## **Texas**

Wayland Shurley, Acting  
Texas State FSA Office  
Commerce National Bank Building, 2nd Floor  
2405 Texas Avenue South, 77840  
For letter mail: P.O. Box 2900  
College Station, TX 77841-0001



# Appendix IV: Agency Regional and Local Office Addresses

(409) 260-9207

## Utah

James L. Humlicek  
Utah State FSA Office  
125 South State Street, Room 4239  
For letter mail: P.O. Box 11350  
Salt Lake City, UT 84147-0350  
(801) 524-5013

## Vermont

Ronald Allbee, Acting  
Vermont State FSA Office  
Executive Square Office Building  
346 Shelburne Street  
Burlington, VT 05401-4995  
(802) 658-2803

## Virginia

Donald Davis  
Virginia State FSA Office  
Culpeper Building, Suite 138  
1606 Santa Rosa Road  
Richmond, VA 23229  
(804) 287-1500

## Washington

Larry R. Albin  
Washington State FSA Office  
Rock Pointe Tower, Suite 568  
316 West Boone Avenue  
Spokane, WA 99201-2350  
(509) 323-3000

## West Virginia

Billy B. Burke  
West Virginia State FSA Office  
New Federal Building  
75 High Street, Room 239  
For letter mail: P. O. Box 1049  
Morgantown, WV 26507-1049  
(304) 291-4351

## Wisconsin

Douglas J. Caruso  
Wisconsin State FSA Office  
6515 Watts Road, Room 100  
Madison, WI 53719-2797  
(608) 276-8732, Ext. 100

## Wyoming

Carl Jensen  
Wyoming State FSA Office  
951 Werner Court, Suite 130  
Casper, WY 82601-1307  
(307) 261-5231

## FOOD AND NUTRITION SERVICE

### REGIONAL OFFICES

#### California

(Western: Alaska, American Samoa, Arizona, California, Commonwealth of the Northern Marianas, Guam, Hawaii, Idaho, Nevada, Oregon, Washington, Freely Associated States of the Pacific)

Dick Montoya  
550 Kearny Street, Room 400  
San Francisco, CA 94108  
(415) 705-1310  
Use the same number for FTS

#### Colorado

(Mountain Plains: Colorado, Iowa, Kansas, Missouri, Montana Nebraska, North Dakota, South Dakota, Utah, Wyoming)  
Craig Forman  
1244 Speer Boulevard, Suite 903  
Denver, CO 80204  
(303) 844-0300  
Use the same number for FTS

#### Georgia

(Southeast: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Jerry Redding  
First Floor, Martin Luther King, Jr. Federal Annex  
77 Forsythe Street, S.W., Suite 112  
Atlanta, GA 30303  
(404) 730-2565  
Use the same number for FTS

#### Illinois

(Midwest: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Lawrence Rudmann  
77 West Jackson Boulevard, 20th Floor  
Chicago, IL 60604-3507  
(312) 353-6664  
Use the same number for FTS

#### Massachusetts

(Northeast: Connecticut, Maine, Massachusetts, New Hampshire, New York, Rhode Island, Vermont)  
Charles DeJulius  
10 Causeway Street, Room 501  
Boston, MA 02222-1068  
(617) 565-6370  
Use the same number for FTS

#### New Jersey

(Mid-Atlantic: Delaware, District of Columbia, Maryland, New Jersey, Pennsylvania, Puerto Rico, Virgin Islands, Virginia, West Virginia)  
Walt Haake  
Mercer Corporate Park  
Corporate Boulevard  
CN 02150  
Trenton, NJ 08650  
(609) 259-5025  
Use the same number for FTS

#### Texas

(Southwest: Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Judy Snow  
1100 Commerce Street, Room 5-C-30  
Dallas, TX 75242  
(214) 767-0222

Use the same number for FTS

## FOOD SAFETY AND INSPECTION SERVICE

### REGIONAL OFFICES

#### Kansas

(District 30: Kansas, Missouri)  
Dr. Keith Gilmore, District Manager  
4920 Bob Billings Parkway  
Lawrence, KS 66049 United States  
(785) 841-5600

#### Arkansas

(District 35: Arkansas, Louisiana, Oklahoma)  
Mr. Robert Bane, Deputy District Manager  
Country Club Center  
4700 South Thompson Building B, Suite 201  
Springdale, AR 72764 United States  
(479) 751-8412

#### California

(District 05: California)  
Dr. Yudhbir Sharma, District Manager  
620 Central Avenue, Building 2C  
Alameda, CA 94501 United States  
(510) 337-5000

#### Colorado

(District 15: Alaska, American Samoa, Arizona, Colorado, Guam, Hawaii, Idaho, New Mexico, Nevada, Northern Mariana Islands, Oregon, Utah, Washington)  
Dr. Ron Nelson, District Manager  
Denver Federal Center  
P.O. Box 25387, Building 45  
Denver, CO 80225 United States  
(303) 497-5411

#### Georgia

(District 85: Florida, Georgia)  
Dr. Muhammad Mughal, Deputy District Manager  
100 Alabama Street, S.W., Building 1924, Suite 3R90  
Atlanta, GA 30303 United States  
(404) 562-5900

#### Illinois

(District 50: Illinois, Indiana, Ohio)  
Mr. Paul Wolseley, District Manager  
1919 South Highland Avenue, Suite 115C  
Lombard, IL 60148 United States  
(630) 620-7474

#### Iowa

(District 25: Iowa, Nebraska)  
Dr. Dawn Sprouts, District Manager  
Room 985, Federal Building  
210 Walnut Street  
Des Moines, IA 50309 United States  
(515) 727-8960

#### Maryland

(District 75: Delaware, Washington DC, Maryland, Virginia)  
Dr. Mohamed Ibraheim, District Manager

# Appendix IV: Agency Regional and Local Office Addresses

5601 Sunnyside Avenue, Suite 1-2288 B  
Beltsville, MD 20705-5200 United States  
(301) 504-2136

## Minnesota

(District 20: Minnesota, Montana, North Dakota,  
South Dakota, Wyoming)  
Dr. Phyllis Adams, District Manager  
Butler Square West, Suite 989C  
100 N. 6th Street  
Minneapolis, MN 55403 United States  
(612) 659-7056

## Mississippi

(District 90: Alabama, Mississippi, Tennessee)  
Dr. Paul Resweber, District Manager  
713 South Pear Orchard Road, Suite 402  
Ridgeland, MS 39157 United States  
(601) 965-4312

## New York

(District 65: New Jersey, New York)  
Mr. Haroon Mian, District Manager  
230 Washington Avenue  
Albany, NY 12203-6870 United States  
(518) 452-6870

## North Carolina

(District 80: Kentucky, North Carolina, South  
Carolina)  
Dr. Steve Lalicker, District Manager  
6020 Six Forks Road  
Raleigh, NC 27609 United States  
(919) 844-8400

## Pennsylvania

(District 60: Pennsylvania)  
Mr. Jan Behney, District Manager  
Mellon Independence Center  
701 Market Street, Suite 4100A  
Philadelphia, PA 19106 United States  
(215) 430-6301

## Texas

(District 40: Texas)  
Dr. Jennifer McKean, District Manager  
1100 Commerce, Room 516  
Dallas, TX 75242 United States  
(214) 767-9116

## Wisconsin

(District 45: Michigan, Wisconsin)  
Mr. Paul Kiecker, District Manager  
2810 Crossroads Drive, Suite 3500  
Madison, WI 53718-7969 United States  
(608) 240-4080

## WAGE AND HOUR DIVISION

United States  
(614) 833-1045

United States  
(503) 399-5831

United States  
(781) 736-1843

## FOREST SERVICE

### REGIONAL OFFICES

#### Alaska

Alaska Region  
(Region 10: Alaska)  
709 W. 9th Street  
Juneau, AK 99801-1807 United States  
(907) 586-8806

#### Colorado

Rocky Mountain- Region 2  
(Region 2: Colorado, Kansas, Nebraska, South  
Dakota, except Northwestern Corner, Eastern  
two-thirds of Wyoming)

740 Simms Street  
P.O. Box 25127  
Golden, CO 80401-4720 United States  
(303) 275-5741

#### Georgia

Southern Region- Region 8  
(Region 8: Alabama, Arkansas, Florida, Georgia,  
Kentucky, Louisiana, Mississippi, North Carolina,  
Oklahoma, Puerto Rico, South Carolina,  
Tennessee, Texas, Virginia, Virgin Islands)

1720 Peachtree Road, N.W.  
Atlanta, GA 30309 United States  
(404) 347-7486

#### Montana

Northern Region- Region 1  
(Region 1: Montana, Northern Idaho, North  
Dakota, Northwestern corner of South Dakota)

Federal Building  
200 East Broadway  
P.O. Box 7669  
Missoula, MT 59807-7669 United States  
(406) 329-3511

#### New Mexico

Southwestern- Region 3  
(Region 3: Arizona, New Mexico)

333 Broadway Blvd., SE  
Santa Fe, NM 87102-3407 United States  
(505) 842-3292

#### Oregon

Pacific Northwest- Region 6  
(Region 6: Oregon, Washington)

333 S.W. First Street, P.O. Box 3623  
Portland, OR 97208-3623 United States  
(503) 808-2204

#### Pennsylvania

State and Private Forestry  
(Northeastern Area State and Private Forestry:  
Connecticut, Delaware, Illinois, Indiana, Iowa,  
Maine, Maryland, Massachusetts, Michigan,  
Minnesota, Missouri, New Hampshire, New  
Jersey, New York, Ohio, Pennsylvania, Rhode

Island, Vermont, West Virginia, Wisconsin)

11 Campus Blvd., Suite 200  
Newtown Square, PA 19073-3200 United States  
(610) 557-4103

#### Puerto Rico

International Institute of Tropical Forestry  
(International Institute of Tropical Forestry)

Jardin Botanico Sur, 1201 Calle Ceiba  
San Juan, PR 00926-1119 United States  
(787) 766-5335

#### Utah

Intermountain- Region 4  
(Region 4: Southern Idaho, Nevada, Utah, western  
one-third of Wyoming)

Federal Office Building, 324 25th Street  
Ogden, UT 84401-2300 United States  
(801) 625-5239

#### Wisconsin

Eastern- Region 9  
Region 9: (Connecticut, Delaware, Illinois,  
Indiana, Iowa, Maine, Maryland, Massachusetts,  
Michigan, Minnesota, Missouri, New Hampshire,  
New Jersey, New York, Ohio, Pennsylvania,  
Rhode Island, Vermont, West Virginia,  
Wisconsin)

626 East Wisconsin Ave., Suite 800  
Milwaukee, WI 53202-4616 United States  
(414) 297-3600

To locate Forest Supervisor and Ranger District  
Offices, consult your local telephone directory  
under U.S. Department of Agriculture, or the  
regional offices listed above.

## RESEARCH HEADQUARTERS

### California

Pacific Southwest Research Station  
(Pacific Southwest Research Station: California  
and Hawaii)

800 Buchanan Street, West Annex Building  
Albany, CA 94701-0245 United States  
(510) 559-6300

Pacific Southwest- Region 5  
(Region 5: California, Hawaii)

1323 Club Drive  
Vallejo, CA 95492-1110 United States  
(707) 562-8737

### Colorado

Rocky Mountain Research Station  
(Rocky Mountain Research Station: Arizona,  
Colorado, New Mexico, Kansas, Nebraska, North  
Dakota, Panhandle, South Dakota, Western Texas,  
Eastern two-thirds of Wyoming)

2150 Centre Ave, Building A

# Appendix IV: Agency Regional and Local Office Addresses

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Fort Collins, CO 80526-1891 United States  
(303) 275-5350

## North Carolina

Southern Research Station  
(Southern Research Station: Florida, Georgia, North Carolina, South Carolina, Virginia, Alabama, Arkansas, Louisiana, Mississippi, Oklahoma, except Panhandle, Puerto Rico, Tennessee, eastern Texas)

200 W. T. Weaver Boulevard  
Asheville, NC 28804-3454 United States  
(704) 257-4301

## Oregon

Pacific Northwest Research Station  
(Pacific Northwest Research Station: Alaska, Oregon, Washington)

333 SW First Ave  
Portland, OR 97204 United States  
(503) 808-2592

## Pennsylvania

Northern Research Station  
(Northern Research Station: Connecticut, Kentucky, Maine, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Vermont, West Virginia)

11 Campus Blvd., Suite 200  
Newtown Square, PA 19073-3200 United States  
(610) 557-4023

## Utah

(Intermountain: Idaho, Montana, Nevada, Utah, western one-third of Wyoming)  
Denver P. Burns  
324 25th Street  
Ogden, UT 84401  
(801) 625-5421

## Wisconsin

Forest Products Laboratory  
Forest Products Laboratory  
One Gifford Pinchot Drive  
Madison, WI 53726-2398 United States  
(608) 231-9200

## NATIONAL AGRICULTURAL STATISTICS SERVICE

---

SERVICE CENTER

### Alabama

Sterling Center, Suite 601  
4121 Carmichael Road  
Montgomery, AL 36106-3683  
(334) 279-3400

### Alaska

800 West Evergreen, Suite 201  
Palmer, AK 99645-6539  
(907) 745-2176

### Arizona

3003 North Central Avenue, Suite 900  
Phoenix, AZ 85012-2906  
(602) 280-8700

## Arkansas

700 W. Capitol Avenue, Room 3416  
For letter mail: P.O. Box 2778  
Little Rock, AR 72201-3225  
(501) 301-3200

## California

430 G Street, Agency 4169  
Davis, CA 95616-4169  
(530) 792-5800

## Colorado

655 Parfet Street, Room E-100  
Lakewood, CO 80215  
(303) 236-2801

## Delaware

(Delaware, Maryland)  
5201 South Dupont Highway  
P.O. Box 400  
Camden, DE 19934-9998  
(302) 697-4300

## Florida

(Florida, Virgin Islands)  
Federal Building  
4440 N.W. 25th Place  
P.O. Box 147010  
Gainesville, FL 32614-7010  
(352) 338-3400

## Georgia

355 East Hancock Avenue  
Stephens Federal Building  
Athens, GA 30601-2768  
(706) 546-2162

## Hawaii

Federal Building, Room 311  
154 Waianuenue Avenue  
Hilo, HI 96720  
(808) 933-3000

## Idaho

9173 West Barnes Drive, Suite A1  
Boise, ID 83709  
(208) 378-5600

## Illinois

Illini Plaza, Suite 103  
1817 South Neil Street  
Champaign, IL 61820  
(217) 398-5235

## Indiana

5975 Lakeside Boulevard  
Indianapolis, IN 46278  
(317) 290-3100

## Iowa

Room 873, Federal Building  
210 Walnut Street

Des Moines, IA 50309  
(515) 284-4663

## Kansas

1200 SW Executive Drive  
P.O. Box 4653  
Topeka, KS 66605  
(785) 271-2700

## Kentucky

771 Corporate Drive, Suite 200  
Lexington, KY 40503  
(606) 224-7300

## Louisiana

3727 Government Street  
Alexandria, LA 71302  
(318) 473-7920

## Maine

444 Stillwater Avenue, Suite 2  
P.O. Box 405  
Bangor, ME 04402-0405  
(207) 990-9106

## Massachusetts

(Connecticut, Massachusetts, Rhode Island)  
451 West Street  
Amherst, MA 01002  
(413) 253-4300

## Michigan

3001 Coolidge Road, Suite 200  
East Lansing, MI 48823  
(517) 337-6635

## Minnesota

410 Agribank Building  
375 Jackson Street  
St. Paul, MN 55101-1853  
(651) 602-7800

## Mississippi

Suite 831, Federal Building  
100 West Capitol Street  
Jackson, MS 39269  
(601) 965-4316

## Missouri

601 Business Loop, 70 West  
Parkade Center, Suite 235  
Columbia, MO 65203  
(573) 876-0976

## Montana

Unit 1, Suite B  
P.O. Box 850  
900 Technology Boulevard  
Bozeman, MT 59715  
(406) 585-2580

## Nebraska

Federal Building, Room 152  
100 Centennial Mall North  
Lincoln, NE 68508  
(402) 437-5551

# Appendix IV: Agency Regional and Local Office Addresses

<b>Nevada</b> 1390 South Curry Street Carson City, NV 89703-9910 (702) 887-1222	(803) 765-5163	STATE EMPLOYMENT SECURITY AGENCIES
<b>New Jersey</b> Tarnsfield Plaza, Suite 22 790 Woodland Road Mt. Holly, NJ 08060 (609) 265-3600	<b>South Dakota</b> Federal Building, Room 210 200 Fourth Street, S.W. Huron, SD 57350 (605) 352-1100	<b>Alabama</b> Vacant State Statistician Sterling Center, Suite 200 4121 Carmichael Road For letter mail: P.O. Box 240578 Montgomery, AL 36124-0578 (334) 279-3555 Use the same number for FTS (800) 832-4181 TOLL F
<b>New Mexico</b> 6200 Jefferson Street, N.E., Room 255 Albuquerque, NM 87109 (505) 761-4950	<b>Tennessee</b> 3322 West End Avenue, Suite 300 Nashville, TN 37203-1084 (615) 783-1300	<b>Alaska</b> State Statistician 809 South Chugach Street, Suite 4 Palmer, AK 99645 For letter mail: P.O. Box 799 Palmer, AK 99645 (907) 745-4272 (800) 478-6079 TOLL FREE
<b>New York</b> The Galleries of Syracuse 441 South Salina Street, Suite 357 Syracuse, NY 13202-2541 (315) 477-6400	<b>Texas</b> Federal Building, Suite 102 101 S. Main Temple, TX 76501 (254) 742-9700	<b>Arizona</b> State Statistician 3003 North Central Avenue, Suite 950 Phoenix, AZ 85012 (602) 280-8850 Use the same number for FTS (800) 645-7286 TOLL F
<b>North Carolina</b> 4405 Bland Road, Suite 260 Raleigh, NC 27609 (919) 873-2000	<b>Utah</b> Wallace F. Bennett Federal Building, Room 4311 125 South State Street P.O. Box 11350 Salt Lake City, UT 84147-0350 (801) 524-4063	<b>Arkansas</b> State Statistician 2301 South University Avenue, Room 103 Little Rock, AR 72204 (501) 296-9926 Use the same number for FTS (800) 327-2970 TOLL F
<b>North Dakota</b> Federal Building, Room 208 220 E. Rosser For Letter mail: P.O. Box 1737 Bismarck, ND 58502-1737 (701) 250-4781	<b>Vermont</b> (New Hampshire, Vermont) City Center, 3rd Floor 89 Main Street Montpelier, VT 05602 (802) 828-6010	<b>California</b> State Statistician 1220 "N" Street, Room 243 For letter mail: P.O. Box 1258 Sacramento, CA 95812 (916) 498-5161 Use the same number for FTS (800) 851-1127 TOLL F
<b>Ohio</b> Federal Building, Room 507 200 North High Street Columbus, OH 43215-2477 (614) 469-5606	<b>Virginia</b> Culpeper Building, Suite 238 1606 Santa Rosa Road Richmond, VA 23229 (804) 287-1550	<b>Colorado</b> State Statistician 645 Parfet Street, Suite W-201 For letter mail: P.O. Box 150969 Lakewood, CO 80215-0969 (303) 236-2300 Use the same number for FTS (800) 392-3202 TOLL F
<b>Oklahoma</b> 100 USDA, Suite 108 Stillwater, OK 74074-2654 (405) 742-1000	<b>Washington</b> 1835 Black Lake Boulevard, S.W., Suite B Olympia, WA 98512-5715 (360) 704-7740	<b>Delaware</b> State Statistician Delaware Department of Agriculture Building 2320 South DuPont Highway Dover, DE 19901 (302) 739-4811 (800) 282-8685 TOLL FREE (Within State Only)
<b>Oregon</b> 101 SW Main Street, Suite 1410 Portland, OR 97204-3222 (503) 414-3300	<b>West Virginia</b> Federal Building 75 High Street, Room 320 Morgantown, WV 26505-7500 (304) 291-4791	<b>Florida</b> Vacant
<b>Pennsylvania</b> One Credit Union Place, Suite 330 Harrisburg, PA 17110-2996 (717) 237-2299	<b>Wisconsin</b> 4949 Kirschling Court Stevens Point, WI 54481 (715) 345-7600	
<b>Puerto Rico</b> New San Juan Office Building, Room 501 159 Carlos E. Chardon Street Hato Rey, PR 00918-5481 (787) 766-5095	<b>Wyoming</b> To locate County Rural Development Officers, consult your telephone directory under U.S. Department of Agriculture, or the State Office of the Rural Development listed above. Federal Building, Room 1005 100 East B Street For letter mail: P.O. Box 820 Casper, WY 82602 (307) 261-6300	
<b>South Carolina</b> Strom Thurmond Federal Building 1835 Assembly Street Room 1007 Columbia, SC 29201		

# Appendix IV: Agency Regional and Local Office Addresses

State Statistician  
1222 Woodward Street  
For letter mail: P.O. Box 530105  
Orlando, FL 32853-0105  
(407) 648-6013  
Use the same number for FTS  
(800) 344-6277 TOLL F

## Georgia

State Statistician  
Stephens Federal Building, Suite 320  
Athens, GA 30613  
(706) 546-2236  
Use the same number for FTS  
(800) 253-4419 TOLL F

## Hawaii

State Statistician  
State Department of Agriculture Building  
1428 South King Street  
For letter mail: P.O. Box 22159  
Honolulu, HI 96823-2159  
(808) 973-2907  
Use the same number for FTS  
(800) 804-9514 TOLL F

## Idaho

State Statistician  
2224 Old Penitentiary Road  
For letter mail: P.O. Box 1699  
Boise, ID 83701-1699  
(208) 334-1507  
Use the same number for FTS  
(800) 691-9987 TOLL F

## Illinois

State Statistician  
Illinois Department of Agriculture Building  
801 Sangamon Avenue, Room 54  
For letter mail: P.O. Box 19283  
Springfield, IL 62794-9283  
(217) 492-4295  
Use the same number for FTS  
(800) 622-9865 TOLL F

## Indiana

State Statistician  
1148 AGAD Building, Room 223  
Purdue University  
West Lafayette, IN 47907-1148  
(765) 494-8371  
(800) 363-0469 TOLL FREE

## Iowa

State Statistician  
Federal Building  
210 Walnut Street, Room 833  
Des Moines, IA 50309  
(515) 284-4340  
Use the same number for FTS  
(800) 772-0825 TOLL F

## Kansas

State Statistician  
632 S.W. Van Buren, Room 200  
For letter mail: P.O. Box 3534

Topeka, KS 66601-3534  
(785) 233-2230  
Use the same number for FTS  
(800) 258-4564 TOLL F

## Kentucky

Vacant  
State Statistician  
Gene Snyder and Courthouse Building  
601 W. Broadway, Room 645  
For letter mail: P.O. Box 1120  
Louisville, KY 40201-1120  
(502) 582-5293  
Use the same number for FTS  
(800) 928-5277 TOLL F

## Louisiana

State Statistician  
5825 Florida Boulevard  
For letter mail: P.O. Box 65038  
Baton Rouge, LA 70896-5038  
(225) 922-1362  
(800) 256-4485 TOLL FREE

## Maryland

State Statistician  
50 Harry S Truman Parkway, Suite 202  
Annapolis, MD 21401  
(410) 841-5740  
(800) 675-0295 TOLL FREE

## Michigan

Vacant  
State Statistician  
201 Federal Building  
For letter mail: P.O. Box 20008  
Lansing, MI 48901-0008  
(517) 377-1831  
Use the same number for FTS  
(800) 453-7501 TOLL F

## Minnesota

State Statistician  
8 East 4th Street, Suite 500  
For letter Mail: P.O. Box 7068  
St. Paul, MN 55107-7068  
(651) 296-2230  
Use the same number for FTS  
(800) 453-7502 TOLL F

## Mississippi

State Statistician  
121 North Jefferson Street, Suite 230  
For letter mail: P.O. Box 980  
Jackson, MS 39205-0980  
(601) 965-4575  
Use the same number for FTS  
(800) 535-9609 TOLL F

## Missouri

State Statistician  
601 Business Loop West, Suite 240  
For letter mail: P.O. Box L  
Columbia, MO 65205  
(573) 876-0950  
Use the same number for FTS

(800) 551-1014 TOLL F

## Montana

State Statistician  
301 South Park, Federal Building, Room 398  
For Letter Mail: Drawer 10033  
Helena, MT 59626  
(406) 441-1240  
Use the same number for FTS  
(800) 835-2612 TOLL F

## Nebraska

State Statistician  
100 Centennial Mall North, Room 273, Federal Building  
For letter mail: P.O. Box 81069  
Lincoln, NE 68501-1069  
(402) 437-5541  
Use the same number for FTS  
(800) 582-6443 TOLL F

## Nevada

State Statistician  
Max C. Fleischmann Agriculture Building, Room 232  
University of Nevada  
For letter mail: P.O. Box 8880  
Reno, NV 89507-8880  
(702) 784-5584  
(888) 456-7211 TOLL FREE

## New England

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
State Statistician  
22 Bridge Street, 3rd Floor  
For letter mail: P. O. Box 1444  
Concord, NH 03302-1444  
(603) 224-9639  
Use the same number for FTS  
(800) 642-9571 TOLL F

## New Jersey

Vacant  
State Statistician  
Health and Agriculture Building, Room 205  
CN-330, New Warren Street  
Trenton, NJ 08625  
(609) 292-6385  
(800) 328-0179 TOLL FREE

## New Mexico

State Statistician  
2507 North Telshor Boulevard, Suite 4  
For letter mail: P.O. Box 1809  
Las Cruces, NM 88004-1809  
(505) 522-6023  
(800) 530-8810 TOLL FREE

## New York

State Statistician  
Department of Agriculture and Markets  
1 Winner's Circle  
Albany, NY 12235  
(518) 457-5570  
(800) 821-1276 TOLL FREE

# Appendix IV: Agency Regional and Local Office Addresses

## North Carolina

State Statistician  
2 W. Edenton Street  
P.O. Box 27767  
Raleigh, NC 27611-7767  
(919) 856-4394  
Use the same number for FTS  
(800) 437-8451 TOLL F

## North Dakota

State Statistician In Charge  
NDSU, Room 448  
1250 Albrecht Boulevard  
For letter mail: P.O. Box 3166  
Fargo, ND 58108-3166  
(701) 239-5306  
Use the same number for FTS  
(800) 626-3134 TOLL F

## Ohio

State Statistician  
Bromfield Administration Building, Room 103  
8995 East Main Street  
For Letter Mail: P.O. Box 686  
Reynoldsburg, OH 43068-0686  
(614) 728-2100  
Use the same number for FTS  
(800) 858-8144 TOLL F

## Oklahoma

State Statistician  
2800 North Lincoln Boulevard  
Oklahoma City, OK 73105  
(405) 525-9226  
(888) 525-9226 TOLL FREE

## Oregon

State Statistician  
1220 S.W. 3rd Avenue  
Room 1735, Federal Building  
Portland, OR 97204  
(503) 326-2131  
Use the same number for FTS  
(800) 338-2157 TOLL F

## Pennsylvania

State Statistician  
2301 North Cameron Street, Room G-19  
Harrisburg, PA 17110  
(717) 787-3904  
Use the same number for FTS  
(800) 498-1518 TOLL F

## South Carolina

State Statistician  
1835 Assembly Street, Room 1008  
For letter mail: P.O. Box 1911  
Columbia, SC 29202-1911  
(803) 765-5333  
Use the same number for FTS  
(800) 424-9406 TOLL F

## South Dakota

William G. Hamlin  
State Statistician

3528 South Western Avenue  
For letter mail: P.O. Box 5068  
Sioux Falls, SD 57117-5068  
(605) 330-4235  
Use the same number for FTS  
(800) 338-2557 TOLL F

## Tennessee

State Statistician  
440 Hogan Road  
Holeman Office Building  
Ellington Agricultural Center  
For letter mail: P.O. Box 41505  
Nashville, TN 37204-1505  
(615) 781-5300  
Use the same number for FTS  
(800) 626-0987 TOLL F

## Texas

State Statistician  
300 East 8th Street  
Room 500, Federal Building  
For letter mail: P.O. Box 70  
Austin, TX 78767-0700  
(512) 916-5581  
Use the same number for FTS  
(800) 626-3142 TOLL F

## Utah

State Statistician  
176 N. 2200 West, Suite 260  
For letter mail:  
P.O. Box 25007  
Salt Lake City, UT 84125-5007  
(801) 524-5003  
(800) 747-8522

## Virginia

State Statistician  
1100 Bank Street, Room 706  
For letter mail: P.O. Box 1659  
Richmond, VA 23218-1659  
(804) 771-2493  
Use the same number for FTS  
(800) 772-0670 TOLL F

## Washington

State Statistician  
1111 Washington Street, SE  
For letter mail: P.O. Box 609  
Olympia, WA 98507-0609  
(360) 902-1940  
(800) 435-5883 TOLL FREE

## West Virginia

State Statistician  
1900 Kanawha Boulevard E  
For FEDEX/UPS 4720 Brenda Lane, Building 2,  
Room 203  
Charleston, WV 25312  
(304) 345-5958  
Use the same number for FTS  
(800) 535-7088 TOLL F

## Wisconsin

Vacant

State Statistician  
2811 Agriculture Drive  
For letter mail: P.O. Box 8934  
Madison, WI 53708-8934  
(608) 224-4848  
Use the same number for FTS  
(800) 789-9277 TOLL F

## Wyoming

State Statistician  
504 West 17th Street, Suite 250  
For letter mail: P.O. Box 1148  
Cheyenne, WY 82003-1148  
(307) 772-2181  
Use the same number for FTS  
(800) 892-1660 TOLL F

## NATURAL RESOURCES CONSERVATION SERVICE

### LONGSHORE AND HARBOR WORKERS' COMPENSATION

Phillip Jones, Head  
National Soil Mechanics Center  
Federal Building, Room 152  
100 Centennial Mall North  
Lincoln, NE 68508-3866  
(402) 437-5318

Carolyn Adams, Director  
Watershed Sciences Institute  
101 SW Main Street, Suite 1700  
Portland, OR 97204-3225  
(502) 414-3001

National Employee Development Center  
501 Felix Street, Building 23  
Ft. Worth, TX 76115

Dean M. Thompson, Director  
NRI&A Institute  
Statistical Laboratory  
202 Snedecor Hall  
Iowa State University  
Ames, IA 50011  
(515) 294-8177

Frank Clearfield, Director  
Social Sciences Institute  
North Carolina A&T State University  
Applied Survey Research Laboratory  
Charles H. Moore Building  
Beech & Lindsay Streets  
Greensboro, NC 27411  
(202) 720-1511

Billy Teels, Director  
Wetlands Science Institute  
Snowden Hall  
11400 American Holy Drive  
Laurel, MD 20708-4014  
(301) 497-5911

Wildon Fontenot, Co-Director  
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Washington, DC 20013-2890  
(202) 720-4909

## Appendix IV: Agency Regional and Local Office Addresses

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Maurice Mausbach, Director  
Soil Quality Institute  
14th & Independence Avenue, N.W.  
Washington, DC 20250  
(202) 720-4525

Scott Peterson, Director  
National Plant Data Center  
P.O. Box 74490  
Baton Rouge, LA 70874  
(504) 775-6280

John Werner, Co-Director  
National Water & Climate Center  
101 SW Main Street  
Portland, OR 97204-3225  
(503) 414-3107

Dennis Lytle, Chair  
National Soil Survey Center  
Federal Building, Room 152  
100 Centennial Mall North  
Lincoln, NE 68508-3866  
(402) 437-5499

Richard Folsche, Director  
National Carto & Geospatial Database Center  
501 Felix street, Building 23  
Ft. Worth, TX 76115  
(817) 334-5292, Ext. 3031

Rhett Johnson, Director  
Grazing Lands Institute  
501 Felix Street, Building 23  
P.O. Box 6567  
Ft. Worth, TX 76115  
(817) 334-5282, Ext. 3510

### REGIONAL OFFICES

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East Regional Office  
1400 Wilson Boulevard, Suite 1100  
Arlington, VA 22209  
(703) 312-7282

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501 W. Felix Street, Building 23  
P.O. Box 6459  
Ft. Worth, TX 76115  
(817) 334-5224, Ext. 3700

Charles Adams, Acting  
Southeast Regional Office  
1720 Peachtree Road, N.W., Suite 716-N  
Atlanta, GA 30367  
(404) 347-6105

Jeffery Vonk  
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100 Centennial Mall North, Room 152  
Lincoln, NE 68508  
(402) 437-5315

Charles Whitmore  
Midwest Regional Office  
One Gifford Pinchot Drive, Room 204  
Madison, WI 53705-3210  
(608) 264-5281

Rosendo Trevino III, Acting

West Regional Office  
650 Capitol Mall, Room 6072  
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(916) 498-5284

### SERVICE CENTER

#### Alabama

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Auburn, AL 36830  
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#### Alaska

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Little Rock, AR 72201-3228  
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#### California

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Davis, CA 95616-5475  
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#### Colorado

Leroy Stokes, Acting  
655 Parfet Street, Room E200C  
Lakewood, CO 80215-5517  
(303) 236-2886, Ext. 202

#### Connecticut

Margo L. Wallace  
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Storrs, CT 06268-1299  
(203) 487-4014

#### Delaware

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1203 College Park Drive, Suite 101  
Dover, DE 19904-8713  
(302) 678-4160

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Box 141510  
Gainesville, FL 32606-6611  
(904) 338-9500

#### Georgia

Earl Cosby

Federal Building  
P.O. Box 13  
355 East Hancock Avenue  
Athens, GA 30601-2769  
(706) 546-2272

#### Hawaii

Kenneth M. Kaneshiro  
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P.O. Box 50004  
Honolulu, HI 96850-0002  
(808) 541-2601

#### Idaho

Luana E. Kiger  
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Boise, ID 83705-4711  
(208) 378-5700

#### Illinois

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Champaign, IL 61820-7335  
(217) 398-5267

#### Indiana

Robert L. Eddleman  
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Indianapolis, IN 46278-2933  
(317) 290-3200

#### Iowa

LeRoy Brown  
210 Walnut Street, Suite 693  
Federal Building  
Des Moines, IA 50309-2180  
(515) 284-6655

#### Kansas

Tomas M. Dominguez  
760 South Broadway  
Salina, KS 67401  
(913) 823-4565

#### Kentucky

David G. Sawyer  
771 Corporate Drive, Suite 110  
Lexington, KY 40503-5479  
(606) 224-7350

#### Louisiana

Kevin Norton  
3737 Government Street  
Alexandria, LA 71302-3727 United States  
(318) 473-7751

#### Maine

Darrel Dominick  
5 Godfrey Drive  
Orono, ME 04473  
(207) 866-7241

#### Maryland

David P. Doss  
John Hansen Business Center, Suite 301  
339 Busch's Frontage Road

# Appendix IV: Agency Regional and Local Office Addresses

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Annapolis, MD 21401-5534  
(410) 757-0861

## Massachusetts

Chris Clarke  
451 West Street  
Amherst, MA 01002-2995 United States  
(413) 253-4351

## Michigan

Jane E. Hardisty  
1405 South Harrison Road, Room 101  
East Lansing, MI 48823-5243  
(517) 337-6701, Ext. 1201

## Minnesota

William Hunt  
600 Farm Credit Building  
375 Jackson Street  
St. Paul, MN 55101-1854  
(612) 290-3675

## Mississippi

Homer L. Wilkes  
Suite 1321, Federal Building  
100 West Capital Street  
Jackson, MS 39269-1399  
(601) 965-5205

## Missouri

Roger A. Hansen  
Parkade Center, Suite 250  
601 Business Loop, 70 West  
Columbia, MO 65203-2546  
(573) 876-0901

## Montana

Shirley Gammon, Acting  
Federal Building, Room 443  
10 East Babcock Street  
Bozeman, MT 59715-4704  
(406) 587-6813

## Nebraska

Stephen K. Chick  
Federal Building, Room 152  
100 Centennial Mall North  
Lincoln, NE 68508-3866  
(402) 437-5327

## Nevada

William D. Goddard  
5301 Longley Lane  
Building F, Suite 201  
Reno, NV 89511-1805  
(702) 784-5863

## New Hampshire

Dawn W. Genes  
Federal Building, 2 Madbury Road  
Durham, NH 03824-1499  
(603) 433-0505

## New Jersey

Wayne Maresch  
1370 Hamilton Street

Somerset, NJ 08873-3157  
(908) 246-1205

## New Mexico

Dennis Alexander  
6200 Jefferson Northeast, Room 305  
Albuquerque, NM 87109-3734 United States  
(505) 761-4400

## New York

Richard D. Swenson  
441 South Salina Street, Suite 354, Room 520  
Syracuse, NY 13202-2450  
(315) 477-6504

## North Carolina

Mary T. Kollstedt  
4405 Bland Road, Suite 205  
Raleigh, NC 27609-6293  
(919) 873-2102

## North Dakota

Scott Hoag, Jr.  
Federal Building  
P.O. Box 1458  
220 East Rosser Avenue & 3rd Street, Room 270  
Bismarck, ND 58502-1458  
(701) 250-4421

## Ohio

Patricia K. Wolf  
Federal Building  
200 North High Street, Room 522  
Columbus, OH 43215-2478  
(614) 469-6962

## Oklahoma

Ronnie L. Clarke  
100 USDA, Suite 203  
Stillwater, OK 74074-2624  
(405) 742-1204

## Oregon

Robert J. Graham  
Federal Building, 16th Floor  
101 S.W. Main Street, Suite 1300  
Portland, OR 97204-3221  
(503) 414-3201

## Pacific Basin Area

Joan B. Perry  
Suite 301, FHB Building  
400 Route 9  
Guam, GU 96927  
(9-011-671) 472-7490

## Pennsylvania

Janet L. Oertly  
One Credit Union Place, Suite 340  
Harrisburg, PA 17110-2993  
(717) 782-2202

## Puerto Rico

Juan Martinez, Director  
IBM Building, Suite 604  
654 Munoz Rivera Avenue

Hato Rey, PR 00918-4123

## Rhode Island

Denis G. Nickel  
60 Quaker Lane, Suite 46  
Warwick, RI 02886-0111  
(401) 828-1300

## South Carolina

Mark W. Berkland  
Strom Thurmond Federal Building  
1835 Assembly Street, Room 950  
Columbia, SC 29201-2489  
(803) 765-5681

## South Dakota

Dean F. Fisher  
Federal Building  
200 4th Street, S.W.  
Huron, SD 57350-2475  
(605) 352-1200

## Tennessee

James W. Ford  
801 Broadway  
675 U.S. Courthouse  
Nashville, TN 37203-3878  
(615) 736-5471

## Texas

John P. Burt  
W. R. Poage Federal Building  
101 South Main Street  
Temple, TX 76501-7682  
(817) 774-1214

## Utah

Phillip J. Nelson, Jr.  
Wallace F. Bennett Federal Building  
125 South State Street, Room 4402  
Salt Lake City, UT 84147  
(801) 524-5050

## Vermont

John C. Titchner  
69 Union Street  
Winooski, VT 05404-1999  
(802) 951-6795

## Virginia

M. Denise Doetzer  
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1606 Santa Rosa Road, Suite 209  
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# Appendix IV: Agency Regional and Local Office Addresses

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## DEPARTMENT OF COMMERCE

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#### Denver Regional Office

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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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(312) 353-0182

Use the same number for FTS

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## New York

(Federal Regions I, II and III: Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Puerto Rico, Rhode Island, Vermont, the Virgin Islands, and West Virginia)

Heyward Davenport, Director  
26 Federal Plaza, Room 3720  
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Philadelphia, PA 19106  
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(Federal Regions VI and VIII: Arkansas, Colorado, Louisiana, Montana, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah and Wyoming)

John F. Iglehart, Director  
1100 Commerce Street, Room 7B23  
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# Appendix IV: Agency Regional and Local Office Addresses

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(214) 767-8001

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## **NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA)**

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### **Alaska Region**

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### **Northeast Region**

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### **Southeast Region**

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### **Southwest Fisheries Science Center**

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### **Southwest Region**

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### **Virginia**

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RADM Nicholas A. Prah  
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## **OFFICE OF THE SECRETARY**

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### **Region I - Boston**

Regional Manager  
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### **Region II - New York**

Regional Manager  
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### **Region III - Philadelphia**

Regional Manager  
150 S. Independence Mall, Suite 372  
Philadelphia, PA 19101  
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### **Region IV - Atlanta**

Regional Manager  
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Atlanta, GA 30323  
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### **Region IX - San Francisco**

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### **Region V - Chicago**

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### **Region VII - Kansas City**

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# Appendix IV: Agency Regional and Local Office Addresses

---

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## DEPARTMENT OF DEFENSE

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Mr. Peter Smallidge  
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#### USA Construction Engineering Research Laboratories

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#### USA Topographic Engineering Center

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#### USAE Waterways Experiment Station

Mr. William McGleese  
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#### Commander, Defense General Supply Center

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(804) 275-3801

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#### DCMD North Central

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#### DCMD Northeast

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(617) 451-4317/8

#### DCMD South

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Marietta, GA 30060-2789  
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#### DCMD West

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#### Defense Logistics Agency

Small and Disadvantaged Business Utilization (DLA-U)  
Room 4B130, Cameron Station  
Alexandria, VA 22304-6100  
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Defense Contract Management District (DCMD)  
Contact: Associate Directors for Small Business

Defense Logistics Agency  
Directorate of Supply Operations  
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#### Armstrong Laboratory

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# Appendix IV: Agency Regional and Local Office Addresses

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BG Arthur E. Williams  
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A.J. Breithaupt  
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Col. James E. Corbin  
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BG Robert H. Ryan  
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Col. Donald E. Hazen  
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## Oklahoma

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# Appendix IV: Agency Regional and Local Office Addresses

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## NATIONAL GUARD BUREAU

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ARNG Diistributive Learning Program  
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# Appendix IV: Agency Regional and Local Office Addresses

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## OFFICE OF THE SECRETARY OF DEFENSE

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Birmingham, AL 35203-5302  
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3000 C Street, Suite 401  
Anchorage, AK 99503  
(907) 677-9800(907) 667-9807 FAX

### Alaska

Anchorage Field Office  
3000 C. Street  
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### Arizona

Tucson Field Office  
160 North Stone Avenue  
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Los Angeles Field Office  
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Five Points Plaza  
40 Marietta Street  
Atlanta, GA 30303-2806  
(404) 331-4111(404) 730-2392 FAX

### Great Plains Field Offices

(Iowa, Kansas, Missouri, Nebraska)

### Hawaii

Honolulu Field Office  
Three Waterfront Plaza  
500 Ala Moana Boulevard, Suite 3A  
Honolulu, HI 96813-4918  
(808) 522-8175, Ext. 256 or 259(808) 522-8194 FAX

### Idaho

Boise Field Office  
Plaza IV, Suite 220  
800 Park Boulevard  
Boise, ID 83712-7743  
(208) 334-1990, Ext. 3007(208) 334-9648 FAX

### Illinois

Springfield Field Office  
320 West Washington 7th Floor  
Springfield, IL 62701  
(217) 492-4120(217) 492-4154 FAX

Chicago Regional Office  
Ralph H. Metcalfe Federal Building  
77 West Jackson Boulevard  
Chicago, IL 60604-3507

# Appendix IV: Agency Regional and Local Office Addresses

(312) 353-5680(312) 886-2729 FAX

## Indiana

Indianapolis Field Office  
151 North Delaware Street, Suite 1200  
Indianapolis, IN 46204-2526  
(317) 226-6303(317) 226-6317 FAX

## Iowa

Des Moines Field Office  
Federal Building  
210 Walnut Street, Room 239  
Des Moines, IA 50309-2155  
(515) 284-4512(515) 284-4743 FAX

## Kansas

Kansas City Regional Office  
Gateway Tower II  
400 State Avenue, Room 200  
Kansas City, KS 66101-2406  
(913) 551-5462, Ext. 4(913) 551-5469 FAX

## Kentucky

Louisville Field Office  
601 West Broadway  
Post Office Box 1044  
Louisville, KY 40202  
(502) 582-5251(502) 582-6074 FAX

## Louisiana

New Orleans Field Office  
Hale Boggs Federal Building  
501 Magazine Street, 9th Floor  
New Orleans, LA 70130-3099  
(504) 589-7201(504) 589-6619 FAX

Shreveport Field Office  
401 Edwards Street, Suite 1510  
Shreveport, LA 71101-5513  
(318) 676-3440(318) 676-3407 FAX

## Maine

Bangor Field Office  
Margaret Chase Smith Federal Building  
Room 101  
202 Harlow Street  
Bangor, ME 04402-1384  
(207) 945-0467(207) 945-0533 FAX

## Maryland

Baltimore Field Office  
City Crescent Building  
10 South Howard Street, Fifth Floor  
Baltimore, MD 21201-2505  
(410) 962-2520, Ext. 3474(410) 962-1849 FAX

## Massachusetts

Boston Regional Office  
Thomas P. O'Neill, Jr. Federal Building  
10 Causeway Street, Room 301  
Boston, MA 02222-1092  
(617) 994-8200(617) 565-5257 FAX

## Michigan

Detroit Field Office  
Patrick V. McNamara Federal Building  
477 Michigan Avenue

Detroit, MI 48226-2592  
(313) 226-7900(313) 226-5611 FAX

Grand Rapids Field Office  
Trade Center Building  
50 Louis Street, N.W.  
Grand Rapids, MI 49503-2633  
(616) 456-2100(616) 456-2114 FAX

Flint Field Office Office  
Municipal Center  
1101 S. Saginaw Street  
Flint, MI 48502-1953  
(810) 766-5112(810) 766-5122 FAX

## Mid Atlantic Field Offices

(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)

## Midwest Field Offices

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)

## Minnesota

Minneapolis Field Office  
220 Second Street, South  
Minneapolis, MN 55401-2195  
(612) 370-3000, Ext. 2045(612) 370-3220 FAX

## Mississippi

Jackson Field Office  
Doctor A. H. McCoy Federal Building  
100 West Capitol Street, Room 910  
Jackson, MS 39269-1096  
(601) 965-4757(601) 965-4773 FAX

## Missouri

St. Louis Field Office  
Robert A. Young Federal Building  
1222 Spruce Street, Suite 3207  
St. Louis, MO 63103-2836  
(314) 539-6583(314) 539-6384 FAX

## Montana

Helena Field Office  
Power Block Building  
7 West Sixth Avenue  
Helena, MT 59601  
(406) 449-5050(406) 449-5052 FAX

## Nebraska

Omaha Field Office  
Executive Tower Centre  
10909 Mill Valley Road, Suite 100  
Omaha, NE 68154-3955  
(402) 492-3101(402) 492-3150 FAX

## Nevada

Las Vegas Field Office  
Atrium Building  
333 North Rancho Drive, Suite 700  
Las Vegas, NV 89106-3714  
(702) 388-6500(702) 388-6244 FAX

Reno Field Office  
3702 South Virginia Avenue  
Reno, NV 89502-6581  
(775) 784-5383(775) 784-5005 FAX

## New England Field Offices

(Connecticut, Maine, Massachusetts, New  
Hampshire, Rhode Island, Vermont)  
Connecticut State Office  
One Corporate Center, 19th Floor  
Hartford, CT 06103-3220  
(860) 240-4844  
(860) 240-4850 FAX

## New Hampshire

Manchester Field Office  
Norris Cotton Federal Building  
275 Chestnut Street  
Manchester, NH 03103-2487  
(603) 666-7510(603) 666-7667 FAX

## New Jersey

Camden Field Office  
Hudson Building  
800 Hudson Square, Second Floor  
Camden, NJ 08102-1156  
(856) 757-5081(856) 757-5373 FAX

Newark Field Office  
One Newark Center, 13th Floor  
Newark, NJ 07102-5260  
(973) 622-7900(973) 645-2323 FAX

## New Mexico

Albuquerque Field Office  
625 Silver Avenue S.W., Suite 100  
Albuquerque, NM 87102-3185  
(505) 346-7320, Ext. 7332(505) 346-6704 FAX

## New York

Albany Field Office  
52 Corporate Circle  
Albany, NY 12203-5121  
(518) 464-4200, Ext. 4204(518) 464-4300 FAX

New York Regional Office  
26 Federal Plaza, Suite 3541  
New York, NY 10278-0068  
(212) 264-8000(212) 264-3068 FAX

Syracuse Field Office  
128 Jefferson Street  
Syracuse, NY 13202  
(315) 477-0616(315) 477-0196 FAX

Buffalo Field Office Office  
Lafayette Court  
465 Main Street, Second Floor  
Buffalo, NY 14203-1780  
(716) 551-5755, Ext. 5000(716) 551-5752 FAX

## New York/New Jersey Field Offices

(New York, New Jersey)]

## North Carolina

Greensboro Field Office  
Asheville Building  
1500 Pinecroft Road  
Suite 401  
Greensboro, NC 27407-3838  
(336) 547-4001(336) 547-4138 FAX

## North Dakota

# Appendix IV: Agency Regional and Local Office Addresses

Fargo Field Office  
Federal Building  
657 2nd Avenue North, Room 366  
Fargo, ND 58108-2483  
(701) 239-5136(701) 239-5249 FAX

## Northern Plains

UMB Plaza  
1670 Broadway, 22nd Floor  
Denver, CO 80202-4801  
(303) 672-5465(303) 672-5003 FAX

## Northwest

Seattle Federal Office Building  
909 First Avenue, Suite 300  
Seattle, WA 98104-1000  
(206) 220-5270(206) 220-5234 FAX

## Northwest/Alaska Field Offices

(Idaho, Oregon, Washington, Alaska)

## Ohio

Cincinnati Field Office  
15 East Seventh Street  
Cincinnati, OH 45202-2401  
(513) 684-3451(513) 684-6224 FAX

Columbus Field Office  
200 North High Street  
Columbus, OH 43215-2463  
(614) 469-2540, Ext. 8116(614) 469-2432 FAX

Cleveland Field Office  
Renaissance Building  
1350 Euclid Avenue, Suite 500  
Cleveland, OH 44115-1815  
(216) 522-4058, Ext. 7102(216) 522-4067 FAX

## Oklahoma

Oklahoma City Field Office  
500 West Main Street, Suite 400  
Oklahoma City, OK 73102-2233  
(405) 553-7509(405) 553-7588 FAX

Tulsa Field Office  
1516 South Boston Street, Suite 100  
Tulsa, OK 74119-4030  
(918) 581-7434(918) 581-7440 FAX

## Oregon

Portland Field Office  
400 Southwest Sixth Avenue, Suite 700  
Portland, OR 97204-1632  
(503) 326-2561(503) 326-2568 FAX

## Pacific/Hawaii Field Offices

(Arizona, California, Nevada, Hawaii)

## Pennsylvania

Pittsburgh Field Office  
Sixth Floor  
339 Sixth Avenue  
Pittsburgh, PA 15222-2515  
(412) 644-6436(412) 644-4240 FAX

Philadelphia Regional Office  
The Wanamaker Building  
100 Penn Square East

Philadelphia, PA 19107-3380  
(215) 656-0500(215) 656-3445 FAX

## Puerto Rico

San Juan Field Office  
New San Juan Office Building  
171 Carlos E. Chardon Avenue  
San Juan, PR 00918-0903  
(787) 766-5201(787) 766-5995 FAX

## Rhode Island

Providence Field Office  
Sixth Floor  
10 Weybosset Street  
Providence, RI 02903-2818  
(401) 528-5230(401) 528-5312 FAX

## Rocky Mountains Field Offices

(Colorado, Montana, North Dakota, South Dakota,  
Utah, Wyoming)

## South Carolina

Columbia Field Office  
Strom Thurmond Federal Building 13th Floor  
1835 Assembly Street  
Columbia, SC 29201-2480  
(803) 765-5592(803) 253-3043 FAX

## South Dakota

Sioux Falls Field Office  
2400 West 49th Street, Suite I-201  
Sioux Falls, SD 57105-6558  
(605) 330-4223(605) 330-4428 FAX

## Southeast/Caribbean Field Offices

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee, Caribbean, Panama Canal Zone, Puerto  
Rico, Virgin Islands)

## Southern Plains

301 N.W. 6th Street Suite 200  
Oklahoma City, OK 73102  
(405) 609-8532(405) 609-8403 FAX

## Southwest

One North Central Avenue Suite 600  
Phoenix, AZ 85004-2361  
(602) 379-7200(602) 379-3101 FAX

## Southwest Field Offices

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)

## Tennessee

Nashville Field Office  
235 Cumberland Bend Drive, Suite 200  
Nashville, TN 37228-1803  
(615) 736-5213, Ext. 7120(615) 736-7848 FAX

Memphis Field Office  
One Memphis Place  
200 Jefferson Avenue, Suite 1200  
Memphis, TN 38103-2335  
(901) 544-3367(901) 544-3697 FAX

Knoxville Field Office

John J. Duncan Federal Building  
710 Locust Street, Third Floor  
Knoxville, TN 37902-2526  
(865) 545-4384(865) 545-4569 FAX

## Texas

San Antonio Field Office  
One Alamo Center  
106 South St. Mary's Street  
San Antonio, TX 78205  
(210) 475-6806(210) 472-6804 FAX

Lubbock Field Office  
George H. Mahon Federal Building and United  
States Courthouse  
1205 Texas Avenue, Room 511  
Lubbock, TX 79401-4093  
(806) 472-7265, Ext. 3030(806) 472-7275 FAX

Houston Field Office  
1301 Fannin Suite 2200  
Houston, TX 77002  
(713) 718-3199(713) 313-2319 FAX

Fort Worth Regional Office  
801 Cherry Street  
P.O. Box 2905  
Fort Worth, TX 76113-2905  
(817) 978-5965(817) 978-5567 FAX

Dallas Field Office  
525 Griffin Street, Room 860  
Dallas, TX 75202-5007  
(214) 767-8300(214) 767-8973 FAX

## Utah

Salt Lake City Field Office  
125 South State Street Suite 3001  
Salt Lake City, UT 84138  
(801) 524-6070(801) 524-3439 FAX

## Vermont

Burlington Field Office  
159 Bank Street, 2nd Floor  
Burlington, VT 05401-4410  
(802) 951-6290(802) 951-6298 FAX

## Virginia

Richmond Field Office  
The 3600 Centre  
600 East Broad Street, 3rd Floor  
Richmond, VA 23219-4920  
(804) 771-2100(804) 771-2090 FAX

## Washington

Spokane Field Office  
U.S. Courthouse Building  
920 West Riverside, Room 588  
Spokane, WA 99201-1010  
(509) 353-0674(509) 353-0682 FAX

Seattle Regional Office  
Seattle Federal Office Building  
909 1st Avenue, Suite 200  
Seattle, WA 98104-1000  
(206) 220-5101(206) 220-5108 FAX

## West Virginia

# Appendix IV: Agency Regional and Local Office Addresses

Charleston Field Office  
Kanawha Valley Building  
405 Capitol Street, Suite 708  
Charleston, WV 25301-1795  
(304) 347-7000, Ext. 101(304)-347-7050 FAX

## Wisconsin

Milwaukee Field Office  
Henry S. Reuss Federal Plaza  
310 West Wisconsin Avenue, Suite 1380  
Milwaukee, WI 53203-2289  
(414) 297-3214, Ext. 8001(414) 297-3947 FAX

## Wyoming

Casper Field Office  
Federal Office Building  
100 East B Street, Room 1010  
Casper, WY 82601-1969  
(307) 261-6250(307) 261-6245 FAX

## DEPARTMENT OF THE INTERIOR

### District I

All Indian Reservations in North Dakota, South Dakota, Nebraska, Wisconsin, Michigan and Minnesota  
Office of Law Enforcement  
Bureau of Indian Affairs  
115 4th Avenue, S.E., MC: 302  
Aberdeen, SD 57401

### District II

All Indian Tribes in Eastern Oklahoma, all Indian Reservations in Western Oklahoma, and Kansas  
Office Law Enforcement  
Bureau of Indian Affairs  
101 N. 5th Street  
Muskogee, OK 74401

### District III

All Indian Reservations in Arizona, Nevada, Utah (excluding Navajo) and Indian Reservations in Northern California  
Office of Law Enforcement  
Bureau of Indian Affairs  
N. 5th Street, Bldg 2  
Mailing Address:  
P.O. Box 10  
Phoenix, AZ 85001

### District IV

All Indian Reservations in Southern Colorado, New Mexico, and all Navajo Indian Reservations in Arizona, New Mexico and Utah  
Office of Law Enforcement  
Bureau of Indian Affairs  
P.O. Box 26567  
Albuquerque, NM 87125-6567

### District V

All Indian Reservations in Montana, Wyoming, Oregon, Washington, Idaho, and Alaska  
Office of Law Enforcement  
Bureau of Indian Affairs  
316 North 26th Street

Billings, MT 59101

## Eastern Region

All Indian Reservations in Alabama, Connecticut, Florida, Louisiana, Maine, Mississippi, New York, North Carolina and Rhode Island  
Office of Law Enforcement  
Bureau of Indian Affairs  
1849 C Street, NW., MS 4550 MIB  
Washington, DC 20240-0001

## BUREAU OF INDIAN AFFAIRS

### Deputy Commissioner of Indian Affairs

1849 C Street N.W., MS-4140 MIB  
Washington, DC 20240  
(202) 208-5116

### 101 12th Avenue, Room 16

Metlakatla Field Office  
P.O. Box 450  
Metlakatla, AK 99926  
(907) 886-3791

Fairbanks Agency  
Fairbanks, AK 99701-6270  
(907) 456-0222

## Alaska

Alaska Regional Office  
P.O. Box 25520  
Juneau, AK 99802-5520  
(907) 586-7177

Bethel Field Office  
1675 C Street, Suite 279  
Anchorage, AK 99501-5198  
(907) 271-4086

Anchorage Education Field Office  
1675 C Street  
Anchorage, AK 99501  
(907) 271-4115

Anchorage Field Office  
1675 C Street, Suite 211  
Anchorage, AK 99501-5198  
(907) 271-4088

## Arizona

Western Regional Office  
Two Arizona Center, 12th Floor  
P.O. Box 10, MS-100  
Phoenix, AZ 85001-0010  
(602) 379-6600

Pima Agency-Education  
400 North 5th Street  
PO Box 10  
Phoenix, AZ 85001  
(602) 379-3944

Western Navajo Agency-Education  
Highway 160 and Warrior Drive  
Building 407  
PO Box 746  
Tuba City, AZ 86045  
(520) 283-2218

Western Navajo Agency

P.O. Box 127  
Tuba City, AZ 86045  
(520) 283-2254, 2252

Hopi Agency-Education  
Highway 264  
PO Box 568  
Keams Canyon, AZ 86034  
(520) 738-2262

Colorado River Agency, Route 1, Box 9-C  
Parker, AZ 85344  
(520) 669-7111

Fort Apache Agency  
P.O. Box 560  
Whiteriver, AZ 85941  
(520) 338-5353

Ft. Apache Agency-Education  
Highway 73 and Elm Street  
PO Box 920  
White River, AZ 85941  
(520) 338-5441

Fort Defiance Agency, P.O. Box 619  
Fort Defiance, AZ 86504  
(520) 729-7217, 7218

Chinle Agency  
P.O. Box 7H  
Chinle, AZ 86503  
(520) 674-5100

Papago Agency  
P.O. Box 578  
Sells, AZ 85634  
(520) 383-3286

Papago Agency-Education  
South Building #49  
PO Box 38  
Sells, AZ 85634  
(520) 383-3292

Fort Defiance Agency-Education  
Building 38, Blue Canyon Highway 110  
PO Box 110  
Fort Defiance, AZ 86504-0110  
(520) 729-7251

Pima Agency  
P.O. Box 8  
Sacaton, AZ 85247  
(520) 562-3326

Chinle Agency-Education  
Navjo Route 7  
PO Box 6003  
Chinle, AZ 86503  
(520) 674-5130 Ext. 201

Fort Yuma Field Office  
P.O. Box 11000  
Yuma, AZ 85366-1000  
(760) 572-0248

Truxton Canon Field Office  
P.O. Box 37  
Valentine, AZ 86437  
(520) 769-2286

Sacramento Area Education Office

# Appendix IV: Agency Regional and Local Office Addresses

2800 Cottage Way  
Sacramento, CA 95825  
(916) 979-2560, Ext. 234

San Carlos Agency  
P.O. Box 209  
San Carlos, AZ 85550  
(520) 475-2321

Hopi Agency  
P.O. Box 158  
Keams Canyon, AZ 86034  
(520) 738-2228

Salt River Field Office  
10000 E. McDowell Road  
Scottsdale, AZ 85256  
(602) 640-2168

## California

Southern California Agency  
2038 Iowa Avenue, Suite 101  
Riverside, CA 92507-0001  
(909) 276-6624

Central California Agency  
1824 Tribute Road, Suite J  
Sacramento, CA 95815  
(916) 566-7121

Palm Springs Field Office  
P.O. Box 2245  
650 E. Tahquitz Canyon Way, Suite A  
Palm Springs, CA 92262  
(760) 416-2133

Northern California Field Office  
1900 Churn Creek Road, Suite 300  
Redding, CA 96002  
(530) 246-5141

(See also Arizona (Western))

Pacific Regional Office  
Federal Office Building  
2800 Cottage Way  
Sacramento, CA 95825-1846  
(916) 979-2600

## Colorado

Southern Ute Agency  
P.O. Box 315  
Ignacio, CO 81137  
(970) 563-4511

Ute Mountain Ute Field Office  
P.O. Box KK  
Towaoc, CO 81334  
(970) 565-8473

## Florida

Seminole Agency  
6075 Sterling Road  
Hollywood, FL 33024  
(954) 356-7288

## Idaho

Plummer Subagency  
P.O. Box 408  
850 A Street  
Plummer, ID 83851

(208) 686-1887

Northern Idaho Agency  
P.O. Drawer 277  
Lapwai, ID 83540  
(208) 843-2300

Fort Hall Agency  
P.O. Box 220  
Fort Hall, ID 83203  
(208) 238-2301

## Kansas

Haskell Indian Nations University  
155 Indian Avenue #1305  
Lawrence, KS 66046-4800  
(785) 749-8404

Haskell Indian Nations University  
155 Indian Avenue  
Lawrence, KS 66046  
(785) 749-8404

## Michigan

Michigan Field Office  
2901.5 I-75 Business Spur  
Sault Ste Marie, MI 49783  
(906) 632-6809

Horton Field Office  
P.O. Box 31  
Horton, KS 66439  
(785) 486-2161

## Minnesota

Minneapolis Area Education Office  
331 South Second Avenue  
Minneapolis, MN 55401-2241  
(612) 373-1000, Ext. 1090

Midwest Regional Office  
One Federal Drive, Room 550  
St. Snelling, MN 55111  
(612) 713-4400, Ext. 1020

Red Lake Field Office  
Red Lake, MN 56671  
(218) 679-3361

Minnesota Agency  
Room 418, Federal Building  
522 Minnesota Avenue, NW  
Bemidji, MN 56601-3062  
(218) 751-2011

## Mississippi

Choctaw Field Office  
421 Powell Street  
Philadelphia, MS 39350  
(601) 656-1522

## Montana

Northern Cheyenne Agency  
P.O. Box 40  
Lame Deer, MT 59043  
(406) 477-8242

Billings Area Education Office  
316 North 26th Street  
Billings, MT 59101-1397

(406) 247-7953

Flathead Field Office  
P.O. Box 40  
Pablo, MT 59855-5555  
(406) 675-0242

Rocky Mountain Regional Office  
316 North 26th Street  
Billings, MT 59101-1397  
(406) 247-7943

Crow Agency, MT 59022  
(406) 638-2672

Fort Belknap Agency  
RR 1, Box 980  
Harlem, MT 59526  
(406) 353-2901, Ext. 23

Rocky Boy's Field Office  
RR 1, Box 542  
Box Elder, MT 59521  
(406) 395-4476

Fort Peck Agency  
P.O. Box 637  
Poplar, MT 59255  
(406) 768-5312

Crow Agency  
Box 69

Blackfeet Agency  
P.O. Box 880  
Browning, MT 59417  
(406) 338-7544

## Navajo Regional Office

P.O. Box #1060  
Gallup, NM 87305  
(505) 863-8314

## Nebraska

Winnebago Agency  
P.O. Box 18  
Winnebago, NE 68071  
(402) 878-2502

## Nevada

Western Nevada Agency  
1677 Hot Springs Road  
Carson City, NV 89706  
(775) 887-3500

Eastern Nevada Field Office  
1555 Shoshone Circle  
Elko, NV 89801  
(775) 738-0569

## New Mexico

Northern Pueblos Agency  
P.O. Box 4269  
Fairview Station  
Española, NM 87533  
(505) 753-1400

Shiprock Agency  
P.O. Box 966  
Shiprock, NM 87420  
(505) 368-3300

# Appendix IV: Agency Regional and Local Office Addresses

Shiprock Agency-Education  
Highway 666N  
PO Box 3239  
Shiprock, NM 87420-3239  
(505) 368-4427, Ext. 360  
FTS 8 (700) 479-4370

Zuni Agency  
P.O. Box 369  
Zuni, NM 87327  
(505) 782-5591

Laguna Agency  
P.O. Box 1448  
Laguna, NH 87026  
(505) 552-6001

Ramah-Navajo Agency  
Route 2, Box 14  
Ramah, NM 87321  
(505) 775-3235

Jicarilla Agency  
P.O. Box 167  
Dulce, NM 87528  
(505) 759-3951

Eastern Navajo Agency, P.O. Box 328  
Crownpoint, NM 87313  
(505) 786-6100

Southern Pueblos Agency-Education  
1000 Indian School Road NW  
PO Box 1667  
Albuquerque, NM 87103  
(505) 346-2431

Northern Pueblos Agency-Education  
1 Mile North of Espanola  
Highway 68  
PO Box 4269  
Fairview Station  
Espanola, NM 87533  
(505) 753-1465

Mescalero Agency  
P.O. Box 189  
Mescalero, NM 88340  
(505) 671-4423

Eastern Navajo Agency-Education  
1 Main Street, Building 222  
PO Box 328  
Crownpoint, NM 87313  
(505) 786-6150

(See also Arizona (Navajo)  
Southwest Regional Office  
615 1st Street, N.W.  
P.O. Box 26567  
Albuquerque, NM 87125-6567  
(505) 346-7590

Southern Pueblos Agency  
P.O. Box 1667  
Albuquerque, NM 87103  
(505) 346-2424

## **New York**

(See Virginia, Eastern Regional Office)

New York Field Office  
P.O. Box 7366  
Syracuse, NY 13261-7366  
(315) 448-0620

## **North Carolina**

Cherokee Agency  
Cherokee, NC 28719  
(704) 497-9131

(See Virginia, Eastern Regional Office)

## **North Dakota**

Standing Rock Agency-Education  
Main Street off Highway 106  
Agency Avenue  
PO Box E  
Fort Yates, ND 58538  
(701) 854-3497

Fort Berthold Agency  
P.O. Box 370  
New Town, ND 58763  
(701) 627-4707

Southwestern Indian Polytechnic Institute  
9169 Coors Road NW  
P.O. Box 10146-9196  
Albuquerque, NM 87184  
(505) 346-2343

Turtle Mountain Agency  
P.O. Box 60  
Belcourt, ND 58316  
(701) 477-3191

Fort Totten Agency  
P.O. Box 270  
Fort Totten, ND 58335  
(701) 766-4545

Standing Rock Agency  
P.O. Box E  
Fort Yates, ND 58538  
(701) 854-3433

Oklahoma Education Office  
4149 Highline Boulevard, Suite 380  
Oklahoma City, OK 73108  
(605) 945-6051 Ext. 301  
(405) 605-6057

Turtle Mountain Agency-Education  
School Street  
PO Box 30  
Belcourt, ND 58316  
(701) 477-6471 Ext. 211

(See South Dakota)

## **Oklahoma**

Concho Field Office  
P.O. Box 68  
El Reno, OK 73036-0068  
(405) 262-7481

Siletz Field Office  
P.O. Box 569  
Siletz, OR 97380  
(541) 444-2679

Wewoka Agency  
P.O. Box 1060  
Wewoka, OK 74884  
(405) 257-6259

Southern Plains Office  
P.O. Box 368  
Anadarko, OK 73005-0368  
(405) 247-6673, Ext. 257

Pawnee Agency, P.O. Box 440,  
Pawnee, OK 74058-0440  
(918) 762-2585

Miami Field Office  
P.O. Box 391  
Miami, OK 74355  
(918) 542-3396

Chickasaw Agency  
1500 N. Country Club Road  
P.O. Box 2240  
Ada, OK 74821  
(580) 436-0784

Shawnee Field Office  
624 West Independence, Suite 114  
Shawnee, OK 74801  
(405) 273-0317

Okmulgee Field Office  
P.O. Box 370  
Okmulgee, OK 74447  
(918) 756-3950

Anadarko Agency  
P.O. Box 309  
Anadarko, OK 73005  
(405) 247-6677

Talihina Office  
Drawer H  
Talihina, OK 74571  
(918) 567-2207

Eastern Oklahoma Regional Office  
Bureau of Indian Affairs  
101 North 5th Street  
Muskogee, OK 74401-6206  
(918) 687-2295

Osage Agency  
P.O. Box 1539  
Pawhuska, OK 74056  
(918) 287-1032

## **Oregon**

Portland Area Education Office  
911 North East 11 Avenue  
Portland, OR 97232-4169  
(503) 872-2743

Umatilla Agency  
P.O. Box 520  
Pendleton, OR 97801  
(541) 278-3786

Warm Springs Agency  
P.O. Box 1239  
Warm Springs, OR 97761  
(541) 553-2411

## Appendix IV: Agency Regional and Local Office Addresses

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(See also Arizona (Western)

Northwest Regional Office  
911 N.E. 11th Avenue  
Portland, OR 97232-4169  
(503) 231-6702

### South Dakota

Cheyenne River Agency  
P.O. Box 325  
Eagle Butte, SD 57625  
(605) 964-6611

Lower Brule Agency  
P.O. Box 190  
Lower Brule, SD 57548  
(605) 473-5512

Great Plains Regional Office  
Bureau of Indian Affairs  
115 4th Avenue, SE  
Aberdeen, SD 57401-4382  
(605) 226-7343

Crow Creek Agency  
P.O. Box 139  
Ft. Thompson, SD 57339  
(605) 245-2311

Yankton Agency  
P.O. Box 577  
Wagner, SD 57380  
(605) 384-3651

Pine Ridge Agency  
P.O. Box 1203  
Pine Ridge, SD 57770  
(605) 867-5125

Crow Creek/Lower Brule Agency-Education  
140 Education Avenue  
PO Box 139  
Fort Thompson, SD 57339  
(605) 245-2398

Sisseton Agency  
P.O. Box 688  
Agency Village, SD 57262  
(605) 698-3001

Rosebud Agency-Education  
1001 Avenue D  
PO Box 669  
Mission, SD 57555  
(605) 856-4478 Ext. 261

Rosebud Agency  
P.O. Box 550  
Rosebud, SD 57570  
(605) 747-2224

Cheyenne River Agency-Education  
100 North Main  
PO Box 2020  
Eagle Butte, SD 51625  
(605) 964-8722

Pine Ridge Agency-Education  
101 Main Street  
PO Box 333  
Pine Ridge, SD 57770  
(605) 867-1306

### Utah

Southern Paiute  
Field Office  
P.O. Box 720  
St. George, UT 84771  
(435) 674-9720

(see Arizona (Navajo and Western), and Oregon)

Uintah and Ouray Agency  
P.O. Box 130  
Fort Duchesne, UT 84026  
(435) 722-4300

### Virginia

South and Eastern States Agency-Education  
3701 North Fairfax Drive, Suite 260  
Arlington, VA 22203  
(703) 235-3233

Eastern Regional Office  
3701 North Fairfax Drive  
Suite 260  
Arlington, VA 22203  
(703) 235-3006

### Washington

Yakima Agency  
P.O. Box 151 (Tribal)  
P. O. Box 632 (BIA)  
Toppenish, WA 98948  
(509) 865-5121

(See Oregon)

Colville Agency  
P.O. Box 111  
Nespelem, WA 99155-0111  
(509) 634-2316

Olympic Peninsula Agency  
P.O. Box 48  
Aberdeen, WA 98520  
(360) 533-9100

Spokane Agency  
P.O. Box 389  
Wellpinit, WA 99040  
(509) 258-4561

Puget Field Office  
2707 Colby Avenue, Suite 1101  
Everett, WA 98201  
(425) 258-2651

Makah Field Office  
P.O. Box 115  
Neah Bay, WA 98357  
(360) 645-3232

### Wisconsin

Great Lakes Agency  
615 Main Street, West  
P.O. Box 273  
Ashland, WI 54806-0273  
(715)682-4527

(See Minnesota)

### Wyoming

(See Montana)

Cross-references denote which area or offices provide services to eligible Indians within the State.

Wind River Agency  
P.O. Box 158  
Fort Washakie, WY 82514  
(307) 332-7810

## BUREAU OF LAND MANAGEMENT

### RESEARCH HEADQUARTERS

#### Alaska (953 B)

6881 Abbott Loop Road  
Anchorage, AK 99507  
(907) 267-1323

#### Arizona

222 N. Central Avenue I04P.O. Box 16563  
Phoenix, AZ 95004-2203  
(602) 417-9266

#### Branch of Procurement Management

1849 C Streets, N.W., MS: 1075-LS  
(This office handles Bureau-wide inquiries)  
Washington, DC 20240  
(202) 452-5170

#### California

2800 Cottage Way, Suite W-1834  
Sacramento, CA 95825-1886  
(916) 978-4527

#### Colorado

2850 Youngfield Street  
Lakewood, CO 80215-7076  
(303) 239-3677

#### Eastern States Office

7450 Boston Boulevard  
Springfield, VA 22153  
(703) 440-1596

#### Idaho

1387 S. Vinnell Way  
Boise, ID 83709-1657  
(208) 373-3909

#### Montana

5001 Southgate Drive  
P.O. Box 36800  
Billings, MT 59107-6800  
(406) 896-5205

#### Nevada

1340 Financial Boulevard  
P.O. Box 12000  
Reno, NV 89520-0006  
(702) 861-6417

#### New Mexico

435 Montano NE  
Albuquerque, NM 87107  
(505) 761-8994

#### Oregon



# Appendix IV: Agency Regional and Local Office Addresses

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1515 SW 5th Avenue  
P.O. Box 2965  
Portland, OR 97208  
(503) 952-6220

## Utah

324 South State Street, Suite 301  
Salt Lake City, UT 84111-2303  
(801) 539-4172

## Wyoming

5353 Yellowstone Road  
P.O. Box 1828  
Cheyenne, WY 82005  
(307) 775-6058

## BUREAU OF RECLAMATION

---

### Commissioner's Office, Denver, Colorado

P.O. Box 25007  
Denver Federal Center  
Denver, CO 80225-0007  
(303) 445-2692

### Great Plains Regional Office

PO Box 36900  
Billings, MT 59107-6900  
(406) 247-7600

### Lower Colorado Regional Office

PO Box 61470  
Boulder City, NV 89006-1470  
(702) 293-8411

### Mid-Pacific Regional Office

Federal Office Building  
2800 Cottage Way  
Sacramento, CA 95825-1898  
(916) 978-5000

### Pacific Northwest Regional Office

1150 North Curtis Road, Suite 100  
Boise, ID 83706-1234  
(208) 378-5012

### Upper Colorado Regional Office

125 South State Street, Room 6107  
Salt Lake City, UT 84138-1102  
(801) 524-3600

## FISH AND WILDLIFE SERVICE

---

**(Region VI: Colorado, Kansas, Montana, Nebraska, North Dakota, South Dakota, Utah, Wyoming)**

Ralph O. Morgenweck  
P.O. Box 25486  
Denver Federal Center  
Denver, CO 80025  
Phone (303) 236-7920 Fax (303) 236-8295

**(Region VII: Alaska)**

Rowan Gould  
1011 E. Tudor Road  
Anchorage, AK 99503  
Phone (907) 786-3306, fax (907) 786-3542

## California/Nevada

Judy Frye  
2800 Cottage Way, Suite W2606  
Sacramento, CA 95825  
Phone (916) 414-6486, fax (916) 414-6464

## Georgia

(Region IV: Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee, Virgin Islands)  
Sam Hamilton  
1875 Century Boulevard  
Atlanta, GA 30345  
Phone (404) 679-4006, fax (404) 679-4000

## Massachusetts

(Region V: Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia, Washington, District of Columbia)  
Marvin Moriarty  
300 Westgate Center Drive  
Hadley, MA 01035  
Phone (413) 253-8308, Fax (413) 253-8300

## Minnesota

(Region III: Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, Ohio, Wisconsin)  
Robyn Thorson  
Federal Building, 1 Federal Drive  
Fort Snelling, MN 55111  
Phone (612) 713-5284, fax (612) 713-5301

## New Mexico

(Region II: Arizona, New Mexico, Oklahoma, Texas)  
Dale Hall  
P.O. Box 1306  
500 Gold Avenue, S.W., Room 3018  
Albuquerque, NM 87103  
Phone (505) 248-6910, fax (505) 248-6282

## Oregon

(Region I: California, Hawaii, Idaho, Nevada, Oregon, Washington)  
Dave Allen  
911 N.E. 11th Avenue  
Portland, OR 97232-4181  
Phone (503) 872-2716, fax (503) 231-6118

## NATIONAL PARK SERVICE

---

### REGIONAL OFFICES

#### Alaska Support Office

National Park Service  
Robert D. Barbee, Regional Director  
2525 Gambell Street  
Anchorage, AK 99503-2892  
(907) 257-2690

#### Intermountain Region

National Park Service  
Karen Wade

Intermountain Region  
12795 West Alameda Parkway  
P.O. Box 25287  
Denver, CO 80225-0287  
(303) 969-2503

#### Midwest Region

Alan M. Hutchings, Associate Regional Director  
Professional Services and Legislation  
National Park Service  
1709 Jackson Street  
Omaha, NE 68102  
(402) 221-3084

#### National Capital Region

National Park Service  
David Linderman, Chief  
Finance Management Officer  
1100 Ohio Drive, SW  
Washington, DC 20242  
(202) 619-7160

#### Northeast Region

Marie Rust, Director  
National Park Service  
U.S. Custom House  
200 Chestnut Street, 3rd Floor  
Philadelphia, PA 19106  
(215) 597-7013

#### Pacific West Region

National Park Service  
Vacant  
Resources, Stewardship and Partnership  
111 Jackson Street, Suite 700  
Oakland, CA 94607  
(415) 427-1321

#### Southeast Region

Jerry Belson, Director  
National Park Service  
Atlanta Federal Center, 1924 Building  
100 Alabama Street, S.W.  
Atlanta, GA 30303  
(404) 562-3100

#### SERVICE CENTER

##### Alabama

Dr. Lee M. Warner, State Historical Preservation Office  
468 South Perry Street  
Montgomery, AL 36130-0900  
(334) 242-3184

##### Alaska

Ms. Judith E. Bittner, Chief, History and Archeology  
Department of Natural Resources  
Division of Parks and Outdoor Recreation  
550 W. 7th Avenue, Suite 1310  
Anchorage, AK 99501-3565  
(907) 269-8908

##### American Samoa

Mr. John Enright, Territorial Historic Preservation Officer

# Appendix IV: Agency Regional and Local Office Addresses

American Samoa Historic Preservation Office  
American Samoa Government  
Pago Pago, AS 96799  
(684) 633-2384

## Arizona

Mr. James Garrison, State Historic Preservation  
Officer  
Office of Historic Preservation  
Arizona State Parks  
1300 W. Washington  
Phoenix, AZ 85007  
(602) 542-4174

## Arkansas

Vacant  
Arkansas Historic Preservation Program  
1500 Tower Building  
323 Center Street  
Little Rock, AR 72201  
(501) 324-9880

## California

Dr. W. Knox Mellon, Jr., State Historic  
Preservation Officer  
Office of Historic Preservation  
Department of Parks and Recreation  
P.O. Box 942896  
Sacramento, CA 94296-0001  
(916) 653-6624

## Colorado

Ms. Geogianna Contiguglia, State Historic  
Preservation Officer, Colorado Historical Society  
Colorado History Museum  
1300 Broadway  
Denver, CO 80203-2137  
(303) 866-3355

## Commonwealth of Puerto Rico

Ms. Lilliane D. Lopez, State Historic Preservation  
Officer  
La Fortaleza  
P.O. Box 82  
San Juan, PR 00901  
(787) 721-3737

## Commonwealth of the Northern Mariana Islands

Mr. Joseph P. Deleon Guerrero, Historic  
Preservation Officer  
Department of Community and Cultural Affairs  
Commonwealth of the Northern Mariana Islands  
Saipan, MP 96950  
(670) 664-2120

## Connecticut

Mr. John W. Shannahan, State Historic  
Preservation Officer and Director, Connecticut  
Historical Commission  
59 South Prospect Street  
Hartford, CT 06106  
(860) 566-3005

## Delaware

Mr. Daniel R. Griffith, Director

Division of Historical and Cultural Affairs  
Halls of Records  
The Green  
Dover, DE 19901  
(302) 739-5685

## Denver Service Center

Manager, National Park Service  
P.O. Box 25287  
Denver, CO 80225  
(303) 969-2100

## District of Columbia

Mr. Gregory McCarthy, State Historic  
Preservation Officer  
Office of Policy & Program Evaluation  
441 4th Street, N.W., Suite 920-S  
Washington, DC 20002  
(202) 727-6979

## Federated States of Micronesia (FSM)

Dr. Rufino Mauricio, State Historic Preservation  
Officer  
Department of Health, Education & Social Affairs  
FSM National Government  
P.O. Box PS 70  
Palikir Pohnpei State, FM 96941  
(691) 320-2343 Overseas Operator

## Florida

Dr. Janet Snyder Matthews, State Historic  
Preservation Officer and Director  
Division of Historical Resources  
Department of State  
R.A. Gray Building  
500 S. Bronough Street  
Tallahassee, FL 32399-0250  
(850) 488-1480

## Georgia

Mr. Lonice Barrett, Commissioner and State  
Historic Preservation Officer  
Department of Natural Resources  
156 Trinity Avenue S.W., Suite 101  
Atlanta, GA 30333  
(404) 656-3500

## Guam

Ms. Lynda B. Aguon, State Historic Preservation  
Officer  
Department of Parks and Recreation  
Division of Historic Resources  
P.O. Box 2950  
Agana Heights, GU 96910  
011-671-475-6290

## Harpers Ferry Center

National Park Service  
Gary Cummins, Manager  
P.O. Box 50  
Harpers Ferry, WV 25425-0050  
(304) 535-6211

## Hawaii

Mr. Gilbert Coloma-Agaran, State Preservation  
Officer

Department of Land and Natural Resources  
601 Komokila Boulevard, Room 555  
Honolulu, HI 96813  
(808) 587-0401

## Idaho

Mr. Steve Guerber, Interim State Historic  
Preservation Officer  
210 Main Street  
Boise, ID 83702-7264  
(208) 334-3890

## Illinois

Mr. William L. Wheeler, Associate Director  
Illinois Historic Preservation Agency  
Preservation Services Division  
One Old State Capitol  
Springfield, IL 62701  
(217) 785-9045

## Indiana

Indianapolis, IN 46204  
Mr. Larry D. Macklin, State Historic Preservation  
Officer and Director  
Department of Natural Resources  
402 West Washington Street, Room W274  
(317) 232-4020

## Iowa

Ms. Anita Walker, Acting State Historic  
Preservation Officer  
State Historical Society of Iowa  
600 East Locust Street  
Des Moines, IA 50319-0290  
(515) 281-8837

## Kansas

Mr. Ramon S. Powers, Executive Director  
Cultural Resources Division  
6425 Southwest 6th Avenue  
Topeka, KS 66615-1099  
(785) 272-8681, Ext. 205

## Kentucky

Mr. David Morgan, State Historic Preservation  
Officer and Director  
Kentucky Heritage Council  
300 Washington Street  
Frankfort, KY 40601  
(502) 564-7005, Ext. 11

## Louisiana

Ms. Laurel Wyckoff, Assistant Secretary  
Office of Cultural Development  
P.O. Box 44247  
Baton Rouge, LA 70804  
(225) 342-8160

## Maine

Mr. Earle G. Shettleworth, Jr., Director,  
Maine Historic Preservation Commission  
55 Capitol Street, Station 65  
Augusta, ME 04333-0065  
(207) 287-2132

## Maryland

# Appendix IV: Agency Regional and Local Office Addresses

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Mr. J. Rodney Little, Executive Director  
Historical and Cultural Programs  
Department of Housing and Community  
Development  
Peoples Resource Center  
100 Community Place, 3rd Floor  
Crownsville, MD 21032-2023  
(410) 514-7600

## Massachusetts

Ms. Brona Simon, Acting State Historic  
Preservation Officer  
Executive Director, Massachusetts Historical  
Commission  
220 Morrissey Boulevard  
Boston, MA 02125  
(617) 727-8470

## Michigan

Mr. Brian D. Conway  
State Historic Preservation Officer  
Bureau of Michigan History  
Department of State  
717 W. Allegan  
Lansing, MI 48918-0001  
(517) 373-0511

## Minnesota

Dr. Nina M. Archabal, Director  
Minnesota Historical Society  
State Historic Preservation Office  
345 Kellogg Boulevard West  
St. Paul, MN 55102  
(612) 296-2747

## Mississippi

Mr. Elbert Hilliard, Director  
Mississippi Department of Archives and History  
P.O. Box 571  
Jackson, MS 39205  
(601) 359-6850

## Missouri

Mr. Stephan Mahfood, Director  
Department of Natural Resources  
P.O. Box 176  
Jefferson City, MO 65102  
(573) 751-4732

## Montana

Dr. Mark Baumler, State Historic Preservation  
Officer  
Montana Historical Society  
1410 8th Avenue, P.O. Box 201202  
Helena, MT 59620-1202  
(406) 444-7715

## Nebraska

Mr. Lawrence J. Sommer, Director  
Nebraska State Historical Society  
1500 R Street  
P.O. Box 82554  
Lincoln, NE 68501  
(402) 471-4746

## Nevada

Mr. Ronald M. James, State Historic Preservation  
Officer  
Department of Museums, Library and Arts  
100 North Stewart Street  
Capitol Complex  
Carson City, NV 89710-4285  
(775) 684-3440

## New Hampshire

Mrs. Nancy C. Dutton, Director  
Division of Historical Resources  
P.O. Box 2043  
Concord, NH 03302-2043  
(603) 271-6435

## New Jersey

Mr. Robert C. Shinn, Jr., Commissioner  
Department of Environmental Protection  
401 East State Street  
P.O. Box 304  
Trenton, NJ 08625  
(609) 292-2885

## New Mexico

Mr. Elmo Baca, State Historic Preservation  
Division  
Office of Cultural Affairs  
Villa Rivera Building, 3rd Floor  
228 E. Palace Avenue  
Santa Fe, NM 87503  
(505) 827-6320

## New York

Mrs. Bernadette Castro, Commissioner  
Office of Parks, Recreation and Historic  
Preservation  
Empire State Plaza  
Agency Building 1, 20th Floor  
Albany, NY 12238  
(518) 474-0443

## North Carolina

Dr. Jeffrey J. Crow, Director  
Department of Cultural Resources  
Division of Archives and History  
4617 Mail Service Center  
Raleigh, NC 27699-4617  
(919) 733-7305

## North Dakota

Mr. Merl Paaverud, Interim Superintendent  
State Historical Society of North Dakota  
ND Heritage Center  
612 East Boulevard Avenue  
Bismarck, ND 58505-0830  
(701) 328-2666

## Ohio

Dr. Amos J. Loveday, Jr., State Historic  
Preservation Officer  
Ohio Historic Preservation Office  
Ohio Historical Society  
567 E. Hudson Street  
Columbus, OH 43211-1030  
(614) 298-2000

## Oklahoma

Dr. Bob L. Blackburn  
State Historic Preservation Officer  
2100 N. Lincoln Boulevard  
Oklahoma City, OK 73105  
(405) 521-2491

## Oregon

Mr. Mike Carrier, Director  
Oregon Parks and Recreation Department  
1115 Commercial Street NE  
Salem, OR 97310-1001  
(503) 378-5019

## Pennsylvania

Dr. Brent D. Glass, State Historic Preservation  
Officer  
Pennsylvania Historical and Museum Commission  
400 North Street  
Harrisburg, PA 17108-1026  
(717) 787-2891

## Republic of Palau

Ms. Victoria N. Kanai, Historic Preservation  
Officer  
Ministry of Social Services  
Division of Cultural Affairs  
P.O. Box 100, Government of Palau  
Koror, PW 96940  
(680) 488-2489

## Republic of the Marshall Islands

Mr. Frederick deBrum, Secretary of Interior  
Affairs and Historic Preservation Officer, Republic  
of the Marshall Islands  
P.O. Box 1454  
Majuro, MH 96960  
(692) 625-4642

## Rhode Island

Mr. Frederick C. Williamson, State Historic  
Preservation Officer  
Historical Preservation and Heritage Commission  
Old State House  
150 Benefit Street  
Providence, RI 02903  
(401) 222-2678

## South Carolina

Dr. Rodger E. Stroup, Director  
Department of Archives and History  
8301 Parkland Road  
Columbia, SC 29223-4905  
(803) 896-6100

## South Dakota

Mr. Jay D. Vogt, State Historic Preservation  
Officer  
South Dakota State Historical Society  
900 Governors Drive  
Pierre, SD 57501-2217  
(605) 773-3458

## Tennessee

Mr. Milton H. Hamilton Jr., Commissioner and

## Appendix IV: Agency Regional and Local Office Addresses

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State Historic Preservation Officer  
Department of Environment and Conservation  
2941 Lebanon Road  
Nashville, TN 37243-0442  
(615) 532-0109

### Texas

Mr. Lawrence Oaks, Executive Director  
Texas Historical Commission  
P.O. Box 12276, Capitol Station  
Austin, TX 78711-2276  
(512) 463-6100

### Utah

Mr. Max J. Evans, State Historic Preservation  
Officer and Director  
Utah State Historical Society  
300 Rio Grande  
Salt Lake City, UT 84101  
(801) 533-3551

### Vermont

Ms. Emily Wadhams  
State Historic Preservation Officer and Director  
Agency of Commerce and Community  
Development  
Vermont Division for Historic Preservation  
National Life Building, Drawer 20  
Montpelier, VT 05620-0501  
(802) 828-3056

### Virgin Islands

Mr. Dean C. Plaskett, Esq, Commissioner  
Department of Planning and Natural Resources  
Preservation  
Niskey Center, Suite 231  
Number 45A, Estate Nisky  
St. Thomas, VI 00802  
(340) 776-8605

### Virginia

Ms. Kathleen S. Kilpatrick, Director  
Department of Historic Resources  
2801 Kensington Avenue  
Richmond, VA 23221  
(340) 367-2323

### Washington

Dr. Allyson Brooks, State Historic Preservation  
Officer  
Office of Archaeology and Historic Preservation,  
Washington State  
Department of Community, Trade, and Economic  
Development  
P.O. Box 48343  
Olympia, WA 98504-8343  
(360) 407-0765

### West Virginia

Ms. Nancy Herholdt, State Historic Preservation  
Officer & Commissioner  
Division of Culture and History  
1900 Kanawha Boulevard East  
Capitol Complex  
Charleston, WV 25305-0300  
(304) 558-0220

### Wisconsin

Dr. George L. Vogt, Director and State Historic  
Preservation Officer  
State Historical Society  
816 State Street  
Madison, WI 53706  
(608) 264-6500

### Wyoming

Mr. Richard Curritt, Director  
Wyoming State Historic Preservation Office  
2301 Central Avenue, 3rd Floor  
Cheyenne, WY 82002  
(307) 777-7697

### National Park Service

Terrel Emmons  
Professional Services  
1849 C Street N.W.  
Washington, DC 20240  
(202) 208-3264

## OFFICE OF SURFACE MINING

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### Office of Surface Mining

U.S. Department of the Interior  
Director, Knoxville Field Office  
530 Gay Street, S.W., Suite 500  
Knoxville, TN 37902  
(423) 545-4103

U.S. Department of the Interior  
Director, Big Stone Gap Field Office  
Powell Valley Square Shopping Center  
1941 Neeley Road, Suite 201  
Compartment 116  
Big Stone Gap, VA 24219  
(540) 523-4303

U.S. Department of the Interior  
Director, Harrisburg Field Office  
415 Market Street, Suite 3C  
Harrisburg Transportation Center  
Harrisburg, PA 17101  
(717) 782-4036

U.S. Department of the Interior  
Director, Charleston Field Office  
1027 Virginia Street, East  
Charleston, WV 25301  
(304) 347-7162

U.S. Department of the Interior  
Western Regional Coordinating Center  
1999 Broadway, Suite 3320  
Denver, CO 80202-5733  
(303) 844-1401

U.S. Department of the Interior  
Director, Birmingham Field Office  
135 Gemini Circle, Suite 215  
Homewood, AL 35209  
(205) 290-7282

U.S. Department of the Interior  
Mid-Continent Regional Coordinating Center  
Alton Federal Building  
501 Belle Street, Room 216

Alton, IL 62002  
(618) 463-6460

U.S. Department of the Interior  
1951 Constitution Avenue N.W.  
Washington, DC 20240  
(202) 208-4006

U.S. Department of the Interior  
Director, Indianapolis Field Office  
575 North Pennsylvania Street, Room 301  
Indianapolis, IN 46204  
(317) 226-6700

U.S. Department of the Interior  
Director, Lexington Field Office  
2675 Regency Road  
Lexington, KY 40503-2922  
(859) 233-2494

U.S. Department of the Interior  
Director, Casper Field Office  
Federal Building  
100 East "B" Street, Room 2128  
Casper, WY 82601-1918  
(307) 261-6555

U.S. Department of the Interior  
Director, Tulsa Field Office  
5100 East Skelly Drive, Suite 470  
Tulsa, OK 74135  
(918) 581-6431

U.S. Department of the Interior  
Director, Albuquerque Field Office  
505 Marquette Avenue N.W., Suite 1200  
Albuquerque, NM 87102  
(505) 248-5070

U.S. Department of the Interior  
Appalachian Regional Coordinating Center  
Three Parkway Center  
Pittsburgh, PA 15220  
(412) 937-2828

## U.S. GEOLOGICAL SURVEY

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### REGIONAL OFFICES

#### California

(Western Region)  
Administrative Officer, WR  
345 Middlefield Road, MS-919

(Western Mapping Center)  
Alan M. Mikuni  
345 Middlefield Road, MS-531  
Menlo Park, CA 94025-3591  
(415) 329-4254

Menlo Park, CA 94025  
(415) 650-5102

(Western Region: Alaska, American Samoa,  
Arizona, California, Guam, Hawaii, Idaho,  
Nevada, Oregon, other Pacific Islands, Utah,  
Washington)

T. John Conomos, Regional Hydrologist  
345 Middlefield Road, MS-470  
Menlo Park, CA 94025-3591  
(415) 329-4414

# Appendix IV: Agency Regional and Local Office Addresses

## Colorado

(Rocky Mountain Mapping Center)  
Randle W. Olsen  
Denver Federal Center, Building 810, Mail Stop  
508, Box 25046  
Denver, CO 80225-0046  
(303) 202-4040

(Central Region-Arkansas, Colorado, Iowa,  
Kansas, Louisiana, Minnesota, Missouri, Montana,  
Nebraska, New Mexico, North Dakota, Oklahoma,  
South Dakota, Texas, Wyoming)  
Dr. J. Larry Ludke, Regional Chief Biologist  
DFC Building, 020, Room A1419  
P.O. Box 25046, MS 300  
Denver, CO 80225  
(303) 236-2739 x 238

(Central Region)  
Administrative Officer, CR  
Federal Center, MS 911  
Denver, CO 80225  
(303) 236-5435

(Central Region: Colorado, Iowa, Kansas,  
Minnesota, Montana, Nebraska, New Mexico,  
North Dakota, Oklahoma, South Dakota, Texas,  
Wyoming)  
Dave J. Lystrom, Regional Hydrologist  
Mail Stop 406, Box 25046  
Denver Federal Center, Building 25  
Lakewood, CO 80225-0046  
(303) 236-5950, Ext. 0

## Georgia

(Southeastern Region: Alabama, Arkansas,  
Florida, Georgia, Louisiana, Mississippi, Missouri,  
North Carolina, Puerto Rico, South Carolina,  
Tennessee, Virgin Islands)  
Wanda C. Meeks, Regional Hydrologist  
Spalding Woods Office Park, Suite 160  
3850 Holcomb Bridge Road  
Norcross, GA 30092-2202  
(404) 409-7701

## Missouri

(Midcontinent Mapping Center)  
Max Ethridge  
1400 Independence Road, Mail Stop 300  
Rolla, MO 65401  
(573) 308-3800

## South Dakota

Earth Resources Observation Systems Data Center  
Donald T. Lauer  
Mundt Federal Building  
Sioux Falls, SD 57198  
(605) 594-6123

## Virginia

(Eastern Region)  
Administrative Officer, ER  
953 National Center  
Reston, VA 20192  
(703) 648-6662

(Northeastern Region: Connecticut, Delaware,

Illinois, Indiana, Kentucky, Maine, Maryland,  
Massachusetts, Michigan, New Hampshire, New  
Jersey, New York, Ohio, Pennsylvania, Rhode  
Island, Vermont, Virginia, West Virginia,  
Wisconsin)  
William Carswell, Jr., Regional Hydrologist  
433 National Center, Mail Stop 433  
Reston, VA 22092  
(703) 648-5813

Mapping Application Center  
Pat Dunham  
National Center, MS-567  
Reston, VA 20192  
(703) 648-6002

## Washington

(Western Region-Alaska, Arizona, California,  
Hawaii, Idaho, Nevada, Oregon, Utah,  
Washington)  
Dr. John D. Buffington, Regional Chief Biologist  
909 First Avenue, Suite 800  
Seattle, WA 98104  
(206) 220-4600

## West Virginia

(Eastern Region-Alabama, Connecticut, Delaware,  
Florida, Georgia, Illinois, Indiana, Kentucky,  
Maine, Maryland, Massachusetts, Michigan,  
Mississippi, New Hampshire, New Jersey, New  
York, North Carolina, Ohio, Pennsylvania, Puerto  
Rico, Rhode Island, South Carolina, Tennessee,  
Vermont, Virgin Islands, Virginia, West Virginia,  
Wisconsin)  
Mr. Gregory Smith, Acting Regional Chief  
Biologist  
National Center, Room 4A100  
12201 Sunrise Valley Drive, MS 300  
Reston, VA 20192  
(703) 648-4060

## DEPARTMENT OF JUSTICE

### Arizona

Special Agent-in-Charge, Investigations, OIG  
10 East Broadway, Suite 105  
For letter mail: P.O. Box 471  
Tucson, AZ 85702-0471  
(520) 670-5243(520) 670-5246 FAX Use the same  
number for FTS

### California

Regional Audit Manager, Audit, OIG  
1200 Bayhill Drive, Suite 201  
San Bruno, CA 94066  
(650) 876-9220  
(650) 876-0902 FAX  
Use the same number for FTS

Special Agent, Investigations, OIG  
321 South Waterman Avenue, Room 108  
El Centro, CA 92243  
(760) 335-3549(760) 335-3534 FAX

Special Agent-in-Charge, Investigations, OIG  
330 North Brand Street, Suite 655  
Glendale, CA 91203

(818) 543-1172  
(818) 637-5082 FAX  
Use the same number for FTS

Special Agent-in-Charge, Investigations, OIG  
1200 Bayhill Drive, Suite 220  
San Bruno, CA 94066  
(650) 876-9058  
(650) 876-9083 FAX  
Use the same number for FTS

Special Agent-in-Charge, Investigations, OIG  
701 B Street, Suite 560  
San Diego, CA 92101  
(619) 557-5970  
(619) 557-6518 FAX  
Use the same number for FTS

## Colorado

Special Agent, Investigation, OIG  
Plaza of the Rockies  
111 South Tejon Street, Suite 312  
Colorado Springs, CO 80903  
(719) 635-2366  
(719) 635-4769 FAX

Assistant Regional Audit Manager, Audit, OIG  
The Chancery Building, 1120 Lincoln Street, Suite  
1603  
Denver, CO 80203  
(303) 864-2000  
(303) 864-2004 FAX  
Use the same number for FTS

## Florida

Special Agent-in-Charge, Investigations, OIG  
3800 Inverrary Boulevard, Suite 312  
Ft. Lauderdale, FL 33319  
(954) 535-2859  
(954) 535-5436 FAX  
Use the same number for FTS

## Georgia

Special Agent, Investigations, OIG  
60 Forsyth Street, S.W., Suite 8M45  
Atlanta, GA 30303  
(404) 562-1980  
(404) 562-1960 FAX

Regional Audit Manager, Audit, OIG  
Richard B. Russell Federal Building  
75 Spring Street, Suite 1130  
Atlanta, GA 30303  
(404) 331-5928  
Use the same number for FTS  
(404) 331-5046 FAX

## Illinois

Regional Audit Manager, Audit, OIG  
CitiCorp Center  
500 West Madison Street, Suite 3510  
Chicago, IL 60661  
(312) 353-1203  
(312) 886-0513 FAX  
Use the same number for FTS

Special Agent-in-Charge, Investigations OIG  
Citicorp Center

# Appendix IV: Agency Regional and Local Office Addresses

---

500 West Madison Street, Suite 3510B  
For letter mail: P.O. Box 1802  
Chicago, IL 60690-1802  
(312) 886-7050  
(312) 886-7065 FAX  
Use the same number for FTS

## Massachusetts

Special Agent Investigations, OIG  
U.S. Attorneys Office  
Mailing Address  
P.O. Box 2134  
1 Courthouse Way, Room 9200  
Boston, MA 02210  
(617) 748-3218  
(617) 748-3965 FAX

## New York

Special Agent-in-Charge, Investigations, OIG  
JFK Airport, North Boundary Road, Building #77,  
Penthouse #2  
For letter mail: JFK Airport, P.O. Box 300999  
Jamaica, NY 11430-0999  
FTS (718) 553-7520  
(718) 553-7533 FAX  
Use the same number for FT

## Pennsylvania

Regional Audit Manager, Audit, OIG  
701 Market Street, Suite 201  
Philadelphia, PA 19106  
(215) 580-2111  
(215) 597-1348 FAX  
Use the same number for FTS

## Texas

Special Agent-in-Charge, Investigations, OIG  
Texas Commerce Center  
1701 West Business Highway 83, Suite 510  
Bentsen Tower  
McAllen, TX 78501  
(956) 618-8145  
(956) 618-8151 FAX  
Use the same number for FTS

Regional Audit Manager, Audit, OIG  
207 S. Houston Street, Box 4, Room 575  
Dallas, TX 75202-4724  
(214) 655-5000  
(214) 655-5025 FAX  
Use the same number for FTS

Special Agent-in-Charge, Investigations, OIG  
Bob Casey Federal Courthouse  
515 Rusk Avenue, Suite 3307  
Letter mail:  
P.O. Box 610071  
Houston, TX 77208-9998  
(713) 718-4888  
(713) 718-4706 FAX

Special Agent-in-Charge, Investigations, OIG  
4050 Rio Bravo, Suite 200  
El Paso, TX 79902  
(915) 577-0102  
(915) 577-9012 FAX  
Use the same number for FTS

Special Agent, Investigations, OIG  
207 South Houston Street, Box 5, Room 551  
Dallas, TX 75202-4724  
(214) 655-5076  
(214) 655-5071 FAX

## Washington

Special Agent, Investigations, OIG  
620 Kirkland Way, Suite 104  
Kirkland, WA 98033-6021  
(425) 828-3998  
(425) 827-2183 FAX  
Use the same number for FTS

## Washington, DC

Special Agent-in-Charge, Investigations, OIG  
1425 New York Avenue, N.W., Suite 7100  
For letter mail: P.O. Box 27718  
Washington, DC 20038-7718  
(202) 616-4760  
(202) 616-9881 FAX  
Use the same number for FTS

Regional Audit Manager (Washington), Audit,  
OIG  
1425 New York Avenue, N.W., Suite 6100  
Washington, DC 20530  
(202) 616-4688  
(202) 616-4581 FAX  
Use the same number for FTS

Fraud Detection Unit  
Special Agent, Investigations, OIG  
1425 New York Avenue, N.W., Suite 7100  
Washington, DC 20530  
(202) 616-4760  
(202) 616-9881 FAX

## COMMUNITY RELATIONS SERVICE

---

### Detroit

(Michigan)  
211 West Fort Street, Room 1404  
Detroit, MI 48226  
(313) 226-4010

### Houston

(Texas)  
515 Rusk Avenue, Room 12605  
Houston, TX 77002  
(713) 718-4861

### Miami

(Florida)  
51 First Avenue, S.W., Room 624  
Miami, FL 33130  
(305) 536-5206

### Region I

(Connecticut, Maine, Massachusetts, New  
Hampshire, Rhode Island, Vermont)  
408 Atlantic Avenue, Suite 222  
Boston, MA 02110  
(617) 424-5715

### Region II

(New Jersey, New York, Puerto Rico, Virgin

Islands)  
Room 36-118  
26 Federal Plaza  
New York, NY 10278  
(212) 264-0700

### Region III

(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)  
2nd and Chestnut Street, Room 208  
Philadelphia, PA 19106  
(215) 597-2344

### Region IV

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)  
75 Piedmont Avenue N.E., Room 900  
Atlanta, GA 30303  
(404) 331-6883

### Region IX

(Arizona, California, Guam, Hawaii, Nevada)  
888 South Figueroa Street, Suite 1880  
Los Angeles, CA 90017  
(213) 894-2941

### Region V

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)  
55 West Monroe Street, Room 420  
Chicago, IL 60603  
(312) 353-4391

### Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)  
1420 West Mockingbird Lane, Suite 250  
Dallas, TX 75247  
(214) 655-8175

### Region VII

(Iowa, Kansas, Missouri, Nebraska)  
1100 Main Street, Suite 1320  
Kansas City, MO 64105  
(816) 426-7434

### Region VIII

(Colorado, Montana, North Dakota, South Dakota,  
Wyoming, Utah)  
1244 Speer Boulevard, Suite 650  
Denver, CO 80204-3584  
(303) 844-2973

### Region X

(Alaska, Idaho, Oregon, Washington)  
915 Second Avenue, Room 1808  
Seattle, WA 98174  
(206) 220-6700

### San Francisco

(California)  
120 Howard Street, Suite 790  
San Francisco, CA 94105  
(415) 744-6565

# Appendix IV: Agency Regional and Local Office Addresses

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## **DRUG ENFORCEMENT ADMINISTRATION**

### **RESEARCH HEADQUARTERS**

#### **Atlanta Field Division**

75 Spring Street, S.W., Room 740, A53  
Atlanta, GA 30303

#### **Boston Field Division**

JFK Federal Bldg., Room E-400  
15 Sudbury Street  
Boston, MA 02203-0402

#### **Caribbean Division**

Metro Office Park  
Building 17  
Guaynabo, PR 00968

#### **Chicago Field Division**

230 South Dearborn Street, Suite 1200  
Chicago, IL 60604

#### **Dallas Field Division**

10160 Technology Boulevard  
East Dallas, TX 75220-4343

#### **DEA/EPIC**

11339 SSG Sims Street  
El Paso, TX 79908-8098

#### **Denver Field Division**

115 Inverness Drive, East  
Englewood, CO 80112-5116

#### **Detroit Field Division**

431 Howard Street  
Detroit, MI 48226

#### **El Paso Division**

600 South Mesa Hills Drive  
El Paso, TX 79912

#### **Houston Field Division**

1433 West Loop South, Suite 600  
Houston, TX 77027-9506

#### **Los Angeles Field Division**

Edward Royal Federal Building  
225 East Temple Street, 20th Floor  
Los Angeles, CA 90012

#### **Miami Field Division**

8400 N.W. 53rd Street  
Miami, FL 33166

#### **Mid-Atlantic Laboratory**

460 New York Avenue NW  
Washington, DC 20532-0001

#### **New Orleans Field Division**

3838 North Causeway Boulevard  
Three Lakeway Center, Suite 1800  
Metairie, LA 70002

#### **New York Field Division**

99 10th Avenue  
New York, NY 10011

#### **Newark Field Division**

80 Mulberry Street, 2nd Floor  
Newark, NJ 07102-4206

#### **North Central Laboratory**

536 South Clark Street, Room 800  
Chicago, IL 60605

#### **Northeast Laboratory**

99 Tenth Avenue, Room 721  
New York, NY 10011

#### **Office of Training**

Drug Enforcement Administration  
FBI Academy, P.O. Box 1475  
Quantico, VA 22134-1475

#### **Philadelphia Field Division**

600 Arch Street, Room 10224  
Philadelphia, PA 19106

#### **Phoenix Field Division**

Westmount Place  
3010 North 2nd Street, Suite 301  
Phoenix, AZ 85012

#### **San Diego Field Division**

4560 Viewridge Avenue  
San Diego, CA 92123-1672

#### **San Francisco Field Division**

450 Golden Gate Avenue  
San Francisco, CA 94102

#### **Seattle Field Division**

400 Second Avenue, West  
Seattle, WA 98119-4140

#### **South Central Laboratory**

1880 Regal Row  
Dallas, TX 75235

#### **Southeast Laboratory**

5205 N.W. 84th Avenue  
Miami, FL 33166

#### **Southwest Laboratory**

410 West 35th Street  
National City, CA 91950

#### **Special Testing & Research Laboratory**

3650 Concorde Parkway, Suite 200  
Chantilly, VA 20151

#### **St. Louis Field Division**

7911 Forsythe Boulevard, Suite 500  
St. Louis, MO 63105

#### **Washington, DC Field Division**

800 K Street, N.W., Suite 500  
Washington, DC 20001

#### **Western Laboratory**

390 Main Street, Room 700  
San Francisco, CA 94105

## **FEDERAL BUREAU OF**

---

## **INVESTIGATION**

### **Region I**

(Connecticut, Maine, Massachusetts, New  
Hampshire, Rhode Island, Vermont)  
1 Center Plaza, Suite 600  
Boston, MA 02108-1801  
(617) 742-5533  
(617) 223-6000

Federal Office Building  
600 State Street  
New Haven, CT 06510-2020  
(203) 503-5000  
(203) 786-7000

### **Region II**

1 Gateway Center, 22nd Floor  
Newark, NJ 07102-9889  
(973) 792-3000  
(973) 792-3000

(New Jersey, New York, Puerto Rico, Virgin  
Islands)

James T. Foley Building  
200 McCarty Avenue  
Albany, NY 12209-2095  
(518) 465-7551  
(518) 431-7200

Jacob K. Javits, Federal Office Building  
26 Federal Plaza  
New York, NY 10278-0004  
(212) 384-1000  
(212) 384-1000

111 Greencourt Road  
Richmond, VA 23228-4948  
(804) 261-1044  
(700) 923-2000

FBI, Washington Metropolitan Field Office  
601 4th Street N.W.  
Washington, DC 20535-0002  
(202) 278-2000  
Use the same number for FTS

7142 Ambassador Road  
Baltimore, MD 21244-2754  
(410) 265-8080  
(410) 281-0198

U.S. Federal Office Building  
150 Carlos Chardon, Room 526  
Hato Rey, PR 00918-1716  
(787) 754-6000  
(787) 754-3292

William J. Green, Jr.  
Federal Office Building  
600 Arch Street, 8th Floor  
Philadelphia, PA 19106-1675  
(215) 418-4500  
(215) 418-4000

One FBI Plaza  
Buffalo, NY 14202-2698  
(716) 856-7800  
(716) 843-4300

150 Corporate Boulevard

# Appendix IV: Agency Regional and Local Office Addresses

Norfolk, VA 23502-4999  
(757) 455-0100  
(757) 455-0123

United States Post Office  
700 Grant Street, Suite 300  
Pittsburgh, PA 15219-1906  
(412) 471-2000  
(412) 456-9100

## Region IV

St. Louis Centre  
1 St. Louis Street, 3rd Floor  
Mobile, AL 36602-3930  
(334) 438-3674  
(334) 219-3555

16320 N.W. Second Avenue  
North Miami Beach, FL 33169-6508  
(305) 944-9101  
(305) 787-6100

400 South Tyron, Suite 900  
Wachovia Building  
Charlotte, NC 28285-0001  
(704) 377-9200  
(704) 331-4500

John J. Duncan, FOB  
710 Locust Street, Suite 600  
Knoxville, TN 37902-2537  
(865) 544-0751  
(865) 544-3500

2121 8th Avenue North, Room 1400  
8th Avenue North  
Birmingham, AL 35203-2396  
(205) 715-0300-FTS  
(205) 326-6166-FAX

EagleCrest Building  
225 North Humphreys Boulevard, Suite 3000  
Memphis, TN 38120-2107  
(901) 747-4300  
(901) 747-9739

151 West Park Boulevard  
Columbia, SC 29210-3857  
(803) 551-4200  
(803) 551-4209

Federal Office Building  
600 Martin Luther King Place, Suite 500  
Louisville, KY 40202-2231  
(502) 583-3941  
Use the same number for FTS

7820 Arlington Expressway, Suite 200  
Jacksonville, FL 32211-7499  
(904) 721-1211

Federal Office Building, Suite 1553  
100 West Capitol Street  
Jackson, MS 39269-1601  
(601) 948-5000  
(601) 360-7550

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)  
2635 Century Parkway, NE, Suite 400

Atlanta, GA 30345-3112  
(404) 679-9000  
(404) 679-6100

Federal Office Building  
500 E. Zack Street, Room 610  
Tampa, FL 33602-3917  
(813) 273-4566  
(813) 272-8000

## Region IX

450 Golden Gate Avenue, 13th Floor  
San Francisco, CA 94102-9523  
(415) 553-7400  
(415) 553-2000

Suite 400, 201 East Indianola Avenue  
Midtowne Business Centre II  
Phoenix, AZ 85012-2080  
(602) 279-5511  
(602) 650-3300

(American Samoa, Arizona, California, Guam,  
Hawaii, Nevada)

Kalaniana'ole Federal Office Building  
300 Ala Moana Boulevard, Room 4-230  
Honolulu, HI 96850-0053  
(808) 566-4300  
(808) 566-4300

Federal Office Building  
9797 Aero Drive  
San Diego, CA 92123-1800  
(619) 565-1255  
(619) 514-5500

4500 Orange Grove Avenue  
Sacramento, CA 95841-4205  
(916) 481-9110  
(916) 977-2200

John Lawrence Bailey Building  
700 East Charleston Boulevard  
Las Vegas, NV 89101-1545  
(702) 385-1281  
(700) 545-0110

Federal Office Building  
11000 Wilshire Boulevard, Suite 1700  
Los Angeles, CA 90024-3672  
(858) 565-1255  
(858) 514-5500

## Region V

Federal Office Building  
1240 East 9th Street, Room 3005  
Cleveland, OH 44199-9912  
(216) 522-1400  
(216) 622-6600

575 North Pennsylvania Street, Room 679  
Federal Office Building  
Indianapolis, IN 46204-1585  
(317) 639-3301  
(317) 321-6100

Everett McKinley Dirksen Federal Office Building  
219 S. Dearborn Street, Room 905  
Chicago, IL 60604-1702  
(312) 431-1333

(312) 786-2500

111 Washington Avenue South S-1100  
Minneapolis, MN 55401-2176  
(612) 376-3200  
Use the same number for FTS

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)  
FOB, 550 Main Street, Room 9000  
Cincinnati, OH 45202-8501  
(513) 421-4310  
(513) 562-5600

Patrick V. McNamara Federal Office Building  
477 Michigan Avenue, 26th Floor  
Detroit, MI 48226-2598  
(313) 965-2323  
(313) 237-4355

400 West Monroe Street, Suite 400  
Springfield, IL 62704-1800  
(217) 522-9675  
(217) 535-4400

330 East Kilbourn Avenue, Suite 600  
Milwaukee, WI 53202-6627  
(414) 276-4684  
(414) 291-4899

## Region VI

U.S. Post Office and Courthouse Building  
615 East Houston Street, Suite 200  
San Antonio, TX 78205-9998  
(210) 225-6741  
(210) 978-5400

2500 East T. C. Jester  
Houston, TX 77008-1300  
(713) 693-5000  
(713) 693-3800

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)  
415 Silver Avenue S.W., Suite 300  
Albuquerque, NM 87102  
(505) 224-2000

Use the same number for FTS

2901 Leon C. Simon Boulevard  
New Orleans, LA 70126-1061  
(504) 816-3000  
(504) 816-3000

Two Financial Centre, Suite 200  
10825 Financial Centre Parkway  
Little Rock, AR 72211-3552  
(501) 221-9100  
(501) 228-8400

1801 North Lamar, Suite 300  
Dallas, TX 75202-1795  
(214) 720-2200  
(214) 922-7475

600 South Mesa Hills Drive, Suite 3000  
El Paso, TX 79912-5533  
(915) 832-5000  
Use the same number for FTS

3301 W. Memorail Road  
Oklahoma City, OK 73134



# Appendix IV: Agency Regional and Local Office Addresses

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(405) 290-7770

(405) 290-3875

## Region VII

(Iowa, Kansas, Missouri, Nebraska)

2222 Market Street, Room 2704

St. Louis, MO 63103-2516

(314) 231-4324

(314) 589-2500

Federal Office Building

10755 Burt Street

Omaha, NE 68114-2000

(402) 493-8688

(402) 492-3700

U.S. Courthouse, Room 300

1300 Summitt

Kansas City, MO 64105-1362

(816) 221-6100

(816) 512-8200

## Region VIII

(Colorado, North Dakota, South Dakota, Utah, Wyoming)

Federal Office Building

1961 Stout Street, Suite 1823, 18th Floor

Denver, CO 80294-1823

(303) 629-7171

(303) 628-3000

257 East 200 South, Suite 1200

257 Towers Building

Salt Lake City, UT 84111-2048

(801) 579-1400

(801) 579-4400

## Region X

Crown Plaza Building

1500 S.W. 1st Avenue, Suite 400

Portland, OR 97201-5828

(503) 224-4181

(503) 552-5200

Federal Office Building

915 Second Avenue, Room 710

Seattle, WA 98101

(206) 262-2000

(700) 391-8760

(Alaska, Idaho, Oregon, Washington)

101 East Sixth Avenue

Anchorage, AK 99501-2523

(907) 276-4441

(907) 258-5322

## IMMIGRATION & NATURALIZATION SERVICE

---

### NATURALIZATION INFORMATION

#### Alabama

Mobile Port of Entry

P.O. Box 1526

Mobile, AL 36601

(334) 441-5135

Mobile Border Patrol

P.O. Box 1526

Mobile, AL 36633

(334) 441-6139

#### Alaska

Eagle Port of Entry

C/O Postmaster Box 1

Eagle, AK 99738

(907) 547-2211

Nome Port of Entry

P.O. Box 281

Nome, AK 99762

(907) 443-2065

Anchorage International Airport P.O. Box 19068

4601 Sattelite Drive

Anchorage, AK 99519-0688

(907) 243-1400

Ketchikan Port of Entry

111 Main Street

Ketchikan, AK 99840

(907) 225-2380

Dutch Harbor Port of Entry

2315 Airport Beach Road, Room 205

P.O. Box 750

Dutch Harbor, AK 99692

(907) 581-4114

Anchorage District Office

620 East 10th Avenue, Suite 102

Anchorage, AK 99501-3701

(907) 271-3524

Gambell Port of Entry

P.O. Box 1

Gambell, AK 99742

(907) 985-5211

Skagway Port of Entry

Klondike Highway Border Station

P.O. Box 475

Skagway, AK 99840-0475

(907) 983-3144

Prince Rupert, BC Canada

Alaska Marine Highway Terminal

C/O 111 Main Street

Ketchikan, AK 99840

(604) 624-3833

Dalton's Cache Port of Entry

Mile 40 Haines Highway

P.O. Box 1509

Haines, AK 99827-1509

(907) 767-5580

Turner Port of Entry

P.O. Box 1221

Tok, AK 99780

(907) 774-2242

Fairbanks Port of Entry

6450 Old Airport Way

Fairbanks, AK 99709

(907) 474-0307

#### Arizona

Eloy Processing Center

4465 E. Hanna Road, Suite 343

Eloy, AZ 85231

(520) 466-2000

San Luis Port of Entry

Highway 95

P.O. Box 448

San Luis, AZ 85349

(520) 627-3591

Casa Grande Border Patrol

396 Camino Mercado

Casa Grande, AZ 85222

(520) 836-7812

Florence Processing Center

3250 North Pinal Parkway Avenue

Florence, AZ 85232

(520) 868-5862

Wellton Border Patrol

29820 Frontage Road

P.O. Box 128

Wellton, AZ 85356

(520) 785-9364

Naco Port of Entry

106 "D" Street

P.O. Box 277

Naco, AZ 85620

(520) 432-3111/2791

Lukeville Port of Entry

Highway 85

P.O. Box D

Lukeville, AZ 85341

(520) 387-6047

Naco Border Patrol

2136 Naco Highway

Bisbee, AZ 85603

(520) 432-5121

Tucson Border Patrol Sector Headquarters

1970 West Ajo Way

Tucson, AZ 85713

(520) 670-6871/6880

Douglas Border Patrol

1051 Lawrence Street

P.O. Box 1175

Douglas, AZ 85608

(520)364-3991

Phoenix Border Patrol

3006 W. Claredon Ave.

Phoenix, AZ 85017

(520) 670-6865

Yuma Border Patrol

12122 S. Avenue A

P.O. Box 2708

Yuma, AZ 85366-2708

(520) 726-8731

Douglas Port of Entry

Pan American Ave. & First Street

Douglas, AZ 85607

(520) 364-5532/6479

Phoenix Sky Harbor Airport

P.O. Box 63673

Phoenix, AZ 85082-2673

(602) 275-7745, 7763, 7785

# Appendix IV: Agency Regional and Local Office Addresses

Tucson Border Patrol  
2010 Ajo Way  
Tucson, AZ 85713  
(520) 670-6865

Willcox Border Patrol  
200 W. Downen St.  
P.O. Box 909  
Willcox, AZ 85644-0909  
(520) 384-2412

Sasabe Port of Entry  
Federal Inspection Building  
P.O. Box 326  
Sasabe, AZ 85633-0326  
(520) 823-4230

Ajo Border Patrol  
850 North Tucson - Ajo Hwy. 86  
P.O. Drawer "J"  
Ajo/Highway, AZ 85321  
(520) 387-7002

Phoenix District Office  
2035 North Central Avenue  
Phoenix, AZ 85004-1548  
(602) 514-7799

Nogales Border Patrol  
1500 W. La Quinta Road  
Nogales, AZ 85621  
(520) 377-6000

Sonoita Border Patrol  
Highway 82 and 83  
P.O. Box 37  
Sonoita, AZ 85637-0037  
(520) 455-5051

Yuma Border Patrol Sector Headquarters  
350 West 1st Street  
P.O. Box 2708  
Yuma, AZ 85366-2708  
(520) 782-9548

**Bahamas**

Freeport Bahamas Sub-Office  
P.O. Box F-2664  
Freeport Grand Bahama, Bahamas  
(809) 352-5586

**California**

Indio Border Patrol  
45-620 Commerce Street  
Indio, CA 92201  
(760) 347-3658

Fresno Border Patrol Station  
4367 North Golden State Boulevard  
Fresno, CA 93722  
(209) 487-5506

Campo Border Patrol  
3 Forest Gate Road  
P.O. Box 68  
Campo, CA 91906  
(619) 557-6144

Long Beach Seaport Unit  
501 W. Ocean Boulevard, Suite 6300

Long Beach, CA 90802  
(310) 980-3400

Tecate Port of Entry  
P.O. Box 219  
Tecate, CA 92080-0219  
(619) 478-5029

Fresno Sub-Office  
865 Fulton Mall  
Fresno, CA 93721-2816  
(209) 487-5126

Calexico Port of Entry  
200 East 1st Street  
P.O. Box 1780  
Calexico, CA 92231  
(619) 357-1189, 7968, 1143

San Francisco International Airport  
P.O. Box 280551  
Central Terminal, Lower Level  
Customs Area  
San Francisco, CA 94128  
(415) 876-2876

Ota Mesa Port of Entry  
2500 Paseo International  
P.O. Box 439018  
San Diego, CA 92143-9018  
(619) 661-3249, 3231

Bakersfield Processing Center  
17635 Industrial Farm Road  
P.O. Box 81143  
Bakersfield, CA 93380  
(805) 861-4465

El Centro Border Patrol Sector Headquarters  
1111 North Imperial Ave.  
El Centro, CA 92243-1795  
(619) 352-3241

Oxnard Border Patrol  
275 Skyway Drive  
P.O. Box 88  
Camarillo, CA 93011  
(805) 482-8997

San Clemente Border Patrol  
I-5 Northbound Traffic Checkpoint  
P.O. Box 3188  
San Clemente, CA 92674  
(619) 557-5272

Boulevard Border Patrol  
39701 Avenue de Robles Verde  
P.O. Box 1320  
Boulevard, CA 92005  
(619) 766-4542

San Marcos Border Patrol  
126 South Pacific  
P.O. Box 5099  
San Marcos, CA 92069  
(619) 557-5589

San Ysidro Port of Entry  
720 San Ysidro Boulevard  
P.O. Box 439108  
San Diego, CA 92143-9018

(619) 662-7314, 7240

Calexico East Port of Entry  
1699 E. Carr Road  
Calexico, CA 92231  
(619) 768-2450

Ontario Airport  
222 E. Airport Drive  
Ontario, CA 91761  
(909) 395-8668, 8673

Oakland International Airport  
International Terminal  
1 Airport Drive  
Oakland, CA 94621  
(510) 273-7390

Riverside Border Patrol  
2060 Chicago Avenue, Suite A2  
Riverside, CA 92507  
(909) 686-4100

Stockton Border Patrol  
P.O. Box 2047  
Stockton, CA 95201  
(209) 946-6211, 6284

Sacramento Sub-Office  
650 Capital Mall  
Sacramento, CA 95814  
(916) 498-6460

San Jose International Airport  
C/O P.O. Box 280551  
Central Terminal, Lower Level  
Customs Area  
San Jose, CA 95110  
(408) 291-7209

Los Angeles District Office  
300 North Los Angeles Street  
Los Angeles, CA 90012  
(213) 894-4627

Blythe Border Patrol  
16870 W. Hobsonway  
P.O. Box 836  
Blythe, CA 92226  
(619) 922-6715

Los Angeles International Airport  
380 Worldway, P.O. Box N-20  
Tom Bradley International Terminal, Lower Level  
Los Angeles, CA 90045  
(310) 215-2104, 2101 - Ext. #107, 103

Imperial Beach Border Patrol  
1802 Saturn Way  
P.O. Box 68  
Imperial Beach, CA 91933-0068  
(619) 662-7149

Andrade Port of Entry  
235 Andrade Road  
Winterhaven, CA 92283  
(619) 572-5350, 5184

Western Form Center  
5600 Rickenbacker Road  
Building 701 Bay A  
Bell, CA 90201

# Appendix IV: Agency Regional and Local Office Addresses

(213) 526-7404

Temecula Border Patrol  
43136 Rancho Way  
P.O. Box 38  
Temecula, CA 92593  
(909) 694-6871

Livermore Border Patrol Station  
6102 Ninth Street  
Dublin, CA 94568  
(925) 828-0371

San Jose Sub-Office  
280 S. First Street, Rm. 1150  
San Jose, CA 95113  
(408) 535-5174

Livermore Border Patrol Sector Headquarters  
6102 Ninth Street  
Dublin, CA 94568  
(925) 828-3770

Brown Field Border Patrol  
7560 Britannia Street  
San Diego, CA 92173  
(619) 661-3154

Salinas Border Patrol  
1636 East Alisal Street  
P.O. Box 218  
Salinas, CA 93902  
(408) 754-0633

Sacramento Border Patrol Station  
7000 Franklin Blvd.  
Bldg. 500, Suite 575  
Sacramento, CA 95823  
(916) 391-9087

Western Operations Region  
24000 Avila Road  
P.O. Box 30080  
Laguna Niguel, CA 92607-0080  
(714) 643-4236

San Pedro Processing Center  
2001 Seaside Avenue  
Terminal Island  
San Pedro, CA 90731  
(310) 732-0777

El Centro Border Patrol Station  
1081 North Imperial Avenue  
El Centro, CA 92243  
(760) 353-0541

Bakersfield Satellite Investigations  
800 Truxton Avenue, Room 317  
Bakersfield, CA 93301  
(805) 861-4478

El Centro Processing Center  
1115 North Imperial Ave.  
El Centro, CA 92243-1739  
(619) 353-2170

San Luis Obispo Border Patrol Station  
1170 Calle Joaquin  
P.O. Box 1486  
San Luis Obispo, CA 93406  
(805) 543-9490

San Francisco District Office  
630 Sansome Street  
San Francisco, CA 94111-2280  
(415) 705-3102

San Diego International Airport  
Lindbergh Field Airport  
3665 N. Harbor Drive  
San Diego, CA 92101  
(619) 298-2612

El Cajon Border Patrol  
225 Kenney Street  
El Cajon, CA 92020  
(619) 557-5072

San Diego District Office  
880 Front Street, Suite 1234  
San Diego, CA 92101-8834  
(619) 557-5645

## Colorado

Pueblo Port of Entry  
P.O. Box 1879  
Pueblo, CO 81002  
(719) 544-9369

Grand Junction Port of Entry  
255 Main Street  
Grand Junction, CO 81501  
(303) 243-5141

Denver District Office  
4730 Paris Street  
Albrook Center  
Denver, CO 80239-2804  
(303) 371-6213

## Connecticut

Hartford Sub-Office  
Ribicoff Federal Building  
450 Main Street  
Hartford, CT 06103-3060  
(203) 240-3052

## Florida

Orlando Border Patrol  
P.O. Box 440  
Winter Park, FL 32790-0440  
(407) 648-6081

Key West Sub-Office  
301 Simonton Street, Room 201  
Mail: P.O. Box 86  
Key West, FL 33041  
(305) 296-2233

Miami District Office  
7880 Biscayne Boulevard  
Miami, FL 33138  
(305) 762-3405

West Palm Beach Sub-Office  
301 N. Broadway  
Riviera Beach, FL 33404  
(561) 841-0498

Miami International Airport  
Concourse E, 3rd Floor  
P.O. Box 997895

Miami, FL 33299-7895  
(305) 526-2612, 2626, 2851, 2930

Tampa Border Patrol  
1821B East Sahlman Drive  
Tampa, FL 33605  
(813) 228-2156 or 2160

Miami Border Patrol Sector Headquarters  
7201 Pembroke Road  
Pembroke Pines, FL 33023  
(954) 963-9807

Key West Port of Entry  
Federal Building  
301 Simonton Street, Room 201  
Key West, FL 33040  
(305) 293-9150

Nassau, Bahamas Sub-Office, U.S. Immigration  
P.O. Box 599009  
Miami, FL 33159-9009  
(242) 377-7125

West Palm Beach Port of Entry  
4 East Port Road, Room 410  
Riviera Beach, FL 33419  
(407) 845-6898

Krome North Service Processing Center  
18201 S.W. 12th Street  
P.O. Box 160327, Snapper Creek Station  
Miami, FL 33194  
(305) 552-1845

Jacksonville Port of Entry  
Federal Building, G-18  
400 W. Bay Street  
Jacksonville, FL 32202  
(904) 232-2164

## Georgia

Atlanta District Office  
77 Forsyth Street S.W.  
Atlanta, GA 30303-0253  
(404) 331-0253

Savannah International Airport 33 Bull Street,  
Suite 505  
Savannah, GA 31401  
(912) 652-4460

Hartsfield International Airport Port of Entry  
P.O. Box 45527  
Atlanta, GA 30320  
(404) 763-7816

## Guam

Guam International Airport  
Sirena Plaza, Suite 100  
108 Hernan Cortez Avenue  
Agana, GU 96910  
(671) 642-7611

## Hawaii

Honolulu District Office  
595 Ala Moana Boulevard  
Honolulu, HI 96813  
(808) 532-3748/3746

Honolulu International Airport

# Appendix IV: Agency Regional and Local Office Addresses

300 Rodgers Boulevard  
Terminal Box 50  
Honolulu, HI 96819  
(808) 861-8401, 8406, 8400, 8409

## Idaho

Eastport Port of Entry  
P.O. Box 8  
Highway 95  
Eastport, ID 83826  
(208) 267-2183, 3745

4620 Overland Road  
Room 108  
Boise, ID 83705  
(208) 334-1822

Porthill Port of Entry  
P.O. Box 40  
Porthill, ID 83853  
(208) 267-5309

## Illinois

Chicago District Office  
10 West Jackson Boulevard, Suite 600  
Chicago, IL 60604  
(312) 385-1900

## Indiana

Indianapolis Sub-Office  
Gateway Plaza, Room 400  
950 North Meridan Street  
Indianapolis, IN 46204  
(317) 226-6181

## Kansas

Garden City Port of Entry  
Box 1239  
1404 E. Fulton  
Garden City, KS 67846  
(316) 275-1054

Wichita Port of Entry  
625 North Winterset  
Wichita, KS 67212  
(316) 945-9741

## Kentucky

Louisville Sub-Office  
Room 604  
Gene Snyder Courthouse  
601 West Broadway  
Louisville, KY 40202  
(502) 582-6526

## Louisiana

New Orleans Border Patrol Sector Headquarters  
3819 Patterson Drive  
P.O. Box 6218  
New Orleans, LA 70174  
(504) 589-6107

New Orleans International Airport  
900 Airline Highway  
Kenner, LA 70062  
(504) 589-3949

New Orleans District Office

Postal Services Building  
701 Loyola Avenue, Room T-8011  
New Orleans, LA 70113  
(504) 589-6521

Oakdale Processing Center  
207 E. 5th Avenue  
P.O. Box 5095  
Oakdale, LA 71463  
(318) 335-0713

Lake Charles Border Patrol  
P.O. Box 868  
Lake Charles, LA 70601  
(318) 477-9245

Baton Rouge Border Patrol  
P.O. Box 338  
9522 Brookline Drive  
Baton Rouge, LA 70821  
(504) 389-0231

## Maine

Houlton Border Patrol Station  
P.O. Box 706  
Houlton, ME 04730  
(207) 532-9061

Fort Fairfield Port of Entry  
RR #1, Box 217  
Fort Fairfield, ME 04742  
(207) 473-7396

Van Buren Port of Entry  
International Bridge  
Bridge Street, P.O. Box 116  
Van Buren, ME 04785  
(207) 868-2202/3900

Madawaska Port of Entry  
2 Bridge Street  
Madawaska, ME 04756-1230  
(207) 728-4565

Van Buren Border Patrol  
P.O. Box 26  
Main Street  
Van Buren, ME 04785  
(207) 868-3900

Bar Harbor Port of Entry  
Marine Atlantic Ferry Terminal  
Eden Street  
Bar Harbor, ME 04609  
(207) 288-4675

Fort Fairfield Border Patrol  
205 Main Street  
P.O. Box 410  
Fort Fairfield, ME 04742  
(207) 472-5041

Bridgewater Port of Entry  
RFD Rt. 1, Box 42  
Boundary Line Road  
Bridgewater, ME 04735  
(207) 425-4502

Calais Port of Entry  
Border Inspection Station  
1 Main Street

P.O. Drawer 421  
Calais, ME 04619  
(207) 454-2546

Hamlin Port of Entry  
H.C. 62, Box 63  
Van Buren, ME 04785  
(207) 868-0966

Lubec Port of Entry  
Federal Building  
U.S. Post Office & Border Station  
Washington Street & Campobello Bridge  
Lubec, ME 04652  
(207) 733-4960

Jackman Port of Entry  
Star Route 76  
Box 629  
Jackman, ME 04945  
(207) 668-3771

Limestone Port Of Entry  
R.F.D. 1, Box 258  
Limestone, ME 04750-9729  
(207) 325-4760

Vanceboro Port of Entry  
U.S. Immigration and Naturalization Service  
P.O. Box C  
Water Street  
Vanceboro, ME 04491  
(207) 788-3813

Fort Kent Port of Entry  
98 West Main Street  
Fort Kent, ME 04743-1016  
(207) 834-3223

Coburn Gore Port of Entry  
Star Route 73  
P.O. Box 35  
Eustis, ME 04936  
(207) 297-2771

Calais Border Patrol  
One Main Street  
P.O. Box 245  
Calais, ME 04619  
(207) 454-3613

Bangor Port of Entry  
267A Godfrey Boulevard  
P.O. Box 677  
Bangor, ME 04402-0677  
(207) 945-0334

Jackman Border Patrol  
P.O. Box 608  
Nickels Road  
24 hours  
Jackman, ME 04945  
(207) 668-3151

Houlton Port of Entry  
P.O. Box 189  
Interstate 95  
Houlton, ME 04730  
(207) 532-2906

Houlton Border Patrol Sector Headquarters

# Appendix IV: Agency Regional and Local Office Addresses

Route 1, Calais Road  
P.O. Box 706  
24 Hours  
Houlton, ME 04730  
(207) 532-6521/6522

## **Maryland**

Baltimore District Office  
Fallen Federal Building  
31 Hopkins Plaza  
Baltimore, MD 21201  
(410) 962-2010

## **Massachusetts**

Boston Service Processing Center  
427 Commercial Street  
Boston, MA 02109  
(617) 223-3090/3089/3088

Boston District Office  
John F. Kennedy Federal Building  
Government Center, Room 1700  
Boston, MA 02203  
(617) 565-4214

## **Michigan**

Port Huron Port of Entry  
2321 Pinegrove Avenue  
Port Huron, MI 48060  
(810) 982-0493

Port Huron Border Patrol  
2112 River Road  
Marysville, MI 48040  
(810) 364-6041

Sault Ste. Marie Port of Entry  
Immigration and Naturalization Service  
International Bridge Plaza  
Sault Ste. Marie, MI 49783  
(906) 632-8822

Algonac Port of Entry  
202 Fruit Street  
Algonac, MI 48001  
(810) 794-3321

Detroit City Airport  
11499 Conner  
Room 138C  
Detroit, MI 48213  
(313) 521-8430

Trenton Border Patrol  
23100 West Road  
P.O. Box 206  
Trenton, MI 48183  
(313) 676-2972

Grand Rapids Border Patrol  
P.O. Box 1678  
100 W. 7th St.  
Holland, MI 49422-1678  
(616) 392-4070

Detroit International Bridge  
3033 Porter  
Detroit, MI 48216  
(313) 963-4408

Detroit Metro Airport  
International Terminal  
Romulus, MI 48242  
(313) 955-6293

Sault Ste. Marie Border Patrol  
P.O. Box 141  
International Bridge Plaza  
Sault Ste. Marie, MI 49783  
(906) 632-3383

District/Canada Tunnel  
150 E. Jefferson Avenue  
Detroit, MI 48226  
(313) 568-6019

## **Minnesota**

Grand Portage Port of Entry  
Highway 61  
Grand Portage, MN 55605  
(218) 475-2494

Warroad Border Patrol  
P.O. Box 24, Highway 11  
Warroad, MN 56763  
(218) 386-1802

Grand Marais Border Patrol  
P.O. Box 685, Highway 61 East  
Grand Marais, MN 55604  
(218) 387-1770

Pine Creek Port of Entry  
Highway 89  
Star Route 5  
Roseau, MN 56751  
(218) 463-1952

International Falls Border Patrol  
Immigration Naturalization Service  
1412 Hwy. 11-71 West  
International Falls, MN 56649  
(218) 283-2461

Ely Port of Entry  
P.O. Box 28  
Ely, MN 55731  
(218) 365-3262

St. Paul District Office  
2901 Metro Drive, Suite 100  
Bloomington, MN 55425  
(612) 335-2211

Noyes Port of Entry  
Immigration and Naturalization Service  
Rural Route 1, Box 110  
Noyes, MN 56740  
(218) 823-6291

Crane Lake Port of Entry  
7544 Gold Coast Road  
Crane Lake, MN 55725  
(218) 993-2321

Warroad Port Of Entry  
H.C. 02 P.O. Box 245  
Warroad, MN 56763  
(218) 386-1676

Duluth Port of Entry

U.S. Courthouse & Custom House  
Federal Building  
515 West First Street  
Duluth, MN 55802  
(218) 720-5207

Roseau Port of Entry  
Route 1, Box 31 - Highway 310 N  
Roseau, MN 56751  
(218) 463-2054

International Falls  
2 Second Avenue  
International Falls, MN 56649-2328  
(218) 283-8611

Pembina Border Patrol  
Rural Route 1  
P.O. Box 106  
Noyes, MN 56740  
(218) 823-6528, 6594

Duluth Border Patrol  
114 Federal Building  
515 West First Street  
Duluth, MN 55802  
(218) 720-5465

Lancaster Port of Entry  
Route 1 Box 138 - Highway 59  
Lancaster, MN 56735  
(218) 762-4100

Baudette Port of Entry  
International Bridge  
P.O. Box 487  
Baudette, MN 56623  
(218) 634-2661

## **Mississippi**

Gulfport Port of Entry  
P.O. Box 1120  
Gulfport, MS 39501  
(601) 864-3029

Gulfport Border Patrol  
P.O. Box 4273  
Gulfport, MS 39502  
(228) 863-3582

## **Missouri**

Kansas City District Office  
9747 North Conant Avenue  
Kansas City, MO 64153  
(816) 891-0864

St. Louis International Airport  
P.O. Box 10406  
Lambert Field  
St. Louis, MO 63145  
(314) 425-7179

St. Louis Sub-Office  
Robert A. Young Federal Building  
1222 Spruce Street, Room 100  
St. Louis, MO 63103-2815  
(314) 539-2516

## **Montana**

Billings Border Patrol

# Appendix IV: Agency Regional and Local Office Addresses

2601 1st Ave. N.  
P.O. Box 2298  
Billings, MT 59103  
(406) 247-7563

Loring Port of Entry  
Port of Morgan  
HC82, Box 9250  
Loring, MT 59537-9600  
(406) 674-5248

Roosville Port of Entry  
Immigration and Naturalization Service  
8395 Highway 93 North  
Eureka, MT 59917-9331  
(406) 889-3737

Sweetgrass Port of Entry  
Immigration and Naturalization Service  
P.O. Box 165 - Interstate 15  
Sweetgrass, MT 59484  
(406) 335-2911

Raymond Port of Entry  
P.O. Box 158  
Raymond, MT 59256  
(406) 895-2620

Eureka Border Patrol  
Highway 93 (JB Shopping Center)  
P.O. Box 909  
Eureka, MT 59917  
(406) 296-2938

Montana Chief Mountain Port of Entry  
P.O. Box 376  
via Babb, MT 59411  
(406) 732-4576

Scobey Port of Entry  
P.O. Box 2300  
Scobey, MT 59263  
(406) 783-5372

Havre Border Patrol Sector Headquarters  
2605 5th Avenue S.E.  
P.O. Box 112  
Havre, MT 59501  
(406) 265-6781

Havre Port of Entry  
Immigration and Naturalization Service  
Simpson Route  
Willow Creek Station  
Havre, MT 59501  
(406) 265-6781

Whitetail Port of Entry  
P.O. Box 38 - US Border Inspection Station  
Whitetail, MT 59276  
(406) 779-3531

Wild Horse Port of Entry  
Immigration and Naturalization Service  
Havre, MT 59501  
(406) 394-2371

Shelby Border Patrol  
P.O. Box 653  
906 Oilfield Ave.  
Shelby, MT 59474

(406) 434-5588  
Scobey Border Patrol  
P.O. Box 820  
Scobey, MT 59263  
(406) 487-2621

Opheim Port of Entry  
P.O. Box 317  
Opheim, MT 59250  
(406) 724-3212

Willow Creek Port of Entry  
Simpson Route  
Havre, MT 59501  
(406) 398-5512

Plentywood Border Patrol  
P.O. Box 434  
Plentywood, MT 59254  
(406) 765-1852

Malta Border Patrol  
P.O. Box 36  
Malta, MT 59538  
(406) 654-2711

Piegan Port of Entry  
Immigration and Naturalization Service  
P.O. Box 109  
Babb, MT 59411  
(406) 732-9297

Del Bonita Port of Entry  
Del Bonita Star Route  
Cut Bank, MT 59427  
(406) 336-2130

## Nebraska

Nebraska Service Center  
850 S. Street  
P.O. Box 82521  
Lincoln, NE 68501-2521  
(402) 437-5464

Omaha District Office  
3736 South 132nd Street  
Omaha, NE 68144  
(402) 697-9152

## Nevada

Las Vegas Mecarren International Airport  
5757 Wayne Newton Boulevard  
Las Vegas, NV 89111  
(702) 388-6024

Boulder City Border Patrol  
P.O. Box 60928  
Boulder City, NV 89006-0928  
(702) 293-8507

Las Vegas Sub-Office  
3373 Pepper Lane  
Las Vegas, NV 89120  
(702) 388-6640

Reno Sub-Office  
1351 Coporate Boulevard  
Reno, NV 89502  
(702) 784-5186

## New Hampshire

Pittsburg Port of Entry  
Route #3  
P.O. Box 277  
Pittsburg, NH 03592  
(819) 656-2261

## New Jersey

Newark District Office  
Federal Building  
970 Broad Street  
Newark, NJ 07102  
(201) 645-2298

Newark International Airport  
Terminal B, SAT 3  
Newark, NJ 07114  
(201) 645-6589

## New Mexico

Truth or Consequences Border Patrol  
P.O. Box 3310  
Truth or Consequences, NM 87901  
(505) 744-5235

Deming Border Patrol  
P.O. Box 230  
Deming, NM 88031  
(505) 546-9036

Alamagordo Border Patrol  
1997 Hwy 54 South  
Alamagordo, NM 88310-7377  
(505) 437-6960

Columbus Port of Entry  
P.O. Box 307, Pershing Road  
Columbus, NM 88029  
(505) 531-2694, 95, 96

Albuquerque Sub-Office  
517 Gold Avenue, S.W.  
Room: 1010  
P.O. Box 567  
Albuquerque, NM 87103  
(505) 248-7357

Las Cruces Border Patrol  
3120 North Main  
Las Cruces, NM 88001  
(505) 527-6895

Lordsburg Border Patrol  
441 Duncan Highway, P.O. Box 459  
Lordsburg, NM 88045  
(505) 542-3221

Las Cruces Patrol Training Office  
2320 Temple Street  
Las Cruces, NM 88001  
(505) 524-4730

## New York

Service Processing Center  
201 Varrick Street, 4th Floor  
New York, NY 10014  
(212) 620-3441

Massena Port of Entry  
P.O. Box 195  
Roosevelt, NY 13683

# Appendix IV: Agency Regional and Local Office Addresses

(315) 764-0310 (315) 764-0677 Mooers Port of Entry Border Inspection Station State Route 22 Mooers, NY 12958 (518) 236-7116 Rouse Point Port of Entry US Route 9B Rouse Point, NY 12979 (518) 297-7521 Lewiston Port of Entry 1 Lewiston Queenston Bridge Lewistown, NY 14092-1980 (716) 285-1676 Fort Covington Port of Entry Border Inspection Station Water Street Fort Covington, NY 12937 (518) 358-2231 Chateaugay Port of Entry Border Inspection Station Star Route 374 Chateaugay, NY 12920 (518) 497-6772 John F. Kennedy International Airport International Arrivals Building #50 Jamaica, NY 11430 (718) 553-1688 (718) 553-1689 New York District Office 26 Federal Plaza New York, NY 10278 (212) 264-3911 Champlain Border Patrol P.O. Box 1228 Ridge Road Champlain, NY 12919 (518) 298-2531 Ogdensburg Border Patrol 127 North Water Street Ogdensburg, NY 13669 (315) 393-1150/0100 Office of Inspector General JFK Airport Station P.O. Box 999 Jamaica, NY 11430 (718) 553-7520 Thousand Island Bridge Port of Entry U.S. Immigration and Naturalization Service 46735 U.S. Interstate Route 81 Alexandria Bay, NY 13607-9796 (315) 482-2681/2065 Watertown Border Patrol Post Office Building P.O. Box 280 153 Arsenal Street Watertown, NY 13601-0280 (315) 482-7556	Albany Sub-Office U.S. Post Office & Customhouse Room 220 445 Broadway Albany, NY 12207 (518) 431-0339 Cape Vincent Port of Entry 46735 U.S. Int. Route 81 Alexandria Bay, NY 13607-9796 (315) 654-2781, Ext. 8 Buffalo District Office 130 Delaware Avenue Buffalo, NY 14202 (716) 846-4741, Ext. 8 Champlain Port of Entry Border Inspection Station 234 West Service Road Champlain, NY 12919 (518) 298-3221, 8433, or 2526 Burke Border Patrol P.O. Box 125 Burke, NY 12917-0125 (518) 483-5941 Niagara Falls Border Patrol 1708 Lafayette Avenue P.O. Box 281 Niagara Falls, NY 14305-0281 (716) 285-6444 Fulton Border Patrol Station 215 South First Street Room 228 P.O.Box 70 Fulton, NY 13069-0070 (315) 598-8510 Trout River Port of Entry Trout River State Route 30 Via Constable, NY 12926 (518) 483-5021 Buffalo Border Patrol Sector Headquarters U.S. Border Patrol 231 Grand Island Boulevard Tonawanda, NY 14150-6502 (716) 551-4101 Niagara Falls Port of Entry Rainbow Bridge Niagara Falls, NY 14303 (716) 282-3141 <b>North Carolina</b> Raleigh-Durham International Airport Port of Entry P.O. Box 80216 Raleigh, NC 27623 (919) 840-5577 Wilmington Port of Entry Alton Lennon Federal Building Room 105 2 Princess Street Wilmington, NC 28401	(910) 343-4876 Charlotte Sub-Office 6 Woodlawn Green, Room 138 Charlotte, NC 28217 (704) 344-6313 <b>North Dakota</b> Portal Border Patrol P.O. Box 298 Portal, ND 58772 (701) 926-4111 Carbury Port of Entry RR #1 Souris, ND Carbury, ND 58783 (701) 228-2540 Sarles Port of Entry Immigration and Naturalization Service P.O. Box 67, Route 1 6 miles from Village of Sarles, ND 58372 (701) 697-5177 Antler Port of Entry Immigration and Naturalization Service RRI - Box 7 Antler, ND 58711 (701) 267-3321 Fortuna Port of Entry Immigration and Naturalization Service Hwy 85N, P.O. Box #37 Fortuna, ND 58844 (701) 834-2493 Neché Port of Entry Hwy 18 Neché, ND 58265 (701) 886-7744 Pembina Port of Entry Rural Route 1, P.O. Box 110 Noyes Pembina, ND 58271 (701) 825-6722 Walhalla Port of Entry RR2, Box 145 Walhalla, ND 58282-9459 (701) 549-3233 Noonan Port of Entry Noonan, ND 58765 (701) 926-5615 Ambrose Port of Entry Immigration and Naturalization Service State Highway 42 Rt. HC-1 BOx 202 Ambrose, ND 58833 (701) 982-3211 Dunseith Port of Entry Immigration and Naturalization Service R.R. 1, Box 117 Dunseith, ND 58329 (701) 263-4513, 4460 Grand Forks International Airport RR #2, Box 72 2787 Airport Drive Highway 2 West
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# Appendix IV: Agency Regional and Local Office Addresses

Grand Forks, ND 58203  
(701) 772-3301

Hansboro Port of Entry  
Box 237  
Hansboro, ND 58339  
(701) 266-5633

Maida Port of Entry  
Immigration and Naturalization Service  
Hwy #1  
Maida, ND 58255  
(701) 256-5087

Northgate Port of Entry  
Flaxton, ND 58737  
(701) 596-3805

Hannah Port of Entry  
Hannah, ND 58239  
(701) 283-5271

Bottineau Border Patrol  
P.O. Box 6  
Bottineau, ND 58318  
(701) 228-3179

Sherwood Port of Entry  
Rural Route 2, Box 1D  
Sherwood, ND 58782  
(701) 459-2250

St. John Port of Entry  
Box 15, Rt. 1  
St. John, ND 58369  
(701) 447-3140

Grand Forks Border Patrol Sector Headquarters  
P.O. Box 12669 Zip: 58208-2669  
2320 S. Washington Street  
Grand Forks, ND 58201  
(701) 775-6259

Portal Port of Entry  
P.O. Box 8  
Portal, ND 58772  
(701) 926-4221

## Ohio

Cleveland District Office  
Anthony J. Celebreeze Federal Building  
1240 E. 9th Street, Room 1917  
Cleveland, OH 44199  
(216) 522-4766

Toledo Port of Entry  
Federal Office Building, Room 713  
234 Summit Street  
Toledo, OH 43604-1536  
(419) 259-6474

## Oklahoma

Oklahoma Sub-Office  
4149 Highline Boulevard, Suite 300  
Oklahoma City, OK 73108  
(405) 231-5928

## Oregon

Portland District Office  
511 N.W. Broadway  
Portland, OR 97209

(503) 326-3962

Roseburg Border Patrol  
1036 S.E. Douglas  
P.O. Box 1728  
Roseburg, OR 97470  
(503) 440-4518

Coos Bay Port of Entry  
P.O. Box 209  
Coos Bay, OR 97420  
(503) 242-4785

Astoria Port of Entry  
P.O. Box 236  
Astoria, OR 97103  
(503) 325-3054

Portland International Airport  
P.O. Box 55067  
Portland, OR 97238-5067  
(503) 326-3409

## Pennsylvania

Philadelphia District Office  
1600 Callowhill Street  
Philadelphia, PA 19130  
(215) 656-7150

Pittsburgh Sub-Office  
INS/Department of Justice  
2130 Federal Building  
1000 Liberty Avenue  
Pittsburgh, PA 15222  
(412) 395-4457

## Puerto Rico

San Juan District Office  
U.S. Immigration and Naturalization Service  
P.O. Box 365068  
San Juan, PR 00936  
(787) 766-5514

Deferred Inspections  
U.S. Federal Building  
Room 380  
Chardon Street  
Hato Rey, PR 00918  
(809) 766-5000

Aquadilla Service Processing Center  
P.O. Box 250480  
Aquadilla, PR 00604-0480  
(787) 882-3565/3567/3568

Mayaguez Port of Entry  
U.S. Immigration and Naturalization Service  
P.O. Box 2990, Marina Station  
Mayaguez, PR 00709-2990  
(809) 831-3440

San Juan International Airport  
P.O. Box 37900  
Isle Verde, PR 00937-0900  
(809) 253-4525

Ponce Port of Entry  
Immigration and Naturalization Service  
P.O. Box 173  
Playa Station  
Ponce, PR 00734-3173

(809) 843-3220

District Director's Office  
Immigration and Naturalization Service  
New Federal Building, 3rd Floor  
Carlos Chardon Street  
Hato Rey, PR 00918

## Rhode Island

Providence Sub-Office  
200 Dyer Street  
Providence, RI 02903-3993  
(401) 528-5528, 5323

## South Carolina

Charleston Port of Entry  
Federal Building, Room 110  
334 Meeting Street  
Charleston, SC 29403  
(803) 727-4421

## Tennessee

Memphis Sub-Office  
245 Wagner Place  
Suite 250  
Memphis, TN 38103-3815  
(901) 544-4108

## Texas

Port Isabel Port of Entry  
Alien Processing Center (PIC)  
Route 3, Box 341  
Buena Vista Road  
Los Fresnos, TX 78566  
(210) 233-4431

Progreso Port of Entry  
International Bridge Route 2, Box 600  
Westlaco, TX 78596  
(210) 565-6304

Dallas Border Patrol  
2800 South Pipeline Road  
Eules, TX 76040  
(817) 540-0150

Midland Border Patrol Station  
P.O. Box 60405  
Midland, TX 79711  
(915) 561-8911

Comstock Border Patrol  
P.O. Box 700, Highway 85 East  
Comstock, TX 78837  
(915) 292-4450, 4680

Corpus Christi Border Patrol  
6809 Leopard Street  
P.O. Box 10344  
Corpus Christi, TX 78460-0344  
(512) 289-0552

Marfa Border Patrol Sector Headquarters  
P.O. Box 1  
300 Madrid Street  
Marfa, TX 79843  
(915) 729-4353

Harlingen Border Patrol  
901 Rangerville Road



# Appendix IV: Agency Regional and Local Office Addresses

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P.O. Box 642 Harlingen, TX 78551 (956) 427-8511	(915) 764-2417	P.O. Box 6496 Austin, TX 78704 (512) 482-7901, 7904
Brackettville Border Patrol P.O. Box 216 802 West Spring Street Brackettville, TX 78832 (830) 563-2477	Rocksprings Border Patrol P.O. Box 576 Rocksprings, TX 78880 (830) 683-2255	El Paso Port of Entry Paso Del Norte Bridge El Paso, TX 79901 (915) 534-6767
Hidalgo Port of Entry International Bridge Hidalgo, TX 78557-3019 (210) 843-2201, 2202	Port Isabel Service Processing Center Route 3, Box 341 Los Fresnos, TX 78566 (210) 548-2530	Fort Hancock Port of Entry P.O. Box 235 Fort Hancock, TX 79839 (915) 769-3810
San Antonio International Airport 9800 Airport Boulevard Terminal No. 1 San Antonio, TX 78216 (210) 826-6261	Galveston Port of Entry P.O. Box 388 Galveston, TX 77550 (409) 766-3581	Laredo Administrative Offices, Building #2 700 Zaragoza Street P.O. Box 179 Laredo, TX 78042-0179 (210) 722-3283
Port Arthur Port of Entry 4550 Jimmy Johnson Boulevard, Suite 3 Port Arthur, TX 77642 (409) 727-3375	Dallas Forth Worth Port of Entry P.O. Box 610365 Dallas-Fort Worth, TX 75261 (214) 574-2141	San Angelo Border Patrol P.O. Box 61106 San Angelo, TX 76906 (915) 949-0139
Mercedes Border Patrol P.O. Box 125 623 International Boulevard Mercedes, TX 78570 (956) 968-0602	Falfurrias Border Patrol P.O. Box 479 Falfurrias, TX 78355 (512) 325-5616	Big Bend Park Border Patrol P.O. Box 67 Big Bend, TX 79834 (915) 477-2287
Rio Grande City Port of Entry International Bridge, P.O. Box 278 Roma, TX 78584 (210) 487-2200 or (210) 849-1676	El Paso District Office 1545 Hawkins, Suite 167 El Paso, TX 79925 (915) 540-1700, 1701	McAllen Border Patrol Sector Headquarters Mail: P.O. Box 1179 Zip Code 78502 2301 South Main Street McAllen, TX 78503 (210) 686-5496
Brownsville Border Patrol P.O. Box 5076 Brownsville, TX 78520 (956) 542-3585	Dallas District Office 8101 North Stemmons Freeway Dallas, TX 75247 (214) 655-3011	Falcon Heights Port of Entry International Dam, P.O. Box 278 Roma, TX 78584 (210) 848-5221
Gateway to the American International Bridge #1 100 Convent Street Laredo, TX 78040 (210) 722-2484	Presidio Port of Entry International Bridge, P.O. Box 937 Presidio, TX 79845 (915) 229-3265, 3663	Los Ebanos Port of Entry International Ferry P.O. Box 399 Los Ebanos, TX 78565 (512) 485-2721
McAllen Border Patrol 4201 W. Military Highway McAllen, TX 78503 (956) 618-8163	El Paso Border Patrol Sector Headquarters 8901 Montana Ave., P.O. Box 9578 El Paso, TX 79986 (915) 834-8350	Pharr Port of Entry 9910 S. Cage Boulevard, Suite C Pharr, TX 78557-9723 (956) 783-4739, 4758
Amarillo Border Patrol P.O. Box 2287 Amarillo, TX 79105 (806) 324-2278	Sanderson Border Patrol P.O. Box 628 Sanderson, TX 78268 (915) 345-2972	San Antonio Border Patrol 5000 North Industrial Drive San Antonio, TX 78268 (210) 521-7926
San Antonio District Office 8940 Four Winds Drive San Antonio, TX 78239 (210) 967-7109	Fort Hancock Border Patrol P.O. Box 218 Fort Hancock, TX 79839 (915) 769-3978	Processing Center 8915 Montana Avenue El Paso, TX 79925 (915) 225-1941
Juarez-Lincoln International Bridge #2 700 Zaragoza Street, Building #3 Laredo, TX 78042 (512) 722-5440	Carrizo Springs Border Patrol P.O. Box 194 Highway 85 East Carrizo Springs, TX 78834 (830) 876-3557	Office of Inspector General 3 Butterfield Trail Boulevard Suite 120 El Paso, TX 79906 (915) 534-7370
Fabens Border Patrol 802 East Main P.O. Box 908 Fabens, TX 79838	Houston Intercontinental Airport P.O. Box 60457 Houston, TX 77205 (713) 233-3700	Abilene Border Patrol P.O. Box 3076 555 Walnut Street Abilene, TX 79604-3076
	Brownsville International Airport Brownsville, TX 78520 (210) 542-8296	
	Austin Sub-Office 3708 South Second Street	

# Appendix IV: Agency Regional and Local Office Addresses

(915) 673-3010  
Kingsville Border Patrol  
Navel Air Station, Building 3731  
Kingsville, TX 78363  
(512) 592-3284  
Hebbronville Border Patrol  
802 North Sigrid Street  
Hebbronville, TX 78361  
(512) 527-3256  
Intelligence Center  
11339 SSG Sims Street  
El Paso, TX 79908-8098  
(915) 760-2031  
Lubbock Border Patrol  
P.O. Box 1632, 1205 Texas Avenue  
Lubbock, TX 79408  
(806) 472-7355  
Port Arthur Port of Entry  
2875 75th Street, Room 106  
Port Arthur, TX 77640  
(409) 727-3375  
Rio Grand City Border Patrol  
2230 East Highway  
P.O. Box 481  
Rio Grand City, TX 78582  
(956) 487-2700  
Port Isabel Border Patrol  
Route 3, Box 340  
Los Fresnos, TX 78566  
(956) 233-9554  
Uvalde Border Patrol  
Industrial Park #30  
Uvalde, TX 78801  
(830) 278-7133  
Fabens Port of Entry  
P.O. Box 908  
Fabens, TX 79838  
(915) 764-2419  
Van Horn Border Patrol  
700 N.W. Access Road  
P.O. Box 368  
Van Horn, TX 79854  
(915) 283-2795  
Amistad Dam Port of Entry  
P.O. Box 4060  
Del Rio, TX 78841-4060  
(210) 775-7213  
Laredo Border Patrol Sector Headquarter  
207 W. Del Mar Boulevard  
Laredo, TX 78041  
(956) 723-4367  
Laredo South Border Patrol Station  
Rural Route 3, P.O. Box USBP-SLS/L  
Laredo, TX 78043  
(210) 727-0644  
Del Rio Border Station  
P.O. Box 2020, Qualia Drive  
Del Rio, TX 78841-2020  
(830) 703-2100  
Alpine Border Patrol  
P.O. Box 958  
Alpine, TX 79831  
(915) 837-3550  
Freer Border Patrol  
P.O. Box "W"  
Freer, TX 78357  
(512) 394-7613  
Cotulla Border Patrol  
692 Main Street  
Cotulla, TX 78014  
(830) 879-3051  
Presidio Border Patrol  
P.O. Box 929  
Presidio, TX 79845  
(915) 229-3330  
Fort Stockton Border Patrol  
P.O. Box 607  
Fort Stockton, TX 79735  
(915) 336-2468  
Del Rio Border Patrol Sector Headquarters  
P.O. Box 2020  
Del Rio, TX 78841-2020  
(210) 703-2100  
Zapata Border Patrol  
Lot C-2015  
U.S. Hwy 83 South  
P.O. Box 685  
Zapata, TX 78076-0685  
(210) 765-6395  
Eagle Pass Port of Entry  
International Bridge, P.O. Box 4280  
Eagle Pass, TX 78852  
(210) 773-9205, 9206  
Harlingen District Office  
2102 Teege Road  
Harlingen, TX 78550  
(210) 427-8691  
Llano Border Patrol  
P.O. Box 134, 211 East Tarrant  
Llano, TX 78643  
(915) 247-4912  
Brownsville Port of Entry  
1500 East Elizabeth Street, Room 203  
Brownsville, TX 78520  
(210) 546-1675  
**Utah**  
5272 South College Drive, Suite 100  
Salt Lake City, UT 84123  
(801) 265-8807  
**Vermont**  
Norton Port of Entry  
Border Inspection Station  
State Route 114  
P.O. Box 117  
Norton, VT 05907  
(802) 822-5222  
West Berkshire Port of Entry  
RFD #1 Box 1110  
Enosburg Falls, VT 05450  
(802) 933-2301  
St. Albans Sub-Office  
Federal Building  
P.O. Box 328  
St. Albans, VT 05478  
(802) 527-3191  
Beecher Falls Port of Entry  
Border Inspection  
Route 102  
Beecher Falls, VT 05902  
(802) 266-3320  
Beebe Plain Port of Entry  
Beebe Plain, VT 05823  
(802) 873-3151  
Highgate Springs Port of Entry  
Border Inspection Station  
U.S. Route 7  
RFD Swanton, VT 05488  
(802) 868-3349  
Pinnacle Port of Entry  
R.D. #1, Box 300  
Richford, VT 05476  
(802) 848-3319  
Derby Line Port of Entry  
Route 91  
P.O. Box 367  
Derby Line, VT 05830  
(802) 873-3316  
Richford Border Patrol  
Main Street  
P.O. Box 67  
Richford, VT 05476  
(802) 848-7713  
Alburg Springs Port of Entry  
Alburg Springs, RR#2  
Alburg, VT 05440  
(802) 796-3704  
Eastern Region Operations  
70 Kimball Avenue  
South Burlington, VT 05403-6813  
(802) 660-5000  
Eastern Service Center  
75 Lower Welden Street  
St. Albans, VT 05479-0001  
(802) 527-3100  
Newport Border Patrol  
P.O. Box 815  
Newport, VT 05855  
(802) 334-6722  
Beecher Falls Border Patrol  
P.O. Box 215  
24 hours  
Beecher Falls, VT 05902  
(802) 266-3035  
Administrative Center  
70 Kimball Avenue  
South Burlington, VT 05403-6813

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(802) 660-1111

Richford Port of Entry  
Border Inspection Station  
RFD #1, Box 40  
Richford, VT 05476  
(802) 848-7766

Morses Line Port of Entry  
RFD #1  
Morses Line, VT 05457  
(802)285-2214

North Troy Port Of Entry  
State Route 105  
North Troy, VT 05859  
(802) 988-2633

Swanton Border Patrol Sector Headquarters  
Grand Ave  
P.O. Box 705  
Swanton, VT 05488  
(802) 868-3361

East Richford Port of Entry  
RFD #1  
P.O. Box 1690  
East Richford, VT 05476  
(802) 848-3001

Swanton Border Patrol Station  
Route 78  
P.O. Box 209  
24 Hours  
Swanton, VT 05488  
(802) 868-3229/3320

Alburg Port of Entry  
U.S. Border Station  
State Route 225  
Alburg, VT 05440  
(802)796-3703

Canaan Port of Entry  
Border Inspection Station  
State Route 114  
P.O. Box 129  
Canaan, VT 05903  
(802) 266-8994

Eastern Form Center  
P.O. Box 567  
Williston, VT 05495-0567  
(802) 951-6225

## Virgin Islands

Cruz Bay Port of Entry  
P.O. Box 450  
Cruz Bay  
St. John, VI 00831  
(340) 776-6390

Christiansted St. Croix, Port of Entry  
P.O. Box 1270 Kingshill  
Christiansted St. Croix, VI 00851  
(809) 778-6559/6300

Charlotte Amalie, St. Thomas, VI Sub-Office  
Nisky Center, First Floor, Suite 1A  
Charlotte Amalie St. Thomas, VI 00801  
(809) 774-1390

## Virginia

Norfolk Sub-Office  
5Norfolk Federal Building  
200 Granby Mall, Room 439  
Norfolk, VA 23510-1882  
(804) 441-3095

Washington District Office  
4420 North Fairfax Drive  
Arlington, VA 22203  
(202) 307-1504

## Washington

Nighthawk Port of Entry  
Star Route  
Loomis, WA 98827  
(509) 476-2125

Lynden Border Patrol  
8334 Guide Meridian Road  
P.O. Box 708  
Lynden, WA 98264  
(360) 354-4118

Friday Harbor Port of Entry  
202 Front Street North  
Staff by Customs  
P.O. Box 1907  
Friday Harbor, WA 98250  
(206) 378-2080

Wenatchee Border Patrol  
93 Eastmont, McQuaig Bldg.  
P.O. Box 1825  
Wenatchee, WA 98807  
(509) 884-8893

Spokane Border Patrol  
N. 10710 Newport Highway  
Spokane, WA 99218

Seattle Sea Inspections  
815 Airport Way South  
Seattle, WA 98134  
(206) 553-1246

Laurier Port of Entry  
Immigration and Naturalization Service  
Highway 395  
P.O. Box 40  
Laurier, WA 99146  
(509) 684-2100

Seattle District Office  
815 Airport Way South  
Seattle, WA 98134  
(206) 553-0070

Sumas Port of Entry  
109 Cherry Street  
P.O. Box 99  
Sumas, WA 98295  
(360) 988-4781

Port Townsend Port of Entry  
Staffed by Customs)  
1322 Washington  
P.O. Box 951  
Port Townsend, WA 98368-0004  
(360) 385-3777

Longview Port of Entry  
P.O. Box 1027  
Longview, WA 98632  
(206) 423-5550

Bellingham Port of Entry  
104 W. Magnolia and Cornall Street, Room 207  
P.O. Box 2055  
Bellingham, WA 98227  
(360) 676-8411 (Downtown)  
(360) 734-3520 (Airport)

Vancouver-BC Candada  
P.O. Box 450  
Point Roberts, WA 98281-0450  
(604) 278-3360, 3986, 2520

Boundary Port of Entry  
5338 North Port Juanita Road  
Colville, WA 99114  
(509) 732-4470

Oroville Border Patrol  
1105 Main Street  
P.O. Box 99  
Oroville, WA 98844-9726  
(509) 476-3622

Lynden Port of Entry  
9949 Guide Meridian Road  
Lynden, WA 98264  
(206) 354-6661

Blaine Port of Entry  
Immigration and Naturalization Service  
Peace Arch POE  
100 Peace Portal Drive  
Blaine, WA 98230  
(360) 332-8511

Blaine Border Patrol  
1580 H Street  
P.O. Box 3529  
Blaine, WA 98231  
(360) 332-4205

Oroville Port of Entry  
Route 1, Box 130  
Oroville, WA 98844  
(509) 476-2454, 3132

Spokane Airport  
691 U.S. Courthouse Building  
Spokane, WA 99201  
(509) 353-4699

Ferry Port of Entry  
3559 Toroda Customs Bridge Road  
Curlew, WA 99118-9715  
(509) 779-4655 (Customs)

Bellingham Border Patrol  
2745 McLeod Rd.  
P.O. Box 31428  
Bellingham, WA 98228-3428  
(360) 733-8420

Frontier Port of Entry  
Immigration and Naturalization Service  
4939 Highway 25 North  
Northport, WA 99157

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(509) 732-4418

Port Angeles Border Patrol  
138 West First Street  
Port Angeles, WA 98362  
(360) 452-5970

Danville Port of Entry  
19130 North Highway 21  
Danville, WA 99121-9704  
(509) 779-4860

Tacoma Port of Entry  
3600 Port Tacoma Road  
Suite 303  
P.O. Box 1296  
Tacoma, WA 98401  
(206) 922-0848

Yakima Port of Entry  
417 E. Chestnut  
P.O. Box 49  
Yakima, WA 98907  
(509) 575-5944

Blaine Border Patrol Sector Headquarters  
1590 H Street  
P.O. Box 3529  
Blaine, WA 98231  
(360) 332-7707, 7919

Spokane Sub-Office  
619 U.S. Courthouse Building  
Spokane, WA 99201  
(509) 353-2761

Colville Border Patrol  
209 East Juniper Ave.  
P.O. Box 146  
Colville, WA 99114  
(509) 684-6272

Pacific Highway Port of Entry  
9950 Pacific Highway  
Blaine, WA 98230  
(360) 332-6091, 7237

Seattle Tacoma International Airport  
S. 178 and Pacific Highway  
Seattle, WA 98158  
(206) 553-0466, 2299

Metaline Falls Port of Entry  
P.O. Box 631  
Metaline Falls, WA 99153  
(509) 446-2572

## Washington, DC

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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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San Juan, PR 00919-5540 United States  
(787) 754-2110 (787) 753-9550 FAX

## Rhode Island

Mr. Charles J. Fogarty, Director  
Rhode Island Department of Labor and Training  
Center General Complex  
1511 Pontiac Avenue, Building 72-2  
Cranston, RI 02920-4407 United States  
(401) 462-8870 (401) 462-8872 FAX

## South Carolina

Mr. John L. Finan, Executive Director  
Department of Employment and Workforce  
P.O. Box 995, 1550 Gadsden Street  
Columbia, SC 29202 United States  
(803) 737-2617 (803) 737-2629 FAX

## South Dakota

Ms. Pamela S. Roberts, Secretary of Labor  
Department of Labor and Regulation  
Kneip Building  
700 Governors Drive  
Pierre, SD 57501-2291 United States  
(605) 773-5395 (605) 773-6184 FAX

## Tennessee

Ms. Karla Davis, Commissioner,  
Tennessee Department of Labor and Workforce  
Development  
220 French Landing Drive, 4th Floor, Building A  
Nashville, TN 37243-1002 United States  
(615) 741-6642 (615) 741-5078 FAX

## Texas

Mr. Larry Temple, Executive Director

# Appendix IV: Agency Regional and Local Office Addresses

Texas Workforce Commission  
101 East 15th Street, Room 618  
Austin, TX 78778 United States  
(512) 463-0735(512) 475-2321 FAX

## Utah

Ms. Kristen Cox, Executive Director  
Department of Workforce Services  
P.O. Box 45249, 140 E. 300 South  
Salt Lake City, UT 84114 United States  
(801) 526-9210 (801) 526-9211 FAX

## Vermont

Ms. Anne Noonan, Commissioner  
Vermont Department of Labor  
P.O. Box 488, 5 Green Mountain Drive  
Montpelier, VT 05601-0488 United States  
(802) 828-4301 (802) 828-4181 FAX

## Virgin Islands

Mr. Albert Bryan, Jr., Commissioner of Labor  
Virgin Islands Department of Labor  
2203 Church Street-Christiansted  
St. Croix 00820-4612 United States  
(340) 773-1994 (340) 773-0094 FAX

## Virginia

Mr. John Broadway, Commissioner  
Virginia Employment Commission  
703 E. Main Street, Room 300  
Richmond, VA 23219 United States  
(804) 786-3001(804) 225-3923 FAX

## Washington

Mr. Paul Trause, Commissioner  
WA Employment Security Department  
212 Maple Park  
P.O. Box 9046  
Olympia, WA 98507-9046 United States  
(360) 902-9301(360) 902-9383 FAX

## West Virginia

Mr. Russell Fry, Executive Director  
WORKFORCE West Virginia  
112 California Avenue  
Charleston, WV 25305-0112 United States  
(304) 558-7024 (304) 558-9157 FAX

## Wisconsin

Mr. Scott Baumbach, Secretary  
Department of Workforce Development  
201 East Washington Avenue  
Room A400  
Madison, WI 53707 United States  
(608) 267-1410 (608) 266-1784 FAX

## Wyoming

Ms. Joan K. Evans, Diector, Department of  
Workforce Services  
122 W. 25th Street Herchler Bldg 2E .  
Cheyenne, WY 82002 United States  
(307) 777-8621 (307) 777-5857 FAX

**(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)**

Dr. Helen Parker, Regional Administrator  
Atlanta Federal Center, Room 6M12  
61 Forsyth Street, S.W.  
Atlanta, GA 30303 United States  
(404) 302-5300; (404) 302-5382 FAX

**(Alaska, American Samoa, Arizona, California,  
Guam, Hawaii, Idaho, Nevada, Oregon,  
Republic of Palau, Federated States of  
Micronesia, Commenwealth of Northern  
Mariana Islands, Washington)**

Mr. Richard Trigg, Regional Administrator  
90 7th Street, Suite 17-300  
San Francisco, CA 94103-1516 United States  
(415) 625-7910; (415) 625-7903 FAX

**(Arkansas, Colorado, Louisiana, Montana, New  
Mexico, North Dakota, Oklahoma, South  
Dakota, Texas, Utah, Wyoming)**

Mr. Joseph C. Juarez, Regional Administrator  
525 S. Griffin Street, Room 317  
Dallas, TX 75202 United States  
(972) 850-4600; (972) 850-4605 FAX

**(Connecticut, Maine, Massachusetts, New  
Hampshire, New Jersey, New York, Puerto  
Rico, Rhode Island, the Virgin Islands,  
Vermont)**

Ms. Holly C. O'Brien, Regional Administrator  
JFK Federal Building, Room E-350  
Boston, MA 02203 United States  
(617) 788-0170; FAX (617) 788-0101

**(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)**

Ms. Lenita Jacobs-Simmons, Regional  
Administrator  
The Curtis Center  
170 S. Independence Mall West, Suite 825 East  
Philadelphia, PA 19106-3315 United States  
(215) 861-5200; (215) 861-5260 FAX

**(Illinois, Indiana, Iowa, Kansas, Michigan,  
Minnesota, Missouri, Nebraska, Ohio,  
Wisconsin)**

Mr. Byron Zuidema, Regional Administrator  
230 South Dearborn Street, 6th Floor  
Chicago, IL 60604 United States  
(312) 596-5403; (312) 596-5401 FAX

## MINE SAFETY AND HEALTH ADMINISTRATION

### COAL MINE SAFETY AND HEALTH

#### Alabama

(District 11, Coal Mine Safety and Health:  
Florida, Mississippi, Puerto Rico, Virgin Islands,  
and counties of Alabama and Georgia south and  
west of the District 7 boundary indicated above)  
Federal Region IV  
Frank C. Young, Jr.  
135 Gemini Circle, Suite 213  
Birmingham, AL 35209  
(205) 290-7300

#### Colorado

(District No. 9: All States west of the Mississippi  
River, except for Minnesota, Iowa and all counties  
of Missouri south of the Missouri River; including  
Alaska and Hawaii) Federal Region VIII  
John Kuzar  
P.O. Box 25367, DFC  
Denver, CO 80225-0367  
(303) 231-5458

#### Indiana

(District No. 8: Illinois, Indiana, Michigan,  
Minnesota, Wisconsin, Iowa and all counties of  
Missouri north of the Missouri River) Federal  
Region V  
James K. Oakes  
2300 Old Decker RD, Suite 200  
Vincennes, IN 47591  
(812) 882-7617

#### Kentucky

(District No. 6: counties of Kentucky east of and  
including Mason, Robertson, Fleming, Rowan,  
Menifee, Morgan, Magoffin, Floyd, Pike, Letcher)  
Federal Region IV  
Billy Fatch  
159 North Mayo Trail  
Pikeville, KY 41501-3249  
(606) 432-0943, Ext. 116

(District No. 10: counties of Kentucky west of and  
including Gallatin, Owen, Franklin, Anderson,  
Mercer, Boyle, Casey, Russell And Cumberland)  
Federal Region IV  
Carl E. Bome, II  
100 YMCA Drive  
Madisonville, KY 42431-9019  
(270) 821-4180

(District No. 7: Coal Mine Safety and Health:  
North Carolina, South Carolina, Tennessee,  
counties of Alabama north and east of and  
including Jackson, Marshall, Etowah, and  
Cherokee, counties of Georgia north of and  
including Polk, Bartow, Cherokee, Fors  
Joseph W. Pavlovich  
HC 66, Box 1699  
Barbourville, KY 40906  
(606) 546-5123

#### Pennsylvania

(District No. 1: Maine, New Hampshire, Vermont,  
Massachusetts, Rhode Island, Connecticut, New  
York, New Jersey, Delaware, and counties of  
Pennsylvania east of and including Susquehanna,  
Sullivan, Columbia, Montour, Northumberland,  
Dauphin, York) Federal Region III  
Frank Strunk  
The Stegmaier Building, Suite 034  
7 North Wilkes-Barre Boulevard  
Wilkes-Barre, PA 18702  
(570) 826-6321

(District No. 2: counties of Pennsylvania west of  
and including Bradford, Lycoming, Union,  
Snyder, Juniata, Perry, Cumberland, Adams)  
Federal Region III

# Appendix IV: Agency Regional and Local Office Addresses

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Cheryl McGill  
RR 1, Box 736  
Hunker, PA 15639  
(412) 925-5150, Ext. 111

## Virginia

(District No. 5: Virginia) Federal Region III  
Ray McKinney  
P.O. Box 560  
Norton, VA 24273  
(540) 679-0230

## West Virginia

(District No. 3: Ohio, Maryland and counties of West Virginia north of and including Jackson, Roane, Calhoun, Braxton, Randolph, Pendleton) Federal Region III  
Timothy J. Thompson  
5012 Mountaineer Mall  
Morgantown, WV 26505  
(304) 291-4277

(District No. 4: counties of West Virginia south of and including Mason, Putnam, Kanawha, Clay, Nicholas, Webster, Greenbrier, Pocahontas) Federal Region III  
Edwin P. Brady  
100 Bluestone Road  
Mt. Hope, WV 25880  
(304) 877-3900, Ext. 125

METAL AND NONMETAL MINE SAFETY AND HEALTH

## Alabama

(Southeastern: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee, Virgin Islands)  
Martin Rosta  
135 Gemini Circle, Suite 212  
Birmingham, AL 35209  
(205) 290-7294

## California

(Western: Alaska, California, Hawaii, Idaho, Nevada, Oregon, Washington)  
Lee Ratliff  
2060 Peabody Rd, Suite 610  
Vacaville, CA 95687-6696  
(707) 447-9844

## Colorado

(Rocky Mountain: Arizona, Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming, Kansas, Nebraska)  
Irvin Hooker  
P.O. Box 25367  
Denver, CO 80225-0367  
(303) 231-5465

## Minnesota

(North Central: Illinois, Indiana, Iowa, Michigan, Minnesota, Ohio, Wisconsin)  
Felix Quintana  
515 West First Street, #333  
Duluth, MN 55802-1302  
(218) 720-5448

## Pennsylvania

(Northeastern: Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Virginia, Vermont, West Virginia)  
James R. Petrie  
230 Executive Drive, Suite 2  
Cranberry Township, PA 16066-6415  
(724) 772-2333

## Texas

(South Central: Arkansas, Louisiana, Missouri, New Mexico, Oklahoma, Texas)  
Doyle D. Fink  
1100 Commerce Street, Room 4C50  
Dallas, TX 75242-0499  
(214) 767-8401

## TECHNICAL SUPPORT

## Pennsylvania

Edward J. Miller  
Safety and Health Technology Center, Pittsburgh  
Cochrans Mill Road  
P.O. Box 18233  
Pittsburgh, PA 15236  
(412) 386-6902

## West Virginia

Steven J. Luzik  
Approval and Certification Center  
R.R. 1, Box 251  
Industrial Park Road  
Triadelphia, WV 26059  
(304) 547-2029

## West Virginia

Jack Spadaro  
1301 Airport Rd  
Beaver, WV 25813-9426  
(304) 256-3200

## OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION

---

## Alabama

District Supervisor  
3737 Government Boulevard, Suite 100  
Mobile, AL 36693-4309  
(251) 441-6131

Area Director  
Todd Mall, 2047 Canyon Road  
Birmingham, AL 35216-1981  
(205) 731-1534, Ext. 133

## Alaska

Area Director  
301 West Northern Lights Boulevard, Room 407  
Anchorage, AK 99503-7571  
(907) 271-5152

## Arizona

Area Director  
3221 North 16th Street, Suite 100  
Phoenix, AZ 85016  
(602) 640-2007

## Arkansas

Area Director  
TCBY Building, Suite 450  
425 West Capitol Avenue  
Little Rock, AR 72201  
(501) 324-6291

## California

Resource Center  
71 Stevenson Street, Suite 420  
San Francisco, CA 94105  
(415) 975-4316

Resource Center  
101 El Camino Boulevard, Suite 105  
Sacramento, CA 95815  
(916) 566-7470

Resource Center  
5675 Ruffin Road, Suite 330  
San Diego, CA 92123  
(619) 557-5904

## Colorado

Area Director  
1391 Speer Boulevard, Suite 210  
Denver, CO 80204-2552  
(303) 844-5285

Area Director  
7935 E. Prentice Avenue, Suite 209  
Englewood, CO 80111-2714  
(303) 843-4500

## Connecticut

Area Director  
Federal Office Building  
450 Main Street, Room 613  
Hartford, CT 06103  
(860) 240-3152

Area Director  
Clark Building  
1057 Broad Street, 4th Floor  
Bridgeport, CT 06604  
(203) 579-5581

## Delaware

Area Director  
Caleb Boggs Federal Building  
844 King Street, Room 2209  
Wilmington, DE 19801  
(302) 573-6518

## Florida

Area Director  
5807 Breckenridge Parkway, Suite A  
Tampa, FL 33610  
(813) 626-1177

Area Director  
Ribault Building, Suite 227  
1851 Executive Center Drive  
Jacksonville, FL 32207  
(904) 232-2895

Area Director  
Building H100

# Appendix IV: Agency Regional and Local Office Addresses

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8040 Peters Road  
Fort Lauderdale, FL 33324  
(954) 424-0242

## Georgia

Area Director  
450 Mall Boulevard, Suite J.  
Savannah, GA 31406-1418  
(912) 652-4393

Area Director  
Building 7, Suite 110  
2183 N. Lake Parkway  
La Vista Perimeter Office Park  
Tucker, GA 30084-4154  
(770) 493-6644

Area Director  
2400 Herodian Way, Suite 250  
Smyrna, GA 30080-2968  
(770) 984-8700

## Hawaii

Resource Center  
300 Ala Moana Boulevard, Suite 5-146  
Honolulu, HI 96850  
(808) 541-2685

## Idaho

Area Director  
1150 North Curtis Road, Suite 201  
Boise, ID 83703  
(208) 321-2960

## Illinois

Area Director  
1600 167th Street, Suite 12  
Calumet City, IL 60409  
(708) 891-3800

District Supervisor  
11 Executive Drive, Suite 11  
Fairview Heights, IL 62208  
(618) 632-8612

Area Director  
701 Lee Street  
Suite 950  
Des Plaines, IL 60016  
(847) 803-4800

Area Director  
2918 West Willow Knolls Road  
Peoria, IL 61614  
(309) 671-7033

Area Director  
365 Smoke Tree Plaza  
North Aurora, IL 60542  
(630) 896-8700

## Indiana

Area Director  
U.S. Post Office and Courthouse  
46 East Ohio Street, Room 423  
Indianapolis, IN 46204  
(317) 226-7290

## Iowa

Area Director  
210 Walnut Street, Room 815  
Des Moines, IA 50309  
(515) 284-4794

## Kansas

Area Director  
8600 Farley, Suite 105  
Overland Park, KS 66212-4677  
(913) 385-7380

Area Director  
271 W. 3rd Street, Room 400  
Wichita, KS 67202  
(316) 269-6644

## Kentucky

Area Director  
U.S. Department of Labor-OSHA  
John C. Watts Federal Building  
330 West Broadway, Room 108  
Frankfort, KY 40601-1922  
(502) 227-7024

## Louisiana

Area Director  
202 Harlow Street, Room 211  
Bangor, ME 04401-4906  
(207) 941-8177

Area Director  
9100 Bluebonnet Centre Boulevard, Suite 201  
Baton Rouge, LA 70809  
(225) 389-0474

## Maine

District Supervisor  
Edmund S. Muskie Federal Bldg.  
40 Western Ave., RM G26  
Augusta, ME 04330  
(207) 626-9160

## Maryland

Area Director  
1099 Winterson Road, Suite 140  
Linthicum, MD 21090  
(410) 865-2055/2056

## Massachusetts

Area Director  
Valley Office Park  
13 Branch Street, First Floor  
Methuen, MA 01844  
(617) 565-8110

Area Director  
639 Granite Street, 4th Floor  
Braintree, MA 02184  
(617) 565-6924

Area Director  
1441 Main Street, Room 550  
Springfield, MA 01103-1493  
(413) 785-0123

## Michigan

Area Director  
801 South Waverly Road, Suite 306

Lansing, MI 48917-4200  
(517) 327-0904

## Minnesota

Area Director  
300 S. 4th Street, Suite 1205  
Minneapolis, MN 55415  
(612) 664-5460

## Mississippi

Area Director  
3780 I-55 North, Suite 210  
Jackson, MS 39211-6323  
(601) 965-4606

## Missouri

Area Director  
U.S. Department of Labor-OSHA  
911 Washington Avenue, Room 420  
St. Louis, MO 63101  
(314) 425-4249

Area Director  
6200 Connecticut Avenue, Suite 100  
Kansas City, MO 64120  
(816) 483-9531

## Montana

Area Director  
2900 4th Avenue, North, Suite 303  
Billings, MT 59101  
(406) 247-7494

## Nebraska

Area Director  
Overland-Wolf Building, Room 100  
6910 Pacific Street  
Omaha, NE 68106  
(402) 221-3182

## Nevada

Resource Center  
Federal Building, Room 204  
705 North Plaza  
Carson City, NV 89701  
(775) 885-6963

## New Hampshire

Area Director  
55 Pleasant Street, Room 3901  
Concord, NH 03301  
(603) 225-1629

## New Jersey

Area Director  
Marlton Executive Park  
701 Route 73 South, Building 2, Suite 120  
Marlton, NJ 08053  
(856) 757-5181

Area Director  
500 Route 17 South, 2nd Floor  
Hasbrouck Heights, NJ 07604  
(201) 288-1700

Area Director  
Plaza 35, Suite 205  
1030 St. Georges Avenue



# Appendix IV: Agency Regional and Local Office Addresses

Avenel, NJ 07001  
(732) 750-3270

Area Director  
299 Cherry Hill Road, Suite 304  
Parsippany, NJ 07054  
(973) 263-1003

## New Mexico

Area Director  
Western Bank Building  
505 Marquette Avenue, N.W., Suite 820  
Albuquerque, NM 87102  
(505) 248-5302

## New York

Area Director  
660 White Plains Road, 4th Floor  
Tarrytown, NY 10591-5107  
(914) 524-7510

Area Director  
42-40 Bell Boulevard  
Bayside, NY 11361  
(718) 279-9060

Area Director  
1400 Old Country Road, Suite 208  
Westbury, NY 11590  
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Area Director  
3300 Vickery Road  
North Syracuse, NY 13212  
(315) 451-0808

Area Director  
201 Varick Street, Room 905  
New York, NY 10014  
(212) 620-3200

Area Director  
5360 Genesee Street  
Bowmansville, NY 14026  
(716) 684-3891

Area Director  
John Tomich Federal Building  
401 New Karner Road, Suite 300  
Albany, NY 12205-3809  
(518) 464-4338

## North Carolina

Area Director  
Century Station, Federal Building, Room 438  
300 Fayetteville Mall  
Raleigh, NC 27601-9998  
(919) 856-4770

## North Dakota

Area Director  
Federal Office Building  
1640 East Capitol Avenue  
Bismarck, ND 58501  
(701) 250-4521

## Ohio

Area Director  
Federal Office Building, Room 899

1240 East Ninth Street  
Cleveland, OH 44199  
(216) 522-3818

Area Director  
Federal Office Building, Room 4028  
36 Triangle Park Drive  
Cincinnati, OH 45246  
(513) 841-4132

Area Director  
Ohio Building  
420 Madison Avenue, Suite 600  
Toledo, OH 43604  
(419) 259-7542

Area Director  
Federal Office Building  
200 North High Street, Room 620  
Columbus, OH 43215  
(614) 469-5582

## Oklahoma

Area Director  
55 N. Robinson, Suite 315  
Oklahoma City, OK 73102  
(405) 278-9560

## Oregon

Area Director  
1220 Southwest Third Avenue, Room 640  
Portland, OR 97204  
(503) 326-2251

## Pennsylvania

Area Director  
Federal Building, Room 1428  
1000 Liberty Avenue  
Pittsburgh, PA 15522-4101  
(412) 395-4903

Area Director  
3939 West Ridge Road, Suite B-12  
Erie, PA 16506  
(814) 833-5758

Area Director  
850 North 5th Street  
Allentown, PA 18102  
(610) 776-0592

Area Director  
U.S. Customs House, Room 242  
Second and Chestnut Streets  
Philadelphia, PA 19106  
(215) 597-4955

Area Director  
49 North Progress Avenue  
Progress Plaza  
Harrisburg, PA 17109  
(717) 782-3902

Area Director  
7 North Wilkes-Barre Boulevard  
Suite 410  
Wilkes-Barre, PA 18702  
(570) 826-6538

## Puerto Rico

Area Director  
BBV Plaza Building  
1510 F.D. Roosevelt Avenue, Suite 5B  
Guaynabo, PR 00968  
(787) 277-1560

## Region I

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
Marthe Kent, Regional Administrator  
Department of Labor, OSHA  
JFK Federal Building, Low Rise Building, Room E-340  
Boston, MA 02114  
(617) 565-9860

## Region II

(New Jersey, New York, Puerto Rico, Virgin Islands)  
Robert Kulick, Regional Administrator  
Department of Labor, OSHA  
201 Varick Street, Room 670  
New York, NY 10014 United States  
(212) 337-2378

## Region III

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
John Hermanson, Regional Administrator  
The Curtis Center - Suite 740 West  
170 Independence Mall West  
Philadelphia, PA 19106-3309 United States  
(215) 861-4900

## Region IV

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Cindy Coe, Regional Administrator  
61 Forsyth Street S.W., Room 6T50  
Atlanta, GA 30303 United States  
(404) 562-2300

## Region IX

(Arizona, California, Commonwealth of Northern Mariana Islands, Guam, Hawaii, and Nevada)  
Ken Atha, Regional Administrator  
Department of Labor, OSHA  
71 Stevenson Street, Room 420  
San Francisco, CA 94105 United States  
(415) 975-4310

## Region V

(Illinois, Indiana, Minnesota, Michigan, Ohio, Wisconsin)  
Michael Connors, Regional Administrator  
Department of Labor, OSHA  
230 South Dearborn Street  
32nd Floor, Room 3244  
Chicago, IL 60604  
(312) 353-2220

## Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)

# Appendix IV: Agency Regional and Local Office Addresses

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Dean McDaniel, Regional Administrator  
Department of Labor, OSHA  
525 Griffin Street, Room 602  
Dallas, TX 75202 United States  
(214) 767-4731

## Region VII

(Iowa, Kansas, Missouri, Nebraska)  
Charles E. Adkins, Regional Administrator  
Department of Labor, OSHA  
City Center Square  
1100 Main Street, Suite 800  
Kansas City, MO 64105 United States  
(816) 426-5861

## Region VIII

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Greg Baxter, Regional Administrator  
Department of Labor, OSHA  
1999 Broadway Street, Room 1690  
Denver, CO 80202-5716 United States  
(303) 844-1600

## Region X

(Alaska, Idaho, Oregon, Washington)  
Richard Terrill, Regional Administrator  
Department of Labor, OSHA  
1111 Third Avenue, Suite 715  
Seattle, WA 98101-3212  
(206) 553-5930

## Rhode Island

Area Director  
380 Westminster Mall, Room 243  
Providence, RI 02903  
(401) 528-4669

## South Carolina

Area Director  
1835 Assembly Street, Room 1468  
Columbia, SC 29201  
(803) 765-5904

## Tennessee

Area Director  
2002 Richard Jones Road, Suite C-205  
Nashville, TN 37215-2809  
(615) 781-5423

## Texas

Area Director  
17625 El Camino Real, Suite 400  
Houston, TX 77058  
(281) 286-0583

Area Director  
Corpus Christi Area Office  
U.S. Department of Labor, OSHA  
Wilson Plaza West  
606 N. Carancahua, Suite 700  
Corpus Christi, TX 78476  
(361) 888-3420

Area Director  
507 North Sam Houston Parkway East, Suite 400  
Houston, TX 77060

(281) 591-2438  
Area Director  
Federal Building, Room 806  
1205 Texas Avenue  
Lubbock, TX 79401  
(806) 472-7681

Area Director  
700 E. San Antonio Street, Room C-408  
EL Paso, TX 79901  
(915) 534-6251

Area Director  
903 San Jacinto Boulevard, Suite 319  
Austin, TX 78701  
(512) 916-5783

Area Director  
8344 East R.L. Thornton Freeway, Suite 420  
Dallas, TX 75228  
(214) 320-2400

Area Director  
North Star II, Suite 302  
8713 Airport Freeway  
Ft. Worth, TX 76180-7610  
(817) 428-2470

## Utah

Area Director  
1781 South 300 West  
P.O. Box 65200  
Salt Lake City, UT 84165-0200  
(801) 487-0521

## Virginia

District Supervisor  
200 Granby Street, Room 614  
Norfolk, VA 23510  
(757) 441-3820

## Washington

Area Director  
505 106th Avenue N.E., Suite 302  
Bellevue, WA 98004  
(206) 553-7520

## West Virginia

Area Director  
405 Capitol Street, Suite 407  
Charleston, WV 25301  
(304) 347-5937

## Wisconsin

Area Director  
Henry S. Reuss Building  
310 Wisconsin Avenue, Suite 1180  
Milwaukee, WI 53203  
(414) 297-3315

Area Director  
1648 Tri Park Way  
Appleton, WI 54914  
(920) 734-4521

District Supervisor  
1310 West Clairmont Ave.  
Eau Claire, WI 54701

(715) 832-9019  
Area Director  
4802 E. Broadway  
Madison, WI 53716  
(608) 441-5388

## OFFICE OF LABOR-MANAGEMENT STANDARDS

---

### California

90 7th Street  
Room 18100  
San Francisco, CA 94103-6701 United States  
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915 Wilshire Boulevard  
Suite 910  
Los Angeles, CA 90017 United States  
(213) 534-6405

### Colorado

1999 Broadway Street  
Room 2435  
Denver, CO 80202 United States  
(720) 264-3232

### District of Columbia

800 North Capitol Street NW  
Room 120  
Washington, DC 20002-4244 United States  
(202) 513-7300

### Georgia

Atlanta Federal Building  
Room 8B85  
61 Forsyth Street, S.W.  
Atlanta, GA 30303-2219 United States  
(404) 562-2083

### Illinois

Federal Office Building  
Suite 774  
230 S. Dearborn Street  
Chicago, IL 60604-1505 United States  
(312) 596-7160

### Louisiana

600 South Maestri Place  
Room 604  
New Orleans, LA 70130 United States  
(504) 589-6174

### Massachusetts

JFK Federal Building  
Room E-365  
Boston, MA 02203-0002 United States  
(617) 624-6690

### Michigan

211 West Fort Street  
Suite 1313  
Detroit, MI 48226-3237 United States  
(313) 226-6200

### Missouri

# Appendix IV: Agency Regional and Local Office Addresses

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1222 Spruce Street  
Suite 9.109E  
St. Louis, MO 63103-2830 United States  
(314) 539-2667

## **New York**

201 Varick Street  
Suite 878  
New York, NY 10014 United States  
(646) 264-3190

130 South Elmwood Street  
Room 510  
Buffalo, NY 14202-2465 United States  
(716) 842-2900

## **Ohio**

Federal Office Building  
Suite 831  
1240 East Ninth Street  
Cleveland, OH 44199-2053 United States  
(216) 357-5455

525 Vine Street  
Suite 950  
Cincinnati, OH 45202-3168 United States  
(513) 684-6840

## **Pennsylvania**

The Curtis Center  
170 S. Independence Mall West  
Room 760W  
Philadelphia, PA 19106-3310 United States  
(215) 861-4818

Federal Office Building  
Room 1411  
1000 Liberty Avenue  
Pittsburgh, PA 15222-4004 United States  
(412) 395-6925

## **Tennessee**

233 Cumberland Bend Drive  
Suite 110  
Nashville, TN 37228-1809 United States  
(615) 736-5906

## **Texas**

A. Maceo Smith Federal Building  
Suite 300  
525 Griffin Street  
Dallas, TX 75202-5007 United States  
(972) 850-2500

## **Washington**

Federal Office Building  
Suite 605  
1111 Third Avenue  
Seattle, WA 98101-3212 United States  
(206) 398-8099

## **Wisconsin**

517 East Wisconsin Avenue  
Suite 118  
Milwaukee, WI 53203-2213 United States  
(414) 297-1501

## **OFFICE OF THE SECRETARY, WOMEN'S BUREAU**

---

### **Region I**

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
Jacqueline Cooke, Regional Administrator  
JFK Federal Building, Room E-270  
One Congress Street  
Boston, MA 02114  
(617) 565-1988 or 1-800-518-3585  
Use the same number for FTS

### **Region II**

(New Jersey, New York, Puerto Rico, Virgin Islands)  
Mary C. Murphree, Regional Administrator  
201 Varick Street, Room 601  
New York, NY 10014  
(212) 337-2389  
Use the same number for FTS

### **Region III**

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
Cornelia Moore, Regional Administrator  
The Curtis Center, Suite 880 West  
170 S. Independence Mall West  
Philadelphia, PA 19104  
(215) 861-4860 or 1-800-379-9042  
Use the same number for FTS

### **Region IV**

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Delores Crockett, Regional Administrator  
61 Forsyth Street, S.W., Suite 7T95  
Atlanta, GA 30367  
(404) 562-2336 or 1-800-672-8356  
Use the same number for FTS

### **Region IX**

(Arizona, California, Hawaii, Nevada)  
Jenny Erwin, Regional Administrator  
71 Stevenson Street, Room 927  
San Francisco, CA 94105  
(415) 975-4750  
Use the same number for FTS

### **Region V**

(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Nancy Chen, Regional Administrator  
230 South Dearborn Street, Room 1022  
Chicago, IL 60604  
(312) 353-6985 or 1-800-648-8183  
Use the same number for FTS

### **Region VI**

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Beverly Lyle, Regional Administrator  
Suite 735, Federal Building  
525 Griffin Street, Suite 735  
Dallas, TX 75202

(214) 767-6985 or 1-888-887-6794  
Use the same number for FTS

### **Region VII**

(Iowa, Kansas, Missouri, Nebraska)  
Rose A. Kemp, Regional Administrator  
Center City Square Building  
1100 Main Street, Suite 845  
Kansas City, MO 64106  
(816) 426-6108 or 1-800-252-4706  
Use the same number for FTS

### **Region VIII**

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Frances Jefferson, Regional Administrator  
Federal Office Building  
1801 California Street, Suite 905  
Denver, CO 80202-2614  
(303) 844-1286 or 1-800-299-0886  
Use the same number for FTS

### **Region X**

(Alaska, Idaho, Oregon, Washington)  
Karen Furia, Regional Administrator  
1111 Third Avenue, Room 925  
Seattle, WA 98101-3211  
(206) 553-1534 or 1-888-296-7011  
Use the same number for FTS

## **VETERAN'S EMPLOYMENT AND TRAINING SERVICE**

---

REGIONAL ADMINISTRATORS AND STATE  
DIRECTORS FOR VETERANS' EMPLOYMENT  
AND TRAINING

### **Region I**

DVET Richard Gray  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 603  
Post Office Building  
87 State Street, Room 303  
Montpelier, VT 05602  
(802) 828-4441

DVET John Dunn  
Veterans' Employment and Training Service  
Department of Labor  
57 Spruce Street  
Westerly, RI 02891  
(401) 528-5134

DVET Paul L. Desmond  
Veterans' Employment and Training Service  
Department of Labor  
19 Staniford Street  
C.F. Hurley Building, 2nd Floor, ES Operations  
Section  
Boston, MA 02114  
(617) 626-6699

DVET William Mason  
Veterans' Employment and Training Service  
Department of Labor  
CT Department of Labor Building  
200 Folly Brook Boulevard

# Appendix IV: Agency Regional and Local Office Addresses

Wethersfield, CT 06109  
(860) 263-6490

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
RAVET David Houle  
Veterans' Employment and Training Service  
Department of Labor  
JFK Federal Building, Room E-315  
Government Center  
Boston, MA 02203  
(617) 565-2080

DVET Jon Guay  
Veterans' Employment and Training Service  
Department of Labor  
5 Mollison Way  
P.O. Box 3106  
Lewiston, ME 04243  
(207) 753-9090

DVET Richard Ducey  
Veterans' Employment and Training Service  
Department of Labor  
143 North Main Street, Room 208  
Concord, NH 03301  
(603) 225-1424

## Region II

DVET James H. Hartman  
Veterans' Employment and Training Service  
Department of Labor  
Harriman State Campus  
Building 12, Room 518  
Albany, NY 12240-0099  
(518) 457-7465

(New Jersey, New York, Puerto Rico and Virgin Islands)  
Veterans' Employment and Training Service  
Department of Labor  
201 Varick Street, Room 766  
New York, NY 10014  
(212) 337-2211

DVET Alan E. Grohs  
Veterans' Employment and Training Service  
Department of Labor  
Labor Building, 11th Floor, CN058  
Trenton, NJ 08625  
(609) 292-2930

DVET Angel Mojica  
Veterans' Employment and Training Service  
Department of Labor  
Puerto Rico Department of Labor and Human Services  
198 Calle Guayama, 20th Floor  
Hato Rey, PR 00917  
(787) 754-5391

## Region III

DVET Lawrence Babitts  
Veterans' Employment and Training Service  
Department of Labor  
Labor and Industry Building, Room 1108  
Seventh and Forster Streets  
Harrisburg, PA 17121

(717) 787-5834

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia and West Virginia)  
RAVET Joseph Hortiz, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
The Curtis Center, Suite 770 West  
170 South Independence Mall West  
Philadelphia, PA 19106  
(215) 861-5390

DVET Roberto Pineda  
Veterans' Employment and Training Service  
Department of Labor  
703 E. Main street, Room 118  
Richmond, VA 23219  
(804) 786-7269

DVET Gary Lobdell  
Veterans' Employment and Training Service  
Department of Labor  
1100 North Eutaw Street, Room 210  
Baltimore, MD 21201  
(410) 767-2110

DVET Charles Stores, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
112 California Avenue  
Capitol Complex - Room 204  
Charleston, WV 25305-0112  
(304) 558-4001

DVET Stanley Williams  
Veterans' Employment and Training Service  
Department of Labor  
500 C Street, N.W., Room 108  
Washington, DC 20001  
(202) 724-7005

DVET David White  
Veterans' Employment and Training Service  
Department of Labor  
4425 N. Market Street, Room 420  
Wilmington, DE 19809-0828  
(302) 761-8138

## Region IV

DVET Richard E. Ritchie  
Veterans' Employment and Training Service  
Department of Labor  
915 8th Avenue North  
Nashville, TN 37219-3795  
(615) 736-7680

DVET Thomas Karrh  
Veterans' Employment and Training Service  
Department of Labor  
649 Monroe Street, Room 543  
Montgomery, AL 36131-6300  
(334) 223-7677

Derek W. Taylor  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1527  
Tallahassee, FL 32302-1527  
(850) 942-8800

Ed Gresham  
Veterans' Employment and Training Service  
Department of Labor  
Sussex Place, Suite 504  
148 International Boulevard, N.E.  
Atlanta, GA 30303-1751  
(404) 656-3127

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
RAVET William Bolls, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
Sam Nunn Atlanta Federal Center  
61 Forsyth Street, S.W., Room 6-T85  
Atlanta, GA 30303  
(404) 562-2305

DVET Charles R. Netherton  
Veterans' Employment and Training Service  
Department of Labor  
C/O Department for Employment Services  
275 East Main Street  
Frankfort, KY 40621-2339  
(502) 564-7062

DVET Angelo Terrell  
Veterans' Employment and Training Service  
Department of Labor  
1520 West Capitol Street  
P.O. Box 1699  
Jackson, MS 39215-1699  
(601) 965-4204

DVET William C. Plowden, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1755  
Columbia, SC 29202-1755  
(803) 765-5195

DVET Steven W. Guess  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 27625  
Raleigh, NC 27611-7625  
(919) 733-7402, 733-7407

## Region IX

DVET Rosendo A. Cuevas  
Veterans' Employment and Training Service  
Department of Labor  
800 Capitol Mall, Room W-1142  
P.O. Box 826880  
Sacramento, CA 94280-0001  
(916) 654-8178

(Arizona, California, Hawaii, and Nevada)  
RAVET Rex A. Newell  
Veterans' Employment and Training Service  
Department of Labor  
71 Stevenson Street, Suite 705  
San Francisco, CA 94105  
(415) 975-4700

DVET Michael Espinosa  
Veterans' Employment and Training Service

# Appendix IV: Agency Regional and Local Office Addresses

Department of Labor  
P.O. Box 6123-SC760E  
1400 West Washington Street  
Phoenix, AZ 85005  
(602) 379-4961

DVET Judy A. Carlisle  
Veterans' Employment and Training Service  
Department of Labor  
1923 North Carson Street, Room 205  
Carson City, NV 89702  
(702) 687-4632

DVET Gilbert N. Hough  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 3680  
Honolulu, HI 96811  
(808) 522-8216

## Region V

DVET Michael D. Graham  
Veterans' Employment and Training Service  
Department of Labor  
390 Robert Street North, 1st Floor  
St. Paul, MN 55101  
(651) 296-3665

DVET Kim Fulton  
Veterans' Employment and Training Service  
Department of Labor  
7310 Woodward Avenue, Suite 407  
Detroit, MI 48202  
(313) 876-5613

DVET D. Bruce Redman  
Veterans' Employment and Training Service  
Department of Labor Richard A. Mock  
10 North Senate Avenue, Room SE103  
Indianapolis, IN 46204  
(317) 232-6804

DVET Samuel L. Parks  
Veterans' Employment and Training Service  
Department of Labor  
401 South State Street, 744 North  
Chicago, IL 60605  
(312) 793-3433

DVET Carl Price  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1618  
Columbus, OH 43216  
(614) 644-3688

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)

RAVET Ronald G. Bachman  
Veterans' Employment and Training Service  
Department of Labor  
230 South Dearborn, Room 1064  
Chicago, IL 60604  
(312) 353-0970

DVET James R. Gutowski  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 8310

Madison, WI 53708-8310  
(608) 266-3110

## Region VI

DVET Billy R. Threlkeld  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 128  
Little Rock, AK 72203  
(501) 682-3786

DVET Lester L. Parmenter  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 94094, Room 184  
Baton Rouge, LA 70804-9094  
(225) 389-0339

DVET John D. McKinny  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1468  
Austin, TX 78767  
(512) 463-2814

DVET Darrell H. Hill  
Veterans' Employment and Training Service  
Department of Labor  
201 North Lincoln Boulevard  
P.O. Box 52003  
Oklahoma City, OK 73152-2003  
(405) 231-5088

Sharon I. Mitchell  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 25085  
Albuquerque, NM 87125-5085  
(505) 346-7502

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)

RAVET Lester L. Williams, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
525 Griffin Street, Room 858  
Dallas, TX 75202  
(214) 767-4987

## Region VII

DVET Mickey J. Jones  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1087  
421 East Dunklin Street  
Jefferson City, MO 65102-1087  
(573) 751-3921

DVET Gayle Gibson  
Veterans' Employment and Training Service  
Department of Labor  
401 Topeka Boulevard  
Topeka, KS 66603-3182  
(913) 296-5032

DVET Anthony J. Smithhart  
Veterans' Employment and Training Service  
Department of Labor  
150 Des Moines Street

Des Moines, IA 50309-5563  
(515) 281-9061

DVET Richard Nelson  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 94600  
550 South 16th Street  
Lincoln, NE 68508  
(402) 437-5289

(Iowa, Kansas, Missouri, and Nebraska)  
RAVET Lester L. Williams, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
City Center Square Building  
1100 Main Street, Suite 850  
Kansas City, MO 64105-2112  
(816) 426-7151

## Region VIII

DVET David McNulty  
Veterans' Employment and Training  
Department of Labor  
P.O. Box 2760  
100 West Midwest Avenue  
Casper, WY 82602-2760  
(307) 261-5454

(Colorado, Montana, North Dakota, South Dakota,  
Utah and Wyoming)

RAVET Ronald G. Bachman  
Veterans' Employment and Training Service  
Department of Labor  
1999 Broadway, Suite 1730  
Denver, CO 80202-2614  
(303) 844-1175

DVET Dale Brockbank  
Veterans' Employment and Training Service  
Department of Labor  
140 East 300 South  
Salt Lake City, UT 84111-2333  
(801) 524-5703

DVET Earl R. Schultz  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 4730  
420 South Roosevelt Street  
Aberdeen, SD 57402-4730  
(605) 626-2325

DVET Mark McGinty  
Veterans' Employment and Training Service  
Department of Labor  
1515 Arapahoe Street, 2 Park Central, Suite 400  
Denver, CO 80202-2117  
(303) 844-2151

DVET Jerry Meske  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1632  
1000 E. Divide Avenue  
Bismarck, ND 58502-1632  
(701) 328-2865

DVET Polly Latray-Halmes

# Appendix IV: Agency Regional and Local Office Addresses

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Veterans' Employment and Training  
Department of Labor  
1215 8th Avenue  
Helena, MT 59601-4144  
(406) 449-5431

## Region X

DVET Ron Cannon  
Veterans' Employment and Training Service  
Department of Labor  
312 Employment Division Building, Room 108  
875 Union Street, N.E.  
Salem, OR 97311-0100  
(503) 947-1490

DVET Daniel Travis  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 25509  
1111 West 8th Street  
Juneau, AK 99802-5509  
(907) 465-2723

DVET Vacant  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 2697  
Boise, ID 83701  
(208) 334-6163

(Alaska, Idaho, Oregon and Washington)  
RAVET Rex A. Newell  
Veterans' Employment and Training Services  
Department of Labor  
1111 Third Avenue, Suite 900  
Seattle, WA 98101-3212  
(206) 553-4831

Thomas Pearson  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 165  
Olympia, WA 98507-0165  
(360) 438-4600

Contact any Veterans' Employment and Training  
Service Office concerning veterans' reemployment  
rights.

## WAGE AND HOUR DIVISION

---

### Alabama

Kenneth Stripling, District Director,  
Medical Forum Bldg., Suite 605,  
950 North 22nd Street,  
Birmingham, AL 35203 United States  
(205) 397-7100

Katie Turner-Pouchie, Assistant District Director,  
4001 Carmichael Road, Suite 215,  
Montgomery, AL 36106-3603 United States  
(304) 223-7641

Charles Baker, Assistant District Director,  
1141 Mortimar Drive,  
Paramount Center Bldg., Suite 1008,  
Mobile, AL 36609 United States  
(251) 441-5311

### Arizona

Eric P. Murray, District Director,  
230 N. First Avenue, Suite 402,  
Phoenix, AZ 85003-1725 United States  
(602) 514-7100

### Arkansas

Robert Darling, District Director,  
Danville Building #2, Suite 220,  
10810 Executive Center Drive,  
Little Rock, AR 72211 United States  
(501) 223-9114

### California

Priscilla Garcia, District Director,  
100 N. Barranca St., Suite 850,  
West Covina, CA 91791 United States  
(626) 966-0478

Kenneth Morrison, District Director,  
550 Corporate Center,  
550 West C Street, Suite 990,  
San Diego, CA 92101 United States  
(619) 557-5110

Maria Jackson, Assistant District Director,  
60 South Market St., Suite 420,  
San Jose, CA 95113 United States  
(408) 291-7730

Paul Chang, Assistant District Director,  
770 The City Drive South, Suite 5710,  
Orange, CA 92868 United States  
(714) 621-1650

Susanna Rincon, District Director,  
90 7th Street, Suite 18-300,  
San Francisco, CA 94103 United States  
(415) 625-7720

(Vacant), District Director,  
2800 Cottage Way, Room W-1836,  
Sacramento, CA 95825 United States  
(916) 978-6123

### California - Los Angeles

Kim Chi Bui, District Director,  
915 Wilshire Blvd., Suite 960,  
Los Angeles, CA 90017 United States  
(213) 894-6375

### Colorado

Charles L. Frasier, District Director,  
1999 Broadway, Suite 2445,  
P.O. Box 46550,  
Denver, CO 80202 United States  
(720) 264-3250

### Connecticut

Neil Patrick, Acting District Director,  
135 High Street, Room 210,  
Hartford, CT 06103 United States  
(860) 240-4160

Neil Patrick, Assistant District Director,  
150 Court Street, Room 208,  
New Haven, CT 06510 United States  
(203) 773-2249

### Florida

James M. Schmidt, District Director,  
Austin Laurel Building, Suite 300,  
4905 West Laurel Street,  
Tampa, FL 33607-3838 United States  
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Michael D. Young, District Director,  
400 West Bay Street, Room 956,  
Jacksonville, FL 32202 United States  
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Nury Vergara, Assistant District Director,  
Federal Building, Room 408,  
299 East Broward Boulevard ,  
Fort Lauderdale, FL 33301-1976 United States  
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Viengkeo Vilaylak, Assistant District Director,  
227 North Bronough St., Rm. 4120,  
Tallahassee, FL 32301 United States  
(850) 942-8341

Will W. Garnitz, District Director,  
10300 SW 72nd St., Sunset Center, Room 255,  
Miami, FL 33173-3038 United States  
(305) 598-6607

Joan Stiles, Assistant District Director,  
1001 Executive Center Drive, Suite 103,  
Orlando, FL 32803 United States  
(407) 648-6471

### Georgia

Larry Benjamin, Assistant District Director ,  
Juliette Gordon Low Federal Building Complex,  
124 Barnard Street, Suite B-210,  
Savannah, GA 31401-3648 United States  
(912) 652-4221, -4229

Janet Campbell, District Director,  
Atlanta Federal Center,  
61 Forsyth Street, S.W., Room 7M10,  
Atlanta, GA 30303 United States  
(404) 893-4600

### Hawaii

Terry Trotter, District Director,  
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Honolulu, HI 96850 United States  
(808) 541-1361

### Illinois

James Yochim, Assistant District Director,  
3161 W. White Oaks Drive, Suite 203,  
Springfield, IL 62704 United States  
(217) 793-5028

Thomas A. Gauza, District Director,  
230 South Dearborn, Room 412,  
Chicago, IL 60604 United States  
(312) 596-7230

### Indiana

Daniell Kline, Assistant District Director,  
2420 Viridian Drive, Suite E,  
South Bend, IN 46628 United States  
(219) 236-8331, -8332

Patricia A. Lewis, District Director,  
U.S. Courthouse, Room 413,

# Appendix IV: Agency Regional and Local Office Addresses

46 East Ohio Street,  
Indianapolis, IN 46204 United States  
(317) 226-6801

## Iowa

Michael Staebell, District Director,  
Federal Building, Room 643,  
210 Walnut Street,  
Des Moines, IA 50309 United States  
(515) 284-4625

## Kansas

James F. Koren, District Director,  
Gateway Tower II, 400 State Avenue, Suite 1010,  
Kansas City, KS 66101 United States  
(913) 551-5721

Shannon Rebolledo, Assistant District Director,  
U.S. Courthouse B-37,  
401 North Market Street,  
Wichita, KS 67202 United States  
(316) 269-7166

## Kentucky

James F. Karn, District Director,  
332 W. Broadway, Suite 410,  
Louisville, KY 40202 United States  
(502) 582-5226

## Louisiana

Frank McGriggs, District Director,  
F. Edward Hebert Bldg., Room 615,  
600 S. Maestri Place,  
New Orleans, LA 70130 United States  
(504) 589-6172

## Maryland

John Kelly, Acting District Director,  
Appraisers Stores Building,  
103 South Gay Street, Room 207,  
Baltimore, MD 21202 United States  
(410) 962-6211

Bruce Dory, Assistant District Director,  
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Hyattsville, MD 20782 United States  
(301) 436-6767

## Massachusetts

George A. Rioux, District Director,  
John F. Kennedy Federal Building, Room 525,  
15 Sudbury St.,  
Boston, MA 02203 United States  
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Vacant, Assistant District Director,  
104 Dean Street, Room 201  
Taunton, MA 02780 United States  
(508) 821-9106

## Michigan

Harry O'Rourke, Assistant District Director,  
800 Monroe Avenue N.W., Suite 315,  
Grand Rapids, MI 49503 United States  
(616) 456-2004

James R. Smith, District Director,  
211 W. Fort Street, Room 517,

Detroit, MI 48226-3237 United States  
(313) 226-7447

## Midwest Region

Anne Baird-Bridges, Regional Administrator,  
230 South Dearborn Street, Room 530,  
Chicago, IL 60604 United States  
(312) 596-7180

## Minnesota

Jose Luis Medina, District Director,  
TriTech Office Center, Suite 920,  
331 Second Avenue South,  
Minneapolis, MN 55401-2233 United States  
(612) 370-3341

## Mississippi

Eric Nash, Assistant District Director,  
Dr. A.H. McCoy Federal Building,  
100 W. Capitol Street, Suite 608,  
Jackson, MS 39269-1602 United States  
(601) 965-4347,4348

## Missouri

Norma Cervi, District Director,  
1222 Spruce Street, Room 9102 B,  
St. Louis, MO 63103 United States  
(314) 539-2706

## Nebraska

Richard Tesarek, Assistant District Director,  
111 South 18th Plaza, Suite 2238,  
Omaha, NE 66102-1321 United States  
(402) 221-4682

## Nevada

Brian Taverner, District Director,  
Alan Bible Federal Bldg., Suite 750,  
600 Las Vegas Blvd. S.,  
Las Vegas, NV 89101 United States  
(702) 388-6001

## New Hampshire

Daniel Cronin, Assistant District Director,  
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Manchester, NH 03104 United States  
(603) 666-7716

## New Jersey

Joseph Petrecca, District Director,  
200 Sheffield Street, Suite 102,  
Mountainside, NJ 07092 United States  
(908) 317-8611

Patrick E. Reilly, District Director,  
3131 Princeton Pike, Building 5, Room 216,  
Lawrenceville, NJ 08648 United States  
(609) 538-8310

## New Mexico

Patricia Davidson, District Director,  
500 Gold, SW, Suite 12000,  
Albuquerque, NM 87102 United States  
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(605) 224-8202

## **Tennessee**

Richard Gobbell  
640 Grassmere Park Road, Suite 111  
Nashville, TN 37211  
(615) 781-5781

## **Texas**

David Martin  
Federal Office Building  
300 East 8th Street, Room 826  
Austin, TX 78701-3233  
(512) 536-5980

## **Utah**

Robert Kelleher  
2520 West 4700 South, Suite 9B  
Salt Lake City, UT 84118-1847  
(801) 963-0096

## **Vermont**

Gerard Amato  
87 State Street, Room 216  
Montpelier, VT 05602-2954  
(802) 828-4480

## **Virginia**

Craig Feister  
400 North 8th Street, Room 750  
Richmond, VA 23240  
(804) 775-3322

## **Washington**

Roger Kraft  
Evergreen Plaza  
711 South Capitol Way, Suite 501  
Olympia, WA 98501-1284  
(360) 753-9875

## **West Virginia**

Michael Myers  
700 Washington Street East, Suite 205  
Charleston, WV 25301-1604  
(304) 347-5935

## **Wisconsin**

William Vickery  
567 D'Onofrio Drive, Suite 101  
Madison, WI 53719-2814  
(608) 829-7534

## **Wyoming**

# Appendix IV: Agency Regional and Local Office Addresses

Gary Lowe  
1916 Evans Avenue  
Cheyenne, WY 82001-3764  
(307) 772-2305

## **FEDERAL RAILROAD ADMINISTRATION (FRA)**

### **Region I (Northeastern)**

(Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island, Vermont)

Mark H. McKeon, Regional Administrator  
55 Broadway, Room 1077  
Cambridge, MA 02142  
(617) 494-2302

Use the same number for FTS

### **Region II (Eastern)**

(Delaware, District of Columbia, Pennsylvania, Maryland, Virginia, West Virginia, Ohio)

David R. Myers, Regional Administrator  
2 International Plaza, Suite 550  
Philadelphia, PA 19113  
(610) 521-8200

Use the same number for FTS

### **Region III (Southern)**

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)

L.F. Dennin, II, Regional Administrator  
Atlanta Federal Center, Suite 16T20  
61 Forsyth Street, S.W.  
Atlanta, GA 30303-3104  
(404) 562-3800

Use the same number for FTS

### **Region IV (Central)**

(Illinois, Indiana, Michigan, Minnesota, Wisconsin)

Hiram J. Walker, Regional Administrator  
111 North Canal Street, Suite 655  
Chicago, IL 60606  
(312) 353-6203 Use the same number for FTS

### **Region V (Southwestern)**

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)

John F. Megary, Regional Administrator  
8701 Bedford Eules Road, Suite 425  
Hurst, TX 76053  
(817) 284-8142

Use the same number for FTS

### **Region VI (Midwestern)**

(Iowa, Kansas, Missouri, Nebraska, Colorado)

Darrell J. Tisor, Regional Administrator  
901 Locust Street, Suite 464  
Kansas City, MO 64106-2095  
(816) 329-3840

Use the same number for FTS

### **Region VII (Western)**

(Arizona, California, Nevada, Utah)  
Alvin Settje, Regional Administrator

801 I Street, Suite 466  
Sacramento, CA 95814-2559  
(916) 498-6540

### **Region VIII (Northwestern)**

(Alaska, Idaho, Montana, North Dakota, Oregon, South Dakota, Washington, Wyoming)

Dick Clairmont, Regional Administrator  
Murdock Executive Plaza, Suite 650  
703 Broadway  
Vancouver, WA 98660  
(360) 696-7536

Use the same number for FTS

## **FEDERAL TRANSIT ADMINISTRATION (FTA)**

### **Region I**

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)

Richard Doyle, Regional Administrator  
C/O Volpe National, Transportation Systems Center, Kendall Square  
55 Broadway, Suite 920  
Cambridge, MA 02142-1093  
(617) 494-2055

### **Region II**

(New Jersey, New York, Virgin Islands)

Letitia A. Thompson, Regional Administrator  
Metropolitan Office  
One Bowling Green, Suite 429  
New York, NY 10004-1415  
(212) 668-2170

Use the same number for FTS

### **Region III**

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)

Vacant  
1760 Market Street, Suite 500  
Philadelphia, PA 19103-4124  
(215) 656-7100 Use the same number for FTS

### **Region IV**

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee)

Jerry Franklin, Regional Administrator  
61 Forsyth Street, S.W., Suite 17T50  
Atlanta, GA 30303-8917  
(404) 562-3000

### **Region IX**

(Arizona, California, Hawaii, Nevada, Guam, American Samoa)

Leslie Rogers, Regional Administrator  
201 Mission Street, Suite 2210  
San Francisco, CA 94105-1926  
(415) 744-3133

Use the same number for FTS

### **Region V**

(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Joel P. Ettinger, Regional Administrator

200 West Adams Street  
24th Floor, Suite 2410  
Chicago, IL 60606-5232  
(312) 353-2789

Use the same number for FTS

### **Region VI**

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)

Robert C. Patrick, Regional Administrator  
Fritz Lanham Federal Building  
819 Taylor Street, Suite 8A36  
Fort Worth, TX 76102  
(817) 978-0550

Use the same number for FTS

### **Region VII**

(Iowa, Kansas, Missouri, Nebraska)

Mokhtee Ahmad, Regional Administrator  
901 Locust Street, Room 404  
Kansas City, MO 64106  
(816) 329-3920

Use the same number for FTS

### **Region VIII**

Note grant making activity for Arizona and Nevada falls under Region VIII  
(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)

Lee Waddleton, Regional Administrator  
Columbine Place  
216 Sixteenth Street, Suite 650  
Denver, CO 80202-5120  
(303) 844-3242 Use the same number for FTS

### **Region X**

(Alaska, Idaho, Oregon, Washington)  
Helen M. Knoll, Regional Administrator  
Jackson Federal Building, Suite 3142

915 Second Avenue  
Seattle, WA 98174-1002  
(206) 220-7954

Use the same number for FTS

## **MARITIME ADMINISTRATION (MARAD)**

### **California**

NORTHERN CALIFORNIA GATEWAY (San Francisco/Oakland): (Hawaii; Guam; Nevada; Northern California, North of Point Conception; Utah)

#### **JOHN HUMMER**

US Department of Transportation  
Maritime Administration

Northern California Gateway Office  
201 Mission Street, Suite 1800  
San Francisco, CA 94105 United States  
(415) 744-2924 Use the same number for FTS

### **Florida**

SOUTH ATLANTIC GATEWAY (Miami):  
(South Carolina, Georgia, Florida (except the Panhandle), Puerto Rico and the U.S. Virgin Islands)

# Appendix IV: Agency Regional and Local Office Addresses

LAUREN BRAND, DIRECTOR  
US Department of Transportation  
Maritime Administration  
51 SW 1st Avenue, Suite 1305  
Miami, FL 33130 United States  
(305) 530-6420

## Illinois

GREAT LAKES GATEWAY (Chicago):  
(Indiana; Michigan; Northern Illinois; Northern  
Minnesota north of the North and South Dakota  
Borders; Northern Iowa/Missouri Border; Ohio;  
areas surrounding the St Lawrence Seaway;  
Wisconsin)  
Floyd Miras  
US Department of Transportation  
Maritime Administration  
Great Lakes Gateway Office  
1701 E. Woodfield Rd. Suite 203  
Schaumburg, IL 60173 United States  
(847) 995-0122 Use the same number for FTS

## Louisiana

EASTERN GULF/LOWER MISSISSIPPI  
GATEWAY (New Orleans): (Alabama; Arkansas;  
Louisiana; Mississippi; Tennessee; Western  
Panhandle of Florida) WESTERN GULF  
GATEWAY (Houston): (Colorado; New Mexico;  
Oklahoma; Texas)  
James Murphy  
US Department of Transportation  
Maritime Administration  
Eastern Gulf/Lower Mississippi Gateway Office  
500 Poydras Street, Room 1223  
New Orleans, LA 70130-3394 United States  
(504) 589-2000 ext. 229 Use the same number for  
FTS

## Missouri

INLAND WATERWAYS GATEWAY (St Louis):  
(Iowa; Kansas; Kentucky; Missouri; Montana;  
Nebraska; North Dakota; South Dakota;  
Pennsylvania all areas west of Pittsburgh;  
Southern Illinois; Southern Minnesota; Wyoming)  
ROBERT GOODWIN  
US Department of Transportation  
Maritime Administration  
Upper Mississippi Office  
1222 Spruce St. Suite 2.202F  
St Louis, MO 63103-2818 United States  
314-539-6783

## New York

Shashi N. Kumar  
United States Merchant Marine Academy  
Kings Point, NY 11024-1699 United States  
(516) 773-5000 Use the same number for FTS

(NORTH ATLANTIC GATEWAY (New York):  
Maine, New Hampshire, Vermont, Massachusetts,  
Rhode Island, and Connecticut, New York, New  
Jersey, and Pennsylvania)  
Maritime Administration  
One Bowling Green, Room 418  
New York, NY 10004-1415 United States  
(212) 668-3330 Use the same number for FTS

## Southern California

(SOUTHERN CALIFORNIA GATEWAY (Long  
Beach): (Arizona, Southern California (south of  
Point Conception), and the west coast of Mexico)  
ALAN HICKS  
US Department of Transportation  
Maritime Administration  
Southern California Gateway Office  
Glenn M. Anderson Federal Bldg  
501 West Ocean Blvd, Room 5190  
Long Beach, CA 90802 United States  
562-628-0246

## Virginia

MID ATLANTIC GATEWAY (Norfolk):  
(Maryland; North Carolina; Virginia; West  
Virginia)  
FRANK MACH  
US Department of Transportation  
Maritime Administration  
Mid Atlantic Gateway Office  
7737 Hampton Blvd Bldg 19 Suite 300  
Norfolk, VA 23505-1204 United States  
(757) 322-5800 Use the same number for FTS

## Washington

PACIFIC NORTHWEST/ALASKA GATEWAY  
(Seattle): Alaska; Oregon; Idaho; Washington)  
RANDY ROGERS  
US Department of Transportation  
Maritime Administration  
Pacific Northwest Gateway Office  
Henry M. Jackson Federal Building.  
915 2nd Avenue  
31st Floor, Room 3196  
Seattle, WA 98174 United States  
206-220-7717

## NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION (NHTSA)

### Region I

(Connecticut, Maine, Massachusetts, New  
Hampshire, Rhode Island, Vermont)  
George A. Luciano, Regional Administrator  
Transportation System Center  
Kendall Square-Code 903  
Cambridge, MA 02142  
(617) 494-3427

### Region II

(New Jersey, New York, Puerto Rico, Virgin  
Islands)  
Thomas M. Louizou, Regional Administrator  
222 Mamaroneck Avenue, Suite 204  
White Plains, NY 10605  
(914) 682-6162

### Region III

(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)  
Elizabeth A. Baker, Regional Administrator  
The Crescent Building  
10 South Howard Street, Suite 4000  
Baltimore, MD 21201

(410) 962-0077

### Region IV

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)  
Troy Ayers, Regional Administrator  
61 Forsyth Street, S.W., Suite 17T30  
Atlanta, GA 30303-3104  
(404) 562-3739

### Region IX

(Arizona, California, Hawaii, Nevada, Mariana  
Islands, Guam, American Samoa)  
David Manning, Acting Regional Administrator  
201 Mission Street, Suite 2230  
San Francisco, CA 94105  
(415) 744-3089

### Region V

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)  
Donald J. McNamara, Regional Administrator  
19900 Governors Drive, Suite 201  
Olympia Fields, IL 60461  
(708) 503-8822

### Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas, Indian Nations)  
Georgia S. Chakiris, Regional Administrator  
819 Taylor Street, Room 8A38  
Fort Worth, TX 76102-6177  
(817) 978-3653

### Region VII

(Iowa, Kansas, Missouri, Nebraska)  
Romell W. Cook, Regional Administrator  
P.O. Box 412515  
Kansas City, MO 64141  
(816) 822-7233  
Use the same number for FTS

### Region VIII

(Colorado, Montana, North Dakota, South Dakota,  
Utah, Wyoming)  
Louis R. DeCarolis, Ph.D., Regional Administrator  
555 Zang Street, Room 430  
Lakewood, CO 80228  
(303) 969-6917

### Region X

(Alaska, Idaho, Oregon, Washington)  
Curtis A. Winston, Regional Administrator  
3140 Jackson Federal Building  
915 Second Avenue  
Seattle, WA 98174  
(206) 220-7640

## RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION (RSPA)

### Central Region

Illinois, Indiana, Iowa, Kansas, Michigan,  
Minnesota, Missouri, Nebraska, North Dakota,  
South Dakota, Ohio, Wisconsin)

# Appendix IV: Agency Regional and Local Office Addresses

Ivan A. Huntoon  
1900 Locust Street, Room 462  
Kansas City, MO 64106  
(816) 329-3800  
(816) 329-3831 FAX  
Use same 10-digit number for F

## Eastern Region

(Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia)

William H. Gute  
400 7th Street, S.W., Room 7130  
Washington, DC 20590  
(202) 366-4580  
(202) 366-3274 FAX  
Use same 10-digit number for F

## Southern Region

(Alabama, Arkansas, Florida, Georgia, Kentucky, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee)

Frederick A. Joyner  
61 Forsyth Street, Suite 16T15  
Atlanta, GA 30303  
(404) 562-3530  
(404) 562-3569 FAX  
Use same 10-digit number for F

## Southwest Region

(Arizona, Louisiana, New Mexico, Oklahoma, Texas)

Rodrick M. Seeley  
2320 LaBranch, Room 2100  
Houston, TX 77004  
(713) 718-3746  
(713) 718-3724 FAX  
Use same 10-digit number for F

## Western Region

(California, Colorado, Idaho, Montana, Nevada, Oregon, Utah, Washington, Wyoming, Alaska, Hawaii)

Chris Hoidal  
Golden Hills Centre, Suite A-250  
12600 W. Colfax Avenue  
Lakewood, CO 80215  
(303) 231-5701  
(303) 231-5711 FAX

## APPALACHIAN REGIONAL COMMISSION

### Alabama

Director  
Department of Economic and Community Affairs  
Box 5690, 401 Adams Avenue  
Montgomery, AL 36103-5690  
(334) 242-8672

### Georgia

Director, Intergovernmental Relations  
Office of the Governor  
State Capital

Room 131  
Atlanta, GA 30334  
(404) 463-7775

### Kentucky

Community Holding Company  
220 Main Street  
PO Box 331  
Inez, KY 41224  
(606) 298-3510

### Maryland

Director, Maryland Office of Planning  
301 West Preston Street, Room 1101  
Baltimore, MD 21201  
(410) 767-4510

### Mississippi

Community Assistance  
Mississippi Development Authority  
PO Box 849  
Jackson, MS 39205-0849  
(601) 359-6622

### New York

Secretary of State  
Department of State  
41 State Street  
Albany, NY 12231  
(518) 486-9844

### North Carolina

Director  
North Carolina Washington Office  
444 North Capitol Street, Suite 332  
Washington, DC 20001-1512  
(202) 624-5833

### Ohio

Director  
Governor's Office of Appalachia  
77 South High Street, 28th Floor, Box 1001  
Columbus, OH 43266-1001  
(614) 644-9228

### Pennsylvania

Deputy Secretary, Community Affairs and Development  
Department of Community and Economic Development  
400 North Street  
4th Floor  
Commonwealth Keystone Bldg.  
Harrisburg, PA 17120  
(717) 787-3003

### South Carolina

Policy Advisor to the Governor  
Office of the Governor  
PO Box 12267  
Columbia, SC 29211  
(803) 734-5166

### Tennessee

Commissioner  
Department of Economic & Community

Development  
William R. Snodgrass Tennessee  
312 Eighth Avenue, North  
11th Floor  
Nashville, TN 37243-0405  
(615) 741-1888

### Virginia

Virginia Department of Housing and Community Development  
Jackson Center  
501 North 2nd Street  
Richmond, VA 23219  
(804) 371-7002

### West Virginia

Director, Community Development Division  
West Virginia Development Office  
Building 6, Room 553  
State Capitol Complex  
Charleston, WV 25305  
(304) 558-4010

## OFFICE OF PERSONNEL MANAGEMENT

### Puerto Rico

San Juan  
Plaza Laz Americans Tower  
525 Roosevelt Avenue, Room 1100  
Hato Rey, PR 00918  
(809) 766-5620

### Region II

Alabama/Tennessee/Mississippi/Arkansas  
Huntsville  
520 Wynn Drive, N.W., 35816-3426  
(205) 837-1271

Washington, Oregon, Idaho  
Seattle  
700 5th Avenue, Suite 5950  
Seattle, WA 98104-5012  
(206) 553-0870

Colorado, Montana, Utah, Wyoming, New Mexico, Arizona  
Denver  
12345 West Alameda Parkway, Room 316  
P.O. Box 25167  
Denver, CO 80225-0001  
(303) 969-6931

Kansas, Missouri, Nebraska, Iowa, Illinois  
Kansas City  
Federal Building, Room 131  
601 East 12th Street  
Kansas City, MO 64106-2826  
(816) 426-5706

California, Nevada  
San Francisco  
20 Howard Street, Room 735  
San Francisco, CA 94105-0001

# Appendix IV: Agency Regional and Local Office Addresses

(415) 281-7074

Minnesota, North Dakota, South Dakota,  
Wisconsin  
Twin Cities  
Bishop Henry Whipple Federal Building, Room  
503  
One Federal Drive  
Ft. Snelling, MN 55111-4007  
(612) 725-3437

Ohio, Indiana, Kentucky, West Virginia  
Dayton  
U.S. Courthouse and Federal Building  
200 West 2nd Street, Room 507  
Dayton, OH 45402-0001  
(513) 225-2576

Pennsylvania, New York, Maryland,  
Massachusetts, New Hampshire, Connecticut,  
Delaware, Maine, New Jersey, Rhode Island,  
Vermont  
Philadelphia  
William J. Green, Jr. Federal Building  
Federal Building, Room 3400  
600 Arch Street  
Philadelphia, PA 19106-1596  
(215) 597-7670

Georgia, Florida  
Atlanta  
Richard B. Russell Federal Building, Suite 956  
75 Spring Street, S.W.  
Atlanta, GA 30303-3109  
(404) 331-4588

Virginia  
Norfolk  
Federal Building, Room 500  
200 Granby Street  
Norfolk, VA 23510-1886  
(804) 441-3373

North Carolina, South Carolina  
Raleigh  
4407 Bland Road, Suite 200, Somerset Park  
Raleigh, NC 27609-6296  
(919) 790-2817

Michigan, Indiana, Kentucky, Northern Ohio  
Detroit  
477 Michigan Avenue, Room 594  
Detroit, MI 48226-2574  
(313) 226-2095

Texas, Arkansas, Louisiana, Oklahoma, Nevada  
San Antonio  
8610 North Broadway, Room 305  
San Antonio, TX 78217-0001  
(210) 805-2423

Illinois  
Chicago  
John C. Kluzynski Federal Building-DPN 30-3  
230 South Dearborn Street  
Chicago, IL 60604-1687  
(312) 353-6234

Hawaii, Alaska, Pacific Overseas  
Honolulu (and Island of Oahu)

Federal Building  
P.O. Box 50028  
300 Ala Moana Boulevard  
Honolulu, HI 96850-0001  
(808) 541-2795

## U.S. COMMISSION ON CIVIL RIGHTS

### Central Regional Office

U.S. Commission on Civil Rights  
Melvin L. Jenkins, Regional Director  
Gateway Tower II  
400 State Avenue, Suite 908  
Kansas City, KS 66101  
(913) 551-1400  
(913) 551-1414 TDD

### Eastern Regional Office

U.S. Commission on Civil Rights  
Ki-Taek Chun, Regional Director  
624 9th Street NW, Suite 500  
Washington, DC 20425  
(202) 376-7533  
(202) 376-8116 TDD

### Midwestern Regional Office

U.S. Commission on Civil Rights  
Constance D. Davis, Regional Director  
55 West Monroe Street, Suite 410  
Chicago, IL 60603  
(312) 353-8311  
(312) 353-8362 TDD

### Rocky Mountain Regional Office

U.S. Commission on Civil Rights  
John F. Dulles, III  
1700 Broadway, Suite 710  
Denver, CO 80290  
(303) 866-1040  
(303) 866-1049 TDD

### Southern Regional Office

U.S. Commission on Civil Rights  
Bobby Doctor, Regional Director  
61 Alabama Street, SW, Suite 1840T  
Atlanta, GA 30303  
(404) 562-7000  
(404) 562-7004 TDD

### Western Regional Office

U.S. Commission on Civil Rights  
Philip Montez, Regional Director  
3660 Wilshire Boulevard, Room 810  
Los Angeles, CA 90010  
(213) 894-3437  
(213) 894-3435 TDD

## EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

### Alabama

Delner Franklin-Thomas, Director  
1130 22nd Street, South, Suite 200  
Birmingham, AL 35205 United States  
(205) 7212-2089 Use the same number for FTS

### Arizona

Chester Bailey, Director  
Norwest Tower  
3300 N. Central Avenue, Suite 690  
Phoenix, AZ 85012-2504 United States  
(602) 640-5011 Use the same number for FTS

### Arkansas

Wanda Milton, Director  
820 Louisiana Street, Suite 200  
Little Rock, AR 72201 United States  
(501) 324-6372 Use the same number for FTS

### California

Michelle Nardella, Enforcement Manager  
1301 Clay Street, Suite 1170-N  
Oakland, CA 94612-5217 United States  
(510) 637-3239 Use the same number for FTS

Michael Baldonado, Director  
350 Embarcadero, Suite 500  
San Francisco, CA 94105-1687 United States  
(415) 625-5611 Use the same number for FTS

Thomas McCammon, Director  
555 West Beech Street, Ste. 504  
San Diego, CA 92101 United States  
(619) 557-7277

Melissa Barrios, Director  
2300 Tulare Street  
Fresno, CA 93721 United States  
(209) 487-5793 Use the same number for FTS

Hae Jung Atkins, Director  
96 North 3rd Street, Suite 200  
San Jose, CA 95112 United States  
(408) 291-7352 Use the same number for FTS

Olophius Perry, Acting Director  
255 E. Temple Avenue, 4th Floor  
Los Angeles, CA 90012 United States  
(213) 894-1112 Use the same number for FTS

### Colorado

Nancy Sienko, Director  
303 East 17th Avenue, Suite 510  
Denver, CO 80203-9634 United States  
(303) 866-1369 Use the same number for FTS

### District of Columbia

Mindy weinstein, Acting Director  
131 M Street, N.E.  
Washington, DC 20507 United States  
(202) 419-0770 Use the same number for FTS

### Florida

Manuel Zurita, Director  
501 East Polk Street, Room 1000  
Tampa, FL 33602 United States  
(813) 228-2310 Use the same number for FTS

Jacqueline McNair, Director

One Biscayne Tower  
2 South Biscayne Boulevard, Suite 2700  
Miami, FL 33131 United States  
(305) 808-1740 Use the same number for FTS

### Georgia



# Appendix IV: Agency Regional and Local Office Addresses

Mason Barrett, Director  
410 Mall Boulevard, Suite G  
Savannah, GA 31406-4821 United States  
(912) 652-4234 Use the same number for FTS

Bernice Williams-Kimbrough, Director  
100 Alabama Street, Suite 4R30  
Atlanta, GA 30303  
(404) 562-6930  
Use the same number for FTS

## Hawaii

Timothy A. Riera, Director  
300 Ala Moana Boulevard, Room 7-127  
P.O. Box 50082  
Honolulu, HI 96850-0051 United States  
(808) 541-3722 Use the same number for FTS

## Illinois

John P. Rowe, Director  
500 West Madison Street, Suite 2800  
Chicago, IL 60661 United States  
(312) 353-8550 Use the same number for FTS

## Indiana

Danny Harter, Director  
Federal Building  
101 West Ohio Street, Suite 1900  
Indianapolis, IN 46204-4203 United States  
(317) 226-6418 Use the same number for FTS

## Kansas

Billie Ashton, Director  
400 State Avenue, Suite 905  
Kansas City, KS 66101 United States  
(913) 551-5655 Use the same number for FTS

## Kentucky

Marcia Hall Craig, Director  
U.S. Post Office and Courthouse  
600 Martin Luther King Jr. Place, Room 268  
Louisville, KY 40202 United States  
(502) 582-6744 Use the same number for FTS

## Louisiana

Keith Hill, Director  
1555 Poydras Street, Ste. 1900  
New Orleans, LA 70112 United States  
(504) 595-2835 Use the same number for FTS

## Maryland

Gerald Kiel, Director  
City Crescent Building  
10 South Howard Street, 3rd Floor  
Baltimore, MD 21201 United States  
(410) 962-5634 use the same number for FTS

## Massachusetts

Robert L. Sanders, Director  
John F. Kennedy Federal Building  
1 Congress Street, Room 475  
Boston, MA 02203-0506 United States  
(617) 565-3191 Use the same number for FTS

## Michigan

Gail Cober, Director

McNamara Federal Building  
477 Michigan Avenue, Suite 865  
Detroit, MI 48226-9704 United States  
(313) 226-3347 Use the same number for FTS

## Minnesota

Julie Schmid, Acting Director  
330 South Second Avenue, Suite 430  
Minneapolis, MN 55401-2224 United States  
(612) 335-4054 Use the same number for FTS

## Mississippi

Wilma Scott, Director  
100 W. Capitol Street, Suite 207  
Jackson, MS 39269 United States  
(601) 948-8400 Use the same number for FTS

## Missouri

Webster Smith, Director  
1222 Spruce Street, Room 8100  
St. Louis, MO 63103 United States  
(314) 539-7833 Use the same number for FTS

## New Jersey

Corrado Gigante, Director  
One Newark Center, 21st Floor  
Newark, NJ 07102-5233 United States  
(973) 645-5978 Use the same number for FTS

## New Mexico

Georgia Marchbanks, Acting Director  
505 Marquette Avenue, N.W., Suite 900  
Albuquerque, NM 87102-2189  
(505) 248-5201 Use the same number for FTS

## New York

Elizabeth Cadle, Director  
6 Fountain Plaza, Suite 350  
Buffalo, NY 14202 United States  
(716) 551-4443 Use the same number for FTS

Spencer H. Lewis, Jr., Director  
33 Whitehall Street, 5th Floor  
New York, NY 10004-2112 United States  
(212) 336-3660 Use the same number for FTS

## North Carolina

Jose Rosenberg, Director  
2303 West Meadowview Road, Suite 201  
Greensboro, NC 27407 United States  
(336) 547-4080 Use the same number for FTS

Rueben Daniels, Director  
129 West Trade Street, Suite 400  
Charlotte, NC 28202 United States  
(704) 344-6744 Use the same number for FTS

Thomas Colclough, Director  
1309 Annapolis Drive  
Raleigh, NC 27608-2129 United States  
(919) 856-4085 Use the same number for FTS

## Ohio

Wilma L. Javey, Director  
550 Main Street, Suite 10-019  
Cincinnati, OH 45202-5202 United States  
(513) 684-2379 Use the same number for FTS

Daniel Cabot, Director  
Anthony J Celebrezze Federal Bldg.  
1240 E. 9th Street, Ste. 3001  
Cleveland, OH 44199 United States  
(216) 522-2001 Use the same number for FTS

## Oklahoma

Jack Vasquea, Acting Director  
215 Dean A. McGee Avenue, Suite 524  
Oklahoma City, OK 73102-2265 United States  
(405) 231-4356 Use the same number for FTS

## Pennsylvania

Joseph Hardiman, Director  
Federal Building  
1001 Liberty Avenue, Suite 300  
Pittsburgh, PA 15222-4187 United States  
(412) 644-2760 Use the same number for FTS

Marie M. Tomasso, Director  
801 Market Street, 13th Floor  
Philadelphia, PA 19103 United States  
(215) 440-2620 Use the same number for FTS

## Puerto Rico

William Sanchez, Director  
Plaza Las Americas  
525 F.D. Roosevelt Avenue, Suite 1202  
San Juan 00918-8001 United States  
(787) 771-1464 Use the same number for FTS

## South Carolina

Patricia B. Fuller, Director  
301 N. Main Street, Suite 1402  
Greenville, SC 29601 United States  
(864) 241-4410 Use the same number for FTS

## Tennessee

Sarah Smith, Acting Director  
50 Vantage Way, Suite 202  
Nashville, TN 37228 United States  
(615) 736-7481 Use the same number for FTS

Katharine Kores, Director  
1407 Union Avenue, Suite 621  
Memphis, TN 38104 United States  
(901) 544-0091 Use the same number for FTS

## Texas

Pedro Esquivel, Director  
Mockingbird Plaza, Plaza II  
5410 Fredericksburg Road, Suite 200  
San Antonio, TX 78229-3555 United States  
(210) 281-7642 Use the same number for FTS

Roy Ruff, Director  
Mickey Leland Building  
1919 Smith Street, 7th Floor  
Houston, TX 77002 United States  
(713) 209-3379 Use the same number for FTS

Michael Fetzer, Director  
207 South Houston Street, 3rd Floor  
Dallas, TX 75202-4726 United States  
(214) 655-3300 Use the same number for FTS

Teresa Anchondo, Director  
300 East Main Street, Suite 500

# Appendix IV: Agency Regional and Local Office Addresses

El Paso, TX 79901 United States  
(915) 534-6685 Use the same number for FTS

## Virginia

Herbert Brown, Director  
Federal Building  
200 Granby Street, Suite 739  
Norfolk, VA 23510 United States  
(757) 441-3470 Use the same number for FTS

Patricia Glisson, Director  
830 E. Main Street, Suite 600  
Richmond, VA 23219 United States  
(804) 771-2164 Use the same number for FTS

## Washington

Luis Lucero, Director  
Federal Office Building  
909 First Avenue, Suite 400  
Seattle, WA 98104-1061 United States  
(206) 220-6870 Use the same number for FTS

## Wisconsin

Rosemary Fox, Acting Director  
Henry S. Reuss Federal Plaza  
310 West Wisconsin Avenue, Suite 800  
Milwaukee, WI 53203-2292 United States  
(414) 297-4131 Use the same number for FTS

## FEDERAL COMMUNICATIONS COMMISSION

### Beverly Baker, Chief

Field Operations Bureau  
Federal Communications Commission  
1919 M Street, N.W., Room 734  
Washington, DC 20554-0001  
(202) 418-1100  
Use the same number for FTS

### P.O. Box 1588

Gary P. Soulsby, EIC  
Federal Communications Commission  
11410 NE 122nd Way, Suite 312  
Kirkland, WA 98034-6927  
(206) 821-9037

Oliver K. Long, EIC  
Federal Communications Commission  
P.O. Box 632  
Kingsville, TX 78363-0632  
(512) 592-2531

James H. Berrie, Jr., EIC  
Federal Communications Commission  
Grand Islands, NE 68802-1588  
(308) 382-4296 (recorded information at nights)

William C. Berry  
Federal Communications Commission  
U.S. Federal Building, Room 747  
San Juan Field Office  
747 Federal Building  
Hato Rey, PR 00918-1731  
(809) 766-5567

### Watch Officer

Signal Analysis Branch

1919 M Street, N.W., Room 749  
Enforcement Division  
Washington, DC 20554  
(202) 418-1180  
Use the same number for FTS

### William L. Kilpatrick, Chief

Equipment Construction and Installation Branch  
Federal Communications Commission  
3600 Hiram-Lithia Spring Road, S.W.  
P.O. Box 65  
Powder Springs, GA 30073  
(404) 943-6425

Russell D. Monie  
Federal Communications Commission  
Park Ridge Office Center, Room 306  
1550 Northwest Highway  
Park Ridge, IL 60068-1460  
(708) 298-5405  
Use the same number for FTS

David Viglione, EIC  
Federal Communications Commission  
1307 Federal Building  
111 West Huron Street  
Buffalo, NY 14202-2398  
(716) 551-4511 (recorded information)

Vacant  
Federal Communications Commission  
P.O. Box 89  
Allegan, MI 49010-9437  
(616) 673-2063

George M. Moffitt, EIC  
Federal Communications Commission  
Park Ridge Office Center, Room 306  
1550 Northwest Highway  
Park Ridge, IL 60068-1460  
(708) 298-5401/02  
Use the same number for FTS

Charles W. Craig, EIC  
Federal Communications Commission  
1782 Federal Building  
1220 S.W. Third Avenue  
Portland, OR 97204-2898  
(503) 326-4114/5

Vincent Kajunski, EIC  
Federal Communications Commission  
1 Battery March Park  
Quincy, MA 02169-7495  
(617) 770-4023

James A. Bridgewater  
Federal Communications Commission  
24897 Hathaway Street  
Farmington Hills, MI 48335-1552  
(810) 471-5605  
Use the same number for FTS  
(810) 471-0052 (for r)

Jack Shedletsy, EIC  
Federal Communications Commission  
P.O. Box 1030  
Waipahu, HI 96797-1030  
(808) 677-3318

James R. Zoulek, EIC  
Federal Communications Commission  
18000 Studebaker Road, Room 660  
Cerritos, CA 90701-3684  
(310) 809-2096  
(310) 865-0598

Serge Marti-Volkoff  
Federal Communications Commission  
3777 Depot Road, Room 420  
Hayward, CA 94545-2756  
(510) 732-9046

Dennis P. Carlton  
Federal Communications Commission  
Brywood Office Tower, Room 320  
8800 East 63rd Street  
Kansas City, MO 64133-4895  
(816) 353-9035  
Use the same number for FTS

Donald E. Taylor, EIC  
Federal Communications Commission  
P.O. Box 85  
Powder Springs, GA 30073-0085  
(770) 943-5420  
(770) 242-0165

James C. Hawkins  
Federal Communications Commission  
800 West Commerce Road, Room 505  
New Orleans, LA 70123-3333  
(504) 589-2095

Marlene S. Windel  
Federal Communications Commission  
6721 Raspberry Road  
Anchorage, AK 99502-1896  
(907) 243-2153

Ralph M. Barlow, EIC  
Federal Communications Commission  
2203 North Lois Avenue, Room 1215  
Tampa, FL 33607-2356  
(813) 348-1502

Albert S. Jarratt, Jr., EIC  
Federal Communications Commission  
2025 Sloan Place, Suite 31  
Maplewood, MN 55117-2058  
(612) 774-5175

Leo Cirbo, EIC  
Federal Communications Commission  
165 South Union Boulevard, Suite 860  
Lakewood, CO 80228-2213  
(303) 969-6497  
(303) 776-8026

Jack Shedletsy, EIC  
Federal Communications Commission  
P.O. Box 1030  
Waipahu, HI 96797-1030  
(808) 677-3318  
Use the same number for FTS

Barry A. Bohac, EIC  
Federal Communications Commission  
P.O. Box 470  
Belfast, ME 04915-0470

# Appendix IV: Agency Regional and Local Office Addresses

(207) 338-4088

Fred L. Broce, EIC  
Federal Communications Commission  
Koger Center-Gwinnett  
3575 Koger Boulevard, Room 320  
Duluth, GA 30136-4958  
(404) 279-4621

James A. Dailey, EIC  
Federal Communications Commission  
Brywood Office Tower, Room 320  
8800 East 63rd Street  
Kansas City, MO 64133-4895  
(816) 353-3773  
Use the same number for FTS

William H. Grigsby, EIC  
Federal Communications Commission  
Interstate Office Park  
4542 Ruffner Street, Room 370  
San Diego, CA 92111-2216  
(619) 467-0549

Alexander J. Zimny, EIC  
Federal Communications Commission  
201 Varick Street  
New York, NY 10014-4870  
(212) 620-3437/8, 3435 (recorded information)  
(212) 660-3437, 34

Phil Kane, EIC  
Federal Communications Commission  
3777 Depot Road, Room 420  
Hayward, CA 94545-2725  
(510) 732-9046  
Use the same number for FTS

John L. Theimer, EIC  
Federal Communications Commission  
Rochester Building, Room 310  
8390 N.W. 53rd Street  
Miami, FL 33166-4668  
(305) 526-7420

John Hudak, EIC  
Federal Communications Commission  
P.O. Box 250  
Columbia, MD 21045-9998  
(301) 725-3474

## FEDERAL MEDIATION AND CONCILIATION SERVICE

### Eastern

Cleveland, Ohio Regional Office  
Mr. Robert Ditillo,  
Director of Mediation Services,  
6161 Oak Tree Boulevard,  
Independence, OH 44131 United States  
(216) 520-4811 Fax: (216) 520-4819

### Eastern Region

Pittsburgh, Pennsylvania Field Office  
Mr. John W. Pinto, Director of Mediation  
Services, One Oxford Centre, Suite 2570, 301  
Grant Street,  
Pittsburgh, PA 15219-1408 United States  
(412) 235-7440 Fax: (412) 644-4149

Cleveland, Ohio Field Office  
Mr. John Buettner, Director of Field Operations,  
6161 Oak Tree Boulevard, Suite 120,  
Independence, OH 44131 United States  
(216) 520-4805 Fax: (216) 520-4815

Chicago, Illinois Field Office  
Mr. Thomas Summers, Director of Mediation  
Services, Elm Plaza, Suite 203, 908 North Elm  
Street  
Hinsdale, IL 60521 United States  
(630) 887-4750 Fax: (630) 887-7183

Orlando, Florida Field Office  
Mr. Sergio Delgado, Director of Mediation  
Service, 3452 Lake Lynda Drive, Suite 122,  
Orlando, FL 32817-1472 United States  
(407) 382-6598 Fax: (407) 382-3727

Philadelphia, Pennsylvania Field Office  
Mr. Scott Blake, Director of Mediation Services,  
William J. Green, Jr. Federal Building, Room  
3456, 600 Arch Street,  
Philadelphia, PA 19106 United States  
(215) 717-7500 Fax: (215) 717-7508

Woodbridge, New Jersey Regional Office  
Mr. John Sweeney, Director of Mediation  
Services, Woodbridge Place Building, Suite 3020,  
517 US Highway 1 South,  
Iselin, NJ 08830 United States  
(732) 726-3121 Fax: (732) 726-3124

### Western Region

Los Angeles, California Field Office  
Ms. Linda Gonzalez, Director of Mediation  
Services, Glendale Financial Square, Suite 410,  
225 West Broadway,  
Los Angeles, CA 91204 United States  
(818) 409-1324 Fax: (818) 409-1321

Seattle, Washington Field Office  
Ms. Beth Schindler, Director of Mediation  
Services, Westin Building, Suite 2500, 2001 Sixth  
Avenue,  
Seattle, WA 98121 United States  
(206) 553-5800 Fax: (206) 553-6653

St. Louis, Missouri Field Office  
Mr. Eugene Bralley, Jr., Director of Mediation  
Services, 12140 Woodcrest Executive Drive, Suite  
325,  
St. Louis, MO 63141-5013 United States  
(816) 426-2032 Fax: (816) 426-2033

Mineapolis, Minnesota Field Office  
Mr. Glenn Tarkowski, Director of Mediation  
Services,  
Broadway Place West, Suite 3950  
1300 Godward Street  
Minneapolis, MN 55413 United States  
(612) 331-6667 Fax: (612) 331-5272

## GENERAL SERVICES ADMINISTRATION

### Central Office

General Services Administration

2200 Crystal Drive, Crystal Plaza 4, Room 706  
Arlington, VA 22202 United States  
(703) 605-5610 (703) 605-9833 FAX

### Great Lakes Region

(Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin)  
230 South Dearborn Street  
MS 34-6, Room 3430  
Chicago, IL 60604-1696  
(312) 886-8996

### Greater Southwest Region

(Arkansas, Louisiana, New Mexico, Oklahoma, and Texas)  
819 Taylor Street, Room 7A07  
Fort Worth, TX 76102-6105  
(817) 978-3794

### Heartland Region

(Iowa, Kansas, Missouri, and Nebraska)  
1500 East Bannister Road, Room 1102  
Kansas City, MO 64131  
(816) 823-3700

### Mid Atlantic (National Capital)

(National Capital Region - DC and Metro MD, VA)  
490 L'Enfant Plaza East SW, Suite 8214  
Washington, DC 20407 United States  
(202) 619-8986 (202) 619-8985 FAX

### Mid Atlantic Region (National Capital)

(District of Columbia and the DC, Metropolitan area: In Maryland, Montgomery and Prince George's Counties. In Virginia: Arlington, Fairfax, Loudon, and Prince Williams)

7th & Dst. SW  
Washington, DC 20407  
(202) 260-6438

### Mid-Atlantic Region

(Delaware, Maryland, Pennsylvania, Virginia and West Virginia (except those areas in the National Capital Area)  
Strawbridge's Building  
20 North 8th St., 10th Floor  
Philadelphia, PA 19107-3191  
(215) 446-5065

### National Capital Region (NCR)

(District of Columbia and the DC, Metropolitan area: In Maryland, Montgomery and Prince George's Counties. In Virginia: Arlington, Fairfax, Loudon, and Prince Williams Counties and the cities of Alexandria, Fairfax, and Falls Church)  
Business Service Center (WCAB)  
7th & D Streets, SW, Room 1050  
Washington, DC 20407  
(202) 708-5804  
(202) 205-2872 FAX

### New England Region

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont)  
Thomas P. O'Neill, Jr. Federal Building

# Appendix IV: Agency Regional and Local Office Addresses

10 Causeway Street, 3rd Floor, Room 347  
Boston, MA 02222  
(617) 565-7319

## Northeast and Caribbean Region

(New Jersey, New York, Puerto Rico, and U.S. Virgin Islands)  
26 Federal Plaza, Room 20-112  
New York, NY 10278  
(212) 264-3300

## Northwest/Arctic Region

(Alaska, Idaho, Oregon, and Washington)  
400 15th Street, S.W.  
Auburn, WA 98001-6599  
(253) 931-7934

## Pacific Rim Region

(American Samoa, Arizona, California, Commonwealth of the Northern Mariana Islands, Guam, Hawaii, and Nevada)  
450 Golden Gate Avenue  
San Francisco, CA 94102-3434  
(415) 522-3029

## Region 1

(New England Region- Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont) O'Neill Federal Building, 10 Causeway Street, Room 1085  
Boston, MA 02222-1047 United States  
(617) 565-6573 (617) 565-5767 FAX

## Region 10

(Northwest Arctic Region - Alaska, Idaho, Oregon, Washington) 400 15th Street SW  
Auburn, WA 98001-6599 United States  
(253) 931-7021(253) 931-7824 FAX

## Region 2

(Northeast and Caribbean Region - New Jersey, New York, Puerto Rico, U.S. Virgin Islands) 26 Federal Plaza, Room 20-112  
New York, NY 10278 United States  
(212) 264-2626 (212) 264-9806FAX

## Region 3

(Mid-Atlantic Region - Delaware, Maryland and Virginia (except District of Columbia Metropolitan area), Pennsylvania, West Virginia) The Strawbridge Building, 20 North Eighth Street, 10th Floor  
Philadelphia, PA 19107 United States  
(215) 446-5060 (215) 829-2760 FAX

## Region 4

(Southeast Sunbelt Region - Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee) 401 West Peachtree Street, Suite 2600  
Atlanta, GA 30308 United States  
(404) 332-3323(404) 331-1877 FAX

## Region 5

(Great Lakes Region - Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)

230 South Dearborn Street, MS 34-6, Room 3430  
Chicago, IL 60604-1696 United States  
(312) 886-8194(312) 886-8901 FAX

## Region 6

(Heartland Region - Iowa, Kansas, Missouri, Nebraska)  
1500 East Bannister Road, Building 6, 1st Floor  
Kansas City, MO 64131 United States  
(816) 823-3719 (816) 823-3711FAX

## Region 7

(Greater Southwest Region - Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
819 Taylor Street  
Room 13A05  
Fort Worth, TX 76102 United States  
(817) 850-8353 (817) 574-2366FAX

## Region 8

(Rocky Mountain Region - Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Business Service Center (8AB)  
Denver Federal Center  
Building 41, Room 240  
P.O. Box 25006  
Denver, CO 80225  
(303) 236-7408  
(303) 236-7403 FAX

(Rocky Mountain Region - Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Denver Federal Center Building 41  
P.O. Box 25506  
Denver, CO 80225-0506 United States  
(303) 236-7700 (303) 236-7544 FAX

## Region 9

(Pacific Rim Region - Arizona, California, Nevada, Hawaii, Guam, American Samoa, Northern Mariana Islands)  
450 Golden Gate Avenue  
San Francisco, CA 94102-3434 United States  
(415) 522-3030 415) (415) 522-3033 FAX

## Region I

(Illinois, Indiana, Michigan, Wisconsin, Ohio, Minnesota, Maine, Vermont, New Hampshire, Rhode Island, Massachusetts, Connecticut, New York, New Jersey, Puerto Rico, and the Virgin Islands)  
10 Causeway Street  
Boston, MA 02222  
(617) 565-5700

## Region IV

(Maryland, Delaware, Virginia, Pennsylvania, West Virginia, North Carolina, Mississippi, South Carolina, Tennessee, Georgia, Alabama, Florida, Kentucky and the District of Columbia)  
401 W. Peachtree Street  
Atlanta, GA 30365-2550  
(404) 331-5133

## Region IX

(California, Nevada, Arizona, Hawaii, Guam,

American Samoa, the Trust Territory of the Pacific Islands, Alaska, Idaho, Oregon, and Washington)  
450 Golden Gate Avenue, 4th Floor East  
San Francisco, CA 94102-3429  
(415) 522-3429

## Region VII

(Kansas, Missouri, Iowa, Nebraska, Arkansas, Louisiana, New Mexico, Oklahoma, Texas, Colorado, North Dakota, South Dakota, Montana, and Utah)  
819 Taylor Street  
Fort Worth, TX 76102  
(817) 978-2331

## Southeast Sunbelt Region

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee)  
401 West Peachtree Street, Room 2600  
Atlanta, GA 30365  
(404) 331-0040  
Satellite Office  
General Services Administration  
Small Business Center (9ADB-L)

## NATIONAL LABOR RELATIONS BOARD

### Alabama

Information Officer  
Ridge Park Place  
1130 South Street, Suite 3400  
Birmingham, AL 35205-2870 United States  
(205) 933-3018 Use the same number for FTS

### Alaska

Information Officer  
Anchorage Federal Office Building  
605 West 4th Avenue, Suite 210  
Anchorage, AK 99501-3170 United States  
(907) 271-5015 Use the same number for FTS

### Arizona

Information Officer  
2600 North Central Avenue, Suite 1800  
Phoenix, AZ 85004-3099 United States  
(602) 640-2160 Use the same number for FTS

### Arkansas

Information Officer  
Metropolitan Bank Building  
425 West Capitol Avenue, Suite 1615  
Little Rock, AR 72201-3489 United States  
(501) 324-6311 Use the same number for FTS

### California

Information Officer  
Ronald V. Dellums Federal Building and Courthouse  
1301 Clay Street, Suite 300N  
Oakland, CA 94612-5224 United States  
(510) 637-3300 Use the same number for FTS  
Information Officer  
901 Market Street, Suite 400

# Appendix IV: Agency Regional and Local Office Addresses

San Francisco, CA 94103-1735 United States  
(415) 356-5130 Use the same number for FTS

Information Officer  
888 Figueroa Street, 9th Floor  
Los Angeles, CA 90017-5499 United States  
(213) 894-5200 Use the same number for FTS

Information Officer  
555 West Beech Street, Suite 418  
San Diego, CA 92101-2939 United States  
(619) 557-6184 Use the same number for FTS

Information Officer  
11150 W. Olympic Boulevard, Suite 700  
Los Angeles, CA 90064-1824 United States  
(310) 235-7351 Use the same number for FTS

## Colorado

Information Officer  
600 17th Street, 7th Floor, North Tower  
Denver, CO 80202-5433  
(303) 844-3551  
Use the same number for FTS

## Connecticut

Information Officer  
A.A. Ribicoff Federal Building  
450 Main Street  
Suite 410  
Hartford, CT 06103-9972 United States  
(860) 240-3522 Use the same number for FTS

## District of Columbia

Information Officer  
1099 14th Street, N.W., Suite 5530  
Washington, DC 20570-0001  
(202) 208-3000  
Use the same number for FTS

## Florida

Information Officer  
550 Water Street, Room 340  
Jacksonville, FL 32202-5177 United States  
(904) 232-3768 Use the same number for FTS

Information Officer  
201 E. Kennedy Boulevard, Suite 530  
Tampa, FL 33602-5824 United States  
(813) 228-2641 Use the same number for FTS

Information Officer  
Federal Building  
51 Southwest 1st Avenue, Room 1320  
Miami, FL 33130-1623 United States  
(305) 536-5391 Use the same number for FTS

## Georgia

Information Officer  
233 Peachtree Street, N.E., Suite 1000  
Atlanta, GA 30303-1531 United States  
(404) 331-2896 Use the same number for FTS

## Hawaii

Information Officer  
300 Ala Moana Boulevard - Room 7-245  
Honolulu, HI 96850-4980 United States  
(808) 541-2814 Use the same number for FTS

## Illinois

Information Officer  
300 Hamilton Boulevard, Suite 200  
Peoria, IL 61602-1246 United States  
(309) 671-7080 Use the same number for FTS

Information Officer  
The Rookery Building  
209 South LaSalle Street, Suite 900  
Chicago, IL 60604-1219 United States  
(312) 353-7570 Use the same number for FTS

## Indiana

Information Officer  
575 North Pennsylvania Street, Room 238  
Indianapolis, IN 46204-1577 United States  
(317) 226-7381 Use the same number for FTS

## Iowa

Information Officer  
210 Walnut Street, Suite 439  
Des Moines, IA 50309-2103  
(515) 284-4391 Use the same number for FTS

## Kansas

Information Officer  
8600 Farley Street, Suite 100  
Overland Park, KS 66212-4677  
(913) 967-3000  
Use the same number for FTS

## Louisiana

Information Officer  
600 South Maestri Place - 7th Floor  
New Orleans, LA 70130-3408 United States  
(504) 589-6361 Use the same number for FTS

## Maryland

Information Officer  
103 South Gay Street, 8th Floor  
Baltimore, MD 21202-4061  
(410) 962-2822 Use the same number for FTS

## Massachusetts

Information Officer  
10 Causeway Street, 6th Floor  
Boston, MA 02222-1072  
(617) 565-6700  
Use the same number for FTS

## Michigan

Information Officer  
477 Michigan Avenue, Room 300  
Detroit, MI 48226-2569  
(313) 226-3200  
Use the same number for FTS

Information Officer  
Gerald R. Ford Federal Building  
110 Michigan Street NW  
Room 299  
Grand Rapids, MI 49503-2363 United States  
(616) 456-2679 Use the same number for FTS

## Minnesota

Information Officer

330 South Second Avenue, Suite 790  
Minneapolis, MN 55401-2221  
(612) 348-1757 Use the same number for FTS

## Missouri

Information Officer  
1222 Spruce Street, Room 8.302  
St. Louis, MO 63103-2829 United States  
(314) 539-7770 Use the same number for FTS

## Nevada

Information Officer  
600 Las Vegas Boulevard South, Suite 400  
Las Vegas, NV 89101-6637  
(702) 388-6416  
Use the same number for FTS

## New Jersey

Information Officer  
20 Washington Place-5th Floor  
Newark, NJ 07102-3110  
(973) 645-2100 Use the same number for FTS

## New Mexico

Information Officer  
421 Gold Avenue SW, Suite 310  
Albuquerque, NM 87102 United States  
(505) 248-5125 Use the same number for FTS

## New York

Information Officer  
Clinton Avenue at N. Pearl Street, Room 342  
Albany, NY 12207-2350  
(518) 431-4156  
Use the same number for FTS

Information Officer  
26 Federal Plaza, Room 3614  
New York, NY 10278-0104 United States  
(212) 264-0300 Use the same number for FTS

Information Officer  
Niagra Center Building  
130 South Elmwood Avenue, Suite 630  
Buffalo, NY 14202-2465 United States  
(716) 551-4931 Use the same number for FTS

Information Officer  
Two Metro Tech Center  
Suite 5100  
Brooklyn, NY 11201-3838 United States  
(718) 330-7713 Use the same number for FTS

## North Carolina

Information Officer  
4035 University Parkway, Suite 200  
Winston-Salem, NC 27106-3325 United States  
(336) 631-5201 Use the same number for FTS

## Ohio

Information Officer  
550 Main Street, Room 3003  
Cincinnati, OH 45202-3271  
(513) 684-3686  
Use the same number for FTS

Information Officer  
1240 East 9th Street, Room 1695

# Appendix IV: Agency Regional and Local Office Addresses

Cleveland, OH 44199-2086 United States  
(216) 522-3715 Use the same number for FTS

## Oklahoma

Information Officer  
224 South Boulder Avenue, Room 318  
Tulsa, OK 74103-3027 United States  
(918) 581-7951 Use the same number for FTS

## Oregon

Information Officer  
601 S.W. Second Avenue, Suite 1910  
Portland, OR 97204-3170 United States  
(503) 326-3085 Use the same number for FTS

## Pennsylvania

Information Officer  
615 Chestnut Street, 7th Floor  
Philadelphia, PA 19016-4404  
(215) 597-7601  
Use the same number for FTS

Information Officer  
William S. Moorehead Federal Building  
1000 Liberty Avenue, Room 904  
Pittsburgh, PA 15222-4111 United States  
(412) 395-4400 Use the same number for FTS

## Puerto Rico

Information Officer  
525 F.D. Roosevelt Avenue, Suite 1002  
San Juan, PR 00918-1002 United States  
(787) 766-5347 Use the same number for FTS

## Tennessee

Information Officer  
810 Broadway, Suite 302  
Nashville, TN 37203-3859 United States  
(615) 736-5921 Use the same number for FTS

Information Officer  
The Brinkley Plaza Building  
80 Monroe Avenue  
Memphis, TN 38103-2416 United States  
(901) 544-0018 Use the same number for FTS

## Texas

Information Officer  
Garacia Federal Building  
615 East Houston Street, Suite 401  
San Antonio, TX 78205-2039 United States  
(210) 472-6140 Use the same number for FTS

Information Officer  
Mickey Leland Federal Building  
1919 Smith Street, Suite 1545  
Houston, TX 77002-2649 United States  
(713) 209-4888 Use the same number for FTS

Information Officer  
P.O. Box 971187  
El Paso, TX 79997-1187 United States  
(915) 592-6571 Use the same number for FTS

Information Officer  
819 Taylor Street, Room 8A24  
Fort Worth, TX 76102-6178 United States  
(817) 978-2921 Use the same number for FTS

## Washington

Information Officer  
915 2nd Avenue, Room 2948  
Seattle, WA 98174-1078  
(206) 220-6300  
Use the same number for FTS

## Wisconsin

Information Officer  
310 West Wisconsin Avenue, Suite 700W  
Milwaukee, WI 53203-2211 United States  
(414) 297-3861 Use the same number for FTS

## SMALL BUSINESS ADMINISTRATION

### Disaster Area 1 Office (Covers Regions I and II)

360 Rainbow Boulevard S., 3rd Floor  
Niagara Falls, NY 14303-1192  
(716) 282-4612  
Use the same number for FTS

### Disaster Area 2 Office (Covers Regions III, IV and V)

One Baltimore Place, Suite 300  
Atlanta, GA 30308  
(404) 347-3771  
Use the same number for FTS

### Disaster Area 3 Office (Covers Regions VI and VII)

4400 Amon Carter Boulevard, Suite 102  
Ft. Worth, TX 76155  
(817) 885-7600  
Use the same number for FTS

### Disaster Area 4 Office (Covers Regions VIII, IX and X)

1825 Bell Street, Suite 208  
Sacramento, CA 95825  
(916) 566-7240  
Use the same number for FTS

## Region I

New Hampshire District Office  
143 North Main Street, Suite 202  
Concord, NH 03301-1257  
(603) 225-1400  
Use the same number for FTS

Connecticut District Office  
Federal Building  
330 Main Street, 2nd Floor  
Hartford, CT 06106  
(203) 240-4700  
Use the same number for FTS

Maine District Office  
Federal Building  
40 Western Avenue, Room 512  
Augusta, ME 04330  
(207) 622-8378  
Use the same number for FTS

Springfield Branch Office  
1441 Main Street, Suite 410

Springfield, MA 01103  
(413) 785-0268

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
10 Causeway Street, Suite 812  
Boston, MA 02222  
(617) 565-8415  
Use the same number for FTS

Massachusetts District Office  
10 Causeway Street, Room 265  
Boston, MA 02222-1093  
(617) 565-5590  
Use the same number for FTS

Vermont District Office  
Federal Building  
87 State Street, Room 205  
Montpelier, VT 05602  
(802) 828-4422  
Use the same number for FTS

Rhode Island District Office  
380 Westminster Mall, 5th Floor  
Providence, RI 02903  
(401) 528-4561  
Use the same number for FTS

## Region II

New Jersey District Office  
Two Gateway Center, 15th Floor  
Newark, NJ 07102  
(973) 645-2434  
Use the same number for FTS

Puerto Rico and USVI District Office  
Federico Degetau Federal Building  
252 Ponce DeLeon Boulevard, Suite 201  
San Juan, PR 00918  
(787) 766-5272  
Use the same number for FTS

Melville Branch Office  
35 Pinelawn Road, Suite 207W  
Melville, NY 11747  
(516) 454-0750

Rochester Branch Office  
100 State Street, Suite 410  
Rochester, NY 14614  
(716) 263-6700

New York District Office  
26 Federal Plaza, Room 31-00  
New York, NY 10278  
(212) 264-2454  
Use the same number for FTS

Buffalo District Office  
Federal Building  
111 West Huron Street, Room 1311  
Buffalo, NY 14202  
(716) 551-4301  
Use the same number for FTS

(New Jersey, New York, Puerto Rico, Virgin Islands)  
26 Federal Plaza, Suite 3108  
New York, NY 10278

# Appendix IV: Agency Regional and Local Office Addresses

(212) 264-1450

Use the same number for FTS

**Elmira Branch Office**

333 E. Water Street, 4th Floor  
Elmira, NY 14901  
(607) 734-8130

**Syracuse District Office**

401 South Salina Street, 5th Floor  
Syracuse, NY 13202  
(315) 471-9393  
Use the same number for FTS

**Region III**

**West Virginia District Office**

West Pike Street, Suite 330  
Clarksburg, WV 26301  
(304) 623-5631  
Use the same number for FTS

**Wilkes-Barre Branch Office**

7 North Wilkes-Barre Boulevard  
Wilkes-Barre, PA 18702  
(570) 826-6497

**Harrisburgh Branch Office**

100 Chestnut Street, Room 108  
Harrisburg, PA 17101  
(717) 782-3840

(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)

900 Market Street, 5th Floor  
Philadelphia, PA 19107  
(215) 580-2SBA

Use the same number for FTS

**Philadelphia District Office**

900 Market Street, 5th Floor  
Philadelphia, PA 19406  
(215) 580-2SBA

Use the same number for FTS

**Delaware District Office**

824 N. Market Street, Suite 610  
Wilmington, DE 19801  
(302) 573-6294

**Washington District Office**

1110 Vermont Avenue, N.W., Suite 900  
Washington, DC 20005  
(202) 606-4000  
Use the same number for FTS

**Richmond District Office**

400 North 8th Street, Suite 1150  
Richmond, VA 23240-0126  
(804) 771-2400

Use the same number for FTS

**Baltimore District Office**

10 South Howard Street, Suite 6220  
Baltimore, MD 21201-2565  
(410) 962-4392  
Use the same number for FTS

**Pittsburgh District Office**

1000 Liberty Avenue, Room 1128  
Pittsburgh, PA 15222  
(412) 395-6560

Use the same number for FTS

**Region IV**

**Georgia District Office**

1720 Peachtree Road, N.W., 6th Floor  
Atlanta, GA 30309  
(404) 347-4147

Use the same number for FTS

**North Florida District Office**

7825 Baymeadows Way, Suite 100-B  
Jacksonville, FL 32256-7504  
(904) 443-1900

Use the same number for FTS

**South Florida District Office**

100 S. Biscayne Boulevard, 7th Floor  
Miami, FL 33131  
(305) 536-5521

Use the same number for FTS

**Gulfport Branch Office**

2909 13th Street, Suite 203  
Gulfport, MS 39501  
(228) 863-4449

**North Carolina District Office**

200 North College Street, Suite A2015  
Charlotte, NC 28202-2137  
(704) 344-6563

Use the same number for FTS

**Alabama District Office**

2121 8th Avenue North, Suite 200  
Birmingham, AL 35203-2398  
(205) 731-1344

Use the same number for FTS

**South Carolina District Office**

1835 Assembly Street, Room 358  
Columbia, SC 29201  
(803) 765-5377

Use the same number for FTS

**Kentucky District Office**

Federal Building  
600 Martin Luther King, Jr. Place, Room 188  
Louisville, KY 40202  
(502) 582-5971

Use the same number for FTS

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)

1720 Peachtree Road, N.W., Suite 496  
Atlanta, GA 30309-2482  
(404) 347-4999

Use the same number for FTS

**Tennessee District Office**

50 Vantage Way, Suite 201  
Nashville, TN 37228-1500  
(615) 736-5881

Use the same number for FTS

**Mississippi District Office**

101 West Capitol Street, Suite 400  
Jackson, MS 39201  
(601) 965-4378

Use the same number for FTS

**Region IX**

**Guama Branch Office**

400 Route 8  
Mongmong, GU 96927  
(671) 472-7419

Use the same number for FTS

(Arizona, California, Hawaii, Nevada, Pacific  
Islands)

455 Market Street, Suite 2200  
San Francisco, CA 94105  
(415) 744-2118

Use the same number for FTS

**Sacramento District Office**

660 J Street, Suite 215  
Sacramento, CA 95814  
(916) 498-6410

Use the same number for FTS

**San Diego District Office**

550 West "C" Street, Suite 550  
San Diego, CA 92101-3540  
(619) 557-7250

Use the same number for FTS

**Santa Ana District Office**

200 West Santa Ana Boulevard, Suite 700  
Santa Ana, CA 92701  
(714) 550-7420

Use the same number for FTS

**San Francisco District Office**

455 Market Street, 6th Floor  
San Francisco, CA 94105  
(415) 744-6820

Use the same number for FTS

**Arizona District Office**

2828 North Central Avenue, Suite 800  
Phoenix, AZ 85004-1093  
(602) 745-7200

Use the same number for FTS

**Nevada District Office**

300 Las Vegas Boulevard South, Suite 1100  
Las Vegas, NV 89101  
(702) 388-6611

Use the same number for FTS

**Fresno District Office**

2719 North Air Fresno Drive, Suite 200  
Fresno, CA 93727-1547  
(559) 487-5791

Use the same number for FTS

**Hawaii District Office**

300 Ala Moana Boulevard, Room 2-235  
Honolulu, HI 96850-4981  
(808) 541-2990

Use the same number for FTS

**Los Angeles District Office**

330 North Brand Boulevard, Suite 200  
Glendale, CA 91203-2304  
(818) 552-3210

Use the same number for FTS

**Region V**

Minnesota District Office

# Appendix IV: Agency Regional and Local Office Addresses

100 North 6th Street, Suite 610  
Minneapolis, MN 55403-1563  
(612) 370-2324  
Use the same number for FTS

Indiana District Office  
429 North Pennsylvania Street, Suite 100  
Indianapolis, IN 46204-1873  
(317) 226-7272  
Use the same number for FTS

Columbus District Office  
2 Nationwide Plaza, Suite 1400  
Columbus, OH 43215-2592  
(614) 469-6860  
Use the same number for FTS

Illinois District Office  
500 West Madison Street, Room 1250  
Chicago, IL 60661-2511  
(312) 353-4528  
Use the same number for FTS

Cincinnati Branch Office  
525 Vine Street, Suite 870  
Cincinnati, OH 45202  
(513) 684-2814

Wisconsin District-Milwaukee Office  
310 W. Wisconsin Avenue, Suite 400  
Milwaukee, WI 53202  
(414) 297-3941

Marquette Branch Office  
501 South Front Street  
Marquette, MI 49855  
(906) 225-1108

Springfield Branch Office  
511 W. Capitol Avenue, Suite 302  
Springfield, IL 62704  
(217) 492-4416

Michigan District Office  
477 Michigan Avenue, Room 515  
Detroit, MI 48226  
(313) 226-6075  
Use the same number for FTS

Cleveland District Office  
1111 Superior Avenue, Suite 630  
Cleveland, OH 44114-2507  
(216) 522-4180  
Use the same number for FTS

Wisconsin District-Madison Office  
740 Regent Street, Suite 100  
Madison, WI 53715  
(608) 264-5263  
Use the same number for FTS

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)  
Federal Building  
500 West Madison Street, Suite 1240  
Chicago, IL 60661-2511  
(312) 353-0357  
Use the same number for FTS

## Region VI

Wichita District Office

100 East English Street, Suite 510  
Wichita, KS 67202  
(316) 269-6616  
Use the same number for FTS

Corpus Christi Branch Office  
606 N. Carancahua, Suite 1200  
Corpus Christi, TX 78476  
(361) 888-3331

Arkansas District Office  
2120 Riverfront Drive, Suite 100  
Little Rock, AR 72202  
(501) 324-5871  
Use the same number for FTS

Springfield Branch Office  
620 S. Glenstone Street, Suite 110  
Springfield, MO 65802  
(417) 864-7670

Region VII  
Des Moines District Office  
New Federal Building  
210 Walnut Street, Room 749  
Des Moines, IA 50309  
(515) 284-4422  
Use the same number for FTS

San Antonio District Office  
727 East Durango, Room A-527  
San Antonio, TX 78206  
(210) 472-5900  
Use the same number for FTS

Cedar Rapids District Office  
215 4th Avenue, S.E., Suite 200  
Cedar Rapids, IA 52401-1806  
(319) 362-6405  
Use the same number for FTS

New Mexico District Office  
625 Silver Avenue, S.W., Suite 320  
Albuquerque, NM 87102  
(505) 346-7909  
Use the same number for FTS

Houston District Office  
9301 Southwest Freeway, Suite 550  
Houston, TX 77074-1591  
(713) 773-6500  
Use the same number for FTS

Louisiana District Office  
365 Canal Street, Suite 2250  
New Orleans, LA 70130  
(504) 589-6685  
Use the same number for FTS

El Paso District Office  
10737 Gateway West, Suite 320  
El Paso, TX 79935  
(915) 633-7001  
Use the same number for FTS

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)  
4300 Amon Carter Boulevard, Suite 108  
Ft. Worth, TX 76155  
(817) 885-6581  
Use the same number for FTS

Oklahoma District Office  
210 Park Avenue, Suite 1300  
Oklahoma City, OK 73102  
(405) 231-5521  
Use the same number for FTS

Dallas/Fort Worth District Office  
4300 Amon Center Boulevard, Suite 114  
Ft. Worth, TX 76155  
(817) 885-6500  
Use the same number for FTS

Lower Rio Grande Valley District Office  
222 East Van Buren Street, Room 500  
Harlingen, TX 78550  
(956) 427-8533  
Use the same number for FTS

Nebraska District Office  
11145 Mill Valley Road  
Omaha, NE 68154  
(402) 221-4691  
Use the same number for FTS

Kansas City District Office  
323 West 8th Street, Suite 501  
Kansas City, MO 64105  
(816) 374-6708  
Use the same number for FTS

Lubbock District Office  
1205 Texas Avenue  
Lubbock, TX 79401-2693  
(806) 472-7462  
Use the same number for FTS

St. Louis District Office  
815 Olive Street, Room 242  
St. Louis, MO 63101  
(314) 539-6600  
Use the same number for FTS

## Region VII

(Iowa, Kansas, Missouri, Nebraska)  
323 West 8th Street, Suite 307  
Kansas City, MO 64105-1500  
(816) 374-6380  
Use the same number for FTS

## Region VIII

Montana District Office  
301 South Park, Room 334  
Helena, MT 59626  
(406) 441-1081  
Use the same number for FTS

Utah District Office  
Federal Building  
125 South State Street, Room 2231  
Salt Lake City, UT 84138-1195  
(801) 524-5804  
Use the same number for FTS

(Colorado, Montana, North Dakota, South Dakota,  
Utah, Wyoming)  
721 19th Street, Suite 400  
Denver, CO 80202-2599  
(303) 844-0500  
Use the same number for FTS



# Appendix IV: Agency Regional and Local Office Addresses

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Wyoming District Office  
Federal Building  
100 East B Street, Room 4001  
Casper, WY 82602-2839  
(307) 261-6500  
Use the same number for FTS

North Dakota District Office  
Federal Building  
657 2nd Avenue, North, Room 219  
Fargo, ND 58108-3086  
(701) 239-5131  
Use the same number for FTS

South Dakota District Office  
110 South Phillips Avenue, Suite 200  
Sioux Falls, SD 57104-6727  
(605) 330-4243  
Use the same number for FTS

Coloradom District Office  
721 19th Street, Room 426  
Denver, CO 80202-2599  
(303) 844-2607  
Use the same number for FTS

## Region X

Boise District Office  
1020 Main Street, Suite 290  
Boise, ID 83702-5745  
(208) 334-1696  
Use the same number for FTS

(Alaska, Idaho, Oregon, Washington)  
1200 6th Avenue, Suite 1805  
Seattle, WA 98101-1128  
(206) 553-5676  
Use the same number for FTS

Spokane District Office  
801 West Riverside Avenue, Suite 200  
Spokane, WA 99201-0901  
(509) 353-2809  
Use the same number for FTS

Alaska District Office  
222 West 8th Avenue, Room A36  
Anchorage, AK 99513-7559  
(907) 271-4022  
Use the same number for FTS

Portland District Office  
1515 S.W. Fifth Avenue, Suite 1050  
Portland, OR 97201-5494  
(503) 326-2682  
Use the same number for FTS

Seattle District Office  
1200 6th Avenue, Suite 1700  
Seattle, WA 98101-1128  
(206) 553-7310  
Use the same number for FTS

## DEPARTMENT OF VETERANS AFFAIRS

### NATIONAL CEMETERY SYSTEM

---

Robert A. Wilk, Director  
National Cemetery Area Office

730 Peachtree Street, N.E.  
Atlanta, GA 30365  
(404) 347-2121  
Mr. Dan Banz, Supervisor  
Memorial Programs Processing Site  
Fort Leavenworth National Cemetery  
395 Biddle Boulevard  
Ft. Leavenworth, KS 66077-2307

Ms. Gina White, Supervisor  
Memorial Programs Processing Site  
Department of Veterans Affairs (403A2)  
National Cemetery Administration  
810 Vermont Avenue, N.W.  
Washington, DC 20420  
(202) 565-4257

Mr. Don Murphy, Supervisor  
Memorial Programs Processing Site  
Nashville National Cemetery  
1420 Gallatin Road  
Madison, TN 37115-4619  
(615) 736-2840

Patrick J. Gartland, Director  
National Cemetery Area Office  
P.O. Box 11720  
Philadelphia, PA 19101  
(215) 381-3787

Thomas G. Balsanek, Director  
National Cemetery Area Office  
P.O. Box 25126  
Denver, CO 80225  
(303) 914-5700

Mr. Wayne A. Simpson, Chief  
Centralized Contracting Division  
5101 Russell Road  
Quantico, VA 22134-3903  
(703) 441-3088

Mr. James Flanagan, Supervisor  
Memorial Programs Processing Site  
Indiantown Gap National Cemetery  
R.R. #2  
P.O. Box 484A  
Annville, PA 17003-9618

## VA HEALTH ADMINISTRATION CENTER

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### VETERANS MEDICAL FACILITIES

#### Alabama

VA Central Alabama Health Care System  
215 Perry Hill Road  
Montgomery, AL 36109-3798  
(334) 272-4670  
(700) 228-4115 FTS

VA Central Alabama Health Care System  
Kenneth Rufe, Acting Director  
Tuskegee, AL 36083  
(304) 727-0550  
FTS (700) 534-3550

Kenneth Ruyle, Director Acting  
Tuscaloosa, AL 35404  
(205) 554-2000

(700) 228-2760 FTS  
Y.C. Paris, Director  
700 South 19th Street  
Birmingham, AL 35233  
(205) 933-8101  
(700) 534-6581 FTS

#### Alaska

Alex Spector  
VA Medical/Regional Office Center  
235 East 8th Avenue  
Anchorage, AK 99508-2989  
(907) 257-4700

#### Arizona

Patricia McKlem, Director  
Prescott, AZ 86313-5000  
(520) 445-4860  
(700) 768-7000 FTS

Jonathan Gardner, Director  
Tucson, AZ 85723-0001  
(520) 792-1450  
(700) 765-1450 FTS

John R. Fears, Director  
7th Street at Indian School Road  
Phoenix, AZ 85012  
(602) 277-5551  
(700) 761-7000 FTS

#### Arkansas

Richard Robinson  
Fayetteville, AR 72703  
(501) 443-4301  
(700) 742-5555 FTS

George "Buzz" Gray, Jr., Director  
300 East Roosevelt Road  
Little Rock, AR 72205  
(501) 660-1202  
FTS (700) 742-2100

#### California

Brian O'Neill, MD., Acting  
Northern CA Health Care System  
2800 Contra Costa Boulevard  
Pleasant Hill, CA 94523-3961  
(510) 372-2000  
(700) 454-2000 FTS

Vacant  
VA Southern California System of Clinics West  
Los Angeles HCS  
Sepulveda, CA 91343-2099  
(818) 891-7711  
(818) 891-7711 FTS

Vacant  
VA Southern California System of Clinics West  
Los Angeles HCS  
11301 Wilshire Boulevard  
West Los Angeles, CA 90073-1002  
(310) 478-3711  
(700) 748-3711 FTS

Lawrence Stewart, Director  
5901 East Seventh Street

# Appendix IV: Agency Regional and Local Office Addresses

Long Beach, CA 90822-5201  
(310) 494-2611  
(700) 966-2611 FTS

James Goff, Director  
VA Palo Alto Health Care system  
Livermore Division  
Palo Alto Division  
Livermore, CA 94550  
(510) 447-2560  
(700) 467-6489 FTS

Alan S. Perry  
2615 East Clinton Avenue  
Fresno, CA 93703-2223  
(209) 225-6100  
FTS (700) 466-5000

Dean R. Stordahl, Director  
11201 Benton Street  
Loma Linda, CA 90822-5201  
(909) 825-7084  
(700) 996-2811 FTS

Sheila M. Cullen  
4150 Clement Street  
San Francisco, CA 94121-1598  
(415) 221-4810  
(415) 221-4810 FTS

James Goff, Director  
VA Palo Alto Health Care System  
Livermore Division  
Palo Alto Division  
3801 Miranda Avenue  
Palo Alto, CA 94304-1207  
(415) 493-5000  
FTS (700) 463-5000

Gary Rossio  
3350 La Jolla Village Drive  
San Diego, CA 92161-0001  
(619) 552-8585  
(700) 897-3100 FTS

## Colorado

Stuart Collyer, Director  
Fort Lyon, CO 81038-5000  
(719) 384-3100

Edgar Thorsland, Jr., Director  
1055 Clermont Street  
Denver, CO 80220-0166  
(303) 399-8020  
(700) 322-3020 FTS

Kurt Schlegelmich, MD, Director  
Grand Junction, CO 81501-6499  
(303) 242-0731  
(700) 322-0031 FTS

## Connecticut

Paul McCool  
VA Connecticut Health Care System  
Newington Division  
West Haven Division  
West Spring Street  
West Haven, CT 06516  
(203) 932-5711

(700) 428-3811 FTS  
Paul McCool  
VA Connecticut Health Care System  
Newington Division  
West Haven Division  
55 Willard Avenue  
Newington, CT 06111  
(860) 666-6951  
(700) 643-1631 FTS

## Delaware

Dexter Dix, Director  
1601 Kirkwood Highway  
Wilmington, DE 19805  
(302) 994-2511  
(700) 487-5598 FTS

## District of Columbia

Sanford M. Garfunkel  
50 Irving Street, N.W.  
Washington, DC 20422  
(202) 745-8000  
(700) 921-8000 FTS

## Florida

ZEdward H. Seiler  
West Palm Beach, FL 33420-3207  
(561) 882-6700  
(561) 882-6700 FTS

Thomas N. Weaver, Director  
Bay Pines, FL 33744  
(813) 398-6661  
(700) 826-4011 FTS

VA North Florida and South Georgia HCS  
Elwood Headley, MD., Director  
Archer Road  
Gainesville, FL 32608-1197  
(325) 376-1611  
(700) 947-6113 FTS

Eldwood Headley, MD  
Lake City, FL 32055-5898  
(904) 755-3016  
(700) 947-2400 FTS

Thomas C. Doherty, Director  
1201 N.W. 16th Street  
Miami, FL 33125  
(305) 324-4455  
(700) 351-3111 FTS

Richard A. Silver  
Bruce B. Downs Boulevard  
Tampa, FL 33612  
(813) 972-2000  
(700) 822-6011 FTS

## Georgia

Ellen DeGeorge-Smith  
2460 Wrightsboro Road  
Augusta, GA 30904-6285  
(706) 733-0188  
(700) 251-7000 FTS

James Trusley  
2460 Wrightsboro Road

Dublin, GA 31021  
(912) 272-1210  
(700) 258-2000

Robert Perrault, Director  
1670 Clairmont Road  
Atlanta, GA 30033  
(404) 321-6111  
FTS (700) 248-6000

## Idaho

Wayne C. Tippetts  
Fifth and Fort Streets  
Boise, ID 83702-4598  
(208) 336-5100  
(700) 442-1000 FTS

## Illinois

Indianapolis  
Robert H. Sasin, Acting Director  
1481 West 10th Street  
Indianapolis, IN 46202-2884  
(317) 635-7401  
(700) 332-2901 FTS

VA Chicago Health Care System  
Vacant  
333 East Huron Street  
Chicago, IL 60611  
(312) 943-6600  
(312) 943-6600 FTS

James Jones, Director  
Danville, IL 61832-5198  
(217) 442-8000  
(700) 951-4000 FTS

John J. DeNardo, Director  
Hines, IL 60141-5000  
(708) 343-7200  
(700) 381-2500 FTS

VA Chicago Health Care System  
Vacant  
820 South Damen Avenue  
Chicago, IL 60612  
(312) 666-6500  
(700) 388-2000 FTS

Alfred S. Pate, Director  
North Chicago, IL 60064  
(847) 688-1900  
(700) 384-4700 FTS

Michael W. Murphy, Ph.D., Director  
VA Northern Indiana Health Care System  
1600 Randallia Drive  
Fort Wayne, IN 46805-5100  
(219) 426-5431  
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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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## **VETERANS BENEFITS ADMINISTRATION**

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NATIONAL MINE HEALTH AND SAFETY  
ACADEMY

## **Alabama**

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VA Regional Office  
Oakland Federal Building  
1301 Clay Street  
Oakland, CA 94612-5209

VA Regional Office  
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# Appendix IV: Agency Regional and Local Office Addresses

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VA Regional Office  
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VA Medical and Regional Office Center

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## Maryland

VA Regional Office  
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## Massachusetts

VA Regional Office  
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VA Office  
344 West Genesee Street  
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VA Regional Office  
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Buffalo, NY 14202-2368

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## Oregon

# Appendix IV: Agency Regional and Local Office Addresses

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VA Regional Office  
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## **Philippines**

VA Regional Office & Outpatient Clinic  
Manila Regional Office  
FPO, AP 96515-1100

## **Puerto Rico**

VA Regional Office  
U.S. Courthouse and Federal Building  
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## **Rhode Island**

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## **South Carolina**

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## **South Dakota**

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## **Tennessee**

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## **Texas**

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VA Office  
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VA Office  
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VA Regional Office  
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The Veterans Benefits Administration provides toll-free telephone service throughout the 50 States, Washington, DC and Puerto Rico. The toll-free telephone number is (800) 827-1000.

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## Appendix IV: Agency Regional and Local Office Addresses

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## Appendix IV: Agency Regional and Local Office Addresses

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## Missouri

John J. McDonald, Director  
801 Walnut Street, Suite 504  
Kansas City, MO 64106-2009  
(816) 374-6300  
(816) 374-6305 FAX

## Montana

Junn Allen, Director  
Capitol One Center  
208 North Montana Avenue, Suite 206  
Helena, MT 59601-3837  
(406) 449-5404  
(406) 449-5412 FAX

## Nebraska

Anne C. Johnson, Director  
Federal Building, Room 156  
100 Centennial Mall North  
Lincoln, NE 68508-3896  
(402) 437-5493  
(402) 437-5495 FAX

## Nevada

Craig Warner, Director  
4600 Kietzke Lane, Suite E-141  
Reno, NV 89502-5033  
(702) 784-5314  
(702) 784-5026 FAX

## New Hampshire (ME and VT)

# Appendix IV: Agency Regional and Local Office Addresses

Mal Coles, Acting Director  
1 Pillsbury Street, Suite 201  
Concord, NH 03301-3556  
(603) 225-1450  
(603) 225-1459 FAX

## New Jersey

Stanley Gorland, Director  
44 South Clinton Avenue, Room 702  
Trenton, NJ 08609-1507  
(609) 989-2243  
(609) 989-2304 FAX

## New Mexico

Ernesto Ramos, Director  
120 S. Federal Place, Room 315  
Santa Fe, NM 87501-2026  
(505) 988-6577  
(505) 988-6661 FAX

## New York

Donna Smith, Director  
Leo O'Brien Federal Building  
Room 818, Clinton Avenue and Pearl Street  
Albany, NY 12207  
(518) 431-4150  
(518) 431-4154 FAX

## North Carolina

Robert L. Winston, Director  
300 Fayetteville Street Mall, Room 131  
Raleigh, NC 27601-1739  
(919) 856-4731  
(919) 856-4738 FAX

## North Central Cluster

(IA,IL,IN,MI,MN,NE,ND,OH,SD,WI)  
Mary Lubertozzi, Director  
77 West Jackson Boulevard, Suite 442  
Chicago, IL 60604-3511  
(312) 353-7705  
(312) 353-5343 FAX

## North Dakota (and SD)

John Pohlman, Director  
225 S. Pierre Street, Room 225  
Pierre, SD 57501-2452  
(605) 224-5996  
(605) 224-9201 FAX

## Ohio

Paul Schrader, Director  
51 North High Street, Suite 451  
Columbus, OH 43215  
(614) 469-7441  
(614) 469-2125 FAX

## Oklahoma

H. Zeke Rodriguez, Director  
215 Dean A. McGee, Suite 324  
Oklahoma City, OK 73102  
(405) 231-5201  
(405) 231-4329 FAX

## Oregon

Robin Sutherland, Director

2010 Lloyd Center  
Portland, OR 97232  
(503) 231-2103  
(503) 231-2106 FAX

## Pacific Cluster

(AK,CA,HI,ID,MT,NV,OR,UT,WA,WY)  
Lee Spencer, Director  
P.O. Box 29996  
Presidio of San Francisco, CA 94129-0996  
(415) 561-5960  
(415) 561-5970 FAX

## Pennsylvania

Jorina Ahmed, Director  
Robert Nic Nix Federal Building  
900 Market Street, Suite 229  
Philadelphia, PA 19107  
(215) 597-2806  
(215) 597-2807 FAX

## Puerto Rico/Virgin Island

Loretta de Cordova, Director  
U.S. Federal Building, Suite 662  
150 Carlos Chardon Avenue  
Hato Rey, PR 00918-1737  
(787) 766-5314  
(787) 766-5189 FAX

## Rhode Island

Vincent Marzullo, Director  
400 Westminister Street, Room 203  
Providence, RI 02903  
(401) 528-5424  
(401) 528-5220 FAX

## South Carolina

Jerome J. Davis, Director  
1835 Assembly Street, Suite 872  
Columbia, SC 29201-2430  
(803) 765-5771  
(803) 765-5777 FAX

## South Dakota (and ND)

John Pohlman, Director  
225 S. Pierre Street, Room 225  
Pierre, SD 57501-2452  
(605) 224-5996  
(605) 224-9201 FAX

## Southern Cluster

(AL,DC,FL,GA,KY,MS,NC,SC,TN,VA,WV)  
Harold Williams, Director  
60 Forsyth Street, SW, Suite 3M40  
Atlanta, GA 30323-2301  
(404) 562-4055  
(404) 562-4071 FAX

## Southeast Cluster

(AR,AZ,CO,KS,LS,MO,NM,OK,TX)  
James Parker, Director  
1999 Bryan Street, Room 2050  
Dallas, TX 75201  
(214) 880-7050  
(214) 880-7074 FAX

## Tennessee

Jerry Herman, Director  
265 Cumberland Bend Drive  
Nashville, TN 37228  
(615) 736-5561  
(615) 736-7937 FAX

## Texas

Jerry G. Thompson, Director  
903 San Jacinto, Suite 130  
Austin, TX 78701-3747  
(512) 916-5671  
(512) 916-5806 FAX

## Utah

Rick Crawford, Director  
350 South Main Street, Room 504  
Salt Lake City, UT 84101-2198  
(801) 524-5411  
(801) 524-3599 FAX

## Vermont (ME and NH)

Mal Coles, Director  
10 Causeway Street, Room 473  
Boston, MA 02222-1038  
(617) 565-7001  
(617) 565-7011 FAX

## Virginia (and DC)

Thomas Harmon, Director  
400 North 8th Street, Suite 446  
P.O. Box 10066  
Richmond, VA 23240-1832  
(804) 771-2197  
(804) 771-2157 FAX

## Washington

John Miller, Director  
Jackson Federal Building, Suite 3190  
915 Second Avenue  
Seattle, WA 98174-1103  
(206) 220-7745  
(206) 553-4415 FAX

## West Virginia

Judith Russell, Director  
10 Hale Street, Suite 203  
Charleston, WV 25301-1409  
(304) 347-5246  
(304) 347-5464 FAX

## Wisconsin

Linda Sunde, Director  
Henry Reuss Federal Plaza  
310 W. Wisconsin Avenue, Room 1240  
Milwaukee, WI 53203-2211  
(414) 297-1118  
(414) 297-1863 FAX

## Wyoming

Patrick Gallizzi, Director  
Federal Building, Room 1110  
2120 Capitol Avenue  
Cheyenne, WY 82001-3649  
(307) 772-2385

# Appendix IV: Agency Regional and Local Office Addresses

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(307) 772-2389 FAX

## **SOCIAL SECURITY ADMINISTRATION**

Social security offices are located throughout cities and towns in the United States. There are approximately 1,296 district and branch offices now open. To find the address of the office near you, consult the telephone directory under Social Security Adm

## **DEPARTMENT OF HOMELAND SECURITY**

### **Region I**

(Boston)  
Kenneth L. Horak  
Acting Regional Director  
99 High Street  
6th Floor  
Boston, MA 02110  
(617) 223-9540

### **Region II**

(New York)  
Joseph Picciano, Acting Regional Director  
26 Federal Plaza, Suite 1307  
New York, NY 10278-0002  
(212) 680-3600

### **Region III**

(Philadelphia)  
Patricia G. Arcuri,  
Acting Regional Director  
FEMA Region III  
615 Chestnut Street  
Philadelphia, PA 19106  
(215) 931-5608

### **Region IV**

(Atlanta)  
Kenneth O. Burris, Jr.,  
Regional Director,  
FEMA Region IV  
3003 Chamblee-Tucker Rd.  
Atlanta, GA 30341  
(770) 220-5200

### **Region IX**

(Oakland)  
Jeff Griffin  
Regional Director,  
FEMA Region IX  
1111 Broadway, Suite 1200  
Oakland, CA 94607  
(510) 627-7100

### **Region V**

(Chicago)  
Edward G. Buikema,  
Regional Director  
FEMA Region V  
536 S. Clark Street  
Chicago, IL 60605  
(312) 408-5500

### **Region VI**

(Dallas)  
Ron Castleman  
Regional Director  
Federal Regional Center  
800 North Loop 288  
Denton, TX 76201-3698  
(940) 898-5399

### **Region VII**

(Kansas City)  
Richard Hainje,  
Regional Director,  
FEMA Region VII  
2323 Grand Boulevard, Suite 900  
Kansas City, MO 64108-2670  
(816) 283-7061

### **Region VIII**

(Denver)  
David Maurstad,  
Regional Director,  
FEMA Region VIII  
Denver Federal Center, Building 710, Box 25267  
Denver, CO 80225-0267  
(303) 235-4800

### **Region X**

(Seattle)  
John Pennington,  
Regional Director,  
FEMA Region X  
Federal Regional Center  
130-228th Street, S.W.  
Bothell, WA 98021-9796  
(425) 487-4600



# APPENDIX V: SOURCES OF ADDITIONAL INFORMATION

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Additional information concerning Federal programs and services is available from the sources listed below. The information in this Appendix is in addition to that supplied in Appendix IV (Regional and Local Office Addresses) however; they are not the offices to which an applicant applies for an assistance program. If a potential applicant or information seeker is not certain which agency to contact, there are two types of organizations set up to help: The Federal Information Center Program and the Federal Executive Boards.

## FEDERAL CITIZEN INFORMATION CENTER PROGRAM

The Federal Citizen Information Center Program (FCIC) is a focal point for information about the Federal government. The FCIC assists people who have questions about Federal agencies, services, and programs, but do not know where to turn for an answer. FCIC information specialists either answer an inquirer's question directly, or perform the necessary research to locate and refer the inquirer to the expert best able to help. Telephone users may call the FCIC toll-free on (800) 688-9889 workdays between 9 a.m. and 8 p.m., Eastern Time. TTY users may call toll-free to the FCIC from anywhere in the U.S. by dialing (800) 326-2996.

## FEDERAL EXECUTIVE BOARDS

Federal Executive Boards (FEBs) are composed of heads of Federal field offices in the metropolitan area. The FEBs were established to improve internal Federal management practices, provide a central focus for Federal participation in civic affairs in major metropolitan centers of Federal activity, serve as a means for disseminating information within the Federal government and for promoting discussion of Federal policies and activities of importance to all Federal executives in the field. The FEBs carry out their functions under the supervision of the Office of Personnel Management (OPM). Federal Executive Associations, and Councils, have been locally organized in over 80 other metropolitan areas to perform functions similar to the Federal Executive Boards but on a lesser scale of organization and activity. For further information, contact the Assistant for Field Operations, Office of Personnel Management, Room 5524, 1900 E Street, NW., Washington, DC 20415-0001. Telephone: (202) 6061001.

### Albuquerque-Santa Fe, NM

(505) 262-6113

### Atlanta, GA

(404) 331-4400

### Baltimore, MD

(410) 962-4047

### Boston, MA

(617) 565-6769

### Buffalo, NY

(716) 551-5655

### Chicago, IL

(312) 353-6790

### Cincinnati, OH

(513) 684-2102

### Cleveland, OH

(216) 433-9460

### Dallas-Ft. Worth, TX

(214) 767-0767

### Denver, CO

(303) 676-7009

### Detroit, MI

(313) 226-3534

### Honolulu, HI

(808) 541-2637

### Houston, TX

(713) 209-4524

### Kansas City, MO

(913) 551-7100

### Los Angeles, CA

(562) 980-3445

### Miami, FL

(305) 536-4344

### New Orleans, LA

(504) 862-2066

### New York, NY

(212) 264-1890

### Newark, NJ

(973) 645-6217

### Oklahoma City, OK

(405) 231-4167

### Philadelphia, PA

(215) 597-2766

### Pittsburgh, PA

(412) 395-6607

### Portland, OR

(503) 326-2060

### St. Louis, MO

(314) 539-6312

### San Antonio, TX

(210) 229-4520

### San Francisco, CA

(510) 637-1103

### Seattle, WA

(206) 220-6171

### Twin Cities (Minneapolis-St. Paul), MN

(612) 725-3687

## U.S. GOVERNMENT BOOKSTORES

The Catalog of Federal Domestic Assistance may be purchased at any of the following 24 U.S. Government Bookstores. The price is \$80.00 per domestic subscription. An order for the Catalog must be accompanied by a check or money order made payable to the Superintendent of Documents. Payments may also be made using VISA, MasterCard, and Superintendent of Documents deposit account orders. All stores (except in Kansas City) are open Monday through Friday. The Kansas City location is open 7 days a week. (See Subscription Order Form in the back of the Catalog.) Contact the U.S. Government Bookstore nearest to you for more information.

**ATLANTA, GA**  
First Union Plaza  
999 Peachtree Street, NE  
Suite 120  
Atlanta, GA 30309-3964  
(404) 347-1900  
FAX (404) 347-1897

**BIRMINGHAM, AL**  
O'Neill Building  
2021 Third Avenue North  
Birmingham, AL 35203  
(205) 731-1056  
FAX (205) 731-3444

**BOSTON, MA**  
Thomas P. O'Neill Building  
10 Causeway Street  
Room 169  
Boston, MA 02222  
(617) 720-4180  
FAX (617) 720-5753

**CHICAGO, IL**  
One Congress Center  
401 South State Street  
Suite 124  
Chicago, IL 60605  
(312) 353-5133  
FAX (312) 353-1590

**CLEVELAND, OH**  
1240 E. 9th Street  
Room 1653, Federal Building  
Cleveland, OH 44199  
(216) 522-4922  
FAX (216) 522-4714

**COLUMBUS, OH**  
200 N. High Street  
Room 207, Federal Building  
Columbus, OH 43215  
(614) 469-6956  
FAX (614) 469-5374

**DALLAS, TX**  
1100 Commerce Street  
Room 1C50, Federal Building  
Dallas, TX 75242  
(214) 767-0076  
FAX (214) 767-3239

**DENVER, CO**  
1660 Wynkoop Street  
Suite 130  
Denver, CO 80202  
(303) 844-3964  
FAX (303) 844-4000

**DETROIT, MI**  
477 Michigan Avenue  
Suite 160, Federal Building  
Detroit, MI 48226  
(313) 226-7816  
FAX (313) 226-4698

**HOUSTON, TX**  
Texas Crude Building  
801 Travis Street

Suite 120  
Houston, TX 77002  
(713) 228-1187  
FAX (713) 228-1186

**JACKSONVILLE, FL**  
100 West Bay Street  
Suite 100  
Jacksonville, FL 32202  
(904) 353-0569  
FAX (904) 353-1280

**KANSAS CITY, MO**  
120 Bannister Mall  
5600 E. Bannister Road  
Kansas City, MO 64137  
(816) 765-2256  
FAX (816) 767-8233

**LAUREL, MD**  
Warehouse Sales Outlet  
8660 Cherry Lane  
Laurel, MD 20707  
(301) 953-7974 or (301) 792-0262  
FAX (301) 498-9109

**LOS ANGELES, CA**  
ARCO Plaza, C-Level  
505 S. Flower Street  
Los Angeles, CA 90071  
(213) 239-9844  
FAX (213) 239-9848

**MILWAUKEE, WI**  
310 W. Wisconsin Avenue  
Suite 150, Reuss Federal Building  
Milwaukee, WI 53203  
(414) 297-1304  
FAX (414) 297-1300

**NEW YORK, NY**  
26 Federal Plaza  
Room 1-120, Federal Building  
New York, NY 10278  
(212) 264-3825  
FAX (212) 264-9318

**PHILADELPHIA, PA**  
Robert Morris Building  
100 North 17th Street  
Philadelphia, PA 19103  
(215) 636-1900  
FAX (215) 636-1903

**PITTSBURGH, PA**  
1000 Liberty Avenue  
Room 118, Federal Building  
Pittsburgh, PA 15222  
(412) 395-5021  
FAX (412) 395-4547

**PORTLAND, OR**  
1305 SW First Avenue  
Portland, OR 97201-5801  
(503) 221-6217  
FAX (503) 225-0563

**PUEBLO, CO**  
Norwest Bank Building

201 West 8th Street  
Pueblo, CO 81003  
(719) 544-3142  
FAX (719) 544-6719

#### **SAN FRANCISCO, CA**

303 2nd Street  
Marathon Plaza, Room 141-S  
San Francisco, CA 94107  
(415) 512-2270  
FAX (415) 512-2276

#### **SEATTLE, WA**

915 Second Avenue  
Room 194, Federal Building  
Seattle, WA 98174  
(206) 553-4270  
FAX (206) 553-6717

#### **WASHINGTON, DC**

U.S. Government Printing Office  
710 North Capitol Street, NW  
Washington, DC 20401  
(202) 512-0132  
FAX (202) 512-1355

510 H Street, NW  
Washington, DC 20005  
(202) 653-5075  
FAX (202) 376-5055

#### **REFERENCE SOURCES**

##### **The Budget of the United States Government**

The Budget of the United States Government sets forth the President's comprehensive financial plan and indicates the President's priorities for the Federal government.

Information on programs by function, agency, and account, and detailed budget estimates is located in the Budget. Federal programs listed in the Catalog may be identified by the 11-digit budget account identification code listed in the Budget. These codes also appear in the Financial Information section of each Catalog program. A complete explanation of the identification code is provided in Appendix III of the Catalog (the Budget Functional Code Appendix). The Budget may be purchased from the Government Printing Office in the Washington, DC area and the U.S. Government bookstores listed in this Appendix.

##### **The Code of Federal Regulations**

The Code of Federal Regulations (CFR) is a codification of the general and permanent rules published in the Federal Register by executive departments and agencies of the Federal government. It includes all statutory regulations of Federal agencies, and is divided into 50 titles, which represent broad subject areas of Federal regulations (e.g., Housing and Urban Development, Public Health, Public Welfare, or Transportation). Each title is divided into chapters, which usually bear the name of the issuing agency. Each chapter is further subdivided into parts covering specific regulatory areas. The number preceding the CFR citation is the title or volume number. The CFR is kept up-to-date by the individual issues of the Federal Register; these two publications must be used together to determine the latest version of any given rule. Individual volumes of the CFR are revised at least once each calendar year and issued on a staggered quarterly basis. The CFR thus serves as a convenient reference for the citizen desiring a comprehensive source for general and permanent Federal regulations.

A General index to the entire Code of Federal Regulations, the CFR Index, is revised as of July 1 each year. The numerical Finding Aids, a cumulative list of CFR Sections affected is published monthly and is cumulated for 12 months, keyed to the revision dates of the various CFR volumes.

The Code of Federal Regulations is available in Federal depository libraries and most major libraries or Federal bookstores. Individual copies may be purchased from the Government Printing Office.

##### **The Federal Register**

The Federal Register, published daily, is the medium for making available to the public Federal agency regulations and other legal documents of the Executive Branch. These documents cover a wide range of government activities. Here, government requirements are published which involve environmental protection, consumer product safety, food and drug standards, occupational health and safety, and many more areas of concern to the public.

The Federal Register includes proposed changes in regulated areas. Each proposed change published carries an invitation for any citizen or group to participate in the consideration of the proposed regulation through the submission of written data, views, or arguments, and sometimes by oral presentations. Through the publication of proposed rules and notices of public meetings, citizens are given the opportunity to be informed about and participate in the workings of their government.

The Federal Register is also a vehicle for the announcement of newly authorized and/or funded programs, notifications of funding availability, (NOFAs), program application deadlines, and other important program information. The Federal Register Index is based on a consolidation of entries appearing in the issues of the Federal Register together with broad references. It is published monthly and is cumulative for 12 months. The Federal Register and the Federal Register Index are available in Federal depository libraries and most major libraries or Federal bookstores. Additional Federal Register resources include, the Statistical Abstract of the United States; Weekly Compilation of Presidential Documents; The Federal Register: What It Is and How To Use It. All Federal Register publications may be purchased from: Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

##### **Information Resources for Legislative Research and Inquiry**

Senate Document Room: (202) 224-7701  
House Document Room: (202) 225-3456  
Government Printing Office Order Desk: (202) 512-1800  
Federal Register Inquiry Desk: (202) 523-5215

The following World Wide Web Sites provide valuable additional information:

Senate: <http://www.senate.gov/>  
House of Representatives: <http://www.house.gov/>  
Library of Congress: <http://thomas.loc.gov/>  
Government Printing Office: <http://www.gpo.gov/>  
Office of Management and Budget: <http://www.whitehouse.gov/omb/>

Additional resources available from GPO are: House and Senate Calendars (Monday edition only), How Our Laws Are Made, Digest of Public General Bills and Resolutions, United States Government Manual, Monthly Catalog of United States Government Publications. Stock numbers and prices of these publications can be obtained by calling or writing the GPO. To order or inquire about congressional documents from GPO, call: (202) 512-2465. To order or inquire about any other government publications, call the Order Desk: (202) 512-1800.

# APPENDIX VI: DEVELOPING AND WRITING GRANT PROPOSALS

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## PART ONE: DEVELOPING A GRANT PROPOSAL

### Preparation

A successful grant proposal is one that is well-prepared, thoughtfully planned, and concisely packaged. The potential applicant should become familiar with all of the pertinent program criteria related to the Catalog program from which assistance is sought. Refer to the information contact person listed in the Catalog program description before developing a proposal to obtain information such as whether funding is available, when applicable deadlines occur, and the process used by the grantor agency for accepting applications. Applicants should remember that the basic requirements, application forms, information and procedures vary with the Federal agency making the grant award. Individuals without prior grant proposal writing experience may find it useful to attend a grantsmanship workshop. A workshop can amplify the basic information presented here. Applicants interested in additional readings on grantsmanship and proposal development should consult the references listed at the end of this section and explore other library resources.

### INITIAL PROPOSAL DEVELOPMENT

#### Developing Ideas for the Proposal

When developing an idea for a proposal it is important to determine if the idea has been considered in the applicant's locality or State. A careful check should be made with legislators and area government agencies and related public and private agencies which may currently have grant awards or contracts to do similar work. If a similar program already exists, the applicant may need to reconsider submitting the proposed project, particularly if duplication of effort is perceived. If significant differences or improvements in the proposed project's goals can be clearly established, it may be worthwhile to pursue Federal assistance.

#### Community Support

Community support for most proposals is essential. Once proposal summary is developed, look for individuals or groups representing academic, political, professional, and lay organizations which may be willing to support the proposal in writing. The type and caliber of community support is critical in the initial and subsequent review phases. Numerous letters of support can be persuasive to a grantor agency. Do not overlook support from local government agencies and public officials. Letters of endorsement detailing exact areas of project sanction and commitment are often requested as part of a proposal to a Federal agency. Several months may be required to develop letters of endorsement since something of value (e.g., buildings, staff, services) is sometimes negotiated between the parties involved.

Many agencies require, in writing, affiliation agreements (a mutual agreement to share services between agencies) and building space commitments prior to either grant approval or award. A useful method of generating community support may be to hold meetings with the top decision makers in the community who would be concerned with the subject matter of the proposal. The forum for discussion may include a query into the merits of the proposal, development of a contract of support for the proposal, to generate data in support of the proposal, or development of a strategy to create proposal support from a large number of community groups.

#### Identification of a Funding Resource

A review of the Objectives and Uses and Use Restrictions sections of the Catalog program description can point out which programs might provide funding for an idea. Do not overlook the related programs as potential resources. Both the applicant and the grantor agency should have the same interests, intentions, and needs if a proposal is to be considered an acceptable candidate for funding.

Once a potential grantor agency is identified, call the contact telephone number identified in Information Contacts and ask for a grant application kit. Later, get to know some of the grantor agency personnel. Ask for suggestions, criticisms, and advice about the proposed project. In many cases, the more agency personnel know about the proposal, the better the chance of support and of an eventual favorable decision. Sometimes it is useful to send the proposal summary to a specific agency official in a separate cover letter, and ask for review and comment at the earliest possible convenience. Always check with the Federal agency to determine its preference if this approach is under consideration. If the review is unfavorable and differences cannot be resolved, ask the examining agency (official) to suggest another department or agency which may be interested in the proposal. A personal visit to the agency's regional office or headquarters is also important. A visit not only establishes face-to-face contact, but also may bring out some essential details about the proposal or help secure literature and references from the agency's library.

Federal agencies are required to report funding information as funds are approved, increased or decreased among projects within a given State depending on the type of required reporting. Also, consider reviewing the Federal Budget for the current and budget fiscal years to determine proposed dollar amounts for particular budget functions.

The applicant should carefully study the eligibility requirements for each Federal program under consideration (see the Applicant Eligibility section of the Catalog program description). The applicant may learn that he or she is required to provide services otherwise unintended such as a service to particular client groups, or involvement of specific institutions. It may necessitate the modification of the original concept in order for the project to be eligible for funding. Questions about eligibility should be discussed with the appropriate program officer.

Deadlines for submitting applications are often not negotiable. They are usually associated with strict timetables for agency review. Some programs have more than one application deadline during the fiscal year. Applicants should plan proposal development around the established deadlines.

#### Getting Organized to Write the Proposal

Throughout the proposal writing stage keep a notebook handy to write down ideas. Periodically, try to connect ideas by reviewing the notebook. Never throw away written ideas during the grant writing stage. Maintain a file labeled "Ideas" or by some other convenient title and review the ideas from time to time. The file should be easily accessible. The gathering of documents such as articles of incorporation, tax exemption certificates, and bylaws should be completed, if possible, before the writing begins.

### REVIEW

#### Criticism

At some point, perhaps after the first or second draft is completed, seek out a neutral third party to review the proposal working draft for continuity, clarity and reasoning. Ask for constructive criticism at this point, rather than wait for the Federal grantor agency to volunteer this information during the review cycle. For example, has the writer made unsupported assumptions or used jargon or excessive language in the proposal?

#### Signature

Most proposals are made to institutions rather than individuals. Often signatures of chief administrative officials are required. Check to make sure they are included in the proposal where appropriate.

#### Neatness

Proposals should be typed, collated, copied, and packaged correctly and neatly (according to agency instructions, if any). Each package should be inspected to ensure uniformity from cover to cover. Binding may require either clamps or



hard covers. Check with the Federal agency to determine its preference. A neat, organized, and attractive proposal package can leave a positive impression with the reader about the proposal contents.

### **Mailing**

A cover letter should always accompany a proposal. Standard U.S. Postal Service requirements apply unless otherwise indicated by the Federal agency. Make sure there is enough time for the proposals to reach their destinations. Otherwise, special arrangements may be necessary. Always coordinate such arrangements with the Federal grantor agency project office (the agency which will ultimately have the responsibility for the project), the grant office (the agency which will coordinate the grant review), and the contract office (the agency responsible for disbursement and grant award notices), if necessary.

## **PART TWO: WRITING THE GRANT PROPOSAL**

### **The Basic Components of a Proposal**

There are eight basic components to creating a solid proposal package: (1) the proposal summary; (2) introduction of organization; (3) the problem statement (or needs assessment); (4) project objectives; (5) project methods or design; (6) project evaluation; (7) future funding; and (8) the project budget. The following will provide an overview of these components.

### **The Proposal Summary: Outline of Project Goals**

The proposal summary outlines the proposed project and should appear at the beginning of the proposal. It could be in the form of a cover letter or a separate page, but should definitely be brief --no longer than two or three paragraphs. The summary would be most useful if it were prepared after the proposal has been developed in order to encompass all the key summary points necessary to communicate the objectives of the project. It is this document that becomes the cornerstone of your proposal, and the initial impression it gives will be critical to the success of your venture. In many cases, the summary will be the first part of the proposal package seen by agency officials and very possibly could be the only part of the package that is carefully reviewed before the decision is made to consider the project any further.

The applicant must select a fundable project which can be supported in view of the local need. Alternatives, in the absence of Federal support, should be pointed out. The influence of the project both during and after the project period should be explained. The consequences of the project as a result of funding should be highlighted.

### **Introduction: Presenting a Credible Applicant or Organization**

The applicant should gather data about its organization from all available sources. Most proposals require a description of an applicant's organization to describe its past and present operations. Some features to consider are:

- A brief biography of board members and key staff members.
- The organization's goals, philosophy, track record with other grantors, and any success stories.
- The data should be relevant to the goals of the Federal grantor agency and should establish the applicant's credibility.

### **The Problem Statement: Stating the Purpose at Hand**

The problem statement (or needs assessment) is a key element of a proposal that makes a clear, concise, and well-supported statement of the problem to be addressed. The best way to collect information about the problem is to conduct and document both a formal and informal needs assessment for a program in the target or service area. The information provided should be both factual and directly related to the problem addressed by the proposal. Areas to document are:

- The purpose for developing the proposal.
- The beneficiaries -- who are they and how will they benefit.
- The social and economic costs to be affected.
- The nature of the problem (provide as much hard evidence as possible).

- How the applicant organization came to realize the problem exists, and what is currently being done about the problem.
- The remaining alternatives available when funding has been exhausted. Explain what will happen to the project and the impending implications.
- Most importantly, the specific manner through which problems might be solved. Review the resources needed, considering how they will be used and to what end.

There is a considerable body of literature on the exact assessment techniques to be used. Any local, regional, or State government planning office, or local university offering course work in planning and evaluation techniques should be able to provide excellent background references. Types of data that may be collected include: historical, geographic, quantitative, factual, statistical, and philosophical information, as well as studies completed by colleges, and literature searches from public or university libraries. Local colleges or universities which have a department or section related to the proposal topic may help determine if there is interest in developing a student or faculty project to conduct a needs assessment. It may be helpful to include examples of the findings for highlighting in the proposal.

### **Project Objectives: Goals and Desired Outcome**

Program objectives refer to specific activities in a proposal. It is necessary to identify all objectives related to the goals to be reached, and the methods to be employed to achieve the stated objectives. Consider quantities or things measurable and refer to a problem statement and the outcome of proposed activities when developing a well-stated objective. The figures used should be verifiable. Remember, if the proposal is funded, the stated objectives will probably be used to evaluate program progress, so be realistic. There is literature available to help identify and write program objectives.

### **Program Methods and Program Design: A Plan of Action**

The program design refers to how the project is expected to work and solve the stated problem. Sketch out the following:

- The activities to occur along with the related resources and staff needed to operate the project (inputs).
- A flow chart of the organizational features of the project. Describe how the parts interrelate, where personnel will be needed, and what they are expected to do. Identify the kinds of facilities, transportation, and support services required (throughputs).
- Explain what will be achieved through 1 and 2 above (outputs); i.e., plan for measurable results. Project staff may be required to produce evidence of program performance through an examination of stated objectives during either a site visit by the Federal grantor agency and or grant reviews which may involve peer review committees.
- It may be useful to devise a diagram of the program design. For example, draw a three column block. Each column is headed by one of the parts (inputs, throughputs and outputs), and on the left (next to the first column) specific program features should be identified (i.e., implementation, staffing, procurement, and systems development). In the grid, specify something about the program design, for example, assume the first column is labeled inputs and the first row is labeled staff. On the grid one might specify under inputs five nurses to operate a child care unit. The throughput might be to maintain charts, counsel the children, and set up a daily routine; outputs might be to discharge 25 healthy children per week. This type of procedure will help to conceptualize both the scope and detail of the project.
- Wherever possible, justify in the narrative the course of action taken. The most economical method should be used that does not compromise or sacrifice project quality. The financial expenses associated with performance of the project will later become points of negotiation with the Federal program staff. If everything is not carefully justified in writing in the proposal, after negotiation with the Federal grantor agencies, the approved project may resemble less of the original concept. Carefully consider the pressures of the proposed implementation, that is, the time and money needed to acquire each part of the plan. A Program Evaluation and Review Technique (PERT) chart could be useful and supportive in justifying some proposals.
- Highlight the innovative features of the proposal which could be considered distinct from other proposals under consideration.

- Whenever possible, use appendices to provide details, supplementary data, references, and information requiring in-depth analysis. These types of data, although supportive of the proposal, if included in the body of the design, could detract from its readability. Appendices provide the proposal reader with immediate access to details if and when clarification of an idea, sequence or conclusion is required. Time tables, work plans, schedules, activities, methodologies, legal papers, personal vitae, letters of support, and endorsements are examples of appendices.

#### **Evaluation: Product and Process Analysis**

The evaluation component is two-fold: (1) product evaluation; and (2) process evaluation. Product evaluation addresses results that can be attributed to the project, as well as the extent to which the project has satisfied its desired objectives. Process evaluation addresses how the project was conducted, in terms of consistency with the stated plan of action and the effectiveness of the various activities within the plan.

Most Federal agencies now require some form of program evaluation among grantees. The requirements of the proposed project should be explored carefully. Evaluations may be conducted by an internal staff member, an evaluation firm or both. The applicant should state the amount of time needed to evaluate, how the feedback will be distributed among the proposed staff, and a schedule for review and comment for this type of communication. Evaluation designs may start at the beginning, middle or end of a project, but the applicant should specify a start-up time. It is practical to submit an evaluation design at the start of a project for two reasons:

- Convincing evaluations require the collection of appropriate data before and during program operations; and,
- If the evaluation design cannot be prepared at the outset then a critical review of the program design may be advisable.

Even if the evaluation design has to be revised as the project progresses, it is much easier and cheaper to modify a good design. If the problem is not well defined and carefully analyzed for cause and effect relationships then a good evaluation design may be difficult to achieve. Sometimes a pilot study is needed to begin the identification of facts and relationships. Often a thorough literature search may be sufficient.

Evaluation requires both coordination and agreement among program decision makers (if known). Above all, the Federal grantor agency's requirements should be highlighted in the evaluation design. Also, Federal grantor agencies may require specific evaluation techniques such as designated data formats (an existing information collection system) or they may offer financial inducements for voluntary participation in a national evaluation study. The applicant should ask specifically about these points. Also, consult the Criteria For Selecting Proposals section of the Catalog program description to determine the exact evaluation methods to be required for the program if funded.

#### **Future Funding: Long-Term Project Planning**

Describe a plan for continuation beyond the grant period, and/or the availability of other resources necessary to implement the grant. Discuss maintenance and future program funding if program is for construction activity. Account for other needed expenditures if program includes purchase of equipment.

#### **The Proposal Budget: Planning the Budget**

Funding levels in Federal assistance programs change yearly. It is useful to review the appropriations over the past several years to try to project future funding levels (see Financial Information section of the Catalog program description).

However, it is safer to never anticipate that the income from the grant will be the sole support for the project. This consideration should be given to the overall budget requirements, and in particular, to budget line items most subject to inflationary pressures. Restraint is important in determining inflationary cost projections (avoid padding budget line items), but attempt to anticipate possible future increases.

Some vulnerable budget areas are: utilities, rental of buildings and equipment, salary increases, food, telephones, insurance, and transportation. Budget adjustments are sometimes made after the grant award, but this can be a lengthy process. Be certain that implementation, continuation and phase-down costs can be met. Consider costs associated with leases, evaluation systems, hard/soft match requirements, audits, development, implementation and maintenance of information and accounting systems, and other long-term financial commitments.

A well-prepared budget justifies all expenses and is consistent with the proposal narrative. Some areas in need of an evaluation for consistency are: (1) the salaries in the proposal in relation to those of the applicant organization should be similar; (2) if new staff persons are being hired, additional space and equipment should be considered, as necessary; (3) if the budget calls for an equipment purchase, it should be the type allowed by the grantor agency; (4) if additional space is rented, the increase in insurance should be supported; (5) if an indirect cost rate applies to the proposal, the division between direct and indirect costs should not be in conflict, and the aggregate budget totals should refer directly to the approved formula; and (6) if matching costs are required, the contributions to the matching fund should be taken out of the budget unless otherwise specified in the application instructions.

It is very important to become familiar with Government-wide circular requirements. The Catalog identifies in the program description section (as information is provided from the agencies) the particular circulars applicable to a Federal program, and summarizes coordination of Executive Order 12372, "Intergovernmental Review of Programs" requirements in Appendix I. The applicant should thoroughly review the appropriate circulars since they are essential in determining items such as cost principles and conforming with Government guidelines for Federal domestic assistance.

## **GUIDELINES AND LITERATURE**

United States Government Manual  
Superintendent of Documents  
U.S. Government Printing Office  
Washington, DC 20402

OMB Circular Nos. A-87, A-102, A-110, and A-133, and Executive Order 12372:  
Publications Office  
Office of Administration  
Room 2200, 725 Seventeenth Street, NW.  
Washington, DC 20503

#### **Government Printing Office (GPO) Resources**

The government documents identified above as available from the GPO can be requested (supply the necessary identifying information) by writing to:

Superintendent of Documents  
Government Printing Office  
Washington, DC 20402

#### **Regional and Federal Depository Libraries**

Regional libraries can arrange for copies of Government documents through an interlibrary loan. All Federal Depository Libraries will receive copies of the Catalog directly. A list of depository and regional libraries is available by writing: Chief, Library Division, Superintendent of Documents, Stop SLL, Washington, DC 20402.

# Appendix VII: Historical Profile of Catalog Programs

The following list shows all programs printed in the Catalog of Federal Domestic Assistance beginning with the 1965 edition and the subsequent action taken related to that program. For the years 1965, 1967, and 1969 the programs did not have numbers. They were identified only by their titles. Therefore, the first part of each agency listing shows programs by their title if they were in existence before 1970. The program numbering system was instituted in 1970. The first line shows the number and title of the program when it was added to the Catalog. The second and subsequent lines show the year the program was added and any additional transactions, e.g., title changes, transfers, deletes, consolidations, agency reorganizations, number changes, etc., that may have followed. The alphabet B or U that follows a given year, indicates the transaction was made either in the basic (B) or the update (U) publication of the Catalog. In some instances, there is also a U1 and U2 behind the year. The U1 and U2 are the first and second updates respectively, published that year.

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## **DEPARTMENT OF AGRICULTURE**

Agricultural Stabilization Programs (1965B)

Agricultural Production Stabilization (1969B)

Archived (1970B)

Cooperative Agriculture and Forestry Research Program (1965B)

Cooperative Forestry Research (1969B)

Archived (1970B)

Cooperative Extension Service (1965B)

Split into 10.500, 10.501, 10.502, 10.503, 10.504, 10.505, 10.506, 10.507, 10.508, 10.509 (1970B)

Economic Research Service (1965B)

Archived (1970B)

Farmers Home Administration\_Financial Assistance to Small Towns and Rural Groups (1965B)

Archived (1969B)

Farmers Home Administration\_Housing for Senior Citizens (1965B)

Archived (1969B)

Farmers Home Administration\_Loans for Forestry Purposes (1965B)

Farm Forestry Loans (1969B)

Archived (1970B)

Farmers Home Administration\_Loans for Recreational Purposes (1965B)

Archived (1969B)

Farmers Home Administration\_Rural Renewal Loans to Public Agencies (1965B)

Archived (1969B)

Forestry Research (1965B)

Archived (1969B)

Land Stabilization, Conservation, and Erosion Control in Appalachia (1965B)

Archived (1969B)

Timber Development Organizations in Appalachia (1965B)

Archived (1967B)

Administration and Research in Economic Development Programs in Appalachia (1965B)

Transferred to the Department of Commerce (1967B)

Cropland Adjustment Program (1967B)

Archived (1969B)

Payments to Counties, National Grasslands, and Land Utilization Projects (1967B)

Archived (1969B)

Payments to States with National Forests (1967B)

Archived (1969B)

Appalachian Region Conservation (1969B)

Archived (1970B)

Agricultural Market Supervision and Regulation (1969B)

Archived (1970B)

Agricultural Experiment Stations (1969B)

Archived (1970B)

National Forests\_Shared Revenues (1969B)

Archived (1970B)

Timber Management (1969B)

Archived (1970B)

### **10.001**

Agricultural Research Service (1965B)

Agricultural Research\_Basic and Applied Research (1969B)

Number changed to 10.875 (1978B)

Number changed from 10.875 (1981U)

### **10.002**

Plant and Animal Disease and Plant Control (1969B)

Number changed to 10.025 (1972B)

### **10.003**

Morrill-Nelson Funds for Food and Agricultural Higher Education (1983U)

Transferred from 84.135 (1983U)

Transferred to 10.210 (1985U)

### **10.025**

Plant and Animal Disease and Pest Control (1972B)

Number changed from 10.002 (1972B)

Plant and Animal Disease, Pest Control, and Animal Care (1990B)

### **10.026**

Assistance to States for Intrastate Meat and Poultry Inspection (1972U)

Number changed from 10.151 (1972U)

Number changed to 10.475 (1977U)

### **10.027**

Meat and Poultry Inspection (1972U)

Number changed from 10.157 (1972U)

Number changed to 10.477 (1977U)

### **10.028**

Animal Damage Control (1986B)

Transferred from 15.601 (1986B)

Wildlife Services (1997U)

### **10.029**

Avian Influenza Indemnity Program (2003B)

Archived (2010)

### **10.050**

Agricultural Conservation Program (1965B)

Agricultural Conservation (1970B)

Rural Environmental Assistance (1971B)

Archived (1973B)

### **10.051**

Price-Support Programs for the Agricultural Stabilization and Conservation Service (1965B)

Agricultural Price-Support (1969B)

Commodity Loans and Purchases (1970B)

Commodity Loans and Loan Deficiency Payments (1999B)

### **10.052**

Cotton Production Stabilization (1970B)

Split from 10.055 (1970B)

Incorporated into 10.055 (1997B)

### **10.053**

Dairy Farmer Indemnity Payments (1969B)

Dairy Indemnity Payments (1970B)

Dairy Indemnity Program (1984B)

### **10.054**

Emergency Conservation Measures (1970B)

Emergency Conservation Program (1978U)

### **10.055**

Feed Grain Direct Payments (1970B)

Split into 10.052, 10.055, 10.058 (1970B)

## Appendix VII: Historical Profile of Catalog Programs

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Feed Grain Production Stabilization (1971B)  
Production Flexibility Payments for Contract  
Commodities (1997B)  
Incorporated from 10.052, 10.058, 10.065 (1997B)  
Direct and Counter-cyclical Payments Program  
(2005)  
Direct and Counter-cyclical Payments Program  
(2005)  
Direct and Counter-cyclical Payments Program  
(2005)

### 10.056

Storage Facilities and Equipment Loans (1970B)  
Archived (1989B)  
Farm Storage Facility Loans, Reinstated (2001B)

### 10.057

Sugar Program (1969B)  
Sugar Production Stabilization (1971B)  
Archived (1975B)

### 10.058

Wheat Direct Payments (1970B)  
Split from 10.055 (1970B)  
Wheat Production Stabilization (1971B)  
Incorporated into 10.055 (1997B)

### 10.059

Wool and Mohair Payments (1970B)  
Shorn Wool and Unshorn Lambs (Pulled Wool) and  
Mohair Payments (1971B)  
National Wool Act Payments (1973B)  
Archived (1997B)

### 10.060

Beekeeper Indemnity Payments (1971U)  
Archived (1982B)

### 10.061

Emergency Livestock Feed Program (1972B)  
Archived (1977B)

### 10.062

Water Bank Program (1972B)  
Archived (1973B)  
Reinstated (1974B)  
Deleted (2006)

### 10.063

Rural Environmental Conservation Program  
(1974B)  
Agricultural Conservation Program (1975B)  
Archived (1997B)

### 10.064

Forestry Incentives Program (1975B)

### 10.065

Rice Production Stabilization (1976U)  
Incorporated into 10.055 (1997B)

### 10.066

Emergency Hay and Cattle Transportation  
Assistance and Livestock Feed (1977B)  
Emergency Feed Program (1978B)  
Archived (1983B)  
Emergency Livestock Assistance (1989B)  
Archived (1997B)  
Livestock Assistance Program, Reinstated (2000U)  
Livestock Assistance Program (2006)  
Archived (2010)

### 10.067

Grain Reserve Program (1978B)  
Farmer Owned Reserve Program (1994U)  
Archived (1997B)

### 10.068

Rural Clean Water Program (1980B)  
Archived (1995B)

### 10.069

Conservation Reserve Program (1986B)

### 10.070

Colorado River Salinity Control (1987B)  
Colorado River Basin Salinity Control Program  
(1991B)  
Archived (2010)

### 10.071

Federal-State Cooperation in Warehouse  
Examination Agreement (1987U)  
Archived (2000B)

### 10.072

Wetlands Reserve Program (1992B)

### 10.073

Crop Disaster Program (2000U)  
Archived (2010)  
Reinstated (2011)  
Archived (2011)

### 10.075

Special Apple Program (2001B)

### 10.076

Emergency Loan for Seed Producers (2001B)

### 10.077

Livestock Compensation Program (2003B)  
Archived (2010)

### 10.078

Bioenergy Program (2003B)  
Archived (2009)

### 10.079

Bill Emerson Humanitarian Trust (2003B)  
Archived (2010)

### 10.080

Milk Income Loss Contract Program (2004)

### 10.081

Lamb Meat Adjustment Assistance Program  
(2004)  
Archived (2009)

### 10.082

Tree Assistance Program (2004)  
Archived (2010)

### 10.083

Tobacco Loss Assistance Program (2004)

### 10.084

Dairy Market Loss Assistance Program (2008)  
Archived (2010)

### 10.085

Tobacco Transition Payment Program (2005)

### 10.086

Aquaculture Grants Program (AGP) (2009)

### 10.087

Biomass Crop Assistance Program (2011)

### 10.088

Livestock Indemnity Program (2010)

### 10.089

Livestock Forage Disaster Program (2010)

### 10.090

Supplemental Revenue Assistance Program (2010)

### 10.091

Emergency Assistance for Livestock, Honeybees,  
and Farm-Raised Fish Program (2011)

### 10.092

Tree Assistance Program (2010)

### 10.093

Voluntary Public Access and Habitat Incentive  
Program (2010)

### 10.095

Durum Wheat Quality Program (2010)

### 10.099

Conservation Loans (2010)

### 10.100

Agricultural Futures Markets Supervision (1971B)  
Transferred to 78.001 (1975U)

### 10.103

2009 Aquaculture Grant Program (2011)

## Appendix VII: Historical Profile of Catalog Programs

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<b>10.104</b> Poultry Loss Contract Grant Assistance Program (2011)	Plentiful Foods (1970B) Archived (1973U)	(1969B) Contracts and Grants for Scientific Research (1970B)
<b>10.140</b> Minority Research and Teaching Grants (1986B) Minority Research and Teaching Program Grants (1990B) Minority Research and Teaching Programs Grants (1990U) Special Emphasis Outreach Programs Grants (1991B) Archived (1997B)	<b>10.159</b> Livestock and Poultry Market Supervision (1978B) Number changed from 10.800 (1978B) Number changed to 10.800 (1981U)	Grants for Scientific Research (1973B) Split into 10.200, 10.880 (1978B) Number changed to 10.876 (1978B) Number changed from 10.876 (1981U) Grants for Agricultural Research, Special Research Grants (1981U)
<b>10.150</b> Agricultural Product Grading (1969B) Consolidated into 10.162 (1982B)	<b>10.160</b> Voluntary Commodity Inspection and Grading Programs (1981U) Number changed from 10.478 (1981U) Archived (1982B)	<b>10.201</b> Agricultural Research Facilities (1969B) Research Facilities (1970B) Archived (1971B)
<b>10.151</b> Meat and Poultry Inspection (1969B) Assistance to States for Intrastate Meat and Poultry Inspection (1970B) Number changed to 10.026 (1972U)	<b>10.161</b> Egg Products Inspection (1981U) Number changed from 10.476 (1981U) Archived (1982B)	<b>10.202</b> Grants for Cooperative Forestry Research (1970U) Cooperative Forestry Research (1971B) Number changed to 10.877 (1978B) Number changed from 10.877 (1981U)
<b>10.152</b> Export Payments on Agricultural Products (1970B) Split from 10.157 (1970B) Archived (1973B)	<b>10.162</b> Inspection Grading and Standardization (1982B)	<b>10.203</b> Payments to Agricultural Experiment Stations Under Hatch Act (1970U) Number changed to 10.878 (1978B) Number changed from 10.878 (1981U) Payments to Agricultural Experiment Stations Under the Hatch Act (1997U)
<b>10.153</b> Market News Service for Agricultural Products (1969B) Market News (1970B)	<b>10.163</b> Market Protection and Promotion (1982B)	<b>10.204</b> Rural Development Research (1974B) Number changed to 10.879 (1978B) Number changed from 10.879 (1981U) Archived (1982B)
<b>10.154</b> Market Supervision (1970B) Market Supervision and Assistance (1982B) Market Development and Assistance (1983B) Incorporated into 10.163 (1984B)	<b>10.164</b> Wholesale Market Development (1982B) Wholesale Farmers and Alternative Market Development (2005) Wholesale Farmers and Alternative Market Development (2005) Wholesale Farmers and Alternative Market Development (2005)	<b>10.205</b> Payments to 1890 Land-Grant Colleges and Tuskegee Institute (1981U) Number changed from 10.880 (1981U) Payments to 1890 Land-Grant Colleges and Tuskegee University (1986B)
<b>10.155</b> Agricultural Marketing Agreements and Orders (1969B) Marketing Agreements and Orders (1970B)	<b>10.165</b> Perishable Agricultural Commodities Act (1982B)	<b>10.206</b> Grants for Agricultural Research_Competitive Research_Grants (1981U) Number changed from 10.884 (1981U) Archived (2011)
<b>10.156</b> Agricultural Marketing Studies and Services (1969B) Marketing Services Matching_Fund Grants (1970B) Federal_State Marketing Improvement Program (1973B)	<b>10.166</b> Commodity Purchase Services (1985B) Archived (1987B)	<b>10.207</b> Animal Health and Disease Research (1981U) Number changed from 10.885 (1981U)
<b>10.157</b> Agricultural Futures Market Supervision (1969B) Meat and Poultry Inspection (1970B) Number changed to 10.027 (1972U)	<b>10.167</b> Transportation Services (1991U)	<b>10.208</b> Alcohol Fuels Research (1982B) Archived (1985B)
<b>10.158</b> Plentiful Foods Program (1969B)	<b>10.168</b> Farmers' Market Promotion Program (2006)	<b>10.209</b> 1890 Research Facilities (1983B) Archived (1989B)
	<b>10.169</b> Specialty Crop Block Grant Program (2006) Archived (2011)	
	<b>10.170</b> Specialty Crop Block Grant Program - Farm Bill (2008)	
	<b>10.171</b> Organic Certification Cost Share Programs (2011)	
	<b>10.200</b> Scientific Research in Support of Agriculture	

# Appendix VII: Historical Profile of Catalog Programs

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<b>10.210</b> Food and Agricultural Sciences National Needs Graduate Fellowship Grants Transferred from 10.003 (1985U)	Archived (2009)	<b>10.300</b> CCC Export Credit Sales (1970B) Archived (1973B)
<b>10.211</b> Higher Education Strengthening Grants (1985U) Archived (1993B)	<b>10.225</b> Community Food Projects (1997B)	<b>10.301</b> Export Payments (1970B) Archived (1973U)
<b>10.212</b> Small Business Innovation Research (1986B)	<b>10.226</b> Secondary Agriculture Education Grants (1999B) Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (2003B)	<b>10.302</b> Initiative for Future Agriculture and Food Systems (2000U)
<b>10.213</b> Competitive Research Grants for Forest and Rangeland Renewable Resources Transferred from 15.601 (1986B) Archived (1990B)	<b>10.227</b> 1994 Institutions Research Program (2000U)	<b>10.303</b> Integrated Programs (2000U)
<b>10.214</b> Morrill-Nelson Funds for Food and Agricultural Higher Education Split from 10.210 (1986B) Archived (1996B)	<b>10.228</b> Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (2001B)	<b>10.304</b> Homeland Security_Agricultural (2004)
<b>10.215</b> Low Input Farming Systems_Research and Education (1988B) Sustainable Agriculture Research and Education (1991B)	<b>10.240</b> Alternative Agricultural Research and Commercialization Program (1993B) Archived (2000B)	<b>10.305</b> International Science and Education Grants (2005)
<b>10.216</b> 1890 Institution Capacity Building Grants (1990B)	<b>10.250</b> Agricultural Economic Research (1969B) Agricultural and Rural Economic Research (1970B)	<b>10.306</b> BIODIESEL (2005)
<b>10.217</b> Higher Education Challenge Grants (1990B)	<b>10.251</b> Technical Assistance to Cooperatives (1978B) Number changed from 10.350 (1978B) Number changed to 10.350 (1981U)	<b>10.307</b> Organic Agriculture Research and Extension Initiative (2005)
<b>10.218</b> Buildings and Facilities Program (1992B)	<b>10.252</b> Agricultural Statistical Reports (1978B) Number changed from 10.950 (1978B) Agriculture Statistical Reports (1980B) Number changed to 10.950 (1981U)	<b>10.308</b> Resident Instruction Grants for Insular Area Activities (2005)
<b>10.219</b> Biotechnology Risk Assessment Research (1993B)	<b>10.253</b> Food Assistance and Nutrition Research Programs (FANRP) (2008)	<b>10.309</b> Specialty Crop Research Initiative (2008)
<b>10.220</b> Food and Agricultural Sciences-All Americans Undergraduate Scholars Program (1994B) Higher Education Multicultural Scholars Program (1995B)	<b>10.254</b> Program of Research on the Economic of Invasive Species Management (PREISM) (2008)	<b>10.310</b> AGRICULTURE AND FOOD RESEARCH INITIATIVE (AFRI) (2009)
<b>10.221</b> Tribal Colleges Education Equity Grants (1997B)	<b>10.255</b> Research Innovation and Development Grants in Economic (RIDGE) (2008)	<b>10.311</b> BEGINNING FARMER AND RANCHER DEVELOPMENT PROGRAM (2009)
<b>10.222</b> Tribal Colleges Endowment Program (1997B)	<b>10.256</b> Consumer Data Initiative (CDI) (2007) Archived (2010) Reinstated (2010) Consumer Data and Information Program (2010)	<b>10.312</b> BIOMASS RESEARCH AND DEVELOPMENT INITIATIVE (2009)
<b>10.223</b> Hispanic Serving Institutions Education Grants (1997B)	<b>10.290</b> AGRICULTURAL MARKET AND ECONOMIC RESEARCH (2008) Agricultural Market and Economic Research (2008)	<b>10.313</b> Veterinary Medicine Loan Repayment Program (2010)
<b>10.224</b> Fund for Rural America_Research, Education, and Extension Activities (1997U)		<b>10.314</b> NEW ERA RURAL TECHNOLOGY COMPETITIVE GRANTS PROGRAM (2009)
		<b>10.315</b> Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF) (2009)
		<b>10.316</b> Healthy Urban Food Enterprise Development

# Appendix VII: Historical Profile of Catalog Programs

Center (HUFED) (2009)

## 10.317

Food Aid Nutrition Enhancement Program (2010)

## 10.318

Women and Minorities in Science, Technology, Engineering, and (2010)

## 10.319

Farm Business Management and Benchmarking Competitive Grants Program (2010)

## 10.320

Sun Grant Program (2010)

## 10.322

Distance Education Grants for Institutions of Higher Education in Insular Areas (2010)

## 10.324

Afghanistan Agricultural Extension Project (AAEP) (2011)

## 10.325

Peoples Garden Grant Program (2011)

## 10.350

Farmers Cooperative Service (1965B)  
Technical Assistance to Cooperatives (1970B)  
Number changed to 10.251 (1978B)  
Number changed from 10.251 (1981U)

## 10.352

Value-Added Producer Grants (2005)

## 10.353

National Rural Development Partnership (2003B)

## 10.375

Human Nutrition Information Service (1982B)  
Archived (1997B)

## 10.400

Comprehensive Areawide Water and Sewer Planning Grants (1970B)  
Archived (1973B)

## 10.401

Farmers Home Administration\_Loans to Cooperatives (1965B)  
Economic Opportunity Loans to Cooperatives (1969B)  
Economic Opportunity Farm Operating Loans to Cooperatives (1970B)  
Archived (1971B)

## 10.402

Farmers Home Administration\_Loans to Rural Families with Small Incomes (1965B)  
Economic Opportunity Loans to Rural Families

with Low Incomes (1969B)

Economic Opportunity Farm Resource Loans (1970B)

Archived (1971B)

## 10.403

Economic Opportunity Nonfarm Enterprise Loans (1970B)

Archived (1971B)

## 10.404

Farmers Home Administration\_Emergency Loans (1965B)

Farm Emergency Loans (1969B)

Emergency Loans (1970B)

## 10.405

Farmers Home Administration\_Loans for Farm Labor Housing (1965B)

Loans and Grants for Farm Labor Housing (1967B)

Farm Labor Housing (1969B)

Farm Labor Housing Loans and Grants (1970B)

Archived (1973B)

Reinstated (1975B)

## 10.406

Farmers Home Administration\_Operating Loans (1965B)

Farm Operating Loans (1969B)

## 10.407

Farmers Home Administration\_Ownership Loans (1965B)

Farm Ownership Loans (1969B)

## 10.408

Grazing Association Loans (1969B)

Archived (1983B)

## 10.409

Irrigation and Drainage System Loans (1969B)

Irrigation, Drainage and Other Soil and Water Conservation Loans (1970B)

Archived (1983B)

## 10.410

Farmers Home Administration\_Rural Housing Loans (1965B)

Rural Housing Loans (1967B)

Rural Renewal Loans (1967B)

Low-to Moderate-Income Housing Loans (1970B)

Low Income Housing Loans (1983B)

Very Low and Low Income Housing Loans (1984B)

Very Low to Moderate Income Housing Loans (1991U)

## 10.411

Rural Self-Help Housing Loans (1969B)

Mutual and Self-Help Housing Loans (1970B)

Rural Housing Site Loans (1970U)

Rural Housing Site Loans and Self\_Help Housing

Land Development Loans (1996B)

## 10.412

Rural Recreation Enterprises (1969B)

Recreation Association Loans (1970B)

Split into 10.412, 10.413 (1970B)

Archived (1971B)

## 10.413

Recreation Facility Loans (1970B)

Split from 10.412 (1970B)

Archived (1983B)

## 10.414

Soil Conservation Service\_Resource Conservation Development Projects (1965B)

Resource Conservation Development Projects (1967B)

Resource Conservation and Development Loans (1970B)

Split into 10.414, 10.901 (1970B)

Number changed to 10.764 (1993B)

## 10.415

Rental Housing (1967B)

Rental and Cooperative Housing for Rural People (1969B)

Rural Rental Housing Loans (1970B)

## 10.416

Soil and Water Conservation (1969B)

Soil and Water Loans (1970B)

Split into 10.416, 10.902 (1970B)

Archived (1997B)

## 10.417

Very Low-Income Housing Repair Loans (1970B)

Split from 10.410 (1970B)

Very Low-Income Housing Repair Loans and Grants (1977B)

## 10.418

Water and Waste Disposal Systems for Rural Communities (1967B)

Number changed to 10.760 (1993B)

## 10.419

Multiple-Purpose Watershed Projects (1965B)

Watershed Development and Flood Prevention (1969B)

Watershed Protection and Flood Prevention Loans (1970B)

Split into 10.419, 10.904 (1970B)

Number changed to 10.765 (1993B)

## 10.420

Rural Self-Help Housing Technical Assistance (1970U)

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<b>10.421</b> Indian Tribes and Tribal Corporation Loans (1971B)	<b>10.433</b> Rural Housing Preservation Grants Transferred from 13.664 (1986B)	Direct Housing_Natural Disaster Loans and Grants (1998B)
<b>10.422</b> Business and Industrial Development Loans (1974B) Business and Industrial Loans (1976B) Number changed to 10.768 (1993B)	<b>10.434</b> Nonprofit National Corporations Loan and Grant Program (1987B) Archived (1993U)	<b>10.445</b> Direct Housing_Natural Disaster (1998B) Archived (2011)
<b>10.423</b> Community Facilities Loans (1974B) Number changed to 10.766 (1993B)	<b>10.435</b> Agricultural Loan Mediation Program (1988B) Certified Mediation Program (1995B) State Mediation Grants (1997U)	<b>10.446</b> Rural Community Development Initiative (2001U)
<b>10.424</b> Industrial Development Grants (1974B) Archived (1982B) Reinstated (1988B) Rural Development Grants (1992B) Number changed to 10.769 (1993B)	<b>10.436</b> Technical Assistance and Training Grants (1988U) Number changed to 10.761 (1993B)	<b>10.447</b> The Rural Development (RD) Multi-Family Housing Preservation and Revitalization Restructuring Program (MPR) (2007)
<b>10.425</b> Emergency Livestock Loans (1974U) Archived (1979U2)	<b>10.437</b> Interest Rate Reduction Program (1989B) Interest Assistance Program (1991U)	<b>10.448</b> Rural Development Multi-Family Housing Rural Housing Voucher Demonstration Program (2009)
<b>10.426</b> Area Development Assistance Planning Grants (1978B) Archived (1982B)	<b>10.438</b> Farm Credit System Farm Land Acquisition Program (1989B) Archived (1992B) Section 538 Rural Rental Housing Guaranteed Loans (1997B)	<b>10.449</b> Boll Weevil Eradication Loan Program (2000U)
<b>10.427</b> Rural Rental Assistance Payments (1978B)	<b>10.439</b> Intermediary Relending Program (1989B) Number changed to 10.767 (1993B)	<b>10.450</b> Crop Insurance (1969B)
<b>10.428</b> Economic Emergency Loans (1978U) Archived (1983B) Reinstated (1984B) Archived (1984U)	<b>10.440</b> Emergency Community Water Assistance Grants (1989U) Number changed to 10.763 (1993B)	<b>10.451</b> Noninsured Crop Disaster Assistance (1997U) Noninsured Assistance (2001B)
<b>10.429</b> Above Moderate Income Housing Loans (1979B) Archived (1980U2) Guaranteed Rural Housing Loans_Demonstration Program (1989B) Archived (1990B)	<b>10.441</b> Technical and Supervisory Assistance Grants (1993U) Archived (2011)	<b>10.452</b> Disaster Reserve Assistance (1997U) Archived (2009)
<b>10.430</b> Energy Impacted Area Development Assistance Program (1979U2) Archived (1983B)	<b>10.442</b> Housing Application Packaging Grants (1994B) Archived (2011)	<b>10.453</b> Fund for Rural America_Farm Ownership Loans (1997U) Archived (2000B)
<b>10.431</b> Technical and Supervisory Assistance Grants (1979U2) Archived (1983B)	<b>10.443</b> Outreach and Assistance Grants for Socially Disadvantaged Farmers and Ranchers (1994B) Small Farmer Outreach Training or Technical Assistance Program_"Outreach and Assistance Grants for Socially Disadvantaged Farmers and Ranchers" (1995B) Small Farmer Outreach Training and Technical Assistance Program (1995U) Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (2001U)	<b>10.454</b> Dairy Options Pilot Program (1998U) Archived (2010)
<b>10.432</b> Biomass Energy and Alcohol Fuels Loan and Loan Guarantees (1981B) Archived (1982B)	<b>10.444</b>	<b>10.455</b> Community Outreach and Assistance Partnership Program (2004)
		<b>10.456</b> Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (2004)
		<b>10.457</b> Commodity Partnerships for Risk Management Education (2004) Archived (2010)
		<b>10.458</b> Crop Insurance Education in Targeted States (2004)
		<b>10.459</b> Commodity Partnerships for Small Agricultural



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Risk Management Education Sessions (2005)	Incorporated into 10.500 (1972B)	(1970B) Nonfood Assistance for School Food Service Programs (1972B) Equipment Assistance for School Food Service Programs (1978B) Archived (1982B)
<b>10.465</b> Farmworker Training Grant Program (2011)	<b>10.505</b> Extension Programs for Marketing and Distribution (1970B) Incorporated into 10.500 (1972B)	<b>10.555</b> National School Lunch Program (1965B) School Lunches (1969B) National School Lunch Program (1971B)
<b>10.475</b> Assistance to States for Intrastate Meat and Poultry Inspection (1977U) Number changed from 10.026 (1977U) Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (1980U2)	<b>10.506</b> Extension Programs for Pesticides Safety and Rural Civil Defense (1970B) Incorporated into 10.500 (1972B)	<b>10.556</b> Special Milk Program for Children (1965B) School Milk (1969B) Special Milk Program (1970B) Special Milk Program for Children (1971B)
<b>10.476</b> Egg Products Inspection (1977U) Number changed to 10.161 (1981U)	<b>10.507</b> Extension Programs for Recreation, Wildlife, and Natural Beauty (1970B) Incorporated into 10.500 (1972B)	<b>10.557</b> Special Supplemental Food Program for Women, Infants, and Children (1974B) Special Supplemental Nutrition Program for Women, Infants, and Children (1995U)
<b>10.477</b> Meat and Poultry Inspection (1977U) Number changed from 10.027 (1977U) Meat, Poultry, and Egg Inspection (1995B) Meat, Poultry, and Egg Products Inspection (1995U)	<b>10.508</b> Extension Programs for Soil and Water Conservation (1970B) Incorporated into 10.500 (1972B)	<b>10.558</b> Child Care Food Program (1976B) Split from 10.552 (1976B) Child and Adult Care Food Program (1990B) Incorporated from 10.573 (2000B)
<b>10.478</b> Voluntary Commodity Inspection and Grading Programs (1977U) Number changed to 10.160 (1981U)	<b>10.509</b> 4-H Youth Development Programs (1970B) Incorporated into 10.500 (1972B)	<b>10.559</b> Summer Food Service Program for Children (1976B) Split from 10.552 (1976B)
<b>10.479</b> Food Safety Cooperative Agreements (2006)	<b>10.510</b> Extension Programs for Environmental Improvement (1971B) Incorporated into 10.500 (1972B)	<b>10.560</b> State Administrative Expenses for Child Nutrition (1977U)
<b>10.500</b> Extension Programs for Assisting in Community Development (1970B) Extension Programs for Community Development (1971B) Cooperative Extension Service (1972B) Number changed to 10.881 (1978B) Number changed from 10.881 (1981U)	<b>10.550</b> Commodity Distribution Program (1965B) Commodity Distribution (1970B) Food Distribution (1971U) Split into 10.550, 10.565 (1979U1) Deleted (2008)	<b>10.561</b> State Administrative Matching Grants for Food Stamp Program (1977U) State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (2008)
<b>10.501</b> Extension Programs for Forestry Production and Marketing (1970B) Incorporated into 10.500 (1972B) Agricultural Telecommunications Program (1994U) Archived (2000B)	<b>10.551</b> Food Stamp Program (1965B) Food Stamps (1970B) Supplemental Nutrition Assistance Program (2008)	<b>10.562</b> Nutritional Training and Education (1977U) Archived (1979B)
<b>10.502</b> Extension Programs for Improved Family Living (1970B) Incorporated into 10.500 (1972B)	<b>10.552</b> Special Food Service Program for Children (1969B) Nonschool Food Program (1970B) Special Food Service Program for Children (1971B) Split into 10.558, 10.559 (1976B)	<b>10.563</b> Nutrition Education Experimental or Demonstration Projects (1977U) Archived (1980B)
<b>10.503</b> Extension Programs for Improved Nutrition (1970B) Incorporated into 10.500 (1972B)	<b>10.553</b> Pilot School Breakfast Program (1967B) School Breakfasts (1969B) School Breakfast Program (1972B)	<b>10.564</b> Nutrition Education and Training Program (1978U) Archived (2001U)
<b>10.504</b> Extension Programs for Improving Farm Income (1970B)	<b>10.554</b> Equipment Program to Initiate or Expand School Food Service (1967B) School Lunch Program_Nonfood Assistance	<b>10.565</b> Commodity Supplemental Food Program (1979U1)

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Split from 10.550 (1979U1)

### 10.566

Nutrition Assistance for Puerto Rico (1983B)

### 10.567

Food Distribution Program Commodities in Lieu of Food Stamps (Indian Reservations) (1983B)

Food Distribution Program Commodities on Indian Reservations (1983U)

Needy Family Program (1985B)

Food Distribution Program on Indian Reservations (1988B)

### 10.568

Temporary Emergency Food Assistance (Administrative Costs) (1984B)

Emergency Food Assistance Program (Administrative Costs) (1993U)

### 10.569

Temporary Emergency Food Assistance (Food Commodities) (1989B)

Emergency Food Assistance Program (Food Commodities) (1993U)

### 10.570

Nutrition Program for the Elderly (Commodities) (1989B)

Nutrition Program for the Elderly (2001U)

Nutrition Services Incentive (2002B)

Deleted (2005)

### 10.571

Food Commodities for Soup Kitchens (1989B)

Archived (1996U)

### 10.572

WIC Farmers' Market Nutrition Program (FMNP) (1993U)

### 10.573

Homeless Children Nutrition Program (1995U)

Incorporated into 10.558 (2000B)

Deleted Program no longer funded. (2000)

### 10.574

Team Nutrition Grants (1997U)

### 10.576

Senior Farmers Market Nutrition Program (2004)

### 10.578

WIC Grants To States(WGS) (2004)

### 10.579

Child Nutrition Discretionary Grants Limited Availability (2004)

### 10.580

Food Stamp Program Research Grants to Improve Access Through New Technology and Partnerships (2004)

Food Stamp Program , Outreach Grants (2005)

Food Stamp Program Outreach Grants (2005)

Food Stamp Program Outreach/Participation Program (2008)

Special Nutrition Assistance Program

Outreach/Participation Program (2008)

Supplemental Nutrition Assistance Program, Outreach/Participation Program (2009)

### 10.581

WIC Discretionary Grant Funds (2004)

Deleted (2004)

### 10.582

Fresh Fruit and Vegetable Program (2005)

### 10.583

Hunger Free Communities (2010)

### 10.585

FNS Food Safety Grants (2010)

### 10.586

Office of Research and Analysis (ORA) Grants/Cooperative Agreements to Meet Food, Nutrition and Health Needs of Program Eligible Participants (2011)

### 10.588

Assessment of Alternatives to Face-to-Face Interviews in SNAP (2011)

### 10.600

Export Market Development (1967B)

Agricultural Export Services (1969B)

Foreign Market Development and Promotion (1970B)

Foreign Agricultural Market Development and Promotion (1972B)

Archived (1975B)

Reinstated (1985U)

Foreign Market Development Cooperation Program (1997B)

Foreign Market Development Cooperator Program (1999B)

### 10.601

Targeted Export Assistance (1987B)

Market Promotion Program (1991B)

Market Access Program (1997B)

### 10.603

Emerging Markets Program (2002B)

### 10.604

Technical Assistance for Specialty Crops Program (2004)

### 10.605

Quality Samples Program (2004)

### 10.606

Food for Progress (2003B)

### 10.607

Section 416(b) (2003B)

Archived (2010)

### 10.608

Food for Education (2003B)

### 10.609

Trade Adjustment Assistance (2004)

### 10.610

Export Guarantee Program (2010)

### 10.611

Regional Centers for the Transfer of Manufacturing Technology (1989B)

### 10.613

Faculty Exchange Program (2011)

### 10.614

Scientific Cooperation Exchange Program with China (2011)

### 10.650

Forest Service Cooperative State and Private Programs (1965B)

Forestry Cooperative Programs (1969B)

State and Private Forestry Cooperation (1970B)

Split into 10.655, 10.656, 10.657, 10.658, 10.659, 10.660 (1974B)

### 10.651

Forestry Cooperative Research (1970U)

Archived (1978U)

### 10.652

Forestry Research (1970U)

### 10.653

Land Adjustments (1970U)

Land Exchange in the National Forests (1971B)

Archived (1973B)

### 10.654

Forestry Cooperative Law Enforcement (1973U)

Cooperative Law Enforcement (1975B)

Archived (1977B)

### 10.655

Assistance to States for Tree Planting and Reforestation (1974B)

Split from 10.650 (1974B)

Assistance to States for Tree Improvement (1977B)

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Consolidated into 10.664 (1978U)

## 10.656

Cooperative Forest Fire Control (1974B)  
Split from 10.650 (1974B)  
Consolidated into 10.664 (1978U)

## 10.657

Cooperation in Forest Management and Processing (1974B)  
Split from 10.650 (1974B)  
Consolidated into 10.664 (1978U)

## 10.658

Cooperative Forest Insect and Disease Control (1974B)  
Split from 10.650 (1974B)  
Cooperative Forest Insect and Disease Management (1976B)  
Consolidated into 10.664 (1978U)

## 10.659

Cooperative Production and Distribution of Forest Tree Planting Stock (1974B)  
Split from 10.650 (1974B)  
Consolidated into 10.664 (1978U)

## 10.660

General Forestry Assistance (1974B)  
Split from 10.650 (1974B)  
Consolidated into 10.664 (1978U)

## 10.661

Youth Conservation Corps\_Grants to States (1974B)  
Archived (1982B)

## 10.662

Rural Community Fire Protection (1975U)  
Consolidated into 10.664 (1978U)

## 10.663

Young Adult Conservation Corps (1978B)  
Young Adult Conservation Corps\_Grants to States (1978U)  
Archived (1983B)

## 10.664

Cooperative Forestry Assistance (1978U)  
Consolidated from 10.655, 10.656, 10.657, 10.658, 10.659, 10.660, 10.662 (1978U)

## 10.665

Schools and Roads\_Grants to States (1980U2)  
Secure Payments for States and Counties Containing Federal Land (2008)  
Schools and Roads - Grants to States (2009)

## 10.666

Schools and Roads\_Grants to Counties (1980U2)

## 10.667

School Funds\_Grants to Arizona and New Mexico (1980U2)  
School Funds\_Grants to Arizona (1981B)  
Archived (1984B)

## 10.668

Additional Lands\_Grants to Minnesota (1980U2)  
Archived (1995B)

## 10.669

Accelerated Cooperative Assistance for Forest Programs on Certain Lands Adjacent to the Boundary Waters Canoe Area  
Archived (1992B)

## 10.670

National Forest\_Dependent Rural Communities (1993B)  
Archived (2010)

## 10.671

Southeast Alaska Economic Disaster Fund (1997U)  
Archived (2010)

## 10.672

Rural Development, Forestry and Communities (2000B)  
Rural Development, Forestry, and Communities (2000U)  
Archived (2009)  
Reinstated (2009)

## 10.673

Wood In Transportation Program (2003B)

## 10.674

Technology Marketing Unit (2003B)  
Forest Products Lab: Technology Marketing Unit (TMU) (2005)  
Forest Products Lab: Technology Marketing Unit (TMU) (2005)

## 10.675

Urban and Community Forestry Program (2003B)

## 10.676

Forest Legacy Program (2003B)

## 10.677

Forest Land Enhancement Program (2003B)  
Archived (2010)

## 10.678

Forest Stewardship Program (2003B)

## 10.679

Collaborative Forest Restoration (2005)

## 10.680

Forest Health Protection (2005)

## 10.681

WOOD EDUCATION AND RESOURCE CENTER (WERC) (2008)  
Wood Education and Resource Center (WERC) (2008)

## 10.682

National Forest Foundation (2009)

## 10.683

National Fish and Wildlife Foundation (2009)

## 10.684

International Forestry Programs (2008)

## 10.685

Community Wood Energy Program (2009)  
Archived (2010)  
Reinstated (2011)

## 10.686

Forest Biomass for Energy (2009)  
Archived (2010)

## 10.687

RECOVERY ACT OF 2009: CAPITAL IMPROVEMENT AND MAINTENANCE (2009)

## 10.688

Recovery Act of 2009: Wildland Fire Management (2009)

## 10.689

Community Forest and Open Space Conservation Program (CFP) (2009)

## 10.690

Lake Tahoe Erosion Control Grant Program (2009)

## 10.691

Good Neighbor Authority (2009)

## 10.693

Watershed Restoration and Enhancement Agreement Authority (2009)

## 10.694

Southwest Forest Health and Wildfire Prevention (2010)

## 10.695

EASTERN NEVADA LANDSCAPE RESTORATION PROJECT (ENLRP) (2010)  
Archived (2011)

## 10.700

National Agricultural Library Services (1969B)  
Number changed to 10.883 (1978B)

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Number changed from 10.883 (1981U)  
National Agricultural Library (1982B)

**10.750**  
Information on Agricultural Activities (1969B)  
Archived (1978B)

**10.759**  
PART 1774 Special Evaluation Assistance for  
Rural Communities and Households Program  
(SEARCH) (2009)

**10.760**  
Water and Waste Disposal Systems for Rural  
Communities  
Number changed from 10.418 (1993B)

**10.761**  
Technical Assistance and Training Grants  
Number changed from 10.436 (1993B)

**10.762**  
Solid Waste Management Grants (1993B)

**10.763**  
Emergency Community Water Assistance Grants  
Number changed from 10.440 (1993B)

**10.764**  
Resource Conservation and Development Loans  
Number changed from 10.414 (1993B)  
Archived (1998U)

**10.765**  
Watershed Protection and Flood Prevention Loans  
Number changed from 10.419 (1993B)  
Archived (1998U)

**10.766**  
Community Facilities Loans  
Number changed from 10.423 (1993B)  
Community Facilities Loans (1997U)  
Community Facilities Loans and Grants (1998B)

**10.767**  
Intermediary Relending Program  
Number changed from 10.439 (1993B)

**10.768**  
Business and Industrial Loans  
Number changed from 10.422 (1993B)  
Business and Industry Loans (1998B)

**10.769**  
Rural Development Grants  
Number changed from 10.424 (1993B)  
Rural Business Enterprise Grants (2001B)

**10.770**  
Water and Waste Disposal Loans and Grants

(Section 306C) (1993B)

**10.771**  
Rural Technology Development Grants (1994U)  
Rural Cooperative Development Grants (1997B)

**10.772**  
Empowerment Zones Program (1994U)  
Archived (2010)

**10.773**  
Rural Business Opportunity Grants (1999B)

**10.774**  
National Sheep Industry Improvement Center  
(1998U)  
Archived (2010)

**10.775**  
Renewable Energy Systems and Energy Efficiency  
Improvements Program (2003B)  
Archived (2010)

**10.777**  
Norman E. Borlaug International Agricultural  
Science and Technology Fellowship (2010)

**10.778**  
Research on the Economic Impact of Cooperatives  
(2006)

**10.780**  
Community Facilities Loans and Grants (2009)

**10.781**  
Water and Waste Disposal Systems for Rural  
Communities - ARRA (2009)

**10.783**  
Rural Business Enterprise Grants - ARRA (2009)

**10.787**  
Broadband Initiatives Program (2009)

**10.788**  
Very Low to Moderate Income Housing Loans -  
Direct (2009)

**10.789**  
Very Low to Moderate Income Housing Loans -  
Guaranteed (2009)

**10.800**  
Livestock and Poultry Market Supervision (1969B)  
Number changed to 10.159 (1978B)  
Number changed from 10.159 (1981U)  
Livestock, Meat and Poultry Market Supervision  
(1984B)  
Deleted (2004)

**10.825**

Technical Assistance to Rural Areas (1975B)  
Archived (1977U)

**10.850**  
Rural Electrification Program (1965B)  
Rural Electrification Loans (1970B)  
Rural Electrification Loans and Loan Guarantees  
(1977B)

**10.851**  
Rural Telephone Service (1969B)  
Rural Telephone Loans (1970B)  
Rural Telephone Loans and Loan Guarantees  
(1977B)

**10.852**  
Rural Telephone Bank Loans (1972B)

**10.853**  
Community Antenna Television Loans and Loan  
Guarantees (1980B)  
Archived (2007)

**10.854**  
Rural Economic Development Loans and Grants  
(1988U)  
Number changed from 10.853 (1989B)

**10.855**  
Distant Learning and Medical Link Grants (1992B)  
Distance Learning and Medical Link Grants  
(1993B)  
Distance Learning and Telemedicine Loans and  
Grants (1997B)

**10.856**  
1890 Land Grant Institutions Rural Entrepreneurial  
Outreach Program (2004)

**10.857**  
State Bulk Fuel Revolving Fund Grants (2001U)

**10.858**  
RUS Denali Commission Grants and Loans  
(2002B)  
Denali Commission Grants and Loans (2007)  
Denali Commission Grants and Loans (2011)

**10.859**  
Assistance to High Energy Cost  
Rural\_Communities (2001U)  
Assistance to High Energy Cost\_Rural  
Communities (2002B)  
Assistance to High Energy Cost Rural  
Communities (2007)

**10.860**  
Rural Business Investment Program (2004)  
Archived (2010)

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<b>10.861</b> Public Television Station Digital Transition Grant Program (2005)	Number changed from 10.204 (1978B) Number changed to 10.204 (1981U)	Split from 10.902 (1971B)
<b>10.862</b> Household Water Well System Grant Program (2004)	<b>10.880</b> Payments to 1890 Land-Grant Colleges and Tuskegee Institute (1978B) Split from 10.200 (1978B) Number changed to 10.205 (1981U)	<b>10.906</b> River Basin Surveys and Investigations (1971B) Split from 10.902 (1971B) Consolidated into 10.911 (1996B) Watershed Surveys and Planning (1997B) Archived (2010)
<b>10.863</b> Community Connect Grant Program (2004)	<b>10.881</b> Cooperative Extension Service (1978B) Number changed from 10.500 (1978B) Number changed to 10.500 (1981U)	<b>10.907</b> Snow Survey and Water Supply Forecasting (1971B) Split from 10.902 (1971B)
<b>10.864</b> Grant Program to Establish a Fund for Financing Water and Wastewater Projects (2005)	<b>10.882</b> Higher Education_Land-Grant Colleges and Universities (1978B) Transferred from 13.453 (1978B) Number changed to 10.501 (1981U)	<b>10.908</b> Land Inventory and Monitoring (1977B) Inventory and Monitoring (1978B) Resources Inventory (1983U) Consolidated into 10.902 (1990B)
<b>10.865</b> Biorefinery Assistance (2009)	<b>10.883</b> Technical Information Systems (1978B) Number changed from 10.700 (1978B) Number changed to 10.700 (1981U)	<b>10.909</b> Resource Appraisal and Program Development (1979B) Archived (1983U)
<b>10.866</b> Repowering Assistance (2010)	<b>10.884</b> Grants for Agricultural Research_Competitive Research_Grants (1978B) Number changed to 10.206 (1981U)	<b>10.910</b> Rural Abandoned Mine Program (1979U1) Archived (2010)
<b>10.867</b> BIOENERGY PROGRAM FOR ADVANCED BIOFUELS (2010)	<b>10.885</b> Animal Health and Disease Research (1980B) Number changed to 10.207 (1981U)	<b>10.911</b> Watershed Surveys and Planning Consolidated from 10.904, 10.906 (1996B) Incorporated into 10.906 (1997B)
<b>10.868</b> Rural Energy for America Program (2009)	<b>10.886</b> Rural Broadband Access Loans and Loan Guarantees (2005)	<b>10.912</b> Environmental Quality Incentives Program (1997B)
<b>10.870</b> Rural Microentrepreneur Assistance Program (2009)	<b>10.900</b> Great Plains Conservation (1969B)	<b>10.913</b> Farm Land Protection Program (1997B) Farmland Protection Program (1997U)
<b>10.874</b> Delta Health Care Services Grant Program (2011)	<b>10.901</b> Resource Conservation and Development (1970B)	<b>10.914</b> Wildlife Habitat Incentive Program (1997B)
<b>10.875</b> Agricultural Research_Basic and Applied Research (1978B) Number changed from 10.001 (1978B) Number changed to 10.001 (1981U)	<b>10.902</b> Soil and Water Conservation (1970B) Split into 10.902, 10.905, 10.906, 10.907 (1971B) Consolidated from 10.908 (1990B)	<b>10.915</b> Fund for Rural America_Small Farmer Outreach Training and Technical Assistance (1998B) Archived (1999B)
<b>10.876</b> Grants for Agricultural Research, Special Research Grants (1978B) Number changed from 10.200 (1978B) Number changed to 10.200 (1981U)	<b>10.903</b> National Cooperative Soil Survey (1969B) Soil Survey (1970B)	<b>10.916</b> Watershed Rehabilitation Program (2003B)
<b>10.877</b> Cooperative Forestry Research (1978B) Number changed from 10.202 (1978B) Number changed to 10.202 (1981U)	<b>10.904</b> Watershed Protection and Flood Prevention (1970B) Consolidated into 10.911 (1996B)	<b>10.917</b> Agricultural Management Assistance (2004)
<b>10.878</b> Payments to Agricultural Experiment Stations Under Hatch Act (1978B) Number changed from 10.203 (1978B) Number changed to 10.203 (1981U)	<b>10.905</b> Plant Materials for Conservation (1971B)	<b>10.918</b> Ground and Surface Water Conservation_Environmental Quality Incentives Program (2004) Archived (2010)
<b>10.879</b> Rural Development Research (1978B)		

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<b>10.919</b> Klamath Basin _ Environmental Quality Incentives Program (2004) Archived (2010)	<b>10.998</b> Long Term Standing Agreements for Storage, Transportation, and Lease (2011)	Census Bureau Data Products (1980U1)
<b>10.920</b> Grassland Reserve Program (2004)	<b>10.999</b> LONG TERM STANDING AGREEMENTS FOR STORAGE, TRANSPORTATION AND LEASE (2008) Archived (2011)	<b>11.002</b> Census Data Access and Use Laboratory (1970B) Census Data User Services (1972B) Census Customer Services (1995U)
<b>10.921</b> Conservation Security Program (2004)	<b>DEPARTMENT OF COMMERCE</b> Development Highways and Access Roads for the Appalachian Region (1965B) Administration and Research in Economic Development Programs in Appalachia (1967B) Archived (1969B)	<b>11.003</b> Census Mapping and Statistical Areas (1969B) Census Geography (1970B)
<b>10.922</b> Healthy Forests Reserve Program (HFRP) (2007)	Community Relations Service (1965B) Archived (1967B)	<b>11.004</b> Census Intergovernmental Services (1970B)
<b>10.923</b> Emergency Watershed Protection Program (2007)	Development of Ports (1967B) Archived (1969B)	<b>11.005</b> Census Special Tabulations and Services (1969B)
<b>10.924</b> Conservation Stewardship Program (2011)	Economic Development Districts (1967B) Consolidated into 11.300 (1969B)	<b>11.006</b> Personal Census Age Search (1967B) Personal Census Search (1969B)
<b>10.925</b> Agricultural Water Enhancement Program (2011)	Grants and Loans for Public Works and Development Facilities (1967B) Consolidated into 11.300 (1969B)	<b>11.007</b> Measures and Analyses of U.S. Economy (1972B) Number changed from 11.700 (1972B) Number changed to 11.025 (1976U)
<b>10.926</b> Chesapeake Bay Watershed Program (2011)	Gross National Product Estimates (1967B) Archived (1969B)	<b>11.008</b> NOAA Mission-Related Education Awards (2009)
<b>10.950</b> Agricultural Statistical Reports (1969B) Number changed to 10.252 (1978B) Agriculture Statistical Reports (1981U) Agricultural Statistics Reports (1986U)	High Speed Ground Transportation (1965B) Highway Beautification (1965B) Transferred/Split into 20.202, 20.203, 20.204 (1970B)	<b>11.009</b> TV Converter Box Coupon Program Consumer Education and Technical Assistance (2009) Archived (2010)
<b>10.960</b> Technical Agricultural Assistance (1986B)	Highway Planning and Construction (1965B) Transferred to 20.205 (1970B)	<b>11.010</b> Community Trade Adjustment Assistance (2009)
<b>10.961</b> International Agricultural Research_Collaborative Program (1986B) International Agricultural Research Program (1991U) Scientific Cooperation Program, Incorporated from 10.963 (1999B) Scientific Cooperation and Research (2001B)	Industry and Commodity Information (1965B) Archived (1967B)	<b>11.011</b> Ocean Exploration (2009)
<b>10.962</b> International Training_Foreign Participant (1986B) Cochran Fellowship Program-International Training-Foreign Participant (2006)	Regional Action Planning Commissions (1967B) Consolidated into 11.300 (1969B)	<b>11.012</b> Integrated Ocean Observing System (IOOS) (2009)
<b>10.963</b> Scientific and Technical Cooperation (1990B) Incorporated into 10.961 (1999B)	State Technical Services Program (1967B) Archived (1970B)	<b>11.013</b> Education Quality Award Ambassadorship (2009)
<b>10.994</b> Peanut Quota Buyout Program (2005) Archived (2009)	Supplements to Federal Grant-in-Aid Programs in Appalachia (1965B) Supplemental Grants-in-Aid for Appalachia (1967B) Archived (1969B)	<b>11.025</b> Measures and Analyses of the U.S. Economy (1976U) Number changed from 11.007 (1976U)
<b>10.995</b> Hard White Wheat Incentive Program (2005) Archived (2009)	<b>11.001</b> Statistical Data for Small Areas (1965B) Census Data (1967B) Census and Statistical Reports (1969B)	<b>11.026</b> National Trade Data Bank (NTDB) (1994B) STAT-USA: Key Business, Economic, and International Trade Information (2006)

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Number changed to 11.050 (1980U2)  
Productivity and Economic Growth (1982B)  
Number changed to 11.980 (1989B)  
Economic Bulletin Board (EBB) (1994B)  
State of the Nation (2002B)  
Deleted (2006)

## 11.050

Business Assistance, Services, and Information (1980U2)  
Number changed from 11.027 (1980U2)  
Number changed to 11.110 (1984B)

## 11.100

Export Licensing Service and Information (1969B)  
Number changed to 11.150 (1988B)

## 11.101

International Trade Promotion (1967B)  
Export Trade Promotion (1969B)  
Consolidated into 11.108 (1980B)

## 11.102

Foreign Investment in the United States (1967B)  
Foreign Investment Development in the United States (1969B)  
Archived (1977U)

## 11.103

Commercial Intelligence Service (1967B)  
International Commercial Information (1969B)  
Consolidated into 11.108 (1980B)

## 11.104

Business Assistance, Services, and Information (1973B)  
Number changed from 11.200 (1973B)  
Number changed to 11.027 (1980B)

## 11.105

Importation of Duty-Free Educational and Scientific Materials (1973B)  
Number changed from 11.201 (1973B)  
Archived (1986B)

## 11.106

Remedies for Unfair Foreign Trade Practices\_Antidumping and Countervailing Duty Investigations (2004)

## 11.106A

Trade Adjustment Assistance (1973B)  
Number changed from 11.202 (1973B)  
Number changed to 11.309 (1975U)

## 11.106B

Antidumping Duties (1980B)  
Transferred from 21.200 (1980B)  
Remedies for Unfair Foreign Trade Practices\_Antidumping Duty Investigations

(1991B)  
Remedies for Unfair Foreign Trade Practices\_Antidumping and Countervailing Duty Investigations (1996U)

## 11.107

Countervailing Duty on Imports (1980B)  
Transferred from 21.201 (1980B)  
Remedies for Unfair Foreign Trade Practices\_Countervailing Duty Investigations (1991B)  
Archived (1997B)

## 11.108

International Trade Promotion (1980B)  
Consolidated from 11.101, 11.103 (1980B)  
International Trade (1984B)  
Export Promotion Services (1985B)  
Commercial Service (1995B)

## 11.109

Trade Adjustment Assistance (1980B)  
Archived (1986B)  
Reinstated (1988U)  
Number changed to 11.313 (1991B)

## 11.110

Business Assistance, Services, and Information (1984B)  
Number changed from 11.050 (1984B)  
Trade Development (1985B)  
Manufacturing and Services (2005)  
Manufacturing and Services (2005)

## 11.111

Foreign-Trade Zones in the United States (1986U)

## 11.112

Export Promotion\_Market Development Cooperator (1994B)  
Export Promotion Market Development Cooperation (2002B)  
Market Development Cooperator Program (2007)

## 11.113

ITA Special Projects (1995B)

## 11.114

Special American Business Internship Training Program (1997B)

## 11.115

American Business Center (1998U)  
Archived (2001B)

## 11.150

Export Licensing Service and Information (1988B)  
Number changed from 11.100 (1988B)

## 11.200

Information and Services to Industrial Community (1967B)  
Business Assistance, Services and Information (1969B)  
Number changed to 11.104 (1973B)

## 11.201

Importation of Duty-Free Educational and Scientific Materials (1969B)  
Number changed to 11.105 (1973B)

## 11.202

Trade Adjustment Assistance (1971U)  
Number changed to 11.106 (1973B)

## 11.300

Public Works and Economic Development (1965B)  
Economic Development\_Grants and Loans for Public Works and Development Facilities (1969B)  
Split into 11.300, 11.301, 11.302, 11.303 (1969B)  
Archived (1973B)  
Reinstated (1973U)  
Economic Development\_Grants and Loans for Public Works and Development Facilities (1973U)  
Economic Development\_Grants for Public Works and Development Facilities (1981U)  
Economic Development\_Grants for Public Works and Infrastructure Development (1995B)  
Grants for Public Works and Economic Development (1999B)  
Grants for Public Works and Economic Development Facilities (2002B)  
Investments for Public Works and Economic Development Facilities (2007)

## 11.301

Economic Development\_Loans for Businesses and Development Companies (1969B)  
Split from 11.300 (1969B)  
Archived (1973B)  
Reinstated (1973U)  
Economic Development\_Business Development Assistance (1975B)  
Archived (1993U)

## 11.302

Economic Development\_Assistance for Distressed Areas (1969B)  
Split from 11.300 (1969B)  
Economic Development\_Planning Assistance (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Economic Development\_Support for Planning Organizations (1975B)  
Archived (1999B)  
Reinstated/Incorporated from 11.305 (2000B)

## 11.303

Economic Development\_Technical Assistance

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Research, and Information (1969B)  
Split from 11.300 (1969B)  
Economic Development\_Technical Assistance (1970B)  
Archived (1973B)  
Reinstated (1973U)

**11.304**  
Economic Development\_Public Works Impact Projects (1972B)  
Archived (1973B)  
Reinstated (1973U)  
Economic Development\_Public Works Impact Program (1990U)  
Archived (1999B)

**11.305**  
Economic Development\_State and Local Economic Development Planning (1975B)  
Incorporated into 11.302 (2000B)

**11.306**  
Economic Development\_District Operational Assistance (1975B)  
Archived (1986B)

**11.307**  
Economic Development\_Special Economic Development and Adjustment Assistance Program (1975B)  
Special Economic Development and Adjustment Assistance Program\_Long-Term Economic Deterioration (1979B)  
Split into 11.307, 11.311 (1979B)  
Special Economic Development and Adjustment Assistance Program\_Sudden and Severe or Long-Term Economic Deterioration (1983B)  
Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation or Long-Term Economic Deterioration (1984B)  
Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation and Long-Term Economic Deterioration (1986U)  
Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation (SSED) and Long-Term Economic Deterioration (LTED) (1997B)  
Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation and Long-Term Economic Deterioration (1997U)  
Economic Adjustment Assistance (1999B)

**11.308**  
Grants to States for Supplemental and Basic Funding of Titles I, II, and IV Activities (1975U)  
Grants to States for Supplemental and Basic Funding of Titles I, II, III, IV and IX Activities (1977B)

Archived (1981U)

**11.309**  
Trade Adjustment Assistance (1975U)  
Number changed from 11.106 (1975U)  
Archived (1981U)

**11.310**  
Redevelopment Area Loan Program (Section 204) (1977U)  
Incorporated into 11.307 (1978B)

**11.311**  
Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation (1979B)  
Split from 11.307 (1979B)  
Archived (1981U)

**11.312**  
Research and Evaluation Program (1984B)

**11.313**  
Trade Adjustment Assistance  
Number changed from 11.109 (1991B)  
Trade Adjustment Assistance for Firms (2007)

**11.400**  
Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (2004)

**11.400A**  
6Geodetic Control Surveys and Tideland Studies (1965B)  
Geodesy (1970B)  
Geodetic Control Surveys (1971B)

**11.400B**  
6Geodetic Surveys and Services (1974U)  
Archived (1989B)  
Reinstated (1991B)

**11.401**  
Nautical Charts and Related Data (1965B)  
Archived (1986B)

**11.402A**  
6Weather Bureau River and Flood Forecasting Service (1965B)  
River and Flood Forecasting (1967B)  
River and Flood Forecasts (1969B)  
River and Flood Forecast and Warning Services (1974U)  
Archived (1977U)

**11.402B**  
6Marine Boundary Program (1981B)  
Archived (1986B)

**11.403**  
Seismological Investigations (1970B)  
Archived (1973B)

**11.404**  
Weather and Climate Guidance (1965B)  
Weather and Marine Forecasts and Climate Guidance (1969B)  
Weather Forecasts and Warnings (1970B)  
Weather and River Forecasts and Warnings (1977U)  
Archived (1979B)

**11.405**  
Anadromous and Great Lakes Fisheries Conservation (1971B)  
Transferred from 15.001 (1971B)  
Anadromous Fish Conservation Act Program (1991U)  
Archived (2009)

**11.406**  
Commercial Fisheries Disaster Assistance (1971B)  
Transferred from 15.002 (1971B)  
Archived (1981B)

**11.407**  
Commercial Fisheries Research and Development (1971B)  
Transferred from 15.003 (1971B)  
Interjurisdictional Fisheries Act of 1986 (1987U)

**11.408**  
Current Economic Analysis of Food Fish, Shellfish, and Industrial Fishery Projects (1971B)  
Archived (1973B)  
Reinstated (1980B)  
Fishermen's Contingency Fund (1980B)

**11.409**  
Fisheries Loan Fund (1971B)  
Transferred from 15.005 (1971B)  
Incorporated into 11.415 (1974B)  
Reinstated/Split from 11.415 (1980B)  
Fishing Vessel and Gear Damage Compensation Fund (1980B)  
Archived (1998B)

**11.410**  
Fishermen\_Reimbursement of Losses (1971B)  
Transferred from 15.004 (1971B)  
Fishermen's Guaranty Fund (1981B)  
Number changed to 19.204 (1987B)

**11.411**  
Fishery Cooperative Services (1971B)  
Archived (1986B)

**11.412**  
Fishery Marketing Assistance (1971B)



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Transferred from 15.006 (1971B)  
Archived (1973B)

## 11.413

Fishery Products Inspection and Certification  
(1971B)  
Transferred from 15.007 (1971B)

## 11.414

Fishing Statistics and Market News (1971B)  
Transferred from 15.008 (1971B)  
Archived (1973B)

## 11.415

Fishing Vessel Mortgage and Loan Insurance  
(1971B)  
Transferred from 15.009 (1971B)  
Fishing Vessel Obligation Guarantees (1973B)  
Federal Ship Financing Fund Liquidating Account  
(1992B)  
Fisheries Obligation Guarantee Program (1994U)  
Fisheries Finance Program (1998B)

## 11.416

Jellyfish Control (1971B)  
Transferred from 15.010 (1971B)  
Archived (1973B)

## 11.417

Sea Grant Institutional Support (1971B)  
Transferred from 47.022 (1971B)  
Sea Grant Support (1972B)

## 11.418

Sea Grant Project Support (1971B)  
Transferred from 47.023 (1971B)  
Incorporated into 11.417 (1972B)  
Coastal Zone Management Program Development  
(1974B)  
Reinstated/Split from 11.417 (1974B)  
Archived (1980B)

## 11.419

Coastal Zone Management Program Administration  
(1974U)  
Coastal Zone Management Program Administration  
Grants (1985B)  
Coastal Zone Management Program  
Implementation and Enhancement Awards (1991B)  
Coastal Zone Management Administration Awards  
(1992B)

## 11.420

Coastal Zone Management Estuarine Sanctuaries  
(1975B)  
Coastal Zone Management Estuarine Research  
Reserves (1986U)

## 11.421

Coastal Energy Impact Program\_Formula Grants

(1977U)  
Energy Impact\_Formula Grants (1984B)  
Archived (1986B)

## 11.422

Coastal Energy Impact Program\_Planning Grants  
(1977U)  
Coastal Energy Impact Grants (1985B)  
Archived (1986B)

## 11.423

Coastal Energy Impact Program\_Loans and  
Guarantees (1977U)  
Archived (1985U)

## 11.424

Coastal Energy Impact Program\_Environmental  
Grants (1977U)  
Archived (1983B)

## 11.425

Coastal Energy Impact Program\_Outer Continental  
Shelf State Participation Grants (1980B)  
Archived (1985B)

## 11.426

Ocean Dumping and Monitoring Program (1980B)  
Financial Assistance for Marine Pollution Research  
(1981B)  
Archived (1990B)  
Reinstated (1991B)  
Financial Assistance for National Status and Trends  
Programs (1991B)  
Financial Assistance for Ocean Resources  
Conservation and Assessment Program (1991U)  
Financial Assistance for National Centers for  
Central Coastal Ocean Science (1999B)  
Financial Assistance for National Centers for  
Coastal Ocean Science (1999U)

## 11.427

Fisheries Development and Utilization Research  
and Development Grants and Cooperative  
Agreements Program (1980B)

## 11.428

Intergovernmental Climate\_Demonstration Project  
(1980U1)  
Intergovernmental Climate\_Programs (1983U)  
Intergovernmental Climate\_Program (1995U)  
Intergovernmental Climate\_Program (NESDIS)  
(1999B)  
Deleted (2007)

## 11.429

Marine Sanctuary Program (1985B)

## 11.430

Undersea Research (1987B)

## 11.431

Climate and Atmospheric Research (1987B)  
Climate and Research (1992B)  
Split into 11.459 (1992B)  
Climate and Atmospheric Research (1992U)

## 11.432

Environmental Research Laboratories Joint  
Institutes (1990B)  
Environmental Research Laboratories Cooperative  
Institutes (1992B)  
Office of Oceanic and Atmospheric Research  
(OAR) Cooperative Institutes (1999U)  
Office of Oceanic and Atmospheric Research  
(OAR) Joint and Cooperative Institutes (2001B)  
National Oceanic and Atmospheric Administration  
(NOAA) Cooperative Institutes (2010)

## 11.433

Marine Fisheries Initiative (1990U)

## 11.434

Cooperative Fishery Statistics (1991B)

## 11.435

Southeast Area Monitoring and Assessment  
Program (1991B)

## 11.436

Columbia River Fisheries Development Program  
(1991B)

## 11.437

West Coast Fisheries Data Program (1991B)  
Pacific Fisheries Data Program (1995B)

## 11.438

Pacific Salmon Treaty Program (1991B)  
Pacific Coast Salmon Recovery\_Pacific Salmon  
Treaty Program (2000B)

## 11.439

Marine Mammal Data Program (1991B)

## 11.440

Research in Remote Sensing of the Earth and  
Environment (1991B)  
Environmental Sciences, Applications, Data, and  
Education (2002B)

## 11.441

Regional Fishery Management Councils (1991U)

## 11.442

Research in Oceanographic Data Base Management  
(1991U)  
Archived (1999B)

## 11.443

Short-Term Climate Fluctuations (1992U)  
Short\_Term Climate Fluctuations (1995B)

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Short Term Climate Fluctuations (1995U)

## 11.444

Mahimahi Aquaculture (1991U)  
Aquaculture Program (1994U)  
Direct Housing\_Natural Disaster Loans and Grants (1999B)  
Aquaculture Program (1999U)  
Hawaii Sustainable Fisheries Development (Aquaculture Program) (2004)

## 11.445

Stock Enhancement of Marine Fish in the State of Hawaii (1991U)  
Hawaii Stock Management (2001B)  
Hawaii Stock Management Program (2002B)

## 11.446

Antarctic Marine Living Resources (1991U)  
Archived (1999B)

## 11.448

Federal/State Cooperative Program in Atmospheric Modification Research (1992B)  
Federal/State Cooperative Program in Atmospheric Research (1995B)  
Archived (1997B)  
Reinstated (1998B)  
Archived (1998U)

## 11.449

Independent Education and Science Projects and Programs (1992B)

## 11.450

Integrated Flood Observing and Warning System (IFLOWS) (1993B)

## 11.452

Unallied Industry Projects (1993U)

## 11.454

Unallied Management Projects (1993B)

## 11.455

Cooperative Science and Education Program (1993U)

## 11.457

Chesapeake Bay Studies (1992B)

## 11.458

Alaska Salmon Enhancement (1993B)  
Deleted (2004)  
Consolidated into 11.438 (2004)

## 11.459

Climate and Air Quality Research (1992B)  
Split from 11.431 (1992B)  
Weather and Air Quality Research (2002B)

## 11.460

Congressionally Identified Program Needs (1992B)  
Special Oceanic and Atmospheric Projects (1992U)

## 11.461

Cooperative Institute (1992B)  
Archived (1994U)

## 11.462

Hydrologic Research (1994B)

## 11.463

Habitat Conservation (1993B)

## 11.464

Marine Research\_Regional Programs (1993B)  
Archived (1997B)

## 11.466

Marine Instrumentation Special Projects (1993B)  
Archived (1994B)

## 11.467

Meteorologic and Hydrologic Modernization Development (1993U)

## 11.468

Applied Meteorology Research (1993B)  
Collaborative Applied Hydrometeorological Research Activities (1993U)  
Cooperative Institute for Applied Meteorological Studies (CIAMS) and Cooperative Institute for Tropical Meteorology (CITM) (1994B)  
Applied Meteorological Research (2002B)

## 11.469

Congressionally Identified Construction Projects (1993B)  
Congressionally Identified Awards and Projects (2004)

## 11.470

Office of Administration Special Programs (1993U)  
Deleted (2004)  
Consolidated into 11.481 (2004)

## 11.472

Unallied Science Program (1994U)

## 11.473

Coastal Ecosystem Health (1995U)  
Coastal Services Center (1997B)

## 11.474

Atlantic Coastal Fisheries Cooperative Management Act (1995B)

## 11.477

Fisheries Disaster Relief (1999B)

## 11.478

Coastal Ocean Program (1998B)  
Center for Sponsored Coastal Ocean Research\_Costal Ocean Program (2000B)

## 11.480

National Ocean Service Intern Program (1999B)  
Archived (2009)

## 11.481

Educational Partnership Program (2001U)

## 11.482

Coral Reef Conservation Program (2010)

## 11.500

Construction\_Differential Subsidies (1970B)  
Number changed to 20.800 (1981U)

## 11.501

Marine Development and Promotion Activities (1969B)  
Development and Promotion of Ports and Intermodal Transport Systems (1970B)  
Development and Promotion of Ports and Intermodal Transportation (1975B)  
Number changed to 20.801 (1981U)

## 11.502

Aids to Shipping and Shipbuilding (1967B)  
Shipping and Shipbuilding Assistance (1969B)  
Federal Ship Mortgage Insurance (1970B)  
Federal Ship Financing Guarantees (1973B)  
Number changed to 20.802 (1981U)

## 11.503

Maritime War Risk Insurance (1970B)  
Number changed to 20.803 (1981U)

## 11.504

Operating\_Differential Subsidies (1970B)  
Number changed to 20.804 (1981U)

## 11.505

Ship Exchange Program (1967B)  
Ships Exchange and Sales (1969B)  
Ship Sales (1972U)  
Number changed to 20.805 (1981U)

## 11.506

State Marine Schools (1967B)  
Number changed to 20.806 (1981U)

## 11.507

Maritime Manpower Training (1969B)  
U.S. Merchant Marine Academy (1970B)  
Number changed to 20.807 (1981U)

## 11.508

Capital Construction Fund (1973U)

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Number changed to 20.808 (1981U)

## 11.509

Development and Promotion of Domestic Waterborne Transport Systems (1974U)  
Number changed to 20.809 (1981U)

## 11.510

Supplementary Training (1980U2)  
Number changed to 20.810 (1981U)

## 11.511

Research and Development Assistance (1981B)  
Number changed to 20.811 (1981U)

## 11.512

Construction Reserve Fund (1981B)  
Number changed to 20.812 (1981U)

## 11.550

Public Telecommunications Facilities (1979B)  
Transferred from 13.413 (1979B)  
Public Telecommunications Facilities\_Construction and Planning (1986B)  
Public Telecommunications Facilities\_Planning and Construction (1994B)  
Public Telecommunications Facilities Planning and Construction (2004)

## 11.551

Public Telecommunications Services Program (1980U1)  
Archived (1983B)  
National Endowment for Children's Educational Television (1993U)  
Archived (1997B)

## 11.552

Telecommunications and Information Infrastructure Assistance Program (1994B)  
Technology Opportunities (2000B)  
Technology Opportunities Program (2004)  
Deleted (2006)

## 11.553

NYC 9/11 Digital Television Program (2008)

## 11.554

Low-Power Television and Translator Digital-to-Analog Conversion (2007)  
Archived (2010)

## 11.555

Public Safety Interoperable Communications Grant Program (2008)  
Archived (2010)  
Reinstated (2010)

## 11.556

TV Converter Box Coupon Program (2008)

Archived (2010)

## 11.557

Broadband Technology Opportunities Program (BTOP) (2009)

## 11.558

State Broadband Data and Development Grant Program (2009)

## 11.559

Low-Power Television and Translator Upgrade Program (2009)

## 11.600

Building Code (Regulations) Assistance to States (1970B)  
Archived (1978U)

## 11.601

Calibration and Testing Services (1970B)  
Physical Measurement Services Program (1991U)  
Calibration Program (1992B)

## 11.602

Clearinghouse for Scientific and Technical Information (1967B)  
Clearinghouse for Federal Scientific and Technical Information (1970B)  
Number changed to 11.650 (1971B)

## 11.603

Standard Reference Data (1969B)  
National Standard Reference Data System (1970B)

## 11.604

Standard Reference Materials (1969B)

## 11.605

State Invention Program (1970B)  
Archived (1975U)

## 11.606

Weights, Measures, and Other Standards (1967B)  
Weights and Measures Service (1969B)

## 11.607

Experimental Technology Incentives Program (1973U)  
Archived (1975B)

## 11.608

Fire Research and Safety Program (1974U)  
Archived (1978B)

## 11.609

Measurement and Engineering Research and Standards (1983B)

## 11.610

National Center for Standards and Certification Information (1986U)

## 11.611

Manufacturing Technology Centers Program (1992U)  
Manufacturing Extension Program (1993B)  
Manufacturing Technology Centers (1993U)  
Manufacturing Extension Partnership (1994B)  
Consolidated from 11.613 (1995B)

## 11.612

Advanced Technology Program (1990B)  
Archived (2009)

## 11.613

State Technology Extension Program (1990B)  
Consolidated into 11.611 (1995B)

## 11.614

Experimental Program to Stimulate Competitive Technology (1999B)  
Archived (2002B)

## 11.616

Technology Innovation Program (TIP) (2008)

## 11.617

Congressionally-Identified Projects (2002U)

## 11.618

National Institute of Standards and Technology Construction Grant Program (2008)

## 11.650

National Technical Information Service (1971B)  
Number changed from 11.602 (1971B)

## 11.651

Commerce Summary Statistical Data (1972B)  
Incorporated into 11.650 (1973B)  
Reinstated/Split from 11.650 (1980U1)  
Science Information Exchange, Inc. (1980U1)  
Archived (1983B)

## 11.700A

6Measures and Analyses of the U.S. Economy (1969B)  
Measures and Analyses of the United States Economy (1971B)  
Number changed to 11.007 (1972B)

## 11.700B

6Academy Planning Assistance (1977B)  
Transferred to 83.001 (1979B)

## 11.701

Importation of Duty-Free Education and Scientific Materials (1969B)  
State Fire Incident Reporting Assistance (1977B)

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Transferred to 83.002 (1979B)

## 11.702

Internship Program for Postsecondary Students (1999B)

## 11.750

Cooperative Generic Technology Program (1980U2)  
Archived (1982B)

## 11.800

Minority Business Enterprise (1970B)  
Minority Business Enterprise\_Coordination and Technical Assistance (1971B)  
Minority Business Development\_Coordination, Management, and Technical Assistance (1973B)  
Minority Business Development\_Management and Technical Assistance (1978U)  
Minority Business Development Centers (1986U)  
Split into 11.801, 11.802, 11.803 (1986U)  
Basic Minority Business Development Centers (2000B)  
Minority Business Development Centers (2001B)  
Minority Business Enterprise Centers (2006)

## 11.801

American Indian Program (1986U)  
Native American Program (1993U)  
Native American Business Development Centers (2004)  
Naataive American Business Enterprise Centers (2006)

## 11.802

Minority Business and Industry Association\_Minority Chambers of Commerce (1986U)  
Minority Business Resource Development (1991U)  
Minority Business Development (1998B)  
Deleted (2004)

## 11.803

Minority Business Development\_State and Local Government Program (1986U)  
Archived (1988B)  
Reinstated (2002B)

## 11.805

MBDA Business Center (2010)

## 11.806

Minority Business Opportunity Committee Development (2000B)  
Minority Business Opportunity Committee (2002B)  
Archived (2003B)

## 11.900

Patent and Trademark Assistance (1969B)  
Patent and Trademark Technical Information

Dissemination (1970B)

## 11.950

Visitor Services (1969B)  
Community Visitor Services (1972B)  
Archived (1972U)

## 11.951

Promotion of Travel from Abroad (1972B)  
Archived (1973U)  
Matching Funds (1974B)  
Reinstated (1974B)  
Matching Funds (1974B)  
Archived (1980U1)

## 11.975

Telecommunications Management and Analysis (1971U)  
Archived (1973B)

## 11.980

Productivity and Economic Growth  
Changed from 11.027 (1989B)  
Archived (1993B)

## DEPARTMENT OF DEFENSE

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Drainage Improvement (1965B)

Archived (1969B)

Flood, Hurricane or Abnormal Tide Protection (1967B)

Archived (1969B)

Health Benefits for Uniformed Military Servicemen and Dependents (1967B)

Archived (1969B)

Hydroelectric Power Development (1965B)

Archived (1969B)

Information and Guidance on Flood Hazards (1967B)

Archived (1969B)

Military Support of Community Projects (1967B)

Archived (1969B)

Navigation in Rivers and Harbors (1967B)

Archived (1969B)

Nuclear Disaster Planning and Survival (1967B)

Archived (1969B)

Recreation Facilities at Federal Water Resources Projects (1967B)

Archived (1969B)

Water Quality Control (1967B)

Archived (1969B)

Water Resources Development Program (1965B)  
Archived (1967B)

Water Resources Investigation (1967B)  
Archived (1969B)

Water Supply (1967B)  
Archived (1969B)

## 12.000

Issue of Department Of Defense excess equipment (2005)

## 12.001

Machine Tool Loans to Vocational Schools. (1965B)  
Machine Tool Loan to Educational Institutions (1970B)  
Archived (1973B)  
Reinstated (1974B)  
Industrial Equipment Loans to Educational Institutions (1974B)  
Archived (1994B)

## 12.002

Procurement Technical Assistance for Business Firms (1988B)

## 12.100

Aquatic Plant Control (1967B)

## 12.101

Beach Erosion Control (1967B)  
Beach Erosion Control Projects (1971B)

## 12.102

Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation (1984U)  
Emergency Rehabilitation of Flood Control Works and Federally Authorized Coastal Protection Works (1985U)  
Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works (1986U)

## 12.103

Emergency Operations (1965B)  
Emergency Flood and Hurricane Operations (1969B)  
Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protective Works Federally Authorized (1970B)  
Flood Fighting and Rescue Operations (1986U)  
Emergency Operations Flood Response and Post Flood Response (1987U)

## 12.104

Flood Control (1965B)  
Flood Plain Management Services (1969B)

## 12.105

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Protection of Essential Highways, Highway Bridge Approaches, and Public Works (1970B)

## 12.106

Small Flood Control Projects (1970B)  
Flood Control Projects (1971B)

## 12.107

Limited Water Resources Development Projects (1967B)  
Small Navigation Projects (1969B)  
Navigation Projects (1971B)

## 12.108

Snagging and Clearing for Flood Control (1970B)

## 12.109

Snagging and Clearing for Navigation (1970U)  
Protection, Clearing and Straightening Channels (1978B)

## 12.110

Planning Assistance to States (1975U)

## 12.111

Flood Prevention (1983U)  
Emergency Advance Measures for Flood Prevention (1985U)

## 12.112

Payments to States (1986B)  
Payments to States in Lieu of Real Estate Taxes (1987B)

## 12.113

State Memorandum of Agreement Program for the Reimbursement of Technical Services (1991B)

## 12.114

Collaborative Research and Development (1994U)

## 12.116

DEPARTMENT OF DEFENSE  
APPROPRIATION ACT 2003 (2003B)

## 12.117

ARRA Cooperative Agreements, New Mexico (2010)

## 12.118

North Dakota Environmental Infrastructure (Section 594) - ARRA (2010)

## 12.119

Northern Wisconsin Environmental Infrastructure (Section 154) - ARRA (2010)

## 12.120

Northeastern Minnesota Environmental Infrastructure (Section 569) - ARRA (2010)

## 12.121

Montana, Nevada, New Mexico, Utah, Idaho, & Wyoming Environmental Infrastructure (Section 595) - ARRA (2010)

## 12.122

Title VI - Cheyenne River Sioux Tribe, Lower Brule Sioux Tribe, and Terrestrial Wildlife Habitat Restoration, South Dakota - ARRA (2010)

## 12.123

South Central Pennsylvania Environmental Infrastructure (Section 313) - ARRA (2010)

## 12.124

Mississippi Environmental Infrastructure (Section 592) - ARRA (2010)

## 12.125

Southern WV Environmental Infrastructure (Section 340) - ARRA (2010)

## 12.126

Central WV Environmental Infrastructure (Section 571) - ARRA (2010)

## 12.127

Southern and Eastern KY Environmental Infrastructure (Section 531) - ARRA (2010)

## 12.128

Florida Keys Water Quality Improvement Program (Section 109) - ARRA (2010)

## 12.129

Title VI - Cheyenne River Sioux Tribe, Lower Brule Sioux Tribe, and Terrestrial Wildlife Habitat Restoration, South Dakota (2010)

## 12.200

Memorial Plots in National Cemeteries (1970B)  
Transferred to 64.200 (1973U)

## 12.201

National Cemeteries (1969B)  
Transferred to 64.201 (1973U)

## 12.202

Procurement of Headstones and Markers (1970B)  
Transferred to 64.202 (1973U)

## 12.217

Electronic Absentee Systems for Elections (2011)

## 12.234

Civil Defense\_Architect/Engineer Student Development (1972U)

## 12.300

Natural Disasters\_Warning, Survival and Rehabilitation (1967B)

Civil Defense (1969B)

Civil Defense\_Architect/Engineer Faculty Development (1970B)  
Archived (1975B)

## 12.301

Civil Defense\_Architect/Engineer Professional Development (1970B)  
Archived (1977B)  
Basic and Applied Scientific Research, Reinstated (1999B)  
Archived (2002B)

## 12.302

Civil Defense\_Community Action (1970B)  
Civil Defense\_Community Preparedness (1974B)  
Archived (1977B)

## 12.303

Civil Defense\_Community Involvement (1970B)  
Incorporated into 12.302 (1971B)

## 12.304

Civil Defense\_Community Shelter Planning (1970B)  
Archived (1973B)

## 12.305

Civil Defense\_Emergency Operating Centers (1970B)  
Civil Defense\_State and Local Emergency Operating Centers (1977B)  
Archived (1979B)

## 12.306

Civil Defense\_Emergency Water Supply Equipment (1970B)  
Archived (1976U)

## 12.307

Civil Defense\_Exhibits (1970B)  
Archived (1975B)

## 12.308

Civil Defense\_Federal Surplus Personal Property Donations (1970B)  
Archived (1977U)

## 12.309

Civil Defense\_Industrial Participation (1970B)  
Transferred to 83.205 (1980B)

## 12.310

Inspection, Maintenance, and Calibration of Civil Defense Radiological Equipment (1970B)  
Civil Defense\_Radiological Systems Maintenance and Calibration of Civil Defense Radiological Equipment (1974B)  
Civil Defense\_Radiological Systems Maintenance and Training of Radiological Personnel (1976U)

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Transferred to 83.206 (1980B)

## 12.311

Civil Defense\_Marking and Stocking of Public Shelters (1970B)  
Archived (1971U)

## 12.312

Civil Defense\_National Fallout Shelter Survey (1970B)  
Civil Defense\_National Shelter Survey (1975B)  
Transferred to 83.207 (1980B)

## 12.313

Civil Defense\_National Organizations Liaison (1970B)  
Archived (1973B)

## 12.314

Civil Defense\_Staff College (1970B)  
Transferred to 83.400 (1980B)

## 12.315

Civil Defense\_Personnel and Administrative Expenses (1970B)  
Civil Defense\_State and Local Management (1977B)  
Transferred to 83.200 (1980B)

## 12.316

Civil Defense\_Radiation Shielding Design and Advisory Services (1970B)  
Civil Defense\_Radiation Shielding Design (1978B)  
Deleted, Transferred to 83.208 (1980B)

## 12.317

Civil Defense\_Radiological Equipment Donation (1970B)  
Split from 12.300 (1970B)  
Archived (1974U)

## 12.318

Civil Defense\_Shelter Information (1970B)  
Archived (1973B)

## 12.319

Civil Defense\_Survival Supplies, Equipment and Training (1970B)  
Civil Defense\_System Maintenance Services (1972B)  
Civil Defense\_State and Local Maintenance and Services (1977B)  
Transferred to 83.201 (1980B)

## 12.320

Civil Defense\_University Extension (1970B)  
Consolidated into 12.325 (1974B)

## 12.321

Civil Defense\_State and Local Supporting Systems

Equipment (1971B)

Civil Defense\_State and local Supporting Materials (1977B)  
Archived (1980B)

## 12.322

Civil Defense\_Loans of Excess Federal Personal Property (1971B)  
Civil Defense\_Contributions Project Loan Program (1973B)  
Archived (1980B)

## 12.323

Civil Defense\_Education (1971)  
Consolidated into 12.325 (1974B)

## 12.324

Civil Defense\_Architect/Engineer Student Development (1972U)  
Transferred to 83.401 (1980B)

## 12.325

Civil Defense\_State and Local Civil Preparedness Instruction Program (1974B)  
Consolidated from 12.320, 12.323 (1974B)  
Archived (1977B)

## 12.330

Science, Technology, Engineering & Mathematics (STEM) for K-12 & Institutions of Higher Learning- NAVY (2011)

## 12.335

Navy Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (2011)

## 12.350

Department of Defense HIV/AIDS Prevention Program (2006)

## 12.351

Basic Scientific Research - Combating Weapons of Mass Destruction (2007)

## 12.352

Scientific Research - Combating Weapons of Mass Destruction (2007)

## 12.357

ROTC Language and Culture Training Grants (2010)

## 12.360

Research on Chemical and Biological Defense (2007)

## 12.369

Marine Corps Systems Command Federal Assistance Program (2011)

## 12.400

National Guard Armories (1967B)  
Construction Program, Army National Guard (1970B)  
Construction, Army National Guard (1971B)  
Military Construction, Army National Guard (1974B)  
Military Construction, National Guard (1994B)

## 12.401

National Guard Military Operations and Maintenance (O&M) Projects (1996B)

## 12.404

National Guard Civilian Youth Opportunities (2001B)  
National Guard ChalleNGe Program (2010)

## 12.420

Military Medical Research and Development (1991B)

## 12.431

Basic Scientific Research (1992U)

## 12.500

U.S. Soldiers Home (1970B)  
U.S. Soldiers' and Airmen's Home (1972U)  
U.S. Soldiers' and Airmen's Home (USSAH) and U.S. Naval Home (USNH) (1992B)  
Archived (1994B)

## 12.550

International Education\_U.S. Colleges and Universities (1996U)  
National Flagship Language Program Grants To U.S. Institutions Of Higher Education (2006)  
The Language Flagship Grants to Institutions of Higher Education (2011)

## 12.551

National Security Education\_Scholarships (1998B)  
National Security Education Program David L. Boren Scholarships (2006)

## 12.552

National Security Education\_Fellowships (1998B)  
National Security Education Program David L. Boren Fellowships (2006)  
National Security Education Program David L. Boren Fellowships (2006)

## 12.553

National Flagship Language Program (NFLP) Fellowships (2006)  
National Flagship Language Program Fellowships (2006)  
The Language Flagship Fellowships (2011)

## 12.554

English for Heritage Language Speakers Grants to

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U.S. Institutions of Higher Education (2006)

## 12.555

English for Heritage Language Speakers Scholarships (2006)

## 12.556

Competitive Grants: Promoting K-12 Student Achievement at Military-Connected Schools (2009)

## 12.557

Invitational Grants for Military-Connected Schools (2009)

## 12.558

Department of Defense Impact Aid (Supplement, CWSD, BRAC) (2009)

## 12.560

DOD, NDEP, DOTC-STEM Education Outreach Implementation (2010)

## 12.597

Task Force for Business & Stability Operations (2011)

## 12.599

Congressionally Directed Assistance (2010)

## 12.600

Community Economic Adjustment Program (1965B)  
Community Economic Adjustment (1969B)  
Deleted (2007)

## 12.601

Procurement in Labor Surplus Areas (1965B)  
Military Procurement from Labor Surplus Areas (1967B)  
Contracting With Labor Surplus Area Concerns Program (1970B)  
Contracting with Labor Surplus Area Concerns (1971B)  
Archived (1973U)

## 12.602

Small Business Prime Contracting (1970B)  
Archived (1973U)

## 12.603

Small Business Subcontracting Program (1970B)  
Small Business Subcontracting (1971B)  
Archived (1973U)

## 12.605

Small Business Subcontracting (1973B)  
Archived (1973U)

## 12.606

Selected Reserve Educational Assistance Program (1980U1)

Archived (1985U)

## 12.607

Military Base Reuse Studies and Community Planning Assistance (1985B)  
Community Economic Adjustment Planning Assistance (1994B)  
COMMUNITY ECONOMIC ADJUSTMENT ASSISTANCE FOR ESTABLISHMENT, EXPANSION, REALIGNMENT, OR CLOSURE OF A MILITARY INSTALLATION (2007)

## 12.608

Impact Assistance for Areas Affected by the East Coast Trident Program (1985B)  
Archived (1994B)

## 12.609

Selected Reserve Educational Assistance Program (1985U)  
Archived (1994B)

## 12.610

Joint Military/Community Comprehensive Land Use Plans (1989B)  
Joint Land Use Studies (1991U)  
Community Economic Adjustment Planning Assistance for Joint Land Use Studies (2004)

## 12.611

Community Planning Assistance for Defense Industry Adjustments (1992B)  
Community Economic Adjustment Planning Assistance Reduction in Defense Industry Employment (1994B)

## 12.612

Community Base Reuse Plans (1994B)

## 12.613

Growth Management Planning Assistance (1994B)

## 12.614

Community Economic Adjustment Assistance for Advance Planning (2005)  
COMMUNITY ECONOMIC ADJUSTMENT DIVERSIFICATION PLANNING (2007)

## 12.615

RESEARCH AND TECHNICAL ASSISTANCE (2008)

## 12.630

Basic, Applied, and Advanced Research in Science and Engineering (1994U)

## 12.631

Science, Technology, Engineering and Mathematics (STEM) Educational Program: Science, Mathematics And Research for Transformation (SMART) (2010)

## 12.640

Integrated Helicopter Design Tools (1998B)

## 12.700

Donations/Loans of DOD Surplus Property (1971B)  
Donations/Loans of Obsolete DOD Property (1981U)

## 12.750

Uniformed Services University Medical Research Projects (2011)

## 12.800

Air Force Defense Research Sciences Program (1994B)

## 12.900

Language Grant Program (1992U)

## 12.901

Mathematical Sciences Grants Program (1992U)

## 12.902

Information Security Grant Program (1995U)

## 12.910

Research and Technology Development (1992B)

## 12.911

Defense Technology Conversion, Reinvestment, and Transition Assistance (1994B)  
Archived (2002B)

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

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Advance Acquisition of Land (1965B)  
Archived (1969B)

Advances for Public Works Planning (1965B)  
Public Works Planning Advances (1969B)  
Archived (1970B)

American Indians\_Public Housing Program (1965B)  
Public Housing Program for American Indians (1967B)  
Archived (1969B)

Homes Association Residential Subdivision (1967B)  
Archived (1969B)

Low-Rent Public Housing (1965B)  
Incorporated into 14.146 (1970B)

Metropolitan Expeditors to Assist Local Officials (1965B)  
Archived (1969B)

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Supplementary Grants for Planned Metropolitan Development (1967B)  
Archived (1969B)

Urban Information and Technical Assistance Services (1967B)  
Archived (1969B)

Urban Mass Transportation (1965B)  
Transferred to the Department of Transportation (1969B)

Urban Mass Transportation Demonstration Grants (1967B)  
Transferred to the Department of Transportation (1969B)

Urban Renewal Rehabilitation and Code Enforcement (1965B)  
Archived (1969B)

Mortgage Insurance for Armed Services Housing\_Civilian Employees (1969B)  
Archived (1970B)

Mortgage Insurance for Armed Services Housing\_Impacted Areas (1969B)  
Archived (1970B)

Mortgage Insurance for Servicemen's Housing (1969B)  
Archived (1970B)

Alaska Housing (1970B)  
Archived (1970B)

**14.001**  
Flood Insurance (1969B)  
Transferred to 83.100 (1980B)

**14.002**  
Urban Property Protection and Reinsurance Program (1969B)  
Urban Property Insurance (1975B)  
Transferred to 83.101 (1980B)

**14.003**  
Crime Insurance (1971U)  
Transferred to 83.102 (1980B)

**14.004**  
Land Sales\_Undeveloped Plots in Interstate Commerce (1972U)  
Land Sales\_Parcels of Subdivided Land (1976B)  
Number changed to 14.801 (1980B)

**14.005**  
Choice Neighborhoods Planning Grants (2011)

**14.100**  
College Housing Program (1965B)

College Housing Debt Service (1970B)  
Split into 14.100, 14.101 (1970B)  
Archived (1973B)

**14.101**  
College Housing Direct Loans (1970B)  
Split from 14.100 (1970B)  
Incorporated into 14.100 (1971B)

**14.102**  
Housing for Elderly or Handicapped (1964B)  
Housing Loans\_Rental Housing for the Elderly and the Handicapped (1970B)  
Incorporated into 14.103 (1970U)

**14.103**  
Interest Supplements on Mortgages for Rental Housing for Lower Income Families (1969B)  
Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families (1970B)  
Archived (1994B)  
Reinstated (1999B)  
Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families (2005)

**14.104**  
Interest Reduction\_Acquisition and Rehabilitation of Homes for Resale to Lower Income Families (1970U)  
Archived (1978U)

**14.105**  
Interest Supplements on Mortgages for Home Ownership for Lower Income Families (1969B)  
Interest Subsidy\_Homes for Lower Income Families (1970B)  
Archived (1983U)

**14.106**  
Interest Reduction\_Purchase of Rehabilitated Homes by Lower Income Families (1970B)  
Archived (1978U)

**14.107**  
Major Home Improvement Loan Insurance\_Homes in Urban Renewal Areas (1970B)  
Archived (1972B)

**14.108**  
Major Home Improvement Loan Insurance\_Housing Outside Urban Renewal Areas (1970B)  
Rehabilitation Mortgage Insurance (1980B)  
Rehabilitation Mortgage Insurance (2005)  
Rehabilitation Mortgage Insurance (2005)  
Rehabilitation Mortgage Insurance (2006)

**14.109**

Major Home Improvement Loan Insurance\_Rental Housing in Urban Renewal Areas (1970B)  
Archived (1972B)

**14.110**  
Mobile Home Loan Insurance\_Financing Purchase of Mobile Homes as Principal Residence (1970B)  
Mobile Home Loan Insurance\_Financing Purchase of Mobile Homes as Principal Residences of Borrowers (1976B)  
Manufactured (Mobile) Home Insurance\_Financing Purchase of Mobile Homes as Principal Residences of Borrowers (1981B)  
Manufactured (Mobile) Home Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (1984B)  
Manufactured Home Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (1985B)  
Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (2005)  
Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (2006)

**14.111**  
Mortgage Insurance for Purchase and Rehabilitation of Homes for Resale to Low-Income Purchasers (1967B)  
Mortgage Insurance\_Acquisition and Rehabilitation of Homes for Resale to Low Income Families (1970B)  
Incorporated into 14.103 (1971B)

**14.112**  
Mortgage Insurance\_Construction or Rehabilitation of Condominium Projects (1970B)  
Mortgage Insurance\_Construction or Substantial Rehabilitation of Condominium Projects (1980B)  
Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (1989U)  
Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (2005)  
Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (2006)  
Archived (2011)

**14.113**  
Mortgage Insurance\_Conversion of Below Market Rate Rental Housing to Condominium Ownership (1970B)  
Archived (1973B)

**14.114**  
Mortgage Insurance\_Conversion of Below Market Rate Rental Housing to Cooperative Housing (1970B)  
Archived (1971U)

**14.115**



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Mortgage Insurance\_Development of Sales Type Cooperative Projects (1970B)  
Incorporated into 14.126 (1989B)

## 14.116

Mortgage Insurance for Group Practice Facilities (1969B)  
Mortgage Insurance\_Group Practice Facilities (1970B)  
Consolidated into 14.128 (2002B)

## 14.117

Mortgage and Credit Insurance for Residential Rehabilitation and Home Purchase and Improvement (1967B)  
Major Home Improvement (1969B)  
Mortgage Insurance\_Homes (1970B)  
Split into 14.118, 14.119, 14.121 (1970B)  
Mortgage Insurance\_Homes (2005)  
Mortgage Insurance\_Homes (2006)

## 14.118

Mortgage Insurance\_Homes for Certified Veterans (1970B)  
Split from 14.117 (1970B)  
Incorporated into 14.117 (1983U)

## 14.119

Mortgage Insurance for Replacement Housing for Victims of Natural Disasters (1967B)  
Mortgage Insurance\_Homes for Disaster Victims (1970B)  
Split from 14.117 (1970B)  
Mortgage Insurance\_Homes for Disaster Victims (2005)  
Mortgage Insurance\_Homes for Disaster Victims (2006)

## 14.120

Mortgage Insurance for Housing for Families of Low and Moderate Income (1967B)  
Mortgage Insurance for Moderate Income Homes (1969B)  
Mortgage Insurance\_Homes for Low and Moderate Income Families (1970B)  
Archived (2001U)

## 14.121

Mortgage Insurance\_Homes in Outlying Areas (1970B)  
Split from 14.117 (1970B)

## 14.122

Mortgage Insurance\_Homes in Urban Renewal Areas (1970B)  
Mortgage Insurance\_Homes in Urban Renewal Areas (2005)  
Mortgage Insurance\_Homes in Urban Renewal Areas (2006)

## 14.123

Mortgage Insurance in Older, Declining Neighborhoods (1969B)  
Mortgage Insurance\_Housing in Older, Declining Areas (1970B)  
Mortgage Insurance\_Housing in Older, Declining Areas (2005)  
Mortgage Insurance\_Housing in Older, Declining Areas (2006)

## 14.124

Mortgage Insurance\_Investor Sponsored Cooperative Housing (1970B)  
Incorporated into 14.126 (1989B)

## 14.125

Mortgage Insurance for Land Development and New Communities (1967B)  
Mortgage Insurance\_Land Development and New Communities (1970B)  
Mortgage Insurance\_Land Development (1983U)  
Archived (1990B)

## 14.126

Mortgage Insurance\_Management Type Cooperative Projects (1970B)  
Mortgage Insurance\_Cooperative Projects (1989B)

## 14.127

Mortgage Insurance\_Mobile Home Courts (1970B)  
Mortgage Insurance\_Manufactured (Mobile) Home Parks (1981B)

## 14.128

Mortgage Insurance\_Nonprofit Hospitals (1965B)  
Mortgage Insurance\_Hospitals (1971B)

## 14.129

FHA Mortgage Insurance for Nursing Homes (1965B)  
Mortgage Insurance\_Nursing Home and Intermediate Care Facilities (1970B)  
Mortgage Insurance Nursing Homes, Intermediate Care Facilities and Board and Care Homes (1985U)  
Mortgage Insurance\_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (1995B)

## 14.130

Mortgage Insurance for Purchase of Fee Simple Title (1969B)  
Mortgage Insurance Purchased by Homeowners of Fee Simple Title From Lessors (1970B)  
Consolidated into 14.11 (2002B)

## 14.131

Mortgage Insurance\_Purchase of Rehabilitated Homes by Low Income Families (1970B)  
Archived (1971B)

## 14.132

FHA Mortgage Insurance for Cooperative Housing

(1965B)  
Mortgage Insurance\_Purchase of Sales Type Cooperative Housing Units (1970B)  
Mortgage Insurance\_Purchase of Sales-Type Cooperative Housing Units (1989U)  
Deleted (2008)

## 14.133

FHA Mortgage Insurance for Condominiums (1965B)  
Mortgage Insurance for Condominiums (1967B)  
Mortgage Insurance for Condominium Housing (1969B)  
Mortgage Insurance\_Purchase of Units in Condominiums (1970B)

## 14.134

Mortgage Insurance\_Rental Housing (1970B)

## 14.135

Mortgage Insurance\_Rental Housing for Low and Moderate Income Families (1970B)  
Mortgage Insurance\_Rental Housing for Moderate Income Families (1971B)  
Mortgage Insurance\_Rental Housing for Moderate Income Families and Elderly, Market Interest Rate (1989B)  
Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (1989U)

## 14.136

Mortgage Insurance for Rental Housing for Families of Low or Moderate Income (1967B)  
Mortgage Insurance\_Rental Housing for Low and Moderate Income Families, Below-Market Interest Rate (1970B)  
Archived (1971B)

## 14.137

Mortgage Insurance for Low and Moderate Income Housing\_Market Rate (1969B)  
Mortgage Insurance\_Rental Housing for Low and Moderate Income Families, Market Interest Rate (1970B)  
Mortgage Insurance\_Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate (1979U1)  
Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families, Market Interest Rate (1984U)  
Incorporated into 14.126 (1989B)

## 14.138

FHA Mortgage Insurance Rental Housing for the Elderly (1965B)  
Mortgage Insurance for Senior Citizens Housing (1969B)  
Mortgage Insurance\_Rental Housing for the Elderly (1970B)

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- 14.139**  
Mortgage Insurance for Urban Renewal (1965B)  
Mortgage Insurance for Urban Renewal Housing (1969B)  
Mortgage Insurance\_Rental Housing in Urban Renewal Areas (1970B)
- 14.140**  
Mortgage Insurance for Assistance to Special Credit Risk Families (1969B)  
Mortgage Insurance\_Special Credit Risks (1970B)  
Consolidated into 14.11 (2002B)
- 14.141**  
Low and Moderate Income Housing\_Financial Assistance for Non-Profit Sponsors (1969B)  
Nonprofit Housing Sponsor Loans\_Planning Projects for Low and Moderate Income Families (1970B)  
Nonprofit Sponsor Assistance Program (1980B)  
Section 106(b) Nonprofit Sponsor Assistance Program (1987B)  
Archived (1994B)
- 14.142**  
Property Improvement Loan Insurance\_All Existing Structures (1970B)  
Property Improvement Loan Insurance for Improving all Existing Structures and Building of New Nonresidential Structures (1976B)
- 14.143**  
Property Improvement Loan Insurance\_Construction of Nonresidential Farm Structures (1970B)  
Archived (1976B)
- 14.144**  
Property Improvement Loan Insurance\_Construction of Nonresidential or Nonfarm Structures (1970B)  
Archived (1976B)
- 14.145**  
Property Improvement Loan Insurance\_Existing Multifamily Dwellings (1970B)  
Archived (1976B)
- 14.146**  
Public Housing\_Acquisition, Construction, Rehabilitation (1970B)  
Low Income Housing\_Assistance Program (Public Housing) (1977B)  
Public Housing\_Acquisition (Turnkey and Conventional Production Methods) (1980U)  
Public Housing (1983B)  
Number changed to 14.850 (1983U)
- 14.147**  
Public Housing\_Home Ownership (1970B)  
Low Income Housing\_Homeownership Opportunities for Low Income Families (1980U)  
Number changed to 14.851 (1983U)
- 14.148**  
Low-Rent Public Housing\_Leasing (1969B)  
Public Housing\_Leased (1970B)  
Archived (1976B)
- 14.149**  
Rent Supplements for Disadvantaged Persons (1965B)  
Rent Supplements (1969B)  
Rent Supplements\_Rental Housing for Lower Income Families (1970B)  
Archived (1994B)  
Reinstated (1999B)
- 14.150**  
Supplemental Loan Insurance\_Management Type Cooperative Projects (1970B)  
Archived (1971B)
- 14.151**  
FHA Mortgage Insurance for Multifamily Rental Housing (1969B)  
Multifamily Housing Projects Supplemental Loans (1969B)  
Supplemental Loan Insurance\_Multifamily Rental Housing (1970B)
- 14.152**  
Mortgage Insurance\_Experimental Homes (1972B)  
Number changed to 14.507 (1984B)
- 14.153**  
Mortgage Insurance\_Experimental Projects Other Than Housing (1972B)  
Number changed to 14.508 (1984B)
- 14.154**  
Mortgage Insurance\_Experimental Rental Housing (1972B)  
Number changed to 14.509 (1985B)
- 14.155**  
Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (1975B)
- 14.156**  
Lower\_Income Housing Assistance Program (1975B)  
Lower Income Housing Assistance Program\_Section 8 Moderate Rehabilitation (1990U)  
Number changed to 14.856 (1992B)
- 14.157**  
Housing for the Elderly or Handicapped (1977B)  
Housing for the Elderly or Disabled (1991B)  
Supportive Housing for the Elderly (1992U)
- 14.158**  
Public Housing\_Modernization of Projects (1977B)  
Number changed from 14.607 (1977B)  
Public Housing\_Comprehensive Improvement Assistance Program (1977B)  
Number changed to 14.852 (1983U)
- 14.159**  
Section 245 Graduated Payment Mortgage Program (1978U)
- 14.161**  
Single\_Family Home Mortgage Coinsurance (1978U)  
Archived (1990B)
- 14.162**  
Mortgage Insurance\_Combination and Mobile Home Lot Loans (1979U1)  
Mortgage Insurance\_Combination and Manufactured (Mobile) Home Lot Loans (1984B)  
Mortgage Insurance\_Combination and Manufactured Home Lot Loans (1985B)
- 14.163**  
Mortgage Insurance\_Cooperative Financing (1979U2)  
Mortgage Insurance\_Single Family Cooperative Housing (1990U)
- 14.164**  
Operating Assistance for Troubled Multifamily Housing Projects (1980B)  
Archived (2009)
- 14.165**  
Mortgage Insurance\_Homes\_Military Impacted Areas (1980B)
- 14.166**  
Mortgage Insurance\_Homes for Members of the Armed Services (1981B)  
Archived (2000B)
- 14.167**  
Mortgage Insurance\_Two Year Operating Loss Loans, Section 223(d)(f) (1981U)
- 14.168**  
Land Sales\_Parcels of Subdivided Land (1982B)  
Number changed from 14.801 (1982B)  
Land Sales\_Certain Subdivided Land (1989B)  
Land Sales-Certain Subdivided Land (Interstate Land Sales Registration) and Real Estate Settlement Procedures Act (2009)
- 14.169**  
Housing Counseling Program (1982B)  
Number changed from 14.802 (1982B)  
Housing Counseling Assistance Program (1983B)

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<b>14.170</b> Congregate Housing Services Program (1982B) Number changed from 14.803 (1982B) Archived (1998B)	Lower Income Housing Assistance_Section 8 Existing Housing Certificate Program (1990U) Section 8 Rental Certificate Program (1991B) Number changed to 14.857 (1992B)	Federally Assisted Low-Income Housing Drug Elimination (1997U)
<b>14.171</b> Manufactured Housing_Mobile Home Construction (1982B) Number changed from 14.804 (1982B) Manufactured Housing Construction and Safety Standards (1983B) Manufactured Home Construction and Safety Standards (1986U) Manufactured Home Dispute Resolution (2011)	<b>14.181</b> Supportive Housing for Persons with Disabilities (1991B)	<b>14.194</b> Portfolio Reengineering Demonstration Consolidated from 14.187 (1998B) Archived (1999B)
<b>14.172</b> Mortgage Insurance_Growing Equity Mortgages (1983B)	<b>14.182</b> Lower Income Housing Assistance Program_Section 8 New Construction/Substantial Rehabilitation (1991B) Archived (1997B)	<b>14.195</b> Section 8 Housing Assistance Payments Program_Special Allocations (1998B) Section 8 Housing Assistance Payments Program (2009)
<b>14.173</b> Section 223(f)_Coinsurance for Private Lenders (1983B) Section 223(f)_Coinsurance for the Purchase or Refinancing of Existing Multifamily Projects (1983U) Multifamily Coinsurance (1987U) Archived (1993B)	<b>14.183</b> Home Equity Conversion Mortgages (1991U)	<b>14.196</b> Secondary Market for Non-Conforming Loans to Low-Wealth Borrowers Demonstration Program (1999B) Archived (2000B)
<b>14.174</b> Housing Development Grants (1984B) Archived (1994B)	<b>14.184</b> Mortgages Insurance for Single Room Occupancy (SRO) Projects (1991U)	<b>14.197</b> Multifamily Assisted Housing Reform and Affordability Act (1999B) Multifamily Assisted Housing Reform and Affordability Act (2005) Multifamily Assisted Housing Reform and Affordability Act (2006) Archived (2010)
<b>14.175</b> Adjustable Rate Mortgages (1984U)	<b>14.185</b> Homeownership and Opportunity for People Everywhere (1992B) Archived (1997B)	<b>14.198</b> Officer Next Door Sales Program (1999U) Good Neighbor Next Door Sales Program (2007)
<b>14.176</b> Section 221(d) Coinsurance for the Construction or Substantial Rehabilitation of Multifamily Housing Projects (1984U) Consolidated into 14.173 (1987U)	<b>14.186</b> Mortgage Insurance_Equity Loans (1992U) Archived (1997B)	<b>14.199</b> Multifamily Property Disposition (2000B) Multifamily Property Disposition (2005) Multifamily Property Disposition (2006)
<b>14.177</b> Housing Voucher Program (1986U) Section 8 Housing Voucher Program (1989U) Section 8 Rental Voucher Program (1991B) Number changed to 14.855 (1992B)	<b>14.187</b> Preservation of Affordable Housing (1993B) Consolidated into 14.194 (1998B)	<b>14.200</b> Grants for Basic Water and Sewer Facilities (1965B) Water and Sewer Facilities Grants (1967B) Basic Water and Sewer Facilities (1969B) Basic Water and Sewer Facilities_Grants (1970B) Archived (1971B)
<b>14.178</b> Transitional Housing Demonstration Program (1987B) Supportive Housing Demonstration Program (1988B) Number changed to 14.235 (1990B)	<b>14.188</b> HFA Risk Sharing Pilot Program (1994B) Housing Finance Agencies (HFA) Risk Sharing Pilot Program (1994U) Housing Finance Agencies (HFA) Risk Sharing (2002B)	<b>14.201</b> Fellowships for City Planning and Urban Studies (1967B) City Planning and Urban Studies (1969B) Archived (1971B)
<b>14.179</b> Nehemiah Housing Opportunity Grant Program (1988U) Archived (1997B)	<b>14.189</b> Qualified Participating Entities (QPE) Risk Sharing Pilot Program (1994U) Qualified Participating Entities (QPE) Risk Sharing (2002B)	<b>14.202</b> Community Development Training and Research Grants (1967B) Community Development Training (1969B) Archived (1973B)
<b>14.180</b>	<b>14.190</b> Section 8 Community Investment (Pension Fund) Demonstration (1995B) Archived (1997U)	<b>14.203</b> Urban Planning Assistance Program (1965B)

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Comprehensive Planning Assistance (1969B)  
Archived (1981U)

## 14.204

Historic Preservation Grants (1967B)  
Transferred to the Department of Interior (1970U)  
Archived (1971B)

## 14.205

HUD Clearinghouse Service (1970B)

## 14.206

Neighborhood Facilities Program (1965B)  
Neighborhood Facilities Grants (1970B)  
Archived (1971B)

## 14.207

New Communities\_Loan Guarantees (1970B)  
Archived (1983B)

## 14.208

New Communities (1969B)  
New Communities\_Supplementary Grants (1970B)  
Archived (1973B)

## 14.209

Open Space Land Program (1965B)  
Open Space Land Acquisition and Development  
Grants (1970B)  
Archived (1971B)

## 14.210

Public Facility Loans (1965B)  
Archived (1971B)

## 14.211

Surplus Land for Community Development  
(1969B)  
Surplus Land for Low and Moderate Income  
Housing (1980B)  
Archived (1983U)

## 14.212

Urban Beautification Program (1965B)  
Urban Beautification and Improvement Grants  
(1969B)  
Archived (1971B)

## 14.213

Urban Parks and Open Space Land in Build\_Up  
Urban Areas (1970B)  
Archived (1970U)

## 14.214

Urban Systems Engineering Demonstration Grants  
(1970B)  
Archived (1973U)

## 14.215

Workable Program for Community Improvement

(1969B)  
Archived (1971B)

## 14.216

Governmental Management\_Technical Assistance  
and Information Services (1971B)  
Archived (1976B)

## 14.217

Urban Studies Fellowships (1972B)  
Archived (1973B)

## 14.218

Community Development Block  
Grants/Entitlement Grants (1975B)

## 14.219

Community Development Block  
Grants/Discretionary Grants (1975B)  
Community Development Block Grants/Small  
Cities Program (1979B)  
Deleted (2008)  
Deleted (2008)  
Deleted (2008)

## 14.220

Section 312 Rehabilitation Loans (1975B)  
Number changed from 14.308 (1975B)  
Archived (1992B)

## 14.221

Urban Development Action Grants (1978B)  
Archived (1989U)

## 14.222

Urban Homesteading (1978U)  
Archived (1992B)

## 14.223

Indian Community Development Block Grant  
Program (1979U1)  
Consolidated into 14.229 (1982B)  
Reinstated/Split from 14.229 (1983U)  
Number changed to 14.862 (1994B)

## 14.224

Secretary's Discretionary Fund/Community  
Development Disaster Assistance (1980U)  
Archived (1981U)

## 14.225

Secretary's Discretionary Fund/Territories Program  
(1980U)  
Consolidated into 14.229 (1982B)  
Reinstated/Split from 14.229 (1983U)  
Community Development Block Grants/Secretary's  
Discretionary Fund/Insular Areas (1983U)  
Community Development Block Grants/Special  
Purpose Grants/Insular Area (1990B)

## 14.226

Secretary's Discretionary Fund/Innovative Grants  
Program (1980U)  
Archived (1981U)

## 14.227

Secretary's Discretionary Fund/Community  
Development Technical (1981U)  
Consolidated into 14.229 (1982B)  
Reinstated/Split from 14.229 (1983U)  
Community Development Block Grants/Secretary's  
Discretionary Fund/Technical Assistance Program  
(1983U)  
Community Development Block Grants/Special  
Purpose Grants/Insular Area (1990B)  
Archived (2011)

## 14.228

Community Development Block Grants/State's  
Program (1981U)  
Community Development Block Grants/State's  
program and Non-Entitlement Grants in Hawaii  
(2007)

## 14.229

Community Development Block Grants/Secretary's  
Discretionary Fund (1982B)  
Split into 14.223, 14.225, 14.227 (1983U)

## 14.230

Rental Housing Rehabilitation (1984B)  
Archived (1992B)

## 14.231

Emergency Shelter Grants Program (1987B)

## 14.232

Community Development Block Grant/Secretary's  
Discretionary Fund/Special Projects (1987U)  
Archived (1990B)

## 14.234

Community Development Work-Study Program  
(1988U)  
Number changed to 14.512 (1995B)

## 14.235

Supportive Housing Demonstration Program  
(1990B)  
Number changed from 14.178 (1990B)  
Supportive Housing Program (1993B)  
Consolidated from 14.236 (1993U)

## 14.236

Supplemental Assistance for Facilities to Assist the  
Homeless (1990B)  
Number changed from 14.510 (1990B)  
Consolidated into 14.235 (1993U)

## 14.237

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Historically Black Colleges and Universities Program (1991B)

Number changed to 14.520 (2002B)

## 14.238

Shelter Plus Care (1992B)

## 14.239

HOME Investment in Affordable Housing (1992B)

HOME Investment Partnerships Program (1993U)

## 14.240

HOPE for Homeownership of Single Family

Homes (1992B)

Archived (1997B)

## 14.241

Housing Opportunities for Persons with AIDS

(1992U)

## 14.242

John Heinz Neighborhood Development Program

(1993B)

Number changed to 14.510 (1995B)

## 14.243

Opportunities for Youth\_Youthbuild Program

(1993U)

Number changed to 17.274 (2007)

## 14.244

Empowerment Zones Program (1994B)

Renewal Community and Empowerment Zone

Programs (2009)

Archived (2009)

## 14.245

Innovative Homeless Initiative Demonstration

Program (1995U)

Archived (1997B)

## 14.246

Community Development Block Grants/Economic

Development Initiative (1996B)

Community Development Block

Grants/Brownfields Economic Development

Initiative (2003B)

## 14.247

Self-Help Homeownership Opportunity Program

(1997B)

## 14.248

Community Development Block Grants\_Section

108 Loan Guarantees (1997U)

## 14.249

Section 8 Moderate Rehabilitation Single Room

Occupancy (1998B)

## 14.250

Rural Housing and Economic Development

(1999B)

Archived (2010)

## 14.251

Economic Development Initiative-Special Project,

Neighborhood Initiative and Miscellaneous Grants

(2008)

## 14.252

Section 4 Capacity Building for Affordable

Housing and Community Development Grants

(2008)

Section 4 Capacity Building for Community

Development and Affordable Housing (2009)

## 14.253

Community Development Block Grant ARRA

Entitlement Grants (CDBG-R)(Recovery Act

Funded) (2009)

Archived (2010)

## 14.254

Community Development Block Grants/Special

Purpose Grants/Insular Areas (Recovery Act

Funded) (2009)

Archived (2010)

## 14.255

Community Development Block Grants/State's

program and Non-Entitlement Grants in Hawaii

(Recovery Act Funded) (2009)

Archived (2010)

## 14.256

Neighborhood Stabilization Program (Recovery

Act Funded) (2009)

Archived (2010)

## 14.257

Homelessness Prevention and Rapid Re-Housing

Program (Recovery Act Funded) (2009)

Archived (2010)

## 14.258

Tax Credit Assistance Program (Recovery Act

Funded) (2009)

Archived (2010)

## 14.259

CPD's Transformation Initiative Technical

Assistance (2010)

## 14.260

Veterans Homelessness Prevention Demonstration

Program (2010)

Archived (2011)

## 14.261

Homeless Management Information Systems

Technical Assistance (2010)

## 14.262

Homeless Prevention and Rapid Re-Housing

Program Technical Assistance (2010)

## 14.263

Rural Innovation Fund (2010)

## 14.264

Neighborhood Stabilization Program (2011)

## 14.300

Model Neighborhoods in Demonstration Cities

(1967B)

Model Cities Supplementary Grants (1970B)

Archived (1973B)

## 14.301

Basic Water and Sewer Facilities\_Grants (1971B)

Archived (1973B)

## 14.302

Neighborhood Facilities Grants (1971B)

Archived (1973B)

## 14.303

Open Space Land Programs (1971B)

Archived (1973B)

## 14.304

Public Facility Loans (1971B)

Archived (1973B)

## 14.305

Housing Rehabilitation Loans and Grants (1971B)

Archived (1973B)

## 14.306

Neighborhood Development (1971B)

Archived (1973B)

## 14.307

Urban Renewal Projects (1971B)

Archived (1973U)

## 14.308

Housing Rehabilitation Grants (1971U)

Number changed to 14.220 (1975B)

## 14.309

Code Enforcement Grants (1971B)

Archived (1973B)

## 14.310

Teacher Next Door Initiative (2000B)

## 14.311

Single Family Property Disposition (2000B)

## 14.312

New Approach Anti-Drug Grants

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Consolidated from 14.868 (2000B)

## 14.313

Dollar Home Sales (2000U)

## 14.314

Section 202 Assisted Living Conversion Program (2000U)

Assisted Living Conversion for Eligible Multifamily Housing Projects (2002B)

## 14.315

Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (2006)

## 14.316

Housing Counseling Training Program (2006)

## 14.317

Section 8 Housing Assistance Payments Program Special Allocations (Recovery Act Funded) (2009)

## 14.318

Assisted Housing Stability and Energy and Green Retrofit Investments Program (Recovery Act Funded) (2009)

## 14.319

Multifamily Energy Innovation Fund (2011)

## 14.321

FHA Technical Assistance Training Transformation Initiative (2010)

## 14.322

Tenant Resource Network Program (2011)

## 14.323

Emergency Homeowners Loan Program (2011)

## 14.400

Equal Opportunity in Housing (1969B)

## 14.401

Fair Housing Assistance Program (1980B)  
Fair Housing Assistance Program\_State and Local (1983B)

## 14.402

Non-Discrimination in Federally-Assisted Programs (On the Basis of Age) (1982)  
Archived (2009)

## 14.403

Community Housing Resource Board Program (1982)  
Archived (1992B)

## 14.404

Non-Discrimination in Federally Assisted Programs (On the Basis of Handicap) (1983U)

Non-Discrimination in Federally Assisted and Conducted Programs (On the Basis of Handicap) (1988B)

Non-Discrimination in Federally Assisted and Conducted Programs (On the Basis of Disability) (1993U)

Archived (2009)

## 14.405

Non-Discrimination in Federally Assisted Programs (On the Basis of Race, Color or National Origin) (1983U)

Archived (2009)

## 14.406

Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Sex, Handicap or Age) (1983U)

Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Religion, Sex, Disability or Age) (1993U)

Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Religion, or Sex) (1996B)

Archived (2009)

## 14.407

Architectural Barriers Act Enforcement (1988B)  
Archived (2009)

## 14.408

Fair Housing Initiative Program (FHIP) Administrative Enforcement Initiative (1988U)  
Fair Housing Initiatives and Administrative Enforcement Initiative Program (1996B)  
Fair Housing Initiatives Program (2003B)

## 14.409

Fair Housing Initiative Program (FHIP) Education and Outreach Initiative (1988U)

## 14.410

Fair Housing Initiative Program (FHIP) Private Enforcement Initiative (1988U)

## 14.411

Public Housing Affirmative Compliance Actions Program (1990B)  
Archived (1997B)

## 14.412

Employment Opportunities for Lower Income Persons and Businesses (1992U)  
Archived (2009)

## 14.413

Fair Housing Initiatives Program (FHIP) Fair Housing Organization Initiatives (1993B)

Fair Housing Initiatives Program (FHIP) Fair Housing Organizations Initiative (1994U)  
Fair Housing Initiatives and Fair Housing Organizations Initiative Program (1996B)

## 14.414

Non-Discrimination on the Basis of Disability by Public Entities (1993U)  
Archived (2009)

## 14.415

Non-Discrimination on the Basis of Sex in Education Programs and Activities Receiving Federal Financial Assistance (2001B)  
Archived (2009)

## 14.416

Education and Outreach Initiatives (2009)  
Education and Outreach Initiatives (2011)

## 14.417

Fair Housing Organization Initiatives (2009)  
Fair Housing Organization Initiatives (2011)

## 14.418

Private Enforcement Initiatives (2009)

## 14.419

Section 3 Technical Assistance (2010)

## 14.420

Fair Housing Initiatives Program Enforcement Testing Technical Assistance (2010)

## 14.421

Limited English Proficiency Initiative (2011)

## 14.500

Low Income Housing Demonstration Program (1965B)  
Archived (1970U)

## 14.501

Mortgage Insurance\_Experimental Homes (1970B)  
Archived (1971B)

## 14.502

Mortgage Insurance\_Experimental Projects Other Than Housing (1970B)  
Archived (1971B)

## 14.503

Mortgage Insurance for Experimental Housing (1969B)  
Mortgage Insurance\_Experimental Rental Housing (1970B)  
Archived (1971B)

## 14.504

Urban Planning Research and Demonstration (1970B)

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Archived (1973B)

### 14.505

Urban Renewal Demonstration Grant Program (1965B)

Archived (1971B)

### 14.506

General Research and Technology Activity (1972B)

### 14.507

Mortgage Insurance\_Experimental Homes (1984B)

Number changed from 14.152 (1984B)

Archived (1997B)

### 14.508

Mortgage Insurance\_Experimental Projects Other Than Housing (1984B)

Number changed from 14.153 (1984B)

Archived (1997B)

### 14.509

Mortgage Insurance\_Experimental Rental Housing (1985B)

Number changed from 14.154 (1985B)

Archived (1997B)

### 14.510

Supplemental Assistance for Facilities to Assist the Homeless (1988B)

Number changed to 14.236 (1990B)

Joint Community Development Program, Number changed from 14.242 (1995B)

Archived (1997B)

### 14.511

Community Outreach Partnership Center Program (1995B)

### 14.512

Community Development Work-Study Program

Number changed from 14.234 (1995B)

Deleted (2007)

### 14.513

Hispanic-Serving Institutions Work-Study Program (1996U)

Archived (2000U)

### 14.514

Hispanic-Serving Institutions Assisting Communities (1999B)

Archived (2000B)

Reinstated (2000U)

Archived (2011)

### 14.515

Alaska Native/Native Hawaiian Institutions Assisting Communities (2000B)

Archived (2011)

### 14.516

Doctoral Dissertation Research Grants (2001B)

### 14.517

Early Doctoral Student Research Grants (2001B)

Archived (2010)

### 14.518

HUD Urban Scholars Fellowship Grants (2001B)

### 14.519

Tribal Colleges and Universities Program (2001B)

Archived (2011)

### 14.520

Historically Black Colleges and Universities Program (2002B)

Archived (2011)

### 14.521

Universities Rebuilding America Program - Community Design (2005)

### 14.523

Transformation Initiative Research Grants: Sustainable Community Research Grant Program (2010)

### 14.524

Transformation Initiative Research Grants: Natural Experiments (2010)

### 14.525

Transformation Initiative Research Grants: Demonstration and Related Small Grants (2010)

### 14.529

Fellowship Placement Pilot Program (2011)

### 14.550

Solar Energy and Energy Conservation Bank (1983U)

Incorporated into 14.126 (1989B)

### 14.600

Certified Areas Grants (1970B)

Archived (1971B)

### 14.601

Code Enforcement (1965B)

Code Enforcement Grants (1970B)

Archived (1971B)

### 14.602

Community Renewal Program (1965B)

Community Renewal Planning Grants (1970B)

Archived (1971B)

### 14.603

Demolition of Unsound Structures (1967B)

Demolition Grants (1969B)

Archived (1971B)

### 14.604

Housing Rehabilitation Grants (1969B)

Housing Rehabilitation Loans and Grants (1970B)

Archived (1971B)

### 14.605

Interim Assistance for Blighted Areas (1969B)

Interim Assistance for Blighted Areas Grants (1970B)

Archived (1971B)

### 14.606

Neighborhood Development Program (1969B)

Archived (1971B)

### 14.607

Low-Rent Public Housing\_Modernization of Projects (1969B)

Public Housing\_Modernization of Projects (1970B)

Number changed to 14.158 (1977B)

### 14.608

Relocation Assistance and Payments (1969B)

Archived (1971B)

### 14.609

Urban Renewal Projects (1965B)

Archived (1971B)

### 14.701

Disaster Assistance (1973U)

Transferred to 83.300 (1980B)

### 14.702

State Disaster Preparedness Grants (1973U)

Transferred to 83.203 (1980B)

### 14.703

Sustainable Communities Regional Planning Grant Program (2010)

### 14.704

Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants (2010)

### 14.705

Capacity Building for Sustainable Communities (2011)

### 14.800

Neighborhood Self-Help Development (1980B)

Archived (1981U)

### 14.801

# Appendix VII: Historical Profile of Catalog Programs

Land Sales\_Parcels of Subdivided Land (1980B)  
Number changed from 14.004 (1980B)  
Number changed to 14.168 (1982B)

## 14.802

Housing Counseling Service (1969B)  
Archived (1970B)  
Reinstated (1980U)  
Housing Counseling Program (1980U)  
Number changed to 14.169 (1982B)

## 14.803

Congregate Housing Services Program (1980U)  
Number changed to 14.170 (1982B)

## 14.804

Manufactured Housing\_Mobile Home Construction (1981U)  
Number changed to 14.171 (1982B)

## 14.850

Public Housing (1983U)  
Number changed from 14.146 (1983U)  
Public and Indian Housing (1984B)

## 14.851

Low Income Housing\_Homeownership Opportunities for Low Income Families (1983U)  
Number changed from 14.147 (1983U)  
Consolidated into 14.867 (1998B)

## 14.852

Public Housing\_Comprehensive Improvement Assistance Program (1983U)  
Number changed from 14.158 (1983U)  
Public and Indian Housing\_Comprehensive Improvement Assistance Program (1984B)  
Public Housing\_Comprehensive Improvement Assistance Program (1998B)  
Consolidated into 14.872 (2000B)

## 14.853

Public Housing Resident Management Program (1989B)  
Public and Indian Housing Tenant Opportunity Program (1995B)  
Public Housing\_Tenant Opportunities Program (1998B)  
Consolidated into 14.870 (2001B)

## 14.854

Public Housing Drug Elimination Program (1989U)  
Public and Indian Housing Drug Elimination Program (1992B)  
Portion incorporated from 14.863 (1997B)

## 14.855

Section 8 Rental Voucher Program  
Number changed from 14.177 (1992B)  
Consolidated into 14.871 (2000B)

## 14.856

Lower Income Housing Assistance Program\_Section 8 Moderate Rehabilitation  
Number changed from 14.156 (1992B)  
Archived (1998B)  
Reinstated (1999B)

## 14.857

Section 8 Rental Certificate Program  
Number changed from 14.180 (1992B)  
Consolidated into 14.871 (2000B)

## 14.858

HOPE for Public and Indian Housing Homeownership (1992B)  
Archived (1997B)

## 14.859

Public and Indian Housing\_Comprehensive Grant Program (1993U)  
Public Housing\_Comprehensive Grant Program (1998B)  
Consolidated into 14.872 (2000B)

## 14.860

Public and Indian Housing Early Childhood Development (1994U)  
Head Start Public Housing Early Childhood/Development Demonstration (1995B)  
Archived (1996U)

## 14.861

Public and Indian Housing Family Investment Centers Program (1994B)  
Archived (1996U)

## 14.862

Indian Community Development Block Grant Program  
Number changed from 14.223 (1994B)

## 14.863

Public and Indian Housing Youth Sports Program (1995B)  
Portion incorporated into 14.854 (1997B)

## 14.864

Economic Development and Supportive Services Program (1997B)  
Consolidated into 14.870 (2001B)

## 14.865

Public and Indian Housing\_Indian Loan Guarantee Program (1997B)

## 14.866

Revitalization of Severely Distressed Public Housing (1997U)  
Demolition and Revitalization of Severely Distressed Public Housing (1999U)

## 14.867

Indian Housing Block Grants  
Consolidated from 14.851 (1998B)

## 14.868

New Approach Anti-Drug Grants  
Consolidated from 14.192 (1998B)  
Consolidated into 14.312 (2000B)

## 14.869

Title VI Federal Guarantees for Financing Tribal Housing Activities (1999B)

## 14.870

Resident Opportunity and Supportive Services (1999B)  
Consolidated from 14.853, 14.864 (2001B)  
Resident Opportunity and Supportive Services (2006)  
Resident Opportunity and Supportive Services - Homeownership and Family (2006)  
Resident Opportunity and Supportive Services - Service Coordinators (2008)

## 14.871

Section 8 Housing Choice Vouchers  
Consolidated from 14.855, 14.857 (2000B)

## 14.872

Public Housing Capital Fund  
Consolidated from 14.852, 14.859 (2000B)

## 14.873

Native Hawaiian Housing Block Grants (2003B)

## 14.874

Loan Guarantees for Native Hawaiian Housing (2004)

## 14.875

Public Housing Neighborhood Networks Grants (2005)  
Archived (2009)

## 14.876

Resident Opportunity and Supportive Services - Elderly and Persons with Disabilities (2006)  
Archived (2010)

## 14.877

Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (2006)

## 14.878

Affordable Housing Development in Main Street Rejuvenation Projects (2006)

## 14.879

Mainstream Vouchers (2006)



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<b>14.880</b> Family Unification Program (FUP) (2008)	Healthy Homes Demonstration Grants (2010) Archived (2010)	Healthy Homes Production Grant Program (2010)
<b>14.881</b> Moving to Work Demonstration Program (2008)	<b>14.902</b> Lead Technical Studies Grants (2003B) Archived (2009) Reinstated (2010)	<b>14.914</b> Asthma Intervention in Multi-Family Housing Grant Program (2010) Asthma Interventions in Public and Assisted Multifamily Housing (2010)
<b>14.882</b> Native American Housing Block Grants (Formula) Recovery Act Funded (2009) Archived (2011)	<b>14.903</b> Operation Lead Elimination Action Program (2003B) Archived (2009)	<b>DEPARTMENT OF THE INTERIOR</b> Appalachian Region_Sewage Treatment Works Grants (1967B) Archived (1969B)
<b>14.883</b> Native Hawaiian Housing Block Grants (Recovery Act Funded) (2009) Archived (2010)	<b>14.904</b> Lead Outreach Grants (2003B) Archived (2009)	Solid Waste Disposal (1967B) Archived (1969B)
<b>14.884</b> Public Housing Capital Fund Competitive (Recovery Act Funded) (2009)	<b>14.905</b> Lead Hazard Reduction Demonstration Grant Program (2003B)	Identification of Mentally Retarded American Indian Children (1965B) Archived (1970B)
<b>14.885</b> Public Housing Capital Fund Stimulus (Formula) Recovery Act Funded (2009) Archived (2010)	<b>14.906</b> Healthy Homes Technical Studies Grants (2004) Lead and Healthy Homes Technical Studies Grants (2010) Healthy Homes Technical Studies Grants (2010)	Mining Area Restoration in the Appalachian Region (1965B) Appalachian Region_Mining Area Restoration (1967B) Archived (1970B)
<b>14.886</b> Indian Community Development Block Grant Program (Recovery Act Funded) (2009)	<b>14.907</b> Lead-Based Paint Hazard Control in Privately-Owned Housing (Recovery Act Funded) (2009) Archived (2010)	American Indian Credit and Financing Program (1965B) Archived (1967B)
<b>14.887</b> Native American Housing Block Grants (Competitive) Recovery Act Funded (2009) Archived (2010) Reinstated (2010)	<b>14.908</b> Healthy Homes Demonstration Grants (Recovery Act Funded) (2009) Archived (2010)	American Indian Education Financial Assistance (1965B) Archived (1967B)
<b>14.889</b> Choice Neighborhoods (2010)	<b>14.909</b> Lead Hazard Reduction Demonstration Grant Program (Recovery Act Funded) (2009) Archived (2010)	On-Reservation Adult Education Program for American Indians (1965B) Archived (1967B)
<b>14.890</b> Capital Fund Education and Training Community Facilities (2010) Archived (2011)	<b>14.910</b> Healthy Homes Technical Studies Grants (Recovery Act Funded) (2009) Archived (2010)	Post High School Training for American Indian Youth (1965B) Archived (1967B)
<b>14.891</b> Public and Indian Housing Transformation Initiative (TI) Technical Assistance (TA) (2010)	<b>14.911</b> Green and Healthy Housing Technical Studies Grants (2009) Archived (2010)	Summer Programs for American Indian Students (1965B) Archived (1967B)
<b>14.900</b> Lead-Based Paint Hazard Reduction Grant Program (1993U) Lead-Based Paint Hazard Control Program (1994B) Lead-Based Paint Hazard Control in Priority Housing (1996B) Lead-Based Paint Hazard Control in Privately-Owned Housing (1997B)	<b>14.912</b> Lead Hazard Control Capacity Building (2009) Archived (2010)	Programs for American Indians (1969B) Split into "Indian Programs" (1970B)
<b>14.901</b> Healthy Homes Initiative Grants (2000B) Healthy Homes Demonstration Grants (2003B) Healthy Homes Implementation Grant Program (2010)	<b>14.913</b> Healthy Homes Implementation Grant Program (2010)	<b>15.001</b> Anadromous and Great Lakes Fisheries Conservation (1970B) Transferred to 11.405 (1971B)

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Transferred to 11.407 (1971B)

### 15.004

Fishermen\_Reimbursement of Losses (1970B)

Transferred to 11.410 (1971B)

### 15.005

Fisheries Assistance (1965B)

Fisheries Loan Fund (1970B)

Transferred to 11.409 (1971B)

### 15.006

Fishery Marketing Assistance (1970B)

Transferred to 11.412 (1971B)

### 15.007

Fishery Products Inspection and Certification (1970B)

Transferred to 11.413 (1971B)

### 15.008

Fishing Statistics and Market News (1970B)

Transferred to 11.414 (1971B)

### 15.009

Fishing Vessel Mortgage and Loan Insurance (1970B)

Transferred to 11.415 (1971B)

### 15.010

Jellyfish Control (1969B)

Transferred to 11.416 (1971B)

### 15.020

Aid to Tribal Governments (1997B)

### 15.021

Consolidated Tribal Government Program (1997B)

Archived (1999B)

Reinstated (2002B)

Archived (2010)

Reinstated (2010)

### 15.022

Tribal Self-Governance (1997B)

Archived (2010)

Reinstated (2010)

### 15.023

Tribal Self-Governance Grants (1997B)

Archived (2001B)

### 15.024

Indian Self-Determination Contract Support (1997B)

Archived (2010)

Reinstated (2010)

### 15.025

Services to Indian Children, Elderly and Families

(1997B)

Archived (2010)

Reinstated (2010)

### 15.026

Indian Adult Education (1997B)

Archived (2010)

Reinstated (2010)

### 15.027

Assistance to Tribally Controlled Community Colleges and Universities (1997B)

Archived (2010)

Reinstated (2010)

Archived (2010)

Reinstated (2011)

### 15.028

Tribally Controlled Community College Endowments (1997B)

Archived (2010)

Reinstated (2010)

### 15.029

Tribal Courts (1997B)

Archived (2010)

Reinstated (2010)

### 15.030

Indian Law Enforcement (1997B)

Archived (2010)

Reinstated (2010)

### 15.031

Indian Community Fire Protection (1997B)

Archived (2010)

Reinstated (2010)

### 15.032

Indian Economic Development (1997B)

Archived (2010)

Reinstated (2010)

### 15.033

Road Maintenance\_Indian Roads (1997B)

### 15.034

Agriculture on Indian Lands (1997B)

### 15.035

Forestry on Indian Lands (1997B)

Archived (2010)

Reinstated (2010)

### 15.036

Indian Rights Protection (1997B)

Archived (2010)

Reinstated (2010)

### 15.037

Water Resources on Indian Lands (1997B)

Archived (2010)

Reinstated (2010)

### 15.038

Minerals and Mining on Indian Lands (1997B)

Archived (2010)

Reinstated (2010)

### 15.039

Fish, Wildlife, and Parks Programs on Indian Lands (1997B)

### 15.040

Real Estate Programs\_Indian Lands (1997B)

Archived (2010)

Reinstated (2010)

### 15.041

Environmental Quality Services\_Indian Programs (1997B)

Environmental Management\_Indian Programs, Consolidated from 15.056 (1999B)

### 15.042

Indian School Equalization Program (1997B)

Archived (2010)

Reinstated (2010)

### 15.043

Indian Child and Family Education (1997B)

Archived (2010)

Reinstated (2010)

### 15.044

Indian Schools\_Student Transportation (1997B)

### 15.045

Assistance for Indian Children with Severe Disabilities (1997B)

Archived (2010)

Reinstated (2010)

### 15.046

Administrative Cost Grants for Indian Schools (1997B)

### 15.047

Indian Education Facilities, Operations, and Maintenance (1997B)

Archived (2010)

Reinstated (2010)

### 15.048

Bureau of Indian Affairs Facilities\_Operations and Maintenance (1997B)

### 15.049

Irrigation Operations and Maintenance on Indian Lands (1997B)

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<b>15.050</b> Unresolved Indian Hunting and Fishing Rights (1997B)	Improvement and Repair of Indian Detention Facilities (1999B) Archived (2010) Reinstated (2010)	Archived (1978B)
<b>15.051</b> Endangered Species on Indian Lands (1997B) Archived (2010) Reinstated (2010)	<b>15.064</b> Structural Fire Protection_Bureau of Indian Affairs Facilities (1997B) Archived (2010) Reinstated (2010) Archived (2010)	<b>15.107</b> Indian_Engineering Technical Assistance (1970B) Indian Engineering Technical Assistance (1972B) Indian Technical Assistance (1973U) Indian Action Team Program (1976B) Archived (1981U)
<b>15.052</b> Litigation Support for Indian Rights (1997B)	<b>15.065</b> Safety of Dams on Indian Lands (1997B)	<b>15.108</b> Direct Employment Assistance_American Indians (1965B) American Indians_Direct Employment Assistance (1967B) Indian_Employment Assistance (1970B) Indian Employment Assistance (1972B)
<b>15.053</b> Attorney Fees_Indian Rights (1997B)	<b>15.100</b> Adult Vocational Training_American Indians (1965B) Indian_Adult Education (1970B) Indian Education_Adults (1972B) Archived (1978B)	<b>15.109</b> Indian_Federal School Facilities_Dormitory Operations (1970B) Indian Education_Dormitory Operations (1972B) Archived (1978B)
<b>15.054</b> Unresolved Indian Rights Issues (1997B) Archived (1999B)	<b>15.101</b> Indian_Agricultural Extension (1970B) Indian Agricultural Extension (1972B) Archived (1978B)	<b>15.110</b> Federal Schools for American Indians (1965B) Indian_Federal Schools (1970B) Indian Education_Federal Schools (1972B) Archived (1978B)
<b>15.055</b> Alaskan Indian Allotments and Subsistence Preference_Alaska National Interest Lands Conservation Act (1997B) Archived (2009)	<b>15.102</b> Indian_Aid to Tribal Governments (1970B) Indian Tribal Government Operations (1972B) Archived (1978B)	<b>15.111</b> Indian_Forest Fire Suppression and Emergency Rehabilitation (1970B) Indian Forests_Fire Suppression and Emergency Rehabilitation (1972B) Archived (1978B)
<b>15.056</b> Waste Management_Indian Lands (1997B) Consolidated into 15.041 (1999B)	<b>15.103</b> Social Services to American Indian Children (1965B) Indian_Child Welfare Assistance (1970B) Indian Social Services_Child Welfare Assistance (1972B) Consolidated into 15.113 (1999B)	<b>15.112</b> Indian_Forestry Development (1970B) Indian_Forest Management, Protection and Development (1971B) Indian Forests_Management, Protection, and Development (1972B) Archived (1978B)
<b>15.057</b> Navajo-Hopi Indian Settlement Program (1997B) Archived (2010) Reinstated (2010)	<b>15.104</b> Indian_Community Development (1970B) Indian Community Development (1972B) Archived (1974B)	<b>15.113</b> General Assistance and Social Services to American Indians (1965B) Indian_General Assistance (1970B) Indian Social Services_General Assistance (1972B) Consolidated from 15.103 (1999B) Indian Social Services_Welfare Assistance (2001B)
<b>15.058</b> Indian Post Secondary Schools (1997B) Archived (2010) Reinstated (2010)	<b>15.105</b> Indian_Contracts with Indian School Boards (1970B) Indian Education_Contracts with Indian School Boards (1972B) Indian Education_Contracts with Indian Tribal Organizations (1976B) Archived (1978B)	<b>15.114</b> Scholarship Aid for American Indian Students in Higher Education (1965B) Indian_Higher Education (1970B) Indian Education_Colleges and Universities (1972B) Indian Education_Higher Education Grant Program (1982B)
<b>15.059</b> Indian Graduate Student Scholarships (1997B)	<b>15.106</b> Indian_Construction, Maintenance, and Operation of Irrigation Projects and Related Power Systems (1970B) Indian Lands_Irrigation Construction, Maintenance, Operation, and Related Power Systems (1972B)	
<b>15.060</b> Indian Vocational Training_United Tribes Technical College (1997B) Archived (2010) Reinstated (2010)		
<b>15.061</b> Indian Job Placement_United Sioux Tribes Development Corporation (1997B) Archived (2001B) Reinstated (2002B)		
<b>15.062</b> Replacement and Repair of Indian Schools (1997B)		
<b>15.063</b> Construction and Repair of Indian Detention Facilities (1997B)		

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- 15.115**  
Indian\_Housing Development (1970B)  
Indian Housing\_Development (1972B)  
Consolidated into 15.141 (1978B)
- 15.116**  
Indian\_Housing Improvement (1970B)  
Indian Housing\_Improvement (1972B)  
Consolidated into 15.141 (1978B)
- 15.117**  
American Indian Industrial Development Program (1965B)  
Indian\_Industrial and Tourism Development (1970B)  
Indian\_Industrial and Tourism Development and On-the-Job Training (1971B)  
Indian Industrial and Tourism Development and On-the-Job Training (1972B)  
Indian Business Enterprise Development (1975B)  
Archived (1979U1)
- 15.118**  
Indian\_Investment of Tribal Trust Funds and Individual Indian Monies (1970B)  
Indian Investments\_Tribal Trust Funds and Individual Indian Monies (1972B)  
Archived (1978B)
- 15.119**  
Indian\_Range Management (1970B)  
Indian Lands\_Range Management (1972B)  
Archived (1978B)
- 15.120**  
Indian\_Real Estate Appraisal (1970B)  
Indian Lands\_Real Estate Appraisal (1972B)  
Archived (1978B)
- 15.121**  
Indian\_Real Property Management (1970B)  
Indian Lands\_Real Estate Services (1972B)  
Archived (1978B)
- 15.122**  
American Indians\_Construction of Reservation Roads and Bridges (1967B)  
Indian\_Reservation Roads and Bridges (1970B)  
Indian Roads\_Reservation Roads and Bridges (1972B)  
Archived (1978B)
- 15.123**  
Indian\_Revolving Fund for Expert Assistance Loans (1970B)  
Indian Loans\_Claims Assistance (1972B)  
Archived (1993B)
- 15.124**  
Indian\_Revolving Fund for Loans (1970B)
- Indian Loans\_Economic and Social Development (1972B)  
Indian Loans\_Economic Development (1975B)
- 15.125**  
Indian\_Roads Maintenance (1970B)  
Indian Roads\_Maintenance (1972B)  
Archived (1978B)
- 15.126**  
Indian\_Soil and Moisture Conservation (1970B)  
Indian Lands\_Soil and Moisture Conservation (1972B)  
Archived (1978B)
- 15.127**  
Indian\_Transfer of Federally-Owned Buildings, Improvements, and/or Facilities (1970B)  
Indian Property Acquisition\_Transfer of Federally Owned Buildings, Improvements, and/or Facilities (1972B)  
Archived (1978B)
- 15.128**  
Indian\_Transfer of Indian School Properties (1970B)  
Indian Property Acquisition\_Transfer of Indian School Properties (1972B)  
Archived (1978B)
- 15.129**  
Indian\_Tribal Accounting Services (1970B)  
Indian Accounting Services for Tribes (1972B)  
Archived (1978B)
- 15.130**  
Financial Assistance to School Districts for American Indian Education (1965B)  
American Indians\_Financial Assistance to School Districts (1967B)  
Indians\_Assistance to Non-Federal Schools (1970B)  
Indian Education\_Assistance to Non-Federal Schools (1972B)  
Indian Education\_Assistance to Schools (1976B)
- 15.131**  
Indians\_Law and Order (1970B)  
Indian\_Judicial, Crime Prevention, and Enforcement Services (1971B)  
Indian Judicial, Prevention, and Enforcement Services (1972B)  
Indian Law Enforcement Services (1974B)  
Split into 15.131, 15.139 (1977B)  
Archived (1978B)
- 15.132**  
Indian Social Services\_Counseling (1972B)  
Archived (1978B)
- 15.133**  
Native American Business Development Institute (2008)  
Archived (2010)
- 15.134**  
Indian Tribal Affairs Management (1972B)  
Incorporated into 15.102 (1974B)
- 15.135**  
Indian Water Rights (1973U)  
Indian Rights Protection (1974B)  
Archived (1978B)
- 15.136**  
Indian Lands\_Environmental Quality Services (1975B)  
Archived (1978B)
- 15.137**  
Facility School Construction Planning and Equipping (1976B)  
Archived (1978B)
- 15.138**  
Indian Lands\_Minerals and Mining (1976B)  
Archived (1978B)
- 15.139**  
Indian Tribal Judicial Services\_Contracts with Indian Tribal Organizations (1977B)  
Split from 15.131 (1977B)  
Archived (1978B)
- 15.140**  
Indian Lands\_Wildlife and Parks (1977B)  
Archived (1978B)
- 15.141**  
Indian Housing Assistance (1978B)  
Consolidated from 15.115, 15.116 (1978B)
- 15.142**  
Self Determination Grants\_Indian Tribal Governments (1978B)  
Archived (1996U)
- 15.143**  
Training and Technical Assistance\_Indian Tribal Governments (1978B)  
Archived (1996U)
- 15.144**  
Indian Child Welfare Act\_Title II Grants (1980B)
- 15.145**  
Indian Grants\_Economic Development (Indian Grant Program) (1986B)  
Archived (1997B)

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<b>15.146</b> Ironworker Training Program (1993U)	Archived (1983B)	<b>15.221</b> Cooperative Agreements for Research to Public Lands Management (1983U) Cooperative Agreements for Research in Public Lands Management (1985U) Archived (1994B)
<b>15.147</b> Tribal Courts_Trust Reform Initiative (2003B)	<b>15.208</b> Non-Sale Disposals From Public Lands (1971B) Non-Sale Disposals of Material on Public Lands (1973B) Archived (1979B)	<b>15.222</b> Cooperative Inspection Agreements with States and Tribes (1990B)
<b>15.148</b> Tribal Energy Development Capacity Grants (2008)	<b>15.209</b> Sale of Contiguous Public Lands (1971B) Split from 15.204 (1971B) Archived (1972B)	<b>15.223</b> Recreation and Cultural Resource Management (1992B) Split into 15.224, 15.225 (1994B)
<b>15.149</b> FOCUS on Student Achievement Project (2011)	<b>15.210</b> Sale of Forest Products (1971B) Archived (1973B)	<b>15.224</b> Cultural Resource Management Split from 15.223 (1994B)
<b>15.150</b> Juvenile Detention Education (2011)	<b>15.211</b> Sale of Isolated Public Lands (1971B) Split from 15.204 (1971B) Archived (1977B)	<b>15.225</b> Recreation Resource Management Split from 15.223 (1994B)
<b>15.151</b> Education Program Enhancements (2011)	<b>15.212</b> Sale of Public Lands Thought to be Private (1971B) Archived (1979B)	<b>15.226</b> Payments in Lieu of Taxes (1999B)
<b>15.200</b> Land Lease for Airports (1970B) Archived (1979B)	<b>15.213</b> Special Land Use Permits (1971B) Archived (1977B)	<b>15.227</b> Distribution of Receipts to State and Local Governments (2001B)
<b>15.201</b> Leases, Permits, and Easements for Public Works (1970B) Archived (1977U)	<b>15.214</b> Non-Sale Disposals of Mineral Material (1972B) Archived (1979B) Reinstated (1981U)	<b>15.228</b> Wildland Urban Interface Community and Rural Fire Assistance (2001B) National Fire Plan - Wildland Urban Interface Community Fire Assistance (2005) National Fire Plan - Wildland Urban Interface Community Fire Assistance (2006)
<b>15.202</b> Real Property for Public Parks, Public Recreational Areas, and Public Purposes (1965B) Public Land for Recreation, Public Purposes, and Historic Monuments (1970B) Archived (1979B)	<b>15.215</b> Sale of Mineral Material (1972B) Archived (1979B) Reinstated (1981U) Archived (1983B)	<b>15.229</b> Wild Horse and Burro Resource Management (2005)
<b>15.203</b> Public Land for Rights-of-Way (1970B) Archived (1979B)	<b>15.217</b> Cooperative Agreements with Interpretive Associations (1981U) Cooperative Agreements with Cooperating Associations (1983B) Archived (1985B)	<b>15.230</b> Invasive and Noxious Plant Management (2008)
<b>15.204</b> Real Property Sales for Residential, Commercial, Agricultural, Industrial, or Public Uses or Development (1965B) Split into 15.209, 15.211 (1971B)	<b>15.218</b> Special Recreation Permits (1981U) Archived (1985B)	<b>15.231</b> Fish, Wildlife and Plant Conservation Resource Mangement (2005)
<b>15.205</b> Exchange of Public Lands (1971B) Archived (1977B)	<b>15.219</b> Wildlife Habitat Management Technical Assistance (1981U) Archived (1995B)	<b>15.232</b> Wildland Fire Research and Studies Program (2008)
<b>15.206</b> Grazing Privileges (1971B) Grazing Preference (1977U) Archived (1979B) Reinstated (1981U) Mineral Privileges (1982B) Archived (1983B)	<b>15.220</b> Law Enforcement (1981U) Archived (1983B)	<b>15.233</b> Forests and Woodlands Resource Management (2008)
<b>15.207</b> Mineral Leasing (1971B) Archived (1979B) Reinstated (1981U)		<b>15.234</b> Secure Rural Schools and Community Self-Determination (2008)

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<b>15.235</b> Southern Nevada Public Land Management (2008)	Coal Mine Health and Safety Grants (1971B) Number changed to 15.350 (1973U)	(1973U) Number changed from 15.305 (1973U) Transferred to 17.602 (1978B)
<b>15.236</b> Environmental Quality and Protection Resource Management (2008)	<b>15.301</b> Control of Fires in Inactive Coal Deposits (1970B) Archived (1979B)	<b>15.400</b> Outdoor Recreation Program (1965B) Outdoor Recreation_Financial Assistance (1969B) Outdoor Recreation_Acquisition and Development (1971B) Outdoor Recreation_Acquisition, Development and Planning (1974B) Number changed to 15.916 (1981B)
<b>15.237</b> Rangeland Resource Management (2008)	<b>15.302</b> Mine Health and Safety Counseling (1970B) Mine Health and Safety Counseling and Technical Assistance (1971B) Number changed to 15.351 (1973U)	
<b>15.238</b> Challenge Cost Share (2008)	<b>15.303</b> Mineral Research_Grants and Contracts (1970B) Mineral Resources and Environmental Development (1972B) Mineral and Materials Research and Development (1974U) Archived (1975U)	<b>15.401</b> Outdoor Recreation Assistance (1967B) Outdoor Recreation Financial Assistance (1969B) Outdoor Recreation Planning_Financial Assistance (1970B) Outdoor Recreation State Planning_Financial Assistance (1971B) Incorporated into 15.400 (1974B)
<b>15.239</b> Management Initiatives (2008)	<b>15.304</b> Mineral Research and Resource Information (1970B) Mineral Research and Resource Information and Technical Assistance (1971B) Archived (1979B)	<b>15.402</b> Outdoor Recreation Technical Assistance (1967B) Recreation_Technical Assistance (1980U1) Number changed to 15.917 (1981B)
<b>15.240</b> Helium Resource Management (2008)	<b>15.305</b> Mine Health and Safety Education and Training (1971B) Number changed to 15.352 (1973U)	<b>15.403</b> Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (1977B) Number changed to 15.918 (1981B)
<b>15.241</b> Indian Self-Determination Act Contracts, Grants and Cooperative Agreements (2009)	<b>15.306</b> Mine Health and Safety_Grants and Contracts (1971B) Archived (1975U)	<b>15.405</b> National Registry of Natural Landmarks (1978B) Number changed from 15.910 (1978B) National Natural Landmarks Program (1980B) Number changed to 15.910 (1981B)
<b>15.242</b> National Fire Plan - Rural Fire Assistance (2005)	<b>15.307</b> Energy Research_Grants and Contracts (1974U) Transferred to 24.034 (1975B)	<b>15.406</b> National Park Service Centennial Challenge. (2008)
<b>15.250</b> Regulation of Surface Mining and Surface Effects of Underground Coal Mining (1978U) Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (1980U1)	<b>15.308</b> Grants for Mining and Mineral Resources and Research Institutes (1983B) Archived (1995B)	<b>15.407</b> Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (2008)
<b>15.251</b> Grants for Mining and Mineral Resources, Research Institutes, Mineral Research Projects, Scholarships and Fellowships (1978U) Grants for Mining and Mineral Resources and Research Institutes, Mineral Research Projects, Scholarships and Fellowships (1980B) Archived (1981U)	<b>15.350</b> Coal Mine Health and Safety Grants (1973U) Number changed from 15.300 (1973U) Transferred to 17.600 (1978B)	<b>15.410</b> Historic American Buildings Survey (1978B) Number changed from 15.903 (1978B) National Architectural and Engineering Record (1980U1) Number changed to 15.909 (1981B) Historic American Buildings Survey/Historic American Engineering Record (1982B)
<b>15.252</b> Abandoned Mine Land Reclamation Program (1979U2) Abandoned Mine Land Reclamation (AMLR) Program (1982B)	<b>15.351</b> Mine Health and Safety Counseling and Technical Assistance (1973U) Number changed from 15.302 (1973U) Transferred to 17.601 (1978B)	<b>15.411</b> Historic Preservation Grants-In-Aid (1978B) Number changed from 15.904 (1978B) Number changed to 15.904 (1981B)
<b>15.253</b> Not-for-Profit AMD Reclamation (1999B)	<b>15.352</b> Mine Health and Safety Education and Training	
<b>15.254</b> Summer Watershed Intern (2002B) Summer Intern and Year-Long OSM/VISTA Watershed Support (2011)		
<b>15.255</b> Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation (2007)		
<b>15.300</b> Coal Mine Health and Safety (1970B)		

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<b>15.412</b> Archeological Investigations and Salvage (1978B) Number changed from 15.908 (1978B) Archived (1980B)	<b>15.425</b> Offshore Research Technology Center (OTRC) Texas Engineering Experiment Station (TEES) (2006)	<b>15.502</b> Irrigation Systems Rehabilitation and Betterment (1970B) Archived (1994U)
<b>15.413</b> Historic American Engineering Record (1978B) Number changed from 15.909 (1978B) Incorporated into 15.410 (1980U1)	<b>15.426</b> Coastal Impact Assistance Program (CIAP) (2007)	<b>15.503</b> Reclamation Projects (1965B) Water Resources Investigation and Small Reclamation Projects Loans (1967B) Small Reclamation Project Loans for Water Resource Projects (1969B) Small Reclamation Projects (1970B) Archived (1994U)
<b>15.414</b> National Historic Landmark (1978B) Number changed from 15.912 (1978B) Number changed to 15.912 (1981B)	<b>15.427</b> Federal Oil and Gas Royalty Management (2008)	<b>15.504</b> Federal Reclamation Projects (1971B) Archived (1979B) Reclamation and Water Reuse Program, Reinstated (1998B) Water Reclamation and Reuse Program (2001B)
<b>15.415</b> Technical Preservation Services (1978B) Number changed from 15.913 (1978B) Number changed to 15.915 (1981B)	<b>15.428</b> Marine Gas Hydrate Research Activities (2008)	<b>15.505</b> National Water Research and Development Program (1983B) Number changed from 15.950 (1983B) National Water Research Program (1984B) Archived (1984U)
<b>15.416</b> National Register of Historic Places (1978B) Number changed from 15.914 (1978B) Number changed to 15.914 (1981B)	<b>15.429</b> State Select (2011)	<b>15.506</b> Water Desalination Research and Development Program (1999B)
<b>15.417</b> Urban Park and Recreation Recovery Program (1979U2) Number changed to 15.919 (1981B)	<b>15.430</b> 8(g) State Coastal Zone (2011)	<b>15.507</b> Water 2025 (2004) WaterSMART (Sustaining and Manage America's Resources for Tomorrow) (2010)
<b>15.418</b> Park and Recreation Technical Assistance (1980B) Number changed from 15.906 (1980B) Incorporated into 15.402 (1980U1)	<b>15.431</b> Alaska State Select (2011)	<b>15.508</b> Providing Water to At-Risk Natural Desert Terminal Lakes (2004)
<b>15.419</b> HCRS/NPRA Park Practice Program (1980B) Number changed from 15.907 (1980B) Incorporated into 15.402 (1980U1)	<b>15.432</b> California Refuge Account (2011)	<b>15.509</b> Colorado River Basin Salinity Control Program (2007)
<b>15.420</b> Training Institute for Park and Recreation Management (1980B) Number changed from 15.911 (1980B) Incorporated into 15.402 (1980U1)	<b>15.433</b> Flood Control Act Lands (2011)	<b>15.510</b> Colorado Ute Indian Water Rights Settlement Act (2007)
<b>15.421</b> Alaska Coastal Marine Institute (2006)	<b>15.434</b> Geothermal Resources (2011)	<b>15.511</b> Cultural Resources Management (2007)
<b>15.422</b> Louisiana State University (LSU) Coastal Marine Institute (CMI) (2006)	<b>15.435</b> GoMESA (2011)	<b>15.512</b> Central Valley Project Improvement Act, Title XXXIV (2007)
<b>15.423</b> Minerals Management Service (MMS) Environmental Studies Program (ESP) (2006)	<b>15.436</b> Late Disbursement Interest (2011)	<b>15.513</b> Dutch John Federal Property and Disposition Assistance Act (2007)
<b>15.424</b> Marine Minerals Activities (2006)	<b>15.437</b> Minerals Leasing Act (2011)	<b>15.514</b>
	<b>15.438</b> National Forest Acquired Lands (2011)	
	<b>15.439</b> National Petroleum Reserve - Alaska (2011)	
	<b>15.440</b> South Half of the Red River (2011)	
	<b>15.500</b> Atmospheric Water Resources Research (1970B) Archived (1971B)	
	<b>15.501</b> Irrigation and Drainage Systems Loans (1970B) Irrigation Systems Loans (1970U) Irrigation Distribution System Loans (1971B) Distribution System Loans (1984B) Archived (1994U)	

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Reclamation States Emergency Drought Relief (2007)

### 15.515

Federal Resource Protection (2008)  
Archived (2010)

### 15.516

Fort Peck Reservation Rural Water System (2007)

### 15.517

Fish and Wildlife Coordination Act (2007)

### 15.518

Garrison Diversion Unit (2007)

### 15.519

Indian Tribal Water Resources Development, Management, and Protection (2007)

### 15.520

Lewis and Clark Rural Water System (2007)

### 15.521

Lower Rio Grande Valley Water Resources Conservation and Improvement (2007)

### 15.522

Mni Wiconi Rural Water Supply Project (2007)

### 15.523

Perkins County Rural Water System (2007)

### 15.524

Recreation Resources Management (2008)

### 15.525

Rocky Boy's/North Central Montana Regional Water System (2008)

### 15.526

San Gabriel Basin Restoration Project (2007)

### 15.527

San Luis Unit, Central Valley Project (2007)

### 15.528

St. Mary Storage Unit Facilities Rehabilitation Project (2007)

### 15.529

Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (2007)

### 15.530

Water Conservation Field Services Program (WCFSP) (2007)

### 15.531

Yakima River Basin Water Enhancement Project (YRBWEP) (2007)

### 15.532

Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (2007)

### 15.533

California Water Security and Environmental Enhancement (2007)

### 15.534

Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (2008)

### 15.535

Upper Colorado River Basin Fish and Wildlife Mitigation Program. (2009)

### 15.536

Deschutes River Conservancy (DRC) (2009)

### 15.537

Middle Rio Grande Endangered Species Collaborative Program (2009)

### 15.538

Lower Colorado River Multi-Species Conservation Program. (2009)

### 15.539

Equus Beds Division Aquifer Storage Recharge Project (2009)

### 15.540

Lake Mead/Las Vegas Wash Program (2009)

### 15.541

Colorado River Basin Projects Act of 1968 (2009)

### 15.542

Arizona Water Settlement Act of 2004 (2010)

### 15.543

Lake Tahoe Regional Wetlands Development Program (2010)

### 15.544

Platte River Recovery Implementation Program (2010)

### 15.545

Bunker Hill Groundwater Basin, Riverside-Corona Feeder Project (2010)

### 15.546

Youth Conservation Program (2010)

### 15.547

San Jacinto Basin Restoration Fund (2011)

### 15.548

Reclamation Rural Water Supply Program (2011)

### 15.549

Integrated Regional Water Plan for the Central Valley of California (2011)

### 15.550

Increasing Public Awareness of Recreational Opportunities at Reclamation Reservoirs through Fishing and Boating Events for Physically Challenged and Disadvantaged Children. (2011)  
Increasing Public Awareness of Recreational Opportunities at Reclamation Reservoirs for Physically Challenged and Disadvantaged Children (2011)

### 15.551

Madera Water Supply Enhancement Project (2011)

### 15.600

Anadromous Fish Management (1967B)  
Anadromous Fish Conservation (1970B)  
Archived (1996B)

### 15.601

Animal Control (1965B)  
Animal Damage Control (1967B)  
Transferred to 10.213 (1986B)

### 15.602

Conservation Law Enforcement Training Assistance (1970B)  
Archived (2009)

### 15.603

Farm Fish Pond Management (1965B)  
Archived (1986U)

### 15.604

Fish Research (1970B)  
Fishery Research\_Information (1971B)  
Consolidated into 15.975, 15.976 (1994B)

### 15.605

Sport Fish Restoration (1970B)  
Sport Fish Restoration Program (2007)

### 15.606

Migratory Bird Banding and Data Analysis (1970B)  
Consolidated into 15.975, 15.976 (1994B)

### 15.607

Pesticide Appraisal and Monitoring (1970B)  
Environmental Contaminant Evaluation (1978B)  
Resource Contaminant Assessment (1983U)  
Environmental Contaminant (1989B)  
Environmental Contaminants (1993U)  
Archived (1995B)

### 15.608

Sport Fish Management (1965B)



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Sport Fish Technical Assistance (1974U)  
Fishery Resources Technical Assistance (1984U)  
Fish and Wildlife Management Assistance (1986U)

## 15.609

Wildlife Management (1967B)  
Wildlife Enhancement (1970B)  
Wildlife Technical Assistance (1974U)  
Archived (1983U)

## 15.610

Wildlife Research (1970B)  
Wildlife Research Information (1971B)  
Wildlife Ecology Research Information (1979B)  
Wildlife Research Information (1983B)  
Consolidated into 15.975, 15.976 (1994B)

## 15.611

Wildlife Restoration (1970B)  
Wildlife Restoration and Basic Hunter Education (2011)

## 15.612

Rare and Endangered Species Conservation (1976B)  
Endangered Species Conservation (1977B)  
Archived (1995B)

## 15.613

Marine Mammal Grant Program (1979B)  
Archived (1983U)

## 15.614

Coastal Wetlands Planning, Protection and Restoration Act (1992B)

## 15.615

Cooperative Endangered Species Conservation Fund (1992B)

## 15.616

Clean Vessel Act (1993U)

## 15.617

Wildlife Conservation and Appreciation (1994B)

## 15.618

Administrative Grants for Federal Aid in Sport Fish and Wildlife Restoration (1995B)  
Archived (2001B)

## 15.619

Rhinoceros and Tiger Conservation (1996U)  
Rhinoceros and Tiger Conservation Fund (2005)  
Rhinoceros and Tiger Conservation Fund (2006)

## 15.620

African Elephant Conservation (1996U)  
African Elephant Conservation Fund (2005)  
African Elephant Conservation Fund (2006)

## 15.621

Asian Elephant Conservation (1999B)  
Asian Elephant Conservation Fund (2005)  
Asian Elephant Conservation Fund (2006)

## 15.622

Sportfishing and Boating Safety Act (1999B)

## 15.623

North American Wetlands Conservation Fund (1999B)

## 15.625

Wildlife Conservation and Restoration (2001B)  
Archived (2009)  
Reinstated (2011)

## 15.626

Hunter Education and Safety Program (2001B)  
Firearm and Bow Hunter Education and Safety Program (2009)  
Enhanced Hunter Education and Safety Program (2011)

## 15.628

Multi-State Conservation Grants (2001B)  
Multi-State Conservation Grant Program (2007)  
Multistate Conservation Grant Program (2008)

## 15.629

Great Apes Conservation (2001B)  
Great Apes Conservation Fund (2005)  
Great Apes Conservation Fund (2006)

## 15.630

Coastal Program (2002B)

## 15.631

Partners for Fish and Wildlife (2002B)

## 15.632

Conservation Grants Private Stewardship for Imperiled Species (2002B)  
Archived (2009)

## 15.633

Landowner Incentive (2002B)  
Landowner Incentive Program (2007)  
Archived (2009)  
Reinstated (2010)  
Archived (2010)  
Reinstated (2011)

## 15.634

State Wildlife Grants (2002B)

## 15.635

Neotropical Migratory Bird Conservation (2003B)

## 15.636

Alaska Subsistence Management (2004)

## 15.637

Migratory Bird Joint Ventures (2004)

## 15.638

Tribal Landowner Incentive Program (2004)  
Archived (2009)

## 15.639

Tribal Wildlife Grants Program (2004)

## 15.640

Wildlife Without Borders- Latin America and the Caribbean (2004)

## 15.641

Wildlife Without Borders-Mexico (2004)

## 15.642

Challenge Cost Share (2004)

## 15.643

Alaska Migratory Bird Co-Management Council (2004)

## 15.644

Federal Junior Duck Stamp Conservation and Design (2004)

## 15.645

Marine Turtle Conservation Fund (2005)

## 15.647

Migratory Bird Conservation (2005)

## 15.648

Central Valley Project Improvement (CVPI)  
Anadromous Fish Restoration Program (AFRP) (2006)

## 15.649

Service Training and Technical Assistance (Generic Training) (2007)

## 15.650

Research Grants (Generic) (2007)  
Research Grants (Generic) (2008)

## 15.651

Wildlife Without Borders-Africa Program (2007)

## 15.652

Undesirable/Noxious Plant Species (2008)

## 15.653

National Outreach and Communication Program (2007)

## 15.654

Visitor Facility Enhancements - Vehicle Pullouts,

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Interpretive Trails, and Kiosks (2007)  
Visitor Facility Enhancements - Refuges and Wildlife (2011)

### 15.655

Migratory Bird Monitoring, Assessment and Conservation (2008)

### 15.656

Recovery Act Funds - Habitat Enhancement, Restoration and Improvement. (2009)

### 15.657

Endangered Species Conservation Recovery Implementation Funds (2009)

### 15.658

Natural Resource Damage Assessment, Restoration and Implementation (2009)

### 15.659

National Wildlife Refuge Fund (2009)

### 15.660

Endangered Species - Candidate Conservation Action Funds (2009)

### 15.661

Lower Snake River Compensation Plan (2009)

### 15.662

Great Lakes Restoration - Restoration, protection, and enhancement of Great Lakes fish, wildlife, and their habitats. (2010)  
Great Lakes Restoration (2011)

### 15.663

National Fish and Wildlife Foundation (2010)

### 15.664

Fish and Wildlife Coordination and Assistance Programs (2010)

### 15.665

National Wetlands Inventory (2010)

### 15.666

Endangered Species Conservation-Wolf Livestock Loss Compensation and Prevention (2010)

### 15.667

Highlands Conservation Program (2011)

### 15.668

Coastal Impact Assistance Program (2011)

### 15.669

Cooperative Landscape Conservation (2011)

### 15.670

Adaptive Science (2011)

### 15.700

Water Pollution Control\_Waste Treatment Works Construction Grants (1967B)  
Construction Grants for Wastewater Treatment Works (1970B)  
Transferred to 66.400 (1971B)

### 15.701

Water Pollution Control\_Grants for Comprehensive Basin Planning (1967B)  
Water Pollution Control\_Comprehensive Basin Planning Grants (1970B)  
Transferred to 66.401 (1971B)

### 15.702

Water Pollution Control\_Data Publications Services (1970B)  
Transferred to 66.402 (1971B)

### 15.703

Water Pollution Control\_Direct Training (1970B)  
Transferred to 66.403 (1971B)

### 15.704

Water Pollution Control\_Interstate Cooperation and Uniform Laws (1970B)  
Transferred to 66.404 (1971B)

### 15.705

Water Pollution Control\_Research, Development, and Demonstration Grants and Contracts (1965B)  
Water Pollution Control\_Research, Development and Demonstration Program (1970)  
Transferred to 66.405 (1971B)

### 15.706

Water Pollution Control\_Training Grants, Contracts, and Research Fellowships (1967B)  
Water Pollution Control\_Training Grants and Research Training Fellowships (1970B)  
Split into 15.706, 15.710 (1970)  
Transferred to 66.406 (1971B)

### 15.707

Water Pollution Control\_State and Interstate Agency Support (1969B)  
Water Pollution Control\_State and Interstate Program Grants (1970B)  
Transferred to 66.407 (1971B)

### 15.708

Water Pollution Control\_State and Local Manpower Development (1970B)  
Transferred to 66.408 (1971B)

### 15.709

Water Pollution Control\_Technical Assistance and Pollution Surveillance (1970B)  
Transferred to 66.409 (1971B)

### 15.710

Water Pollution Control\_Training Grants (1970B)  
Split from 15.706 (1970B)  
Transferred to 66.410 (1971B)

### 15.711

Water Quality and Pollution Control Data (1970B)  
Transferred to 66.411 (1971B)

### 15.712

Water Quality and Pollution Control\_Orientation and Training Seminars (1970B)  
Transferred to 66.412 (1971B)

### 15.713

Water Quality Management Technical Planning Assistance (1970B)  
Transferred to 66.413 (1971B)

### 15.800

Resources Surveys, Water, Mineral, Fuels, Topographic Maps (1965B)  
Geologic, Mineral, Water Resource, and Topographic Surveys, Investigations, and Research (1967B)  
Split into 15.800, 15.801, 15.802, 15.803, 15.804 (1970B)  
Geologic and Mineral Resource Surveys and Mapping (1970B)  
Consolidated into 15.808 (1986B)

### 15.801

Map Information (1970B)  
Split from 15.800 (1970B)  
Cartographic Information (1974U)  
Cartographic Information, Geologic Information, Hydrologic Information (1989B)  
Archived (1990B)

### 15.802

Minerals Discovery Loan Program (1970B)  
Split from 15.800 (1970B)  
Archived (1982B)

### 15.803

Topographic Surveys and Mapping (1970B)  
Split from 15.800 (1970B)  
National Mapping, Geography and Surveys (1980U1)  
Consolidated into 15.808 (1986B)

### 15.804

Water Resources Investigations (1970B)  
Split from 15.800 (1970B)  
Consolidated into 15.808 (1986B)

### 15.805

Assistance to State Water Resources Research Institutes (1984B)  
Number changed from 15.951 (1984B)

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<b>15.806</b> National Water Resources Research Program (1985B) Archived (1996B)	National Climate Change and Wildlife Service Center (2009) National Climate Change and Wildlife Science Center (2010)	Park Technical Assistance (1979U1) Number changed to 15.418 (1980B)
<b>15.807</b> Earthquake Hazards Reduction Program (1986B) Consolidated from 15.800 (1986B)	<b>15.850</b> Indian Arts and Crafts Development (1970B)	<b>15.907</b> Park Practice Program (1970B) Number changed to 15.419 (1980B)
<b>15.808</b> Geological Survey_Research and Data Acquisition (1986B) Consolidated from 15.800, 15.803, 15.804 (1986B) U.S. Geological Survey_Research and Data Acquisition. Consolidated from 15.977 (1998B)	<b>15.875</b> Economic and Political Development of the Territories and the Trust Territory of the Pacific Islands (1982) Economic, Social, and Political Development of the Territories and the Freely Associated States (1995U) Economic, Social, and Political Development of the Territories (2005) Economic, Social, and Political Development of the Territories (2006)	<b>15.908</b> Archeological Investigations and Salvage (1971B) Number changed to 15.412 (1978B)
<b>15.809</b> National Spatial Data Infrastructure Competitive Cooperative Agreements Program (1997B) National Spatial Data Infrastructure Cooperative Agreements Program (1998U)	<b>15.900</b> Disposal of Surplus Wildlife (1970B) Archived (1986B)	<b>15.909</b> Historic American Engineering Record (1971B) Split from 15.903 (1971B) Number changed to 15.413 (1978B) Number changed from 15.410 (1981B) Historic American Buildings Survey/Historic American Engineering Record (1982B) Archived (1996B)
<b>15.810</b> National Cooperative Geologic Mapping Program (1998B)	<b>15.901</b> Domestic Travel Promotion (1970B) Transferred/Incorporated into 11.950 (1971B)	<b>15.910</b> National Registry of Natural Landmarks (1971B) Number changed to 15.405 (1978B) Number changed from 15.405 (1981B) National Natural Landmarks Program (1981B) Deleted (2008)
<b>15.811</b> Gap Analysis Program (2003B)	<b>15.902</b> Environmental Study Areas (1970B) National Environmental Study Areas (1970U) National Environmental Study Areas and National Environmental Education Development Programs (1975U) National Environmental Study Areas (1980B) Archived (1981B)	<b>15.911</b> Training Institute for Park and Recreation Management (1974U) Number changed to 15.420 (1980B)
<b>15.812</b> Cooperative Research Units Program (2003B)	<b>15.903</b> Historic American Buildings Survey (1969B) Historic American Building Survey_Historic American Engineering Record (1970U) Historic American Buildings Survey (1971B) Split into 15.903, 15.909 (1971B) Number changed to 15.410 (1978B)	<b>15.912</b> National Historic Landmark (1972U) Number changed to 15.414 (1978B) Number changed from 15.414 (1981B)
<b>15.813</b> COOPERATIVE RESEARCH UNITS TRAINING PROGRAM (2007)	<b>15.904</b> Historic Preservation (1969B) Number changed to 15.411 (1978B) Historic Preservation Grants-in-Aid (1978B) Number changed from 15.411 (1981B) Historic Preservation Fund Grants-In-Aid (1985U)	<b>15.913</b> Interagency Historic Architectural Services (1976U) Technical Preservation Services (1977U) Number changed to 15.415 (1978B)
<b>15.814</b> National Geological and Geophysical Data Preservation Program (2008)	<b>15.905</b> National Environmental Education Development (1970B) Archived (1971B)	<b>15.914</b> National Register of Historic Places (1976U) Number changed to 15.416 (1978B) Number changed from 15.416 (1981B)
<b>15.815</b> National Land Remote Sensing_Education Outreach and Research (2008)	<b>15.906</b> Park Planning_Technical Assistance (1969B) Park and Recreation Technical Assistance (1970B)	<b>15.915</b> Technical Preservation Services (1981B) Number changed from 15.415 (1981B)
<b>15.816</b> Minerals Resources External Research Program (2008)		<b>15.916</b> Outdoor Recreation_Acquisition, Development and Planning (1981B) Number changed from 15.400 (1981B)
<b>15.817</b> National Geospatial Program: Building The National Map (2009)		<b>15.917</b> Recreation_Technical Assistance (1981B) Number changed from 15.402 (1981B)
<b>15.818</b> Volcano Hazards Program Research and Monitoring. (2009)		
<b>15.819</b> Energy Cooperatives to Support the National Coal Resources Data System (NCRDS) (2009)		
<b>15.820</b>		

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Archived (1984U)

## 15.918

Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (1981B)

Number changed from 15.403 (1981B)

## 15.919

Urban Park and Recreation Recovery Program (1981B)

Number changed from 15.417 (1981B)

Archived (1989B)

Reinstated (1991B)

Deleted (2005)

## 15.920

Land Acquisition and Development of Comprehensive Management Plan (CMP)\_State of New Jersey\_Pinelands National Reserve (1984B)

Archived (1987B)

## 15.921

Rivers, Trails and Conservation Assistance (1994B)

## 15.922

Native American Graves Protection and Repatriation Act (1997U)

## 15.923

National Center for Preservation Technology and Training (1997B)

## 15.924

Historically Black Colleges and Universities Preservation Initiative (1997U)

## 15.925

National Maritime Heritage Grants (1997U)

## 15.926

American Battlefield Protection (1997U)

## 15.927

Hydropower Recreation Assistance (2002B)

## 15.928

Civil War Battlefield Land Acquisition Grants (2003B)

## 15.929

Save America's Treasures (2004)

## 15.930

Chesapeake Bay Gateways Network (2007)

## 15.931

Conservation Activities by Youth Service Organizations (2007)

## 15.932

Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs). (2009)

## 15.933

Preservation of Japanese American Confinement Sites (2009)

## 15.934

Abandoned Mine Hazard Mitigation (2009)

## 15.935

National Trails System Projects (2009)

## 15.936

Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (2009)

## 15.937

Redwood National Park Cooperative Management with the State of California (2010)

## 15.938

Boston African-American National Historic Site Cooperative Agreement with the Museum of African American History (2010)

## 15.939

National Heritage Area Federal Financial Assistance (2010)

## 15.940

New Bedford Whaling National Historic Park Cooperative Management (2010)

## 15.941

Mississippi National River and Recreation Area State and Local Assistance (2010)

## 15.942

Environmental Education and Conservation - North Cascades Bioregion (2010)

## 15.943

Challenge Cost Share (2010)

## 15.944

Natural Resource Stewardship (2010)

## 15.945

Cooperative Research and Training Programs Resources of the National Park System (2011)

## 15.946

Cultural Resources Management (2011)

## 15.947

Boston Harbor Islands Partnership (2011)

## 15.948

National Fire Plan- Wildland Urban Interface Community Fire Assistance (2011)

## 15.949

National Fire Plan - Rural Fire Assistance (2011)

## 15.950

Additional Water Resources Research (1970B)

National Water Research and Development Program (1979B)

Number changed to 15.505 (1983B)

## 15.951

Water Resource Research\_Assistance to States for Institutes (1970B)

Water Resources Research\_Assistance to State Institutes (1975U)

Water Resources Research and

Technology\_Assistance to State Institutes (1979B)

Water Research Assistance to State Institutes (1983B)

Number changed to 15.805 (1984B)

## 15.952

Water Resource Research\_Matching Grants to State Institutes (1970B)

Water Research and Technology\_Matching Funds to State Institutes (1979B)

Archived (1983B)

## 15.953

Water Resources Scientific Information Center (1972B)

Archived (1983B)

## 15.975

Research Information

Consolidated from 15.604, 15.610 (1994B)

Incorporated into 15.977 (1996B)

## 15.976

Migratory Bird Banding and Data Analysis (1994B)

## 15.977

State Partnerships (1995B)

Incorporated from 15.975 (1996B)

Consolidated into 15.808 (1998B)

## 15.978

Upper Mississippi River System Long Term Resource Monitoring Program (1998B)

## DEPARTMENT OF JUSTICE

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Criminal Justice Act of 1964 (1965B)

Archived (1969B)

Federal Prisoners Rehabilitation Program (1965B)

Archived (1969B)

## Appendix VII: Historical Profile of Catalog Programs

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Law Enforcement Assistance (1965B)

Split into all of the Law Enforcement Assistance Programs (1969B)

National Conference on Bail and Criminal Justice and Follow-Up Programs (1965B)

Archived (1969B)

### 16.001

Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Laboratory Support (1969B)

Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Laboratory Analysis (1970B)

### 16.002

Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_State Legislation (1970B)

Archived (1991U)

### 16.003

Law Enforcement Assistance\_Narcotics and Dangerous Drugs Technical Laboratory Publications (1970B)

### 16.004

Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Training (1969B)

### 16.005

Narcotics and Dangerous Drugs\_Public Education (1969B)

Public Education on Drug Abuse\_Technical Assistance (1970B)

Public Education on Drug Abuse\_Information (1979B)

Deleted (2008)

### 16.006

Municipal Fire and Emergency Services Domestic Preparedness Equipment Support Program (1999B)

County and Municipal Agency Domestic Preparedness Equipment Support Program (1999U)

Archived (2001B)

### 16.007

State and Local Domestic Preparedness Equipment Support Program (1999B)

State Domestic Preparedness Equipment Support Program (1999U)

Transferred to 97.004 (2003B)

### 16.008

State and Local Domestic Preparedness Training Program (2001B)

Transferred to 97.005 (2003B)

### 16.009

State and Local Domestic Preparedness Exercise Support (2001B)

Transferred to 97.006 (2003B)

### 16.010

State and Local Domestic Preparedness Technical Assistance (2001B)

Transferred to 97.007 (2003B)

### 16.011

Urban Areas Security Initiative (2003B)

### 16.012

Alcohol, Tobacco, and Firearms\_Training Assistance (2004)

Number changed from 21.052 (2004)

Number changed from 21.052 (2004)

### 16.013

Violence Against Women Act Court Training and Improvement Grants (2008)

### 16.014

Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (2008)

### 16.015

Missing Alzheimer's Disease Patient Assistance Program (2009)

### 16.016

Culturally and Linguistically Specific Services Program (2008)

### 16.017

Sexual Assault Services Program (2008)

Sexual Assault Services Formula Program (2009)

### 16.018

Services to Advocate for and Respond to Youth (2010)

### 16.019

Tribal Registry (2008)

### 16.020

Children and Youth Exposed (2010)

### 16.100

Desegregation of Public Education\_Civil Rights Act of 1964 (1965B)

Desegregation of Public Education (1970B)

### 16.101

Equal Employment Opportunity\_Civil Rights Act of 1964 (1965B)

Equal Employment Opportunity (1970B)

### 16.102

Equal Enjoyment of Public Accommodations\_Civil Rights Acts of 1964 (1965B)

Equal Employment of Public Accommodations (1970B)

Incorporated into 16.105 (1979B)

### 16.103

Fair Housing (1970B)

Fair Housing and Equal Credit Opportunity (1977U)

### 16.104

Protection of Voting Rights\_Civil Rights Acts of 1957, 1960, 1964, and 1965 (1965B)

Protection of Voting Rights (1970B)

### 16.105

Desegregation of Public Facilities (1972B)

Civil Rights of Institutionalized Persons (1981B)

### 16.106

Indian Civil Rights (1974B)

Archived (1981B)

### 16.107

Special Civil Rights Litigation (1975U)

Incorporated into 16.105 (1979B)

### 16.108

Americans With Disabilities Act Technical Assistance Program (1991U)

Archived (2010)

### 16.109

Civil Rights Prosecution (1992U)

### 16.110

Education and Enforcement of the Antidiscrimination Provision of the Immigration and Nationality Act (1995U)

### 16.123

Community-Based Violence Prevention Program (2010)

### 16.200

Community Relations Service (1967B)

### 16.201

Cuban and Haitian Entrant Resettlement Program (1983U)

Transferred to 97.009 (2003B)

### 16.202

Offender Reentry Program (2001U)

Prisoner Reentry Initiative Demonstration (Offender Reentry) (2006)

Archived (2010)

### 16.203

Sex Offender Management Discretionary Grant (2002B)

Comprehensive Approaches to Sex Offender Management Discretionary Grant (CASOM) (2006)

### 16.220

# Appendix VII: Historical Profile of Catalog Programs

Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Registration of Manufacturers, Distributors, and Dispensers of Controlled Substances (2004)

## 16.300

Police Training Programs (1967B)  
Law Enforcement Assistance\_Advanced Police Training (1969B)  
Law Enforcement Assistance\_FBI Advanced Police Training (1970B)

## 16.301

Services of Federal Bureau of Investigation (1965B)  
Law Enforcement Assistance\_Crime Laboratory Support (1969B)  
Law Enforcement Assistance\_FBI Crime Laboratory Support (1970B)

## 16.302

Law Enforcement Assistance\_Field Police Training (1969B)  
Law Enforcement Assistance\_FBI Field Police Training (1970B)

## 16.303

Law Enforcement Assistance\_Fingerprint Identification (1969B)  
Law Enforcement Assistance\_FBI Fingerprint Identification (1970B)

## 16.304

Law Enforcement Assistance\_National Crime Information Center (1969B)

## 16.305

Law Enforcement Assistance\_Uniform Crime Reports (1969B)

## 16.306

DRUGFIRE (1996U)  
Archived (1998B)

## 16.307

Combined DNA Index System (1996U)

## 16.308

Indian County Investigations (1996U)  
Indian Country Investigations (1997B)

## 16.309

Law Enforcement Assistance\_National Instant Criminal Background Check System (2000B)

## 16.320

Services for Trafficking Victims (2004)

## 16.321

Antiterrorism and Emergency Assistance Program (2002U)

Antiterrorism Emergency Reserve (2005)  
Antiterrorism Emergency Reserve (2006)

## 16.400

Citizenship Training (1965B)  
Citizenship Training and Information (1967B)  
Naturalization (1969B)  
Citizenship Education and Training (1970B)  
Transferred to 97.010 (2003B)

## 16.471

FORENSIC CASEWORK DNA BACKLOG REDUCTION PROGRAM (2005)

## 16.500

Law Enforcement Assistance\_State Planning (1969B)  
Law Enforcement Assistance\_Comprehensive Planning (1970B)  
Law Enforcement Assistance\_Comprehensive Planning Grants (1971B)  
Consolidated into 16.530 (1980B)

## 16.501

Law Enforcement Assistance\_Discretionary Grants (1970B)  
Consolidated into 16.531 (1980B)

## 16.502

Law Enforcement Assistance\_Improving and Strengthening Law Enforcement (1969B)  
Law Enforcement Assistance\_Improving and Strengthening Law Enforcement and Criminal Justice (1974B)  
Split into 16.530, 16.532 (1980B)

## 16.503

Law Enforcement Assistance\_Technical Assistance (1970B)  
Consolidated into 16.531 (1980B)

## 16.504

Law Enforcement Assistance\_Students Loans and Tuition Aids (1969B)  
Law Enforcement Education Program\_Student Financial Aid (1970B)  
Transferred to the Department of Education (1980B)

## 16.505

Law Enforcement Assistance\_Research Demonstrations and Special Projects (1969B)  
Law Enforcement Research and Development\_Graduate Research Fellowships (1970B)  
Number changed to 16.562 (1980B)

## 16.506

Law Enforcement Research and Development\_Pilot Grants (1970B)  
Incorporated into 16.507 (1972B)

## 16.507

Law Enforcement Research and Development\_Project Grants (1970B)  
Number changed to 16.560 (1980B)

## 16.508

Law Enforcement Research and Development\_Visiting Fellowships (1970B)  
Incorporated into 16.507 (1973B)  
Reinstated/Split from 16.507 (1975U)  
Number changed to 16.561 (1980B)

## 16.509

Law Enforcement Assistance\_Statistics and Information Development\_Project Grants (1971B)  
Law Enforcement Assistance\_Statistics Development (1972B)  
Criminal Justice\_Statistics Development (1973B)  
Number changed to 16.550 (1980B)

## 16.510

Statistics on Crime and Criminal Justice (1971B)  
Number changed to 16.551 (1980B)

## 16.511

Law Enforcement Assistance\_Educational Development (1971U)  
Number changed to 16.533 (1980B)

## 16.512

Law Enforcement Assistance\_Internships (1972B)  
Archived (1980B)

## 16.513

Law Enforcement Assistance\_Training (1972B)  
Number changed to 16.534 (1980B)

## 16.514

Organized Crime Prosecutorial Training (1973U)  
Consolidated into 16.531 (1980B)

## 16.515

Criminal Justice Systems Development (1973U)  
Criminal Justice Systems and Telecommunications Development (1974B)  
Criminal Justice Systems Development (1975B)  
Number changed to 16.552 (1980B)

## 16.516

Law Enforcement Assistance\_Juvenile Justice and Delinquency Prevention\_Allocation to States (1975U)  
Law Enforcement Assistance\_Juvenile Justice and Delinquency Prevention Act Allocation to States (1978U)  
Juvenile Justice and Delinquency Prevention\_Allocation to States (1979B)  
Number changed to 16.540 (1980B)

## 16.517

# Appendix VII: Historical Profile of Catalog Programs

Law Enforcement Assistance Administration_JJDP Special Emphasis Prevention and Treatment (1975U) Law Enforcement Assistance Administration_OJJDP Special Emphasis Prevention and Treatment Programs (1977U) Juvenile Justice and Delinquency Prevention_Special Emphasis Prevention and Treatment Programs (1979B) Number changed to 16.541 (1980B)	(2002B) OVW Technical Assistance Initiative (2006)	Archived (1981B)
<b>16.518</b> Law Enforcement Assistance Administration_JJDP National Institute (1975U) National Institute for Juvenile Justice and Delinquency Prevention (1979B) Number changed to 16.542 (1980B)	<b>16.527</b> Supervised Visitation, Safe Havens for Children (2002B)	<b>16.537</b> Urban Crime Prevention (1980B) Archived (1981B)
<b>16.519</b> Law Enforcement Assistance_Office of Community Anti-Crime Programs (1978B) Number changed to 16.535 (1980B)	<b>16.528</b> Training Grants to Stop Abuse and Sexual Assault of Older Individuals or Individuals with Disabilities (2002B) Enhanced Training and Services to End Violence and Abuse of Women Later in Life (2006)	<b>16.538</b> Public Safety Officers' Benefits Program (1980B) Number changed from 16.520 (1980B) Number changed to 26.571 (1982B)
<b>16.520</b> Public Safety Officers' Benefits Program (1978B) Number changed to 16.538 (1980B)	<b>16.529</b> Education and Training to End Violence Against and Abuse of Women with Disabilities (2002B) Education, Training, and Enhanced Services to End Violence Against Women with Disabilities (2007) Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (2008)	<b>16.540</b> Juvenile Justice and Delinquency Prevention_Allocation to States (1980B) Number changed from 16.516 (1980B)
<b>16.521</b> Crime Prevention_Mobilization of Public and Non-Public Resources (1978U) Number changed to 16.536 (1980B)	<b>16.530</b> Criminal Justice_Part D Formula Grants (1980B) Consolidated from 16.500, 16.502 (1980B) Archived (1981B)	<b>16.541</b> Juvenile Justice and Delinquency Prevention_Special Emphasis and Technical Assistance (1980B) Number changed from 16.517 (1980B) Juvenile Justice and Delinquency Prevention_Special Emphasis (1989B) Developing, Testing and Demonstrating Promising New Programs (2004) Part E - Developing, Testing and Demonstrating Promising New Programs (2006)
<b>16.522</b> Privacy and Security of Criminal Justice Systems (1979B) Number changed to 16.553 (1980B)	<b>16.531</b> Part F_Discretionary Grants (1980B) Consolidated from 16.501, 16.503, 16.514 (1980B) Archived (1981B)	<b>16.542</b> National Institute for Juvenile Justice and Delinquency Prevention (1980B) Number changed from 16.518 (1980B) Part D - Research, Evaluation, Technical Assistance and Training (2004) Deleted (2007)
<b>16.523</b> Juvenile Accountability Incentive Block Grants (1998B) Juvenile Accountability Block Grants (2007)	<b>16.532</b> Part E_National Priority Program Grants (1980B) Split from 16.502 (1980B) Archived (1981B)	<b>16.543</b> Missing Children's Assistance (1986B)
<b>16.524</b> Domestic Violence Victims' Civil Legal Assistance Program (1999B) Legal Assistance for Victims (2001B)	<b>16.533</b> Law Enforcement Assistance_Educational Development (1980B) Number changed from 16.511 (1980B) Archived (1981B)	<b>16.544</b> Part D_Juvenile Gangs and Drug Abuse and Drug Trafficking (1990B) Gang-Free Schools and Communities_Community-Based Gang Intervention (1996U) Youth Gang Prevention (2010)
<b>16.525</b> Grants to Combat Violent Crimes Against Women on Campuses (1999B) Grants to Reduce Violent Crimes Against Women on Campus (2001B) Grants to Combat Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (2007) Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (2008)	<b>16.534</b> Law Enforcement Assistance_Training (1980B) Number changed from 16.513 (1980B) Archived (1981B)	<b>16.545</b> Judicial Child Abuse Training (1992B) Combined into 16.547 (1994B)
<b>16.526</b> Technical Assistance and Training Initiative	<b>16.535</b> Law Enforcement Assistance Administration_Office of Community Anti-Crime Programs (1980B) Number changed from 16.519 (1980B) Archived (1981B)	<b>16.546</b> Investigation and Prosecution of Child Abuse Through the Criminal Justice System Number changed from 16.584 (1993U) Combined into 16.547 (1994B)
	<b>16.536</b> Crime Prevention_Mobilization of Public and Non-Public Resources (1980B) Number changed from 16.521 (1980B)	<b>16.547</b> Victims of Child Abuse (1994B) Archived (2010)

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<b>16.548</b> Title V_Delinquency Prevention Program (1994B)	(1980B) Number changed from 16.508 (1980B) Deleted (2006)	Reinstated (1996U) Archived (1998B)
<b>16.549</b> Part E_State Challenge Activities (1995B)	<b>16.562</b> Law Enforcement Research and Development_Graduate Research Fellowships (1980B) Number changed from 16.505 (1980B) Criminal Justice Research and Development_Graduate Research Fellowships (1980U2)	<b>16.573</b> Criminal Justice Block Grants (1985B) Incorporated into 16.579 (1990B)
<b>16.550</b> Criminal Justice Statistics Development (1980B) Number changed from 16.509 (1980B) State Justice Statistics Program for Statistical Analysis Centers (1997B)	<b>16.563</b> Law Enforcement Family Support (1997B) Corrections and Law Enforcement Family Support (1999B) Deleted (2007)	<b>16.574</b> Criminal Justice Discretionary Grants (1985B) Criminal Justice Discretionary Grant Program (1989B) Archived (1996B)
<b>16.551</b> Statistics on Crime and Criminal Justice (1980B) Number changed from 16.510 (1980B) Archived (1983U)	<b>16.564</b> National Institute of Justice Forensic DNA Laboratory Improvement Program (1999U) National Institute of Justice Crime Laboratory Improvement Program (2000B) Crime Laboratory Improvement_Combined Offender DNA Index System Backlog Reduction (2001B) Deleted (2006)	<b>16.575</b> Crime Victim Assistance (1985B)
<b>16.552</b> Criminal Justice Systems Development (1980B) Number changed from 16.515 (1980B) Archived (1981U)	<b>16.565</b> National Institute of Justice Domestic Anti-Terrorism Technology Development Program (1999U) National Institute of Justice Domestic Anti-Terrorism Technology Development Program (Counterterrorism Research and Development) (2004) Deleted (2006)	<b>16.576</b> Crime Victim Compensation (1985B)
<b>16.553</b> Privacy and Security of Criminal Justice Systems (1980B) Number changed from 16.522 (1980B) Federal Statistics and Information Policy (1981U) Archived (1983U)	<b>16.566</b> National Institute of Justice W.E.B. DuBois Post-Doctoral Fellowship Program (1999U) National Institute of Justice W.E.B. DuBois Fellowship Program (2000B)	<b>16.577</b> Emergency Federal Law Enforcement Assistance (1986B)
<b>16.554</b> National Criminal History Improvement Program (NCHIP) (1995B)	<b>16.570</b> Civil Rights Compliance Activities (1980B) Archived (1985U)	<b>16.578</b> Federal Surplus Property Transfer Program (1986B)
<b>16.555</b> National Sex Offender Registry Assistance (1998B) Archived (1999B)	<b>16.571</b> Public Safety Officers' Benefits Program (1982B) Number changed from 16.538 (1982B) Public Safety Officers' Death Benefits Program (1985U) Public Safety Officers' Benefit Program (1991U) Public Safety Officers' Benefits Program (1995U)	<b>16.579</b> State and Local Narcotics Control Assistance Anti-Drug Abuse Act of 1986 (1987B) Drug Control and System Improvement_Formula Grant (1989U) Byrne Formula Grant Program (1996U) Edward Byrne Memorial Formula Grant Program (2006)
<b>16.556</b> Grants to State Sexual Assault and Domestic Violence Coalitions (2008) State Domestic Violence and Sexual Assault Coalitions (2009)	<b>16.572</b> Mariel-Cubans (1984U) Archived (1996B) State Criminal Alien Assistance Program,	<b>16.580</b> Narcotics Control Discretionary Grant Program (1987U) Drug Control and System Improvement_Discretionary Grant (1989U) Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (1995U)
<b>16.557</b> Tribal Domestic Violence and Sexual Assault Coalitions Program (2008) Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (2009)	<b>16.573</b> Criminal Justice Block Grants (1985B) Incorporated into 16.579 (1990B)	<b>16.581</b> Drug Law Enforcement Program_Prison Capacity (1988B) Archived (1995U)
<b>16.560</b> Justice Research and Development Project Grants (1980B) Number changed from 16.507 (1980B) Justice Research, Development, and Evaluation Project Grants (1991U) National Institute of Justice Research, Evaluation, and Development Project Grants (2000B)	<b>16.574</b> Criminal Justice Discretionary Grants (1985B) Criminal Justice Discretionary Grant Program (1989B) Archived (1996B)	<b>16.582</b> Crime Victim Assistance/Discretionary Grants (1988B)
<b>16.561</b> National Institute of Justice Visiting Fellowships	<b>16.575</b> Crime Victim Assistance (1985B)	<b>16.583</b> Children's Justice Act Discretionary Grants for Native American Indian Tribes (1989B) Children's Justice Act Discretionary Grants for Native Americans (1995U) Children's Justice Act Partnerships for Indian Communities (1998B)



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<b>16.584</b> Investigation and Prosecution of Child Abuse Through the Federal Criminal Justice System (1992B) Investigation and Prosecution of Child Abuse Through the Criminal Justice System (1993B) Number changed to 16.546 (1993U)	<b>16.595</b> Executive Office for Weed and Seed Number changed from 16.725 (1995B) Community Capacity Development Office (2005) Community Capacity Development Office (2006)	<b>16.609</b> Planning, Implementing, and Enhancing Strategies in Community Prosecution (1999U) Planning, Implementing, and Enhancing Strategies in Community Prosecution_Gun Violence Prosecution (2001U) Community Prosecution and Project Safe Neighborhoods (2002B) Project Safe Neighborhoods (2010)
<b>16.585</b> Drug Court Discretionary Grant Program (1995B)	<b>16.596</b> Correctional Grant Program for Indian Tribes (1996U)	<b>16.610</b> Regional Information Sharing Systems (1999U)
<b>16.586</b> Violent Offender Incarceration and Truth in Sentencing Incentive Grants (1995B) Archived (2010)	<b>16.597</b> Motor Vehicle Theft Protection Act Program (1997B) Archived (2009)	<b>16.611</b> Closed-Circuit Televising of Child Victims of Abuse (1999U)
<b>16.587</b> Violence Against Women Discretionary Grants for Indian Tribal Governments (1995B)	<b>16.598</b> State Identification Systems Grant Program (1997B)	<b>16.612</b> National White Collar Crime Center (1999U) Archived (2009)
<b>16.588</b> Violence Against Women Formula Grants (1995B)	<b>16.599</b> Local Firefighting and Emergency Services Training (1997U) Archived (1999B)	<b>16.613</b> Scams Targeting the Elderly (1999U)
<b>16.589</b> Rural Domestic Violence and Child Victimization Enforcement Grant Program (1996B) Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Grant Program (2007) Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (2008)	<b>16.600</b> Correctional Services_Technical Assistance (1970U) Number changed to 16.603 (1976U)	<b>16.614</b> State and Local Anti-Terrorism Training (1999U)
<b>16.590</b> Grants to Encourage Arrest Policies (1996B) Grants to Encourage Arrest Policies and Enforcement of Protection Orders (2001B) The Community-Defined Solutions to Violence Against Women Grant Program (2010) Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program (2011)	<b>16.601</b> Corrections_Training and Staff Development (1976U)	<b>16.615</b> Public Safety Officers' Educational Assistance (1999U)
<b>16.591</b> Managing Released Sex Offenders (1996B) Archived (1998B)	<b>16.602</b> Corrections_Research and Evaluation (1976U) Corrections_Research and Evaluation and Policy Formulation (1981U)	<b>16.616</b> Indian Country Alcohol and Drug Prevention (2001U)
<b>16.592</b> Local Law Enforcement Block Grants Program (1996U) Local Law Enforcement Block Grant Program (2006) Deleted (2007) Deleted (2007)	<b>16.603</b> Corrections_Technical Assistance (1976U) Number changed from 16.600 (1976U) Corrections_Technical Assistance/Clearinghouse (1988B)	<b>16.684</b> Supporting Teens through Education and Protection Act of 2005 (STEP Act) (2010)
<b>16.593</b> Residential Substance Abuse Treatment for State Prisoners (1996U)	<b>16.604</b> Corrections_Policy Formulation (1976U) Archived (1981U)	<b>16.700</b> Antitrust State Enforcement (1978U) Archived (1981B)
<b>16.594</b> Prevention, Diagnosis, and Treatment of Tuberculosis in Correctional Institutions (1996U) Archived (1999B)	<b>16.605</b> Corrections_Clearinghouse (1976U) Archived (1982B)	<b>16.710</b> Public Safety and Community Policing Grants (1995B) Public Safety Partnership and Community Policing Grants (1996B)
	<b>16.606</b> State Criminal Alien Assistance Program (1998B)	<b>16.711</b> Troops to COPS (1995B) Deleted (2004)
	<b>16.607</b> Bulletproof Vest Partnership Program (1999B)	<b>16.712</b> Police Corps (1996U)
	<b>16.608</b> Tribal Court Assistance Program (1999B)	<b>16.725</b> Weed and Seed Program Fund (1993U) Number changed to 16.595 (1995B)
		<b>16.726</b>

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Juvenile Mentoring Program (1996B)

**16.727**

Combating Underage Drinking (1998B)  
Enforcing Underage Drinking Laws Program (1999U)

**16.728**

Drug Prevention Program (1998B)

**16.729**

Drug-Free Communities Support Program Grants (1998B)  
Number changed to 93.276 (2004)

**16.730**

Reduction and Prevention of Children's Exposure to Violence (1999B)

**16.731**

Tribal Youth Program (1999B)

**16.732**

National Evaluation of the Safe Schools/Healthy Students Initiative (1999U)  
National Evaluation of the Safe Schools\_Healthy Students Initiative (2001B)  
Deleted (2007)

**16.733**

National Incident Based Reporting System (2000B)

**16.734**

Special Data Collections and Statistical Studies (2003B)

**16.735**

PROTECTING INMATES AND SAFEGUARDING COMMUNITIES (2004)

**16.736**

Transitional Housing Assistance for Victims of Domestic Violence, Stalking, or Sexual Assault (2004)  
Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (2008)

**16.737**

Gang Resistance Education and Training (2004)  
Number changed from 21.053 (2004)

**16.738**

Edward Byrne Memorial Justice Assistance Grant Program (2005)

**16.739**

National Prison Rape Statistics Program (2005)

**16.740**

Statewide Automated Victim Information

Notification (SAVIN) Program (2005)

**16.741**

FORENSIC DNA CAPACITY ENHANCEMENT PROGRAM (2005)  
Forensic DNA Backlog Reduction Program (2008)

**16.742**

PAUL COVERDELL FORENSIC SCIENCES IMPROVEMENT GRANT PROGRAM (2005)

**16.743**

FORENSIC CASEWORK DNA BACKLOG REDUCTION PROGRAM (2005)

**16.744**

Anti-Gang Initiative (2006)  
Archived (2010)

**16.745**

Criminal and Juvenile Justice and Mental Health Collaboration Program (2006)

**16.746**

Capital Case Litigation (2006)

**16.747**

Crime Victims' Rights Act (2006)  
Archived (2009)

**16.748**

Convicted Offender and/or Arrestee DNA Backlog Reduction Program (In-House Analysis and Data Review) (2007)  
Convicted Offender and/or Arrestee DNA Backlog Reduction Program (2010)

**16.749**

Radiation Exposure Compensation Program (2007)

**16.750**

SUPPORT FOR ADAM WALSH ACT IMPLEMENTATION GRANT PROGRAM (2008)

**16.751**

Edward Byrne Memorial Competitive Grant Program (2008)

**16.752**

Economic High-Tech and Cyber Crime Prevention (2008)

**16.753**

Congressionally Recommended Awards (2008)

**16.754**

Harold Rogers Prescription Drug Monitoring Program (2008)

**16.755**

Southwest Border Prosecution Initiative (2008)

**16.756**

Court Appointed Special Advocates Program (2009)

**16.757**

Judicial Training on Child Maltreatment for Court Personnel (2009)

**16.758**

Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers (2009)

**16.800**

Recovery Act - Internet Crimes against Children Task Force Program (ICAC) (2009)

**16.801**

Recovery Act - State Victim Assistance Formula Grant Program (2009)

**16.802**

Recovery Act - State Victim Compensation Formula Grant Program (2009)

**16.803**

Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program/ Grants to States and Territories (2009)

**16.804**

Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program / Grants To Units Of Local Government (2009)

**16.805**

Recovery Act - Transitional Housing (2009)

**16.806**

Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments (2009)

**16.807**

Recovery Act - VOCA Crime Victim Assistance Discretionary Grant Program (2009)

**16.808**

Recovery Act - Edward Byrne Memorial Competitive Grant Program (2009)

**16.809**

Recovery Act - State and Local Law Enforcement Assistance Program: Combating Criminal Narcotics Activity Stemming from the Southern Border of the United States Competitive Grant Program (2009)

**16.810**

Recovery Act Assistance to Rural Law Enforcement to Combat Crime and Drugs Competitive Grant Program (2009)

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<b>16.811</b> Recovery Act - Correctional Facilities On Tribal Lands (2009)	Archived (1969B)	<b>17.005</b> Wages and Industrial Relations Data (1969B) Compensation and Working Conditions Data (1988B) Compensation and Working Conditions (2000B)
<b>16.812</b> Second Chance Act Prisoner Reentry Initiative (2009)	Physically and Mentally Handicapped_Employment Service (1965B) Archived (1969B)	<b>17.006</b> Economic Growth Data (1971B) Split from 17.004 (1971B) Economic Research Data (1972B) Economic Growth Data (1977B) Economic Growth and Employment Projections Data (1983B) Employment Projections Data (1989U) Deleted (2004) Incorporated into 17.002 (2004) Incorporated into 17.002 (2004)
<b>16.813</b> NICS Act Record Improvement Program (2009)	Special Impact Program (1967B) Special Impact (1969B) Archived (1970B)	<b>17.100</b> Labor-Management Relations Services (1970B) Number changed to 17.130 (1984U)
<b>16.814</b> Northern Border Prosecution Initiative Program (2009)	Trade Adjustment Allowances for Workers (1965B) Archived (1969B)	<b>17.101</b> Labor Organization Reports (1969B) Number changed to 17.140 (1984U)
<b>16.815</b> Tribal Civil and Criminal Legal Assistance Grants, Training and Technical Assistance (2010)	General Employment Services (1965B) U.S. Employment Services (1967B) Employment Service (1969B) Archived (1970B)	<b>17.102</b> Reemployment Rights for Veterans (1969B) Veterans Reemployment Rights (1970B) Number changed to 17.803 (1984B)
<b>16.816</b> John R. Justice Prosecutors and Defenders Incentive Act (2010)	Veterans Employment Priority Service (1967B) Archived (1969B)	<b>17.103</b> Welfare and Pension Plan Reports (1969B) Employee Benefits Security (1975B) Pension and Welfare Benefit Programs (1977B) Number changed to 17.150 (1984U)
<b>DEPARTMENT OF LABOR</b> Community Employment Development (1965B) Smaller Communities Program_Rural Areas (1969B) Archived (1970B)	Youth Opportunity Centers (1965B) Archived (1970B)	<b>17.104</b> Office of Construction Industry Services (1979U1) Archived (1982B)
Experimental and Demonstration Projects for the Mentally Retarded (1965B) Archived (1967B)	American Indian Vocational Job Training (1965B) Archived (1967B)	<b>17.130</b> Labor-Management Relations and Cooperative Programs (1984U) Number changed from 17.100 (1984U) Archived (1992U)
Experimental and Demonstration Projects for Rural Persons (1965B) Archived (1967B)	Employment Assistance and Training for Inmates of Correctional Institutions (1969B) Archived (1970B)	<b>17.140</b> Labor Organization Reports (1984U) Number changed from 17.101 (1984U) Incorporated into 17.309 (2001U)
Experimental and Demonstration Projects under MDTA (1965B) Archived (1967B)	Apprenticeship Information Centers (1969B) Archived (1970B)	<b>17.150</b> Welfare and Pension Plan Reports (1984U) Number changed from 17.103 (1984U) Employee Benefits Security Administration (2003B)
Experimental and Demonstration Projects for Youth and Adults with Limited Ability to Read and Write (1965B) Archived (1967B)	Manpower Recruitment Services (1969B) Archived (1970B)	<b>17.151</b> Employee Benefits Security Administration
Farm Labor Services (1965B) Employment Services to Rural Areas (1969B) Archived (1970B)	Older Worker Employment Assistance (1969B) Archived (1970B)	
Job Market Information (1965B) Archived (1970B)	Selective Service Rejectee Rehabilitation (1969B) Archived (1970B)	
Job Training for Disadvantaged Persons (1965B) Archived (1969B)	<b>17.001</b> Foreign Labor Data (1969B) Archived (1972B)	
New Careers Program (1967B) Archived (1969B)	<b>17.002</b> Manpower and Employment Data (1969B) Labor Force Statistics (1977B)	
Occupational Training in Development Areas (1965B)	<b>17.003</b> Price and Cost of Living Data (1969B)	
	<b>17.004</b> Productivity, Technology, and Growth Data (1969B) Productivity and Technology Data (1971B) Split into 17.004, 17.006 (1971B)	

# Appendix VII: Historical Profile of Catalog Programs

(EBSA) (2009)

## 17.200

Apprenticeship Outreach (1970B)  
Consolidated into 17.243 (1979B)

## 17.201

Apprenticeship and Training (1965B)  
Apprenticeship Training (1970B)  
Registered Apprenticeship Training (1997U)  
Registered Apprenticeship and Other Training (2000B)

## 17.202

Certification for Foreign Workers for Seasonal Agricultural Employment (1970B)  
Certification of Foreign Workers for Agricultural and Logging Employment (1971B)  
Certification of Foreign Workers for Temporary Agricultural and Logging Employment (1980U2)  
Certification of Foreign Workers for Temporary Agricultural Employment (1991B)  
Deleted (2006)

## 17.203

Certification for Immigrant Nonagricultural Workers (1970B)  
Certification for Immigrant Workers (1979B)  
Labor Certification for Alien Workers (1983B)  
Deleted (2006)

## 17.204

Concentrated Employment Program (1969B)  
Consolidated into 17.232 (1973B)

## 17.205

Cooperative Area Manpower Planning System (1969B)  
Consolidated into 17.232 (1973B)

## 17.206

Bonding Assistance (1969B)  
Employment Bonding Assistance (1970B)  
Archived (1970U)  
Reinstated (1971B)  
Federal Bonding Program (1971B)  
Archived (1972U)

## 17.207

Employment Service\_Industrial Services (1965B)  
Employment Services\_Grants to States (1970B)  
Employment Service (1972B)  
Employment Service/Wagner-Peyser Funded Activities (2006)

## 17.208

Exemplary Rehabilitation Certificates (1967B)  
Number changed to 17.800 (1982B)

## 17.209

Farm Labor Contractor Registration (1965B)  
Number changed to 17.308 (1972U)

## 17.210

Job Bank (1970B)  
Computerized Job Placement (1972B)  
Incorporated into 17.207 (1973B)

## 17.211

Job Corps (1970B)  
Transferred from Office of Economic Opportunity (1970B)  
Incorporated into 17.232 (1974B)  
Reinstated/Split from 17.232 (1975B)  
Archived (1981U)

## 17.212

Job Opportunities in the Business Sector (1969B)  
Incorporated into 17.232 (1975B)

## 17.213

Journeyman Training (1970B)  
Archived (1972U)

## 17.214

Labor Mobility-Relocation Assistance Allowances (1965B)  
Labor Mobility Demonstration Projects (1970B)  
Archived (1970U)

## 17.215

Manpower Development and Training\_Institutional Training (1970B)  
Incorporated into 17.232 (1973B)

## 17.216

Manpower Development and Training (1965B)  
Manpower Development and Training Act\_On-the-Job Training Program (1970B)  
Number changed to 17.227 (1970U)

## 17.217

Manpower Experimental and Demonstration Projects (1969B)  
Consolidated into 17.233 (1973U)

## 17.218

Manpower Research Programs (1965B)  
Manpower Research\_Doctoral Dissertation Grants (1970B)  
Employment and Training Research\_Doctoral Dissertation Grants (1976B)  
Doctoral Dissertation and Small Grant Research Projects Programs (1977B)  
Doctoral Dissertation Program (1979U1)  
Archived (1980U1)

## 17.219

Manpower Research\_Institutional Grants (1970B)  
Manpower Institutional Grants (1974B)

Employment and Training Institutional Grants (1976B)

Institutional Grant Program (1978B)  
Archived (1982B)

## 17.220

Manpower Research and Evaluation (1970B)  
Manpower Research\_Contracts (1971B)  
Manpower Research\_Projects (1973B)  
Consolidated into 17.233 (1973U)

## 17.221

Manpower Research\_Project Grants (1970B)  
Manpower Research\_Small Grant Projects (1973B)  
Manpower Research\_Small Grant Research Projects (1975B)  
Employment and Training Research\_Small Grant Research Projects (1976B)  
Incorporated into 17.218 (1977B)

## 17.222

Neighborhood Youth Corps (1965B)  
Consolidated into 17.232 (1973B)

## 17.223

Operation Mainstream (1967B)  
National Older Workers Program\_Operation Mainstream (1975B)  
Incorporated into 17.235 (1975U)

## 17.224

Public Service Careers (1970B)  
Archived (1973U)

## 17.225

Unemployment Insurance\_Grants to States (1965B)  
Unemployment Insurance (1979B)

## 17.226

Work Incentives Program (1969B)  
Work Incentive Program\_Training and Allowances (1970B)  
Work Incentives Program\_Training and Allowances (1973B)  
Work Incentives Program and Incentives (1974B)  
Work Incentives Program (1975B)  
Transferred to 13.646 (1978B)

## 17.227

Job Opportunities in the Business Sector\_Low Support (1970U)  
Number changed from 17.216 (1970U)  
Job Opportunities in the Business Sector\_Optional Program (1971B)  
Consolidated into 17.232 (1973B)

## 17.228

National On-The-Job Training (1971B)  
Consolidated into 17.243 (1979B)

# Appendix VII: Historical Profile of Catalog Programs

<b>17.229</b> Emergency Employment Assistance (1971U) Public Employment Program (1972B) Archived (1973B)	Consolidated into 17.232 (1979U1)	Programs (1984U) Consolidated into 17.26 (2002B)
<b>17.230</b> Migrant Workers (1972B) Transferred from (1972B) Farm Workers (1975B) Migrant and Seasonal Farm Workers (1977B) Migrant and Seasonal Farmworkers (1981U) Number changed to 17.247 (1983U)	<b>17.241</b> Youth Incentive Entitlement Pilot Projects (1978B) Archived (1981B)	<b>17.252</b> Attestations by Employers Using Alien Crewmembers for Longshore Activities in U.S. Ports (1993B)
<b>17.231</b> Technology Mobilization and Reemployment (1972B) Archived (1973B)	<b>17.242</b> Summer Programs for Economically Disadvantaged Youth (1978B) Consolidated into 17.232 (1979U1)	<b>17.253</b> Welfare-to-Work Grants to States and Localities (1998B)
<b>17.232</b> Manpower Revenue Sharing (1973B) Consolidated from 17.204, 17.205, 17.222, 17.227 (1973B) Comprehensive Manpower Programs (1973U) Comprehensive Employment and Training Programs (1974B) Archived (1983U)	<b>17.243</b> Special Programs and Activities for the Disadvantaged (1979B) Consolidated from 17.200, 17.228 (1979B) Special National Programs and Activities for the Disadvantaged (1980U2) Special National Lever Programs (1983B) Number changed to 17.249 (1983U)	<b>17.254</b> Welfare-to-Work Grants to Federally Recognized Tribes and Alaska Natives (1998U)
<b>17.233</b> Manpower Research and Development Projects (1973U) Consolidated from 17.217, 17.220 (1973U) Employment and Training Research and Development Projects (1976B) Number changed to 17.248 (1983U)	<b>17.244</b> Disabled Veterans Outreach Program (1981B) Number changed to 17.801 (1982B)	<b>17.255</b> Workforce Investment Act (1999B) Consolidated into 17.258, 17.259 (2001B)
<b>17.234</b> Indian Manpower Programs (1975B) Indian Employment and Training Programs (1976B) Indian and Native American Employment and Training Programs (1977B) Employment and Training_Indians and Native Americans (1978B) Archived (1983U)	<b>17.245</b> Trade Adjustment Assistance_Workers (1981U) Number changed from 17.400 (1981U) Trade Adjustment Assistance (2006)	<b>17.257</b> One-Stop Career Initiative (1999B) Deleted (2004) Reinstated (2004) Deleted (2005) Reinstated (2005) Deleted (2006)
<b>17.235</b> Senior Community Service Employment Program (1975B)	<b>17.246</b> Employment and Training Assistance_Dislocated Workers (1983B) Consolidated into 17.260 (2001B)	<b>17.258</b> WIA Adult Program Consolidated from 17.250, 17.255 (2001B)
<b>17.236</b> New Initiatives in Apprenticeship (1978B) Archived (1979B)	<b>17.247</b> Migrant and Seasonal Farmworkers (1983U) Number changed from 17.230 (1983U)	<b>17.259</b> WIA Youth Activities Consolidated from 17.250, 17.255 (2001B)
<b>17.239</b> Youth Community Conservation Improvement Program (1978B) Incorporated into 17.232 (1979U1)	<b>17.248</b> Employment and Training Research and Development Projects (1983U) Number changed from 17.233 (1983U) Employment and Training Evaluation Projects (2000B) Consolidated into 17.261 (2001U)	<b>17.260</b> WIA Dislocated Workers Consolidated from 17.246 (2001B) Archived (2011) Reinstated (2011)
<b>17.240</b> Youth Employment and Training (1978B)	<b>17.249</b> Employment Services and Job Training_Pilot and Demonstration Programs (1983U) Number changed from 17.243 (1983U) Employment Services and Job Training Pilots_Demonstrations and Research (2000B) Consolidated into 17.261, 17.263 (2001U)	<b>17.261</b> Employment and Training Administration Pilots, Demonstrations, and Research Projects Consolidated from 17.248, 17.249 (2001B) WIA Pilots, Demonstrations, and Research Projects (2006)
	<b>17.250</b> Job Training Partnership Act (1983U) Consolidated into 17.258, 17.259 (2001B)	<b>17.262</b> Employment and Training Administration Evaluations (2001B) Archived (2011)
	<b>17.251</b> Native American Employment and Training	<b>17.263</b> Youth Opportunity Grants Consolidated from 17.249 (2001B) Deleted (2006)
		<b>17.264</b>

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Migrant and Seasonal Farmworkers (2002B)  
Consolidated from 17.247 (2002B)  
National Farmworker Jobs Program (2006)

## 17.265

Native American Employment and Training (2002B)  
Consolidated from 17.251 (2002B)

## 17.266

Work Incentives Grant (2002B)  
Work Incentive Grants (2006)  
Archived (2011)

## 17.267

WIA Incentive Grants\_Section 503 Grants to States (2004)  
Incentive Grants - WIA Section 503 (2006)

## 17.268

H-1B High Growth Job Training Grants (2006)  
H-1B Job Training Grants (2007)

## 17.269

Community Based Job Training Grants (2006)  
Archived (2011)

## 17.270

Prisoner Reentry (2006)  
Reintegration of Ex-Offenders (2008)

## 17.271

Work Opportunity Tax Credit Program (WOTC) and Welfare-to-Work Tax Credit (WtWTC) (2006)  
Work Opportunity Tax Credit Program (WOTC) (2007)

## 17.272

Permanent Labor Certification for Foreign Workers (2006)

## 17.273

Temporary Labor Certification for Foreign Workers (2006)

## 17.274

YOUTHBUILD (2007)  
Number changed from 14.243 (2007)

## 17.275

PROGRAM OF COMPETITIVE GRANTS FOR WORKER TRAINING AND PLACEMENT IN HIGH GROWTH AND EMERGING INDUSTRY SECTORS (2009)

## 17.276

Health Coverage Tax Credit (HCTC) (2009)

## 17.277

Workforce Investment Act (WIA) National Emergency Grants (2009)

## 17.278

WIA Dislocated Worker Formula Grants (2009)

## 17.279

Green Jobs Innovation Fund Grants (2010)

## 17.280

Workforce Investment Act (WIA) Dislocated Worker National Reserve Demonstration Grants (2010)

## 17.281

Workforce Investment Act (WIA) Dislocated Worker National Reserve Technical Assistance and Training (2010)

## 17.282

Trade Adjustment Assistance Community College and Career Training (TAACCT) Grants (2010)

## 17.283

Workforce Innovation Fund (2011)

## 17.300

Age Discrimination in Employment (1969B)  
Transferred to 30.008 (1979U1)

## 17.301

Equal Employment Opportunity by Federal Contractors (1969B)  
Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors (1980B)  
Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors (1983U)

## 17.302

Workmen's Compensation for Federal Employees and Others (1969B)  
Longshoremen's and Harbor Workers' Compensation (1970B)  
Longshore and Harbor Workers' Compensation (1984U)

## 17.303

Federal Minimum Wage and Hour Standards (1967B)  
Minimum Wage and Hour Standards (1969B)  
Split into 17.303, 30.010 (1979U2)  
Wage and Hour Standards (1996B)

## 17.304

Labor Standards (1965B)  
Safety and Labor Standards (1969B)  
Workers Safety and Labor Standards (1970B)  
Number changed to 17.307A (1971B)

## 17.305

Women\_Special Programs and Assistance (1967B)  
Women's Special Employment Assistance (1970B)

Number changed to 17.700 (1978B)

## 17.306

Consumer Credit Protection (1970U)

## 17.307

Coal Mine Workers' Compensation (2004)

## 17.307A

Occupational Safety and Health (1971B)  
Number changed from 17.304 (1971B)  
Number changed to 17.500 (1971U)

## 17.307B

Coal Mine Workers' Compensation (1973B)

## 17.308

Farm Labor Contractor Registration (1972U)  
Number changed from 17.209 (1972U)

## 17.309

Labor Organization Reports (1999B)  
Incorporated from 17.140 (2001U)

## 17.310

Energy Employees Occupational Illness Compensation (2006)

## 17.311

Federal Transit Employee Protection Certifications: Office of Labor-Management Standards (2009)

## 17.400

Trade Adjustment Assistance\_Workers (1971B)  
Transferred from 61.003 (1971B)  
Number changed to 17.245 (1981U)

## 17.500

Occupational Safety and Health (1971U)  
Number changed from 17.307A (1971U)  
Number changed to 17.504 (1995B)

## 17.501

Employee Assistance Programs\_Drug, Alcohol Abuse (1990B)  
Archived (1991U)

## 17.502

Occupational Safety and Health\_Training and Education (1991U)  
Occupational Safety and Health\_Susan Harwood Training Grants (1999B)

## 17.503

Occupational Safety and Health\_State Program (1994B)

## 17.504

Consultation Agreements  
Number changed from 17.500 (1995B)

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<b>17.505</b> OSHA Data Initiative (2003B)	<b>17.804</b> Local Veterans Employment Representative Program (1984B) Local Veterans' Employment Representative Program (1995B)	Housing Investment Guaranty_Worldwide (1971B) Housing Guaranty_Worldwide (1973U) Archived (1978B)
<b>17.600</b> Mine Health and Safety Grants (1978B) Transferred from 15.350 (1978B)	<b>17.805</b> Homeless Veterans Reintegration Project (1991U) Archived (1996B) Reinstated (1998B)	<b>19.009</b> Academic Exchange Programs - Undergraduate Programs (2009)
<b>17.601</b> Mine Health and Safety Counseling and Technical Assistance (1978B) Transferred from 15.351 (1978B)	<b>17.806</b> Veteran's Preference in Federal Employment (2000B)	<b>19.012</b> Professional and Cultural Exchange Programs - Special Professional and Cultural Programs (2009)
<b>17.602</b> Mine Health and Safety Education and Training (1978B) Transferred from 15.352 (1978B)	<b>U.S. POSTAL SERVICE</b> <hr/>	<b>19.013</b> Thomas R. Pickering Foreign Affairs Fellowship Program (2009)
<b>17.603</b> Brookwood-Sago Grant (2007)	Lease Construction Program (1967B) Post Office Lease Construction (1969B) Archived (1970B)	<b>19.014</b> One-Time International Exchange Grant Program (2009)
<b>17.604</b> Safety and Health Grants (2008)	<b>18.001</b> Postal Academy Program (1970B) Archived (1972U)	<b>19.015</b> Cultural, Technical and Educational Centers (2009)
<b>17.700</b> Women's Special Employment Assistance (1978B) Number changed from 17.305 (1978B) Women's Bureau (2003B)	<b>U.S. DEPARTMENT OF STATE</b> <hr/>	<b>19.016</b> Iraq Assistance Programs (2009)
<b>17.720</b> Employment Programs for People with Disabilities (2002B) Transferred from 53.001 (2002B) Disability Employment Policy Development (2005) Disability Employment Policy Development (2005)	<b>19.001</b> Foreign Currency Loans (1970B) Transferred to 70.001 (1971B)	<b>19.017</b> Environmental and Scientific Partnerships and Programs (2009)
<b>17.800</b> Exemplary Rehabilitation Certificates (1982B) Number changed from 17.208 (1982B) Archived (1983B)	<b>19.002</b> Foreign Housing Investment Guaranties (1970B) Consolidated into 19.008 (1970U)	<b>19.018</b> Overseas Processing Entities (OPEs) for U.S. Refugee Resettlement (2009)
<b>17.801</b> Disabled Veterans Outreach Program (1982B) Number changed from 17.244 (1982B) Disabled Veterans Outreach Program (DVOP) (1992B) Disabled Veterans' Outreach Program (DVOP) (1995B)	<b>19.003</b> Foreign Housing Investment Guaranty Program_Latin America (1970B) Consolidated into 19.008 (1970U)	<b>19.019</b> International Programs to Combat Human Trafficking (2009)
<b>17.802</b> Veterans Employment Program (1984B) Veterans' Employment Program (1995B)	<b>19.004</b> Foreign Investment Guaranties (1970B) Transferred to 70.002 (1971B)	<b>19.020</b> Charles B. Rangel International Affairs Program (2010)
<b>17.803</b> Reemployment Rights for Veterans (1984B) Number changed from 17.102 (1984B) Veterans' Employment and Reemployment Rights (1995B) Uniformed Services Employment and Reemployment Rights (1996B)	<b>19.005</b> Foreign Investment Insurance (1970B) Transferred to 70.003 (1971B)	<b>19.021</b> Investing in People in The Middle East and North Africa (2010)
	<b>19.006</b> Institutional Centers to Aid Foreign Development (1969B) Archived (1977U)	<b>19.022</b> Educational and Cultural Exchange Programs Appropriation Overseas Grants (2010)
	<b>19.007</b> Technology Applications for Less-Developed Countries (1969B) Archived (1978B)	<b>19.023</b> Overseas Schools Program (2011)
	<b>19.008</b> Foreign Housing Investment Guaranty_Worldwide (1970U) Consolidated from 19.002, 19.003 (1970U)	<b>19.024</b> Soft Target Program for Overseas Schools (2011)

## Appendix VII: Historical Profile of Catalog Programs

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Global Peace Operations Initiative (2011)

### 19.087

International Fisheries Commissions (2011)

### 19.100

Cultural Presentations\_Foreign Tours (1969B)

Split into 19.100, 19.102 (1970B)

Archived (1971B)

### 19.101

Exchange of Persons\_Academic Grants (1969B)

Educational Exchange\_Graduate Students (1970B)

Transferred to 82.001 (1978B)

### 19.102

Educational Exchange\_University Lecturers

(Professors) and Research Scholars (1970B)

Split from 19.100 (1970B)

Transferred to 82.002 (1978B)

### 19.123

EUR/ACE Humanitarian Assistance Program

(2011)

### 19.124

U.S. Department of State (2010)

### 19.200

Claims Against Foreign Governments (1970B)

### 19.201

Protection of Ships from Foreign Seizure (1970B)

### 19.202

Special Domestic Assignments (1981B)

### 19.203

Claims Against Foreign Missions (1984B)

Archived (1990B)

### 19.204

Fishermen's Guranty Fund

Number changed from 11.410 (1987B)

### 19.221

Near East Regional Democracy (2011)

### 19.300

Russian, Eurasian, and East European Research and Training (1992B)

Program for Study of Eastern Europe and the Independent States of the Former Soviet Union (1995U)

### 19.345

International Programs to Support Democracy, Human Rights and Labor (2009)

### 19.400

Educational Exchange\_Graduate Students

Number changed from 82.001 (2000B)

Academic Exchange Programs - Graduate Students (2009)

### 19.401

Educational Exchange\_University Lecturers

(Professors) and Research Scholars

Number changed from 82.002 (2000B)

Academic Exchange Programs - Scholars (2009)

### 19.402

International Visitors Program

Number changed from 82.004 (2000B)

Professional and Cultural Exchange Programs -

International Visitor Leadership Program (2009)

### 19.403

American Council of Young Political Leaders

Number changed from 82.006 (2000B)

Archived (2009)

### 19.404

Professional Development\_International

Educators/Administrators

Number changed from 82.009 (2000B)

Deleted (2004)

Consolidated into 19.424 (2004)

### 19.405

College and University Partnerships Program

Number changed from 82.010 (2000B)

Educational Partnerships Program (2003B)

Deleted (2004)

Consolidated into 19.424 (2004)

### 19.406

College and University Affiliations Program

Number changed from 82.011 (2000B)

Educational Partnerships Program (2001U)

Consolidated into 19.42 (2002B)

### 19.407

Teacher Exchange\_New Independent States (NIS)

Number changed from 82.012 (2000B)

Deleted (2005)

### 19.408

Educational Exchange\_Teachers from Secondary and Postsecondary Levels

Number changed from 82.013 (2000B)

Educational Exchange\_Teachers from Secondary

and Postsecondary Levels and School

Administrators (2001B)

Academic Exchange Programs - Teachers (2009)

### 19.409

Creative Arts Grants

Number changed from 82.015 (2000B)

Arts Exchanges on International Issues (2005)

Arts Exchanges on International Issues (2005)

Archived (2009)

### 19.410

Educational Exchange\_Congress-Bundestag Youth Exchange

Number changed from 82.016 (2000B)

Archived (2009)

### 19.411

Educational Exchange\_NIS Secondary School

Initiative

Number changed from 82.018 (2000B)

Deleted (2004)

### 19.412

Educational Exchange\_Postgraduates and Faculty

Number changed from 82.026 (2000B)

Archived (2002B)

### 19.413

Cultural Exchange (Performing Arts)

Number changed from 82.030 (2000B)

Deleted (2006)

### 19.414

Cultural Exchange (Visual Arts)

Number changed from 82.032 (2000B)

Deleted (2005)

### 19.415

Professional Exchange\_Annual Open Grant

Number changed from 82.033 (2000B)

Professional Exchanges\_Annual Open Grant (2001B)

Professional and Cultural Exchange Programs - Citizen Exchanges (2009)

### 19.416

Exchange\_English Teaching Fellows

Number changed from 82.034 (2000B)

Consolidated into 19.421 (2001B)

### 19.417

Exchange\_English as a Foreign Language (EFL) Fellows

Number changed from 82.035 (2000B)

Consolidated into 19.421 (2001B)

### 19.418

Educational Exchange\_Fulbright American Studies Institutes

Number changed from 82.038 (2000B)

Educational Exchange, American Studies Institute (2006)

Archived (2009)

### 19.419

Professional Development\_Teacher Training

(2000B)



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Deleted (2004)

## 19.420

Cooperative Grants (2000B)

Deleted (2004)

## 19.421

Exchange\_English Language Fellow Program

Consolidated from 19.416, 19.417 (2001B)

Academic Exchange Programs - English Language Programs (2009)

## 19.422

Educational Exchange\_Teaching Excellence Awards Program (2001B)

Deleted (2004)

## 19.423

Exchange\_English Language Specialist/Speaker Program (2001B)

Archived (2009)

## 19.424

Educational Partnerships Program (2002B)

Consolidated from 19.406 (2002B)

Deleted (2005)

## 19.425

Benjamin Gilman International Scholarship (2002B)

Archived (2009)

## 19.430

International Education Training and Research (2008)

Archived (2009)

## 19.431

Educational Exchange\_Scholar-in-Residence (U.S. Institutions of Higher Education Host Lecturing Faculty From Abroad) (2005)

Archived (2009)

## 19.432

Overseas Educational Advising (2005)

Academic Exchange Programs - Educational Advising and Student Services (2009)

## 19.440

IIP Individual Grants (2011)

## 19.450

ECA Individual Grants (2011)

## 19.500

Middle East Partnership Initiative (MEPI) (2004)

## 19.501

Public Diplomacy Programs for Afghanistan and Pakistan (2009)

## 19.510

U.S. Refugee Admissions Program (2004)

## 19.511

Overseas Refugee Assistance Programs for East Asia (2005)

## 19.515

Contributions to International Organizations for Overseas Assistance (2011)

## 19.517

Overseas Refugee Assistance Programs for Africa (2005)

## 19.518

Overseas Refugee Assistance Programs for Western Hemisphere (2005)

## 19.519

Overseas Refugee Assistance Program for Near East and South Asia (2005)

## 19.520

Overseas Refugee Assistance Programs for Europe (2005)

## 19.522

Overseas Refugee Assistance Programs for Strategic Global Priorities (2005)

## 19.600

Bureau of Near Eastern Affairs (NEA) (2011)

## 19.666

EUR/ACE National Endowment for Democracy Small Grants (2011)

## 19.700

General Department of State Assistance (2010)

## 19.800

Weapons Removal and Abatement (2011)

## 19.801

Office of Global Women's Issues (2011)

## 19.878

EUR-Other (2011)

## 19.901

Export Control and Related Border Security (2011)  
Number changed from 19.999 (2011)

## 19.999

Export Control and Related Border Security (2011)  
Number changed to 19.901 (2011)

## DEPARTMENT OF TRANSPORTATION

Coast Guard Marine, Harbor, and Waterfront Services (1967B)

Marine, Harbor, and Waterfront Services (1969B)  
Archived (1970B)

Development Highways and Access Roads for the Appalachian Region (1967B)  
Archived (1969B)

Urban Mass Transportation Capital Assistance (1969B)  
Incorporated into 20.500, 20.501 (1970B)

## 20.001

Boating Safety (1970B)  
Transferred to 97.011 (2003B)

## 20.002

Coast Guard Cooperative Marine Sciences Program (1970B)  
Archived (1986B)

## 20.003

Student Shipboard Opportunities Program (1970B)  
Incorporated into 20.002 (1971B)

## 20.004

Boating Safety\_Financial Assistance (1972U)  
Archived (1980B)

## 20.005

Boating Safety Financial Assistance (1983U)  
Transferred to 97.012 (2003B)

## 20.006

State Access to the Oil Spill Liability Trust Fund (1993B)  
Transferred to 97.013 (2003B)

## 20.007

Bridge Alteration (1993U)  
Transferred to 97.014 (2003B)

## 20.008

E-911 Grant Program (2009)

## 20.100

Aviation Education (1969B)  
Archived (2009)

## 20.101

Airport Development Program (1965B)  
Airport Development (1969B)  
Federal-Aid Airport Program (1970B)  
Number changed to 20.102 (1970U)

## 20.102

Airport Development Aid Program (1970U)  
Number changed from 20.101 (1970U)  
Archived (1983B)

## 20.103

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Airport Planning Grant Program (1971B)  
Archived (1983B)

## 20.104

Aviation War Risk Insurance (1971B)  
Archived (1977U)

## 20.105

Loan Guarantees for Purchase of Aircraft and Spare Parts (1980B)  
Archived (1983U)

## 20.106

Airport Improvement Program (1983B)

## 20.107

Airway Science (1987B)

## 20.108

Aviation Research Grants (1993B)

## 20.109

Air Transportation Centers of Excellence (1993B)

## 20.200

Federal-Aid Highways\_Emergency Relief (1970B)  
Incorporated into 20.205 (1974B)

## 20.201

Forest Highways (1970B)  
Incorporated into 20.205 (1974B)

## 20.202

Highway Beautification (1967B)  
Highway Beautification\_Control of Junkyards (1970B)  
Transferred from the Department of Commerce (1970B)  
Split into 20.202, 20.203, 20.204 (1970B)  
Consolidated into 20.214 (1974B)

## 20.203

Highway Beautification\_Control of Outdoor Advertising (1970B)  
Split from 20.202 (1970B)  
Consolidated into 20.214 (1974B)

## 20.204

Highway Beautification\_Landscaping and Scenic Enhancement (1970B)  
Split from 20.202 (1970B)  
Consolidated into 20.214 (1974B)

## 20.205

Highway Planning and Construction (1967B)  
Transferred from the Department of Commerce (1970B)  
Highway Research, Planning, and Construction (1972B)  
Highway Planning and Construction (1981U)

Revised (1998U)

## 20.206

Highway Studies (1967B)  
Highway Planning and Research Studies (1970B)  
Highway Planning and Research (1971B)  
Incorporated into 20.205 (1972B)

## 20.207

National Highway Safety Program (1965B)  
Split into 20.207, 20.208, 20.210 (1970B)  
Highway Safety Demonstration Projects (1970B)  
Consolidated into 20.600 (1971B)

## 20.208

Highway Safety Research Fellowships (1970B)  
Split from 20.207 (1970B)  
Consolidated into 20.600 (1971B)

## 20.209

Public Lands Highways (1970B)  
Incorporated into 20.205 (1974B)

## 20.210

State and Community Highway Safety (1970B)  
Split from 20.207 (1970B)  
Consolidated into 20.600 (1971B)

## 20.211

Traffic Operations Program to Increase Capacity and Safety (1970B)  
Incorporated into 20.205 (1972B)

## 20.212

Economic Growth Centers and Development Highway Demonstration Projects (1971U)  
Economic Growth Centers Development\_Highways (1972B)  
Archived (1972U)

## 20.213

Special Bridge Replacement (1971U)  
Federal-Aid Highways\_Special Bridge Replacement (1973B)  
Incorporated into 20.205 (1974B)

## 20.214

Highway Beautification\_Control of Outdoor Advertising, Control of Junkyards, Landscaping and Scenic Enhancement (1974B)  
Consolidated from 20.202, 20.203, 20.204 (1974B)  
Highway Beautification\_Control of Outdoor Advertising, and Control of Junkyards (1977B)  
Archived (1989B)

## 20.215

Highway Training and Education (1980B)

## 20.216

Highway Educational Grants (1980B)

Archived (1985U)

## 20.217

Motor Carrier Safety (1980B)

## 20.218

Motor Carrier Safety Assistance Program (1983U)  
National Motor Carrier Safety (1999B)

## 20.219

National Recreational Trails Program (1993U)  
National Recreational Trails Funding Program (1995B)  
Recreational Trails Program, Revised (1998U)

## 20.222

Highways for LIFE (2006)

## 20.223

Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (2007)

## 20.230

Crash Data Improvement Program (2005)

## 20.231

Performance and Registration Information Systems Management (2006)

## 20.232

Commercial Driver License State Programs (2005)  
Commercial Driver's License Program Improvement Grant (2010)

## 20.233

Border Enforcement Grants (2005)

## 20.234

Safety Data Improvement Program (2006)

## 20.235

Commercial Motor Vehicle Operator Training Grants (2006)

## 20.236

Thermal Imaging Inspection System Demonstration Project (2006)  
Archived (2009)

## 20.237

Commercial Vehicle Information Systems and Networks (2006)  
Safety Data Improvement Program (2008)  
Commercial Vehicle Information Systems and Networks (2009)

## 20.238

Commercial Drivers License Information System (2007)  
Commercial Drivers License Information System (CDLIS) Modernization Grant (2010)

# Appendix VII: Historical Profile of Catalog Programs

<b>20.239</b> Motor Carrier Research and Technology Programs (2009)	(1977B) Local Rail Service Assistance (1978U) Local Rail Freight Assistance (1991U) Archived (2000B)	(2010)
<b>20.240</b> Fuel Tax Evasion-Intergovernmental Enforcement Effort (2006)	<b>20.309</b> Railroad Rehabilitation and Improvement_Guarantee of Obligations (1977B) Archived (1987B)	<b>20.400</b> Transportation Planning Information_Environment and Urban Systems (1970B) Archived (1971B) Reinstated (1971U) Archived (1972B)
<b>20.241</b> Federal Motor Carrier Safety Administration National Training Center (2009) Archived (2011)	<b>20.310</b> Railroad Rehabilitation and Improvement_Redeemable Preference Shares (1977B) Railroad Rehabilitation and Improvement_Redeemable Preference Shares or Notes (1983U) Archived (1986B)	<b>20.500</b> Urban Mass Transportation Capital Improvement Grants (1970B) Federal Transit Capital Improvement Grants (1992B) Federal Transit_Capital Investment Grants (1999B)
<b>20.242</b> Medical Programs (2010) Archived (2011)	<b>20.311</b> Railroad Labor/Management Cooperation Program (1987U) Archived (1988B)	<b>20.501</b> Urban Mass Transportation Capital Improvement Loans (1970B) Archived (1981B)
<b>20.300</b> High-Speed Ground Transportation (1967B) Transferred from the Department of Commerce (1967B) High-Speed Ground Transportation Research and Development (1970B) Consolidated into 20.304 (1974U)	<b>20.312</b> High Speed Ground Transportation (1995B) High Speed Ground Transportation_Next Generation High Speed Rail Program (1998B) Archived (2009)	<b>20.502</b> Urban Mass Transportation Grants for University Research and Training (1970B) Incorporated into 20.512 (1984B) Federal Transit Grants for University Research and Training (1992B) Archived (2000B) Reinstated (2000U) Deleted (2005)
<b>20.301</b> Railroad Safety (1971B)	<b>20.313</b> Railroad Research and Development (2000U)	<b>20.503</b> Urban Mass Transportation Managerial Training Grants (1969B) Urban Mass Transportation Managerial Training (1970B) Urban Mass Transportation Managerial Training Grants (1971B) Federal Transit Managerial Training Grants (1992B) Archived (2000B) Reinstated (2000U) Deleted (2005)
<b>20.302</b> Railroad Research (1973B) Consolidated into 20.304 (1974U)	<b>20.314</b> Railroad Development (2006)	<b>20.504</b> Urban Mass Transportation Research, Development, and Demonstrations (1969B) Urban Mass Transportation Research, Development, and Demonstration Grants (1971B) Mass Transportation Technology (1974U) Split into 20.504, 20.506 (1974U) Consolidated into 20.512 (1984B)
<b>20.303</b> Grants-in-Aid for Railroad Safety (1974U) Grants-in-Aid for Railroad Safety_State Participation (1975B) Archived (2009)	<b>20.315</b> National Railroad Passenger Corporation Grants (2006)	<b>20.505</b> Urban Mass Transportation Technical Studies Grants (1969B) Federal Transit Technical Studies Grants (1992B) Federal Transit_Metropolitan Planning Grants (1999B) Metropolitan Transportation Planning (2010)
<b>20.304</b> Railroad Research and Development (1974U) Consolidated from 20.300, 20.302 (1974U) Archived (1977U)	<b>20.316</b> Railroad Rehabilitation and Improvement Financing Program (2007)	
<b>20.305</b> Local Rail Service Continuation Payments (1976B) Local Rail Service Continuation Payments_Regional Program (1977B) Incorporated into 20.308 (1978B)	<b>20.317</b> Capital Assistance to States - Intercity Passenger Rail Service (2008)	
<b>20.306</b> Rail Property Acquisition and Modernization Grant Assistance (1976B) Incorporated into 20.305 (1977B)	<b>20.318</b> Maglev Project Selection Program - SAFETEA-LU (2008)	
<b>20.307</b> Transportation Test Center (1975U) Archived (1983B)	<b>20.319</b> High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants (2009)	
<b>20.308</b> Local Rail Service Assistance_National Program	<b>20.320</b> Rail Line Relocation and Improvement (2009)	
	<b>20.321</b> RAILROAD SAFETY TECHNOLOGY GRANTS	

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<b>20.506</b> Urban Mass Transportation Demonstration Grants (1974U) Split from 20.504 (1974U) Consolidated into 20.512 (1984B)	<b>20.519</b> Clean Fuels (2006)	<b>20.611</b> Incentive Grant Program to Prohibit Racial Profiling (2006)
<b>20.507</b> Urban Mass Transportation Capital and Operating Assistance Formula Grants (1975B) Federal Transit Capital and Operating Assistance Formula Grants (1992B) Federal Transit_Formula Grants (1999B)	<b>20.520</b> Paul S. Sarbanes Transit in the Parks (2009)	<b>20.612</b> Incentive Grant Program to Increase Motorcyclist Safety (2006)
<b>20.508</b> Urban Mass Transportation Rail Passenger Service Assistance (1977B) Archived (1979B)	<b>20.521</b> New Freedom Program (2006)	<b>20.613</b> Child Safety and Child Booster Seats Incentive Grants (2006)
<b>20.509</b> Public Transportation for Rural and Small Urban Areas (1979U2) Public Transportation for Nonurbanized Areas (1980U1) Formula Grants for Other Than Urbanized Areas (1999B)	<b>20.522</b> Alternatives Analysis (2006)	<b>20.614</b> National Highway Transportation Safety Administration (NHTSA) Discretionary Safety Grants (2006) National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants (2010)
<b>20.510</b> Urban Mass Transportation Planning Methods Research and Development (1980B) Consolidated into 20.512 (1984B)	<b>20.523</b> CAPITAL ASSISTANCE PROGRAM FOR REDUCING ENERGY CONSUMPTION AND GREENHOUSE GAS EMISSIONS (2009)	<b>20.615</b> E-911 Grant Program (2009) Archived (2010)
<b>20.511</b> Human Resource Program (1984B)	<b>20.600</b> State and Community Highway Safety (1971B) Consolidated from 20.207, 20.208, 20.210 (1971B)	<b>20.700</b> Gas Pipeline Safety (1971U) Pipeline Safety (1987B) Pipeline Safety Program Base Grants (2008)
<b>20.512</b> Urban Mass Transportation Technical Assistance (1984B) Consolidated from 20.504, 20.506, 20.510 (1984B) Federal Transit Technical Assistance (1992B) Deleted (2005)	<b>20.601</b> Alcohol Traffic Safety and Drunk Driving Prevention Incentive Grants (1991U) Alcohol Impaired Driving Countermeasures Incentive Grants I (2009)	<b>20.701</b> University Transportation Centers Program (1992B) Number changed from 20.902 (1992B)
<b>20.513</b> Capital Assistance Program for Elderly and Handicapped Persons (1987U) Capital Assistance Program for Elderly Persons and Persons with Disabilities (1992B)	<b>20.602</b> Motorcycle Helmets and Safety Belt Incentive Grants (1992B) Archived (1995B) Occupant Protection, Reinstated (2000U) Occupant Protection Incentive Grants (2009)	<b>20.702</b> University Research Institutes Program (1993B) Archived (1999B)
<b>20.514</b> Transit Planning and Research (1993B) Public Transportation Research (2006)	<b>20.603</b> Federal Highway Safety Data Improvements Incentive Grants (2000U)	<b>20.703</b> Interagency Hazardous Materials Public Sector Training and Planning Grants (1993B)
<b>20.515</b> State Planning and Research (1994B) Split from 20.514 (1994B)	<b>20.604</b> Safety Incentive Grants for Use of Seatbelts (2000U)	<b>20.704</b> RITA Hydrogen (2006) Archived (2010)
<b>20.516</b> Job Access_Reverse Commute (2000U)	<b>20.605</b> Safety Incentives to Prevent Operation of Motor Vehicles by Intoxicated Persons (2000U) Archived (2009)	<b>20.710</b> Technical Assistance Grants (2009)
<b>20.518</b> Capital and Training Assistance Program for Over-the-Road Bus Accessibility (2000U)	<b>20.607</b> Alcohol Open Container Requirements (2004)	<b>20.714</b> National Pipeline Mapping System (2000U)
	<b>20.608</b> Minimum Penalties for Repeat Offenders for Driving While Intoxicated (2004)	<b>20.720</b> State Damage Prevention Program Grants (2007)
	<b>20.609</b> Safety Belt Performance Grants (2006)	<b>20.721</b> PHMSA Pipeline Safety Program One Call Grant (2008)
	<b>20.610</b> State Traffic Safety Information System Improvement Grants (2008)	<b>20.722</b> Technology Development Grant (2009)

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Archived (2011)

### 20.723

PHMSA Pipeline Safety Research and Development Other Transaction Agreements (2011)

### 20.750

Program of University Research (1973U)  
Archived (1975U)

### 20.760

University Transportation Centers (2006)  
Archived (2009)

### 20.761

Biobased Transportation Research (2008)

### 20.762

Research Grants (2006)

### 20.763

Research and Innovative Technology (RIT)  
Hydrogen Alternative Fuel Life Cycle (2008)  
Archived (2010)

### 20.764

Hydrogen Storage Research and Development (2007)

### 20.800

Construction\_Differential Subsidies (1981U)  
Transferred from 11.500 (1981U)  
Archived (1990B)

### 20.801

Development and Promotion of Ports and Intermodal Transportation (1981U)  
Transferred from 11.501 (1981U)  
Deleted (2008)

### 20.802

Federal Ship Financing Guarantees (1981U)  
Transferred from 11.502 (1981U)

### 20.803

Maritime War Risk Insurance (1981U)  
Transferred from 11.503 (1981U)  
Archived (1985B)

### 20.804

Operating\_Differential Subsidies (1981U)  
Transferred from 11.504 (1981U)  
Deleted (2004)

### 20.805

Ship Sales (1981U)  
Transferred from 11.505 (1981U)  
Deleted (2005)

### 20.806

State Marine Schools (1981U)  
Transferred from 11.506 (1981U)  
State Maritime Schools (2006)

### 20.807

U.S. Merchant Marine Academy (1981U)  
Transferred from 11.507 (1981U)

### 20.808

Capital Construction Fund (1981U)  
Transferred from 11.508 (1981U)

### 20.809

Development and Promotion of Domestic Waterborne Transport Systems (1981U)  
Transferred from 11.509 (1981U)  
Archived (1985B)

### 20.810

Supplementary Training (1981U)  
Transferred from 11.510 (1981U)  
Archived (2009)

### 20.811

Research and Development Assistance (1981U)  
Transferred from 11.511 (1981U)  
Archived (1988B)

### 20.812

Construction Reserve Fund (1981U)  
Transferred from 11.512 (1981U)

### 20.813

Maritime Security Fleet Program (1997B)

### 20.814

Assistance to Small Shipyards (2008)

### 20.815

Fireboat Construction (2008)  
Archived (2009)

### 20.816

Americas Marine Highway Grants (2010)

### 20.900

Air Transportation\_Consumer Affairs (1985B)  
Transferred from 26.002 (1985B)  
Transportation\_Consumer Affairs (1993U)

### 20.901

Payments for Essential Air Services (1985B)  
Transferred from 26.003 (1985B)

### 20.902

University Transportation Centers Program (1987U)  
Number changed to 20.701 (1992B)  
Student Training and Education Program (1993B)

Consolidated into 20.907 (1995B)

### 20.903

Support Mechanisms for Disadvantaged Businesses (1993B)

### 20.904

Disadvantaged Business Enterprises\_Bonding Assistance Program (1993U)  
Bonding Assistance Program (1998U)  
Deleted (2005)

### 20.905

Disadvantaged Business Enterprises\_Short Term Lending Program (1993U)

### 20.906

Hispanic Serving Institutions\_Student Training and Education (1994B)  
Hispanic Serving Institutions\_Entrepreneurial Training and Technical Assistance (1998U)  
Split into 20.908 (2000U)  
Deleted (2004)  
Consolidated into 20.907 (2006)

### 20.907

Entrepreneurial Training and Technical Assistance Program  
Consolidated from 20.902 (1995B)  
Historically Black Colleges and Universities\_Entrepreneurial Training and Technical Assistance (1999B)  
Split into 20.908 (2000U)  
Deleted (2006)  
Entrepreneurial Training and Technical Assistance Women and Girls Program (2010)

### 20.908

Tribal Colleges\_Entrepreneurial Training and Technical Assistance  
Split from 20.906, 20.907 (2000U)  
Deleted (2004)

### 20.910

Assistance to small and disadvantaged businesses (2007)

### 20.920

Transportation Statistics Research Grants (2000U)

### 20.930

Payments for Small community Air Service Development (2004)

### 20.931

Transportation Planning, Research and Education (2006)  
Archived (2009)  
Reinstated (2010)

### 20.932

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Surface Transportation \_ Discretionary Grants for Capital Investment. (2009)  
Archived (2010)  
Reinstated (2011)

## 20.933

Surface Transportation Infrastructure \_ Discretionary Grants for Capital Investments II (2010)  
Surface Transportation Infrastructure \_ Discretionary Grants for Capital Investments (2011)  
National Infrastructure Investments (2011)

## 64.129

Monthly Allowance for Certain Children of Vietnam Veterans (2004)

## DEPARTMENT OF THE TREASURY

Narcotics Law Enforcement Training (1967B)  
Archived (1969B)

## 21.001

Alcohol, Tobacco, and Firearms\_Laboratory Analysis (1970B)  
Number changed to 21.051 (1972U)

## 21.002

Assistance in Law Enforcement (1967B)  
Law Enforcement Training Assistance (1969B)  
Alcohol, Tobacco, and Firearms\_Training Assistance (1970B)  
Number changed to 21.052 (1972U)

## 21.003

Taxpayer Assistance (1969B)  
Tax Information and Training (1970B)  
Tax Information and Education (1972B)  
Taxpayer Service (1981B)

## 21.004

Federal Tax Information for State Tax Officials (1972B)  
Incorporated from 21.005 (1987B)  
Exchange of Federal Tax Information With State Tax Agencies (1987B)

## 21.005

State Tax Model (1973U)  
Individual Tax Model (1978U)  
Incorporated into 21.004 (1987B)

## 21.006

Tax Counseling for the Elderly (1980U1)

## 21.007

Availability of Tax Information to Certain Welfare Agencies (1987B)  
Availability of Tax Information to Certain Agencies Administering Needs-Based Programs

(1991B)  
Archived (1999B)

## 21.008

Low-Income Taxpayer Clinics (1999B)  
Low Income Taxpayer Clinics (2009)

## 21.009

Volunteer Income Tax Assistance (VITA)  
Matching Grant Program (2009)

## 21.010

Financial Education and Counseling Pilot Program (2009)

## 21.011

Capital Magnet Fund (2010)

## 21.012

Native Initiatives (2010)

## 21.013

Qualifying Therapeutic Discovery Project Credit (2010)

## 21.020

Community Development Financial Institutions Program (1998B)

## 21.021

Bank Enterprise Award Program (1998B)

## 21.051

Alcohol, Tobacco, and Firearms\_Laboratory Analysis (1972U)  
Number changed from 21.001 (1972U)  
Archived (1990B)

## 21.052

Alcohol, Tobacco, and Firearms\_Training Assistance (1972U)  
Number changed from 21.002 (1972U)  
Number changed to 16.012 (2004)

## 21.053

Gang Resistance Education and Training (2000B)  
Number changed to 16.737 (2004)

## 21.100

Secret Service\_Training Activities (1970B)  
Transferred to 97.015 (2003B)

## 21.200

Antidumping\_Countervailing Duties (1971B)  
Antidumping Duties (1975B)  
Split into 21.200, 21.201 (1975B)  
Transferred to 11.106 (1980B)

## 21.201

Countervailing Duty on Imports (1975B)

Split from 21.200 (1975B)  
Transferred to 11.107 (1980B)

## 21.300

State and Local Government Fiscal Assistance\_General Revenue Sharing (1980B)  
State and Local Government Fiscal Assistance\_Revenue Sharing (1985B)  
Archived (1987B)

## ADVISORY COMMISSION ON INTERGOVERNMENTAL RELATIONS

### 22.001

Intergovernmental Relations Advisory Service (1967B)  
Archived (1974B)

## APPALACHIAN REGIONAL COMMISSION

Regional Economic Development Commissions (1969B)  
Split into individual Commissions (1970B)

## 17.807

Transition Assistance Program (2004)

## 23.001

Appalachian Regional Development (1969B)  
Split into 23.001, 23.002, 23.003, 23.004, 23.005, 23.006, 23.007, 23.008, 23.009, 23.010, 23.011, 23.012 (1970B)

## 23.002

Appalachia\_Supplements to Federal Grant-in-Aid (1970B)  
Split from 23.001 (1970B)  
Appalachian Supplements to Federal Grant-in-Aid (Community Development) (1978B)  
Appalachian Supplements to Federal Grant-in-Aid (Area Development), Consolidated from 23.004, 23.005, 23.012, 23.013 (1996B)  
Appalachian Area Development (1999B)

## 23.003

Appalachian Development Highway System (1970B)  
Split from 23.001 (1970B)

## 23.004

Appalachian Health Demonstrations (1970B)  
Split from 23.001 (1970B)  
Appalachian Health Programs (1976B)  
Consolidated into 23.002 (1996B)

## 23.005

Appalachian Housing Fund (1970B)  
Split from 23.001 (1970B)  
Appalachian Housing Planning Loan (1975B)  
Appalachian Housing Planning Loan Fund (1975U)  
Appalachian Housing Project Planning Loan and

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Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (1977B)  
Appalachian Housing Project Planning Loan, Technical Assistance Grant and Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (1979B)  
Consolidated into 23.002 (1996B)

## 23.006

Appalachian Housing Technical Assistance (1970B)  
Split from 23.001 (1970B)  
Appalachian State Housing Technical Assistance (1975B)  
Appalachian State Housing Technical Assistance Grants (1976U)  
Incorporated into 23.005 (1979B)

## 23.007

Appalachian Land Stabilization, Conservation, and Erosion Control (1970B)  
Split from 23.001 (1970B)  
Archived (1970U)

## 23.008

Appalachian Local Access Roads (1970B)  
Split from 23.001 (1970B)  
Incorporated into 23.002 (2006)

## 23.009

Appalachian Local Development District Assistance (1970B)  
Split from 23.001 (1970B)

## 23.010

Appalachian Mine Area Restoration (1970B)  
Split from 23.001 (1970B)  
Archived (1996B)

## 23.011

Appalachian State Research, Technical Assistance and Demonstration Projects (1970B)  
Split from 23.001 (1970B)  
Appalachian State Research, Technical Assistance, and Demonstration Projects (1971B)  
Appalachian Research, Technical Assistance, and Demonstration Projects (2005)  
Appalachian Research, Technical Assistance, and Demonstration Projects (2006)

## 23.012

Appalachian Vocational Education Facilities (1970B)  
Split from 23.001 (1970B)  
Appalachian Vocational Education Facilities and Operations (1972B)  
Appalachian Vocational and Other Education Facilities and Operations (1976B)  
Consolidated into 23.002 (1996B)

## 23.013

Appalachian Child Development (1970U)  
Consolidated into 23.002 (1996B)

## 23.014

Appalachian Housing Site Development (1972B)  
Appalachian Housing Site Development and Off Site Improvement Grants (1975B)  
Incorporated into 23.005 (1977B)

## 23.016

Appalachian Vocational and Technical Education Demonstration Grants (1972B)  
Incorporated into 23.012 (1976B)

## 23.017

Appalachian Special Transportation Related Planning, Research and Demonstration Program (1975B)  
Archived (1989B)

## ATOMIC ENERGY COMMISSION

Construction of Nuclear Power Stations (1967B)  
Archived (1970B)

Licensing of Nuclear Power Stations (1967B)  
Archived (1970B)

Nuclear Education and Training (1967B)  
Split into "Nuclear Education, Training" Programs (1970B)

Research Support in the Biological, Medical, and Health Sciences (1967B)  
Archived (1970B)

Research Support in the Physical Sciences (1967B)  
Archived (1970B)

Surveys and Evaluation of Environmental Radiation Hazards (1967B)  
Archived (1970B)

Training of State Personnel in AEC Regulatory Functions (1967B)  
Archived (1970B)

Transferred to Industry of AEC Generated Technology (1967B)

Deleted (1970B)

## 24.001

Access Permits (1970B)  
Transferred to 81.001 (1978B)

## 24.002

Atomic Energy Motion Picture Film Libraries (1970B)  
Nuclear Science and Technology\_Motion Picture Film Libraries (1974B)  
Motion Picture Film Libraries (1975B)

Transferred to 81.002 (1978B)

## 24.003

Granting of Patent Licenses (1970B)  
Transferred to 81.003 (1978B)

## 24.004

Nuclear Education and Training\_Faculty Research Participation (1970B)  
Nuclear Education and Training\_Faculty Research Participation\_Laboratory Cooperative Program (1973U)  
Nuclear Science and Technology\_Faculty and Student Participation\_Laboratory Cooperative Program (1974B)  
Faculty and Student Participation\_Laboratory Cooperative Program (1975B)  
Transferred to 81.004 (1978B)

## 24.005

Nuclear Education and Training\_Faculty-Student Conferences (1970B)  
Archived (1973U)

## 24.006

Nuclear Education and Training\_Faculty-Student Experiments (1970B)  
Consolidated into 24.032 (1973B)

## 24.007

Nuclear Education and Training\_Faculty Training Institutes (1970B)  
Nuclear Science and Technology\_Faculty Training Institutes and Workshops (1974B)  
Faculty Training Institutes, Short Courses, and Workshops on Energy and Environmental Subjects (1975B)  
Transferred to 81.007 (1978B)

## 24.008

Nuclear Education and Training\_Faculty Workshops (1970B)  
Consolidated into 24.032 (1973B)

## 24.009

Nuclear Education and Training\_Honors Program for Senior Science Majors (1970B)  
Incorporated into 24.019 (1973B)

## 24.010

Nuclear Education and Training\_Laboratory Graduate Fellowships (1970B)  
Nuclear Education and Training\_Laboratory Graduate Participants (1971B)  
Nuclear Education and Training\_Laboratory Graduate Participants\_Laboratory Cooperative Program (1973U)  
Incorporated into 24.004 (1974B)

## 24.011

Nuclear Education and Training\_Loan of Material

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to Nonprofit Institutions (1970B)

Nuclear Education and Training\_Material for Nonprofit Institutions (1972B)

Nuclear Science and Technology\_Research Reactor Materials Assistance (1974B)

Research Reactor and Materials Assistance (1975B)

Transferred to 81.011 (1978B)

## 24.012

Nuclear Education and Training\_Medical Radioisotope Course (1970B)

Archived (1973B)

## 24.013

Nuclear Education and Training\_Mobile Radioisotope Laboratory (1970B)

Archived (1974U)

## 24.014

Nuclear Education and Training\_Nuclear Medical Technology Course (1970B)

Archived (1973B)

## 24.015

Nuclear Education and Training\_Radioisotope Techniques Training Courses (1970B)

Archived (1973B)

## 24.016

Nuclear Education and Training\_Reactor Fuel Cycle Assistance (1970B)

Incorporated into 24.011 (1974B)

## 24.017

Nuclear Education and Training\_Special Fellowships in Nuclear Science and Engineering (1970B)

Archived (1973B)

## 24.018

Nuclear Education and Training\_Special Fellowships in Radiation Science and Protection (1970B)

Nuclear Education and Training\_Special Fellowships in Radiation Protection (1971B)

Archived (1973B)

## 24.019

Nuclear Education and Training\_Summer Student Training (1970B)

Nuclear Education and Training\_Student Research Participation (1972B)

Nuclear Education and Training\_Student Research Participation\_Laboratory Cooperative Program (1973U)

Incorporated into 24.004 (1974B)

## 24.020

Nuclear Education and Training\_Traineeships for Graduate Students in Nuclear Engineering (1970B)

Archived (1973B)

Reinstated (1974B)

Nuclear Science and Technology\_Traineeships for Graduate Students in Nuclear Engineering, Radiation Protection, and Environmental Engineering (1974B)

Nuclear Science and Technology\_Traineeships for Graduate Students in Nuclear Engineering, Radiation Protection, and Environmental Sciences and Engineering (1974U)

Traineeships for Graduate Students in Nuclear Engineering, Radiation Protection, and Environmental Sciences and Engineering (1975B)

Traineeships for Graduate Students in Engineering Studies Related to Energy Conversion, Health and Safety, and Environmental Sciences and Engineering (1976B)

Transferred to 81.020 (1978B)

## 24.021

Nuclear Education and Training\_University Reactor Sharing (1970B)

Incorporated into 24.011 (1974B)

## 24.022

Nuclear Education and Training\_Used Nuclear-Type Equipment Grants (1970B)

Nuclear Science and Technology\_Used Nuclear-Type Equipment Grants (1974B)

Used Nuclear-Type Equipment Grants (1975B)

Transferred to 81.022 (1978B)

## 24.023

Nuclear Science Information (1967B)

Nuclear Science and Technology\_Literature and Information Services (1970B)

Nuclear Science and Technology\_Literature, Exhibits, and Other Information Services (1974B)

Information Services\_Exhibits, Publications, Reference, and Analysis (1975B)

Information Services\_Exhibits, Public Speakers, Publications, Reference, and Analysis (1975U)

Transferred to 81.023 (1978B)

## 24.024

Nuclear Science and Technology\_Research and Development (1969B)

Research and Development in Nuclear, Solar, Geothermal, and Advanced Energy Systems, and Physical, Biomedical, and Environmental Sciences (1975B)

Split into 24.024, 24.035 (1975B)

Transferred/Incorporated into 81.037, 81.046, 81.049 (1978B)

## 24.025

Nuclear Science Lecture Demonstration for Secondary Schools (1970B)

Archived (1973B)

## 24.026

Payments in Lieu of Property Taxes (1970B)

Transferred to 81.026 (1978B)

## 24.027

Radiation Control Training Assistance (1969B)

Radiation Control\_Training Assistance and Advisory Counseling (1970B)

Transferred to 77.001 (1975B)

## 24.028

Radiological Safety Assistance (1967B)

Radiological Emergency Assistance (1971B)

Transferred to 81.028 (1978B)

## 24.029

Uranium Industry Workshops (1970B)

Nuclear Industry Seminars (1972U)

Transferred to 81.029 (1978B)

## 24.030

Work Experience (1970B)

Transferred to 81.030 (1978B)

## 24.031

Nuclear Materials Safeguards Training (1970U)

Incorporated into 24.007 (1973B)

## 24.032

Nuclear Education and Training\_Instructional Activities (1973B)

Consolidated from 24.006, 24.008 (1973B)

Archived (1973U)

## 24.033

Nuclear Science and Technology\_Citizens' Workshops (1974B)

Citizens' Workshops (1975B)

Transferred to 81.033 (1978B)

## 24.034

Research and Development in Fossil Energy (1975B)

Transferred from 15.307 (1975B)

Transferred/Split into 81.037, 81.046 (1978B)

## 24.035

Research and Development in Energy Conservation (1975B)

Split from 24.024 (1975B)

Transferred to 81.035 (1978B)

## 24.036

Energy-Related Inventions (1976B)

Transferred to 81.036 (1978B)

## CABINET COMMITTEE ON OPPORTUNITIES FOR SPANISH-SPEAKING PEOPLE

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### 25.001

Spanish Surnamed Communities Assistance (1969B)



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Spanish Surnamed Americans Assistance (1970B)  
Spanish-Speaking Americans Assistance (1970U)  
Archived (1975B)

## **CIVIL AERONAUTICS BOARD**

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Air Transport\_Community and Consumer Services (1969B)  
Archived (1970B)

**26.001**  
Air Carrier Payments (1970B)  
Archived (1981B)

**26.002**  
Air Transportation\_Consumer Complaints (1970U)  
Air Transportation\_Consumer Affairs (1972B)  
Transferred to 20.900 (1985B)

**26.003**  
Payments for Essential Air Services (1979B)  
Transferred to 20.901 (1985B)

**26.004**  
Public Participation (1979B)  
Archived (1980B)

## **OFFICE OF PERSONNEL MANAGEMENT**

---

**27.001**  
Opportunities for Federal Civil Service Employment (1967B)  
Federal Civil Service Employment (1970B)

**27.002**  
Employment Assistance for Veterans (1969B)  
Federal Employment Assistance for Veterans (1970B)

**27.003**  
Stay in School Campaign\_Youth Opportunity (1967B)  
Youth Employment (1969B)  
Federal Employment for Disadvantaged Youth\_Part-Time (1970B)  
Consolidated from 27.004 (1995B)  
Federal Student Temporary Employment Program (1996B)

**27.004**  
Youth Summer Employment (1969B)  
Federal Employment for Disadvantaged Youth\_Summer (1970B)  
Consolidated into 27.003 (1995B)

**27.005**  
Federal Employment for the Handicapped (1970B)

**27.006**  
Federal Summer Employment (1970B)

**27.007**  
Personnel Management Assistance to State and Local Governments (1970B)  
Archived (1971U)

**27.008**  
Recruiting and Staffing Assistance to State and Local Governments (1970B)  
Intergovernmental Cooperation in Recruiting and Examining (1971U)  
Archived (1984U)

**27.009**  
Training Assistance to State and Local Governments (1970B)  
Archived (1996U)

**27.010**  
State Personnel Merit Systems\_Technical Assistance (1971B)  
Transferred from 13.605 (1971B)  
State and Local Personnel Merit Systems and Other Technical Assistance (1978U)  
State and Local Merit Personnel Systems and Other Technical Assistance (1979U2)  
Archived (1981U)

**27.011**  
Intergovernmental Mobility of Federal, State, and Local Employees (1971U)

**27.012**  
Intergovernmental Personnel Grants (1971U)  
Archived (1981U)

**27.013**  
Presidential Management Intern Program (1978B)

## **COASTAL PLAINS REGIONAL COMMISSION**

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**28.001**  
Coastal Plains Regional Economic Development (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Archived (1981U)

**28.002**  
Coastal Plains Technical and Planning Assistance (1975B)  
Archived (1981U)

**28.003**  
Coastal Plains Supplements to Federal Grant-in-Aid (1975B)  
Archived (1981U)

**28.004**  
Coastal Plains Regional Transportation (1977U)  
Archived (1981U)

**28.005**  
Coastal Plains Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

**28.007**  
Coastal Plains Health and Nutrition Demonstration Projects (1977U)  
Archived (1981U)

**28.008**  
Coastal Plains Education Demonstration Projects (1977U)  
Archived (1981U)

## **U.S. COMMISSION ON CIVIL RIGHTS**

---

Job Discrimination\_Reports (1969B)  
Archived (1970B)

**29.001**  
Civil Rights (1967B)  
Civil Rights Compliance and Information (1969B)  
Clearinghouse Services and Civil Rights Complaints (1970B)  
Clearinghouse Services, Civil Rights and Sex Discrimination Complaints (1973B)  
Clearinghouse Services, Civil Rights Discrimination Complaints (1981B)

## **EQUAL EMPLOYMENT OPPORTUNITY COMMISSION**

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Affirmative Action Program\_Equal Employment Opportunity (1967B)  
Archived (1970B)

Equal Employment Opportunity Grants (1967B)  
Archived (1970B)

Job Discrimination\_Reports (1969B)  
Archived (1970B)

**30.001**  
Job Discrimination\_Investigation and Conciliation of Complaints (1969B)  
Employment Discrimination\_Investigation, Conciliation and Litigation of Unlawful Employment Practices (1975B)  
Employment Discrimination\_Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices (1978B)  
Employment Discrimination\_Title VII of the Civil Rights Act of 1964 (1986B)

**30.002**  
Job Discrimination\_Special Project Grants (1969B)  
Employment Discrimination\_Special Project Grants and Contracts (1975B)  
Employment Discrimination\_Special Project Contracts (1976B)  
Employment Discrimination\_State and Local

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Anti-Discrimination Agency Contracts (1976U)  
Employment Discrimination\_State and Local Fair  
Employment Practices Agency Contracts (1992B)  
Archived (2010)

## 30.003

Job Discrimination\_Technical Assistance to  
Employers, Unions, and Employment Agencies  
(1969B)

Job Discrimination\_Technical Assistance (1973B)  
Employment Discrimination\_Technical Assistance  
(1975B)  
Archived (1978B)

## 30.004

Employment Discrimination\_Program for the  
Development of the Private Bar (1975U)  
Archived (1977B)

## 30.005

Employment Discrimination\_Project Grants and  
Demonstration Grants (1978B)  
Employment Discrimination\_Private Bar Project  
and Demonstration Contracts (1979U2)  
Employment Discrimination\_Private Bar Program  
(1981U)

## 30.006

Employment Discrimination\_Voluntary  
Compliance by Public Employers (1978U)  
Employment Discrimination\_Voluntary  
Compliance by Non-Federal Public Employers  
(1979U2)  
Employment Discrimination\_Compliance Program  
for Non-Federal Public Employers (1980U1)  
Archived (1982B)

## 30.007

Employment Discrimination Project Grants\_Tribal  
Native Americans (1978U)  
Archived (1979U2)

## 30.008

Employment Discrimination\_Age Discrimination in  
Employment (1979U1)  
Transferred from 17.300 (1979U1)  
Consolidated from 30.012 (1995U)

## 30.009

Employment Discrimination Project  
Contracts\_Indian Tribes (1979U2)  
Archived (2010)

## 30.010

Employment Discrimination\_Equal Pay Act  
(1979U2)  
Transferred/Split from 17.303 (1979U2)  
Consolidated from 30.012 (1995U)  
Women's Bureau (2004)  
Employment Discrimination Equal Pay Act (2005)  
Employment Discrimination Equal Pay Act (2005)

## 30.011

Employment Discrimination\_Title I of The  
Americans with Disabilities Act, Investigations  
(1992B)  
Employment Discrimination\_Title I of The  
Americans with Disabilities Act (1995B)  
Consolidated from 30.012 (1995U)

## 30.012

Employment Discrimination\_Title I of The  
Americans with Disabilities Act, Technical  
Assistance (1992B)  
Consolidated into 30.008, 30.010, 30.011 (1995U)

## 30.013

Employment Discrimination-Title II of the Genetic  
Information Nondiscrimination Act of 2008 (2011)

## EXPORT - IMPORT BANK OF THE UNITED STATES

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### 31.001

Medium-Term Guarantees to Commercial Banks  
(1970B)  
Split into 31.002, 31.004, 31.005 (1971B)

### 31.002

Commercial Bank Export Credit Loans (1971B)  
Split from 31.001 (1971B)  
Archived (1973B)

### 31.003

Export Credit Information Service for U.S.  
Commercial Banks (1971B)  
Archived (1973B)

### 31.004

Export Financing\_Direct Loans and Participation  
Financing (1971B)  
Split from 31.001 (1971B)  
Archived (1973B)

### 31.005

Export Financing\_Guarantees and Insurance  
(1971B)  
Split from 31.001 (1971B)  
Archived (1973B)

### 31.006

Export Financing\_Preliminary Commitments  
(1971B)  
Archived (1973B)

### 31.007

Export - Loan Guarantee/Insured Loans (2009)

## FEDERAL COMMUNICATIONS COMMISSION

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### 32.001

Communications\_Information, Regulation, and  
Investigation of Complaints (1969B)

Communications\_Information and Investigation of  
Complaints (1972B)  
Communications Information and Assistance and  
Investigation of Complaints (1983U)

## FEDERAL MARITIME COMMISSION

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### 33.001

Shipping\_Investigation of Complaints (1969B)  
Shipping Investigation of Complaints (1997B)  
Shipping\_Dispute Resolution and Investigation of  
Complaints (2006)

## FEDERAL MEDIATION AND CONCILIATION SERVICE

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### 34.001

Labor Mediation and Conciliation (1969B)

### 34.002

Labor-Management Cooperation (1982B)  
Archived (1992B)  
Labor Management Cooperation (1993B)  
Deleted Program no longer funded (2008)

## FEDERAL POWER COMMISSION

---

Fish Protection (1967B)  
Archived (1969B)

Flood Control (1967B)  
Archived (1969B)

Forestry, Tree Planting (1967B)  
Archived (1969B)

Recreation Resource Development (1967B)  
Archived (1969B)

Water Conservation Assistance (1967B)  
Archived (1969B)

Water Pollution Assistance (1967B)  
Archived (1969B)

### 35.001

Water Resources Development (1967B)  
Archived (1973B)

### 35.002

Beautification of Hydroelectric Projects (1967B)  
Wholesale Electric Power Service (1969B)  
Archived (1973B)

### 35.003

Wholesale Natural Gas Service (1967B)  
Archived (1973B)

## FEDERAL TRADE COMMISSION

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### 36.001

Consumer and Small Business Protection (1967B)  
Consumer and Business Protection (1970B)

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Fair Competition Counseling and Investigation of Complaints (1972B)

## **36.002**

Public Rulemaking Participation (1976B)  
Archived (1981U)

## **FOREIGN CLAIMS SETTLEMENT COMMISSION OF THE UNITED STATES**

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### **37.001**

Claims Against the Government of Bulgaria (1970B)  
Archived (1971B)

### **37.002**

Claims Against the Government of Italy (1970B)  
Archived (1971B)

### **37.003**

Claims Against the Government of Rumania (1970B)  
Archived (1971B)

### **37.004**

Claims of Civilian American Citizens Interned in Southeast Asia (1970U)  
Archived (1972B)

### **37.005**

Claims of Prisoners of War in Vietnam (1970U)  
Archived (1982B)

### **37.006**

Claims of Civilian Internees in Vietnam (1973U)  
Archived (1978B)

### **37.007**

Second Hungarian Claims Program (1975B)  
Archived (1977U)

### **37.008**

German Democratic Republic Claims Program (1977U)  
Archived (1981B)

### **37.009**

Second China Claims Program (1979U1)  
Archived (1981U)

### **37.010**

Vietnam Claims Program (1981B)  
Archived (1986B)

### **37.011**

Second Czechoslovakian Claims Program (1982B)  
Archived (1985B)

### **37.012**

Ethiopian Claims Program (1986U)

Archived (1987U)

## **FOUR CORNERS REGIONAL COMMISSION**

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### **38.001**

Four Corners Regional Economic Development (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Archived (1981U)

### **38.002**

Four Corners Technical and Planning Assistance (1975B)  
Archived (1981U)

### **38.003**

Four Corners Supplements to Federal Grant-in-Aid (1975B)  
Archived (1981U)

### **38.004**

Four Corners Regional Transportation (1977U)  
Archived (1981U)

### **38.005**

Four Corners Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

### **38.007**

Four Corners Health and Nutrition Demonstration Projects (1977U)  
Archived (1981U)

## **GENERAL SERVICES ADMINISTRATION**

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Payments to Small Lead and Zinc Mines (1967B)  
Archived (1969B)

### **39.001**

Non-Military Procurement from Labor Surplus and Redevelopment Areas (1967B)  
Counseling on Doing Business with the Government (1969B)  
Business Services (1970B)

### **39.002**

Disposal of Federal Surplus Real Property (1965B)

### **39.003**

Donation of Federal Surplus Personal Property (1965B)

### **39.004**

National Archives Reference Services (1969B)  
Transferred to 89.001 (1985B)

### **39.005**

Audiovisual Support Services (1969B)

National Audiovisual Center (1970B)  
Transferred to 89.002 (1985B)

### **39.006**

National Historical Sources Grants (1969B)  
National Historical Publications Grants (1971B)  
National Historical Publications and Records Grants (1976B)  
Transferred to 89.003 (1985B)

### **39.007**

Sale of Federal Surplus Personal Property (1965B)

### **39.008**

Federal Information Center (1971B)  
Consolidated into 39.009 (2000B)

### **39.009**

Consumer Product Information Index (1972B)  
Consumer Product Information Center (1973B)  
Consumer Information Center (1974B)  
Federal Consumer Information Center, Consolidated from 39.008 (2000B)  
Federal Citizen Information Center (2003B)  
Archived (2010)

### **39.010**

Continuity of Government and Management of Resources in Emergencies (1973U)  
Transferred from 50.001 (1973U)  
Archived (1976B)  
Reinstated (1980B)  
State Participation in Federal Telpaks (1980B)  
Archived (1980U2)

### **39.012**

Public Buildings Service (2008)

## **GOVERNMENT PRINTING OFFICE**

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### **40.001**

Government Publications\_Depository Library Distribution (1969B)  
Depository Libraries for Government Publications (1970B)  
Depository Libraries for Government Publications (2004)

### **40.002**

Government Publications\_Sales to the Public (1969B)  
Government Publications\_Sales and Distribution (1970B)  
Government Publications Sales and Distribution (1992B)  
Government Publications Sales and Distribution (2004)

## **INTERSTATE COMMERCE COMMISSION**

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### **41.001**

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Federal-State Highway Transportation Cooperative Economic Law Enforcement Agreements (1967B)  
Interstate Commerce\_Cooperative Enforcement Agreements with States (1969B)  
Archived (1995B)

## 41.002

Interstate Commerce\_Investigation of Complaints (1969B)  
Archived (1996B)

## **LIBRARY OF CONGRESS**

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### 42.001

Talking Book Services Program (1965B)  
Books and Talking Books for the Blind and the Physically Handicapped (1967B)  
Books for the Blind and Physically Handicapped (1969B)  
Books for the Blind and Physically Handicapped (2005)

### 42.002

Copyright Service (1969B)

### 42.003

Distribution of Library of Congress Catalog Cards (1969B)  
Distribution of Library of Congress Cataloging (1976B)  
Deleted (2005)

### 42.004

Library of Congress Photoduplication Service (1969B)  
Archived (1978U)

### 42.005

Library of Congress Publications (1967B)

### 42.006

Library of Congress Reference and Bibliographic Services (1969B)  
Library of Congress Research and Reader Services (1977B)  
Library of Congress Research Services (1979U2)  
Library of Congress Constituent and Collection Services (1990B)  
Library of Congress\_Library Services (1996B)  
Deleted (2005)

### 42.007

Research and Referral Services in Science and Technology (1969B)  
Reference and Referral Services in Science and Technology (1977B)  
Reference Services in Science and Technology (1981B)  
Reference Services in Science, Technology and Business (2000B)  
Deleted (2005)

### 42.008

Reference and Consultation Services in Preservation, Restoration, and Protection of Library Materials (1971B)  
Archived (1978U)  
Semiconductor Chip Protection Service (1987B)

### 42.009

Vessel Hull Design Protection Service (2004)

## **NATIONAL AERONAUTICS AND SPACE ADMINISTRATION**

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Assistance for University Research and Training Activities (1969B)  
Archived (1970B)

### 43.001

Space and Aeronautics Education and Information Services (1969B)  
Space Science Education Project (1970B)  
Aerospace Education Services Project (1977B)  
Aerospace Education Services Program (1991U)  
Science (2010)

### 43.002

Technology Utilization (1967B)  
Transferred to Private Sector of Aerospace Technology (1969B)  
Technology Utilization (1970B)  
Technology Transfer (1978U)  
Technology Utilization (1984B)  
Technology Transfer (1993U)  
Aeronautics (2010)

### 43.003

Exploration (2010)

### 43.004

Aeronautics, Recovery Act (2009)

### 43.005

Exploration, Recovery Act (2009)

### 43.006

Science, Recovery Act (2009)

### 43.007

Space Operations (2010)

### 43.008

Education (2010)

### 43.009

Cross Agency Support (2010)

### 43.010

Construction & Environmental Compliance & Remediation (2010)

### 43.011

Office of Inspector General (2010)

## **NATIONAL CREDIT UNION ADMINISTRATION**

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### 44.001

Federal Credit Union Charter, Examination, and Supervision (1970B)  
Credit Union Charter, Examination, Supervision, and Insurance (1971B)

### 44.002

Community Development Credit Union Revolving Loan Fund  
Number changed from 13.794 (1987B)  
Community Development Revolving Loan Program for Credit Unions (1988B)  
Community Development Revolving Loan Fund Program for Credit Unions (2005)  
Community Development Revolving Loan Fund Program for Credit Unions (2005)

## **FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES**

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### 45.201

Arts and Artifacts Idemnity (1976U)

## **INSTITUTE OF MUSEUM AND LIBRARY SERVICES**

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### 45.301

Institute of Museum Services (1982B)  
Transferred from 84.115 (1982B)  
Institute of Museum and Library Services (1997B)  
Split into 45.302, 45.303, 45.304, 45.305, 45.306 (1998B)  
Institute of Museum and Library Services\_General Operating Support (1998B)  
Institute of Museum and Library Services (2000B)  
Museum for America Grants (2004)  
Museums for America (2006)

### 45.302

Museum Assessment Program  
Split from 45.301 (1998B)

### 45.303

Conservation Project Support  
Split from 45.301 (1998B)

### 45.304

Conservation Assessment Program  
Split from 45.301 (1998B)

### 45.305

Professional Services Program  
Split from 45.301 (1998B)  
Consolidated into 45.312 (2001B)

### 45.306

Museum Leadership Initiatives  
Split from 45.301 (1998B)

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Consolidated into 45.312 (2001B)

## 45.307

21st Century Museum Professionals (2005)

## 45.308

Native American/Native Hawaiian Museum Services Program (2005)

## 45.309

Museum Grants for African American History and Culture (2006)

## 45.310

State Library Program (1998B)  
Grants to States (2006)

## 45.311

Native American Library Services (1998B)  
Native American and Native Hawaiian Library Services (2004)

## 45.312

Institute of Museum and Library Services\_National Leadership Grants (1998B)  
National Leadership Grants (2004)

## 45.313

Institute of Museum and Library Services\_Recruiting and Educating Librarians for the 21st Century (2003B)  
Librarians for the 21st Century (2004)  
Librarians for the 21st Century (2004)  
Laura Bush 21st Century Librarian Program (2006)

## NATIONAL ENDOWMENT FOR THE ARTS

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Grants for Progress in the Arts (1967B)  
Split into 45.001 - 45.009 (1970B)

Progress in the Humanities (1969B)  
Split into 45.100 - 45.106 (1970B)

## 45.001

Promotion of the Arts\_Architecture and Design (1970B)  
Promotion of the Arts\_Architecture and Environmental Arts (1971U)  
Promotion of the Arts\_Architecture, Planning, and Design (1978B)  
Promotion of the Arts\_Design Arts (1979U2)  
Consolidated into 45.024 (1996B)

## 45.002

Promotion of the Arts\_Dance (1970B)  
Consolidated into 45.024 (1996B)

## 45.003

Promotion of the Arts\_Education (1970B)  
Promotion of the Arts\_Artists-in-Schools (1979U2)

Promotion of the Arts\_Artists-in-Education (1981B)

Promotion of the Arts\_Arts in Education (1986U)  
Consolidated into 45.024, 45.025 (1996B)

## 45.004

Promotion of the Arts\_Literature (1970B)  
Consolidated into 45.024 (1996B)

## 45.005

Promotion of the Arts\_Music (1970B)  
Split into 45.005, 45.014 (1978U)  
Consolidated into 45.024 (1996B)

## 45.006

Promotion of the Arts\_Public Media (1970B)  
Promotion of the Arts\_Media Arts: Film/Radio/Television (1977B)  
Consolidated into 45.024 (1996B)

## 45.007

Promotion of the Arts\_State and Community Operations (1970B)  
Promotion of the Arts\_Federal-State Partnership (1973B)  
Promotion of the Arts\_State Program/Partnership Coordination (1980B)  
Promotion of the Arts\_State Programs/Partnership Coordination (1982B)  
Promotion of the Arts\_Public Partnership (1983B)  
Promotion of the Arts\_State Programs (1984B)  
Promotion of the Arts\_States Program (1989U)  
Promotion of the Arts\_State and Regional Program (1992B)  
Consolidated into 45.025 (1996B)

## 45.008

Promotion of the Arts\_Theatre (1970B)  
Promotion of the Arts\_Theater (1984B)  
Consolidated into 45.024 (1996B)

## 45.009

Promotion of the Arts\_Visual Arts (1970B)  
Consolidated into 45.024 (1996B)

## 45.010

Promotion of the Arts\_Expansion Arts (1971U)  
Consolidated into 45.024, 45.025 (1996B)

## 45.011

Promotion of the Arts\_Special Projects (1972B)  
Split into 45.011, 45.015 (1978U)  
Promotion of the Arts\_Internship (Special Projects) (1978U)  
Promotion of the Arts\_Special Projects (1979B)  
Split into 45.011, 45.020 (1980B)  
Promotion of the Arts\_Inter-Arts (1980U1)  
Promotion of the Arts\_Presenting and Commissioning (1992B)  
Promotion of the Arts\_Presenting (1995B)

Consolidated into 45.024, 45.025 (1996B)

## 45.012

Promotion of the Arts\_Museums (1972B)  
Consolidated into 45.024 (1996B)

## 45.013

Promotion of the Arts\_Challenge Grants (1977U)  
Split into 45.013, 45.022 (1983B)  
Consolidated into 45.024 (1996B)

## 45.014

Promotion of the Arts\_Opera and Musical Theatre (1978U)  
Split from 45.005 (1978U)  
Number changed to 45.015 (1979U2)  
Promotion of the Arts\_Folk Arts (1980B)  
Promotion of the Arts\_Opera and Musical Theatre (1980U1)  
Promotion of the Arts\_Opera and Musical Theater (1984B)  
Promotion of the Arts\_Opera-Musical Theater (1987B)  
Consolidated into 45.024 (1996B)

## 45.015

Promotion of the Arts\_Folk Arts (1978U)  
Split from 45.011 (1978U)  
Number changed to 45.014 (1979U2)  
Promotion of the Arts\_Opera and Musical Theatre (1980B)  
Promotion of the Arts\_Folk Arts (1980U1)  
Promotion of the Arts\_Folk and Traditional Arts (1995B)  
Consolidated into 45.024, 45.025 (1996B)

## 45.020

Promotion of the Arts\_National Endowment Fellowship Program (1980B)  
Split from 45.011 (1980B)  
Number changed to 45.021 (1980B)

## 45.021

Promotion of the Arts\_Policy, Planning and Research (1983B)  
Number changed from 45.020 (1983B)  
Promotion of the Arts\_Fellowship Program for Arts Management (1984B)  
Promotion of the Arts\_Arts Management Fellowship Program (1985)  
Promotion of the Arts\_Arts Administration Fellows Program (1987U)  
Archived (1996B)

## 45.022

Promotion of the Arts\_Advancement Grants  
Split from 45.013 (1983B)  
Consolidated into 45.024 (1996B)

## 45.023

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Promotion of the Arts\_Test Program of Support for Local Arts Agencies (1983U)

Promotion of the Arts\_Locals Program (1989U)

Promotion of the Arts\_Local Arts Agencies Program (1992U)

Consolidated into 45.024, 45.025 (1996B)

## 45.024

Promotion of the Arts\_Grants to Organizations and Individuals

Consolidated from 45.001 - 45.006, 45.008 - 45.015, 45.022, 45.023 (1996B)

## 45.025

Promotion of the Arts\_Partnership Agreements

Consolidated from 45.003, 45.007, 45.010, 45.011, 45.015, 45.023 (1996B)

## 45.026

Promotion of the Arts\_Leadership Initiatives (1996B)

Deleted (2004)

## 45.027

Promotion of the Arts\_Challenge America Grants (2001B)

Deleted (2003)

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Consolidated into program 45.024 (2003B)

## 45.100

Promotion of the Humanities\_Afro-American Fellowships (1970B)

Number changed to 45.107 (1970U)

## 45.101

Promotion of the Humanities\_Education (1970B)

Archived (1971U)

## 45.102

Promotion of the Humanities\_Fellowships and Summer Stipends for Younger Humanists (1970B)  
Consolidated into 45.118, 45.121 (1974U)

## 45.103

Promotion of the Humanities\_Fellowships\_Faculty Development Grants (1970B)

Incorporated into 45.101 (1971B)

## 45.104

Promotion of the Humanities\_Public Programs (1970B)

Promotion of the Humanities\_Film/TV Grants (1973B)

Promotion of the Humanities\_Media Grants (1974B)

Promotion of the Humanities\_Media Humanities Projects (1980B)

Promotion of the Humanities\_Humanities Projects in Media (1983U)

Consolidated into 45.164 (1996B)

## 45.105

Promotion of the Humanities\_Research and Publication (1970B)

Promotion of the Humanities\_Research Grants (1971U)

Promotion of the Humanities\_Research Grants for Junior College Teachers (1974U)

Promotion of the Humanities\_General Research Program (1976B)

Split into 45.140, 45.141 (1979U1)

## 45.106

Promotion of the Humanities\_Senior Fellowships (1970B)

Consolidated into 45.118 (1974U)

## 45.107

Promotion of the Humanities\_Fellowships for Guided Study in Selected Fields (1970U)

Number changed from 45.100 (1970U)

Promotion of the Humanities\_Fellowships in Selected Fields (1973B)

Consolidated into 45.118, 45.119 (1974U)

## 45.108

Promotion of the Humanities\_Fellowships for Junior College Teachers (1970U)

Promotion of the Humanities\_Fellowships and Summer Stipends for Junior College Teachers (1973B)

Consolidated into 45.118, 45.119, 45.121 (1974U)

## 45.109

Promotion of the Humanities\_Fellowships for the Professions (1971U)

Promotion of the Humanities\_Fellowships and Stipends for the Professions (1976B)

Split into 45.109, 45.134 (1978B)

Promotion of the Humanities\_Fellowships for Journalists (1982B)

Archived (1983B)

## 45.110

Promotion of the Humanities\_Education Planning and Development (1971U)

Promotion of the Humanities\_Education Planning, Program, and Development (1973B)

Promotion of the Humanities\_Education Pilot, Program, and Development (1976B)

Promotion of the Humanities\_Education Pilot and Development Grants (1976U)

Split into 45.138, 45.139 (1979B)

## 45.111

Promotion of the Humanities\_Education Projects (1971U)

Promotion of the Humanities\_Higher Education

Projects (1976U)

Split into 45.111, 45.127 (1976U)

Promotion of the Humanities\_Higher Education/Regional and National Grants (1979U2)  
Promotion of the Humanities\_Exemplary Projects, Nontraditional Programs, and Teaching Materials (1983B)

Promotion of the Humanities\_Exemplary Projects in Undergraduate and Graduate Education and Nontraditional Programs and Teaching Materials (1983U)

Promotion of the Humanities\_Exemplary Projects and Humanities Programs for Nontraditional Learners (1984B)

Consolidated into 45.150 (1987U)

## 45.112

Promotion of the Humanities\_Museum Personnel Development (1971U)

Consolidated into 45.125 (1976B)

## 45.113

Promotion of the Humanities\_Regional Projects (1971U)

Promotion of the Humanities\_Special Projects (1973B)

Promotion of the Humanities\_Program Development (1974U)

Promotion of the Humanities\_Public Program Development (1975U)

Promotion of the Humanities\_Program Development (1979B)

Promotion of the Humanities\_Special Projects: Program Development (1983U)

Promotion of the Humanities\_Special Projects: Humanities Programs for Adults (1984B)

Promotion of the Humanities\_Humanities Projects for Adults (1985B)

Promotion of the Humanities\_Public Humanities Projects (1986B)

Promotion of the Humanities\_Special Projects (1994U)

Consolidated into 45.164 (1996B)

## 45.114

Promotion of the Humanities\_Interpretive Museum Exhibitions (1972U)

Promotion of the Humanities\_Interpretive Museum Exhibitions and Community Education Programs (1974B)

Promotion of the Humanities\_Interpretive Exhibitions and Community Education Programs (1974U)

Consolidated into 45.125 (1976B)

## 45.115

Promotion of the Humanities\_Youth Grants in the Humanities (1972U)

Promotion of the Humanities\_Youth Programs (1976U)

Promotion of the Humanities\_Youthgrants (1978B)

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Split into 45.115, 45.135 (1978B)

Promotion of the Humanities\_Youth Grants (1983B)

Promotion of the Humanities\_Special Projects: Younger Scholars (1983U)

Promotion of the Humanities\_Special Projects: Humanities Programs for Youth/Younger Scholars (1984B)

Promotion of the Humanities\_Humanities Projects for Youth/Younger Scholars (1985B)

Promotion of the Humanities\_Younger Scholars (1985U)

Archived (1995B)

## 45.116

Promotion of the Humanities\_Summer Seminars for College Teachers (1973U)

Consolidated into 45.163 (1996B)

## 45.117

Promotion of the Humanities\_Cultural Institutions (1974U)

Incorporated/Split into 45.125, 45.137 (1979B)

Reinstated/Split from 45.125, 45.137 (1979U1)

Incorporated/Split into 45.125, 45.137 (1980B)

## 45.118

Promotion of the Humanities\_Fellowships for Independent Study and Research (1974U)

Consolidated from 45.102, 45.106, 45.107, 45.108 (1974U)

Consolidated into 45.136 (1978U)

## 45.119

Promotion of the Humanities\_Fellowships in Residence for College Teachers (1974U)

Consolidated from 45.107, 45.108 (1974U)

Consolidated into 45.136 (1978U)

## 45.120

Promotion of the Humanities\_National Humanities Institutes (1974U)

Promotion of the Humanities\_Humanities Institutes (1976U)

Incorporated into 45.111 (1979B)

## 45.121

Promotion of the Humanities\_Summer Stipends (1974U)

Consolidated from 45.102, 45.108 (1974U)

Consolidated from 45.152 (1992U)

Consolidated into 45.160 (1996B)

## 45.122

Promotion of the Humanities\_Fellowships at Centers for Advanced Study (1975B)

Promotion of the Humanities\_Regrants/Centers for Advanced Study (1985U)

Promotion of the Humanities\_Centers for Advanced Study (1990B)

Promotion of the Humanities\_Institutional

Programs and Resources (1994U)

Promotion of the Humanities\_Institutional Programs (1995U)

Consolidated into 45.161 (1996B)

## 45.123

Promotion of the Humanities\_National Board of Consultants (1975B)

Promotion of the Humanities\_Consultant Grant Program (1978U)

Consolidated into 45.150 (1983B)

## 45.124

Promotion of the Humanities\_Centers of Research (1976B)

Promotion of the Humanities\_Research Collections: Development, Access and Use (1977B)

Promotion of the Humanities\_Research Collections (1978U)

Promotion of the Humanities\_Research Resources (1979U2)

Promotion of the Humanities\_Research Resource, Organization and Improvement Grants (1980U2)

Promotion of the Humanities\_Research Resources (1981B)

Promotion of the Humanities\_Research Resources\_Organization and Improvement Grants (1982B)

Promotion of the Humanities\_Research Resources/Access Grants (1983U)

Promotion of the Humanities\_Reference Works/Access Grants (1985B)

Promotion of the Humanities\_Reference Materials/Access Grants (1985U)

Promotion of the Humanities\_Reference Materials/Guides (1991U)

Consolidated into 45.145 (1992B)

## 45.125

Promotion of the Humanities\_Interpretive Museum Exhibitions and Interpretive Programs (1976B)

Consolidated from 45.112, 45.114 (1976B)

Promotion of the Humanities\_Museums and Historical Organizations Program (1977B)

Promotion of the Humanities\_Museums and Historical Organizations Humanities Projects (1980B)

Promotion of the Humanities\_Humanities Projects in Museums and Historical Organizations (1981B)

Consolidated into 45.164 (1996B)

## 45.126

Promotion of the Humanities\_Research Materials (1976B)

Split into 45.145, 45.146, 45.147 (1980B)

## 45.127

Promotion of the Humanities\_Elementary and Secondary Education Program (1976U)

Split from 45.111 (1976U)

Promotion of the Humanities\_Instruction in Elementary and Secondary Schools (1983B)

Promotion of the Humanities\_Humanities Instruction in Elementary and Secondary Schools (1984B)

Consolidated from 45.155 (1994U)

Consolidated into 45.162, 45.163 (1996B)

## 45.128

Promotion of the Humanities\_Planning and Analysis (1977B)

Promotion of the Humanities\_Planning and Assessment Studies (1977U)

Split into 45.128, 45.131, 45.133 (1977U)

Promotion of the Humanities\_Planning and Assessment Studies Program (1980B)

Promotion of the Humanities\_Humanities Studies Program (1984U)

Archived (1985U)

## 45.129

Promotion of the Humanities\_State-Based Program (1977B)

Promotion of the Humanities\_State Programs (1977U)

Promotion of the Humanities\_Federal-State Partnership (1995B)

Promotion of the Humanities\_Federal/State Partnership (1997B)

## 45.130

Promotion of the Humanities\_Challenge Grant Program (1977U)

Promotion of the Humanities\_Challenge Grants Program (1980U2)

Promotion of the Humanities\_Challenge Grants (1987B)

## 45.131

Promotion of the Humanities\_Special Projects (1977U)

Split from 45.128 (1977U)

Archived (1981U)

## 45.132

Promotion of the Humanities\_Research Publications (1977U)

Promotion of the Humanities\_Research Materials: Publications (1980B)

Promotion of the Humanities\_Research Resources/Publications (1983U)

Promotion of the Humanities\_Basic Research/Publications (1985B)

Promotion of the Humanities\_Texts/Publication Subvention (1985U)

Promotion of the Humanities\_Publication Subvention (1992B)

Promotion of the Humanities\_Subventions (1992U)

Promotion of the Humanities\_Scholarly Publications (1993U)

Consolidated from 45.146, 45.147 (1993U)

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Consolidated into 45.161 (1996B)

## 45.133

Promotion of the Humanities\_Science, Technology and Human Values (1977U)

Split from 45.128 (1977U)

Promotion of the Humanities\_Humanities, Science, and Technology (1983B)

Promotion of the Humanities\_Basic Research/Humanities, Science and Technology (1984B)

Promotion of the Humanities\_Interpretive Research/Humanities, Science and Technology (1985U)

Promotion of the Humanities\_Interpretive Research/Humanities, Science, and Technology (1992B)

Consolidated into 45.140 (1993U)

## 45.134

Promotion of the Humanities\_Research Development (1978B)

Split from 45.109 (1978B)

Promotion of the Humanities\_Research Conferences (1979B)

Promotion of the Humanities\_Basic Research/Research Conferences (1984B)

Promotion of the Humanities\_Regrants/Research Conferences (1985U)

Promotion of the Humanities\_Regrants Conferences (1986U)

Promotion of the Humanities\_Regrants/Conferences (1987B)

Promotion of the Humanities\_Conferences (1990B)

Consolidated into 45.140 (1993U)

## 45.135

Promotion of the Humanities\_NEH Youth Projects (1978B)

Split from 45.115 (1978B)

Promotion of the Humanities\_Youth Projects (1979U1)

Promotion of the Humanities\_Special Projects: Humanities Programs for Youth/Youth Projects (1984B)

Promotion of the Humanities\_Humanities Projects for Youth/Youth Projects (1985B)

Promotion of the Humanities\_Humanities Projects for Youth (1985U)

Promotion of the Humanities\_Projects for Youth, Incorporated into 45.104, 45.125, 45.133, 45.137 (1986B)

## 45.136

Promotion of the Humanities\_NEH Fellowships, Categories A, B, and C (1978U)

Consolidated from 45.118, 45.119 (1978U)

Promotion of the Humanities\_Category A, B, and C (1979U1)

Split into 45.142, 45.143, 45.144 (1980B)

## 45.137

Promotion of the Humanities\_Public Library Program (1979B)

Split from 45.117 (1979B)

Promotion of the Humanities\_Division of Public Programs, Libraries Humanities Projects (1979U2)

Promotion of the Humanities\_Division of Public Programs, Humanities Projects in Libraries (1982B)

Promotion of the Humanities\_Humanities Projects in Libraries (1983B)

Promotion of the Humanities\_Special Projects: Humanities Projects in Libraries (1984B)

Promotion of the Humanities\_Humanities Projects in Libraries (1985B)

Promotion of the Humanities\_Humanities Projects in Libraries and Archives (1988B)

Consolidated into 45.164 (1996B)

## 45.138

Promotion of the Humanities\_Higher Education Pilot Grants (1979B)

Split from 45.110 (1979B)

Promotion of the Humanities\_Education Pilot Grants (1979U1)

Consolidated into 45.150 (1983B)

## 45.139

Promotion of the Humanities\_Higher Education Development Grants (1979B)

Split from 45.110 (1979B)

Promotion of the Humanities\_Education Development Grants (1979U1)

Promotion of the Humanities\_Education Implementation Grants (1979U2)

Consolidated into 45.150 (1983B)

## 45.140

Promotion of the Humanities\_Basic Research (1979U1)

Split from 45.105 (1979U1)

Split into 45.140, 45.148 (1980U2)

Promotion of the Humanities\_Project Research (1983U)

Promotion of the Humanities\_Basic Research/Project Research (1984B)

Promotion of the Humanities\_Interpretive Research/Projects (1985U)

Promotion of the Humanities\_Interpretive Research/Collaborative Projects (1990U)

Promotion of the Humanities\_Interpretive Research Program (1993B)

Consolidated from 45.133, 45.134 (1993U)

Consolidated into 45.161 (1996B)

## 45.141

Promotion of the Humanities\_Regional and Local History (1979U1)

Split from 45.105 (1979U1)

Promotion of the Humanities\_State, Local, and Regional Studies (1979U2)

Promotion of the Humanities\_Regional Studies (1983B)

Incorporated into 45.140 (1983U)

## 45.142

Promotion of the Humanities\_Fellowships for Independent Study and Research (1980B)

Split from 45.136 (1980B)

Promotion of the Humanities\_Fellowships for University Teachers (1986B)

Consolidated into 45.160 (1996B)

## 45.143

Promotion of the Humanities\_Fellowships for College Teachers (1980B)

Split from 45.136 (1980B)

Promotion of the Humanities\_Fellowships for College Teachers (1985U)

Promotion of the Humanities\_Fellowships for College Teachers and Independent Scholars (1986B)

Consolidated into 45.160 (1996B)

## 45.144

Promotion of the Humanities\_Residential Fellowships for College Teachers (1980B)

Split from 45.136 (1980B)

Archived (1982B)

## 45.145

Promotion of the Humanities\_Research Materials: Tools and Reference Works (1980B)

Split from 45.126 (1980B)

Promotion of the Humanities\_Research Materials/Tools and Reference Works (1980U2)

Promotion of the Humanities\_Reference Works/Tools (1983U)

Promotion of the Humanities\_Reference Materials/Tools (1985U)

Promotion of the Humanities\_Reference Materials (1992B)

Consolidated from 45.124 (1992B)

Consolidated into 45.149 (1996B)

## 45.146

Promotion of the Humanities\_Research Materials: Editions (1980B)

Split from 45.126 (1980B)

Promotion of the Humanities\_Research Materials/Editions (1980U1)

Promotion of the Humanities\_Reference Works/Editions (1983U)

Promotion of the Humanities\_Texts/Editions (1985U)

Promotion of the Humanities\_Editions (1992B)

Consolidated into 45.132 (1993U)

## 45.147

Promotion of the Humanities\_Research Materials: Translations (1980B)

Split from 45.126 (1980B)



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Promotion of the Humanities_Research Materials/Translations (1980U2)	(1990B) Archived (1992B)	Promotion of the Humanities_Teaching and Learning Resources and Curriculum Development (2004)
Promotion of the Humanities_Reference Works/Translations (1983U)	<b>45.154</b>	<b>45.163</b>
Promotion of the Humanities_Texts/Translations (1985U)	NEH/Reader's Digest Teacher-Scholar Program (1988B)	Promotion of the Humanities_Seminars and Institutes
Promotion of the Humanities_Translations (1992B)	NEH Teacher-Scholar Program (1991B)	Consolidated from 45.116, 45.127, 45.150, 45.151 (1996B)
Consolidated into 45.132 (1993U)	Promotion of the Humanities_NEH Teacher-Scholar Program (1991U)	Promotion of the Humanities_Professional Development (2004)
<b>45.148</b>	Promotion of the Humanities_NEH/Reader's Digest Teacher-Scholar Program (1992B)	<b>45.164</b>
Promotion of the Humanities_Intercultural Research (1980U2)	Promotion of the Humanities_NEH/Teacher-Scholar Program (1993U)	Promotion of the Humanities_Public Programs
Split from 45.140 (1980U2)	Archived (1994U)	Consolidated from 45.104, 45.113, 45.125, 45.137 (1996B)
Promotion of the Humanities_Intercultural Research Program (1981U)	<b>45.155</b>	<b>45.166</b>
Promotion of the Humanities_Basic Research/Intercultural Research Program (1984B)	Foreign Language Education (1991B)	Promotion of the Humanities_Extending the Reach Grants to Underserved Areas (2000B)
Promotion of the Humanities_Research in Selected Areas/ Intercultural Research Program (1985B)	Promotion of the Humanities_Foreign Language Education (1991U)	Consolidated into programs 45.164 and 45.149 (2003B)
Promotion of the Humanities_Regrants Program/International Research (1985U)	Consolidated into 45.127, 45.150 (1994U)	Deleted (2003)
Promotion of the Humanities_International Research (1990B)	<b>45.156</b>	<b>45.167</b>
Archived (1994B)	Promotion of the Humanities_Study Grants for College and University Teachers (1992B)	Promotion of the Humanities_Extending the Reach Grants to Presidentially-Designated Minority Institutions (2000B)
<b>45.149</b>	Promotion of the Humanities_Study Grants for College Teachers (1993U)	Deleted (2004)
Promotion of the Humanities_Research Resources Conservation and Preservation Grants (1980U2)	Archived (1995B)	<b>45.168</b>
Promotion of the Humanities_Research Resources/Preservation Grants (1983U)	<b>45.157</b>	Promotion of the Humanities_We the People (2004)
Promotion of the Humanities_Office of Preservation (1985B)	Promotion of the Humanities_Dissertation Grants (1992U)	<b>45.158</b>
Promotion of the Humanities_Division of Preservation and Access (1992B)	Archived (1996B)	Leadership Opportunity in Science and Humanities Education (1993B)
<b>45.150</b>	<b>45.158</b>	Promotion of the Humanities_Leadership Opportunity in Science and Humanities Education (1994U)
Promotion of the Humanities_Central Disciplines in Undergraduate Education (1983B)	Leadership Opportunity in Science and Humanities Education (1993B)	Promotion of the Humanities_Integrating Undergraduate Education (1995B)
Promotion of the Humanities_Higher Education in the Humanities (1987U)	Promotion of the Humanities_Integrating Undergraduate Education (1995U)	Promotion of the Humanities_Integrating Undergraduate Education (1995U)
Consolidated from 45.155 (1994U)	Consolidated into 45.162 (1996B)	Consolidated into 45.162 (1996B)
Consolidated into 45.162, 45.163 (1996B)	<b>45.160</b>	<b>45.160</b>
<b>45.151</b>	Promotion of the Humanities_Fellowships and Stipends	Consolidated from 45.121, 45.142, 45.143 (1996B)
Promotion of the Humanities_Summer Seminars for Secondary School Teachers (1983B)	<b>45.161</b>	<b>45.161</b>
Consolidated into 45.163 (1996B)	Promotion of the Humanities_Collaborative Research	Consolidated from 45.122, 45.132, 45.140 (1996B)
<b>45.152</b>	Consolidated into 45.121 (1992U)	Promotion of the Humanities_Research (1997B)
Promotion of the Humanities_Travel to Collections (1983U)	<b>45.162</b>	<b>45.162</b>
Promotion of the Humanities_Basic Research/Travel to Collections (1984B)	Promotion of the Humanities_Education Development and Demonstration	Consolidated from 45.127, 45.150, 45.158 (1996B)
Promotion of the Humanities_Travel to Collections (1985U)	<b>45.163</b>	<b>45.163</b>
Consolidated into 45.121 (1992U)	Promotion of the Humanities_Public Programs	Consolidated from 45.104, 45.113, 45.125, 45.137 (1996B)
<b>45.153</b>	Consolidated into 45.121 (1992U)	Deleted (2003)
Promotion of the Humanities_Regrants Program/Selected Areas (1986B)	<b>45.164</b>	<b>45.167</b>
Promotion of the Humanities_Selected Areas	Promotion of the Humanities_Extending the Reach Grants to Presidentially-Designated Minority Institutions (2000B)	Deleted (2004)
	Consolidated from 45.104, 45.113, 45.125, 45.137 (1996B)	<b>45.168</b>
	<b>45.165</b>	Promotion of the Humanities_We the People (2004)
	Promotion of the Humanities_Public Programs	<b>45.169</b>
	Consolidated from 45.104, 45.113, 45.125, 45.137 (1996B)	Promotion of the Humanities_Digital Humanities Initiative (2006)
	Deleted (2003)	Promotion of the Humanities_Office of Digital Humanities (2008)
	<b>45.166</b>	<b>NATIONAL LABOR RELATIONS BOARD</b>
	Promotion of the Humanities_Extending the Reach Grants to Underserved Areas (2000B)	<b>46.001</b>
	Consolidated into programs 45.164 and 45.149 (2003B)	Labor-Management Relations (1969B)
	Deleted (2003)	<b>NATIONAL SCIENCE FOUNDATION</b>
	<b>45.167</b>	Science Research Support Activities (1969B)
	Promotion of the Humanities_Extending the Reach Grants to Presidentially-Designated Minority Institutions (2000B)	Archived (1970B)
	Deleted (2004)	<b>47.001</b>
	<b>45.168</b>	Antarctic Research (1970B)
	Promotion of the Humanities_We the People (2004)	Polar Research (1970U)
	<b>45.169</b>	Polar Research Programs (1971B)
	Promotion of the Humanities_Digital Humanities Initiative (2006)	Consolidated into 47.050 (1976B)
	Promotion of the Humanities_Office of Digital Humanities (2008)	<b>47.002</b>
	<b>NATIONAL LABOR RELATIONS BOARD</b>	Biological Sciences Research Project Support (1970B)
	<b>46.001</b>	Consolidated into 47.047 (1975B)
	Labor-Management Relations (1969B)	
	<b>NATIONAL SCIENCE FOUNDATION</b>	
	Science Research Support Activities (1969B)	
	Archived (1970B)	
	<b>47.001</b>	
	Antarctic Research (1970B)	
	Polar Research (1970U)	
	Polar Research Programs (1971B)	
	Consolidated into 47.050 (1976B)	
	<b>47.002</b>	
	Biological Sciences Research Project Support (1970B)	
	Consolidated into 47.047 (1975B)	

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<b>47.003</b> Computers Activities in Education and Research (1969B) Computers_Research and Educational Activities (1970B) Computing Activities in Education and Research (1971B) Computing Activities (1973B) Computer Research (1974B) Consolidated into 47.047 (1975B)	Archived (1975U)	Sea Grant Program (1969B) Sea Grant Institutional Support (1970B) Split into 47.022, 47.023 (1970B) Transferred to 11.417 (1971B)
<b>47.004</b> Departmental Science Development (1970B) Archived (1971B)	<b>47.013</b> Interdisciplinary Research Relevant to Problems of Our Society (1970B) Archived (1972B)	<b>47.023</b> Sea Grant Project Support (1970B) Split from 47.022 (1970B) Transferred to 11.418 (1971B)
<b>47.005</b> Graduate Education in Science (1967B) Doctoral Dissertation Research in the Social Sciences (1970B) Doctoral Dissertation Research (1971B) Consolidated into 47.047 (1975B)	<b>47.014</b> International Cooperative Science Activities (1969B) Consolidated into 47.053 (1977B)	<b>47.024</b> Science Information Activities_System Development and Improvement (1970B) Science Information Activities_Information Systems; Data Systems (1973B) Science Information Activities_National Information Systems; User Support (1974B) Science Information Activities (1975B) Consolidated into 47.053 (1977B)
<b>47.006</b> Engineering Sciences Research Initiation Grants (1970B) Engineering Research Initiation Grants (1973B) Consolidated into 47.047 (1975B)	<b>47.015</b> International Travel (1970B) Incorporated into 47.014 (1975B)	<b>47.025</b> Science Information Research (1970B) Incorporated into 47.024 (1975B)
<b>47.007</b> Engineering Sciences Research Project Support (1970B) Engineering Research Project Support (1973B) Consolidated into 47.047 (1975B)	<b>47.016</b> Scientific Research Grants (1967B) Science Research Support Activities (1969B) Mathematical and Physical Sciences Research Project Support (1970B) Split into 47.016, 47.017 (1970B) Consolidated into 47.047 (1975B)	<b>47.026</b> Science Information Activities (1969B) Science Information Services and Publications (1970B) Science Information Activities_Publications (1973B) Incorporated into 47.024 (1974B)
<b>47.008</b> Environmental Sciences Research Project Support (1970B) Consolidated into 47.047 (1975B)	<b>47.017</b> National and Special Research Programs (1970B) Split from 47.016 (1970B) Global Atmospheric Research Program (1974B) Consolidated into 47.050 (1976B)	<b>47.027</b> Science Planning and Policy Studies (1969B) University Science Planning and Policy Program (1971B) Science Policy Research (1972B) Incorporated into 47.029 (1973B)
<b>47.009</b> Fellowships and Traineeship Program (1970B) Graduate Fellowship Programs (1973B) Graduate Student Support (1974B) Science Manpower Improvement (1976B) Scientific Personnel Improvement (1978B) Graduate Research Fellowships (1983B) Consolidated into 47.076 (1992B)	<b>47.018</b> Oceanography_Basic Research Grants (1970B) Oceanography_Scientific Research Project Support (1971B) Incorporated into 47.008 (1972B)	<b>47.028</b> Scientific Conference Grants (1970B) Consolidated into 47.047 (1975B)
<b>47.010</b> Graduate Instructional Program Development (1970B) Incorporated into 47.032, 47.033 (1973B)	<b>47.019</b> Pre-College Education in Science (1967B) Pre-College Instructional Personnel Development (1970B) Instructional Improvement Implementation_Pre-College (1973B) Consolidated into 47.048 (1975B)	<b>47.029</b> Social Sciences Research Project Support (1970B) Consolidated into 47.047 (1975B)
<b>47.011</b> Graduate Science Facilities (1970B) Archived (1971B)	<b>47.020</b> Pre-College Instructional Program Development (1970B) Science Education Materials and Methods Development Pre-College (1973B) Science Education Materials and Instruction Development (Pre-College) (1973U) Science Education Materials and Instruction Development_Pre-College (1974B) Consolidated into 47.048 (1975B)	<b>47.030</b> Special Computer Services for Research and Science Education (1970B) Archived (1971B)
<b>47.012</b> Institutional Support in Science (1967B) Institutional Grants for Science (1970B)	<b>47.021</b> Pre-College Student Development (1970B) Archived (1971B)	<b>47.031</b> Specialized Research Facilities and Equipment (1970B) Archived (1972B)
	<b>47.022</b>	<b>47.032</b> Undergraduate Education in Science (1967B) Undergraduate Instructional Personnel

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Development (1970B)

Split into 47.032, 47.033, 47.034 (1970B)

Instructional Improvement Implementation\_Higher Education (1973B)

Consolidated into 47.048 (1975B)

## 47.033

Undergraduate Instructional Program Development (1970B)

Split from 47.032 (1970B)

Science Education Materials and Methods Development\_Higher Education (1973B)

Science Education Materials and Instruction Development (Higher Education) (1973U)

Science Education Materials and Instruction Development\_Higher Education (1974B)

Consolidated into 47.048 (1975B)

## 47.034

Undergraduate Student Development (1970B)

Split from 47.032 (1970B)

Student Oriented Programs (1973B)

Consolidated into 47.048 (1975B)

## 47.035

University Science Development (1970B)

Archived (1971B)

## 47.036

Intergovernmental Science Programs (1970U)

Intergovernmental Science and Research Utilization (1973B)

Intergovernmental Science (1975B)

Intergovernmental Program (1976B)

Intergovernmental Programs (1978B)

Intergovernmental Program (1979B)

Intergovernmental Science and Technology Grants (1981B)

Intergovernmental Science and Technology Program (1981U)

Intergovernmental and Public Service Science and Technology Program (1982B)

Intergovernmental Science and Technology Programs (1983B)

Archived (1985U)

## 47.037

International Decade of Ocean Exploration (1970U)

Consolidated into 47.050 (1976B)

## 47.038

Public Understanding of Science Program (1971B)

Science and Society Program (1976B)

Science Education Communication Grants (1981B)

Consolidated/Split into 47.038, 47.058 (1981B)

Archived (1982B)

## 47.039

Scientific Activities (Special Foreign Currency Program) (1971B)

Archived (1975B)

## 47.040

Materials Research Project Support (1972B)

Consolidated into 47.047 (1975B)

## 47.041

Research Applied to National Needs (1973U)

Applied Science and Research Applications (1978B)

Engineering and Applied Science (1979U2)

Engineering Grants (1981B)

Consolidated/Split into 47.041, 47.058 (1981B)

## 47.042

Experimental Research and Development

Incentives Program (1973U)

Incorporated into 47.041 (1976B)

## 47.043

National Research and Development Assessment Program (1973U)

Number changed to 47.052 (1976B)

## 47.044

Institutional Grants for Research Management Improvement (1973U)

Archived (1975B)

## 47.045

Technological Innovation in Education (1973U)

Consolidated into 47.048 (1975B)

## 47.046

Science Education\_Problem Assessment and Experimental Projects (1974B)

Consolidated into 47.048 (1975B)

## 47.047

Scientific Research Project Support (1975B)

Consolidated from 47.002, 47.003, 47.005, 47.006, 47.007, 47.008, 47.016, 47.028, 47.029, 47.040 (1975B)

Split into 47.049, 47.050, 47.051 (1976B)

## 47.048

Science Education Improvement (1975B)

Consolidated from 47.019, 47.020, 47.032, 47.033, 47.034, 47.045, 47.046 (1975B)

Science Education Research and Development and Resources Improvement (1977B)

Science Education Development and Research and Resources Improvement (1980B)

Archived (1982B)

## 47.049

Mathematical and Physical Sciences and Engineering (1976B)

Split from 47.047 (1976B)

Mathematical and Physical Sciences (1979U2)

## 47.050

Astronomical, Atmospheric, Earth and Ocean Sciences (1976B)

Consolidated/Split from 47.001, 47.017, 47.037, 47.047 (1976B)

## 47.051

Biological, Behavioral, and Social Sciences (1976B)

Split from 47.047 (1976B)

Split into 47.074, 47.075 (1992B)

## 47.052

Science and Technology Policy Research and Analysis (1976B)

Number changed from 47.043 (1976B)

Consolidated into 47.053 (1977B)

## 47.053

Scientific, Technological, and International Affairs (1977B)

Consolidated from 47.014, 47.024, 47.052 (1977B)

Consolidated into 47.075 (1992B)

## 47.054

Industry/University Cooperative Research (1980B)

Incorporated into 47.053 (1981B)

## 47.055

Two-Year and Four-Year College Research Instrumentation (1980B)

Archived (1984B)

## 47.056

Research Initiation in Minority Institutions (1980B)

Research Improvement in Minority Institutions (1981B)

Number changed to 47.060 (1982B)

## 47.057

Minority Research Initiation (1981B)

Archived (1985B)

## 47.058

Public Service Science and Technology (1981B)

Consolidated from 47.038, 47.041 (1981B)

Archived (1982B)

## 47.059

Visiting Professorships for Women in Science and Engineering (1982B)

Visiting Professorships for Women (1983B)

Archived (1985B)

## 47.060

Research Improvement in Minority Institutions (1982B)

Number changed from 47.056 (1982B)

Archived (1985B)

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<b>47.061</b> Precollege Science and Mathematics Teacher Development and Incentives (1983U) Consolidated into 47.063 (1984B)	Engineering Education (1987U) Undergraduate Science, Engineering, and Mathematics Education (1988B) Consolidated into 47.076 (1992B)	<b>48.002</b> New England Technical and Planning Assistance (1975B) Archived (1981U)
<b>47.062</b> Precollege Science and Mathematics Materials Development (1983U) Consolidated into 47.063 (1984B)	<b>47.072</b> Young Scholars (1987U) Consolidated into 47.076 (1992B)	<b>48.003</b> New England Supplements to Federal Grant-in-Aid (1975B) Archived (1981U)
<b>47.063</b> Precollege Science and Mathematics Education (1984B) Consolidated from 47.061, 47.062 (1984B) Archived (1985B)	<b>47.073</b> Science and Technology Centers (1989B) Archived (1996B)	<b>48.004</b> New England Regional Transportation (1977U) Archived (1981U)
<b>47.064</b> College Science Instrumentation Program (1984U) Incorporated into 47.071 (1987U)	<b>47.074</b> Biological Sciences (1992B) Split from 47.051 (1992B)	<b>48.005</b> New England Energy Demonstration Projects and Programs (1977U) Archived (1981U)
<b>47.065</b> Advanced Scientific Computing Resources (1984U) Archived (1986U)	<b>47.075</b> Social, Behavioral, and Economic Sciences (1992B) Consolidated from 47.051, 47.053 (1992B)	<b>COMMUNITY SERVICES ADMINISTRATION</b> <hr/>
<b>47.066</b> Teacher Enhancement and Informal Science Education (1985B) Teacher Preparation and Enhancement (1986B) Consolidated into 47.076 (1992B)	<b>47.076</b> Education and Human Resources (1992B) Consolidated from 47.009, 47.066, 47.067, 47.068, 47.069, 47.071, 47.072 (1992B)	Head Start (1967B) Child Development_Head Start (1970B) Transferred to the Department of Health Education, Welfare (1970B)
<b>47.067</b> Materials Development and Research (1985B) Materials Development, Research, and Informal Science Education (1986B) Materials Development and Informal Science Education (1987B) Materials Development, Research, and Informal Science Education (1988B) Consolidated into 47.076 (1992B)	<b>47.077</b> Academic Research Facilities and Instrumentation (1993B) Academic Research Infrastructure (1997B) Archived (1999B)	Establishment of Job Corps Centers (1965B) Job Corps (1967B) Transferred to the Department of Labor (1970B)
<b>47.068</b> Studies and Program Assessment (1985B) Research, Studies, and Program Assessment (1987B) Studies and Program Assessment (1988B) Studies, Evaluation and Dissemination (1991B) Consolidated into 47.076 (1992B)	<b>47.078</b> Polar Programs (1997B)	Upward Bound (1967B) Transferred to the Department of Health Education, Welfare (1970B)
<b>47.069</b> Research Initiation and Improvement (1985B) Human Resource Development (1991B) Consolidated into 47.076 (1992B)	<b>47.079</b> International Science and Engineering (OISE) (2005)	<b>49.001</b> Alcoholic Counseling and Recovery (1970B) Archived (1971U)
<b>47.070</b> Computer and Information Science and Engineering (2004)	<b>47.080</b> Office of Cyberinfrastructure (2008)	<b>49.002</b> Community Action Program (1965B) Community Action Operations (1970B) Community Action (1971B) Archived (1973B) Reinstated (1975B) Split into 49.002, 49.016, 49.018 (1980U1) Archived (1981U)
<b>47.071</b> Undergraduate Science, Mathematics, and	<b>47.081</b> Office of Experimental Program to Stimulate Competitive Research (2008)	<b>49.003</b> Neighborhood Health Centers (1967B) Comprehensive Health Centers (1969B) Comprehensive Health Services (1970B) Archived (1973B)
	<b>47.082</b> Trans-NSF Recovery Act Research Support (2009)	<b>49.004</b> Drug Rehabilitation (1970B) Archived (1973B)
	<b>NEW ENGLAND REGIONAL COMMISSION</b> <hr/>	<b>49.005</b> Emergency Food and Medical Services (1969B) Archived (1971U)
	<b>48.001</b> New England Regional Economic Development (1970B) Archived (1973B) Reinstated (1973U) Archived (1981U)	

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Reinstated (1972B)

Archived (1973B)

Reinstated (1975U)

Community Food and Nutrition (1975U)

Archived (1981U)

## **49.006**

Family Planning (1969B)

Archived (1973B)

## **49.007**

Federal Information Exchange System (1969B)

Archived (1972B)

## **49.008**

Legal Services (1967B)

Archived (1973B)

Reinstated (1975B)

Archived (1976B)

## **49.009**

Community Action Program\_Assistance for Migrant and Seasonal Farm Workers (1965B)

Migrant and Seasonal Farmworkers Assistance (1969B)

Transferred to (1972B)

## **49.010**

Senior Opportunities and Services (1969B)

Older Persons Opportunities and Services (1970B)

Archived (1973B)

Reinstated (1975B)

Archived (1981U)

## **49.011**

Special Impact (1970B)

Community Economic Development (1972U)

Archived (1973B)

Reinstated (1975B)

Archived (1981U)

## **49.012**

Vista\_Volunteers in Service to

America\_Opportunities for Individuals to Assist in the War on Poverty (1965B)

Volunteers in Service to America (1970B)

Archived (1971U)

## **49.013**

Economic Opportunity\_Technical Assistance and Demonstrations (1972U)

Archived (1973B)

Reinstated (1975B)

State Economic Opportunity Offices (1975B)

Archived (1981U)

## **49.014**

Emergency Energy Conservation Services (1975U)

Archived (1981B)

## **49.015**

Summer Youth Recreation Program (1976U)

Summer Youth Recreation (1977B)

Archived (1981B)

## **49.016**

National Youth Sports Program (1980U1)

Split from 49.002 (1980U1)

Archived (1981U)

## **49.017**

Rural Development Loan Fund (1980U1)

Reinstated , previously under the Department of Agriculture (1980U1)

Archived (1981U)

## **49.018**

Housing and Community Development (1980U1)

Split from 49.002 (1980U1)

Archived (1981U)

## **OFFICE OF EMERGENCY PREPAREDNESS**

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Emergency Management of Resources (1967B)

Incorporated into 50.001 (1970B)

## **50.001**

Continuity of Government (1969B)

Continuity of Government and Management of Resources in Emergencies (1970B)

Continuity of Government in Emergencies (1970U)

Continuity of Government and Management of Resources in Emergencies (1971B)

Transferred to 39.010 (1973U)

## **50.002**

Federal Disaster Relief (1967B)

Disaster Relief to States (1970B)

Disaster Assistance (1971B)

Transferred to 14.701 (1973U)

## **50.003**

State Plans for Disaster Assistance to Individuals (1970B)

State Disaster Plans and Programs (1971B)

Transferred to 14.702 (1973U)

## **50.004**

Federal-State Relations (1969B)

Telecommunications Management (1970B)

Archived (1970U)

## **OFFICE OF INTERGOVERNMENTAL RELATIONS**

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### **51.001**

Intergovernmental Relations and Liaison (1970B)

Archived (1973B)

## **OZARKS REGIONAL ACTION**

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## **PLANNING COMMISSION**

### **52.001**

Ozarks Regional Economic Development (1970B)

Archived (1973B)

Reinstated (1973U)

Archived (1981U)

### **52.002**

Ozarks Technical and Planning Assistance (1975B)

Archived (1981U)

### **52.003**

Ozarks Supplements to Federal Grant-in-Aid (1975B)

Archived (1981U)

### **52.004**

Ozarks Regional Transportation (1977U)

Archived (1981U)

### **52.005**

Ozarks Energy Demonstration Projects and Programs (1977U)

Archived (1981U)

### **52.007**

Ozarks Health and Nutrition Demonstration Projects (1977U)

Archived (1981U)

## **PRESIDENT'S COMMITTEE ON CONSUMER INTERESTS**

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### **52.500**

Consumer Affairs (1969B)

Transferred to 69.001 (1971B)

## **PRESIDENT'S COMMITTEE ON EMPLOYMENT OF PEOPLE WITH DISABILITIES**

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### **53.001**

Handicapped Employment Promotion (1969B)

Transferred to 17.72 (2002B)

## **PRESIDENT'S COMMITTEE ON MENTAL RETARDATION**

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### **54.001**

Mental Retardation Evaluation (1970B)

Transferred to 13.613 (1974B)

## **PRESIDENT'S COUNCIL ON PHYSICAL FITNESS AND SPORTS**

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### **55.001**

Governors' Councils on Physical Fitness (1970B)

Transferred to 13.615 (1974B)

### **55.002**

National Summer Youth Sports Program (1970B)

Archived (1972B)

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## 55.003

Physical Fitness Programs (1967B)  
Physical Fitness and Sports (1969B)  
Physical Fitness and Sports Information (1970B)  
Transferred to 13.616 (1974B)

## 55.004

Physical Fitness Clinics (1970B)  
Transferred to 13.617 (1974B)

## 55.005

Physical Fitness Demonstration Center Schools (1970B)  
Transferred to 13.618 (1974B)

## 55.006

Physical Fitness Program Development (1970B)  
Transferred to 13.619 (1974B)

## 55.007

Presidential Physical Fitness Award (1970B)  
Transferred to 13.620 (1974B)

## 55.008

Health-Exercise Symposia (1971B)  
Transferred to 13.621 (1974B)

## 55.009

Presidential Sports Award (1973U)  
Transferred to 13.622 (1974B)

## PRESIDENT'S COUNCIL ON YOUTH OPPORTUNITY

### 56.001

Youth Opportunity (1969B)  
Transferred/Split into HHS, Labor programs (1971B)

## RAILROAD RETIREMENT BOARD

### 57.001

Social Insurance Program for Railroad Workers (1965B)  
Social Insurance for Railroad Workers (1970B)

### 57.002

Benefits for Milwaukee Railroad Workers (1980U2)  
Archived (1985U)

### 57.003

Benefits for Conrail Employees (1983B)  
Archived (1988B)

### 57.004

Benefits for Rock Island Railroad Employees (1983U)  
Archived (1984U)

### 57.005

Economic Recovery Payments (2009)

## SECURITIES AND EXCHANGE COMMISSION

### 58.001

Investor Protection (1969B)  
Securities\_Investigation of Complaints and SEC Information (1972B)

## SMALL BUSINESS ADMINISTRATION

### 59.001

Displaced Small Business Loans (1969B)  
Displaced Business Loans (1970B)  
Archived (1981U)

### 59.002

Economic Injury Disaster Loans (1970B)  
Reinstated (1984B)  
Consolidated into 59.008 (1989B)  
Reinstated (1989U)  
Deleted (2008)

### 59.003

Economic Opportunity Loans for Small Businesses (1965B)  
Loans for Small Businesses (1983B)  
Archived (1997U)

### 59.004

Lease Guarantees for Small Businesses (1969B)  
Archived (1977B)

### 59.005

Management Assistance to Small Businesses (1970B)  
Business Development Assistance to Small Business (1970B)  
Internet-Based Technical Assistance (2005)  
Internet-Based Technical Assistance (2005)  
Deleted (2008)

### 59.006

Minority Business Development (1970B)  
Minority Business Development\_Procurement Assistance (1971B)  
Minority Business Development (1991B)  
8(a) Business Development (1999B)  
8(a) Business Development Program (2006)

### 59.007

Minority Enterprise\_Technical Assistance (1970B)  
Management and Technical Assistance for Disadvantaged Businessmen\_Research and Demonstration Grants (1971B)  
Management and Technical Assistance for Disadvantaged Businessmen (1973B)  
Management and Technical Assistance for Disadvantaged Businesses (1983B)  
Management and Technical Assistance for Socially and Economically Disadvantaged Businesses (1988B)  
Management and Technical Assistance (2001B)

7(i) Technical Assistance (2004)

7(j) Technical Assistance (2005)

7(j) Technical Assistance (2005)

7(j) Technical Assistance (2005)

### 59.008

Disaster Loans (1967B)  
Physical Disaster Loans (1970B)  
Consolidated from 59.002 (1989B)  
Disaster Assistance Loans (2007)

### 59.009

Management and Technical Assistance (1965B)  
Procurement and Management Assistance to Small Businesses (1967B)  
Procurement Assistance to Small Businesses (1970B)  
Procurement and Technical Assistance to Small Businesses (1976U)  
Procurement Assistance to Small Businesses (1985B)

### 59.010

Product Disaster Loans (1970B)  
Archived (1982B)

### 59.011

Small Business Investment Company Program (1965B)  
Small Business Investment Companies (1970B)

### 59.012

Small Business Financial Assistance Program (1965B)  
Small Business Loans (1970B)  
7(a) Loan Guarantee (2007)  
7(a) Loan Guarantees (2008)

### 59.013

Loans to State and Local Development Companies (1965B)  
State and Local Development Company Loans (1969B)  
Local Development Company Loans (1991B)  
Archived (1998U)

### 59.014

Coal Mine Health and Safety Loans (1971B)  
Mine Safety and Health Loans (1978B)  
Archived (1981U)

### 59.015

Trade Adjustment Loans (1971B)  
Archived (1971U)

### 59.016

Bond Guarantees for Surety Companies (1971U)  
Surety Bond Guarantees (2008)

### 59.017

## Appendix VII: Historical Profile of Catalog Programs

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Meat and Poultry Inspection Loans (1972B)  
Consumer Protection Loans (1978B)  
Archived (1981U)

**59.018**  
Occupational Safety and Health Loans (1972B)  
Archived (1981U)

**59.019**  
Minority Vendors Program (1974B)  
Incorporated into 59.035 (1980U1)

**59.020**  
Base Closing Economic Injury Loans (1975B)  
Archived (1981U)

**59.021**  
Handicapped Assistance Loans (1975B)  
Archived (1997U)

**59.022**  
Emergency Energy Shortage Economic Injury  
Loans (1975B)  
Archived (1981U)

**59.023**  
Strategic Arms Economic Injury Loans (1975B)  
Archived (1981U)

**59.024**  
Water Pollution Control Loans (1975B)  
Archived (1981U)

**59.025**  
Air Pollution Control Loans (1975B)  
Archived (1981U)

**59.026**  
Service Corps of Retired Executives and Active  
Corps of Executives (1976B)  
Transferred from 72.006 (1976B)  
Service Corps of Retired Executives Association  
(1988B)  
Service Corps of Retired Executives (2008)

**59.027**  
Economic Dislocation Loans (1978B)  
Archived (1981U)

**59.028**  
Regulatory Loans (1979B)  
Archived (1981U)

**59.029**  
Disaster Assistance to Nonagricultural Businesses  
(Major Source of Employment) (1979U1)  
Incorporated into 59.008 (1982B)

**59.030**  
Small Business Energy Loans (1979B)

Consolidated from 59.031 (1989B)  
Incorporated into 59.012 (1990B)

**59.031**  
Small Business Pollution Control Financing  
Guarantee (1979B)  
Consolidated into 59.030 (1989B)

**59.032**  
Office of Women's Business Enterprise (1980U1)  
Archived (1968B)  
Office of Women's Business Ownership (1983B)

**59.033**  
Small Business and Capital Ownership  
Development (1980U1)  
Minority Small Business and Capital Ownership  
Development (1981B)  
Incorporated into 59.007 (1987B)

**59.034**  
Small Business Economic Research (1980U1)  
Archived (1983B)

**59.035**  
Procurement Automated Source System (1980U1)  
Incorporated from 59.019 (1980U1)  
Archived (1998B)

**59.036**  
Certified Development Company Loans (1981U)  
Certified Development Company Loans (503  
Loans) (1986U)  
Archived (1989B)

**59.037**  
Small Business Development Center (1981U)  
Small Business Development Centers (2008)

**59.038**  
Veterans Loan Program (1984B)  
Archived (1997U)

**59.039**  
Currency Devaluation Disaster Loans (1984U)  
Currency Fluctuation Economic Injury Loans  
(1985B)  
Archived (1986U)

**59.040**  
Federal Action Disaster Loans (1984U)  
Federal Action Economic Injury Loans (1985B)  
Archived (1986U)

**59.041**  
Certified Development Company Loans (504  
Loans) (1986U)  
504 Certified Development Loans (2008)

**59.042**

Business Loans for 8(a) Program Participants  
(1990B)  
Archived (1997U)

**59.043**  
Women's Business Ownership Assistance (1990B)

**59.044**  
Veterans Entrepreneurial Training Assistance  
(1990B)  
Veterans Entrepreneurial Training and Counseling  
(1991U)  
Veterans Business Development (2008)

**59.045**  
Natural Resource Development (1991B)  
Archived (1995U)

**59.046**  
Microloan Demonstration Program (1992U)  
Microloan Program (2004)

**59.047**  
Pre Disaster Mitigation Loan Program (2004)

**59.048**  
Military Reserve Economic Injury Loan (2004)

**59.049**  
Office of Small Disadvantaged Business  
Certification and Eligibility (2000B)  
Small Disadvantaged Businesses (2007)

**59.050**  
Microenterprise Developments Grant (2001U)  
PRIME Technical Assistance (2007)

**59.051**  
New Markets Venture Capital (2001U)  
NEW MARKETS VENTURE CAPITAL  
PROGRAM, OPERATIONAL ASSISTANCE  
(OA) GRANTS (2005)  
New Markets Venture Capital Program,  
Operational Assistance (OA) Grants (2005)  
New Markets Venture Capital Program,  
Operational Assistance (OA) Grants (2005)  
New Markets Venture Capital Program (2007)

**59.052**  
Native American Economic Development  
Assistance (2005)  
Native American Outreach (2008)

**59.053**  
Small Business and Agriculture Regulatory  
Enforcement Ombudsman and Small Business  
Regulatory Fairness Boards (2005)  
Ombudsman and Regulatory Fairness Boards  
(2007)

**59.054**

# Appendix VII: Historical Profile of Catalog Programs

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7(a) Loans (Export Loans) (2005)  
7(a)Export Loan Guarantees (2008)

**59.055**  
HUBZone Program (2008)

**59.056**  
Secondary Market Lending Authority (2009)

**59.057**  
America's Recovery Capital Loans (2009)

**59.058**  
Federal and State Technology Partnership Program (2010)

**59.059**  
Congressional Grants (2011)

**59.060**  
Small Business Teaming Pilot Program (2011)

**59.061**  
State Trade and Export Promotion Pilot Grant Program (2011)

**59.070**  
Drug-Free Workplace Program (2008)

## **SMITHSONIAN INSTITUTION**

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Smithsonian Institution\_Visiting Research Appointments (1969B)  
Archived (1970B)

**60.001**  
Smithsonian Institution Programs in Basic Research and Public Education (1970B)  
Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (1978B)  
Archived (1987B)

**60.002**  
Academic Appointments (1970)  
Incorporated into 60.001 (1978B)

**60.003**  
Authentication and/or Repair of Oriental Objects and Translation of Related Inscriptions (1970B)  
Incorporated into 60.001 (1972B)

**60.004**  
Chesapeake Bay Center for Environmental Studies (1970B)  
Incorporated into 60.001 (1978B)

**60.005**  
Smithsonian Institution\_Elementary and Secondary Educational Services (1969B)  
Educational Services, Elementary and Secondary

Education (1970B)  
Archived (1978B)

**60.006**  
International Exchange of Scientific and Literary Publications and Governmental Documents (1970B)  
Archived (1978B)

**60.007**  
Museum Assistance (1969B)  
Museums\_Assistance and Advice (1970B)  
Archived (1986U)

**60.008**  
Registral Programs (1970B)  
Incorporated into 60.001 (1972B)

**60.009**  
Science Information Exchange (1969B)  
Smithsonian Science Information Exchange, Inc. (1973B)  
Transferred to 11.651 (1980U1)

**60.010**  
Smithsonian Associates (1970B)  
Incorporated into 60.001 (1972B)

**60.011**  
Smithsonian Center for Short-Lived Phenomena (1970B)  
Center for Short-Lived Phenomena (1973B)  
Archived (1976B)

**60.012**  
Smithsonian Institution Libraries (1970B)  
Incorporated into 60.001 (1972B)

**60.013**  
Smithsonian Institution Traveling Exhibition Service (1970B)  
Archived (1987B)

**60.014**  
Smithsonian Oceanographic Sorting Centers (1970B)  
Archived (1978B)

**60.015**  
Smithsonian Publications (1970B)  
Incorporated into 60.001 (1972B)

**60.016**  
Museum and Related Research\_Special Foreign Currency Program (1969B)  
Smithsonian Special Foreign Currency Grants for Museum Programs and Related Research (1970B)  
Smithsonian Special Foreign Currency Grants for Museum Programs, Scientific and Cultural Research and Related Educational Activities

(1976B)  
Archived (1986U)

**60.017**  
Smithsonian Special Public Affairs (1970B)  
Incorporated into 60.001 (1972B)

**60.018**  
Smithsonian Tropical Research Institute (1970B)  
Incorporated into 60.001 (1978B)

**60.019**  
Visiting Research Appointments in Astrophysics, Geodesy, Meteoritics, and Space Sciences (1970B)  
Incorporated into 60.001 (1978B)

**60.020**  
Woodrow Wilson International Center for Scholars Fellowship and Guest Scholar Programs (1970U)  
Woodrow Wilson International Center for Scholars\_Fellowships and Guest Scholar Programs (1971B)  
Archived (1987B)

## **INTERNATIONAL TRADE COMMISSION**

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**61.001**  
Tariff Adjustment (Industry) (1970B)  
Import Relief (Industry) (1979B)  
Archived (2000B)

**61.002**  
Trade Adjustment Assistance\_Firms (1970B)  
Archived (1971U)

**61.003**  
Trade Adjustment Assistance\_Workers (1970B)  
Transferred/Incorporated into 17.400 (1971U)

## **TENNESSEE VALLEY AUTHORITY**

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Adjustment to Local Flood Hazard\_Tennessee River Basin (1967B)  
Archived (1969B)

Electricity Supply and Utilization\_Tennessee Valley Region (1967B)  
Archived (1969B)

Forestry, Fish and Wildlife\_Tennessee Valley Region (1967B)  
Archived (1969B)

Industrial Development\_Tennessee Valley Region (1967B)  
Archived (1969B)

Local Planning Assistance\_Tennessee Valley Region (1967B)  
Archived (1969B)



# Appendix VII: Historical Profile of Catalog Programs

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Mineral Resources Development\_Tennessee Valley Region (1967B)  
Archived (1969B)

Navigation Development and Waterway Transportation\_Tennessee River Basin (1967B)  
Archived (1969B)

Recreation Development\_Tennessee River Basin (1967B)  
Archived (1969B)

Topographic and Navigation Maps\_Tennessee Valley Region (1967B)  
Archived (1969B)

Tributary Area Development\_Tennessee River Basin (1967B)  
Archived (1969B)

Unified Resource Development\_Tennessee Valley Authority (1967B)  
Archived (1969B)

Water Quality Control\_Tennessee River Basin (1967B)  
Archived (1969B)

## 62.001

Agricultural and Chemical Development\_TVA (1967B)  
Fertilizer and Munitions Development (1969B)  
Fertilizer Development (1970B)  
National Fertilizer Development (1977U)  
National Fertilizer and Environmental Research Center (1992B)  
TVA Environmental Research Center (1994B)  
TVA Environmental Research and Services (1998B)  
TVA Energy Research and Technology Applications (1999U)  
Archived (2001B)

## 62.002

Tennessee Valley Region\_General Resources Development (1969B)  
Consolidated into 62.004, 62.005, 62.006 (1980U1)

## 62.003

Multiple-Purpose Water Resource Development\_Tennessee River Basin (1967B)  
Tennessee Valley Region\_Water Resources Development (1969B)  
Consolidated into 62.005 (1980U1)

## 62.004

Tennessee Valley Region\_Community Development (1980U1)  
Consolidated from 62.002 (1980U1)  
Tennessee Valley Region\_Economic and Community Development (1982B)

Tennessee Valley Region Economic Development (1985U)

Tennessee Valley Region\_Rural Development (1992B)

Tennessee Valley Region\_Economic Development (1994U)  
Archived (1998U)

## 62.005

Tennessee Valley Region\_Natural Resources Development (1980U1)  
Consolidated from 62.002, 62.003 (1980U1)  
Tennessee Valley Region\_Water and Land Resources (1992B)  
Archived (1994U)

## 62.006

Tennessee Valley Region\_Valley Agricultural Resources Development (1980U1)  
Consolidated from 62.002 (1980U1)  
Tennessee Valley Region\_Valley Agricultural Institute (1988B)  
Archived (1992B)

## UPPER GREAT LAKES REGIONAL COMMISSION

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### 63.001

Upper Great Lakes Regional Economic Development (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Archived (1981U)

### 63.002

Upper Great Lakes Technical and Planning Assistance (1975B)  
Archived (1981U)

### 63.003

Upper Great Lakes Supplements to Federal Grant-in-Aid (1975B)  
Archived (1981U)

### 63.004

Upper Great Lakes Regional Transportation (1977U)  
Archived (1981U)

### 63.005

Upper Great Lakes Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

### 63.006

Upper Great Lakes Indigenous Arts and Crafts Demonstration Projects (1977U)  
Archived (1981U)

### 63.007

Upper Great Lakes Health and Nutrition

Demonstration Projects (1977U)  
Archived (1981U)

## 63.008

Upper Great Lakes Education Demonstration Projects (1977U)  
Archived (1981U)

## DEPARTMENT OF VETERANS AFFAIRS

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Educational Assistance for Veterans' Children (1967B)  
Archived (1969B)

Guardianship Services for Veterans' Beneficiaries (1967B)  
Archived (1969B)

Relocation Housing for Aged or Families Displaced by Urban Renewal (1967B)  
Archived (1969B)

Veterans Restoration Centers (1967B)  
Archived (1969B)

## 64.001

Biomedical Research (1967B)  
Medical Research Support (1986B)  
Archived (1991U)

## 64.002

Veterans' Community Nursing Home Care Program (1967B)  
Community Contract Nursing Home Care (1970B)  
Community Nursing Home Care (1971B)  
Veterans Community Nursing Home Care (1979B)  
Archived (1981U)

## 64.003

Education and Training of Health Service Personnel (1969B)  
Archived (1979B)

## 64.004

Exchange of Medical Information (1970B)  
Archived (1982B)

## 64.005

Grant to States for Construction of State Nursing Home Care Facilities (1970B)  
Grants to States for Construction of State Home Facilities (1978B)

## 64.006

Prosthetics Research (1969B)  
Rehabilitative Engineering Research (Prosthetics) (1977B)  
Rehabilitative Research (Prosthetics) (1977U)  
Rehabilitative Research (1981B)  
Archived (1981U)

# Appendix VII: Historical Profile of Catalog Programs

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- 64.007**  
Rehabilitation of Blind Veterans (1967B)  
Blind Veterans Rehabilitation Centers (1971B)  
Blind Veterans Rehabilitation Centers and Clinics (1987U)  
Blind Rehabilitation Centers and Clinics (1995U)  
Blind Rehabilitation Centers (1998U)
- 64.008**  
Veterans' Domiciliary Program (1965B)  
Veterans Domiciliary Care and Restoration (1970B)  
Veterans Domiciliary Care (1973B)
- 64.009**  
Veterans Hospitalization (1965B)  
Revised  
Veterans Medical Care Benefits (1997U)
- 64.010**  
Veterans Nursing Home Care Program (1967B)  
Veterans Nursing Home Care (1970B)
- 64.011**  
Veterans' Outpatient Services (1967B)  
Veterans Outpatient Care (1970B)  
Veterans Dental Care (1999B)
- 64.012**  
Veterans Prescription Service (1967B)
- 64.013**  
Veterans Prosthetic Appliances (1967B)
- 64.014**  
Veterans State Home Program (1970B)  
Veterans State Domiciliary Care (1971B)
- 64.015**  
Veterans State Nursing Home Care (1970B)
- 64.016**  
Veterans State Home Hospital Care (1970U)  
Veterans State Hospital Care (1971B)
- 64.017**  
Grants to States for Remodeling of State Home Hospital/Domiciliary Facilities (1971B)  
Incorporated into 64.005 (1978B)
- 64.018**  
Sharing Specialized Medical Resources (1971B)  
Sharing Medical Facilities, Equipment, and Information (1975B)  
Sharing Specialized Medical Resources (1978B)
- 64.019**  
Veterans Rehabilitation\_Alcohol and Drug Dependency (1971U)  
Veterans Rehabilitation\_Alcohol and Drug Dependence (1976B)
- 64.020**  
Assistance in the Establishment of New State Medical Schools (1974U)  
Archived (1979B)
- 64.021**  
Grants to Affiliated Medical Schools\_Assistance to Health Manpower Training Institutions (1974U)  
Archived (1979B)
- 64.022**  
Hospital Based Home Care (1974U)  
Veterans Hospital Based Home Care (1979B)  
Veterans Home Based Primary Care (1997B)
- 64.023**  
Health Professional Scholarships (1982B)  
Health Professional Scholarships\_Nursing (1984B)  
Archived (1986B)
- 64.024**  
VA Homeless Providers Grant and Per Diem Program (1995B)
- 64.025**  
Transitional Housing Loan Program (1995B)  
Archived (2001B)
- 64.026**  
Veterans State Adult Day Health Care (2008)
- 64.027**  
Post-9/11 Veterans Educational Assistance (2010)
- 64.028**  
Post-9/11 Veterans Educational Assistance (2010)
- 64.029**  
Purchase Care Program (2010)
- 64.030**  
Life Insurance for Veterans Face Amount of New Life Insurance Policies Issued (2010)
- 64.031**  
Life Insurance for Veterans - Direct Payments for Insurance (2010)
- 64.032**  
Montgomery GI Bill Selected Reserve; Reserve Educational Assistance Program (2011)
- 64.033**  
VA Supportive Services for Veteran Families Program (2011)
- 64.034**  
VA Assistance to United States Paralympic Integrated Adaptive Sports Program (2011)
- 64.100**  
Veterans' Automobile Grants (1967B)  
Automobile Grants for Disabled Veterans (1970B)  
Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (1971B)
- 64.101**  
Burial Benefits for Veterans (1967B)  
Burial Allowance for Veterans (1969B)  
Burial Expenses Allowance for Veterans (1981U)
- 64.102**  
Compensation for Service-Connected Deaths for Veterans' Dependents (1969B)
- 64.103**  
Life Insurance for Veterans and Servicemen (1967B)  
Life Insurance for Veterans (1970B)
- 64.104**  
Veterans Disability Pension (1965B)  
Pension for Nonservice-Connected Disability for Veterans (1969B)
- 64.105**  
Veterans' Death Pension (1965B)  
Pension for Veterans Widows and Children (1969B)  
Pension for Veterans Widows or Widowers and Children (1976B)  
Pension to Veterans Surviving Spouses, and Children (1980U1)
- 64.106**  
Specially Adapted Veterans Housing (1967B)  
Specially Adapted Housing for Disabled Veterans (1970B)
- 64.107**  
Veterans Assistance Centers (1969B)  
Archived (1977U)
- 64.108**  
Veterans' Business Loans (1967B)  
Veterans Business Loans\_Guaranteed and Insured Loans (1970B)  
Archived (1975B)
- 64.109**  
Veterans' Disability Compensation (1965B)  
Veterans Compensation for Service-Connected Disability (1970B)
- 64.110**  
Veterans' Dependency and Indemnity Compensation (1965B)  
Dependency, Indemnity, and Death Compensation to Veterans' Dependents (1967B)

# Appendix VII: Historical Profile of Catalog Programs

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Veterans Dependency and Indemnity  
Compensation for Service-Connected Death  
(1970B)

**64.111**  
Educational Assistance for Veterans (1969B)  
Veterans Educational Assistance (1970B)  
Archived (1990B)

**64.112**  
Veterans Farm Loans (1969B)  
Archived (1975B)

**64.113**  
Veterans Housing\_Direct Loans and Advances  
(1970B)  
Archived (1981B)

**64.114**  
Veterans' Home Loans (1965B)  
Veterans Housing\_Guaranteed and Insured Loans  
(1970B)

**64.115**  
Veterans Information and Assistance (1967B)

**64.116**  
Vocational Rehabilitation Training for Disabled  
Veterans (1965B)  
Vocational Rehabilitation for Disabled Veterans  
(1970B)

**64.117**  
War Orphans Education Program (1965B)  
War Orphans and Widows Educational Assistance  
(1970B)  
Dependents Educational Assistance (1974B)

**64.118**  
Veterans Housing\_Direct Loans for Disabled  
Veterans (1971B)  
Veterans Housing\_Direct Loans for Certain  
Disabled Veterans (1998B)

**64.119**  
Veterans Housing\_Mobile Home Loans (1971B)  
Veterans Housing\_Manufactured Home Loans  
(1983B)

**64.120**  
Post-Vietnam Era Veterans' Educational Assistance  
(1977B)

**64.121**  
Emergency Veterans Job Training (1984B)  
Veterans' Job Training Act (1986B)  
Archived (1990U)

**64.122**  
Vocational Rehabilitation for Service-Disabled  
Veterans Receiving Unemployability VA

Compensation (1985B)  
Archived (1991U)

**64.123**  
Vocational Training for Certain Veterans Receiving  
VA Pension (1985B)

**64.124**  
All-Volunteer Force Educational Assistance  
(1986B)

**64.125**  
Vocational and Educational Counseling for  
Servicemembers and Veterans (1992B)

**64.126**  
Native American Veteran Direct Loan Program  
(1993B)

**64.127**  
Monthly Allowance Under 38 U.S.C. 1805 for a  
Child Born with Spina Bifida Who Is a Child of a  
Vietnam Veteran (1997B)  
Monthly Allowance for Children of Vietnam  
Veterans Born with Spina Bifida (1997U)

**64.128**  
Vocational Training and Rehabilitation for Vietnam  
Veterans' Children with Spina Bifida (1997U)  
Vocational Training and Rehabilitation for Vietnam  
Veteran's Children with Spina Bifida or Other  
Covered Birth Defects (2002B)

**64.200**  
Memorial Plots in National Cemeteries (1973U)  
Transferred from 12.200 (1973U)  
Memorial Plots and Markers in National  
Cemeteries (1974B)  
Memorial Plots and Memorial Markers (1979B)  
Consolidated into 64.201, 64.202 (1990B)

**64.201**  
National Cemeteries (1973U)  
Transferred from 12.201 (1973U)

**64.202**  
Procurement of Headstones and Markers (1973U)  
Transferred from 12.202 (1973U)  
Procurement of Headstones and Markers and/or  
Presidential Memorial Certificates (1991U)

**64.203**  
State Cemetery Grants (1979U2)

## **WATER RESOURCES COUNCIL**

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**65.001**  
Water Resources Planning (1967B)  
Archived (1983B)

## **ENVIRONMENTAL PROTECTION**

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## **AGENCY**

**66.001**  
Air Pollution Control Program Grants (1971B)  
Transferred from 13.001 (1971B)  
Air Pollution Control Program Support (1985U)

**66.002**  
Air Pollution Fellowships (1971B)  
Transferred from 13.002 (1971B)  
Air Pollution Control Fellowships (1976B)  
Archived (1979B)

**66.003**  
Air Pollution Manpower Training Grants (1971B)  
Transferred from 13.003 (1971B)  
Air Pollution Control Manpower Training Grants  
(1976B)  
Air Pollution Control Manpower Training (1985U)  
Archived (1999U)

**66.004**  
Air Pollution Research Grants (1971B)  
Transferred from 13.004 (1971B)  
Air Pollution Control Research Grants (1972B)  
Number changed to 66.501 (1973B)

**66.005**  
Air Pollution Survey and Demonstration Grants  
(1971B)  
Transferred from 13.005 (1971B)  
Air Pollution Control Survey and Demonstration  
Grants (1976B)  
Archived (1979B)

**66.006**  
Air Pollution Control Technical Training (1971U)  
Air Pollution Control\_Technical Training (1973B)  
Archived (1998B)

**66.007**  
Air Pollution Control National Aerometric Data  
Information (1971U)  
Air Pollution Control\_National Ambient Air and  
Source Emission Data (1972U)  
Archived (1996U)

**66.008**  
Air Pollution Control Technical Assistance  
(1971U)  
Air Pollution Control\_Technical Assistance  
(1973B)  
Archived (1985B)

**66.009**  
Air Pollution Control Technical Information  
(1971U)  
Air Pollution Control\_Technical Information  
Services (1973B)  
Air Pollution\_Technical Information Services  
(1986B)

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Air Information Center (1987U)

Protection of Children and the Aging as a Fundamental Goal of Public Health and Environmental Protection (2003)

Protection of Children and Older Adults (Elderly) from Environmental Health Risks (2004)

Deleted (2005)

## 66.010

Air Pollution Control\_Interstate Cooperation and Uniform Laws (1972B)

Archived (1973U)

## 66.011

Solid Waste Technical Assistance, Training, and Information Services (1974B)

Number changed from 66.304 (1974B)

Solid Waste Technical Assistance, and Information Services (1975B)

Solid Waste Disposal Technical Assistance, and Information Services (1976B)

Solid Waste Management Technical Assistance, and Information Services (1976U)

Number changed to 66.450 (1977U)

## 66.012

Water Pollution Control Data Publications Services (1973B)

Number changed from 66.402 (1973B)

Number changed to 66.416 (1974B)

## 66.013

Water Pollution Control\_Direct Training (1973B)

Number changed from 66.403 (1973B)

Number changed to 66.417 (1974B)

## 66.014

Water Pollution Control\_Interstate Cooperation and Uniform Laws (1973B)

Number changed from 66.404 (1973B)

Incorporated into 66.650 (1973U)

## 66.015

Construction Grants for Wastewater Treatment Works (1973B)

Number changed from 66.400 (1973B)

Number changed to 66.418 (1974B)

## 66.017

Water Pollution Control\_State and Interstate Program Grants (1973B)

Number changed from 66.407 (1973B)

Number changed to 66.419 (1974B)

## 66.018

Water Pollution Control\_State and Local Manpower Development (1973B)

Number changed from 66.408 (1973B)

Number changed to 66.420 (1974B)

## 66.019

Water Pollution Control\_Technical Assistance and Criteria Development (1973B)

Number changed from 66.409 (1973B)

Archived (1974B)

## 66.020

Water Pollution Control\_Training Grants (1973B)

Number changed from 66.410 (1973B)

Number changed to 66.421 (1974B)

## 66.021

Water Quality Control\_Monitoring Assistance (1973B)

Number changed from 66.411 (1973B)

Number changed to 66.422 (1974B)

## 66.022

Water Quality Control Information System\_Orientation and Training Seminars (1973B)

Number changed from 66.412 (1973B)

Number changed to 66.423 (1974B)

## 66.023

Water Quality Management Technical Planning Assistance (1973B)

Number changed from 66.413 (1973B)

Archived (1974B)

## 66.025

Drinking Water Supply\_Technical Assistance (1973B)

Number changed from 66.415 (1973B)

Number changed to 66.425 (1974B)

## 66.026

Solid Waste Training Grants (1975B)

Solid Waste Disposal Training Grants (1976B)

Number changed to 66.453 (1977U)

## 66.027

Solid Waste Demonstration and Planning Grants (1975B)

Solid Waste Planning Grants (1975U)

Split into 66.027, 66.028 (1975U)

Solid Waste Disposal Planning Grants (1976B)

Number changed to 66.451 (1977U)

## 66.028

Solid Waste Demonstration Grants (1975U)

Split from 66.027 (1975U)

Solid Waste Disposal Demonstration Grants (1976B)

Number changed to 66.452 (1977U)

## 66.030

Noise Pollution Control\_Technical Assistance (1976B)

Archived (1981U)

## 66.031

Quiet Communities\_State and Local Capacity Building Assistance (1979B)

Archived (1981U)

## 66.032

State Indoor Radon Grants (1989U)

## 66.033

Ozone Transport (1997U)

Ozone Transport Commission (2006)

## 66.034

Surveys, Studies Investigations, Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2002B)

Surveys Studies, Investigations Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2003B)

Surveys, Studies, Investigations, Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2005)

Surveys, Studies, Investigations, Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2005)

Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (2008)

## 66.035

Community Action for a Renewed Environment (CARE) Program (2005)

## 66.036

Clean School Bus USA (2005)

Archived (2011)

## 66.037

Internships, Training, Workshops and Fellowships for the Office of Air and Radiation (2006)

Internships, Training and Workshops for the Office of Air and Radiation (2008)

## 66.038

Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (2008)

## 66.039

National Clean Diesel Funding Assistance Program (2008)

National Clean Diesel Emissions Reduction Program (2010)

## 66.040

State Clean Diesel Grant Program (2008)

## 66.041

Climate Showcase Communities Grant Program

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(2009)	<b>66.120</b> Puget Sound Watershed Management Assistance (2009)	Solid Waste Research Grants (1971B) Transferred from 13.016 (1971B) Number changed to 66.504 (1973B)
<b>66.042</b> Temporally Integrated Monitoring of Ecosystems (TIME) and Long-Term Monitoring (LTM) Program (2010)	<b>66.121</b> Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (2009)	<b>66.303</b> Solid Waste Training Grants (1971B) Transferred from 13.017 (1971B) Archived (1973B)
<b>66.050</b> Potomac Highlands Implementation Grants (2010)	<b>66.122</b> Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (2009)	<b>66.304</b> Solid Waste Technical Assistance, Training, and Information Services (1971U) Number changed to 66.011 (1974B)
<b>66.100</b> Pesticides Research Grants (1971B) Transferred from 13.102 (1971B) Number changed to 66.502 (1973B)	<b>66.123</b> Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (2009)	<b>66.305</b> Compliance Assistance_Support for Services to the Regulated Community and Other Assistance Providers (2002U) 66.476 Security Planning Grants for Large Drinking Water Utilities (2002U) Reinstated - Compliance Assistance_Support for Services to the Regulated Community and Other Assistance Providers (2003) Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (2005) Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (2005)
<b>66.101</b> Pesticides Science and Technology_Technical Information (1971U) Number changed to 66.427 (1974B)	<b>66.124</b> Coastal Wetlands Planning Protection and Restoration Act (2010)	<b>66.306</b> Environmental Justice Collaborative Problem-Solving Grants Program (2004) Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program (2005) Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program (2005) Archived (2009)
<b>66.110</b> Healthy Communities Grant Program (2005)	<b>66.125</b> Lake Pontchartrain Basin Restoration Program (PRP) (2010)	<b>66.307</b> Environmental Justice Training and Fellowship Assistance (2005)
<b>66.111</b> Regional Environmental Priority Projects (2005) Archived (2011)	<b>66.126</b> THE SAN FRANCISCO BAY WATER QUALITY IMPROVEMENT FUND (2010)	<b>66.308</b> Environmental Justice Research Assistance (2005)
<b>66.112</b> Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for Regional Geographic Initiatives (2008) Archived (2009)	<b>66.127</b> Southeastern U.S. Regional Targeted Watershed Initiative (2011)	<b>66.309</b> Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (2005) Surveys, Studies, Investigations, Training and Special Purpose Activities Relating to Environmental Justice (2011)
<b>66.113</b> Region 3 Environmental Priority Projects (2006)	<b>66.200</b> Radiation Research Grants (1971B) Split/Transferred from 13.012 (1971B) Number changed to 66.503 (1973B)	<b>66.310</b> Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (2005)
<b>66.114</b> Environmental Protection Consolidated Grants-Program Support (2006)	<b>66.201</b> Radiation Training Grants (1971B) Split/Transferred from 13.013 (1971B) Archived (1973U)	
<b>66.115</b> Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for EPA Region 10 Regional Geographic Initiative (2006)	<b>66.202</b> Congressionally Mandated Projects (2006)	
<b>66.116</b> Regional Geographic Initiative/Environmental Priority Projects (2006) Archived (2009)	<b>66.203</b> Environmental Finance Center Grants (2008)	
<b>66.117</b> Region 9 multi-media and geographic priority projects (2007) Region 9 Multi-Media and Geographic Priority Projects (2009) Archived (2011)	<b>66.300</b> Solid Waste Demonstration and Resource Recovery System Grants (1971B) Transferred from 13.014 (1971B) Archived (1973B)	
<b>66.119</b> West Coast Estuaries Initiative (2008)	<b>66.301</b> Solid Waste Planning Grants (1971B) Transferred from 13.015 (1971B) Archived (1973B)	
	<b>66.302</b>	

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<b>66.311</b> Assistance to Non-Profit Organizations with Activities Relating to Environmental Justice (2006)	Water Pollution Control_State and Interstate Program Grants (1971B) Transferred from 15.707 (1971B) Number changed to 66.017 (1973B)	<b>66.418</b> Construction Grants for Wastewater Treatment Works (1974B) Number changed from 66.015 (1974B) Archived (1992B) Reinstated (2000U)
<b>66.312</b> State Environmental Justice Cooperative Agreement Program (2008) Archived (2011)	<b>66.408</b> Water Pollution Control_State and Local Manpower Development (1971B) Transferred from 15.708 (1971B) Number changed to 66.018 (1973B)	<b>66.419</b> Water Pollution Control_State and Interstate Program Grants (1974B) Number changed from 66.017 (1974B) Water Pollution Control State and Interstate Program Support (1985U) Water Pollution Control State and Interstate Program Support (2004) Water Pollution Control State and Interstate Program Support (2004) Water Pollution Control State, Interstate, and Tribal Program Support (2006)
<b>66.313</b> International Compliance and Enforcement Projects (2010)	<b>66.409</b> Water Pollution Control_Technical Assistance and Pollution Surveillance (1971B) Transferred from 15.709 (1971B) Number changed to 66.019 (1973B)	<b>66.420</b> Water Pollution Control_State and Local Manpower Development (1974B) Number changed from 66.018 (1974B) Water Pollution Control_State and Local Manpower Program Development (1976B) Archived (1981U)
<b>66.400</b> Construction Grants for Wastewater Treatment Works (1971B) Transferred from 15.700 (1971B) Number changed to 66.015 (1973B)	<b>66.410</b> Water Pollution Control Training Grants (1971B) Transferred from 15.710 (1971B) Number changed to 66.020 (1973B)	<b>66.421</b> Water Pollution Control_Training Grants (1974B) Number changed from 66.020 (1974B) Split into 66.428, 66.429 (1974U)
<b>66.401</b> Water Pollution Control Comprehensive Basin Planning Grants (1971B) Transferred from 15.701 (1971B) Water Pollution Control_Comprehensive Basin Planning Grants (1972B) Archived (1973B)	<b>66.411</b> Water Quality Control Information System (1971B) Transferred from 15.711 (1971B) Number changed to 66.021 (1973B)	<b>66.422</b> Water Quality Control_Monitoring Assistance (1974B) Number changed from 66.021 (1974B) Incorporated into 66.423 (1977B)
<b>66.402</b> Water Pollution Control Data Publications Services (1971B) Transferred from 15.702 (1971B) Number changed to 66.012 (1973B)	<b>66.412</b> Water Quality and Pollution Control_Orientation and Training Seminars (1971B) Transferred from 15.712 (1971B) Number changed to 66.022 (1973B)	<b>66.423</b> Water Quality Control Information System_Orientation and Training Seminars (1974B) Number changed from 66.022 (1974B) Water Quality Control Information System_Orientation/Training Seminars, Data and Monitoring Publications (1977B) Archived (1997B)
<b>66.403</b> Water Pollution Control_Direct Training (1971B) Transferred from 15.703 (1971B) Number changed to 66.013 (1973B)	<b>66.413</b> Water Quality Management Technical Planning Assistance (1971B) Transferred from 15.713 (1971B) Number changed to 66.023 (1973B)	<b>66.424</b> Surveys, Studies, Demonstrations and Special Purpose_Section 1442 of the Safe Drinking Water Act (2003B) Surveys, Studies, Demonstrations and Special Purpose Grants - Section 1442 of the Safe Drinking Water Act (2004) Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (2008)
<b>66.404</b> Water Pollution Control_Interstate Cooperation and Uniform Laws (1971B) Transferred from 15.704 (1971B) Number changed to 66.014 (1973B)	<b>66.414</b> Water Hygiene Research Grants (1971B) Transferred from 13.018 (1971B) Incorporated into 66.405 (1972B)	
<b>66.405</b> Water Pollution Control_Research, Development, and Demonstration Grants (1971B) Transferred from 15.705 (1971B) Water Pollution Control_Research, Development, and Demonstration (1972B) Number changed to 66.505 (1973B)	<b>66.415</b> Drinking Water Supply_Technical Assistance (1972B) Number changed to 66.025 (1973B)	
<b>66.406</b> Water Pollution Control Research Fellowships (1971B) Transferred from 15.706 (1971B) Archived (1973B)	<b>66.416</b> Water Pollution Control_Data Publications Services (1974B) Number changed from 66.012 (1974B) Incorporated into 66.423 (1977B)	
<b>66.407</b>	<b>66.417</b> Water Pollution Control_Direct Training (1974B) Number changed from 66.013 (1974B) Archived (1982B)	

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Drinking Water Supply\_Technical Assistance (1974B)

Number changed from 66.025 (1974B)

Archived (1983U)

## 66.426

Water Pollution Control\_Area Waste Treatment Management Planning Grants (1974B)

Water Pollution Control\_State and Areawide Waste Treatment Management Planning Grants (1976U)

Water Pollution Control\_State and Areawide Water Quality Management Planning Agency (1977B)

Archived (1983B)

## 66.427

Pesticides Science and Technology\_Technical Information (1974B)

Number changed from 66.101 (1974B)

Archived (1979B)

## 66.428

Water Pollution Control\_Professional Training Grants (1974U)

Split from 66.421 (1974U)

Archived (1982B)

## 66.429

Water Pollution Control\_Technical Training Grants (1974U)

Split from 66.421 (1974U)

Archived (1981B)

## 66.430

Water Pollution Control Fellowships (1974U)

Archived (1981U)

## 66.431

Water Pollution Control Loans (1974U)

Transferred/Incorporated into 59.024 (1979B)

## 66.432

Grants for State Public Water System Supervision Programs (1975U)

Public Water System Supervision\_State Program Grants (1976B)

State Public Water System Supervision Program Grants (1976U)

State Public Water System Supervision (1985U)

## 66.433

Grants for Underground Injection Control Programs (1975U)

Underground Water Source Protection\_State Program Grants (1976B)

State Underground Water Source Protection Program Grants (1976U)

State Underground Water Source

Protection\_Program Grants (1981B)

State Underground Water Source Protection (1985U)

## 66.434

Safe Drinking Water\_State and Local Program Development Grants (1976U)

Archived (1979B)

## 66.435

Water Pollution Control\_Lake Restoration Demonstration Grants (1976U)

Water Pollution Control\_Lake Restoration Cooperative Agreements (1980U1)

Archived (1981U)

Reinstated (1987U)

Archived (1998B)

## 66.436

Surveys, Studies, Investigations, Demonstrations and Training Grants and Cooperative Agreements\_Section 1442 of the Clean Water Act (2003B)

Surveys, Studies, Demonstrations and Special Purpose Grants - Section 1442 of the Safe Drinking Water Act (2004)

## 66.437

Long Island Sound Program (2004)

## 66.438

Construction Management Assistance Grants (1978U)

Construction Management Assistance (1985U)

Archived (1998B)

## 66.439

Targeted Watershed Initiative (2003B)

Targeted Watershed Grants (2004)

Targeted Watersheds Grants (2006)

## 66.440

Urban Waters Small Grants (2011)

## 66.450

Solid Waste Management Technical Assistance and Information Services (1977U)

Number changed from 66.011 (1977U)

Archived (1981U)

## 66.451

Solid and Hazardous Waste Management Program Support Grants (1977U)

Number changed from 66.027 (1977U)

Hazardous Waste Management Program Support Grants (1981U)

Hazardous Waste Management Financial Assistance to States (1982B)

Number changed to 66.801 (1983B)

## 66.452

Solid Waste Management Demonstration Grants (1977U)

Number changed from 66.028 (1977U)

Archived (1981B)

## 66.453

Solid Waste Management Training Grants (1977U)

Number changed from 66.026 (1977U)

Archived (1981U)

## 66.454

Water Quality Management Planning (1983B)

## 66.455

Marine Combined Sewer Overflow Special Fund (1984B)

Construction Grants for Wastewater Treatment Works for Combined Sewer Overflows (1985U)

Archived (1986B)

Construction Grants for Abatement of Combined Sewer Overflow Pollution in Marine Bays and Estuaries, Reinstated (1988U)

Archived (1989U)

## 66.456

Comprehensive Estuarine Management (1985U)

National Estuary Program (1987U)

## 66.458

Capitalization Grants for State Revolving Funds (1988B)

Capitalization Grants for Clean Water State Revolving Funds (2003B)

## 66.459

Nonpoint Source Reservation (1988B)

Archived (1991B)

## 66.460

Nonpoint Source Implementation (1990B)

Archived (1991B)

Nonpoint Source Implementation Grants (1993B)

## 66.461

Wetlands Protection\_State Development Grants (1989U)

Wetlands Protection\_State and Tribal Development Grants (1995U)

Wetlands Protection\_Development Grants (1997B)

Wetlands Grants (2000U)

Wetland Program Development Grants (2003B)

Regional Wetland Program Development Grants (2005)

Regional Wetland Program Development Grants (2005)

## 66.462

National Wetland Program Development Grants (2005)

National Wetland Program Development Grants and Five-Star Restoration Training Grant (2008)

## 66.463

## Appendix VII: Historical Profile of Catalog Programs

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National Pollutant Discharge Elimination System  
Related State Program Grants (1991U)

Water Quality Cooperative Agreements (2000U)

### 66.464

Near Coastal Waters (1991U)

Archived (1994B)

### 66.465

Wellhead Protection Demonstration Projects  
(1994B)

Archived (1995B)

### 66.466

Chesapeake Bay Program (1994B)

Chesapeake Bay Program (2005)

Chesapeake Bay Program (2005)

### 66.467

Wastewater Operator Training Grant Program  
(Technical Assistance) (1994U)

Wastewater Operator Training Grant Program  
(2009)

### 66.468

Capitalization Grants for Drinking Water State  
Revolving Fund (1997B)

### 66.469

Great Lakes Program (1997B)

### 66.470

Hardship Grants Program for Rural Communities  
(1997B)

Archived (1998B)

### 66.471

State Grants to Reimburse Operators of Small  
Water Systems for Training and Certification Costs  
(2001B)

### 66.472

Beach Monitoring and Notification Program  
Development Grants (2001B)

Beach Monitoring and Notification Program  
Implementation Grants (2003B)

### 66.473

Direct Implementation Tribal Cooperative  
Agreements (2001U)

### 66.474

Water Protection Coordination Grants to States  
(2002B)

Water Protection Grants to the States (2003B)

### 66.475

Gulf of Mexico Program (2002B)

### 66.476

Vulnerability Assessments and Related Security

Improvements at Large Drinking Water Utilities  
(2003B)

Security Planning Grants for Large Drinking Water  
Utilities (2004)

Deleted (2005)

### 66.477

Security Grants for Privately-Owned Water  
Utilities (2002U)

### 66.478

Water Security Training and Technical Assistance  
Grant Program (2003B)

Water Security Training and Technical Assistance  
(2004)

Water Security Training and Technical Assistance  
and Water Security Initiative Contamination  
Warning System Pilots (2007)

### 66.479

Wetland Program Grants - State/Tribal

Environmental Outcome Wetland Demonstration  
Program (2005)

### 66.480

Assessment and Watershed Protection Program  
Grants (2005)

### 66.481

Lake Champlain Basin Program (2005)

### 66.500

Environmental Protection\_Comprehensive  
Research Grants (1972U)

Environmental Protection\_Consolidated Research  
Grants (1974U)

Environmental Protection\_Consolidated Research  
(1985U)

Consolidated from 66.501, 66.502, 66.504, 66.505,  
66.506, 66.507 (1997B)

Environmental Protection Consolidated Research  
(2002B)

Environmental Protection\_Consolidated Research  
(2003B)

Deleted (2005)

Deleted (2005)

### 66.501

Air Pollution Control Research Grants (1973B)  
Number changed from 66.004 (1973B)

Air Pollution Control Research (1985U)

Consolidated into 66.500 (1997B)

### 66.502

Pesticides Research Grants (1973B)

Number changed from 66.100 (1973B)

Pesticides Control Research Grants (1976B)

Pesticides Control Research (1985U)

Consolidated into 66.500 (1997B)

### 66.503

Radiation Research Grants (1973B)

Number changed from 66.200 (1973B)

Archived (1977B)

### 66.504

Solid Waste Research Grants (1973B)

Number changed from 66.302 (1973B)

Solid Waste Disposal Research Grants (1976B)

Solid Waste Disposal Research (1985U)

Consolidated into 66.500 (1997B)

### 66.505

Water Pollution Control\_Research, Development,  
and Demonstration (1973B)

Number changed from 66.405 (1973B)

Water Pollution Control\_Research, Development,  
and Demonstration Grants (1975B)

Wastewater Pollution Control\_Research,  
Development, and Demonstration (1985U)

Consolidated into 66.500 (1997B)

### 66.506

Water Supply Research Grants (1973B)

Water Research and Demonstration Grants (1975U)

Safe Drinking Water Research and Demonstration  
(1985U)

Consolidated into 66.500 (1997B)

### 66.507

Toxic Substances Research Grants (1978B)

Toxic Substances Research (1985U)

Consolidated into 66.500 (1997B)

### 66.508

Senior Environmental Employment Program  
(1986B)

### 66.509

Science To Achieve Results (STAR) Program  
(2002U)

Science To Achieve Results (STAR) Research  
Program (2005)

Science To Achieve Results (STAR) Research  
Program (2005)

### 66.510

Surveys, Studies, Investigations and Special  
Purpose Grants within the Office of Research and  
Development (2003B)

### 66.511

Consolidated Research (2002U)

66.511, 66.610 Surveys, Studies, Investigations  
and Special Purpose Grants (2002U)

Office of Research and Development Consolidated  
Research (2003)

Office of Research and Development Consolidated  
Research/Training (2005)

Office of Research and Development Consolidated  
Research/Training (2005)



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Office of Research and Development Consolidated Research/Training/Fellowships (2008)

### 66.512

Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (2005)  
Archived (2011)

### 66.513

Greater Research Opportunities Fellowship Program (2004)  
Greater Research Opportunities (GRO) Fellowships For Undergraduate/Graduate Environmental Study (2006)  
Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (2009)

### 66.514

Science To Achieve Results (STAR) Fellowship Program (2004)

### 66.515

Greater Opportunities Research Program (2004)  
Greater Opportunities: Research Program (2005)  
Greater Research Opportunities (GRO) Research Program (2008)  
Archived (2009)

### 66.516

National Student Design Competition for Sustainability (2004)  
P3 Award: National Student Design Competition for Sustainability (2004)

### 66.517

Regional Applied Research Efforts (RARE) (2007)

### 66.518

State Senior Environmental Employment Program (2005)

### 66.600

Environmental Protection\_Consolidated Program Grants (1973B)  
Environmental Protection\_Consolidated Program Support Grants (1975U)  
Environmental Protection Consolidated Grants\_Program Support (1976B)  
Environmental Protection Consolidated Grants-Program Support (2004)  
Environmental Protection Consolidated Grants for the Insular Areas - Program Support (2008)

### 66.601

Environmental Financing Authority (1974U)  
Archived (1975U)

### 66.602

Environmental Protection\_Consolidated Special Purpose Grants (1975U)

Environmental Protection Consolidated Grants\_Special Purpose (1976B)  
Incorporated into 66.600 (1982B)

### 66.603

Loan Guarantees for Construction of Treatment Works (1978U)

### 66.604

Environmental Justice Grants to Small Community Groups (1994B)  
Environmental Justice Small Grant Program (2005)  
Environmental Justice Small Grant Program (2005)

### 66.605

Performance Partnership Grants (1997B)

### 66.606

Surveys, Studies, Investigations and Special Purpose Grants (1997B)

Incorporated into 66.202 (2006)

### 66.607

Training and Fellowships for the Environmental Protection Agency (1997B)

### 66.608

One Stop Reporting (1997U)  
State Information Grants (2002B)  
Environmental Information Exchange Network Grant Program and Related Assistance (2005)

### 66.609

Protection of Children And The Aging (Or Edlerly Population) (2003B)  
Protection of Children and the Aging as a Fundamental Goal of Public Health and Environmental Protection (2003B)  
Protection of Children from Environmental Health Risks (2011)

### 66.610

Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (2003B)

### 66.611

Environmental Policy and Innovation Grants (2002U)

### 66.612

Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (2007)

### 66.650

Environmental Protection\_Interstate Cooperation

and Uniform Laws (1973U)  
Number changed from 66.014 (1973U)  
Archived (1978U)

### 66.651

Sustainable Development Challenge Grants (1997B)  
Innovative Community Partnership (2000B)  
Archived (2000U)

### 66.700

Pesticides Enforcement Program Grants (1977U)  
Pesticides Enforcement Program (1985U)  
Consolidated Pesticide Compliance Monitoring and Program Cooperative Agreements (1990B)  
Incorporated from 66.704 (1990B)  
Consolidated Pesticide Enforcement Cooperative Agreements (1997B)

### 66.701

Toxic Substances Compliance Monitoring Cooperative Agreements (1984U)  
Toxic Substances Compliance Monitoring Program (1989U)  
Toxic Substances Compliance Monitoring Cooperative Agreements (1995B)

### 66.702

Asbestos Hazard Abatement School Assistance Program (1984U)  
Asbestos Hazards Abatement (Schools) Assistance (1985U)  
Archived (1994B)

### 66.703

Asbestos Inspection and Management Plan Assistance (1987U)  
Archived (1989B)

### 66.704

Pesticides Certification Program (1988U)  
Incorporated into 66.700 (1990B)

### 66.705

Toxic Release Inventory Data Quality Assurance Program (1990B)  
Toxic Release Inventory Data Quality Capabilities Program (1991B)  
Archived (1992B)

### 66.706

Enhancement Grants for State Asbestos Programs (1991B)  
Archived (1994B)

### 66.707

TSCA Title IV State Lead Grants\_Certification of Lead- Based Paint Professionals (1994B)  
TSCA Title IV State Lead Grants Certification of Lead\_Based Paint Professionals (2003B)  
TSCA Title IV State Lead Grants Certification of

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Lead-Based Paint Professionals (2005)  
TSCA Title IV State Lead Grants Certification of  
Lead-Based Paint Professionals (2005)

### 66.708

Pollution Prevention Grants Program  
Number changed from 66.900 (1994B)  
Revised (1997U)

### 66.709

Capacity Building Grants and Cooperative  
Agreements for States and Tribes (2001B)  
Multi-Media Capacity Building Grants for States  
and Tribes (2005)  
Multi-Media Capacity Building Grants for States  
and Tribes (2005)

### 66.710

Environmental Justice Community/University  
Partnership Grants Program (1997B)  
Archived (2001B)

### 66.711

Environmental Justice through Pollution Prevention  
Grants (1999B)  
Archived (2002B)

### 66.713

State and Tribal Environmental Justice (1998B)  
Archived (2001B)

### 66.714

Pesticide Environmental Stewardship\_Regional  
Grants (1999U)  
Pesticide Environmental Stewardship Regional  
Grants (2003B)  
Pesticide Environmental Stewardship\_Regional  
Grants (2004)  
Pesticide Environmental Stewardship Regional  
Grants (2005)  
Pesticide Environmental Stewardship Regional  
Grants (2005)  
Regional Agricultural IPM Grants (2011)

### 66.715

Childhood Blood-Lead Screening and Lead  
Awareness (Educational) Outreach for Indian  
Tribes (2001B)  
Tribal Educational Outreach on Lead Poisoning and  
Baseline Assessment of Tribal Children's Existing  
and Potential Exposure and Risks Associated With  
Lead (2006)  
Lead Educational Outreach and Baseline  
Assessment of Tribal Children's Exposure and  
Risks Associated With Lead (2008)

### 66.716

Surveys, Studies, Investigations, Training and  
Demonstrations and Educational Outreach (2003B)  
Research, Development, Monitoring, Public  
Education, Training, Demonstrations, and Studies

(2008)

### 66.717

Source Reduction Assistance (2002U)

### 66.718

National Community-Based Lead Outreach and  
Training Grant Program (2007)

### 66.800

State Toxic Substances Control Projects (1979B)  
Archived (1981B)

### 66.801

Hazardous Waste Management Financial  
Assistance to States (1983B)  
Number changed from 66.451 (1983B)  
Hazardous Waste Management State Program  
Support (1985U)

### 66.802

Hazardous Substance Response Trust Fund  
(1983B)  
Superfund State Site\_Specific Cooperative  
Agreements (1994U)  
Superfund State, Political Subdivision, and Indian  
Tribe Site\_Specific Cooperative Agreements  
(2002B)  
Superfund State, Political Subdivision, and Indian  
Tribe Site-Specific Cooperative Agreements  
(2009)

### 66.803

Hazardous Waste Management Financial  
Assistance (1984U)  
Archived (1985B)

### 66.804

State Underground Storage Tanks Program  
(1985U)  
State and Tribal Underground Storage Tanks  
Program (2000B)  
Underground Storage Tank Prevention, Detection  
and Compliance Program (2009)

### 66.805

Underground Storage Tank Trust Fund Program  
(1987B)  
Leaking Underground Storage Tank Trust Fund  
Program (1995B)  
Leaking Underground Storage Tank\_Trust Fund  
(2002B)  
Leaking Underground Storage Tank Trust Fund  
Program (2003B)  
Leaking Underground Storage Tank Trust Fund  
Corrective Action Program (2009)

### 66.806

Superfund Technical Assistance Grants for Citizen  
Groups at Priority Sites (1988B)  
Superfund Technical Assistance Grants (Tag) for

Citizen Groups at Priority Sites (2002B)  
Superfund Technical Assistance Grants for Citizen  
Groups at Priority Sites (2003B)  
Superfund Technical Assistance Grants (TAG) for  
Community Groups at National Priority List (NPL)  
Sites (2004)

### 66.807

Superfund Innovative Technology Evaluation  
Program (1988B)  
Deleted (2004)

### 66.808

Solid Waste Management Assistance (1989U)  
Solid Waste Management Assistance Grants (2005)  
Solid Waste Management Assistance Grants (2005)

### 66.809

Core Program Cooperative Agreements (1991B)  
Superfund State Core Program Cooperative  
Agreements (1994U)  
Sunperfund State and Indian Tribe Core  
Program\_Cooperative Agreements (2002B)  
Superfund State and Indian Tribe Core Program  
Cooperative Agreements (2003B)

### 66.810

Emergency Planning and Community  
Right-to-Know Technical Assistance Grants  
(1993U)  
Technical Assistance Grants Program (1994U)  
CEPP Technical Assistance Grants Program  
(1995U)  
Chemical Emergency Preparedness and Prevention  
(CEPP) Technical Assistance Grants Program  
(2003B)

### 66.811

Brownfield Pilots Cooperative Agreements  
(1997B)  
Revised (1998U)

### 66.812

Hazardous Waste Management Grants for Tribes  
(2002B)  
Tribal Hazardous Waste Grants (2003B)  
Hazardous Waste Management Grant Program for  
Tribes (2005)  
Hazardous Waste Management Grant Program for  
Tribes (2005)

### 66.813

Alternative/Innovative Treatment Technology  
Research, Demonstration, Training, and Hazardous  
Substance Research Grants (2002U)

### 66.814

Brownfields Training, Research, and Technical  
Assistance Grants and Cooperative Agreements  
(2003B)

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<b>66.815</b> Brownfield Job Training Cooperative Agreements (2003B) Environmental Workforce Development and Job Training Cooperative Agreements (2011)	(1992B) Environmental Education Training Program (2009) National Environmental Education Training Program (2010)	<b>72.001</b> Foster Grandparents (1971U) The Foster Grandparents Program (1973B) The Foster Grandparent Program (1977B) Foster Grandparent Program (1984B) Number changed to 94.011 (1995B)
<b>66.816</b> Headquarter and Regional Underground Storage Tanks (2002U) Headquarters and Regional Underground Storage Tanks Program (2005) Headquarters and Regional Underground Storage Tanks Program (2005) Headquarters and Regional Underground Storage Tanks Program (2005)	<b>66.951</b> Environmental Education Grants (1992B)	<b>72.002</b> Retired Senior Volunteers (1971U) Retired Senior Volunteer Program (1973B) Number changed to 94.002 (1995B)
<b>66.817</b> State and Tribal Response Program Grants (2002U)	<b>66.952</b> National Network for Environmental Management Studies Fellowship Program (2005)	<b>72.003</b> Volunteers in Service to America (1971U) Number changed to 94.013 (1995B)
<b>66.818</b> Brownfield Assessment and Cleanup Cooperative Agreements (2002U)	<b>NATIONAL COUNCIL ON INDIAN OPPORTUNITY</b> <hr/> <b>67.001</b> Indian Information and Counseling (1971B) Indian Advice and Special Services (1973B) Archived (1974B)	<b>72.004</b> University Year for ACTION (1973B) Archived (1981U)
<b>66.900</b> Pollution Prevention Incentives for States (1989U) Pollution Prevention Grants Program (1991U) Number changed to 66.708 (1994B)	<b>NATIONAL GALLERY OF ART</b> <hr/> <b>68.001</b> National Gallery of Art Extension Service (1971B)	<b>72.005</b> National Student Volunteer Program (1973B) National Center for Service-Learning (1979U1) Service-Learning Programs (1983B) Student Community Service Program (1989U) Archived (1994B)
<b>66.925</b> State/EPA Data Management Financial Assistance Program (1991B) Archived (1993U)	<b>OFFICE OF CONSUMER AFFAIRS</b> <hr/> <b>69.001</b> Consumer Affairs (1971B) Transferred from 52.500 (1971B) Archived (1973B)	<b>72.006</b> Service Corps of Retired Executives/Active Corps of Executives (1972U) Service Corps of Retired Executives and Active Corps of Executives (1973B) Transferred to 59.026 (1976B)
<b>66.926</b> Indian Environmental General Assistance Program (1993U) Indian Environmental General Assistance Program (GAP) (2003B)	<b>OVERSEAS PRIVATE INVESTMENT CORPORATION</b> <hr/> <b>70.001</b> Foreign Currency Loans (1971B) Transferred from 19.001 (1971B) Archived (1979B)	<b>72.007</b> ACTION Cooperative Volunteer Program (1974B) Incorporated into 72.003 (1976U)
<b>66.930</b> U.S.-Mexico Border Grants Program (1997B) Archived (2002B)	<b>70.002</b> Foreign Investment Guaranties (1971B) Transferred from 19.004 (1971B) Foreign Investment Financing (1994B)	<b>72.008</b> The Senior Companion Program (1974B) Senior Companion Program (1984B) Number changed to 94.016 (1995B)
<b>66.931</b> International Financial Assistance Projects (2002U) Agency Request (2009) International Financial Assistance Projects Sponsored by the Office of International Affairs (2009) International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs (2010)	<b>70.003</b> Foreign Investment Insurance (1971B) Transferred from 19.005 (1971B)	<b>72.009</b> The Youth Challenge Program (1975B) Archived (1979B)
<b>66.940</b> Environmental Policy and State Innovation Grants (2005) Environmental Policy and State Sustainability Grants (2010)	<b>70.004</b> Pre-Investment Assistance (1971B) Archived (1986U)	<b>72.010</b> Mini-Grant Program (1976B) Archived (1992B)
<b>66.950</b> Environmental Education and Training Program	<b>70.005</b> Direct Investment Loans (1971B) Consolidated into 70.002 (1994B)	<b>72.011</b> State Volunteer Services Coordinator Program (1977B) State Office of Voluntary Citizen Participation (1979U1) State Office of Voluntarism (1986B) Archived (1989U)
	<b>FEDERAL HOME LOAN BANK BOARD</b> <hr/> <b>71.001</b> Housing Opportunity Allowance Program (1971B) Archived (1972B)	<b>72.012</b>
	<b>ACTION</b> <hr/>	

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Special Volunteer Programs (1979U1)  
Volunteer Demonstration Program (1981U)  
Archived (1991B)

## **72.013**

Support Services Assistance (1980U1)  
Technical Assistance Program (1981U)  
Archived (1991B)

## **72.014**

Drug Alliance (1989B)  
Archived (1994B)

## **72.015**

Literacy Corps (1989B)  
Number changed to 94.010 (1995B)

## **SPECIAL ACTION OFFICE FOR DRUG ABUSE PREVENTION**

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### **73.001**

Drug Abuse Prevention\_Pharmacological Research (1973U)  
Archived (1975B)

### **73.002**

Drug Abuse Prevention\_Planning and Coordinating Functions (1973U)  
Archived (1975B)

### **73.003**

Drug Abuse Prevention\_Incentives Program (1973U)  
Archived (1975B)

## **AMERICAN REVOLUTION BICENTENNIAL ADMINISTRATION**

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### **74.001**

Bicentennial Administration\_Matching Project Grants (Non-Appropriated) (1974B)  
Archived (1976B)

### **74.002**

Bicentennial Administration\_Matching Project Grants (Appropriated) (1974B)  
Archived (1976B)

### **74.003**

Bicentennial Administration\_Direct Grants (1974B)  
Archived (1976B)

## **OLD WEST REGIONAL COMMISSION**

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### **75.001**

Old West Regional Economic Development (1975B)  
Archived (1981U)

### **75.002**

Old West Technical and Planning Assistance (1975B)  
Archived (1981U)

### **75.003**

Old West Supplements to Federal Grant-in-Aid (1977B)  
Archived (1981U)

### **75.007**

Old West Health and Nutrition Demonstration Projects (1977U)  
Archived (1981U)

## **PACIFIC NORTHWEST REGIONAL COMMISSION**

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### **76.001**

Pacific Northwest Economic Development (1975B)  
Pacific Northwest Regional Economic Development (1975U)  
Archived (1981U)

### **76.002**

Pacific Northwest Technical and Planning Assistance (1975B)  
Archived (1981U)

### **76.004**

Pacific Northwest Regional Transportation (1977U)  
Archived (1981U)

### **76.005**

Pacific Northwest Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

### **76.008**

Pacific Northwest Education Demonstration Projects (1977U)  
Archived (1981U)

## **NUCLEAR REGULATORY COMMISSION**

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### **77.001**

Radiation Control\_Training Assistance and Advisory Counseling (1975B)  
Transferred from 24.027 (1975B)  
Deleted (2004)

### **77.002**

Radiological Emergency Response\_Training Assistance (1979B)  
Transferred to 83.402 (1980B)

### **77.003**

Enhance Technology Transfer and Dissemination of Nuclear Energy Process and Safety Information (1980U2)  
Archived (1995U)  
Reinstated (1997B)  
Archived (1998B)

### **77.004**

Enhance Technology Advancement of Nuclear

Energy Safety (1980U2)  
Archived (1982B)

### **77.005**

Financial Assistance for NRC Local Public Document Rooms (LPDRs) (1990B)  
Deleted (2004)

### **77.006**

U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (2006)

### **77.007**

U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (2008)

### **77.008**

U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (2007)

### **77.009**

Office of Research Program (2009)  
U.S. Nuclear Regulatory Commission Office of Research Financial Assistance Program (2009)

## **COMMODITY FUTURES TRADING COMMISSION**

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### **78.001**

Agricultural Futures Markets Supervision (1975U)  
Transferred from 10.100 (1975U)  
Split into 78.002, 78.004 (1977B)

### **78.002**

Commodity Futures Market Reports (1977B)  
Split from 78.001 (1977B)  
Archived (1985U)

### **78.003**

Commodity Futures Consumer Information (1977B)  
Archived (1981B)

### **78.004**

Commodity Futures Customer Inquiries, Complaints, and Reparation Claims (1977B)  
Split from 78.001 (1977B)  
Commodity Futures Reparations Claims (1979B)

## **SOUTHWEST BORDER REGIONAL COMMISSION**

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### **79.001**

Southwest Border Regional Economic Development (1977U)  
Archived (1981U)

### **79.002**

Southwest Border Technical and Planning Assistance (1977U)  
Archived (1981U)

# Appendix VII: Historical Profile of Catalog Programs

## FEDERAL ENERGY ADMINISTRATION

### 80.001

State Energy Conservation Program (1976U)  
Transferred to 81.041 (1978B)

### 80.002

Weatherization Assistance Program for  
Low-Income Persons (1977U)  
Transferred to 81.042 (1978B)

### 80.003

Supplemental State Energy Conservation Program  
(1977U)  
Transferred to 81.043 (1978B)

## DEPARTMENT OF ENERGY

### 81.001

Access Permits (1978B)  
Transferred from 24.001 (1978B)  
Archived (1979U1)

### 81.002

Motion Picture Film Libraries (1978B)  
Transferred from 24.002 (1978B)  
Archived (1983B)

### 81.003

Granting of Patent Licenses (1978B)  
Transferred from 24.003 (1978B)

### 81.004

University-Laboratory Cooperative Program  
(1978B)  
Transferred from 24.004 (1978B)  
Consolidated from 81.097 (1997B)  
Archived (1998B)

### 81.007

Faculty Training Institutes, Short Courses, and  
Workshops on Energy and Environmental Subjects  
(1978B)  
Transferred from 24.007 (1978B)  
Faculty Development Projects in Energy (1978U)  
Teacher Development Projects in Energy (1979B)  
Archived (1983U)

### 81.011

Reactor Sharing and Fuel Assistance (1978B)  
Transferred from 24.011 (1978B)  
University Reactor Fuel Assistance (1980B)  
University Reactor Sharing and Fuel Assistance  
(1980U1)  
Consolidated into 81.049 (1992B)

### 81.020

Traineeships for Graduate Students in Energy  
Related Fields (1978B)  
Transferred from 24.020 (1978B)  
Archived (1979B)

### 81.022

Energy-Related Laboratory Equipment Grants  
(1978B)  
Transferred from 24.022 (1978B)  
Used Energy-Related Laboratory Equipment Grants  
(1981U)  
Laboratory Equipment Donation Program (2011)

### 81.023

Information Services\_Exhibits, Public Speakers,  
Publications, Reference, and Analysis (1978B)  
Transferred from 24.023 (1978B)  
Information Services\_Exhibits, Public Speakers,  
and Publications (1979B)  
Archived (1983B)

### 81.026

Payments in Lieu of Property Taxes (1978B)  
Transferred from 24.026 (1978B)  
Archived (1979U1)

### 81.028

Radiological Emergency Assistance (1978B)  
Transferred from 24.028 (1978B)  
Archived (1991B)

### 81.029

Nuclear Industry Seminars (1978B)  
Transferred from 24.029 (1978B)  
Uranium Industry Seminars (1980B)  
Archived (1983U)

### 81.030

Work Experience (1978B)  
Transferred from 24.030 (1978B)  
Archived (1980B)

### 81.033

Citizens' Workshops (1978B)  
Transferred from 24.033 (1978B)  
Archived (1980U1)

### 81.035

Research and Development in Energy Conservation  
(1978B)  
Transferred from 24.035 (1978B)  
Archived (1980U1)

### 81.036

Energy-Related Inventions (1978B)  
Transferred from 24.036 (1978B)  
Inventions and Innovations (2001U)

### 81.037

Research and Development\_Fission, Fossil, Solar,  
Geothermal, Electric and Storage Systems,  
Magnetic Fusion (1978B)  
Transferred/Consolidated from 24.024, 24.034  
(1978B)  
Research and Development\_Fission, Fossil, Solar,

Geothermal, Electric and Storage Systems (1980B)  
Archived (1980U1)

### 81.038

Energy Information Administration\_Clearinghouse  
(EIAC) (1978B)  
Energy Information Administration\_Clearinghouse  
(1980B)  
Archived (1982B)

### 81.039

National Energy Information Center (NEIC)  
(1978B)  
National Energy Information Center (1980B)  
Deleted (2007)

### 81.040

Grants for Offices of Consumer Services (1978B)  
Archived (1982B)

### 81.041

State Energy Conservation Program (1978B)  
Transferred from 80.001 (1978B)  
State Energy Conservation (1980B)  
Consolidated from 81.052 (1995U)  
State Energy Program (1997B)

### 81.042

Weatherization Assistance Program for  
Low-Income Persons (1978B)  
Transferred from 80.002 (1978B)  
Weatherization Assistance for Low-Income Persons  
(1980B)

### 81.043

Supplemental State Energy Conservation Program  
(1978B)  
Transferred from 80.003 (1978B)  
Supplemental State Energy Conservation (1980B)  
Archived (1983B)

### 81.044

Public Education in Energy (1978B)  
Archived (1980B)

### 81.045

Special Studies and Projects in Energy Education  
and Training (1978B)  
Archived (1980B)

### 81.046

Research and Development in Biomedical and  
Environmental Sciences (1978B)  
Transferred/Split from 24.034, 24.034 (1978B)  
Environmental Research and Impact Assessments  
(1978U)  
Archived (1980B)

### 81.047

PREFACE (Pre-Freshman and Cooperative

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Education for Minorities in Engineering) (1978B)

PREFACE (Pre-Freshman and Cooperative Education for Minorities and Women in Engineering) (1978U)

Pre-Freshman and Cooperative Education for Minorities and Women in Engineering (1980B)

Pre-Freshman Education for Minorities and Women in Engineering (1980U1)

Pre-Freshman Engineering for Minorities and Women (1980U2)

Archived (1981B)

Reinstated (1983U)

Pre-Freshman Engineering (1983U)

Pre-Freshman Enrichment (1990B)

Consolidated into 81.049 (1992B)

### 81.048

Materials Allocation (1978B)

Priorities and Allocations for Energy Programs and Projects (1980B)

Archived (1996B)

### 81.049

Basic Energy Sciences, High Energy and Nuclear Physics, and Advanced Technology and Assessment Projects (1978B)

Transferred/Split from 24.024 (1978B)

Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, and Program Analysis (1980B)

Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Program Analysis and Field Operations Management (1980U2)

Basic Energy Sciences, High Energy/Nuclear Physics, Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (1981B)

Incorporated into 81.049, 81.073, 81.074 (1981U)

Basic Energy Sciences, High Energy/Nuclear Physics, Magnetic Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (1983U)

Basic Energy Services, High Energy and Nuclear Physics, Magnetic Fusion Energy, Health and Environmental Research, Program Analysis and Field Operations Management (1985B)

Basic Energy Sciences\_University and Science Education (1991B)

Consolidated from 81.011, 81.047 (1992B)

Office of Energy Research Financial Assistance Program (1997B)

Office of Science Financial Assistance Program (1999B)

### 81.050

Energy Extension Service (1978B)

Archived (1994B)

### 81.051

Appropriate Energy Technology (1979U1)

Archived (1985U)

### 81.052

Energy Conservation for Institutional Buildings (1979U1)

Consolidated into 81.041 (1995U)

### 81.053

Public Utility Regulatory Innovative Rates Support (1979U1)

Archived (1982B)

### 81.054

Public Utility Regulatory Support (1979U1)

Archived (1981U)

### 81.055

Small Hydroelectric Power Project Feasibility Studies (1980B)

Archived (1981U)

### 81.056

Coal Loan Guarantees (1980B)

Archived (1987U)

### 81.057

University Coal Research (1980B)

### 81.058

Geothermal Loan Guarantees (1980B)

Archived (1983B)

### 81.059

Clearinghouse for Community Energy Efficiency (1980B)

Archived (1982B)

### 81.060

Electric and Hybrid Vehicle Loan Guaranties (1980B)

Archived (1983B)

### 81.061

Oil Shale State Grants (1980U1)

Archived (1981U)

### 81.062

National Clubs, Organizations and Associations Energy Conservation Projects (1980U1)

National Clubs, Organizations and Associations Energy Awareness Projects (1981B)

Archived (1983B)

### 81.063

Office of Minority Economic Impact Loans (1980U2)

Archived (1993U)

### 81.064

DOE Technical Information Center (1980U2)

Office of Scientific and Technical Information (1984B)

### 81.065

Research and Development Nuclear Energy Programs (1980U2)

Nuclear Waste Disposal Siting (1983B)

### 81.066

American Indian Energy Production and Efficiency (1980U2)

Archived (1982B)

### 81.067

Technical Assistance for Local and Tribal Governments (1980U2)

Archived (1982B)

### 81.068

Biomass Loan Guarantees (1980U2)

Archived (1982B)

### 81.069

Gasoline Rationing\_State Preimplementation Activities (1980U2)

Archived (1982B)

### 81.070

Energy Auditor Training and Certification Grants (1980U2)

Archived (1982B)

### 81.071

Emergency Energy Conservation Act Plans (1980U2)

Archived (1982B)

### 81.072

Conservation Retrofit Delivery\_Research and Development (1981U)

Archived (1982B)

### 81.073

Geothermal Technologies\_Research and Development (1981U)

Split from 81.049 (1981U)

Archived (1982B)

### 81.074

Alcohol Fuels Loan Guarantees (1981U)

Split from 81.049 (1981U)

Archived (1983B)

### 81.075

Energy Graduate Traineeship Program (1981U)

Archived (1983U)

### 81.076

Indian Energy Resources (1983B)

Archived (1986U)

### 81.077

University Research Instrumentation (1983U)

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Archived (1996B)

## **81.078**

Industrial Energy Conservation (1983U)  
Consolidated into 81.086 (1992U)

## **81.079**

Biomass Energy Technology (1983U)  
Biofuels and Municipal Waste Technology (1985U)  
Regional Biomass Programs (1990U)  
Regional Biomass Energy Programs (1992U)

## **81.080**

Energy Policy, Planning and Development (1983U)  
Domestic and International Energy Policy  
Development (1992B)  
Consolidated from 81.088 (1992B)  
Policy, Planning and Program Development  
(1993U)  
Office of Policy and Financial Assistance (1995B)  
Office of Policy Financial Assistance (1996B)  
Archived (1998B)

## **81.081**

Energy Task Force for the Urban Consortium  
(1983U)  
Archived (2001B)

## **81.082**

Management and Technical Assistance for Minority  
Business Enterprises (1984B)  
Deleted (2004)

## **81.083**

Minority Educational Institution Research Travel  
Fund (1984B)  
Archived (1995B)

## **81.084**

Minority Honors Vocational Training (1984B)  
Minority Honors Training and Industrial Assistance  
Program (1988B)  
Archived (1994B)

## **81.085**

National Energy Information Clearinghouse  
(1984B)  
National Minority Energy Information  
Clearinghouse (1985B)  
Minority Energy Information Clearinghouse  
(1992B)  
Archived (1997B)

## **81.086**

Conservation Research and Development (1984U)  
Consolidated from 81.078 (1992U)

## **81.087**

Renewable Energy Research and Development  
(1984U)

## **81.088**

International Affairs and Energy Emergencies  
(1984U)  
Consolidated into 81.080 (1992B)

## **81.089**

Fossil Energy Research and Development (1984U)

## **81.090**

State Heating Oil Grants (1985B)  
Archived (1988B)

## **81.091**

Socioeconomic and Demographic Research, Data  
and Other Information (1985U)  
Socioeconomic and Demographic Research, Data  
Analytic Model Development and Information  
(1993U)  
Archived (1997B)

## **81.092**

Remedial Action and Nuclear Waste Technology  
(1986B)  
Remedial Action and Waste Technology (1987U)  
Environmental Restoration (1990B)  
Archived (1995B)

## **81.093**

Nuclear Energy Policy, Planning and Development  
(1986U)  
Archived (1991B)

## **81.094**

Minority Educational Institution Assistance  
(1986U)  
Archived (1991U)

## **81.095**

Nuclear Energy, Reactor Systems, Development,  
and Technology (1987B)  
Archived (1995B)

## **81.096**

Innovative Clean Coal Technology (1988B)  
Clean Coal Technology Program (1990B)  
Archived (1994B)

## **81.097**

Science and Engineering Research Semester  
(1989B)  
Consolidated into 81.004 (1997B)

## **81.098**

Minority Undergraduate Training for Energy  
Related Careers (1991B)  
Archived (1995B)

## **81.099**

Minority Math/Science Leadership Development  
Recognition (1991B)

Archived (1993B)

## **81.102**

Academic Partnerships (1991B)  
Archived (1998B)

## **81.103**

Technology Integration (1991B)  
Consolidated into 81.104 (1993U)

## **81.104**

Technology Development for Environmental  
Restoration and Waste Management (1992U)  
Consolidated from 81.103 (1993U)  
Technology Development for Environmental  
Management (1994B)  
Office of Science and Technology for  
Environmental Management (2000B)  
Office of Technology Development and  
Deployment for Environmental Management  
(2003B)  
81.104 OFFICE OF ENVIRONMENTAL WASTE  
PROCESSING (2008)  
Office of Environmental Waste Processing (2008)

## **81.105**

National Industrial Competitiveness through  
Energy, Environment, and Economics (1993B)

## **81.106**

Transport of Transuranic Wastes to the Waste  
Isolation Pilot Plant: States and Tribal Concerns  
and Proposed Solutions (1993B)  
Transport of Transuranic Wastes to the Waste  
Isolation Pilot Plant: States and Tribal Concerns,  
Proposed Solutions, and Environmental Monitoring  
(1994U)  
Transport of Transuranic Wastes to the Waste  
Isolation Pilot Plant: States and Tribal Concerns,  
Proposed Solutions (1995B)  
States and Tribal Concerns, Proposed Solutions  
(2003B)

## **81.107**

Oil Recovery Demonstration (1993U)  
Archived (1996B)

## **81.108**

Epidemiology and Other Health Studies Financial  
Assistance (1994B)  
Archived (1996B)  
Epidemiology and Other Health Studies Financial  
Assistance Program, Reinstated (1999B)

## **81.109**

Financial Assistance Program\_Science Education  
and Technical Information (1994U)  
Archived (1997B)

## **81.110**

National Resource Center for Plutonium (1995B)

## Appendix VII: Historical Profile of Catalog Programs

Archived (2003B)	(2006)	Number changed to 19.400 (2000B)
<b>81.111</b> Alternative Fuel Transportation Program (1996B) Archived (1997B)	<b>81.124</b> PREDICTIVE SCIENCE ACADEMIC ALLIANCE PROGRAM (PSAAP) (2007) Predictive Science Academic Alliance Program (2008)	<b>82.002</b> Educational Exchange_University Lecturers (Professors) and Research Scholars Transferred from 19.102 (1978B) Number changed to 19.401 (2000B)
<b>81.112</b> Inertial Fusion Science_Support of Stockpile Stewardship (1997U) Stewardship Science Grant Program (1999B)	<b>81.126</b> Federal Loan Guarantees for Innovative Energy Technologies (2006)	<b>82.003</b> Private Sector Programs (1980B) Archived (1981B)
<b>81.113</b> Nonproliferation and National Security Research (1998B) Defense Nuclear Nonproliferation Research (2000B)	<b>81.127</b> Energy Efficient Appliance Rebate Program (EEARP) (2009)	<b>82.004</b> International Visitors Program (1998B) Number changed to 19.402 (2000B)
<b>81.114</b> University Nuclear Science and Reactor Support (1998B) Archived (2009)	<b>81.128</b> Energy Efficiency and Conservation Block Grant Program (EECBG) (2009)	<b>82.005</b> Near and Middle East Research and Training Act (NMERTA) (1997U) Foreign Language and Area Studies_U.S. Students and Scholars (1998B) Archived (1999B)
<b>81.116</b> Science and Engineering Training to Support Diversity- Related Programs (1998U) Deleted (2004)	<b>81.129</b> Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization (2009)	<b>82.006</b> American Council of Young Political Leaders (1999B) Number changed to 19.403 (2000B)
<b>81.117</b> Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (1999B)	<b>81.130</b> Carbon Capture and Storage-FutureGen 2.0 (2010)	<b>82.009</b> Professional Development_International Educators/Administrators (1997U) Number changed to 19.404 (2000B)
<b>81.118</b> Solar Energy Partnership Support and Barrier Elimination (1999B) Archived (2001B)	<b>81.131</b> Expand and Extend Clean Coal Power Initiative (2009)	<b>82.010</b> College and University Partnerships Program (1998U) Number changed to 19.405 (2000B)
<b>81.119</b> State Energy Program Special Projects (2000B)	<b>81.132</b> Geologic Sequestration Site Characterization (2009)	<b>82.011</b> College and University Affiliations Program (1998B) Number changed to 19.406 (2000B)
<b>81.120</b> Arms Control and Nonproliferations Policy Analysis (2001B) Rescinded (2003B) Deleted (2003)	<b>81.133</b> Geologic Sequestration Training and Research Grant Program (2009)	<b>82.012</b> Teacher Exchange_New Independent States (NIS) (1998B) Number changed to 19.407 (2000B)
<b>81.121</b> Nuclear Energy Research Initiative (2001U) Nuclear Energy Research, Development and Demonstration (2003B)	<b>81.134</b> Industrial Carbon Capture and Storage (CCS) Application (2009)	<b>82.013</b> Educational Exchange_Teachers from Secondary and Postsecondary Levels (1997U) Number changed to 19.408 (2000B)
<b>81.122</b> Electricity Delivery and Energy Reliability, Research, Development and Analysis (2005)	<b>81.135</b> Advanced Research and Projects Agency Energy Financial Assistance Program (2009)	<b>82.015</b> Creative Arts Grants (1998B) Number changed to 19.409 (2000B)
<b>81.123</b> National Nuclear Security Administration (NNSA) Historically Black Colleges and Universities (HBCU) Program (2005) National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program	<b>81.136</b> Long-Term Surveillance and Maintenance (2009)	<b>82.016</b> Educational Exchange_Congress-Bundestag Youth Exchange (1998B)
	<b>81.214</b> Environmental Monitoring/Cleanup, Cultural and Resource Mgmt., Emergency Response Research, Outreach, Technical Analysis (2010)	
	<b>UNITED STATES INFORMATION AGENCY</b>	
	<b>82.001</b> Educational Exchange_Graduate Students Transferred from 19.101 (1978B)	



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Number changed to 19.410 (2000B)

## **82.018**

Educational Exchange\_NIS Secondary School Initiative (1998B)

Number changed to 19.411 (2000B)

## **82.021**

Educational Exchange\_Faculty (1997U)

Archived (1998B)

## **82.026**

Educational Exchange\_Postgraduates and Faculty (1997U)

Number changed to 19.412 (2000B)

## **82.030**

Cultural Exchange (Performing Arts) (1998U)

Number changed to 19.413 (2000B)

## **82.032**

Cultural Exchange (1997U)

Cultural Exchange (Visual Arts) (1998U)

Number changed to 19.414 (2000B)

## **82.033**

Professional Exchange\_Annual Open Grant (1997U)

Number changed to 19.415 (2000B)

## **82.034**

Exchange\_English Teaching Fellows (1997U)

Number changed to 19.416 (2000B)

## **82.035**

Exchange\_English as a Foreign Language (EFL) Fellows (1997U)

Number changed to 19.417 (2000B)

## **82.038**

Educational Exchange\_American Studies Institutes (1997U)

Number changed to 19.418 (2000B)

## **FEDERAL EMERGENCY MANAGEMENT ADMINISTRATION**

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### **83.001**

Academy Planning Assistance (1975B)

Transferred from 11.700 (1979B)

Number changed to 83.404 (1982B)

### **83.002**

State Fire Incident Reporting Assistance (1977B)

Transferred from 11.701 (1979B)

Number changed to 83.407 (1983B)

### **83.003**

Public Education Assistance Program (1979B)

Archived (1983B)

### **83.004**

Technical Support Services (1980B)

Number changed to 83.408 (1983B)

### **83.005**

Arson Task Force Assistance Program (1980U1)

Archived (1983B)

### **83.006**

Student Stipend Program (1980U2)

Number changed to 83.405 (1982B)

### **83.007**

Reimbursement for Firefighting on Federal Property (1980U2)

Number changed to 83.409 (1983B)

Number changed from 83.409 (1989B)

Transferred to 97.016 (2003B)

### **83.008**

Community-Based Anti-Arson Program (1984U)

Number changed from 83.410 (1989B)

Archived (1996B)

### **83.009**

National Fire Academy\_Training Assistance

Number changed from 83.405 (1991B)

National Fire Academy Training Assistance (1993B)

Archived (1996B)

Reinstated (1996U)

Transferred to 97.018 (2003B)

### **83.010**

National Fire Academy Educational Program

Number changed from 83.411 (1991B)

Transferred to 97.019 (2003B)

### **83.011**

Hazardous Materials Training Program for Implementation of the Superfund Amendment and Reauthorization Act (SARA) of 1986 (1993B)

Transferred/Split into 83.552 (2000B)

Transferred to 97.020 (2003B)

### **83.012**

Hazardous Materials Exercise Assistance Program (1993B)

Hazardous Materials Assistance Program (1994B)

Consolidated into 83.534 (1996B)

Reinstated (2000B)

Transferred to 97.021 (2003B)

### **83.013**

National Fire Academy Fire Executive Fellowship Program (1994B)

Archived (1995B)

### **83.100**

Flood Insurance (1980B)

Transferred from 14.001 (1980B)

Transferred to 97.022 (2003B)

### **83.101**

Urban Property Insurance (1980B)

Transferred from 14.002 (1980B)

Archived (1984U)

### **83.102**

Crime Insurance (1980B)

Transferred from 14.003 (1980B)

Archived (1984U)

### **83.103**

State Assistance Program\_National Flood Insurance Program (1980U1)

Number changed to 83.501 (1982B)

### **83.104**

Acquisition of Flood-Damaged Structures (1981B)

Number changed to 83.502 (1982B)

Number changed from 83.502 (1990U)

Archived (1995B)

### **83.105**

Community Assistance Program\_State Support Services Element (CAP-SSSE) (1993B)

Transferred to 97.023 (2003B)

### **83.200**

Civil Defense\_State and Local Management (1980B)

Transferred from 12.315 (1980B)

Emergency Management Assistance (1980U2)

Number changed to 83.503 (1982B)

### **83.201**

Civil Defense\_State and Local Maintenance and Services (1980B)

Transferred from 12.319 (1980B)

State and Local Maintenance and Services (1980U2)

Number changed to 83.504 (1982B)

### **83.203**

State Disaster Preparedness Grants (1980B)

Transferred from 14.702 (1980B)

Number changed to 83.505 (1982B)

### **83.204**

Earthquake and Hurricane Loss Study and Contingency Planning Grants (1980B)

Number changed to 83.506 (1982B)

### **83.205**

Civil Defense\_Industrial Preparedness Planning (1980B)

Transferred from 12.309 (1980B)

Industrial Preparedness Planning (1980U2)

Number changed to 83.507 (1982B)

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<b>83.206</b> Civil Defense_Radiological Instrument Maintenance and Calibration (1980B) Transferred from 12.310 (1980B) Radiological Instruments Maintenance and Calibration (1980U2) Radiological Systems Maintenance (1981U) Number changed to 83.508 (1982B)	<b>83.402</b> Radiological Emergency Response_Training Assistance (1980B) Transferred from 77.002 (1980B) Emergency Management Institute Radiological Emergency Response_Training (1983U) Incorporated into 83.400 (1989U)	<b>83.412</b> Emergency Management Institute (EMI)_Home Study Program (1989U) Number changed to 83.529 (1991B)
<b>83.207</b> Civil Defense_National Shelter Survey (1980B) Transferred from 12.312 (1980B) National Shelter Survey (1980U2) Number changed to 83.509 (1982B)	<b>83.403</b> Training and Education Field Deployment (1981B) National Emergency Training Center_Field Training Program (1983U) Emergency Management Institute_Field Studies Program (1984U) Number changed to 83.528 (1991B)	<b>83.413</b> Emergency Management Institute (EMI)_Resident Educational Program (1989U) Number changed to 83.530 (1991B)
<b>83.208</b> Civil Defense_Radiation Shielding Design (1980B) Transferred from 12.316 (1980B) Radiation Shielding Design (1980U2) Number changed to 83.510 (1982B)	<b>83.404</b> Academy Planning Assistance (1982B) Number changed from 83.001 (1982B) Archived (1983B)	<b>83.500</b> General Research, Development, and Demonstration Activity (1981U) Archived (1984U)
<b>83.209</b> State Radiological Defense Officers (1981B) Number changed to 83.511 (1982B)	<b>83.405</b> Student Stipend Program (1982B) Number changed from 83.006 (1982B) National Fire Academy Student Stipend Program (1983U) Number changed to 83.009 (1991B)	<b>83.501</b> State Assistance Program (1982B) Number changed from 83.103 (1982B) Archived (1985U)
<b>83.210</b> State and Local Emergency Operating Centers (1981B) Number changed to 83.512 (1982B)	<b>83.406</b> Training and Fire Programs Educational Program (1983B) National Emergency Training Center_Training Program (1983U) Archived (1986B)	<b>83.502</b> Acquisition of Flood-Damaged Structures (1982B) Number changed to 83.104 (1990U)
<b>83.211</b> Civil Defense_State and Local Supporting Materials (1981B) Number changed to 83.513 (1982B)	<b>83.407</b> State Fire Incident Reporting Assistance (1977B) Number changed from 83.002 (1983B) Archived (1984U)	<b>83.503</b> Emergency Management Assistance (1982B) Number changed from 83.200 (1982B) Civil Defense_State and Local Emergency Mangement Assistance (1987B) Consolidated into 83.534 (1996B)
<b>83.212</b> Nuclear Civil Protection Planning (1981U) Number changed to 83.514 (1982B)	<b>83.408</b> Technical Support Services (1980B) Number changed from 83.004 (1983B) Archived (1984B)	<b>83.504</b> State and Local Maintenance and Services (1982B) Number changed from 83.201 (1982B) Other State and Local Direction, Control and Warning (1984U) Consolidated into 83.532 (1993B)
<b>83.300</b> Disaster Assistance (1980B) Transferred from 14.701 (1980B) Number changed to 83.516 (1982B)	<b>83.409</b> Reimbursement for Firefighting on Federal Property (1980U2) Number changed from 83.007 (1983B) Number changed to 83.007 (1989B)	<b>83.505</b> State Disaster Preparedness Grants (1982B) Number changed from 83.203 (1982B) Consolidated into 83.552 (2000B)
<b>83.400</b> Emergency Management Institute_Student Expense Program (1980B) Transferred from 12.314 (1980B) Emergency Management Institute_Training Assistance (1983U) Number changed to 83.527 (1991B)	<b>83.410</b> Community-Based Anti-Arson Program (1984U) Number changed to 83.008 (1989B)	<b>83.506</b> Earthquake and Hurricane Loss Study and Contingency Planning Grants (1982B) Number changed from 83.204 (1982B) Earthquake and Hurricane Preparedness Planning Grants (1983B) Earthquake and Hurricane Preparedness Grants (1984U) Archived (1988B)
<b>83.401</b> Emergency Management_Architect/Engineer Student Development (1980B) Transferred from 12.324 (1980B) Emergency Management Institute_Architect/Engineer Student Program (1983U) Incorporated into 83.525 (1990B)	<b>83.411</b> National Fire Academy Educational Program (1989U) Number changed to 83.010 (1991B)	<b>83.507</b> Industrial Preparedness Planning (1982B) Number changed from 83.205 (1982B) Archived (1983B)
		<b>83.508</b> Radiological Systems Maintenance (1982B)

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Number changed from 83.206 (1982B)  
Radiological Instrumentation (1984U)  
Archived (1988B)

## 83.509

National Shelter Survey (1982B)  
Number changed from 83.207 (1982B)  
Facility Survey, Engineering and Development (1984B)  
Archived (1993B)

## 83.510

Radiation Shielding Design (1982B)  
Number changed from 83.208 (1982B)  
Shelter Development (1983B)  
Facility Survey Development (1986B)  
Archived (1993B)

## 83.511

State Radiological Defense Officers (1982B)  
Number changed from 83.209 (1982B)  
Radiological Protection Program (1985B)  
Radiological Protection Planning and Development (1986B)  
Radiological Defense Planning and Development (1987U)  
Archived (1988B)

## 83.512

State and local Emergency Operating Centers (1982B)  
Number changed from 83.210 (1982B)  
Consolidated into 83.532 (1993B)

## 83.513

State and Local Supporting Materials (1982B)  
Number changed from 83.211 (1982B)  
State and Local Warning and Communication Systems (1983B)  
Consolidated into 83.532 (1993B)

## 83.514

Nuclear Civil Protection Planning (1982B)  
Number changed from 83.212 (1982B)  
Population Protection Planning (1983B)  
Consolidated into 83.531 (1993B)

## 83.515

Broadcast Station Protection Program (1982B)  
Emergency Broadcast System Guidance and Assistance (1983B)  
Consolidated into 83.532 (1993B)

## 83.516

Disaster Assistance (1982B)  
Number changed from 83.300 (1982B)  
Split into 83.537, 83.538, 83.539, 83.540, 83.541, 83.542, 83.543, 83.544, 83.545, 83.548 (1997U)

## 83.517

Electromagnetic Pulse (EMP) Technical Support (1983B)  
Consolidated into 83.532 (1993B)

## 83.518

Emergency Public Information Competitive Challenge Grants (1984U)  
Archived (1988B)

## 83.519

Hazard Mitigation Assistance (1985U)  
Archived (1995B)

## 83.520

Hurricane Preparedness Grants (1988B)  
Hurricane Program (1994B)  
Consolidated into 83.535 (1997U)

## 83.521

Earthquake Hazards Reduction Grants (1988B)  
Consolidated into 83.535 (1997U)

## 83.522

Radiological Defense (1988B)  
Consolidated into 83.531 (1993B)

## 83.523

Federal Emergency Management Food and Shelter Program (1989B)  
Emergency Food and Shelter National Board Program (1996U)  
Transferred to 97.024 (2003B)

## 83.524

Superfund Permanent Relocation Assistance Program (1989U)  
Archived (1992U)

## 83.525

Shelter Survey Technician Program\_Job Qualification Training (1990B)  
Archived (1993B)

## 83.526

National Urban Search and Rescue (US&R) Program (1991B)  
National Urban Search and Rescue (US&R) Response System (1995B)  
Transferred to 97.025 (2003B)

## 83.527

Emergency Management Institute\_Training Assistance  
Number changed from 83.400 (1991B)  
Transferred to 97.026 (2003B)

## 83.528

Emergency Management Institute\_Field Training Program  
Number changed from 83.403 (1991B)

Consolidated into 83.534 (1996B)

## 83.529

Emergency Management Institute (EMI)\_Home Study Program  
Number changed from 83.412 (1991B)  
Emergency Management Institute (EMI)\_Independent Study Program (1993U)  
Transferred to 97.027 (2003B)

## 83.530

Emergency Management Institute (EMI)\_Resident Educational Program  
Number changed from 83.413 (1991B)  
Transferred to 97.028 (2003B)

## 83.531

State and Local Emergency Management Assistance\_Other Assistance  
Consolidated from 83.514, 83.522 (1993B)  
Consolidated into 83.534 (1996B)

## 83.532

Facilities and Equipment  
Consolidated from 83.504, 83.512, 83.513, 83.515, 83.517 (1993B)  
Consolidated into 83.534 (1996B)

## 83.533

COOPs for Digitization of Flood Maps (1995B)  
Archived (1996B)

## 83.534

Emergency Management\_State and Local Assistance  
Consolidated from 83.012, 83.503, 83.528, 83.531, 83.532 (1996B)  
Consolidated into 83.552 (2000B)

## 83.535

Mitigation Assistance  
Consolidated from 83.520, 83.521 (1997U)  
Consolidated into 83.552 (2000B)

## 83.536

Flood Mitigation Assistance (1997U)  
Transferred to 97.029 (2003B)

## 83.537

Community Disaster Loans  
Incorporated from 83.516 (1997U)  
Transferred to 97.030 (2003B)

## 83.538

Cora Brown Fund  
Incorporated from 83.516 (1997U)  
Transferred to 97.031 (2003B)

## 83.539

Crisis Counseling

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Incorporated from 83.516 (1997U)  
Transferred to 97.032 (2003B)

**83.540**  
Disaster Legal Services  
Incorporated from 83.516 (1997U)  
Transferred to 97.033 (2003B)

**83.541**  
Disaster Unemployment Assistance  
Incorporated from 83.516 (1997U)  
Transferred to 97.034 (2003B)

**83.542**  
Fire Suppression Assistance  
Incorporated from 83.516 (1997U)  
Transferred to 83.55 (2002B)

**83.543**  
Individual and Family Grants  
Incorporated from 83.516 (1997U)  
Transferred to 97.035 (2003B)

**83.544**  
Public Assistance Grants  
Incorporated from 83.516 (1997U)  
Transferred to 97.036 (2003B)

**83.545**  
Disaster Housing Program  
Incorporated from 83.516 (1997U)  
Transferred to 97.037 (2003B)

**83.546**  
National Arson Prevention Initiative (1997U)  
Archived (1998U)

**83.547**  
First Responder Anti-Terrorism Training Assistance (1997U)  
First Responder Counter-Terrorism Training Assistance (1999B)  
Transferred to 97.038 (2003B)

**83.548**  
Hazard Mitigation Grant  
Incorporated from 83.516 (1997U)  
Transferred to 97.039 (2003B)

**83.549**  
Chemical Stockpile Emergency Preparedness Program (1998U)  
Transferred to 97.040 (2003B)

**83.550**  
National Dam Safety Program (1998U)  
Transferred to 97.041 (2003B)

**83.551**  
Project Impact\_Building Disaster Resistant

Communities (1998U)  
Archived (2002B)

**83.552**  
Emergency Management Performance Grants (1999U)  
Consolidated from 83.011, 83.505, 83.534, 83.535 (2000B)  
Transferred to 97.042 (2003B)

**83.553**  
State Fire Training Systems Grants (2001B)  
Transferred to 97.043 (2003B)

**83.554**  
Assistance to Firefighters Grant (2002B)  
Transferred to 97.044 (2003B)

**83.555**  
Cooperating Technical Partners (2002B)  
Transferred to 97.045 (2003B)

**83.556**  
Fire Management Assistance Grant (2002B)  
Transferred to 97.046 (2003B)

**83.557**  
Pre-Disaster Mitigation (2002B)  
Transferred to 97.047 (2003B)

**83.558**  
Federal Assistance to Individuals and Households\_Housing (2002B)  
Transferred to 97.048 (2003B)

**83.559**  
Federal Assistance to Individuals and Households\_Disaster Housing Operations (2002B)  
Transferred to 97.049 (2003B)

**83.560**  
Federal Assistance to Individuals and Households\_Other Needs (2002B)  
Transferred to 97.050 (2003B)

**83.562**  
State and Local All Hazards Emergency Operations Planning (2000B)  
Transferred to 97.051 (2003B)

**83.563**  
Emergency Operations Centers (2000B)  
Transferred to 97.052 (2003B)

**83.564**  
Citizen Corps (2000B)  
Transferred to 97.053 (2003B)

**83.565**  
Community Emergency Response Teams (2000B)

Transferred to 97.054 (2003B)

**83.566**  
Interoperable Communications Equipment (2000B)  
Transferred to 97.055 (2003B)

## DEPARTMENT OF EDUCATION

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**84.001**  
Academic Facilities Reconstruction and Renovation for Removal of Architectural Barriers (1980U1)  
Archived (1981U)

**84.002**  
Adult Education\_State-Administered Program (1980U1)  
Transferred from 13.400 (1980U1)  
Adult Education\_State Administered Basic Grant Program (1988U)  
Adult Education\_State Grant Program (1995U)  
Adult Education - Basic Grants to States (2008)

**84.003**  
Bilingual Education (1980U1)  
Transferred from 13.403 (1980U1)  
Archived (1998B)

**84.004**  
Civil Rights Technical Assistance and Training (1980U1)  
Transferred from 13.405 (1980U1)  
Desegregation Assistance, Civil Rights Training, and Advisory Services (1989U)  
Civil Rights Training and Advisory Services (1997B)

**84.005**  
College Library Resources (1980U1)  
Transferred from 13.406 (1980U1)  
Archived (1985B)

**84.006**  
Teacher Centers (1980U1)  
Transferred from 13.416 (1980U1)  
Archived (1982B)

**84.007**  
Supplemental Educational Opportunity Grants (1980U1)  
Transferred from 13.418 (1980U1)  
Federal Supplemental Education Opportunity Grants (1992U)

**84.008**  
Alcohol and Drug Abuse Education Program (1980U1)  
Transferred from 13.420 (1980U1)  
Archived (1982B)  
Reinstated (1983U)  
Alcohol and Drug Abuse Education (1983U)  
Archived (1987B)

# Appendix VII: Historical Profile of Catalog Programs

<b>84.009</b> Program for Education of Handicapped Children in State Operated or Supported Schools (1980U1) Transferred from 13.427 (1980U1) Education of Handicapped Children in State Operated or Supported Schools (1990U) Education of Children with Disabilities in State Operated or Supported Schools (1994B) Archived (1995U)	Area (1980U1) Transferred from 13.434 (1980U1) National Resource Centers and Fellowships in International Studies (1981B) National Resource Centers and Fellowships Program for Language and Area or Language and International Studies (1983B) National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (2008)	Abroad (1980U1) Transferred from 13.440 (1980U1) International: Overseas_Group Projects Abroad (1994U) Overseas_Group Projects Abroad (2003B) Overseas Programs - Group Projects Abroad (2008)
<b>84.010</b> Educationally Deprived Children_Local Educational Agencies (1980U1) Transferred from 13.428 (1980U1) Chapter 1 Programs_Local Educational Agencies (1990U) Chapter 1 Grants to Local Educational Agencies (1994U) Title I Grants to Local Educational Agencies (1995B)	<b>84.016</b> International Studies Programs (1980U1) Transferred from 13.435 (1980U1) International Studies Program (1981B) Undergraduate International Studies and Foreign Language Programs (1981U)	<b>84.022</b> Fulbright-Hays Training Grants_Doctoral Dissertation Research Abroad (1980U1) Transferred from 13.441 (1980U1) International: Overseas_Doctoral Dissertation (1994U) Overseas_Doctoral Dissertation (2003B) Overseas Programs - Doctoral Dissertation Research Abroad (2008)
<b>84.011</b> Educationally Deprived Children_Migrants (1980U1) Transferred from 13.429 (1980U1) Migrant Education Program_State Formula Grant Program (1980U2) Migrant Education_Basic State Formula Grant Program (1981U) Migrant Education_Basic State Grant Program (1994U) Migrant Education_State Grant Program (2002B)	<b>84.017</b> Foreign Language and Area Studies_Research (1980U1) Transferred from 13.436 (1980U1) International Research and Studies (1981B)	<b>84.023</b> Handicapped_Research and Demonstration (1980U1) Transferred from 13.443 (1980U1) Research in the Education of the Handicapped (1981B) Handicapped_Research and Demonstration (1981U) Handicapped_Innovation and Development (1985B) Disabled_Innovation and Development (1991B) Special Education_Innovation and Development (1993B) Archived (1998B)
<b>84.012</b> Educationally Deprived Children_State Administration (1980U1) Transferred from 13.430 (1980U1) Archived (1995U)	<b>84.018</b> Teacher Exchange (1980U1) Transferred from 13.437 (1980U1) Summer Seminars Aboard (1984U) Fulbright-Hays Training Grants_Seminars Abroad (1986B) Fulbright-Hays Seminar Abroad_Special Bilateral Projects (1986U) Fulbright-Hays Seminars Abroad_Bilateral Projects (1989U) International: Overseas Seminars Abroad_Bilateral Projects (1994U) Overseas Seminars Abroad_Bilateral Projects (2003B) Overseas Programs_Special Bilateral Projects (2004)	<b>84.024</b> Handicapped Early Childhood Assistance (1980U1) Transferred from 13.444 (1980U1) Handicapped Early Childhood Education (1985B) Early Education for Children with Disabilities (1991B) Archived (1998B)
<b>84.013</b> Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children (1980U1) Transferred from 13.431 (1980U1) Neglected and Delinquent Children (1984B) Chapter 1 Program for Neglected and Delinquent Children (1990U) Title I Program for Neglected and Delinquent Children (1995B) Title I State Agency Program for Neglected and Delinquent Children (2010) Title I State Agency Program for Neglected and Delinquent Children and Youth (2011)	<b>84.019</b> Fulbright-Hays Training Grants_Faculty Research Abroad (1980U1) Transferred from 13.438 (1980U1) International: Overseas_Faculty Research Abroad (1994U) Overseas_Faculty Research Abroad (2003B) Overseas Programs - Faculty Research Abroad (2008)	<b>84.025</b> Handicapped Innovative Programs_Deaf-Blind Centers (1980U1) Transferred from 13.445 (1980U1) Handicapped Innovative Programs_Deaf-Blind (1984B) Deaf-Blind Centers (1985B) Handicapped Education_Deaf-Blind Centers (1987U) Services for Deaf-Blind Children and Youth (1991B) Services for Children with Deaf-Blindness (1992B) Archived (1998B)
<b>84.014</b> Follow Through (1980U1) Transferred from 13.433 (1980U1) Archived (1995U)	<b>84.020</b> Fulbright-Hays Training Grants_Foreign Curriculum Consultants (1980U1) Transferred from 13.439 (1980U1) Archived (1988U)	<b>84.026</b> Handicapped Media Services and Captioned Films (1980U1) Transferred from 13.446 (1980U1) Media and Captioning for Individuals with Disabilities (1991B)
<b>84.015</b> International Studies Centers and Foreign Language	<b>84.021</b> Fulbright-Hays Training Grants_Group Projects	

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Media and Captioning Services for Individuals with Disabilities (1994B)  
Archived (1998B)

## 84.027

Handicapped Preschool and School Programs (1980U1)  
Transferred from 13.449 (1980U1)  
Handicapped\_State Grants (1985U)  
Special Education\_State Grants (1991B)  
Special Education\_Grants to States (1994U)

## 84.028

Handicapped Regional Resource Centers (1980U1)  
Transferred from 13.450 (1980U1)  
Handicapped Regional Resource and Federal Centers (1987U)  
Disabled\_Regional Resource and Federal Centers (1991B)  
Special Education\_Regional Resource and Federal Centers (1993B)  
Special Education Resource Centers (1994B)  
Special Education\_Regional Resource Centers (1994B)  
Archived (1998B)

## 84.029

Handicapped Personnel Preparation (1980U1)  
Transferred from 13.451 (1980U1)  
Training Personnel for the Education of the Handicapped (1983B)  
Special Education Personnel Development (1985B)  
Handicapped Education\_Special Education Personnel Development (1987U)  
Special Education\_Special Education Personnel Development (1991B)  
Special Education\_Special Education Personnel Development and Parent Training (1992B)  
Special Education Personnel Development and Parent Training (1994B)  
Special Education\_Personnel Development and Parent Training (1994B)  
Archived (1998B)

## 84.030

Handicapped Teacher Recruitment and Information (1980U1)  
Transferred from 13.452 (1980U1)  
Handicapped Teacher Recruitment and Information Dissemination (1984B)  
Handicapped Teacher Recruitment and Information (1985B)  
Clearinghouses for the Handicapped Program (1987U)  
Clearinghouses for the Disabled (1991B)  
Clearinghouses for Individuals with Disabilities (1992B)  
Archived (1998B)

## 84.031

Higher Education\_Strengthening Developing Institutions (1980U1)  
Transferred from 13.454 (1980U1)  
Higher Education\_Institution Aid (1985B)

## 84.032

Higher Education Act Insured Loans (1980U1)  
Transferred from 13.460 (1980U1)  
Guaranteed Student Loans (1989B)  
Federal Family Education Loans (1993U)

## 84.033

College Work-Study Program (1980U1)  
Transferred from 13.463 (1980U1)  
Federal Work-Study Program (1992U)

## 84.034

Public Library Services (1980U1)  
Transferred from 13.464 (1980U1)  
Library Services (1985U)  
Public Library Services (1990U)  
Archived (1997B)

## 84.035

Interlibrary Cooperation (1980U1)  
Transferred from 13.465 (1980U1)  
Interlibrary Cooperation and Resource Sharing (1986U)  
Interlibrary Cooperation (1990U)  
Interlibrary Cooperation and Resource Sharing (1991B)  
Archived (1997B)

## 84.036

Library Training (1980U1)  
Transferred from 13.468 (1980U1)  
Library Career Training (1981U)  
Library Education and Human Resource Development (1992U)  
Library Education and Training (1993U)  
Archived (1997B)

## 84.037

National Defense/Direct Student Loan Cancellations (1980U1)  
Transferred from 13.470 (1980U1)  
National Defense/National Direct/Perkins Loan Cancellations (1988B)  
National Defense/National Direct/Federal Perkins Loan Cancellations (1992U)  
Federal Perkins Loan Cancellations (1994B)  
Loan Cancellations (2001B)  
Perkins Loan Cancellations (2003B)

## 84.038

National Defense/Direct Student Loans (1980U1)  
Transferred from 13.471 (1980U1)  
Perkins Loans (1987B)  
Perkins Loan Program (1990B)  
Perkins Loan Program\_Federal Capital

Contributions (1990U)  
Federal Perkins Loan Program\_Federal Capital Contributions (1992U)  
Archived (2010)

## 84.039

Library Research and Demonstration (1980U1)  
Transferred from 13.475 (1980U1)  
Archived (1997B)

## 84.040

School Assistance in Federally Affected Areas\_Construction (1980U1)  
Transferred from 13.477 (1980U1)  
Impact Aid\_Construction (1987U)  
Impact Aid\_Facilities Maintenance (1995U)

## 84.041

School Assistance in Federally Affected Areas\_Maintenance and Operation (1980U1)  
Transferred from 13.478 (1980U1)  
Impact Aid\_Maintenance and Operation (1987U)  
Impact Aid\_Maintenance and Operations (1990U)  
Impact Aid (1995U)

## 84.042

Special Services for Disadvantaged Students (1980U1)  
Transferred from 13.482 (1980U1)  
Student Support Services (1987B)  
TRIO\_Student Support Services (1995U)

## 84.043

Strengthening State Educational Agency Management (1980U1)  
Transferred from 13.486 (1980U1)  
Archived (1982B)

## 84.044

Talent Search (1980U1)  
Transferred from 13.488 (1980U1)  
TRIO\_Talent Search (1995U)

## 84.045

Teacher Corps\_Operations and Training (1980U1)  
Transferred from 13.489 (1980U1)  
Archived (1982B)

## 84.046

Community Service and Continuing Education\_State Grants (1980U1)  
Transferred from 13.491 (1980U1)  
Continuing Education Outreach\_State Administered Program (1981B)  
Archived (1983B)

## 84.047

Upward Bound (1980U1)  
Transferred from 13.492 (1980U1)  
TRIO\_Upward Bound (1995U)

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<b>84.048</b> Vocational Education_Basic Grants to States (1980U1) Transferred from 13.493 (1980U1) Career and Technical Education -- Basic Grants to States (2008)	Transferred from 13.525 (1980U1) Archived (1982B)	Higher Education_Veterans Education Outreach Program (1987B) Archived (1994B)
<b>84.049</b> Vocational Education_Consumer and Homemaking Education (1980U1) Transferred from 13.494 (1980U1) Vocational Education_Consumer and Homemaker Education (1985B) Archived (1996B)	<b>84.057</b> Emergency School Aid Act_Grants to Nonprofit Organizations (1980U1) Transferred from 13.529 (1980U1) Archived (1982B)	<b>84.065</b> Educational Television and Radio (Programming) (1980U1) Transferred from 13.541 (1980U1) Educational Television and Radio Programming (1981B) Archived (1983B)
<b>84.050</b> Vocational Education_Program Improvement and Supportive Service (1980U1) Transferred from 13.495 (1980U1) Archived (1985B)	<b>84.058</b> Emergency School Aid Act_Educational Television and Radio (1980U1) Transferred from 13.530 (1980U1) Archived (1982B)	<b>84.066</b> Educational Opportunity Centers (1980U1) Transferred from 13.543 (1980U1) TRIO_Educational Opportunity Centers (1995U)
<b>84.051</b> Vocational Education_Program Improvement Projects (1980U1) Transferred from 13.498 (1980U1) National Vocational Education Research (1985B) Vocational Education_National Centers for career and Technical Education (2002B) Vocational Education_National Programs (2004) Career and Technical Education -- National Programs (2008)	<b>84.059</b> Emergency School Aid Act_Special Programs and Projects (1980U1) Transferred from 13.532 (1980U1) Split/Incorporated into 84.106, 84.107, 84.108, 84.109, 84.110 (1981B)	<b>84.067</b> Use of Technology in Basic Skills Instruction (1980U1) Transferred from 13.544 (1980U1) Archived (1983B)
<b>84.052</b> Vocational Education_Special Programs for the Disadvantaged (1980U1) Transferred from 13.499 (1980U1) Archived (1985B)	<b>84.060</b> Development Awards Program_Indian Education_Local Educational Agencies and Tribal Schools (1980U1) Transferred from 13.534 (1980U1) Indian Education_Entitlement Grants to Local Educational Agencies and Tribal Schools (1981U) Indian Education_Formula Grants to Local Educational Agencies and Tribal Schools (1984U) Indian Education_Formula Grants to Local Educational Agencies (1988U) Indian Education_Grants to Local Educational Agencies (1994U)	<b>84.068</b> Indochina Refugee Children Assistance (1980U1) Transferred from 13.545 (1980U1) Archived (1982B)
<b>84.053</b> Vocational Education_State Advisory Councils (1980U1) Transferred from 13.500 (1980U1) Vocational Education_State Councils (1985B) Archived (1997B)	<b>84.061</b> Indian Education_Special Programs and Projects (1980U1) Transferred from 13.535 (1980U1) Archived (1995U)	<b>84.069</b> Grants to States for State Student Incentives (1980U1) Transferred from 13.548 (1980U1) State Student Incentives Grants (1994U) Leveraging Educational Assistance Partnership (1999B)
<b>84.054</b> Vocational Education_Leadership Development Awards Program (1980U1) Transferred from 13.503 (1980U1) Archived (1981B)	<b>84.062</b> Indian Education_Adult Indian Education (1980U1) Transferred from 13.536 (1980U1) Indian Education_Adult Education (1990U) Archived (1997B)	<b>84.070</b> Ethnic Heritage Studies Program (1980U1) Transferred from 13.549 (1980U1) Archived (1982B)
<b>84.055</b> Higher Education_Cooperative Education (1980U1) Transferred from 13.510 (1980U1) Archived (1997B)	<b>84.063</b> Basic Educational Opportunity Grant Program (1980U1) Transferred from 13.539 (1980U1) Pell Grant Program (1981B) Federal Pell Grant Program (1992U)	<b>84.071</b> State Postsecondary Education Commissions Program_Intrastate Planning (1980U1) Transferred from 13.550 (1980U1) Incorporated into 84.046 (1981B)
<b>84.056</b> Emergency School Aid Act_Basic Grants to Local Educational Agencies (1980U1)	<b>84.064</b> Higher Education_Veterans' Cost of Instruction Program (1980U1) Transferred from 13.540 (1980U1)	<b>84.072</b> Indian Education_Grants to Indian-Controlled Schools (1980U1) Transferred from 13.551 (1980U1) Archived (1996B)

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<b>84.074</b> Career Education (1980U1) Transferred from 13.554 (1980U1) Archived (1982B)	Women's Educational Equity Program (2010)	Transferred from 13.577 (1980U1) Archived (1981B)
<b>84.075</b> Public Service Education_Institutional Grants and Fellowships (1980U1) Transferred from 13.555 (1980U1) Incorporated into 84.094 (1981B)	<b>84.084</b> Elementary and Secondary School Education in the Arts (1980U1) Transferred from 13.566 (1980U1) Archived (1982B)	<b>84.093</b> Emergency Adult Education Program for Indochina Refugees (1980U1) Transferred from 13.579 (1980U1) Archived (1982B)
<b>84.076</b> Community Service and Continuing Education_Special Projects (1980U1) Transferred from 13.557 (1980U1) Archived (1980U2)	<b>84.085</b> Domestic Mining and Mineral and Mineral Fuel Conservation Fellow (1980U1) Transferred from 13.567 (1980U1) Incorporated into 84.094 (1981B)	<b>84.094</b> Graduate and Professional Opportunities (1980U1) Transferred from 13.580 (1980U1) Graduate and Professional Study (1981B) Patricia Roberts Harris Fellowships (1987B) Harris Fellowships (1993U) Archived (1997B)
<b>84.077</b> Bilingual Vocational Training (1980U1) Transferred from 13.558 (1980U1) Archived (1996B)	<b>84.086</b> Innovative Programs for Severely Handicapped Children (1980U1) Transferred from 13.568 (1980U1) Handicapped Education_Severely Handicapped Program (1987U) Special Education_Severely Disabled Program (1991B) Special Education_Program for Severely Disabled Children (1994U) Archived (1998B)	<b>84.095</b> Citizen Educational for Cultural Understanding Program (1980U1) Transferred from 13.581 (1980U1) International Understanding Program (1981B) Archived (1982B)
<b>84.078</b> Regional Education Programs for Deaf and Other Handicapped Persons (1980U1) Transferred from 13.560 (1980U1) Postsecondary Education Programs for Handicapped Persons (1984B) Postsecondary Education Programs for Persons with Disabilities (1991B) Special Education_Postsecondary Education Programs for Persons with Disabilities (1994U) Archived (1998B)	<b>84.087</b> Indian Education_Fellowships for Indian Students (1980U1) Transferred from 13.569 (1980U1) Archived (1997B)	<b>84.096</b> Incentive Grants for State Student Financial Assistance Training (1980U1) Transferred from 13.582 (1980U1) Archived (1981U)
<b>84.079</b> Education for the Use of the Metric System of Measurement (1980U1) Transferred from 13.561 (1980U1) Archived (1982B)	<b>84.088</b> Instructional Materials and School Library Resources (1980U1) Transferred from 13.570 (1980U1) Archived (1982B)	<b>84.097</b> Law School Clinical Experience Program (1980U1) Transferred from 13.584 (1980U1) Archived (1997B)
<b>84.080</b> Education for Gifted and Talented Children and Youth (1980U1) Transferred from 13.562 (1980U1) Archived (1982B)	<b>84.089</b> Improvement in Local Educational Practice (1980U1) Transferred from 13.571 (1980U1) Archived (1982B)	<b>84.098</b> Educational Information Centers (1980U1) Transferred from 13.585 (1980U1) Incorporated into 84.046 (1981B)
<b>84.081</b> Community Education (1980U1) Transferred from 13.563 (1980U1) Archived (1982B)	<b>84.090</b> Health Education Assistance Loans (1980U1) Transferred from 13.574 (1980U1) Transferred to 13.108 (1981B)	<b>84.099</b> Bilingual Vocational Instructor Training (1980U1) Transferred from 13.586 (1980U1) Archived (1996B)
<b>84.082</b> Consumers' Education (1980U1) Transferred from 13.564 (1980U1) Archived (1982B)	<b>84.091</b> Strengthening Research Library Resources (1980U1) Transferred from 13.576 (1980U1) Improving Access to Research Library Resources (1992U) Archived (1996B)	<b>84.100</b> Bilingual Vocational Instructional Materials, Methods, and Techniques (1980U1) Transferred from 13.587 (1980U1) Bilingual Vocational Materials, Methods, and Techniques (1985B) Archived (1996B)
<b>84.083</b> Women's Educational Equity (1980U1) Transferred from 13.565 (1980U1) Women's Educational Equity Act Program (1994U)	<b>84.092</b> Guidance, Counseling, and Testing in Elementary/Secondary Schools (1980U1)	<b>84.101</b> Vocational Education_Program for Indian Tribes and Indian Organizations (1980U1) Transferred from 13.588 (1980U1) Vocational Education_Indian and Hawaiian Natives (1985B) Vocational Education_Indians (1992U)



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Vocational Education\_Indians Set-aside (1994U)  
Career and Technical Education - Indian Set-aside (2008)  
Career and Technical Education - Grants to Native Americans and Alaska Natives (2010)

**84.102**  
Emergency School Aid Act\_Magnet Schools, University/Business Cooperation and Neutral Site Planning (1980U1)  
Transferred from 13.589 (1980U1)  
Archived (1982B)

**84.103**  
Training for Special Programs Staff and Leadership Personnel (1980U1)  
Transferred from 13.592 (1980U1)  
Training Program for Federal TRIO Programs (1993B)  
Higher Education\_TRIO Staff Training Program (1994U)  
TRIO Staff Training Program (2005)  
TRIO Staff Training Program (2005)

**84.104**  
Career Education State Allotment Program (1980U1)  
Transferred from 13.596 (1980U1)  
Archived (1982B)

**84.105**  
Basic Skills Improvements (1980U1)  
Transferred from 13.599 (1980U1)  
Basic Skills Improvement (1981B)  
Archived (1982B)

**84.106**  
Emergency School Aid Act\_Planning Grants (1980U1)  
Transferred from 13.685 (1980U1)  
Archived (1982B)

**84.107**  
Emergency School Aid Act\_Pre-Implementation Assistance Grants (1980U1)  
Transferred from 13.686 (1980U1)  
Archived (1982B)

**84.108**  
Emergency School Aid Act\_Out-of-Cycle Grants (1980U1)  
Transferred from 13.687 (1980U1)  
Archived (1982B)

**84.109**  
Emergency School Aid Act\_Special Discretionary Assistance Grants (1980U1)  
Transferred from 13.688 (1980U1)  
Archived (1982B)

**84.110**  
Emergency School Aid Act\_State Agency Grants (1980U1)  
Transferred from 13.689 (1980U1)  
Archived (1982B)

**84.111**  
Emergency School Aid Act\_Grants for the Arts (1980U1)  
Transferred from 13.690 (1980U1)  
Archived (1982B)

**84.112**  
Biomedical Sciences for Talented Disadvantaged Secondary Students (1980U1)  
Transferred from 13.691 (1980U1)  
Archived (1982B)

**84.113**  
Adult Education Program for Adult Immigrants (1980U1)  
Transferred from 13.692 (1980U1)  
Archived (1982B)

**84.114**  
Capacity Building for Statistical Activities (1980U1)  
Transferred from 13.922 (1980U1)  
Capacity-Building Grants for Data Systems in State Agencies (1981U)  
Archived (1982B)

**84.115**  
Institute of Museum Services (1980U1)  
Transferred from 13.923 (1980U1)  
Transferred to 45.301 (1982B)

**84.116**  
Fund for the Improvement of Postsecondary Education (1980U1)  
Transferred from 13.925 (1980U1)

**84.117**  
Educational Research and Development (1980U1)  
Transferred from 13.950 (1980U1)  
Archived (1996B)

**84.118**  
National Adult Education Development and Dissemination Program and Planning Grants (1980U1)  
Archived (1981B)

**84.119**  
Pre-College Teacher Development In Science Program (1980U1)  
Archived (1982B)

**84.120**  
Minority Institutions Science Improvement

Program (1980U1)  
Minority Science Improvement (1987B)  
Minority Science and Engineering Improvement (1999B)

**84.121**  
Vocational Education\_State Planning and Evaluation (1980U1)  
Archived (1985B)

**84.122**  
Secretary's Discretionary Program (1980U1)  
Archived (1982B)  
Reinstated (1983U)  
Secretary's Discretionary (1983U)  
Archived (1990B)

**84.123**  
Law-Related Education (1980U1)  
Archived (1982B)  
Reinstated (1983U)  
Instruction in Civics, Government, and Law (1995B)  
Archived (1997B)

**84.124**  
Territorial Teacher Training Assistance Program (1980U1)  
Archived (1995U)

**84.125**  
Office for Handicapped Individuals (1980U1)  
Transferred from 13.603 (1980U1)  
Office of Information and Resources for the Handicapped (1980U2)  
Clearinghouse on the Handicapped (1981U)  
Clearinghouse on Disability Information (1989B)  
Archived (1996B)

**84.126**  
Rehabilitation Services\_Basic Support (1980U1)  
Transferred from 13.624 (1980U1)  
Rehabilitation Services\_Vocational Rehabilitation of State Grants (1994B)  
Rehabilitation Services\_Vocational Rehabilitation Grants to States (1994U)

**84.127**  
Vocational Rehabilitation Services for Social Security Disability Beneficiaries (1980U1)  
Transferred from 13.625 (1980U1)  
Archived (1981B)

**84.128**  
Rehabilitation Services\_Special Projects (1980U1)  
Transferred from 13.626 (1980U1)  
Rehabilitation Services\_Service Projects (1984B)

**84.129**  
Rehabilitation Training (1980U1)

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Transferred from 13.629 (1980U1)  
Rehabilitation Long-Term Training (1993U)

**84.130**  
Rehabilitation Services\_Innovation and Expansion (1980U1)  
Transferred from 13.649 (1980U1)  
Archived (1981U)

**84.131**  
Vocational Rehabilitation Services for Supplemental Security Income Beneficiaries (1980U1)  
Transferred from 13.651 (1980U1)  
Archived (1981B)

**84.132**  
Centers for Independent Living (1980U1)  
Transferred from 13.653 (1980U1)

**84.133**  
National Institute of Handicapped Research (1980U1)  
Transferred from 13.654 (1980U1)  
National Institute on Disability and Rehabilitation Research (1987B)

**84.134**  
Telecommunications Demonstrations for Health, Education and Other Social Services (1980U1)  
Transferred from 13.680 (1980U1)  
Archived (1981U)

**84.135**  
Aid to Land-Grant Colleges (1980U2)  
Transferred to 10.003 (1983U)

**84.136**  
Legal Training for the Disadvantaged (1980U2)  
Archived (1997B)

**84.138**  
Educational Services to Cuban and Haitian Entrant Children (1980U2)  
Archived (1981U)

**84.139**  
Cities in Schools (1980U2)  
Archived (1982B)

**84.140**  
Push for Excellence (1980U2)  
Archived (1982B)

**84.141**  
High School Equivalency and College Assistance Migrant Program (1980U2)  
Split into 84.141, 84.149 (1981B)  
Migrant Education Program\_Part A\_High School Equivalency Program (1981B)

Migrant Education\_High School Equivalency Program (1981U)

**84.142**  
Housing for Educational Institutions (1980U2)  
Housing and Other Educational Facilities Loans (1987B)  
College Housing and other Educational Facilities Loans (1989B)  
College Facilities Loans (1990B)  
College Housing and Academic Facilities Loans (1991B)  
Archived (1998B)

**84.143**  
Emergency School Aid Act\_Evaluation Contracts (1980U2)  
Archived (1983B)

**84.144**  
Migrant Education\_Discretionary Interstate/Intrastate Coordination Program (1980U2)  
Migrant Education Program\_Discretionary Interstate and Intrastate Coordination (1981B)  
Migrant Education\_Interstate and Intrastate Coordination Program (1981U)  
Migrant Education\_Coordination Program (1990B)

**84.145**  
Federal Real Property Assistance Program (1980U2)

**84.146**  
Transition Program for Refugee Children (1981B)  
Archived (1991B)

**84.148**  
Allen J. Ellender Fellowship Program (1981B)  
Archived (1988B)

**84.149**  
Migrant Education Program\_Part B\_College Assistance Program (1981B)  
Split from 84.141 (1981B)  
Migrant Education\_College Assistance Migrant Program (1981U)

**84.151**  
Education Consolidation and Improvement Programs\_Chapter 2 (1982B)  
Improving Schools Programs\_State Block Grants (1983B)  
Federal, State, and Local Partnerships for Educational Improvement (1988U)  
Chapter 2\_State Block Grants (1994U)  
Archived (1995U)

**84.152**  
Neglected or Delinquent Transition Services (1982B)

Archived (1984B)

**84.153**  
Business and International Education (1983B)  
International Business Education (2000B)  
Business and International Education Projects (2001B)

**84.154**  
Library Services and Construction Act\_Construction (1983B)  
Public Library Construction (1985U)  
Public Library Construction and Technology Enhancement (1991B)  
Archived (1997B)

**84.155**  
Removal of Architectural Barriers to the Handicapped (1983U)  
Archived (1990B)

**84.157**  
Secretary's Initiative to Improve the Quality of Chapter 1, ECIA Projects (1983U)  
Archived (1984B)

**84.158**  
Secondary Education and Transitional Services for Handicapped Youth (1984B)  
Secondary Education and Transitional Services for Youth with Disabilities (1991B)  
Archived (1998B)

**84.159**  
Handicapped-Special Studies (1984B)  
Disabled\_Special Studies and Evaluation (1991B)  
Special Studies for Programs with Disabilities (1994B)  
Special Studies for Persons with Disabilities Program (1994B)  
Special Education\_Special Studies for Persons with Disabilities (1994U)  
Archived (1998B)

**84.160**  
Training Interpreters for Deaf Individuals (1984B)  
Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (1993B)

**84.161**  
Client Assistance for Handicapped Individuals (1984B)  
Client Assistance for Individuals with Handicaps (1990U)  
Client Assistance for Individuals with Disabilities (1991B)  
Rehabilitation Services\_Client Assistance Program (1991U)

**84.162**  
Emergency Immigrant Education Assistance

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(1984U) Emergency Immigrant Education (1987U) Immigrant Education (1995B) Archived (2002B)	<b>84.170</b> National Graduate Fellows (1985B) Jacob K. Javits Fellowships (1987B) Javits Fellowships (1993U)	Archived (1998B)
<b>84.163</b> Library Services for Indian Tribes and Hawaiian Natives (1985B) Archived (1997B)	<b>84.171</b> Excellence in Education (1985B) Archived (1988B)	<b>84.181</b> Handicapped Infants and Toddlers (1987B) Infants and Toddlers with Disabilities (1991B) Grants for Infants and Toddlers with Disabilities (1992U) Grants for Infants and Families with Disabilities (1993U) Special Education_Grants for Infants and Families with Disabilities (1994U) Special Education-Grants for Infants and Families (2008)
<b>84.164</b> State Grants for Strengthening the Skills of Teachers and Instruction in Mathematics, Science, Foreign Languages, and Computer Learning (1985B) State Grants for Strengthening the Skills of Teachers and Instruction in Mathematics and Science (1989B) Mathematics and Science Education (1990B) Eisenhower Mathematics and Science Education_State Grants (1990U) Archived (1995U)	<b>84.172</b> Construction, Reconstruction, and Renovation of Academic Facilities (1985B) Archived (1990B)	<b>84.184</b> National Program for Drug-Free Schools and Communities (1987B) Drug-Free Schools and Communities_National Programs (1990U) Safe and Drug-Free Schools and Communities_National Programs (1996U)
<b>84.165</b> Magnet Schools Assistance (1985B) Magnet Schools Assistance in Desegregating Districts (1991B) Magnet Schools Assistance (1994U)	<b>84.173</b> Handicapped_Preschool Incentive Grants (1985U) Handicapped_Preschool Grants (1987U) Special Education_Preschool Grants (1991B)	<b>84.185</b> Robert C. Byrd Honors Scholarships (1987B) Byrd Honors Scholarships (1993U)
<b>84.167</b> Library Literacy (1986B) Archived (1996U)	<b>84.174</b> Vocational Education_Community Based Organizations (1986B) Archived (1996B)	<b>84.186</b> Drug-Free Schools and Communities_State Grants (1987B) Safe and Drug-Free Schools_State Grants (1995B) Safe and Drug-Free Schools and Communities_State Grants (1996U)
<b>84.168</b> Secretary's Discretionary Program for Mathematics, Science Computer Learning, and Critical Foreign Languages (1985B) National Programs for Strengthening, Teaching, and Administration in Mathematics and Science Programs (1989B) National Program for Mathematics and Science Education (1989U) Eisenhower National Program for Mathematics and Science Education (1991U) Dwight D. Eisenhower National Program for Mathematics and Science Education (1992B) Eisenhower Mathematics and Science Education_National Program (1994U) Eisenhower Professional Development_Federal Activities (1995B) Eisenhower Professional Development_National Activities (1995U) Eisenhower Professional Development_Federal Activities (1997U) Deleted (2004)	<b>84.175</b> Rehabilitation Services_Innovation and Expansion (1986B) Archived (1986U)	<b>84.187</b> Supported Employment Services for Individuals with Severe Handicaps (1987B) Supported Employment Services for Individuals with Severe Disabilities (1993B) Supported Employment Services for Individuals with Significant Disabilities (2008) Supported Employment Services for Individuals with the Most Significant Disabilities (2010)
<b>84.169</b> Comprehensive Services for Independent Living (1985B) Independent Living Services (1993B) Independent Living_State Grants (1993U)	<b>84.176</b> Carl D. Perkins Scholarships (1986U) Paul Douglas Teacher Scholarships (1987U) Douglas Teacher Scholarships (1992B) Archived (1997B)	<b>84.188</b> Drug-Free Schools and Communities_Regional Centers (1987B) Archived (1995U)
	<b>84.177</b> Rehabilitation Services_Independent Living for Older Blind Individuals (1986B) Rehabilitation Services_Independent Living Services for Older Blind Individuals (1987U) Rehabilitation Services_Independent Living Services for Older Individuals Who are Blind (1993B)	<b>84.190</b> Christa McAuliffe Fellowships (1987B) Archived (1997B)
	<b>84.178</b> Leadership in Educational Administration Development (1986U) Archived (1995B)	<b>84.191</b> National Adult Education Discretionary Program (1987U) National Adult Education Research (1989B) National Adult Education Discretionary Program (1991B) Adult Education_National Programs (1994U) Adult Education_Evaluation and Technical Assistance (1997B)
	<b>84.180</b> Technology, Educational Media and Materials for the Handicapped (1987B) Technology, Educational Media and Materials for Individuals with Disabilities (1991B) Technology Applications for Individuals with Disabilities (1993B) Technology, Educational Media and Materials for Individuals with Disabilities (1994B) Technology Applications for Individuals with Disabilities (1995U)	

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Adult Education\_National Leadership Activities (1998U)

### 84.192

Adult Education for the Homeless (1987U)  
Adult Education\_Literacy Training for Homeless Adults (1994U)  
Archived (1997B)

### 84.193

Demonstration Centers for the Retraining of Dislocated Workers (1987U)  
Demonstration Centers for the Training of Dislocated Workers (1991B)  
Archived (1994B)

### 84.194

Bilingual Education Support Services (1987U)  
Archived (2002B)

### 84.195

Bilingual Education Training Grants (1987U)  
Bilingual Education\_Professional Development (1996B)  
Deleted (2004)

### 84.196

State Activities\_Education of Homeless Children and Youth (1987U)  
State Activities\_Education for Homeless Children and Youth (1990B)  
Education for Homeless Children and Youth\_Grants for State and Local Activities (1992B)  
Education for Homeless Children and Youth (1994U)

### 84.197

College Library Technology and Cooperation Grants (1988B)  
College Library Technology (1990U)  
College Library Technology and Cooperation Grants (1992U)  
Archived (1996B)

### 84.198

Workplace Literacy Partnership (1988B)  
Workplace Literacy (1988U)  
Workplace Literacy Partnerships (1990U)  
National Workplace Literacy Partnerships (1991B)  
National Workplace Literacy Program (1991U)  
National Workplace Literacy Partnerships (1993U)  
Workplace Literacy Partnerships (1994U)  
Archived (1998B)

### 84.199

Vocational Education\_Cooperative Demonstration (1988B)  
Archived (1996B)

### 84.200

Graduate Assistance in Areas of National Need (1988B)  
Graduate Assistance in Areas of National Need (2005)  
Graduate Assistance in Areas of National Need (2005)

### 84.201

School Dropout Demonstration Assistance (1988B)  
Dropout Demonstration Assistance (1994U)  
Dropout Prevention Demonstration Assistance (1995U)  
Archived (1997B)

### 84.202

Grants to Institutions to Encourage Minority Participation in Graduate Education (1988B)  
Grants to Institutions to Encourage Women and Minority Participation in Graduate Education (1992U)  
Women and Minority Participation in Graduate Education (1994B)  
Archived (1996B)

### 84.203

Star Schools Program (1988B)  
Star Schools (1994U)  
Archived (2009)

### 84.204

School, College, and University Partnership (1988U)  
School, College, and University Partnerships (1991B)  
Archived (1997B)

### 84.206

Jacob K. Javits Gifted and Talented Students (1988U)  
Jacob K. Javits Gifted and Talented Students Education Grant Program (1991U)  
Javits Gifted and Talented Students Education Grant Program (1994U)  
Javits Gifted and Talented Students Education (2011)

### 84.207

Educational Personnel Training (1989B)  
School Personnel Training (1990B)  
Drug-Free Schools and Communities\_School Personnel Training (1990U)  
Archived (1995U)

### 84.208

Native Hawaiian Model Curriculum Implementation Project (1988U)  
Native Hawaiian Model Curriculum Development (1989U)  
Archived (1995U)

### 84.209

Native Hawaiian Family Based Education Centers (1988U)  
Deleted (2004)

### 84.210

Native Hawaiian Gifted and Talented (1988U)  
Deleted (2004)

### 84.211

FIRST Schools and Teachers (1988U)  
Archived (1995U)

### 84.212

FIRST Family School Partnerships (1988U)  
FIRST Family School Partnership (1989U)  
Archived (1995U)

### 84.213

Even Start\_Local Education (1988U)  
Even Start\_Local Education Agencies (1989B)  
Even Start\_Local Educational Agencies (1990U)  
Even Start\_State Educational Agencies (1991U)

### 84.214

Even Start\_Migrant Education (1988U)

### 84.215

Innovation in Education (1988U)  
The Secretary's Fund for Innovation in Education (1989B)  
Fund for the Improvement of Education (1994U)

### 84.216

Private School\_Capital Expenses (1988U)  
Archived (2003B)

### 84.217

Ronald E. McNair Post-Baccalaureate Achievement (1989B)  
McNair Post-Baccalaureate Achievement (1993U)  
TRIO\_McNair Post-Baccalaureate Achievement (2002B)

### 84.218

State Improvement (1989B)  
State Program Improvement Grants (1990B)  
State School Improvement Grants (1996B)  
Archived (1998B)

### 84.219

Student Literacy Corps (1989B)  
Student Literacy Corps and Student Mentoring Corps Programs (1992U)  
Student Literacy Corps and Student Mentoring Corps (1994B)  
Archived (1995B)

### 84.220

Center for International Business Education

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(1989B)	<b>84.233</b> Emergency Grants (1991B) Drug-Free Schools and Communities_Emergency Grants (1992B) Archived (1995U)	Tech-Prep Education (1991B)
<b>84.221</b> Native Hawaiian Special Education (1989B) Deleted (2004)		<b>84.244</b> Business and Education Standards (1991B) Archived (1997B)
<b>84.222</b> National School Volunteer Program (1989B) Archived (1991B)	<b>84.234</b> Projects with Industry (1991B)	<b>84.245</b> Tribally Controlled Postsecondary Vocational Institutions (1991B) Tribally Controlled Postsecondary Vocational and Technical Institutions (1999B) Tribally Controlled Postsecondary Career and Technical Institutions (2007)
<b>84.223</b> State-Administered English Literacy (1989B) English Literacy Program (1989U) Archived (1995B)	<b>84.235</b> Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Individuals with Severe Handicaps (1991B) Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Individuals with Severe Disabilities (1992B) Rehabilitation Services Demonstration and Training_Special Demonstration Programs (1999B) Rehabilitation Services Demonstration and Training Programs (2003B)	<b>84.246</b> Rehabilitation Short-Term Training (1991B)
<b>84.224</b> State Grants for Technology-Related Assistance to Individuals with Disabilities (1989B) State Grants for Assistive Technology (1994U) Assistive Technology (1999B)	<b>84.236</b> Training and Public Awareness Projects in Technology Related Assistance for Individuals with Disabilities (1991B) Training and Public Awareness Projects in Assistive Technology for Individuals with Disabilities (1994U) Archived (1995U)	<b>84.247</b> Commercial Drivers Education (1991U) Archived (1994B)
<b>84.225</b> Education for Homeless Children and Youth_Exemplary Grants (1989U) Archived (1992B)		<b>84.248</b> Demonstration Projects for the Integration of Vocational and Academic Learning (1991U) Archived (1997B)
<b>84.226</b> Income Contingent Loan Program (1990B) Archived (1994B)	<b>84.237</b> Children and Youth with Serious Emotional Disturbance (1991B) Special Education_Program for Children with Serious Emotional Disturbance (1994U) Archived (1998B)	<b>84.249</b> Foreign Languages Assistance (1991U) Archived (1995U)
<b>84.227</b> Secondary Schools_Basic Skills Demonstration Assistance (1990B) Archived (1992B)		<b>84.250</b> Rehabilitation Services_American Indians with Disabilities (1991U)
<b>84.228</b> Educational Partnerships (1990B) Education Partnerships (1994U) Archived (1995B)	<b>84.238</b> Training Programs for Educators_Alcohol Abuse (1991B) Archived (1995B)	<b>84.251</b> Periodicals Published Outside the United States (1992B) Foreign Periodicals (1993U) Archived (1996B)
<b>84.229</b> Language Resource Centers (1990B)	<b>84.239</b> Foreign Language Materials Acquisition (1991B) Archived (1995B)	<b>84.252</b> Urban Community Services (1992B) Urban Community Service (1994B) Archived (2001B)
<b>84.230</b> Technology Education Demonstration (1990B) Archived (1994B)	<b>84.240</b> Program of Protection and Advocacy (1991B) Program of Protection and Advocacy of Individual Rights (1992B)	<b>84.253</b> Supplementary State Grants for Facilities, Equipment, and Other Program Improvement Activities (1992B) Archived (1995B)
<b>84.231</b> Demonstration and Innovation Projects of National Significance in Technology-Related Assistance for Individuals with Disabilities (1990B) Demonstration and Innovation Projects of National Significance in Assistive Technology for Individuals with Disabilities (1994U) Archived (1995U)	<b>84.241</b> Counselor Training (1991B) Drug-Free Schools_Counselor Training (1994U) Archived (1995U)	<b>84.254</b> State Literacy Resource Centers (1992B) Archived (1997B)
<b>84.232</b> Mid-Career Teacher Training (1990B) Archived (1993B)	<b>84.242</b> National Science Scholars (1991B) Archived (1997B)	<b>84.255</b> Literacy for Incarcerated Adults (1992B) Literacy Programs for Prisoners (1994U) Deleted (2008)
	<b>84.243</b>	

# Appendix VII: Historical Profile of Catalog Programs

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<b>84.256</b> Territories_Freely Associated States Education Grant Program (1992B) Education Grant Program for the Freely Associated States (1994U) Freely Associated States_Education Grant Program (1997U) Territories and Freely Associated States Education Grant Program (2010)	Federal Direct Student Loan (1994B) Federal Direct Loan (1997U) Federal Direct Student Loans (2002B)	Eisenhower Professional Development State Grants (1995B) Deleted (2004)
<b>84.257</b> National Institute for Literacy (1995B) Archived (2010)	<b>84.269</b> Institute for International Public Policy (1994B)	<b>84.282</b> Public Charter Schools (1995B) Charter Schools (1997B)
<b>84.258</b> Even Start_Indian Tribes and Tribal Organizations (1992U)	<b>84.270</b> Teacher Corps (1994B) Archived (1995U)	<b>84.283</b> Comprehensive Regional Assistance Centers (1995B) Comprehensive Centers (2005) Comprehensive Centers (2005)
<b>84.259</b> Native Hawaiian Vocational Education (1992U) Native Hawaiian Career and Technical Education (2007)	<b>84.271</b> Faculty Development Fellowship (1994B) Archived (1996B)	<b>84.284</b> School Facilities Infrastructure Improvement (1995B) Archived (1995U)
<b>84.260</b> National Academy of Science, Space, and Technology (1993B) Archived (1995U)	<b>84.272</b> National Early Intervention Scholarship and Partnership (1994B) National Early Intervention Scholarship and Partnership (NEISP) (1994U) National Early Intervention Scholarship and Partnership (1995U) Archived (1999B)	<b>84.285</b> Family and Community Endeavor Schools Grant Program (1995B) Archived (1995U)
<b>84.261</b> Dwight D. Eisenhower Leadership Development (1993B) Eisenhower Leadership (1994B) Eisenhower Leadership Program (1994U) Archived (1996B)	<b>84.273</b> Demonstration Grants for Critical Language and Area Studies (1994B) Archived (1996U)	<b>84.286</b> Telecommunications Demonstration Project for Mathematics (1995B) Ready to Teach (2003B) Ready to Teach (2005) Ready to Teach (2005)
<b>84.262</b> Minority Teacher Recruitment (1993U) Archived (1999B)	<b>84.274</b> American Overseas Research Centers (1994B)	<b>84.287</b> 21st Century Community Learning Centers Program (1995B) After School Learning Centers (1997B) Twenty-First Century Community Learning Centers (1998B)
<b>84.263</b> Rehabilitation Training_Experimental and Innovative Training (1993B)	<b>84.275</b> Rehabilitation Training_General Training (1995U)	<b>84.288</b> Bilingual Education_Program Development and Implementation Grants (1995B) Archived (2002B)
<b>84.264</b> Rehabilitation Training_Continuing Education (1993B)	<b>84.276</b> Goals 2000_State and Local Education Systemic Improvement Grants (1995B) Archived (2002B)	<b>84.289</b> Bilingual Education_Program Enhancement Grants (1995B) Archived (2002B)
<b>84.265</b> Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (1993B)	<b>84.277</b> Safe Schools Discretionary Grants to Local Education Agencies (1995B) Archived (1995U)	<b>84.290</b> Bilingual Education_Comprehensive School Grants (1996U) Archived (2002B)
<b>84.266</b> Training in Early Childhood Education and Violence Counseling (1993B) Archived (1996B)	<b>84.278</b> School to Work Opportunities (2001U) Archived (2002B)	<b>84.291</b> Bilingual Education_Systemwide Improvement Grants (1995B) Archived (2002B)
<b>84.267</b> State Postsecondary Review (1993U) Archived (1996B)	<b>84.279</b> Goals 2000_Assessment Development and Evaluation Grants (1995B) Archived (1996U)	<b>84.292</b> Bilingual Education_Research Programs (1995B)
<b>84.268</b>	<b>84.280</b> Goals 2000_Opportunity-To-Learn Development Grants (1995B) Archived (1996U)	
	<b>84.281</b>	

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Archived (2002B)

## 84.293

Foreign Languages Assistance (1995B)

Foreign Language Assistance (1997U)

## 84.294

Foreign Languages Assistance\_Incentive Grants (1995B)

Archived (1998B)

Foreign Language Incentive Program (2002B)

Reinstated (2002B)

Deleted (2004)

## 84.295

Ready-To-Learn Television (1995B)

## 84.296

Native Hawaiian Community-Based Education Learning Centers (1995B)

Deleted (2004)

## 84.297

Native Hawaiian Curriculum Development, Teacher Training and Recruitment (1995B)

Deleted (2004)

## 84.298

Innovative Education Program Strategies (1995B)

State Grants for Innovative Programs (2004)

Archived (2009)

## 84.299

Indian Education\_Special Programs (1995B)

Archived (1997B)

## 84.300

Alaska and Native Hawaiian Cultural and Arts Development (1995B)

Native Hawaiian and Alaska Native Culture and Arts Development (1996U)

Archived (1997B)

## 84.301

Olympic Scholarships (1995B)

Archived (1995U)

## 84.302

Technical Support and Professional Development Consortia for Technology (1995B)

Eisenhower Regional Mathematics and Science Education Consortia (1996B)

Regional Technical Support and Professional Development Consortia (1996U)

Regional Technology in Education Consortia (2002B)

Deleted (2005)

## 84.303

Challenge Grants for Technology in Education

(1995B)

Local Innovation\_Challenge Grants for Technology in Education (1996B)

Technology Challenge Grants (1997B)

Technology Innovation Challenge Grants (1997U)

Archived (2002B)

## 84.304

International Education Exchange (1995B)

Cooperative Education Exchange Program (2002B)

Civic Education\_Cooperative Education Exchange Program (2003B)

Civic Education - Cooperative Education Exchange Program (2004)

Civic Education - We the People and the

Cooperative Education Exchange Program (2010)

## 84.305

National Institute on Student Achievement, Curriculum, and Assessment (1995U)

Education Research, Development and Dissemination (2003B)

## 84.306

National Institute on the Education of At-Risk Students (1995U)

Deleted (2004)

## 84.307

National Institute on Early Childhood Development and Education (1995U)

Deleted (2004)

## 84.308

National Institute on Educational Governance, Finance, Policymaking, and Management (1995U)

Deleted (2004)

## 84.309

National Institute on Postsecondary Education, Libraries, and Lifelong Learning (1995U)

Deleted (2004)

## 84.310

Goals 2000: Parental Assistance Program (1995U)

Goals 2000: Parental Information Resource Centers (2000B)

Goals 2000: Parental Assistance (2001B)

Parental Assistance Centers (2002B)

Parental Information and Resource Centers (2008)

## 84.311

Goals 2000: Tribal Divisions of Education School Reform Program (1995U)

Archived (1996U)

## 84.312

Goals 2000: Urban/Rural Local Reform Initiative (1995U)

Archived (1996U)

## 84.313

Even Start\_Family Literacy in Women's Prisons Program (1995U)

Archived (1998B)

## 84.314

Even Start\_Statewide Family Literacy Program (1995U)

Deleted (2004)

## 84.315

Capacity Building for Traditionally Underserved Populations (1995U)

## 84.316

Native Hawaiian Higher Education Program (1995U)

Deleted (2004)

## 84.318

Technology Literacy Challenge Fund Grants (1998B)

Education Technology State Grants (2003B)

Education Technology State Grants (2005)

Education Technology State Grants (2005)

Educational Technology State Grants (2010)

## 84.319

Eisenhower Regional Mathematics and Science Education Consortia (1997B)

Educational Technology State Grants (2004)

Eisenhower Regional Math and Science Consortia (2005)

Eisenhower Regional Math and Science Consortia (2005)

Eisenhower Regional Math and Science Consortia (2005)

Deleted (2006)

## 84.320

Alaska Native Educational Planning, Curriculum Development, Teacher Training, and Recruitment Program (1997B)

Deleted (2004)

## 84.321

Alaska Native Home Based Education for Preschool Children (1997B)

Deleted (2004)

## 84.322

Alaska Native Student Enrichment Program (1997B)

Deleted (2004)

## 84.323

Special Education\_State Program Improvement Grants for Children with Disabilities (1998B)

Special Education - State Personnel Development (2005)

Special Education - State Personnel Development

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(2005) Special Education - State Personnel Development (2005) Special Education - State Personnel Development (2005)	Demonstration Projects to Ensure Students with Disabilities Receive a Higher Education (1999B) Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (2009)	<b>84.346</b> Occupational and Employment Information State Grants (2000U) Vocational Education_Occupational and Employment Information State Grants (2003B) Deleted (2008)
<b>84.324</b> Special Education_Research and Innovation to Improve Services and Results for Children with Disabilities (1998B) Research in Special Education (2005) Research in Special Education (2005)	<b>84.334</b> Gaining Early Awareness and Readiness for Undergraduate Programs (1999B)	<b>84.347</b> Community Scholarship Mobilization (2000U) Archived (2002B)
<b>84.325</b> Special Education_Personnel Preparation to Improve Services and Results for Children with Disabilities (1998B) Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (2006)	<b>84.335</b> Child Care Access Means Parents in School (1999B)	<b>84.348</b> Title I Accountability Grants (2000U) Deleted (2004)
<b>84.326</b> Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (1998B)	<b>84.336</b> Teacher Quality Enhancement Grants for States and Partnerships (1999B) Teacher Quality Enhancement Grants (2000B) Teacher Quality Partnership Grants (2009)	<b>84.349</b> Early Childhood Educator Professional Development (2001U) Archived (2009)
<b>84.327</b> Special Education_Technology and Media Services for Individuals with Disabilities (1998B)	<b>84.337</b> Technological Innovation and Cooperation for Foreign Information Access (1999B) International Education_Technological Innovation and Cooperation for Foreign Information Access (2003B)	<b>84.350</b> Transition to Teaching (2001U)
<b>84.328</b> Special Education_Training and Information for Parents of Children with Disabilities (1998B) Special Education_Parent Information Centers (2000B)	<b>84.338</b> Reading Excellence (1999B) Archived (2003B)	<b>84.351</b> Arts in Education (2001U)
<b>84.329</b> Special Education_Studies and Evaluations (1998B)	<b>84.339</b> Learning Anytime Anywhere Partnerships (1999B) Deleted (2004)	<b>84.352</b> Grants for School Repair and Renovation (2001U) School Renovation Grants (2002B) Archived (2003B)
<b>84.330</b> Advanced Placement Test Fee Payment Program (1998B) Advanced Placement Incentive Program (1999B) Advanced Placement Program (2002B) Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (2008)	<b>84.340</b> Class Size Reduction (1999B) Archived (2003B)	<b>84.353</b> Tech-Prep Demonstration Grants (2001U)
<b>84.331</b> Grants to States for Incarcerated Youth Offenders (1998B) Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (2009)	<b>84.341</b> Community-Based Technology Centers (1999B) Community Technology Centers (2000B) Deleted (2008)	<b>84.354</b> Charter Schools Facilities Financing Demonstration (2002B) Credit Enhancement for Charter School Facilities (2005) Credit Enhancement for Charter School Facilities (2005)
<b>84.332</b> Comprehensive School Reform Demonstration (1999B)	<b>84.342</b> Preparing Tomorrow's Teachers to Use Technology (1999B)	<b>84.355</b> Child Care Provider Loan Forgiveness Demonstration (2002B)
<b>84.333</b>	<b>84.343</b> Assistive Technology_State Grants for Protection and Advocacy (1999B)	<b>84.356</b> Alaska Native Educational Programs (2001U)
	<b>84.344</b> TRIO_Dissemination (2000U) TRIO_Dissemination Partnership Grants (2001B) Deleted (2008)	<b>84.357</b> Reading First State Grants (2002B) Archived (2010)
	<b>84.345</b> Underground Railroad Educational and Cultural Program (2000U)	<b>84.358</b> Rural Education Achievement Program (2002B) Rural Education (2003B)
		<b>84.359</b> Early Reading First (2002B)



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<b>84.360</b> Dropout Prevention Programs (2002B) School Dropout Prevention Program (2008) High School Graduation Initiative (2010)	Retain Talent (SMART) Grants (2006)	Special Education Grants to States, Recovery Act (2009) Archived (2011)
<b>84.361</b> Voluntary Public School Choice (2002B)	<b>84.377</b> School Improvement Grants (2008)	<b>84.392</b> Special Education - Preschool Grants, Recovery Act (2009) Archived (2011)
<b>84.362</b> Native Hawaiian Education (2002B)	<b>84.378</b> College Access Challenge Grant Program (2008)	<b>84.393</b> Special Education - Grants for Infants and Families, Recovery Act (2009) Archived (2011)
<b>84.363</b> School Leadership (2002B)	<b>84.379</b> Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (2008)	<b>84.394</b> State Fiscal Stabilization Fund (SFSF) - Education State Grants, Recovery Act (2009) Archived (2011)
<b>84.364</b> Literacy through School Libraries (2002B) Improving Literacy Through School Libraries (2010)	<b>84.380</b> Special Education -- Olympic Education Programs (2008)	<b>84.395</b> State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act (2009) Archived (2011)
<b>84.365</b> English Language Acquisition Grants (2004)	<b>84.381</b> Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages (2008)	<b>84.396</b> State Fiscal Stabilization Fund (SFSF) - What Works and Innovation Fund, Recovery Act (2009) State Fiscal Stabilization Fund (SFSF) - Investing in Innovation (i3) Fund, Recovery Act (2010) Archived (2011)
<b>84.366</b> Mathematics and Science Partnerships (2004)	<b>84.382</b> Strengthening Minority-Serving Institutions (2008)	<b>84.397</b> State Fiscal Stabilization Fund (SFSF) - Government Services, Recovery Act (2009) Archived (2011)
<b>84.367</b> Improving Teacher Quality State Grants (2004)	<b>84.383</b> Homeless Education Disaster Assistance Program (2009)	<b>84.398</b> Independent Living State Grants, Recovery Act (2009) Archived (2011)
<b>84.368</b> Grants for Enhanced Assessment Instruments (2003B) Deleted (2004) Grants for Enhanced Assessment Instruments (2010)	<b>84.384</b> Statewide Data Systems, Recovery Act (2009) Archived (2011)	<b>84.399</b> Independent Living Services for Older Individuals Who are Blind, Recovery Act (2009) Archived (2011)
<b>84.369</b> Grants for State Assessments and Related Activities (2004)	<b>84.385</b> Teacher Incentive Fund, Recovery Act (2009)	<b>84.400</b> Centers for Independent Living, Recovery Act (2009) Archived (2011)
<b>84.370</b> DC School Choice Incentive Program (2005)	<b>84.386</b> Education Technology State Grants, Recovery Act (2009) Archived (2011)	<b>84.401</b> Impact Aid School Construction, Recovery Act (2009) Archived (2011)
<b>84.371</b> Striving Readers (2006)	<b>84.387</b> Education for Homeless Children and Youth, Recovery Act (2009) Archived (2011)	<b>84.402</b> Consolidated Grants to the Outlying Areas, Recovery Act (2009) Archived (2011)
<b>84.372</b> Statewide Data Systems (2006)	<b>84.388</b> School Improvement Grants, Recovery Act (2009) Archived (2011)	
<b>84.373</b> Special Education_Technical Assistance on State Data Collection (2006)	<b>84.389</b> Title I Grants to Local Educational Agencies, Recovery Act (2009) Archived (2011)	
<b>84.374</b> Teacher Incentive Fund (2006)	<b>84.390</b> Rehabilitation Services-Vocational Rehabilitation Grants to States, Recovery Act (2009)	
<b>84.375</b> Academic Competitiveness Grants (2006)	<b>84.391</b>	
<b>84.376</b> National Science and Mathematics Access to		

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**84.403**  
Consolidated Grant to the Outlying Areas (2009)

**84.404**  
Impact Aid -- School Construction Formula Grants, Recovery Act (2009)  
Archived (2011)

**84.405**  
Teacher Quality Partnerships, Recovery Act (2009)  
Archived (2011)

**84.406**  
Capacity Building for Traditionally Underserved Populations, Recovery Act. (2009)  
Archived (2011)

**84.407**  
Transition Programs for Students with Intellectual Disabilities into Higher Education (2010)

**84.408**  
Postsecondary Education Scholarships for Veteran's Dependents (2010)  
Postsecondary Education Scholarships for Veteran's Dependents (2010)

**84.409**  
Civil Legal Assistance Attorney Student Loan Repayment Program (2010)

**84.410**  
Education Jobs Fund (2010)

**84.411**  
State Fiscal Stabilization Fund (SFSF) - Investing in Innovation (i3) Fund (2011)  
Investing in Innovation (i3) Fund (2011)

**84.412**  
Race to the Top Early Learning Challenge (2011)

**84.938**  
Hurricane Education Recovery (2008)  
Archived (2009)

**BARRY GOLDWATER SCHOLARSHIP AND EXCELLENCE IN EDUCATION FOUNDATION**  

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**85.200**  
Barry M. Goldwater Scholarship Program (1997B)

**CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION**  

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**85.100**  
Christopher Columbus Fellowship Program (1997B)  
Archived (2009)

**85.101**

Homeland Security Award (2009)

**85.102**  
Christopher Columbus Awards (2009)

**85.103**  
Freida J. Riley Teacher Award (2009)  
Archived (2010)

**85.104**  
Life Sciences Awards (2009)

**85.105**  
Agriscience Awards (2010)

**HARRY S TRUMAN SCHOLARSHIP FOUNDATION**  

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**85.001**  
Harry S Truman Scholarship Program (1980U1)

**JAMES MADISON MEMORIAL FELLOWSHIP FOUNDATION**  

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**85.500**  
James Madison Memorial Fellowship Program (1997B)

**MILLENNIUM CHALLENGE CORPORATION**  

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**85.002**  
MCC Foreign Assistance for Overseas Programs (2010)

**85.003**  
MCC Domestic Assistance for Overseas Programs (2010)

**85.111**  
Rural Water Investment Evaluations (MOZMBIQUE) (2009)

**MORRIS K. UDALL FOUNDATION**  

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**85.400**  
Morris K. Udall Scholarship Program (1997B)

**85.401**  
Morris K. Udall Fellowship Program (1997B)

**85.402**  
Morris K. Udall Native American Congressional Internship Program (1997B)

**SMITHSONIAN INSTITUTION**  

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**85.601**  
Smithsonian Institution Fellowship Program (2008)

**WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS**  

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**85.300**  
Woodrow Wilson Center Fellowships in the

Humanities and Social Sciences (1997B)

**PENSION BENEFIT GUARANTY CORPORATION**  

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**86.001**  
Pension Plan Termination Insurance (1980U2)

**CONSUMER PRODUCT SAFETY COMMISSION**  

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**87.001**  
Voluntary Standards Assistance (1980U2)  
Archived (1986U)

**ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD**  

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**88.001**  
Architectural and Transportation Barriers Compliance (1984U)

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**  

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**89.001**  
National Archives Reference Services (1985B)  
Transferred from 39.004 (1985B)  
National Archives Reference Services -- Historical Research (1988B)

**89.002**  
National Audiovisual Center (1985B)  
Transferred from 39.005 (1985B)  
Multimedia and Publications Distribution (1993B)  
Archived (1995B)

**89.003**  
National Historical Publications and Records Grants (1985B)  
Transferred from 39.006 (1985B)

**89.005**  
Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (2006)

**BROADCASTING BOARD OF GOVERNORS**  

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**90.500**  
International Broadcasting Independent Grantee Organizations (2008)

**COMMISSION ON THE BICENTENNIAL OF THE U.S. CONSTITUTION**  

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**90.001**  
Bicentennial Educational Grant Program (1987U)  
Archived (1991B)

**90.002**  
The U.S. Constitution\_College-Community Forums (1990B)

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Archived (1991B)

## **DELTA REGIONAL AUTHORITY**

### **90.200**

Delta Regional Development (2005)

### **90.201**

Enter new title here!Delta Area Economic Development (2005)

### **90.202**

Enter new title here!Delta Local Development District Assistance (2005)

## **DENALI COMMISSION**

### **90.100**

Denali Commission Program (2000U)

## **JAPAN U.S. FRIENDSHIP COMMISSION**

### **90.300**

Japan-US Friendship Commission Grants (2004)

## **U.S. ELECTION ASSISTANCE COMMISSION**

### **90.400**

Help American Vote College Pollworker Program (2004)

Help America Vote College Pollworker Program (2006)

Help America Vote College Program (2008)

### **90.401**

Help America Vote Act Requirements Payments (2005)

### **90.402**

Help America Vote Mock Election Program (2008)

### **90.403**

U.S. Election Assistance Commission Research Grants (2010)

## **UNITED STATES INSTITUTE OF PEACE**

### **91.001**

International Peace and Conflict Management\_Research and Education (1990B)

Unsolicited Grant Program (2000B)

Annual Grant Competition (2009)

### **91.002**

International Peace and Conflict Management\_Articles and Manuscripts (1990B)

Solicited Grant Program (2000B)

Priority Grant Competition (2009)

### **91.003**

91.003 Annual Senior Fellowship Competition (2010)

## **NATIONAL COUNCIL ON DISABILITY**

### **92.001**

National Council on Disability (1992B)

## **DEPARTMENT OF HEALTH AND HUMAN SERVICES**

### **93.001**

Civil Rights Compliance Activities (1976B)

Number changed from 13.675 (1990U)

Civil Rights and Privacy Rule Compliance Activities (2004)

### **93.002**

Consumer Affairs (1976B)

Number changed from 13.678 (1990U)

Archived (1999B)

### **93.003**

Public Health and Social Services Emergency Fund (1992U)

Archived (1994B)

Public Health and Social Services Emergency Fund -- Reinstated (1995U)

### **93.004**

Cooperative Agreements to Improve the Health Status of Minority Populations (1997U)

### **93.005**

Project Grants for Facilities to Improve the Health Status of Minority Populations (1997U)

### **93.006**

State and Territorial and Technical Assistance Capacity Development Minority HIV/AIDS Demonstration Program (2000B)

### **93.007**

Public Awareness Campaigns on Embryo Adoption (2002B)

### **93.008**

Medical Reserve Corps Small Grant Program (2004)

### **93.009**

Compassion Capital Fund (2004)

### **93.010**

Community-Based Abstinence Education (CBAE) (2005)

### **93.011**

National Organizations of State and Local Officials (2011)

### **93.012**

Improving, Enhancing, and Evaluating Outcomes of Comprehensive Heart Health Care Programs for High-Risk Women (2005)

Archived (2010)

### **93.013**

Ambassadors for Change Program (2006)

Archived (2010)

### **93.014**

Steps to Healthier Girls Program (2006)

Archived (2010)

### **93.015**

HIV Prevention Programs for Women (2006)

### **93.016**

Postal Model for Medical Countermeasures Delivery and Distribution (2010)

### **93.017**

Strengthening the Management and Services of the Women's and Children's Hospitals in Kabul (2006)

### **93.018**

Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission (2006)

### **93.019**

Technical Assistance and Provision for Foreign Hospitals and Health Organizations (2008)

### **93.020**

Family Support Payments to States\_Assistance Payments

Number changed from 13.780 (1990U)

Number changed to 93.560 (1992U)

### **93.021**

Job Opportunities and Basic Skills Training

Number changed from 13.781 (1990U)

Number changed to 93.561 (1992U)

### **93.022**

Assistance Payments\_Research

Number changed from 13.782 (1990U)

Number changed to 93.562 (1992U)

### **93.023**

Child Support Enforcement

Number changed from 13.783 (1990U)

Number changed to 93.563 (1992U)

### **93.024**

Child Support Enforcement Research

Number changed from 13.784 (1990U)

Number changed to 93.564 (1992U)

### **93.025**

State Legalization Impact Assistance Grants

Number changed from 13.786 (1990U)

Number changed to 93.565 (1992U)

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<b>93.026</b> Refugee and Entrant Assistance_State Administered Programs Number changed from 13.787 (1990U) Number changed to 93.566 (1992U)	<b>93.037</b> Payments to States for Day Care Assistance (1991B) Payments to States for Child Care Assistance (1992B) Number changed to 93.575 (1992U)	Number changed from 93.635 (1992U)
<b>93.027</b> Refugee Assistance_Voluntary Agency Programs Number changed from 13.788 (1990U) Number changed to 93.567 (1992U)	<b>93.038</b> Refugee and Entrant Assistance_Discretionary Grants (1991U) Number changed to 93.576 (1992U)	<b>93.046</b> Special Programs for the Aging_Title III, Part D_In-Home Services for Frail Older Individuals Number changed from 93.641 (1992U) Consolidated into 93.044 (2001B)
<b>93.028</b> Low-Income Home Energy Assistance Number changed from 13.789 (1990U) Number changed to 93.568 (1992U)	<b>93.039</b> Child Care Improvement Grants (1991B) Archived (1992B)	<b>93.047</b> Special Programs for the Aging_Title VI, Part A, Indian Programs_Grants to Indian Tribes and Part B, Grants to Native Hawaiians Number changed from 93.655 (1992U) Special Programs for the Aging_Title VI, Part A, Grants to Indian Tribes_Part B, Grants to Native Hawaiians (2002B)
<b>93.029</b> Work Incentive Program/WIN Demonstration Program Number changed from 13.790 (1990U) Archived (1991B)	<b>93.040</b> Family Support Centers Demonstration Program (1992B) Number changed to 93.578 (1992U)	<b>93.048</b> Special Programs for the Aging_Title IV_Training, Research and Discretionary Projects and Programs Number changed from 93.668 (1992U) Special Programs for the Aging_Title IV_and Title II_Discretionary Projects (2002B)
<b>93.030</b> Emergency Services and Shelter AFDC Transitional Housing Demonstration Program Number changed from 13.791 (1990U) Archived (1991B)	<b>93.041</b> Special Programs for the Aging_Title III, Part G_Prevention of Abuse, Neglect, and Exploitation of Older Individuals Number changed from 93.552 (1992U) Special Programs for the Aging_Title VII, Chapter 3, Programs for Prevention of Elder Abuse, Neglect, and Exploitation (1993U)	<b>93.049</b> Special Programs for the Aging_Title VII, Chapter 6_Allotments for Vulnerable Elder Rights Protection Programs (1994B) Archived (2000B)
<b>93.031</b> Community Services Block Grant Number changed from 13.792 (1990U) Number changed to 93.569 (1992U)	<b>93.042</b> Special Programs for the Aging_Title III, Part A_Long- Term Care Ombudsman Services for Older Individuals Number changed from 93.553 (1992U) Special Programs for the Aging_Title VII, Chapter 2_Long Term Care Ombudsman Services for Older Individuals (1993U)	<b>93.050</b> Special Programs for the Aging_Title II_Preconference Programs for the White House Conference on Aging (1994U) Archived (1995B) Geosciences (2003)
<b>93.032</b> Community Services Block Grant_Discretionary Awards Number changed from 13.793 (1990U) Number changed to 93.570 (1992U)	<b>93.043</b> Special Programs for the Aging_Title III, Part F_Disease Prevention and Health Promotion Services Number changed from 93.555 (1992U) Special Programs for the Aging_Title III, Part F_Disease Prevention and Health Promotion Services (1994B) Special Programs for the Aging_Title III, Part D_Disease Prevention and Health Promotion Services (2002B)	<b>93.051</b> New Demonstration Grants to States with Respect to Alzheimer's Disease (1999B) Alzheimer's Disease Demonstration Grants to States (2002B)
<b>93.033</b> Community Block Grant Discretionary Awards_Community Food and Nutrition Number changed from 13.795 (1990U) Number changed to 93.571 (1992U)	<b>93.044</b> Special Programs for the Aging_Title III, Part B_Grants for Supportive Services and Senior Centers Number changed from 93.633 (1992U) Consolidated from 93.046 (2001B)	<b>93.052</b> Nation Family Caregiver Support Program (2001B) National Family Caregiver Support (2002B) National Family Caregiver Support, Title III, Part E (2007)
<b>93.034</b> Emergency Community Services for the Homeless Number changed from 13.796 (1990U) Number changed to 93.572 (1992U)	<b>93.045</b> Special Programs for the Aging_Title III, Part C_Nutrition Services	<b>93.053</b> Nutrition Services Incentive Program (2003B)
<b>93.035</b> Community Services Block Grant Discretionary Awards_Demonstration Partnerships Number changed from 13.797 (1990U) Number changed to 93.573 (1992U)		<b>93.054</b> National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (2007)
<b>93.036</b> Child Care for Families At-Risk of Welfare Dependency (1991B) Number changed to 93.574 (1992U)		<b>93.055</b> Applied Leadership for Community Health Improvement (2011)

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<b>93.056</b> Initiative to Educate State and Territorial Officials about Maintaining and Strengthening Public Health in a Changing Environment (2011)	Parental Methamphetamine or Other Substance Abuse (2007)	Minority International Research Training Grant in the Biomedical and Behavioral Sciences (1993U) Consolidated into 93.989 (2006)
<b>93.061</b> Innovations in Applied Public Health Research (2004)	<b>93.088</b> Advancing System Improvements to Support Targets for Healthy People 2010 (2008)	<b>93.107</b> Area Health Education Centers_Model Programs (1993U) Model State-Supported Area Health Education Centers (1999U) Area Health Education Centers Point of Service Maintenance and Enhancement Awards (2010)
<b>93.062</b> Biomonitoring Programs for State Public Health Laboratories (2008)	<b>93.090</b> Guardianship Assistance (2009)	<b>93.108</b> Health Education Assistance Loans Number changed from 13.108 (1990U) Deleted (2005)
<b>93.063</b> Centers for Genomics and Public Health (2004)	<b>93.091</b> Social Services and Income Maintenance Benefits Enrollment Coordination Grants (2010)	<b>93.109</b> Linking Community-Based Primary Care, Substance Abuse, HIV/AIDS, and Mental Health Treatment Services (1993U) Archived (1997B)
<b>93.064</b> Laboratory Training, Evaluation, and Quality Assurance Programs (2004)	<b>93.092</b> Personal Responsibility Education Program (2010) Affordable Care Act (ACA) Personal Responsibility Education Program (2011)	<b>93.110</b> Maternal and Child Health Federal Consolidated Programs Number changed from 13.110 (1990U)
<b>93.065</b> Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (2005)	<b>93.093</b> Demonstration Projects to Address Health Professions Workforce Needs (2010) Health Profession Opportunity Grants (2011) Affordable Care Act (ACA) Health Profession Opportunity Grants (2011)	<b>93.111</b> Adolescent Family Life Research Grants Number changed from 13.111 (1990U)
<b>93.066</b> Vital Statistics Re-engineering Program (2004) State Vital Statistics Improvement Program (2007)	<b>93.100</b> Field-Initiated Small Grants in Minority Health (1993B) Archived (1995B) Health Disparities Grants in Minority Health, Reinstated (2001B) Health Disparities in Minority Health (2002B) Archived (2010)	<b>93.112</b> Characterization of Environmental Health Hazards Number changed from 13.112 (1990U) Archived (1991B)
<b>93.067</b> Global AIDS (2005)	<b>93.101</b> Grants for Residential Treatment Programs for Pregnant and Postpartum Women (1993U) Archived (2002B)	<b>93.113</b> Biological Response to Environmental Health Hazards Number changed from 13.113 (1990U) Environmental Health (2006)
<b>93.068</b> Chronic Diseases: Research, Control, and Prevention (2005) Chronic Diseases: Research, Control, and Prevention (2008)	<b>93.102</b> Demonstration Grants for Residential Treatment for Women and Their Children (1993U) Archived (2001B)	<b>93.114</b> Applied Toxicological Research and Testing Number changed from 13.114 (1990U) Deleted (2006)
<b>93.069</b> Public Health Emergency Preparedness (2008)	<b>93.103</b> Food and Drug Administration_Research Number changed from 13.103 (1990U)	<b>93.115</b> Biometry and Risk Estimation_Health Risks from Environmental Exposures Number changed from 13.115 (1990U) Deleted (2006)
<b>93.070</b> Environmental Public Health and Emergency Response (2008)	<b>93.104</b> Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (1993U)	<b>93.116</b> Project Grants and Cooperative Agreements for Tuberculosis Control Programs Number changed from 13.116 (1990U)
<b>93.071</b> Medicare Enrollment Assistance Program (2008)	<b>93.105</b> Bilingual/Bicultural Service Demonstration Projects in Minority Health (1993U) Bilingual/Biculture Service Demonstration Grants (2002B)	<b>93.117</b>
<b>93.072</b> Lifespan Respite Care Program (2009)	<b>93.106</b>	
<b>93.073</b> Birth Defects and Developmental Disabilities - Prevention and Surveillance (2010)		
<b>93.086</b> Healthy Marriage Promotion and Responsible Fatherhood Grants (2006)		
<b>93.087</b> Enhance the Safety of Children Affected by		

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Grants for Preventive Medicine Residency Training  
Number changed from 13.117 (1990U)  
Grants for Preventive Medicine and Dental Public Health (1993B)  
Grants for Preventive Medicine (1998B)  
Preventive Medicine Residency Program (2010)

### 93.118

Acquired Immunodeficiency Syndrome (AIDS) Activity  
Number changed from 13.118 (1990U)  
Incorporated from 93.160 (1993B)

### 93.119

Grants for Technical Assistance Activities Related to the Block Grant for Community Mental Health Services\_Technical Assistance Centers for Evaluation (1993U)  
Archived (1997B)

### 93.120

Mental Health Services for Cuban Entrants  
Number changed from 13.120 (1990U)  
Archived (1996B)

### 93.121

Disorders of Craniofacial Structure and Function, and Behavioral Aspects of Dentistry  
Number changed from 13.121 (1990U)  
Oral Diseases and Disorders Research (1990U)

### 93.122

Cooperative Agreements for Substance Abuse Treatment and Recovery Systems for Rural, Remote and Culturally Distinct Populations (1993U)  
Archived (2000U)

### 93.123

Health Professions Pregraduate Scholarship Program for Indians  
Number changed from 13.123 (1990U)

### 93.124

Nurse Anesthetist Traineeships  
Number changed from 13.124 (1990U)

### 93.125

Mental Health Planning and Demonstration Projects  
Number changed from 13.125 (1990U)  
Archived (2002B)

### 93.126

Small Business Innovation Research  
Number changed from 13.126 (1990U)  
Small Business Innovation Research (NIAAA, NIDA, NIMH) (1992U)  
Incorporated into 93.242, 93.273, 93.279 (1993B)

### 93.127

Emergency Medical Services for Children  
Number changed from 13.127 (1990U)

### 93.128

Grants for Technical Assistance Activities Related to the Block Grant for Community Mental Health Services\_Mental Health Statistics Improvement Program (1993U)  
Archived (1999B)

### 93.129

Technical and Non-Financial Assistance to Community Health Centers  
Number changed from 13.129 (1990U)  
Technical and Non-Financial Assistance to Health Centers (1997B)  
Technical and Non-Financial Assistance to Health Centers and National Health Service Corps (NHSC) Delivery Sites (1999U)  
Technical and Non-Financial Assistance to Health Centers (2005)

### 93.130

Primary Care Services Planning and Development Cooperative Agreements  
Number changed from 13.130 (1990U)  
Primary Care Services\_Resource Coordination and Development Primary Care Offices (1995B)  
Primary Care Services\_Resource Coordination and Development\_Primary Care Offices (1999U)  
Primary Care Services\_Resource Coordination and Development (2002B)  
Primary Care Services Resource Coordination and Development (2005)  
Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (2007)

### 93.131

Cooperative Agreements for Addiction Treatment Training Centers (1993U)  
Consolidated into 93.230 (1999B)

### 93.132

Managed Care Demonstration Models for SSI Beneficiaries Disabled Due to Addiction to Alcohol and Other Drugs (1993U)  
Archived (1997B)

### 93.133

Health Services Delivery to Persons with AIDS\_Demonstration Grants  
Number changed from 13.133 (1990U)  
Archived (1992B)

### 93.134

Assistance for Organ Procurement Organizations  
Number changed from 13.134 (1990U)  
Grants to Increase Organ Donations (1991B)

### 93.135

Centers for Research and Demonstration for Health Promotion and Disease Prevention  
Number changed from 13.135 (1990U)

### 93.136

Injury Prevention and Control Research Projects, Injury Prevention Research Centers, Applied Methods in Surveillance Projects, and State and Community-Based Injury Control Projects  
Number changed from 13.136 (1990U)  
Injury Prevention and Control Research Projects (1990U)  
Injury Prevention and Control Research and State Grants Projects (1992U)  
Injury Prevention and Control Research and State and Community Based Programs (1996B)

### 93.137

Minority Community Health Coalition Demonstration  
Number changed from 13.137 (1990U)  
Community Programs to Improve Minority Health Grant Program (2001B)

### 93.138

Protection and Advocacy for Mentally Ill Individuals  
Number changed from 13.138 (1990U)  
Protection and Advocacy for Individuals with Mental Illness (1993B)

### 93.139

Financial Assistance for Disadvantaged Health Professions Students (FADHPS)  
Number changed from 13.139 (1990U)  
Financial Assistance for Disadvantaged Health Professions Students (1997B)  
Consolidated into 93.925 (2001B)

### 93.140

Intramural Research Training Award  
Number changed from 13.140 (1990U)

### 93.141

Special State Grant Program for Increasing the Availability of the 9-1-1 Emergency Telephone Number (1993U)  
Special Initiatives Trauma Grant Program (1994U)  
Archived (1997B)

### 93.142

NIEHS Hazardous Waste Worker Health and Safety Training  
Number changed from 13.142 (1990U)

### 93.143

NIEHS Superfund Hazardous Substances\_Basic Research and Education  
Number changed from 13.143 (1990U)

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- 93.144**  
Drug and Alcohol Abuse Prevention\_High-Risk Youth Demonstration Grants  
Number changed from 13.144 (1990U)  
Demonstration Grants for the Prevention of Alcohol and Other Drug Abuse Among High-Risk Youth (1991U)  
Demonstration Grants for the Prevention of Alcohol and Other Drug Abuse Among High-Risk Youth (1992U)  
Demonstration Grants for the Prevention of Alcohol and Other Drug Abuse Among High-Risk Populations (1995B)  
Demonstration Grants for the Prevention of Alcohol and Drug Abuse Among High-Risk Populations (1996B)  
Archived (2002B)
- 93.145**  
AIDS Education and Training Centers  
Number changed from 13.145 (1990U)  
National AIDS Education and Training Centers (1994U)  
AIDS Education and Training Centers (1998B)
- 93.146**  
Temporary AIDS Drug Reimbursements  
Number changed from 13.146 (1990U)  
Archived (1992B)
- 93.147**  
Post-Baccalaureate Faculty Fellowships  
Number changed from 13.147 (1990U)  
Archived (1991B)
- 93.148**  
Cooperative Agreements for Collaborative Demonstration Program for Homeless Individuals (1993U)  
Archived (1997B)
- 93.149**  
Grants for Two-Year Programs of Schools of Medicine or Osteopathic Medicine  
Number changed from 13.149 (1990U)  
Archived (1993U)
- 93.150**  
Mental Health Services for the Homeless Block Grant  
Number changed from 13.150 (1990U)  
Projects for Assistance in Transition from Homelessness (PATH) (1991B)
- 93.151**  
Project Grants for Health Services to the Homeless  
Number changed from 13.151 (1990U)  
Health Center Grants for Homeless Populations (1997B)  
Consolidated into 93.224 (2006)
- 93.152**  
Community Demonstration Grant Projects for Alcohol and Drug Abuse Treatment of Homeless Individuals  
Number changed from 13.152 (1990U)  
Archived (1994)
- 93.153**  
Pediatric AIDS Health Care Demonstration Program  
Number changed from 13.153 (1990U)  
Pediatric Family AIDS Health Care Demonstration Program (1993U)  
HIV Demonstration Program for Children, Adolescents, and Women (1994B)  
Coordinated HIV Services and Access to Research for Children, Youth, Women, and Families (2000B)  
Coordinated Services and Access to Research for Women, Infants, Children, and You (2002B)
- 93.154**  
Special International Postdoctoral Research Program in Acquired Immunodeficiency Syndrome  
Number changed from 13.154 (1990U)  
Archived (2001B)
- 93.155**  
Rural Health Research Centers  
Number changed from 13.155 (1990U)
- 93.156**  
Grants for Faculty Training Projects in Geriatric Medicine and Dentistry  
Number changed from 13.156 (1990U)  
Geriatric Training Regarding Physicians and Dentists (1999U)  
Geriatric Training for Physicians, Dentists, and Behavioral/Mental Health Professionals (2002B)  
Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (2005)  
Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (2006)
- 93.157**  
Excellence in Minority Health Education and Care  
Number changed from 13.157 (1990U)  
Programs for Excellence in Health Professions Education for Minorities (1991B)  
Programs of Excellence in Health Professions Education for Minorities (1991U)  
Centers of Excellence (1999U)
- 93.158**  
Adolescent Health Centers for American Indians/Alaska Natives (1993U)  
Archived (1999B)
- 93.159**  
Health Care Services in the Home  
Number changed from 13.159 (1990U)
- Archived (1994B)
- 93.160**  
Minority AIDS Education/Prevention Grants  
Number changed from 13.160 (1990U)  
Minority AIDS and Related Risk Factors Education/Prevention Grants (1991B)  
Incorporated into 93.118 (1993B)
- 93.161**  
Health Program for Toxic Substances and Disease Registry  
Number changed from 13.161 (1990U)  
Split into 93.200, 93.201, 93.203, 93.204, 93.205, 93.206, 93.207, 93.208 (1994B)
- 93.162**  
National Health Service Corps Loan Repayment  
Number changed from 13.162 (1990U)  
National Health Service Corps Loan Repayment Program (1993U)
- 93.163**  
Health Services in the Pacific Basin  
Number changed from 13.163 (1990U)  
Archived (1997B)
- 93.164**  
Indian Health Service Educational Loan Repayment  
Number changed from 13.164 (1990U)
- 93.165**  
Grants for State Loan Repayment  
Number changed from 13.165 (1990U)  
Grants To States for Loan Repayment Program (2005)
- 93.166**  
Indian Health Service Health Promotion and Disease Prevention Demonstration Projects  
Number changed from 13.166 (1990U)  
Archived (1991B)
- 93.167**  
Research Facilities Improvement  
Number changed from 13.167 (1990U)  
Archived (1991U)
- 93.168**  
International Cooperative Biodiversity Groups Program (1995U)  
Consolidated into 93.989 (2006)
- 93.169**  
Model Projects for Pregnant and Postpartum Women and Their Infants (Substance Abuse)  
Number changed from 13.169 (1990U)  
Demonstration Grants on Model Projects for Pregnant and Postpartum Women and Their Infants (Substance Abuse) (1991U)

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Archived (2000U)

## 93.170

Community Youth Activity Demonstration Grants  
Number changed from 13.170 (1990U)  
Archived (1993B)

## 93.171

Community Youth Activity Block Grants  
Number changed from 13.171 (1990U)  
Archived (1993B)

## 93.172

Human Genome Research  
Number changed from 13.172 (1990U)

## 93.173

Biological Research Related to Deafness and  
Communicative Disorders  
Number changed from 13.173 (1990U)  
Research Related to Deafness and Communication  
Disorders (1990U)

## 93.174

Conference Grant (Substance Abuse)  
Number changed from 13.174 (1990U)  
Knowledge Dissemination Grants (Substance  
Abuse) (1996B)  
Archived (1999B)

## 93.175

Drug Abuse Treatment Waiting List Reduction  
Grants  
Number changed from 13.175 (1990U)  
Archived (1992B)

## 93.176

ADAMHA Small Instrumentation Program Grants  
Number changed from 13.176 (1990U)  
NIAAAA, NIDA, and NIMH Small Instrumentation  
Program Grants (1992U)  
Incorporated into 93.242, 93.273, 93.279 (1993B)

## 93.177

Integrated Community-Based Primary Care and  
Drug Abuse Treatment Services  
Number changed from 13.177 (1990U)  
Archived (1997B)

## 93.178

Nursing Education Opportunities for Individuals  
from Disadvantaged Backgrounds  
Number changed from 13.178 (1990U)  
Nursing Workforce Diversity (2000B)

## 93.179

State Data Collection\_Uniform Alcohol and Drug  
Abuse Data  
Number changed from 13.179 (1990U)  
Archived (1993U)

## 93.180

Medical Treatment Effectiveness Research  
Number changed from 13.180 (1990U)  
Research on Health Care Outcomes and Quality  
(1997U)  
Consolidated into 93.226 (1999B)

## 93.181

Podiatric Primary Care Residency Training  
Number changed from 13.181 (1990U)  
Grants for Podiatric Primary Care Residency  
Training (1993B)  
Podiatric Residency in Primary Care (1999U)  
Podiatric Residency Training in Primary Care  
(2002B)  
Archived (2009)

## 93.182

Scholarships for the Undergraduate Education of  
Professional Nurses  
Number changed from 13.182 (1990U)  
Archived (1993B)

## 93.183

Federal Assistance for Rural Hospitals for the  
Advancement and Improvement of Health Care  
Services and the Enhancement of Quality Care  
Number changed from 13.183 (1990U)  
Archived (1991B)

## 93.184

Disabilities Prevention  
Number changed from 13.184 (1990U)

## 93.185

Immunization Research, Demonstration, Public  
Information and Education\_Education, Training,  
and Clinical Skills Improvement Projects  
Number changed from 13.185 (1990U)  
Immunization Research, Demonstration, Public  
Information and Education\_Training and Clinical  
Skills Improvement Projects (1994U)

## 93.186

National Research Services Awards  
Number changed from 13.186 (1990U)  
National Research Service Award in Primary Care  
Medicine (2005)  
National Research Service Award in Primary Care  
Medicine (2006)

## 93.187

Undergraduate Scholarship Program for Individuals  
from Disadvantaged Backgrounds (1995U)

## 93.188

Special Project Grants to Schools of Public Health  
Number changed from 13.188 (1990U)  
Public Health Training Centers (1999U)  
Archived (2002B)

## 93.189

Health Education and Training Centers  
Number changed from 13.189 (1990U)  
Health Education Training Centers Continuing  
Educational Support for Health Professionals  
Serving in Underserved Communities (2010)

## 93.190

Model Education Projects for Health Professions  
Number changed from 13.190 (1990U)  
Archived (1993B)

## 93.191

Allied Health Project Grants  
Number changed from 13.191 (1990U)  
Allied Health Projects (1999U)  
Allied Health Special Projects (2002B)  
Patient Navigator and Chronic Disease Prevention  
Program (2010)

## 93.192

Interdisciplinary Training for Health Care for Rural  
Areas  
Number changed from 13.192 (1990U)  
Quentin N. Burdick Programs for Rural  
Interdisciplinary Training (1999U)  
Quentin N. Burdick Program for Rural  
Interdisciplinary Training (2005)  
Archived (2010)

## 93.193

Urban Indian Alcohol and Substance Abuse  
Prevention, Treatment, Rehabilitation and  
Education  
Number changed from 13.193 (1990U)  
Urban Indian Health Services (1991U)

## 93.194

Community Partnership Demonstration Grant  
Number changed from 13.194 (1990U)  
Community Partnership Study Demonstration  
Grant (1991U)  
Community Partnership Demonstration Grant  
(1993U)  
Community Prevention Coalitions (Partnership)  
Demonstration Grant (1996B)  
Archived (2002B)

## 93.195

Disaster Relief Assistance Grants for Drug Abuse  
Treatment  
Number changed from 13.195 (1990U)  
Archived (1991B)

## 93.196

Cooperative Agreements for Drug Abuse Treatment  
Improvement Projects in Target Cities  
Number changed from 13.196 (1990U)  
Archived (2000U)



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<b>93.197</b> Childhood Lead Poisoning Prevention Projects_State and Community-Based Childhood Lead Poisoning Prevention Number changed from 13.197 (1990U) Childhood Lead Poisoning Prevention Projects_State and Community-Based Childhood Lead Poisoning Prevention Program (1991B) Childhood Lead Poisoning Prevention Projects_State and Community-Based Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (1995B) Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (2000B)	Archived (1996B)	Program (1995U)
<b>93.198</b> Biological Models and Materials Resources Number changed from 13.198 (1990U) Biological Models and Materials Research (1991B) Consolidated into 93.306 (1996B)	<b>93.206</b> Health Studies Initiative of Priority Health Conditions Split from 93.161 (1994B) Human Health Studies_Applied Research and Development (1997B) Archived (2009) Reinstated (2010)	<b>93.216</b> HIV/AIDS Mental Health Services Demonstration Program (1994U) Archived (2000U)
<b>93.199</b> HIV Home and Community-Based Health Services Number changed from 13.199 (1990U) Archived (1992B)	<b>93.207</b> Surveillance of the Relationship Between Hazardous Substances Exposure and Adverse Health Outcomes Split from 93.161 (1994B) Archived (1996B)	<b>93.217</b> Family Planning_Services Number changed from 13.217 (1990U)
<b>93.200</b> Educating Health Professionals Regarding Environmentally Hazardous Substances Split from 93.161 (1994B) Environmental Health Education Activities for Health Professionals and Communities (1996B) Archived (1997B)	<b>93.208</b> Great Lakes Human Health Effects Research Split from 93.161 (1994B) Archived (2009)	<b>93.218</b> Substance Abuse Treatment Conference Grants (1994U) Archived (1999B)
<b>93.201</b> Public Health Assessments and Related Site-Specific Biological Testing Split from 93.161 (1994B) Archived (1997B)	<b>93.209</b> Contraception and Infertility Loan Repayment Program (1995U) Contraception and Infertility Research Loan Repayment Program (2000B)	<b>93.219</b> Matching Grants for Health Professions Scholarships to Indian Tribes (1994U)
<b>93.202</b> Capacity Building Among American Indian Tribes (2002B)	<b>93.210</b> Tribal Self-Governance Demonstration Program: Planning and Negotiation Cooperative Agreements and IHS Compacts (1994B) Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreements and IHS Compacts/Funding Agreements (2004) Tribal Self-Governance Program: IHS Compacts/Funding Agreements (2008)	<b>93.220</b> Loan Repayment Program for Individuals from Disadvantaged Backgrounds (1994U) Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (1995B)
<b>93.203</b> Health Activities Recommendation Panel Health Activities Split from 93.161 (1994B) Archived (1997B)	<b>93.211</b> Rural Telemedicine Grants (1994B) Telehealth Network Grants (2004) Telehealth Programs (2010)	<b>93.221</b> Junior National Health Service Corps/Junior Health Careers Opportunity Program (1994U) Split from 93.258, 93.822 (1994U) Archived (1997B)
<b>93.204</b> Surveillance of Hazardous Substance Emergency Events Split from 93.161 (1994B)	<b>93.212</b> Chiropractic Demonstration Projects (1994B) Chiropractic Demonstration Project Grants (2002B)	<b>93.222</b> Centers for Medical Education Research (1994U) Archived (2000B)
<b>93.205</b> Health Outcome Studies to Hazardous Substances and Adverse Health Effects Split from 93.161 (1994B)	<b>93.213</b> Research and Training in Alternative Medicine (1994B) Research and Training in Complementary and Alternative Medicine (2001B)	<b>93.223</b> Development and Coordination of Rural Health Services (1994U) Split from 93.913 (1994U)
	<b>93.214</b> Extramural Research Facilities Construction Projects (1994B) Consolidated into 93.389 (1996B)	<b>93.224</b> Community Health Centers Number changed from 13.224 (1990U) Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (2005)
	<b>93.215</b> Hansen's Disease National Ambulatory Care	<b>93.225</b> National Research Service Awards_Health Services Research Training Number changed from 13.225 (1990U)
		<b>93.226</b> Health Services Research and Development Grants Number changed from 13.226 (1990U) Health Care Systems Cost and Access Research and Development Grants (1998B) Consolidated from 93.180 (1999B)

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Research on Healthcare Costs, Quality and Outcomes (2000B)

## 93.227

Surveillance of the Complications of Hemophilia (1995U)

Archived (2001B)

## 93.228

Indian Health Services\_Health Management Development Program

Number changed from 13.228 (1990U)

## 93.229

Demonstration Cooperative Agreements for Development and Implementation of Criminal Justice Treatment Networks (1995B)

Archived (2009)

## 93.230

Consolidated Knowledge Development and Application Program (1996B)

Consolidated from 93.131 (1999B)

Consolidated Knowledge Development and Application (KD&A) Program (1999U)

Archived (2009)

## 93.231

Epidemiology Cooperative Agreements (1996U)

## 93.232

Educational Loan Repayment Program for Research Professionals (1996U)

Loan Repayment Program for Research (1997B)

Loan Repayment Program for General Research (1997U)

## 93.233

National Center on Sleep Disorders Research (1997B)

## 93.234

Traumatic Brain Injury (1997U)

Traumatic Brain Injury\_State Demonstration Grant Program (2000B)

Traumatic Brain Injury State Demonstration Grant Program (2005)

## 93.235

Abstinence Education (1997U)

Abstinence Education Program (2005)

Abstinence Education Program (2006)

Affordable Care Act (ACA) Abstinence Education Program (2011)

## 93.236

Grants for Dental Public Health (1998B)

Grants for Dental Public Health Residency Training (2000B)

## 93.237

Special Diabetes Program for Indians-Prevention and Treatment Projects (1998B)

Special Diabetes Program for Indians\_Diabetes Prevention and Treatment Projects (2001B)

## 93.238

Cooperative Agreements for State Treatment Outcomes and Performance Pilot Studies

Enhancement (1998B)

Archived (2009)

## 93.239

Policy Research and Evaluation Grants (1998B)

## 93.240

State Capacity Building (1999B)

## 93.241

State Rural Hospital Flexibility Program (1999B)

## 93.242

Mental Health Research Grants

Number changed from 13.242 (1990U)

Incorporated from 93.126, 93.176 (1993B)

## 93.243

Substance Abuse and Mental Health Services\_Projects of Regional and National Significance (2002B)

## 93.244

Mental Health Clinical or Service Related Training Grants

Number changed from 13.244 (1990U)

Mental Health Clinical and AIDS Service-Related Training Grants (1995U)

Archived (2009)

## 93.245

New Pilot Innovative Food Safety Projects (1999B)

Innovative Food Safety Projects (2000B)

Deleted (2005)

## 93.246

Migrant Health Centers Grants

Number changed from 13.246 (1990U)

Health Centers Grants for Migratory and Seasonal Farmworkers (1997B)

Health Centers Grants for Migrant and Seasonal Farmworkers (1999U)

Consolidated into 93.224 (2006)

## 93.247

Advanced Education Nursing Grant Program (2000B)

Consolidated from 93.298, 93.299, 93.916 (2001B)

Advanced Nursing Education Grant Program (2010)

## 93.248

Residencies in the Practice of Pediatric Dentistry (2000B)

Consolidated into 93.884 (2003B)

Deleted (2003)

## 93.249

Public Health Training Centers Grant Program (2000B)

## 93.250

Geriatric Academic Career Award (2000B)

Geriatric Academic Career Awards (2002B)

## 93.251

Universal Newborn Hearing Screening (2000B)

## 93.252

Community Access Program (2000B)

Healthy Community Access Program (2004)

Healthy Communities Access Program (2005)

Archived (2010)

## 93.253

National Poison Control Systems Stabilization and Support (2000U)

Poison Control Stabilization and Enhancement Grants (2002B)

Poison Center Support and Enhancement Grant Program (2010)

## 93.254

Infant Adoption Awareness Training (2001B)

## 93.255

Children's Hospitals Graduate Medical Education Payment (2001U)

## 93.256

State Planning Grant\_Health Care Access for the Uninsured (2001U)

State Planning Grants Health Care Access for the Uninsured (2005)

State Planning Grants Health Care Access for the Uninsured (2006)

State Health Access Program (2010)

## 93.257

Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (2002B)

## 93.258

National Health Service Corps

Number changed from 13.258 (1990U)

Split into 93.221 (1990U)

Archived (1997B)

## 93.259

Rural Access to Emergency Devices Grant (2002B)

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<b>93.260</b> Family Planning_Personnel Training Number changed from 13.260 (1990U)	Archived (2010)	Number changed from 13.281 (1990U) Scientist Development Award (SDA), Research Scientist Development Award (RSDA), Scientist Development Award for Clinicians (SDAC), and Research Scientist Award (RSA) (1992U) Mental Health Research Career/Scientist Development Awards (1995U)
<b>93.262</b> Occupational Safety and Health Research Grants Number changed from 13.262 (1990U) Occupational Safety and Health Research Projects (2004) Occupational Safety and Health Program (2005)	<b>93.273</b> Alcohol Research Programs Number changed from 13.273 (1990U) Incorporated from 93.126, 93.176 (1993B)	<b>93.282</b> Mental Health National Research Service Awards for Research Training Number changed from 13.282 (1990U)
<b>93.263</b> Occupational Safety and Health_Training Grants Number changed from 13.263 (1990U) Deleted (2005)	<b>93.274</b> Alcohol and Drug Abuse Clinical or Service-Related Training Number changed from 13.274 (1990U) Clinical Training Grant for Faculty Development in Alcohol and Other Drug Abuses (1994B) Clinical Training Grant for Faculty Development in Alcohol and Drug Abuses (1996B) Archived (2002B)	<b>93.283</b> Centers for Disease Control_Investigations and Technical Assistance Number changed from 13.283 (1990U) Centers for Disease Control and Prevention_Investigations and Technical Assistance (1993B)
<b>93.264</b> Nurse Faculty Loan Program (NFLP) (2003B)	<b>93.275</b> Substance Abuse and Mental Health Services-Access to Recovery (2004)	<b>93.284</b> Injury Prevention Program for American Indians and Alaskan Natives_Cooperative Agreements (2000B)
<b>93.265</b> Comprehensive Geriatric Education Program (CGEP) (2003B)	<b>93.276</b> Drug-Free Communities Support Program Grants (2004)	<b>93.285</b> National Institutes of Health Pediatric Research Loan Repayment Program (2004)
<b>93.266</b> Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (2004)	<b>93.277</b> Drug Abuse Scientist Development Award for Clinicians_Scientist Development Awards and Research Scientist Awards Number changed from 13.277 (1990U) Drug Abuse Scientist Development Awards, Research Scientist Development Awards, and Research Scientist Awards (1994B) Career Development Awards (2002B) Consolidated into 93.279 (2003B) Deleted (2003)	<b>93.286</b> Biomedical Imaging Research (2002B) Discovery and Applied Research for Technological Innovations to Improve Human Health (2005) Discovery and Applied Research for Technological Innovations to Improve Human Health (2006)
<b>93.267</b> State Grants for Protection and Advocacy Services (2004)	<b>93.278</b> Drug Abuse National Research Service Awards for Research Training Number changed from 13.278 (1990U) Consolidated into 93.279 (2003B) Deleted (2003)	<b>93.287</b> Bioengineering Research (2002B) Deleted (2004)
<b>93.268</b> Childhood Immunization Grants Number changed from 13.268 (1990U) Immunization Grants (1997U)	<b>93.279</b> Drug Abuse Research Programs Number changed from 13.279 (1990U) Split into 93.949 (1992B) Incorporated from 93.126, 93.176 (1993B) Drug Abuse and Addiction Research Programs (2005)	<b>93.288</b> National Health Service Corps Scholarship Program Number changed from 13.288 (1990U)
<b>93.269</b> Complex Humanitarian Emergency and War-Related Injury Public Health Activities (2008)	<b>93.280</b> National Institutes of Health Loan Repayment Program for Clinical Researchers (2003B)	<b>93.289</b> President's Council on Physical Fitness and Sports Number changed from 13.289 (1990U) President's Council on Fitness, Sports, and Nutrition (2010)
<b>93.270</b> Adult Viral Hepatitis Prevention and Control (2008)	<b>93.281</b> Mental Research Scientist Development Award and Research Scientist Development Award for Clinicians	<b>93.290</b> National Community Centers of Excellence in Women's Health (2000U)
<b>93.271</b> Alcohol Scientist Development Award and Research Scientist Development Award for Clinicians Number changed from 13.271 (1990U) Alcohol Research and Development Awards for Scientists and Clinicians (1993B) Alcohol Research Career Development Awards for Scientists and Clinicians (1993U) Archived (2010)		<b>93.291</b> Surplus Property Utilization Number changed from 13.291 (1990U)
<b>93.272</b> Alcohol National Research Service Awards for Research Training Number changed from 13.272 (1990U)		<b>93.294</b>

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Mentoring Partnership Program - Protege (2006)  
Archived (2010)

**93.295**  
Intergenerational Approaches to HIV/AIDS  
Prevention Education with Women across The  
Lifespan Pilot Program (2006)

**93.296**  
State Partnership Grant Program to Improve  
Minority Health (2006)

**93.297**  
Teenage Pregnancy Prevention Program (2010)

**93.298**  
Nurse Practitioner and Nurse Midwife Education  
and Traineeships  
Number changed from 13.298 (1990U)  
Nurse Practitioner and Nurse-Midwifery Education  
Programs (1993U)  
Consolidated into 93.247 (2001B)

**93.299**  
Advanced Nurse Education  
Number changed from 13.299 (1990U)  
Consolidated into 93.247 (2001B)

**93.300**  
National Center for Health Workforce Analysis  
(2002B)

**93.301**  
Small Rural Hospital Improvement Grants (2002B)  
Small Rural Hospital Improvement Grant Program  
(2005)

**93.302**  
Healthy Schools, Healthy Communities (2004)

Incorporated into 93.224 (2006)

**93.303**  
Nursing Scholarship Program (2007)

**93.306**  
Laboratory Animal Sciences and Primate Research  
Number changed from 13.306 (1990U)  
Comparative Medicine Program (1991U)  
Comparative Medicine, Consolidated from 93.198  
(1996B)  
Consolidated into 93.389 (2003B)  
Deleted (2003)

**93.307**  
Loan Repayment for Health Disparities Research  
(2002B)

**93.308**

Extramural Loan Repayment for individuals from  
Disadvantaged Backgrounds Conducting Clinical  
Research (2002B)

National Institute on Minority Health and Health  
Disparities (NIMHD) Extramural Loan Repayment  
Programs (2011)

**93.309**  
Bioinformatics and Computational Biology  
Research (2002B)  
Consolidated into 93.859 (2003B)  
Deleted (2003)

**93.310**  
Trans-NIH Research Support (2006)

**93.333**  
General Clinical Research Centers  
Number changed from 13.333 (1990U)  
Clinical Research (1996B)

**93.337**  
Biomedical Research Support  
Number changed from 13.337 (1990U)  
Consolidated into 93.371, 93.389 (1996B)

**93.338**  
Foreign Public Health Construction (2010)

**93.339**  
Public Health Conference Support (2011)

**93.342**  
Health Professions Student Loans  
Number changed from 13.342 (1990U)  
Health Professions Student Loans/Loans for  
Disadvantaged Students (1991B)  
Health Professions Student Loans, Including  
Primary Care Loans/Loans for Disadvantaged  
Students (1993B)

**93.358**  
Professional Nurse Traineeships  
Number changed from 13.358 (1990U)  
Advanced Education Nursing Traineeships (2000B)  
Advanced Nursing Education Traineeships (2010)

**93.359**  
Nurse Training Improvement\_Special Projects  
Number changed from 13.359 (1990U)  
Nursing\_Special Projects (1998B)  
Basic Nurse Education and Practice Grants (2000B)  
Nurse Education, Practice and Retention Grants  
(2003B)

**93.360**  
Biomedical Advanced Research and Development  
Authority (BARDA), Biodefense Medical  
Countermeasure Development (2010)

**93.361**  
Nursing Research  
Number changed from 13.361 (1990U)

**93.364**  
Nursing Student Loans  
Number changed from 13.364 (1990U)

**93.365**  
Sickle Cell Treatment Demonstration Program  
(2006)

**93.371**  
Biomedical Research Technology  
Number changed from 13.371 (1990U)  
Biomedical Technology, Consolidated from 93.337  
(1996B)  
Consolidated into 93.389 (2003B)  
Deleted (2003)

**93.375**  
Minority Biomedical Research Support  
Number changed from 13.375 (1990U)  
Consolidated into 93.859 (2003B)  
Deleted (2003)

**93.379**  
Grants for Graduate Training in Family Medicine  
Number changed from 13.379 (1990U)  
Consolidated into 93.884 (2001B)

**93.385**  
National Institutes of Health Pediatric Research  
Loan Repayment Program (2003B)

**93.389**  
Research Centers in Minority Institutions  
Number changed from 13.389 (1990U)  
Research Infrastructure (1996B)  
Consolidated from 93.337, 93.922 (2003)

**93.390**  
Academic Research Enhancement Award  
Number changed from 13.390 (1990U)  
Deleted (2006)

**93.392**  
Cancer Construction (1990U)  
Archived (2009)

**93.393**  
Cancer Cause and Prevention Research  
Number changed from 13.393 (1990U)

**93.394**  
Cancer Detection and Diagnosis Research  
Number changed from 13.394 (1990U)

**93.395**  
Cancer Treatment Research

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Number changed from 13.395 (1990U)

### 93.396

Cancer Biology Research

Number changed from 13.396 (1990U)

### 93.397

Cancer Centers Support

Number changed from 13.397 (1990U)

### 93.398

Cancer Research Manpower

Number changed from 13.398 (1990U)

### 93.399

Cancer Control

Number changed from 13.399 (1990U)

### 93.400

National Health Service Corps Scholarship Program (2009)

### 93.401

ARRA - National Health Service Corps Loan Repayment (2009)

### 93.402

ARRA - State Loan Repayment Program (2009)

### 93.403

ARRA - Training in Primary Care Medicine and Dentistry (2009)

ARRA Grants for Training in Primary Care Medicine and Dentistry Training and Enhancement (2010)

### 93.404

ARRA Dental Public Health Residency Training Grants (2009)

### 93.405

ARRA - Public Health Traineeship Program (2009)

### 93.406

Nursing Education Loan Repayment Program (NELRP) (2009)

### 93.407

ARRA - Scholarships for Disadvantaged Students (2009)

### 93.408

ARRA - Nurse Faculty Loan Program (2009)

### 93.409

Faculty Loan Repayment Programs (2009)

### 93.410

ARRA Licensure Portability Grant Program (2009)

### 93.411

ARRA Equipment to Enhance Training for Health Professionals (2009)

### 93.412

ARRA - Preventive Medicine Residency Program (2009)

### 93.414

ARRA - State Primary Care Offices (2009)

### 93.415

ARRA - Centers of Excellence (2009)

### 93.416

ARRA - Health Careers Opportunity Program (2009)

### 93.417

ARRA - Nursing Workforce Diversity (2009)

### 93.418

ARRA - Emergency Medical Services for Children (2009)

### 93.419

ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program (2009)

### 93.420

ARRA - Community Health Applied Research Network (2009)

### 93.440

National Project Management of the Healthcare Communities Knowledge Gateway (2010)

### 93.441

Indian Self-Determination (2000U)

### 93.442

Special Diabetes Program for Indians (SDPI) Competitive Grant Program (2004)

### 93.443

Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (2008)

### 93.444

Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (2008)

### 93.445

Indian Health Service Sanitation Facilities Construction Program (2010)

### 93.447

State Health Fraud Task Force Grants (2004)

### 93.448

Food Safety and Security Monitoring Project

(2005)

### 93.449

Ruminant Feed Ban Support Project (2005)

### 93.451

The Linkage to Life Program: Rebuilding Broken Bridges for Minority Families Impacted by HIV/AIDS. (2010)

### 93.452

Health Improvement for Re-entering Ex-offenders Initiative (HIRE) HIV/AIDS (2010)

### 93.453

Coalition for a Healthier Community (2010)

### 93.500

Pregnancy Assistance Fund Program (2010)

### 93.501

Affordable Care Act (ACA) Grants for School-Based Health Center Capital Expenditures (2010)

### 93.502

Affordable Care Act (ACA) Infrastructure to Expand Access to Care (2010)

### 93.503

Affordable Care Act (ACA) Nursing and Home Health Aides Training Program (2010)

### 93.504

Affordable Care Act (ACA) Family to Family Health Information Centers (2010)

### 93.505

Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program (2010)

### 93.506

ACA Nationwide Program for National and State Background Checks for Direct Patient Access Employees of Long Term Care Facilities and Providers (2010)

### 93.507

Strengthening Public Health Infrastructure for Improved Health Outcomes (2010)

### 93.508

Affordable Care Act (ACA) Tribal Maternal, Infant, and Early Childhood Home Visiting Program (2010)

### 93.509

Affordable Care Act (ACA) State Health Care Workforce Development Grants (2010)

### 93.510

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Affordable Care Act (ACA) Primary Care Residency Expansion Program (2010)

## 93.511

Affordable Care Act (ACA) Grants to States for Health Insurance Premium Review (2010)

## 93.512

Affordable Care Act (ACA) Personal and Home Care Aide State Training Program (PHCAST) (2010)

## 93.513

Affordable Care Act (ACA) Advanced Nursing Education Expansion Initiative (2010)

## 93.514

Affordable Care Act (ACA) Expansion of Physician Assistant Training Program (2010)

## 93.515

Affordable Care Act (ACA) Nurse-Managed Health Clinics (2010)

## 93.516

Affordable Care Act (ACA) Public Health Training Centers Program (2010)

## 93.517

Affordable Care Act Aging and Disability Resource Center (2010)

## 93.518

93.518 - Affordable Care Act - Medicare Improvements for Patients and Providers (2010)

## 93.519

Affordable Care Act (ACA) Consumer Assistance Program Grants (2010)

## 93.520

Centers for Disease Control and Prevention Affordable Care Act (ACA) Communities Putting Prevention to Work (2010)

## 93.521

The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements (2010)

## 93.522

Affordable Care Act (ACA) Prevention Center for Healthy Weight (2010)

## 93.523

The Affordable Care Act: Human Immunodeficiency Virus (HIV) Prevention and Public Health Fund Activities (2010)

## 93.524

The Affordable Care Act (ACA): Capacity Building Assistance to Strengthen Public Health Infrastructure and Performance (2010)

## 93.525

State Planning and Establishment Grants for the Affordable Care Act (ACA)s Exchanges (2010)

## 93.526

Affordable Care Act (ACA) Grants for Capital Development in Health Centers (2010)

## 93.527

Affordable Care Act (ACA) Grants for New and Expanded Services under the Health Center Program (2010)

## 93.528

National Forum for State and Territorial Chief Executives (2011)

## 93.529

Pre-existing Condition Insurance Program (PCIP) (2011)

## 93.530

Affordable Care Act - Teaching Health Center Graduate Medical Education Payments Program (2010)

## 93.531

The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Community Transformation Grants and National Dissemination and Support for Community Transformation Grants (2011)

## 93.533

Prevention and Public Health Fund (Affordable Care Act): Enhanced Surveillance for New Vaccine Preventable Disease (2011)

## 93.534

Affordable Care Act Program for Early Detection of Certain Medical Conditions Related to Environmental Health Hazards (2010)

## 93.535

Affordable Care Act (ACA) Childhood Obesity Research Demonstration (2011)

## 93.536

The Affordable Care Act Medicaid Incentives for Prevention of Chronic Disease Demonstration Project (2011)

## 93.537

Affordable Care Act Medicaid Emergency Psychiatric Demonstration (2011)

## 93.538

Affordable Care Act - National Environmental Public Health Tracking Program-Network Implementation (2011)

## 93.539

Prevention and Public Health Fund (Affordable Care Act) - Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance (2011)

## 93.540

Affordable Care Act Streamlined surveillance for ventilator-associated pneumonia: Reducing burden and demonstrating preventability (2011)

## 93.541

The Patient Protection and Affordable Care Act of 2010 (ACA) (2011)

## 93.542

Health Promotion and Disease Prevention Research Centers: Affordable Care Act (ACA) Special Interest Project Competitive Supplements (SIPS) (2011)

Health Promotion and Disease Prevention Research Centers: Affordable Care Act Projects (2011)

## 93.544

The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Coordinated Chronic Disease prevention and Health Promotion Program (2011)

## 93.545

Consumer Operated and Oriented Plan [CO-OP] Program (2011)

## 93.546

Early Retiree Reinsurance Program (2011)

## 93.547

Affordable Care Act National Health Service Corps (2011)

## 93.548

The Patient Protection and Affordable Care Act of 2010 (2010) Nutrition, Physical Activity and Obesity Program (2011)

## 93.549

Affordable Care Act (ACA) The Primary Care Services Resource Coordination and Development Program (2011)

## 93.550

Administration for Children, Youth and Families Transitional Living for Runaway and Homeless Youth

Number changed from 13.550 (1990U)

Transitional Living for Runaway and Homeless Youth (1991U)

Transitional Living for Homeless Youth (1992U)

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<b>93.551</b> Administration for Children, Youth and Families_Abandoned Infants Number changed from 13.551 (1990U) Abandoned Infants (1991U)	<b>93.563</b> Child Support Enforcement Number changed from 93.023 (1992U)	Number changed from 93.035 (1992U) Archived (1997U)
<b>93.552</b> Special Programs for the Aging_Title III, Part G_Prevention of Abuse, Neglect, and Exploitation of Older Individuals (1991B) Number changed to 93.041 (1992U)	<b>93.564</b> Child Support Enforcement Research Number changed from 93.024 (1992U) Archived (1997B) Reinstated (1997U)	<b>93.574</b> Child Care for Families At-Risk of Welfare Dependency Number changed from 93.036 (1992U) Archived (1998B)
<b>93.553</b> Special Programs for the Aging_Title III, Part A_Long-Term Care Ombudsman Services for Older Individuals (1991B) Number changed to 93.042 (1992U)	<b>93.565</b> State Legalization Impact Assistance Grants Number changed from 93.025 (1992U) Archived (1997B)	<b>93.575</b> Payments to States for Child Care Assistance Number changed from 93.037 (1992U) Child Care and Development Block Grant (1995B)
<b>93.554</b> Emergency Protection Grants_Substance Abuse (1991B) Archived (1995B)	<b>93.566</b> Refugee and Entrant Assistance_State Administered Programs Number changed from 93.026 (1992U) Split into 93.584 (1994U)	<b>93.576</b> Refugee and Entrant Assistance_Discretionary Grants Number changed from 93.038 (1992U) Consolidated from 93.987 (1997B)
<b>93.555</b> Special Programs for the Aging_Title III, Part F_Preventive Health Services (1992B) Number changed to 93.043 (1992U)	<b>93.567</b> Refugee Assistance_Voluntary Agency Programs Number changed from 93.027 (1992U) Refugee and Entrant Assistance_Voluntary Agency Programs (2000B)	<b>93.577</b> Early Learning Fund (2001U)
<b>93.556</b> Family Preservation and Support Services (1993U) Promoting Safe and Stable Families (2000B)	<b>93.568</b> Low-Income Home Energy Assistance Number changed from 93.028 (1992U)	<b>93.578</b> Family Support Centers Demonstration Program Number changed from 93.040 (1992U) Homeless Families Support Services Demonstration Program (1992U) Family Support Center and Gateway Demonstration Program (1993U) Archived (1997B)
<b>93.557</b> Education and Prevention to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (1999B)	<b>93.569</b> Community Services Block Grant Number changed from 93.031 (1992U)	<b>93.579</b> U.S. Repatriate Program (1992U) U.S. Repatriation Program (1999U)
<b>93.558</b> Temporary Assistance for Needy Families (1997B)	<b>93.570</b> Community Services Block Grant_Discretionary Awards Number changed from 93.032 (1992U)	<b>93.580</b> Family Resource and Support Program (1993B) Family Resource Centers (1994B) Archived (1995B)
<b>93.559</b> Federal Loans for State Welfare Programs (1997B) Archived (2000B)	<b>93.571</b> Community Services Block Grant Discretionary Awards_Community Food and Nutrition Number changed from 93.033 (1992U) Community Services Block Grant Formula and Discretionary Awards Community Food and Nutrition Programs (2005) Community Services Block Grant Formula and Discretionary Awards Community Food and Nutrition Programs (2006) Deleted (2008)	<b>93.581</b> Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (1994U)
<b>93.560</b> Family Support Payments to States_Assistance Payments Number changed from 93.020 (1992U)	<b>93.572</b> Emergency Community Services for the Homeless Number changed from 93.034 (1992U) Archived (1997B)	<b>93.582</b> Mitigation of Environmental Impacts to Indian Lands Due to Department of Defense Activities (1994U)
<b>93.561</b> Job Opportunities and Basic Skills Training Number changed from 93.021 (1992U) Archived (1998B)	<b>93.573</b> Community Services Block Grant Discretionary Awards_Demonstration Partnerships	<b>93.583</b> Refugee and Entrant Assistance_Wilson/Fish Program (1994U)
<b>93.562</b> Assistance Payments_Research Number changed from 93.022 (1992U) Archived (1997B) Reinstated (1997U) Consolidated into 93.647 (1998B)		<b>93.584</b> Refugee and Entrant Assistance_Targeted Assistance (1994U) Split from 93.566 (1994U) Refugee and Entrant Assistance_Targeted

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Assistance Grants (2004)

## 93.585

Empowerment Zones Program (1994U)  
Archived (1998B)

## 93.586

State Court Improvement Program (1994U)

## 93.587

Promote the Survival and Vitality of Native American Languages (1994U)  
Promote the Survival and Continuing Vitality of Native American Languages (1995B)

## 93.588

Community Schools Program (1995U)  
Community Schools Youth Services and Supervision Program (1996U)  
Archived (1999B)

## 93.589

Refugee Assistance\_Naturalization and Citizenship Activities (1995U)  
Archived (1999B)

## 93.590

Community-Based Resource Centers (1995U)  
Community-Based Family Resource and Support Grants (1998B)  
COMMUNITY-BASED CHILD ABUSE PREVENTION GRANTS (2005)  
Community-Based Child Abuse Prevention Grants (2006)

## 93.591

Family Violence Prevention and Services: Grants to State Domestic Violence Coalitions (1995U)  
Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Grants to State Domestic Violence Coalitions (1997U)

## 93.592

Family Violence Prevention and Services: Discretionary Grants (1995U)  
Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Discretionary Grants (1997U)

## 93.593

Job Opportunities for Low-Income Individuals (1995U)

## 93.594

Tribal Work Grants (1997B)

## 93.595

Welfare Reform Research, Evaluations and National Studies (1997B)

## 93.596

Child Care Mandatory and Matching Funds of the Child Care and Development Fund (1997B)

## 93.597

Grants to States for Access and Visitation Programs (1997B)

## 93.598

Assistance for Victims of Trafficking (2001U)  
Services to Victims of a Severe Form of Trafficking (2002B)

## 93.599

Chafee Education and Training Vouchers Program (ETV) (2003B)

## 93.600

Administration for Children, Youth and Families\_Head Start  
Number changed from 13.600 (1990U)  
Head Start (1991U)

## 93.601

Child Support Enforcement Demonstration and Special Projects (1999B)

## 93.602

New Assets for Independence Demonstration Program (1999B)  
Assets for Independence Demonstration Program (2005)  
Assets for Independence Demonstration Program (2006)

## 93.603

Adoption Incentive Payments (1999B)

## 93.604

Assistance to Torture Victims (2000B)  
Assistance for Torture Victims (2005)

## 93.605

Family Connection Grants (2008)

## 93.606

Affordable Care Act - Preparedness and Emergency Response Learning Centers (2011)

## 93.607

Affordable Care Act - Preparedness and Emergency Response Research Centers: A Public Health Systems Approach (2011)

## 93.608

Administration for Children, Youth and Families\_Child Welfare Research and Demonstration  
Number changed from 13.608 (1990U)  
Child Welfare Research and Demonstration (1991U)  
Archived (1998B)

## 93.612

Native American Programs  
Number changed from 13.612 (1990U)

## 93.613

Mental Retardation\_President's Committee on Mental Retardation  
Number changed from 13.613 (1990U)

## 93.614

Child Development Associate Scholarships  
Number changed from 13.614 (1990U)  
Archived (1997B)

## 93.616

Mentoring Children of Prisoners (2003B)

## 93.617

Voting Access for Individuals with Disabilities\_Grants to States and Local Government (2003B)  
Voting Access for Individuals with Disabilities\_Grants to States (2004)

## 93.618

Voting Access for Individuals with Disabilities\_Grants for Protection and Advocacy Systems (2003B)  
Voting Access for Individuals with Disabilities\_Grants for Protection and Advocacy Systems (2004)

## 93.623

Administration for Children, Youth and Families\_Runaway and Homeless Youth  
Number changed from 13.623 (1990U)  
Runaway and Homeless Youth (1991U)  
Comprehensive Runaway and Homeless Youth (1995U)  
Runaway and Homeless Youth (1996B)

## 93.630

Administration on Developmental Disabilities\_Basic Support and Advocacy Grants  
Number changed from 13.630 (1990U)  
Developmental Disabilities Basic Support and Advocacy Grants (1991U)

## 93.631

Administration on Developmental Disabilities\_Projects of National Significance  
Number changed from 13.631 (1990U)  
Developmental Disabilities Projects of National Significance (1991U)

## 93.632

Administration on Developmental Disabilities\_University Affiliated Programs  
Number changed from 13.632 (1990U)  
Developmental Disabilities University Affiliated Programs (1991U)



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University Centers for Excellence in Developmental Disabilities Education, Research, and Service (2002B)

## 93.633

Special Programs for the Aging\_ Title III, Part B\_ Grants for Supportive Services and Senior Centers

Number changed from 13.633 (1990U)

Number changed to 93.044 (1992U)

## 93.635

Special Programs for the Aging\_ Title III, Part C\_ Nutrition Services

Number changed from 13.635 (1990U)

Number changed to 93.045 (1992U)

## 93.641

Special Programs for the Aging\_ Title III, Part D\_ In-Home Services for Frail Older Individuals

Number changed from 13.641 (1990U)

Number changed to 93.046 (1992U)

## 93.643

Children's Justice Grants to States

Number changed from 13.643 (1990U)

## 93.645

Child Welfare Services\_ State Grants

Number changed from 13.645 (1990U)

Stephanie Tubbs Jones Child Welfare Services Program (2011)

## 93.647

Social Services Research and Demonstration

Number changed from 13.647 (1990U)

Consolidated from 93.562 (1998B)

## 93.648

Child Welfare Services Training Grants

Number changed from 13.648 (1990U)

Child Welfare Research Training or Demonstration (2009)

## 93.652

Administration for Children, Youth and Families\_ Adoption Opportunities

Number changed from 13.652 (1990U)

Adoption Opportunities (1991U)

## 93.655

Special Programs for the Aging, Title VI\_ Part A, Indian Programs\_ Grants to Indian Tribes\_ Part B, Grants to Native Hawaiians

Number changed from 13.655 (1990U)

Special Programs for the Aging, Title VI\_ Part A, Indian Programs\_ Grants to Indian Tribes and Part B, Grants to Native Hawaiians (1991B)

Number changed to 93.047 (1992U)

## 93.656

Temporary Child Care and Crisis Nurseries

Number changed from 13.656 (1990U)

Archived (1998B)

## 93.657

Drug Abuse Prevention and Education for Runaway and Homeless Youth

Number changed from 13.657 (1990U)

Drug Abuse Prevention Program for Runaway and Homeless Youth (1991B)

Drug Education and Prevention for Homeless Youth (1993U)

Archived (1997B)

## 93.658

Foster Care\_ Title IV-E

Number changed from 13.658 (1990U)

## 93.659

Adoption Assistance

Number changed from 13.659 (1990U)

## 93.660

Drug Abuse Prevention and Education Relating to Youth Gangs

Number changed from 13.660 (1990U)

Drug Education and Prevention Programs for Youth Gangs (1993U)

Youth Initiative/Youth Gangs (1994B)

Archived (1997B)

## 93.666

Comprehensive Child Development Centers

Number changed from 13.666 (1990U)

Archived (1996B)

## 93.667

Social Services Block Grant

Number changed from 13.667 (1990U)

## 93.668

Special Programs for the Aging\_ Title IV\_ Training, Research and Discretionary Projects and Programs

Number changed from 13.668 (1990U)

Number changed to 93.048 (1992U)

## 93.669

Administration for Children, Youth and Families\_ Child Abuse and Neglect State Grants

Number changed from 13.669 (1990U)

Child Abuse and Neglect State Grants (1991U)

## 93.670

Administration for Children, Youth and Families\_ Child Abuse and Neglect Discretionary Activities

Number changed from 13.670 (1990U)

Child Abuse and Neglect Discretionary Activities (1991U)

## 93.671

Family Violence and Prevention Services

Number changed from 13.671 (1990U)

Family Violence Prevention and Services\_ Grants to States and Indian Tribes (1995B)

Family Violence Prevention and Services/ Grants for Battered Women's Shelters\_ Grants to States and Indian Tribes (1997U)

## 93.672

Child Abuse Challenge Grants

Number changed from 13.672 (1990U)

Child Abuse and Neglect State Prevention Grants (1992U)

Community-Based Prevention Program (1993U)

Archived (1995B)

## 93.673

Grants to States for Planning and Development of Dependent Care Programs

Number changed from 13.673 (1990U)

Archived (1997B)

## 93.674

Independent Living

Number changed from 13.674 (1990U)

Chafee Foster Care Independent Living (2002B)

Chafee Foster Care Independence Program (2005)

Chafee Foster Care Independence Program (2006)

## 93.676

Unaccompanied Alien Children Program (2003B)

## 93.701

Trans-NIH Recovery Act Research Support (2009)

## 93.702

National Center for Research Resources, Recovery Act Construction Support (2009)

## 93.703

ARRA Health Center Integrated Services Development Initiative[g1] (2009)

ARRA Grants to Health Center Programs (2010)

## 93.704

Trans-NIH Recovery Act Loan Repayment Support (2009)

## 93.705

Aging Home-Delivered Nutrition Services for States (2009)

## 93.706

Aging Nutrition Services for Native Americans (2009)

## 93.707

Aging Congregate Nutrition Services for States (2009)

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<b>93.708</b> ARRA - HEAD START (2009)	ARRA - Prevention and Wellness-State, Territories and Pacific Islands (2009)	Medicare_Prescription Drug Coverage (2005)
<b>93.709</b> ARRA EARLY HEAD START (2009)	<b>93.724</b> ARRA - Prevention and Wellness -Communities Putting Prevention to Work Funding Opportunities Announcement (FOA) (2009)	<b>93.773</b> Medicare_Supplementary Medical Insurance Number changed from 13.773 (1990U)
<b>93.710</b> ARRA - COMMUNITY SERVICES BLOCK GRANT (2009)	<b>93.725</b> ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program (2009)	<b>93.774</b> Health Insurance for the Aged_Supplementary Medical Insurance Number changed from 13.774 (1990U)
<b>93.711</b> ARRA STRENGTHENING COMMUNITIES FUND (2009)	<b>93.726</b> ARRA Accelerating Adoption of Comparative Effectiveness Research (CER) (2010)	<b>93.775</b> State Medicaid Fraud Control Units Number changed from 13.775 (1990U)
<b>93.712</b> ARRA - Immunization (2009)	<b>93.727</b> ARRA - Health Information Technology - Beacon Communities (2009)	<b>93.776</b> Hurricane Katrina Relief (2006) Archived (2009)
<b>93.713</b> ARRA CHILD CARE AND DEVELOPMENT BLOCK GRANT (2009)	<b>93.728</b> ARRA - Strategic Health IT Advanced Research Projects (SHARP) (2009)	<b>93.777</b> State Survey and Certification of Health Care Providers and Suppliers Number changed from 13.777 (1990U)
<b>93.714</b> ARRA EMERGENCY CONTINGENCY FUND FOR TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) STATE PROGRAMS (2009)	<b>93.729</b> ARRA Health Information Technology and Public Health (2010)	<b>93.778</b> Medical Assistance Program Number changed from 13.714 (1990U)
<b>93.715</b> Recovery Act Comparative Effectiveness Research - AHRQ (2009)	<b>93.730</b> ARRA Prevention Research Centers Comparative Effectiveness Research Program (2010)	<b>93.779</b> Health Care Financing Research, Demonstrations and Evaluations Number changed from 13.766 (1990U) Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (2002B)
<b>93.716</b> ARRA TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) SUPPLEMENTAL GRANTS (2009)	<b>93.731</b> ARRA - Prevention and Wellness - Leveraging National Organizations (2010)	<b>93.780</b> Grants to States for Operation of Qualified High-Risk Pools (2003B)
<b>93.717</b> ARRA - Preventing Healthcare-Associated Infections (2009)	<b>93.760</b> Rural PACE (Program of All-Inclusive Care for the Elderly) Provider Grant Program (2006) Archived (2011)	<b>93.781</b> Seed Grants to States for Qualified High-Risk Pools (2003B) Archived (2009)
<b>93.718</b> Health Information Technology Regional Extension Centers Program (2009)	<b>93.766</b> Health Care Financing Research, Demonstrations and Evaluations Number changed from 13.779 (1990U)	<b>93.782</b> Medicare Transitional Drug Assistance Program for Territories (2004)
<b>93.719</b> ARRA State Grants to Promote Health Information Technology (2009)	<b>93.767</b> State Children's Insurance Program (1998B) Children's Health Insurance Program (2009)	<b>93.783</b> Medicare Transitional Drug Assistance Program for States (2004) Archived (2009)
<b>93.720</b> ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (2009)	<b>93.768</b> Medicaid Infrastructure Grants to Support the Competitive Employment of People with Disabilities (2000U)	<b>93.784</b> Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (2004)
<b>93.721</b> ARRA - Health Information Technology Professionals in Health Care (2009)	<b>93.769</b> Demonstration to Maintain Independence and Employment (2000U) Archived (2011)	<b>93.785</b> Pilot Program for National and State Background Checks--Direct Patient Access for Long-Term Care
<b>93.722</b> IHS ARRA Tribal Ageements (2009) ARRA - IHS Tribal Agreements (2009)	<b>93.770</b>	

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(2004) Archived (2009)	Number changed to 96.006 (1995B)	Deleted (2008)
<b>93.786</b> State Pharmaceutical Assistance Programs (2004) Archived (2009)	<b>93.812</b> Public Assistance Research Number changed from 13.812 (1990U) Number changed to 96.007 (1995B)	<b>93.849</b> Kidney Diseases, Urology and Hematology Research Number changed from 13.849 (1990U) Deleted (2008)
<b>93.789</b> Alternatives to Psychiatric Residential Treatment Facilities for Children (2006)	<b>93.820</b> Scholarships for Students of Exceptional Financial Need Number changed from 13.820 (1990U) Archived (2002B)	<b>93.853</b> Clinical Research Related to Neurological Disorders Number changed from 13.853 (1990U) Consolidated from 93.854 (1999B) Extramural Research Programs in the Neurosciences and Neurological Disorders (2000B)
<b>93.790</b> Alternate Non-Emergency Service Providers or Networks (2006)	<b>93.821</b> Biophysics and Physiological Sciences Number changed from 13.821 (1990U) Incorporated from 93.863 (1995B) Cell Biology and Biophysics Research (1995B) Consolidated into 93.859 (2003B) Deleted (2003)	<b>93.854</b> Biological Basis Research in the Neurosciences Number changed from 13.854 (1990U) Consolidated into 93.853 (1999B)
<b>93.791</b> Money Follows the Person Rebalancing Demonstration (2006)	<b>93.822</b> Health Careers Opportunity Program Number changed from 13.822 (1990U) Split into 93.221 (1994U)	<b>93.855</b> Allergy, Immunology and Transplantation Research Number changed from 13.855 (1990U)
<b>93.793</b> Medicaid Transformation Grants (2006)	<b>93.824</b> Area Health Education Centers Number changed from 13.824 (1990U) Basic/Core Area Health Education Centers (1999U) Area Health Education Centers Infrastructure Development Awards (2010)	<b>93.856</b> Microbiology and Infectious Diseases Research Number changed from 13.856 (1990U)
<b>93.794</b> Reimbursement of State Costs for Provision of Part D Drugs (2006) Archived (2009)	<b>93.837</b> Heart and Vascular Diseases Research Number changed from 13.837 (1990U) Cardiovascular Diseases Research (2008)	<b>93.859</b> Pharmacological Sciences Number changed from 13.859 (1990U) Pharmacology and Biorelated Chemistry (1993U) Incorporated from 93.863 (1995B) Pharmacology, Physiology, and Biorelated Chemistry (1995B) Pharmacology, Physiology, and Biological Chemistry Research (1995U)
<b>93.796</b> State Survey Certification of Health Care Providers and Suppliers (Title XIX) Medicaid (2010)	<b>93.838</b> Lung Diseases Research Number changed from 13.838 (1990U)	<b>93.862</b> Genetics Research Number changed from 13.862 (1990U) Genetics and Developmental Biology Research (1995B) Genetics and Developmental Biology Research and Research Training (2000B) Consolidated into 93.859 (2003B) Archived (2003)
<b>93.802</b> Social Security_Disability Insurance Number changed from 13.802 (1990U) Number changed to 96.001 (1995B)	<b>93.839</b> Blood Diseases and Resources Research Number changed from 13.839 (1990U)	<b>93.863</b> Cellular and Molecular Basis of Disease Research Number changed from 13.863 (1990U) Incorporated into 93.821, 93.859 (1995B)
<b>93.803</b> Social Security_Retirement Insurance Number changed from 13.803 (1990U) Number changed to 96.002 (1995B)	<b>93.846</b> Arthritis, Musculoskeletal and Skin Diseases Research Number changed from 13.846 (1990U)	<b>93.864</b> Population Research Number changed from 13.864 (1990U) Consolidated into 93.865 (2003B) Deleted (2003)
<b>93.804</b> Social Security_Special Benefits for Persons Aged 72 and Over Number changed from 13.804 (1990U) Number changed to 96.003 (1995B)	<b>93.847</b> Diabetes, Endocrinology and Metabolism Research Number changed from 13.847 (1990U) Diabetes, Digestive, and Kidney Diseases Extramural Research (2008)	
<b>93.805</b> Social Security_Survivors Insurance Number changed from 13.805 (1990U) Number changed to 96.004 (1995B)	<b>93.848</b> Digestive Diseases and Nutrition Research Number changed from 13.848 (1990U)	
<b>93.806</b> Special Benefits for Disabled Coal Miners Number changed from 13.806 (1990U) Number changed to 96.005 (1995B)		
<b>93.807</b> Supplemental Security Income Number changed from 13.807 (1990U)		

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<b>93.865</b> Research for Mothers and Children Number changed from 13.865 (1990U) Center for Research for Mothers and Children (1998B) Child Health and Human Development Extramural Research (2004)	and Long-Term Care Facilities for Patients with AIDS Number changed from 13.887 (1990U) Project Grants for Renovation or Construction of Non-Acute Health Care Facilities (1995U) Project Grants for Renovation or Construction of Non-Acute Health Care Facilities and Other Facilities (1999U) Health Care and Other Facilities (2002B)	Grants for Faculty Development in General Internal Medicine and/or General Pediatrics Number changed from 13.900 (1990U) Consolidated into 93.895 (2001B)
<b>93.866</b> Aging Research Number changed from 13.866 (1990U)	<b>93.888</b> Specially Selected Health Projects (2004)	<b>93.901</b> Communications Programs Aimed Toward the Prevention of Alcohol and Other Drug Problems Number changed from 13.901 (1990U) Communications Programs Aimed Toward the Prevention of Alcohol, Tobacco, and Other Drug Problems (1992U) Communications Programs for Demonstrating the Prevention of Alcohol, Tobacco, and Other Drug Problems (1995B) Communications Programs for Demonstrating the Prevention of Alcohol, and Drug Problems (1996B) Archived (1999B)
<b>93.867</b> Retinal and Choroidal Diseases Research Number changed from 13.867 (1990U) Incorporated from 93.868, 93.871 (1993B) Vision Research (1993B)	<b>93.889</b> National Bioterrorism Hospital Preparedness Program (2004)	<b>93.902</b> Model Comprehensive Treatment Programs for Critical Populations (1990U) Model Comprehensive Drug Abuse Treatment Programs for Critical Populations (1991B) Archived (1999B)
<b>93.868</b> Anterior Segment Diseases Research Number changed from 13.868 (1990U) Incorporated into 93.867 (1993B)	<b>93.890</b> Healthy Communities Access Program (HCAP) Demonstration Authority (2004) Archived (2010)	<b>93.903</b> Model Criminal Justice Drug Abuse Treatment_Incarcerated Populations_Non-Incarcerated Populations_Treatment Prison (1990U) Model Criminal Justice Drug Abuse Treatment_Incarcerated Populations_Non-Incarcerated Populations_Juvenile Justice Populations (1991B) Model Criminal Justice Drug Abuse Treatment for Incarcerated Populations, Non-Incarcerated Populations and Juvenile Justice Populations (1992U) Archived (1997B)
<b>93.871</b> Strabismus, Amblyopia and Visual Processing Number changed from 13.871 (1990U) Incorporated into 93.867 (1993B)	<b>93.891</b> Alcohol Research Center Grants Number changed from 13.891 (1990U) Archived (2010)	
<b>93.879</b> Medical Library Assistance Number changed from 13.879 (1990U)	<b>93.894</b> Resource and Manpower Development in the Environmental Health Services Number changed from 13.894 (1990U) Deleted (2006)	
<b>93.880</b> Minority Access to Research Careers Number changed from 13.880 (1990U) Consolidated into 93.859 (2003B) Deleted (2003)	<b>93.895</b> Grants for Faculty Development in Family Medicine Number changed from 13.895 (1990U) Consolidated from 93.900 (2001B) Consolidated into 93.884 (2003B) Deleted (2003)	
<b>93.884</b> Grants for Residency Training in General Internal Medicine and/or General Pediatrics Number changed from 13.884 (1990U) Consolidated from 93.379 (2001B) Grants for Residency Training in Primary Care Medicine and Dentistry (2004) Grants for Training in Primary Care Medicine and Dentistry (2005) Grants for Training in Primary Care Medicine and Dentistry (2006)	<b>93.896</b> Grants for Predoctoral Training in Family Medicine Number changed from 13.896 (1990U) Predoctoral Training in Primary Care (Family Medicine, General Internal Medicine/General Pediatrics) (2000B) Consolidated into 93.884 (2003B) Deleted (2003)	<b>93.904</b> Prevention and Primary Health Care Services to Persons with HIV Infection and/or AIDS in Community Health Facilities (1990U) Archived (1991U)
<b>93.886</b> Grants for Physician Assistant Training Program Number changed from 13.886 (1990U) Physician Assistant Training in Primary Care (1999U) Consolidated into 93.884 (2003B) Deleted (2003)	<b>93.897</b> Residency Training and Advanced Education in the General Practice of Dentistry Number changed from 13.897 (1990U) Residencies and Advanced Education in the Practice of General Dentistry (1999U) Consolidated into 93.884 (2003B) Deleted (2003)	<b>93.905</b> Indian Health Service Research (1990U) Archived (2001B)
<b>93.887</b> Project Grants for Non-Acute Care Intermediate	<b>93.900</b>	<b>93.906</b> Rural Health Medical Education Demonstration Projects (1990U) Archived (2000B)
		<b>93.907</b> Grants for Nurse Anesthetist Faculty Fellowships (1990U) Archived (2000B)

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- 93.908**  
Nursing Education Loan Repayment Agreements for Registered Nurses Entering Employment at Eligible Health Facilities (1990U)  
Nursing Education Loan Repayment Program for Registered Nurses Entering Employment at Eligible Health Facilities (1993U)  
Nursing Education Loan Repayment Program (2005)
- 93.909**  
Subacute Care Demonstration Grants (1990U)  
Archived (1992B)
- 93.910**  
Community Coalition Projects to Support Health and Human Services Needs for Minority Males (1990U)  
Community Coalition Intervention Demonstration Projects to Support Health and Human Services Needs for Minority Males (1991B)  
Community Coalition Demonstration Projects to Support Health and Human Services Needs for Minority Males (1992B)  
Family and Community Violence Prevention Program (1995B)
- 93.911**  
Cooperative Agreements for Drug Abuse Campus Treatment Demonstration Projects (1991B)  
Archived (1995B)
- 93.912**  
Rural Health Services Outreach (1991B)  
Rural Outreach\_Rural Network Development Program (1997B)  
Rural Health Outreach and Rural Network Development Program (2000B)  
Rural Health Care Services Outreach and Rural Health Network Development Program (2005)  
Rural Health Care Services Outreach, Rural Health Network Development and Small Health Care Provider Quality Improvement Program (2010)
- 93.913**  
Grants to States for Operation of Offices of Rural Health (1991B)  
Split into 93.223 (1994U)
- 93.914**  
HIV Emergency Relief Project Grants (1991B)  
Consolidated into 93.915 (1999B)  
Reinstated (2000B)
- 93.915**  
HIV Emergency Relief Formula Grants (1991B)  
Consolidated from 93.914 (1999B)  
Archived (2000B)
- 93.916**  
Nurse Anesthetist Education Programs (1991B)
- Consolidated into 93.247 (2001B)
- 93.917**  
HIV Care Formula Grants (1991B)
- 93.918**  
Grants to Provide Outpatient Early Prevention Services with Respect to HIV Disease (1991B)
- 93.919**  
Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Control Programs (1991B)  
Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (1993B)
- 93.920**  
Facilities Construction Projects to Support Centers for Treatment and Research on Substance Abuse (1991B)  
Archived (1992B)
- 93.921**  
ADAMHA Science Education Partnership Award (1991B)  
NIAAA, NIDA and NIMH Science Education Partnership Awards (1992U)  
Incorporated into 93.922 (1993B)
- 93.922**  
NIH Science Education Partnership Award (1991B)  
Incorporated from 93.921 (1993B)  
NCRR Science Education Award (1994B)  
Consolidated into 93.389 (1996B)
- 93.923**  
Disadvantaged Health Professions Faculty Loan Repayments (1991B)  
Disadvantaged Health Professions Faculty Loan Repayment and Fellowship Program (1993B)  
Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (2005)  
Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (2006)
- 93.924**  
HIV/AIDS Dental Reimbursements (1991B)  
Ryan White HIV/AIDS Dental Reimbursements (1996U)  
Ryan White HIV/AIDS Dental Reimbursements\Community Based Dental Partnership (2005)
- 93.925**  
Scholarships for Health Professions Students from Disadvantaged Backgrounds (1991B)  
Consolidated from 93.139 (2001B)
- 93.926**  
Maternal and Child Health-Targeted Infant Mortality Initiative (1991U)  
Healthy Start Initiative (1992B)
- 93.927**  
Health Services to Residents of Public Housing (1991U)  
Residents of Public Housing Primary Care Program (1992U)  
Health Centers Grants for Residents of Public Housing (1997B)  
Incorporated into 93.224 (2006)
- 93.928**  
Special Projects of National Significance (1991U)
- 93.929**  
Center for Medical Rehabilitation Research (1991U)  
Consolidated into 93.865 (2003B)  
Deleted (2003)
- 93.930**  
Nursing Education Loan Demonstration (1991U)  
Archived (1992B)
- 93.931**  
Demonstration Grants to States for Community Scholarship (1991U)  
Archived (2000B)
- 93.932**  
Native Hawaiian Health Centers (1991U)  
Native Hawaiian Health Systems (1993B)
- 93.933**  
Research and Demonstration Projects for Indian Health (1991U)  
Demonstration Projects for Indian Health (2000B)
- 93.934**  
Fogarty International Research Collaboration Award (1992B)  
Consolidated into 93.989 (2006)
- 93.935**  
Project Grants for Renovation or Construction at Tertiary Perinatal Facilities (1992B)  
Archived (1993U)
- 93.936**  
National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (1992B)
- 93.937**  
Comprehensive Residential Drug Prevention and Treatment Projects for Substance-Using Women and Their Children (1992B)  
Archived (1999B)

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- 93.938**  
Cooperative Agreements to Support School Health Education to Prevent the Spread of Acquired Immunodeficiency Syndrome (1992U)  
Split from 93.118 (1992U)  
Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (1994B)
- 93.939**  
HIV Prevention Activities\_Non-Governmental Organization Based (1992U)  
Split from 93.118 (1992U)
- 93.940**  
HIV Prevention Activities\_Health Department Based (1992U)  
Split from 93.118 (1992U)
- 93.941**  
HIV Demonstration, Research, Public and Professional Education Projects (1922U)  
Split from 93.118 (1992U)
- 93.942**  
Research, Treatment and Education Programs on Lyme Disease in the United States (1992B)
- 93.943**  
Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (1992U)  
Split from 93.118 (1992U)
- 93.944**  
Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (1992U)  
Split from 93.283 (1992U)
- 93.945**  
Assistance Program for Chronic Disease Prevention and Control (1992U)  
Split from 93.283 (1992U)  
Archived (1994U)  
Reinstated (2001B)  
Assistance Programs for Chronic Disease Prevention and Control (2006)  
Archived (2011)  
Reinstated (2011)
- 93.946**  
Cooperative Agreements to Support State-Based Pregnancy Risk Assessment Monitoring System (1992U)  
Split from 93.283 (1992U)  
Cooperative Agreements to Support State-Based Infant Health Initiative Programs (1993B)  
Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (2002B)
- 93.947**  
Tuberculosis Demonstration, Research, Public and Professional Education (1992U)  
Split from 93.116 (1992U)
- 93.948**  
Pilot Clinical Pharmacology Training (1992B)  
Archived (2003B)
- 93.949**  
HIV/AIDS and Related Diseases Among Substance Abusers: Community-Based Outreach and Intervention Demonstration Program (1992B)  
Split from 93.279 (1992B)  
Community-Based Comprehensive HIV/STD/TB Outreach Services for High Risk Substance Abusers Demonstration Program (1996U)  
Archived (1999B)
- 93.950**  
Capacity Expansion Program (1992B)  
Archived (1997B)
- 93.951**  
Demonstration Grants to States with Respect to Alzheimer's Disease (1992U)  
Archived (2000B)
- 93.952**  
Improving EMS/Trauma Care in Rural Areas (1992U)  
Archived (1997B)  
Reinstated (2001U)  
Trauma Care Systems Planning and Development (2005)  
Archived (2010)
- 93.953**  
Modification of Trauma Care Component of State EMS Plan (1992U)  
Archived (1997B)  
Reinstated (2001U)  
Trauma Care Systems Planning and Development (2004)  
Consolidated into 93.952 (2005)
- 93.954**  
Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (1992U)
- 93.955**  
Health and Safety Programs for Construction Work and Model Construction Safety and Health (1992U)  
Split from 93.263, 93.962 (1992U)  
Health and Safety Programs for Construction Work (1995B)  
Deleted (2005)
- 93.956**  
Centers for Agricultural Research, Education and Disease and Injury Prevention and Occupational Respiratory Disease and Musculoskeletal Disorders Evaluation and Rehabilitation (1992U)  
  
Split from 93.262, 93.283 (1992U)  
Agricultural Health and Safety Programs (1996B)  
Deleted (2005)
- 93.957**  
Occupational Health and Surveillance (1992U)  
Split from 93.262, 93.283 (1992U)  
Occupational Health and Surveillance\_Fatality Assessment and Control Evaluation (1996B)  
Occupational Health and Surveillance Fatality Assessment and Control Evaluation (1998B)  
Occupational Health and Safety Surveillance (2004)  
Deleted (2005)
- 93.958**  
Block Grants for Community Mental Health Services (1993B)
- 93.959**  
Block Grants for Prevention and Treatment of Substance Abuse (1993B)
- 93.960**  
Special Minority Initiatives (1993B)  
  
Consolidated into 93.859 (2003B)
- 93.962**  
Health Administration Graduate Traineeships  
Number changed from 13.962 (1990U)  
Health Administration Traineeships and Special Projects Program (1993B)  
Health Administration Traineeships Program (2005)  
Archived (2010)
- 93.963**  
Graduate Programs in Health Administration  
Number changed from 13.963 (1990U)  
Archived (1993B)
- 93.964**  
Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs  
Number changed from 13.964 (1990U)  
Traineeships for Students in Schools of Public Health (1990U)  
Public Health Traineeships (1993B)
- 93.965**  
Coal Miners Respiratory Impairment Treatment Clinics and Services  
Number changed from 13.965 (1990U)

# Appendix VII: Historical Profile of Catalog Programs

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<b>93.969</b> Grants for the Training of Health Professions in Geriatrics Number changed from 13.969 (1990U) Grants for Geriatric Education Centers (1993B) Geriatric Education Centers (2002B)	<b>93.987</b> Health Programs for Refugees Number changed from 13.987 (1990U) Consolidated into 93.576 (1997B)	<b>CORPORATION FOR NATIONAL AND COMMUNITY SERVICE</b>
<b>93.970</b> Health Professions Recruitment Program for Indians Number changed from 13.970 (1990U)	<b>93.988</b> Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems Number changed from 13.988 (1990U)	<b>94.002</b> Retired Senior Volunteer Program Number changed from 72.002 (1995B) Retired and Senior Volunteer Program (1996B)
<b>93.971</b> Health Professions Preparatory Scholarship Program for Indians Number changed from 13.971 (1990U)	<b>93.989</b> Senior International Fellowships Number changed from 13.989 (1990U) International Research and Research Training (2004)	<b>94.003</b> State Commission (1995B) State Commissions (1996B)
<b>93.972</b> Health Professions Scholarship Program Number changed from 13.972 (1990U)	<b>93.990</b> National Health Promotion Number changed from 13.990 (1990U)	<b>94.004</b> Learn and Serve America_School and Community Based Programs (1995B)
<b>93.973</b> Special Loans for National Health Service Corps Members to Enter Private Practice Number changed from 13.973 (1990U) Archived (1997B)	<b>93.991</b> Preventive Health and Health Services Block Grant Number changed from 13.991 (1990U)	<b>94.005</b> Learn and Serve America_Higher Education (1995B)
<b>93.974</b> Family Planning_Service Delivery Improvement Research Grants Number changed from 13.974 (1990U)	<b>93.992</b> Alcohol and Drug Abuse and Mental Health Services Block Grant Number changed from 13.992 (1990U) Archived (1993B)	<b>94.006</b> AmeriCorps (1995B)
<b>93.975</b> National All Schedules Prescription Electronic Reporting Grant (2009)	<b>93.993</b> Public Health Research Accreditation Project (2004) Archived (2011)	<b>94.007</b> Planning and Program Development Grants (1995B) Program Development and Innovation Grants (2009)
<b>93.977</b> Preventive Health Services_Sexually Transmitted Diseases Control Grants Number changed from 13.977 (1990U)	<b>93.994</b> Maternal and Child Health Services Block Grant Number changed from 13.994 (1990U) Maternal and Child Health Services Block Grant to the States (1993B)	<b>94.009</b> Training and Technical Assistance (1995B)
<b>93.978</b> Preventive Health Services_Sexually Transmitted Diseases Research, Demonstrations and Public Education Grants Number changed from 13.978 (1990U)	<b>93.995</b> Adolescent Family Life_Demonstration Projects Number changed from 13.995 (1990U)	<b>94.010</b> Literacy Corps Number changed from 72.015 (1995B) Archived (1997B)
<b>93.982</b> Mental Health Disaster Assistance and Emergency Mental Health Number changed from 13.982 (1990U)	<b>93.996</b> Bioterrorism Training and Curriculum Development Program (2003B) Archived (2010)	<b>94.011</b> Foster Grandparent Program Number changed from 72.001 (1995B)
<b>93.984</b> Grants for the Establishment of Departments of Family Medicine Number changed from 13.984 (1990U) Academic Administrative Units in Primary Care (1999U) Consolidated into 93.884 (2003B) Deleted (2003)	<b>93.999</b> Test for Suppression Effects of Advanced Energy (2005)	<b>94.013</b> Volunteers in Service to America Number changed from 72.003 (1995B)
	<b>97.074</b> Law Enforcement Terrorism Prevention Program (LETPP) (2004) Archived (2010)	<b>94.016</b> Senior Companion Program Number changed from 72.008 (1995B)

# Appendix VII: Historical Profile of Catalog Programs

CNCS Disaster Response Cooperative Agreement (2009)

## 94.021

Volunteer Generation Fund (2010)

## 94.022

Nonprofit Capacity Building (2009)

## EXECUTIVE OFFICE OF THE PRESIDENT

### 95.001

High Intensity Drug Trafficking Program (1993U)  
Archived (1994B)

### 95.002

Crime Prevention\_Ounce of Prevention Grants (1996B)  
Archived (1996U)

## SOCIAL SECURITY ADMINISTRATION

### 96.001

Social Security\_Disability Insurance  
Number changed from 93.802 (1995B)

### 96.002

Social Security\_Retirement Insurance  
Number changed from 93.803 (1995B)

### 96.003

Social Security\_Special Benefits for Persons Aged 72 and Over  
Number changed from 93.804 (1995B)  
Deleted (2006)

### 96.004

Social Security\_Survivors Insurance  
Number changed from 93.805 (1995B)

### 96.005

Special Benefits for Disabled Coal Miners  
Number changed from 93.806 (1995B)  
Deleted (2004)

### 96.006

Supplemental Security Income  
Number changed from 93.807 (1995B)

### 96.007

Social Security\_Research and Demonstration  
Number changed from 93.812 (1995B)

### 96.008

Social Security\_Benefits Planning, Assistance, and Outreach Program (2000U)  
Social Security - Work Incentives Planning and Assistance Program (2006)

### 96.009

Social Security State Grants for Work Incentives

Assistance to Disabled Beneficiaries (2002B)

## 96.020

Special Benefits for Certain World War II Veterans (2000U)

## 96.021

SOCIAL SECURITY Economic Recovery Act Payments (2009)

## DEPARTMENT OF HOMELAND SECURITY

### 97.001

Special Projects (2003B)  
Pilot Demonstration or Earmarked Projects (2005)  
Deleted (2008)

### 97.002

Research Projects (2003B)

### 97.003

Agriculture Inspection (2003B)

### 97.004

State Domestic Preparedness Equipment Support Program (2003B)  
Transferred from 16.007 (2003B)  
Homeland Security Grant Program (2004)  
Archived (2010)

### 97.005

State and Local Domestic Preparedness Training Program (2003B)  
Transferred from 16.008 (2003B)  
State and Local Homeland Security Training Program (2004)  
State and Local Homeland Security National Training Program (2010)

### 97.006

State and Local Domestic Preparedness Exercise Support (2003B)

Transferred from 16.009 (2003B)

State and Local Homeland Security Exercise Support (2004)  
Archived (2009)

### 97.007

State and Local Domestic Preparedness Technical Assistance (2003B)  
Transferred from 16.010 (2003B)  
Homeland Security Preparedness Technical Assistance (2004)  
Homeland Security Preparedness Technical Assistance Program (2006)

### 97.008

Urban Areas Security Initiative (2003B)  
Transferred from 16.011 (2003B)

Non-Profit Security Program (2010)

## 97.009

Cuban and Haitian Entrant Resettlement Program (2003B)

Transferred from 16.201 (2003B)

Cuban/Haitian Entrant Program (2004)

## 97.010

Citizenship Education and Training (2003B)  
Transferred from 16.400 (2003B)

## 97.011

Boating Safety (2003B)  
Transferred from 20.001 (2003B)  
Archived (2010)

## 97.012

Boating Safety Financial Assistance (2003B)  
Transferred from 20.005 (2003B)

## 97.013

State Access to the Oil Spill Liability Trust Fund (2003B)  
Transferred from 20.006 (2003B)

## 97.014

Bridge Alteration (2003B)  
Transferred from 20.007 (2003B)  
Archived (2009)

## 97.015

Secret Service\_Training Activities (2003B)  
Transferred from 21.100 (2003B)  
Archived (2010)

## 97.016

Reimbursement for Firefighting on Federal Property (2003B)  
Transferred from 83.007 (2003B)

## 97.017

Pre-Disaster Mitigation (PDM) Competitive Grants (2004)

## 97.018

National Fire Academy Training Assistance (2003B)  
Transferred from 83.009 (2003B)

## 97.019

National Fire Academy Educational Program (2003B)  
Transferred from 83.010 (2003B)  
National Fire Academy Fellowship Program (2010)  
National Fire Academy Fellowship (2011)

## 97.020

Hazardous Materials Training Program (2003B)  
Transferred from 83.011 (2003B)



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Archived (2010)

## 97.021

Hazardous Materials Assistance Program (2003B)  
Transferred from 83.012 (2003B)  
Archived (2010)

## 97.022

Flood Insurance (2003B)  
Transferred from 83.100 (2003B)

## 97.023

Community Assistance Program\_State Support  
Services Element (CAP-SSSE) (2003B)  
Transferred from 83.105 (2003B)

## 97.024

Emergency Food and Shelter National Board  
Program (2003B)  
Transferred from 83.523 (2003B)

## 97.025

National Urban Search and Rescue (US&R)  
Response System (2003B)  
Transferred from 83.526 (2003B)

## 97.026

Emergency Management Institute\_Training  
Assistance (2003B)  
Transferred from 83.527 (2003B)

## 97.027

Emergency Management Institute  
(EMI)\_Independent Study Program (2003B)  
Transferred from 83.529 (2003B)

## 97.028

Emergency Management Institute (EMI)\_Resident  
Educational Program (2003B)  
Transferred from 83.530 (2003B)

## 97.029

Flood Mitigation Assistance (2003B)  
Transferred from 83.536 (2003B)

## 97.030

Community Disaster Loans (2003B)  
Transferred from 83.537 (2003B)

## 97.031

Cora Brown Fund (2003B)  
Transferred from 83.538 (2003B)

## 97.032

Crisis Counseling (2003B)  
Transferred from 83.539 (2003B)

## 97.033

Disaster Legal Services (2003B)  
Transferred from 83.540 (2003B)

## 97.034

Disaster Unemployment Assistance (2003B)  
Transferred from 83.541 (2003B)

## 97.035

Individual and Family Grants (2003B)  
Transferred from 83.543 (2003B)  
Deleted (2004)

## 97.036

Public Assistance Grants (2003B)  
Transferred from 83.544 (2003B)  
Disaster Grants - Public Assistance (Presidentially  
Declared Disasters) (2006)

## 97.037

Disaster Housing Program (2003B)  
Transferred from 83.545 (2003B)  
Deleted (2004)

## 97.038

First Responder Counter-Terrorism Training  
Assistance (2003B)  
Transferred from 83.547 (2003B)  
Deleted (2005)

## 97.039

Hazard Mitigation Grant (2003B)  
Transferred from 83.548 (2003B)

## 97.040

Chemical Stockpile Emergency Preparedness  
Program (2003B)  
Transferred from 83.549 (2003B)

## 97.041

National Dam Safety Program (2003B)  
Transferred from 83.550 (2003B)

## 97.042

Emergency Management Performance Grants  
(2003B)  
Transferred from 83.552 (2003B)

## 97.043

State Fire Training Systems Grants (2003B)  
Transferred from 83.553 (2003B)

## 97.044

Assistance to Firefighters Grant (2003B)  
Transferred from 83.554 (2003B)

## 97.045

Cooperating Technical Partners (2003B)  
Transferred from 83.555 (2003B)

## 97.046

Fire Management Assistance Grant (2003B)  
Transferred from 83.556 (2003B)

## 97.047

Pre-Disaster Mitigation (2003B)  
Transferred from 83.557 (2003B)

## 97.048

Federal Assistance to Individuals and  
Households\_Housing (2003B)  
Transferred from 83.558 (2003B)  
Disaster Housing Assistance to Individuals and  
Households in Presidential Declared Disaster Zones  
(2006)  
Disaster Housing Assistance to Individuals and  
Households in Presidential Declared Disaster Areas  
(2007)  
Federal Disaster Assistance to Individuals and  
Households in Presidential Declared Disaster Areas  
(2010)

## 97.049

Federal Assistance to Individuals and  
Households\_Disaster Housing Operations (2003B)  
Transferred from 83.559 (2003B)  
Presidential Declared Disaster Assistance - Disaster  
Housing Operations for Individuals and Households  
(2006)

## 97.050

Federal Assistance to Individuals and  
Households\_Other Needs (2003B)  
Transferred from 83.560 (2003B)  
Presidential Declared Disaster Assistance to  
Individuals and Households - Other Needs (2006)

## 97.051

State and Local All Hazards Emergency Operations  
Planning (2003B)  
Transferred from 83.562 (2003B)  
Deleted (2005)

## 97.052

Emergency Operations Centers (2003B)  
Transferred from 83.563 (2003B)  
Emergency Operations Center (2011)

## 97.053

Citizen Corps (2003B)  
Transferred from 83.564 (2003B)

## 97.054

Community Emergency Response Teams (2003B)  
Incorporated into 97.053 (2006)  
  
Transferred from 83.565 (2003B)

## 97.055

Interoperable Communications Equipment (2003B)  
Transferred from 83.566 (2003B)  
Interoperable Emergency Communications (2010)

# Appendix VII: Historical Profile of Catalog Programs

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<b>97.056</b> Port Security Grants for Critical National Seaports (2003B) Port Security Grant Program for Critical National Seaports (2004) Port Security Grant Program (2005)	<b>97.069</b> Aviation Research Grants (2004)	<b>97.084</b> Hurricane Katrina Case Management Initiative Program (2005)
<b>97.057</b> Intercity Bus Security Grants (2003B)	<b>97.070</b> Map Modernization Management Support (2004) Archived (2011)	<b>97.085</b> 9-11 Heros Stamp Program (2005) Archived (2010)
<b>97.058</b> Operation Safe Commerce (OSC) (2003B) Operation Safe Commerce (OSC) Cooperative Agreement Program. (2004)	<b>97.071</b> Metropolitan Medical Response System (2004)	<b>97.086</b> Homeland Security Outreach, Education, and Technical Assistance (2005)
<b>97.059</b> Truck Security Program (2003B)	<b>97.072</b> National Explosives Detection Canine Team Program (2004)	<b>97.087</b> Alternative Housing Pilot Program (2006) Archived (2010)
<b>97.060</b> Port Security Research and Development Grant (2004) Archived (2010)	<b>97.073</b> State Homeland Security Program (SHSP) (2004)	<b>97.088</b> Disaster Assistance Projects (2005)
<b>97.061</b> Centers for Homeland Security (2004)	<b>97.075</b> RAIL AND TRANSIT SECURITY GRANT PROGRAM (2004)	<b>97.089</b> Real ID Program (2005) Driver's License Security Grant Program (2010)
<b>97.062</b> Scholars and Fellows (2004) Scholars and Fellows, and Educational Programs (2007) Scientific Leadership Awards (2011)	<b>97.076</b> National Center for Missing and Exploited Children (NCMEC) (2005)	<b>97.090</b> Law Enforcement Officer Reimbursement Agreement Program (2006)
<b>97.063</b> 97.063 Pre-Disaster Mitigation Disaster Resistant Universities (2004)	<b>97.077</b> Homeland Security Testing, Evaluation, and Demonstration of Technologies (2005) Homeland Security Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (2007) Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (2008)	<b>97.091</b> Homeland Security Biowatch Program (2006)
<b>97.064</b> Debris Removal Insurance (2004) Archived (2010)	<b>97.078</b> Buffer Zone Protection Plan (BZPP) (2005) Buffer Zone Protection Program (BZPP) (2007)	<b>97.092</b> Repetitive Flood Claims (2008)
<b>97.065</b> Homeland Security Advanced Research Projects Agency (2004)	<b>97.079</b> Public Alert Radios for Schools (2005) Archived (2010)	<b>97.093</b> Fire Service Hazardous Materials Preparedness and Response (2006)
<b>97.066</b> Homeland Security Information Technology and Evaluation Program (2004) Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (2008)	<b>97.080</b> 97.080 Information Analysis Infrastructure Protection (IAIP) Pilot Projects (2005) Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (2009)	<b>97.094</b> Prevention Advocacy Resources and Data Exchange Program (2006)
<b>97.067</b> Homeland Security Grant Program (2004)	<b>97.081</b> Law Enforcement Training and Technical Assistance (2005) Archived (2010)	<b>97.095</b> Safe Kids Worldwide (2006)
<b>97.068</b> Competitive Training Grants (2004) Competitive Training Grant (2010) Competitive Training Grant (2010) Archived (2010)	<b>97.082</b> Earthquake Consortium (2005)	<b>97.096</b> Commercial Equipment Direct Assistance Program (CEDAP) (2006) Archived (2010)
	<b>97.083</b> Staffing for Adequate Fire and Emergency Response (SAFER) (2005)	<b>97.097</b> Training Resource and Data Exchange (2006)
		<b>97.098</b> Disaster Donations Management Program (2006)
		<b>97.099</b> Residential Fire Safety & Fire Sprinkler Initiatives (2007)
		<b>97.100</b>

## Appendix VII: Historical Profile of Catalog Programs

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Airport Checked Baggage Screening Program (2007)

Archived (2010)

### 97.101

National Fallen Firefighters Memorial (2011)

### 97.103

Degrees at a Distance Program (2007)

### 97.104

Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (2007)

### 97.105

Firefighter/Emergency Medical Services (EMS) Outreach, Technology Transfer, Information Dissemination, and Technical Assistance (2007)  
Firefighter Health and Safety (2010)

### 97.106

Securing the Cities (2007)

### 97.107

National Incident Management System (NIMS) (2007)

### 97.108

Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (2007)

### 97.109

Disaster Housing Assistance Grant (2007)

### 97.110

Severe Loss Repetitive Program (2008)

### 97.111

Regional Catastrophic Preparedness Grant Program (RCPGP) (2008)

### 97.112

Border Infrastructure Improvement Projects (2008)

### 97.113

Rail and Transit Security Grant Program (ARRA) (2009)

### 97.114

Emergency Food and Shelter National Board Program (ARRA) (2009)

### 97.115

Assistance to Firefighters Grant (ARRA) (2009)

### 97.116

Port Security Grant Program (ARRA) (2009)

### 97.117

TSA Airport Checked Baggage Inspection System

Program (ARRA) (2009)

### 97.118

Advanced Surveillance Program (ASP) (2009)

### 97.119

2010 Olympics First Responder Training (2009)

### 97.120

Border Interoperability Demonstration Project (2010)

### 97.121

Radiological/Nuclear Detection Pilot Evaluations Program (2010)

### 97.122

Bio-Preparedness Collaboratory (2010)

### 97.123

Multi-State Information Sharing and Analysis Center (2010)

### 97.124

Interoperable Communications and Training Project (2010)

### 97.125

Virginia Operational Integration Cyber Center of Excellence (2010)

### 97.126

National Special Security Event (2011)

### 97.127

Upstate New York Cyber Initiative (2011)  
Cybersecurity Education and Training Assistance Program (CETAP) (2011)

### 97.129

Securing Critical Underground Infrastructure Pilot Program (2011)

## AGENCY FOR INTERNATIONAL DEVELOPMENT

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### 98.001

USAID Foreign Assistance for Programs Overseas (2004)

### 98.002

Cooperative Development Program (CDP) (2004)

### 98.003

Ocean Freight Reimbursement Program (OFR) (2004)

### 98.004

Non-Governmental Organization Strengthening (NGO) (2004)

### 98.005

Institutional Support Assistance (ISA) (2004)

Institutional Capacity Building (ICB) (2005)

Institutional Capacity Building (ICB) (2005)

### 98.006

Foreign Assistance to American Schools and Hospitals Abroad (ASHA) (2004)

### 98.007

Food for Peace Development Assistance Program (DAP) (2004)

### 98.008

USAID Food for Peace Emergency Program (EP) (2004)

### 98.009

The John Ogonowski Farmer-to-Farmer Program (2004)

### 98.010

Denton Program (2004)

### 98.011

Global Development Alliance (2004)

### 98.012

USAID Development Partnerships for University Cooperation and Development (2005)